

DEC 0 9 2005

STATE BAR COURT CLERK'S OFFICE SAN FRANCISCO

THE STATE BAR COURT

HEARING DEPARTMENT - SAN FRANCISCO

In the Matter of
WAYNE WINROW,
Member No. 153632,
A Member of the State Bar.

Case Nos. 02-O-11244-JMR 02-O-14970 03-O-01102 04-O-15652

DECISION

I. INTRODUCTION

In this disciplinary proceeding, respondent Wayne Winrow stipulated to misconduct in three client matters, which misconduct occurred primarily from 2000 through 2004, including recklessly failing to pursue an appeal and failing to respond to reasonable status inquires of his client in the first matter; recklessly failing to appear at three court ordered status conferences in the second matter; and failing to respond to his client's repeated telephone calls in the third matter.

After reaching stipulations as to facts and conclusions of law with the Office of the Chief Trial Counsel of the State Bar of California (State Bar), this court approved the stipulations and accepted respondent as a participant in the State Bar Court's Alternative Discipline Program.¹ (Rules Proc. of State Bar, rules 800-807.)

As set forth in greater detail below, respondent has been terminated from both the State Bar's Lawyer Assistance Program (LAP) and from the State Bar Court's Alternative Discipline Program

¹This program is also known as the State Bar Court's Program for Respondents with Substance Abuse and Mental Health Issues.



as a result of his failure to comply with the requirements of those programs.

In light of his admitted misconduct in this proceeding and his prior record of discipline, this court recommends that respondent be suspended from the practice of law for a period of one year, that execution of the suspension be stayed and that respondent be placed on probation for a period of three years on conditions that include his actual suspension for the first 120 days of probation and until he pays restitution as specified below.

II. SIGNIFICANT PROCEDURAL HISTORY

A. Respondent's acceptance into the Alternative Discipline Program

Three separate notices of disciplinary charges were filed against respondent on April 30, 2002 (case no. 02-O-11244), August 12, 2003 (case no. 03-O-01102), and August 28, 2003 (case no. 02-O-14970). Respondent filed responses in all three matters, albeit late and after motions for entry of default had been filed.

On March 15, 2004, at respondent's request, his matters were referred to the State Bar Court's Alternative Discipline Program for a determination as to his eligibility for participation in the program. (Rules Proc. of State Bar, rules 800-807.)

On February 25, 2005, after a lengthy period of negotiations, respondent was accepted into the Alternative Discipline Program. Respondent's eligibility and acceptance into the Program was based on, among other things: 1) his participation in the LAP; 2) the stipulations as to facts and conclusions of law he entered with the State Bar; 3) the nexus evidence he provided; and 4) his agreement to accept the court's low and high levels of recommended discipline set forth in the Decision re Alternative Recommendations for Degree of Discipline, lodged on February 25, 2005. (Rules Proc. of State Bar, rule 802.) The terms and conditions of participation were set forth in the Contract and Waiver for Participation in the State Bar Court's Program for Respondents with Substance Abuse or Mental Health Issues (Program Contract), which respondent signed on February

²On December 1, 2004, the court found that respondent was not eligible for the Alternative Discipline Program based on his failure to timely appear at three court ordered events. Respondent sought reconsideration, which was granted based on certain conditions, including the requirement that respondent be assigned an attorney probation monitor to meet with at least once every two weeks to review respondent's caseload, his hours worked per week, and his general law office management.

25, 2005.

Paragraph 5 of the Program Contract signed by respondent provides as follows:

"Respondent understands that eligibility for participation in the Program is contingent upon acceptance and participation in the Lawyer Assistance Program (hereinafter "LAP"). Respondent agrees to comply with all terms and conditions set forth by the LAP. Respondent understands that, if his participation in the LAP is terminated without successfully completing the LAP, Respondent's participation in the Program will be terminated and discipline will be imposed or recommended as set forth in paragraph 4 above."

Respondent signed a Participation Agreement with the LAP on June 16, 2004. However, prior to entering the court's Alternative Discipline Program on February 25, 2005, respondent raised certain concerns he had with the LAP. In particular, respondent was concerned about the way the LAP would handle any allegations of discrimination. At the time respondent raised his concerns with the court, the court instructed respondent to discuss his concerns directly with the LAP. (See, Respondent's Declaration filed on December 10, 2004, in support of Motion for Reconsideration of Eligibility, at p. 3.) The court stressed that the LAP and the court's Alternative Discipline Program were not mandatory, and that if respondent had concerns about the LAP, he should not commit to the court's Alternative Discipline Program. As set forth above, respondent subsequently elected to participate and signed the Program Contract.

B. Order to Show Cause Hearing

On October 18, 2005, due to respondent's non-compliance with the requirements of the Program, the court issued an order to show cause (OSC) why respondent should not be terminated from the Alternative Discipline Program and the higher level of discipline set forth in the court's February 25, 2005 Decision should not be recommended to the California Supreme Court. (Rules Proc. of State Bar, rule 805.) The court also ordered that respondent was not to submit any additional letters or documentation to the court that contained the names of LAP participants.³ Respondent was warned that failure to comply with the order would be grounds for termination from

³During respondent's dispute with the LAP, respondent sent copies of several letters to the court that contained the names of LAP participants. Finding that the disclosure violated the confidential nature of the LAP (Bus. Prof. Code §§6232(d) and 6234(a)) and respondent's participation agreement with the LAP, the court ordered that the LAP participants' names be redacted and that the letters be placed in the confidential portion of the court's official file.

the court's Alternative Discipline Program.

On October 25, 2005, the court received a LAP Notice of Termination regarding respondent, confirming that the LAP Evaluation Committee terminated respondent's participation in the LAP on October 20, 2005. A copy of a letter from the Director of the LAP, Janis Thibault, to respondent was attached to the Notice of Termination, which provided that respondent's disclosure of current and previous LAP participants to entities outside of the LAP was a "highly significant issue of noncompliance," which warranted his termination.

On October 28, 2005, respondent filed his response to the OSC.

On November 2, 2005, the court received a November 1, 2005 letter from respondent addressed to the undersigned judge with attachments, including a letter from Ms. Thibault to a LAP participant. Despite the court's express order of October 18, 2005, the name of the LAP participant was not reducted from the letter submitted by respondent.

C. Respondent's Termination from the Alternative Discipline Program

On November 3, 2005, the court held an in-person hearing on the OSC. The State Bar was represented by Cydney Batchelor. Respondent represented himself. Ms. Thibault, Director of the LAP, participated by telephone.

Ms. Thibault confirmed that respondent had been terminated from the LAP. Ms. Thibault stated that at least one of the LAP participants had verified that he or she did not authorize respondent to disclose his or her name as a LAP participant to outside entities. The LAP Evaluation Committee's decision to terminate respondent from the LAP was final.

Respondent was provided an opportunity to comment on his termination from the LAP and the OSC. Respondent addressed the court in an unprofessional and disrespectful manner, using inappropriate language and profanity. When questioned about the evidence of non-compliance as to the LAP and his restitution obligations pursuant to his Program Contract, respondent accused the court of racial discrimination and judicial misconduct. Respondent ultimately walked out of the courtroom before the hearing was concluded.

On November 3, 2005, the court filed an order terminating respondent from the State Bar Court's Alternative Discipline Program. Respondent's termination was based on: 1) his termination

from the LAP; 2) his failure to timely comply with his restitution obligations; and 3) his direct violation of the court's October 18, 2005 order with regards to the letter he submitted on November 2, 2005. The court further ordered that the First Amended Stipulation Re Facts and Conclusions of Law and the supplemental Stipulation Re Facts and Conclusions of Law, approved by the court on February 25, 2005, be filed on the same date. The court stated that this decision and recommendation would follow regarding the higher level of discipline as set forth in the Decision Re Alternative Recommendations for Degree of Discipline lodged on February 25, 2005. (Rules Proc. of State Bar, rule 803(a).)

II. FACTS AND CONCLUSIONS OF LAW

The findings of facts and conclusions of law in the First Amended Stipulation Re Facts and Conclusions of Law submitted to the court on November 5, 2004, and a supplemental Stipulation Re Facts and Conclusions of Law submitted on January 31, 2005 (hereinafter collectively "Stipulation"), both of which were approved by the court on February 25, 2005 and filed on November 3, 2005, are hereby incorporated by reference as if set forth fully herein.

In summary, respondent has stipulated to misconduct in three cases.⁴ In the first case, State Bar Court case number 02-O-14970, respondent is culpable of recklessly failing to pursue the appeal for his client, Frances Milton, in wilful violation of rule 3-110(A) of the Rules of Professional Conduct.⁵ As a result of his inaction, the appeal was dismissed. In addition, respondent is culpable of failing to respond to reasonable status inquires from his client in violation of Business and Professions Code section 6068(m).⁶ Respondent was paid \$5,000 by Ms. Milton as advanced attorney fees, and is required to repay that amount as part of the Stipulation.

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⁴As for State Bar Court Case No. 02-O-11244, the State Bar moves to the dismiss the case without prejudice. The facts underlying the case also served as the basis of criminal charges that are currently pending against respondent regarding allegations of the unauthorized practice of law. Finding good cause, the court grants the request and State Bar Court Case No. 02-O-11244 is severed and dismissed without prejudice. If respondent is convicted or enters a plea of guilty or nolo contendere in the underlying criminal matter, the State Bar may either re-open Case No. 02-O-11244 or transmit the criminal case (Case No. 04-C-12004) to the Review Department for processing.

⁵All further references to "rule(s)" are to the Rules of Professional Conduct.

⁶All further references to "section(s)" are to the Business and Professions Code.

In the second matter, State Bar Court case number 03-O-01102, respondent is culpable of recklessly failing to appear at three court ordered status conferences from June to August of 2003 on behalf of his client, George Lloyd, in wilful violation of rule 3-110(A). On August 4, 2003, the superior court removed respondent from the case. Subsequently, while unrepresented by counsel, summary judgment was entered against Mr. Lloyd.

In the third matter, State Bar Court case number 04-O-15652, respondent is culpable of failing to respond to his client's repeated telephone calls during the end of 2004 in wilful violation of section 6068(m). After intervention by the State Bar, respondent returned \$1,300 in unearned attorney fees to his client, Raymond Webb.

III. AGGRAVATION AND MITIGATION

A. Aggravation

Respondent has a record of prior discipline, an aggravating circumstance. (Rules Proc. of State Bar, tit. IV, Stds. for Atty. Sanctions for Prof. Misconduct, standard 1.2(b)(i) ("standard").) In Supreme Court case number S098010 (State Bar Court Case No. 99-O-12264), filed on August 21, 2001, respondent was suspended for two years, stayed, and placed on thirty months of probation including a 75-day actual suspension. In two client matters, respondent was culpable of violating rules 3-700(D)(1), 3-700(D)(2), 3-110(A) and section 6068(m). Also, based on respondent's unauthorized practice of law in three matters, he was culpable of violating sections 6068(a), 6125 and 6126. The misconduct spanned from 1998 to 2000.

Respondent's misconduct in the three matters constitutes multiple acts of misconduct. (Standard 1.2(b)(ii).)

In addition, there are other uncharged violations. (Standard 1.2(b)(iii).) In particular, respondent wilfully failed to comply with his probation conditions set forth in Supreme Court case number S098010 (State Bar Court Case No. 99-O-12264).

Finally, respondent's misconduct harmed significantly his clients. Ms. Milton lost her cause of action and summary judgment was entered against Mr. Lloyd. (Standard 1.2(b)(iv).)

B. Mitigation

In mitigation, the parties stipulated that throughout these proceedings, respondent has been

completely cooperative and candid with the State Bar. (Standard 1.2(e)(v).) Respondent entered into the Stipulation as to facts and conclusions of law.

In further mitigation, the parties also stipulated that respondent refunded \$1,300 in unearned fees to Mr. Webb. However, since the refund did not occur until after the intervention of the State Bar, the court gives little weight to this mitigating factor.

Finally, respondent argued that he has suffered from psychological problems that contributed to his misconduct. Respondent argued that he should be accepted into the court's Alternative Discipline Program, while he participated in the LAP, to establish to the court his rehabilitation from his psychological problems and to receive significant mitigating credit. (Rules Proc. of State Bar, rules 800 et seq.)

In addition to standard 1.2(e)(iv), the Supreme Court has held that extreme emotional difficulties are a mitigating factor where expert testimony establishes that those emotional difficulties were directly responsible for the misconduct, provided that the attorney has also established, through clear and convincing evidence, that he or she no longer suffers from such difficulties. (*Porter* v. *State Bar* (1990) 52 Cal.3d 518, 527; *In re Naney* (1990) 51 Cal.3d 186, 197; *In re Lamb* (1989) 49 Cal.3d 239, 246.) However, the Supreme Court also has held that, absent a finding of rehabilitation, emotional problems are not considered to be a mitigating factor. (*Kaplan* v. *State Bar* (1991) 52 Cal.3d 1067, 1072-1073; *In re Naney*, *supra*, 51 Cal.3d at p. 197.)

In accepting respondent into the Alternative Discipline Program, the court found that respondent has suffered from psychological problems since at least 2001.⁷ As stated by respondent, he felt very depressed starting in 2001 to the point at times of feeling paralyzed and unable to answer mail or telephone calls. Based on all the evidence, the court also found that there was a sufficient connection between respondent's psychological problems and the stipulated misconduct. (Rules Proc. of State Bar, rule 802(c).) However, respondent's conduct before this court while participating in the Alternative Discipline Program and his termination from that program and from the LAP,

⁷On September 20, 2004, respondent submitted a letter from his therapist, Eugene Porter, MFT, to establish a nexus between his problems and his misconduct. This letter, and all other treatment information, has been ordered sealed. (Rules Proc. of State Bar, rule 806(b).)

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prevent the court from making a finding that respondent has established his sustained rehabilitation by clear and convincing evidence. Accordingly, respondent is not provided with any mitigation credit for his participation in the LAP or the Alternative Discipline Program.

IV. DEGREE OF DISCIPLINE

In determining the proper degree of discipline, the court looks to the standards as well as to case law for guidance. The standards provide for reproval, suspension or disbarment, depending upon the gravity of the offenses and the harm to the clients. (Standards 1.7(a), 2.4(b), 2.6(d) and 2.10.) The standards, however, are only guidelines and do not mandate the discipline to be imposed. (In the Matter of Moriarty (Review Dept. 1990) 1 Cal. State Bar Ct. Rptr. 245, 250-251.)

Protection of the public and rehabilitation of the attorney are the primary goals of disciplinary probation. (In the Matter of Howard (Review Dept. 1993) 2 Cal. State Bar Ct. Rptr. 445, 452; In the Matter of Marsh (Review Dept. 1990) 1 Cal. State Bar Ct. Rptr. 291, 298.)

Citing to the standards, the State Bar recommended a range of discipline up to six months actual suspension if respondent failed to complete the court's Alternative Discipline Program.

Respondent did not submit a brief on the appropriate level of discipline prior to entering the Program.

In determining the appropriate level of discipline, in addition to the standards, the court found instructive the following cases: *In the Matter of Greenwood* (Review Dept. 1998) 3 Cal. State Bar Ct. Rptr. 831, and *In the Matter of Sullivan* (Review Dept. 1997) 3 Cal. State Bar Ct. Rptr. 608.

In *In the Matter of Greenwood, supra*, 3 Cal. State Bar Ct. Rptr. 831, discipline consisting of 18 months stayed suspension, two years probation and 90 days actual suspension was imposed for mishandling two client matters. The attorney was found to have failed to perform; failed to communicate with his client; failed to return client files; improperly withdrawn from representation; violated a court order; failed to maintain respect for courts by not complying with a discovery order; and failed to cooperate with the disciplinary investigation. No mitigating circumstances were found as the attorney defaulted in the proceedings. Client harm was found as an aggravating factor.

The attorney in *In the Matter of Sullivan, supra*, 3 Cal. State Bar Ct. Rptr. 608, was found culpable of misconduct arising out of his oversight of four client matters, wherein he failed to

perform legal services and to communicate with the clients. However, it was found that a former secretary in *Sullivan's* office hid in her desk pertinent documents that resulted in the misconduct in the four clients matters. In addition, *Sullivan* demonstrated significant mitigating factors, including many years of discipline-free practice. *Sullivan* was actually suspended for 60 days.

The court considers respondent's misconduct more serious than the attorneys in *Greenwood* and *Sullivan*. In addition, respondent has a prior record of discipline. The total scope of respondent's misconduct to date, including his prior discipline, has spanned over six years, which is a serious concern to this court. Respondent cites to depression and other psychological problems as major contributing factors to this sustained period of misconduct. Respondent was seeking and obtaining professional treatment and support to address his difficulties. However, since respondent has been terminated from the LAP and the court's Alternative Discipline Program, he is not entitled to any mitigating credit for his efforts since he has failed to establish his rehabilitation by clear and convincing evidence. The court finds that a period of actual suspension with appropriate conditions is necessary to protect the public, the courts and the legal profession. In particular, as a condition of probation, the court is recommending that respondent be required to continue with his counseling.

After considering the misconduct, the standards and the case law, and balancing the aggravating and mitigating factors, the court recommends that respondent be actually suspended for 120 days and until he pays fully satisfies restitution.

V. RECOMMENDATION

IT IS HEREBY RECOMMENDED that respondent Wayne Winrow be suspended from the practice of law in the State of California for a period of one year, that execution of such suspension be stayed, and that respondent is placed on probation for a period of three years on the following conditions:

1. Respondent is actually suspended from the practice of law for the first 120 days of the period of probation and until he pays restitution to Frances Milton in the amount of \$5,000, plus 10% interest per annum from May 8, 2002 (or the Client Security Fund to the extent of any payment from the fund to Mr. Milton, plus interest and costs, in accordance with Business and Professions Code section 6140.5), and provides satisfactory proof thereof

to the Office of Probation of the State Bar. Any restitution to the Client Security Fund 2 is enforceable as provided in Business and Professions Code section 6140.5, subdivision (c) and (d).

- 2. Respondent must obtain psychiatric or psychological treatment from a duly licensed psychiatrist, psychologist or clinical social worker at respondent's own expense at a minimum of two times per month, and must furnish evidence to the Office of Probation of the State Bar that he is so complying with each quarterly report. Treatment should commence no later than 30 days after the effective date of the discipline in this matter. Treatment must continue for the period of probation or until a motion to modify this condition is granted and the ruling becomes final;
- 3. During the period of probation, respondent must comply with the provisions of the State Bar Act and the Rules of Professional Conduct;
- Within ten (10) days of any change in the information required to be maintained on the 4. membership records of the State Bar pursuant to Business and Professions Code section 6002.1, subdivision (a), including his current office address and telephone or, if no office is maintained, the address to be used for State Bar purposes, respondent must report such change in writing to the Membership Records Office of the State Bar and to the Office of Probation of the State Bar;
- Respondent must submit written quarterly reports to the Office of Probation of the State Bar 5. on each January 10, April 10, July 10 and October 10 of the period of probation. Under penalty of perjury, respondent must state whether he has complied with the State Bar Act, the Rules of Professional Conduct and all conditions of probation during the preceding calendar quarter. If the first report will cover less than thirty (30) days, that report shall be submitted on the reporting due date for the next calendar quarter and must cover the extended period. In addition to all quarterly reports, respondent must submit a final report, containing

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⁸The court notes that respondent was making payments towards this restitution obligation while participating in the Alternative Discipline Program, and all such payments will be credited towards the obligation upon satisfactory proof to the Office of Probation.

the same information required by the quarterly reports. The final report must be submitted no earlier than twenty (20) days before the last day of the probation period and no later than the last day of the probation period;

- 6. Subject to the assertion of applicable privileges, respondent must answer fully, promptly and truthfully, any inquiries of the Office of Probation of the State Bar which are directed to respondent personally or in writing, relating to whether respondent is complying or has complied with these probation conditions;
- 7. Within one (1) year of the effective date of the Supreme Court's final disciplinary order in this proceeding, respondent must provide to the Office of Probation of the State Bar satisfactory proof of his attendance at a session of State Bar Ethics School and of passage of the test given at the end of that session;
- The period of probation shall commence on the effective date of the Order of the Supreme
 Court imposing discipline in this proceeding;
- 9. At the expiration of the period of this probation, if respondent has complied with all of the terms and conditions of probation, the Order of the Supreme Court suspending respondent from the practice of law for one year will be satisfied and that suspension will be terminated.

It is further recommended that respondent shall take and pass the Multistate Professional Responsibility Examination (MPRE) administered by the National Conference of Bar Examiners, and provide proof of passage of the MPRE to the Office of Probation of the State Bar, within one (1) year of the effective date of the Supreme Court's final disciplinary order in this proceeding. Failure to pass the MPRE, and to provide proof of such passage, within the specified time will result in actual suspension by the State Bar Court Review Department, without further hearing, until respondent provides the required proof of passage of the MPRE.

It is also recommended that respondent be ordered to comply with the requirements of rule 955 of the California Rules of Court within 30 calendar days of the effective date of the Supreme Court order in this matter, and file the affidavit provided for in paragraph (c) of the rule within 40 days of the effective date of the order showing his compliance with said order. Failure to comply with rule 955 could result in disbarment. (Bercovich v. State Bar (1990) 50 Cal.3d 116, 131.)

Respondent is required to file a rule 955(c) affidavit even if he has no clients to notify. (*Powers v. State Bar* (1988) 44 Cal.3d 337, 341.)

If respondent remains actually suspended for two years or more, it is further recommended that respondent remain suspended until he shows proof satisfactory to the State Bar Court of his rehabilitation, present fitness to practice law and present learning and ability in the general law pursuant to Standard 1.4(c)(ii) of the Standards for Attorney Sanctions for Professional Misconduct.

It is further recommended that costs be awarded to the State Bar pursuant to Business and Professions Code section 6086.10 and are enforceable both as provided for in Business and Professions Code section 6140.7 and as a money judgment.

Dated: December 9, 2005

JOANN M. REMKE

Judge of the State Bar Court

State Bar Court of the State Bar of California Hearing partment: Los Angeles EEF Francisco PILOT PROGRAM FOR RESPONDENTS WITH SUBSTANCE ABUSE AND MENTAL HEALTH ISSUES

Counsel for the State Bar Cydney Batchelor, #114637	Case Number(s)	(for Court use)
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A Member of the State Bar of California (Respondent)	X登x PREVIOUS STIPULATION REJECTED	

A. Parties' Acknowle	edgments:
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- (1) Respondent is a member of the State Bar of California, admitted 7/3/91 [Date]
- (2) The parties agree to be bound by the factual stipulations contained herein even if conclusions of law or disposition (to be attached separately) are rejected or changed by the Supreme Court. However, if Respondent is not accepted into the Lawyer Assistance Program, this stipulation will be rejected and will not be binding on Respondent or the State Bar.
- (3) All investigations or proceedings listed by case number in the caption of this stipulation are entirely resolved by this stipulation and are deemed consolidated. Dismissed charge(s)/count(s) are listed under "Dismissals." This stipulation consists of ___8_ pages.
- (4) A statement of acts or omissions acknowledged by Respondent as cause or causes for discipline is included under "Facts".

See attachment

(5) Conclusions of law, drawn from and specifically referring to the facts, are also included under "Conclusions of Law."

See attachment

- (6) No more than 30 days prior to the filling of this stipulation, Respondent has been advised in writing of any pending investigation/proceeding not resolved by this stipulation, except for criminal investigations.
- (7) Payment of Disciplinary Costs-Respondent acknowledges the provisions of Bus. & Prof. Code §§ 6086.10 & 6140.7 and will pay timely any disciplinary costs imposed in this proceeding.

Note: All information required by this form and any additional information which cannot be provided in the space provided, shall be set forth in the text component (attachment) of this stipulation under specific headings, i.e., "Facts", "Dismissals", "Conclusions of Law."

B. Aggravating Circumstances (Standards for Attorney Sanctions for Professional Misconduct, standard 1.2(b).) Facts supporting aggravating circumstances are required.

(1	} *E*	Prior Reco	ord of Discipline [see standard 1.2(f)]	
	(a)	XXXX	State Bar Court Case # of prior case 99-0-12264	
	(b)	жж	Date prior discipline effective September 20, 2001	
	(c)	x Ex	Rules of Professional Conduct/State Bar Action violations Rules of Prof.Con. 3-110(3-700(D)(1); 3-700(D)(2); Business and Professions Code sections 6068(a) (3 counts); 6125 (3 counts); 6126 (3 counts); 6068(m) (3 counts)	
	(d)	XXX	Degree of prior discipline 30 months probation; 2 years stayed	
			suspension; 75 days actual suspension	
	(e)		If Respondent has two or more incidents of prior discipline, use space provided below or under "Prior Discipline"	
(2)		conce	Dishonesty: Respondent's misconduct was surrounded by or followed by bad faith, dishonesty, concealment, overreaching or other violations of the State Bar Act or Rules of Professional Conduct.	
(3)		accon	Trust violation: Trust funds or property were involved and Respondent refused or was unable to account to the client or person who was the object of the misconduct for Improper conduct toward said funds or property.	
	X		Harm: Respondent's misconduct harmed significantly a client, the public or the administration of justice.	
(5)			Indifference: Respondent demonstrated indifference toward rectification of or atonement for the consequences of his or her misconduct.	
(6)			Lack of Cooperation: Respondent displayed a lack of candor and cooperation to the victims of his/her misconduct or the State Bar during disciplinary investigation or proceedings.	
(7)	x ki x	•	Multiple/Pattern of Misconduct: Respondent's current misconduct evidences multiple acts of wrong doing or demonstrates a pattern of misconduct. See attached	
(8)		No ag	gravating circumstances are involved.	

Additional aggravating circumstances:

None

Mitiç	gating C	circumstances [standard 1.2(e)]. Facts supporting mitigating circumstances are required.		
(1)		No Prior Discipline: Respondent has no prior record of discipline over many years of practice coupled with present misconduct which is not deemed serious.		
(2)		No Harm: Respondent did not harm the client or person who was the object of the misconduct.		
(3)		Candor/Cooperation: Respondent displayed spontaneous candor and cooperation to the victims of his/her misconduct and to the State Bar during disciplinary investigation and proceedings.		
(4)		Remorse: Respondent promptly took objective steps spontaneously demonstrating remorse and recognition of the wrongdoing, which steps were designed to timely atone for any consequences of his/her misconduct.		
(5)		Restitution: Respondent paid \$ on in restitution to without the threat of force of disciplinary, civil or criminal proceedings.		
(6)		Delay: These disciplinary proceedings were excessively delayed. The delay is not attributable to Respondent and the delay prejudiced him/her.		
(7)		Good Falth: Respondent acted in good faith.		
(8)		Emotional/Physical Difficulties: At the time of the stipulated act or acts of professional misconduct Respondent suffered extreme emotional difficulties or physical disabilities which expert testimony would establish were directly responsible for the misconduct. The difficulties or disabilities were not the product of any illegal conduct by the member, such as illegal drugs or substance abuse, and Respondent no longer suffers from such difficulties or disabilities.		
(9)		Severe Financial Stress: At the time of the misconduct, Respondent suffered from severe financial stress which resulted from circumstances not reasonably foreseeable or which were beyond his/ her control and which were directly responsible for the misconduct.		
(10)		Family Problems: At the time of the misconduct, Respondent suffered extreme difficulties in his/ her personal life which were other than emotional or physical in nature.		
(11)		Good Character: Respondent's good character is attested to by a wide range of references in the legal and general communities who are aware of the full extent of his/her misconduct.		
(12)		Rehabilitation: Considerable time has passed since the acts of professional misconduct occurred followed by convincing proof of subsequent rehabilitation.		
(13)		No mitigating circumstances are involved.		
Additi	ional mi	tigating circumstances:		

See attached.

Respondent enters into this stipulation as a condition of his/her participation in the Pilot Program. Respondent understands that he/she must ablde by all terms and conditions of Respondent's Pilot Program Contract.

If the Respondent is not accepted into the Pilot Program or does not sign the Pilot Program contract, this Stipulation will be rejected and will not be binding on Respondent or the State Bar.

If the Respondent is accepted into the Pilot Program, upon Respondent's successful completion of or termination from the Program, this Stipulation will be filed and the specified level of discipline for successful completion of or termination from the Program as set forth in the State Bar Court's Statement Re: Discipline shall be imposed or recommended to the Supreme Court.

11/3/64	Alexand Ofenican	WAYNE WINROW
Date	Respondent's Signature	Print Name
•		
N/A	N/A	N/A
Date	Respondent's Counsel Signature	Print Name
11/5/04	Chales	CYDNEY BATCHELOR
Date	Bebuty Trial Counsel's Signature	Print Name

ATTACHMENT TO FIRST AMENDED STIPULATION RE: FACTS AND CONCLUSIONS OF LAW

IN THE MATTER OF:

WAYNE WINROW

CASES NO:

02-O-11244, et al.

DISMISSAL.

Case No. 02-O-11244 (State Bar Investigation): Upon the execution of the pilot program contract by the Respondent and the State Bar Court, the State Bar respectfully requests the Court to dismiss case number 02-O-11244, in the interests of justice, without prejudice. The facts underlying this case also serve as the basis of criminal charges which are currently pending against the Respondent, and which are being monitored by the State Bar under case number 04-C-12004. Respondent understands and agrees that if he is convicted or enters a plea of guilty or nolo contendere in the underlying criminal charges, the State Bar may either re-open case number 02-O-11244 or transmit case number 04-C-12004 to the Review Department for processing.

FACTS AND CONCLUSIONS OF LAW.

Respondent admits that the following facts are true and that he is culpable of violations of the State Bar Act and/or Rules of Professional Conduct:

Case No: 02-O-14970 (Frances Milton):

<u>Facts</u>: In August 2000, Frances Milton employed Respondent to represent her in an employment discrimination case. Ms. Milton paid Respondent a total of \$5000.00 as advanced attorney's fees against a contingency fee for the representation. Thereafter, Respondent filed a civil complaint on her behalf. Several causes of action were dismissed on demurrer, and Respondent thereafter filed an appeal on March 7, 2002. However, he failed to pursue the appeal, and it was dismissed by the court on June 12, 2002. In addition, Ms. Milton made several telephone inquiries to Respondent, to which he did not respond.

Conclusions of Law: By recklessly failing to pursue the appeal on Ms. Milton's behalf, Respondent failed to perform competently the legal services for which he was employed, in violation of Rule of Professional Conduct 3-110(A). By willfully failing to respond to Ms. Milton's telephone calls, Respondent failed to respond to reasonable status inquiries from his client, in violation of Business and Professions Code section 6068(m).

Case No: 03-O-01102 (George Lloyd)

<u>Facts</u>: In January 2001, George Lloyd employed Respondent to represent him in a civil action, on a contingency basis. Respondent failed to attend three status conferences of which he had notice, on June 13, 2003, June 25, 2003, and August 4, 2003. On August 4, 2003, the and the Court relieved him from the case.

<u>Conclusions of Law</u>: By recklessly failing to appear at several status conferences, Respondent failed to perform legal services competently, in violation of Rule of Professional Conduct 3-110(A).

NEXUS BETWEEN MISCONDUCT AND DEPRESSION AND RESULTING CHEMICAL DEPENDENCY.

If called as a witness, Respondent would testify as follows regarding the nexus between the misconduct set forth above and his mental health condition: "I was disciplined by the State Bar in August 2001, for my failure to perform and for appearing in court when I was not entitled to do so. In retrospect, I believe that I was severely depressed during the period that I committed the prior misconduct. My appearing while I was not entitled to practice law in the prior discipline occurred because I got too involved with some of my clients to the point that it affected my mental health adversely and I was able to focus only on those cases, without reference to whether I was not allowed to practice or to whether I was performing adequately for the other clients. However, I did not know that I needed psychological treatment at the time of my prior discipline, and I did not raise that as an issue. Soon after I was disciplined, I started representing another client who had been charged with very serious criminal charges. He was developmentally and emotionally disabled, and I believed that he was being discriminated against and treated very badly and illegally by the criminal justice system. As a member of an oppressed class, I believe that I again over-identified with this client to the point that I was able to focus only on that case. As for the other cases, I was paralyzed and unable to answer mail or telephone calls, or to follow through with other tasks that I needed to do. It was not until I started working with the Lawyer Assistance Program in March 2004 that I was able to start managing my emotional problems and to manage my life and my law practice again."

MITIGATING AND AGGRAVATING FACTORS.

Mitigating Factors:

<u>Cooperation with the State Bar</u>: Throughout the investigation and resolution of these proceedings, Respondent has been completely cooperative with the State Bar.

Other Mitigating Factors:

Lawyer's Assistance Program Participation: In March 2004, Respondent signed an application agreement to be assessed by the Lawyer's Assistance Program, and has fully cooperated in that assessment process. Respondent cooperated in an evaluation by a LAP-selected physician, and

then met with the LAP Evaluation Committee to discuss full participation in LAP recoveryprogram. In May 2004, Respondent met with the LAP Evaluation Committee and was accepted into LAP, and in June 2004, he signed the participation agreement with LAP that memorializes his five-year commitment to that recovery program. He has been in continuous compliance with LAP since his first contact with the program.

<u>Refund of attorney fees</u>: Respondent had agreed to make a full refund of attorney fees as set forth in full herein to Frances Milton.

Aggravating Factors:

<u>Multiple Acts of Wrongdoing/Pattern of Misconduct</u>: The stipulated misconduct involves two different matters.

<u>Significant Harm</u>: As a result of Respondent's failure to perform competently, Frances Milton lost her cause of action, and summary judgment was entered against George Lloyd because he had no attorney to represent him after Respondent was removed from the case by the Court.

Other Aggravating Factors:

<u>Probation Violations</u>: Respondent failed to comply with his probation in State Bar case number 99-O-12264, in that he failed to file quarterly reports due on January 10, 2003, March 10, 2003, July 10, 2003, October 10, 2003, January 10, 2004, and April 10, 2004; and failed to file his final report due on April 12, 2004.

PENDING PROCEEDINGS.

The disclosure date referred to on page one, paragraph A.(6), was October 29, 2004.

RESTITUTION.

Respondent waives any objection to immediate payment by the State Bar Client Security Fund upon a claim for the principal amounts of restitution set forth below:

In accordance with the timetable set forth in the in the "Pilot Program Contract" to be executed between the State Bar Court and Respondent on the captioned cases, Respondent must make restitution as follows:

<u>Frances Milton</u>, or the Client Security Fund if it has paid, in the principal amount of \$5000.00, plus interest at the rate of 10% per annum from May 8, 2002, until paid in full and furnish satisfactory evidence of restitution to the State Bar Court.

ORDER			
Finding this stipulation to be fair to the parties, IT IS ORDERED that the requested dismissal of counts/charges, if any, is GRANTED without prejudice, and:			
The stipulation as to facts and conclusions of law is APPROVED.			
☐ The stipulation as to facts and conclusions of law is APPROVED AS MODIFIED as set forth below.			
The parties are bound by the stipulation as approved unless: 1) a motion to withdraw or modify the stipulation, filed within 15 days after service of this order, is granted; 2) this court modifies or further modifies the approved stipulation; or 3) Respondent is not accepted for participation in the Pilot Program or does not sign the Pilot Program Contract. (See rules 135(b) and 802(b), Rules of Procedure.)			
The effective date of the disposition is the effective date of the Supreme Court order herein, normally 30 days after the file date of the Supreme Court Order. (See rule 953(a), California Rules of Court.)			
Date Judge of the State Bar Court			

PROGRAM FOR RESPOND	te Bar Court of California Jent Des Angeles XXXX So ENTS WITH SUBSTANCE ABUSE AND M	IN Francisco ENTAL HEALTH ISSUES
Counsel for the State Bar	Case Number(s)	(101 LODGEDZE
Cydney Batchelor		
State Bar of California	04-0-15652-JMR	2 5 /225
180 Howard St., 7th Fl.		FEB 2 5/2005
San Francisco, CA 94105 Tele: 415/538-2204		STATE BAR COURT
tete: 415/330-2204		CLERK'S OFFICE SAN FRANCISCO
Bar # 114637		CONFIDENTIAL
Counsel for Respondent		
in Pro Per		
EX IIII O TO		FILED
Wayne Winrow, Esq. 950 59th St.		I ILLU/X/
Emeryville, CA 94608 Tele: 510/595-9088		NOV 0 3 2005
		STATE BAR COURT CLERK'S OFFICE
		SAN FRANCISCO
3ar# 153632		DIIDI IA IIITTED
n the Matter of	Submitted to Program Judge	PUBLIC MATTER
ar # A Member of the State Bar of California	STIPULATION RE FACTS AND C	CONCLUSIONS OF LAW
(Respondent)		
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lote: All information required by the provided in the space provided, made pecific headings, e.g., "Facts," "Decific headings here are appropriately a member of the Statement of accepted into the behinding on Respondent or the charge(s)/count(s) are listed under "Facts." See attached.	nust be set forth in an attachment to bismissals," "Conclusions of Law," "Signate Bar of California, admitted	this stipulation under upporting Authority," etc. July 3, 1991 (date) even if conclusions of law or preme Court. However, if ation will be rejected and will not his stipulation are entirely resolved vocation Proceedings. Dismissed consists of 7 pages. procedures for discipline is included

- (6) No more than 30 days prior to the filing of this stipulation, Respondent has been advised in writing of any pending investigation/proceeding not resolved by this stipulation, except for criminal investigations.

 See attachment
- (7) Payment of Disciplinary Costs-Respondent acknowledges the provisions of Bus. & Prof. Code §§ 6086.10 & 6140.7 and will pay timely any disciplinary costs imposed in this proceeding.
- B. Aggravating Circumstances [Standards for Attorney Sanctions for Professional Misconduct, standard 1.2(b)]. Facts supporting aggravating circumstances are required.

(1)	L.J	Prior Record of Discipline [see stational 1.2(1)]		
	(a)	□ State Bar Court Case # of prior case		
	(b)	Date prior discipline effective		
	(c)	Rules of Professional Conduct/State Bar Action violations		
	(d)	□ Degree of prior discipline		
	(e)	If Respondent has two or more incidents of prior discipline, use space provided below or under "Prior Discipline" (above)		
(2)		Dishonesty: Respondent's misconduct was surrounded by or followed by bad faith, dishonesty, concealment, overreaching or other violations of the State Bar Act or Rules of Professional Conduct.		
(3)	Ġ	Trust violation: Trust funds or property were involved and Respondent refused or was unable to account to the client or person who was the object of the misconduct for improper conduct toward said funds or property.		
(4)		Harm: Respondent's misconduct harmed significantly a client, the public or the administration of justice.		
(5)		Indifference: Respondent demonstrated indifference toward rectification of or atonement for the consequences of his or her misconduct.		
(6)		Lack of Cooperation: Respondent displayed a tack of candor and cooperation to the victims of his/her misconduct or the State Bar during disciplinary investigation or proceedings.		
(7)	XXX	Multiple/Pattern of Misconduct: Respondent's current misconduct evidences multiple acts o wrong doing or demonstrates a pattern of misconduct. See attachment		
(8)		No aggravating circumstances are involved.		
Add	iltional	aggravating circumstances:		

None.

C .		rting Circumstances [standard 1.2(e)]. Facts supporting mitigating instances are required.		
(1)		No Prior Discipline: Respondent has no prior record of discipline over many years of practice coupled with present misconduct which is not deemed serious.		
(2)		No Harm: Respondent did not harm the client or person who was the object of the misconduct.		
(3)		Candor/Cooperation: Respondent displayed spontaneous candor and cooperation to the victims of his/her misconduct and to the State Bar during disciplinary investigation and proceedings.		
(4)		Remorse: Respondent promptly took objective steps spontaneously demonstrating remorse and recognition of the wrongdoing, which steps were designed to timely atone for any consequences of his/her misconduct.		
(5)		Restitution: Respondent paid \$onin		
		restitution to without the threat of force of disciplinary, civil or criminal proceedings.		
(6)		Delay: These disciplinary proceedings were excessively delayed. The delay is not attributable to Respondent and the delay prejudiced him/her.		
(7)		Good Faith: Respondent acted in good faith.		
(8)		Emotional/Physical Difficulties: At the time of the stipulated act or acts of professional misconduct Respondent suffered extreme emotional difficulties or physical disabilities which expert testimony would establish were directly responsible for the misconduct. The difficulties or disabilities were not the product of any illegal conduct by the member, such as illegal drugs or substance abuse, and Respondent no longer suffers from such difficulties or disabilities.		
(9)		Severe Financial Stress: At the time of the misconduct, Respondent suffered from severe financial stress which resulted from circumstances not reasonably foreseeable or which were beyond his/her control and which were directly responsible for the misconduct.		
(10)		Family Problems: At the time of the misconduct, Respondent suffered extreme difficulties in his/her personal life which were other than emotional or physical in nature.		
(11)		Good Character: Respondent's good character is attested to by a wide range of references in the legal and general communities who are aware of the full extent of his/her misconduct.		
(12)	0	Rehabilitation: Considerable time has passed since the acts of professional misconduct occurred followed by convincing proof of subsequent rehabilitation.		
(13)		No mitigating circumstances are involved.		
۸۵۵	Additional mitigating circumstances:			

See attachment

(Do not write above this line.)

In the Matter of	Case number(s):
WAYNE WINROW, #153632	04-0-15652-JMR

SIGNATURE OF THE PARTIES

By their signatures below, the parties and their counsel, as applicable, signify their agreement with each of the recitations and each of the terms and conditions of this Stipulation Re Facts and Conclusions of Law.

Respondent enters into this stipulation as a condition of his/her participation in the Program. Respondent understands that he/she must abide by all terms and conditions of Respondent's Program Contract.

If the Respondent is not accepted into the Program or does not sign the Program contract, this Stipulation will be rejected and will not be binding on Respondent or the State Bar.

If the Respondent is accepted into the Program, upon Respondent's successful completion of or termination from the Program, this Stipulation will be filed and the specified level of discipline for successful completion of or termination from the Program as set forth in the State Bar Court's Statement Re: Discipline shall be imposed or recommended to the Supreme Court.

)/29/05 Date	Respondent's signature	WAYNE WINROW Print name
N/A	N/A	N/A
Date	Respondent's Counsel's signature	Print name
1 31 105	Deputy trial Counsel's signature	CYDNEY BATCHELOR Print name

ATTACHMENT TO

FIRST ADDENDUM TO STIPULATION RE: FACTS AND CONCLUSIONS OF LAW

IN THE MATTER OF:

WAYNE WINROW

CASE NO:

04-O-15652-JMR

FACTS AND CONCLUSIONS OF LAW.

Respondent admits that the following facts are true and that he is culpable of violations of the State Bar Act and/or Rules of Professional Conduct:

<u>Facts</u>: In June 2004, Raymond Webb employed Respondent to provide legal services in a dissolution matter. On June 8, 2004, Mr. Webb paid Respondent \$700.00 in advanced attorney fees; on August 4, 2004, Mr. Webb paid Respondent another \$602.50 in advanced fees. Thereafter, Mr. Webb telephoned Respondent a number of times to request a status report on his case; however, Respondent failed to reply until after the intervention of the State Bar.

<u>Conclusions of Law</u>: By willfully failing to respond to Mr. Webb's repeated telephone calls for information about his case, Respondent failed to respond to reasonable status inquiries of his client, in violation of Business and Professions Code section 6068(m).

MITIGATING AND AGGRAVATING FACTORS.

Other Mitigating Factors:

Lawyer's Assistance Program Participation: Respondent signed an application agreement to be assessed by the State Bar Lawyer's Assistance Program, and fully cooperated in that assessment process. Respondent cooperated in an evaluation by a LAP-selected physician, and then met with the LAP Evaluation Committee to discuss full participation in LAP recovery program. In May 2004, Respondent met with the LAP Evaluation Committee, and was accepted into LAP. On June 16, 2004, Respondent signed a long-term participation plan with the LAP.

Refund of Unearned Attorney Fees: Although he did not do so until after the intervention of the State Bar, Respondent refunded \$1300.00 in unearned attorney fees to Mr. Webb.

Aggravating Factors:

<u>Multiple Acts of Wrongdoing/Pattern of Misconduct</u>: The misconduct involves two matters in the original stipulation case, and one more in this addendum.

PENDING PROCEEDINGS.

The disclosure date referred to on page one, paragraph A.(6), was January 12, 2005.

(Do not write above this line.)

In the Matter of	Case number(s):	
WAYNE WINROW, #153632	04-0-15652-JMR	

ORDER

Finding the stipulation to be fair to the parties and that it adequately protects the public, IT IS ORDERED that the requested dismissal of counts/charges, if any, is GRANTED without prejudice, and:

X	The stipulation as to facts and conclusions of law is APPROVED.	
	The stipulation as to facts and conclusions of law is APPROVED AS MODIFIED as set forth below.	
in .	All court dates in the Hearing Department are vacated.	

The parties are bound by the stipulation as approved unless: 1) a motion to withdraw or modify the stipulation, filed within 15 days after service of this order, is granted; or 2) this court modifies or further modifies the approved stipulation; or 3) Respondent is not accepted for participation in the Program or does not sign the Program Contract. (See rule 135(b) and 802(b), Rules of Procedure.)

2/25/05 Date

Judge of the State Bar Court

CERTIFICATE OF SERVICE

[Rule 62(b), Rules Proc.; Code Civ. Proc., § 1013a(4)]

I am a Case Administrator of the State Bar Court of California. I am over the age of eighteen and not a party to the within proceeding. Pursuant to standard court practice, in the City and County of San Francisco, on December 9, 2005, I deposited a true copy of the following document(s):

DECISION

FIRST AMENDED STIPULATION RE FACTS AND CONCLUSIONS OF LAW (02-0-11244; 02-0-14970; 03-0-01102)

STIPULATION RE FACTS AND CONCLUSIONS OF LAW (04-0-15652)

in a sealed envelope for collection and mailing on that date as follows:

[X] by first-class mail, with postage thereon fully prepaid, through the United States Postal Service at San Francisco, California, addressed as follows:

WAYNE WINROW
WINROW & ASSOCIATES
950 59TH ST
EMERYVILLE CA 94608

[X] by interoffice mail through a facility regularly maintained by the State Bar of California addressed as follows:

CYDNEY BATCHELOR, Enforcement, San Francisco

I hereby certify that the foregoing is true and correct. Executed in San Francisco, California, on **December 9, 2005**.

Bernadette C. O. Molina Case Administrator State Bar Court