

Contents

1	Introduction	1
1.1	Collective Redress and Cross-Border Mass Disputes	1
1.2	Parameters of This Book	4
1.3	Book Structure	8
1.4	Typologies/Classifications of Collective Redress Mechanisms in the EU	9
1.4.1	Public Law Mechanisms and Private Law Mechanisms	9
1.4.2	Aggregate Litigation and Representative Litigation	11
1.5	Goals of Collective Redress Mechanisms	14
1.5.1	Introduction	14
1.5.2	Efficient Legal Protection	15
1.5.3	Effective Legal Protection	17
1.5.4	Reduction of the Administrative Burden on the Judiciary	17
1.6	Goals of the Brussels Regulation	18
1.6.1	Introduction	18
1.6.2	Free Movement of Judgments	19
1.6.3	Rights of the Defence	19
1.6.4	Legal Certainty	20
1.6.5	Resolving a Dispute Before an Appropriate Court	21
	References	22
 Part I Collective Redress Mechanisms in the EU		
2	German KapMuG Procedure	27
2.1	Introduction	27
2.2	Deutsche Telekom and KapMuG History	29
2.3	How a KapMuG Procedure Is Initiated	31
2.4	What Plaintiffs Can Achieve Through a KapMuG Procedure	33

2.5	Recent Experience with the Act, and Future Developments	33
	References.	34
3	Dutch Collective Action.	35
3.1	Introduction	35
3.2	History of Collective Action.	36
3.3	Parties That Can Bring a Collective Action?	37
3.4	Criteria for Bringing a Collective Action	38
3.5	The Result of Bringing a Collective Action	39
3.6	Recent Experience with Collective Actions	41
3.7	Future Developments	42
	References.	44
4	Dutch WCAM Procedure	47
4.1	Collective Settlement History	47
4.2	The Conditions for Arranging a WCAM Settlement.	48
4.3	What Can Eventually Be Achieved with a WCAM Settlement	50
4.4	WCAM Case Law	50
	4.4.1 Dexia Case	51
	4.4.2 Vedior Case.	52
	4.4.3 Shell Case	52
	4.4.4 Converium Case	54
4.5	Current and Future Developments	56
	4.5.1 Amendments to the WCAM	56
	4.5.2 Preliminary Questions Supreme Court.	57
	References.	59
 Part II Jurisdiction in Cross-Border Mass Disputes		
5	Jurisdiction and the KapMuG	63
5.1	Introduction	66
5.2	Submission	67
5.3	Jurisdiction in Consumer-Related Matters.	69
	5.3.1 Application of Chapter II, Section 4 Brussels I-Bis.	69
	5.3.2 Jurisdiction in KapMuG Procedure Relating to Financial Products.	72
5.4	Choice of Forum Agreement	73
	5.4.1 Choice of Forum Agreement in Consumer-Related Matters	74
	5.4.2 Choice of Forum Agreement in Non-Consumer-Related Matters.	78
	5.4.3 Conclusion	82
5.5	General Provision	83

Contents	xi	
5.6	Jurisdiction in Contractual Matters	84
5.6.1	Various Places of Performance	86
5.7	Jurisdiction in Tortious Matters	87
5.7.1	Place Where the Harmful Event Occurred or May Occur	88
5.8	Effect of Grounds of Jurisdiction on the Goals of Collective Redress	92
5.8.1	Effective Legal Protection	92
5.8.2	Efficient Legal Protection	95
5.8.3	Administrative Burden of the Judiciary	97
	References.	99
6	Jurisdiction and the Dutch Collective Action	101
6.1	Introduction	101
6.2	Submission Rule.	103
6.3	Jurisdiction in Consumer-Related Matters.	104
6.4	Choice of Forum Agreement	105
6.4.1	Mass Dispute Relating to a Financial Product.	106
6.4.2	Securities Mass Dispute.	109
6.5	General Provision	110
6.6	Jurisdiction in Contractual Matters	110
6.7	Jurisdiction in Tortious Matters	112
6.8	Effect of Grounds of Jurisdiction on the Goals of Collective Redress	114
6.8.1	Effective Legal Protection	114
6.8.2	Efficient Legal Protection	116
6.8.3	Administrative Burden of the Judiciary	117
6.9	Conclusions	118
	References.	118
7	Jurisdiction and the WCAM	119
7.1	Introduction	119
7.2	Procedural Role of Parties and Applicability of the Brussels Regulation	121
7.3	Submission Rule.	123
7.4	Jurisdiction in Consumer-Related Matters.	125
7.5	Choice of Forum Agreement	126
7.5.1	Choice of Forum Agreement Between the Victims and the Perpetrator	127
7.5.2	Choice of Forum Agreement as Part of the Settlement Agreement.	128
7.6	General Provision and Co-Defendants	129
7.6.1	Co-Defendants Pursuant to Article 8(1) Brussels I-Bis	133

7.7	Jurisdiction in Contractual Matters	134
7.8	Jurisdiction in Tortious Matters	137
7.9	Effect of Ground of Jurisdiction on the Goals of Collective Redress	137
7.9.1	Effective Legal Protection and Finality	138
7.9.2	Efficient Legal Protection	139
7.9.3	Administrative Burden of the Judiciary	141
7.9.4	Conclusion	141
	References	142
8	Parallel Proceedings	145
8.1	Introduction	145
8.2	Lis Pendens	146
8.2.1	Requirements	146
8.2.2	Application of Lis Pendens Rule to Collective Redress Mechanisms	147
8.3	Related Actions	150
8.3.1	Requirements	150
8.3.2	Application of Related Actions Rule to Collective Redress Mechanisms	151
8.4	Conclusions	154
8.5	Parallel Proceedings and Collective Redress Goals	154
	References	157
 Part III Recognition and Enforcement of Foreign Collective Redress Judgments		
9	Goals of the Brussels Regulation Regarding Jurisdiction	159
9.1	Interim Conclusions Regarding Jurisdiction	159
9.2	Goals of the Brussels Regulation	160
9.2.1	Legal Certainty	160
9.2.2	Most Appropriate Court	163
9.2.3	Preliminary Conclusions	165
	Reference	166
10	Recognition and Enforcement of KapMuG Judgments	169
10.1	Introduction	171
10.2	‘Judgment’ or Court Settlement?	172
10.3	Non-Recognition and Non-Enforcement of a KapMuG Judgment	174
10.3.1	Public Policy	175
10.3.2	Defaulting Defendant	177
10.3.3	Irreconcilable Judgment	178

10.3.4	Conflict with a Judgment Given in Another Member State	180
10.3.5	Summary	181
10.4	Goals of Collective Redress	182
	References.	183
11	Recognition and Enforcement in Relation to a Collective Action Procedure.	185
11.1	Introduction	185
11.2	Cross-Border Effect on Third Parties	186
11.3	Enforcement in a Collective Action Procedure	189
11.4	Non-Recognition and Non-Enforcement in a Collective Action Procedure	189
11.4.1	Defaulting Defendant.	190
11.4.2	Public Policy.	191
11.4.3	Irreconcilable Judgment.	192
11.4.4	Conflict with Judgment Given in Another Member State	193
11.4.5	Summary	194
11.5	Goals of Collective Redress	195
	References.	197
12	Recognition and Enforcement of a WCAM Judgment	199
12.1	Introduction	199
12.2	‘Judgment’ or Court Settlement	200
12.3	Enforcement of a WCAM Judgment.	203
12.4	Non-Recognition and Non-Enforcement of a WCAM Judgment	203
12.5	Defaulting Defendant	203
12.5.1	Public Policy.	205
12.5.2	Irreconcilable Judgment.	209
12.5.3	Conflict with Judgment Given in Another Member State	209
12.5.4	Summary	210
12.6	Goals of Collective Redress	211
	References.	212
13	Goals of the Brussels Regulation Regarding Recognition and Enforcement.	213
13.1	Interim Conclusions Regarding Recognition and Enforcement.	213
13.2	Goals of the Brussels Regulation	214

Part IV Making Cross-Border Collective Redress Possible

14 Summary	221
14.1 Typologies of Collective Redress Mechanisms	221
14.2 Application of the Rules on Jurisdiction	223
14.2.1 KapMuG Procedure	223
14.2.2 Dutch Collective Action	225
14.2.3 WCAM Procedure	226
14.2.4 Lis Pendens Rule	226
14.3 Application of the Rules of Recognition and Enforcement of Foreign Judgments	227
14.3.1 KapMuG Procedure	227
14.3.2 Collective Action	228
14.3.3 WCAM Procedure	228
14.4 Principles of Collective Redress and the Brussels Regulation	229
14.4.1 Principles of Collective Redress	230
14.4.2 Goals of the Brussels Regulation	233
14.5 Applicability of Brussels Regulation and Recommendations	235
Reference	239
15 Relevant Developments and Possible Future Research	241
15.1 Introduction	241
15.2 Consultation ‘Towards a Coherent Approach to Collective Redress’	242
15.3 Recommendation ‘Towards a European Horizontal Framework for Collective Redress’	244
15.4 IBA Guidelines	246
15.5 Insolvency Regulation	246
15.6 Alternative Solutions and Possible Future Research	248
References	251
Bibliography	253
Case Law	261
Curriculum Vitae	265
Index	267