

IV. WORLD CHAMPIONSHIPS

4.01 Nitto ATP Finals - Singles

A. Competition Format

The tournament shall be a singles round robin format with eight (8) players. There shall be two (2) groups of four (4) players each with eight (8) seeds to be determined by the FedEx ATP Rankings on the Monday after the last ATP Tour tournament of the calendar year. All matches shall be the best of three (3) tie-break sets, including the final. The round robin shall determine the four (4) players for the semifinals with the format thereafter being a single elimination competition.

B. Entries

- 1) **Selection List.** The selection list for the event shall be:
 - a) The top seven (7) players in the FedEx ATP Race to Turin* (based exclusively on results from tournaments played in 2021) as of the Monday after the last ATP Tour tournament of the calendar year; followed by
 - b) Up to two (2) Grand Slam winners of that year, in order of their positions, positioned between eight (8) and twenty (20) in the FedEx ATP Race to Turin* as of that Monday; followed by
 - c) Players positioned eight (8) and below in the FedEx ATP Race to Turin* as of that Monday.

*The Race to Turin is a ranking using the same rules as the FedEx ATP Ranking (Singles) but based exclusively on results from 2021 events only.
- 2) **Direct Acceptances.** The top eight (8) players in the selection list shall qualify for the event as direct acceptances. Participation is mandatory, and all qualified players shall be entered. All direct acceptances must be at the tournament site to attend the official pre-tournament media conference and must be available for play through the completion of the round robin competition and the knock-out competition if eligible.
- 3) **Withdrawal.** Any withdrawal, before the official pre-tournament media conference starts, shall be replaced by the next highest positioned player on the selection list, who shall be qualified as a direct acceptance.
- 4) **Alternate(s).**
 - a) The next highest positioned player on the selection list (who is not a direct acceptance at the time of the official pre-tournament media conference) shall be designated as the alternate and shall replace any player who subsequently withdraws. The alternate must appear at the official pre-tournament media conference and remain available through the start of the last scheduled round robin match.
 - b) Additional alternates may be selected by ATP to fill the draw, based on the selection list, upon terms satisfactory to ATP. Participation of such additional alternates is not mandatory.
 - c) The alternate(s) is eligible to play in the single elimination competition and to receive points and prize money if he qualifies.
 - d) If the alternate(s) does not play in the draw, then a fee shall be paid to the alternate(s). If the alternate(s) is inserted for the second or third round robin match, then he shall receive the alternate fee plus any prize money and points won. If the alternate(s) replaces a player that does not compete in his

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first round robin match, the alternate(s) becomes a direct acceptance and does not receive the alternate fee.

C. Failure To Participate in the Nitto ATP Finals

- 1) If a player, qualified for the Nitto ATP Finals as a direct acceptance or designated as the alternate, fails or refuses to participate in this event, except for bona fide injury or other reason which constitutes good cause, the player shall not be in good standing.
- 2) All direct acceptances and the alternate must appear at the site of the event(s) as determined by ATP and participate in the pre-tournament media conference.

Failure to appear shall result in a penalty of five percent (5%) of total ATP prize money earned during the ATP circuit year.

Please also see 1.07 G. 2) b).

D. Order of Play

Round Robin

- 1) The field shall be divided into two (2) groups of four (4) players each. The top-seeded player shall be placed in Group "A" and the second-seeded player shall be placed in Group "B". Players seeded three (3) and four (4), five (5) and six (6), and seven (7) and eight (8), shall then be drawn in pairs with the first drawn placed into Group "A."
- 2) Each player shall play every other player in his group to determine the top two (2) players in each group.
- 3) The final standings of each group shall be determined by the first of the following methods that apply:
 - a) Greatest number of wins.
 - b) Greatest number of matches played.
Comment: 2-1 won-loss record beats a 2-0 won-loss record; a 1-2 record beats a 1-0 record.
 - c) Head-to-head results if only two (2) players are tied.
 - d) If three (3) players are tied, then:
 - i) If three (3) players each have one (1) win, a player having played less than all three (3) matches is automatically eliminated and the player advancing to the single elimination competition is the winner of the match-up of the two (2) players tied with 1-2 records; or
 - ii) Highest percentage of sets won; or
 - iii) Highest percentage of games won; a player completing less than all three (3) matches is automatically eliminated and the player advancing to the single elimination competition is the winner of the match-up of the two (2) remaining players; or
 - iv) The player positions on the ATP FedEx Rankings as of the Monday after the last ATP Tour tournament of the calendar year.
 - v) If (i), (ii), (iii) or (iv) produce one (1) superior player (first place), or one (1) inferior player (third place), and the two (2) remaining players are tied, the tie between those two (2) players shall be broken by head-to-head record.

Comment 1: 1 player has 3 wins and the other 3 players have 1 win. Of the 3 players with 1 win, 1 player has only played in 2 matches while the

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other 2 players have played 3 matches. The player who has only played 2 matches is eliminated and then the 2 remaining players revert back to head-to-head results with the winner of their match advancing to the semi-finals.

Comment 2: 1 player has 3 wins and the other 3 players have 1 win and they all have played 3 matches. The tie-break for % of sets won has 1 player with a better % than the other two. This player advances to the semi-final round.

Comment 3: 3 players have 2 wins and the other player has 0 wins. The player with 0 wins is eliminated. Of the 3 players with 2 wins, they are ordered by their % of sets won. This produces a 1, 2 & 3 order and the players finishing 1 and 2 move to the semi-final round and the player finishing 3 in % of sets won is eliminated. The player with the best % of sets won is the winner of the group.

Comment 4: 3 players have 2 wins and the other player has 0 wins. The player with 0 wins is eliminated. Of the 3 players with 2 wins, 1 player's sets won-loss is 5-2 for 71.43%; the other 2 players both have a 4-3 record in sets for 57.14%. In this case there is 1 superior player (71.43%) and the remaining 2 players are tied; it now reverts to the head to head result of the 2 remaining players with the winning player advancing as group runner-up.

Comment 5: 3 players have 2 wins and the other player has 0 wins. The player with 0 wins is eliminated. Of the 3 players with 2 wins, 2 have set won-loss records of 5-3 (62.5%) while the other player is 4-3 (57.14%). In this case we have 1 inferior player (57.14%) and he is eliminated. The remaining two players both advance to the semi-finals with the winner of their head-to-head match advancing as the group winner.

Comment 6: 3 players have 2 wins and the other player has 0 wins. The player with 0 wins is eliminated. Of the 3 players with 2 wins, all have played 3 matches and all 3 have set won-loss records of 5-4 (55.56%). In this case we move to % of games won. The % of games won breaks down like this: 44-40 for 52.38%, 45-43 for 51.14% and 44-43 for 50.57%. This produces a 1, 2 and 3 order of the group and the number 1 player in % of games won is the group winner while the player finishing 2nd in % of games won advances to the semi-finals as the group runner-up. The player with the 3rd best % of games won is eliminated.

- 4) In applying the tie-breaking procedures, a conduct default or retirement shall count as a straight-set win or loss. However, games won or lost in matches with the defaulting or retiring player shall not be counted in the application of subsection 3.d. (iii) above. A player who retires during the round robin because of illness or injury may continue in the competition if it is approved by the tournament Doctor.

Comment: This prevents a scenario where a player knows he only needs to win 1 set to qualify for the semi-finals from retiring once he has won a set.

- 5) Any player who is defaulted pursuant to the ATP Code during the round robin competition shall be defaulted from all other matches in the Championship and ATP default provisions shall apply, except for the following circumstances:
- a) The loss of physical condition; or
 - b) Dress and Equipment.

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- 6) Any player who withdraws from any round robin match after the first round shall not be eligible for the single elimination competition.

E. Single Elimination Competition

- 1) The winner of each group shall be placed in separate semi-final brackets. The runner-up of each group shall be placed in the semi-final bracket with the winner of the opposite group.
- 2) The event shall be completed with a single elimination competition for the semi-finals and final.
- 3) There shall be no playoff for the third and fourth place positions.

F. Prize Money and Points

Final standings at the end of the tournament shall determine the prize money and FedEx ATP Rankings points earned.

4.02 Nitto ATP Finals - Doubles

A. Competition Format

The tournament shall be a doubles round robin format with eight (8) teams. There shall be two (2) groups of four (4) teams each with eight (8) seeds to be determined by the 2021 FedEx ATP Doubles Team Rankings on the Monday after the last ATP Tour tournament of the calendar year. All matches shall be two (2) tie-break sets with a deciding Match Tie-break (10 point) at one (1) set all. The round robin shall determine the four (4) teams for the semi-finals with the format thereafter being a single elimination competition.

B. Entries

- 1) **Selection List.** The selection list for the event shall be:
 - a) The top 7 teams in the 2021 FedEx ATP Doubles Team Rankings as of the Monday after the last ATP Tour tournament of the calendar year; followed by
 - b) Up to two (2) Grand Slam winners of that year, in order of their positions, positioned between eight (8) and twenty (20) in the 2021 FedEx ATP Doubles Team Rankings as of that Monday; followed by
 - c) Teams positioned eight (8) and below in the 2021 FedEx ATP Doubles Team Rankings as of that Monday.
- 2) **Direct Acceptances.** The top eight (8) teams in the selection list shall qualify for the event as direct acceptances. Participation is mandatory, and all qualified teams shall be entered. All direct acceptances must be at the tournament site to attend the official pre-tournament media conference and must be available for play through the completion of the round robin competition and the knock-out competition if eligible.
- 3) **Withdrawal.** All eligible teams shall be entered by ATP; however, teams may withdraw through the Monday following the last ATP Tour tournament of the year. Any withdrawal, before the official pre-tournament media conference starts, shall be replaced by the next highest positioned team on the selection list, who shall be qualified as a direct acceptance.

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4) Alternate(s).

- a) On the Monday following the last ATP Tour tournament of the year, the next highest positioned team shall be asked to confirm its status as the alternate team. Alternate team(s) may be selected by ATP to fill the draw upon terms satisfactory to ATP. Any withdrawal after the official pre-tournament media conference through the start of the last scheduled round robin match shall be filled with the alternate team(s). The alternate team must appear at the official pre-tournament media conference and remain available through the start of the last scheduled round robin match.
- b) Additional alternate teams may be selected by ATP to fill the draw, based on the selection list, upon terms satisfactory to ATP. Participation of such additional alternate teams is not mandatory.
- c) The alternate team(s) is eligible to play in the single elimination competition and to receive points and prize money if they qualify.
- d) If the alternate team(s) does not play in the draw, then a fee shall be paid to the alternate team(s). If the alternate team(s) is inserted for the second or third round robin match, then they shall receive the alternate fee plus any prize money and points won. If the alternate team(s) replaces a team that does not compete in their first round robin match, the alternate team(s) becomes a direct acceptance and does not receive the alternate fee.

C. Order of Play

Round Robin

- 1) The field shall be divided into two (2) groups of four (4) teams each. The top-seeded team shall be placed in Group "A" and the second-seeded team shall be placed in Group "B". Teams seeded three and four, five and six, and seven and eight, shall then be drawn in pairs with the first drawn placed into Group "A".
- 2) Each team shall play every other team in their group to determine the top two (2) teams in each group.
- 3) The final standings of each group shall be determined by the first of the following methods that apply:
 - a) Greatest number of wins.
 - b) Greatest number of matches played.
Comment: 2-1 won-loss record beats a 2-0 won-loss record; a 1-2 record beats a 1-0 record.
 - c) Head-to-head results if only two (2) teams are tied.
 - d) If three (3) teams are tied, then:
 - i) If three (3) teams each have one (1) win, a team having played less than all three (3) matches is automatically eliminated and the team advancing to the single elimination competition is the winner of the match-up of the two (2) teams tied with 1-2 records; or
 - ii) Highest percentage of sets won; (Winning the MTB counts as one (1) set won); or
 - iii) Highest percentage of games won. (Winning the MTB counts as one (1) game won); a team completing less than all three (3) matches is automatically eliminated and the team advancing to the single elimination competition is the winner of the match-up of the two (2) remaining teams; or
 - iv) The team positions on the 2021 FedEx ATP Doubles Team Rankings as of the Monday after the last ATP Tour tournament of the calendar year.

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- v) If (i), (ii), (iii) or (iv) produce one (1) superior team (first place), or one (1) inferior team (third place), and the two (2) remaining teams are tied, the tie between those two (2) teams shall be broken by head-to-head record

Comment 1: 1 team has 3 wins and the other 3 teams have 1 win. Of the 3 teams with 1 win, 1 team has only played in 2 matches while the other 2 teams have played 3 matches. The team who has only played 2 matches is eliminated and then the 2 remaining teams revert back to head-to-head results with the winner of their match advancing to the semi-finals.

Comment 2: 1 team has 3 wins and the other 3 teams have 1 win and they all have played 3 matches. The tie-break for % of sets won has 1 team with a better % than the other two. This team advances to the semi-final round.

Comment 3: 3 teams have 2 wins and the other team has 0 wins. The team with 0 wins is eliminated. Of the 3 teams with 2 wins, they are ordered by their % of sets won. This produces a 1, 2 & 3 order and the teams finishing 1 and 2 move to the semi-final round and the team finishing 3 in % of sets won is eliminated. The team with the best % of sets won is the winner of the group.

Comment 4: 3 teams have 2 wins and the other team has 0 wins. The team with 0 wins is eliminated. Of the 3 teams with 2 wins, 1 team's sets won-loss is 5-2 for 71.43%; the other 2 teams both have a 4-3 record in sets for 57.14%. In this case there is 1 superior team (71.43%) and the remaining 2 teams are tied; it now reverts to the head to head result of the 2 remaining teams with the winning team advancing as group runner-up.

Comment 5: 3 teams have 2 wins and the other team has 0 wins. The team with 0 wins is eliminated. Of the 3 teams with 2 wins, 2 have set won-loss records of 5-3 (62.5%) while the other team is 4-3 (57.14%). In this case we have 1 inferior team (57.14%) and this team is eliminated. The remaining two teams both advance to the semi-finals with the winner of their head-to-head match advancing as the group winner.

Comment 6: 3 teams have 2 wins and the other team has 0 wins. The team with 0 wins is eliminated. Of the 3 teams with 2 wins, all have played 3 matches and all 3 have set won-loss records of 5-4 (55.56%). In this case we move to % of games won. The % of games won breaks down like this: 44-40 for 52.38%, 45-43 for 51.14% and 44-43 for 50.57%. This produces a 1, 2 and 3 order of the group and the number 1 team in % of games won is the group winner while the team finishing 2nd in % of games won advances to the semi-finals as the group runner-up. The team with the 3rd best % of games won is eliminated.

- 4) In applying the tie-breaking procedures, a conduct default or retirement shall count as a straight-set win or loss. However, games won or lost in matches with the defaulting or retiring team shall not be counted in the application of subsection 3.d. (iii) above. A team who retires during the round robin because of illness or injury may continue in the competition if it is approved by the tournament Doctor.

Comment: this prevents a scenario where a team knows he only needs to win 1 set to qualify for the semi-finals from retiring once he has won a set.

- 5) Any team who is defaulted pursuant to ATP Code during the round robin competition shall be defaulted from all other matches in the Championship and ATP default provisions shall apply, except for the following circumstances:

- a) The loss of physical condition; or
- b) Dress and Equipment.

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- 6) Any team who withdraws from any round robin match after the first round shall not be eligible for the single elimination competition.

D. Single Elimination Competition

- 1) The winner of each group shall be placed in separate semi-final brackets. The runner-up of each group shall be placed in the semi-final bracket with the winner of the opposite group.
- 2) The event shall be completed with a single elimination competition for the semi-finals and final.
- 3) There shall be no playoff for the third and fourth-place positions.

E. Prize Money and Points

Final standings at the end of the tournament shall determine the prize-money and FedEx ATP Doubles Rankings points earned.

4.03 ATP Cup

The ATP Cup is the official team competition of the ATP Tour.

A. Round Robin Competition

- 1) The official ATP Cup is a competition for twelve (12) teams, each team composed of a minimum of three (3) players and a maximum of five (5)* players from the same country. The team criteria shall be:
 - a) The two (2) highest ranked singles players; then
 - b) The highest FedEx ATP Ranking (Singles or Doubles) of the next three (3) players; and
 - c) If a team has selected five (5)* players, then a minimum of three (3) players must have a current FedEx ATP Ranking (Singles).
 - d) All players must have a FedEx ATP Ranking (singles or doubles).*5th player team option to be confirmed prior to 2nd January 2021.
- 2) A player's nationality as of the entry date shall be used to determine team entry. All player nationality determinations are subject to ATP approval.
- 3) The competition shall be a Round Robin format with four (4) groups of three (3) teams each. All singles matches shall be the best of three (3) tie-break sets. All doubles matches shall be two (2) tie-break sets with a deciding Match Tie-Break (10 point) at one (1) set all.
- 4) Each team shall play each other in its group to determine the top team in each group. The top team in each group shall advance to the Semi-Finals of the knock-out stage.

B. Player Nationality / Change of Nationality

- 1) **Nationality.** A player's nationality on the date of that country's acceptance to the ATP Cup shall determine the player's eligibility to compete for that country.
- 2) **Change of Nationality.**
 - a) Player must submit a copy of his passport issued by the country he is requesting a change.
 - b) Passport must have been valid for a minimum of one (1) year.

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- c) The passport shall be validated by ATP using information contained in the ATP player database.
- d) Once the change of nationality has been approved, the ATP database will be updated internally and will show on all ATP platforms the next ranking date.
- e) A player may only represent one (1) country in the ATP Cup during his career.
 - i) A player who has competed in the ATP Cup under one nationality and then changes his nationality is no longer eligible for ATP Cup participation, unless,
 - ii) A player who has competed in the ATP Cup, changed nationalities and then changed back to his original ATP Cup nationality will be eligible to compete again for that country only after a three (3) year absence from the ATP Cup.
- f) All requests to change a player's nationality are subject to ATP approval.

C. Teams Qualifications

- 1) **Entry.** The teams shall be selected and entered in the following manner:
 - a) A team shall be entered based upon the FedEx ATP Ranking (singles) of the country's Number 1 singles player.
 - b) All number 1 and number 2 players will be shown in the preliminary list of the event unless ATP is informed otherwise by the player. All players must confirm in writing they will be playing the event to confirm entry.
 - c) There shall be one (1) wild card allocated for the host country in case their team does not otherwise qualify. If no Wild Card is necessary, then that position shall revert to an additional Direct Acceptance.

If the Wild Card is needed for the host country, then the Wild Card team will be placed randomly into one of the four (4) groups.

2) **Entry – Deadline and Acceptance**

- a) **Entry deadline.** 28 December 2020. The top eleven (11) number 1 players (countries) that qualify using the 28 December 2020 ATP Ranking (Singles) must confirm their acceptance to the competition by this deadline. The No. 2 player of the top eleven (11) countries will also be committed on this deadline and must also confirm their acceptance to the competition.

3) **Qualification.** In order to qualify for the competition, a team that has accepted entry must comply with the following requirements:

- a) The team is composed of the two (2) highest positioned and eligible players based on the ATP Ranking (Singles) as of 28 December 2020.
- b) A third player must be named at the deadline, 28 December 2020, and must be on-site for the competition.
 - i) For teams with 5 players, the third player's acceptance is based upon his 28 December 2020 ATP Ranking (Singles) (including a Protected Ranking).
 - ii) For teams with 4 players, the third player's acceptance will be based on the highest ATP Ranking (Singles or Doubles) as of 28 December 2020.
 - iii) Final decision regarding maximum allowed number of players per team will be announced prior to 2nd January 2021.
- c) A fourth player and fifth* player may be named, if eligible, at the time of the deadline. The No. 4 and No. 5* players will be chosen based on their highest ATP Ranking (Singles or Doubles) as of 28 December 2020.

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- d) A team with five (5)* named players must have a minimum of 3 players with an ATP Ranking (Singles).
- e) In the case of illness, injury or unforeseen circumstances, and the team number falls below three (3) members, the Supervisor may allow the team Captain to nominate a substitute player during the competition, although the team may continue with only two (2) members, if conditions stated in 10) a) are met.

*5th player team option to be confirmed prior to 2nd January 2021.

4) Ties – Team Entry

- a) For the top singles spot to determine team entry, entry is based on the ATP Ranking (Singles):
 - i) If tied a current singles ranking beats a Protected Ranking.
 - ii) If tied between two current rankings or two Protected Rankings, the ranking of the highest number 2 players will break the tie. If still tied, we move on to the number 3 player, etc.

5) Ties – Individual Entry

- a) For spots 1-2 where entry is based on the ATP Ranking (Singles).
 - i) If tied.
 - A current ranking beats a Protected Ranking.
 - If still tied, the ATP Doubles Ranking of both players will break the tie.
 - If still tied, the fewest doubles events played.
 - If still tied, coin toss
- b) For spot 3 where entry is based on the best-of ATP Ranking (Singles or Doubles).
 - i) If tied.
 - If best-of ranking is the same, the player with the highest ATP Ranking (Singles) wins the tie.
 - If both doubles rankings are the same, the player with the highest ATP Ranking (Singles) wins the tie.
 - If still tied, coin toss
- c) For spots 4-5 where entry is based on the best-of ATP Ranking (Singles or Doubles).
 - i) If tied.
 - If best-of ranking is the same, the player with the highest ATP Doubles Ranking wins the tie.
 - If both ATP Doubles Rankings are the same, the player with the highest ATP Ranking (Singles) wins the tie.
 - If still tied, the fewest doubles events played.
 - If still tied, coin toss

6) Withdrawal of entry

- a) The deadline for withdrawal of entry for a player / team shall be as follows:
 - i) For those players/teams confirming entry on the entry deadline, any withdrawal after 12:00 Noon Eastern US on Monday, 28 December 2020 will be considered as a Late Withdrawal.
- b) Violation of this Section shall be penalized consistent with the Player Code of Conduct. Late Withdrawal Fines shall apply and be based upon the player's ranking at the date of acceptance. Any player withdrawing after accepting entry shall not be permitted to participate in any other event, including exhibitions, during the ATP Cup Competition.
- c) Players have the right to an Appeal of the Late Withdrawal Fine which must

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be submitted to the ATP Appeals Tribunal, which consideration is limited to the fine only.

7) Late Withdrawals / Substitutions

- a) Number 1 player withdraws after the deadline, 28 December 2020.
 - i) The team remains in the competition as long as there is a minimum of three (3) ATP Ranked players on the team, two of which must have an ATP Ranking (Singles), unless otherwise approved by ATP or, an Alternate is inserted as approved by ATP.
- b) A top 2 singles player withdraws prior to 12 Noon local time in Melbourne, the day prior to the start of the competition.
 - i) The next highest ranked player from that country may be added to the team.
- c) One of the positions (players 3-5) withdraws prior to 12 Noon local time in Melbourne, the day prior to the start of competition.
 - i) The next player from that country with the highest ATP Ranking (Singles or Doubles) may be added to the team.
- d) All substitutions are subject to ATP approval.
- e) If through the withdrawal of the number 1 player or the numbers 1 and 2 players between the deadline (28 December 2020) and 12 Noon local time in Melbourne, the day prior to the start of competition, a team may be withdrawn and replaced by an alternate team if they do not have at least one member of the team ranked 250 or better in singles.

8) Alternate Team Selection

- a) The Alternate Team will be the first team out of the final selection.
- b) If needed, the individual players may be granted a release from any other ATP Tour event they are entered during the period of the ATP Cup Competition, pending ATP approval, following consultation with the ATP Tour event during the week of ATP Cup, or from any ATP Challenger Tour event.
- c) The Alternate Team may be selected for participation until 12 Noon local time in Melbourne, the day prior to the start of competition.

9) Withdrawals after Start of the Competition

- a) Any team that through withdrawals of team members has only two (2) players remaining may continue in the competition as long as both players have, at a minimum, one player with a FedEx ATP Ranking and one player with a FedEx ATP Doubles Ranking, unless approved by ATP. These two players must play singles and doubles.
- b) If a team has only one (1) eligible player, the team loses by Walkover and no matches will be played. No points are awarded for Walkovers.
- c) A team may add an alternate player after the competition has begun as long as the player is not violating ATP rules for "No Play after Withdrawal" or "One Tournament per Week", or as approved by ATP. In no case may a player compete in two events offering FedEx ATP Ranking points which are held in the same ranking week.

D. Competition Format

1) Round Robin – The Groups

The Draw-Teams 1-12

- a) The draw for the placement of teams 1-12 shall take place, at a day/time to be determined, following the 28 December 2020 deadline.

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- b) The teams shall be positioned from 1 to 12 in accordance with the ATP Ranking (Singles) as of 28 December 2020, of the number 1 player of each team accepted at the 28 December 2020 deadline.
- c) The top four (4) teams shall be placed in separate groups.
- d) The next four (4) teams in rank order (5-8) shall be drawn at random into the four (4) groups.
- e) The final four (4) teams (9-12) selected at the first deadline shall be drawn at random for each of the four (4) groups.
- f) A team included in the draw by a player's Protected Ranking will be drawn with the 9-12 group.

2) Daily Order of Play - The Tie

- a) A tie consists of two (2) singles matches and one (1) doubles match.
- b) Each team Captain shall submit to the ATP Supervisor, in writing, the name of the two (2) singles players and the doubles team selected to compete in the Tie. The singles players shall be the top two (2) ranked players (including protected ranking) as of the date of the entry deadline, unless there is a medically supported substitution.
- c) The deadline to submit the names of the competing players (singles/doubles) is 3:00pm local time, the day prior to the scheduled Tie.
- d) For each Tie, the highest-positioned (hereafter, number one) singles player named from each team shall compete against each other and the second positioned (hereafter, number two) singles player named from each team shall compete against each other. The order of positions in each team shall be based upon the most recent FedEx ATP Ranking as of the Monday prior to the start of the competition. The order of matches shall be as follows:
 - i) Number 2 Singles followed by
 - ii) Number 1 Singles followed by
 - iii) Doubles

Note: "Not Before" times may be assigned to the Number 1 singles match and the Doubles match as determined by the organizers in consultation with the ATP Supervisor.

- e) Upon the completion of the doubles match, the winner of the tie shall be the team that wins at least two (2) of the three (3) matches.
- f) The doubles match must be played regardless of the results of the two singles matches.*
*For the Finals, if the tie is decided following the 2nd singles match then the doubles match will not be played.

3) Determination of Semi-Final Teams

Group Winners

- a) Number of ties won
- b) Number of Ties Played
Comment: 2-1 win-loss beats 2-0 win-loss. A 1-2 win-loss beats a 1-1 or 1-0 record. A team winning by walkover shall have the tie count in its results as a tie played. The team causing the walkover shall not have the tie counted as a tie played.
- c) Head-to-Head results if only two (2) teams are tied.
- d) In a tie between three (3) teams, the following shall apply:
 - i) If three (3) teams have the same number of wins, then the team having played fewer total matches (singles & doubles) will be eliminated and the

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winner of the head-to-head matchup between the two remaining teams advance, if still tied then,

Comment: 11-1 win-loss beats 11-0 win-loss. A 5-7 win-loss beats 5-0 record

- ii) The team with the most match wins (singles & doubles), if still tied then,
- iii) The team with the highest percentage of matches won, if still tied then,
- iv) The team that has the highest percentage of sets won, if still tied then,
- v) The team with the highest percentage of games won,
- e) If ii), iii), iv) or v) produce one superior team (first place), then the tie is broken, or
- f) If ii), iii), iv) or v) produce one inferior team then that team is eliminated and the winner of the match between the two (2) remaining teams is the winner of the group.

Notes: In all tie-break situations, the following shall apply.

- Unplayed matches shall be scored as completed for purposes of matches played.
- Defaulted and retired singles or doubles matches shall be scored as completed for purposes of matches played and will count as a straight set win or loss. However, games won or lost in matches with defaulting or retiring player shall not be counted for percentage of games won.
- Teams advancing from a tie via a team walkover (i.e. no alternate) will count as a tie won but this does not count towards total matches won, percentage of sets or percentage of games won.
- Any team that withdraws from any round robin tie after the first-round robin tie shall not be eligible for the single elimination tournament.
- The Match Tie-Break (doubles) counts as a set won and for games won counts as 1-0

4) The Knock-out Rounds

- a) The four (4) teams advancing to the knock-out rounds shall be placed in the draw as follows:

Winner Group A (#1 seed group) placed on line 1
Winner Group B (#2 seed group) placed on line 4
Winner Group C (#3 seed group) placed on line 3
Winner Group D (#4 seed group) placed on line 2

- b) The Champion Team shall be decided by the result of a straight knock-out competition.

E. Protected Ranking

The following applies to any player with a Protected Ranking ("PR") that has been used in any manner during the competition or to qualify a country for entry.

- 1) The PR must be valid at the entry deadline in which the player/country qualifies.
- 2) If valid at the entry deadline for qualification it shall remain valid throughout the competition.
- 3) Can be used for team entry.
- 4) Will count for position in the singles lineup.

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- 5) Will count for FedEx ATP Ranking points.
- 6) Will not count for team seeding.
- 7) Will not count as Protected Ranking used for the player(s).
- 8) May only be used at one (1) ATP Cup event.

Note: A team included in the draw by a player's Protected Ranking will be drawn with the 9-12 group.

F. Schedule of Play

The following is the schedule of play unless otherwise determined by the Tournament Committee and Supervisor:

- 1) The twelve (12) teams shall play Round Robin matches the first three days to determine the four (4) winners of the Round Robin groups.
- 2) Following the draw, the daily ties (country v country) for the round robin sessions will be scheduled and announced.
- 3) All players and Captains must be available for play on the first day of the event.
- 4) Once the Captain has named the two (2) players competing in the singles, the pairings for the Tie shall be made automatic as determined by the FedEx ATP Ranking (including Protected Ranking) on the Monday prior to the start of the competition.
- 5) Protected Ranking (singles) will be used for a player's position on the team but cannot be used for team seeding.
- 6) The final shall be held on the 5th day (Friday) of the Tournament.
- 7) The ATP Supervisor reserves the right to change the schedule of play, alter starting times and make other changes deemed necessary for the smooth running of the competition.

G. Team Captain / Team Coaches

1) Designation of Captain

- a) The number one player on each team is by default the Team Captain. The number 1 player has the option, after consultation with his team members, to appoint a Captain, provided such person is of same nationality* and meets one (1) of the following criteria:

*In 2021, due to the extraordinary circumstances related to Covid-19, the #1 player may request, subject to ATP approval, to appoint a captain of a different nationality.

- i) A Division I Player Member, in good standing, or
 - ii) An ATP Coach member, in good standing, or
 - iii) A Captain or coach of the Federation
 - iv) If not meeting criteria established in i), ii) or iii) above, the name of the proposed Captain must be submitted to the ATP Coaches Committee at least 10 days in advance for approval.
- b) The Captain must be communicated to ATP no later than 5:00 PM (Eastern US) on the Wednesday following the entry deadline of 28 December 2020.

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- c) In the event the Captain is not on-site or not available, the number one (1) player shall assume the role of Captain or designate a non-playing team member as Captain.
 - d) The Captain must be on-site for the duration of that team's participation in the competition. The Captain shall be subject to all provisions of the Player Code of Conduct, including those pertaining to Dress and Equipment.
- 2) Duties of the Captain.** The duties of the Captain are as follows:
- a) Designate the team's lineup, after consultation with the team members;
 - b) Act as official representative for their respective team;
 - c) Attend all team meetings; and
 - d) The designated Captain may sit on court during the match and may coach during changeovers, set-breaks and during play as long as it does not interrupt play.
 - e) The Captain may speak to the Chair Umpire, however only the Player may initiate Challenges to line calls.
- 3) Individual Coaches***
- a) Each player may have his personal coach be the designated coach for his matches provided the coach meets the following criteria:
 - i) A Division I Player Member, in good standing, or
 - ii) An ATP Coach Member, in good standing, or
 - iii) If not meeting criteria established in i) or ii) above, the name of the proposed Coach must be submitted to the ATP Coaches Committee at least ten (10) days in advance of the event for approval.
- *Individual coaches with multiple players can coach their players even if they are competing for different countries. If a coach has one player on each competing team, then the coach may only be on court for one country in that tie. This does not apply if the individual coach is also the Captain of a team. A Captain may only sit on court and coach for the team he is captaining.
- 4) Duties of the Coach.** The duties of the coach are as follows:
- a) During each match the player involved may use his personal coach to assist him during the match.
 - b) The coach will sit in the designated area assigned for the coach of that match.
 - c) The coach may sit on court during the match and may coach during changeovers, set-breaks and during play as long as it does not interrupt play.
 - d) Official team members/coaches may also communicate with the player during changeovers and set-breaks.
 - e) All team members, Captain and coaches, when courtside, must sit in the area designated for the teams participating in that Tie.
 - f) The coach must adhere to the ATP Code of Conduct, including logo restrictions on attire.
- 5) Player Designations**
- a) Each team Captain shall submit to the ATP Supervisor, in writing, the name of the two (2) singles players and the doubles team selected to compete in the Tie. The singles players shall be the top two (2) ranked players (including protected ranking) as of the date of the entry deadline, unless there is a medically supported substitution, or otherwise approved by the Supervisor.
 - b) The two (2) singles players, named from each country for the Tie, shall be designated as player 1 and player 2, based upon the most recent FedEx ATP Ranking (including Protected Ranking) as of the Monday prior to the start of

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the competition. Change may be allowed for medical conditions or for unforeseen circumstances approved by the ATP Supervisor.

- c) For group stage ties, the team Captains must give in writing the names of the two (2) singles players and the doubles team to the Supervisor no later than 3:00pm on the day prior to the scheduled Tie. The doubles team may be chosen from any player named to the team.
For the elimination stages of the event, the team Captain must give in writing the names of the two (2) singles players and the doubles team to the Supervisor within fifteen minutes after the completion of the second tie determining the teams for the upcoming knock-out tie.
- d) Following the conclusion of the second singles match, any change in the doubles team must be communicated to the Supervisor, in writing, within 10 minutes of the conclusion of the second singles match. The Supervisor shall notify the opposing Captain and all other relevant staff once both Captains have submitted their doubles teams.
- e) There shall be a maximum of twenty-five (25) minutes between the end of the last singles match and the start of the doubles match if one or more of the doubles players competed in the last singles match. If none of the players designated for the doubles has competed in the last singles match, the doubles shall be scheduled as "followed by" with the exact time determined by the Supervisor. Fifteen minutes is recommended following the conclusion of the second singles match, however doubles players who competed in the last singles match can elect to start after fifteen (15) minutes or after twenty-five (25) minutes.
- f) The Captain must name the doubles team one hour before the start of the day's play if his team has no singles matches on that day (rain or other cause of delay).
- g) The team Captain may, whenever necessary, replace a singles player in the case of illness, injury or unforeseen circumstances approved by the ATP Supervisor.
 - i) After the Order of Play is released and up to the start of the first match.
 - Order of Play will be adjusted based upon the new team order, if necessary.
 - ii) After the start of the first singles match.
 - A player who is substituted for a player named to the second match cannot change the team order. For example, a player substituted for the number 2 player cannot have a better ranking than the player competing at number 1 for that team.
 - iii) A player who withdraws from the singles shall be eligible for doubles on that same day.
 - iv) In the event of match changes, the Supervisor may allow reasonable time adjustments in the schedule.
- h) In the event of a conduct default, the Supervisor may decide to remove the offending player(s) for the remainder of the tie or event.

H. Medical

1) Tournament Doctor

- a) An official Tournament Doctor is required to be present at all times during play and a reasonable time before play begins.
- b) The tournament doctor shall be available for court calls as necessary.

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2) ATP Physiotherapist

- a) Each venue will have an ATP Physiotherapist(s) assigned to the event.
- b) Only the ATP Physiotherapist will be allowed on court during the match.

I. Code of Conduct

1) Players. All players are subject to the ATP Code of Conduct.

a) Dress and Equipment.

- i) All team members must dress in similar attire that identifies them with the country they are representing.
- ii) Team attire must be submitted to and approved by ATP in advance of the event.

2) Team Captain / Coaches. All Team Captains and Coaches are subject to the provisions specified in the ATP Code of Conduct regarding Dress and Equipment and conduct on-site during the event.

During matches, official functions and media appearances, all Team Captains shall wear polo shirt and lightweight jacket with their country hemisphere, and ATP Cup cap.

In addition, any violation occurring during the match shall be penalized with a "Coaches Warning". The first violation results in a Warning and a second violation during the match will result in the coach being removed from the court for the remainder of that Tie.

3) Fines. Any fines issued during the Tie will be levied against the individual.

J. Prize Money (All figures in U.S. dollars)

Total Prize Money: \$7,500,000

Per Individual Wins:

	#1 Singles Win	#2 Singles Win	Doubles Win (per player)
Final Win	\$319,500	\$225,000	\$63,000*
Semi-Final Win	\$173,000	\$118,000	\$35,000
Group Stage Win	\$50,000	\$35,000	\$10,000

*If the Tie is decided following the 2nd singles match, the doubles match will not be played and the money will be split evenly amongst the members of both teams.

Per Team Wins:

	Per Player
Final Win	\$50,000
Semi-Final Win	\$30,000
Group Stage Win	\$10,000

All 3-5 players on the team (whether the player plays a match or not) earn the same amount for a team win.

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Per Participation:

Chart 1

No. 1 Player	
Entry order	Fee
1-3*	\$190,000
4-6*	\$170,000
7-12*	\$150,000

*Entry order as of 28 December 2020

Chart 2

No. 2 Player	
FedEx ATP Ranking	Fee
1-10	\$150,000
11-20	\$100,000
21-30	\$55,000
31-50	\$40,000
51-100	\$30,000
101-250	\$20,000
250+	\$15,000

Ranking as of date of entry of team

Chart 3

Nos. 3-5 players	
FedEx ATP Doubles Ranking	Fee
1-20	\$20,000
21-50	\$12,500
51-100	\$10,000
101-150	\$7,500
151+	\$5,000
FedEx ATP Ranking	Fee
1-100	\$12,500
101-250	\$7,500
250+	\$5,000

Ranking as of 28 December 2020

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Participation Fee Notes

- Players may only receive a participation fee in one category. Players will receive a fee for singles or doubles, whichever was used for their entry.
- Participation fee for any team substitutions following the 28 December 2020 entry order shall be based upon the 28 December team order and player ranking.
- A number 1 and number 2 singles player will receive 100% of the participation fee if they compete in all 2 Group stage singles matches. Pro-Rata schedule for players number 1 and number 2 competing in less than all 2 Group stage singles matches is listed below including Pro-Rata schedule for doubles matches participated in.
- Players number 3-5 will receive 100% participation fee regardless of whether they compete in any of the Group state matches.

2021 Participation Fee Pro-Rata Schedule			
For #1 & #2 Players	Promotional %	Per Singles Match %	Per Doubles Match %
	40%	30%	15%

- Max of 30% per tie
- Playing Singles and Doubles in same tie = 30%
- Applies to Group stage matches and ties only
- This applies to all #1 & #2 players including players competing with Protected Ranking (PR)
- Promotional % = minimum participation fee

K. FedEx ATP Ranking Points

Singles

Opponent's FedEx ATP Ranking	1-10	11-20	21-30	31-50	51-100	101-250	251+
Final Win	220	180	140	100	75	45	30
SF Win	150	130	100	65	45	30	20
Group Win	75	65	50	35	25	20	15

Maximum 500 points for undefeated player

Singles player ranked 251+

Opponent's FedEx ATP Ranking	1-100	101-250	251+
Final Win	55	45	30
SF Win	45	30	20
Group Win	25	15	10

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Doubles

	Win vs. Any Team
Final Win	100
SF Win	75
Group Win	50

A maximum of 250 points can be earned.

L. Walkovers

- 1) No points are awarded if no matches of the tie are played
- 2) An individual match in the tie is won by a Walkover, points are awarded based upon the lowest ranking category (101+).

M. Media / STARS Obligations

- 1) All teams are requested to arrive in Australia no later than 16 January 2021 to begin the mandatory Quarantine and to be available for pre-event media / STARS commitments, to be arranged.
- 2) Normal post-match interview protocol will be followed with the exception being a player competing in the 2nd singles match who is also competing in the doubles may postpone his media commitment until after the doubles match. However, the ATP PR Manager may approach the player following the singles match to obtain a few quotes to give to media, if requested.

N. Jurisdiction Governing the competition

- 1) The Competition is sanctioned and recognized by ATP Tour, Inc.
- 2) All players who enter and compete in the competition agree to be subject to the Rules and Regulations of the ATP, including, but not limited to, the Code of Conduct, the Tennis Anti-Corruption Program and the Tennis Anti-Doping Program.
- 3) The ATP Supervisor, in consultation with the SVP, Rules & Competition, shall determine and resolve all questions not considered in these Rules and Regulations.

4.04 Next Gen ATP Finals

A. Competition Format

The tournament shall be a round robin format with eight (8) players. There shall be two (2) groups of four (4) players each with eight (8) seeds to be determined by their position on the most recent FedEx ATP Singles Rankings. All matches shall be the best of five (5) tie-break sets. Each set shall be the first to four (4) games with a margin of two (2) with a tie-break played at three (3) games all. Games shall be decided using the No-Ad scoring method. The round robin shall determine the four (4) players for the semi-finals with the format thereafter being a single elimination competition.

B. Entries

- 1) **Age Eligibility.** All players must be 21 years or under throughout the 2021 calendar year.
- 2) **Selection List.** The selection list for the event shall be:

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- a) The top seven (7) players in the ATP Race to Milan standings as of Monday (2 Nov) following the Basel / Vienna / Challenger events; followed by
- b) One (1) Wild Card designated by the FIT and approved by ATP. The Wild Card selection must meet the age restriction as specified in B. 1) above.
- 3) **Direct Acceptances.** The top seven (7) players in the selection list shall qualify for the event as direct acceptances. Participation is mandatory, and all qualified players shall be entered. The exception to this is that any player(s) who are qualified for the Nitto ATP Finals as a Direct Acceptance or as a designated Alternate are excluded from mandatory participation. All direct acceptances must be at the tournament site to attend the official pre-tournament media events scheduled Sunday night and Monday and must be available for play through the completion of the round robin competition and the knock-out competition if eligible.
- 4) **Withdrawal.** Any withdrawal, before the official pre-tournament media conference starts, shall be replaced by the next highest positioned player on the selection list, who shall be qualified as a direct acceptance.
- 5) **Alternate(s).**
 - a) Alternate(s) (who are not a direct acceptance at the time of the official pre-tournament media conference) shall be designated as determined by ATP. The alternate shall replace any player who subsequently withdraws. The alternate must appear at the official pre-tournament media conference and remain available through the start of the last scheduled round robin match. Participation of the Alternate is not mandatory.
 - b) Additional alternates may be selected by ATP to fill the draw, based upon terms satisfactory to ATP. Participation of such additional alternates is not mandatory.
 - c) The alternate(s) is eligible to play in the single elimination competition and to receive prize money if he qualifies.
 - d) If the alternate(s) does not play in the draw, then a fee shall be paid to the alternate(s). If the alternate(s) is inserted for the second or third round robin match, then he shall receive the alternate fee plus any prize money won. If the alternate(s) replaces a player that does not compete in his first round robin match, the alternate(s) becomes a direct acceptance and does not receive the alternate fee.

C. Appearance at Event

All direct acceptances and the alternate must appear at the site of the event(s) as determined by ATP and participate in the pre-tournament media events scheduled on Sunday night and Monday.

D. Failure to Participate

If a player, qualified for the Next Gen ATP Finals as a direct acceptance fails or refuses to participate in this event, except for bona fide injury or other reason which constitutes good cause, the player shall receive a fine in the amount of \$25,000.

E. Order of Play

Round Robin

- 1) The field shall be divided into two (2) groups of four (4) players each. The

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top-seeded player shall be placed in Group "A" and the second-seeded player shall be placed in Group "B". Players seeded three (3) and four (4), five (5) and six (6), and seven (7) and eight (8), shall then be drawn in pairs with the first drawn placed into Group "A."

- 2) Each player shall play every other player in his group to determine the top two (2) players in each group.
- 3) The final standings of each group shall be determined by the first of the following methods that apply:

- a) Greatest number of wins.
- b) Greatest number of matches played.
Comment: 2-1 won-loss record beats a 2-0 won-loss record; a 1-2 record beats a 1-0 record.
- c) Head-to-head results if only two (2) players are tied.
- d) If three (3) players are tied, then:

- i) If three (3) players each have one (1) win, a player having played less than all three (3) matches is automatically eliminated and the player advancing to the single elimination competition is the winner of the match-up of the two (2) players tied with 1-2 records; or

- ii) Highest percentage of sets won; or

- iii) Highest percentage of games won; or

- iv) The player positions on the most recent FedEx ATP Rankings.

- v) If (i), (ii), (iii) or (iv) produce one (1) superior player (first place), or one (1) inferior player (third place), and the two (2) remaining players are tied, the tie between those two (2) players shall be broken by head-to-head record.

Comment 1: 1 player has 3 wins and the other 3 players have 1 win. Of the 3 players with 1 win, 1 player has only played in 2 matches while the other 2 players have played 3 matches. The player who has only played 2 matches is eliminated and then the 2 remaining players revert to head-to-head results with the winner of their match advancing to the semi-finals.

Comment 2: 1 player has 3 wins and the other 3 players have 1 win and they all have played 3 matches. The tie-break for % of sets won has 1 player with a better % than the other two. This player advances to the semi-final round.

Comment 3: 3 players have 2 wins and the other player has 0 wins. The player with 0 wins is eliminated. Of the 3 players with 2 wins, they are ordered by their % of sets won. This produces a 1, 2 & 3 order and the players finishing 1 and 2 move to the semi-final round and the player finishing 3 in % of sets won is eliminated. The player with the best % of sets won is the winner of the group.

Comment 4: 3 players have 2 wins and the other player has 0 wins. The player with 0 wins is eliminated. Of the 3 players with 2 wins, 1 player's sets won-loss is 5-2 for 71.43%; the other 2 players both have a 4-3 record in sets for 57.14%. In this case there is 1 superior player (71.43%) and the remaining 2 players are tied; it now reverts to the head to head result of the 2 remaining players with the winning player advancing as group runner-up.

Comment 5: 3 players have 2 wins and the other player has 0 wins. The player with 0 wins is eliminated. Of the 3 players with 2 wins, 2 have set won-loss records of 5-3 (62.5%) while the other player is 4-3 (57.14%). In this case, we have 1 inferior player (57.14%) and he is eliminated. The

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remaining two players both advance to the semi-finals with the winner of their head-to-head match advancing as the group winner.

Comment 6: 3 players have 2 wins and the other player has 0 wins. The player with 0 wins is eliminated. Of the 3 players with 2 wins, all have played 3 matches and all 3 have set won-loss records of 5-4 (55.56%). In this case, we move to % of games won. The % of games won breaks down like this: 44-40 for 52.38%, 45-43 for 51.14% and 44-43 for 50.57%. This produces a 1, 2 and 3 order of the group and the number 1 player in % of games won is the group winner while the player finishing 2nd in % of games won advances to the semi-finals as the group runner-up. The player with the 3rd best % of games won is eliminated.

- e) In applying the tie-breaking procedures, a conduct default or retirement shall count as a straight-set win or loss. However, games won or lost in matches with the defaulting or retiring player shall not be counted in the percentage of games won. A player who retires during the round robin because of illness or injury may continue in the competition if it is approved by the tournament Doctor.

Comment: This prevents a scenario where a player knows he only needs to win 1 set to qualify for the semi-finals from retiring once he has won a set.

- f) Any player who is defaulted pursuant to the ATP Code during the round robin competition shall be defaulted from all other matches in the Championship and ATP default provisions shall apply, except for the following circumstances:
 - i) The loss of physical condition; or
 - ii) Dress and Equipment.
- g) Any player who withdraws from any round robin match after the first round shall not be eligible for the single elimination competition.

F. Single Elimination Competition

- 1) The winner of each group shall be placed in separate semi-final brackets. The runner-up of each group shall be placed in the semi-final bracket with the winner of the opposite group.
- 2) The event shall be completed with a single elimination competition for the semi-finals and final.
- 3) There shall be a playoff between the losers of the two semi-final matches for the third and fourth place positions.

G. Prize Money

Final standings at the end of the tournament shall determine the prize money earned.

H. Conditions of Play

The conditions of play will be finalized and announced following the 2021 US Open.