General Principles of EU Law and European Private Law

Edited by

Ulf Bernitz
Xavier Groussot &
Felix Schulyok

EUROPEAN MONOGRAPHS

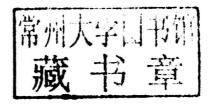
84



General Principles of EU Law and European Private Law

Edited by

Ulf Bernitz Xavier Groussot Felix Schulyok





Published by:
Kluwer Law International
PO Box 316
2400 AH Alphen aan den Rijn
The Netherlands
Website: www.kluwerlaw.com

Sold and distributed in North, Central and South America by:
Aspen Publishers, Inc.
7201 McKinney Circle
Frederick, MD 21704
United States of America
Email: customer.service@aspenpublishers.com

Sold and distributed in all other countries by: Turpin Distribution Services Ltd Stratton Business Park Pegasus Drive, Biggleswade Bedfordshire SG18 8TQ United Kingdom Email: kluwerlaw@turpin-distribution.com

Printed on acid-free paper.

ISBN 978-90-411-4683-0

©2013 Kluwer Law International BV, The Netherlands

All rights reserved. No part of this publication may be reproduced, stored in a retrieval system, or transmitted in any form or by any means, electronic, mechanical, photocopying, recording, or otherwise, without written permission from the publisher.

Permission to use this content must be obtained from the copyright owner. Please apply to: Permissions Department, Wolters Kluwer Legal, 76 Ninth Avenue, 7th Floor, New York, NY 10011-5201, USA. Email: permissions@kluwerlaw.com

Printed and Bound by CPI Group (UK) Ltd, Croydon, CR0 4YY.

General Principles of EU Law and European Private Law

EUROPEAN MONOGRAPHS

In the European Monographs series this book, *General Principles of EU Law and European Private Law* is the eighty-fourth title. The titles published in this series are listed at the end of this volume.

此为试读,需要完整PDF请访问: www.ertongbook.com

List of Editors and Contributors

Helene Andersson is currently a Doctoral Candidate at Stockholm University, after having worked in private practice for twelve years, specializing in competition law. In her research she focuses on the enforcement of EU Competition rules from a fundamental rights perspective. She published a number of articles in journals such as the ECLR, Concurrences and the GCLR (Global Competition Litigation Review).

Joxerramon Bengoetxea (Ph.D. Edinburgh) is professor titular of Jurisprudence and Sociology of Law in the University of the Basque Country where he coordinates the ehuGune project on interaction between Academia and Civil Society in current social issues and teaches EU law and Comparative Legal Cultures. He is actively involved with the International Institute for the Sociology of Law at Oñati and the Centre of Excellence on Foundations of European Law and Polity of the University of Helsinki.

Ulf Bernitz is Professor of European Law at Stockholm University. He is also a fellow of St Hilda's College, Oxford and Director of the Oxford/Stockholm Venture in European Law. He has published an extensive amount of works in the field, as well as in civil law. He is former chair and currently a member of the Swedish Network for European Legal Studies, chair of the Swedish Association of European Law and a former President of FIDE.

Guido Comparato is a post-doctoral researcher at the European University Institute in Florence in the framework of the research project 'European Regulatory Private Law: the transformation of European private law from autonomy to functionalism in competition and regulation'. He was a doctoral researcher at the Centre for the Study of European Contract Law at the University of Amsterdam from 2008 until 2012 in the framework of the research project 'National resistance against the Europeanization of private law'. Bachelor and Master of Laws from the University of Ferrara, Italy (2005 and 2008). Current research interests include private law theory and European private law.

Wouter Devroe is full professor of law at KU Leuven and professor of Competition law at Maastricht University. He previously clerked at the ECJ and is a member of the Belgian national competition authority. Publications and legal practice focus on national and EU economic and competition law. He co-manages the 'Ius commune casebooks for the common law of Europe' (www.casebooks.eu). As an attorney (Brussels Bar, Allen & Overy LLP) he pleads before national and EU authorities and courts (a.o. in Cases C-45/08 Spector, C-439/08 VEBIC and C-17/10 Toshiba).

Ian S. Forrester QC LLD practises European law with White & Case in Brussels. Admitted: Faculty of Advocates (the Scottish Bar) (1972), New York State Bar (1977), English Bar (1996), Brussels Bar (1998). Appointed Queen's Counsel (1988), Visiting Professor (1991), Honorary Professor and Honorary Doctor of Laws (2009), Glasgow University. Arbitrator under the rules of the ICC and ICSID. Master of the Bench, Middle Temple. Head of White & Case's worldwide pro bono practice. Academic teacher and author of some 100 articles or chapters on European legal and policy topics, in particular competition, customs, dumping, pharmaceuticals, sport, the precautionary principle, and human rights. From 2009 to 2013, has published several articles on due process in competition cases. Has participated in many competition cases before the European Courts, European Commission and national courts and agencies, including Government of Gibraltar v. Council; Magill; Bosman; Microsoft; IMS; Pfizer Animal Health; Glaxo Spain; Syfait et al. v. GlaxoSmithKline; Les Laboratoires Servier; A and Others v. National Blood Authority; Halcor.

Xavier Groussot is professor of EU Law at Lund University and guest professor at the European College of Paris (Université Panthéon-Assas, Paris II). His fields of research are related to EU constitutional law, free movement and procedural law.

Arthur Hartkamp obtained his Doctorate at the University of Amsterdam in 1971 after studies in law in Amsterdam, Munich and Rome. He worked previously in the Civil Code Revision Office, Dutch Ministry of Justice (1974–1989) and was Advocate General and Procureur-General at the Supreme Court of The Netherlands (1986–2006). He is Professor of European Private Law, Radboud University Nijmengen (2006 to date) and first Vice-President of UNIDROIT. Arthur Hartkamp is author of a treatise in several volumes on the Dutch Law of Obligations (8 editions) and of (inter alia) European Law and National Private Law. Effect of EU Law and Human Rights Law on Legal relationships between Individuals (Kluwer 2012).

Marijn W Hesselink is Professor of European Private Law and Director of the Centre for the Study of European Contract Law at the University of Amsterdam. He studied law at the University of Amsterdam and Panthéon-Assas (Paris II) and obtained his doctorate at the University of Utrecht. He is an editor of the European Review of Contract Law and a member of the European Commission's expert group on European contract law. He is also a deputy justice at the Court of Appeal in Amsterdam.

Dorota Leczykiewicz is Leverhulme Trust Early Career Fellow in the Faculty of Law and a Fellow of Trinity College, University of Oxford. Her research interests include EU fundamental rights, comparative private law and the EU law of remedies. She is the author of 'Horizontal Application of the Charter of Fundamental Rights' (2013) 38 European Law Review 479, "Where Angels Fear to Tread": The EU Law of Remedies and Codification of European Private Law' (2012) 8 European Review of Contract Law 47, and "Effective Judicial Protection" of Human Rights after Lisbon: Should National Courts Be Empowered to Review EU Secondary Law?" (2010) 35 European Law Review 326.

Robert van Mastrigt (B.A. (Hons.)) is a LL.M. student in the Master Programme European Law of Utrecht University. After he obtained his Bachelor degree in Law with honours (cum laude) he was one of the few students who were selected for the honours programme of the Master European Law.

Hans-W. Micklitz is Professor for Economic Law at the European University Institute since 2007, since 2012 Head of Department, and Jean Monnet Chair of Private Law and European Economic Law at the University of Bamberg, Germany, on leave. He is holder

of an ERC Grant 2011–2016 on European Regulatory Private Law. His main field of activities are European Law, European Private and Consumer Law.

Peter Oliver is a Legal Advisor in the European Commission. He worked as *référéndaire* for Advocate General Slynn from 1983 to 1986. He holds a Ph.D. from Cambridge University and is a Visiting Professor at the Université Libre de Bruxelles. He is the author of over sixty-five publications on EU law, including 'Free Movement of Goods in the European Union' (5th ed., Hart Publishing, 2010). He is currently working on a book entitled 'The Fundamental Rights of Corporations' (Hart Publishing).

Juha Raitio is Professor of European Law at the University of Helsinki, Finland. Previously he has worked as a Professor of European law at the University of Joensuu. He has written various books and articles in the field of EU law and legal theory. For example, his monograph 'The Principle of Legal Certainty in EC Law' (2003) has been published by Kluwer Academic Publishers' Law and Philosophy series. Currently his main research interest relates to Internal Market Law as well as EU Constitutional law. He is President of the Finnish European Law Association and Member of the Steering Group in the Nordic Network for European Legal Studies.

Norbert Reich is Emeritus professor of German and European Civil and Economic Law at the University of Bremen. He is now a visiting professor at the University of Groningen/NL and has held similar prior positions at Montpellier, Lucerne, Keele/UK, Tartu/Estonia, Vilnius/Lithuania. He was Rector of the Riga Graduate School of Law from 2001–2004 and Fernard Braudel Senior Fellow at the EUI Florence in 2009. Main publications: (with Hans Micklitz and Peter Rott) Understanding EU Consumer Law, 2009; Understanding EU Internal Market Law, 3rd ed. 2013 forthcoming.

Marek Safjan, born 1949; Doctor of Law (University of Warsaw, 1980); habilitated Doctor in Legal Science (University of Warsaw, 1990); Professor of Law (1998); Director of the Civil Law Institute of the University of Warsaw (1992–1996); Vice-Rector of the University of Warsaw (1994–1997); Secretary General of the Polish Section of the Henri Capitant Association of Friends of French Legal Culture (1994–1998); representative of Poland on the Bioethics Committee of the Council of Europe (1991-1997); Judge (1997–1998), then President (1998–2006), of the Constitutional Court; member (since 1994) and Vice-President (since 2010) of the International Academy of Comparative Law, member of the International Association of Law, Ethics and Science (since 1995), member of the Helsinki Committee in Poland; member of the Polish Academy of Arts and Sciences; Pro Merito Medal conferred by the Secretary General of the Council of Europe (2007); author of a very large number of publications in the fields of civil law, medical law and European law; Doctor honoris causa of the European University Institute (2012); Judge at the Court of Justice of the European Union since 7 October 2009.

Felix Schulyok is currently Ph.D. candidate at Copenhagen University, after having studied law at Vienna University (Mag.iur. in Austrian law) and Lund University (LL.M. in European Business Law). In his current research he focuses on the scope of application of EU law, especially EU fundamental rights, and questions of horizontal effects, as well as on EU Citizenship. He published a number of articles on different questions of EU law, ranging from VAT law over Trade Mark law to EU Citizenship and EU fundamental rights.

Carla Sieburgh is professor of Private law, in particular the influences of European Law on national private law (Radboud University Nijmegen, 2003). She has degrees in both medicine and law. After having obtained her doctorate in law (2000, cum laude) she was until 2003 law clerk of the Procureur-Général at the Supreme Court of The

Netherlands. Since 2001 she is also part time Alternate Judge in the Amsterdam Court of Appeal. Since 2010, she is a member of the Royal Netherlands Academy of Arts and Sciences. Her most significant field of research is the confrontation and interaction of European law and private law and the growing influence of Europe on private law. One of her current research projects is the lus Commune Casebook on Horizontal effects of primary EU law. See for a short impression *Juridical pioneering/Fast facts*, video with introduction to field of research, November 2011, http://www.youtube.com/watch?v=r2jx6lo-vkA.

Ingeborg Simonsson is one of Sweden's leading experts in competition law. She is a judge in the Stockholm City Court, and Ph.D. and associate professor in competition law at Stockholm University. Her previous work experience includes several years in private practice and five years as a full time academic.

John Temple Lang is Professor of law at Trinity College Dublin, and Senior Visiting Research Fellow at Oxford University. He was a Director at the Directorate General Competition of the European Commission from 1989 to 2000 and before that worked in the Legal Service of the European Commission, and in private practice. He has an LL.D. degree from Trinity College Dublin, and an honorary doctorate in law from the University of Lund. He has published a book and more than 300 articles, mostly on European law, and has appeared in many cases before the European Courts. In 2000 he joined Cleary Gottlieb Steen & Hamilton LLP in Brussels.

Takis Tridimas is the Sir John Lubbock Professor of Banking Law at the Centre for Commercial Law Studies, Queen Mary University of London. He is also the Nancy A. Patterson Distinguished Faculty Scholar and Professor at Pennsylvania State University. He is a barrister at Matrix Chambers. He is the author of numerous publications including *The General Principles of EU Law* (2nd Ed., Oxford, 2006). He has acted as advisor to EU institutions and public and private organizations. He was senior legal adviser to the EU Presidency (2003) and Chairman of the Committee set up by the EU Council of Ministers to draft the Treaty of Accession of 2003.

Sybe de Vries (Ph.D.) is the Jean Monnet Chair in EU Single Market Law & Fundamental Rights at the Europa Institute, Utrecht University. In 2006, he obtained his Ph.D. at Utrecht University for his dissertation 'Tensions within the Internal Market – The Functioning of the Internal Market and the Development of Horizontal and Flanking Policies'. In 2010 he was a visiting researcher at the Institute of European and Comparative Law of the University of Oxford. His research has focused on the protection of fundamental rights within the EU internal market. He has authored and co-authored a number of articles in law journals and books in the field of European law and public economic law. He was the co-editor of the book *The protection of fundamental rights in the EU After Lisbon*, Oxford: Hart Publishing, 2013 (with S. Weatherill and U. Bernitz).

Angela Ward is a référendaire in the Cabinet of Advocate General Niilo Jääskinen at the Court of Justice of the European Union. Prior to joining the Court she was in practice in the Bars of England and Wales and Ireland, specialising in EU law and Human Rights. She has held several academic posts, and is currently a Visiting Professor at Birkbeck College, University of London. She is a founding editor of the Cambridge Yearbook of European Legal Studies, and is the author of around thirty publications on EU Law, including 'Judicial Review and the Rights of Private Parties in EU Law' (OUP, 2007).

Preface

This volume on the General Principles of EU Law and European Private Law deals with an area of European law of particular complexity and ever growing importance. Due to their nature, the general principles offer a more or less unlimited field for legal studies, at the same time as they play a rapidly increasing role in legal practice. The first volume on General Principles of EC Law was published in the year 2000, based on an international conference held in Malmö, Sweden in 1999. The second volume, General Principles of EC Law in a Process of Development, based on a conference in Stockholm in 2007, was published in 2008. They dealt primarily with general principles from the perspective of human rights and administrative law. Both volumes have been very well received and are often cited; the first volume has been sold out.

This third volume has another focus, namely the role of general principles in the ongoing development of European private law. The vision behind the volume, its main structure and core features of its eighteen articles are presented by the editors in an introductory chapter. The other chapters are centered around four main themes: the methodology in the elaboration of private law principles within union law, the constitutionalization of private autonomy, horizontal direct effect of general principles and the role of general principles in competition law. As an overriding conclusion, there is reason to stress the colossal potential and impact of the EU Charter of Fundamental Rights in relations between private parties. Like the previous volumes, the contributions in the book also demonstrate the fundamental role of the general principles in the successive creation of a *jus commune europaeum*.

As a platform for the preparation of this book, The Swedish Network for European Legal Studies organized in Lidingö, just outside Stockholm, in 8–9 November 2012, an international conference on the subject. Invited as speakers were a mixture of eminent and well known experts, many of whom had taken part already in the previous general principles conferences, and a selection of younger scholars in the field. We had two days of most fruitful exchange of ideas based on excellent papers. Although this

volume is based on a selection of the papers presented at the conference, all papers have been rewritten and edited extensively before publication.

The object of the Swedish Network for European Legal Studies (Snels) is to establish an independent forum that will allow researchers to meet, discuss and open up new paths of investigation within the field of European law, on national and European level. The Network, funded by public means allocated by the Swedish Parliament, arranges conferences, symposia and seminars and actively supports the publishing of research material. More information about the Network can be found at www.snef.se

I wish to thank my co-organizers and co-editors Xavier Groussot, Professor of European Law at Lund University and doctoral candidate in European law Felix Schulyok, Copenhagen University for all their intellectual efforts in preparing the project. Felix has been instrumental also in the more practical parts of the process and its successful completion. We also wish to thank Professor Antonina Bakardjieva Engelbrekt, Professor of European Law at Stockholm University and chair of the Network for the strong support of the project offered by the Network.

Ulf Bernitz Professor of European Law at Stockholm University

Summary of Contents

List of Editors and Contributors	V
Preface	XXV
Vision, Essence and Narratives of General Principles and European Private Law: An Introduction Ulf Bernitz, Xavier Groussot & Felix Schulyok	1
Part I: Methodology in the Elaboration of Private Law Principles	
CHAPTER 1 Private Law Principles, Pluralism and Perfectionism Martijn W. Hesselink	21
CHAPTER 2 General Legal Principles Navigating Space and Time Joxerramon Bengoetxea	45
CHAPTER 3 Emerging European General Principles in Private Law John Temple Lang	65
Part II: The Constitutionalization of Private Autonomy	
CHAPTER 4 Regulated Autonomy between Market Freedoms and Fundamental Rights in the Case Law of the CJEU Guido Comparato & Hans-W. Micklitz	121

Summary of Contents

CHAPTER 5 European Law versus Private Law: Transformation or Deformation of the Paradigm? Marek Safjan	155
CHAPTER 6 Horizontal Effect of Fundamental Rights: In Search of Social Justice or Private Autonomy in EU Law? Dorota Leczykiewicz	171
Part III: Horizontal Direct Effect	
CHAPTER 7 The Concept of (Direct and Indirect) Horizontal Effect of EU Law: The Terminology of European Law Scholars and of Private Law Scholars Compared Arthur Hartkamp	189
Chapter 8 The Expectation of Legal Certainty and Horizontal Effect of EU Law Juha Raitio	199
CHAPTER 9 Horizontal Effect of General Principles: Bold Rulings and Fine Distinctions Takis Tridimas	213
CHAPTER 10 General Principles and the Charter in Private Law Relationships: Constructive and Critical Input from Private Law Carla Sieburgh	233
CHAPTER 11 The Horizontal Direct Effect of the Four Freedoms: From a Hodgepodge of Cases to a Seamless Web of Judicial Protection in the EU Single Market? Sybe de Vries & Robert van Mastrigt	249
CHAPTER 12 What Purpose Does Article 16 of the Charter Serve? Peter Oliver	28

CHAPTER 13 The Principle of Effectiveness and EU Private Law Norbert Reich	301
CHAPTER 14 Remedies under the EU Charter in the Context of Disputes Arising in Private Law Angela Ward	327
Part IV: Competition Law and General Principles	
CHAPTER 15 From Regulation 17/62 to Article 52 of the Charter of Fundamental Rights Ian S.Forrester	343
CHAPTER 16 Judicial Review after <i>Menarini</i> : Any Need for Reform of the EU System? <i>Helene Andersson</i>	373
CHAPTER 17 Data Mirroring during Dawn-Raids: Right to Judicial Review Ingeborg Simonsson	387
CHAPTER 18 How General Should General Principles Be? Ne Bis in Idem in EU Competition Law Wouter Devroe	401
Table of Cases	443

Table of Contents

List of E	ditors and Contributors	V
Preface		XXV
Private l	Essence and Narratives of General Principles and European Law: An Introduction	1
Ulf Bern	itz, Xavier Groussot & Felix Schulyok	1
I	The Vision [A] Issue 1: Methodology [B] Issue 2: Horizontal Effect [C] Issue 3: Private Law and General Principles of EU Law [D] Concluding Remarks	1 2 2 2
III	Essence and Narratives of General Principles and European Private Law [A] First Narrative: Methodology in the Elaboration of Private Law Principles [B] Second Narrative: The Constitutionalization of Private Autonomy [C] Third Narrative: Horizontal Direct Effect [D] Fourth Narrative: Competition Law and General Principles Conclusion: The Impact of the Charter on Private Parties	3 4 5 7 10 12
Part I:	Methodology in the Elaboration of Private Law Principles	
	1 Law Principles, Pluralism and Perfectionism W. Hesselink	21
§1.01 §1.02 §1.03	The Quest for General Principles in a Pluralist World Structural Pluralism Political Principles of Private Law	21 25 31

Table of Contents

§1.04 §1.05 §1.06	The Inclusion of the Other A Perfectionist Code of Principles Legitimate Private Law Principles	38 40 42
	R 2 I Legal Principles Navigating Space and Time mon Bengoetxea	45
\$2.01 \$2.02 \$2.03 \$2.04 \$2.05 \$2.06	Introduction The Theory of General Principles of (EU) Law, in a Nutshell A Test-Case for General Principles: The Principle of Self-Determination Rule-Based Rights and Principle Rights General Principles of a European Legal Culture Principles and Agenda Setting	45 46 51 55 57 61
	r 3 ng European General Principles in Private Law emple Lang	65
§3.01 §3.02 §3.03 §3.04	Introduction The Sources and Characteristics of General Principles 'General Principles' and Private Law: 'Horizontal Direct Effect' National Courts' Duty of Sincere Cooperation and the Effectiveness	65 68 70
§3.05 §3.06 §3.07	Principle The European Economic Area General Principles in the Case Law of the Four European Courts This Paper	71 72 73 73
§3.08	General Principles of EU Law Binding Private Parties as Well as Member States: The Angonese and Defrenne Judgments on Discrimination [A] The Need for a Limiting Principle for Individual Discrimination Cases	74
§3.09	EU Law Principles Applying to Private Rights and Obligations under Directives	77
§3.10	The General Principles of Equivalent and Effective Protection for Rights Given by EU Law	79
§3.11	When Can a Private Party Rely against Another Private Party on an EU Law Rule that Is Primarily to Protect the Public Interest? [A] Private Enforcement of Competition Rules [B] Fruiticola: Competitors' Rights to Enforce Regulations [C] Unilever Italia: Private Reliance on Failure to Comply with Public Law	79 79 81
§3.12	Wells v. Secretary of State for Transport: Effect on Third Parties of Failure to Carry Out an Environmental Impact Assessment	84

§3.13	The French Farmers' Case and Schmidberger: The Duty of States to	
	Protect Private Rights against Interference by Other Private Parties	86
§3.14	Viking Line and Laval: Private Parties Interfering with Freedom of	07
C2 1F	Establishment and Services Directives, Directly Applicable Rules and the Effectiveness Principle	87 88
§3.15		
§3.16	Who Can Sue and What Are the Alternatives? Consumers and Environmental Organizations	90
§3.17 §3.18		93
85.10	The General Principle against Contracts Limiting the Freedom to Claim EU Law Rights for the Future	93
§3.19	Agreements That Are Contrary to EU Law	95
§3.19	A 'Fair Hearing' and General Principles that Are Basic Rules of	73
83.20	Procedural Justice	95
§3.21	A Right to Claim Rights under European Law	102
§3.22	The Principle of Consultation in Labour Law	104
§3.23	A New Kind of 'General Principles' in Private Law, Based on the	101
33.20	Consensus of National Courts	104
§3.24	Some Possible Newly Recognized Private Law General Principles:	101
30.21	Vulnerable Individuals, Diversity, and Collective Rights	106
§3.25	Is There a General Principle Imposing a Duty on Private Parties Not to	100
20.20	Interfere with the Rights of Others under the Convention and the	
	Charter?	108
§3.26	When Does the Charter Impose Legal Obligations on Private Parties?	110
§3.27	The Charter Should Be Used to Interpret National Laws	112
§3.28	If a Provision in the Charter Binds Only the State, When Has the	
	State an Enforceable Legal Obligation to Protect the Rights of the	
	Parties Whose Rights are Being Infringed against the Actions of Other	
	Private Parties?	113
§3.29	Conflicting Fundamental Private Rights	114
§3.30	In Areas Where States Have a Wide Discretion, How Much Scope	
	Is There for Developing General Principles in Private Law?	116
§3.31	Conclusion	116
Part II:	The Constitutionalization of Private Autonomy	
CHAPTER	4	
	ed Autonomy between Market Freedoms and Fundamental Rights	
	Case Law of the CJEU	
	Comparato & Hans-W. Micklitz	121
§4.01	The Constitutional Dimension of General Principles	121
§4.02	Private Autonomy as a General and a Constitutional Principle of	- 500 . 4
2	European Private Law	124
	[A] The CJEU General Principles of Private Law	125