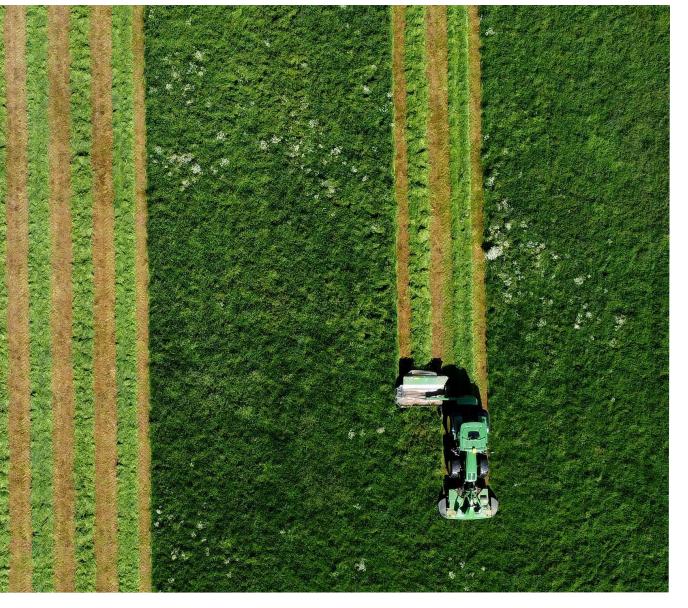
Ethical uses of generative AI in the practice of law

Claire Adams, Senior Manager - Customer Product Training



August 6, 2024

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Claire Adams is the senior manager of customer product training at Thomson Reuters.

She was recently at Casetext, where she was part of the team that launched the AI legal assistant, CoCounsel, in March 2023. She is a member of the New Mexico and Texas state bar associations. Previous experience includes criminal prosecution in New Mexico and Texas, as well as international commercial and transactional work in Tokyo, Japan. Claire holds a BA from UIUC and a JD from UNMSOL.

Agenda

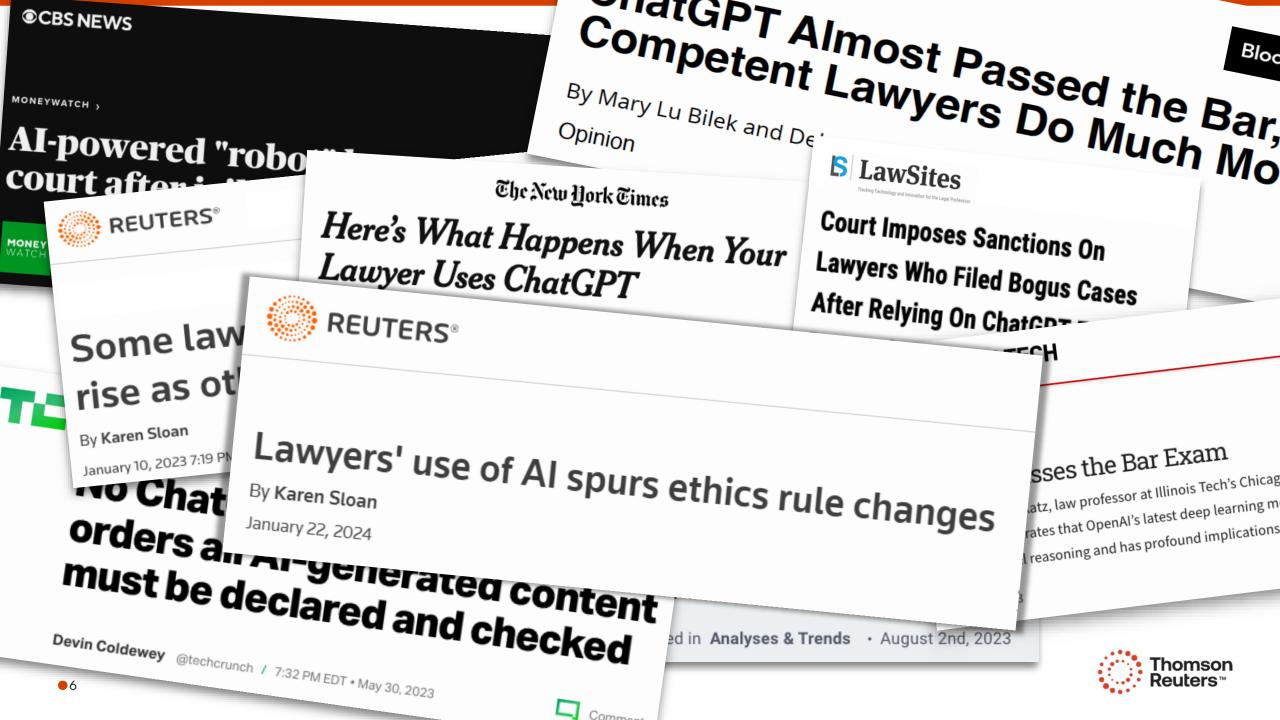
- 1. Basic assumptions about legal ethics and AI
- 2. A brief history of applying LLM AI to the law with use cases
- 3. Distinguishing today's Al with use cases
- 4. Applying today's legal ethics to today's AI
- 5. Questions and discussion



Basic assumptions about legal ethics and Al

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Ethical uses of generative AI share a common assumption:

Al is a **legal assistant**, not a lawyer.



•7 Ethical uses of generative AI in the practice of law

TL;DR

Lawyers use their own independent judgment before finalizing any work product.

- Legal technology
 - o Billing
 - o Legal research
 - Accounting
 - o Communication
 - o Drafting

Assistance from legal assistants
 Human
 AI



Legal ethics themes

- ✓ Competence
- ✓ Diligence
- Communication
- ✓ Confidentiality
- ✓ Candor
- Overseeing legal assistance



Legal ethics themes

A journey, not a destination





Ethical uses of Al

- ✓ User is in control
- \checkmark User is accountable
- ✓ AI is developed responsibly
- ✓ Understand:
 - How AI works
 - What AI can (and cannot) do



Ethical uses of AI

Shared responsibility

- ✓ User is in control
- ✓ User is accountable
- Al is developed responsibly by developers

✓ Understand:

- How AI works **developer + user**
- What AI can (and cannot) do developer + user



Agenda recap

Each of these topics are important for your ethical use of generative AI in the practice of law

A brief history of applying LLM AI to the law with use cases

- Distinguishing today's AI with use cases
- Applying today's legal ethics to today's Al



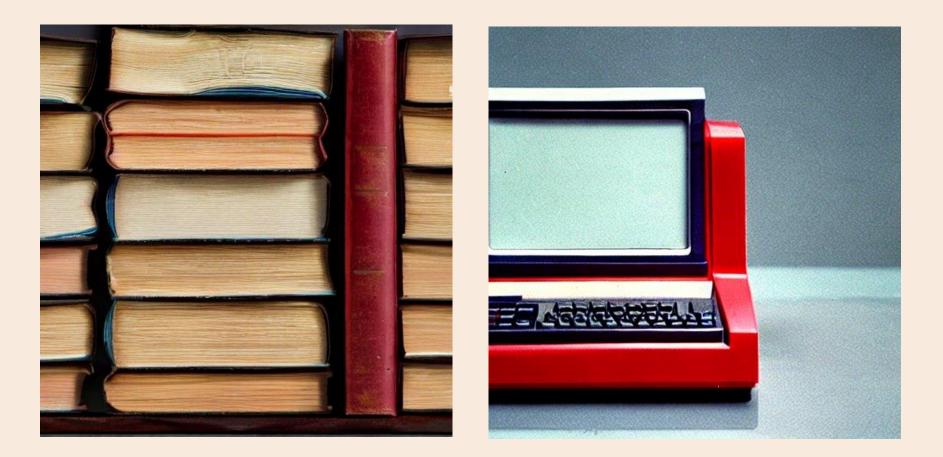
A brief history of applying LLM AI to the law

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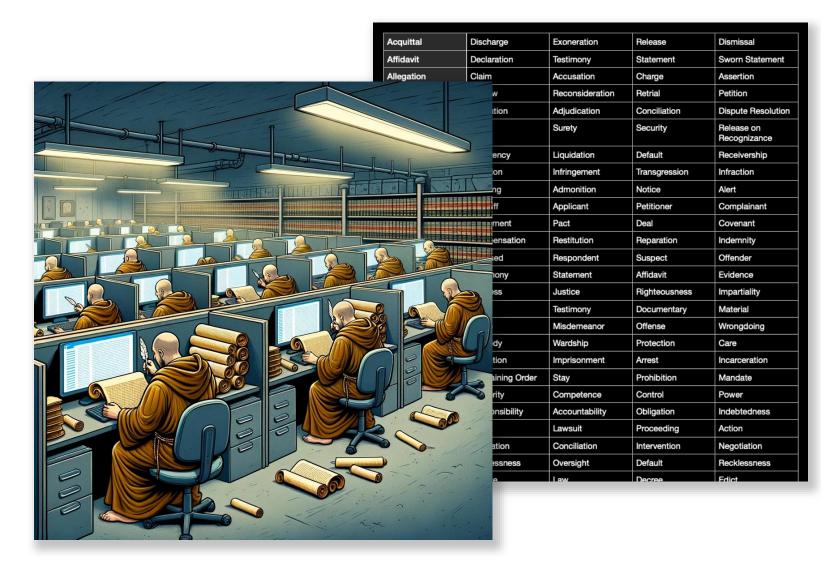
From searching words...

Keyword guesswork and Boolean codes help you search for words





Deterministic and manual





A BRIEF HISTORY OF APPLYING LLM AI TO THE LAW

Example: false negatives

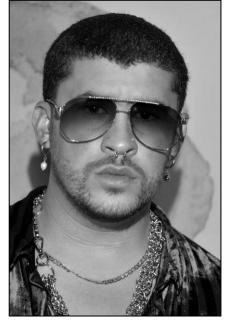
There is only one "soda" in this fridge.



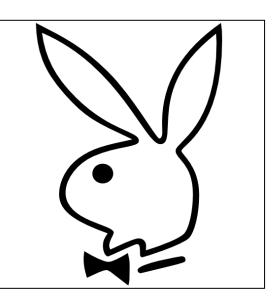


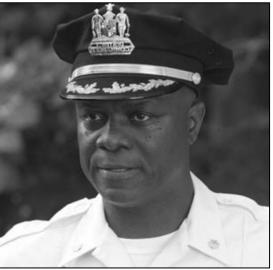
Example: false positives

These are all photos of "bunny"











ßß

Keyword searches "have long been recognized as appropriate and helpful for ESI search and retrieval," but "there are well-known limitations and risks associated with them." Victor Stanley, Inc. v. Creative Pipe,Inc., 250 F.R.D. 251, 260 (D. Md. 2008). "Chief among [those limitations] is that such a search necessarily results in false positives (irrelevant documents flagged because they contain a search term) and false negatives (relevant documents not flagged since they do not contain a search term)." Makowski v. SmithAmundsenLLC, No. 08-C-6912, 2012 WL 1634832, at *1 (N.D. Ill. May 9, 2012).

> - Advanced Magnesium Alloys Corp. v. Dery, 1:20-cv-02247-RLY-MJD, at *5 (S.D. Ind. Aug. 5, 2022)





A BRIEF HISTORY OF APPLYING LLM AI TO THE LAW



...to finding concepts.

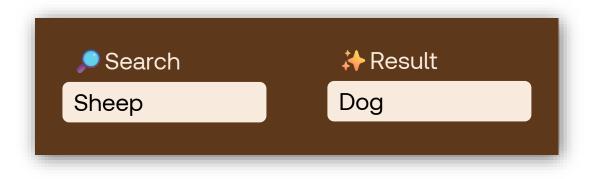
Neural networks have brain-like connections that can find terms that match concepts and context

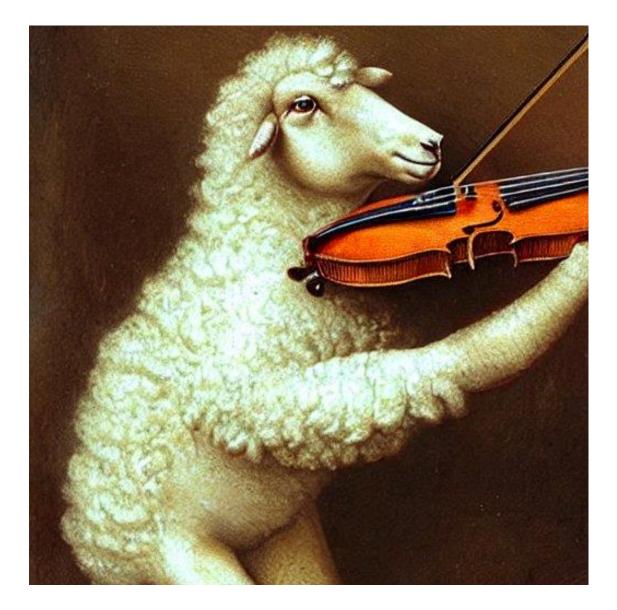


How do these LLMs work?

- > Every sentence becomes a "vector"
- Vectors map ideas across dimensions
 "How animal is this sentence?"
- Dimensional similarities have values

"Sheep" and "dog" have high "animal" values "Violin" and "chair" would not







For example: let's play a game

The man went to the store to buy a _____ of milk.

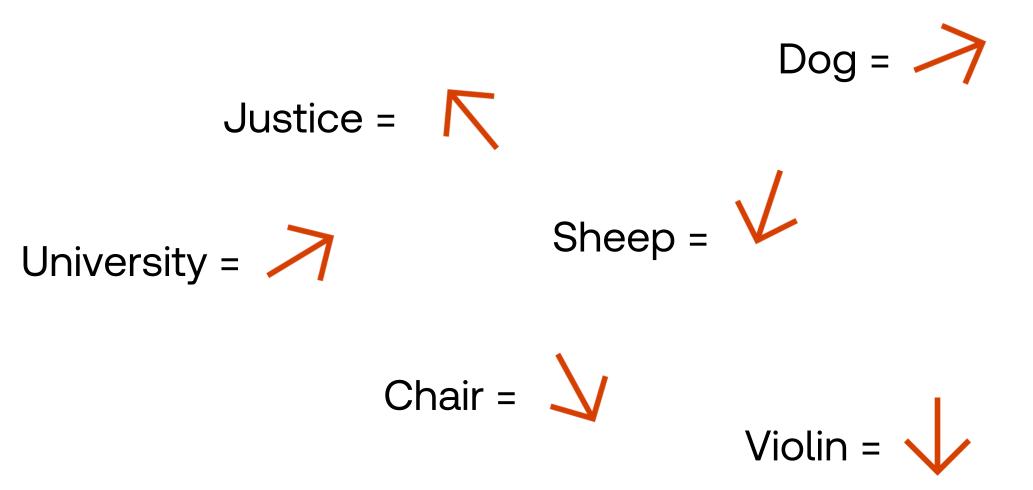


For example: let's play a game

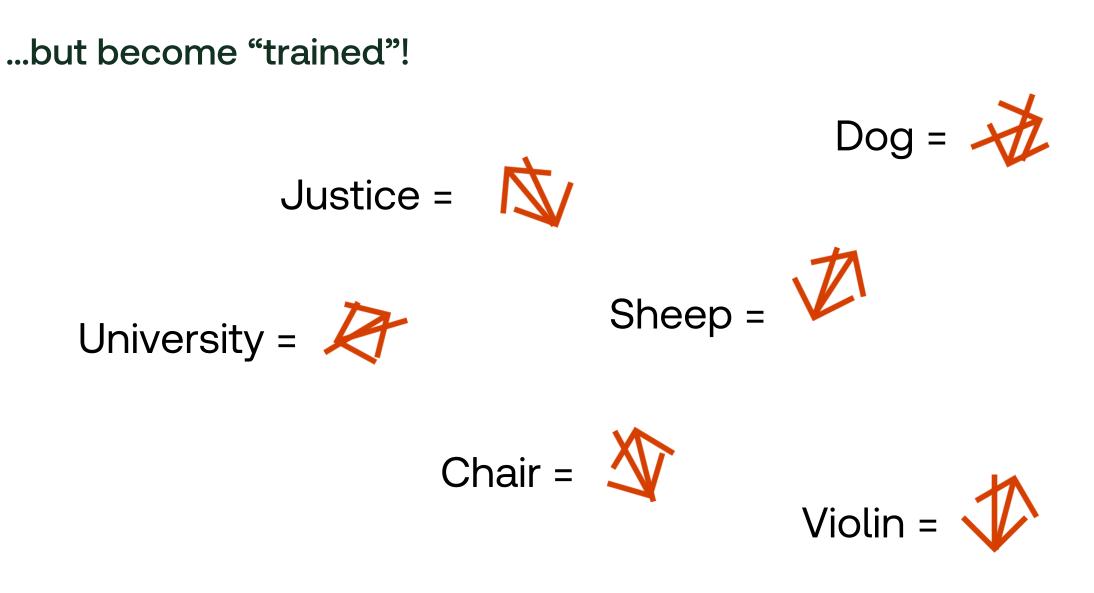
The man went to the store to buy a _____ of milk.



A model's responses start random...









For example: trained on the common law

Marbury v. Madison, 5 U.S. 137 (1803)

...This would be to overthrow in fact what was established in theory; and would seem, at first view, an absurdity too gross to be insisted on. It shall, however, receive a more attentive consideration.

It is emphatically the province and duty of the judicial department to say what the site. Those who apply the rule to particular cases, must of necessity expound and interpret that rule. If two sets conflict with each other, the courts must decide on the operation of each. [5 U.S. 137, 178] So if a set be in opposition to the constitution: if both the set and the constitution apply to a particular case, so that the court must either decide that case conformably to the set disregarding the constitution; or conformably to the constitution, disregarding the set. It he court must determine which of these conflicting rules governs the case. This is of the very essence of judicial duty...



Hypothetically

I'm sure the case

exists... shouldn't

be too hard to find

I bet it's there. Just do a quick keyword search.





Examples: Search U.S. law

A plain language search of U.S. state and federal law

McVader's termination of Skywalker for failure to wear a mask cannot be construed as discriminatory





A BRIEF HISTORY OF APPLYING LLM AI TO THE LAW

Examples: Search U.S. law

A plain language search of U.S. state and federal law

Q McVader's termination of Skywalker for failure to wear a mask cannot All State & Federal

Kalsi v. New York City Transit Authority

62 F. Supp. 2d 745 (E.D.N.Y. 1998) Cited 45 times

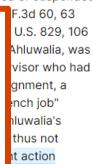
Judge's Summary – holding that transit authority's termination of Sikh subway car inspector for his refusal to comply with a requirement that subway car inspectors wear hard hats was not pretext for religious discrimination but instead reflected transit authority's nondiscriminatory, legitimate interest in protecting its employees from workplace hazards and that Sikh subway car inspector's proposal that transit company accommodate his religion-based refusal to wear hard hat by permitting him to perform only work duties that did not require a hard hat would have imposed an undue hardship on transit authority because the costs would have been significant and other workers might have been placed

religious practice, needed no union agreement, as he was a supervisor and thus not represented by the union. Thus, the TA's failure to take adverse employment action against him for not wearing a hard hat does not support an inference of religious discrimination against plaintiff.

ould support an another employee of discrimination may charged or suspended

S.Ct. 91, 88 L.Ed.2d 74 (1985). But here, the other end neither similarly situated nor non-Sikh. Rather, he was never been a Car Inspector. In 1996, he was reassign non-hard hat assignment for maintenance supervise assignment for Car Inspectors. The reassignment, was religious practice, needed no union agreement, as hard prepresented by the union. Thus, the TA's failure to tagainst him for not wearing a hard hat does not support an interence or religious

discrimination against plaintiff.





Examples: Search U.S. law

A plain language search of U.S. state and federal law

Nat'l Labor Relations Bd. v. Illinois Tool Works 119 F.2d 356 (7th Cir. 1941) Cited 7 times

Petitioner in this respect urges that he was discriminated against because he was penalized more severely than others who were guilty of the same offense. Franz was the only employee who was at all comparable with Van Delinder in his infractions, and they



stop the violations of the safety rules. This prognosis proved correct, for since the discharge there has been complete compliance with the rule. Van Delinder has never claimed that he was discharged for any reason other than failure to wear goggles. He at all times admitted his guilt in this respect and the Board found him guilty. Its conclusion

all times admitted his guilt in this respect and the Board found him guilty. Its conclusion that this was not the real cause of his discharge is grounded only on inferences with no factual bases, and these in turn are based on inferences of the same character, a method which has always been rejected as unsafe and unsound in the entire history of our jurisprudence.



Examples: Search your documents

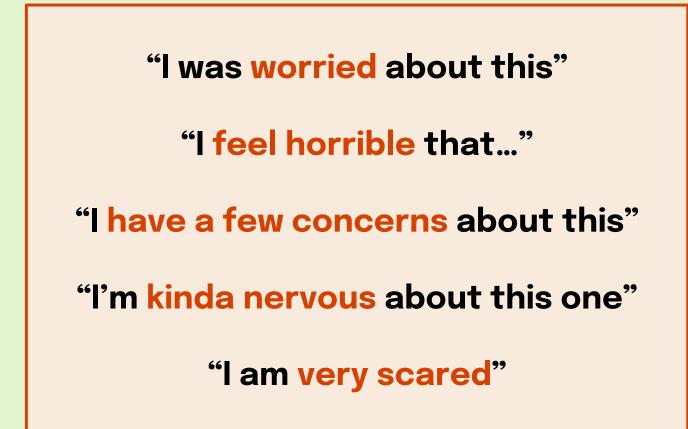
A database of 20,000+ emails from the Enron case

I feel uneasy about this



Examples: Search your documents

A database of 20,000+ emails from the Enron case





Distinguishing today's artificial intelligence

FOR EDUCATIONAL PURPOSES, NOT LEGAL ADVICE



DISTINGUISHING TODAY'S ARTIFICIAL INTELLIGENCE



Generative AI can produce unique, novel, human-like contentPre-trained on massive datasets with billions of inputsTransformer neural networks learn faster with less computation



•34 Ethical uses of generative AI in the practice of law

A few broad categories

From general to specific applications



General Use Al

Large Language Model

Fun, helpful conversations with large language model chatbots



General Use AI + Search

LLM + General Source of Information

Answers are grounded in a general source of information, like the internet



Specific Use Al

LLM + Specific Source + Domain Engineering

Domain-specific development and content for professionals



General Use Al

Free, basic versions of Claude by Anthropic or Gemini by Google

Good for creative tasks where the end result is subjective

- \checkmark Phrasing and tone
- Lists of preferences (e.g., what to pack for a trip, what to cook for dinner)



General Use Al

Free, basic versions of Claude by Anthropic or Gemini by Google

Bad for "anything important" (Sam Altman, CEO of OpenAI, 12/10/2022)

- X When the result must be accurate
- X Questions related to any discipline requiring a license (e.g., construction, architecture, electrical, plumbing, medicine, finance, law)



General Use AI

Free, basic versions of Claude by Anthropic or Gemini by Google

Bad for "anything important" (Sam Altman, CEO of OpenAI, 12/10/2022)

- " Claude can make mistakes. Please double-check responses."
- "Gemini may display inaccurate info, including about people, so double-check its responses."



General Use AI + Search

ChatGPT, Gemini Advanced, Bing Chat by Microsoft, Perplexity

Good for more focused, initial summarizing, reviewing, and searching

- ✓ Gaining perspective, getting your bearings
- Analogous to getting started with Wikipedia, where you can quickly follow sources through a range of related ideas



General Use AI + Search

ChatGPT, Gemini Advanced, Bing Chat by Microsoft, Perplexity

Bad as a final source of information, without verification

X Any situation where you need to show your work (e.g., academic coursework, scholarly and other professional publications, legal research)



Specific Use Al

Capabilities

- \checkmark AI that reads and understands domain-specific content
- \checkmark AI that provides unique, refinable, and verifiable responses
- \checkmark AI that can work at scale (i.e., more than 10 files at a time)
- \checkmark AI that is private and secure
- \checkmark AI that is developed responsibly



Specific Use Al

Applications

- Preparing legal research memos
- ✓ Researching databases of your documents
- ✓ Summarizing files
- \checkmark Reviewing documents and contracts
- \checkmark Redlining contracts and agreements
- Creating timelines
- ✓ Drafting correspondence and discovery response



Specific Use Al

Bad for uses outside of its intended purposes

- X Treating the AI as a lawyer when it is a legal assistant
- X Using keyword guesswork or Boolean codes when today's AI expects plain language instruction and interaction
- X Misusing AI capabilities
 - Searching witness testimony for legal precedent
 - Expecting legal research when you requested a draft letter



Examples: working with an AI legal assistant

R Workspace	New Chat				
	Chat Results				
F Sort by date + New					
Past 30 Days					
Ethics	NEW CHAT				
Document Upload Con	Hi Ryan!				
UK Leasehold/Freehol	♦ [±] CoCounsel skills				
🖻 AI Legal Assistant Cap	Select a category that best describes what you want to do or describe it in the chat.				
E Matter #240528	Research				
May 2024 <	Get answers about legal authorities or the content of your own databases. Pinpoint key information in documents and contracts.				
File Summarization As	Draft				
Request for Content S	Write letters, emails, memos, questions for investigative projects, and more. Condense critical information in any kind of document.				
■ CoCounsel Capabilitie	Show all skills				
🖻 Rev and Sum					
Trump's trial in NY	♦ ⁺ CoCounsel skills				
	What are you working on today?				
Manage workspace >	① Upload				
What's new in CoCounsel	Vour data is private and secure. Learn More >				



Applying today's legal ethics to today's Al

FOR EDUCATIONAL PURPOSES, NOT LEGAL ADVICE



APPLYING TODAY'S LEGAL ETHICS TO TODAY'S AI

New technology is assumed

There is no "Al exception"



New technology is assumed

The phrase "including the benefits and risks associated with relevant technology" would offer greater clarity regarding this duty and emphasize the growing importance of technology to modern law practice. As noted in ethics opinions, such as those relating to cloud computing, this obligation is not new. Rather, the proposed amendment emphasizes that a lawyer should remain aware of technology, including the benefits and risks associated with it, as part of a lawyer's general ethical duty to remain competent in a digital age.

- ABA Commission on Ethics 20/20, August 2012

55



Source: https://www.americanbar.org/content/dam/aba/administrative/ethics_2020/20120508_ethics_20_20_final_hod_introdution_and_overview_report.pdf (Accessed on 8/9/2023)

New technology is assumed

ABA Rule 1:1

"Competent representation requires the legal knowledge, skill, thoroughness and preparation reasonably necessary for the representation."

Comment 8

"to maintain the requisite knowledge and skill, a lawyer should ..."

L, keep abreast of changes in the law and its practice

L, including the benefits and risks associated with relevant technology



New technology is assumed

ABA Rule 1:1

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Comment 8

"to maintain the requisite knowledge and skill, a lawyer should ..."

L, keep abreast of changes in the law and its practice

L, including the benefits and risks associated with relevant technology



AI has already been added

ABA Rule 5:1 Responsibilities of a Partner or Supervisory Lawyer ABA Rule 5.3 Responsibilities regarding Nonlawyer Assistance

Resolution 112 (2019) notes that, in 2012, the title of Rule 5.3 was changed from "Assistan**ts**" to "Assistan**ce**" to clarify that the rule "encompasses nonlawyers whether human or not. Under Rules 5.1 and 5.3, lawyers are obligated to supervise the work of AI utilized in the provision of legal services, and understand the technology well enough to ensure compliance with the lawyer's ethical duties. This includes making sure that the work of disclosing client confidential information."

Application

Nonhuman legal assistance is within the scope of the ABA's rules

✓ Lawyers must supervise AI legal assistants just like any other legal assistant

Source: ABA Resolution 112 (August 12-13, 2019), p.6, https://www.americanbar.org/content/dam/aba/directories/policy/annual-2019/112-annual-2019.pdf (Accessed on 4/15/2024)



Diligence

ABA Rule 1.3

A lawyer shall act with reasonable diligence and promptness in representing a client.

- Comment 1, in part: "...a lawyer may have authority to exercise professional discretion in determining the means by which a matter should be pursued. See Rule 1.2."
- Comment 2: "A lawyer's work load must be controlled so that each matter can be handled competently." See also, Rule 3.2 (expediting litigation).

Application

Technology, like AI, may assist lawyers in maintaining their workload
 AI is not expected... yet.



Source: ABA Model Rule 1.3 and Comments

Communications

ABA Rule 1.4

A lawyer shall (a)(2) reasonably consult with the client about the means by which the client's objectives are to be accomplished; (a)(3) keep the client reasonably informed about the status of the matter; (a)(4) promptly comply with reasonable requests for information...

- Comment 1: "Reasonable communication between the lawyer and the client is necessary for the client effectively to participate in the representation."
- Comment 3, in part: "In some situations... this duty will require consultation prior to taking action."

Application

Explain your use of AI to clients (e.g., fee agreements, terms, privacy policy)
 If AI is not secure, private, or cannot show its work, clients will be concerned



Source: ABA Model Rule 1.4 and Comments

Meritorious Claims & Contentions

ABA Rule 3.1

A lawyer shall not bring or defend a proceeding, or assert or controvert an issue therein, unless there is a basis in law and fact for doing so that is not frivolous, which includes a good faith argument for an extension, modification or reversal of existing law...

• Comment 2, in part: "What is required of lawyers, however, is that they inform themselves about the facts of their clients' cases and the applicable law and determine that they can make good faith arguments in support of their clients' positions."

Application

AI must be able to cite to real cases, statutes, regulations
 AI must be able to cite to relevant portions of litigation records



Source: ABA Model Rule 3.1 and Comments

Candor Toward the Tribunal

ABA Rule 3.3

(a) A lawyer shall not knowingly (1) make a false statement of fact or law to a tribunal or fail to correct a false statement of material fact or law previously made to the tribunal by the lawyer; (2) fail to disclose to the tribunal legal authority in the controlling jurisdiction known to the lawyer to be directly adverse to the position of the client and not disclosed by opposing counsel; or (3) offer evidence that the lawyer knows to be false...

• Comment 2, in part: "This Rule sets forth the special duties of lawyers as officers of the court to avoid conduct that undermines the integrity of the adjudicative process."

Application

✓ Using AI that limits its investigation to a real, domain-specific source of information, and that shows its work, will help lawyers "avoid conduct that undermines the integrity of the adjudicative process."



Confidentiality of Information

ABA Rule 1.6

(a) A lawyer shall not reveal information relating to the representation of a client unless the client gives informed consent... (c) A lawyer shall make reasonable efforts to prevent the inadvertent or unauthorized disclosure of, or unauthorized access to, information relating to the representation of a client.

• Comment 2, in part: "A fundamental principle in the client-lawyer relationship is that, in the absence of the client's informed consent, the lawyer must not reveal information relating to the representation."

Application

- Carefully evaluate the underlying, enabling software that AI is built with and uses (e.g., cloud storage, third-party processing agreements, etc.)
- Choose AI built by experienced developers for legal practitioners



Competence

ABA Rule 1.1

A lawyer shall provide competent representation to a client. Competent representation requires the legal knowledge, skill, thoroughness and preparation reasonably necessary for the representation.

- Comment 8, in part: "...keep abreast of changes in the law and its practice..."
 - "the benefits and risks associated with relevant technology"
 - "engage in continuing study and education"

Application

Attend relevant learning opportunities, like CLE presentations
 Make time to understand new technology your organizagtion adopts



Case 1: Mata v. Avianca (2023)

The court's reasoning for sanctions

- The filing of papers "without taking the necessary care in their preparation" is an "abuse of the judicial system" that is subject to Rule 11 sanction. (p.22)
- "Rule 11 creates an "incentive to stop, think and investigate more carefully before serving and filing papers." (p.22)
- "Rule 11 'explicitly and unambiguously imposes an affirmative duty on each attorney to conduct a reasonable inquiry into the viability of a pleading before it is signed." (p. 22-23)

Case 1:22-	cv-01461-PKC	Document 54	Filed 06/22/23	Page 1 of 43	
UNITED STATES I	DISTRICT COU	RT			
SOUTHERN DISTR					
ROBERTO MATA,		x			
	Plaintiff,		22-cv-1461 (PKC)		
-again	st-				
			OPINION	AND ORDER	
AVIANCA, INC.,			ON SA	NCTIONS	
	Defenda	ant.			
		х			
CASTEL, U.S.D.J.					
In rese	arching and draf	ting court submis	sions, good lawye	rs appropriately obtain	
assistance from junio	r lawyers, law stu	idents, contract la	awyers, legal ency	clopedias and databases	
such as Westlaw and	LexisNexis. Tec	hnological advar	ices are commonp	lace and there is	

nothing inherently improper about using a reliable artificial intelligence tool for assistance. But existing rules impose a gatekeeping role on attorneys to ensure the accuracy of their filings. Rule 11, Fed. R. Civ. P. Peter LoDuca, Steven A. Schwartz and the law firm of Levidow, Levidow & Oberman P.C. (the "Levidow Firm") (collectively, "Respondents") abandoned their responsibilities when they submitted non-existent judicial opinions with fake quotes and citations created by the artificial intelligence tool ChatGPT, then continued to stand by the fake opinions after judicial orders called their existence into question

Source: MATA v. AVIANCA INC (2023), https://caselaw.findlaw.com/court/us-dis-crt-sd-new-yor/2335142.html (Accessed 4/15/2024)



Case 1: Mata v. Avianca (2023)

A finding of "bad faith"

- "Not reading a single case cited in his March 1 Affirmation..." (p. 29)
- "Taking no other steps on his own to check whether any aspect of the assertions of law were warranted" (p. 29)
- "Signing and filing... after making no inquiry" (p. 29)
- The lawyer "was aware of facts that alerted him to the high probability that [the fake cases] did not exist and consciously avoided confirming that fact." (p. 30)
- "...he knew before making a submission to the Court that the full text [one fake case] could not be found but kept silent." (p. 7)

Source: MATA v. AVIANCA INC (2023), https://caselaw.findlaw.com/court/us-dis-crt-sd-new-yor/2335142.html (Accessed 4/15/2024)



Case 1: Mata v. Avianca (2023)

Misunderstanding technology is not a defense for misusing technology

12. Mr. Schwartz also testified at the hearing that he knew that there were free sites available on the internet where a known case citation to a reported decision could be entered and the decision displayed. (Tr. 23-24, 28-29.) He admitted that he entered the citation to "Varghese" but could not find it: THE COURT: Did you say, well they gave me part of Varghese, let me look at the full Varghese decision? MR. SCHWARTZ: I did. THE COURT: And what did you find when you went to look up the full Varghese decision? MR. SCHWARTZ: I couldn't find it. THE COURT: And yet you cited it in the brief to me. MR. SCHWARTZ: I did, again, operating under the false assumption and disbelief that this website could produce completely fabricated cases. And if I knew that, I obviously never would have submitted these cases. -6-

Source: MATA v. AVIANCA INC (2023), https://caselaw.findlaw.com/court/us-dis-crt-sd-new-yor/2335142.html (Accessed 4/15/2024)



The court

- "We must also address a separate matter concerning the conduct of Park's counsel, Attorney Lee..."
- "The reply brief cited only two court decisions. We were unable to locate the one cited as "Matter of Bourguignon v. Coordinated Behavioral Health Servs., Inc., 114 A.D.3d 947 (3d Dep't 2014)..."
- "... the reason she could not provide a copy of the case is that it does not exist..."



Attorney Lee

- "I encountered difficulties in locating a relevant case to establish [the argument]..."
- "Consequently, I utilized the ChatGPT service, to which I am a subscribed and paying member, for assistance in case identification. ChatGPT was previously provided reliable information, such as locating sources for finding an antic furniture key. The case mentioned above was suggested by ChatGPT, I wish to clarify that I did not cite any specific reasoning or decision from this case..."



The court

- "All counsel that appear before this Court are bound to exercise professional judgment and responsibility, and to comply with the Federal Rules of Civil Procedure. Among other obligations, Rule 11..."
- "... when presented with non-existent precedent generated by ChatGPT: "A fake opinion is not 'existing law' and citation to a fake opinion does not provide a non-frivolous ground for extending, modifying, or reversing existing law, or for establishing new law. An attempt to persuade a court or oppose an adversary by relying on fake opinions is an abuse of the adversary system." Mata v. Avianca, Inc., No. 22CV01461(PKC)..."

Source: PARK v. KIM (2024), https://caselaw.findlaw.com/court/us-2nd-circuit/115760381.html (Accessed on 4/15/2024)



The court

"Attorney Lee states that "it is important to recognize that ChatGPT represents a significant technological advancement," and argues that "[i]t would be prudent for the court to advise legal professionals to exercise caution when utilizing this new technology." Response at 2. Indeed, several courts have recently proposed or enacted local rules or orders specifically addressing the use of artificial intelligence tools before the court. But such a rule is not necessary to inform a licensed attorney, who is a member of the bar of this Court, that she must ensure that her submissions to the Court are accurate."

Source: PARK v. KIM (2024), https://caselaw.findlaw.com/court/us-2nd-circuit/115760381.html (Accessed on 4/15/2024)



Questions and discussion

FOR EDUCATIONAL PURPOSES, NOT LEGAL ADVICE





Thank you!