

UTR PRO TENNIS SERIES CODE OF CONDUCT

EFFECTIVE: September 1, 2020 to December 31, 2021 unless revised earlier

ARTICLE I: GENERAL

All references to “UTR” in these Regulations shall mean Universal Tennis LLC and “PTS” shall mean UTR Pro Tennis Series.

References in this Code of Conduct (“Code”) to the “Chief Tennis Officer” shall hereafter mean the UTR Chief Tennis Officer.

References in this Code to the “Committee” shall hereafter mean the UTR Pro Tennis Series Executive Committee.

For the purposes of this Code “Related Person” is defined as any coach, trainer, therapist, physician, management representative, agent, family member, Tournament guest, business associate or other affiliate or associate of any player, or any other person who receives accreditation at a PTS tournament at the request of the player or any other Related Person.

A. PURPOSE

UTR promulgates this Code of Conduct (“Code”) in order to maintain fair and reasonable standards of conduct by players, Related Persons and the organizers of PTS tournaments, and to protect their respective rights, the rights of the public and the integrity of the Sport of Tennis.

B. EXCLUSIVE APPLICABILITY

This Code shall be the exclusive basis for disciplinary action against any player, Related Person or tournament in the PTS, except to the extent that disciplinary jurisdiction is established in relation to such tournaments under (i) the Tennis Anti-Doping Program; (ii) the Anti-Corruption Program; and/or (iii) the Welfare Policy.

C. FINES

All monetary fines set forth in the Code are in US Dollars.

A player who has accumulated \$500 or more in unpaid fines for violations of the Code shall not be allowed to enter and play in any PTS tournament until such time as all fines have been paid.

A player who has outstanding fines at the end of the calendar year shall not be allowed to enter any PTS tournaments in the following calendar year until such time as all fines have been paid.

Players who are fined for major offences must pay all fines prior to their next event.

D. Suspension

Some offenses, including unexcused withdrawals and major offenses, may carry suspensions with them at the discretion of the Chief Tennis Officer. Appeals of suspensions can be made to the Committee.

E. Chief of Officials

The approved Chief of Officials onsite for each PTS tournament shall be the final authority for the interpretation of these Tournament Regulations, Code and the Rules of Tennis as to all matters arising that require immediate resolution at the tournament site.

ARTICLE II: ENTRY OFFENCES

A. APPLICABILITY

This Article shall only apply to all PTS tournaments.

B. ENTRY OFFENCES

1. Late Withdrawal

Any withdrawal from a player accepted into the Main Draw or Qualifying that occurs after the Acceptance Lists are published shall be considered a Late Withdrawal and will be penalised.

Prior to the Freeze Deadline, players are allowed one free withdrawal and two excused medical withdrawals per calendar year with written email notice to UTR (pts@universaltennis.com) without penalty. Any withdrawal not meeting the above criteria will result in up to a \$500 fine.

After the Freeze Deadline, any player accepted into the singles Main Draw or Qualifying who withdraws must provide a medical note to UTR (pts@universaltennis.com) and are allowed two excused medical withdrawals per calendar year, inclusive of the withdrawals prior to the Freeze Deadline and vice versa. Any withdrawal not meeting the above criteria will result in up to a \$750 fine.

After the Freeze Deadline, any player accepted into the singles Main Draw or Qualifying who withdraws or fails to appear for the Tournament without notifying UTR and the Tournament Organizer, of their withdrawal and without submitting his official withdrawal, shall be subject to the penalties provided for No Show. Any withdrawal not meeting the above criteria will result in up to a \$1,000 fine.

Players who meet the medical exception for Late Withdrawal offences written above should email UTR (pts@universaltennis.com) and provide them the appropriate documentation so the Late Withdrawal penalty can be removed from the player's Code record.

Players who have been subject to Automatic Withdrawals will not be fined.

(Note: an excused withdrawal is valid for two consecutive tournament weeks in the same location provided the player withdraws as above)

2. No Show

A player will have committed a No Show Offence if:

a) They are accepted into the Qualifying and fail to arrive on-site for their first match in the tournament without validly withdrawing from the Tournament in advance of their first round. The Chief of Officials may waive the No Show Offence for a player who arrives on-site after the scheduled commencement time for their first match, and penalise them for the On-Site Offence of Punctuality instead.

b) They are accepted into the Main Draw and fail to arrive on-site for their first match in the tournament without validly withdrawing from the Tournament in advance of their first round Main Draw match. The Chief of Officials may waive the No Show Offence for a player who arrives on-site after the scheduled commencement time for their first match, and penalise them for the On-Site Offence of Punctuality instead.

A player that commits a No Show violation may not use an on-site medical certificate to appeal a penalty.

No Show Offence fines will be a minimum of \$1,000, as determined by the Chief Tennis Officer.

In circumstances that are flagrant and particularly injurious to the success of a PTS tournament, or are singularly egregious, a single violation of this Section shall also constitute the Major Offence of "Aggravated Behaviour".

3. On-Site Medical Withdrawal

If a player is forced to retire or withdraw during a tournament for medical reasons, a medical certification must be completed by the on-site Tournament Doctor / Sports Physiotherapist verifying that the player is unfit to continue playing in the current tournament and emailed to UTR (pts@universaltennis.com). Violation of this section shall subject a player to a fine of up to \$500.

A player that has endured a medical condition during the tournament week, but who completes their tournament matches, may obtain a medical certificate from the Tournament Doctor/Sports Physiotherapist that can be used to withdraw from the following week's tournament without penalty, within 24 hours of completing their final match.

If the player wishes to use the Medical Certificate to withdraw from the following week's tournament then the player must inform the Tournament Organizer and UTR (pts@universaltennis.com)

immediately after obtaining medical clearance. Violation of this section shall subject a player to a fine of up to \$500.

A valid medical certificate will excuse a Late Withdrawal penalty for any subsequent tournament until the player next competes in any tennis event, provided that a withdrawal form for each tournament is submitted prior to the relevant Freeze Deadline. A player must email the medical certificate to UTR (pts@universaltennis.com) for each subsequent tournament that the player wishes to use the medical certificate.

C. WILD CARDS

No player or Related Person, directly or indirectly, shall offer, give, solicit, receive or accept, or agree to offer, give, solicit, receive or accept anything of value in exchange for a Wild Card. Violation of this section by a player or Related Person shall result in a fine of up to \$5,000.

In circumstances that are flagrant and particularly injurious to the success of a PTS tournament, or are singularly egregious, a single violation of this Section shall also constitute the Major Offence of "Aggravated Behaviour".

D. DETERMINATION AND PENALTY

UTR and the Tournament Organizer shall make such an investigation as is reasonable to determine the facts regarding all entry offences and upon determining that a violation has occurred shall specify the fine and/or other punishment therefore and where possible notify the player.

E. PAYMENT OF FINES

All fines levied for entry offences shall be paid by the player within ten (10) days after the notice thereof is provided. Unpaid fines shall also be collected at other PTS tournaments for remission to the UTR.

F. FALSIFYING OFFICIAL DOCUMENTATION

Should a player submit documentation that UTR deems to be false evidence, including, but not limited to, documents pertaining to tournament entry and withdrawal and Code appeals, the player shall be subject to a fine of up to \$500 in addition to any other fines provided in the Code.

In circumstances that are flagrant and particularly injurious to the success of the tournament, or are singularly egregious, a single violation of this section shall also constitute the Major Offence of "Aggravated Behaviour".

G. APPEALS

Any player found to have committed an Entry Offence may, after paying all fines as above provided, appeal the offence and/or any fine imposed to the Executive Committee, which shall determine the

matter. The appeal shall be made in writing over email (pts@universaltennis.com) and must be filed with UTR by 12:00pm American Eastern Standard Time within seven (7) days from the date the player is notified of the violation. The appeal must include a statement by the player as to the facts and circumstances of the incident along with any other evidence the player wishes to submit.

Please note that the appeals made after seven (7) days following the notification to a player of an Entry Offence, may not be appealed. The use of an amnesty may not be appealed.

ARTICLE IV: ON-SITE OFFENCES

A. GENERAL

Every player shall, during all matches and at all times while within the precincts of the site conduct himself/herself in a professional manner. The provisions below shall apply to each player's conduct while within the precincts of each such site, and references to the site shall include tournament hotels, transport, all tournament facilities and locations of tournament functions or activities.

B. PUNCTUALITY

Matches shall follow each other without delay in accordance with the announced order of play. The order of play shall be posted at a highly visible place in a general players' area as designated by the Tournament Organizer.

Matches shall be called in accordance with the order of play using all available and reasonable means. Players shall be ready to play when their matches are called.

1. Any player not ready to play within ten (10) minutes after his match is called may be fined \$50.
2. Any player not ready to play within fifteen (15) minutes after his match is called may be fined up to an additional \$200 and shall be defaulted unless the Tournament Organizer in their sole discretion, after consideration of all relevant circumstances, elects not to declare a default. The player may also be subject to the additional penalties.

This section applies only to those players who are or have been on-site or who have signed-in with the referee by telephone during the Tournament Week.

C. DRESS AND EQUIPMENT

Every player shall dress and present himself/herself for play in a professional manner. Clean and customarily acceptable tennis attire shall be worn.

Any player who violates this Section may be ordered by the Tournament Organizer, Chief of Officials, or Chair Umpire to change his/her attire or equipment immediately. Failure of a player to comply with such order may result in an immediate default. (UTR reserves the right to interpret the following rules so as to give effect to the intent and purposes of these Regulations.)

1. Unacceptable Attire

Sweatshirts, gym shorts, dress shirts, T-shirts or any other inappropriate attire shall not be worn during a match (including the warm-up.)

2. Shoes

Players are required to wear tennis shoes generally accepted as proper tennis attire. Shoes shall not cause damage to the court other than what is expected during the normal course of a match or practice. Damage to a court may be considered as physical or visible, which may include a shoe that leaves mark beyond what is considered acceptable. The Tournament Organizer, Chief of Officials and/or Chair Umpire has the authority to determine that a shoe does not meet these criteria and may order the player to change.

3. Grass Court Shoes

At grass court tournaments no grass court shoes other than those with rubber soles, without heels, ribs, studs or coverings, shall be worn by players. Shoes with pimples or studs around the outside of the toes shall not be permitted. The foxing around the toes must be smooth.

4. Clay Court Shoes

Players are required to wear tennis shoes generally accepted for play on clay courts or granular surfaces. Grass court shoes shall not be worn during a match on clay courts.

3. Identification

No identification shall be permitted on a player's clothing, products or equipment on court during a match or at any press conference or tournament ceremony, except as follows:

Mens PTS tournaments

Shirt, Sweater or Jacket

i. Sleeves. Two (2) positions for commercial (i.e. non-manufacturer's) or manufacturer's identification for each sleeve, neither of which exceeds six (6) square inches (39 sq.cm), shall be permitted. Maximum of two (2) identifications may be placed within each six (6) square inch position. Identifications may contain writing.

ii. Sleeveless. Two (2) positions of the manufacturer's or commercial identification, neither of which exceeds six (6) square inches (39 sq.cm) may be placed on the front or collar of the shirt. If no more than one (1) identification is placed on the front or collar of the shirt, then one (1) manufacturer identification may be placed on the back of the shirt, not to exceed four (4) square inches (26 sq. cm). Identifications may contain writing.

iii. Front, Back and Collar. Two (2) positions of the manufacturer's or commercial identifications, neither of which exceeds six (6) square inches (39 sq.cm) may be placed in any location on the front or on the collar. Alternatively, one (1) manufacturer's or commercial identification which may not exceed six (6) square inches (39 sq.cm) may be placed on the front or collar and then an additional manufacturer's

identification, not to exceed four (4) square inches (26 sq.cm), may be placed on the back. Identifications may contain writing.

Other. Identification of the clothing manufacturer, without the name of the manufacturer or any other writing, may be placed once or repeatedly within an area not to exceed twelve (12) square inches (77.5 sq.cm) in one of the following positions:

- On each of the shirt sleeves (if a manufacturer's identification is not on the sleeves pursuant to the section i. above); or
- On the outer seams (sides of torso) of the shirt.

Shorts

Two (2) manufacturer's identifications, neither of which exceeds two (2) square inches (13 sq.cm) may be placed on the front or back of the shorts; or two (2) manufacturer's identification neither of which exceeds four (4) square inches (26 sq.cm) may be placed as follows: one (1) identification on the front and one (1) identification on the back of the shorts. Identifications may contain writing.

On compression shorts and/or compression sleeves, two (2) manufacturer's identification not to exceed two (2) square inches (13 sq.cm) or one (1) manufacturer's identification which must not exceed four (4) square inches (26 sq.cm). These shall be in addition to the manufacturer's identifications permitted on shorts.

Socks/Shoes

Manufacturer's identifications on each sock and on each shoe shall be permitted.

Racquet

Manufacturer's identifications on racquet and strings shall be permitted.

Hat, Headband or Wristband

One (1) manufacturer's identification and/or one (1) commercial identification, neither of which exceeds four (4) square inches (26 sq.cm), shall be permitted on hats or headbands. The commercial identification must be located on the side of the hat/headband and worn so that it is positioned on the side of the head. One (1) manufacturer's identification not to exceed four (4) square inches (26 sq.cm) will be permitted on a wristband.

Bags, Towels, Other Equipment or Paraphernalia

Tennis equipment manufacturer's identifications, on each item plus two (2) separate commercial identifications on one (1) bag, neither of which exceeds six (6) square inches (39sq.cm) shall be permitted.

Women's PTS tournaments

Shirt, Sweater or Jacket

Sleeves. One (1) commercial (non-manufacturer's) identification for each sleeve, neither of which exceeds four (4) square inches (26 sq.cm), plus one (1) manufacturer's identification on each sleeve, neither of which exceeds four (4) square inches (26 sq.cm) shall be permitted. Identifications may contain writing.

Sleeveless: The two (2) commercial (non-manufacturer's) identifications permitted on the sleeves above, neither of which shall exceed four (4) square inches (26 sq.cm), may be placed on the front of the garment. Identifications may contain writing.

Front, Back and Collar: Total of two (2) manufacturer's identifications, neither of which exceeds two (2) square inches (13 sq.cm) or one (1) manufacturer's identification, which does not exceed four (4) square inches (26 sq.cm) may be placed in any of these three locations. Identifications may contain writing.

Other: Identification of the clothing manufacturer, without the name of the manufacturer or any other writing, may be placed once or repeatedly within an area not to exceed twelve (12) square inches (77.5 sq.cm) in one of the following positions:

- a. On each of the shirt sleeves (if a manufacturer's identification is not on the sleeves pursuant to the section i. above); or
- b. On the outer seams (sides of torso) of the shirt

Shorts / Skirts/ Compression Shorts / Leggings

On short and skirts, two (2) manufacturer's identifications, neither of which exceeds two (2) square inches (13 sq.cm), or one (1) manufacturer's identification which does not exceed four (4) square inches (26 sq.cm) shall be permitted.

On leggings or mid-thigh compression shorts, worn with a skirt or shorts, one (1) manufacturer's identification not to exceed two (2) square inches (13 sq.cm) and which shall be in addition to the manufacturer's identifications on shorts/skirts shall be permitted. Identifications may contain writing.

On leggings or mid-thigh compression shorts, worn without a skirt or shorts, allowed up to two (2) manufacturer's identifications, neither of which exceeds two (2) square inches (13 sq.cm), or one (1) manufacturer's identification which does not exceed four (4) square inches (26 sq.cm) shall be permitted.

Note: A dress for the purposes of permissible identification shall be treated as a combination of a skirt and a shirt (dividing dress at waist).

Socks / Shoes

Manufacturer's identifications on each sock and on each shoe shall be permitted. The identifications on the sock(s) on each foot shall be limited to a maximum of two (2) square inches (13 sq.cm). Identifications may contain writing.

Racquet

Manufacturer's identifications on racquet and strings shall be permitted.

Hat, Headband or Wristband

One (1) manufacturer's identification not to exceed three (3) square inches (19.5 sq.cm) shall be permitted on wristbands.

For hats or headbands, one (1) manufacturer's identification on the front and one (1) commercial (non-manufacturer's) identification on the side, both of which may contain writing not to exceed three (3) square inches (19.5 sq.cm). Identifications may contain writing.

Hats, headbands or wristbands with the WTA logo (in addition to manufacturer's and commercial ID) shall not exceed two (2) square inches (13 sq.cm).

Bags, Other Equipment or Paraphernalia

Tennis equipment manufacturer's identifications on each item plus two (2) separate commercial identifications on one (1) bag, neither of which exceeds four (4) square inches (26 sq.cm) shall be permitted.

Another Tennis, Sport or Entertainment Event

Notwithstanding anything to the contrary hereinabove set forth the identification by use of the name, emblem, logo, trademark, symbol or other description of any tennis circuit, series of tennis events, tennis exhibition, tennis tournament, any other sport or entertainment event is prohibited on all dress or equipment, unless otherwise approved by UTR.

General

All identifications should be firmly attached at all points on the clothing or equipment

No identification shall be permitted on player's clothing or equipment that promotes/displays betting companies, tobacco or e-cigarette products, hard liquor products, political activity or other categories deemed to be detrimental to the sport of tennis or UTR.

In the event the utilisation of any of the foregoing permitted commercial identifications would violate any governmental regulation with respect to television, then the same shall be prohibited.

For the purposes of this rule, the manufacturer means the manufacturer of the clothing or equipment in question.

In addition, the size limitation shall be ascertained by determining the area of the actual patch or other addition to a player's clothing without regard to the colour of the same. In determining area, depending on the shape of the patch or other addition, a circle, triangle or rectangle shall be drawn around the same and the size of the patch for the purpose of this Rule shall be the area within the circumference of the circle or the perimeter of the triangle or rectangle as the case may be.

Warm-up Clothing

Players may wear warm-up clothing during the warm-up and during a match provided it complies with the foregoing provisions and provided further that the players obtain approval of the Chair Umpire prior to wearing warm-up clothing during a match.

Taping

No taping over of logos/patches shall be allowed.

Fines

Any player who violates this Section and is not defaulted shall be subject to the following fines:

a. Unacceptable Attire

Violation of the provisions with respect to Unacceptable Attire shall result in a fine of up to \$250;

- **Manufacturer's Identification**
Violation of the provisions with respect to manufacturer's identifications shall result in a fine of up to \$250;
- **Commercial Identification**
Violation of the provisions with respect to commercial identifications shall result in a fine of up to \$250;
- **Another Tennis Event**
Violation of the provisions with respect to the name of an event shall result in a fine of up to \$250.

D. START OF MATCH / TIME VIOLATION / DELAY OF GAME

Start of match

A maximum of sixty (60) seconds shall elapse from when the last player arrives to his/her seat on court until the players are ready for the pre-match meeting with the Chair Umpire. This will be followed immediately by the warm-up period, which will last no longer than five (5) minutes. At the end of the warm-up period the players have sixty (60) seconds to be ready to start the match.

During play

Following the expiration of the warm-up period play shall be continuous and a player shall not unreasonably delay a match for any cause.

A maximum of twenty-five (25) seconds shall elapse from the moment the ball goes out of play at the end of the point until the time the ball is struck for the first serve of the next point. If such serve is a fault, then the second serve must be struck by the server without delay.

When changing ends, a maximum of ninety (90) seconds shall elapse from the moment the ball goes out of play at the end of the game until the time the first serve is struck for the next game. If such first serve is a fault the second serve must be struck by the server without delay. However, after the first game of each set and during a tie-break, play shall be continuous, and the players shall change ends without a rest period.

At the conclusion of each set, regardless of the score, there shall be a set break of one hundred and twenty (120) seconds from the moment the ball goes out of play at the end of the set until the time the first serve is struck for the next set. If a set ends after an even number of games, there shall be no change of ends until after the first game of the next set.

The receiver shall play to the reasonable pace of the server and shall be ready to receive within a reasonable time of the server being ready. A Time Violation may be issued prior to the expiration of twenty-five (25) seconds if the receiver's actions are delaying the reasonable pace of the server.

The first violation of this Section, as either server or receiver, shall be penalised by a Time Violation - Warning and each subsequent violation, as either server or receiver, shall be penalised as follows:

- Server The Time Violation shall result in a "fault"
 - Receiver The Time Violation shall result in a "point penalty"
- In each case, the Chair Umpire/Supervisor may determine that an extension of time is necessary and/or decide not to impose any penalty.
- When a violation is a result of a medical condition, refusal to play or not returning to the court within the allowed time a Code Violation (Delay of Game) penalty shall be assessed in accordance with the Point Penalty Schedule.

E. AUDIBLE OBSCENITY (AOB)

Players shall not use an audible obscenity within the precinct of the tournament site. Violation of this Section shall subject a player to a fine up to \$500 for each violation. In addition, if such violation occurs during a match (including the warm-up), the player shall be penalised in accordance with the Point Penalty Schedule below. In circumstances that are flagrant and particularly injurious to the success of a tournament, or are singularly egregious, a single violation of this Section shall also constitute the Major Offence of "Aggravated Behaviour" and shall be subject to the additional penalties below therefore.

For the purposes of this Rule, audible obscenity is defined as the use of words commonly known and understood to be profane and uttered clearly and loudly enough to be heard by the Court Officials or spectators.

F. VISIBLE OBSCENITY (VOB)

Players shall not make obscene gestures of any kind within the precincts of the tournament site. Violation of this Section shall subject a player to a fine up to \$500 for each violation. In addition, if such violation occurs during a match (including the warm-up), the player shall be penalised in accordance with the Point Penalty Schedule below. In circumstances that are flagrant and particularly injurious to the success of a tournament, or are singularly egregious, a single violation of this Section shall also constitute the Major Offence of “Aggravated Behaviour” and shall be subject to the additional penalties below.

For the purposes of this Rule, visible obscenity is defined as the making of signs by a player with his hands and/or racquet or balls that commonly have an obscene meaning.

G. VERBAL ABUSE (VA)

Players shall not at any time directly or indirectly verbally abuse any official, opponent, sponsor, spectator or other person within the precincts of the tournament site.

Violation of this Section shall subject a player to a fine up to \$500 for each violation. In addition, if such violation occurs during a match (including the warm-up), the player shall be penalised in accordance with the Point Penalty Schedule below. In circumstances that are flagrant and particularly injurious to the success of a tournament, or are singularly egregious, a single violation of this Section shall also constitute the Major Offence of “Aggravated Behaviour” and shall be subject to the additional penalties below.

For the purposes of this Rule, verbal abuse is defined as a statement about an official, opponent, sponsor, spectator or other person that implies dishonesty or is derogatory, insulting or otherwise abusive.

H. PHYSICAL ABUSE (PhA)

Players shall not at any time physically abuse any official, opponent, spectator or other person within the precincts of the tournament site.

Violation of this Section shall subject a player to a fine up to \$500 for each violation. In addition, if such violation occurs during a match (including the warm-up), the player shall be penalised in accordance with the Point Penalty Schedule below. In circumstances that are flagrant and particularly injurious to the success of a tournament, or are singularly egregious, a single violation

of this Section shall also constitute the Major Offence of “Aggravated Behaviour” and shall be subject to the additional penalties below.

For the purposes of this Rule, physical abuse is the unauthorised touching of an official, opponent, spectator or other person.

I. ABUSE OF BALLS (BA)

Players shall not violently, dangerously or with anger hit, kick or throw a tennis ball within the precincts of the tournament site except in the reasonable pursuit of a point during a match (including the warm-up). Violation of this Section shall subject a player to a fine up to \$250 for each violation. In addition, if such violation occurs during a match (including the warm-up), the player shall be penalised in accordance with the Point Penalty Schedule below.

For the purposes of this Rule, abuse of balls is defined as intentionally hitting a ball out of the enclosure of the court, hitting a ball dangerously or recklessly within the court or hitting a ball with negligent disregard of the consequences.

J. ABUSE OF RACQUETS OR EQUIPMENT (RA)

Players shall not violently or with anger hit, kick or throw a racquet or other equipment within the precincts of the tournament site. Violation of this Section shall subject a player to a fine up to \$250 for each violation. In addition, if such violation occurs during a match (including the warm-up), the player shall be penalised in accordance with the Point Penalty Schedule below.

For the purposes of this Rule, abuse of racquets or equipment is defined as intentionally and violently destroying or damaging racquets or equipment or intentionally and violently hitting the net, court, umpire’s chair or other fixture during a match out of anger or frustration.

K. COACHING AND COACHES (CC)

Players shall not receive coaching during a match. Communications of any kind, audible or visible, between a player and a coach may be construed as coaching. Players shall also prohibit their coaches (1) from using audible obscenity within the precincts of the tournament site, (2) from making obscene gestures of any kind within the precincts of the tournament site, (3) from verbally abusing any tournament staff, official, opponent, spectator or other person within the precincts of the tournament site, (4) from physically abusing any tournament staff, official, opponent, spectator or other person within the precincts of the tournament site and (5) from giving, making, issuing, authorising or endorsing any public statement within the precincts of the tournament site having, or designed to have, an effect prejudicial or detrimental to the best interest of the tournament and/or of the officiating thereof.

Violation of this Section shall subject a player to a fine up to \$500 for each violation. In addition, if such violation occurs during a match (including the warm-up), the player shall be penalised in accordance with the Point Penalty Schedule below. In circumstances that are flagrant and particularly injurious to the success of a tournament, or are singularly egregious, a single violation of this section shall also

constitute the Major Offence of “Aggravated Behaviour” and shall be subject to the additional penalties below and the Tournament Organizer may order the Coach to be removed from the site of a match or the precincts of the tournament site and may declare an immediate default of such player.

For the purposes of this Rule, a “coach” shall also include any representative and/or relative of a player.

L. UNSPORTSMANLIKE CONDUCT (UnC)

Players shall at all times conduct themselves in a sportsmanlike manner and give due regard to the authority of officials and the rights of opponents, spectators and others. Violation of this Section shall subject a player to a fine up to \$500 for each violation. In addition, if such violation occurs during a match (including the warm-up), the player shall be penalised in accordance with the Point Penalty Schedule below. In circumstances that are flagrant and particularly injurious to the success of a tournament, or are singularly egregious, a single violation of this Section shall also constitute the Major Offence of “Aggravated Behaviour” and shall be subject to the additional penalties below.

For the purposes of this Rule, unsportsmanlike conduct is defined as any misconduct by a player that is clearly abusive or detrimental to the Competition, the ITF or the sport of tennis. In addition, unsportsmanlike conduct shall include, but not be limited to, the giving, making, issuing, authorising or endorsing any public statement having, or designed to have, an effect prejudicial or detrimental to the best interests of the tournament and/or the officiating thereof.

M. BEST EFFORTS (BE)

A player shall always use his best efforts to win a match when competing. Violation of this section shall subject a player to a fine up to \$500 for each violation.

For purposes of this Rule, the Chief of Officials and/or the Chair Umpire shall have the authority to penalise a player in accordance with the Point Penalty Schedule. In circumstances that are flagrant and particularly injurious to the success of a tournament, or are singularly egregious, a single violation of this Section shall also constitute the Major Offence of “Aggravated Behaviour” and shall be subject to the additional penalties below.

N. LEAVING THE COURT (LC)

A player shall not leave the court area during a match (including the warm-up) without the permission of the Chair Umpire. Violation of this Section shall subject a player to a fine up to \$250 for each violation. In addition, the player may be defaulted and subjected to the additional penalties for Failure to Complete Match as below.

O. FAILURE TO COMPLETE MATCH OR TOURNAMENT (FCM)

A player must complete a match in progress, and complete the tournament, unless he/she is reasonably unable to do so. Violation of this Section shall subject a player to a fine up to \$750.

In circumstances that are flagrant and particularly injurious to the success of the tournament, or are singularly egregious, a single violation of this Section shall also constitute a Major Offence of “Aggravated Behaviour” and shall be subject to the additional penalties below.

P. CEREMONIES (Cer)

A player participating in the finals of a PTS tournament must attend and participate in the final ceremonies after the match unless he/she is reasonably unable to do so. Violation of this Section shall subject a player to a fine up to \$250.

Q. MEDIA CONFERENCE (MC)

Unless injured and physically unable to appear, a player or team must attend the post-match media conference(s) organised immediately or within thirty (30) minutes after the conclusion of each match, including walkovers, whether the player or team was the winner or loser, unless such time is extended or otherwise modified by the Tournament Organizer for good cause. Violation of this Section shall subject a player to a fine up to \$250.

R. POINT PENALTY SCHEDULE

The Point Penalty Schedule to be used for violations set forth above is as follows:

1. FIRST offence WARNING
2. SECOND offence POINT PENALTY
3. THIRD and each subsequent offence GAME PENALTY

However, after the third Code Violation, the Chief of Officials shall determine whether each subsequent offence shall constitute a default.

The imposition of a penalty under the Point Penalty Schedule shall be final and unappealable.

S. DEFAULTS

The Chief of Officials may declare a default for either a single violation of this Code (Immediate Default) or pursuant to the Point Penalty Schedule set out above. In all cases of default, the decision of the Chief of Officials shall be final and unappealable.

Subject to the exceptions specified below, any player who is defaulted shall be subject to the following penalties:

- a) loss of all prize money earned for that event at that tournament, and
- b) a fine of up to \$250 in addition to any or all other fines levied with respect to the offending incident, and

c) at the UTR's final and unappealable discretion, suspension from the ability to play in future PTS

The exceptions to the additional penalties set out above are:

- the player was defaulted for a violation of the Punctuality or Dress and Equipment provisions
- the player was defaulted as a result of a medical condition

Default of a player from the remainder of the tournament may include at the Tournament Organizer's discretion the removal of accreditation and denial of access to the site.

U. DETERMINATION AND PENALTY

The Chief of Officials shall make such investigation as is reasonable to determine the facts regarding all On-Site Offences and upon determining that a violation has occurred shall specify the fine and/or other punishment therefor and give written notice thereof to the player. Notwithstanding anything contained herein to the contrary, the Chief of Officials may, at his discretion, limit the fines levied during any tournament qualifying event to a maximum of \$100 for each violation.

V. PAYMENT OF FINES

If a player owes any fines and/or fees, then UTR shall deduct any unpaid fines and fees from a player's prize money. These fines and fees will be communicated promptly by the Tournament Organizer to UTR within 2 (2) days after violation or within one business day after completion of the PTS tournament.

W. APPEALS

Any player found to have committed an On-Site Offence may, after paying all fines as provided above, appeal the determination of a violation and/or the punishment imposed (but not any point penalties or defaults) to the Executive Committee. The appeal shall be made in writing over email and must be filed by 12:00pm American Eastern Standard Time within seven (7) days from the date the player is notified of the violation. The appeal must include a statement by the player as to the facts and circumstances of the incident along with any other evidence the player wishes to submit.

ARTICLE VI: MAJOR OFFENCES

A. AGGRAVATED BEHAVIOUR

No player or Related Person at any PTS tournament shall engage in "Aggravated Behaviour" which is defined as follows:

1. One or more incidents of behaviour designated in this Code as constituting "Aggravated Behaviour";
2. One incident of behaviour that is flagrant and particularly injurious or is singularly egregious

3. A series of two (2) or more violations of this Code within a twelve (12) month period which singularly do not constitute "Aggravated Behaviour", but when viewed together establish a pattern of conduct that is collectively egregious and is detrimental or injurious.

In addition, any player or Related Person who, directly or indirectly, offers or provides or receives any money, benefit or consideration to or from any other Covered Person or third party in exchange for access and/or accreditation to the tournament site shall be deemed to have engaged in Aggravated Behaviour and be in violation of this Section.

Violation of this Section by a player, directly or indirectly through a Related Person or others, shall subject a player to a fine of up to \$5,000 or the amount of prize money won at the tournament, whichever is greater, and a maximum penalty of permanent suspension from play in any PTS tournament.

Violation of this Section shall subject a Related Person to a maximum penalty of permanent revocation of accreditation and denial of access to any PTS tournament or UTR event.

B. CONDUCT CONTRARY TO THE INTEGRITY OF THE GAME

No player or Related Person shall engage in conduct contrary to the integrity of the game of tennis. If a player is convicted of the violation of a criminal or civil law of any country, the player may be deemed by virtue of such conviction to have engaged in conduct contrary to the integrity of the game of tennis and the Chief Tennis Officer may provisionally suspend such player from further participation in the PTS pending a final determination from the Executive Committee. In addition, if a player has at any time behaved in a manner severely damaging to the reputation of the sport, the player may be deemed by virtue of such behaviour to have engaged in conduct contrary to the integrity of the game of tennis and be in violation of this Section. Violation of this Section by a player, directly or indirectly through a Related Person or others, shall subject a player to a fine up to \$5,000 and/or to a maximum penalty of permanent suspension from play in any PTS tournament or UTR event.

Violation of this Section shall subject a Related Person to a maximum penalty of permanent revocation of accreditation and denial of access to any PTS tournament or UTR event.

C. DETERMINATION AND PENALTY

UTR will investigate facts concerning any alleged Major Offence. All Players and Related Persons must cooperate fully with such investigations. UTR may make a written demand to a Player or Related Person (a "Demand") to furnish to UTR any information that may evidence or lead to the discovery of evidence of a Major Offence, including (without limitation) requiring the Player or other Related Person to attend an interview and/or to provide a written statement setting forth his/her knowledge of the relevant facts and circumstances. The Player or Related Person must furnish such information within seven business days of the making of such Demand, or within such other deadline as may be specified by UTR.

Where, as the result of an investigation, UTR forms the view that a Player or Related Person has a case to answer for commission of a Major Offence, UTR shall refer the matter to the Executive Committee.

Provisional Suspension

At the time, afterwards, or (exceptionally) before, it issues a Notice of Charge, UTR may impose a Provisional Suspension on the Player or Related Person in question pending determination of the charge(s), where it considers it necessary to protect the integrity and/or reputation of the competition, UTR, and/or the sport of tennis.

Where a Provisional Suspension is imposed, UTR shall notify the Player or Related Person of his/her right at their election, to make an application with supplying evidence or documentation to the Executive Committee convened to hear his/her case immediately following notice of suspension.

A Player or Related Person may not, during the period of any Provisional Suspension, play, coach or otherwise participate in any capacity in any PTS tournament or UTR event.

D. PAYMENT OF FINES

All fines levied for Major Offences shall be paid by the player to UTR within thirty (30) days after receipt of written notice thereof. If the fine is not paid in thirty (30) days UTR will instruct:

- a) the next PTS tournament to require the player to pay the entire fine prior to playing; or
- b) withhold prize money due to the player until settlement is made; and

ARTICLE VII: MEDICAL CONTROL – ANTI-DOPING POLICY

Any Player, Player Support Personnel or other Person who enters or participates in the PTS shall be bound by and shall comply with all of the provisions of standard international tennis anti- doping programs and any anti-doping programs from their country of nationality.

ARTICLE VIII: TOURNAMENT OFFENCES

A. APPLICABILITY

This Article shall apply to each PTS tournament and any Applicant for such an event. References in this Article to a "Tournament" shall hereafter mean a PTS tournament or applicant for such a tournament, and where applicable refers to the legal entity (personal or corporate) that is applying for, administering, operating or otherwise organising the PTS tournament.

B. GUARANTEES

The owner(s), operator(s), sponsor(s) or agent(s) of a Tournament shall not offer, give or pay money or anything of value, nor shall such a tournament permit any other person or entity to offer, give or pay

money or anything of value to a player, directly or indirectly, to influence or guarantee a player's appearance at a Tournament other than prize money and permitted amateur expenses, unless authorized to do so by UTR. Violation of this Section shall subject the tournament to a fine up to \$5,000 plus the amount or value of any such payment, disqualification and removal from the PTS.

C. WILD CARDS

No Tournament, directly or indirectly, shall offer, give, solicit, receive or accept, or agree to offer, give, solicit, receive or accept anything of value in exchange for a Wild Card. Violation of this section shall subject the tournament to a fine of up to \$5,000, and/or forfeiture of all sums, if any, previously paid to the UTR, and/or withdrawal from the PTS.

D. CONDUCT CONTRARY TO THE INTEGRITY OF THE GAME

No Tournament, or any owner, promoter or operator thereof, shall engage in conduct contrary to the integrity of the sport of tennis.

Violation of this Section shall subject the Tournament to a fine up to \$5,000.

E. UTR PRO TENNIS SERIES RULES, STRUCTURE AND FORMAT

No Tournament shall violate any provisions of these PTS Rules, structure, and/or format. Violation of this Section shall subject the tournament to withdrawal of from the PTS and a fine up to \$5,000.

F. LATE CANCELLATION

No Tournament shall cancel less than sixty (60) days prior to the scheduled commencement of the event.

Violation of this section shall subject the Tournament to a fine of up to \$5,000 and/or denial of subsequent applications.

G. DETERMINATION AND PENALTY

UTR shall cause an investigation to be made of all facts concerning any alleged Tournament Offence by a Tournament and shall provide written notice of such investigation to the Tournament involved. The Tournament must cooperate fully with such investigations.

UTR may make a written demand to a Tournament (a "Demand") to furnish to UTR any information that may evidence or lead to the discovery of evidence of a Tournament Offence, including (without limitation) requiring the Tournament to attend an interview and/or to provide a written statement setting forth its knowledge of the relevant facts and circumstances. The Tournament must furnish such information within seven business days of the making of such Demand, or within such other deadlines as may be specified by UTR.

WELFARE POLICY

Any coach, trainer, manager, agent, medical or para-medical personnel and/or family member, tournament guest, or other similar associate of any player (together "Player Support Team Member"), any player and any tournament personnel, such as an official, tournament director, staff, volunteer, sponsor, health care provider, UTR staff member and members of the media (together "Credentialed Person") shall conduct himself/herself in a professional manner at all times and shall be bound by and shall comply with this Welfare Policy. In this Welfare Policy, Player Support Team Members, players and Credentialed Persons shall be defined as "Covered Persons".

Elements of the Welfare Policy.

- i. Application Covered Persons shall be familiar with, and must abide by, this Welfare Policy.
- ii. Unfair and/or Discriminatory Conduct

a) Covered Persons shall not engage in unfair or unethical conduct including any attempt to injure, disable or intentionally interfere with the preparation or competition of any player.

b) Covered Persons shall not discriminate in the provision of services on the basis of race, ethnicity, gender, national origin, religion, age or sexual orientation.

Abuse of Authority; Abusive Conduct

a) Covered Persons shall not abuse his or her position of authority or control, and shall not attempt to or compromise the psychological, physical or emotional wellbeing of any player, Covered Person, parent, spectator or member of the press/media.

b) Covered Persons shall not engage in abusive conduct, either physical or verbal, or threatening conduct or language directed toward any Covered Person, parent, spectator or member of the press/media.

c) Covered Persons shall not exploit any player relationship to further personal, political or business interests at the expense of the best interests of the player.

Sexual Conduct

In order to prevent sexual abuse and the negative consequences resulting from the imbalance of a dual relationship, sexual conduct of any kind between any player and his/her Player Support Team Members and/or Credentialed Persons is discouraged.

In addition, the following conduct is specifically prohibited:

a) Covered Persons shall not make sexual advances towards, or have any sexual contact with, any player who is (i) under the age of 17, or (ii) under the age of legal majority in the jurisdiction where the conduct takes place or where the player resides.

b) Covered Persons shall not sexually abuse a player of any age. Sexual abuse is defined as the forcing of sexual activity by one person on another person (i) of diminished mental capacity; or (ii) by the use of physical force, threats, coercion, intimidation or undue influence.

c) Covered Persons shall not engage in sexual harassment - for example, by making unwelcome advances, requests for sexual favours or other verbal or physical conduct of a sexual nature where such conduct may create an intimidating, hostile or offensive environment.

d) Player Support Team Members and Credentialed Persons shall not share a hotel room with a player who is (1) under the age of 17, or (2) under the age of legal majority in the jurisdiction where the hotel is located or where the player resides, unless such Player Support Team Member or Credentialed Person is the player's parent or is related to the player and authorised in writing by the player's parent. Penalties will apply to any underage player who is found to have violated this Hotel Room Policy. These penalties can include: forfeiture of prize money from the tournament(s) where the violation occurred and/or monetary fines equal to the amount of the hotel room rates for the tournament(s) where the violation occurred. Such penalty shall be in addition to any penalties that may be imposed on the Player Support Team Member or Credentialed Person pursuant to sub-Section b) below.

v. Criminal Conduct

Covered Persons shall comply with all relevant criminal laws. For greater certainty and without limiting the foregoing, this obligation is violated if a Covered Person has been convicted of or entered a plea of guilty or no contest to a criminal charge or indictment involving (a) an offence involving use, possession, distribution or intent to distribute illegal drugs or substances, (b) an offence involving sexual misconduct, harassment or abuse, or (c) an offence involving child abuse. Further, this obligation may be violated if a Covered Person has been convicted of or entered a plea of guilty or no contest to an offence that is a violation of any law specifically designed to protect minors.

vi. Anti-Doping Activity

Covered Persons shall not commit any offence under the terms of any professional tennis anti-doping program or aid, abet, counsel or procure in any way any person's offence under that program.

vii. Conduct in General

Covered Persons shall not conduct himself or herself in a manner that will reflect unfavourably on UTR, any tournament, event or circuit owned or sanctioned by UTR, any player, official or the game of tennis.

b. Violations/Procedures

- i. Any individual who believes that any Covered Person has failed to meet his or her obligations under this Welfare Policy may file a written complaint with UTR. That complaint shall identify

the complainant and state specifically the nature of the alleged misconduct. Upon receipt of such a complaint, or if UTR itself considers that there has been an apparent violation of this Welfare Policy, UTR shall promptly investigate the matter. All Covered Persons must cooperate fully with such investigations.

- ii. Upon request by UTR, the Executive Committee may provisionally suspend a Covered Person pending determination of the charge(s), where it considers it necessary to protect: (a) other participants, including players, who are or may be at risk of harm from the Covered Person's continued participation in PTS tournaments; and/or

(b) the integrity and/or reputation of the PTS, UTR and/or the sport of tennis.

- iii. Upon review of the matter and, where appropriate, additional investigation, UTR may determine that the matter does not merit further action. If UTR determines that the matter does merit further action, after notifying the accused individual of the charge(s) it shall refer the matter to the Executive Committee. After giving the accused individual the opportunity to present his or her views, the Executive Committee may impose appropriate sanctions including (a) denial of privileges or exclusion of the person in question from any or all PTS tournaments, or (b) such other sanctions including monetary sanctions as the Executive Committee may deem appropriate.
- iv. The Executive Committee reserves the right to extend to any or all PTS tournaments a suspension or other disciplinary action taken against a Covered Person by a National or Regional Association or other tennis organisation such as the Women's Tennis Association, Association of Tennis Professionals, International Tennis Federation or a conviction or plea of guilty or no contest to a criminal charge or indictment as set out in the section above. The Executive Committee reserves the right to share information concerning a complaint with and/or conduct an investigation in conjunction with any tennis organisation as specified above. UTR may also refer to the complaint and/or any information received during the course of investigating an allegation or prosecuting a charge to any authorities it considers appropriate. UTR shall have the absolute discretion, where it deems appropriate, to stay its own investigation pending the outcome of investigations being conducted by other tennis organisations as specified above and/or relevant authorities.

Decisions of the Executive Committee above may be not appealed.

FINES GUIDELINES FOR UTR PTS TOURNAMENTS

Withdrawals

- Late Withdrawals Prior to Freeze Deadline- \$500 and potential one month suspension
- Late Withdrawals After Freeze Deadline- \$750 and potential one month suspension
- No Show- \$1,000 and two month suspension
- Playing another event- \$1,000 and two month suspension

On Site Fine Amounts (Severity to be judged by Tournament Organizer and/or Chief of Officials)

Maximum of \$500 for any one match

- COVID/Health and Safety Guidelines - \$200
- Punctuality- \$50/\$150
- Audible/Visual Obscenity- \$50/\$100
- Verbal Abuse- \$75/\$150
- Ball/Racquet Abuse- \$50/\$75
- Physical Abuse- \$500
- Coaching- \$75/\$150
- Unsportsmanlike Conduct- \$75/\$150
- Dress/Equipment- \$50/\$75
- Best Efforts/Leaving Court/Failure to Complete Match/Tournament- \$250
- Ceremonies/Media- \$50/150
- Default- \$250 on top of any of the above