Non-Exhaustive Rules, Restrictions and Regulations for UTD Trading Competition: Fall 2023

The trading competition is known by various names including ‘Fall 2023 General Trading Competition’, ‘Fall 2023 Trading Competition’, ‘Fall 2023 General Trading Competition’, and any word/title that permutes and/or combines some or all of the words Fall, General, Trading, Competition, with or without including the number 2023. This document and any references to a competition including the rules relating to a competition apply to the same competition titled as ‘Fall 2023 General Trading Competition’. The University of Texas at Dallas will be referred to hereafter as the “university” or “University.”

Trading Period

- Trading begins on September 18 and ends on November 10, at the close of U.S. markets at 4 p.m. EST.
- The StockTrak team needs a few days to get the final results calculated and checked. We will put our best efforts to provide final results as soon as possible after the conclusion of the trading competition.

General Rules

Below is a non-exhaustive list of rules, regulations and restrictions for Fall 2023 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.

Types of Securities Permitted

- Only the stocks listed on U.S. exchanges

Competition Rules

Below are the trading-related rules enforced by the StockTrak system.

- Each participant is given $1,000,000 worth of virtual money to invest.
- Only 1,000 trades are allowed during the entire competition.
- Not more than 10% of the portfolio value can be invested in a single stock (e.g., Tesla) throughout the competition period.
- There are no transaction costs to make trades (i.e., no commissions).
- Minimum stock purchase price is $5.00 per share.
- Short selling is not allowed.
• Buying on margin is not allowed.

Audit Schedule
• The StockTrak team will perform the first audit on October 6 after market close at 4 p.m. Eastern Time to ensure compliance. **50% of your portfolio must be invested in non-cash instruments at that point.** In addition, the portfolio must maintain less than 50% weight in cash for the remaining duration of the competition.
  - Any participant, whose portfolio weight in cash is more than 50% of total portfolio value, will be disqualified immediately from any prize(s).
  - Your portfolio will also be examined for non-compliance at the end of the competition. This means that you may find yourself being disqualified from the competition even if you are allowed to continue to trade and participate in the competition after the 3rd week.
• The StockTrak team will perform the second audit on November 10 after market close at 4 p.m. Eastern Time. The audit will check whether participant maintained a portfolio weight of less than 50% in cash after the 3rd week of the competition. This final audit will also check for stock splits and other possible data inconsistencies. The rankings are unofficial until confirmed by the StockTrak.

Questions?
1. Please review the Frequently asked question (FAQ) page in the StockTrak website, and learn about the StockTrak’s trading system and basic concepts in finance. The link is provided below.
   https://utdallastrading.stocktrak.com/faq
2. If you have any question during the competition, feel free to utilize the Chat function to talk with a StockTrak representative. The link to open the chat screen is located on the right-bottom corner of the StockTrak webpages (it looks like the image on right).
3. If you have any additional question, please email StockTrak’s helpdesk at helpdesk@stocktrak.com. Be sure to include the below information in your email.
   1) Session name (“Fall2023GeneralTradingCompetition”)
   2) Your full name
   3) Your username
   4) A full description of your issue