

OFFICIAL TRANSCRIPT  
PROCEEDINGS BEFORE  
**THE SUPREME COURT**  
**OF THE**  
**UNITED STATES**

CAPTION: BENJAMIN LEE LILLY, Petitioner v. VIRGINIA.

CASE NO: 98-5881 c. 2

PLACE: Washington, D.C.

DATE: Monday, March 29, 1999

PAGES: 1-54

ALDERSON REPORTING COMPANY

1111 14TH STREET, N.W.

WASHINGTON, D.C. 20005-5650

202 289-2260

LIBRARY

APR - 5 1999

Supreme Court U.S.

RECEIVED  
SUPREME COURT, U.S.  
MARSHAL'S OFFICE

1999 APR -5 P 2: 52

1 IN THE SUPREME COURT OF THE UNITED STATES

2 - - - - -X

3 BENJAMIN LEE LILLY, :

4 Petitioner :

5 v. : No. 98-5881

6 VIRGINIA. :

7 - - - - -X

8 Washington, D.C.

9 Monday, March 29, 1999

10 The above-entitled matter came on for oral  
11 argument before the Supreme Court of the United States at  
12 11:03 a.m.

13 APPEARANCES:

14 IRA S. SACKS, ESQ., New York, New York; on behalf of the  
15 Petitioner.

16 KATHERINE P. BALDWIN, ESQ., Assistant Attorney General,  
17 Richmond, Virginia; on behalf of the Respondent.

C O N T E N T S

1		
2	ORAL ARGUMENT OF	PAGE
3	IRA S. SACKS, ESQ.	
4	On behalf of the Petitioner	3
5	KATHERINE P. BALDWIN, ESQ.	
6	On behalf of the Respondent	25
7		
8		
9		
10		
11		
12		
13		
14		
15		
16		
17		
18		
19		
20		
21		
22		
23		
24		
25		

1 P R O C E E D I N G S

2 (11:03 a.m.)

3 CHIEF JUSTICE REHNQUIST: We'll hear argument  
4 next in No. 98-5881, Benjamin Lee Lilly v. Virginia.

5 Mr. Sacks.

6 ORAL ARGUMENT OF IRA S. SACKS

7 ON BEHALF OF THE PETITIONER

8 MR. SACKS: Mr. Chief Justice, and may it please  
9 the Court:

10 Over the years, this Court has spoke in  
11 disparate, sometimes sharply divided voices regarding many  
12 Confrontation Clause issues. However, this Court has been  
13 of one voice concerning confessions of an accomplice given  
14 in custody incriminating a defendant. They have been  
15 consistently viewed as inevitably suspect, inherently  
16 unreliable, less reliable than ordinary hearsay, and  
17 presumptively inadmissible. The opportunity to cross  
18 examine an accomplice regarding a statement incriminating  
19 the accused lies at the core of the Confrontation Clause.

20 QUESTION: What if the -- what if the statement  
21 of the accomplice also is a declaration against penal  
22 interest?

23 MR. SACKS: Your Honor, I think the -- the test  
24 for that is as follow. I think the -- the test for that  
25 depends on many other things about the statement.

1           First, a court needs to look at whether it's  
2           against that person's penal interest and then you start  
3           with the test. And then the question becomes whether the  
4           statement is such, the circumstances and whether one looks  
5           in Wright at just the circumstances of making the  
6           confession or the totality of the circumstances -- whether  
7           the circumstances are such that cross examination of the  
8           declarant, of the accomplice, would be of marginal  
9           utility. That's the bedrock.

10           QUESTION: Well, you -- you can say that about  
11           any number of well established hearsay exceptions, that  
12           perhaps it would have been better if -- if there had been  
13           cross examination, but those have, nonetheless, been  
14           rooted in the hearsay exception. And it seems to me that  
15           you've got to deal with not just the statements in our  
16           opinions about confessions of accomplices, but also about  
17           declarations against penal interest.

18           MR. SACKS: I -- I agree with that, Mr. Chief  
19           Justice. I think, however, that in dealing with the  
20           firmly rooted hearsay exceptions that were viewed as an  
21           exception, if you will, under the Confrontation Clause,  
22           this Court has observed that those exceptions were such  
23           that cross examination of virtually any declarant who fell  
24           within such an exception would be of marginal utility, and  
25           that is not the case with statements of an accomplice for

1 two reasons.

2 One, with respect to a statement of an  
3 accomplice incriminating a defendant, those statements  
4 are, as this Court has observed and in situations where  
5 it's against the accomplice's penal interest, that those  
6 are inevitably suspect and inherently admissible. On the  
7 one --

8 QUESTION: Can -- can you give me an example of  
9 a case in which we have held that a declaration against  
10 penal interest which was also the confession of an  
11 accomplice -- and that may be a fairly narrow class of  
12 cases -- was inherently suspect?

13 MR. SACKS: Lee.

14 QUESTION: Was there a declaration against penal  
15 interest there?

16 MR. SACKS: Oh, no question. Your Honor, if you  
17 consider the confession of the accomplice Thomas in Lee  
18 where the core of that confession is, is that Lee and I  
19 planned the murder of Aunt Beedie, Thomas would not have  
20 been responsible at all for the murder of Aunt Beedie  
21 absent that confession, as -- as was -- was noted in the  
22 dissent by Justice Blackmun in the Lee case.

23 QUESTION: Which several of us joined.

24 MR. SACKS: The -- the confession of Mr. Thomas  
25 in the Lee case was unambiguously against his penal

1 interest, and despite that, it was held by the Court in  
2 Lee that the right of Lee to confront Thomas on the stand  
3 on cross examination was required by the Confrontation  
4 Clause.

5 QUESTION: So -- so, you think that our doctrine  
6 then is that the -- if it's a confession of -- of an  
7 accomplice, the -- the declaration against penal interest  
8 is simply swallowed up.

9 MR. SACKS: No, Your Honor, I don't. I think  
10 that -- that what -- that what a court has to first do is  
11 recognize that there's a different test for custodial  
12 statements of an accomplice that incriminated a defendant  
13 than just declarations against penal interest. I think  
14 that's what this Court was getting at in footnote 5 of Lee  
15 when it said that in looking for whether there's a  
16 Confrontation Clause exception for this category, the  
17 category we're dealing with is not declarations against  
18 penal interest, but confessions of an accomplice. And  
19 then what one has to look is whether the circumstances are  
20 such that cross examination would be of marginal utility.

21 I can imagine -- and I think there are  
22 situations where -- because we do not ask for a per se  
23 rule -- where there would be circumstances that were such  
24 that cross examination would be of marginal utility. The  
25 types of factors that a court could look at would be, one



1 -- and these are all suggested by these -- by this Court's  
2 decisions. One, is the -- is the accomplice admitting or  
3 implicating himself in something more than he's  
4 implicating the accused?

5 Two, is there blame-shifting involved in the  
6 sense that blame-shifting was defined by Justice Kennedy's  
7 concurrence in Williamson? Is there blame-shifting? Is  
8 the -- is the accomplice attempting to shift blame? If  
9 he's not, that's another factor in favor of finding an  
10 exception.

11 Third, was the statement spontaneous? Was the  
12 statement done in response to leading questions?

13 But the -- fourth, was it in custody? Because  
14 this Court's decisions have also made very plain that  
15 situations in custody are different than a situation --

16 QUESTION: Well, it's made it plain so far is  
17 admissibility of evidence against the declarant. The  
18 Miranda warnings, for example. I don't know that it's  
19 said that custody makes a great deal of -- of difference  
20 so far as the -- say, an admission against penal interest  
21 where the declarant isn't present.

22 MR. SACKS: Your Honor, Mr. Chief Justice, with  
23 all due respect, I think that in Williamson, which I agree  
24 is a -- is a Federal rule 804(b)(3) case, that the -- that  
25 the discussion in Williamson about the difference under

1 the Federal rules, 804(b)(3), of a -- of a -- of a  
2 statement to another prisoner, as in Dutton v. Evans, as  
3 opposed to a statement in custody makes a great deal of  
4 difference. And -- and that makes sense, Mr. Chief  
5 Justice.

6 This -- this case -- in this case you have a  
7 situation where Gary Barker was questioned before Mark  
8 Lilly. The police -- and this is not to ascribe any bad  
9 motives of the police, but just to talk about the normal  
10 situation. Mark Lilly is then questioned, but both of his  
11 statements indicate, on the face of the statements, that  
12 there was questioning of Mark Lilly before the tape was  
13 turned on.

14 In the first statement that was taken from Mark  
15 Lilly, he gets to a point where he -- where he says to --  
16 to -- to Investigator Price in response to tell us what  
17 happened, nothing that you -- you already don't know, man.

18 In the second one -- in the -- in the statement  
19 taken by Mr. -- by Investigator or Detective Hamlin, the  
20 tape is turned on at 2 o'clock. Mr. Hamlin says, it's 2  
21 o'clock. Then they paused for him to sign the Miranda  
22 statement, and then it goes back on at 2:30.

23 In situations like that, there's every reason to  
24 say that there's something different about a carefully  
25 tailored confession in custody in terms of its reliability

1 than a statement that somebody walks up to somebody else  
2 on the street or walks up to somebody else in the prison  
3 yard and says, you know, by the way, you know, if it  
4 wasn't for that guy Evans, I wouldn't be here right now.

5 But the bedrock it seems to me, Your Honor,  
6 under this Court's decisions is you have a right to  
7 confrontation and there's an exception to the right to  
8 confrontation if the nature of the statement is such that  
9 cross examination of the declarant would be of marginal  
10 utility. Now, that may be a hard test, but that's what  
11 the Sixth Amendment is about.

12 QUESTION: May I ask you, if you're at a break  
13 in your argument, have you read Justice Thomas' opinion in  
14 White against Illinois?

15 MR. SACKS: Yes.

16 QUESTION: How would you apply the analysis in  
17 that opinion to this case?

18 MR. SACKS: Well, you know, it's -- it's at --  
19 the answer is that we would be happy if this Court decided  
20 to adopt the view of Justice Thomas, joined by Justice  
21 Scalia, in Wright because we believe that either under Lee  
22 and what I would call existing case law or under the  
23 suggestion by Justice Thomas in White and the concurrence  
24 that a hard and fast rule be used for the Confrontation  
25 Clause, we think that either way, the decision has to be

1 reversed because as I understand the concurring opinion in  
2 White it would extend the right of confrontation to  
3 witnesses who testify and to testimonial material such as  
4 affidavits, depositions, prior testimony, and confessions,  
5 and there would not be an exception for reliable  
6 statements.

7 In the words of Justice Thomas at page 363 of  
8 the opinion, nor does it seem likely that the drafters of  
9 the Sixth Amendment intended to permit a defendant to be  
10 tried on the basis of ex parte affidavits found to be  
11 reliable.

12 So, although we believe --

13 QUESTION: But, of course, this is not an  
14 affidavit.

15 MR. SACKS: Well, it's -- it's -- but the -- the  
16 extension that Justice Thomas used there was formalized  
17 testimonial material such as affidavits, depositions,  
18 prior testimony, or confessions. And I think the -- the  
19 thrust of the concurrence --

20 QUESTION: It's or confessions that you relying  
21 on.

22 MR. SACKS: Yes. And the thrust of the  
23 concurrence, as -- as we understand it is, it would -- it  
24 would divorce Confrontation Clause jurisprudence from the  
25 hearsay rule. It would look at the literal language of

1 the clause. It would apply it to witnesses and to  
2 testimonial materials and not other extrajudicial  
3 materials, and it would be a hard and fast rule. And it  
4 wouldn't matter how reliable the -- the -- those  
5 statements were or were not.

6 And although we believe that petitioner is  
7 entitled to a reversal of the judgment of the Supreme  
8 Court of Virginia based on existing law, we believe it's  
9 also plain that there would be reversal required under the  
10 view of the Sixth Amendment that Justice Thomas, joined by  
11 Justice Scalia, had described in the concurrence in White.

12 I want to deal with the issue of firmly rooted  
13 and whether the evidence in this case fell within a firmly  
14 rooted hearsay exception mostly because the State of  
15 Virginia and the amici in support of the State of Virginia  
16 spend so much time on it.

17 QUESTION: But before you get to that, may --  
18 I'm a little confused about the declaration against penal  
19 interest. I can understand it if the defendant had been  
20 trying to introduce a statement that was made that was  
21 exculpatory vis-a-vis the defendant, inculpatory vis-a-  
22 vis the -- the person who was apprehended with him.

23 The Confrontation Clause says you have a right  
24 to be confronted with the witnesses against you. It  
25 doesn't say anything about hearsay and exceptions, and the

1 confrontation principle has been adopted widely throughout  
2 the world in many systems where they never have a hearsay  
3 rule. So, I don't understand. You seem to be conceding  
4 that they go together, when in fact the Confrontation  
5 Clause states a general principle of the right of a  
6 criminal defendant, and that has been well accepted  
7 throughout the world, including in places that have the  
8 only qualification on -- on evidence coming is relevance.

9 MR. SACKS: Justice Ginsburg, the -- the reason  
10 why -- and conceding is probably -- is -- is probably too  
11 -- too strong a word. We are -- we are -- under this  
12 Court's current case law, as we understand it, we  
13 understand that this Court's current case law has to some  
14 degree linked hearsay, hearsay exceptions --

15 QUESTION: To some degree is an understatement.  
16 Ohio v. Roberts just spells that out, doesn't it?

17 MR. SACKS: As a general rule, but this Court in  
18 Inadi indicated that -- that Roberts did not intend to  
19 have its rule as a rule that applied in all circumstances,  
20 and that, at least in the words of the Court in Inadi,  
21 that -- that there -- there would be exception that courts  
22 in -- that the Court in Roberts was not seeking to have a  
23 rule that applied in all circumstances. And in fact, in  
24 both Inadi and in White, this Court has disregarded a  
25 portion of the Roberts general rule.

1 QUESTION: And in favor of admitting evidence,  
2 not in favor of excluding it.

3 MR. SACKS: That's truly correct, Mr. Chief  
4 Justice.

5 But getting back --

6 QUESTION: So, I mean, that tends to show that  
7 you're going to -- so far as being able to exclude things,  
8 you're not going to be able to exclude them if they're a  
9 recognized hearsay exception. You may be able to get them  
10 admitted even though they're not a recognized hearsay  
11 exception.

12 MR. SACKS: With all due respect, Mr. Chief  
13 Justice, it went way beyond a recognized hearsay  
14 exception. It went in my view, in terms of what the Court  
15 was looking at in White and Inadi, to situations where the  
16 Court recognized that the hearsay -- that the evidence  
17 there fell within -- and the category of evidence there  
18 fell within a hearsay exception that was firmly rooted and  
19 firmly rooted in the sense that cross examination -- and  
20 this is in the opinion in White, adopting from the opinion  
21 in Wright -- that cross examination of the declarant would  
22 be of marginal utility. That is the bedrock principle  
23 that is linked with firmly rooted hearsay exceptions. And  
24 I don't think that this Court has meant to suggest that  
25 merely on the basis of a hearsay exception, that you lose

1 your right to confrontation. I think it's far more than  
2 that.

3 Now, to -- to -- to finish the -- the concept,  
4 Justice Ginsburg, it's -- our understanding is on the  
5 Court's -- this Court's current case law that there is a  
6 link to some degree, to a significant degree, under  
7 Roberts between hearsay, hearsay exceptions, and firmly  
8 rooted hearsay exceptions on the one hand and  
9 confrontation on the other. We believe that even under  
10 that standard, we are entitled -- petitioner is entitled  
11 to reversal of the decision of the Supreme Court of  
12 Virginia.

13 We also adopt the views, as I -- as I said to  
14 Justice Stevens -- we adopt the views expressed in the  
15 concurrence in White in the -- and in the amicus petition  
16 submitted by the American Civil Liberties Union in support  
17 of petitioner that would separate the notion of  
18 confrontation from the hearsay rules.

19 We think that what has happened with the hearsay  
20 rules is -- is that you've wound up with a lot of labels  
21 and not a lot of answers. And one of my disabilities as a  
22 -- as a lawyer as I grew up as an antitrust lawyer, and I  
23 was thinking about this argument, and there is a phrase in  
24 BMI v. CBS which -- which is 441 U.S. 1, which has nothing  
25 to do with this case other than being an apt phrase, which



1 is that easy labels do not always supply ready answers.  
2 And that's the problem with firmly rooted hearsay  
3 exceptions.

4 If you deal with firmly rooted hearsay  
5 exceptions, as this Court has done, one has to not forget  
6 why one is looking at that.

7 QUESTION: Was -- was this argued to the Supreme  
8 Court of Virginia in anything else other than firmly  
9 rooted hearsay exceptions? Was there any broader  
10 principle urged upon that court?

11 MR. SACKS: The broader principle that was urged  
12 below in the -- in the Supreme Court of Virginia was that  
13 these statements were not sufficiently reliable to be  
14 admitted under the Confrontation Clause.

15 And when you get to the notion of firmly rooted,  
16 the problem with the firmly rooted label is that some  
17 courts, particularly some lower courts, forget why this  
18 Court has asked courts to look at that. The reason for  
19 looking at whether something is a firmly rooted hearsay  
20 exception, one, you're supposed to be looking at whether  
21 the evidence or the category of evidence falls within a  
22 firmly rooted hearsay exception.

23 And two, the reason for looking at it is because  
24 this Court has observed with respect to some firmly rooted  
25 hearsay exceptions that virtually all evidence within them

1 meets the constitutional norm and makes the declarant  
2 someone whose cross examination would be of marginal  
3 utility. And it is important for this Court and other  
4 courts not to forget that that's the reason why we look at  
5 firmly rooted exceptions.

6 In this case, if you look at the key piece of  
7 evidence -- and there's lots of stuff in Mark Lilly's  
8 statement that shouldn't come in, but let's look at the  
9 statement by Mark Lilly, petitioner was the triggerman.  
10 That is not within a firmly rooted hearsay exception. You  
11 can start off with the principle that that is not self-  
12 inculpatory. It is the classic --

13 QUESTION: It's not a declaration against penal  
14 interest.

15 MR. SACKS: Well, you know, that's -- and -- and  
16 maybe -- and maybe that's the reason to -- to just  
17 overturn. Maybe what you really have to say, Mr. Chief  
18 Justice, is that the Virginia Supreme Court got it right  
19 when they said that Mark Lilly's statement was self-  
20 serving, and then they got it wrong when they said that  
21 went to -- went to weight, not admissibility.

22 It's -- it's surely not against his self-  
23 interest. It is surely self-serving. It would not be  
24 admissible under rule 804(b)(3) of the Federal Rules of  
25 Evidence. It would not be admissible under at least 30,

1 if not 35 --

2 QUESTION: Are you saying declarations that are  
3 inculpatory of accomplices are by definition not against  
4 penal interest?

5 MR. SACKS: Oh, no. It's -- it's -- I don't  
6 think that that statement was inculpatory of Mark Lilly at  
7 all.

8 QUESTION: Of accomplices.

9 MR. SACKS: As -- putting aside Mark Lilly's  
10 statement, Justice Kennedy? No, I'm -- I'm saying that if  
11 you have a statement --

12 QUESTION: Mark made the statement and it's  
13 inculpatory as to Benjamin.

14 MR. SACKS: Yes.

15 QUESTION: So, are you saying that statements  
16 that are inculpatory of an accomplice are by definition  
17 not against penal interest?

18 MR. SACKS: No. They might be. If you take --  
19 if you take some of the examples that --

20 QUESTION: Because I thought you would extend it  
21 out and say, well, this is always in order to get  
22 favorable consideration from the police.

23 MR. SACKS: I think that you look at several --

24

25 QUESTION: And -- and therefore, it's

1 exculpatory as to the declarant.

2 MR. SACKS: Well, it's -- it's -- in answering  
3 the broad question, Justice Kennedy, as to whether ever a  
4 statement which incriminates -- a statement by a declarant  
5 that incriminates the defendant could be a declaration  
6 against penal interest that fell within -- that was such  
7 that cross examination would be of marginal utility, I  
8 could conceive of such a case based on the factors that I  
9 talked about before which would be does it inculcate the  
10 declarant more than the defendant, does it attempt to  
11 shift blame, was it spontaneous, and -- and -- and  
12 although I don't think this is so much a matter of  
13 corroboration as adoption, whether there is a confession  
14 by the defendant that matches in all significant respects  
15 the statement by the declarant. That's not what we have  
16 here.

17 But I think as a general category, we're not  
18 seeking a per se rule. We concede under current doctrine,  
19 as opposed to under the position advanced in the  
20 concurrence by Justice Thomas in the White case -- we can  
21 -- we would concede under current doctrine that there  
22 might be circumstances where a statement by an -- by a  
23 declarant which incriminated the defendant might be such  
24 where the circumstances made it that cross examination of  
25 the declarant would be of marginal utility. We don't

1 think this is remotely close to the line because here, as  
2 the Chief Justice indicated in response to my comment, the  
3 statement, petitioner was the triggerman, isn't even self-  
4 inculpatory of Mark Lilly. It isn't even self-  
5 inculpatory. It wouldn't come in under the Federal rules.  
6 It wouldn't come in under 30 or 35 out of the 36 State  
7 laws that were surveyed in our brief.

8 Now, the Commonwealth of Virginia --

9 QUESTION: You would say no portion of -- I  
10 mean, suppose the whole statement contains a number of  
11 provisions that are inculpatory of -- of the declarant.  
12 Would you say that those portions that are not inculpatory  
13 cannot come in?

14 MR. SACKS: I -- I think at some point the whole  
15 -- the whole confession has to go, but I think that --  
16 that, Justice Scalia, you're quite right that our view is  
17 that you look at the specific statements, as this Court  
18 suggested under rule 804(b)(3) you look at specific  
19 statements, and you take those specific statements and you  
20 test those specific statements.

21 Now, at some point, it may be that the  
22 confession as a whole is so -- is -- is so self-serving as  
23 opposed to inculpatory that even the statements that were  
24 against Mark Lilly's penal interest purely would be  
25 excluded. But I think the -- the answer in the abstract

1 is, yes, some portions could come in and some portions  
2 would be excluded.

3 QUESTION: And -- and even statements that, for  
4 example, just describe the surrounding circumstances of  
5 the crime and that corroborate perhaps other witnesses --  
6 they couldn't come in simply because they are not --

7 MR. SACKS: Well, let me -- let me take that --

8  
9 QUESTION: -- immediately inculpatory.

10 MR. SACKS: -- in two -- in two pieces, Justice  
11 Scalia. I think that you have to start off with the  
12 proposition that there's a Confrontation Clause and that  
13 the petitioner had the right to cross examine the  
14 witnesses against him. And if all Mark Lilly had said  
15 was, it was cold and the moon was out down at Whitethorn  
16 near the side tracks, I don't know why that comes in under  
17 the Confrontation Clause. It may be that counsel might  
18 not choose to object to that if that was the only part  
19 that was coming in, but under the Confrontation Clause,  
20 that's not within a hearsay exception. It's surely not  
21 within a firmly rooted hearsay exception.

22 Perhaps someone wouldn't want to cross examine.  
23 So, therefore, maybe that's one where you would toss out  
24 the -- the labels and say, well, cross examination would  
25 be of marginal utility because you could look in the

1 Roanoke Times and see that it was cold and the moon was  
2 out.

3 QUESTION: Why wouldn't that be against penal  
4 interest if it should that he was there and that was one  
5 of the big issues in the case?

6 MR. SACKS: It might be if that was the -- if  
7 that was an issue in the case, but as -- as -- as I  
8 understood the hypothetical and as -- and I was -- as I  
9 was responding to Justice Scalia, just saying it was cold  
10 and the moon was out might not be against Mark Lilly's  
11 penal interest. It also could be. It also very well  
12 could be.

13 QUESTION: But you would agree you couldn't  
14 judge it by whether there was other evidence that the moon  
15 was out and so forth.

16 MR. SACKS: Well, Justice Stevens, I think that  
17 if you get to what I believe is a bedrock test, which is  
18 whether cross examination of the declarant would be of  
19 marginal utility, I think that one would have to concede,  
20 if the Court could take judicial notice that it was cold  
21 and if the Court could take judicial notice that there was  
22 a full moon, that perhaps cross examination would be of  
23 marginal utility. I think that in the abstract under the  
24 current way that this Court has tested statements of an  
25 accomplice, that it doesn't fall within -- it probably

1 doesn't fall within a hearsay exception and it probably  
2 doesn't fall within a firmly rooted hearsay exception.

3 Now, looking -- looking at the arguments that  
4 the Commonwealth and -- and their -- the amici in support  
5 of the Commonwealth make, they spend a lot of time talking  
6 about the widespread nature of declarations against penal  
7 interest and how they're way more widespread today than  
8 they were in 1968. And the point that that misses is that  
9 under current doctrine -- and again, you know, put --  
10 separating current doctrine from the alternative test of  
11 just a -- a flat Sixth Amendment bar to -- to statements  
12 like confessions coming in --

13 QUESTION: You say it's an alternative test, the  
14 -- the flat bar. Has that ever been adopted in any of our  
15 cases?

16 MR. SACKS: No, Your Honor. Mr. Chief Justice,  
17 I was using that as a shorthand to the suggestion in the  
18 questioning that what position would the petitioner take  
19 with respect to this Court's adoption of the position  
20 asserted by Justice Thomas, joined by Justice Scalia, in  
21 the concurrence in White. And -- and it is -- it is an  
22 alternative only in terms of our advocacy and not in terms  
23 of this Court's doctrine. That is quite correct.

24 But the -- the issue for the firmly rooted  
25 question is whether the evidence at issue or the category



1 of evidence at issue falls within a firmly rooted hearsay  
2 exception and not whether there is an exception out there  
3 in the abstract. And this Court in footnote 5 in Lee  
4 indicated we think plainly -- and I realize it was in a  
5 footnote -- and correctly that in cases like this, saying  
6 that it's a declaration against penal interest is too  
7 broad a category for Confrontation Clause analysis, and  
8 you have to -- and -- and that the courts have to  
9 recognize that what this is is a statement of an  
10 accomplice incriminating the defendant.

11 And there's a good reason for making that  
12 distinction because as we pointed out in our reply brief,  
13 the treatment of declarations against penal interest and  
14 the treatment of the subcategory of -- of statements of an  
15 accomplice incriminating a defendant under the Federal  
16 rules is different and under various State laws are  
17 different.

18 Now, the Criminal Justice Legal Foundation also  
19 spends a lot of time talking about how in 1968 when Bruton  
20 was decided, declarations against penal interest were not  
21 as widespread, but they're very widespread now. And we  
22 think that also misses the point. We think the point is  
23 not how widespread declarations against penal interest as  
24 an exception to hearsay was in 1968, or in 1994 when  
25 Williamson was decided, but whether custodial statements

1 of an accomplice which incriminate a defendant are more  
2 reliable today than they were in 1968 when Bruton was  
3 decided or 1994 when Williamson was decided.

4 QUESTION: Does the amicus venture any opinion  
5 as to why there are a lot more declarations against penal  
6 interest in 1999 than there are -- were in 1968?

7 MR. SACKS: Well, I think -- I think that --  
8 that what has happened -- and this is -- and this is --  
9 this is true I think even in -- in the decisions of this  
10 Court looking at the issue of -- in the context of rule  
11 804(b)(3). The common law, in having -- in carving out  
12 penal interest as a hearsay exception, has evolved, and  
13 people -- and -- and the courts have recognized and  
14 legislatures have recognized that the pure category of  
15 statements against penal interest without the additional,  
16 if you will, baggage of being self-serving or also  
17 incriminating the -- a defendant, can be reliable and can  
18 meet the test of reliability necessary to qualify as an  
19 exception for the hearsay rule. And that is why the  
20 general exception for declarations against penal interest  
21 is more widespread today.

22 What --

23 QUESTION: So, the -- the position is not that  
24 people are making more declarations, but that more of them  
25 are being admitted in court?

1 MR. SACKS: No. It's that -- it's that more  
2 States -- more States have a statute or a rule of law  
3 that --

4 QUESTION: Which would authorize it or --

5 MR. SACKS: -- that -- that -- that would admit  
6 as a hearsay exception a declaration against penal  
7 interest, but not that would admit a statement of a  
8 declarant which was in part inculpatory -- self-  
9 inculpatory but which also incriminated a defendant. And  
10 our review, which we set forth in our reply brief of --  
11 that law indicates that under the Federal Rules and under  
12 30 to 35 of the 36 States where we found legislation or  
13 rules would exclude that.

14 I think at bottom what you come down to in this  
15 case is there is nothing in the -- nothing about the  
16 circumstances of this confession or, if one goes beyond  
17 Wright and looks at the other corroborating evidence which  
18 makes cross examination of Mark Lilly of marginal utility,  
19 that's the bedrock current principle. And for that reason  
20 and that reason alone, the decision of the Virginia  
21 Supreme Court should be reversed.

22 And I'd like to reserve the rest of my time

23 QUESTION: Very well, Mr. Sacks.

24 Ms. Baldwin, we'll hear from you.

25 ORAL ARGUMENT OF KATHERINE P. BALDWIN

1 ON BEHALF OF THE RESPONDENT

2 MS. BALDWIN: Mr. Chief Justice, and may it  
3 please the Court:

4 My procedural argument has not been argued this  
5 morning, and -- and I will not belabor it, but I do want  
6 to make the point that Benjamin Lilly is asking this Court  
7 -- it is our position, is asking this Court to reverse his  
8 conviction on the basis of arguments that were not  
9 presented to the Virginia Supreme Court in a timely  
10 manner. For the first time in a petition for rehearing  
11 below was where there was any argument that there was a  
12 per se rule, that the Confrontation Clause did not allow  
13 these types of confessions, although I understand it  
14 sounds this morning as though the petitioner is backing  
15 away from that argument of it being a per se rule. And he  
16 certainly never made the argument, until his petition for  
17 rehearing, about the nature of his particular case  
18 involving a co-defendant's confession being some  
19 subcategory of -- of the exception which is not firmly  
20 rooted.

21 QUESTION: Was the argument made -- was the  
22 argument made to the Supreme Court of Virginia that the  
23 admission was -- violated the Federal Confrontation  
24 Clause?

25 MS. BALDWIN: Yes, Mr. Chief Justice. He

1 definitely argued and cited to the Sixth Amendment  
2 Confrontation Clause all the way through, but it was  
3 always secondarily. It was mainly a State evidentiary  
4 matter that was being argued, and when he cited the  
5 Confrontation Clause --

6 QUESTION: Well, but the -- the point I think is  
7 that the State Supreme Court expressly addressed the  
8 Confrontation Clause question, and the issue is whether it  
9 dealt with it correctly under our law. And can we not  
10 address that?

11 MS. BALDWIN: Justice O'Connor, I do not believe  
12 it's the same argument that was made below.

13 QUESTION: He doesn't have to make the same  
14 argument.

15 QUESTION: You don't have to make exactly the  
16 same argument. Presumably if you lost below, you'd make a  
17 little -- little different argument, somewhat.

18 (Laughter.)

19 QUESTION: Sometimes people hire better lawyers  
20 on appeal presumably because they'll make better  
21 arguments. I --

22 MS. BALDWIN: Our only point on this issue is  
23 that I think it's unfair to reverse a conviction and a  
24 judgment of the Virginia Supreme Court on bases that  
25 literally were not argued or addressed by the court. They

1 did argue -- there's no question. They did argue and the  
2 court did address in a broad sense the Confrontation  
3 Clause, but it was a general argument that I did not get  
4 to cross examine Mark Lilly, therefore the Confrontation  
5 Clause was violated. And none of these --

6 QUESTION: Well, that's sort of unfair to your  
7 Supreme Court, but, you know --

8 MS. BALDWIN: I -- I --

9 QUESTION: -- that they didn't have the  
10 advantage of these arguments. But I don't think it stops  
11 us from addressing it.

12 MS. BALDWIN: I understand, Justice Scalia, and  
13 -- and I will definitely move on.

14 Regarding the firmly rooted issues in this  
15 case --

16 QUESTION: Before you get to that, I would like  
17 to be clear on why this declarant was unavailable. That  
18 is, you had two -- there were three people involved in --  
19 in this crime. One of them did testify in open court  
20 because his case had already been settled. That was  
21 Barker. But Mark Lilly had not yet been tried, and that  
22 was -- that made him unavailable because he was going to  
23 plead the Fifth. It was within the State's control, was  
24 it not, to deal with Mark just as it had dealt with  
25 Barker? And in that case, then Mark would have been

1 available. He would not have had access to the Fifth  
2 Amendment.

3 MS. BALDWIN: Well, Justice Ginsburg, I have two  
4 answers to that.

5 First of all, Benjamin Lilly conceded below that  
6 Mark Lilly was unavailable. So, that was not an issue  
7 that the petitioner has ever brought up or challenged in  
8 any way until some of the briefs that have been filed in  
9 this Court. But his unavailability was conceded below.

10 Secondly, the timing or the -- the -- or Mark  
11 Lilly being able to testify or not or take the Fifth  
12 Amendment or not was not in the State's control. Mark  
13 Lilly was the one who decided to take the Fifth Amendment.  
14 The arguments that have been made for the first time on  
15 brief are essentially that the -- that the State could  
16 have tried him first, which they could have, but that  
17 would have not taken away his Fifth Amendment right not to  
18 testify in Virginia. And -- and -- especially through  
19 direct appeal.

20 QUESTION: Well, so, why wouldn't he have been  
21 in any different situation than Barker? Barker did  
22 testify, did he not?

23 MS. BALDWIN: Barker made a deal with the  
24 Commonwealth in return for his truthful testimony. That's  
25 correct. He pled guilty and he made a deal. But Mark

1 Lilly was unwilling to make any kind of plea agreement  
2 with the Commonwealth. That was in Mark Lilly's complete  
3 ability to do that or not. That had nothing to do with  
4 the State controlling it. In fact, I mean, Mark Lilly  
5 obviously was unwilling to testify against his brother.  
6 In fact, he testified post verdict to what was pretty  
7 obviously perjured testimony in favor of his brother.

8 So -- so, there was -- the State was caught in  
9 this case. It had an accomplice who had given a  
10 confession, and the accomplice decided not to take the --  
11 not to testify against his brother. And in Virginia,  
12 that clearly makes him unavailable and under Federal law  
13 that -- for the Federal law for the same hearsay exception  
14 it makes him unavailable.

15 There -- there's no -- there's been some  
16 argument that the Commonwealth could have extended some  
17 kind of immunity to him. Well, in Virginia, there is no  
18 way to force a -- a witness to testify under these  
19 circumstances --

20 QUESTION: Your answer is that it was Mark  
21 Lilly's --

22 MS. BALDWIN: It was his decision. It had --

23 QUESTION: -- and not the State's.

24 MS. BALDWIN: It was not within the control of  
25 -- of the Commonwealth of Virginia. He took himself out



1 of the trial, and -- and -- and the Commonwealth would  
2 have liked to have had his testimony, but it did not.

3 Back to the firmly rooted nature of this -- of  
4 the hearsay exception, this Court has never found some  
5 type of subcategory that's being argued now of the  
6 statements against penal interest.

7 QUESTION: It doesn't have to be a subcategory.  
8 I mean, that's one way to put it, but -- but another way  
9 to put it is that's simply the admission of this testimony  
10 comes within a firmly rooted exception. You don't just  
11 ask whether in general there is an admission against penal  
12 interest, but whether a firmly rooted exception against  
13 penal interest would admit this testimony, this particular  
14 testimony.

15 MS. BALDWIN: Well, and I think another way --

16 QUESTION: If you want to call that a  
17 subcategory, then I guess that's okay, but do you -- do  
18 you --

19 MS. BALDWIN: I don't disagree with the  
20 statement of the question, Justice Scalia. Another way  
21 maybe of putting it, which I think is -- is the issue, is  
22 does this particular evidence in this case, the  
23 confession, meet the requirements of this -- of this  
24 established hearsay exception. If it meets it, if a trial  
25 court judge decides like he decides any other piece of

1 evidence, whether it's reliable or not, does it fulfill  
2 the requirements, then it comes in the -- into evidence.

3 QUESTION: And to decide whether it fulfills the  
4 requirements, you don't just proceed with a general  
5 definition, you know, admission against interest. You  
6 look to whether those courts who have an admission against  
7 interest general exception include this within it.  
8 Correct?

9 MS. BALDWIN: Well, that's correct, but also I  
10 think we have to know what we're talking about here.  
11 Statements against penal interest I think can -- is  
12 capable of having two different meanings, and I think  
13 those have gotten fudged in the petitioner's argument.

14 Statement against penal interest is a term of  
15 art. It also might have a -- a layman's sense that  
16 anytime somebody says something which on the surface looks  
17 like it's against their interest. We're not arguing and  
18 have never argued -- and in Virginia, that doesn't come in  
19 under a statement -- statement against penal interest. It  
20 has to be --

21 QUESTION: Well, a statement is -- the  
22 statements of -- of a party can always come in, and the  
23 ones that are introduced are usually adverse because  
24 they're introduced by the person who is opposing the  
25 party. A declaration against penal interest can come in

1 against anybody, and it's a very narrow exception.

2 MS. BALDWIN: It is a very narrow exception, Mr.  
3 Chief Justice. There's no question about it. And not a  
4 lot of evidence qualifies under it. And probably not a  
5 lot of accomplice confessions qualify under it. In fact,  
6 the Commonwealth of Virginia has -- has never argued and  
7 -- and I'm not arguing today. We don't need this Court to  
8 find this is a firmly rooted exception. There's nothing  
9 magic about that as far as governing the issue in this  
10 case. This is an evidentiary matter. Did it violate the  
11 Confrontation Clause?

12 And this Court has made very clear two things,  
13 that such -- such evidence can come in under exceptions to  
14 the hearsay rule and not violate the Confrontation Clause  
15 if it's either firmly rooted or if it otherwise has some  
16 indicia of reliability associated with it. And -- and in  
17 Virginia, that is what is looked at in every single case.  
18 So, we don't need this Court to rule that it's firmly  
19 rooted.

20 QUESTION: May I --

21 MS. BALDWIN: I don't think there's any question  
22 but --

23 QUESTION: May I ask on the second part, the  
24 otherwise reliable and so forth, do you think you can rely  
25 on evidence extraneous to the statement itself to

1 determine reliability?

2 MS. BALDWIN: I think that there's nothing to  
3 prevent a court from doing that, Justice Stevens, but I  
4 don't think that -- that in this case, for instance, that  
5 that's what was done. And I think it's the nature of  
6 the --

7 QUESTION: Well, didn't -- the Virginia Supreme  
8 Court did that, didn't it?

9 MS. BALDWIN: I don't believe they do if you  
10 look at how -- how this particular hearsay exception works  
11 and what the Virginia -- Virginia Supreme Court has always  
12 required.

13 First of all, it's -- it's a two-step hurdle  
14 that it -- that the evidence has to pass before it comes  
15 in. It's got to meet the general common law hearsay  
16 exception, but that hearsay exception itself requires that  
17 you look at the circumstances of the statement because it  
18 has to be a statement that is, yes, on its surface against  
19 his interest. He has to know it's against his interest.  
20 It has to be genuinely self-inculpatory.

21 So, once you pass that hurdle, my argument is  
22 that meets the corroboration rule even of *idaho v. Wright*,  
23 even though I don't think there's any requirement that  
24 that applies to anything except the type of residual  
25 hearsay exceptions that don't have their own indicia of

1 reliability with them.

2 Statements against penal interest do, and this  
3 is a separate argument from whether it's firmly rooted or  
4 not --

5 QUESTION: Ms. Baldwin --

6 MS. BALDWIN: -- whether it's widely accepted -  
7 -

8 QUESTION: Ms. Baldwin , I understand what you  
9 said in the abstract, but I keep thinking of the -- the  
10 statement here that was resisted was the statement that  
11 was highly inculpatory for Benjamin and made things look  
12 better. It cast -- the statement that was most damning  
13 for Benjamin cast Mark in a better light. So, I keep  
14 hearing statement against penal interest and it seems to  
15 me what is resisted here is the statement that is very  
16 much in Mark's interest and against Benjamin's interest.

17 MS. BALDWIN: I don't believe that any statement  
18 that Mark Lilly made in these confessions were in any way  
19 exculpatory of Mark Lilly, and that includes everything he  
20 said about his brother. You have to --

21 QUESTION: Well, isn't there something  
22 comparative? I mean, one thing is to say, yes, I was  
23 there caught red-handed at the scene of the crime, but I  
24 wasn't the triggerman. He was.

25 MS. BALDWIN: The only issue in this case -- and

1 I think this is a significant factor for this case, and I  
2 think it completely distinguishes it from Lee v. Illinois  
3 and any of the other cases that have found -- that have  
4 found this type of evidence inadmissible in those  
5 particular cases -- and that is that the only issue in  
6 this case -- the only issue -- was who pulled the trigger.  
7 There were no other issues in the case.

8 QUESTION: But at the time the statement was  
9 given, it was quite evident I think that Mark might have  
10 been charged with being the trigger or being directly  
11 complicit in pulling the trigger or in doing the killing.  
12 And so, at that point it is, it seems to me, exculpatory  
13 of -- of Mark.

14 MS. BALDWIN: Justice Kennedy, I disagree. I  
15 don't think the record proves that point which I know is  
16 what the petitioner has argued.

17 QUESTION: We can talk about the burden of proof  
18 later, but I mean, it's pretty common sense that you've  
19 got --

20 MS. BALDWIN: No, I don't --

21 QUESTION: -- a murder and three people. The  
22 first man to say, well, I didn't do it. That's -- that's  
23 -- that's seems to me exculpatory.

24 MS. BALDWIN: But by the time Mark Lilly was  
25 interviewed, Gary Barker had already confessed, had

1 already interviewed. The police knew what had happened.  
2 And the most important thing is that they came to Mark  
3 Lilly and they said, no one is --

4 QUESTION: You're the one -- you're the one  
5 that's introducing the statement. If you -- if you want  
6 to rely just on the other man, fine.

7 MS. BALDWIN: Maybe, Justice Kennedy, I didn't  
8 understand your question, but -- but I think it's  
9 significant here that Mark Lilly was never suspected --  
10 never suspected -- of being the triggerman and he was told  
11 that by the police officer who was -- who was interviewing  
12 him. And so, the only issue in the case then -- if the  
13 only issue in the case is who pulled the trigger, Mark  
14 Lilly by definition was not trying --

15 QUESTION: When was -- when was Mark charged or  
16 indicted?

17 MS. BALDWIN: They were -- I'm not sure of the  
18 exact date, but they were all charged --

19 QUESTION: Are you saying that at no -- at no  
20 point after the time that this third person, Barker, made  
21 his statement, that at no point did the State consider  
22 charging Mark with a capital offense?

23 MS. BALDWIN: That's correct.

24 QUESTION: And that's -- was there a finding to  
25 that effect?

1 MS. BALDWIN: No, Your Honor. The -- we have  
2 that from the statements themselves, and there is -- there  
3 is nothing in the record anywhere --

4 QUESTION: Well, one statement was recanted.  
5 Maybe Barker would recant his statement.

6 QUESTION: From what statements themselves?  
7 From the statements that the officers made to him?

8 MS. BALDWIN: Yes, from -- from the record of -  
9 - of --

10 QUESTION: -- often --

11 MS. BALDWIN: -- of the confession.

12 QUESTION: Sure, I mean, but officers never tell  
13 them things that are false?

14 MS. BALDWIN: Well, but I don't -- I don't  
15 think in -- for -- for the --

16 QUESTION: You know, they say, you know, you're  
17 home free. Just -- just tell us really who -- who pulled  
18 the trigger.

19 (Laughter.)

20 MS. BALDWIN: But, Justice Scalia, for the point  
21 that we're arguing, it wouldn't matter whether the police  
22 were lying or not because the point we're trying to look  
23 at now is what was Mark Lilly thinking when he made these  
24 statements.

25 QUESTION: Oh, and -- and witnesses always



1 believe what the police tell them when he says, you know,  
2 you're home free. Just tell us who pulled the trigger.

3 QUESTION: You're not -- you're not arguing then  
4 that this is a declaration against penal interest.

5 MS. BALDWIN: Mark Lilly's statements were a  
6 declaration against penal interest.

7 QUESTION: Well, I think it's very difficult to  
8 make out the case that when he says that his -- his  
9 brother who -- Ben was the triggerman, that that's a  
10 declaration against Mark Lilly's penal interest.

11 MS. BALDWIN: It's what caused Mark Lilly to be  
12 indicted, tried, and convicted of first degree murder. He  
13 was not -- this is not a -- a bystander watching something  
14 down the road occur. This is an active participant  
15 witness accomplice who tells the police information, and  
16 every piece of information is -- and it's crucial, what  
17 his brother did, the shooter -- made Mark Lilly guilty of  
18 the crimes that he is in prison for now.

19 QUESTION: Now, how did the statement that his  
20 brother Ben pulled -- was the triggerman -- how did that  
21 incriminate Mark?

22 MS. BALDWIN: It made him an accomplice to first  
23 degree murder which in Virginia he is punished as a  
24 principal in the first degree except for capital murder.  
25 He cannot receive the death penalty, but he receives -- he

1 can receive up to a life sentence for first degree murder.

2 QUESTION: Well, how -- how did that statement  
3 by itself -- Ben Lilly pulled -- was the triggerman. How  
4 did that make Mark Lilly an accomplice?

5 MS. BALDWIN: It established the murder. It  
6 established a -- a premeditated murder to which Mark Lilly  
7 was the accomplice. It absolutely was crucial to -- to be  
8 -- as far as being inculpatory as to Mark. Without  
9 that --

10 QUESTION: But he had said other things that  
11 said, here I was. Yes, the three of us were all in it  
12 together, and -- but then he said, but I didn't pull the  
13 trigger. He did. So, that -- I can see the rest of it  
14 saying, yes, he admitted to being at the scene of the  
15 crime and participating in it. But the one statement --  
16 that seems to me you cannot say --

17 MS. BALDWIN: But -- but Mark Lilly -- and I  
18 have to go back to this. There's nothing in the record,  
19 and in fact there's everything in the record against it,  
20 and that is Mark Lilly was never a suspect for being the  
21 triggerman. He was told that when he was being  
22 interrogated.

23 QUESTION: Do the prosecuting attorneys in the  
24 State of Virginia -- are they always bound by what the  
25 police tell the suspects when they charge?

1 MS. BALDWIN: No, they're not.

2 QUESTION: Of course, not.

3 MS. BALDWIN: But here we're talking about the  
4 reliability of Mark Lilly's statements, and that's all  
5 we're talking about.

6 QUESTION: Ms. Baldwin, in -- in deciding  
7 whether something is inculpatory or not, don't you have to  
8 take into account what information the police already have  
9 and what information the declarant knows the police  
10 already have? I mean, if he tells them stuff that he  
11 knows, they got him dead to rights on anyway, I guess you  
12 could say technically it's inculpatory, but for purposes  
13 of -- of -- of this rule as to whether it provide indicia  
14 of reliability, it seems to me it -- it's worthless. Just  
15 -- just giving the police something you -- you know they  
16 already have that the three of us were in it together,  
17 they knew all of that stuff.

18 MS. BALDWIN: I think that's what the Miranda  
19 rights, though, told Mark Lilly, is anything you say is  
20 going to be used against you. In fact, I think --

21 QUESTION: That's fine. Use it against me. I  
22 know you have all that anyway.

23 MS. BALDWIN: Well --

24 QUESTION: I mean, it's not significantly  
25 inculpatory. He knew they -- they had him dead to rights

1 on all of that stuff. The only thing he was giving them  
2 that was new was -- was, you know, my brother was the  
3 triggerman.

4 MS. BALDWIN: I have to disagree. I think that  
5 everything that Mark Lilly said was the basis upon which  
6 he was charged with first degree murder and convicted of  
7 first degree murder.

8 QUESTION: All right. Assuming that, you're --

9

10 MS. BALDWIN: So, they were self-inculpatory.

11 QUESTION: Assuming that, you're still left with  
12 the point that everything he said also formed a pretty  
13 good predicate, if it was accepted, for avoiding the  
14 possibility of the death penalty. And your answer to  
15 that, as I understand it, is, well, the police had told  
16 him that -- that he wouldn't be charged or they didn't  
17 believe that he was the triggerman. Well, one good way to  
18 try to ensure that the police continue to -- to feel that  
19 way is to make a statement that fingers someone else as  
20 the triggerman. And to that extent, it is certainly very  
21 much to his advantage to say exactly what he said about  
22 his brother.

23 MS. BALDWIN: I'm not sure the test is does --  
24 is the statement that the -- the individual is giving to  
25 his advantage as to whether it's reliable or not. I'm not

1 even sure the test is, is the statement he's giving --  
2 does he think that's going to please the police. Of  
3 course. That would be every single confession situation.  
4 The test is, is this an individual who is making a  
5 genuinely self-inculpatory statement believing that it  
6 will result in his imprisonment or -- or something like  
7 that.

8 QUESTION: And let's assume --

9 MS. BALDWIN: And he tells us that.

10 QUESTION: Let's assume that it is, and let's  
11 assume also that it has a separate function, that it has a  
12 different character, and that different character is  
13 making certain that it will be his brother and not himself  
14 who is charged and convicted of, if anyone is convicted,  
15 of -- of -- or sentenced to death.

16 MS. BALDWIN: But, Justice --

17 QUESTION: And -- and your answer to that, as I  
18 understand it, is, well, the police had indicated to him  
19 in advance that they did not understand him to be the  
20 triggerman. And it seems to me that that is beside the  
21 point. It is still in his interest to make sure that  
22 someone else is seen as the triggerman, and in that  
23 respect his statement has an entirely different function  
24 from its function against penal interest with respect to  
25 everything other than the death penalty.

1 MS. BALDWIN: I think that the cases have never  
2 held that if it is -- if it is something that isn't in his  
3 best interest to say, that that somehow makes it  
4 unreliable. Absent some additional evidence in the case  
5 showing that this is a person who was trying to fabricate  
6 a statement to get out of trouble for -- as in Lee where  
7 in Lee v. Illinois, the declarant is refusing to talk  
8 until the police come in and say essentially the other  
9 person is saying you did it, and so there is a reason on  
10 that issue for that person to fabricate information on  
11 that point. No, the other person did the shooting.

12 We don't have that in this case. It is  
13 strikingly absent. To this day, Benjamin Lilly has never  
14 claimed that his brother was either the shooter or was any  
15 more guilty than what he said in his own statements.  
16 There's just -- there's nothing in there to indicate it.  
17 There's never been -- in fact, there's never been any  
18 evidence anywhere in this case that anyone other than  
19 Benjamin Lilly was the shooter, the only issue in the case  
20 again.

21 When -- and I think other indicia of reliability  
22 connected with these statements which come again from the  
23 confessions -- and I think it's important that one of the  
24 indicia of reliability is the fact that we have  
25 transcripts of the statements, that we have the tape of

1 the statement that this Court can listen to, that the  
2 trial court could listen to, that you can determine by  
3 listening to the entire statement is this a person who is  
4 making this up trying to get out of a death penalty or is  
5 this something that has the ring of truth, that has  
6 reliability to it?

7 QUESTION: Well, but I think when you -- when  
8 you state those tests, you're getting away from the  
9 declaration against penal interest, and saying that may be  
10 this is a residual hearsay exception, that there are  
11 indicia of reliability. But I don't think you make it a  
12 declaration against penal interest.

13 MS. BALDWIN: Well, Mr. Chief Justice, I think  
14 that -- that that's the way it came in. I mean, the  
15 Virginia Supreme Court found that this met the  
16 requirements for the exception for statements against  
17 penal interest.

18 QUESTION: But I -- I think it's very difficult  
19 just to see the statement in the abstract. A says B was  
20 the triggerman, that that's a declaration against penal  
21 interest. Now, I know you feel differently about it, but  
22 I have trouble with that.

23 MS. BALDWIN: Well, otherwise Mark Lilly would  
24 not be guilty today. I mean, these are -- these are  
25 statements that -- and I think one of the tests that the

1 Court can look at is, is a statement that any accomplice  
2 would say in a confession -- is it something that could be  
3 used against him in his own trial? If it is --

4 QUESTION: Why -- why wasn't Barker's testimony  
5 good enough to put Mark away?

6 MS. BALDWIN: Well, it certainly was, but --

7 QUESTION: Well, then you --

8 MS. BALDWIN: And that was additional evidence.

9 QUESTION: Well, you know, but -- but you say  
10 that Mark would not be in prison but for these statements.  
11 That's just not right.

12 MS. BALDWIN: Well, if --

13 QUESTION: They had plenty of evidence. They  
14 caught them at the scene. Barker testified, et cetera.

15 MS. BALDWIN: I can tell you this, that if Mark  
16 Lilly had not pled guilty, if he had had a trial with a  
17 jury, this statement would have come in and the prosecutor  
18 would have argued that this statement showed that Mark  
19 Lilly committed first degree murder -- was responsible for  
20 first degree murder.

21 QUESTION: You're saying the only reason he's in  
22 jail today is because of the statement he made to the  
23 officers, and that's just not correct, unless I -- unless  
24 I misinterpreted --

25 MS. BALDWIN: I misspoke then. No, that's not



1 the only reason. Yes, the -- the Commonwealth certainly  
2 would have had other evidence. But if we're looking at  
3 the self-inculpatory nature of the statements themselves.  
4 And -- and the questions I've been getting are -- is that  
5 if he says somebody else did the shooting, somehow that's  
6 not self-inculpatory. My argument is it certainly is. At  
7 his own trial it would have been admitted against him as  
8 proof of guilt.

9 QUESTION: Let's conceded that it's both  
10 inculpatory and exculpatory. I still don't think the  
11 penal interest rule has been established.

12 MS. BALDWIN: Well, I think that there are other  
13 indicia of reliability. I think that you have to look at  
14 the totality of the circumstances under which the  
15 statement was given.

16 QUESTION: But that was not the basis on which  
17 it came in. Is that correct?

18 MS. BALDWIN: I think it is. I think --

19 QUESTION: Then I misunderstood your -- your  
20 answer to the Chief Justice. I thought it came in -- I  
21 thought Virginia -- the Virginia court sustained its  
22 admission on the basis of the firmly established  
23 exception.

24 MS. BALDWIN: Yes, it does.

25 QUESTION: Okay. So, it didn't come in under

1 the residual hearsay exception.

2 MS. BALDWIN: Correct. This was a statement  
3 against penal interest. The Virginia Supreme Court found  
4 this came under that and in addition found -- and in  
5 Virginia what is required is that it meet the common law  
6 exception. And in addition to that, the prosecutor has to  
7 show that the evidence is also corroborated by other  
8 evidence.

9 QUESTION: But in any case, it would not be open  
10 to us if -- if we think that -- that it was not properly  
11 admitted insofar as -- as a -- an -- a firmly established  
12 exception, it would not be open to us here to hold in your  
13 favor on grounds of -- of -- its carrying sufficient  
14 indicia of -- of reliability. We would have to send it  
15 back to Virginia if that were our view, wouldn't we?

16 MS. BALDWIN: If -- if -- no, Your Honor. I  
17 don't think you would.

18 QUESTION: I mean, we in the first place are not  
19 going to litigate that issue.

20 MS. BALDWIN: No. In the Virginia Supreme Court  
21 it was -- what was litigated under the State evidentiary  
22 law was whether this was reliable because that is the  
23 touchstone for the State evidence to come in under this  
24 exception.

25 QUESTION: Yes, but wasn't the reliability

1 established by virtue of the statements being within the  
2 firmly established exception?

3 MS. BALDWIN: Oh, no. No, Justice Souter, it  
4 was not. The Virginia Supreme Court found that this was a  
5 genuinely self-inculpatory statement, that Mark Lilly knew  
6 was self-inculpatory when he made it. In other --

7 QUESTION: They said regardless of the penal  
8 interest exception, this is reliable, independently  
9 reliable regardless of the penal interest exception. Is  
10 that what they said?

11 MS. BALDWIN: No. They found that it met the  
12 penal interest exception because it was a genuinely -- it  
13 was genuine statements against his interests that he knew  
14 were against his interests.

15 QUESTION: That's what I thought.

16 MS. BALDWIN: And then in addition to that,  
17 there was also corroborating evidence to show its  
18 reliability.

19 And then in addition to that, the Virginia  
20 Supreme Court found that for Confrontation Clause  
21 purposes, that this was a firmly rooted exception.

22 QUESTION: May I ask on that question, in your  
23 view, to decide whether an exception is firmly rooted, is  
24 it sufficient that it's firmly rooted in Virginia?

25 MS. BALDWIN: We're not taking that -- we're not

1 taking --

2 QUESTION: You don't take that position.

3 MS. BALDWIN: No.

4 QUESTION: All right. So, you have to look at  
5 what happened in other States.

6 MS. BALDWIN: Yes.

7 QUESTION: And if you've surveyed the States and  
8 you find that a -- a given State, a hypothetical State,  
9 that says, yes, we have a -- a declaration against penal  
10 interest exception to the hearsay rule, however that does  
11 not encompass declarations when they are by an accomplice  
12 against a third party, which side of the line would we  
13 count that State, as supporting a firmly rooted or as not  
14 supporting a firmly rooted?

15 MS. BALDWIN: I suppose the Court would have to  
16 put that in the not firmly rooted. I -- I don't know how  
17 to -- I think there's a -- there's a confusion between  
18 something that's firmly rooted and whether the evidence in  
19 a particular case was reliable enough to come in.

20 QUESTION: Well, I'd like to keep it categorical  
21 for the purpose of my question.

22 MS. BALDWIN: Correct.

23 QUESTION: And if you had a category in a given  
24 State the totally excluded accomplice statements even  
25 though they were self-incriminating, you would say that

1 should not count.

2 MS. BALDWIN: I would think that would not  
3 count, but there's a minority of States that have said  
4 that in those terms --

5 QUESTION: I understand.

6 MS. BALDWIN: -- to my knowledge of any  
7 States ---

8 QUESTION: But there's a debate between the two  
9 of you on the extent to which there are those States --

10 MS. BALDWIN: I understand.

11 QUESTION: So, that's a question we really have  
12 to research the State laws at some depth.

13 MS. BALDWIN: I think there are very few States  
14 that have said that in such categorical terms. Now, what  
15 a lot of cases have said is that in a particular case, the  
16 evidence doesn't -- is not reliable. And --

17 QUESTION: I'm staying away from the reliability  
18 inquiry and looking at the cases that they tried to  
19 subcategorize in their reply brief.

20 MS. BALDWIN: Correct. I think -- I think you  
21 -- we have no argument with the fact that there could be,  
22 I guess, a subcategory of factual situations where the  
23 evidence doesn't come in, but I think the question is who  
24 gets to decide whether the evidence is reliable enough.  
25 And -- and obviously, the petitioner's argument is that -

1 - at least until argument this morning, has been that  
2 there should be a per se rule. It just -- it doesn't come  
3 in at all. It can't even be considered by the lower  
4 courts.

5 And -- and -- and I think, you know, our  
6 argument is -- is actually pretty simple, and that is that  
7 this is just a pure evidentiary matter to be decided upon  
8 the facts of individual cases, the facts and  
9 circumstances, and that that's what occurred here.

10 And I think that the -- the factors in the case,  
11 the fact that during this confession there were no  
12 promises of leniency made, the fact that Mark Lilly had  
13 the Miranda warnings given to him, the fact that he was  
14 caught when he was arrested before he even had a chance to  
15 talk to Gary Barker or anybody else to decide who was  
16 going to fabricate some story, the fact that these were  
17 statements against his own brother, the fact that he made  
18 these statements and clearly the tenor of the statements  
19 in the confession on the audiotapes was that he was very  
20 reluctant to say anything bad about his brother -- in  
21 fact, it was Gary Barker who said a lot more, went to much  
22 more extreme and more detail as to what Ben Lilly had done  
23 and said. Mark Lilly was reluctant, and the fact that his  
24 -- his statements were I believe genuinely self-  
25 inculpatory.

1           And to the extent that a particular statement  
2 this Court would believe was not self-inculpatory, it --  
3 Virginia allows in an entire statement, including  
4 collateral statements, to a -- an inculpatory statement.  
5 And there's nothing in the Constitution that prevents such  
6 a rule. Williamson --

7           QUESTION: Ms. Baldwin, the Constitution does  
8 says something about the right to be confronted with the  
9 witnesses against him. And Mr. Sacks emphasized that  
10 whether we talk about a hearsay rule, the main thing is  
11 would cross examination be of marginal utility. Would you  
12 agree that that's really the underlying theme here that  
13 you -- you say, well, you don't need to have the witness  
14 if cross examination would be of marginal utility?

15           MS. BALDWIN: Mr. Chief Justice, I see my light.  
16 May I answer the question?

17           QUESTION: Yes.

18           MS. BALDWIN: That is not our position, Justice  
19 Ginsburg. Our position is --

20           QUESTION: I think you've answered the question.

21           MS. BALDWIN: Thank you.

22           (Laughter.)

23           QUESTION: Mr. Sacks, you have 3 minutes  
24 remaining.

25           MR. SACKS: Mr. Chief Justice, we waive our

1 rebuttal.

2 CHIEF JUSTICE REHNQUIST: The case is submitted.

3 (Whereupon, at 12:00 p.m., the case in the  
4 above-entitled matter was submitted.)

5

6

7

8

9

10

11

12

13

14

15

16

17

18

19

20

21

22

23

24

25



## CERTIFICATION

Alderson Reporting Company, Inc., hereby certifies that the attached pages represents an accurate transcription of electronic sound recording of the oral argument before the Supreme Court of

The United States in the Matter of:

BENJAMIN LEE LILLY, Petitioner v. VIRGINIA.

CASE NO: 98-5881

and that these attached pages constitutes the original transcript of the proceedings for the records of the court.

BY: *Siona M. May*  
(REPORTER)