
Contents

Contents

Acknowledgements	V
Preface.....	VII
Introduction	VII
Some Practical Advice for the Readers.....	VII
News of the Second Edition	VIII
Contents.....	IX
Principal Abbreviations	XXXIII
Chapter 12 of the Swiss Private International Law Act (PILA):.....	1
International Arbitration.....	1
Article 176	3
1 Prerequisites for the Application of Chapter 12 (1).....	5
1.1 Field of Application of Chapter 12.....	5
1.2 Goals of Arbitration	5
1.3 Transitional Rules.....	5
1.4 Arbitration and European Convention on Human Rights	7
1.5 Arbitration and Lugano Convention.....	8
1.6 Arbitration and Arbitral Expert Determination	8
1.7 Internationality	12
1.8 Place of Business as Domicile or Residence.....	14
1.9 Decisive Moment for the Determination of the Seat	14
1.10 Seat of the Arbitral Tribunal in Switzerland.....	15
2 Exclusion Agreement (2)	17
2.1 Requirements for a Valid Exclusion Agreement	17
2.2 Moment of the Conclusion of the Exclusion Agreement.....	18
2.3 Motion to Set Aside Based on a Violation of Article 176(2)	18

Contents

2.4	Individual Cases.....	19
3	Designation of the Seat of the Arbitration (3).....	21
3.1	By the Parties	21
3.2	Significance of the Seat	22
3.3	Choice of a Seat.....	22
3.4	Individual Cases.....	23
	Article 177	25
1	Subject-Matter of Arbitration (1)	26
1.1	Legal Nature and Purpose of Article 177.....	26
1.2	Notion of Arbitrability	26
1.3	Dispute of Financial Interest.....	27
1.4	Non Arbitrable Preliminary Issues.....	28
1.5	Arbitrability and Enforceability of the Award	28
1.6	Exception of Lack of Arbitrability	28
1.7	Motion to Set Aside for Lack of Arbitrability	28
1.8	Arbitrability and Debt Enforcement and Bankruptcy Law ..	28
1.9	Arbitrability and Competition Law.....	29
1.10	Arbitrability and Sports Law	30
1.10.1	CAS as Arbitral Tribunal	30
1.10.2	Rules of Law and Rules of the Game.....	31
1.10.3	Specific Sanctions	31
1.11	Arbitrability in Other Fields	32
1.12	Timeliness of the Plea of Lack of Arbitrability	33
1.13	Award on a Non-Arbitrable Subject-Matter	33
1.14	Individual Cases.....	33
2	State as a Party (2).....	35
2.1	Principle of Good Faith	35
2.2	Representation of a State.....	35
2.3	Individual Case	35
	Article 178	37
1	Form of the Arbitration Agreement (1)	39
1.1	Scope of Article 178	39

Contents

1.2	Definition	39
1.3	Minimal Content.....	39
1.4	Basic Formal Requirements	40
1.5	Arbitration Agreement as Derogation to Constitutional Guarantees	41
1.6	Relation with Other Provisions	42
1.6.1	Article 177	42
1.6.2	Articles II(1) and (2) NYC, 13 CO and 6 Concordat.....	42
1.6.3	Article 7(2) UNCITRAL Model Law.....	43
1.7	No Indication as to the Seat of the Arbitral Tribunal	43
1.8	Arbitration Clause in By-Laws of a Corporate Body	44
1.9	Arbitration Agreement and Terms of Reference.....	45
1.10	Unilateral Arbitration Clause in Wills	46
1.11	Choice between Arbitration and Court Proceedings	46
2	Law Applicable to the Substantive Validity (2).....	47
2.1	Purpose: <i>In Favorem Validitatis</i>	47
2.2	Law Applicable to the Question of Validity	47
2.3	Existence of an Arbitration Agreement	48
2.4	Specificities in Sports Arbitration.....	48
2.5	Arbitration Agreement by Reference	49
2.5.1	Specific and Global Reference	49
2.5.2	Incorporation by Specific Reference.....	49
2.5.3	Incorporation by Global Reference.....	50
2.6	Pathological Clauses	51
2.7	Interpretation of the Arbitration Agreement.....	52
2.8	Inexact Designation of the Arbitral Tribunal	55
2.9	Inexact Designation of the Appointing Authority.....	56
2.10	Material Scope of Application	56
2.10.1	In General.....	56
2.10.2	Security	57
2.10.3	Several Claims and Execution of Several Obligations ...	57
2.10.4	Torts	57
2.10.5	Compensation.....	57
2.10.6	Individual Cases.....	58
2.11	Personal Scope of Application	58
2.11.1	Generalities.....	58
2.11.2	Non-Signatories	59
2.11.3	Power of Representation	60

Contents

2.11.4 Principle of Good Faith	61
2.11.5 Assignment of the Arbitration Agreement	62
2.11.6 Assumption of an Obligation	63
2.11.7 Piercing of the Corporate Veil.....	64
2.11.8 Group of Companies Doctrine	65
2.11.9 Guarantees	66
2.11.10 Adhesion by Implied Actions	66
2.11.11 Adhesion through Membership in a Corporate Body	67
2.11.12 Standing to Sue and Capacity to Be a Party.....	67
2.11.13 Individual Case	68
2.12 Scope of Application with Respect to Time.....	69
2.13 Arbitration Agreement and Agreement on Jurisdiction.....	69
3 Autonomy of the Arbitration Agreement (3)	71
3.1 Principle.....	71
3.2 Assignment of the Principal Contract	71
3.3 Invalidity of the Principal Contract.....	72
3.4 Termination of the Principal Contract	72
3.5 Settlement Agreement.....	73
3.6 Principal Contract Flawed by Corruption	74
3.7 Arbitration Defence of Article 7 PILA	74
3.7.1 Principle.....	74
3.7.2 Applicability of the PILA or the NYC	75
3.7.3 Timeliness of the Arbitration Defence.....	76
3.7.4 Default of the Respondent.....	76
3.7.5 Jurisdiction of Swiss Court to Order Provisional Measures (Art. 10 PILA)	76
3.7.6 Setting Aside the Debtor's Opposition	77
3.7.7 Relation with Article II(3) NYC	77
3.7.8 <i>Prima Facie</i> Review by the State Court (Seat of the Arbitral Tribunal <i>inside of Switzerland</i>).....	77
3.7.9 Unfettered Powers of Review of the State Court (Seat of the Arbitral Tribunal <i>outside of Switzerland</i>)	79
3.7.10 Effect of the State Court's Decision on the Arbitral Tribunal	79
3.7.11 Individual Cases.....	80
3.8 Anti-Arbitration Injunction.....	81
Article 179	83
1 Parties' Agreement (1)	85
1.1 Notion of Arbitral Tribunal	85
1.2 Principle.....	85

Contents

1.3	Constitution of the Arbitral Tribunal and Jurisdiction	85
1.4	Arbitral Contract	85
1.5	Number of Arbitrators.....	85
1.6	Nomination of the Arbitrators in the Arbitration Clause	86
1.7	Duty to Disclose of the Arbitrators.....	86
1.8	Equal Treatment of the Parties in the Appointment of Arbitrators	86
1.9	Nationality of the Arbitrators	87
1.10	List of Arbitrators	87
1.11	Refusal of a Party to Nominate an Arbitrator.....	88
1.12	Reference to the ICC Arbitration Rules.....	88
1.13	Interpretation of the Parties' Agreement	89
1.14	Arbitrator as a Physical Person.....	89
1.15	Time Limit of the Office of the Arbitral Tribunal	89
1.16	Resignation and Replacement of the Arbitrator	90
1.16.1	Termination of the Arbitral Contract by the Arbitrator ..	90
1.16.2	Resignation for Valid Reasons	90
1.16.3	Resignation for No Valid Reasons	90
1.16.4	Jurisdiction to Decide on the Validity of the Reasons for Resignation	91
1.16.5	Acceptance by the ICC.....	91
1.16.6	No Stay of the Proceedings.....	91
1.16.7	Repetition of Previous Procedural Steps	91
1.16.8	Article 2(12) of the 1988 ICC Arbitration Rules	91
2	Application to the Court (2)	93
2.1	Principle.....	93
2.2	Agreement on the Appointing Authority	93
2.3	Refusal by the Appointing Authority.....	94
2.4	Application by Analogy of Cantonal Provisions.....	95
2.5	Powers of Examination of the Court.....	95
2.6	Arbitration Agreement without Indication of the Seat.....	96
2.7	Joinder of a New Party	97
2.8	Competent Cantonal Courts.....	97
3	Summary Examination of the Existence of an Arbitration Agreement (3)	99
3.1	Purpose and Scope of Application of Article 179(3).....	99

Contents

3.2	Summary Examination.....	100
3.3	Cantonal Remedies.....	102
3.4	Federal Remedies.....	103
3.4.1	No Remedy against the Positive Appointment Decision	103
3.4.2	Remedies against the Negative Appointment Decision	104
3.5	Remedies against the Appointment Decisions of Private Bodies	107
3.6	Relation with Article 186	108
Article 180		109
1	Grounds for Challenge (1).....	111
1.1	Failure to Meet the Requirements Agreed upon by the Parties (1a)	111
1.2	Grounds for Challenge in the Procedural Rules (1b)	111
1.3	Justifiable Doubts as to the Arbitrator's Independence (1c) 111	
1.3.1	Principle.....	111
1.3.2	Constitutional Requirements with Regard to Independence and Impartiality	112
1.3.3	Specificities of International Arbitration in General	114
1.3.4	Specificities of Sports Arbitration.....	115
1.3.5	Party-Appointed and Presiding Arbitrator.....	115
1.3.6	Circumstances Giving Rise to Justifiable Doubts	116
1.3.7	Duty to Disclose of the Arbitrator	118
1.3.8	Duty to Investigate of the Party	119
1.3.9	Settlement Negotiations.....	119
1.3.10	IBA Guidelines on Conflicts of Interest in International Arbitration.....	120
1.3.11	Decisive Moment for the Examination of the Independence	120
1.3.12	Independence and Impartiality of Experts	121
1.3.13	Individual Cases.....	121
2	Timeliness of the Challenge (2)	125
2.1	Immediate Communication.....	125
2.2	Continuation of the Arbitral Proceedings.....	127
3	Final Decision of the Court at the Arbitral Tribunal's Seat (3)	129
3.1	Competent Cantonal Courts.....	129
3.2	No Federal Motion to Set Aside	129
3.3	No Cantonal Motion to Set Aside	130

Contents

3.4	Setting Aside of the Final Award.....	130
3.5	Appointing Decisions of Private Bodies	131
3.6	Position of the Arbitrator in the Challenge Proceedings....	131
3.7	Jurisdiction before the Determination of the Arbitral Tribunal's Seat.....	131
3.8	Challenge of the Entire Arbitral Tribunal.....	132
3.9	Individual Cases.....	132
Article 181	133	
1	<i>Ad Hoc</i> Arbitral Tribunal with a Sole Arbitrator	134
2	Claims Related to Debt Enforcement Proceedings	134
Article 182	135	
1	Determination by Agreement of the Parties (1)	137
1.1	Direct Determination by the Parties	137
1.2	Reference to Arbitration Rules	137
1.3	Reference to Procedural Rules of a Statute	137
1.4	General Procedural Duties of the Arbitral Tribunal and the Parties	138
1.5	Modifications of the Prayers for Relief	138
1.6	Modifications of the Reasons for the Claim	138
2	Determination by the Arbitral Tribunal (2)	141
2.1	Completion of Contracts with Gaps	141
2.1.1	General Admissibility	141
2.1.2	Applicable Law	141
2.2	Stay of the Arbitral Proceedings	141
2.2.1	In General.....	141
2.2.2	In Particular: Pendency (Article 9 PILA)	143
2.2.3	Appeal to the Federal Supreme Court	144
2.3	Arbitrators' Fees	144
2.3.1	Principle.....	144
2.3.2	Amount.....	145
2.3.3	Delayed Payment of the Advance on Costs	145
2.3.4	Attachment of the Advance on Costs	146
2.4	Publicly Known Facts	147
3	Equal Treatment of the Parties and Right to Be Heard in Adversarial Proceedings (3).....	149

Contents

3.1	Generalities	149
3.2	Equal Treatment of the Parties.....	150
3.3	Right to Be Heard.....	151
3.3.1	Principle.....	151
3.3.2	Right to Submit Evidence	154
3.3.3	Right to Witnesses of Fact	156
3.3.4	Right to Expert Opinion.....	156
3.3.5	Right to Be Heard on Legal Issues	158
3.3.6	Anticipated Assessment of the Evidence.....	161
3.3.7	Duty to Examine the Relevant Issues.....	162
3.3.8	Duty to Ask Clarifying Questions	163
3.3.9	No Right to Oral Arguments.....	163
3.3.10	No Right to a Correct Award	163
3.3.11	No Mandatory Duty to Give Reasons.....	164
3.3.12	No Duty to Take Minutes of Oral Hearings	165
3.3.13	No Right to a Stay of the Proceedings	166
3.3.14	No Right to a Formal Decision on the Evidence.....	166
3.3.15	Timeliness of the Claim of Violation of the Right to be Heard	166
3.3.16	Waiver of the Right to Be Heard.....	168
3.4	Adversarial Proceedings	168
Article 183		171
1	Jurisdiction of the Arbitral Tribunal (1)	173
2	Enforcement of Measures (2).....	175
2.1	No Coercive Power of the Arbitral Tribunal.....	175
2.2	Competent Cantonal Courts.....	175
2.3	Relation with Article 10 PILA.....	175
3	Sureties (3).....	177
Article 184		179
1	Taking of Evidence by the Arbitral Tribunal (1).....	181
1.1	Generalities	181
1.2	Taking of Evidence and Stay of the Proceedings.....	181
2	State Judicial Assistance (2).....	183
2.1	Competent Cantonal Court	183
2.2	Individual Cases.....	183

Contents

Article 185	185	
1	Extension of the Arbitrator's Office	186
2	Appointment, Challenge and Replacement of an Arbitrator	186
3	Competent Cantonal Court	186
Article 186	187	
1	Own Competence (1)	189
1.1	Principle.....	189
1.2	Requirements for the Jurisdiction of the Arbitral Tribunal	189
1.3	Examination of the Requirements for Jurisdiction	190
1.3.1	Generalities.....	190
1.3.2	Arbitrability	190
1.3.3	Existence and Validity of the Arbitration Agreement....	190
1.3.4	Material Scope of Application of the Arbitration Agreement	191
1.3.5	Personal Scope of Application of the Arbitration Agreement	191
1.3.6	Parties' Capacity and Authority	192
1.4	<i>Ex Officio</i> Examination of Jurisdiction.....	192
1.4.1	Participating Parties.....	192
1.4.2	Defaulting Party	192
1.5	Doubly Relevant Facts	193
1.6	Binding Effect of the Decision on Jurisdiction of the Foreign State Court	193
1.7	Time Limit for the Filing of the Request for Arbitration	194
1.8	Lack of Jurisdiction and <i>Res Judicata</i>	194
1bis	Parallel Proceedings	195
2	Plea of Lack of Jurisdiction Prior to Pleadings on the Merits (2).....	197
2.1	Application of the Principle of Good Faith.....	197
2.2	Proceeding on the Merits without Reservation	197
2.3	Interpretation of the Plea of Lack of Jurisdiction	198
2.4	Timeliness of the Plea of Lack of Jurisdiction.....	198
2.5	Defaulting Party	199
3	Preliminary Award on Jurisdiction (3)	201
3.1	Principle.....	201

Contents

3.2	No Mandatory Character	201
3.3	Consequences of the Negative Interim Award on Jurisdiction 201	
3.4	Declaratory Action with Regard to Jurisdiction	201
3.5	Motion to Set Aside a Preliminary Award on Jurisdiction ..	202
Article 187		203
1	Law Applicable to the Merits (1)	205
1.1	Rules of Law Chosen by the Parties	205
1.2	Different Legal Grounds	205
1.3	Issues Not Determined by the Law Applicable to the Merits 205	
1.4	Interventionist Norms.....	206
1.4.1	No Application <i>Ex Officio</i>	206
1.4.2	Relation with Article 19 PILA.....	206
1.4.3	Article 81 Rome Treaty	206
1.4.4	Individual Case	206
2	Decision Ex Aequo et Bono (2).....	207
2.1	Decision in Equity.....	207
2.2	Decision in Equity Instead of According to the Rules of Law 207	
2.3	Individual Case	207
Article 188		209
1	Notion of Partial Award	210
2	<i>Res Judicata</i> Effect	211
3	Motion to Set Aside Partial Awards	212
Article 189		215
1	Parties' Agreement as to Procedure and Form (1)	216
1.1	Notion of Arbitral Award.....	216
1.2	Addendum	216
1.3	Correcting Award	216
1.4	Preliminary Decision of the Arbitral Tribunal for Dormant Accounts.....	218
2	Deliberations and Form of the Award (2).....	219

Contents

2.1	Deliberations	219
2.1.1	Importance	219
2.1.2	Form	219
2.1.3	Presence of All Arbitrators	219
2.1.4	Confidentiality	219
2.1.5	Refusal to Collaborate.....	220
2.2	Even Number of Arbitrators	220
2.3	Written Form	221
2.4	Indication of the Parties	221
2.5	No Mandatory Duty to Give Reasons.....	221
2.6	Signature of the Award	221
2.7	<i>Res Judicata</i> Effect	222
2.8	Dissenting Opinion	222
2.9	Absolute Nullity of the Award.....	223
Article 190	225	
1	Finality (1).....	227
1.1	Notion of Final Award	227
1.2	Award on Jurisdiction.....	229
1.3	Notification.....	230
2	Grounds for Setting Aside (2)	231
2.1	Exhaustive List	231
2.2	Hierarchy of the Grounds for Setting Aside	231
2.3	Limitation of the Possibilities for Setting Aside	232
2.4	No Setting Aside for Manifestly False Fact Findings.....	233
2.5	No Setting Aside for Arbitrariness or Clear Violations of Law or Equity	234
2.6	No Setting Aside for the Assessment of Evidence	235
2.7	No Setting Aside for the Interpretation of a Contract	236
2.8	No Setting Aside for the Interpretation of By-Laws	236
2.9	Correcting Award	236
2a	Incorrect Constitution of the Arbitral Tribunal (a)	239
2a.1	Principle.....	239
2a.2	Violation of Qualifications Agreed Upon by the Parties.....	239
2a.3	Timeliness of the Plea of Incorrect Constitution.....	240

Contents

2a.4	Flawed Deliberations	241
2a.5	Lack of Signature of the Award	241
2a.6	Relation with Decisions of the ICC	241
2a.7	Individual Cases.....	243
2b	Wrong Acceptance or Declination of Jurisdiction (b) .	245
2b.1	Principle.....	245
2b.2	Timeliness of the Plea of Wrongful Acceptance or Declination of Jurisdiction	246
2b.3	Tacit Waiver of the Right to Claim the Incorrect Constitution	247
2b.4	Modifications of the Reasons for the Claim	247
2b.5	Correcting Award	247
2b.6	Stay of the Arbitral Proceedings and Pendency.....	248
2b.7	Preliminary Conciliation or Mediation	248
2b.8	Jurisdiction and <i>Res Judicata</i> Defence	248
2b.9	Scope of Review	249
2b.9.1	Principle: Unfettered Powers of Review	249
2b.9.2	Restriction: Facts on the Basis of Jurisdiction.....	251
2b.9.3	Preliminary Issues on the Merits	253
2b.9.4	Application of Chapter 12	253
2b.9.5	Lack of Arbitrability	254
2b.9.6	Existence, Validity and Scope of Application of the Arbitration Agreement	254
2b.9.7	Personal Scope of Application	254
2b.9.8	Material Scope of Application	255
2b.9.9	Scope of Application with Respect to Time.....	255
2b.9.10	Doubly Relevant Facts	255
2b.9.11	Standing to Sue and Capacity to Be a Party.....	256
2b.10	Relation with Article 190(2)(c)	256
2b.11	Relation with Article 190(2)(e).....	256
2b.11.1	In General.....	256
2b.11.2	Competition Law	257
2b.12	Pseudo Arbitral Tribunal.....	258
2b.13	Effects of the Federal Supreme Court's Ruling on Jurisdiction	259
2c	Award Ultra or Extra Petita (c)	261
2c.1	Principle.....	261
2c.2	<i>Ultra or Extra Petita</i>	263

Contents

2c.3	Lack of Decision on Filed Prayers for Relief	263
2c.4	Interpretation of the Prayers for Relief.....	264
2c.5	Different Legal Grounds	265
2c.6	Modifications of the Reasons for the Claim	266
2c.7	Relation with Article 190(2)(b).....	266
2c.8	Relation with Article 190(2)(d).....	266
2c.9	Relation with Article 37(1) UNCITRAL Arbitration Rules ...	266
2c.10	Timeliness of the Plea of an Award <i>Ultra or Extra Petita</i> ..	266
2c.11	Individual Cases.....	267
2d	Violation of the Equal Treatment of the Parties or their Right to Be Heard in Adversarial Proceedings (d)	269
2d.1	Principle.....	269
2d.2	Violation of the Equal Treatment of the Parties	269
2d.3	Violation of the Right to Be Heard	269
2d.3.1	Principle.....	269
2d.3.2	Procedural Nature of the Right to be Heard	272
2d.3.3	Right to Submit Evidence	274
2d.3.4	Right to an Expert Opinion	274
2d.3.5	Anticipated Assessment of Evidence	275
2d.3.6	Flawed Deliberations	275
2d.3.7	No Mandatory Duty to Give Reasons.....	275
2d.3.8	No Duty to Take Minutes of Oral Hearings	277
2d.3.9	Manifest Inadherence	277
2d.3.10	No Right to a Stay of the Proceedings	278
2d.3.11	Violation of the ECHR.....	278
2d.4	Violation of the Principle of Adversarial Proceedings.....	279
2d.5	Timeliness of the Plea of Violation of the Equal Treatment and the Right to Be Heard in Adversarial Proceedings	279
2d.6	Relation with Article 190(2)(c)	280
2d.7	Relation with Article 190(2)(e).....	280
2d.8	Modifications of the Reasons for the Claim	281
2d.9	Individual Cases.....	281
2e	Violation of Public Policy (e)	285
2e.1	Purpose of Article 190(2)(e)	285
2e.2	Notion of Public Policy.....	285
2e.3	Violation of Fundamental Principles	286
2e.4	Supra-National System of Legal and Moral Values	287

Contents

2e.5	Substantive and Procedural Public Policy	289
2e.6	Violation by the Result of the Award	289
2e.7	Defensive Function	290
2e.8	Status of the Award Contrary to Public Policy.....	291
2e.9	Public Policy and Arbitrariness	291
2e.10	Relation with Article 190(2)(b).....	291
2e.11	Relation with Article 190(2)(d).....	291
2e.12	Relation with Article 19 PILA.....	291
2e.13	Substantive Public Policy.....	292
2e.13.1	Principle.....	292
2e.13.2	<i>Pacta Sunt Servanda</i>	293
2e.13.3	Privity of Contractual Rights	295
2e.13.4	Good Faith and Prohibition of Abuse of Rights	296
2e.13.5	Prohibition of Discriminatory and Spoliatory Measures	297
2e.13.6	Prohibition of Expropriation Without Compensation....	297
2e.13.7	No Violation Because of Manifestly Wrong Findings of Facts, Violations of the Applicable Law, Wrong Interpretations of Contracts and Arbitrary Assessment of Evidence	298
2e.13.8	Violation of the ECHR.....	299
2e.13.9	Violation of Article 27 CC.....	299
2e.13.10	Prohibition of <i>Reformatio in Peius</i>	299
2e.13.11	Contradictory Award	300
2e.13.12	Estoppel (<i>venire contra factum proprium</i>)	300
2e.13.13	Decision in Equity	301
2e.14	Procedural Public Policy.....	302
2e.14.1	Principle.....	302
2e.14.2	Relation with Article 190(2)(a)-(d)	302
2e.14.3	Defensive Function	303
2e.14.4	Timeliness of the Plea of Violation of Procedural Public Policy	303
2e.14.5	Violation of <i>res judicata</i>	303
2e.14.6	Violation of Procedural Rules	304
2e.14.7	Lack of Arbitrability	304
2e.14.8	Independence of Experts.....	305
2e.14.9	Presence of Witnesses at the Entire Hearing	305
2e.14.10	Modifications of the Prayers for Relief.....	305
2e.14.11	Modifications of the Reasons for the Claim	305
2e.14.12	Flawed Deliberations	306
2e.14.13	No Violation Because of Insufficient or No Reasons in the Award.....	306
2e.15	Individual Cases.....	306
2e.15.1	In General.....	306

Contents

2e.15.2 Competition Law	308
2e.15.3 Interpretation of Contract	308
2e.15.4 Interpretation of By-Laws.....	309
2e.15.5 Procedural Rules	309
2e.15.6 Evidence	309
2e.15.7 Costs.....	310
3 Motion to Set Aside Preliminary Awards (3)	313
3.1 Purpose and Interpretation of Article 190(3).....	313
3.2 Notion of Preliminary Award	314
3.3 Grounds for Setting Aside Preliminary Awards	315
3.4 Principle: No Setting Aside of Partial Awards <i>Lato Sensu</i> .	316
3.5 Exceptions	317
3.5.1 Incorrect Constitution of the Arbitral Tribunal ((2)(a))	317
3.5.2 Wrongful Acceptance or Declination of Jurisdiction ((2)(b))	318
3.5.3 No Possibility to File an Appeal at an Earlier Stage	318
3.5.4 Plurality of Claimants and/or Respondents.....	318
3.6 Continuation of the Proceedings after the Motion for Setting Aside	318
3.7 Powers of Review of the Federal Supreme Court	319
Article 191	321
1 Application of the FSCA.....	322
2 Appeal in Civil Matters	322
3 Appeal to the Federal Supreme Court.....	322
4 Interest of the Appellant.....	323
5 Formal Requirements.....	323
6 Time Limit for the Filing of the Appeal	324
6.1 Principle.....	324
6.2 Extension of the Time Limit	324
6.3 Re-Establishment of the Time Limit	324
6.4 Individual Cases.....	325
7 Minimal Amount in Dispute	325
8 Challenge of a Federal Judge	326

Contents

9	Object of the Appeal	326
10	Content of the Appeal	327
11	Substantiation of the Appeal.....	327
12	Award Based on Several Reasons	329
13	No New Facts or Legal Arguments	330
14	Scope of Review with Regard to Facts	330
15	Scope of Review with Regard to Law	331
16	Quashing Effect of the Appeal.....	331
16.1	Principle.....	331
16.2	Exception: Jurisdiction	332
16.3	Replacement of an Arbitrator.....	333
17	Suspensive Effect of the Appeal	333
17.1	With Regard to the Enforceability of the Award	333
17.2	With Regard to the Subsequent Proceedings.....	334
18	Second Exchange of Written Briefs	334
18.1	Exceptional Measure.....	334
18.2	No Subsequent Completion of the Motion to Set Aside	335
19	Comments by the Arbitral Tribunal	336
20	No Compensation for the Arbitrators	336
21	Security for Costs.....	336
22	Language of the Ruling	337
23	Translation of Documents	337
24	Representation	338
25	Publication of the Decision.....	338
26	Relationship with Article 29 ICC-Rules.....	341
27	Costs.....	341
28	Several Appeals	342
29	Cross-Appeal.....	342

Contents

30	Conditional Appeal	342
31	Appeal in Civil Matters and Revision	342
32	Revision	343
32.1	Admissibility	343
32.2	Application of the FSCA.....	343
32.3	Jurisdiction.....	343
32.4	Grounds for Revision	344
32.4.1	Relation between the former SOFJ and the FSCA.....	344
32.4.2	Decision Influenced By a Crime (Art. 123 (1) FSCA) ...	345
32.4.3	New Material Facts or Evidence (Art. 123(2)(a) FSCA)	346
32.5	Legal Interest Worthy of Protection	348
32.6	Ground for Revision and for Challenge of the Arbitrator/Setting Aside of the Award	348
32.7	Revision of a Decision of the Federal Supreme Court	349
32.8	Time Limit for the Filing of the Motion for Revision	350
32.9	Subject Matter and Burden of Proof.....	351
32.10	Effects of the Revision	351
32.11	No Revision of Expert Opinion.....	352
32.12	Costs.....	352
32.13	Individual Cases.....	352
33	Correction of the Award	353
33.1	Principle.....	353
33.2	Relationship with the Motion to Set Aside the Original Award	353
33.3	Setting Aside of the Correcting Award.....	354
34	Interpretation of the Award	355
34.1	Principle.....	355
34.2	Appeal against an Interpretation of the Award	355
35	Award Rendered under the Concordat	356
	Article 192	357
1	Prerequisites (1).....	359
1.1	Exceptional Character	359
1.2	<i>Ratio legis</i>	359

Contents

1.3	Express Statement	359
1.4	Reference to Article 28 ICC Arbitration Rules	361
1.5	Personal Scope of Application of the Waiver	362
1.6	Material Scope of Application of the Waiver	362
1.7	Waiver to File an Appeal and Lack of Jurisdiction.....	363
1.8	Specificities in Sports Arbitration.....	363
1.9	Compatibility with Public Policy	365
1.10	Compatibility with Article 6 ECHR	366
1.11	Mandatory Provisions of a Third State.....	366
1.12	Relationship with the Waiver to File an Appeal against a Judgment.....	366
1.13	Applicability to the Motion for Revision.....	367
1.14	Waiver Prior to the Entry Into Force of the PILA	367
1.15	Individual Cases.....	367
2	Application by Analogy of the NYC (2)	369
Article 193		371
1	Deposit of the Award (1)	373
2	Certification of Enforceability (2).....	375
2.1	Competent Authority	375
2.2	Applicable Law	375
2.3	Complaints and Defences	375
2.4	Effects	375
2.5	Powers of Review	376
2.6	Request by the Arbitral Tribunal.....	376
2.7	No Certification for Expert Determination	376
3	Certification of Conformity to the PILA (3)	377
Article 194		379
1	Relation to the PILA.....	380
2	Competent Authority	380
3	Powers of Review	380
4	Documents to Submit	381

Contents

5	Complaints and Defences	381
6	Special Proceedings for Declarations of Enforceability	382
7	Interpretation of the Award	382
8	Remedy Against a Decision on Recognition and Enforcement 382	
8.1	Appeal in Civil Matters	382
8.2	Exhaustion of the Cantonal Appeals Instances	383
8.3	Admissible Prayers for Relief.....	384
8.4	New Factual and Legal Allegations.....	384
8.5	Powers of Review of the Federal Supreme Court	384
Convention on the Recognition and Enforcement of Foreign Arbitral Awards		387
(New York, 1958).....		387
Article I.....		389
1	Scope of Application (1).....	389
1.1	Principle.....	389
1.2	«Arbitral Awards»	390
1.3	NYC and PILA	390
1.4	NYC and Lugano Convention.....	390
1.5	Priority over Cantonal Procedural Law	391
1.6	Distinction Between Recognition and Enforcement.....	391
1.7	No Retroactive Effect	391
1.8	Uncertain Seat of the Arbitral Tribunal	391
2	Specific and Permanent Arbitral Bodies (2)	393
3	Limitations of the Scope of Application (3)	395
Article II		397
1	Arbitration Agreement (1)	397
1.1	Examination of the Validity.....	397
1.2	Law Applicable to the Validity	397
1.3	Autonomy	398
1.4	Interpretation of Unclear Dispute Resolution Clauses	398

Contents

1.5	Power of Attorney of the Signatory of the Arbitration Agreement.....	399
1.6	Participation of Parties not Bound by the Arbitration Agreement.....	399
1.7	Simulated Arbitration Agreement	399
1.8	Own Competence of the Arbitral Tribunal	400
2	«Agreement in Writing» (2)	401
2.1	Arbitration Clause and Arbitration Agreement	401
2.2	Relation with the UNCITRAL Model Law	401
2.3	Relation with Swiss Law	401
2.5	Formal Requirements	402
2.5.1	State-of-the-Art of the Means of Communication.....	402
2.5.2	Exchange of Written Declarations	404
2.5.3	Arbitration Clause in a Document and in an Exchange of Letters.....	405
2.5.4	Individual Cases.....	405
2.6	Arbitration Agreement by Reference	407
2.6.1	Principle.....	407
2.6.2	Individual Cases.....	408
2.7	Subsequent Arbitration Agreement.....	410
3	Arbitration Defence (3)	411
3.1	Relation with Article 7 PILA	411
3.2	Scope of Application of Article II(3) NYC	411
3.2.1	Seat of the Arbitral Tribunal Abroad.....	411
3.2.2	Seat of the Arbitral Tribunal in Switzerland.....	411
3.2.3	Arbitration Clause without a Clear Indication of the Seat 411	
3.2.4	Relation with Other International Treaties	411
3.3	Exclusion of the State Courts' Jurisdiction	412
3.4	Procedural Aspects	412
3.4.1	Powers of Review of the State Court.....	412
3.4.2	Applicable Procedural Rules	413
3.4.3	Moment at Which the Arbitration Defence Must Be Raised 413	
3.5	Declaratory Action for Jurisdiction	413
	Article III.....	415
	Article IV.....	417

Contents

1	Documents to Supply (1)	417
1.1	Purpose and Interpretation of Article IV(1) NYC	417
1.2	«Agreement» (b)	418
1.3	Agreement (b) as Prerequisite for Further Examination ...	418
1.4	Burden of Proof.....	418
1.5	Individual Cases.....	419
2	Translation (2).....	421
2.1	Purpose of Article IV(2) NYC.....	421
2.2	No Replacement of the Arbitration Agreement	421
2.3	Translation Upon Request	421
2.4	Individual Cases.....	421
	Article V	423
1	Grounds for Refusal (1)	425
1.1	Exhaustive List	425
1.2	Upon Request (1) or <i>Ex Officio</i> (2)	425
1a	Incapacity of the Parties and Invalidity of the Arbitration Agreement ((1)(a))	426
1b	Inability of a Party to Present its Case ((1)(b))	426
1b.1	Principle.....	426
1b.2	Proper Notice of the Appointment of the Arbitrator	426
1b.3	Tribunal Appointed by a Professional Association.....	426
1b.4	Violation of the Right to Be Heard	426
1b.4.1	Principle.....	427
1b.4.2	Right to an Expert Opinion	427
1b.4.3	Right to Be Heard on Legal Issues	427
1b.5	Violation of the Principle of Adversarial Proceedings.....	427
1b.6	Individual Cases.....	428
1c	Award Ultra or Extra Petita ((1)(c))	428
1d	Incorrect Composition of the Arbitral Tribunal or Incorrect Arbitral Procedure ((1)(d))	428
1d.1	Incorrect Composition of the Arbitral Tribunal	428
1d.2	Incorrect Arbitral Procedure.....	428
1d.2.1	Party Autonomy	428

Contents

1d.2.2	Limits of Party Autonomy	429
1d.3	Bifurcation of the Arbitral Proceedings	429
1e	Inexistence of a Binding Award (1(e)).....	430
1e.1	«Binding» Award.....	430
1e.1.1	Principle.....	430
1e.1.2	Applicable Law	430
1e.1.3	Motion to Set Aside	430
1e.1.4	Party Autonomy	430
1e.1.5	Burden of Proof.....	431
1e.2	No Double <i>Exequatur</i>	431
1e.2.1	Principle.....	431
1e.2.2	Individual Cases.....	431
1e.3	Suspension.....	432
1e.3.1	Principle.....	432
1e.3.2	Individual Cases.....	432
1e.4	Burden of Proof.....	432
2	Other Grounds for Refusal (2).....	435
2a	Lack of Arbitrability (2)(a).....	435
2b	Violation of Public Policy (2)(b).....	435
2b.1	Notion of Public Policy.....	435
2b.2	Subsidiarity of the Grounds for Refusal of Article V(2) NYC	436
2b.3	No New Examination of the Merits	437
2b.4	Independence and Impartiality of the Arbitral Tribunal....	437
2b.5	Equal Treatment of the Parties.....	438
2b.6	Right to Be Heard.....	439
2b.7	Absence of Judicial Control of the Award	439
2b.8	Party Autonomy	439
2b.9	Individual Cases.....	439
Article VI.....	443	
Article VII	445	
1	No Effect on the Validity of Other International Treaties (1)	445
1.1	Principle.....	445

Contents

1.2	Purpose: <i>In Favorem Validitatis</i>	445
1.3	NYC and the Treaty between Switzerland and France of 1869	446
2	Replacement of the Geneva Protocol of 1923 and the Geneva Convention of 1927 (2)	447
	Article VIII.....	449
	Article IX.....	451
	Article X	453
	Article XI.....	455
	Article XII	457
	Article XIII.....	459
	Article XIV.....	461
	Article XV	463
	Article XVI.....	465
	Annexes	467
1	Federal Decisions.....	467
2	Cantonal Decisions.....	489
3	Decisions of the European Human Rights Commission	501
4	Glossary	503
5	Index	515