

Figure: 22 TAC §153.24(9)

Penalty Matrix

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