1	COURT OF APPEALS		
2	STATE OF NEW YORK		
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4	THE PEOPLE OF THE STATE OF NEW YORK,		
5	Respondent,		
6	-against- No. 1		
7	GREGORY VINING,		
8	Appellant.		
9	 20 Eagle Street		
10	Albany, New York 12207 January 03, 2017		
11	Before: CHIEF JUDGE JANET DIFIORE		
	ASSOCIATE JUDGE JENNY RIVERA		
12	ASSOCIATE JUDGE SHEILA ABDUS-SALAAM ASSOCIATE JUDGE LESLIE E. STEIN		
13	ASSOCIATE JUDGE EUGENE M. FAHEY ASSOCIATE JUDGE MICHAEL J. GARCIA		
14			
15	Appearances:		
16	MARGARET E. KNIGHT, ESQ. OFFICE OF THE APPELLATE DEFENDER		
17	Attorneys for Appellant 11 Park Place		
18	Suite 1601		
19	New York, NY 10007		
20	ROSS MAZER, ADA NEW YORK COUNTY DISTRICT ATTORNEY'S OFFICE		
21	Attorneys for Respondent One Hogan Place		
22	New York, NY 10013		
23			
24	Sharona Shapiro Official Court Transcriber		
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CHIEF JUDGE DIFIORE: Good afternoon, everyone.

First matter on this afternoon's calendar is appeal number

1, the People of the State of New York v. Gregory Vining.

Counsel?

MS. KNIGHT: Good afternoon. Margaret Knight

from the Office of the Appellate Defender. If I might have

CHIEF JUDGE DIFIORE: You may.

two minutes for rebuttal, Your Honor?

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MS. KNIGHT: By Gregory Vining's 2012 trial, the district attorney's office made more than 10,000 requests per year for Rikers Island telephone calls. With every call, detainees are repeatedly told that their calls are being monitored, and one of the first things that attorneys tell their clients at arraignment is not to talk over these telephones. Yet when Mr. Vining refused to talk, his silence was used as an admission - - -

JUDGE ABDUS-SALAAM: Was he really silent, though, counsel? Didn't he actually speak and say some things that tended to turn the conversation toward his sentencing rather than Ms. - - - you know, his girlfr - - - former girlfriend's injuries?

MS. KNIGHT: He certainly made some statements, but none of them were an acquiescence or indicated, in any sense, that he was adopting what she was saying. And this case was litigated, throughout, as an adopted admission by

silence. That is what the prosecutor argued to the Court that it was being admitted for. That was what the Court instructed the jurors that it was being admitted for. And that is what the First Department found that the statements were admitted for. So this case was about his silence.

And this - - -

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JUDGE STEIN: Have we ever - - - have we ever applied the Eighth Amendment to situations where it's a conversation between two civilians?

MS. KNIGHT: This court has not, but I think that the Rikers Island telephone calls represent something that this court really does need to speak on in this context, and it wasn't just between two civilians, because these calls are being monitored, and they're being recorded, and they've being provided regularly to the government. So even though the conversation was between two civilians, like defense counsel said at trial, it might as well have been made with a police officer sitting there.

JUDGE STEIN: But should we consider the fact that - - that the defendant initiated the call and apparently for the purpose of pressuring his domestic violence victim to - - - to not pursue the charges against him? So in - - in essence, it - - - it appears that, rather than using the Eighth Amendment as a shield, he's really, in effect, using it as a sword. Should - - -

should that be a - - - a consideration?

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That is - - - I mean, as the MS. KNIGHT: district attorney office noted, there were about twentyfive calls between these two people, and they didn't just talk about her injuries. The vast majority of times they must have been discussing something else. And in fact he was also asking if, you know, she had spoken with his brother. They were talking about where he would live. I mean, this - - - for Mr. Vining, but also stepping back, for so many New Yorkers, these telephone calls are a lifeline to the outside world for detainees who have not been convicted of anything, who are the poorest New Yorkers, who cannot afford bail, and these phone calls are how they communicate with people. And you're really putting people in sort of a damned-if-you-do and damned-if-you-don't kind of situ - - -

JUDGE GARCIA: So it should be one rule: you can never do this. Or is this a case-by-case analysis for us?

MS. KNIGHT: I think the categorical rule of Conyers and DeGeorge, should apply. At least this court has generally said that silence post-arrest should not used in the direct - - -

JUDGE GARCIA: All of those cases, as I read them, involve some type of involvement by law enforcement.

Now, we had a recent case on the Sixth Amendment. It was a

different - - -

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MS. KNIGHT: Um-hum.

JUDGE GARCIA: - - - with Rikers Island tapes where we said it wasn't a violation of the Sixth Amendment. It seems to me here, isn't this a discretionary call for the judge? I mean, it's a private party calling up another private party, I think in violation of a restraining order here, if I'm - - I'm not wrong. And having this conversation, is it really the fact just that it's a Rikers Island overhear that would make it, what, a Constitutional violation or an evidentiary violation?

MS. KNIGHT: We certainly argue that it's both, and that this court in Pavone said that a defendant's silence after arrest cannot be used by the People in their direct case. But even if it's in - - -

JUDGE GARCIA: All to - - - I understand that in the sense of it all goes to an interrogation or a law enforcement presence, and you have a right to remain silent and you don't answer. And then we get into, well, should you have said something at that point or are there unusual circumstances. But this really is - - - if this took place privately - - -

MS. KNIGHT: Um-hum.

JUDGE GARCIA: - - - if we're - - - you know, this call were taped by the person who had the restraining

order here, and we had the same conversation, would there be a problem in admitting it?

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MS. KNIGHT: I think that that would be a very different situation, and I think it is critical that the government was there. I mean, what the Court talked about in Conyers and DeGeorge was the insoluble ambiguity of a defendant's silence. And that is at the fore here, because Mr. Vining was sitting under a sign that says your call is being recorded. When he picks up the phone it says, your call is being recorded. And he has been told - - - the district attorney's office even said in Johnson that it blinked reality to assume that he has not been told not to speak on those phones. So he's making this call with the knowledge that anything he said is being recorded, can, and almost certainly, given the volume of these calls, being turned over to the district attorney's office. And his attorney has told him not to speak about this case.

So in this situation, you do have the insoluble ambiguity that was so problematic in Conyers and DeGeorge.

And weighed against that is the prejudice because jurors - it was also noted in those cases that jurors are not well-equipped to - - - to weigh a defendant's silence in these situations, that they often will overweigh that. And so that risk of prejudice was very much here as well.

And it should - - - you know, going to

respondent's harmless error argument, it also should be noted that this was not an overwhelming case of guilt, that the first thing that the prosecutor said, after explaining the complainant's testimony, was, you know, I acknowledge she's a disaster, but this is not the only thing that you have to look at; the first thing that I want you to look at are these Rikers Island telephone calls. And the prosecutor used that as the evidence that the jurors could rely on to corroborate the complainant's account. So - - -

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JUDGE ABDUS-SALAAM: But there was other evidence that corroborated the complainant's account too, wasn't there, counsel? Like the medical records that showed that her injuries were recent, not what your client was claiming, that some other person had inflicted those injuries on her at some earlier time?

MS. KNIGHT: What Mr. Vining said was that he did not know how the injuries were inflicted, that he speculated that maybe it was a prior boyfriend. There had been some overlapping relationship. But where there is only one witness to what happened, where this witness suffered, unfortunately, from drug abuse and schizophrenia, where the prosecutor's office turned over masses of Brady evidence that she had prior domestic violence incidents where she was the perpetrator against other individuals and where she had other criminal charges involving violence,

it's just - - - it can't be said that Mr. Vining was the only potential cause for her injuries.

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JUDGE ABDUS-SALAAM: Could I get back to one of the questions I think Judge Garcia asked? Are we to look at this categorically, or is it a case by case?

MS. KNIGHT: I think that in - - - I think it should be a categorical rule. That's the rule in DeGeorge and Conyers; this court found that, categorically, this is a class of evidence that cannot - - - should not come in. Whether there is some very unusual circumstance where the amount of silence on a Rikers Island telephone call would come in, this certainly doesn't meet that standard because there is - - because the inference that can be drawn - - - that is drawn here is that he was exercising his right to remain silent.

JUDGE STEIN: But just to be clear, the rule that you're suggesting - - because again, in Conyers and DeGeorge we were talking about, you know, interrogation, your rule is that if - - if a defendant knows that his or her call is being recorded by the government, that is equivalent to interrogation for purposes of - - - of our - - -

MS. KNIGHT: Yes, that silence in the face of an accusation, when the call is being monitored by the government, whether that accusation is made by the police

or by a private individual, the - - - the indication of the right to remain silent or the right - - - exercise of a right to remain silent in that situation should not be admissible as direct evidence of guilt.

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CHIEF JUDGE DIFIORE: Thank you, counsel.

Counsel?

MR. MAZER: May it please the court. My name is Ross Mazer on behalf of the People.

While the defendant was at Rikers awaiting trial, he voluntarily placed a call to the victim of his assault, violating an order of protection. The trial judge admitted a portion of that call as an adoptive admission by silence, and the trial judge issued the limiting instruction that was requested by defense counsel.

So turning first to defendant's Constitutional claim, that argument fails for two fundamental - - - fundamental reasons. First, as Your Honors have already alluded to, private parties don't acquire a Constitutional right to remain silent with each other just because law enforcement can overhear what they're saying. The Fifth Amendment is meant to ensure that defendants can't be compelled to talk to the police, but here the defendant wasn't confronted with the police. In fact, law enforcement didn't do anything to elicit or induce any of the statements that defendant or V.S.R., the victim, made

on the phone call.

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Recently this court held almost as much in Johnson when it found that the Department of Corrections didn't solicit, elicit, encourage or provoke the conversations from Rikers Island. Now - - -

DUDGE RIVERA: But aren't they inducing silence because the reality is that he's informed, he's notified?

You've all argued this. We've held this. You've given - - you've given him a lot of notice. His counsel has told him that he's being listened to. So if he doesn't respond, he says, well, people are listening to me; I'm not going to say anything, aren't you inducing that silence, because that's really what, as I understand it, the People have argued before, that this is a way they can avoid this information being used, which is just stay silent.

MR. MAZER: No, Your Honor. The - - - JUDGE RIVERA: Um-hum.

MR. MAZER: - - - law enforcement is not inducing the silence. In some cases it may be true that a defendant is following his attorney's advice not to speak, or trying to assert his right to remain silent, but it's certainly not true in this case.

First of all, if his attorney advised him to do anything, surely it was to not risk a contempt charge by calling the victim of his crime in violation of an order of

1 protection. More than that, the vic - - - he called the 2 victim in order to dissuade her from testifying against 3 him, and the only way he could do that was to talk about 4 his case. In fact, in the call itself, we actually hear 5 the defendant reference the fact that he might have to 6 spend time in prison. So he was talking about his case. 7 So under the circumstances of this case, I don't think the 8 defendant was on - - -9 JUDGE FAHEY: So what if he had responded? Would 10 it have been automatically inadmissible or admissible? MR. MAZER: I'm sorry; if he had responded? 11 12 JUDGE FAHEY: If he had responded. If - - - if 13 there wasn't silence in the face of an alleged accusation 14 that - - - that there was - - - that there was violence, 15 and he - - - and he - - - he addressed what she referred to 16 in - - - in the conversation what you did to me. I think 17 she was referring to her ribs, right? 18 MR. MAZER: That he broke her ribs, yes, Your 19 Honor. 2.0

JUDGE Fahey: Right, right. He was referring to the number of broken ribs. Would that have been automatically admissible or automatically inadmissible?

MR. MAZER: If a defendant conf - - confirmed

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the accusation, that would be admissible.

JUDGE FAHEY: And what if he denied them?

1 MR. MAZER: If he denied it - - -2 JUDGE FAHEY: Then you wouldn't be using it? 3 MR. MAZER: No, we wouldn't be, Your Honor. JUDGE FAHEY: I see. So does this create a rule, 4 5 then, that requires that a defendant respond whenever a - -6 - an accusation is made against that person and - - - and 7 the phone call is being monitored? 8 MR. MAZER: Different cases may present different 9 arguments. 10 JUDGE FAHEY: But let's stay with this argument, 11 because this is - - - this is what concerns me: is a 12 response required? 13 MR. MAZER: No, a response isn't required. This 14 case is unique - - -15 JUDGE FAHEY: Okay. Then if a response isn't 16 required, then how are we not dealing with the right to 17 remain silent, simply because it's a police agency - - - or not a police agency; I'm sorry. 18 19 MR. MAZER: Well, I think this is outside the 2.0 right to remain silent. 21 JUDGE FAHEY: Um-hum. 22 MR. MAZER: Our response - - - you know, this 23 case is somewhat unique because it's the victim who's 2.4 accusing him, and in most of the cases in which the 25 defendant is accused by someone other than law enforcement,

it's usually a codefendant, or in this case a victim, someone who was at the scene of the crime and knew what happened. But if a defendant was just talking to a family member or another relative, he's less likely to be in a position where that person is going to accuse him of anything, since they weren't there when it happened, and that he'd be then in a position where he would have to deny something. So if a - - if a relative asked him a question or made a general statement, that doesn't seem to require a denial in the same way that an accusation does in this case.

 $\hbox{ It also bears mention that most of the} \\$ $\hbox{ambiguities that this court has ---} \\$

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JUDGE RIVERA: Why not? I don't - - - I'm sorry; I'm not following that argument. I get the point about the victim, but I'm not following why then, a fortiori, anyone else who alleges or who claims that the defendant, as the person who's on Rikers, has committed this crime that they wouldn't say - - that not saying something isn't required.

MR. MAZER: If - - -

JUDGE RIVERA: I'm not following that.

MR. MAZER: If ano - - -

JUDGE RIVERA: Why are you less inclined to tell your mother, no, I didn't do this?

MR. MAZER: If another person leveled an accusation, certainly it would be the same situation, but

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if someone - - -

JUDGE FAHEY: So in essence, then, anyone can interrogate this person, and then that can be then used against that person, the defendant, in any situation?

MR. MAZER: As you mentioned, as an evidentiary doctrine, certainly the People have to satisfy three threshold requirements before a statement can be admitted. You know, we have to prove not only that the defendant heard and understood the accusation, that he was in a position to respond, but also that, under the circumstances, a similarly-situated person would have denied the accusation if it weren't true. And that requires a case-by-case balancing, depending on the particular circumstances.

JUDGE RIVERA: You made a point that he violated the order of protection by making this phone call. What if he had not initially intended to violate the order of protection? Let's say he had called - - - let me go back - - to his mother, but the victim happened to be there, and she grabs the phone and starts talking to him. Would you still be trying to use this?

MR. MAZER: As a Constitutional matter, if law enforcement's only role was to overhear what was said, then

the defendant's Constitutional right to remain silent wouldn't be implicated. However, I do think that, in this case, the fact that he did violate an order of protection, that he did voluntarily call the victim, tend - - - those facts tend to undercut defense counsel's alternative argument that he may have been relying on his right to remain silent, or following counsel's advice not to talk about his case.

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The last thing I would mention is that when the trial judge admitted the call into evidence, he issued a limiting instruction that defense - - - that was written by defense counsel. That instruction not only cautioned the jurors that they could afford whatever weight they thought was appropriate to the call, but it specifically enumerated the three innocent explanations that defense counsel thought were his best shot in that case. So it told the jurors to keep in mind, one, that a person might remain silent because they're under - - - because they understand they have no obligation to speak; a person might remain silent because of the natural caution that arises from knowing that your conversation is being overheard; or a person might remain silent because he thinks it's futile to try to respond in that situation.

JUDGE ABDUS-SALAAM: So is your - - - is it your position, counsel, that these are always issues that should

1 go before the jury, that this goes to the - - - the weight 2 of that admission not its admissibility? 3 MR. MAZER: Absolutely. After the People satisfy 4 those three threshold requirements, then any innocent 5 explanation that the defendant may have to offer to explain 6 his non-denial is a question for the jury to evaluate and 7 goes to weight not admissibility. 8 JUDGE GARCIA: But it is a discretionary call for 9 10 or not as an evidentiary matter, right? 11 MR. MAZER: Absolutely, Your Honor. 12 13 discretion review under that analysis? 14 MR. MAZER: Yes, it would, and - - -

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the judge, in evaluating those factors, whether to admit it

JUDGE GARCIA: So this would be an abuse of

JUDGE GARCIA: To go back to, though, something that Judge Abdus-Salaam asked about earlier, there seems to be, in this back and forth with the victim, more than mere silence, particularly in reference to one - - - in response to one statement about you broke my ribs so I'm a threat to you, language to that - - - so you think I'm a threat to Was - - - I think your - - - counsel for the you. defendant said that this was only submitted as a silence, adoption by silence; is that right?

MR. MAZER: The trial prosecutor asked the court to admit the call as an adoptive admission by silence.

1 despite its name, that doctrine applies not just to silence 2 but also to evasive or equivocal responses. 3 significant factor, as an evidentiary matter, is just that the defendant failed to deny the accusation that was 5 leveled against him. 6 JUDGE FAHEY: So does the right to not 7 incriminate yourself - - - I wasn't sure if that issue had 8 been preserved. 9 MR. MAZER: Yeah, the Constitutional claim in 10 this case has been preserved, Your Honor. 11 JUDGE FAHEY: It's fully preserved, okay, so - -12 13 CHIEF JUDGE DIFIORE: Counsel, if we were to - -- oh - - -14 15 JUDGE FAHEY: Go ahead, Judge. 16 CHIEF JUDGE DIFIORE: - - - excuse me, Judge. 17 JUDGE FAHEY: No, go ahead. Go ahead. CHIEF JUDGE DIFIORE: If we were to find that the 18 19 admission of this recording was error, how do we get to a 2.0 conclusion that it was harmless error? 21 MR. MAZER: Well, Your Honor, certainly if you 22 excise the Rikers call from the case, there's no reasonable 23 probability or possibility that the jury would have 2.4 acquitted. For one, we know that the victim broke her ribs

because we have x-rays and medical records and the

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radiologist testified to that effect. We know that the defendant was with her at the time he broke her ribs - - - at the time she broke her ribs, because in a pre-trial interview with the prosecutor, which was played to the jury and admitted as evidence at trial, he admitted that he was there, but he didn't have a good explanation for how else her ribs could have been broken.

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So a combination of, you know, her consistent testimony that her ribs were broken because he stomped on them, his placing himself at the scene of the crime, without offering any innocent explanation, and the other medical evidence - - -

JUDGE RIVERA: Well, he argued someone else did it at a different time.

MR. MAZER: I'm sorry, Your Honor?

JUDGE RIVERA: He argued someone else might have done it at a different time because you've got other boyfriends or other people she's with.

MR. MAZER: It was something he said in the interview but - - -

JUDGE RIVERA: Um-hum.

MR. MAZER: - - - even by his own admission, the incident he was referring to with an ex-boyfriend happened several months earlier, whereas the radiologist in this case testified that she - - because the fractures hadn't

1 begun to heal yet, it meant that she had necessarily 2 sustained them probably within the last couple days, but at 3 a maximum, no more than three weeks earlier. 4 JUDGE RIVERA: Too much time had elapsed. So 5 let's say we agree with you on this question of the use of 6 the Rikers call, should the notice change at Rikers? 7 Should it now say: and if you don't speak, that might be 8 used by the DA?

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MR. MAZER: I don't think this case would have an impact on that issue.

JUDGE RIVERA: They're usually monitoring for what's said; you're trying to monitor, yes, for what's said, but what's missing and what's said, right? Should that also be - - - should the notice now have to be somehow modified to properly inform - - - if we agree with you, to properly inform those people who are detained at Rikers of the implications of the use of that phone and what they don't say or how they say it?

MR. MAZER: I don't think that a new warning would be required, and certainly it's not a - - - an issue that defense counsel raised below.

CHIEF JUDGE DIFIORE: Thank you, counsel.

MR. MAZER: Thank you very much.

CHIEF JUDGE DIFIORE: Ms. Knight?

MS. KNIGHT: Respondent refers to the fact that

the government didn't deliberately elicit the statement.

However, that refers to the Sixth Amendment righted issue in People v. Johnson; that's the not due process, Fifth Amendment, fundamental right to remain silent that is at issue here.

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And the government really is minimizing the import of the surve - - - surveillance of these Rikers

Island telephone calls and how often they are provided to the district attorney's office. And I would direct the Court's attention to Weaver, the GPS case. This court has always interpreted the New York Constitution in a way that reflects fundamental values and also changing technology. And these calls are being turned over en masse to the government. Even four years ago, ten thous - - - over ten thou - - -

JUDGE RIVERA: So if we agree with the People - -

MS. KNIGHT: Um-hum.

JUDGE RIVERA: - - - what - - - what does that mean for defense counsel's advice to those on Rikers? Are they going to use these phones?

MS. KNIGHT: It really puts people in an incredibly hard position where, as Judge Pigott said in his concurring opinion in Johnson, that almost the only option is not to use these telephone calls at all, because any

time anyone brings up your case, which is very likely to happen when you're talking to loved ones, friends, potential witnesses, you either have to engage with them and risk that whatever you say is going to - - -

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JUDGE STEIN: Can the defendant say I can't respond to that; my attorneys advised me not to and - - -

MS. KNIGHT: Well, certainly under the rule - -
JUDGE STEIN: - - - I have to protect all my

rights?

MS. KNIGHT: Certainly under the rule espoused by respondent, it's not even clear that that would be enough, because they're saying it's a purely civilian encounter and there is no protection, no Fifth Amendment or due process protection - - -

JUDGE ABDUS-SALAAM: Counsel, if we adopted your position, wouldn't people held at Rikers or any - - - any other facility just have to stop talking at all, because if they talk about their case to, say, another person who's incarcerated, they ri - - - they risk that person being a snitch and trying to get a better deal. So how - - - how is - - - I'm - - - I'm trying to weigh in my mind what - - - what would be different if they didn't talk on the phone but they talked in person. What if Ms. R. came to visit, I mean, not like - - - forget about the - - - the protection order, but she decided to come and visit him and they had a

conversation and not on the phone, and then she then testifies that, you know, I - - - I accused him of breaking my ribs and he didn't - - - he didn't say anything.

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MS. KNIGHT: The language that the Court has used is that a defendant's silence after arrest shouldn't be used by the People in their direct case but I do think that it would be a very different - - - different situation if someone made this in a situation where there was no risk of government monitoring. I'm not saying that it should be admissible, but it is a critical and salient difference that someone who is sitting under a sign saying "Your call is going to be monitored by the government" says I'm not going to speak about my case. And I mean, that's what we have right here, and that's why his silence was so ambiguous because it was perfectly consistent with the exercise of his right to remain - -

JUDGE FAHEY: Well is - - -

 $ext{MS. KNIGHT: } --- ext{silent in the presence of the}$ government.

JUDGE FAHEY: Isn't the key distinction that you're arguing is that you have government monitoring and a required response?

MS. KNIGHT: Yes, absolutely. And I think that putting forward a rule that makes it virtually impossible for people to speak on the Rikers Island telephone calls,

which is really their only option, without grave risk of either saying something incriminating or having their silence be incriminating, is an untenable rule. CHIEF JUDGE DIFIORE: Thank you, counsel. MS. KNIGHT: Thank you. (Court is adjourned)

1		CERTIFICATION	
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3	I, S	harona Shapiro, certify that the foregoing	
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