

INDEX

```
Abbreviations used in the index
  ADF (ADF Group v. US)
  CA (Czech–Slovak Consolidation Agreement (1993))
  CAA (Comité de la Agroindustria Azucarera)
  CDC (CDC Group v. Seychelles)
  CRa (Ceské Radiokomunicace)
  CSOB (Ceskoslovenska Obchodni Banka)
  ECT (Energy Charter Treaty (1994))
  FIL (Foreign Investment Law) (Kyrgyz Republic)
  FTAA (Free Trade Area of the Americas)
  ILC (International Law Commission)
  JCACA (Junta de Conciliación y Arbitraje de Controversias Azucareras)
  KGM (Kyrgyzgazmunaizat Joint Stock Company)
  LA (Czech-Slovak Loan Agreement (1993))
  LSF (Arbitration Act) (Sweden)
  MINE (Maritime International Nominees Establishment v. Guinea)
  SCC Institute (Stockholm Chamber of Commerce Arbitration Institute)
  SGS (Société Générale de Surveillance)
  SI (Slovenská inkasná)
  Tecmed (Técnicas Medioambientales Tecmed SA v. Mexico)
  UPS (United Parcel Service of America v. Canada)
  VCLT (Vienna Convention on the Law of Treaties)
```

Note: This index focuses on legal issues and on the arbitral and judicial decisions under consideration. The summaries, parties' arguments, facts and ancillary documents are indexed only to the extent they are essential to an understanding of the legal issues. It has been designed in such a way as to be amenable to developing ICSID case law, so far as appropriate adopting the terminology of the index to C. H. Schreuer: *The ICSID Convention: A Commentary* (Cambridge University Press, 2001).

ad hoc Committee

```
costs: see costs (ICSID arbitral tribunal: ICSID 61(2)), ad hoc Committee President, appointment 501 second annulment 516 n. 63 task/powers

annulment on grounds set out in Article 52, limitation to 515–16 provision of reasoning 515 stay of execution, grant or extension 497

annulment of arbitral award appeal distinguished 508, 515–16 applicable law procedure

agreement of parties 502

ICSID Arbitration Rules 502
```



```
Cambridge University Press
978-0-521-89987-1 - ICSID Reports, Volume 13
Edited by Karen Lee
Index
More information
```

```
ICSID Convention 502
  time-limits 501
annulment of arbitral award, grounds
  assumption of improper ex aequo et bono jurisdiction 512-13, 514, 523
  excess of power
    CDC 513
    error of law distinguished 513-14
       MINE 513
       'manifest' 513-14, 518, 521
       total failure to apply law 512–13
  failure to apply applicable law 518-23
  failure to state reasons 523-32
    contradictory reasons 514-15
    correctness of reasons, relevance 514-15
    failure to give reasons distinguished 517
    serious departure from fundamental rules of procedure distinguished 517
    standard of reasoning 527
    statement of the obvious 515
     Vivendi 514-15, 523
  relationship between 516-17
  serious departure from fundamental rules of procedure
    as challenge to procedure 514
    failure to treat parties equally 514
     'serious' 514
     Wena Hotels 514
annulment of arbitral award, resubmission
  Amco 516
  Klöckner 516
  undesirability of practice 516
applicable law
  choice of law clause/as agreed by parties 195-6
    applicability of rules providing for more favourable treatment of investment 49-50
  domestic law of Contracting State 195-8, 521-3
    contract, interpretation 522-3
    private law 197-8
    public law 196-7
  international law, role 156
    in case of treaty-based jurisdiction 518-19
  standard of treatment of alien and 23-7
applicable law (NAFTA arbitral tribunal) (NAFTA 1131), UNCITRAL Arbitration Rules
         144 n. 2, 147
arbitral award, procedure and form
  'award', designation as
    determination on substance or procedure as 100
     failure to designate as decision, relevance 100-1
arbitral award, review: see review of arbitral award by domestic courts
arbitral tribunal (UNCITRAL)
  seat 144 n. 2, 148
    hearings distinguished 148
arbitrary and discriminatory treatment 22-3
```



```
Cambridge University Press
978-0-521-89987-1 - ICSID Reports, Volume 13
Edited by Karen Lee
Index
More information
```

536 INDEX arbitration, applicable law **BIT 66** law or rules of law considered by tribunal to be most appropriate 77 procedure, law of place of arbitration 358-60, 362-3 arbitration clause/agreement applicability challenge to, timeliness 449-50, 452 treaty or contract containing provision, limitation to 11-12, 23 ICSID jurisdiction, consent to 108 reference to another arbitration clause/agreement (including MFN provision) as 311 - 21FTAA and 315-16 NAFTA 1103 and 315 UNCITRAL Model Law and 315 separability 298 validity, challenge to, timeliness 449-50, 452 Arbitration Institute of the Stockholm Chamber of Commerce: see Stockholm Chamber of Commerce Arbitration Institute arbitrator appointment by Chairman of the Administrative Council 125 by party 148 by SCC Institute 10-11, 42 by Secretary General of ICSID 125 time-limit 10-11 resignation 184 reconstitution of tribunal following 184 Argentina-Chile BIT (1991), applicability to another party by way of MFN clause ASEAN Framework Agreement on Services (1995) by article, Art. VI (denial of benefits) bank guarantee as an 'investment' 131-6 expropriation and 139 BITs (bilateral investment treaties) as applicable law 195-6 'fair and equitable' as standard of treatment 22-5 object and purpose, promotion of investment 313-14 variations between 312-13 withdrawal from 108-9, 118 Bulgaria misrepresentation 321 Privatization Act, s 5(1) (misrepresentation) 321 Bulgaria-Cyprus BIT (1987) arbitration provisions (Art. 4.4.1) expropriation disputes, limitation to 312 incorporation of provisions from other Bulgarian BITs 273-4 MFN treatment (Art. 3) as basis of ICSID jurisdiction 312-21, 323 'treatment', applicability to dispute settlement 312-21



INDEX 537

```
object and purpose, promotion of investment 313-14
  revision (1998 negotiations) 314
  text (extracts) 278-9
  travaux préparatoires, absence 314
Bulgaria-Cyprus BIT (1987) by article
  Art. 3 (MFN treatment) 312-21, 323
     text 312
     'treatment' 312-21
  Art. 4.4.1 (arbitration clause) 12
burden of proof
  applicable law 237
  damages 237
  expropriation/nationalization 11, 13, 24, 27
  investment 66
  jurisdiction
     burden of proof on merits distinguished 295
     Mavrommatis 294–5
    Methanex 295
     Oil Platforms 294
     Salini 295
  ownership and control 307
changed circumstances, contract 37, 48, 49, 59, 60-1, 89
Chile
  Decree Law 1263 of 1973, s 28 (fulfilment of final judgments) 498–9
  Decree Law 3346 of 1980, s 2(m) (fulfilment of final judgments) 499
  Decree Law 1304 (ICSID Convention) 499
  foreign investment, approval contrary to government policy, effect 508, 511
  Foreign Investment Commission (FIC)
     effectiveness of coordination function 510
     procedural requirements 510
     role and obligations 509-10
  ICSID Convention, compliance 498-9
Chile-Croatia BIT (1993) by article
  Art. 3(2) (grant of permit in accordance with law and regulations) 506
  Art. 3(3) (unreasonable or discriminatory measures) 506
  Art. 4(1) (fair and equitable treatment) 507
Chile-Denmark BIT (1993) by article, Art. 3(1) (MFN/fair and equitable treatment) 506,
         507, 518–19
Chile-Malaysia BIT (1992), fair and equitable treatment, relationship between Arts. 2(2)
         and 3(1) 507, 523-4
Chile-Malaysia BIT (1992) by article
  Art. 2(2) (fair and equitable treatment) 506, 507
  Art. 3(1) (MFN treatment: fair and equitable treatment) 507, 519-20
  Art. 4 (expropriation) 506
compensation (expropriation/nationalization): see also damages for; damages, measure/
         valuation of company
compétence de la compétence: see also jurisdiction (ICSID), competence/duty of tribunal to
         determine; jurisdiction (UNCITRAL), competence/duty of tribunal to determine
```

domestic courts 358-9, 375-6



```
consent to ICSID jurisdiction
  BIT, withdrawal from, exclusion 108-9, 118
  ECT (1994), accession to 299-300
  legislation as 108
  requirements
    clear and unequivocal consent 315
     writing: see written, need for below
  unilateral 142-3
  written, need for
    consent by authorized person 298-9
     submission of dispute to ICSID as 298-9
consent to UNCITRAL arbitration, BIT provision 7-8
contract, applicable law, interpretation 522-3
contract, characteristics
  investment contract distinguished 134-5
  as property right 50, 66-7
contract, formation/requirements
  agreement 363
  writing 355-6, 362-3
contract, interpretation
  aids
    negotiations 200-1, 217-18, 220-1
     subsequent conduct of parties 200-1, 221-3, 246
  guidelines
     parties' intention 48, 200-4, 208-9
       consistency with text, need for 201-4
    text, primacy 201-4, 209
  subsequent clarification by parties distinguished 203-4
  treaty interpretation distinguished 85
contract, termination, grounds, failure to comply with material obligation
contract, validity/voidability
  clear and sufficient description of parties' obligations, need for 61–2, 87–90, 200–1, 205–
         6, 208-15, 218-20, 221, 241-2
     interpretation and 203-4
     subsequent agreement identifying parties' obligations 205-6
     subsequent clarification, possibility of 203-4
  estoppel/knowledge and acceptance of terms 210-12, 215-16, 217-18, 220-3
Contracts for the International Sale of Goods, UN Convention on (1980) 134-5
corporation, IBM Ecuador and IBM World Trade Corporation, as distinct legal entities
          109-11
costs (domestic courts)
  in absence of jurisdiction, payment by requesting party 366-7
  interest on 98
  necessary costs 377
  parties to bear own 478
  review of arbitral award 101, 369
  right of appeal against allocation 368, 374-5
     time-limits 368, 375
costs (ICSID arbitral tribunal: ICSID 61(2))
```



INDEX 539

```
ad hoc Committee
    CDC 533
    Centre costs (ICSID arbitral tribunal: ICSID 61(2)) 533
    equal division 532-3
  discretion of tribunal, postponement of decision 322, 334
  parties'
    employee costs related to proceedings 266
    unsuccessful party to pay, partial in case of unsuccessful defence 267
  relevant factors, failure to cooperate with other party 322
costs (SCC Institute) (Rules 43/44) 93-4
  disparity between claims 94
  reasonable legal costs 93-4
  unsuccessful party to pay 93
costs (UNCITRAL arbitral tribunal: Rule 38)
  discretion of tribunal
    not to order fees and expenses beyond amount of security deposit 28
    request of parties, need for 366
  parties to bear own 177
  reasonableness 367
    of legal fees 28, 367
  relevant factors
    conduct of parties 177
    unnecessary extra hearing 177
  unsuccessful party to pay 28, 366, 367
critical date, proper party 22
CSOB (Ceskoslovenska Obchodni Banka)
  as party to CA 194, 223-4
  privatization process 185–7
    State succession and 186
  shareholders post break-up of Czech and Slovak Republic 186 n. 4
CSOB-Czech Republic Assignment Agreements
  Agreement on the Assignment of Certain Receivables of a Loan Portfolio (31 December
         1993) 187, 207, 208
  First (24 April 1998) 224
  Future Assignment Agreement (FAA) (31 December 1993) 187-8, 208, 230
  Second (25 June 1998) 224-5
  Second (25 June 1998) (31 October 2001 amendments) 225
CSOB-Slovak Republic Agreement on a Repayment Schedule Mechanism for
         Off-Balance Instruments (1 March 1996) 208
CSOB-Slovak Republic Agreements, Technopol OBS Loan Agreement and
         amendments
  signature on loans requirement 233-6
  Slovak Republic's CA cover losses obligation and 234–5
CSOB-Slovak Republic Loan Agreement on the Refinancing of Assigned Receivables
         (31 December 1993) (LA) 204-5, 207, 208
  applicable law, Slovak domestic law 233, 241
  conclusion 188
  contractual penalty (LA 8) 255-7
    as penalty clause 255–6
```

Slovak law and 255



540 INDEX

CSOB-Slovak Republic Loan Agreement (cont.)

interest, capitalization (compound) (LA 5) 248-51, 263

as common business practice 250, 263

interest on interest 250-1

parties' agreement 248-50

interest rates (LA 4)

clear and sufficient identification of obligations, whether 241-2

dates (LA 4(I)) 241-2

interbank/BRIBOR rates (LA 4(II)(a) and (b)) 241-2, 262-3

notification of rates by CSOB 245-6

refinancing cost as basis 243-5

Slovak law and 246

termination in case of default on cover losses obligations 251

text 241

CSOB-Slovak Republic Operation Agreement (Agreement on securing activities of SI)

188, 205

binding on Slovak Republic, whether 215-16

CSOB operating losses and 215-16

management fees, chargeability 216

Czech [and Slovak] Federal Republic-UK BIT (1992)

applicable law, application of rules providing for more favourable treatment of investment (Art. 11) 49–50

interpretation, applicable law 85

'investment'

applicable law 89

contractual right having a financial value 50, 66-7

State succession and 79

text (extracts) 39-41

Czech [and Slovak] Federal Republic-UK BIT (1992) by article

Art. 1(a)(iii) ('investment': contract having a financial value) 50, 66–7, 86–7, 91–2

Art. 2(3) (conclusion of specific agreements) 80, 85-7

Art. 5(1) (expropriation: requirements) 85–7

Art. 8(1) (arbitration clause)

limitation of applicability to certain articles 80

Stockholm Chamber of Commerce Arbitration Institute and 30 n. 2

text 97

Art. 8(3) (arbitration clause: applicable law) 66

Art. 11 (application of rules providing for more favourable treatment of investment) 49–50

Czech Republic

burden of proof, damages 237

Civil Code

s 35(2) (interpretation of contracts: parties' intention) 201-4, 209

Commercial Code, s 266 and 201-2

s 37(1) (validity of legal act: 'definite and intelligible' requirement) 200-1, 202, 205-6

s 41 (separability of contract provisions) 48

s 398 (claims for damages: time-limits) 76-7, 92-3

Civil and Commercial Codes, relationship between 201–4

Commercial Code

s 1(2) (scope of Code: resolution of issues not resolvable under provisions of Code) 201–4, 205



```
s 266 (interpretation of contracts: parties' intention) 48
    s 266 (interpretation of contracts: parties' intention: negotiations, subsequent practice
         and conduct of parties) 200-1, 208-9, 217-18, 220-3
    s 269(1) (nominate contract) 205
    s 269(2) (contract: validity: requirements) 61–2, 87, 200–1, 205–6, 218–20
    s 269(3) (contract: identification of obligation in subsequent agreement) 205-6
    s 356 (change of circumstances) 89
    s 365 (delay in fulfilment of obligations) 238
    s 367 (delay in fulfilment of obligations) 238
    s 373 (breach of contract: damages for) 236–8
    s 379 (measure of damages) 236
    s 380 (damages for costs incurred) 236
  contract, interpretation
       negotiations 200-1, 217-18, 220-1
       subsequent conduct of parties 200-1, 221-3
    parties' intention 48, 200-4, 208-9
       consistency with text, need for 201-4
    subsequent clarification by parties distinguished 203-4
    text, primacy 201-4, 209
  contract, validity/voidability
    clear and sufficient description of parties' obligations, need for 61-2, 87-90, 200-1,
         205-6, 208-15, 218-20, 221
       interpretation and 203-4
       subsequent agreement identifying parties' obligations 205–6
       subsequent clarification, possibility of 203-4
  damages for
    breach of contract 236-66
    costs incurred 236
  damages, measure/valuation of company
    actual damage 236
    full compensation 236-8
    lost profit 236
  separability, exclusivity clause 48
  State, as corporation 72–3
  State agency/organ
    right/power to bind government 63-4, 90-1
    as separate entity 63-4, 90-1
  State Enterprise Law 111/1990 63-4
  State responsibility, acts and omissions of, State agency/organ 63-6, 90-1
  time-limits, submission of claim for damages 76-7, 92-3
Czech Republic, cellular telephone network (GMS)
  absence of records of position taken by government 84-5
  Ceské Radiokomunikace (CRa), as successor to Sprava Radiokomunikaci Praha (SRa) 35
  Czech Ministry of the Economy-TMobil BV-CRa Agreement (1996) 37
  Fundamental Principles of State Telecommunications Policy (Resolution 428 of 10 August
          1994) and 36, 49, 60–1, 79, 91–2
  Millicom-Sprava Radiokomunikaci Praha (SRa) Cooperation Agreement
    applicable law 61-3
    exclusivity clause, separability 48
```



```
Cambridge University Press
978-0-521-89987-1 - ICSID Reports, Volume 13
Edited by Karen Lee
Index
More information
```

```
Czech Republic, cellular telephone network (GMS) (cont.)
    licence rights distinguished 91-2
    object and purpose 63
    termination
       as breach of contract 92
       changed circumstances and 37, 48, 49, 59, 60-1, 89
    text 34-5
    validity/binding nature 47-8, 61-6, 87-92
  Nagel-CRa Settlement Agreement (1999)
    Czech Government, applicability to claims against under BIT 80–3
    Czech Government as
       affiliate 73-4, 82
       parent corporation 82
    dispute settlement clause 39
    stockholder 82
    text 38-9
  privatization policy and 35-6
  RadioMobil, formation 47
  SRa as State enterprise, act or instrumentality of State, whether 63-4
Czech-Slovak BIT (1992)
  arbitration clause (Art. 8), incorporation in CA 195-6
  protection and security of investment (Art. 2(2)) 196
    compensation for covered loss, failure to pay and 219-20
Czech-Slovak BIT (1992) by article
  Art. 2(2) (protection and security of investment) 196, 219–20
  Art. 8 (arbitration clause) 195–6
Czech-Slovak Consolidation Agreement (CA) (1993): see also CSOB (Ceskoslovenska
         Obchodni Banka); CSOB-Slovak Republic Agreements
  applicable law (CA 7) 191-8
    Czech law (CA 7(4)) 195-6, 205-6, 208-9
       private law 197-8
       public law 196-7
    damages for breach 236-7
    international law, relevance 194-6
  assigned non-performing receivables (CA 3(II))/losses: see also cover losses provision
         (CA 3(II)(5)); 'losses' below
    loss-making nature (CA 3(II)(4)) 198–9, 206, 209
    off-balance sheet receivables 207, 230-6
       deficiencies in CSOB internal guarantee procedures, relevance 230-3
       failure to challenge assignment decisions, effect 230-3
       receivables assigned after CA deadline ('late transfers') 235-6
       selection of assignable receivables 230
    on-balance sheet receivables 207
       devaluation loans 226-8
       origin and nature, relevance 226
       Polnopo/Mykoprogres guarantee payment and 228–9
       receivables assigned after CA deadline ('late transfers') 229-30
       Slovak Republic's obligation to pay 226–30
    payment of 'consideration' and interest thereon (CA 3(II)(3)) 199, 207, 235
       contractual penalty (LA 8) and 255-7
```



```
losses from loan for purposes of, exclusion 207-9, 256-7
     payment by instalments, exclusion 207-8
  proof of 'non-performance', relevance 228
  schedule of payments related losses 206-9
  selection and allocation, validity of arrangements for 210-15
  time-limit for identification of receivables (CA 3(II)(2)) 229-30, 235-6
capital adequacy ratio (CA 3(I))
  over-assignment, liability for 214-15
  precise and certain requirement, whether 212-15
Collection Companies (CA 3(II)) 187
  negative balance/shortage of funds as 'losses' 209-10
  operating cost losses (CA 3(II)(4)) 215-16
     payments of interest, calculation of damages due in case of default 241-57
conclusion 186-7
cover losses provision (CA 3(II)(5)) 216–25
  binding on Slovakia, whether 217-18
  clear and sufficient identification of obligations, whether 218-20
  'compensation', Slovak Republic's obligation 219-20
  CSOB's right to claim against Czech Republic and 196–8, 223–5
     CSOB-Czech Republic Assignment Agreements and 224-5
  Czech Civil Code, applicability 209
  Czech Commercial Code, applicability 205-6, 208-9, 218
  date of liability to pay 238
  default, procedure in case of 237-8, 251
  as innominate agreement 204-6, 209-10, 218
  legal nature 204-6
  loss-covering mechanism requirement 210
  Slovak Republic's obligations 219-23, 233-6
     damages for breach of 236-66
  text 189
  validity 199-200, 210-15, 221
ICSID jurisdiction and 190-1
improvement of CSOB's balance as objective 198-9
legal status
  commercial agreement 205
  CSOB-Yemen Agreement (1979) distinguished 194
  Czechoslovakia-Yemen Economic Cooperation Agreement (1978) distinguished 194,
       196
  'framework agreement', relevance of description as 193-4, 196-7, 205-6
  innominate agreement 204-6, 209-10, 218
  legal obligations under 192-4, 205-6
  private law agreement 197-8
  public law instrument, whether 196-7
  State contract, whether 195
  treaty, whether 194
'losses' 206-16: see also assigned non-performing receivables (CA 3(II))/losses; cover
       losses provision (CA 3(II)(5)) above
  actual losses, limitation to 216
  Collection Companies negative balance/shortage of funds as 209-10
  operating cost losses 215-16
```



> 544 **INDEX** Czech-Slovak Consolidation Agreement (cont.) object and purpose 192 operating cost losses (CA 3(II)(4)) 215-16, 264 parties, CSOB as 194, 223-4 remedies for breach, termination of LA 251 damages for breach of contract 236-66 costs incurred critical dates 506, 511-12, 530-2 financing costs 511-12 interest on loan 241-57 calculation 247-8, 252-5 legal costs 477 operating costs 264 overheads 477 travel and accommodation costs 477 non-payment of delivered goods 475 'other relief' 477 damages, measure/valuation of company actual damage 236 applicable law 236-7 calculation, failure to meet guarantee/loan obligations 239-57 financial position of defendant, relevance 469-74 full compensation 236-8 jurisprudence, Chorzów Factory 467–8, 511–12 lost profit 236, 257-63 'abstract' lost profit 258-9 burden of proof 259-60 calculation, difficulty, relevance 476-7 interest on damages as alternative means of addressing 260-3 market of reference 258-9 real and ascertainable loss, limitation to 259-60 mitigation/offset contributory fault 511, 528-30 tax gains/windfall as result of lower liability base 265-6 damages, procedural issues applicable law, domestic law of Contracting State 237 burden of proof: see burden of proof

exhaustion of alternative methods of recovery 238

legal reasons, need for 528-32

denial of justice, definitions/applicability, fair and equitable treatment, compliance with obligation and 170 n. 24

diplomatic protection

as declining/residual concept 314-15

shareholders with nationality different from that of corporation

ELSI 153

Goetz 153

treaty-based rights distinguished, $Barcelona\ Traction\ 152-3$

domestic courts: see also exhaustion of local administrative or judicial remedies



INDEX 545

decisions, relevance, jurisdiction of international tribunal and 155–6 as option 9 resort to by some shareholders, relevance 154–6

domestic law

tribunal proceedings

evaluation and compliance with distinguished 167-8

relevance in 156, 166-8

due diligence, investor's obligation of 510

Ecuador-US BIT (1993) by article

Art. I (applicability: investment owned or controlled directly or indirectly by nationals of the other party) 110–12

Art. VI(1)(c) (breach of treaty right with respect to investment) 118

Art. VI(2) (amicable resolution through consultation and negotiation) 117

Art. VI(2)(a) (submission of disputes to domestic courts) 117, 118–20

Art. VI(3) (arbitration clause) 117–18

effective remedy, ECT 10(12), executive intervention in judicial proceedings and 466 Egypt–UK BIT (1975) by article

Art. 1(a) ('investment ... every kind of asset'), bank guarantee, whether 131-2

Art. 1(a)(i) ('investment . . . mortgage, lien or pledge'), bank guarantee, whether 132

Art. 1(a)(iii) ('investment . . . contract having a financial value'), bank guarantee, whether 132

Energy Charter Treaty (1994) (ECT)

accession to 296

as consent to ICSID jurisdiction 299-300

amicable settlement, as preliminary to arbitration (ECT 26(1)-(2)) 462-3

applicability, Gibraltar 449-51, 486

certainty of rights, need for 306-7

denial of advantages of Part III (investment promotion and protection), applicability to ECT 26 (dispute settlement): *see* Energy Charter Treaty (1994) (ECT) by article, Part III (investment promotion and protection), Art. 17 (non-application of Part II in case of ownership or control by foreign nationals with no substantial business activities in Area)

denial of Part III advantages in case of ownership or control by foreign nationals with no substantial business activities in Area (ECT 17(1))

ASEAN Framework Agreement on Services (1995) compared 305

dispute settlement (ECT 26), effect on 302-4

exercise of right, need for 304-5

as jurisdictional issue 301-4

NAFTA 1113(2) compared 305

'no substantial business activities' 307-8, 311, 323

notification requirements 305

retrospective effect of denial 305-7, 323

dispute settlement provisions: *see* Energy Charter Treaty (1994) (ECT) by article, Part V (dispute settlement)

effective remedy (ECT 10(12)), executive intervention in judicial proceedings and 466 fair and equitable treatment (ECT 10(1)) 463-6

object and purpose (ECT 2), promotion of long-term cooperation in energy 276 provisional application (ECT 45) 300, 450–1

termination 451, 486



546 INDEX

```
Energy Charter Treaty (1994) (ECT) (cont.)
```

ratification, Bulgaria 276 n. 1

reservations, exclusion (ECT 46) 300

text (extracts) 396-401

Energy Charter Treaty (1994) (ECT) by article

Part I (definitions and purpose)

Art. 1(2) ('contracting party') 296

Art. 1(4) ('energy materials and products') 401, 460

Art. 1(5) ('economic activity in the energy sector') 401, 460, 486

Art. 1(6) ('investment') 296-8, 459-62, 486

'owned or controlled by an investor' 307

Art. 1(6)(b) ('shares, stock or other forms of equity participation') 296

Art. 1(6)(c) (claims to money/claims to performance) 459–62

'associated with an investment' 461-2

'having an economic value' 461-2

Art. 1(6)(f) (any right conferred by law, contract or licence under economic activity in energy sector law) 459–60, 462

Art. 1(7) ('investor') 297

Art. 1(7)(ii) ('investor': company organized in accordance with law of contracting party) 296, 459

Art. 1(10) ('Area') 296

Art. 2 (object and purpose) 276

Part III (investment promotion and protection)

Art. 10(1) (stable, equitable, favourable and transparent conditions) 330, 463–6

Art. 10(12) (effective means under domestic law for assertion of claims) 330, 466

Art. 12(1) (compensation) 331

Art. 13 (expropriation) 330–1

Art. 13(1) (expropriation: compensation), 'measures having equivalent effect' 466–7

Art. 17 (non-application of Part III in case of ownership or control by foreign nationals with no substantial business activities in Area) 276–7, 301–11, 323, 451–2 text 277

Art. 17(2) (non-application of Part III to investment of investor of third State in a restricted relationship with denying State) 306

'owned or controlled' 308-11

'third State' 308

Part IV (miscellaneous provisions), Art. 22(1) (obligation to ensure conduct compatible with Part III) 467

Part V (dispute settlement) 295-304

Art. 26 (settlement of investor–State disputes)

breach of ECT Part III obligations, limitation to 296

procedural nature 302

res judicata considerations 453-4

separability 298

text 277-8

Art. 26(1) (jurisdiction), 'shall be settled amicably' 462

Art. 26(2) (requests for amicable settlement) 462-3

Art. 26(3)(a) (unconditional consent) 300

Art. 26(4)(c) (submission to Stockholm Chamber of Commerce Arbitration Institute) 449



INDEX 547

Art. 26(6) (applicable law: ECT and applicable rules and principles of international law) 453

Art. 27 (inter-State disputes), applicability 296, 303

Part VIII (Final Provisions)

Art. 45(1) (provisional application) 300, 450-1

Art. 45(3)(a) (provisional application: termination) 451, 486

Art. 46 (reservations) 300

Annex EM (energy material and products) 401, 460

Annex IA (Contracting Parties not allowing submission of certain disputes to arbitration) 402

Annex ID (Contracting Parties not allowing resubmission of same dispute to arbitration) 402

Annex NI (non-applicable energy material and products) 401, 460

equality of parties, agreement between two or more States and a private party 196–7

estoppel

conduct in parallel proceedings in domestic courts or other tribunal 455-7

fork-in-the road provision, relevance 456-7

SGS v. Pakistan 456

contract, validity, knowledge and acceptance of terms and 210–12, 215–16, 217–18, 220–3

failure to challenge transactions [in timely fashion] 230-3

as general principle of international law 455-6

as general principle of law 455

requirements, reliance on act/undertaking 50

EU Regulations, 44/2001 of 22 December 2000 (Recognition and Enforcement of Foreign Judgments) 80

evidence

admissibility, determination by tribunal 237

conflicting evidence 508-9

sufficiency

absence of records of position taken by government 84-5

absence of records relating to alleged meeting 508-9

evidence of

contract terms 362-3

ownership 309-11

ex aequo et bono

agreement of parties, need for 192

annulment of arbitral award and 512-13, 514, 523

exhaustion of alternative methods, obligation, damages for breach of contract and 238

exhaustion of local administrative or judicial remedies

BIT provisions

freedom of choice 116-17, 118-20

obligation to seek legislative change and 9

NAFTA 170

expropriation/nationalization: see also NAFTA (1992) by Article, Part V, Chapter 11,

Section A (Investment), 1110 (expropriation and compensation)

burden of proof 11, 13, 24, 27

de facto expropriation, derivative claim and 153-6



```
Cambridge University Press
978-0-521-89987-1 - ICSID Reports, Volume 13
Edited by Karen Lee
Index
More information
```

```
expropriation/nationalization, classification as
  bank guarantee, failure to release 139
  breach of contract, distinguished 83, 92
  creeping expropriation / 'measure tantamount to nationalization or expropriation'
     applicable law, international law and practice 12-13
     ECT 13(1) 466-7
    jurisprudence
       Metalclad 176
       Myers 76, 175
       Pope & Talbot 175, 176
       Santa Elena 174-5, 176
       Starrett Housing 174
     legislation having retroactive effect 466-7
     legislative rights, disregard of 12–13
     partial deprivation 174–7
     transfer of assets of creditor 466-7
  failure to modify law 506
  maladministration 153
  tax measures
     abusive taking, need for 23-5
     cancellation/refusal of VAT refunds 12-13
     change of rates 11-12, 24-7
     confiscatory tax 12-13
expropriation/nationalization, lawfulness, requirements, BIT provisions 11-13
fair and equitable treatment of alien: see also minimum standard of treatment in accor-
         dance with international law
  approval of project contrary to government policy as breach 508, 511
  BIT provisions as measure of 22-5, 507
  ECT 10(1) 463-6
  executive intervention in judicial proceedings and 393, 464-5, 474-5
  jurisprudence, Tecmed 166, 507, 520-1
  legislation introducing restrictive interpretation affecting existing transactions 465–6
  legitimate expectations and, Tecmed 166, 520-1
  maladministration by authorities and 153, 156-72
  Mexico sugar regulatory system and 153, 165-72
  prejudice, need for 165
  standard of review: see standard of treatment of alien, standard of review
  transfer of assets to detriment of creditors 464, 466
Foreign Judgments, Recognition and Enforcement, EU Regulation 44/2001 80
forum selection clause in contract, preclusion of ICSID jurisdiction, whether 140-3
forum selection clause in treaty including BIT/ICSID Convention
  effect on forum selection clause in investment contract 111-15
    jurisprudence
       Vivendi 114-15
       Vivendi Annulment 115, 141
fraudulent misrepresentation, effect on, consent to investment 321
general principles of international law
```

estoppel 455-6



INDEX 549

```
res judicata 452-3
  uncertainty of 366
general principles of law, estoppel 455
Gibraltar, ECT (1994), applicability 449-51, 486
ICSID Convention (1965)
  travaux préparatoires
     Art. 52 515
     Art. 53 515
ICSID Convention (1965) by Article
  21(a) 309
  25 109-12, 118
  25(1) 132-6, 277, 298-301
  26 117
  36(2) 107
  36(3) 124, 143-4, 274, 303, 310, 321-2
  38 105
  41 105-6, 294
  41(2) 322
  42 192, 518
  42(1) 195-6, 512-13, 518-23
  42(3) 513, 514, 518
  47 325, 328
  50(2) 516 n. 63
  51(3) 516 n. 63
  52 508
  52(1) 512
  52(1)(b) 512-14
  52(1)(d) 512, 514, 517
  52(1)(e) 512, 514-15, 523-32
  52(2) 501
  52(5) 493, 496-9, 501
  53 498
ICSID Rules (Arbitration) (1984)
  5(3) 125
  6(1) 125, 183, 275
  10(2) 184
  13(1) 125
  14 105–6
  34(1) 237
  35(2) 309
  39 324, 325-6, 328
  39(1) 331-2
  41 184
  43(1) 143
  50(2) 493
  54 496-9
  54(1) 493, 497, 501
  54(2) 493, 501
```

54(3) 532-3



```
Cambridge University Press
978-0-521-89987-1 - ICSID Reports, Volume 13
Edited by Karen Lee
Index
More information
```

```
ICSID Rules (Institution of Conciliation and Arbitration Proceedings) by Article
  2(1)(c) 107-9
  2(1)(d)(iii) 109-12
  2(3) 107-9
  5 124, 274
  6 2 7 4
  7 125, 274
ILC (International Law Commission)
  State Responsibility for Internationally Wrongful Acts, [Draft] Articles on (2001)
    compensation for wrongful damage
       contributory fault 529
       measure 467
interest
  on compensation/damages 478
     as compensation for lost profit 260-3
  compound
     agreement of parties, need for 248-50
     as common business practice 250, 263
     interest on interest 250-1
  date of commencement/dies a quo, date of critical court decision 478
  rate, BRIBOR 241-2, 262-3
international law, in relation to domestic law, interpretation of legislation, as aid to
'investment' / 'foreign investment'
  applicable law
     BIT 50
     domestic law of Contracting State 86, 89, 363-5
    treaty under consideration 459
  approval of host government, relevance, approval contrary to government policy, effect
         508, 511
  bank guarantee 131-6
  BIT provisions 50, 110
  definition/classification as 460
     'any kind of asset owned or controlled either directly or indirectly through an investor
         of a third State', 'third State' 308
     'any right conferred by law, contract or licence', under economic activity in energy
         sector law 459-60
     bankruptcy, declaration of 460
     'claim to money' 460-2
     claims to money 459-62, 465
     company or shares of stock or other interests in company or assets thereof [and any
          form of participation in company] 110-11
    contract for supply of goods as part of 'broader investment scheme' 362-3
     contractual right [having financial value] 50, 66-7, 86-7, 110-12
       legitimate expectation and 87, 91–2
       requirements 133–5
     'contribution of foreign investor to object of economic activity in territory of contracting
          State' 363-6, 395, 465
       'contribution' 364-5
       'investments appearing as contribution' 363
```



```
'object of economic activity' 364
     equity or debt 11
     'every kind of asset', bank guarantee 131-2
     'every kind of investment ... owned or controlled directly or indirectly by [nationals
          or] companies of the other party' 11
     'investment appearing as contribution of foreign investor into objects of economic
          activity in territory of contracting State' 363-6, 465
     mortgages, liens, guarantees and similar rights 132
     multilateral treaties, Energy Charter Treaty (1994) 296-8
     'owned or controlled, directly or indirectly' 307
       burden of proof 307
     shares of stock or other interests in a company [owned or controlled, directly or indi-
          rectly], equity share 152
     tangible or intangible property 364, 395
       'in expectation of or used for economic benefit' 366, 465
  evidence of, terms of contract 362
  ICSID jurisprudence 110
  jurisprudence
     Alcoa 133
     Amco Asia Annulment 133
     Atlantic Triton 133
     CSOB 130
     Fedax 132, 133, 135, 460-1
     Salini 111-12, 133, 135, 461
     SGS v. Pakistan 112, 133, 461
  as preliminary issue 360-2, 375-6
  risk, relevance, due diligence, investor's obligation 510
'investment dispute'
  BITs 11-12
     breach of right conferred by treaty with respect to an investment 11-12
  domestic law provisions, 'dispute between a foreign investor and the contracting State in
          respect of a foreign investment' 360-1
investment licence, cooperation agreement distinguished 91–2
'investor' / 'foreign investor'
  'any entity founded or registered in accordance with the legislation of a foreign State'
          361, 459
  control of company, relevance 152-4
     Vivendi Annulment 153
jurisdiction (general)
  concurrent jurisdiction in domestic courts, relevance 155-6
     Betsy 155-6
     Selwyn 155-6
  doctrine of assertion 375-6
jurisdiction (ICSID)
  basis, Energy Charter Treaty (1994): see Energy Charter Treaty (1994) (ECT) by article,
          Part V (dispute settlement), Art. 26(1) (jurisdiction)
  burden of proof 294-5
  competence/duty of tribunal to determine 322
  contractual basis, null and void contract 106-7
```



```
Cambridge University Press
978-0-521-89987-1 - ICSID Reports, Volume 13
Edited by Karen Lee
Index
More information
```

```
jurisdiction (ICSID) (cont.)
  equity/equitable principles, improper resort to as ground for annulment 512-13, 514
  limitations on, matters within exclusive competence of domestic courts 116
  Maffezini 129
  objection to
    ECT 17(1) (non-application of ECT Part III) as basis for 302-4
    submission 'as early as possible', need for 297
  parallel bases in treaty and contract 137-9
    jurisprudence
       CMS 138
       Genin 137
       Lauder 137
       SGS v. Pakistan 138, 139
       SGS v. Philippines 138-9, 141
       Vivendi Annulment 137, 138
       Wena Annulment 137, 138
  prima facie legal case, sufficiency 107, 298
    Methanex 128-9
    Oil Platforms 298
    Salini 129
    SGS v. Pakistan 129
    UPS 128-9
jurisdiction (UNCITRAL)
  'colourable' claim, sufficiency 13
  competence/duty of tribunal to determine 358-9
  merits, distinguished 11-13
Kazakhstan-US BIT (1992) by article, Art. VI(1) ('investment dispute') 11-12
KGM (Kyrgyzgazmunaizat Joint Stock Company): see also Petrobart-KGM Goods Sup-
         ply Contract 1/98-PB
  bankruptcy (1999) 370, 393-4, 406-7, 464-5, 466
  ECT 22(1) obligations and 467
  establishment and purpose 390
  financial situation prior to transfer of assets to Kyrgyzgaz 470-1
  Government Decrees relating to in date order
    28 (measures for improving the supply of natural gas and stabilizing the activity of
         KGM) 390-1
    649 of 5 October 1998 (replacement of Kyrgyzgaz by new State company 'Kyrgyzgaz'
         managed by Kyrgyzenergo) 391, 408
     11 of 11 January 1999 (Kyrgyrzgaz: financing arrangements) 392, 408, 464, 466
    79 of 11 February 1999 (Individual Programme of Privatization of KGM) 393
     141 of 9 March 1999 (Munai: responsibility for Kyrgyz petrol sector) 393, 408, 464
  Presidential Decrees relating to in date order
    30 of 29 January 1997 (KGM) 390, 405
    282 of 23 September 1998 (establishment of Kyrgyzgaz) 391, 408, 463-4
  as State entity 406, 467
  supply of all types of oil products, responsibility for (charter 3.22) 405-6
  transfer of assets to Kyrgyzgaz
    damage to Petrobart resulting from 470-4
    propriety 464-5, 466-7
    value of transferred assets 471-2
```



INDEX 553

Kyrgyz Republic: see also Petrobart–KGM Goods Supply Contract 1/98-PB

Arbitration Procedure Code, s 178 (execution of monetary judgment) 464–5

Bankruptcy Law

- s 9 (knowledge of insolvency) 357
- s 18 (non-payment of debt) 439
- s 21 (right of insolvent to dispose of property) 357, 421-2, 437-9
- s 21(3) (seizure of assets: agreement of court of arbitration) 475

Business Partnerships and Companies Law, s 55 (joint stock company: charter capital) 364–5

Civil Code

- s 144 (joint stock company: charter capital) 364-5
- s 172 ('transaction') 355
- s 176 (substance of transaction, need for writing) 355
- s 177 (contracts: requirements) 355, 362
- s 178.3 (foreign economic transaction: validity) 355
- s 395 (consent to contract: form) 355-6
- s 415 (contracts for the sale of goods) 354
- s 422 (satisfaction of creditors) 421
- s 470 (long-term supply contracts) 354
- s 1190 (foreign economic transaction: writing, need for) 355

Constitution, Art. 9(4) (universally recognized principles of international law) 366, 395–6

contract, formation/requirements, writing 355-6, 362-3

economic and political background 405

energy sector, organization 405

Foreign Investment Interpretation Law 2000 363, 365

retroactive, whether 465-6

s 1 ('foreign investment'), text 353, 395, 465

Foreign Investment Law (FIL)

international law as aid to interpretation 365-6

text 378-80

Foreign Investment Law (FIL) by article

- s 1 ('investment') 364
- s 1.2 ('foreign investment') 363-6, 465
- s 1.3 ('foreign investor') 361
- s 1.5 ('investment dispute') 360-1
- s 23.2 (arbitration clause), text 339, 394
- s 23.3 (arbitration: consent to)

text 94, 339

UNCITRAL Rules and 359

international law in relation to domestic law, interpretation of legislation, as aid to 365-6

'investment' / 'foreign investment'

claims for money, exclusion 465

'investment appearing as contribution of foreign investor into objects of economic activity in territory of contracting State' 363–6, 465

'appearing as' 365

'investment' as tangible or non-tangible asset 364, 395, 465

'object of economic activity' 364, 395

'investor' / 'foreign investor' 361

KGM: see KGM (Kyrgyzgazmunaizat Joint Stock Company)

separation of powers, executive intervention in judicial proceedings 393, 464–5, 474–5



554 INDEX

legal dispute arising directly out of investment, political elements, relevance 192 **legislation, interpretation**

aids, international law 365–6 guidelines, actual language 365

legislation, retroactive effect, interpretation distinguished 465-6

legitimate expectations

fair and equitable treatment and 520-1

financial value of asset and 87, 91–2

lost profit: see damages, measure/valuation of company, lost profit

Mexico

law of

Expropriation Decree of 3 September 2001 150

Sugarcane Decree 1991: *see* Mexico sugar industry, regulatory framework with particular reference to the Sugarcane Decree 1991

Mexico sugar industry, regulatory framework with particular reference to the Sugarcane Decree 1991 156–60

CAA (Comité de la Agroindustria Azucarera) 158

Comités de Producción Cañera de los Ingenios del País 158

fair and equitable treatment (NAFTA 1105) and 153, 165-72

implementation and enforcement

Acuerdo of 25 March 1997 (determination of national reference price), government role 159–60, 171–2

Acuerdo of 31 March 1998 (production ceilings) 160

alleged breach 160-1, 164

Acuerdo of 2000 (production ceilings: method for calculating) 160, 164

alleged failures 150, 160-73

economic certainty/profitability/equity to all producers, government's obligations 158–9

export quotas, obligation to comply with 157-8, 161-4

JCACA (Junta de Conciliación y Arbitraje de Controversias Azucareras) 158

national treatment (NAFTA 1102) and 153, 156-64, 172-3

nationalization of sugar mills (1970s) 158, 172-3

scope, object and purpose of Sugarcane Decree 1991 158-60

MFN (most favoured nation) treatment

dispute settlement provisions, applicability to 312–21, 323

Ambatielos 318

Anglo-Iranian Oil 318

CSOB distinguished 317

Maffezini 316, 318-20

Rights of US Nationals in Morocco 318

Siemens 316, 320

Tecmed 320

minimum standard of treatment in accordance with international law

'in accordance with international law', treaty standard, BITs 22-3

jurisprudence, Myers 167

standard of review: see standard of treatment of alien, standard of review

Moldova

Budget Law 1997 6, 14

Budget Law 1998 6-7, 14-15



```
arbitrary and discriminatory, whether 24-7
     fair and equitable, whether 24-7
  Expo-Business-Chişinău FEZ 625-XIII of 3 November 1995 9, 12, 14
     Art. 5 (customs regime) 25–6
       text 18-19
     Art. 6 (tax regime) 25-6
       text 19
     Art. 7 (stabilization clause) 12–13, 18, 25–7
       text 18
  expropriation/nationalization, classification as, tax measures 11, 24-7
  Foreign Investment Law 998 of 1 April 1992, Art. 43(2) (customs, tax, financial, credit,
         currency and anti-monopoly legislation, exclusion from stabilization clause) 12-
          13, 21, 25-7
  Free Zones Law 1451-XII of 25 May 1993 19
  Regulation 05/1-07/507 of 11 April 1996 (exemption from export duties) 14
     text 19-20
  stabilization clauses 12-13, 18, 25-7
Moldova-US BIT (1993)
  6 months rule (Art. VI(3)) 9-10
  appointment of arbitrators 10-11
  arbitrary and discriminatory treatment (Art. II(3)) 22-3
  damages, measure/valuation of company (Art. III(1)) 12
  denial of BIT advantages (Art. I(2)) 8
  dispute settlement alternatives (Art. VI(2)) 9
  expropriation, lawfulness (Art. III(1)) 11–13
  fair and equitable treatment/minimum international law standard (Art. II(3)) 22-3
  'investment dispute' 11–12
  proper parties (Art. VI(8)) 8
  taxation (Art. X)
     applicability to (Art. X(2)) 10
     as expropriation 11, 24-7
     fairness and equity in treatment of 23-5
Moldova-US BIT (1993) by article
  Art. I(1)(a) ('investment') 11
  Art. I(2) (denial of BIT advantages) 8
  Art. II(3)(a) (fair and equitable treatment/minimum international law standard) 22–3
  Art. II(3)(b) (arbitrary or discriminatory measures) 22–3
  Art. II(3)(c) (obligations entered into with regard to investments) 25
  Art. III(1) (expropriation: justification/measure of damages) 12, 25
  Art. VI(1) ('investment dispute') 11–12
  Art. VI(2) (State-investor dispute settlement: alternatives) 9
  Art. VI(3) (6 months rule) 9-10
  Art. VI(8) (proper parties) 8, 22
  Art. VII(2) (2 months rule) 10
  Art. X(1) (tax matters: fairness and equity) 23–5
  Art. X(2)(a) (tax matters: applicability to: expropriation) 12
  Art. X(2)(c) (tax matters: applicability to: investment agreement provisions) 10
MTD-Chile dispute
  annulment proceedings 500-33
  history and background 503-5
```



> 556 INDEX MTD-Chile dispute (cont.) MTD Chile, as national of another contracting State 505 MTD Equity, as 'investor' 505 NAFTA (1992) by Article Part V, Chapter 11, Section A (Investment) 1102 151-2 1102(2) 172-3 1103 (MFN treatment) 315 1105(1) 151, 165–72 1110 (expropriation and compensation) 152, 173-7 1113(2) (denial of benefits: notification and consultation) 305 Part V, Chapter 11, Section B (Settlement of Disputes) 1116 (investors on own behalf) / 1117 (investors on behalf of an enterprise) distinguished, standing issues 152-6 1120 (submission of claim to arbitration) 147 1128 (participation by a party) 149 Part V, Chapter 11, Section C (Definitions), 1139 (definitions) 152 NAFTA Free Trade Commission (FTC), Interpretative Note on Certain Chapter Eleven Provisions (31 July 2001) minimum standard of treatment in accordance with international law 167 n. 14 NAFTA jurisprudence ADF 168 Myers 167 national treatment differential treatment as between national and foreign claimants 154-5 Hopkins 154-5 Myers 154-5 differential treatment, grounds/justification, public policy 172-3 maladministration by authorities and 153, 156-64, 172-3 nationality (juridical person) foreign control agreement to treat as national of another Contracting State and 109-14 Moldova-US BIT (1993) 8, 22 new claims, exclusion 22-3 classification as 22-3 cross references within treaty to another article, relevance 22-3 non-discrimination obligation, Chile-Croatia BIT (1993) 506 notice of arbitration (UNCITRAL) new claim, exclusion 22-3 proposal for appointing authority, possibility of 10-11 requirements general nature of claim and amount sought 10 increase in amount 23 proposed number of arbitrators 10 reference to contract out of or in relation to which dispute arises, BIT as 10 oral hearings necessity 17

telephone conference, limitation to 329-30



```
Cambridge University Press
978-0-521-89987-1 - ICSID Reports, Volume 13
Edited by Karen Lee
Index
More information
```

```
Pakistan-Switzerland BIT (1995), 'bifurcation clause' ('fork in the road'), absence 456
Petrobart-KGM Goods Supply Contract 1/98-PB
  arbitration agreement (Kyrgyz Foreign Investment Law, ss 23.2 and 23.3) 339
  arbitration clause (Art. 8), text 390
  conclusion 338, 389, 406, 448
  dispute relating to
    history and background 338-40, 370-1, 394-6, 448-9, 481-2
    parties' arguments
       Kyrgyz 351-8, 371-2, 373-4, 425-43, 482-6
       Petrobart 272-3, 343-51, 371, 406-25, 443-8, 483
  'foreign investment' by Petrobart, whether 361-6, 459-62, 465, 486
     as 'broader investment scheme' 362-3
  'foreign investor' status of Petrobart 361, 457-9
  price of goods (Art. 4), text 389-90
  SCC proceedings, summary 402-4
  stay of execution of monetary judgment, effect on Petrobart 474-5
  subject matter (Art. 1), text 389
place of arbitration, law of as applicable law, on procedure 358–60, 362–3
precedent (ICSID arbitral tribunal), domestic court decisions, binding on tribunal, whether
         359-60
precedent (UNCITRAL), domestic court decisions, binding on tribunal, whether 359-60,
procedure (ICSID arbitral tribunal), registration of Application with Secretary-General,
         acceptability of request 'not manifestly outside the jurisdiction' 321-2
procedure (UNCITRAL), applicable law, law of place of arbitration 358-9, 362-3
proper party
  critical date 22
  joinder, need for consent 8
  third party status and additional representation of same party distinguished 8
provisional measures
  possible measures
    suspension of proceedings in domestic court 324-34
       identity of parties, need for 332-3
  purpose
    avoidance of irreparable damage 331
       damage which can be made good by financial reparation, exclusion 333-4
    non-aggravation of dispute, Amco 331-2
     preservation of parties' rights, 'rights in dispute', limitation to 331–3
  requirements, necessity/urgency 331
recognition and enforcement of arbitral award
  final judgment of domestic courts, equality with (ICSID 54(1)) 498-9
  obligation to implement/comply with ICSID 54 498-9
  State immunity from execution/attachment 498
  stay: see stay of enforcement of arbitral award
remedies, repeal of offending legislation 9
res judicata
  decisions on jurisdiction and costs distinguished 375
  as general principle of international law 452-3
  identity of parties and issue, need for 453-5
  new evidence and 453
```



> 558 **INDEX** retroactive effect, interpretative legislation 465-6 review of arbitral award by domestic courts 96-101 appeal from, right of 377 partial award and 101 review of arbitral award by domestic courts, standard of review/grounds error of law, failure to examine competence 487 failure to rule on issues submitted to tribunal, decision to dismiss 100-1 separability arbitration clause 298 exclusivity clause 48 invalid/valid clauses 89-90 separation of powers, executive intervention in judicial proceedings 393, 464–5, 474–5 settlement on agreed terms in case of, Joy Mining-Egypt 143 Slovak Republic: see also Czech-Slovak Bit (1992); Czech-Slovak Consolidation Agreement (CA) (1993); and entries at Czech [and Slovak Federal] Republic 'abstract' lost profit 258-9 Civil Code s 122(3) (appurtenances to a receivable) 255 s 544 (penalty clause) 255 s 545 (penalty clause) 255 Commercial Code s 266 (interpretation of contracts: parties' intention) 246 ss 300-2 (penalty clause) 255 s 379 (lost profit: foreseeability requirement) 260 s 381 ('abstract' lost profit). 258-9 s 735 (default interest: as appurtenance to receivable) 255, 261–3 contract, interpretation, aids, subsequent conduct of parties 246 specific performance, impossibility 467–8 stabilization clause expropriation and 12-13, 25-7 legislative changes, protection from 12, 18, 25-7 stable and predictable economic framework, importance, Mexico sugar industry 158–9 standard of treatment of alien arbitrariness: see arbitrary and discriminatory treatment domestic law, compliance obligation 166-72 failure to comply falling short of breach of international law 168-9 good faith efforts, relevance 168 record as a whole as determining factor 168–72 fair and equitable: see fair and equitable treatment of alien jurisprudence ADF 168-9 Neer 168 Tecmed 166 Waste Management II 166-7, 168-70 standard of review 166-72 'treatment', dispute settlement, applicability to 312-21 standing (NAFTA 1116 and 1117) Articles 1116 and 1117 distinguished 152–3 'has suffered loss or damage' (NAFTA 1116), directness of damage 152-3



INDEX 559

'investor of a Party' (NAFTA 1139) 152 **standing (UNCITRAL)**, third parties 22 **State**, as corporation 72–3 **State agency/organ** right/power to bind government 63–4, 90–1 as separate entity 63–4, 90–1

State contract

breach, breach of international law/BIT obligations, whether 169–72 classification as, Czech–Slovak Consolidation Agreement (CA) (1993), whether 195 interpretation, guidelines, agreement as a whole 133–4 investment contract and contract for sales or services distinguished 134–5, 139

State entity: see State agency/organ

State immunity from execution/attachment, recognition and enforcement of arbitral award and 498

State responsibility

acts and omissions of, State agency/organ 63–6, 90–1 for, failure to achieve legislative purposes 171–2

State succession, Czech and Slovak Republic 79, 186

stay of enforcement of arbitral award

dilatoriness, effect 498
ICSID jurisprudence 497
pending decision in action for annulment 493–9
reasons
irreparable harm 498
interest and 498, 501–2
security, provision of 498–9, 501–2

Stockholm Chamber of Commerce Arbitration Institute (SCC Institute)

as appointing authority 10–11
appointment of arbitrators 41–2
arbitration agreement, objection to, timeliness 449–50, 452
costs 93–5
establishment of tribunal 41–2
jurisdiction, merits and, establishment of facts and 79–80
Petrobart–Kyrgyz Republic proceedings, summary 402–4
statement of claim/statement of defence, limitation to issue of liability 42
submission of dispute to
Czech and Slovak Federal Republic–UK BIT 30 n. 2
Energy Charter Treaty 381 n. 3
time-limits, extension, for rendering of award 42
witnesses
head of State as 43
oral hearings and 43

Stockholm Chamber of Commerce Arbitration Institute (SCC Institute), Arbitration Rules (1999)

10(2) (objection to arbitration agreement) 449-50

13(2) (appointment of tribunal chair) 42

14 (advance on costs) 42, 402

16(1) (number of arbitrators) 41

16(2) (more than one arbitrator), failure to meet time-limits and 42

21(1) (statement of claim) 42



```
Cambridge University Press
978-0-521-89987-1 - ICSID Reports, Volume 13
Edited by Karen Lee
Index
More information
```

560 **INDEX Stockholm Chamber of Commerce** (cont.) 21(2) (statement of defence) 42 24(1) (applicable law), law or rules of law considered by tribunal to be most appropriate 31(1) (interim measures: payment of security) 402 39 (arbitration costs) 93-4, 404 sugar: see Mexico sugar industry, regulatory framework with particular reference to the Sugarcane Decree 1991 suspension of proceedings (ICSID), pending outcome of proceedings in municipal courts suspension of proceedings (UNCITRAL arbitration), settlement negotiations and 17 Sweden arbitral award, procedure and form 'award', designation as determination on substance or procedure as 100 failure to designate as decision, relevance 100-1 Arbitration Act 1999 (LSF) s 2 (compétence de la compétence) 358-9, 375-6 s 26 (designation as arbitral award) 100 s 36 (application to set aside award) 98–101, 368, 374–7 provisions of 1929 Arbitration Act distinguished 100, 377 s 37(1) (arbitration costs), finding of lack of jurisdiction and 366–7 s 43 (right of appeal) 98, 377 s 43 (right of appeal: from Court of Appeal) 487 arbitration, applicable law, procedure, law of place of arbitration 358-60, 362-3 costs of arbitration 366-8 necessary costs 377 review of arbitral award 101, 369, 377 right of appeal against allocation 368, 374-5 time-limits 68, 375 Interest Act 1975, s 6 (interest on costs) 98, 370, 481 jurisdiction (general), doctrine of assertion 375-6 res judicata, decisions on jurisdiction and costs distinguished 375 review of arbitral award by domestic courts 97-101 appeal from, right of 377 partial award and 101 review of arbitral award by domestic courts, standard of review/grounds error of law, failure to examine competence 487 failure to rule on issues submitted to tribunal (including decision to dismiss) 100-1 tax measures, as expropriation: see expropriation/nationalization, classification as, tax meathird parties: see proper party, third party status and additional representation of same party distinguished time-limits 6 months rule 9-10 purpose 10 start date 9 appeal against allocation of costs 368, 375 applicable law 92-3



INDEX 561

extension

for preparation of proposals 16

for rendering of award 42

submission of claim for damages 76-7, 92-3

submission of claim to UNCITRAL tribunal, treaty and municipal law provisions distinguished 23

travaux préparatoires

absence/failure to produce 314

ICSID Convention: see ICSID Convention (1965), travaux préparatoires

treaties, compliance/implementation (VCLT 26-7)

domestic law as justification for non-compliance (VCLT 27) 115–16, 156, 167–8 provisional application (ECT 45) 300

treaties, domestic law and, primacy 116

treaties, form (including classification as)

'framework agreement', relevance of description as 193-4

parties, States, limitation to 194

State contract distinguished 195

treaties, interpretation

aids

other treaties concluded by some or all parties covering same subject matter, minor variation in terminology, relevance 312–13

travaux préparatoires: see travaux préparatoires

applicable law

general principles of international law 85

VCLT (1969) 294

guidelines, literal approach/adherence to the text 451

interpretation of contracts distinguished 85

treaties, interpretation (VCLT 31(1)) (general rule: good faith, ordinary meaning, context, object and purpose) 459

good faith 85, 302

[natural and] ordinary meaning 85, 294

'treatment' 312-13

object and purpose 85, 111, 294, 313-14

treaties, interpretation (VCLT 31(2)) (context) 294

circumstances of conclusion of Agreement 314

structure and content of treaty 313

treaties, interpretation (VCLT 31(3)) (points to be taken into account together with context), parties' subsequent practice establishing agreement concerning interpretation (VCLT 31(3)(b)) 314

treaties, interpretation (VCLT 31(4)) (special meaning of term by agreement of parties) 314

treaties, State succession and 79

treaties, termination/withdrawal, BITs and 108-9, 118

'umbrella' clause (undertaking to observe domestic commitments), conversion of contract obligations into international obligations distinguished 139

UNCITRAL Arbitration Rules

3(3)(c) (notice of arbitration: requirements: reference to arbitration clause/agreement) 10 3(3)(d) (notice of arbitration: requirements: reference to contract giving rise to dispute) 10



562 INDEX

UNCITRAL Arbitration Rules (cont.)

3(3)(e) (notice of arbitration: requirements: general nature of claim and amount involved)

5 (number of arbitrators) 10

7(2)(a) (appointment of arbitrators) 340

15(2) (general provisions: oral hearings) 341–2

16(1) (place of arbitration: agreement by parties/choice by tribunal) 341

21(1) (compétence de la compétence) 13, 341, 358-9

21(4) (jurisdiction as preliminary issue) 13

32(1) (interim, interlocutory and partial awards) 13

38 (costs) 28, 177

38-40 (fees and costs) 366-7

40 (costs: allocation of) 28

witness testimony in proof of agreement, admissibility 362-3

UNCITRAL Model Law of International Commercial Arbitration, arbitration agreement, reference to document containing arbitration clause as 315

unilateral declaration, effect 142-3

witnesses

admissibility of witness testimony to prove terms of agreement 362–3 head of State as 43 oral hearings and 43