

U CODE OF CONDUCT FOR OFFICIALS

The ATP, the Grand Slam Board, the ITF and the WTA (each, a “Governing Body” and together, “Governing Bodies”) as members of the Joint Certification Programme (the “Programme”) require a high standard of professionalism from all officials certified as National, Green, White, Bronze, Silver and Gold under the Programme (collectively, “Certified Officials”) and all other officials (together with Certified Officials, “Officials”) working at ATP, Grand Slam, ITF and WTA tennis tournaments and competitions (each, a “Tennis Event” and together, “Tennis Events”). All Officials are automatically bound by, and must comply with, this Code of Conduct for Officials (“Code”). The Governing Bodies shall continue to have jurisdiction over a retired Official under the Code and, as applicable, ATP, Grand Slam, ITF and WTA Tournament Regulations and Codes of Conduct (“Governing Body Rules”) in respect of matters taking place prior to his/her retirement.

This Code as issued by the Governing Bodies may be amended from time to time.

A) Required Standards

Unless otherwise specified, the following standards shall apply while an Official is, or would be reasonably considered to be, acting in his/her capacity as an Official, including, but not limited to:

- i) when at the official sites of a Tennis Event, including the venue and facilities, hotel, transportation, and other locations related to the Tennis Event);
- ii) when engaging with players, player support personnel, other Officials, Tennis Event personnel, spectators and Governing Body personnel in relation to a Tennis Event, whether or not at or during the Tennis Event;
- iii) when performing any duty set out in the Rules of Tennis, the Governing Body Rules or the Duties and Procedures for Officials; and
- iv) when engaged by a Governing Body or Tennis Event to deliver ad hoc services such as delivering training, assisting with officiating administration, and any other officiating tasks.

1. Officials shall be in satisfactory physical condition to enable them to carry out their duties.

2. Officials shall have natural or corrected vision of 20-20 and normal hearing. In addition, International Chair Umpires (Bronze, Silver and Gold) shall submit a completed eye test form each year to ITF Officiating and all other Officials must submit a completed eye test form every three years to ITF Officiating.

3. Officials shall be on time for all matches assigned to them.

4. Officials shall be aware of, understand, comply with, and, as applicable, enforce the Rules of Tennis, the Duties and Procedures for Officials, the relevant Governing Body Rules for the Tennis Events at which they are officiating, the Tennis Anti-Corruption Program, the Tennis Anti-Doping Programme, and all other policies applicable to Officials which may be introduced by the Governing Bodies from time to time (including, but not limited to, the Ban on Mobile Phone/Smart Watch Policy).

5. Officials shall conduct themselves in a respectful manner towards others when acting in their capacity as an Official.

6. Officials shall maintain a high level of personal hygiene and a professional appearance.

7. Officials shall not drink alcohol or use marijuana (including medical marijuana) or any other substance that may impair one's judgment in the 12 hours prior to any match that they officiate, and at all times while acting in their capacity as an Official.

8. Officials shall maintain complete impartiality with respect to all players and player support personnel and shall avoid any real or perceived conflicts of interest. Specifically, Officials shall not a) officiate in any match in which they have a real or perceived conflict of interest; or b) socialise with or become intimate with players, or enter into any relationship (business, personal or otherwise) or take any action on or off court that may call into question their impartiality as an Official. For the avoidance of doubt and notwithstanding the above, Officials may attend social functions at which players are present and may stay in the same hotels as players but shall not share a hotel room with any player of any age. Officials shall declare all potential, perceived, or actual conflicts of interest to their relevant Officiating Representative as specified at Regulation E)2. The Officiating Representative shall report the Official's declaration to the Joint Certification Programme. The Joint Certification Programme shall determine whether an actual conflict of interest exists.

Note: Examples of conflicts of interest include, but are not limited to, being: a current tennis player or a friend, relative or player support personnel of a current player who competes in Tennis Events; a National Tennis Coach; a National Tennis Team Captain; a Tennis Event director/organiser; or an employee, consultant, contractor or business partner/associate for a company that has a commercial interest in Tennis Events.

9. Officials shall not, at any time, discuss calls or decisions made by themselves or other Officials with anyone except those Officials directly, the Supervisor/Referee, the International Tennis Integrity Association ("ITIA"), formerly the Tennis Integrity Unit/TIU or the Officiating department of the appropriate Governing Body/Governing Bodies.

10. Officials shall comply at all times with applicable criminal laws. For the avoidance of doubt, and without limiting the foregoing, this obligation is violated if an Official is convicted of or enters a plea of guilty or no contest to a criminal charge or indictment for any offence in any jurisdiction.

11. Officials are bound at all times by, and must be aware of, their obligation under the International Tennis Integrity Association ("ITIA"), formerly the Tennis Anti-Corruption Program, which includes completing the on-line Tennis Integrity Protection Programme, and report any corrupt approaches to the ITIA. Officials shall not be employed or otherwise associated with or engaged by a company which accepts wagers on tennis events.

12. Officials shall not talk to, or have conversations with, spectators while officiating a match, except as is necessary during the ordinary course of officiating a match.

13. Officials shall not, at any time, participate in any media interviews or meetings with journalists from which their statements relating to tennis officiating can be printed, broadcast, posted on social media, or otherwise publicly disseminated, without the approval of the Supervisor/Referee.

14. Officials shall not, at any time, give, make, authorise or endorse public comments, including posting anything on any social media channels, which unreasonably attacks or disparages a Tennis Event, player, player support personnel, other Official, Tennis Event personnel, a Governing Body, or Governing Body personnel, and which the Official knows, or should reasonably know, will harm the reputation or financial best interests of, the Tennis Event, player, other Official, Tennis Event personnel, Governing Body, or Governing Body personnel, as applicable. Without prejudice to other provisions of this Code, responsible and measured expression of legitimate opinion shall not amount to a breach of this provision.

15. Officials shall not, at any time, engage in unfair, unprofessional, discriminatory, or unethical conduct, including, but not limited to, attempts to injure or intentionally interfere with other Officials, players, Tennis Event personnel, player support personnel, and spectators, and reckless or negligent conduct that is likely to cause such injury or interference. All Officials shall also set a good example in their conduct to other Officials.

16. Officials shall not, at any time, engage in abusive conduct, either physical or verbal, or threatening conduct or language directed toward other Officials, players, player support personnel, Tennis Event personnel, spectators or members of the press/media.

17. Officials shall not, at any time, abuse their position of authority or control and shall not harm or jeopardise or otherwise attempt to harm and jeopardise the psychological, physical or emotional wellbeing of other Officials, players, Tennis Event personnel, player support personnel, or Governing Body personnel.

18. Sexual advances or sexual harassment or abuse of any kind towards other Officials, players, player support personnel, Tennis Event personnel, spectators, Governing Body personnel, or members of the press/media shall not be tolerated.

19. Officials shall make all Tennis Event-related requests to the Supervisor/Referee or Chief Umpire.

20. Officials shall commit to work at a Tennis Event until released by the Supervisor/Referee. If an Official has accepted an assignment to officiate at a Tennis Event, he/she shall not withdraw from that assignment prior to release by the Supervisor/Referee, without the permission of the Officiating Representative. The relevant Officiating Representative may revoke an Official's assignment at any time, if in the reasonable opinion of the Officiating Representative, the Official's continued participation in the Tennis Event or Tennis Events poses a risk to the successful delivery of the Tennis Event/Tennis Events.

21. All Officials are under a continuing duty to disclose to the Programme any actual, suspected or alleged violations of the Code of which they are aware, whether breaches of their own or of another Official. Failure to so report is a violation of the Code.

22. Officials shall act honestly at all times.

23. Officials shall cooperate fully with any investigation (whether in relation to their conduct or that of another Official) under this Code, the Governing Body Rules for Tennis Events at which they are officiating, the Tennis Anti-Doping Programme and the Tennis Anti-Corruption Program. Further, Officials shall not (i) provide any inaccurate information, (ii) omit any relevant information which is requested, or (iii) deliberately mislead or attempt to mislead such bodies, their staff or other Officials.

B) Investigation of alleged violations

1. Alleged violations of this Code that take place on-site at a Tennis Event shall be reported promptly to the relevant Officiating Representative as specified at Regulation E)2 below. The on-site Supervisor/Referee is responsible for determining whether to suspend or dismiss the Official(s) from that event, subject to the alleged violation (but shall not have power to suspend or dismiss the Official(s) from any other Tennis Event unless so directed by the Officiating Representative following either the imposition of a provisional suspension under Regulation B)2 below or as a result of an employment-related decision). Alleged violations taking place at other times shall be reported in writing to ITF Officiating.

2. Upon the Officiating Representative becoming aware of a possible violation of this Code, he/she shall promptly review the matter and determine whether further investigation of the alleged violation is required. If so, the Officiating Representative shall investigate the alleged violation and provide written notice to the Official concerned informing him/her of the alleged violation under investigation and giving he/she a minimum of ten (10) days to provide any information or evidence requested by the Officiating Representative. If not, then the Officiating Representative shall proceed in accordance with section B)5.

3. Officiating Representatives are entitled to share information concerning an investigation with the ITIA, any Governing Body (as relevant, including the ITF with respect to the Tennis Anti-Doping Programme), and law enforcement agencies. Investigations under this Code may be stayed pending completion of an investigation under the Tennis Anti-Corruption Program, the Tennis Anti-Doping Programme, Governing Body Rules, other applicable sporting regulations (such as those enforced by the International Olympic Committee or International Paralympic Committee at their major events) or domestic laws (by external law enforcement agencies). Such stay may be lifted at any time at the discretion of the Officiating Representative(s). Any action (or failure to take action) by any such body shall be without prejudice to the Officiating Representative's powers to investigate and pursue alleged violations of this Code. For the avoidance of doubt, an alleged violation of the Tennis Anti-Corruption Program shall be investigated and handled by the ITIA and enforced under the Tennis Anti-Corruption Program. An alleged violation of the Tennis Anti-Doping Programme shall be investigated and handled by the ITF and enforced under the Tennis Anti-Doping Programme. An alleged violation of the Governing Body Rules and/or terms of employment or engagement shall be investigated and handled by the relevant Governing Body.

4. An Official's duty to cooperate with investigations into an alleged violation under this Code shall include providing documents and information as requested by the Officiating Representative, and appearing as a witness upon request by the Disciplinary Panel or Appeal Panel at any hearing held in accordance with this Code. Failure to do so may be considered a violation of this Code in its own right.

5. Upon completion of the investigation (if any), the Officiating Representative shall determine whether the Official concerned has a case to answer. If the Officiating Representative determines that there is a case to answer, then the Officiating Representative shall send a written notice to the Official (the "Notice of Charge"), with a copy to the Disciplinary Panel, setting out:

- a) the alleged violation and a summary of the facts on which the charge is based;
- b) the evidence upon which the Officiating Representative would seek to rely at a hearing before the Disciplinary Panel;
- c) the potential sanctions applicable on the basis the charge is made out;
- d) the proposed sanction(s) for the commission of the charge;
- e) matters relating to provisional suspension described in section B)8; and
- f) the Official's entitlement to respond to the Notice of Charge within 10 days of receipt of the notice in one of the following ways;
 - i. to admit the charge(s), and accede to the sanctions specified in the Notice of Charge;
 - ii. to admit the charge(s), but to dispute and/or seek to mitigate the sanctions specified in the Notice of Charge, and to have the Disciplinary Panel determine the sanctions at a hearing; or
 - iii. to deny the charge(s), and to have the Disciplinary Panel determine the charge and (if the charge is upheld) any sanctions, at a hearing.

Where the Officiating Representative determines that there is no case to answer under the Code, no further action will be taken against the Official concerned, who will be notified accordingly. A decision that there is no case to answer under the Code shall have no bearing on any investigation or proceeding under the Tennis Anti-Corruption Program, the Tennis Anti-Doping Programme, or the Governing Body Rules.

6. In the event no response to the Notice of Charge is received by the specified deadline, the Official will be deemed to have admitted the charge(s), and to have acceded to sanctions specified in the Notice of Charge.

7. In the event that the Official wishes to exercise his/her right to a hearing before the Disciplinary Panel, then the Official shall also state how he/she responds to the Notice of Charge and explain (in summary form) the basis for such response.

8. The Officiating Representative may provisionally suspend an Official's certification with immediate effect at any point from receipt of an allegation of a breach of this Code up to the completion or closure of the case, where he/she considers, in his/her sole discretion, that the seriousness of the allegation and/or the evidence gathered in relation to that allegation merits such suspension. The Officiating Representative shall notify the Official concerned and the Disciplinary Panel of the provisional suspension. Within 10 days of receipt of a written notice of a provisional suspension, the Official may apply in writing to the Disciplinary Panel to have that provisional suspension vacated, stating the reason(s) for the application. The decision of the Disciplinary Panel on the application (if any) will be final and binding. All parties irrevocably waive any right to any form of appeal, review or recourse by or in any court of judicial authority in respect of such decision. Where a provisional suspension is not challenged by the Official or confirmed by the Disciplinary Panel, it shall be communicated by the Officiating Representative to the Governing Bodies, those member National Associations and/or other tennis organisations as are deemed necessary for the purpose of enforcement.

C) Hearings before the Disciplinary Panel

1. The Disciplinary Panel shall have all such powers as are necessary to carry out its function efficiently and effectively. In particular it shall:

- a) issue such further directions as are necessary for the efficient conduct of the proceedings;
 - b) take such legal and/or other professional advice it considers necessary;
 - c) nominate such person as it considers appropriate to act as its secretary in the proceedings;
 - d) not be bound by any formal rules as to admissibility of evidence; and
 - e) shall ensure that the Official has a fair hearing.
2. The Officiating Representative shall provide the Disciplinary Panel with a copy of the evidence and submissions on which he/she and the Official concerned seeks to rely at the hearing. The Official shall provide his/her material in English, or with an English translation (which the Officiating Representative or Disciplinary Panel may request to be certified).
3. The Disciplinary Panel shall determine whether a violation of this Code has occurred on the balance of probabilities. The Disciplinary Panel shall adjudicate the matter on the basis of written submissions and already provided evidence only except where the Official requests an in-person hearing. Such hearing may proceed by telephone conference or video conference at the discretion of the Disciplinary Panel.
4. In the event that an Official admits the charge(s) but disputes the sanctions specified in the notice or the Disciplinary Panel finds that a violation has occurred, the Disciplinary Panel shall determine the appropriate sanction(s) to be imposed on the Official. In determining the appropriate sanction(s), the Disciplinary Panel may consider all relevant factors, including but not limited to (a) submissions on behalf of the Governing Body and their designees at whose event the alleged violation occurred; (b) the seriousness of the violation; (c) the effect on the integrity of the sport; (d) any submissions and evidence filed in mitigation or by way of aggravation; and (e) the period of any provisional suspension served.
5. The range of sanctions that may be imposed are at the sole discretion of the Officiating Representative and Disciplinary Panel and may include, but are not limited to: (a) reprimand and warning as to future conduct; (b) suspension of certification for a limited period; (c) permanent suspension of certification; and, in addition, (d) withdrawal of access to and accreditation for any tennis event organised, authorised or sanctioned by the Governing Bodies or by any National Association.
6. The Disciplinary Panel shall promptly issue its decision, with reasons, to the Official, the Officiating Representative, the Governing Bodies, the Official's National Association, the ITIA, and any other tennis organisation it considers appropriate. For the avoidance of doubt, nothing in this clause prevents a Governing Body from publishing the outcome and/or the decision as it sees fit.
7. Any decision of the Disciplinary Panel imposed on the basis of a conviction of, or a plea of guilty or no contest to, a criminal charge or indictment for any offence in any jurisdiction as set out in clause A)10 of this Code shall be final and binding and not subject to appeal.
8. If the Official's certification is suspended at the time of the Recertification meeting of the relevant calendar year, prior to their certification being reinstated the Programme may, at its discretion, require the Official to submit any relevant and supporting correspondence to be considered and reviewed by the Programme. The Programme shall be entitled to take into account the violation of this Code, as well as all other

relevant factors when deciding whether the certification of the Official should be reinstated, demoted or withdrawn.

D) Appeals

1. Subject to clause C)7 above, a decision that a violation of this Code has been committed may be appealed to the Appeal Panel within twenty-one (21) days from the date of notice of the Disciplinary Panel's decision.
2. The grounds of appeal available to an Official shall be limited to claims that the Disciplinary Panel:
 - a) failed to give the Official a fair hearing;
 - b) misinterpreted or failed to properly apply this Code; or
 - c) came to a decision which no reasonable decision-making body properly informed could have reached.
3. The notice of appeal, a copy of which shall be sent to the Disciplinary Panel and the Officiating Representative, shall include the grounds of appeal and explain the basis for the appeal.
4. The Disciplinary Panel shall provide the complete case file to the Appeal Panel promptly upon receipt of a notice of appeal. The relevant Officiating Representative shall submit a response to the appeal within fourteen (14) days from the date of receipt.
5. The Appeal Panel shall have all such powers as are necessary to carry out its function efficiently and effectively. In particular it shall:
 - a) issue such further directions as are necessary for the efficient conduct of the proceedings;
 - b) take such legal and/or other professional advice it considers necessary;
 - c) nominate such person as it considers appropriate to act as its secretary in the proceedings;
 - d) not be bound by any formal rules as to the admissibility of evidence; and
 - e) ensure that a fair hearing takes place.
6. The Appeal Panel shall proceed on written submissions only where the Appeal Panel determines that an oral hearing is required to ensure fairness. Such oral hearing may proceed by telephone conference or video conference at the discretion of the Appeal Panel. Subject to further order, the Appeal Panel will announce its decision as soon as practicable following the hearing.
7. The Appeal Panel may affirm, reverse or modify (by the imposition of a lesser or more severe sanction(s)) the decision subject to appeal. The Appeal Panel shall promptly give written notice of the findings and any sanctions imposed to the parties. For the avoidance of doubt, nothing in this clause prevents a Governing Body from publishing the decision as it sees fit.
8. The decision of the Appeal Panel shall be final and binding and not subject to further challenge. All parties irrevocably waive any right to any form of appeal, review or recourse by or in any court of judicial authority in respect of such decision.

E) Miscellaneous

1. Except as set forth in Section X, any sanction imposed under this Code shall automatically be recognised and enforced by all National Associations and any other tennis organisation.

2. For the purpose of this Code:

- a) for cases involving National, Green and White Badge Officials, the Officiating Representative shall be the ITF Head of Officiating or their nominated designee. The Disciplinary Panel will comprise the ITF Internal Adjudication Panel and the Appeal Panel will comprise the ITF Independent Tribunal. The rules of such panel and tribunal are hereby incorporated by reference and may be downloaded from www.itftennis.com. In the event of any conflict between those rules and the Code, the rules of the ITF Internal Adjudication Panel and ITF Independent Tribunal shall prevail over this Code; and
- b) for cases involving Bronze, Silver and Gold Badge Officials, the relevant Officiating Representative shall be the person so nominated by the sanctioning Governing Body of the Tennis Event in connection with which the alleged violation occurred (which may be a single person who usually performs that role, or an alternative for a specific case, as the Governing Body sees fit). Where the alleged violation did not concern a Tennis Event, the appropriate Officiating Representative shall be agreed by a majority of the Governing Bodies' Officiating Representatives. The Disciplinary Panel will comprise the nominated Officiating Representatives of the Governing Bodies or such party's nominee in the event of a conflict of interest or other impediment to such party's independence or impartiality. The Appeal Panel shall comprise of four (4) individuals, nominated by each Governing Body at the start of each year who will take no part in the investigation or proceedings before the Disciplinary Panel.

F) Reciprocity

1. The Officiating Representative(s) reserves the right to ask the Disciplinary Panel to affirm, adopt, modify or reject a suspension or other sanction issued against an Official by a Governing Body or other relevant tennis organization pursuant to another disciplinary process, (for example an ITF member National Association), such that it applies to certification and/or accreditation for any, all or specific tennis events organised, authorities or sanctioned by the Governing Bodies.
2. Each Governing Body, as relevant, shall have the sole discretion whether to recognise and enforce any decision under this Code and to affirm, adopt, or extend a suspension or other sanction issued under this Code.