Figure: 22 TAC §153.24(9)

Penalty Matrix

Nature of Violation(s)	Range of Recommended Actions
1 st occurrence – violation(s) of the Act,	First-time violator letter with
Rules, or USPAP that do not, individually	acknowledgement of violation or
or collectively, constitute evidence of a	administrative penalty of \$100 to \$500 per
serious inability or unwillingness to comply	violation, or both
1 st occurrence – violation(s) of the Act,	First-time violator letter with agreement to
Rules, or USPAP that, individually or	take remedial course work, first-time
collectively, constitute evidence of a	violator letter with agreement to adopt
serious but remediable deficiency	preventive policies and procedures, or
	administrative penalty of \$250 to \$1,000
	per violation, or any combination thereof
1 st occurrence – violation(s) of the Act,	Suspension or revocation and an
Rules, or USPAP that, individually or	administrative penalty of \$500 to \$1,500
collectively, was done willfully or in a	per violation
grossly negligent manner	
2 nd occurrence – violation(s) of the Act,	Administrative penalty of \$500 to \$1,500
Rules, or USPAP that do not, individually	per violation with requirement to take
or collectively, constitute evidence of a	remedial course work or to adopt
serious inability or unwillingness to comply	preventive policies and procedures, or both
2 nd occurrence – violation(s) of the Act,	Administrative penalty of \$500 to \$1,500
Rules, or USPAP that, individually or	per violation plus requirement to take
collectively, constitute evidence of a	remedial in-class course work and to adopt
serious but remediable deficiency	preventive policies and procedures
2 nd occurrence – violation(s) of the Act,	Revocation and administrative penalty of
Rules, or USPAP that, individually or	\$1,500 per violation
collectively, were done willfully or in a	
grossly negligent manner	
3 rd occurrence – violation(s) of the Act,	Administrative penalty of \$1,000 to \$1,500
Rules, or USPAP that do not, individually	per violation with requirement to take
or collectively, constitute evidence of a	remedial in-class course work or to adopt
serious inability or unwillingness to comply	preventive policies and procedures, or
	both
3 rd occurrence – violation(s) of the Act,	Administrative penalty of \$1,500 per
Rules, or USPAP that, individually or	violation, or revocation or suspension for
collectively, constitute evidence of a	up to 180 days with requirement to take
serious but remediable deficiency	remedial in-class course work and to adopt
	preventive policies and procedures, or both
Unlicensed activity	Administrative penalty of \$1,500 to \$5,000