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FOR COMMERCIAL ARBITRATION

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GENERAL EDITOR
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with the assistance of
International Bureau of the
Permanent Court of Arbitration
The Hague
INTRODUCTION

For ICCA, the year 2004 was marked by the 17th ICCA Conference, hosted by CIETAC, on 16-18 May in Beijing. This well-attended and well-organized Conference brought together arbitration practitioners from throughout the world to participate in an exchange of ideas on issues ranging from the current status of arbitration practice in China to the enforceability of arbitral awards. The voluminous contents of this year’s Yearbook reflect a similar breadth of scope, providing information on a great variety of sources.


The International Handbook on Commercial Arbitration functions alongside the Yearbook in providing up-to-date information on arbitration law and practice in more than sixty countries. National Reports together with the relevant legal texts are published in the Handbook. The Table of Contents of the Handbook is reproduced in Part I of the Yearbook where, until the introduction of the Handbook, National Reports were published. Thus, the reader will find arbitral awards, rules and leading court decisions from a broad range of countries and institutions in the Yearbook, and National Reports and legislation on arbitration in the Yearbook’s companion publication, the Handbook. In addition, Part IV of the Yearbook, entitled Recent Developments on Arbitration Law and Practice, provides a summary of the salient features of newly enacted arbitration legislation, this year reporting on Croatia, Japan and Spain.

The contents of Part II – A of this Yearbook constitute a major change in the reporting and documentation of arbitral awards. Arbitral institutions are increasingly making awards and decisions made under their auspices available online on their websites or in their printed publications. In response to this universal availability, the Yearbook has become more selective, publishing relevant awards from sources which otherwise are not readily available. This year’s selection includes awards from the International Chamber of Commerce and the Netherlands Arbitration Institute. The awards deal with familiar issues such as the applicable law to the contract and its formation, the requirement of an arbitration agreement in writing, the State as a party to arbitration and sovereign immunity from jurisdiction, the application of the 1980 UN Sales
INTRODUCTION

Convention, error, fraudulent inducement and liquidated damages.

Part II – B reports two Canadian court decisions, both declining to set aside awards made in connection with NAFTA Chapter Eleven; a decision of the French Court of Appeal determining that an action to set aside an order made in an ICC Pre-arbitral Referee Procedure is not admissible; a decision of the Swiss Federal Supreme Court holding that the Court of Arbitration of Sport is an independent arbitral tribunal with respect to making awards involving decisions of the International Olympic Committee and finally three decisions relating to arbitration of the United States Supreme Court concerning whether the court or the arbitral tribunal should determine the arbitrability of procedural issues, the compensatory or punitive nature of statutory treble damages, and the scope of the expression “involving commerce” which limits the applicability of the Federal Arbitration Act.

Recently introduced or amended rules of the American Arbitration Association, the Chamber of National and International Arbitration of Milan, the International Chamber of Commerce, the Japan Commercial Arbitration Association, the Tokyo Maritime Arbitration Commission of the Japan Shipping Exchange and the Swiss Chamber of Commerce are reproduced in Part III – A. They include rules for arbitration, conciliation, expedited procedures, small claims, large complex cases, interim measures and acting as appointing authority under the UNCITRAL Rules, as well as codes of ethics. Also reproduced are the revised American Arbitration Association and American Bar Association 2004 Code of Ethics for Arbitrators in Commercial Disputes, the newly issued International Bar Association Guidelines on Conflicts of Interest in International Arbitration and the International Law Association Recommendations on the application of public policy.

A major part of the Yearbook reporting consists in the documentation of court decisions applying the 1958 New York Convention. This year, Part V – A reports the decisions in seventy-two cases from ten countries. While, as usual, the majority of cases reported comes from courts in the United States, the reporting this year includes seventeen German cases dating from 1998 to 2003. Recurring issues in the decisions are stay of enforcement proceedings pending annulment proceedings, waiver of rights and estoppel, nonsignatory to arbitration clause, sovereign immunity, authentication, certification and translation of the award and arbitration agreement and the more-favourable-right provision. Issues relating in particular to US decisions include the arbitrability of seamen’s employment contracts under the New York Convention as well as removal to federal court and remand to state court.

Part V – D reports three US decisions applying the 1975 Panama Convention,
INTRODUCTION

in line with the trend of an increasing number of courts applying this
Convention, Part V – B on the 1961 European Convention, Part V – C on the
contains an up-to date list of Contracting States and Signatories to the respective
Convention. In addition, Part V – A also contains an Index of Cases Reported in
Volume XXIX (2004) which links the cases to the Commentaries on the New
York Convention prepared by the General Editor (see Volume XXVIII (2003)
for the most recent Commentary).

The Volume concludes with a list of journals on arbitration and a bibliography
announcing recently published books relating to general topics in arbitration and
individual countries and regions. This year’s selection demonstrates the trend
towards the increased dissemination of arbitral awards and includes a number of
collections of published awards and decisions emanating from institutions as
diverse as the America’s Cup Arbitration Panel and the International Chamber
of Commerce.

The worldwide network of correspondents who generously provide assistance
and material for the Yearbook is an essential element in the compilation and
editing of the Yearbook. The correspondents are too numerous to thank
individually in this Introduction. They are mentioned and acknowledged in the
Introductions to the various Parts and in footnotes where appropriate.

The ICCA Editorial Staff works throughout the year to collect and process the
contents of the Yearbook. I would like to express my thanks and appreciation to
each of them for their valuable contributions:

- Ms. Alice Siegel, who, as sub-editor, assured that the Yearbook is presented
  in a literate, consistent and attractive format;
- Dr. Silvia Borelli, who this year has not only reviewed and coordinated all
  1958 New York Convention decisions, but also demonstrated her
  extraordinary language talents by translating texts from Dutch, French,
  German, Italian and Spanish into impeccable English.
- Ms. Judy Freedberg, Managing Editor, who unfailingly steered the Yearbook
  through its annual voyage.

On behalf of ICCA, continuing thanks go to the Permanent Court of
Arbitration and its Secretary-General, Tjaco T. van den Hout, for hosting the
Editorial Staff at the headquarters of its International Bureau at the Peace Palace.
The administrative and technical support of the entire PCA staff is greatly
appreciated.
INTRODUCTION

In all of its publications, ICCA is advised by ICCA’s Editorial Board. The Editorial Board is presently composed of Dr. Gerold Herrmann, President of ICCA (Austria); Mr. Antonio Parra, Secretary-General of ICCA (United States); Mr. Jan Paulsson, General Editor, International Handbook on Commercial Arbitration (France); Mr. Martin Hunter (United Kingdom) and the undersigned as General Editor of the ICCA publications.

A word of thanks goes to the former members of the Editorial Board for their many contributions: Prof. Giorgio Bernini, in his capacity as past President of ICCA (Italy); Mr. Fali Nariman, in his capacity as past President of ICCA (India); Prof. Karl-Heinz Böckstiegel (Germany); Mr. Robert Coulson (USA); Mf Yves Derains (France); Dr. Mauro Ferrante (Italy); Prof. Pierre Lalive (Switzerland); DDr. Werner Melis (Austria); Prof. José Luis Siqueiros (Mexico); Prof. Iván Szász (Hungary); Prof. Yasuhei Taniguchi (Japan) and Prof. Pieter Sanders (Netherlands).

Since the inception of the Yearbook, readers throughout the world have been a major source of material. Therefore, may I continue to call on you, as reader and Yearbook user, to submit texts concerning:

– recent changes in arbitration legislation;
– newly enacted arbitration rules;
– arbitral awards (the confidentiality of which is ensured);
– court decisions of general interest and, in particular, court decisions applying the UNCITRAL Model Law or the New York, European, Washington or Panama Convention.

The names of the readers who have provided materials for this volume are gratefully acknowledged in the appropriate Parts.

Brussels
October 2004

Albert Jan van den Berg
General Editor

Materials for the Yearbook are to be addressed to the General Editor or to the ICCA Editorial Staff at their respective addresses as indicated below.

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INTRODUCTION

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# TABLE OF CONTENTS

**VOLUME XXIX – 2004**

## Introduction
Albert Jan van den Berg, General Editor

## Table of Contents

1

## Part I – National Reports

*Note General Editor*

Table of Contents of *International Handbook on Commercial Arbitration*

1

## Part II – A. Arbitral Awards

*International Chamber of Commerce (ICC)*
- Case no. 8790 of 2000, final award 13
- Case no. 9762 of 2001, final award 26
- Case no. 9771 of 2001, final award 46
- Case no. 9839 of 1999, final award 66
- Case no. 10274 of 1999, final award 89
- Case no. 10329 of 2000, final award 108

*Netherlands*

*Netherlands Arbitration Institute*
- 6 April 2000, first interim award; 23 July 2001, second interim award; and 1 August 2003, final award 133

## Index of Arbitral Awards

159

*Introduction* 159

*Index of Arbitral Awards* 160

---

*Yearbook Comm. Arb'n XXIX (2004)*

xi
TABLE OF CONTENTS

Part II – B. Court Decision on Arbitration

Canada
• Superior Court of Justice of Ontario, 3 December 2003
  United Mexican States v. Marvin Ray Feldman Karpa 167
• Federal Court, 13 January 2004
  The Attorney General of Canada v. S.D. Myers, Inc. 183

France
• Cour d’Appel, Paris, 29 April 2003

Switzerland
• Tribunal Fédéral, 27 May 2003
  Cross-country skiers A and B v. International Olympic Committee, et al. 206

United States
• Supreme Court of the United States, 10 December 2002
• Supreme Court of the United States, 7 April 2003
• Supreme Court of the United States, 2 June 2003
  The Citizens Bank, et al. v. Alafabco, Inc. 243

Part II – C. Court Decisions Applying the UNCITRAL Model Law 249

Part III – A. Arbitration Rules

American Arbitration Association (AAA)
• Summary of Changes to the Commercial Rules and Mediation Procedures (Including Procedures for Large, Complex Commercial Disputes), by William K. Slate II 254
• Commercial Arbitration Rules and Mediation Procedures (Including
# TABLE OF CONTENTS

Procedures for Large, Complex Commercial Disputes, 1 July 2003 259

*American Arbitration Association (AAA) and The American Bar Association*
- The Code of Ethics for Arbitrators in Commercial Disputes, 1 March 2004 298

*International Bar Association*
- Guidelines on Conflicts of Interest in International Arbitration, 22 May 2004 314

*International Chamber of Commerce*
- Rules of ICC as Appointing Authority in UNCITRAL or other Ad Hoc Proceedings, 1 January 2004 334

*International Law Association*
- Presentation, by Pierre Mayer and Audley Sheppard 339
- Resolution 2/2002 International Commercial Arbitration 345
- Annex: International Law Association Recommendations on the Application of Public Policy as a Ground for Refusing Recognition or Enforcement of International Arbitral Awards 346

*Italy*
*Chamber of National and International Arbitration of Milan*
- The New Arbitration Rules of the Arbitration Chamber of Milan, by Rinaldo Sali 349
- Arbitration Rules, 1 January 2004 355
- Code of Ethics of Arbitrators 374

*Japan*
*The Japan Commercial Arbitration Association*
- Commercial Arbitration Rules, 1 March 2004 378

*Tokyo Maritime Arbitration Commission (TOMAC) of the Japan Shipping Exchange*
- The Rules of Arbitration, 1 March 2004 407
- The Rules of Simplified Arbitration, 1 March 2004 421
- The Rules of the Small Claims Arbitration Procedure (SCAP),

*Yearbook Comm. Arb’n XXIX (2004)* xiii
TABLE OF CONTENTS

1 March 2004 424
• Conciliation Rules, 1 July 1992 429
• Ethical Code for Arbitrators 436
• The Rules Relating to Expert Opinion, Appraisal and Certification, 1 September 2001 437

Switzerland
Chambers of Commerce and Industry of Basel, Bern, Geneva, Ticino, Vaud and Zurich
• Some Observations on the New Swiss Rules of International Arbitration, by Dr. Wolfgang Peter 440
• Swiss Rules of International Arbitration (Swiss Rules), 1 January 2004 447

Part III – B. Iran-US Claims Tribunal 477
Introduction 479

Part IV – Recent Developments in Arbitration Law and Practice 481
Introduction 483
Croatia 484
Japan 485
Spain 488

Part V – A. Court Decisions on the New York Convention 1958 491
Introduction 493
List of Contracting States (as of 21 October 2004) 495
Prof. Albert Jan van den Berg 502

Australia
• No. 22. Supreme Court of New South Wales, Commercial Division,
# TABLE OF CONTENTS

10 June 1999  
520  
- No. 23. Supreme Court of New South Wales, 4 October 2002  
*ACD Tridon Inc v. Tridon Australia Pty Ltd, et al.*  
533  

**Canada**  
- No. 10. Supreme Court of British Columbia, 24 March 1997  
*Food Services of America, Inc. (Amerifresh) v. Pan Pacific Specialties Ltd.*  
581  
- No. 11. Supreme Court of British Columbia, 11 May 1998  
*Canadian National Railway Company v. Southern Railway of British Columbia Ltd.*  
590  
- No. 12. Supreme Court of British Columbia, 6 March 2003  
596  
- No. 13. Supreme Court of British Columbia, 10 July 2003  
*Powerex Corp. v. Alcan Inc.*  
603  
607  

**Colombia**  
- No. 4. Consejo de Estado, Sala de lo Contencioso Administrativo, Seccion Tercera, 24 October 2003 and 22 April 2004  
*Empresa Colombiana de Vías Férreas (Ferrovías) v. Drummond Ltd.*  
643  

**France**  
- No. 34. Cour d’Appel, Paris, 4 December 2002  
*American Bureau of Shipping v. Copropriété Maritime Jules Verne*  
657  

**Germany**  
- No. 55. Hanseatisches Oberlandesgericht, Hamburg, 12 March 1998  
*Syrian Claimant v. Defendant (nationality not indicated)*  
663  
- No. 56. Oberlandesgericht, Dresden, 20 October 1998  
*Claimant (nationality not indicated) v. Defendant (nationality not indicated)*  
673  
- No. 57. Oberlandesgericht, Dresden, 13 January 1999  
*Manufacturer v. Buyer 1 and Buyer 2*  
679  

*Yearbook Comm. Arb’n XXIX (2004)*  
*xv*


TABLE OF CONTENTS

- No. 58. Oberlandesgericht, Schleswig, 24 June 1999
  Slovenian Manufacturer v. German Exclusive Distributor 687
- No. 59. Oberlandesgericht, Brandenburg, 2 September 1999
  Seller (nationality not indicated) v. German Buyer 697
- No. 60. Oberlandesgericht, Stuttgart, 18 October 1999;
  Bundesgerichtshof, 1 February 2001
  Dutch Shipowner v. German Cattle and Meat Dealer 700
- No. 61. Oberlandesgericht, Cologne, 15 February 2000
  Spanish Exclusive Distributor v. German Seller 715
- No. 62. Oberlandesgericht, Cologne, 13 November 2000
  Claimant (nationality not indicated) v. Defendant (nationality
  not indicated) 722
- No. 63. Bundesgerichtshof, 22 February 2001
  Claimant (nationality not indicated) v. Defendant (nationality
  not indicated) 724
- No. 64. Oberlandesgericht, Stuttgart, 20 September 2001
  Belarus Seller G v. German Buyer 729
- No. 65. Oberlandesgericht, Rostock, 22 November 2001
  United Kingdom Claimant (UK) v. German Defendant 732
- No. 66. Oberlandesgericht, Stuttgart, 6 December 2001
  Seller (nationality not indicated) v. Buyer (nationality not indicated) 742
- No. 67. Brandenburgisches Oberlandesgericht, 13 June 2002
  Forwarding Agent (nationality not indicated) v. Dealer (nationality
  not indicated) 747
- No. 68. Bayerisches Oberstes Landesgericht, 22 November 2002
  Film Distributor v. Film Producer 754
- No. 69. Bayerisches Oberstes Landesgericht, 12 December 2002
  Yugoslav Exporter v. German Importer 761
- No. 70. Bundesgerichtshof, 25 September 2003
  Claimant (nationality not indicated) v. Defendant (nationality not
  indicated) 767
- No. 71. Bayerisches Oberstes Landesgericht, 20 November 2003
  Seller (nationality not indicated) v. Buyer (nationality not indicated) 771
TABLE OF CONTENTS

Hong Kong
• No. 18. High Court of the Hong Kong Special Administrative Region, Court of First Instance, 20 December 2001
  Société Nationale d’Opérations Pétrolières de la Côte d’Ivoire – Holding v. Keen Lloyd Resources Limited 776

Italy
• No. 164. Corte di Cassazione, Plenary Session, 25 June 2002
  Comune di Torre del Greco v. Lux Perpetua, et al. 784
• No. 165. Corte di Cassazione, Plenary Session, 18 April 2003
  Primary Industries (UK) Ltd. v. Franchini Lamiere, et al. 792

Netherlands
• No. 28. Gerechtshof, The Hague, 22 February 2000
  Petrosol B.V. v. Stolt Spur Inc. 798

Switzerland
• No. 35. Obergericht, Zug, 27 February 1998
  Claimant/Appellant (nationality not indicated) v. Defendant/Appellee (nationality not indicated) 805
• No. 36. Tribunal Fédéral, 14 May 2001
  Fomento de Construcciones y Contratas S.A. v. Colon Container Terminal S.A. 809
• No. 37. Bezirksgericht, Zurich, 14 February 2003 and Obergericht, Zurich, 17 July 2003
  Italian party v. Swiss company 819
• No. 38. Tribunal Fédéral, 8 December 2003
  A SA (Switzerland) v. B Co Ltd (British Virgin Islands) and C SA (Ecuador) 834

United States
• No. 445. United States District Court, District of Connecticut, 29 March 2000
• No. 446. United States District Court, Eastern District of Louisiana, 29 August 2002
  Wilfredo Jaranilla v. Megasea Maritime Ltd., et al. 848
• No. 447. United States District Court, Southern District

TABLE OF CONTENTS

of New York, 30 August 2002

*New Avex, Inc. v. Socata Aircraft Inc.* 851

- No. 448. United States District Court, Southern District of Florida, 26 September 2002

  *Elpidio E. Amon v. Norwegian Cruise Line, Ltd.* 859

- No. 449. United States District Court, District of Columbia, 29 October 2002

  *Joseph Walker and Company, LLC. v. Oceanic Fats and Oil(S) Pte, Ltd.* 864

- No. 450. United States District Court, Southern District of Florida, 17 March 2003

  *Mike Adolfo v. Carnival Corporation* 867

- No. 451. United States Court of Appeals, First Circuit, 1 April 2003

  *Restoration Preservation Masonry, Inc., et al. v. Grove Europe Ltd., et al.* 873

- No. 452. United States District Court, Southern District of Florida, Miami Division, 4 June 2003

  *Four Seasons Hotels and Resorts, B.V., et al. v. Consorcio Barr, S.A.* 882

- No. 453. United States District Court, Southern District of New York, 12 June 2003


- No. 454. United States District Court, Southern District of Alabama, Southern Division, 16 June 2003 and 19 September 2003


- No. 455. United States District Court, Southern District of Florida, 16 June 2003

  *Stuart Steinberg, et al. v. Princess Cruise Lines, Ltd., et al.* 969

- No. 456. United States Court of Appeals, Sixth Circuit, 17 June 2003

  *Inland Bulk Transfer Co. v. Cummins Engine Co., et al.* 975

- No. 457. United States Court of Appeals, Third Circuit, 20 June 2003

  *Standard Bent Glass Corp. v. Glassrobots Oy* 978

- No. 458. United States District Court, Southern District of New York, 23 June 2003
TABLE OF CONTENTS

*Sea Spray Holdings, Ltd. v. Pali Financial Group, Inc., et al.* 990

- No. 459. United States Court of Appeals, Third Circuit, 26 June 2003
  *China Minmetals Materials Import and Export Co., Ltd. v. Chi Mei Corporation* 1003

- No. 460. United States Court of Appeals, Second Circuit, 14 July 2003

- No. 461. United States District Court, Southern District of New York, 6 August 2003
  *Venconsul N.V. v. TIM International N.V.* 1038

- No. 462. United States District Court, Northern District of California, 7 August 2003

- No. 463. United States District Court, Southern District of New York, 8 September 2003
  *The Shaw Group, Inc., et al. v. Triplefine International Corporation* 1051

- No. 464. United States District Court, Eastern District of Louisiana, 12 September 2003

- No. 465. United States Court of Appeals, Second Circuit, 18 September 2003
  *Banco de Seguros del Estado v. Mutual Marine Office, Inc., et al.* 1070

- No. 466. United States Court of Appeals, First Circuit, 22 September 2003
  *InterGen N.V. v. Eric F. Grina, et al.* 1080

- No. 467. United States District Court, Southern District of Florida, 14 October 2003

- No. 468. United States District Court, Northern District of Texas, Dallas Division, 23 October 2003

- No. 469. United States District Court, Southern District of New York, 31 October 2003

*Yearbook Comm. Arb’n XXIX (2004)* xix
### TABLE OF CONTENTS

1129

- **No. 470.** United States Court of Appeals, Seventh Circuit, 20 November 2003  
  *Stawski Distributing Co., Inc. v. Browary Zywic S.A.*  
  1134

- **No. 471.** United States District Court, Southern District of Florida, 24 November 2003  
  *Nicor International Corporation, et al. v. El Paso Corporation*  
  1140

- **No. 472.** United States Court of Appeals, Fifth Circuit, 26 November 2003  
  1160

- **No. 473.** United States District Court, Southern District of New York, 4 December 2003  
  1172

- **No. 474.** United States District Court, Eastern District of Louisiana, 9 December 2003  
  *Artemis Shipping and Navigation Company SA v. TorMar Shipping AS*  
  1185

- **No. 475.** United States District Court, Southern District of Florida, Miami Division, 12 December 2003  
  1193

- **No. 476.** United States Court of Appeals, Eleventh Circuit, 4 February 2004  
  *Czarina, LLC v. W.F. Poe Syndicate*  
  1200

- **No. 477.** United States District Court, Southern District of New York, 4 February 2004  
  *Shanghai Foodstuffs Import & Export Corporation v. International Chemical, Inc.*  
  1209

- **No. 478.** United States Court of Appeals, Second Circuit, 9 February 2004  
  *MGM Productions Group, Inc. v. Aeroflot Russian Airlines*  
  1215

- **No. 479.** United States District Court, Southern District of New York, 19 February 2004  
  *Sah Hank Group v. Oracle Corporation*  
  1218

- **No. 480.** United States Court of Appeals, Second Circuit, 16 March 2004  
  *Compagnie Noga d’Importation et d’Exportation S.A. v. The*  
  1222
### TABLE OF CONTENTS

**Russian Federation**

- No. 481. United States District Court, District of Delaware, 16 March 2004
- No. 482. United States Court of Appeals, Fifth Circuit, 23 March 2004

**Part V – B. Court Decisions on the European Convention 1961** 1299

List of Contracting States (as of 21 October 2004) 1303

**Part V- C. Court Decisions on the Washington Convention 1965**

List of Contracting States and Signatories (as of 21 October 2004) 1309

**Part V – D. Court Decisions on the Panama Convention 1975** 1317

List of Contracting States (as of 21 October 2004) 1319

  *Paramedics Electromedicina Comercial, Ltda. v. GE Medical Systems Information Technologies, Inc.* 1321
- No. P17. United States District Court, Northern District of Illinois, Eastern Division, 15 January 2004
  *UnionAmerica Ins. Co., Ltd., et al. v. Allstate Insurance Company* 1353
- No. P18. United States Court of Appeals, Seventh Circuit, 3 February 2004
  *Employers Insurance of Wausau v. El Banco de Seguros del Estado* 1358

TABLE OF CONTENTS

Part VI – Articles on Arbitration 1365

Part VII – Bibliography 1367

I. General 1369
II. Countries 1384
III. Journals on Arbitration 1392

List of ICCA Officers and Members 1403