

UNITED STATES OF AMERICA
BEFORE THE FEDERAL TRADE COMMISSION
OFFICE OF ADMINISTRATIVE LAW JUDGES



_____)	
In the Matter of)	PUBLIC
)	
THE NORTH CAROLINA [STATE] BOARD)	DOCKET NO. 9343
OF DENTAL EXAMINERS,)	
)	
Respondent.)	
_____)	

**MOTION TO STRIKE FROM THE RECORD
THE AFFIDAVITS OF MICHAEL J. BLOOM
AND TEJASVI SRIMUSHNAM**

Pursuant to FTC Rule 3.22(a), Respondent, the North Carolina State Board of Dental Examiners (the “State Board” or “Respondent”), hereby moves the Administrative Law Judge (“ALJ”) to strike from the record the Affidavits of Michael J. Bloom and Tejasvi Srimushnam (the “Affidavits”) and all references in Complaint Counsel’s Reply to Respondent’s Post Trial Proposed Findings of Fact and Conclusions of Law (“Reply to Respondent’s Proposed Findings”) to the Affidavits. These Affidavits were filed with Complaint Counsel’s Reply Findings on May 5, 2011. Respondent moves to strike these Affidavits because they improperly seek to introduce evidence to the record to contradict the testimony of one of Respondent’s witnesses following the closure of the record ordered by the ALJ.

In support of this motion, Respondent states as follows:

1. The ALJ ordered the record closed on March 30, 2011.
2. On May 5, 2011, Complaint Counsel filed its Reply to Respondent’s Proposed Findings. Complaint Counsel submitted with its Reply the Affidavits, which

purport to contradict the testimony of Mr. Runsick that was given at the hearing before the ALJ. These Affidavits were made “based upon [the] personal knowledge” of Mr. Bloom and Mr. Srimushnam in their capacity as attorneys participating in this matter on behalf of Counsel in Support of the Complaint.

3. Complaint Counsel’s submission of these Affidavits is improper because they were submitted after the close of the record on March 30, 2011. Complaint Counsel had an opportunity to rebut Mr. Runsick’s testimony at trial and, indeed, conducted a thorough cross-examination of him. Complaint Counsel waived its right to present any further rebuttal evidence on the record.

4. The submission of these Affidavits is also improper because Complaint Counsel provides these Affidavits based on the personal knowledge of attorneys participating in this matter and signed “under penalty of perjury” in order to contradict the testimony of a witness in this proceeding. This conduct violates the advocate-witness rule, “which articulates the professional impropriety of assuming the dual role of advocate and witness in a single proceeding, [and] has deep roots in American law.” *U.S. v. Johnston*, 690 F.2d 638, 642 (7th Cir. 1982) (noting the inconsistency of the roles of advocate and witness). “[T]radition, as well as the ethics of our profession, generally instruct counsel to avoid the risks associated with participating as both advocate and witness in the same proceeding.” *Kalina v. Fletcher*, 522 U.S. 118 (U.S. 1997) (holding that attorney who signed document “under penalty of perjury” improperly performed function of giving sworn testimony as a witness).

5. Respondent’s Counsel has conferred with Complaint Counsel in a good-faith effort to resolve by agreement the issues raised by this Motion.

WHEREFORE, Respondent requests that the Affidavits of Michael J. Bloom and Tejasvi Srimushnam and all references to them in Complaint Counsel's Reply to Respondent's Post Trial Proposed Findings of Fact and Conclusions of Law be stricken from the record in this Matter.

This the 30th day of June, 2011.

ALLEN AND PINNIX, P.A.

/s/ M. Jackson Nichols

By: _____

Noel L. Allen
Alfred P. Carlton, Jr.
M. Jackson Nichols
Attorneys for Respondent
Post Office Drawer 1270
Raleigh, North Carolina 27602
Telephone: 919-755-0505
Facsimile: 919-829-8098
Email: mjn@allen-pinnix.com

CERTIFICATE OF SERVICE

I hereby certify that on June 30, 2011, I electronically filed the foregoing with the Federal Trade Commission using the FTC E-file system, which will send notification of such filing to the following:

Donald S. Clark, Secretary
Federal Trade Commission
600 Pennsylvania Avenue, N.W.
Room H-113
Washington, D.C. 20580

I hereby certify that the undersigned has this date served copies of the foregoing upon all parties to this cause by electronic mail as follows:

William L. Lanning
Bureau of Competition
Federal Trade Commission
600 Pennsylvania Avenue, N.W.
Room NJ-6264
Washington, D.C. 20580
wlanning@ftc.gov

Steven L. Osnowitz
Bureau of Competition
Federal Trade Commission
600 Pennsylvania Avenue, N.W.
Room NJ-6264
Washington, D.C. 20580
sosnowitz@ftc.gov

Melissa Westman-Cherry
Bureau of Competition
Federal Trade Commission
600 Pennsylvania Avenue, N.W.
Room NJ-6264
Washington, D.C. 20580
westman@ftc.gov

Tejasvi Srimushnam
Bureau of Competition
Federal Trade Commission
600 Pennsylvania Avenue, N.W.
Room NJ-6264
Washington, D.C. 20580
tsrimushnam@ftc.gov

Michael J. Bloom
Bureau of Competition
Federal Trade Commission
600 Pennsylvania Avenue, N.W.
Room NJ-7122
Washington, D.C. 20580
mjbloom@ftc.gov

Richard B. Dagen
Bureau of Competition
Federal Trade Commission
600 Pennsylvania Avenue, N.W.
Room NJ-6264
Washington, D.C. 20580
rdagen@ftc.gov

Michael D. Bergman
Federal Trade Commission
600 Pennsylvania Avenue, N.W.
Room H-582
Washington, D.C. 20580
mbergman@ftc.gov

Geoffrey Green
Federal Trade Commission
601 New Jersey Avenue, N.W.
Washington, DC 20001
ggreen@ftc.gov

Laurel Price
Federal Trade Commission
600 Pennsylvania Avenue, N.W.
Room NJ-6264
Washington, DC 20580
lprice@ftc.gov

Michael Turner
Federal Trade Commission
600 Pennsylvania Avenue, N.W.
Room NJ-6264
Washington, DC 20580
mturner@ftc.gov

I also certify that I have sent courtesy copies of the document via Federal Express and electronic mail to:

The Honorable D. Michael Chappell
Administrative Law Judge
Federal Trade Commission
600 Pennsylvania Avenue N.W.
Room H-110
Washington, D.C. 20580
oalj@ftc.gov

This the 30th day of June, 2011.

/s/ M. Jackson Nichols

M. Jackson Nichols

CERTIFICATION FOR ELECTRONIC FILING

I further certify that the electronic copy sent to the Secretary of the Commission is a true and correct copy of the paper original and that I possess a paper original of the signed document that is available for review by the parties and by the adjudicator.

/s/ M. Jackson Nichols

M. Jackson Nichols.

**UNITED STATES OF AMERICA
BEFORE THE FEDERAL TRADE COMMISSION
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In the Matter of)	
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THE NORTH CAROLINA [STATE] BOARD OF DENTAL EXAMINERS,)	
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**PROPOSED ORDER ON MOTION TO STRIKE AFFIDAVITS OF
MICHAEL J. BLOOM AND TEJASVI SRIMUSHNAM
FROM THE RECORD**

Upon the motion of the Respondent to strike the Affidavits of Michael J. Bloom and Tejasvi Srimushnam and all references to them in Complaint Counsel’s Reply to Respondent’s Post Trial Proposed Findings of Fact and Conclusions of Law in this matter, the undersigned hereby orders that the Affidavits and all references to the Affidavits in Complaint Counsel’s Reply to Respondent’s Post Trial Proposed Findings of Fact and Conclusions of Law be stricken.

ORDERED:

D. Michael Chappell
Chief Administrative Law Judge

Dated: July __, 2011