

BASE PENALTY MATRIX

Egregious Case

Voluntary Self-Disclosure

	NO	YES
YES	(1) One-Half of Transaction Value (capped at <u>lesser</u> of \$155,781 <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 \$311,562 <u>or</u> the applicable statutory maximum per violation)	(4) Applicable Statutory Maximum