

NON-EXHAUSTIVE RULES, RESTRICTIONS AND REGULATIONS FOR SPRING 2022 TRADING COMPETITION

The trading competition is known by various names including 'Spring 2022 General Trading Competition', 'Spring 2022 Trading Competition', 'Spring 2022 General Trading Competition', and any word/title that permutes and/or combines some or all of the words Spring, General, Trading, Competition, with or without including the number 2022. This document and any references to a competition including the rules relating to a competition apply to the same competition titled as 'Spring 2022 General Trading Competition'. The University of Texas at Dallas will be referred to hereafter as the "university" or "University."

Below is a non-exhaustive list of rules, regulations and restrictions for **Spring 2022 General Trading Competition**.

1. You must abide by all rules, regulations and restrictions stated by StockTrak/Stock-Trak.
2. If StockTrak/Stock-Trak disqualifies a participant from the competition then the participant will not be reinstated and the participant will not be eligible for any prize.
3. The computations for listing the winners are not subject to review or challenge. StockTrak/Stock-Trak holds the sole discretion in ascertaining the rankings of the participants.
4. The rules for the competition can be changed at the university's discretion for no reason and without consent and/or approval from participants. In addition, all changes will be binding for the participants.
5. Only **1000 trades** are allowed during the entire competition.
6. **Less than 50% of your portfolio must be invested in cash by the 3rd week of the competition. The portfolio must maintain less than 50% weight in cash for the remaining duration of the competition.**
 - a. **Violation of this rule will lead to your disqualification from the competition. Your portfolio will be examined for non-compliance at the end of the competition. So, you may find yourself being disqualified from the competition (even if you win) even if you are allowed to continue to trade and participate in the competition after the 3rd week.**
 - b. **The StockTrak Team will perform an audit on **March 4th, 2022** after market close at 4PM to ensure compliance. Any participant whose**

portfolio weight in cash is more than 50% will be disqualified immediately.

- c. The StockTrak team will perform an additional audit after the end of the contest on April 22nd, 2022, and will check whether the participants maintained a portfolio weight of less than 50% in cash as of the market closing of every remaining Friday of the competition. The final audit will also check for stock splits and other possible data inconsistencies. The rankings are unofficial until confirmed by StockTrak Team.**
7. To be able to participate in the competition, the participant must be a registered student with the university and currently enrolled in classes/class at the university in the current semester.
8. The participant must enroll with the university provided official email address to be able to participate and be eligible for any prize(s).
9. If any discrepancy/misconduct is found during the course of the competition, the participant will be disqualified and will not be allowed to participate anymore.
10. Investments should only be in **stocks listed on U.S. exchanges**

There are four more important rules enforced by the StockTrak system.

1. Not more than 10% of portfolio value can be invested in a given security.
2. The maximum quantity of a security that a player can trade will be 25% of daily volume of the security.
3. The price of the security you purchase must at least be \$5 at the time of purchase.
4. There are no transaction costs to make trades (no commissions).