

**Supreme Court of Kentucky / Kentucky Bar Association
Disciplinary Statistical Comparison
Total for Prior Fiscal Years Compared to Total of FY 2017-2018**

<i>FY</i> 12-13	<i>FY</i> 13-14	<i>FY</i> 14-15	<i>FY</i> 15-16	<i>FY</i> 16-17	<i>FY</i> 17-18
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I. Disciplinary Intake Statistics

A. Complaints received by KBA and reviewed by Bar Counsel, pursuant to SCR 3.160	1,057	969	1,054	1,047	1,028	1,015
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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*	68	51	58	45	30	35
Investigations authorized	55	40	56	50	46	55

NUMBER OF COMPLAINTS RECEIVED AND INVESTIGATIONS OPENED AT END OF EACH PERIOD	1,180	1,060	1,168	1,142	1,104	1,105
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* Certain of these Complaints arose from Investigative Files

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II. Disciplinary Disposition Statistics

A. Complaints returned as insufficient, pursuant to SCR 3.160	137	259	285	252	247
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).	574	518	549	585	599
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.	186	198	220	142	151
D. Private Admonitions authorized by Inquiry Commission, pursuant to SCR 3.185, including conditional Private Admonitions.	46	38	49	44	40
E. Supreme Court Renditions (disbarment, suspension, reprimand, and dismissed)	77	100	50	77	87
NUMBER OF DISCIPLINARY FILES CLOSED AT END OF EACH PERIOD	1,020	1,113	1,153	1,100	1,124

**PERCENTAGE OF LAWYERS IN KENTUCKY WITH DISCIPLINARY CASES AGAINST THEM
FY13-14 to FY17-18**

Complaints Filed Against Lawyers Licensed to Practice in Kentucky

	13-14	14-15	15-16	16-17	17-18
Lawyers Licensed in the State of Kentucky*	17845	18,140	18,447	18,645	18,783
Lawyers With Complaints Filed This Year	653	607	488	572	571
Lawyers Without Complaints Filed This Year	17192	17,533	17,959	18,073	18,212
% of KY Lawyers With Complaints Filed This Year	3.66%	3.35%	2.64%	3.06%	3.04%

Charges Against Lawyers Licensed to Practice in Kentucky

	13-14	14-15	15-16	16-17	17-18
Lawyers Licensed in the State of Kentucky*	17845	18,140	18,447	18,645	18,783
Lawyers With Charges Pending	67	52	74	52	45
Lawyers Without Charges Pending	17778	18,088	18,373	18,591	18,738
% of KY Lawyers With Charges Pending	0.38%	0.29%	0.40%	0.28%	0.24%
% of Lawyers With Charges Pending Who Have Multiple Charges Pending	40.30%	38.46%	37.84%	46%	38%
Mean Number of Charges Per Lawyer Who Have Multiple Charges Pending	3.07	3.9	3.6	4.4	5.6

* Since the number of lawyers registered to practice in Kentucky changes on an almost daily basis, this number is an average. Approximately 5,038 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	13-14	14-15	15-16	16-17	17-18
Rule 1.4	Communications	236	247	190	278	185
Rule 1.3	Diligence	259	265	183	253	173
Rule 1.16	Termination	68	63	75	131	127
Rule 1.5	Fees	143	141	126	41	72
Rule 8.4(c)*	Dishonest Conduct	38	50	30	63	63
Rule 1.2	Scope General					46
Rule 1.7-1.9	Conflict of Interest	43	38	27	34	40
Rule 8.4(b)*	Criminal Conduct	20	36	11	20	36
Rule 3.4	Fairness to Opposing Party	32	26	20	15	33
Rule 1.1	Competence	24	26	18	21	25
Rule 1.15	Client Property	49	64	43	23	25
Rule 5.5	Unauthorized Practice	25	36	11	15	24
Rule 3.3	Candor	27	29	13	7	18
Rule 5.3	Responsibility of Non-Lawyer Assistant	6	11	3	4	14
Rule 1.6	Confidentiality of information	7	15	4	3	10
Rule 4.2	Communications with Represented Persons	13	9	8	3	7
Rule 4.4	Respect for Right of 3rd Person	16	5	6	1	6
Rule 4.1	Truthfulness	16	15	4	0	4
Rule 3.1	Meritorious Claims	4	2	1	0	3
Rule 4.3	Dealing with Unrepresented Persons	0	0	1	0	2
Rule 8.1	Candor in Discipline Process	0	2	1	7	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 subst

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

RULE	VIOLATION	13-14	14-15	15-16	16-17	17-18
Rule 1.4	Communications	27	24	14	62	35
Rule 1.16	Termination	5	4	10	28	20
Rule 1.3	Diligence	13	10	13	34	18
Rule 8.1	Candor in Discipline Process	2	4	5	10	12
Rule 1.15	Client Property	6	3	4	12	10
Rule 8.4(b)*	Criminal Conduct	1	5	3	0	10
Rule 1.7-1.9	Conflict of Interest	4	6	7	4	8
Rule 1.1	Competence	2	5	5	6	6
Rule 8.4(c)*	Dishonest Conduct	4	2	2	0	3
Rule 1.5	Fees	3	3	2	10	2
Rule 5.3	Responsibility of Non-Lawyer Assistant	3	0	1	8	2
Rule 3.4	Fairness to Opposing Party	2	3	6	6	2
Rule 5.5	Unauthorized Practice	7	1	6	2	2
Rule 3.3	Candor	4	0	1	0	2
Rule 4.2	Communications with Represented Persons	0	1	0	0	2
Rule 1.6	Confidentiality of information	0	0	0	0	0
Rule 3.1	Meritorious Claims	0	0	0	0	0
Rule 4.1	Truthfulness	3	0	0	0	0
Rule 4.3	Dealing with Unrepresented Persons	0	0	0	0	0
Rule 4.4	Respect for Right of 3rd Person	1	0	0	0	0

*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 change.

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

RULE	VIOLATION	13-14	14-15	15-16	16-17	17-18
Rule 1.4	Communications	29	43	24	40	50
Rule 8.4(c)*	Dishonest Conduct	21	22	13	31	48
Rule 1.16	Termination	14	26	6	26	28
Rule 1.3	Diligence	18	28	10	24	28
Rule 8.4(b)*	Criminal Conduct	8	17	10	10	27
Rule 1.15	Client Property	18	14	8	14	19
Rule 8.1	Candor in Discipline Process	17	30	9	27	19
Rule 1.5	Fees	5	7	2	2	10
Rule 3.4	Fairness to Opposing Party	14	10	1	6	10
Rule 5.5	Unauthorized Practice	4	5	11	13	4
Rule 1.1	Competence	4	2	0	4	2
Rule 1.7-1.9	Conflict of Interest	8	2	6	3	2
Rule 4.4	Respect for Right of 3rd Person	0	0	0	0	1
Rule 1.6	Confidentiality of information	0	0	2	0	0
Rule 3.1	Meritorious Claims	1	2	0	1	0
Rule 3.3	Candor	3	5	0	3	0
Rule 4.1	Truthfulness	0	0	0	0	0
Rule 4.2	Communications with Represented Persons	2	0	0	0	0
Rule 4.3	Dealing with Unrepresented Persons	0	0	0	0	0
Rule 5.3	Responsibility of Non-Lawyer Assistant	2	3	0	2	0

*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.