**ALASKA REGION SUMMARY SETTLEMENT SCHEDULE**

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| *VIOLATION* | VIOLATION HISTORY – PENALTY AMOUNT | | |
| FIRST | SECOND | THIRD |
| **PERMIT VIOLATIONS** | | | |
| 1. Federal Fisheries (FFP) and Federal Processor Permits (FPP) | |  |  |
| A. Fishing or processing without a valid FFP or FPP (including failure to have a permit authorizing operations category) if permit or endorsement is renewable | $750, plus forfeiture of unlawful catch payment of value thereof | $1,000, plus forfeiture of unlawful catch payment of value thereof | NA |
| B. Failure to present FFP, FPP, License Limitation, scallop or other limited entry permit on board vessel or at shoreside facility;  Failure to present legible permit | Written Warning | $500 | $1,000 |
| 2. License Limitation (LLP), scallop, crab or any other limited entry permit (other than halibut or sablefish) | |  |  |
| A. Fishing, processing or receiving fish without a valid LLP, scallop or crab permit | $1,250, plus forfeiture of unlawful fish or fish product, payment of value thereof | NA | NA |
| B. Fishing, processing or receiving IFQ species without legible permit | Written Warning | $500 | $1,000 |
| 3. Fail to update or submit notice of substantive change in permit information | |  |  |
| > FFP and FPP  > All other permits | Fixit  $700 | $300  $900 | NA |
| 4. IFQ/CVC or CPC permit holder not on vessel | $2,000 | $3,000, plus forfeiture of unlawful catch payment of value thereof | $4,000, plus forfeiture of unlawful catch payment of value thereof |
| 5. Hired master not on named vessel | $500 | $800 | $1,000 |
| 6. Permit holder not at landing site | $1,000 | $1,500 | $2,000 |
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| **RECORDKEEPING AND REPORTING VIOLATIONS** | | | |
| 1. Logbooks (Daily Cumulative Production Log; Daily Fishing Log; Halibut Logbook; IFQ/Rationalization logs; Any other logbooks not specifically provided for below) | | | |
| A. Fail to log substantive required information in a timely manner (1 count is equal to violation(s) occurring within 1 day – up to 6 days):  > Less than 24 hours late  > 24 or more hours late | Written Warning  $1,000/day | $750/day  $1,250/day | $1,000/day  $1,500/day |
| B. Clerical error; non-substantive omission(s); failure to log information in a legible manner (1 count is equal to violations occurring within 1 day up to 15 days) | Written Warning | $100/day | $300/day |
| C. Fail to provide information to a processor or registered buyer (up to 6 counts)  > Non-substantive (e.g. discard information from harvesters)  > Substantive | Written Warning  $600 | $500  $800 | NA |
| D. Fail to maintain substantive logbook entries (1 count is equal to the violation(s) occurring within 1 weekly reporting period – up to 2 counts) | $1,000/count | $1,500/count | $2,000/count |
| E. Fail to submit logbooks in timely manner or when requested:  > More than 2 weeks late  > Missing pages | $3,000  $500/page | $3,250  $600/page | $3,500  $700/page |
|  |  |  |  |
| 2. Product Transfer Reports (PTRs), C/P Offload Report, Daily Production Reports, Check-In/Check-out, Vessel Activity Reports, vessel clearance, VMS confirmation number  > Fail to accurately complete a report, timely submit a report, to obtain a required clearance/confirmation | $750/report up to 6 instances | $1,000/report up to 6 reports | $1,500/report up to 6 reports |
| 3. Registered Buyer Reports, Shipment Report, Processor Reports  > Fail to accurately complete or significantly late submission of a report | $3,000/report up to 6 instances | $3,250/report up to 6 instances | $3,500/report up to 6 instances |
| 4. Fail to retain records for required period |  |  |  |
| A. vessels up to 60’ LOA | $500 | $750 | NA |
| B. vessels greater than 60’ LOA | $1,125 | $1,500 | $2,000 |

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| **DIRECTED FISHING / RETENTION / TIME VIOLATIONS** | | | | | |
| 1. Retention/delivery of unprocessed groundfish in excess of directed fishing standards in a single calendar year up to  > 100% of the allowable bycatch limit, > 1,000 pounds landed weight of rockfish (including sablefish) allowable bycatch limits, and  > 5,000 pounds landed weight of allowable bycatch limit for other species. | Forfeiture of overage or payment of value thereof | Forfeiture of overage or payment of value thereof | | $1,000, plus forfeiture of overage or payment of value thereof | |
| 2. Retention/delivery of unprocessed groundfish in excess of directed fishing standards in a single calendar year | |  | |  | |
| i) Between 100% and 200% | $1,000, plus forfeiture of overage or payment of value thereof | $1,500, plus forfeiture of overage or payment of value thereof | | $2,000, plus forfeiture of overage or payment of value thereof | |
| ii) Between 200% and 300% | $5,000, plus forfeiture of overage or payment of value thereof | $6,000, plus forfeiture of overage or payment of value thereof | | $7,000, plus forfeiture of overage or payment of value thereof | |
| 3. Other Directed Fishing Overages |  |  | |  | |
| A. Overage in a single calendar year of the unprocessed allowable groundfish bycatch limit per species delivered to a shoreside processor | Forfeiture of overage or payment of value thereof | Forfeiture of overage payment of value thereof | | $1,500, plus overage payment of value thereof | |
| B. Overage in a single calendar year between 200% and 400% of the allowable groundfish bycatch delivered to a shoreside processor. | $4,000, plus overage payment of value thereof | $4,500, plus overage payment of value thereof | | $5,000, plus overage payment of value thereof | |
| C. 10-20 metric ton overage in a single calendar year of processed groundfish on board a processor vessel | $5,000, plus overage payment or value thereof | $6,000, plus overage payment of value thereof | | $7,000, plus overage payment of value thereof | |
| D. Retention of groundfish product on board a processor vessel in a single calendar year in excess of the directed fishing standard by overage of less than 5 metric tons of allowable bycatch limit per species | Forfeiture of overage payment of value thereof | Forfeiture of overage payment of value thereof | | Forfeiture of overage payment of value thereof | |
| E. Overage in a single calendar year of less than 1,000 pounds (landed weight) of allowable bycatch limit for rockfish species (including sablefish) regardless of percentage | Forfeiture of overage payment of value thereof | Forfeiture of overage payment of value thereof | | $1,500, plus forfeiture of overage payment of value thereof | |
| F. Overage in a single calendar year of less than 5,000 pounds (landed weight) of allowable bycatch limit for species other than rockfish and sablefish, regardless of percentage | Forfeiture of overage payment of value thereof | Forfeiture of overage payment of value thereof | | $1,500, plus forfeiture of overage payment of value thereof | |
| 4. Fishing within 1 to 6 hours before the opening or after the closing of a fishery (with IFQ remaining if an IFQ fishery) | |  | |  | |
| A. Vessels up to 35’ LOA | $4,000 | $5,000 | | $8,000 | |
| B. Vessels between 35’ and 60’ LOA | $8,000 | $10,000 | | $13,000 | |
| C. Vessels greater than 60’ LOA | $10,000 | $13,000 | | $15,000 | |
| 5. Fishing within 24 hours after the closure of a fishery when value of catch is under $5,000 (with IFQ remaining if an IFQ fishery) | |  | |  | |
| A. vessels up to 35’ LOA | $2,000, plus forfeiture of unlawful catch or payment of value thereof | $2,500, plus forfeiture of unlawful catch or payment of value thereof | | $3,000, plus forfeiture of unlawful catch or payment of value thereof | |
| B. vessels between 35’ and 60’ LOA | $2,500, plus forfeiture of unlawful catch or payment of value thereof | $3,000, plus forfeiture of unlawful catch or payment of value thereof | | $4,000, plus forfeiture of unlawful catch or payment of value thereof | |
| C. vessels greater than 60’ LOA | $4,000, plus forfeiture of unlawful catch or payment of value thereof | $5,500, plus forfeiture of unlawful catch or payment of value thereof | | $7,000, plus forfeiture of unlawful catch or payment of value thereof | |
| 6. Pollock Trip limit overage occurring within a calendar year  > less than or equal to 10% (cont. on next page)  > Greater than 10% up to 25% | Forfeit overage or payment of value thereof  $2,000, plus forfeiture of overage or payment of value thereof | Forfeit overage or payment of value thereof  $2,500, plus forfeiture of overage or payment of value thereof | | Forfeit overage or payment of value thereof  $3,000, plus forfeiture of overage or payment of value thereof | |
| 7. IR/IU – Discard pollock harvested during a pollock directed fishery | $3,500 | $4,000 | | $4,500 | |
| 8. IFQ, CDQ and RATIONALIZATION PROGRAMS | |  | |  | |
| A. Retain IFQ halibut in excess/under size limit | $200/fish up to 20, plus forfeiture of unlawful halibut | $300/fish, plus forfeiture of unlawful halibut | | $400/fish, plus forfeiture of unlawful fish | |
| B. Mutilate halibut | Forfeiture of mutilated halibut | Forfeiture of mutilated halibut | | $200/pound, plus forfeiture of unlawful fish | |
| C . Retain IFQ species without a valid IFQ permit |  |  | |  | |
| i. 300 pounds or less of halibut | $2,000, plus forfeiture of halibut payment of value thereof | $3,000, plus forfeiture of halibut payment of value thereof | | NA | |
| ii. 100 pounds or less of sablefish | $2,000, plus forfeiture of sablefish payment of value thereof | $3,000, plus forfeiture of sablefish payment of value thereof | | NA | |
| **PROHIBITED AND PROTECTED SPECIES VIOLATIONS** | | | | | | |
| 1. Fail to carefully release prohibited species (not more than 6 per trip) | Written Warning | | $1,250 | | $1,500 | |
| 2. Enter Walrus or Steller Sea Lion protection area | $1,000 | | $1,500 | | $2,000 | |
| 3. Operating in Walrus, Steller Sea Lion protection, habitat conservation area, or other protection area (limited to one day or fishing trip) |  | |  | |  | |
| i) Fish in the area | $2,500, plus forfeiture of unlawful catch of payment of value thereof | | $4,000, plus forfeiture of unlawful catch payment of value thereof | | $6,000, plus forfeiture of unlawful catch payment of value thereof | |
| ii) Operate in the protection area | Written Warning | | $500 | | $1,000 | |
| 4. Level A/B Harassment (e.g. feeding, teasing, disturbing, etc.) of a marine mammal (Steller Sea Lion, Orca or Harbor Seal) associated with charter, cruise ship or commercial fishing operations | Written Warning | | $600 | | $1,000 | |
| 5. Fail to display decal or to carry certificate on board vessel or person | Written Warning | | $100 | | $150 | |
| 6. Approach a marine mammal closer than 100 yards | Written Warning | | $650 | | NA | |
| 7. Retention of salmon that is processed, frozen, landed or intentionally segregated from other catch | $225/salmon up to 35, plus forfeiture of salmon | | $350/salmon up to 35, plus forfeiture of salmon | | NA | |
| 8. Retention of halibut this is processed, frozen, landed or intentionally segregated from other catch (300 pounds or less) | $1,000, plus forfeiture of halibut | | $1,500, plus forfeiture of halibut | | $2,000, plus forfeiture of halibut | |
| 9. Retention of Pacific cod and/or rockfish that are processed, frozen, landed or intentionally segregated from other catch (up to 5,000 pounds - round weight) | $1/pound, plus forfeiture of prohibited species | | $1.5/pound, plus forfeiture of prohibited species | | $2/pound, plus forfeiture of prohibited species | |
| 10. Retention of prohibited species other than halibut, salmon, Pacific cod or rockfish that are processed, frozen, landed or intentionally segregated from other catch (up to 1,200 pounds – round weight) | $3.75/pound, plus forfeiture of prohibited species | | $4.50/pound, plus forfeiture of prohibited species | | $5.25/pound, plus forfeiture of prohibited species | |
| **OBSERVER VIOLATIONS** | | | | | | |
| 1. Fail to have on board a current vessel safety decal | Written Warning | | $500 | | $1,000 | |
| 2. Fail to notify observer, observer provider or NMFS prior to haulback, offloading, receipt or transfer of fish, or of planned operations (e.g. register a fishing trip, salmon count/sampling crew entering fish tank/bin, fish removals or additions to bin, etc.) | $1,000/instance up to 3 instances | | $1,500/instance up to 3 instances | | $2,000/instance up to 3 instances | |
| 3. Fail to meet required observer coverage, if:  > Vessel is subject to partial coverage requirement | $1,000/day up to 10 days | | $1,500/day up to 10 days | | $2,000/day up to 10 days | |
| 4. Presort or discard any catch prior to giving observer opportunity to sample or prior to completing sampling; | $2,500 per documented fish or incident up to 6 incidents | | $3,000 per documented fish or incident up to 6 incidents | | $4,000 per documented incident up to 6 incidents | |
| 5. Allowing salmon to pass beyond the last point where initial sorting occurs;  Begin sorting catch before the observer has completed counting and collecting samples/data from previous haul | $2,500 per documented incident up to 2 | | $3,000 per documented incident up to 2 | | $4,000 per documented incident up to 2 | |
| 6. Require observer to perform duties normally performed by crew members (up to two violations) | $1,000/violation | | $1,250/violation | | $1,500/violation | |
| 7. Fail to provide appropriate accommodation | $1,500 | | $1,750 | | $2,000 | |
| 8. Fail to allow observer access to area, catch, equipment or records, or to provide required records (up to two instances) | $2,000/instance | | $2,500/instance | | $3,000/instance | |
| 9. Deploy an observer for more than 90 days (up to 5 days in each calendar year) | $1,500/day | | $2,000/day | | $2,500/day | |
| 10. Transfer an observer before the observer has completed sampling/transmission duties (up to two instances) | $500/instance | | $800/instance | | $1,000/instance | |
| 11. When crew enters the tank/bin, fail to stop flow of fish between the tank/bin and the observer sampling location | $1,000/instance up to 3 instances | | $1,500/instance up to 3 instances | | $2,000/instance up to 3 instances | |
| 12. Within a single deployment, deploy an Observer on more than 4 vessels | $2,000 per vessel over 4 | | $2,500 per vessel over 4 | | $3,000 per vessel over 4 | |
| **COMMERCIAL EQUIPMENT and GEAR VIOLATIONS (e.g., vessel monitoring system, seabird avoidance, fishing gear configuration, gear marking)** | | | | | | |
| 1. Fail to accurately conduct daily flow scale test | $2,000/day (up to 3 days) | | $2,500/day (up to 3 days) | | $3,000/day (up to 3 days) | |
| 2. Improper or no buoy markings | Written Warning | | $375 for each buoy up to 5 buoys | | $500 for each buoy up to 5 buoys | |
| 3. Use of non-compliant pot gear | $375 for each pot up to 5 pots | | $500 for each pot up to 5 pots | | $1000 for each pot up to 5 pots | |
| 4.  **Seabird Avoidance Gear** |  | |  | |  | |
| A. Fail to set second streamer line; Fail to set seabird avoidance gear (for vessels with gear on board); Fail to set complaint seabird avoidance gear; Fail to deploy line at proper distance; | Written Warning | | $375 for each set up to 5 sets | | $500 for each set up to 5 sets | |
| 5. **Fish Bins** |  | |  | |  | |
| A. Fail to obtain valid bin certification | $5,000 | | NA | | NA | |
| B. Fail to submit copy of bin certification | $2,500 | | $3,000 | | NA | |
| C. Fail to accurately or permanently mark bins or to provide adequate lighting for the viewing marks | $750 | | $1,000 | | $1,250 | |
| 6. **Halibut** |  | |  | |  | |
| A. Possess 300 pounds or less of halibut taken with unlawful gear | $375, plus forfeiture of halibut | | $1,000, plus forfeiture of halibut | | $1,500, plus forfeiture of halibut | |
| B. Possess halibut while carrying onboard any trawl nets or fishing pots capable of catching halibut | Written Warning | | $750 | | $1,000 | |
| 7. **Vessel Monitoring System** |  | |  | |  | |
| A. VMS not operating (less than 12 hours) | $750 | | $1,000 | | $1,500 | |
| **COMMERCIAL LANDING AND PROCESSING VIOLATIONS** | | | | | | |
| 1. Fail to offload all fish or fish product  > from a catcher vessel before using as a tender  > in an IFQ landing | Written Warning  $1,000 | | $750  $1,500 | | $1,000  $2,000 | |
| 2. Fail to report tagged halibut to IPHC personnel at time of landing | $500 | | $1,000 | | $1,500 | |
| 3. Halibut and Sablefish IFQ or CDQ overages in a single calendar year; Possession or sale of IFQ or CDQ species with no remaining IFQ or CDQ for vessel or area | | |  | |  | |
| A. 10.1-33% and exceeding 1000 pounds, and for overages up to 1000 pounds regardless of percentage | Forfeiture of proceeds or return of proceeds of all IFQ exceeding 100% of IFQ available at the beginning of the trip | | Forfeiture of proceeds or return of proceeds of all IFQ exceeding 100% of IFQ available at the beginning of the trip | | Forfeiture of proceeds or return of proceeds of all IFQ exceeding 100% of IFQ available at the beginning of the trip | |
| B. 33.1-66% and exceeding 1000 pounds | $1/pound of overage, plus forfeiture of proceeds or return of proceeds of all IFQ exceeding 100% of IFQ available at the beginning of the trip | | $1.5/pound of overage, plus forfeiture of proceeds or return of proceeds of all IFQ exceeding 100% of IFQ available at the start of the trip | | $2/pound of overage, plus forfeiture of proceeds or return of proceeds of all IFQ exceeding 100% of IFQ available at the start of the trip | |
| C. 66.1-100% and exceeding 1000 pounds | $1.5/pound of overage, plus forfeiture of proceeds or return of proceeds of all IFQ exceeding 100% of IFQ available at the beginning of the trip | | $2/pound of overage, plus forfeiture of proceeds or return of proceeds of all IFQ exceeding 100% of IFQ available at the beginning of the trip | | $2.25/pound of overage, plus forfeiture of proceeds or return of proceeds of all IFQ exceeding 100% of IFQ available at the beginning of the trip | |

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| 4. Crab IFQ Overages in a single calendar year; Possession or sale of IFQ species by quota share holder with no remaining IFQ or CDQ for vessel or area | |  |  |
| A. Exceed remaining balance of IFQ ≤ 3% | Forfeiture of overage payment of value thereof | Forfeiture of overage payment of value thereof | Forfeiture of overage payment of value thereof |
| B. Exceed remaining balance of IFQ by more than 3% but no more than 5% | $1,000, plus forfeiture of overage payment of value thereof | $1,000, plus forfeiture of overage payment of value thereof | $1,500, plus forfeiture of overage payment of value thereof |
| C. Exceed remaining balance of IFQ by more than 5% but no more than 50% | $2,000, plus forfeiture of overage payment of value thereof | $2,250, plus forfeiture of overage payment of value thereof | $2,250, plus forfeiture of overage payment of value thereof |
| 5. Exceed remaining balance of IPQ by ≤ 3% in a single calendar year | $2,000, plus forfeiture of excess production payment of value thereof (product value) | $2,500, plus forfeiture of excess production payment of product value | $3,000, plus forfeiture of excess production payment of product value |
|  |  |  |  |
| 6. IFQ Prior Notice of Landing and Landing Reports | |  |  |
| A. Make an IFQ landing without prior notice of landing | $1,000 | $1,500 | $2,000 |
| B. Fail to make an IFQ landing within required time after prior notice of landing | $1,050 | $1,500 | $2,000 |
| C. Fail to submit IFQ landing report in timely manner (less than 12 hours late) | $2,000 | $3,000 | $4,000 |
| D. Fail to submit accurate information in a prior notice of landing or shipment report | $1,000 | $1,500 | $2,000 |
| 7. Fail to record required information on fish ticket | $750 | $1,000 | $1,500 |
| 8. Unreported IFQ species ≤ 50 pounds (deadloss, homepacks, crew meals, etc.) | $500, plus forfeiture of fish | $800, plus forfeiture of fish | $1,500, plus forfeiture of fish |
| 9. Exceed vessel cap or sideboard ≤ 5% | Forfeiture of excess catch or payment of value thereof | $1/pound of overage, plus forfeiture of catch payment of value thereof | NA |
| **HALIBUT SPORT, CHARTER AND SUBSISTENCE VIOLATIONS** | | | |
| **SPORT FISHING** |  |  |  |
| 1. Sport fishing during closed season | $200, plus forfeiture of halibut | $500, plus forfeiture of halibut | $1,000, plus forfeiture of halibut |
| 2. Use of unlawful gear | Forfeiture of halibut | $500, plus forfeiture of halibut | $1,000, plus forfeiture of halibut |
| 3. Over daily bag or possession limit | $200, plus forfeiture of halibut over limit | $500, plus forfeiture of halibut over limit | $1,000, plus forfeiture of halibut over limit |
| 4. Mutilation/Chunking | $200, plus forfeiture of mutilated halibut | $500, plus forfeiture of mutilated halibut | $750, plus forfeiture of mutilated halibut |
| 5. Possession of sport catch on vessel with commercial or subsistence catch on board | $200/halibut up to 33 halibut, plus forfeiture of sport-caught halibut | $500/halibut up to 33 halibut, plus forfeiture of sport-caught halibut | NA |
| **SUBSISTENCE FISHING** |  |  |  |
| 1. Fishing for halibut without a SHRC, but would qualify for SHRC | Verbal Warning | Written Warning | $500 |
| 2. Fail to present SHRC | Verbal Warning | Written Warning | $100 |
| 3. Fishing for halibut without a SHRC, and would not qualify for SHRC | Forfeiture of halibut | $500, plus forfeiture of halibut | $1,000, plus forfeiture of halibut |
| 4. Exceeding daily bag or possession limit | $200, plus forfeiture of halibut exceeding daily personal limit | $500, plus forfeiture of halibut exceeding daily personal limit | $1,000, plus forfeiture of halibut exceeding daily personal limit |
| 5. Mutilation of Halibut | $200, plus forfeiture of all mutilated halibut | $500, plus forfeiture of mutilated halibut | $1,000, plus forfeiture of mutilated halibut |
|  |  |  |  |
| 6. Using more hooks than allowed on subsistence gear  > up to 200% in excess of allowable hooks  > More than 200% of allowable hooks | Written Warning  Written Warning | $500  $800 | $1,000  $1,500 |
| 7. Fishing with improperly marked buoys | Fixit Ticket | $375 | $500 |
| 8. Fishing in an unauthorized area; Anchor a vessel with halibut on board within unauthorized area | Written Warning | Forfeiture of all halibut | $500, plus forfeiture of all halibut |
| 9 Non-qualified person applied for SHRC | Written Warning plus revocation of SHRC | $300, plus revocation of SHRC | N/A |
| **HALIBUT CHARTER VIOLATIONS** |  |  |  |
| 1. Fail to submit ADF&G Saltwater Sport Fishing Charter Trip logbook in timely manner (up to 30 days late in a calendar year) | $500 | $800 | $1,000 |
| 2. Charter vessel crew or guide catching and retaining halibut | $500 | $1,000 | $1,750 |
| 3. Fail to sign or enter accurate logbook data sheet (angler); fail to enter accurate catch information or ensure angler signs logbook data sheet (guide) | $500/angler | $1,000/angler | $1,500/angler |
| 4. Exceed line limit | Written Warning | $500/line | $1,000/line |
| 5. Exceed sport bag limit (joint & several for angler and guide) | $200, plus forfeiture of halibut exceeding limit | $500/fish, plus forfeiture of halibut exceeding limit | $1,000/fish, plus forfeiture of halibut exceeding limit |
| 6. Retain halibut in violation of size limitations | Written Warning, plus forfeiture of halibut exceeding limit | $300/fish, plus forfeiture of halibut exceeding limit | $500/fish, plus forfeiture of halibut exceeding limit |
| 7. Fishing during closed season (guide) | $225/angler up to 22 anglers, plus forfeiture of all halibut (by both anglers and guide) | NA | NA |
| 8. Fail to retain halibut carcass if required | WW | $300 per halibut | NA |
| 9. Exceeding CHP angler endorsement | $300 per angler | $600 per angler | NA |
| Fail to begin or end charter halibut fishing trip in CQE community for which permit is valid | WW | $300 per angler | NA |
| Charter halibut fishing in Area 2C and 3A on same fishing trip | $200/angler | NA | NA |
| **GENERAL CHARTER and SUBSISTENCE HALIBUT REQUIREMENTS** | |  |  |
| 1. Fail to report tagged halibut to IPHC personnel at time of landing | Written Warning | $500 | $800 |