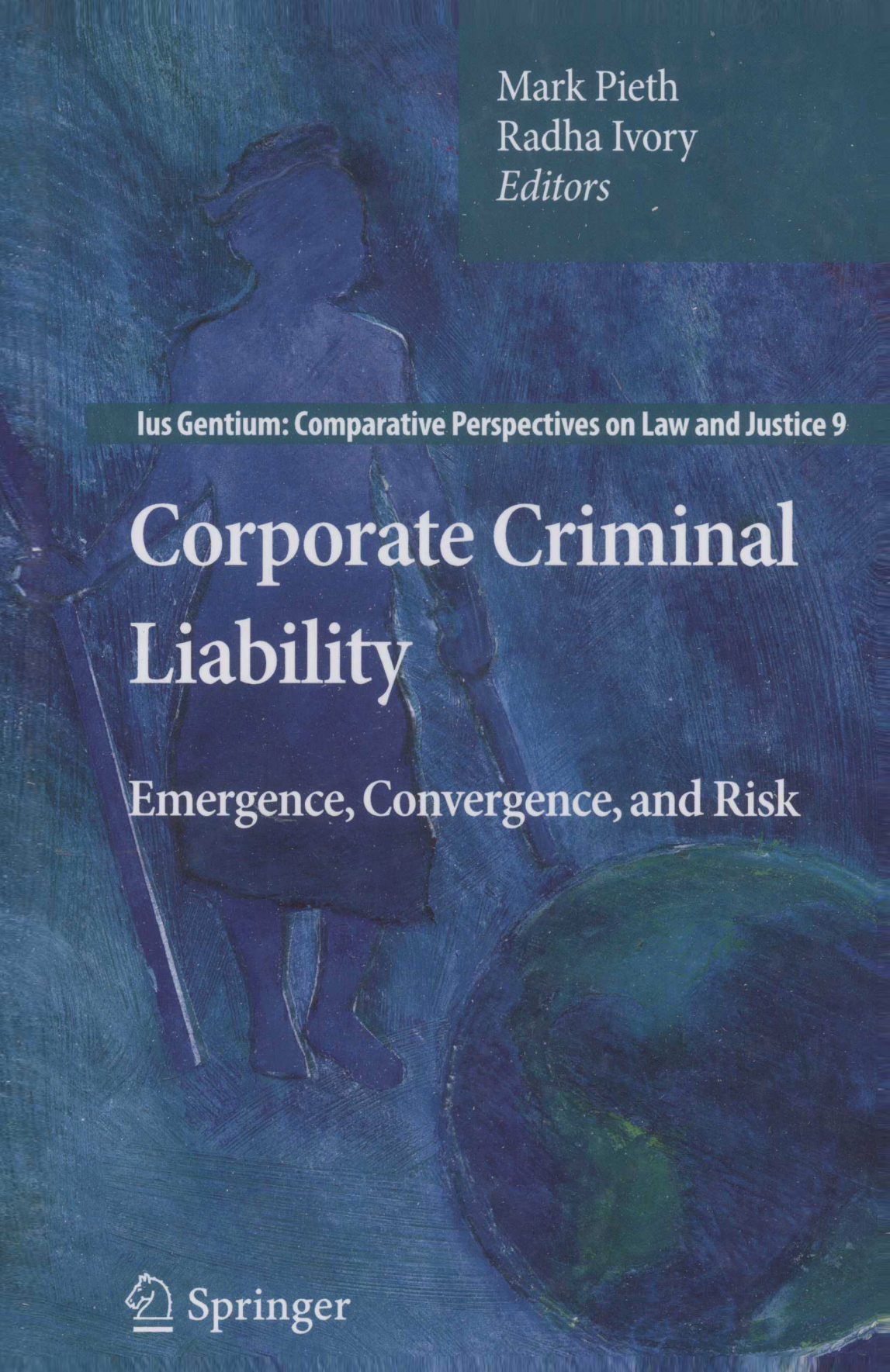


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Mark Pieth
Radha Ivory
Editors

Ius Gentium: Comparative Perspectives on Law and Justice 9

Corporate Criminal Liability

Emergence, Convergence, and Risk

CORPORATE CRIMINAL LIABILITY

EMERGENCE, CONVERGENCE,
AND RISK

Edited by
MARK PIETH
and
RADHA IVORY



 Springer

Editors

Mark Pieth
University of Basel
Faculty of Law
Peter Merian-Weg 8
4002 Basel
Switzerland
mark.pieth@unibas.ch

Radha Ivory
University of Basel
Faculty of Law
Peter Merian-Weg 8
4002 Basel
Switzerland
Radha.Ivory@unibas.ch

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CORPORATE CRIMINAL LIABILITY

IUS GENTIUM

COMPARATIVE PERSPECTIVES ON LAW AND JUSTICE

VOLUME 9

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Preface

This book is made up of the contributions of country experts and the general report on corporate criminal liability presented to the XVIIIth International Congress of Comparative Law held in Washington, DC, in the northern summer of 2010.

It was a wise decision of the organizers to invite contributions on this specific topic as it has virtually exploded over the last decade: nearly all international treaties on economic and organized crime insist on the creation of corporate criminal liability (or, if not criminal, then quasi-criminal or administrative liability). Traditional resistance to CCL in continental European and Latin American civil law jurisdictions is weakening rapidly. In parallel, common law countries are reconsidering their approaches to imputation, which seem, by turns, too strict or too restrictive. A common standard is emerging.

This preface gives me the opportunity to thank all contributors to this book as well as the team that made it possible: Nadia Barriga, Denise Berger, Marnie Dannacher, Raphaël Eckert, and Rebekka Gigon.

By far the largest contribution, though, has been made by my colleague, Radha Ivory. She has not only shared the writing to the general report, which now appears as the first chapter to this book, but she has edited all the English language texts and has had the overall responsibility for the book's production.

Last but not least, I would like to thank the publisher for its support.

Basel, October 2010

Mark Pieth

Contributors

Karel Beran Senior Lecturer, Department of Legal Theory, Charles University, Prague, Czech Republic, beran@prf.cuni.cz

Miguel Ángel Boldova Catedrático de Derecho Penal, Universidad de Zaragoza, Saragossa, España, mboldova@unizar.es

Martin Böse Professor of Criminal Law, Criminal Procedure, International and European Criminal Law, University of Bonn, Bonn, Germany, Martin.boese@uni-bonn.de

Katrin Deckert Docteur en droit, University of Paris 1 Panthéon-Sorbonne, Paris, France; Senior Research Fellow, Max-Planck-Institute for Comparative and International Private Law, Hamburg, Germany; Deputy Secretary-General, International Academy of Comparative Law, Paris, France, k.deckert@iuscomparatum.org

Szilvia Dobrocsi LLM, Assistant Professor, Department of Criminal Procedure Law and Law Enforcement, Károli Gáspár Reformed University, Budapest, Hungary, dobrocsi.szilvia@kre.hu; dszi@hotmail.com

Erik Gritter Assistant Professor of Criminal Law and Criminal Procedure, University of Groningen, Groningen, The Netherlands, e.gritter@rug.nl

Radha Ivory Research Fellow, Basel Institute on Governance, Basel, Switzerland; PhD Candidate, University of Basel, Basel, Switzerland, Radha.Ivory@unibas.ch

Jiří Jelínek Head of the Department of Criminal Law, Charles University, Prague, Czech Republic, jelinek@prf.cuni.cz

Piet Hein van Kempen Faculty of Law, Radboud University Nijmegen, Nijmegen, The Netherlands, p.h.vankempen@jur.ru.nl

Berend F. Keulen Professor of Criminal Law and Criminal Procedure, University of Groningen, Groningen, The Netherlands, b.f.keulen@rug.nl

Cristina de Maglie Full Professor of Criminal Law, University of Pavia School of Law, Pavia, Italy; Fellow of the Institute for Legal Research, University of California, Berkeley, CA, USA, c.demaglie@unipv.it

Ved P. Nanda John Evans Distinguished University Professor, University of Denver, Denver, CO, USA; Thompson G. Marsh Professor of Law and Director, International Legal Studies Program, University of Denver Sturm College of Law, Denver, CO, USA, vnanda@law.du.edu

Bertrand Perrin Professeur à la Haute école de gestion Arc et à Institut de lutte contre la criminalité économique, Neuchâtel, Switzerland; juge cantonal suppléant, Tribunal cantonal vaudois, Lausanne, Switzerland, bertrand.perrin@he-arc.ch

Mark Pieth Professor of Criminal Law and Criminology, University of Basel, Basel, Switzerland; Chair, OECD Working Group on Bribery in International Business Transactions, Paris, France, mark.pieth@unibas.ch

María Ángeles Rueda Profesora titular de Derecho Penal, Universidad de Zaragoza, Saragossa, España, marueda@unizar.es

Nelly Salvo Nelly Salvo Ilabel, abogada titulada por la Universidad de Chile, ex-jefa del Departamento de Asesoría y Estudios, Ministerio de Justicia de Chile, máster en Derecho Empresarial, Santiago, Chile; Candidata a doctora en Derecho público, Universidad Autónoma de Barcelona, Barcelona, Spain, nsalvo@gmail.com

Ferenc Santha PhD, Associate Professor, Faculty of Law, Institute of Criminal Sciences, University of Miskolc, Miskolc, Hungary; Defense Attorney, santhaferenc@hotmail.com

Findlay Stark University of Edinburgh School of Law, Edinburgh, UK, F.G.F.Stark@sms.ed.ac.uk

Celia Wells Professor of Criminal Law, University of Bristol, Bristol, UK, Celia.Wells@bristol.ac.uk

List of Abbreviations

AC	Appeal Cases
ACHR	American Convention on Human Rights
ACT	Australian Capital Territory
AfCHPR	African Charter on Human and Peoples' Rights
AfCommHPR	African Commission on Human and Peoples' Rights
aff'd	affirmed
AG	Aktiengesellschaft
al.	alinéa
ALI	American Law Institute
ALRC	Australian Law Reform Commission
APG	Asia/Pacific Group on Money Laundering
ARC	Act against Restraints on Competition
art(s).	article(s)
Assoc.	Association
ATF	Recueil officiel des arrêts du Tribunal fédéral suisse
AU	African Union
BGB	Bürgerliches Gesetzbuch
BGH	Bundesgerichtshof
BMS	Bristol Myers Squibb Corporation
BRIC	Brazil, the Russian Federation, India, the People's Republic of China
Bull.	Bulletin
BV	besloten vennootschap
BVerfG	Bundesverfassungsgericht
C. pén.	Code pénal
Cass. ass. plén.	Cour de Cassation, Assemblée plénière
Cass. ch. req.	Cour de Cassation, Chambre des Requêtes
Cass. civ.	Cour de Cassation, Chambre civile
Cass. crim.	Cour de Cassation, Chambre criminelle
CCL	corporate criminal liability
CCP	Code of Criminal Procedure
CCS	Code civil suisse

CEDH	Convention de sauvegardes des droits de l'homme et des libertés fondamentales
cert.	certificate
cf./cfr.	conferatur
Ch(s).	Chapter(s)
CHF	Swiss Francs (currency)
Chron.	Chronique
Cir.	Circuit
cl(l).	clause(s)
Cm	Command Papers of British Parliament
CMCH Act (UK)	Corporate Manslaughter and Corporate Homicide Act 2007 c. 19
COE	Council of Europe
coll.	collection
Com DP	Scottish Law Commission Discussion Paper
Comm.	Commission
coord(s).	coordinator(s)
Corp.	Corporation
CP	Code pénal
CPP	Code de procédure pénale suisse
CPS	Crown Prosecutions Service/Code pénal suisse
CPS Act	Criminal Procedure (Scotland) Act 1995 c. 46
CPSEW (UK)	Crown Prosecutions Service of England and Wales
Cr. App. R	Criminal Appeal Reports
Crim. L. R.	Criminal Law Review
Cst	constitution
d. lgs.	decreto legislativo
DCC	Dutch Civil Code
DCCP	Dutch Code of Criminal Procedure
DER	Derecho Comparado/El Derecho-Jurisprudencia General
Div.	Division
DOJ	Department of Justice
DPA	Deferred Prosecution Agreement/Droit pénal administratif
DPC	Dutch Penal Code
DSC	Dutch Supreme Court
e.g.	exempli gratia
EC	European Community(ies)
ECHR	European Convention on Human Rights
ECommHR	European Commission of Human Rights
ECtHR	European Court of Human Rights
ed(s).	editor(s)
éd(s).	éditeur(s)
edn.	edition
édn.	édition

EOA	Economic Offenses Act
ER	English Reports
et al.	et alia
et seq.	et sequitur
etc.	et cetera
ETS	European Treaty Series
EU	European Union
EWCA Civ	Court of Appeal (Civil Division)
EWCA Crim	Court of Appeal (Criminal Division)
F. Supp.	Federal Supplement
Fasc.	Fascicle
FATF	Financial Action Task Force
Fed. Reg.	Federal Register
FF	Feuille fédérale
GA	Goltdammer's Archiv für Strafrecht (Journal)
GmbH	Gesellschaft mit beschränkter Haftung
GOC	government-owned corporation
GRECO	Group of States against Corruption
H&S	Health & Safety
HC	House of Commons
HL	House of Lords
HRC	Human Rights Committee
Hrsq.	Herausgeber
HSE	Health and Safety Executive
HSW Act	Health and Safety at Work etc. Act 1974 c. 37
i.e.	id est
IACommHR	Inter-American Commission of Human Rights
IACtHR	Inter-American Court of Human Rights
ibid.	ibidem
ICCPR	International Covenant on Civil and Political Rights
ILM	International Legal Materials
Inc.	Incorporated
IPPF	International Penal and Penitentiary Foundation
JC	Justiciary Cases
JHA	Justice and Home Affairs
L.O.	Legal Observer
LCD	Loi contre la concurrence déloyale
LCEW (UK)	Law Commission of England and Wales
let.	lettre
LIFD	L'impôt fédéral direct
Ltd.	Limited
MENAFATF	Middle East and North Africa Financial Action Task Force
Mgmt.	Management
MNE	Multinational Enterprise

MP	Members of Parliament
MPC	Model Penal Code
n(n).	note(s)
N.Y.	New York
NGO	non-governmental organization
NJ	Nederlandse Jurisprudentie
NJW	Neue Juristische Wochenschrift
no(s).	number(s)
NPA	Non-Prosecution Agreement
NStZ	Neue Zeitschrift für Strafrecht
NSW	New South Wales (Australia)
NV	naamloze vennootschap (i.e. a public limited company)
OECD/OCSE	Organization for Economic Co-operation and Development
OJ	Official Journal of the European Union (Communities)
Ord(s).	Orders
OWiG	Ordnungswidrigkeitengesetz
ÖZDEP	Freedom and Democracy Party (registered political party)
Pacte ONU II	Pacte international des Nations Unies relatif aux droits civils et politiques
para(s).	paragraph(s)
pt(s).	part(s)
PUK	Partnerships United Kingdom
QB	Law Reports, Queen's Bench
reg.	regulation
Rép. Min.	Réponse ministérielle
Rev.sc.Crim.	Revue de Science Criminelle et de Droit Pénal Comparé
RJDA	Administrative Law Reports (Canada)/Recueil general de jurisprudence de droit administratif et du conseil d'état
ROA	Regulatory Offenses Act
RR	Revised Reports
RS	Rechtssache/Recueil systématique du droit fédéral
RSC	Revised Statutes Canada/Revue de Science Criminelle et de Droit Pénal Comparé
s(s).	section(s)
SA	Société Anonyme
SADC	Southern African Development Community
SCCR	Scottish Criminal Case Reports
Sch.	Schedule
SCR	Supreme Court Reports
SDNY	Southern District of New York
SI	Statutory Instruments
SLT	Scots Law Times
somm.	sommaire

Stat.	Statute
StGB	Strafgesetzbuch
sub nom.	sub nomine
UK	United Kingdom
UKHL	United Kingdom House of Lords
UN	United Nations
UNTS	United Nations Treaty Series
US	United States
USAM	United States Attorney's Manual
USC	United States Code
USDOJ	United States Department of Justice
USGAO	United States Government Accountability Office
USSC	United States Sentencing Commission
v.	versus
VBIBW	Verwaltungsgerichtshof Baden-Württemberg (Higher Administrative Court, Baden-Württemberg)
VbVG	Verbandsverantwortlichkeitsgesetz
Vic.	Victoria
vol(s).	volume(s)
WGB	OECD Working Group on Bribery in International Business Transactions

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Part I

The Analytical Framework

