

BASE PENALTY MATRIX**Egregious Case****NO****YES****Voluntary Self-Disclosure**

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| YES | (1) One-Half of Transaction Value (capped at <u>lesser</u> of \$151,292 <u>or</u> one-half of the applicable statutory maximum per violation) | (3) One-Half of Applicable Statutory Maximum |
| NO | (2) Applicable Schedule Amount (capped at <u>lesser</u> of \$302,584 <u>or</u> the applicable statutory maximum per violation) | (4) Applicable Statutory Maximum |