

**THE ICSID CASELOAD –
STATISTICS
(SPECIAL FOCUS:
SOUTH & EAST ASIA & THE PACIFIC)**

The ICSID Caseload – Statistics

(Special Focus: South & East Asia & the Pacific Region)

This issue of the *ICSID Caseload – Statistics (Special Focus: South & East Asia & the Pacific Region)* provides an overview of the ICSID caseload involving States in the South & East Asia & the Pacific region (SEAP or SEAP Region; see Annex 1 for a list of the SEAP Region¹). It is based on ICSID cases registered as of October 1, 2014.

This document looks at cases involving a SEAP State as the State Party to an ICSID dispute and illustrates the number of cases registered, the type of cases registered, the basis of consent to ICSID jurisdiction invoked in such cases, the economic sectors involved, and the geographic origin and type of investors involved in such cases. It also contains data on outcomes in arbitration proceedings involving a SEAP State, including further information on disputes decided by tribunals and on settled or discontinued cases.

This document further looks at cases involving investors from a SEAP State and illustrates the number of cases registered, the basis of consent to ICSID jurisdiction invoked in such cases, and the economic sectors concerned in disputes involving SEAP investors. It also contains data on outcomes in ICSID arbitration proceedings involving an investor from a SEAP State, including further information on disputes decided by tribunals and on settled or discontinued cases.

Finally, this document looks at the geographic origins of arbitrators, conciliators and *ad hoc* committee members appointed in all ICSID cases, and includes a breakdown of appointments involving nationals from the SEAP region.

The analysis considers all ICSID cases involving a SEAP State irrespective of their date of registration.

The Secretariat welcomes any comments or suggestions by email at ICSIDsecretariat@worldbank.org.

¹ The classification of the SEAP region is based on the World Bank's regional system, available at <http://databank.worldbank.org/data/views/variableselection/selectvariables.aspx?source=world-development-indicators>, and also includes World Bank donor countries.

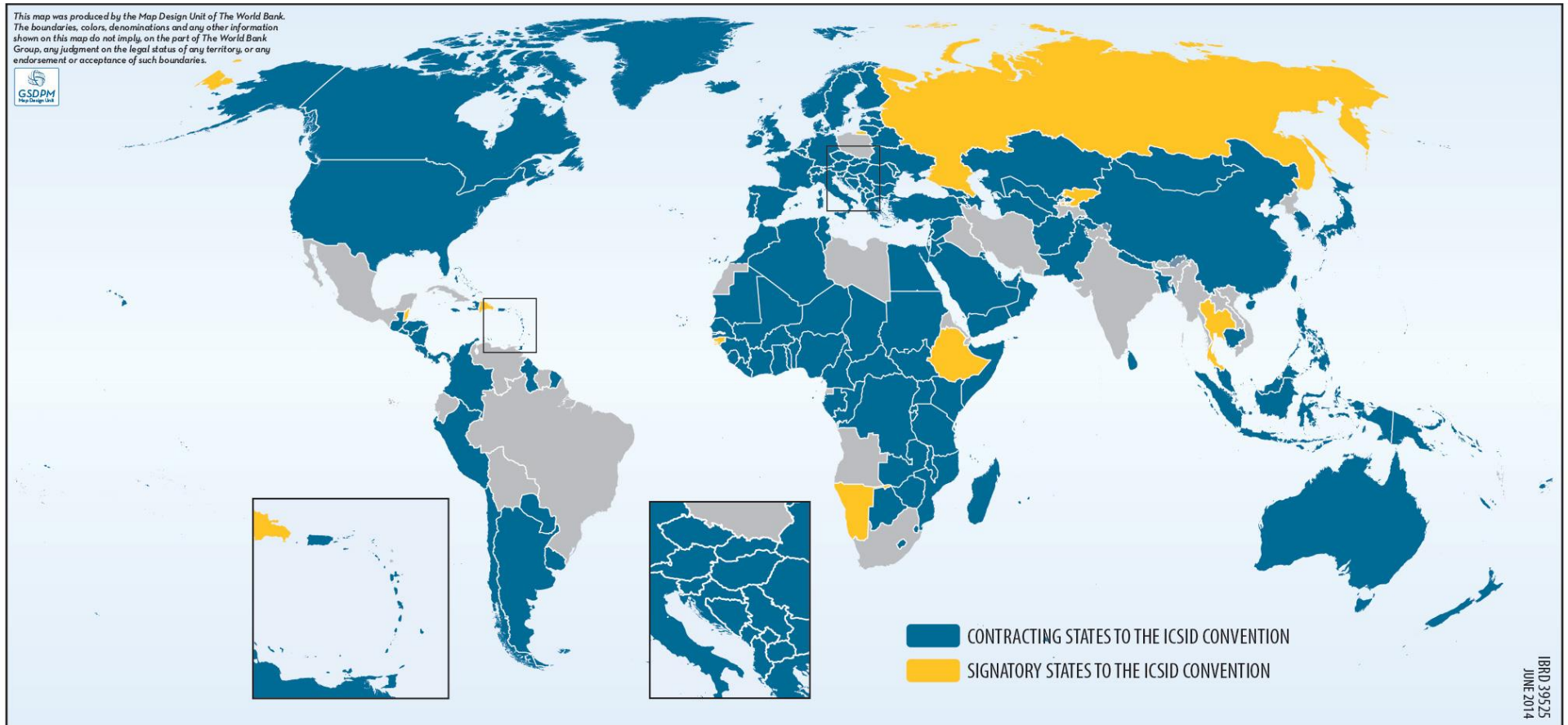
TABLE OF CONTENTS²

1. Map of ICSID Contracting States and Other Signatories to the ICSID Convention (as of October 1, 2014)	5
2. Map of ICSID Contracting States and Other Signatories to the ICSID Convention in the South & East Asia & the Pacific Region (as of October 1, 2014)	8
3. Geographic Distribution of All ICSID Cases, by State Party Involved	7
Chart 1: Geographic Distribution of All Cases Registered under the ICSID Convention and Additional Facility Rules, by State Party Involved	7
4. ICSID Cases involving a State Party from the SEAP Region – Further Details	8
Chart 2: Number of ICSID Cases involving a State Party from the SEAP Region	8
Chart 3: Type of Cases Registered under the ICSID Convention and Additional Facility Rules involving a State Party from the SEAP Region	9
Chart 4: Basis of Consent Invoked to Establish ICSID Jurisdiction in Cases Registered under the ICSID Convention and Additional Facility Rules involving a State Party from the SEAP Region	10
Chart 5: Distribution of Cases Registered under the ICSID Convention and Additional Facility Rules involving a State Party from the SEAP Region, by Economic Sector	12
Chart 6: Cases Registered under the ICSID Convention and Additional Facility Rules involving a State Party from the SEAP Region – Geographic Origin of Investors	13
Chart 7: Cases Registered under the ICSID Convention and Additional Facility Rules involving a State Party from the SEAP Region – Type of Investor	14
Chart 8: Arbitration Proceedings under the ICSID Convention and Additional Facility Rules involving a State Party from the SEAP Region – Outcomes	15
Chart 8a: Disputes Settled or Proceedings Otherwise Discontinued under the ICSID Convention and Additional Facility Rules involving a State Party from the SEAP Region – Basis	16
Chart 8b: Disputes Decided by Arbitral Tribunals under the ICSID Convention and Additional Facility Rules involving a State Party from the SEAP Region – Findings	16
5. ICSID Cases involving Investors with SEAP Nationality – Details	18
Chart 9: All Cases Registered under the ICSID Convention and Additional Facility Rules – Geographic Origin of Investor	18
Chart 10: Basis of Consent Invoked to Establish ICSID Jurisdiction in Cases Registered under the ICSID Convention and Additional Facility Rules involving Investors with SEAP Nationality	19
Chart 11: Distribution of Cases Registered under the ICSID Convention and Additional Facility Rules involving Investors with SEAP Nationality, by Economic Sector	20

² The data is based on ICSID statistics as at October 1, 2014.

Chart 12: Arbitration Proceedings under the ICSID Convention and Additional Facility Rules involving Investors with SEAP Nationality – Outcomes	21
Chart 12a: Disputes Settled or Proceedings Otherwise Discontinued under the ICSID Convention and Additional Facility Rules involving Investors with SEAP Nationality – Basis	22
Chart 12b: Disputes Decided by Arbitral Tribunals under the ICSID Convention and Additional Facility Rules involving Investors with SEAP Nationality – Findings	22
5. Arbitrators, Conciliators and <i>ad hoc</i> Committee Members Appointed in ICSID Cases	24
Chart 13: Arbitrators, Conciliators and <i>ad hoc</i> Committee Members Appointed in Cases Registered under the ICSID Convention and Additional Facility Rules – Distribution of Appointments by ICSID and by the Parties (or Party-appointed Arbitrators) by Geographic Region	24
Chart 14: State of Nationality of Arbitrators, Conciliators and <i>ad hoc</i> Committee Members with SEAP Nationality Appointed in Cases Registered under the ICSID Convention and Additional Facility Rules	25
ANNEX 1 – SEAP Region (as of October 1, 2014)	26
ANNEX 2 – List of ICSID Cases involving State Parties in the SEAP Region (as of October 1, 2014)	28

1. Map of ICSID Contracting States and Other Signatories to the ICSID Convention (as of October 1, 2014)



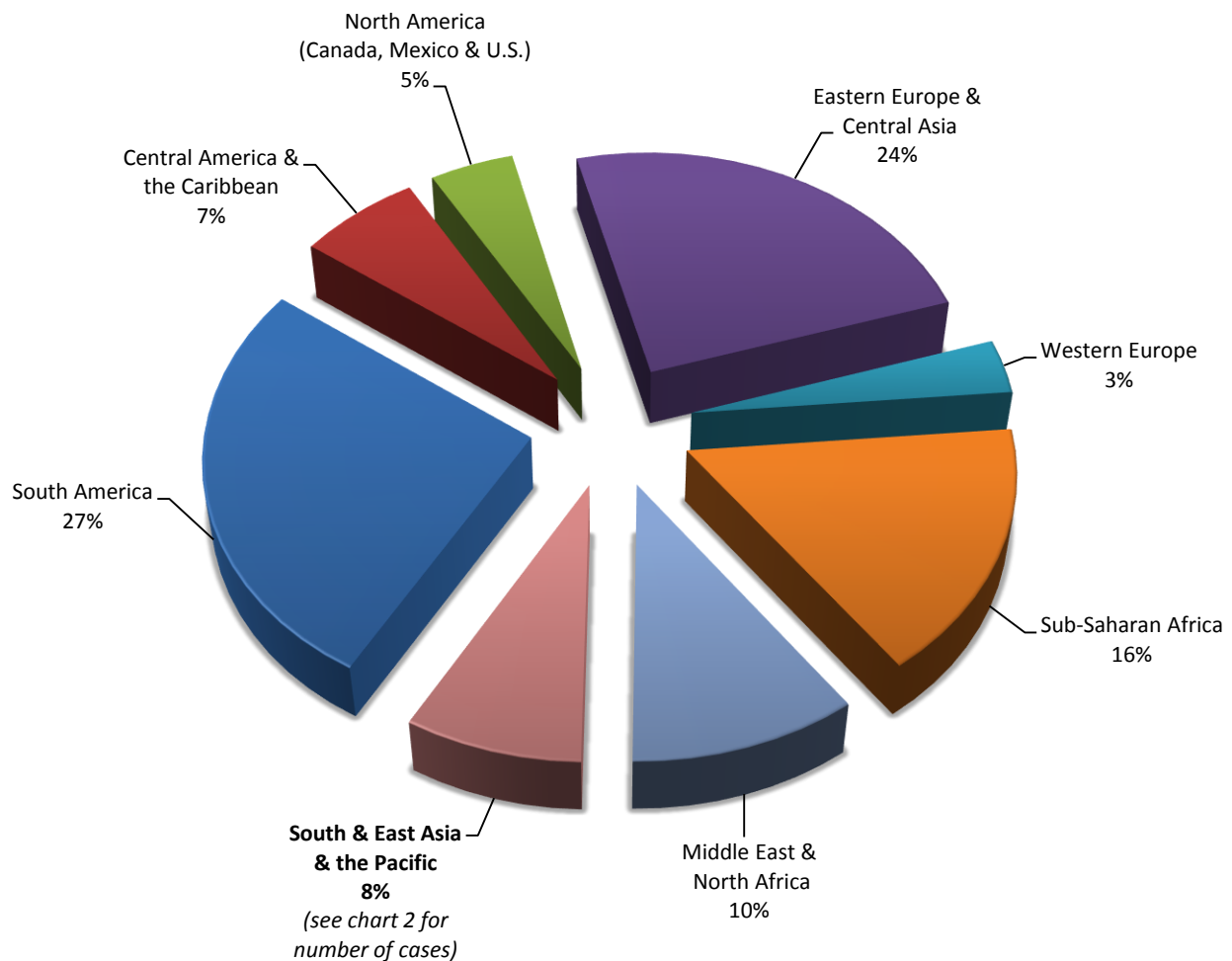
2. Map of ICSID Contracting States and Other Signatories to the ICSID Convention in the South & East Asia & the Pacific Region (as of October 1, 2014)



3. Geographic Distribution of All ICSID Cases, by State Party Involved*

As of October 1, 2014, ICSID had registered 484 cases under the ICSID Convention and Additional Facility Rules. Thirty-nine (39) of these cases (8%) involved a State Party from the South & East Asia & the Pacific (SEAP) Region. A list of the SEAP Region is attached as Annex 1. For a complete list of cases registered by ICSID involving a State party from the SEAP Region, see Annex 2.

Chart 1: Geographic Distribution of All Cases Registered under the ICSID Convention and Additional Facility Rules, by State Party Involved*:



* The classification of the geographic regions above is based on the World Bank's regional system, available at <http://databank.worldbank.org/data/views/variableselection/selectvariables.aspx?source=world-development-indicators>, and also includes World Bank donor countries.

4. ICSID Cases involving a State Party from the SEAP Region – Further Details

Chart 2: Number of ICSID Cases involving a State Party from the SEAP Region:

The chart below lists each SEAP State and the number of cases in which it has been involved as a party to the dispute. A complete list of ICSID cases involving a State Party from the SEAP Region is attached as Annex 2. In addition, procedural details about each case can be found on the ICSID website at www.worldbank.org/icsid.

	SEAP State	Number of ICSID Cases
1.	Bangladesh	5
2.	Cambodia	1
3.	China	1
4.	Indonesia	7
5.	Korea, Republic of	2
6.	Lao People's Democratic Republic	1
7.	Malaysia	3
8.	Mongolia	1
9.	New Zealand	1
10.	Pakistan	8
11.	Papua New Guinea	2
12.	Philippines	4
13.	Sri Lanka	3

Chart 3: Type of Case Registered under the ICSID Convention and Additional Facility Rules involving a State Party from the SEAP Region:

Of the 39 ICSID cases involving a SEAP State, 38 were commenced under the ICSID Convention, and 1 was initiated under the Additional Facility Rules. As of October 1, 2014, no conciliation cases had been registered by ICSID involving a State Party from the SEAP Region.

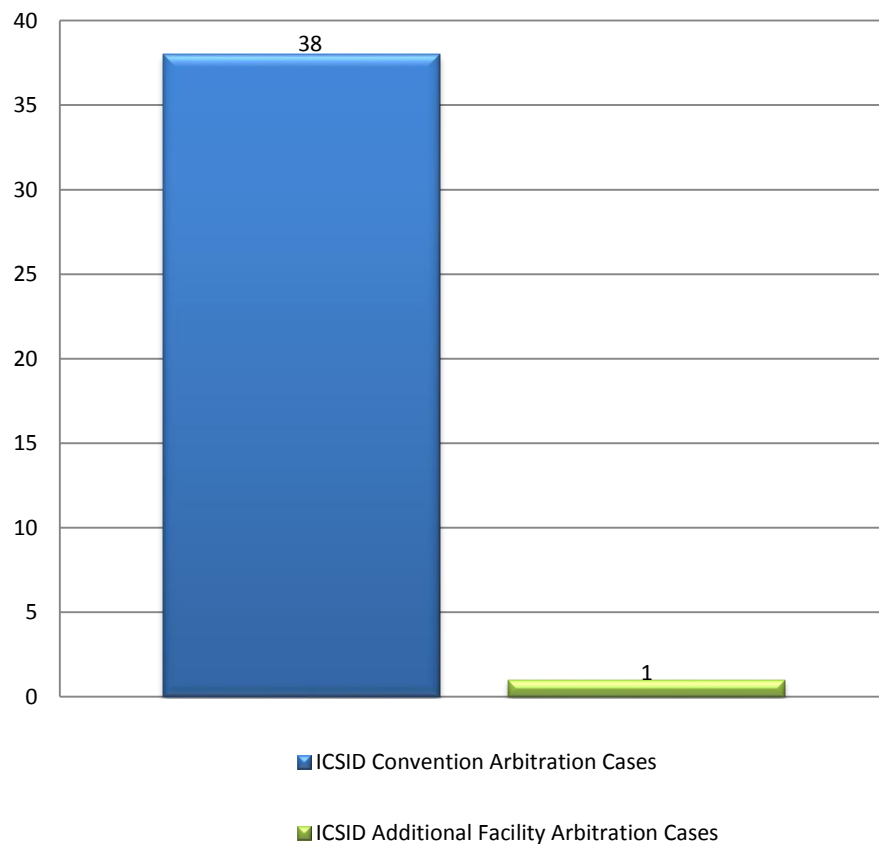


Chart 4: Basis of Consent Invoked to Establish ICSID Jurisdiction in Cases Registered under the ICSID Convention and Additional Facility Rules involving a State Party from the SEAP Region:

Of the 39 ICSID cases involving a SEAP State, the vast majority (63%) asserted ICSID jurisdiction on the basis of a bilateral investment treaty (BIT). Twenty-eight percent (28%) of the cases relied on the State’s consent to arbitrate under investment contracts. The remaining 9% of the cases invoked the State’s consent to ICSID jurisdiction in the ASEAN, the Energy Charter Treaty, and investment laws of the Host-State (each 3%).

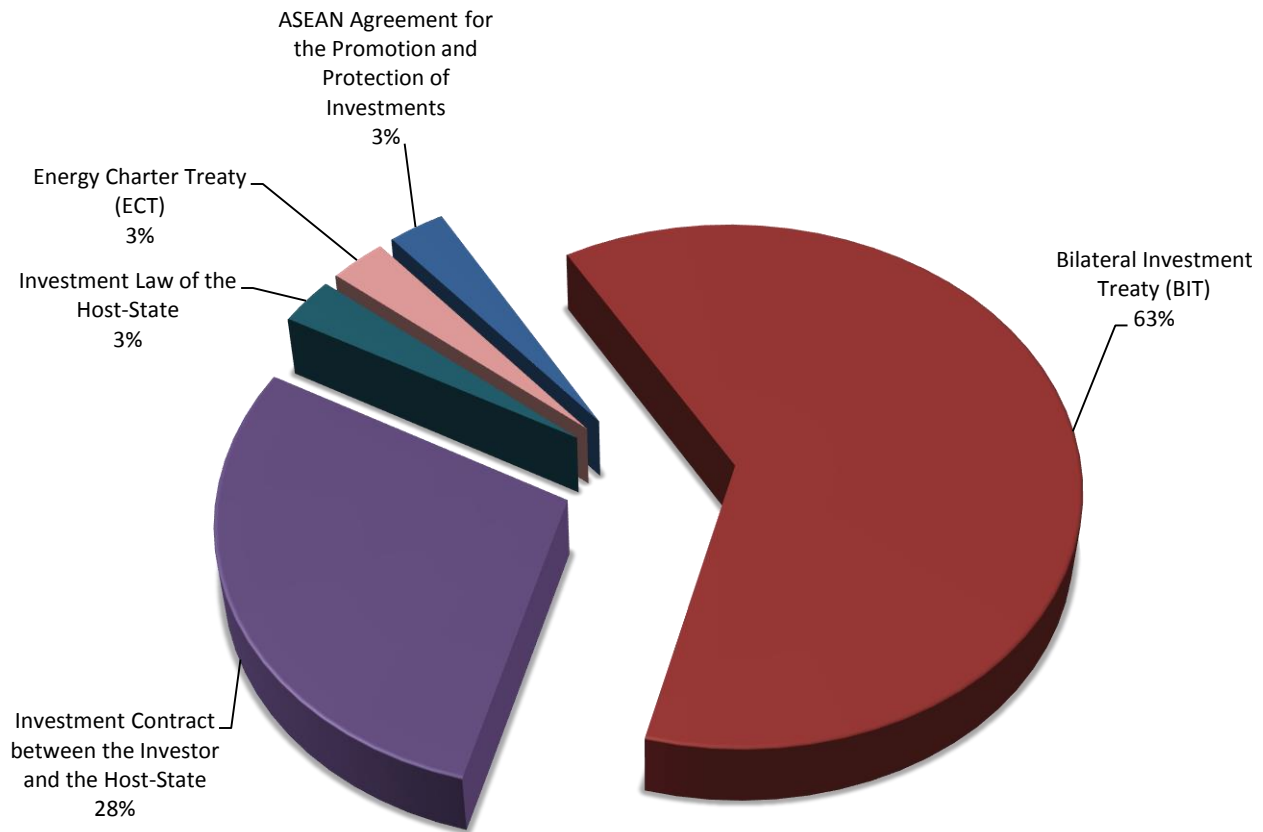
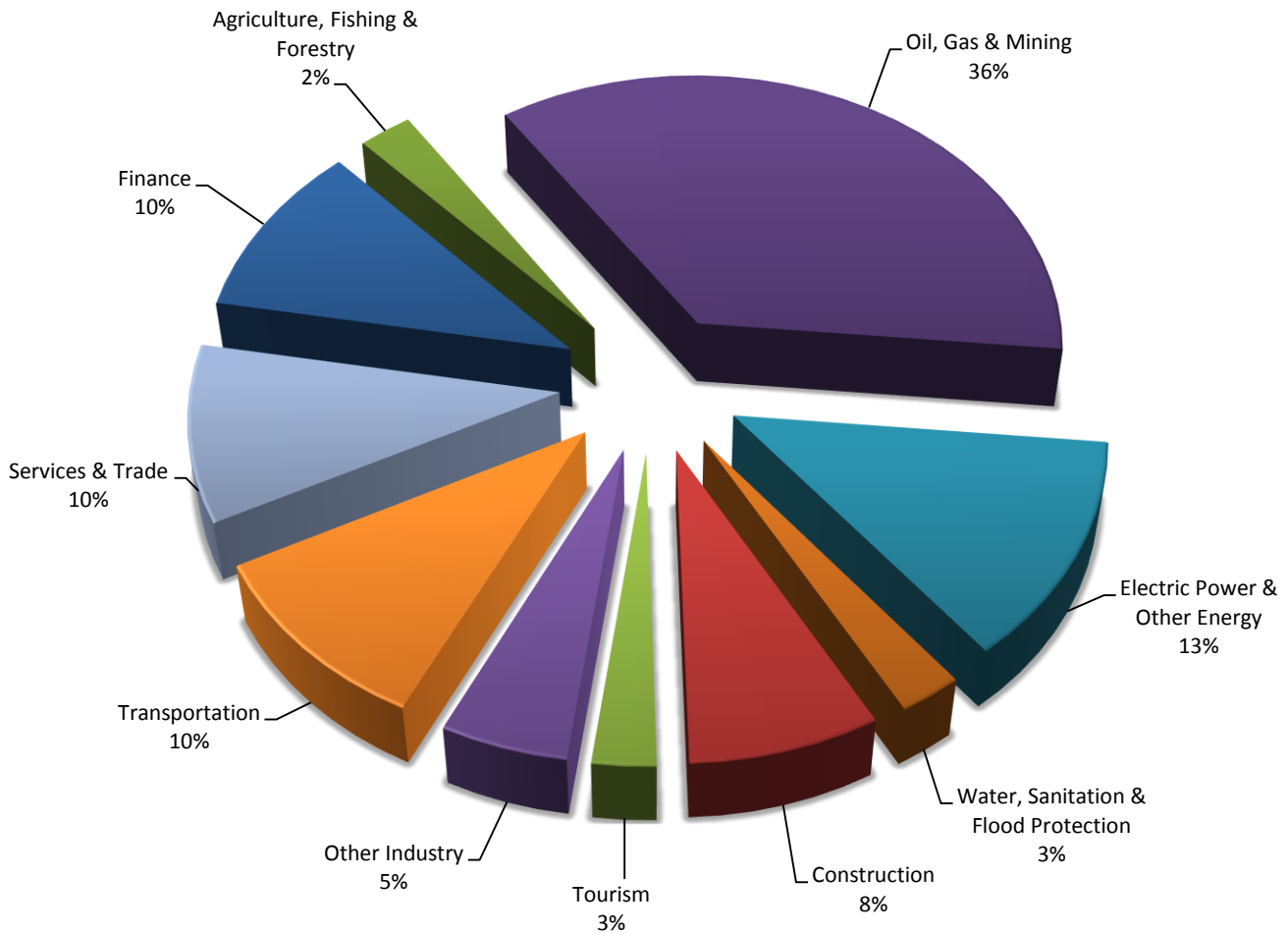


Chart 5: Distribution of Cases Registered under the ICSID Convention and Additional Facility Rules involving a State Party from the SEAP Region, by Economic Sector*:

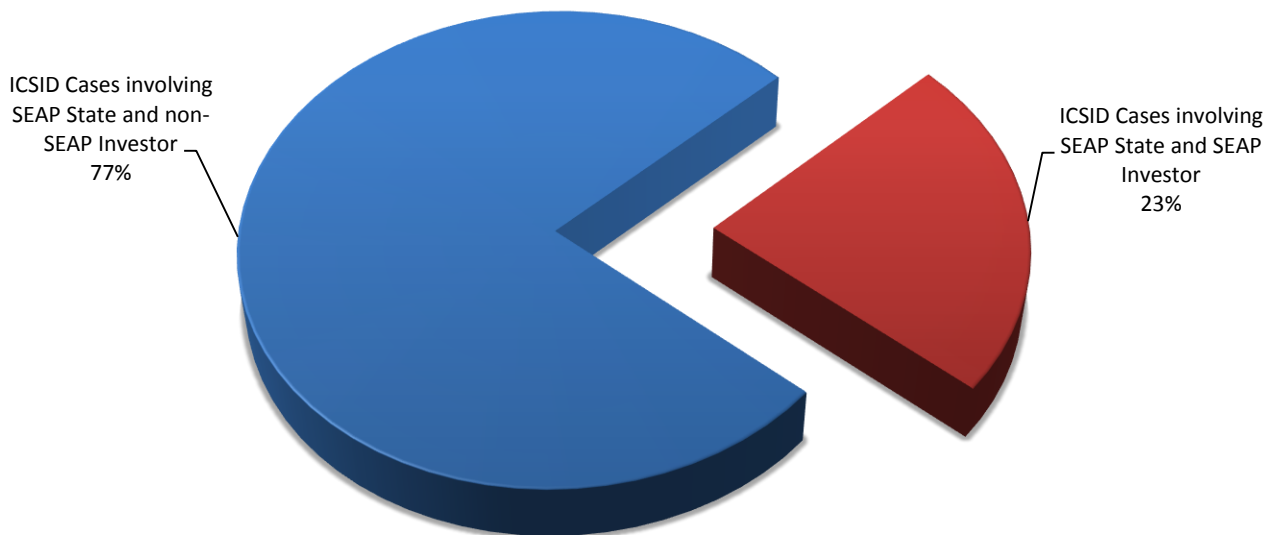
The 39 disputes involving a SEAP State arose in the context of a variety of economic sectors.



* This sector classification is based on the World Bank's sector codes, available at <http://siteresources.worldbank.org/PROJECTS/Resources/SectorCodesLists.pdf>.

Chart 6: Cases Registered under the ICSID Convention and Additional Facility Rules involving a State Party from the SEAP Region – Geographic Origin of Investors³:

In the 39 ICSID cases involving a SEAP State, 9 were commenced by investors who reported SEAP nationality at the time of case registration. The remaining 30 cases were commenced by investors from States outside of the SEAP Region.



³ The data is based on the nationality of investors as reported at the time of registration.

Chart 7: Cases Registered under the ICSID Convention and Additional Facility Rules involving a State Party from the SEAP Region – Type of Investor:

Of the 39 ICSID cases involving a SEAP State, 8% were instituted by individual persons (“natural persons”). A further 90% involved juridical persons. (This term refers to legal entities such as corporations, partnerships, or joint ventures, and includes small, medium, and large enterprises.)

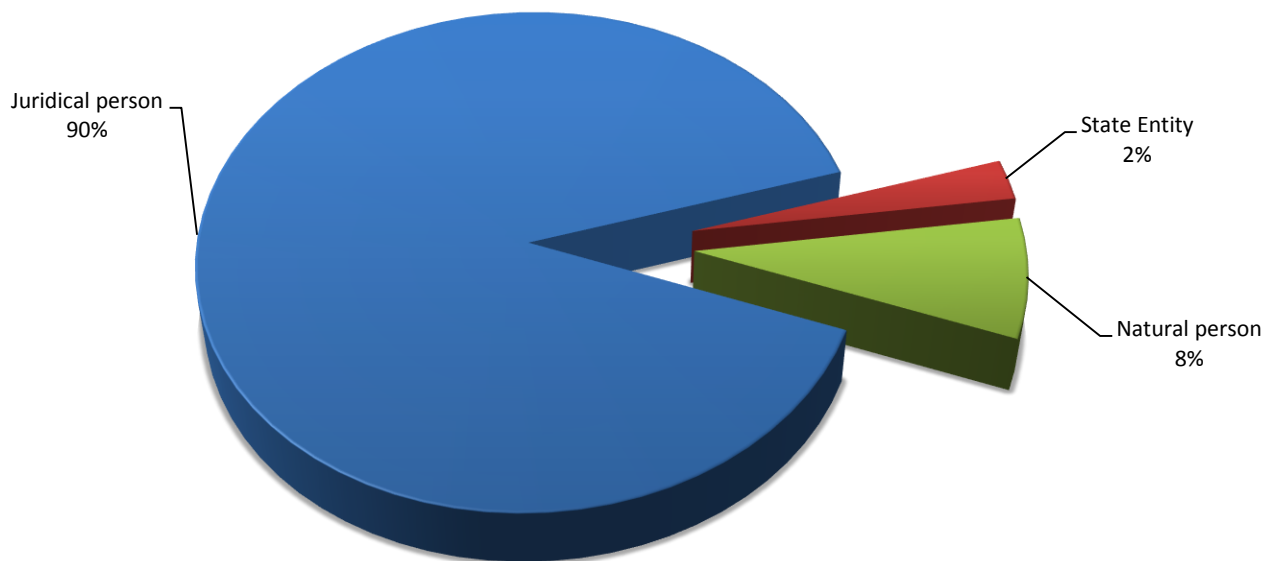


Chart 8: Arbitration Proceedings under the ICSID Convention and Additional Facility Rules involving a State Party from the SEAP Region– Outcomes:

In the concluded arbitrations involving a SEAP State Party, 48% were settled by the parties or discontinued before a final determination of the tribunal. The basis for settlement or discontinuance is indicated in Chart 8a.

The other 52% were resolved by a final award by the tribunal. Where the tribunal rendered a final award, 50% of the awards declined jurisdiction, 21% dismissed all claims, and 29% upheld the claims in part or in full (see Chart 8b).

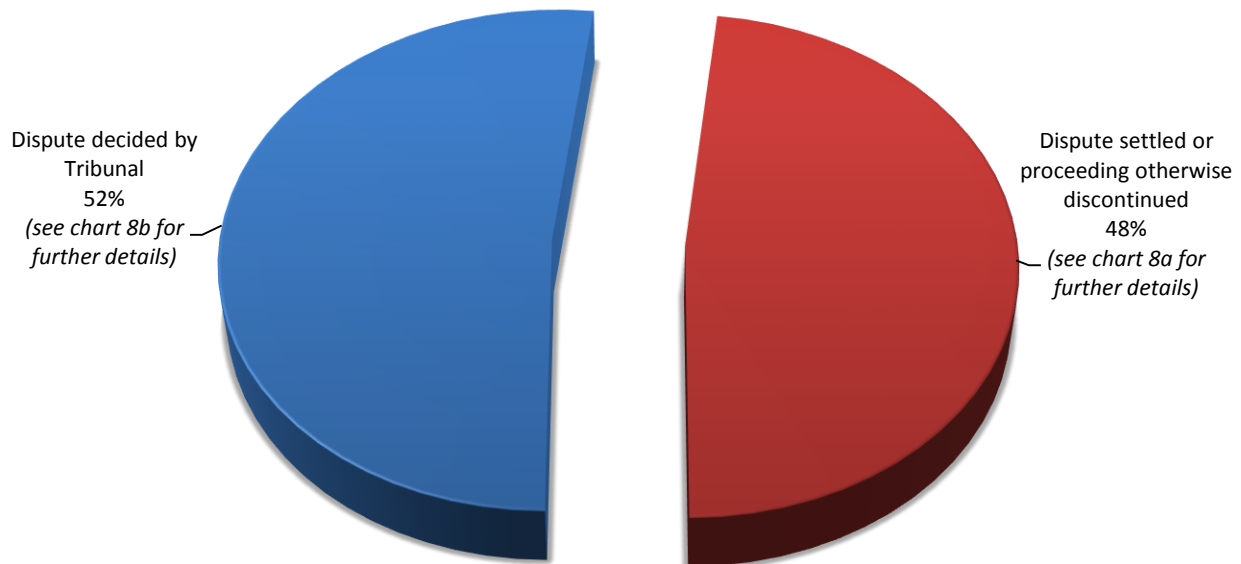
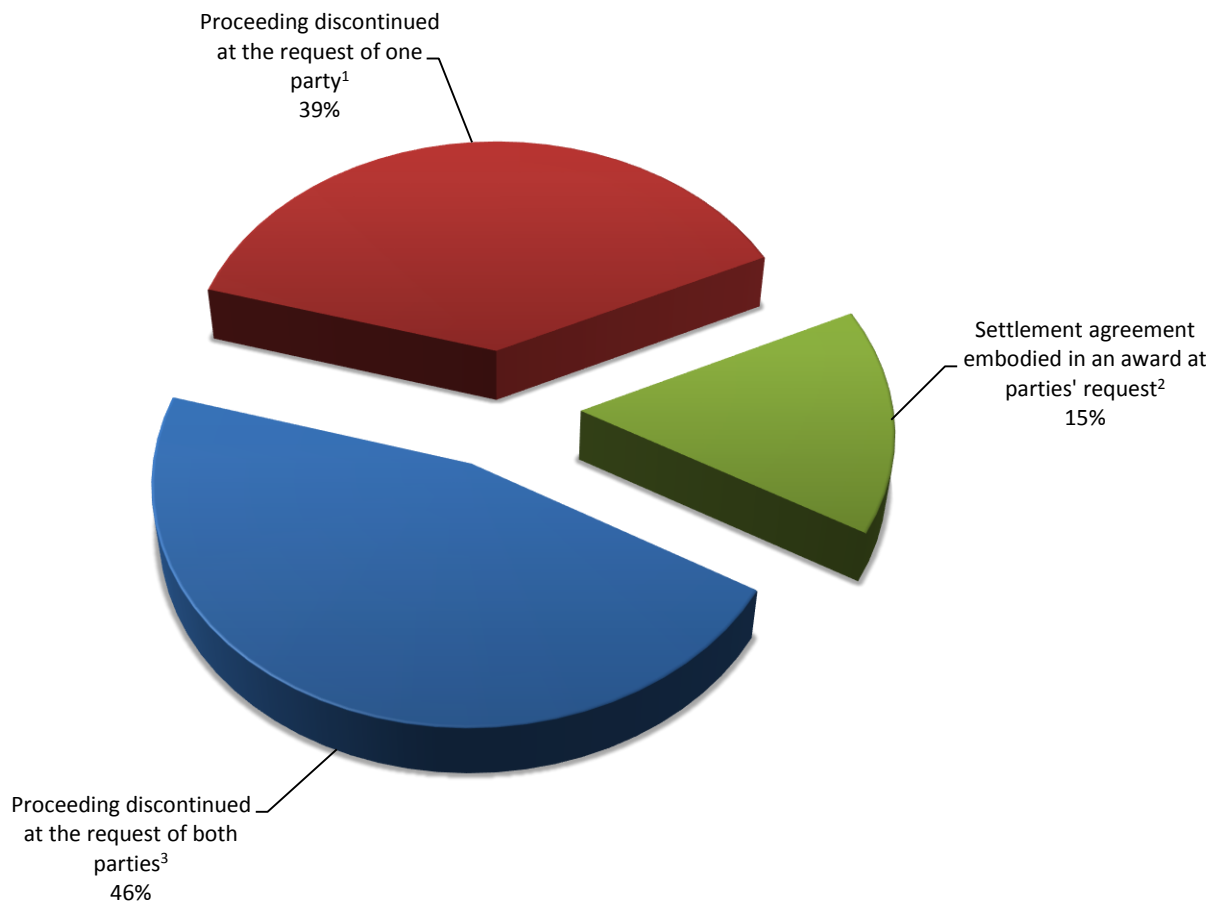


Chart 8a: Disputes Settled or Proceedings Otherwise Discontinued under the ICSID Convention and Additional Facility Rules involving a State Party from the SEAP Region – Basis:

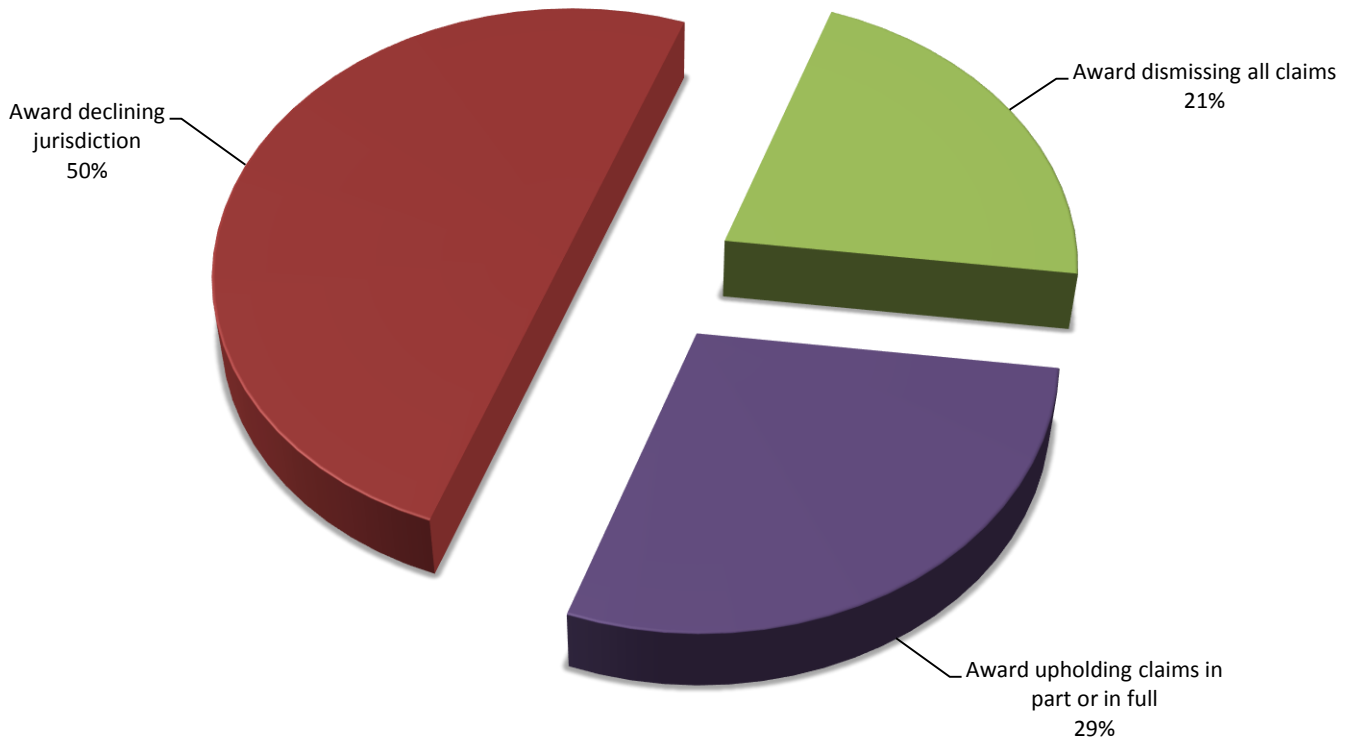


¹ ICSID Arbitration Rule 44. No case concluded to date on the basis of Arbitration (Additional Facility) Rule 50.

² ICSID Arbitration Rule 43(2). No case concluded to date on the basis of Arbitration (Additional Facility) Rule 49(2).

³ ICSID Arbitration Rule 43(1) and Arbitration (Additional Facility) Rule 49(1).

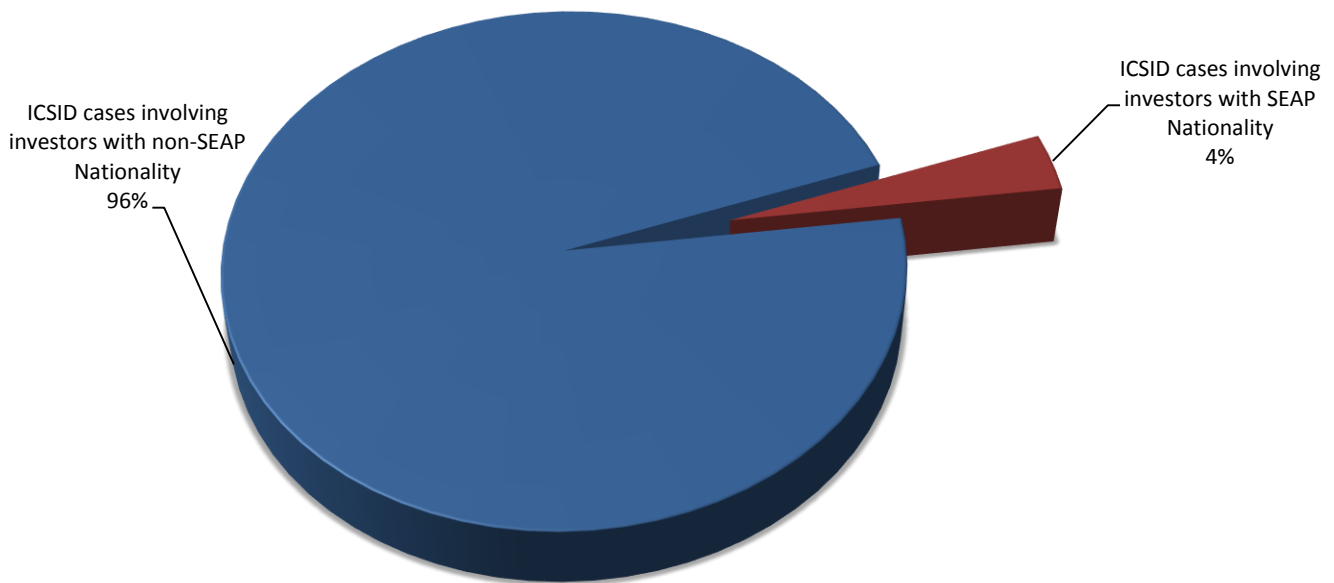
Chart 8b: Disputes Decided by Arbitral Tribunals under the ICSID Convention and Additional Facility Rules involving a State Party from the SEAP Region – Findings:



5. ICSID Cases involving Investors with SEAP Nationality – Details⁴

Chart 9: All Cases Registered under the ICSID Convention and Additional Facility Rules – Geographic Origin of Investor:

Investors with SEAP nationality were involved in 4% of registered ICSID cases as of October 1, 2014. The data is based on the nationality of investors as reported at the time of registration.



⁴ The data is based on the nationality of investors as reported at the time of registration.

Chart 10: Basis of Consent Invoked to Establish ICSID Jurisdiction in Cases Registered under the ICSID Convention and Additional Facility Rules involving Investors with SEAP Nationality:

Investors with SEAP nationality relied only on the arbitration mechanism established by the ICSID Convention (100%).

Of the ICSID cases involving an investor with SEAP nationality, 51% were based on an ICSID dispute settlement provision in an investment contract between the investor and the Host-State. Thirty-nine percent (39%) asserted ICSID jurisdiction on the basis of a bilateral investment treaty (BIT). The remaining cases invoked the State’s consent to ICSID jurisdiction in the ASEAN (5%), and the State’s consent found in the investment law of the Host-State (5%).

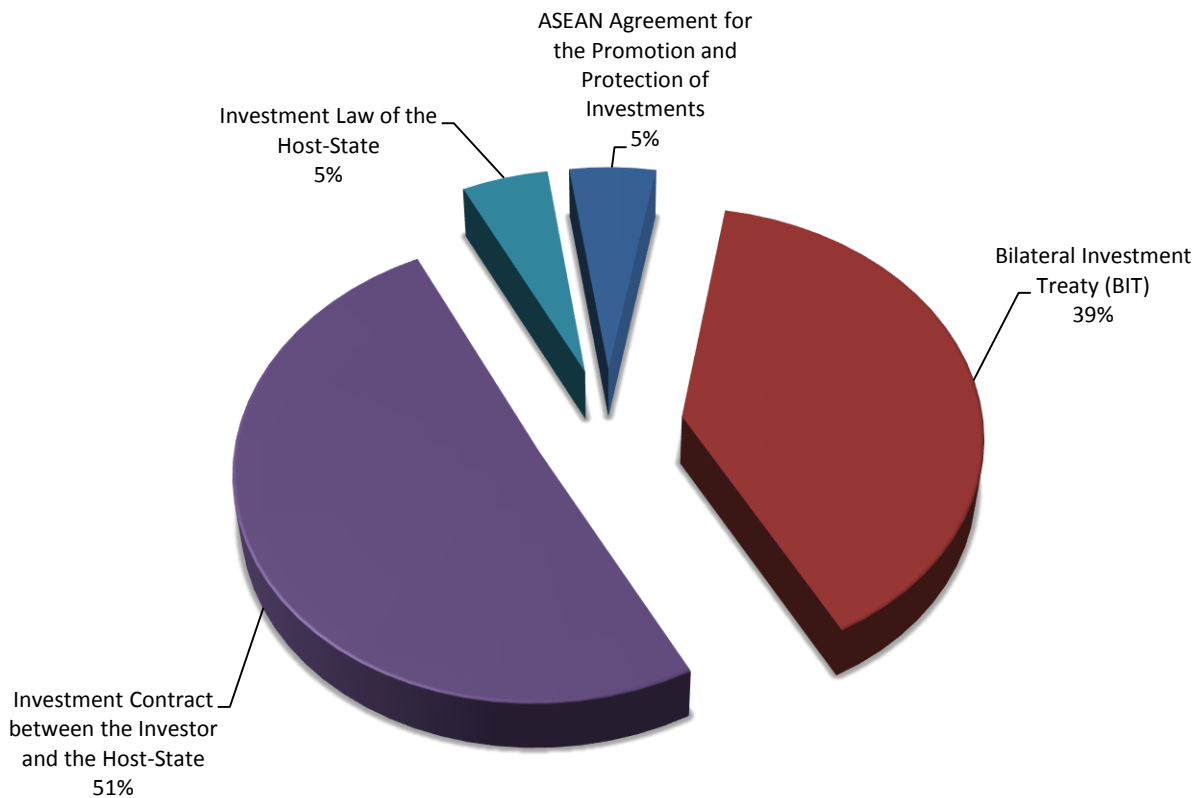
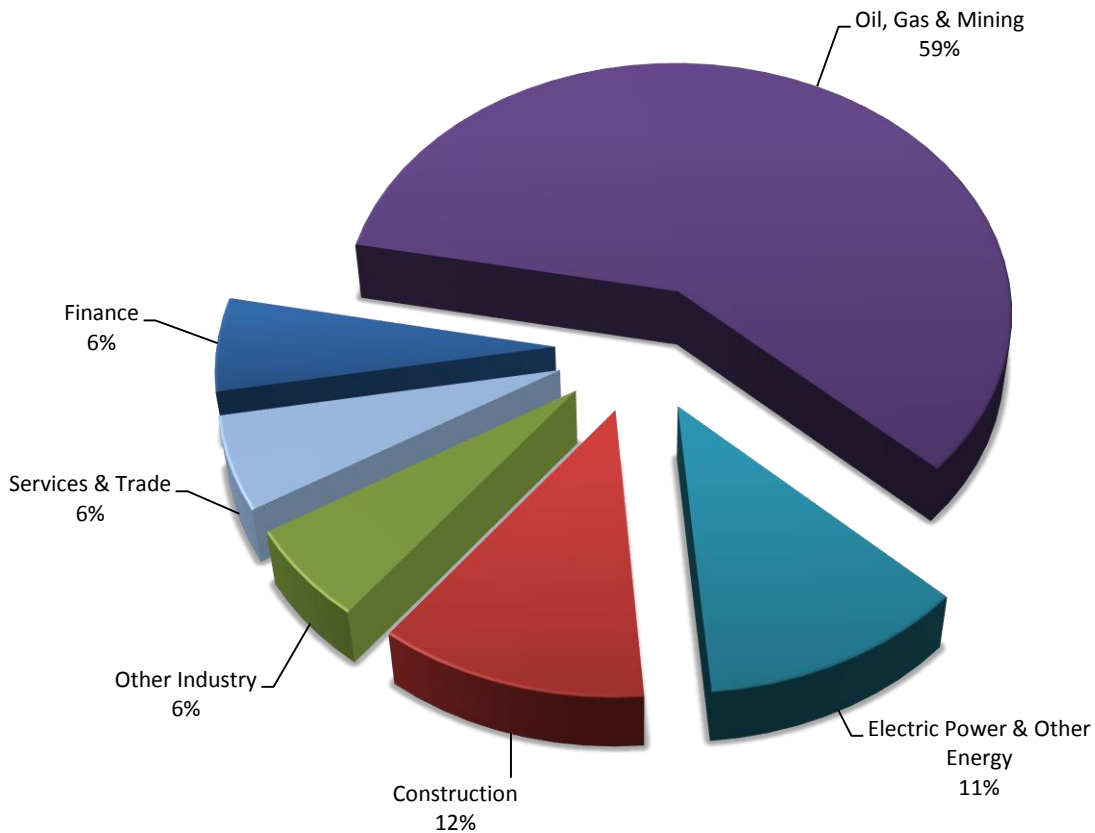


Chart 11: Distribution of Cases Registered under the ICSID Convention and Additional Facility Rules involving Investors with SEAP Nationality, by Economic Sector*:

The disputes involving an investor with SEAP nationality concerned a variety of economic sectors.



* This sector classification is based on the World Bank's sector codes, available at <http://siteresources.worldbank.org/PROJECTS/Resources/SectorCodesLists.pdf>.

Chart 12: Arbitration Proceedings under the ICSID Convention and Additional Facility Rules involving Investors with SEAP Nationality – Outcomes:

In the concluded ICSID arbitrations involving an investor with SEAP nationality, 63% were settled by the parties or discontinued before a final determination of the tribunal. The basis for settlement or discontinuance is indicated in Chart 12a.

The other 37% were resolved in a final award issued by the tribunal. Where the tribunal issued a final award, 33% dismissed all claims and 67% upheld the claims in part or in full (see Chart 12b).

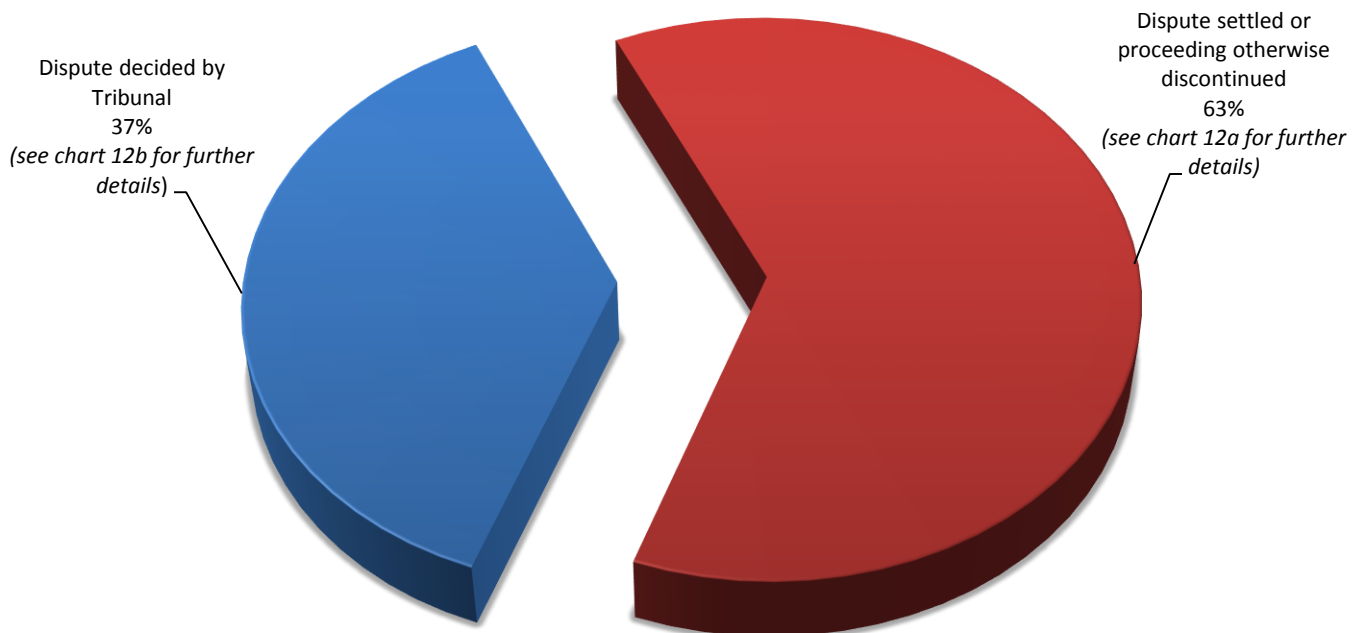
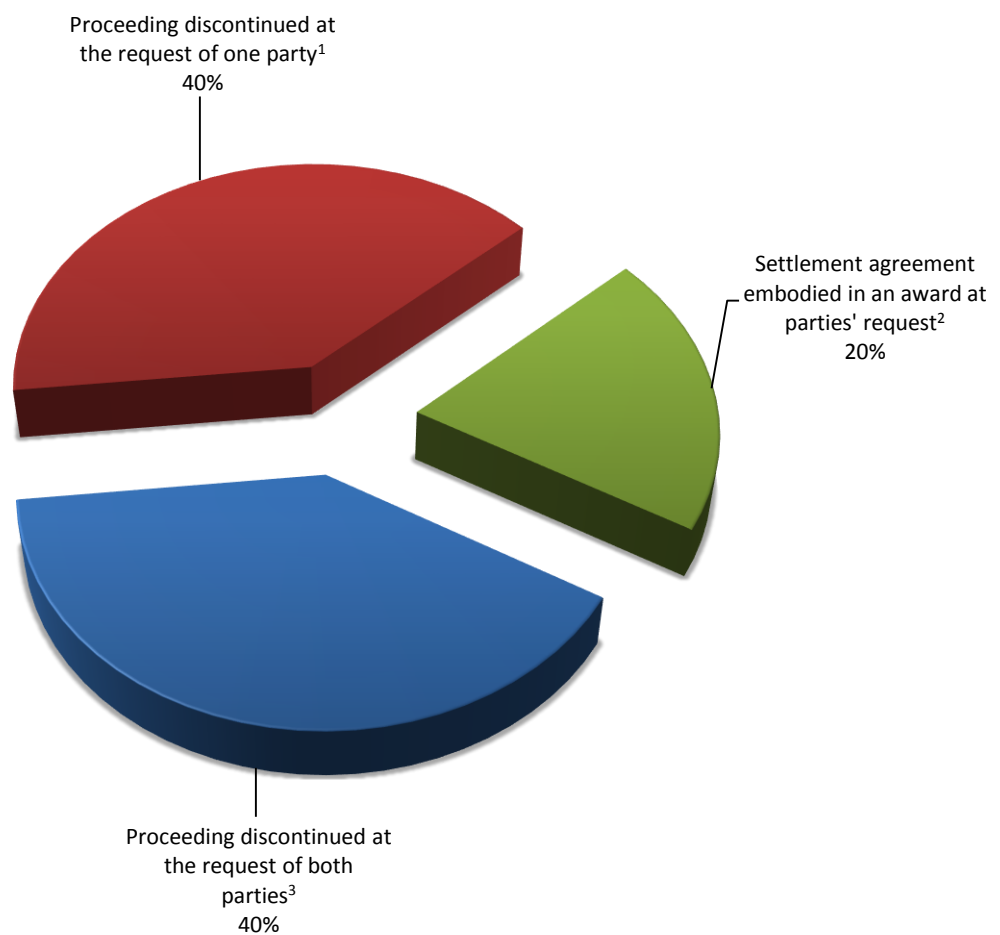


Chart 12a: Disputes Settled or Proceedings Otherwise Discontinued under the ICSID Convention and Additional Facility Rules involving Investors with SEAP Nationality – Basis:

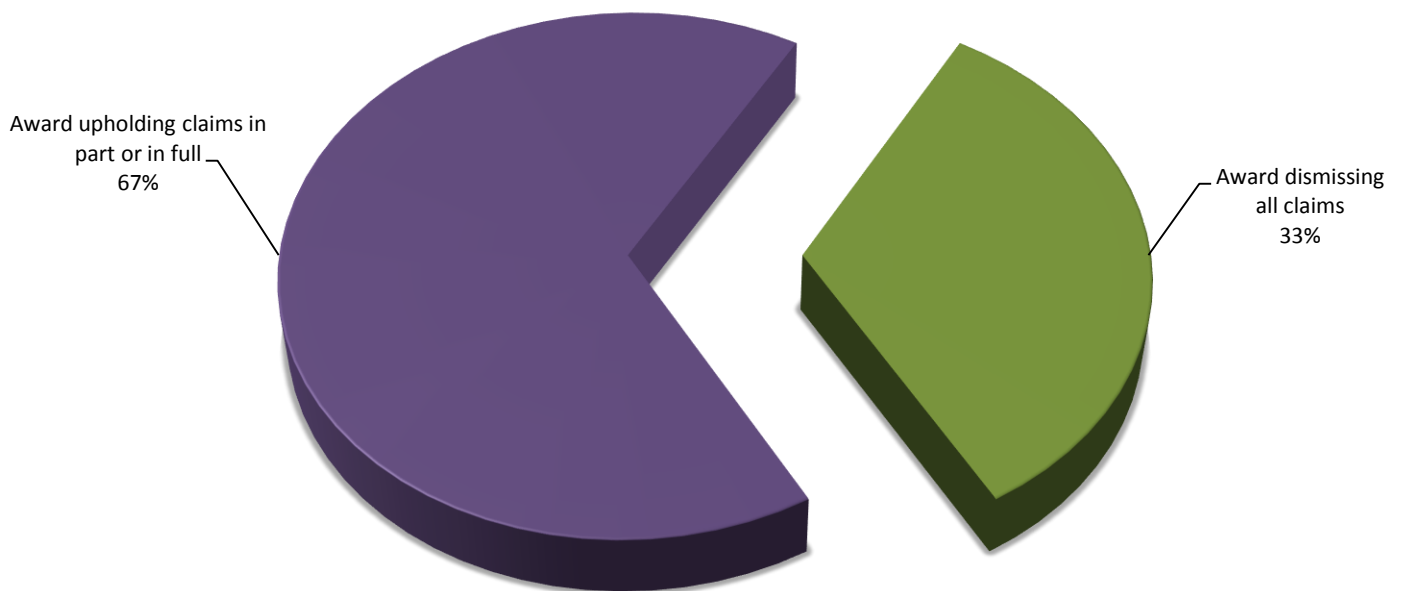


¹ ICSID Arbitration Rule 44. No case concluded to date on the basis of Arbitration (Additional Facility) Rule 50.

² ICSID Arbitration Rule 43(2). No case concluded to date on the basis of Arbitration (Additional Facility) Rule 49(2).

³ ICSID Arbitration Rule 43(1) and Arbitration (Additional Facility) Rule 49(1).

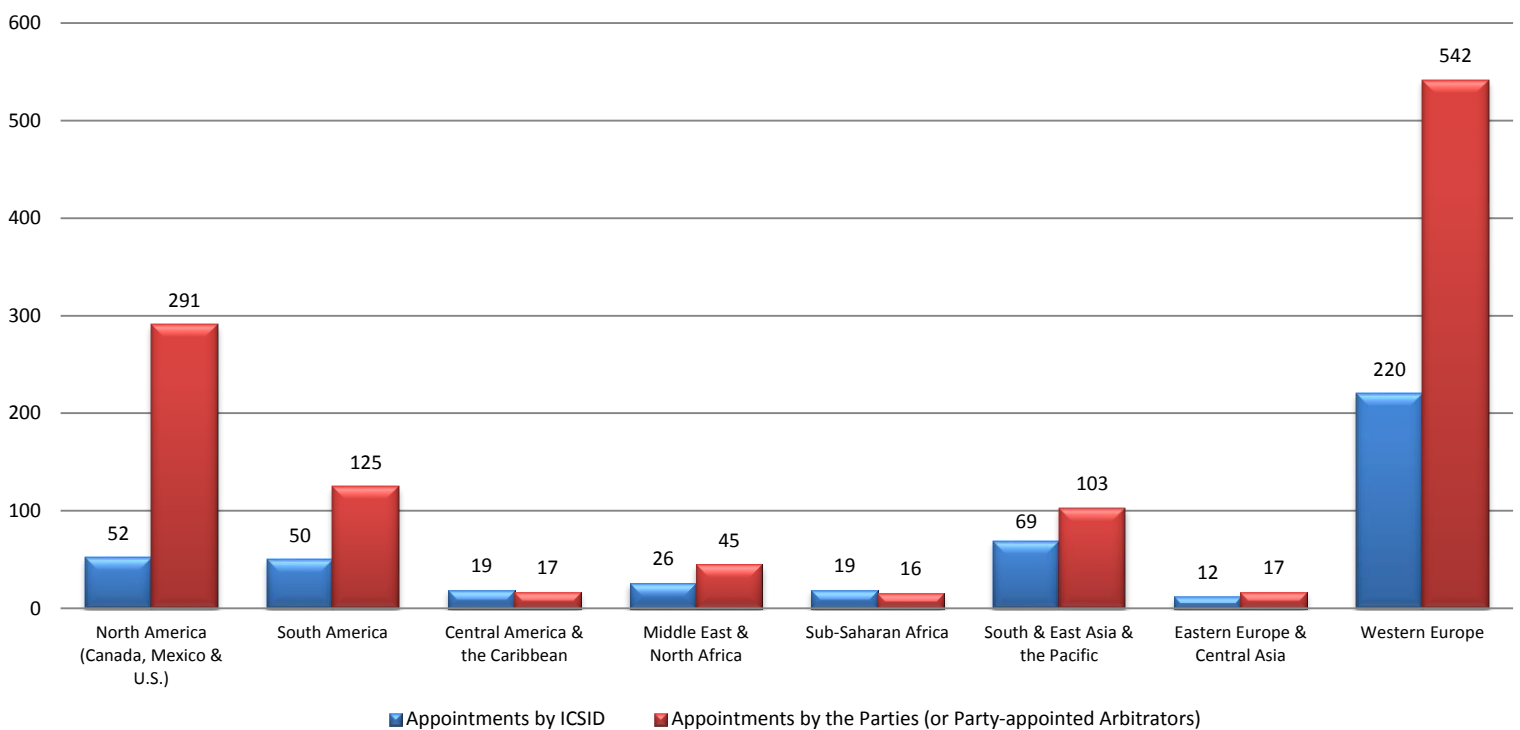
Chart 12b: Disputes Decided by Arbitral Tribunals under the ICSID Convention and Additional Facility Rules involving Investors with SEAP Nationality – Findings:



6. Arbitrators, Conciliators and *ad hoc* Committee Members Appointed in ICSID Cases

Chart 13: Arbitrators, Conciliators and *ad hoc* Committee Members Appointed in Cases Registered under the ICSID Convention and Additional Facility Rules – Distribution of Appointments by ICSID and by the Parties (or Party-appointed Arbitrators) by Geographic Region*:

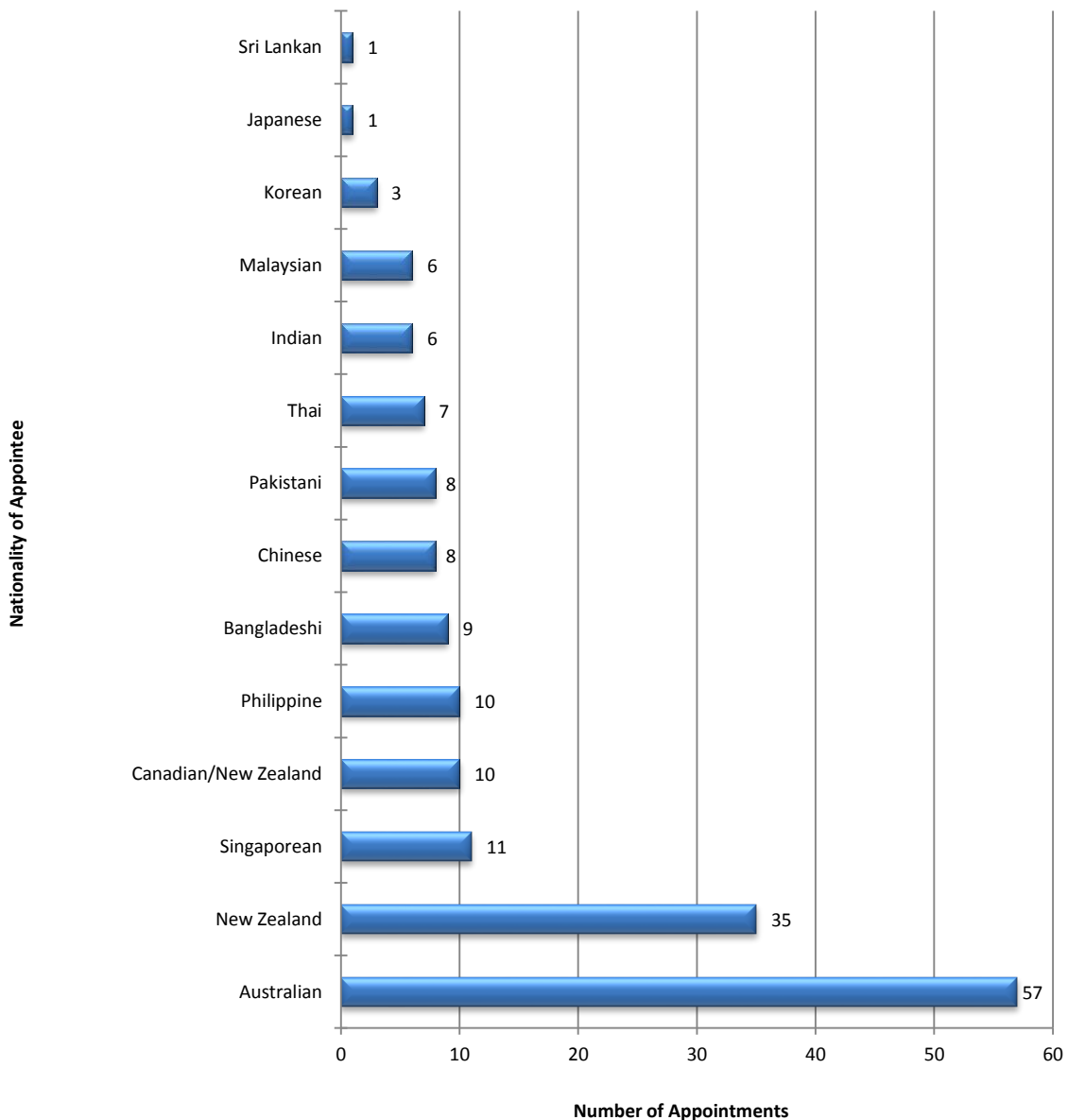
In approximately 71% of the appointments made in ICSID cases, the parties select the appointees (indicated in red, below). A number of such appointees are nationals of a SEAP state. The remaining 29% of appointments were made by ICSID (indicated in blue, below).



* The classification of the geographic regions above is based on the World Bank's regional system, available at <http://databank.worldbank.org/data/views/variableselection/selectvariables.aspx?source=world-development-indicators>, and also includes World Bank donor countries. The chart reflects appointments made to Tribunals and *ad hoc* Committees constituted until October 1, 2014.

Chart 14: State of Nationality of Arbitrators, Conciliators and *ad hoc* Committee Members with SEAP Nationality Appointed in Cases Registered under the ICSID Convention and Additional Facility Rules:

A number of SEAP nationals served as arbitrators, conciliators or *ad hoc* Committee members in ICSID cases. In total, about 11% of all appointments made in ICSID cases involved nationals from a SEAP State.



ANNEX 1 – SEAP Region (as of October 1, 2014)⁵

	SIGNATURE	ENTRY INTO FORCE
Afghanistan	Sep. 30, 1966	July 25, 1968
American Samoa		
Australia	Mar. 24, 1975	June 1, 1991
Bangladesh	Nov. 20, 1979	Apr. 26, 1980
Bhutan		
Brunei Darussalam	Sep. 16, 2002	Oct. 16, 2002
Cambodia	Nov. 5, 1993	Jan. 19, 2005
China	Feb. 9, 1990	Feb. 6, 1993
Fiji	July 1, 1977	Sep. 10, 1977
French Polynesia		
Guam		
Hong Kong SAR, China		
India		
Indonesia	Feb. 16, 1968	Oct. 28, 1968
Japan	Sep. 23, 1965	Sep. 16, 1967
Kiribati		
Korea, Democratic Republic of		
Korea, Republic of	Apr. 18, 1966	Mar. 23, 1967
Lao PDR		
Macao SAR, China		
Malaysia	Oct. 22, 1965	Oct. 14, 1966
Maldives		
Marshall Islands		
Micronesia, Federated States of	June 24, 1993	July 24, 1993
Mongolia	June 14, 1991	July 14, 1991

⁵ The classification of the SEAP region is based on the World Bank's regional system, available at <http://databank.worldbank.org/data/views/variableselection/selectvariables.aspx?source=world-development-indicators>, and also includes World Bank donor countries.

	SIGNATURE	ENTRY INTO FORCE
Myanmar		
Nepal	Sep. 28, 1965	Feb. 6, 1969
New Caledonia		
New Zealand	Sep. 2, 1970	May 2, 1980
Northern Mariana Islands		
Pakistan	July 6, 1965	Oct. 15, 1966
Palau		
Papua New Guinea	Oct. 20, 1978	Nov. 19, 1978
Philippines	Sep. 26, 1978	Dec. 17, 1978
Samoa	Feb. 3, 1978	May 25, 1978
Singapore	Feb. 2, 1968	Nov. 13, 1968
Solomon Islands	Nov. 12, 1979	Oct. 8, 1981
Sri Lanka	Aug. 30, 1967	Nov. 11, 1967
Taiwan		
Thailand	Dec. 6, 1985	
Timor-Leste	July 23, 2002	Aug. 22, 2002
Tonga	May 1, 1989	Apr. 20, 1990
Tuvalu		
Vanuatu		
Vietnam		

**ANNEX 2 – List of ICSID Cases involving State Parties in the SEAP Region
(as of October 1, 2014)**

	<u>Case No.</u>	<u>Claimant(s)</u>		<u>Respondent</u>	<u>Case Status</u>
1.	ARB/81/1	Amco Asia Corporation and others	v.	Republic of Indonesia	CONCLUDED
2.	ARB/84/2	Colt Industries Operating Corporation	v.	Republic of Korea	CONCLUDED
3.	ARB/87/2	Mobil Oil Corporation and others	v.	New Zealand	CONCLUDED
4.	ARB/87/3	Asian Agricultural Products Limited	v.	Democratic Socialist Republic of Sri Lanka	CONCLUDED
5.	ARB/87/4	Occidental of Pakistan, Inc.	v.	Islamic Republic of Pakistan	CONCLUDED
6.	ARB/92/2	Scimitar Exploration Limited	v.	Bangladesh and Bangladesh Oil, Gas and Mineral Corporation	CONCLUDED
7.	ARB/94/1	Philippe Gruslin	v.	Malaysia	CONCLUDED
8.	ARB/96/2	Misima Mines Pty. Ltd.	v.	Independent State of Papua New Guinea	CONCLUDED
9.	ARB/99/3	Philippe Gruslin	v.	Malaysia	CONCLUDED
10.	ARB/00/2	Mihaly International Corporation	v.	Democratic Socialist Republic of Sri Lanka	CONCLUDED
11.	ARB/01/13	SGS Société Générale de Surveillance S.A.	v.	Islamic Republic of Pakistan	CONCLUDED
12.	ARB/02/2	Impregilo S.p.A.	v.	Islamic Republic of Pakistan	CONCLUDED
13.	ARB/02/6	SGS Société Générale de Surveillance S.A.	v.	Republic of the Philippines	CONCLUDED
14.	ARB/03/3	Impregilo S.p.A.	v.	Islamic Republic of Pakistan	CONCLUDED
15.	ARB/03/25	Fraport AG Frankfurt Airport Services Worldwide	v.	Republic of the Philippines	CONCLUDED
16.	ARB/03/29	Bayindir Insaat Turizm Ticaret Ve Sanayi A.S.	v.	Islamic Republic of Pakistan	CONCLUDED
17.	ARB/04/3	Cemex Asia Holdings Ltd	v.	Republic of Indonesia	CONCLUDED

	<u>Case No.</u>	<u>Claimant(s)</u>		<u>Respondent</u>	<u>Case Status</u>
18.	ARB/04/10	Alstom Power Italia SpA and Alstom SpA	v.	Republic of Mongolia	CONCLUDED
19.	ARB/05/7	Saipem S.p.A.	v.	People's Republic of Bangladesh	CONCLUDED
20.	ARB/05/10	Malaysian Historical Salvors, SDN, BHD	v.	Malaysia	CONCLUDED
21.	ARB/06/10	Chevron Bangladesh Block Twelve, Ltd. and Chevron Bangladesh Blocks Thirteen and Fourteen, Ltd.	v.	People's Republic of Bangladesh	CONCLUDED
22.	ARB/07/3	Government of the Province of East Kalimantan	v.	PT Kaltim Prima Coal and others	CONCLUDED
23.	ARB/09/2	Deutsche Bank AG	v.	Democratic Socialist Republic of Sri Lanka	PENDING
24.	ARB/09/18	Cambodia Power Company	v.	Kingdom of Cambodia	CONCLUDED
25.	ARB/10/11	Niko Resources (Bangladesh) Ltd.	v.	Bangladesh Petroleum Exploration & Production Company Limited ("Bapex") and Bangladesh Oil Gas and Mineral Corporation	PENDING
26.	ARB/10/18	Niko Resources (Bangladesh) Ltd.	v.	Bangladesh Petroleum Exploration and Production Company Limited ("Bapex") and Bangladesh Oil Gas and Mineral Corporation ("Petrobangla")	PENDING
27.	ARB/11/8	Agility for Public Warehousing Company K.S.C.	v.	Islamic Republic of Pakistan	PENDING
28.	ARB/11/12	Fraport AG Frankfurt Airport Services Worldwide	v.	Republic of the Philippines	PENDING
29.	ARB/11/13	Rafat Ali Rizvi	v.	Republic of Indonesia	PENDING
30.	ARB/11/15	Ekran Berhad	v.	People's Republic of China	CONCLUDED
31.	ARB/11/27	Baggerwerken Decloedt En Zoon NV	v.	Republic of the Philippines	PENDING
32.	ARB/12/1	Tethyan Copper Company Pty Limited	v.	Islamic Republic of Pakistan	PENDING
33.	ARB/12/14	Churchill Mining PLC	v.	Republic of Indonesia	PENDING

	<u>Case No.</u>	<u>Claimant(s)</u>		<u>Respondent</u>	<u>Case Status</u>
34.	ARB(AF)/12/6	Lao Holdings N.V.	v.	Lao People's Democratic Republic	PENDING
35.	ARB/12/37	LSF-KEB Holdings SCA and others	v.	Republic of Korea	PENDING
36.	ARB/12/40	Planet Mining Pty Ltd	v.	Republic of Indonesia	PENDING
37.	ARB/13/1	Karkey Karadeniz Elektrik Uretim A.S.	v.	Islamic Republic of Pakistan	PENDING
38.	ARB/13/33	PNG Sustainable Development Program Ltd.	v.	Independent State of Papua New Guinea	PENDING
39.	ARB/14/15	Nusa Tenggara Partnership B.V. and PT Newmont Nusa Tenggara	v.	Republic of Indonesia	CONCLUDED