

**PROFESSIONAL ETHICS RULES
OF HTA COMMERCIAL ARBITRATION CENTER**

(Promulgated with Decision No. 05/QĐ-HTA dated June 6, 2019 of the HTA President)

The Arbitrators of HTA Commercial Arbitration Center (“Center”) commit to adhere the following professional ethics rules:

1. INDEPENDENCE

The Arbitrator shall resolve the dispute independently and only obey the law, as well as not permit any pressures from any organizations or individuals.

2. IMPARTIALITY

- 2.1. The Arbitrator must be impartial in settling disputes.
- 2.2. The Arbitrator must decline to resolve a dispute if:
 - a. The Arbitrator is prejudiced against one or more parties or important witnesses, or against the dispute, which affects his/her decision(s) on the outcome of the dispute resolution;
 - b. The Arbitrator has expressed his/her legal opinion(s) concerning the nature of the dispute before being selected or appointed ;
 - c. The Arbitrator has financial, business, professional, family or social relationship with at least one party, which benefits him/her in any form.
- 2.3. The Arbitrator may publish his/her expertise and experiences but shall not proactively induce the parties to select him/her as an arbitrator.
- 2.4. The Arbitrator must not accept any gift or favor, , directly or indirectly, from any disputed party.
- 2.5. The Arbitrator must ensure parties are facilitated with equal opportunities to present their evidence and opinions on matters relevant to the dispute.

3. DISCLOSURE

- 3.1. Throughout the arbitral proceedings, the Arbitrator has obligation to promptly disclose any incident which may create an suspicion of his/her impartiality and independence.
- 3.2. The Arbitrator must disclose to the Center and the parties any close personal relationship or business relationship in the past or present, direct or indirect, with any disputed party or any representative of one party or any individual who may become an important witness in the dispute; as well as all dispute-related information that the Arbitrator acquire before being selected or appointed.

4. CONFIDENTIALITY

The Arbitrator must keep the dispute confidential and shall not use any information of the dispute to gain personal advantage or advantage for others, or to affect adversely the interest of any disputed party.

5. DILIGENCE AND HIGHEST EFFORT

- 5.1. The Arbitrator shall only accept to resolve the dispute if he/she finds himself/herself as having sufficient expertise and time to perform the obligations of an arbitrator.
- 5.2. Once accepting appointment, the Arbitrator has to perform obligations of an arbitrator with due diligence and highest effort.

6. NO PERSONAL COMMUNICATION

Throughout the arbitral proceedings, the Arbitrator shall not privately meet or communicate with any party, lawyer, representative or witness of any party to exchange matters relevant to the dispute.

7. NOT RECEIVE REMUNERATION AND EXPENSE PAYMENT FROM THE DISPUTED PARTIES

Once accepting to be an arbitrator, he/she accepts the rules regarding remuneration and expense payment of the Center. The Arbitrator shall not have any arrangement with any party or lawyer of any party on remuneration or additional expenses.