

The *Rechtsanwälte* and *Rechtsanwältinnen* of the Federal Republic of Germany, together with the other members of the Bars, adopt the following Rules of Professional Practice through their Assembly of freely elected representatives. The term *Rechtsanwalt/Rechtsanwälte* is used hereafter as a gender-neutral professional title.

Rules of Professional Practice **Version of 01 October 2023¹**

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¹ Last amended by a decision of the Lawyers' Parliament (*Satzungsversammlung*) of 08.05.2023, BRAK
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Part One
Free exercise of the profession

§ 1 Freedom of legal practice

- (1) The Rechtsanwalt exercises his/her profession freely, independently, as a member of a self-determined and self-regulated profession, subject only to the law and the Rules of Professional Practice.
- (2) The Rechtsanwalt's freedom rights are a safeguard of the citizen's participation in the law. His/her activities serve the realization of a society governed by the rule of law.
- (3) As an independent adviser and representative in all legal matters, the Rechtsanwalt has to protect his/her client from a loss of rights. He has to accompany the client with a view to shaping the law, avoiding conflicts and settling disputes. He has to protect him from wrong decisions taken by the courts and authorities and has to act as his/her client's safeguard against unconstitutional impairment of his/her rights and against the government exceeding its powers.

Part Two
Professional duties
Section One
General professional and fundamental duties

§ 2 Confidentiality

- (1) The Rechtsanwalt has the right and the duty to observe confidentiality. This/her also applies after the Rechtsanwalt has ceased to act for a client.
- (2) The duty to observe confidentiality requires the Rechtsanwalt to take the organisational and technical measures that are necessary to protect confidentiality and are risk-adequate and reasonable for the profession of lawyer. Technical measures are sufficient when they satisfy the requirements of data protection law in cases where the latter is applicable. Other technical measures must also be state of the art. Para. 4 c) shall remain unaffected. The use of an electronic or other communication channel between the Rechtsanwalt and a client, which entails risks for the confidentiality of such communication, is permitted in any case if the client agrees to it. Agreement shall be assumed where the client proposes or starts communicating via this/her channel and continues to do so after the Rechtsanwalt has pointed out the risks, at least in general terms and without technical details.
- (3) A violation of the duty to observe confidentiality (§ 43 (a) (2) Federal Lawyers' Act) does not exist insofar as the law and regulations stipulate or permit an exception.
- (4) A violation does not exist where the Rechtsanwalt's conduct
 - a) is undertaken with the client's consent;
 - b) is necessary for the enforcement of or defence against justified claims arising from a case, or for the defence of the Rechtsanwalt's own interests, or
 - c) occurs in the framework of the firm's work processes outside the scope of application of § 43 (e) of the Federal Lawyers' Act and where they objectively correspond to normal conduct in social life as approved by the general public (social adequacy).
- (5) The provisions of data protection law with regard to the protection of personal data shall remain unaffected.

§ 3 Conflict of interest

- (1) The Rechtsanwalt must not represent conflicting interests. During an ongoing case, the Rechtsanwalt must neither accept any assets from the client and/or opponent for the purpose of holding them in trust or for safekeeping for both parties.
- (2) If a Rechtsanwalt realises that he has acted in violation of § 43a (4) to (6) of the Federal Lawyers' Act, he shall inform his/her clients immediately and must cease to act for all clients involved in the same matter.
- (3) Joint professional practice within the meaning of § 43a (4) sentence 2 of the Federal Lawyers' Act does not exist in cases where office premises are shared (§ 59q Federal Lawyers' Act). An extension to the partnership shall also apply to individually assigned cases.
- (4) The Rechtsanwalt may only act in a case pursuant to § 43a (4) sentence 4 of the Federal Lawyers' Act (exemption from the extension to the partnership with the clients' consent) if compliance with the duty of confidentiality can be ensured by separate processing of the case. This/her requires, in addition to the general requirements of § 2, in particular
 - a) content-related work on the conflicting cases is carried out exclusively by different persons,
 - b) the exclusion of mutual access to paper files and to electronic data, including the special electronic lawyer's mailbox, and
 - c) the prohibition of the persons handling the case from communicating with each other about the case.
- (5) Compliance with these measures shall be documented for the respective case.

§ 4 Clients' money and other assets

- (1) Clients' money and other assets, in particular securities and other deeds of a financial nature shall be passed on to the entitled immediately. As long as this is not possible, clients' money has to be held in escrow accounts. These are usually current accounts. The Rechtsanwalt shall ensure that no payments are processed via omnibus escrow accounts where there are risks relating to money laundering or terrorist financing. Funds may not be managed in an omnibus escrow account,
 - a) which originate from cases, the subject of which is at least also the provision of assistance, of advisory or other services, or of a transaction, within the meaning of Section 2 (1) No. 10 of the German Anti-Money Laundering Act (*Geldwäschegesetz*, GwG), with the exception of the management of money pursuant to Section 2 (1) No. 10 (a) (bb) of the German Anti-Money Laundering Act,
 - b) which have been handed over to the Rechtsanwalt in cash and which, without prejudice to a division into several partial amounts, exceed the amount of 1000 euros in total, or
 - c) which have been transferred to the Rechtsanwalt from a bank account in a third country which
 1. belongs to the high-risk third countries identified by the European Commission pursuant to Article 9 of Directive (EU) 2015/849 of the European Parliament and of the

Council of 20 May 2015, as listed in the Annex to Commission Delegated Regulation (EU) 2016/1675 of 14 July 2016, as amended; or

2. is classified as a state with strategic deficiencies in the Financial Action Task Force's "High-Risk Jurisdictions Subject to a Call for Action" and "Jurisdictions under Increased Monitoring" information reports, as amended from time to time.

The Rechtsanwalt shall not disburse in cash or transfer to accounts in countries referred to in sentence 4(c) any funds that have been managed in an omnibus escrow account. Third-party funds shall be settled immediately, at the latest upon termination of the case. Other assets shall be kept separately. Sentences 1 and 2 shall not apply if otherwise agreed in text form.

(2) A Rechtsanwalt shall not deduct his/her legal costs from a client's funds which have been earmarked for payment to someone other than that client.

§ 5 Office, further office and branch office

The Rechtsanwalt is obliged to fulfil the material, personnel and organisational prerequisites for the exercise of his/her profession at his/her office, further office and branch office.

§ 5a Knowledge of professional law

Knowledge of the legal profession's professional law pursuant to § 43f of the Federal Lawyers' Act shall be proven by providing evidence of participation in training events totalling at least ten full hours on the following subjects:

1. Organisation of the profession as a liberal profession and of the Bars as self-regulatory bodies, including professional supervision and sanctions under professional law
2. General professional duties and basic duties pursuant to § 43, § 43a of the Federal Lawyers' Act, § 2 to § 5 of the Rules of Professional Practice
3. Overview of the special professional duties pursuant to § 43b et seq. of the Federal Lawyers' Act and § 6 to § 33 of the Rules of Professional Practice
4. Aspects of professional law that relate to lawyer liability law.

Section Two Special duties with regard to publicity

§ 6 Publicity

(1) A Rechtsanwalt may give personal information and information about his/her services provided the information supplied is objective and relates to his/her professional activities.

- (2) Publicity as to success rates or turnover is not permitted if it is misleading. References to cases and clients may only be made provided the respective client has explicitly given his/her consent.
- (3) A Rechtsanwalt shall not participate in an effort designed to make third parties conduct publicity for him which he himself is not permitted to conduct.

§ 7 Reference to individual professional practice areas

- (1) Apart from references made to “Fachanwalt“ specialisations*, individual areas of professional practice may be mentioned only on the condition that the Rechtsanwalt can prove that he has acquired special knowledge in the mentioned area through training, professional experience, through publications or in any other way. If a Rechtsanwalt uses qualifying additions, he must have the respective theoretical knowledge as well as extensive practice experience in the area referred to.
- (2) References made in accordance with paragraph (1) are not allowed where they create a danger of confusion with “Fachanwalt” specialisations or where they are otherwise misleading.
- (3) Where Rechtsanwälte practice jointly and in respect of other forms of professional co-operation, the aforementioned provisions apply mutatis mutandis.

§ 7a Mediator

A Rechtsanwalt who uses the title of mediator must fulfil the requirements of § 5 (1) of the Mediation Act (*Mediationsgesetz*) with regard to education and training, theoretical knowledge and practical experience.

§ 8 Declaration of joint professional practice and other forms of professional co-operation

Where Rechtsanwälte associate to practice jointly, their co-operation may be publicized only where it occurs in the form of a professional practice company (*Berufsausübungsgesellschaft*) or in any other way with professionals mentioned in § 59c Federal Lawyers’ Act. Publicizing any other form of professional co-operation is permissible, provided it does not give the impression of joint practice.

§ 9 Designation of a firm

A designation must be used uniformly.

§ 10 Headed notepaper

- (1) The Rechtsanwalt shall mention his/her office address on the letterhead. The office address is the address stated as such in the Register of Rechtsanwälte (§ 31 (3) no. 2, first half sentence, and § 27 (1) Federal Lawyers’ Act). Where more than one office, one or more branch offices are maintained, the respective addresses of all Rechtsanwälte mentioned on the letterhead have to be mentioned.

* Note: in order to be able to use the title „Fachanwalt“, a lawyer has to acquire exceptional theoretical and practical knowledge in a chosen area of specialisation and has to pass an additional exam.

- (2) Even where a law firm uses a designation, the names of all partners have to be mentioned on the firm's notepaper with at least one first name written out in full. The same applies to names of other persons included in a designation as defined by § 9. The number of partners, employed or independent staff mentioned in the firm's letterhead must be at least equivalent to those mentioned in the designation.
- (3) Where Rechtsanwälte have established a professional co-operation with members of other professions, the specific professional titles of the latter have to be mentioned.
- (4) The names of retired practice owners, partners, employed or independent staff may only be kept on the letterhead if their retirement is made clear.

Section Three **Special duties with regard to accepting, handling and terminating instructions**

§ 11 Handling of cases and informing the client

- (1) The Rechtsanwalt has the duty to work on a case in a timely manner and shall inform his/her client promptly about any events and measures taken which are relevant to the progress of the matter. In particular, the client shall be informed about any important documents received or sent.
- (2) Client inquiries shall be answered promptly.

§ 12 Avoiding the opposing counsel

- (1) The Rechtsanwalt must not contact or negotiate with another party directly, without prior consent of that party's Rechtsanwalt.
- (2) This/her does not apply in case of imminent danger. In such a case the Rechtsanwalt of the other party shall be informed immediately; copies of written communications shall be sent to him immediately.

§ 13 (annulled)²

§ 14 Service of documents

The Rechtsanwalt shall accept documents properly sent by courts, authorities and lawyers and notify the receipt thereof immediately, indicating the date on the certificate attesting the receipt. If the Rechtsanwalt refuses to assist the service of a document that does not fulfil the formal conditions of service, he shall notify the sender immediately.

§ 15 Change of instructions

- (1) The Rechtsanwalt who takes over a case previously dealt with by another Rechtsanwalt shall ensure that the latter is informed about this/her take-over immediately.
- (2) The Rechtsanwalt who accepts instructions for a case already handled by another Rechtsanwalt shall inform the latter thereof immediately.

² Annulled by a decision of the BVerfG of 14 December 1999, Federal Law Gazette 2000 I, 54 = BRAK-Mitt. 2000, 36

(3) Paragraphs (1) and (2) do not apply if the Rechtsanwalt only provides advice.

§ 16 Legal aid and legal advice aid

(1) The Rechtsanwalt has the duty to inform his/her client about the availability of legal aid and legal advice aid where there is a justified reason to do so.

(2) If legal aid is granted or legal advice aid is used, the Rechtsanwalt may only accept any kind of payment from his/her client or third parties if it is made voluntarily and provided that the client or the third party know that they are not obliged to make such payments.

§ 16a Refusal of legal advice aid

(1) *(annulled)*

(2) The Rechtsanwalt is under no obligation to apply for legal advice aid.

(3) The Rechtsanwalt may refuse or terminate legal advice aid in a particular case for an important reason. An important reason may lie in the person of the Rechtsanwalt or in the person or the conduct of the client. An important reason may also be the fact that the approval of legal advice aid does not comply with the conditions set out in the Legal Advice Aid Act (*Beratungshilfegesetz*). An important reason exists, in particular, if:

- a) the Rechtsanwalt is prevented from providing advice/representing a client because of illness or an excessive workload;
- b) *(annulled)*
- c) the client who is entitled to legal advice aid refuses the cooperation necessary to work on the case;
- d) the relationship of mutual trust between the Rechtsanwalt and the client is seriously disturbed for reasons related to the client as a person or because of the client's conduct;
- e) it turns out that the client's income and/or assets do not justify the granting of legal advice aid;
- f) *(annulled)*
- g) *(annulled)*

§ 17 Retention of reference files

A Rechtsanwalt who refuses to hand over reference files (§ 50(3), (4) Federal Lawyers' Act) can still satisfy his/her client's legitimate interest in the release of such files by providing him with copies thereof, unless his/her client has a particular interest in the originals. In this/her case the Rechtsanwalt may offer to give the originals in trust to another Rechtsanwalt instructed by the client, if this/her satisfies the legitimate interest of the client.

§ 18 Conciliation, arbitration and mediation

If the Rechtsanwalt acts as a conciliator, arbitrator or mediator, he is subject to the rules of professional law.

Section Four Special duties regarding the courts and authorities

§ 19 Inspection of files

- (1) A Rechtsanwalt who receives original documents from the courts and authorities for inspection must only hand them over to his/her office staff. This/her also applies to the file as a whole when it is handled within the Rechtsanwalt's office. The documents shall be stored with great care and must be returned immediately. When they are photocopied or duplicated in any other way, it shall be ensured that unauthorised persons do not obtain knowledge of them.
- (2) Photocopies and duplicates may be handed over to the client. However, where legal provisions or a legitimate order issued by the body giving out the files limit the right to inspect the files, the Rechtsanwalt shall respect these provisions when transmitting the file's contents to clients or any other persons.

§ 20 Professional attire

Where this/her is customary, the Rechtsanwalt wears a robe when appearing in court. There is no professional duty regarding the appearance in a robe before a civil *Amtsgericht* (local District Court).

Section Five Special duties with regard to fee agreements and billing

§ 21 Remuneration agreements

- (1) The prohibition to charge or agree upon fees that are less than the legally prescribed fees also applies to relations with third parties which pay the fees instead of or together with the client, or who have committed themselves vis-à-vis the client to exempt the client from all accruing charges.
- (2) *(annulled)*³.

§ 22 Fee sharing

In terms of § 49b(3), sentences 2 and 3 Federal Lawyers' Act, adequate remuneration usually means fees split into equal amounts regardless of whether they are reimbursable or not.

§ 23 Billing

Upon termination of a retainer, at the latest, the Rechtsanwalt shall promptly draw up a statement for the client and/or the party liable to pay the fees within the meaning of § 21, listing fees paid in advance and shall pay out the credit balance calculated by him.

³ Annulled by a decision of the Federal Ministry of Justice of 7 March 1997, Federal Gazette of 8 March 1997 = BRAK-Mitt. 1997, 81.

Section Six
Special duties with regard to
the Bar, its members and staff

§ 24 (annulled)

§ 25 Complaints about colleagues

If a Rechtsanwalt wishes to draw a colleague's attention to the fact that he is violating a professional duty, this/her must be done confidentially, unless the client's or the Rechtsanwalt's interests call for a different kind of response.

§ 26 Employment of Rechtsanwälte and other staff

(1) Rechtsanwälte must only be employed on appropriate terms. Appropriate terms are conditions which:

- a) allow adequate case work, taking into consideration the employed Rechtsanwalt's experience and the liability risk of the employer,
- b) ensure a remuneration of the employed Rechtsanwalt which is commensurate with his/her qualification, performance and scope of activity as well as the advantages resulting from this/her activity for the employing Rechtsanwalt,
- c) allow the employed Rechtsanwalt to, upon request, dedicate an adequate amount of time to further training,
- d) provide for adequate compensation payments where a prohibition of competition has been agreed.

(2) The Rechtsanwalt must not employ other staff and apprentices on inappropriate terms.

§ 27 Participation of third parties

Third parties who do not co-operate with a Rechtsanwalt on the basis of a joint exercise of the profession must not participate in the economic result of legal activity. This/her does not apply to staff remuneration, pensions and related benefits, payments made for the take-over of a firm and payments which are made in the course of the settlement of a professional co-operation.

§ 28 Apprenticeships

The Rechtsanwalt shall ensure that the activities of an apprentice undergoing training in his/her firm are geared towards the accomplishment of the educational goal.

Section Seven
Special duties with regard to
cross-border activities

§ 29 (annulled)

§ 29a Correspondence between lawyers in cross-border legal transactions

The Rechtsanwalt has a duty, after having consulted his/her client, to reply to the question asked by a foreign lawyer as to whether he can exchange information or communicate “confidentially” vis-à-vis his/her client, or “without prejudice” (i.e. excluding use against the foreign lawyer or his/her client at a later stage).

§ 29b Calling in a foreign lawyer

Where a Rechtsanwalt calls in a foreign lawyer, the Rechtsanwalt must inform that lawyer of any indisposition to take on himself an obligation or liability for the fees, costs and expenses incurred by the foreign lawyer, which may result from his/her involvement/engagement.

Section Eight Special duties with regard to professional co-operation

§ 30 Validity of the Rules of Professional Practice in professional co-operation

In any kind of professional co-operation, every Rechtsanwalt shall ensure that the provisions of the present Rules of Professional Practice are also respected by the organisation as a whole.

§ 31 Measures for compliance with professional law

- (1) Professional practice companies shall continuously identify and assess their specific risks of violations of professional law, in particular those arising from their composition and organizational structure, their fields of activity and their cases.
- (2) Based on the risk analysis pursuant to paragraph 1, professional practice companies shall take appropriate measures to ensure that violations of professional law are prevented or at least identified and remedied at an early stage. Suitable measures may include in particular
 - the appointment of a professional law officer;
 - training in professional law;
 - electronic systems to prevent conflicts of interest;
 - electronic monitoring of escrow accounts to ensure compliance with the obligations under § 4 of the Rules of Professional Practice;
 - an internal reporting unit for complaints relating to professional law.
- (3) In professional practice companies with regularly more than 10 Rechtsanwälte or other members of a profession referred to in § 59c (1) sentence 1 of the Federal Lawyers' Act, the risk analysis pursuant to (1) and the measures taken pursuant to (2) shall be documented; the documentation shall be updated every two years at the latest.

§ 32 Termination of joint professional practice

- (1) In the event of dissolution of a professional practice company and in the absence of other contractual arrangements, the shareholders shall ask each client who they wish to handle current matters in the future. If the former shareholders do not agree on how to put this/her question to the clients, they shall issue a joint circular letter. If the former shareholders cannot agree on such a letter, each of the shareholders may obtain the decision of the

clients individually. The outgoing shareholder may affix a note concerning his/her move at the former seat of the firm and on the firm's website for the period of one year. During this/her period, the remaining shareholder shall answer any inquiries as to the new address, telephone and fax numbers of the outgoing shareholder.

- (2) In the event of a shareholder leaving a professional practice company, paragraph (1) applies to those clients whose current matters the outgoing shareholder was handling at the time of his/her withdrawal or for whom he acted regularly prior to his/her departure. His/her right to inform all clients about his/her leaving the professional practice company remains unaffected.
- (3) Paragraph (1) and (2) apply *mutatis mutandis* to the termination of any other form of professional co-operation if it has acted like a professional practice company vis-à-vis third parties.

§ 33 (annulled)⁴

Section Nine Field of application

§ 34 Other members of the Bar, foreign lawyers

- (1) As far as European lawyers as defined in § 1 et seq. of the Law regulating the activity of European lawyers in Germany (EuRAG) and their activity in the Federal Republic of Germany are concerned, § 1 to § 33 and annexes apply *mutatis mutandis*.
- (2) European lawyers pursuing a temporary activity in the Federal Republic of Germany in accordance with § 25 et seq. EuRAG, are subject to the provisions of § 1 to § 33 which apply in accordance with § 27 EuRAG and *mutatis mutandis*.
- (3) Regarding lawyers from other States who are members of a Bar as defined in § 206 and § 207 Federal Lawyers' Act, § 1 to § 33 and annexes apply *mutatis mutandis* as far as their activity in the Federal Republic of Germany is concerned.
- (4) Lawyers who are members of a Bar in accordance with § 209 of the Federal Lawyers' Act, are subject to § 2 to § 19, § 21 to § 33 and annexes, which apply *mutatis mutandis*.

Part Three Final provisions

§ 35 Entry into force and signature

- (1) The present Rules of Professional Practice enter into force three months after transmission to the Federal Ministry of Justice, provided the Federal Ministry of Justice does not annul the Rules of Professional Practice in part or as a whole, but not before the first day of the third month following their publication in the *BRAK-Mitteilungen*.
- (2) The day of entry into force shall be published in the *BRAK-Mitteilungen*.
- (3) The Rules of Professional Practice shall be signed by the Chairman and the Secretary of the *Satzungsversammlung* (the parliament of the legal profession).

⁴ Former § 33 of the Professional Practice Rules has become § 30.