

**Supreme Court of Kentucky / Kentucky Bar Association
Disciplinary Statistical Comparison
Total for Prior Fiscal Years Compared to Total of FY 2015-2016**

<i>FY</i> <i>10-11</i>	<i>FY</i> <i>11-12</i>	<i>FY</i> <i>12-13</i>	<i>FY</i> <i>13-14</i>	<i>FY</i> <i>14-15</i>	<i>FY</i> <i>15-16</i>
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I. Disciplinary Intake Statistics

A. Complaints received by KBA and reviewed by Bar Counsel, pursuant to SCR 3.160

1,075	1,160	1,057	969	1,054	1,047
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B. Disciplinary cases initiated by Inquiry Commission, based upon information presented by Bar Counsel, pursuant to SCR 3.160(2)

Complaints authorized*	64	54	68	51	58	45
Investigations authorized	62	51	55	40	56	50

NUMBER OF COMPLAINTS RECEIVED AND INVESTIGATIONS OPENED AT END OF EACH PERIOD

1,201	1,265	1,180	1,060	1,168	1,142
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* Certain of these Complaints arose from Investigative Files

**Supreme Court of Kentucky / Kentucky Bar Association
Disciplinary Statistical Comparison
Total for Prior Fiscal Years Compared to Total of FY 2015-2016**

FY 11-12	FY 12-13	FY 13-14	FY 14-15	FY 15-16
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II. Disciplinary Disposition Statistics

A. Complaints returned as insufficient, pursuant to SCR 3.160	234	226	137	259	285
B. Closures by OBC through diversion or informal resolution under SCR 3.160(3)(C) or which were declined under SCR 3.160(3)(E).	668	682	574	518	549
C. Complaints dismissed by Inquiry Commission, pursuant to SCR 3.170, including conditional dismissals and warning letters. Also includes closed Investigative files as well as those closed due to death or disbarment in other cases.	286	228	186	198	220
D. Private Admonitions authorized by Inquiry Commission, pursuant to SCR 3.185, including conditional Private Admonitions.	45	64	46	38	49
E. Supreme Court Renditions (disbarment, suspension, reprimand, and dismissed)	101	133	77	100	50
NUMBER OF DISCIPLINARY FILES CLOSED AT END OF EACH PERIOD	1,334	1,333	1,020	1,113	1,153

**PERCENTAGE OF LAWYERS IN KENTUCKY WITH DISCIPLINARY CASES AGAINST THEM
FY 11-12 to FY 15-16**

Complaints Filed Against Lawyers Licensed to Practice in Kentucky

	11-12	12-13	13-14	14-15	15-16
Lawyers Licensed in the State of Kentucky*	17150	17432	17845	18,140	18,447
Lawyers With Complaints Filed This Year	709	688	653	607	488
Lawyers Without Complaints Filed This Year	16441	16744	17192	17,533	17,959
% of KY Lawyers With Complaints Filed This Year	4.13%	3.95%	3.66%	3.35%	2.64%

Charges Against Lawyers Licensed to Practice in Kentucky

	11-12	12-13	13-14	14-15	15-16
Lawyers Licensed in the State of Kentucky*	17150	17432	17845	18,140	18,447
Lawyers With Charges Pending	82	68	67	52	74
Lawyers Without Charges Pending	17068	17364	17778	18,088	18,373
% of KY Lawyers With Charges Pending	0.48%	0.39%	0.38%	0.29%	0.40%
% of Lawyers With Charges Pending Who Have Multiple Charges Pending	41.46%	33.82%	40.30%	38.46%	37.84%
Mean Number of Charges Per Lawyer Who Have Multiple Charges Pending	3.65	2.78	3.07	3.9	3.6

* Since the number of lawyers registered to practice in Kentucky changes on an almost daily basis, this number is an average. Approximately 4,801 lawyers included in this figure are licensed to practice in the state of Kentucky, but do not live here.

Initial Intake Rule Violations Recorded in Disciplinary Files As Opened

RULE	VIOLATION	11-12	12-13	13-14	14-15	15-16
Rule 1.4	Communications	272	273	236	247	190
Rule 1.3	Diligence	287	275	259	265	183
Rule 1.5	Fees	119	173	143	141	126
Rule 1.16	Termination	35	65	68	63	75
Other		148	90	108	90	63
Rule 1.15	Client Property	226	76	49	64	43
Rule 8.4(c)*	Dishonest Conduct	51	44	38	50	30
Rule 1.7-1.9	Conflict of Interest	70	40	43	38	27
Rule 3.4	Fairness to Opposing Party	41	45	32	26	20
Rule 1.1	Competence	74	36	24	26	18
Rule 3.3	Candor	36	26	27	29	13
Rule 5.5	Unauthorized Practice	10	13	25	36	11
Rule 8.4(b)*	Criminal Conduct	29	28	20	36	11
Rule 4.2	Communications with Represented Persons	12	9	13	9	8
Rule 4.4	Respect for Right of 3rd Person	20	11	16	5	6
Rule 1.6	Confidentiality of information	24	17	7	15	4
Rule 4.1	Truthfulness	23	21	16	15	4
Rule 5.3	Responsibility of Non-Lawyer Assistant	7	3	6	11	3
Rule 3.1	Meritorious Claims	5	4	4	2	1
Rule 4.3	Dealing with Unrepresented Persons	1	0	0	0	1
Rule 8.1	Candor in Discipline Process	2	5	0	2	1

*Effective July 15, 2009, SCR 3.130 8.3(b) and 8.3(c) were renumbered SCR 3.130 8.4(b) and 8.4(c) without substantive changes.

Private Admonition Rule Violations in Disciplinary Files as Determined by the Inquiry Commission

RULE	VIOLATION	11-12	12-13	13-14	14-15	15-16
Rule 1.4	Communications	25	26	27	24	14
Rule 1.3	Diligence	13	14	13	10	13
Rule 1.16	Termination	9	8	5	4	10
Rule 1.7-1.9	Conflict of Interest	6	22	4	6	7
Rule 3.4	Fairness to Opposing Party	2	1	2	3	6
Rule 5.5	Unauthorized Practice	4	1	7	1	6
Rule 1.1	Competence	5	6	2	5	5
Rule 8.1	Candor in Discipline Process	2	5	2	4	5
Rule 1.15	Client Property	5	4	6	3	4
Rule 8.4(b)*	Criminal Conduct	1	5	1	5	3
Rule 1.5	Fees	5	2	3	3	2
Rule 8.4(c)*	Dishonest Conduct	3	2	4	2	2
Rule 3.3	Candor	0	7	4	0	1
Rule 5.3	Responsibility of Non-Lawyer Assistant	1	0	3	0	1
Rule 1.6	Confidentiality of information	0	1	0	0	0
Rule 3.1	Meritorious Claims	0	7	0	0	0
Rule 4.1	Truthfulness	0	0	3	0	0
Rule 4.2	Communications with Represented Persons	3	0	0	1	0
Rule 4.3	Dealing with Unrepresented Persons	0	0	0	0	0
Rule 4.4	Respect for Right of 3rd Person	0	2	1	0	0
Other		15	11	3	1	

*Effective July 15, 2009, SCR 3.130 8.3(b) and 8.3(c) were renumbered SCR 3.130 8.4(b) and 8.4(c) without substantive changes.

Disposition Rule Violations in Disciplinary Files as Determined by the Supreme Court

RULE	VIOLATION	11-12	12-13	13-14	14-15	15-16
Rule 1.4	Communications	37	41	29	43	24
Rule 8.4(c)*	Dishonest Conduct	25	34	21	22	13
Rule 5.5	Unauthorized Practice	11	10	4	5	11
Rule 1.3	Diligence	23	21	18	28	10
Rule 8.4(b)*	Criminal Conduct	15	17	8	17	10
Rule 8.1	Candor in Discipline Process	25	26	17	30	9
Rule 1.15	Client Property	14	31	18	14	8
Rule 1.16	Termination	22	23	14	26	6
Rule 1.7-1.9	Conflict of Interest	8	13	8	2	6
Rule 1.5	Fees	8	19	5	7	2
Rule 1.6	Confidentiality of information	0	1	0	0	2
Rule 3.4	Fairness to Opposing Party	17	18	14	10	1
Rule 1.1	Competence	6	6	4	2	0
Rule 3.1	Meritorious Claims	0	1	1	2	0
Rule 3.3	Candor	7	5	3	5	0
Rule 4.1	Truthfulness	1	0	0	0	0
Rule 4.2	Communications with Represented Persons	0	0	2	0	0
Rule 4.3	Dealing with Unrepresented Persons	0	0	0	0	0
Rule 4.4	Respect for Right of 3rd Person	1	1	0	0	0
Rule 5.3	Responsibility of Non-Lawyer Assistant	2	5	2	3	0
Other		13	25	10	16	15

*Effective July 15, 2009, SCR 3.130 8.3(b) and 8.3(c) were renumbered SCR 3.130 8.4(b) and 8.4(c) without substantive changes.