

SELF-DEFENSE: USE OF DEADLY FORCE

*[Use this instruction if the level of force used by the defendant was deadly as a matter of law.
For additional detail on non-deadly versus deadly force, see Note 4 to Instruction 9.260A.]*

As I told you, because this case raises a question as to whether the defendant lawfully used deadly force to defend against an attack, the Commonwealth has the burden to prove beyond a reasonable doubt both the elements of the offense and that the defendant did not act in lawful self-defense when using that deadly force. (I instruct you, as a matter of law, that _____ is deadly force.)

To prove that the defendant did not act in self-defense when using deadly force, the Commonwealth must prove at least one of the following things beyond a reasonable doubt:

One, that the defendant did not actually believe that they were in immediate danger of death or serious bodily harm from which they could save themselves only by using deadly force.

Two, that a reasonable person in the same circumstances as the defendant would not reasonably have believed that they were in immediate danger of death or serious bodily harm from which they could save themselves only by using deadly force.

Three, that the defendant did not use or attempt to use all proper and reasonable means under the circumstances to avoid physical combat before resorting to the use of deadly force. (or)

Four, that the defendant used more force than was reasonably necessary in the circumstances. (or)

[Where there is evidence that the defendant was the first aggressor.]

(Five, that the defendant was the first to use or threaten to use deadly force and did not withdraw in good faith from the conflict and clearly communicate by words or conduct their intention to end the confrontation without any use or additional use of force.)

I will now explain each of these ways in which the Commonwealth can disprove that the defendant acted in self-defense in more detail, and remind you that the Commonwealth may satisfy its burden of proving that the defendant did not act in self-defense by proving at least one of these things beyond a reasonable doubt.

<p>Propositions One & Two: Actual and Reasonable Belief of Immediate Danger of Death or Serious Bodily Harm</p>
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One way that the Commonwealth may prove that the defendant did not act in self-defense is by proving beyond a reasonable doubt the defendant did not actually believe that they were in immediate

danger of death or serious bodily harm from which they could save themselves only by using deadly force. Another way that the Commonwealth may prove that the defendant did not act in self-defense is by proving beyond a reasonable doubt that a reasonable person in the same circumstances as the defendant would not reasonably have believed that they were in immediate danger of death or serious bodily harm from which they could save themselves only by using deadly force.

A person cannot lawfully act in self-defense unless they are attacked or are immediately about to be attacked, and there must be an overt act—words, a gesture, or some other action—that could give rise to an actual and reasonable belief of immediate danger of death or serious bodily harm. The Commonwealth may prove that there was not an actual or reasonable belief of immediate danger of death or serious bodily harm by proving beyond a reasonable doubt that there was no overt act that gave rise to those beliefs.

The right to self-defense arises from necessity and ends when the necessity ends. This means that a person does not act in lawful self-defense when they use force to pursue their attacker to retaliate, or out of anger after an attacker has been neutralized or disarmed, or

to prevent a future attack. The Commonwealth may prove that there was not an actual or reasonable concern for immediate personal safety by proving beyond a reasonable doubt that the defendant was no longer in any immediate danger and instead used force against their attacker for revenge or to ward off any possibility of attack in the indefinite future.

In considering whether the defendant actually believed that they were in immediate danger of death or serious bodily harm, and the reasonableness of the belief that they were in that danger, you may consider all the evidence relating to the defendant's state of mind at the time.

SUPPLEMENTAL INSTRUCTIONS

If there is evidence of the alleged victim's prior threats or violence against the defendant.

To determine the defendant's state of mind, you may consider any threats or acts of violence committed by (the alleged victim), but only if the defendant knew of those threats or acts of violence.

Commonwealth v. Pidge, 400 Mass. 350, 353 (1987); *Commonwealth v. Edmonds*, 365 Mass. 496, 499-501 (1974). While these were homicide cases, the principle is applicable to any self-defense claim. Admission and use of evidence that the defendant has been the victim of abuse and of expert testimony regarding the consequences of abuse is governed by G.L. c. 233, § 23F.

If there is evidence of the alleged victim's reputation for violence or quarreling.

To determine the defendant's state of mind, you may consider whether (the alleged victim) had a reputation for violence or quarreling. However, you may only consider it if the defendant knew about that reputation.

"When self-defense is at issue, 'evidence of the "character of [the victim] as a powerful, dangerous, quarrelsome or violent person, if known to the defendant, may be admitted" as evidence of the defendant's "apprehension of his own safety, and the reasonableness of that apprehension."'"
Commonwealth v. Williams, 450 Mass. 879, 891-892 (2008) (quoting *Commonwealth v. Edmonds*, 365 Mass. 496, 501 (1974)); see also *Commonwealth v. Clemente*, 452 Mass. 295, 308 (2008).

Reputation evidence is admissible only if known to the defendant, in contrast to specific acts of violence, which are admissible regardless of whether known to the defendant, pursuant to *Commonwealth v. Adjutant*, 443 Mass. 649, 664-665 (2005).

In a criminal proceeding, in support of a claim of self-defense, "a defendant may offer evidence known to the defendant prior to the incident in question of the victim's reputation for violence, of specific instances of the victim's violent conduct, or of statements made by the victim that caused reasonable apprehension of violence on the part of the defendant." Mass. G. Evid. § 404(a)(2)(C) (2023); *Commonwealth v. Sok*, 439 Mass. 428, 434 (2003). Admission of such evidence "is limited to acts that are not too remote, lest the trial turn into a distracting and prejudicial investigation of the victim's character." *Commonwealth v. Kartell*, 58 Mass. App. Ct. 428, 432 (2003); accord *Commonwealth v. Fontes*, 396 Mass. 733, 735-737 (1986). Admission of evidence of specific acts of violence is preferred over more general evidence of the victim's reputation for violence. *Adjutant*, 443 Mass. at 665.

Once the defense has raised the issue of the victim's allegedly violent character, the prosecution may rebut by offering evidence of the victim's reputation for peacefulness. *Adjutant*, 443 Mass. at 666 n.19 (citing *Commonwealth v. Lapointe*, 402 Mass. 321, 325 (1988)).

If there is evidence that the defendant was mentally impaired or under the influence of alcohol or drugs at time of offense.

There has been evidence of the defendant's mental condition at the time of the offense, including (evidence of mental

impairment) (or) (evidence of the effect on the defendant of their consumption of alcohol or drugs).

As I have told you, among the ways that the Commonwealth may prove that the defendant did not act in self-defense is by proving beyond a reasonable doubt either that the defendant did not actually have a concern for their immediate personal safety, or that a reasonable person in the defendant's circumstances would not have had that concern.

Evidence of the defendant's mental condition at the time of the offense is relevant to determining the defendant's subjective belief about the harm they faced, but such evidence is not relevant to determining whether the defendant's belief was objectively reasonable. So, in determining whether the defendant actually had a concern for their immediate personal safety, you may consider any evidence of the defendant's mental condition. However, in determining whether a reasonable person in the defendant's position would have had such a concern, you may not consider evidence of the defendant's mental condition.

See Note 7 to Instruction 9.260A for further detail on the use of evidence of the defendant's mental condition in a self-defense case.

If there is evidence that the defendant had a mistaken belief about being in immediate danger.

A person with a mistaken belief about being in immediate danger of serious bodily harm or death may use deadly force to defend themselves, if their mistaken belief was reasonable based on all the circumstances.

Commonwealth v. Pike, 428 Mass. 393, 396-397 (1998); *Commonwealth v. Glass*, 401 Mass. 799, 808-809 (1988).

**Proposition Three:
Reasonable Steps to Avoid Combat**

Another way that the Commonwealth may prove that the defendant did not act in self-defense is by proving beyond a reasonable doubt that the defendant did not use or attempt to use all proper and reasonable means under the circumstances to avoid physical combat before resorting to the use of deadly force. In determining whether the defendant used all reasonable means to avoid physical combat before resorting to the use of deadly force depends on all the circumstances, including the relative physical capabilities of the combatants, the weapons used, the availability of

room to maneuver or escape from the area, and the location of the assault.

SUPPLEMENTAL INSTRUCTIONS

In self-defense cases not under the “castle law,” G.L. c. 278, § 8A.

A person must retreat unless they reasonably believe that they cannot safely do so. A person need not place themselves in danger or use every means of escape short of death before resorting to self-defense.

Commonwealth v. Benoit, 452 Mass. 212, 226-227 (2008), quoting *Commonwealth v. Pike*, 428 Mass. 393, 398 (1998) (“A self-defense instruction is not required unless there is some evidence that the defendant availed himself of all means, proper and reasonable in the circumstances, of retreating from the conflict before resorting to the use of deadly force. ‘This rule does not impose an absolute duty to retreat regardless of personal safety considerations; an individual need not place himself in danger nor use every means of escape short of death before resorting to self-defense He must, however, use every reasonable avenue of escape available to him.’”); *cf. Commonwealth v. Peloquin*, 437 Mass. 204, 212 (2002) (noting in dicta that set of jury instructions “taken as a whole, explained that a defendant need not retreat unless he can do so in safety, and need not do so when he would increase the danger to his own life”).

In self-defense cases under the “castle law,” G.L. c. 278, § 8A.

A lawful resident of a dwelling, such as a house or apartment, is not required to retreat before using reasonable force against an unlawful intruder, if the resident reasonably believes that the intruder is about to kill or seriously injure them or another person lawfully in the dwelling, and also reasonably believes that force is necessary to protect themselves or the other person lawfully in the dwelling.

This instruction is required by G.L. c. 278, § 8A, which provides that, where “an occupant of a dwelling . . . was in his dwelling at the time of the offense and . . . acted in the reasonable belief that the person unlawfully in [the] dwelling was about to inflict great bodily injury or death upon [the] occupant or upon another person lawfully in [the] dwelling, and that [the] occupant used reasonable means to defend himself or such other person lawfully in [the] dwelling[, that] [t]here shall be no duty on [the] occupant to retreat from [the] person unlawfully in [the] dwelling.” This instruction is not appropriate where the occupant of a dwelling uses force on another person lawfully in the dwelling. See *Commonwealth v. Peloquin*, 437 Mass. 204, 208 (2002) (“Nothing in G.L. c. 278, § 8A . . . eliminates the duty on the part of the occupant of the dwelling to retreat from a confrontation with a person who is lawfully on the premises”); see also *Commonwealth v. Carlino*, 449 Mass. 71, 76 (2007) (instruction not warranted where fatal encounter occurred in driveway outside of dwelling); *Commonwealth v. McKinnon*, 446 Mass. 263, 267-268 (2006) (instruction not warranted where fatal encounter occurred on stairs and porch outside dwelling).

See Note 11 to Instruction 9.260A for additional detail on self-defense cases under the “castle law.”

If there is evidence that the alleged victim was injury-prone.

If a person has exhausted all proper means to avoid physical combat, they may use appropriate deadly force in self-defense if they reasonably believe that they are in immediate danger of serious bodily injury or death, even against someone who is known to be susceptible to injury(, such as a person under the influence of alcohol or drugs).

Commonwealth v. Bastarache, 382 Mass. 86 (1980).

Proposition Four: Proportional Use of Force

(Another) (A final) way that the Commonwealth may prove that the defendant did not act in self-defense is by proving beyond a reasonable doubt that the defendant used more force than was reasonably necessary under all the circumstances. In considering

whether the force used by a person was reasonable under the circumstances, you may consider evidence of the relative physical capabilities of the combatants, the number of persons who were involved on each side, the characteristics of any weapons used, the availability of room to maneuver, the manner in which the deadly force was used, the scope of the threat presented, or any other evidence you deem relevant to the reasonableness of the person's conduct under the circumstances.

<p>Proposition Five: Evidence of Defendant as First Aggressor</p>
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[Where there is evidence that the defendant was the first aggressor.]

A final way that the Commonwealth may prove that the defendant did not act in self-defense is by proving beyond a reasonable doubt both: one, that the defendant was the first to use or threaten to use deadly force; and two, that the defendant did not withdraw in good faith from the conflict and clearly communicate by words or conduct their intention to withdraw and end the confrontation without any (use of) (additional use of) force. Self-defense cannot be claimed by a defendant who was the first to use or threaten deadly force, because a defendant must have used or

attempted to use all proper and reasonable means under the circumstances to avoid physical combat before resorting to the use of deadly force.

Commonwealth v. Pring-Wilson, 448 Mass. 718, 733 (2007), quoting *Commonwealth v. Maguire*, 375 Mass. 768, 772 (1978) (“right of self-defense ordinarily cannot be claimed by a person who provokes or initiates an assault unless that person withdraws in good faith from the conflict and announces his intention to retire”); see also *Commonwealth v. Harris*, 464 Mass. 425, 433-436 & nn.11, 12 (2013) (noting that instruction that “[a] person who provokes or initiates an assault ordinarily cannot claim the right of self-defense” is “potentially overbroad because it does not define what constitutes provocation of the type that results in the forfeiture of a self-defense claim,” and advising judges to “make clear that conduct involving only the use of nonthreatening words will not be sufficient to qualify a defendant as a first aggressor”).

SUPPLEMENTAL INSTRUCTIONS

If there is evidence that the defendant used non-deadly force first and the victim escalated to using deadly force.

If the defendant was the first to use non-deadly force but the alleged victim was the first to use deadly force, (such as by escalating a simple fistfight into a knife fight,) the defendant may claim self-defense where they responded to the escalation with deadly force.

Commonwealth v. Chambers, 465 Mass. 520, 528 (2013) (“[I]n the context of homicide, a defendant may lose the right to claim self-defense only if he was the first to use or threaten deadly force.”); see *Commonwealth v. Harris*, 464 Mass. 425, 436 n.12 (2013) (“[W]hen a first aggressor or initial aggressor instruction is given in the context of self-defense we advise that the judge make clear that conduct involving only the use of nonthreatening words will not be sufficient to qualify a defendant as a first aggressor.”).

Where the identity of the first aggressor is in dispute and there is evidence about the alleged victim's prior acts of violence pursuant to Commonwealth v. Adjutant, 443 Mass. 649 (2005).

For the purpose of determining who attacked whom first in the altercation, you may consider evidence of the past violent conduct of the alleged victim (or the past violent conduct of another person acting together with the alleged victim), whether or not the defendant knew of that conduct. You may not consider that evidence for any other purpose.

"[W]here the identity of the first aggressor or the first to use deadly force is in dispute, a defendant may offer evidence of specific incidents of violence allegedly initiated by the victim, or by a third party acting in concert with or to assist the victim, whether known or unknown to the defendant, and the prosecution may rebut the same with specific incidents of violence by the defendant" Mass. G. Evid. § 404(a)(2)(B) (2023); accord *Commonwealth v. Pring-Wilson*, 448 Mass. 718, 737 (2007); *Commonwealth v. Adjutant*, 443 Mass. 649, 664 (2005). The term "first aggressor" includes "both the person who started the fight and the person who first escalated a nondeadly fight into a deadly one by either the threat or use of deadly force." *Commonwealth v. Souza*, 492 Mass. 615, 622 (2023).

"The admission of *Adjutant* evidence is subject to the careful discretion of the trial judge, who 'must carefully examine the particular circumstances of the case, and weigh the probative value of such evidence against its prejudicial effect.'" *Souza*, 492 Mass. at 626, quoting *Commonwealth v. Morales*, 464 Mass. 302, 312 n.16 (2013). The alleged acts must be more probative than prejudicial. Admission of specific acts of violence is preferred over more general evidence of a victim's reputation for violence. *Adjutant*, 443 Mass. at 665.

Adjutant evidence focuses on the victim's prior violent behavior. *Souza*, 492 Mass. at 625. Once a defendant satisfies the requirement to show that proposed *Adjutant* evidence involves an instance "where the victim initiated the violence . . . the entirety of the violent event or incident initiated by the victim is potentially admissible." *Souza*, 492 Mass. at 625-626. Such evidence must be otherwise admissible under the rules of evidence, and the judge has discretion to limit additional cumulative evidence. *Commonwealth v. Clemente*, 452 Mass. 295, 306 & n.18 (2008).

Where the identity of the first aggressor is in dispute and there is evidence about the alleged victim's prior threats of violence against the defendant, regardless of whether the defendant was aware of the threats.

In considering who was being attacked by whom, you may take into account any threats of violence made by (the alleged victim) against the defendant and whether (the alleged victim) was trying to carry out those threats during this incident.

"Evidence of the victim's threats of violence against the defendant, even if unknown by a defendant asserting self-defense, is admissible as tending to show that the victim was attempting to carry out his threat and that the defendant was in danger." *Commonwealth v. Fontes*, 396 Mass. 733, 735 (1986), citing *Commonwealth v. Rubin*, 318 Mass. 587, 588-589 (1945).

I will now briefly summarize the instruction on self-defense that I have just given you. Since this case raises a question as to whether the defendant lawfully used deadly force to defend against an attack, the Commonwealth has the additional burden of proving that the defendant did not act in self-defense by proving at least one of the following things beyond a reasonable doubt:

One, that the defendant did not actually believe that they were in immediate danger of death or serious bodily harm from which they could save themselves only by using deadly force.

Two, that a reasonable person in the same circumstances as the defendant would not reasonably have believed that they were in

immediate danger of death or serious bodily harm from which they could save themselves only by using deadly force.

***Three*, that the defendant did not use or attempt to use all proper and reasonable means under the circumstances to avoid physical combat before resorting to the use of deadly force. (or)**

***Four*, that the defendant used more force than was reasonably necessary in the circumstances. (or)**

[Where there is evidence that the defendant was the first aggressor.]

***(Five*, that the defendant was the first to use or threaten to use deadly force and did not withdraw in good faith from the conflict and clearly communicate by words or conduct their intention to end the confrontation without any use or additional use of force.)**

If each element of the crime has been proved beyond a reasonable doubt and it has also been proved beyond a reasonable doubt that the defendant did not act in self-defense, you should return a verdict of guilty. If any element of the crime has not been proved beyond a reasonable doubt, or the Commonwealth did not prove beyond a reasonable doubt that the defendant did not act in self-defense, you must find the defendant not guilty.