



NOTICE OF VIOLATION

USER'S GUIDE

COMDTINST M5582.1A
JULY 2004

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U.S. Department of
Homeland Security

United States
Coast Guard



Commandant
United States Coast Guard

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COMDTNOTE 5582
NOV 1, 2004
CANCELLED: NOV 1, 2005

COMMANDANT NOTICE 5582

Subj: CH-1 TO NOTICE OF VIOLATION USER'S GUIDE, COMDTINST M5582.1A

1. PURPOSE. This Notice promulgates change one to the Notice of Violation User's Guide, COMDTINST M5582.1A.
2. ACTION. Area and district commanders, commanders of maintenance and logistics commands and chiefs of offices and special staff divisions at Headquarters shall ensure that the provisions of this Notice are followed. Internet release authorized.
3. DIRECTIVE AFFECTED. None.
4. SUMMARY OF CHANGES. Enclosure (4) is updated to include regulatory cites and proposed penalty amounts for the new ballast water regulations under 33 CFR 151.
5. PROCEDURES. Remove and insert the following pages.

Remove
Enclosure (4)

Insert
Enclosure (4)

T. H. GILMOUR /s/
Rear Admiral, U.S. Coast Guard
Assistant Commandant for Marine Safety, Security
and Environmental Protection

Encl: 1) CH-1 to Notice of Violation User's Guide, COMDTINST M5582.1A

DISTRIBUTION – SDL No. 142

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NON-STANDARD DISTRIBUTION:

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COMDTINST M5582.1A
6 JUL 2004

COMMANDANT INSTRUCTION M5582.1A

Subj: NOTICE OF VIOLATION USER'S GUIDE

1. PURPOSE. This Manual revises policies, procedures and standards for the administration of the Notice Of Violation (NOV) program.
2. ACTION. Area and district commanders, commanders of maintenance and logistics commands and chiefs of offices and special staff divisions at Headquarters shall ensure that the provisions of this Manual for the administration of the NOV program are followed. Internet release authorized.
3. DIRECTIVE AFFECTED. Marine Pollution Notice of Violation "Ticket" User's Guide, COMDTINST M5582.1 is cancelled.
4. DISCUSSION. The Coast Guard's administrative civil penalty process can be cumbersome and time consuming. Field personnel can spend an inordinate amount of time processing civil penalties for oil discharges and violations of laws and regulations that the Coast Guard enforces. Additionally, the civil penalty process includes a multi-layered review that delays timely notification of the alleged violations to the responsible party. The NOV program modifies the civil penalty process by creating a citation that allows immediate notification to the responsible party of the alleged violation(s) and the penalty proposed by the government. It allows the responsible party the option of accepting the proposed penalty and making direct payment to the treasury. The responsible party also has the option to decline the NOV and request that the alleged violation be processed for adjudication by the Coast Guard Hearing Office.
5. CHANGES. This NOV User's Guide Manual does not alter or amend COMDTINST 16200.3A, Civil Penalty Procedures and Administration, which should be consulted for further civil penalty guidance. This Manual only provides for improvements in the civil penalty process. This Manual is not a directive for amending field unit practices to issue civil penalties where none were issued before.

DISTRIBUTION – SDL No. 141

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NON-STANDARD DISTRIBUTION:

6. ENVIRONMENTAL ASPECT and IMPACT CONSIDERATIONS. Environmental considerations were examined in the development of this Manual and have been determined to be not applicable.
7. FORMS AVAILABILITY. The Notice of Violation, CG-5582, may be obtained from Engineering Logistic Center (ELC) Baltimore via Milstrip using stock number 7530-01-GF3- 2770, U/I (PD).

JOSEPH J. ANGELO /s/
Acting Assistant Commandant for Marine
Safety, Security and Environmental Protection

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TABLE OF CONTENTS

Chapter 1.	INTRODUCTION	1-1
	A. Purpose	1-1
	B. Overview	1-1
	C. Requirements	1-1
	D. Command Discretion	1-1
Chapter 2.	NOTICE OF VIOLATION COMPONENTS	2-1
	A. The Form	2-1
	B. 33 CFR 1.07-11	2-1
	C. MISLE Entry	2-1
	D. Civil Penalty Payment	2-2
	E. Issuing Officer Training and Qualifications	2-2
Chapter 3.	INITIATING A CASE	3-1
	A. Scope of NOV Program	3-1
	B. Criteria for NOV	3-1
	C. Determining Level of Penalty	3-2
	D. Oil Discharge Violation Criteria	3-2
	E. Law or Regulation Violation Criteria	3-3
Chapter 4.	MISLE DOCUMENTATION OF THE NOTICE OF VIOLATION	4-1
	A. Use	4-1
	B. General Process	4-1
	C. NOV Paid	4-1
	D. NOV Declined	4-1
	E. NOV Not Paid	4-2
	F. Voided NOVs	4-2
Chapter 5.	GENERAL POLICY	5-1
	A. Notice to Party	5-1
	B. Penalty Payment Policy	5-1
	C. NOV as Option for a Letter of Undertaking (LOU)	5-2
Enclosure (1)	Sample NOV Issuing Officer Designation Letter	
Enclosure (2)	Notice of Violation form CG-5582	
Enclosure (3)	Notice of Violations Guidance for Oil Discharge Violations	
Enclosure (4)	Notice of Violations Guidance for Marine Safety and Security Violations	
Enclosure (5)	Notice of Violations Guidance for Unauthorized Entry into Cuban Territorial Waters	

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CHAPTER 1. INTRODUCTION

A. Purpose.

The Coast Guard's administrative civil penalty process can be cumbersome and time consuming. Field personnel can spend an inordinate amount of time processing civil penalties for oil discharges and violations of laws and regulations cases to the Hearing Office. The NOV program is intended to address these issues. It uses a NOV/Settlement Offer that allows immediate notification to the responsible party of the violation(s) and the penalty proposed by the government. It also allows direct payment to the treasury as all payments are sent directly to a lock-box.

B. Overview.

The Program is designed to be a flexible solution, which can be adopted by other Coast Guard programs in the future without an additional regulatory change. Since the NOV program's inception in 1994, the Coast Guard issued on average 2,300 NOVs annually for small oil discharges and minor pollution prevention regulation violations. Approximately 95 percent of these NOVs were accepted and paid by the responsible party. Because of the success of the initial limited NOV program, the NOV option is being expanded to include violations of other laws and regulations that the Coast Guard enforces. All laws and regulations that the Coast Guard enforces which contain a civil penalty provision are eligible for inclusion in the NOV program. An NOV may only be issued for violations of laws and regulations listed in the enclosures of this Manual. Headquarters program managers designate proposed penalty amounts. See the enclosures to this Manual and the Cite Builder section of the Marine Information for Safety and Law Enforcement (MISLE) system for specific penalty amounts.

C. Requirements.

To ensure continued success of the NOV program, each unit should issue a letter of designation, as NOV Issuing Officers, to qualified officers and petty officers. Thorough investigations must be completed before the decision to issue a NOV can be made. Thorough documentation of investigations and inspections, and timely processing of the NOV in MISLE, are essential. This program does not in any way eliminate the need for a complete and comprehensive investigation with the associated gathering of facts, witness statements, samples, and/or photographs where appropriate. The use of the NOV program is designed to provide the responsible party with timely notification of the alleged violation(s) and the proposed penalty. This program will reduce the administrative burden on the CG and the responsible party by providing an alternative to the Class I Administrative Civil Penalty process.

D. Command Discretion.

Each command must decide within the framework of the guidance of this Manual how it will be applied to his/her area of responsibility. Commands retain the discretion to not issue a NOV for any offense(s) for which a NOV is authorized if they believe the Coast Guard's enforcement goals would be better served by pursuing a Class I Administrative Civil Penalty. When the civil penalty authority statute provides that each day of a continuing violation constitutes a separate violation, commands shall only issue one NOV per incident. Some factors to consider include, but are not limited to: the nature of the offense, the seriousness of the offense, the deterrent effect of the NOV on the party involved, and the violation history of the party.

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CHAPTER 2. NOTICE OF VIOLATION COMPONENTS

A. The Form.

The Notice of Violation, (CG-5582), is a 4 part, no carbon required (NCR) form. The forms contain pre-printed sequential numbers in order to minimize data entry errors and to facilitate tracking by the Coast Guard Finance Center (FINCEN) and MISLE. Pages are clearly marked at the bottom in red indicating the disposition of each copy. Part 1 should be retained for the unit file. Parts 2 and 3 should be given to the party being issued the NOV. One copy is for their records and one copy is for them to pay or decline the NOV. Part 4 should be mailed to Coast Guard Finance Center (FINCEN). NOVs may be batched and mailed to FINCEN weekly. The FINCEN address is:

Commanding Officer (OGR)
US Coast Guard Finance Center
1430A Kristina Way
Chesapeake, VA 23326-1000

B. 33 CFR 1.07-11.

This section spells out the NOV requirements and should be referenced whenever questions arise as to regulatory authority. It allows a NOV to be issued to an identified party for any Coast Guard civil penalty violation if predetermined criteria have been established. The party then has the option of paying the proposed penalty or declining the NOV. If the NOV is declined, the case is processed as a Class I Administrative Civil Penalty adjudicated by the Coast Guard Hearing Office. If the party fails to pay or decline the NOV within 45 days of receipt, the NOV is considered in default, the proposed penalty is considered assessed, and the case is forwarded to Commander, Maintenance & Logistics Command Pacific (MLCPAC), Claims and Litigations (Collections) for collection of the penalty.

C. MISLE Entry.

One goal of the NOV program is to minimize the time personnel must spend entering a civil penalty case into MISLE. When the NOV is properly documented in MISLE and the unit successfully processes the NOV enforcement activity, party and penalty information is automatically transmitted to FINCEN's accounting system. When payment is entered in FINCEN's system, the MISLE enforcement activity is automatically updated and the status of the activity is automatically changed to Closed – Payment Received. If the NOV is not paid within 60 days (45 days per regulations plus 15 days for mail delivery) the activity's status is automatically updated to Open – Forward to Collections. The unit then must update the status to Open – Submitted to Collections, and transfer Ownership and Control to MLCPAC Claims and Litigations. The unit must then forward the NOV case package, which includes the unit copy of the NOV form, proof of receipt by the party (if the NOV form was not signed by the party), and all activity evidence. If the party declines the NOV, the activity is converted to a Class I case that must be completed in accordance with the MISLE Investigation and Enforcement Process Guide by the originating unit before transferring control of the activity to the Hearing Office.

D. Civil Penalty Payment.

A lock-box similar to the Vessel Documentation User Fee lock-box is used for payment. The responsible party mails the payment, with the payment/decline copy of the NOV, to the Nations Bank (address listed on the NOV form) lock-box. Payment is then entered in FINCEN's system and the MISLE enforcement activity is automatically updated by changing the unit's recommendation to an imposed sanction and the status of the activity is automatically changed to Closed – Payment Received.

E. Issuing Officer Training and Qualifications.

Each command will determine who will be authorized to issue NOVs and shall ensure they receive appropriate training before being designated. Issuing personnel must be designated in writing by the command prior to issuing NOVs. A sample designation letter is provided as enclosure 1. As a minimum, these persons should have a working knowledge of the contents of this Manual and should be mature, experienced personnel, already qualified in port operations, investigations, or vessel inspection/boarding work.

CHAPTER 3. INITIATING A CASE

A. Scope of NOV Program.

A NOV may be issued in the field, hand delivered at a later date, mailed to the party via regular mail with a return receipt attached, or mailed certified mail. A NOV is issued in the field only when the information necessary to document a violation is immediately available in the field. Otherwise, it can be sent later via regular mail with a return receipt attached, mailed via certified mail, or hand delivered. NOVs may be issued for two types of violations: (1) Oil discharges in violation of the FWPCA, if they are 1000 gallons or less, and (2) violations of laws and regulations designated by the appropriate Headquarters program manager. A NOV cannot be issued if the total proposed penalty for all violations noted on the NOV exceeds \$10,000.

B. Criteria for NOV.

1. Oil Discharge Violations.

To determine whether to issue a NOV for an oil discharge of 1000 gallons or less, first conduct a full field investigation. Then refer to the Oil Discharge Violation Guidance enclosure of this Manual. Determine whether your investigation enables you to document each of the 5 elements of an unlawful discharge: (1) Oil was discharged (2) Oil was discharged from a vessel, an onshore facility, or an offshore facility (3) Oil was discharged into or upon a navigable water of the United States, an adjoining shoreline, or a water of the contiguous zone and/or which may affect natural resources belonging to, pertaining to, or exclusively managed by the United States (4) the responsible party (owner, operator, and/or person in charge) can be identified (5) and the oil is creating a visible sheen, film, sludge, or emulsion. If you cannot document the 5 elements, do not issue a NOV. If you can document the 5 elements, use the Oil Discharge Violations Guidance enclosure of this Manual to determine what the proposed penalty should be. Use whole gallons when determining the volume of the discharge.

2. Non-Oil Discharge Violations.

To determine whether to issue a NOV for a violation of any other law or regulation refer to the appropriate Law or Regulation Violations Guidance enclosure of this Manual. If the cite is eligible for issuance of a NOV, use the enclosure to determine what the proposed penalty should be.

3. Continuing Violations.

When the civil penalty authority statute provides that each day of a continuing violation constitutes a separate violation, commands shall only issue one NOV per incident. Should the command be concerned that the number of days of the violation makes it a more severe offense, a Class I Administrative Civil Penalty case shall be initiated. The NOV program is not intended to be used as a enforcement tool to deal with long term non-compliance.

C. Determining Level of Penalty.

The NOV penalty guidance is a modification of Civil Penalty Procedures and Administration, COMDTINST 16200.3 (series). The enclosures of this Manual specify predetermined penalties for oil discharges 1000 gallons or less and violations of designated laws and regulations. No deviation from the proposed penalty amounts listed in the enclosures is authorized. Categories are provided for noncommercial and commercial entities and commercial individuals in the Oil Discharge Violations Guidance. The proposed penalty amounts listed in the Law or Regulation Violations Guidance enclosures are for a commercial entity. Proposed penalty amounts for an individual should be determined by reducing the commercial entity amounts by 50 percent.

For cites under 33 CFR 104, 105, and 106, proposed penalty amounts shall be multiplied by 1.5 and 2 for violations that occur during MARSEC Levels 2 and 3, respectively. For example, the proposed penalty for a violation of 33 CFR 104.125 would normally be \$1500 for a first offense. If the vessel is in a port where MARSEC Level 2 has been set, however, the proposed penalty amount for the same violation would be \$2250 (i.e., \$1500 x 1.5). **IMPORTANT:** If the total proposed penalty exceeds \$10,000 after the multiplier is applied, a NOV is not authorized.

D. Oil Discharge Violation Criteria.

The command has the flexibility to use the NOV program for oil discharges of 1000 gallons or less under the following criteria.

1. Noncommercial Entity:

The person responsible for the discharge was engaged in a noncommercial activity at the time of the discharge. A noncommercial penalty is always against an individual.

2. Commercial Entity:

The vessel, facility, or other entity involved in the discharge was engaged in a commercial activity at the time of the discharge including any maintenance, transit, or provisioning to support a commercial activity.

3. Commercial Individual:

The individual responsible for the discharge was employed in a commercial activity at the time of the discharge.

4. First Offense:

The first offense amount shall be used if the noncommercial entity, commercial entity, or commercial individual has no history of a previous violation for a discharge in the last 12 months from the date of the discharge being investigated. A previous discharge is defined as one where a NOV has been paid, or a Coast Guard Hearing Officer has made a civil penalty assessment.

5. Second Offense:

The second offense amount shall be used if the noncommercial entity, commercial entity, or commercial individual has a history of ONE previous violation for a discharge in the last 12 months from the date of the discharge being investigated. The second offense is to be determined by the history of the involved vessel, facility, or individual. The records of other entities owned by the same company are not considered in determining the level of offense.

6. Third and further offenses:

The third offense amount shall be used if the noncommercial entity, commercial entity, or commercial individual has a history of TWO or more previous violations for a discharge in the last 12 months from the date of the discharge being investigated. However, if an entity has had multiple offenses within a 12-month period, it may be appropriate to develop a Class I Administrative Civil Penalty case for submission to the Hearing Office.

7. Spill history unknown:

If the spill history of the entity involved is unknown the first offense penalty amount shall be used.

8. Spill violation in the past 12 months not considered:

Checking this block indicates that the command has been unable to verify or has chosen not to consider the past spill history. Therefore, if this block is checked first offense penalty amount shall be used.

E. Law or Regulation Violation Criteria.

The command has the flexibility to use the NOV program for a violation of a law or regulation listed in the applicable enclosure under the following criteria.

1. Noncommercial Entity:

The person responsible for the violation of the law or regulation was engaged in a noncommercial activity at the time of the violation. A noncommercial penalty is always against an individual.

2. Commercial Entity:

The vessel, facility, or other entity involved in the violation of the law or regulation was engaged in commercial activity at the time of the violation.

3. Commercial Individual:

The individual responsible for the violation was employed in a commercial capacity at the time of the violation.

4. First Offense:

The first offense amount shall be used if the noncommercial entity, commercial entity, or commercial individual has no history of a previous violation for the specific law or regulation that has been violated in the last 12 months from the date of the violation being investigated. A previous violation is defined as one where a NOV has been paid, or a Coast Guard Hearing Officer has made a civil penalty assessment.

5. Second Offenses:

The second offense amount shall be used if the noncommercial entity, commercial entity, or commercial individual has a history of ONE previous violation for the same law or regulation in the last 12 months from the date of the violation being investigated. The second offense is to be determined by the history of the involved vessel, facility, or individual. The records of other entities owned by the same company are not considered in determining the level of offense.

6. Third and Further Offenses:

The third offense amount shall be used if the noncommercial entity, commercial entity, or commercial individual has a history of TWO or more previous violations for the same law or regulation in the last 12 months from the date of the violation being investigated. However, if an entity has had multiple offenses for the same law or regulation within a 12-month period, it may be appropriate to develop a Class I Administrative Civil Penalty case for submission to the Hearing Office.

7. Law or regulation violation history unknown:

If the law or regulation violation history of the entity involved is unknown the first offense penalty amount shall be used.

CHAPTER 4. MISLE DOCUMENTATION OF THE NOTICE OF VIOLATION

A. Use.

The MISLE Investigation and Enforcement Process Guide shall be used to document the issuance of a NOV. All NOV enforcement activities shall be referred from the detection activity (incident investigation, vessel boarding, vessel inspection, facility inspection, etc.) within **3 working days** of the NOV being issued. The NOV activity shall be processed within **10 working days** of the NOV being issued to facilitate the processing by FINCEN of immediate payments received from the responsible party.

B. General Process.

All MISLE enforcement activities with an enforcement type of Notice of Violation shall be initiated by utilizing the enforcement referral option in the detection activity. There shall be no enforcement activities created by using the “Create a New Activity” option. Once the NOV is properly documented in MISLE and the unit successfully processes (selects the “Process NOV” button on the Offense tab) the activity, party and penalty information is automatically transmitted to FINCEN’s accounting system. The activity’s status is automatically updated to Open – Submitted to FINCEN. If there is an error in the transmission, the activity’s status is automatically updated to Open – Not Submitted to FINCEN and the unit will need to attempt to process the activity at a later time. The activity will be un-editable (locked) while it is in an Open – Submitted to FINCEN status. It will remain in this status until payment is received, the party declines the NOV, or 60 days (45 days per regulations plus 15 days for mail delivery) pass from the date the NOV was issued.

C. NOV Paid.

If payment is entered in FINCEN’s system prior to day 60, the activity’s status is automatically updated to “Closed – Payment Received” and no further action is required.

D. NOV Declined.

When the unit receives written notification that the party has elected to decline the NOV, the unit will need to convert the NOV activity to an Administrative Civil Penalty (Class I) activity by following the guidance contained in the MISLE Investigation and Enforcement Process Guide. If the unit receives written notification that the party seeks to have the NOV value modified, notify the party that we are considering their request for modification as a statement of decline and will proceed to process the violation as a Class I civil penalty to be adjudicated by the Hearing Office. If the party provides additional information, return the additional information to the party with an explanation that we are considering this as a statement of decline and will proceed to process the violation as a Class I civil penalty. Also instruct them that they should submit such material to the Hearing Office after they receive a letter of notification from the Hearing Office.

E. NOV Not Paid.

If the NOV is not paid within 60 days, the activity's status is automatically updated to "Open – Forward to Collections". The unit then must update the status to "Open – Submitted to Collections", and transfer Ownership and Control to MLCPAC Claims and Litigations (Collections). The unit must then forward the NOV case package, which includes the unit copy of the NOV form, proof of receipt by the party (if the NOV form was not signed by the party), and all activity evidence.

F. Voided NOVs.

There is no specific section in the MISLE enforcement activity to document a voided NOV. The voided NOV number may be documented by making a manual entry in the activity log. If the NOV activity has been processed, notification to FINCEN shall be made in accordance with the guidance contained in the MISLE Investigation and Enforcement Process Guide.

CHAPTER 5. GENERAL POLICY

A. Notice to Party.

If you issue a NOV, clearly advise the responsible party that they may either pay the proposed penalty or decline the NOV. Also, clearly state that the procedures for exercising these options and the party's rights are explained on the reverse of the NOV form (CG-5582). It is not required that the party sign the NOV in order for it to be issued. However, if a signature is not obtained from the receiving party, a notation should be entered in the receiving signature block explaining the disposition of the NOV form (e.g. mailed to party via certified mail, mailed to the party with return receipt attached, hand delivered at scene, etc). If you issue a NOV for a violation of a cite designated as being Sensitive Security Information (SSI), you must write "Sensitive Security Information" across the top of the NOV form (CG-5582). Clearly advise the responsible party that the information on the NOV is considered SSI and the party should treat the NOV accordingly.

B. Penalty Payment Policy.

The NOV form specifies the suspected violation(s) for oil discharges and/or violations of other laws or regulations and the proposed penalty for each violation based on preset proposed penalties contained in the enclosures to this Manual. The NOV form also specifies the options available to the alleged responsible party. The party may pay the penalty in full and close the case or decline the NOV in which case the NOV will be converted to a Class I Administrative Civil Penalty case and be forwarded to the Hearing Office for a determination. The Hearing Office is not bound by a NOV and the determination by the Hearing Office may result in a final assessment equal to or greater than the proposed penalty. **UNITS OR ANY COAST GUARD INDIVIDUAL SHALL NOT ACCEPT PAYMENT.** Issuing Officers should facilitate the payment of NOVs by carefully explaining how payment is to be made. Once received in Atlanta, the payment will be credited to the appropriate NOV number and the activity will be closed. It is critical that the party forward a copy of the NOV form and indicate the NOV number for the payment to be properly credited. The NOV form stipulates that the payment is to be sent to:

U.S. Coast Guard - Civil Penalties
PO Box 100160
Atlanta, GA 30384

1. Partial Payments.

Partial payments are NOT ALLOWED under the NOV program. If an alleged violator states they wish to make a partial payment they should be instructed that these are not acceptable under the NOV program. Therefore, if the party needs a partial payment schedule they should be instructed to DECLINE the NOV. The case is then processed to the Hearing Office as a Class I Administrative Civil Penalty. Payments received in Atlanta for an NOV that is less than the amount stated on the NOV will be treated by MLCPAC as a request for a partial payment. The responsible party will be informed that these payments are not allowed under the NOV program and the payment will either be returned or held in escrow to be credited against a final determination by the Hearing Office on the resulting Class I Administrative Civil Penalty.

C. NOV as option for a Letter of Undertaking (LOU).

Units have the discretion to accept proof of payment of an NOV in lieu of requiring a LOU or Surety Bond. Verification that a certified check or money order has been mailed to Atlanta is considered proof of payment.

U.S. Department of
Homeland Security

United States
Coast Guard



Commander
United States Coast Guard
Sector Baltimore

2401 Hawkins Point Road
Bldg. 70
Baltimore, MD 21226-1791
Phone: (410) 576-2561
Fax: (410) 576-2553
Email:

5582
DATE

MEMORANDUM

From: Commanding Officer, Coast Guard Sector
Baltimore

Reply to
Attn of:

To: PO Joe Somebody

Subj: DESIGNATION AS NOTICE OF VIOLATION ISSUING OFFICER

Ref: (a) NOTICE OF VIOLATION USER'S GUIDE, COMDTINST M5582.1A

1. In accordance with reference (a), you are hereby authorized to issue Notices of Violations while assigned to this Command. You will be guided in your duties by the Notice of Violation User's Guide, applicable sections of the Marine Safety Manual, and the Code of Federal Regulations.

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NOTICE OF VIOLATION
CG-5582

INSTRUCTION FOR PROCESSING THE FORM

This is a four-part form that does not require carbon paper and consists of 20 sets bound in a pad. Accurate and complete data must be legibly printed with a ballpoint pen on each set. Place the inner front flap that is part of the bottom of the pad under the last copy of the set of forms to keep from marking the other sets.

The guidance on the back of this page is provided to assist in determining if a NOV is appropriate for the violation or violations and, in the case of an oil discharge, that all five elements of a violation can be established. Refer to the penalty guidance to determine proposed penalty and statutory maximum penalty amounts for each cite. Ensure the TOTAL PENALTY is recorded on the NOV form. Signatures are not required prior to issuing the form. However, proof of receipt by the party is required. If a signature is not obtained from the receiving party, a notation should be entered in the receiving signature block explaining the disposition of the NOV form (e.g. mailed to party via certified mail, mailed to the party with return receipt attached, hand delivered at scene, etc).

The pages are marked in RED to indicate the disposition of each copy: Issuing unit keeps the FIRST copy and sends the FOURTH copy to FINCEN (OGR) within 48 hours; SECOND and THIRD copies are given to the violator, (SECOND - for violators records, THIRD - sent with payment or to decline the NOV, sent to the issuing unit's address printed on the form).

NOTICE OF VIOLATION GUIDANCE
CG-5582

INSTRUCTIONS FOR ISSUING A NOTICE OF VIOLATION

Scope of Program. Notices of Violation (NOVs) may be issued for: (1) oil discharges in violation of the FWPCA, if they are 1000 gallons or less, and (2) violations of other laws and regulations designated as eligible for issuance of a NOV. A NOV may be issued only when the total proposed penalty for all violations noted on the NOV is \$10,000 or less. A NOV may be issued only when a full investigation is completed.

Oil Discharge Violations. To determine if the NOV program applies for an oil discharge of 1000 gallons or less, first conduct a field investigation. Determine whether your investigation enables you to document each of the 5 elements of an unlawful discharge: (1) Oil was discharged; (2) Oil was discharged from a vessel, an onshore facility, or an offshore facility; (3) Oil was discharged into or upon the navigable water of the United States, an adjoining shoreline, or a water of the contiguous zone and/or may affect natural resources belonging to, pertaining to, or exclusively managed by the United States; (4) The responsible party (owner, operator, and/or person in charge) can be identified; and (5) The discharge created a visible sheen, film, sludge, or emulsion. In addition to the 5 elements, to issue a NOV you also must be able to determine the approximate volume of the discharge.

IF YOU CANNOT DOCUMENT THE 5 ELEMENTS, YOU ARE NOT AUTHORIZED TO ISSUE A NOV. If you can document the 5 elements, use the Oil Discharge Violations Guidance enclosure of the Notice of Violation User's Guide, COMDTINST M5582.1(series) to determine what the proposed penalty should be. **No deviation from the proposed penalty amount listed in the enclosure is authorized.**

As used in the Oil Discharge Violations Guidance, a first, second, third offense, etc., refers to any violation within the last 12 months, from the date of the violation being processed, at the same facility or by the same vessel. A previous violation is defined as one where enforcement action has been taken, i.e. a NOV has been paid, or a Coast Guard Hearing Officer has made a civil penalty assessment.

Law or Regulation Violations. To determine whether to issue a NOV for a law or regulation violation, refer to the Law or Regulation Violations Guidance in the Notice of Violation User's Guide, COMDTINST M5582.1(series). If the cite is eligible for issuance of a NOV, use the enclosure to determine what the proposed penalty should be. **No deviation from the proposed penalty amount listed in the enclosure is authorized.**

As used in the Law or Regulation Violations Guidance, a first, second, third offense, etc., refers to any violation of the SAME law or regulation within the last 12 months, from the date of the violation being processed, at the same facility or by the same vessel. A previous violation is defined as one where enforcement action has been taken, i.e. a letter of warning has been issued, a NOV has been paid, or a Coast Guard Hearing Officer has made a civil penalty assessment.

General.

- * Do not issue a NOV if the total proposed penalty for all violations noted on the NOV exceeds \$10,000.
- * Ensure that the MAXIMUM PENALTY column contains the statutory maximum penalty amount for each cite as specified in the applicable enclosure to the Notice of Violation User's Guide, COMDTINST M5582.1(series).
- * If you issue a NOV, clearly advise the responsible party that they may either pay the proposed penalty or decline the NOV. Also clearly state that the procedures for exercising these options and the party's right are explained on the back of the NOV form.



UNITED STATES COAST GUARD
NOTICE OF VIOLATION

Coast Guard
Unit Address: _____

Date and Time of Violation: _____ ☐ Estimated ☐ Known NRC Case # _____

LOCATION OF VIOLATION	WATERBODY	RIVER MILE	Latitude	Longitude	CITY	STATE
PARTY IN VIOLATION						
NAME		TITLE		VESSEL		FLAG
MAILING ADDRESS				VIN		SERVICE
CITY		STATE	ZIP	FACILITY		
COUNTRY		POSTAL CODE		FIN		
TELEPHONE				CATEGORY		
				PARTY INVOLVED		
				IPN	MMLD/LIC	ISSUE PORT

DISCHARGE VIOLATION

☐ Owner, ☐ Operator, or ☐ Person in Charge Was Found In Violation of:

REGULATION	NATURE OF VIOLATION	MAXIMUM PENALTY	PROPOSED PENALTY
33 USC 1321(b)(3)	Discharge of oil in violation of	\$11,000.00	\$

☐ I observed a/ ☐ sheen ☐ sludge on ☐ a navigable water of the U.S.
☐ It was reported a/ ☐ film ☐ emulsion ☐ an adjoining shoreline

The violation resulted from a discharge from a: Spill violation in the past 12 months? The estimated volume is:
☐ commercial ☐ vessel ☐ Yes ☐ No
☐ non-commercial ☐ onshore facility ☐ Not considered
☐ offshore facility

OTHER VIOLATIONS

REGULATION	NATURE OF VIOLATION	MAXIMUM PENALTY	PROPOSED PENALTY
____ CFR _____		\$	\$
____ CFR _____		\$	\$
____ CFR _____		\$	\$
____ CFR _____		\$	\$
____ USC _____		\$	\$
____ USC _____		\$	\$
(Total cannot exceed \$10,000)		TOTAL PENALTY	\$

Incident Description _____

Issued By _____ Date / Time _____
Received By _____ Position _____ Date _____

ACCEPT THE PROPOSED PENALTY

☐ I/We accept the proposed penalty.

The proposed Total Penalty amount for the violations is stated on the front page. **Receipt of your full payment within 45 days will close this case.**

Directions: If you choose to accept this proposed penalty, check the box above and no later than 45 days of receipt of this NOV remit payment with the copy marked BANK/DECLINE COPY to the address below. Make your check payable to "U.S. Coast Guard – Civil Penalties" and write the number of this NOV on your check.

Remit your payment to:
U.S. Coast Guard – Civil Penalties
P.O. Box 100160
Atlanta, GA 30384

DECLINE THE PROPOSED PENALTY

☐ I/We decline the proposed penalty.

If you dispute the Total Penalty proposed or other circumstances concerning this Notice of Violation (NOV) you may DECLINE it not later than 45 days of receipt. Declining the NOV will result in the case file being sent to a Coast Guard Hearing Officer for a determination. After the Hearing Officer makes a preliminary determination, you will be afforded the opportunity to respond to the allegations or request a hearing. **THE HEARING OFFICER IS NOT BOUND BY THE NOV AND DETERMINATION BY THE HEARING OFFICER MAY RESULT IN A FINAL ASSESSMENT EQUAL TO OR GREATER THAN THE PROPOSED PENALTY.**

Directions: To decline, check the box above on the BANK/DECLINE COPY and return it to the Coast Guard unit address found on the front page of this NOV. **Other communications concerning this case should be sent to the Hearing Officer upon receipt of a Letter of Notification.**

FAILURE TO RESPOND

If you fail to either pay or decline this Notice of Violation (NOV) within 45 days, the Coast Guard will enter a finding of default and will proceed with the collection of the civil penalty in the amount recommended on this NOV.

1. If all of the following elements of a violation are present:	2. If:	3. If the Responsible Party is a:	4. If all of the following concerning the discharge are true:	5. If the amount of the discharge was:	6. Then the Proposed Penalty is:
<p>(1) Oil was discharged</p> <p>(2) From a vessel, an onshore facility, or an offshore facility;</p> <p>(3) Into or upon a navigable water of the United States, an adjoining shoreline, or a water of the contiguous zone and/or which may affect natural resources belonging to, pertaining to, or exclusively managed by the United States;</p> <p>(4) The responsible party (owner, operator, and/or person in charge) can be identified; and</p> <p>(5) The spill created a visible sheen, film, sludge, or emulsion.</p>	All elements can be documented in the field	Noncommercial Entity	<ul style="list-style-type: none"> Minor spill (1000 gallons or less) Unintentional Noncommercial source No significant gravity or culpability 	50 gallons or less	1st Offense = \$50.00 2nd Offense = \$100.00 3rd Offense = \$250.00
				51 - 250 gallons	1st Offense = \$250.00 2nd Offense = \$500.00 3rd Offense = \$1,000.00
				251 - 500 gallons	1st Offense = \$500.00 2nd Offense = \$1,000.00 3rd Offense = \$2,000.00
				501 - 1000 gallons	1st Offense = \$1,000.00 2nd Offense = \$2,000.00 3rd Offense = \$5,000.00
		Commercial Entity	<ul style="list-style-type: none"> Minor spill (1000 gallons or less) Unintentional Commercial or governmental source No significant gravity or culpability 	25 gallons or less	1st Offense = \$250.00 2nd Offense = \$500.00 3rd Offense = \$1,000.00
				26 - 250 gallons	1st Offense = \$500.00 2nd Offense = \$1,000.00 3rd Offense = \$3,000.00
				251 - 500 gallons	1st Offense = \$1,500.00 2nd Offense = \$3,000.00 3rd Offense = \$6,000.00
				501 - 1000 gallons	1st Offense = \$3,000.00 2nd Offense = \$6,000.00 3rd Offense = \$10,000.00
		Commercial Individual	Same as Commercial Entity	Same as Commercial Entity	Half Commercial Entity Proposed Penalty
	All elements cannot be documented in the field	NOV is not issued in the field, but may be issued at a later time.			

* If an oil discharge does not meet the criteria in columns 1 through 5, a NOV shall not be used.

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Notice of Violations Guidance for Marine Safety and Security Violations**TABLE OF CONTENTS**

<u>Section</u>	<u>Page</u>
Cites in 33 CFR	1
Cites in 33 USC	32
Cites in 46 CFR	38
Cites in 46 USC	63
Cites in 49 CFR	64

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Notice of Violations Guidance for Marine Safety and Security Violations

Encl. (4) to COMDTINST M5582.1A

Proposed Penalty Amounts listed in the Table below are for a Commercial Entity

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For 33 CFR 104, 105 and 106, Proposed Penalty Amounts shall be multiplied by **1.5** and **2** for violations that occur during MARSEC Levels 2 and 3, respectively

<u>Cite</u>	<u>SSI</u>	<u>Description</u>	<u>Proposed Penalty Amount</u>			<u>Maximum</u>
			<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	<u>Penalty Amount</u>
Cites in 33 CFR						
33 CFR 26.03		Failure to comply with the radiotelephone requirements of this section.	\$100.00	\$250.00	\$500.00	\$650.00
33 CFR 26.04		Failure to comply with the requirements for use of the designated frequency.	\$100.00	\$250.00	\$500.00	\$650.00
33 CFR 26.05		Failure to use radiotelephone as required.	\$100.00	\$250.00	\$500.00	\$650.00
33 CFR 26.07		Person maintaining listening watch as required under 33 USC 1204 not English speaking.	\$200.00	\$400.00	\$500.00	\$650.00
33 CFR 87.3		Use or exhibition of a distress signal for purposes other than indicating distress and need of assistance.	\$1,000.00	\$2,500.00	\$5,000.00	\$6,500.00
33 CFR 88.05		Failure of operator of self propelled vessel 12 meters or more in length to carry on board and maintain for ready reference copy of Rules.	\$500.00	\$1,500.00	\$3,000.00	\$6,500.00
33 CFR 88.13		Failure of barge in this section to display and arrange lights as required at night and in periods of restricted visibility.	\$1,000.00	\$2,500.00	\$4,000.00	\$6,500.00
33 CFR 88.15		Failure to display the proper lights on a dredge pipeline which is floating or supported on trestles at night and in periods of restricted visibility.	\$1,000.00	\$2,500.00	\$4,000.00	\$6,500.00
33 CFR 95.045		Failure of crewmember (including a licensed individual), pilot, or watchstander not a regular member of the crew to comply with general operating rules related to intoxicants on inspected vessels.	\$1,000.00	\$2,000.00	\$4,000.00	\$6,500.00
33 CFR 95.050(b)		Marine employer permitted individual to stand watch or perform other duties when he had reason to believe individual was intoxicated.	\$1,000.00	\$2,500.00	\$5,000.00	\$6,500.00
33 CFR 96.230		Failure to establish and implement Safety Management System.	\$500.00	\$2,000.00	\$4,000.00	\$6,500.00
33 CFR 96.250		Failure to maintain or provide documents and reports required for a Safety Management System.	\$500.00	\$2,000.00	\$4,000.00	\$6,500.00
33 CFR 104.115(c)	X	Failure to carry a valid International Ship Security Certificate (ISSC) or comply with an approved alternate security program or bilateral agreement.	\$10,000.00	*	*	\$25,000.00
33 CFR 104.120	X	Failure to provide compliance documentation.	\$1,500.00	\$3,000.00	\$6,000.00	\$25,000.00
33 CFR 104.125	X	Failure of vessel owner or operator to notify cognizant COTP of temporary deviations from 33 CFR Part 104.	\$1,500.00	\$3,000.00	\$6,000.00	\$25,000.00
33 CFR 104.200(b)(2)	X	Failure to designate Vessel Security Officer (VSO).	\$3,000.00	\$6,000.00	\$10,000.00	\$25,000.00
33 CFR 104.200(b)(9)	X	Failure to install and maintain security systems and equipment.	\$3,000.00	\$6,000.00	\$10,000.00	\$25,000.00
33 CFR 104.200(b)(10)	X	Failure to provide vessel access control.	\$3,000.00	\$6,000.00	\$10,000.00	\$25,000.00

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<u>Cite</u>	<u>SSI</u>	<u>Description</u>	<u>Proposed Penalty Amount</u>			<u>Maximum Penalty Amount</u>
			<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 104.200(b)(11)	X	Failure to provide control measures for restricted spaces.	\$3,000.00	\$6,000.00	\$10,000.00	\$25,000.00
33 CFR 104.210(a)(1)	X	Failure to designate Company Security Officer (CSO).	\$3,000.00	\$6,000.00	\$10,000.00	\$25,000.00
33 CFR 104.210(b)	X	Failure to ensure designated Company Security Officer (CSO) is qualified to perform CSO duties.	\$3,000.00	\$6,000.00	\$10,000.00	\$25,000.00
33 CFR 104.215(b)	X	Failure to ensure designated Vessel Security Officer (VSO) is qualified to perform VSO duties.	\$3,000.00	\$6,000.00	\$10,000.00	\$25,000.00
33 CFR 104.220	X	Failure to ensure other crew with security duties are qualified to perform specified duties.	\$3,000.00	\$6,000.00	\$10,000.00	\$25,000.00
33 CFR 104.225	X	Failure to provide security training for all vessel personnel.	\$1,500.00	\$3,000.00	\$6,000.00	\$25,000.00
33 CFR 104.230(b)	X	Failure to conduct security drills.	\$1,500.00	\$5,000.00	\$10,000.00	\$25,000.00
33 CFR 104.230(c)	X	Failure to conduct security exercises.	\$3,000.00	\$6,000.00	\$10,000.00	\$25,000.00
33 CFR 104.235(b)(2)	X	Failure to provide vessel security records for drills and exercises.	\$1,500.00	\$2,500.00	\$7,500.00	\$25,000.00
33 CFR 104.235(b)(3)	X	Failure to provide vessel security records for incidents and breaches of security.	\$1,500.00	\$2,500.00	\$7,500.00	\$25,000.00
33 CFR 104.235(b)(4)	X	Failure to provide vessel security records for changes in Maritime Security (MARSEC) levels.	\$1,500.00	\$2,500.00	\$7,500.00	\$25,000.00
33 CFR 104.235(b)(5)	X	Failure to provide vessel security records for maintenance, calibration, and testing of security equipment.	\$1,500.00	\$2,500.00	\$7,500.00	\$25,000.00
33 CFR 104.235(b)(6)	X	Failure to provide vessel security records for security threats.	\$1,500.00	\$2,500.00	\$7,500.00	\$25,000.00
33 CFR 104.235(b)(7)	X	Failure to provide vessel security records for Declaration of Security (DOS).	\$1,500.00	\$2,500.00	\$7,500.00	\$25,000.00
33 CFR 104.235(b)(8)	X	Failure to provide vessel security records for annual audits of the Vessel Security Plan (VSP).	\$1,500.00	\$2,500.00	\$7,500.00	\$25,000.00
33 CFR 104.235(c)	X	Failure to protect vessel security records from unauthorized access or disclosure.	\$1,500.00	\$5,000.00	\$7,500.00	\$25,000.00
33 CFR 104.255	X	Failure of vessel owner or operator to complete Declaration of Security (DOS).	\$1,500.00	\$3,500.00	\$7,500.00	\$25,000.00
33 CFR 104.260(a)	X	Failure to inspect, test, calibrate, and maintain security systems and equipment.	\$3,000.00	\$6,000.00	\$10,000.00	\$25,000.00
33 CFR 104.260(c)	X	Failure to provide procedures in Vessel Security Plan (VSP) for identifying and responding to security system and equipment failures or malfunctions.	\$1,000.00	\$2,500.00	\$7,500.00	\$25,000.00
33 CFR 104.265(a)	X	Failure to provide vessel security measures for access control.	\$3,000.00	\$6,000.00	\$10,000.00	\$25,000.00
33 CFR 104.265(b)(1)	X	Failure to specify locations of accesses to the vessel.	\$1,500.00	\$2,500.00	\$7,500.00	\$25,000.00
33 CFR 104.265(c)	X	Failure to provide identification system on vessel for personnel access control.	\$3,000.00	\$6,000.00	\$10,000.00	\$25,000.00

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Notice of Violations Guidance for Marine Safety and Security Violations

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For 33 CFR 104, 105 and 106, Proposed Penalty Amounts shall be multiplied by **1.5** and **2** for violations that occur during MARSEC Levels 2 and 3, respectively

<u>Cite</u>	<u>SSI</u>	<u>Description</u>	<u>Proposed Penalty Amount</u>			<u>Maximum Penalty Amount</u>
			<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 104.265(e)	X	Failure of vessel owner or operator to be in compliance with security requirements for MARSEC Level 1.	\$3,000.00	\$6,000.00	\$10,000.00	\$25,000.00
33 CFR 104.265(f)	X	Failure of vessel owner or operator to be in compliance with security requirements for MARSEC Level 2.	\$3,000.00	\$6,000.00	\$10,000.00	\$25,000.00
33 CFR 104.265(g)	X	Failure of vessel owner or operator to be in compliance with security requirements for MARSEC Level 3.	\$3,000.00	\$6,000.00	\$10,000.00	\$25,000.00
33 CFR 104.270(b)	X	Failure to designate vessel restricted areas.	\$1,500.00	\$2,500.00	\$7,500.00	\$25,000.00
33 CFR 104.270(c)	X	Failure of vessel owner or operator to implement security measures for restricted areas.	\$1,500.00	\$2,500.00	\$7,500.00	\$25,000.00
33 CFR 104.270(d)	X	Failure of vessel owner or operator to be in compliance with the security requirements for restricted areas for MARSEC Level 1.	\$3,000.00	\$6,000.00	\$10,000.00	\$25,000.00
33 CFR 104.270(e)	X	Failure of vessel owner or operator to be in compliance with the security requirements for restricted areas for MARSEC Level 2.	\$3,000.00	\$6,000.00	\$10,000.00	\$25,000.00
33 CFR 104.270(f)	X	Failure of vessel owner or operator to be in compliance with the security requirements for restricted areas for MARSEC Level 3.	\$3,000.00	\$6,000.00	\$10,000.00	\$25,000.00
33 CFR 104.275	X	Failure to provide vessel security measures for handling cargo.	\$3,000.00	\$6,000.00	\$10,000.00	\$25,000.00
33 CFR 104.280	X	Failure to provide vessel security measures for delivery of vessel stores and bunkers.	\$3,000.00	\$6,000.00	\$10,000.00	\$25,000.00
33 CFR 104.285	X	Failure to provide vessel security measures for monitoring as specified in Vessel Security Plan (VSP).	\$3,000.00	\$6,000.00	\$10,000.00	\$25,000.00
33 CFR 104.292	X	Failure of passenger vessel owner or operator to conduct additional security requirements.	\$1,500.00	\$2,500.00	\$7,500.00	\$25,000.00
33 CFR 104.305	X	Failure of vessel owner or operator to conduct a Vessel Security Assessment (VSA).	\$10,000.00	*	*	\$25,000.00
33 CFR 104.310	X	Failure to submit a completed Vessel Security Assessment (VSA) report.	\$10,000.00	*	*	\$25,000.00
33 CFR 104.400	X	Failure to develop and implement a Vessel Security Plan (VSP).	\$5,000.00	\$10,000.00	*	\$25,000.00
33 CFR 104.405	X	Failure to ensure proper format and content of the Vessel Security Plan (VSP).	\$1,000.00	\$2,500.00	\$5,000.00	\$25,000.00
33 CFR 104.410	X	Failure to submit a completed Vessel Security Plan (VSP).	\$10,000.00	*	*	\$25,000.00
33 CFR 104.415	X	Failure to comply with Vessel Security Plan (VSP) amendment or audit procedures.	\$1,500.00	\$3,000.00	\$6,000.00	\$25,000.00
33 CFR 105.120	X	Failure to provide compliance documentation.	\$1,500.00	\$3,000.00	\$6,000.00	\$25,000.00
33 CFR 105.125	X	Failure of facility owner or operator to notify cognizant COTP of temporary deviations from 33 CFR Part 105.	\$1,500.00	\$3,000.00	\$6,000.00	\$25,000.00

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			<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 105.200	X	Failure of facility owner or operator to ensure the facility operates in compliance with security requirements.	\$3,000.00	\$6,000.00	\$10,000.00	\$25,000.00
33 CFR 105.205(b)	X	Failure of Facility Security Officer (FSO) to possess the required general knowledge through training or job experience.	\$1,500.00	\$3,000.00	\$6,000.00	\$25,000.00
33 CFR 105.205(c)	X	Failure of Facility Security Officer (FSO) to carry out all specified duties and responsibilities for each facility for which he or she has been designated.	\$1,500.00	\$3,000.00	\$6,000.00	\$25,000.00
33 CFR 105.220(b)	X	Failure of facility owner or operator to meet security drill requirements.	\$1,500.00	\$5,000.00	\$10,000.00	\$25,000.00
33 CFR 105.220(c)	X	Failure of facility owner or operator to meet security exercise requirements.	\$3,000.00	\$6,000.00	\$10,000.00	\$25,000.00
33 CFR 105.225	X	Failure of facility owner or operator to make the required records available to the Coast Guard.	\$1,500.00	\$2,500.00	\$7,500.00	\$25,000.00
33 CFR 105.235	X	Failure to meet facility communications requirements.	\$1,000.00	\$2,500.00	\$7,500.00	\$25,000.00
33 CFR 105.245	X	Failure of a facility owner or operator to complete Declaration of Security (DOS).	\$1,500.00	\$3,500.00	\$7,500.00	\$25,000.00
33 CFR 105.250	X	Failure to meet security systems and equipment maintenance requirements.	\$3,000.00	\$6,000.00	\$10,000.00	\$25,000.00
33 CFR 105.255(a)	X	Failure to implement facility security measures for access control.	\$3,000.00	\$6,000.00	\$10,000.00	\$25,000.00
33 CFR 105.255(b)(1)	X	Failure to specify locations of accesses to the facility.	\$1,500.00	\$2,500.00	\$7,500.00	\$25,000.00
33 CFR 105.255(c)	X	Failure of facility owner or operator to provide identification system for personnel access control.	\$3,000.00	\$6,000.00	\$10,000.00	\$25,000.00
33 CFR 105.255(e)	X	Failure of facility owner or operator to be in compliance with security requirements for MARSEC Level 1.	\$3,000.00	\$6,000.00	\$10,000.00	\$25,000.00
33 CFR 105.255(f)	X	Failure of facility owner or operator to be in compliance with security requirements for MARSEC Level 2.	\$3,000.00	\$6,000.00	\$10,000.00	\$25,000.00
33 CFR 105.255(g)	X	Failure of facility owner or operator to be in compliance with security requirements for MARSEC Level 3.	\$3,000.00	\$6,000.00	\$10,000.00	\$25,000.00
33 CFR 105.260(b)	X	Failure to designate facility restricted areas.	\$1,500.00	\$2,500.00	\$7,500.00	\$25,000.00
33 CFR 105.260(c)	X	Failure of facility owner or operator to implement security measures for restricted areas.	\$1,500.00	\$2,500.00	\$7,500.00	\$25,000.00
33 CFR 105.260(d)	X	Failure of vessel owner or operator to be in compliance with the security requirements for restricted areas for MARSEC Level 1.	\$3,000.00	\$6,000.00	\$10,000.00	\$25,000.00
33 CFR 105.260(e)	X	Failure of vessel owner or operator to be in compliance with the security requirements for restricted areas for MARSEC Level 2.	\$3,000.00	\$6,000.00	\$10,000.00	\$25,000.00

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			<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 105.260(f)	X	Failure of vessel owner or operator to be in compliance with the security requirements for restricted areas for MARSEC Level 3.	\$3,000.00	\$6,000.00	\$10,000.00	\$25,000.00
33 CFR 105.265	X	Failure to implement security measures for handling cargo.	\$3,000.00	\$6,000.00	\$10,000.00	\$25,000.00
33 CFR 105.270	X	Failure to implement security measures for delivery of vessel stores and bunkers.	\$3,000.00	\$6,000.00	\$10,000.00	\$25,000.00
33 CFR 105.275	X	Failure to implement security measures for monitoring as specified in the Facility Security Plan (FSP).	\$3,000.00	\$6,000.00	\$10,000.00	\$25,000.00
33 CFR 105.285	X	Failure to meet additional requirements for passenger and ferry facilities.	\$1,000.00	\$2,500.00	\$7,500.00	\$25,000.00
33 CFR 105.290	X	Failure to meet additional requirements for cruise ship terminals.	\$1,000.00	\$2,500.00	\$7,500.00	\$25,000.00
33 CFR 105.295	X	Failure to meet additional requirements for Certain Dangerous Cargo (CDC) facilities.	\$2,500.00	\$6,000.00	\$10,000.00	\$25,000.00
33 CFR 105.296	X	Failure to meet additional requirements for barge fleeting facilities.	\$1,000.00	\$2,500.00	\$7,500.00	\$25,000.00
33 CFR 105.305	X	Failure of facility owner or operator to conduct a Facility Security Assessment (FSA).	\$1,500.00	\$5,000.00	\$10,000.00	\$25,000.00
33 CFR 105.310	X	Failure to submit a completed Facility Security Assessment (FSA) report.	\$10,000.00	*	*	\$25,000.00
33 CFR 105.400	X	Failure to develop and implement a Facility Security Plan (FSP).	\$5,000.00	\$10,000.00	*	\$25,000.00
33 CFR 105.405	X	Failure to ensure proper format and content of the Facility Security Plan (FSP).	\$1,000.00	\$2,500.00	\$5,000.00	\$25,000.00
33 CFR 105.410	X	Failure to submit a completed Facility Security Plan (FSP).	\$10,000.00	*	*	\$25,000.00
33 CFR 105.415	X	Failure to comply with Facility Security Plan (FSP) amendment or audit procedures.	\$1,500.00	\$3,000.00	\$6,000.00	\$25,000.00
33 CFR 106.115	X	Failure to provide compliance documentation at the Outer Continental Shelf (OCS) facility.	\$1,000.00	\$3,000.00	\$5,000.00	\$25,000.00
33 CFR 106.120	X	Failure of Outer Continental Shelf (OCS) facility owner or operator to notify cognizant District Commander of temporary deviations from 33 CFR Part 106.	\$1,000.00	\$3,000.00	\$5,000.00	\$25,000.00
33 CFR 106.200	X	Failure of Outer Continental Shelf (OCS) facility owner or operator to ensure OSC facility operates in compliance with security requirements.	\$1,500.00	\$3,000.00	\$7,500.00	\$25,000.00
33 CFR 106.220	X	Failure of Outer Continental Shelf (OCS) facility personnel to receive security training.	\$1,500.00	\$3,000.00	\$6,000.00	\$25,000.00
33 CFR 106.225(b)	X	Failure of Outer Continental Shelf (OCS) facility owner or operator to conduct security drills.	\$1,500.00	\$5,000.00	\$10,000.00	\$25,000.00
33 CFR 106.225(c)	X	Failure of Outer Continental Shelf (OCS) facility owner or operator to conduct security exercises.	\$3,000.00	\$6,000.00	\$10,000.00	\$25,000.00
33 CFR 106.230	X	Failure of Outer Continental Shelf (OCS) facility owner or operator to keep records and make available to Coast Guard upon request.	\$1,500.00	\$2,500.00	\$7,500.00	\$25,000.00

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<u>Cite</u>	<u>SSI</u>	<u>Description</u>	<u>Proposed Penalty Amount</u>			<u>Maximum Penalty Amount</u>
			<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 106.250	X	Failure of an Outer Continental Shelf (OCS) facility owner or operator to complete Declaration of Security (DOS).	\$1,500.00	\$3,500.00	\$7,500.00	\$25,000.00
33 CFR 106.255(a)	X	Failure to provide security systems and equipment at Outer Continental Shelf (OCS) facility in good working order (inspected, tested, calibrated, and maintained).	\$3,000.00	\$6,000.00	\$10,000.00	\$25,000.00
33 CFR 106.255(c)	X	Failure to provide procedures in Facility Security Plan (FSP) for identifying and responding to security system and equipment failures or malfunctions.	\$1,000.00	\$2,500.00	\$5,000.00	\$25,000.00
33 CFR 106.260(a)	X	Failure of Outer Continental Shelf (OCS) facility owner or operator to ensure implementation of security measures for access control.	\$3,000.00	\$6,000.00	\$10,000.00	\$25,000.00
33 CFR 106.260(c)	X	Failure of Outer Continental Shelf (OCS) facility owner or operator to establish an identification system for personnel seeking access to OCS facility.	\$3,000.00	\$6,000.00	\$10,000.00	\$25,000.00
33 CFR 106.260(e)	X	Failure of Outer Continental Shelf (OCS) facility owner or operator to be in compliance with security requirements for MARSEC Level 1.	\$3,000.00	\$6,000.00	\$10,000.00	\$25,000.00
33 CFR 106.260(f)	X	Failure of Outer Continental Shelf (OCS) facility owner or operator to be in compliance with security requirements for MARSEC Level 2.	\$3,000.00	\$6,000.00	\$10,000.00	\$25,000.00
33 CFR 106.260(g)	X	Failure of Outer Continental Shelf (OCS) facility owner or operator to be in compliance with security requirements for MARSEC Level 3.	\$3,000.00	\$6,000.00	\$10,000.00	\$25,000.00
33 CFR 106.265(b)	X	Failure of Outer Continental Shelf (OCS) facility owner or operator to designate restricted areas within the OCS facility.	\$1,500.00	\$2,500.00	\$7,500.00	\$25,000.00
33 CFR 106.265(c)	X	Failure of Outer Continental Shelf (OCS) facility owner or operator to implement security measures for restricted areas.	\$1,500.00	\$2,500.00	\$7,500.00	\$25,000.00
33 CFR 106.265(d)	X	Failure of Outer Continental Shelf (OCS) facility owner or operator to be in compliance with security requirements for restricted areas for MARSEC Level 1.	\$3,000.00	\$6,000.00	\$10,000.00	\$25,000.00
33 CFR 106.265(e)	X	Failure of Outer Continental Shelf (OCS) facility owner or operator to be in compliance with security requirements for restricted areas for MARSEC Level 2.	\$3,000.00	\$6,000.00	\$10,000.00	\$25,000.00
33 CFR 106.265(f)	X	Failure of Outer Continental Shelf (OCS) facility owner or operator to be in compliance with security requirements for restricted areas for MARSEC Level 3.	\$3,000.00	\$6,000.00	\$10,000.00	\$25,000.00
33 CFR 106.270	X	Failure of Outer Continental Shelf (OCS) facility owner or operator to ensure implementation of security measures for delivery stores or industrial supplies at OCS facility.	\$3,000.00	\$6,000.00	\$10,000.00	\$25,000.00
33 CFR 106.275	X	Failure of Outer Continental Shelf (OCS) facility owner or operator to ensure implementation of security measures for monitoring as specified in the Facility Security Plan (FSP).	\$3,000.00	\$6,000.00	\$10,000.00	\$25,000.00

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33 CFR 106.305	X	Failure of Outer Continental Shelf (OCS) facility owner or operator to conduct a Facility Security Assessment (FSA).	\$10,000.00	*	*	\$25,000.00
33 CFR 106.310	X	Failure to submit a completed Outer Continental Shelf (OCS) Facility Security Assessment (FSA) report.	\$10,000.00	*	*	\$25,000.00
33 CFR 106.400	X	Failure of Outer Continental Shelf (OCS) facility owner or operator to develop and implement a Facility Security Plan (FSP).	\$5,000.00	\$10,000.00	*	\$25,000.00
33 CFR 106.405	X	Failure of Outer Continental Shelf (OCS) facility owner or operator to ensure proper format and content of the Facility Security Plan (FSP).	\$1,000.00	\$2,500.00	\$5,000.00	\$25,000.00
33 CFR 106.410	X	Failure to submit a completed Outer Continental Shelf (OCS) Facility Security Plan (FSP).	\$10,000.00	*	*	\$25,000.00
33 CFR 106.415(b)	X	Failure of Outer Continental Shelf (OCS) facility owner or operator to complete an annual audit of the Facility Security Plan (FSP).	\$1,500.00	\$3,000.00	\$6,000.00	\$25,000.00
33 CFR 110.1(a)		Failure to comply with Special Anchorage Area regulations prescribed in 33 CFR 110.5 through 110.129(a).	\$50.00	\$75.00	\$100.00	\$110.00
33 CFR 110.1(b)		Failure to comply with the Anchorage Ground regulations prescribed in 33 CFR 110.130 through 110.150 and 33 CFR 110.156 through 110.255.	\$50.00	\$75.00	\$100.00	\$110.00
33 CFR 110.155		Failure to comply with the Port of New York Anchorage Ground regulations as prescribed in 33 CFR 110.155.	\$50.00	\$75.00	\$100.00	\$32,500.00
33 CFR 110.157(b)(1)		No vessel may anchor in Delaware Bay and River in designated area, outside of the anchorage areas established by this section.	\$50.00	\$75.00	\$100.00	\$110.00
33 CFR 120.220		Failure to report an unlawful act and related activities both to the COTP and the local FBI office or the DHS Response Center hotline.	\$1,000.00	\$2,500.00	\$5,000.00	\$25,000.00
33 CFR 126.13(b)		Failure to be properly designated as a waterfront facility prior to handling, storing, discharging or transporting dangerous cargo.	\$500.00	\$1,500.00	\$3,000.00	\$32,500.00
33 CFR 126.15(a)		Failure to provide guards to assure adequate surveillance, prevent unlawful entrance, or detect fire hazards.	\$500.00	\$1,500.00	\$3,000.00	\$32,500.00
33 CFR 126.15(b)		Failure to post No Smoking signs conspicuously or failure to prohibit smoking except in permitted areas on a designated waterfront facility.	\$500.00	\$1,500.00	\$3,000.00	\$32,500.00
33 CFR 126.15(c)		Failure to obtain COTP approval prior to welding or hot works in the presence of dangerous cargo.	\$500.00	\$1,500.00	\$3,000.00	\$32,500.00
33 CFR 126.15(d)		Failure to comply with the requirements for trucks and other motor vehicles upon the waterfront facility.	\$500.00	\$1,500.00	\$3,000.00	\$32,500.00

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			<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 126.15(e)		Failure to properly maintain and equip pier automotive equipment.	\$500.00	\$1,500.00	\$3,000.00	\$32,500.00
33 CFR 126.15(f)		Failure to maintain facility free of rubbish and waste materials.	\$500.00	\$1,500.00	\$3,000.00	\$32,500.00
33 CFR 126.15(g)		Failure to properly maintain maintenance stores and supplies.	\$500.00	\$1,500.00	\$3,000.00	\$32,500.00
33 CFR 126.15(h)		Failure to properly maintain or install electrical wiring and equipment in accordance with accepted safe practices and codes.	\$500.00	\$1,500.00	\$3,000.00	\$32,500.00
33 CFR 126.15(i)		Failure to properly maintain heating equipment or to prohibit open fires.	\$500.00	\$1,500.00	\$3,000.00	\$32,500.00
33 CFR 126.15(j)		Failure to properly maintain fire extinguishing equipment or provide adequate equipment.	\$500.00	\$1,500.00	\$3,000.00	\$32,500.00
33 CFR 126.15(k)		Failure to conspicuously mark locations or maintain accessibility to fire appliances.	\$500.00	\$1,500.00	\$3,000.00	\$32,500.00
33 CFR 126.15(l)		Failure to provide adequate facility lighting.	\$500.00	\$1,500.00	\$3,000.00	\$32,500.00
33 CFR 126.15(m)		Failure to properly arrange and store cargo, freight, merchandise or material.	\$500.00	\$1,500.00	\$3,000.00	\$32,500.00
33 CFR 126.16		Failure to meet conditions for a facility of particular hazard.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 126.17		Failure to have Captain of the Port permit to handle, load, discharge, or transport designated dangerous cargo.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 126.21(b)		Failure to comply with the requirement that no amount of non-U.S. military designated dangerous cargo in excess of the maximum quantity established may be present on waterfront facility or vessel moored thereto.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 126.21(c)		Failure to comply with the requirement that designated dangerous cargo brought onto facility must be laden and remain in railroad car or highway vehicle unless removed for transshipment.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 126.21(d)		Failure to obtain authorization from the COTP to have another dangerous cargo present on waterfront facility during designated dangerous cargo transactions.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 126.25		Failure to obtain a valid permit for handling, loading, discharging, or transporting any dangerous cargo.	\$500.00	\$1,500.00	\$3,000.00	\$32,500.00
33 CFR 126.27		Failure to comply with general permit for handling dangerous cargo.	\$500.00	\$1,500.00	\$3,000.00	\$32,500.00
33 CFR 126.28(a)(1)		Failure to mark all outside containers with proper shipping name of nitrate packed within the container.	\$500.00	\$1,500.00	\$3,000.00	\$32,500.00
33 CFR 126.28(a)(2)		Failure to provide adequate ventilation in waterfront facility used to store specified materials.	\$500.00	\$1,500.00	\$3,000.00	\$32,500.00
33 CFR 126.28(a)(3)		Failure to maintain safe distance from electric wiring, steam pipes, radiators or any heating mechanism when storing specified materials.	\$500.00	\$1,500.00	\$3,000.00	\$32,500.00

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33 CFR 126.28(a)(4)		Failure to separate specified materials by fire resistant wall or by distance of at least 30 feet from other specified materials.	\$500.00	\$1,500.00	\$3,000.00	\$32,500.00
33 CFR 126.28(a)(5)		Failure to store specified materials in clean area upon clean wood dunnage, or pallets over clean floor.	\$500.00	\$1,500.00	\$3,000.00	\$32,500.00
33 CFR 126.28(a)(6)		Failure to promptly, thoroughly clean up and remove spilled material from waterfront facility.	\$500.00	\$1,500.00	\$3,000.00	\$32,500.00
33 CFR 126.28(a)(7)		Failure to have an abundance of water readily available for firefighting.	\$500.00	\$1,500.00	\$3,000.00	\$32,500.00
33 CFR 126.28(a)(8)		Failure to plug/eliminate open drains, traps, pits or pockets which can be filled with molten ammonium nitrate if a fire occurs.	\$500.00	\$1,500.00	\$3,000.00	\$32,500.00
33 CFR 126.29(a)		Failure to comply with Captain of the Port directions, instructions, and orders for the control of dangerous cargoes at anchorage.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 126.29(b)		Failure to report the discharge of dangerous liquid commodities which may create a hazard or toxic condition in the port area.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 126.31		Failure to comply with a termination or suspension order of a general permit.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 126.33		Failure to comply with 33 CFR 126.27 or any other circumstances not covered by the General Permit.	\$500.00	\$1,500.00	\$3,000.00	\$32,500.00
33 CFR 127.007		Failure to submit a letter of intent as required in paragraphs (a) through (c) and that meets paragraph (d) of this section.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 127.205		Failure to have an emergency shutdown for the transfer system that can be activated manually or automatically.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 127.303		Failure to comply with an order to suspend LNG transfer operations.	\$2,500.00	\$5,000.00	\$10,000.00	\$32,500.00
33 CFR 127.309		Failure to conduct LNG transfer operations with, or in accordance with, an examined Operations and/or Emergency Manual.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 127.321		Failure to take required action upon the release of LNG.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 127.613		Failure to prevent smoking in the presence of LNG.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 127.617		Failure to obtain a COTP permit prior to welding or hot work.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 127.703		Failure of operator to ensure limited access to the marine transfer area for LNG to specified personnel.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 127.1203(a)		Failure to comply with the gas detection requirements for waterfront facilities that transfer flammable LHG.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00

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33 CFR 127.1203(b)		Failure to provide the proper equipment for gas detection.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 127.1205		Failure to comply with the requirements of paragraphs (a)-(c) for emergency shutdowns for waterfront facilities handling LHG.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 127.1207		Failure to comply with the requirements of paragraphs (a)-(c) for warning alarms for waterfront facilities handling LHG.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 127.1301		Failure to comply with qualifications and certification requirements for Person in Charge (PIC) of transfers.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 127.1302(a)		Failure to ensure that each person assigned to act as a PIC of transfers for the facility has receive the required training.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 127.1302(b)		Failure to ensure that PICs of transfers for the facility has received refresher training at least every 5 years.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 127.1302(c)		Failure to maintain required training records for each PIC trained.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 127.1305		Failure of Operations Manual, for waterfront facilities handling Liquefied Hazardous Gas (LHG), to meet the requirements of paragraphs (a)-(h).	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 127.1307		Failure of Emergency Manual, for waterfront facilities handling Liquefied Hazardous Gas (LHG), to meet the requirements of paragraphs (a)(1)-(a)(9).	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 127.1309(a)		Failure to conduct LHG transfer operations with an examined Operations Manual and an examined Emergency Manual.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 127.1309(b)		Failure to conduct LHG transfer in accordance with the examined Operations Manual.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 127.1309(c)		Failure to conduct LHG emergency response in accordance with the examined Emergency Manual.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 127.1317		Failure to ensure the proper execution and signature of a Declaration of Inspection as required by paragraphs (a) - (e).	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 127.1319(a)		Failure to notify the COTP of the time and place of each transfer of LHG in bulk at least 4 hours before transfer begins.	\$500.00	\$1,500.00	\$3,000.00	\$32,500.00
33 CFR 127.1319(b)		Failure to ensure paragraphs (b)(1)-(b)(4) during the transfer of LHG.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 127.1319(c)		Failure to ensure paragraphs (c)(1)-(c)(4) during the transfer of LHG.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 127.1319(d)		Failure to ensure that hoses and loading arms used for the transfer of LHG are drained and depressurized before disconnecting from the vessel.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 127.1325		Failure to ensure proper personnel access controls for waterfront facilities handling LHG.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00

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33 CFR 127.1407		Failure to ensure the testing requirements of paragraphs (a)-(e) for waterfront facilities handling LHG.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 127.1409		Failure to keep records for waterfront facilities handling LHG as required under paragraphs (a)-(b).	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 127.1601		Failure to ensure that no person smokes in the marine transfer area for LHG.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 127.1603		Failure to ensure that no person conducts welding, torch cutting, or any other hotwork on the LHG facility without COTP issued hotwork permit.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 127.1605		Failure to ensure that other sources of ignition are kept clear of the marine transfer area for LHG facilities.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 128.200		Failure of operator of a passenger terminal to implement a security program required under 33 CFR Part 128.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 138.65		Failure to have a valid Certificate of Financial Responsibility aboard.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
33 CFR 140.101(f)		Failure to ensure that Outer Continental Shelf (OCS) facility is initially inspected by CG marine inspectors.	\$500.00	\$1,500.00	\$3,000.00	\$30,000.00
33 CFR 140.103		Failure to ensure that Outer Continental Shelf (OCS) facility is inspected in intervals not to exceed 12 months.	\$500.00	\$1,500.00	\$3,000.00	\$30,000.00
33 CFR 142.45		Failure to wear required personal flotation device.	\$500.00	\$1,500.00	\$3,000.00	\$30,000.00
33 CFR 143.207		Failure of a foreign documented Mobile Offshore Drilling Unit (MODU) to comply with applicable design and equipment standards.	\$500.00	\$1,500.00	\$3,000.00	\$30,000.00
33 CFR 143.210		Failure of a Mobile Offshore Drilling Unit (MODU) to obtain a Letter of Compliance requirements.	\$500.00	\$1,500.00	\$3,000.00	\$30,000.00
33 CFR 144.01-1		Failure of a manned platform to be provided with at least two (2) approved life floats.	\$500.00	\$1,500.00	\$3,000.00	\$30,000.00
33 CFR 144.01-10		Failure to equip life float with equipment specified in 33 CFR 144.01-10.	\$500.00	\$1,500.00	\$3,000.00	\$30,000.00
33 CFR 146.30(a)		Failure to provide notice of a casualty involving a death or injury to 5 or more persons in a single incident by the most rapid means possible.	\$5,000.00	\$10,000.00	*	\$0.00
33 CFR 146.30(b)		Failure to promptly notify the Coast Guard of a casualty involving any items in (b)(1) thru (b)(4).	\$5,000.00	\$10,000.00	*	\$0.00
33 CFR 146.35		Failure to submit to Officer in Charge, Marine Inspection written report within 10 days of casualty.	\$1,000.00	\$2,500.00	\$5,000.00	\$0.00

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For 33 CFR 104, 105 and 106, Proposed Penalty Amounts shall be multiplied by **1.5** and **2** for violations that occur during MARSEC Levels 2 and 3, respectively

<u>Cite</u>	<u>SSI</u>	<u>Description</u>	<u>Proposed Penalty Amount</u>			<u>Maximum Penalty Amount</u>
			<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 146.105		Failure to ensure manned facility has a general alarm system, which when operated is audible in all parts of the structure on which provided.	\$500.00	\$1,500.00	\$3,000.00	\$30,000.00
33 CFR 146.125		Failure to ensure emergency drills are conducted in accordance with 33 CFR 146.125(c).	\$500.00	\$1,500.00	\$3,000.00	\$30,000.00
33 CFR 146.140(a)		Failure to develop an Emergency Evacuation Plan (EEP) which addresses all the items of paragraph (d).	\$500.00	\$1,500.00	\$3,000.00	\$30,000.00
33 CFR 146.140(e)(1)		Failure to ensure all equipment specified in the Evacuation Plan (EEP) is made available and located as indicated in the EEP.	\$500.00	\$1,500.00	\$3,000.00	\$30,000.00
33 CFR 150.333		Failure to provide notice of arrival at least 24 hours before entering a deepwater port.	\$500.00	\$1,500.00	\$3,000.00	\$32,500.00
33 CFR 150.339		Failure of vessel owner or operator to obtain clearance from Vessel Traffic Supervisor before entering safety zone of a deepwater port.	\$500.00	\$1,500.00	\$3,000.00	\$32,500.00
33 CFR 151.04(b)		Providing a false, fictitious statement or fraudulent representation when a statement or representation is required to be made to the Coast Guard.	\$1,000.00	\$2,000.00	\$4,000.00	\$6,500.00
33 CFR 151.10		Discharge of oil or oily mixtures into the sea when more than 12 nautical miles from the nearest land.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 151.13		Discharge of oil or oily mixtures into special areas for Annex I of MARPOL 73/78.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 151.15		Failure to report a discharge or probability of a discharge.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 151.19		Failure to have on board a valid International Oil Pollution Prevention (IOPP) Certificate.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 151.21		Failure to have on board valid documentation showing that the ship has been surveyed in accordance and complies with MARPOL 73/78.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 151.25		Failure to properly maintain Oil Record Book.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 151.26		Failure to have approved shipboard oil pollution emergency plan (SOPEP) on board and/or discrepancies with the content requirements of SOPEP.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 151.27		Failure to have approved shipboard oil pollution emergency plan (SOPEP) on board.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 151.29		Failure of a foreign vessel to carry or meet the requirements of an approved shipboard oil pollution emergency plan (SOPEP).	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 151.33		Failure to obtain proper certificates to carry Noxious Liquid Substances (NLS), Category C.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 151.35		Failure to obtain proper certificates to carry Noxious Liquid Substances (NLS), Category D.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00

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			<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 151.41		Failure to comply with the operating requirements for oceangoing ships with IOPP Certificates: Category C and D Oil-like NLSs.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 151.43		Failure to properly dispose of Noxious Liquid Substance (NLS) residue.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 151.45		Failure to report spill of Noxious Liquid Substance (NLS): Category A, B, C, or D.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 151.53		Discharge of garbage while in a special area.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 151.55		Failure to keep proper records.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 151.57		Failure to have a waste management plan on board or failure to follow the plan.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 151.59		Failure to properly display Annex V Placard.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 151.63(a)		Failure to ensure that all garbage is discharged ashore or in accordance with 33 CFR 151.66 - 151.73.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 151.63(c)		Failure to ensure that garbage is deposited into a port or terminal's reception facility.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 151.65		Failure to notify the port or terminal, at least 24 hours before arrival, of garbage requiring disposal.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 151.66		Discharge of garbage into the navigable waters of the United States.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 151.67		Person on board ship discharged into the sea, or into the navigable waters of the U.S., plastic or garbage mixed with plastic.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 151.69		Discharge of garbage that is separated from plastic into the sea while operating outside of a special area and less than 25 nautical miles from land for dunnage or 12 nautical miles from land for all other garbage types.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 151.71		Discharge of garbage within a special area.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 151.73		Discharge of garbage from a fixed or floating platform or a ship within 500 meters of such platforms.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 151.75		Use of a grinder or comminuter that does not properly process garbage.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 151.1009		Transportation of municipal or commercial waste in coastal waters without a permit or displaying number.	\$1,000.00	\$3,000.00	\$6,000.00	\$11,000.00
33 CFR 151.1024		Failure to properly display the vessel number stated on the conditional permit.	\$1,000.00	\$3,000.00	\$6,000.00	\$11,000.00
33 CFR 151.1510(a)		Failure to employ one of the mandatory BWM practices required for entrance into Snell Lock at Massena, NY or the Hudson River, N. of the George Washington Bridge, after operating beyond the EEZ.	\$1,000.00	\$3,000.00	\$6,000.00	\$27,500.00

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33 CFR 151.1510(b)		Discharged sediments into the Great Lakes or Hudson River, N. of the George Washington Bridge, and/or not in accordance with local requirements.	\$1,000.00	\$3,000.00	\$6,000.00	\$27,500.00
33 CFR 151.1514		Failure to employ an alternative BWM method or conduct Ballast water exchange within an area and time agreed to by the COTP.	\$1,000.00	\$3,000.00	\$6,000.00	\$27,500.00
33 CFR 151.1516(a)		Failure to provide accurate and signed compliance monitoring information to the COTP as required for vessels equipped with ballast tanks entering the Snell Lock at Massena, NY or the Hudson River, N. of the George Washington Bridge.	\$1,000.00	\$3,000.00	\$6,000.00	\$27,500.00
33 CFR 151.1516(b)		Failure to allow the COTP to take ballast water samples to assess compliance with the Great Lakes and Hudson River requirements.	\$1,000.00	\$3,000.00	\$6,000.00	\$27,500.00
33 CFR 151.2035(a)(3)		Failure to clean ballast tanks regularly to remove sediment, in mid-ocean or under controlled arrangements in port, or at dry dock, and/or dispose of the sediments in accordance with local, State, and Federal regulations.	\$500.00	\$1,000.00	\$2,500.00	\$27,500.00
33 CFR 151.2035(a)(4)		Failure to discharge only the minimal amount of ballast water essential for vessel operations while in the waters of the United States.	\$500.00	\$1,000.00	\$2,500.00	\$27,500.00
33 CFR 151.2035(a)(5)		Failure to rinse anchors and anchor chains when retrieving the anchor, to remove organisms and sediments at their place of origin.	\$500.00	\$1,000.00	\$2,500.00	\$27,500.00
33 CFR 151.2035(a)(6)		Failure to remove fouling organisms from hull, piping, and tanks on a regular basis and/or dispose of any removed substances in accordance with local, State and Federal regulations.	\$500.00	\$1,000.00	\$2,500.00	\$27,500.00
33 CFR 151.2035(a)(7)		Failure to maintain a BWM plan developed specifically for the vessel for understanding and following the vessel's BWM strategy.	\$1,000.00	\$3,000.00	\$6,000.00	\$27,500.00
33 CFR 151.2035(b)		Failure to employ one of the additional mandatory BWM practices required by vessels that carry ballast water taken on in areas less than 200 NM from any shore and operate beyond the EEZ.	\$500.00	\$1,000.00	\$2,500.00	\$27,500.00
33 CFR 151.2037		Failure to discharge only the amount of ballast water that is operationally necessary and/or make BWM records readily available when the vessel cannot practicably meet the requirements of 151.2035.	\$500.00	\$1,000.00	\$2,500.00	\$27,500.00
33 CFR 151.2041(b)(1)		Failure to fax information required by 151.2045, or the ballast water section of a "Pre-entry Information from Foreign Flagged Vessels Form," to the USCG Massena Detachment or the SLSDC at least 24 hrs before arrival in Montreal, Quebec.	\$1,000.00	\$3,000.00	\$6,000.00	\$27,500.00
33 CFR 151.2041(b)(2)		Failure to fax the BWM information required by 151.2045 to the COTP New York at least 24 hours before entering New York, New York.	\$1,000.00	\$3,000.00	\$6,000.00	\$27,500.00
33 CFR 151.2041(b)(3)		Failure to provide the information required by 151.2045 to the NBIC at least 24 hours before arrival at a U.S. port or place, or before departure if the voyage is less than 24 hours.	\$1,000.00	\$3,000.00	\$6,000.00	\$27,500.00

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			<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 151.2045(a)		Failure to keep accurate and signed BWM records, that include all the information listed in 151.2045(a), on board for two years.	\$1,000.00	\$3,000.00	\$6,000.00	\$27,500.00
33 CFR 153.305		Failure to follow prescribed methods and procedures for the removal of discharged oil.	\$1,000.00	\$2,500.00	\$5,000.00	\$11,000.00
33 CFR 154.110		Failure to submit a letter of intent.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 154.120		Failure to allow Coast Guard examination or to perform testing to determine compliance with the regulations.	\$1,500.00	\$3,000.00	\$6,000.00	\$11,000.00
33 CFR 154.300		Operating manual not readily available to person in charge.	\$1,500.00	\$3,000.00	\$6,000.00	\$11,000.00
33 CFR 154.310		Operating manual not complete.	\$500.00	\$1,500.00	\$3,000.00	\$11,000.00
33 CFR 154.320		Failure to amend operations manual.	\$500.00	\$1,500.00	\$3,000.00	\$11,000.00
33 CFR 154.325		Failure to ensure operations manual has been examined by the Coast Guard prior to conducting transfer operations.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 154.500		Failure to meet requirements for hose assemblies used for transferring oil.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 154.510		Failure to meet requirements for loading arms used for transferring oil.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 154.520		Failure to properly blank off the transfer hose or loading arm.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 154.525		Failure to provide monitoring devices as required by the COTP.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 154.530		Failure to provide adequate small discharge containment.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 154.540		Failure to provide adequate means to safely and quickly remove discharged oil from the containment.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 154.545		Failure to make discharge containment equipment/material readily accessible.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 154.550		Failure to provide a means for emergency shutdown by Person in Charge (PIC).	\$1,500.00	\$3,000.00	\$6,000.00	\$11,000.00
33 CFR 154.560		Inadequate means of communication between Persons in Charge (PICs) of transfer operations.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 154.570		Inadequate lighting for transfer operations.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 154.710		Failure to properly designate a Person in Charge (PIC) of transfer operations.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 154.730		Failure to provide evidence of designation for the Person in Charge (PIC).	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 154.735		Failure to ensure safety requirements required under 33 CFR 154.735 are met at the facility (fire prevention & protection).	\$1,500.00	\$3,000.00	\$6,000.00	\$11,000.00
33 CFR 154.740		Failure to maintain and make available required records.	\$500.00	\$1,500.00	\$3,000.00	\$11,000.00

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33 CFR 154.750		Failure to comply with operations manual.	\$1,500.00	\$3,000.00	\$6,000.00	\$11,000.00
33 CFR 154.804		Failure to certify a vapor control system.	\$1,500.00	\$3,000.00	\$6,000.00	\$11,000.00
33 CFR 154.810		Improper vapor line connections.	\$1,500.00	\$3,000.00	\$6,000.00	\$11,000.00
33 CFR 154.812		Failure to provide liquid overfill protection.	\$1,500.00	\$3,000.00	\$6,000.00	\$11,000.00
33 CFR 154.814		Failure to meet requirements for vapor overpressure and vacuum protection.	\$1,500.00	\$3,000.00	\$6,000.00	\$11,000.00
33 CFR 154.820		Failure to meet requirements for fire, explosion and detonation protection.	\$1,500.00	\$3,000.00	\$6,000.00	\$11,000.00
33 CFR 154.822		Failure to meet requirements for detonation arresters, flame arresters, and flame screens.	\$1,500.00	\$3,000.00	\$6,000.00	\$11,000.00
33 CFR 154.824		Failure to meet requirements for inerting, enriching and diluting systems.	\$1,500.00	\$3,000.00	\$6,000.00	\$11,000.00
33 CFR 154.826		Failure to meet requirements for vapor compressors and blowers.	\$1,500.00	\$3,000.00	\$6,000.00	\$11,000.00
33 CFR 154.828		Failure to meet requirements for vapor recovery and vapor destruction units.	\$1,500.00	\$3,000.00	\$6,000.00	\$11,000.00
33 CFR 154.840		Failure of person in charge of a transfer operation to have completed a training program.	\$1,500.00	\$3,000.00	\$6,000.00	\$11,000.00
33 CFR 154.850		Failure to comply with operational requirements by a facility receiving vapors.	\$1,500.00	\$3,000.00	\$6,000.00	\$11,000.00
33 CFR 154.1017		Facility response plan not prepared and submitted to COTP.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 154.1025		Handling, storing or transporting oil without submitting response plan.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 154.1026		Failure to identify a qualified individual and alternate that meet the requirements of this section.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 154.1028		Failure to ensure the availability of response resources by contract or other approved means.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 154.1030		Failure to ensure the response plan contains the required information - written in English, training procedures, notification procedures.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 154.1035		Failure to include specific information in response plan for facilities that could be expected to cause significant harm to the environment.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 154.1040		Failure of facility that could cause substantial harm to the environment to comply with requirements for response plans.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 154.1041		Failure of a mobile Marine Transportation-Related (MTR) facility to maintain specific response information while performing transfer operations.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 154.1045		Failure to use criteria to evaluate response resources identified in response plan of facilities that handle, store, or transport Group I-IV oils.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00

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33 CFR 154.1050		Training to be provided must be identified in the response plan & training records maintained for 3 yrs and made available upon request.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 154.1055(a)		Failure to provide an exercise program containing announced/unannounced exercises as per exercise requirements for facilities.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 154.1055(d)		Failure to ensure that adequate records of exercises were maintained at the facility for 3 years.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 154.1057		Failure to ensure that all inspection and maintenance is documented and maintained for 3 years.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 154.1060		Failure to submit a copy of a facility response plan meeting the requirements of this subpart to the COTP for initial review and approval.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 154.1065		Failure to comply with facility response plan revision and amendment procedures.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 155.205		Failure of an oil tanker or offshore oil barge of 400 ft or more in length to carry appropriate equipment to contain and remove on-deck oil spills of at least 12 barrels.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 155.210		Failure of an oil tanker or offshore oil barge less than 400 ft in length to carry appropriate equipment to contain and remove on-deck oil spills of at least 7 barrels.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 155.215		Failure of an inland oil barge to have required equipment ready during cargo transfer operations to control and remove on-deck oil cargo spills of one barrel.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 155.220		Failure of a vessel carrying oil as secondary cargo to carry appropriate equipment to contain and remove on deck oil cargo spills of one-half bbl.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 155.225		Failure to carry required equipment for internal transfer of cargo.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 155.230		Failure of an offshore oil barge and associated tugs to carry an emergency tow wire or tow line ready for use with same tow characteristics as the primary tow wire or tow line.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 155.310		Failure to provide adequate cargo oil discharge containment.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 155.320		Failure to provide adequate fuel oil or bulk lubricating oil discharge containment.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 155.330		Failure to provide adequate capacity to retain on board all oily mixtures.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 155.350		Failure to provide operable oily water separating equipment when there is inadequate capacity to retain on board all oily mixtures.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 155.360		Failure to provide adequate oily water separating equipment on oceangoing ships of at least 400 but less than 10,000 GTs.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00

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			<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 155.370		Failure to provide adequate oily water separating equipment on oceangoing ships 10,000 GTs and above, or oceangoing ships 400 GTs and above that carry ballast water in their fuel tanks.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 155.380		Failure to have approved oily-water separating equipment, bilge alarm or bilge monitor.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 155.400		Failure to provide oil-water separating equipment on a fixed or floating drilling rig or other platform.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 155.410		Failure to comply with oily mixture discharge requirements for non-oceangoing vessels 100 GT or more.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 155.420		Failure to comply with oily mixture discharge requirements for oceangoing vessels of at least 100 but less than 400 GT.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 155.430		Failure to provide standard discharge shore connection on vessels 400 GT or more.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 155.440		Failure to properly segregate fuel oil and ballast water.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 155.450		Failure of a ship 26 ft or more in length to display a "Discharge of Oil Prohibited" placard.	\$75.00	\$375.00	\$1,000.00	\$11,000.00
33 CFR 155.470		Carrying oil or hazmat in a prohibited space.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 155.480		Failure to maintain overfill device as required by this section.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 155.700		Failure to designate person in charge of oil transfer operation.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 155.710		Failure to ensure PICs have required qualifications.	\$1,500.00	\$3,000.00	\$6,000.00	\$11,000.00
33 CFR 155.720		Failure to provide oil or hazmat transfer procedures.	\$1,500.00	\$3,000.00	\$6,000.00	\$11,000.00
33 CFR 155.730		Failure to comply with transfer procedures.	\$1,500.00	\$3,000.00	\$6,000.00	\$11,000.00
33 CFR 155.740		Failure to properly post or make available oil or hazmat transfer procedures.	\$1,500.00	\$3,000.00	\$6,000.00	\$11,000.00
33 CFR 155.750		Failure to provide complete oil or hazmat transfer procedures.	\$500.00	\$1,500.00	\$3,000.00	\$11,000.00
33 CFR 155.760		Failure to amend oil or hazmat transfer procedures.	\$500.00	\$1,500.00	\$3,000.00	\$11,000.00
33 CFR 155.770		Intentional draining of oil or hazardous material from any source into the bilge of any vessel.	\$500.00	\$1,500.00	\$3,000.00	\$11,000.00
33 CFR 155.780		Failure to provide an emergency shutdown for oil or hazmat transfers.	\$1,500.00	\$3,000.00	\$6,000.00	\$11,000.00
33 CFR 155.785		Failure to provide adequate means of communication during oil or hazmat transfer.	\$1,500.00	\$3,000.00	\$6,000.00	\$11,000.00
33 CFR 155.790		Failure to provide adequate vessel deck lighting during oil or hazmat transfer.	\$1,500.00	\$3,000.00	\$6,000.00	\$11,000.00
33 CFR 155.800		Failure to provide required oil or hazmat transfer hose.	\$1,500.00	\$3,000.00	\$6,000.00	\$11,000.00

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33 CFR 155.805		Failure to blank off hoses not connected for the transfer of oil or hazmat.	\$500.00	\$1,500.00	\$3,000.00	\$11,000.00
33 CFR 155.810		Failure to provide required security for tank vessel.	\$1,500.00	\$3,000.00	\$6,000.00	\$11,000.00
33 CFR 155.815		Failure to close any tank vessel openings while underway or at anchor.	\$500.00	\$1,500.00	\$3,000.00	\$11,000.00
33 CFR 155.820		Failure to maintain or make available required records.	\$500.00	\$1,500.00	\$3,000.00	\$11,000.00
33 CFR 155.1025		Failure to comply with operating restrictions or to obtain an interim operating authorization.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 155.1030		Failure to comply with general response plan requirements.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 155.1040		Failure to comply with the response plan requirements for unmanned tank barges carrying oil as a primary cargo.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 155.1050		Failure to comply with the requirements for vessels carrying groups I-IV petroleum oil as a primary cargo.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 155.1060		Failure to comply with the requirements for conducting exercises in accordance with the vessel's approved response plan.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 155.1125		Failure to comply with additional response plan requirements for Prince William Sound.	\$750.00	\$2,250.00	\$4,500.00	\$11,000.00
33 CFR 156.113		Failure to comply with suspension order.	\$1,500.00	\$3,000.00	\$6,000.00	\$11,000.00
33 CFR 156.115		Serving as person in charge of more than one ongoing transfer operation.	\$1,500.00	\$3,000.00	\$6,000.00	\$11,000.00
33 CFR 156.118		Failure to provide advance notice of oil transfer.	\$1,500.00	\$3,000.00	\$6,000.00	\$11,000.00
33 CFR 156.120		Failure to comply with requirements for oil transfer.	\$1,500.00	\$3,000.00	\$6,000.00	\$11,000.00
33 CFR 156.125		Failure to stop transfer after oil discharge.	\$1,500.00	\$3,000.00	\$6,000.00	\$11,000.00
33 CFR 156.130		Failure to provide proper oil transfer connections.	\$1,500.00	\$3,000.00	\$6,000.00	\$11,000.00
33 CFR 156.150		Failure to properly complete a declaration of inspection (DOI).	\$1,500.00	\$3,000.00	\$6,000.00	\$11,000.00
33 CFR 156.160		Failure of the person in charge to properly supervise an oil transfer.	\$1,500.00	\$3,000.00	\$6,000.00	\$11,000.00
33 CFR 156.170(a)		Failure to properly test or inspect equipment prior to oil transfer operations.	\$1,500.00	\$3,000.00	\$6,000.00	\$11,000.00
33 CFR 156.170(b)		Failure to make entire external surface of hose accessible during test or inspection.	\$1,500.00	\$3,000.00	\$6,000.00	\$11,000.00
33 CFR 156.170(c)(1)(i)		Use of nonmetallic oil transfer hose with unrepaired loose covers, kinks, bulges, soft spot or any other defect which would permit discharge.	\$1,500.00	\$3,000.00	\$6,000.00	\$11,000.00
33 CFR 156.170(c)(1)(ii)		Use of nonmetallic oil transfer hose with external deterioration and or internal deterioration.	\$1,500.00	\$3,000.00	\$6,000.00	\$11,000.00

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33 CFR 156.170(c)(2)		Failure of transfer system relief valve to open at or below pressure at which it is set to open.	\$1,500.00	\$3,000.00	\$6,000.00	\$11,000.00
33 CFR 156.170(c)(3)		Failure of pressure gauge to show pressure within 10% of actual pressure.	\$1,500.00	\$3,000.00	\$6,000.00	\$11,000.00
33 CFR 156.170(c)(4)		Failure of loading arm and or oil transfer pipe system (leakage) under static liquid pressure at least 1.5x max allowable working pressure.	\$1,500.00	\$3,000.00	\$6,000.00	\$11,000.00
33 CFR 156.170(c)(5)		Failure of remote operating or indicating equipment (ex: remote valve, tank level alarm, emergency shutdown device) to perform its intended function.	\$1,500.00	\$3,000.00	\$6,000.00	\$11,000.00
33 CFR 156.170(d)		Use of hose in underwater service for oil transfer operations without testing and inspecting in accordance with the regulations.	\$1,500.00	\$3,000.00	\$6,000.00	\$11,000.00
33 CFR 156.170(f)(1)		Failure to have oil transfer equipment inspected and or tested annually (facilities).	\$1,500.00	\$3,000.00	\$6,000.00	\$11,000.00
33 CFR 156.170(f)(2)		Failure to have oil transfer equipment inspected and or tested 30 days prior to first transfer after facility is removed from caretaker status.	\$1,500.00	\$3,000.00	\$6,000.00	\$11,000.00
33 CFR 156.210		Lightering without proper documents or authority.	\$1,500.00	\$3,000.00	\$6,000.00	\$11,000.00
33 CFR 156.215		Failure to provide pre-arrival notice.	\$1,500.00	\$3,000.00	\$6,000.00	\$11,000.00
33 CFR 156.220		Failure to provide notice of emergency incidents.	\$1,500.00	\$3,000.00	\$6,000.00	\$11,000.00
33 CFR 156.225		Failure to conduct lightering operations inside a designated lightering zone.	\$1,500.00	\$3,000.00	\$6,000.00	\$11,000.00
33 CFR 157.23		Failure to provide adequate Cargo and Ballast System Information.	\$750.00	\$1,500.00	\$3,000.00	\$32,500.00
33 CFR 157.24		Failure to submit Calculations, Plans and Specifications	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 157.100		Failure to provide required plans for Crude Oil Washing (COW) systems on U.S. tankers.	\$500.00	\$2,500.00	\$5,000.00	\$32,500.00
33 CFR 157.102		Failure to provide required plans for Crude Oil Washing (COW) systems on foreign tank vessels in U.S. waters.	\$500.00	\$2,500.00	\$5,000.00	\$32,500.00
33 CFR 157.104		Failure to provide a scale model of tanks relating to the Crude Oil Washing (COW) system when plans cannot adequately show the pattern of washing.	\$500.00	\$2,500.00	\$5,000.00	\$32,500.00
33 CFR 157.108		Failure to provide required documents for Crude Oil Washing (COW) manuals for U.S. tank vessels.	\$500.00	\$2,500.00	\$5,000.00	\$32,500.00
33 CFR 157.110		Failure to provide required documents for Crude Oil Washing (COW) manuals for foreign tank vessels.	\$500.00	\$2,500.00	\$5,000.00	\$32,500.00
33 CFR 157.118		Failure to provide required documents for Crude Oil Washing (COW) systems, foreign vessels, while in U.S. waters.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00

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33 CFR 157.130		Failure of tank vessel with a Crude Oil Washing (COW) system to be capable of washing cargo tanks with the grades of crude oil carried.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 157.136		Failure to provide adequate communications between cargo discharge control stations on a tank vessel.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 157.138		Failure to provide a complete Crude Oil Washing (COW) Operations and Equipment Manual.	\$500.00	\$2,500.00	\$5,000.00	\$32,500.00
33 CFR 157.148		Failure to submit Crude Oil Washing (COW) system evidence for inspections.	\$500.00	\$2,500.00	\$5,000.00	\$32,500.00
33 CFR 157.150		Failure to record Crude Oil Washing (COW) information after inspections.	\$500.00	\$2,500.00	\$5,000.00	\$32,500.00
33 CFR 157.152		Failure to ensure that the Person in Charge (PIC) of Crude Oil Washing (COW) operations is fully trained and qualified.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 157.154		Failure to ensure that the assistant Person in Charge (PIC) of Crude Oil Washing (COW) operations is fully trained and qualified.	\$750.00	\$1,500.00	\$3,000.00	\$32,500.00
33 CFR 157.155		Failure to meet the requirements for operation of the Crude Oil Washing (COW) system.	\$3,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 157.156		Failure to follow the procedures listed in the Crude Oil Washing Operations and Equipment Manual.	\$3,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 157.158		Operating a Crude Oil Washing (COW) system with changed characteristics without meeting the requirements of this regulation.	\$3,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 157.160		Failure to meet the requirements for carrying ballast water in a cargo tank.	\$3,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 157.162		Failure to meet the requirements for crude oil washing during a voyage.	\$3,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 157.164		Failure to meet the requirements for inerting each cargo tank before and during washing.	\$3,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 157.166		Failure to ensure hydrocarbon vapors are contained by a means under 157.132 in each tank being ballasted.	\$3,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 157.168		Failure to maintain a Crude Oil Washing (COW) monitor watch on the main deck at all times during COW operations.	\$3,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 157.170		Failure to meet the requirements for removing a deck mounted Crude Oil Washing (COW) machine.	\$3,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 157.172		Carrying a grade of crude oil that cannot be used for crude oil washing.	\$3,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 157.200		Failure to submit or incomplete submission of plans for Dedicated Clean Ballast Tanks on U.S. vessels.	\$500.00	\$2,500.00	\$5,000.00	\$32,500.00

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33 CFR 157.202		Failure to submit or incomplete submission of plans for Dedicated Clean Ballast Tanks on foreign vessels.	\$500.00	\$2,500.00	\$5,000.00	\$32,500.00
33 CFR 157.206		Failure to submit or incomplete submission of manual for Dedicated Clean Ballast Tanks on U.S. vessels.	\$500.00	\$2,500.00	\$5,000.00	\$32,500.00
33 CFR 157.208		Failure to submit or incomplete submission of manual for Dedicated Clean Ballast Tanks on foreign vessels.	\$500.00	\$2,500.00	\$5,000.00	\$32,500.00
33 CFR 157.214		Failure to provide or maintain required documents for Dedicated Clean Ballast Tanks on U.S. vessels.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 157.216		Failure to provide or maintain required documents for Dedicated Clean Ballast Tanks on foreign vessels.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 157.310		Failure to comply with conditions of exemptions issued under 33 CFR 157.	\$3,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 158.115(b)		Made a false, fictitious statement or fraudulent representation under the regulations of 33 CFR 158.	\$1,500.00	\$3,000.00	\$5,000.00	\$6,500.00
33 CFR 158.133(a)		Failure of a port or terminal which receives oceangoing tankers, or any other oceangoing ship of 400 GT or more, carrying oily mixtures, to provide a reception facility.	\$3,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 158.133(b)		Failure of a port or terminal which receives oceangoing ships carrying Noxious Liquid Substances (NLSs) to provide a reception facility.	\$3,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 158.133(c)		Failure of a port or terminal to provide a reception facility meeting Subpart D of 33 CFR 158.	\$3,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 158.135(a)		Failure of a port or terminal to have a Certificate of Adequacy that shows compliance with 33 CFR 158.200 - 158.250.	\$3,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 158.135(b)		Failure of a port or terminal that receives Noxious Liquid Substances to have the required Certificate of Adequacy complying 33 CFR 158.300 - 158.330.	\$3,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 158.135(c)		Failure of a port or terminal required to have a Certificate of Adequacy required in 33 CFR 158.135(c).	\$3,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 158.163		Failure to comply with the reception facility operation requirements in 33 CFR 158.	\$3,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 158.165		Failure to notify the COTP in writing within ten days of information changes on the Certificate of Adequacy.	\$500.00	\$2,500.00	\$5,000.00	\$32,500.00
33 CFR 158.200		Failure to meet the requirements for reception facilities of residues and mixtures containing oil.	\$3,000.00	\$6,000.00	\$10,000.00	\$32,500.00

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33 CFR 158.210		Failure of a crude oil loading port or terminal to have the capacity to receive the amounts and material required.	\$3,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 158.220		Failure of an oil, other than crude or bunker oil, loading port or terminal to have the capacity to receive the amounts and material required (facility loading more than 1000 MT/day).	\$3,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 158.230		Failure of other port or terminal in 33 CFR 158.230, to have the capacity to receive the amounts and material required.	\$3,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 158.240		Failure of a ship repair yard to have the capacity to receive the amounts and material required.	\$3,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 158.250		Failure of a reception facility that received oily bilge water to have the standard discharge connection prescribed in 33 CFR 158.250(a-b).	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 158.310		Failure of a port or terminal that receives Noxious Liquid Substances to meet the general requirements.	\$750.00	\$1,500.00	\$3,000.00	\$32,500.00
33 CFR 158.320		Failure of a port or terminal that receives Noxious Liquid Substances to have the required capacity.	\$3,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 158.330		Failure of a port or terminal that receives Noxious Liquid Substances to have the equipment required.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 158.410		Failure of a reception facility to comply with the general requirements for garbage.	\$750.00	\$1,500.00	\$3,000.00	\$32,500.00
33 CFR 158.420		Failure of a reception facility to comply with the capacity requirements for garbage.	\$3,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 158.500		Failure of a port or terminal that receives Noxious Liquid Substances to have the cargo piping drained properly.	\$750.00	\$1,500.00	\$3,000.00	\$32,500.00
33 CFR 158.520		Failure of a person in charge to ensure that the required instruction manual is followed during a transfer of Noxious Liquid Substances.	\$3,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 159.5		Failure to equip, any new vessel manufactured for sale with installed toilet facilities, with an operable, labeled Type I, II, or III MSD.	\$375.00	\$1,125.00	\$2,250.00	\$6,500.00
33 CFR 159.7(a)		Operated a vessel with installed toilet facilities not equipped with an operable Type I, II or III MSD or not labeled under 159.16 or certified under 159.12 or 159.12a.	\$375.00	\$1,125.00	\$2,250.00	\$2,200.00
33 CFR 159.7(b)		Failure to secure each Type I or II MSD prior to operating vessel in an area where the discharge of untreated sewage is prohibited by the EPA.	\$375.00	\$1,125.00	\$2,250.00	\$2,200.00
33 CFR 159.7(c)		Failure to secure each Type III MSD prior to operating vessel in an area where the discharge of untreated sewage is prohibited by the EPA.	\$375.00	\$1,125.00	\$2,250.00	\$2,200.00

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For 33 CFR 104, 105 and 106, Proposed Penalty Amounts shall be multiplied by **1.5** and **2** for violations that occur during MARSEC Levels 2 and 3, respectively

<u>Cite</u>	<u>SSI</u>	<u>Description</u>	<u>Proposed Penalty Amount</u>			<u>Maximum Penalty Amount</u>
			<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 160.105		Failure to comply with an order pertaining to the control of vessel or facility operations.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00
33 CFR 160.107		Failure to comply with an order denying entry into U.S. navigable waters to a vessel not in compliance with the Port and Tanker Safety Act.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 160.109		Failure to comply with directions concerning the handling, loading, unloading, storage or movement of dangerous substances or articles.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 160.111		Failure to comply with an order to anchor or operate a vessel in the manner directed.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 160.206		Failure of a Notice of Arrival to provide any of the below listed information items numbered 1-16: Vessel Information: 1 Country of Registry; 2 Call sign; 3 Name of charterer; 4 Name of classification society Voyage Information: 5 Names of the receiving facility and its location (e.g., the city and state); 6 For each port or place in the U.S. to be visited, the estimated date and time of departure; 7 The location (port or place and country) or position (latitude and longitude or waterway and mile marker) of the vessel at time of reporting; 8 The name and telephone number of a 24-hour point of contact Information for each crewmember on board: 9 Position or duties on the vessel; 10 Where the crewmember embarked (list port or place and country) Information for each person on board in addition to crew: 11 Where the person embarked (list port or place and country) Equipment Information: 12 Operational condition of equipment required by 33 CFR 164.35 International Safety Management (ISM) Code Notice: 13 The date of issuance of the company's Document of Compliance (DOC); 14 The date of issuance of the vessel's Safety Management Certificate (SMC); 15 The name of the Flag Administration, or the RSO representing the vessel Flag Administration, that issued those certificates. Cargo Information: 16 Cargo Declaration (Customs Form 1302), as described in 19 CFR 4.7 (requirement suspended)	\$3,000.00	\$10,000.00	*	\$32,500.00
33 CFR 160.208		Failure to provide changes to a Notice of Arrival for any of the below listed information items numbered 1-15 within the times required by 160.212: Vessel Information: 1 Country of Registry; 2 Call sign; 3 Name of charterer;	\$1,500.00	\$5,000.00	\$10,000.00	\$32,500.00

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For 33 CFR 104, 105 and 106, Proposed Penalty Amounts shall be multiplied by **1.5** and **2** for violations that occur during MARSEC Levels 2 and 3, respectively

<u>Cite</u>	<u>SSI</u>	<u>Description</u>	<u>Proposed Penalty Amount</u>			<u>Maximum Penalty Amount</u>
			<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
		4 Name of classification society				
		Voyage Information:				
		5 Names of the receiving facility and its location (e.g., the city and state);				
		6 For each port or place in the U.S. to be visited, the estimated date and time of departure;				
		7 The location (port or place and country) or position (latitude and longitude or waterway and mile marker) of the vessel at time of reporting;				
		8 The name and telephone number of a 24-hour point of contact				
		Information for each crewmember on board:				
		9 Where the crewmember embarked (list port or place and country)				
		Information for each person on board in addition to crew:				
		10 Where the person embarked (list port or place and country)				
		Equipment Information:				
		11 Operational condition of equipment required by 33 CFR 164.35				
		International Safety Management (ISM) Code Notice:				
		12 The date of issuance of the Document of Compliance (DOC);				
		13 The date of issuance of the vessel's Safety Management Certificate (SMC);				
		14 The name of the Flag Administration, or the RSO representing the vessel Flag Administration, that issued those certificates.				
		Cargo Information:				
		15 Cargo Declaration (Customs Form 1302), as described in 19 CFR 4.7 (requirement suspended)				
33 CFR 160.215		Failure to immediately notify the nearest Coast Guard Marine Safety Office or Group office of a hazardous condition.	\$5,000.00	\$10,000.00	*	\$32,500.00
33 CFR 161.4		Failure to have required VTS rules on board.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 161.5		Failure to request a deviation from the VTS rules.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 161.12(a)		Failure to comply with a VTS measure or direction.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 161.12(a)(1)		Failure to report deviation from a VTS measure or direction as soon as practicable.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 161.12(b)		Failure to comply with the requirements for a proper listening watch, prompt response when hailed by VTS, and communications in English.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 161.12(c)		Failure to notify the VTS of hazardous vessel operating conditions and other required reports.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 161.13(a)		Failure to tow astern with as short a hawser as is practicable.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 161.13(b)(1)		Failure to obtain VTS approval prior to entering or getting underway in the special area.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 161.13(b)(2)		Entering the SA when hazardous vessel operating conditions or circumstances exist.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 161.13(b)(3)		Failure to obtain VTS approval before meeting, crossing, or overtaking any other VMRS User.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00

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<u>Cite</u>	<u>SSI</u>	<u>Description</u>	<u>Proposed Penalty Amount</u>			<u>Maximum Penalty Amount</u>
			<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 161.13(b)(4)		Failure to make bridge to bridge communication passing arrangements before meeting, crossing, or overtaking any other VMRS User.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 161.18(b)		Failure to make required reports as soon as practicable on the designated VTS VHF frequency.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 161.18(c)		Failure to comply with the requirements to maintain a listening watch, promptly respond to VTS, and communicate in English.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 161.19		Failure to make Sailing Plan Report at least 15 minutes before navigating a VTS area.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 161.20		Failure to make Position Report at required time.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 161.21(a)		Failure to report significant deviation from previously reported ETA.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 161.21(b)		Failure to report intentions to deviate from a VTS measure or vessel traffic routing system.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 161.21(c)		Failure to report significant deviation from previously reported information.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 161.22		Failure to make Final Report at required time.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 161.23(b)(1)		Failure to provide a Sailing Plan at least 5 minutes before entering the VTS area.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 161.23(b)(2)		Failure to provide Position and Final Report; others when departing from schedule by more than 15 minutes or changing its limited operating area.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 161.23(c)		Failure to restore ADSSE to operating condition as soon as possible.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 161.23(c)(1)		Failure to notify VTC, provide a Position Report or other requested voice reports when ADSSE is not operational.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 161.23(c)(2)		Failure to provide a Position Report or other requested voice reports, when ADSSE is non-operational, due to a loss of position correction info.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 161.25		Caused or authorized the operation of a vessel in the New York VTS area, as defined, contrary to the rules contained in this Part.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 161.30		Caused or authorized the operation of a vessel in a VTS Area contrary to the rules contained in this Part.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 161.35		Caused or authorized the operation of a vessel in a VTS Area contrary to the rules contained in this Part.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 161.40		Caused or authorized the operation of a vessel in a VTS Area contrary to the rules contained in this Part.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 161.45		Caused or authorized the operation of a vessel in a VTS Area contrary to the rules contained in this Part.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00

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Proposed Penalty Amounts for an Individual are half the Proposed Penalty Amount for a Commercial Entity

For 33 CFR 104, 105 and 106, Proposed Penalty Amounts shall be multiplied by **1.5** and **2** for violations that occur during MARSEC Levels 2 and 3, respectively

<u>Cite</u>	<u>SSI</u>	<u>Description</u>	<u>Proposed Penalty Amount</u>			<u>Maximum Penalty Amount</u>
			<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 161.50		Caused or authorized the operation of a vessel in a VTS Area contrary to the rules contained in this Part.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 161.55		Caused or authorized the operation of a vessel in a VTS Area contrary to the rules contained in this Part.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 161.60		Caused or authorized the operation of a vessel in a VTS Area contrary to the rules contained in this Part.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
33 CFR 162		Failure to comply with the Inland Waterway Navigation regulations as prescribed in 162.15 through 162.270.	\$1,000.00	\$3,000.00	\$6,000.00	\$27,500.00
33 CFR 164.11(a)		Failure to man wheelhouse to direct and control the movement or fix the vessel's position.	\$1,000.00	\$5,000.00	\$10,000.00	\$32,500.00
33 CFR 164.11(b)		Failure to have each person competent to perform duties.	\$1,000.00	\$5,000.00	\$10,000.00	\$32,500.00
33 CFR 164.11(c)		Failure to plot fixes and failure to inform the person directing the vessel's movement of the vessel's position.	\$1,000.00	\$5,000.00	\$10,000.00	\$32,500.00
33 CFR 164.11(d)		Failure to use electronic and other navigational equipment, external aids to navigation, geographic references, or hydrographic contours.	\$1,000.00	\$5,000.00	\$10,000.00	\$32,500.00
33 CFR 164.11(e)		Navigating by using buoys alone to fix the vessels position.	\$1,000.00	\$5,000.00	\$10,000.00	\$32,500.00
33 CFR 164.11(f)		Failure to evaluate each closing, visual, or radar contact.	\$1,000.00	\$5,000.00	\$10,000.00	\$32,500.00
33 CFR 164.11(g)		Failure to execute rudder orders as given.	\$1,000.00	\$5,000.00	\$10,000.00	\$32,500.00
33 CFR 164.11(h)		Failure to execute engine speed and direction orders as given.	\$1,000.00	\$5,000.00	\$10,000.00	\$32,500.00
33 CFR 164.11(i)		Failure to determine compass error and correctly apply.	\$1,000.00	\$5,000.00	\$10,000.00	\$32,500.00
33 CFR 164.11(j)		Failure to have competent helmsman at all times in the wheelhouse.	\$1,000.00	\$5,000.00	\$10,000.00	\$32,500.00
33 CFR 164.11(k)		Failure to inform pilot of vessel particulars.	\$1,000.00	\$5,000.00	\$10,000.00	\$32,500.00
33 CFR 164.11(l)		Failure to ensure information on currents is known.	\$1,000.00	\$5,000.00	\$10,000.00	\$32,500.00
33 CFR 164.11(m)		Failure to ensure set and drift information is known.	\$1,000.00	\$5,000.00	\$10,000.00	\$32,500.00
33 CFR 164.11(n)		Failure to ensure tidal information is known.	\$1,000.00	\$5,000.00	\$10,000.00	\$32,500.00
33 CFR 164.11(o)		Failure to have vessel's anchors ready to let go.	\$1,000.00	\$5,000.00	\$10,000.00	\$32,500.00
33 CFR 164.11(p)		Failure to consider the rules for setting the vessel's speed as prescribed in 164.11(p)(1) through 164.11(p)(8).	\$1,000.00	\$5,000.00	\$10,000.00	\$32,500.00
33 CFR 164.11(q)		Failure to make and log the tests required in 164.25.	\$1,000.00	\$5,000.00	\$10,000.00	\$32,500.00

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For 33 CFR 104, 105 and 106, Proposed Penalty Amounts shall be multiplied by **1.5** and **2** for violations that occur during MARSEC Levels 2 and 3, respectively

<u>Cite</u>	<u>SSI</u>	<u>Description</u>	<u>Proposed Penalty Amount</u>			<u>Maximum Penalty Amount</u>
			<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 164.11(r)		Failure to maintain required equipment in operable condition.	\$1,000.00	\$5,000.00	\$10,000.00	\$32,500.00
33 CFR 164.11(s)		Failure to test manual steering when entering U.S. waters.	\$1,000.00	\$5,000.00	\$10,000.00	\$32,500.00
33 CFR 164.11(t)		Failure to have at least two steering gear power units in simultaneous operation when capable of such.	\$1,000.00	\$5,000.00	\$10,000.00	\$32,500.00
33 CFR 164.13(b)		Failure to have engineering watch capable of requirements and properly manned and placed.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.13(c)		Failure to have two licensed deck officers on the bridge.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.13(d)		Operating with an auto pilot at times other than specified.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.15		Failure to provide adequate visibility as specified.	\$1,000.00	\$5,000.00	\$10,000.00	\$32,500.00
33 CFR 164.19(a)		Failure to maintain an anchor watch.	\$1,000.00	\$5,000.00	\$10,000.00	\$32,500.00
33 CFR 164.19(b)		Failure to have procedures to detect a dragging anchor.	\$1,000.00	\$5,000.00	\$10,000.00	\$32,500.00
33 CFR 164.19(c)		Failure to prepare for adverse conditions when anchored.	\$1,000.00	\$5,000.00	\$10,000.00	\$32,500.00
33 CFR 164.25(a)(1)		Failure to test primary and secondary steering gear.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.25(a)(2)		Failure to test internal vessel control communications and vessel control alarms.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.25(a)(3)		Failure to test emergency generator.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.25(a)(4)		Failure to test storage batteries for emergency service.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.25(a)(5)		Failure to test main propulsion machinery, ahead and astern.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.25(d)		Failure to conduct and log emergency steering drill.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.30		Failure to have the marine charts, publications and equipment required by 164.33 through 164.41 of this part.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.33(a)(1)(i)		Failure to have proper scale charts for the area of operation.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.33(a)(1)(ii)		Failure to have corrected charts for the area of operation.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.33(a)(2)(i)		Failure to have corrected U.S. Coast Pilot or currently corrected applicable extract.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.33(a)(2)(ii)		Failure to have currently corrected Light List or currently corrected applicable extract.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.33(a)(3)(i)		Failure to have current tide tables.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.33(a)(3)(ii)		Failure to have current tidal current tables.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00

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			<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 164.33(b)		Failure to provide suitable foreign government charts or publications as substitutes for required U.S. charts or publications.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.35(a)		Failure to have a marine radar for surface navigation.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.35(b)		Failure to have an illuminated magnetic steering compass, mounted in a binnacle, that can be read at vessel's main steering stand.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.35(c)		Failure to have a current magnetic compass deviation table or graph or compass comparison record for the steering compass.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.35(d)		Failure to have a gyrocompass.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.35(e)		Failure to have an illuminated repeater for the gyrocompass.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.35(f)		Failure to have an illuminated rudder angle indicator in the wheelhouse.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.35(g)		Failure to have a Maneuvering Information Sheet posted prominently in the wheelhouse.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.35(g)(1)		Failure to have a turning circle diagram.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.35(g)(2)		Failure to have time and distance to stop information from either full and half speeds, or from full and slow speeds.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.35(g)(3)		Failure to have a table of shaft revolutions per minute for a representative range of speeds.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.35(g)(4)		Failure to have a table of control settings for a representative range of speeds.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.35(g)(5)		Failure to have a table of vessel speeds at which auxiliary devices are effective in maneuvering the vessel.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.35(g)(6)(i)		Failure to have maneuvering information for normal load and normal ballast conditions for: Calm weather.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.35(g)(6)(ii)		Failure to have maneuvering information for normal load and normal ballast conditions for: No current.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.35(g)(6)(iii)		Failure to have maneuvering information for normal load and normal ballast conditions for: Deep water conditions.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.35(g)(6)(iv)		Failure to have maneuvering information for normal load and normal ballast conditions for: Clean hull.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.35(g)(7)		Failure to have, at the bottom of the fact sheet, the proper warning statement.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.35(h)		Failure to have an echo depth sounding device.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00

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			<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 164.35(i)		Failure to have a device that can continuously record the depth readings of the vessel's echo depth sounding device.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.35(j)		Failure to have equipment on the bridge for plotting relative motion.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.35(k)		Failure to have steering diagram and change-over instructions and/or failed to display on the navigating bridge & steering compartment.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.35(l)		Failure to have an indicator readable from centerline of conning position showing the rate of revolution of each propeller.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.35(m)		Failure to have an indicator readable from centerline of conning position showing the pitch & operational mode of each propeller.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.35(n)		Failure to have an indicator readable from centerline of conning position showing the direction & amount of thrust of propeller.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.37(a)		Failure to have a second radar that operates independently of the first.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.37(b)		Failure to have a radar system with short range capability, long range capability, and stabilized true north feature.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.38(b)		Failure to have an Automatic Radar Plotting Aid (ARPA) that complies with the standard adopted by the International Maritime Organization.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.38(d)		Failed to have a permanently affixed label on the Automatic Radar Plotting Aid (ARPA) device containing the required information.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.39(c)		Failure of foreign tanker constructed on or after Sept 1, 1984 to meet the requirements of Chapter II-1, Regulations 29 and 30 of SOLAS 74.	\$5,000.00	\$7,500.00	\$10,000.00	\$32,500.00
33 CFR 164.39(d)		Failure of foreign tanker constructed before Sept 1, 1984 to meet the requirements of Chapter II-1, Regulations 29.19 of SOLAS 74.	\$5,000.00	\$7,500.00	\$10,000.00	\$32,500.00
33 CFR 164.39(e)		Failure of foreign tanker of 40,000 GT constructed before Sept 1, 1984 that does not meet the requirements of Chapter II-1, Regulations 29.16 to meet the requirements of Chapter II-1, Regulations 29.20 of SOLAS 74.	\$5,000.00	\$7,500.00	\$10,000.00	\$32,500.00
33 CFR 164.39(f)		Failure of foreign tanker constructed before Sept 1, 1984 to meet the requirements of Chapter II-1, Regulations 29.14 and 29.15 of SOLAS 74.	\$5,000.00	\$7,500.00	\$10,000.00	\$32,500.00
33 CFR 164.40(a)		Failure of vessel fitted with an ARPA to be fitted with a device to indicate speed and distance of the vessel.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.41(a)		Failure of vessel to comply with the rules regarding electronic position fixing devices.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.42		Failure to have a rate of turn indicator.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00

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			<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 164.43		Failure to have required Automated Identification System Shipborne Equipment (AISSE) when operating in Prince William Sound, Alaska.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.53(a)		Failure to obey COTP or District Commander's direction regarding movement of a vessel with non-operating navigational equipment.	\$1,000.00	\$5,000.00	\$10,000.00	\$32,500.00
33 CFR 164.53(b)		Failure to report non-operating navigational equipment to nearest COTP or VTC, if participating in a VTS.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.55		Failure to report broken equipment, disobey COTP directions.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.61		Failure to report marine casualty or maintain records pertaining to casualty.	\$5,000.00	\$10,000.00	*	\$32,500.00
33 CFR 164.72		Failure to have required navigational safety equipment, charts or maps, and publications on towing vessels.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.74		Failure to ensure towing vessel has towline and terminal gear as required.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.76		Failure to ensure adequacy of towline and terminal gear for towing alongside and pushing ahead.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.78		Failure to ensure that each person directing and controlling the movement of a towing vessel is properly qualified.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.80		Failure to ensure tests and inspections of gear required occur before vessel embarks on voyage of more than 24 hours or when new master or operator assumes command.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.82(b)		Failure to exercise due diligence to repair inoperative navigation safety equipment required by 33 CFR 164.72 and enter its failure in vessel's log.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 164.82(c)		Failure to report inoperative navigational safety equipment required by 33 CFR 164.72.	\$2,000.00	\$6,000.00	\$10,000.00	\$32,500.00
33 CFR 165.13(a)		Failure of the Master of a vessel to operate in accordance with 33 CFR 165.101 through 165.1705.	\$1,000.00	\$5,000.00	\$10,000.00	\$32,500.00
33 CFR 165.13(b)		Caused or authorized the operation of a vessel in a regulated navigation area contrary to the regulations prescribed in 165.10.	\$1,000.00	\$5,000.00	\$10,000.00	\$32,500.00
33 CFR 165.23(a)		Unauthorized entry into a safety zone.	\$1,000.00	\$5,000.00	\$10,000.00	\$32,500.00
33 CFR 165.23(b)		Caused or brought an unauthorized vehicle, vessel or object into a safety zone.	\$1,000.00	\$5,000.00	\$10,000.00	\$32,500.00
33 CFR 165.23(d)		Failure of a person in a safety zone, to obey the orders or directions of the COTP or District Commander.	\$1,000.00	\$5,000.00	\$10,000.00	\$32,500.00
33 CFR 165.33(a)		Entered or remained in a security zone without permission of the COTP.	\$2,000.00	\$10,000.00	\$10,000.00	\$32,500.00
33 CFR 165.33(b)		Failure of a person or vessel in a security zone, to obey a COTP order or direction.	\$2,000.00	\$10,000.00	\$10,000.00	\$32,500.00

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33 CFR 165.33(e)		Boarded, or remove, or place objects on board, any vessel in a security zone, without COTP permission.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00
33 CFR 165.33(f)		Took or placed any object upon any waterfront facility in a security zone without COTP permission.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00
33 CFR 165.803(d)		Failure to comply with general mooring requirements of the Regulated Navigation Area regulations for the Mississippi River.	\$1,000.00	\$5,000.00	\$10,000.00	\$32,500.00
33 CFR 165.803(e)		Failure to meet the requirements for mooring to a mooring device in the Regulated Navigation Area of the Mississippi River.	\$1,000.00	\$5,000.00	\$10,000.00	\$32,500.00
33 CFR 165.803(f)		Failure to comply with the requirements for barge-to-barge, barge-to-vessel or barge-to-pier moorings.	\$1,000.00	\$5,000.00	\$10,000.00	\$32,500.00
33 CFR 165.803(g)		Failure to meet the prescribed requirements for a person in charge.	\$1,000.00	\$5,000.00	\$10,000.00	\$32,500.00
33 CFR 165.803(h)		Failure to comply with the requirements for inspection of moorings.	\$500.00	\$2,500.00	\$5,000.00	\$32,500.00
33 CFR 165.803(i)		Failure to meet the prescribed requirements for maintaining fleeting facility records.	\$1,000.00	\$5,000.00	\$10,000.00	\$32,500.00
33 CFR 165.803(j)		Failure to comply with the requirements for continuous surveillance of barges in the fleeting facility.	\$1,000.00	\$5,000.00	\$10,000.00	\$32,500.00
33 CFR 165.803(k)		Failure of person in charge of fleeting facility to ensure each deficiency requirement of paragraph (h) or (j) of this section is corrected.	\$1,000.00	\$5,000.00	\$10,000.00	\$32,500.00
33 CFR 165.803(l)		Failure of person in charge to take immediate action to secure each breakaway and to report each breakaway as soon as possible to the COTP.	\$1,000.00	\$5,000.00	\$10,000.00	\$32,500.00
33 CFR 165.803(m)		Failure to comply with the requirements for fleeting facilities during high water.	\$1,000.00	\$5,000.00	\$10,000.00	\$32,500.00
33 CFR 165.810		Failure to operate a vessel in a regulated navigation area in accordance with the regulations specified for the area.	\$1,000.00	\$5,000.00	\$10,000.00	\$32,500.00
33 CFR 166.200		Failure to comply with the established fairways and anchorage areas in the Gulf of Mexico and along the Gulf Coast.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00
Cites in 33 USC						
33 USC 1602 (RULE 2)		Failure of vessel, owner, master or crew to comply with these Rules or any precautions required by the ordinary practice of seaman.	\$250.00	\$750.00	\$1,500.00	\$6,500.00
33 USC 1602 (RULE 5)		Failure to maintain a proper look-out.	\$250.00	\$750.00	\$1,500.00	\$6,500.00
33 USC 1602 (RULE 6)		Failure to proceed at a safe speed for prevailing conditions.	\$500.00	\$2,500.00	\$4,000.00	\$6,500.00

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			<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 USC 1602 (RULE 7)		Failure to use all available means to determine if risk of collision exists.	\$250.00	\$750.00	\$1,500.00	\$6,500.00
33 USC 1602 (RULE 8)		Failure to take appropriate action to avoid collision.	\$250.00	\$1,000.00	\$2,500.00	\$6,500.00
33 USC 1602 (RULE 9)		Failure to take appropriate action in narrow channels.	\$250.00	\$750.00	\$1,500.00	\$6,500.00
33 USC 1602 (RULE 10)		Failure to comply with applicable vessel traffic service schemes.	\$250.00	\$1,000.00	\$3,000.00	\$6,500.00
33 USC 1602 (RULE 12)		Failure of sailing vessels in sight of one another to keep out of way according to the International Rules.	\$250.00	\$500.00	\$1,000.00	\$6,500.00
33 USC 1602 (RULE 13)		Failure of overtaking vessel to keep out of way of vessel being overtaken.	\$250.00	\$750.00	\$2,500.00	\$6,500.00
33 USC 1602 (RULE 14)		Failure of power-driven vessel to make appropriate course alterations in head-on situation.	\$250.00	\$1,000.00	\$2,500.00	\$6,500.00
33 USC 1602 (RULE 15)		Failure of appropriate power-driven vessel in crossing situation to keep out of way.	\$250.00	\$1,000.00	\$2,500.00	\$6,500.00
33 USC 1602 (RULE 16)		Failure of give-way vessel to take early and substantial action to keep well clear.	\$250.00	\$1,000.00	\$2,500.00	\$6,500.00
33 USC 1602 (RULE 17)		Failure of stand-on vessel to take appropriate action to avoid collision.	\$250.00	\$1,000.00	\$2,500.00	\$6,500.00
33 USC 1602 (RULE 18)		Failure of appropriate vessel to keep out of way of less maneuverable vessel.	\$250.00	\$1,000.00	\$2,500.00	\$6,500.00
33 USC 1602 (RULE 19)		Failure of vessel, not in sight of another, navigating in or near area of restricted visibility to conduct her behavior according to Rules.	\$250.00	\$750.00	\$1,500.00	\$6,500.00
33 USC 1602 (RULE 27)		Failure to exhibit appropriate lights and or shapes for a vessel not under command or restricted in ability to maneuver.	\$250.00	\$1,000.00	\$2,500.00	\$6,500.00
33 USC 1602 (RULE 30)		Failure to exhibit appropriate lights -- Anchored vessels and vessels aground.	\$250.00	\$1,000.00	\$2,500.00	\$6,500.00
33 USC 1602 (RULE 31)		Failure to exhibit appropriate lights -- Seaplane.	\$250.00	\$1,000.00	\$2,500.00	\$6,500.00
33 USC 1602 (RULE 33)		Failure to have required equipment for making sound signals.	\$250.00	\$1,000.00	\$2,500.00	\$6,500.00
33 USC 1602 (RULE 34)		Failure of vessel, when in sight of another vessel, to make appropriate maneuvering or warning signal.	\$250.00	\$750.00	\$1,500.00	\$6,500.00
33 USC 1602 (RULE 35)		Failure to make appropriate sound signal when in or near an area of restricted visibility.	\$250.00	\$750.00	\$1,500.00	\$6,500.00
33 USC 1602 (RULE 36)		Use of prohibited light or sound signal to attract the attention of another vessel.	\$250.00	\$750.00	\$1,500.00	\$6,500.00
33 USC 1602 (RULE 37)		When vessel in distress, failure to use/exhibit signals described in Annex IV of the International Rules.	\$50.00	\$100.00	\$300.00	\$6,500.00
33 USC 1602 ANNEX IV(2)		Use or exhibition of distress signals except for the purpose of indicating distress and need of assistance.	\$500.00	\$2,500.00	\$5,000.00	\$6,500.00

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			<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 USC 2002 (RULE 2)		Failure of vessel, owner, master or crew to comply with these Rules or any precautions required by the ordinary practice of seaman.	\$250.00	\$500.00	\$1,000.00	\$6,500.00
33 USC 2005 (RULE 5)		Failure to maintain proper look-out by sight/hearing/all available means appropriate in the prevailing circumstances	\$250.00	\$750.00	\$1,500.00	\$6,500.00
33 USC 2006 (RULE 6)		Failure to proceed at safe speed so as to take proper action to avoid collision and be stopped within distance appropriate for conditions.	\$1,000.00	\$3,000.00	\$5,000.00	\$6,500.00
33 USC 2007(a) (RULE 7)		Failure to use all available means appropriate to circumstances/conditions to determine if risk of collision exists.	\$250.00	\$750.00	\$1,500.00	\$6,500.00
33 USC 2007(b) (RULE 7)		Failure to use radar equipment to obtain early warning of risk of collision.	\$500.00	\$1,500.00	\$3,000.00	\$6,500.00
33 USC 2008(a) (RULE 8)		Failure to take action to avoid collision in ample time with due regard to good seamanship.	\$250.00	\$750.00	\$1,500.00	\$6,500.00
33 USC 2008(b) (RULE 8)		Failure to alter course or speed (to avoid collision) so as to be readily apparent to another vessel observing visually or by radar.	\$1,000.00	\$3,000.00	\$5,000.00	\$6,500.00
33 USC 2008(d) (RULE 8)		Failure to pass at safe distance when taking action to avoid collision.	\$250.00	\$750.00	\$1,500.00	\$6,500.00
33 USC 2008(e) (RULE 8)		When necessary to avoid collision, failure to slacken speed, stop, or reverse.	\$1,000.00	\$3,000.00	\$5,000.00	\$6,500.00
33 USC 2009(a) (RULE 9)		Failure of vessel proceeding in a narrow channel or fairway to keep as near to outer limit which lies on her starboard side as safe/practicable.	\$250.00	\$750.00	\$1,500.00	\$6,500.00
33 USC 2009(b) (RULE 9)		Vessel of less than 20 meters in length or sailing vessel impeded passage of vessel that can safely navigate only within a narrow channel or fairway.	\$250.00	\$750.00	\$1,500.00	\$6,500.00
33 USC 2009(c) (RULE 9)		Vessel engaged in fishing impeded passage of other vessel navigating within a narrow channel or fairway.	\$500.00	\$1,000.00	\$2,500.00	\$6,500.00
33 USC 2009(d) (RULE 9)		Vessel crossing a narrow channel or fairway impeding the passage of another vessel or latter vessel failed to use proper danger signal (Rule34)(d).	\$500.00	\$1,000.00	\$2,500.00	\$6,500.00
33 USC 2009(e) (RULE 9)		Overtaking vessel/failure to indicate intentions by proper signal (Rule 34)(d).	\$250.00	\$750.00	\$1,500.00	\$6,500.00
33 USC 2009(f) (RULE 9)		Failure to navigate with alertness and sound signal when nearing a bend or area of narrow channel or fairway where view obscured.	\$250.00	\$750.00	\$1,500.00	\$6,500.00
33 USC 2009(g) (RULE 9)		Failure to navigate with alertness and sound signal when nearing a bend or area of narrow channel or fairway where view obscured.	\$250.00	\$750.00	\$1,500.00	\$6,500.00
33 USC 2010 (RULE 10)		Failure of vessel required to participate in vessel traffic service to comply with applicable regulations.	\$750.00	\$1,500.00	\$3,000.00	\$5,500.00
33 USC 2012(a) (RULE 12)		Failure to keep out of way according to prescribed methods in this rule.	\$250.00	\$750.00	\$1,500.00	\$6,500.00

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33 USC 2013(a) (RULE 13)		Failure, when overtaking another vessel, to keep out of way of vessel overtaken.	\$250.00	\$750.00	\$1,500.00	\$6,500.00
33 USC 2014(a) (RULE 14)		Failure, under appropriate circumstances, to alter course so as to avoid collision.	\$1,000.00	\$2,500.00	\$5,000.00	\$6,500.00
33 USC 2015(a) (RULE 15)		Failure of power-driven vessel, which has other vessel on her starboard side, to keep out of way and avoid crossing ahead of other vessel.	\$500.00	\$1,000.00	\$2,500.00	\$6,500.00
33 USC 2015(b) (RULE 15)		On Great Lakes, Western Rivers or water specified by the Secretary, failure of vessel crossing river to keep out of way of power-driven asc/dsc vessel.	\$500.00	\$1,000.00	\$2,500.00	\$6,500.00
33 USC 2016 (RULE 16)		Failure of vessel directed to keep out of way of another vessel to, so far as possible, take early and substantial action to keep well clear.	\$250.00	\$750.00	\$1,500.00	\$6,500.00
33 USC 2017(a) (RULE 17)		Failure, where one of two vessels has kept out of way, to keep course and speed.	\$250.00	\$750.00	\$1,500.00	\$6,500.00
33 USC 2017(b) (RULE 17)		Failure, when vessel required to keep course and speed, to take action to best avoid a collision.	\$250.00	\$750.00	\$1,500.00	\$6,500.00
33 USC 2018(a) (RULE 18)		Failure of a power-driven vessel underway to keep out of way of certain enumerate vessels.	\$250.00	\$1,500.00	\$3,000.00	\$6,500.00
33 USC 2018(b) (RULE 18)		Failure of a sailing vessel underway to keep out of way of certain enumerate vessels.	\$500.00	\$1,000.00	\$2,500.00	\$6,500.00
33 USC 2018(c) (RULE 18)		Failure of a fishing vessel underway to keep out of way of certain enumerate vessels.	\$750.00	\$1,500.00	\$3,000.00	\$6,500.00
33 USC 2018(d) (RULE 18)		Failure of a seaplane to keep well clear of all vessels and/or avoid impeding navigation, or, where risk of collision, to comply with Rules.	\$750.00	\$1,500.00	\$3,000.00	\$6,500.00
33 USC 2019(b) (RULE 19)		Failure to proceed at a safe speed adapted to prevailing circumstances/conditions of restricted visibility. Power-driven vessel -- engines ready.	\$750.00	\$1,500.00	\$3,000.00	\$6,500.00
33 USC 2019(c) (RULE 19)		Failure of vessel to have due regard to prevailing circumstances/conditions of restricted visibility when complying with Rules 4 - 10.	\$250.00	\$750.00	\$1,500.00	\$6,500.00
33 USC 2019(d) (RULE 19)		Failure of vessel which detects presence of another by radar alone to take appropriate action.	\$500.00	\$1,000.00	\$2,500.00	\$6,500.00
33 USC 2019(e) (RULE 19)		Failure of vessel which hears fog signal apparently forward of her beam, or which cannot avoid close-quarters situation to act appropriately.	\$250.00	\$750.00	\$1,500.00	\$6,500.00
33 USC 2020(a) (RULE 20)		Failure to comply with rules concerning lights and shapes (in any weather).	\$750.00	\$1,500.00	\$3,000.00	\$6,500.00
33 USC 2020(b) (RULE 20)		Failure to comply with rules concerning lights and shapes (sunset to sunrise); no others exhibited which might be mistaken, impair, etc.	\$750.00	\$1,500.00	\$3,000.00	\$6,500.00
33 USC 2020(c) (RULE 20)		Failure to comply with rules concerning lights and shapes (daylight/restricted visibility; other circumstances).	\$750.00	\$1,500.00	\$3,000.00	\$6,500.00
33 USC 2020(d) (RULE 20)		Failure to comply with rules concerning shapes.	\$750.00	\$1,500.00	\$3,000.00	\$6,500.00

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33 USC 2022(a) (RULE 22)		Failure to have lights of proper intensity in appropriate location on vessel of 50 meters or more in length.	\$750.00	\$1,500.00	\$3,000.00	\$6,500.00
33 USC 2022(b) (RULE 22)		Failure to have lights of proper intensity in appropriate location on vessel 12 or more meters but less than 50 meters in length.	\$500.00	\$1,000.00	\$2,500.00	\$6,500.00
33 USC 2022(c) (RULE 22)		Failure to have lights of proper intensity in appropriate location on vessel less than 12 meters in length.	\$250.00	\$750.00	\$1,500.00	\$6,500.00
33 USC 2022(d) (RULE 22)		Failure to have light of proper intensity on inconspicuous, partly submerged vessel or object being towed.	\$500.00	\$1,000.00	\$2,500.00	\$6,500.00
33 USC 2023(a) (RULE 23)		Failure of power-driven vessel, when underway, to exhibit proper lights in proper locations.	\$500.00	\$1,000.00	\$2,500.00	\$6,500.00
33 USC 2023(b) (RULE 23)		Failure of air-cushion vessel, when operating in nondisplacement mode, to exhibit proper lights in proper locations.	\$500.00	\$1,000.00	\$2,500.00	\$6,500.00
33 USC 2024(a) (RULE 24)		Failure of a power-driven vessel, when towing astern, to exhibit the correct lights in the correct positions.	\$500.00	\$1,000.00	\$2,500.00	\$6,500.00
33 USC 2024(b) (RULE 24)		Failure of pushing and pushed vessels, which are rigidly connected in composite unit, to exhibit correct lights in correct locations.	\$500.00	\$1,000.00	\$2,500.00	\$6,500.00
33 USC 2024(c) (RULE 24)		Failure of power driven vessel, when pushing ahead or towing alongside to exhibit proper lights.	\$500.00	\$1,000.00	\$2,500.00	\$6,500.00
33 USC 2024(d) (RULE 24)		Failure of appropriate power driven vessel to comply with Rule 23(a)(i) and 23(a)(ii). (See Rules of the Road).	\$500.00	\$1,000.00	\$2,500.00	\$6,500.00
33 USC 2024(e) (RULE 24)		Failure of vessel or object being towed to be lighted properly.	\$500.00	\$1,000.00	\$2,500.00	\$6,500.00
33 USC 2024(f) (RULE 24)		Failure of vessels towed or pushed as a group to be lighted properly.	\$1,000.00	\$3,000.00	\$5,000.00	\$6,500.00
33 USC 2024(g) (RULE 24)		Failure to properly light inconspicuous, partly submerged vessel or object being towed.	\$500.00	\$1,000.00	\$2,500.00	\$6,500.00
33 USC 2024(h) (RULE 24)		Failure to properly light vessel or object or take other measures to indicate presence.	\$250.00	\$750.00	\$1,500.00	\$6,500.00
33 USC 2024(i) (RULE 24)		Failure to properly light vessel or object on the Western Rivers.	\$500.00	\$1,000.00	\$2,500.00	\$6,500.00
33 USC 2024(j) (RULE 24)		Failure to take all possible measures to indicate nature of relationship between towing or towed when vessel is in distress.	\$100.00	\$300.00	\$500.00	\$6,500.00
33 USC 2025(a) (RULE 25)		Failure of a sailing vessel underway to exhibit proper lights.	\$250.00	\$750.00	\$1,500.00	\$6,500.00
33 USC 2025(d) (RULE 25)		Failure of a sailing vessel less than 7 meters in length or vessel under oars to take appropriate lighting measures.	\$250.00	\$750.00	\$1,500.00	\$6,500.00

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			<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 USC 2025(e) (RULE 25)		Failure of a vessel 12 meters or over proceeding under both sail and machinery to display proper shape in proper location.	\$250.00	\$750.00	\$1,500.00	\$6,500.00
33 USC 2026(a) (RULE 26)		Use of lights/shapes other than prescribed in Rules by vessel engaged in fishing.	\$500.00	\$1,000.00	\$2,500.00	\$6,500.00
33 USC 2026(b) (RULE 26)		Failure to use prescribed lights and/or shapes by vessel engaged in trawling.	\$500.00	\$1,000.00	\$2,500.00	\$6,500.00
33 USC 2026(c) (RULE 26)		Failure to use prescribed lights and/or shapes by vessel engaged in fishing other than trawling.	\$500.00	\$1,000.00	\$2,500.00	\$6,500.00
33 USC 2027(a) (RULE 27)		Failure to show proper lights and/or shapes by vessel not under command.	\$500.00	\$1,000.00	\$2,500.00	\$6,500.00
33 USC 2027(b) (RULE 27)		Failure to show proper lights and or shapes by vessel restricted in its ability to maneuver.	\$500.00	\$1,000.00	\$2,500.00	\$6,500.00
33 USC 2027(c) (RULE 27)		Failure to show proper lights and/or shapes by vessel engaged in towing operations.	\$500.00	\$1,000.00	\$2,500.00	\$6,500.00
33 USC 2027(d) (RULE 27)		Failure to show proper lights and/or shapes by vessel engaged in dredging or underwater operations.	\$500.00	\$1,000.00	\$2,500.00	\$6,500.00
33 USC 2027(e) (RULE 27)		Failure to show proper lights and/or shapes by vessel engaged in diving operations.	\$500.00	\$1,000.00	\$2,500.00	\$6,500.00
33 USC 2027(f) (RULE 27)		Failure to show proper lights and/or shapes by vessel engaged in minesweeping operations.	\$1,000.00	\$2,500.00	\$5,000.00	\$6,500.00
33 USC 2029(a) (RULE 29)		Failure to exhibit proper lights and/or shapes by a vessel engaged in pilotage duties.	\$500.00	\$1,000.00	\$2,500.00	\$6,500.00
33 USC 2030(a) (RULE 30)		Failure to exhibit proper lights and or shapes by vessel at anchor.	\$250.00	\$750.00	\$1,500.00	\$6,500.00
33 USC 2030(c) (RULE 30)		Failure of vessel of 100 meters or more to use available working or equivalent lights to illuminate her decks.	\$500.00	\$1,000.00	\$2,500.00	\$6,500.00
33 USC 2030(d) (RULE 30)		Failure of vessel aground to exhibit proper lights and or shapes.	\$250.00	\$750.00	\$1,500.00	\$6,500.00
33 USC 2031 (RULE 31)		Failure to exhibit appropriate lights and or shapes-seaplane.	\$500.00	\$1,000.00	\$2,500.00	\$6,500.00
33 USC 2033(a) (RULE 33)		Failure to have proper equipment for sound signals for vessels of 12 meters or more in length.	\$500.00	\$1,000.00	\$2,500.00	\$6,500.00
33 USC 2033(b) (RULE 33)		Failure to have some means of making an efficient sound signal for vessel less than 12 meters in length.	\$250.00	\$750.00	\$1,500.00	\$6,500.00
33 USC 2034(a) (RULE 34)		Failure of power-driven vessel to use proper signal to indicate maneuvering and/or take appropriate precautionary steps.	\$250.00	\$750.00	\$1,500.00	\$6,500.00
33 USC 2034(c) (RULE 34)		Failure of power driven vessel to use proper signal to indicate maneuvering and/or take appropriate precautionary steps in overtaking situation.	\$250.00	\$750.00	\$1,500.00	\$6,500.00
33 USC 2034(d) (RULE 34)		Failure of vessel to use proper signal and or take appropriate precautionary steps in situation of doubt or failure to understand signal.	\$250.00	\$750.00	\$1,500.00	\$6,500.00

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33 USC 2034(e) (RULE 34)		Failure of vessel to use proper signal in situation of obscured visibility due to intervening obstruction.	\$250.00	\$750.00	\$1,500.00	\$6,500.00
33 USC 2034(f) (RULE 34)		Inappropriate use of multiple whistles on vessel fitted with whistles more than 100 meters apart.	\$250.00	\$750.00	\$1,500.00	\$6,500.00
33 USC 2034(g) (RULE 34)		Failure to sound proper signal when power driven vessel leaving dock or berth.	\$250.00	\$750.00	\$1,500.00	\$6,500.00
33 USC 2035(a) (RULE 35)		Failure of a power-driven vessel making way to make proper signal in or near area of restricted visibility.	\$250.00	\$750.00	\$1,500.00	\$6,500.00
33 USC 2035(b) (RULE 35)		Failure of a power-driven vessel making no way to make proper signal in or near area of restricted visibility.	\$250.00	\$750.00	\$1,500.00	\$6,500.00
33 USC 2035(c) (RULE 35)		Failure of appropriate vessel to use proper signal in situation of restricted visibility.	\$250.00	\$750.00	\$1,500.00	\$6,500.00
33 USC 2035(d) (RULE 35)		Failure of towed vessel to use proper signal in situation of restricted visibility.	\$250.00	\$750.00	\$1,500.00	\$6,500.00
33 USC 2035(e) (RULE 35)		Failure of pushing or pushed vessel rigidly connected, to use proper signal in situation of restricted visibility.	\$250.00	\$750.00	\$1,500.00	\$6,500.00
33 USC 2035(f) (RULE 35)		Failure of vessel at anchor to use proper signal in situation of restricted visibility.	\$250.00	\$750.00	\$1,500.00	\$6,500.00
33 USC 2035(g) (RULE 35)		Failure of vessel aground to use proper signal in situation of restricted visibility.	\$500.00	\$1,000.00	\$2,500.00	\$6,500.00
33 USC 2036 (RULE 36)		Failure to make light or sound signals to attract attention that cannot be mistaken for an aid to navigation or signal authorized in these Rules.	\$250.00	\$750.00	\$1,500.00	\$6,500.00
33 USC 2037 (RULE 37)		Failure of vessel in distress and requiring assistance to use and/or exhibit the signals described in Annex IV of the Rules of the Road.	\$500.00	\$1,000.00	\$2,500.00	\$6,500.00
Cites in 46 CFR						
46 CFR 2.10-20		Failure to comply with the requirements for vessel owners to pay fees before inspection or examination services are provided.	\$500.00	\$1,500.00	\$3,000.00	\$6,500.00
46 CFR 4.05-1		Failure to give immediate notice of a marine casualty involving the occurrence listed in 46 CFR 4.05-1.	\$5,000.00	\$10,000.00	*	\$27,500.00
46 CFR 4.05-5		Failure to include required items in the notice of a marine casualty.	\$1,000.00	\$3,000.00	\$6,000.00	\$27,500.00
46 CFR 4.05-10(a)		Failure to report a marine casualty in writing within five days to the Officer in Charge, Marine Inspection.	\$1,000.00	\$3,000.00	\$6,000.00	\$27,500.00
46 CFR 4.05-12(a)		Failure of a marine employer to determine whether there is any evidence of alcohol or drug use by individuals directly involved in a marine casualty.	\$1,000.00	\$3,000.00	\$5,000.00	\$25,000.00

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			<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
46 CFR 4.05-12(b)		Failure of a marine employer to report evidence of alcohol or drug use by individuals directly involved in a marine casualty.	\$1,000.00	\$3,000.00	\$5,000.00	\$25,000.00
46 CFR 4.05-12(c)		Failure to make an entry in the official log book pertaining to those individuals for whom evidence of intoxication was obtained.	\$1,000.00	\$3,000.00	\$5,000.00	\$25,000.00
46 CFR 4.05-12(d)		Failure to document the refusal to test of an individual in the official logbook and in the CG-2692.	\$1,000.00	\$3,000.00	\$5,000.00	\$25,000.00
46 CFR 4.05-15(a)		Failure to retain voyage records of a vessel involved in a marine casualty.	\$1,000.00	\$3,000.00	\$6,000.00	\$27,500.00
46 CFR 4.05-20		Failure to report an accident with a buoy or other aid to navigation under the Coast Guard's jurisdiction to the nearest Officer in Charge, Marine Inspection.	\$1,000.00	\$3,000.00	\$6,000.00	\$27,500.00
46 CFR 4.06-1(a)		Failure of a marine employer to make a determination as to whether the casualty is or is likely to become a serious marine incident.	\$1,000.00	\$3,000.00	\$6,000.00	\$25,000.00
46 CFR 4.06-1(b)		Failure of a marine employer to complete chemical testing for those individuals directly involved in a serious marine incident.	\$1,000.00	\$2,000.00	\$4,000.00	\$25,000.00
46 CFR 4.06-1(c)		Failure of a marine employer to complete chemical testing for those individuals determined by a law enforcement officer to be directly involved in a serious marine incident.	\$1,000.00	\$2,000.00	\$4,000.00	\$25,000.00
46 CFR 4.06-60		Failure of a marine employer to submit required reports and chemical test results for a serious marine incident.	\$1,000.00	\$2,000.00	\$4,000.00	\$25,000.00
46 CFR 4.06-60(b)		Failure of a marine employer to attach the required reports and chemical test results for a serious marine incident to the CG-2692.	\$1,000.00	\$2,000.00	\$4,000.00	\$25,000.00
46 CFR 10.109		Failure to pay licensing fees or charges.	\$1,000.00	\$2,500.00	\$5,000.00	\$5,000.00
46 CFR 12.02-7		Failure to comply with the requirements for Merchant Mariners' Documents.	\$100.00	\$250.00	\$500.00	\$650.00
46 CFR 15.401		Employment of an individual, or service in a position by an individual, without the appropriate license.	\$750.00	\$1,500.00	\$3,000.00	\$11,000.00
46 CFR 15.410		Failure to have an assistance towing vessel under the control of a properly licensed individual.	\$1,000.00	\$3,000.00	\$6,000.00	\$27,500.00
46 CFR 15.515(a)		Vessel operated without full compliment required by vessel's certificate of inspection.	\$1,000.00	\$2,000.00	\$4,000.00	\$11,000.00
46 CFR 15.515(b)		Failure of vessel on a voyage and subject to inspection, to be under the direction and control of an individual with the appropriate CG license.	\$1,000.00	\$2,000.00	\$4,000.00	\$11,000.00
46 CFR 15.520		Failure to comply with the requirements for Mobile Offshore Drilling Units (MODUs).	\$1,500.00	\$3,000.00	\$6,000.00	\$11,000.00

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			<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
46 CFR 15.605		Failure to have an uninspected passenger vessel under the control of a properly licensed individual.	\$1,000.00	\$2,000.00	\$4,000.00	\$27,500.00
46 CFR 15.610		Failure to have an uninspected towing vessel over 26 ft in length, under the control of a properly licensed individual.	\$1,000.00	\$2,000.00	\$4,000.00	\$27,500.00
46 CFR 15.701		Failure to comply with the requirements for the Officers' Competency Certificates Convention, 1936.	\$100.00	\$110.00	\$110.00	\$110.00
46 CFR 15.705		Failure to comply with the requirements for watches and watchstanding.	\$1,500.00	\$3,000.00	\$6,000.00	\$11,000.00
46 CFR 15.710		Failure to comply with the requirements for working hours.	\$1,500.00	\$3,000.00	\$6,000.00	\$11,000.00
46 CFR 15.720		Failure to comply with the requirements for use of non- U.S. licensed and/or documented personnel.	\$500.00	\$500.00	\$500.00	\$650.00
46 CFR 15.725		Failing to submit sailing short report as required.	\$500.00	\$1,000.00	\$1,000.00	\$1,100.00
46 CFR 15.730		Failure to comply with the language requirements for crew.	\$750.00	\$1,500.00	\$3,000.00	\$11,000.00
46 CFR 15.805(a)(1)		Failure to have a licensed Master on self-propelled, seagoing, documented vessels 200 GT and over.	\$3,000.00	\$6,000.00	\$10,000.00	\$11,000.00
46 CFR 15.805(a)(2)		Failure to have a licensed Master on self-propelled, inspected vessels.	\$3,000.00	\$6,000.00	\$10,000.00	\$11,000.00
46 CFR 15.805(a)(3)		Failure to have a licensed Master on inspected passenger vessels.	\$3,000.00	\$6,000.00	\$10,000.00	\$11,000.00
46 CFR 15.805(a)(4)		Failure to have a licensed Master on inspected small passenger vessels.	\$3,000.00	\$6,000.00	\$10,000.00	\$27,500.00
46 CFR 15.805(b)		Failure to have a U.S. citizen in command of a vessel.	\$3,000.00	\$6,000.00	\$10,000.00	\$11,000.00
46 CFR 15.810(b)		Failure to have the required number of mates on an inspected vessel.	\$2,000.00	\$4,000.00	\$8,000.00	\$11,000.00
46 CFR 15.810(c)		Failure to have a properly licensed mate on seagoing, documented vessels 200 GT and over.	\$2,000.00	\$4,000.00	\$8,000.00	\$11,000.00
46 CFR 15.812		Failure to have a federal pilot on board as required.	\$3,000.00	\$6,000.00	\$10,000.00	\$11,000.00
46 CFR 15.815(b)		Failure to have radar observer endorsements on deck officer licenses for radar-equipped, inspected vessels 300 GT and over.	\$2,000.00	\$4,000.00	\$8,000.00	\$11,000.00
46 CFR 15.815(c)		Failure to hold a valid endorsement, or a certificate from a Radar-Operation course, as a radar observer on uninspected towing vessels of 8 meters (approx. 26 ft) or more in length.	\$1,000.00	\$2,500.00	\$5,000.00	\$27,500.00
46 CFR 15.820(a)		Failure to have a Chief Engineer on board inspected vessels as required.	\$3,000.00	\$6,000.00	\$10,000.00	\$11,000.00
46 CFR 15.820(b)		Failure to have a properly licensed Chief Engineer on mechanically-propelled, seagoing, documented vessels 200 GT and over.	\$3,000.00	\$6,000.00	\$10,000.00	\$11,000.00

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46 CFR 15.825(a)		Failure to have properly licensed assistant engineers on mechanically-propelled, seagoing, documented vessels 200 GT and over.	\$2,000.00	\$4,000.00	\$8,000.00	\$11,000.00
46 CFR 15.825(b)		Failure to have the required number of assistant engineers.	\$2,000.00	\$4,000.00	\$8,000.00	\$11,000.00
46 CFR 15.835		Employment of, or service by, an unregistered staff officer.	\$500.00	\$1,500.00	\$3,000.00	\$11,000.00
46 CFR 15.840		Failure to have the required number of able seamen in the crew.	\$500.00	\$1,500.00	\$3,000.00	\$11,000.00
46 CFR 15.855(a)		Failure to provide a suitable number of watchmen on passenger vessels operating at night.	\$500.00	\$750.00	\$1,000.00	\$1,100.00
46 CFR 15.855(b)		Failure to provide a suitable number of watchmen trained in fire fighting on fish processing vessels over 100 GT.	\$250.00	\$500.00	\$1,000.00	\$1,100.00
46 CFR 16.201		Failure of a marine employer to comply with the requirements concerning chemical testing of personnel in accordance with this subpart and 49 CFR Part 40.	\$1,000.00	\$2,000.00	\$4,000.00	\$5,500.00
46 CFR 16.210		Failure of a marine employer to conduct required pre-employment chemical testing for dangerous drugs.	\$1,000.00	\$2,000.00	\$4,000.00	\$5,500.00
46 CFR 16.230		Failure of a marine employer to conduct required random chemical testing for dangerous drugs.	\$1,000.00	\$2,000.00	\$4,000.00	\$5,500.00
46 CFR 16.250		Failure of a marine employer to conduct required reasonable cause chemical testing for dangerous drugs.	\$1,000.00	\$2,000.00	\$4,000.00	\$5,500.00
46 CFR 16.260		Failure of a marine employer to maintain required chemical test records.	\$1,000.00	\$2,000.00	\$4,000.00	\$5,500.00
46 CFR 16.401		Failure of a marine employer to provide an Employee Assistance Program for all crewmembers.	\$1,000.00	\$2,000.00	\$4,000.00	\$5,500.00
46 CFR 16.500		Failure of a marine employer to submit a Management Information System report.	\$1,000.00	\$2,000.00	\$4,000.00	\$5,500.00
46 CFR 25.25-5(a)		Operation of a vessel without meeting the requirements of this subpart.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 25.25-5(b)		Operation of a vessel not carrying passengers for hire, less than 40 ft in length, with an insufficient number or type of approved or suitable sized personal flotation devices.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 25.25-5(c)		Operation of a vessel carrying passengers for hire, or a vessel 40 ft or more in length, with an insufficient number or type of approved or suitable sized personal flotation devices.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 25.25-5(d)		Operation of a vessel 26 ft or more in length without at least one Coast Guard approved ring life buoy.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 25.25-5(f)(1)		An approved commercial hybrid PFD not used in accordance with the conditions marked on that PFD and/or in the owner's manual.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 25.25-5(f)(2)		An approved commercial hybrid PFD not labeled for use on a commercial vessel.	\$100.00	\$500.00	\$1,000.00	\$6,500.00

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46 CFR 25.25-5(f)(3)		A Type V commercial hybrid PFD not worn when vessel was underway and intended wearer was not within an enclosed space.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 25.25-7		The lifesaving equipment was not legibly marked as specified in subchapter Q of title 46.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 25.25-9(a)		The lifesaving equipment designed to be worn and required by 46 CFR 25.25-5(b), (c) and (e) was not readily accessible.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 25.25-9(b)		The lifesaving equipment designed to be thrown and required by 46 CFR 25.25-5(d) was not immediately available.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 25.25-11		Lifesaving equipment was not in a serviceable condition.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 25.25-13(b)		An approved personal flotation device light was not provided for each immersion suit, life preserver, marine buoyant device, and buoyant vest.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 25.25-13(c)		Personal flotation device light not securely attached to front shoulder area of immersion suit, life preserver, or personal flotation device.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 25.25-13(d)		Use of personal flotation device light that is unserviceable or after expiration of power source.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 25.25-15(a)		Type I retroreflective material was not provided on each life preserver, marine buoyant device, and buoyant vest.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 25.25-15(b)		At least 200 sq. cm. (31 sq. in.) of retroreflective material was not attached to the front and back side of lifesaving device and equally distributed.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 25.26-5(a)		Failure of owner of a commercial fishing vessel 11 meters or more in length to operate vessel with the required EPIRB on board.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 25.26-5(b)		Failure of owner of a commercial fishing vessel less than 11 meters in length to operate vessel with the required EPIRB on board.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 25.26-5(c)		Failure of owner of a commercial fishing vessel 11 meters or more in length, without an installed galley or berthing facilities, to operate vessel with the required EPIRB on board.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 25.26-20(a)		Failure of owner of a manned uninspected commercial vessel 11 meters or more in length to operate vessel with the required EPIRB on board.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 25.26-20(b)		Failure of owner of a manned uninspected commercial vessel less than 11 meters in length to operate vessel with the required EPIRB installed on board.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 25.26-50(a)		Failure of master, of vessel required to have an EPIRB, to ensure each EPIRB on board is tested and serviced as required by this section.	\$100.00	\$500.00	\$1,000.00	\$6,500.00

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			<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
46 CFR 25.26-50(c)(1)		Failure to replace EPIRB battery immediately after the EPIRB is used for any purpose, other than being tested.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 25.26-50(c)(2)		Failure to replace EPIRB battery before the expiration date marked on the battery.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 25.30-5(b)		Fire extinguishing equipment on board vessel was not of an approved type.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 25.30-10(d)		Portable fire extinguisher does not have metallic name plate attached giving name, rated capacity, name of person or firm for whom approved, and identifying mark of manufacturer.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 25.30-10(e)		Use of a vaporizing-liquid type fire extinguisher containing a toxic vaporizing liquid.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 25.30-10(f)		Hand portable or semiportable extinguishers were not protected from freezing as required.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 25.30-10(g)		Failed to maintain and/or inspect dry chemical or stored pressure fire extinguishers not fitted with pressure gauges or indicating devices.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 25.30-15		Installed fixed fire extinguishing system not of approved type or, if carbon dioxide system, not designed and installed in accordance with 46 CFR 76.15.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 25.30-20(a)		Required number of Coast Guard approved fire extinguishers were not on board a motorboat.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 25.30-20(b)		Required number of Coast Guard approved fire extinguishers were not on board an uninspected passenger vessel of at least 100 GT.	\$100.00	\$500.00	\$1,000.00	\$1,100.00
46 CFR 25.30-20(c)(1)		Required number of Coast Guard approved fire extinguishers were not on board a motor vessel.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 25.30-20(c)(2)(i)		Required number of Coast Guard approved portable fire extinguishers were not provided in the machinery space.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 25.30-20(c)(2)(ii)		Required Coast Guard approved semiportable or fixed fire extinguishing system not fitted in the machinery space.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 25.30-20(c)(3)		Required frame or support for each Type B-III fire extinguisher not welded or otherwise permanently attached to a bulkhead or deck.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 25.30-20(c)(4)		An approved semi portable fire extinguisher with wheels, not in use, and not required, was not securely stowed.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 25.30-20(d)		Required number of Coast Guard approved fire extinguishers not on board a barge carrying passengers.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 25.35-1(a)		Vessel not equipped with an acceptable means of backfire flame control.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 25.35-1(c)		Vessel's backfire flame arresters not serviceable or in good condition.	\$100.00	\$500.00	\$1,000.00	\$6,500.00

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46 CFR 25.40-1(a)		Vessel did not have at least two ventilator ducts, fitted with cowls or their equivalent for efficient removal of explosive or flammable gases.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 26.03-1		Failure of operator to perform a safety orientation before getting underway in any vessel carrying six or fewer passengers for hire.	\$100.00	\$500.00	\$1,000.00	\$1,100.00
46 CFR 26.03-2		Failure of operator of vessel carrying 6 or less passengers to ensure that an emergency check off list is posted containing applicable portions.	\$100.00	\$500.00	\$1,000.00	\$1,100.00
46 CFR 26.20-1		Failure to have valid CG license in possession and available for CG boarding officer when vessel is carrying passengers for hire.	\$150.00	\$750.00	\$1,500.00	\$1,100.00
46 CFR 26.30-10		Failure to stow approved buoyant work vests separate from regular stowage of required lifesaving equipment.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 28.80		Failure to submit the required report for commercial fishing vessel casualties.	\$5,000.00	\$10,000.00	*	\$27,500.00
46 CFR 28.100		Failure of commercial fishing industry vessel to meet the requirements of Parts 24, 25, 26 and 28.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 28.105		Failure to meet the general requirements for lifesaving equipment.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 28.110		Failure to meet the requirements for life preservers or other personal flotation devices.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 28.115		Failure to comply with the requirements for ring life buoys.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 28.120		Failure to comply with the requirement for a survival craft.	\$500.00	\$1,500.00	\$3,000.00	\$6,500.00
46 CFR 28.125		Failure to comply with the stowage requirements for survival craft.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 28.130		Failure to comply with the requirements for survival craft equipment.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 28.135		Failure to properly mark lifesaving equipment as required.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 28.140		Failure to maintain, inspect, or have lifesaving equipment readily accessible and ready for immediate use.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 28.145		Failure to equip vessel with proper types and amounts of required distress signals.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 28.150		Failure to have the required EPIRB on board.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 28.155		Failure to comply with the conditions for permitted excess fire detection and prevention equipment.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 28.160		Failure to ensure vessel is equipped with the proper number, type, and location of portable fire extinguishers.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 28.165		Failure to post required injury placard.	\$100.00	\$500.00	\$1,000.00	\$6,500.00

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46 CFR 28.205		Failure to have the required fireman's outfits and/or self-contained breathing apparatus.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 28.210		Failure to have the required first aid equipment and/or required number of trained persons onboard.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 28.215		Failure to have suitable guards for exposed hazards.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 28.225		Failure to equip vessel with the required navigational charts and publications.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 28.230		Failure to have an operable magnetic compass with deviation table at the operating station.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 28.235(a)		Failure to have appropriate anchors and ground tackle for the vessel and the waters of intended operation.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 28.235(b)		Failure to have a nonmetallic hull vessel equipped with a required radar reflector.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 28.240		Failure to comply with the requirements for a general alarm system.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 28.245		Failure to comply with the requirements for communication equipment.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 28.250		Failure to equip a vessel 36 ft or over with the required high water alarms.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 28.255		Failure to comply with the requirements for bilge pumps, piping, and dewatering systems.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 28.260		Failure to equip a vessel 79 feet or over with an electronic position fixing device suitable for the area of operation.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 28.265		Failure to comply with the requirements for providing emergency instructions for crew members.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 28.270		Failure to comply with the requirements for instruction, drills and safety orientations.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 28.710		Failure to comply with the requirements for examination and certification of fish processing vessels.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 28.720		Failure to comply with the requirements for classification and carriage of a certificate from the classification organization.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 30.01-10		Failure to perform alterations or repairs in accordance with the regulations or under the direction of the OCMI.	\$3,000.00	\$6,000.00	\$10,000.00	\$32,500.00
46 CFR 30.25-3		Failure of person in charge to ensure compliance with requirements for benzene cargo as required by 46 CFR 197.	\$500.00	\$1,500.00	\$3,000.00	\$32,500.00
46 CFR 31.01-1		Operation of a tank vessel without ensuring a certificate of inspection was conducted, 1600 GT or more.	\$2,500.00	\$5,000.00	\$10,000.00	\$32,500.00

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46 CFR 31.01-1		Operation of a tank vessel without ensuring a certificate of inspection was conducted, <1600 GT.	\$750.00	\$1,500.00	\$2,000.00	\$32,500.00
46 CFR 31.01-15		Failure to make application for inspection incident to reissuance of Certificate of Inspection (COI).	\$500.00	\$1,500.00	\$3,000.00	\$32,500.00
46 CFR 31.05-1(a)		Operation of tank vessel without a valid certificate of inspection, 1600 GT or more.	\$2,500.00	\$5,000.00	\$10,000.00	\$32,500.00
46 CFR 31.05-1(a)		Operation of tank vessel without a valid certificate of inspection, <1600 GT.	\$750.00	\$1,500.00	\$2,000.00	\$32,500.00
46 CFR 31.05-5		Failure to frame and/or conspicuously post the certificate of inspection.	\$500.00	\$1,500.00	\$3,000.00	\$6,500.00
46 CFR 31.05-10(a)		Operation of a tank vessel after expiration of the certificate of inspection, 1600 GT or more.	\$2,500.00	\$5,000.00	\$10,000.00	\$32,500.00
46 CFR 31.05-10(a)		Operation of a tank vessel after expiration of the certificate of inspection, <1600 GT.	\$750.00	\$1,500.00	\$2,000.00	\$32,500.00
46 CFR 31.05-10(c)		Operation of a tank vessel after revocation or suspension of the certificate of inspection, 1600 GT or more.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00
46 CFR 31.05-10(c)		Operation of a tank vessel after revocation or suspension of the certificate of inspection, <1600 GT.	\$1,000.00	\$2,000.00	\$2,000.00	\$32,500.00
46 CFR 31.05-15		Failure to comply with terms and/or endorsements of certificate of inspection for tank vessel.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 31.10-16(a)		Failure to provide certification of cargo gear.	\$750.00	\$1,500.00	\$3,000.00	\$32,500.00
46 CFR 31.10-17(a)		Failure to conduct annual or periodic inspection of a tank vessel, <1600 GT.	\$750.00	\$1,500.00	\$2,000.00	\$32,500.00
46 CFR 31.10-17(a)		Failure to conduct annual or periodic inspection of a tank vessel, 1600 GT or more.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 31.10-18(a)		Failure to ensure required inspections and tests of fire extinguishing equipment were performed.	\$3,000.00	\$6,000.00	\$10,000.00	\$32,500.00
46 CFR 31.10-18a		Failure to ensure fire fighting equipment required for liquefied gas vessels is tested and inspected every 12 months.	\$3,000.00	\$6,000.00	\$10,000.00	\$32,500.00
46 CFR 31.10-21		Failure to conduct drydock examination.	\$750.00	\$1,500.00	\$3,000.00	\$32,500.00
46 CFR 31.10-22		Failure to notify the OCMI that a tank vessel was drydocked.	\$500.00	\$1,500.00	\$3,000.00	\$32,500.00
46 CFR 31.10-25		Conducted unauthorized extensive repairs/alterations to the hull or machinery of a tank vessel.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 31.25-1		Operation of a tank vessel not in compliance with the requirements for load lines in 46 CFR 42 to 45.	\$500.00	\$1,500.00	\$3,000.00	\$32,500.00

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46 CFR 31.30-1		Operation of a tank vessel not in compliance with the marine engineering requirements in 46 CFR 50 to 63.	\$500.00	\$1,500.00	\$3,000.00	\$32,500.00
46 CFR 31.35-1		Operation of a tank not in compliance with the electrical engineering requirements in 46 CFR Subchapter J.	\$500.00	\$1,500.00	\$3,000.00	\$32,500.00
46 CFR 31.40-5		Operation of a tank vessel on an international voyage without required SOLAS Cargo Ship Safety Construction certificate.	\$500.00	\$1,500.00	\$3,000.00	\$32,500.00
46 CFR 31.40-35		Failure to post SOLAS certificates in a prominent and accessible location.	\$500.00	\$1,500.00	\$3,000.00	\$32,500.00
46 CFR 32.02-15		All exposed and dangerous places such as gears and machinery shall be properly protected with covers, guards or rails.	\$500.00	\$1,500.00	\$3,000.00	\$32,500.00
46 CFR 32.53-5		Failure of master to ensure the inert gas system is operated as necessary to maintain an inert atmosphere in the cargo tanks.	\$750.00	\$1,500.00	\$3,000.00	\$32,500.00
46 CFR 32.53-10(a)		Failure to have required inert gas system that meets the requirements of this subpart and is approved IAW 46 CFR 50.20.	\$750.00	\$1,500.00	\$3,000.00	\$32,500.00
46 CFR 34.05-1		Failure to comply with the requirements, arrangements, or details of fire main system including fire pumps, piping, hydrants, hose and nozzles.	\$750.00	\$1,500.00	\$3,000.00	\$32,500.00
46 CFR 34.05-5		Failure to comply with the requirements for installed fire-extinguishing systems on all tankships described in Part 34.	\$750.00	\$1,500.00	\$3,000.00	\$32,500.00
46 CFR 34.05-10		Failure to comply with requirements set forth in subpart 34.50 for portable and semiportable extinguishers on board tank vessels.	\$750.00	\$1,500.00	\$3,000.00	\$32,500.00
46 CFR 34.50-10(a)		Failure to install portable and semiportable extinguishers in accordance with Table 34.50-10(a).	\$750.00	\$1,500.00	\$3,000.00	\$32,500.00
46 CFR 35.01-1(b)		Conducting hot work on a tank vessel without a determination that the work can be done safely in accordance with NFPA No.306.	\$750.00	\$1,500.00	\$3,000.00	\$32,500.00
46 CFR 35.01-10		Failure to have the required shipping papers on board.	\$750.00	\$1,500.00	\$3,000.00	\$32,500.00
46 CFR 35.01-35(a)		Unauthorized extensive repairs or alterations made to tank vessel firefighting equipment.	\$750.00	\$1,500.00	\$3,000.00	\$32,500.00
46 CFR 35.01-50		Failure to comply with the special operating requirements for tank barges carrying certain dangerous bulk cargoes.	\$750.00	\$1,500.00	\$3,000.00	\$32,500.00
46 CFR 35.05-1		Navigating a tank vessel without the complement of licensed officers or crew required by regulation and the certificate of inspection.	\$2,000.00	\$4,000.00	\$8,000.00	\$32,500.00
46 CFR 35.05-15		Failure to comply with the requirements for watchmen on tank vessels.	\$2,000.00	\$4,000.00	\$8,000.00	\$32,500.00

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46 CFR 35.07-5		Failure to provide and maintain logbooks and records.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
46 CFR 35.20-1		Failure of licensed officer to become acquainted with the latest aids to navigation information published.	\$750.00	\$1,500.00	\$3,000.00	\$32,500.00
46 CFR 35.20-10		Failure to comply with the steering gear test requirements.	\$750.00	\$1,500.00	\$3,000.00	\$32,500.00
46 CFR 35.30-1(a)		Failed to display a red warning signal (flag by day, electric lantern by night).	\$750.00	\$1,500.00	\$3,000.00	\$32,500.00
46 CFR 35.30-1(b)		Failed to display a proper warning sign at gangway.	\$750.00	\$1,500.00	\$3,000.00	\$32,500.00
46 CFR 35.30-1(c)		Failed to display a proper warning sign in radio room.	\$750.00	\$1,500.00	\$3,000.00	\$32,500.00
46 CFR 35.30-5(c)		Smoking in prohibited spaces on board a tank vessel.	\$750.00	\$1,500.00	\$3,000.00	\$32,500.00
46 CFR 35.30-10		Open cargo tank hatches, ullage holes or Butterworth plates not supervised or fitted with proper flame screens.	\$750.00	\$1,500.00	\$3,000.00	\$32,500.00
46 CFR 35.30-15		Failure to have a suitable combustible gas indicator on board U.S. flag tank vessels.	\$750.00	\$1,500.00	\$3,000.00	\$32,500.00
46 CFR 35.30-20		Failure to provide the required emergency equipment.	\$750.00	\$1,500.00	\$3,000.00	\$32,500.00
46 CFR 35.30-30		Use of unauthorized portable electrical equipment in a hazardous location.	\$750.00	\$1,500.00	\$3,000.00	\$32,500.00
46 CFR 35.35-70		Failure to maintain cargo handling equipment in accordance with the regulations.	\$750.00	\$1,500.00	\$3,000.00	\$32,500.00
46 CFR 42.07-50		Penalties for failure to take reasonable care to prevent a violation of loading restrictions.	\$750.00	\$1,500.00	\$3,000.00	\$11,000.00
46 CFR 42.09-1(b)		Failure of each vessel subject to load line requirements to carry on board a valid certificate.	\$1,500.00	\$3,000.00	\$6,000.00	\$6,500.00
46 CFR 42.09-1(c)		Failure of master of vessel subject to load line requirements to maintain on board a valid load line certificate or current survey report.	\$1,500.00	\$3,000.00	\$6,000.00	\$6,500.00
46 CFR 42.09-15		Failure to have required surveys by the American Bureau of Shipping or assigning authority.	\$1,000.00	\$2,000.00	\$4,000.00	\$6,500.00
46 CFR 42.09-15(d)		Failure of required vessels to have annual surveys, within three months either way of the certificate's anniversary date.	\$1,000.00	\$2,000.00	\$4,000.00	\$6,500.00
46 CFR 42.09-50(a)		Making unauthorized changes to vessel structure, equipment, arrangement, materials or scantlings after an initial or annual load line survey.	\$2,500.00	\$5,000.00	\$6,500.00	\$6,500.00
46 CFR 42.13		Failure to mark or maintain load line as required.	\$1,500.00	\$3,000.00	\$6,000.00	\$6,500.00
46 CFR 42.15-45		Failure to comply with the requirements for vent outlets from all tanks which may emit flammable or combustible vapors.	\$750.00	\$1,500.00	\$3,000.00	\$6,500.00
46 CFR 67.121		Failure to comply with the marking requirements for the official number of the documented vessel.	\$500.00	\$1,000.00	\$2,500.00	\$10,000.00

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For 33 CFR 104, 105 and 106, Proposed Penalty Amounts shall be multiplied by **1.5** and **2** for violations that occur during MARSEC Levels 2 and 3, respectively

<u>Cite</u>	<u>SSI</u>	<u>Description</u>	<u>Proposed Penalty Amount</u>			<u>Maximum Penalty Amount</u>
			<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
46 CFR 67.123		Failure to comply with the marking requirements for the name and the hailing port of the vessel.	\$500.00	\$1,000.00	\$2,500.00	\$10,000.00
46 CFR 67.163		Failure to comply with the requirements for renewal of endorsements.	\$500.00	\$1,000.00	\$2,500.00	\$11,000.00
46 CFR 67.167(b)		Operating a vessel with a COD which is invalid for any of the reasons listed in (b)(1) thru (b)(6).	\$1,000.00	\$3,000.00	\$5,000.00	\$11,000.00
46 CFR 67.311		Intentionally altering a Certificate of Documentation.	\$1,000.00	\$3,000.00	\$5,000.00	\$11,000.00
46 CFR 67.313		Failure of person in command of a documented vessel to have on board the original Certificate of Documentation currently in effect.	\$500.00	\$1,000.00	\$2,500.00	\$11,000.00
46 CFR 67.315		Failure of person in command of documented vessel to produce current & original COD upon demand of person acting in official public capacity.	\$500.00	\$1,000.00	\$2,500.00	\$11,000.00
46 CFR 67.317		Failure to renew annually each endorsement for the current Certificate of Documentation in accordance with 46 CFR 66.163.	\$500.00	\$1,000.00	\$2,500.00	\$11,000.00
46 CFR 67.319		Failure of documented vessel owner to immediately report any change in vessel status or to surrender the COD in accordance with requirements.	\$500.00	\$1,000.00	\$2,500.00	\$11,000.00
46 CFR 67.321		Failure to immediately report a change in address of the managing owner of a documented vessel.	\$500.00	\$1,000.00	\$2,500.00	\$11,000.00
46 CFR 67.323		Operating a vessel in unlimited coastwise trade, the Great Lakes trade, or the fisheries without being documented in accordance with requirements of this part.	\$2,500.00	\$5,000.00	\$10,000.00	\$11,000.00
46 CFR 67.325		Operating a vessel in any trade other than a trade endorsed upon the COD.	\$2,500.00	\$5,000.00	\$10,000.00	\$11,000.00
46 CFR 67.327		Operating a vessel under a COD with endorsements which have become invalid under subpart L of this part.	\$2,500.00	\$5,000.00	\$10,000.00	\$11,000.00
46 CFR 67.329		Failure of owner to comply with the requirements for name changes of a documented vessel.	\$500.00	\$1,000.00	\$2,500.00	\$11,000.00
46 CFR 67.331		The owner of a documented vessel shall not permit operation of that vessel unless it is marked in accordance with subpart I of this part.	\$500.00	\$1,000.00	\$2,500.00	\$11,000.00
46 CFR 69.5(a)		Failure to have a vessel measured as required by law and/or regulation.	\$750.00	\$1,500.00	\$3,000.00	\$27,000.00
46 CFR 69.19		Failure to comply with the requirements for remeasurement and adjustment of tonnage.	\$500.00	\$1,000.00	\$2,500.00	\$27,000.00
46 CFR 71.01-1(a)		Operation of a vessel subject to inspection under 46 CFR Subchapter H without a valid certificate of inspection, 1600 GT or more.	\$2,500.00	\$5,000.00	\$10,000.00	\$11,000.00
46 CFR 71.01-1(a)		Operation of a passenger vessel without a valid certificate of inspection, <1600 GT.	\$750.00	\$1,500.00	\$2,000.00	\$2,200.00

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			<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
46 CFR 71.01-5		Failure to frame and/or display the certificate of inspection in a conspicuous place on a passenger vessel.	\$250.00	\$750.00	\$1,500.00	\$6,500.00
46 CFR 71.01-10(a)		Operation of a passenger vessel after expiration of the certificate of inspection, 1600 GT or more.	\$1,000.00	\$2,500.00	\$5,000.00	\$11,000.00
46 CFR 71.01-10(a)		Operation of a passenger vessel after expiration of the certificate of inspection, <1600 GT.	\$500.00	\$1,000.00	\$2,000.00	\$2,200.00
46 CFR 71.30-1		Failure to conduct required re-inspection(s) for a passenger vessel, 1600 GT or more.	\$1,000.00	\$2,500.00	\$5,000.00	\$6,500.00
46 CFR 71.30-1		Failure to conduct required re-inspection(s) for a passenger vessel, <1600 GT.	\$500.00	\$1,000.00	\$2,000.00	\$6,500.00
46 CFR 71.50-3		Failure to conduct drydock or internal structural examination within required intervals for a passenger vessel, 1600 GT or more.	\$1,000.00	\$2,500.00	\$5,000.00	\$6,500.00
46 CFR 71.50-3		Failure to conduct drydock or internal structural examination within required intervals for a passenger vessel, <1600 GT.	\$500.00	\$1,000.00	\$2,000.00	\$6,500.00
46 CFR 71.50-35(a)		Failure to notify the OCMI when a passenger vessel is drydocked for any reason.	\$500.00	\$1,000.00	\$2,000.00	\$6,500.00
46 CFR 71.55-1(a)		Making repairs to the hull, machinery or equipment of a passenger vessel without the knowledge of the OCMI.	\$750.00	\$1,500.00	\$3,000.00	\$6,500.00
46 CFR 78.30-15		Failure to comply with the prescribed watchmen requirements at all times when passengers are on board vessel.	\$250.00	\$500.00	\$1,000.00	\$1,100.00
46 CFR 78.60-1(a)		Operation of a passenger vessel not in compliance with the certificate of inspection.	\$1,000.00	\$2,500.00	\$5,000.00	\$6,500.00
46 CFR 91.01-1(a)		Operation of a vessel subject to inspection under 46 CFR Subchapter I without a valid certificate of inspection, 1600GT or more.	\$2,500.00	\$5,000.00	\$10,000.00	\$11,000.00
46 CFR 91.01-1(a)		Operation of a cargo or miscellaneous vessel without a valid certificate of inspection, <1600 GT.	\$750.00	\$1,500.00	\$2,000.00	\$2,200.00
46 CFR 91.01-5		Failure to frame and/or display the certificate of inspection in a conspicuous place on a cargo or miscellaneous vessel.	\$250.00	\$750.00	\$1,500.00	\$6,500.00
46 CFR 91.27-1		Failure to conduct the required annual or periodic inspection for a cargo or miscellaneous vessel, 1600 GT or more.	\$1,500.00	\$3,000.00	\$6,000.00	\$6,500.00
46 CFR 91.27-1		Failure to conduct the required annual or periodic inspection for a cargo or miscellaneous vessel, <1600 GT.	\$500.00	\$1,000.00	\$2,000.00	\$6,500.00
46 CFR 91.40-3(a)		Failure to conduct required drydock, internal structural, or cargo tank internal examination for a cargo or miscellaneous vessel, 1600 GT or more.	\$1,500.00	\$3,000.00	\$6,000.00	\$6,500.00

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			<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
46 CFR 91.40-3(a)		Failure to conduct required drydock, internal structural, or cargo tank internal examination for a cargo or miscellaneous vessel, <1600 GT.	\$500.00	\$1,000.00	\$2,000.00	\$6,500.00
46 CFR 91.40-5(a)		Failure to notify the OCMI when a cargo or miscellaneous vessel is drydocked for any reason.	\$500.00	\$1,000.00	\$2,000.00	\$6,500.00
46 CFR 91.45-1(a)		Making repairs or alterations to the hull, machinery or equipment of a cargo or miscellaneous vessel without the knowledge of the OCMI.	\$750.00	\$1,500.00	\$3,000.00	\$6,500.00
46 CFR 95.05-1		Failure to properly maintain installed fire detecting, manual alarm, or supervised patrol systems.	\$500.00	\$1,000.00	\$2,000.00	\$6,500.00
46 CFR 97.05-1		Failure of licensed deck officer to become acquainted with the latest aid to navigation information published.	\$500.00	\$1,000.00	\$2,000.00	\$6,500.00
46 CFR 97.05-5		Failure to carry adequate and up-to-date charts and nautical publications, as listed, appropriate for the intended voyage.	\$500.00	\$1,000.00	\$2,000.00	\$6,500.00
46 CFR 97.15-7(a)		Failure of the master or person in charge to ensure vessel complies with all applicable stability requirements.	\$500.00	\$1,000.00	\$2,000.00	\$6,500.00
46 CFR 97.50-1(a)		Operation of a cargo or miscellaneous vessel not in compliance with the certificate of inspection.	\$1,000.00	\$2,500.00	\$5,000.00	\$6,500.00
46 CFR 148.01-7		Failure to comply with the requirements for transporting permitted or unlisted solid hazardous materials in bulk.	\$5,000.00	\$10,000.00	*	\$32,500.00
46 CFR 148.01-9		Failure to comply with the requirements for obtaining special permits.	\$3,000.00	\$6,000.00	\$10,000.00	\$32,500.00
46 CFR 148.01-11		Failure to comply with special permit requirements.	\$3,000.00	\$6,000.00	\$10,000.00	\$32,500.00
46 CFR 148.02-1		Failure to have shipping papers for shipment of solid bulk hazardous materials.	\$3,000.00	\$6,000.00	\$10,000.00	\$32,500.00
46 CFR 148.02-3(a)		Failure to have a properly prepared dangerous cargo manifest for solid bulk hazardous materials.	\$5,000.00	\$10,000.00	*	\$32,500.00
46 CFR 148.03-3		Failure to properly direct or observe the loading or off-loading of solid bulk hazardous materials.	\$3,000.00	\$6,000.00	\$10,000.00	\$32,500.00
46 CFR 148.03-5		Failure to properly prepare vessel holds before loading of solid bulk hazardous materials.	\$5,000.00	\$10,000.00	*	\$32,500.00
46 CFR 148.03-7		Failure to comply with the requirements for inspections of solid bulk hazardous materials during transport.	\$3,000.00	\$6,000.00	\$10,000.00	\$32,500.00
46 CFR 148.03-11		Failure to comply with the stowage requirements for solid bulk hazardous materials.	\$5,000.00	\$10,000.00	*	\$32,500.00
46 CFR 148.03-13		Failure to properly clean holds after off-load of solid bulk hazardous materials.	\$3,000.00	\$6,000.00	\$10,000.00	\$32,500.00

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			<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
46 CFR 148.04-1		Failure to comply with the special requirements for radioactive material with low specific activity (LSA).	\$5,000.00	\$10,000.00	*	\$32,500.00
46 CFR 148.04-9		Failure to comply with the special requirements for fishmeal or fishmeal mixtures.	\$5,000.00	\$10,000.00	*	\$32,500.00
46 CFR 148.04-13		Failure to comply with the special requirements for ferrous metal borings, shavings, turnings, or cuttings.	\$5,000.00	\$10,000.00	*	\$32,500.00
46 CFR 148.04-15		Loading of petroleum coke (uncalcined or uncalcined mixture) at a material temperature of 130 degrees F or above.	\$5,000.00	\$10,000.00	*	\$32,500.00
46 CFR 148.04-17		Failure to comply with the special requirements for the loading of petroleum coke, calcined, at a material temperature of 130 degrees F or above.	\$5,000.00	\$10,000.00	*	\$32,500.00
46 CFR 148.04-19		Failure to comply with the special requirements for tankage, garbage, or rough ammoniate (solid).	\$5,000.00	\$10,000.00	*	\$32,500.00
46 CFR 148.04-20		Failure to comply with the special requirements for the shipment of sulfur in bulk.	\$5,000.00	\$10,000.00	*	\$32,500.00
46 CFR 148.04-21		Failure to comply with the special requirements for the shipment of coconut meal (copra) pellets.	\$5,000.00	\$10,000.00	*	\$32,500.00
46 CFR 148.04-23		Failure to comply with the special requirements for shipment of unslaked lime in bulk.	\$5,000.00	\$10,000.00	*	\$32,500.00
46 CFR 150.130		Failure of person in charge of a vessel to ensure that the containment system for a hazardous material cargo meets the prescribed requirements.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 151.04-1(a)		Carriage of hazardous materials on a U.S. tank barge without a valid certificate of inspection.	\$3,000.00	\$6,000.00	\$10,000.00	\$32,500.00
46 CFR 151.04-1(c)		Carriage of hazardous materials on a U.S. tank barge without endorsements for specific cargoes on the certificate of inspection.	\$2,000.00	\$4,000.00	\$8,000.00	\$32,500.00
46 CFR 151.12-10		Improper operation of oceangoing non-self propelled ships carrying category D NLS.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 151.13-5		Failure to ensure proper segregation of bulk dangerous cargoes.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 151.20-1		Failure to comply with the cargo piping system requirements.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 151.20-5		Failure to comply with the cargo system valving requirements.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 151.30-1		Improper type and/or installation of portable fire extinguishers.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 151.45-2		Failure to comply with the special operating requirements for barges carrying bulk liquid hazardous material cargoes.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 151.45-4		Failure to comply with cargo handling requirements for bulk liquid hazardous materials.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00

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46 CFR 153.554		Failure to comply with the special requirements for acids.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.900		Failure to provide required certificates or authorizations to carry bulk liquid hazardous material.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.900(a)(2)		Failure to have Subchapter D or I certificate of inspection endorsed to allow the cargo tank to carry the cargo on U.S. vessels.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.900(a)(3)		Failure to have a certificate of compliance endorsed to allow the cargo tank to carry the cargo on foreign vessels.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.901		Failure to comply with posting, availability and alteration of documents as required.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.901(a)		Operating a U.S. ship carrying hazardous materials in bulk without the Certificate of Inspection (COI) readily available on the ship.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.901(b)		Operating a foreign ship carrying hazardous materials in bulk without the Certificate of Inspection (COI) or Compliance (COC) readily available on the ship.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.902		Operating a foreign ship carrying hazardous materials in bulk with an invalid Certificate of Compliance (COC).	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.904		Failure to abide by the endorsement limitations on the Certificate of Inspection (COI) or Compliance (COC).	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.905		Operating a ship carrying hazardous materials in bulk without the most recent editions of 46 CFR parts 35, 150 and 153 onboard.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.907		Operating a ship carrying hazardous materials in bulk without the required cargo information.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.908(a)		Operating a ship carrying hazardous materials in bulk without the required statement regarding categories A, B, or C NLS cargoes.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.909(a)		Failure to make required entries in the cargo record book.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.909(b)		Failure to have the cargo record book on board and available for inspection and copying.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.909(c)		Failure of the officer in charge or surveyor to sign the cargo record book after each entry.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.909(d)		Failure of the person in charge of a vessel to sign each completed page of the cargo record book.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.909(e)		Failure of the ship owner or operator to retain the Cargo Record Book/discharge recordings on board the ship for at least three years.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.910		Operation of a tankship without the required cargo piping plan.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00

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46 CFR 153.912(a)		Operation of a tankship without the required certificate of inhibition or stabilization.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.923		Failure of the master to ensure the inert gas system is operating correctly when cargo is required to be inerted.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.930		Failure to have on board the appropriate antidotes when a tankship is carrying a cargo listed in Table 1, 46 CFR 153.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.931		Failure of the master to ensure all cargo pumproom ladders are unobstructed at all times.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.932		Failure of the master to ensure personnel wear goggles and other protective equipment or clothing when required.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.933		Failure of the master to ensure personnel wear chemical protective clothing when required.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.934(a)		Failure to obtain permission from the master prior to entry into spaces containing cargo vapor.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.934(b)		Failure of the master to ensure safe entry of a cargo tank, cargo handling space, pumproom or other enclosed space in the cargo area.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.935		Improper or unauthorized opening of cargo tanks or sampling of cargo.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.935a		Improper storage of cargo samples.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.936		Failure to prevent an intoxicated or unfit person from participating in cargo related operations.	\$3,000.00	\$6,000.00	\$10,000.00	\$32,500.00
46 CFR 153.940		Failure to properly mark a cargo hose.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.953		Failure to properly display required signals during cargo transfer.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.955		Failure to properly display required warning signs during cargo transfer.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.957		Failure to ensure that an authorized and qualified person supervises cargo operations.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.959		Failure to obtain authorization from the person in charge prior to making cargo transfer connections or commencing transfer of cargo.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.964		Unauthorized use of gas pressurization for discharge of cargo.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.966		Unauthorized use of liquid displacement for discharge of cargo.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.968		Failure to conduct required conference or discussions prior to making cargo transfer connections.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.970(a)		Failure to ensure that only the tankship's cargo piping system is used for the transfer of cargo.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00

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46 CFR 153.970(b)		Failure to ensure proper vent riser height for discharge of cargo vapor.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.972		Failure to ensure the cargo hose is satisfactory prior to authorizing connection to a cargo containment system.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.975		Failure to meet the requirements of 46 CFR 153.975 prior to commencing cargo transfer operations.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.976		Allowing a cargo transfer to be conducted while transferring packaged cargo/ships stores that endanger cargo operations.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.977		Failure of the person in charge to properly supervise and monitor the cargo transfer.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.979		Improper or unauthorized removal of a sounding tube cover.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.980		Improper isolation of an automatic closing valve.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.981		Failure to allow for expansion of cargo.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.983		Improper termination procedures following cargo operations.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.1000		Failure to ensure water reactive cargo is properly isolated and separated.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.1002		Failure of the master to ensure compliance with requirements for heat sensitive cargoes.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.1003		Carriage of prohibited cargoes in deck tanks.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.1004		Failure of the master or person in charge to ensure compliance with the requirements for inhibited or stabilized cargoes.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.1010		Failure of the master or person in charge to ensure compliance with the requirements for alkylene oxide cargoes.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.1011		Failure of the person in charge to ensure compliance with the requirements for changing hoses or containment systems for alkylene oxide service.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.1020(a)		Failure to ensure piping and venting systems are properly separated when carrying toxic cargo.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.1020(b)		Failure of the master to ensure the heating medium used for toxic cargoes is free of contamination.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.1020(c)		Failure to ensure heating steam condensate is free from toxic cargo contamination.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.1025		Failure to comply with the requirements/precautions when carrying motor fuel anti-knock compounds.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.1035		Failure to ensure acetone cyanohydrin or lactonitrile cargo is stabilized with inorganic acid.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00

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46 CFR 153.1040		Failure to comply with the requirements for handling carbon disulfide cargo.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.1045		Failure to display required warning sign when transferring inorganic acid cargo.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.1046		Failure to use external tank heating coils to liquefy frozen or congealed sulfuric acid.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.1052		Carriage of unauthorized cargo in a cargo containment system endorsed to carry acids.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.1060		Failure of the master to ensure compliance with the requirements for benzene cargoes.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.1065		Failure to handle sodium chlorate cargo as required.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.1100(a)		Failure of the person in charge of a ship to ensure the requirements of 46 CFR 153.1102 through 153.1132 are met.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.1100(b)		Failure of the person in charge of a ship to ensure the procedures in the approved Procedures and Arrangement Manual are followed.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.1101		Failure to comply with procedures for arranging for a surveyor.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.1102		Failure to comply with procedures for handling and disposing of categories A,B,C and D NLS Residue.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.1104		Failure to comply with procedures for draining of cargo hoses for categories A,B,C and D cargo and NLS residue.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.1128		Failure to comply with the requirements and conditions for the discharge of NLS residues from a ship's cargo tanks to the sea.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.1130		Failure to report the failure of equipment required in 153.470-488 to the OCMI within 24 hours.	\$3,000.00	\$6,000.00	\$10,000.00	\$32,500.00
46 CFR 153.1132		Failure to report a spill or non-complying discharge of a category A,B,C, or D NLS.	\$3,000.00	\$6,000.00	\$10,000.00	\$32,500.00
46 CFR 153.1500		Failure to take corrective actions after the failure of a vent rupture disk.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.1502		Unauthorized removal or relocation of fixed ballast.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 153.1504		Failure of the master to ensure emergency and safety equipment is inspected and properly maintained.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 154.315(a)		Failure to have cargo pump rooms and cargo compressor rooms above the weather deck and within the cargo area.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 154.315(b)		Failure to keep the bulkhead or deck gas tight or the shaft sealed where a pump or a compressor is driven by a prime mover in a gas safe space.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00

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46 CFR 154.345(b)		Failure to comply with the prescribed requirements for an air lock used for access from a gas-dangerous zone.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 154.345(c)		Failure to maintain mechanical ventilation and a means to automatically de-energize electrical equipment in a gas-safe space on a LFG carrier with an air lock.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 154.500		Failure to maintain cargo liquid and vapor piping and process piping systems IAW the requirements in the prescribed subparts of this chapter.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 154.530		Failure to comply with requirements for liquid/vapor connections or cargo piping system for cargo tanks with MARVS 69kPa gauge or lower.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 154.544		Failure to comply with the requirements for quick-closing shut-off valves.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 154.801		Failure to have the required number of pressure relief valves and or to comply with pressure relief systems requirements.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 154.903		Failure to meet the prescribed requirements for the carriage or generation of inert gas.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 154.912		Failure to fit inerted spaces with relief valves, rupture discs, or other devices specially approved by the Commandant (G-MSO).	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 154.1010		Failure to comply with requirements for installation of electrical equipment in a gas-dangerous space or zone.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 154.1105		Failure to have an exterior water spray system that meets sections 154.1110 through 154.1135.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 154.1140		Failure to have a dry chemical firefighting system that meets the requirements of this chapter.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 154.1345(a)(2)		Failure of vessel carrying cargo designated with an "I" or "I and T" to have two portable gas detectors that can measure 0- 100% of LFL of cargo carried.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 154.1345(b)(1)		Failure of vessel carrying cargo designated with an "I" or "I and T" or cargoes listed in this spec. to have two portable gas detectors that show cargo TLV.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 154.1350		Failure of vessel to comply with the prescribed requirements for flammable gas detection systems.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 154.1410		Failure of vessel carrying cargo listed in Table 4 to have a decontamination shower and an eye wash and comply with the prescribed requirements.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 154.1800		Failure to comply with the requirements of 46 CFR Part 35, except 35.30-20.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 154.1802		Failure to operate foreign flag vessel in U.S. navigable waters in accordance with requirements for certificates, letters, and endorsements.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00

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46 CFR 154.1806		Failure to have a copy of this Part and Part 35 on board a U.S. vessel.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 154.1808		Failure to operate a tankship in compliance with all limitations in the endorsements on the COI or COC.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 154.1810		Failure to have a cargo manual during vessel operations.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 154.1812		Failure to ensure terminal personnel are told the operational information required by section 154.1810(a)(17).	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 154.1814		Failure to have cargo information cards for each cargo transferred easily accessible to the PIC.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 154.1826		Unauthorized opening of cargo tanks or cargo sampling.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 154.1830		Failure to properly display required warning signs during cargo transfer.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 154.1840		Failure to ensure each person involved in a cargo transfer wears protective clothing.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 154.1842		Failure of master to test shut-down system and alarms prior to cargo being transferred.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 154.1848		Failure of master to comply with requirements for hold and inter-barrier spaces or cargo tanks that are to be gas freed, filled or supplied.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 154.1858		Failure to ensure cargo hose meets sections 154.552-562.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 154.1866		Failure to ensure cargo hose connection has a remotely controlled shutoff valve.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 170.120		Failure to have a stability letter issued before vessel is placed in service or have the information placed on COI or Load Line Certificate.	\$2,000.00	\$4,000.00	\$5,000.00	\$6,500.00
46 CFR 176.100(a)		Failure to have a valid USCG COI on board vessel, 1600 GT or more.	\$1,500.00	\$3,000.00	\$6,000.00	\$11,000.00
46 CFR 176.100(a)		Failure to have a valid USCG COI on board vessel, < 1600 GT.	\$750.00	\$1,500.00	\$2,000.00	\$2,200.00
46 CFR 176.100(b)		Failure to be in full compliance with the terms of the COI when operating with passengers on board.	\$750.00	\$1,500.00	\$3,000.00	\$6,500.00
46 CFR 176.302		Failure to meet the requirements for posting or having on board Certificate of Inspection and any SOLAS Certificate.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 176.306		Failure to meet the requirements for posting or having on board a stability letter.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 176.310		Failure to meet the requirements for displaying Certification Expiration Date Sticker(s).	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 176.500		Failure to make vessel available for annual inspection within 3 months before or after each anniversary date of issuance of the COI.	\$500.00	\$1,500.00	\$3,000.00	\$6,500.00

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46 CFR 176.600		Failure to make vessel available for drydock examinations and internal structural examinations required by this section.	\$250.00	\$1,000.00	\$2,500.00	\$6,500.00
46 CFR 176.665		Failure to provide notices and plans as required.	\$1,000.00	\$2,000.00	\$4,000.00	\$6,500.00
46 CFR 176.700		Failure to obtain approval of the cognizant OCMI for repairs/alterations to the hull, machinery, or equipment that affects vessel safety.	\$500.00	\$1,500.00	\$3,000.00	\$6,500.00
46 CFR 177.35		Failure to comply with requirements for rails and guards. (Existing Vessel)	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 177.35-1(a)		Failure to install rails or equivalent protection near the periphery of all weather decks accessible to passengers and crews. (Existing Vessel)	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 177.820		Failure to comply with requirements for seating.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 177.900		Failure to comply with requirements for deck rails.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 177.920		Failure to comply with requirements for storm rails.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 177.960		Failure to comply with requirements for guards for exposed hazards.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 180.10-5(a)		Failure of ocean and coastwise service vessels to carry sufficient life floats or buoyant apparatus for all persons on board as required. (Existing Vessel)	\$500.00	\$1,500.00	\$3,000.00	\$6,500.00
46 CFR 180.10-15(a)		Failure of Great Lakes service vessels to carry sufficient life floats or buoyant apparatus as required. (Existing Vessel)	\$250.00	\$1,000.00	\$2,500.00	\$6,500.00
46 CFR 180.10-20(a)		Failure of lakes, bays and sounds service vessels to carry sufficient life floats or buoyant apparatus as required. (Existing Vessel)	\$250.00	\$1,000.00	\$2,500.00	\$6,500.00
46 CFR 180.10-25(a)		Failure of river service vessels to carry sufficient life floats or buoyant apparatus as required. (Existing Vessel)	\$250.00	\$1,000.00	\$2,500.00	\$6,500.00
46 CFR 180.20-1		Failure to comply with the stowage requirements for lifesaving appliances. (Existing Vessel)	\$250.00	\$1,000.00	\$2,500.00	\$6,500.00
46 CFR 180.64		Failure to have on board each vessel that operates on high seas, or that operates beyond 3 miles from coastline of Great Lakes, a Cat 1, 406 MHz EPIRB installed to automatically float free.	\$250.00	\$1,000.00	\$2,500.00	\$6,500.00
46 CFR 180.68		Failure to meet the requirements for distress flares and smoke signals.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 180.70		Failure of vessel to have approved ring life buoy readily accessible, properly stowed, and in compliance with the requirements of 46 CFR 180.70.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 180.71		Failure to ensure there are appropriate number of life jackets for persons on board and that life jackets comply with 46 CFR 180.71(a)-(e).	\$100.00	\$500.00	\$1,000.00	\$6,500.00

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46 CFR 180.75		Failure to comply with the life jacket lights requirements.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 180.78		Failure to meet the requirements for the stowage of life jackets.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 180.130		Failure to meet the stowage of survival craft requirements.	\$250.00	\$1,000.00	\$2,500.00	\$6,500.00
46 CFR 180.137		Failure to meet the stowage of life floats and buoyant apparatus requirements.	\$250.00	\$1,000.00	\$2,500.00	\$6,500.00
46 CFR 180.175		Failure to meet the survival craft equipment requirements.	\$250.00	\$1,000.00	\$2,500.00	\$6,500.00
46 CFR 180.202		Failure of vessels on oceans routes to meet the survival craft requirements.	\$250.00	\$1,000.00	\$2,500.00	\$6,500.00
46 CFR 180.204		Failure of vessels on coastwise routes to meet the survival craft requirements.	\$250.00	\$1,000.00	\$2,500.00	\$6,500.00
46 CFR 180.205		Failure of vessels on limited coastwise routes to meet the survival craft requirements.	\$250.00	\$1,000.00	\$2,500.00	\$6,500.00
46 CFR 180.206		Failure of vessels on Great Lakes routes to meet the survival craft requirements.	\$250.00	\$1,000.00	\$2,500.00	\$6,500.00
46 CFR 180.207		Failure of vessels on lakes, bays and sounds routes to meet the survival craft requirements.	\$250.00	\$1,000.00	\$2,500.00	\$6,500.00
46 CFR 180.208		Failure of vessels on rivers routes to meet the survival craft requirements.	\$250.00	\$1,000.00	\$2,500.00	\$6,500.00
46 CFR 181.10-1		Failure to meet the power fire pump requirements. (Existing Vessels)	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 181.10-5(a)		Failure of vessel to be provided with a hand operated portable fire pump equipped in accordance with prescribed regulations. (Existing Vessel)	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 181.30-1(a)		Failure to have the minimum number of portable fire extinguishers in accordance with Table 181.30(a) and other provisions of this subpart. (Existing Vessel)	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 181.35-1		Failure to be equipped with a fire axe located in or adjacent to the pilothouse. (Existing Vessel)	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 181.300		Failure to comply with the fire pump requirements.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 181.310		Failure to comply with the fire main and hydrants requirements.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 181.320		Failure to comply with the fire hoses and nozzles requirements.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 181.400		Failure to have spaces equipped with a fixed gas fire extinguishing system as required.	\$250.00	\$1,000.00	\$2,500.00	\$6,500.00
46 CFR 181.410		Failure to comply with the fixed gas fire extinguishing system requirements.	\$250.00	\$1,000.00	\$2,500.00	\$6,500.00
46 CFR 181.500		Failure to comply with the portable fire extinguisher requirements.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 181.600		Failure to comply with the fire axe requirements.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 181.610		Failure to comply with the fire bucket requirements.	\$100.00	\$500.00	\$1,000.00	\$6,500.00

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For 33 CFR 104, 105 and 106, Proposed Penalty Amounts shall be multiplied by **1.5** and **2** for violations that occur during MARSEC Levels 2 and 3, respectively

<u>Cite</u>	<u>SSI</u>	<u>Description</u>	<u>Proposed Penalty Amount</u>			<u>Maximum Penalty Amount</u>
			<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
46 CFR 182.15-40(b)		Failure to meet the prescribed requirements for the installation of gasoline fuel supply piping on small passenger vessels. (Existing Vessel)	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 182.455		Failure to comply with the fuel piping requirements.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 182.500		Failure to maintain satisfactory arrangement for draining watertight compartments, except small buoyancy compartments, under all practicable conditions.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 182.510		Failure to comply with the bilge piping system requirements.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 182.520		Failure to comply with the bilge pumps requirements.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 182.530		Failure of vessels 7.9 meters (26 feet) in length to have visual and audible alarm to indicate high water level in unmanned spaces specified in this subpart.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 184.420		Failure to have on-board adequate and up-to-date charts, publications, Tide tables and current tables for area of intended voyage.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 184.502		Failure to meet FCC requirements for any radio and EPIRB installation.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 184.506		Failure to have an emergency broadcast placard posted next to all radiotelephone installations.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 184.704		Failure of vessel with installed toilet facilities to have a MSD that complies with 33 CFR Part 159.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 184.710		Failure to comply with the first-aid kit requirements.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 185.202		Failure to timely notify the nearest CG unit that the vessel was involved in a marine casualty involving any items in (a)(1) thru(a)(7).	\$5,000.00	\$10,000.00	*	\$27,500.00
46 CFR 185.420(a)		Failure to instruct crew members of required duties as referenced in this paragraph.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 185.420(c)		Failure to document crew training as required or in compliance with (1) and (2) of this paragraph.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 185.502		Failure to comply with the crew and passenger list requirements.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 185.503		Failure to comply with the voyage plan requirements.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 185.504		Failure to comply with the passenger count requirements.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 185.506		Failure to comply with the passenger safety orientation requirements.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 185.508		Failure of the master to require passengers to don life jackets when possible hazardous conditions exist.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 185.510		Failure to comply with the emergency instructions requirements.	\$100.00	\$500.00	\$1,000.00	\$6,500.00

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46 CFR 185.516		Failure to comply with the life jacket placards requirements.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 185.520		Failure to comply with the abandon ship and man overboard drills and training requirements.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 185.524		Failure to comply with the fire fighting drills and training requirements.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 185.602		Failure to comply with the hull markings requirements.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 185.604		Failure to comply with the lifesaving equipment markings requirements.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 185.608		Failure to comply with the remote fuel shutoff station marking requirements.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 185.614		Failure to have portable watertight containers for distress flares and smoke signals as specified in regulation.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 185.728		Failure to comply with the EPIRB testing and servicing requirements.	\$100.00	\$500.00	\$1,000.00	\$6,500.00
46 CFR 197.210		Failure to properly designate the diving supervisor.	\$100.00	\$500.00	\$1,000.00	\$32,500.00
46 CFR 197.300		Failure to meet the requirements for a diving installation used on a vessel required to have a certificate of inspection.	\$100.00	\$500.00	\$1,000.00	\$32,500.00
46 CFR 197.400		Failure to meet the requirements for diving operations conducted from a vessel required to have a certificate of inspection.	\$100.00	\$500.00	\$1,000.00	\$32,500.00
46 CFR 197.484		Failure to provide notice of a commercial diving casualty to the Cognizant OCMi as soon as possible after the casualty occurred.	\$5,000.00	\$10,000.00	*	\$32,500.00
46 CFR 197.486		Failure to provide a written report of a commercial diving casualty to the Cognizant OCMi as soon as possible after the casualty occurred.	\$1,000.00	\$3,000.00	\$6,000.00	\$32,500.00
46 CFR 197.535		Failure of person in charge to mark and or restrict benzene regulated areas as required.	\$100.00	\$500.00	\$1,000.00	\$32,500.00
46 CFR 197.555		Failure to meet the requirements of this section for personal protective clothing and equipment.	\$100.00	\$500.00	\$1,000.00	\$32,500.00
46 CFR 197.560		Failure to meet the requirements of this section for medical surveillance of employees who will be or may be exposed to benzene.	\$100.00	\$500.00	\$1,000.00	\$32,500.00
46 CFR 197.570		Failure to maintain records as required by this section.	\$100.00	\$500.00	\$1,000.00	\$32,500.00
46 CFR 199.180(a)		Failure to comply with training requirements.	\$1,000.00	\$2,500.00	\$5,000.00	\$6,500.00
46 CFR 199.180(b)		Failure of crewmember to be familiar with emergency procedures.	\$1,000.00	\$2,500.00	\$5,000.00	\$6,500.00
46 CFR 199.180(c)		Failure to comply with drill requirements.	\$1,000.00	\$2,500.00	\$5,000.00	\$6,500.00
46 CFR 199.180(d)		Failure to comply with abandon-ship drill requirements.	\$1,000.00	\$2,500.00	\$5,000.00	\$6,500.00

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			<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
46 CFR 199.510		Failure to carry a category 1 406 MHz satellite EPIRB meeting the requirements of 47 CFR Part 80 (non-SOLAS vessel).	\$1,000.00	\$2,500.00	\$5,000.00	\$6,500.00
Cites in 46 USC						
46 USC 2302(a)		"COMMERCIAL VESSEL" Operating a vessel in a negligent manner that endangers life, limb or property of a person.	\$5,000.00	\$10,000.00	*	\$25,000.00
46 USC 2302(a)		"RECREATIONAL VESSEL" Operating a recreational vessel in a negligent manner that endangers life, limb or property of a person.	\$1,000.00	\$2,500.00	\$5,000.00	\$5,000.00
46 USC 2302(c)		Operating a vessel while under the influence of alcohol or a dangerous drug.	\$1,000.00	\$2,500.00	\$5,000.00	\$5,500.00
46 USC 2306(a)		Failure to immediately notify the Coast Guard and use all available means to determine the status of a vessel when there is reason to believe that the vessel may have been lost or imperiled.	\$1,000.00	\$2,000.00	\$4,000.00	\$6,500.00
46 USC 2306(b)		Failure of a master required to report to the U.S. Flag Merchant Vessel Location Filing System to report to the owner, charterer, managing operator, or agent at least once every 48 hours.	\$250.00	\$500.00	\$1,000.00	\$1,100.00
46 USC 3304(b)		Failure to give notice, to an individual carried in addition to the crew, of the presence of dangerous articles on board the vessel.	\$250.00	\$500.00	\$1,000.00	\$1,100.00
46 USC 3309(c)		Failure to give written notice 30 to 60 days prior to expiration of the certificate of inspection that the vessel will (not) require inspection.	\$250.00	\$500.00	\$1,000.00	\$1,100.00
46 USC 3311(b)		Failure to comply with a direction to terminate voyage/correct unsafe conditions/make repairs on a vessel subject to inspection.	\$3,000.00	\$6,000.00	\$10,000.00	\$11,000.00
46 USC 3502		Failure of owner, charterer, managing operator, master, or individual in charge of vessel under this section to keep a correct list of passengers.	\$50.00	\$75.00	\$110.00	\$110.00
46 USC 4701		Unlawful abandonment of a barge on the navigable waters of the United States.	\$1,000.00	*	*	\$1,100.00
46 USC 10104(b)		Failure to report sexual offense.	\$2,000.00	\$5,000.00	*	\$6,500.00
46 USC 11101		Failure to provide proper accommodations for seamen.	\$100.00	\$250.00	\$500.00	\$650.00
46 USC 11301(a)		Failure to maintain official logbook.	\$100.00	\$150.00	\$200.00	\$200.00
46 USC 11301(b)		Failure to make entry in logbook.	\$100.00	\$150.00	\$200.00	\$150.00
46 USC 12110(d)		Failure to have a documented vessel under command of a citizen of the United States.	\$1,000.00	\$2,500.00	\$5,000.00	\$11,000.00

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			<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	<u>Penalty Amount</u>
Cites in 49 CFR						
49 CFR 171.2		Failure to comply with the general requirements for HAZMAT shipments.	\$2,500.00	\$5,000.00	\$10,000.00	\$32,500.00
49 CFR 171.2(f)(2)		Marking or representing a hazardous material is present when the hazardous material is not present.	\$2,500.00	\$5,000.00	\$10,000.00	\$32,500.00
49 CFR 171.3(a)		Failure to offer or transport Hazardous Waste in compliance with HAZMAT regulations.	\$2,500.00	\$5,000.00	\$10,000.00	\$32,500.00
49 CFR 171.4		Failure to comply with requirements for marine pollutants.	\$2,500.00	\$5,000.00	\$10,000.00	\$32,500.00
49 CFR 171.12		Failure to inform shipper or freight forwarder of HAZMAT requirements for import/export shipments.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00
49 CFR 171.15		Failure to provide immediate notice of a hazardous materials incident.	\$2,500.00	\$5,000.00	\$10,000.00	\$32,500.00
49 CFR 171.16		Failure to provide detailed hazardous material incident report within 30 days of incident.	\$2,500.00	\$5,000.00	\$10,000.00	\$32,500.00
49 CFR 172.200(a)		Failure to prepare shipping papers for a shipment of hazardous materials.	\$2,000.00	\$4,000.00	\$6,000.00	\$32,500.00
49 CFR 172.201		Failure to properly provide required information for hazardous materials on shipping papers.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 172.202		Failure to properly describe hazardous materials on shipping papers.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 172.203		Failure to provide additional description requirements on shipping papers.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 172.204		Failure to provide shippers certification.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 172.205		Failure to prepare hazardous waste manifest	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 172.300		Failure to properly mark hazardous materials.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 172.301		Failure to comply with general marking requirements for hazardous materials - non-bulk packaging.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 172.301(a)		Failure to mark or incorrect shipping name/id number on package.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 172.302		Failure to comply with general marking requirements for hazardous materials - bulk packaging.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 172.303		Use of prohibited marking.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 172.304		Failure to comply with package marking requirements.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 172.306		Failure to mark hazardous materials with consignee/consignor name and address.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 172.308		Failure to use proper abbreviations in shipping names.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00

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49 CFR 172.310		Failure to comply with marking requirements for radioactive materials.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 172.312		Failure to comply with marking or packing requirements for liquid hazardous materials in non-bulk packaging.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 172.313		Failure to comply with marking requirements for poisonous hazardous material.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 172.316		Failure to comply with marking requirements for ORM-D materials.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 172.320		Failure to comply with marking requirements for explosive hazardous materials.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 172.322		Failure to comply with marking requirements for marine pollutants.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 172.324		Failure to comply with marking requirements for hazardous substances.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 172.325		Failure to comply with marking requirements for elevated temperature materials.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 172.326(a)		Offering for transport or transporting a portable tank containing hazmat without properly marking the tank with the proper shipping name.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 172.326(b)		Failure to display the name of owner or lessee on portable tank containing a hazardous material.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 172.326(c)		Failure to mark a freight container used to transport a portable tank containing hazmat with ID No. specified for the material.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 172.328		Failure to comply with marking requirements for cargo tanks.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 172.330		Failure to comply with marking requirements for tank cars and multi-unit tank car tanks.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 172.331		Failure to comply with marking requirements for bulk packaging other than portable tanks, cargo tanks and tank cars.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 172.332		Failure to comply with requirements for identification number markings.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 172.334		Failure to ensure that a displayed ID number matches the hazardous material contained in the package, freight container, or transport vehicle.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 172.338		Failure to replace missing or damaged identification numbers.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 172.400		Failure to comply with general labeling requirements.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 172.401		Use of prohibited labeling.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 172.401(a)(1)		Use of a hazardous material label on a package containing a non-hazardous material.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 172.401(a)(2)		Label is for hazard class other than what is being transported.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 172.402		Failure to comply with additional labeling requirements.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00

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49 CFR 172.402(a)		Failure to provide a subsidiary hazard label.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 172.403		Failure to comply with labeling requirements for radioactive materials.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 172.404		Failure to comply with labeling requirements for mixed and consolidated packaging.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 172.406		Failure to comply with requirements for placement of labels.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 172.407		Failure to comply with requirements for label specifications.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 172.502		Use of prohibited placarding.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 172.504		Failure to comply with general placarding requirements.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 172.504(a)		Use of placards for hazard class other than what is being transported.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 172.505		Failure to comply with placarding requirements for subsidiary hazards.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 172.516		Failure to comply with requirements for visibility and display of placards.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 172.519		Failure to comply with requirements for placard specifications.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 172.600		Failure to comply with emergency response information requirements.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 172.602		Failure to comply with emergency response information requirements.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 172.604		Failure to comply with requirements for an emergency response telephone number.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 172.702(a)		Failure of hazmat employer to ensure each hazmat employee is trained in accordance with requirements prescribed in this subpart.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 172.702(b)		Failure to ensure employee obtained proper training prior to performing a hazmat function.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 172.704		Failure to meet or include the requirements for the training of hazmat employees.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 173.1		Failure to instruct officer, agents, and employees in hazmat regulations.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 173.9(b)		Failure to provide FUMIGANT placard for cars, truck bodies, freight containers, or trailers which have been fumigated.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00
49 CFR 173.21		Offering forbidden materials or packages for transportation.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 173.21(i)		Offering a package containing a cigarette lighter, or other similar device, for transportation.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 173.22		Failure to comply with shipper's responsibility in shipment of hazardous materials.	\$2,500.00	\$5,000.00	\$10,000.00	\$32,500.00
49 CFR 173.22(a)(2)		Failure to use authorized packaging or container.	\$2,500.00	\$5,000.00	\$10,000.00	\$32,500.00
49 CFR 173.24		Failure to comply with the general requirements for packaging and packages.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00

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49 CFR 173.24(h)		Failure to provide the required ullage for a shipment of hazardous material, causing a release of hazardous material.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00
49 CFR 173.25		Failure to ensure that over pack containing authorized packages of hazmat meets conditions provided for in 49 CFR 173.25.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 173.25(a)(4)		Failure to mark an over pack with a statement indicating that the inside packages comply with prescribed specifications.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 173.29		Failure to comply with the requirements for empty packaging containing residues of hazardous material.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 173.33		Offering or accepting a hazardous material for transportation in a cargo tank motor vehicle without meeting the requirements of this subchapter.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 173.33(a)(3)		Filling or offering for transportation of hazardous material a cargo tank motor vehicle without the prescribed periodic tests being current.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 173.51		Offering or providing shipment of forbidden explosives.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 173.159		Failure to comply with the packing and packaging requirements for wet batteries.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 173.301(c)		Offering compressed gas for transportation in a cylinder which is out of test.	\$2,500.00	\$5,000.00	\$10,000.00	\$32,500.00
49 CFR 176.3(a)		Transporting, by vessel, a shipment of a hazardous material not prepared in accordance with parts 172 and 173 of this subchapter.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 176.3(b)		Transporting by vessel any explosive or explosive composition described in 173.54 of this subchapter.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 176.4		Failure of vessel to load or unload division 1.1 and 1.2 explosives from an authorized facility.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00
49 CFR 176.13(b)		Failure to ensure that each employee has received required training prior to transporting a hazardous material by vessel.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 176.13(c)		Failure to provide a record of training must be on board a vessel while a crewmember subject to hazmat training requirements is in service on board the vessel.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 176.24		Transporting a hazardous material without a properly prepared shipping paper.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 176.27		Transporting a hazardous material without a properly prepared shippers certification.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 176.30		Failure to comply with the requirements for a dangerous cargo manifest, list or stowage plan.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 176.30(a)		Failure to prepare Dangerous Cargo Manifest.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00

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49 CFR 176.31		Failure to keep a copy of exemption with the Dangerous Cargo Manifest.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 176.36		Failure to maintain hazmat records for one year after preparation.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 176.39		Failure to inspect hazardous materials cargo as required by regulation.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 176.45		Failure to respond properly to a hazmat emergency on board a vessel.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00
49 CFR 176.48		Failure to report fire, hazardous condition, or jettison or loss of hazmat to the Captain of the Port (COTP).	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00
49 CFR 176.50		Transporting damaged or leaking packages of hazardous materials.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
49 CFR 176.52		Failure to comply with procedures for shipments in violation.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
49 CFR 176.54		Failure to comply with regulations governing repairs involving welding, burning, power actuated tools and appliances.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
49 CFR 176.54(e)		Offering or accepting leaking or damaged packages of explosives for transportation.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
49 CFR 176.57		Failure to properly supervise handling and stowage of hazardous materials on board vessels.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
49 CFR 176.58		Failure to properly prepare vessel for transport of hazardous materials.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
49 CFR 176.60		Failure to properly post No Smoking signs.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
49 CFR 176.63		Failure to properly stow hazardous materials.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
49 CFR 176.69		Failure to comply with general stowage requirements for hazardous materials.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
49 CFR 176.69(d)		Failure to properly secure and dunnage hazardous materials to prevent movement in any direction.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
49 CFR 176.70		Failure to properly stow marine pollutants.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
49 CFR 176.72		Improper handling of break-bulk hazardous materials.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
49 CFR 176.74		Improper deck stowage of break-bulk hazardous materials.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
49 CFR 176.76		Failure to comply with regulations governing shipment of hazmat in transport vehicles, freight containers, or portable tanks.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
49 CFR 176.77		Improper stowage of barges containing hazardous materials on barge-carrying vessels.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
49 CFR 176.78		Failure to comply with requirements for power-operated industrial trucks on board vessels.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
49 CFR 176.80		Improper segregation of hazardous materials.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
49 CFR 176.83		Failure to comply with segregation requirements.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00

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49 CFR 176.99		Failure to obtain the required permit under 176.100/176.415 before loading on, unloading from, or handling of materials on board a barge or carrier.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
49 CFR 176.100		Failure to obtain Captain of the Port permit for the handling of Division 1.1 or 1.2 explosives.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00
49 CFR 176.102(b)		Failure to obey all orders that are given by the officer in charge of a Class 1 (explosive) materials supervisory detail.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00
49 CFR 176.104		Failure to comply with requirements for loading and unloading of Class 1 (explosive) materials.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00
49 CFR 176.112		Improper stowage of Class 1 (explosive) materials.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00
49 CFR 176.116		Failure to comply with general stowage requirements for Class 1 (explosive) materials.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00
49 CFR 176.118		Failure to comply with electrical requirements for Class 1 (explosive) materials.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00
49 CFR 176.120		Failure to comply with lightning protection requirements for Class 1 (explosive) materials.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00
49 CFR 176.122		Failure to comply with under deck stowage requirements for Class 1 (explosive) materials.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00
49 CFR 176.130		Failure to properly secure and dunnage packages of explosives.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 176.137		Failure to comply with portable magazine requirements for Class 1 (explosive) materials.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00
49 CFR 176.138		Failure to comply with on-deck stowage requirements for Class 1 (explosive) materials.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00
49 CFR 176.140		Failure to comply with segregation requirements for Class 1 (explosive) materials.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00
49 CFR 176.142		Improper transportation of hazardous materials of extreme flammability in a vessel carrying Class 1 (explosive) materials.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00
49 CFR 176.144		Failure to comply with segregation requirements for Class 1 (explosive) materials.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00
49 CFR 176.145		Failure to comply with segregation requirements for Class 1 (explosive) materials in a single hold vessel.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00
49 CFR 176.146		Failure to comply with segregation requirements for Class 1 (explosive) materials from certain non-hazardous materials.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00
49 CFR 176.148		Failure to comply with requirements for unauthorized use of artificial lighting while handling Class 1 (explosive) materials.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00
49 CFR 176.150		Failure to comply with requirements governing radio and radar operation while handling Class 1 (explosive) materials.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00

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49 CFR 176.154		Failure to comply with requirements governing fueling (bunkering) during the handling of Class 1 (explosive) materials.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00
49 CFR 176.156		Failure to comply with requirements for defective packaging containing Class 1 (explosive) materials.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00
49 CFR 176.160		Failure to take adequate action to prevent Class 1 (explosive) materials from becoming wet.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00
49 CFR 176.162		Failure to comply with security requirements for explosives.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00
49 CFR 176.164		Failure to comply with requirements for fire precautions/fire fighting during loading, unloading, or handling of explosives.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00
49 CFR 176.166		Failure to comply with requirements governing the carriage of explosives aboard passenger vessels.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00
49 CFR 176.168		Failure to comply with requirements for transport vehicles used in the transport of explosives.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00
49 CFR 176.170		Failure to comply with requirements governing transport of explosives in freight containers.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00
49 CFR 176.172		Failure to comply with the requirements governing serviceability of freight containers/vehicles carrying explosives.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00
49 CFR 176.172(a)		Offered freight container of Class 1 (explosive) materials which was structurally unserviceable.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00
49 CFR 176.174		Failure to comply with requirements governing transport of explosives in shipborne barges.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00
49 CFR 176.176		Failure to comply with signal requirements while loading, handling, or unloading Class 1 explosives.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00
49 CFR 176.178		Failure to comply with requirements governing mooring or towing lines.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 176.180		Failure to comply with requirements governing watchkeeping on board an explosive laden vessel.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00
49 CFR 176.182		Failure to comply with requirements governing conditions for handling explosives on board ship.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00
49 CFR 176.182(f)		Smoking in non-designated area while Class 1 (explosive) materials are being handled or stowed.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00
49 CFR 176.184		Failure to comply with requirements for handling of explosives in compatibility group L.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00
49 CFR 176.192		Failure to comply with requirements governing use of cargo handling equipment for freight containers carrying explosives.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00

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49 CFR 176.194		Failure to comply with requirements governing stowage of explosives on magazine vessels.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00
49 CFR 176.194(c)		Failure to comply with requirements governing detonators and detonating primers (Division 1.1) stowed with other Division 1.1, 1.2 or 1.3 materials.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00
49 CFR 176.200		Failure to comply with the general stowage requirements for compressed gases.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 176.200(d)		Improper stowage of poisons with foodstuffs.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 176.205		Failure to comply with requirements for underdeck stowage of compressed gases.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 176.210		Failure to comply with the requirements for on deck stowage of compressed gases.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 176.220		Failure to comply with the requirements for no smoking, open flames, and warning signs in compartments with flammable compressed gases.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 176.225		Improper stowage of chlorine.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 176.230		Improper stowage of flammable compressed gas in multi-unit car tanks on board vessels.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 176.305		Failure to comply with the general stowage requirements for flammable and combustible liquids.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 176.315		Failure to comply with fire protection requirements.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 176.320		Failure to use suitable flashlights near flammable liquids.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 176.325		Failure to comply with the requirements for no smoking, open flames, and warning signs in compartments with flammable liquids.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 176.340		Failure to comply with the requirements for transporting combustible liquids in portable tanks.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 176.400		Failure to comply with the stowage requirements for blasting agents, flammable solids, oxidizers, or organic peroxides.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00
49 CFR 176.405		Failure to comply with the stowage requirements for charcoal.	\$1,000.00	\$2,500.00	\$5,000.00	\$32,500.00
49 CFR 176.410		Failure to comply with the requirements for transporting blasting agents, ammonium nitrate or ammonium nitrate mixtures.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00
49 CFR 176.415		Failure to obtain permits for loading or unloading blasting agents, ammonium nitrate, or certain ammonium nitrate mixtures.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00
49 CFR 176.600		Failure to comply with general stowage requirements for Division 2.3 (poisonous gas) and Division 6.1 (poisonous) materials.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00

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49 CFR 176.605		Failure to follow proper procedures after leakage or sifting of Division 2.3 (poisonous gas) or 6.1 (poisonous) materials.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
49 CFR 176.700		Failure to comply with the general stowage requirements for radioactive material.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00
49 CFR 176.704		Failure to comply with the requirements for transport indexes.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00
49 CFR 176.708		Failure to comply with the segregation requirements for radioactive materials.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00
49 CFR 176.715		Failure to exercise radiation contamination control.	\$5,000.00	\$10,000.00	\$10,000.00	\$32,500.00
49 CFR 176.800		Failure to comply with the general stowage requirements for transport of corrosive materials.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
49 CFR 176.805		Failure to comply with on deck stowage requirements for break-bulk corrosive materials.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
49 CFR 176.900		Failure to comply with the general stowage requirements for cotton or vegetable fibers.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
49 CFR 176.901		Failure to comply with the stowage requirements for cotton or fibers with rosin or pitch.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
49 CFR 176.903		Failure to comply with the stowage requirements for cotton with coal.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
49 CFR 176.905		Failure to comply with the requirements for transport of motor vehicles or mechanical equipment powered by internal combustion engines.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
49 CFR 178.3		Failure to comply with the hazmat package marking requirements for packaging meeting DOT specifications or UN standards.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
49 CFR 178.270-6		Failure to comply with the requirements for IM 101 and IM 102 steel portable tank supports, frameworks, and lifting attachments.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
49 CFR 178.270-14		Failure to comply with the requirements for the marking of IM 101 and IM 102 steel portable tanks.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00
49 CFR 180.407		Failure to comply with the requirements for test and inspection of specification cargo tanks.	\$1,500.00	\$3,000.00	\$6,000.00	\$32,500.00

Notice of Violations Guidance for Unauthorized Entry into Cuban Territorial Waters

Proposed Penalty Amounts Listed in the Table Below are for any Entity Subject to the Regulation

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 107.215(a)	Unauthorized entry into Cuban territorial waters (strict liability).	\$2,500.00	\$5,000.00	\$10,000.00	\$25,000.00
33 CFR 107.215(a)	Unauthorized entry into Cuban territorial waters (strict liability) plus any aggravating factor. *	\$5,000.00	\$7,500.00	\$10,000.00	\$25,000.00
33 CFR 107.215(a)	Failure to maintain issued permit aboard covered vessel that has entered or intends to enter Cuban territorial waters.	\$500.00	\$1,000.00	\$2,500.00	\$25,000.00
33 CFR 107.215(e)	Intended entry into Cuban territorial waters without a permit.	\$1,000.00	\$3,000.00	\$6,000.00	\$25,000.00

*Aggravating factors include presence on board the covered vessel of any undocumented alien or alien who the boarding officer has reason to believe is attempting to enter the United States illegally; and possession on board and in addition to the covered vessel of any items in violation of OFAC, Commerce, or Customs laws or regulations.

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Proposed Penalty Amounts Listed in the Table Below are for any Entity Subject to the Regulation

<u>Cite</u>	<u>Description</u>	Proposed Penalty Amount			Maximum Penalty Amount
		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 107.215(a)	Unauthorized entry into Cuban territorial waters (strict liability).	\$2,500.00	\$5,000.00	\$10,000.00	\$25,000.00
33 CFR 107.215(a)	Unauthorized entry into Cuban territorial waters (strict liability) plus any aggravating factor. *	\$5,000.00	\$7,500.00	\$10,000.00	\$25,000.00
33 CFR 107.215(a)	Failure to maintain issued permit aboard covered vessel that has entered or intends to enter Cuban territorial waters.	\$500.00	\$1,000.00	\$2,500.00	\$25,000.00
33 CFR 107.215(e)	Intended entry into Cuban territorial waters without a permit.	\$1,000.00	\$3,000.00	\$6,000.00	\$25,000.00

*Aggravating factors include presence on board the covered vessel of any undocumented alien or alien who the boarding officer has reason to believe is attempting to enter the United States illegally; and possession on board and in addition to the covered vessel of any items in violation of OFAC, Commerce, or Customs laws or regulations.