

ORIGINAL

REVISED

OFFICIAL TRANSCRIPT  
PROCEEDINGS BEFORE

THE SUPREME COURT OF THE UNITED STATES

DKT/CASE NO. 85-5731

TITLE WILLIE DAVID BROWN, AKA WILL BROWN, Petitioner V.  
UNITED STATES

PLACE Washington, D. C.

DATE October 14, 1986

PAGES 1 thru 29



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1                    IN THE SUPREME COURT OF THE UNITED STATES

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3                    WILLIE DAVIS BROWN, AKA WILL                    ;

4                                       BROWN,                    ;

5                                                          Petitioner,                    ;

6                                                          v.                    ;                    No. 85-5731

7                    UNITED STATES                    ;

8                    - - - - -x

9                                                          Washington, D.C.

10                                                          Tuesday, October 14, 1986

11                                                          The above-entitled matter came on for oral  
12                    argument before the Supreme Court of the United States  
13                    at 1:43 o'clock p.m.

14                    APPEARANCES:

15                    FRED HADDAD, ESQ., Fort Lauderdale, Florida; on behalf  
16                    of the petitioner.

17                    WILLIAM C. BRYSON, ESQ., Deputy Solicitor General,  
18                    Department of Justice, Washington, D.C.; on behalf of  
19                    the respondent.

C O N T E N T S

ORAL ARGUMENT OF

PAGE

FRED HADDAD, ESQ.,

on behalf of the petitioner

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WILLIAM C. BRYSON, ESQ.,

on behalf of the respondent

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P R O C E E D I N G S

CHIEF JUSTICE REHNQUIST: We will hear arguments next in No. 85-5731, Willie Davis Brown, AKA Will Brown, Petitioner, versus the United States.

You may begin whenever you are ready, Mr. Haddad.

ORAL ARGUMENT OF FRED HADDAD, ESQ.,

ON BEHALF OF THE PETITIONER

MR. HADDAD: Thank you, Mr. Chief Justice, and may it please the Court, if I may, the Court has already heard argument somewhat on this issue. I would like to address the facts momentarily in the case in that I think it may have a bearing on what I would argue in response to what Justice Blackmun asked at the initial opening argument in Griffith.

In this case the defendant, a black man, was charged with a co-defendant, another black man, with violations of the conspiracy narcotics laws, and was put to trial in the United States District Court for the Western District of Oklahoma.

Five black people were called for the jury, three of which were excused for cause by the court, two of whom were excused by the prosecutor peremptorily, and there was an objection made, and the defendants or petitioner sought to -- a request of the trial judge for

1 the -- and a couple of additional challenges in an  
2 effort to seek some black members of the venire that  
3 were still available as well as an objection to the  
4 prosecutor's employment of his challenges to exclude  
5 black people who responded on voir dire in a manner  
6 sufficient to indicate that they could be fair in the  
7 case.

8 As it turned out during the second day of jury  
9 deliberation counsel were made aware that during a break  
10 between the first venire and the second venire the  
11 United States Attorney or Assistant United States  
12 Attorney, Mr. Richardson, had made a telephone call to  
13 the jury clerk asking her the composition of those who  
14 would be calling or coming and asking her not to bring  
15 any jurors, as he recalled it, or don't get any blacks  
16 on the jury, as she recalled it.

17 A hearing was then had during the -- excuse  
18 me. We had a hearing while the jury was deliberating,  
19 and at that hearing Mr. Richardson attested to the fact  
20 that he took into consideration that the defendants were  
21 black and that their lawyer was black, and that their  
22 lawyer was a prominent black member of the Oklahoma  
23 State Senate, and he intended to strike from the jury  
24 panel any person who indicated whether or not they --  
25 whether they knew Mr. Porter, who was my co-counsel at

1 the time, and that was -- I asked the question, did not  
2 that person that you excluded admit that she would be  
3 fair, not influenced by Senator Porter and so forth, and  
4 the answer was yes.

5 That brings us, I think, to the question that  
6 Justice Blackmun asked regarding the clear break. I  
7 would suggest to the Court that in my review of  
8 discrimination cases the only persons who have ever been  
9 afforded a presumption of validity on their conduct has  
10 been attorneys.

11 I think the Court offered to prosecutors both  
12 of the United States Government and of the state court  
13 that they, being lawyers, and being sworn to uphold the  
14 Constitution, would not employ their peremptory  
15 challenges in a manner that was different that that  
16 which was set out in Swain versus Alabama. That is that  
17 any peremptory challenge would be directed to matters  
18 related to trial as opposed to race.

19 And I think that is a distinction in this case  
20 that takes it out of the ambit of the rest of the  
21 retroactivity cases. I would note in many of these  
22 retroactivity cases the good faith of the persons  
23 involved comes to mind, particularly in United States  
24 against Peltier or Peltier.

25 The fact that the law may have not been -- may

1 have been overruled and Alameda Sanchez may not have  
2 been the proper law, people relied upon this law in good  
3 faith. I think what Batson recognizes is that in Swain  
4 versus Alabama the Court recognized, the lawyers, people  
5 who are sworn, and I don't mean to be melodramatic, to  
6 uphold the Constitution would in fact act in conformance  
7 with their oath.

8 After 20 years or 21 years of the evolution of  
9 trials, I think the Court in Batson realized that  
10 perhaps this is not the case in certain circumstances.  
11 The Court in Batson just said, if the appearance is  
12 there, we are not saying grant a new trial, we are not  
13 saying to anyone that you have to indulge in all these  
14 acts. What we are saying is, if the appearance of  
15 impropriety is there by articulable reasons offered by  
16 the defense counsel which the trial judge as the  
17 listener to voir dire can take unto himself, then he can  
18 request that the prosecutor offer a neutral basis or a  
19 monochromatic basis for the exercise of his challenges.

20 I think that was a decision that surely ought  
21 to have effect to cases pending on direct appeal. I  
22 don't think it was -- granted, it was a break in the  
23 rules, it was a clear break more than likely, but I  
24 think it was bottomed on a conception that that which  
25 should be right would have been done, and I think the

1 facts in the case before the Court in Brown illustrate  
2 that at least in times it has not been done.

3 The arguments in support of retroactivity as  
4 in the Harlan approach have been offered to the Court  
5 already. I don't want to repeat them and just unduly  
6 talk too much, but they have been set forth, and I think  
7 and I would suggest to the Court that the Harlan  
8 approach is the approach that ought to be taken as Chief  
9 Justice Rehnquist did in Shea, and just draw a bright  
10 line and say, cases pending on direct appeal receive the  
11 benefit of the case -- of the law at the time the case  
12 is decided.

13 QUESTION: The problem with getting the Court  
14 to ever adopt the Harlan approach is that we seldom have  
15 a case here in which both sides of the thing are  
16 involved.

17 That is, it would take an opinion of the  
18 Court, say, a holding in the technical sense that on  
19 habeas corpus there is no retroactivity perhaps with  
20 minor exceptions; on direct review there is always  
21 retroactivity. But we tend to get our cases, it is  
22 either a direct review or a habeas corpus, and so it is  
23 hard to get the court to coalesce around a proposition  
24 that would apply to both situations.

25 MR. HADDAD: I understand that, Your Honor. I



1 would think that, as Justice Harlan said, taking the  
2 scope of the great writ, as he called it, it is to  
3 determine if a person is lawfully in custody by those  
4 factors or those rules in effect at the time conviction  
5 became final, with certain limited exceptions. One  
6 would think of matters that go to jurisdiction, double  
7 jeopardy or as the Court has applied Gideon versus  
8 Wainwright and those cases.

9 QUESTION: Why would double jeopardy be an  
10 exception?

11 MR. HADDAD: For a writ?

12 QUESTION: Yes.

13 MR. HADDAD: Waller versus -- Robinson versus  
14 Neil held -- it wasn't Waller, and I am just trying to  
15 give the Court an example. If a person -- I don't think  
16 we have that any more after Waller and Ash versus  
17 Swenson, but trying to give the Court an idea of what --  
18 a response to your question.

19 QUESTION: But Robinson against Neil was an  
20 application of the Stovall against Denno test, not an  
21 application of Justice Harlan's test.

22 MR. HADDAD: Yes, sir. I agree, but I am just  
23 trying to give it as an example of what I am talking  
24 about. When you are talking about --

25 QUESTION: Well, I think it is a very poor

1 example of what you are talking about, is what I am  
2 trying to say. But you are entitled, obviously, to  
3 convince my eight colleagues that you are right.

4 MR. HADDAD: It is just that that is the  
5 example that I think I could give, where it went to the  
6 essence of the truthfinding factor on collateral review  
7 or something where the Court has previously held that it  
8 was of such a critical nature that it ought to be  
9 applied retroactively on collateral review.

10 QUESTION: Mr. Haddad, may I ask you, do you  
11 think a Batson claim and a trial that arises in the  
12 future, say someone is tried tomorrow and a Batson claim  
13 is made and it is denied on direct review, that that  
14 claim could be raised on collateral review?

15 MR. HADDAD: I would think so. Yes, sir.  
16 would think it would be a failure to follow the law in  
17 existence at the time. It would be -- and I hope, Mr.  
18 Chief Justice, this isn't a bad example again, but I  
19 would think it would be in the nature of a failure to  
20 afford a full and fair hearing under Stone versus Powell  
21 and the Fourth Amendment issue.

22 QUESTION: No, I am assuming that they had a  
23 full and fair hearing in the state system that would  
24 satisfy Stone against Powell and that it was appealed  
25 but just was denied on the merits, but there was, you

1 know, an arguable basis for the claim. Under those  
2 facts do you think it would be raisable on collateral  
3 review?

4 MR. HADDAD: Yes, sir. Yes, sir, I do, so  
5 that I just say that in conformance and conjunction  
6 with -- yes, sir?

7 QUESTION: (Inaudible.) I think you or at  
8 least others have cited Stovall. Do you recall when the  
9 Stoval opinion, which was, of course, a collateral case,  
10 where retroactivity was involved, we held that the rules  
11 should not be made -- those were the Wade and Gilbert  
12 rules --

13 MR. HADDAD: Yes, sir.

14 QUESTION: -- should not be made retro.

15 MR. HADDAD: Yes, sir.

16 QUESTION: But then we went on to say, "We  
17 also conclude for these purposes no distinction is  
18 justified between convictions now final, as in the  
19 instant case, and convictions at various stages of trial  
20 and direct review. We regard the factors of alliance  
21 and burden and the administration of justice as entitled  
22 to such overriding significance as to make that  
23 distinction unsupportable," and then went on to say that  
24 it is just too bad for the -- that only those whose  
25 cases were actually taken had the constitutional

1 question decided in their favor, this on the ground that  
2 "we regard the fact that the parties involved are chance  
3 beneficiaries as an insignificant cost for adherence to  
4 sound principles of decision-making."

5 Do you think that is still law?

6 MR. HADDAD: Do I still think it is still  
7 law?

8 QUESTION: Do you think what I have read you  
9 is still law?

10 MR. HADDAD: I think the Court has gotten away  
11 from that. I think Justice Harlan, and I hope the Macke  
12 decision came afterwards, said that those cases came  
13 along because of this Court's many --

14 QUESTION: (Inaudible.)

15 MR. HADDAD: I am sorry? This Court's  
16 decisions --

17 QUESTION: Justice Harlan's view was usually  
18 expressed either in dissent or in concurrence.

19 MR. HADDAD: I am sorry. I meant dissenting  
20 opinion in Macke or concurring opinion in Macke  
21 dissenting and the cases with it noted, I believe, that  
22 this Court had taken this almost as a policy approach  
23 because of its numerous decisions in the criminal law  
24 field, and that the Court was taking certain cases and  
25 holding them one way on collateral and one way on direct

1 and then not of benefit to anybody, as in Morrissey  
2 versus Brewer, or certain chance beneficiaries, and that  
3 is what brought about his decision, I think, or his  
4 opinion.

5 QUESTION: Well, this opinion went on to  
6 recognize that inequity arguably results from according  
7 the benefit of a new rule to the parties in the case in  
8 which it is announced but not to other litigants  
9 similarly situated in the trial or appellate process but  
10 raise the same issue.

11 MR. HADDAD: Yes, sir.

12 QUESTION: Nevertheless what we said there was  
13 that there is no retroactivity.

14 MR. HADDAD: I think Justice Brennan wrote  
15 that, too.

16 QUESTION: Hm?

17 MR. HADDAD: I think Your Honor wrote that,  
18 too, as I recall.

19 QUESTION: That's right.

20 QUESTION: Why else do you think he is reading  
21 it?

22 MR. HADDAD: I understand that, Justice --

23 QUESTION: I just wondered. Is that no longer  
24 law?

25 MR. HADDAD: I think there has been a break

1 away from that with Johnson and Shea. Let me say that.  
2 I think there has been a trend away from it with Johnson  
3 and Shea.

4 QUESTION: It would bode ill for your case if  
5 the language that Justice Brennan just read to you were  
6 controlling in this case in view of our decision last  
7 spring in Allen against Hardy.

8 MR. HADDAD: It certainly would, sir, yes. I  
9 don't deny that. If I may, if I have any other time  
10 left, I would like to reserve it. Thank you very much.

11 QUESTION: Thank you, Mr. Haddad. We will  
12 hear next from you, Mr. Bryson.

13 ORAL ARGUMENT OF WILLIAM C. BRYSON, ESQ.,

14 ON BEHALF OF THE RESPONDENT

15 MR. BRYSON: Thank you, Mr. Chief Justice,  
16 and may it please the Court, I would like to summarize  
17 briefly what our position is in this case. It has been  
18 laid out well, I think, by the attorney general from  
19 Kentucky, but in essence what it is is simply this, that  
20 Batson was a clear break with the past.

21 That the Johnson case, while holding that  
22 ordinarily case new decisions will be given retroactive  
23 effect on direct appeal, made an exception for cases  
24 that it referred to as clear break cases, and that in  
25 Allen against Hardy this Court found that the Stovall

1 against Denno factors cut against full retroactivity for  
2 Batson.

3 We put those three propositions together and  
4 we submit that that compels a finding that Batson should  
5 not be held retroactive on direct appeal in this case.

6 Now, Justice Blackmun asked a question, I  
7 believe, in the first argument about whether this clear  
8 break exception to the Johnson rule should be preserved,  
9 whether it has any justification, and that ties in, I  
10 think, with the question of what the status of Stovall  
11 is with respect to direct appeal cases at this point.

12 As we read the Court's opinion in Johnson,  
13 what the Court was saying was, yes, we are adopting to  
14 an extent Justice Harlan's rule that the new decisions  
15 would be applied retroactively on direct appeal, but we  
16 are not willing to go so far as to overturn settled  
17 precedent in this area, particularly with respect to  
18 that area of settled precedent in which the Stovall  
19 against Denno factors are the most compelling, and that  
20 is the definition of the clear break area.

21 Now, in the clear break area, as this Court  
22 recognized in Johnson, that is the very area where the  
23 Stovall against Denno factors operate very strongly,  
24 particularly the factors of reliance by prosecutors,  
25 trial courts, and courts of appeals, and the

1 administration of justice, because in that area, that is  
2 the area in which, because decisions are clear breaks  
3 from the past, clear breaks from prior precedent, and  
4 particularly when they constitute square overrulings of  
5 prior precedent, that is the area in which it is the  
6 least likely that lower courts and law enforcement  
7 officers and prosecutors will have anticipated a change  
8 in the law, and as a result that is the area in which  
9 you will have the most number of cases which will be  
10 affected by the change and in which you will have had  
11 reliance, justifiable reliance by people who read the  
12 law and attempt to follow it.

13 So, I think what the Court has done in Johnson  
14 is essentially to reach a compromise between Stovall  
15 against Denno and Justice Harlan's views as expressed in  
16 the number of dissents. The Court has preserved that  
17 area of the Stovall analysis that is the area in which  
18 it is the most telling, and has otherwise adopted  
19 Justice Harlan's views.

20 Now, we have argued in the past for a straight  
21 application of Stovall against Denno to not only  
22 collateral attack but also direct review, but if the  
23 Court is not prepared to go back to the Stovall against  
24 Denno across the board rationale, then we submit that  
25 Johnson --



1 QUESTION: Well, I gather, Mr. Bryson, you  
2 don't think that what I read earlier from Stovall  
3 controls this case without more?

4 MR. BRYSON: Well, I think in light of  
5 Johnson, Your Honor, we would say that it does control  
6 this case to the extent that the Court concludes that  
7 this is a clear break case. Now, of course, if the  
8 Court concludes that it is not a clear break case, then  
9 Stovall under the analysis of Johnson doesn't have any  
10 applicability, and the Court would then go to the Harlan  
11 rule which would be simply flat-out applicable --  
12 retroactivity as applied to direct review.

13 So the answer is yes, but it is yes because we  
14 believe this is a clear break case, and that is a  
15 condition precedent for Stovall applying as we read  
16 Johnson. Now, that brings me to the question, is this a  
17 clear break case, and there is a lot of argument in the  
18 briefs, and there has been argument this morning about  
19 whether it is.

20 We would rely, of course, very heavily on both  
21 Johnson, in which a clear break was defined as either a  
22 straight overruling or the Court disapproving a well  
23 established prior practice, we rely on that; we would  
24 also rely on Allen against Hardy, in which the Court  
25 specifically said this was an explicit, that was an

1 explicit and substantial break with the past.

2 Now, I don't, as I think General Richwalsky  
3 said before, I don't see any difference between a clear  
4 break and an explicit and substantial break. I cannot  
5 imagine that the Court had in mind to draw a line  
6 between those two concepts, but in any event between  
7 Johnson and Allen against Hardy it is clear to us that  
8 this was a sufficiently new rule that it is one that  
9 would fall within the Court's characterization of clear  
10 break cases.

11 Now, the petitioner and amicus in this case  
12 have provided two proposed answers for the argument that  
13 this is a clear break case. One, they say, well, yes,  
14 it was a break but it was a break with respect to burden  
15 of proof question only, not with respect to the  
16 underlying standard of conduct, and second, they say,  
17 well, it is really no break, or to the extent that it  
18 was a break it was a break that was so completely  
19 foreshadowed by prior events that no one had the right  
20 to rely on it.

21 Now, as to the first, first, again, going back  
22 to Allen against Hardy, the Court in Allen pointed out  
23 that the question of whether this was a break with  
24 regard to burden of proof or whether this was a break  
25 with regard to standards of conduct is of no moment in

1 determining whether it is a clear break case for the  
2 simple reason that courts, prosecutors, and appellate  
3 courts were relying on the entire rule, not just the  
4 standards of conduct that were prescribed in Swain, but  
5 also the principles of reviewability in Swain.

6 That is why in case after case prosecutors  
7 declined and trial courts did not require them to make a  
8 record as to the reasons for their peremptory strike  
9 simply because Swain did not require such a record be  
10 kept. That is the reason that this reliance by the  
11 prosecutors in trial courts and appellate courts would  
12 be so expensive to overturn, because you would be  
13 sending cases back for determination on hearings in case  
14 after case for determination of whether the prosecutor  
15 had had a particular intention with respect to strikes  
16 as to which almost certainly he or she would have no  
17 recollection, and almost certainly --

18 QUESTION: Mr. Bryson, could I interrupt you  
19 for a minute, because there are two aspects about this  
20 case I would like you to comment on. First, as I  
21 remember it, this is a case in which the clerk testified  
22 that the prosecutor had requested that as few blacks as  
23 possible be put on the venire, and apparently the Court  
24 of Appeals accepted that testimony and thought the  
25 conduct was reprehensible but it didn't affect the

1 outcome, and so it didn't matter.

2 And the question I am wondering about is, if  
3 you have facts which seem clearer than they are on some  
4 records there may have been a deliberate intent to  
5 minimize the number of blacks on the jury just for  
6 racial reasons alone, is it as clear in this case as it  
7 may be in some of the others that the prosecutor was  
8 justified in assuming that his or her conduct was  
9 entirely proper, and should we not, since it is a  
10 federal case rather than a state case, do we not have  
11 some obligation to consider our supervisory power with  
12 respect to the conduct of federal prosecutors in federal  
13 trials? Is it precisely the same issue as in the other  
14 case, in other words?

15 I think the Court could conceivably view this  
16 case differently from the typical case, and it is really  
17 not just because of the telephone call, as a matter of  
18 fact. There are two features to this case that I think  
19 frankly distinguish it from the average case in which --  
20 such as Griffith, in which the prosecutor simply says, I  
21 don't have to give an explanation, Swain does not  
22 require me to give an explanation. It is not just the  
23 telephone call. It is also that in fact the prosecutor  
24 did give an explanation on the record in this case.

25 Now, there was no finding by the trial court

1 as to whether that explanation was candid or correct,  
2 but he said that, yes, I struck two blacks, and the  
3 reason I struck them is because the defense lawyer for  
4 the co-defendant is a very imposing and impressive  
5 lawyer who has in my view a very substantial effect on  
6 black jurors.

7 Now, with respect to the telephone call first,  
8 there is no question that the call was completely  
9 improper. It was a deplorable incident, and we are  
10 obviously not defending it on the merits. However, to  
11 the extent that anything in mitigation can be said, and  
12 I think something can be said, the telephone call, as  
13 the prosecutor explained, was intended to find out  
14 information about how many blacks were coming, and he  
15 did not intend to direct the jury clerk to strike sub  
16 silentio the blacks who were on that incoming panel.

17 Now, she remembered the conversation as giving  
18 her the impression that he was asking her to strike  
19 them. His impression of what he said was, we are  
20 looking for a jury which does not have many blacks on  
21 it, that is to say, I am hoping not to have many blacks  
22 on this jury, not, please, Ms. Jury Clerk, take those  
23 black jurors off this jury.

24 Now, in other words, my point is that however  
25 unwise his conduct in making the call, it did not

1 reflect an intent to skew the jury in an improper way.  
2 At most it reflects something that he admitted later,  
3 which was that in this particular case he was looking  
4 for a jury that had as few black members as possible.

5 That brings me to the second point. What is  
6 the legitimacy of his having struck jurors on the ground  
7 that he claimed that he did? Well, that goes right back  
8 to Swain, and what Swain said.

9 Swain in fact had a passage which it seems to  
10 me is very pertinent here, and that is that a place in  
11 which Swain quoted the prosecutor as having said that he  
12 struck differently depending on the race of the  
13 defendant and the race of the victim, and the Court  
14 said, well, that is all right because that shows that he  
15 was not striking blacks in every case.

16 And in this case this prosecutor indicated on  
17 the record he did not strike blacks in every case. In  
18 fact, he had no objection to having blacks on his jury.  
19 But in this particular case, with this particular lawyer  
20 who in his view had such an impressive -- had such a way  
21 of speaking effectively to black members of the jury, he  
22 feared, having black members on the jury, he feared  
23 frankly that he was going to be beaten.

24 Now, in answer to your question, I think that  
25 the supervisory power would not be appropriate here

1 principally because the jury clerk, as she testified,  
2 was not in any way affected by the telephone call. It  
3 didn't affect her conduct, and the telephone call was,  
4 while improper, was not designed to have an effect on  
5 her conduct. The most it does is, it reflects that  
6 which he had already indicated he was going to do, which  
7 is to strike the black jurors, and the second part of  
8 the answer is that under Swain we submit that however  
9 wrong the Court may now think that to have been, it was  
10 permissible under Swain, as we read Swain.

11 QUESTION: Just to add on other thought, do  
12 you think that the federal government should be judged  
13 by precisely the same standards as states when  
14 evaluating the significance of reliance on Swain and the  
15 prior rule?

16 MR. BRYSON: Well, in Williams this Court said  
17 precisely that. The Williams case, one of the series of  
18 retroactivity cases, the Court said that there is no  
19 basis for drawing a line between the federal government  
20 and the state governments. Now, that is, I think, only  
21 a partial answer to your question because I think you  
22 are asking more about whether the federal government has  
23 a greater burden to anticipate a change in an equal  
24 protection subject such as this one.

25 I think there were a number of offices,

1 frankly, in which Swain was in a sense anticipated -- I  
2 mean the overruling of Swain was anticipated because I  
3 think prosecutors stopped using strikes on blacks for  
4 race related reasons but --

5 QUESTION: I don't understand that. Why is  
6 this? Federal officers are smarter than state  
7 officers?

8 MR. BRYSON: No, I am just --

9 QUESTION: They take a different oath to  
10 support the Federal Constitution?

11 MR. BRYSON: Not at all. Not at all.

12 QUESTION: Well, then, what is the basis for  
13 treating the one different from the other?

14 MR. BRYSON: I don't think --

15 QUESTION: I mean, if it was apparent to  
16 Federal prosecutors, it should have been apparent to  
17 state prosecutors.

18 MR. BRYSON: I don't think there is any basis  
19 for treating them differently. I am simply saying that  
20 the number of cases may be smaller. There may be a  
21 lesser effect on the administration of justice, in part  
22 because there may have been -- it is conceivable that  
23 there may have been more anticipation of the overruling  
24 of Swain.

25 On the other hand, unlike in the state system,



1 there was no Federal court at the time this case was  
2 tried, no Federal court at all which had questioned the  
3 validity of Swain, continuing validity of Swain. The  
4 two Court of Appeals decisions which came down after  
5 this case was tried in this area did question the  
6 validity of Swain in a sense, but those were after this  
7 case was tried. There were some state court cases, I  
8 think, four of them. Four states had held that Swain  
9 would not be applied under state law. I see no real  
10 distinction between the two except, one could argue, in  
11 the extent that there is a smaller number of Federal  
12 cases for a variety of reasons.

13 Now, the second question is one which I have  
14 already touched on, which is the degree to which the  
15 overruling of Swain was foreshadowed, and therefore any  
16 reliance on Swain was unjustified. First of all, as I  
17 have noted, there was very little contrary law prior to  
18 Batson. This Court had in the dissents from denial in  
19 the McCray case and two subsequent cases had indicated  
20 that Swain might be subject to reconsideration, but  
21 other than that there were only the two Court of Appeals  
22 cases going off on different grounds, on Sixth Amendment  
23 grounds, and a handful of state cases going off  
24 principally on state law grounds.

25 But even if -- I would add this case is not

1 like a case such as the Brown case, the Brown against  
2 Louisiana, which held the Burch decision retroactive, in  
3 which there was no case out there to be overruled, and  
4 in which this Court's own decisions, prior decisions had  
5 given a clear indication that the Burch decision was on  
6 the way. This case is one in which there would have to  
7 be an overruling of Swain and in which there were no  
8 prior decisions of this Court that gave any indication  
9 that an overruling of Swain was coming.

10 But beyond that a mere foreshadowing, this  
11 Court has held, is not enough to undercut reliance or  
12 render a case not a clear break with the past. In the  
13 Desist case, this Court dealt with the question of  
14 whether the Katz overruling of Dimstead should be given  
15 retroactive effect, and the Court said no even though  
16 there has probably been no case in the -- no  
17 constitutional case in the history of this Court in  
18 which the overruling of the prior decision was as  
19 clearly foreshadowed as it was in the case of Dimstead.

20 Similarly, in the Williams case, the same  
21 result. This Court said that Chimell should not be  
22 applied retroactively even though Chimell was clearly  
23 foreshadowed by developments in this Court and in the  
24 lower courts, and perhaps most pointedly, the case which  
25 we think supports us most directly -- excuse me -- is

1 the Daniels case, which held that Taylor against  
2 Louisiana should not be applied retroactively.

3 In Taylor the Court had held that the  
4 exclusion of women from juries was a violation of the  
5 Sixth Amendment. Nonetheless, even though the Court  
6 said the judgment may appear a foregone conclusion from  
7 the pattern of this Court's cases over the past 30  
8 years, and even though the unmistakable import of this  
9 Court's opinions since 1940 suggested the result that  
10 the Court was about to reach in Taylor, nonetheless the  
11 Court said the Taylor opinion would not be applied  
12 retroactively either on direct review or on collateral  
13 attack because it was necessary to reverse a prior  
14 decision which had approved the practice.

15 At minimum, at worst this case falls within  
16 the pattern of Taylor, and we submit that it in fact is  
17 a much less extreme case than Taylor, and therefore  
18 calls for the application of the clear break test.

19 Now, the Court has already dealt with, in  
20 Allen against Hardy, the question of the application of  
21 the Stovall factors to this case, and I will not go  
22 through them at length except to point out very briefly  
23 that as far as the most important of the Stovall  
24 factors, which is the effect on the truthfinding  
25 process, the Court acknowledged in Allen that, yes, the

1 Batson case does have some effect on the truthfinding  
2 process, some effect, but that it serves multiple  
3 purposes, and it is not like those cases in which the  
4 new rule has had a direct and emphatic effect on the  
5 truthfinding process.

6 The language that the Court has used in this  
7 area it seems to me is very instructive. The Court has  
8 said, for example, that a case affects truthfinding if  
9 there is a clear danger of convicting the innocent, a  
10 serious risk that guilt or innocence was not reliably  
11 determined. It is likely that many trial results are  
12 factually inaccurate.

13 That's the kind of language that is simply  
14 inapplicable here because in this case, while the new  
15 rule serves important and laudable purposes of reducing  
16 discrimination and increasing the confidence of the  
17 public in the administration of justice, it does not  
18 have a substantial impact on the truthfinding process  
19 because what is going on when you say that prosecutors  
20 cannot strike blacks on the ground of race is that --  
21 not that you are allowing on to a jury someone who is  
22 biased, as is the case, for example, in a case such as  
23 Turner against Murray, but it is simply saying that you  
24 are removing from the jury someone who is unbiased, the  
25 black juror, and you are replacing that juror with

1 someone else who is presumably also unbiased.

2 Now, it may be entirely an offensive practice.  
3 It may be -- it has been declared by this Court to be an  
4 illegal practice, but what it does not do is to  
5 substantially impact on the truthfinding process because  
6 of the nature of the replacement that occurs. Now, as  
7 to reliance, I have already spoken at some length on the  
8 reliance factor, and I would only point out that to the  
9 extent that the -- to the extent that the courts and  
10 commentators have construed Swain on the question of  
11 whether it constituted a change in burden of proof or  
12 whether it constituted a change in the nature of the  
13 rule affecting substantive conduct.

14 QUESTION: You mean Batson?

15 MR. BRYSON: I am sorry. What I meant was  
16 that --

17 QUESTION: Whether Batson constituted a  
18 change?

19 MR. BRYSON: Yes, whether Batson constituted a  
20 change in what Swain had said. That's right. The  
21 courts and commentators talking about Swain have  
22 repeatedly held and repeatedly said that the Swain rule  
23 permitted the use of race in making peremptory  
24 challenges. The petitioners and the amici say that,  
25 well, no, Swain didn't really permit that, but

1 regardless of whether Swain permitted it or not,  
2 virtually every commentator and virtually every Court  
3 that has analyzed Swain has come to that conclusion, and  
4 therefore even if the reliance by the Courts and by the  
5 prosecutors and by the appellate courts has been in  
6 retrospect incorrect, it was certainly not unreasonable.

7 Based on that reasonable reliance, the lack of  
8 effect on the truthfinding function and the continuing  
9 effect of a change in the administration of justice we  
10 suggest that the Court should follow the Johnson case  
11 and hold that this is a clear break case which should  
12 not be given retroactive effect on direct appeal. Thank  
13 you.

14 CHIEF JUSTICE REHNQUIST: Thank you, Mr.  
15 Bryson.

16 Mr. Haddad, do you have something further?  
17 You have 17 minutes left.

18 MR. HADDAD: I don't think so, Your Honor.

19 CHIEF JUSTICE REHNQUIST: The case is  
20 submitted.

21 (Whereupon, at 2:19 p.m., the case in the  
22 above-entitled matter was submitted.)  
23  
24  
25

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731 - WILLIE BROWN, AKA WILL BROWN, Petitioner V.

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UNITED STATES

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pt of the proceedings for the records of the court.

BY Paul A. Richardson

(REPORTER)