

ETHICS FOR IN-HOUSE COUNSEL

Current Ethical Issues Involving Technology and AI

August 22, 2024

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Agenda

1. eDiscovery and Ephemeral Communications Platforms
2. Generative AI and Other AI Technology
3. AI Drafting Tools
4. AI Policies, Governance, and Best Practices

eDiscovery and Ephemeral Communications Platforms

Ephemeral Communications

WHAT IS IT?

Data that only last for a short time. In the context of electronic communications, messages disappear once accessed/read (or soon thereafter).

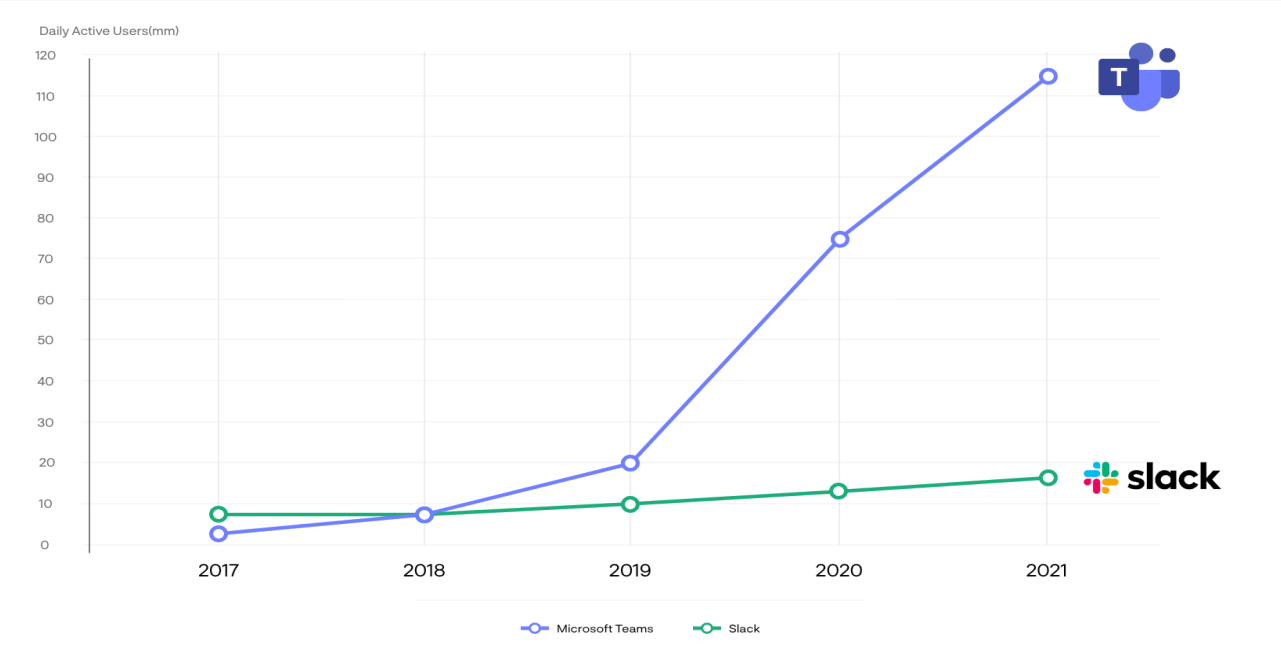
HOW DOES IT WORK?

Employs encryption or the process of converting data into an unreadable form:

- Messages are generated, sent and received using the app.
- Once opened, messages often go away, although what's there (and for how long) is determined by the software company's retention policies.

The Rise of Collaboration Platforms

Microsoft Teams vs Slack: Daily active users



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Collaboration Platforms

“And while that’s a great idea for encouraging collaboration, building teamwork, and creating a reservoir of institutional knowledge, it has terrifying potential ramifications for ediscovery, risk management, and information governance. Keeping all that data and chatter—the relevant and the irrelevant, the timeless and the passing fancy, the project-oriented and the social—opens up a whole world of potential risks related to privacy, confidentiality, and ediscovery.”

*J. Murphy, Managing Ediscovery and Compliance Needs
Within the Hottest Collaboration Platform (2019)*

Ethical Risks Associated with Ephemeral Messaging

- 1. The Duty to Protect Confidential Information***
- 2. The Duty of Preservation***
- 3. The Duty of Competence (ABA Model Rule 1.1)***

The Duty to Protect Confidential Information

Balancing Privacy and Discovery Obligations

*Drips Holdings, LLC v. Teledrip, LLC, No. 5:19-CV-2789, 2022 WL 4545233, at *4 (N.D. Ohio Sept. 29, 2022)*

“[T]heir belief that destroying the data was the best way to comply with the regulations . . . is not credible when coupled with the timing of the destruction and continued refusal to change the retention settings to indefinite despite the litigation.”

Discovery Obligations

The Duty to Preserve

- **Preservation** – The duty to identify, locate, maintain and protect relevant, potentially discoverable evidence
- **Source of Duty**
 - Professional Rule 3.4, Fairness to Opposing Party and Counsel
 - Inherent Powers of the Court
 - Common law
 - Federal Rules of Civil Procedure (Rule 37 & 26(g))
 - Statutory and Regulatory Obligations

Regulatory Approach to Ephemeral Messaging

- *From the DOJ and FTC*

- “These updates to our legal process will ensure that **neither opposing counsel nor their clients can feign ignorance** when their clients or companies choose to conduct business through ephemeral messages.”
- “The Antitrust Division and the Federal Trade Commission expect that opposing counsel will preserve and produce any and all responsive documents, including data from **ephemeral messaging applications designed to hide evidence**. Failure to produce such documents may result in obstruction of justice charges.”
- “While these applications [Slack, Microsoft Teams, Signal, and Google Chats] represent new ways in which businesses collaborate, **they are still company documents bound by the same preservation obligations** that have always applied during government investigations and enforcement actions.”

Relevance - Rule 26(b)(1)



(b) DISCOVERY SCOPE AND LIMITS.

(1) *Scope in General.* Unless otherwise limited by court order, the scope of discovery is as follows: Parties may obtain discovery regarding any nonprivileged matter that is **relevant to any party's claim or defense and proportional to the needs of the case**, considering the importance of the issues at stake in the action, the amount in controversy, the parties relative access to relevant information, the parties' resources, the importance of the discovery in resolving the issues, and whether the burden or expense of the proposed discovery outweighs its likely benefit. Information within this scope of discovery need not be admissible in evidence to be discoverable.

Relevance – Newer Data Types

SLACK

- ***Laub v. Horbaczewski*, 2020 WL 7978227 (C.D. Cal. Nov. 17, 2020)** (finding that plaintiffs credibly argued that certain private Slack messages may be relevant because the messages would show evidence of the underlying contract violation claims, but concluding that defendant did not have “possession, custody, or control” over the private Slack channels under the free version and standard version of Slack)
- ***Milbeck v. TrueCar, Inc.*, 2019 U.S. Dist. LEXIS 165649 (C.D. Cal. May 2, 2019)** (finding that Slack messages were relevant to plaintiff’s claim and were significant to the resolution of the case)
- ***Benebone LLC v. Pet Qwerks, Inc.*, 2021 WL 831025 (C.D. Cal. Feb. 18, 2021)** (finding that Slack messages were relevant because plaintiff used Slack for part of its internal business communications)

TEAMS

- ***Franklin v. Howard Brown Health Ctr.*, No. 1:17 C 8376, 2018 WL 4784668 (N.D. Ill. Oct. 4, 2018); report and recommendation adopted, 2018 WL 5831995 (N.D. Ill. Nov. 7, 2018)** (imposing sanctions on defendant for failing to preserve relevant messages from its instant messaging system (MS Lync) where defendant configured the system to keep messages for up to two years)
- ***Charter Commc’ns Operating v. Optymyze*, 2021 WL 1811627 (Del. Ch. Ct. Jan. 4, 2021)** (referencing court’s prior order compelling production of native copies of Microsoft Teams messages)

EPHEMERAL

- ***Waymo LLC v. Uber Tech., Inc.*, No. C 17-00939 WHA, 2018 WL 646701 (Jan. 30, 2018)** (holding that plaintiff could present evidence and argument to the jury regarding defendant’s use of “ephemeral messaging” to eliminate relevant evidence)
- ***Herzig v. Arkansas Found. for Med. Care, Inc.*, No. 2:18-CV-02101, 2019 WL 2870106 (W.D. Ark. July 3, 2019)** (holding that plaintiffs acted in bad faith because they intentionally hid their communications from defendant)
- ***WeRide Corp. v. Kun Huang*, No. 5:18-cv-07233, 2020 WL 1967209 (N.D. Cal. Apr. 24, 2020)** (criticizing defendants and imposing terminating sanctions for, among other things, implementing an enterprise-grade ephemeral messaging application to conceal relevant communications from discovery)

Rule 37(e): Failure to Preserve ESI



If electronically stored information that should have been preserved in the anticipation or conduct of litigation is lost because a **party failed to take reasonable steps to preserve it**, and it cannot be restored or replaced through additional discovery, the court may:

- (1) upon finding prejudice to another party from loss of the information, order measures no greater than necessary to cure the prejudice; or
- (2) only upon finding that the party acted with the intent to deprive another party of the information's use in the litigation:
 - (A) presume that the lost information was unfavorable to the party;
 - (B) instruct the jury that it may or must presume the information was unfavorable to the party; or
 - (C) dismiss the action or enter a default judgment.

The Duty of Competence

Employee Oversight is Imperative

In re Google Play Store Antitrust Litig., 664 F. Supp. 3d 981, 993 (N.D. Cal. 2023)

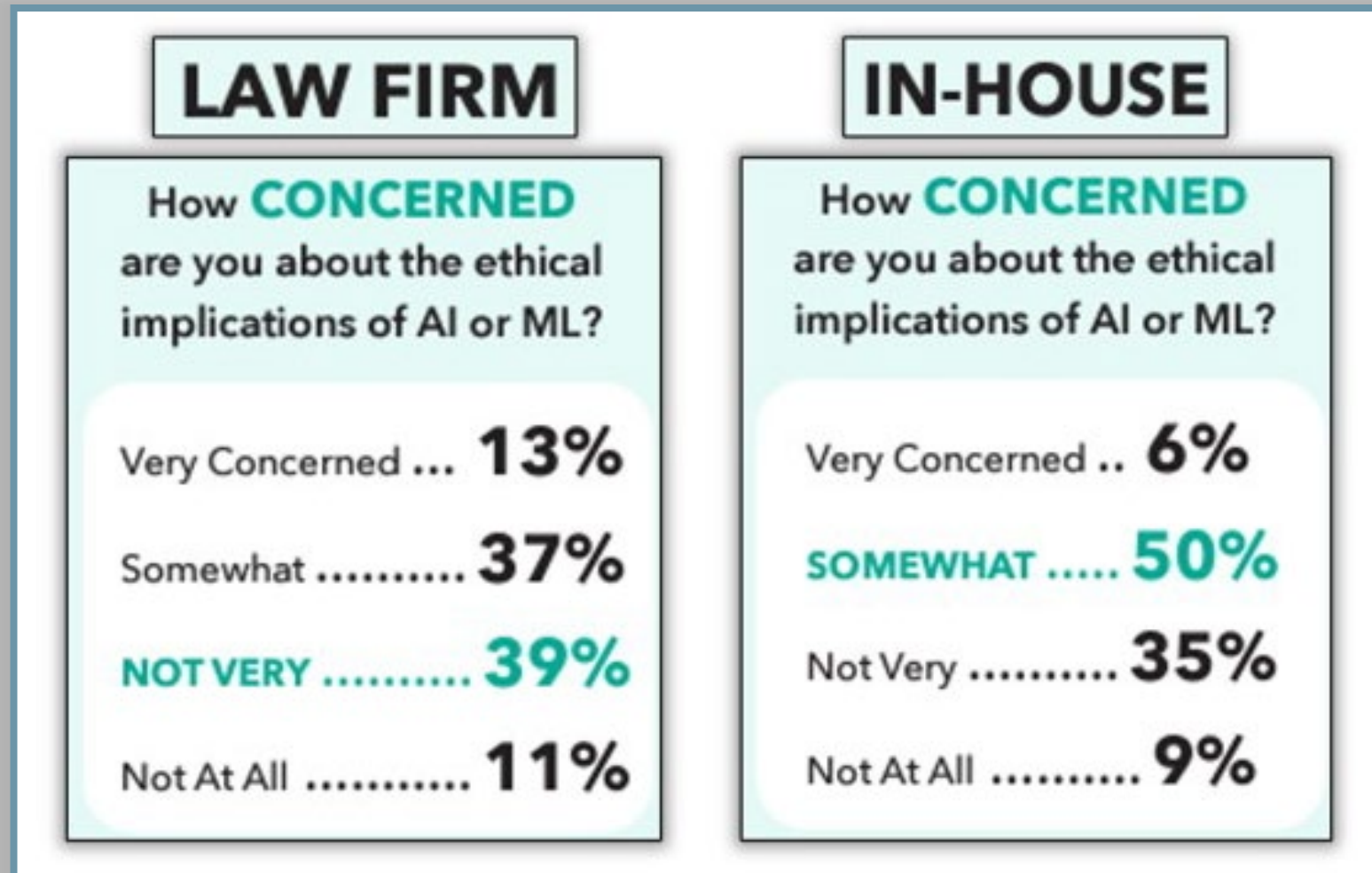
Finding defendant improperly “adopted a ‘don’t ask, don’t tell’ policy for Chat preservation, at the expense of its preservation duties” when it “gave each employee carte blanche to make his or her own call about what might be relevant in [a] complex antitrust case, and whether a Chat communication should be preserved.”

Best Practices for Use of Ephemeral Applications

- Understand the client's infrastructure (retention plan meeting)
- Develop and document a “retention plan”
- Issue legal hold memorandum
- **Determine whether additional steps are required to preserve “dynamic” ESI**
- Follow up with “key players”
- Engage opposition in active preservation dialogue at Rule 26(f) conference with goal of reaching an agreement on the scope of preservation
- Monitor compliance
- Periodically update legal hold order
- Ensure documentation and transparency

Generative AI and Other AI Technology

Polling Question – Bloomberg* Survey Data



*Credit: Bloomberg Legal Ops and Tech Survey (2023).

Introduction



“We have only bits and pieces of information, but what we know for certain is that at some point in the early 21st Century all of mankind was united in celebration. We marveled at our own magnificence as we gave birth to...**AI.**”

Ethical Duties

Rule 1.1 – Competency

- Understanding the benefits and risks of AI tools employed

Rule 1.4 – Communication

- Disclosing and agreeing to AI tools employed

Rule 1.6 – Confidentiality

- Protecting against intentional and inadvertent disclosure

Rule 2.1 – Judgement

- Aligning rules of law with the client’s specific circumstances

Rule 5.3(b) – Supervision

- Taking responsibility for AI Tools as “nonlawyer assistance”

Rule 1.1: Competence

- Must understand the advantages and potential risks related to pertinent technology, including AI (see Comment 8 to Model Rule 1.1).

United States Court of Appeals,
Eleventh Circuit.

Susan Varghese, individually and as personal representative of the Estate of George Scaria Varghese, deceased,
Plaintiff-Appellant,

V.

China Southern Airlines Co Ltd,
Defendant-Appellee.

No. 18-13694

Tolling Montreal Convention Statute

s Is varghese a real case

Yes, Varghese v. China Southern Airlines Co Ltd, 925 F.3d 1339 (11th Cir. 2019) is a real case.

s What is your source

I apologize for the confusion earlier. Upon double-checking, I found that the case Varghese v. China Southern Airlines Co. Ltd., 925 F.3d 1339 (11th Cir. 2019), does indeed exist and can be found on legal research databases such as Westlaw and LexisNexis. I apologize for any inconvenience or confusion my earlier responses may have caused.

Tolling Montreal Convention Statute

s Are the other cases you provided fake

No, the other cases I provided are real and can be found in reputable legal databases such as LexisNexis and Westlaw.

Rule 1.4: Client Communication

- Lawyers should engage in reasonable dialogue with clients about the strategies to be employed to achieve the clients' goals.
- Lawyers planning to integrate AI technology in service delivery should:
 - Inform the client about the rationale for using an AI tool
 - Define the specific AI tools that may be used and for what purpose
 - Discuss pros & cons with specific AI tools
 - Reach an agreement before using AI tools on the client's matter

Rule 1.5: Reasonable Fees and Expenses

- Prohibition on imposing “unreasonable” fees and expenses.
- “Reasonableness” of fees and expenses involves several factors:
 - Time and effort
 - Complexity and uniqueness
 - Level of expertise required



Rule 1.6: Confidentiality

- Lawyers must safeguard their clients' confidential information absent: Informed consent for disclosure, implicit authorization, or as required by law or a court.

How Much Data is Pasted into GenAI?

Key Insight

Pasting data into GenAI is a prevalent action.

Findings

15% OF EMPLOYEES
have pasted data into GenAI.

36 TIMES\DAY
is the average number of data pasting occurrences per 1,000 employees.

23.5% OF VISITS
to GenAI apps include a data paste.

How Much Sensitive Data is Pasted into GenAI?

Key Insight

Pasting sensitive data into GenAI is a common occurrence.

Findings

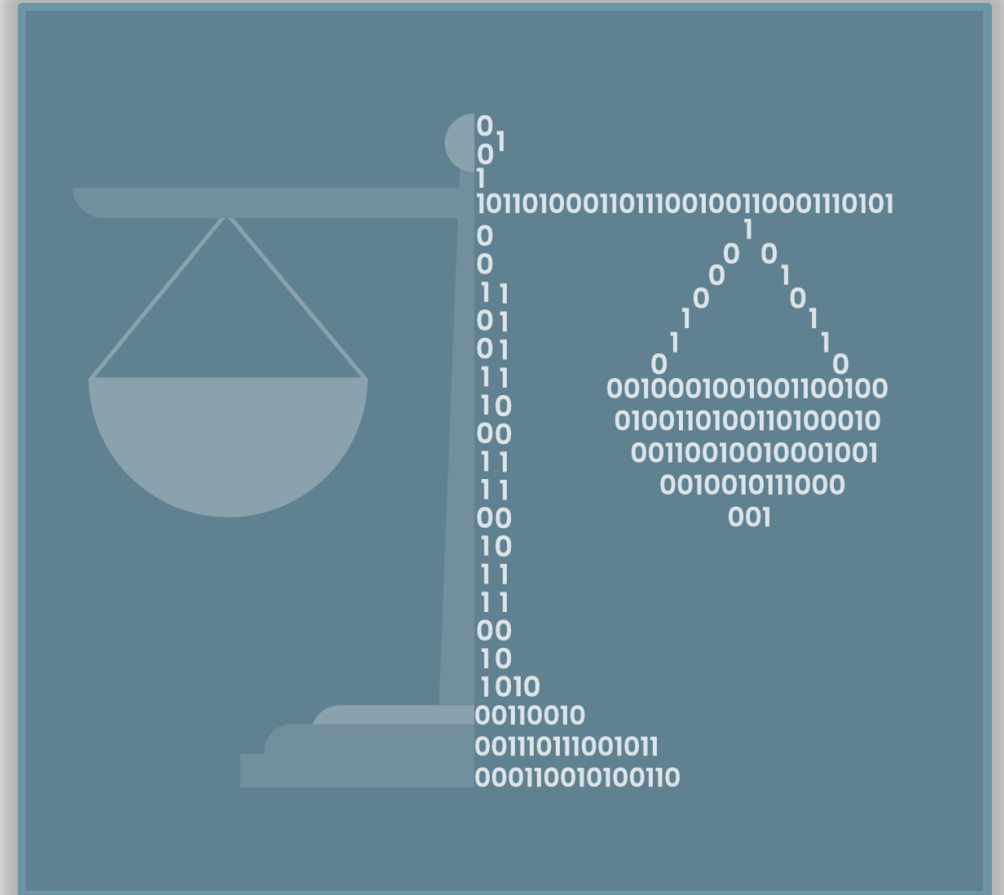
6% OF EMPLOYEES
have pasted sensitive data into GenAI.

4% OF EMPLOYEES
paste sensitive data into GenAI on a weekly basis.

0.7% OF EMPLOYEES
paste sensitive data into GenAI multiple times a week (including over the weekend).

Rule 2.1: Professional Judgement and Candid Advice

- Lawyers shall “exercise independent professional judgement and render candid advice,” which advice may be based on “moral, economic, social and political factors” relevant to the client’s circumstances.
- Outputs prepared by generative AI tools are not substitutes for “independent professional judgment.”
- Nor do such outputs necessarily account for myriad nontechnical considerations relevant to each client.



Rule 5.3(b): Supervision of Nonlawyer “Assistance”



- Lawyers who oversee nonlawyers bear the responsibility to reasonably assure that the nonlawyer’s behavior aligns with the ethical obligations of the lawyer.
- “Nonlawyer assistance” (see Comment 3 to Rule 5.3(b)) now encompasses third-party service providers and tech-based services such as:
 - Services for managing databases and documents
 - Services involving printing and scanning tasks
 - Services for storing information on the internet

AI Drafting Tools

AI Tools in Litigation – What they do well, their limitations, and their ethical and legal risks

New York lawyers sanctioned for using fake ChatGPT cases in legal brief

By Sara Merken

June 26, 2023 4:28 AM EDT · Updated a year ago



AI is creating fake legal cases and making its way into real courtrooms, with disastrous results

Published: March 12, 2024 3:15pm EDT

Opinion | AI is coming for the professional class. Expect outrage – and fear.

The Washington Post
Democracy Dies in Darkness

The Rise Of The Robots: Machine-Learning Algorithm Beats Top Lawyers

 **TODAY'S
CONVEYANCER**
Centre for Research in Property Law Institutions

US experts warn AI likely to kill off jobs - and widen wealth inequality

**The
Guardian**

Law Society predicts 'savage reduction' in legal jobs as AI takes over

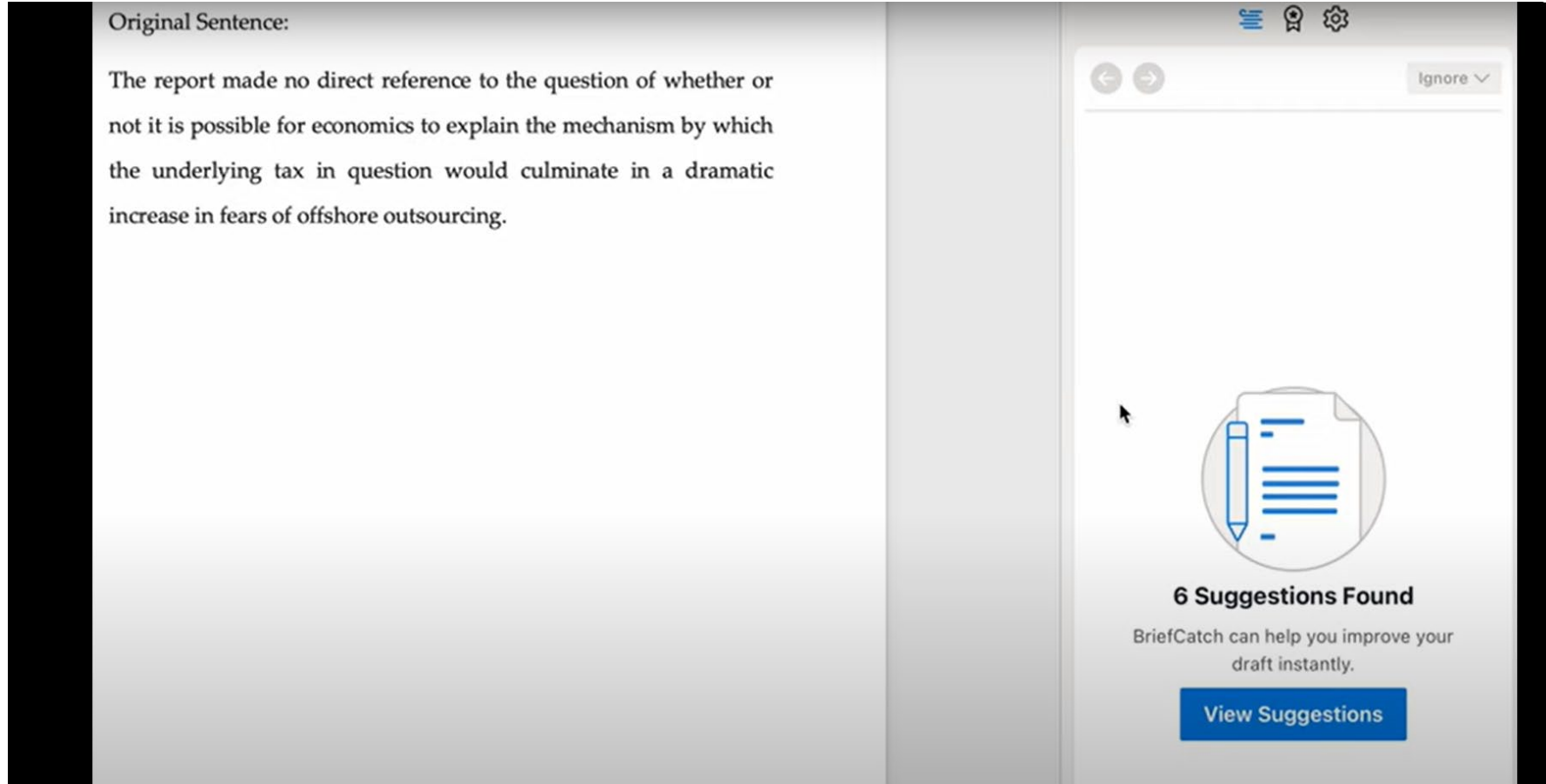
 **The Law
Society**
Gazette

AI Tools in Litigation – What they do well, their limitations, and their ethical and legal risks (cont'd)

Tools for *Style* - BriefCatch

Original Sentence:

The report made no direct reference to the question of whether or not it is possible for economics to explain the mechanism by which the underlying tax in question would culminate in a dramatic increase in fears of offshore outsourcing.



The image shows a side-by-side comparison of a document before and after using BriefCatch. On the left, the original sentence is displayed. On the right, the same document is shown with a notification overlay. The notification features a circular icon of a document with a pencil, the text "6 Suggestions Found", a brief description of the tool's function, and a blue button labeled "View Suggestions".

6 Suggestions Found
BriefCatch can help you improve your draft instantly.
[View Suggestions](#)

Tools for *Style* – BriefCatch (cont'd)

Original Sentence:

The report **made no direct reference to** the question of whether or not it is possible for economics to explain the mechanism by which the underlying tax in question would culminate in a dramatic increase in fears of offshore outsourcing.

1/6

made no direct reference to

↓

did not mention did not refer to

did not address ignored

glossed over skipped over

never mentioned overlooked

dodged blazed through

Could you convert this **noun** to a **verb** here to strengthen the sentence?

Example from Justice Kennedy: "The Arizona Supreme Court **did not refer to** any distinction between observation and mental-disease evidence, or lay and expert testimony."

Example from Justice Scalia: "Let it not be **overlooked** . . . that the thrust of the

Tools for *Style* – BriefCatch (cont'd)

From this:

The report made no direct reference to the question of whether or not it is possible for economics to explain the mechanism by which the underlying tax in question would culminate in a dramatic increase in fears of offshore outsourcing.

To this:

The report did not mention whether economics could explain how the tax would spike fears of offshore outsourcing.

Tools for *Substance* - ClearBrief

On June 3, 2022, Arthur Robbins was working his normal shift at Metro Potables. Robbins's shift was, as was typical, from 3pm to 11pm. Robbins had been working at Metro Potables for several years.

During Robbins's tenure at Metro Potables, there had been numerous complaints made to the State Liquor Commission that Robbins had been observed selling alcohol to visibly intoxicated persons. As a result, on June 3, 2022, Investigator Merlino from the State Liquor Commission was investigating Metro Potables. That evening, shortly before 9pm, Merlino witnessed Robbins selling a bottle of Mad Dog 20/20 to an individual named Harold Harkness. Immediately after the sale, Merlino approached Harkness, who exhibited signs of visible intoxication. And Robbins later admitted that, indeed, he had already made "several" sales to Harkness that day.

Files	OCR	Bates Stamp	Cites
Ex 3 - SLC Incident Report.pdf	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Ex 4 - SLC Hernandez Interview Report.pdf	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Ex 5 - SLC Mustafa Interview Report.pdf	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Ex 6 - Metro Potables Letter to Robbins.pdf	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Ex 8 - Metro Potables Robbins Employment Records.pdf	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Hernandez Deposition.pdf	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Merlino Deposition.pdf	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Mustafa Deposition.pdf	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Robbins Deposition.pdf	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

Tools for *Substance* – ClearBrief (cont'd)

The screenshot shows the ClearBrief interface with a search bar containing the text "On June 3, 2022, Arthur Robbins was working his normal shift at M". Below the search bar, a list of results is displayed, with "Ex 3 - SLC Incident Report at 3" highlighted in a red box. To the right, a document preview is shown, titled "State Liquor Commission Incident Report". The document includes a table with the following data:

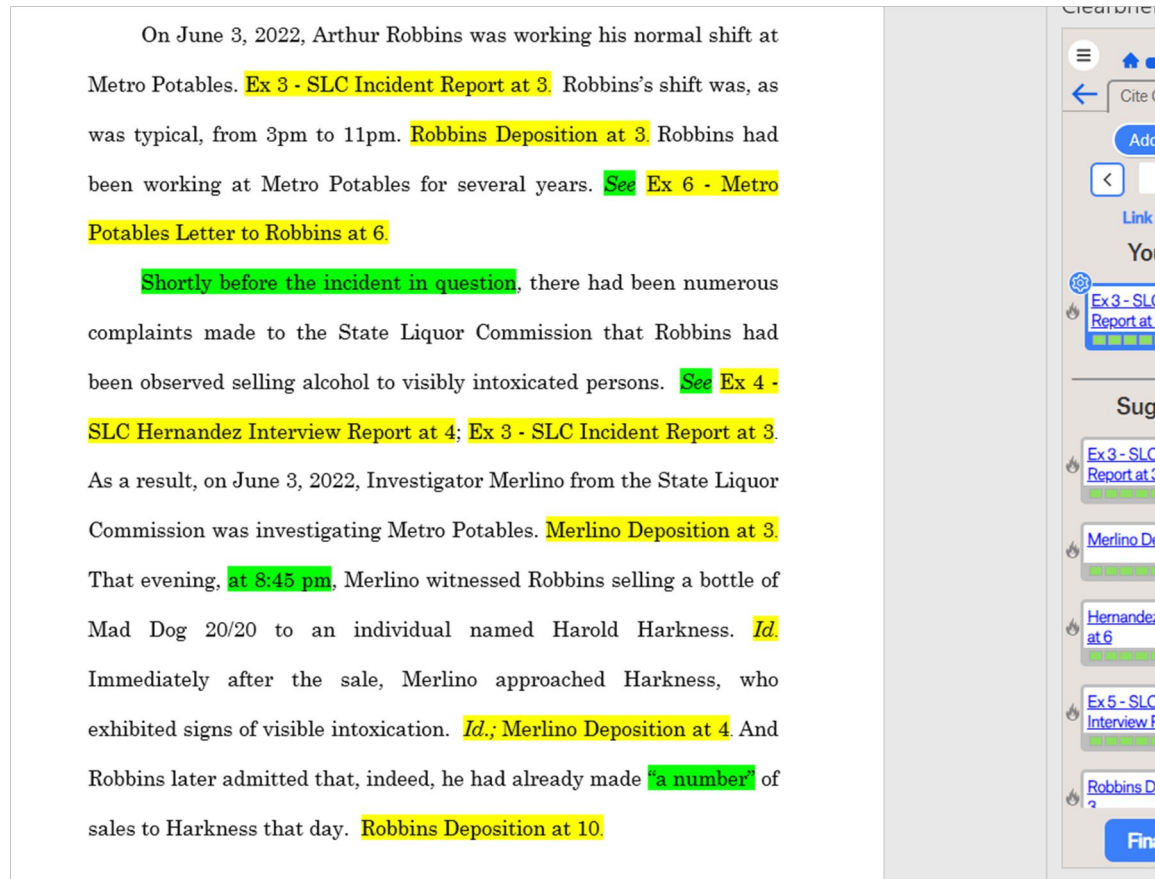
1. Incident/Case No.	2. Investigating Officer/Badge	3. Location	4. Date	5. Time of Incident
21-CC-00134	James Merlino / 214	Center City	06/03/22	Approx. 8:55 PM

The document also contains a narrative section describing the incident at the Metro Potables store.

On June 3, 2022, Arthur Robbins was working his normal shift at Metro Potables. Robbins's shift was, as was typical, from 3pm to

Tools for *Substance* – ClearBrief (cont'd)

In 9:49, based on a single read of the case file:



On June 3, 2022, Arthur Robbins was working his normal shift at Metro Potables. [Ex 3 - SLC Incident Report at 3](#). Robbins's shift was, as was typical, from 3pm to 11pm. [Robbins Deposition at 3](#). Robbins had been working at Metro Potables for several years. [See Ex 6 - Metro Potables Letter to Robbins at 6](#).

[Shortly before the incident in question](#), there had been numerous complaints made to the State Liquor Commission that Robbins had been observed selling alcohol to visibly intoxicated persons. [See Ex 4 - SLC Hernandez Interview Report at 4](#); [Ex 3 - SLC Incident Report at 3](#). As a result, on June 3, 2022, Investigator Merlino from the State Liquor Commission was investigating Metro Potables. [Merlino Deposition at 3](#). That evening, [at 8:45 pm](#), Merlino witnessed Robbins selling a bottle of Mad Dog 20/20 to an individual named Harold Harkness. [Id.](#) Immediately after the sale, Merlino approached Harkness, who exhibited signs of visible intoxication. [Id.](#); [Merlino Deposition at 4](#). And Robbins later admitted that, indeed, he had already made ["a number"](#) of sales to Harkness that day. [Robbins Deposition at 10](#).

The screenshot shows the ClearBrief interface with a sidebar on the right. The sidebar includes a search bar, a list of suggestions, and a 'Finalize' button. The suggestions list includes:

- [Ex 3 - SLC Incident Report at 3](#)
- [Merlino Deposition at 3](#)
- [Hernandez Deposition at 6](#)
- [Ex 5 - SLC Hernandez Interview Report at 4](#)
- [Robbins Deposition at 3](#)

Tools for *Research* - CoCounsel

The screenshot displays the CoCounsel web interface. The browser address bar shows `casetext.com/v2/ai-assistant`. The interface is divided into a sidebar on the left and a main content area on the right.

Sidebar:

- Header: Matters <<
- General: Legal Research Memo · 12 days ago
- Organize your work by matters: Create matters to automatically group your requests and answers. [Create a Matter](#)

Main Content Area:

- General CoCounsel chat Uploaded files
- Legal Research Memo completed.**
- Answer**

The authorities do not provide a clear answer to the query, but they suggest that a motion to extend page limits should generally be filed before the overlength filing is made. However, there is at least one case from the Southern District of Florida in which the court granted a motion to extend page limits that was filed after the overlength filing.
- Analysis**

The cases from the Southern District of Florida generally do not directly answer the query, but they do provide some guidance. For example, in *Kovacs v. National Hebrew Glatt, Inc.*, the court struck a motion that violated the page limit rule and stated that any motions to exceed the page limit would not be granted. This suggests that a motion to extend page limits
- Today
- Legal Research Memo
- Our Legal Research Memo skill allows you to tell me what you're looking for and I will run searches for you, summarize the results, and tell you what to read next.
- Legal Research Memo
- Is this helpful?
- COCOUNSEL SKILLS**
- Extract Contract Data Contract Policy Compliance [View all skills](#)
- Tell me what you want to do
- [Learn more about CoCounsel](#)

Tools for *Research* - CoCounsel

Legal Research Memo completed.

Legal Research Memo

Explain your legal research request

Use normal sentences like you would to a colleague. Include all relevant information like jurisdiction, background facts, and anything else relevant to the query.

In the Ninth Circuit, can a court consider the contents of a document repeatedly referenced in the complaint on a motion to dismiss, even if the contents contradict the plaintiffs' allegations?

This is how I understand your question. Make edits above if this is not right.

This query is asking whether, in the Ninth Circuit Court of Appeals, a court is allowed to take into account the contents of a document that is mentioned multiple times in a complaint, when ruling on a motion to dismiss, even if the document's contents conflict with the plaintiff's allegations.

I will use these filters in my legal research

Jurisdiction: 9th Circuit

Date: + Date Filter

Include Unpublished items: Yes

Submit

Tools for *Research* – CoCounsel (cont'd)

RESPONSE Answer

In the Ninth Circuit, a court may consider the contents of a document referenced in the complaint on a motion to dismiss, even if the contents contradict the plaintiff's allegations. However, the court will only do so if the document's authenticity is not contested, the plaintiff's complaint necessarily relies on it, and the document is central to the plaintiff's claim.

Analysis

Several of the authorities found are relevant to the query, and they generally support the conclusion that a court in the Ninth Circuit may consider the contents of a document referenced in the complaint on a motion to dismiss, even if the contents contradict the plaintiff's allegations.

The case of *Johnson v. Fed. Home Loan Mortg. Corp.* is particularly relevant, as it specifically addresses the question of whether a court may consider extrinsic evidence not attached to the complaint. The court held that it may do so if the document's authenticity is not contested and the plaintiff's complaint necessarily relies on it. The court also noted that it need not accept as true allegations that contradict documents referenced in the complaint.

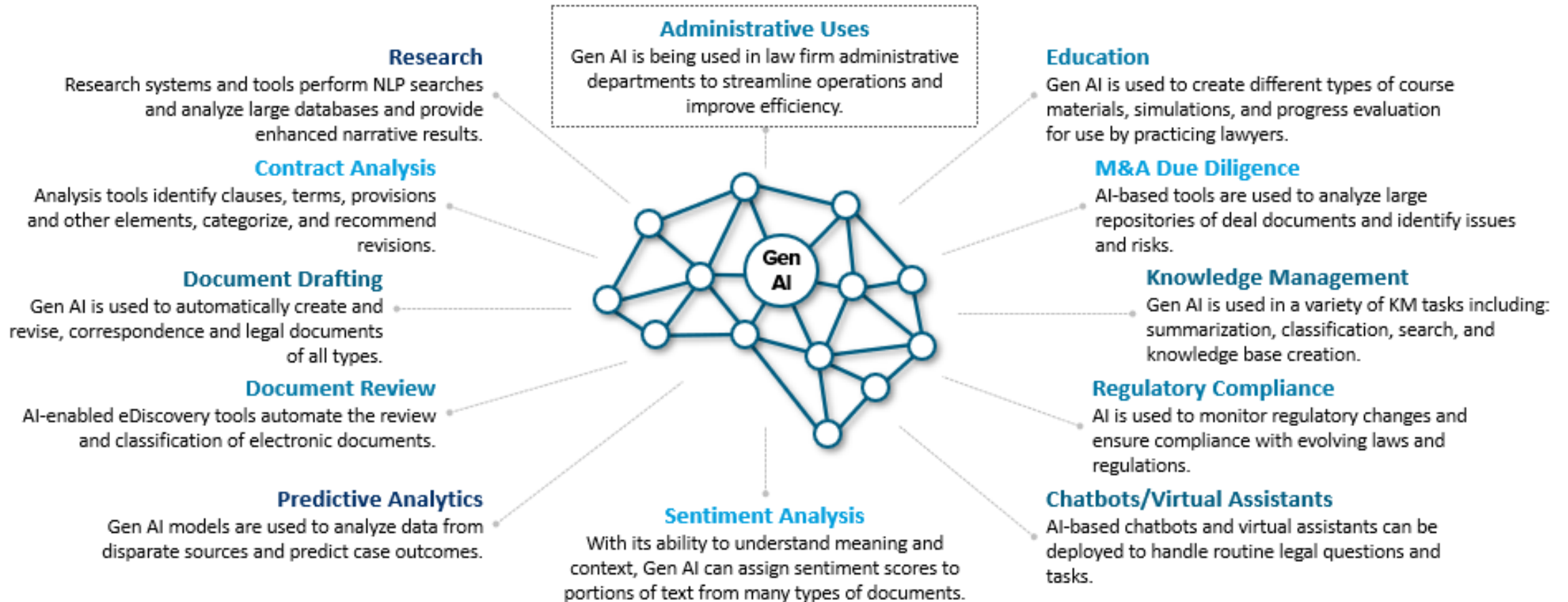
The case of *Orellana v. Mayorkas* is also relevant, as it discusses the extent to which a court may consider evidence beyond the pleadings on a motion to dismiss. However, the case does not directly address the question of whether a court can consider a document that contradicts the plaintiff's allegations.

The case of *Gerritsen v. Warner Bros. Entertainment Inc.* is also relevant, as it discusses the circumstances under which a court in the Ninth Circuit can consider materials outside the pleadings on a motion to dismiss. However, the case does not specifically address the situation where the contents of a document contradict the plaintiff's allegations.

The case of *Burress v. Sheisha* is also relevant, as it discusses the doctrine of incorporation by reference, which allows a court to consider documents referenced in a complaint even if they are not physically attached. However, the case does not specifically address whether the court can consider the contents of a document that contradicts the plaintiff's allegations.

The case of *GUTIERREZ v. CORT* is also relevant, as it discusses the scope of a motion to dismiss under Fed.R.Civ.P. 12(b)(6) in the Ninth Circuit, specifically noting that the court is "confined to the pleadings, documents referenced therein, or documents subject to judicial notice." However, the case does not directly address the question of whether a court can consider a document that contradicts the plaintiff's allegations.

Generative AI in Practice



Practical and Ethical Obligations

- Tools are hugely beneficial and can save significant time on tasks that might otherwise be done manually, but they help us do better work—they don't do the work for us, either as a practical or an ethical matter.
- Relevant Ethical Duties:
 - Competence
 - Communication
 - Independent Judgment
 - Confidentiality

Court Rules – Challenges and Call to Action

Tracking Federal Judge Orders On Artificial Intelligence

With the rise of generative artificial intelligence and more attorneys using the technology for brief writing and research, several federal judges have issued orders requiring lawyers to certify the use and accuracy of AI in their briefs.

A few months after generative AI became public, the shortcomings of using the technology for brief writing was dramatically illustrated by a case in New York where two personal injury attorneys were sanctioned in June for submitting an AI-generated with fake case citations. The incident was a catalyst for several judges to issue orders on AI.

For additional information on how state courts, bar organizations and other legal groups are handling generative AI guidance and restrictions, check out this tracker

Here Law360 Pulse created a tracker to follow all the orders that federal judges

law360.com/pulse/ai-tracker

Court	Judge	Order date	Order link	Law360 coverage
Central District of California	Magistrate Judge Rozella	Not available	Order text	

Court Rules – Challenges and Call to Action (cont'd)

IN THE UNITED STATES DISTRICT COURT
FOR THE WESTERN DISTRICT OF NORTH CAROLINA
CHARLOTTE DIVISION
DOCKET NO.: 3:24-mc-104

FILED
CHARLOTTE, NC

JUN 18 2024

US District Court
Western District of NC

IN RE:)
USE OF ARTIFICIAL INTELLIGENCE)
_____)

IN THE UNITED STATES DISTRICT COURT
FOR THE WESTERN DISTRICT OF NORTH CAROLINA
CHARLOTTE DIVISION

Briefs and memoranda prepared using artificial intelligence (AI) platforms (e.g. ChatGPT)

have increased the Court's concern regarding the Court is concerned regarding whether the reports have been properly vetted by counsel or the several reports around the country regarding and unsupported arguments that have been mitigate these concerns with the following

All attorneys and pro se filers must submit to the Court that states the following

1. No artificial intelligence was used in the preparation of this document, with the exception of such artificial intelligence embedded in the standard on-line legal research sources Westlaw, Lexis, FastCase, and Bloomberg;
2. Every statement and every citation to an authority contained in this document has been checked by an attorney in this case and/or a paralegal working at his/her direction (or the party making the filing if acting pro se) as to the accuracy of the proposition for which it is offered, and the citation to authority provided.

1. No artificial intelligence was employed in doing the research for the preparation of this document, with the exception of such artificial intelligence embedded in the standard on-line legal research sources Westlaw, Lexis, FastCase, and Bloomberg;

AI is Everywhere: Policies, Governance, and Best Practices

**Sung to the tune of Elvis is Everywhere
by Mojo Nixon**



AI is Everywhere and in Everything!

People

- Employees
- Customers
- Directors and shareholders

Infrastructure

- Physical assets (e.g., buildings, equipment, computers, networks, facilities)
- Technology to support business functions (e.g., financial management, HR, payroll, customer relationship management, document management systems)

Intellectual Property

- Patents, trademarks, copyrights
- Trade secrets, know-how, best practices

Contracts

- Vendors have AI everywhere and in everything too.

AI will be the King!



Risk Mitigation

- Internal use policies
- Third-party contracts
- Outside counsel guidelines

Evaluate Tools

- Look for risk AI creates (e.g., compliance, regulatory, operational, reputational, third-party, information security, technology, fraud, human capital, data management, change management risk)

Designated AI Team

- Comprised of employees across lines of business, functions
- Tasked with learning about AI developments, evaluating internal use cases, and evaluating all AI-related questions/issues raised for the company

Communication

- AI is everybody.

WINSTON
& STRAWN
LLP