xvi	Summary of Co	ntents
§25.05	National Arbitration Legislation with Annulment Grounds Which Are More Expansive Than UNCITRAL Model Law	3339
§25.06	National Arbitration Legislation With Annulment Grounds Which Are Less	
	Expansive Than UNCITRAL Model Law	3362
§25.07	Agreements Limiting or Expanding Grounds for Annulling International	
000 00	Arbitral Awards	3364
§25.08	Time Limits Under National Law for Applications to Annul and to Confirm	0.070
895.00	International Arbitral Awards	3379
§25.09	Requirements under National Law that International Arbitral Awards Be "Final" or "Binding" Before Annulment May Be Sought	3385
§25.10	"Entry of Judgment" Clause	3388
§25.11	Consequences of Annulling International Arbitral Awards	3390
§25.12	Standing to Seek Annulment	3392
Chapter	26	
Recogni	tion and Enforcement of International Arbitral Awards	3394
§26.01	Proof of International Arbitral Awards	3396
§26.02	Procedures for Obtaining Recognition and Enforcement of International	
00000	Arbitral Awards	3407
§26.03	Presumptive Obligation to Recognize International Arbitral Awards	3410
§26.04	Agreements Waiving Rights to Oppose Recognition of Foreign and Non-	9.490
896.05	Domestic Arbitral Awards	3439
§26.05 §26.06	Grounds for Refusing to Recognize International Arbitral Awards	3444
\$20.00	Suspension of Recognition Proceedings Pending Resolution of Application to Annul Award	3719
§26.07	Time Limitations for Seeking Recognition of Awards	3726
0=0.01	Time Edinations for Secondly Recognition SETTIME US	0.40
Chapter	27	
Preclusi	on, Lis Pendens and Stare Decisis in International Arbitration	3732
§27.01	Preclusive Effect of International Arbitral Awards in National Court Litigation	3732
§27.02	Preclusive Effect of National Court Judgments and Arbitral Awards in	
terrory constitu	International Arbitration	3773
§27.03	Lis Pendens and International Arbitration	3791
§27.04	Role of Precedent in International Arbitration	3809
		7/1/
Comme	ntaries	3828
Articles		3843
	ional Agreements	3936
	nts of the United Nations	3941
Statutes		3947
Legislati	ve Materials	3957
Rules, C	odes and Guidelines	3960
Miscella		3964
	Arbitral Awards	3972
Index of		3998
Subject 1	index	4198

Table of Contents

	ledgmen	ats to Second Edition	vii ix
			1
Introdu	ction		1
CHAPT		INTERNATIONAL COMMERCIAL ARBITRATION	6
§1.01		DRY OF INTERNATIONAL ARBITRATION	6
[A]		RICAL DEVELOPMENT OF INTERNATIONAL ARBITRATION BETWEEN	
[]	STATE		7
	[11]	Inter-State Arbitration in Antiquity	8
,	[2]	Inter-State Arbitration in European Middle Ages	10
	[3]	Inter-State Arbitration in 18th and 19th Centuries	12
40 .	[4]	Proposals for Institutional Inter-State Arbitration	15
OY	[5]	Arbitral Procedures in Inter-State Arbitration	19
[B]	HISTO	RICAL DEVELOPMENT OF COMMERCIAL ARBITRATION	24
	[1]	Commercial Arbitration in Antiquity	25
	[2]	Commercial Arbitration in European Middle Ages	30
	[3]	Commercial Arbitration at English Common Law and English	
		Legislative Reform	35
	[4]	Commercial Arbitration in France	39
	[5]	Commercial Arbitration in United States	41
	[6]	Commercial Arbitration in Other European Jurisdictions in 18th and	-
		19th Centuries	50
	[7]	Arbitration in Middle East, Asia, Africa and Americas	53
		[a] Middle East	53
		[b] Jewish Communities	55
		[c] East and Southeast Asia	58
		[d] India	59
		[e] Africa	60
		[f] Latin America	60 62
	[8]	Arbitral Procedures in Commercial Arbitration	02
[C]		OPMENT OF CONTEMPORARY LEGAL FRAMEWORK FOR INTERNATIONAL	63
		RATION DURING EARLY 20TH CENTURY	64
	[1] [2]	Geneva Protocol of 1923 Geneva Convention of 1927	67
			70
§1.02	OBJE	CTIVES OF INTERNATIONAL COMMERCIAL ARBITRATION	70
[A]		RACTUAL FORUM SELECTION IN INTERNATIONAL TRANSACTIONS	70
	[1]	International Forum Selection Agreements	72
rn i	[2]	International Arbitration Agreements	73
[B]		TIVES OF INTERNATIONAL ARBITRATION AGREEMENTS	
	[1]	Neutrality of Dispute Resolution Forum	73 76
	[2]	Centralized Dispute Resolution Forum	
	[3]	Enforceability of Agreements and Awards	77
	[4]	Commercial Competence and Expertise of Tribunal	80 83
	[5]	Finality of Decisions	84

	[7] Cost and Speed	86			[j] Chinese International Economic and Trade Arbitration Center	193
	[8] Confidentiality and Privacy of Dispute Resolution Process	89			[k] Cairo Regional Centre for International Commercial	
	[9] Facilitation of Amicable Settlement	90			Arbitration	195
	[10] Disputes Involving States and State Entities	91			[1] World Intellectual Property Organization	195
					[m] Court of Arbitration for Sport	196
§1.03	INCREASING USE OF INTERNATIONAL COMMERCIAL ARBITRATION	93				197
§1.04	OVERVIEW OF CONTEMPORARY LEGAL FRAMEWORK FOR					
81.01					- 31	197
TAT	INTERNATIONAL COMMERCIAL ARBITRATION	97			[p] Australian Centre for International Commercial Arbitration	197
[A]	INTERNATIONAL ARBITRATION CONVENTIONS	98			[q] Kuala Lumpur Regional Centre for Arbitration	198
	[1] New York Convention	99			[r] Indian Council of Arbitration	198
	[a] Historical Background of New York Convention	100		200.7	[s] JAMS International	198
	[b] Success of New York Convention	103		[D]	OVERVIEW OF INTERNATIONAL GUIDELINES AND HARMONIZATION	199
	[c] Overview of New York Convention's Provisions	105				200
	[i] Article II: Presumptive Validity of Arbitration	tard's			[2] ABA/AAA Code of Ethics, IBA Rules of Ethics and IBA Guidelines on	
	Agreements	108				201
	[ii] Articles III, IV and V: Presumptive Validity of Arbitral				, 1	202
	Awards	110			[[- [- [- [- [- [- [- [- [- [203
	[iii] Articles II and V(1)(d): Recognition of Parties'				[5] Chartered Institute of Arbitrators "Practice Guidelines"	203
	Procedural Autonomy	112		[E]		203
	[d] Application of New York Convention by National Courts	113			[1] Agreement to Arbitrate	204
	[e] Constitutional Character of New York Convention	116			[2] Scope of Arbitration Agreement	205
	[2] European Convention on International Commercial Arbitration	117			[3] Institutional Arbitration	206
	[3] Inter-American Convention on International Commercial Arbitration	119		([4] Specifying Seat or Place of Arbitration	206
	[4] ICSID Convention	120			[5] Number, Method of Selection and Qualifications of Arbitrators	207
	[5] North American Free Trade Agreement	123			[6] Language of Arbitration	208
	[6] Bilateral Investment Treaties	124	A	VO A	[7] Choice-of-Law Clauses	209
2000	[7] Bilateral Friendship, Commerce and Navigation Treaties	125	غ , د		[8] Other Provisions of International Arbitration Agreements	209
[B]	OVERVIEW OF NATIONAL ARBITRATION LEGISLATION	126		,		210
	[1] Supportive National Arbitration Legislation	128		[F]		210
	[a] UNCITRAL Model Law	134			4.4	211
	[b] France	141			[2] Law Applicable to Arbitration Agreement	212
	[c] Switzerland	146			[3] Procedural Law Applicable to Arbitral Proceedings	212
	[d] England	148			[4] Choice-of-Law Rules Applicable in International Arbitration	213
	[e] United States of America	159		21 OF	THEODIES OF INTERNATIONAL ADDITION	014
	[i] Unenforceability of Arbitration Agreements Under	17		§1.05	THEORIES OF INTERNATIONAL ARBITRATION	214
	U.S. Law in 19th Century	153		[A]		214
	[ii] Federal Arbitration Act: Chapter One	154		[B]	FUTURE DIRECTIONS: JURISPRUDENTIAL CHARACTER OF INTERNATIONAL	916
	[iii] Federal Arbitration Act: Chapters Two and Three	156	1		ARBITRATION	216
	[iv] U.S. State Arbitration Laws	161		§1.06	OVERVIEW OF SOURCES OF INFORMATION ABOUT INTERNATIONAL	
	[2] Less Supportive National Arbitration Legislation	165			ARBITRATION	218
[C]	OVERVIEW OF LEADING INTERNATIONAL ARBITRATION INSTITUTIONS AND			[A]	ICCA YEARBOOK OF COMMERCIAL ARBITRATION AND ICC HANDBOOKS	218
	RULES	168		[B]	MEALEY'S INTERNATIONAL ARBITRATION REPORT	218
	[1] Institutional Arbitration	169		[C]		218
	[2] Ad Hoc Arbitration	170		[D]	REVUE ARBITRAGE	219
	[3] Relative Advantages and Disadvantages of Institutional and Ad Hoc			[E]		219
	Arbitration	171		[F]		219
	[4] UNCITRAL Arbitration Rules	172		[G]		219
	[5] Leading International Arbitral Institutions	174	1	[H]		219
	[a] International Chamber of Commerce International Court of			[1]	FOUCHARD GAILLARD GOLDMAN ON INTERNATIONAL COMMERCIAL	
	Arbitration	175			Arbitration	220
	[b] London Court of International Arbitration	180		[J]		220
	[c] American Arbitration Association and International Centre for			[K]		220
	Dispute Resolution	182		[L]		221
	[d] Permanent Court of Arbitration	185		[M]	GUIDE TO THE UNCITRAL MODEL LAW ON INTERNATIONAL COMMERCIAL	
	[e] Swiss Chambers' Arbitration Institution	189		11		221
	[f] Vienna International Arbitral Centre	190		[N]		221
	[g] Stockholm Chamber of Commerce Arbitration Institute	191		[0]	SMIT'S GUIDES TO INTERNATIONAL ARBITRATION	221
	[h] Singapore International Arbitration Centre	192		[P]		222
	[i] Hong Kong International Arbitration Centre	192		[0]		222
						-

Arbitration Versus Mediation or Conciliation

"Engineers" and "Dispute Adjudication Boards"

Amiable Composition or Arbitration Ex Aequo et Bono

FUTURE DIRECTIONS: HOW SHOULD "ARBITRATION" BE DEFINED?

"Baseball" Arbitration and "High/Low" Arbitration

Arbitration Following Other Dispute Resolution Processes

"Quality Arbitration"

"Interest Arbitration"

Courts as Arbitrators

Adjudicatory Character of Arbitration

"Rent-A-Judge"

ARBITRATION BEFORE A NATURAL PERSON

[c]

[d]

[e]

[f]

[g]

[h]

[i]

[D]

[E]

DISPUTES "WHICH HAVE ARISEN OR WHICH MAY ARISE"

RECIPROCITY REQUIREMENT

vvi

342

343

Gary B. Born

259

271

277

278

278

281

282

283

283

284

285

290

292

[F]

[G]

[A]	INTE	RNATIC	NAL AR	PLICABLE TO FORMATION AND SUBSTANTIVE VALIDITY OF BITRATION AGREEMENTS IN ABSENCE OF PARTIES'	401			[b]	Application of International Minimum Standards Under U.S.	551
		EMENT		1111	491			[c]	Future Directions: Direct Application of International Law Versus International Minimum Standards	250
	[1]			al Arbitration Conventions	492		Crro		-LAW AGREEMENTS GOVERNING FORMATION AND SUBSTANTIVE	552
		[a]		va Protocol and Geneva Convention	492 493	[B]				559
		[b]		Vork Convention	493		1211121		F INTERNATIONAL ARBITRATION AGREEMENTS ed for Conflict of Laws Analysis in Cases Involving Choice-of-Law	555
			[i]	Article II: Substantive International Rule of	404		[1]	12		560
			F 7	Presumptive Validity and Validation Principle	494		101	-	reement ernational Arbitration Conventions	561
			[ii]	Article V(1)(a): Content of Article V(1)(a)'s Choice-of-	405		[2]		Geneva Protocol and Geneva Convention	561
			f:::7	Law Rules	495			[a]	New York Convention	562
			[iii]	Article V(1)(a): Applicability to Enforcement of	406			[b]		302
			C* 1	Arbitration Agreement	496				5.5	562
			[iv]	Article V(1)(a): Default Rule Selecting Law of Arbitral	400				Presumptive Validity [ii] Article II: Party Autonomy and Validation Principle	562
			f1	Seat	499					302
			[v]	Article V(1)(a): Effects of Default Choice-of-Law Rule					[iii] Article V(1) (a): Party Autonomy and Validation	569
				on International Substantive Rules and Validation	500				Principle	563
		f 7		Principle	500				[iv] Applicability of Article V(1) (a)'s Recognition of Party	
		[c]		pean Convention	502				Autonomy at Stage of Recognition of Arbitration	565
		[d]		I Convention and Rome Regulation	503				Agreement	565
		[e]		Convention on Contracts for the International Sale of	202				[v] Applicability of Choice-of-Law Agreement Where Party	EGG
	503		Good		505				Challenges Existence or Validity of Agreement	566
	[2]			rbitration Legislation	506				[vi] Nonarbitrability and Mandatory Law Limitations on	567
		[a]		ric Application of Law of Judicial Enforcement Forum to	roc		~O [*]	F-1	Party Autonomy Under New York Convention	567
		F1 7		ration Agreement	506		107	[c]	European Convention	568
		[p]		ism of Application of Law of Judicial Enforcement Forum	700		• [3]	Nat	tional Arbitration Legislation	568
				bitration Agreement	508	1 40		[a]	UNCITRAL Model Law	569
		[c]		re-of-Law Rules Providing for Application of Substantive	F00			[b]	U.S. Federal Arbitration Act	571
				f Arbitral Seat to Arbitration Agreement	509	N.P.		[c]	English Arbitration Act	574
		[d]		e-of-Law Rules Providing for Application of Substantive	F1F	Ob		[d]	Swiss Law on Private International Law	575
			Law C	Governing Underlying Contract to Arbitration Agreement	515	ookshor		[e]	French Code of Civil Procedure	576
		[e]		re-of-Law Rules Providing for Application of Substantive				[1]	Other Jurisdictions	577
				of State With Closest Connection or Most Significant	FIF			[g]	Idiosyncratic Approaches to Law Governing International	570
		F.CT		ionship to Arbitration Agreement	517		F 47	T	Arbitration Agreements	578
		[f]		ism of Choice-of-Law Rules Selecting Substantive Law of			[4]		titutional Arbitration Rules ernational Arbitral Awards	579 579
				With Closest Connection or Most Significant Relationship	521		[5]			580
		and the		bitration Agreement	521		[6]		erpretation of Choice-of-Law Provision in Underlying Contract	300
		[g]		ulative" Choice-of-Law Analysis and Miscellaneous Other	F00			[a]	Authorities Applying Law Selected in Choice-of-Law Provision in	201
				ce-of-Law Rules	523			0.1	Underlying Contract to Arbitration Clause	581
		[h]		atory Application of Choice-of-Law Rules of Arbitral Scar	525			[D]	Authorities Refusing to Apply Law Selected in Choice-of-Law	583
		[i]		TRAL Model Law	526			r = 1	Provision in Underlying Contract to Arbitration Clause	303
		[j]		e of Law Applicable to Formation and Substantive Validity	207			[c]		585
				ernational Arbitration Agreements in U.S. Courts	527			[4]	Underlying Contract Future Directions: Interpretation of Choice-of-Law Clause in	363
			[i]	Law Governing Substantive Validity of Domestic	E90			[a]		589
			r	Arbitration Agreements Under Federal Arbitration Act	529		[71	A	Underlying Contract	309
			[ii]	Law Governing Substantive Validity of International	200		[7]		plication of Choice-of-Law Clause to Disputes Over Existence of	504
			r7	Arbitration Agreements Under Federal Arbitration Act	532	1		Art	pitration Agreement	594
			[iii]	Law Governing Formation of Domestic Arbitration	F99	§4.0	5 CHC	DICE C	OF LAW GOVERNING NONARBITRABILITY	597
			r. 1	Agreements Under Federal Arbitration Act	533	[A]	Сно	ICE OF	LAW GOVERNING NONARBITRABILITY UNDER NEW YORK	
			[iv]	Law Governing Formation of International Arbitration	FOF		CON	VENTIC	ON	598
			F 3	Agreements Under Federal Arbitration Act	535		[1]	Art	icle V(2) (a)'s Exception for Local Nonarbitrability Rules	598
			[v]	Application of International Law Principles to			[2]		ernational Limits on Local Nonarbitrability Rules	601
				Formation and Substantive Validity of International	F00	[B]			LAW GOVERNING NONARBITRABILITY UNDER NATIONAL LAW	601
	F03	174		Arbitration Agreement Under Federal Arbitration Act	538	[C]			RECTIONS: CHOICE OF LAW GOVERNING NONARBITRABILITY	604
	[3]			n of Validation Principle to Formation and Substantive	F 10		[1]		ficiencies in Current Choice-of-Law Analyses	604
				International Arbitration Agreement	542		[2]		ssible Applicability of Foreign Nonarbitrability Rules	605
	[4]			lication of International Law to Formation and Substantive	F.40		[3]		nitations on Application of Foreign Nonarbitrability Rules	607
				International Arbitration Agreement	549		[4]		nitations on Interlocutory Decisions Regarding Nonarbitrability	
		[a]		t Application of International Law to Arbitration	549				iims	609
			ACTE	TOPIN LINDER FREDCH LAW	734479					

Form Requirements for Selection or Number of Arbitrators in

Arbitration Agreement

720

Agreements in Some States

xxviii	Table o	f Contents		Gary B.	Born		xxix
	[5] Form Requirements for Institutional Arbitration	721				[b] Competence-Competence to Decide Indefiniteness Issues	777
[E]	CHOICE OF LAW GOVERNING FORM REQUIREMENTS	722			[3]	Arbitration Agreements Referring to Nonexistent Arbitral Institutions,	
§5.03	CAPACITY TO CONCLUDE INTERNATIONAL ARBITRATION					Arbitration Rules, or Arbitrators	778
	AGREEMENTS	722			[4]	Arbitration Agreements Referring to Arbitral Institutions or	
[A]	CHOICE OF LAW APPLICABLE TO CAPACITY	722				Appointing Authorities That No Longer Exist or Operate or	
[B]	INTERNATIONAL ARBITRATION CONVENTIONS: CAPACITY TO CONCLUDE	122				Arbitrators Who Are Unavailable	781
3.5 (5.	ARBITRATION AGREEMENTS	723			[5]	Internally-Contradictory Arbitration Agreements	783
[C]	NATIONAL ARBITRATION LEGISLATION: CAPACITY TO CONCLUDE ARBITRATION	123			[6]	"Optional" or "Non-Mandatory" Arbitration Agreements	789
	AGREEMENTS				[7]	Consent, Implied Consent and Lack of Consent	793
[D]	STATES' CAPACITY TO CONCLUDE ARBITRATION AGREEMENTS	725				[a] Consent to Underlying Contract Typically Constitutes Consent to	
[E]	AUTHORITY OF PARTIES' REPRESENTATIVES OR AGENTS TO CONCLUDE	727				Arbitration Agreement	793
	ARBITRATION AGREEMENT	700				[b] Consent to Underlying Contract Not Necessarily Required for	
	[1] Corporate Officers and Employees	733				Consent to Arbitration Agreement	794
	[2] Powers of Attorney	734				[c] Consent Does Not Require Signature	796
	[3] Agency	735				[d] Signature May Not Necessarily Establish Consent: Forgery and	
	[4] Separability and Competence-Competence Issues Arising From	736				Fraud	799
	Disputes Over Agent's Authority	277.0				[e] Consent by Conduct and Implied Consent	800
		737				[f] Consent Based on Exchanges of Contractual Documentation	802
§5.04	FORMATION OF INTERNATIONAL ARBITRATION AGREEMENTS	738				[g] Consent by Steps in Arbitral Proceedings	807
[A]	INTRODUCTION	738				[h] Consent to Adhesion Contracts	811
	[1] Relevance of Separability Presumption to Formation of Arbitration	130			[8]		812
	Agreement	739			[6]	Samuel Control of the	816
	[2] Distinction Between Form Requirement and Consent				134	Lack of Notice	010
	[3] Generally-Applicable Rules of Contract Formation	739		§5.05	INCO	RPORATION OF ARBITRATION AGREEMENTS	818
	[4] Standards of Proof of Formation of Arbitration Agreement	740		[A]		YORK CONVENTION	819
	[5] Proof of Consent to Arbitration Agreement	741		[B]	NATIO	ONAL ARBITRATION LEGISLATION	821
	[6] Choice of Law Applicable to Formation of Arbitration Agreement	741			[1]	UNCITRAL Model Law	821
	[7] Allocation of Competence to Decide Issues of Formation of	742			[2]	U.S. Federal Arbitration Act	823
	Arbitration Agreement	12.5			[3]	Other National Arbitration Legislation	827
[B]	BURDEN OF PROOF OF EXISTENCE OF ARBITRATION AGREEMENT	743	70,	[C]		RPORATION OF INSTITUTIONAL ARBITRATION RULES	831
	[1] Burden of Proof of Arbitration A REFERENT	743					547704
	 Burden of Proof of Arbitration Agreement Under New York Convention 	and the second		§5.06		TANTIVE VALIDITY OF INTERNATIONAL ARBITRATION	
		744			AGRE	ZEMENTS	833
	 Burden of Proof of Arbitration Agreement Under National Arbitration Legislation 	746		[A]	INTRO	DDUCTION	833
	[3] Burden of Proof of Arbitration Agreement in National Courts	746			[1]	Separability Presumption and Substantive Validity of Arbitration	
	and the state of t	748				Agreement	834
	and a first of the financial Arbitration	7			[2]	Choice of Law Governing Substantive Validity of Arbitration	
[C]	Agreements STANDARDS OF PROOF FOR FOREST	749				Agreement	835
[O]	STANDARDS OF PROOF FOR ESTABLISHING EXISTENCE OF ARBITRATION AGREEMENT				[3]	Generally-Applicable Rules of Contract Law	835
		751			[4]	Burden and Standard of Proof of Substantive Validity of Arbitration	
	[1] Heightened Standard of Proof for Establishing Existence of					Agreement	835
	Arbitration Agreement [2] Reduced Standard of Proof for Establishing Existence of Arbitration	752			[5]	Allocation of Competence to Decide Substantive Validity of	
	LAISTEIN AND LOCALISHING EXISTENCE OF AIDITIATION					Arbitration Agreement	836
	Agreement	754	4		[6]	Distinction Between Substantive Invalidity of Arbitration Agreement	
	[3] Neutral Standard of Proof for Establishing Existence of Arbitration					and Nonarbitrability of Dispute	836
	Agreement	756		[B]	SUBST	CANTIVE VALIDITY OF INTERNATIONAL ARBITRATION AGREEMENTS UNDER	
	[4] Standards of Proof for Establishing Existence of Arbitration					NATIONAL ARBITRATION CONVENTIONS	837
	Agreement Under Federal Arbitration Act	756			[1]	New York Convention	838
	[5] Future Directions: Standard of Proof for Establishing Existence of				4.74	[a] Generally-Applicable Contract Law Defenses	838
fp.	International Arbitration Agreement	760				[b] Burden of Proof	841
[D]	GROUNDS FOR LACK OF CONSENT TO INTERNATIONAL ARBITRATION					[c] "Null and Void"	841
	AGREEMENTS	763				[d] "Inoperative"	842
	[1] Lack of Agreement on Essential Terms	763				[e] "Incapable of Being Performed"	844
	[a] Essential Requirements for Agreement to Arbitrate	763			[2]	European and Inter-American Conventions	844
	[b] "Blank Clauses"	767		[C]		IDITY OF INTERNATIONAL ARBITRATION AGREEMENTS UNDER NATIONAL	011
	[c] Clauses With Undefined Scope	768		[0]			044
	[d] Clauses With No Specification of Arbitrators	769				TRATION LEGISLATION	844
	[e] Clauses With No Choice-of-Law Provision	770			[1]	Fraudulent Inducement or Fraud	846
	[2] Indefinite or Uncertain Arbitration Agreements				[2]	Mistake	853
	[a] General Principles	770			[3]	Lack of Consideration	855
		771			[4]	Unconscionability	856

§5.07

§5.08

[A]

[B] [C]

[D]

[E]

	Table of C	contents	Gary B.	Born	xxxi
[5]	Asymmetrical or Non Mutual Arbitration Agreements	866			
	Asymmetrical or Non-Mutual Arbitration Agreements	870	\$5.09	EXISTENCE OF "DISPUTE" WITHIN MEANING OF DISPUTE	
[6]	Waiver of Right to Arbitrate	871		RESOLUTION AGREEMENT	942
	[a] International Arbitration Conventions				
	[b] UNCITRAL Model Law	873			
	[c] U.S. Federal Arbitration Act	876	CHAP	TER 6	
	[d] Other National Arbitration Legislation	879		RBITRABILITY AND INTERNATIONAL ARBITRATION AGREEMENTS	943
	[e] Arbitral Awards	880	NOTH	MITTER THE INTERNATIONAL PROPERTY OF THE PROPE	313
	[f] "No Waiver" Provisions in Institutional Arbitration Rules	881	§6.01	INTRODUCTION	944
	[g] Requests for Provisional Measures	882	20.00	MONTH DESIGNATION OF THE PROPERTY OF THE PROPE	
	[h] Choice of Law Governing Waiver	883	§6.02	NONARBITRABILITY IN INTERNATIONAL ARBITRATION	
	[i] Allocation of Competence to Decide Waiver Claims	883		CONVENTIONS	946
	[j] Failure to Perform Arbitration Agreement or to Cooperate in		[A]	NEW YORK CONVENTION: ARTICLES II (1) AND V(2) (A)	946
	Arbitral Process as Waiver of Right to Arbitrate	884	[B]	EUROPEAN AND INTER-AMERICAN CONVENTIONS	947
[7]	Termination or Repudiation of Arbitration Agreement	886	[C]	"SUBJECT MATTER IS NOT CAPABLE OF SETTLEMENT BY ARBITRATION"	947
[8]	Impossibility and Frustration	890	[D]	DISTINCTION BETWEEN NONARBITRABILITY AND SUBSTANTIVE INVALIDITY OF	
[9]	Standard Form Contracts	893		ARBITRATION AGREEMENT	948
[10]	Consumer and Employment Contracts	894	[E]	DISTINCTION BETWEEN NONARBITRABILITY AND ILLEGALITY OF ARBITRATION	
[11]	Insolvency or Bankruptcy	894		AGREEMENT	949
[12]	Illegality	896	[F]	DISTINCTION BETWEEN NONARBITRABILITY AND MANDATORY LAW OR PUBLIC	
	[a] Application of Separability Presumption to Claims of Illegality	897		POLICY	950
	[b] Claims of Illegality of Arbitration Agreement Itself	901	[G]	NO INTERLOCUTORY JUDICIAL DECISION ON MANDATORY LAW	952
	[i] "Illegality" and "Nonarbitrability"	901	[H]	INTERNATIONAL LIMITS ON NONARBITRABILITY DOCTRINE	955
	[ii] "Illegality" and "Public Policy"	904	[1]	"CONDITIONAL NONARBITRABILITY"	955
	[c] "Illegality" Under Article II of New York Convention	905			
[13]	Public Policy	906	§6.03	NONARBITRABILITY IN NATIONAL ARBITRATION LEGISLATION	957
[10]	[a] Public Policy, Illegality and Nonarbitrability	906	[A]	NONARBITRABILITY: INTERNATIONAL VERSUS DOMESTIC	957
	[b] Decisions Holding Public Policy Not Available Under Article II of	500	(B)	NONARBITRABILITY: CLEAR STATEMENT OF LEGISLATIVE INTENT	958
	New York Convention	007	[C]	NATIONAL ARBITRATION LEGISLATION	958
		907	ALP'	[1] UNCITRAL Model Law: No Definition of Arbitrability	959
	[c] Decisions Holding Public Policy Available Under Article II of	000	OF	[2] Swiss and German Arbitration Legislation: Broad Definitions of	
	New York Convention	908		Arbitrability	960
	[d] Future Directions: Public Policy Not Available Under Article II of			[3] France: Evolution of Nonarbitrability Doctrine	962
F2 42	New York Convention	910		[4] U.S. Federal Arbitration Act: Evolution of Nonarbitrability Doctrine	964
[14]	Inconvenient Arbitral Situs	911		[5] Other Jurisdictions	969
[15]	Statutes of Limitations	912 913	The second		
[16]	Res Judicata and Other Preclusion Rules	913	§6.04	APPLICATIONS OF NONARBITRABILITY DOCTRINE	973
SEVER	RABILITY OF INVALID PROVISIONS OF ARBITRATION	H	[A]	ANTITRUST AND COMPETITION CLAIMS	975
	EMENT	914		[1] U.S. Antitrust Laws	976
11OILL		314		[2] EU Competition Laws	977
FAILU	RE TO COMPLY WITH PRE-ARBITRATION PROCEDURAL			[3] Other National Competition Laws	979
	IREMENTS	916		[4] Arbitral Awards	980
VALID	TY, CHARACTERIZATION AND EFFECTS OF AGREEMENTS TO NEGOTIATE			[5] "Second Look" Doctrine and Judicial Review of Arbitral Awards	980
	UTION OF DISPUTES	918		[6] Advance Waivers of Antitrust and/or Competition Law Claims	982
[1]	Validity of Agreements to Negotiate or Mediate Disputes	918		[a] No Interlocutory Judicial Decision on Mandatory Law	982
[2]	Interpretation of Agreements to Negotiate or Mediate Disputes	921		[b] Effect of Waiver of U.S. Statutory Rights	983
[3]	Characterization of Pre-Arbitration Procedural Requirements:	321		[c] Effect of Waiver or Loss of Statutory Damage Claims	984
1.7.3	Mandatory Versus Non-Mandatory	923	[B]	SECURITIES CLAIMS	985
[4]	Effects of Noncompliance With Pre-Arbitration Procedural	343	1-1	[1] U.S. Securities Law	986
F.*1	Requirements	000		[2] Advance Waivers of U.S. Securities Claims	987
COMBI	JANCE WITH PROCEDURAL REQUIREMENTS	928		[3] Other National Securities Laws	988
		932	TC1	CORRUPTION AND BRIBERY	
	ATION OF COMPETENCE TO DECIDE DISPUTES OVER PRE-ARBITRATION	.00=	[C]		989
PROCE		935	[D]	INTELLECTUAL PROPERTY CLAIMS	991
[1]	Characterization: "Admissibility," "Jurisdiction" and "Procedure"	936	[E]	TRADE SANCTIONS, EMBARGOES AND CONTROLS	994
[2]	Competence to Decide Objections Based on Noncompliance With		[F]	BANKRUPTCY AND INSOLVENCY	995
-	Procedural Requirements of Arbitration Agreement	938		[1] National Legislation Imposing Absolute Prohibition Against	
	OF NONCOMPLIANCE WITH CONTRACTUAL TIME PERIOD FOR			Arbitration by Insolvent Entities	996
	ENCING ARBITRATION	941		[2] National Legislation Imposing No Prohibitions Against Arbitration by	
EFFECT	OF NONCOMPLIANCE WITH PROCEDURAL REQUIREMENTS ON VALIDITY			Insolvent Entities	997
OF ARE	SITRATION AGREEMENT	942		[3] National Legislation Providing Case-by-Case Rules Regarding	

Arbitration by Insolvent Entities

998

Arbitrators' Competence-Competence Under German Law

	[2]	Under	cutory Judicial Consideration of Jurisdictional Objections German Law	1122	100		[viii]	Agreements to Resolve Disputes Over Validity or Enforceability of Arbitration Agreement by Arbitration	
	[3]	Germai	nents to Resolve Jurisdictional Disputes by Arbitration Under In Law	1123				Under Federal Arbitration Act: Other Agreements to Arbitrate Jurisdictional Disputes Under First Options	1172
	[4]	Judicial	Review of Arbitrators' Jurisdictional Decisions Under German			1	[c] Alloca	tion of Jurisdictional Competence to Resolve Disputes	
		Law		1124	1000		Conce	erning Formation and Existence of Arbitration Agreement	
[E]	ALLO	CATION OF	F JURISDICTIONAL COMPETENCE UNDER U.S. LAW	1125			Under	Federal Arbitration Act	1173
	[1]		Arbitration Act: Statutory Provisions	1126	100		[i]	Disputes Concerning Formation or Existence of	
			o Express Statutory Recognition of Arbitrators' Competence-					Arbitration Agreement Under Federal Arbitration Act:	
			ompetence in Federal Arbitration Act	1127			14509-017	Default Rule	1173
			3 and 4 of Federal Arbitration Act: Interlocutory Judicial				[ii]	Disputes Concerning Formation or Existence of	
			esolution of Jurisdictional Issues	1127				Underlying Contract Under Federal Arbitration Act:	colorador
			0 of Federal Arbitration Act: Judicial Review of Arbitrators'	****			*****	Default Rule	1175
			risdictional Determination	1129			[iii]	Agreements to Submit Disputes Over Formation or	
	191		evised Uniform Arbitration Act	1129				Existence of Arbitration Agreements to Resolution by	1100
	[2]		preme Court Decisions Under Federal Arbitration Act: First s and Its Progeny	1100		-	F 27 A 15	Arbitration Under Federal Arbitration Act	1179
				1130		1		tion of Jurisdictional Competence to Resolve Disputes	
			rst Options of Chicago, Inc. v. Kaplan owsam v. Dean Witter Reynolds, Inc.	1131				erning Scope of Arbitration Agreement Under Federal	1101
			reen Tree Financial Corp. v. Bazzle	1134				ation Act	1181
			olt-Nielsen SA v. AnimalFeeds International Corp.	1137 1138			[i]	Disputes Concerning Scope of Arbitration Agreement Under Federal Arbitration Act: Default Rule	1181
			ent-A-Center, West, Inc. v. Jackson	1139			T::1	Disputes Concerning Scope of Arbitration Agreement	1101
			ranite Rock Co. v. International Brotherhood of Teamsters	1141		10 ,	[ii]	Under Federal Arbitration Act: Agreements to Resolve	
	[3]		bility of First Options and Its Progeny to International	1171		9'		Disputes Over Scope of Arbitration Agreement by	
	Lol		ion Agreements	1142				Arbitration	1183
	[4]		ors' Competence-Competence Under Federal Arbitration Act	1147	\circ		[iii]	Disputes Concerning Scope of Arbitration Agreement	1103
	[5]	Allocati	on of Jurisdictional Competence Between Arbitral Tribunals	1111	10 y		Imj	Under Federal Arbitration Act: Institutional Rules and	
		and Cou	urts Under Federal Arbitration Act	1148	- Ookshop.c			Scope of Arbitration Agreement	1184
			esumptive Availability of Interlocutory Judicial Resolution of	1110			[iv]	Disputes Concerning Scope of Arbitration Agreement	1101
			risdictional Disputes Under Federal Arbitration Act	1148	20,		23	Under Federal Arbitration Act: "Broad" Arbitration	
			location of Jurisdictional Competence to Resolve Disputes					Clauses	1185
			oncerning Validity or Enforceability of Arbitration Agreement			1	[e] Alloca	tion of Jurisdictional Competence to Decide "Procedural"	
		Uı	nder Federal Arbitration Act	1151				tes Under Federal Arbitration Act	1188
		[i]	Disputes Concerning Validity or Enforceability of	12		[6]		ry Stay of Litigation Concerning Jurisdictional Challenges	
			Arbitration Agreement Under Federal Arbitration Act:	3			by U.S. Cou	rts	1190
			Default Rule	1151		[7]	Judicial Revi	iew of Jurisdictional Determinations by Arbitral Tribunal	
		[ii				1		eral Arbitration Act	1193
			Underlying Contract Under Federal Arbitration Act:			[[a] Judicia	al Review of Jurisdictional Determinations Under Federal	
			Default Rule	1154			Arbitra	ation Act: Positive and Negative Awards Subject to Review	1193
		[ii				[al Review of Jurisdictional Determinations Under Federal	
			Enforceability of Arbitration Agreement by Arbitration					ation Act: Default Rule	1195
		750	Under Federal Arbitration Act	1160		[[c] Judicia	al Review of Jurisdictional Determinations Under Federal	
		[is						ation Act: Agreement to Resolve Jurisdictional Disputes by	
			Enforceability of Arbitration Agreement by Arbitration				Arbitra	ation	1196
			Under Federal Arbitration Act: General Principles	1161				ctions: Allocation of Jurisdictional Competence Under	
		[v]						itration Act	1197
			Enforceability of Arbitration Agreement by Arbitration			[ocutory Judicial Consideration of Jurisdictional Disputes	
			Under Federal Arbitration Act: Effects of Institutional					Federal Arbitration Act: Default Rule	1199
		7	Arbitration Rules	1167		1		ments to Resolve Jurisdictional Disputes by Arbitration	NOTE OF STREET
		[VI			Test.			Federal Arbitration Act: First Options	1204
			Enforceability of Arbitration Agreement by Arbitration					ISDICTIONAL COMPETENCE UNDER ENGLISH LAW	1207
			Under Federal Arbitration Act: Effects of "Broad"	1150				Competence-Competence Under English Law	1208
		f	Arbitration Clause	1170				of Jurisdictional Competence Between Arbitral Tribunals	1000
		[17]						Under English Law	1209
			Enforceability of Arbitration Agreement by Arbitration Under Federal Arbitration Act: Effects of Submission of					to Finally Resolve Jurisdictional Disputes by Arbitration	1010
				1171			Under Engl		1213
			Jurisdictional Dispute to Arbitrators	1171			S	iew of Arbitrators' Jurisdictional Determinations Under	1010
						3	English Law	FLC	1213

xxxvi	Table of	Contents	Ga	ary B. B	orn	xxxvii
[G]	ALLOCATION OF JURISDICTIONAL COMPETENCE UNDER SWEDISH ARBITRATION				[2] Exclusivity of Arbitration	1275
	ACT	1214			[3] Scope of Negative Obligations Under Arbitration Agreements	1276
[H]	ALLOCATIONS OF JURISDICTIONAL COMPETENCE UNDER OTHER NATIONAL			C]	REMEDIES FOR BREACH OF NEGATIVE OBLIGATION NOT TO LITIGATE	
	ARBITRATION LEGISLATION	1215		U)	ARBITRABLE DISPUTES	1278
[I]	FUTURE DIRECTIONS: ALLOCATION OF JURISDICTIONAL COMPETENCE BETWEEN	1210			A	1278
1-2	NATIONAL COURTS AND ARBITRAL TRIBUNALS	1216			[1] Mandatory Stay of Litigation	
		1210			[2] Dismissal of Litigation	1282
	[1] Circumstances in Which Competence-Competence Exists: Arbitrators'				[3] Arguable Exceptions to Mandatory Stays or Dismissals of National	
	Presumptive Competence-Competence	1216			Court Litigation	1284
	[2] Agreements to Finally Resolve Jurisdictional Issues by Arbitration	1219	4		[4] Discretionary Stays of Related Litigation	1286
	[3] Interlocutory Judicial Consideration of Jurisdictional Issues	1221			[5] Non-Recognition of Judgments	1289
	[4] Judicial Review of Positive Jurisdictional Awards	1232			[6] Antisuit Injunctions	1291
	[5] Judicial Review of Negative Jurisdictional Awards	1236			[a] Antisuit Injunctions Under English Law	1291
2222					[b] Antisuit Injunctions in Other Common Law Jurisdictions	1293
§7.04	CHOICE OF LAW GOVERNING COMPETENCE-COMPETENCE ISSUES	1237				
en or	THE OTHER DESCRIPTION OF THE PARTY OF THE PA				[c] Antisuit Injunctions Under U.S. Law	1294
§7.05	TIMING AND PROCEDURAL DISPOSITION OF JURISDICTIONAL				[d] Antisuit Injunctions in Civil Law Jurisdictions	1297
	DISPUTES BY ARBITRAL TRIBUNAL	1239			[e] Antisuit Injunctions and Council Regulation (EC) 44/2001	1298
[A]	REQUIREMENTS TO RAISE JURISDICTIONAL OBJECTION AT OUTSET OF				[f] Future Directions: Antisuit Injunctions in International	
	ARBITRATION AND WAIVER OF JURISDICTIONAL OBJECTIONS	1239			Arbitration	1304
[B]	PROVISIONS OF NATIONAL LAW REGARDING PROCEDURAL DISPOSITION OF	1.44.5			[7] Damages for Breach of Obligation Not to Litigate Arbitrable Disputes	1305
0.7	JURISDICTIONAL OBJECTIONS	1941			[1] Summy of the product of the prod	1000
[C]	PROVISIONS OF INSTITUTIONAL RULES REGARDING PROCEDURAL DISPOSITION	1241	88	8.04	COURT ORDERS ENJOINING ARBITRATION: ANTI-ARBITRATION	
[O]					INJUNCTIONS	1306
rm t	OF JURISDICTIONAL OBJECTIONS	1241		A.1	ANTI-ARBITRATION INJUNCTIONS ISSUED BY NATIONAL COURTS	1306
[D]	ARBITRAL TRIBUNAL'S AUTHORITY TO CONSIDER JURISDICTIONAL OBJECTIONS					1300
	NOTWITHSTANDING INTERLOCUTORY JUDICIAL CONSIDERATION OF SAME		[1	B]	FUTURE DIRECTIONS: ANTI-ARBITRATION INJUNCTIONS UNDER NEW YORK	
	ISSUES	1243		0.	CONVENTION	1312
[E]	ARBITRAL TRIBUNAL'S PROCEDURAL DISPOSITION OF JURISDICTIONAL	1210	[1	C	EFFECT OF ANTI-ARBITRATION INJUNCTIONS ON ARBITRAL TRIBUNALS	1315
	OBJECTIONS	1044				
[F]		1244				
[r]	WAIVER OF JURISDICTIONAL OBJECTIONS: NO EX OFFICIO JURISDICTIONAL			CHAPTE	CR 9	
	DETERMINATIONS BY ARBITRAL TRIBUNAL	1248			RETATION OF INTERNATIONAL ARBITRATION AGREEMENTS	1317
[G]	JURISDICTIONAL CONSEQUENCES OF CONTESTING ARBITRATORS' JURISDICTION			NIEM	RETATION OF INTERNATIONAL ARBITRATION AGREEMENTS	1317
	IN ARBITRAL PROCEEDINGS	1250	§!	9.01	INTRODUCTION	1317
			2	0.09	SCORE OF ADDITION ACREEMENT	1910
-	SACARDII	H.	_	9.02	SCOPE OF ARBITRATION AGREEMENT	1318
CHAPT		1		A]	INTERNATIONAL ARBITRATION CONVENTIONS	1318
EFFECT	S AND ENFORCEMENT OF INTERNATIONAL ARBITRATION	127	[]	B]	NATIONAL ARBITRATION LEGISLATION	1319
	MENTS	1253	[0	C]	APPLICABILITY OF GENERAL RULES OF CONTRACT INTERPRETATION TO	
		2400			INTERNATIONAL ARBITRATION AGREEMENTS	1320
§8.01	INTRODUCTION	1253	1	D]	PRESUMPTIONS REGARDING SCOPE OF INTERNATIONAL ARBITRATION	
20.00	POOR PRODUCTION OF THE PRODUCT			270.40	AGREEMENT	1325
§8.02	POSITIVE LEGAL EFFECTS OF INTERNATIONAL ARBITRATION					1343
	AGREEMENTS: OBLIGATION TO ARBITRATE IN GOOD FAITH	1254			[1] "Pro-Arbitration" Presumptions Regarding Scope of International	
[A]	SOURCES OF POSITIVE OBLIGATION TO ARBITRATE	1254			Arbitration Agreement	1326
	[1] Positive Obligation to Arbitrate Under International Arbitration	-77			[a] U.S. Federal Arbitration Act	1326
	Conventions	1055			[b] Swiss Law on Private International Law	1331
		1255			[c] Germany	1332
	[2] Positive Obligation to Arbitrate Under National Arbitration		9.0		[d] English Arbitration Act	1333
Fm:2	Legislation	1256			[e] Other Jurisdictions	1334
[B]	CONTENT OF POSITIVE OBLIGATION TO ARBITRATE	1257				1554
[C]	REMEDIES FOR BREACH OF POSITIVE OBLIGATION TO ARBITRATE	1263			[2] "Restrictive" Presumptions Regarding Scope of International	
[D]	CHOICE OF LAW GOVERNING POSITIVE OBLIGATION TO ARBITRATE	1270			Arbitration Agreement	1338
		1270			[3] No "Pro-Arbitration" or "Restrictive" Presumption	1340
§8.03	NEGATIVE LEGAL EFFECTS OF INTERNATIONAL ARBITRATION				[4] Interpretation of Arbitration Agreements in Specialized Institutional	
	AGREEMENTS: OBLIGATION NOT TO LITIGATE ARBITRABLE				Settings	1341
	DISPUTES	1970			[5] Interpretation of Arbitration Clauses With Exceptions or Limited	1011
[A]		1270				1941
[71]	SOURCES OF NEGATIVE OBLIGATION NOT TO LITIGATE ARBITRABLE DISPUTES	1270			Scope	1341
	[1] Negative Obligation Not to Litigate Arbitrable Disputes Under				[6] Future Directions: Presumptions Regarding Scope of International	
	International Arbitration Conventions	1271			Arbitration Agreement	1343
	[2] Negative Obligation Not to Litigate Arbitrable Disputes Under		[]	E]	FORMULAE USED TO DEFINE SCOPE OF INTERNATIONAL ARBITRATION	
	National Arbitration Legislation	1271			AGREEMENT	1345
[B]	CONTENT OF NEGATIVE OBLIGATION NOT TO LITIGATE ARBITRABLE DISPUTES	1272			[1] "All" or "Any" Disputes	1347
	[1] Obligation Not to Litigate Arbitrable Disputes				[2] "Disputes," "Differences" and "Claims"	
	1-1 Congation for to Engate Arbitrable Disputes	1273			[4] Disputes, Differences and Ciallis	1348

xxxviii		Ta	ble of Contents
	191	"Relating To"	1349
	[3] [4]	"In Connection With"	1350
	[5]	"Arising Under"	1352
	[6]	"Arising Out Of"	1353
	[7]	"Arising From"	1354
	[8]	"Broad" Versus "Narrow" Arbitration Clauses	1355
	[9]	Exceptions or Exclusions From Arbitration Agreements	1356
[F]		ICABILITY OF INTERNATIONAL ARBITRATION AGREEMENTS IN COMMO	
- 3		TRING FACTUAL CIRCUMSTANCES	1357
	[1]	Applicability of Arbitration Agreements to Non-Contractual Clai	
	[2]	Applicability of Arbitration Agreements to Claims Based on Statu	ttoru
	1-3	Protections	1364
	[3]	Applicability of Arbitration Agreements to Disputes Concerning	
	[o]	Performance or Interpretation of Contract	1367
	[4]	Applicability of Arbitration Agreements to Disputes Concerning	
	1-1	Existence, Validity, or Legality of Contract	1367
	[5]	Applicability of Arbitration Agreements in Multi-Contract Conte	
	[6]	Applicability of Arbitration Agreements in Context of Successive	KIS 1370
	Lol	Contracts	1376
	[7]	Applicability of Arbitration Agreement Following Termination of	
	1.1	Underlying Contract	1379
	[8]	Applicability of Arbitration Agreements to Preexisting Disputes	
	[9]	Applicability of Arbitration Agreements to Statute of Limitations	1382 Issues 1999
[G]		E OF INTERNATIONAL ARBITRATION AGREEMENT AND SCOPE OF CHO	Issues 1383
[]		W CLAUSE	1383
[H]		PTIONS TO SCOPE OF INTERNATIONAL ARBITRATION AGREEMENTS	1384
	[1]	Validity of Intellectual Property Rights	1385
	[2]	Injunctive Relief for Intellectual Property Rights	1386
	[3]	Payment Obligations	1387
[I]	0.00	TRATORS' REMEDIAL AUTHORITY	1388
			1300
§9.03		RNATIONAL ARBITRATION AGREEMENTS INCORPORATING	
F 4.7		TUTIONAL ARBITRATION RULES	1388
[A]		RPORATION OF INSTITUTIONAL RULES	1388
[B]	ARBIT	RAL INSTITUTION'S AUTHORITY TO INTERPRET INSTITUTIONAL RUL	
[C]		CABLE VERSION OF INSTITUTIONAL RULES	1390
[D]	AMEN	DMENTS TO INSTITUTIONAL RULES	1392
§9.04	EXCL	USIVITY OF ARBITRATION AGREEMENT	1393
§9.05	CHOI	CE OF LAW ADDITION OF ADDRESS	
89.00		ICE OF LAW APPLICABLE TO INTERPRETATION OF ARBITIAN	
[A]			1394
[B]		OF JUDICIAL ENFORCEMENT FORUM GOVERNING SUBSTANTIVE VALIDITY OF ARBITRATION AGREEMENT	1395
[C]		RE DIRECTIONS: CHOICE OF LAW GOVERNING INTERPRETATION OF	1397
[0]		NATIONAL ARBITRATION AGREEMENT	1900
	INIER	NATIONAL ARBITRATION AGREEMENT	1398
§9.06	ALLO	CATION OF COMPETENCE TO DECIDE DISPUTES OVER SCOI	PE
		TERNATIONAL ARBITRATION AGREEMENT	1399
[A]	ALLO	CATION OF JURISDICTIONAL COMPETENCE TO DECIDE SCOPE DISPUT	ES 1399
[B]	RELAT	TONSHIP BETWEEN ALLOCATION OF JURISDICTIONAL COMPETENCE	AND
		OF INTERPRETATION	1401
CHAPT	ER 10		
		TERNATIONAL ARBITRATION AGREEMENTS	1404
§10.01		ODUCTION	1406
[A]		NATIONAL ARBITRATION AGREEMENTS ARE BINDING ON "PARTIES" A	
F D 1		OTHERS	1406
[B]	51GNA	TORIES AND NON-SIGNATORIES TO ARBITRATION AGREEMENT	1410

Gary B. 1	Born	xxxix
[C]	ABSENCE OF LEGISLATIVE PROVISIONS REGARDING NON-SIGNATORY ISSUES	1412
[D]	GENERALLY-APPLICABLE RULES OF CONTRACT LAW	1412
[E]	APPLICATION OF LEGAL BASES FOR SUBJECTING NON-SIGNATORIES TO	
	ARBITRATION AGREEMENT	1414
[F]	DISTINCTION BETWEEN JURISDICTION AND SUBSTANTIVE LIABILITY	1418
§10.02	LEGAL BASES FOR BINDING NON-SIGNATORIES TO INTERNATIONAL	
0	ARBITRATION AGREEMENTS	1418
[A]	AGENCY RELATIONSHIP	1419
[B]	APPARENT OR OSTENSIBLE AUTHORITY	1424
[C]	IMPLIED CONSENT	1427
[D]	ALTER EGO AND VEIL-PIERCING	1431
[E]	"GROUP OF COMPANIES" DOCTRINE	1444
[F]	THIRD PARTY BENEFICIARIES	1455
[G]	GUARANTORS	1459
[H]	SUCCESSION	1463
[1]	ASSIGNMENT AND OTHER TRANSFERS OF CONTRACTUAL RIGHTS	1465
[]]	SUBROGATION	1471
[K]	ESTOPPEL AND RELATED DOCTRINES	1472
[L]	RATIFICATION	1477
[M]	CORPORATE OFFICERS AND DIRECTORS	1478
[N]	SHAREHOLDER DERIVATIVE RIGHTS	1480
[0]	JOINT VENTURE RELATIONS	1482
[P]	STATE NON-SIGNATORIES	1482
§10.03°	FUTURE DIRECTIONS: LEGAL BASES FOR BINDING NON-SIGNATORIES	
OF	TO ARBITRATION AGREEMENTS	1484
§10.04	FORMAL VALIDITY AND NON-SIGNATORIES	1489
§10.05	CHOICE OF LAW GOVERNING PARTIES TO ARBITRATION	
	AGREEMENT	1491
[A]	APPLICATION OF INTERNATIONAL PRINCIPLES TO NON-SIGNATORY ISSUES	1492
[B]	APPLICATION OF NATIONAL LAW TO NON-SIGNATORY ISSUES	1495
[C]	FUTURE DIRECTIONS: CHOICE OF LAW APPLICABLE TO NON-SIGNATORY ISSUES	1497
	[1] Future Directions: Application of National Law to Non-Signatory	
	Issues	1497
	[2] Future Directions: Application of International Principles to Non-	
	Signatory Issues	1499
	[3] Future Directions: International Limitations on National Law	
	Applicable to Non-Signatory Issues	1499
§10.06	ALLOCATION OF COMPETENCE TO DETERMINE PARTIES TO	
320.00	ARBITRATION AGREEMENT	1500
§10.07	ARBITRATION IN CORPORATE AND PARTNERSHIP CONTEXTS	1503
810.00	CLASS ARBITRATIONS	1506
§10.08	10 to 10 to 20 to	1506
[A]	UNITED STATES [1] Historical Background	1506
	 [1] Historical Background [2] Green Tree Financial Corp. v. Bazzle and Its Progeny 	1507 1509
	[3] Class Action Waivers and Unconscionability: Discover Bank Rule	1512
		1514
	 [4] Post-Bazzle U.S. Supreme Court Decisions [a] Stolt-Nielsen SA v. AnimalFeeds Int'l Corp. 	1514
	[b] AT&T Mobility LLC v. Concepcion	1516
	[c] Oxford Health Plans LLC v. Sutter	1521
[B]	OTHER JURISDICTIONS	1523
	J	1040

PART I		L ARBITR	AL PROCEDURES	1525				[c] Competence-Competence and Interlocutory Judicial Consideration of Jurisdictional Disputes	1578
									1579
								[e] Court-Ordered Disclosure in Aid of Arbitration	1579
CHAPT	ER 11						[2]	"Internal" Arbitral Procedures	1579
		ORK FOR	INTERNATIONAL ARBITRAL PROCEEDINGS	1528					1580
		Oldil Oli							1580
§11.01		DUCTION		1529					1580
[A]	JURISDIC	TIONAL R	EQUIREMENTS OF INTERNATIONAL ARBITRATION						1580
			NATIONAL ARBITRATION LEGISLATION	1529					1581
[B]			D PROCEDURAL LAW OF ARBITRATION	1530				[f] Choice of Substantive Law Applicable to Parties' Underlying	
			Procedural Issues in International Arbitral Proceedings	1531					1581
			Relationship Between International Arbitration						1581
			gs and National Courts	1532					1581
[C]	SELECTIO	ON OF FOR	EIGN PROCEDURAL LAW GOVERNING ARBITRATION	1533					1582
§11.02	присп	CTIONAI	REQUIREMENTS OF INTERNATIONAL ARBITRATION						1582
811.04	COMME	NTIONS A	AND NATIONAL ARBITRATION LEGISLATION					91	1582
TA1				1535					1582
[A]			EQUIREMENTS OF INTERNATIONAL ARBITRATION	1505		127	MAND		1583
rn1	CONVENT			1535		[E]	252		1583
[B]	JURISDIC	TIONAL RI	EQUIREMENTS OF NATIONAL ARBITRATION LEGISLATION	1535			[1]		1303
§11.03	CONCE	PT AND L	EGAL SIGNIFICANCE OF ARBITRAL SEAT	1536				[a] Theoretical Basis for Mandatory Application of Arbitration	1500
[A]			BITRAL SEAT	1538				0	1583
[B]			MY TO SELECT ARBITRAL SEAT	1541		0	C TOT		1585
[C]		OF ARBIT		1541			[2]		1587
[-1			at in International Arbitration Conventions			40.	[3]	Future Directions: Mandatory Application of Arbitration Legislation of	
			va Protocol	1543	40	OY	-		1589
		-	va Convention	1543		[F]		ISHED CONTEMPORARY PRACTICAL IMPORTANCE OF CHOICE OF	
			York Convention	1544	N.P.		ARBITI	RAL SEAT ON INTERNAL ARBITRAL PROCEDURES	1592
	- [1545	O	§11.04	LOCA	TION OF ARBITRAL SEAT NOT ORDINARILY AFFECTED BY	
		[i]	Drafting History of New York Convention	1545	-0	811.01			1596
		[ii]	Article V(1)(d): Recognition of Parties' Procedural	77.40			HOLD	THO TEARINGS ELDEWIERE FOR CONVENIENCE	1330
		F2227	Autonomy	1549		§11.05	CHOI	CE OF PROCEDURAL LAW OF ARBITRATION	1598
		[iii]	Article V(1)(e): Arbitral Seat as Exclusive Annulment			[A]	DEFINI	TION OF "PROCEDURAL LAW OF ARBITRATION"	1598
		r:7	Forum With Plenary Annulment Authority	1550			[1]	Procedural Law of Arbitration	1598
		[iv]	Article V(1) (b): International Due Process Limits on	14			[2]	Procedural Law of Arbitration Distinguished From Substantive Law	
		6.7	Arbitral Procedure	1553				Governing Parties' Arbitration Agreement or Underlying Contract	1600
		[v]	Article II(3): Principle of Judicial Non-Interference in				[3]	Procedural Law of Arbitration Distinguished From Arbitration Law of	
		F +17	Pending Arbitral Proceedings	1553					1602
		[vi]	Future Directions: International Limits on Mandalory				[4]	Procedural Law of Arbitration Distinguished From Arbitral Procedures	1603
		£ 117	Procedural Requirements of Arbitral Seat	1554		[B]			1604
		[vii]	Future Directions: International Limits on Recognition				[1]	Historic Application of Law of Arbitral Seat as Procedural Law of	
			of Mandatory Procedural Requirements of Arbitral Seat						1604
			in Other Contracting States	1559			[2]	Contemporary Recognition of Parties' Autonomy to Choose	
		-	pean Convention	1564			22		1605
			American Convention	1565				[a] Authorities Recognizing Party Autonomy to Select Procedural	
	[2] A	arbitral Sea	at in National Arbitration Legislation	1566					1606
	[a	I] UNCI	TRAL Model Law	1567				[b] Limitations on Party Autonomy to Select Procedural Law of	1000
	[]	o] Englis	sh Arbitration Act	1570					1609
	[c	:] Swiss	Law on Private International Law	1571					1609
	[c	l] Frenc	h Code of Civil Procedure	1573				가겠다고 :	1611
	[e	e] U.S. F	ederal Arbitration Act	1574			191	New York Convention Limits on Mandatory Procedural Law of Arbitral	1011
	[f		e Directions: Arbitral Seat in National Arbitration Law	1575			[3]		1612
D]	INTERNAL		ERNAL PROCEDURAL ISSUES TYPICALLY GOVERNED BY LAW				E41		1012
	OF ARBIT			1576			[4]	Choice of Procedural Law of Arbitration in Absence of Agreement by	1610
	[1] "1	External"	Relationships Between Arbitration and National Courts	1576		101	A		1613
	[a		ns to Annul Arbitral Awards	1577		[C]		RAL TRIBUNAL'S APPROACH TO SELECTION OF PROCEDURAL LAW OF	161*
			fications, Appointment and Removal of Arbitrators by	a manage		rn1			1615
			nal Courts	1577		[D]		MINING WHETHER PARTIES HAVE AGREED UPON CHOICE OF	1010
						fr:1			1616
						[E]	INTERI	PRETING PARTIES' CHOICE OF PROCEDURAL LAW OF ARBITRATION	1621

NATIONALITY OF ARBITRATORS

[A]

1688

[B]

PARTY'S FAILURE TO SELECT CO-ARBITRATOR

§13.01 INTRODUCTION

[3]

International Arbitrator Immunity Under Institutional Rules

Future Directions: International Arbitrator Immunity

2035

dviii	Table	of Contents
[D]	INTERNATIONAL ARBITRATOR'S RIGHT OF CONFIDENTIALITY	2039
§13.07	ROLE OF PRESIDING ARBITRATOR	2040
[A]	Presiding Arbitrator	2040
	[1] Procedural Decisions	2040
	[2] Powers of "Presiding" Arbitrator	2041
	[3] Casting Vote of Presiding Arbitrator	2042
	[B] Secretary to Tribunal	2043
§13.08	CHOICE OF LAW GOVERNING INTERNATIONAL ARBITRATORS' OBLIGATIONS, RIGHTS AND PROTECTIONS	2046
§13.09	PROPOSALS FOR LICENSING AND REGULATION OF INTERNATIONAL	
	ARBITRATORS	2047
CHAPT	ER 14	
SELECT	TION OF ARBITRAL SEAT IN INTERNATIONAL ARBITRATION	2051
§14.01	INTRODUCTION	2052
[A]	IMPORTANCE OF LOCATION OF ARBITRAL SEAT	2052
[B]	MEANS OF SELECTING ARBITRAL SEAT	2053
§14.02	IMPORTANCE OF SELECTION OF ARBITRAL SEAT	2055
[A]	CONSIDERATIONS IN SELECTING ARBITRAL SEAT	2055
	[1] Contracting State Under New York Convention	2056
	[2] Supportive National Arbitration Regime	2056
	[3] Standards for Annulment of Arbitral Awards	2058
	[4] Effects on Selection of Arbitrators	2059
	[5] Effects on Choice of Procedural and Substantive Laws	2059
	[6] Availability of Judicial Assistance	2060
	[7] Neutrality of Arbitral Seat	2061
	[8] Convenience and Cost	2061
	[9] Language of Arbitration	2062
[B]	ARBITRAL SEATS COMMONLY SELECTED BY PARTIES	2064
§14.03	PARTIES' AUTONOMY TO SELECT ARBITRAL SEAT	2067
[A]	INTERNATIONAL ARBITRATION CONVENTIONS	2067
[B]	NATIONAL ARBITRATION LEGISLATION	2069
[C]	INSTITUTIONAL ARBITRATION RULES	2070
[D] [E]	TERMS OF AGREEMENTS SELECTING ARBITRAL SEAT AGREEMENT TO CHANGE ARBITRAL SEAT	2070 2072
53577557	INTERPRETATION AND VALIDITY OF AGREEMENT ON ARBITRAL SE	
§14.04	DISPUTES OVER INTERPRETATION OF PARTIES' AGREEMENT ON ARBITRAL SE	
	CLAIMS THAT PARTIES' AGREEMENT IS SUBSTANTIVELY INVALID	2075
[B]	[1] Inconvenient Arbitral Seat	2076
	[2] Changed Circumstances Affecting Arbitral Seat	2080
	[3] Other Grounds for Challenging Agreement on Arbitral Seat	2084
	[4] Internally-Contradictory Specifications of Arbitral Seat	2086
	[5] Form Requirements for Agreement on Arbitral Seat	2087
	[6] Remedies in Cases Involving Defective, Nonexistent, or Invalid	
	Selection of Arbitral Seat	2088
§14.05	CHOICE OF LAW GOVERNING INTERPRETATION AND VALIDITY OF	
	AGREEMENT ON ARBITRAL SEAT	2088
§14.06	ALLOCATION OF COMPETENCE OVER DISPUTES CONCERNING	
	VALIDITY OR INTERPRETATION OF AGREEMENT ON ARBITRAL SEA	T 2089
[A]	ALLOCATION OF COMPETENCE OVER DISPUTES CONCERNING VALIDITY OF	52.00L-20
	AGREEMENT ON ARBITRAL SEAT	2089
[B]	ALLOCATION OF COMPETENCE OVER DISPUTES CONCERNING INTERPRETATION	
	OF AGREEMENT ON ARBITRAL SEAT	2090

Gary B. B	orn			XIIX
		TION	OF COMPETENCE OVER DISPUTES CONCERNING VALIDITY OR	
[C]	ALLOCA	PETATE	ON OF AGREEMENT ON ARBITRAL SEAT WHERE PARTIES HAVE	
	INTERPI	CORPO	PRATED INSTITUTIONAL RULES OR AGREED UPON ARBITRAL	
			ARBITRAL SEAT	2091
Printer.	TRIBUN	AL OK	IEW OF DECISION BY ARBITRAL TRIBUNAL OR ARBITRAL	
[D]	JUDICIA	L KEVI	ON INTERPRETATION OR VALIDITY OF AGREEMENT ON ARBITRAL	
		HON	ON INTERIREITION ON VIEWE	2093
	SEAT			
§14.07	SELEC	TION	OF ARBITRAL SEAT BY ARBITRAL INSTITUTION OR	0004
91110	ARBIT	RAL TI	RIBUNAL IN ABSENCE OF AGREEMENT BY PARTIES	2094
[A]			AL ARBITRATION RULES PROVIDING FOR SELECTION OF ARBITRAL	0005
Lead	SEAT BY	ARBIT	FRAL INSTITUTION	2095
[B]			AL ARBITRATION RULES PROVIDING FOR SELECTION OF ARBITRAL	0000
1	SEAT BY	ARBIT	TRAL TRIBUNAL	2096
[C]	NATION	NAL AR	RBITRATION LEGISLATION PROVIDING FOR SELECTION OF	2007
1-1	ARBITR	AL SEA	AT BY ARBITRAL TRIBUNAL	2097
[D]	INSTIT	UTIONA	AL ARBITRATION RULES WITH PREFERENCE FOR PARTICULAR	0000
1-3	ARBITR	AL SEA	AT	2099
[E]			EVANT TO ARBITRAL TRIBUNAL'S OR ARBITRAL INSTITUTION'S	0100
1	SELECT	TON O	F ARBITRAL SEAT	2100
[F]	JUDICL	AL REV	TEW OF DECISIONS BY ARBITRAL INSTITUTION OR ARBITRAL	01.00
1-3	TRIE	AL DE	ESIGNATING ARBITRAL SEAT	2102
	COL IT	PERM	CE OF NATIONAL COURTS TO SELECT ARBITRAL SEAT IN	
§14.08	COMP	EIEN	F AGREEMENT BY PARTIES	2103
-	ABSEL	NCE O	AUTHORITY UNDER MOST NATIONAL ARBITRATION STATUTES	
[AJ	NO GE	NEKAL	AL COURT TO SELECT ARBITRAL SEAT IN ABSENCE OF AGREEMENT	
100			AL COURT TO SELECT MONTAGE SELECT	2104
5	BY PAR	AT ATT	THORITY OF U.S. COURTS UNDER FEDERAL ARBITRATION ACT TO	
[B]	GENER	r Appr	TRAL SEAT IN ABSENCE OF AGREEMENT BY PARTIES	2106
		Down	er of U.S. District Courts to Compel Arbitration in United States	
	[1]	Unde	er §4 of Federal Arbitration Act	2107
	F91	Powe	er of District Courts to Compel Arbitration in United States or	
	[2]	Abro	oad Under §206 of Federal Arbitration Act	2111
		[a]	§206 of Federal Arbitration Act Authorizes U.S. Courts to	
		[a]	Compel Arbitration in Foreign Arbitral Seat Specified in Parties'	2111
			Agreement	
		[b]	§206 of Federal Arbitration Act Does Not Apply if No Arbitral	2112
		[O]	Seat Has Been Specified	
		6.7	Uncertainty Under §206 of Federal Arbitration Act as to	
		[c]	Authority of U.S. Courts to Compel Arbitration in Foreign	
			Arbitral Seat Selected by Arbitral Institution or Arbitral Tribunal	2113
			TILL That COME of Fodoral	
			[i] Lower U.S. Courts Holding That \$200 of Federal Arbitration Act Does Not Permit Order Compelling	
			Arbitration in Foreign Arbitral Seat Selected by Arbitral	
			Institution	2113
			True True COOC - CE-Jamel	
			[ii] Lower U.S. Courts Holding That \$200 of Federal Arbitration Act Permits Order Compelling Arbitration	
			in Foreign Arbitral Seat Selected by Arbitral Institution	2115
	107	p	er of U.S. District Courts to Compel Arbitration in Particular	2116
	[3]	row	itral Seat Under §303 of Federal Arbitration Act	
		Aro	Decisions Invalidating Choice of Foreign Arbitral Seat on Public	211
	[4]			
	0.0000	Poli	icy Grounds	2118
	[5]	Futi	ure Directions: Orders Compelling Arbitration in Specified	411
		Loc	ation Under Federal Arbitration Act	

xlix

CHAPT					[1]	New York Convention	218
PROCE	DURES IN INTERNATIONAL ARBITRATION	2120			[2]		219
§15.01	INTRODUCTION	2123			[3]		219
[A]	OBJECTIVES OF INTERNATIONAL ARBITRAL PROCEDURES	2123		[B]		INCIPLE OF JUDICIAL NON-INTERFERENCE UNDER NATIONAL ARBITRATION	010
[B]	DIFFERENCES BETWEEN ARBITRAL AND JUDICIAL PROCEDURES	2130			LEG	GISLATION	219
§15.02	PARTIES' AUTONOMY TO DETERMINE PROCEDURES IN			§15.07		OCEDURAL CONDUCT OF INTERNATIONAL ARBITRAL	12000
0-0104	INTERNATIONAL ARBITRATION	2130				OCEEDINGS	219
[A]	PARTIES' PROCEDURAL AUTONOMY UNDER INTERNATIONAL ARBITRATION	2131		[A]		GENERAL PROCEDURAL CODE FOR INTERNATIONAL ARBITRATIONS	219
4-3	CONVENTIONS			[B]		MANDATORY APPLICATION OF DOMESTIC RULES OF CIVIL PROCEDURE	219
[B]	PARTIES' PROCEDURAL AUTONOMY UNDER NATIONAL ARBITRATION			[C]		BITRAL PROCEDURES UNDER INSTITUTIONAL RULES	220
	LEGISLATION	2132		[D]		BITRAL TRIBUNAL'S EXERCISE OF DISCRETION OVER ARBITRAL PROCEDURES	220
[C]	PARTIES' PROCEDURAL AUTONOMY TO SELECT INSTITUTIONAL RULES	2136			[1]		220 220
[D]	PARTIES' PROCEDURAL AUTONOMY UNDER INSTITUTIONAL RULES	2138			[2]		220
[E]	ARBITRAL TRIBUNAL'S OBJECTIONS TO PARTIES' PROCEDURAL AGREEMENTS	2140		rm1		BITRAL PROCEDURES UNDER IBA RULES ON TAKING OF EVIDENCE	221
	[1] Parties' General Procedural Autonomy, Notwithstanding Arbitral	2141		[E]	AK	BITAL FROCEDURES UNDER IBA ROLES ON TAKING OF EVIDENCE	241
	Tribunal's Objections			§15.08	MA	JOR PROCEDURAL STEPS IN INTERNATIONAL ARBITRAL	
	[2] Arbitrators' Procedural Authority to Require Compliance With	2142				OCEEDINGS	221
	Mandatory Rules of Procedural Fairness and Equality			[A]		TICE OF ARBITRATION OR REQUEST FOR ARBITRATION	221
	[3] Arbitrators' Procedural Authority Under Institutional Rules	2143		[B]		RVICE OF REQUEST FOR ARBITRATION	221
[F]	NATIONAL ARBITRATION LEGISLATION NOT RECOGNIZING PARTIES'			[C]		CEIPT OF REQUEST FOR ARBITRATION	222
	PROCEDURAL AUTONOMY	2144		[D]		LY AND COUNTERCLAIMS	222
§15.03	ARBITRAL TRIBUNAL'S DISCRETION TO DETERMINE PROCEDURES IN	2144		[E]		NSTITUTION OF ARBITRAL TRIBUNAL	222
320.00	INTERNATIONAL ARBITRATION	2111		[F]		ALLENGES OF ARBITRATORS	222
[A]	ARBITRAL TRIBUNAL'S PROCEDURAL DISCRETION UNDER INTERNATIONAL	2145		[G]		ESIDING ARBITRATOR'S PROCEDURAL AUTHORITY	222
	ARBITRATION CONVENTIONS	2145		[H]		RITTEN COMMUNICATIONS WITH ARBITRAL TRIBUNAL DURING ARBITRAL	999
[B]	ARBITRAL TRIBUNAL'S PROCEDURAL DISCRETION UNDER NATIONAL	2146	1,0	frt1		OCEEDINGS EX PARTE SUBSTANTIVE COMMUNICATIONS WITH TRIBUNAL	222 222
1-1	ARBITRATION LEGISLATION	2140		[]]		OCEDURAL ORDERS AND DIRECTIONS	222
[C]	ARBITRAL TRIBUNAL'S PROCEDURAL DISCRETION UNDER INSTITUTIONAL	2149	20'	[K]		RISDICTIONAL OBJECTIONS	223
	RULES	2149		[L]		NGUAGE OF ARBITRATION	223
				[M]		TIAL PROCEDURAL CONFERENCE	223
$\S 15.04$	MANDATORY PROCEDURAL REQUIREMENTS IN INTERNATIONAL	1.5		[N]		SE MANAGEMENT	223
erovek	ARBITRATION	2154 2154		[0]		ME LIMITS FOR ARBITRATION	223
[A]	MANDATORY PROCEDURAL PROTECTIONS UNDER INTERNATIONAL	2154		[P]	PRO	OCEDURAL TIMETABLE FOR ARBITRATION AND INITIAL PROCEDURAL ORDER	224
	ARBITRATION CONVENTIONS	74		[Q]	Iss	UE DEFINITION	224
	[1] New York Convention	2155		[R]	BIF	URCATION OR OTHER SEGMENTATION OF PROCEEDINGS	224
	[a] Article II	2156		[S]	ICO	C TERMS OF REFERENCE	224
	[b] Article V(1)(b)	2157		[T]	AD	VANCE ON COSTS OR DEPOSITS	224
	[c] Article V(1)(d)	2158		[U]	"Di	ISCLOSURE" OR "DISCOVERY"	224
	[d] Article V(2)(b)	2159		[V]		AITTEN SUBMISSIONS	225
Грт	[2] Other International Arbitration Conventions	2162		[W]		CUMENTARY EVIDENCE	225
[B]	MANDATORY PROCEDURAL PROTECTIONS UNDER NATIONAL ARBITRATION			[X]		SITTEN WITNESS STATEMENTS	225
	LEGISLATION [1] Mandatory Procedural Protestions Paris D. 1. 1.	2163		[Y]		CRODUCTION OF NEW CLAIMS AND DEFENSES	226
	[1] Mandatory Procedural Protections: Basic Principles [2] Equality of Treatment	2163		[Z]		T-OFF DATE	226
	[3] Opportunity to Be Heard	2170		[AA]		IDENTIARY HEARINGS	226
	[4] Deference to Parties' Procedural Autonomy and Arbitrators'	2175			[1]		226
	Procedural Discretion	9190			[2]		226 226
[C]	REPRESENTATIVE APPLICATIONS OF MANDATORY PROCEDURAL PROTECTIONS	2180 2184			[3] [4]		226
[D]	INTERNATIONAL LIMITS ON MANDATORY NATIONAL PROCEDURAL	2104			[5]		227
	REQUIREMENTS	2186			[6]		227
		2100			[7]		227
$\S 15.05$	WAIVER OF PROCEDURAL RIGHTS IN INTERNATIONAL ARBITRATION	2186			[8]		228
\$15.06	JUDICIAL NON-INTERFERENCE IN INTERNATIONAL ARBITRAL				[9]		228
,	PROCEEDINGS	2189			[10		228
	PRINCIPLE OF JUDICIAL NON-INTERFERENCE UNDER INTERNATIONAL	2109			[11	N	228
	ARBITRATION CONVENTIONS	2189			[12		229
		4103			[13		229

Gary B. Born

- 1	* *	4	•	
- 1	·v	1	4	

[C]		ORITY OF NATIONAL COURTS TO GRANT PROVISIONAL RELIEF IN AID OF	0500			1	[b] National Arbitration Legislation Providing for Consolidation as	2589
	Capital Capital	NATIONAL ARBITRATIONS UNDER NATIONAL ARBITRATION LEGISLATION	2538				Mandatory Rule	2589
	[1]	National Arbitration Legislation Generally Authorizing Court-Ordered Provisional Relief	0500				Consolidation of Arbitrations in Different Arbitral Seats Consolidation of Arbitrations With Different Arbitral Tribunals and	2303
		[a] UNCITRAL Model Law	2538			F-3		2590
			2538				Related Issues	2592
		[b] Other National Arbitration Legislation [c] U.S. Federal Arbitration Act	2539				Competence to Order Consolidation and Joinder/Intervention Exercise of Power to Order Consolidation and Joinder/Intervention	2594
	[2]	Limitations on Court-Ordered Provisional Relief	2541				Exercise of Power to Order Consolidation and Joinder Intervention by	2331
			2543				National Arbitration Legislation Providing for Joinder/Intervention by	2595
	[3]	Rationale for Concurrent Judicial Jurisdiction to Grant Provisional Relief in Aid of Arbitration	0544				Means of Consolidation	2596
	T41:		2544		[C]		LIDATION, INTERVENTION AND JOINDER UNDER INSTITUTIONAL RULES	2596
	[4]	Parties' Right to Seek Provisional Relief From Both Arbitral Tribunal	05.45				Joinder and Intervention Under UNCITRAL Rules	2597
	[5]	and National Courts and Preference for Arbitral Forum	2545				Consolidation and Joinder Under ICC Rules	2597
	[5]	Parties' Autonomy to Exclude Court-Ordered Provisional Relief	2547				[a] Consolidation Under ICC Rules	2598
	[6]	Application for Court-Ordered Provisional Relief Does Not Ordinarily	05.40				[b] Joinder Under ICC Rules	
	CHI	Waive Rights to Arbitrate	2549				Consolidation and Joinder/Intervention Under Swiss Rules	2599
	[7]	Choice of Law Applicable to Court-Ordered Provisional Relief	2551				Joinder and Intervention Under LCIA Rules	2601
	[8]	Choice of Forum for Court-Ordered Provisional Relief?	2553				Consolidation, Joinder and Intervention Under HKIAC Rules	2601
		[a] New York Convention Is Silent as to National Court Possessing					Consolidation, Joinder and Intervention Under SIAC Rules	2602
		Jurisdiction to Order Provisional Relief	2554				Consolidation, Joinder and Intervention Under Other Institutional	0005
		[b] Forum Selection Agreements	2554				Rules	2605
		[c] National Law Permitting Courts in Arbitral Seat to Order			[D]		LIDATION AND JOINDER/INTERVENTION: SELECTION OF ARBITRAL	0000
		Provisional Relief	2555			TPILUN	AL(S)	2606
		[d] National Law Permitting Courts to Order Provisional Relief in					Dutco: Public Policy Issues in Arbitrator Selection in Multi-Party Cases	2608
		Aid of Foreign Arbitration	2555			[2]	Selection of Arbitrators in Multi-Party Cases Under Institutional Rules	2610
		[e] Judicial Restraint in Ordering Provisional Relief in Aid of			07.2 30	MITT	-CONTRACT ISSUES IN INTERNATIONAL ARBITRAL	
		Foreign Arbitration	2557	A.	\$12.03		EDINGS	2612
	[9]	Recognition of Court-Ordered Provisional Relief in Aid of		G A ST		I KOOL	EDITOS	
rn s	7.0000000	International Arbitration	2560	ALP!				
[D]		ORITY OF NATIONAL COURTS TO GRANT PROVISIONAL RELIEF IN AID OF		Ox	CHAPTE	D 10		
ED 1		NATIONAL ARBITRATIONS UNDER INSTITUTIONAL RULES	2561				STANTIVE LAW IN INTERNATIONAL ARBITRATION	2614
[E]	JUDIC	IAL ASSISTANCE IN TAKING EVIDENCE IN INTERNATIONAL ARBITRATION	2563					
			1	7	§19.01	INTRO	DUCTION	2616
			12		§19.02	ARBITI	RATORS' AUTHORITY TO SELECT APPLICABLE SUBSTANTIVE	
CHAPT	ER 18		3			LAW		2619
CONSO	LIDATI	ON, JOINDER AND INTERVENTION IN INTERNATIONAL			[A]	INTERN	ATIONAL ARBITRATION CONVENTIONS	2620
	ATION		2564		[B]	NATION	NAL ARBITRATION STATUTES	2621
					[C]	INSTITU	UTIONAL RULES	2623
§18.01	INTRO	ODUCTION	2565		810.09	CHOIC	E OF SUBSTANTIVE LAW GOVERNING MERITS OF PARTIES'	
§18.02	миил	TI-PARTY ISSUES IN INTERNATIONAL ARBITRAL PROCEDINGS	2570		§19.03	DISBLE	TE IN ABSENCE OF AGREEMENT ON APPLICABLE LAW	2625
[A]		DLIDATION, INTERVENTION AND JOINDER UNDER INTERNATIONAL	4570		TAI		ATIONAL CONVENTIONS	2626
50,04		RATION CONVENTIONS	2570		[A]		International Arbitration Conventions	2626
[B]		OLIDATION, INTERVENTION AND JOINDER UNDER NATIONAL	2010				Choice-of-Law Conventions	2626
		RATION LEGISLATION	2573				Rome I Regulation and Rome Convention	2626
	[1]	Consolidation and Joinder/Intervention Pursuant to Parties'	4010			[4]	U.N. Convention on Contracts for the International Sale of Goods	2628
	1-1	Arbitration Agreement	2573		[B]		NAL ARBITRATION LEGISLATION	2629
		[a] Consolidation and Joinder/Intervention Under UNCITRAL	2313		[D]		Conflict of Laws Rules of Arbitral Seat	2629
		Model Law	2573			[1]	Substantive Law of Arbitral Seat	263
		[b] Consolidation and Joinder/Intervention Under U.S. Federal	2313			[2]	Specialized Conflict of Laws Rules for International Arbitration	2632
		Arbitration Act	2576					2633
		[c] Consolidation and Joinder/Intervention Under French Law	2578				"Applicable" or "Appropriate" Conflict of Laws Rules	2634
						[5]	"Direct" Application of Substantive Law	263
			2579		[0]		Mandatory Laws	
	191	[e] Consolidation and Joinder/Intervention Under Swiss Law	2579		[C]		UTIONAL RULES	2636
	[2]	Nature of Agreement Required for Consolidation and	9500		[D]		E-OF-LAW RULES APPLIED BY INTERNATIONAL ARBITRATORS	263
	[9]	Joinder/Intervention	2580			[1]	Traditional Rule That Arbitrators Must Apply Choice-of-Law Rules or	0.00
	[3]	Consolidation or Joinder/Intervention Under National Law in	orec			for	Substantive Law of Arbitral Seat	263
		Absence of Parties' Agreement	2586			[2]	Erosion of Traditional Rules Applying Arbitral Seat's Choice-of-Law	904
		[a] National Arbitration Legislation Providing for Consolidation as	0500				Rules or Substantive Law	264
		Default Mechanism	2586					

	[3]	Contemporary Choice-of-Law Rules Applied by International			[7]	International Limits on National Laws Which Deny Validity of Choice-	
		Arbitrators	2643		F.1	of-Law Agreements	2689
		[a] Choice-of-Law Rules That Arbitral Tribunal Considers	4013	100	Dipli	IC POLICY LIMITATIONS ON CHOICE-OF-LAW AGREEMENTS IN	
		"Appropriate"	00.40	[B]		NATIONAL ARBITRATION	2690
		[b] "Direct" Application of Substantive Law Without Conflicts	2643				
			240707		[1]	Mandatory Laws and Public Policy	2691
		Analysis	2646		[2]	"Foreign" Mandatory Laws and Public Policies	2696
		[c] Choice-of-Law Rules of Arbitral Seat	2647		[3]	Power of Arbitrators to Consider Issues of Public Policy or Mandatory	
		[d] "Cumulative" Application of Choice-of-Law Rules of All States				Laws	2699
		With Meaningful Connection to Parties' Dispute	2649		[4]	Power of Arbitrators to Consider Issues of Public Policy or Mandatory	
		[e] "International" Choice-of-Law Rules	2651		6-1	Laws Notwithstanding Parties' Contrary Agreement	2703
		[f] Choice-of-Law Rules of State Most Closely Connected to Parties'	2001		[5]	Choice of Law Governing Public Policy and Mandatory Law Issues	2707
		Dispute Dispute	0050		[3]	[a] Application of Mandatory Law Rules and Public Policies of State	210
		[g] Application of Substantive Law of State With Closest Connection	2653				970
		to Dispute				Chosen by Choice-of-Law Clause	2707
			2654			[b] Application of Mandatory Law Rules and Public Policies of	100000000000000000000000000000000000000
FTC 2	Г.	[h] Other Choice-of-Law Alternatives	2655			Arbitral Seat	2709
[E]	FUTU	RE DIRECTIONS: CHOICE-OF-LAW RULES FOR SELECTING SUBSTANTIVE				[c] Application of Mandatory Law Rules and Public Policies of States	
	LAW I	N INTERNATIONAL ARBITRATION	2656			Other Than Arbitral Seat	2712
[F]	APPLI	CATION OF NON-NATIONAL LEGAL SYSTEM IN ABSENCE OF CHOICE-OF-	120222		[6]	International Public Policy	2716
	LAW A	AGREEMENT	2661		[7]	Ex Officio Application of Mandatory Law	2720
	[1]	Authority of Arbitral Tribunal to Apply Non-National Legal System in	2001	101		CATIONS ON SCOPE OF CHOICE-OF-LAW AGREEMENTS: CAPACITY, STATUS	
		Absence of Choice-of-Law Agreement	0.000	[C]			070
	[2]	Application of Non Notice 11	2662			RELATED ISSUES	272
(C)		Application of Non-National Legal System	2664	[D]	OTHE	K GROUNDS FOR CHALLENGING VALIDITY OF CHOICE-OF-LAW	
[G]		E USAGES	2664		ACKE	EMENTS	2722
[H]		NCTION BETWEEN MATTERS OF "SUBSTANCE" AND "PROCEDURE"	2668		[1]	Defects in Formation of Choice-of-Law Agreement	2723
	[1]	Burden of Proof	2668		[2]	Insufficiently-Clear Choice-of-Law Agreements	2723
	[2]	Statutes of Limitations	2669		[3]	Ambiguous Designations of National Law	272
	[3]	Damages and Remedies	2670			"Reasonable Relationship" Requirement for Validity of Parties' Choice	
			2070	C	[4]		272
19.04	CHOI	CE OF LAW GOVERNING MERITS OF PARTIES' DISPUTE				of Substantive Law	
	PURS	UANT TO CHOICE-OF-LAW AGREEMENTS	2670	O	[5]	Choice-of-Law Agreements Selecting "Incomplete" Laws	2729
A]	PRESU	MPTIVE VALIDITY OF CHOICE-OF-LAW AGREEMENTS SELECTING	2070		[6]	Choice-of-Law Agreements That Produce Results Contrary to Parties'	
	SUBST	ANTIVE LAW IN INTERNATIONAL ARBITRATION	0071			Expectations	2730
	[1]	Presumptive Validity of Choice-of-Law Agreements Selecting	2671	[E]	IMPLI	ED CHOICE-OF-LAW AGREEMENTS	2730
	K	Substantive Law Under International Arbitration Conventions	1.		[1]	Implied Choice-of-Law Agreements Recognized	273
		[a] International Conventions	2673		[2]	Selection of Arbitral Seat as Implied Choice of Substantive Law	2733
		[a] International Conventions Providing for Validity of Choice-of-	N	[F]		REQUIREMENTS FOR CHOICE-OF-LAW AGREEMENTS	273
		Law Agreements Selecting Applicable Substantive Law	2673	[G]		UMPTION THAT "FOREIGN" SUBSTANTIVE LAW IS SAME AS THAT OF	-2000
		[b] International Instruments Denying Validity of Choice-of-Law		[6]			273
		Agreements Selecting Applicable Substantive Laws	2676		AKBI	TRAL SEAT	213
	[2]	Presumptive Validity of Choice-of-Law Agreements Selecting		§19.05	INTE	ERPRETATION AND CONTENT OF CHOICE-OF-LAW AGREEMENTS	273
		Substantive Law in International Arbitration Under National Laws	2677			ND-ALONE" CHARACTER OF CHOICE-OF-LAW CLAUSE	273
		[a] National Arbitration Legislation Recognizing Presumptive	2077	[A]			273
		Validity of Choice of Louis A	ST 200-TE	[B]		L RULES SELECTED BY CHOICE-OF-LAW AGREEMENTS	2/3
		Validity of Choice-of-Law Agreements	2677		[1]	Renvoi Versus "Whole Law": Does Choice-of-Law Agreement Select	
		[b] Generally-Applicable Conflict of Laws Rules Recognizing				Substantive Rules or Conflict of Laws Rules?	273
		Presumptive Validity of Choice-of-Law Agreements	2678		[2]	Procedural Law of Arbitration	273
		[c] National Laws Not Recognizing Validity of Choice-of-Law			[3]	"Procedural" Issues	273
		Agreements	2680		[4]	Non-Contractual Issues	273
	[3]	Presumptive Validity of Choice-of-Law Agreements Selecting	2000		[5]	Exclusion of "Foreign" Mandatory Laws	274
		Substantive Law Under Institutional Rules	0001	rea			211
	[4]	Presumptive Validity of Choice-of-Law Agreements Selecting	2681	[C]		RACTION OF CHOICE-OF-LAW AGREEMENT WITH DISPUTE RESOLUTION	051
	1.41	Substantive Level I and a Leve			PROV	TISIONS	274
	T=1	Substantive Law Under International Arbitral Awards	2682	810.06	CITO	TOTAL OF SUBSTANTINE LAW IN CHOICE OF LAW ACREMENTS	274
	[5]	Separability of Choice-of-Law Agreement	2683	§19.06		ICES OF SUBSTANTIVE LAW IN CHOICE-OF-LAW AGREEMENTS	
	[6]	Choice-of-Law Rules Applicable to Law Governing Validity of Choice-		[A]		SIDERATIONS AFFECTING CHOICE OF SUBSTANTIVE LAW	274
		of-Law Agreements Selecting Applicable Substantive Law	2684		[1]	National Law	274
		[a] Choice-of-Law Rules of Arbitral Seat	2684		[2]	Developed, Stable and Commercially-Sophisticated Law	274
		[b] Choice-of-Law Rules of State Whose Law Is Selected by Choice-of-	4004		[3]	Enforceability	274
		Law Agreements	0000		[4]	"Favorable" Laws	274
			2686		[5]	State Contracts	274
		[c] Effect of Allegedly Invalid or Nonexistent Choice-of-Law Clause	2686	LD.1		ICES OF NATIONAL SUBSTANTIVE LAW	274
		[d] Validation Principle	2687	[B]			
		[e] Other Choice-of-Law Rules	2689		[1]	Choice of National Law	274
					[2]	Choice of Multiple or Overlapping National Laws	275

Measures

[G]

ADDITIONAL AWARD

3090

Costs of Arbitration Under U.S. Federal Arbitration Act

lxvi	Table of	Contents		Gary B. I	Born			lxvii
[B]	AWARDS OF COSTS OF ARBITRATION UNDER INSTITUTIONAL RULES	3093		CHAPT	ER 25			
[C] [D]	AWARDS OF COSTS OF ARBITRATION IN INTERNATIONAL ARBITRAL PRACTICE CHOICE OF LAW GOVERNING COSTS OF LEGAL REPRESENTATION COSTS OF LEGAL REPRESENTATION IN PROCEEDINGS RESULTING IN NEGATIVE	3095 3099		ANNUL §25.01	MENT	OF INTI	ERNATIONAL ARBITRAL AWARDS ION	3163 3164
[E]	JURISDICTIONAL AWARDS	3101		§25.02			ONAL LIMITS ON GROUNDS FOR ANNULLING	3165
§23.09	AWARDS OF INTEREST AWARDS OF INTEREST UNDER NATIONAL ARBITRATION LEGISLATION	3102 3103		[A]			NAL ARBITRAL AWARDS HOLDING THAT NEW YORK CONVENTION IMPOSES NO LIMITS ON	3103
[A] [B]	CHOICE OF LAW GOVERNING AWARDS OF INTEREST	3104					ANNULLING AWARDS S IMPOSED BY NEW YORK CONVENTION ON GROUNDS TO ANNUL	3165
[C]	AWARDS OF INTEREST BY INTERNATIONAL ARBITRAL TRIBUNALS ENFORCEMENT OF AWARDS OF INTEREST IN NATIONAL COURTS	3108		[B]	AWAR		S IMPOSED BY NEW YORK CONVENTION ON GROUNDS TO ANNUL	3168
[D]	AWARDS OF INTEREST IN CONNECTION WITH INTERNATIONAL ARBITRATIONS	3109		[C]	OTHE	R INTER	NATIONAL ARBITRATION CONVENTIONS	3173
	BY NATIONAL COURTS	3110		§25.03			E OBLIGATION TO RECOGNIZE INTERNATIONAL WARDS UNDER NATIONAL ARBITRATION LEGISLATION	3173
CHAPT	ER 24			[A]			VALIDITY OF ARBITRAL AWARDS UNDER UNCITRAL MODEL LAW	3174 3175
CORRE	ECTION, INTERPRETATION AND SUPPLEMENTATION OF				[1] [2]		nition in Summary Proceedings Under Article 35 2 34 Provides Exclusive Grounds of Annulment	3175
INTER	NATIONAL ARBITRAL AWARDS	3113	1		[3]	Article	e 34's Grounds for Annulment Are Discretionary	3177
§24.01	INTRODUCTION	3113			[4]		Seeking Annulment Under Article 34 Generally Bears Burden of	3177
§24.02	FUNCTUS OFFICIO DOCTRINE	3115			[5]	Proof Article	234's Grounds for Annulment Narrowly-Construed	3178
[A]	INTERNATIONAL ARBITRATION CONVENTIONS	3116				Releva	nce of New York Convention Authority Under Article 34	3179
[B]	NATIONAL ARBITRATION LEGISLATION [1] UNCITRAL Model Law	3116		55502	[7]		Annulment of Award Under Article 34	3180
	[2] U.S. Federal Arbitration Act	3117 3118		[B]		RATION	VALIDITY OF ARBITRAL AWARDS UNDER U.S. FEDERAL ACT	3181
	[3] Swiss Law on Private International Law	3121		ISI)			VALIDITY OF ARBITRAL AWARDS UNDER OTHER NATIONAL	
	[4] Future Directions: Functus Officio Doctrine	3122		00,	ARBIT	RATION	LEGISLATION	3183
§24.03	CORRECTION OF INTERNATIONAL ARBITRAL AWARDS	3124		§25.04			OR ANNULLING ARBITRAL AWARDS UNDER NATIONAL	
[A] [B]	CORRECTION OF AWARDS UNDER INTERNATIONAL ARBITRATION CONVENTIONS CORRECTION OF AWARDS UNDER NATIONAL ARBITRATION LEGISLATION	3125	10 ^y				N LEGISLATION	3186
[D]	[1] UNCITRAL Model Law	3125 3126		[A]	NONE [1]		OR INVALID ARBITRATION AGREEMENT ral Principles	3188 3188
	[2] English Arbitration Act	3129			[2]		n and Standard of Proof	3190
	[3] Swiss Law on Private International Law	3130			[3]		ability Presumption	3191
	[4] Other National Arbitration Legislation	3130			[4]		l Validity	3198
	[5] U.S. Federal Arbitration Act	3131			[5]		e of Law Governing Arbitration Agreement	3199
	[6] Future Directions: Corrections of International Arbitral Awards Under National Law	0105					Law Governing Substantive Validity of Arbitration Agreement	3199
[C]	CORRECTION OF AWARDS UNDER INSTITUTIONAL RULES	3135 3136					Law Governing Capacity Law Governing Formal Validity	3204 3205
[D]	ARBITRAL TRIBUNAL'S CORRECTIONS	3139					Substantive Rules of International Law Under New York	3203
§24.04	INTERPRETATION OF INTERNATIONAL ARBITRAL AWARDS						Convention	3205
[A]	INTERPRETATION OF AWARDS UNDER INTERNATIONAL ARBITRATION	3141			[6]		sive Effect of Prior Jurisdictional Ruling by Arbitral Tribunal	3206
	Conventions	3142					Positive Jurisdictional Award	3207
[B]	INTERPRETATION OF AWARDS UNDER NATIONAL ARBITRATION LEGISLATION	3142					Negative Jurisdictional Ruling [i] Availability of Judicial Review of Negative Jurisdictional	3211
[C]	INTERPRETATION OF AWARDS UNDER INSTITUTIONAL RULES	3147					Ruling	3211
§24.05 [A]	SUPPLEMENTATION OF INTERNATIONAL ARBITRAL AWARDS SUPPLEMENTATION OF ARBITRAL AWARDS UNDER NATIONAL ARBITRATION	3149					[ii] Standard of Judicial Review of Negative Jurisdictional Ruling	3212
	LEGISLATION	3149				[c] A	Agreements to Resolve Jurisdictional Disputes Finally by	
[B]	SUPPLEMENTATION OF ARBITRAL AWARDS UNDER INSTITUTIONAL RULES	3151					Arbitration	3213
§24.06	REMISSION OF INTERNATIONAL ARBITRAL AWARD TO ARBITRAL TRIBUNAL	3152					[i] First Options: Validity of Agreement to Resolve Jurisdictional Disputes by Arbitration	3213
894 07		3132				19	[ii] First Options: "Clear and Unmistakable" Evidence of Agreement to Arbitrate Jurisdictional Disputes	3214
§24.07	REVOCATION OR REVISION OF FRAUDULENTLY-OBTAINED ARBITRAL AWARDS	3154				11	[iii] First Options: Challenges to Existence of Arbitration	
§24.08	INSTITUTIONAL APPEALS FROM INTERNATIONAL ARBITRAL AWARDS	3160					Agreement [iv] First Options: Challenges to Existence of Underlying	3215
		ATTOTOTOTO				81	Contract	3216
						(9	[v] UNCITRAL Model Law: Validity of Agreement to	9917
							Resolve Jurisdictional Disputes by Arbitration	3217

Burden of Proof

	[i	Recognition of Annulled Awards Under International					[h] Waiver Under Article V(2)(a)	3703
		Arbitration Conventions	3623				[i] "Subject Matter of the Difference"	3704
	[i	Recognition of Annulled Awards Under National Law	3625				[j] Discretionary Recognition Under Article V(2)(a)	3704
		(1) Hilmarton and Other French Decisions	3625			[11]	Fraud	3704
		(2) Belgian, Austrian, Dutch and Other European				[12]	No Judicial Review of Merits of Foreign or Non-Domestic Awards in	
		Decisions	3628				Recognition Actions	370
		(3) Chromalloy and Other U.S. Decisions	3629				[a] No Judicial Review of Awards Under New York and Inter-	
	[i.	i] Judicial Decisions Refusing to Recognize Annulled					American Conventions	3707
		Awards	3635				[b] Limited Judicial Review of Awards Not Subject to New York or	
	[i	[Commentary on Recognition of Annulled Awards	3636				Inter-American Conventions	3712
	[b] Fu	ture Directions: Recognition of Awards Annulled in Arbitral				[13]	No Non-Recognition for Formal Defects in Award	3712
	Se		3638			[14]		3713
[9]	Awards	Contrary to Public Policy: Article V(2)(b)	3646			[15]	No Correction, Interpretation, or Supplementation of Foreign or Non-	
	[a] Pu	blic Policy Exception in International Arbitration Conventions	3647			[10]	Domestic Awards in Recognition Proceedings	3715
	[b] Pu	blic Policy Under National Arbitration Legislation	3649	1		[16]	No Non-Recognition Based on Counterclaims	3716
		rden and Standard of Proof Under Article V(2)(b)	3651	1		[17]	Non-Recognition Decisions in Violation of New York Convention	3716
		oice of Law Governing Public Policy Under Article V(2)(b)	3652			[11]	from Accognition Decisions in violation of New York Convention	3/10
	[i		3653	8	\$26.06	SUSP.	ENSION OF RECOGNITION PROCEEDINGS PENDING	
	[ii		3655			RESO	LUTION OF APPLICATION TO ANNUL AWARD	3719
	[in		5005	1	[A]	ARTIC	CLE VI OF NEW YORK CONVENTION	3719
		Application Under Article V(2) (b)	3658		[B]	JUDIC	IAL DISCRETION TO SUSPEND RECOGNITION PROCEEDINGS PENDING	
	[e] In	ernational Limits on National Public Policies	3662					3719
		reign Public Policies Under Article V(2) (b)	3666	1	[C]	EACTO		3722
		blic Policy Exception Not Applicable Under Article V(2)(b)	3667					3725
		cause Incorrect Substantive Decision or Result	3007		1			
		n-Recognition on Grounds of Substantive Public Policy	9670	8	326.07	TIME	LIMITATIONS FOR SEEKING RECOGNITION OF AWARDS	3726
	[i]		3672	1				
	[ii		3672	5				
			3673		CHAPTI	ER 27		
	[ii		0.000	O' I	PRECLU	JSION,	LIS PENDENS AND STARE DECISIS IN INTERNATIONAL	
	r:.	and Similar Regulations	3674	A A	ARBITR	ATION	Ţ	3732
	[iv		3676		10 705	nnro	I LIGHTE EFFECT OF DETERMINATIONAL ADDRESS A AVIANDO DA	
	[v]	4. /	3677	8	\$27.01		LUSIVE EFFECT OF INTERNATIONAL ARBITRAL AWARDS IN	amai
	[vi		3678					3732
	[vi		3679		[A]			3733
	[vi		3679			[1]	Common Law Jurisdictions	3734
	[ix	and the state of t	3680			[2]		3737
	[X	,	3680		[B]			3739
	[X		3681			[1]	Preclusive Effects of International Arbitral Awards Under	
	[X		3681				International Arbitration Conventions: Article III of New York	
	[X		3682					3742
	[XI	1 1	3682			[2]	Preclusive Effects of International Arbitral Awards Under UNCITRAL	
	[X	해가는 사용하다 전 전기를 보면 하는 사람이 가지 아이를 다 하다면 보다.	3682					3746
	[i] No	n-Recognition on Grounds of Procedural Public Policy	3683			[3]	Preclusive Effects of International Arbitral Awards in United States	3747
	[j] Arl	pitral Awards Addressing Mandatory Law and Public Policy					[a] General Principles of Preclusion Applicable to Arbitral Awards	
	Cla	ims	3688				Under Federal Arbitration Act	3747
	[k] Foo	us of Public Policy Exception Under Article V(2) (b): Relief					[b] Claim Preclusion (or Res Judicata)	3750
		arded or Underlying Dispute?	3690				[c] Issue Preclusion (or Collateral Estoppel)	3755
	[1] Wa	iver of Public Policy Objections Under Article V(2) (b)	3692				[d] Choice of Law Governing Preclusive Effects of Arbitral Award	3759
		nes of Preclusion Under Article V(2)(b)	3693				[e] Allocation of Competence to Determine Preclusive Effects of	
		cretionary Recognition Under Article V(2)(b)	3694				A CANADA	3761
[10]		rability: Article V(2)(a)	3695			[4]	Preclusive Effects of International Arbitral Awards in England and	
		icle V(2)(a) and Article II(1): Identical Standard	3696					3762
	[b] Bu	den and Standard of Proof Under Article V(2) (a)	3697			[5]	Preclusive Effects of International Arbitral Awards in Civil Law	2702
		ernational Versus Domestic Nonarbitrability Under Article	3037			1.03		3764
		(a)	2607			[6]		3767
		ar Statement of Legislative Intent Required	3697			[7]		3772
	[e] Ch	nice of Law Under Article V/9) (c)	3698			[8]		
		pice of Law Under Article V(2) (a)	3699				3	3772
		ernational Limits on Nonarbitrability Under Article V(2)(a)	3702			[9]	Default Awards	3773
	[g] Issu	es of Preclusion Under Article V(2)(a)	3702					

§27.02	PRECLUS	IVE EFFECT OF NATIONAL COURT JUDGMENTS AND L AWARDS IN INTERNATIONAL ARBITRATION	377
[A]	GENERAL A	APPLICABILITY OF PRECLUSION RULES IN ARBITRATION	377
11	[1] OL	oligation of Arbitral Tribunals to Apply Preclusion Principles	3774
	[1] Ob	noice of Law Concerning Preclusion Principles in Arbitral	3/11
			0.000
		oceedings	377
		eclusion Principles Applied by Arbitral Tribunals	3776
[B]	PRECLUSIV	E EFFECTS OF JURISDICTIONAL DECISIONS BY NATIONAL COURTS	3778
	[1] All	ocation of Competence Between Arbitral Tribunals and National	
	Co	urts to Decide Jurisdictional Issues	3778
	[2] Arg	guable Preclusive Effect of Jurisdictional Decisions by National	
		urts	3779
	[3] Lac	ck of Preclusive Effect of Jurisdictional Determination of National	
		urts	3781
	[a]	Jurisdictional Decisions Concerning Scope, Termination, or	
		Waiver of Arbitration Agreement	3781
	[b]		0.701
		Arbitration Agreement	3782
[C]	PRECLUSIVI	E EFFECTS OF JUDICIAL DECISIONS REGARDING PROVISIONAL	3102
	MEASURES	Jestokal Szeniono Redarbino i kovisional	anno
[D]		E EFFECTS OF RECOGNITION DECISIONS	3788
[D]	TRECECSIVI	ETTECTS OF RECOGNITION DECISIONS	3790
§27.03	LIS PENDI	ENS AND INTERNATIONAL ARBITRATION	3791
[A]	GENERAL IN	NAPPLICABILITY OF <i>LIS PENDENS</i> IN INTERNATIONAL ARBITRATION	3793
[B]	LIS PENDEN	S IN RELATION TO JURISDICTIONAL ISSUES IN INTERNATIONAL	3133
	ARBITRATIO		9705
		ernational Arbitration Conventions	3795
		ional Arbitration Legislation	3796
	[a]	Priority for Arbitrators' Jurisdictional Decisions	3796
	[b]	Priority for Notice 1 C	3797
		Januaredonar Determinations	3797
	[c]	Case-by-Case Lis Pendens Decisions	3798
	[d]	Swiss Law on Private International Law	3799
503	[3] Futi	ure Directions: Lis Pendens in Relation to Jurisdictional Issues	3861
[C]		S IN RELATION TO PROVISIONAL MEASURES IN INTERNATIONAL	1
-0.79	ARBITRATIO		3805
[D]	LIS PENDEN	S IN RELATION TO PARALLEL ARBITRAL PROCEEDINGS	3806
[E]	CHOICE OF	LAW APPLICABLE TO LIS PENDENS ISSUES IN INTERNATIONAL	
	ARBITRATIO		3809
§27.04	DOLE OF D	DECEDENT IN INTERNAL TWO NAME OF THE PARTY O	
	ROLE OF P	RECEDENT IN INTERNATIONAL ARBITRATION	3809
[A]	KOLE OF JUI	DICIAL PRECEDENT IN NATIONAL LEGAL SYSTEMS	3810
	[1] Role	e of Precedent in Common Law Systems	3811
Fm 1	[2] Role	e of Precedent in Civil Law Systems	3815
[B]		ECEDENT IN INTERNATIONAL LAW	3817
[C]		ECEDENT IN INTERNATIONAL ARBITRATION	3821
[D]	ROLE OF AR	BITRAL PRECEDENT IN INTERNATIONAL ARBITRATION	3823
Comme			
Articles	itaries		3828
			3843
Internat	ional Agreen	nents	3936
	nts of the Ur	nited Nations	3941
Statutes			3947
Legislati	ve Materials		3957
	odes and Gu	idelines	3960
Miscella			3964
	Arbitral Awa	ards	3972
Index of			3998
Subject 1	ndex		4100

INTRODUCTION

GARY B. BORN

This treatise aspires to provide a comprehensive description and analysis of the contemporary constitutional structure, law, practice and policy of international commercial arbitration. It also endeavors to identify prescriptive solutions for the conceptual and practical challenges that confront the international arbitral process. In so doing, the treatise focuses on the law and practice of international commercial arbitration in the world's leading arbitral centers and on the constitutional principles and legal frameworks established by the world's leading international arbitration conventions, legislation and institutional rules.

International arbitration warrants attention, if for nothing else, because of its historic, contemporary and future practical importance, particularly in business affairs. For centuries, arbitration has been a preferred means for resolving transnational commercial disputes, as well as other important categories of international disputes. The preference which businesses have demonstrated for arbitration, as a means for resolving their international disputes, has become even more pronounced in the past several decades, as international trade and investment have burgeoned. As international commerce has expanded and become more complex, so too has its primary dispute resolution mechanism – international arbitration. The practical importance of international commercial arbitration is one reason that the subject warrants study by companies, lawyers, arbitrators, judges and legislators.

At a more fundamental level, international commercial arbitration merits study because it illustrates the complexities and uncertainties of contemporary international society – legal, commercial and cultural – while providing a highly sophisticated and effective means of dealing with those complexities. Beyond its immediate practical importance, international arbitration is worthy of attention because it operates within a framework of international legal rules and institutions which – with remarkable and enduring success – provide a fair, neutral, expert and efficient means of resolving difficult and contentious transnational problems. That framework enables private and public actors from diverse jurisdictions to cooperatively resolve deep-seated and complex international disputes in a neutral, durable and satisfactory manner. At their best, the analyses and mechanisms which have been developed in the context of international commercial arbitration offer models, insights and promise for other aspects of international affairs.

The legal rules and institutions relevant to international commercial arbitration have evolved over time, in multiple and diverse countries and settings. As a rule, where totalitarian regimes or tyrants have held sway, arbitration – like other expressions of private autonomy and association – has been repressed or prohibited; where societies are free, both politically and economically, arbitration has flourished.

The history of international arbitration is summarized below. See §1.01.

The popularity of international commercial arbitration as a means of dispute resolution is discussed below. See §1.03.