## Objections: Interrogatories, Depositions, and Trial

Brien A. Roche Christine M. Reilly



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## OBJECTIONS:

# $\begin{array}{c} {\bf Interrogatories,\, Depositions,} \\ {\bf And\, Trial} \end{array}$

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		ors	
		s Checklist	
СНАІ	PTER 1:	OBJECTIONS IN GENERAL	
1.1	OVERV	IEW	1
	1.101	Virginia Practice	1
	1.102	Purpose	3
	1.103	Foregoing Objections	
	1.104	Making an Objection	
	1.105	Abuse of Discretion	
	1.106	Avoiding Objections	12
	1.107	Settlement	
	1.108	Lesser Included Offenses	
	1.109	Appellant Must Preserve Error	14
1.2	PROCE	DURES AND DEFINITIONS	14
	1.201	Objection Sustained	14
	1.202	Exhibit Denied and Returned	17
	1.203	Objection Overruled	17
	1.204	Curative Instructions	
	1.205	Harmless Error	18
	1.206	Structural Error	19
	1.207	Waiving Objections	19
	1.208	Motions in Limine	21
	1.209	Motion for Mistrial	21
	1.210	Speaking Objections	22
	1.211	Absence of Ruling by Court	22
	1.212	Absence of Reason for Ruling	24
	1.213	Stating Objection Within Order	24
	1.214	Laying the Foundation Within the Pleadings	26
	1.215	Ends of Justice	26
	1.216	Motion to Strike Evidence at Conclusion	
		of Plaintiff's Case and Conclusion of All	
		Evidence	26

	1.217	Presentation of Evidence by Defendant	
		During Plaintiff's Case in Chief	27
	1.218	Renewing an Objection Made at Suppression	
		Hearing	
	1.219	Effect of Guilty Plea	29
СНАТ	DTER 9.	DISCOVERY	
CIIA	l Illit 2.	BISCOVERT	
2.1		VERY RULES	
	2.101	Scope of Discovery Generally	
	2.102	Specific Guidance	
	2.103	Certification	
	2.104	Discovery After Nonsuit	
	2.105	Domestic Relations Cases	
	2.106	Interviewing Employee of a Corporate Entity	35
2.2	MOTIC	ONS TO COMPEL	36
	2.201	In General	
	2.202	Notice	
	2.203	Jurisdiction	
2.3	PROTE	ECTIVE ORDERS	37
	2.301	In General	37
	2.302	Relief Requested	38
	2.303	"Attorneys' Eyes Only"	38
2.4	OBJEC	CTIONS TO DISCOVERY	38
4.4	2.401	In General	
	2.401 $2.402$	Basic Rules on Objections	
	2.402	Dasic itules on Objections	40
2.5	INTER	ROGATORIES	53
	2.501	In General	53
	2.502	Excessive Number	54
	2.503	Eliciting Opinion or Legal Conclusion	55
2.6	BEOID	ESTS FOR PRODUCTION	56
2.0	2.601	Procedure	
	2.601 $2.602$	Business Records	
	4.004	Dubiiicbb 11cttiub	

	2.603	Tax Returns	57
	2.604	Surveillance Information	
	2.605	Photographs	
	2.606	Criminal History Records	
	2.607	No Responsive Documents	
	2.608	Using a Privilege Log	
	2.609	Electronic Discovery	
	2.610	Request for Social Media Postings	
2.7	SUBPO	DENAS DUCES TECUM	61
	2.701	Motion to Quash	61
	2.702	Grounds for Objection	
	2.703	Business Records Production	62
	2.704	Request for Mental Health Records	
	2.705	Electronic Communications	63
2.8	ADMIS	SSIONS	63
	2.801	In General	63
	2.802	Requesting an Opinion	
	2.803	Lack of Knowledge	64
	2.804	Objection Based on Shifting Burden	64
	2.805	Enforcing Discovery	64
	2.806	Sanctions for Failure to Admit	65
	2.807	Withdrawal or Amendment of Admission	65
	2.808	Testimony That Contradicts Admission	65
	2.809	Use of Pleadings	66
	2.810	Use of Depositions	66
	2.811	Requests for Admissions Are Not Discovery	66
2.9	DEPOS	SITIONS	66
	2.901	In General	66
	2.902	Depositions on Written Questions	71
	2.903	Form Versus Content	71
	2.904	Agreements by Counsel on Objections	73
	2.905	Use at Trial	74
	2.906	Rules of Court	75
	2.907	Instructing Witness Not to Answer or	
		Suspending the Deposition	
	2.908	Dealing with "Speaking" Objections	77

	2.909	Dealing with a Nonresponsive Witness	78
	2.910	Going off the Record	
	2.911	Notice of Deposition	78
	2.912	Experts	78
	2.913	Corporate Designations	79
	2.914	Use in Summary Judgment Actions	87
	2.915	Waiving Signature and Amending	
		Deposition Testimony	87
	2.916	Video Depositions	87
	2.917	Scheduling	87
	2.918	Remote Deposition Questions	88
2.10		CAL AND MENTAL EXAMINATIONS	
2.11	UNINS	URED MOTORIST CLAIMS	90
2.12	OBTAI	NING MEDICAL RECORDS	90
2.13	CRIMI	NAL DISCOVERY	91
	2.1301	Scope	
	2.1302	Misdemeanors	
	2.1303	Felonies	
CHA	PTER 3:	PRETRIAL MOTIONS	
3.1	PRETR	IAL MOTIONS	97
	3.101	In General	
	3.102	Motion in Limine	97
3.2	TYPES	OF OBJECTIONS	98
	3.201	Lack of Proper Notice or Service	98
	3.202	Jurisdiction	101
	3.203	Necessary Party	103
	3.204	Misjoinder	104
	3.205	Lack of Capacity	105
	3.206	Lack of Standing	
	3.207	Improper Venue	
	3.208	Demurrer and Bill of Particulars	108

	3.209	Motion Craving Oyer	111
	3.210	Plea in Bar	
	3.211	Bankruptcy	113
	3.212	Workers' Compensation Immunity	114
	3.213	Statute of Frauds	114
	3.214	Statute of Limitations	115
	3.215	Failure to Exhaust Administrative	
		Remedies	116
	3.216	Improper or No Signature of Counsel on	
		Pleading	117
	3.217	Pleading Other Affirmative Defenses	117
	3.218	Other Pleading Issues	123
	3.219	Motion to Stay	125
	3.220	Motion to Preclude Argument on Safety	
		Rules or Protecting Community	125
	3.221	Effect of Amended Pleading	125
CHAI	PTER 4:	JURY SELECTION	
4.1	THE JU	JRY LIST AND PANEL	127
	4.101	Objections Before Jury Is Sworn	127
	4.102	Waiver of Objections	127
4.0	HIDVO	EARCH	100
4.2	JURYS	EARUH	128
4.3	VOIR D	IRE	198
4.0	4.301	In General	
		Virginia Practice	
	4.302 $4.303$	Extent of Court's Discretion	
	4.000	Extent of Court's Discretion	120
4.4	OBJEC'	TIONS TO VOIR DIRE	130
	4.401	Making Objections	130
	4.402	Preserving Objections	132
	4.403	Controversial Client or Issue	132
	4.404	Prejudicial Statements Made by a Panel	
		M l	199
		Member	133
4.5	HIDOD	REHABILITATION	

4.6	OBJEC	TION TO STRIKE JUROR	134
4.7	SENTE	NCING BY A JURY	135
CHAI	PTER 5:	OPENING STATEMENT	
5.1	ANTICI	PATING OBJECTIONS TO THE OPENING	
	STATE	MENT	137
	5.101	Motions in Limine	
	5.102	Strategic Planning	
	DD 4 0m	TOTAL ADDITIONAL TOTAL	
5.2		ICAL APPLICATIONS	138
	5.201	Objections During Opening Statement	
	5.202	Examples of Objections	
	5.203	Limits on Opening Statement	141
CHAI	PTER 6:	TRIAL OR HEARING	
0.1	ANIMICI	IDAMING OD IECMIONG	1.40
6.1		PATING OBJECTIONS	
	6.101	Strategic Planning	
	6.102	Controversial Issues	
	6.103	Spoliation of Evidence	
	6.104	Criminal Objections or Defenses	144
6.2	RULE (	ON WITNESSES	144
6.3		TIONS TO CONTENT	
	6.301	Asked and Answered	
	6.302	Competence of Witness	
	6.303	Cumulative Evidence	150
	6.304	Failure to Comply with Court Order or	
		Discovery Requests	
	6.305	Hearsay Generally	151
	6.306	Hearsay Exceptions Applicable Regardless	
		of Availability of Declarant (See Rule 2:803)	
	6.307	Other Considerations	165

	6.308	Hearsay Exceptions When the Declarant	
		Is Unavailable (See Rule 2:804)	174
	6.309	Double Hearsay	176
	6.310	Immaterial	177
	6.311	Irrelevant	177
	6.312	Nonresponsive	182
	6.313	Prejudice, Confusion, Misleading the Jury	184
	6.314	Character Evidence	
	6.315	Violates Parol Evidence Rule	186
	6.316	Privileged Communication	188
	6.317	Company Rules	191
	6.318	Company Rules	191
	6.319	Judicial Notice of Adjudicative Facts	
	6.320	Procedural Issues	
	6.321	Admission of Affidavits	193
	6.322	Objections to Jurisdictional Elements	193
	6.323	Lay Opinions	193
	6.324	Prior Litigation	
6.4		TIONS TO FORM	
	6.401	In General	
	6.402	Argumentative	
	6.403	Assumes Facts Not in Evidence	
	6.404	Beyond the Scope of the Direct Testimony.	
	6.405	Badgering or Bullying Witness	
	6.406	Bolstering	
	6.407	Compound Questions	
	6.408	Improper Hypotheticals	
	6.409	Impeaching Own Witness	
	6.410	Proper Attempt to Impeach	
	6.411	Improper Question or Improper Form	201
	6.412	Contains Inaccurate Summary or	
		Erroneous Quote of Testimony	
	6.413	Lack of Foundation	
	6.414	Not the Best Evidence	
	6.415	Leading	
	6.416	Calls for a Narrative	
	6.417	Question Is Overly Broad	
	6.418	Calls for Speculation or Conclusion	207

	6.419	Unintelligible or Ambiguous	
	6.420	Commenting on Other Testimony	
	6.421	Addressing Juror by Name	208
	6.422	Counsel Is Testifying	
	6.423	Improper Characterization	
	6.424	Improper Judicial Questioning	
	6.425	Habit	
	6.426	Rule of Completeness	209
6.5	EXHIBI	TS	210
0.0	6.501	In General	
	6.502	Objections Specific to Exhibits	210
	6.503	Countering Objections to Exhibits	
6.6	NONSU	JITS	221
0.7	DEOLIE	NOME FOR DEVICE COMPEDENCES	000
6.7	•	STS FOR BENCH CONFERENCES	
6.8	REBUT	TAL	223
6.9		RAWN PLEAS, OFFERS TO PLEAD, AND	
	RELAT	ED STATEMENTS	224
C 10	ADMIG	SIBILITY OF COMPLAINING WITNESS'S	
6.10		SEXUAL CONDUCT; CRIMINAL SEXUAL	
		LT CASES; RELEVANCE OF PAST	
		TOR	994
	DEIIAV	10k	44
6.11	JURY I	NSTRUCTIONS	225
6.12	LAW O	F THE CASE	228
6.13	INACCI	URATE ASSIGNMENT OF ERROR	990
0.10	INACC	ORATE ASSIGNMENT OF ERROR	440
6.14	INVITE	D ERROR DOCTRINE	229
C 15	A DDDO	BATE AND REPROBATE DOCTRINE	വെ
6.15	APPKU	DATE AND REPRODATE DUCTRINE	230
6.16	MOTIO	N TO REINSTATE A CASE	230

6.17		CT MATTER VERSUS ACTIVE DICTION	231
CHA	PTER 7:	EXPERT WITNESSES	
7.1	OBJEC	TIONS TO OR ATTACKS ON EXPERTS	233
	7.101	In General	233
	7.102	Common Knowledge	234
	7.103	Reliability of the Science (Daubert	
		Objection)	236
	7.104	Qualifications	
	7.105	Lack of or Inadequacy of Foundation	
	7.106	Inadequate Identification	
	7.107	Designation Not Timely	
	7.108	Bias or Lack of Independence	
	7.109	Improper Hearsay	
	7.110	Opinion on the Ultimate Issue	
	7.111	Number of Witnesses	
	7.112	Objections to Form	245
	7.113	Use of Hypothetical	246
	7.114	Designating Expert Without Expert's	
		Approval	247
	7.115	No Entries Testimony	247
	7.116	Motion to Strike	247
7.2	OTHER	EXPERT CONSIDERATIONS	248
	7.201	Using the Expert Against the Proponent	248
	7.202	Learned Treatises (Rule 2:803(18))	248
	7.203	Use of Other Statements in the Learned	
		Treatise on Cross-Examination	250
	7.204	Use of Treating Doctor as Expert Witness	251
	7.205	Medical Malpractice Peer Review	
		Documents	253
	7.206	Discovery of Expert Files	253
	7.207	Fees	
	7.208	Ex Parte Communications with an Expert	256
	7.209	Disqualification of an Expert	256
	7.210	The "No Opinion" Expert	256

	7.211	The Expert Report	.257
	7.212	Abuse of Discretion	
	7.213	Medical Examiner's Report	.257
CILAT	med e.	OBJECTIONS BASED ON CONDUCT	
СПАР		E JUDGE	
	01 111	2 9 C D G L	
8.1	INTRO	DUCTION	.259
8.2	IMPRO:	PER COMMENT ON THE EVIDENCE	.260
8.3	CONDI	JCT OF THE COURT THAT EMBARRASSES	
0.0		SELSEL	261
	COUNS	EL.	.201
8.4	ADVER	SARIAL EXAMINATION OF WITNESSES	
	BY THE	E COURT	.262
8.5	TONE (	OF VOICE OR FACIAL GRIMACES	.263
0.0	CONCIL	DERATIONS	004
8.6	CONSII	DERATIONS	.264
8.7	TIME R	ESTRAINTS	.264
···			
8.8	CONTE	MPT	.264
CITAT	WED 0	HIDOD MICCONDICT	
CHAI	TER 9:	JUROR MISCONDUCT	
9.1	TYPES	OF MISCONDUCT	267
0.1	9.101	In General	
	9.102	External Contact Defined	
9.2		TIONS TO JUROR MISCONDUCT	
	9.201	Showing of Prejudice	
	9.202	Juror Affidavits or Testimony	
	9.203	Harmless Contacts	
	9.204	Virginia Rule	
	9 205	Procedure	269

CHAP	TER 10:	CLOSING A	RGUMENT		
10.1	VIRGINI	A'S VIEW			271
10.2	NEED FO	OR CONTEM	PORANEOUS	OBJECTION	V271
10.3	ARGUMI	ENT MUST H	IAVE A FACTI	UAL BASIS	272
10.4	PRESER	VING OBJEC	CTIONS		272
10.5	BASES F	OR OBJECT	ION		273
10.6	OBJECT	IONS MADE	AT CLOSING		277
TABL	E OF AU	THORITIES			279
INDE	X			<u>,</u>	I-1
		5			

Some common instances of interjections by counsel that are inappropriate and should not be allowed are: "If you know," or "If you remember." These are simply cues to the witness to say, "I don't know" or "I don't remember."

- **2.909 Dealing with a Nonresponsive Witness.** Methods of dealing with a nonresponsive witness in a deposition may be somewhat different than the way this would be done at trial. At trial, counsel can ask the court to intervene, although the situation must generally have deteriorated before the judge will admonish a witness on this issue. With a jury present, the damage from the nonresponsive testimony may have already been done, so counsel should be prepared to object and, if necessary, to ask that such evidence be stricken.
- 2.910 Going off the Record. Sometimes, an attorney may try to control a deposition unilaterally by going off the record. This should be done by consent only. When this occurs, it can sometimes put the court reporter in the middle because the reporter's loyalty may lie with the attorney who retained him or her. In some instances, counsel may need to remind the court reporter that technically the reporter's duty is simply to record everything that is stated once the deposition begins.
- **2.911 Notice of Deposition.** If a deposition is noticed by one party, are the non-defending parties allowed to partake? Probably they are, although it may make sense to file your own notice to be on the safe side.
- 2.912 Experts. 164 There are a number of issues involving objections that arise relating to experts or what may be called quasi-experts. In a medical malpractice action, the defendant doctor is technically not an expert and therefore should not be asked about standard of care opinions formed post-treatment but

<sup>&</sup>lt;sup>163</sup> See paragraph 6.312 of Chapter 6 of this book for practical suggestions.

<sup>&</sup>lt;sup>164</sup> See Chapter 7 of this book regarding expert witnesses.

certainly can be asked questions about professional opinions formed as the care was rendered to the plaintiff.

Letters from counsel to the expert are a frequent source of controversy. If those letters contain any statement of facts, then the requesting party is entitled to know what those facts are, as section 8.01-401.1 of the Virginia Code expressly provides for the expert disclosing underlying facts. To the extent that letters from counsel contain a statement of facts, those facts are discoverable. That may, however, require redaction of any statements of opinion by counsel. As to documents protected under section 8.01-581.17 in a medical malpractice action, peer review, quality care assurance, and professional program records may not be discoverable, but policy manuals or treatment protocols probably are discoverable. <sup>165</sup>

Expert discovery is limited by:

- 1. Rule 4:1(b)(3) as to experts not to be called at trial: and
- 2. Rule 4:1(b)(4) requiring a court order for information other than what is allowed under this rule. 166

When opposing counsel's opening question to the expert witness is "Please tell me all of your opinions":

Objection: To the form of the question as all of the opinions are set forth in the expert designation.

Reply: I am still entitled to an answer on the record.

**2.913 Corporate Designations.** Under Rule 4:5(b)(6), a party may give notice of deposition to an organization and request

 $<sup>^{165}</sup> Johnson\ v.$  Roanoke Mem'l Hosps., Inc., 9 Va. Cir. 196, 205-06 (Roanoke City 1987).

<sup>&</sup>lt;sup>166</sup> Flora v. Shulmister, 262 Va. 215, 222, 546 S.E.2d 427, 430 (2001).

that a witness be designated to testify on matters that are designated and described with reasonable particularity in the notice. Before, or promptly after the notice or subpoena is served, the serving party and the organization are required to confer in good faith about the matters that are described for examination. If the organization is a non-party, the subpoena must advise of the organization's duty to make the witness designation and to confer with the serving party. A recurring problem in regard to corporate designees is that a witness is produced who has no substantial knowledge of the issues addressed. If there is truly no one within the organization who has information, then a written response should be filed stating that. If a person is produced by designation, then that person should be someone who either has personal knowledge or has been prepared by the corporation to give binding answers for the corporation.<sup>167</sup>

The rule indicates that the organization's designee can be made to testify concerning matters known or reasonably available to the organization. The rule's description of "matters known or reasonably available to the organization" probably extends to the testimony of employees who are fact witnesses. Such a corporate designee deposition can be a potent weapon for the party making the request since this is substantive testimony. Conversely, it can also be a very dangerous situation for the organization because the designee speaks for the entity and deposition testimony can be "used for any purpose," 168 so proper preparation is important. The statement of issues presented by the notice should be closely scrutinized and appropriate objections filed if the deposition exceeds the scope of the request. 169

Objections to the notice given under Rule 4:5(b)(6) should be filed and ruled on before the deposition. Those objections might include:

<sup>&</sup>lt;sup>167</sup> United States v. Taylor, 166 F.R.D. 356, 361 (M.D.N.C. 1996).

<sup>168</sup> Va. R. 4:7(a)(3).

<sup>169</sup> Va. Code § 8.01-420.4:1.

- Overbreadth—the notice should define the areas of inquiry with reasonable particularity. It is unfair to subject the organization to a deposition that has no discernable outer boundaries.<sup>170</sup>
- Improper purpose—for example, in *Mattel*, *Inc. v. Walking Mountain Productions*, <sup>171</sup> the court sanctioned the plaintiff for indirectly attacking the opposing expert witness by noticing a Rule 4:5(b)(6) deposition with the expert's employer.
- Privilege—some courts preserve privileged or protected areas of inquiry and do not require corporate deponents to comment on those matters.<sup>172</sup> If the notice indicates that privileged information is being requested, the entity should seek a protective order. Other courts have ruled that facts discovered by corporate counsel during internal investigations are part of the corporate knowledge and are discoverable.<sup>173</sup>

A motion to quash improper service or to stay the taking of the deposition may also be considered in the appropriate circumstances.<sup>174</sup>

<sup>170</sup> Reed v. Nellcor Puritan Bennett & Mallinckrodt, Inc., 193 F.R.D. 689 (D. Kan. 2000).

<sup>171 353</sup> F.3d 792 (9th Cir. 2003).

<sup>&</sup>lt;sup>172</sup> See, e.g., Alliance for Global Justice v. District of Columbia, 437 F. Supp. 2d 32, 37 (D.D.C. 2006). But see E.E.O.C. v. Caesars Entm't, Inc., 237 F.R.D. 428 (D. Nev. 2006) (explanation of corporation's responses to discrimination charges was not privileged).

<sup>&</sup>lt;sup>173</sup> In re Linerboard Antitrust Litig., 203 F.R.D. 197 (E.D. Pa. 2001).

<sup>&</sup>lt;sup>174</sup> The discussion on objections first appeared in Virginia CLE's seminar materials, *The Designated Hitter: Deposing a Corporation's Designated Witness Under Federal Rule 30(b)(6) or Virginia Rule 4:5(b)(6)* (Virginia CLE 2019).

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<sup>&</sup>lt;sup>166</sup> Flora v. Shulmister, 262 Va. 215, 222, 546 S.E.2d 427, 430 (2001).

that a witness be designated to testify on matters that are designated and described with reasonable particularity in the notice. Before, or promptly after the notice or subpoena is served, the serving party and the organization are required to confer in good faith about the matters that are described for examination. If the organization is a non-party, the subpoena must advise of the organization's duty to make the witness designation and to confer with the serving party. A recurring problem in regard to corporate designees is that a witness is produced who has no substantial knowledge of the issues addressed. If there is truly no one within the organization who has information, then a written response should be filed stating that. If a person is produced by designation, then that person should be someone who either has personal knowledge or has been prepared by the corporation to give binding answers for the corporation.<sup>167</sup>

The rule indicates that the organization's designee can be made to testify concerning matters known or reasonably available to the organization. The rule's description of "matters known or reasonably available to the organization" probably extends to the testimony of employees who are fact witnesses. Such a corporate designee deposition can be a potent weapon for the party making the request since this is substantive testimony. Conversely, it can also be a very dangerous situation for the organization because the designee speaks for the entity and deposition testimony can be "used for any purpose," 168 so proper preparation is important. The statement of issues presented by the notice should be closely scrutinized and appropriate objections filed if the deposition exceeds the scope of the request. 169

Objections to the notice given under Rule 4:5(b)(6) should be filed and ruled on before the deposition. Those objections might include:

<sup>&</sup>lt;sup>167</sup> United States v. Taylor, 166 F.R.D. 356, 361 (M.D.N.C. 1996).

<sup>168</sup> Va. R. 4:7(a)(3).

<sup>169</sup> Va. Code § 8.01-420.4:1.

- Overbreadth—the notice should define the areas of inquiry with reasonable particularity. It is unfair to subject the organization to a deposition that has no discernable outer boundaries.<sup>170</sup>
- Improper purpose—for example, in *Mattel*, *Inc. v. Walking Mountain Productions*, <sup>171</sup> the court sanctioned the plaintiff for indirectly attacking the opposing expert witness by noticing a Rule 4:5(b)(6) deposition with the expert's employer.
- Privilege—some courts preserve privileged or protected areas of inquiry and do not require corporate deponents to comment on those matters.<sup>172</sup> If the notice indicates that privileged information is being requested, the entity should seek a protective order. Other courts have ruled that facts discovered by corporate counsel during internal investigations are part of the corporate knowledge and are discoverable.<sup>173</sup>

A motion to quash improper service or to stay the taking of the deposition may also be considered in the appropriate circumstances.<sup>174</sup>

<sup>170</sup> Reed v. Nellcor Puritan Bennett & Mallinckrodt, Inc., 193 F.R.D. 689 (D. Kan. 2000).

<sup>171 353</sup> F.3d 792 (9th Cir. 2003).

<sup>&</sup>lt;sup>172</sup> See, e.g., Alliance for Global Justice v. District of Columbia, 437 F. Supp. 2d 32, 37 (D.D.C. 2006). But see E.E.O.C. v. Caesars Entm't, Inc., 237 F.R.D. 428 (D. Nev. 2006) (explanation of corporation's responses to discrimination charges was not privileged).

<sup>&</sup>lt;sup>173</sup> In re Linerboard Antitrust Litig., 203 F.R.D. 197 (E.D. Pa. 2001).

<sup>&</sup>lt;sup>174</sup> The discussion on objections first appeared in Virginia CLE's seminar materials, *The Designated Hitter: Deposing a Corporation's Designated Witness Under Federal Rule 30(b)(6) or Virginia Rule 4:5(b)(6)* (Virginia CLE 2019).

There is no limit on the number of corporate designation depositions that may be taken on different issues.

"I don't know" is not an acceptable response—the entity has an obligation to educate the designee on the substance of material requested in the notice.<sup>175</sup>

In terms of dealing with the "know nothing" witness, there are several options:

- File a motion for sanctions for the failure of the organization to produce a witness with knowledge;
- Request that a new witness be produced;
- File a motion requesting that the issues designated be determined adverse to the organization; and
- Do nothing and then use the deposition at trial to prove the negative. That is, if one of the issues identified in the designation is whether or not the defendant complied with some standard and the defendant produces a witness who has no knowledge of that, then that means the defendant, which is bound by the designee's deposition, has no knowledge, and, therefore, that can be used as proof.

Other considerations for corporate designation depositions are:

<sup>&</sup>lt;sup>175</sup> See, e.g., Spicer v. Universal Forest Prods., No. 7:07cv462, 2008 U.S. Dist. LEXIS 77232 (W.D. Va. Oct. 1, 2008). Decided under Federal Rule of Civil Procedure 37(b)(2)—the federal counterpart to Virginia's Rule 4:5(b)(6)—the Spicer opinion is a cautionary tale for entities that fail to comply with the rule's requirements.