



## CAA Checklist for Arbitrator’s Self-assessment of Conflicts of Interest or Disclosure\*

Nature	Facts or Circumstances	Notes
Relationship between the arbitrator and the parties, representatives, witnesses and experts, etc.	<ol style="list-style-type: none"> <li>1. Any relationship between the arbitrator (or the arbitrator’s close family member or law firm) and the parties or the parties’ affiliates;</li> <li>2. Any relationship between the arbitrator or the arbitrator’s law firm and party representatives;</li> <li>3. Any relationship between the arbitrator and witnesses or experts;</li> <li>4. The arbitrator (or the arbitrator’s close family member) has a significant financial interest in one of the parties, or an affiliate of one of the parties. For instance, the arbitrator holds significant shares, either directly or indirectly, in one of the parties or an affiliate of one of the parties, this party or affiliate being privately held or publicly listed.</li> </ol>	<ol style="list-style-type: none"> <li>1. Such relationship may be work-related (including joint practice and office sharing) or business-related (including consultation and representation), with financial or non-financial (e.g. personal) interest, controlling influence, or conflict;</li> <li>2. When a party is a legal entity, other legal and physical persons may have a controlling influence (e.g. legal representatives, managers, directors and supervisors), and the arbitrator should therefore assess each relationship;</li> <li>3. The term “close family member” in the IBA Guidelines on Conflicts of Interest in International Arbitration refers to a spouse, sibling, child, parent or life partner.</li> </ol>
Repeat arbitrator appointments	The arbitrator has, within the past three years, been appointed as an arbitrator on three or more occasions by the same party, or an affiliate of such a party.	

<p>Relationship between the arbitrator(s) and the case</p>	<ol style="list-style-type: none"> <li>1. The arbitrator or the arbitrator's affiliate has a prior involvement in the case, or has provided legal advice or expert opinion on the case;</li> <li>2. If the arbitrator is a former judge, he or she has, within the past three years, heard a significant case involving one of the parties, or an affiliate of one of the parties;</li> <li>3. The arbitrator has publicly advocated a particular position on the case.</li> </ol>	
<p>Relationship between the arbitrator(s) and the outcome of the case</p>	<ol style="list-style-type: none"> <li>1. The arbitrator (or the arbitrator's close family member or law firm) has a significant financial interest in the outcome of the case;</li> <li>2. Any relationship between the arbitrator and a non-party who has a direct economic interest in the outcome of the arbitration;</li> <li>3. Any relationship between the arbitrator (or the arbitrator's close family member) and a non-party who may be liable to recourse on the part of the unsuccessful party in the arbitral award.</li> </ol>	

\* This Checklist intends to assist the arbitrators with deciding on acceptance of appointment and disclosure when completing the CAA Arbitrator Statement.