The Office of the Comptroller of the Currency (OCC) is publishing its revised Policies and Procedures Manual (PPM) policy for assessing civil money penalties (CMP). This revised PPM 5000-7 (REV), “Civil Money Penalties,” dated February 26, 2016, replaces the PPM of the same title issued in June 1993. The revised PPM sets forth the OCC’s policies and procedures for the assessment of CMPs against institution-affiliated parties (IAP), national banks, federal savings associations, federal branches and agencies, and bank service companies and service providers.

### Note for Community Banks

The guidance and procedures in this PPM apply to all national banks, federal savings associations, and federal branches and agencies as well as their IAPs. It also applies to bank service companies and service providers.

### Highlights

The revised PPM includes

- a new “CMP Matrix for Institutions” for assessing CMPs against national banks, federal savings associations, federal branches and agencies, and bank service companies and service providers.
- a revised “CMP Matrix for Institution-Affiliated Parties” for assessing CMPs against IAPs.

The issuance of this PPM rescinds the following documents:

- Banking Circular 273, “Civil Money Penalties” (June 16, 1993)
- Banking Circular 270, “Civil Money Penalty Assessment for Delinquent or Inaccurate Call Reports” (May 21, 1993)
- PPM 5000-27 (REV), “Civil Money Penalty Assessment for Delinquent or Inaccurate Call Reports” (May 21, 1993)
Further Information

Please contact the OCC’s Special Supervision Division at (202) 649-6450 or Enforcement and Compliance Division at (202) 649-6200.

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Related Link

- PPM 5000-7 (REV), “Civil Money Penalties” (PDF)