

VIRGINIA:

BEFORE THE NINTH DISTRICT SUBCOMMITTEE
OF THE VIRGINIA STATE BAR

DEC 4 2012

IN THE MATTER OF
John William Swezey

VSB Docket No. 11-090-084718

SUBCOMMITTEE DETERMINATION
(PUBLIC REPRIMAND WITHOUT TERMS)

On November 16, 2012 a meeting was held in this matter before a duly convened Ninth District Subcommittee consisting of Hank Creasy, IV, Esq.; Fred Watson, Esq.; and Thomas W. Seaman. During the meeting, the Subcommittee voted to approve an Agreed Disposition for a Public Reprimand without Terms pursuant to Part 6, § IV, ¶ 13-15.B.4 of the Rules of the Supreme Court of Virginia. The Agreed Disposition was entered into by the Virginia State Bar, by Edward J. Dillon, Assistant Bar Counsel, and John William Swezey, Respondent, and Phillip V. Anderson, Esq., counsel for Respondent.

WHEREFORE, the Ninth District Subcommittee of the Virginia State Bar hereby serves upon Respondent the following Public Reprimand without Terms:

FINDINGS OF FACT

1. At all relevant times, Respondent John W. Swezey was an attorney licensed to practice law in the Commonwealth of Virginia.
2. Respondent was retained by Veterinarian Dr. William L. Boyce in 2004 to file and prosecute on behalf of Dr. Boyce a lawsuit against three persons – Kristen E. Pruitt, Jeanie Frisco, and Melissa W. Fain – who had testified against Dr. Boyce at a December 2003 Board of Veterinary Medicine hearing (the “Board Hearing”). The Board of Veterinary Medicine subsequently entered a December 2003 Order (the “Board Order”) imposing sanctions, including a three-year term of probation, against Dr. Boyce for violations of certain professional regulations of the Board of Veterinary Medicine.
3. On or about January 13, 2005, Respondent filed a Motion for Judgment styled William L. Boyce v. Kristen E. Pruitt, et al., Case No. LH05-3315 (the “Lawsuit”), with the Circuit Court for Patrick County on behalf of Dr. Boyce. In addition to Ms. Pruitt, Ms. Frisco, and Ms. Fain, the Lawsuit named Charles P. Hable and the Animal Clinic of Patrick County,

P.C. (the "Animal Clinic") as defendants. The Lawsuit sought \$300,000 in general damages and \$500,000 in punitive damages.

4. The Lawsuit alleged that the five defendants had violated Va. Code §§ 18.2-499 and 18.2-500 by mutually undertaking to "willfully and maliciously injure the Plaintiff, his reputation, trade, business, and profession as well as willfully and maliciously compelling others to act against his or her will or prevented another from doing or performing a lawful act."
5. The fact allegations underlying this conspiracy, as pled in the Lawsuit, were that Ms. Pruitt, Ms. Frisco, and Ms. Fain offered "false, malicious, [and] misleading" testimony at the December 2003 Board Hearing and that such testimony was based "upon exhibits that were untrue and purposefully altered all in an attempt to discredit the reputation, trade, business and profession of the Plaintiff."
6. The Lawsuit further alleged that, although Dr. Hable and the Animal Clinic did not testify at the December 2003 Board Hearing, they were "aware of and condoned" the actions of the three other defendants and, thus, "conspired" with those defendants.
7. All of the defendants named in the Lawsuit were immune from civil liability for the allegations stated in the Lawsuit.
8. The Lawsuit was signed by Respondent as counsel for Dr. Boyce as required by Va. Code § 8.01-271.1.
9. Respondent failed to make the reasonable pre-filing inquiry required by Va. Code § 8.01-271.1 to determine that the Lawsuit was well-grounded in fact, warranted by existing law or a good faith argument for extension, modification, or reversal of existing law, and not interposed for an improper purpose, such as harassment.
10. On or about January 31, 2005, Jane S. Glenn, Esq., informed Respondent via letter that she had been retained to represent Ms. Pruitt and Ms. Frisco in the Lawsuit and stated that "[i]f Ms. Pruitt and Ms. Frisco are not dismissed with prejudice . . . it is our intention to file all appropriate responsive pleadings, including a motion made pursuant to Sec. 8.01-271.1 seeking sanctions against both you and your client for the filing of what any reasonable person upon reasonable inquiry would deem to be a frivolous pleading and made for an improper person."
11. After receiving the January 31, 2005 letter from Ms. Glenn, Respondent had a telephone call with Ms. Glenn in which Ms. Glenn told Respondent that the testimony of her clients at the Board Hearing was subject to a privilege and, thus, her clients were immune to civil liability for such testimony.
12. On or about February 8, 2005, Ms. Glenn filed responsive pleadings on behalf of Ms. Pruitt and Ms. Frisco. These responsive pleadings included a Special Plea of Absolute and/or Qualified Immunity based on the fact that both Ms. Pruitt and Ms. Frisco were entitled to immunity from civil liability for their testimony at the Board Hearing. Each of these responsive pleadings also included a Motion for Sanctions against Respondent and Dr. Boyce for filing a lawsuit "solely in an effort to harass this defendant and others."
13. On or about February 8, 2005, counsel for Mr. Hable, Ms. Fain, and the Animal Clinic also filed a Special Plea in Bar alleging that they were immune from civil liability.
14. On or about February 10, 2005, the Commonwealth of Virginia (the "Commonwealth") on behalf of the Office of the Attorney General, the Department of Health Professions, and the Board of Veterinary Medicine filed with the Circuit Court for Patrick County a Motion to Intervene/Motion to Dismiss (the "Motion to Intervene") in regard to the Lawsuit. The

Commonwealth stated in the Motion to Dismiss: “The defendants are entitled to an absolute privilege for the statements they made regarding [Dr.] Boyce at the December 3, 2003 formal hearing.”

15. On or about April 22, 2005, Respondent filed a Response to Motion to Dismiss by Commonwealth of Virginia stating that “there is no absolute privilege.” Respondent stated no further legal or factual basis for this position.
16. Despite being made aware through the aforementioned communications and pleadings that the testimony offered at the Board Hearing was privileged and, as a result, the defendants were immune from civil liability for the allegations stated in the Lawsuit, Respondent did not request dismissal of the Lawsuit, nonsuit the Lawsuit, or seek to amend the Lawsuit to include additional fact allegations and/or legal theories.
17. The Circuit Court for Patrick County sustained the Special Pleas and dismissed the lawsuit. At a May 5, 2005 motions hearing, the Court stated: “Beyond question, the common law of absolute privilege or judicial privilege applied to the statements complained of in Dr. Boyce’s Motion for Judgment. For that reason, the Court sustains the Special Pleas regarding absolute privilege[.]”
18. On or about October 17, 2005, the Court held a hearing on the motions for sanctions that were pending against Respondent and Dr. Boyce.
19. On or about December 3, 2010, the Court entered the Final Order in the Lawsuit (the “Final Order”), in which it held that Respondent and Dr. Boyce had violated Va. Code § 8.01-271.1 by filing and maintaining the Lawsuit; imposed monetary sanctions against Respondent and Dr. Boyce, jointly and severally, totaling more than \$30,000; and imposed non-monetary sanctions against Respondent that included a requirement that he successfully complete six hours of continuing legal education that qualifies for ethics credit.
20. In sanctioning Respondent and Dr. Boyce, the Court characterized the Lawsuit as a “spite suit” and stated: “It appears to be part of a multi-front campaign to punish the defendants for engaging in protected speech, *i.e.*, testimony that led the Veterinary Board to sanction [Dr.] Boyce. Such suits cannot be tolerated.” A true and correct copy of the Final Order, which includes the Court’s July 28, 2010 Letter Opinion, is attached hereto as Exhibit A and incorporated herein by reference.

NATURE OF MISCONDUCT

Such conduct by Respondent constitutes misconduct in violation of the following

provisions of the Rules of Professional Conduct:

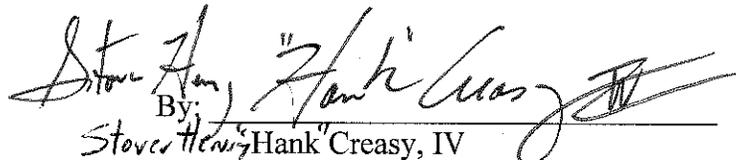
RULE 3.1 Meritorious Claims And Contentions

A lawyer shall not bring or defend a proceeding, or assert or controvert an issue therein, unless there is a basis for doing so that is not frivolous, which includes a good faith argument for an extension, modification or reversal of existing law. A lawyer for the defendant in a criminal proceeding, or the respondent in a proceeding that could result in incarceration, may nevertheless so defend the proceeding as to require that every element of the case be established.

PUBLIC REPRIMAND WITHOUT TERMS

Accordingly, having approved the Agreed Disposition, it is the decision of the Subcommittee to impose a Public Reprimand Without Terms and John W. Swezey is hereby so reprimanded. Pursuant to Part 6, § IV, ¶ 13-9.E of the Rules of the Supreme Court of Virginia, the Clerk of the Disciplinary System shall assess costs.

NINTH DISTRICT SUBCOMMITTEE
OF THE VIRGINIA STATE BAR


By: Stover Henry "Hank" Creasy, IV
Subcommittee Chair

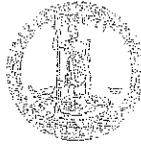
CERTIFICATE OF MAILING

I certify that on December 4, 2012, a true and complete copy of the Subcommittee Determination (Public Reprimand Without Terms) was sent by certified mail to John William Swezey, Respondent, at 227 Starling Avenue, P.O. Box 1071, Martinsville, VA 24114-1071, Respondent's last address of record with the Virginia State Bar, and by first class mail, postage prepaid to Phillip V. Anderson, counsel for Respondent, at Frith Anderson & Peake, P.C., 29 Franklin Road, P.O. Box 1240, Roanoke, VA 24006-1240.


Edward James Dillon, Jr.
Assistant Bar Counsel

TWENTY-THIRD JUDICIAL CIRCUIT
OF VIRGINIA

CLIFFORD R. WECKSTEIN, JUDGE
ROANOKE CITY COURTHOUSE
315 CHURCH AVENUE, S.W.
P.O. BOX 211
ROANOKE, VIRGINIA 24002-0211
(540) 853-2435
FAX (540) 853-1040
CWECKSTEIN@COURTS.STATE.VA.US



CIRCUIT COURT FOR THE COUNTY OF ROANOKE
CIRCUIT COURT FOR THE CITY OF ROANOKE
CIRCUIT COURT FOR THE CITY OF SALEM

COMMONWEALTH OF VIRGINIA

December 3, 2010

The Honorable Susan C. Gasperini, Clerk
Circuit Court of the County of Patrick
P.O. Box 148
Stuart, Virginia 24171

William L. Boyce v. Kristen England Pruitt, et al., No. LH05-3315

Dear Ms. Gasperini:

I am enclosing the final order in this case, which I entered earlier today. Would you please, in the normal course, file this, spread it in the law order book, and send certified copies to all counsel.

Thank you very much. I send every best wish of the season.

Very sincerely yours,

A handwritten signature in black ink, appearing to read "Clifford R. Weckstein".

Clifford R. Weckstein

Rec. 12/6/10

597



VIRGINIA:

IN THE CIRCUIT COURT OF PATRICK COUNTY

WILLIAM L. BOYCE,

Plaintiff,

v.

Case No. LH05-3315

KRISTEN ENGLAND PRUITT, ET AL,

Defendants.

FINAL ORDER

On motions filed by the Defendants, and for the reasons set forth in this Court's letter opinion dated July 28, 2010, which is incorporated herein by reference, the Court awards a monetary judgment, jointly and severally, against William L. Boyce and John W. Swezey as follows:

1) Boyce and Swezey shall pay to the law firm of Clement & Wheatley the sum of \$14,184 on account of the legal services rendered to Melissa Wyatt Fain, Charles P. Hable and the Animal Clinic of Patrick County, PC, and costs expended by or on behalf of those clients in this litigation.¹

2) Boyce and Swezey shall pay to Martin F. Clark, Esquire, the sum of \$2,312.50 on account of legal services rendered to Melissa Wyatt Fain, Charles P. Hable and the Animal Clinic of Patrick County, PC.

3) Boyce and Swezey shall pay to the law firm of Glenn, Robinson & Cathey the sum of \$6792 on account of legal services rendered to Kristen



¹ When fees and costs are to be paid to a law firm, the firm must, of course, reimburse the client for fees and costs the client has paid.

England Pruitt and Jeannie Frisco, and costs expended by or on behalf of those clients in this litigation.

4) To the extent not embraced in the amounts specified in the three paragraphs above, Boyce and Swezey shall pay the actual expenses incurred by each of the defendants for transcripts or copies thereof (including transcripts of proceedings before the Board of Veterinary Medicine), for court reporter per diem charges and other court reporter charges, and all other reasonable expenses incurred by each defendant, or counsel for any defendant, incurred but not limited to:

- a) Mileage and parking charges in connection with hearings, meetings, filings, research and preparation;
- b) Photocopying, printing, mailing and shipping charges, long-distance telephone charges, and fax charges, in the amounts that the lawyers or law firms have billed, or in the normal course would have billed to their clients;
- c) Any charges incurred for service of process; and
- d) Any other taxable costs incurred.

5) Boyce and Swezey shall pay to the Clerk of the Circuit Court of Patrick County:

- a) The actual amounts paid (or owed) by the Clerk to court reporters and for transcripts in connection with hearings in this case. The Clerk has paid \$546 to Central Virginia Reporters for the transcript of a hearing held in Roanoke. Boyce and Swezey must reimburse her for that expense. The court's file also contains a copy of a transcript of a hearing held in Stuart. Boyce and Swezey must pay the Clerk any sum that the Clerk has paid, or is obligated to pay, to Court Reporter Ann K. Nichols in connection with this hearing and transcript.



b) The sum of \$750 in lieu of recompense for the expenses caused to the Clerk by this meritless suit and its sanction phase.

6) Boyce and Swezey shall pay to the Attorney General of Virginia the reasonable expenses incurred by the Office of the Attorney General in this matter, to the extent that the Attorney General is able to itemize those expenses. The Attorney General's actual expenses may include, but are not limited to, mileage, toll, lodging and parking charges in connection with attendance at hearings, printing and photocopying charges, postage and courier charges, charges for transcripts of copies thereof (not including transcripts of proceedings before the Board of Veterinary Medicine), for court reporter per diem charges and other court reporter charges, and all other reasonable expenses incurred by the Attorney General as counsel for the intervenor in this case. These of course do not include expenses incurred by the Office of the Attorney General in connection with Boyce's hearing before the Board.

7) Boyce and Swezey shall pay the sum of \$6500 to the Attorney General of Virginia as a punitive sanction and, in effect, to reimburse the citizens of the Commonwealth of Virginia for legal services rendered to the Commonwealth by the Attorney General as a result of Boyce's and Swezey's violation of Virginia Code § 8.01-271.1. The \$6500 in attorneys' fees shall be paid to the Office of the Attorney General of Virginia to be used by the Health Professions Unit for professional training for future investigations and prosecutions in furtherance of the public health and welfare.

The Court further awards a monetary judgment against Boyce and Swezey, separately and independently, as follows:



CLW (08 July 28, 2010) 8) Within four months next following the date of ~~the~~ ^{the} letter opinion, Boyce shall pay each of the defendants the sum of \$200; and Swezey shall pay each of the defendants the sum of \$200.²

As a form of non-monetary sanctions which the Court deems appropriate, it is ORDERED that:

- 9) Within 12 months next following the date of ~~the~~ ^{the} letter *CLW* opinion:
- a) Boyce must successfully complete six hours of continuing education in veterinary medical ethics. The continuing education credits that he earns for complying with this Order cannot in any way or in any year be applied to his continuing education obligation as a Virginia-licensed veterinarian. The courses he takes, however, must be approved for continuing education credit by the Virginia Board of Veterinary Medicine. Within 30 days of completion of a continuing education class (or classes) in fulfillment (or partial fulfillment) of this requirement, but not less than 13 months after the date of ~~the~~ ^{the} letter opinion, Boyce must file with the Clerk of this Court (with a copy to this Judge) documentary proof of obtaining such continuing education credit and that the course or courses he took for this purpose were approved by the Board of Veterinary Medicine.
 - b) Swezey must successfully complete six hours of continuing legal education (CLE) that qualifies for ethics credit. The CLE credits that he earns for complying with this order cannot in any way or in any year be applied to his

² Interest shall run at the judgment rate on all monetary awards set forth in this Order from the date those payments are due until paid.

CLW

CLE obligation as a Virginia-licensed lawyer. The courses he takes must, however, be approved for ethics credit by the Virginia MCLE Board. Within 30 days of completion of a CLE class (or classes) in fulfillment (or partial fulfillment) of this requirement, but not less than 13 months after the date of this letter opinion, Swezey must file with the Clerk of this Court (with a copy to this Judge) documentary proof of obtaining such CLE credit and that the course or courses he took for this purpose were approved for Virginia MCLE ethics credit.

On motions/pleas filed by counsel for Boyce with respect to Frisco's Counterclaim, the Court holds that the applicable statute of limitations bars such claim, and therefore, the Counterclaim should be and it is hereby DISMISSED WITH PREJUDICE.

Counsel's objections to the Court's rulings are preserved as stated in the record and/or as set forth separately in Exhibit A attached hereto.

Having now disposed of all issues raised by the pleadings in this case, this Order ends the proceedings. The Clerk shall forward an attested copy of this Order to counsel of record and shall strike this case from the active docket.

ENTERED: *December 3, 2019* ~~2018~~



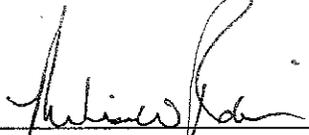
Judge Designate

Requested by:


Glenn W. Pulley, VSB #18577
Martin F. Clark, VSB #07608
Counsel for Hable, Fain and Animal Clinic

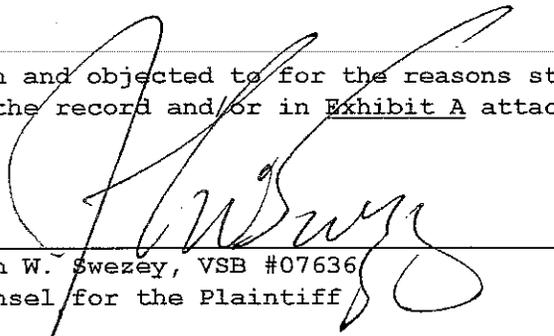
CLEMENT & WHEATLEY
P. O. Box 8200
Danville, VA 24543-8200
434-793-8200
434-793-8436 [fax]

Martin F. Clark, P.C.
P. O. Box 407
Stuart, VA 24171
276-694-7144
276-694-2131 [fax]


Melissa W. Robinson, VSB # 29065
Counsel for Pruitt and Frisco

GLENN ROBINSON & CATHEY P.L.C.
FULTON MOTOR LOFTS
400 SALEM AVENUE SW
SUITE 100
ROANOKE, VIRGINIA 24016
540-767-2200
540-767-2220 [fax]

Seen and objected to for the reasons stated
on the record and/or in Exhibit A attached:

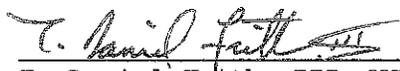

John W. Swezey, VSB #07636
Counsel for the Plaintiff
P. O. Box 1071
Martinsville, VA 24114
276-632-2056
276-732-7510 [fax]

Seen and objected to for the reasons set forth in the Objections to Final Order attached hereto


Guy M. Harbert, III, VSB #22933
H. David Gibson, Esq.
Counsel for Boyce

Gentry, Locke, Rakes & Moore LLP
P. O. Box 40013
Roanoke, VA 24022-0013
540-983-9300
540-983-9456 [fax]

Seen and objected to for the reasons set forth in the Objection to final order attached hereto.


T. Daniel Frith, III, VSB # 22665
Counsel for Boyce

Frith Law Firm, PC
P. O. Box 8248
Roanoke, VA 24014
540-985-0098
540-985-9198 [fax]

Seen and objected to as set forth in objections attached hereto

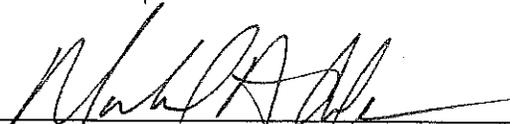

Philip G. Gardner, VSB #12951
Counsel for Swezey

Gardner, Gardner, Barrow & Sharpe
Fidelity Bank Building
231 E. Church Street, 4th Floor
Martinsville, VA 24112
276-638-2455
276-638-2458 [fax]



Written objections by Dr. Boyce and Mr. Swezey are attached and contemporaneously made and as a part of this order to be spread and filed.
All, lida
Respect

Seen and AGREED TO :


Michael A. Cole, VSB #70586
Counsel for Boyce as to Counterclaim only

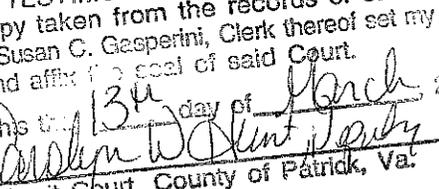
Woods Rogers PLC
341 Main Street, Suite 302
Danville, VA 24541
434-797-8200
434-797-8214 [fax]

Seen and agreed to:


Frank W. Pedrotty, VSB #21582
Counsel for the Commonwealth

OFFICE OF THE ATTORNEY GENERAL
900 East Main Street
Richmond, VA 23219
804-786-2071



IN TESTIMONY, that the foregoing is a true copy taken from the records of said Court. I, Susan C. Gasperini, Clerk thereof set my hand and affix the seal of said Court.
This 13th day of March 2012
 Clerk
Circuit Court, County of Patrick, Va.

VIRGINIA
IN THE CLERK'S OFFICE OF
PATRICK COUNTY
JANUARY 31 2012 AT 11:04AM
JUDGEMEN / RELEASE PAID/ORDINANCE WAS DEPOSITED
WITH CERTIFICATION OF ACKNOWLEDGEMENT
THEREIN ANNEXED; ADMITTED TO RECORD.
THE FEE IMPOSED BY SEC. 17.1-273(17)
OF THE VIRGINIA CODE, HAS BEEN PAID.
RCF# 11000000128 SK# _____ PG# _____
TELE: SUSAN C. GASPERINI, CLERK


mailed to
Mr. Cole, Mr. Pedrotty,
Mr. Harbert, Mr. Frith,
Mr. Gardner, Mr. Pullay,
Mr. Swezey, Ms. Robinson
12-6-10

SL
605

TWENTY-THIRD JUDICIAL CIRCUIT
OF VIRGINIA



CLIFFORD R. WECKSTEIN, JUDGE
ROANOKE CITY COURTHOUSE
315 CHURCH AVENUE, S.W.
P.O. BOX 211
ROANOKE, VIRGINIA 24002-0211
(540) 853-2435
FAX (540) 853-1040
CWECKSTEIN@COURTS.STATE.VA.US

CIRCUIT COURT FOR THE COUNTY OF ROANOKE
CIRCUIT COURT FOR THE CITY OF ROANOKE
CIRCUIT COURT FOR THE CITY OF SALEM

COMMONWEALTH OF VIRGINIA

July 28, 2010

The Honorable Susan C. Gasperini, Clerk
Circuit Court of the County of Patrick
P.O. Box 148
Stuart, Virginia 24171

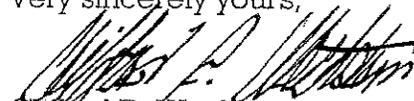
William L. Boyce v. Kristen England Pruitt, et al., No. LH05-3315

Dear Ms. Gasperini:

Would you please file the enclosed opinion letter with the other papers in this matter? I am today sending copies of this opinion letter to counsel.

I thank you, and send best regards.

Very sincerely yours,


Clifford R. Weckstein

cc: Melissa W. Robinson, Esquire
Glenn W. Pulley, Esquire
Martin F. Clark, Esquire
Phillip G. Gardner, Esquire
Guy M. Harbert, Esquire
H. David Gibson, Esquire
T. Daniel Frith, Esquire
Michael Cole, Esquire
Frank W. Pedrotty, Esquire

Received and filed this 29th
day of July, 2010
at 10:45 o'clock AM
Susan C. Gasperini, Clerk
by Jandra Strall
Patrick County Circuit Court

TWENTY-THIRD JUDICIAL CIRCUIT
OF VIRGINIA

CLIFFORD R. WECKSTEIN, JUDGE
ROANOKE CITY COURTHOUSE
315 CHURCH AVENUE, S.W.
P.O. BOX 211
ROANOKE, VIRGINIA 24002-0211
(540) 853-2435
FAX (540) 853-1040
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CIRCUIT COURT FOR THE COUNTY OF ROANOKE
CIRCUIT COURT FOR THE CITY OF ROANOKE
CIRCUIT COURT FOR THE CITY OF SALEM

COMMONWEALTH OF VIRGINIA

July 28, 2010

Melissa W. Robinson, Esquire
Glenn, Robinson & Cathey
P.O. Box 1108
Roanoke, VA 24005

Glenn W. Pulley, Esquire
Clement & Wheatley
P.O. Box 8200
Danville, VA 24543-8200

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Stuart, VA 24171

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P.O. Box 8248
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Michael Cole, Esquire
 Woods Rogers PLC
 Danville, VA 24543

Frank W. Pedrotty, Esquire
 Senior Assistant Attorney General
 900 East Main Street
 Richmond, VA 23219

William L. Boyce v. Kristen England Pruitt, Charles P. Hable, Jeannie Frisco, Melissa Wyatt Fain and Animal Clinic Of Patrick County, P.C., No. LH05-3315, Circuit Court of Patrick County

*"[T]he doors of this courthouse are open to good faith litigation, but abuse of the judicial process, as in this case, will not be tolerated."*¹

Dear Counsel:

This suit was legally dead on arrival at the courthouse. It was "not just merely dead, [but] most sincerely dead."² Just two months before it was filed, the Supreme Court of Virginia, in a case legally indistinguishable from this one, held that the defendants were completely immune from suit.³ The Supreme Court in that case relied on "well-established principles."⁴ Thus, the reasonable pre-filing inquiry mandated by Virginia Code § 8.01-271.1 would have disclosed that there was no rational basis to believe that this suit was legally viable.⁵

In this opinion I:

¹ *Snyder v. Internal Revenue Serv.*, 596 F. Supp. 240, 252 (N.D. Ind. 1984) (paraphrasing *Granzow v. Commissioner*, 739 F.2d 265, 269-70 (7th Cir. 1984)) (applying Rule 11 of the Federal Rules of Civil Procedure. "Rule 11 . . . and Code § 8.01-271.1 are similar in the respects material here." *Oxenham v. Johnson*, 241 Va. 281, 286 n. 4, 402 S.E.2d 1 (1991)).

² Noel Langley, Florence Ryerson and Edgar Allan Woolf (screenplay), *The Wizard of Oz*. Metro-Goldwyn-Mayer (1939).

³ *Lindeman v. Lesnick*, 268 Va. 532, 537, 604 S.E.2d 55 (2004); see *Cardinal Holding Co. v. Deal*, 258 Va. 623, 632, 522 S.E.2d 614 (1999).

⁴ *Lindeman*, 268 Va. at 537.

⁵ See *Nedrich v. Jones*, 245 Va. 465, 471-72, 429 S.E. 2d 201 (1993); *Tullidge v. Board of Supervisors*, 239 Va. 611, 614, 391 S.E.2d 288 (1990).

- find that in filing and maintaining this suit, the plaintiff and his attorney violated Code § 8.01-271.1; and
- find that both litigant and lawyer should be sanctioned under that statute; and
- set forth the sanctions that will be imposed.

Factual statements in this opinion are, unless context indicates otherwise, the court's findings of fact. The facts are best discussed against the framework of the governing statute.

The statute

Under Code § 8.01-271.1, "every pleading, written motion, and other paper" filed on behalf of a represented party must be signed by at least one attorney in his or her individual name. That signature is the attorney's certificate:

- that he or she has read the paper; and
- has concluded, after reasonable inquiry, that it:
 - a. is well-grounded in fact; and
 - b. is warranted by existing law or a good-faith argument for extension, modification, or reversal of existing law; and
 - c. is not filed for any improper purpose, such as to harass, or cause unnecessary delay, or to cause needless increase in the cost of litigation.⁶

Importantly, this statute is not simply aspirational or hortatory. It has teeth: "If a pleading, motion, or other paper is signed or made in violation of this rule, the court, upon motion or upon its own initiative, shall impose upon the person who

⁶ Code § 8.01-271.1 (sentence paraphrased. It reads: "The signature of an attorney or party constitutes a certificate by him that (i) he has read the pleading, motion, or other paper, (ii) to the best of his knowledge, information and belief, formed after reasonable inquiry, it is well grounded in fact and is warranted by existing law or a good faith argument for the extension, modification, or reversal of existing law, and (iii) it is not interposed for any improper purpose, such as to harass or to cause unnecessary delay or needless increase in the cost of litigation."); see *Ford Motor Co. v. Benitez*, 273 Va. 242, 251, 639 S.E.2d 203 (2007) (clauses are in conjunctive; attorney's signature thus certifies compliance with all three; failure to comply with any one subjects attorney to sanctions). Though the language of the Federal Rules is now gender neutral, Code § 8.01-271.1 retains the language used in the 1983 version of Rule 11. Code § 8.01-271.1 was amended in 2008. That amendment, addressing pleadings filed by nonattorney employees of Social Services Departments, is irrelevant to this case.

signed the paper or made the motion, a represented party, or both, an appropriate sanction."⁷

To determine whether a filing violates Code § 8.01-271.1 a court must apply objective standards;⁸ it must determine whether the paper "is legally or factually baseless from an objective perspective."⁹

By its enactment of this statute, the General Assembly expressed a public policy of this Commonwealth.¹⁰ This policy is intended to increase respect for the law and confidence in the legal system; to deter abuses of the judicial process; and to assure that good-faith claims will be heard and considered. Under this policy, Virginia will not tolerate baseless suits or motions; its courts will protect litigants from the mental anguish and expense of frivolous assertions of unfounded factual and legal claims and against the assertions of claims for improper purposes. Virginia's courts will hold accountable those who flout this public policy.¹¹

Background

The plaintiff, William Lockhart Boyce, is a veterinarian. His profession and those who practice it in Virginia are regulated by the Board of Veterinary Medicine.¹²

This suit is a sequel to a quasi-judicial proceeding in which that Board—after a formal hearing conducted with all of the safeguards that surround judicial proceedings¹³—found that Boyce had violated statutes and administrative

⁷ Code § 8.01-271.1. "Sanction" is a word with two different meanings, "(1) to approve; or (2) to penalize. The word is generally understood as bearing sense 1. Hence, lawyers, who use it primarily in sense 2, are likely to be misunderstood." Bryan A. Garner, *Garner's Modern American Usage* 705 (2003). The noun "sanction," as used in connection with Code § 8.01-271.1 and Rule 11 is used in the second sense, "A penalty or coercive measure that results from failure to comply with a law, rule, or order." *Black's Law Dictionary* 1341 (7th ed. 1999).

⁸ See *Taboada*, 272 Va. at 214-15; *Flora v. Shulmister*, 262 Va. 215, 220, 546 S.E.2d 427 (2001); *Flippo v. CSC Assocs. III, L.L.C.*, 262 Va. 48, 65-66, 547 S.E.2d 216 (2001); *Gilmore v. Finn*, 259 Va. 448, 466, 527 S.E.2d 426 (2000). The Fourth Circuit applies the same "objective standard of reasonableness" test under Rule 11. See *Cabell v. Petty*, 810 F.2d 463, 466 (4th Cir. 1987).

⁹ *Holgate v. Baldwin*, 425 F.3d 671, 676 (9th Cir. 2005).

¹⁰ *Williamsburg Peking Corp. v. Xianchin Kong*, 270 Va. 350, 354, 619 S.E.2d 100 (2005).

¹¹ See *Taboada*, 272 Va. at 215-16; *Gilmore v. Finn*, 259 Va. 448, 466, 527 S.E.2d 426 (2000); *Oxenham v. Johnson*, 241 Va. 281, 286, 402 S.E. 2d 1 (1991).

¹² See Code § 54.1-3804.

¹³ These safeguards included the right to reasonable notice, to the formal taking of evidence and application of the rules of evidence; the right to counsel; the right to submit evidence and cross-examine witnesses; and the requirement that witnesses be

regulations. It placed him on probation, and imposed stringent conditions upon his ability to practice.

Boyce had the right to appeal the Board's decision,¹⁴ He chose not to.¹⁵ Rather, he began to search for a lawyer who sue the witnesses who had testified against him at the Veterinary Board hearing. Over the course of about a year, he later testified, he spoke with "many attorneys," before he found John W. Swezey,¹⁶ a member of the Virginia bar since 1967,¹⁷ whom he retained to file and prosecute this suit.

Swezey drafted and signed the pleadings, motions, and other papers that were filed on Boyce's behalf. He continued to represent Boyce in this case until some weeks after this court determined that the suit he filed was legally insupportable.

The Motion for Judgment

The Motion for Judgment that Swezey filed on Boyce's behalf is appended. In summary, these are the facts alleged in that pleading:

- Defendants Pruitt, Frisco, and Fain testified before the Board "against the Plaintiff regarding actions by the Plaintiff as a licensed Doctor of Veterinary Medicine."
- They knowingly and maliciously testified untruthfully, using exhibits, including photographs, that were untrue and were purposely altered.
- Pruitt and Frisco untruthfully testified about the treatment that Frisco's dog received from Boyce and, later, from Pruitt. They testified from photographs that were false, inaccurate, altered, misleading, and manipulated to give the appearance that Boyce carelessly or incompetently cared for the animal. Their false testimony encompassed facts and opinions. Proceedings against Boyce were initiated by Frisco's complaint to the Board about his treatment of her dog.

under oath and liable to prosecution for perjury for false testimony. Code § 2.2-4020. Other safeguards included the ability to issue subpoenas, make requests for admissions, and conduct depositions, and the right to a presiding officer who had completed a training course and was an active member of the Virginia State Bar who had practiced law for at least five years. Code § 2.2-4022. The evidence against Dr. Boyce was presented by an assistant attorney general. Boyce was represented by experienced and able counsel.

¹⁴ See Code § 2.2-4026 (appeal of right).

¹⁵ Sanctions H'rg Tr. 51.

¹⁶ *Id.* at 22.

¹⁷ *Id.* at 74.

- Fain falsely testified that drugs and controlled substances were inappropriately handled and administered in Boyce's veterinary facility.
- Pruitt was employed by defendant Animal Clinic of Patrick County, P.C. under the supervision of defendant Hable. The Animal Clinic and Hable "were aware of and condoned" the actions of Frisco, Pruitt, and Fain.

That is, four of these five claims allege wrongdoing on the witness stand at the Veterinary Board hearing. The fifth claim is that Hable and the Animal Clinic shared responsibility for what other defendants said and did while testifying before the Board.

These allegations, according to the Motion for Judgment, stated a cause of action for conspiracy to injure Boyce in his reputation, trade, business, or profession, under the Virginia Civil Conspiracy Act (VCCA).¹⁸ The Motion for Judgment sought \$300,000 in "general damages" and

¹⁸ Code §§ 18.2-499 and 18.2-500. Code § 18.2-499 reads:

Combinations to injure others in their reputation, trade, business or profession; rights of employees A. Any two or more persons who combine, associate, agree, mutually undertake or concert together for the purpose of (i) willfully and maliciously injuring another in his reputation, trade, business or profession by any means whatever or (ii) willfully and maliciously compelling another to do or perform any act against his will, or preventing or hindering another from doing or performing any lawful act, shall be jointly and severally guilty of a Class 1 misdemeanor. Such punishment shall be in addition to any civil relief recoverable under § 18.2-500.

B. Any person who attempts to procure the participation, cooperation, agreement or other assistance of any one or more persons to enter into any combination, association, agreement, mutual understanding or concert prohibited in subsection A of this section shall be guilty of a violation of this section and subject to the same penalties set out in subsection A.

C. This section shall not affect the right of employees lawfully to organize and bargain concerning wages and conditions of employment, and take other steps to protect their rights as provided under state and federal laws.

Code § 18.2-500 reads:

Same; civil relief; damages and counsel fees; injunctions A. Any person who shall be injured in his reputation, trade, business or profession by reason of a violation of § 18.2-499, may sue therefor and recover three-fold the damages by him sustained, and the costs of suit, including a reasonable fee to plaintiff's counsel, and without limiting the generality of the term, "damages" shall include loss of profits.

B. Whenever a person shall duly file a civil action in the circuit court of any county or city against any person alleging violations of the provisions of § 18.2-499 and praying that such party defendant be restrained and enjoined from continuing the acts complained of, such court shall have jurisdiction to hear and determine the issues involved, to issue injunctions pendente lite and permanent injunctions and to decree damages and costs of suit, including reasonable counsel fees to complainants' and defendants' counsel.

¹⁸ See *Multi-Channel TV Cable Co. v. Charlottesville Quality Cable Operating Co.*, 108 F.3d 522, 529 (4th Cir. 1997).

\$500,000 "as punitive damages as a result of [the defendants'] willful, wanton and malicious actions against the Plaintiff in an attempt to injure or destroy his professional and business interests."¹⁹

(Punitive damages cannot be recovered under the VCCA. This is because the VCCA provides for treble damages, a fact not mentioned in the Motion for Judgment. Since "trebling of damages is itself punitive in nature," case law holds, a VCCA plaintiff cannot also recover punitive damages.²⁰)

The court's substantive decision

This court later ruled that those who testified in Boyce's Veterinary Board hearing had "[a]bsolute privilege, sometimes called judicial privilege" and were therefore "accorded complete immunity from liability" for what they said before the Board.²¹ Boyce and Swezey, through their present counsel, do not dispute the correctness of that ruling.

Warnings about sanctions

Shortly after suit was filed attorney Jane S. Glenn (who represented Frisco and Pruitt) wrote to Swezey, enclosing a copy of the Board's final order, starkly reminding him of his responsibilities under Code § 8.01-271.1, and warning that a motion for sanctions under that statute would be filed if the suit against her clients was not abandoned. Swezey testified that he received that letter and a similar letter from Glenn W. Pulley who, with Martin F. Clark, represents the other three defendants. After receiving those letters, Swezey also testified, he spoke about them with Glenn, or Pulley, or both.

Boyce testified that when Swezey told him that opposing counsel asserted that the suit had no legal merit and promised to seek sanctions unless it was dropped:

- He did not, in response, ask Swezey to take or forego any action, or to consider or investigate anything;
- Swezey made no recommendation about whether to proceed, or to heed the defendants' demand to drop the suit; and
- He and Swezey agreed that "we had a good case."

¹⁹ Motion for Judgment at 4.

²⁰; *Tazewell Oil Co. v. United Virginia Bank*, 243 Va. 94, 113, 413 S.E.2d 611 (1992). The statute also permits an award of attorney's fees, which Swezey's pleading sought.

²¹ Mot. Hr'g Tr. 36; *Lindeman v. Lesnick*, 268 Va. 532, 604 S.E.2d 55 (2004).

The Commonwealth intervenes

The Commonwealth of Virginia, after obtaining permission to intervene, filed a motion to dismiss this suit, based in part on the absolute immunity of witnesses who testify in a proceeding like that conducted by the Board on Boyce's case. Boyce, through Swezey, filed a pleading replying to the Commonwealth's motion to dismiss. The entire response to the immunity argument reads: "The fifth allegation is denied in that there is no absolute privilege."²²

The defendants, like the Commonwealth, filed an array of pleadings, motions and other papers explaining their contention that the suit was not warranted by existing law. These papers were served on Swezey. He discussed them with Boyce, but did not file any written responses, or seek a dismissal or discontinuance of the suit or of Boyce's claims against any defendant.

Neither Swezey nor Boyce has suggested that he relied or relies on a good-faith argument for extension, modification, or reversal of existing law.

Swezey offered no evidence or suggestion that the communications from opposing counsel and the Attorney General caused him to engage in legal research, or to hire someone to do so. Boyce offered no evidence that he asked Swezey whether the lawyer had done any research to refute or respond to the assertions by the Commonwealth and the defendants.

A hearing was scheduled. The defendants and the Commonwealth presented their arguments. Swezey responded, briefly and without citation of authority. The court, ruling from the bench, sustained the special pleas and demurrers.

As noted, Boyce did not appeal that decision. He and Swezey, through the attorneys who represent them on the sanctions motions, concede that the court correctly dismissed the suit.

Appropriateness of sanctions

An award of sanctions should never be "routine,"²³ nor should the threat of sanctions "be used to stifle counsel in advancing novel legal theories or asserting a client's rights in a doubtful case."²⁴ The decision to impose sanctions should be made only after the most sober consideration.²⁵ I have given such consideration to this case.

²² Response to Motion to Dismiss by Commonwealth of Virginia 1.

²³ *Tonti v. Akbari*, 262 Va. 681, 685, 553 S.E.2d 769 (2001).

²⁴ *Oxenham v. Johnson*, 241 Va. 281, 286, 402 S.E.2d 1 (1991).

²⁵ See *Robinson v. McLeod & Co.*, 59 Va. Cir. 154, 162 (City of Roanoke 2002).

Swezey's responsibility

Before filing this suit, Swezey performed "a minimal factual inquiry" and, at the very best, "a cursory legal investigation."²⁶ That way, as the Fourth Circuit has suggested, lies disaster.²⁷

A competent lawyer who conducted the reasonable inquiry contemplated by Code § 8.01-271.1 could not reasonably have concluded that those who testified at Boyce's Veterinary Board hearing could be sued for what they said in their testimony.²⁸ That, however, was and remained, Swezey's position, even when he argued orally against the demurrers, special pleas and motions to dismiss.

The Supreme Court of Virginia decided *Lindeman v. Lesnick*²⁹ two months before Swezey filed this suit for Boyce. In *Lindeman*, the Court, applying "[w]ell-established principles," held that communications which are:

- made in the course of judicial or quasi-judicial proceedings,³⁰ including administrative hearings in which the safeguards that surround judicial proceedings are present,³¹ and
- material, relevant, and pertinent to the case³²

are absolutely privileged. One who speaks or writes with absolute privilege does so with impunity, free from risk of liability, even for malicious statements or knowing falsehoods.³³

Even if Swezey's initial belief about the scope of absolute privilege had been reasonable, "no such belief could have been held after [the] decision in [*Lindeman*]."³⁴ In *Cardinal Enterprises*,³⁵ the Court pointed out that a lawyer who

²⁶ *Cleveland Demolition Co. v. Azcon Scrap Corp.*, 827 F.2d 984, 988 (4th Cir. 1987) ("at the very best" added by this court).

²⁷ *Id.*

²⁸ *Morris v. Wachovia Secs.*, 448 F.3d 268, 277 (4th Cir. 2006) (reasonable attorney in like circumstances could not have believed his actions to be legally justified); see *Nedrich*, 245 Va. at 471-72; *Tullidge*, 239 Va. at 614.

²⁹ *Lindeman*, 268 Va. 532, 604 S.E.2d 55 (2004).

³⁰ *Id.*, 268 Va. at 537.

³¹ *Id.*; see also *Lockheed Info. Mgmt. Sys. Co. v. Maximus, Inc.*, 259 Va. 92, 101, 524 S.E.2d 420 (2000) (citing *Elder v. Holland*, 208 Va. 15, 22, 155 S.E.2d 369 (1967)).

³² *Id.*

³³ *Id.*

³⁴ *Id.*; see *Belton v. Sigmon (In Re Barbara Rubin Hudson)*, 24 Fed. Appx. 153, 155 (4th Cir. 2001) ("Instead of withdrawing these claims, or correcting any inaccuracies Ms. Hudson . . . continued to pursue plaintiffs' claims," leading to the proper imposition of sanctions.)

³⁵ 258 Va. at 630.

made the reasonable inquiry required by Code § 8.01-271.1 would have discovered "a decision issued almost a month before process was served."³⁶ Swezey had two months.

As Chief Judge Frank Easterbrook has written, "dogged pursuit of a colorable claim becomes actionable bad faith once the attorney learns (or should have learned) that the claim is bound to fail."³⁷

Swezey's immunity arguments

Also bound to fail—and also objectively unreasonable—was Swezey's argument that those who testified against Boyce at the Veterinary Board hearing were protected only by the limited civil immunity of Code § 8.01-581.19:1.

That statute applies only when someone:

1. furnishes information;
2. to an entity authorized to investigate complaints of physical or mental impairment;
3. that a veterinarian or a practitioner of another listed profession is unable to practice "with reasonable skill and safety" as a result of
 - a. "the use of alcohol, drugs, or other substances," or
 - b. "any mental or physical condition."

A person who comes within the ambit of this statute is immune from suit unless he or she acted maliciously, in bad faith, or in violation of federal law or regulations.³⁸

Neither in the Motion for Judgment nor in any other pleading or paper, however, did Boyce and Swezey allege or imply that any defendant said, or suggested, or furnished information that said or suggested that alcohol, drugs, other substances, or any physical or medical condition affected Boyce's ability to practice. In focusing on the exception to an inapposite immunity, Swezey's "argument creates and attacks a straw man."³⁹

³⁶ *Id.*

³⁷ *In re TCI, Ltd.*, 769 F.2d 441, 445 (7th Cir. 1985); see also W. Hamilton Bryson, "Motions for Sanctions," 30 U. Rich. L. Rev. 1509 (1996).

³⁸ *Id.* I will assume, for present purposes, that the Veterinary Board is an entity covered by this statute.

³⁹ See *West Alexandria Properties, Inc. v. First Virginia Mortg. & Real Estate Inv. Trust*, 221 Va. 134, 138, 267 S.E.2d 149 (1980)

(Boyce testified that Swezey showed him this statute, and that, though not a lawyer, he understood and relied upon the clear language of the exception.⁴⁰ Notwithstanding arguments made in this case, I have difficulty crediting the idea that a lawyer and a veterinarian could read and understand the exception without comprehending the statute's scope.)

Nor would a reasonable lawyer in Swezey's position have believed that enactment of Code §8.01-581.19:1 abrogated or superseded the common-law rule of absolute privilege. It is a commonplace that the common law "will not be considered as altered or changed by statute unless the legislative intent is plainly manifested."⁴¹ When a statute does change the common law, "it abrogates the common-law rule only to the extent that its terms are directly and irreconcilably opposed to the rule."⁴² Code § 8.01-581.19:1, rather than being contrary to the common-law rule, extends the scope of that rule.

Repeating a worthless argument

If a court could somehow be persuaded that Swezey had a reasonable basis for filing this suit, he still would be subject to Code § 8.01-271.1 sanctions for filing a paper reasserting an argument after it should have become apparent that the argument was meritless. Code § 8.01-271.1's "duty of 'reasonable inquiry' arises each time a lawyer files a 'pleading, motion, or other paper'"⁴³; the attorney risks sanctions for further pursuing a frivolous cause.⁴⁴

As will be remembered, Swezey's response to the Commonwealth's Motion to Dismiss and to the authorities that the Attorney General cited was a simple assertion that "there is no absolute privilege."⁴⁵ Swezey had a duty to withdraw the case when it became clear that he was pursuing a frivolous action.⁴⁶ He

⁴⁰ Sanctions H'rg Tr. 29. ("I was shown the statute, the wording of the statute seemed in common English to fit my case.")

⁴¹ *Couplin v. Payne*, 270 Va. 129, 136, 613 S.E.2d 592 (2005) (quoting *Boyd v. Commonwealth*, 236 Va. 346, 349, 374 S.E.2d 301 (1988)); see Code § 1-200.

⁴² *Id.*

⁴³ *Id.*

⁴⁴ See *Salvin v. Am. Nat'l Ins.*, 281 Fed. Appx. 222, 227 (4th Cir. 2008) ("Indeed, there is nothing novel in recognizing that an attorney can face sanctions 'for pursuing a case after it becomes clear that the case is without merit.'"); see also *Bontkowski v. Smith*, 305 F.3d 757, 763 (7th Cir. 2002) (Posner, J.) ("[W]e warn Bontkowski that if he persists in this litigation and his suit turns out to be frivolous, as we believe highly likely, he is courting sanctions.")□

⁴⁵ Response to Motion to Dismiss by Commonwealth of Virginia 1.

⁴⁶ See *Belton v. Sigmon (In re Hudson)*, 24 Fed. Appx. 153 (4th Cir. 2001). The Fourth Circuit upheld imposition of Rule 11 sanctions for failure to withdraw an action once it became clear there was no factual basis for the claim. In an action filed under the Fair Labor Standards Act, the Plaintiff's attorney, Hudson, relied upon several

failed to do so, failed to make the inquiry that reason obviously required, and blithely filed a new pleading baselessly denying the existence of absolute privilege.

The lawyer as "hired gun"

Swezey was doubtless doing his client's bidding when he filed and persisted in this suit. That in no way insulates him from responsibility for transgressing Code § 8.01-271.1.⁴⁷ The concept of lawyer as "hired gun," engaging the law's machinery to carry out the client's wishes—no matter how meritless or meretricious—is antithetical to the concepts that undergird § 8.01-271, and ought to be anathema to a member of the legal profession.⁴⁸ A lawyer's duty of zealous representation within the bounds of the law⁴⁹ encompasses an obligation to ascertain that every claim he or she brings is supported by the law,⁵⁰ and an obligation to dissuade clients from pursuing meritless claims.⁵¹ Swezey's embrace of Boyce's cause in violation of those duties violated his duties under Code § 8.01-271.1.⁵²

factual assertions and affidavits of her clients. Through discovery, it was shown that these facts were largely inaccurate. Counsel for the defendants sent a letter to Hudson requesting that she withdraw the claims because the factual inaccuracies rendered the plaintiffs' claims unwarranted. Defendants moved for summary judgment. Hudson did not heed defendants' warning, and filed a motion in opposition. The district court granted summary judgment and imposed sanctions against Hudson. See also *Collins v. Walden*, 834 F.2d 961, 965 (11th Cir. 1987) ("When it becomes apparent that discoverable evidence will not bear out the claim, the litigant and his attorney have a duty to discontinue their quest.").

⁴⁷ See *Blair v. Shenandoah Women's Center, Inc.*, 757 F.2d 1435, 1438 (4th Cir. 1985) ("We emphatically reject any suggestion that a lawyer may shield his transgressions behind the simplistic plea that he only did what his client desired.")

⁴⁸ See *Hodge v. Klug*, 604 N.E.2d 1329, 1338 (Mass. Ct. App. 1992) ("The absurd notion of a lawyer as a hired gun, who will do *anything* a client requests, has never had a place in our profession and must not be tolerated.").

⁴⁹ "As advocate, a lawyer zealously asserts the client's position under the rules of the adversary system. . . . A lawyer's conduct should conform to the requirements of the law, both in professional service to clients and in the lawyer's business and personal affairs. A lawyer should use the law's procedures only for legitimate purposes and not to harass or intimidate others." Preamble, Rules of Professional Responsibility; see Rule 1.3 and commentary ("Canon 7 stated that 'a lawyer should represent a client zealously within the bounds of the law.'"); Rule 3.1.

⁵⁰ See *Mohammed v. Union Carbide Corp.*, 606 F. Supp. 252, 261 (E.D. Mich. 1985); see Rule 3.1, Rules of Professional Conduct.

⁵¹ See *Id.*

⁵² See Sanctions Hr'g Tr. 81-82 (Swezey testified that he reviewed "several statutes and some cases" and decided not to include one or two individuals as defendants after concluding that the evidence was insufficient, but did not identify the statutes, cases, or possible defendants); see e.g. *Cleveland Demolition Co.*, 827 F.2d at

Boyce's actions

Though Swezey was the agent through whom his client commenced and prosecuted this action, Boyce "was the catalyst behind this frivolous lawsuit."⁵³ "The plaintiff did not heed opposing counsel's warnings about [Code § 8.01-271.1] sanctions but proceeded with the case. Rather than a passive victim of counsel's bad judgment, as is often the case when [§ 8.01-271.1] sanctions are imposed, this plaintiff obviously crafted and fully participated in the litigation strategy of this . . . case."⁵⁴

Swezey embraced Boyce's case neither wisely nor well—but there is no question that this meritless cause was, indeed, Boyce's. His desire to strike back at those who testified against him was the *sine qua non* of this litigation—that without which the suit would have neither been brought nor pursued. As he testified, he spent approximately a year, interviewing many lawyers before he could find one—Swezey—willing to file such a suit.

(While on the witness stand, Boyce was asked, over hearsay objections, whether he talked with Michael Goodman, the lawyer who had represented him before the Board "about whether this lawsuit should go forward that you filed, that Mr. Swezey filed for you?"⁵⁵ He responded that "Mr. Goodman said sue 'em."⁵⁶ Goodman had participated in a conversation, during proceedings before the Board, in which counsel for the Board said that "One concern I have as Board counsel is that we not put the witness, or any witness in jeopardy for subsequent litigation against the witness. Can you read between the lines" Mr. Goodman replied, "Certainly."⁵⁷ I do not credit Boyce's purported quotation of Goodman.)

"This action . . . bears every earmark of a spite suit."⁵⁸ It appears to be part of a multi-front campaign to punish the defendants for engaging in protected speech, *i.e.*, testimony that led the Veterinary Board to sanction Boyce. Such suits cannot be tolerated.⁵⁹

The record of proceedings before the Veterinary Board shows scrupulous adherence to the sort of due process that safeguards judicial proceedings. The

988 (determining, under Rule 11 that a "minimal factual inquiry and cursory legal investigation" gives rise to sanctions).

⁵³ *Chevron, U.S.A., Inc. v. Charles*, 763 F. 2d 1184, 1187 (10th Cir. 1985).

⁵⁴ *Holley v. Guiffrida*, 112 F.R.D. 172, 173 (D.D.C. 1986)

⁵⁵ Sanctions H'rg Tr. 43.

⁵⁶ *Id.* at 46.

⁵⁷ Board H'rg Tr. 19.

⁵⁸ *Fitzmaurice v. Turney*, 165 S.W. 307, 309 (Mo. 1914).

⁵⁹ See *Renard v. Dade County*, 261 So. 2d 832, 837 (Fla. 1972) ("So-called 'spite suits' will not be tolerated in this area of the law any more than in any other.")

witnesses were subpoenaed by the Commonwealth and testified under oath.⁶⁰ Rules of evidence applied, objections were made and resolved, and Boyce's attorney thoroughly cross-examined the witnesses against him.⁶¹ The Board required clear and convincing evidence to make findings against Boyce. It found that clear and convincing evidence, in part, from the testimony of Pruitt, Frisco, and Fain

Boyce, aware of his right to appeal the Veterinary Board's decision, chose not to do so,⁶² thus allowing the Board's legal and factual determinations to become final and binding upon him.⁶³

When an administrative agency, acting in a judicial capacity, resolves disputed issues of fact (a) that are properly before it, and (b) which the parties have had an adequate opportunity to litigate, courts do not hesitate to apply principles of collateral estoppel and res judicata to enforce those decisions.⁶⁴

Instead of appealing, Boyce chose to spend the next 14 months articulating his grievances. On the weekly public radio show he hosted, and in interviews with several newspapers, he asserted that he "committed no wrongdoing, and that he was subjected to "one false charge after another."⁶⁵ These statements are relevant to Boyce's motive and intent, as well as to his credibility on the witness stand in this case.⁶⁶ He retained Swezey to file a meritless suit that in any objective sense—given the finality of the Board's judgment—could not yield real damages.

As the Attorney General noted in his Motion to Intervene/Dismiss,

The Commonwealth has an interest in ensuring that witnesses who provide truthful testimony under subpoenas issued on behalf of the Commonwealth are free from fear of subsequent litigation regarding their testimony, and the chilling effect that fear may have on such testimony.⁶⁷

⁶⁰ See Sanctions Hr'g Tr. 53-54.

⁶¹ See generally Veterinary Bd. Hr'g Tr.

⁶² Sanctions Hr'g Tr. 15.

⁶³ See *Weinberger v. Tucker*, 510 F.3d 486, 494 (4th Cir. 2007), cert denied, 128 S. Ct. 2938 (2008); *Faison* 243 Va. at 419

⁶⁴ *CDM Enters., Inc. v. Commonwealth*, 32 Va. App. 702, 712 (Va. Ct. App. 2000)(citations omitted). See also Code § 2.2-4000 et seq.

⁶⁵ *Id.* at 18-21, 25-26.

⁶⁶ Obviously, sanctions under Code § 8.01-271.1 are imposed only for violating that statute's prohibitions, not for exercising First Amendment rights outside of the context of the suit.

⁶⁷ Commonwealth's Motion to Intervene/Motion to Dismiss 2.

One who insists upon and orchestrates a suit that cannot succeed, and from which no meaningful damages can be awarded cannot escape responsibility under Code § 8.01-271.1.⁶⁸

Boyce's present counsel argue that Boyce—as a nonlawyer—should be absolved of responsibility for understanding “a relatively technical legal issue, namely, common law doctrine of absolute judicial privilege.”⁶⁹ Boyce, however, was asked on the witness stand whether, after learning of the threat of sanctions “you made your own assessment of whether the litigation should be pursued.” He responded—credibly—“I did.”

Responsibility for sanctions

Having determined that sanctions must be imposed, a trial court must exercise its discretion to determine whether they are to be borne by client, counsel, or both and, if by both, in what proportion.

Sanctions “should fall upon the individual responsible for filing the offending document.”⁷⁰ When both parties are partially responsible for such a filing, the court “determines the relative culpability of each person and to apportion such sanctions among the offending persons in a manner that reflect the extent and result of each person's individual violations.”⁷¹ When a sanctionable violation is “a coordinated effort,” joint and several liability is entirely appropriate.⁷² This was a coordinated effort.

Boyce's *mala fides* were the motive force, the impetus behind and catalyst for this action. His desires were a *sine qua non* of this improper litigation. If Boyce was the general staff, though, Swezey was the infantry, the cavalry, and the air force. He also was, in a sense, the Benedict Arnold of this campaign—the officer of the court who flouted his duty to ensure that the suit had some reasonable factual or legal basis,⁷³ who failed to conduct the minimal investigation required of him, and—to carry the analogy one step further—who failed to read the intelligence reports, the latest advance sheets from the Supreme Court of Virginia.

⁶⁸ See *Carter v. ALK Holdings, Inc.*, 605 F.3d 1319 (Fed. Cir. 2010).

⁶⁹ Plaintiff's Memorandum in Opposition to Defendants' Motion for Sanctions, 8.

⁷⁰ *Chevron, U.S.A., Inc. v. Hand*, 763 F.2d 1184, 1187 (10th Cir. 1985).

⁷¹ *Smith v. Our Lady of the Lake Hosp., Inc.*, 135 F.R.D. 139, 152 (M.D. La. 1991), *rev'd on other grounds by Smith v. Our Lady of the Lake Hosp., Inc.*, 960 F.2d 439 (5th Cir. 1992).

⁷² *Estate of Calloway v. Marvel Entm't Group*, 9 F.3d 237, 239 (2d Cir. 1993).

⁷³ See, e.g., Va. Rules of Prof'l Conduct, Preamble: A Lawyer's Responsibilities, R. 3.1 (2000).

Appropriate sanctions

The sanctions that a court imposes for violation of Code § 8.01-271.1 must be tailored to the specific case before the court. Among those sanctions may be reasonable attorney's fees and expenses—which must, as the statute says, be "appropriate."⁷⁴ An award of fees and expenses should take into account both the defense of the sanctionable claim and the pursuit of the sanctions award.⁷⁵ In this context, "reasonable does not necessarily mean actual expenses and attorney fees."⁷⁶ What is "reasonable" must be "considered in relation with the [statute's] goals of deterrence, punishment and compensation."⁷⁷

The court may, in the exercise of its discretion, impose separate additional sanctions that share with punitive damage awards "the common purpose of punishment and deterrence."⁷⁸ Punitive sanctions may be imposed under Code § 8.01-271.1 without proof of the elements necessary to support an award of punitive damages.⁷⁹ Considering all of the facts of this case and all of the actions of Swezey and Boyce in this matter, including, but not limited to, the purpose of absolute immunity, and the chilling effect of suits of this nature on potential witnesses, this court, in the exercise of discretion, is satisfied that sanctions to deter and punish must also be imposed. The court is also of the opinion that punitive sanctions should be imposed because of Boyce's and Swezey's mendacity on the witness stand.⁸⁰

These are the sanctions that the court, in the exercise of its guarded discretion and considered judgment, will impose upon Boyce and Swezey. They are jointly and severally responsible for the financial sanctions set forth below, except for the sanctions specified in paragraph 8.

1. Boyce and Swezey shall pay to the law firm of Clement & Wheatley the sum of \$14,184 on account of legal services rendered to Melissa Wyatt Fain, Charles P. Hable, and the Animal Clinic of Patrick County, P.C., and costs expended by or on behalf of those clients in this litigation.

⁷⁴ Code § 8.01-271.1; see *Fahrenz v. Meadow Farm Partnership*, 850 F.2d 207, 211 (4th Cir. 1988).

⁷⁵ *Cardinal Holding Co. v. Deal*, 258 Va. 623, 632, 522 S.E.2d 614 (1999).

⁷⁶ *Fahrenz*, 850 F. 2d at 211.

⁷⁷ *Id.*

⁷⁸ See *Cardinal Holding*, 258 Va. at 632-33; see also *Fox v. Fox*, 41 Va. App. 88, 98, 581 S.E.2d 904 (2003). As to the trial judge's discretion, see, for example, *McNally v. Rey*, 275 Va. 475, 481, 659 S.E. 2d 279 (2008).

⁷⁹ *Cardinal Holding*, 258 Va. at 633.

⁸⁰ See *United States v. Grayson*, 438 U.S. 41, 50-55 (1978). Without belaboring the point, I incorporate in my analysis much of what Chief Justice Burger said, in the criminal-sentencing context, in *Grayson*.

2. Boyce and Swezey shall pay to Martin F. Clark, Esquire, the sum of \$2,312.50 on account of legal services rendered to Melissa Wyatt Fain, Charles P. Hable, and the Animal Clinic of Patrick County, P.C.
3. Boyce and Swezey shall pay to the law firm of Glenn, Robinson & Cathey the sum of \$6,792 on account of legal services rendered to Kristen England Pruitt and Jeanie Frisco, and costs expended by or on behalf of those clients in this litigation.⁸¹
4. To the extent not embraced in the amounts specified in the three paragraphs above, Boyce and Swezey shall pay the actual expenses incurred by each of the defendants for transcripts or copies thereof (including transcripts of proceedings before the Board of Veterinary Medicine), for court reporter per diem charges and other court reporter charges, and all other reasonable expenses incurred by each defendant, or counsel for any defendant, incurred but not limited to:
 - a. Mileage and parking charges in connection with hearings, meetings, filings, research and preparation.
 - b. Photocopying, printing, mailing and shipping charges, long-distance telephone charges, and fax charges, in the amounts that the lawyers or law firms have billed, or in the normal course would have billed to their clients.
 - c. Any charges incurred for service of process.
 - d. Any other taxable costs incurred.
5. Boyce and Swezey shall pay to the Clerk of the Circuit Court of Patrick County:
 - a. The actual amounts paid (or owed) by the Clerk to court reporters and for transcripts in connection with hearings in this case. The

⁸¹ Clement & Wheatley's clients were billed more than twice as much as Glenn Robinson & Cathey's clients. In a written submission accompanying her firm's itemization of fees and costs, Melissa Robinson explained that her partner, Jane S. Glenn, had set the firm's billing policy in this case. "[G]iven the circumstances giving rise to the lawsuit," Ms. Robinson explained—and the court assumes that she refers not only to the Code § 8.01-271.1 violation, but also to the allegations that led to her clients' appearance before the Board—Ms. Glenn wanted the firm's clients, Jeannie Frisco and Kristen England Pruitt, to be able to "avoid significant legal expenses, to the extent possible." The difference in no respect should bear upon the reasonableness of Mr. Pulley's [Clement & Wheatley's] charges and, in fact, in our experience, they appear more than reasonable." Ms. Robinson explained that Ms. Glenn, who died during the pendency of this suit, exercised her billing discretion in the best traditions of the legal profession. The fees charged by Clement & Wheatley are objectively reasonable, as are the fees charged by Glenn, Robinson & Cathey.

Clerk has paid \$546 to Central Virginia Reporters for the transcript of a hearing held in Roanoke. Boyce and Swezey must reimburse her for that expense. The court's file also contains a copy of a transcript of a hearing held in Stuart. Boyce and Swezey must pay the Clerk any sum that the Clerk has paid, or is obligated to pay, to Court Reporter Ann K. Nichols in connection with this hearing and transcript.

- b. The sum of \$750 in lieu of recompense for the expenses caused to the Clerk by this meritless suit and its sanctions phase.
6. Boyce and Swezey shall pay to the Attorney General of Virginia the reasonable expenses incurred by the Office of the Attorney General in this matter, to the extent that the Attorney General is able to itemize those expenses. The Attorney General's actual expenses may include, but are not limited to, mileage, toll, lodging and parking charges in connection with attendance at hearings, printing, and photocopying charges, postage and courier charges, charges for transcripts or copies thereof (not including transcripts of proceedings before the Board of Veterinary Medicine), for court reporter per diem charges and other court reporter charges, and all other reasonable expenses incurred by the Attorney General as counsel for the intervenor in this case. These of course do not include expenses incurred by the Office of the Attorney General in connection with Boyce's hearing before the Board.
 7. Boyce and Swezey shall pay the sum of \$6,500 as follows:
 - a. To the Attorney General of Virginia, as a punitive sanction and, in effect, to reimburse the citizens of the Commonwealth of Virginia for legal services rendered to the Commonwealth by the Attorney General as a result of Boyce's and Swezey's violation of Code § 8.01-271.1. Senior Assistant Attorney General Pedrotty asserted on the record that if this court had allowed this groundless suit to proceed, the Commonwealth's ability to regulate health professions would have been seriously undermined. The Commonwealth's argument demonstrates the public policy rationale for the immunity that barred the suit. To allow a suit like this to proceed, the Attorney General argued, would have a chilling effect on persons (particularly professionals) who might be called upon to testify before health regulatory boards. No one can know, of course, the degree to which the Attorney General's fears might have been realized—but the concern was legitimate, and of a magnitude that demanded response from the Attorney General. It is appropriate and consistent with the purposes for which the

General Assembly adopted Code § 8.01-271.1 for Boyce and Swezey to share in the cost of the Commonwealth's response to the suit.⁸² The court asks Mr. Pedrotty to determine whether there is any legal bar to the Office of the Attorney General receiving this payment and, if not, whether the Attorney General is required to pay such funds over for deposit in the General Fund, without the Attorney General's Office being able to use the funds for its own proper purposes.

- b. If the Attorney General is legally barred from receiving such funds, or would be required to simply pass the funds through to the general fund, this sum will be paid, as a fine, to the Clerk of the Circuit Court of Patrick County.⁸³
8. Within four months next following the date of this letter-opinion, Boyce shall pay each of the defendants the sum of \$200; and Swezey shall pay each of the defendants the sum of \$200. The court calculates that these payments will leave the defendants whole for fees and expenses since their last submissions of attorney fee bills.
 9. Within 12 months next following the date of this letter-opinion:
 - a. Boyce must successfully complete six hours of continuing education in veterinary medical ethics. The continuing education credits that he earns for complying with this order cannot in any way or in any year be applied to his continuing education obligation as a Virginia-licensed veterinarian. The courses he takes must, however, be approved for continuing education credit by the Virginia Board of Veterinary Medicine. Within 30 days of completion of a continuing education class (or continuing education classes) in fulfillment (or partial fulfillment) of this requirement—but not less than 13 months after the date of this

⁸² See *U.S. Gov. ex rel Houck v. Folding Carton Admin. Comm.*, 121 F.R.D. 69,70 (N.D. Ill. 1988) ("Making an assertion, or in this case filing suit against potentially immune defendants, in the hope that they will turn out to not be immune, is unacceptable. Rule 11's purpose of deterring harassing litigation is highlighted in the present case because judicial immunity is itself a principle which seeks to deter the chilling effects of lawsuits." (Citation omitted)).

⁸³ See *Taboda*, 272 Va. at 216 (\$1,000 fine imposed upon lawyer as a sanction under Code § 8.01-271.1); see also *Alcan Aluminum Corp. v. Lyntel Products, Inc.*, 656 F. Supp. 1138, (N.D. Ill. 1987) (court, under Rule 11 orders counsel to pay clerk of court fine of \$15,000 for abusing judicial process by filing suit); *Advo Sys., Inc. v. Walters*, 1110 F.R.D. 426, 433 (E.D. Mich. 1986) (fining client and counsel jointly \$1,800 for Rule 11 violation, payable to the clerk of the court).

letter-opinion, Boyce must file with the Clerk of this court (with a copy to this judge) documentary proof of obtaining such continuing education credit and that the course or courses he took for this purpose were approved by the Board.

- b. Swezey must successfully complete six hours of continuing legal education (CLE) that qualifies for ethics credit. The CLE credits that he earns for complying with this order cannot in any way or in any year be applied to his CLE obligation as a Virginia-licensed lawyer. The courses he takes must, however, be approved for ethics credit by the Virginia MCLE Board. Within 30 days of completion of a CLE class (or CLE classes) in fulfillment (or partial fulfillment) of this requirement—but not less than 13 months after the date of this letter-opinion, Swezey must file with the Clerk of this court (with a copy to this judge) documentary proof of obtaining such CLE credit and that the course or courses he took for this purpose were approved for Virginia MCLE ethics credit.

When fees and costs are to be paid to a law firm, the firm must, of course, reimburse the client for fees and costs the client has paid.

In determining the sanctions to be imposed, the court had before it the affidavits and statements of fees and expenses for the attorneys representing the defendants in this suit. Neither Swezey nor Boyce has made a particularized objection to any of the charges itemized by the defendants' attorneys, or to the hourly rates of the defendants' lawyers.⁸⁴ (This is not to suggest that either Boyce or Swezey conceded that sanctions, or any particular sanction, should be imposed.)

Our Supreme Court has identified a number of factors that trial judges may consider in fixing a reasonable attorney's fee in any case.⁸⁵ Unlike many courts, however, the Supreme Court of Virginia does not require that all of these factors be considered in every situation.⁸⁶ Trial courts are afforded considerable latitude in the exercise of their discretion in fixing attorney's fees.⁸⁷ One of the reasons for this latitude, it is said, is that judges are assumed to be familiar with charges rendered in similar cases and for similar services in their locality, and with the expertise and reputations of lawyers who appear in such cases.⁸⁸ The

⁸⁴ See *Seyfarth, Shaw, Fairweather & Geraldson v. Lake Fairfax Seven Ltd. Pshp.*, 253 Va. 93, 97, 480 S.E.2d 471 (1997).

⁸⁵ See *Chawla v. Burgerbusters, Inc.*, 255 Va. 616, 623, 499 S.E.2d 829 (1998).

⁸⁶ *West Square, L.L.C. v. Commun. Techs.*, 274 Va. 425, 433-34, 649 S.E.2d 698 (2007).

⁸⁷ *Id.*

⁸⁸ See *Cangiano v. LSH Bldg. Co.*, 271 Va. 171, 178, 623 S.E.2d 889 (2006) (award affirmed; trial judge considered, *inter alia*, "whether the rates charged were consistent

court has brought that knowledge and familiarity to the determination of appropriate sanctions in this case.

Interest at the judgment rate will run from the date that payments are due. Recognizing that this court has taken too long to render this decision—for which I apologize and for which explanation would be irrelevant—I have considered the equities and have concluded that this is the only appropriate manner in which to handle judgment interest.

The Frisco counterclaim

Defendant Jeanne Frisco filed a counterclaim, alleging that Dr. Boyce's veterinary negligence caused the death of her dog. Boyce's special plea of the statute of limitations is well taken, and the court therefore will dismiss the counterclaim.

Frisco argues, ingeniously, that the counterclaim is simply a suit for tortious damage to personal property, governed by a five-year statute of limitations.⁸⁹ In my view, however, her argument asks the court to depart from established precedent. That is an argument that must be addressed to the Supreme Court of Virginia, rather than to this court. The Supreme Court has held that the three-year contract statute of limitations applies to an action for professional negligence of an attorney⁹⁰ and an accountant,⁹¹ despite the fact that each of those suits was framed in tort. Similarly, the essence of Frisco's claim is that Dr. Boyce's professional negligence was a proximate cause of her dog's death. The applicable statute of limitations, I therefore hold, had run before the counterclaim was filed. This decision not only follows state precedent, but seems to be in accord with the majority rule.⁹²

Will Ms. Robinson, Mr. Pulley, and Mr. Cole please draft, circulate, and tender a duly-endorsed order, consistent with and incorporating this opinion letter. All objections should be noted and will be preserved. If counsel cannot agree on language for a single order that avoids creation of an issue under

with the rendering of similar services in the context of this area or this market"); *Chawla*, 255 Va. at 623; *Westbrook v. Westbrook*, 5 Va. App. 446, 458, 364 S.E. 2d 523 (1988) (trial court not unmindful of usual charges in its jurisdiction); *McGinnis v. McGinnis*, 1 Va. App. 272, 277, 338 S.E. 2d 159 (1985) (trial court not unmindful of usual charges in its jurisdiction; modest award may be reasonable in circumstances of given case). Expert testimony is not essential to the determination of reasonable attorney's fees. See *Lee v. Mulford*, 269 Va. 562, 565, 611 S.E.2d 349 (2005).

⁸⁹ Code § 8.01-243(B). A dog is, by statute, personal property. See *Kondaurv v. Kerdasha*, 271 Va. 646, 657, 629 S.E.2d 181 (2006).

⁹⁰ *Oleyar v. Kerr*, 217 Va. 88, 90, 225 S.E. 2d 898 (1976).

⁹¹ *Boone v. Weaver Co.*, 235 Va. 157, 365 S.E. 2d 764 (1988).

⁹² See Cheryl A. Bailey, Annotation, *Veterinarian's Liability for Malpractice*, 71 A.L.R. 4th 811 at *2b.

Williamsburg Peking Corp. v. Xianchin Kong,⁹³ I will first enter an order on the Code § 8.01-271.1 matters, and then enter the order dismissing the counterclaim.

I thank all counsel for your excellent and professional advocacy, and again apologize for my delay in rendering these decisions.

Very truly yours,

Clifford R. Weckstein
Clifford R. Weckstein
Judge Designate

IN TESTIMONY, that the foregoing is a true copy taken from the records of said Court, I, Susan C. Gasperini, Clerk thereof set my hand and affix the seal of said Court.

The 13th day of March 2010
Susan C. Gasperini
Circuit Court, County of Patrick, Va.

Received and filed this 29th
day of July, 2010
at 10:45 o'clock AM/PM
Susan C. Gasperini, Clerk
Sandra D. Hall
Patrick County Circuit Court

⁹³ 270 Va. 350, 619 S.E.2d 100 (2005).