

# BASE PENALTY MATRIX

## Egregious Case

**NO**

**YES**

**Voluntary Self-Disclosure**

<b>YES</b>	(1)  One-Half of Transaction Value  (capped at <u>lesser</u> of \$153,961 <u>or</u>  one-half of the applicable statutory  maximum per violation )	(3)  One-Half of  Applicable Statutory Maximum
<b>NO</b>	(2)  Applicable Schedule Amount  (capped at <u>lesser</u> of \$307,922 <u>or</u>  the applicable statutory maximum  per violation)	(4)  Applicable Statutory Maximum