## **Table of Contents**

AcknowledgmentsVII			
Table of ContentsIX			
Abbreviations			
Terminology	XXI		
INTRODUCTION1			
I. II.	The Issue		
CHAPTER 1 -	EVIDENCE IN INTERNATIONAL ARBITRATION7		
1.1 1.2	Introduction		
1.2.1	Nature and rationale of privileges		
1.2.1.1 1.2.1.2 1.2.1.3	Confidentiality and privilege		
1.2.2	Origins		
1.2.2.1 1.2.2.2	In common law		
1.2.3	Forms of objections		
1.3	The Taking of Evidence in Arbitration: Laws and Rules 17		
1.3.1	Arbitration laws		
1.3.1.1. 1.3.1.2 1.3.1.3 1.3.1.4 1.3.1.5	Model Law       17         English law       18         American law       18         French law       19         Swiss law       20		
1.3.2	Arbitration rules		
1.3.2.1 1.3.2.2	ICC Rules 23 LCIA Rules 23		

1.3.2.3 1.3.2.4 1.3.2.5 1.3.2.6	ICDR Rules Swiss Rules UNCITRAL Rules IBA Rules	. 24
1.3.3	The lack of guidance on privileges in arbitration laws and rules	
1.4	Public Policy Considerations	. 33
1.4.1 1.4.2	The rules determined by the parties	
1.4.2.1	Sword and shield	. 36
1.4.3 1.4.4 1.4.5	Equal treatment of the parties	. 39
1.5	Conclusion	
CHAPTER 2 -	PRIVILEGES UNDER ENGLISH, AMERICAN, SWISS AND FRENCH LAW	
2.1 2.2	Introduction	
2.2.1 2.2.2 2.2.3 2.2.4	England United States France Switzerland	. 44 . 45
2.3	Attorney-Client Privilege	. 47
2.3.1 2.3.2 2.3.3 2.3.4	England United States France Switzerland	. 54 . 61
2.4	Work Product Doctrine	. 66
2.4.1 2.4.2 2.4.3 2.4.4	England United States France Switzerland	. 69
2.5	Joint and Common Interest Privilege	. 73

2.5.1 2.5.2	England
2.6	Without Prejudice Privilege77
2.6.1 2.6.2 2.6.3 2.6.4	England78United States83France86Switzerland87
2.7	Mediation Privilege87
2.7.1 2.7.2 2.7.3 2.7.4	England88United States88France90Switzerland91
2.8	Self-Critical Analysis Privilege
2.8.1	United States
2.9	Trade Secrets Privilege
2.9.1 2.9.2 2.9.3 2.9.4	England97United States97France99Switzerland99
2.10	Privilege Against Self-Incrimination in Civil Proceedings 100
2.10.1 2.10.2 2.10.3 2.10.4	England101United States101France103Switzerland103
2.11	State Secrets
2.11.1 2.11.2 2.11.3 2.11.4	England104United States107France110Switzerland112
2.12	Patent Agent Privilege
2.12.1 2.12.2 2.12.3 2.12.4	England113United States113France113Switzerland114
2.13	Accountant Privilege
2.13.1 2.13.2	England

	2.13.3 2.13.4	France Switzerland Switzerland	
2.	14	Conclusion	. 117
C	HAPTER 3 -	CHARACTERIZATION AND APPLICABLE LAW FOR PRIVILEGES IN INTERNATIONAL ARBITRATION	. 119
3. 3.		Introduction	
	3.2.1 3.2.2 3.2.3	Procedural characterization	. 122
3.	3	Privileges Characterized as Procedural in Nature	. 123
	3.3.1 3.3.2	The rules of privilege of the seat	
3.	4	Privileges Characterized as Substantive in Nature	. 126
	3.4.1	The law chosen by the parties to govern the merits	. 126
	3.4.1.1	Dépeçage	. 127
	3.4.2	The law determined by the tribunal	. 128
	3.4.2.1 3.4.2.2 3.4.2.3	The law applicable to the merits as determined by the tribunal	. 129
3.		Privileges under Both Characterizations	
	3.5.1	Conflict of laws approaches which have been considered in litigation	
	3.5.1.1 3.5.1.2	The interest analysis The public policy of the forum approach	
	3.5.2	The closest connection test	. 135
	3.5.2.1 3.5.2.2 3.5.2.3	Dépeçage and closest connection test	. 137
	3.5.3	Direct application of the rules determined by the tribunal without conflicts analysis	. 145
	3.5.3.1	Transnational rules	. 146

3.5.3.2	International law
3.5.4	Common principles to the different jurisdictions connected to the dispute ( <i>tronc-commun</i> )
3.5.5.1 3.5.5.2 3.5.5.3 3.5.5.4	In existing conventions and rules
3.5.6 3.5.7 3.5.8	The "least favorable" privilege rule
3.6	Conclusion
CHAPTER 4 -	TRANSNATIONAL RULES, PRACTICAL CONSIDERATIONS AND PROPOSALS
4.1 4.2	Introduction
4.2.1 4.2.2	Sources of transnational rules
4.3	Is the Development of Transnational Rules of Privilege Desirable in Arbitration?
4.3.1 4.3.2 4.3.3 4.3.4 4.3.5 4.3.6 4.3.7	Legitimate expectations
4.4	Do Transnational Rules of Privilege Currently Exist in Arbitration?
4.4.1	The attorney-client privilege and work product doctrine 170
4.4.1.1 4.4.1.2 4.4.1.3 4.4.1.4	National laws

4.4.2	The without prejudice privilege and mediation privilege 180
4.4.2.1 4.4.2.2 4.4.2.3 4.4.2.4	National laws
4.4.3	State secrets privilege
4.4.3.1 4.4.3.2 4.4.3.3 4.4.3.4	National laws
4.5	How to Protect Allegedly Privileged Materials and Other Considerations
4.5.1 4.5.2 4.5.3 4.5.4 4.5.5 4.5.6	Agreement of the parties on privileges
4.6	Conclusion
CONCLUSION207	
Bibliography	211
Table of Cases	