1	COURT OF APPEALS			
2	STATE OF NEW YORK			
3	THE PEOPLE OF THE STATE OF NEW YORK,			
4				
5	Respondent,			
6	-against- NO. 35			
7	WILLIAM A. WILKINS,			
8	Appellant.			
9	20 Eagle Street Albany, New York April 28, 2021			
10	Before:			
11	CHIEF JUDGE JANET DIFIORE			
12	ASSOCIATE JUDGE JENNY RIVERA ASSOCIATE JUDGE LESLIE E. STEIN			
13	ASSOCIATE JUDGE EUGENE M. FAHEY ASSOCIATE JUDGE MICHAEL J. GARCIA			
14	ASSOCIATE JUDGE ROWAN D. WILSON			
15	Appearances:			
16	DAVID R. JUERGENS, ESQ. MONROE COUNTY PUBLIC DEFENDER'S OFFICE			
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25	Karen Schiffmiller			
∠ ⊃	Official Court Transcriber			



CHIEF JUDGE DIFIORE: Number 35, the People of 1 the State of New York v. William Wilkins. 2 3 Let's just wait one moment, Counsel, until they 4 clear out. 5 Counsel? 6 MR. JUERGENS: Good afternoon, may I reserve two 7 minutes for rebuttal, please? 8 CHIEF JUDGE DIFIORE: Yes, sir. 9 MR. JUERGENS: May it please the court, Dave 10 Juergens, representing appellant, William Wilkins. In this 11 case, the trial court held two sidebar conferences with 12 prospective jurors, that dealt with their ability to remain 13 impartial in this - - - in this case. 14

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We know that Mr. Wilkins was not present, and we know that at the - - - when they were held that he had not waived his personal fundamental right to be present. So we submit that Mr. Wilkins met his initial burden of establishing two Antommarchi violations, and the burden then shifts to the People, to show that this record negates any possibility that Mr. Wilkins could have provided meaningful input - - -

JUDGE STEIN: Well, isn't that sort of begging

the question, because haven't - - - haven't we said that
- - and I - - - I realize that there are two separate

questions, one is retroactive, one is prospective, but we -

- - haven't we, at least implicitly, said that - - - and I think explicitly said, as far as that you can waive - - - well, we've certainly said you can explicitly waive your right to be at - - - to - - - to be present at a sidebar, right? So we know that. It's a - - - it's a waivable right.

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The question is, is was it waived here, and can it be waived retroactively, because here, you know, the record shows that the defendant, in fact, did waive his right prospectively. He said, if I want - - - if I want to come and - - - and be at the - - - at the conference, I'll -- - I'll let you know. So the question is, is under the circumstances here, where it was raised, the juror - - at least, one of the jurors was still, you know, in - - - in the box, subject to further questioning and was questioned even after it was raised, and nothing was ever said. can the - - - to me, the question is, is, can we and should we recognize that as a permissible implied waiver? Not, you know, whether - - - not necess - - - I - - - I mean, I think there may be a question as to whether he could have provided meaningful input, but - - - but I see that as really a very secondary question. So would you - - - would you address the waiver issue?

MR. JUERGENS: Well, I think the waiver issue would go more to point - - - point two, with respect to the



1 Prospective Juror CO. The People - - -2 JUDGE STEIN: CO or CK? 3 MR. JUERGENS: Well, if - - - if - - - okay, let 4 --- let --- let's do --- on CK, the --- basically 5 the Antommarchi violations were brought to everyone's 6 attention, and at that point, there was options available 7 to the trial court. The trial court could have granted a 8 mistrial - - -9 JUDGE FAHEY: Yeah, but didn't - - - didn't the 10 court excuse her - - - excuse her for cause? Or was that CO? 11 12 MR. JUERGENS: CO, I think. 13 JUDGE FAHEY: CO, okay, thank you. 14 Go ahead. 15 MR. JUERGENS: Yes, with - - - with - - - with 16 respect to Juror CK, basically the trial court had the 17 option of granting a mistrial or obtaining an expressed 18 retroactive waive - - - or an expressed retroactive waiver 19 of the fact that Mr. Wilkins was not present at the 20 sidebar. Or the court could have conducted a de novo 21 conference with - - - with CK. 22 None of those options were given to Mr. Wilkins. 23 He was told about his right to be present on the record, 24 after the violation already occurred. And we look at what

was said to see whether or not there was - - - I would

argue there couldn't be an implicit waiver, because we commonly think of an implicit waiver as someone being told of a - - of a known right, and then by their behavior, they don't exercise that right. And we can see an implicit waiver - - -

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JUDGE FAHEY: But - - - but don't the implicit wavier cases come up in the context usually - - - I - - - I thought it came up this way, where they're told about the right and then the issue comes up in - - - in when - - - it comes up usually when a defendant is refusing to come to court, and - - and the case law is developed out of that situation. There's an implicit waiver then.

MR. JUERGENS: And - - and - - and in this court, in People v. Flynn, talked about an implicit waiver in this type - -

JUDGE FAHEY: Right.

MR. JUERGENS: - - - of situation, where the defendant was told he's welcome to come up and attend the sidebar conferences, and then he doesn't do so. And from that - - -

JUDGE FAHEY: One of the things I struggle with is - - is saying how can someone waive something that they don't know about? And here, the implicit waiver cases that I've seen, are cases where there wasn't a waiver given, but there's a record before that - - - that shows a

basis for that knowledge. I - - - I guess - - - is there 1 2 anywhere in the record that we can look to - - - your 3 argument is a total absence of knowledge. 4 MR. JUERGENS: Yes. 5 JUDGE FAHEY: Is there anywhere that - - - that 6 you're saying that that can be contested? 7 MR. JUERGENS: I believe it was conceded 8 basically by the parties and the court - - -9 JUDGE FAHEY: I - - - I had thought that the 10 People pointed out to the judge that - - - that there was an error here. 11 12 MR. JUERGENS: Correct. And - - - and - - - and 13 it was stated on the record that yes, no Antommarchi rights 14 were advised - - -15 JUDGE RIVERA: Is - - - isn't really - - - isn't 16 really - - - or one way - - - let me put it differently - -17 - one way, apropos of what Judge Fahey is asking about, of 18 thinking about this case and the factual scenario is that 19 it's not a waiver case, right? Or first of all, the comment about prospectively what he can do, he's clearly 20 21 reserved his right - - - he hasn't waived any right - - -22 he's reserved his rights. 23 And then the question becomes whether once he's

informed of what he can do in the future, whether or not

one would take his realization of the right to be present

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1	at the sidebars, and not saying anything, becomes an			
2	abandonment of the claim, the Antommarchi claim, with			
3	respect to the past violation, rather than seeing it as a			
4	waiver.			
5	MR. JUERGENS: Well			
6	JUDGE RIVERA: Can can we look at it that			
7	way? Is that an appropriate, sort of, analytical framewor			
8	for this case?			
9	MR. JUERGENS: I don't believe I've come across			
10	any cases involving a forfeiture.			
11	JUDGE RIVERA: No, you're in the big times now.			
12	You're at the Court of Appeals. So the question is whethe			
13	or not this might be one way of thinking about it.			
14	MR. JUERGENS: Well, I think that the			
15	JUDGE RIVERA: I mean, we do have case law that			
16	distinguishes you've mentioned forfeiture			
17	forfeiture from waiver, or whether or not in the context i			
18	an abandonment of a claim that exists, but that the person			
19	is not pursuing.			
20	MR. JUERGENS: Well, Mr Mr. Wilkins was			
21	never advised of what options he had. And he			
22	JUDGE RIVERA: For the past for the past			
23	violations, and			
24	MR. JUERGENS: For the past violations.			
25	JUDGE RIVERA: Okay.			

MR. JUERGENS: - - - there were no Antommarchi sidebars going forward. There were three sidebars that involved excusals for grounds that involved the juror's availability to serve, not the juror's impartiality.

Here, the Appellate Division basically said that there was no Antommarchi violation, because the codefendant was acting as a second prosecutor, exercised the preemptory challenge, and therefore, Mr. Wilkins never had any opportunity to give meaningful input to his attorney.

JUDGE STEIN: Do you agree with that analysis by the Appellate Division?

MR. JUERGENS: That - - - that was, in this reading of the record, I believe Justice Curran in his dissent pointed out that the record fully supports the fact that they were operating under the mandatory statute, which says the defend - - - codefendants are to be treated as a single party, and in fact, the trial court would have no authority to direct the two codefendants to operate independently. They - - - that would - - - as I've pointed out in my brief - - - would produce absurd results where it becomes important which defendant goes first during the exercise of the preemptory challenges.

If you went first, you could exercise a monopoly over the preempts. If it was a split of the preemptory challenges, you could basically give an advantage to the



second acting defense attorney. So I would - - - and then the absurd results part of it is that the codefendant gets a reversal and Mr. Wilkins does not, simply because the codefendant had a letter in the alphabet that was lower and went first, and I think that would be an absurd result.

CHIEF JUDGE DIFIORE: Thank you, Counsel.

Counsel?

MR. MYLES: Good afternoon, Your Honors, may it please the court, Scott Myles on behalf of the people.

Your Honors, I believe this is a case where the waiver applies, the waiver of the right to be present at the sidebar conferences. Now it - - - the record is clear that there was a waiver - - - an explicit waiver of all prospective sidebar conferences.

JUDGE WILSON: But wait, well, let me stop you - sorry, over here - - let - - let me stop there you
there. Do you perceive a difference between a defendant
who says I have complete faith in my counsel; I don't ever
want to be at a sidebar - - that - - that seems to me
to be a pretty clear waiver, and perhaps can even be
effective retroactively, if it's stated that way - - as
opposed to a defendant who says, I'm going to take it on a
case by case basis; if I want to come up, each particular
time, I'll let you know. That - - that latter one
doesn't sound to me like a waiver; it sounds more like a



reservation of rights.

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MR. MYLES: Your Honor, I don't believe there is any functional difference, because even in the case - - - the first instance of your hypothetical - - -

JUDGE WILSON: Well, I got to tell you. The Chief would have a very different view, if I said I am never going to dissent, and I said I'm going to take it on a case-by-case basis.

MR. MYLES: As I was saying, it - - - in the case of a defendant who says I am never going to come up, to call that a waiver, whereas the other hypothetical is a reservation of rights, I believe is erroneous, because even in the first instance, where a defendant says, I never want to come up, the defendants are always informed that they can change their mind at any time. So even that explicit waiver, blanket waiver, is revocable. So even that explicit blanket waiver is not an explicit blanket waiver, because the defendant still retains the right at any time - - -

JUDGE RIVERA: So - - - so how can there be a retroactive, implicit waiver that applies all the time? If - - if it is, as you say, you can change your mind at any time? You can do something different whenever you want. So then how can we ever view something as an implicit waiver?

MR. MYLES: It can be viewed as - - - as an implicit waiver, because the defendant never reasserts the right. In the case of Judge Wilson's hypothetical, a defendant who says, I never want to come up, and then remains seated, has not only explicitly waived that right through his words, but he has also implicitly continued to waive that right through his actions. So in any situation, even when there is an explicit verbal waiver, you kind of have to look at - - -

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JUDGE RIVERA: Is it - - - is it possible to read the record that the judge is telling him, this is what you can do moving forward, but is not being informed about anything that has happened in the past. And that is all the defendant is responding to, as opposed to what you are suggesting, that the defendant should have understood - - - the defendant himself, in that moment, should have understood, oh, this means, I have to now say expressly, that I wish I had been able to stand up before the court and be part of those sidebars that they're talking about.

MR. MYLES: Are we talking about the record as it exists in this case?

JUDGE RIVERA: Yes.

MR. MYLES: I believe - - - I don't believe that's a fair reading of the record, because the trial judge, when he - - - when - - - when he was reminded about



the Antommarchi violation, he points out that the defendant 1 2 - - - that both defendants had remained seated during all 3 previous sidebars, and asks the defendant if it's his 4 intention to continue in that way. 5 So the defendant was essentially - - -6 JUDGE RIVERA: But then - - - but then if the 7 defendant, as Judge Wilson's pointing out, then basically 8 reserves the right moving forward, which means it is not a 9 How can one view what happened in the past as a 10 waiver? Right? He can't undo it, right? MR. MYLES: No, he can't - - -11 12 JUDGE RIVERA: The bell has rung. 13 MR. MYLES: The bell had rung at that point as 14 far as the jurors who had been excused. There would be 15 remedies the court could have taken at that point, with the 16 other jurors who remained. 17 JUDGE RIVERA: But he's not informed of that, 18 right? 19 MR. MYLES: No, Your Honor, but it would be 20 incumbent upon the defendant at that point to - - - to 21 raise an objection, to raise - - - to say - - -22 JUDGE FAHEY: You see, that - - - that's an odd 23 analysis, because it - - - it seems to be that you're 24 establishing a rule that in essence requires the defendant

to preserve the objection to the process.

1 MR. MYLES: Your Honor, I believe - - -2 JUDGE FAHEY: I - - - I can't see any difference 3 between the implied waiver analysis and a new preservation 4 rule, where there had never been one before that you're 5 offering. There are circumstances where implied waiver has 6 been properly allowed, but this is not that circumstance. 7 MR. MYLES: Your Honor, I believe the situation 8 here is - - - is no different than the situation in People 9 v. Spotford, where the court found that implied waivers - -10 - that a defendant's future actions can constitute an implied waiver of - - -11 JUDGE FAHEY: Well, let - - - let me give you the 12 13 language on Spotford - - - first of all, that was held to 14 be an expressed waiver, and there we said a valid implied 15 waiver is - - - where is "defendant is aware that the trial 16 will proceed" and failed to show up. That - - - that's 17 certainly a situation, I think, where you're right. But

Let me ask you this. Let's ---I ---I got three questions. First, would you agree that the court is the person responsible for informing the --- to the defendant of the Antomm --- of their Antommarchi rights?

that's not the situation we have here. It's - - - it's a

MR. MYLES: Yes.

little different.

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JUDGE FAHEY: Not his attorney, not the People,



1 not - - - not the defendant himself, but the court must 2 inform the defendant that he has this particular right, 3 fundamental right to be present. That's what the case law 4 seems to say. You agree with that? 5 MR. MYLES: Yes. 6 JUDGE FAHEY: Second point is, is there any 7 record support anywhere, and if you could, just cite to me 8 the pages, where 270.25(3) was violated, because I don't 9 see you even asserting that it was violated in your brief. 10 The reason I ask, is because the Appellate Division relied 11 on that. 12 MR. MYLES: Yes, Your Honor. My difficulty with 13 the Appellate Division's analysis is that the Appellate 14 Division does not cite to the portion of - - -15 JUDGE FAHEY: Well, how about you? Do you cite 16 anywhere that we could look to say it wasn't - - - that 17 this particular CPL clause was violated? 18 MR. MYLES: I do not, Your Honor. I have - - - I 19 have - -20 JUDGE FAHEY: So can we assume then that - - -21 that - - - that this was not violated and the People 22 concede that point? 23 MR. MYLES: The People concede that I can't find 24 it. 25 That's good enough. I trust you, JUDGE FAHEY:

because you got to know it better than all of us. So all right.

MR. MYLES: I do - - -

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Me to my third point then. With - - - without, you know, that pre-knowledge of what - - - that - - - that the court supplied, it seems like we're saying that the defendant, in this situation, must bring this to the court's attention, the defendant must, and if he doesn't, then he hasn't preserved his right to challenge this.

MR. MYLES: I - - - I don't believe that is the situation, Your Honor. When - - - because again, the - - - the defendant's Antommarchi rights were explicitly explained to him by the court, just late.

JUDGE FAHEY: Uh-huh.

MR. MYLES: So if at that point when the defendant is informed of his rights, when - - - if the defendant does not assert that some remedial action be taken in regards to the - - - the sidebar conferences that he had not been present for, before he was informed of his rights, if the defendant expresses no reservations or no issues with those conferences, then that combined with his expressed waiver going forward, does constitute - - -

JUDGE FAHEY: Okay.

MR. MYLES: - - - an implied waiver.



JUDGE STEIN: So - - - so - - - so - - -

JUDGE FAHEY: I do - - - I do understand your - - your argument, Mr. Myles, and let me say this; I respect your intellectual integrity for answering my questions the way that you did. Thank you.

MR. MYLES: Thank you, Your Honor.

JUDGE STEIN: So just to clarify what you just said. So you're saying that if -- if the court never gave the defendant or notified the defendant of his Antommarchi rights, then there's no obligation on the defendant's part to -- to raise it?

MR. MYLES: Correct, Your Honor.

JUDGE STEIN: But once it's raised, the defendant may, by conduct or by inaction, indicate either - - - whatever you want to say, a waiver of forfeiture or whatever, of those rights, and I'm not sure it even occurred to me - - - are - - - are you also sort of saying that, by not requesting remedial action, that that is actually a waiver going forward; that's a waiver of a right to request remedial action? Is that a separate right? I - - I'm just asking the question. I - - -

MR. MYLES: I don't believe that would be a separate right. It would be the same rights as the defend - - - that the defendant has under Antommarchi to begin with. My point was that, at the point that the defendant



1	is informed of his Antommarchi rights, that have
2	technically already been violated, because there were
3	sidebar conferences that took place without his presence
4	before he was informed of that right. Once he is informed
5	of that right, if they if he does not express any
6	dissatisfaction with the process at that point, then that
7	is an implied an implied waiver.
8	JUDGE WILSON: So let me let me vary the
9	facts slightly, and ask what you think about this. Suppose
10	after the immediately after the point where he's
11	- everybody knows there's been a violation; he's informed -
12	informed of his rights there are no further
13	sidebars. Is there still an implied waiver?
14	MR. MYLES: Yes, I believe given the defendant's
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16	JUDGE WILSON: So it doesn't really turn on the
17	conduct?
18	MR. MYLES: I'm sorry, Your Honor?
19	JUDGE WILSON: It doesn't really turn on the
20	- his failure to stand up and say I want to attend this
21	sidebar. You're not your argument isn't based on
22	that at all.
23	MR. MYLES: Well, it I think there is still
24	conduct to look at in the fact that the defendant
25	JUDGE WILSON: But and that conduct

JUDGE WILSON: But - - - and that conduct - - -

	that other conduct would be sufficient in your view to
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3	MR. MYLES: I be
4	JUDGE WILSON: to constitute a waiver?
5	MR. MYLES: Combined with his verbal with
6	his verbal waiver, yes.
7	JUDGE WILSON: He's saying, I'm I will let
8	you know on a case-by-case basis, and no other case shows
9	up.
10	MR. MYLES: Yes, Your Honor.
11	JUDGE WILSON: Okay.
12	CHIEF JUDGE DIFIORE: Thank you, Counsel.
13	MR. MYLES: Thank you.
14	CHIEF JUDGE DIFIORE: Counsel?
15	MR. JUERGENS: Thank you.
16	CHIEF JUDGE DIFIORE: What is the effect of
17	defendant not raising the prior his absence from the
18	prior conference after the judge instructs on the
19	Antommarchi rights? The defend are
20	MR. JUERGENS: It
21	CHIEF JUDGE DIFIORE: Is it your position that
22	the defendant can just let that lay and
23	MR. JUERGENS: Yeah, if if if the
24	defendant is required to ask for some sort of remedy once
25	he gains knowledge, that's basically the functional

equivalent of injecting a preservation requirement into this analysis, which this court has said, since 1992, a defendant is not required to object. It's a violation of his fundamental right to be present.

JUDGE GARCIA: But Counsel - - - Counsel, over here, sorry.

MR. JUERGENS: Yes.

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JUDGE GARCIA: Here's, I guess, a little

variation on - - - on what this issue is we're batting

around here. You're right on preservation. And I think

what I struggle with here is - - - well, I tend to struggle

with in some cases with mode of proceedings errors and

errors that don't require preservation.

I can see the defendant's right to be present here. And let's say an ordinary case, defense lawyer goes up, defendant isn't present, defense lawyer knows the defendant isn't present, doesn't say anything, waits, gets a verdict he doesn't like, transcript shows the defendant's not present, that's an Antommarchi violation, and there was no need to preserve that error, and we've said that.

Here, it's different. And here, at a time when the error could have been cured, it's raised not by the defense lawyer, or just with the defense lawyer, it's raised by the court, with the defendant in the presence of his counsel, when that juror is still available, and



nothing is said in terms of I want the juror back; I want a mistrial. And we go on, have a trial, get a verdict.

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That to me, raises a fundamentally dif - - - if
you want to say it as preservation, if you want to say it
as implied waiver, it raises a fundamentally different
issue, and I have so much trouble seeing why we would want
a rule like that, because it seems that the entire
justification of defendant's presence and the need - - the need - - - you know, the - - - the lack of any need for
an objection, is no longer there. Why - - -

MR. JUERGENS: I would - - - I would - - -

JUDGE GARCIA: Why would we want that rule?

MR. JUERGENS: I - - - I would say the rule should be that in these circumstances, the defendant's got to be told what his options are by the court. The defendant's got to be told - - - told, and this is important here, because the - - - this Antommarchi discussion was sandwiched between two mistrial motions for instructional error, should have been given your options. Look, we got this violation; do you want to just do - - - have a do-over? We'll grant a mistrial?

JUDGE GARCIA: So the rule there would be, again, the defense lawyer has no obligation here, even though in the defense lawyer's presence, the defendant is advised of this right, presumably the defense lawyer knows what the



1 remedies are, but again, we're going to say, now, the 2 defendant has to be told that, and the defendant has to 3 waive, in some way, specifically? 4 MR. JUERGENS: Well, the defend - - -5 JUDGE GARCIA: Again, why would we want that 6 rule? 7 MR. JUERGENS: The defendant should be given his 8 op - - - his - - - his available options. If he chose not 9 to exercise those options, saying, no, I'm good; we - - -10 you know, don't have a mistrial, or no, I really don't need to have a de novo sidebar with the juror in question, then 11 sure, the defendant - - - at that point, you might be 12 13 looking at some sort of a forfeiture argument. But the 14 defendant does not have a burden to cure the error. There 15 was a clear Antommarchi violations. It could have been 16 cured, if there was a for-cause challenge or if there was a 17 18 JUDGE RIVERA: Well - - - well, Counsel, do we -19 - - do we want to rule, since the court has made clear that 20 the right is the defendant's, not counsel's, correct? 21 MR. JUERGENS: Correct. 22 JUDGE RIVERA: Okay. So do we want a rule where 23 a defense counsel may disagree with defendant about 24 defendant's appearance at sidebar and as a consequence 25 conduct - - - the - - - the lawyer, conduct themselves in a

way that suggests to this defendant that there is no right, 1 2 or that the lawyer should be deciding that? Isn't the 3 point that the court is interacting with the defendant? 4 This is one of those rare occasions where the court is 5 basically interacting with the defendant, and saying the 6 defendant has to speak, as opposed to their lawyer? 7 MR. JUERGENS: Yes, I think the - - - this court 8 has held, essentially, that it's a personal right of the 9 defendant. While we will, you know, require a waiver to be 10 in the defendant's presence, or if it's being reported by 11 the trial - - - or by the defense attorney, this court has 12 looked to whether the defense attorney has said, I've

JUDGE RIVERA: Well, it does kind of make sense that if the - - - the court is telling you what your right is, and the court has then failed in its duty, as Judge Fahey had already set out, that the court would explain to you what your rights are, then isn't that the rule you'd want?

talked to my client, I've explained the rights to him, and

MR. JUERGENS: Yes.

he wants to waive the right in particular.

CHIEF JUDGE DIFIORE: Thank you, Counsel.

(Court is adjourned)

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1		CERTIFICATION	
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3	I, K	aren Schiffmiller, certify that the foregoing	
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