

Contents

1 Introduction	1
1.1 General	1
1.2 Aims, Outline and Scope	3
1.2.1 General	3
1.2.2 Aims	4
1.2.3 Background Justification	5
1.2.4 Research Purpose	6
1.2.5 General Outline	6
1.2.6 Detailed Outline	7
1.3 Arbitration, as Opposed to Other Means of Alternative Dispute Resolution, and Confidentiality Within It	8
2 The History, Importance and Modern Use of Arbitration	11
2.1 The History of Arbitration	11
2.1.1 England	11
2.1.2 USA	13
2.1.3 France	14
2.1.4 Germany	14
2.2 The Importance and Modern Use of Arbitration	15
2.2.1 The Eminence of Arbitration Over Other Means of Alternative Dispute Resolution	15
2.3 Tentative Observations	17
3 Problems and Questions Encountered in Relation to Confidentiality in Arbitration	19
3.1 The Main Problems and Questions on Confidentiality in Arbitration	19
3.1.1 General	19

3.1.2	The Advantages and Disadvantages of Arbitration as Opposed to State Court Litigation and the Interplay with Confidentiality	20
3.2	Factors and Standards Affecting the Level of Protection of the Duty of Confidentiality in Arbitration	24
3.2.1	The Distinction Between Privacy and Confidentiality in Arbitration as Opposed to State Court Proceedings	24
3.2.2	The Judicial Attitude	27
3.2.3	The Scope and Limits for the Observance of the Duty to Confidentiality in Arbitration	29
3.2.4	Confidentiality and Its Correlation with the European: Global Context of Arbitration	35
3.3	The Way Forward?	35
4	The Present Status of Confidentiality in International Commercial Arbitration in the Various Jurisdictions	37
4.1	Setting the Scene	37
4.1.1	General Observations on Confidentiality in International Commercial Arbitration	37
4.1.2	Arbitration and Human Rights	41
4.1.3	Legal Privilege, Arbitration and the Issue of Confidentiality	50
4.1.4	The Legal Nature of Confidentiality in Arbitration	53
4.2	The Legal Framework of Arbitration and the Position in Relation to Confidentiality in the Various Jurisdictions	57
4.2.1	England	57
4.2.2	USA	59
4.2.3	France	62
4.2.4	Germany	64
4.3	The Case Law on Confidentiality in the Various Jurisdictions	67
4.3.1	General	67
4.3.2	Confidentiality in Arbitration Proceedings in Relation to the Proceedings Themselves	68
4.3.3	Confidentiality in Arbitration Proceedings in Relation to Discovery (Disclosure) of Documents and Other Evidence During the Arbitral Process	77
4.3.4	Confidentiality in Arbitration Proceedings in Relation to the Award	101
4.4	The Treatment of Confidentiality by ICC Rules	121
4.5	Conclusions	122
5	Critical Analysis, Overall Assessment and Discussion	127
5.1	Overall Analysis of Arbitration and Confidentiality Within It	127

5.1.1	Critical Assessment and Analysis of the Purpose of Arbitration and Its Interplay with Confidentiality	127
5.2	Critical Analysis on the Basis of the Examined Case Law in the Chosen Jurisdictions	129
5.2.1	The Current Position	129
5.2.2	Critical Assessment, Analysis and Justification of the Interplay of Arbitration and Confidentiality	133
5.2.3	Critical Assessment, Analysis and Justification of the Desired Level of Confidentiality to Be Preserved	136
5.2.4	Possible Solutions as to the Way Forward	137
5.2.5	Tentative Conclusion	143
6	Transnational Law and Arbitration	145
6.1	The Need for Transnational Law	145
6.1.1	In Relation to International Commercial Law	145
6.1.2	In Relation to Arbitration	147
6.2	Transnational Law and Arbitration	148
6.2.1	Public and Mandatory Rules Functioning as Transnational Law Applied to Arbitration	148
6.2.2	Arbitral Case Law, International Legal Instruments and National Laws Functioning as Transnational Law Applied to Arbitration	150
6.3	Transnational Arbitral Law and Its Interplay with Confidentiality	151
6.4	The Notion of a Uniform Arbitral Law	153
7	Towards a Uniform Arbitration Law?	155
7.1	The Uniformity Debate	155
7.1.1	The Process of Internationalisation of Arbitration: A Newly Emerging <i>Lex Mercatoria</i>	155
7.1.2	The Debate Over the Emerging New <i>Lex Mercatoria</i>	158
7.2	A Uniform Law?	158
7.3	A Uniform Rule on Confidentiality in Arbitration	159
8	Conclusions	161
8.1	A General Critique	161
8.1.1	An Overview	161
8.1.2	Tentative Conclusions	165
8.2	Ways to Safeguard Confidentiality	166
8.3	Policy Means and Considerations	167
8.3.1	Contractual Creation?	167
8.3.2	Incorporation Through Institutional Arbitration Rules	168
8.3.3	Legislative Regulations	168

8.3.4 Considerations with Regards to the Publication and Enforcement of Awards	169
8.4 Arguments Against Confidentiality	170
8.5 Other Relevant Factors: Legal Cultures and Traditions	171
8.6 Future Prospects and Suggested Routes	177
8.7 A Final Thought	179
Bibliography	183
Table of Cases	191
Table of Statutes	197
Index	199