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978-1-107-02154-9 - Collective Actions: Enhancing Access to Justice and Reconciling Multilayer Interests?

Edited by Stefan Wrška, Steven Van Uytsel and Mathias Siems

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COLLECTIVE ACTIONS

Enhancing access to justice and reconciling
multilayer interests?

This volume of essays draws together research on different types of collective actions: group actions, representative actions, test case procedures, derivative actions, and class actions. The main focus is on how these actions can enhance access to justice and how to balance the interests of private actors in protecting their rights with the interests of society as a whole. Rather than focusing on collective actions only as a procedural device, the contributors to this book also examine how these mechanisms relate to their broader social context. Bringing together a wide range of scholarship from the areas of competition, consumer, environmental, company, and securities law, the book includes contributions from Asian, European, and North American scholars and therefore expands the scope of the traditional European and/or American debate.

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CONTENTS

<i>Figures</i>	<i>page</i> xvii
<i>Tables</i>	xix
<i>Contributors</i>	xxi
<i>Preface</i>	xxiii
<i>Acknowledgments</i>	xxv
<i>Abbreviations</i>	xxvii
1	Access to justice and collective actions: ‘Florence’ and beyond 1
	STEFAN WRŠKA, STEVEN VAN UYTSEL, AND MATHIAS M. SIEMS
	Introduction 1
	The Florence Project and access to justice 3
	From ‘diffuse’ to ‘multilayer’ interests 8
	The role of collective actions in the context of multilayer interests 10
	Structure of and contributions to this book 12
	Conclusion 19
	PART I. Setting the stage 21
2	European consumer protection law: Quo vadis? – thoughts on the compensatory collective redress debate 23
	STEFAN WRŠKA
	Introduction 23
	Multilayer interests 24

vi	CONTENTS
	Access to justice 27
	Redress tools 31
	Green Paper on Collective Consumer Redress 38
	The way(s) forward 42
	Conclusion 54
3	Collective actions in a competition law context – reconciling multilayer interests to enhance access to justice? 57
	STEVEN VAN UYTSEL
	Introduction 57
	Access to justice and collective actions 60
	The justice concepts envisioned by law enforcement 60
	Access to justice as redress for harm 61
	Harm in a competition law context 63
	Harm determined by the protective scope of competition law 63
	The stakeholders in competition law infringements 67
	Relationships among the stakeholders 70
	Multilayer interests among the stakeholders 70
	Tensions among the multilayer interests 72
	Collective actions in a competition law context 73
	Reconciling tensions through collective actions 75
	Alleviating tension through joinder procedures or test cases 75
	Representative actions’ influence on tension among individual interests 76
	A tension too big for class actions 78
	The tension between individual interests and the public interest 81
	Compensatory justice and the impediment of legal standing 81
	The stakeholders and legal standing 82
	Competitors 82
	Direct purchasers 83
	Indirect purchasers 84
	Umbrella customers 84

Deadweight loss customers	85
Creditors, shareholders, employees and suppliers	86
Collective actions and compensatory justice	86
What about deterrence?	87
Hybrid enforcement mechanisms	89
Conclusion	91
4 Private enforcement of directors’ duties: Derivative actions as a global phenomenon	93
MATHIAS M. SIEMS	
Introduction	93
The problem of enforcing directors’ duties	94
Derivative actions in six countries	96
The United States, Japan and France: more similarities than differences?	97
The United Kingdom, China and Germany: do the new laws make a difference?	101
Discussion: convergence and legal families	105
Derivative actions in twenty-five countries	106
Methodology and dataset	107
The development of the law between 1995 and 2005	109
Legal families, complements and substitutes	111
Conclusion	115
PART II. Cross-continental perspectives on collective actions	
117	
5 From peasant to shareholder: Divergent paths of group litigation in Tokugawa Japan and England	119
SEAN MCGINTY	
Introduction	119
Feudal origins: the cases of Martin and Ushu	122
The issues of group litigation	122
Martin’s case	123
The Ushu case	123
A common heritage?	125

viii	CONTENTS
	New groups: joint stock companies and <i>kabunakama</i> 127
	English joint stock companies 128
	Kabunakama 130
	Explaining the difference 134
	The Tokugawa legal system 134
	The nature of the <i>kabunakama</i> 137
	Social and political context 138
	The difference 139
	Conclusion 141
6	Reconciling multilayer interests in environmental law: Access to justice in environmental matters in the European Union and the United States 143
	MONIKA HINTEREGGER
	Access to justice as a means to reconcile multilayer interests in the protection of the environment 143
	The public interest: protection of the environment as a public duty 143
	The private interest: access to justice for individual persons 143
	Reconciling individual and collective interests: access to justice for environmental organizations 147
	Collective actions in the environmental law of the European Union 148
	The Aarhus convention and its implementation in EU law 148
	Aarhus convention 148
	Implementation acts 149
	Collective actions 151
	The 2004 environmental liability directive 153
	The availability of collective actions under U.S. law 154
	The public trust doctrine and claims for natural resource damage 154
	Citizen suits 157
	Class actions 160
	Comparison and conclusion 161
	Outlook: collective action in environmental torts 164

PART III. A need to enhance collective actions in Japan?	167
7 Recent problems of group rights protection for consumers in Japan	169
KUNIHIRO NAKATA	
Introduction – localization of the problem	169
The actual state: the system for relief of consumer group damages	171
The debate about a group action system	173
Different types of collective claims	173
The ‘opt-out solution’	174
The authorization for the representative plaintiff	175
The affected individual’s right to choose	176
Individuality of claims	176
The problem of money distribution	177
Payment for pain and suffering as a sanction	178
The opt-in solution	178
The basic structure of the opt-in solution	178
Problematic points	178
The two-step solution	179
The meaning of the basic type	179
Problematic points	179
The claim for skimming off unjust enrichment	180
Other problems – the structure surrounding qualified consumer organizations	180
Conclusion	181
8 Can collective actions be a solution to improve access to justice in Japan? Examination of measures to enhance the private enforcement of competition law in Japan	184
AKINORI UESUGI	
Introduction	184
Importance of private enforcement of competition law	185
Evaluation of public enforcement in Japan	185
Public enforcement record of cartel regulations	185
Trends in public enforcement of cartel provisions	186
Amendment of the AMA in 1977	189

Sanctions on cartels	189
Evaluation of private enforcement in Japan	192
General picture of private enforcement in Japan	192
AMA Article 25 suits	192
Article 709 civil code suits	194
Injunction suits	194
Concentration of enforcement power in the JFTC and THC	195
Why is the enforcement power concentrated in the JFTC and THC?	195
Gradually reduced concentration of enforcement powers	197
Changes to the previous systems	197
Analysis	199
Comparison with EU modernization reform	200
Relationship between the JFTC’s fact finding and the court’s fact finding	201
Finding of facts in cases decided by recommendation decisions	201
Recommendation decisions	202
Consent decisions	204
Changes to the recommendation decision system in 2005 and their meaning for private enforcement	204
Increase in cases concluded after hearing proceedings	205
Are current damage awards by courts sufficient to recover damages?	207
Amendment of Article 84 and its meaning for private enforcement	209
Possible impacts of eliminating the JFTC hearing proceedings on private enforcements in Japan	210
Elimination of Article 70–15 and its possible effects on private enforcement in Japan	211
The role of the JFTC in facilitating private damage suits	212
Impacts on the right to litigate	212
Measures to encourage private enforcement of competition law in Japan	214
Reasons for inactive private enforcement	214
Situation	214
Analysis	214
Introduction of representative suits by qualified associations via the excessive premium and misrepresentation act violations	216
Conclusion	216

PART IV. Collective enforcement of company and securities law	219
9 Does more litigation mean more justice for shareholders? the case of derivative actions in Vietnam	221
QUYNH THUY QUACH	
Introduction	221
Newly adopted litigation rights – more ways for oppressed shareholders to access Justice	223
Poor enforcement and the gap between promises of law and reality	223
More litigation rights for shareholders – attempt by lawmakers to widen the way for shareholder access to Justice	226
Derivative action – shareholders’ ‘weapon for others’ interests	229
Forgotten derivative suits in their origin country	229
Driving forces in the emergence of derivative suits in East Asia Countries	231
The case against more litigation in Vietnam	234
Insufficiencies of the court	234
Critical paucity of judges	234
Capacity of judges is insufficient	235
Court judgments are commonly unenforceable	235
Disfavour of litigation by shareholders	236
An immature legal profession and the hurdle of litigation costs	238
Small lawyer population	238
Limited litigation skills	239
Litigation costs poorly incentivize lawyers to initiate cases	239
Policy implications	241
Litigation as hardship route to justice for shareholders	241
Less costly mechanisms as possible alternatives for litigation	242
Strong regulator	242
Arbitrators	243
Conclusion	244
10 The United States Supreme Court and implied private cause of actions under SEC Rule 10b-5: The politics of class actions	245
ARTHUR R. PINTO	

xii	CONTENTS
	Introduction 245
	The development of an implied private cause of action under Rule 10b-5 248
	The Supreme Court and Rule 10b-5 class actions 252
	The Burger Court (1969–1986) 254
	An important exception 258
	The Rehnquist Court (1986–2005) 260
	Congressional action 262
	The Roberts Court (2005–present) 265
	Conclusion 270
	PART V. Indirect purchasers and collective actions 273
11	Indirect purchaser suits under the class action fairness act: Reconciling multilayer interests in antitrust litigation 275
	WILLIAM H. PAGE
	Introduction 275
	Class certification in pre-CAFA indirect purchaser litigation 279
	Class certification in indirect purchaser litigation after CAFA 282
	The continuing failure of indirect purchaser suits 293
	Conclusion 298
12	Collective actions by indirect purchasers: Lessons from the Japanese oil cartel cases 299
	SIMON VANDE WALLE
	Introduction 299
	Relevance of Japan’s experience with indirect purchaser litigation 300
	Overview of the three oil cartel cases 302
	The kerosene cartel 303
	The consumers go to court 305
	The procedural mechanism: the Japanese class action 306

CONTENTS xiii

A bitter settlement in the first Tokyo case	308
Rejection by the Supreme Court in the two other cases	309
The merits of indirect purchaser litigation	312
Access to justice	312
Direct purchasers do not sue	313
The problems with indirect purchaser litigation	314
Costly and inefficient: ‘it’s just not worth it’	314
Attorneys’ fees for plaintiffs exceeded the potential recovery	315
The total costs caused by the litigation exceeded the potential recovery	316
Lengthy and complex	318
Implications for indirect purchaser litigation in the EU	321
Indirect purchaser litigation is unlikely to be effective with an opt-in mechanism and traditional rules on causation and damages	321
Possible solutions	323
First option: an opt-out class action	324
Second option: no standing for indirect purchasers	326
Annex: translation of the Supreme Court Judgment in the Tsuruoka oil cartel case	327
 PART VI. Recent developments in and future perspectives on collective actions	
13 Collective enforcement: European prospects in light of the Swedish experience	341
ANNINA H. PERSSON	
Introduction	341
Structure and purpose of this chapter	343
The Swedish group proceedings act	346
The National Board for consumer complaints	350
Group action at ARN	350
KO as representative for individual consumers	354
Evaluation of the Swedish group proceedings act	355
The Swedish view on the green paper on collective redress	357

xiv	CONTENTS
	Collective redress on its way? 359
	Conclusion 362
14	Transnational class settlements: Lessons from <i>Converium</i> 364
	BENOÎT ALLEMEERSCH
	Introduction 364
	The Dutch class settlement 366
	The path leading to <i>Converium</i> 366
	The <i>Converium</i> case 368
	The international <i>Converium</i> settlement and the Dutch court ruling 368
	The Dutch Courts' arguments in favour of jurisdiction 369
	The obligation to pay and the applicability of Article 5(1) 371
	Forum Connexitatis 374
	Is a forum clause the solution? 376
	<i>Converium</i> , the aftermath 378
	Access to justice 379
	Multilayer interests 380
	Conclusion 382
15	The impetus for class actions reform in England arising from the competition law sector 385
	RACHAEL MULHERON
	Introduction 385
	The impetus for class actions reform in the competition law sector from a judicial and litigant perspective 387
	Faltering attempts to use the representative rule 387
	A representative statutory action, under the Competition Act 1998, is of limited utility 391
	OFT-imposed fines do not lead to many subsequent private actions for compensation 394
	The 'missing' competition law cases in England 396

Cambridge University Press
978-1-107-02154-9 - Collective Actions: Enhancing Access to Justice and Reconciling
Multilayer Interests?
Edited by Stefan Wrška, Steven Van Uytsel and Mathias Siems
Frontmatter
[More information](#)

CONTENTS xv

The need for ‘add-on’ English classes to U.S. federal class actions for competition law infringements	398
Important commentary by the President of the English Competition Appeal Tribunal	399
The impetus for class actions reform in the competition law sector: an examination of the governmental position	400
The OFT’s curtailed function	400
Political admissions that there is a problem, both in England and in the EU	401
The Civil Justice Council’s recommendation and the Ministry of Justice’s response	406
The certification hurdles for competition law collective actions	407
Conclusion	411
<i>Index</i>	413

Cambridge University Press

978-1-107-02154-9 - Collective Actions: Enhancing Access to Justice and Reconciling
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Edited by Stefan Wrba, Steven Van Uytsel and Mathias Siems

Frontmatter

[More information](#)

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Multilayer Interests?
Edited by Stefan Wrba, Steven Van Uytsel and Mathias Siems
Frontmatter
[More information](#)

FIGURES

12.1 Distribution chain	<i>page</i> 304
12.2 Comparison amount of claim and plaintiffs’ attorneys’ fees	316
12.3 Comparison amount of claim and total litigation costs	317

Cambridge University Press

978-1-107-02154-9 - Collective Actions: Enhancing Access to Justice and Reconciling
Multilayer Interests?

Edited by Stefan Wrba, Steven Van Uytsel and Mathias Siems

Frontmatter

[More information](#)

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Multilayer Interests?
Edited by Stefan Wr bka, Steven Van Uytsel and Mathias Siems
Frontmatter
[More information](#)

TABLES

4.1	Financial risk of shareholder filing a derivative action	<i>page</i> 105
4.2	Availability of derivative actions (min 0; max 1)	110
4.3	English-speaking countries and the rest of the world	112
4.4	Correlation between derivative actions and other variables	113
8.1	The number of cartel cases dealt with by the JFTC	187
8.2	Enhancement of cartel regulation in Japan since FY1990	190
8.3	Total amount of surcharges ordered in each year since FY1990	191
8.4	Top ten companies in terms of the amount of surcharges (as of December 2011)	191
8.5	Win-loss records for plaintiffs in Article 25 suits	193
8.6	Injunction suits (Article 25 cases)	195
8.7	Hearing cases	206
8.8	Cases that went to hearing proceedings	207
9.1	Investor Protection Index of Vietnam compared with other countries	224
9.2	Statistics of members v. companies cases at Hanoi People Court, 2007–2009	237
11.1	Indirect purchaser class certification I	281
11.2	Indirect purchaser class certification II	285
15.1	Proposed certification criteria for the CPR	410

Cambridge University Press

978-1-107-02154-9 - Collective Actions: Enhancing Access to Justice and Reconciling
Multilayer Interests?

Edited by Stefan Wrba, Steven Van Uytsel and Mathias Siems

Frontmatter

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Frontmatter

[More information](#)

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Frontmatter

[More information](#)

xxii

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Frontmatter

[More information](#)

PREFACE

Cases involving a large number of potential claimants have long presented difficulties to legal systems designed to accommodate disputes primarily among a small number of parties. Deterred by factors such as the costs of potential court proceedings and the imbalance of power between parties, private actors often abstain from pursuing their rights. Potential defendants who have caused significant but dispersed harm may thus escape from sanctions or liability. As a result, multiple layers of interests, or ‘multilayer interests’, ranging from the interests of private actors in protecting their rights on the one hand to the interests of society as a whole in deterring socially detrimental behaviour on the other, may be left unsatisfied.

To remedy this problem, various forms of collective actions have been developed. They range from group actions, in which individual actions are assembled into one procedure; to representative actions, in which an association sues on behalf of a multitude of claimants; to test case procedures, in which claimants sue in order to set a precedent for others. These various forms of collective actions aim to facilitate ‘access to justice’ for private actors, that is, the ability to enforce and protect one’s rights through a legal process. In addition to bundling a larger number of fragmented individual interests, they are seen as a mechanism to safeguard the common interests of specific groups of claimants and of society as a whole. Moreover, collective actions are not just a procedural tool but raise a number of political, social and economic issues, for instance, balancing of interests between weaker private actors and bigger players, coordination of collective actions with enforcement efforts by public agencies, cost issues and a possible subordination of the individual for the sake of larger or collective interests.

There is intense debate among legal scholars and practitioners about whether collective actions can adequately safeguard and reconcile access

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Frontmatter

[More information](#)

xxiv

PREFACE

to justice with multilayer interests. This book examines the issues of collective actions in their broader historical, social, economic and political contexts, cutting across several legal fields in a variety of countries in Europe, Asia and North America, and thus going beyond approaches previously taken.

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Frontmatter

[More information](#)

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We hope that this book will contribute to further discussions and developments of access to justice.

Stefan Wrba, Fukuoka, 2012

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Frontmatter

[More information](#)

ABBREVIATIONS

AC	Appeal Cases (Law Reports)
ADR	Alternative Dispute Resolution
aff'd	affirmed
AG	Aktiengesellschaft (joint stock company)
AktG-E	Aktiengesetz-Entwurf (German Stock Corporation Act Draft)
Ala. Cir. Ct.	Alabama Circuit Court
AMA	Japanese Antimonopoly Act
AMC	Antitrust Modernization Commission
ARC	American Radiolabeled Chemicals
ARN	Allmänna reklamationsnämnden (Swedish National Board for Consumer Complaints)
Art.	Article
Arts.	Articles
Assn	Association
BA	British Airways
BCSC	Supreme Court of British Columbia
BERR	Department for Business, Enterprise and Regulatory Reform
BGBI	Bundesgesetzblatt (German Federal Law Gazette)
BOD	Board of Directors
BOM	Board of Management
BOS	Board of Shareholders
BP	British Petroleum
c.	clause
C.D. Cal.	Central District of California
CAFA	Class Action Fairness Act
CanLII	Canadian Legal Information Institute
CAT	Competition Appeal Tribunal of the United Kingdom
CBR	Centre for Business Research
CEP	Committee on Environmental Policy (Economic Commission for Europe)

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Frontmatter
[More information](#)

xxviii	ABBREVIATIONS
CERCLA	Comprehensive Environmental Response, Compensation, and Liability Act
cf.	confer
CFR	Code of Federal Regulations
ch.	chapter
CIF	Cost Insurance Freight
Cir.	Circuit
Civ	Civil Division
CJC	Civil Justice Council of England and Wales
cl.	clause
CMLR	Common Market Law Review
Co.	Company
Corp.	Corporation
CP Rep	Civil Procedure Reports
CPR	Civil Procedure Rules
CWA	Clean Water Act
D&O insurance	Directors and Officers liability insurance
D. Del.	District Court of Delaware
D. Md.	District Court of Maryland
D. Me.	District Court of Maine
D.C. Super. Ct.	Superior Court of the District of Columbia
D.D.C.	District Court of Columbia
D.N.J.	District Court of New Jersey
DC	District of Columbia
DC Cir.	Court of Appeals for the District of Columbia Circuit
Del.	Delaware
DG COMP	Directorate-General for Competition (European Commission)
DG SANCO	Directorate-General for Health and Consumer Protection (European Commission)
Dnr Ju	Justitiedepartementet Diarienummer (Registration Number of the Swedish Department of Justice)
DOI	Department of the Interior
DOJ	Department of Justice
Dr	Doctor
Ds	Departementspromemoria (memorandum from the Swedish government)
E.D.N.Y.	Eastern District of New York
E.D. Pa.	Eastern District of Pennsylvania
e.g.	exempli gratia (for example)
EC	European Community
ECC-Net	European Consumer Centre’s Network

ABBREVIATIONS xxix

ECE	Economic Commission for Europe
ECHR	European Convention on Human Rights
ECJ	European Court of Justice
ECR	European Court reports
ed.	editor; edition
Eds.	editors
EEA	European Economic Area
EEC	European Economic Community
EIA	Environmental Impact Assessment
ELD	Environmental Liability Directive
et al.	et alii; et aliae (and others)
<i>et seq.</i>	et sequens; et sequential
etc.	et cetera
EU	European Union
EUR	Euro
Eur.Ct.H.R.	European Court of Human Rights
EWCA	England and Wales Court of Appeal
EWCA Civ	England and Wales Court of Appeal Civil Division
EWHC	High Court of England and Wales
F. Supp.	Federal Supplement
F.R.D.	Federal Rules Decisions
Fed. Appx.	Federal Appendix
Fed. R. Civ. P.	Federal Rules of Civil Procedure
Fla. App.	Florida Appeals Court
FPT	Financing Promoting Technology Corp.
FSB	Financial Services Bill
FY	Fiscal Year
GDP	Gross Domestic Product
GNI	Gross National Income
GRL	Swedish Group Proceedings Act of 2002
H. Ct.	High Court
HL	House of Lords
HM	His/Her Majesty
i.e.	id es (it is)
ibid.	ibidem
Inc.	Incorporated
Ins.	Insurance
Int'l	International
IPPC	Integrated Pollution Prevention and Control
J.	Judge; Justice
JFTC	Japan Fair Trade Commission
JOR	Jurisprudence on Commercial Law

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Frontmatter
[More information](#)

xxx	ABBREVIATIONS
Jr.	Junior
JRS	Vietnamese Judicial Reform Strategy
K.K.	Kabushiki Kaisha (Japanese stock corporation)
Kan. Dist. Ct.	District Court of Kansas
KonTraG	Gesetz zur Kontrolle und Transparenz im Unternehmensbereich (German Corporate Sector Supervision and Transparency Act)
L.Ed.	Lawyers Edition
L.J.	Lord Justice of Appeal
L.JJ.	Lords Justice of Appeal
LCD	Liquid Crystal Display
LLC	Limited Liability Company
LOE	Law on Enterprise
LPG	Liquefied Petroleum Gas
Ltd	Limited
M.D. Pa.	Pennsylvania Middle District Court
Mass. Super. Ct.	Massachusetts Superior Court
MDL	Multidistrict Litigation
Me. Super Ct. Cumberland Co.	Main Superior Court Cumberland County
Mich. Cir. Ct.	Michigan Circuit Court
Minn. Dist. Ct.	Minnesota District Court
MITI	Japan’s Ministry of Industry and Trade
MOJ	Ministry of Justice
n.	Note
N.D.	Northern District
N.D. Cal.	Northern District Court of California
N.D. Ill.	Northern District Court of Illinois
N.D. Ind.	Northern District of Indiana
N.W.	North Western Reporter
N.Y.	New York
N.Y.S.	New York Supplement (Law Reports)
NGO	non-governmental organization
No.	Number
NOAA	National Oceanic and Atmospheric Administration
NPO	nonprofit organization
OECD	Organisation for Economic Co-operation and Development
OFT	Office of Fair Trading
OJ	Official Journal
OPA	Oil Pollution Act
OPEC	Organization of the Petroleum Exporting Countries