

# Official Journal

## of the European Communities

ISSN 0378-6986

C 27

Volume 41

26 January 1998

English edition

## Information and Notices

---

<u>Notice No</u>	<u>Contents</u>	<u>Page</u>
	<i>I Information</i>	
	<b>Council</b>	
98/C 27/01	1968 Brussels Convention on jurisdiction and the enforcement of judgments in civil and commercial matters (consolidated version) .....	1
	Protocol on the interpretation of the 1968 Convention by the Court of Justice (consolidated version) .....	1
98/C 27/02	1980 Rome Convention on the law applicable to contractual obligations (consolidated version) .....	34
	First Protocol on the interpretation of the 1980 Convention by the Court of Justice (consolidated version) .....	34
	Second Protocol conferring on the Court of Justice powers to interpret the 1980 Convention (consolidated version) .....	34

EN

## I

*(Information)*

## COUNCIL

**1968 Brussels Convention on jurisdiction and the enforcement of judgments in civil and commercial matters (consolidated version)**

**Protocol on the interpretation of the 1968 Convention by the Court of Justice (consolidated version)**

(98/C 27/01)

## PRELIMINARY NOTE

The signing on 29 November 1996 of the Convention on the accession of the Republic of Austria, the Republic of Finland and the Kingdom of Sweden to the Brussels Convention on jurisdiction and the enforcement of judgments in civil and commercial matters and to the Protocol on its interpretation by the Court of Justice has made it desirable, as with previous accessions, for legal practitioners to be provided with an up-to-date consolidated version of the texts of the Brussels Convention and of that Protocol published in *Official Journal of the European Communities* C 189 of 28 July 1990.

These texts are accompanied by three Declarations by the representatives of the Governments of the Member States, one made in 1978 in connection with the International

Convention relating to the arrest of sea-going ships, another in 1989 concerning the ratification of the Convention on the accession of the Kingdom of Spain and the Portuguese Republic and the last in 1996 on jurisdiction for cases where, in the framework of the provision of services, workers are posted in a Member State other than that in which their work is normally performed.

The text printed in this edition was drawn up by the General Secretariat of the Council, in whose archives the originals of the instruments concerned are deposited. It should be noted, however, that this text has no binding force. The official texts of the instruments consolidated are to be found in the following Official Journals.

Language version of the Official Journal	1968 Brussels Convention	1971 Protocol	1978 Accession Convention	1982 Accession Convention	1989 Accession Convention	1997 Accession Convention
German	L 299, 31. 12. 1972, p. 32	L 204, 2. 8. 1975, p. 28	L 304, 30. 10. 1978, p. 1	L 388, 31. 12. 1982, p. 1	L 285, 3. 10. 1989, p. 1	C 15, 15. 1. 1997, p. 1
English	L 304, 30. 10. 1978, p. 36	L 304, 30. 10. 1978, p. 50	L 304, 30. 10. 1978, p. 1	L 388, 31. 12. 1982, p. 1	L 285, 3. 10. 1989, p. 1	C 15, 15. 1. 1997, p. 1
Danish	L 304, 30. 10. 1978, p. 17	L 304, 30. 10. 1978, p. 31	L 304, 30. 10. 1978, p. 1	L 388, 31. 12. 1982, p. 1	L 285, 3. 10. 1989, p. 1	C 15, 15. 1. 1997, p. 1
French	L 299, 31. 12. 1972, p. 32	L 204, 2. 8. 1975, p. 28	L 304, 30. 10. 1978, p. 1	L 388, 31. 12. 1982, p. 1	L 285, 3. 10. 1989, p. 1	C 15, 15. 1. 1997, p. 1

Language version of the Official Journal	1968 Brussels Convention	1971 Protocol	1978 Accession Convention	1982 Accession Convention	1989 Accession Convention	1997 Accession Convention
Greek	L 388, 31. 12. 1982, p. 7	L 388, 31. 12. 1982, p. 20	L 388, 31. 12. 1982, p. 24	L 388, 31. 12. 1982, p. 1	L 285, 3. 10. 1989, p. 1	C 15, 15. 1. 1997, p. 1
Irish	Special Edition (L 388)	Special Edition (L 388)	Special Edition (L 388)	Special Edition (L 388)	Special Edition (L 285)	Special Edition (C 15)
Italian	L 299, 31. 12. 1972, p. 32	L 204, 2. 8. 1975, p. 28	L 304, 30. 10. 1978, p. 1	L 388, 31. 12. 1982, p. 1	L 285, 3. 10. 1989, p. 1	C 15, 15. 1. 1997, p. 1
Dutch	L 299, 31. 12. 1972, p. 32	L 204, 2. 8. 1975, p. 28	L 304, 30. 10. 1978, p. 1	L 388, 31. 12. 1982, p. 1	L 285, 3. 10. 1989, p. 1	C 15, 15. 1. 1997, p. 1
Spanish	L 285, 3. 10. 1989, p. 24	L 285, 3. 10. 1989, p. 37	L 285, 3. 10. 1989, p. 41	L 285, 3. 10. 1989, p. 54	L 285, 3. 10. 1989, p. 1	C 15, 15. 1. 1997, p. 1
Portuguese	L 285, 3. 10. 1989, p. 24	L 285, 3. 10. 1989, p. 37	L 285, 3. 10. 1989, p. 41	L 285, 3. 10. 1989, p. 54	L 285, 3. 10. 1989, p. 1	C 15, 15. 1. 1997, p. 1
Swedish	C 15, 15. 1. 1997, p. 30	C 15, 15. 1. 1997, p. 10	C 15, 15. 1. 1997, p. 14	C 15, 15. 1. 1997, p. 26	C 15, 15. 1. 1997, p. 43	C 15, 15. 1. 1997, p. 1
Finnish	C 15, 15. 1. 1997, p. 30	C 15, 15. 1. 1997, p. 10	C 15, 15. 1. 1997, p. 14	C 15, 15. 1. 1997, p. 26	C 15, 15. 1. 1997, p. 43	C 15, 15. 1. 1997, p. 1

## ANNEX

## CONVENTION

on jurisdiction and the enforcement of judgments in civil and commercial matters<sup>(1)</sup>

PREAMBLE<sup>(2)</sup>

THE HIGH CONTRACTING PARTIES TO THE TREATY ESTABLISHING THE EUROPEAN ECONOMIC COMMUNITY,

DESIRING to implement the provisions of Article 220 of that Treaty by virtue of which they undertook to secure the simplification of formalities governing the reciprocal recognition and enforcement of judgments of courts or tribunals;

ANXIOUS to strengthen in the Community the legal protection of persons therein established;

CONSIDERING that it is necessary for this purpose to determine the international jurisdiction of their courts, to facilitate recognition and to introduce an expeditious procedure for securing the enforcement of judgments, authentic instruments and court settlements<sup>(2)</sup>;

HAVE DECIDED to conclude this Convention and to this end have designated as their Plenipotentiaries:

*[Plenipotentiaries designated by the Member States]*

WHO, meeting within the Council, having exchanged their full powers, found in good and due form,

HAVE AGREED AS FOLLOWS:

<sup>(1)</sup> Text as amended by the Convention of 9 October 1978 on the accession of the Kingdom of Denmark, Ireland and the United Kingdom of Great Britain and Northern Ireland — hereafter referred to as the '1978 Accession Convention' — by the Convention of 25 October 1982 on the accession of the Hellenic Republic — hereafter referred to as the '1982 Accession Convention' — and by the Convention of 26 May 1989 on the accession of the Kingdom of Spain and the Portuguese Republic — hereafter referred to as the '1989 Accession Convention', and by the Convention of 29 November 1996 on the accession of the Republic of Austria, the Republic of Finland and the Kingdom of Sweden, hereinafter referred to as the '1996 Accession Convention'.

<sup>(2)</sup> The Preamble of the 1989 Accession Convention contained the following text: 'MINDFUL that on 16 September 1988 the Member States of the Community and the Member States of the European Free Trade Association concluded in Lugano the Convention on jurisdiction and the enforcement of judgments in civil and commercial matters, which extends the principles of the Brussels Convention to the States becoming parties to that Convention'.

## TITLE I

## SCOPE

*Article 1*

This Convention shall apply in civil and commercial matters whatever the nature of the court or tribunal. It shall not extend, in particular, to revenue, customs or administrative matters<sup>(1)</sup>.

The Convention shall not apply to:

1. the status or legal capacity of natural persons, rights in property arising out of a matrimonial relationship, wills and succession;
2. bankruptcy, proceedings relating to the winding-up of insolvent companies or other legal persons, judicial arrangements, compositions and analogous proceedings;
3. social security;
4. arbitration.

## TITLE II

## JURISDICTION

## Section 1

## General provisions

*Article 2*

Subject to the provisions of this Convention, persons domiciled in a Contracting State shall, whatever their nationality, be sued in the courts of that State.

Persons who are not nationals of the State in which they are domiciled shall be governed by the rules of jurisdiction applicable to nationals of that State.

*Article 3*

Persons domiciled in a Contracting State may be sued in the courts of another Contracting State only by virtue of the rules set out in Sections 2 to 6 of this Title.

In particular the following provisions shall not be applicable as against them:

- in Belgium: Article 15 of the civil code (Code civil — Burgerlijk Wetboek) and Article 638 of the judicial code (Code judiciaire — Gerechtelijk Wetboek),

<sup>(1)</sup> Second sentence added by Article 3 of the 1978 Accession Convention.

— in Denmark: Article 246 (2) and (3) of the law on civil procedure (Lov om rettens pleje)<sup>(2)</sup>,

— in the Federal Republic of Germany: Article 23 of the code of civil procedure (Zivilprozeßordnung),

— in Greece, Article 40 of the code of civil procedure (Κώδικας Πολιτικής Δικονομίας),

— in France: Articles 14 and 15 of the civil code (Code civil),

— in Ireland: the rules which enable jurisdiction to be founded on the document instituting the proceedings having been served on the defendant during his temporary presence in Ireland,

— in Italy: Articles 2 and 4, Nos 1 and 2 of the code of civil procedure (Codice di procedura civile),

— in Luxembourg: Articles 14 and 15 of the civil code (Code civil),

— in Austria: Article 99 of the Law on Court Jurisdiction (Jurisdiktionsnorm),

— in the Netherlands: Articles 126 (3) and 127 of the code of civil procedure (Wetboek van Burgerlijke Rechtsvordering),

— in Portugal: Article 65 (1) (c), Article 65 (2) and Article 65A (c) of the code of civil procedure (Código de Processo Civil) and Article 11 of the code of labour procedure (Código de Processo de Trabalho),

— in Finland: the second, third and fourth sentences of the first paragraph of Section 1 of Chapter 10 of the Code of Judicial Procedure (oikeudenkäymiskaari/rättegångsbalken),

— in Sweden: the first sentence of the first paragraph of Section 3 of Chapter 10 of the Code of Judicial Procedure (rättegångsbalken),

— in the United Kingdom: the rules which enable jurisdiction to be founded on:

- (a) the document instituting the proceedings having been served on the defendant during his temporary presence in the United Kingdom; or
- (b) the presence within the United Kingdom of property belonging to the defendant; or
- (c) the seizure by the plaintiff of property situated in the United Kingdom<sup>(3)</sup>.

<sup>(2)</sup> As amended by a communication of 8 February 1988 made in accordance with Article VI of the annexed Protocol, and confirmed by Annex 1 (d) (1) to the 1989 Accession Convention.

<sup>(3)</sup> Second subparagraph as amended by Article 4 of the 1978 Accession Convention, by Article 3 of the 1982 Accession Convention, by Article 3 of the 1989 Accession Convention and by Article 2 of the 1996 Accession Convention.

*Article 4*

If the defendant is not domiciled in a Contracting State, the jurisdiction of the courts of each Contracting State shall, subject to the provisions of Article 16, be determined by the law of that State.

As against such a defendant, any person domiciled in a Contracting State may, whatever his nationality, avail himself in that State of the rules of jurisdiction there in force, and in particular those specified in the second paragraph of Article 3, in the same way as the nationals of that State.

## Section 2

**Special jurisdiction***Article 5*

A person domiciled in a Contracting State may, in another Contracting State, be sued:

1. in matters relating to a contract, in the courts for the place of performance of the obligation in question; in matters relating to individual contracts of employment, this place is that where the employee habitually carries out his work, or if the employee does not habitually carry out his work in any one country, the employer may also be sued in the courts for the place where the business which engaged the employee was or is now situated<sup>(1)</sup>;
2. in matters relating to maintenance, in the courts for the place where the maintenance creditor is domiciled or habitually resident or, if the matter is ancillary to proceedings concerning the status of a person, in the court which, according to its own law, has jurisdiction to entertain those proceedings, unless that jurisdiction is based solely on the nationality of one of the parties<sup>(2)</sup>;
3. in matters relating to tort, delict or quasi-delict, in the courts for the place where the harmful event occurred;
4. as regards a civil claim for damages or restitution which is based on an act giving rise to criminal

<sup>(1)</sup> Point 1 as amended by Article 4 of the 1989 Accession Convention.

<sup>(2)</sup> Point 2 as amended by Article 5 (3) of the 1978 Accession Convention.

proceedings, in the court seised of those proceedings, to the extent that that court has jurisdiction under its own law to entertain civil proceedings;

5. as regards a dispute arising out of the operations of a branch, agency or other establishment, in the courts for the place in which the branch, agency or other establishment is situated;
6. as settlor, trustee or beneficiary of a trust created by the operation of a statute, or by a written instrument, or created orally and evidenced in writing, in the courts of the Contracting State in which the trust is domiciled<sup>(3)</sup>;
7. as regards a dispute concerning the payment of remuneration claimed in respect of the salvage of a cargo or freight, in the court under the authority of which the cargo or freight in question:
  - (a) has been arrested to secure such payment, or
  - (b) could have been so arrested, but bail or other security has been given;

provided that this provision shall apply only if it is claimed that the defendant has an interest in the cargo or freight or had such an interest at the time of salvage<sup>(4)</sup>.

*Article 6*

A person domiciled in a Contracting State may also be sued:

1. where he is one of a number of defendants, in the courts for the place where any one of them is domiciled;
2. as a third party in an action on a warranty or guarantee or in any other third party proceedings, in the court seised of the original proceedings, unless these were instituted solely with the object of removing him from the jurisdiction of the court which would be competent in his case;
3. on a counter-claim arising from the same contract or facts on which the original claim was based, in the court in which the original claim is pending;

<sup>(3)</sup> Point 6 added by Article 5 (4) of the 1978 Accession Convention.

<sup>(4)</sup> Point 7 added by Article 5 (4) of the 1978 Accession Convention.

4. in matters relating to a contract, if the action may be combined with an action against the same defendant in matters relating to rights *in rem* in immovable property, in the court of the Contracting State in which the property is situated<sup>(1)</sup>.

*Article 6a*<sup>(2)</sup>

Where by virtue of this Convention a court of a Contracting State has jurisdiction in actions relating to liability from the use or operation of a ship, that court, or any other court substituted for this purpose by the internal law of that State, shall also have jurisdiction over claims for limitation of such liability.

Section 3

**Jurisdiction in matters relating to insurance**

*Article 7*

In matters relating to insurance, jurisdiction shall be determined by this Section, without prejudice to the provisions of Articles 4 and 5 point 5.

*Article 8*<sup>(3)</sup>

An insurer domiciled in a Contracting State may be sued:

1. in the courts of the State where he is domiciled, or
2. in another Contracting State, in the courts for the place where the policy-holder is domiciled, or
3. if he is a co-insurer, in the courts of a Contracting State in which proceedings are brought against the leading insurer.

An insurer who is not domiciled in a Contracting State but has a branch, agency or other establishment in one of the Contracting States shall, in disputes arising out of the operations of the branch, agency or establishment, be deemed to be domiciled in that State.

<sup>(1)</sup> Point 4 added by Article 5 of the 1989 Accession Convention.

<sup>(2)</sup> Article added by Article 6 of the 1978 Accession Convention.

<sup>(3)</sup> Text as amended by Article 7 of the 1978 Accession Convention.

*Article 9*

In respect of liability insurance or insurance of immovable property, the insurer may in addition be sued in the courts for the place where the harmful event occurred. The same applies if movable and immovable property are covered by the same insurance policy and both are adversely affected by the same contingency.

*Article 10*

In respect of liability insurance, the insurer may also, if the law of the court permits it, be joined in proceedings which the injured party had brought against the insured.

The provisions of Articles 7, 8 and 9 shall apply to actions brought by the injured party directly against the insurer, where such direct actions are permitted.

If the law governing such direct actions provides that the policy-holder or the insured may be joined as a party to the action, the same court shall have jurisdiction over them.

*Article 11*

Without prejudice to the provisions of the third paragraph of Article 10, an insurer may bring proceedings only in the courts of the Contracting State in which the defendant is domiciled, irrespective of whether he is the policy-holder, the insured or a beneficiary.

The provisions of this Section shall not affect the right to bring a counterclaim in the court in which, in accordance with this Section, the original claim is pending.

*Article 12*<sup>(4)</sup>

The provisions of this Section may be departed from only by an agreement on jurisdiction:

1. which is entered into after the dispute has arisen, or
2. which allows the policy-holder, the insured or a beneficiary to bring proceedings in courts other than those indicated in this Section, or
3. which is concluded between a policy-holder and an insurer, both of whom are domiciled in the same

<sup>(4)</sup> Text as amended by Article 8 of the 1978 Accession Convention.

Contracting State, and which has the effect of conferring jurisdiction on the courts of that State even if the harmful event were to occur abroad, provided that such an agreement is not contrary to the law of that State, or

4. which is concluded with a policy-holder who is not domiciled in a Contracting State, except in so far as the insurance is compulsory or relates to immovable property in a Contracting State, or
5. which relates to a contract of insurance in so far as it covers one or more of the risks set out in Article 12a.

*Article 12a<sup>(1)</sup>*

The following are the risks referred to in point 5 of Article 12:

1. any loss of or damage to:
  - (a) sea-going ships, installations situated offshore or on the high seas, or aircraft, arising from perils which relate to their use for commercial purposes;
  - (b) goods in transit other than passengers' baggage where the transit consists of or includes carriage by such ships or aircraft;
2. any liability, other than for bodily injury to passengers or loss of or damage to their baggage:
  - (a) arising out of the use or operation of ships, installations or aircraft as referred to in point 1 (a) above in so far as the law of the Contracting State in which such aircraft are registered does not prohibit agreements on jurisdiction regarding insurance of such risks;
  - (b) for loss or damage caused by goods in transit as described in point 1 (b) above;
3. any financial loss connected with the use or operation of ships, installations or aircraft as referred to in point 1 (a) above, in particular loss of freight or charter-hire;
4. any risk or interest connected with any of those referred to in points 1 to 3 above.

<sup>(1)</sup> Article added by Article 9 of the 1978 Accession Convention.

Section 4<sup>(2)</sup>

**Jurisdiction over consumer contracts**

*Article 13*

In proceedings concerning a contract concluded by a person for a purpose which can be regarded as being outside his trade or profession, hereinafter called 'the consumer', jurisdiction shall be determined by this Section, without prejudice to the provisions of point 5 of Articles 4 and 5, if it is:

1. a contract for the sale of goods on instalment credit terms; or
2. a contract for a loan repayable by instalments, or for any other form of credit, made to finance the sale of goods; or
3. any other contract for the supply of goods or a contract for the supply of services, and
  - (a) in the State of the consumer's domicile the conclusion of the contract was preceded by a specific invitation addressed to him or by advertising; and
  - (b) the consumer took in that State the steps necessary for the conclusion of the contract.

Where a consumer enters into a contract with a party who is not domiciled in a Contracting State but has a branch, agency or other establishment in one of the Contracting States, that party shall, in disputes arising out of the operations of the branch, agency or establishment, be deemed to be domiciled in that State.

This Section shall not apply to contracts of transport.

*Article 14*

A consumer may bring proceedings against the other party to a contract either in the courts of the Contracting State in which that party is domiciled or in the courts of the Contracting State in which he is himself domiciled.

<sup>(2)</sup> Text as amended by Article 10 of the 1978 Accession Convention.

Proceedings may be brought against a consumer by the other party to the contract only in the courts of the Contracting State in which the consumer is domiciled.

These provisions shall not affect the right to bring a counter-claim in the court in which, in accordance with this Section, the original claim is pending.

#### Article 15

The provisions of this Section may be departed from only by an agreement:

1. which is entered into after the dispute has arisen; or
2. which allows the consumer to bring proceedings in courts other than those indicated in this Section; or
3. which is entered into by the consumer and the other party to the contract, both of whom are at the time of conclusion of the contract domiciled or habitually resident in the same Contracting State, and which confers jurisdiction on the courts of that State, provided that such an agreement is not contrary to the law of that State.

#### Section 5

##### Exclusive jurisdiction

#### Article 16

The following courts shall have exclusive jurisdiction, regardless of domicile:

1. (a) in proceedings which have as their object rights *in rem* in immovable property or tenancies of immovable property, the courts of the Contracting State in which the property is situated;
- (b) however, in proceedings which have as their object tenancies of immovable property concluded for temporary private use for a maximum period of six consecutive months, the courts of the Contracting State in which the defendant is domiciled shall also have jurisdiction, provided that the landlord and the tenant are natural

persons and are domiciled in the same Contracting State<sup>(1)</sup>;

2. in proceedings which have as their object the validity of the constitution, the nullity or the dissolution of companies or other legal persons or associations of natural or legal persons, or the decisions of their organs, the courts of the Contracting State in which the company, legal person or association has its seat;
3. in proceedings which have as their object the validity of entries in public registers, the courts of the Contracting State in which the register is kept;
4. in proceedings concerned with the registration or validity of patents, trade marks, designs, or other similar rights required to be deposited or registered, the courts of the Contracting State in which the deposit or registration has been applied for, has taken place or is under the terms of an international convention deemed to have taken place;
5. in proceedings concerned with the enforcement of judgments, the courts of the Contracting State in which the judgment has been or is to be enforced.

#### Section 6

##### Prorogation of jurisdiction

#### Article 17<sup>(2)</sup>

If the parties, one or more of whom is domiciled in a Contracting State, have agreed that a court or the courts of a Contracting State are to have jurisdiction to settle any disputes which have arisen or which may arise in connection with a particular legal relationship, that court or those courts shall have exclusive jurisdiction. Such an agreement conferring jurisdiction shall be either:

- (a) in writing or evidenced in writing; or
- (b) in a form which accords with practices which the parties have established between themselves; or
- (c) in international trade or commerce, in a form which accords with a usage of which the parties are or ought to have been aware and which in such trade or commerce is widely known to, and regularly observed by, parties to contracts of the type involved in the particular trade or commerce concerned.

<sup>(1)</sup> Point 1 as amended by Article 6 of the 1989 Accession Convention.

<sup>(2)</sup> Text as amended by Article 11 of the 1978 Accession Convention and by Article 7 of the 1989 Accession Convention.

Where such an agreement is concluded by parties, none of whom is domiciled in a Contracting State, the courts of other Contracting States shall have no jurisdiction over their disputes unless the court or courts chosen have declined jurisdiction.

The court or courts of a Contracting State on which a trust instrument has conferred jurisdiction shall have exclusive jurisdiction in any proceedings brought against a settlor, trustee or beneficiary, if relations between these persons or their rights or obligations under the trust are involved.

Agreements or provisions of a trust instrument conferring jurisdiction shall have no legal force if they are contrary to the provisions of Articles 12 or 15, or if the courts whose jurisdiction they purport to exclude have exclusive jurisdiction by virtue of Article 16.

If an agreement conferring jurisdiction was concluded for the benefit of only one of the parties, that party shall retain the right to bring proceedings in any other court which has jurisdiction by virtue of this Convention.

In matters relating to individual contracts of employment an agreement conferring jurisdiction shall have legal force only if it is entered into after the dispute has arisen or if the employee invokes it to seise courts other than those for the defendant's domicile or those specified in Article 5 (1).

#### Article 18

Apart from jurisdiction derived from other provisions of this Convention, a court of a Contracting State before whom a defendant enters an appearance shall have jurisdiction. This rule shall not apply where appearance was entered solely to contest the jurisdiction, or where another court has exclusive jurisdiction by virtue of Article 16.

### Section 7

#### Examination as to jurisdiction and admissibility

#### Article 19

Where a court of a Contracting State is seised of a claim which is principally concerned with a matter over which the courts of another Contracting State have exclusive jurisdiction by virtue of Article 16, it shall declare of its own motion that it has no jurisdiction.

#### Article 20

Where a defendant domiciled in one Contracting State is sued in a court of another Contracting State and does not enter an appearance, the court shall declare of its own motion that it has no jurisdiction unless its jurisdiction is derived from the provisions of the Convention.

The court shall stay the proceedings so long as it is not shown that the defendant has been able to receive the document instituting the proceedings or an equivalent document in sufficient time to enable him to arrange for his defence, or that all necessary steps have been taken to this end<sup>(1)</sup>.

The provisions of the foregoing paragraph shall be replaced by those of Article 15 of the Hague Convention of 15 November 1965 on the service abroad of judicial and extrajudicial documents in civil or commercial matters, if the document instituting the proceedings or notice thereof had to be transmitted abroad in accordance with that Convention.

### Section 8

#### Lis pendens — related actions

#### Article 21<sup>(2)</sup>

Where proceedings involving the same cause of action and between the same parties are brought in the courts of different Contracting States, any court other than the court first seised shall of its own motion stay its proceedings until such time as the jurisdiction of the court first seised is established.

Where the jurisdiction of the court first seised is established, any court other than the court first seised shall decline jurisdiction in favour of that court.

#### Article 22

Where related actions are brought in the courts of different Contracting States, any court other than the court first seised may, while the actions are pending at first instance, stay its proceedings.

<sup>(1)</sup> Second subparagraph as amended by Article 12 of the 1978 Accession Convention.

<sup>(2)</sup> Text as amended by Article 8 of the 1989 Accession Convention.

A court other than the court first seised may also, on the application of one of the parties, decline jurisdiction if the law of that court permits the consolidation of related actions and the court first seised has jurisdiction over both actions.

For the purposes of this Article, actions are deemed to be related where they are so closely connected that it is expedient to hear and determine them together to avoid the risk of irreconcilable judgments resulting from separate proceedings.

#### Article 23

Where actions come within the exclusive jurisdiction of several courts, any court other than the court first seised shall decline jurisdiction in favour of that court.

### Section 9

#### Provisional, including protective, measures

#### Article 24

Application may be made to the courts of a Contracting State for such provisional, including protective, measures as may be available under the law of that State, even if, under this Convention, the courts of another Contracting State have jurisdiction as to the substance of the matter.

### TITLE III

#### RECOGNITION AND ENFORCEMENT

#### Article 25

For the purposes of this Convention, 'judgment' means any judgment given by a court or tribunal of a Contracting State, whatever the judgment may be called, including a decree, order, decision or writ of execution, as well as the determination of costs or expenses by an officer of the court.

### Section 1

#### Recognition

#### Article 26

A judgment given in a Contracting State shall be recognized in the other Contracting States without any special procedure being required.

Any interested party who raises the recognition of a judgment as the principal issue in a dispute may, in accordance with the procedures provided for in Sections 2 and 3 of this Title, apply for a decision that the judgment be recognized.

If the outcome of proceedings in a court of a Contracting State depends on the determination of an incidental question of recognition that court shall have jurisdiction over that question.

#### Article 27

A judgment shall not be recognized:

1. if such recognition is contrary to public policy in the State in which recognition is sought;
2. where it was given in default of appearance, if the defendant was not duly served with the document which instituted the proceedings or with an equivalent document in sufficient time to enable him to arrange for his defence<sup>(1)</sup>;
3. if the judgment is irreconcilable with a judgment given in a dispute between the same parties in the State in which recognition is sought;
4. if the court of the State of origin, in order to arrive at its judgment, has decided a preliminary question concerning the status or legal capacity of natural persons, rights in property arising out of a matrimonial relationship, wills or succession in a way that conflicts with a rule of the private international law of the State in which the recognition is sought, unless the same result would have been reached by the application of the rules of private international law of that State<sup>(2)</sup>;
5. if the judgment is irreconcilable with an earlier judgment given in a non-contracting State involving the same cause of action and between the same parties, provided that this latter judgment fulfils the conditions necessary for its recognition in the State addressed<sup>(3)</sup>.

<sup>(1)</sup> Point 2 as amended by Article 13 (1) of the 1978 Accession Convention.

<sup>(2)</sup> Point 4 as amended by Annex I (a) (2) first subparagraph to the 1989 Accession Convention.

<sup>(3)</sup> Point 5 added by Article 13 (2) of the 1978 Accession Convention and amended by Annex I (d) (2) second subparagraph to the 1989 Accession Convention.

*Article 28*

Moreover, a judgment shall not be recognized if it conflicts with the provisions of Sections 3, 4 or 5 of Title II, or in a case provided for in Article 59.

In its examination of the grounds of jurisdiction referred to in the foregoing paragraph, the court or authority applied to shall be bound by the findings of fact on which the court of the State of origin based its jurisdiction<sup>(1)</sup>.

Subject to the provisions of the first paragraph, the jurisdiction of the court of the State of origin may not be reviewed; the test of public policy referred to in point 1 of Article 27 may not be applied to the rules relating to jurisdiction<sup>(2)</sup>.

*Article 29*

Under no circumstances may a foreign judgment be reviewed as to its substance.

*Article 30*

A court of a Contracting State in which recognition is sought of a judgment given in another Contracting State may stay the proceedings if an ordinary appeal against the judgment has been lodged.

A court of a Contracting State in which recognition is sought of a judgment given in Ireland or the United Kingdom may stay the proceedings if enforcement is suspended in the State of origin, by reason of an appeal<sup>(3)</sup>.

**Section 2****Enforcement***Article 31*

A judgment given in a Contracting State and enforceable in that State shall be enforced in another Contracting

State when, on the application of any interested party, it has been declared enforceable there<sup>(4)</sup>.

However, in the United Kingdom, such a judgment shall be enforced in England and Wales, in Scotland, or in Northern Ireland when, on the application of any interested party, it has been registered for enforcement in that part of the United Kingdom<sup>(5)</sup>.

*Article 32*

1. The application shall be submitted:

- in Belgium, to the ‘tribunal de première instance’ or ‘rechtbank van eerste aanleg’,
- in Denmark, to the ‘byret’<sup>(6)</sup>,
- in the Federal Republic of Germany, to the presiding judge of a chamber of the ‘Landgericht’,
- in Greece, to the ‘Μονομελές Πρωτοδικείο’,
- in Spain, to the ‘Juzgado de Primera Instancia’,
- in France, to the presiding judge of the ‘tribunal de grande instance’,
- in Ireland, to the High Court,
- in Italy, to the ‘Corte d’appello’,
- in Luxembourg, to the presiding judge of the ‘tribunal d’arrondissement’,
- in Austria, to the ‘Bezirksgericht’,
- in the Netherlands, to the presiding judge of the ‘arrondissementsrechtbank’,
- in Portugal, to the ‘Tribunal Judicial de Circulo’,
- in Finland, to the ‘käräjäoikeus/tingsrätt’,
- in Sweden, to the ‘Svea hovrätt’,
- in the United Kingdom:
  - (a) in England and Wales, to the High Court of Justice, or in the case of maintenance judgment to the Magistrates’ Court on transmission by the Secretary of State;
  - (b) in Scotland, to the Court of Session, or in the case of a maintenance judgment to the Sheriff Court on transmission by the Secretary of State;

<sup>(1)</sup> As amended by Annex I (d) (3) first subparagraph to the 1989 Accession Convention.

<sup>(2)</sup> As amended by Annex I (d) (3) second subparagraph to the 1989 Accession Convention.

<sup>(3)</sup> Second subparagraph added by Article 14 of the 1978 Accession Convention and amended by Annex I (d) (4) to the 1989 Accession Convention.

<sup>(4)</sup> Text as amended by Article 9 of the 1989 Accession Convention.

<sup>(5)</sup> Second subparagraph added by Article 15 of the 1978 Accession Convention.

<sup>(6)</sup> As amended by a communication of 8 February 1988 made in accordance with Article VI of the annexed Protocol, and confirmed by Annex I (d) (5) to the 1989 Accession Convention.

- (c) in Northern Ireland, to the High Court of Justice, or in the case of a maintenance judgment to the Magistrates' Court on transmission by the Secretary of State<sup>(1)</sup>.

2. The jurisdiction of local courts shall be determined by reference to the place of domicile of the party against whom enforcement is sought. If he is not domiciled in the State in which enforcement is sought, it shall be determined by reference to the place of enforcement.

#### Article 33

The procedure for making the application shall be governed by the law of the State in which enforcement is sought.

The applicant must give an address for service of process within the area of jurisdiction of the court applied to. However, if the law of the State in which enforcement is sought does not provide for the furnishing of such an address, the applicant shall appoint a representative *ad litem*.

The documents referred to in Articles 46 and 47 shall be attached to the application.

#### Article 34

The court applied to shall give its decision without delay; the party against whom enforcement is sought shall not at this stage of the proceedings be entitled to make any submissions on the application.

The application may be refused only for one of the reasons specified in Articles 27 and 28.

Under no circumstances may the foreign judgment be reviewed as to its substance.

#### Article 35

The appropriate officer of the court shall without delay bring the decision given on the application to the notice of the applicant in accordance with the procedure laid down by the law of the State in which enforcement is sought.

#### Article 36

If enforcement is authorized, the party against whom enforcement is sought may appeal against the decision within one month of service thereof.

If that party is domiciled in a Contracting State other than that in which the decision authorizing enforcement

was given, the time for appealing shall be two months and shall run from the date of service, either on him in person or at his residence. No extension of time may be granted on account of distance.

#### Article 37<sup>(2)</sup>

1. An appeal against the decision authorizing enforcement shall be lodged in accordance with the rules governing procedure in contentious matters:

- in Belgium, with the 'tribunal de première instance' or 'rechtbank van eerste aanleg',
- in Denmark, with the 'landsret',
- in the Federal Republic of Germany, with the 'Oberlandesgericht',
- in Greece, with the 'Εφετείο',
- in Spain, with the 'Audiencia Provincial',
- in France, with the 'cour d'appel',
- in Ireland, with the High Court,
- in Italy, with the 'corte d'appello',
- in Luxembourg, with the 'Cour supérieure de justice' sitting as a court of civil appeal,
- in Austria with the 'Bezirksgericht',
- in the Netherlands, with the 'arrondissementsrechtbank',
- in Portugal, with the 'Tribunal de Relação',
- in Finland, with the 'hovioikeus/hovrätt',
- in Sweden, with the 'Svea hovrätt',
- in the United Kingdom:
  - (a) in England and Wales, with the High Court of Justice, or in the case of a maintenance judgment with the Magistrates' Court;
  - (b) in Scotland, with the Court of Session, or in the case of a maintenance judgment with the Sheriff Court;
  - (c) in Northern Ireland, with the High Court of Justice, or in the case of a maintenance judgment with the Magistrates' Court.

2. The judgment given on the appeal may be contested only:

- in Belgium, Greece, Spain, France, Italy, Luxembourg and in the Netherlands, by an appeal in cassation,

<sup>(1)</sup> First subparagraph as amended by Article 16 of the 1978 Accession Convention, by Article 4 of the 1982 Accession Convention, by Article 10 of the 1989 Accession Convention and by Article 3 of the 1996 Accession Convention.

<sup>(2)</sup> Text as amended by Article 17 of the 1978 Accession Convention, by Article 5 of the 1982 Accession Convention, by Article 11 of the 1989 Accession Convention and by Article 4 of the 1996 Accession Convention.

- in Denmark, by an appeal to the 'højesteret', with the leave of the Minister of Justice,
- in the Federal Republic of Germany, by a 'Rechtsbeschwerde',
- in Austria, in the case of an appeal, by a 'Revisionsrekurs' and, in the case of opposition proceedings, by a 'Berufung' with the possibility of a revision,
- in Ireland, by an appeal on a point of law to the Supreme Court,
- in Portugal, by an appeal on a point of law,
- in Finland, by an appeal to 'korkein oikeus/högsta domstolen',
- in Sweden by an appeal to 'Högsta domstolen',
- in the United Kingdom, by a single further appeal on a point of law.

#### Article 38

The court with which the appeal under Article 37 (1) is lodged may, on the application of the appellant, stay the proceedings if an ordinary appeal has been lodged against the judgment in the State of origin or if the time for such an appeal has not yet expired; in the latter case, the court may specify the time within which such an appeal is to be lodged<sup>(1)</sup>.

Where the judgment was given in Ireland or the United Kingdom, any form of appeal available in the State of origin shall be treated as an ordinary appeal for the purposes of the first paragraph<sup>(2)</sup>.

The court may also make enforcement conditional on the provision of such security as it shall determine.

#### Article 39

During the time specified for an appeal pursuant to Article 36 and until any such appeal has been determined, no measures of enforcement may be taken other than protective measures taken against the property of the party against whom enforcement is sought.

<sup>(1)</sup> As amended by Annex I (d) (5) first subparagraph to the 1989 Accession Convention.

<sup>(2)</sup> Second subparagraph added by Article 18 of the 1978 Accession Convention and amended by Annex I (d) (6) second subparagraph to the 1978 Accession Convention.

The decision authorizing enforcement shall carry with it the power to proceed to any such protective measures.

#### Article 40

If the application for enforcement is refused, the applicant may appeal:

- in Belgium, to the 'cour d'appel' or 'hof van beroep',
- in Denmark, to the 'landsret',
- in the Federal Republic of Germany, to the 'Oberlandesgericht',
- in Greece, to the 'Εφετείο',
- in Spain, to the 'Audiencia Provincial',
- in France, to the 'cour d'appel',
- in Ireland, to the High Court,
- in Italy, to the 'corte d'appello',
- in Luxembourg, to the 'Cour supérieure de justice' sitting as a court of civil appeal,
- in Austria, to the 'Bezirksgericht',
- in the Netherlands, to the 'gerechtshof',
- in Portugal, to the 'Tribunal de Relação',
- in Finland, to 'hovioikeus/hovrätten',
- in Sweden, to the 'Svea hovrätt',
- in the United Kingdom:
  - (a) in England and Wales, to the High Court of Justice, or in the case of a maintenance judgment to the Magistrates' Court;
  - (b) in Scotland, to the Court of Session, or in the case of a maintenance judgment to the Sheriff Court;
  - (c) in Northern Ireland, to the High Court of Justice, or in the case of a maintenance judgment to the Magistrates' Court<sup>(3)</sup>.

2. The party against whom enforcement is sought shall be summoned to appear before the appellate court. If he fails to appear, the provisions of the second and third paragraphs of Article 20 shall apply even where he is not domiciled in any of the Contracting States.

<sup>(3)</sup> First subparagraph as amended by Article 19 of the 1978 Accession Convention, by Article 6 of the 1982 Accession Convention, by Article 12 of the 1989 Accession Convention and by Article 5 of the 1996 Accession Convention.

*Article 41<sup>(1)</sup>*

A judgment given on an appeal provided for in Article 40 may be contested only:

- in Belgium, Greece, Spain, France, Italy, Luxembourg and in the Netherlands, by an appeal in cassation,
- in Denmark, by an appeal to the 'højesteret', with the leave of the Minister of Justice,
- in the Federal Republic of Germany, by a 'Rechtsbeschwerde',
- in Ireland, by an appeal on a point of law to the Supreme Court,
- in Austria, by a 'Revisionsrekurs',
- in Portugal, by an appeal on a point of law,
- in Finland, by an appeal to 'korkein oikeus/högsta domstolen',
- in Sweden, by an appeal to 'Högsta domstolen',
- in the United Kingdom, by a single further appeal on a point of law.

*Article 42*

Where a foreign judgment has been given in respect of several matters and enforcement cannot be authorized for all of them, the court shall authorize enforcement for one or more of them.

An applicant may request partial enforcement of a judgment.

*Article 43*

A foreign judgment which orders a periodic payment by way of a penalty shall be enforceable in the State in which enforcement is sought only if the amount of the payment has been finally determined by the courts of the State of origin<sup>(2)</sup>.

*Article 44<sup>(3)</sup>*

An applicant who, in the State of origin has benefited from complete or partial legal aid or exemption from

<sup>(1)</sup> Text as amended by Article 20 of the 1978 Accession Convention, by Article 7 of the 1982 Accession Convention, by Article 13 of the 1989 Accession Convention and by Article 6 of the 1996 Accession Convention.

<sup>(2)</sup> As amended by Annex I (d) (7) to the 1989 Accession Convention.

<sup>(3)</sup> Text as amended by Article 21 of the 1978 Accession Convention and by Annex I (d) (8) to the 1989 Accession Convention.

costs or expenses, shall be entitled, in the procedures provided for in Articles 32 to 35, to benefit from the most favourable legal aid or the most extensive exemption from costs or expenses provided for by the law of the State addressed.

However, an applicant who requests the enforcement of a decision given by an administrative authority in Denmark in respect of a maintenance order may, in the State addressed, claim the benefits referred to in the first paragraph if he presents a statement from the Danish Ministry of Justice to the effect that he fulfils the economic requirements to qualify for the grant of complete or partial legal aid or exemption from costs or expenses.

*Article 45*

No security, bond or deposit, however described, shall be required of a party who in one Contracting State applies for enforcement of a judgment given in another Contracting State on the ground that he is a foreign national or that he is not domiciled or resident in the State in which enforcement is sought.

## Section 3

## Common provisions

*Article 46*

A party seeking recognition or applying for enforcement of a judgment shall produce:

1. a copy of the judgment which satisfies the conditions necessary to establish its authenticity;
2. in the case of a judgment given in default, the original or a certified true copy of the document which establishes that the party in default was served with the document instituting the proceedings or with an equivalent document<sup>(4)</sup>.

*Article 47<sup>(5)</sup>*

A party applying for enforcement shall also produce:

1. documents which establish that, according to the law of the State of origin the judgment is enforceable and has been served;

<sup>(4)</sup> Point 2 as amended by Article 22 of the 1978 Accession Convention.

<sup>(5)</sup> As amended by Annex I (d) (9) to the 1989 Accession Convention.

2. where appropriate, a document showing that the applicant is in receipt of legal aid in the State of origin.

#### Article 48

If the documents specified in point 2 of Articles 46 and 47 are not produced, the court may specify a time for their production, accept equivalent documents or, if it considers that it has sufficient information before it, dispense with their production.

If the court so requires, a translation of the documents shall be produced; the translation shall be certified by a person qualified to do so in one of the Contracting States.

#### Article 49

No legalization or other similar formality shall be required in respect of the documents referred to in Articles 46 or 47 or the second paragraph of Article 48, or in respect of a document appointing a representative *ad litem*.

### TITLE IV

#### AUTHENTIC INSTRUMENTS AND COURT SETTLEMENTS

#### Article 50

A document which has been formally drawn up or registered as an authentic instrument and is enforceable in one Contracting State shall, in another Contracting State, be declared enforceable there, on application made in accordance with the procedures provided for in Article 31 *et seq.* The application may be refused only if enforcement of the instrument is contrary to public policy in the State addressed<sup>(1)</sup>.

The instrument produced must satisfy the conditions necessary to establish its authenticity in the State of origin.

The provisions of Section 3 of Title III shall apply as appropriate.

#### Article 51

A settlement which has been approved by a court in the course of proceedings and is enforceable in the State in which it was concluded shall be enforceable in the State addressed under the same conditions as authentic instruments<sup>(2)</sup>.

<sup>(1)</sup> First paragraph as amended by Article 14 of the 1989 Accession Convention.

<sup>(2)</sup> As amended by Annex I (d) (10) to the 1989 Accession Convention.

### TITLE V

#### GENERAL PROVISIONS

#### Article 52

In order to determine whether a party is domiciled in the Contracting State whose courts are seised of a matter, the Court shall apply its internal law.

If a party is not domiciled in the State whose courts are seised of the matter, then, in order to determine whether the party is domiciled in another Contracting State, the court shall apply the law of that State.

...<sup>(3)</sup>.

#### Article 53

For the purposes of this Convention, the seat of a company or other legal person or association of natural or legal persons shall be treated as its domicile. However, in order to determine that seat, the court shall apply its rules of private international law.

In order to determine whether a trust is domiciled in the Contracting State whose courts are seised of the matter, the court shall apply its rules of private international law<sup>(4)</sup>.

### TITLE VI

#### TRANSITIONAL PROVISIONS

#### Article 54<sup>(5)</sup>

The provisions of the Convention shall apply only to legal proceedings instituted and to documents formally drawn up or registered as authentic instruments after its entry into force in the State of origin and, where recognition or enforcement of a judgment or authentic instruments is sought, in the State addressed.

However, judgments given after the date of entry into force of this Convention between the State of origin and

<sup>(3)</sup> Third paragraph deleted by Article 15 of the 1989 Accession Convention.

<sup>(4)</sup> Second subparagraph added by Article 23 of the 1978 Accession Convention.

<sup>(5)</sup> Text as replaced by Article 16 of the 1989 Accession Convention.

the State addressed in proceedings instituted before that date shall be recognized and enforced in accordance with the provisions of Title III if jurisdiction was founded upon rules which accorded with those provided for either in Title II of this Convention or in a convention concluded between the State of origin and the State addressed which was in force when the proceedings were instituted<sup>(1)</sup>.

If the parties to a dispute concerning a contract had agreed in writing before 1 June 1988 for Ireland or before 1 January 1987 for the United Kingdom that the contract was to be governed by the law of Ireland or of a part of the United Kingdom, the courts of Ireland or of that part of the United Kingdom shall retain the right to exercise jurisdiction in the dispute<sup>(2)</sup>.

<sup>(1)</sup> Title V of the 1978 Accession Convention contains the following transitional provisions:

*'Article 34*

1. The 1968 Convention and the 1971 Protocol, with the amendments made by this Convention, shall apply only to legal proceedings instituted and to authentic instruments formally drawn up or registered after the entry into force of this Convention in the State of origin and, where recognition or enforcement of a judgment or authentic instrument is sought, in the State addressed.

2. However, as between the six Contracting States to the 1968 Convention, judgments given after the date of entry into force of this Convention in proceedings instituted before that date shall be recognized and enforced in accordance with the provisions of Title III of the 1968 Convention as amended.

3. Moreover, as between the six Contracting States to the 1968 Convention and the three States mentioned in Article 1 of this Convention, and as between those three States, judgments given after the date of entry into force of this Convention between the State of origin and the State addressed in proceedings instituted before that date shall also be recognized and enforced in accordance with the provisions of Title III of the 1968 Convention as amended if jurisdiction was founded upon rules which accorded with the provisions of Title II, as amended, or with provisions of a convention concluded between the State of origin and the State addressed which was in force when the proceedings were instituted.'

Title V of the 1982 Accession Convention contains the following transitional provisions:

*'Article 12*

1. The 1968 Convention and the 1971 Protocol, as amended by the 1978 Convention, shall apply only to legal proceedings instituted and to authentic instruments formally drawn up or registered after the entry into force of this Convention in the State of origin and, where recognition or enforcement of a judgment or authentic instrument is sought, in the State addressed.

2. However, as between the State of origin and the State addressed, judgments given after the date of entry into force of this Convention in proceedings instituted before that date shall be recognized and enforced in accordance with the provisions of Title III of the 1968 Convention, as amended by the 1978 Convention, and by this Convention if jurisdiction was founded upon rules which accorded with the provisions of Title II, as amended by the 1968 Convention or with provisions of a convention concluded between the State of origin and the State addressed which was in force when the proceedings were instituted.'

Title VI of the 1989 Accession Convention contains the following transitional provisions:

*'Article 29*

1. The 1968 Convention and the 1971 Protocol, as amended by the 1978 Convention, the 1982 Convention and this Convention, shall apply only to legal proceedings instituted and to authentic instruments formally drawn up or registered after the entry into force of this Convention in the State of origin and, where recognition or enforcement of a judgment or authentic instrument is sought, in the State addressed.

2. However, judgments given after the date of entry into force of this Convention between the State of origin and the State addressed in proceedings instituted before that date shall be recognized and enforced in accordance with the provisions of Title III of the 1968 Convention, as amended by the 1978 Convention, the 1982 Convention and this Convention, if jurisdiction was founded upon rules which accorded with the provisions of Title II of the 1968 Convention, as amended, or with the provisions of a convention which was in force between the State of origin and the State addressed when the proceedings were instituted.'

Title V of the 1996 Accession Convention contains the following transitional provisions:

*'Article 13*

1. The 1968 Convention and the 1971 Protocol, as amended by the 1978 Convention, the 1982 Convention, the 1989 Convention and by this Convention, shall apply only to legal proceedings instituted and to authentic instruments formally drawn up or registered after the entry into force of this Convention in the State of origin and, where recognition or enforcement of a judgment or authentic instrument is sought, in the State addressed.

2. However, judgments given after the date of entry into force of this Convention between the State of origin and the State addressed in proceedings instituted before that date shall be recognized and enforced in accordance with the provisions of Title III of the 1968 Convention, as amended by the 1978 Convention, the 1982 Convention, the 1989 Convention and this Convention, if jurisdiction was founded upon rules which accorded with the provisions of Title II, as amended, of the 1968 Convention, or with the provisions of a convention which was in force between the State of origin and the State addressed when the proceedings were instituted.'

<sup>(2)</sup> This paragraph replaces Article 35 of Title V of the 1978 Accession Convention which was extended to the Hellenic Republic by Article 1 (2) of the 1982 Accession Convention. Article 28 of the 1989 Accession Convention provided for the deletion of both these provisions.

*Article 54a*<sup>(1)</sup>

For a period of three years from 1 November 1986 for Denmark and from 1 June 1988 for Ireland, jurisdiction in maritime matters shall be determined in these States not only in accordance with the provisions of Title II, but also in accordance with the provisions of paragraphs 1 to 6 following. However, upon the entry into force of the International Convention relating to the arrest of sea-going ships, signed at Brussels on 10 May 1952, for one of these States, those provisions shall cease to have effect for that State.

1. A person who is domiciled in a Contracting State may be sued in the courts of one of the States mentioned above in respect of a maritime claim if the ship to which the claim relates or any other ship owned by him has been arrested by judicial process within the territory of the latter State to secure the claim, or could have been so arrested there but bail or other security has been given, and either:
  - (a) the claimant is domiciled in the latter State; or
  - (b) the claim arose in the latter State; or
  - (c) the claim concerns the voyage during which the arrest was made or could have been made; or
  - (d) the claim arises out of a collision or out of damage caused by a ship to another ship or to goods or persons on board either ship, either by the execution or non-execution of a manoeuvre or by the non-observance of regulations; or
  - (e) the claim is for salvage; or
  - (f) the claim is in respect of a mortgage or hypothecation of the ship arrested.
2. A claimant may arrest either the particular ship to which the maritime claim relates, or any other ship which is owned by the person who was, at the time when the maritime claim arose, the owner of the particular ship. However, only the particular ship to which the maritime claim relates may be arrested in respect of the maritime claims set out in 5 (o), (p) or (q) of this Article.
3. Ships shall be deemed to be in the same ownership when all the shares therein are owned by the same person or persons.
4. When in the case of a charter by demise of a ship the charterer alone is liable in respect of a maritime claim relating to that ship, the claimant may arrest that ship or any other ship owned by the charterer, but no other ship owned by the owner may be arrested in respect of such claim. The same shall apply to any case in which a person other than the owner of a ship is liable in respect of a maritime claim relating to that ship.
5. The expression 'maritime claim' means a claim arising out of one or more of the following:
  - (a) damage caused by any ship either in collision or otherwise;
  - (b) loss of life or personal injury caused by any ship or occurring in connection with the operation on any ship;
  - (c) salvage;
  - (d) agreement relating to the use or hire of any ship whether by charterparty or otherwise;
  - (e) agreement relating to the carriage of goods in any ship whether by charterparty or otherwise;
  - (f) loss of or damage to goods including baggage carried in any ship;
  - (g) general average;
  - (h) bottomry;
  - (i) towage;
  - (j) pilotage;
  - (k) goods or materials wherever supplied to a ship for her operation or maintenance;
  - (l) construction, repair or equipment of any ship or dock charges and dues;
  - (m) wages of masters, officers or crew;
  - (n) mater's disbursements, including disbursements made by shippers, charterers or agents on behalf of a ship or her owner;
  - (o) dispute as to the title to or ownership of any ship;
  - (p) disputes between co-owners of any ship as to the ownership, possession, employment or earnings of that ship;

<sup>(1)</sup> Article added by Article 17 of the 1989 Accession Convention. It corresponds to Article 36 of Title V of the 1978 Accession Convention which was extended to the Hellenic Republic by Article 1 (2) of the 1982 Accession Convention. Article 28 of the 1989 Accession Convention provided for the deletion of both these provisions.

(q) the mortgage or hypothecation of any ship.

6. In Denmark, the expression 'arrest' shall be deemed as regards the maritime claims referred to in 5 (o) and (p) of this Article, to include a 'forbud', where that is the only procedure allowed in respect of such a claim under Articles 646 to 653 of the law on civil procedure (lov om rettens pleje).

## TITLE VII

### RELATIONSHIP TO OTHER CONVENTIONS

#### Article 55

Subject to the provisions of the second subparagraph of Article 54, and of Article 56, this Convention shall, for the States which are parties to it, supersede the following conventions concluded between two or more of them:

- the Convention between Belgium and France on jurisdiction and the validity and enforcement of judgments, arbitration awards and authentic instruments, signed at Paris on 8 July 1899,
- the Convention between Belgium and the Netherlands on jurisdiction, bankruptcy, and the validity and enforcement of judgments, arbitration awards and authentic instruments, signed at Brussels on 28 March 1925,
- the Convention between France and Italy on the enforcement of judgments in civil and commercial matters, signed at Rome on 3 June 1930,
- the Convention between the United Kingdom and the French Republic providing for the reciprocal enforcement of judgments in civil and commercial matters, with Protocol, signed at Paris on 18 January 1934<sup>(1)</sup>,
- the Convention between the United Kingdom and the Kingdom of Belgium providing for the reciprocal enforcement of judgments in civil and commercial matters, with Protocol, signed at Brussels on 2 May 1934<sup>(1)</sup>,
- the Convention between Germany and Italy on the recognition and enforcement of judgments in civil and commercial matters, signed at Rome on 9 March 1936,
- the Convention between the Kingdom of Belgium and Austria on the reciprocal recognition and enforcement of judgments and authentic instruments relating to maintenance obligations, signed at Vienna on 25 October 1957<sup>(2)</sup>,

- the Convention between the Federal Republic of Germany and the Kingdom of Belgium on the mutual recognition and enforcement of judgments, arbitration awards and authentic instruments in civil and commercial matters, signed at Bonn on 30 June 1958,
- the Convention between the Kingdom of the Netherlands and the Italian Republic on the recognition and enforcement of judgments in civil and commercial matters, signed at Rome on 17 April 1959,
- the Convention between the Federal Republic of Germany and Austria on the reciprocal recognition and enforcement of judgments, settlements and authentic instruments in civil and commercial matters, signed at Vienna on 6 June 1959<sup>(3)</sup>,
- the Convention between the Kingdom of Belgium and Austria on the reciprocal recognition and enforcement of judgments, arbitral awards and authentic instruments in civil and commercial matters, signed at Vienna on 16 June 1959<sup>(3)</sup>,
- the Convention between the United Kingdom and the Federal Republic of Germany for the reciprocal recognition and enforcement of judgments in civil and commercial matters, signed at Bonn on 14 July 1960<sup>(4)</sup>,
- the Convention between the United Kingdom and Austria providing for the reciprocal recognition and enforcement of judgments in civil and commercial matters, signed at Vienna on 14 July 1961, with amending Protocol signed at London on 6 March 1970<sup>(3)</sup>,
- the Convention between the Kingdom of Greece and the Federal Republic of Germany for the reciprocal recognition and enforcement of judgments, settlements and authentic instruments in civil and commercial matters, signed in Athens on 4 November 1961<sup>(5)</sup>,
- the Convention between the Kingdom of Belgium and the Italian Republic on the recognition and enforcement of judgments and other enforceable instruments in civil and commercial matters, signed at Rome on 6 April 1962,
- the Convention between the Kingdom of the Netherlands and the Federal Republic of Germany on the mutual recognition and enforcement of judgments and other enforceable instruments in civil and commercial matters, signed at The Hague on 30 August 1962,
- the Convention between the Kingdom of the Netherlands and Austria on the reciprocal recognition and enforcement of judgments and authentic instruments in civil and commercial matters, signed at The Hague on 6 February 1963<sup>(3)</sup>,

<sup>(1)</sup> Indent added by Article 24 of the 1978 Accession Convention.

<sup>(2)</sup> Indent added by Article 7 of the 1996 Accession Convention.

<sup>(3)</sup> Indent added by Article 7 of the 1996 Accession Convention.

<sup>(4)</sup> Indent added by Article 24 of the 1978 Accession Convention.

<sup>(5)</sup> Indent added by Article 8 of the 1982 Accession Convention.

- the Convention between France and Austria on the recognition and enforcement of judgments and authentic instruments in civil and commercial matters, signed at Vienna on 15 July 1966<sup>(1)</sup>,
- the Convention between the United Kingdom and the Republic of Italy for the reciprocal recognition and enforcement of judgments in civil and commercial matters, signed at Rome on 7 February 1964, with amending Protocol signed at Rome on 14 July 1970<sup>(2)</sup>,
- the Convention between the United Kingdom and the Kingdom of the Netherlands providing for the reciprocal recognition and enforcement of judgments in civil matters, signed at The Hague on 17 November 1967<sup>(2)</sup>,
- the Convention between Spain and France on the recognition and enforcement of judgment arbitration awards in civil and commercial matters, signed at Paris on 28 May 1969<sup>(3)</sup>,
- the Convention between Luxembourg and Austria on the recognition and enforcement of judgments and authentic instruments in civil and commercial matters, signed at Luxembourg on 29 July 1971<sup>(1)</sup>,
- the Convention between Italy and Austria on the recognition and enforcement of judgments in civil and commercial matters, of judicial settlements and of authentic instruments, signed at Rome on 16 November 1971<sup>(1)</sup>,
- the Convention between Spain and Italy regarding legal aid and the recognition and enforcement of judgments in civil and commercial matters, signed at Madrid on 22 May 1973<sup>(3)</sup>,
- the Convention between Finland, Iceland, Norway, Sweden and Denmark on the recognition and enforcement of judgments in civil matters, signed at Copenhagen on 11 October 1977<sup>(1)</sup>,
- the Convention between Austria and Sweden on the recognition and enforcement of judgments in civil matters, signed at Stockholm on 16 September 1982<sup>(1)</sup>,
- the Convention between Spain and the Federal Republic of Germany on the recognition and enforcement of judgments, settlements and enforceable authentic instruments in civil and commercial matters, signed at Bonn on 14 November 1983<sup>(3)</sup>,
- the Convention between Austria and Spain on the recognition and enforcement of judgments, settlements and enforceable authentic instruments in

civil and commercial matters, signed at Vienna on 17 February 1984<sup>(1)</sup>,

- the Convention between Finland and Austria on the recognition and enforcement of judgments in civil matters, signed at Vienna on 17 November 1986<sup>(1)</sup>,

and, in so far as it is in force:

- the Treaty between Belgium, the Netherlands and Luxembourg in jurisdiction, bankruptcy, and the validity and enforcement of judgments, arbitration awards and authentic instruments, signed at Brussels on 24 November 1961.

#### *Article 56*

The Treaty and the conventions referred to in Article 55 shall continue to have effect in relation to matters to which this Convention does not apply.

They shall continue to have effect in respect of judgments given and documents formally drawn up or registered as authentic instruments before the entry into force of this Convention.

#### *Article 57*

1. This Convention shall not affect any conventions to which the Contracting States are or will be parties and which in relation to particular matters, govern jurisdiction or the recognition or enforcement of judgments<sup>(4)</sup>.

2. With a view to its uniform interpretation, paragraph 1 shall be applied in the following manner:

- (a) this Convention shall not prevent a court of a Contracting State which is a party to a convention on a particular matter from assuming jurisdiction in accordance with that Convention, even where the defendant is domiciled in another Contracting State which is not a party to that Convention. The court hearing the action shall, in any event, apply Article 20 of this Convention;
- (b) judgments given in a Contracting State by a court in the exercise of jurisdiction provided for in a

<sup>(1)</sup> Indent added by Article 7 of the 1996 Accession Convention.

<sup>(2)</sup> Indent added by Article 24 of the 1978 Accession Convention.

<sup>(3)</sup> Indent added by Article 18 of the 1989 Accession Convention.

<sup>(4)</sup> First paragraph as amended by Article 25 (1) of the 1978 Accession Convention and by Article 19 of the 1989 Accession Convention.

convention on a particular matter shall be recognized and enforced in the other Contracting State in accordance with this Convention.

Where a convention on a particular matter to which both the State of origin and the State addressed are parties lays down conditions for the recognition or enforcement of judgments, those conditions shall apply. In any event, the provisions of this Convention which concern the procedure for recognition and enforcement of judgments may be applied<sup>(1)</sup>.

3. This Convention shall not affect the application of provisions which, in relation to particular matters, govern jurisdiction or the recognition or enforcement of judgments and which are or will be contained in acts of the institutions of the European Communities or in national laws harmonized in implementation of such acts<sup>(2)</sup>.

#### *Article 58<sup>(3)</sup>*

Until such time as the Convention on jurisdiction and the enforcement of judgments in civil and commercial matters, signed at Lugano on 16 September 1988, takes effect with regard to France and the Swiss Confederation, this Convention shall not affect the rights granted to Swiss nationals by the Convention between France and the Swiss Confederation on jurisdiction and enforcement of judgments in civil matters, signed at Paris on 15 June 1869.

#### *Article 59*

This Convention shall not prevent a Contracting State from assuming, in a convention on the recognition and enforcement of judgments, an obligation towards a third State not to recognize judgments given in other Contracting States against defendants domiciled or habitually resident in the third State where, in cases provided for in Article 4, the judgment could only be founded on a ground of jurisdiction specified in the second paragraph of Article 3.

<sup>(1)</sup> Paragraph 2 added by Article 19 of the 1989 Accession Convention. This paragraph corresponds to Article 25 (2) of the 1978 Accession Convention which was extended to the Hellenic Republic by Article 1 (2) of the 1982 Accession Convention. Article 28 of the 1989 Accession Convention provided for the deletion of both these provisions.

<sup>(2)</sup> Paragraph added by Article 25 (1) of the 1978 Accession Convention.

<sup>(3)</sup> Text as amended by Article 20 of the 1989 Accession Convention.

However, a Contracting State may not assume an obligation towards a third State not to recognize a judgment given in another Contracting State by a court basing its jurisdiction on the presence within that State of property belonging to the defendant, or the seizure by the plaintiff of property situated there:

1. if the action is brought to assert or declare proprietary or possessory rights in that property, seeks to obtain authority to dispose of it, or arises from another issue relating to such property; or
2. if the property constitutes the security for a debt which is the subject-matter of the action<sup>(4)</sup>.

### TITLE VIII

#### FINAL PROVISIONS

#### *Article 60*

...<sup>(5)</sup>.

#### *Article 61<sup>(6)</sup>*

This Convention shall be ratified by the signatory States. The instruments of ratification shall be deposited with the Secretary-General of the Council of the European Communities.

<sup>(4)</sup> Second subparagraph added by Article 26 of the 1978 Accession Convention.

<sup>(5)</sup> Article 21 of the 1989 Accession Convention provides for the deletion of Article 60 as amended by Article 27 of the 1978 Convention.

<sup>(6)</sup> Ratification of the 1978 and 1982 Accession Conventions was governed by Articles 38 and 14 of those Conventions. The ratification of the 1989 Accession Convention is governed by Article 31 of that Convention, which reads as follows:

##### *'Article 31*

This Convention shall be ratified by the signatory States. The instruments of ratification shall be deposited with the Secretary-General of the Council of the European Communities.'

The ratification of the 1996 Accession Convention is governed by Article 15 of that Convention, which reads as follows:

##### *'Article 15*

This Convention shall be ratified by the signatory States. The instruments of ratification shall be deposited with the Secretary-General of the Council of the European Union.'

*Article 62<sup>(1)</sup>*

This Convention shall enter into force on the first day of the third month following the deposit of the instrument of ratification by the last signatory State to take this step.

*Article 63*

The Contracting States recognize that any State which becomes a member of the European Economic Community shall be required to accept this Convention as a basis for the negotiations between the Contracting States and that State necessary to ensure the implementation of the last paragraph of Article 220 of the Treaty establishing the European Economic Community.

The necessary adjustments may be the subject of a special convention between the Contracting States of the one part and the new Member States of the other part.

*Article 64<sup>(2)</sup>*

The Secretary-General of the Council of the European Communities shall notify the signatory States of:

- (a) the deposit of each instrument of ratification;

- (b) the date of entry into force of this Convention;

- (c) ...<sup>(3)</sup>;

- (d) any declaration received pursuant to Article IV of the Protocol;

- (e) any communication made pursuant to Article VI of the Protocol.

*Article 65*

The Protocol annexed to this Convention by common accord of the Contracting States shall form an integral part thereof.

*Article 66*

This Convention is concluded for an unlimited period.

*Article 67*

Any Contracting State may request the revision of this Convention. In this event, a revision conference shall be convened by the President of the Council of the European Communities.

*Article 68<sup>(4)</sup>*

This Convention, drawn up in a single original in the Dutch, French, German and Italian languages, all four

<sup>(1)</sup> The entry into force of the 1978 and 1982 Accession Convention was governed by Articles 39 and 15 of those Conventions.

The entry into force of the 1989 Accession Convention is governed by Article 32 of that Convention, which reads as follows:

*'Article 32*

1. This Convention shall enter into force on the first day of the third month following the date on which two signatory States, of which one is the Kingdom of Spain or the Portuguese Republic, deposit their instruments of ratification.

2. This Convention shall take effect in relation to any other signatory State on the first day of the third month following the deposit of its instrument of ratification.'

The entry into force of the 1996 Accession Convention is governed by Article 16 of that Convention, which reads as follows:

*'Article 16*

1. This Convention shall enter into force on the first day of the third month following the date on which two signatory States, one of which is the Republic of Austria, the Republic of Finland or the Kingdom of Sweden, deposit their instruments of ratification.

2. This Convention shall produce its effects for any other signatory State on the first day of the third month following the deposit of its instrument of ratification.'

<sup>(2)</sup> Notification concerning the 1978 and 1982 Accession Conventions is governed by Articles 40 and 16 of those Conventions.

Notification concerning the 1989 Accession Convention is governed by Article 33 of that Convention, which reads as follows:

*'Article 33*

The Secretary-General of the Council of the European Communities shall notify the signatory States of:

- (a) the deposit of each instrument of ratification;
- (b) the dates of entry into force of this Convention for the Contracting States.'

Notification concerning the 1996 Accession Convention is governed by Article 17 of that Convention, which reads as follows:

*'Article 17*

The Secretary-General of the Council of the European Union shall notify the signatory States of:

- (a) the deposit of each instrument of ratification;
- (b) the dates of entry into force of this Convention for the Contracting States.'

<sup>(3)</sup> Article 22 of the 1989 Accession Convention provides for the deletion of letter (c) as amended by Article 28 of the 1978 Accession Convention.

<sup>(4)</sup> An indication of the authentic texts of the Accession Conventions is to be found in the following provisions:

- with regard to the 1978 Accession Convention, in Article 41 of that Convention, which reads as follows:

*'Article 41*

This Convention, drawn up in a single original in the Danish, Dutch, English, French, German, Irish and Italian languages, all seven texts being equally authentic, shall be

texts being equally authentic, shall be deposited in the archives of the Secretariat of the Council of the European Communities. The Secretary-General shall transmit a certified copy to the Government of each signatory State<sup>(1)</sup>.

---

deposited in the archives of the Secretariat of the Council of the European Communities. The Secretary-General shall transmit a certified copy to the Government of each signatory State.’,

- with regard to the 1982 Accession Convention, in Article 17 of that Convention, which reads as follows:

*‘Article 17*

This Convention, drawn up in a single original in the Danish, Dutch, English, French, German, Greek, Irish and Italian languages, all eight texts being equally authentic, shall be deposited in the archives of the General Secretariat of the Council of the European Communities. The Secretary-General shall transmit a certified copy to the Government of each signatory State.’,

- with regard to the 1989 Accession Convention, in Article 34 of that Convention, which reads as follows:

*‘Article 34*

This Convention, drawn up in a single original in the Danish, Dutch, English, French, German, Greek, Irish, Italian, Portuguese and Spanish languages, all 10 texts being equally authentic, shall be deposited in the archives of the General Secretariat of the Council of the European Communities. The Secretary-General shall transmit a certified copy to the Government of each signatory State.’,

- with regard to the 1996 Accession Convention, in Article 18 of that Convention, which reads as follows:

*‘Article 18*

This Convention, drawn up in a single original in the Danish, Dutch, English, Finnish, French, German, Greek, Irish, Italian, Portuguese, Spanish and Swedish languages, all 12 texts being equally authentic, shall be deposited in the archives of the General Secretariat of the Council of the European Union. The Secretary-General shall transmit a certified copy to the Government of each signatory State.’

<sup>(1)</sup> Legal backing for the drawing-up of the authentic texts of the 1968 Convention in the official languages of the acceding Member States is to be found:

- with regard to the 1978 Accession Convention, in Article 37 of that Convention, which reads as follows:

*‘Article 37*

The Secretary-General of the Council of the European Communities shall transmit a certified copy of the 1968 Convention and of the 1971 Protocol in the Dutch, French, German and Italian languages to the Governments of the Kingdom of Denmark, Ireland and the United Kingdom of Great Britain and Northern Ireland.

The texts of the 1968 Convention and the 1971 Protocol, drawn up in the Danish, English and Irish languages, shall be annexed to this Convention. The texts drawn up in the Danish, English and Irish languages shall be authentic under the same conditions as the original texts of the 1968 Convention and the 1971 Protocol.’

- 
- with regard to the 1982 Accession Convention, in Article 13 of that Convention, which reads as follows:

*‘Article 13*

The Secretary-General of the Council of the European Communities shall transmit a certified copy of the 1968 Convention, of the 1971 Protocol and of the 1978 Convention in the Danish, Dutch, English, French, German, Irish and Italian languages to the Government of the Hellenic Republic.

The texts of the 1968 Convention, of the 1971 Protocol and of the 1978 Convention, drawn up in the Greek language, shall be annexed to this Convention. The texts drawn up in the Greek language shall be authentic under the same conditions as the other texts of the 1968 Convention, the 1971 Protocol and the 1978 Convention.’

- with regard to the 1989 Accession Convention, in Article 30 of that Convention, which reads as follows:

*‘Article 30*

1. The Secretary-General of the Council of the European Communities shall transmit a certified copy of the 1968 Convention, of the 1971 Protocol, of the 1978 Convention and of the 1982 Convention in the Danish, Dutch, English, French, German, Greek, Irish and Italian languages to the Governments of the Kingdom of Spain and of the Portuguese Republic.

2. The texts of the 1968 Convention, of the 1971 Protocol, of the 1978 Convention and of the 1982 Convention, drawn up in the Portuguese and Spanish languages, are set out in Annexes II, III, IV and V to this Convention. The texts drawn up in the Portuguese and Spanish languages shall be authentic under the same conditions as the other texts of the 1968 Convention, the 1971 Protocol, the 1978 Convention and the 1982 Convention.’

- with regard to the 1996 Accession Convention, in Article 14 of that Convention, which reads as follows:

*‘Article 14*

1. The Secretary-General of the Council of the European Union shall transmit a certified copy of the 1968 Convention, of the 1971 Protocol, of the 1978 Convention, of the 1982 Convention and of the 1989 Convention in the Danish, Dutch, English, French, German, Greek, Irish, Italian, Spanish and Portuguese languages to the Governments of the Republic of Austria, the Republic of Finland and the Kingdom of Sweden.

2. The texts of the 1968 Convention, of the 1971 Protocol, of the 1978 Convention, of the 1982 Convention and of the 1989 Convention, drawn up in the Finnish and Swedish languages, shall be authentic under the same conditions as the other texts of the 1968 Convention, the 1971 Protocol, the 1978 Convention, the 1982 Convention and the 1989 Convention.’

In witness whereof, the undersigned Plenipotentiaries have affixed their signatures below this Convention.

*[Signatures of the designated plenipotentiaries<sup>(1)</sup>]*

---

---

<sup>(1)</sup> The 1978, 1982 and 1989 Accession Conventions were signed by the respective Plenipotentiaries of the Member States. The signature of the Plenipotentiary of the Kingdom of Denmark to the 1989 Accession Convention is accompanied by the following text:  
'Subject to the right to table a territorial reservation concerning the Faroes and Greenland in connection with ratification, but with the possibility of subsequently extending the Convention to cover the Faroes and Greenland.'

## PROTOCOL<sup>(1)</sup>

The High Contracting Parties have agreed upon the following provisions, which shall be annexed to the Convention:

### *Article I*

Any person domiciled in Luxembourg who is sued in a court of another Contracting State pursuant to Article 5 (1) may refuse to submit to the jurisdiction of that court. If the defendant does not enter an appearance the court shall declare of its own motion that it has no jurisdiction.

An agreement conferring jurisdiction, within the meaning of Article 17, shall be valid with respect to a person domiciled in Luxembourg only if that person has expressly and specifically so agreed.

### *Article II*

Without prejudice to any more favourable provisions of national laws, persons domiciled in a Contracting State who are being prosecuted in the criminal courts of another Contracting State of which they are not nationals for an offence which was not intentionally committed may be defended by persons qualified to do so, even if they do not appear in person.

However, the court seised of the matter may order appearance in person; in the case of failure to appear, a judgment given in the civil action without the person concerned having had the opportunity to arrange for his defence need not be recognized or enforced in the other Contracting States.

### *Article III*

In proceedings for the issue of an order for enforcement, no charge, duty or fee calculated by reference to the value of the matter in issue may be levied in the State in which enforcement is sought.

### *Article IV*

Judicial and extrajudicial documents drawn up in one Contracting State which have to be served on persons in another Contracting State shall be transmitted in accordance with the procedures laid down in the conventions and agreements concluded between the Contracting States.

<sup>(1)</sup> Text as amended by the 1978 Accession Convention, the 1982 Accession Convention and the 1989 Accession Convention

Unless the State in which service is to take place objects by declaration to the Secretary-General of the Council of the European Communities, such documents may also be sent by the appropriate public officers of the State in which the document has been drawn up directly to the appropriate public officers of the State in which the addressee is to be found. In this case the officer of the State of origin shall send a copy of the document to the officer of the State applied to who is competent to forward it to the addressee. The document shall be forwarded in the manner specified by the law of the State applied to. The forwarding shall be recorded by a certificate sent directly to the officer of the State of origin.

### *Article V<sup>(2)</sup>*

The jurisdiction specified in Articles 6 (2) and 10 in actions on a warranty or guarantee or in any other third-party proceedings may not be resorted to in the Federal Republic of Germany or in Austria. Any person domiciled in another Contracting State may be sued in the courts:

- of the Federal Republic of Germany, pursuant to Articles 68, 72, 73 and 74 of the code of civil procedure (Zivilprozessordnung) concerning third-party notices,
- of Austria, pursuant to Article 21 of the code of civil procedure (Zivilprozessordnung) concerning third-party notices.

Judgments given in the other Contracting States by virtue of Article 6 (2) or 10 shall be recognized and enforced in the Federal Republic of Germany and in Austria in accordance with Title III. Any effects which judgments given in those States may have on third parties by application of the provisions in the preceding paragraph shall also be recognized in the other Contracting States.

### *Article Va<sup>(3)</sup>*

In matters relating to maintenance, the expression 'court' includes the Danish administrative authorities.

In Sweden, in summary proceedings concerning orders to pay (betalningsföreläggande) and assistance (bandräkning), the expression 'court' includes the 'Swedish enforcement service' (kronofogdemyndighet).

<sup>(2)</sup> Article amended by Article 8 of the 1996 Accession Convention.

<sup>(3)</sup> Article added by Article 29 of the 1978 Accession Convention and amended by Article 9 of the 1996 Accession Convention.

*Article Vb*<sup>(1)</sup>

In proceedings involving a dispute between the master and a member of the crew of a sea-going ship registered in Denmark, in Greece, in Ireland or in Portugal, concerning remuneration or other conditions of service, a court in a Contracting State shall establish whether the diplomatic or consular officer responsible for the ship has been notified of the dispute. It shall stay the proceedings so long as he has not been notified. It shall of its own motion decline jurisdiction if the officer, having been duly notified, has exercised the powers accorded to him in the matter by a consular convention, or in the absence of such a convention has, within the time allowed, raised any objection to the exercise of such jurisdiction.

*Article Vc*<sup>(2)</sup>

Article 52 and 53 of this Convention shall, when applied by Article 69 (5) of the Convention for the European patent for the common market, signed at Luxembourg on 15 December 1975, to the provisions relating to 'residence' in the English text of that Convention, operate as if 'residence' in that text were the same as 'domicile' in Articles 52 and 53.

In witness whereof, the undersigned Plenipotentiaries have affixed their signatures below this Protocol.

Done at Brussels on the twenty-seventh day of September in the year one thousand nine hundred and sixty-eight.

*[Signatures of the designated plenipotentiaries]*

*Article Vd*<sup>(3)</sup>

Without prejudice to the jurisdiction of the European Patent Office under the Convention on the grant of European patents, signed at Munich on 5 October 1973, the courts of each Contracting State shall have exclusive jurisdiction, regardless of domicile, in proceedings concerned with the registration or validity of any European patent granted for that State which is not a Community patent by virtue of the provisions of Article 86 of the Convention for the European patent for the common market, signed at Luxembourg on 15 December 1975.

*Article Ve*<sup>(4)</sup>

Arrangements relating to maintenance obligations concluded with administrative authorities or authenticated by them shall also be regarded as authentic instruments within the meaning of the first paragraph of Article 50 of the Convention.

*Article VI*

The Contracting States shall communicate to the Secretary-General of the Council of the European Communities the text of any provisions of their laws which amend either those articles of their laws mentioned in the Convention or the lists of courts specified in Section 2 of Title III of the Convention.

<sup>(1)</sup> Article added by Article 29 of the 1978 Accession Convention, amended by Article 9 of the 1982 Accession Convention and by Article 23 of the 1989 Accession Convention.

<sup>(2)</sup> Article added by Article 29 of the 1978 Accession Convention.

<sup>(3)</sup> Article added by Article 29 of the 1978 Accession Convention.

<sup>(4)</sup> Article added by Article 10 of the 1996 Accession Convention.

## JOINT DECLARATION

The Government of the Kingdom of Belgium, the Federal Republic of Germany, the French Republic, the Italian Republic, the Grand Duchy of Luxembourg and the Kingdom of the Netherlands,

On signing the Convention on jurisdiction and the enforcement of judgments in civil and commercial matters,

Desiring to ensure that the Convention is applied as effectively as possible,

Anxious to prevent differences of interpretation of the Convention from impairing its unifying effect,

Recognizing that claims and disclaimers of jurisdiction may arise in the application of the Convention,

Declare themselves ready:

1. to study these questions and in particular to examine the possibility of conferring jurisdiction in certain matters on the Court of Justice of the European Communities and, if necessary, to negotiate an agreement to this effect;
2. to arrange meetings at regular intervals between their representatives.

In witness whereof, the undersigned Plenipotentiaries have affixed their signatures below this Joint Declaration.

Done at Brussels on the twenty-seventh day of September in the year one thousand nine hundred and sixty-eight.

*[Signatures of the plenipotentiaries]*

\_\_\_\_\_

THE REPRESENTATIVES OF THE GOVERNMENTS OF THE MEMBER STATES OF THE EUROPEAN UNION,

AWARE of the importance of having available provisions on jurisdiction for cases where, in the framework of the provision of services, workers are posted in a Member State other than that in which their work is normally performed;

NOTE that on 3 June 1996 the Council adopted a common position on the amended proposal for a directive concerning the posting of workers in the framework of the provision of services, which is being examined by the European Parliament under the procedure set out in Article 189b of the Treaty;

UNDERTAKE to examine whether the Brussels and Lugano Conventions need to be amended with a view to ensuring the protection of workers in the provision of services context following the Council's adoption of the Directive concerning the posting of workers in the framework of the provision of services.

---

## PROTOCOL

### on the interpretation by the Court of Justice of the Convention of 27 September 1968 on jurisdiction and the enforcement of judgments in civil and commercial matters<sup>(1)</sup>

THE HIGH CONTRACTING PARTIES TO THE TREATY ESTABLISHING THE EUROPEAN ECONOMIC COMMUNITY,

Having regard to the Declaration annexed to the Convention on jurisdiction and the enforcement of judgments in civil and commercial matters, signed at Brussels on 27 September 1968,

Have decided to conclude a Protocol conferring jurisdiction on the Court of Justice of the European Communities to interpret that Convention, and to this end have designated as their Plenipotentiaries:

*[List of the plenipotentiaries designated by the Member States]*

WHO, meeting within the Council, having exchanged their full powers, found in good and due form,

HAVE AGREED AS FOLLOWS:

#### *Article 1*

The Court of Justice of the European Communities shall have jurisdiction to give rulings on the interpretation of the Convention on jurisdiction and the enforcement of judgments in civil and commercial matters and of the Protocol annexed to that Convention, signed at Brussels on 27 September 1968, and also on the interpretation of the present Protocol.

The Court of Justice of the European Communities shall also have jurisdiction to give rulings on the interpretation of the Convention on the accession of the Kingdom of Denmark, Ireland and the United Kingdom of Great Britain and Northern Ireland to the Convention of 27 September 1968 and to this Protocol<sup>(2)</sup>.

The Court of Justice of the European Communities shall also have jurisdiction to give rulings on the interpretation of the Convention on the accession of the Hellenic

Republic to the Convention of 27 September 1968 and to this Protocol, as adjusted by the 1978 Convention<sup>(3)</sup>.

The Court of Justice of the European Communities shall also have jurisdiction to give rulings on the interpretation of the Convention on the accession of the Kingdom of Spain and the Portuguese Republic to the Convention of 27 September 1968 and to this Protocol, as adjusted by the 1978 Convention and the 1982 Convention<sup>(4)</sup>.

The Court of Justice of the European Communities shall also have jurisdiction to give rulings on the interpretation of the Convention on the accession of the Republic of Austria, the Republic of Finland and the Kingdom of Sweden to the Convention of 27 September 1968 and to this Protocol, as adjusted by the 1978 Convention, the 1982 Convention and the 1989 Convention<sup>(5)</sup>.

#### *Article 2*

The following courts may request the Court of Justice to give preliminary rulings on questions of interpretation:

1. — in Belgium: 'la Cour de Cassation' — 'het Hof van Cassatie' and 'le Conseil d'État' — 'de Raad van State',

<sup>(1)</sup> Text as amended by the Convention of 9 October 1978 on the accession of the Kingdom of Denmark, Ireland and the United Kingdom of Great Britain and Northern Ireland — hereafter referred to as the '1978 Accession Convention' — by the Convention of 25 October 1982 on the accession of the Hellenic Republic — hereafter referred to as the '1982 Accession Convention', and by the Convention of 26 May 1989 on the accession of the Kingdom of Spain and the Portuguese Republic — hereafter referred to as the '1989 Accession Convention' — and by the Convention of 29 November 1996 on the Accession of the Republic of Austria, the Republic of Finland and the Kingdom of Sweden — hereafter referred to as the '1996 Accession Convention'.

<sup>(2)</sup> Second paragraph added by Article 30 of the 1978 Accession Convention.

<sup>(3)</sup> Third paragraph added by Article 10 of the 1982 Accession Convention.

<sup>(4)</sup> Fourth paragraph added by Article 24 of the 1989 Accession Convention.

<sup>(5)</sup> Fifth paragraph added by Article 11 of the 1996 Accession Convention.

- in Denmark: ‘højesteret’,
  - in the Federal Republic of Germany: ‘die obersten Gerichtshöfe des Bundes’,
  - in Greece: the ‘ανώτατα δικαστήρια’,
  - in Spain: ‘el Tribunal Supremo’,
  - in France: ‘la Cour de Cassation’ and ‘le Conseil d’État’,
  - in Ireland: the Supreme Court,
  - in Italy: ‘la Corte Suprema di Cassazione’,
  - in Luxembourg: ‘la Cour supérieure de Justice’ when sitting as ‘Cour de Cassation’,
  - in Austria, the ‘Oberste Gerichtshof’, the ‘Verwaltungsgerichtshof’ and the ‘Verfassungsgerichtshof’,
  - in the Netherlands: ‘de Hoge Raad’,
  - in Portugal: ‘o Supremo Tribunal de Justiça’ and ‘o Supremo Tribunal Administrativo’,
  - in Finland, ‘korkein oikeus/högsta domstolen’ and ‘korkein hallintooikeus/högsta förvaltningsdomstolen’,
  - in Sweden, ‘Högsta domstolen’, ‘Regeringsrätten’, ‘Arbetsdomstolen’ and ‘Marknadsdomstolen’,
  - in the United Kingdom: the House of Lords and courts to which application has been made under the second paragraph of Article 37 or under Article 41 of the Convention<sup>(1)</sup>;
2. the courts of the Contracting States when they are sitting in an appellate capacity;
  3. in the cases provided for in Article 37 of the Convention, the courts referred to in that Article.

#### Article 3

1. Where a question of interpretation of the Convention or of one of the other instruments referred to in Article 1 is raised in a case pending before one of the courts listed in point 1 of Article 2, that court shall, if it considers that a decision on the question is necessary to enable it to give judgment, request the Court of Justice to give a ruling thereon.
2. Where such a question is raised before any court referred to in point 2 or 3 of Article 2, that court may

<sup>(1)</sup> Point 1 as amended by Article 31 of the 1978 Accession Convention, by Article 11 of the 1982 Accession Convention, by Article 25 of the 1989 Accession Convention, and by Article 12 of the 1996 Accession Convention.

under the conditions laid down in paragraph 1, request the Court of Justice to give a ruling thereon.

#### Article 4

1. The competent authority of a Contracting State may request the Court of Justice to give a ruling on a question of interpretation of the Convention or of one of the other instruments referred to in Article 1 if judgments given by courts of that State conflict with the interpretation given either by the Court of Justice or in a judgment of one of the courts of another Contracting State referred to in point 1 or 2 of Article 2. The provisions of this paragraph shall apply only to judgments which have become *res judicata*.
2. The interpretation given by the Court of Justice in response to such a request shall not affect the judgments which gave rise to the request for interpretation.
3. The Procurators-General of the Courts of Cassation of the Contracting States, or any other authority designated by a Contracting State, shall be entitled to request the Court of Justice for a ruling on interpretation in accordance with paragraph 1.
4. The Registrar of the Court of Justice shall give notice of the request to the Contracting States, to the Commission and to the Council of the European Communities; they shall then be entitled within two months of the notification to submit statements of case or written observations to the Court.
5. No fees shall be levied or any costs or expenses awarded in respect of the proceedings provided for in this Article.

#### Article 5

1. Except where this Protocol otherwise provides, the provisions of the Treaty establishing the European Economic Community and those of the Protocol on the Statute of the Court of Justice annexed thereto, which are applicable when the Court is requested to give a preliminary ruling, shall also apply to any proceedings for the interpretation of the Convention and the other instruments referred to in Article 1.
2. The Rules of Procedure of the Court of Justice shall, if necessary, be adjusted and supplemented in accordance with Article 188 of the Treaty establishing the European Economic Community.

#### Article 6

...<sup>(2)</sup>

<sup>(2)</sup> Article 26 of the 1989 Accession Convention provides for the deletion of Article 6 as amended by Article 32 of the 1978 Accession Convention.

*Article 7<sup>(1)</sup>*

This Protocol shall be ratified by the signatory States. The instruments of ratification shall be deposited with the Secretary-General of the Council of the European Communities.

*Article 8<sup>(2)</sup>*

This Protocol shall enter into force on the first day of the third month following the deposit of the instrument of ratification by the last signatory State to take this step; provided that it shall at the earliest enter into force at the same time as the Convention of 27 September 1968 on jurisdiction and the enforcement of judgments in civil and commercial matters.

*Article 9*

The Contracting States recognize that any State which becomes a member of the European Economic Community, and to which Article 63 of the Convention on jurisdiction and the enforcement of judgments in civil and commercial matters applies, must accept the provisions of this Protocol, subject to such adjustments as may be required.

*Article 10<sup>(3)</sup>*

The Secretary-General of the Council of the European Communities shall notify the signatory States of:

- (a) the deposit of each instrument of ratification;

- (b) the date of entry into force of this Protocol;  
(c) any designation received pursuant to Article 4 (3);  
(d) ...<sup>(4)</sup>.

*Article 11*

The Contracting States shall communicate to the Secretary-General of the Council of the European Communities the texts of any provisions of their laws which necessitate an amendment to the list of courts in point 1 of Article 2.

*Article 12*

This Protocol is concluded for an unlimited period.

*Article 13*

Any Contracting State may request the revision of this Protocol. In this event, a revision conference shall be convened by the President of the Council of the European Communities.

*Article 14<sup>(5)</sup>*

This Protocol, drawn up in a single original in the Dutch, French, German and Italian languages, all four texts being equally authentic, shall be deposited in the archives of the Secretariat of the Council of the European Communities. The Secretary-General shall transmit a certified copy to the Government of each signatory State<sup>(6)</sup>.

In witness whereof, the undersigned Plenipotentiaries have affixed their signatures below this Protocol.

Done at Luxembourg on the third day of June in the year one thousand nine hundred and seventy-one.

*[Signatures of the plenipotentiaries]*

<sup>(1)</sup> See footnote 6 on page 20.

<sup>(2)</sup> See footnote 1 on page 21.

<sup>(3)</sup> See footnote 2 on page 21.

<sup>(4)</sup> Article 27 of the 1989 Accession Convention provides for the deletion of (d) as amended by Article 33 of the 1978 Accession Convention.

<sup>(5)</sup> See footnote 4 on page 21.

<sup>(6)</sup> See footnote 1 on page 22.

## JOINT DECLARATION

The Government of the Kingdom of Belgium, the Federal Republic of Germany, the French Republic, the Italian Republic, the Grand Duchy of Luxembourg and the Kingdom of the Netherlands,

On signing the Protocol on the interpretation by the Court of Justice of the Convention of 27 September 1968 on jurisdiction and the enforcement of judgments in civil and commercial matters,

Desiring to ensure that the provisions of that Protocol are applied as effectively and as uniformly as possible,

Declare themselves ready to organize, in cooperation with the Court of Justice, an exchange of information on the judgments given by the courts referred to in Article 2 (1) of that Protocol in application of the Convention and the Protocol of 27 September 1968.

In witness whereof, the undersigned Plenipotentiaries have affixed their signatures below this Joint Declaration.

Done at Luxembourg on the third day of June in the year one thousand nine hundred and seventy-one.

*[Signatures of the plenipotentiaries]*

\_\_\_\_\_

**JOINT DECLARATION****of 9 October 1978**

THE REPRESENTATIVES OF THE GOVERNMENTS OF THE MEMBER STATES OF THE EUROPEAN ECONOMIC COMMUNITY, MEETING WITHIN THE COUNCIL,

Desiring to ensure that in the spirit of the Convention of 27 September 1968 uniformity of jurisdiction should also be achieved as widely as possible in maritime matters,

Considering that the International Convention relating to the arrest of sea-going ships, signed at Brussels on 10 May 1952, contains provisions relating to such jurisdiction,

Considering that all of the Member States are not parties to the said Convention,

Express the wish that Member States which are coastal States and have not already become parties to the Convention of 10 May 1952 should do so as soon as possible.

In witness whereof, the undersigned Plenipotentiaries have affixed their signature below this Joint Declaration.

Done at Luxembourg on the ninth day of October in the year one thousand nine hundred and seventy-eight.

*[Signatures of the plenipotentiaries]*

---

## JOINT DECLARATION

of 26 May 1989

concerning the ratification of the Convention on the accession of the Kingdom of Spain and the Portuguese Republic to the 1968 Brussels Convention

Upon signature of the Convention on the accession of the Kingdom of Spain and the Portuguese Republic to the 1968 Brussels Convention, done at Donostia — San Sebastián on 26 May 1989,

THE REPRESENTATIVES OF THE GOVERNMENTS OF THE MEMBER STATES OF THE EUROPEAN COMMUNITIES, MEETING WITHIN THE COUNCIL,

DESIROUS that, in particular with a view to the completion of the internal market, application of the Brussels Convention and of the 1971 Protocol should be rapidly extended to the entire Community,

WELCOMING the conclusion on 16 September 1988 of the Lugano Convention which extends the principles of the Brussels Convention to those States becoming parties to the Lugano Convention, designed principally to govern relations between the Member States of the European Economic Community (EEC) and those of the European Free Trade Association (EFTA) with regard to the legal protection of persons established in any of those States and to the simplification of formalities for the reciprocal recognition and enforcement of judgments,

CONSIDERING that the Brussels Convention has as its legal basis Article 220 of the Treaty of Rome and is interpreted by the Court of Justice of the European Communities,

MINDFUL that the Lugano Convention does not affect the application of the Brussels Convention as regards relations between Member States of the European Economic Community, since such relations must be governed by the Brussels Convention,

NOTING that the Lugano Convention is to enter into force after two States, of which one is a member of the European Communities and the other a member of the European Free Trade Association, have deposited their instruments of ratification,

DECLARE THEMSELVES READY to take every appropriate measure with a view to ensuring that national procedures for the ratification of the Convention on the accession of the Kingdom of Spain and the Portuguese Republic to the Brussels Convention, signed today, are completed as soon as possible and, if possible, by 31 December 1992 at the latest.

In witness whereof the undersigned have signed this declaration.

Done at Donostia — San Sebastián on the twenty-sixth day of May in the year one thousand nine hundred and eighty-nine.

*[Signatures of the plenipotentiaries]*

---

Convention on the law applicable to contractual obligations (consolidated version)

First Protocol on the interpretation of the 1980 Convention by the Court of Justice  
(consolidated version)

Second Protocol conferring on the Court of Justice powers to interpret the 1980 Convention  
(consolidated version)

(98/C 27/02)

PRELIMINARY NOTE

The signing on 29 November 1996 of the Convention on the accession of the Republic of Austria, the Republic of Finland and the Kingdom of Sweden to the Rome Convention on the law applicable to contractual obligations and to the two Protocols on its interpretation by the Court of Justice has made it desirable to produce a consolidated version of the Rome convention and of those two Protocols.

These texts are accompanied by three Declarations, one made in 1980 with regard to the need for consistency between measures to be adopted on choice-of-law rules by the Community and those under the Convention, a

second, also made in 1980, on the interpretation of the Convention by the Court of Justice and a third, made in 1996, concerning compliance with the procedure provided for in Article 23 of the Rome Convention as regards carriage of goods by sea.

The text printed in this edition was drawn up by the General Secretariat of the Council, in whose archives the originals of the instruments concerned are deposited. It should be noted, however, that this text has no binding force. The official texts of the instruments consolidated are to be found in the following Official Journals.

Language version of the Official Journal	1980 Convention	1984 Accession	1988 First Protocol	1988 Second Protocol	1992 Accession Convention	1996 Accession Convention
German	L 266, 9. 10. 1980, p. 1	L 146, 31. 5. 1984, p. 1	L 48, 20. 2. 1989, p. 1	L 48, 20. 2. 1989, p. 17	L 333, 18. 11. 1992, p. 1	C 15, 15. 1. 1997, p. 10
English	L 266, 9. 10. 1980, p. 1	L 146, 31. 5. 1984, p. 1	L 48, 20. 2. 1989, p. 1	L 48, 20. 2. 1989, p. 17	L 333, 18. 11. 1992, p. 1	C 15, 15. 1. 1997, p. 10
Danish	L 266, 9. 10. 1980, p. 1	L 146, 31. 5. 1984, p. 1	L 48, 20. 2. 1989, p. 1	L 48, 20. 2. 1989, p. 17	L 333, 18. 11. 1992, p. 1	C 15, 15. 1. 1997, p. 10
French	L 266, 9. 10. 1980, p. 1	L 146, 31. 5. 1984, p. 1	L 48, 20. 2. 1989, p. 1	L 48, 20. 2. 1989, p. 17	L 333, 18. 11. 1992, p. 1	C 15, 15. 1. 1997, p. 10
Greek	L 146, 31. 5. 1984, p. 7	L 146, 31. 5. 1984, p. 1	L 48, 20. 2. 1989, p. 1	L 48, 20. 2. 1989, p. 17	L 333, 18. 11. 1992, p. 1	C 15, 15. 1. 1997, p. 10
Irish	Special Edition (L 266)	Special Edition (L 146)	Special Edition (L 48)	Special Edition (L 48)	Special Edition (L 333)	Special Edition (C 15)
Italian	L 266, 9. 10. 1980, p. 1	L 146, 31. 5. 1984, p. 1	L 48, 20. 2. 1989, p. 1	L 48, 20. 2. 1989, p. 17	L 333, 18. 11. 1992, p. 1	C 15, 15. 1. 1997, p. 10

Language version of the Official Journal	1980 Convention	1984 Accession	1988 First Protocol	1988 Second Protocol	1992 Accession Convention	1996 Accession Convention
Dutch	L 266, 9. 10. 1980, p. 1	L 146, 31. 5. 1984, p. 1	L 48, 20. 2. 1989, p. 1	L 48, 20. 2. 1989, p. 17	L 333, 18. 11. 1992, p. 1	C 15, 15. 1. 1997, p. 10
Spanish	Special Edition, Chapter 1, Volume 3, p. 36 (See also OJ L 333, p. 17)	Special Edition, Chapter 1, Volume 4, p. 36 (See also OJ L 333, p. 72)	L 48, 20. 2. 1989, p. 1	L 48, 20. 2. 1989, p. 17	L 333, 18. 11. 1992, p. 1	C 15, 15. 1. 1997, p. 10
Portuguese	Special Edition, Chapter 1, Volume 3, p. 36 (See also OJ L 333, p. 7)	Special Edition, Chapter 1, Volume 4, p. 72 (See also OJ L 333, p. 74)	L 48, 20. 2. 1989, p. 1	L 48, 20. 2. 1989, p. 17	L 333, 18. 11. 1992, p. 1	C 15, 15. 1. 1997, p. 10
Finnish	C 15, 15. 1. 1997, p. 70	C 15, 15. 1. 1997, p. 66	C 15, 15. 1. 1997, p. 60	C 15, 15. 1. 1997, p. 64	C 15, 15. 1. 1997, p. 68	C 15, 15. 1. 1997, p. 53
Swedish	C 15, 15. 1. 1997, p. 70	C 15, 15. 1. 1997, p. 66	C 15, 15. 1. 1997, p. 60	C 15, 15. 1. 1997, p. 64	C 15, 15. 1. 1997, p. 68	C 15, 15. 1. 1997, p. 53

## ANNEX

## CONVENTION

on the law applicable to contractual obligations<sup>(1)</sup>

opened for signature in Rome on 19 June 1980

## PREAMBLE

THE HIGH CONTRACTING PARTIES to the Treaty establishing the European Economic Community,

ANXIOUS to continue in the field of private international law the work of unification of law which has already been done within the Community, in particular in the field of jurisdiction and enforcement of judgments,

WISHING to establish uniform rules concerning the law applicable to contractual obligations,

HAVE AGREED AS FOLLOWS:

## TITLE I

## SCOPE OF THE CONVENTION

*Article 1*

## Scope of the Convention

1. The rules of this Convention shall apply to contractual obligations in any situation involving a choice between the laws of different countries.

2. They shall not apply to:

- (a) questions involving the status or legal capacity of natural persons, without prejudice to Article 11;
- (b) contractual obligations relating to:
  - wills and succession,
  - rights in property arising out of a matrimonial relationship,

— rights and duties arising out of a family relationship, parentage, marriage or affinity, including maintenance obligations in respect of children who are not legitimate;

(c) obligations arising under bills of exchange, cheques and promissory notes and other negotiable instruments to the extent that the obligations under such other negotiable instruments arise out of their negotiable character;

(d) arbitration agreements and agreements on the choice of court;

(c) questions governed by the law of companies and other bodies corporate or unincorporate such as the creation, by registration or otherwise, legal capacity, internal organization or winding up of companies and other bodies corporate or unincorporate and the personal liability of officers and members as such for the obligations of the company or body;

(f) the question whether an agent is able to bind a principal, or an organ to bind a company or body corporate or unincorporate, to a third party;

(g) the constitution of trusts and the relationship between settlors, trustees and beneficiaries;

(h) evidence and procedure, without prejudice to Article 14.

3. The rules of this Convention do not apply to contracts of insurance which cover risks situated in the territories of the Member States of the European

<sup>(1)</sup> Text as amended by the Convention of 10 April 1984 on the accession of the Hellenic Republic — hereafter referred to as the '1984 Accession Convention' —, by the Convention of 18 May 1992 on the accession of the Kingdom of Spain and the Portuguese Republic — hereafter referred to as the '1992 Accession Convention' — and by the Convention on the accession of the Republic of Austria, the Republic of Finland and the Kingdom of Sweden — hereafter referred to as the '1996 Accession Convention'.

Economic Community. In order to determine whether a risk is situated in those territories the court shall apply its internal law.

4. The proceeding paragraph does not apply to contracts of re-insurance.

#### *Article 2*

##### **Application of law of non-contracting States**

Any law specified by this Convention shall be applied whether or not it is the law of a Contracting State.

### TITLE II

#### UNIFORM RULES

#### *Article 3*

##### **Freedom of choice**

1. A contract shall be governed by the law chosen by the parties. The choice must be expressed or demonstrated with reasonable certainty by the terms of the contract or the circumstances of the case. By their choice the parties can select the law applicable to the whole or a part only of the contract.

2. The parties may at any time agree to subject the contract to a law other than that which previously governed it, whether as a result of an earlier choice under this Article or of other provisions of this Convention. Any variation by the parties of the law to be applied made after the conclusion of the contract shall not prejudice its formal validity under Article 9 or adversely affect the rights of third parties.

3. The fact that the parties have chosen a foreign law, whether or not accompanied by the choice of a foreign tribunal, shall not, where all the other elements relevant to the situation at the time of the choice are connected with one country only, prejudice the application of rules of the law at the country which cannot be derogated from by contract, hereinafter called 'mandatory rules'.

4. The existence and validity of the consent of the parties as to the choice of the applicable law shall be determined in accordance with the provisions of Articles 8, 9 and 11.

#### *Article 4*

##### **Applicable law in the absence of choice**

1. To the extent that the law applicable to the contract has not been chosen in accordance with Article 3, the

contract shall be governed by the law of the country with which it is most closely connected. Nevertheless, a separable part of the contract which has a closer connection with another country may by way of exception be governed by the law of that other country.

2. Subject to the provisions of paragraph 5 of this Article, it shall be presumed that the contract is most closely connected with the country where the party who is to effect the performance which is characteristic of the contract has, at the time of conclusion of the contract, his habitual residence, or, in the case of a body corporate or unincorporate, its central administration. However, if the contract is entered into in the course of that party's trade or profession, that country shall be the country in which the principal place of business is situated or, where under the terms of the contract the performance is to be effected through a place of business other than the principal place of business, the country in which that other place of business is situated.

3. Notwithstanding the provisions of paragraph 2 of this Article, to the extent that the subject matter of the contract is a right in immovable property or a right to use immovable property it shall be presumed that the contract is most closely connected with the country where the immovable property is situated.

4. A contract for the carriage of goods shall not be subject to the presumption in paragraph 2. In such a contract if the country in which, at the time the contract is concluded, the carrier has his principal place of business is also the country in which the place of loading or the place of discharge or the principal place of business of the consignor is situated, it shall be presumed that the contract is most closely connected with that country. In applying this paragraph single voyage charter-parties and other contracts the main purpose of which is the carriage of goods shall be treated as contracts for the carriage of goods.

5. Paragraph 2 shall not apply if the characteristic performance cannot be determined, and the presumptions in paragraphs 2, 3 and 4 shall be disregarded if it appears from the circumstances as a whole that the contract is more closely connected with another country.

#### *Article 5*

##### **Certain consumer contracts**

1. This Article applies to a contract the object of which is the supply of goods or services to a person ('the consumer') for a purpose which can be regarded as being outside his trade or profession, or a contract for the provision of credit for that object.

2. Notwithstanding the provisions of Article 3, a choice of law made by the parties shall not have the result of depriving the consumer of the protection

afforded to him by the mandatory rules of the law of the country in which he has his habitual residence:

- if in that country the conclusion of the contract was preceded by a specific invitation addressed to him or by advertising, and he had taken in that country all the steps necessary on his part for the conclusion of the contract, or
- if the other party or his agent received the consumer's order in that country, or
- if the contract is for the sale of goods and the consumer travelled from that country to another country and there gave his order, provided that the consumer's journey was arranged by the seller for the purpose of inducing the consumer to buy.

3. Notwithstanding the provisions of Article 4, a contract to which this Article applies shall, in the absence of choice in accordance with Article 3, be governed by the law of the country in which the consumer has his habitual residence if it is entered into in the circumstances described in paragraph 2 of this Article.

4. This Article shall not apply to:

- (a) a contract of carriage;
- (b) a contract for the supply of services where the services are to be supplied to the consumer exclusively in a country other than that in which he has his habitual residence.

5. Notwithstanding the provisions of paragraph 4, this Article shall apply to a contract which, for an inclusive price, provides for a combination of travel and accommodation.

#### *Article 6*

##### **Individual employment contracts**

1. Notwithstanding the provisions of Article 3, in a contract of employment a choice of law made by the parties shall not have the result of depriving the employee of the protection afforded to him by the mandatory rules of the law which would be applicable under paragraph 2 in the absence of choice.

2. Notwithstanding the provisions of Article 4, a contract of employment shall, in the absence of choice in accordance with Article 3, be governed:

- (a) by the law of the country in which the employee habitually carries out his work in performance of the contract, even if he is temporarily employed in another country; or

- (b) if the employee does not habitually carry out his work in any one country, by the law of the country in which the place of business through which he was engaged is situated;

unless it appears from the circumstances as a whole that the contract is more closely connected with another country, in which case the contract shall be governed by the law of that country.

#### *Article 7*

##### **Mandatory rules**

1. When applying under this Convention the law of a country, effect may be given to the mandatory rules of the law of another country with which the situation has a close connection, if and in so far as, under the law of the latter country, those rules must be applied whatever the law applicable to the contract. In considering whether to give effect to these mandatory rules, regard shall be had to their nature and purpose and to the consequences of their application or non-application.

2. Nothing in this Convention shall restrict the application of the rules of the law of the forum in a situation where they are mandatory irrespective of the law otherwise applicable to the contract.

#### *Article 8*

##### **Material validity**

1. The existence and validity of a contract, or of any term of a contract, shall be determined by the law which would govern it under this Convention if the contract or term were valid.

2. Nevertheless a party may rely upon the law of the country in which he has his habitual residence to establish that he did not consent if it appears from the circumstances that it would not be reasonable to determine the effect of his conduct in accordance with the law specified in the preceding paragraph.

#### *Article 9*

##### **Formal validity**

1. A contract concluded between persons who are in the same country is formally valid if it satisfies the formal requirements of the law which governs it under this Convention or of the law of the country where it is concluded.

2. A contract concluded between persons who are in different countries is formally valid if it satisfies the formal requirements of the law which governs it under this Convention or of the law of one of those countries.

3. Where a contract is concluded by an agent, the country in which the agent acts is the relevant country for the purposes of paragraphs 1 and 2.

4. An act intended to have legal effect relating to an existing or contemplated contract is formally valid if it satisfies the formal requirements of the law which under this Convention governs or would govern the contract or of the law of the country where the act was done.

5. The provisions of the preceding paragraphs shall not apply to a contract to which Article 5 applies, concluded in the circumstances described in paragraph 2 of Article 5. The formal validity of such a contract is governed by the law of the country in which the consumer has his habitual residence.

6. Notwithstanding paragraphs 1 to 4 of this Article, a contract the subject matter of which is a right in immovable property or a right to use immovable property shall be subject to the mandatory requirements of form of the law of the country where the property is situated if by that law those requirements are imposed irrespective of the country where the contract is concluded and irrespective of the law governing the contract.

#### *Article 10*

##### **Scope of applicable law**

1. The law applicable to a contract by virtue of Articles 3 to 6 and 12 of this Convention shall govern in particular:

- (a) interpretation;
- (b) performance;
- (c) within the limits of the powers conferred on the court by its procedural law, the consequences of breach, including the assessment of damages in so far as it is governed by rules of law;
- (d) the various ways of extinguishing obligations, and prescription and limitation of actions;
- (e) the consequences of nullity of the contract.

2. In relation to the manner of performance and the steps to be taken in the event of defective performance regard shall be had to the law of the country in which performance takes place.

#### *Article 11*

##### **Incapacity**

In a contract concluded between persons who are in the same country, a natural person who would have capacity under the law of that country may invoke his incapacity resulting from another law only if the other party to the contract was aware of this incapacity at the time of the conclusion of the contract or was not aware thereof as a result of negligence.

#### *Article 12*

##### **Voluntary assignment**

1. The mutual obligations of assignor and assignee under a voluntary assignment of a right against another person ('the debtor') shall be governed by the law which under this Convention applies to the contract between the assignor and assignee.

2. The law governing the right to which the assignment relates shall determine its assignability, the relationship between the assignee and the debtor, the conditions under which the assignment can be invoked against the debtor and any question whether the debtor's obligations have been discharged.

#### *Article 13*

##### **Subrogation**

1. Where a person ('the creditor') has a contractual claim upon another ('the debtor'), and a third person has a duty to satisfy the creditor, or has in fact satisfied the creditor in discharge of that duty, the law which governs the third person's duty to satisfy the creditor shall determine whether the third person is entitled to exercise against the debtor the rights which the creditor had against the debtor under the law governing their relationship and, if so, whether he may do so in full or only to a limited extent.

2. The same rule applies where several persons are subject to the same contractual claim and one of them has satisfied the creditor.

#### *Article 14*

##### **Burden of proof, etc.**

1. The law governing the contract under this Convention applies to the extent that it contains, in the law of contract, rules which raise presumptions of law or determine the burden of proof.

2. A contract or an act intended to have legal effect may be proved by any mode of proof recognized by the law of the forum or by any of the laws referred to in Article 9 under which that contract or act is formally valid, provided that such mode of proof can be administered by the forum.

*Article 15***Exclusion of convoi**

The application of the law of any country specified by this Convention means the application of the rules of law in force in that country other than its rules of private international law.

*Article 16***'Ordre public'**

The application of a rule of the law of any country specified by this Convention may be refused only if such application is manifestly incompatible with the public policy ('ordre public') of the forum.

*Article 17***No retrospective effect**

This Convention shall apply in a Contracting State to contracts made after the date on which this Convention has entered into force with respect to that State.

*Article 18***Uniform interpretation**

In the interpretation and application of the preceding uniform rules, regard shall be had to their international character and to the desirability of achieving uniformity in their interpretation and application.

*Article 19***States with more than one legal system**

1. Where a State comprises several territorial units each of which has its own rules of law in respect of contractual obligations, each territorial unit shall be considered as a country for the purposes of identifying the law applicable under this Convention.

2. A State within which different territorial units have their own rules of law in respect of contractual obligations shall not be bound to apply this Convention to conflicts solely between the laws of such units.

*Article 20***Precedence of Community law**

This Convention shall not affect the application of provisions which, in relation to particular matters, lay down choice of law rules relating to contractual obligations and which are or will be contained in acts of the institutions of the European Communities or in national laws harmonized in implementation of such acts.

*Article 21***Relationship with other conventions**

This Convention shall not prejudice the application of international conventions to which a Contracting State is, or becomes, a party.

*Article 22***Reservations**

1. Any Contracting State may, at the time of signature, ratification, acceptance or approval, reserve the right not to apply:

- (a) the provisions of Article 7 (1);
- (b) the provisions of Article 10 (1) (e).

2. ...<sup>(1)</sup>

3. Any Contracting State may at any time withdraw a reservation which it has made; the reservation shall cease to have effect on the first day of the third calendar month after notification of the withdrawal.

## TITLE III

## FINAL PROVISIONS

*Article 23*

1. If, after the date on which this Convention has entered into force for a Contracting State, that State wishes to adopt any new choice of law rule in regard to any particular category of contract within the scope of this Convention, it shall communicate its intention to the other signatory States through the Secretary-General of the Council of the European Communities.

2. Any signatory State may, within six months from the date of the communication made to the Secretary-General, request him to arrange consultations between signatory States in order to reach agreement.

3. If no signatory State has requested consultations within this period or if within two years following the communication made to the Secretary-General no agreement is reached in the course of consultations, the Contracting State concerned may amend its law in the manner indicated. The measures taken by that State shall be brought to the knowledge of the other signatory States through the Secretary-General of the Council of the European Communities.

<sup>(1)</sup> Paragraph deleted by Article 2 (1) of the 1992 Accession Convention.

*Article 24*

1. If, after the date on which this Convention has entered into force with respect to a Contracting State, that State wishes to become a party to a multilateral convention whose principal aim or one of whose principal aims is to lay down rules of private international law concerning any of the matters governed by this Convention, the procedure set out in Article 23 shall apply. However, the period of two years, referred to in paragraph 3 of that Article, shall be reduced to one year.

2. The procedure referred to in the preceding paragraph need not be followed if a Contracting State or one of the European Communities is already a party to the multilateral convention, or if its object is to revise a convention to which the State concerned is already a party, or if it is a convention concluded within the framework of the Treaties establishing the European Communities.

*Article 25*

If a Contracting State considers that the unification achieved by this Convention is prejudiced by the conclusion of agreements not covered by Article 24 (1), that State may request the Secretary-General of the Council of the European Communities to arrange consultations between the signatory States of this Convention.

*Article 26*

Any Contracting State may request the revision of this Convention. In this event a revision conference shall be convened by the President of the Council of the European Communities.

*Article 27<sup>(1)</sup>**Article 28*

1. This Convention shall be open from 19 June 1980 for signature by the States party to the Treaty establishing the European Economic Community.

2. This Convention shall be subject to ratification, acceptance or approval by the signatory States. The instruments of ratification, acceptance or approval shall

<sup>(1)</sup> Article deleted by Article 2 (1) of the 1992 Accession Convention.

be deposited with the Secretary-General of the Council of the European Communities<sup>(2)</sup>.

*Article 29<sup>(3)</sup>*

1. This Convention shall enter into force on the first day of the third month following the deposit of the seventh instrument of ratification, acceptance or approval.

2. This Convention shall enter into force for each signatory State ratifying, accepting or approving at a later date on the first day of the third month following the deposit of its instrument of ratification, acceptance or approval.

<sup>(2)</sup> Ratification of the Accession Conventions is governed by the following provisions of those conventions:

- as regards the 1984 Accession Convention, by Article 3 of that Convention, which reads as follows:

*'Article 3*

This Convention shall be ratified by the signatory States. The instruments of ratification shall be deposited with the Secretary-General of the Council of the European Communities.'

- as regards the 1992 Accession Convention, by Article 4 of that Convention, which reads as follows:

*'Article 4*

This Convention shall be ratified by the signatory States. The instruments of ratification shall be deposited with the Secretary-General of the Council of the European Communities.'

- as regards the 1996 Accession Convention, by Article 5 of that Convention, which reads as follows:

*'Article 5*

This Convention shall be ratified by the signatory States. The instruments of ratification shall be deposited with the Secretary-General of the Council of the European Union.'

<sup>(3)</sup> The entry into force of the Accession Conventions is governed by the following provisions of those Conventions:

- as regards the 1984 Accession Convention, by Article 4 of that Convention, which reads as follows:

*'Article 4*

This Convention shall enter into force, as between the States which have ratified it, on the first day of the third month following the deposit of the last instrument of ratification by the Hellenic Republic and seven States which have ratified the Convention on the law applicable to contractual obligations.

This Convention shall enter into force for each Contracting State which subsequently ratifies it on the first day of the third month following the deposit of its instrument of ratification.'

- as regards the 1992 Accession Convention, by Article 5 of that Convention which reads as follows:

*'Article 5*

This Convention shall enter into force, as between the States which have ratified it, on the first day of the third month following the deposit of the last instrument of ratification by the Kingdom of Spain or the Portuguese Republic and by one State which has ratified the Convention on the law applicable to contractual obligations.

*Article 30*

1. This Convention shall remain in force for 10 years from the date of its entry into force in accordance with Article 29 (1), even for States for which it enters into force at a later date.

2. If there has been no denunciation it shall be renewed tacitly every five years.

3. A Contracting State which wishes to denounce shall, not less than six months before the expiration of the period of 10 or five years, as the case may be, give notice to the Secretary-General of the Council of the European Communities. Denunciation may be limited to any territory to which the Convention has been extended by a declaration under Article 27 (2)<sup>(1)</sup>.

4. The denunciation shall have effect only in relation to the State which has notified it. The Convention will remain in force as between all other Contracting States.

*Article 31*<sup>(2)</sup>

The Secretary-General of the Council of the European Communities shall notify the States party to the Treaty establishing the European Economic Community of:

- (a) the signatures;
- (b) deposit of each instrument of ratification, acceptance or approval;
- (c) the date of entry into force of this Convention;
- (d) communications made in pursuance of Articles 23, 24, 25, 26 and 30<sup>(3)</sup>;
- (e) the reservations and withdrawals of reservations referred to in Article 22.

*Article 32*

The Protocol annexed to this Convention shall form an integral part thereof.

*Article 33*<sup>(4)</sup>

This Convention, drawn up in a single original in the Danish, Dutch, English, French, German, Irish and Italian languages, these texts being equally authentic, shall be deposited in the archives of the Secretariat of the Council of the European Communities. The Secretary-General shall transmit a certified copy thereof to the Government of each signatory State.

This Convention shall enter into force for each Contracting State which subsequently ratifies it on the first day of the third month following the deposit of its instrument of ratification.’

- as regards the 1996 Accession Convention, by Article 6 of that Convention, which reads as follows:

*‘Article 6*

1. This Convention shall enter into force, as between the States which have ratified it, on the first day of the third month following the deposit of the last instrument of ratification by the Republic of Austria, the Republic of Finland or the Kingdom of Sweden and by one Contracting State which has ratified the Convention on the law applicable to contractual obligations.

2. This Convention shall enter into force for each Contracting State which subsequently ratifies it on the first day of the third month following the deposit of its instrument of ratification.’

<sup>(1)</sup> Phrase deleted by the 1992 Accession Convention.

<sup>(2)</sup> Notification concerning the Accession Convention is governed by the following provisions of those Conventions:

- as regards the 1984 Accession Convention, by Article 5 of that Convention, which reads as follows:

*‘Article 5*

The Secretary-General of the Council of the European Communities shall notify Signatory States of:

- (a) the deposit of each instrument of ratification;
- (b) the dates of entry into force of this Convention for the Contracting States.’

- as regards the 1992 Accession Convention, by Article 6 of that Convention, which reads as follows:

*‘Article 6*

The Secretary-General of the Council of the European Communities shall notify the signatory States of:

- (a) the deposit of each instrument of ratification;
- (b) the dates of entry into force of this Convention for the Contracting States.’

- as regards the 1996 Accession Convention, by Article 7 of that Convention, which reads as follows:

*‘Article 7*

The Secretary-General of the Council of the European Union shall notify the signatory States of:

- (a) the deposit of each instrument of ratification;
- (b) the dates of entry into force of this Convention for the Contracting States.’

<sup>(3)</sup> Point (d) as amended by the 1992 Accession Convention.

<sup>(4)</sup> An indication of the authentic texts of the Accession Convention is to be found in the following provisions:

- as regards the 1984 Accession Convention, in Articles 2 and 6 of that Convention, which reads as follows:

*‘Article 2*

The Secretary-General of the Council of the European Communities shall transmit a certified copy of the Convention on the law applicable to contractual obligations in the Danish, Dutch, English, French, German, Irish and Italian languages to the Government of the Hellenic Republic.

The text of the Convention on the law applicable to contractual obligations in the Greek language is annexed hereto. The text in the Greek language shall be authentic under the same conditions as the other texts of the Convention on the law applicable to contractual obligations.’

In witness whereof the undersigned, being duly authorized thereto, having signed this Convention.

Done at Rome on the nineteenth day of June in the year one thousand nine hundred and eighty.

*[Signatures of the plenipotentiaries]*

---



---

*'Article 6*

This Convention, drawn up in a single original in the Danish, Dutch, English, French, German, Greek, Irish and Italian languages, all eight texts being equally authentic, shall be deposited in the archives of the General Secretariat of the Council of the European Communities. The Secretary-General shall transmit a certified copy to the Government of each Signatory State.'

- as regards the 1992 Accession Convention, in Articles 3 and 7 of that Convention, which read as follows:

*'Article 3*

The Secretary-General of the Council of the European Communities shall transmit a certified copy of the Convention on the law applicable to contractual obligations in the Danish, Dutch, English, French, German, Greek, Irish and Italian languages to the Governments of the Kingdom of Spain and the Portuguese Republic.

The text of the Convention on the law applicable to contractual obligations in the Portuguese and Spanish languages is set out in Annexes I and II to this Convention. The texts drawn up in the Portuguese and Spanish languages shall be authentic under the same conditions as the other texts of the Convention on the law applicable to contractual obligations.'

*'Article 7*

This Convention, drawn up in a single original in the Danish, Dutch, English, French, German, Greek, Irish, Italian, Portuguese and Spanish languages, all texts being equally authentic, shall be deposited in the archives of the General Secretariat of the Council of the European

---

Communities. The Secretary-General shall transmit a certified copy to the Government of each Signatory State.'

- as regards the 1996 Accession Convention, in Articles 4 and 8 of that Convention, which read as follows:

*'Article 4*

1. The Secretary-General of the Council of the European Union shall transmit a certified copy of the Convention of 1980, the Convention of 1984, the First Protocol of 1988, the Second Protocol of 1988 and the Convention of 1992 in the Danish, Dutch, English, French, German, Greek, Irish, Italian, Spanish and Portuguese languages to the Governments of the Republic of Austria, the Republic of Finland and the Kingdom of Sweden.

2. The text of the Convention of 1980, the Convention of 1984, the First Protocol of 1988, the Second Protocol of 1988 and the Convention of 1992 in the Finnish and Swedish languages shall be authentic under the same conditions as the other texts of the Convention of 1980, the Convention of 1984, the First Protocol of 1988, the Second Protocol of 1988 and the Convention of 1992.'

*'Article 8*

This Convention, drawn up in a single original in the Danish, Dutch, English, Finnish, French, German, Greek, Irish, Italian, Portuguese, Spanish and Swedish languages, all 12 texts being equally authentic, shall be deposited in the archives of the General Secretariat of the Council of the European Union. The Secretary-General shall transmit a certified copy to the Government of each signatory State.'

**PROTOCOL<sup>(1)</sup>**

The High Contracting Parties have agreed upon the following provision which shall be annexed to the Convention:

‘Notwithstanding the provisions of the Convention, Denmark, Sweden and Finland may retain national provisions concerning the law applicable to questions relating to the carriage of goods by sea and may amend such provisions without following the procedure provided for in Article 23 of the Convention of Rome. The national provisions applicable in this respect are the following:

- in Denmark, paragraphs 252 and 321 (3) and (4) of the “Solov” (maritime law),
- in Sweden, Chapter 13, Article 2 (1) and (2), and Chapter 14, Article 1 (3), of “sjölagen” (maritime law),
- in Finland, Chapter 13, Article 2 (1) and (2), and Chapter 14, Article 1 (3), of “merilaki”/“sjölagen” (maritime law).’

In witness whereof the undersigned, being duly authorized thereto, have signed this Protocol.

Done at Rome on the nineteenth day of June in the year one thousand nine hundred and eighty.

*[Signatures of the Plenipotentiaries]*

\_\_\_\_\_

---

<sup>(1)</sup> Text as amended by the 1996 Accession Convention.

## JOINT DECLARATION

At the time of the signature of the Convention on the law applicable to contractual obligations, the Governments of the Kingdom of Belgium, the Kingdom of Denmark, the Federal Republic of Germany, the French Republic, Ireland, the Italian Republic, the Grand Duchy of Luxembourg, the Kingdom of the Netherlands and the United Kingdom of Great Britain and Northern Ireland,

- I. anxious to avoid, as far as possible, dispersion of choice of law rules among several instruments and differences between these rules, express the wish that the institutions of the European Communities, in the exercise of their powers under the Treaties by which they were established, will, where the need arises, endeavour to adopt choice of law rules which are as far as possible consistent with those of this Convention;
- II. declare their intention as from the date of signature of this Convention until becoming bound by Article 24, to consult with each other if any one of the signatory States wishes to become a party to any convention to which the procedure referred to in Article 24 would apply;
- III. having regard to the contribution of the Convention on the law applicable to contractual obligations to the unification of choice of law rules within the European Communities, express the view that any State which becomes a member of the European Communities should accede to this Convention.

In witness whereof the undersigned, being duly authorized thereto, have signed this Joint Declaration.

Done at Rome on the nineteenth day of June in the year one thousand nine hundred and eighty.

*[Signatures of the Plenipotentiaries]*

---

## JOINT DECLARATION

The Governments of the Kingdom of Belgium, the Kingdom of Denmark, the Federal Republic of Germany, the French Republic, Ireland, the Italian Republic, the Grand Duchy of Luxembourg, the Kingdom of the Netherlands and the United Kingdom of Great Britain and Northern Ireland,

On signing the Convention on the law applicable to contractual obligations;

Desiring to ensure that the Convention is applied as effectively as possible;

Anxious to prevent differences of interpretation of the Convention from impairing its unifying effect;

Declare themselves ready:

1. to examine the possibility of conferring jurisdiction in certain matters on the Court of Justice of the European Communities and, if necessary, to negotiate an agreement to this effect;
2. to arrange meetings at regular intervals between their representatives.

In witness whereof the undersigned, being duly authorized thereto, have signed this Joint Declaration.

Done at Rome on the nineteenth day of June in the year one thousand nine hundred and eighty.

*[Signatures of the Plenipotentiaries]*

---

FIRST PROTOCOL<sup>(1)</sup>

on the interpretation by the Court of Justice of the European Communities of the Convention on the law applicable to contractual obligations, opened for signature in Rome on 19 June 1980

THE HIGH CONTRACTING PARTIES TO THE TREATY ESTABLISHING THE EUROPEAN ECONOMIC COMMUNITY,

HAVING REGARD to the Joint Declaration annexed to the Convention on the law applicable to contractual obligations, opened for signature in Rome on 19 June 1980,

HAVE DECIDED to conclude a Protocol conferring jurisdiction on the Court of Justice of the European Communities to interpret that Convention, and to this end have designated as their Plenipotentiaries:

*[Plenipotentiaries designated by the Member States]*

WHO, meeting within the Council of the European Communities, having exchanged their full powers, found in good and due form,

HAVE AGREED AS FOLLOWS:

*Article 1*

The Court of Justice of the European Communities shall have jurisdiction to give rulings on the interpretation of:

- (a) the Convention on the law applicable to contractual obligations, opened for signature in Rome on 19 June 1980, hereinafter referred to as 'the Rome Convention';
- (b) the Convention on accession to the Rome Convention by the States which have become Members of the European Communities since the date on which it was opened for signature;
- (c) this Protocol.

*Article 2*

Any of the courts referred to below may request the Court of Justice to give a preliminary ruling on a question raised in a case pending before it and concerning interpretation of the provisions contained in the instruments referred to in Article 1 if that court considers that a decision on the question is necessary to enable it to give judgment:

- (a) — in Belgium:  
     'la Cour de cassation' ('het Hof van Cassatie')  
     and 'le Conseil d'État' ('de Raad van State'),

- in Denmark:  
     'Højesteret',
- in the Federal Republic of Germany:  
     'die obersten Gerichtshöfe des Bundes',
- in Greece:  
     'Τα ανώτατα Δικαστήρια',
- in Spain:  
     'el Tribunal Supremo',
- in France:  
     'la Cour de cassation' and 'le Conseil d'État',
- in Ireland:  
     the Supreme Court,
- in Italy:  
     'la Corte suprema di cassazione' and 'il Consiglio di Stato',
- in Luxembourg:  
     'la Cour Supérieure de Justice', when sitting as  
     'Cour de cassation',
- in Austria:  
     the 'Oberste Gerichtshof', the 'Verwaltungsgerichtshof' and the 'Verfassungsgerichtshof',
- in the Netherlands:  
     'de Hoge Raad',
- in Portugal:  
     'ο Supremo Tribunal de Justiça' and 'ο Supremo Tribunal Administrativo',

<sup>(1)</sup> Text as amended by the 1996 Accession Convention.

— in Finland:

‘korkein oikeus/högsta domstolen’, ‘korkein hallinto-oikeus/högsta förvaltningsdomstolen’, ‘markkinatuomioistuin/marknadsdomstolen’ and ‘työtuomioistuin/arbetsdomstolen’,

— in Sweden:

‘Högsta domstolen’, ‘Regeringsrätten’, ‘Arbetsdomstolen’ and ‘Marknadsdomstolen’,

— in the United Kingdom:

the House of Lords and other courts from which no further appeal is possible;

(b) the courts of the Contracting States when acting as appeal courts.

### Article 3

1. The competent authority of a Contracting State may request the Court of Justice to give a ruling on a question of interpretation of the provisions contained in the instruments referred to in Article 1 if judgments given by courts of that State conflict with the interpretation given either by the Court of Justice or in a judgment of one of the courts of another Contracting State referred to in Article 2. The provisions of this paragraph shall apply only to judgments which have become *res judicata*.

2. The interpretation given by the Court of Justice in response to such a request shall not affect the judgments which gave rise to the request for interpretation.

3. The Procurators-General of the Supreme Courts of Appeal of the Contracting States, or any other authority designated by a Contracting State, shall be entitled to request the Court of Justice for a ruling on interpretation in accordance with paragraph 1.

4. The Registrar of the Court of Justice shall give notice of the request to the Contracting States, to the Commission and to the Council of the European Communities; they shall then be entitled within two months of the notification to submit statements of case or written observations to the Court.

5. No fees shall be levied or any costs or expenses awarded in respect of the proceedings provided for in this Article.

### Article 4

1. Except where this Protocol otherwise provides, the provisions of the Treaty establishing the European Economic Community and those of the Protocol on the Statute of the Court of Justice annexed thereto, which are applicable when the Court is requested to give a preliminary ruling, shall also apply to any proceedings for the interpretation of the instruments referred to in Article 1.

2. The Rules of Procedure of the Court of Justice shall, if necessary, be adjusted and supplemented in accordance with Article 188 of the Treaty establishing the European Economic Community.

### Article 5<sup>(1)</sup>

This Protocol shall be subject to ratification by the Signatory States. The instruments of ratification shall be deposited with the Secretary-General of the Council of the European Communities.

### Article 6<sup>(2)</sup>

1. To enter into force, this Protocol must be ratified by seven States in respect of which the Rome Convention is in force. This Protocol shall enter into force on the first day of the third month following the deposit of the instrument of ratification by the last such State to take this step. If, however, the Second Protocol conferring on the Court of Justice of the European Communities certain powers to interpret the Convention on the law applicable to contractual obligations, opened for signature in Rome on 19 June 1980, concluded in Brussels on 19 December 1988<sup>(3)</sup> enters into force on a later date, this Protocol shall enter into force on the date of entry into force of the Second Protocol.

2. Any ratification subsequent to the entry into force of this Protocol shall take effect on the first day of the third month following the deposit of the instrument of ratification, provided that the ratification, acceptance or approval of the Rome Convention by the State in question has become effective.

### Article 7<sup>(4)</sup>

The Secretary-General of the Council of the European Communities shall notify the Signatory States of:

- (a) the deposit of each instrument of ratification;
- (b) the date of entry into force of this Protocol;
- (c) any designation communicated pursuant to Article 3 (3);
- (d) any communication made pursuant to Article 8.

### Article 8

The Contracting States shall communicate to the Secretary-General of the Council of the European Communities the texts of any provisions of their laws which necessitate an amendment to the list of courts in Article 2 (a).

<sup>(1)</sup> See footnote 2 on page 41.

<sup>(2)</sup> See footnote 3 on page 41.

<sup>(3)</sup> See page 44.

<sup>(4)</sup> See footnote 2 on page 42.

*Article 9*

This Protocol shall have effect for as long as the Rome Convention remains in force under the conditions laid down in Article 30 of that Convention.

*Article 10*

Any Contracting State may request the revision of this Protocol. In this event, a revision conference shall be convened by the President of the Council of the European Communities.

*Article 11<sup>(1)</sup>*

This Protocol, drawn up in a single original in the Danish, Dutch, English, French, German, Greek, Irish, Italian, Portuguese and Spanish languages, all 10 texts being equally authentic, shall be deposited in the archives of the General Secretariat of the Council of the European Communities. The Secretary-General shall transmit a certified copy to the Government of each Signatory State.

In witness whereof, the undersigned Plenipotentiaries have affixed their signatures below this Protocol.

Done at Brussels on the nineteenth day of December in the year one thousand nine hundred and eighty-eight.

*[Signatures of the Plenipotentiaries]*

\_\_\_\_\_

<sup>(1)</sup> See footnote 4 on page 42.

## JOINT DECLARATIONS

### Joint Declaration

The Governments of the Kingdom of Belgium, the Kingdom of Denmark, the Federal Republic of Germany, the Hellenic Republic, the Kingdom of Spain, the French Republic, Ireland, the Italian Republic, the Grand Duchy of Luxembourg, the Kingdom of the Netherlands, the Portuguese Republic and the United Kingdom of Great Britain and Northern Ireland,

On signing the First Protocol on the interpretation by the Court of Justice of the European Communities of the Convention on the law applicable to contractual obligations, opened for signature in Rome on 19 June 1980,

Desiring to ensure that the Convention is applied as effectively and as uniformly as possible,

Declare themselves ready to organize, in cooperation with the Court of Justice of the European Communities, an exchange of information on judgments which have become *res judicata* and have been handed down pursuant to the Convention on the law applicable to contractual obligations by the courts referred to in Article 2 of the said Protocol. The exchange of information will comprise:

- the forwarding to the Court of Justice by the competent national authorities of judgments handed down by the courts referred to in Article 2 (a) and significant judgments handed down by the courts referred to in Article 2 (b),
- the classification and the documentary exploitation of these judgments by the Court of Justice including, as far as necessary, the drawing up of abstracts and translations, and the publication of judgments of particular importance,
- the communication by the Court of Justice of the documentary material to the competent national authorities of the States parties to the Protocol and to the Commission and the Council of the European Communities.

In witness whereof, the undersigned Plenipotentiaries have affixed their signature below this Joint Declaration.

Done at Brussels on the nineteenth day of December in the year one thousand nine hundred and eighty-eight.

*[Signatures of the Plenipotentiaries]*

—

### Joint Declaration

The Governments of the Kingdom of Belgium, the Kingdom of Denmark, the Federal Republic of Germany, the Hellenic Republic, the Kingdom of Spain, the French Republic, Ireland, the Italian Republic, the Grand Duchy of Luxembourg, the Kingdom of the Netherlands, the Portuguese Republic and the United Kingdom of Great Britain and Northern Ireland,

On signing the First Protocol on the interpretation by the Court of Justice of the European Communities of the Convention on the law applicable to contractual obligations, opened for signature in Rome on 19 June 1980,

Having regard to the Joint Declaration annexed to the Convention on the law applicable to contractual obligations,

Desiring to ensure that the Convention is applied as effectively and as uniformly as possible,

Anxious to prevent differences of interpretation of the Convention from impairing its unifying effect,

Express the view that any State which becomes a member of the European Communities should accede to this Protocol.

In witness whereof, the undersigned Plenipotentiaries have affixed their signatures below this Joint Declaration.

Done at Brussels on the nineteenth day of December in the year one thousand nine hundred and eighty-eight.

*[Signatures of the Plenipotentiaries]*

\_\_\_\_\_

## SECOND PROTOCOL

conferring on the Court of Justice of the European Communities certain powers to interpret the Convention on the law applicable to contractual obligations; opened for signature in Rome on 19 June 1980

THE HIGH CONTRACTING PARTIES TO THE TREATY ESTABLISHING THE EUROPEAN ECONOMIC COMMUNITY,

WHEREAS the Convention on the law applicable to contractual obligations, opened for signature in Rome on 19 June 1980, hereinafter referred to as 'the Rome Convention', will enter into force after the deposit of the seventh instrument of ratification, acceptance or approval;

WHEREAS the uniform application of the rules laid down in the Rome Convention requires that machinery to ensure uniform interpretation be set up and whereas to that end appropriate powers should be conferred upon the Court of Justice of the European Communities, even before the Rome Convention enters into force with respect to all the Member States of the European Economic Community,

HAVE DECIDED to conclude this Protocol and to this end have designated as their Plenipotentiaries:

*[Plenipotentiaries designated by the Member States]*

WHO, meeting within the Council of the European Communities, having exchanged their full powers; found in good and due form,

HAVE AGREED AS FOLLOWS:

*Article 1*

1. The Court of Justice of the European Communities shall, with respect to the Rome Convention, have the jurisdiction conferred upon it by the First Protocol on the interpretation by the Court of Justice of the European Communities of the Convention on the law applicable to contractual obligations, opened for signature in Rome on 19 June 1980, concluded in Brussels on 19 December 1988<sup>(1)</sup>. The Protocol on the Statute of the Court of Justice of the European Communities and the Rules of Procedure of the Court of Justice shall apply.

2. The Rules of Procedure of the Court of Justice shall be adapted and supplemented as necessary in accordance with Article 188 of the Treaty establishing the European Economic Community.

*Article 2<sup>(2)</sup>*

This Protocol shall be subject to ratification by the Signatory States. The instruments of ratification shall be

deposited with the Secretary-General of the Council of the European Communities.

*Article 3<sup>(3)</sup>*

This Protocol shall enter into force on the first day of the third month following the deposit of the instrument of ratification of the last Signatory State to complete that formality.

*Article 4<sup>(4)</sup>*

This Protocol, drawn up in a single original in the Danish, Dutch, English, French, German, Greek, Irish, Italian, Portuguese and Spanish languages, all 10 texts being equally authentic, shall be deposited in the archives of the General Secretariat of the Council of the European Communities. The Secretary-General shall transmit a certified copy to the Government of each signatory.

<sup>(1)</sup> See page 34.

<sup>(2)</sup> See footnote 2 on page 41.

<sup>(3)</sup> See footnote 3 on page 41.

<sup>(4)</sup> See footnote 4 on page 42.

In witness whereof, the undersigned Plenipotentiaries have affixed their signature below this Protocol.

Done at Brussels on the nineteenth day of December in the year one thousand nine hundred and eighty-eight.

*[Signatures of the Plenipotentiaries]*

---