

WIPO Mediation, Arbitration and Expedited Arbitration Rules and Clauses

Alternative Dispute Resolution



WIPO | ADR
Arbitration
and Mediation
Center

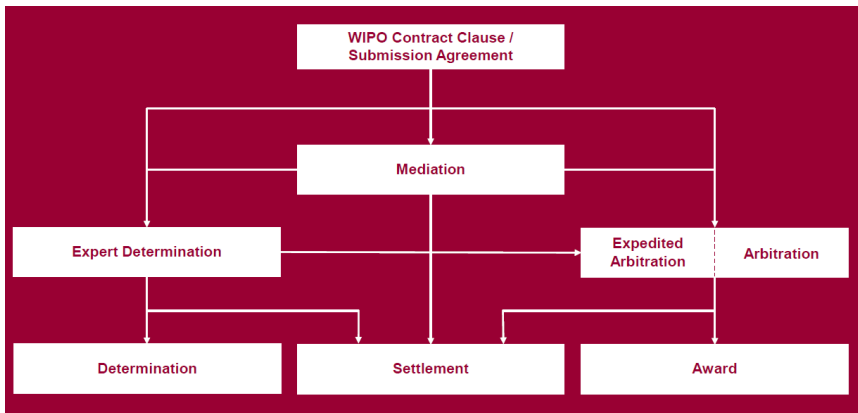
WIPO Mediation, Arbitration and Expedited Arbitration Rules and Clauses

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Introduction: WIPO ADR Procedures

Based in Geneva, Switzerland, with a further office in Singapore, the **WIPO Arbitration and Mediation Center** (Center) is an independent and impartial international dispute resolution service provider. This brochure contains the WIPO Mediation, Arbitration and Expedited Arbitration Rules,¹ under which the Center administers its cases.²

In addition to the WIPO Rules, the Center also offers recommended clauses and submission agreements³ as well as neutrals⁴ for the following alternative dispute resolution (ADR) procedures:



Mediation: an informal procedure in which a neutral intermediary, the mediator, assists the parties in reaching a settlement of the dispute. (Depending on the parties' choice, mediation may be followed, in the absence of a settlement, by arbitration, expedited arbitration, expert determination or court litigation.)

- 1 The Center also provides expert determination under the WIPO Expert Determination Rules. More on this service can be found at www.wipo.int/amc/en/expert-determination/.
- 2 The WIPO Expedited Arbitration Rules consist of the WIPO Arbitration Rules modified in certain respects in order to ensure that the arbitration can be conducted in a shortened period and at reduced cost. An overview of the differences between the two sets of Rules is provided at pages 58 and 59.
- 3 Recommended WIPO Contract Clauses and Submission Agreements are available at www.wipo.int/amc/en/clauses/. The Center also makes available the WIPO Clause Generator at amc.wipo.int/clause-generator/.
- 4 Further information on WIPO neutrals can be found at www.wipo.int/amc/en/neutrals/.

Arbitration: a binding procedure in which the dispute is submitted to one or more arbitrators who make a final decision on the dispute. (Depending on the parties' choice, arbitration may be preceded by mediation or expert determination.)

Expedited Arbitration: an arbitration procedure that is carried out in a short time and at a reduced cost. (Depending on the parties' choice, expedited arbitration may be preceded by mediation or expert determination.)

Expert Determination: a procedure in which a technical, scientific or related business issue between the parties is submitted to one or more experts who make a determination on the matter. The determination is binding, unless the parties have agreed otherwise. (Depending on the parties' choice, expert determination may be preceded by mediation or followed by (expedited) arbitration.)

Developed by leading experts in cross-border dispute settlement, and reflecting the Center's commitment to time and cost efficiency of proceedings, the WIPO Rules are widely recognized as particularly appropriate for disputes arising out of commercial transactions or relationships involving intellectual property and technology. They contain provisions on confidentiality and technical and experimental evidence that are of special interest to parties to such disputes. The WIPO Rules are available in a number of languages.

The Center makes available a general overview of its caseload as well as anonymized examples of cases at www.wipo.int/amc/en/center/caseload.html.

In administering disputes, the Center provides the following administrative services:⁵

- Assistance to the parties that wish to commence a mediation, arbitration, expedited arbitration or expert determination (WIPO Good Offices);⁶
- Assistance to the parties in selecting and appointing the mediator, arbitrator(s) or expert(s) if necessary, with reference to the Center's database of more than 2,000 neutrals globally with expertise in commercial, intellectual property and technology-related dispute resolution;
- Guidance regarding the application of the relevant procedural rules;
- Liaising between the parties and the arbitral tribunal, mediator or expert with a view to ensuring optimal communications and procedural efficiency;

5 Information on the protection of personal data in WIPO ADR case administration is available at www.wipo.int/amc/en/arbitration/filing/#pd.

6 More information on this service is available at www.wipo.int/amc/en/goodoffices/.

- Making available, at the parties' option, online filing forms⁷ and the WIPO eADR online case administration platform;⁸
- Assistance to the parties in organizing any other support services that may be needed, such as online tools to assist in the online conduct of meetings and hearings;⁹
- Fixing the fees of the neutrals, in consultation with parties and the neutrals;
- Administering the financial aspects of the proceedings by obtaining a deposit from each party of the estimated costs and paying out of the deposit the fees of the neutrals and any other support services or facilities, such as fees for interpreters, where they are required;
- Where the proceedings take place at WIPO in Geneva, providing a meeting room and party retiring rooms free of charge;
- Where the proceedings take place outside Geneva, assisting the parties in organizing appropriate meeting rooms and other required facilities;
- Providing such other services or functions as may be required to ensure that the WIPO procedures are conducted efficiently and expeditiously.

The Center also administers procedures for the resolution of disputes related to the abusive registration and use of Internet domain names.¹⁰

The Center also assists stakeholders to develop dispute resolution schemes tailored to meet their specific commercial circumstances or industry characteristics.¹¹

Additional information about the Center and its activities is available at www.wipo.int/amc.

7 More information on this service is available at ipportal.wipo.int/.

8 More information on this service is available at www.wipo.int/amc/en/eadr/.

9 The Center makes available the WIPO Checklist for the Online Conduct of Mediation and Arbitration Proceedings at www.wipo.int/amc/en/eadr/checklist/.

10 More information on this service is available at www.wipo.int/amc/en/domains/.

11 More information on these services is available at www.wipo.int/amc/en/center/specific-sectors/.

WIPO Mediation Rules

(Effective from July 1, 2021)

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Abbreviated Expressions

Article 1

In these Rules:

“Mediation Agreement” means an agreement by the parties to submit to mediation all or certain disputes which have arisen or which may arise between them; a Mediation Agreement may be in the form of a mediation clause in a contract or in the form of a separate contract;

“Mediator” includes a sole mediator or all the mediators where more than one is appointed;

“WIPO” means the World Intellectual Property Organization;

“Center” means the WIPO Arbitration and Mediation Center.

Words used in the singular include the plural and *vice versa*, as the context may require.

Scope of Application of Rules

Article 2

Where a Mediation Agreement provides for mediation under the WIPO Mediation Rules, these Rules shall be deemed to form part of that Mediation Agreement. Unless the parties have agreed otherwise, these Rules as in effect on the date of the commencement of the mediation shall apply.

Commencement of the Mediation

Article 3

- (a) A party to a Mediation Agreement that wishes to commence a mediation shall submit a Request for Mediation in writing to the Center and to the other party. The Request for Mediation shall be delivered by email or other means of electronic communication that provide a record thereof, unless a party decides to use also expedited postal or courier service.
- (b) The Request for Mediation shall contain or be accompanied by:
 - (i) the names, addresses and telephone, e-mail or other communication references of the parties to the dispute and of the representative of the party filing the Request for Mediation;
 - (ii) a copy of the Mediation Agreement; and
 - (iii) a brief statement of the nature of the dispute.

Article 4

- (a) In the absence of a Mediation Agreement, a party that wishes to propose submitting a dispute to mediation shall submit a Request for Mediation in writing to the Center. It shall at the same time send a copy of the

Request for Mediation to the other party. The Request for Mediation shall include the particulars set out in Article 3(b)(i) and (iii). The Center may assist the parties in considering the Request for Mediation.

- (b) Upon request by a party, the Center may appoint an external neutral to assist the parties in considering the Request for Mediation. The external neutral may act as mediator in the dispute provided all parties agree. Articles 15 to 18 shall apply *mutatis mutandis*.

Article 5

The date of the commencement of the mediation shall be the date on which the Request for Mediation is received by the Center.

Article 6

The Center shall forthwith inform the parties in writing of the receipt by it of the Request for Mediation and of the date of the commencement of the mediation.

Appointment of the Mediator

Article 7

- (a) Unless the parties have otherwise agreed themselves on the person of the mediator or on another procedure for appointing the mediator, the appointment shall take place in accordance with the following procedure:
 - (i) The Center shall send to each party an identical list of candidates. The list shall normally comprise the names of at least three candidates in alphabetical order. The list shall include or be accompanied by a statement of each candidate's qualifications. If the parties have agreed on any particular qualifications, the list shall contain the names of candidates that satisfy those qualifications.
 - (ii) Each party shall have the right to delete the name of any candidate or candidates to whose appointment it objects and shall number any remaining candidates in order of preference.
 - (iii) Each party shall return the marked list to the Center within seven days after the date on which the list is received by it. Any party failing to return a marked list within that period of time shall be deemed to have assented to all candidates appearing on the list.
 - (iv) As soon as possible after receipt by it of the lists from the parties, or failing this, after the expiration of the period of time specified in the previous subparagraph, the Center shall, taking into account the preferences and objections expressed by the parties, appoint a person from the list as mediator.
 - (v) If the lists which have been returned do not show a person who is acceptable as mediator to both parties, the Center shall be authorized to appoint the mediator. The Center shall similarly be authorized to do so if a person is not able or does not wish to accept

the Center's invitation to be the mediator, or if there appear to be other reasons precluding that person from being the mediator, and there does not remain on the lists a person who is acceptable as mediator to both parties.

- (b) Notwithstanding the procedure provided in paragraph (a), the Center shall be authorized to otherwise appoint the mediator if it determines in its discretion that the procedure described therein is not appropriate for the case.
- (c) The prospective mediator shall, by accepting appointment, be deemed to have undertaken to make available sufficient time to enable the mediation to be conducted expeditiously.

Article 8

The mediator shall be neutral, impartial and independent.

Representation of Parties and Participation in Meetings

Article 9

- (a) The parties may be represented or assisted in their meetings with the mediator.
- (b) Immediately after the appointment of the mediator, the names and addresses of persons authorized to represent a party, and the names and positions of the persons who will be attending the meetings of the parties with the mediator on behalf of that party, shall be communicated by that party to the other party, the mediator and the Center.

Conduct of the Mediation

Article 10

The mediation shall be conducted in the manner agreed by the parties, including meetings by telephone, videoconference or using online tools. If, and to the extent that, the parties have not made such agreement, the mediator shall, in accordance with these Rules, determine the manner in which the mediation shall be conducted.

Article 11

Each party shall cooperate in good faith with the mediator to advance the mediation as expeditiously as possible.

Article 12

The mediator shall be free to meet and to communicate separately with a party on the clear understanding that information given at such meetings and in such communications shall not be disclosed to the other party without the express authorization of the party giving the information.

Article 13

- (a) As soon as possible after being appointed, the mediator shall, in consultation with the parties, establish a timetable for the submission by each party to the mediator and to the other party of a statement summarizing the background of the dispute, the party's interests and contentions in relation to the dispute and the present status of the dispute, together with such other information and materials as the party considers necessary for the purposes of the mediation and, in particular, to enable the issues in dispute to be identified.
- (b) The mediator may at any time during the mediation suggest that a party provide such additional information or materials as the mediator deems useful.
- (c) Any party may at any time submit to the mediator, for consideration by the mediator only, written information or materials which it considers to be confidential. The mediator shall not, without the written authorization of that party, disclose such information or materials to the other party.

Role of the Mediator

Article 14

- (a) The mediator shall promote the settlement of the issues in dispute between the parties in any manner that the mediator believes to be appropriate, but shall have no authority to impose a settlement on the parties.
- (b) Where the mediator believes that any issues in dispute between the parties are not susceptible to resolution through mediation, the mediator may propose, for the consideration of the parties, procedures or means for resolving those issues which the mediator considers are most likely, having regard to the circumstances of the dispute and any business relationship between the parties, to lead to the most efficient, least costly and most productive settlement of those issues. In particular, the mediator may so propose:
 - (i) an expert determination of one or more particular issues;
 - (ii) arbitration;
 - (iii) the submission of last offers of settlement by each party and, in the absence of a settlement through mediation, arbitration conducted on the basis of those last offers pursuant to an arbitral procedure in which the mission of the arbitral tribunal is confined to determining which of the last offers shall prevail.

Confidentiality

Article 15

No recording of any kind shall be made of any meetings of the parties with the mediator.

Article 16

Each person involved in the mediation, including, in particular, the mediator, the parties and their representatives and advisors, any independent experts and any other persons present during the meetings of the parties with the mediator, shall respect the confidentiality of the mediation and may not, unless otherwise agreed by the parties and the mediator, use or disclose to any outside party any information concerning, or obtained in the course of, the mediation. Each such person shall sign an appropriate confidentiality undertaking prior to taking part in the mediation.

Article 17

Unless otherwise agreed by the parties, each person involved in the mediation shall, on the termination of the mediation, return, to the party providing it, any brief, document or other materials supplied by a party, without retaining any copy thereof. Any notes taken by a person concerning the meetings of the parties with the mediator shall be destroyed on the termination of the mediation.

Article 18

Unless otherwise agreed by the parties, the mediator and the parties shall not introduce as evidence or in any manner whatsoever in any judicial or arbitration proceeding:

- (i) any views expressed or suggestions made by a party with respect to a possible settlement of the dispute;
- (ii) any admissions made by a party in the course of the mediation;
- (iii) any proposals made or views expressed by the mediator;
- (iv) the fact that a party had or had not indicated willingness to accept any proposal for settlement made by the mediator or by the other party;
- (v) any settlement agreement between the parties, except to the extent necessary in connection with an action for enforcement of such agreement or as otherwise required by law.

Termination of the Mediation

Article 19

The mediation shall be terminated:

- (i) by the signing of a settlement agreement by the parties covering any or all of the issues in dispute between the parties;

- (ii) by the decision of the mediator if, in the mediator's judgment, further efforts at mediation are unlikely to lead to a resolution of the dispute; or
- (iii) by a written declaration of a party at any time.

Article 20

- (a) Upon the termination of the mediation, the mediator shall promptly send to the Center a notice in writing that the mediation is terminated and shall indicate the date on which it terminated, whether or not the mediation resulted in a settlement of the dispute and, if so, whether the settlement was full or partial. The mediator shall send to the parties a copy of the notice so addressed to the Center.
- (b) The Center shall keep the said notice of the mediator confidential and shall not, except to the extent necessary in connection with an action for enforcement of a settlement agreement or as otherwise required by law, disclose either the existence or the result of the mediation to any person without the written authorization of the parties.
- (c) The Center may, however, include information concerning the mediation in any aggregate statistical data that it publishes concerning its activities, provided that such information does not reveal the identity of the parties or enable the particular circumstances of the dispute to be identified.

Article 21

Unless required by a court of law or authorized in writing by the parties, the mediator shall not act in any capacity whatsoever, otherwise than as a mediator, in any pending or future proceedings, whether judicial, arbitral or otherwise, relating to the subject matter of the dispute.

Administration Fee

Article 22

- (a) The Request for Mediation shall be subject to the payment to the Center of an administration fee, the amount of which shall be fixed in accordance with the Schedule of Fees applicable on the date of the Request for Mediation.
- (b) The administration fee shall not be refundable.
- (c) No action shall be taken by the Center on a Request for Mediation until the administration fee has been paid.
- (d) If a party who has filed a Request for Mediation fails, within 15 days after a reminder in writing from the Center, to pay the administration fee, it shall be deemed to have withdrawn its Request for Mediation.

Fees of the Mediator

Article 23

- (a) The amount and currency of the fees of the mediator and the modalities and timing of their payment shall be fixed by the Center, after consultation with the mediator and the parties.
- (b) The amount of the fees shall, unless the parties and the mediator agree otherwise, be calculated on the basis of the hourly or, if applicable, daily indicative rates set out in the Schedule of Fees applicable on the date of the Request for Mediation, taking into account the amount in dispute, the complexity of the subject matter of the dispute and any other relevant circumstances of the case.

Deposits

Article 24

- (a) The Center may, at the time of the appointment of the mediator, require each party to deposit an equal amount as an advance for the costs of the mediation, including, in particular, the estimated fees of the mediator and the other expenses of the mediation. The amount of the deposit shall be determined by the Center.
- (b) The Center may require the parties to make supplementary deposits.
- (c) If a party fails, within 15 days after a reminder in writing from the Center, to pay the required deposit, the mediation shall be deemed to be terminated. The Center shall, by notice in writing, inform the parties and the mediator accordingly and indicate the date of termination.
- (d) After the termination of the mediation, the Center shall render an accounting to the parties of any deposits made and return any unexpended balance to the parties or require the payment of any amount owing from the parties.

Costs

Article 25

Unless the parties agree otherwise, the administration fee, the fees of the mediator and all other expenses of the mediation, including, in particular, the required travel expenses of the mediator and any expenses associated with obtaining expert advice, shall be borne in equal shares by the parties.

Exclusion of Liability

Article 26

Except in respect of deliberate wrongdoing, the mediator, WIPO and the Center shall not be liable to any party for any act or omission in connection with any mediation conducted under these Rules.

Waiver of Defamation

Article 27

The parties and, by accepting appointment, the mediator agree that any statements or comments, whether written or oral, made or used by them or their representatives in preparation for or in the course of the mediation shall not be relied upon to found or maintain any action for defamation, libel, slander or any related complaint, and this Article may be pleaded as a bar to any such action.

Suspension of Running of Limitation Period under the Statute of Limitations

Article 28

The parties agree that, to the extent permitted by the applicable law, the running of the limitation period under any applicable statute of limitations or an equivalent rule shall be suspended in relation to the dispute that is the subject of the mediation from the date of the commencement of the mediation until the date of the termination of the mediation.

WIPO Arbitration Rules

(Effective from July 1, 2021)

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I. GENERAL PROVISIONS

Abbreviated Expressions

Article 1

In these Rules:

“Arbitration Agreement” means an agreement by the parties to submit to arbitration all or certain disputes which have arisen or which may arise between them; an Arbitration Agreement may be in the form of an arbitration clause in a contract or in the form of a separate contract;

“Claimant” means the party initiating an arbitration;

“Respondent” means the party against which the arbitration is initiated, as named in the Request for Arbitration;

“Tribunal” includes a sole arbitrator or all the arbitrators where more than one is appointed;

“WIPO” means the World Intellectual Property Organization;

“Center” means the WIPO Arbitration and Mediation Center.

Words used in the singular include the plural and *vice versa*, as the context may require.

Scope of Application of Rules

Article 2

Where an Arbitration Agreement provides for arbitration under the WIPO Arbitration Rules, these Rules shall be deemed to form part of that Arbitration Agreement and the dispute shall be settled in accordance with these Rules, as in effect on the date of the commencement of the arbitration, unless the parties have agreed otherwise.

Article 3

- (a) These Rules shall govern the arbitration, except that, where any of these Rules is in conflict with a provision of the law applicable to the arbitration from which the parties cannot derogate, that provision shall prevail.
- (b) The law applicable to the arbitration shall be determined in accordance with Article 61(b).

Notices and Periods of Time

Article 4

- (a) Any notice or other communication that may or is required to be given under these Rules shall be in writing and shall be delivered by email or

other means of electronic communication that provide a record thereof, unless a party decides to use also expedited postal or courier service.

- (b) A party's last known residence or place of business shall be a valid address for the purpose of any notice or other communication in the absence of any notification of a change by that party. Communications may in any event be addressed to a party in the manner stipulated or, failing such a stipulation, according to the practice followed in the course of the dealings between the parties.
- (c) For the purpose of determining the date of commencement of a time limit, a notice or other communication shall be deemed to have been received on the day it is delivered in accordance with paragraphs (a) and (b) of this Article.
- (d) For the purpose of determining compliance with a time limit, a notice or other communication shall be deemed to have been sent, made or transmitted if it is dispatched, in accordance with paragraphs (a) and (b) of this Article, prior to or on the day of the expiration of the time limit.
- (e) For the purpose of calculating a period of time under these Rules, such period shall begin to run on the day following the day when a notice or other communication is received. If the last day of such period is an official holiday or a non-business day at the residence or place of business of the addressee, the period is extended until the first business day which follows. Official holidays or non-business days occurring during the running of the period of time are included in calculating the period.
- (f) The parties may agree to reduce or extend the periods of time referred to in Articles 11, 15(b), 16(b), 17(b), 17(c), 18, 19(b)(iii), 41(a) and 42(a).
- (g) The Center may, at the request of a party or on its own motion, extend the periods of time referred to in Articles 11, 15(b), 16(b), 17(b), 17(c), 18, 19(b)(iii), 69(d), 70(e) and 72(e).

Documents Required to be Submitted to the Center

Article 5

- (a) Until the notification by the Center of the establishment of the Tribunal, any written statement, notice or other communication required or allowed under these Rules shall be submitted by a party to the Center and a copy thereof shall at the same time be transmitted by that party to the other party.
- (b) Where a party decides to use expedited postal or courier service for the transmission of any written statement, notice or other communication so sent to the Center, it shall send it in a number of copies equal to the

number required to provide one copy for each envisaged arbitrator and one for the Center.

- (c) After the notification by the Center of the establishment of the Tribunal, any written statements, notices or other communications shall be submitted by a party directly to the Tribunal and a copy thereof shall at the same time be supplied by that party to the other party.
- (d) The Tribunal shall send to the Center a copy of each order or other decision that it makes.

II. COMMENCEMENT OF THE ARBITRATION

Request for Arbitration

Article 6

The Claimant shall transmit the Request for Arbitration to the Center and to the Respondent.

Article 7

The date of commencement of the arbitration shall be the date on which the Request for Arbitration is received by the Center.

Article 8

The Center shall inform the Claimant and the Respondent of the receipt by it of the Request for Arbitration and of the date of the commencement of the arbitration.

Article 9

The Request for Arbitration shall contain:

- (i) a demand that the dispute be referred to arbitration under the WIPO Arbitration Rules;
- (ii) the names, addresses and telephone, e-mail or other communication references of the parties and of the representative of the Claimant;
- (iii) a copy of the Arbitration Agreement and, if applicable, any separate choice-of-law clause;
- (iv) a brief description of the nature and circumstances of the dispute, including an indication of the rights and property involved and the nature of any technology involved;
- (v) a statement of the relief sought and an indication, to the extent possible, of any amount claimed;
- (vi) any nomination that is required by, or observations that the Claimant considers useful in connection with, Articles 14 to 20; and

- (vii) if applicable, the identity of any third party funder. If a funding agreement is concluded at a later stage of the proceedings, the identity of the third party funder shall be disclosed promptly to the parties, the Center, and the Tribunal.

Article 10

The Request for Arbitration may also be accompanied by the Statement of Claim referred to in Article 41.

Answer to the Request

Article 11

- (a) Within 30 days from the date on which the Respondent receives the Request for Arbitration from the Claimant, the Respondent shall address to the Center and to the Claimant an Answer to the Request which shall contain comments on any of the elements in the Request for Arbitration and may include indications of any counter-claim or set-off.
- (b) The Answer to the Request shall contain, if applicable, the identity of any third party funder. If a funding agreement is concluded at a later stage of the proceedings, the identity of the third party funder shall be disclosed promptly to the parties, the Center, and the Tribunal.

Article 12

If the Claimant has filed a Statement of Claim with the Request for Arbitration pursuant to Article 10, the Answer to the Request may also be accompanied by the Statement of Defense referred to in Article 42.

Representation

Article 13

- (a) The parties may be represented by persons of their choice, irrespective of, in particular, nationality or professional qualification. The names, addresses and telephone, e-mail or other communication references of representatives shall be communicated to the Center, the other party and, after its establishment, the Tribunal.
- (b) Each party shall ensure that its representatives have sufficient time available to enable the arbitration to proceed expeditiously.
- (c) The parties may also be assisted by persons of their choice.

III. COMPOSITION AND ESTABLISHMENT OF THE TRIBUNAL

Number and Appointment of Arbitrators

Article 14

- (a) The Tribunal shall consist of such number of arbitrators as has been agreed by the parties.
- (b) Where the parties have not agreed on the number of arbitrators, the Tribunal shall consist of a sole arbitrator, except where the Center in its discretion determines that, in view of all the circumstances of the case, a Tribunal composed of three members is appropriate.
- (c) Any nomination of an arbitrator made by the parties pursuant to Articles 16, 17 and 18 shall be confirmed by the Center provided that the requirements of Articles 22 and 23 have been met. The appointment shall be effective upon the Center's notification to the parties.

Appointment Pursuant to Procedure Agreed Upon by the Parties

Article 15

- (a) If the parties have agreed on a procedure for the appointment of the arbitrator or arbitrators, that procedure shall be followed.
- (b) If the Tribunal has not been established pursuant to such procedure within the period of time agreed upon by the parties or, in the absence of such an agreed period of time, within 45 days after the commencement of the arbitration, the Tribunal shall be established or completed, as the case may be, in accordance with Article 19.

Appointment of a Sole Arbitrator

Article 16

- (a) Where a sole arbitrator is to be appointed and the parties have not agreed on an appointment procedure, the sole arbitrator shall be nominated jointly by the parties.
- (b) If the nomination of the sole arbitrator is not made within the period of time agreed upon by the parties or, in the absence of such an agreed period of time, within 30 days after the commencement of the arbitration, the sole arbitrator shall be appointed in accordance with Article 19.

Appointment of Three Arbitrators

Article 17

- (a) Where three arbitrators are to be appointed and the parties have not agreed upon an appointment procedure, the arbitrators shall be appointed in accordance with this Article.

- (b) The Claimant shall nominate an arbitrator in its Request for Arbitration. The Respondent shall nominate an arbitrator within 30 days from the date on which it receives the Request for Arbitration. The two arbitrators shall, within 20 days after the appointment of the second arbitrator nominate a third arbitrator, who shall be the presiding arbitrator.
- (c) Notwithstanding paragraph (b), where three arbitrators are to be appointed as a result of the exercise of the discretion of the Center under Article 14(b), the Claimant shall, by notice to the Center and to the Respondent, nominate an arbitrator within 15 days after the receipt by it of notification by the Center that the Tribunal is to be composed of three arbitrators. The Respondent shall nominate an arbitrator within 30 days after the receipt by it of the said notification. The two arbitrators shall, within 20 days after the appointment of the second arbitrator, nominate a third arbitrator, who shall be the presiding arbitrator.
- (d) If the nomination of any arbitrator is not made within the applicable period of time referred to in the preceding paragraphs, that arbitrator shall be appointed in accordance with Article 19.

Appointment of Three Arbitrators in Case of Multiple Claimants or Respondents

Article 18

Where:

- (i) there are multiple Claimants and/or multiple Respondents; and
- (ii) three arbitrators are to be appointed;

the multiple Claimants, jointly, in the Request for Arbitration, shall nominate an arbitrator, and/or the multiple Respondents, jointly, within 30 days after receiving the Request for Arbitration, shall nominate an arbitrator, as the case may be. If a joint nomination is not made within the applicable period of time, the Center shall appoint one or both arbitrators. The two arbitrators shall, within 20 days after the appointment of the second arbitrator, nominate a third arbitrator, who shall be the presiding arbitrator.

Default Appointment

Article 19

- (a) If a party has failed to nominate an arbitrator as required under Articles 15, 17 or 18, the Center shall forthwith make the appointment.
- (b) If the sole or presiding arbitrator has not been appointed as required under Articles 15, 16, 17 or 18, the appointment shall take place in accordance with the following procedure:
 - (i) The Center shall send to each party an identical list of candidates. The list shall normally comprise the names of at least three

candidates in alphabetical order. The list shall include or be accompanied by a statement of each candidate's qualifications. If the parties have agreed on any particular qualifications, the list shall contain the names of candidates that satisfy those qualifications.

- (ii) Each party shall have the right to delete the name of any candidate or candidates to whose appointment it objects and shall number any remaining candidates in order of preference.
 - (iii) Each party shall return the marked list to the Center within 20 days after the date on which the list is received by it. Any party failing to return a marked list within that period of time shall be deemed to have assented to all candidates appearing on the list.
 - (iv) As soon as possible after receipt by it of the lists from the parties, or failing this, after the expiration of the period of time specified in the previous subparagraph, the Center shall, taking into account the preferences and objections expressed by the parties, appoint a person from the list as sole or presiding arbitrator.
 - (v) If the lists which have been returned do not show a person who is acceptable as arbitrator to both parties, the Center shall be authorized to appoint the sole or presiding arbitrator. The Center shall similarly be authorized to do so if a person is not able or does not wish to accept the Center's invitation to be the sole or presiding arbitrator, or if there appear to be other reasons precluding that person from being the sole or presiding arbitrator, and there does not remain on the lists a person who is acceptable as arbitrator to both parties.
- (c) Notwithstanding the procedure provided in paragraph (b), the Center shall be authorized to appoint the sole or presiding arbitrator otherwise if it determines in its discretion that the procedure described in that paragraph is not appropriate for the case.

Nationality of Arbitrators

Article 20

- (a) An agreement of the parties concerning the nationality of arbitrators shall be respected.
- (b) If the parties have not agreed on the nationality of the sole or presiding arbitrator, such arbitrator shall, in the absence of special circumstances such as the need to appoint a person having particular qualifications, be a national of a country other than the countries of the parties.

Communication Between Parties and Candidates for Appointment as Arbitrator

Article 21

No party or anyone acting on its behalf shall have any *ex parte* communication with any candidate for appointment as arbitrator except to discuss the candidate's qualifications, availability or independence in relation to the parties.

Impartiality and Independence

Article 22

- (a) Each arbitrator shall be impartial and independent.
- (b) Each prospective arbitrator shall, before accepting appointment, disclose to the parties, the Center and any other arbitrator who has already been appointed any circumstances that might give rise to justifiable doubt as to the arbitrator's impartiality or independence, or confirm in writing that no such circumstances exist.
- (c) If, at any stage during the arbitration, new circumstances arise that might give rise to justifiable doubt as to any arbitrator's impartiality or independence, the arbitrator shall promptly disclose such circumstances to the parties, the Center and the other arbitrators.

Availability, Acceptance and Notification

Article 23

- (a) Each arbitrator shall, by accepting appointment, be deemed to have undertaken to make available sufficient time to enable the arbitration to be conducted and completed expeditiously.
- (b) Each prospective arbitrator shall accept appointment in writing and shall communicate such acceptance to the Center.
- (c) The Center shall notify the parties of the appointment of each member of the Tribunal and of the establishment of the Tribunal.

Challenge of Arbitrators

Article 24

- (a) Any arbitrator may be challenged by a party if circumstances exist that give rise to justifiable doubt as to the arbitrator's impartiality or independence.
- (b) A party may challenge an arbitrator whom it has nominated or in whose nomination it concurred, only for reasons of which it becomes aware after the nomination has been made.

Article 25

A party challenging an arbitrator shall send notice to the Center, the Tribunal and the other party, stating the reasons for the challenge, within 15 days after being notified of that arbitrator's appointment or after becoming aware of the circumstances that it considers give rise to justifiable doubt as to that arbitrator's impartiality or independence.

Article 26

When an arbitrator has been challenged by a party, the other party shall have the right to respond to the challenge and shall, if it exercises this right, send, within 15 days after receipt of the notice referred to in Article 25, a copy of its response to the Center, the party making the challenge and any appointed arbitrator.

Article 27

The Tribunal may, in its discretion, suspend or continue the arbitral proceedings during the pendency of the challenge.

Article 28

The other party may agree to the challenge or the arbitrator may voluntarily withdraw. In either case, the arbitrator shall be replaced without any implication that the grounds for the challenge are valid.

Article 29

If the other party does not agree to the challenge and the challenged arbitrator does not withdraw, the decision on the challenge shall be made by the Center in accordance with its internal procedures. Such a decision is of an administrative nature and shall be final. The Center shall not be required to state reasons for its decision.

Release from Appointment**Article 30**

At the arbitrator's own request, an arbitrator may be released from appointment as arbitrator either with the consent of the parties or by the Center.

Article 31

Irrespective of any request by the arbitrator, the parties may jointly release the arbitrator from appointment as arbitrator. The parties shall promptly notify the Center of such release.

Article 32

At the request of a party or on its own motion, the Center may release an arbitrator from appointment as arbitrator if the arbitrator has become *de jure* or *de facto* unable to fulfill, or fails to fulfill, the duties of an arbitrator. In such a case, the parties shall be offered the opportunity to express their views thereon and the provisions of Articles 26 to 29 shall apply *mutatis mutandis*.

Replacement of an Arbitrator

Article 33

- (a) Whenever necessary, a substitute arbitrator shall be appointed pursuant to the procedure provided for in Articles 15 to 19 that was applicable to the appointment of the arbitrator being replaced.
- (b) In the event that an arbitrator nominated by a party has either been successfully challenged on grounds which were known or should have been known to that party at the time of nomination, or has been released from appointment as arbitrator in accordance with Article 32, the Center shall have the discretion not to permit that party to make a new nomination. If it chooses to exercise this discretion, the Center shall make the substitute appointment.
- (c) Pending the replacement, the arbitral proceedings shall be suspended, unless otherwise agreed by the parties.

Article 34

Whenever a substitute arbitrator is appointed, the Tribunal shall, having regard to any observations of the parties, determine in its sole discretion whether all or part of any prior hearings are to be repeated.

Truncated Tribunal

Article 35

- (a) If an arbitrator on a three-person Tribunal, though duly notified and without good cause, fails to participate in the work of the Tribunal, the two other arbitrators shall, unless a party has made an application under Article 32, have the power in their sole discretion to continue the arbitration and to make any award, order or other decision, notwithstanding the failure of the third arbitrator to participate. In determining whether to continue the arbitration or to render any award, order or other decision without the participation of an arbitrator, the two other arbitrators shall take into account the stage of the arbitration, the reason, if any, expressed by the third arbitrator for such non-participation, and such other matters as they consider appropriate in the circumstances of the case.
- (b) In the event that the two other arbitrators determine not to continue the arbitration without the participation of a third arbitrator, the Center shall, on proof satisfactory to it of the failure of the arbitrator to participate in the work of the Tribunal, declare the office vacant, and a substitute arbitrator shall be appointed by the Center in the exercise of the discretion defined in Article 33, unless the parties agree otherwise.

Pleas as to the Jurisdiction of the Tribunal

Article 36

- (a) The Tribunal shall have the power to hear and determine objections to its own jurisdiction, including any objections with respect to form, existence, validity or scope of the Arbitration Agreement examined pursuant to Article 61(c).
- (b) The Tribunal shall have the power to determine the existence or validity of any contract of which the Arbitration Agreement forms part or to which it relates.
- (c) A plea that the Tribunal does not have jurisdiction shall be raised not later than in the Statement of Defense or, with respect to a counter-claim or a set-off, the Statement of Defense thereto, failing which any such plea shall be barred in the subsequent arbitral proceedings or before any court. A plea that the Tribunal is exceeding the scope of its authority shall be raised as soon as the matter alleged to be beyond the scope of its authority is raised during the arbitral proceedings. The Tribunal may, in either case, admit a later plea if it considers the delay justified.
- (d) The Tribunal may rule on a plea referred to in paragraph (c) as a preliminary question or, in its sole discretion, decide on such a plea in the final award.
- (e) A plea that the Tribunal lacks jurisdiction shall not preclude the Center from administering the arbitration.

IV. CONDUCT OF THE ARBITRATION

General Powers of the Tribunal

Article 37

- (a) Subject to Article 3, the Tribunal may conduct the arbitration in such manner as it considers appropriate.
- (b) In all cases, the Tribunal shall ensure that the parties are treated with equality and that each party is given a fair opportunity to present its case.
- (c) The Tribunal shall ensure that the arbitral procedure takes place with due expedition. It may, at the request of a party or on its own motion, extend in exceptional cases a period of time fixed by these Rules, by itself or agreed to by the parties. In urgent cases, such an extension may be granted by the presiding arbitrator alone.

Place of Arbitration

Article 38

- (a) Unless otherwise agreed by the parties, the place of arbitration shall be decided by the Center, taking into consideration any observations of the parties and the circumstances of the arbitration.
- (b) The Tribunal may, after consultation with the parties, conduct hearings at any place that it considers appropriate. It may deliberate wherever it deems appropriate.
- (c) The award shall be deemed to have been made at the place of arbitration.

Language of Arbitration

Article 39

- (a) Unless otherwise agreed by the parties, the language of the arbitration shall be the language of the Arbitration Agreement, subject to the power of the Tribunal to determine otherwise, having regard to any observations of the parties and the circumstances of the arbitration.
- (b) The Tribunal may order that any documents submitted in languages other than the language of arbitration be accompanied by a translation in whole or in part into the language of arbitration.

Preparatory Conference

Article 40

The Tribunal shall, in general within 30 days after its establishment, conduct a preparatory conference with the parties by telephone, videoconference or using online tools, or in any suitable format for the purpose of organizing and scheduling the subsequent proceedings in a time and cost efficient manner.

Statement of Claim

Article 41

- (a) Unless the Statement of Claim accompanied the Request for Arbitration, the Claimant shall, within 30 days after receipt of notification from the Center of the establishment of the Tribunal, communicate its Statement of Claim to the Respondent and to the Tribunal.
- (b) The Statement of Claim shall contain a comprehensive statement of the facts and legal arguments supporting the claim, including a statement of the relief sought.
- (c) The Statement of Claim shall, to as large an extent as possible, be accompanied by the evidence upon which the Claimant relies, together with a schedule of such evidence. Where the evidence is especially voluminous, the Claimant may add a reference to further evidence it is prepared to submit.

Statement of Defense

Article 42

- (a) The Respondent shall, within 30 days after receipt of the Statement of Claim or within 30 days after receipt of notification from the Center of the establishment of the Tribunal, whichever occurs later, communicate its Statement of Defense to the Claimant and to the Tribunal.
- (b) The Statement of Defense shall reply to the particulars of the Statement of Claim required pursuant to Article 41(b). The Statement of Defense shall be accompanied by the evidence upon which the Respondent relies, in the manner described in Article 41(c).
- (c) Any counter-claim or set-off by the Respondent shall be made or asserted in the Statement of Defense or, in exceptional circumstances, at a later stage in the arbitral proceedings if so determined by the Tribunal. Any such counter-claim or set-off shall contain the same particulars as those specified in Article 41(b) and (c).

Further Written Statements

Article 43

- (a) In the event that a counter-claim or set-off has been made or asserted, the Claimant shall reply to the particulars thereof. Article 42(a) and (b) shall apply *mutatis mutandis* to such reply.
- (b) The Tribunal may, in its discretion, allow or require further written statements.

Amendments to Claims or Defense

Article 44

Subject to any contrary agreement by the parties, a party may amend or supplement its claim, counter-claim, defense or set-off during the course of the arbitral proceedings, unless the Tribunal considers it inappropriate to allow such amendment having regard to its nature or the delay in making it and to the provisions of Article 37(b) and (c).

Communication Between Parties and Tribunal

Article 45

Except as otherwise provided in these Rules or permitted by the Tribunal, no party or anyone acting on its behalf may have any ex parte communication with any arbitrator with respect to any matter of substance relating to the arbitration, it being understood that nothing in this paragraph shall prohibit ex parte communications which concern matters of a purely organizational nature, such as the physical facilities, the use of online tools, place, date or time of the hearings.

Joinder

Article 46

At the request of a party, the Tribunal may order the joinder of an additional party to the arbitration provided all parties, including the additional party, agree. Any such order shall take account of all relevant circumstances, including the stage reached in the arbitration. The request shall be addressed together with the Request for Arbitration or the Answer to the Request, as the case may be, or, if a party becomes aware at a later stage of circumstances that it considers relevant for a joinder, within 15 days after acquiring that knowledge.

Consolidation

Article 47

Where an arbitration is commenced that concerns a subject matter substantially related to that in dispute in other arbitral proceedings pending under these Rules or involving the same parties, the Center may order, after consulting with all concerned parties and any Tribunal appointed in the pending proceedings, to consolidate the new arbitration with the pending proceedings, provided all parties and any appointed Tribunal agree. Such consolidation shall take into account all relevant circumstances, including the stage reached in the pending proceedings.

Interim Measures of Protection and Security for Claims and Costs

Article 48

- (a) At the request of a party, the Tribunal may issue any provisional orders or take other interim measures it deems necessary, including injunctions and measures for the conservation of goods which form part of the subject matter in dispute, such as an order for their deposit with a third person or for the sale of perishable goods. The Tribunal may make the granting of such measures subject to appropriate security being furnished by the requesting party.
- (b) At the request of a party, the Tribunal may order the other party to provide security, in a form to be determined by the Tribunal, for the claim or counter-claim, as well as for costs referred to in Article 74.
- (c) Measures and orders contemplated under this Article may take the form of an interim award.
- (d) A request addressed by a party to a judicial authority for interim measures or for security for the claim or counter-claim, or for the implementation of any such measures or orders granted by the Tribunal, shall not be deemed incompatible with the Arbitration Agreement, or deemed to be a waiver of that Agreement.

Emergency Relief Proceedings

Article 49

- (a) Unless otherwise agreed by the parties, the provisions of this Article shall apply to arbitrations conducted under Arbitration Agreements entered on or after June 1, 2014.
- (b) A party seeking urgent interim relief prior to the establishment of the Tribunal may submit a request for such emergency relief to the Center. The request for emergency relief shall include the particulars set out in Article 9(ii) to (iv), as well as a statement of the interim measures sought and the reasons why such relief is needed on an emergency basis. The Center shall inform the other party of the receipt of the request for emergency relief.
- (c) The date of commencement of the emergency relief proceedings shall be the date on which the request referred to in paragraph (b) is received by the Center.
- (d) The request for emergency relief shall be subject to proof of payment of the administration fee and of the initial deposit of the emergency arbitrator's fees in accordance with the Schedule of Fees applicable on the date of commencement of the emergency relief proceedings.
- (e) Upon receipt of the request for emergency relief, the Center shall promptly, normally within two days, appoint a sole emergency arbitrator. Articles 22 to 29 shall apply *mutatis mutandis* whereby the periods of time referred to in Articles 25 and 26 shall be three days.
- (f) The emergency arbitrator shall have the powers vested in the Tribunal under Article 36(a) and (b), including the authority to determine its own jurisdiction. Article 36(e) shall apply *mutatis mutandis*.
- (g) The emergency arbitrator may conduct the proceedings in such manner as it considers appropriate, taking due account of the urgency of the request. The emergency arbitrator shall ensure that each party is given a fair opportunity to present its case. The emergency arbitrator may provide for proceedings by telephone, videoconference or online tools, or on written submissions as alternatives to a hearing.
- (h) If the parties have agreed upon the place of arbitration, that place shall be the place of the emergency relief proceedings. In the absence of such agreement, the place of the emergency relief proceedings shall be decided by the Center, taking into consideration any observations made by the parties and the circumstances of the emergency relief proceedings.

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- (i) The emergency arbitrator may order any interim measure it deems necessary. The emergency arbitrator may make the granting of such orders subject to appropriate security being furnished by the requesting party. Article 48(c) and (d) shall apply *mutatis mutandis*. Upon request, the emergency arbitrator may modify or terminate the order.
- (j) The emergency arbitrator shall terminate emergency relief proceedings if arbitration is not commenced within 30 days from the date of commencement of the emergency relief proceedings.
- (k) The costs of the emergency relief proceedings shall be initially fixed and apportioned by the emergency arbitrator in consultation with the Center, in accordance with the Schedule of Fees applicable on the date of commencement of the emergency relief proceedings, subject to the Tribunal's power to make a final determination of the apportionment of such costs under Article 73(c).
- (l) Unless otherwise agreed by the parties, the emergency arbitrator may not act as an arbitrator in any arbitration relating to the dispute.
- (m) The emergency arbitrator shall have no further powers to act once the Tribunal is established. Upon request by a party, the Tribunal may modify or terminate any measure ordered by the emergency arbitrator.

Evidence

Article 50

- (a) The Tribunal shall determine the admissibility, relevance, materiality and weight of evidence.
- (b) At any time during the arbitration, the Tribunal may, at the request of a party or on its own motion, order a party to produce such documents or other evidence as it considers necessary or appropriate and may order a party to make available to the Tribunal or to an expert appointed by it or to the other party any property in its possession or control for inspection or testing.

Experiments

Article 51

- (a) A party may give notice to the Tribunal and to the other party at any reasonable time before a hearing that specified experiments have been conducted on which it intends to rely. The notice shall specify the purpose of the experiment, a summary of the experiment, the method employed, the results and the conclusion. The other party may by notice to the Tribunal request that any or all such experiments be repeated in its presence. If the Tribunal considers such request justified, it shall determine the timetable for the repetition of the experiments.

- (b) For the purposes of this Article, “experiments” shall include tests or other processes of verification.

Site Visits

Article 52

The Tribunal may, at the request of a party or on its own motion, inspect or require the inspection of any site, property, machinery, facility, production line, model, film, material, product or process as it deems appropriate. A party may request such an inspection at any reasonable time prior to any hearing, and the Tribunal, if it grants such a request, shall determine the timing and arrangements for the inspection.

Agreed Primers and Models

Article 53

The Tribunal may, where the parties so agree, determine that they shall jointly provide:

- (i) a technical primer setting out the background of the scientific, technical or other specialized information necessary to fully understand the matters in issue; and
- (ii) models, drawings or other materials that the Tribunal or the parties require for reference purposes at any hearing.

Disclosure of Trade Secrets and Other Confidential Information

Article 54

- (a) For the purposes of this Article, confidential information shall mean any information, regardless of the medium in which it is expressed, which is:
 - (i) in the possession of a party;
 - (ii) not accessible to the public;
 - (iii) of commercial, financial or industrial significance; and
 - (iv) treated as confidential by the party possessing it.
- (b) A party invoking the confidentiality of any information it wishes or is required to submit in the arbitration, including to an expert appointed by the Tribunal, shall make an application to have the information classified as confidential by notice to the Tribunal, with a copy to the other party. Without disclosing the substance of the information, the party shall give in the notice the reasons for which it considers the information confidential.
- (c) The Tribunal shall determine whether the information is to be classified as confidential and of such a nature that the absence of special measures of protection in the proceedings would be likely to cause serious harm to the party invoking its confidentiality. If the Tribunal so

determines, it shall decide under which conditions and to whom the confidential information may in part or in whole be disclosed and shall require any person to whom the confidential information is to be disclosed to sign an appropriate confidentiality undertaking.

- (d) In exceptional circumstances, in lieu of itself determining whether the information is to be classified as confidential and of such nature that the absence of special measures of protection in the proceedings would be likely to cause serious harm to the party invoking its confidentiality, the Tribunal may, at the request of a party or on its own motion and after consultation with the parties, designate a confidentiality advisor who will determine whether the information is to be so classified, and, if so, decide under which conditions and to whom it may in part or in whole be disclosed. Any such confidentiality advisor shall be required to sign an appropriate confidentiality undertaking.
- (e) The Tribunal may also, at the request of a party or on its own motion, appoint the confidentiality advisor as an expert in accordance with Article 57 in order to report to it, on the basis of the confidential information, on specific issues designated by the Tribunal without disclosing the confidential information either to the party from whom the confidential information does not originate or to the Tribunal.

Hearings

Article 55

- (a) If either party so requests, the Tribunal shall hold a hearing for the presentation of evidence by witnesses, including expert witnesses, or for oral argument or for both. In the absence of a request, the Tribunal shall decide whether to hold such a hearing or hearings. The Tribunal shall decide, after consultation with the parties, whether the hearing will be conducted by videoconference, using online tools, or in-person. If no hearings are held, the proceedings shall be conducted on the basis of documents and other materials alone.
- (b) In the event of a hearing, the Tribunal shall give the parties adequate advance notice of the date, time, videoconference or online tools to be used, or place.
- (c) Unless the parties agree otherwise, all hearings shall be in private.
- (d) The Tribunal shall determine whether and, if so, in what form a record shall be made of any hearing.

Witnesses

Article 56

- (a) Before any hearing, the Tribunal may require either party to give notice of the identity of witnesses it wishes to call, whether witness of fact or expert witness, as well as of the subject matter of their testimony and its relevance to the issues.
- (b) The Tribunal has discretion, on the grounds of redundancy and irrelevance, to limit or refuse the appearance of any witness.
- (c) Any witness who gives oral evidence may be questioned, under the control of the Tribunal, by each of the parties. The Tribunal may put questions at any stage of the examination of the witnesses.
- (d) The testimony of witnesses may, either at the choice of a party or as directed by the Tribunal, be submitted in written form, whether by way of signed statements, sworn affidavits or otherwise, in which case the Tribunal may make the admissibility of the testimony conditional upon the witnesses being made available for oral testimony.
- (e) A party shall be responsible for the practical arrangements, cost and availability of any witness it calls.
- (f) The Tribunal shall determine whether any witness shall retire during any part of the proceedings, particularly during the testimony of other witnesses.

Experts Appointed by the Tribunal

Article 57

- (a) The Tribunal may, at the preparatory conference or at a later stage, and after consultation with the parties, appoint one or more independent experts to report to it on specific issues designated by the Tribunal. A copy of the expert's terms of reference, established by the Tribunal, having regard to any observations of the parties, shall be communicated to the parties. Any such expert shall be required to sign an appropriate confidentiality undertaking.
- (b) Subject to Article 54, upon receipt of the expert's report, the Tribunal shall communicate a copy of the report to the parties, which shall be given the opportunity to express, in writing, their opinion on the report. A party may, subject to Article 54, examine any document on which the expert has relied in such a report.
- (c) At the request of a party, the parties shall be given the opportunity to question the expert at a hearing. At this hearing, the parties may present expert witnesses to testify on the points at issue.

- (d) The opinion of any expert on the issue or issues submitted to the expert shall be subject to the Tribunal's power of assessment of those issues in the context of all the circumstances of the case, unless the parties have agreed that the expert's determination shall be conclusive in respect of any specific issue.

Default

Article 58

- (a) If the Claimant, without showing good cause, fails to submit its Statement of Claim in accordance with Article 41, the Tribunal shall terminate the proceedings.
- (b) If the Respondent, without showing good cause, fails to submit its Statement of Defense in accordance with Article 42, the Tribunal may nevertheless proceed with the arbitration and make the award.
- (c) The Tribunal may also proceed with the arbitration and make the award if a party, without showing good cause, fails to avail itself of the opportunity to present its case within the period of time determined by the Tribunal.
- (d) If a party, without showing good cause, fails to comply with any provision of, or requirement under, these Rules or any direction given by the Tribunal, the Tribunal may draw the inferences therefrom that it considers appropriate.

Closure of Proceedings

Article 59

- (a) The Tribunal shall declare the proceedings closed when it is satisfied that the parties have had adequate opportunity to present submissions and evidence.
- (b) The Tribunal may, if it considers it necessary owing to exceptional circumstances, decide, on its own motion or upon application of a party, to re-open the proceedings it declared to be closed at any time before the award is made.

Waiver

Article 60

A party which knows that any provision of these Rules, any requirement under the Arbitration Agreement, or any direction given by the Tribunal, has not been complied with, and yet proceeds with the arbitration without promptly recording an objection to such non-compliance, shall be deemed to have waived its right to object.

V. AWARDS AND OTHER DECISIONS

Laws Applicable to the Substance of the Dispute, the Arbitration and the Arbitration Agreement

Article 61

- (a) The Tribunal shall decide the substance of the dispute in accordance with the law or rules of law chosen by the parties. Any designation of the law of a given State shall be construed, unless otherwise expressed, as directly referring to the substantive law of that State and not to its conflict of laws rules. Failing a choice by the parties, the Tribunal shall apply the law or rules of law that it determines to be appropriate. In all cases, the Tribunal shall decide having due regard to the terms of any relevant contract and taking into account applicable trade usages. The Tribunal may decide as *amiable compositeur* or *ex aequo et bono* only if the parties have expressly authorized it to do so.
- (b) The law applicable to the arbitration shall be the arbitration law of the place of arbitration, unless the parties have expressly agreed on the application of another arbitration law and such agreement is permitted by the law of the place of arbitration.
- (c) An Arbitration Agreement shall be regarded as effective if it conforms to the requirements concerning form, existence, validity and scope of either the law or rules of law applicable in accordance with paragraph (a), or the law applicable in accordance with paragraph (b).

Currency and Interest

Article 62

- (a) Monetary amounts in the award may be expressed in any currency.
- (b) The Tribunal may award simple or compound interest to be paid by a party on any sum awarded against that party. It shall be free to determine the interest at such rates as it considers to be appropriate, without being bound by legal rates of interest, and shall be free to determine the period for which the interest shall be paid.

Decision-Making

Article 63

Unless the parties have agreed otherwise, where there is more than one arbitrator, any award, order or other decision of the Tribunal shall be made by a majority. In the absence of a majority, the presiding arbitrator shall make the award, order or other decision as if acting as sole arbitrator.

Form and Notification of Awards

Article 64

- (a) The Tribunal may make separate awards on different issues at different times.
- (b) The award shall be in writing and shall state the date on which it was made, as well as the place of arbitration in accordance with Article 38(a).
- (c) The award shall state the reasons on which it is based, unless the parties have agreed that no reasons should be stated and the law applicable to the arbitration does not require the statement of such reasons.
- (d) The award shall be signed by the arbitrator or arbitrators. The signature of the award by a majority of the arbitrators, or, in the case of Article 63, second sentence, by the presiding arbitrator, shall be sufficient. Where an arbitrator fails to sign, the award shall state the reason for the absence of the signature.
- (e) The Tribunal may consult the Center with regard to matters of form, particularly to ensure the enforceability of the award.
- (f) The award shall be communicated by the Tribunal to the Center in a number of originals sufficient to provide one for each party, the arbitrator or arbitrators and the Center. The Center shall formally communicate an original of the award to each party and the arbitrator or arbitrators.
- (g) At the request of a party, the Center shall provide it, at cost, with a copy of the award certified by the Center. A copy so certified shall be deemed to comply with the requirements of Article IV(1)(a) of the Convention on the Recognition and Enforcement of Foreign Arbitral Awards, New York, June 10, 1958.

Time Period for Delivery of the Final Award

Article 65

- (a) The arbitration should, wherever reasonably possible, be heard and the proceedings declared closed within not more than nine months after either the delivery of the Statement of Defense or the establishment of the Tribunal, whichever event occurs later. The final award should, wherever reasonably possible, be made within three months thereafter.
- (b) If the proceedings are not declared closed within the period of time specified in paragraph (a), the Tribunal shall send the Center a status report on the arbitration, with a copy to each party. It shall send a further status report to the Center, and a copy to each party, at the end of each ensuing period of three months during which the proceedings have not been declared closed.

- (c) If the final award is not made within three months after the closure of the proceedings, the Tribunal shall send the Center a written explanation for the delay, with a copy to each party. It shall send a further explanation, and a copy to each party, at the end of each ensuing period of one month until the final award is made.

Effect of Award

Article 66

- (a) By agreeing to arbitration under these Rules, the parties undertake to carry out the award without delay, and waive their right to any form of appeal or recourse to a court of law or other judicial authority, insofar as such waiver may validly be made under the applicable law.
- (b) The award shall be effective and binding on the parties as from the date it is communicated by the Center pursuant to Article 64(f), second sentence.

Settlement or Other Grounds for Termination

Article 67

- (a) The Tribunal may suggest that the parties explore settlement, including by commencing mediation, at such times as the Tribunal may deem appropriate.
- (b) If, before the award is made, the parties agree on a settlement of the dispute, the Tribunal shall terminate the arbitration and, if requested jointly by the parties, record the settlement in the form of a consent award. The Tribunal shall not be obliged to give reasons for such an award.
- (c) If, before the award is made, the continuation of the arbitration becomes unnecessary or impossible for any reason not mentioned in paragraph (b), the Tribunal shall inform the parties of its intention to terminate the arbitration. The Tribunal shall have the power to issue such an order terminating the arbitration, unless a party raises justifiable grounds for objection within a period of time to be determined by the Tribunal.
- (d) The consent award or the order for termination of the arbitration shall be signed by the arbitrator or arbitrators in accordance with Article 64(d) and shall be communicated by the Tribunal to the Center in a number of originals sufficient to provide one for each party, the arbitrator or arbitrators and the Center. The Center shall formally communicate an original of the consent award or the order for termination to each party and the arbitrator or arbitrators.

Correction of the Award and Additional Award

Article 68

- (a) Within 30 days after receipt of the award, a party may, by notice to the Tribunal, with a copy to the Center and the other party, request the Tribunal to correct in the award any clerical, typographical or computational errors. If the Tribunal considers the request to be justified, it shall make the correction within 30 days after receipt of the request. Any correction, which shall take the form of a separate memorandum, signed by the Tribunal in accordance with Article 64(d), shall become part of the award.
- (b) The Tribunal may correct any error of the type referred to in paragraph (a) on its own initiative within 30 days after the date of the award.
- (c) A party may, within 30 days after receipt of the award, by notice to the Tribunal, with a copy to the Center and the other party, request the Tribunal to make an additional award as to claims presented in the arbitral proceedings but not dealt with in the award. Before deciding on the request, the Tribunal shall give the parties an opportunity to be heard. If the Tribunal considers the request to be justified, it shall, wherever reasonably possible, make the additional award within 60 days of receipt of the request.

VI. FEES AND COSTS

Fees of the Center

Article 69

- (a) The Request for Arbitration shall be subject to the payment to the Center of a non-refundable registration fee. The amount of the registration fee shall be fixed in the Schedule of Fees applicable on the date on which the Request for Arbitration is received by the Center.
- (b) Any counter-claim by a Respondent shall be subject to the payment to the Center of a non-refundable registration fee. The amount of the registration fee shall be fixed in the Schedule of Fees applicable on the date on which the Request for Arbitration is received by the Center.
- (c) No action shall be taken by the Center on a Request for Arbitration or counter-claim until the registration fee has been paid.
- (d) If a Claimant or Respondent fails, within 15 days after a reminder in writing from the Center, to pay the registration fee, it shall be deemed to have withdrawn its Request for Arbitration or counter-claim, as the case may be.

Article 70

- (a) An administration fee shall be payable by the Claimant to the Center within 30 days after the Claimant has received notification from the Center of the amount to be paid.
- (b) In the case of a counter-claim, an administration fee shall also be payable by the Respondent to the Center within 30 days after the Respondent has received notification from the Center of the amount to be paid.
- (c) The amount of the administration fee shall be calculated in accordance with the Schedule of Fees applicable on the date of commencement of the arbitration.
- (d) Where a claim or counter-claim is increased, the amount of the administration fee may be increased in accordance with the Schedule of Fees applicable under paragraph (c), and the increased amount shall be payable by the Claimant or the Respondent, as the case may be.
- (e) If a party fails, within 15 days after a reminder in writing from the Center, to pay any administration fee due, it shall be deemed to have withdrawn its claim or counter-claim, or its increase in claim or counter-claim, as the case may be.
- (f) The Tribunal shall, in a timely manner, inform the Center of the amount of the claim and any counter-claim, as well as any increase thereof.

Fees of the Arbitrators**Article 71**

The amount and currency of the fees of the arbitrators and the modalities and timing of their payment shall be fixed by the Center, after consultation with the arbitrators and the parties, in accordance with the Schedule of Fees applicable on the date on which the Request for Arbitration is received by the Center.

Deposits**Article 72**

- (a) Upon receipt of notification from the Center of the establishment of the Tribunal, the Claimant and the Respondent shall each deposit an equal amount as an advance for the costs of arbitration referred to in Article 73. The amount of the deposit shall be determined by the Center.
- (b) In the course of the arbitration, the Center may require that the parties make supplementary deposits.
- (c) If the required deposits are not paid in full within 30 days after receipt of the corresponding notification, the Center shall so inform the parties in order that one or other of them may make the required payment.

- (d) Where the amount of the counter-claim greatly exceeds the amount of the claim or involves the examination of significantly different matters, or where it otherwise appears appropriate in the circumstances, the Center in its discretion may establish two separate deposits on account of claim and counter-claim. If separate deposits are established, the totality of the deposit on account of claim shall be paid by the Claimant and the totality of the deposit on account of counter-claim shall be paid by the Respondent.
- (e) If a party fails, within 15 days after a reminder in writing from the Center, to pay the required deposit, it shall be deemed to have withdrawn the relevant claim or counter-claim.
- (f) After the award has been made, the Center shall, in accordance with the award, render an accounting to the parties of the deposits received and return any unexpended balance to the parties or require the payment of any amount owing from the parties.

Award of Costs of Arbitration

Article 73

- (a) In its award, the Tribunal shall fix the costs of arbitration, which shall consist of:
 - (i) the arbitrators' fees;
 - (ii) the properly incurred travel, communication and other expenses of the arbitrators;
 - (iii) the costs of expert advice and such other assistance required by the Tribunal pursuant to these Rules; and
 - (iv) such other expenses as are necessary for the conduct of the arbitration proceedings, such as the cost of meeting and hearing facilities.
- (b) The aforementioned costs shall, as far as possible, be debited from the deposits required under Article 72.
- (c) The Tribunal shall, subject to any agreement of the parties, apportion the costs of arbitration and the registration and administration fees of the Center between the parties in the light of all the circumstances and the outcome of the arbitration.

Award of Costs Incurred by a Party

Article 74

In its award, the Tribunal may, subject to any contrary agreement by the parties and in the light of all the circumstances and the outcome of the arbitration, order a party to pay the whole or part of reasonable expenses incurred by the other

party in presenting its case, including those incurred for legal representatives and witnesses.

VII. CONFIDENTIALITY

Confidentiality of the Existence of the Arbitration

Article 75

- (a) Except to the extent necessary in connection with a court challenge to the arbitration or an action for enforcement of an award, no information concerning the existence of an arbitration may be unilaterally disclosed by a party to any third party unless it is required to do so by law or by a competent regulatory body, and then only:
 - (i) by disclosing no more than what is legally required; and
 - (ii) by furnishing to the Tribunal and to the other party, if the disclosure takes place during the arbitration or to the other party alone, if the disclosure takes place after the termination of the arbitration, details of the disclosure and an explanation of the reason for it.
- (b) Notwithstanding paragraph (a), a party may disclose to a third party the names of the parties to the arbitration and the relief requested for the purpose of satisfying any obligation of good faith or candor owed to that third party.

Confidentiality of Disclosures Made During the Arbitration

Article 76

- (a) In addition to any specific measures that may be available under Article 54, any documentary or other evidence given by a party or a witness in the arbitration shall be treated as confidential and, to the extent that such evidence describes information that is not in the public domain, shall not be used or disclosed to any third party by a party whose access to that information arises exclusively as a result of its participation in the arbitration for any purpose without the consent of the parties or order of a court having jurisdiction.
- (b) For the purposes of this Article, a witness called by a party shall not be considered to be a third party. To the extent that a witness is given access to evidence or other information obtained in the arbitration in order to prepare the witness's testimony, the party calling such witness shall be responsible for the maintenance by the witness of the same degree of confidentiality as that required of the party.

Confidentiality of the Award

Article 77

The award shall be treated as confidential by the parties and may only be disclosed to a third party if and to the extent that:

- (i) the parties consent; or
- (ii) it falls into the public domain as a result of an action before a national court or other competent authority; or
- (iii) it must be disclosed in order to comply with a legal requirement imposed on a party or in order to establish or protect a party's legal rights against a third party.

Maintenance of Confidentiality by the Center and Arbitrator

Article 78

- (a) Unless the parties agree otherwise, the Center and the arbitrator shall maintain the confidentiality of the arbitration, the award and, to the extent that they describe information that is not in the public domain, any documentary or other evidence disclosed during the arbitration, except to the extent necessary in connection with a court action relating to the award, or as otherwise required by law.
- (b) Notwithstanding paragraph (a), the Center may include information concerning the arbitration in any aggregate statistical data that it publishes concerning its activities, provided that such information does not enable the parties or the particular circumstances of the dispute to be identified.

VIII. MISCELLANEOUS

Exclusion of Liability

Article 79

Except in respect of deliberate wrongdoing, the arbitrator or arbitrators, WIPO and the Center shall not be liable to a party for any act or omission in connection with the arbitration.

Waiver of Defamation

Article 80

The parties and, by acceptance of appointment, the arbitrator agree that any statements or comments, whether written or oral, made or used by them or their representatives in preparation for or in the course of the arbitration shall not be relied upon to found or maintain any action for defamation, libel, slander or any related complaint, and this Article may be pleaded as a bar to any such action.

WIPO Expedited Arbitration Rules

(Effective from July 1, 2021)

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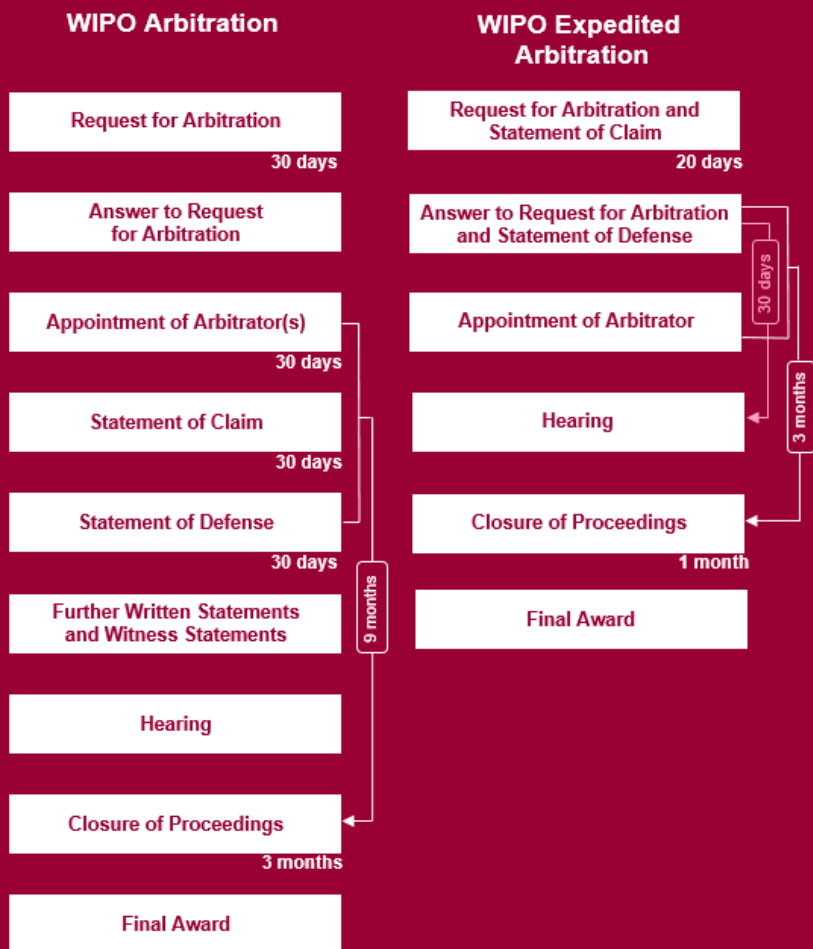
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INTRODUCTION

The WIPO Expedited Arbitration Rules consist of the WIPO Arbitration Rules modified in certain respects in order to ensure that the arbitration can be conducted in a shortened time frame and at reduced cost. To achieve these objectives, five main modifications have been introduced:

- (i) No registration fee applies, and the administration fee is lower than that applicable to an arbitration conducted under the WIPO Arbitration Rules. Fixed arbitrator's fees apply to disputes of up to USD 10 million.
- (ii) The Statement of Claim must accompany (and not be filed later and separately from) the Request for Arbitration. Similarly, the Statement of Defense must accompany the Answer to the Request.
- (iii) Unless otherwise agreed, there is always a sole arbitrator.
- (iv) Any hearings before the arbitrator are condensed and may not, save in exceptional circumstances, exceed three days.
- (v) The time limits applying to the various stages of the arbitral proceedings have been shortened. In particular, the proceedings should, whenever reasonably possible, be declared closed within three months (as opposed to nine months under the WIPO Arbitration Rules) of either the delivery of the Statement of Defense or the establishment of the Tribunal, whichever event occurs later, and the final award should, whenever reasonably possible, be made within one month (as opposed to three months under the WIPO Arbitration Rules) thereafter.

Principal Steps in WIPO Arbitration and Expedited Arbitration



I. GENERAL PROVISIONS

Abbreviated Expressions

Article 1

In these Rules:

“Arbitration Agreement” means an agreement by the parties to submit to arbitration all or certain disputes that have arisen or that may arise between them; an Arbitration Agreement may be in the form of an arbitration clause in a contract or in the form of a separate contract;

“Claimant” means the party initiating an arbitration;

“Respondent” means the party against which the arbitration is initiated, as named in the Request for Arbitration;

“Tribunal” means the sole arbitrator;

“WIPO” means the World Intellectual Property Organization;

“Center” means the WIPO Arbitration and Mediation Center.

Words used in the singular include the plural and *vice versa*, as the context may require.

Scope of Application of Rules

Article 2

Where an Arbitration Agreement provides for arbitration under the WIPO Expedited Arbitration Rules, these Rules shall be deemed to form part of that Arbitration Agreement and the dispute shall be settled in accordance with these Rules, as in effect on the date of the commencement of the arbitration, unless the parties have agreed otherwise.

Article 3

- (a) These Rules shall govern the arbitration, except that, where any of these Rules is in conflict with a provision of the law applicable to the arbitration from which the parties cannot derogate, that provision shall prevail.
- (b) The law applicable to the arbitration shall be determined in accordance with Article 55(b).

Notices and Periods of Time

Article 4

- (a) Any notice or other communication that may or is required to be given under these Rules shall be in writing and shall be delivered by email or other means of electronic communication that provide a record thereof, unless a party decides to use also expedited postal or courier service.

- (b) A party's last known residence or place of business shall be a valid address for the purpose of any notice or other communication in the absence of any notification of a change by that party. Communications may in any event be addressed to a party in the manner stipulated or, failing such a stipulation, according to the practice followed in the course of the dealings between the parties.
- (c) For the purpose of determining the date of commencement of a time limit, a notice or other communication shall be deemed to have been received on the day it is delivered in accordance with paragraphs (a) and (b) of this Article.
- (d) For the purpose of determining compliance with a time limit, a notice or other communication shall be deemed to have been sent, made or transmitted if it is dispatched, in accordance with paragraphs (a) and (b) of this Article, prior to or on the day of the expiration of the time limit.
- (e) For the purpose of calculating a period of time under these Rules, such period shall begin to run on the day following the day when a notice or other communication is received. If the last day of such period is an official holiday or a non-business day at the residence or place of business of the addressee, the period is extended until the first business day that follows. Official holidays or non-business days occurring during the running of the period of time are included in calculating the period.
- (f) The parties may agree to reduce or extend the periods of time referred to in Articles 11, 14(b)(iii), 37(a), 49(b) and 51(a).
- (g) The Center may, at the request of a party or on its own motion, extend the periods of time referred to in Articles 11, 14(b)(iii), 37(a), 49(b), 51(a), 62(e) and 64(e).
- (h) The Center may, in consultation with the parties, reduce the period of time referred to in Article 11.

Documents Required to be Submitted to the Center

Article 5

- (a) Until the notification by the Center of the establishment of the Tribunal, any written statement, notice or other communication required or allowed under these Rules shall be submitted by a party to the Center and a copy thereof shall at the same time be transmitted by that party to the other party.
- (b) Where a party decides to use expedited postal or courier service for the transmission of any written statement, notice or other communication so sent to the Center, it shall send it in a number of copies equal to the

number required to provide one copy for the Tribunal and one to the Center.

- (c) After the notification by the Center of the establishment of the Tribunal, any written statements, notices or other communications shall be submitted by a party directly to the Tribunal and a copy thereof shall at the same time be supplied by that party to the other party.
- (d) The Tribunal shall send to the Center a copy of each order or other decision that it makes.

II. COMMENCEMENT OF THE ARBITRATION

Request for Arbitration

Article 6

The Claimant shall transmit the Request for Arbitration to the Center and to the Respondent.

Article 7

The date of commencement of the arbitration shall be the date on which the Request for Arbitration, together with the Statement of Claim as required by Article 10, is received by the Center.

Article 8

The Center shall inform the Claimant and the Respondent of the receipt by it of the Request for Arbitration and Statement of Claim and of the date of the commencement of the arbitration.

Article 9

The Request for Arbitration shall contain:

- (i) a demand that the dispute be referred to arbitration under the WIPO Expedited Arbitration Rules;
- (ii) the names, addresses and telephone, e-mail or other communication references of the parties and of the representative of the Claimant;
- (iii) a copy of the Arbitration Agreement and, if applicable, any separate choice-of-law clause;
- (iv) any observations that the Claimant considers useful in connection with Articles 14 and 15; and
- (v) if applicable, the identity of any third party funder. If a funding agreement is concluded at a later stage of the proceedings, the identity of the third party funder shall be disclosed promptly to the parties, the Center, and the Tribunal.

Article 10

The Request for Arbitration shall be accompanied by the Statement of Claim in conformity with Article 35(a) and (b).

Answer to the Request and Statement of Defense

Article 11

- (a) Within 20 days from the date on which the Respondent receives the Request for Arbitration and Statement of Claim from the Claimant, the Respondent shall address to the Center and to the Claimant an Answer to the Request which shall contain comments on any of the items in the Request for Arbitration.
- (b) The Answer to the Request shall contain, if applicable, the identity of any third party funder. If a funding agreement is concluded at a later stage of the proceedings, the identity of the third party funder shall be disclosed promptly to the parties, the Center, and the Tribunal.

Article 12

The Answer to the Request shall be accompanied by the Statement of Defense in conformity with Article 36(a) and (b).

Representation

Article 13

- (a) The parties may be represented by persons of their choice, irrespective of, in particular, nationality or professional qualification. The names, addresses and telephone, e-mail or other communication references of representatives shall be communicated to the Center, the other party and, after its establishment, the Tribunal.
- (b) Each party shall ensure that its representatives have sufficient time available to enable the arbitration to proceed expeditiously.
- (c) The parties may also be assisted by persons of their choice.

III. COMPOSITION AND ESTABLISHMENT OF THE TRIBUNAL

Number and Appointment of Arbitrators

Article 14

- (a) The Tribunal shall consist of a sole arbitrator who shall be nominated by the parties, subject to confirmation of the appointment by the Center in accordance with Articles 17 and 18. The appointment shall be effective upon the Center's notification to the parties.
- (b) If the nomination of the arbitrator is not made within 15 days after the commencement of the arbitration, the appointment shall take place in accordance with the following procedure:

- (i) The Center shall send to each party an identical list of candidates. The list shall normally comprise the names of at least three candidates in alphabetical order. The list shall include or be accompanied by a statement of each candidate's qualifications. If the parties have agreed on any particular qualifications, the list shall contain the names of candidates that satisfy those qualifications.
 - (ii) Each party shall have the right to delete the name of any candidate or candidates to whose appointment it objects and shall number any remaining candidates in order of preference.
 - (iii) Each party shall return the marked list to the Center within seven days after the date on which the list is received by it. Any party failing to return a marked list within that period of time shall be deemed to have assented to all candidates appearing on the list.
 - (iv) As soon as possible after receipt by it of the lists from the parties, or failing this, after the expiration of the period of time specified in the previous subparagraph, the Center shall, taking into account the preferences and objections expressed by the parties, appoint a person from the list as arbitrator.
 - (v) If the lists which have been returned do not show a person who is acceptable as arbitrator to both parties, the Center shall be authorized to appoint the arbitrator. The Center shall similarly be authorized to do so if a person is not able or does not wish to accept the Center's invitation to be the arbitrator, or if there appear to be other reasons precluding that person from being the arbitrator, and there does not remain on the lists a person who is acceptable as arbitrator to both parties.
- (c) Notwithstanding the procedure provided in paragraph (b), the Center shall be authorized to appoint the arbitrator otherwise if it determines in its discretion that the procedure described in that paragraph is not appropriate for the case.

Nationality of Arbitrator

Article 15

- (a) An agreement of the parties concerning the nationality of the arbitrator shall be respected.
- (b) If the parties have not agreed on the nationality of the arbitrator, the arbitrator shall, in the absence of special circumstances, such as the need to appoint a person having particular qualifications, be a national of a country other than the countries of the parties.

Communication Between Parties and Candidates for Appointment as Arbitrator

Article 16

No party or anyone acting on its behalf shall have any *ex parte* communication with any candidate for appointment as arbitrator except to discuss the candidate's qualifications, availability or independence in relation to the parties.

Impartiality and Independence

Article 17

- (a) The arbitrator shall be impartial and independent.
- (b) The prospective arbitrator shall, before accepting appointment, disclose to the parties and the Center any circumstances that might give rise to justifiable doubt as to the arbitrator's impartiality or independence, or confirm in writing that no such circumstances exist.
- (c) If, at any stage during the arbitration, new circumstances arise that might give rise to justifiable doubt as to the arbitrator's impartiality or independence, the arbitrator shall promptly disclose such circumstances to the parties and the Center.

Availability, Acceptance and Notification

Article 18

- (a) The arbitrator shall, by accepting appointment, be deemed to have undertaken to make available sufficient time to enable the arbitration to be conducted and completed expeditiously.
- (b) The prospective arbitrator shall accept appointment in writing and shall communicate such acceptance to the Center.
- (c) The Center shall notify the parties of the establishment of the Tribunal.

Challenge of Arbitrator

Article 19

- (a) The arbitrator may be challenged by a party if circumstances exist that give rise to justifiable doubt as to the arbitrator's impartiality or independence.
- (b) A party may challenge an arbitrator in whose nomination it concurred, only for reasons of which it becomes aware after the nomination has been made.

Article 20

A party challenging the arbitrator shall send notice to the Center, the Tribunal and the other party, stating the reasons for the challenge, within seven days after being notified of the arbitrator's appointment pursuant to Article 18(c) or after

becoming aware of the circumstances that it considers give rise to justifiable doubt as to the arbitrator's impartiality or independence.

Article 21

When the arbitrator has been challenged by a party, the other party shall have the right to respond to the challenge and shall, if it exercises this right, send, within seven days after receipt of the notice referred to in Article 20, a copy of its response to the Center, the party making the challenge and the arbitrator.

Article 22

The Tribunal may, in its discretion, suspend or continue the arbitral proceedings during the pendency of the challenge.

Article 23

The other party may agree to the challenge or the arbitrator may voluntarily withdraw. In either case, the arbitrator shall be replaced without any implication that the grounds for the challenge are valid.

Article 24

If the other party does not agree to the challenge and the arbitrator does not withdraw, the decision on the challenge shall be made by the Center in accordance with its internal procedures. Such a decision is of an administrative nature and shall be final. The Center shall not be required to state reasons for its decision.

Release from Appointment

Article 25

At the arbitrator's own request, the arbitrator may be released from appointment as arbitrator either with the consent of the parties or by the Center.

Article 26

Irrespective of any request by the arbitrator, the parties may jointly release the arbitrator from appointment as arbitrator. The parties shall promptly notify the Center of such release.

Article 27

At the request of a party or on its own motion, the Center may release the arbitrator from appointment as arbitrator if the arbitrator has become *de jure* or *de facto* unable to fulfill, or fails to fulfill, the duties of an arbitrator. In such a case, the parties shall be offered the opportunity to express their views thereon and the provisions of Articles 21 to 24 shall apply *mutatis mutandis*.

Replacement of Arbitrator

Article 28

- (a) Whenever necessary, a substitute arbitrator shall be appointed pursuant to the procedure provided for in Article 14 that was applicable to the appointment of the arbitrator being replaced.

- (b) Pending the replacement, the arbitral proceedings shall be suspended, unless otherwise agreed by the parties.

Article 29

Whenever a substitute arbitrator is appointed, the Tribunal shall, having regard to any observations of the parties, determine in its sole discretion whether all or part of any prior hearings are to be repeated.

Pleas as to the Jurisdiction of the Tribunal

Article 30

- (a) The Tribunal shall have the power to hear and determine objections to its own jurisdiction, including any objections with respect to form, existence, validity or scope of the Arbitration Agreement examined pursuant to Article 55(c).
- (b) The Tribunal shall have the power to determine the existence or validity of any contract of which the Arbitration Agreement forms part or to which it relates.
- (c) A plea that the Tribunal does not have jurisdiction shall be raised not later than in the Statement of Defense or, with respect to a counter-claim or a set-off, the Statement of Defense thereto, failing which any such plea shall be barred in the subsequent arbitral proceedings or before any court. A plea that the Tribunal is exceeding the scope of its authority shall be raised as soon as the matter alleged to be beyond the scope of its authority is raised during the arbitral proceedings. The Tribunal may, in either case, admit a later plea if it considers the delay justified.
- (d) The Tribunal may rule on a plea referred to in paragraph (c) as a preliminary question or, in its sole discretion, decide on such a plea in the final award.
- (e) A plea that the Tribunal lacks jurisdiction shall not preclude the Center from administering the arbitration.

IV. CONDUCT OF THE ARBITRATION

General Powers of the Tribunal

Article 31

- (a) Subject to Article 3, the Tribunal may conduct the arbitration in such manner as it considers appropriate.
- (b) In all cases, the Tribunal shall ensure that the parties are treated with equality and that each party is given a fair opportunity to present its case.
- (c) The Tribunal shall ensure that the arbitral procedure takes place with due expedition. It may, at the request of a party or on its own motion,

extend in exceptional cases a period of time fixed by these Rules, by itself or agreed to by the parties.

Place of Arbitration

Article 32

- (a) Unless otherwise agreed by the parties, the place of arbitration shall be decided by the Center, taking into consideration any observations of the parties and the circumstances of the arbitration.
- (b) The Tribunal may, after consultation with the parties, conduct hearings at any place that it considers appropriate. It may deliberate wherever it deems appropriate.
- (c) The award shall be deemed to have been made at the place of arbitration.

Language of Arbitration

Article 33

- (a) Unless otherwise agreed by the parties, the language of the arbitration shall be the language of the Arbitration Agreement, subject to the power of the Tribunal to determine otherwise, having regard to any observations of the parties and the circumstances of the arbitration.
- (b) The Tribunal may order that any documents submitted in languages other than the language of arbitration be accompanied by a translation in whole or in part into the language of arbitration.

Preparatory Conference

Article 34

The Tribunal shall, in general within 15 days after its establishment, conduct a preparatory conference with the parties in any suitable format, including telephone, videoconference or online tools, for the purpose of organizing and scheduling the subsequent proceedings in a time and cost efficient manner.

Statement of Claim

Article 35

- (a) The Statement of Claim shall contain a comprehensive statement of the facts and legal arguments supporting the claim, including a statement of the relief sought.
- (b) The Statement of Claim shall, to as large an extent as possible, be accompanied by the evidence upon which the Claimant relies, together with a schedule of such evidence. Where the evidence is especially voluminous, the Claimant may add a reference to further evidence it is prepared to submit.

Statement of Defense

Article 36

- (a) The Statement of Defense shall reply to the particulars of the Statement of Claim required pursuant to Article 35(a). The Statement of Defense shall be accompanied by the evidence upon which the Respondent relies, in the manner described in Article 35(b).
- (b) Any counter-claim or set-off by the Respondent shall be made or asserted in the Statement of Defense or, in exceptional circumstances, at a later stage in the arbitral proceedings if so determined by the Tribunal. Any such counter-claim or set-off shall contain the same particulars as those specified in Article 35(a) and (b).

Further Written Statements

Article 37

- (a) In the event that a counter-claim or set-off has been made or asserted, the Claimant shall reply to the particulars thereof within 20 days from the date on which the Claimant receives such counter-claim or set-off. Article 36(a) shall apply *mutatis mutandis* to such reply.
- (b) The Tribunal may, in its discretion, allow or require further written statements.

Amendments to Claims or Defense

Article 38

Subject to any contrary agreement by the parties, a party may amend or supplement its claim, counter-claim, defense or set-off during the course of the arbitral proceedings, unless the Tribunal considers it inappropriate to allow such amendment having regard to its nature or the delay in making it and to the provisions of Article 31(b) and (c).

Communication Between Parties and Tribunal

Article 39

Except as otherwise provided in these Rules or permitted by the Tribunal, no party or anyone acting on its behalf may have any *ex parte* communication with the Tribunal with respect to any matter of substance relating to the arbitration, it being understood that nothing in this paragraph shall prohibit *ex parte* communications that concern matters of a purely organizational nature, such as the physical facilities, the use of online tools, place, date or time of the hearings.

Joinder

Article 40

At the request of a party, the Tribunal may order the joinder of an additional party to the arbitration provided all parties, including the additional party, agree. Any such order shall take account of all relevant circumstances, including the stage reached in the arbitration. The request shall be addressed together with the Request for Arbitration or the Answer to the Request, as the case may be, or, if a

party becomes aware at a later stage of circumstances that it considers relevant for a joinder, within 15 days after acquiring that knowledge.

Consolidation

Article 41

Where an arbitration is commenced that concerns a subject matter substantially related to that in dispute in other arbitral proceedings pending under these Rules or involving the same parties, the Center may order, after consulting with all concerned parties and any Tribunal appointed in the pending proceedings, to consolidate the new arbitration with the pending proceedings, provided all parties and any appointed Tribunal agree. Such consolidation shall take into account all relevant circumstances, including the stage reached in the pending proceedings.

Interim Measures of Protection and Security for Claims and Costs

Article 42

- (a) At the request of a party, the Tribunal may issue any provisional orders or take other interim measures it deems necessary, including injunctions and measures for the conservation of goods which form part of the subject matter in dispute, such as an order for their deposit with a third person or for the sale of perishable goods. The Tribunal may make the granting of such measures subject to appropriate security being furnished by the requesting party.
- (b) At the request of a party, the Tribunal may order the other party to provide security, in a form to be determined by the Tribunal, for the claim or counter-claim, as well as for costs referred to in Article 66.
- (c) Measures and orders contemplated under this Article may take the form of an interim award.
- (d) A request addressed by a party to a judicial authority for interim measures or for security for the claim or counter-claim, or for the implementation of any such measures or orders granted by the Tribunal, shall not be deemed incompatible with the Arbitration Agreement, or deemed to be a waiver of that Agreement.

Emergency Relief Proceedings

Article 43

- (a) Unless otherwise agreed by the parties, the provisions of this Article shall apply to arbitrations conducted under Arbitration Agreements entered on or after June 1, 2014.
- (b) A party seeking urgent interim relief prior to the establishment of the Tribunal may submit a request for such emergency relief to the Center. The request for emergency relief shall include the particulars set out in Article 9(ii) to (iv), as well as a statement of the interim measures sought and the reasons why such relief is needed on an emergency basis. The

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Center shall inform the other party of the receipt of the request for emergency relief.

- (c) The date of commencement of the emergency relief proceedings shall be the date on which the request referred to in paragraph (b) is received by the Center.
- (d) The request for emergency relief shall be subject to proof of payment of the administration fee and of the initial deposit of the emergency arbitrator's fees in accordance with the Schedule of Fees applicable on the date of commencement of the emergency relief proceedings.
- (e) Upon receipt of the request for emergency relief, the Center shall promptly, normally within two days, appoint a sole emergency arbitrator. Articles 17 to 24 shall apply *mutatis mutandis* whereby the periods of time referred to in Articles 20 and 21 shall be three days.
- (f) The emergency arbitrator shall have the powers vested in the Tribunal under Article 30(a) and (b), including the authority to determine its own jurisdiction. Article 30(e) shall apply *mutatis mutandis*.
- (g) The emergency arbitrator may conduct the proceedings in such manner as it considers appropriate, taking due account of the urgency of the request. The emergency arbitrator shall ensure that each party is given a fair opportunity to present its case. The emergency arbitrator may provide for proceedings by telephone, videoconference or online tools, or on written submissions as alternatives to a hearing.
- (h) If the parties have agreed upon the place of arbitration, that place shall be the place of the emergency relief proceedings. In the absence of such agreement, the place of the emergency relief proceedings shall be decided by the Center, taking into consideration any observations made by the parties and the circumstances of the emergency relief proceedings.
- (i) The emergency arbitrator may order any interim measure it deems necessary. The emergency arbitrator may make the granting of such orders subject to appropriate security being furnished by the requesting party. Article 42(c) and (d) shall apply *mutatis mutandis*. Upon request, the emergency arbitrator may modify or terminate the order.
- (j) The emergency arbitrator shall terminate emergency relief proceedings if arbitration is not commenced within 30 days from the date of commencement of the emergency relief proceedings.
- (k) The costs of the emergency relief proceedings shall be initially fixed and apportioned by the emergency arbitrator in consultation with the Center, in accordance with the Schedule of Fees applicable on the date of commencement of the emergency relief proceedings, subject to the

Tribunal's power to make a final determination of the apportionment of such costs under Article 65(c).

- (l) Unless otherwise agreed by the parties, the emergency arbitrator may not act as an arbitrator in any arbitration relating to the dispute.
- (m) The emergency arbitrator shall have no further powers to act once the Tribunal is established. Upon request by a party, the Tribunal may modify or terminate any measure ordered by the emergency arbitrator.

Evidence

Article 44

- (a) The Tribunal shall determine the admissibility, relevance, materiality and weight of evidence.
- (b) At any time during the arbitration, the Tribunal may, at the request of a party or on its own motion, order a party to produce such documents or other evidence as it considers necessary or appropriate and may order a party to make available to the Tribunal or to an expert appointed by it or to the other party any property in its possession or control for inspection or testing.

Experiments

Article 45

- (a) A party may give notice to the Tribunal and to the other party at any reasonable time before a hearing that specified experiments have been conducted on which it intends to rely. The notice shall specify the purpose of the experiment, a summary of the experiment, the method employed, the results and the conclusion. The other party may by notice to the Tribunal request that any or all such experiments be repeated in its presence. If the Tribunal considers such request justified, it shall determine the timetable for the repetition of the experiments.
- (c) For the purposes of this Article, "experiments" shall include tests or other processes of verification.

Site Visits

Article 46

The Tribunal may, at the request of a party or on its own motion, inspect or require the inspection of any site, property, machinery, facility, production line, model, film, material, product or process as it deems appropriate. A party may request such an inspection at any reasonable time prior to any hearing, and the Tribunal, if it grants such a request, shall determine the timing and arrangements for the inspection.

Agreed Primers and Models

Article 47

The Tribunal may, where the parties so agree, determine that they shall jointly provide:

- (i) a technical primer setting out the background of the scientific, technical or other specialized information necessary to understand fully the matters in issue; and
- (ii) models, drawings or other materials that the Tribunal or the parties require for reference purposes at any hearing.

Disclosure of Trade Secrets and Other Confidential Information

Article 48

- (a) For the purposes of this Article, confidential information shall mean any information, regardless of the medium in which it is expressed, which is:
 - (i) in the possession of a party;
 - (ii) not accessible to the public;
 - (iii) of commercial, financial or industrial significance; and
 - (iv) treated as confidential by the party possessing it.
- (b) A party invoking the confidentiality of any information it wishes or is required to submit in the arbitration, including to an expert appointed by the Tribunal, shall make an application to have the information classified as confidential by notice to the Tribunal, with a copy to the other party. Without disclosing the substance of the information, the party shall give in the notice the reasons for which it considers the information confidential.
- (c) The Tribunal shall determine whether the information is to be classified as confidential and of such a nature that the absence of special measures of protection in the proceedings would be likely to cause serious harm to the party invoking its confidentiality. If the Tribunal so determines, it shall decide under which conditions and to whom the confidential information may in part or in whole be disclosed and shall require any person to whom the confidential information is to be disclosed to sign an appropriate confidentiality undertaking.
- (d) In exceptional circumstances, in lieu of itself determining whether the information is to be classified as confidential and of such nature that the absence of special measures of protection in the proceedings would be likely to cause serious harm to the party invoking its confidentiality, the Tribunal may, at the request of a party or on its own motion and after consultation with the parties, designate a confidentiality advisor who will determine whether the information is to be so classified, and, if so, decide under which conditions and to whom it may in part or in whole be

disclosed. Any such confidentiality advisor shall be required to sign an appropriate confidentiality undertaking.

- (e) The Tribunal may also, at the request of a party or on its own motion, appoint the confidentiality advisor as an expert in accordance with Article 51 in order to report to it, on the basis of the confidential information, on specific issues designated by the Tribunal without disclosing the confidential information either to the party from whom the confidential information does not originate or to the Tribunal.

Hearings

Article 49

- (a) If either party so requests, the Tribunal shall hold a hearing for the presentation of evidence by witnesses, including expert witnesses, or for oral argument or for both. In the absence of a request, the Tribunal shall decide whether to hold such a hearing or hearings. The Tribunal shall decide, after consultation with the parties, whether the hearing will be conducted by telephone, videoconference or using online tools, or in-person. If no hearings are held, the proceedings shall be conducted on the basis of documents and other materials alone.
- (b) If a hearing is held, it shall be convened within 30 days after the receipt by the Claimant of the Answer to the Request and the Statement of Defense. The Tribunal shall give the parties adequate advance notice of the date, time and place, and videoconference or online tools to be used, or place of the hearing. Except in exceptional circumstances, hearings may not exceed three days. Each party shall be expected to bring to the hearing such persons as necessary to adequately inform the Tribunal of the dispute.
- (c) Unless the parties agree otherwise, all hearings shall be in private.
- (d) The Tribunal shall determine whether and, if so, in what form a record shall be made of any hearing.
- (e) Within such short period of time after the hearing as is agreed by the parties or, in the absence of such agreement, determined by the Tribunal, each party may communicate to the Tribunal and to the other party a post-hearing brief.

Witnesses

Article 50

- (a) Before any hearing, the Tribunal may require either party to give notice of the identity of witnesses it wishes to call, whether witness of fact or expert witness, as well as of the subject matter of their testimony and its relevance to the issues.

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- (b) The Tribunal has discretion, on the grounds of redundancy and irrelevance, to limit or refuse the appearance of any witness.
- (c) Any witness who gives oral evidence may be questioned, under the control of the Tribunal, by each of the parties. The Tribunal may put questions at any stage of the examination of the witnesses.
- (d) The testimony of witnesses may, either at the choice of a party or as directed by the Tribunal, be submitted in written form, whether by way of signed statements, sworn affidavits or otherwise, in which case the Tribunal may make the admissibility of the testimony conditional upon the witnesses being made available for oral testimony.
- (e) A party shall be responsible for the practical arrangements, cost and availability of any witness it calls.
- (f) The Tribunal shall determine whether any witness shall retire during any part of the proceedings, particularly during the testimony of other witnesses.

Experts Appointed by the Tribunal

Article 51

- (a) The Tribunal may, at the preparatory conference or at a later stage, and after consultation with the parties, appoint one or more independent experts to report to it on specific issues designated by the Tribunal. A copy of the expert's terms of reference, established by the Tribunal, having regard to any observations of the parties, shall be communicated to the parties. Any such expert shall be required to sign an appropriate confidentiality undertaking. The terms of reference shall include a requirement that the expert report to the Tribunal within 30 days of receipt of the terms of reference.
- (b) Subject to Article 48, upon receipt of the expert's report, the Tribunal shall communicate a copy of the report to the parties, which shall be given the opportunity to express, in writing, their opinion on the report. A party may, subject to Article 48, examine any document on which the expert has relied in such a report.
- (c) At the request of a party, the parties shall be given the opportunity to question the expert at a hearing. At this hearing, the parties may present expert witnesses to testify on the points at issue.
- (d) The opinion of any expert on the issue or issues submitted to the expert shall be subject to the Tribunal's power of assessment of those issues in the context of all the circumstances of the case, unless the parties have agreed that the expert's determination shall be conclusive in respect of any specific issue.

Default

Article 52

- (a) If the Claimant, without showing good cause, fails to submit its Statement of Claim in accordance with Articles 10 and 35, the Center shall not be required to take any action under Article 8.
- (b) If the Respondent, without showing good cause, fails to submit its Statement of Defense in accordance with Articles 11, 12 and 36, the Tribunal may nevertheless proceed with the arbitration and make the award.
- (c) The Tribunal may also proceed with the arbitration and make the award if a party, without showing good cause, fails to avail itself of the opportunity to present its case within the period of time determined by the Tribunal.
- (d) If a party, without showing good cause, fails to comply with any provision of, or requirement under, these Rules or any direction given by the Tribunal, the Tribunal may draw the inferences therefrom that it considers appropriate.

Closure of Proceedings

Article 53

- (a) The Tribunal shall declare the proceedings closed when it is satisfied that the parties have had adequate opportunity to present submissions and evidence.
- (b) The Tribunal may, if it considers it necessary owing to exceptional circumstances, decide, on its own motion or upon application of a party, to re-open the proceedings it declared to be closed at any time before the award is made.

Waiver

Article 54

A party which knows that any provision of these Rules, any requirement under the Arbitration Agreement or any direction given by the Tribunal, has not been complied with, and yet proceeds with the arbitration without promptly recording an objection to such non-compliance, shall be deemed to have waived its right to object.

V. AWARDS AND OTHER DECISIONS

Laws Applicable to the Substance of the Dispute, the Arbitration and the Arbitration Agreement

Article 55

- (a) The Tribunal shall decide the substance of the dispute in accordance with the law or rules of law chosen by the parties. Any designation of the law of a given State shall be construed, unless otherwise expressed, as directly referring to the substantive law of that State and not to its conflict of laws rules. Failing a choice by the parties, the Tribunal shall apply the law or rules of law that it determines to be appropriate. In all cases, the Tribunal shall decide having due regard to the terms of any relevant contract and taking into account applicable trade usages. The Tribunal may decide as *amiable compositeur* or *ex aequo et bono* only if the parties have expressly authorized it to do so.
- (b) The law applicable to the arbitration shall be the arbitration law of the place of arbitration, unless the parties have expressly agreed on the application of another arbitration law and such agreement is permitted by the law of the place of arbitration.
- (c) An Arbitration Agreement shall be regarded as effective if it conforms to the requirements concerning form, existence, validity and scope of either the law or rules of law applicable in accordance with paragraph (a), or the law applicable in accordance with paragraph (b).

Currency and Interest

Article 56

- (a) Monetary amounts in the award may be expressed in any currency.
- (b) The Tribunal may award simple or compound interest to be paid by a party on any sum awarded against that party. It shall be free to determine the interest at such rates as it considers to be appropriate, without being bound by legal rates of interest, and shall be free to determine the period for which the interest shall be paid.

Form and Notification of Awards

Article 57

- (a) The Tribunal may make separate awards on different issues at different times.
- (b) The award shall be in writing and shall state the date on which it was made, as well as the place of arbitration in accordance with Article 32(a).
- (c) The award shall state the reasons on which it is based, unless the parties have agreed that no reasons should be stated and the law applicable to the arbitration does not require the statement of such reasons.

- (d) The award shall be signed by the arbitrator. Where the arbitrator fails to sign, the award shall state the reason for the absence of the signature.
- (e) The Tribunal may consult the Center with regard to matters of form, particularly to ensure the enforceability of the award.
- (f) The award shall be communicated by the Tribunal to the Center in a number of originals sufficient to provide one for each party, the arbitrator and the Center. The Center shall formally communicate an original of the award to each party and the arbitrator.
- (g) At the request of a party, the Center shall provide it, at cost, with a copy of the award certified by the Center. A copy so certified shall be deemed to comply with the requirements of Article IV(1)(a) of the Convention on the Recognition and Enforcement of Foreign Arbitral Awards, New York, June 10, 1958.

Time Period for Delivery of the Final Award

Article 58

- (a) The arbitration should, wherever reasonably possible, be heard and the proceedings declared closed within not more than three months after either the delivery of the Statement of Defense or the establishment of the Tribunal, whichever event occurs later. The final award should, wherever reasonably possible, be made within one month thereafter.
- (b) If the proceedings are not declared closed within the period of time specified in paragraph (a), the Tribunal shall send the Center a status report on the arbitration, with a copy to each party. It shall send a further status report to the Center, and a copy to each party, at the end of each ensuing period of one month during which the proceedings have not been declared closed.
- (c) If the final award is not made within one month after the closure of the proceedings, the Tribunal shall send the Center a written explanation for the delay, with a copy to each party. It shall send a further explanation, and a copy to each party, at the end of each ensuing period of one month until the final award is made.

Effect of Award

Article 59

- (a) By agreeing to arbitration under these Rules, the parties undertake to carry out the award without delay, and waive their right to any form of appeal or recourse to a court of law or other judicial authority, insofar as such waiver may validly be made under the applicable law.
- (b) The award shall be effective and binding on the parties as from the date it is communicated by the Center pursuant to Article 57(f), second sentence.

Settlement or Other Grounds for Termination

Article 60

- (a) The Tribunal may suggest that the parties explore settlement, including by commencing mediation, at such times as the Tribunal may deem appropriate.
- (b) If, before the award is made, the parties agree on a settlement of the dispute, the Tribunal shall terminate the arbitration and, if requested jointly by the parties, record the settlement in the form of a consent award. The Tribunal shall not be obliged to give reasons for such an award.
- (c) If, before the award is made, the continuation of the arbitration becomes unnecessary or impossible for any reason not mentioned in paragraph (b), the Tribunal shall inform the parties of its intention to terminate the arbitration. The Tribunal shall have the power to issue such an order terminating the arbitration, unless a party raises justifiable grounds for objection within a period of time to be determined by the Tribunal.
- (d) The consent award or the order for termination of the arbitration shall be signed by the arbitrator in accordance with Article 57(d) and shall be communicated by the Tribunal to the Center in a number of originals sufficient to provide one for each party, the arbitrator and the Center. The Center shall formally communicate an original of the consent award or the order for termination to each party and the arbitrator.

Correction of the Award and Additional Award

Article 61

- (a) Within 30 days after receipt of the award, a party may, by notice to the Tribunal, with a copy to the Center and the other party, request the Tribunal to correct in the award any clerical, typographical or computational errors. If the Tribunal considers the request to be justified, it shall make the correction within 30 days after receipt of the request. Any correction, which shall take the form of a separate memorandum, signed by the Tribunal in accordance with Article 57(d), shall become part of the award.
- (b) The Tribunal may correct any error of the type referred to in paragraph (a) on its own initiative within 30 days after the date of the award.
- (c) A party may, within 30 days after receipt of the award, by notice to the Tribunal, with a copy to the Center and the other party, request the Tribunal to make an additional award as to claims presented in the arbitral proceedings but not dealt with in the award. Before deciding on the request, the Tribunal shall give the parties an opportunity to be heard. If the Tribunal considers the request to be justified, it shall, wherever reasonably possible, make the additional award within 30 days of receipt of the request.

VI. FEES AND COSTS

Fees of the Center

Article 62

- (a) The Request for Arbitration shall be subject to the payment to the Center of an administration fee. The amount of the administration fee shall be calculated in accordance with the Schedule of Fees applicable on the date on which the Request for Arbitration is received by the Center.
- (b) Any counter-claim by a Respondent shall be subject to the payment to the Center of an administration fee. The amount of the administration fee shall be calculated in accordance with the Schedule of Fees applicable on the date on which the Request for Arbitration is received by the Center.
- (c) No action shall be taken by the Center on a Request for Arbitration or counter-claim until the administration fee has been paid.
- (d) Where a claim or counter-claim is increased, the amount of the administration fee may be increased in accordance with the applicable Schedule of Fees, and the increased amount shall be payable by the Claimant or the Respondent, as the case may be..
- (e) If a party fails, within 15 days after a reminder in writing from the Center, to pay any administration fee due, it shall be deemed to have withdrawn its claim or counter-claim, or its increase in claim or counter-claim, as the case may be.
- (f) The Tribunal shall, in a timely manner, inform the Center of the amount of the claim and any counter-claim, as well as any increase thereof.

Fees of the Arbitrator

Article 63

The amount and currency of the fees of the arbitrator and the modalities and timing of their payment shall be fixed by the Center after consultation with the arbitrator and the parties, in accordance with the Schedule of Fees applicable on the date on which the Request for Arbitration is received by the Center.

Deposits

Article 64

- (a) Upon receipt of notification from the Center of the establishment of the Tribunal, the Claimant and the Respondent shall each deposit an equal amount as an advance for the costs of arbitration referred to in Article 65. The amount of the deposit shall be determined by the Center.
- (b) In the course of the arbitration, the Center may require that the parties make supplementary deposits.

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- (c) If the required deposits are not paid in full within 20 days after receipt of the corresponding notification, the Center shall so inform the parties in order that one or other of them may make the required payment.
- (d) Where the amount of the counter-claim greatly exceeds the amount of the claim or involves the examination of significantly different matters, or where it otherwise appears appropriate in the circumstances, the Center in its discretion may establish two separate deposits on account of claim and counter-claim. If separate deposits are established, the totality of the deposit on account of claim shall be paid by the Claimant and the totality of the deposit on account of counter-claim shall be paid by the Respondent.
- (e) If a party fails, within 15 days after a reminder in writing from the Center, to pay the required deposit, it shall be deemed to have withdrawn the relevant claim or counter-claim.
- (f) After the award has been made, the Center shall, in accordance with the award, render an accounting to the parties of the deposits received and return any unexpended balance to the parties or require the payment of any amount owing from the parties.

Award of Costs of Arbitration

Article 65

- (a) In its award, the Tribunal shall fix the costs of arbitration, which shall consist of:
 - (i) the arbitrator's fees;
 - (ii) the properly incurred travel, communication and other expenses of the arbitrator;
 - (iii) the costs of expert advice and such other assistance required by the Tribunal pursuant to these Rules; and
 - (iv) such other expenses as are necessary for the conduct of the arbitration proceedings, such as the cost of meeting and hearing facilities.
- (b) The aforementioned costs shall, as far as possible, be debited from the deposits required under Article 64.
- (c) The Tribunal shall, subject to any agreement of the parties, apportion the costs of arbitration and the administration fee of the Center between the parties in the light of all the circumstances and the outcome of the arbitration.

Award of Costs Incurred by a Party

Article 66

In its award, the Tribunal may, subject to any contrary agreement by the parties and in the light of all the circumstances and the outcome of the arbitration, order a party to pay the whole or part of reasonable expenses incurred by the other party in presenting its case, including those incurred for legal representatives and witnesses.

VII. CONFIDENTIALITY

Confidentiality of the Existence of the Arbitration

Article 67

- (a) Except to the extent necessary in connection with a court challenge to the arbitration or an action for enforcement of an award, no information concerning the existence of an arbitration may be unilaterally disclosed by a party to any third party unless it is required to do so by law or by a competent regulatory body, and then only:
 - (i) by disclosing no more than what is legally required; and
 - (ii) by furnishing to the Tribunal and to the other party, if the disclosure takes place during the arbitration, or to the other party alone, if the disclosure takes place after the termination of the arbitration, details of the disclosure and an explanation of the reason for it.
- (b) Notwithstanding paragraph (a), a party may disclose to a third party the names of the parties to the arbitration and the relief requested for the purpose of satisfying any obligation of good faith or candor owed to that third party.

Confidentiality of Disclosures Made During the Arbitration

Article 68

- (a) In addition to any specific measures that may be available under Article 48, any documentary or other evidence given by a party or a witness in the arbitration shall be treated as confidential and, to the extent that such evidence describes information that is not in the public domain, shall not be used or disclosed to any third party by a party whose access to that information arises exclusively as a result of its participation in the arbitration for any purpose without the consent of the parties or order of a court having jurisdiction.
- (b) For the purposes of this Article, a witness called by a party shall not be considered to be a third party. To the extent that a witness is given access to evidence or other information obtained in the arbitration in order to prepare the witness's testimony, the party calling such witness shall be responsible for the maintenance by the witness of the same degree of confidentiality as that required of the party.

Confidentiality of the Award

Article 69

The award shall be treated as confidential by the parties and may only be disclosed to a third party if and to the extent that:

- (i) the parties consent; or
- (ii) it falls into the public domain as a result of an action before a national court or other competent authority; or
- (iii) it must be disclosed in order to comply with a legal requirement imposed on a party or in order to establish or protect a party's legal rights against a third party.

Maintenance of Confidentiality by the Center and Arbitrator

Article 70

- (a) Unless the parties agree otherwise, the Center and the arbitrator shall maintain the confidentiality of the arbitration, the award and, to the extent that they describe information that is not in the public domain, any documentary or other evidence disclosed during the arbitration, except to the extent necessary in connection with a court action relating to the award, or as otherwise required by law.
- (b) Notwithstanding paragraph (a), the Center may include information concerning the arbitration in any aggregate statistical data that it publishes concerning its activities, provided that such information does not enable the parties or the particular circumstances of the dispute to be identified.

VIII. MISCELLANEOUS

Exclusion of Liability

Article 71

Except in respect of deliberate wrongdoing, the arbitrator, WIPO and the Center shall not be liable to a party for any act or omission in connection with the arbitration.

Waiver of Defamation

Article 72

The parties and, by accepting appointment, the arbitrator agree that any statements or comments, whether written or oral, made or used by them or their representatives in preparation for or in the course of the arbitration shall not be relied upon to found or maintain any action for defamation, libel, slander or any related complaint, and this Article may be pleaded as a bar to any such action.



Schedule of Fees and Costs

Mediation¹²

(All amounts are in United States dollars)

Amount in Dispute	Administration Fee	Mediator's Fees	
Up to \$250,000	\$250	\$2,500(*)	
Over \$250,000	0.10% of the value of the mediation, up to a maximum fee of \$10,000	\$300-\$600 per hour(**)	\$1,500-\$3,500 per day(**)

(*) Indicative rates for 10 hours of preparation and mediation.

(**) Indicative rates.

1. The value of the mediation is determined by the total value of the amounts claimed.
2. Where the Request for Mediation does not indicate any claims for a monetary amount or the dispute concerns issues that are not quantifiable in monetary amounts, an administration fee of \$1,000 shall be payable, subject to adjustment. The adjustment shall be made by reference to the administration fee that the Center, after consultation with the parties and the mediator, determines in its discretion to be appropriate in the circumstances.
3. A mediator shall be required to maintain a detailed and accurate record of the work done and the time spent on the mediation. Following the termination of the mediation, a copy of such records shall be provided to the parties and the Center, together with the mediator's invoice.
4. After consulting with the parties and the mediator, the Center shall determine the final amount to be paid to the mediator, taking into consideration the hourly or daily rates and other factors such as the complexity of the subject matter of the dispute and of the mediation, the total time spent by the mediator, the diligence of the mediator and the rapidity of the mediation proceedings.
5. For the purposes of calculating the costs of the mediation, the amount of claims expressed in currencies other than United States dollars shall be converted if necessary to amounts expressed in United States dollars on the basis of the official United Nations exchange rate prevailing on the date of payment.

¹² Any changes to the Schedule of Fees and Costs and payment information details are announced in the Center's website at www.wipo.int/amc/.

Schedule of Fees and Costs

6. A 25% reduction on the Center's administration fees applies if a party (or both parties) to the dispute is (are) named as applicant or inventor in a published PCT application, holders of international registrations under the Hague system or the Madrid system, WIPO GREEN technology providers or seekers, or an SME (an entity with less than 250 employees).
7. The amount and the currency of the fees of an external neutral appointed pursuant to Article 4(b) of the WIPO Mediation Rules and the modalities and timing of their payment shall be fixed by the Center, after consultation with the external neutral and the parties.

Arbitration/Expedited Arbitration¹³

(All amounts are in United States dollars)

Type of Fee	Amount in Dispute	Expedited Arbitration	Arbitration
Registration Fee	Any Amount	\$0	\$2,000
Administration Fee(*)	Up to \$2.5 M	\$2,000	\$4,000
	Over \$2.5 M and up to \$10 M	\$10,000	\$10,000 +0.1% of amount over \$2.5M up to a maximum fee of \$17,500
	Over \$10 M	\$20,000	\$25,000 +0.05% of amount over \$10 M up to a maximum fee of \$40,000
Arbitrator(s) Fees(*)	Up to \$2.5 M	\$20,000(fixed fee)(**)	As agreed by the Center in consultation with the parties and the arbitrator(s) Indicative rate(s): \$300 to \$600 per hour
	Over \$2.5 M and up to \$10 M	\$40,000(fixed fee)(**)	
	Over \$10 M	As agreed by the Center in consultation with the parties and the arbitrator	

(*) Each bracket indicates the total amount of the fees payable in a dispute, e.g. the administration fee payable in an expedited arbitration when the amount in dispute is \$5 million is \$10,000 (and not a fee of \$12,000 which would have resulted from adding the fees of \$10,000 and \$2,000).

(**) May be reduced or increased based on the complexity of the subject matter of the dispute and the time spent by the arbitrator.

1. The Center may set-off all or part of the administration fees paid to it in connection with a WIPO mediation or a WIPO expert determination against the registration and administration fees payable to the Center in connection with a WIPO arbitration regarding the same dispute.

¹³ Any changes to the Schedule of Fees and Costs and payment information details are announced in the Center's website at www.wipo.int/amc/.

Schedule of Fees and Costs

2. Where the Request for Arbitration does not indicate any claims for a monetary amount or the dispute concerns issues that are not quantifiable in monetary amounts, an administration fee of \$4,000 shall be payable, subject to adjustment. Where the Request for Expedited Arbitration does not indicate any claims for a monetary amount or the dispute concerns issues that are not quantifiable in monetary amounts, an administration fee of \$2,000 shall be payable, subject to adjustment. The adjustment shall be made by reference to the administration fee that the Center, after consultation with the parties and the arbitral tribunal and by taking into account the costs of the proceedings pursuant to Article 73 and 74 of the WIPO Arbitration Rules and Articles 65 and 66 of the WIPO Expedited Arbitration Rules, determines in its discretion to be appropriate in the circumstances.
3. Prior to the establishment of the arbitral tribunal, the Center shall fix an arbitrator's hourly or daily fee rate, in consultation with the parties and the arbitrator. In so doing, the Center shall take into consideration such factors as the amounts in dispute, the number of parties, the complexity of the dispute and the status and any special qualifications required of the arbitrator.
4. An arbitrator shall be required to maintain a detailed and accurate record of the work done and the time spent on the arbitration. Following the termination of the arbitration, a copy of such records shall be provided to the parties and the Center, together with the arbitrator's invoice.
5. After consulting with the parties and the arbitral tribunal, the Center shall determine the final amount to be paid to the sole arbitrator or each of the respective amounts to be paid to the presiding arbitrator and the other members of a three-member tribunal, taking into consideration the hourly or daily rates and maximum rates and other factors such as the complexity of the subject matter of the dispute and of the arbitration, the total time spent by the arbitrator, time reserved but not used as a result of the late postponement or cancellation of hearings, the diligence of the arbitral tribunal and the rapidity of the arbitration proceedings.
6. For the purposes of calculating the costs of the arbitration, the amount of claims expressed in currencies other than United States dollars shall be converted if necessary to amounts expressed in United States dollars on the basis of the official United Nations exchange rate prevailing on the date of payment.
7. For the purpose of calculating the arbitrators fees, the value of any counterclaim should be added to the amount of the claim.
8. Only paragraphs 1, 2, 4, 6 and 7 above apply to Expedited Arbitration proceedings.
9. A 25% reduction on the Center's registration and administration fees applies if a party (or both parties) to the dispute is (are) named as applicant or inventor in a published PCT application, holders of international registrations under the Hague system or the Madrid system, WIPO GREEN technology providers or seekers, or an SME (an entity with less than 250 employees).

Emergency Relief Proceedings¹⁴

(Pursuant to Article 49 WIPO Arbitration Rules / Article 43 WIPO Expedited Arbitration Rules)

(All amounts are in United States dollars)

Administration Fee	Emergency Arbitrator's Fees (*)
\$2,500	Initial deposit: \$10,000 \$300 to \$600 per hour, up to a maximum fee of \$20,000

(*) Indicative rates.

1. Prior to the appointment of the emergency arbitrator, the Center shall fix the emergency arbitrator's hourly fee rate, in consultation with the parties and the emergency arbitrator. In so doing, the Center shall take into consideration such factors as the amounts in dispute, the number of parties, the complexity of the dispute and the status and any special qualifications required of the emergency arbitrator.
2. An emergency arbitrator shall be required to maintain a detailed and accurate record of the work done and the time spent on the emergency relief proceedings. Following the termination of the emergency relief proceedings, a copy of such records shall be provided to the parties and the Center, together with the emergency arbitrator's invoice.
3. After consulting with the parties and the emergency arbitrator, the Center shall determine the final amount to be paid to the emergency arbitrator, taking into consideration the hourly rates and maximum rates and other factors such as the complexity of the subject matter of the dispute and of the arbitration, the total time spent by the emergency arbitrator, the diligence of the emergency arbitrator and the rapidity of the emergency relief proceedings.
4. The emergency arbitrator's fees shall not exceed the above-mentioned indicative rates, except in exceptional circumstances.
5. For the purposes of calculating the costs of the emergency relief proceedings, the amount of claims expressed in currencies other than United States dollars shall be converted to amounts expressed in United States dollars on the basis of the official United Nations exchange rate prevailing on the date of payment.
6. A 25% reduction on the Center's administration fees applies if a party (or both parties) to the dispute is (are) named as applicant or inventor in a published PCT application, holders of international registrations under the Hague system or the Madrid system, WIPO GREEN technology providers or seekers, or an SME (an entity with less than 250 employees).

¹⁴ Any changes to the Schedule of Fees and Costs and payment information details are announced in the Center's website at www.wipo.int/amc/.

Recommended WIPO Contract Clauses and Submission Agreements¹⁵

Future Disputes

WIPO Mediation Clause

Any dispute, controversy or claim arising under, out of or relating to this contract and any subsequent amendments of this contract, including, without limitation, its formation, validity, binding effect, interpretation, performance, breach or termination, as well as non-contractual claims, shall be submitted to mediation in accordance with the WIPO Mediation Rules. The place of mediation shall be [specify place]. The language to be used in the mediation shall be [specify language].

WIPO Arbitration Clause

Any dispute, controversy or claim arising under, out of or relating to this contract and any subsequent amendments of this contract, including, without limitation, its formation, validity, binding effect, interpretation, performance, breach or termination, as well as non-contractual claims, shall be referred to and finally determined by arbitration in accordance with the WIPO Arbitration Rules. The arbitral tribunal shall consist of [a sole arbitrator][three arbitrators]. The place of arbitration shall be [specify place]. The language to be used in the arbitral proceedings shall be [specify language]. The dispute, controversy or claim shall be decided in accordance with the law of [specify jurisdiction].

WIPO Expedited Arbitration Clause

Any dispute, controversy or claim arising under, out of or relating to this contract and any subsequent amendments of this contract, including, without limitation, its formation, validity, binding effect, interpretation, performance, breach or termination, as well as non-contractual claims, shall be referred to and finally determined by arbitration in accordance with the WIPO Expedited Arbitration Rules. The place of arbitration shall be [specify place]. The language to be used in the arbitral proceedings shall be [specify language]. The dispute, controversy or claim shall be decided in accordance with the law of [specify jurisdiction].

¹⁵

Also available at www.wipo.int/amc/en/clauses/.

WIPO Mediation Followed, in the Absence of a Settlement, by [Expedited] Arbitration Clause

Any dispute, controversy or claim arising under, out of or relating to this contract and any subsequent amendments of this contract, including, without limitation, its formation, validity, binding effect, interpretation, performance, breach or termination, as well as non-contractual claims, shall be submitted to mediation in accordance with the WIPO Mediation Rules. The place of mediation shall be [specify place]. The language to be used in the mediation shall be [specify language].

If, and to the extent that, any such dispute, controversy or claim has not been settled pursuant to the mediation within [60][90] days of the commencement of the mediation, it shall, upon the filing of a Request for Arbitration by either party, be referred to and finally determined by arbitration in accordance with the WIPO [Expedited] Arbitration Rules. Alternatively, if, before the expiration of the said period of [60][90] days, either party fails to participate or to continue to participate in the mediation, the dispute, controversy or claim shall, upon the filing of a Request for Arbitration by the other party, be referred to and finally determined by arbitration in accordance with the WIPO [Expedited] Arbitration Rules. [The arbitral tribunal shall consist of [a sole arbitrator][three arbitrators].]* The place of arbitration shall be [specify place]. The language to be used in the arbitral proceedings shall be [specify language]. The dispute, controversy or claim referred to arbitration shall be decided in accordance with the law of [specify jurisdiction]. (* The WIPO Expedited Arbitration Rules provide that the arbitral tribunal shall consist of a sole arbitrator.)

WIPO Mediation Followed, in the Absence of a Settlement, by Court Litigation Clause

Any dispute, controversy or claim arising under, out of or relating to this contract and any subsequent amendments of this contract, including, without limitation, its formation, validity, binding effect, interpretation, performance, breach or termination, as well as non-contractual claims, shall be submitted to mediation in accordance with the WIPO Mediation Rules. The place of mediation shall be [specify place]. The language to be used in the mediation shall be [specify language].

If, and to the extent that, any such dispute, controversy or claim has not been settled pursuant to the mediation within [60][90] days of the commencement of the mediation, the courts of [specify place] shall have exclusive jurisdiction. Alternatively, if, before the expiration of the said period of [60][90] days, either party fails to participate or to continue to participate in the mediation, the courts of [specify place] shall have exclusive jurisdiction. The dispute, controversy or claim shall be decided in accordance with the law of [specify jurisdiction].

Existing Disputes

WIPO Mediation Submission Agreement

We, the undersigned parties, hereby agree to submit to mediation in accordance with the WIPO Mediation Rules the following dispute:

[brief description of the dispute]

The place of mediation shall be [specify place]. The language to be used in the mediation shall be [specify language].

WIPO Arbitration Submission Agreement

We, the undersigned parties, hereby agree that the following dispute shall be referred to and finally determined by arbitration in accordance with the WIPO Arbitration Rules:

[brief description of the dispute]

The arbitral tribunal shall consist of [a sole arbitrator][three arbitrators]. The place of arbitration shall be [specify place]. The language to be used in the arbitral proceedings shall be [specify language]. The dispute shall be decided in accordance with the law of [specify jurisdiction].

WIPO Expedited Arbitration Submission Agreement

We, the undersigned parties, hereby agree that the following dispute shall be referred to and finally determined by arbitration in accordance with the WIPO Expedited Arbitration Rules:

[brief description of the dispute]

The place of arbitration shall be [specify place]. The language to be used in the arbitral proceedings shall be [specify language]. The dispute shall be decided in accordance with the law of [specify jurisdiction].

WIPO Mediation Followed, in the Absence of a Settlement, by [Expedited] Arbitration Submission Agreement

We, the undersigned parties, hereby agree to submit to mediation in accordance with the WIPO Mediation Rules the following dispute:

[brief description of the dispute]

The place of mediation shall be [specify place]. The language to be used in the mediation shall be [specify language].

We further agree that, if, and to the extent that, the dispute has not been settled pursuant to the mediation within [60][90] days of the commencement of the mediation, it shall, upon the filing of a Request for Arbitration by either party, be referred to and finally determined by arbitration in accordance with the WIPO [Expedited] Arbitration Rules. Alternatively, if, before the expiration of the said period of [60][90] days, either party fails to participate or to continue to participate in the mediation, the dispute shall, upon the filing of a Request for Arbitration by the other party, be referred to and finally determined by arbitration in accordance with the WIPO [Expedited] Arbitration Rules. [The arbitral tribunal shall consist of [a sole arbitrator][three arbitrators].]* The place of arbitration shall be [specify place]. The language to be used in the arbitral proceedings shall be [specify language]. The dispute referred to arbitration shall be decided in accordance with the law of [specify jurisdiction]. (* The WIPO Expedited Arbitration Rules provide that the arbitral tribunal shall consist of a sole arbitrator.)

WIPO Mediation Followed, in the Absence of a Settlement, by Court Litigation Submission Agreement

We, the undersigned parties, hereby agree to submit to mediation in accordance with the WIPO Mediation Rules the following dispute:

[brief description of the dispute]

The place of mediation shall be [specify place]. The language to be used in the mediation shall be [specify language].

We further agree that, if, and to the extent that, the dispute has not been settled pursuant to the mediation within [60][90] days of the commencement of the mediation, the courts of [specify place] shall have exclusive jurisdiction. Alternatively, if, before the expiration of the said period of [60][90] days, either party fails to participate or to continue to participate in the mediation, the courts of [specify place] shall have exclusive jurisdiction. The dispute shall be decided in accordance with the law of [specify jurisdiction].

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