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In Re:

Angeles Roca Court of Common Pleas First Judicial District (Philadelphia County)

Sanctions Hearing

Pages 1 through 69

Fifth Floor Courtroom Pennsylvania Judicial Center 601 Commonwealth Avenue Harrisburg, Pennsylvania

Monday, November 21, 2016

Met, pursuant to notice, at 10:00 a.m.

#### **BEFORE:**

HONORABLE JACK A. PANELLA, President Judge HONORABLE DAVID J. BARTON, Judge HONORABLE JOHN J. SOROKO, Judge HONORABLE DAVID J. SHRAGER, Judge

#### APPEARANCES:

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(For the Petitioner)

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#### ALSO PRESENT:

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2 NUMBER

FOR IDENTIFICATION IN EVIDENCE

Respondent's

1 (Statement of Witnesses dated 10 11 November 9, 2016)
2 (Supplemental Statement of 10 11 Witnesses)

3 (Second Supplemental Statement
 of Witnesses)

EXHIBIT INDEX

# PROCEEDINGS

JUDGE PANELLA: Good morning. Let the record reflect we're here for the sanctions hearing in the matter involving Angeles Roca, which is No. 14 JD of 2015.

As I always like to do, let's have everyone in the courtroom identify themselves. First, here on behalf of the Judicial Conduct Board?

MS. FLAHERTY: Yes, good morning. I'm Elizabeth Flaherty for the Judicial Conduct Board.

MR. STRETTON: Good morning. Sam Stretton on behalf of Judge Roca, who is sitting to my right.

JUDGE PANELLA: And Joseph Metz, Chief Counsel for the Court of Judicial Discipline, is also present.

Like I always like to do, I like to start hearings with a brief procedural history of the case. In this matter, a complaint was filed by the Board on December 18 of 2015. A Petition for Interim Suspension was filed by the Board on the same day, December 18, 2015. A response to the Petition for Interim Suspension was filed on January 11, 2016.

An amended complaint was then filed by the Board on June 30 of this year, 2016, and the Respondent filed an omnibus pre-trial motion on January 20 of 2016.

Orders that have been entered thus far are as follows: on January 13, 2016, the Respondent was suspended

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24 25 without pay by way of a per curiam order. On March 2, 2016, this Court issued an order which denied the omnibus pretrial motion.

An Opinion and Order was filed on October 20, 2016, which adjudicated the Respondent in violation of the Canons and the Constitution of Pennsylvania as follows: pursuant to the Conclusions of Law contained in that Opinion and Order of October 20, 2016, we found that there was a violation of former Canon 2A of the Code of Judicial Conduct; a violation of former Canon 2B of the Code of Judicial Conduct; a violation of Article V, § 18(d)(1) of the Constitution of the Commonwealth of Pennsylvania regarding conduct that brings the judicial office into disrepute; a violation of Article V, § 18(d)(1) of the Constitution of the Commonwealth of Pennsylvania in regards to conduct that prejudices the proper administration of justice; and an automatic derivative violation of Article V, § 17(b) of the Constitution of Pennsylvania inasmuch as we found that the Respondent's conduct constituted a violation of former Canons 2A and 2B of the Code of Judicial Conduct.

On October 20 of this year, we received the motion of Judge Roca to waive objections and exceptions to the Opinion, and I'm sorry, that motion of October 20, 2016.

We received then a letter from the Judicial Conduct Board, which was dated October 25 of this year, that

it did not intend to present testimony at the sanctions hearing.

On the Respondent's behalf, we received a brief on the issue of sanctions which was dated November 9 of 2016, and also on November 9, 2016, we received a statement of witnesses. In that statement four witnesses were listed to be presented today. The statement also said that the Respondent requests that we incorporate the character witnesses from the adjudicatory trial. Also, four letters were received in support of the Respondent with a comment that possibly another ten to 20 letters would be moved into the record today.

With that, unless I misspoke or misstated anything, I guess we'll turn to the Board to hear anything on behalf of the Board.

MS. FLAHERTY: Thank you, Your Honor. Just briefly, I have one item to add to the procedural history, and that was within the Board complaint there was also a count charging a violation of 3A(4), former Canon 3A(4), exparte communication, but because that same conduct had been addressed within other counts, the Court deemed it unnecessary to address that count separately.

JUDGE PANELLA: Yes, I believe we specifically stated that, that we were not reaching that count.

MS. FLAHERTY: Yes. Because those

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communications were addressed pursuant to other counts within the complaint, there is no reason for me to argue it. On behalf of the Board, I am relying on the Court's Opinion. The Board does not make a specific recommendation as to a specific sanction at this time but leaves the decision to the discretion of this Court.

JUDGE PANELLA: With that, we'll turn to the Respondent's side, and Mr. Stretton, we'll defer to you.

MR. STRETTON: Thank you. I have marked as R-1 the Statement of Witnesses containing four character letters; R-2, the Supplemental Statement of Witnesses; containing two character letters; and R-3 a second Supplemental Statement of Witnesses containing eight character letters. I don't know if you received them. You didn't reference those in your --

JUDGE PANELLA: Let's go over those again. R-1 is what?

MR. STRETTON: R-1 is a Statement of Witnesses of the Respondent --

JUDGE PANELLA: And that was the one dated November 9 of 2016?

MR. STRETTON: Yes, which is really our pretrial --

JUDGE PANELLA: And we do have the other two. R-2, Mr. Stretton, is which?

MR. STRETTON: Is the first Supplemental Statement, which includes the letters from Attorney Barry Kassel, K-a-s-s-e-l, and Attorney Andres, A-n-d-r-e-s, Jalon, J-a-l-o-n. I have extra copies if the Court needs these.

JUDGE PANELLA: I don't have the first Supplemental Statement. I have the second.

Do other members of the Court have the first Supplemental?

JUDGE BARTON: No.

JUDGE PANELLA: Do you have four copies of it, Mr. Stretton?

MR. STRETTON: I didn't bring four. I thought they already were received, so I only brought one set, but I have a set here. Let me see if I have an extra one for the Supplemental.

JUDGE PANELLA: We all have a copy of the second.

Ms. Kane, would you mind running back to the office and making copies for all of us of the first? We have a Cathy Kane that works for us. Not the Kathy Kane previously in office.

MR. STRETTON: I didn't bring any extra -
JUDGE PANELLA: It's no problem. I think she

could run back to the office and get that for us.

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MR. STRETTON: With your permission, let me hand these to the Court officer, and then he can hand them to you, Officer Metz.

JUDGE PANELLA: That's fine.

MR. STRETTON: I just want to make sure you have all those. And then while we're waiting, I would also, as you mentioned during your initial comments, incorporate by reference the entirety of the witnesses who testified on September 8 and 9 when we had our hearing on the merits. T believe you have the notes of testimony in that regard.

JUDGE PANELLA: Okay. So R-2 is the Supplemental Statement, which we all don't have a copy of, but we do definitely all have a copy of the second. R-3, the second?

MR. STRETTON: Yes. That was filed last week. We did get time-stamped copies back of R-2, so they're somewhere.

> (Whereupon, the documents were marked as Respondent's Exhibits Nos. 1 through 3 for identification.)

MR. STRETTON: So I would incorporate all those by reference, and I have several witnesses who will testify briefly, they being my client's sister, her law clerk, and her judicial secretary.

> That's fine. Just for the JUDGE PANELLA:

1 record, any objections to R-1, R-2 or R-3? 2 MS. FLAHERTY: No objections. JUDGE PANELLA: They're all admitted. 3 (Whereupon, the documents marked as Respondent's Exhibits Nos. 1 through 3 were received in evidence.) 6 MR. STRETTON: Thank you. I will call the 7 secretary first. Come forward. 8 Whereupon, 9 ELSIE ECHEVARRIA, 10 having been duly sworn, testified as follows: 11 MR. STRETTON: This is Elsie Echevarria. 12 DIRECT EXAMINATION 13 BY MR. STRETTON: 14 Would you state your full name for the record and 15 spell it for the Court? 16 Elsie Echevarria, E-l-s-i-e, last name 17 E-c-h-e-v-a-r-i-a. 18 Ms. Echevarria, what is your current occupation? 19 I am judicial secretary for Angeles Roca. 20 What did you do before you were a judicial secretary? 21 I worked in the Prothonotary's Office in Family Court 22 as a Clerk. In Philadelphia County? In Philadelphia County, yes.

- Q. For the Domestic Relations Office of the Court of Common Pleas?
- A. Correct.

- Q. Now, how long have you known Judge Roca?
- A. Nineteen years.
  - Q. And how did you get to know the judge?
  - A. I met Judge Roca when I was -- I apologize; I'm a little nervous today.
  - Q. That's okay.
  - A. I met Judge Roca when I was 22. The way I met Judge Roca, it was -- I myself was a single parent of a disabled child, and my car was hit in the middle of the night by a drunk driver. He hit my vehicle and two other vehicles, and it was a hit-and-run. He left his license plate behind. My neighbor retrieved the license plate, went to Judge Roca. She was able to track down the owner of the vehicle.
  - Q. She was an attorney at that point in time?
  - A. She was an attorney at that time. I apologize. And my neighbor knocked on my door, gave me the information.

I went in to her office and she told me it was very simple, told me what to do, all about getting the information and contacting the insurance company, but I really didn't have the time. I was 22, very young, I was caring for my mentally disabled daughter, so I just didn't have the time.

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I asked her, "Could you please just handle it for me?

Any money that we get, I'll be sure to pay you." She said,

"It's really no big deal, you can handle this yourself."

She said, "All right, fine, I'll do it for you."

Maybe two weeks later she called me back into her office with a check, handled everything and refused to accept payment. I wrote out a check, handed it to her. She never cashed that check, refused to cash it. I never saw her again.

Then we bumped into each other maybe a year later when I was working at the courthouse, and that's how we met.

- Q. And for how many years did you serve as her judicial secretary?
- A. Seven.
- Q. Could you describe to the Court your observations of her preparedness and diligence as a Common Pleas judge with the Family Court Division?
- A. She is a hard worker. She is in every day on time. She cares about the children, cares about her work. She goes above and beyond. She's just -- she really is, she's a hard worker.
- Q. And how did she treat yourself and the staff during her years before her interim suspension?
- A. Very good, very tough. She's a tough judge.
- Q. How does she treat members of the Bar?

- A. With respect, always respectful.
- Q. Now, has the judge ever discussed her misconduct that brings us here today with you?
  - A. Yes, she has.

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- Q. What has she told you?
  - A. She has always taken responsibility for what she has done. She has apologized almost every day for what she has done, how it not only affects her but her staff and her reputation. She has always taken full responsibility for what she has done, and she just -- she's very remorseful.
  - Q. Have you gotten to know people in the community, particularly the Philadelphia community and legal community, who know Judge Roca?
  - A. Yes.
- Q. Among those people you know who know Judge Roca and who you've spoken to, what is her current reputation as a truthful and honest person? Is it good or is it bad?
- 18 A. Oh, it's good.
- Q. Among those same people, what is her current reputation as a peaceful and law-abiding person? Is it good or is it bad?
  - A. It's good.
- Q. During your time, seven years, with her, obviously,
  we know she did wrong, that's why we're here, but have you
  ever seen her act in any way illegally or unethically in any

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case, or cutting any corners during your working with her during these seven years when she's been on the bench?

A. No, no, she hasn't. She has even made it very clear that she is not to read any ex parte letters that come in.

That's something that I handled. I made sure that she never saw any of the letters; that was filed away. She is very big on that.

MR. STRETTON: Thank you.

Your witness, Ms. Flaherty.

MS. FLAHERTY: I have no questions.

MR. STRETTON: Does the Court have any

questions?

JUDGE PANELLA: Anyone on the Court?

(No response.)

JUDGE PANELLA: No. Thank you very much.

THE WITNESS: Thank you.

(Witness excused.)

MR. STRETTON: Next I'm going to call her judicial law clerk and friend, Virginia Gutierrez. Whereupon,

## VIRGINIA GUTIERREZ,

having been duly sworn, testified as follows:

#### DIRECT EXAMINATION

BY MR. STRETTON:

Q. Would you give us your full name for the record, and

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spell your last name?

- My first name is Virginia, V-i-r-g-i-n-i-a, last name is Gutierrez, G-u-t-i-e-r-r-e-z.
- Do you have the privilege of being a member of the Q. Bar?
- Yes, I am a member of the Pennsylvania Bar. Court I.D. number is 69909.
- And for how many years have you had this privilege? Q.
- Since 1994. Α. 9
- Now, tell me, have you clerked for Judge Roca as a 10 law clerk? 11
- I began clerking with her in November of 2008.
- And did you continue as her judicial law clerk until her interim suspension? 14
- Correct. 15
  - Before that, what kind of law did you practice from '94 until 2008?
  - Well, coming into law school I had been a probation officer in Dallas, Texas, so I guess normally when I left law school I did criminal defense. I did that for quite a few years. Then I did zoning law. I did some zoning for Dominican Bodegas and other mom-and-pop grocery stores, getting variances for their zoning, so I did that. Then I do protection from abuse cases, and that's how I met Judge Roca.

- Q. I was going to ask you. You met her as opposing lawyers, or tell us how you met her?
- A. Yeah, we were, we were opposing counsel in one of the protection from abuse matters, so that's how I met her.
- Q. And when she was a practicing lawyer, could you describe her abilities in the areas of domestic law where she primarily concentrated her practice?
- A. I only knew her in the context of the protection from abuse, but I always knew she was a -- I used to enjoy it because we would spar pretty well, and I like that, so it was interesting.
- Q. After she hired you as her law clerk, did you have occasion to observe her on the bench, as Judge Roca on the bench, during the seven or eight years you were clerking for her until her interim suspension?
- A. Yes. Of course, every day I would prepare cases for her, and then I would spend time in the courtroom with her when she was hearing cases, so yeah, I spent a lot of time with her.
- Q. Can you describe how she ran her courtroom in terms of preparedness, demeanor, length of time on the bench on a regular basis?
- A. Yeah. Well, she was very structured, very demanding, which I can understand that. She was very efficient, so we had to have everything ready, Elsie and I, and if we weren't

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ready, we'd hear about it; she'd call us and say, you know,
"I'm missing this" or "I'm missing that. Where is it?" So
no, she was always ready, she was on time, she was prepared.
She'd work through lunch, sometimes into the -- because
they'd have a morning list and an afternoon list, so she
would work through the morning list and sometimes not take
lunch and then work till she finished the afternoon list.
So she was just -- she was described as a workhorse in
Family Court because she was; her caseloads were outrageous
and there was a lot of cases, but she would get through them
all.

- Q. And how did she treat litigants and lawyers in terms of demeanor and back-and-forth and opportunities to be heard and things of that nature?
- A. Well, she had an uncanny ability, which I envied, that she would find the middle ground between the two litigants, and I think that's the reason why, with the heavy caseload that we have in Family Court -- and you guys know -- I mean, Your Honors know this. Caseloads are really horrific, but in the eight years that we've been in court, she's only been appealed -- and I checked and I looked through our files; she's been appealed, her decisions, 15 times, and out of those 15, of course, a few were quashed because of procedural reasons, they didn't file something or -- so they were quashed. The remaining ones, all of her

decisions were affirmed and she never got reversed on any decision.

So then I started thinking, well, why is that, when I hear that all of these other law clerks are busy doing appeal opinions all the time, and there's hundreds of appeals. So in my mind I said, well, you know what? I think it's the way she handles the hearings. She has, as I said, this uncanny ability to find the middle ground between the two litigants, and when they walked out of there it seemed to me like they didn't get everything they wanted but they got something of what they wanted, and so they left pretty much satisfied when they left, and that's why I think they didn't appeal.

But, I mean, to be honest, we're not here because of all the great decisions that she made.

- Q. Now, you know why we're here. I want you to tell the Court what the judge has told you in terms of her admitted-to misconduct.
- A. Well, she told me that she had made a mistake regarding her son and that she accepted all responsibility for that, and I understood that. She's been very remorseful for that, and so I understand. I just wish that you would judge her not only on the error or the mistakes that she's made but I want you to consider the tremendous track record that she's had as a jurist. I'm honored to be her law

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clerk. I'm honored that she is such a good jurist.

- Q. I'm going to call you on the carpet a little. You said she said she made a mistake. Mistake means inadvertence. Did she accept full responsibility for intentional misconduct here?
- A. Yeah, well, I may have misspoken, but --
- Q. Well, you're her law clerk. I want to know if she's accepted full responsibility. I don't accept the word "mistake" --
- A. No, no. She's admitted she was wrong. I admire her for that.
- Q. I didn't mean to chastise you for that.
- A. That's all right.
  - Q. Now, you got to know people, lawyers and other people in the legal community and the Philadelphia community; am I correct?
- A. Yes.
- Q. Among those people you know who know Judge Roca and who you have spoken to, what is her current reputation as a peaceful and law-abiding person? Is it good or is it bad?
  - A. No, she has a good reputation. I think she has a good reputation with the Bar as being a no-nonsense judge.

    When you came into her courtroom, you were prepared, and if not, she let you know that you weren't prepared.
  - Q. What is her current reputation among the same people

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are you?

I'd say it's good. Α. In terms of the Family Court climate -- you obviously Q. know the other judges and other clerks and people -- if she was reinstated at some point, would she be welcomed back into Family Court? Α. Well, as I said, I mean, she was known as a workhorse. She would volunteer to work on holiday weekends. Much to my amazement, she would volunteer for Thanksgiving, you know, New Years, Easter. She was always volunteering to be the judge on call, the emergency judge, and her caseloads were heavy, and it's just a remarkable thing that she did. So yeah, I think they would be welcoming her with open arms. MR. STRETTON: Thank you. Ms. Flaherty, your witness. MS. FLAHERTY: I have no questions. MR. STRETTON: Does the Court have any questions of her? JUDGE PANELLA: No, but thank you for being here The only thing that gives me concern is you're not intending to speak on behalf of the judges of the Family Court Division of the Philadelphia Court of Common Pleas,

as a truthful and honest person? Is it good or is it bad?

THE WITNESS: Oh, no. I'm here as an individual.

record, and spell your first and last name, and speak into the microphone so the court reporter can hear you.

- A. My name is Milagros Roca, M-i-l-a-g-r-o-s, last name R-o-c-a.
- Q. What is your relationship to Judge Roca?
- A. I'm her little sister.
  - Q. Obviously, you've known her all of your life; am I correct?
- 9 A. Yes.

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- Q. Before we get into the events that bring us here today, can you describe your sister as you knew her, not as a judge but as a human being, over the many years you two have known each other and grown up together?
- A. Growing up, Angie always did the right thing. She was the moral compass of our family; if you did something wrong, she'd call you out on it. Then as years went on, she became the center of our family when my mother couldn't be the center anymore because of her illness, so she pulled the family together, always has taken care of everybody and everybody's needs.
- Q. Your mother is disabled now. Does Judge Roca spend time with her on a regular basis to help her?
- A. Yes. Angie decided that we should help to take care of her, so between her and I, we split the week and we're there with her several hours a day.

A. Yes.

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- Q. Could you describe just a little bit of that?
  - A. She's well known in the community. She goes to a lot of events --
- 7 Q. What community is that?
  - A. The Hispanic community in North Philly. People really love her, respect her. She was a family lawyer and people just, you know, went to her. She had a lot of clients.
  - Q. Now, as you had said, she was like the person who set the rules for the family and tried to set the example. Did she discuss her misconduct with you which brings us here today?
- 16 A. Yes.
- $_{7}$  Q. What did she tell you that she did?
- A. That she did something wrong that she shouldn't have done.
  - Q. Did she go into any more detail or did she leave it as that?
- A. She never really told me the details of what happened. I learned that from reading the papers. I thing she was too embarrassed.
  - Q. Has she expressed remorse for this?

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Q. How?

Yes.

- A. She said she wished she hadn't done that; she's sickened by it. She's actually been physically sick because of it, doesn't eat, has a hard time sleeping, so she's very remorseful.
- Q. And you, of course, know a lot of people in the community that know Judge Roca; am I correct?
- A. Yes.
- Q. Among those people you know who know Judge Roca, what is her current reputation as a peaceful and law-abiding person? Is it good or is it bad?
- 13 A. It's good.
- Q. Among those same people, what is her current reputation as a truthful and honest person? Is it good or is it bad?
- 17 A. It's good.
- Q. Has Judge Roca expressed a desire, if allowed, to return to her judicial duties?
  - A. Yes, she loves her job.
- Q. Has she learned from this? As the baby sister, younger sister -- how many children were in the family?
  - A. Six. There are six of us.
- Q. And she's the oldest?
  - A. No. She's a year older than me.

2	A. Yes.		
3	Q. Has she expressed that she's learned anything from		
4	this experience if she is given the privilege of returning		
5	to the bench?		
6	A. Yeah, I think so. It surprised all of us just		
7	because Angie's been always so moralistic, and she's never		
8	really done anything wrong; to the contrary, she's always		
9	done the right thing. Got educated, was the first one to		
10	get a car. She just always took the lead in my family, and		
11	so this was unusual, shocking, and I think she feels really		
12	badly about it.		
13	MR. STRETTON: Thank you.		
14	Ms. Flaherty, do you have questions?		
15	MS. FLAHERTY: No questions.		
16	MR. STRETTON: Does this Honorable Court have		
17	any questions?		
18	JUDGE PANELLA: Questions?		
19	(No response.)		
20	JUDGE PANELLA: None. Thank you very much.		
21	THE WITNESS: Thank you.		
22	(Witness excused.)		
23	MR. STRETTON: With that, I'm going to, with the		
24	Court's permission, ask Judge Roca to either step into the		
25	witness box or stand at the podium, whatever you wish.		
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And then you are the baby?

JUDGE PANELLA: Whatever the judge is more comfortable with; if she wants to remain there, if she wants to stand, either one is fine.

MR. STRETTON: I would prefer she stands, with due respect to the Court.

JUDGE PANELLA: Certainly.

Whereupon,

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# ANGELES ROCA,

having been duly sworn, testified as follows:

THE WITNESS: Good morning.

### DIRECT EXAMINATION

BY MR. STRETTON:

- Q. Good morning, Judge Roca. Would you state your full name for the record? I don't think you have to spell it because I think she has the caption.
- 16 A. My name is Angeles Roca.
  - Q. Judge, how old are you as you sit here today?
- 18 A. Sixty-one years old.
  - Q. Now, you adopt your testimony given during the prior proceeding on September 8 or September 9 of this year; am I correct?
- 22 A. Yes.
  - Q. Let me just highlight a couple things. How many children were in your family when you were growing up?
    - A. There were six of us.

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- Q. Where did your family reside?
- A. We resided, well, many places in Philadelphia, but I was born and raised in the Art Museum neighborhood, and then from there I lived just about every neighborhood in Philadelphia.
  - Q. What did your parents do to support the family?
- A. My mother was a single mother and she did whatever it took to feed six kids.
- Q. So your mom was a heroic lady?
- A. Yes, she was. Yes, she is.
- Q. Of your brothers and sisters, were you the first one to go to college?
- A. Myself and Milly may have gone at the same time, but we were the only two to go.
- Q. Milly is your baby sister who testified a few minutes ago?
  - A. Yes.
  - Q. You did not go to college initially after you reached adulthood; am I correct?
- A. I went to one year of college when I graduated from high school, and then I dropped out and began work.
- Q. And where did you work -- I know we covered a little of this, but I would like the whole Court to hear it again.
  Where did you work for many years before you went back to college?

- A. I worked at Wills Eye Hospital first on Spring
  Garden, then on Walnut Street in Philadelphia for 17 years.
- Q. Wills Eye Hospital moved during that time period, from Spring Garden --
- 5 | A. Yes.

- Q. -- to, what is it, Walnut Street?
- 7 A. Yes.
- 8 Q. By the Walnut Street Theatre?
- 9 | A. Yes.
- Q. What did you do at Wills Eye Hospital during those years?
- 12 A. I was a secretary.
- Q. During those years, did you become married?
- A. I did. I got married in 1978.
- Q. And you are still married and your husband, in fact,
- is in the courtroom today; am I correct?
- 17 A. Yes.
- Q. How many children of that marriage?
- 19 A. Two.
- Q. The Court met your son at the last hearing, and then you have a daughter?
- A. I have a daughter. They may have got stuck in traffic, because they were supposed to be here.
- Q. We know what your son does for a living, he's a barber and worked as your judicial aide the last time. What

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does your daughter do?

- A. My daughter teaches preschool for one of the charter school's in Philadelphia.
- Q. Now, what motivated you to go back to college sometime in the 1990s, or maybe it was 1980s?
- A. Well, it was a story. I had purchased a vehicle and the vehicle was a lemon, and the company didn't wanted to fix it, so I thought -- I took them to the Better Business Bureau, the Consumer Protection, and I thought there's a lot of people out there in my position and I wanted to help, so I decided then that law school would be where I would want to go.
- Q. So you started in what college?
- A. I went to Temple at night. It took me eight years to finish my Bachelor's Degree.
  - Q. And when did you get that? What year, Judge, was that?
- A. I graduated in 1992. Nineteen ninety-two.
  - Q. And what was your major or majors in?
  - A. Criminal justice.
  - Q. After you graduated -- by the way, were you still working at Wills Eye at that point in time?
    - A. Yes.
- Q. Did you go directly to law school after your graduation in '92?

A. Yes.

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- Q. What institution did you attend?
- A. I went to Villanova.
- Q. Were you a day student or a night student?
- A. At that point, I was a day student. I quit work. I couldn't go to law school, raise my family and work, so at that point I quit my job and went to law school full time.
- |S||Q. And you graduated in what year, Judge?
- 9 A. Ninety-five.
- Q. And then you passed the Bar examination the first time?
- A. I passed in New Jersey the first time, Pennsylvania the second.
- 14 Q. So you were admitted in New Jersey when?
- A. Let's see, I graduated in '95. Maybe '96, or maybe
- 16 '95. It's been a long time.
- Q. And then when were you admitted in Pennsylvania?
- A. Ninety-six.
- Q. And until your elevation to the bench, did you practice continuously as a lawyer?
- $\mathbb{R}_1 \mid A$ . I did.
- Q. Did you practice as a sole practitioner or as a partner?
- As a sole practitioner.
- Q. And what was the nature of your legal practice after

you had that privilege?

- A. Domestic relations.
- Q. And did you have a regular, heavy-duty law practice?
- A. I did.

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- Q. And where was your office located, Center City or in the community?
  - A. It was in the community. It was located then at Fifth and Girard, which at that point was not one of the (inaudible). If anybody's familiar with Philadelphia, the area has substantially declined.
- Q. During this time period, both before you went to law school and after you were a practicing lawyer, were you active in the community?
  - A. Yes, I was active in the legal community.
  - Q. Could you just briefly, as we will get to the reason why we're here, list for the Court some of your activities?
  - A. Whenever there were children -- I mean, I would do visits to schools whenever asked by any of the community members, meetings. Sometimes give legal advice at different community meetings, that sort of thing.
  - Q. As a lawyer, did you ever receive any professional discipline?
  - A. No.
- Q. Now, very briefly, because we did describe this a little last time, if I recall. You were not active

politically, so how did you end up suddenly going to the big time, running for a judicial office, as opposed to (inaudible) or political, for that matter?

- A. Again, I think it was by chance. I was working in Family Court, and the employees and some of the staff members in Family Court started saying, "You really should think about a judgeship," and at that time I really did think, naively, that all you had to do was do your petitions and really like let people know that you were out there. I quickly learned that there were 69 wards in Philadelphia -- I think that's what there are -- and how the financial distribution and et cetera, et cetera, et cetera --
- Q. In other words, the contributions you have to make for ward meetings?
- A. Correct, to the ward meetings and to the party.

  Someone directed me to the party; I didn't even know where
  it was. I went in and I met the manager at the time,

  Mr. Charlie Bernard. He took a liking to me. At the time,
  I had really thought I'm going to run this one time and
  that's it.

Surprisingly enough, I don't know why, I was a candidate and I was endorsed by the party the first time. I lost the first time and I thought I'm not going to do this again, I just wasn't cut out for it, politics.

Q. So what happened? What caused you to get back and

become a judge?

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- A. That summer, during summer -- I guess that was

  January. That summer, Mr. Bob Brady got in touch with me

  and said, "We're going to nominate you."
  - Q. Now, Bob Brady is Chairman and was Chairman of the Democratic Party in Philadelphia and also a United States Congressman?
  - A. Yes.
  - Q. So Mr. Brady approached you?
- 10 | A. Yes.
- 11 Q. When was that, is it 2008 or 2009?
- 12 A. In 2008.
- Q. And were you appointed then?
- 14 A. I was appointed in 2008.
- Then did you run the following year as a candidate in 2009?
- A. Correct. I had to run '09 for the 2010.
- Q. And were you then the Democratic-endorsed candidate when you ran the second time in 2009?
- 20 A. Yes.
- Q. And you were successful, obviously?
- 22 A. Yes.
- Q. And then you were sworn in as an elected judge in January of 2010?
- 25 A. Yes.

I don't do

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Division?

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Yes.

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Many of the letters that the judges have read by practicing lawyers talk about how you interact with your litigants. Could you describe your philosophy to the Court in that regard?

And you served as a judicial officer from your

appointment in 2008 until your interim suspension in January

And was your service always in the Family Court

we're going to get to the nitty-gritty here. What was your

judicial philosophy in Family Court and how you ran your

courtroom, briefly? We don't want to spend hours on this.

Family Court is about families, and I would let

everybody have their day in court. If a case needed to come

back, I didn't push it to another judge, I would schedule it

Domestic Relations. If I were to schedule another case, it

If my cases aren't finished, I call my staff, they

before me. I don't know if anybody's familiar with the

put it in somewhere within the next week or two, but it

scheduling problems in the Philadelphia Family Court,

would be six months before it came to court.

doesn't go further than a month.

I just want to ask you a couple questions, and then

B M S A. At times, I act more as a mediator in Family Court. I believe that's a good thing. I took some of my experience from being a Family Court litigator. I think if you make the litigants be part of the process, it works better. A lot of times, I have -- I'm sure the judges before me on the Court knows that at least, I'm going to say, at a minimum, 80 percent of the litigants in Philadelphia are pro se litigants. We have one court interpreter for the entire building at 1501 Arch Street, our new building, and when we have a lot of Spanish-speaking litigants, we have to wait all day for an interpreter.

I'm with the advantage that I can call them in and I can ask them if they would like to speak about the case and get a resolution. A lot of times, it's not just about language with the Spanish-speaking community, it's also about the culture, and once you speak in Spanish, the whole room kind of settles down. Sometimes I call them in with lawyers and I ask the lawyer's permission if I could do that, just to expedite it. If the lawyers say no, fine, if they say -- most of the time they say yes, and we resolved lots and lots of cases that way.

Of course, I always let people know that they have the right to a trial and that we will wait for an interpreter if we can't resolve it and if they want to move forward with the interpreter. So a lot of cases get

resolved in that manner.

- Q. Judge, what have you been doing since your interim suspension until now? What have been your daily activities, if any?
- A. I started a volunteer group; it's a women's shelter in my neighborhood. They run a pantry where we distribute food. We do cooking classes for the women that are housed in the facility. The children are allowed to come. Of course, I take care of my mom and just take care of my family and hope for the best.
- Q. Let me just go back now. Of course, we sort of quizzed you quite a bit or questioned you quite a bit the last time on these issues, but I'd like to do it again. What did you do wrong?
- A. I --
  - Q. Look at the Court, not me.
  - A. I think -- well, I have three panel members before me. What I did wrong was something that I shouldn't have done. I put my family before my judicial ethics, and I really am sorry about that. I can't apologize enough, I can't take it back, but I'm really, really sorry that it happened. It's a lesson learned, not only for my reputation but for me. It's not who I am. It's not who I want to be. It's not what I want to do.
  - Q. Let me ask you this, and I think you explained a

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little last time but I'd like you to do it again, particularly for Judge Shrager's benefit. What was your relationship with then-Judge Joe Waters? How did you get to know him? The conversations that you and he had, which we heard from the tapes, seemed like you were fairly friendly. Could you explain that relationship to the Court and how it came about?

- A. He and I met when we were initially running for judge and we became campaign buddies. We became very good friends, he met my family, I met his family, and through the whole course of our judgeship and our campaign we were very, very good friends.
- Q. So you would run into him at the 69 ward meetings -A. Oh, yeah, yeah. Actually, the first time we ran, we
  went everywhere together. The second time, not so much
  because by then I was a sitting judge. I'm sure Judge
  Panella has campaigned, and some of the judges here have
  campaigned, and you become buddies with the people that are
  endorsed and not so much with the people that aren't. So
  the second time I was a sitting judge, I knew I was
  endorsed, so it kind of shied away.
- Q. What have you learned about a close friendship and -if you are given the privilege of getting back on the bench
  in Family Court in Philadelphia County, what have you
  learned about a close friend calling you, or a buddy from

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the campaign or a neighbor? What have you learned?

- A. Well, I think you don't mix friendship with your work, first of all. You just can't -- I can't stress it enough; you can't ask anybody for a favor. That ruins your reputation, that interferes with the justice system. And again, I'm really, really sorry.
- Q. Is it your desire to return to the bench and continue in the same division where you served for seven or eight years before this misconduct?
- A. I would welcome the opportunity, if given the opportunity. It's something that I know I do well, and I do it for our people, for the Commonwealth, and for the community.
- Q. Now, Judge, you understand that what you did really hurt the integrity of your Court and the entire bench statewide? You understand that, don't you?
- A. I do.
- Q. In fact, you accepted the finding of disrepute, which is a very serious finding of misconduct for a judicial officer. Do you understand that?
- A. Yes.
- Q. In your words, why should they give you another

  chance and allow you to come back on the bench when you were

  -- even though you were a good judge, apparently -- everyone

  says you were -- but you made a terrible, terrible, I won't

1	use the word "mistake" but terrible lapse of judgment and
2	went along with Joe Waters after your initial call, and then
3	say, "Okay" and then calling two to three days later to see
4	about Judge Segal, why wasn't she acting on the Rule to Show
5	Cause that your son had filed. Why should you be given
6	another chance when you have really injured the Court's
7	reputation statewide?
8	A. Well, again, that would be up to the Court, but I am
9	truly sorry, and I can guarantee you that it will never
10	happen again, if given the opportunity to get back to what I
11	love doing, to what I was good at doing. I made a huge
12	mistake. I should not have gone there and I'm sorry.
13	MR. STRETTON: Thank you.
14	Ms. Flaherty, do you have any questions of Judge
15	Roca?
16	MS. FLAHERTY: I have no questions. Thank you,
17	Judge Roca.
18	THE WITNESS: Thank you.
19	MR. STRETTON: Does the Court have any questions
20	of Judge Roca?
21	JUDGE PANELLA: Questions?
22	(No response.)
23	JUDGE PANELLA: No.
24	THE WITNESS: Thank you.

(Witness excused.)

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MR. STRETTON: With that, we would rest our case on the sanctions. I would simply move, although you've already admitted R-1, 2 and 3, the numerous character letters. I assume you're incorporating by reference the character testimony --

JUDGE PANELLA: Yes, and you should know,
Mr. Stretton, for the record, I asked and our great staff
did another transcript for us of just the character
witnesses from the adjudicatory hearing, so we also have
that available to us.

MR. STRETTON: So we rest our case, and unless there's any rebuttal, when you're ready I would like to make argument on these issues.

JUDGE PANELLA: Attorney Flaherty, do you want to --

MS. FLAHERTY: No rebuttal. Thank you.

JUDGE PANELLA: In that case, we're ready for your closing statement.

MR. STRETTON: My words of wisdom. I always feel very privileged to represent judicial officers. The first judges I ever represented were the Roofers judges, and then Judge Fink out of Potter County nine years ago in the mid '80s, so it's always a high privilege but a great burden to argue. I know many of the judges I represent. I've gotten to know Judge Roca very well. I do know her very

well as a lawyer, because I had stopped my family law practice after 33 years back in the, I guess, early 2000s; I just couldn't take it any longer. But I knew her somewhat and have gotten to know her very well as my client. Of course, one gets to like their clients and see the very good in them.

On the other hand, this is very serious misconduct. It goes against everything that we've all been trained not to do, the taking of a phone call or asking for a favor. Even in the context of a family situation, even in the context of just getting the case back so he could get a fair hearing ultimately, it's still not acceptable at all.

She's done everything she can to accept responsibility for it. She's done everything she can to make amends for it, as best one can. She has not filed any objections and accepts the full finding of violations made by this Court.

So the question is, what do we do with this very serious misconduct where disrepute is found, which I consider sort of like the death penalty, having tried maybe a hundred death penalty cases in my life, the death penalty for judicial discipline. What can we do? What should you do and consider?

The way I look at this case, and I'm not in any way trying to minimize her misconduct, but I would say the

following. First, I would look at the ten steps that are set forth in the case I always mispronounce. I would suggest you go through those steps and take a look at why I believe she shouldn't have to be removed, whether suspension should be considered by this Court in this particular matter.

If you turn to my brief, the ten or 11-step process begins on page 6, I believe. The first prong is whether the misconduct is an isolated instance or evidence of a pattern of conduct. I would suggest to you that this is an isolated instance. You might say to me, "Well,"

Mr. Stretton, didn't we hear about Judge Beloff in 2011," which we've obviously heard that little tape. Certainly that's nothing to write home, but nothing happened. That was more idle chatter between two people. Again, my client felt sorry for someone, a security guard's son in her court, but nothing happened. It would have been better if that conversation didn't occur, but I don't think you should give it any great weight because it's more in the context of idle chatter.

Second, just keep in mind, Joe Waters was under wiretaps for many, many years in these matters, and other than the comment about Judge Beloff, there's nothing else other than the 2012 June comments, June 26 and June 29 backand-forth on her son's case. So you have a long history of

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wiretaps and no other misconduct.

Second paragraph, the nature and frequency of the acts. Well, again, I suggest there isn't any. Now, we do get -- it gets a little more complicated because we have the fact that when she met with the FBI in 2013, they asked her about "Do Judges do that here?" and they also asked her "Would you have helped a family member?" That's a year after these particular matters occurred with Judge Waters at the time. She indicated no, you remember she testified, and I think to some extent there was some confirmation by the FBI agent that they thought more in the context of traffic court than Philadelphia court. In that context, I don't think there was an intentional omission.

The third point in terms of any other misconduct is when she filed an answer three years later, when she was represented by John Morris, to the Judicial Conduct Board where she mentioned the conversation but didn't mention she asked for any favors, didn't reference the second call back on June 29.

JUDGE PANELLA: And forgive me if my recollection is incorrect, but that letter goes out before she knows she was the subject of a wiretap.

MR. STRETTON: That's correct. She has no knowledge of that.

JUDGE PANELLA: Right.

MR. STRETTON: In the interim between her filing, through Mr. Morris, the letter to the Conduct Board -- they call it the (inaudible) letter or something like that; I always call it just a letter of allegations -- she was invited down with her lawyer, Mr. Morris, to meet with Mr. Barrick, the Assistant U.S. Attorney who was conducting the investigation. They made the tapes available there, played them, and then she and Mr. Morris immediately amended, within a matter of days, I believe, her response.

She testified last time before you on that issue and said she honestly did not recall that. She and I have had many discussions on that issue, why she should have recalled, and she told you that she didn't, she was sorry, and she corrected it. She also, in her defense, consented immediately to the Judicial Conduct Board getting those tapes; in other words, she didn't make it where they had to do heavy lifting to get those tapes so they had those.

Now, having said that, let's go back to our pattern. Second, the nature and frequency of acts of misconduct. I focus on June 26 and June 29 as the acts of misconduct. I am not convinced -- well, let me say it this way. What I feel is totally irrelevant in terms of opinion, but I do not think the evidence suggests that it was truly an intentional misstatement to the Board, and her acts to correct that quickly through Mr. Morris -- Mr. Morris

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testified a little about that last time -- and her cooperation seems to suggest that. But I can't change the facts; it is what it is. It would have been nice if she had remembered that before fully disclosing, if she did. It is what it is.

But the true focus of your inquiry here, and what we really want to take a broad picture in terms of sanctions, is the admitted-to misconduct on June 26 and June 29 of 2012, and a picture of her as a judge, and as a lawyer, and a community activist before.

Let's go to number three, whether the misconduct occurred in the courtroom. Well, it wasn't in the courtroom, but I tend to -- I don't make a distinction in this case because she was calling for a court action, so that, of course, cuts against us a little.

The fourth test is whether it was in her official capacity or her private life. It was in her private life, but because she was friends with Joe Waters, called him as a Judge, I think that it can cut -- it's not quite -- I can't tell you this was just a private life situation.

The fifth test is whether the judge acknowledges and recognizes that the acts occurred. I would suggest to you that she has accepted full responsibility. She's done it before you every time. I don't know how else we can do

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it other than to have her whip herself in front of you. I'm not suggesting that, but she has accepted full responsibility. I suggest the evidence shows she is truly remorseful.

The sixth test is whether she evidenced any effort to change or modify her conduct. That I think is very important, the remorse, the change. She's been active in the community. She's active with her mother. She has, I suggest, shown you insight that this will never occur again and she dropped her guard in this matter.

The seventh test is the length of service on the bench. Well, that's seven years, so she's still a relatively young judge.

The eighth test is whether there were prior complaints. There were none, and none as a lawyer.

The ninth test is what is the effect of the misconduct upon the integrity and the respect to the judiciary. Well, obviously, that wasn't good, particularly for Philadelphia judges. That came at a bad time after the traffic court fiasco. That wasn't a good sign.

The tenth test was the extent to which the judge exploited her position to satisfy her personal desires. It is what it is. I don't know if it exploited her position, but she had a friendship as a judge and asked him to consider it.

So it's a balancing test, all in all. But where do you come out on this? Let's look at the context. And I'm not excusing her conduct at all, but this is a mother; this is her son. You saw the stipulation in terms of how municipal court works. If you don't show up -- and her son, apparently, as you saw from the stipulation, had a habit of not paying his business taxes. He ran a barber shop. Then he'd periodically get called in. He gets called in, doesn't show up. Oversleeps or just ignores it.

He gets a judgment for \$5,000. Philadelphia County, you owe maybe one or two hundred dollars, but in Philadelphia County, if you don't show, \$5,000. They justify it by the stipulation: well, we can fine him \$300.00 a day.

He files on his own a petition to reopen, which every litigant can do. Doesn't put in anything on the merits, just put "I overslept" or something stupid like that. It's denied by Judge Segal.

He then comes to mom, Judge Roca. She then calls Joe Waters. She's not on the municipal court bench, as you know, she does family law; she doesn't understand how small claims court works in Philadelphia County. That's where the tax cases are.

Her initial thought was -- and you saw and heard it -- what do I do? What do we file? In other words, it

was just a procedural question, which would have been okay.

Joe Waters, who apparently was at the Palm drinking when all this occurred, says to her, "Oh, I'll call the judge." She says, "Huh?" That was a good instinct, but then Joe says, "I'll call the judge," and then she says, "Oh. Thank you."

Joe calls back, Joe Waters calls back. I represented -- I was his election lawyer when he ran for Superior Court, and during that time I recognized his drinking problem. I obviously didn't see it before. Judge Waters said, "I called her. It's taken care of."

Three days later, her son files what they told him to file, a petition, I guess, for reconsideration, however, the petition wasn't to decide the case on the merits. Again, I don't want you to think I'm backing off of her admissions. The petition was to issue a Rule to Show Cause so she could have a hearing on the merits. That's how it works in municipal court.

Judge Segal was leaving the civil division, and she hears it. She calls Joe Waters, Judge Waters, back and says, "Joe, she hasn't acted on it." He says, "Don't worry, I'll call her. You should have called me before." He calls, and then Segal calls him back, Judge Segal, and says, "I took care of it." That was it. That was the end of her involvement.

Once the Rule to Show Cause was issued, the son

gets a date. The son, as you saw, continued it numerous times until March of 2013. Then he went in, and what always happens, go in, the city solicitor in the Tax Division is there, "You can have a hearing if you want." They sit down, they work it out, judgment agreed for \$477.00, the amount plus the penalties. It's open and now it's awarded. The case is done. Judge Roca had no involvement after that June 29 call.

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So it's the context I just want you to see. And I'm not minimizing it. It should not have happened. It's a very bad thing. She accepts full responsibility. But I can think of a lot of worse activities in terms of: Will you fix this? Will you enter a judgment in our favor? It's all a matter of degrees, but it's still very wrong what she did, and I don't want you to think I'm trying to minimize it. But this is the context of a mother doing something. It seems like she wasn't thinking, she dropped her moral compass that pretty much is guiding her life except for this act.

Anyway, that's the essence of the misconduct.

In her favor we have wonderful character testimony, but we also have a lot of testimony about what kind of judge she was. She was a real asset to the bench despite this misconduct. She helped a lot of people. She moved a lot of cases. She was apparently very fair, and she heard very few

appeals, which is incredible to me. I've litigated so many cases my first 33 years of practice, the last 12 years, 11 years, I haven't, thank God, but in that particular forum it's --

JUDGE PANELLA: I wish I had her record never being reversed.

MR. STRETTON: So we have a very good person who made a very terrible mistake --

JUDGE PANELLA: Before you go on, Mr. Stretton, a couple of questions. I thought your summary, what you just said, of what we found her to have violated was very good and very accurate, and you didn't minimize her conduct at all; you said it very well. How do we reconcile what is present in this case with two matters that keep popping into my head? First is, of course, the Roofers scandal, and the Roofers scandal eventually leads, if my memory serves me correct, to the removal of 15 judges. Two are criminally charged, of the other 13, many resign, and those that don't resign are removed.

MR. STRETTON: I can tell you (inaudible). I represented them.

JUDGE PANELLA: Apparently you were involved in some of that. And in those cases, there were no allegations of even a case being fixed, it was the mere acceptance and maybe hope that partiality would be showed in the future,

and yet 15 judges in the Philadelphia system were taken out because of that. In this case we have, actually, a step taken towards -- an action taken in an active case.

MR. STRETTON: Two steps.

in your brief, which I didn't think was -- MDJ Shaner was criminally charged for doing something in a case in which, after we heard him -- and I probably would have to say I find Judge Roca as sincere as he was. Our hearts went out for him, and yet he was criminally charged. There's not a question in my mind, had they wanted to, the federal authorities could have charged Judge Roca. She should kiss the ground she walks on that she was not criminally charged.

MR. STRETTON: I think you're right, which they exercised their discretion not to, thank goodness.

JUDGE PANELLA: He was removed by way of his criminal sentence, so that option wasn't before us, and the reason you saw what we did -- I thought we kind of said that in our decision -- was we cited that he had already been out of office. I'm not sure if he had either resigned or had been removed by way of his criminal sentence, but he was no longer a sitting judge.

MR. STRETTON: Well, he was reprimanded and censured, but because he was senior judge the Court ruled -
JUDGE PANELLA: Right. We ordered that he could

no longer take assignments as a senior judge.

MR. STRETTON: I think he had agreed to that, but I'm not sure.

JUDGE PANELLA: I'm not sure of that either.

The bottom line is serious; again, the loss of the judicial position was definitely in that case even though we didn't order it. So how do we reconcile what goes on here with those two matters?

MR. STRETTON: I will, but I -- I'm going to tell you right now how I distinguish them, but also, don't forget there are a lot of other cases where there were suspensions or serious ex parte conduct which I cited.

JUDGE PANELLA: No question about it.

MR. STRETTON: Let's talk about the Roofers. Remember, that was pre-Larsen in '92.

JUDGE PANELLA: We know.

MR. STRETTON: I represented Kenny Harris, of course, who was criminally convicted of numerous counts and removed. I also represented for a while Mitchell Lipschutz, and then also informally represented Judge (inaudible) who was an advisor of Judge McCabe. All of them are dead now, but they were all close friends of mine over the years. I grew up in Philadelphia so I knew all those people from day one.

The Roofers, through Mr. Traitz, had developed

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FORM 2

Tommy Brown, who was a nice enough fella but had no sense of morality; he was doing what Mr. Traitz wanted, the head of the union wanted. He sent them around with envelopes in November, if I recall, December of 2005, I believe it might have been -- I mean 1985 or '86, and they went to various judicial chambers. Sometimes they would drop it off, like they did with Judge White. Judge White was a multimillionaire many times over, saw and just gave the money to his staff. He fought to the end. He died while fighting this.

this idea that they were trying to buy judges, so they had

Dropped it off to Willy Knauer, Judge Knauer, who fought to the end, died on the bench of brain cancer, died the very day, his last day, -- his mother had been Virginia Knauer -- and others. Some got, like Judge Brague (ph.) monies for more -- it was more specific. Many of them had the money, or Judge Lipschutz got an expensive watch, one of these early computer model watches -- there was such a thing in the 1980s -- where you could just set the time and a couple minor things, which seemed important back then but nothing compared to what's now.

The difference on many of these people, as I understood it, was they had been friends with Mr. Traitz, many of them had visited the union hall, and the court saw that as a pattern of misconduct.

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Several judges resigned, like Judge Wallace,
Michael Wallace, who had been a very active criminal defense
lawyer. He had been Rizzo's Deputy Mayor. Judge Dempsey,
who was a municipal court judge, a very close friend of
mine. He then worked a year or two with Michael Stack's
office, the father, not the Lieutenant Governor, and then
came back and was a wonderful judge till he died,
unfortunately, of cancer, which is a great loss to all of
us.

But I see that as a pattern of a union that people were too close to, and this was an example of monies being handed to them and their not reporting it or pocketing it and not taking the appropriate steps.

Since that case, there's been a lot of water over the dam, and keep in mind, we were able to keep the pension for those judges, because the constitution was amended later to change some of that.

I don't see this in the same category as a union trying to buy influence, a mother trying to help her son.

The initial call was for the right purpose, and then she dropped her moral compass because of her friendship with Joe Waters. And remember, Joe Waters was a police captain and we knew him. She knew him real well. He was best friends with then Supreme Court Justice McCaffery. She dropped her guard and just let him do it. She was wrong. So I see a

distinction.

With Judge Shaner, I see that as a -- okay, you ordered that he couldn't come back as a senior judge, but your discipline was only a reprimand and censure in that particular matter. With Judge Shaner, he was charged with perjury, obstructing justice and with hindering apprehension. I understand that he was very, very repentant, but unfortunately, he was criminally convicted and that makes a major distinction in these matters.

For instance, Judge Barrett, four-month suspension, back in 2008 or '09. I was his lawyer. We worked hard. I checked with every prosecuting authority, said no one's prosecuting; right? So then we worked a deal. Tried it. The court gave a four-month suspension. He then came back to the bench.

Eleven years later, right before the statute,

Kathleen Kane decides to charge him again. He gets

convicted after trial. Of course, he's long retired and

he's off the bench at that point. I don't know if they're

fighting his pension at this point in time, which originally

we had. But in this case there was no criminal conviction.

That's a major distinction.

I don't know enough about Judge Shaner and exactly what he did to make a major distinction, but I do know this case is a little bit different. Forget the Judge

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Beloff comments, which I think is just, you know, talk, "Oh, I feel sorry for someone. Should we call the judge," and then no one ever does anything. It's just two people shouldn't be saying things like that. Remember, there's no other comments like that except June 26 and June 29. Then we got this thing with her son, and then there's nothing else involved in this.

If you look at some of the other cases that I've cited, and I'm not going to read my brief to you today, but it's fairly clear that despite serious misconduct, there doesn't need to be a removal from the bench. I'm not asking you to censure her. I'm not asking you to dismiss the I'm no asking that at all. All I'm asking is for a suspension of, I suggested six months to a year. If the court wishes to place her on probation for a period of time. But I would -- it's not my right to cross-examine you, but I would go back to the Roofers, and remember, the judge I represented, Kenny Harris, was convicted of everything, and it was a terrible situation. He destroyed Romaine Phillips. After he had cut the deal that I asked Harris to do, he wouldn't do it. Harris was a tragedy, a great civil rights lawyer who went bad on the bench. It was a great tragedy.

If you look at some of the other cases and you say how do you reconcile, I would go back and, not in a disrespectful way, but I would say well, how do you

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reconcile Larsen, because that was before your time, that was the old Supreme Court Judicial Inquiry Review Board.

JUDGE PANELLA: I handled Larsen the second time it came around, not that first one.

MR. STRETTON: Yes, because you were one of the original or close to one of the original members on the Court of Judicial Discipline. I mean, I'm very familiar with the Larsen case. I had talked to him, knew him well, and we begged him not to go forward. He was the cause of the constitutional amendments that happened back in '92 or '93. But Larsen was a direct call to Judge Ross, who was then a Common Pleas judge, later a respected judge on the Commonwealth Court, who I got to know very well, and he asked her to do a favor for his friend in a zoning case, and he got a private reprimand. Now, later he went crazy, he went after the court, had prescription problems.

How do we reconcile Judge Daghir? I represented him. I didn't do it for the Supreme Court, I tried the case. Judge Daghir, a judge up in one of the small counties near Penn State. A divorce case. The litigant comes up, hands him tickets on the 50 yard line. That's when Penn State -- I guess they're in power now again, but when they were like number one or two in the nation and those tickets were important if you're a Penn State fanatic. He got, you know, a two-day suspension, if I recall, in this matter.

Or how about Judge Arnold? Of course, her case is sad because later they brought criminal changes. In fact, I'm representing her now, trying to get her out of jail for medical treatment, but originally the decision was a one-month suspension, and that was for (inaudible) her son's case and lying about it.

Or how about Judge Ballentine? Now, I'm at least reluctant to cite Ballentine because later she violated her probation, and of course, we argued that and she was removed for these violations, but --

JUDGE PANELLA: Perhaps an expression of regret by the Court as to the initial decision, but go ahead.

MR. STRETTON: But I think you're right, and that's how I interpret it. I told her you get one chance at this game and you blew that chance and look out. But the original decision was a two month, two-and-a-half month suspension. You weren't on that board at that particular time, it was a different court, but we can't just say: we've got a new court, therefore, the rules are different. You've got to give some credence to stare decisis.

So Ballentine is two months. Arnold is one month in these particular matters. Daghir was -- what was it -- seven days, seven days on Daghir; I couldn't remember. Yet Singletary gets a censure/reprimand for -- I always hesitate to cite these cases, because then later they do

other stupid things like showing their body parts to secretaries and things of that nature. But Singletary originally pretty much was telling people on the campaign trail, "Come to me, we'll take care of your case" or whatever. Of course, he was young. He was only 25, and that was a factor in those matters.

You have Judge DeLeon, my client. He gets a three-month suspension. He's in a bar, meets an acquaintance. The acquaintance says, "I'm having trouble with a neighbor. I think he's harassing my daughter," you know, a teenager or middle school girl. So what does Jimmy DeLeon do? I'm real good friends with him; I've known him forever. He then goes back to his chambers and issues an order, stay-away order, and serves it on the person. person's like, "What's this? There's no hearing, nothing." Ex parte communication. Very bad misconduct. Originally, he was found in disrepute, and then the court, for reasons, removed disrepute. I think they were sympathetic to the pension issue, because at that time it was uncertain whether, if you were suspended, whether you got to keep your suspension with a disrepute finding. That was later clarified by the Pension Board where they remove -- they take your pension if you're found removed for an additional period, but they won't take it if you're just suspended, but you get no credit during the time of your suspension.

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back with DeLeon, no one knew what they were going to do, it was still up in the air, and I had to work with the Pension Board on that. He got a three-month suspension for very serious misconduct.

So my answer to you is really, to flow back the question, they're all bad situations. The Roofers judges, particularly, some were worse than others. Some of them I think could have stayed on the bench and fought, like Mike Wallace. I thought Judge Dempsey could have, too. But we have a whole line of cases over the last couple years, starting with Larsen, the last 25 years, where this kind of conduct oftentimes results in suspension, not removal.

Now, of course, we have Michael Sullivan. I did
my best for Mr. Sullivan, who I very much like. I've known
him since he -- but there was overwhelming evidence of
special consideration. That's in a different category than
these kind of matters. I'm not going to argue Sullivan.
I've already argued our position and lost in the field of
battle, so I'm not re-arguing that, but based on your
findings, that was a very different situation.

So how do I distinguish? I did the best I could trying to, but I do think that these other cases are closer on point in isolated instances. Then you look at all the good things: community; a very good judge; no other discipline. I look at this as a moral conscience being

dropped, and I see it all the time anymore with lawyers and others. It's one of the hardest things for me, representing hundreds of lawyers and judges, seeing good people, people I know, do some sometimes incredibly self-destructive things. But I think at least our attorney disciplinary system, you look at the totality, and our court has said even more serious misconduct will at times result in very minor discipline.

Our Supreme Court, unlike New Jersey, I won that case, the Lucarini case, in front of our Supreme Court back in 1982 where he had misused \$700,000 of funds. The Disciplinary Board wanted to have a New Jersey role where there would be automatic disbarment, and the court agreed with me that the purpose of the disciplinary system was not punitive but did disbar Lucarini only because he continued to pay advances to clients; he just didn't get it. Lucarini came back -- you might remember, he was a Temple football star in the '60s and '70s, years before; he was a young man back in those days.

So I see a difference and I see Pennsylvania is different, and I would suggest to you, respectfully, if you removed her, it would cut against all these cases I cited to you. Her case is all bad misconduct, don't get me wrong, but in the scheme of things this is of lesser degree because of the factual circumstances.

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Unless there's any more questions, you've given me ample time. I appreciate -- because this means a lot to her, and like I said, I've gotten to like her very much and it means a lot to me to try to see if we can keep her on the bench. Even though I don't do family law, of course, I could never go before her again even if I did. I think it would be -- I would ask -- if you suspend her, obviously, retroactive to January, I would ask you to consider I said six months to a year. Whatever the suspension is, we have no problem with probation.

I also would point out to you, last night when I was looking through -- I forgot to mention this -- I came across this Stephanie Domitrovich case, and I was just going to hand up the order. Now, Domitrovich is a little different, but -- I had spoken to her originally about some of her problems, but she used other lawyers. It was a massive complaint. Jim Kleman handled it. There's all kinds of -- paragraph 11, I was looking at it last night -- ex parte communications, plus numerous other bad conduct, and she was put into a Judicial Diversionary Program -- which I didn't even know existed until I read this last night and I do this work all the time -- and then allowed to go back to the bench.

I'm just going to hand up -JUDGE PANELLA: We have it. We've all reviewed

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the Domitrovich decision many times.

MR. STRETTON: I'm sure you have, but it's dated August of 2016, the actual order that we were able to pull up.

So the answer is, sometimes maybe I can reconcile or not, but it's really within your discretion.

Case law suggests a suspension here, and the facts from this case suggest it.

I'm a big fan -- when I was young, when I was Disciplinary Counsel for the Supreme Court in Philadelphia in the early '70s, we had a different attitude, for instance, than they have now. We used to try to give people a second chance. We would send them to ethics courses, we would work with them. Now it's a much more punitive world, and sometimes it has to be, but I would suggest to you that here it would be an injustice to remove her under these facts. A suspension would certainly make the public aware that she's been disciplined. I would suggest that under the totality of looking at this, and under the case law, a suspension would be appropriate, and I'm asking that you consider that.

JUDGE BARTON: Mr. Stretton, assessing the weight of the call concerning Judge Beloff, which, frankly, I think is a very weighty piece of evidence, I'm interested in how you would fit that into the whole fabric of the

disposition that you're suggesting.

MR. STRETTON: Sure, I'll be glad to. Judge
Beloff and I were extremely close. I was his lawyer. He
was writing a book on health. To this day, I don't
understand why he killed himself. I talked to him three
days before. I was his election lawyer. I knew him very
well. His wife helped to get him on the bench. Now she's a
Judge in Philadelphia.

I know Judge Beloff would take those kind of calls, because he and I had many conversations about that when he was running and then when he was a Judge, but in terms of that, I saw that more as sometimes I'll get on the phone with someone and I might say, "You know, that Judge, he's blank, blank, blank," or "That Judge favors this or that," you know, just two lawyers talking, letting their hair down, and God help us if we're wiretapped and some of that ever came out.

I saw that conversation as, again, she's got a good heart; she felt sorry for the security guard, who was in her court, was crying the blues about her son. So she calls Joe Waters, because he knew Judge Beloff real well, had given him advice on his election campaign and all that stuff. She called and said, "Do you think we can talk to Adam Beloff?" or words to that effect. There was back-and-forth about it and that was it, nothing else happened. I

think it was just two people having discussions and then had better thoughts about it and let it go, and it's unfortunate it was highlighted by the wiretap.

Now, remember, there's a couple years of wiretaps on Joe Waters, Judge Waters, and there isn't anything else --

JUDGE BARTON: My difficulty is that it is suggestive of a pattern and knowledge that there is special justice for certain people and that Judge Roca's call to Judge Waters inquiring as to whether Judge Beloff can be approached suggests to me the knowledge of a system where certain litigants may get a better outcome. Maybe deserving of it, I'm not saying that, but it's supposed to be the same system for everyone.

MR. STRETTON: Well, obviously, no one is deserving of special favors. If I know you, I see you got a big case, even if I know you and my heart's in the right place, I deserve not to have my law license for a substantial period of time. I wish it wasn't there. They weren't charged with that. It's in there as an example, but it's in there as something that never occurred, just two people talking back and forth.

You see this as suggesting a pattern and suggesting someone who feels that the court system can be played with, it's a little fast and loose. I see it as

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someone who has a good heart, who was concerned, called her friend -- remember, Waters and her were real good friends -- just called just to throw out and crazy idea and then never acted on it. Obviously, if you see this as a pattern, think that she's got an evil twist to her, then I'm not going to do so well in your opinion, but I suggest it doesn't show that, and the lack of anything else over the next three years when the wiretaps continue confirms that to some extent.

JUDGE BARTON: Thank you.

MR. STRETTON: I think I'm beating the horse again; I talk too much.

JUDGE PANELLA: Any other questions? Judge Barton, anything further, please?

JUDGE BARTON: No.

JUDGE PANELLA: Judges?

(No response.)

MR. STRETTON: Thank you.

JUDGE PANELLA: Thank you very much.

Anything further from the Board?

MS. FLAHERTY: No.

JUDGE PANELLA: Before we end up, let me just make two quick observations. Number one -- Mr. Stretton mentions this in his brief -- believe it or not, some people like to think of us as an appellate court, but we're not,

we're a trial court, so we don't always publish every decision just like trial courts do. D&C doesn't publish every decision, nor do the local reporters. There are some we feel have statewide significance, and we send those in for publication, but we don't publish every decision.

MR. STRETTON: I'm glad you told me, because I couldn't find --

JUDGE PANELLA: Yes. You'll find, if you look harder, you'll see others. I don't even know the reason why.

And then just to end on a lighter note after

Judge Barton asked a question about Judge Beloff. I said

this recently at an appellate Superior Court argument that

Mr. Stretton was making. I have yet to hear of anyone in

the Commonwealth that Mr. Stretton does not know.

MR. STRETTON: Forty-four years of practice.

JUDGE PANELLA: For all the witnesses that appeared today, we very much appreciate you appearing and telling us what you did, and we're going to give it very serious consideration. And Judge Roca, obviously, the same comment goes to you.

Thank you very much. We're in adjournment.

(Whereupon, at 11:31 a.m. the hearing was adjourned.)

## <u>C E R T I F I C A T E</u>

I hereby certify, as the stenographic reporter, that the foregoing proceedings were taken stenographically by me, and thereafter reduced to typewriting by me or under my direction; and that this transcript is a true and accurate record to the best of my ability.

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