

# COMPETITION RULES

**When a conflict or incompatibility is determined between any of the Kaggle-inspired rules below and LSEG standard rules, practice and legal agreements, the latter takes precedence.**

**This is a fun competition aimed at helping you get started with machine learning. Looking up the answers defeats the entire purpose. So seriously, do not do that.**

## COMPETITION-SPECIFIC TERMS

### TITLE

Stock Prices - A POST TRADE KAGGLE-LIKE COMPETITION

### SPONSOR

LSEG Post Trade Technology

### TIMELINE

Start Date: October 16, 2023, 09:00 UTC

End Date: November 19, 2023, 22:00UTC

### TEAMS CHANNEL

### JUDGING PANEL

Julian Bullock, Dominic Hill, Maurizio Morabito

### ORGANIZERS

Lisa Gevaux, Maurizio Morabito, Rhea Poonevala

### NUMBER OF PRIZES

TBD according to the number of participants

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## COMPETITION-SPECIFIC RULES

In addition to the provisions of the General Competition Rules below, you understand and agree to these Competition-Specific Rules required by the Competition Sponsor:

One account per participant

You cannot sign up to the PoTaggle competition from multiple accounts and therefore you cannot submit from multiple accounts.

*No private sharing outside teams*

Privately sharing code or data outside of teams is not permitted. The two competition paths have different datasets, sharing data between the two is not permitted. It is okay to share code if made available to all participants.

*Team Mergers*

Team mergers are allowed. The combined team will decide how to restructure their (now single) submission.

*Team Limits*

The maximum team size is 5.

*Submission Limits*

You may submit a maximum of 1 entry per week of the competition.

You may submit up to 5 final submissions for judging.

*Data access and use*

We ask that you respect the spirit of the competition and do not cheat. Hand-labelling is forbidden.

**ENTRY IN THIS COMPETITION CONSTITUTES YOUR ACCEPTANCE OF THESE OFFICIAL COMPETITION RULES.**

The Competition named above is a skills-based competition to promote and further the field of data science. You must register via the Competition Organizers to enter. Your competition submissions ("Submissions") must conform to the requirements stated on the Teams channel. Your Submissions will be scored based on the evaluation metrics described on the Teams channel. Subject to compliance with the Competition Rules, Prizes, if any, will be awarded to participants with the best scores, based on the merits of the data science models submitted. See below for the complete Competition Rules.

*Automated Machine Learning Tools (AMLT)*

Individual participants and Teams may use automated machine learning tool(s) ("AMLT") (e.g., Google AutoML, H2O Driverless AI, etc.) to create a Submission, provided that the participant or Team ensures that they have an appropriate license to the AMLT such that they are able to comply with the Competition Rules.

*Chatbots*

Individual participants and teams may use chatbots. Please be aware that other participants and teams may do the same, probably arriving at similar conclusions and therefore reducing the possibility of winning a prize – unless your chatbot prompts result in innovative and original solutions!

## GENERAL COMPETITION RULES

### *BINDING AGREEMENT*

To enter the Competition, you must agree to these Official Competition Rules, which incorporate by reference the provisions and content of the Teams channel and any Specific Competition Rules above (collectively, the "Rules"). Please read these Rules carefully before entry to ensure you understand and agree. You further agree that submission of an entry in the Competition constitutes agreement to these Rules. You may not submit an entry to the Competition and are not eligible to receive the prizes associated with this Competition ("Prizes") unless you agree to these Rules. These Rules form a binding legal agreement between you and the Competition Sponsor with respect to the Competition.

### *ELIGIBILITY*

Competitions are open to LSEG employees, contractors, and consultants. Please note that PoTaggle is specifically aimed at Post Trade, although in exceptional circumstances we will allow participation from other areas of LSEG.

To be eligible to enter a Competition, you must be: (i) a registered, active AD (Active Directory) account holder at LSEG; (ii) not a Competition Organiser or Judging Panel member; (iii) not a winner of the previous PoTaggle competition.

If you are a contingent worker/consultant of LSEG, you agree that your participation will be fully conducted in your own time, and LSEG will not be charged for your activity related to the participation.

You further warrant that your actions do not violate your employer's or entity's policies and procedures.

Other local rules and regulations may apply to you, so please check your local laws to ensure that you are eligible to participate in skills-based competitions. The Competition Sponsor reserves the right to award alternative Prizes where needed to comply with local laws.

The Competition Sponsor reserves the right to verify eligibility and to adjudicate on any dispute at any time. If you provide any false information relating to the Competition concerning your identity, residency, mailing address, telephone number, email address, ownership of right, or information required for entering the Competition, you may be immediately disqualified from the Competition.

### *SPONSOR*

The Competition is sponsored by Competition Sponsor named above.

### *COMPETITION PERIOD*

For the purposes of Prizes, the Competition will run from the Start Date and time to the Final Submission Deadline (such duration is the "Competition Period"). The Competition Timeline is subject to change, and Competition Sponsor may introduce additional hurdle deadlines during the Competition Period. Any updated or additional deadlines will be publicized on the Teams channel. It is your responsibility to check the Teams channel

regularly to stay informed of any deadline changes. YOU ARE RESPONSIBLE FOR DETERMINING THE CORRESPONDING TIME ZONE IN YOUR LOCATION.

### *COMPETITION ENTRY*

To enter the Competition, you must send an email to the Competition Organisers prior to the Entry Deadline and follow the instructions for developing and entering your Submission through the Teams channel.

Your Submissions must be made in the manner and format, and in compliance with all other requirements, stated on the Teams channel (the "Requirements"). Submissions must be received before any Submission deadlines stated on the Teams channel. Submissions not received by the stated deadlines will not be eligible to receive a Prize.

Submissions may not use or incorporate information from hand labelling or human prediction of the validation dataset or test data records.

Submissions are void if they are in whole or part illegible, incomplete, damaged, altered, counterfeit, obtained through fraud, or late. Competition Sponsor reserves the right to disqualify any entrant who does not follow these Rules, including making a Submission that does not meet the Requirements.

### *INDIVIDUALS AND TEAMS*

A. Individual Account. You may make Submissions only under one, unique LSEG account. You will be disqualified if you make Submissions through more than one LSEG account or attempt to use another account to act as your proxy. You may submit up to the maximum number of Submissions as specified on the Competition Specific Rules above.

B. Teams. If permitted under the Competition Specific Rules, multiple individuals may collaborate as a team (a "Team"); however, you may join or form only one Team. Each Team member must be a single individual with a separate LSEG account. You must register individually for the Competition before joining a Team. Team membership may not exceed the Maximum Team Size stated on the Teams channel.

C. Team Merger. Teams may request to merge via the Competition Organisers. Team mergers may be allowed provided that: (i) the combined Team does not exceed the Maximum Team Size; (ii) the number of Submissions made by the merging Teams does not exceed the number of Submissions permissible for one Team at the date of the merger request; (iii) the merger is completed before the earlier of: any merger deadline or the Competition deadline; and (iv) the proposed combined Team otherwise meets all the requirements of these Rules.

### *COMPETITION DATA*

Competition Data means the data or datasets available from the Teams channel for the purpose of use in the Competition, including any prototype or executable code provided on the Teams channel. The Competition Data might contain private and public test sets. Which data belongs to which set may not be made available to participants.

A. Data Access and Use. You may access and use the Competition Data for internal LSEG, non-commercial purposes only. The Competition Sponsor reserves the right to disqualify any participant who uses the Competition Data other than as permitted by the Teams channel and these Rules.

B. Data Security. You agree to use reasonable and suitable measures to prevent persons who have not formally agreed to these Rules from gaining access to the Competition Data. You agree not to transmit, duplicate, publish, redistribute, or otherwise provide or make available the Competition Data to any party not participating in the Competition. You agree to notify the Competition Organisers immediately upon learning of any possible unauthorized transmission of or unauthorized access to the Competition Data and agree to work with LSEG to rectify any unauthorized transmission or access.

C. External Data. You may use data other than the Competition Data (“External Data”) to develop and test your Submissions. However, you will ensure the External Data is publicly available and equally accessible to use by all participants of the Competition for purposes of the competition at no cost to the other participants. The ability to use External Data under this Section (External Data) does not limit your other obligations under these Competition Rules, including but not limited to Section “Winners Obligations.”

#### *SUBMISSION CODE REQUIREMENTS*

A. Private Code Sharing. Unless otherwise specifically permitted under the Teams channel or Competition Specific Rules above, during the Competition Period, you are not allowed to privately share source or executable code developed in connection with or based upon the Competition Data or other source or executable code relevant to the Competition (“Competition Code”). This prohibition includes sharing Competition Code between separate Teams unless a Team merger occurs. Any such sharing of Competition Code is a breach of these Competition Rules and may result in disqualification.

B. Public Code Sharing. You are permitted to publicly share Competition Code, provided that such public sharing does not violate the intellectual property rights of any third party. If you do choose to share Competition Code or other such code, you are required to share it on the appropriate Teams channel associated specifically with the Competition for the benefit of all competitors. By so sharing, you are deemed to have licensed the shared code under an Open-Source Initiative-approved license (see [www.opensource.org](http://www.opensource.org)) that in no event limits commercial use of such Competition Code or model containing or depending on such Competition Code.

C. Use of Open Source. Unless otherwise stated in the Specific Competition Rules above, if open-source code is used in the model to generate the Submission, then you must only use open-source code licensed under an Open-Source Initiative-approved license (see [www.opensource.org](http://www.opensource.org)) that in no event limits commercial use of such code or model containing or depending on such code.

#### *DETERMINING LEADERBOARD*

Each Submission will be scored and ranked by evaluation metrics stated on the Teams channel. During the Competition Period, the current ranking might be visible from time to

time on the Teams channel 's public leaderboard. The public leaderboard will be based on the public test set and the private leaderboard will be based on the private test set if any.

In the event of a tie, the Submission that was entered first to the Competition will be ranked higher.

#### *DISQUALIFICATION*

Competition Sponsor reserves the right to disqualify any participant from the Competition if the Competition Sponsor believes that the participant has attempted to undermine the legitimate operation of the Competition by cheating, deception, or other unfair playing practices or abuses, threatens or harasses any other participants, Competition Sponsor, Organisers or Judging Panel.

A disqualified participant may be removed from the Competition leaderboard, at the Judging Panel's sole discretion.

When the sponsor chooses to conclude the competition, the final leaderboard list will be publicly displayed at the Teams channel. Determinations of Competition Sponsor and Judging Panel are final and binding.

#### *GENERAL CONDITIONS*

All national and local laws and regulations apply.

#### *PUBLICITY*

You agree that Competition Sponsor, Organisers, Judging Panel, and their affiliates may use your name and likeness for internal LSEG advertising and promotional purposes without additional compensation, unless prohibited by law.

#### *PRIVACY*

Competition Sponsor, Organisers, Judging Panel, and participants are bound to the standard privacy rules in use at LSEG.

As part of Competition Sponsor performing this contract between you and the Competition Sponsor, the Judging Panel will transfer your Personal Information to Competition Sponsor, which acts as an independent controller regarding this Personal Information. As a controller of such Personal Information, Competition Sponsor agrees to comply with all LSEG data protection obligations regarding your Personal Information. Your Personal Information to Competition Sponsor in the country specified in the Competition Sponsor Address listed above, which may be a country outside the country of your residence. Such country may not have privacy laws and regulations similar to those of the country of your residence.

#### *WARRANTY, INDEMNITY AND RELEASE*

You warrant that your Submission is your own original work and, as such, you are the sole and exclusive owner and rights holder of the Submission, and you have the right to make the Submission and grant all required licenses. You agree not to make any Submission that: (i) infringes any third-party proprietary rights, intellectual property rights, industrial property rights, personal or moral rights or any other rights, including without limitation,

copyright, trademark, patent, trade secret, privacy, publicity or confidentiality obligations, or defames any person; or (ii) otherwise violates any applicable local or international law.

To the maximum extent permitted by law, you indemnify and agree to keep indemnified Competition Entities (Sponsor, Organisers, always Judging Panel) from and against any liability, claims, demands, losses, damages, costs, and expenses resulting from any of your acts, defaults, or omissions and/or a breach of any warranty set forth herein. To the maximum extent permitted by law, you agree to defend, indemnify and hold harmless the Competition Entities from and against any and all claims, actions, suits or proceedings, as well as any and all losses, liabilities, damages, costs and expenses (including reasonable attorney's fees) arising out of or accruing from: (a) your Submission or other material uploaded or otherwise provided by you that infringes any third party proprietary rights, intellectual property rights, industrial property rights, personal or moral rights or any other rights, including without limitation, copyright, trademark, patent, trade secret, privacy, publicity or confidentiality obligations, or defames any person; (b) any misrepresentation made by you in connection with the Competition; (c) any non-compliance by you with these Rules or any applicable U.S. or foreign state or federal law; (d) claims brought by persons or entities other than the parties to these Rules arising from or related to your involvement with the Competition; and (e) your acceptance, possession, misuse or use of any Prize, or your participation in the Competition and any Competition-related activity.

You hereby release Competition Entities from any liability associated with: (a) any malfunction or other problem with the Teams channel; (b) any error in the collection, processing, or retention of any Submission; or (c) any typographical or other error in the printing, offering or announcement of any Prize or winners.

#### *INTERNET*

Competition Entities are not responsible for any malfunction of the Teams channel or any late, lost, damaged, misdirected, incomplete, illegible, undeliverable, or destroyed Submissions or entry materials due to system errors, failed, incomplete or garbled computer or other telecommunication transmission malfunctions, hardware or software failures of any kind, lost or unavailable network connections, typographical or system/human errors and failures, technical malfunction(s) of any telephone network or lines, cable connections, satellite transmissions, servers or providers, or computer equipment, traffic congestion on the Internet or at the Teams channel, or any combination thereof, which may limit a participant's ability to participate.

#### *RIGHT TO CANCEL, MODIFY OR DISQUALIFY*

If for any reason the Competition is not capable of running as planned, including infection by computer virus, bugs, tampering, unauthorized intervention, fraud, technical failures, or any other causes which corrupt or affect the administration, security, fairness, integrity, or proper conduct of the Competition, Competition Sponsor reserves the right to cancel, terminate, modify or suspend the Competition. Competition Sponsor further reserves the right to disqualify any participant who tampers with the submission process or any other part of the Competition or Teams channel. Any attempt by a participant to deliberately damage any website, including the Teams channel, or undermine the legitimate operation of the Competition is a violation of criminal and civil laws. Should such an attempt be made,

Competition Sponsor and the Judging Panel each reserves the right to fully seek damages from any such participant of the applicable law.

#### *NOT AN OFFER OR CONTRACT OF EMPLOYMENT*

Under no circumstances will the entry of a Submission, the awarding of a Prize, or anything in these Rules be construed as an offer or contract of employment with Competition Sponsor or any of the Competition Entities. You acknowledge that you have submitted your Submission voluntarily and not in confidence or in trust. You acknowledge that no confidential, fiduciary, agency, employment, or other similar relationship is created between you and Competition Sponsor or any of the Competition Entities by your acceptance of these Rules or your entry of your Submission.

#### *GOVERNING LAW*

Unless otherwise provided in the Competition Specific Rules above, all claims arising out of or relating to these Rules will be governed by English law, excluding its conflict of laws rules, and will be litigated exclusively in England. The parties' consent to personal jurisdiction in those courts. If any provision of these Rules is held to be invalid or unenforceable, all remaining provisions of the Rules will remain in full force and effect.

#### *OVERRIDING RULES*

When a conflict or incompatibility is determined between any of the Kaggle-inspired rules above and LSEG standard rules, practice and legal agreements, the latter take precedence.

**This is a fun competition aimed at helping you get started with machine learning. Looking up the answers defeats the entire purpose. So seriously, do not do that.**