1 SECTION IV: PERSONS COVERED BY THE RULES OF CONDUCT

1.1 Text of Section IV

IV. Scope

1. These Rules shall apply, as specified in the text, to each person serving:
   (a) on a panel; (b) on the Standing Appellate Body; (c) as an arbitrator pursuant to
   the provisions mentioned in Annex "1a"; or (d) as an expert participating in the
   dispute settlement mechanism pursuant to the provisions mentioned in Annex "1b".
   These Rules shall also apply, as specified in this text and the relevant provisions of the
   Staff Regulations, to those members of the Secretariat called upon to assist the panel
   in accordance with Article 27.1 of the DSU or to assist in formal arbitration
   proceedings pursuant to Annex "1a"; to the Chairman of the Textiles Monitoring Body
   (hereinafter called "TMB") and other members of the TMB Secretariat called upon to
   assist the TMB in formulating recommendations, findings or observations pursuant to
   the WTO Agreement on Textiles and Clothing; and to Standing Appellate Body
   support staff called upon to provide the Standing Appellate Body with administrative
   or legal support in accordance with Article 17.7 of the DSU (hereinafter "Member of
   the Secretariat or Standing Appellate Body support staff"), reflecting their acceptance
   of established norms regulating the conduct of such persons as international civil
   servants and the Governing Principle of these Rules.

2. The application of these Rules shall not in any way impede the
   Secretariat's discharge of its responsibility to continue to respond to Members'
   requests for assistance and information.

3. These Rules shall apply to the members of the TMB to the extent
   prescribed in Section V.

1.2 Applicability of the Rules of Conduct to the Appellate Body, panels, Secretariat staff,
   and experts

1. In the context of several Appellate Body proceedings involving requests by the parties for
   additional procedures to protect confidential information, the Appellate Body has confirmed that
   Appellate Body Members, the staff of the Appellate Body Secretariat, and experts advising panels
   are subject to the confidentiality requirements in the Rules of Conduct.1 Panels have made similar
   statements in respect of panellists, Secretariat staff and experts advising panels.2

1.3 Non-applicability of the Rules of Conduct to legal counsel representing Members

2. In Korea – Alcoholic Beverages, Korea indicated that it wished to have the right to private
   counsel at the substantive meetings of the Panel. The United States expressed the view that the
   Panel should impose appropriate safeguards with respect to the conduct of such persons. The
   Panel decided to permit the appearance of private counsel, and stated that:

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1 Appellate Body Reports, Canada – Aircraft, para. 146; Brazil – Aircraft, para. 124; EC and certain
   member States – Large Civil Aircraft, Annex III, para. 17; and US/Canada – Continued Suspension,
   paras. 435, 442.

2 See e.g. Panel Reports, Australia – Salmon (Article 21.5 – Canada), para. 7.7; EC – Export Subsidies
   on Sugar (Australia), paras. 2.13, 2.18 and fn 8; and Australia – Apples, para. 7.24.
"The United States offered several suggestions for new rules and procedures in regard to these questions. However, in our view, the broader question of establishing further rules on confidentiality and possibly rules of conduct specifically directed at the role of non-governmental advisors generally is a matter more appropriate for consideration by the Dispute Settlement Body and is not within the terms of reference of this Panel."³

3. In EC – Tariff Preferences, the European Communities raised several procedural issues concerning the joint representation of India and Paraguay by the Advisory Centre on WTO Law. In addressing this set of procedural issues, the Panel made no reference to the Rules of Conduct. It noted that:

"[T]he WTO has not itself elaborated any rules governing the ethical conduct of legal counsel representing WTO Members in particular disputes. Accordingly, the Panel considers there are no directly applicable legal provisions or guidelines to which it can have reference in order to resolve any issues raised in respect of the joint representation of a party and a third party."⁴

4. Nonetheless, the Panel in EC – Tariff Preferences considered that "it is incumbent on the Panel to clarify whether the ACWL’s joint representation of India and Paraguay poses any ethical concerns of the kind raised by the European Communities"⁵. The Panel proceeded to discuss "the responsibility of legal counsel to ensure that it is not placing itself in a position of actual or potential conflict of interest when agreeing to represent, and thereafter representing, one or more WTO Members in a dispute under the DSU"⁶.

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³ Panel Report, Korea – Alcoholic Beverages, para. 10.33.
⁴ Panel Report, EC – Tariff Preferences, para. 7.5.

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