

INDEX

- abuse of dominant position
 - complex economic assessments
 - evolution of standard of 'limited' review 6.035–43
 - corroboration 4.085
 - defences 6.011
 - objective and economic justifications 3.111–15
 - duration of infringement
 - start 3.033–5
 - termination 3.042, 3.044
 - economic studies 4.120
 - fact and law 1.018
 - holistic view of evidence 2.105, 2.107
 - market shares, very high 2.071
 - persuasive effects of evidence 2.055–6
 - predatory pricing 2.061, 2.062, 2.063, 2.064, 6.035
 - request for information: probative value of reply
 - customer of undertaking in dominant position 4.078
 - standard of 'limited' review 6.027, 6.035–43, 6.046, 6.047, 6.051, 6.082
 - standard of proof 2.022
 - acquisition of business 4.071, 6.027
 - see also* mergers
 - actori incumbit probatio see* burden of proof
 - administrative fact-finding 1.033–7
 - administrative proceedings
 - attitude of undertaking during 4.125–9, 6.009
 - examination of witnesses during 4.101–4
 - judicial and
 - Commission, fines and fair hearing 1.029–32
 - standard of proof v standard of judicial review 1.024–32
 - admissibility of evidence
 - Commission stage 1.037, 4.011–20
 - unlawfully obtained 4.016
 - judicial review 4.012, 4.119, 5.014, 5.022–7
 - inculpatory evidence not communicated 4.002
 - national law 4.011, 4.016
 - adversarial proceedings 5.033, 5.060, 5.064
 - and 'equality of arms' 5.015–21
 - aggravating circumstances
 - finer 3.136–8
 - annulment 5.004, 6.007, 6.048, 6.056, 6.068, 6.111, 6.123
 - errors of fact 5.004
 - jurisdiction of Court of Justice 5.003
 - partial 6.047, 6.116
 - Fining Guidelines, reduction and 6.163–4
 - possibility of 6.056, 6.175–9
 - anonymous evidence 4.032–3
 - appeals 2.004, 5.001, 5.007, 6.049
 - grounds
 - rights of defence 5.016
 - attenuating circumstances 4.127, 6.106, 6.116, 6.128, 6.156
 - finer 3.139–47
 - audio or video recordings, secret 4.016
 - authorship of documents 4.032–9, 4.048, 4.049
 - autonomy
 - principle of procedural 1.020, 1.021, 1.023
 - back-tracking 4.097
 - balance of probabilities 2.018, 2.053, 3.100
 - beyond any reasonable doubt 2.019, 2.029, 2.069, 3.102
 - burden of proof 1.028, 2.001–4, 2.048
 - actori incumbit probatio* and judicial review based on substantiated submissions 2.105–17, 5.020

- defences 2.002, 2.008, 2.012, 2.042, 3.086, 3.092
 Art 101(3) TFEU 3.086, 3.094, 3.098–9, 3.100, 3.103, 3.105–6, 6.019
 objective and economic justifications in abuse cases 3.112, 3.113, 3.115
 different legal systems 1.005, 2.008
 duration of infringement 3.022, 3.029, 3.083
 interruptions 3.079
 termination 3.036, 3.038, 3.046–8, 3.053
 evidential or subjective 2.007–11, 2.015, 2.038, 2.054, 2.065–8, 3.048, 4.041
 defences 2.008, 3.086, 3.092, 3.112, 3.113, 3.115
 due to strength of evidence: response required 2.088–93, 3.036
 economic studies 4.109, 4.117
 parallel conduct 2.079–87, 4.117
 presumptions 1.019, 2.065, 2.068, 2.069–78, 3.036, 3.052, 3.055, 3.083
 regulatory function 2.067–8, 3.086
 fines
 attenuating circumstances 3.139, 3.141–2, 3.143, 3.146
 gravity of offence 3.129
 leniency 3.149
 judges: passive v active role and legal 5.033–5
 legal 2.005–6, 2.008, 2.009, 2.015, 5.018, 5.033, 5.034
 defences 2.012
 presumptions 2.070
 limited practical importance 2.038
 perception of normality 2.041, 2.042
 national courts 1.020, 1.021
 objective 2.009, 2.010, 5.030, 5.033
 presumption of innocence 2.012, 2.013
 reversal of 2.010, 2.092, 3.038, 3.043, 3.142, 3.146
 single and continuous infringement 3.010, 3.014
 tactical 2.008
 cartels 1.002, 1.009, 2.055, 6.030, 6.047, 6.177, 6.181
 admissibility of evidence
 fundamental rights 4.014
 contemporaneous documents 4.004, 4.037
 corporate statements 1.036
 corroboration 4.084, 4.085
 direct or indirect evidence 4.008
 duration of infringement 3.023, 3.025, 3.026, 3.027, 3.082
 interruptions 3.061, 3.071–5, 3.076, 3.077, 3.078, 3.079, 3.080, 3.081, 3.082, 3.084, 3.085
 renewal of participation 3.085
 start 3.031
 termination 3.039, 3.041, 3.045, 3.046, 3.048, 3.052, 3.053, 3.054, 3.055–6, 3.058, 3.059, 3.060, 3.061, 3.062, 3.082
 economic studies 4.110, 4.115, 4.116, 4.117, 4.118, 4.119
 evidential burden of proof in action
 parallel conduct 2.082
 participation in meetings 2.072–4, 2.078, 3.052
ex post evidence 4.074
 evolution in the account of the facts 4.094
 motives of information provider 4.067, 4.068, 4.072
 expansive, purposive view of behaviour 1.017
 fact and law 1.013, 1.017, 1.018
 fines 3.117, 3.119, 3.139, 3.140, 3.142, 3.143, 6.106, 6.154, 6.156, 6.169
ad hoc reduction 6.172
 gravity of offence 3.129, 3.130, 3.132, 3.134, 3.135
 passive role in cartel 3.139, 3.144
 value of sales and turnover 3.121, 3.123
 holistic view of evidence 2.102, 2.105
 leniency 4.129, 6.048
 statements 1.036, 2.074
 oral evidence 4.009
 persuasive effect of evidence 2.051

- actual price developments 2.050
 effect on trade 2.048
 pleading cases 5.006
 single and continuous infringement 3.003,
 3.004, 3.005, 3.014
 peripheral participants 3.009
 scope of liability of each undertaking
 3.017, 3.018, 3.019, 3.020
 standard of proof 2.036, 4.119
 evolution of case law 2.022, 2.023,
 2.031
 unlimited jurisdiction 6.130, 6.131
 case management 5.029
 categories of evidence
 contemporaneous v *ex post facto* evidence
 4.004–6
 direct v indirect evidence 4.007–8
 inculpatory v exculpatory evidence
 4.001–5, 4.066, 4.067, 4.073
 written v oral evidence 4.009–10
 causation 2.045, 2.065, 4.105
 actual price developments 2.050
 economic analysis 2.051
 inferences 2.044, 2.051
 circumstantial evidence 1.025, 2.016, 2.021,
 2.024, 2.047
 collective responsibility 3.010
 Commission 1.006, 1.008, 1.009, 5.049,
 5.050
 admissibility of evidence 1.037, 4.011–20
 attenuating circumstances 3.141, 3.142,
 3.143, 3.144, 3.147, 6.128
 burden of proof 1.028, 2.002, 2.048,
 3.022, 3.029, 3.046, 3.079, 3.098,
 3.105–6, 3.112, 6.019
 evidential 2.067, 2.084, 2.085, 2.086,
 2.089, 2.093, 3.048
 legal 2.006, 2.015, 5.020
 cross-examine, lack of duty to 4.101–4,
 5.039, 5.047
 defences 3.086
 Art 101(3) TFEU 3.095, 3.096,
 3.097–104, 3.105, 3.106, 3.107–10,
 6.019
 objective and economic justifications in
 abuse cases 3.112, 3.115
 discretion 2.096, 2.099, 4.102, 6.086
 measures of enquiry 2.095, 2.115
 duration of infringement 3.023, 3.025,
 3.026, 3.027, 3.028, 3.029
 interruptions 3.066, 3.069, 3.079, 3.080,
 3.081, 3.082, 3.083
 start 3.032
 termination 3.037, 3.038, 3.044, 3.045,
 3.046, 3.047, 3.048, 3.082
 economic studies 4.105, 4.109, 4.110,
 4.111, 4.114
 best practices 4.108, 4.122, 4.123
 cartels 4.115, 4.116, 4.117, 4.119
 mergers 4.121
 price abuses 4.120
 surveys 4.124
ex post evidence 4.045, 4.047, 4.050,
 4.073, 4.077, 4.091, 4.092, 4.093,
 5.042
 evolution in account of facts 4.094,
 4.095, 4.096, 4.097
 timing 4.098
 exchange of information between NCAs
 and 1.036, 4.019
 fair hearing 1.029–32, 1.037, 4.101–4,
 5.002
 fines 3.141, 3.142, 3.143, 3.144, 3.147,
 6.001, 6.158
 captive sales 3.125–6
 discretion 2.099, 3.116, 3.119, 3.140
 gravity of offence 3.129, 3.131, 3.132
 Guidelines *see under* fines
 inability to pay 3.150, 6.128, 6.129
 leniency 3.148, 3.149
 value of sales and turnover 3.121, 3.122,
 3.123, 3.125–6, 3.127
 holistic view of evidence 2.102, 2.105,
 2.106, 2.110, 2.111, 2.112
 duration of infringement 3.026, 3.028
 impartiality 3.095, 6.064, 6.066, 6.151,
 6.153
 inability to pay fines 3.150, 6.128, 6.129
 inspections 1.037, 2.001, 3.023, 4.031,
 4.074, 4.100
 admissibility of evidence 4.012, 4.014,
 4.015, 4.018
 oral evidence 4.010
 prior judicial authorization 1.035

- interview, statements by 1.036, 4.013, 4.045, 4.063
- investigation file of 3.143, 3.145, 4.031, 6.013
- access to 4.001–3
- investigative powers 1.033–7
- margin of assessment/discretion *see separate entry*
- not a court 1.029
- oral hearings 4.010, 5.039
- persuasive effect of evidence 2.048, 2.049, 2.052
- conglomerate mergers 2.043
- error costs 2.059, 2.062, 2.063, 2.064
- request for information 1.034, 1.035, 1.037, 4.018, 4.031, 4.046, 4.089
- admissibility of reply 4.013
- corroboration of reply 4.077, 4.085, 4.089
- customer of undertaking in dominant position 4.078
- evolution in account of facts 4.096
- false or incorrect information 4.056, 4.060, 6.168, 6.169
- leniency statement after 4.098
- sales figures in reply 5.035
- surveys 4.124
- to set fine 6.169
- review 5.002, 5.004, 5.012, 5.025, 5.068
- access to leniency statements 5.037–8
- annexes to pleadings 5.022
- comprehensive 6.006, 6.007
- ‘limited’ 6.005, 6.025, 6.026, 6.027, 6.083, 6.088, 6.089, 6.090, 6.091, 6.093
- new pleas and evidence 6.007, 6.012, 6.014–17, 6.020, 6.021, 6.023, 6.122
- safety margin 6.093
- single and continuous infringement
- 3.001, 3.003, 3.004, 3.013, 3.014, 3.024
- scope of liability of each undertaking 3.016, 3.018, 3.019
- single piece of evidence 2.102
- standard of proof 2.031
- ‘plausible alternative’ narratives 2.032, 2.033
- standard of judicial review vs 1.024–8
- statements by interview 1.036, 4.013, 4.045, 4.063
- unlimited jurisdiction of Court 6.124, 6.125
- re-adopt fine reflecting Court’s findings 6.165
- witnesses, examination of 4.101–4
- written v oral evidence 4.009–10
- common purpose doctrine 3.010
- complex economic (or technical) assessments 1.010, 1.021, 1.026
- margin of assessment 2.097–8, 2.099, 6.031–4, 6.045, 6.051, 6.075, 6.076, 6.086, 6.103
- meaning of ‘complexity’ 6.069
- standard of ‘limited’ review *see separate entry*
- concerted practice 2.076, 2.080, 2.082, 2.083, 3.001, 6.156
- duration of infringement
- start 3.030, 3.031
- termination 3.038
- evidential burden of proof
- parallel conduct 2.079, 2.080, 2.082, 2.083–6
- presumption 2.076
- expert reports 5.066, 5.068
- fact and law 1.018, 1.019
- motives of information provider 4.071
- national law 1.021, 1.022, 1.023
- persuasive effect of evidence
- parallel conduct 2.046
- single and continuous infringement 3.002, 3.014
- confidentiality 4.110
- access to investigative file 4.001
- admissibility of evidence 4.012
- joinder of cases 5.008
- see also* secrets, business
- conglomerate mergers 2.043
- consistency 4.079, 4.082, 4.122
- contemporaneous documents 1.034, 4.023, 4.025, 4.044, 4.054, 4.074, 4.080
- authorship 4.032–9

- Court: new evidence 6.013
ex post facto evidence
 matching 4.050
 versus 4.004–6, 4.056
 high probative value 4.026–7
 how document reaches file 4.031
 internal documents 4.029
 leniency 5.049
 low probative value 4.036
 moderate probative value 4.036, 4.039
 ordinary course of business 4.027
 precision of 4.040–1
 preparatory 4.042–3
 'second hand' information 4.008, 4.037–9
 source 4.028–31
 unsigned or undated 4.032, 4.034, 4.036
 continuous and single infringement 3.001–9,
 3.022, 3.023, 3.083, 6.177
 fines 3.010, 3.024
 10 per cent limit 3.011
 one or more 3.010–15
 scope of individual liability of each
 undertaking 3.016–21, 3.032
 corroboration 2.102, 4.054, 4.073, 4.075,
 4.080, 4.083
 deep and precise statement 4.079
 documents that need 4.084–5
 economic studies 4.117
 extent or degree of 4.086–9
 indirect evidence 4.007
 leniency statements 2.110, 3.079, 4.054
 means of 4.090–1
- Court
 evidence in *see separate entry*
 General *see separate entry*
 general overview 5.001–4
 judicial review *see separate entry*
 national courts *see separate entry*
 pleadings *see separate entry*
 criminal law 4.060, 5.043
 cross-examination of witnesses
 administrative procedure: lack of duty
 4.101–4, 5.039, 5.047
 Court 5.039, 5.040, 5.070
- damages 4.057, 5.003, 6.002
 defences 1.020, 1.028, 2.011, 3.086
 Article 101(3) TFEU 3.086, 3.093–4,
 6.019
 from *Grundig* to *Unilever* 3.095–6
GlaxoSmithKline judgments 3.097–104
GlaxoSmithKline, case law after 3.105–6
 Guidelines on application of 3.107–10
 burden of proof 2.002, 2.008, 2.012,
 2.042, 3.086, 3.092
 Art 101(3) TFEU 3.086, 3.094,
 3.098–9, 3.100, 3.103, 3.105–6,
 6.019
 objective and economic justifications in
 abuse cases 3.112, 3.113, 3.115
 economic studies 4.109
 objective and economic justifications in
 abuse cases 3.111–15
 objective necessity and ancillary
 restrictions in Article 101 TFEU
 3.087–92
 digitalization of files 5.013
 direct evidence 4.040
 indirect vs 4.007–8
 disclosure 5.017
 investigation file 4.001–3
 discretion 2.096
 Commission 2.096, 2.099, 4.102, 6.086
 measures of enquiry 2.095, 2.115
 Court 5.067
 expert report 5.062
 measures of enquiry 5.036, 5.048
 narrows scope of any discretion 6.093
 terminology 2.094, 6.086
 discrimination 4.129, 6.156, 6.170
 documents 2.105
 before or after infringement period, dated
 2.106–7
 contemporaneous *see separate entry*
ex post, information drafted *see separate*
entry
 oral evidence v written evidence 4.009–10,
 4.047
 witness statements 4.059, 4.063, 5.042–3
 duration of infringement 3.082, 4.041
 end of infringement as a whole 3.036–44
 complex infringement 3.040
 market sharing agreements 3.039

- end of participation of individual undertakings 3.082
- examining effects or implementation 3.050
- general criteria 3.045–8
- public distancing 3.045, 3.051–65
- reduced form of participation 3.049
- general principles 3.022–9
 - participation of specific undertaking 3.025
- interruptions 3.061, 3.082, 3.084–5
 - context 3.067
 - general criteria 3.066–8
 - implementations or effects 3.076–7
 - lack of evidence of content of contacts 3.069–70
 - length of evidentiary gap 3.078–82
 - lower intensity contacts or disputes in cartel 3.071–5
 - presumption of continuity 3.083
 - renewal of participation 3.085
- public distancing 3.045, 3.051–65
 - contradicting submission that no infringement 3.065
 - interruptions 3.073, 3.075, 3.078, 3.080, 3.081, 3.083, 3.084
- start of infringement 3.029
 - abuses of dominant position 3.033–5
 - criteria in general 3.030–1
 - on-going single infringement 3.032
- economic studies 2.051, 3.107, 3.132, 3.134, 4.105–24, 4.122, 5.022, 5.059
 - annexes to pleadings 5.022
 - best practices 4.108, 4.122, 4.123
 - cartels 4.110, 4.115, 4.116, 4.117, 4.118, 4.119
 - corroboration 4.117
 - difficulties in practice 4.108, 4.119
 - econometric analyses 4.106, 4.108, 4.115, 4.119, 4.121, 6.072
 - errors 4.123
 - identity of commissioner 4.110–14
 - information gathering 4.124
 - interpretation of certain observed facts 4.107
 - price abuses 4.120
 - surveys 4.124
 - see also* expert reports
- economies of scale 3.113
- effective judicial protection 5.002, 6.089, 6.120
- effective remedy 6.010
- effectiveness principle 1.019, 1.021, 1.023
 - indirect evidence 4.007
 - standard of proof
 - inferences 2.030
- effects based doctrine 3.131
- electronic files 4.006
- emails 4.004
- employees, statements by 4.068, 4.069, 4.070, 4.073, 4.074, 4.078
 - evolution in the account of the facts 4.094, 4.095
 - statement by undertaking and 4.053, 4.054, 4.084, 4.087, 5.050
- equality of arms principle 2.068, 6.023
 - adversarial principle and 5.015–21
 - expert reports 5.072
- equivalence principle 1.021, 1.023
- ethics, professional 4.059
- evidence 1.008
 - admissibility of
 - Commission stage 1.037, 4.011–20
 - judicial review 4.002, 4.012, 4.119, 5.014, 5.022–7
 - national law 4.011, 4.016
 - in Court *see* evidence in Court
 - hearsay rule 4.051–2, 4.054
 - holistic view of *see separate entry*
 - persuasive effect of *see separate entry*
 - probative value *see separate entry*
 - technical and non-technical 4.121
 - third parties 2.115, 4.029, 4.085, 5.028, 5.029
- evidence in Court 4.059, 5.012–14
 - adversarial proceedings and ‘equality of arms’ 5.015–21
 - annexes to pleadings, role of 5.022–4
 - digitalization of files 5.013
 - expert reports 4.059, 4.105, 4.110, 5.030, 5.059–61
 - neutral 5.060, 5.061, 5.062–8, 6.013, 6.047

- partisan 5.060, 5.061, 5.069–74
 informal hearing of individuals 5.044–5
 judge, role of
 discretion: measures of enquiry 5.036
 passive v active role and burden of proof 5.033–5
 types of measures 5.028–32
 leniency statements, problem with 5.037–8
 measures of inquiry 4.059
 oral testimony 5.039–40
 fundamental rights 5.051–8
 informal hearing of individuals and 5.044–5
 secondary 5.046–50
 written witness statements and 5.042–3
 timing of submission 5.025–7
 written witness statements 4.059, 5.042–3
ex post, information drafted 1.034, 2.102, 4.023, 4.025, 4.044–50, 5.042, 6.018
 administrative procedure 4.105, 5.042
 attitude of undertaking during 4.125–9
 examination of witnesses during 4.101–4
 author or source of 4.048, 4.049, 4.051–4
 by incriminated undertakings 4.047
 by individuals 4.062, 4.063, 4.068, 4.069, 4.079, 4.080
 consistency 4.079, 4.082, 4.122
 contemporaneous evidence
 matching 4.050
 versus 4.004–6, 4.056
 corroboration 4.054, 4.073, 4.075, 4.080, 4.083
 deep and precise statement 4.079
 documents that need 4.084–5
 economic studies 4.117
 extent or degree of 4.086–9
 means of 4.090–1
 depth and precision 4.040, 4.048, 4.075, 4.079–81
 economic studies *see separate entry*
 facts, evolution in the account of 4.094–7
 false or incorrect
 consequences of providing 4.055–60, 4.077, 5.043
 interests of provider of 4.054, 4.085
 exculpatory statements 4.073–4, 5.048
 other cases 4.075–8
 reflection, period of 4.062, 4.063
 statements going against 4.061–72
 memory, frailty of 4.080, 4.081
 other factors
 evolution in the account of facts 4.094–7
 lack of use of certain parts of statement 4.092–3
 timing 4.098–100
 subjective process 4.048
 surveys 4.124
 exculpatory v inculpatory evidence 4.001–5, 4.066, 4.067, 4.073
 executives, statements by 4.053
 expert reports 4.059, 4.105, 4.110, 5.030, 5.059–61
 neutral 5.060, 5.061, 5.062–8, 6.013, 6.047
 partisan 5.060, 5.061, 5.069–74
 see also economic studies
 expert's finding and fair hearing 6.053

 fact and law
 appeals on point of law 5.001
 boundaries between 1.011–19, 2.060, 2.111, 5.004
 economic studies: interpretation of observed facts 4.107
 evolution in the account of the facts 4.094–7
 judicial review 5.002, 5.062, 6.010, 6.014, 6.052, 6.057, 6.061, 6.093
 errors of fact 5.004, 5.034
 'limited' 6.084, 6.086
 new facts and new evidence 6.017
 standard of 6.004, 6.005, 6.093
 'well-known facts' (*faits de notoriété publique*) 5.014
 legality of fine review 6.113
 margin of assessment 2.099
 complex economic (or technical) assessments 2.097, 2.099, 6.075–84
 national courts 1.020–3
 unlimited jurisdiction
 facts post-dating decision 6.007
 fair trial 1.006, 5.002, 6.003, 6.010, 6.056–62

- admissibility of evidence 4.016
 Commission 1.029, 1.037, 5.002
 examination of witnesses 4.101–4
 fines decided by 1.030–2
 confidentiality 4.033
 criminal charge 2.013
 cross-examination not requested 5.039
 equality of arms 5.015–17, 5.072, 6.023
ex post judicial review 2.106
 expert reports 5.064, 5.071–4
 full jurisdiction: ECtHR 1.030–2, 5.002,
 6.003, 6.052–5, 6.093
 new evidence
 possibility to submit to Court 6.022,
 6.023
 oral evidence
 Court of Justice 5.051–2
 ECtHR 5.053–8, 5.064
 pleas and submissions made by applicant
 limit judicial review to 2.017, 5.021
 presumption of innocence 2.012, 2.017,
 2.069
 unlimited jurisdiction 5.002, 6.003, 6.113,
 6.126
faisceau d'indices (bundle of indicia) 2.088
 fines 1.002, 2.002, 2.050, 2.052, 2.056,
 2.110, 2.112, 3.116–19, 4.119, 5.003
 10 per cent legal limit 3.011
 audited and non-audited figures 3.127
 aggravating circumstances 3.136–8
 leadership 3.136, 3.137
 attenuating circumstances 3.139–47
 Commission, fair hearing and 1.029–32
 Court reluctance to increase 6.166–72
 criminal charge 2.013
 deterrence, general 3.116
 evidentiary issues 3.118
 false or incorrect information 4.056, 4.077
 gravity of offence 6.120
 implementation or impact 3.130–5
 nature 3.128–9
 normality, perception of 3.134
 reasonable probability 3.132–3
 Guidelines 3.140, 4.128, 6.100, 6.146,
 6.150
 (1998) 2.056, 3.125, 3.130, 3.131,
 3.144, 6.151, 6.159, 6.163
 (2006) 2.056, 3.117, 3.123, 3.125,
 3.129, 3.130, 3.142, 3.144, 3.150,
 6.128, 6.151, 6.154, 6.156, 6.159,
 6.161, 6.164
 unlimited jurisdiction: influence of
 6.126, 6.151–62, 6.165
 unlimited jurisdiction: partial
 annulment, reduction and 6.163–4
 inability to pay 3.150
 increase 5.043, 6.118, 6.163
 Court reluctance to 6.166–72
 leniency *see separate entry*
 limitation period 3.011, 3.024
 margin of assessment 2.099, 3.116, 3.119,
 3.140, 6.101, 6.102–5, 6.106, 6.114
 methodology for setting 3.117, 5.011
 procedural infringement 3.138
 reductions 4.013, 4.064, 4.065, 6.047,
 6.116, 6.118
 for co-operation too low 6.171
 extending to other applicants not
 raising same plea or submission
 5.009, 6.148, 6.180–8
 inability to pay 3.150, 6.128, 6.129
 leniency *see separate entry*
 partial annulment, Guidelines and
 6.163–4
 settlement 4.128, 4.129
 review of 5.006
 legality of fine review *see separate entry*
 part of fine for which applicant not
 liable 5.011
 unlimited jurisdiction *see separate entry*
 sales and turnover, value of 3.120–7
 captive or 'internal' sales 3.125–6
 settlement reduction 4.128, 4.129
 single and continuous infringement 3.010,
 3.024
 10 per cent limit 3.011
 France 1.005
 administrative law 6.097
 standard of proof 2.018, 2.019
 fundamental rights 1.001, 1.006, 1.021,
 6.016
 admissibility of evidence 4.011, 4.014,
 4.015

- Commission investigation and 1.034, 1.037
 correspondence 1.006, 1.037
 effective judicial protection 5.002, 6.089, 6.120
 effective remedy 6.010
 fair trial *see separate entry*
 limitation on exercise of rights and freedoms 6.010, 6.022
 oral evidence
 Court of Justice 5.051–2
 ECtHR 5.053–8
 private life 1.006, 1.037
- General Court (previously Court of First Instance) 2.004, 5.001, 6.047
 active v passive role and burden of proof 5.033–5
 adversarial element 5.033, 5.018, 5.060, 5.064
 cross-examination of witnesses 5.039, 5.040
 discretion 5.036, 5.048, 5.062, 5.067, 6.093
 evidence requested 5.013, 5.027, 5.029, 5.033, 5.034, 5.037–8
 discretion and measures of inquiry 5.036, 5.048
 expert reports *see separate entry*
 fair trial 2.017, 5.017, 5.021
 rights of defence 5.016
 inquisitorial element 5.018, 5.019, 5.033, 5.060
 procedure 5.005, 5.007, 5.009, 5.017, 5.027
 reasons for decisions 5.021
 standard of judicial review *see separate entry*
 substantiated submissions 2.015, 5.020
 witnesses 5.040, 5.041, 5.048, 5.051–2, 5.070
 cross-examination of 5.039, 5.040
 informal hearings 5.044–5
 written statement 5.042–3
see also evidence in Court; measures of inquiry; measures of organization of procedure
- general principles of EU law 2.068
 effective judicial protection 5.002, 6.089, 6.120
 effectiveness principle 1.019, 1.021, 1.023, 2.030, 4.007
 equivalence principle 1.021, 1.023
 fundamental rights *see separate entry*
 legal certainty principle 2.068, 3.047, 3.127, 4.009, 6.126, 6.153, 6.154, 6.160
 national courts 1.020, 1.021
 generalizations 2.113, 4.023, 4.107
 Germany 1.005, 2.078
 standard of proof 2.018, 2.020, 2.024
 goal of competition law 1.012
 group of companies
 administrative procedure
 parent and subsidiary 4.126
 evidential burden of proof in action
 defining perimeter of undertakings 2.077
 parent and subsidiary 2.077, 2.078
 fines 6.150, 6.181–8
 captive or ‘internal’ sales 3.125–6
 pleas 5.011
 holistic view of evidence
 delineation of undertaking 2.108
 see also undertakings
- hearsay rule 4.051–2, 4.054
 holistic view of evidence 2.102–15, 4.021, 4.040
 before or after infringement period, dated 2.106–7
 different types of evidence 2.102
 duration of infringement 3.026, 3.028
 interruptions 3.068
 fines
 effects on the market 3.133
 good narrative 2.103
 high or low probative value 2.102
 lack of strict script 2.103
 missing evidence 2.113
 counterfactual assessment 2.114
 plausible explanations 4.041
 single and continuous infringement 3.015

- variations of approach 2.109–12, 4.087
 weight/resilience of evidence 2.113–15
see also 'plausible alternative' narratives
- immunity or reduction in fines *see* leniency
 impartiality 6.010
 Commission 3.095, 6.064, 6.066, 6.151, 6.153
in dubio pro reo 2.001, 3.019, 3.102, 3.136
 inability to pay fines 3.150, 6.128, 6.129
 inculpatory v exculpatory evidence
 4.001–5, 4.066, 4.067, 4.073
 indirect evidence 4.039
 direct vs 4.007–8
 information
 asymmetries 2.067
 economic studies: missing 4.108
 ex post, information drafted *see separate entry*
 exchange of 1.036, 4.019
 from third-country authority 4.020
 request for 1.034, 1.035, 1.037, 4.018, 4.031, 4.046, 4.089
 admissibility of reply 4.013
 corroboration of reply 4.077, 4.085, 4.089
 customer of undertaking in dominant position 4.078
 evolution in account of facts 4.096
 false or incorrect information 4.056, 4.060, 6.168, 6.169
 leniency statement after 4.098
 sales figures in reply 5.035
 surveys 4.124
 to set fine 6.169
 innocence *see* presumption of innocence
 inquisitorial element 5.018, 5.019, 5.033, 5.060
 inspections 1.037, 2.001, 3.023, 4.031, 4.074, 4.100
 admissibility of evidence 4.012, 4.014, 4.015, 4.018
 Court: measures of inquiry 5.030
 oral evidence 4.010
 prior judicial authorization 1.035
 interests/motives of provider of *ex post* evidence 4.054, 4.085
 exculpatory statements 4.073–4, 5.048
 other cases 4.075–8
 reflection, period of 4.062, 4.063
 statements going against 4.061–72
 interim relief 5.003
 interview, statements by 1.036, 4.013, 4.045, 4.063
intime conviction (firm conviction) 2.019, 2.028, 2.029, 2.098, 3.018
 investigation file 3.143, 3.145, 4.031, 6.013
 access to 4.001–3
 investigative powers of Commission
 1.033–7
 joinder of cases 5.008, 5.010, 6.136
 joint criminal enterprise 3.010
 joint and several liability 5.009, 5.011, 6.181
 judge, role of
 discretion: measures of enquiry 5.036
 passive v active role and burden of proof 5.033–5
 types of measures 5.028–32
 judicial review 1.101, 5.001–4, 6.001–3
 fines 6.096–9
 legality of fine review *see below*
 unlimited jurisdiction *see separate entry*
 legality of fine review 5.002, 6.099, 6.100–8, 6.137
 relationship between unlimited jurisdiction and 6.109–23
 standard of *see separate entry*
 substantiated submissions 2.105–17, 5.020
 types of action 5.003
 law and fact *see* fact and law
 lawyers 4.062, 4.063, 5.070
 ethics 4.059
 legal certainty principle 2.068, 3.047, 3.127, 6.126, 6.153, 6.154, 6.160
 oral evidence 4.009
 legal professional privilege 1.037, 4.017, 5.017
 legality of fine review 5.002, 6.099, 6.100–8
 new evidence 6.022, 6.108

- relationship between unlimited jurisdiction and
 action pursuant to Art 263 TFEU 6.109
 boundaries not always clear in practice 6.115–21
 duty to state reasons 6.121–3
 prior finding of illegality 6.110–14, 6.137
- legality principle 1.006, 6.076
- leniency 3.148, 6.048, 6.107
 burden of proof 3.149
 contemporaneous evidence 5.049
 contestation of facts, lack of 4.125
 economic studies 4.115
 electronic files 4.006
 Notice 4.128
 (1996) 6.167
 (2002) 4.125, 6.167
 (2006) 5.049, 6.167
- oral evidence 5.046
- policy 1.009, 1.036, 2.031, 4.125, 4.129, 6.048
- standard of proof 3.149
- statements 1.036, 2.074, 4.005, 4.045, 4.046, 4.104, 5.049
 after statement of objections 4.099
 back-tracking 4.097
 consistency 4.082
 coordinated 4.100
 corroboration 2.110, 3.079, 4.054, 4.085, 4.090, 4.091, 4.100
 cross-examination 5.046
 false or incorrect 4.057–8
 lack of use of certain parts of 4.092
 motives/interests of providers 4.063, 4.071, 4.085
- oral 4.010
- problem with 5.037–8
- route of document to file 4.031
- self-serving 4.064–5
- timing 4.065, 4.098–100
- unlimited jurisdiction 6.136, 6.150, 6.151, 6.167, 6.173–4
 extending reductions to other applicants
 not raising same plea or
 submission 5.009, 6.185, 6.188
- witness statements 5.049
- limitation period
 duration of infringement 3.022, 3.024
 single and continuous infringement 3.011, 3.024
- 'limited' review *see* standard of 'limited'
 review: complex economic assessments
- manifest error
 complex economic assessments 6.028, 6.029, 6.030, 6.032, 6.035, 6.038–43, 6.046, 6.047, 6.070, 6.071, 6.072–4, 6.078, 6.093, 6.094
 legality of fine review 6.106, 6.107
- margin of appreciation 2.099, 5.067, 6.089
- margin of assessment/discretion 2.096, 2.099–101, 6.124
 complex economic (or technical) assessments 2.097–8, 2.099, 6.031–4, 6.045, 6.051, 6.075, 6.076, 6.086, 6.103
 fines 2.099, 3.116, 3.119, 3.140, 6.101, 6.102–5, 6.106, 6.114
 terminology 2.094, 6.086
- market share, very high 2.071
- market sharing agreements 3.039, 3.081, 3.082, 3.117, 3.129, 3.135, 4.119
- measures of inquiry
 Commission 1.006, 2.001, 2.095, 5.050
 EU Courts 4.059, 5.028, 5.030, 5.033, 5.034–6, 5.037, 5.043, 5.048, 5.063
- measures of organization of procedure (MPOs)
 EU Courts 4.059, 5.027, 5.028, 5.029, 5.034, 5.036
- meetings
 attenders 4.051
 corroboration 4.086, 4.088
 Court-organized informal meeting of parties 5.029
 duration of infringement 3.026, 3.052, 3.055, 3.082
 interruptions 3.069, 3.070, 3.073, 3.078, 3.079, 3.081, 3.082
 start 3.031, 3.032
 termination: meeting on future pricing 3.041

- fines 3.143
 normal business conduct 2.036
 notes of 4.004
 direct or indirect evidence 4.008
 precision 4.040
 presumption: participation in
 anticompetitive 2.072–4, 3.052,
 3.055
 memory, frailty of 4.080, 4.081
 mergers 6.027
 economic studies 4.108, 4.121
 persuasive effect of evidence 2.039
 (future) personal conduct 2.052
 perception of normality 2.043, 2.058
 risk of getting it wrong 2.057, 2.058
 standard of ‘limited’ review 6.027,
 6.031–4, 6.050
 standard of proof 2.039
 mobile phones, pre-paid 4.004
 motives/interests of provider of *ex post*
 evidence 4.054, 4.085
 exculpatory statements 4.073–4, 5.048
 other cases 4.075–8
 reflection, period of 4.062, 4.063
 statements going against 4.061–72
 National Competition Authorities (NCA)
 exchange of information between
 Commission and 1.036, 4.019
 national courts 2.112, 5.072, 5.073, 5.074,
 6.086, 6.089, 6.126
 fact and law: relevance of 1.020–3
 false or incorrect information 4.057, 4.060
 standard of proof 1.020, 1.021, 1.022,
 1.023, 2.024
 national law
 criminal or civil liability 4.069, 5.043
ne ultra petita principle 6.145–8
 new evidence 5.015, 6.008, 6.013–23, 6.108
 fair trial 6.022, 6.023
 legality of fine review 6.022, 6.108
 unlimited jurisdiction 6.022, 6.129–31
non liquet 2.009, 2.067, 5.033
 normality, perception of 2.036, 2.039, 2.040,
 2.041–3, 2.058, 2.065, 2.067, 6.092
 fines 3.134
 objective and economic justifications in
 abuse cases 3.113
 opinion polls 5.026
 oral evidence 4.033, 5.018, 5.029, 5.030,
 5.039–41
 distinguish from 5.041
 informal hearings of individuals
 5.044–5
 written witness statements 5.042–3
 fundamental rights 5.051–8, 5.064
 secondary 5.046–50
 written evidence vs 4.009–10, 4.047
 oral hearings by Commission 4.010, 5.039
 parallel conduct 2.079–87
 economic/expert reports 4.116, 4.117,
 5.066, 5.068
 parent and subsidiary *see* group of companies
 perjury 4.060
 persuasive effect of evidence 1.016,
 2.038–40
 perception of normality 2.036, 2.039,
 2.041–3
 mergers 2.043, 2.058
 personal conduct vs consequences 1.016,
 2.044–52, 3.102, 4.120, 6.069
 circumstantial evidence 2.047
 effect on trade 2.048
 mergers 2.052
 risks of getting it wrong 1.016, 2.053–64,
 6.084
 pharmaceutical sector 3.103–4
 ‘plausible alternative’ narratives
 economic studies 4.116
 precision of documents 4.041
 standard of proof 2.032–7, 2.046, 2.093,
 2.103, 2.105, 2.113, 2.115
 pleadings 5.005–11, 5.025, 5.027, 5.070
 annexes to, role of 5.022–4
 fine reductions
 extending to other applicants not
 raising same plea or submission
 5.009, 6.148, 6.180–8
 joinder of cases 5.008, 5.010
 public policy 2.016, 6.141, 6.142

- reference to another case 5.009, 6.180
 unlimited jurisdiction
 specific pleas or arguments 6.137–44
- precedent 4.024, 6.034
- precision
 contemporaneous documents 4.040–1
 information drafted *ex post* 4.040, 4.048,
 4.075, 4.079–81
 request to hear witnesses 5.048
- predatory pricing 2.061, 2.062, 2.063, 2.064,
 6.035
- preparatory documents 4.042–3
- presumption of continuity
 duration of infringement: interruptions
 3.083
- presumption of innocence 1.006, 2.002,
 2.004, 2.012–14, 2.019, 2.029, 2.045,
 6.079
- applicant raises pleas and adduces
 evidence 2.017
- defences 3.102
 burden of proof 3.086
 standard of proof 3.102
- discretion 2.096, 2.099, 2.101
- duration of infringement 3.041
- error costs 2.053, 2.054, 2.058
- evidential burden of proof in action
 defining perimeters of undertakings
 2.077
 due to strength of evidence: response
 required 2.090, 2.092
 use of ‘presumptions’ 2.068, 2.069,
 2.070, 2.077, 2.090
- fact and law 1.015, 1.023
- Germany 2.020
- margin of assessment 2.096, 2.098, 2.099,
 2.101
- question of law and 3.012, 6.080
- single and continuous infringement
 3.012–13, 3.014
- undertakings 2.023
- presumptions
 of continuity: duration of infringement
 interruptions 3.083
 evidential or subjective burden of proof:
 use of 1.019, 2.065, 2.068, 2.069–78,
 3.052, 3.055, 3.083
- innocence *see* presumption of innocence
- price abuses 2.107, 4.028, 4.120, 6.043,
 6.080
- predatory pricing 2.061, 2.062, 2.063,
 2.064, 6.035
- private life 1.006, 1.037
- privilege
 legal professional 1.037, 4.017, 5.017
 self-incrimination 1.037, 4.017, 4.020,
 5.056
- probative value 1.033
 administrative proceedings
 attitude of undertaking during
 4.125–9
 examination of witnesses during
 4.101–4
- admissibility of evidence *see separate entry*
- categories of evidence
 contemporaneous v *ex post facto*
 evidence 4.004–6
 direct v indirect evidence 4.007–8
 inculpatory v exculpatory evidence
 4.001–5, 4.066, 4.067, 4.073
 written v oral evidence 4.009–10
- contemporaneous documents *see separate
 entry*
- ex post*, information drafted *see separate
 entry*
- generalizations 2.113, 4.023, 4.107
- oath, evidence given under 4.060
- precedent 4.024
- reliability 4.011, 4.021–5, 4.048, 4.050,
 4.075
 economic studies 4.108
 settlement submissions 4.128–9
 third parties 2.115, 4.029, 4.085
 see also holistic view of evidence
- procedural autonomy principle 1.020, 1.021,
 1.023
- procedural guarantees 2.115, 4.001, 6.065
- Procedure, Rules of 5.005, 5.007, 5.009,
 5.017, 5.036, 5.037
- expert reports 5.063, 5.070
- witnesses 5.044–5, 5.070
 examination of 5.039
 summoning 5.040
 written statements 5.042, 5.043

- proportionality 1.006, 2.112, 3.087, 4.119,
 6.051, 6.117, 6.120, 6.158
 evidential burden of proof
 presumptions 2.077
 not public policy plea 6.141
 public distancing 2.072–5
 contradicting submission that no
 infringement 3.065
 interruptions 3.073, 3.075, 3.078, 3.080,
 3.081, 3.083, 3.084
 termination of participation of
 undertakings 3.045, 3.051–65
 public policy 2.069, 4.125
 Courts raise pleas involving 2.016, 6.141,
 6.142

 reasonable doubt, beyond any 2.019, 2.029,
 2.069, 3.102
 reasonable probability 2.050, 3.132–3
 rebates 2.036, 3.113, 3.124
 recidivism 3.136
 records, business 3.127
 created in ordinary course of business
 4.027
reformatio in peius 6.001
 regression analysis 3.134, 4.108
 reliability 4.011, 4.021–5, 4.048, 4.050,
 4.075
 economic studies 4.108
 resilience/weight of evidence 2.113–15
 review *see* judicial review
 risk-allocation scheme 1.006
 rule of law 2.099, 5.001, 6.010
 Rules of Procedure *see* Procedure, Rules of

 sales and turnover, value of 3.120–7
 captive or ‘internal’ sales 3.125–6
 ‘second hand’ information 4.008,
 4.037–9
 secret audio or video recordings 4.016
 secrets, business 2.036, 4.033
 access to investigation file 4.001–3
 self-incrimination 3.039, 4.066, 4.067
 privilege against 1.037, 4.017, 4.020,
 5.056
 separation of powers 6.087, 6.091
 settlement procedure 4.128–9

 silence 2.069
 single and continuous infringement 3.001–9,
 3.022, 3.023, 3.083, 6.177
 complementarity 3.007–8
 concept of single objective 3.007
 criteria 3.006
 fines 3.010, 3.024
 10 per cent limit 3.011
 one or more 3.010–15
 progressive development 3.023
 scope of individual liability of each
 undertaking 3.016–21, 3.032
 standard of judicial review 6.004
 administrative and court stages: standard
 of proof vs 1.024–32
 comprehensive review 6.004–7, 6.028,
 6.070, 6.096
 new evidence 5.015, 6.008, 6.013–23,
 6.108
 new facts and new evidence 6.017
 new pleas 6.008–12
 not unlimited jurisdiction 6.007
 fair trial 6.003, 6.056–62, 6.093
 full jurisdiction: ECtHR 1.030–2,
 5.002, 6.003, 6.052–5, 6.093
 new evidence 6.022, 6.023
 ‘limited’ *see* standard of ‘limited’ review:
 complex economic assessments
 standard of ‘limited’ review: complex
 economic assessments 6.004–5, 6.093,
 6.094
 evolution of
 Art 101 TFEU 6.028–30
 Art 102 TFEU 6.035–43
 depth 6.049–51
 intensity 6.046–8
 KME, test after 6.044–5, 6.060
 mergers 6.031–4
 origins 6.024–7
 manifest error 6.028, 6.029, 6.030,
 6.032, 6.035, 6.038–43, 6.046, 6.047,
 6.070, 6.071, 6.072–4, 6.078, 6.093,
 6.094
 today 5.067
 ‘different’ in nature 6.063–8, 6.092
 just matter of law 6.043, 6.075–84

- manifest error 6.072–4, 6.093, 6.094
 rationale 6.085–92
 what the Court does 6.069–71
 standard of proof 1.002, 1.007, 2.001–4,
 2.011, 2.070, 6.047
 administrative and court stages: standard
 of judicial review vs 1.024–32
 Art 101(3) TFEU 3.094, 3.099–104,
 3.106, 3.107
 comparative elements 2.018–21
 continuum 2.053
 different legal systems 1.005, 1.024, 2.018,
 2.019, 2.029
 duration of infringement 3.085
 start 3.031
 evolution of case law 2.022–31
 inferences 2.022, 2.025, 2.030
 fact and law 1.014
 national courts 1.020, 1.021, 1.022,
 1.023
 fines 3.136, 3.137, 3.138, 3.140, 4.119,
 6.106
 gravity of offence 3.129, 3.132, 3.134
 inability to pay 3.150
 leniency 3.149
 holistic view 2.102–15
 judges: active v passive role 5.033
 limited practical importance 2.038
 margin of assessment 2.099
 objective burden of proof and 2.010
 ‘plausible alternative’ narratives 2.032–7,
 2.046, 2.093, 2.103, 2.105, 2.113,
 2.115
 presumption of innocence 2.012, 2.029
 single and continuous infringement 3.014,
 3.018
see also persuasive effect of evidence
 statistical modelling *see* economic studies
 subsidiary *see* group of companies
 surveys 4.124

 third parties 2.115, 4.029, 4.085, 5.028,
 5.029
 timing of submission of evidence
 administrative procedure 4.065,
 4.098–100
 Court 5.025–7

 transparency 2.029, 6.114, 6.151

 undertakings 4.062, 4.069, 4.071, 5.050
 attitude during administrative proceedings
 4.125–9, 6.009
 employee statements and statements by
 4.053, 4.054, 4.084, 4.087, 5.050
 evolution in the account of the facts
 4.094, 4.095
 fundamental rights 1.006
 holistic view of evidence
 delineation of undertaking 2.108
 investigations 1.035
 presumption: defining perimeters of
 2.077
 records 3.126
see also group of companies
 United Kingdom 1.005
 United States
 oath, evidence given under 4.060
 use of document produced in 4.020
 unlimited jurisdiction 3.116, 3.140, 5.003,
 5.004, 6.001–2, 6.096–9, 6.136,
 6.150
 comprehensive review not 6.007
 fair trial 6.113
 full jurisdiction (ECtHR) 5.002,
 6.003
 Guidelines, Fining 6.128, 6.146, 6.150
 influence of 6.126, 6.151–62, 6.165
 partial annulment, reduction and
 6.163–4
 leniency 6.136, 6.150, 6.151, 6.167,
 6.173–4
 extending reductions to other applicants
 not raising same plea or
 submission 5.009, 6.185, 6.188
 limits, substantive 6.126
 nature of 6.124–5
 partial annulment and fine reduction
 6.163–4
 practice of EU Courts
 Guidelines, influence of Fining 6.128,
 6.151–62, 6.165
 Guidelines, partial annulment and
 reduction 6.163–4
 leniency 6.167, 6.173–4

- refrain from exercising unlimited jurisdiction 6.165
- reluctance to increase fine 6.166–72
- procedural legal framework
 - events after decision 6.127
 - ne ultra petita* principle 6.145–8
 - new arguments 6.128
 - new evidence 6.022, 6.129–31
 - parties must be heard 6.149–50
 - specific pleas or arguments 6.137–44
 - specific request to exercise 6.132–6
- relationship between legality of fine review
 - and
 - action pursuant to Art 263 TFEU 6.109
 - boundaries not always clear in practice 6.115–21
 - duty to state reasons 6.121–3
 - prior finding of illegality 6.110–14, 6.137
 - substantive limits 6.126
- vertical cases
 - standard of proof 2.022, 2.031
- video or audio recordings, secret 4.016
- waivers
 - legal professional privilege 4.017
 - settlement procedure 4.128
 - whistle-blowers 4.070