MAR 1 0 2016

## BEFORE THE DISCIPLINARY BOARD OF THE WASHINGTON STATE BAR ASSOCIATION

In re

## CHRISTOPHER WILLIAM BAWN,

Lawyer (Bar No. 13417).

Proceeding No. 15#00088

ODC File Nos. 13-01983, 14-01216

STIPULATION TO NINE-MONTH SUSPENSION

Under Rule 9.1 of the Rules for Enforcement of Lawyer Conduct (ELC), the following Stipulation to Suspension is entered into by the Office of Disciplinary Counsel (ODC) of the Washington State Bar Association (Association) through Disciplinary Counsel M Craig Bray and respondent lawyer Christopher William Bawn.

Respondent understands that he is entitled under the ELC to a hearing, to present exhibits and witnesses on his behalf, and to have a hearing officer determine the facts, misconduct and sanction in this case. Respondent further understands that he is entitled under the ELC to appeal the outcome of a hearing to the Disciplinary Board, and, in certain cases, the Supreme Court. Respondent further understands that a hearing and appeal could result in an outcome more favorable or less favorable to him. Respondent chooses to resolve this proceeding now by entering into the following stipulation to facts, misconduct and sanction to

Stipulation to Nine-Month Suspension Page 1

OFFICE OF DISCIPLINARY COUNSEL
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1	avoid the risk, time, and expense attendant to further proceedings.
2	I. ADMISSION TO PRACTICE
3	1. Respondent was admitted to practice law in the State of Washington on October 27,
4	1983.
5	II. STIPULATED FACTS
6	A. ODC File No. 13-01983 - Grievance filed by ODC
7	2. On October 18, 2013, the Office of Disciplinary Counsel (ODC) received a trust account
8	overdraft notification (TAON) from Columbia Bank regarding Respondent's lawyer trust
9	account No. xxxxxx835. The notice stated that check number 1110 for \$200.00 was presented
10	against an available balance of \$182.64.
1	3. On October 25, 2013, ODC requested that Respondent provide an explanation for the
12	overdraft and relevant records within 30 days.
13	4. Respondent did not respond.
14	5. ODC sent Respondent a "10-day letter" on January 7, 2014, informing him that if he did
15	not respond by January 21, 2014, he may be subpoenaed for a deposition, and could be subject
16	to interim suspension from the practice of law.
17	6. Respondent did not respond.
18	7. On April 1, 2014, ODC subpoenaed Respondent under ELC 5.3(h) for a deposition on
19	May 1, 2014.
20	8. Respondent appeared at the deposition and brought some, but not all, of the records
21	ODC requested in its October 25, 2013 request for response and in the deposition subpoena.
22	9. After the deposition, on May 23, 2014, ODC requested that Respondent provide an
23	additional response and more records within 30 days.
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1	suspended Respondent from the practice of law on an interim basis effective immediately. That			
2	suspension remains in effect.			
3	22. During its investigation, ODC discovered that Respondent also had trust accounts at Key			
4	Bank and Heritage Bank in addition to Columbia Bank.			
5	23. ODC subpoenaed bank records from all three banks.			
6	24. ODC audited all of Respondent's trust accounts for the period of August 31, 2013 to			
7	December 31, 2014, but was not able to complete a full reconstruction of Respondent's trus			
8	accounts due to the lack of complete records.			
9	25. The audit revealed that Respondent:			
10	<ul> <li>did not maintain separate trust account check registers or individual client ledgers as required by RPC 1.15B(a);</li> </ul>			
11	<ul> <li>did not properly reconcile trust account check registers to the monthly bank statements or to the combined total of all client ledger records as</li> </ul>			
12	required by RPC 1.15A(h)(6); and  • did not wait for a deposit to clear the banking system and be collected			
13	before disbursing funds from trust as required by RPC 1.15A(h)(7).			
14	B. ODC File No. 14-01216 – Grievance filed by Greg Isaacson			
15	26. Greg Isaacson hired Respondent to represent him in a whistleblower complaint against			
16	the City of Centralia.			
17	27. An administrative hearing was held in February and March 2001. The administrative law			
18	judge (ALJ) denied Mr. Isaacson's claims, finding that he failed to report any activity that			
19	constituted improper governmental action.			
20	28. In April 2001, Respondent, on behalf of Mr. Isaacson, filed a petition for review by the			
21	Lewis County Superior Court of the administrative decision.			
22	29. Respondent also filed a complaint for damages arising out of Mr. Isaacson's allegation			
23	that the City retaliated against him for bringing his whistleblower complaint.			
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1	30. On September 19, 2002, the Lewis County Clerk filed and served a notice of dismissal			
2	for want of prosecution because there had been little activity in the case.			
3	31. Respondent did not respond.			
4	32. On October 22, 2002, the court dismissed Mr. Isaacson's case.			
5	33. On November 4, 2002, Respondent filed a motion to reconsider the order of dismissa			
6	stating that he had not received the clerk's notice.			
7	34. The court granted the motion and vacated the order of dismissal. Mr. Isaacson's case was			
8	set for trial on January 5, 2004.			
9	35. On May 21, 2003, counsel for the City wrote to Respondent asking that the parties			
10	organize a briefing schedule for Mr. Isaacson's petition for review matter.			
11	36. Respondent did not respond.			
12	37. The City sent a letter and proposed stipulated briefing schedule to Respondent.			
13	38. He did not respond.			
14	39. The City filed a motion to request briefing and a hearing schedule on Mr. Isaacson's			
15	petition for review. A hearing was set for June 20, 2003.			
16	40. Respondent did not respond to the motion or appear at the hearing.			
17	41. The court granted the City's motion and set a briefing schedule, ordering Respondent to			
18	file a brief in support of his client's petition by August 15, 2003.			
19	42. Respondent received the court's order setting the briefing schedule.			
20	43. Respondent did not file a brief by the August 15, 2003 deadline.			
21	44. The City moved to dismiss Mr. Isaacson's petition for review on September 17, 2003.			
22	The court set a hearing for October 3, 2003.			
23	45. Respondent did not respond to the motion to dismiss.			
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1	rules of a tribunal.		
2	53. By failing to take action on Mr. Isaacson's matters, resulting in his cases being		
3	dismissed, Respondent violated RPC 1.3 (act with reasonable diligence and promptness in		
4	representing a client), and RPC 3.2 (make reasonable efforts to expedite litigation).		
5	IV. PRIOR DISCIPLINE		
6	54. Respondent has no prior public discipline.		
7	V. APPLICATION OF ABA STANDARDS		
8	55. The following American Bar Association Standards for Imposing Lawyer Sanctions		
9	(1991 ed. & Feb. 1992 Supp.) apply to this case: 4.1 – Failure to Preserve the Client's Property;		
10	4.4 – Lack of Diligence; 6.2 – Abuse of the Legal Process; and 7.0 – Violations of Duties Owed		
11	as a Professional. Copies of these <u>Standards</u> are attached as Appendix A.		
12	56. Respondent acted knowingly in failing to respond to ODC's requests for response and		
13	documents.		
14	57. Respondent's failure to respond to ODC's requests for response and documents injured		
15	the disciplinary system as ODC was forced to expend more limited resources on this matter than		
16	would have been otherwise necessary and was unable to fully investigate the matter.		
17	58. The presumptive sanction for knowingly failing to respond to requests for information		
18	from a disciplinary authority causing injury to the discipline system is suspension under ABA		
19	Standard 7.2.		
20	59. Respondent acted negligently in failing to maintain adequate trust account records and		
21	failing to maintain client funds in trust.		
22	60. His failure to keep adequate records resulted in the loss or potential loss of client funds.		
23	61. The presumptive sanction for negligently failing to keep adequate trust account records		
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1	and failing to wait for deposit items to clear the bank thereby causing injury or potential injury			
2	to client funds is reprimand under ABA Standard 4.13.			
3	62. Respondent acted knowingly in failing to comply with the court's order in the Isaacso			
4	matter and in failing to pursue Mr. Isaacson's matter diligently.			
5	63. Respondent's actions injured Mr. Isaacson, who lost his day in court.			
6	64. The presumptive sanction for knowingly failing to comply with court's orders causin			
7	injury to a client is suspension under ABA Standard 6.22.			
8	65. The presumptive sanction for knowingly failing to diligently pursue a client's matte			
9	causing injury to the client is suspension under ABA Standard 4.42(a).			
10	66. The following aggravating factors apply under ABA Standard 9.22:			
11	(a) Substantial experience in the practice of law (admitted in 1983); and (d) multiple offenses.			
12	67. The following mitigating factors apply under ABA Standard 9.32:			
13 14	<ul><li>(a) Absence of a prior disciplinary record; and</li><li>(b) absence of a dishonest or selfish motive.</li></ul>			
15	68. It is an additional mitigating factor that Respondent has agreed to resolve this matter at			
16	an early stage of the proceedings.			
17	69. On balance the aggravating and mitigating factors do not require a departure from the			
18	presumptive sanction.			
19	VI. STIPULATED DISCIPLINE			
20	70. The parties stipulate that Respondent shall receive a nine-month suspension for his			
21	conduct.			
22	71. As a condition of reinstatement from suspension, Respondent shall complete the			
23	following steps to determine whether any funds are owed to clients or third parties:			
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- a) Respondent shall reconstruct<sup>1</sup> his trust account records for the time period of August 31, 2013 to December 31, 2014, in compliance with the requirements of RPC 1.15A and RPC 1.15B, using all available client records and financial records to assist in the identification of funds received and disbursed. Respondent shall do so at his own expense. Respondent shall not be eligible for a certification of completion of specific conditions of suspension under ELC 13.3(b)(1)(B) unless Respondent provides the complete reconstructed trust-account records to ODC at least 60 days prior to seeking certification of completion. Respondent shall promptly provide additional records and information to ODC if requested to facilitate ODC's assessment of the completeness and accuracy of the reconstruction.<sup>2</sup>
- b) The reconstruction may, or may not, reveal that one or more clients have not received all funds to which they are entitled. If the reconstructed trust-account records for the time period of August 21, 2013 to December 31, 2014 indicate that any client is owed funds, then Respondent shall provide each client, in writing, with a complete updated accounting of his receipt and disbursement of all funds. The accounting shall identify the source, date and amount of all funds received, and the recipient, purpose, date and amount of all funds disbursed. Respondent shall not be eligible for a certification of completion of specific conditions of suspension under ELC 13.3(b)(1)(B) unless Respondent provides ODC with proof that he/she has done so, and with copies of the accountings, at least 60 days prior to seeking certification of completion.
- 72. Respondent will be subject to probation for a period of two years commencing upon Respondent's reinstatement to the practice of law, with periodic reviews under ELC 13.8 of his trust account practices, and shall comply with the specific probation terms set forth below:
  - a) Respondent shall carefully review and fully comply with RPC 1.15A and RPC 1.15B, and shall carefully review the current version of the publication, <u>Managing Client Trust Accounts: Rules, Regulations, and Common Sense.</u>
  - b) For all client matters, Respondent shall have a written fee agreement signed by the client, which agreements are to be maintained for least seven years (see RPC 1.15B(a)(3)).

<sup>&</sup>lt;sup>1</sup> "Reconstruction" involves the preparation, for all funds put into and removed from the trust account, of complete and accurate client ledgers, check register, reconciliations between the check register balances and the balances of the bank statements, and reconciliations between the check register balances and the combined total of all the client ledger balances.

<sup>&</sup>lt;sup>2</sup> Respondent acknowledges and agrees that if information in reconstructed trust account records or in other information or records provided to ODC under paragraph 54 reveals any acts of misconduct not specifically identified in this Stipulation, ODC may investigate and/or prosecute such additional misconduct to the extent otherwise authorized by the ELC.

- On a quarterly basis, Respondent shall provide ODC's audit staff with all trustaccount records for the time period to be reviewed by ODC's audit staff and disciplinary counsel for compliance with the RPC:
  - i) Months 1-3. By no later than the  $30^{th}$  day of the fourth month after the commencement of probation, Respondent shall provide the trust account records from the date of his/her reinstatement to the end of the third full
  - ii) Months 4-6. By no later than the  $30^{th}$  day of the seventh month after the commencement of probation, Respondent shall provide the trust account records from the end of the previously provided quarter through the end of
  - Months 7 9. By no later than the  $30^{th}$  day of the tenth month after the commencement of probation, Respondent shall provide the trust account records from the end of the previously provided quarter through the end of
  - iv) Months 10 12. By no later than the  $30^{th}$  day of the thirteenth month after the commencement of probation, Respondent shall provide the trust account records from the end of the previously provided quarter through
  - v) Months 13-15. By no later than the 30<sup>th</sup> day of the sixteenth month after the commencement of probation, Respondent shall provide the trust account records from the end of the previously provided quarter through
  - vi) Months 16 18. By no later than the  $30^{th}$  day of the nineteenth month after the commencement of probation, Respondent shall provide the trust account records from the end of the previously provided quarter through
  - vii) Months 19 21. By no later than the 30<sup>th</sup> day of the twenty-second month after the commencement of probation, Respondent shall provide the trust account records from the end of the previously provided quarter through

The trust account records Respondent provides to ODC for each quarterly review of his trust account will include: (a) a complete checkbook register for his trust account covering the period being reviewed, (b) complete individual client ledger records for any client with funds in Respondent's trust account during all or part of the period being reviewed, as well as for Respondent's own funds in the account (if any), (c) copies of all trust-account bank statements, deposit slips, and cancelled checks covering the period being reviewed, (d) copies of all trust account client ledger reconciliations for the period being reviewed, and (e) copies of

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- reconciliations of Respondent's trust account check register covering the period being reviewed. The ODC's Audit Manager or designee will review Respondent's trust account records for each period.
- d) On the same quarterly time schedule set forth in the preceding paragraph, Respondent will provide ODC's Audit Manager or designee with copies of any and all fee agreements entered into within the time period at issue.
- The ODC's Audit Manager or designee may request additional financial or client records if needed to verify Respondent's compliance with RPC 1.15A and/or 1.15B. Within twenty days of a request from ODC's Audit Manager or designee for additional records needed to verify Respondent's compliance with RPC 1.15A and/or RPC 1.15B, Respondent will provide ODC's Audit Manager or designee the additional records requested.
- Respondent will reimburse the Association for time spent by ODC's Audit Manager or designee in reviewing and reporting on Respondent's records to determine his/her compliance with RPC 1.15A and RPC 1.15B, at the rate of \$85 per hour. Respondent will make payment within thirty days of each written invoice setting forth the auditor's time and payment due.

## VII. RESTITUTION

- 73. If the reconstructed trust-account records for the time period of August 31, 2013 to December 31, 2014 indicate that any client is owed funds, then Respondent is required to make full restitution to each client of all funds owed. Respondent shall pay to the client interest on those funds, at a rate of 12%, calculated from the date on which the client (or third party as directed by the client) was first entitled to receive the funds to the date on which repayment is made. Reinstatement is conditioned on full payment of restitution, with interest, or on entry of a periodic payment plan with disciplinary counsel.
- 74. Restitution does not appear to be appropriate in the Isaacson matter because it does not appear that Mr. Isaacson paid Respondent legal fees after Respondent filed his petition for review and his civil suit against the City.

## VIII. COSTS AND EXPENSES

75. In light of Respondent's willingness to resolve this matter by stipulation at an early stage

1	including the benefits to both by promptly resolving this matter without the time and expense of		
2	hearings, Disciplinary Board appeals, and Supreme Court appeals or petitions for review. As		
3	such, approval of this Stipulation will not constitute precedent in determining the appropriate		
4	sanction to be imposed in other cases; but, if approved, this Stipulation will be admissible in		
5	subsequent proceedings against Respondent to the same extent as any other approved		
6	Stipulation.		
7	81. Under Disciplinary Board policy, in addition to the Stipulation, the Disciplinary Board		
8	shall have available to it for consideration all documents that the parties agree to submit to the		
9	Disciplinary Board, and all public documents. Under ELC 3.1(b), all documents that form the		
10	record before the Board for its review become public information on approval of the Stipulation		
11	by the Board, unless disclosure is restricted by order or rule of law.		
12	82. If this Stipulation is approved by the Disciplinary Board and Supreme Court, it will be		
13	followed by the disciplinary action agreed to in this Stipulation. All notices required in the		
14	Rules for Enforcement of Lawyer Conduct will be made.		
15	83. If this Stipulation is not approved by the Disciplinary Board and Supreme Court, this		
16	Stipulation will have no force or effect, and neither it nor the fact of its execution will be		
17	admissible as evidence in the pending disciplinary proceeding, in any subsequent disciplinary		
18	proceeding, or in any civil or criminal action.		
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24	Stimulation to Nine-Month Suspension OFFICE OF DISCIPLINARY COUNSEL		

1	WHEREFORE the undersigned being fully ad	vised, adopt a	and agree to this Stipula	ation
2	to Nine-Month Suspension as set forth above.			
3	and the second	Dated:	1/22/2016	
4	Christopher William Bawn, Bar No. 13417 Respondent			
5	Respondent			
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7	M Craig Day Par No. 20821	Dated:	1/28/2016	
8	M Craig Bray, Bar No. 20821 Disciplinary Counsel			
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1	Appendix <u>A</u>
	Applicable ABA <u>Standards</u>
2	• •
3	<ul> <li>4.1 Failure to Preserve the Client's Property</li> <li>4.11 Disbarment is generally appropriate when a lawyer knowingly converts client property and causes injury or potential injury to a client.</li> </ul>
5	4.12 Suspension is generally appropriate when a lawyer knows or should know that he is dealing improperly with client property and causes injury
6	or potential injury to a client.  4.13 Reprimand is generally appropriate when a lawyer is negligent in dealing
7	with client property and causes injury or potential injury to a client.  4.14 Admonition is generally appropriate when a lawyer is negligent in
8	dealing with client property and causes little or no actual or potential injury to a client.
9	4.4 Lack of Diligence 4.41 Disbarment is generally appropriate when:
0	(a) a lawyer abandons the practice and causes serious or potentially serious injury to a client; or
11	(b) a lawyer knowingly fails to perform services for a client and causes serious or potentially serious injury to a client; or
12	(c) a lawyer engages in a pattern of neglect with respect to client matters and causes serious or potentially serious injury to a client.
13	4.42 Suspension is generally appropriate when:  (a) a lawyer knowingly fails to perform services for a client and
14	causes injury or potential injury to a client, or (b) a lawyer engages in a pattern of neglect and causes injury or
15	potential injury to a client. 4.43 Reprimand is generally appropriate when a lawyer is negligent and does
16	not act with reasonable diligence in representing a client, and causes injury or potential injury to a client.
17	4.44 Admonition is generally appropriate when a lawyer is negligent and does not act with reasonable diligence in representing a client, and causes little
18	or no actual or potential injury to a client.
19	<ul><li>6.2 Abuse of the Legal Process</li><li>6.21 Disbarment is generally appropriate when a lawyer knowingly violates a</li></ul>
20	court order or rule with the intent to obtain a benefit for the lawyer or another, and causes serious injury or potentially serious injury to a party
21	or causes serious or potentially serious interference with a legal proceeding.
22	6.22 Suspension is generally appropriate when a lawyer knows that he or she is violating a court order or rule, and causes injury or potential injury to a
23	client or a party, or causes interference or potential interference with a legal proceeding.

1	6.23	Reprimand is generally appropriate when a lawyer negligently fails to comply with a court order or rule, and causes injury or potential injury to
2		a client or other party, or causes interference or potential interference
3	6.24	with a legal proceeding.  Admonition is generally appropriate when a lawyer engages in an
4		isolated instance of negligence in complying with a court order or rule, and causes little or no actual or potential injury to a party, or causes little
5		or no actual or potential interference with a legal proceeding.
6	7.0 V 7.1	<i>Tiolations of Duties Owed as a Professional</i> Disbarment is generally appropriate when a lawyer knowingly engages in
	,	conduct that is a violation of a duty owed as a professional with the intent to obtain a benefit for the lawyer or another, and causes serious or
7		potentially serious injury to a client, the public, or the legal system.
8	7.2	Suspension is generally appropriate when a lawyer knowingly engages in conduct that is a violation of a duty owed as a professional and causes
9	7.3	injury or potential injury to a client, the public, or the legal system.  Reprimand is generally appropriate when a lawyer negligently engages in
10	7.3	conduct that is a violation of a duty owed as a professional and causes
11	7.4	injury or potential injury to a client, the public, or the legal system.  Admonition is generally appropriate when a lawyer engages in an
12	i.	isolated instance of negligence that is a violation of a duty owed as a professional, and causes little or no actual or potential injury to a client,
13		the public, or the legal system
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