

BASE PENALTY MATRIX

Egregious Case

NO

YES

Voluntary Self-Disclosure

YES

(1)
One-Half of Transaction Value
(capped at lesser of \$142,291 or
one-half of the applicable statutory
maximum per violation)

(3)
One-Half of
Applicable Statutory Maximum

NO

(2)
Applicable Schedule Amount
(capped at lesser of \$284,582 or
the applicable statutory maximum
per violation)

(4)
Applicable Statutory Maximum