

### UFA Penalty Provisions As of 2018

Civil Penalty Location	Nature of the Violation (Violation Category)	Violation Category Code	Per Count*	Contributed to crash and/or HM Incident**	Administrative Min/Max (per violation - all counts)	Statutory Min/Max (per violation - all counts)
Appendix B (b) Commercial driver's License (CDL) violations	CDL Part 383 (Individual)	E383	\$250 - <u><b>\$5,591</b></u>	N/A	\$250 Adm Min	
Appendix B (h):* Copying of records and access to equipment, lands, and buildings--maximum penalty per day.	Denial of access (Individual)	EDOA	\$150 - <u><b>\$1,239</b></u>	N/A	\$150 Adm Min	\$12,383 Max
Appendix B (a)(1) Recordkeeping--maximum penalty per day.	Recordkeeping (Individual)	EDRK	\$150 - <u><b>\$1,239</b></u>	N/A	\$150 Adm Min	\$12,383 Max
Appendix B (a)(2)Knowing falsification of records.	Knowing Falsification of Records (False to Conceal) (Individual)	EFTC	\$200 - <u><b>\$3,760</b></u>	N/A	\$200 Adm Min	
Appendix B (e)(4): Violations of Hazardous Materials Regulations (HMRs) and Safety Permitting Regulations (compliance with FMCSRs)	HM Violation (Individual)	EHMI	\$250 - <u><b>\$79,976</b></u>	Yes - HM	\$250 Adm Min	

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Appendix B (e )(2)*Violations of Hazardous Materials Regulations (HMRs) and Safety Permitting Regulations (training)--minimum penalty.	HM Training (Individual)	EHTR	<u>\$481</u> - \$2,500	Yes - HM	\$2,500 Adm Max	
Appendix B (a)(4) Non-recordkeeping violations by drivers.	Egregious hours of service violation (Individual)	ENEG	\$500 - <u>\$3,760</u>	Yes - Egregious		
Appendix B (a)(4) Non-recordkeeping violations by drivers.	Non - recordkeeping (Individual)	ENRA	\$250 - <u>\$ 3,760</u>	N/A	\$250 Adm Min	
Appendix B (b)(1) : Special penalties pertaining to violation of out-of-service orders (first conviction).	OOS CDL (1) (Individual)	EOCA	<u>\$3,096 – \$5,591</u>	N/A	N/A	
Appendix B (b)(1) Special penalties pertaining to violation of out-of-service orders (second or subsequent conviction).	OOS CDL (2) (Individual)	EOCB	<u>\$6,192-</u> \$7,000	N/A	N/A	
Appendix A IV (a)Out-of-service order (operation of CMV by driver).	OOS Other than OOS CDL (1) & (2) (Individual)	EONC	\$500 - <u>\$1,848</u>	N/A	\$500 Adm Min	

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Appendix B (g)(7): Violations of the CRs (HHG carrier or freight forwarder, or their receiver or trustee).	Arbitration (HHG)	GARB	<u>\$1,604</u> - \$5,500	N/A	\$5,500 Adm Max	
Appendix B (g)(22): HHG broker estimate before entering into an agreement with a motor carrier.	Brokering w/o carrier agreement (HHG)	GBCA	<u>\$12,383</u> - \$100,000	N/A	\$100,000 Adm Max	
Appendix B (h):* Copying of records and access to equipment, lands, and buildings--maximum penalty per day.	Denial of Access (HHG)	GDAH	\$600 - <u>\$1,239</u>	N/A	\$600 Adm Min	\$12,389Max
	<b>Commercial Regulations Part 376</b>	<b>GEMC</b>	<b>\$803</b>	<b>N/A</b>		
Appendix B (g)(7): Violations of the CRs (HHG carrier or freight forwarder, or their receiver or trustee).	110% Rule (HHG)	GHTN	<u>\$1,604</u> - \$5,500	N/A	\$5,500 Adm Max	
Appendix B (g)(7): Violations of the CRs (HHG carrier or freight forwarder, or their receiver or trustee).	Loss & Damage (HHG)	GLAD	<u>\$1,604</u> - \$5,500	N/A	\$5,500 Adm Max	

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Appendix B (g)(7): Violations of the CRs (HHG carrier or freight forwarder, or their receiver or trustee).	Other Non - recordkeeping (HHG)	GNRO	<u>\$1,604</u> - \$5,500	N/A	\$5,500 Adm Max	
Appendix B (g)(23): HHG transportation or broker services--registration requirement.	Operating Authority (HHG Carrier/Broker)	GOAH	<u>\$30,956</u> - \$30,956	N/A	\$100,000 Adm Max	
Appendix B (g)(21)(i): Knowingly and willfully fails to deliver or unload HHG at destination.	Hostage Load (HHG)	GOLD	<u>\$16,048</u> - \$100,000	N/A	\$100,000 Adm Max	
Appendix B (a)(1) Recordkeeping--maximum penalty per day.	Recordkeeping and reporting (HHG)	GRKA	<u>\$1,239</u>	N/A		\$12,383
Appendix B (h):* Copying of records and access to equipment, lands, and buildings--maximum penalty per day.	Service Delay (HHG)	GSDL	<u>\$1,239</u>	N/A		

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Appendix B (g)(10) Violation of the CRs (weight of HHG shipment, charging for services)--	Tariff (HHG)	GTRF	<u>\$1,604 - \$8,025</u>	N/A	\$8,025 Adm Max	
Appendix B (g)(8) Violation of the CRs (weight of HHG shipment, charging for services)--minimum penalty for first violation.	Weight (HHG) – 1 <sup>st</sup> Offense	GWHT	<u>\$3,210- \$5,500</u>	N/A	\$5,500 Adm Max	
Appendix B (g)(8) Violation of the CRs (weight of HHG shipment, charging for services)—minimum penalty for subsequent violations.	Weight (HHG) – 2 <sup>nd</sup> Offense	GWH2	<u>\$8,025 - \$10,000</u>	N/A	<u>\$10,000 Adm Max</u>	
	Communication(HM)	HMCO	<u>\$3,061 - \$10,000</u>	Yes - HM	<u>\$3,061 Adm Min</u>	
Appendix B (h):* Copying of records and access to equipment, lands, and buildings--maximum penalty per day.	Denial of Access (HM)	HMDA	\$600 - <u>\$1,239</u>	N/A	\$600 Adm Min	\$12,383 Max
Appendix B (e )(4) ): Violations of Hazardous Materials Regulations (HMRs) and Safety Permitting Regulations (compliance with FMCSRs)	Operations (HM)	HMOP	\$25,000 - <u>\$79,976</u>	Yes - HM	\$25,000 Adm Min	\$79,976 Stat. max all counts per violation

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Appendix B(e)(1)	Packaging(HM)	HMPG	\$5,000 - \$79,976	Yes - HM	\$5,000 Adm Min	\$79,976 Stat. max all counts per violation
Appendix B(e)(1)	Recordkeeping (HM)	HMRK	\$250 - \$3,000	Yes - HM	\$250 Adm Min \$3,000 Adm Max	\$79,976 Stat. max all counts per violation
Appendix B (e)(2)*Violations of Hazardous Materials Regulations (HMRs) and Safety Permitting Regulations (training)--minimum penalty.	Training (HM)	HMTR	\$481 - \$25,000	Yes - HM	\$25,000 Adm Max	\$79,976 Stat. max all counts per violation
Appendix B (a)(3)Non-recordkeeping violations.	Egregious hours of service violation (Safety)	NHEG	\$5,000 - \$15,040	Yes - Egregious		
Appendix B(g)(2)- Brokering violations	Commercial brokering without authority and/or financial security***	NRCC	\$2,500 - \$10,663		\$2,500 Adm Min.	
Appendix B (h):* Copying of records and access to equipment, lands, and buildings--maximum penalty per day.	Denial of Access (Safety)	NRDA	\$600 - \$1,239	N/A	\$600 Adm Min	\$12,383Max
Appendix B (i)(2): Evasion of regulations under 49 U.S.C. subtitle IV, part B--minimum penalty for first violation.	Commercial Evasion of regulations related to operating authority (1 <sup>st</sup> offense)	NRE1	\$2,133 - \$5,332	N/A	\$5,332 Adm Max	

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Appendix B (i)(2): Evasion of regulations under 49 U.S.C. subtitle IV, part B--minimum penalty for subsequent violation(s).	Commercial Evasion of the regulations related to operating authority (2 <sup>nd</sup> offense)	NRE2	<u>\$5,332</u> - \$25,000	N/A	\$25,000 Adm Max	
Appendix B (i)(1): Evasion of regulations under 49 U.S.C. subtitle IV, part B--minimum and maximum penalty for first violation.	Evasion of the Regulations (Safety)	NRE3	<u>\$2,133</u> - <u>\$5,332</u>	N/A	\$5,332 Adm Max	
Appendix B (i)(1)M: Evasion of regulations under 49 U.S.C. subtitle IV, part B--minimum and maximum penalty for subsequent violation.	Evasion of the Regulations (Safety)	NRE4	<u>\$2,665</u> - <u>\$7,997</u>	N/A	N/A	
Appendix B (d) Financial responsibility violations.	Financial Responsibility (Safety)	NRFA	\$1,454 - <u>\$16,499</u>	N/A		
Appendix B (a)(3)Non-recordkeeping violations.	Nonrecordkeeping (Safety)	NRKA	\$1,100 - <u>\$15,040</u>	N/A		
Appendix B (b) Commercial driver's license (CDL) violations.	CDL (Safety)	NRKC	\$682 - <u>\$5,591</u>	N/A		

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Appendix A II Subpoena	Disobeying a subpoena	NRSU	<u>\$1,066</u> - <u>\$10,663</u>	N/A	N/A	
Appendix A IV (b) Out-of-service order (requiring or permitting operation of CMV by driver.)	Notices and Orders OOS 392.5 (Safety)	O392	\$5,000 - <u>\$18,447</u>	N/A	\$5,000 Adm Min	
Appendix B (g)(4) Violations of the CRs (foreign motor carriers, foreign motor private carriers).	Commercial Operating Authority U.S. and Foreign Property Brokers and Carriers (other than MX beyond the CZ)	OAM1	<u>\$10,663</u> - \$10,663	N/A	\$10,663 Adm Max	
Appendix B (g)(5) Violations of the CRs (foreign motor carriers, foreign motor private carriers before implementation of North American Free Trade Agreement land transportation provisions)--maximum penalty for intentional violation.	Commercial Operating Authority Foreign motor carrier or foreign private motor carrier intentionally operating outside CZ without authority	OAM2	<u>\$10,000</u> - <u>\$14,664</u>	N/A	\$10,000 Adm Min	



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Appendix B (g)(5) Violations of the CRs (foreign motor carriers, foreign motor private carriers before implementation of North American Free Trade Agreement land transportation provisions)--maximum penalty for a pattern of intentional violations.	Commercial Operating Authority Foreign motor carrier or foreign private motor carrier intentionally operating outside CZ without authority - Pattern of violations	OAM3	<u>\$10,282</u> - <u>\$36,662</u>	N/A		
Appendix B (g)(6) Violations of the CRs (motor carrier or broker for transportation of hazardous wastes)-- penalty.	Commercial Operating Authority carrier or broker of Hazardous Waste**	OAM4	<u>\$21,327</u> - <u>\$42,654</u>	N/A	N/A	
Appendix B (g)(3) Violations of the CRs (passenger carriers).	Commercial Operating Authority U.S. and Foreign Passenger Carriers	OAPA	<u>\$26,659</u> - \$26,659	N/A	\$26,659 Adm Max	
Appendix B (g)(1) Appendix B (g)(1) : Violations of the commercial regulations (CR) (property carriers).	Operating Authority (Property Non - HHGs)	OAPR	<u>\$10,663</u> - \$10,663	N/A	\$10,663 Adm Max	

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Appendix B (b)(2) Employer violations pertaining to knowingly allowing, authorizing employee violations of out-of-service order (maximum penalty).	Notices and Orders OOS CDL (Safety)	OCDL	\$5,591 - <u>\$30,956</u>	N/A	N/A	
Appendix B (f)(1) Operating after being declared unfit by assignment of a final "unsatisfactory" safety rating (generally).	Notices and Orders Imminent Hazard OOS Order (Safety)	OIMM	\$5,000 - <u>\$26,659</u>	N/A	\$5,000 Adm Min	
Appendix A IV (b) Out-of-service order (requiring or permitting operation of CMV by driver.)	Notices and Orders OOS Non - CDL (Safety)	ONCD	\$5,000 - <u>\$18,477</u>	N/A	\$5,000 Adm Min	
Appendix B (a)(3) Non-recordkeeping violations.	Notices and Orders OOS New Entrant Failure (Safety)	ONEF	\$1,100 - <u>\$15,040</u>	N/A	\$1,100 Adm Min	
Appendix B (a)(3) Non-recordkeeping violations.	Notices and Orders OOS New Entrant No Show/Refusal (Safety)	ONEN	\$1,100 - <u>\$15,040</u>	N/A	\$1,100 Adm Min	
Appendix A IV (i) Out-of-service order (conducting operations during suspension or revocation for failure to pay penalties.)	Notices and Orders OOS No Pay (Safety)	ONOP	\$5,000 - <u>\$15,040</u>	N/A	\$5,000 Adm Min	

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Appendix B (f)(2) Violations of the CRs (Hazmat ).	Notices and Orders OOS Unfit (Hazmat)	OUNF	\$5,000 - <b><u>\$186,610</u></b>	N/A	\$5,000 Adm Min	
Appendix B (a)(1) Recordkeeping--maximum penalty per day.	Recordkeeping (Safety)	RKCL	\$600 - <b><u>\$1,239</u></b>	N/A		
Appendix B (a)(2)Knowing falsification of records.	Knowing Falsification of Records Recordkeeping (False to Conceal - Can prove hiding other violation) (Safety)	RKDL	\$1,214 - <b><u>\$12,383</u></b>	N/A		
Appendix B (g)(16): Reporting and recordkeeping under 49 U.S.C. subtitle IV, part B (except 13901 and 13902(c)--minimum penalty.	Recordkeeping related to operating authority registration	RKOP	<b><u>\$1,066</u></b> - <b><u>\$8,025</u></b>	N/A		

\*Penalty amounts that are bolded and underlined are statutory minimums and/or maximums.

\*\* If the column has "Yes - HM": If the user selects the Gravity="Contributed to crash and/or HM Incident" AND the violation has this violation category specified in the Fines table, a pop-up box will appear to ask the user "Did this violation contribute to death, severe injury, serious illness, or property destruction?" Yes/No. If the user answers No, then the box closes. If the user answers Yes, then they will receive another message that "You must contact your Service Center to determine the appropriate penalty assessment for this violation."  
 If the column has "Yes - Egregious": If the user selects the Gravity="Contributed to crash and/or HM Incident" AND the violation has this violation category specified in the Fines table, then UFA will apply the maximum fine for that violation category.

\*\*\*This is a violation of 49 CFR 387.307.