

**APPENDIX A
 SPECIFIED VIOLATIONS AND MAXIMUM PENALTY SCHEDULE**

SPECIFIED VIOLATIONS	PENALTY SCHEDULE UP TO
Failure to obtain authority to operate in California	\$1,000 per month for each month that a carrier has been operating without authority.
Failure to submit the following specified filings, notices, reports and other items as directed in Commission Resolutions, Decisions, Orders, and the Public Utilities Code : <ul style="list-style-type: none"> • Financial Reports (Annual and Affiliate Transaction Reports Pursuant G.O. 104-A and D.93-02-019) • Initial Tariff Filings following issuance of a CPCN or other registration • Annual Tariff Filings • Performance Bonds (Includes both Initial and Annual Performance Bond Advice Letter filings and Advice Letter filings of updated or newly issued performance bonds) • Service Quality Reports as ordered in G.O 133-D • Advice Letters required to implement company name change, Transfer of Control, withdrawal of operating authority, or tariff changes • Regulatory Contact Information changes • License Acceptance Notification • Service Commencement Notification 	\$1,000 for the first event. Each subsequent notice increases the penalty amount by an additional \$200.

Failure to report and remit surcharge payments for at least six months as directed in Commission Resolutions, Decisions, Orders, and the Public Utilities Code ⁸	\$1,000 per event up to a maximum \$3,000.																						
Failure to report and remit user fee payments for at least 30 days as directed in Commission Resolutions, Decisions, Orders, and the Public Utilities Code	Subject to Public Utilities Code Section 405. The Commission may assess a penalty not to exceed 25% of user fees due on delinquent payments.																						
Late filed contracts	<p>Subject to GO 96-B and D.91-07-010. The penalty amounts are as follows:</p> <table border="1" data-bbox="802 743 1317 1501"> <thead> <tr> <th data-bbox="802 743 1062 867">Lateness of Filing in Months</th> <th data-bbox="1062 743 1317 867">Penalty Amount to Be Applied to Total Contract Revenues</th> </tr> </thead> <tbody> <tr> <td data-bbox="802 867 1062 932">1 or fraction</td> <td data-bbox="1062 867 1317 932">1/4/%</td> </tr> <tr> <td data-bbox="802 932 1062 997">2</td> <td data-bbox="1062 932 1317 997">1/2/%</td> </tr> <tr> <td data-bbox="802 997 1062 1062">3</td> <td data-bbox="1062 997 1317 1062">1%</td> </tr> <tr> <td data-bbox="802 1062 1062 1127">4</td> <td data-bbox="1062 1062 1317 1127">4%</td> </tr> <tr> <td data-bbox="802 1127 1062 1192">5</td> <td data-bbox="1062 1127 1317 1192">5%</td> </tr> <tr> <td data-bbox="802 1192 1062 1257">6</td> <td data-bbox="1062 1192 1317 1257">6%</td> </tr> <tr> <td data-bbox="802 1257 1062 1323">7</td> <td data-bbox="1062 1257 1317 1323">7%</td> </tr> <tr> <td data-bbox="802 1323 1062 1388">8</td> <td data-bbox="1062 1323 1317 1388">8%</td> </tr> <tr> <td data-bbox="802 1388 1062 1453">9</td> <td data-bbox="1062 1388 1317 1453">9%</td> </tr> <tr> <td data-bbox="802 1453 1062 1501">10 or more</td> <td data-bbox="1062 1453 1317 1501">10%</td> </tr> </tbody> </table>	Lateness of Filing in Months	Penalty Amount to Be Applied to Total Contract Revenues	1 or fraction	1/4/%	2	1/2/%	3	1%	4	4%	5	5%	6	6%	7	7%	8	8%	9	9%	10 or more	10%
Lateness of Filing in Months	Penalty Amount to Be Applied to Total Contract Revenues																						
1 or fraction	1/4/%																						
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7	7%																						
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9	9%																						
10 or more	10%																						

(End of Appendix A)

⁸ Amount is in addition to interest equal to an annual rate of 10% assessed on surcharge funds reported and/or remitted after the due date.