

Konami Digital Entertainment, Inc. (KDE)

Official Penalty Guidelines

Valid as of April 1, 2009

This document, used in addition to Konami Tournament Policy, outlines the appropriate code of behavior for players at an event. It instructs judges and tournament officials how to identify infractions and assign correct penalties. Penalty Guidelines help ensure a fair and consistent tournament everywhere, by explaining the various types of infractions, along with the penalties assigned to each one. Judges and tournament officials are expected to abide by the policies outlined below. In addition to Konami's Tournament Policy document, this Penalty Guideline contains information to be used during all sanctioned Official Konami Trading Card Game tournaments.

Philosophy

Both players and tournament officials share the responsibility for maintaining a fair and consistent event, by understanding their roles in the event.

Players

There are many kinds of tournaments offered, to provide different kinds of players with the level of challenge and enjoyment that most appeals to them – but at each of these events, players are expected to understand and follow tournament policy. Players should always do their part to ensure they are in compliance with policy, by reading policy documents and asking questions before the event if something is unclear. Players are ultimately responsible for the contents of their deck, their actions and words at a tournament, and as such they are expected to take an active role in their own tournament participation.

Judges

The role of the judge is complex– while a judge needs to uphold tournament policy by enforcing these Penalty Guidelines, he or she must also educate the players. Tournament fairness and consistency relies upon the judge's knowledge of policy and his or her understanding of the penalties that accompany it. Judges should remain focused on the primary goals of the event while maintaining a positive attitude. Judges should be approachable and ready to assist. When a player commits an infraction, a judge should be able to correctly identify the infraction, administer the appropriate penalty, and educate the player about both the infraction and the penalty.

Investigation Procedure

Determining an Infraction

Any judge call longer than 1 minute requires that the match be given an appropriate time extension, so a judge should take note of the time as he or she answers a call.

A judge should never "reverse engineer" a penalty - the penalty should never be applied before an infraction has been determined. Both players should explain what happened, and answer truthfully any questions the judge may have. The judge will examine the situation, and determine if an infraction has occurred. If so, the judge will then explain the infraction.

If no infraction has occurred, the judge will quickly explain why.

Some infractions, depending upon severity, will be explained in private to the player committing the infraction. Not every situation that occurs is appropriate for public knowledge; so the judge's decision to address the matter in private should be respected by opponents, spectators, etc.

Just like questions about card rulings, players have the right to appeal to the Head Judge when they are involved in a tournament policy issue. The Head Judge's decision is final.

Applying the Penalty

Once an infraction has been identified, the judge will ask the player if he or she has received any other penalties for this same infraction during the course of the tournament. This helps the judge determine if a penalty might have to be upgraded. Players are expected to answer this question honestly – lying to a tournament official is against tournament policy. If it is a repeat infraction, the judge will notify the Head Judge prior to applying a penalty, as the Head Judge might wish to upgrade it. If this is a first time infraction, the judge will briefly educate the player concerning the infraction and then apply the penalty. The judge will then allow the players to continue play. If the call took longer than a minute, the judge will note the appropriate time extension on the top left of the front of the result slip.

The judge will take the result slip from the table, and fill out the **reverse** side of the result slip with the penalty information. The information should be written as follows:

[Player's full name] – [Infraction] – [Penalty given] – [Brief description of infraction] – [Judge's full name]

The judge will then return the slip to the match.

Judges should give written warnings as opposed to verbal warnings. Verbal warnings cannot be tracked, which makes it nearly impossible to tell if a player is repeating an infraction. Players are also less likely to take a verbal warning seriously, which undermines the point of the penalty.

Reporting Penalties

All penalties issued by a judge must be reported to the Head Judge and the Scorekeeper, usually by filling out the appropriate information on the reverse side of the player's result slip. Scorekeepers will enter the details of the penalty in the official Konami Tournament Software so that it may be tracked throughout the course of an event. Konami reserves the right to contact a player who has accumulated an excessive amount of penalties for further investigation. In addition, Konami reserves the right to pursue further actions --such as suspensions from sanctioned Konami events - based on continued infractions.

Penalties

There are 4 types of Penalties:

- Warning
- Game Loss
- Match Loss
- Disqualification

Warning

A Warning is the most commonly utilized penalty. A Warning is given to a player who commits a minor infraction. A Warning itself does not have a large impact on a player or a tournament, but it serves as a training tool for players and allows tournament staff to track a potential problem. A warning is given if the judge believes the infraction to be minor and ***unintentional*** (See *Unsporting Conduct for Exception*). A Warning should always be followed by a brief education of the player, explaining why the penalty was handed out and that a further infraction can lead to an upgrade. An upgrade to a Warning is a Game Loss.

Game Loss

A Game Loss is given out when a player has committed an infraction which is not severe enough to forfeit an entire match or to be removed from the premises, but has a significant impact on the game. A Game Loss is appropriate for situations where a Game state is **irreparable** due to the actions of the player receiving the penalty. If a Game Loss is given out during a game, the player forfeits the current game. If this penalty is given out in between games of a match, the player forfeits the upcoming game. If the penalty is given out before a match, the player forfeits the first game of the upcoming match. In the case where a Game Loss is applied before a match, neither player may use their Side Deck prior to the beginning of the first played game. This penalty is given if the judge believes the infraction was ***unintentional*** (See *Unsporting Conduct for Exception*). A Game Loss should always be followed by a brief education of the player, explaining why the penalty was handed out and that a further infraction can lead to an upgrade. An upgrade to a Game Loss is a Match Loss.

Is the Game State truly irreparable?

This is an important concept to understand – whether or not a game state can be repaired can mean the difference between a Warning and a Game Loss. If both players can provide clear information and a judge can determine a way to fix or rewind the game state, the game should be repaired as far as possible and play should resume. A Game Loss is not an appropriate penalty for a repairable game state, unless as an upgrade from previous infractions.

Irreparable Game States:

- A player returns a face-down monster to his Deck to Special Summon “Gladiator Beast Heraklinos” from his Extra Deck, without revealing it to his opponent. There is no way to tell if the face-down card was a Gladiator Beast, so the action is irreparable. It is appropriate to give the player a Game Loss.
- A player forgets to discard down to the legal hand limit at the end of his turn. During his opponent's turn he plays a card that draws a card. There is no way to know which cards the player had in his hand prior to drawing the card. This is not a missed mandatory effect but a mandatory game mechanic. This action is irreparable, and it is appropriate to give the player a Game Loss.

Repairable Game States:

- A player shuffles his hand with his Deck. However, he had revealed his hand to his opponent earlier in the turn, and has not drawn or played any additional cards. Both the player and the opponent can clearly remember the contents of the player's hand. It is appropriate for the player to restore his hand, reshuffle his deck, and continue play with a Warning.
- Neither player has been keeping track of Life Points on paper, and there is a disagreement about the totals. The players, with the aid of a judge, should reconstruct the game from the cards that have been played, and either reach an agreement or accept the judge's decision on the totals. Both players should receive a Warning and be allowed to continue play.

Match Loss

A Match Loss is rarely given out. This penalty is given for an infraction that seriously impacts the game, but does not require the player to be removed from the tournament. Only a Head Judge may give out a Match Loss penalty, with the exception of a Match Loss tardiness penalty. If the Head Judge feels that applying the Match Loss penalty to the current round is not severe enough (player commits the infraction as he is about to lose a match, for example), he or she may apply the penalty for the upcoming round. *If a player simultaneously commits two infractions, one of which merits a Match Loss and another which merits a Game Loss, the judge should give the Match Loss penalty first, followed by the Game Loss.* A Match Loss is given if the judge believes the infraction was **unintentional** (*See Unsporting Conduct for Exception*). A Match Loss should always be followed by a brief education of the player, explaining why the penalty was handed out and that a further infraction can lead to an upgrade. An upgrade to a Match Loss is a Disqualification.

Disqualification

A Disqualification is the most severe penalty that can be given. A Disqualification is merited for severe infractions that require the player to be removed from the event or the venue. A Disqualification is usually given when a player **intentionally** breaks tournament rules, or as an upgrade from previous penalties. Spectators need to remember that a person does not need to be enrolled in a tournament in order to be disqualified.

There are two types of Disqualification penalties:

- **Disqualification (With Prize)**
 - This penalty is only given out through the upgrade process. A player who commits the same infraction multiple times throughout an event and has his or her penalty upgraded to a Disqualification, is always With Prize unless the upgrade was due to an Unsporting Conduct infraction.
- **Disqualification (Without Prize)**
 - This penalty is given out when a person **intentionally** breaks tournament policies. This includes, but is not limited to, Cheating and Unsporting Conduct behavior. The person will be dropped from the event, and in some cases, required to leave the venue.

Only the Head Judge may disqualify a person from an event. If a person is disqualified, a written statement must be filled out by any and all persons involved, including opponents, spectators, judges, tournament officials, etc. It is the Head Judge's responsibility to collect these written statements from those involved and send the statements to Konami's Tournament Records department within 7 days of the event.

Please send all disqualification statements to:

Konami Digital Entertainment, Inc.
Attn: Konami Tournament Records
2381 Rosecrans Ave Suite 200
El Segundo, CA 92045

Upgrading and Downgrading Penalties

Only the Head Judge of an event may upgrade or downgrade a penalty. Upgrades should only be given to a player committing the same infraction again during the course of the same event. A Head Judge may downgrade a penalty under extreme circumstances, but should follow these guidelines in order to remain impartial and

consistent. A Head Judge may choose to be a bit more lenient in the upgrade process during a local level event, choosing not to upgrade the penalty after the 2nd infraction.

If an event extends across more than one day, all days should be considered to be the same event, and penalties should continue to be upgraded.

Infractions

A violation of tournament policy is called an “infraction.” If a player commits an infraction, a judge must apply the appropriate penalty. Because there are degrees of infractions with different levels of impact on the event, there are corresponding degrees of severity for penalties. The different categories of infractions contain sub-categories of severity, to help determine the appropriate penalty – **Minor**, **Major**, **Strict**, and **Severe**.

There are 7 categories of infractions:

- **Procedural Error**
 - This category covers infractions involving general procedural errors a player might commit during the course of a game. Since there are varying degrees of severity for Procedural Errors, there are 3 sub-categories – which are **Minor**, **Major**, and **Strict** to help determine the correct penalty.
- **Tardiness**
 - This category covers infractions that prevent player from beginning his or her match within the specified time frame allowed by the tournament. There are 2 sub-categories for this infraction, **Major** and **Strict**, to help determine the correct penalty.
- **Deck Error**
 - This category covers infractions associated with registering incorrect contents on a Deck List or playing with an illegal Deck. If an error is caught prior to the start of the first round, it is acceptable (at the Head Judge’s discretion) to correct the player’s Deck List without applying a penalty. There are 2 sub-categories for this infraction, **Minor** and **Major**, to help determine the correct penalty.
- **Drawing Cards**
 - This category covers infractions associated with drawing cards from the Deck and adding them to the hand outside of when a player is allowed to do so. A card is considered to be “drawn” once that card is combined with the other cards in a player’s hand and can no longer be positively identified by both players or logically identified by a judge. Drawing extra cards damages the game state beyond repair. There are 2 sub-categories for this infraction, **Minor** and **Major**, to help determine the correct penalty.
- **Marked Cards**
 - This category covers infractions involving Marked Cards and/or sleeves. A card or a sleeve is considered to be “marked” if it can be distinguished from the other cards contained in a Deck. It is a player’s responsibility to maintain un-marked cards and sleeves throughout the duration of an event. There are 2 sub-categories for this infraction, **Minor** and **Major**, to help determine the correct penalty.
- **Slow Play**
 - This category covers infractions associated with the pace of a player’s game. Players are expected to play at a reasonable speed, regardless of the complexity of the game situation, and should not waste time during a game. Slow Play infractions are always administered a Warning, and then upgraded as appropriate if the infraction is repeated.

- **Unsporting Conduct**

- This category covers infractions associated with inappropriate behavior on behalf of a player during an event. Unsporting Conduct infractions are considered to be intentional. It is important for players to understand what kinds of behavior are not appropriate at an event, and for judges to use common sense when investigating the infraction and administering a penalty. Konami encourages players to have fun at an event, but to withhold from engaging in behavior that may be offensive or that may ruin the integrity of the event. There are 4 sub-categories for this infraction, **Minor**, **Major**, **Severe**, and **Cheating**, to help determine the correct penalty.

There are 5 sub-categories for infractions, which determine the appropriate penalty:

- **Minor**
 - This sub-category will be penalized with a Warning.
- **Major**
 - This sub-category will be penalized with a Game Loss.
- **Strict**
 - This sub-category will be penalized with a Match Loss.
- **Severe**
 - This sub-category will be penalized with a Disqualification.
- **Cheating**
 - This sub-category will always be penalized with a Disqualification.

Both players and judges should familiarize themselves with all categories of infractions. Educated players make fewer mistakes, and educated judges uphold fair and consistent tournaments.

Procedural Error (PE)

- **PE – Minor: Warning**
 - This penalty is appropriate for minor infractions where the problem can be easily corrected...
 - Both players forget to resolve a Mandatory Effect, and the game state is repairable by a judge. Since both players are responsible, they each receive a Warning.
 - A player attempts to summon a monster while an effect prohibits him from doing so.
 - A player accidentally shuffles her Graveyard.
- **PE – Major: Game Loss**
 - This penalty is appropriate for major infractions that cause an irreversible disruption to the current game. The game is beyond repair, so the penalty must be significant.
 - A player shuffles his hand with his Deck by accident.
 - A player forgets to pay a maintenance cost and doesn't catch it until a few turns later, when she has gained a significant advantage.
- **PE – Strict: Match Loss**
 - This penalty is appropriate for strict infractions that cause a player to be unable to finish the current match.
 - A player spills water on her Deck, damaging the cards and making it impossible to finish the current match.

- Player loses his Deck in between matches and does not notify the scorekeeper until after the round has already been paired.

Tardiness (T)

- **T – Major: Game Loss**
 - This penalty is appropriate when a player is not in his or her seat after three minutes has passed since the beginning of the round. A player must be in his or her seat and ready to begin the round within this three minute window.
 - A player is not in his seat within three minutes into the round.
 - A player sat at the wrong table and played the wrong opponent, and the mistake was caught after the three minute mark in the round, but before the 10 minute mark
- **T – Strict: Match Loss**
 - This penalty is appropriate when a player is not in his or her seat after 10 minutes has passed since the beginning of the round. A player should be in his or her seat and ready to begin the round at this time.
 - A player is not in his or her seat within 10 minutes in the round.
 - A player sat at the wrong table and played the wrong opponent, and the mistake was caught after the 10 minute mark in the round.

Deck and Deck List Errors (DE)

- **DE – Minor: Warning**
 - This penalty is appropriate when a player realizes he or she has an illegal Deck or Deck List and brings it to the attention of tournament staff *prior to the beginning* of the tournament.
 - A player accidentally marks two copies of a limited card on his Deck List and brings it up to a tournament official **prior** to round 1.
 - A player has 39 cards in her Main Deck and brings it up to tournament official prior to round 1, and is able to add another tournament legal card to bring the total to 40 before the round begins.
 - A player arrives at his match and prior to presenting his Deck to his opponent to randomize, realizes he forgot to remove Side Deck cards from the previous match. The player must restore his deck within the three minute window, or risk an additional penalty for Tardiness.
- **DE – Major: Game Loss**
 - This penalty is appropriate if a player registers an illegal Deck List or has an Illegal Deck, and does not catch the errors before Round 1 begins. If the Deck is illegal and the Deck List is legal, a judge should fix the Deck to match the Deck List. If the Deck List is illegal and the Deck is legal, a judge should fix the Deck List to match the Deck. If both the Deck and Deck List are illegal, a judge should fix the Deck first and then fix the Deck List to match the Deck. However, if a Deck Check has already been performed in which the Deck List has been verified as legal, the Deck List cannot be changed. In this case, if the Deck does not match the Deck List, a judge should fix the Deck to match the Deck List.
 - A player registers 3 copies of a limited card in his Deck List.
 - A player has 39 cards in her Main Deck.
 - A player forgets to remove Side Deck cards from her Deck in between rounds, and the error is caught after the Deck has been presented to her opponent for randomization.

Drawing Cards (DC)

- **DC – Minor: Warning**
 - This penalty is appropriate when a player has drawn cards from his or her Deck when not allowed to do so, and the cards can be clearly identified by both players or logically identified by a judge. This penalty also applies to situations in which cards are accidentally revealed. The cards should be shown to both players and then returned to their appropriate areas, in their original order.
 - A player accidentally draws a card when not allowed to do so but does not add the card to her hand.
 - A player draws a card and adds it to his hand. A judge is able to logically identify which card was drawn due to effects that have already been played.
 - A player accidentally knocks over cards from the top of his Deck.
- **DC – Major: Game Loss**
 - This penalty is appropriate when a player has drawn cards from his or her Deck when not allowed to do so, and the cards cannot be clearly identified by both players or logically identified by a judge. Drawing extra cards when not allowed to do so damages the game state and must carry a heavier penalty. A judge should always attempt to recreate the situation to logically determine which card(s) were drawn. If the judge and/or both players are not completely sure which card(s) were drawn, this penalty applies.
 - A player accidentally draws an extra card via an effect and adds it to his hand, with no way to correctly identify which card was added.
 - A player resolves a search effect, selects a card from her Deck, then adds it to her hand without revealing the card to the opponent.

Marked Cards (MC)

- **MC – Minor: Warning**
 - This penalty is appropriate when a player has minor markings on one or very few cards in his or her Deck that show no significant pattern. If the markings are on the sleeves, the player should be required to change the sleeves so that the entire Deck matches. If the cards themselves are marked, the player must replace the cards. It is appropriate for a judge to allow a player to change the sleeves in between rounds as to not hold up the current match. It is important for judges to understand that a pattern should not be presumed merely because the card(s) marked are “good” cards.
 - A player has two random sleeves in his or her Deck with minor wear and tear, The two cards in the sleeves bear no pattern.
 - A player has three cards in his or her Deck with minor bends that can be noticed through the sleeves. The three cards bear no pattern.
- **MC – Major: Game Loss**
 - This penalty is appropriate when a player has a significant number of cards marked and a judge notices a pattern. This penalty should be applied if the Head Judge determines that the pattern is unintentional. Although this infraction assumes the marking is unintentional, any markings on a card or sleeve can give a significant advantage to a player, so it carries a heavier penalty. It is **very** important for a Head Judge to investigate further to make sure the markings are not intentional.

- A player has 12 sleeves with what seems to be wear and tear on the top left corner. Eight of the 12 cards are all of the same type. The Head Judge determines the markings were made accidentally due to the way the player holds his cards.
- A player has 14 cards turned upside down in his deck during a mid-round deck check, ten of which are monsters. The Head Judge determines these cards made up the player's Graveyard during the previous game, and the player unintentionally shuffled them back in the wrong direction.

Slow Play (SP)

SP – Minor: Warning

- This penalty is appropriate when a player unintentionally plays slowly, causing a minor delay in the game. It is a player's responsibility to play at a reasonable pace, regardless of how complex a situation may be.
- A time extension of at least three minutes should be given following a Slow Play warning.
- Slow play infractions that continue throughout an event **should be upgraded**.
 - A player is excessively slow while searching his Deck with an appropriate effect.
 - A player constantly requests to see her opponent's Graveyard, or constantly requests a hand count during a given turn.
 - A player takes longer than the 3 minutes allowed to access his Side Deck in between games of a match.
 - A player arrives at his table after three minutes have passed in the round, then takes an additional length of time to roll out his playmat, rummage for his deck, or otherwise get set up for the game.

Unsporting Conduct (UC)

• UC – Minor: Warning

- This penalty is appropriate when a player commits a minor intentional infraction. Players are expected to behave in a sporting and professional manner towards everyone while at a sanctioned event.
 - A player leaves trash behind on his table after a match.
 - A player swears or uses inappropriate or offensive gestures during a tournament.
 - A player insults a player, spectator, or tournament official.
 - A player fails to follow the instructions of a tournament official.
 - A player rule-sharks his opponent.
 - A player has a note reminding herself about an optional card effect written on her hand over the course of more than one match.
 - A person at an event is wearing offensive clothing, or has an offensive image on his or her playmat, etc. The player must remove or cover up the offensive article or risk an upgrade.
 - A player makes a deliberately unfair trade with a less experienced player. [This penalty may be upgraded by the Head Judge.]
 - A player violates the buying/selling policy at a venue. [This may be upgraded at the discretion of the Head Judge.]

• UC – Major: Game Loss

- This penalty is appropriate when a player commits a major intentional infraction.

- A player uses profanity towards a tournament official.
 - A player makes a racial or sexual slur against another player, spectator, or tournament official.
 - A player knocks over a chair in anger after losing a match.
 - A player refuses to sign or rips up a result slip.
- **UC – Severe: Disqualification**
 - This penalty is appropriate when a player commits a severe intentional infraction. The Head Judge must collect statements from the player and all parties involved describing in detail the incident leading to the penalty.
 - A player writes on or otherwise damages or defaces tournament or venue property.
 - A player physically or verbally assaults or threatens another individual.
 - A player steals while on tournament site.
 - A player attends an event while intoxicated.
- **UC – Cheating: Disqualification**
 - This penalty is appropriate when a player is caught cheating at an event. This is the most severe penalty a Head Judge can give. Konami shows no tolerance towards cheating and takes this infraction very seriously. Cheating includes, but is not limited to, intentionally misrepresenting the game state, rules, or tournament policies. It also includes reporting inaccurate information or lying to tournament officials. **Bribery and collusion are also considered to be forms of cheating.**
 - A player intentionally draws an extra card from his Deck while his opponent is not looking.
 - A player intentionally conceals part of her field in an attempt to influence the opponent's gameplay decisions.
 - A player intentionally withholds information on how a card works in order to trick the opponent into revealing additional information, in order to gain an unfair advantage.
 - A player intentionally marks a card or cards in his Deck.
 - A player offers his opponent cash or booster packs in exchange for the win.
 - A player accepts a bribe in exchange for a concession.
 - A player who has won the first game in a match intentionally plays slowly in order to stall for time.
 - A player pre-sets his Deck prior to a match (also called stacking the Deck) and does not sufficiently randomize his deck prior to presenting it to the opponent to randomize.
 - A spectator sends signals to a player during a match, concerning the contents of the opponent's hand.
 - A player enters a tournament using a name or ID number that is not his or her own.

A person who is not currently enrolled in a tournament is **not** exempt from the Disqualification penalty. If the infraction warrants a disqualification, the Head Judge may opt to enroll that player specifically for the purposes of disqualification – this is useful if a severe infraction is committed by a spectator or someone else who was not originally enrolled in the tournament. A player who has already dropped may also be reinserted into the tournament, in order to be disqualified.

Please Note:

If a player is criminally charged with an offense, whether or not that offense took place at a tournament, that player can be automatically entered onto the suspended player list and may no longer participate in KDE Organized Play.

Players who are subsequently cleared of the charges may apply for reinstatement into Konami Organized Play, by emailing us-opsupport@konami.com.

When a player does commit an infraction and receives a penalty, he or she may feel upset, or think that he or she has been somehow targeted for punishment. However, tournament policies and penalty guidelines exist to help keep the tournaments fair and enjoyable, by defining what is and is not acceptable behavior at an event and establishing consistent consequences if that policy is violated. A player can greatly reduce his or her chances of committing an infraction by learning tournament policies and penalty guidelines, paying attention during games, and being aware of potential problems both before and during the tournament.