

→ 教程影印系列(Coursebook Series) ←

审判证据

Trial Evidence

[美] 托马斯·A·马沃特 (Thomas A. Mauet) / 著
沃伦·D·沃尔夫森 (Warren D. Wolfson)

第二版



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总 序

吴志攀

加入世界贸易组织表明我国经济发展进入了一个新的发展时代——一个国际化商业时代。商业与法律的人才流动将全球化，评介人才标准将国际化，教育必须与世界发展同步。商业社会早已被马克思描绘成为一架复杂与精巧的机器，维持这架机器运行的是法律。法律不仅仅是关于道德与公理的原则，也不单单是说理论道的公平教义，还是具有可操作性的精细的具体专业技术。像医学专业一样，这些专业知识与经验是从无数的案例实践积累而成的。这些经验与知识体现在法学院的教材里。中信出版社出版的这套美国法学院教材为读者展现了这一点。

教育部早在2001年1月2日下发的《关于加强高等学校本科教学工作提高教学质量的若干意见》中指出：“为适应经济全球化和科技革命的挑战，本科教育要创造条件使用英语等外语进行公共课和专业课教学。对高新技术领域的生物技术、信息技术等专业，以及为适应我国加入WTO后需要的金融、法律等专业，更要先行一步，力争三年内，外语教学课程达到所开课程的5%~10%。暂不具备直接用外语讲授条件的学校、专业，可以对部分课程先实行外语教材、中文授课，分步到位。”

引进优质教育资源，快速传播新课程，学习和借鉴发达国家的成功教学经验，大胆改革现有的教科书模式成为当务之急。

按照我国法学教育发展的要求，中信出版社与外国出版公司合作，瞄准国际法律的高水平，从高端入手，大规模引进畅销外国法学院的外版法律教材，以使法学院学生尽快了解各国的法律制度，尤其是欧美等经济发达国家的法律体系及法律制度，熟悉国际公约与惯例，培养处理国际事务的能力。

此次中信出版社引进的是美国ASPEN出版公司出版的供美国法学院使用的主流法学教材及其配套教学参考书，作者均为富有经验的知名教授，其中不乏国际学术权威或著名诉讼专家，历经数十年课堂教学的锤炼，颇受法学院学生的欢迎，并得到律师实务界的认可。它们包括诉讼法、合同法、公司法、侵权法、宪法、财产法、证券法等诸多法律部门，以系列图书的形式全面介绍了美国法律的基本概况。

这次大规模引进的美国法律教材包括：

伊曼纽尔法律精要 (Emanuel Law Outlines) 美国哈佛、耶鲁等著名大学法学院广泛采用的主流课程教学用书，是快捷了解美国法律的最佳读本。作者均为美国名牌大学权威教授。其特点是：内容精炼，语言深入浅出，独具特色。在前言中作者以其丰富的教学经验制定了切实可行的学习步骤和方法。概要部分提纲挈领，浓缩精华。每章精心设计了简答题供自我检测。对与该法有关的众多考题综合分析，归纳考试要点和难点。

案例与解析 (Examples and Explanations) 由美国最权威、最富有经验的教授所著，这套丛书历

经不断的修改、增订，吸收了最新的资料，经受了美国成熟市场的考验，读者日众。这次推出的是最新版本，在前几版的基础上精益求精，补充了最新的联邦规则，案例也是选用当今人们所密切关注的问题，有很强的时代感。该丛书强调法律在具体案件中的运用，避免了我国教育只灌输法律的理念与规定，而忽视实际解决问题的能力培养。该丛书以简洁生动的语言阐述了美国的基本法律制度，可准确快捷地了解美国法律的精髓。精心选取的案例，详尽到位的解析，使读者读后对同一问题均有清晰的思路，透彻的理解，能举一反三，灵活运用。该丛书匠心独具之处在于文字与图表、图例穿插，有助于理解与记忆。

案例教程系列 (Casebook Series) 覆盖了美国法学校院的主流课程，是学习美国法律的代表性图书，美国著名的哈佛、耶鲁等大学的法学院普遍采用这套教材，在法学专家和学生中拥有极高的声誉。本丛书所选的均为重要案例，其中很多案例有重要历史意义。书中摘录案例的重点部分，包括事实、法官的推理、作出判决的依据。不仅使读者快速掌握案例要点，而且省去繁琐的检索和查阅原案例的时间。书中还收录有成文法和相关资料，对国内不具备查阅美国原始资料条件的读者来说，本套书更是不可或缺的学习参考书。这套丛书充分体现了美国法学教育以案例教学为主的特点，以法院判例作为教学内容，采用苏格拉底式的问答方法，在课堂上学生充分参与讨论。这就要求学生不仅要了解专题法律知识，而且要理解法律判决书。本套丛书结合案例设计的大量思考题，对提高学生理解概念、提高分析和解决问题的能力，非常有益。本书及时补充出版最新的案例和法规汇编，保持四年修订一次的惯例，增补最新案例和最新学术研究成果，保证教材与时代发展同步。本丛书还有配套的教师手册，方便教师备课。

案例举要 (Casenote Legal Briefs) 美国最近三十年最畅销的法律教材的配套辅导读物。其中的每本书都是相关教材中的案例摘要和精辟讲解。该丛书内容简明扼要，条理清晰，结构科学，便于学生课前预习、课堂讨论、课后复习和准备考试。

除此之外，中信出版社还将推出教程系列、法律文书写作系列等美国法学教材的影印本。

美国法律以判例法为其主要的法律渊源，法律规范机动灵活，随着时代的变迁而对不合时宜的法律规则进行及时改进，以反映最新的时代特征；美国的法律教育同样贯穿了美国法律灵活的特性，采用大量的案例教学，启发学生的逻辑思维，提高其应用法律原则的能力。

从历史上看，我国的法律体系更多地受大陆法系的影响，法律渊源主要是成文法。在法学教育上，与国外法学教科书注重现实问题研究，注重培养学生分析和解决问题的能力相比，我国基本上采用理论教学为主，而用案例教学来解析法理则显得薄弱，在培养学生的创新精神和实践能力方面也做得不够。将美国的主流法学教材和权威的法律专业用书影印出版，就是试图让法律工作者通过原汁原味的外版书的学习，开阔眼界，取长补短，提升自己的专业水平，培养学生操作法律实际动手能力，特别是使我们的学生培养起对法律的精细化、具体化和操作化能力。

需要指出的是，影印出版美国的法学教材，并不是要不加取舍地全盘接收，我们只是希望呈现给读者一部完整的著作，让读者去评判。“取其精华去其糟粕”是我们民族对待外来文化的原则，我们相信读者的分辨能力。

是为序。

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PREFACE

Why *Trial Evidence*? The present legal landscape has numerous evidence hornbooks and treatises, many of which are authoritative and long-standing. What are the gaps in the existing literature that this book seeks to fill?

This book is different from existing ones in several ways. First, it reflects the way judges and trial lawyers in the real world of trials think, or should think, about evidence, using the “three Rs” — relevant, reliable, and right — as its analytical framework. Second, it is structured around the sequential components of a trial — beginning with opening statements and ending with closing arguments — rather than the numerical structure of the Federal Rules of Evidence. Third, it allocates space according to how important the topic is to judges and trial lawyers in the real world of trials, rather than according to the interest level of academicians. For example, party admissions and business records are important topics to trial lawyers, judicial notice and presumptions less so, and the book reflects these realities. Fourth, and most important, the book bridges the gap between evidence as an academic subject in the classroom and evidence as a functional tool in the courtroom. It shows where the evidence Rules are commonly used in the real world of trials and how the effective trial lawyer uses them to persuade the judge deciding evidentiary issues.

This book does not claim to do some things. It does not approach evidence from a historical development, social policy, or comparative law perspective. It is neither a critical analysis of the existing rules nor a critique of interpretative case law. It accepts the present evidence rules, the ones lawyers and judges deal with on a daily basis, and analyzes them functionally. It shows how those rules apply in the daily life of the courtroom and how a lawyer can and should use the law as a functional tool to persuade the judge making the evidentiary rulings.

We have not attempted to duplicate the research done by the leading treatises. Instead, we rely on them. The book is principally footnoted to McCormick on Evidence, Weinstein's Federal Evidence, and Wigmore on Evidence, the three leading treatises on evidence, and to *Evidence: Practice Under the Rules*, by Mueller and Kirkpatrick, which is quickly joining the others. The citations to these treatises will be much more useful than individual case citations in researching evidentiary issues that arise.

The chapters in the book have law and practice sections. The law sections contain functional overviews of the Federal Rules of Evidence, footnoted to the major treatises. We have relied on these and other trea-

tises as well as the Advisory Committee's Notes. The practice sections contain realistic examples, in commonly recurring fact settings, of how particular rules are used before and during trials, how lawyers should (and sometimes fail to) make proper evidentiary objections, and how judges make rulings. These examples are based on actual federal and state cases. The examples get into the mind of the judge by noting the judge's thoughts, concerns, and reasoning when ruling on objections. We believe this approach is what inexperienced trial lawyers need to learn when bridging the gap between evidence rules as academic subjects and evidence rules as courtroom tools.

Why us? Each of us has been a trial lawyer, professor, and judge. Collectively we have over 25 years of experience as trial lawyers, over 50 years as professors teaching and writing about evidence and trial advocacy, and over 25 years as civil and criminal trial judges. During these years, we have noted a disturbing, recurring fact: Many lawyers, while "knowing" evidence rules, are less capable of using those rules as functional tools to persuade trial judges to rule in their favor. Since we have lived in both the world of academe and the world of trials, we hope that our collective experiences will be useful to those who will, and those who do, use the Federal Rules of Evidence or their state counterparts on a regular basis in the courtroom.

Throughout the book, we have used masculine pronouns to refer to the judges and lawyers. We did this for the sake of simplicity and consistency, and for no other reason.

A book is always the result of more than the efforts of its authors. Our spouses, Gloria Torres Mauet and Laretta Higgins Wolfson, have been patient supporters of this effort from its inception. They are both trial lawyers, and their thoughtful suggestions have influenced the book in numerous ways. To our students and staff who have worked with us, we say thanks.

We have made additions and changes in this Second Edition. The most obvious is that the text now has an accompanying problem disk contained on the inside back cover. The disk contains nearly 300 problems and exists independently of the book. These problems are based either on reported appellate decisions or on issues we have encountered personally as trial lawyers and judges. We believe evidence problems should raise issues that actually occur in the trial courtroom. This problem disk, intended for law students as well as practicing lawyers, is the product of our belief. The research efforts of University of Arizona College of Law students Amy Thorson and Eric Clingan helped us create the problem disk.

Second, we have extensively revised Chapter IX, Direct Examination of Experts, to incorporate the Supreme Court decisions in *Daubert*, *Joiner*, and *Kumho Tire*, along with amendments to Rules 701, 702, and 703 of the Federal Rules of Evidence, which became effective on December 1, 2000. The law on expert witnesses has changed rapidly in the past decade, and the chapter incorporates and analyzes these changes.

Third, the text incorporates the other new amendments to the Federal Rules of Evidence — Rules 103, 404(a), 803(6), and 902 — as well

as other recent court decisions. In addition, we have made numerous changes in the text reflecting our experience, and that of others, in using the text.

We hope you will find the additions in this Second Edition valuable.

Thomas A. Mauet
Tucson, Arizona

Warren D. Wolfson
Chicago, Illinois

January 2001

CITATIONS

For ease in citing, the text uses the following abbreviated citations:

McCormick

McCormick on Evidence, John William Strong, General Editor (5th ed.,
Practitioner Treatise Series, 1999)

Mueller & Kirkpatrick

Evidence: Practice Under the Rules, Christopher B. Mueller & Laird C.
Kirkpatrick (2d ed. 1999)

Weinstein

Weinstein's Federal Evidence, Joseph M. McLaughlin, General Editor
(2d ed. 2000)

Wigmore

Wigmore on Evidence, John Henry Wigmore (Tillers rev. 1983)

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SUMMARY OF CONTENTS

<i>Contents</i>	XI
<i>Preface</i>	XXI
<i>Citations</i>	XXV
I. AN ADVOCACY APPROACH TO TRIAL EVIDENCE	1
II. THE ROLE AND POWER OF THE TRIAL JUDGE: EVIDENTIARY OBJECTIONS BEFORE AND DURING TRIAL	9
III. OPENING STATEMENTS	27
IV. DIRECT EXAMINATION OF WITNESSES: BASIC CONSIDERATIONS	43
V. DIRECT EXAMINATION OF WITNESSES: RELEVANCE	79
VI. DIRECT EXAMINATION OF WITNESSES: HEARSAY AND NON-HEARSAY	129
VII. DIRECT EXAMINATION OF WITNESSES: HEARSAY EXCEPTIONS	169
VIII. DIRECT EXAMINATION OF WITNESSES: POLICY EXCLUSIONS AND PRIVILEGES	245
IX. DIRECT EXAMINATION OF EXPERTS	281
X. EXHIBITS	313
XI. JUDICIAL NOTICE AND PRESUMPTIONS	355
XII. CROSS-EXAMINATION AND IMPEACHMENT OF LAY AND EXPERT WITNESSES	365
XIII. REDIRECT, RECROSS, REBUTTAL, AND SURREBUTTAL	423
XIV. CLOSING ARGUMENTS	439
Appendix FEDERAL RULES OF EVIDENCE	463
Index	495

CONTENTS

<i>Preface</i>	XXI
<i>Citations</i>	XXV

I. AN ADVOCACY APPROACH TO TRIAL EVIDENCE 1

§1.1.	Introduction	1
§1.2.	The three "Rs"	2
	1. Relevance	2
	2. Reliability	3
	3. Rightness	3
§1.3.	Using the three "Rs"	5
§1.4.	Conclusion	7

II. THE ROLE AND POWER OF THE TRIAL JUDGE: EVIDENTIARY OBJECTIONS BEFORE AND DURING TRIAL 9

§2.1.	Introduction	9
§2.2.	Sources of judicial power	10
	1. FRE 102	10
	2. FRE 611	10
	3. FRE 614	12
§2.3.	Sources of judicial procedure	13
	1. FRE 104	15
	2. FRE 103	19
	3. FRE 105	20
§2.4.	Raising and meeting objections	22

III. OPENING STATEMENTS 27

§3.1.	Introduction	27
§3.2.	Mentioning inadmissible evidence	30
	1. Law	30
	2. Practice	31
§3.3.	Mentioning unprovable evidence	33
	1. Law	33
	2. Practice	33

§3.4.	Arguing	34
1.	Law	34
2.	Practice	35
§3.5.	Stating personal opinions	36
1.	Law	36
2.	Practice	37
§3.6.	Discussing law	38
1.	Law	38
2.	Practice	38
§3.7.	Mentioning the opponent's case	39
1.	Law	39
2.	Practice	40

IV. DIRECT EXAMINATION OF WITNESSES: BASIC CONSIDERATIONS 43

§4.1.	Introduction	43
§4.2.	Witness competency (FRE 601)	43
1.	Law	43
2.	Practice	45
§4.3.	Oath or affirmation (FRE 603)	47
1.	Law	47
2.	Practice	47
§4.4.	Improper witnesses (FRE 605, 606)	48
1.	Law	48
2.	Practice	51
§4.5.	Who may call witnesses (FRE 614)	53
1.	Law	53
2.	Practice	54
§4.6.	Excluding witnesses (FRE 615)	55
1.	Law	55
2.	Practice	56
§4.7.	Personal knowledge and opinions (FRE 602, 701)	58
1.	Law	58
2.	Practice	62
§4.8.	Impeaching own witnesses (FRE 607)	64
1.	Law	64
2.	Practice	66
§4.9.	Leading questions (FRE 611(c))	67
1.	Law	67
2.	Practice	69
§4.10.	Other form objections	70
1.	Law	70
2.	Practice	72
§4.11.	Refreshing recollection and recorded recollection (FRE 612, 803(5))	73
1.	Law	73
2.	Practice	76

V.	DIRECT EXAMINATION OF WITNESSES: RELEVANCE	79
§5.1.	Introduction	79
§5.2.	General relevance	79
1.	Law	79
a.	FRE 401-402	80
i.	What are the matters in issue in the case?	80
ii.	Is the evidence probative of a matter in issue in the case?	81
b.	FRE 403	83
2.	Practice	85
§5.3.	Special relevancy rules	89
1.	Character traits (FRE 404, 405)	89
a.	Law	89
i.	"Essential element" rule	90
ii.	"Circumstantial evidence" rule	93
b.	Practice	97
2.	Other crimes, wrongs, and acts (FRE 404(b))	102
a.	Law	102
b.	Practice	108
3.	Similar incidents evidence	113
a.	Law	113
b.	Practice	115
4.	Other acts evidence in sexual assault cases (FRE 412-415)	117
a.	Law	117
b.	FRE 412	120
c.	FRE 413-415	121
d.	Practice	123
5.	Habit and routine practice (FRE 406)	123
a.	Law	123
b.	Practice	125
VI.	DIRECT EXAMINATION OF WITNESSES: HEARSAY AND NON-HEARSAY	129
§6.1.	Introduction	129
§6.2.	The hearsay rules	131
1.	A "statement"	131
2.	"Other than one made by the declarant while testifying at the trial or hearing"	133
3.	"Offered in evidence to prove the truth of the matter asserted"	133
§6.3.	Non-hearsay	135
1.	Law	135
a.	Independent legal significance	136
b.	Impeachment	138
c.	Effect on listener's state of mind	138
2.	Practice	140

§6.4.	Prior statement by witness (FRE 801(d)(1))	146
1.	Law	146
a.	Prior inconsistent statements made under oath used for impeachment	146
b.	Prior consistent statements used to rebut a charge of recent fabrication or of improper influence or motive	148
c.	A statement of identification of a person	150
2.	Practice	151
§6.5.	Admission by party-opponent (FRE 801(d)(2))	155
1.	Law	155
a.	A party's own admission	157
b.	Adoptive admissions	157
c.	Admissions by authorized persons, agents, and employees	158
d.	Co-conspirator statements	160
2.	Practice	162
VII.	DIRECT EXAMINATION OF WITNESSES: HEARSAY EXCEPTIONS	169
§7.1.	Introduction	169
1.	Hearsay exceptions rationale	170
2.	The FRE 803 exceptions	171
3.	The FRE 804 exceptions	172
4.	The Sixth Amendment Confrontation Clause	175
5.	Organizing hearsay exceptions	176
§7.2.	Present sense impressions (FRE 803(1))	177
1.	Law	177
2.	Practice	179
§7.3.	Excited utterances (FRE 803(2))	180
1.	Law	180
2.	Practice	182
§7.4.	Then existing mental, emotional, or physical conditions (FRE 803(3))	184
1.	Law	184
2.	Practice	188
§7.5.	Statements for purpose of medical diagnosis or treatment (FRE 803(4))	190
1.	Law	190
2.	Practice	192
§7.6.	Statements under belief of impending death (FRE 804(b)(2))	194
1.	Law	194
2.	Practice	195
§7.7.	Former testimony (FRE 804(b)(1))	197
1.	Law	197
2.	Practice	200

§7.8.	Statements against interest (FRE 804(b)(3))	203
1.	Law	203
2.	Practice	208
§7.9.	Statements of personal or family history (FRE 804(b)(4))	210
1.	Law	210
2.	Practice	210
§7.10.	Business records (FRE 803(6), (7), 902(11), (12))	211
1.	Law	211
2.	Practice	218
§7.11.	Public records (FRE 803(8)-803(17))	219
1.	Law	219
2.	Practice	223
§7.12.	Recorded recollection (FRE 803(5))	224
1.	Law	224
2.	Practice	226
§7.13.	Reputation evidence (FRE 803(19)-803(21))	227
1.	Law	227
2.	Practice	229
§7.14.	Treatises (FRE 803(18))	230
1.	Law	230
2.	Practice	232
§7.15.	Residual or catchall exception (FRE 807)	233
1.	Law	233
a.	Trustworthiness	235
b.	Necessity	237
c.	Material fact	237
d.	Satisfy general purpose of Rules and interests of justice	237
e.	Notice	238
2.	Practice	239
§7.16.	Hearsay within hearsay (FRE 805)	239
1.	Law	239
2.	Practice	240
§7.17.	Attacking and supporting credibility of declarant (FRE 806)	241
1.	Law	241
2.	Practice	242
VIII.	DIRECT EXAMINATION OF WITNESSES: POLICY EXCLUSIONS AND PRIVILEGES	245
§8.1.	Introduction to policy exclusions	245
§8.2.	Subsequent remedial measures (FRE 407)	246
1.	Law	246
2.	Practice	248
§8.3.	Compromise and offers of compromise (FRE 408)	250
1.	Law	250
2.	Practice	252