List of abbreviations					
[ntr	oduction	1	29		
§ 1		m identification and delimitation	30		
		e concept of hybrid arbitration clauses cedure shopping - Reasons for hybrid arbitration	31		
		ises	32		
	C. The	e Insigma v. Alstom case	35		
		ner hybrid arbitration cases	37		
		cent developments in institutional arbitration	39		
§2	State of	f discussion	43		
§3	Structu	re and research approach	48		
Cha	pter 1: F	Party autonomy and the legislative framework	56		
§4	Party a	utonomy to agree on hybrid arbitration under the law	57		
,		portance of party autonomy in international			
	arb	itration	57		
	I.	An interplay of contract and private			
		international law	58		
	II.	Party autonomy in international arbitration			
		conventions	59		
	III.	Recognition of party autonomy by national			
		arbitration laws	60		
		Reasons for the supremacy of party autonomy	63		
		nits to party autonomy and applicable laws	65		
	I.	Law of arbitration: the seat principle	68		
		1. Choosing a place of arbitration	69		
		2. Place of arbitration, place of hearing, seat of the	71		
		institution	71		
		3. Application of arbitration laws of states other than the seat?	74		
	II.		74 75		
	11.	Laws affecting the arbitration agreement 1. The search for conflict of laws rules for validity	13		
		issues	77		
		100440	, ,		

9



			2. Initial considerations: substance v. proced3. Law of the arbitration agreement beyond t	
			arbitri 4. Law applicable to the operability of the ar	81
			agreement	83
	C	Limi	its to party autonomy in arbitration laws	86
	О.	I.	Mandatory arbitration law - an overview	87
		II.	In particular: mandatory arbitration law again	
			arbitration?	90
			1. No general due process concerns	90
			2. The skeletal legislation on institutional art	oitration 91
			a. Stipulations in international convention	ns 92
			b. Rarity of national legislation on institu	
			arbitration	97
			c. The quasi-regulative force of institutio	
	_		practice	104
	D.		evant limits to party autonomy outside	100
۰.	ъ.		tration laws	106
§5			rules and party autonomy	107
			es of arbitration rules	108 110
	Б.	Lega I.	al status and regime of arbitration rules Lacking legislative or regulatory power of ar	
		1.	institutions	112
		II.	Arbitration rules as standard terms of the arb	
		11.	agreement?	114
		III.	Law applicable to arbitration rules	115
	C.		law and arbitrator discretion	116
			rplay of institutional and arbitral discretion an	
			nomy	119
§6	Ну	brid a	arbitration from a normative perspective	122
			itral procedure and the hierarchy of norms	122
	В.	Vali	dity of hybrid arbitration agreements in princi	iple 124
Cha	ıpter	· 2: Q	qualifying hybrid arbitration (agreements)	126
§7	Ca	tegor	isation of hybrid arbitration as institutional	126
-			orid arbitration as a problem of defining institu	tional
			tration	127
		I.	Rejection of definitions based on the constitu	ition of
			the tribunal	128
		II.	Rejection of definitions focussing on the	
			applicable rules	129

III	. Preference for definitions based on institutional	
	involvement	129
IV	. Degree of involvement of arbitral institutions	131
B. Ac	dvantages and disadvantages of institutional	
	pitration	134
I.	Objective advantages	135
II.	Subjective advantages	136
III	. Objective, possible and perceived disadvantages	139
	1. Cost	139
	2. Bureaucracy	140
	3. Intransparency and lack of control	142
IV	. Shopping for advantages with hybrid arbitration	
	agreements?	145
C. Re	eality of intermediate forms of arbitration	146
I.	Institutions acting as appointing authority	147
II.		147
III	. Semi-institutional arbitration, e.g. Hamburg Friendly	
	Arbitration	150
IV	. »Wildcat arbitration« - ad hoc arbitration under	
	institutional rules	151
	1. Articles 1 (2) and 6 (2) of the ICC Rules &	
	ad hoc cases	152
	2. The Bovis Lend v. Jay-Tech case	154
V.		156
	bridity of arbitration administered under another	
	stitution's rules	157
	ication of hybrid arbitration agreements as pathological	157
A. Es	sentialia and optional elements of an arbitration	
_	reement	158
	e principle of effective interpretation and its limits	161
	se study: Pathological institutional arbitration	
ag	reements	163
I.	Initial pathology: Drafting defects in the parties'	
	sphere	163
	1. Ambiguous references to one or more institutions	164
	a. BGH judgment of 2 December 1982	166
	b. Lovelock v. Exportles - a decision of the	
	English Court of Appeals	170
	c. Cour de Cassation, decisions of	
	20 February 2007 and 4 June 2009	172
	2. Hybrid arbitration a solution to ambiguity?	174
	a. The case HKL v. Rizq	174

§8

		b. Critical comments of the decision	175
		3. Distinction between deliberately hybrid &	
		ambiguous clauses	177
		a. HCCI Court award of 18 April 2000	178
		b. The »ICC 500« case	181
	II.	Subsequent pathology: obstacles in the institution's	
		sphere	184
		1. Retrospective: Dissolution of the GDR's chamber	
		of foreign trade	185
		a. BGH decision of 20 January 1994	186
		b. Evaluation and relevance for modern	
		arbitration law	187
		2. A current issue: The CIETAC split	190
		a. The background of the creation of SHIAC	
		and SCIA	190
		b. Problems with »old« Shanghai or Shenzhen	
		arbitration clauses	193
		c. Some local Chinese jurisprudence on the	
		CIETAC split	195
		d. The SPC's 2013 notice on the CIETAC split	198
		e. Further guidance from the SPC:	
		the 2015 reply	199
		f. Evaluation	200
		3. Hybrid arbitration as a solution to subsequent	
		pathology?	202
	III.	Are hybrid arbitration clauses initially or	
		subsequently pathological?	203
§9	The qua	alification's consequences: inadvisability and	
_	possible	e cure	207
	•		
Cha	pter 3: C	Opting-out aspect - derogation from institutional rules	209
010	Ŧ .**		200
§10		ons' flexibility in relation to their rules	209
		itutional attitudes towards rule modifications:	210
		se study	210
	I.	An example for the ICC's position: The Qimonda	210
	**	arbitration	210
	II.	1 1	211
	III.	11 1	212
	IV.	~ <u>*</u>	212
		Lumber Arbitrations	213

		V.	A recall of the »ICC 500« case to indicate the	
			AAA-ICDR's position	215
		VI.		215
			The approach of one Swiss cantonal chamber of	
		, 11.	commerce	216
	R	A fo	cus on essential (»mandatory«) institutional rules	218
	Δ.	I.	Essential ICC Rules	219
		II.	Essential SIAC Rules	220
			Essential CIETAC Rules	222
			Essential LCIA Rules	224
		1 7 .	1. Party autonomy under article 14 of the LCIA	22 1
			Rules (1998)	224
			2. Revisions introduced by the LCIA Rules (2014)	225
			3. General restrictions to modify powers of	
			the institution	225
		V.	Essential AAA-ICDR Rules	227
			Essential DIS Rules	228
			Essential Swiss Rules	229
	C.		trolling or lenient: negotiability of institutional	
	-		ices and rules	231
§11	Th	e inst	itution's right to refuse the administration of a case	232
0			luty of the institution to conclude a contract with	
			parties	233
		I.	Nature and content of the Administration Contract	235
		II.	Law applicable to the Administration Contract	236
			1. Law of the seat of the institution	237
			2. Law applicable to the arbitration agreement	238
			3. Law of the place of arbitration	239
			4. Own view and determination of the administering	
			institution's »seat«	240
		III.	Contract formation theories	243
			1. Theory 1 - parties accept the institution's offer ad	
			incertas personas	244
			2. Theory 2 - request for arbitration as offer accepted	
			by the institution	245
			3. Theory 3 - contract only concluded with the	
			respondent's answer	247
		IV.	Conclusions for requests for arbitration under	
			different rules	247
	В.	Prac	tice test: refusal to administer as contract	
			ination	251

		I.	Problem: Timing and communication of the	
			institution's refusal	251
		II.	Solution: Flexible contract with a both-sided	
			termination right	252
			1. Arguments for a right to terminate the	
			Administration Contract	253
			2. Limit to the right to termination	254
			3. Contractual termination & jurisdictional decision	
			of the institution	255
		III.	Support of the solution: hybrid arbitration and	
			the »battle of forms«	255
			1. The »battle« of institutional rules	255
			2. Solutions discussed for »battle of forms«	
			problems	257
			3. Appeasing the battle of institutional rules	260
		IV.	The institution's restricted right to disregard rule	
			derogations	263
	C.	Effe	ect on the arbitration agreement	264
		I.	Overview of the République of Guinée cases	264
			1. The factual background	264
			2. The decisions of the TGI, Paris	265
			3. Partial annulment of the decisions by the	
			CA, Paris	265
		II.	Evaluation of the CA's ruling	266
		III.	Fate of the arbitration agreement: reconsidering the	
			TGI's decisions	268
§12	Ну	brid	arbitration agreements and autonomy of the	
	ins	tituti	on	269
Cha	pter	· 4: O	pting-in aspect - applying another institution's rules	271
012	TC1	,	12. 0.1.1.1.1.1.1.1.1.1.1.1.1.1.1.1.1.1.1.	272
§13			ality of administering hybrid arbitrations	272
	A.		itutional rules and copyright of the issuing institution	273
		I.	Copyrightability of arbitration rules	275
			1. The originality/creativity threshold	276
			2. Arbitration rules as works in the public domain?	284
		II.	Hybrid arbitration as infringement?	• • • •
			- the idea/expression dichotomy	288
			1. A parallel: copyright infringement of game rules	201
			and show formats?	291
			2. Exceptional protection of the content and integrity	
			of a work	293

			3. Application to the use of another institution's	
			arbitration rules	295
		III.	Jurisdiction and applicable law problems:	
			a hypothetical example case	297
			1. Jurisdictional considerations	298
			2. Conflict of laws analysis	301
	В.	Hyb	orid arbitration and trademark protection	304
		I.	Trademark mentioning v.trademark infringement	304
		II.	Dilution without confusion?	306
		III.	Excursus: The CIETAC split as a potential	
			trademark issue	308
	C.		ninistering hybrid arbitrations as unfair	
		com	petition?	310
		I.	The problem to identify common principles among	
			jurisdictions	311
		II.	Applicability of unfair competition law to arbitral	
			institutions	313
			1. Unfair competition in the non-profit sector	314
			2. The market for administering arbitral	
			proceedings	315
			3. Relationship between unfair competition law and	
			IP law	317
		III.	Unfair competition concepts possibly applicable to	
			hybrid arbitration	321
			1. The concept of exploitation or	
			tarnishment of reputation	322
			2. »Parasitisme« - a concept of exploitation of	
			efforts	324
			3. Common law: Passing off and misappropriation	327
			4. A glance at Chinese unfair competition law	329
			5. The tort of undue interference with	
			contractual relations	331
		IV.	Jurisdiction and applicable law: three hypothetical	
			situations	333
			1. Relevance of the market place for jurisdiction?	334
			2. Qualification of the reproached conduct and	
			localisation of the market	336
	D.		cluding reflections on the economics of exclusive	
			tutional rules	340
§14			sibility of administering hybrid arbitrations	344
	A.		test: applying substitution theory to a conflict of	
		arbit	tration rules	344

	I.	A contract perspective: general contract	
		interpretation rules	345
	II.	A rule perspective: introduction to substitution and	
		adaptation theories	346
	III.	Parameter of equivalence: the applicable	
		rule's purpose	351
		1. The functional equivalence test	352
		2. Equivalence of actors or acts?	353
	IV.	Art. 1 (2) of the ICC Rules - per se an exclusion of	
		substitution?	354
B.	Rule	s referring to the arbitral institution and their purpose	355
	I.	Commencement of the proceedings	357
	II.	Institutional decision on jurisdiction	361
		1. Distinction: review of filing requirements and	
		contractual acceptance	362
		2. Rules on institutional decisions on jurisdiction	
		and their scope	363
	III.	Constitution of the arbitral tribunal	366
		1. Institutional determination of the number	
		of arbitrators	367
		2. Appointment upon agreed or unopposed	
		party nomination	368
		3. Confirmation of a co-arbitrator nominated by	
		one party alone	371
		4. Institutional selection of a co-arbitrator for a	
		defaulting party	372
		5. Default rules for the designation of the	
		chairperson	375
		6. Institutional selection of a sole arbitrator or	
		chairperson	377
	IV.	Challenge and replacement of arbitrators	378
	V.	Institutional control of the proceedings after the	
		tribunal is constituted	381
	VI.	Institutional influence on the award	384
	VII.	Financial control	386
C.	Gen	eral comparison of actors of different arbitral	
	tituti		388
	I.	The secretariats	388
	II.	Multi-person bodies	391
		1. Comparison of the ICC, LCIA, SIAC and	
		SCCAM	392

			2. Th	ne »Arbitration Court(s)«» under	
				ETAC Rules (2015)	394
				her, multi-person bodies	395
		III.		iduals: President, Chairman, Registrar,	
				etary General	397
		IV.		padministrator« under AAA-ICDR Rules	398
	D.			n of the rules to the administering	
	٥.			s system	399
815	Imi			hybrid arbitration: an institutional	
310		rspec		ny ona aronamon an monamonar	400
	P	.sp			
Cha	pter	5: H	ybrid 2	Arbitration Clauses Before State Courts	402
816	En	forci	ng &. cl	hallenging hybrid arbitration agreements	402
310				ent in relation to the other party	403
		I.		view of potentially available actions	404
				ction for dismissal or stay of litigation	404
				tion for interlocutory declaratory relief	405
				tions for injunctive relief	407
				etions for review of arbitral decisions on	,
				isdiction	409
			•	tions for state court support	412
		II.		ted problems of enforcing hybrid arbitration	
				ments	413
			_	location of competence	413
				Negative effect of competence-competence?	414
				Overview of national approaches	415
				Plea for limited review of operability issues by	
				state courts	419
			d.	A case for court support	422
				e limited subjective res judicata effect	430
				Institutions not concerned by inter partes effect	
				of court orders	431
			b.	The decision HKL v- Rizq II	433
				Anti-arbitration injunctions to solve	
				institutional conflicts?	434
			3. Re	view of and deference to institutional	
				cisions	435
			a.	Myth of the »administrative nature« of	
				institutional acts - part I	435
			b.	Provisional nature of the institution's decision	
				on iurisdiction?	438

			c. No interlocutory review of institutional	
			confirmation of jurisdiction	439
			d. Indirect court »review« of institutional decline	
			of jurisdiction	440
		III.		
			arbitration clauses	442
	B.	Enfo	orcement in relation to the designated institution	444
		I.	Justiciability - the myth of the »administrative	
			nature« - part II	444
		II.	Liability of arbitral institutions	447
			1. Excursus: contractual liability of arbitrators	448
			a. Statutory provisions limiting arbitrator	
			liability	448
			b. Judicial rulings on arbitrator liability	449
			c. Arbitration rules excluding arbitrator	
			liability	451
			2. Application of the same principles to arbitral	
			institutions?	452
			3. Institutional liability risks connected to hybrid	
			arbitration	455
		III.	Available remedies	457
	C.	The	fork in the road to enforce hybrid arbitration	
		agre	ements	459
\$17	Ch	allen	ging & enforcing hybrid arbitration awards	461
-	A.	Prob	pable grounds for challenge	463
		I.	Invalidity of the arbitration agreement	463
		II.	Procedural irregularities	465
		III.	Irregularity in the constitution of the arbitral	
			tribunal	469
		IV.	Public policy	470
			1. What is public policy?	471
			2. Can private rules shape public policy?	473
			3. Public policy to protect interests of the rules	
			issuing institution?	475
	B.	Part	y invocation, preclusion and outcome-relevance	476
	C.	The	Hangzhou Intermediate People's Court's ruling	480
		I.	Insigma's objections to recognition and	
			enforcement	480
		II.	The Hangzhou court's factual findings on the	
			arbitration procedure	482
			1 The initial commencement of ICC arbitration	482

2. The circumstances of the case transferral to	
SIAC	482
3. The constitution of the arbitral tribunal4. The hearing on jurisdiction and the Singapore	483
courts' decisions	484
	484
5. The hearing on the merits and the awards	485
III. The ratio of the Hangzhou court's decision IV. Evaluation	
	485
§18 Enforcement risks of hybrid arbitration agreements	487
Conclusion	489
§19 Summary of findings	489
§20 Looking back for a way forward: A plea for institutional	
cooperation	495
§21 Recall of key propositions	497
Deutschsprachige Zusammenfassung (summary in German)	500
Deutschsprachige Zusammentassung (summary in German)	300
§22 Themeneinführung	500
§23 Ergebnisse	503
§24 Thesen der Arbeit	511
	-1-
Bibliography	515
Primary sources	559
Treaties / conventions & multilateral declarations	559
EU legislation (Regulations & Directives)	560
National legislation, regulations and instruments issued by	
state organs	561
United Nations Model Laws, principles and reports	566
Arbitration rules & guidelines	567