

1 **General Instructions for Civil Cases**

2 **Numbering of General Instructions**

3  
4 **1. Preliminary Instructions For Use at Commencement of Trial and/or at End**  
5 **of Trial.**

6 1.1 Introduction; Role of Jury

7 1.2 Description of Case; Summary of Applicable Law

8 1.3 Conduct of Jury

9 1.4 Bench Conferences

10 1.5 Evidence

11 1.6 Direct and Circumstantial Evidence

12 1.7 Credibility of Witnesses

13 1.8 Jury Questions for Witnesses

14 1.9 Note-Taking By Jurors

15 1.10 Preponderance of the Evidence

16 1.11 Clear and Convincing Evidence

17 1.12 Description of Trial Proceedings

18  
19 **2. General Instructions For Use During Trial**

20 2.1 Impeachment of Witness's Character for Truthfulness

21 2.2 Judicial Notice

22 2.3 Stipulation of Testimony

23 2.4 Stipulation of Fact

24	2.5	Use of Deposition
25	2.6	Use of Interrogatories
26	2.7	Charts and Summaries in Evidence
27	2.8	Charts and Summaries Not Admitted in Evidence
28	2.9	Striking Evidence
29	2.10	Evidence Admitted for a Limited Purpose
30	2.11	Opinion Testimony
31	2.12	Foreign Language Testimony or Audio Recording
32	2.13	Transcript of Audio-Recorded Conversation
33	2.14	Recess Admonition

34

35 **3. General Instructions For Use At End of Trial**

36	3.1	Deliberations
37	3.2	Number of Witnesses
38	3.3	Read-Backs of Trial Testimony
39	3.4	Deadlock

## 1.1 Introduction; Role of Jury

### 1 **1.1 Preliminary Instructions — Introduction; Role of Jury**

#### 2 **Model**

3 Now that you have been sworn, I have the following preliminary instructions for your  
4 guidance as jurors in this case.

5 You will hear the evidence, decide what the facts are, and then apply those facts to the law  
6 that I will give to you.

7 You and only you will be the judges of the facts. You will have to decide what happened.  
8 I play no part in judging the facts. You should not take anything I may say or do during the trial  
9 as indicating what I think of the evidence or what your verdict should be. My role is to be the  
10 judge of the law. I make whatever legal decisions have to be made during the course of the trial,  
11 and I will explain to you the legal principles that must guide you in your decisions. You must  
12 follow that law whether you agree with it or not.

13

#### 14 **Comment**

15 This instruction is derived from the Bench Book for United States District Court Judges  
16 (Federal Judicial Center), and tracks similar pattern instructions in the First Circuit (Criminal  
17 1.01) and Eleventh Circuit (2.1). *See also* Fifth Circuit 1.1. For other versions of this instruction,  
18 see Sixth Circuit (Criminal) 1.02; Eighth Circuit 1.01.

19 The instruction can be modified to be given at the end of the case when the court is about  
20 to give final instructions on the applicable law. *See, e.g.*, Seventh Circuit (Criminal) 1.01:

21 Members of the jury, you have seen and heard all the evidence and the arguments of the  
22 attorneys. Now I will instruct you on the law. You have two duties as a jury. Your first  
23 duty is to decide the facts from the evidence in the case. This is your job, and yours alone.  
24 Your second duty is to apply the law that I give you to the facts. You must follow these  
25 instructions, even if you disagree with them. Each of the instructions is important, and you  
26 must follow all of them. Perform these duties fairly and impartially. Do not allow  
27 sympathy, prejudice, fear, or public opinion to influence you. [You should not be  
28 influenced by any person's race, color, religion, national ancestry, or sex.] Nothing I say  
29 now, and nothing I said or did during the trial, is meant to indicate any opinion on my part  
30 about what the facts are or about what your verdict should be.

31 *See also* Ninth Circuit 1.1A - 1.1C (instructions on duty of jurors).

## 1.2 Description of Case; Summary of Applicable Law

### 1 **1.2 Preliminary Instructions — Description of Case; Summary of Applicable** 2 **Law**

#### 3 **Model**

4 In this case, [plaintiff] claims that [describe claims]; [defendant] denies those claims [and  
5 also contends that [describe counterclaims or affirmative defenses]]. I will give you detailed  
6 instructions on the law at the end of the case, and those instructions will control your deliberations  
7 and decision. But in order to help you follow the evidence, I will now give you a brief summary  
8 of the elements that [plaintiff] must prove to make [his/her/its] case:

9 [Summarize elements of the applicable cause of action].

10

#### 11 **Comment**

12 Referring to the parties by their names, rather than solely as “Plaintiff” and “Defendant,”  
13 can improve jurors’ comprehension. In these instructions, bracketed references to “[plaintiff]” or  
14 “[defendant]” indicate places where the name of the party should be inserted.

15 This instruction is derived from the pattern instruction used by United States District  
16 Courts in Camden. It is similar to pattern instructions in the Eighth Circuit (1.01) and the Ninth  
17 Circuit (1.2).

18 This preliminary instruction concerning the elements in the case can be used together with  
19 the applicable substantive instruction for a particular cause of action. It is not necessary at the  
20 outset, however, to give a detailed instruction as to the applicable elements, especially in a  
21 complex case. But a brief description of the claims, defenses and counterclaims, if any, is likely to  
22 aid jury comprehension.

23 This instruction can be modified to be given at the beginning of voir dire, or in light of  
24 what was given at the beginning of voir dire.

1 **1.3 Preliminary Instructions — Conduct of the Jury**

2 **Model**

3 Now, a few words about your conduct as jurors.

4 First, I instruct you that during the trial and until you have heard all of the evidence and  
5 retired to the jury room to deliberate, you are not to discuss the case with anyone, not even among  
6 yourselves. If anyone should try to talk to you about the case, including a fellow juror, bring it to  
7 my attention promptly. There are good reasons for this ban on discussions, the most important  
8 being the need for you to keep an open mind throughout the presentation of evidence. I know that  
9 many of you use cell phones, smart phones [like Blackberries and iPhones], and other portable  
10 electronic devices; laptops, netbooks, and other computers both portable and fixed; and other  
11 tools of technology, to access the internet and to communicate with others. You also must not  
12 talk to anyone about this case or use these tools to communicate electronically with anyone about  
13 the case. This includes your family and friends. You may not communicate orally with anyone  
14 about the case on your cell phone, smart phone, or portable or fixed computer or device of any  
15 kind; or use these devices to communicate electronically by messages or postings of any kind  
16 including e-mail, instant messages, text messages, text or instant messaging services [such as  
17 Twitter], or through any blog, website, internet chat room, or by way of any other social  
18 networking websites or services [including Facebook, MySpace, LinkedIn, and YouTube].

19 If any lawyer, party, or witness does not speak to you when you pass in the hall, ride the  
20 elevator, or the like, remember it is because they are not supposed to talk or visit with you, either.  
21 [That is why you are asked to wear your juror tags. It shows that you are someone who is not to  
22 be approached in any way.]

23 Second, do not read or listen to anything related to this case that is not admitted into  
24 evidence. By that I mean, if there is a newspaper article or radio or television report relating to  
25 this case, do not read the article or watch or listen to the report. In addition, do not try to do any  
26 independent research or investigation on your own on matters relating to the case or this type of  
27 case. Do not do any research on the internet, for example. You are to decide the case upon the  
28 evidence presented at trial. In other words, you should not consult dictionaries or reference  
29 materials, search the internet, websites, blogs, or use any other electronic tools to obtain  
30 information about this case or to help you decide the case. Please do not try to find out  
31 information from any source outside the confines of this courtroom.

32 Again, do not reach any conclusion on the claims [or defenses] until all of the evidence is  
33 in. Keep an open mind until you start your deliberations at the end of the case.

34 [Finally, if any member of the jury has a friend or family member who is in attendance at  
35 this public trial, that visitor must first register with my Clerk because special rules will govern  
36 their attendance. You may not discuss any aspect of this trial with the visitor, nor may you permit  
37 the visitor to discuss it with you.]

38

#### 39 **Comment**

40 This instruction is adapted from the pattern instruction used by United States District  
41 Courts in Delaware. For variations on this instruction, see First Circuit (Criminal) 1.07; Eighth  
42 Circuit 1.05; Ninth Circuit 1.12. See also Montana 1.4 (concluding the instruction with a warning  
43 that “[f]ailure to observe these precautions might require the retrial of this case, which would  
44 result in a long delay, considerable expense to the courts and the parties and a waste of your time  
45 and effort.”). Portions of the instruction are drawn from Proposed Model Jury Instructions on the  
46 Use of Electronic Technology to Conduct Research on or Communicate about a Case, prepared  
47 by the Judicial Conference Committee on Court Administration and Case Management (CACM)  
48 in December 2009. See *United States v. Fumo*, 655 F.3d 288, 305 (3d Cir. 2011) (“We  
49 enthusiastically endorse [the CACM] instructions and strongly encourage district courts to  
50 routinely incorporate them or similar language into their own instructions.”). CACM released an  
51 updated version of the model instructions in June 2012 (the updated model is available at  
52 <http://news.uscourts.gov/revised-jury-instructionshope-deter-juror-use-social-media-during-trial>).  
53 Obviously, the relevant technologies will evolve over time; users of these instructions should  
54 insert a list of current examples in the appropriate place in the instructions.

55 The court should give this instruction on jury conduct after the jurors are sworn and before  
56 opening statements. Depending on the circumstances, it may be useful to give this instruction, or  
57 some part of it, during the trial as well. See Wright & Miller, *Federal Practice and Procedure* §  
58 486 (suggesting that there may be occasion during the trial and at the close of the evidence to  
59 remind the jury about how it should conduct itself).

60 The Committee considered whether to delete the instruction that jurors are not to talk  
61 among themselves about the case until deliberations. The Committee notes that Arizona permits  
62 pre-deliberation discussions among jurors. But the Third Circuit has declared as follows:

63 “It is fundamental that every litigant who is entitled to trial by jury is entitled to an  
64 impartial jury, free to the furthest extent practicable from extraneous influences that may  
65 subvert the fact-finding process.” *Waldorf v. Shuta*, 3 F.3d 705, 709 (3d Cir. 1993). Partly  
66 to ensure that this right is upheld, “it [has been] a generally accepted principle of trial  
67 administration that jurors must not engage in discussions of a case before they have heard  
68 both the evidence and the court’s legal instructions and have begun formally deliberating  
69 as a collective body.” [United States v.] *Resko*, 3 F.3d [684] at 688 [(3d Cir. 1993)].

70 *United States v. Bertoli*, 40 F.3d 1384, 1393 (3d Cir. 1994).

71 Premature deliberations present a number of concerns, the most important being that  
72 jurors who discuss the case among themselves may harden their positions before all of the  
73 evidence is presented and the jury is instructed. Moreover, “[o]nce a juror has expressed views on  
74 a particular issue, that juror has a ‘stake’ in the expressed views and may give undue weight to

### 1.3 Conduct of Jury

75 additional evidence that supports, rather than undercuts, his or her view.” *Id.* The Committee  
76 therefore concluded that the court should instruct the jurors to refrain from discussing the case  
77 among themselves before deliberations.

1 **1.4 Preliminary Instructions — Bench Conferences**

2 **Model**

3 During the trial it may be necessary for me to talk with the lawyers out of your hearing by  
4 having a bench conference. If that happens, please be patient.

5 We are not trying to keep important information from you. These conferences are  
6 necessary for me to fulfill my responsibility, which is to be sure that evidence is presented to  
7 you correctly under the law.

8 We will, of course, do what we can to keep the number and length of these conferences to  
9 a minimum. [While we meet, I will invite you to stand up and stretch and take a short break or  
10 perhaps even call a recess if it is a lengthy issue, and permit you to go downstairs for a break.]

11 I may not always grant an attorney's request for a conference. Do not consider my granting  
12 or denying a request for a conference as any indication of my opinion of the case or of what your  
13 verdict should be.

14

15 **Comment**

16 This instruction is derived from First Circuit (Criminal) 1.05; 8th Circuit 1.03; and former  
17 Ninth Circuit 2.2. *Cf.* Ninth Circuit 1.18. For a shortened version of this instruction, see Fifth  
18 Circuit 2.7:

19 At times during the trial it may be necessary for me to talk with the lawyers here at the  
20 bench out of your hearing, or by calling a recess. We meet because often during a trial  
21 something comes up that doesn't involve the jury.

1 **1.5 Preliminary Instructions — Evidence**

2 **Model**

3 The evidence from which you are to find the facts consists of the following:

- 4 1. The testimony of the witnesses;
- 5 2. Documents and other things received as exhibits;
- 6 3. Any facts that are stipulated--that is, formally agreed to by the parties; and
- 7 [4. Any facts that are judicially noticed--that is, facts I say you must accept as true
- 8 even without other evidence.]

9 The following things are not evidence:

- 10 1. Statements, arguments, and questions of the lawyers for the parties in this case;
- 11 2. Objections by lawyers.
- 12 3. Any testimony I tell you to disregard; and
- 13 4. Anything you may see or hear about this case outside the courtroom.

14 You must make your decision based only on the evidence that you see and hear in court.

15 Do not let rumors, suspicions, or anything else that you may see or hear outside of court influence

16 your decision in any way.

17 You should use your common sense in weighing the evidence. Consider it in light of your

18 everyday experience with people and events, and give it whatever weight you believe it deserves.

19 If your experience tells you that certain evidence reasonably leads to a conclusion, you are free to

20 reach that conclusion.

21 There are rules that control what can be received into evidence. When a lawyer asks a

22 question or offers an exhibit into evidence, and a lawyer on the other side thinks that it is not

23 permitted by the rules of evidence, that lawyer may object. This simply means that the lawyer is

24 requesting that I make a decision on a particular rule of evidence. You should not be influenced

25 by the fact that an objection is made. Objections to questions are not evidence. Lawyers have an

26 obligation to their clients to make objections when they believe that evidence being offered is

27 improper under the rules of evidence. You should not be influenced by the objection or by the

28 court's ruling on it. If the objection is sustained, ignore the question. If it is overruled, treat the

29 answer like any other. If you are instructed that some item of evidence is received for a limited

30 purpose only, you must follow that instruction.

## 1.5 Evidence

31           Also, certain testimony or other evidence may be ordered struck from the record and you  
32 will be instructed to disregard this evidence. Do not consider any testimony or other evidence that  
33 gets struck or excluded. Do not speculate about what a witness might have said or what an  
34 exhibit might have shown.

35

### 36 **Comment**

37           This instruction is derived from the Bench Book for United States District Judges (Section  
38 6.05); First Circuit (Criminal) 1.05; Eighth Circuit 1.02; and former Ninth Circuit 1.4. *Cf.* Ninth  
39 Circuit 1.7. The third and fourth paragraphs of the instruction are specifically derived from the  
40 instruction used by District Judges in Delaware.

41           This instruction is to be given at the outset of the case, as well as, or in place of, an  
42 instruction at the end of the case. The instruction can be given at the end of the case simply by  
43 changing the verbs to the past tense.

## 1.6 Direct and Circumstantial Evidence

### 1.6 Preliminary Instructions – Direct and Circumstantial Evidence

#### Model

##### *Option 1:*

Do not be concerned about whether evidence is "direct evidence" or "circumstantial evidence." You should consider and weigh all of the evidence that is presented to you. If your experience tells you that certain evidence reasonably leads to a conclusion, you are free to reach that conclusion.

##### *Option 2:*

There are two types of evidence that you may use in reaching your verdict. One type of evidence is called "direct evidence." An example of "direct evidence" is when a witness testifies about something that the witness knows through his own senses — something the witness has seen, felt, touched or heard or did. If a witness testified that he saw it raining outside, and you believed him, that would be direct evidence that it was raining. Another form of direct evidence is an exhibit where the fact to be proved is its existence or current condition.

The other type of evidence is circumstantial evidence. "Circumstantial evidence" is proof of one or more facts from which you could find another fact. If someone walked into the courtroom wearing a raincoat covered with drops of water and carrying a wet umbrella, that would be circumstantial evidence from which you could conclude that it was raining.

You should consider both kinds of evidence that are presented to you. The law makes no distinction in the weight to be given to either direct or circumstantial evidence. You are to decide how much weight to give any evidence.

#### Comment

Option 1 is derived from Fifth Circuit (Criminal) 1.07 (Alternative A). It can be used by those judges who do not wish to say anything about the distinction between direct and circumstantial evidence, but yet might be concerned that jurors would have preconceived notions about these terms.

Option 2 is derived from former Ninth Circuit 3.6. *Cf.* Ninth Circuit 1.9. The instruction does not attempt to provide a definition of "direct" evidence. The definitions given in some instructions simply repeat the word "direct". Other instructions on direct evidence are underinclusive, as they refer only to witness testimony, whereas an exhibit can be direct evidence

## 1.6 Direct and Circumstantial Evidence

33 of a fact. The example given in the instruction should be sufficient to give jurors a clear idea of  
34 “direct” evidence.

1 **1.7 Preliminary Instructions — Credibility of Witnesses**

2 **Model**

3 In deciding what the facts are, you may have to decide what testimony you believe and  
4 what testimony you do not believe. You are the sole judges of the credibility of the witnesses.  
5 “Credibility” means whether a witness is worthy of belief. You may believe everything a witness  
6 says or only part of it or none of it. In deciding what to believe, you may consider a number of  
7 factors, including the following:

8 (1) the opportunity and ability of the witness to see or hear or know the things the  
9 witness testifies to;

10 (2) the quality of the witness's understanding and memory;

11 (3) the witness's manner while testifying;

12 (4) whether the witness has an interest in the outcome of the case or any motive,  
13 bias or prejudice;

14 (5) whether the witness is contradicted by anything the witness said or wrote  
15 before trial or by other evidence;

16 (6) how reasonable the witness's testimony is when considered in the light of other  
17 evidence that you believe; and

18 (7) any other factors that bear on believability.

19 [The weight of the evidence to prove a fact does not necessarily depend on the number of  
20 witnesses who testify. What is more important is how believable the witnesses were, and how  
21 much weight you think their testimony deserves. ]

22  
23 **Comment**

24 This instruction is derived from First Circuit (Criminal) 1.06 and former Ninth Circuit 1.8.  
25 Cf. Ninth Circuit 1.11. For variations, see Sixth Circuit (Criminal) 1.07; Seventh Circuit  
26 (Criminal) 1.03.

27 This instruction can be given both at the beginning of the case and at the close of the  
28 evidence. For an example of an instruction given at the end of the case, see Eighth Circuit 3.03.

29 The bracketed material at the end of the instruction may be given usefully at the end of a

## 1.7 Credibility of Witnesses

- 1 case in which witnesses on one side outnumber the other. *See* Instruction 3.2 (Number of
- 2 Witnesses).

1 **1.8 Preliminary Instructions — Jury Questions for Witnesses**

2 **Model**

3 *Option 1:*

4           Only the lawyers and I are allowed to ask questions of witnesses. You are not permitted  
5 to ask questions of witnesses.

6

7 *Option 2:*

8           You will have the opportunity to ask questions of the witnesses in writing. When a  
9 witness has been examined and cross-examined by counsel, and after I ask any clarifying  
10 questions of the witness, I will ask whether any juror has any further clarifying question for the  
11 witness.

12           If so, you will write your question on a piece of paper, and hand it to my Deputy Clerk.  
13 Do not discuss your question with any other juror. I will review your question with counsel at  
14 sidebar and determine whether the question is appropriate under the rules of evidence. If so, I  
15 will ask your question, though I might put it in my own words. If the question is not permitted by  
16 the rules of evidence, it will not be asked, and you should not draw any conclusions about the fact  
17 that your question was not asked. Following your questions, if any, the attorneys may ask  
18 additional questions. If I do ask your question you should not give the answer to it any greater  
19 weight than you would give to any other testimony.

20

21 **Comment**

22           The trial judge has discretion to permit or to disallow questions from the jury. Option 1 is  
23 for judges who want explicitly to disallow jury questions. See Ninth Circuit 1.15 (comment)  
24 (“Whether to allow jurors to ask questions is a subject debated among judges.”). Option 2  
25 (derived from the instruction given by District Judges in Camden) is for judges who want to tell  
26 jurors explicitly that they may submit questions to be asked of witnesses. Some judges, however,  
27 may not want to give an explicit instruction allowing or disallowing jury questions, but may wish  
28 instead to wait and see if jurors inquire about asking questions, and then rule on whether to allow  
29 questions.

30           In *United States v. Hernandez*, 176 F.3d 719, 723 (3d Cir. 1999), the Third Circuit  
31 “approved of the practice [of permitting juror questions] so long as it is done in a manner that  
32 insures the fairness of the proceedings, the primacy of the court’s stewardship, and the rights of  
33 the accused.” The court in *Hernandez* also held that, if the trial judge allows jury questions, the

## 1.8 Jury Questions for Witnesses

34 court should follow a procedure for questions to prevent jury misconduct. *Id.* at 726 (warning  
35 that “the judge should ask any juror-generated questions, and he or she should do so only after  
36 allowing attorneys to raise any objection out of the hearing of the jury”). The court also noted  
37 that “properly structured juror questioning in a civil trial poses even fewer” risks than in a  
38 criminal trial. *Id.*

39 The Third Circuit recognized in *Hernandez* that there are arguments for and against  
40 allowing jurors to submit questions for witnesses. The best argument in favor of jury questioning  
41 is that it helps jurors clarify factual confusions and understand as much of the facts and issues as  
42 possible so that they can reach an appropriate verdict. On the other hand, allowing jurors to ask  
43 questions may risk turning them into advocates and compromising their neutrality. *See United*  
44 *States v. Bush*, 47 F.3d 511 (2d Cir. 1995). In this regard, it is not appropriate to allow jurors to  
45 ask questions that appear to suggest a view about the merits of the case.

1 **1.9 Preliminary Instructions — Note-Taking By Jurors**

2 **Model**

3 *Option 1:*

4 If you wish, you may take notes during the presentation of evidence, the summations of  
5 attorneys at the conclusion of the evidence, and during my instructions to you on the law. My  
6 Courtroom deputy will arrange for pens, pencils, and paper. Remember that your notes are for  
7 your own personal use -- they are not to be given or read to anyone else.

8 As you see, we have a court reporter here who will be transcribing the testimony during  
9 the course of the trial. But you should not assume that the transcripts will be available for your  
10 review during your deliberations. Nor should you consider notes that you or fellow jurors may  
11 take as a kind of written transcript. Instead, as you listen to the testimony, keep in mind that you  
12 will be relying on your recollection of that testimony during your deliberations. Here are some  
13 other specific points to keep in mind about note taking:

14 1. Note-taking is permitted, not required. Each of you may take notes. No one is  
15 required to take notes.

16 2. Be brief. Do not try to summarize all of the testimony. Notes are for the purpose  
17 of refreshing memory. They are particularly helpful when dealing with measurements,  
18 times, distances, identities, and relationships. Overuse of note-taking may be distracting.  
19 You must determine the credibility of witnesses; so you must observe the demeanor and  
20 appearance of each person on the witness stand. Note-taking must not distract you from  
21 that task. If you wish to make a note, you need not sacrifice the opportunity to make  
22 important observations. You may make your note after having made an observation.

23 3. Do not use your notes, or any other juror's notes, as authority to persuade fellow  
24 jurors. In your deliberations, give no more and no less weight to the views of a fellow  
25 juror just because that juror did or did not take notes. As I mentioned earlier, your notes  
26 are not official transcripts. They are not evidence, and they are by no means a complete  
27 outline of the proceedings or a list of the highlights in the trial. They are valuable, if at all,  
28 only as a way to refresh your memory. Your memory is what you should be relying on  
29 when it comes time to deliberate and render your verdict in this case. You therefore are  
30 not to use your notes as authority to persuade fellow jurors of what the evidence was  
31 during the trial. Notes are not to be used in place of the evidence.

32 4. Do not take your notes away from court. I repeat, at the end of each day, please  
33 leave your notes in the jury room. [Describe logistics of storing and securing notes, for  
34 example: "If you do take notes, take them with you each time you leave the courtroom and  
35 please leave them in the jury room when you leave at night. At the conclusion of the case,  
36 after you have used your notes in deliberations, a court officer will collect and destroy

## 1.9 Note-Taking By Jurors

37           them, to protect the secrecy of your deliberations.”]

38

39   *Option 2:*

40           As you see, we have a court reporter here who will be transcribing the testimony during  
41 the course of the trial. But you should not assume that the transcripts will be available for your  
42 review during your deliberations. You must pay close attention to the testimony as it is given.

43           You may not take notes during the course of the trial. There are several reasons for this. It  
44 is difficult to take notes and, at the same time, pay attention to what a witness is saying and the  
45 witness’s manner while testifying. One of the reasons for having a number of persons on the Jury  
46 is to gain the advantage of your individual and collective memories so that you can then  
47 deliberate together at the end of the trial and reach agreement on the facts. While some of you  
48 might feel comfortable taking notes, other members of the Jury may not feel as comfortable and  
49 may not wish to do so. Notes might be given too much weight over memories, especially the  
50 memories of those who do not take notes. So, for those reasons, I ask that you not take notes  
51 during the trial.

52

### 53   **Comment**

54           Option 1 is derived from the instruction used by District Courts in Delaware. Slight  
55 variations are found in First Circuit (Criminal) 1.08 and Eleventh Circuit (Criminal) 3.1. For other  
56 variations, see Fifth Circuit 2.21 and Eighth Circuit 1.04.

57           Option 2 is derived from Eleventh Circuit (Criminal) 3.2. For a slight variation, see Fifth  
58 Circuit (Criminal) 1.02.

59           In *United States v. Maclean*, 578 F.2d 64 (3d Cir. 1978), the court held that the trial judge  
60 has discretion to allow jurors to take notes. It stated that if note-taking is permitted, jurors must  
61 be instructed that the notes are only aids to memory, that they are not conclusive, and they are not  
62 to be given precedence over a juror’s independent recollection of the facts. *See also* American Bar  
63 Association, *Civil Trial Practice Standards* (2007) (court ordinarily should permit jurors to take  
64 notes, but should also give a cautionary instruction that notetaking is not required and that notes  
65 are not to be used in place of the evidence).

66           The instruction notes that the jurors should not assume that a transcript of testimony will  
67 be available to them during deliberations. It does not say absolutely that transcripts will not be  
68 provided. This instruction is in accordance with *United States v. Bertoli*, 40 F.3d 1384 (3d Cir.  
69 1994), where the court held that when the trial court decides to provide testimony to the jury  
70 during deliberations, it has discretion to do so by providing a transcript. *See generally* Comment

## 1.9 Note-Taking By Jurors

71 3.3.

## 1.10 Preponderance of the Evidence

### 1 **1.10 Preliminary Instructions — Preponderance of the Evidence**

#### 2 **Model**

3 This is a civil case. [Plaintiff] is the party [who/that] brought this lawsuit. [Defendant] is  
4 the party against [whom/which] the lawsuit was filed. [Plaintiff] has the burden of proving  
5 [his/her/its] case by what is called the preponderance of the evidence. That means [plaintiff] has  
6 to prove to you, in light of all the evidence, that what [he/she/it] claims is more likely so than not  
7 so. To say it differently: if you were to put the evidence favorable to [plaintiff] and the evidence  
8 favorable to [defendant] on opposite sides of the scales, [plaintiff] would have to make the scales  
9 tip somewhat on [his/her/its] side. If [plaintiff] fails to meet this burden, the verdict must be for  
10 [defendant]. If you find after considering all the evidence that a claim or fact is more likely so  
11 than not so, then the claim or fact has been proved by a preponderance of the evidence.

12 In determining whether any fact has been proved by a preponderance of evidence in the  
13 case, you may, unless otherwise instructed, consider the testimony of all witnesses, regardless of  
14 who may have called them, and all exhibits received in evidence, regardless of who may have  
15 produced them.

16 [On certain issues, called affirmative defenses, [defendant] has the burden of proving the  
17 elements of the defense by a preponderance of the evidence. I will instruct you on the facts that  
18 will be necessary for you to find on this affirmative defense. An affirmative defense is proven if  
19 you find, after considering all evidence in the case, that [defendant] has succeeded in proving that  
20 the required facts are more likely so than not so.]

21 [[Defendant] has also brought claims for relief against [plaintiff], called counterclaims. On  
22 these claims, [defendant] has the same burden of proof as has [plaintiff] on [his/her/its] claims.]

23 You may have heard of the term “proof beyond a reasonable doubt.” That is a stricter  
24 standard of proof and it applies only to criminal cases. It does not apply in civil cases such as this.  
25 So you should put it out of your mind.

26

#### 27 **Comment**

28 This instruction is derived from the following sources: pattern instruction used by District  
29 Judges in Camden; pattern instruction used by District Judges in Delaware; Fifth Circuit 3.1  
30 (second paragraph); and Eighth Circuit 3.04.

31 It is advisable to give this instruction at both the beginning of the case and at the close of  
32 the evidence.

33 It is important that the jury be made aware that the preponderance standard requires an

## 1.10 Preponderance of the Evidence

34 analysis and weighing of all of the evidence presented by both sides. *See United States v.*  
35 *Montague*, 40 F.3d 1251, 1254-55 (D.C. Cir. 1994):

36       Often, under a preponderance-of-the-evidence standard, it is assumed that the trier of fact  
37 piles up the evidence arguably on the defendant's side and determines which pile is  
38 greater. . . . In fact, a more accurate notion of the preponderance-of-the-evidence standard  
39 is "evidence which as a whole shows that the fact sought to be proved is more probable  
40 than not."

## 1.11 Clear and Convincing Evidence

### 1 1.11 Preliminary Instructions — Clear and Convincing Evidence

#### 2 **Model**

3 Clear and convincing evidence is evidence that produces in your mind a firm belief or  
4 conviction that the allegations sought to be proved by the evidence are true. Clear and convincing  
5 evidence involves a higher degree of persuasion than is necessary to meet the preponderance of  
6 the evidence standard. But it does not require proof beyond a reasonable doubt, the standard  
7 applied in criminal cases.

8

#### 9 **Comment**

10 This instruction is derived from Fifth Circuit 2.14. For a variation, see Ninth Circuit 1.4.

11 The clear and convincing evidence standard has been described as an intermediate  
12 standard of proof. *See Cruzan v. Missouri Dep't of Health*, 497 U.S. 261, 285 n.11 (1990). It is  
13 used to protect especially important interests in a limited number of federal cases.

## 1.12 Description of Trial Proceedings

### 1 **1.12 Preliminary Instructions — Description of Trial Proceedings**

#### 2 **Model**

3 The trial will proceed in the following manner:

4 First, attorney(s) for [plaintiff(s)] will make an opening statement to you. Next,  
5 attorney(s) for [defendant(s)] may make an opening statement. What is said in the opening  
6 statements is not evidence, but is simply an outline to help you understand what each party  
7 expects the evidence to show. [A party is not required to make an opening statement.]

8 After [Before] the attorneys have made their opening statements, [I will instruct you on  
9 the applicable law and] then each party is given an opportunity to present its evidence.

10 [Plaintiff] goes first because [plaintiff(s)] [has/have] the burden of proof. [Plaintiff(s)] will  
11 present witnesses whom counsel for [defendant(s)] may cross-examine, and [plaintiff(s)] may  
12 also present evidence. Following [plaintiffs'] case, [defendant(s)] may present evidence. Counsel  
13 for [plaintiff(s)] may cross-examine witnesses for the defense. [After the parties' main case is  
14 presented, they may be permitted to present what is called rebuttal evidence.]

15 After all the evidence has been presented, [I will instruct you on the law and then] the  
16 attorneys will present to you closing arguments to summarize and interpret the evidence in a way  
17 that is helpful to their clients' positions. As with opening statements, closing arguments are not  
18 evidence. [Once the closing arguments are completed, I will then instruct you on the law.] After  
19 that you will retire to the jury room to deliberate on your verdict in this case.

20 [At this point the court may wish to inform the jury of the scheduling and length of the  
21 trial, and other logistical information.]

22

#### 23 **Comment**

24 This instruction is derived from Fifth Circuit 1.1; Eighth Circuit 1.06; and former Ninth  
25 Circuit 1.12. *Cf.* Ninth Circuit 1.19.

26 Bracketed material allows options to the court on when to give instructions on the law. It  
27 is recommended that instructions on the law be given at various points in the trial in order to aid  
28 jury comprehension.

## 2.1 Impeachment of Witness's Character for Truthfulness

### 1 **2.1 General Instructions For Use During Trial — Impeachment of Witness's** 2 **Character for Truthfulness**

#### 3 **Model**

4           You [are about to hear] [have heard] evidence that [name of witness], a witness, [e.g., has  
5 been convicted of a felony, committed forgery on a prior occasion, etc.]. You may use that  
6 evidence only to help you decide whether to believe the testimony of the witness and to determine  
7 how much weight to give it. That evidence does not mean that the witness engaged in any conduct  
8 alleged in this case, and you must not use that evidence as any proof that the witness engaged in  
9 that conduct.

10

#### 11 **Comment**

12           This instruction is derived from Eighth Circuit 2.09 and former Ninth Circuit 3.12. *Cf.*  
13 Ninth Circuit 2.8. For variations, see Fifth Circuit 2.17 (covering prior convictions only).

14           The bracketed alternative allows this instruction to be given not only at the time of  
15 testimony but also at the close of the evidence. The instruction is intended to cover the admission  
16 of bad acts and convictions under Federal Rules of Evidence 608 and 609.

1 **2.2 General Instructions For Use During Trial — Judicial Notice**

2 **Model**

3 The rules of evidence permit the judge to accept facts that cannot reasonably be disputed.  
4 This is called judicial notice. I have decided to accept as proved the fact that [state the fact that the  
5 court has judicially noticed], even though no evidence has been introduced to prove this fact.  
6 You must accept this fact as true for purposes of this case.

7

8 **Comment**

9 The instruction is derived from former Ninth Circuit 2.5. *Cf.* Ninth Circuit 2.3. For  
10 variations, see Fifth Circuit 2.4 and Eighth Circuit 2.04.

11 An instruction on judicial notice should be given at the time that notice is taken. It may  
12 also be given at the time the jury is charged at the close of the evidence.

13 Federal Rule of Evidence 201(f) provides: “In a civil case, the court must instruct the jury  
14 to accept the noticed fact as conclusive. In a criminal case, the court must instruct the jury that it  
15 may or may not accept the noticed fact as conclusive.”

## 2.3 Stipulation of Testimony

### 1 2.3 General Instructions For Use During Trial — Stipulation of Testimony

#### 2 **Model**

3           The parties have agreed that if [witness's name] were called as a witness, [he/she] would  
4 testify that [state the stipulated testimony]. This testimony is entitled to the same consideration  
5 and is to be judged, insofar as possible, in the same way as if [name of witness] had been present  
6 to testify. You must accept the fact that [name of witness] would have given that testimony.  
7 However, it is for you to determine the effect or weight to be given to that testimony.

8

#### 9 **Comment**

10           The instruction is derived from Fifth Circuit 2.2, Eighth Circuit 2.02, and former Ninth  
11 Circuit 2.3. *Cf.* Ninth Circuit 2.1. The last two sentences are derived from New Mexico Criminal  
12 Instruction § 14-113.

13           When the stipulation is to what a witness would testify to if called, it is error to instruct the  
14 jury that it is to consider the stipulated testimony as true. *United States v. Benally*, 756 F.2d 773  
15 (10<sup>th</sup> Cir. 1985). See Instruction 2.4 if the stipulation is as to an issue of fact.

1 **2.4 General Instructions For Use During Trial — Stipulation of Fact**

2 **Model**

3 The [parties] have agreed that [set forth stipulated fact or facts] [is/are] true. [The parties  
4 have stipulated that certain facts are true, and those stipulations have been read to you during this  
5 trial.] You must therefore treat [this fact] [these facts] as having been proved for the purposes of  
6 this case.

7

8 **Comment**

9 The instruction is derived from Fifth Circuit 2.3 and Eighth Circuit 2.03. For a variation,  
10 see Ninth Circuit 2.2 (using “should” rather than “must”). The bracketed material concerning  
11 stipulated facts previously read to the jury can be used when the stipulations are too numerous to  
12 recount.

13 This instruction could be applied to matters admitted by way of pleading or a request for  
14 admission, as well as to facts stipulated during the trial. If a stipulation or admission is as to a  
15 matter of fact, the jury is to be instructed that it must consider the fact as true. *Compare*  
16 Instruction 2.3 (stipulation as to what testimony would be if given).

1 **2.5 General Instructions For Use During Trial — Use of Deposition**

2

3 **Model**

4 A deposition is the sworn testimony of a witness taken before trial. The witness is placed  
5 under oath and swears to tell the truth, and lawyers for each party may ask questions. A court  
6 reporter is present and records the questions and answers.

7 The deposition of [name of witness], which was taken on [date], is about to be [has been]  
8 presented to you [by a video] [by reading the transcript]. Deposition testimony is entitled to the  
9 same consideration and is to be judged, insofar as possible, in the same way as if the witness had  
10 been present to testify.

11 [Do not place any significance on the behavior or tone of voice of any person reading the  
12 questions or answers.]

13

14 **Comment**

15 The instruction is derived from former Ninth Circuit 2.6. *Cf.* Ninth Circuit 2.4. For a  
16 variation, see Fifth Circuit 2.23.

17 This instruction should be given when deposition testimony is admissible and offered as  
18 substantive evidence. *See* Fed.R.Evid. 804(b)(1), 801(d)(2); Fed.R.Civ.P. 32(a). It should be  
19 given before the testimony is read to the jury. The instruction can be modified to be given at the  
20 beginning of the trial, as well as when the evidence is presented.

21 This instruction is not appropriate if answers are being used for impeachment only.

22 If more than one deposition is read into evidence or otherwise presented during the trial,  
23 the jury may be reminded of how depositions are taken. But it is not necessary to repeat the entire  
24 instruction.

1 **2.6 General Instructions For Use During Trial — Use of Interrogatories**

2 **Model**

3           You will now hear [have heard] answers that [name of party] gave in response to written  
4 questions submitted by the other side. The written questions are called “interrogatories.” The  
5 written answers were given in writing and under oath, before the trial.

6           You must consider [name of party]’s answers to interrogatories in the same manner as if  
7 the answers were made from the witness stand.

8

9 **Comment**

10           The instruction is derived from former Ninth Circuit 2.13. *Cf.* Ninth Circuit 2.10.

11           This instruction should be used before the interrogatories are read to the jury. It can be  
12 modified to be given again at the close of the evidence. The instruction is not appropriate if the  
13 answers to the interrogatories are used for impeachment only. *See* Fed.R.Civ.P. 33.

14           This instruction should not be used for requests for admission under Fed.R.Civ.P. 36. The  
15 effect of a request for admission is conclusive as to the fact admitted.

## 2.7 Charts and Summaries in Evidence

### 1 **2.7 General Instructions For Use During Trial — Charts and Summaries in** 2 **Evidence**

#### 3 **Model**

4 [Name of party] has presented exhibits in the form of charts and summaries. I decided to  
5 admit these charts and summaries in place of the underlying documents that they represent in  
6 order to save time and avoid unnecessary inconvenience. You should consider these charts and  
7 summaries as you would any other evidence.

8

#### 9 **Comment**

10 The instruction is derived from Sand et al., *Modern Federal Jury Instructions*, No. 74-11  
11 (2004). “[C]harts and summaries are powerful visual displays for which some judicial  
12 explanation is required. Such an instruction will ensure that they are not given improper  
13 consideration by the jury.” *Id.*; compare Instruction 2.8 (providing a limiting instruction when  
14 charts and summaries are not evidence).

15 For a variation, see Ninth Circuit 2.13 (“Charts and summaries are only as good as the  
16 underlying evidence that supports them. You should, therefore, give them only such weight as  
17 you think the underlying evidence deserves.”).

## 2.8 Charts and Summaries Not Admitted in Evidence

### 1 **2.8 General Instructions For Use During Trial — Charts and Summaries Not** 2 **Admitted in Evidence**

#### 3 **Model**

4 Certain charts and summaries that have not been received in evidence have been shown to  
5 you in order to help explain or illustrate the contents of books, records, documents, testimony, or  
6 other evidence in the case. [Describe the charts and summaries that have not been admitted.]  
7 These charts and summaries are not themselves proof of any facts. They are not binding on you in  
8 any way. If they do not correctly reflect the facts shown by the evidence in the case, you should  
9 disregard these charts and summaries and determine the facts from the evidence.

10

#### 11 **Comment**

12 The instruction is derived from former Ninth Circuit 3.9. *Cf.* Ninth Circuit 2.12.

13 This instruction is applicable to pedagogical devices and illustrations. Use of this material  
14 is governed by Rule 611(a) of the Federal Rules of Evidence, and not by Rule 1006 (which  
15 applies to summaries of admissible evidence where that evidence is too voluminous to be  
16 examined conveniently in court). *See United States v. DeBoer*, 966 F.2d 1066, 1069 (6<sup>th</sup> Cir.  
17 1992) (summaries of already admitted evidence are permissible “so long as an appropriate  
18 limiting instruction informs the jury that ‘the chart is not itself evidence but is only an aid in  
19 evaluating the evidence’”). If a chart or summary is used only to illustrate or explain evidence  
20 already admitted, then it is not itself evidence, and it may not be sent to the jury room.

21 It is suggested that this instruction be given both at the time the summary is used and at  
22 the end of the case. *See, e.g., United States v. Ray*, 370 F.3d 1039, 1047 n.8 (10<sup>th</sup> Cir. 2004)  
23 (suggesting that the court repeat the limiting instruction “in writing at the trial’s conclusion”),  
24 *vacated on other grounds*, 543 U.S. 1109 (2005).

### 1 **2.9 General Instructions For Use During Trial — Striking Evidence**

#### 2 **Model**

3 I have ordered that [describe the evidence] be struck from the record and I am instructing  
4 you that you must disregard that information [testimony]. That means that when you are deciding  
5 the case, you must not consider that information [testimony] in any way.

6

#### 7 **Comment**

8 The instruction is derived from former Ninth Circuit 1.7. *Cf.* Ninth Circuit 1.10. It can  
9 also be altered to be given as part of a general instruction on evidence at the beginning of the case.  
10 *See* Instruction 1.5. The instruction is to be given when the evidence is struck, and not at the end  
11 of the case, as it could be counterproductive to describe the evidence that has been struck at that  
12 later point.

## 2.10 Evidence Admitted for a Limited Purpose

### 1 2.10 General Instructions For Use During Trial — Evidence Admitted for a 2 Limited Purpose

#### 3 Model

4 You [have heard] [will now hear] evidence that was received for [a] particular limited  
5 purpose[s]. [This evidence can be considered by you as evidence that (describe limited purpose)].  
6 It may not be used for any other purpose. [For example, you cannot use it as proof that (discuss  
7 specific prohibited purpose)].

8

#### 9 Comment

10 The instruction is derived from Fifth Circuit 2.15, Eighth Circuit 2.08B, and former Ninth  
11 Circuit 1.5. *Cf.* Ninth Circuit 1.8.

12 This instruction can be modified slightly to be given again at the close of the evidence.  
13 The Court of Appeals has stated, however, that it is error to fail to give a requested limiting  
14 instruction “at the time the evidence [i]s admitted.” *United States v. Davis*, 726 F.3d 434, 445 (3d  
15 Cir. 2013) (identifying this issue in a case where the court gave the instruction “only in the final  
16 jury charge”).

17 The Third Circuit has expressed a preference for an instruction that tells the jury both  
18 how the evidence can be used and how it must not be used. *See Government of Virgin Islands v.*  
19 *Mujahid*, 990 F.2d 111 (3d Cir. 1993) (trial judge should tell the jury that a guilty plea of a  
20 coconspirator can be used for impeachment of the coconspirator but cannot be used as proof of  
21 the defendant’s guilt). *See also United States v. Lee*, 612 F.3d 170, 191 & n.25 (3d Cir. 2010)  
22 (discussing Third Circuit Model Criminal Jury Instruction 4.29 and “encourag[ing] district court  
23 judges to delineate the specific grounds for admissibility of 404(b) evidence, even if the entire  
24 404(b) litany has already been recounted”); *United States v. Ciavarella*, 716 F.3d 705, 728 n.15  
25 (3d Cir. 2013) (noting that evidence admitted under Rule 404(b) “must ... ‘be accompanied by a  
26 limiting instruction (where requested) about the purpose for which the jury may consider it’”  
27 (quoting *United States v. Cross*, 308 F.3d 308, 320-21 (3d Cir. 2002))); *Davis*, 726 F.3d at 445  
28 (finding error in jury instruction that “included a wide list of purposes” despite trial court’s ruling  
29 that the evidence in question was admissible only “to prove knowledge”); *SEC v. Teo*, 746 F.3d  
30 90, 97 (3d Cir. 2014) (concluding that the district court’s limiting instruction “provid[ed] a  
31 meaningful delineation of character evidence from evidence that goes to intent and the absence of  
32 mistake” and that it “capture[d] the key points of this Court’s Model [Criminal] Jury Instruction[  
33 § 4:29]”). *Cf. United States v. Caldwell*, 760 F.3d 267, 274 (3d Cir. 2014) (stressing “that Rule  
34 404(b) must be applied with careful precision, and that evidence of a defendant’s prior bad acts is  
35 not to be admitted unless both the proponent and the District Court plainly identify a proper, non-  
36 propensity purpose for its admission”).

## 2.10 Evidence Admitted for a Limited Purpose

37 For discussions of the importance of a limiting instruction when inadmissible evidence is  
38 disclosed to a jury under Evidence Rule 703's balancing test, see the 2000 Committee Note to  
39 Evidence Rule 703 ("If the otherwise inadmissible information is admitted under [Rule 703's]  
40 balancing test, the trial judge must give a limiting instruction upon request, informing the jury that  
41 the underlying information must not be used for substantive purposes."), and *Williams v. Illinois*,  
42 132 S. Ct. 2221, 2241 (2012) (plurality opinion) ("[E]xperts are generally precluded from  
43 disclosing inadmissible evidence to a jury. See Fed. Rule Evid. 703 .... [I]f such evidence is  
44 disclosed, the trial judges may and, under most circumstances, must, instruct the jury that out-of-  
45 court statements cannot be accepted for their truth, and that an expert's opinion is only as good as  
46 the independent evidence that establishes its underlying premises.").

47 Instruction 2.10 can be used in multiple party cases where evidence is admissible against  
48 one party but not another (e.g., a statement by an agent that is admissible against the agent but not  
49 the principal).

50 See Instruction 1.5, including a reference to limited use instructions as part of a general  
51 instruction on evidence to be given at the beginning of the case.

1 **2.11 General Instructions For Use During Trial — Opinion Testimony**

2 **Model**

3 You have heard [will hear] testimony containing opinions from [name of witness]. In  
4 weighing this opinion testimony, you may consider [his/her] qualifications, the reasons for  
5 [his/her] opinions, and the reliability of the information supporting those opinions, as well as the  
6 factors I have previously mentioned for weighing the testimony of any other witness. The  
7 opinion of [name of witness] should receive whatever weight and credit, if any, you think  
8 appropriate, given all the other evidence in the case.

9 In deciding whether to accept or rely upon the opinion of [name of witness], you may  
10 consider any bias that [name of witness] may have, including any bias that may arise from  
11 evidence that [name of witness] has been or will be paid for reviewing the case and testifying [or  
12 from evidence that [name of witness] testifies regularly and makes a large portion of [his/her]  
13 income from testifying in court].

14

15 **Comment**

16 This instruction is derived from Fifth Circuit 2.19 and former Ninth Circuit 3.7. *Cf.* Ninth  
17 Circuit 2.11. For a variation, see Eleventh Circuit 5.2 (adding: “When a witness has been or will  
18 be paid for reviewing and testifying concerning the evidence, you may consider the possibility of  
19 bias and should view with caution the testimony of such a witness where court testimony is given  
20 with regularity and represents a significant portion of the witness' income.”).

21 The instruction avoids labeling the witness as an “expert.” If the court refrains from  
22 designating the witness as an “expert” this will “ensure[] that trial courts do not inadvertently put  
23 their stamp of authority” on a witness’ opinion, and will protect against the jury’s being  
24 “overwhelmed by the so-called ‘experts’.” Hon. Charles Richey, *Proposals to Eliminate the*  
25 *Prejudicial Effect of the Use of the Word “Expert” Under the Federal Rules of Evidence in*  
26 *Criminal and Civil Jury Trials*, 154 F.R.D. 537, 559 (1994). *See* Advisory Committee Note to  
27 Federal Rule of Evidence 702 (2000) (cautioning against instructing the jury that the witness is an  
28 “expert”).

29 The bracketed material can be used to give the instruction before the expert testifies. For  
30 example, the instruction could be given as part of the initial instruction on matters of evidence.  
31 *See* Instructions 1.5—1.7.

## 2.12 Foreign Language Testimony or Audio Recording

### 1 **2.12 General Instructions For Use During Trial — Foreign Language** 2 **Testimony or Audio Recording**

#### 3 **Model**

4           You are about to hear [testimony of a witness who will be testifying in] [an audio  
5 recording in] [language used]. The evidence you are to consider is only that provided through the  
6 official court [interpreters] [translators]. Although some of you may know the language used, it is  
7 important that all jurors consider the same evidence. So you must base your decision on the  
8 evidence presented in the English [interpretation] [translation]. You must disregard any different  
9 meaning.

10           [In this case there is a dispute over the translation of certain statements in a foreign  
11 language. It is for you to determine which, if either, translation is accurate.]

12

#### 13 **Comment**

14           The Ninth Circuit has separate instructions for foreign language testimony and foreign  
15 language recordings. The model combines them and provides alternatives in brackets. See Ninth  
16 Circuit 2.6 and 2.7.

17           The instruction concerning recordings is appropriate only if the accuracy of the translation  
18 is not at issue. *See also* Instruction 2.13 on transcriptions of recordings.

## 2.13 Transcript of Audio-Recorded Conversation

### 1 **2.13 General Instructions For Use During Trial — Transcript of Audio-** 2 **Recorded Conversation**

#### 3 **Model**

4 At this time you are going hear conversations that were recorded. This is proper evidence  
5 for you to consider. Please listen to it very carefully. I am going to allow you to have a transcript  
6 of the recording [prepared by \_\_\_\_\_] to help you identify speakers and as a guide to help  
7 you listen to the recording. If you believe at any point that the transcript says something different  
8 from what you hear on the recording, remember it is the recording that is the evidence, not the  
9 transcript. Any time there is a variation between the recording and the transcript, you must be  
10 guided solely by what you hear on the recording and not by what you see in the transcript.

11 [In this case there are two transcripts because there is a difference of opinion as to what is  
12 said on the recording. You may disregard any portion of either or both transcripts if you believe  
13 they reflect something different from what you hear on the recording. It is what you hear on the  
14 recording that is evidence, not the transcripts.]

15

#### 16 **Comment**

17 The instruction is derived from former Ninth Circuit 2.7. *Cf.* Ninth Circuit 2.5.

18 This instruction can be modified to be given sometime after the recording is heard, e.g., at  
19 the close of the case. See Sixth Circuit (Criminal) § 7.17:

20 You have heard some tape recordings that were received in evidence, and you were given  
21 some written transcripts of the tapes. Keep in mind that the transcripts are not evidence.  
22 They were given to you only as a guide to help you follow what was being said. The tapes  
23 themselves are the evidence. If you noticed any differences between what you heard on  
24 the tapes and what you read in the transcripts, you must rely on what you heard, not what  
25 you read. And if you could not hear or understand certain parts of the tapes, you must  
26 ignore the transcripts as far as those parts are concerned.

1 **2.14 General Instructions For Use During Trial — Recess Admonition**

2 **Model**

3 We are about to take [our first] [a] recess [and I remind you of the instruction I gave you  
4 earlier]. During this recess and any other recess, you must not discuss this case with anyone,  
5 including your fellow jurors, members of your family, people involved in the trial, or anyone else.  
6 If anyone tries to talk to you about the case, do not tell your fellow jurors but tell me about it  
7 immediately. [Do not read, watch or listen to any news reports of the trial, or conduct any  
8 research or investigation, including on the Internet. Remember that I told you not to use any  
9 electronic tools to communicate with anyone about the case or to do research relating to the case.]  
10 Finally, remember to keep an open mind until all the evidence has been received and you have  
11 heard the views of your fellow jurors.

12 If you need to speak with me about anything, simply give a signed note to [identify court  
13 personnel] to give to me.

14 [I will not repeat these admonitions each time we recess or adjourn, but you will be  
15 reminded of them on occasion.]

16

17 **Comment**

18 The instruction is derived from Fifth Circuit 2.1, Eighth Circuit 2.01 and former Ninth  
19 Circuit 2.1. *Cf.* Ninth Circuit 1.12.

20 Jurors should be reminded that they have duties and responsibilities even when not in  
21 court. See, e.g., *United States v. Williams*, 635 F.2d 744 (8<sup>th</sup> Cir. 1980) (it is essential to a fair trial  
22 that the jury be cautioned as to what conduct is permissible when not in court; an instruction is  
23 particularly necessary before the jury separates at night when they will converse with friends and  
24 relatives or possibly encounter trial publicity).

25 This instruction may be modified to be given at the beginning of the trial, as well as before  
26 a recess. See also Instruction 1.3 (providing similar admonitions as part of a broader instruction  
27 at the beginning of the case).

1 **3.1 General Instructions For Use At End of Trial — Deliberations**

2 **Model**

3 When you retire to the jury room to deliberate, you may take with you [these instructions]  
4 [your notes] [and] the exhibits that the Court has admitted into evidence. You should select one  
5 member of the jury as your foreperson. That person will preside over the deliberations and speak  
6 for you here in open court.

7 You have two main duties as jurors. The first one is to decide what the facts are from the  
8 evidence that you saw and heard here in court. Deciding what the facts are is your job, not mine,  
9 and nothing that I have said or done during this trial was meant to influence your decision about  
10 the facts in any way.

11 Your second duty is to take the law that I give you, apply it to the facts, and decide if,  
12 under the appropriate burden of proof, the parties have established their claims. It is my job to  
13 instruct you about the law, and you are bound by the oath that you took at the beginning of the  
14 trial to follow the instructions that I give you, even if you personally disagree with them. This  
15 includes the instructions that I gave you before and during the trial, and these instructions. All the  
16 instructions are important, and you should consider them together as a whole.

17 Perform these duties fairly. Do not let any bias, sympathy or prejudice that you may feel  
18 toward one side or the other influence your decision in any way.

19 As jurors, you have a duty to consult with each other and to deliberate with the intention  
20 of reaching a verdict. Each of you must decide the case for yourself, but only after a full and  
21 impartial consideration of all of the evidence with your fellow jurors. Listen to each other  
22 carefully. In the course of your deliberations, you should feel free to re-examine your own views  
23 and to change your opinion based upon the evidence. But you should not give up your honest  
24 convictions about the evidence just because of the opinions of your fellow jurors. Nor should you  
25 change your mind just for the purpose of obtaining enough votes for a verdict.

26 When you start deliberating, do not talk to the jury officer, to me or to anyone but each  
27 other about the case. During your deliberations, you must not communicate with or provide any  
28 information to anyone by any means about this case. You may not use any electronic device or  
29 media, such as a cell phone, smart phone [like Blackberries or iPhones], or computer of any kind;  
30 the internet, any internet service, or any text or instant messaging service [like Twitter]; or any  
31 internet chat room, blog, website, or social networking service [such as Facebook, MySpace,  
32 LinkedIn, or YouTube], to communicate to anyone any information about this case or to conduct  
33 any research about this case until I accept your verdict.

34 You may not use these electronic means to investigate or communicate about the case  
35 because it is important that you decide this case based solely on the evidence presented in this  
36 courtroom. Information on the internet or available through social media might be wrong,

### 3.1 Deliberations

37 incomplete, or inaccurate. Information that you might see on the internet or on social media has  
38 not been admitted into evidence and the parties have not had a chance to discuss it with you. You  
39 should not seek or obtain such information and it must not influence your decision in this case.

40 If you have any questions or messages for me, you must write them down on a piece of  
41 paper, have the foreperson sign them, and give them to the jury officer. The officer will give  
42 them to me, and I will respond as soon as I can. I may have to talk to the lawyers about what you  
43 have asked, so it may take some time to get back to you.

44 One more thing about messages. Never write down or tell anyone how you stand on your  
45 votes. For example, do not write down or tell anyone that a certain number is voting one way or  
46 another. Your votes should stay secret until you are finished.

47 Your verdict must represent the considered judgment of each juror. In order for you as a  
48 jury to return a verdict, each juror must agree to the verdict. Your verdict must be unanimous.

49 A form of verdict has been prepared for you. It has a series of questions for you to  
50 answer. You will take this form to the jury room and when you have reached unanimous  
51 agreement as to your verdict, you will fill it in, and have your foreperson date and sign the form.  
52 You will then return to the courtroom and your foreperson will give your verdict. Unless I direct  
53 you otherwise, do not reveal your answers until you are discharged. After you have reached a  
54 verdict, you are not required to talk with anyone about the case unless I order you to do so.

55 Once again, I want to remind you that nothing about my instructions and nothing about the  
56 form of verdict is intended to suggest or convey in any way or manner what I think your verdict  
57 should be. It is your sole and exclusive duty and responsibility to determine the verdict.

58

#### 59 **Comment**

60 The instruction is derived from Fifth Circuit 2.11 and 2.12, Eighth Circuit 3.06, former  
61 Ninth Circuit 4.1, and the instruction used in the District of Delaware. *Cf.* Ninth Circuit 3.1.

62 The portion of the instruction concerning electronic media is drawn from Proposed Model  
63 Jury Instructions on the Use of Electronic Technology to Conduct Research on or Communicate  
64 about a Case, prepared by the Judicial Conference Committee on Court Administration and Case  
65 Management (CACM) in December 2009. *See United States v. Fumo*, 655 F.3d 288, 305 (3d Cir.  
66 2011) (“We enthusiastically endorse [the CACM] instructions and strongly encourage district  
67 courts to routinely incorporate them or similar language into their own instructions.”). CACM  
68 released an updated version of the model instructions in June 2012 (the updated model is  
69 available at [http://news.uscourts.gov/revised-jury-instructionshope-deter-juror-use-social-media-](http://news.uscourts.gov/revised-jury-instructionshope-deter-juror-use-social-media-during-trial)  
70 [during-trial](http://news.uscourts.gov/revised-jury-instructionshope-deter-juror-use-social-media-during-trial)). Obviously, the relevant technologies will evolve over time; users of these  
71 instructions should insert a list of current examples in the appropriate place in the instructions.

### 3.1 Deliberations

72           It may also be useful to remind the jurors, at this point in the case, of the initial instruction  
73 to decide the case based only on the evidence presented at trial. *See* Instruction 1.3; *see also*  
74 *Fumo*, 655 F.3d at 307 (finding no abuse of discretion in district court’s conclusion that no  
75 substantial prejudice resulted from juror’s exposure to extraneous information based partly on fact  
76 that “the District Court gave careful and repeated instructions to the jurors, including immediately  
77 before deliberation, that they should ‘not let rumors, suspicions, or anything else that [they] may  
78 have seen or heard outside of the court influence [their] decision in any way’”).

79           The part of the instruction concerning unanimity may be altered if the parties consent to a  
80 non-unanimous verdict. *See* Fed.R.Civ.P. 48.

## 3.2 Number of Witnesses

### 1 3.2 General Instructions For Use At End of Trial — Number of Witnesses

#### 2 **Model**

3           The weight of the evidence to prove a fact does not necessarily depend on the number of  
4 witnesses who testify. What is more important is how believable the witnesses were, and how  
5 much weight you think their testimony deserves.

6

#### 7 **Comment**

8           See Instruction 1.7, where this instruction is included as an alternative to be given as part  
9 of a general instruction on credibility of witnesses at the beginning of the case.

10           This instruction is not to be given routinely, but it might be given, on request, when there  
11 is a disproportionate number of witnesses on one side of the case.

1 **3.3 General Instructions For Use At End of Trial — Read-Backs of Trial**  
2 **Testimony**

3 **Model**

4 At your request, I have decided to have [a transcript of ] [describe the testimony] read  
5 [provided] to you in order to assist you in your deliberations. I remind you that you must focus on  
6 all of the testimony and evidence presented at the trial. You may not give undue weight to the  
7 testimony that is read back to you [provided to you].

8

9 **Comment**

10 The instruction contains a bracketed alternative for allowing the jury to receive a transcript  
11 of the testimony that the jurors request to re-hear. On allowing read-backs and transcripts of  
12 testimony, *see United States v. Bertoli*, 40 F.3d 1384, 1400 (3d Cir. 1994), where the court stated  
13 that two concerns may arise when a jury requests a read-back of testimony:

14 (1) such requests may slow the trial when the requested testimony is lengthy; (2) if read  
15 only a portion of testimony, the jury may give undue weight to that portion.

16 The *Bertoli* court held, however, that “unless a trial court's refusal to read back testimony is  
17 supported by one of these two concerns, a trial judge abuses his discretion by denying the [jury's]  
18 request.” *Id.* (internal quotation marks omitted). *See, e.g., United States v. Shabazz*, 564 F.3d  
19 280, 285 (3d Cir. 2009) (it was error to deny jury's request for read-back of testimony that “ran  
20 no longer than 25 minutes” and “was not peripheral, as [the witness] was both the only witness to  
21 link Shabazz directly to the robbery who was not testifying in connection with a plea agreement  
22 and the only one who expressed some uncertainty about his identification”). The *Bertoli* court  
23 further held that a trial court is within its discretion in providing a transcript of the requested  
24 testimony. The *Bertoli* court suggested that any transcript or read-back should be accompanied by  
25 an instruction “to focus on the entire testimony and evidence.” *Bertoli*, 40 F.3d at 1401.

1 **3.4 General Instructions For Use At End of Trial — Deadlock**

2 **Model**

3 It is your duty as jurors to consult with one another and to deliberate with a view toward  
4 reaching an agreement, if you can do so consistent with your individual judgments. Each of you  
5 must decide the case for yourself, but you should do so only after a consideration of the case with  
6 your fellow jurors, and you must be open to their opinions. You should not be influenced to vote  
7 a certain way, however, by the single fact that a majority of the jurors, or any of them, will vote in  
8 a certain way. In other words, you should not surrender your honest convictions concerning the  
9 effect or weight of the evidence for the mere purpose of returning a verdict, or solely because of  
10 the opinions of the other jurors.

11 In the course of your deliberations you should not hesitate to reexamine your own views,  
12 and to change your opinion if you are convinced that those views are wrong. To reach a  
13 unanimous result you must examine the questions submitted to you openly and frankly, with  
14 proper regard for the opinions of others and with a willingness to reexamine your own views.

15 Remember that you are not partisans; you are judges — judges of the facts. Your only  
16 interest is to seek the truth from the evidence. You are the judges of the credibility of the  
17 witnesses and the weight of the evidence.

18 If you should fail to agree on a verdict, the case is left open and must be resolved at a later  
19 time. There is no reason to think that another trial would be conducted in a better way or that a  
20 different jury would decide it any better. Any future jury must be selected in the same manner and  
21 from the same source as you.

22 We try cases to dispose of them and to reach a common conclusion if it is consistent with  
23 the conscience of each member of the jury. I suggest that, in deliberating, you each recognize that  
24 you are not infallible, that you listen to the opinions of the other jurors and that you do so  
25 carefully with a view to reaching a common conclusion, if you can. You may take all the time that  
26 you feel is necessary.

27 I remind you that in your deliberations you are to consider the instructions I have given  
28 you as a whole. You should not single out any part of any instruction, including this one, and  
29 ignore others. They are all equally important.

30 You may now retire and continue your deliberations.

31

32 **Comment**

33 The instruction is derived from Eighth Circuit 3.07 and former Ninth Circuit 4.6. *Cf.*

### 3.4 Deadlock

34 Ninth Circuit 3.5. *See also* Third Circuit (Criminal) Instruction 9.05.

35 An instruction encouraging a deadlocked jury to reach a verdict should be given with great  
36 caution. Such an instruction was approved in *Allen v. United States*, 164 U.S. 492 (1896). But  
37 “Allen” charges often have been criticized as coercive and as an unwarranted intrusion upon the  
38 province of the jury.

39 Note that the model instruction does not specifically encourage those jurors in the  
40 minority to reconsider their views or distrust their judgment. An instruction to that effect has been  
41 declared to be prohibited in the Third Circuit. *See United States v. Fioravanti*, 412 F.2d 407, 418  
42 (3d Cir. 1969) (“in this circuit, trial judges are not to give instructions either in the main body of  
43 the charge or in the form of a supplement that direct a juror to distrust his own judgment if he  
44 finds a large majority of the jurors taking a view different from his. Such an instruction will be  
45 deemed error, normally reversible error.”). While it has been held that the prohibition on  
46 instructions targeted at the minority of jurors is limited to criminal cases, *see Cary v. Allegheny*  
47 *Techs., Inc.*, 267 F.Supp.2d 442 (W.D.Pa. 2003), the danger of coercion in such a charge cautions  
48 against its use even in civil cases. In concluding that a modified *Allen* charge was “proper[]” in  
49 the context of a particular civil case, the Court of Appeals noted that the charge in question “does  
50 not speak specifically to minority jurors.” *U.S. Healthcare, Inc. v. Blue Cross of Greater*  
51 *Philadelphia*, 898 F.2d 914, 940 & n.32 (3d Cir. 1990).

52 Courts have also disapproved of statements telling a deadlocked jury that it must reach a  
53 decision or “instruct[ing] a deadlocked jury to consider the burdens and expense to the  
54 government of a new trial.” *United States v. Brennan*, 326 F.3d 176, 193 (3d Cir. 2003)  
55 (collecting cases). On the latter point, the Court of Appeals has explained that “a charge is unduly  
56 coercive when the trial court not only states that a new trial will result, but goes further and  
57 unduly emphasizes the consequences, i.e., time, toil, or expense, that will accompany a failure to  
58 arrive at an unanimous verdict.” *United States v. Jackson*, 443 F.3d 293, 298 (3d Cir. 2006)  
59 (rejecting challenge to trial judge’s statement that “the case will have to be retried in front of  
60 another jury” and reasoning that “any undue coercion created in this case by the brief mention of  
61 a new trial was mitigated by” the trial judge’s emphasis on “the government’s burden of proof  
62 [and] the jurors’ responsibility to consider honestly the evidence” and the trial judge’s directive  
63 that jurors should not “surrender [their] beliefs for the sake of expediency”).