

**Federal  
Railroad  
Administration**

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**Fiscal Year 2019  
Enforcement Report**

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Appendix A—“Railroad Safety Civil Penalty Cases Closed during Fiscal Year 2019”

# Federal Railroad Administration Fiscal Year 2019 Enforcement Report

## I. INTRODUCTION

For several decades, the Federal Railroad Administration (FRA) has compiled an annual civil penalty report summarizing the civil penalty claims for violations of Federal railroad safety and hazardous materials (hazmat) statutes, regulations, and orders FRA has closed.<sup>1</sup> As authorized by law, FRA negotiates settlements with railroads and other entities subject to its safety jurisdiction to resolve claims for civil penalties imposed for failures to comply with specific requirements that promote and ensure the safety of the Nation's freight and passenger railroad operations.<sup>2</sup> Also, as authorized by law, FRA issues orders assessing civil penalties for violations of the hazardous materials statutes, regulations, and orders.<sup>3</sup>

In April 2010, FRA posted an expanded enforcement report pursuant to 49 U.S.C. § 20120 on FRA's Web site (<http://www.fra.dot.gov>) to include more information.<sup>4</sup> FRA intends to make this additional safety enforcement information available each year by December 31 for the preceding fiscal year (FY), October 1 through September 30.

This FY 2019 report includes the following:

- A summary of rail safety and hazmat compliance inspections and audits FRA or State inspectors conducted and enforcement actions FRA recommended;
- A summary of FRA civil penalty enforcement actions sorted by type of alleged violation and type of respondent, including railroads, hazmat shippers, contractors, and individuals;
- A discussion of the relationship between inspections and enforcement actions, the number and rate of reportable accidents and incidents and railroad safety;
- An analysis of locomotive engineer certification cases brought before FRA; and
- A list of civil penalty cases FRA closed (at Appendix A to this report).

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<sup>1</sup> See primarily title 49 of the United States Code, chapters 201-213 and 51, respectively (49 U.S.C. ch. 201-213 and 51, respectively); title 49 of the Code of Federal Regulations (C.F.R.), subtitle B, chapter II (parts 209-244, 272) and chapter I, subchapter A, Hazardous Materials and Oil Transportation, and subchapter C, Hazardous Materials Regulations; 49 U.S.C. § 103; and 49 C.F.R. § 1.89.

<sup>2</sup> 49 U.S.C. ch. 213, and 31 U.S.C. § 3711.

<sup>3</sup> 49 U.S.C. ch. 51; 49 C.F.R. § 1.89; 49 C.F.R. part 209.

<sup>4</sup> This is consistent with Sections 303 and 307 of the Rail Safety Improvement Act of 2008 (RSIA), Public Law No. 110-432, Division A (122 Stat. 4848), enacted October 16, 2008 (codified at 49 U.S.C. §§ 20120 and 103, note, respectively).

**II. SUMMARY OF INSPECTIONS AND AUDITS PERFORMED, AND ENFORCEMENT ACTIONS RECOMMENDED IN FY 2019**

**A. RAILROAD SAFETY AND HAZMAT COMPLIANCE INSPECTIONS AND AUDITS**

**1. All Railroads and Other Entities (e.g., Hazmat Shippers) Except Individuals**

Number of Inspection Reports:	74,202
Defects:	290,335
Units:	3,171,796
Number of Observations:	322,257
Number of Reports with a Recommended Violation:	4,003
Number of Recommended Violation Defects:	8,078
Number of Inspection Days:	58,320

**2. Railroads Only**

Number of Inspection Reports:	67,431
Defects:	279,343
Units:	3,101,449
Number of Observations:	301,697
Number of Reports with a Recommended Violation:	3,161
Number of Recommended Violation Defects:	6,294
Number of Inspection Days:	55,112

**B. SUMMARY OF RAILROAD SAFETY VIOLATIONS CITED BY INSPECTORS, BY REGULATORY OVERSIGHT DISCIPLINE OR SUBDISCIPLINE**

**1. Accident/Incident Reporting**

Violation Type	Number of Recommended Violations
Accident Reporting	171

**2. Grade Crossing Signal System Safety**

Violation Type	Number of Recommended Violations
Grade Crossing Signal Safety	366

### 3. Hazardous Materials

Violation Type	Number of Recommended Violations
Hazardous Materials	2,490

### 4. Industrial Hygiene

Violation Type	Number of Recommended Violations
Occupational Noise Exposure	0

### 5. Motive Power and Equipment

Violation Type	Number of Recommended Violations
Freight Car Safety Standards	429
Locomotive Safety Standards	515
Passenger Equipment Safety Standards	49
Passenger Train Emergency Preparedness	4
Rear End Marking Devices	0
Safety Appliance Statutes and Regulations	1,642
Safety Glazing Standards	4
Steam Locomotive Inspection and Maintenance	0
All	2,643

### 6. Railroad Operating Practices

Violation Type	Number of Recommended Violations
Alcohol and Drug Use	566
Conductor Qualifications	14
Critical Incident Stress Plans	2
Engineer Qualifications	31
FRA Emergency Order(s)	0
Hours of Service Laws and Regulations	179
Hours of Service Record Keeping	230
Railroad Communications	15
Railroad Operating Practices	373
Railroad Operating Rules	154
Railroad Safety Enforcement Procedures	10

<b>Train Horn/Quiet Zone</b>	9
<b>All</b>	1,583

### 7. Signal and Train Control

<b>Violation Type</b>	<b>Number of Recommended Violations</b>
<b>Signal Inspection Regulations</b>	138
<b>PTC System Implementation</b>	3
<b>All</b>	141

### 8. Track

<b>Violation Type</b>	<b>Number of Recommended Violations</b>
<b>Bridge Safety Standards</b>	1
<b>Bridge Worker Safety Standards</b>	4
<b>Roadway Worker Protection</b>	86
<b>Track Safety Standards</b>	595
<b>All</b>	686

## C. FRA AND STATE INSPECTIONS OF RAILROADS, SORTED BY RAILROAD TYPE

### 1. Class I Railroads

Number of Inspection Reports:	48,310
Defects:	203,516
Units:	2,455,359
Number of Observations:	223,372
Number of Reports with a Recommended Violation:	2,544
Number of Recommended Violation Defects:	4,818
Number of Inspection Days: <sup>5</sup>	40,569

<sup>5</sup> The total number of inspection days for Class I Railroads in II.C.1 of this report is less than the sum of all the individual Class I railroads' inspection days cited in II.D.1-8 of this report because FRA inspectors may visit more than one Class I railroad in a day. The same is true for the total number of inspection days for railroads FRA believes are Class II and Class III railroads. See note six for an explanation regarding FRA's determination of Class I, Class II and Class III railroads.

## 2. Probable Class II Railroads<sup>6</sup>

Number of Inspection Reports:	2,159
Defects:	8,173
Units:	146,706
Number of Observations:	9,418
Number of Reports with a Recommended Violation:	75
Number of Recommended Violation Defects:	242
Number of Inspection Days:	1,944

## 3. Probable Class III Railroads

Number of Inspection Reports:	16,962
Defects:	67,654
Units:	499,384
Number of Observations:	68,907
Number of Reports with a Recommended Violation:	542
Number of Recommended Violation Defects:	1,234
Number of Inspection Days:	14,685

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<sup>6</sup> FRA has identified seven of the eight Class I railroads based on information they filed with the Surface Transportation Board (STB) for calendar year 2018—the latest year available—regarding their annual operating revenues. See STB Web site (<http://www.stb.dot.gov>) under <https://prod.stb.gov/reports-data/economic-data/annual-report-financial-data/>, which provides a list of railroads that have filed such information by year.” STB requires such filings only from Class I railroads. See 49 C.F.R. § 1241.11 and Ex Parte No. 393 (Sub-No. 2), decided Oct. 28, 1988, 1988 WL 224990 (I.C.C.). Therefore, FRA identified the eighth Class I railroad, Amtrak, based on FRA research of other data. Generally, Class II and III railroads are not required to report their annual operating revenues to STB. As a result, FRA identified railroads that are probably Class II and Class III railroads based on its research of railroad revenues, which does not cover commuter railroads. FRA concludes that the following railroads are probably Class II railroads: Alaska Railroad Corp.; Buffalo & Pittsburgh Railroad, Inc.; Florida East Coast Railway Co.; Indiana Rail Road Co.; Iowa Interstate Railroad, Ltd.; Montana Rail Link; Paducah & Louisville Railway Co.; Springfield Terminal Railway Co. and other regional railroads (including Boston & Maine Corp., Maine Central Railroad Co., Pan Am Southern LLC, and Portland Terminal Co.) (all held by Pan Am Railways, Inc.); Rapid City, Pierre & Eastern Railroad, Inc.; Wheeling & Lake Erie Railway Co.; and Wisconsin & Southern Railroad Co. Note that switching and terminal railroads are, by definition, Class III railroads, without regard to their annual operating revenues. 49 C.F.R. § 1201.1-1(d).



**D. INSPECTIONS AND RECOMMENDED ENFORCEMENT ACTIONS,  
SORTED BY CLASS I RAILROAD**

**1. BNSF Railway Company**

Number of Inspection Reports:	10,227
Defects:	39,349
Units:	550,853
Number of Observations:	46,496
Number of Reports with a Recommended Violation:	466
Number of Recommended Violation Defects:	844
Number of Inspection Days:	8,867

**2. Canadian National Railway/Grand Trunk Corporation**

Number of Inspection Reports:	2,423
Defects:	14,111
Units:	136,528
Number of Observations:	11,360
Number of Reports with a Recommended Violation:	160
Number of Recommended Violation Defects:	233
Number of Inspection Days:	2,175

**3. Canadian Pacific Railway/Soo Line Railroad Company**

Number of Inspection Reports:	1,574
Defects:	8,215
Units:	109,117
Number of Observations:	7,647
Number of Reports with a Recommended Violation:	85
Number of Recommended Violation Defects:	178
Number of Inspection Days:	1,364

**4. CSX Transportation, Inc.**

Number of Inspection Reports:	9,803
Defects:	46,017
Units:	504,626
Number of Observations:	46,225
Number of Reports with a Recommended Violation:	466
Number of Recommended Violation Defects:	770
Number of Inspection Days:	8,636

**5. The Kansas City Southern Railway Company**

Number of Inspection Reports:	1,289
Defects:	5,767
Units:	77,997
Number of Observations:	5,930
Number of Reports with a Recommended Violation:	41
Number of Recommended Violation Defects:	70
Number of Inspection Days:	1,163

**6. National Railroad Passenger Corporation (Amtrak)**

Number of Inspection Reports:	1,621
Defects:	3,162
Units:	19,781
Number of Observations:	6,600
Number of Reports with a Recommended Violation:	47
Number of Recommended Violation Defects:	92
Number of Inspection Days:	1,362

**7. Norfolk Southern Railway Company**

Number of Inspection Reports:	7,904
Defects:	36,288
Units:	397,275
Number of Observations:	38,134
Number of Reports with a Recommended Violation:	380
Number of Recommended Violation Defects:	906
Number of Inspection Days:	6,877

## 8. Union Pacific Railroad Company

Number of Inspection Reports:	13,469
Defects:	50,607
Units:	659,182
Number of Observations:	60,980
Number of Reports with a Recommended Violation:	899
Number of Recommended Violation Defects:	1,725
Number of Inspection Days:	11,787

### III. SUMMARIES OF CIVIL PENALTY INITIAL ASSESSMENTS, SETTLEMENTS, AND FINAL ASSESSMENTS IN FY 2019

#### A. IN GENERAL<sup>7</sup>

##### Summary 1

Summary 1 provides a broad overview of penalties FRA initially assessed during FY 2019, the initial penalty assessment for cases closed during FY 2019, and the amount of the settlement or the final assessment of civil penalty. FRA has transitioned to a paperless enforcement system for most of the major railroads and under that system, to enhance the readability of the cases on the computer screen, a case includes only one violation report, and not multiple reports, as in the past.

Summary 1, below, provides the following:

- The number of violations for which FRA assessed a civil penalty in FY 2019 (through demand letters or, in hazmat cases, notices of probable violation);
- The number of violation reports that FRA declined to enforce in FY 2019 after legal review;
- The initial amount of civil penalties assessed in FY 2019 (the amount of the civil penalty specified in FRA’s demand letter or, for hazmat cases, a notice of probable violation that was transmitted to a respondent (railroad, hazmat shipper, or individual that received the penalty assessment)) regardless of whether FRA closed the cases during FY 2019;
- The civil penalties FRA initially assessed (the “potential collectible amount” or “POCA” listed in in Appendix A) in all cases FRA settled or otherwise closed during FY 2019 (because FRA issued an order assessing a civil penalty in a hazmat case or the respondent paid the civil penalty in full without settling with FRA); and
- The total amount of civil penalties assessed or settled during FY 2019.<sup>8</sup>

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<sup>7</sup> The totals in this section exclude civil penalties against individuals. Those are addressed in section IV.A. of this report.

<sup>8</sup> In this report, FRA rounded settlement amounts to the nearest whole dollar.

## Summary 2

To provide more transparency, Summary 2, below, shows initial assessment information only for those cases closed during FY 2019. **All numbers in Summary 2 reflect the initial assessments that resulted in FY 2019 settlements or final assessments even though the initial assessments may have occurred in a prior fiscal year.** This summary shows (1) the difference between the initial amount of civil penalties assessed and the settlement or final assessment amount, and (2) the difference between the revised assessment amount (or what Appendix A describes as the “provable collectible amount” or “PRCA”) and the final assessment or settlement amount. The revised assessment amount is the amount FRA calculated it could legally collect after evaluating the facts of the violation.

*Caveat:* The number of violation reports in a single case ranges from one to five or more, depending on a number of factors, and a single violation report may allege one or more violations. Therefore, the number of cases with civil penalties initially assessed or settled or finally assessed during a specific period cannot be used for a realistic comparison. This report provides the information, as required by the statute, in Summary 1 and Summary 2. However, the number of violations provides a better opportunity for standardized review and comparison than does the number of cases.

### **B. SUMMARY 1—BRIEF SUMMARY, WITH FOCUS ON INITIAL ASSESSMENTS TRANSMITTED**

Total number of cases with civil penalties initially assessed in FY 2019:	5,115
Total number of violations with civil penalties initially assessed in FY 2019:	8,025
Total number of violation reports declined during legal review in FY 2019:	73
Total amount of civil penalties initially assessed (POCA) for violations in cases transmitted in FY 2019:	\$28,457,256
Total amount of civil penalties initially assessed (POCA) for violations in cases finally assessed or settled in FY 2019:	\$22,407,637
Total final civil penalty assessment or settlement in FY 2019:	\$16,195,292

**C. BREAKDOWN OF INITIAL ASSESSMENTS IN SUMMARY 1**

**1. For Each Class I Railroad Individually in FY 2019**

AMTRAK

Number of cases with civil penalties initially assessed:	57
Number of violations with civil penalties initially assessed:	60
Number of violation reports declined during legal review:	0
Initial amount of civil penalty assessed:	\$219,500

BNSF RAILWAY COMPANY

Number of cases with civil penalties initially assessed:	550
Number of violations with civil penalties initially assessed:	798
Number of violation reports declined during legal review:	2
Initial amount of civil penalty assessed:	\$2,620,712

CANADIAN NATIONAL RAILWAY/GRAND TRUNK CORPORATION

Number of cases with civil penalties initially assessed:	192
Number of violations with civil penalties initially assessed:	226
Number of violation reports declined during legal review:	1
Initial amount of civil penalty assessed:	\$770,500

CANADIAN PACIFIC RAILWAY/SOO LINE RAILROAD COMPANY

Number of cases with civil penalties initially assessed:	117
Number of violations with civil penalties initially assessed:	152
Number of violation reports declined during legal review:	5
Initial amount of civil penalty assessed:	\$613,500

CSX TRANSPORTATION, INC.

Number of cases with civil penalties initially assessed:	633
Number of violations with civil penalties initially assessed:	755
Number of violation reports declined during legal review:	2
Initial amount of civil penalty assessed:	\$2,687,878

THE KANSAS CITY SOUTHERN RAILWAY COMPANY

Number of cases with civil penalties initially assessed:	63
Number of violations with civil penalties initially assessed:	78
Number of violation reports declined during legal review:	1
Initial amount of civil penalty assessed:	\$249,500

NORFOLK SOUTHERN RAILWAY COMPANY

Number of cases with civil penalties initially assessed:	522
Number of violations with civil penalties initially assessed:	610
Number of violation reports declined during legal review:	3
Initial amount of civil penalty assessed:	\$2,169,974

UNION PACIFIC RAILROAD COMPANY

Number of cases with civil penalties initially assessed:	1,034
Number of violations with civil penalties initially assessed:	2,405
Number of violation reports declined during legal review:	7
Initial amount of civil penalty assessed:	\$7,170,664

**2. For Probable Class II Railroads in the Aggregate in FY 2019**

Number of cases with civil penalties initially assessed:	89
Number of violations with civil penalties initially assessed:	100
Number of violation reports declined during legal review:	3
Initial amount of civil penalty assessed:	\$357,500

**3. For Probable Class III Railroads in the Aggregate in FY 2019<sup>9</sup>**

Number of cases with civil penalties initially assessed:	942
Number of violations with civil penalties initially assessed:	1,334
Number of violation reports declined during legal review:	46
Initial amount of civil penalty assessed:	\$4,353,404

**4. For Hazmat Shippers in the Aggregate in FY 2019**

Number of cases with civil penalties initially assessed:	783
Number of violations with civil penalties initially assessed:	1,178
Number of violation reports declined during legal review:	3
Initial amount of civil penalty assessed:	\$5,450,625

**5. For Contractors in the Aggregate in FY 2019**

Number of cases with civil penalties initially assessed:	45
Number of violations with civil penalties initially assessed:	64
Number of violation reports declined during legal review:	0
Initial amount of civil penalty assessed:	\$221,500

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<sup>9</sup> This category may be over-inclusive as STB jurisdiction may not extend to some of the commuter railroads that FRA has listed as Class III railroads. Regardless, the “Total final civil penalty assessment or settlement in FY 2019” amount remains correct as FRA includes data from enforcement actions against regulated entities that are otherwise not subject to STB jurisdiction.

**6. For Other Cases in the Aggregate in FY 2019<sup>10</sup>**

Number of cases with civil penalties initially assessed:	87
Number of violations with civil penalties initially assessed:	265
Number of violation reports declined during legal review:	0
Initial amount of civil penalty assessed:	\$1,571,999

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<sup>10</sup> The category of “other cases” includes all hazardous materials civil penalty cases against respondents that are coded in FRA’s Railroad Enforcement System as contractors rather than shippers. Some entities have been classified as contractors based on criteria unrelated to the shipment of hazardous materials but perform functions under hazardous materials regulations that are associated with shippers.



**D. SUMMARY 2—MORE DETAILED SUMMARY OF SETTLEMENTS AND FINAL ASSESSMENTS OF CIVIL PENALTIES IN FY 2019**

Total number of cases closed in FY 2019:	4,484
Total number of violations in cases closed in FY 2019:	6,112
Total initial amount of civil penalty assessed for cases closed (POCA):	\$22,407,637
Total final amount of civil penalty assessed or settlement for cases closed:	\$16,195,292
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$1,035,808
Amount of revised assessment after terminations (PRCA):	\$21,371,829
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$6,212,345
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$5,176,537

**E. BREAKDOWN OF SETTLEMENTS AND FINAL ASSESSMENTS IN SUMMARY 2**

**1. For Each Class I Railroad Individually in FY 2019**

AMTRAK

Number of cases closed:	86
Number of violations in cases closed:	113
Initial amount of civil penalty assessed for cases closed (POCA):	\$429,904
Final amount of civil penalty assessed or settlement for cases closed:	\$316,644
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$25,500
Amount of revised assessment after terminations (PRCA):	\$404,404
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$113,260
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$87,760

BNSF RAILWAY COMPANY

Number of cases closed:	625
Number of violations in cases closed:	937
Initial amount of civil penalty assessed for cases closed (POCA):	\$2,994,616
Final amount of civil penalty assessed or settlement for cases closed:	\$1,934,507
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$288,808
Amount of revised assessment after terminations (PRCA):	\$2,705,808
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$1,060,109
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$771,301

CANADIAN NATIONAL RAILWAY/GRAND TRUNK CORPORATION

Number of cases closed:	203
Number of violations in cases closed:	243
Initial amount of civil penalty assessed for cases closed (POCA):	\$817,404
Final amount of civil penalty assessed or settlement for cases closed:	\$589,214
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$15,500
Amount of revised assessment after terminations (PRCA):	\$801,904
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$228,190
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$212,690

CANADIAN PACIFIC RAILWAY/SOO LINE RAILROAD COMPANY

Number of cases closed:	6
Number of violations in cases closed:	34
Initial amount of civil penalty assessed for cases closed (POCA):	\$183,904
Final amount of civil penalty assessed or settlement for cases closed:	\$80,404
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$6,000
Amount of revised assessment after terminations (PRCA):	\$177,904
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$103,500
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$97,500

CSX TRANSPORTATION, INC.

Number of cases closed:	531
Number of violations in cases closed:	651
Initial amount of civil penalty assessed for cases closed (POCA):	\$2,206,904
Final amount of civil penalty assessed or settlement for cases closed:	\$1,563,863
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$89,000
Amount of revised assessment after terminations (PRCA):	\$2,117,904
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$643,041
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$554,041

THE KANSAS CITY SOUTHERN RAILWAY COMPANY

Number of cases closed:	59
Number of violations in cases closed:	77
Initial amount of civil penalty assessed for cases closed (POCA):	\$258,904
Final amount of civil penalty assessed or settlement for cases closed:	\$186,884
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$15,500
Amount of revised assessment after terminations (PRCA):	\$243,404
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$72,020
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$56,520

NORFOLK SOUTHERN RAILWAY COMPANY

Number of cases closed:	544
Number of violations in cases closed:	663
Initial amount of civil penalty assessed for cases closed (POCA):	\$2,278,500
Final amount of civil penalty assessed or settlement for cases closed:	\$1,676,971
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$66,000
Amount of revised assessment after terminations (PRCA):	\$2,212,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$601,529
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$535,529

UNION PACIFIC RAILROAD COMPANY

Number of cases closed:	840
Number of violations in cases closed:	1136
Initial amount of civil penalty assessed for cases closed (POCA):	\$3,848,079
Final amount of civil penalty assessed or settlement for cases closed:	\$2,826,200
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$70,250
Amount of revised assessment after terminations (PRCA):	\$3,777,829
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$1,021,879
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$951,629

**2. For Probable Class II Railroads in the Aggregate in FY 2019**

Number of cases closed:	154
Number of violations in cases closed:	187
Initial amount of civil penalty assessed for cases closed (POCA):	\$868,000
Final amount of civil penalty assessed or settlement for cases closed:	\$690,161
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$20,000
Amount of revised assessment after terminations (PRCA):	\$848,000
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$177,839
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$157,839

### **3. For Probable Class III Railroads in the Aggregate in FY 2019**

Number of cases closed:	604
Number of violations in cases closed:	865
Initial amount of civil penalty assessed for cases closed (POCA):	\$3,145,924
Final amount of civil penalty assessed or settlement for cases closed:	\$2,185,210
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$232,000
Amount of revised assessment after terminations (PRCA):	\$2,913,924
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$960,714
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$728,714

### **4. For Hazmat Shippers in the Aggregate in FY 2019**

Number of cases closed:	745
Number of violations in cases closed:	1082
Initial amount of civil penalty assessed for cases closed (POCA):	\$4,699,999
Final amount of civil penalty assessed or settlement for cases closed:	\$3,682,985
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$180,250
Amount of revised assessment after terminations (PRCA):	\$4,519,749
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$1,017,014
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$836,764

## 5. For Contractors in the Aggregate in FY 2019

Number of cases closed:	20
Number of violations in cases closed:	29
Initial amount of civil penalty assessed for cases closed (POCA):	\$292,000
Final amount of civil penalty assessed or settlement for cases closed:	\$165,100
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$9,000
Amount of revised assessment after terminations (PRCA):	\$283,000
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$126,900
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$117,900

## 6. For Other Cases in the Aggregate in FY 2019<sup>11</sup>

Number of cases closed:	67
Number of violations in cases closed:	95
Initial amount of civil penalty assessed for cases closed (POCA):	\$383,499
Final amount of civil penalty assessed or settlement for cases closed:	\$297,149
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$18,000
Amount of revised assessment after terminations (PRCA):	\$365,499
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$86,350
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$68,350

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<sup>11</sup> The category of “other cases” includes all hazardous materials civil penalty cases against respondents that are coded in FRA’s Railroad Enforcement System as contractors rather than shippers. Some entities have been classified as contractors based on criteria unrelated to the shipment of hazardous materials but perform functions under hazardous materials regulations that are associated with shippers.



#### **IV. ENFORCEMENT ACTIONS AGAINST INDIVIDUALS IN FY 2019**

##### **A. CIVIL PENALTY CASES AGAINST INDIVIDUALS IN THE AGGREGATE**

Total number of civil penalty cases initially assessed in FY 2019:	0
Total number of violations with civil penalties initially assessed in FY 2019:	0
Total initial amount of civil penalty assessed in FY 2019:	\$0
Number of civil penalty cases closed in FY 2019:	0
Total number of violations in cases closed in FY 2019:	0
Total initial amount of civil penalty assessed for cases closed in FY 2019:	\$0
Total final amount of civil penalty assessed (or settlement) for cases closed in FY 2019:	\$0
Amount terminated (generally due to legal defenses presented during settlement negotiations) for cases closed in FY 2019:	\$0
Amount of revised assessment (PRCA) after terminations:	\$0
Difference between revised civil penalty assessment (PRCA) and final civil penalty assessment for cases closed in FY 2019:	\$0
Difference between initial amount of civil penalty assessed (POCA) and final settlement amount for a violation in a case closed in FY 2019:	\$0

**B. OTHER ENFORCEMENT ACTIONS AGAINST INDIVIDUALS IN THE AGGREGATE**

Number of notices of proposed disqualification issued and served in FY 2019:	0
Number of proposed disqualification cases closed in FY 2019:	1
Number of warning letters issued by Office of Chief Counsel in FY 2019:	0
Number of warning letters issued by regional offices of FRA Office of Railroad Safety (regional warning letters) in FY 2019:	40

**IV. DISCUSSION OF RAILROAD SAFETY—THE RELATIONSHIP OF INSPECTIONS, ENFORCEMENT, AND ACCIDENTS OR INCIDENTS**

FRA was statutorily mandated<sup>12</sup> to commission a report by an independent consultant examining FRA’s approach to achieving industry compliance with the Federal railroad safety laws and the hazmat transportation safety laws and their implementing regulations, and the role of civil penalties in that process. The final report, dated July 15, 2009, was entitled, “The Federal Railroad Administration’s Use of Civil Penalties in the Federal Railroad Safety Program.” This report concludes on page 13 that—

[t]he fair and professional conduct of an agency’s regulatory function requires the informed exercise of discretion beginning with the FRA inspector on the ground and continuing with FRA’s regional discipline specialist, the regional administrator, and headquarters officials in FRA’s Office of Railroad Safety and Office of Chief Counsel. This use of discretion helps ensure that the agency’s exercise of enforcement power is calibrated to achieve an effect that is proportional to the specific circumstances of a given violation. The final element of the agency’s discretion in the civil penalty context is the exercise of the power to compromise authorized and guided by law, directed by the Executive, and strongly encouraged the Judiciary.

FRA’s exercise of the statutory authority to compromise civil penalty assessments serves the purpose of encouraging compliance by ensuring that the enforcement process is proportional in those cases [in which FRA assesses penalties]. [Using] the enforcement hand, seen (as in the case of civil penalty assessments) or unseen

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<sup>12</sup> Consolidated Appropriations Act, 2008 (H.R. 2764; Public Law 110-161), House Appropriations Committee Print, Division K—Transportation, Housing and Urban Development, and Related Agencies Appropriations Act, 2008, Explanatory Statement, at 2367.

(as during FRA inspectors' daily interactions with railroad personnel regarding safety issues), as consistently as possible across the railroad industry . . . results in a rational, effective safety program.

As the independent consultant noted, FRA has long sought to determine whether enforcement actions measurably correlate with the imposition of civil penalties and with specific safety performance improvements. Previously, FRA found that the available data permits some measurement of safety improvements in a functional area covered by an entire rule or an entire safety program. However, FRA cannot determine from the data whether detectable safety improvements are directly attributable to discrete civil penalties. Accordingly, FRA relies heavily upon the knowledge and expertise of its field inspectors who are most familiar with the unique attributes of specific railroad operations, geographic territories, facilities, and safety practices. Subjectively, their nuanced perceptions and judgments indicate that issuing civil penalties yields observable improvements in safety practices and compliance with the law. However, it is important to note that civil penalties are by no means FRA's only enforcement tool.

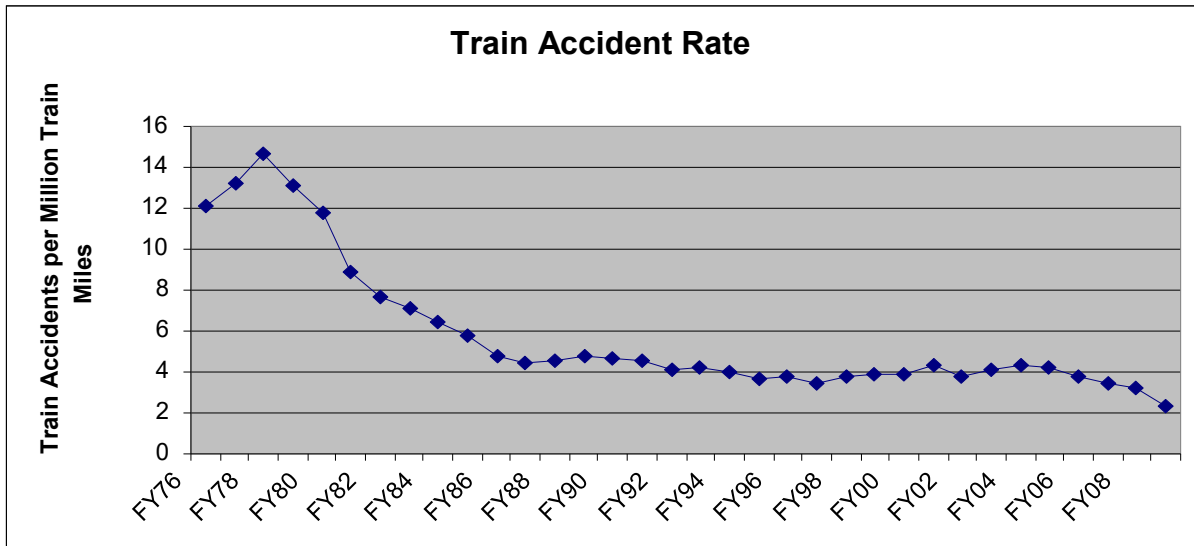
Thus, while FRA cannot precisely quantify the impact of civil penalties, it carefully monitors railroad reactions and responses to enforcement activity, and adjusts the intensity and duration of focused oversight as necessary. FRA compiles and analyzes a vast amount of data derived from reports the regulated railroads prepare and file with FRA. However, the report to Congress found that the data FRA uses to identify and track safety trends is typically developed separately from regulatory provisions that ameliorate the conditions leading to particular accident causes that have civil penalties associated with them. Results of this research found no meaningful correlation between specific accident cause codes and use of a civil penalty to enforce a specific regulatory provision, making statistically valid and reliable comparisons exceedingly difficult and statistically suspect or grossly inaccurate.

In addition, examining FRA's civil penalty enforcement in a vacuum, without considering the numerous other factors influencing positive safety outcomes, such as railroad management and individual rail worker behavior and activity, is not possible. One must consider FRA's regulatory regime as a whole instead of as its component parts. Specific regulatory provisions can complement one another to minimize or prevent conditions that contribute to an accident. However, the complexity of the regulatory scheme may conceal the magnitude of any one regulatory provision's contribution to the positive safety outcome.

As stated in the independent consultant's report on page 41—

[o]ne fruitful way to take a holistic view of the effects of the safety program is to look at accident rates over the long term. Rates, which are normalized by million train miles traveled, more reliably indicate the true state of railroad safety than do raw accident numbers. As FRA began to promulgate the first versions of major rules such as track safety standards and power brakes in the 1970's, the adverse trend in railroad safety was slowed and then sharply reversed. There are few sharp lines of demarcation because railroads and shippers often began to modify their behavior during the rulemaking process; a new safety rule typically takes effect a

considerable time after it is issued; and enforcement can occur only after the effective date of the rule. Nevertheless, each subject FRA regulates shows a response pattern generally similar to the graph shown below for train accident rates, which reflects the strongly positive effects of FRA's railroad safety program, including civil penalty enforcement, even though the data shown do not permit one to draw statistically valid conclusions about the precise effects of civil penalties, or other measures, in isolation. This dramatic improvement in railroad safety over the past 30 years suggests that FRA would be well advised to continue in the future to pursue the various measures and strategies that have guided its safety program in the past. As the results of this study suggest, it is the cumulative impact of these measures, one supporting and amplifying the other, that makes the difference.



## VI. SUMMARY AND ANALYSIS OF OPERATING CREW CERTIFICATION CASES<sup>13</sup>

### A. LOCOMOTIVE ENGINEER AND OPERATING CREW REVIEW BOARD (LERB/OCRB)

Petitions for relief filed with the LERB/OCRB in FY 2019: [19 Conductor + 26 Locomotive Engineer]	45
Decisions issued by the LERB/OCRB in FY 2019: [21 Conductor + 26 Locomotive Engineer]	47
Average length of time for decision in FY 2019:	346 days from the date petition filed <sup>14</sup> (278 days from the date of the railroad's response to the appeal to the date that a decision was issued <sup>15</sup> )

### B. ADMINISTRATIVE HEARINGS

Number of pending cases before the Administrative Hearing Officer (AHO) as of October 1, 2018:	15
Number of requests for review by the AHO received during FY 2019:	3
Number of cases closed by the AHO during FY 2019: <sup>16</sup>	7
Number of pending AHO cases as of October 1, 2019:	11
Average length of time for decision or other disposition:	14 months

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<sup>13</sup> FRA's Locomotive Engineer Review Board (LERB) reviews petitions for initial review of railroad decisions denying or revoking locomotive engineer certifications (49 C.F.R. part 240), while the Operating Crew Review Board (OCRB) reviews petitions for initial review of railroad decisions denying or revoking conductor certifications (49 C.F.R. part 242). Because both Boards share the same board members, FRA intends to merge the two review boards so that both crew members will have their petitions reviewed solely by the OCRB. See 84 Fed. Reg. 20472 (May 9, 2019).

<sup>14</sup> This excludes any delay issuing an interim order caused, where one or more of the parties initially provided incomplete information.

<sup>15</sup> See preceding footnote.

<sup>16</sup> This number of cases the AHO closed includes cases closed by decision, stipulation, or dismissal.

**C. APPEALS TO THE ADMINISTRATOR**

Appeals to the Administrator from the AHO decisions filed in FY 2019:	2
Number of Appeals Pending during FY 2019: (as of October 1, 2018, there were 4 cases pending)	6
Decisions issued by the Administrator during FY 2019:	4
Average length of time for decision issued in FY 2019: (from close of record to decision)	612 (calendar days)

**VII. SUMMARY AND ANALYSIS OF ADMINISTRATIVE HEARING CASES RELATED TO HAZMAT VIOLATIONS OR ENFORCEMENT ACTIONS AGAINST INDIVIDUALS**

Number of hearings requested in FY 2019:	1
Number of hearing-request cases completed in FY 2019:	3

**VIII. NUMBER OF CASES REFERRED TO THE ATTORNEY GENERAL FOR CIVIL OR CRIMINAL ENFORCEMENT**

Number of cases referred to the Attorney General for civil enforcement in FY 2019:	0
Number of cases referred to the Attorney General for criminal enforcement in FY 2019:	0

**IX. NUMBER AND SUBJECT MATTER OF COMPLIANCE ORDERS, EMERGENCY ORDERS, OR PRECURSOR AGREEMENTS**

During FY 2019, FRA did not issue any compliance or emergency orders, or enter into any precursor agreements.

**APPENDIX A**  
**“Railroad Safety Civil Penalty Cases Closed during Fiscal Year 2019”**



**Federal Railroad Administration  
OFFICE OF CHIEF COUNSEL  
Safety Law Division**

**RAILROAD SAFETY CIVIL PENALTY CASES  
CLOSED DURING FISCAL YEAR 2019**

This report summarizes the disposition of all civil penalty cases for which the Federal Railroad Administration (FRA) reached an agreement to collect a civil penalty, issued an order requiring the payment of a civil penalty, or otherwise closed under the Federal railroad safety statutes and regulations the hazardous materials transportation laws (HMT) during fiscal year 2019. FRA closed cases under most of these statutes by settlement, and under the HMT generally by final orders of assessment. Total penalty settlements and final assessments against companies, summarized in this report, were as follows:

Railroad safety statutes (except HMT)	\$11,030,239
HMT	\$ 5,165,053
Total Civil Penalties	<u>\$16,195,292</u>

FRA collected no civil penalty settlements or final assessments from individuals for alleged violations of the railroad safety laws.

**The Federal Railroad Safety Statutes and Regulations**

In the 1890s, Congress began regulating the railroad industry for safety purposes by enacting narrowly drawn laws to deal with discrete rail safety issues such as safety appliances and locomotive inspection. Having determined the need for more comprehensive regulation, Congress enacted the Federal Railroad Safety Act of 1970 (FRSA), which granted rulemaking authority over "all areas of railroad safety . . . ." FRA has exercised this authority by issuing a wide variety of rail safety regulations. See Parts 209 through 244 of Title 49 of the Code of Federal Regulations. Civil penalties are an important means of enforcing those regulations and the safety statutes.

In 1975, the Hazardous Materials Transportation Act (HMTA) added civil penalties to the criminal penalties already available for hazardous materials violations. HMTA regulations, although issued by the Department of Transportation's (DOT's) Pipeline and Hazardous Materials Safety Administration, are generally enforced by the DOT administration responsible for each mode of transportation, e.g., by FRA in cases involving the transportation or shipment of hazardous materials by rail. In 1994, Congress repealed the FRSA, HMTA, and other Federal railroad safety statutes and recodified them in title 49 of the United States Code, chapters 51 and 201-213.

**The Civil Penalty Process**

To promote safety compliance, FRA inspectors and participating States submit reports alleging violations of Federal safety and HMT laws and regulations to the Safety Law Division of the Office of Chief Counsel. This Division reviews the reports for legal sufficiency, aggregates those of one type containing one or more alleged violations into a single case, assesses a penalty for each alleged violation, and transmits the case to the railroad, shipper, individual, or other entity in a penalty demand letter or, if an HMT case, a Notice of Probable Violation. After a respondent in such a case has conducted its own investigation, and unless the respondent pays the full amount of the initial assessment, negotiations are held, during which the respondent presents defenses or arguments for mitigation and offers of settlement or final assessment are exchanged. In these negotiations, FRA focuses on applying the statutory assessment criteria to the facts of each case. When an agreement is reached, payment is generally due within 30 days of its execution. A more detailed statement of this process and FRA's enforcement policies are included in 49 CFR Part 209, Appendix A. Where settlement cannot be reached, FRA refers cases to the Department of Justice for litigation. The Attorney General, with FRA's active participation, brings suit to enforce the penalty assessed in the appropriate Federal court.

HMT cases are normally concluded by FRA issuing an order of assessment predicated on a finding of a knowing violation. If an HMT case is not resolved informally, a respondent may request a formal hearing on FRA's allegations before a hearing officer designated by the Chief Counsel and then appeal an adverse



decision to the Administrator of FRA before judicial litigation.

FRA ordinarily closes the vast majority of its civil penalty cases without need for litigation, consistent with the rail safety statutory scheme that promotes compromise based on specified settlement criteria. The negotiation process takes into account the strengths and weaknesses of each case and the overall goals of the safety program. We believe that collection of these penalties, while just one of many compliance tools FRA uses, contributes significantly to improving regulatory compliance and achieving safety program goals.

**John T. Seguin**  
Assistant Chief Counsel for Safety

## Abbreviations and Explanations of Terms Used in this Report

The type of violation alleged in each civil penalty case can be identified using the following codes, one of which appears as a suffix to each case number:

<b>AD</b>	<b>Alcohol and Drug Use</b>
<b>AR</b>	<b>Accident Reports Regulations</b>
<b>BSS</b>	<b>Bridge Safety Standards</b>
<b>BW</b>	<b>Bridge Worker Safety Standards</b>
<b>CC</b>	<b>Conductor Certification Regulations</b>
<b>CIS</b>	<b>Critical Incident Stress</b>
<b>EP</b>	<b>Railroad Safety Enforcement</b>
<b>EQ</b>	<b>Engineer Qualifications</b>
<b>FCS</b>	<b>Freight Car Safety Standards</b>
<b>GC</b>	<b>Grade Crossing Signal Safety</b>
<b>GS</b>	<b>Safety Glazing Standards</b>
<b>HMT</b>	<b>Hazardous Materials Regulations</b>
<b>HS</b>	<b>Hours of Service Laws</b>
<b>HSR</b>	<b>Hours of Service Record Keeping</b>
<b>LI</b>	<b>Locomotive Safety Standards</b>
<b>PEP</b>	<b>Passenger Train Emergency Preparedness</b>
<b>PEQ</b>	<b>Passenger Equipment Safety Standards</b>
<b>RMM</b>	<b>Roadway Maintenance Machines</b>
<b>ROP</b>	<b>Railroad Operating Practices</b>
<b>ROR</b>	<b>Railroad Operating Rules</b>
<b>RSP</b>	<b>Railroad Standards and Procedures</b>
<b>RW</b>	<b>Roadway Worker Protection</b>
<b>SA</b>	<b>Safety Appliance Statutes</b>
<b>SI</b>	<b>Positive Train Control</b>
<b>SI</b>	<b>Signal Inspection Regulations</b>
<b>TH</b>	<b>TRAIN HORN/QUIET ZONE</b>
<b>TS</b>	<b>Track Safety Standards</b>

FRA identifies railroads and other respondents are by a respondent code (see the legend provided at the end of this report), which appears as the letters in the case number after "FRA No. ". FRA identifies hazardous materials and emergency order cases involving shippers by a respondent code beginning with the letter "Z". FRA identifies cases involving contractors by a respondent code beginning with the letter "X". The column labeled "POCA" shows the initial penalty assessed in the case. The column labeled "PRCA" shows the total amount of the initial assessment for alleged violations that FRA concluded it would be able to sustain if the case were litigated. There are two situations when PRCA does not equal to POCA. First, would be if FRA concluded one or more of the violations initially alleged could likely not be sustained. FRA considers such violations terminated. Second, would be if FRA decided the violation could be sustained but the initial penalty assessment for the violation was incorrect. For such cases, FRA corrects the penalty amount and the violation is considered "partially terminated." Cases against individuals (who are liable for civil penalties for willful violations) are identified by the prefix "Indpen" and are listed separately. The "Comments" column shows the violation number of terminated or partially terminated violations.

FRA Civil Penalty Cases against Individuals  
Closed in Fiscal Year 2019

<u>FRA No.</u>	<u>Initial Penalty Demanded</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>
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None

Federal Railroad Administration  
Safety Cases Closed in FY 2019

<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
ABWR 2018-1(HSR)	1	\$1,000	\$1,000	\$870	09/29/2019	
ABWR 2019-1(AD)	1	\$2,500	\$2,500	\$2,000	09/29/2019	
ABWR 2019-2(AD)	1	\$5,000	\$5,000	\$4,350	09/29/2019	
ACWR 2019-1(ROP)	1	\$2,000	\$2,000	\$2,000	06/04/2019	
ACWR 2019-2(ROP)	1	\$2,000	\$2,000	\$2,000	06/04/2019	
ADCX 2019-1(AR)	1	\$2,500	\$2,500	\$2,500	03/12/2019	
ADCX 2019-2(AD)	1	\$2,500	\$2,500	\$2,500	06/29/2019	
ADCX 2019-3(AD)	1	\$2,500	\$2,500	\$2,500	06/25/2019	
ADCX 2019-4(AD)	1	\$2,500	\$2,500	\$2,500	06/20/2019	
ADCX 2019-5(AD)	1	\$2,500	\$2,500	\$1,250	09/24/2019	
ADCX 2019-6(AD)	1	\$2,500	\$2,500	\$1,250	09/24/2019	
ADCX 2019-7(AD)	1	\$2,500	\$2,500	\$1,250	09/24/2019	
ADCX 2019-8(AD)	1	\$2,500	\$2,500	\$1,250	09/24/2019	
ADCX 2019-9(AD)	1	\$2,500	\$2,500	\$1,250	09/24/2019	
ADCX 2019-10(AD)	1	\$2,500	\$2,500	\$1,250	09/24/2019	
ADCX 2019-11(AR)	1	\$2,500	\$2,500	\$1,250	09/24/2019	
AGR 2018-1(ROP)	1	\$7,500	\$7,500	\$5,515	09/27/2019	
AGR 2018-2(SA)	1	\$5,000	\$5,000	\$3,850	09/27/2019	
AGR 2018-3(LI)	1	\$2,500	\$2,500	\$1,925	09/27/2019	
AGR 2018-4(HSR)	2	\$2,000	\$2,000	\$1,800	09/27/2019	
AGR 2018-5(FCS)	1	\$2,500	\$2,500	\$1,925	09/27/2019	
AGR 2018-6(HS)	1	\$1,000	\$1,000	\$900	09/27/2019	
AGR 2018-7(SA)	1	\$2,500	\$2,500	\$1,925	09/27/2019	
AGR 2018-8(FCS)	1	\$2,500	\$2,500	\$1,925	09/27/2019	
AGR 2018-9(AR)	1	\$2,500	\$2,500	\$1,925	09/27/2019	
AGR 2018-10(AR)	1	\$2,500	\$2,500	\$1,925	09/27/2019	
AGR 2018-11(FCS)	1	\$2,500	\$2,500	\$1,925	09/27/2019	
AGR 2018-12(HMT)	1	\$5,000	\$5,000	\$3,850	09/27/2019	
ALS 2016-6(ROP)	1	\$7,500	\$7,500	\$5,400	09/30/2019	
ALS 2017-5(HMT)	1	\$7,500	\$7,500	\$5,400	09/30/2019	
ALS 2018-15(ROP)	1	\$7,500	\$7,500	\$5,400	09/30/2019	
AOK 2018-1(SA)	1	\$5,000	\$5,000	\$5,000	01/29/2019	
APA 2019-1(SA)	1	\$5,000	\$5,000	\$5,000	05/09/2019	
ARR 2018-2(GC)	1	\$5,000	\$5,000	\$3,400	11/15/2018	
ARR 2018-4(AD)	1	\$2,500	\$2,500	\$1,250	05/20/2019	
ARR 2018-5(GC)	1	\$5,000	\$5,000	\$3,400	02/04/2019	
ARS 2019-1(TS)	2	\$5,000	\$5,000	\$5,000	09/29/2019	
ARS 2019-2(AD)	1	\$2,500	\$2,500	\$2,000	09/29/2019	
ARS 2019-3(AD)	1	\$2,500	\$2,500	\$2,000	09/29/2019	
ASRY 2019-1(HSR)	1	\$1,000	\$1,000	\$870	04/18/2019	
ASRY 2019-2(GC)	1	\$1,000	\$1,000	\$870	04/18/2019	
ATK 2018-5(LI)	1	\$2,500	\$2,500	\$2,000	09/23/2019	
ATK 2018-6(PEQ)	1	\$2,500	\$2,500	\$1,900	09/23/2019	
ATK 2018-7(PEQ)	1	\$2,500	\$2,500	\$1,750	09/23/2019	
ATK 2018-8(GC)	1	\$5,000	\$5,000	\$4,000	09/23/2019	
ATK 2018-9(GC)	1	\$5,000	\$5,000	\$4,000	09/23/2019	
ATK 2018-10(ROP)	1	\$7,500	\$7,500	\$5,850	09/23/2019	
ATK 2018-11(HSR)	1	\$1,000	\$1,000	\$900	09/23/2019	
ATK 2018-12(GC)	1	\$5,000	\$5,000	\$4,000	09/23/2019	

Federal Railroad Administration  
Safety Cases Closed in FY 2019

<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
ATK 2018-13(ROP)	1	\$9,500	\$9,500	\$7,410	09/23/2019	
ATK 2018-14(CC)	17	\$42,500	\$42,500	\$34,000	09/23/2019	
ATK 2018-15(CC)	1	\$25,000	\$25,000	\$20,000	09/23/2019	
ATK 2018-16(CC)	1	\$25,000	\$25,000	\$20,000	09/23/2019	
ATK 2018-17(RW)	1	\$25,000	\$25,000	\$19,250	09/23/2019	
ATK 2018-18(SI)	1	\$27,904	\$27,904	\$27,904	12/13/2018	
ATK 2018-19(RW)	1	\$1,500	\$1,500	\$1,140	09/23/2019	
ATK 2018-20(RW)	1	\$5,000	\$5,000	\$3,800	09/23/2019	
ATK 2018-21(AD)	3	\$7,500	\$0	\$0	09/23/2019	Case Terminated.
ATK 2018-22(AD)	3	\$7,500	\$0	\$0	09/23/2019	Case Terminated.
ATK 2018-23(AD)	2	\$5,000	\$5,000	\$3,800	09/23/2019	
ATK 2018-24(AD)	2	\$5,000	\$5,000	\$3,800	09/23/2019	
ATK 2018-25(AD)	1	\$2,500	\$2,500	\$1,900	09/23/2019	
ATK 2018-26(AD)	1	\$2,500	\$2,500	\$1,900	09/23/2019	
ATK 2018-27(AD)	1	\$2,500	\$2,500	\$1,900	09/23/2019	
ATK 2018-28(AD)	1	\$2,500	\$2,500	\$1,900	09/23/2019	
ATK 2018-29(AD)	1	\$2,500	\$2,500	\$1,900	09/23/2019	
ATK 2018-30(AD)	1	\$2,500	\$2,500	\$1,900	09/23/2019	
ATK 2018-31(AD)	1	\$2,500	\$2,500	\$1,900	09/23/2019	
ATK 2018-32(EQ)	1	\$2,500	\$2,500	\$2,000	09/23/2019	
ATK 2018-33(AD)	1	\$2,500	\$2,500	\$1,900	09/23/2019	
ATK 2018-34(AD)	1	\$2,500	\$2,500	\$1,900	09/23/2019	
ATK 2018-35(AD)	1	\$5,000	\$5,000	\$3,800	09/23/2019	
ATK 2018-36(AD)	1	\$2,500	\$2,500	\$1,900	09/23/2019	
ATK 2018-37(AD)	1	\$2,500	\$2,500	\$1,900	09/23/2019	
ATK 2018-38(TS)	1	\$2,500	\$2,500	\$1,950	09/23/2019	
ATK 2018-40(PEQ)	1	\$2,500	\$2,500	\$1,900	09/23/2019	
ATK 2018-41(PEQ)	1	\$2,500	\$2,500	\$1,900	09/23/2019	
ATK 2018-42(PEQ)	1	\$2,500	\$2,500	\$1,750	09/23/2019	
ATK 2018-43(PEQ)	4	\$10,000	\$10,000	\$7,800	09/23/2019	
ATK 2018-44(SI)	1	\$1,000	\$1,000	\$900	09/23/2019	
ATK 2018-45(SA)	1	\$2,500	\$2,500	\$2,025	09/23/2019	
ATK 2018-46(SI)	1	\$1,000	\$1,000	\$900	09/23/2019	
ATK 2018-47(TS)	1	\$5,000	\$5,000	\$3,900	09/23/2019	
ATK 2018-48(TS)	1	\$5,000	\$5,000	\$3,900	09/23/2019	
ATK 2018-49(TS)	1	\$1,000	\$1,000	\$900	09/23/2019	
ATK 2018-50(TS)	1	\$5,000	\$5,000	\$3,900	09/23/2019	
ATK 2018-51(AR)	1	\$2,500	\$2,500	\$1,900	09/23/2019	
ATK 2018-52(RW)	1	\$5,000	\$5,000	\$3,800	09/23/2019	
ATK 2018-53(RW)	1	\$5,000	\$5,000	\$3,800	09/23/2019	
ATK 2018-54(AD)	1	\$2,500	\$2,500	\$1,900	09/23/2019	
ATK 2018-55(AD)	1	\$2,500	\$2,500	\$1,625	09/23/2019	
ATK 2018-56(AD)	1	\$2,500	\$2,500	\$1,900	09/23/2019	
ATK 2018-57(RW)	1	\$3,000	\$3,000	\$2,280	09/23/2019	
ATK 2018-58(AD)	3	\$15,000	\$15,000	\$7,500	09/23/2019	
ATK 2018-59(TS)	1	\$5,000	\$5,000	\$3,900	09/23/2019	
ATK 2018-60(TS)	1	\$5,000	\$5,000	\$3,900	09/23/2019	
ATK 2018-61(SA)	1	\$5,000	\$5,000	\$4,050	09/23/2019	
ATK 2018-62(RW)	1	\$3,000	\$3,000	\$2,280	09/23/2019	

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ATK 2018-63(AD)	1	\$2,500	\$2,500	\$1,900	09/23/2019	
ATK 2018-64(AD)	1	\$2,500	\$2,500	\$1,900	09/23/2019	
ATK 2018-65(AD)	1	\$2,500	\$0	\$0	09/23/2019	Case Terminated.
ATK 2018-66(AD)	1	\$2,500	\$2,500	\$1,900	09/23/2019	
ATK 2018-67(AD)	1	\$5,000	\$5,000	\$3,800	09/23/2019	
ATK 2018-68(AD)	1	\$5,000	\$5,000	\$3,800	09/23/2019	
ATK 2018-69(AD)	1	\$2,500	\$0	\$0	09/23/2019	Case Terminated.
ATK 2018-70(RW)	1	\$3,000	\$0	\$0	09/23/2019	Case Terminated.
ATK 2018-71(RW)	1	\$3,000	\$3,000	\$2,100	09/23/2019	
ATK 2018-72(RW)	1	\$3,000	\$3,000	\$2,280	09/23/2019	
ATK 2019-1(AR)	1	\$2,500	\$2,500	\$1,900	09/23/2019	
ATK 2019-2(AR)	1	\$2,500	\$2,500	\$1,900	09/23/2019	
ATK 2019-3(AR)	1	\$2,500	\$2,500	\$1,900	09/23/2019	
ATK 2019-4(AR)	1	\$2,500	\$2,500	\$1,900	09/23/2019	
ATK 2019-5(AR)	1	\$2,500	\$2,500	\$1,900	09/23/2019	
ATK 2019-6(AR)	1	\$2,500	\$2,500	\$1,900	09/23/2019	
ATK 2019-7(AR)	1	\$2,500	\$2,500	\$1,900	09/23/2019	
ATK 2019-8(AR)	1	\$2,500	\$2,500	\$1,900	09/23/2019	
ATK 2019-9(CC)	1	\$5,000	\$5,000	\$4,000	09/23/2019	
ATK 2019-11(AD)	1	\$5,000	\$5,000	\$3,800	09/23/2019	
ATK 2019-12(AR)	1	\$2,500	\$2,500	\$1,900	09/23/2019	
ATK 2019-13(AR)	1	\$2,500	\$2,500	\$1,900	09/23/2019	
ATK 2019-14(AR)	1	\$2,500	\$0	\$0	09/23/2019	Case Terminated.
ATK 2019-15(AR)	1	\$2,500	\$2,500	\$1,900	09/23/2019	
ATK 2019-16(AR)	1	\$2,500	\$2,500	\$1,900	09/23/2019	
ATK 2019-17(AR)	1	\$2,500	\$2,500	\$1,900	09/23/2019	
ATK 2019-18(AR)	1	\$2,500	\$2,500	\$1,900	09/23/2019	
ATK 2019-19(SI)	1	\$1,000	\$1,000	\$900	09/23/2019	
ATK 2019-20(SI)	1	\$1,000	\$1,000	\$900	09/23/2019	
ATN 2018-2(TS)	1	\$5,000	\$5,000	\$3,500	02/03/2019	
ATN 2019-1(TS)	1	\$5,000	\$5,000	\$3,000	08/06/2019	
ATN 2019-2(TS)	1	\$5,000	\$5,000	\$3,300	08/06/2019	
AWRR 2018-1(AR)	1	\$1,000	\$1,000	\$853	09/29/2019	
AWRR 2018-2(AD)	1	\$5,000	\$5,000	\$3,250	09/29/2019	
AWRR 2018-3(AD)	1	\$5,000	\$5,000	\$4,000	09/29/2019	
AWRR 2018-4(AD)	1	\$10,000	\$10,000	\$8,500	09/29/2019	
AWRR 2018-5(AD)	1	\$2,500	\$2,500	\$1,500	09/29/2019	
AWRR 2019-5(AD)	2	\$5,000	\$5,000	\$3,750	09/29/2019	
AWRR 2019-6(AD)	2	\$5,000	\$5,000	\$3,750	09/29/2019	
AZER 2018-1(EQ)	1	\$2,000	\$2,000	\$1,580	09/27/2019	
AZER 2018-2(FCS)	1	\$2,500	\$2,500	\$1,975	09/27/2019	
AZER 2018-3(SA)	1	\$5,000	\$5,000	\$3,950	09/27/2019	
AZER 2019-1(AR)	1	\$2,500	\$2,500	\$1,975	09/27/2019	
BAWT 2019-1(AD)	1	\$2,500	\$2,500	\$1,850	09/29/2019	
BAYL 2018-1(ROP)	1	\$9,500	\$9,500	\$4,750	09/27/2019	
BAYL 2018-2(SA)	1	\$5,000	\$5,000	\$3,950	09/27/2019	
BB 2019-1(TS)	1	\$2,500	\$2,500	\$1,750	05/02/2019	
BBAY 2019-1(AD)	1	\$2,500	\$2,500	\$2,000	09/29/2019	
BHRR 2019-1(AD)	4	\$10,000	\$10,000	\$9,000	09/29/2019	

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BHRR 2019-2(AD)	4	\$20,000	\$20,000	\$15,000	09/29/2019	
BING 2019-1(HMT)	1	\$2,000	\$2,000	\$2,000	08/20/2019	
BJRY 2019-1(ROP)	1	\$5,000	\$5,000	\$2,500	04/11/2019	
BLF 2019-1(AR) BLR	1	\$2,500	\$2,500	\$1,500	06/05/2019	
2017-1(TS) BLR	1	\$2,500	\$2,500	\$1,750	10/23/2018	
2017-2(TS) BLR	1	\$2,500	\$2,500	\$1,750	10/23/2018	
2017-3(TS) BLR	1	\$2,500	\$2,500	\$1,750	10/23/2018	
2017-4(TS) BLR	5	\$12,500	\$12,500	\$7,500	10/23/2018	
2017-5(TS) BLR	1	\$2,500	\$2,500	\$1,750	10/23/2018	
2017-6(TS) BLR	2	\$5,000	\$5,000	\$3,000	10/23/2018	
2017-7(TS) BLR	1	\$2,500	\$2,500	\$1,750	10/23/2018	
2018-1(AD) BLR	1	\$2,500	\$2,500	\$1,250	10/23/2018	
2019-1(TS) BLU	1	\$2,500	\$2,500	\$2,500	05/14/2019	
2019-2(AD) BLU	1	\$2,500	\$2,500	\$2,000	09/29/2019	
2019-3(AD) BM	1	\$2,500	\$2,500	\$2,100	09/29/2019	
2018-1(TS)	1	\$5,000	\$5,000	\$4,500	09/24/2019	
BM 2018-2(RW)	1	\$3,000	\$3,000	\$2,500	09/24/2019	
BM 2018-3(TS) BNSF	1	\$5,000	\$5,000	\$4,000	09/24/2019	
2017-176(GC) BNSF	1	\$2,500	\$2,500	\$1,825	09/30/2019	
2017-826(SA) BNSF	1	\$5,000	\$5,000	\$3,650	09/30/2019	
2017-827(GC) BNSF	1	\$10,000	\$5,000	\$5,000	09/30/2019	Partially Terminated Violation(s): 1.
2018-127(HS) BNSF						
2018-144(TS) BNSF	1	\$1,000	\$1,000	\$853	09/30/2019	
2018-148(ROP) BNSF	1	\$2,500	\$2,500	\$1,825	09/30/2019	
2018-149(RW) BNSF	1	\$7,500	\$7,500	\$5,475	09/30/2019	
2018-152(LI) BNSF	2	\$4,000	\$4,000	\$2,920	09/30/2019	
2018-153(HMT) BNSF	1	\$1,500	\$1,500	\$1,095	09/30/2019	
2018-156(SA) BNSF	3	\$7,000	\$3,000	\$2,190	09/30/2019	Terminated Violation(s): 2.
2018-157(HS) BNSF	1	\$27,904	\$27,904	\$20,928	09/30/2019	
2018-158(ROP) BNSF	1	\$1,000	\$1,000	\$853	09/30/2019	
2018-159(LI) BNSF	1	\$2,000	\$2,000	\$1,460	09/30/2019	
2018-160(RW) BNSF	2	\$5,000	\$5,000	\$3,650	09/30/2019	
2018-161(LI) BNSF	1	\$2,000	\$2,000	\$1,460	09/30/2019	
2018-162(SA) BNSF	1	\$2,500	\$2,500	\$1,800	09/30/2019	
2018-163(TS) BNSF	1	\$5,000	\$5,000	\$3,650	09/30/2019	
2018-164(SA) BNSF	4	\$10,000	\$10,000	\$7,300	09/30/2019	
2018-165(LI) BNSF	1	\$5,000	\$5,000	\$3,650	09/30/2019	
2018-166(FCS) BNSF	1	\$2,500	\$2,500	\$1,825	09/30/2019	
2018-167(SA) BNSF	1	\$5,000	\$5,000	\$3,650	09/30/2019	
2018-168(TS) BNSF	1	\$2,500	\$2,500	\$1,825	09/30/2019	
2018-169(TS) BNSF	2	\$5,000	\$5,000	\$3,650	09/30/2019	
2018-170(FCS) BNSF	1	\$2,500	\$2,500	\$1,825	09/30/2019	
2018-171(FCS) BNSF	1	\$5,000	\$5,000	\$3,650	09/30/2019	
2018-172(FCS) BNSF	1	\$2,500	\$2,500	\$1,825	09/30/2019	
2018-173(FCS) BNSF	1	\$2,500	\$2,500	\$1,825	09/30/2019	
2018-174(FCS) BNSF	1	\$2,500	\$2,500	\$1,825	09/30/2019	
2018-175(FCS) BNSF	1	\$2,500	\$2,500	\$1,825	09/30/2019	
2018-176(SA) BNSF	1	\$2,500	\$2,500	\$1,825	09/30/2019	
2018-177(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
	1	\$5,000	\$5,000	\$3,650	09/30/2019	



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BNSF 2018-178(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-179(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-180(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-181(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-182(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-183(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-184(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-185(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-186(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-187(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-188(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-189(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-190(HMT)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-191(RMM)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-192(RW)	1	\$2,000	\$2,000	\$1,460	09/30/2019	
BNSF 2018-193(GC)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-194(HS)	2	\$2,000	\$2,000	\$1,706	09/30/2019	
BNSF 2018-195(HS)	1	\$1,000	\$1,000	\$853	09/30/2019	
BNSF 2018-196(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-197(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-198(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-199(FCS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-200(TS)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-201(FCS)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-202(TS)	3	\$3,000	\$3,000	\$2,559	09/30/2019	
BNSF 2018-203(ROP)	1	\$7,500	\$7,500	\$5,475	09/30/2019	
BNSF 2018-204(FCS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-205(LI)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-206(LI)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-207(LI)	3	\$7,500	\$0	\$0	09/30/2019	Case Terminated.
BNSF 2018-208(HSR)	1	\$1,000	\$1,000	\$853	09/30/2019	
BNSF 2018-209(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-210(SA)	1	\$5,000	\$0	\$0	09/30/2019	Case Terminated.
BNSF 2018-212(HS)	2	\$2,000	\$2,000	\$1,706	09/30/2019	
BNSF 2018-213(HS)	1	\$1,000	\$1,000	\$853	09/30/2019	
BNSF 2018-214(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-215(ROP)	1	\$2,000	\$2,000	\$1,460	09/30/2019	
BNSF 2018-216(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-217(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-218(ROP)	1	\$2,000	\$2,000	\$1,460	09/30/2019	
BNSF 2018-219(ROP)	1	\$7,500	\$7,500	\$5,475	09/30/2019	
BNSF 2018-220(ROP)	1	\$7,500	\$7,500	\$5,475	09/30/2019	
BNSF 2018-221(ROP)	1	\$9,500	\$9,500	\$6,935	09/30/2019	
BNSF 2018-222(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-223(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-224(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-225(ROP)	2	\$4,000	\$4,000	\$2,920	09/30/2019	
BNSF 2018-226(ROP)	1	\$7,500	\$7,500	\$5,475	09/30/2019	
BNSF 2018-227(ROP)	1	\$2,000	\$2,000	\$1,460	09/30/2019	

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BNSF 2018-228(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-229(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-230(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-231(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-232(SA)	2	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-233(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-234(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-235(LI)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-236(SA)	1	\$5,000	\$0	\$0	09/30/2019	Case Terminated.
BNSF 2018-237(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-238(ROP)	1	\$2,000	\$2,000	\$1,460	09/30/2019	
BNSF 2018-239(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-240(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-241(LI)	1	\$3,500	\$3,500	\$2,555	09/30/2019	
BNSF 2018-242(LI)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-243(ROP)	1	\$7,500	\$0	\$0	09/30/2019	Case Terminated.
BNSF 2018-244(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-245(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-246(ROP)	1	\$2,000	\$2,000	\$1,460	09/30/2019	
BNSF 2018-247(FCS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-248(ROP)	1	\$2,000	\$2,000	\$1,460	09/30/2019	
BNSF 2018-249(ROP)	1	\$2,000	\$2,000	\$1,460	09/30/2019	
BNSF 2018-250(ROP)	1	\$2,000	\$2,000	\$1,460	09/30/2019	
BNSF 2018-251(ROP)	1	\$2,000	\$2,000	\$1,460	09/30/2019	
BNSF 2018-252(ROP)	1	\$2,000	\$2,000	\$1,460	09/30/2019	
BNSF 2018-253(ROP)	1	\$2,000	\$2,000	\$1,460	09/30/2019	
BNSF 2018-254(HMT)	7	\$35,000	\$0	\$0	09/30/2019	Case Terminated.
BNSF 2018-255(TS)	3	\$15,000	\$15,000	\$10,950	09/30/2019	
BNSF 2018-256(TS)	3	\$7,500	\$7,500	\$5,475	09/30/2019	
BNSF 2018-257(HMT)	2	\$7,000	\$7,000	\$5,110	09/30/2019	
BNSF 2018-258(HMT)	1	\$2,000	\$2,000	\$1,460	09/30/2019	
BNSF 2018-259(TS)	1	\$2,500	\$2,500	\$1,750	09/30/2019	
BNSF 2018-260(TS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-261(HMT)	1	\$2,000	\$2,000	\$1,460	09/30/2019	
BNSF 2018-262(HMT)	3	\$6,000	\$6,000	\$4,380	09/30/2019	
BNSF 2018-263(HMT)	1	\$2,000	\$2,000	\$1,460	09/30/2019	
BNSF 2018-264(ROP)	1	\$1,000	\$1,000	\$853	09/30/2019	
BNSF 2018-265(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-266(LI)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-267(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-268(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-269(TS)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-270(TS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-271(ROP)	1	\$2,000	\$2,000	\$1,460	09/30/2019	
BNSF 2018-272(GC)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-273(GC)	2	\$10,000	\$10,000	\$7,300	09/30/2019	
BNSF 2018-274(RW)	1	\$2,000	\$2,000	\$1,460	09/30/2019	
BNSF 2018-275(GC)	1	\$2,500	\$2,500	\$853	09/30/2019	
BNSF 2018-276(SA)	2	\$10,000	\$5,000	\$5,000	09/30/2019	Partially Terminated Violation(s): 1.

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BNSF 2018-277(ROP)	1	\$9,500	\$9,500	\$6,935	09/30/2019	
BNSF 2018-278(LI)	1	\$2,500	\$2,500	\$853	09/30/2019	
BNSF 2018-279(LI)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-280(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-281(HMT)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-282(TS)	4	\$10,000	\$7,000	\$6,000	09/30/2019	Partially Terminated Violation(s): 1, 2.
BNSF 2018-283(TS)	2	\$5,000	\$2,000	\$1,800	09/30/2019	Partially Terminated Violation(s): 1, 2.
BNSF 2018-284(TS)	5	\$15,000	\$15,000	\$10,950	09/30/2019	
BNSF 2018-285(HMT)	1	\$2,000	\$2,000	\$1,460	09/30/2019	
BNSF 2018-286(HMT)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-287(ROP)	1	\$7,500	\$7,500	\$5,475	09/30/2019	
BNSF 2018-288(HMT)	10	\$20,000	\$10,000	\$7,300	09/30/2019	Terminated Violation(s): 1.
BNSF 2018-289(SA)	2	\$10,000	\$10,000	\$7,300	09/30/2019	
BNSF 2018-290(RW)	1	\$1,500	\$1,500	\$1,095	09/30/2019	
BNSF 2018-291(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-292(LI)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-293(LI)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-294(LI)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-295(HMT)	2	\$4,000	\$4,000	\$2,920	09/30/2019	
BNSF 2018-296(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-297(FCS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-298(FCS)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-299(FCS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-300(FCS)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-301(FCS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-302(LI)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-303(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-304(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-305(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-306(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-307(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-308(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-309(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-310(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-311(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-312(ROP)	1	\$7,500	\$7,500	\$5,475	09/30/2019	
BNSF 2018-313(LI)	3	\$7,500	\$5,000	\$3,650	09/30/2019	Partially Terminated Violation(s): 2.
BNSF 2018-314(TS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-315(TS)	1	\$5,000	\$5,000	\$853	09/30/2019	
BNSF 2018-316(ROP)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-317(ROP)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-318(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-319(FCS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-320(TS)	3	\$7,500	\$7,500	\$5,475	09/30/2019	
BNSF 2018-321(TS)	2	\$10,000	\$10,000	\$7,300	09/30/2019	
BNSF 2018-322(TS)	2	\$10,000	\$10,000	\$7,300	09/30/2019	
BNSF 2018-323(TS)	2	\$2,000	\$2,000	\$1,706	09/30/2019	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
BNSF 2018-324(TS)	1	\$1,000	\$1,000	\$853	09/30/2019	
BNSF 2018-325(ROP)	1	\$7,500	\$7,500	\$5,475	09/30/2019	
BNSF 2018-326(ROP)	1	\$7,500	\$7,500	\$5,475	09/30/2019	
BNSF 2018-327(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-328(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-329(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-330(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-331(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-332(HMT)	4	\$4,000	\$4,000	\$2,920	09/30/2019	
BNSF 2018-333(FCS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-334(TS)	2	\$10,000	\$10,000	\$7,300	09/30/2019	
BNSF 2018-335(TS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-336(TS)	3	\$15,000	\$15,000	\$10,950	09/30/2019	
BNSF 2018-337(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-338(GC)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-339(FCS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-340(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-341(GC)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-342(GC)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-343(TS)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-344(TS)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-345(TS)	1	\$2,500	\$2,500	\$1,750	09/30/2019	
BNSF 2018-346(TS)	2	\$7,500	\$7,500	\$5,475	09/30/2019	
BNSF 2018-347(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-348(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-349(TS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-350(TS)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-351(LI)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-352(GC)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-353(TS)	1	\$2,500	\$1,000	\$853	09/30/2019	Partially Terminated Violation(s): 1.
BNSF 2018-354(TS)	1	\$2,500	\$1,000	\$853	09/30/2019	Partially terminated Violation(s): 1.
BNSF 2018-355(TS)	3	\$15,000	\$15,000	\$10,950	09/30/2019	
BNSF 2018-356(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-357(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-358(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-359(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-360(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-361(SI)	1	\$1,000	\$1,000	\$853	09/30/2019	
BNSF 2018-362(SI)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-363(SI)	1	\$1,000	\$1,000	\$853	09/30/2019	
BNSF 2018-364(GC)	1	\$1,000	\$1,000	\$853	09/30/2019	
BNSF 2018-365(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-367(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-368(FCS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-369(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-370(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-371(LI)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-372(ROP)	1	\$7,500	\$7,500	\$5,475	09/30/2019	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
BNSF 2018-373(ROP)	1	\$2,000	\$2,000	\$1,460	09/30/2019	
BNSF 2018-374(TS)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-375(GC)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-376(FCS)	1	\$2,500	\$2,500	\$853	09/30/2019	
BNSF 2018-377(FCS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-378(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-379(GC)	1	\$5,000	\$5,000	\$4,000	09/30/2019	
BNSF 2018-380(TS)	2	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-381(TS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-382(TS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-383(TS)	3	\$3,000	\$3,000	\$2,559	09/30/2019	
BNSF 2018-384(TS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-385(TS)	1	\$1,000	\$1,000	\$853	09/30/2019	
BNSF 2018-386(TS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-387(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-388(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-389(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-390(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-391(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-392(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-393(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-394(ROP)	2	\$4,000	\$4,000	\$2,920	09/30/2019	
BNSF 2018-395(ROP)	2	\$4,000	\$4,000	\$2,920	09/30/2019	
BNSF 2018-396(ROP)	1	\$7,500	\$7,500	\$5,475	09/30/2019	
BNSF 2018-397(ROP)	1	\$2,000	\$2,000	\$1,460	09/30/2019	
BNSF 2018-398(ROP)	1	\$7,500	\$7,500	\$5,475	09/30/2019	
BNSF 2018-399(ROP)	1	\$9,500	\$9,500	\$6,935	09/30/2019	
BNSF 2018-400(SA)	2	\$10,000	\$10,000	\$7,300	09/30/2019	
BNSF 2018-401(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-402(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-403(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-404(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-405(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-406(FCS)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-407(FCS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-408(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-410(TS)	5	\$11,000	\$11,000	\$7,500	09/30/2019	
BNSF 2018-412(TS)	3	\$10,000	\$10,000	\$7,300	09/30/2019	
BNSF 2018-413(FCS)	2	\$10,000	\$5,000	\$3,500	09/30/2019	Partially Terminated Violation(s): 1.
BNSF 2018-414(FCS)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-415(FCS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-416(FCS)	1	\$5,000	\$5,000	\$853	09/30/2019	
BNSF 2018-417(FCS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-418(FCS)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-419(FCS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-420(FCS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-421(FCS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-422(FCS)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-423(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	

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BNSF 2018-424(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-425(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-426(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-427(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-428(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-429(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-430(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-431(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-432(FCS)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-433(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-434(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-435(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-436(TS)	3	\$7,500	\$7,500	\$5,475	09/30/2019	
BNSF 2018-437(ROP)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-438(ROP)	1	\$7,500	\$7,500	\$5,475	09/30/2019	
BNSF 2018-440(ROP)	1	\$7,500	\$7,500	\$5,475	09/30/2019	
BNSF 2018-441(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-442(HMT)	2	\$7,000	\$7,000	\$5,110	09/30/2019	
BNSF 2018-444(SI)	1	\$1,000	\$1,000	\$853	09/30/2019	
BNSF 2018-445(TS)	2	\$3,500	\$3,500	\$2,555	09/30/2019	
BNSF 2018-446(TS)	2	\$10,000	\$10,000	\$7,300	09/30/2019	
BNSF 2018-447(TS)	3	\$6,000	\$5,000	\$3,650	09/30/2019	Terminated Violation(s): 3.
BNSF 2018-448(TS)	3	\$7,500	\$7,500	\$5,475	09/30/2019	
BNSF 2018-449(TS)	1	\$1,000	\$1,000	\$853	09/30/2019	
BNSF 2018-450(TS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-451(FCS)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-452(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-453(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-454(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-455(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-456(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-457(TS)	2	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-458(TS)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-459(TS)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-460(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-461(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-462(SA)	1	\$2,500	\$2,500	\$1,100	09/30/2019	
BNSF 2018-463(SA)	1	\$2,500	\$2,500	\$1,100	09/30/2019	
BNSF 2018-464(SA)	1	\$2,500	\$2,500	\$1,100	09/30/2019	
BNSF 2018-465(SA)	1	\$2,500	\$2,500	\$1,100	09/30/2019	
BNSF 2018-466(SA)	1	\$2,500	\$2,500	\$1,100	09/30/2019	
BNSF 2018-467(TS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-468(TS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-469(TS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-470(TS)	30	\$30,000	\$6,000	\$6,000	09/30/2019	Partially Terminated Violation(s): 1.
BNSF 2018-471(TS)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-472(TS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-473(ROP)	1	\$7,500	\$7,500	\$5,475	09/30/2019	
BNSF 2018-475(SA)	1	\$2,500	\$2,500	\$1,100	09/30/2019	

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BNSF 2018-476(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-477(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-478(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-479(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-480(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-481(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-482(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-483(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-484(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-485(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-486(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-487(FCS)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-488(FCS)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-489(FCS)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-490(FCS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-491(FCS)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-492(TS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-493(FCS)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-495(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-496(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-497(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-498(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-499(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-500(ROP)	1	\$7,500	\$7,500	\$5,475	09/30/2019	
BNSF 2018-501(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-502(RW)	1	\$2,000	\$2,000	\$1,460	09/30/2019	
BNSF 2018-503(EP)	1	\$1,000	\$1,000	\$853	09/30/2019	
BNSF 2018-504(GC)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-505(TS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-506(SI)	1	\$5,000	\$1,000	\$853	09/30/2019	Partially Terminated Violation(s): 1.
BNSF 2018-507(SI)	1	\$6,000	\$6,000	\$4,380	09/30/2019	
BNSF 2018-508(GC)	1	\$5,000	\$5,000	\$3,900	09/30/2019	
BNSF 2018-509(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-510(ROP)	1	\$2,000	\$2,000	\$1,460	09/30/2019	
BNSF 2018-511(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-512(SA)	1	\$2,500	\$2,500	\$1,100	09/30/2019	
BNSF 2018-513(SA)	1	\$2,500	\$2,500	\$1,100	09/30/2019	
BNSF 2018-514(SA)	1	\$2,500	\$2,500	\$1,100	09/30/2019	
BNSF 2018-515(SA)	1	\$2,500	\$2,500	\$1,100	09/30/2019	
BNSF 2018-516(SA)	1	\$2,500	\$2,500	\$1,100	09/30/2019	
BNSF 2018-517(SA)	1	\$2,500	\$2,500	\$1,100	09/30/2019	
BNSF 2018-518(SA)	1	\$2,500	\$2,500	\$1,100	09/30/2019	
BNSF 2018-519(SA)	1	\$2,500	\$2,500	\$1,100	09/30/2019	
BNSF 2018-520(SA)	1	\$2,500	\$2,500	\$1,100	09/30/2019	
BNSF 2018-521(SA)	1	\$2,500	\$2,500	\$1,100	09/30/2019	
BNSF 2018-522(SA)	1	\$2,500	\$2,500	\$1,100	09/30/2019	
BNSF 2018-523(SA)	1	\$2,500	\$2,500	\$1,100	09/30/2019	
BNSF 2018-524(SA)	1	\$2,500	\$2,500	\$1,100	09/30/2019	
BNSF 2018-525(SA)	1	\$2,500	\$2,500	\$1,100	09/30/2019	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
BNSF 2018-526(TS)	2	\$10,000	\$10,000	\$7,300	09/30/2019	
BNSF 2018-527(SA)	1	\$2,500	\$2,500	\$1,100	09/30/2019	
BNSF 2018-528(SA)	1	\$2,500	\$2,500	\$1,100	09/30/2019	
BNSF 2018-529(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-530(ROP)	1	\$2,000	\$2,000	\$1,460	09/30/2019	
BNSF 2018-531(ROP)	1	\$2,000	\$2,000	\$1,460	09/30/2019	
BNSF 2018-532(TS)	89	\$89,000	\$18,000	\$18,000	09/30/2019	Partially Terminated Violation(s): 1.
BNSF 2018-533(TS)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-534(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-535(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-536(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-537(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-538(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-539(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-540(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-541(FCS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-542(SA)	2	\$4,000	\$4,000	\$2,920	09/30/2019	
BNSF 2018-543(LI)	1	\$2,000	\$2,000	\$1,460	09/30/2019	
BNSF 2018-544(TH)	1	\$5,000	\$5,000	\$3,500	09/30/2019	
BNSF 2018-545(GC)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-546(LI)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-548(TS)	4	\$86,212	\$35,404	\$35,404	09/30/2019	Partially Terminated Violation(s): 2, 3.
BNSF 2018-549(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-550(ROP)	1	\$9,500	\$9,500	\$6,935	09/30/2019	
BNSF 2018-551(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-552(ROP)	1	\$7,500	\$7,500	\$5,475	09/30/2019	
BNSF 2018-553(ROP)	1	\$7,500	\$7,500	\$5,475	09/30/2019	
BNSF 2018-554(ROP)	1	\$7,500	\$7,500	\$5,475	09/30/2019	
BNSF 2018-555(ROP)	1	\$7,500	\$7,500	\$5,475	09/30/2019	
BNSF 2018-556(ROP)	1	\$7,500	\$7,500	\$5,475	09/30/2019	
BNSF 2018-557(ROP)	1	\$7,500	\$7,500	\$5,475	09/30/2019	
BNSF 2018-558(TS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-559(AR)	1	\$2,500	\$1,000	\$853	09/30/2019	Partially Terminated Violation(s): 1.
BNSF 2018-560(HS)	2	\$4,000	\$4,000	\$2,920	09/30/2019	
BNSF 2018-561(TS)	2	\$10,000	\$10,000	\$6,600	09/30/2019	
BNSF 2018-562(HMT)	4	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-563(SA)	1	\$10,000	\$10,000	\$7,500	09/30/2019	
BNSF 2018-564(ROP)	1	\$9,500	\$9,500	\$6,935	09/30/2019	
BNSF 2018-565(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2019	
BNSF 2018-566(ROP)	1	\$7,500	\$0	\$0	09/30/2019	Case Terminated.
BNSF 2018-567(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-568(HMT)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-569(HMT)	1	\$3,000	\$3,000	\$2,190	09/30/2019	
BNSF 2018-570(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-571(RW)	1	\$2,000	\$0	\$0	09/30/2019	Case Terminated.
BNSF 2018-572(RW)	1	\$2,000	\$2,000	\$1,460	09/30/2019	
BNSF 2018-573(FCS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	



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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
BNSF 2018-574(TS)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-575(TS)	2	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-576(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-577(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-578(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-579(TS)	2	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-580(FCS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-581(FCS)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-582(FCS)	1	\$2,500	\$2,500	\$2,500	09/30/2019	
BNSF 2018-583(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-584(FCS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-585(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-586(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-587(FCS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-588(EP)	1	\$1,000	\$1,000	\$853	09/30/2019	
BNSF 2018-589(LI)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-590(GC)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-591(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-592(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-594(FCS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-595(FCS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-596(FCS)	2	\$5,000	\$2,500	\$1,825	09/30/2019	Terminated Violation(s): 2.
BNSF 2018-597(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-598(ROP)	1	\$7,500	\$0	\$0	09/30/2019	Case Terminated.
BNSF 2018-599(ROP)	1	\$2,000	\$2,000	\$1,460	09/30/2019	
BNSF 2018-600(TS)	2	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-601(TS)	2	\$7,500	\$7,500	\$5,475	09/30/2019	
BNSF 2018-602(TS)	1	\$1,000	\$1,000	\$870	09/30/2019	
BNSF 2018-603(TS)	5	\$5,000	\$5,000	\$4,265	09/30/2019	
BNSF 2018-604(TS)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-605(TS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-606(AD)	3	\$15,000	\$15,000	\$12,500	09/30/2019	
BNSF 2018-607(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-608(TS)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-609(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-610(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-611(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-612(ROP)	1	\$7,500	\$7,500	\$5,475	09/30/2019	
BNSF 2018-613(TS)	1	\$1,000	\$1,000	\$870	09/30/2019	
BNSF 2018-615(TS)	2	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-616(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-617(TS)	2	\$2,000	\$2,000	\$1,706	09/30/2019	
BNSF 2018-618(TS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-619(RW)	1	\$2,000	\$0	\$0	09/30/2019	Case Terminated.
BNSF 2018-620(HMT)	4	\$8,000	\$8,000	\$5,840	09/30/2019	
BNSF 2018-621(TS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-622(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-623(FCS)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-624(FCS)	1	\$2,500	\$2,500	\$1,575	09/30/2019	

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BNSF 2018-625(FCS)	1	\$2,500	\$2,500	\$1,575	09/30/2019	
BNSF 2018-626(TS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-627(FCS)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-628(FCS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-629(TS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-630(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-631(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-632(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-633(TS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-634(ROP)	1	\$2,000	\$2,000	\$1,460	09/30/2019	
BNSF 2018-635(TS)	2	\$2,000	\$2,000	\$1,706	09/30/2019	
BNSF 2018-636(TS)	2	\$2,000	\$2,000	\$1,706	09/30/2019	
BNSF 2018-637(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-638(TS)	1	\$1,000	\$1,000	\$870	09/30/2019	
BNSF 2018-639(ROP)	1	\$7,500	\$7,500	\$5,475	09/30/2019	
BNSF 2018-640(FCS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-641(AD)	7	\$17,500	\$17,500	\$5,971	09/30/2019	
BNSF 2018-642(HS)	1	\$1,000	\$1,000	\$853	09/30/2019	
BNSF 2018-643(RW)	1	\$2,000	\$2,000	\$1,460	09/30/2019	
BNSF 2018-644(AD)	2	\$5,000	\$5,000	\$4,000	09/30/2019	
BNSF 2018-645(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-646(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-648(HS)	1	\$1,000	\$1,000	\$853	09/30/2019	
BNSF 2018-649(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-651(LI)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-652(AD)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-653(AD)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-656(AD)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-657(AD)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-660(AD)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-661(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2018-663(TS)	1	\$1,000	\$1,000	\$870	09/30/2019	
BNSF 2018-664(SI)	1	\$1,000	\$1,000	\$870	09/30/2019	
BNSF 2018-665(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2018-666(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2019-1(FCS)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2019-3(FCS)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2019-4(FCS)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2019-5(TS)	1	\$5,000	\$5,000	\$3,500	09/30/2019	
BNSF 2019-7(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2019-8(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2019-9(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2019-11(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2019-13(AD)	2	\$5,000	\$5,000	\$1,706	09/30/2019	
BNSF 2019-14(AD)	8	\$20,000	\$20,000	\$6,824	09/30/2019	
BNSF 2019-15(HMT)	2	\$4,000	\$4,000	\$2,920	09/30/2019	
BNSF 2019-17(LI)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2019-18(AD)	8	\$20,000	\$20,000	\$6,824	09/30/2019	
BNSF 2019-19(GC)	1	\$5,000	\$5,000	\$4,000	09/30/2019	

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BNSF 2019-20(HMT)	2	\$10,000	\$10,000	\$6,600	09/30/2019	
BNSF 2019-21(HMT)	1	\$5,000	\$5,000	\$3,400	09/30/2019	
BNSF 2019-22(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2019-23(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2019-24(FCS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2019-25(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2019-26(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2019-27(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2019-28(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2019-29(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2019-30(RW)	1	\$2,000	\$2,000	\$1,460	09/30/2019	
BNSF 2019-31(RW)	1	\$2,000	\$2,000	\$1,460	09/30/2019	
BNSF 2019-33(TS)	2	\$4,000	\$4,000	\$2,920	09/30/2019	
BNSF 2019-34(ROP)	1	\$7,500	\$7,500	\$5,475	09/30/2019	
BNSF 2019-35(ROP)	1	\$2,000	\$2,000	\$1,460	09/30/2019	
BNSF 2019-37(ROP)	1	\$7,500	\$7,500	\$5,475	09/30/2019	
BNSF 2019-38(ROP)	1	\$7,500	\$7,500	\$5,475	09/30/2019	
BNSF 2019-39(ROP)	1	\$9,500	\$9,500	\$6,935	09/30/2019	
BNSF 2019-41(RW)	2	\$4,000	\$4,000	\$2,920	09/30/2019	
BNSF 2019-42(HMT)	2	\$5,500	\$4,500	\$4,015	09/30/2019	Partially Terminated Violation(s): 2.
BNSF 2019-43(HS)	2	\$2,000	\$2,000	\$1,706	09/30/2019	
BNSF 2019-45(TS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2019-46(HMT)	2	\$7,500	\$7,500	\$5,475	09/30/2019	
BNSF 2019-47(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2019-49(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2019-50(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2019-51(FCS)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2019-52(FCS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2019-53(LI)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2019-54(RW)	1	\$3,000	\$3,000	\$2,190	09/30/2019	
BNSF 2019-55(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2019-56(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2019-57(TS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2019-58(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2019-59(AD)	10	\$25,000	\$25,000	\$9,502	09/30/2019	
BNSF 2019-60(AD)	2	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2019-62(AD)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2019-63(AD)	1	\$5,000	\$5,000	\$3,250	09/30/2019	
BNSF 2019-66(AD)	1	\$5,000	\$5,000	\$3,250	09/30/2019	
BNSF 2019-67(EP)	1	\$1,000	\$1,000	\$853	09/30/2019	
BNSF 2019-68(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2019-69(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2019-70(FCS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2019-71(TS)	1	\$1,000	\$1,000	\$870	09/30/2019	
BNSF 2019-72(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2019-73(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2019-74(FCS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2019-75(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2019-76(HMT)	1	\$5,000	\$5,000	\$3,650	09/30/2019	

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BNSF 2019-77(ROP)	1	\$2,000	\$2,000	\$1,460	09/30/2019	
BNSF 2019-78(ROP)	1	\$7,500	\$7,500	\$5,475	09/30/2019	
BNSF 2019-79(LI)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2019-80(FCS)	2	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2019-82(BW)	11	\$55,000	\$55,000	\$49,500	09/30/2019	
BNSF 2019-83(AD)	3	\$7,500	\$7,500	\$4,875	09/30/2019	
BNSF 2019-84(AD)	1	\$2,500	\$2,500	\$1,750	09/30/2019	
BNSF 2019-86(AD)	11	\$27,500	\$22,500	\$7,677	09/30/2019	Partially Terminated Violation(s): 1.
BNSF 2019-87(AD)	3	\$7,500	\$7,500	\$5,475	09/30/2019	
BNSF 2019-88(AD)	1	\$5,000	\$5,000	\$3,500	09/30/2019	
BNSF 2019-90(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2019-91(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2019-92(HMT)	1	\$3,000	\$3,000	\$2,190	09/30/2019	
BNSF 2019-94(AD)	3	\$7,500	\$7,500	\$2,559	09/30/2019	
BNSF 2019-95(AD)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2019-96(AD)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2019-97(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2019-98(FCS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2019-99(HS)	1	\$1,000	\$1,000	\$853	09/30/2019	
BNSF 2019-100(GC)	1	\$5,000	\$5,000	\$4,000	09/30/2019	
BNSF 2019-101(GC)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2019-102(ROP)	1	\$9,500	\$9,500	\$6,935	09/30/2019	
BNSF 2019-103(RSP)	1	\$5,000	\$1,000	\$870	09/30/2019	Partially Terminated Violation(s): 1.
BNSF 2019-104(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2019-106(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2019-107(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2019-108(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2019-109(FCS)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2019-110(FCS)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2019-111(ROP)	1	\$7,500	\$7,500	\$5,475	09/30/2019	
BNSF 2019-112(ROP)	1	\$7,500	\$7,500	\$5,475	09/30/2019	
BNSF 2019-113(ROP)	1	\$7,500	\$7,500	\$5,475	09/30/2019	
BNSF 2019-114(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2019-115(TS)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2019-116(TS)	1	\$5,000	\$5,000	\$3,300	09/30/2019	
BNSF 2019-117(TS)	1	\$2,000	\$2,000	\$1,460	09/30/2019	
BNSF 2019-118(HMT)	10	\$50,000	\$50,000	\$30,000	09/30/2019	
BNSF 2019-119(LI)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2019-120(HS)	3	\$3,000	\$0	\$0	09/30/2019	Case Terminated.
BNSF 2019-121(GC)	1	\$1,000	\$1,000	\$870	09/30/2019	
BNSF 2019-122(HS)	1	\$1,000	\$1,000	\$870	09/30/2019	
BNSF 2019-123(HS)	1	\$1,000	\$1,000	\$870	09/30/2019	
BNSF 2019-124(HS)	1	\$1,000	\$1,000	\$870	09/30/2019	
BNSF 2019-126(HS)	1	\$1,000	\$1,000	\$870	09/30/2019	
BNSF 2019-127(AR)	1	\$2,500	\$1,000	\$853	09/30/2019	Partially Terminated Violation(s): 1.
BNSF 2019-128(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2019-129(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	

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BNSF 2019-130(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2019-131(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2019-132(SA)	1	\$5,000	\$5,000	\$3,150	09/30/2019	
BNSF 2019-133(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2019	
BNSF 2019-134(ROP)	1	\$2,000	\$2,000	\$1,460	09/30/2019	
BNSF 2019-135(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2019	
BNSF 2019-136(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2019	
BNSF 2019-137(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2019	
BNSF 2019-138(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2019	
BNSF 2019-139(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
BNSF 2019-143(ROP)	1	\$2,000	\$2,000	\$1,460	09/30/2019	
BNSF 2019-145(LI)	1	\$4,000	\$4,000	\$2,920	09/30/2019	
BNSF 2019-146(HMT)	2	\$4,000	\$4,000	\$2,400	09/30/2019	
BPRR 2018-1(SA)	1	\$2,500	\$2,500	\$1,925	09/27/2019	
BPRR 2018-2(SA)	1	\$5,000	\$5,000	\$3,850	09/27/2019	
BPRR 2018-3(HS)	1	\$1,000	\$1,000	\$900	09/27/2019	
BPRR 2018-4(HSR)	3	\$3,000	\$3,000	\$2,310	09/27/2019	
BPRR 2018-5(LI)	1	\$2,500	\$2,500	\$1,925	09/27/2019	
BPRR 2019-1(SA)	1	\$2,500	\$2,500	\$1,925	09/27/2019	
BRC 2018-1(ROP)	1	\$9,500	\$9,500	\$6,000	05/24/2019	
BRC 2018-2(FCS)	1	\$2,500	\$2,500	\$1,750	05/24/2019	
BRC 2018-3(ROP)	1	\$9,500	\$9,500	\$6,000	05/24/2019	
BRC 2018-4(SA)	1	\$2,500	\$2,500	\$1,750	05/24/2019	
BRC 2018-5(SA)	1	\$5,000	\$5,000	\$2,750	05/24/2019	
BRC 2018-6(HMT)	2	\$2,000	\$2,000	\$900	05/24/2019	
BRC 2018-9(HMT)	1	\$1,000	\$1,000	\$675	05/24/2019	
BRC 2018-10(SA)	1	\$2,500	\$2,500	\$1,750	05/24/2019	
BRC 2018-11(SA)	1	\$2,500	\$2,500	\$1,750	05/24/2019	
BRSR 2019-1(AD)	1	\$2,500	\$2,500	\$2,000	09/29/2019	
BRSR 2019-2(AD)	1	\$2,500	\$2,500	\$2,100	09/29/2019	
BSFS 2018-1(TS)	2	\$6,000	\$6,000	\$6,000	01/15/2019	
BVRR 2018-2(ROP)	1	\$7,500	\$7,500	\$5,250	09/29/2019	
BVRR 2018-3(ROP)	1	\$7,500	\$7,500	\$5,000	09/29/2019	
CA 2018-1(SA)	1	\$5,000	\$5,000	\$3,950	09/27/2019	
CBRW 2018-1(HMT)	3	\$3,000	\$3,000	\$2,250	02/04/2019	
CERR 2019-1(AD)	1	\$5,000	\$5,000	\$4,000	09/29/2019	
CERR 2019-2(AD)	1	\$2,500	\$2,500	\$1,850	09/29/2019	
CFE 2018-1(SA)	1	\$5,000	\$5,000	\$3,950	09/27/2019	
CFNR 2019-1(TS)	1	\$5,000	\$5,000	\$3,950	09/27/2019	
CFRC 2018-15(ROR)	1	\$7,500	\$0	\$0	09/06/2019	Case Terminated.
CFRC 2018-19(EQ)	1	\$1,000	\$1,000	\$1,000	03/21/2019	
CFRC 2018-20(ROR)	1	\$9,500	\$9,500	\$9,500	03/21/2019	
CFRC 2018-21(EQ)	1	\$2,000	\$2,000	\$2,000	03/21/2019	
CFRC 2018-22(LI)	1	\$1,500	\$1,500	\$1,500	03/11/2019	
CFRC 2019-1(PEQ)	1	\$2,500	\$2,500	\$2,500	08/07/2019	
CFRC 2019-2(PEQ)	1	\$2,500	\$2,500	\$2,500	08/07/2019	
CFRC 2019-3(PEQ)	1	\$2,500	\$2,500	\$2,500	08/07/2019	
CFRC 2019-4(PEQ)	1	\$2,500	\$2,500	\$2,500	08/07/2019	
CFRC 2019-5(PEQ)	1	\$2,500	\$2,500	\$2,500	08/07/2019	

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CFRC 2019-6(PEQ)	1	\$2,500	\$2,500	\$2,500	08/07/2019	
CFRC 2019-7(PEQ)	1	\$2,500	\$2,500	\$2,500	08/07/2019	
CFRC 2019-8(PEQ)	1	\$2,500	\$2,500	\$2,500	08/07/2019	
CFRC 2019-9(PEQ)	1	\$2,500	\$2,500	\$2,500	08/07/2019	
CFRC 2019-10(PEQ)	1	\$2,500	\$2,500	\$2,500	08/07/2019	
CFRC 2019-11(PEQ)	1	\$2,500	\$2,500	\$2,500	08/07/2019	
CFRC 2019-12(PEQ)	1	\$2,500	\$2,500	\$2,500	08/07/2019	
CFRC 2019-13(PEQ)	1	\$2,500	\$2,500	\$2,500	08/07/2019	
CMEM 2018-1(LI)	3	\$6,000	\$0	\$0	09/19/2019	Case Terminated.
CMQX 2019-1(AR)	1	\$2,500	\$2,500	\$2,500	09/19/2019	
CN 2017-137(ROP)	1	\$9,500	\$0	\$0	08/29/2019	Case Terminated.
CN 2017-138(GC)	1	\$5,000	\$5,000	\$3,800	08/29/2019	
CN 2018-1(SA)	1	\$5,000	\$5,000	\$3,650	08/29/2019	
CN 2018-2(LI)	1	\$2,000	\$2,000	\$1,380	08/29/2019	
CN 2018-3(SA)	1	\$5,000	\$5,000	\$3,500	08/29/2019	
CN 2018-4(SA)	1	\$2,500	\$2,500	\$1,675	08/29/2019	
CN 2018-5(HS)	1	\$1,000	\$1,000	\$853	08/29/2019	
CN 2018-6(SA)	1	\$5,000	\$5,000	\$3,800	08/29/2019	
CN 2018-7(SA)	1	\$5,000	\$5,000	\$3,650	08/29/2019	
CN 2018-8(HS)	1	\$1,000	\$1,000	\$853	08/29/2019	
CN 2018-9(AR)	1	\$2,500	\$2,500	\$1,650	08/29/2019	
CN 2018-10(LI)	1	\$1,000	\$1,000	\$860	08/29/2019	
CN 2018-11(FCS)	1	\$2,500	\$2,500	\$1,725	08/29/2019	
CN 2018-12(SA)	1	\$5,000	\$5,000	\$3,500	08/29/2019	
CN 2018-13(SA)	1	\$5,000	\$5,000	\$3,500	08/29/2019	
CN 2018-14(LI)	1	\$1,500	\$1,500	\$975	08/29/2019	
CN 2018-15(RW)	1	\$2,000	\$2,000	\$1,440	08/29/2019	
CN 2018-16(LI)	1	\$2,500	\$2,500	\$1,725	08/29/2019	
CN 2018-18(FCS)	1	\$2,500	\$2,500	\$1,675	08/29/2019	
CN 2018-19(SA)	1	\$5,000	\$5,000	\$3,650	08/29/2019	
CN 2018-20(SA)	1	\$5,000	\$5,000	\$3,500	08/29/2019	
CN 2018-21(SA)	1	\$5,000	\$5,000	\$3,500	08/29/2019	
CN 2018-22(TS)	1	\$2,500	\$2,500	\$1,850	08/29/2019	
CN 2018-23(TS)	1	\$2,500	\$2,500	\$1,875	08/29/2019	
CN 2018-24(FCS)	1	\$2,500	\$2,500	\$1,725	08/29/2019	
CN 2018-25(SA)	1	\$2,500	\$2,500	\$1,675	08/29/2019	
CN 2018-26(ROP)	1	\$7,500	\$7,500	\$5,325	08/29/2019	
CN 2018-27(TS)	1	\$2,500	\$2,500	\$1,850	08/29/2019	
CN 2018-28(TS)	1	\$2,500	\$2,500	\$1,850	08/29/2019	
CN 2018-29(TS)	1	\$2,500	\$2,500	\$1,850	08/29/2019	
CN 2018-30(TS)	1	\$2,500	\$2,500	\$1,850	08/29/2019	
CN 2018-31(TS)	1	\$2,500	\$2,500	\$1,850	08/29/2019	
CN 2018-32(RW)	1	\$2,000	\$2,000	\$1,460	08/29/2019	
CN 2018-33(RW)	1	\$2,000	\$2,000	\$1,500	08/29/2019	
CN 2018-34(TS)	1	\$5,000	\$5,000	\$3,800	08/29/2019	
CN 2018-35(HMT)	2	\$11,000	\$11,000	\$8,360	08/29/2019	
CN 2018-36(HMT)	1	\$5,000	\$5,000	\$3,850	08/29/2019	
CN 2018-37(SA)	1	\$5,000	\$5,000	\$3,400	08/29/2019	
CN 2018-38(SA)	1	\$5,000	\$5,000	\$3,650	08/29/2019	

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CN 2018-39(SA)	1	\$2,500	\$2,500	\$1,675	08/29/2019	
CN 2018-40(SA)	1	\$2,500	\$2,500	\$1,675	08/29/2019	
CN 2018-41(LI)	1	\$2,000	\$2,000	\$1,240	08/29/2019	
CN 2018-42(FCS)	1	\$2,500	\$2,500	\$1,675	08/29/2019	
CN 2018-43(SA)	1	\$5,000	\$5,000	\$3,800	08/29/2019	
CN 2018-44(ROP)	1	\$5,000	\$5,000	\$3,800	08/29/2019	
CN 2018-45(HMT)	1	\$4,000	\$4,000	\$3,000	08/29/2019	
CN 2018-46(SA)	1	\$2,500	\$2,500	\$1,750	08/29/2019	
CN 2018-47(SA)	1	\$2,500	\$2,500	\$1,600	08/29/2019	
CN 2018-48(ROP)	1	\$9,500	\$9,500	\$7,315	08/29/2019	
CN 2018-49(SA)	1	\$5,000	\$5,000	\$3,250	08/29/2019	
CN 2018-50(SA)	1	\$5,000	\$5,000	\$3,800	08/29/2019	
CN 2018-51(AR)	1	\$2,500	\$1,000	\$853	08/29/2019	Partially Terminated Violation(s): 1.
CN 2018-52(AR)	1	\$2,500	\$1,000	\$853	08/29/2019	Partially Terminated Violation(s): 1.
CN 2018-53(AR)	1	\$2,500	\$1,000	\$853	08/29/2019	Partially Terminated Violation(s): 1.
CN 2018-54(SA)	1	\$5,000	\$5,000	\$3,750	08/29/2019	
CN 2018-55(SI)	1	\$1,000	\$1,000	\$853	08/29/2019	
CN 2018-56(SI)	3	\$3,000	\$3,000	\$2,559	08/29/2019	
CN 2018-57(SA)	1	\$5,000	\$5,000	\$3,650	08/29/2019	
CN 2018-58(RW)	1	\$1,500	\$1,500	\$1,140	08/29/2019	
CN 2018-60(SA)	1	\$5,000	\$5,000	\$3,400	08/29/2019	
CN 2018-61(SA)	1	\$5,000	\$5,000	\$3,400	08/29/2019	
CN 2018-62(LI)	1	\$1,500	\$1,500	\$990	08/29/2019	
CN 2018-63(LI)	1	\$2,500	\$2,500	\$1,850	08/29/2019	
CN 2018-64(LI)	1	\$2,500	\$2,500	\$1,625	08/29/2019	
CN 2018-65(HMT)	1	\$2,500	\$2,500	\$1,725	08/29/2019	
CN 2018-66(LI)	1	\$2,500	\$2,500	\$1,725	08/29/2019	
CN 2018-67(LI)	1	\$2,500	\$2,500	\$1,725	08/29/2019	
CN 2018-68(SA)	1	\$5,000	\$5,000	\$3,650	08/29/2019	
CN 2018-70(SA)	1	\$5,000	\$5,000	\$3,500	08/29/2019	
CN 2018-71(SA)	1	\$5,000	\$5,000	\$3,500	08/29/2019	
CN 2018-72(LI)	1	\$2,000	\$2,000	\$1,360	08/29/2019	
CN 2018-73(AR)	1	\$2,500	\$1,000	\$853	08/29/2019	Partially Terminated Violation(s): 1.
CN 2018-74(SA)	1	\$5,000	\$5,000	\$3,450	08/29/2019	
CN 2018-75(FCS)	1	\$2,500	\$2,500	\$1,725	08/29/2019	
CN 2018-76(FCS)	1	\$2,500	\$2,500	\$1,750	08/29/2019	
CN 2018-77(FCS)	1	\$2,500	\$2,500	\$1,750	08/29/2019	
CN 2018-78(FCS)	1	\$2,500	\$2,500	\$1,750	08/29/2019	
CN 2018-79(SA)	1	\$5,000	\$5,000	\$3,650	08/29/2019	
CN 2018-80(HS)	1	\$1,000	\$1,000	\$853	08/29/2019	
CN 2018-81(HS)	1	\$1,000	\$1,000	\$853	08/29/2019	
CN 2018-82(HS)	3	\$3,000	\$3,000	\$2,559	08/29/2019	
CN 2018-83(HS)	3	\$3,000	\$3,000	\$2,559	08/29/2019	
CN 2018-84(HS)	1	\$1,000	\$1,000	\$853	08/29/2019	
CN 2018-85(HS)	1	\$1,000	\$1,000	\$853	08/29/2019	
CN 2018-86(LI)	1	\$2,500	\$2,500	\$1,675	08/29/2019	
CN 2018-87(CIS)	1	\$5,000	\$5,000	\$3,650	08/29/2019	

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CN 2018-88(SA)	1	\$5,000	\$5,000	\$3,450	08/29/2019	
CN 2018-89(SA)	2	\$5,000	\$5,000	\$3,600	08/29/2019	
CN 2018-90(SA)	1	\$2,500	\$2,500	\$1,500	08/29/2019	
CN 2018-91(SA)	1	\$5,000	\$5,000	\$3,500	08/29/2019	
CN 2018-92(FCS)	3	\$6,000	\$6,000	\$4,320	08/29/2019	
CN 2018-93(SA)	1	\$5,000	\$5,000	\$3,650	08/29/2019	
CN 2018-94(SA)	1	\$5,000	\$5,000	\$3,650	08/29/2019	
CN 2018-95(SA)	1	\$5,000	\$5,000	\$3,650	08/29/2019	
CN 2018-96(SI)	1	\$27,904	\$27,904	\$27,904	12/13/2018	
CN 2018-97(SA)	1	\$5,000	\$5,000	\$3,650	08/29/2019	
CN 2018-98(GC)	1	\$5,000	\$5,000	\$3,800	08/29/2019	
CN 2018-99(SA)	1	\$5,000	\$5,000	\$3,500	08/29/2019	
CN 2018-100(HMT)	1	\$4,000	\$4,000	\$3,040	08/29/2019	
CN 2018-101(TS)	1	\$2,500	\$2,500	\$1,875	08/29/2019	
CN 2018-102(AD)	1	\$2,500	\$2,500	\$1,900	08/29/2019	
CN 2018-103(AD)	1	\$2,500	\$2,500	\$1,900	08/29/2019	
CN 2018-104(AD)	3	\$7,500	\$7,500	\$5,550	08/29/2019	
CN 2018-105(GC)	1	\$5,000	\$5,000	\$3,800	08/29/2019	
CN 2018-106(SA)	1	\$5,000	\$5,000	\$3,250	08/29/2019	
CN 2018-107(SA)	1	\$5,000	\$5,000	\$3,800	08/29/2019	
CN 2018-108(SA)	1	\$5,000	\$5,000	\$3,500	08/29/2019	
CN 2018-109(AD)	1	\$2,500	\$2,500	\$1,850	08/29/2019	
CN 2018-110(AD)	1	\$5,000	\$5,000	\$3,750	08/29/2019	
CN 2018-111(AD)	1	\$2,500	\$2,500	\$1,725	08/29/2019	
CN 2018-112(AD)	1	\$5,000	\$5,000	\$3,650	08/29/2019	
CN 2018-113(SA)	1	\$5,000	\$5,000	\$3,400	08/29/2019	
CN 2018-114(SA)	1	\$10,000	\$10,000	\$7,700	08/29/2019	
CN 2018-115(FCS)	3	\$6,000	\$6,000	\$4,320	08/29/2019	
CN 2018-117(AD)	1	\$2,500	\$2,500	\$1,850	08/29/2019	
CN 2018-118(AD)	1	\$2,500	\$2,500	\$1,850	08/29/2019	
CN 2018-119(AD)	3	\$7,500	\$7,500	\$4,425	08/29/2019	
CN 2018-120(AD)	1	\$2,500	\$2,500	\$1,850	08/29/2019	
CN 2018-121(AD)	3	\$15,000	\$15,000	\$10,950	08/29/2019	
CN 2018-122(AD)	1	\$2,500	\$2,500	\$1,850	08/29/2019	
CN 2018-123(AD)	1	\$2,500	\$2,500	\$1,850	08/29/2019	
CN 2018-124(AD)	1	\$2,500	\$2,500	\$1,850	08/29/2019	
CN 2018-125(AD)	1	\$2,500	\$2,500	\$1,900	08/29/2019	
CN 2018-126(AD)	2	\$5,000	\$5,000	\$3,700	08/29/2019	
CN 2018-127(AD)	2	\$5,000	\$5,000	\$3,700	08/29/2019	
CN 2018-128(AD)	1	\$2,500	\$2,500	\$1,850	08/29/2019	
CN 2018-129(AD)	1	\$2,500	\$2,500	\$1,850	08/29/2019	
CN 2018-130(AD)	1	\$2,500	\$2,500	\$1,850	08/29/2019	
CN 2018-131(AD)	1	\$2,500	\$2,500	\$1,850	08/29/2019	
CN 2018-132(AD)	1	\$2,500	\$2,500	\$1,850	08/29/2019	
CN 2018-133(AD)	1	\$2,500	\$2,500	\$1,850	08/29/2019	
CN 2018-134(AD)	1	\$2,500	\$2,500	\$1,850	08/29/2019	
CN 2018-135(AD)	1	\$2,500	\$2,500	\$1,850	08/29/2019	
CN 2018-136(AD)	1	\$2,500	\$2,500	\$1,850	08/29/2019	
CN 2018-137(AD)	1	\$2,500	\$2,500	\$1,850	08/29/2019	



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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
CN 2018-138(AD)	1	\$2,500	\$2,500	\$1,850	08/29/2019	
CN 2018-139(AD)	1	\$2,500	\$2,500	\$1,850	08/29/2019	
CN 2018-140(AD)	1	\$2,500	\$2,500	\$1,850	08/29/2019	
CN 2018-141(AD)	2	\$5,000	\$5,000	\$3,700	08/29/2019	
CN 2018-142(AD)	1	\$2,500	\$2,500	\$1,900	08/29/2019	
CN 2018-143(AD)	1	\$2,500	\$2,500	\$1,850	08/29/2019	
CN 2018-144(AD)	1	\$2,500	\$2,500	\$1,900	08/29/2019	
CN 2018-145(AD)	1	\$2,500	\$2,500	\$1,475	08/29/2019	
CN 2018-146(SA)	1	\$5,000	\$5,000	\$3,650	08/29/2019	
CN 2018-147(FCS)	1	\$2,500	\$2,500	\$1,700	08/29/2019	
CN 2018-148(FCS)	1	\$2,500	\$2,500	\$1,700	08/29/2019	
CN 2018-149(FCS)	1	\$2,500	\$2,500	\$1,700	08/29/2019	
CN 2018-150(HMT)	1	\$4,000	\$4,000	\$3,040	08/29/2019	
CN 2018-151(SA)	2	\$10,000	\$10,000	\$7,100	08/29/2019	
CN 2018-152(HMT)	1	\$5,000	\$5,000	\$3,850	08/29/2019	
CN 2018-153(AD)	1	\$2,500	\$2,500	\$1,850	08/29/2019	
CN 2018-154(AD)	1	\$2,500	\$2,500	\$1,850	08/29/2019	
CN 2018-155(AD)	1	\$2,500	\$2,500	\$1,850	08/29/2019	
CN 2018-156(AD)	1	\$2,500	\$2,500	\$1,850	08/29/2019	
CN 2018-157(SA)	1	\$5,000	\$5,000	\$3,600	08/29/2019	
CN 2018-158(LI)	1	\$2,500	\$2,500	\$1,625	08/29/2019	
CN 2018-159(AD)	1	\$5,000	\$5,000	\$3,750	08/29/2019	
CN 2018-160(AD)	2	\$10,000	\$10,000	\$7,300	08/29/2019	
CN 2018-161(AD)	1	\$5,000	\$5,000	\$3,650	08/29/2019	
CN 2018-162(AD)	1	\$5,000	\$5,000	\$3,650	08/29/2019	
CN 2018-163(AD)	1	\$2,500	\$2,500	\$1,850	08/29/2019	
CN 2018-164(AD)	2	\$10,000	\$10,000	\$6,900	08/29/2019	
CN 2018-165(AD)	1	\$2,500	\$2,500	\$1,850	08/29/2019	
CN 2018-166(AD)	1	\$2,500	\$2,500	\$1,850	08/29/2019	
CN 2018-167(AD)	1	\$2,500	\$2,500	\$1,850	08/29/2019	
CN 2018-168(AD)	4	\$10,000	\$10,000	\$7,600	08/29/2019	
CN 2018-169(HMT)	1	\$4,000	\$4,000	\$3,040	08/29/2019	
CN 2018-170(SA)	1	\$5,000	\$5,000	\$3,800	08/29/2019	
CN 2018-171(SA)	1	\$2,500	\$2,500	\$1,575	08/29/2019	
CN 2018-172(SA)	1	\$5,000	\$5,000	\$3,350	08/29/2019	
CN 2018-173(FCS)	1	\$2,500	\$2,500	\$1,750	08/29/2019	
CN 2018-174(SA)	1	\$5,000	\$5,000	\$3,650	08/29/2019	
CN 2018-176(ROP)	1	\$7,500	\$7,500	\$5,700	08/29/2019	
CN 2018-177(ROP)	1	\$7,500	\$7,500	\$5,325	08/29/2019	
CN 2018-178(LI)	1	\$2,500	\$2,500	\$1,625	08/29/2019	
CN 2018-179(LI)	1	\$1,500	\$1,500	\$1,080	08/29/2019	
CN 2018-180(AD)	1	\$2,500	\$2,500	\$1,900	08/29/2019	
CN 2018-181(AD)	2	\$5,000	\$5,000	\$3,800	08/29/2019	
CN 2018-182(AD)	4	\$10,000	\$10,000	\$7,600	08/29/2019	
CN 2018-183(TS)	1	\$2,500	\$2,500	\$1,875	08/29/2019	
CN 2018-184(LI)	1	\$2,500	\$2,500	\$1,625	08/29/2019	
CN 2018-185(AD)	8	\$20,000	\$20,000	\$14,800	08/29/2019	
CN 2018-186(AD)	3	\$7,500	\$7,500	\$5,700	08/29/2019	
CN 2018-187(AD)	1	\$2,500	\$2,500	\$1,900	08/29/2019	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
CN 2018-188(FCS)	1	\$2,500	\$2,500	\$1,725	08/29/2019	
CN 2018-189(SA)	1	\$5,000	\$5,000	\$3,450	08/29/2019	
CN 2018-190(SA)	1	\$2,500	\$2,500	\$1,725	08/29/2019	
CN 2018-191(SA)	1	\$2,500	\$2,500	\$1,725	08/29/2019	
CN 2018-192(SA)	1	\$5,000	\$5,000	\$3,800	08/29/2019	
CN 2018-193(FCS)	1	\$2,500	\$2,500	\$1,700	08/29/2019	
CN 2018-194(FCS)	1	\$2,500	\$2,500	\$1,700	08/29/2019	
CN 2018-195(FCS)	1	\$2,500	\$2,500	\$1,700	08/29/2019	
CN 2018-196(SA)	1	\$2,500	\$2,500	\$1,600	08/29/2019	
CN 2018-197(SA)	1	\$5,000	\$5,000	\$3,500	08/29/2019	
CN 2018-198(LI)	1	\$2,500	\$2,500	\$1,725	08/29/2019	
CN 2018-199(LI)	1	\$2,500	\$2,500	\$1,625	08/29/2019	
CN 2018-200(TS)	1	\$2,500	\$2,500	\$1,875	08/29/2019	
CN 2018-201(SA)	1	\$5,000	\$5,000	\$3,000	08/29/2019	
CN 2018-202(SA)	1	\$2,500	\$2,500	\$1,725	08/29/2019	
CN 2018-203(SA)	1	\$2,500	\$2,500	\$1,725	08/29/2019	
CN 2018-204(SA)	1	\$2,500	\$2,500	\$1,725	08/29/2019	
CN 2018-205(HMT)	1	\$4,000	\$4,000	\$3,040	08/29/2019	
CN 2018-206(SA)	1	\$10,000	\$10,000	\$7,700	08/29/2019	
CNRX 2018-1(AD)	1	\$2,500	\$2,500	\$2,000	02/14/2019	
CORP 2018-1(SA)	1	\$5,000	\$5,000	\$3,850	09/27/2019	
CORP 2018-5(GC)	1	\$5,000	\$5,000	\$3,950	09/27/2019	
CORP 2018-6(HSR)	1	\$1,000	\$1,000	\$900	09/27/2019	
CORP 2018-7(TS)	3	\$10,000	\$10,000	\$7,900	09/27/2019	
CORP 2018-8(TS)	2	\$5,000	\$5,000	\$3,950	09/27/2019	
CORP 2018-9(SA)	1	\$5,000	\$5,000	\$3,850	09/27/2019	
CORP 2018-10(SA)	1	\$2,500	\$2,500	\$1,975	09/27/2019	
CORP 2018-11(SA)	1	\$2,500	\$2,500	\$1,975	09/27/2019	
CP 2018-56(SI)	1	\$27,904	\$27,904	\$27,904	12/13/2018	
CP 2018-68(SA)	1	\$2,500	\$0	\$0	09/30/2019	Case Terminated.
CP 2018-84(HS)	1	\$1,000	\$0	\$0	09/30/2019	Case Terminated.
CP 2018-88(HMT)	1	\$5,000	\$5,000	\$2,500	09/30/2019	
CP 2018-108(SA)	1	\$2,500	\$0	\$0	09/30/2019	Case Terminated.
CP 2019-12(SA)	29	\$145,000	\$145,000	\$50,000	09/30/2019	
CPR 2019-1(SA)	1	\$5,000	\$5,000	\$3,250	07/11/2019	
CRL 2018-1(ROP)	1	\$9,500	\$9,500	\$7,600	02/16/2019	
CRSH 2018-4(SI)	1	\$27,904	\$27,904	\$27,904	12/12/2018	
CRSH 2018-5(SA)	1	\$5,000	\$5,000	\$4,150	07/01/2019	
CRSH 2018-6(SA)	1	\$5,000	\$5,000	\$4,150	07/01/2019	
CRSH 2018-7(SA)	1	\$5,000	\$5,000	\$4,250	07/01/2019	
CRSH 2018-8(ROR)	1	\$7,500	\$7,500	\$6,200	07/01/2019	
CRSH 2018-9(ROR)	1	\$7,500	\$7,500	\$6,350	07/01/2019	
CRSH 2018-10(SA)	1	\$5,000	\$5,000	\$4,400	07/01/2019	
CRSH 2019-1(ROP)	1	\$9,500	\$9,500	\$8,150	07/01/2019	
CRSH 2019-2(SA)	1	\$5,000	\$5,000	\$4,250	07/01/2019	
CRSH 2019-3(SA)	1	\$5,000	\$5,000	\$3,850	07/01/2019	
CRSH 2019-4(SA)	1	\$5,000	\$5,000	\$3,850	07/01/2019	
CRSH 2019-5(SA)	1	\$5,000	\$5,000	\$3,850	07/01/2019	
CRSH 2019-6(ROP)	1	\$7,500	\$7,500	\$6,000	07/01/2019	

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CRSH 2019-7(SA)	1	\$5,000	\$5,000	\$4,150	07/01/2019	
CRSH 2019-8(SA)	1	\$5,000	\$5,000	\$3,900	07/01/2019	
CSX 2016-337(ROP)	1	\$7,500	\$2,000	\$1,880	09/24/2019	Partially Terminated Violation(s): 1.
CSX 2016-390(GC)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2017-206(SI)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2017-448(SA)	1	\$2,500	\$2,500	\$1,850	09/24/2019	
CSX 2017-492(FCS)	2	\$5,000	\$0	\$0	09/24/2019	Case Terminated.
CSX 2017-576(GC)	1	\$1,000	\$1,000	\$853	09/24/2019	
CSX 2017-577(GC)	1	\$2,500	\$2,500	\$1,800	09/24/2019	
CSX 2017-612(SA)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-33(SA)	1	\$2,500	\$2,500	\$1,900	09/24/2019	
CSX 2018-38(SI)	8	\$8,000	\$8,000	\$6,824	09/24/2019	
CSX 2018-42(SI)	1	\$2,500	\$2,500	\$1,810	09/24/2019	
CSX 2018-46(SI)	5	\$5,000	\$5,000	\$4,265	09/24/2019	
CSX 2018-50(SI)	1	\$1,000	\$1,000	\$853	09/24/2019	
CSX 2018-81(TS)	1	\$5,000	\$5,000	\$3,450	09/24/2019	
CSX 2018-92(SA)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-96(HMT)	1	\$5,000	\$5,000	\$3,600	09/24/2019	
CSX 2018-100(LI)	1	\$2,500	\$2,500	\$1,810	09/24/2019	
CSX 2018-104(TS)	3	\$10,000	\$10,000	\$6,900	09/24/2019	
CSX 2018-108(LI)	2	\$4,000	\$4,000	\$2,950	09/24/2019	
CSX 2018-112(SA)	1	\$2,500	\$2,500	\$1,850	09/24/2019	
CSX 2018-113(SA)	1	\$2,500	\$2,500	\$1,900	09/24/2019	
CSX 2018-116(SA)	1	\$2,500	\$2,500	\$1,850	09/24/2019	
CSX 2018-120(FCS)	1	\$5,000	\$0	\$0	09/24/2019	Case Terminated.
CSX 2018-124(TS)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-128(HSR)	1	\$1,000	\$1,000	\$853	09/24/2019	
CSX 2018-132(SA)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-133(SA)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-135(AR)	1	\$2,500	\$2,500	\$1,805	09/24/2019	
CSX 2018-136(FCS)	1	\$5,000	\$5,000	\$3,600	09/24/2019	
CSX 2018-137(HMT)	1	\$2,000	\$2,000	\$1,440	09/24/2019	
CSX 2018-138(SA)	1	\$2,500	\$2,500	\$1,850	09/24/2019	
CSX 2018-139(ROP)	2	\$15,000	\$15,000	\$10,800	09/24/2019	
CSX 2018-141(TS)	3	\$10,000	\$10,000	\$6,900	09/24/2019	
CSX 2018-142(HSR)	1	\$1,000	\$1,000	\$853	09/24/2019	
CSX 2018-143(LI)	2	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-144(LI)	1	\$2,500	\$2,500	\$1,810	09/24/2019	
CSX 2018-145(LI)	1	\$2,500	\$2,500	\$1,810	09/24/2019	
CSX 2018-146(ROP)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-147(HMT)	1	\$2,000	\$2,000	\$1,440	09/24/2019	
CSX 2018-148(FCS)	1	\$2,500	\$2,500	\$1,835	09/24/2019	
CSX 2018-149(FCS)	1	\$2,500	\$2,500	\$1,835	09/24/2019	
CSX 2018-150(FCS)	1	\$2,500	\$2,500	\$1,835	09/24/2019	
CSX 2018-151(SA)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-152(SA)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-153(SA)	1	\$2,500	\$2,500	\$1,850	09/24/2019	
CSX 2018-154(SA)	1	\$2,500	\$2,500	\$1,850	09/24/2019	
CSX 2018-155(GC)	1	\$2,500	\$2,500	\$1,800	09/24/2019	

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CSX 2018-156(HMT)	1	\$2,000	\$2,000	\$1,440	09/24/2019	
CSX 2018-157(SA)	1	\$2,500	\$2,500	\$1,850	09/24/2019	
CSX 2018-158(FCS)	1	\$2,500	\$2,500	\$1,835	09/24/2019	
CSX 2018-159(SA)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-160(SA)	1	\$2,500	\$2,500	\$1,850	09/24/2019	
CSX 2018-162(FCS)	1	\$2,500	\$2,500	\$1,835	09/24/2019	
CSX 2018-163(SA)	1	\$2,500	\$2,500	\$1,850	09/24/2019	
CSX 2018-164(TS)	2	\$7,500	\$7,500	\$5,450	09/24/2019	
CSX 2018-165(TS)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-166(TS)	1	\$1,000	\$1,000	\$853	09/24/2019	
CSX 2018-167(LI)	1	\$2,500	\$2,500	\$1,810	09/24/2019	
CSX 2018-168(LI)	1	\$2,500	\$2,500	\$1,810	09/24/2019	
CSX 2018-169(RW)	1	\$3,000	\$3,000	\$2,190	09/24/2019	
CSX 2018-170(ROP)	1	\$7,500	\$7,500	\$5,450	09/24/2019	
CSX 2018-172(TS)	3	\$12,500	\$12,500	\$9,125	09/24/2019	
CSX 2018-173(ROP)	1	\$7,500	\$7,500	\$5,450	09/24/2019	
CSX 2018-174(SA)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-175(SA)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-176(SA)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-177(SA)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-180(GC)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-181(SI)	1	\$1,000	\$1,000	\$853	09/24/2019	
CSX 2018-182(ROP)	1	\$2,000	\$2,000	\$1,460	09/24/2019	
CSX 2018-184(GC)	1	\$1,000	\$1,000	\$853	09/24/2019	
CSX 2018-185(SI)	1	\$2,500	\$2,500	\$1,810	09/24/2019	
CSX 2018-186(GC)	1	\$1,000	\$1,000	\$853	09/24/2019	
CSX 2018-187(HSR)	1	\$1,000	\$1,000	\$853	09/24/2019	
CSX 2018-188(HSR)	1	\$1,000	\$1,000	\$853	09/24/2019	
CSX 2018-190(GC)	1	\$1,000	\$1,000	\$853	09/24/2019	
CSX 2018-191(GC)	1	\$2,500	\$2,500	\$2,000	09/24/2019	
CSX 2018-192(GC)	1	\$1,000	\$1,000	\$853	09/24/2019	
CSX 2018-193(SA)	1	\$2,500	\$2,500	\$1,850	09/24/2019	
CSX 2018-194(FCS)	1	\$2,500	\$2,500	\$1,835	09/24/2019	
CSX 2018-195(SA)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-196(SA)	3	\$12,500	\$12,500	\$9,050	09/24/2019	
CSX 2018-197(SA)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-198(SA)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-199(SA)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-200(ROP)	1	\$7,500	\$7,500	\$5,450	09/24/2019	
CSX 2018-202(SA)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-203(HMT)	2	\$5,000	\$5,000	\$3,600	09/24/2019	
CSX 2018-205(LI)	1	\$2,500	\$2,500	\$1,810	09/24/2019	
CSX 2018-206(LI)	1	\$2,500	\$2,500	\$1,810	09/24/2019	
CSX 2018-207(LI)	1	\$1,000	\$1,000	\$853	09/24/2019	
CSX 2018-208(LI)	1	\$2,500	\$2,500	\$1,835	09/24/2019	
CSX 2018-209(LI)	1	\$2,500	\$2,500	\$1,835	09/24/2019	
CSX 2018-211(TS)	1	\$2,500	\$2,500	\$1,775	09/24/2019	
CSX 2018-212(SA)	1	\$2,500	\$2,500	\$1,850	09/24/2019	
CSX 2018-213(SA)	1	\$2,500	\$2,500	\$1,850	09/24/2019	

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CSX 2018-214(TS)	1	\$10,000	\$10,000	\$7,550	09/24/2019	
CSX 2018-215(TS)	3	\$37,904	\$35,404	\$26,829	09/24/2019	Partially Terminated Violation(s): 3.
CSX 2018-217(SA)	1	\$2,500	\$2,500	\$1,850	09/24/2019	
CSX 2018-218(SA)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-219(SA)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-220(FCS)	1	\$2,500	\$2,500	\$1,835	09/24/2019	
CSX 2018-221(SA)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-222(SA)	1	\$2,500	\$2,500	\$1,850	09/24/2019	
CSX 2018-223(SA)	1	\$2,500	\$2,500	\$1,850	09/24/2019	
CSX 2018-224(SA)	1	\$2,500	\$2,500	\$1,850	09/24/2019	
CSX 2018-225(SA)	1	\$2,500	\$2,500	\$1,850	09/24/2019	
CSX 2018-226(TS)	1	\$1,000	\$1,000	\$853	09/24/2019	
CSX 2018-227(SA)	1	\$2,500	\$2,500	\$1,850	09/24/2019	
CSX 2018-228(SA)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-229(HMT)	4	\$30,000	\$30,000	\$21,600	09/24/2019	
CSX 2018-230(HMT)	1	\$3,000	\$3,000	\$2,160	09/24/2019	
CSX 2018-231(ROP)	1	\$7,500	\$7,500	\$5,450	09/24/2019	
CSX 2018-232(TS)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-233(HMT)	1	\$3,000	\$3,000	\$2,160	09/24/2019	
CSX 2018-234(TS)	3	\$10,000	\$10,000	\$7,300	09/24/2019	
CSX 2018-235(TS)	2	\$2,000	\$2,000	\$1,706	09/24/2019	
CSX 2018-236(TS)	2	\$7,500	\$7,500	\$5,450	09/24/2019	
CSX 2018-237(SA)	1	\$2,500	\$2,500	\$1,850	09/24/2019	
CSX 2018-238(SA)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-239(ROP)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-240(FCS)	1	\$2,500	\$2,500	\$1,835	09/24/2019	
CSX 2018-241(SI)	1	\$1,000	\$1,000	\$853	09/24/2019	
CSX 2018-242(FCS)	1	\$2,500	\$2,500	\$1,835	09/24/2019	
CSX 2018-243(SI)	1	\$1,000	\$1,000	\$853	09/24/2019	
CSX 2018-244(SA)	1	\$2,500	\$2,500	\$1,850	09/24/2019	
CSX 2018-245(SA)	1	\$2,500	\$2,500	\$1,850	09/24/2019	
CSX 2018-246(GC)	1	\$1,000	\$1,000	\$853	09/24/2019	
CSX 2018-247(TS)	1	\$2,500	\$2,500	\$1,775	09/24/2019	
CSX 2018-248(HMT)	3	\$7,500	\$7,500	\$5,400	09/24/2019	
CSX 2018-249(HS)	1	\$1,000	\$1,000	\$650	09/24/2019	
CSX 2018-250(HS)	1	\$1,000	\$1,000	\$650	09/24/2019	
CSX 2018-251(ROP)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-252(TS)	3	\$10,000	\$5,000	\$4,350	09/24/2019	Terminated Violation(s): 1.
CSX 2018-253(GC)	1	\$2,500	\$2,500	\$2,000	09/24/2019	
CSX 2018-254(HSR)	1	\$1,000	\$1,000	\$853	09/24/2019	
CSX 2018-255(TS)	2	\$7,500	\$7,500	\$5,400	09/24/2019	
CSX 2018-257(HSR)	1	\$1,000	\$1,000	\$853	09/24/2019	
CSX 2018-258(HS)	2	\$2,000	\$2,000	\$1,706	09/24/2019	
CSX 2018-259(CC)	2	\$15,000	\$15,000	\$10,950	09/24/2019	
CSX 2018-260(ROP)	3	\$22,500	\$22,500	\$16,600	09/24/2019	
CSX 2018-261(GC)	1	\$2,500	\$2,500	\$2,000	09/24/2019	
CSX 2018-262(HSR)	1	\$1,000	\$1,000	\$853	09/24/2019	
CSX 2018-265(ROP)	1	\$7,500	\$7,500	\$5,500	09/24/2019	
CSX 2018-266(LI)	1	\$2,500	\$2,500	\$1,835	09/24/2019	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
CSX 2018-267(SA)	1	\$2,500	\$2,500	\$1,850	09/24/2019	
CSX 2018-268(SA)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-269(HMT)	1	\$5,000	\$5,000	\$3,600	09/24/2019	
CSX 2018-270(FCS)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-271(AR)	1	\$1,000	\$1,000	\$853	09/24/2019	
CSX 2018-272(AR)	1	\$1,000	\$1,000	\$853	09/24/2019	
CSX 2018-273(FCS)	1	\$6,000	\$2,500	\$1,900	09/24/2019	Partially Terminated Violation(s): 1.
CSX 2018-276(SA)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-277(SA)	1	\$2,500	\$2,500	\$1,850	09/24/2019	
CSX 2018-278(LI)	1	\$2,000	\$2,000	\$1,460	09/24/2019	
CSX 2018-279(LI)	1	\$2,000	\$2,000	\$1,460	09/24/2019	
CSX 2018-280(SA)	1	\$2,500	\$2,500	\$1,850	09/24/2019	
CSX 2018-281(SA)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-282(SA)	1	\$2,500	\$2,500	\$1,850	09/24/2019	
CSX 2018-283(SA)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-284(SA)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-285(SA)	1	\$2,500	\$2,500	\$1,835	09/24/2019	
CSX 2018-286(FCS)	1	\$2,500	\$2,500	\$1,810	09/24/2019	
CSX 2018-287(SA)	4	\$20,000	\$20,000	\$14,600	09/24/2019	
CSX 2018-288(FCS)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-289(FCS)	2	\$10,000	\$10,000	\$7,300	09/24/2019	
CSX 2018-290(SA)	1	\$5,000	\$5,000	\$3,600	09/24/2019	
CSX 2018-291(AR)	1	\$2,500	\$2,500	\$1,805	09/24/2019	
CSX 2018-292(AR)	1	\$2,500	\$2,500	\$1,806	09/24/2019	
CSX 2018-293(AR)	1	\$2,500	\$2,500	\$1,805	09/24/2019	
CSX 2018-294(AR)	1	\$2,500	\$2,500	\$1,806	09/24/2019	
CSX 2018-295(AR)	1	\$2,500	\$2,500	\$1,805	09/24/2019	
CSX 2018-296(AR)	1	\$2,500	\$2,500	\$1,806	09/24/2019	
CSX 2018-297(AR)	1	\$2,500	\$2,500	\$1,805	09/24/2019	
CSX 2018-298(AR)	1	\$2,500	\$2,500	\$1,806	09/24/2019	
CSX 2018-299(FCS)	1	\$2,500	\$2,500	\$1,810	09/24/2019	
CSX 2018-300(FCS)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-301(FCS)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-302(FCS)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-303(SA)	2	\$5,000	\$0	\$0	09/24/2019	Case Terminated.
CSX 2018-304(SA)	1	\$2,500	\$2,500	\$1,835	09/24/2019	
CSX 2018-305(SA)	1	\$5,000	\$5,000	\$3,600	09/24/2019	
CSX 2018-306(SA)	1	\$5,000	\$5,000	\$3,600	09/24/2019	
CSX 2018-307(SA)	1	\$5,000	\$5,000	\$3,600	09/24/2019	
CSX 2018-309(FCS)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-310(FCS)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-311(FCS)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-312(SA)	1	\$5,000	\$5,000	\$3,600	09/24/2019	
CSX 2018-313(SA)	1	\$2,500	\$2,500	\$1,835	09/24/2019	
CSX 2018-314(SA)	1	\$2,500	\$2,500	\$1,835	09/24/2019	
CSX 2018-315(SA)	1	\$2,500	\$2,500	\$1,835	09/24/2019	
CSX 2018-316(SA)	1	\$2,500	\$2,500	\$1,835	09/24/2019	
CSX 2018-317(SA)	1	\$2,500	\$2,500	\$1,835	09/24/2019	
CSX 2018-318(HSR)	1	\$2,500	\$2,500	\$1,875	09/24/2019	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
CSX 2018-320(HMT)	1	\$3,000	\$3,000	\$2,160	09/24/2019	
CSX 2018-321(TS)	1	\$1,000	\$1,000	\$853	09/24/2019	
CSX 2018-322(RW)	1	\$2,000	\$1,000	\$853	09/24/2019	Partially Terminated Violation(s): 1.
CSX 2018-323(TS)	1	\$2,500	\$2,500	\$1,800	09/24/2019	
CSX 2018-324(TS)	2	\$4,500	\$2,500	\$1,950	09/24/2019	Terminated Violation(s): 2.
CSX 2018-325(TS)	17	\$17,000	\$17,000	\$14,501	09/24/2019	
CSX 2018-326(TS)	1	\$2,500	\$2,500	\$1,800	09/24/2019	
CSX 2018-327(TS)	28	\$28,000	\$28,000	\$23,884	09/24/2019	
CSX 2018-328(TS)	4	\$22,500	\$22,500	\$16,425	09/24/2019	
CSX 2018-329(TS)	1	\$25,000	\$25,000	\$18,250	09/24/2019	
CSX 2018-330(HMT)	1	\$5,000	\$5,000	\$3,600	09/24/2019	
CSX 2018-331(HMT)	1	\$5,000	\$5,000	\$3,600	09/24/2019	
CSX 2018-332(TS)	1	\$5,000	\$5,000	\$3,600	09/24/2019	
CSX 2018-333(TS)	1	\$2,500	\$2,500	\$1,800	09/24/2019	
CSX 2018-334(HMT)	1	\$2,000	\$2,000	\$1,440	09/24/2019	
CSX 2018-335(SA)	1	\$5,000	\$5,000	\$3,600	09/24/2019	
CSX 2018-336(TS)	5	\$12,500	\$12,500	\$9,125	09/24/2019	
CSX 2018-337(TS)	4	\$15,000	\$15,000	\$10,950	09/24/2019	
CSX 2018-339(SA)	1	\$2,500	\$2,500	\$1,835	09/24/2019	
CSX 2018-340(SA)	1	\$2,500	\$2,500	\$1,835	09/24/2019	
CSX 2018-341(SA)	1	\$2,500	\$2,500	\$1,835	09/24/2019	
CSX 2018-342(SA)	1	\$2,500	\$2,500	\$1,835	09/24/2019	
CSX 2018-343(AR)	1	\$1,000	\$1,000	\$853	09/24/2019	
CSX 2018-344(AR)	1	\$2,500	\$2,500	\$1,810	09/24/2019	
CSX 2018-345(SA)	1	\$2,500	\$2,500	\$1,835	09/24/2019	
CSX 2018-346(SI)	1	\$1,000	\$1,000	\$853	09/24/2019	
CSX 2018-347(SI)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-348(SA)	1	\$2,500	\$0	\$0	09/24/2019	Case Terminated.
CSX 2018-349(GC)	1	\$1,000	\$1,000	\$853	09/24/2019	
CSX 2018-350(GC)	1	\$5,000	\$5,000	\$3,600	09/24/2019	
CSX 2018-351(SI)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-352(GC)	1	\$5,000	\$5,000	\$3,600	09/24/2019	
CSX 2018-353(FCS)	1	\$6,000	\$6,000	\$4,500	09/24/2019	
CSX 2018-354(SA)	1	\$2,500	\$2,500	\$1,835	09/24/2019	
CSX 2018-355(SA)	1	\$5,000	\$5,000	\$3,600	09/24/2019	
CSX 2018-356(AR)	1	\$2,500	\$2,500	\$1,810	09/24/2019	
CSX 2018-357(AR)	1	\$2,500	\$2,500	\$1,810	09/24/2019	
CSX 2018-358(AR)	1	\$2,500	\$2,500	\$1,810	09/24/2019	
CSX 2018-359(AR)	1	\$2,500	\$2,500	\$1,810	09/24/2019	
CSX 2018-360(AR)	1	\$2,500	\$2,500	\$1,810	09/24/2019	
CSX 2018-361(AR)	1	\$2,500	\$0	\$0	09/24/2019	Case Terminated.
CSX 2018-362(SA)	1	\$5,000	\$5,000	\$3,700	09/24/2019	
CSX 2018-363(RW)	1	\$3,000	\$3,000	\$2,190	09/24/2019	
CSX 2018-364(TS)	2	\$5,000	\$5,000	\$3,600	09/24/2019	
CSX 2018-365(SA)	1	\$5,000	\$5,000	\$3,700	09/24/2019	
CSX 2018-366(HSR)	1	\$1,000	\$1,000	\$853	09/24/2019	
CSX 2018-367(LI)	1	\$2,500	\$2,500	\$1,835	09/24/2019	
CSX 2018-368(RSP)	1	\$9,500	\$9,500	\$7,000	09/24/2019	
CSX 2018-369(FCS)	1	\$2,500	\$2,500	\$1,800	09/24/2019	

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CSX 2018-370(SA)	1	\$5,000	\$5,000	\$3,700	09/24/2019	
CSX 2018-371(SA)	1	\$5,000	\$5,000	\$3,250	09/24/2019	
CSX 2018-372(SA)	1	\$2,500	\$2,500	\$1,835	09/24/2019	
CSX 2018-373(SA)	1	\$2,500	\$2,500	\$1,835	09/24/2019	
CSX 2018-374(SA)	1	\$2,500	\$2,500	\$1,835	09/24/2019	
CSX 2018-375(SA)	1	\$2,500	\$2,500	\$1,835	09/24/2019	
CSX 2018-376(LI)	1	\$2,500	\$2,500	\$1,835	09/24/2019	
CSX 2018-377(ROP)	1	\$7,500	\$7,500	\$5,700	09/24/2019	
CSX 2018-378(ROP)	1	\$9,500	\$9,500	\$6,900	09/24/2019	
CSX 2018-379(SA)	1	\$5,000	\$5,000	\$3,700	09/24/2019	
CSX 2018-380(ROP)	1	\$7,500	\$7,500	\$5,600	09/24/2019	
CSX 2018-381(SA)	1	\$5,000	\$5,000	\$3,700	09/24/2019	
CSX 2018-382(FCS)	1	\$5,000	\$5,000	\$3,600	09/24/2019	
CSX 2018-383(SA)	1	\$5,000	\$5,000	\$3,700	09/24/2019	
CSX 2018-384(SA)	1	\$1,000	\$1,000	\$853	09/24/2019	
CSX 2018-385(TS)	1	\$5,000	\$5,000	\$3,600	09/24/2019	
CSX 2018-386(TS)	1	\$2,500	\$2,500	\$1,800	09/24/2019	
CSX 2018-387(TS)	1	\$5,000	\$5,000	\$3,600	09/24/2019	
CSX 2018-388(GC)	1	\$2,500	\$2,500	\$1,810	09/24/2019	
CSX 2018-389(GC)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-390(GC)	1	\$1,000	\$1,000	\$853	09/24/2019	
CSX 2018-391(SA)	1	\$5,000	\$5,000	\$3,600	09/24/2019	
CSX 2018-392(SA)	1	\$2,500	\$2,500	\$1,835	09/24/2019	
CSX 2018-393(EP)	1	\$1,000	\$1,000	\$853	09/24/2019	
CSX 2018-394(HMT)	1	\$10,000	\$10,000	\$7,200	09/24/2019	
CSX 2018-395(RW)	1	\$2,000	\$2,000	\$1,460	09/24/2019	
CSX 2018-396(HS)	2	\$2,000	\$2,000	\$1,706	09/24/2019	
CSX 2018-397(SA)	1	\$2,500	\$2,500	\$1,835	09/24/2019	
CSX 2018-398(SA)	1	\$5,000	\$5,000	\$3,750	09/24/2019	
CSX 2018-399(SA)	1	\$5,000	\$5,000	\$3,600	09/24/2019	
CSX 2018-400(AR)	1	\$1,000	\$1,000	\$853	09/24/2019	
CSX 2018-401(ROP)	1	\$7,500	\$7,500	\$5,414	09/24/2019	
CSX 2018-402(HMT)	1	\$5,000	\$5,000	\$3,600	09/24/2019	
CSX 2018-403(FCS)	1	\$2,500	\$2,500	\$1,800	09/24/2019	
CSX 2018-404(TS)	1	\$2,500	\$2,500	\$1,800	09/24/2019	
CSX 2018-405(SA)	1	\$2,500	\$2,500	\$1,835	09/24/2019	
CSX 2018-406(SA)	1	\$2,500	\$2,500	\$1,835	09/24/2019	
CSX 2018-407(SA)	1	\$5,000	\$5,000	\$3,600	09/24/2019	
CSX 2018-408(SA)	1	\$2,500	\$2,500	\$1,835	09/24/2019	
CSX 2018-409(SA)	1	\$2,500	\$2,500	\$1,835	09/24/2019	
CSX 2018-410(FCS)	1	\$2,500	\$2,500	\$1,800	09/24/2019	
CSX 2018-411(FCS)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-412(SA)	1	\$2,500	\$2,500	\$1,835	09/24/2019	
CSX 2018-413(ROP)	2	\$15,000	\$15,000	\$10,750	09/24/2019	
CSX 2018-414(FCS)	1	\$5,000	\$0	\$0	09/24/2019	Case Terminated.
CSX 2018-415(SA)	1	\$2,500	\$2,500	\$1,835	09/24/2019	
CSX 2018-416(SA)	1	\$2,500	\$2,500	\$1,835	09/24/2019	
CSX 2018-417(SA)	1	\$2,500	\$2,500	\$1,835	09/24/2019	
CSX 2018-418(ROP)	1	\$7,500	\$7,500	\$5,500	09/24/2019	



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CSX 2018-419(HMT)	1	\$5,000	\$5,000	\$3,600	09/24/2019	
CSX 2018-420(SA)	1	\$2,500	\$2,500	\$1,725	09/24/2019	
CSX 2018-421(SA)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-422(SA)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-423(SI)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-424(FCS)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-425(FCS)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-426(FCS)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-427(AR)	1	\$1,000	\$1,000	\$853	09/24/2019	
CSX 2018-428(SA)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-429(SA)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-430(SA)	1	\$5,000	\$5,000	\$3,800	09/24/2019	
CSX 2018-431(SA)	1	\$5,000	\$5,000	\$3,800	09/24/2019	
CSX 2018-432(ROP)	1	\$7,500	\$7,500	\$5,500	09/24/2019	
CSX 2018-433(FCS)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-434(HMT)	1	\$5,000	\$5,000	\$3,600	09/24/2019	
CSX 2018-435(HMT)	3	\$7,500	\$7,500	\$5,400	09/24/2019	
CSX 2018-436(HMT)	2	\$8,000	\$8,000	\$5,760	09/24/2019	
CSX 2018-437(SA)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-438(SA)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-439(SA)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-440(SA)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-441(SA)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-442(SA)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-443(ROP)	1	\$7,500	\$7,500	\$5,500	09/24/2019	
CSX 2018-444(HMT)	1	\$5,000	\$5,000	\$3,600	09/24/2019	
CSX 2018-445(CIS)	1	\$5,000	\$5,000	\$4,000	09/24/2019	
CSX 2018-446(CIS)	1	\$5,000	\$5,000	\$4,000	09/24/2019	
CSX 2018-447(CIS)	1	\$5,000	\$0	\$0	09/24/2019	Case Terminated.
CSX 2018-448(SA)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-449(SA)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-450(SA)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-451(ROP)	1	\$7,500	\$7,500	\$5,500	09/24/2019	
CSX 2018-452(SI)	1	\$2,500	\$2,500	\$1,800	09/24/2019	
CSX 2018-453(HMT)	1	\$3,000	\$3,000	\$2,160	09/24/2019	
CSX 2018-454(HMT)	1	\$7,500	\$7,500	\$5,400	09/24/2019	
CSX 2018-455(LI)	1	\$2,500	\$2,500	\$2,000	09/24/2019	
CSX 2018-456(TS)	1	\$2,500	\$2,500	\$1,800	09/24/2019	
CSX 2018-457(TS)	2	\$10,000	\$10,000	\$7,200	09/24/2019	
CSX 2018-458(TS)	1	\$5,000	\$5,000	\$3,600	09/24/2019	
CSX 2018-459(AD)	4	\$20,000	\$10,000	\$8,800	09/24/2019	Partially Terminated Violation(s): 1.
CSX 2018-460(SI)	1	\$1,000	\$1,000	\$853	09/24/2019	
CSX 2018-461(HMT)	1	\$5,000	\$5,000	\$3,600	09/24/2019	
CSX 2018-462(SI)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-463(SA)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-464(GC)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-465(GC)	1	\$2,500	\$2,500	\$1,810	09/24/2019	
CSX 2018-466(GC)	1	\$2,500	\$2,500	\$1,810	09/24/2019	
CSX 2018-467(GC)	1	\$5,000	\$5,000	\$3,650	09/24/2019	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
CSX 2018-468(GC)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-469(SA)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-470(HMT)	1	\$4,000	\$4,000	\$2,880	09/24/2019	
CSX 2018-471(LI)	1	\$2,500	\$2,500	\$1,835	09/24/2019	
CSX 2018-472(TS)	1	\$2,500	\$2,500	\$1,800	09/24/2019	
CSX 2018-473(HMT)	1	\$2,000	\$2,000	\$1,440	09/24/2019	
CSX 2018-475(SA)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-476(SA)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-477(SA)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-478(SA)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-479(TS)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-480(FCS)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-481(FCS)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-482(ROP)	1	\$7,500	\$7,500	\$5,500	09/24/2019	
CSX 2018-483(FCS)	1	\$5,000	\$5,000	\$3,600	09/24/2019	
CSX 2018-484(FCS)	1	\$2,500	\$2,500	\$1,850	09/24/2019	
CSX 2018-485(FCS)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-486(FCS)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-487(SA)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-488(SA)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-489(SA)	1	\$2,500	\$2,500	\$1,725	09/24/2019	
CSX 2018-490(SA)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-491(SA)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-492(SA)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-493(SA)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-494(SA)	1	\$5,000	\$5,000	\$3,450	09/24/2019	
CSX 2018-495(SA)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-496(SA)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-497(SA)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-498(SA)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-499(SA)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-500(SA)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-501(SA)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-502(SA)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-503(SA)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-504(SA)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-505(ROP)	1	\$7,500	\$7,500	\$5,450	09/24/2019	
CSX 2018-506(SA)	1	\$5,000	\$5,000	\$3,800	09/24/2019	
CSX 2018-507(FCS)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-508(AR)	1	\$2,500	\$2,500	\$1,810	09/24/2019	
CSX 2018-509(TS)	4	\$10,000	\$10,000	\$7,300	09/24/2019	
CSX 2018-510(LI)	1	\$2,500	\$2,500	\$1,835	09/24/2019	
CSX 2018-512(LI)	1	\$2,500	\$2,500	\$1,835	09/24/2019	
CSX 2018-513(LI)	1	\$1,500	\$1,500	\$1,100	09/24/2019	
CSX 2018-514(TS)	1	\$2,500	\$2,500	\$1,810	09/24/2019	
CSX 2018-515(TS)	1	\$1,000	\$1,000	\$853	09/24/2019	
CSX 2018-516(LI)	1	\$2,500	\$2,500	\$1,835	09/24/2019	
CSX 2018-518(GC)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-519(SA)	1	\$2,500	\$2,500	\$1,825	09/24/2019	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
CSX 2018-520(SA)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-521(TS)	1	\$2,500	\$2,500	\$1,810	09/24/2019	
CSX 2018-522(RW)	1	\$3,000	\$3,000	\$2,190	09/24/2019	
CSX 2018-523(TS)	1	\$2,500	\$2,500	\$1,810	09/24/2019	
CSX 2018-525(TS)	1	\$1,000	\$1,000	\$853	09/24/2019	
CSX 2018-526(SA)	1	\$2,500	\$2,500	\$1,925	09/24/2019	
CSX 2018-527(SA)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-528(SA)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-529(FCS)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-530(FCS)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-531(FCS)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-532(FCS)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-533(FCS)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-534(FCS)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-537(GC)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-538(SI)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-539(HMT)	1	\$7,500	\$7,500	\$5,400	09/24/2019	
CSX 2018-540(FCS)	1	\$2,500	\$2,500	\$1,925	09/24/2019	
CSX 2018-541(SA)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-542(SA)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-543(GC)	1	\$1,000	\$1,000	\$853	09/24/2019	
CSX 2018-544(ROP)	1	\$9,500	\$9,500	\$7,200	09/24/2019	
CSX 2018-545(ROP)	1	\$7,500	\$7,500	\$5,500	09/24/2019	
CSX 2018-546(SA)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-547(HS)	1	\$1,000	\$1,000	\$853	09/24/2019	
CSX 2018-548(HMT)	1	\$2,000	\$2,000	\$1,450	09/24/2019	
CSX 2018-549(SA)	1	\$5,000	\$5,000	\$3,800	09/24/2019	
CSX 2018-550(TS)	1	\$2,500	\$2,500	\$1,810	09/24/2019	
CSX 2018-551(SA)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-552(ROP)	1	\$7,500	\$7,500	\$5,400	09/24/2019	
CSX 2018-553(SI)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-554(SA)	1	\$2,500	\$2,500	\$1,900	09/24/2019	
CSX 2018-555(SA)	1	\$5,000	\$5,000	\$3,450	09/24/2019	
CSX 2018-556(SA)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-557(HMT)	1	\$3,000	\$3,000	\$2,150	09/24/2019	
CSX 2018-558(SA)	1	\$2,500	\$2,500	\$1,725	09/24/2019	
CSX 2018-559(SA)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-560(ROP)	1	\$7,500	\$7,500	\$5,500	09/24/2019	
CSX 2018-561(ROP)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-562(RSP)	1	\$5,500	\$5,500	\$4,000	09/24/2019	
CSX 2018-563(SA)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-564(TS)	1	\$2,500	\$2,500	\$1,810	09/24/2019	
CSX 2018-565(HSR)	1	\$1,000	\$1,000	\$853	09/24/2019	
CSX 2018-567(TS)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-568(AR)	1	\$1,000	\$1,000	\$853	09/24/2019	
CSX 2018-569(ROP)	1	\$9,500	\$9,500	\$6,935	09/24/2019	
CSX 2018-570(SA)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-571(SA)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-572(RMM)	1	\$2,500	\$2,500	\$1,825	09/24/2019	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
CSX 2018-573(EQ)	1	\$1,000	\$1,000	\$870	09/24/2019	
CSX 2018-574(EQ)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-576(AR)	1	\$2,500	\$2,500	\$1,810	09/24/2019	
CSX 2018-577(HMT)	1	\$3,000	\$3,000	\$2,150	09/24/2019	
CSX 2018-578(HMT)	1	\$5,000	\$5,000	\$3,600	09/24/2019	
CSX 2018-579(CC)	1	\$4,000	\$4,000	\$2,920	09/24/2019	
CSX 2018-581(SA)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-582(SA)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2018-583(SA)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2018-584(SA)	1	\$2,500	\$2,500	\$1,810	09/24/2019	
CSX 2018-585(SA)	1	\$5,000	\$5,000	\$3,600	09/24/2019	
CSX 2019-1(HMT)	1	\$2,000	\$2,000	\$1,450	09/24/2019	
CSX 2019-2(HMT)	1	\$2,000	\$2,000	\$1,450	09/24/2019	
CSX 2019-3(FCS)	1	\$5,000	\$5,000	\$3,450	09/24/2019	
CSX 2019-4(FCS)	1	\$2,500	\$2,500	\$1,725	09/24/2019	
CSX 2019-5(FCS)	1	\$2,000	\$2,000	\$1,460	09/24/2019	
CSX 2019-6(FCS)	1	\$2,000	\$2,000	\$1,460	09/24/2019	
CSX 2019-7(ROP)	1	\$7,500	\$7,500	\$5,475	09/24/2019	
CSX 2019-8(ROP)	1	\$7,500	\$7,500	\$5,625	09/24/2019	
CSX 2019-9(SI)	1	\$1,000	\$1,000	\$870	09/24/2019	
CSX 2019-10(HMT)	1	\$7,000	\$7,000	\$5,600	09/24/2019	
CSX 2019-11(SA)	1	\$5,000	\$5,000	\$3,600	09/24/2019	
CSX 2019-12(SA)	1	\$5,000	\$5,000	\$3,600	09/24/2019	
CSX 2019-13(SA)	1	\$2,500	\$2,500	\$1,810	09/24/2019	
CSX 2019-14(SA)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2019-15(SA)	1	\$2,500	\$2,500	\$1,810	09/24/2019	
CSX 2019-16(SA)	1	\$2,500	\$2,500	\$1,810	09/24/2019	
CSX 2019-17(SA)	1	\$10,000	\$10,000	\$7,300	09/24/2019	
CSX 2019-18(SA)	1	\$10,000	\$10,000	\$7,300	09/24/2019	
CSX 2019-19(ROP)	1	\$7,500	\$7,500	\$5,475	09/24/2019	
CSX 2019-20(TS)	1	\$1,000	\$1,000	\$853	09/24/2019	
CSX 2019-21(TS)	2	\$3,500	\$3,500	\$2,500	09/24/2019	
CSX 2019-22(GC)	1	\$5,000	\$5,000	\$3,600	09/24/2019	
CSX 2019-23(GC)	1	\$2,500	\$2,500	\$1,800	09/24/2019	
CSX 2019-24(GC)	1	\$1,000	\$1,000	\$853	09/24/2019	
CSX 2019-25(GC)	1	\$1,000	\$1,000	\$853	09/24/2019	
CSX 2019-26(GC)	1	\$1,000	\$1,000	\$853	09/24/2019	
CSX 2019-27(GC)	1	\$1,000	\$1,000	\$853	09/24/2019	
CSX 2019-28(GC)	1	\$1,000	\$1,000	\$853	09/24/2019	
CSX 2019-29(GC)	1	\$1,000	\$1,000	\$853	09/24/2019	
CSX 2019-30(GC)	1	\$1,000	\$1,000	\$853	09/24/2019	
CSX 2019-31(AD)	2	\$5,000	\$5,000	\$3,600	09/24/2019	
CSX 2019-32(RW)	1	\$3,000	\$3,000	\$2,190	09/24/2019	
CSX 2019-33(TS)	1	\$2,500	\$2,500	\$1,810	09/24/2019	
CSX 2019-34(GC)	1	\$2,500	\$2,500	\$1,800	09/24/2019	
CSX 2019-35(GC)	1	\$2,500	\$0	\$0	09/24/2019	Case Terminated.
CSX 2019-36(SA)	1	\$5,000	\$5,000	\$3,600	09/24/2019	
CSX 2019-37(LI)	1	\$2,500	\$0	\$0	09/24/2019	Case Terminated.
CSX 2019-38(TS)	2	\$7,500	\$7,500	\$5,400	09/24/2019	

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CSX 2019-39(SA)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2019-40(SA)	2	\$10,000	\$10,000	\$7,300	09/24/2019	
CSX 2019-41(SA)	1	\$2,500	\$2,500	\$1,810	09/24/2019	
CSX 2019-42(SI)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2019-43(FCS)	1	\$5,000	\$5,000	\$3,450	09/24/2019	
CSX 2019-44(ROP)	1	\$7,500	\$7,500	\$5,475	09/24/2019	
CSX 2019-45(SA)	1	\$5,000	\$5,000	\$3,600	09/24/2019	
CSX 2019-46(SA)	1	\$2,500	\$2,500	\$1,810	09/24/2019	
CSX 2019-47(TS)	1	\$1,000	\$1,000	\$853	09/24/2019	
CSX 2019-48(ROP)	1	\$7,500	\$7,500	\$5,400	09/24/2019	
CSX 2019-49(SI)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2019-50(SA)	1	\$2,500	\$2,500	\$1,810	09/24/2019	
CSX 2019-51(FCS)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2019-52(ROP)	1	\$7,500	\$0	\$0	09/24/2019	Case Terminated.
CSX 2019-53(ROP)	1	\$7,500	\$0	\$0	09/24/2019	Case Terminated.
CSX 2019-54(ROP)	1	\$7,500	\$7,500	\$5,475	09/24/2019	
CSX 2019-55(HMT)	1	\$4,000	\$4,000	\$3,200	09/24/2019	
CSX 2019-56(HMT)	1	\$2,500	\$2,500	\$2,000	09/24/2019	
CSX 2019-57(SA)	1	\$2,500	\$2,500	\$1,810	09/24/2019	
CSX 2019-58(HMT)	1	\$3,000	\$3,000	\$2,400	09/24/2019	
CSX 2019-59(TS)	1	\$2,500	\$2,500	\$1,810	09/24/2019	
CSX 2019-60(RW)	1	\$2,000	\$2,000	\$1,460	09/24/2019	
CSX 2019-61(HMT)	1	\$4,000	\$4,000	\$3,200	09/24/2019	
CSX 2019-62(LI)	1	\$2,500	\$2,500	\$1,835	09/24/2019	
CSX 2019-63(EP)	1	\$1,000	\$1,000	\$853	09/24/2019	
CSX 2019-64(EP)	1	\$1,000	\$1,000	\$853	09/24/2019	
CSX 2019-65(SA)	1	\$2,500	\$2,500	\$1,810	09/24/2019	
CSX 2019-66(SA)	1	\$2,500	\$2,500	\$1,810	09/24/2019	
CSX 2019-68(FCS)	1	\$2,500	\$2,500	\$1,825	09/24/2019	
CSX 2019-70(GC)	1	\$1,000	\$1,000	\$870	09/24/2019	
CSX 2019-71(GC)	1	\$5,000	\$5,000	\$3,600	09/24/2019	
CSX 2019-72(GC)	1	\$5,000	\$5,000	\$3,600	09/24/2019	
CSX 2019-73(SA)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2019-74(SA)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2019-75(LI)	1	\$1,000	\$1,000	\$870	09/24/2019	
CSX 2019-76(FCS)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2019-78(HSR)	1	\$1,000	\$1,000	\$853	09/24/2019	
CSX 2019-79(HSR)	1	\$1,000	\$1,000	\$853	09/24/2019	
CSX 2019-80(HMT)	1	\$5,000	\$5,000	\$4,000	09/24/2019	
CSX 2019-81(SA)	1	\$2,500	\$2,500	\$1,810	09/24/2019	
CSX 2019-83(SA)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
CSX 2019-84(SA)	1	\$2,500	\$2,500	\$1,810	09/24/2019	
CTM 2018-1(BSS)	1	\$9,500	\$9,500	\$6,700	06/21/2019	
CUOH 2018-1(HMT)	3	\$14,500	\$14,500	\$11,000	09/27/2019	
CWRY 2018-1(HMT)	4	\$8,000	\$8,000	\$6,000	09/27/2019	
CWRY 2019-1(HMT)	2	\$12,500	\$12,500	\$9,500	09/27/2019	
DART 2019-1(TH)	3	\$15,000	\$15,000	\$9,750	07/09/2019	
DC 2019-1(AD)	1	\$2,500	\$2,500	\$2,500	07/24/2019	
DC 2019-2(AD)	1	\$2,500	\$2,500	\$2,500	07/24/2019	

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DCR 2018-1(SI)	1	\$2,500	\$2,500	\$1,625	02/18/2019	
DGNO 2018-1(TS)	1	\$5,000	\$5,000	\$3,850	09/27/2019	
DGNO 2018-2(GC)	1	\$2,500	\$2,500	\$1,925	09/27/2019	
DGNO 2018-3(GC)	1	\$2,500	\$2,500	\$1,925	09/27/2019	
DGNO 2018-4(TS)	1	\$5,000	\$5,000	\$3,850	09/27/2019	
DGNO 2018-5(TS)	1	\$5,000	\$5,000	\$3,850	09/27/2019	
DGNO 2019-1(TS)	2	\$7,500	\$7,500	\$5,775	09/27/2019	
DMVW 2019-1(SA)	1	\$2,500	\$2,500	\$1,500	08/30/2019	
DN 2018-1(TS)	1	\$1,000	\$1,000	\$853	02/15/2019	
DN 2018-2(TS)	1	\$5,000	\$5,000	\$853	02/15/2019	
DN 2019-1(TS)	1	\$1,000	\$1,000	\$853	03/13/2019	
DQE 2017-1(SA)	2	\$10,000	\$10,000	\$6,000	11/12/2018	
DSRC 2018-1(LI)	1	\$2,500	\$2,500	\$1,500	04/22/2019	
DSRC 2018-2(LI)	1	\$2,500	\$2,500	\$1,300	04/22/2019	
DSRC 2018-3(LI)	1	\$2,500	\$2,500	\$1,300	04/22/2019	
DSRC 2018-4(TS)	5	\$17,500	\$17,500	\$8,750	04/22/2019	
DSRC 2018-5(TS)	2	\$5,000	\$5,000	\$2,500	04/22/2019	
DSRC 2018-6(TS)	1	\$2,500	\$2,500	\$1,250	04/22/2019	
DSRC 2018-7(TS)	2	\$7,500	\$7,500	\$3,750	04/22/2019	
DSRC 2018-8(SA)	1	\$5,000	\$5,000	\$3,000	04/22/2019	
DSRC 2018-9(TS)	2	\$2,000	\$2,000	\$1,800	04/22/2019	
DSRC 2019-1(TS)	1	\$5,000	\$5,000	\$2,500	04/22/2019	
DSRC 2019-2(TS)	2	\$15,000	\$10,000	\$6,000	04/22/2019	Partially Terminated Violation(s): 1, 2.
DSRC 2019-3(TS)	1	\$2,500	\$2,500	\$1,250	04/22/2019	
EBRR 2019-1(ROP)	1	\$9,500	\$9,500	\$9,500	07/16/2019	
EIRR 2018-3(TS)	1	\$5,000	\$5,000	\$4,000	09/29/2019	
EIRR 2018-4(TS)	1	\$1,000	\$1,000	\$853	09/29/2019	
EIRR 2019-1(AD)	1	\$5,000	\$5,000	\$3,750	09/29/2019	
EIRR 2019-3(AD)	1	\$2,500	\$2,500	\$2,100	09/29/2019	
ELS 2017-2(AR)	1	\$2,500	\$2,500	\$1,750	10/23/2018	
ELS 2017-3(HSR)	10	\$10,000	\$10,000	\$8,530	10/23/2018	
ELS 2017-4(EQ)	2	\$3,500	\$3,500	\$2,553	10/23/2018	
ELS 2019-1(ROP)	1	\$5,000	\$5,000	\$2,500	03/26/2019	
EVWR 2018-1(HMT)	4	\$8,000	\$8,000	\$5,000	12/17/2018	
FCEN 2016-1(HSR)	1	\$1,000	\$1,000	\$855	11/30/2018	
FCEN 2016-2(HSR)	100	\$100,000	\$2,000	\$1,706	06/27/2019	Partially Terminated Violations(1, 2).
FCEN 2018-1(AD)	2	\$5,000	\$5,000	\$4,000	11/30/2018	
FCEN 2018-2(AD)	1	\$5,000	\$5,000	\$2,500	12/21/2018	
FCEN 2019-1(TS)	1	\$5,000	\$5,000	\$4,000	03/21/2019	
FEC 2012-3(AD)	3	\$7,500	\$7,500	\$4,800	09/30/2019	
FEC 2013-8(ROP)	2	\$15,000	\$9,500	\$8,000	09/30/2019	Partially Terminated Violation(s): 1.
FEC 2014-2(SA)	1	\$5,000	\$5,000	\$3,800	09/30/2019	
FEC 2014-5(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2019	
FEC 2014-6(HS)	3	\$3,000	\$3,000	\$2,400	09/30/2019	
FEC 2014-7(ROP)	1	\$5,000	\$5,000	\$4,000	09/30/2019	
FEC 2014-8(HSR)	4	\$4,000	\$3,000	\$2,400	09/30/2019	Terminated Violation(s): 4.
FEC 2015-1(SI)	1	\$5,000	\$5,000	\$4,500	09/30/2019	

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FEC 2015-2(ROR)	7	\$66,500	\$66,500	\$48,975	09/30/2019	
FEC 2015-3(SA)	2	\$7,500	\$7,500	\$5,500	09/30/2019	
FEC 2015-4(TS)	1	\$5,000	\$5,000	\$3,500	09/30/2019	
FEC 2015-5(TS)	4	\$20,000	\$20,000	\$15,000	09/30/2019	
FEC 2015-6(SA)	1	\$5,000	\$5,000	\$3,600	09/30/2019	
FEC 2015-7(HMT)	1	\$7,500	\$7,500	\$5,500	09/30/2019	
FEC 2015-8(SI)	1	\$2,500	\$2,500	\$1,800	09/30/2019	
FEC 2015-9(FCS)	1	\$2,500	\$2,500	\$2,000	09/30/2019	
FEC 2015-10(SA)	3	\$10,000	\$10,000	\$7,500	09/30/2019	
FEC 2015-11(HMT)	2	\$11,000	\$11,000	\$8,200	09/30/2019	
FEC 2015-12(HSR)	1	\$1,000	\$1,000	\$900	09/30/2019	
FEC 2016-1(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2019	
FEC 2016-2(RW)	2	\$7,000	\$7,000	\$6,500	09/30/2019	
FEC 2016-3(HMT)	2	\$10,000	\$10,000	\$9,000	09/30/2019	
FEC 2016-6(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2019	
FEC 2016-7(SA)	1	\$5,000	\$5,000	\$3,600	09/30/2019	
FEC 2016-10(RSP)	1	\$9,500	\$9,500	\$7,900	09/30/2019	
FEC 2016-11(SA)	1	\$5,000	\$5,000	\$3,600	09/30/2019	
FEC 2016-12(RW)	2	\$7,000	\$7,000	\$5,500	09/30/2019	
FEC 2016-13(SA)	1	\$5,000	\$5,000	\$3,600	09/30/2019	
FEC 2016-14(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2019	
FEC 2017-1(ROP)	2	\$15,000	\$4,000	\$3,000	09/30/2019	Partially Terminated Violation(s): 1.
FEC 2017-2(HS)	1	\$1,000	\$1,000	\$900	09/30/2019	
FEC 2017-3(TS)	2	\$10,000	\$10,000	\$9,000	09/30/2019	
FEC 2017-4(SA)	1	\$5,000	\$5,000	\$3,600	09/30/2019	
FEC 2017-5(RW)	6	\$150,000	\$150,000	\$140,000	09/30/2019	
FEC 2017-6(SA)	1	\$5,000	\$5,000	\$3,600	09/30/2019	
FEC 2017-7(SA)	1	\$5,000	\$5,000	\$3,600	09/30/2019	
FEC 2017-8(SA)	1	\$5,000	\$5,000	\$3,600	09/30/2019	
FEC 2017-9(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2019	
FEC 2017-10(LI)	1	\$1,500	\$1,500	\$1,250	09/30/2019	
FEC 2017-11(AD)	1	\$5,000	\$5,000	\$4,700	09/30/2019	
FEC 2017-12(GC)	1	\$5,000	\$5,000	\$4,250	09/30/2019	
FEC 2017-13(GC)	1	\$2,500	\$2,500	\$2,100	09/30/2019	
FEC 2017-14(ROP)	1	\$9,500	\$9,500	\$7,800	09/30/2019	
FEC 2017-15(ROP)	4	\$8,000	\$8,000	\$7,200	09/30/2019	
FEC 2018-1(TS)	1	\$2,500	\$2,500	\$1,800	09/30/2019	
FEC 2018-2(SA)	1	\$5,000	\$5,000	\$3,600	09/30/2019	
FEC 2018-3(HMT)	3	\$19,500	\$19,500	\$17,000	09/30/2019	
FEC 2018-4(ROP)	1	\$2,000	\$2,000	\$1,600	09/30/2019	
FEC 2018-5(SI)	1	\$5,000	\$5,000	\$3,900	09/30/2019	
FEC 2018-6(EP)	1	\$1,000	\$1,000	\$900	09/30/2019	
FEC 2018-7(GC)	1	\$1,000	\$1,000	\$900	09/30/2019	
FEC 2018-8(TS)	1	\$2,500	\$2,500	\$1,800	09/30/2019	
FEC 2018-9(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2019	
FEC 2018-10(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2019	
FEC 2018-11(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2019	
FEC 2018-12(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2019	
FMWX 2019-1(GC)	1	\$1,000	\$1,000	\$1,000	04/01/2019	

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FNOR 2015-1(ROP)	1	\$7,500	\$7,500	\$5,000	07/25/2019	
FTRL 2017-1(SA)	1	\$5,000	\$5,000	\$3,000	11/12/2018	
FWWR 2019-1(TS)	1	\$2,500	\$2,500	\$2,500	07/01/2019	
FWWR 2019-7(ROP)	1	\$2,000	\$2,000	\$2,000	06/26/2019	
GC 2018-1(TS)	1	\$2,500	\$2,500	\$1,975	09/27/2019	
GCK 2017-1(HMT)	3	\$7,500	\$7,500	\$3,750	05/31/2019	
GDLK 2019-1(AD)	1	\$2,500	\$2,500	\$2,250	09/29/2019	
GFRR 2015-4(TS)	6	\$15,000	\$15,000	\$10,200	05/09/2019	
GIMY 2017-1(AD)	1	\$2,500	\$2,500	\$1,975	09/27/2019	
GNWR 2018-1(SA)	1	\$5,000	\$5,000	\$3,850	09/27/2019	
GRLW 2017-1(GC)	1	\$1,000	\$1,000	\$900	05/08/2019	
GRNW 2018-1(ROP)	1	\$9,500	\$9,500	\$7,000	09/29/2019	
GRNW 2018-2(ROP)	1	\$7,500	\$7,500	\$5,750	09/29/2019	
GRNW 2018-3(ROP)	1	\$9,500	\$9,500	\$7,000	09/29/2019	
GRNW 2019-1(AD)	1	\$2,500	\$2,500	\$2,000	09/29/2019	
GRYR 2018-1(GC)	1	\$5,000	\$5,000	\$3,750	06/21/2019	
GRYR 2018-2(BSS)	1	\$9,500	\$9,500	\$6,700	06/21/2019	
GRYR 2018-3(BSS)	1	\$5,500	\$5,500	\$4,000	06/21/2019	
GTLS 2017-1(SA)	1	\$5,000	\$5,000	\$4,000	04/22/2019	
GULF 2018-1(HMT)	1	\$5,000	\$0	\$0	05/02/2019	Case Terminated.
GWR 2016-1(TS)	1	\$5,000	\$5,000	\$3,100	05/09/2019	
GWR 2019-1(TS)	1	\$5,000	\$5,000	\$3,700	06/25/2019	
GWRC 2017-1(TS)	1	\$2,500	\$2,500	\$1,750	05/17/2019	
GWRC 2018-1(TS)	2	\$10,000	\$10,000	\$7,000	05/17/2019	
HESR 2018-1(RSP)	1	\$9,500	\$9,500	\$7,000	09/27/2019	
HESR 2018-2(RSP)	1	\$9,500	\$9,500	\$7,000	09/27/2019	
HOG 2018-1(RSP)	1	\$9,500	\$9,500	\$7,505	09/27/2019	
HR 2018-1(GC)	1	\$5,000	\$5,000	\$3,000	02/21/2019	
IAIS 2018-3(SA)	1	\$2,500	\$2,500	\$2,500	11/16/2018	
IAIS 2018-4(LI)	1	\$2,500	\$2,500	\$2,500	11/16/2018	
IAIS 2018-5(HMT)	1	\$3,000	\$3,000	\$3,000	11/16/2018	
IANR 2018-1(GC)	1	\$5,000	\$5,000	\$5,000	10/24/2018	
IARR 2017-1(SA)	1	\$5,000	\$5,000	\$5,000	08/22/2019	
IHB 2017-6(SA)	1	\$2,500	\$2,500	\$2,000	12/03/2018	
IHB 2017-7(HMT)	6	\$30,000	\$30,000	\$22,000	12/03/2018	
IHB 2018-1(FCS)	1	\$5,000	\$5,000	\$3,700	12/03/2018	
IHB 2018-2(FCS)	1	\$2,500	\$2,500	\$1,900	12/03/2018	
IHB 2018-3(FCS)	1	\$2,500	\$2,500	\$1,900	12/03/2018	
IHB 2018-4(LI)	1	\$1,000	\$1,000	\$1,000	12/03/2018	
IHB 2019-1(HMT)	30	\$75,000	\$75,000	\$56,250	05/23/2019	
IHB 2019-2(SA)	1	\$5,000	\$5,000	\$3,400	05/30/2019	
IHB 2019-3(SA)	1	\$2,500	\$2,500	\$1,500	05/23/2019	
INPR 2017-1(SA)	1	\$5,000	\$5,000	\$3,000	12/05/2018	
INPR 2017-2(ROP)	1	\$7,500	\$7,500	\$4,500	03/04/2019	
INPR 2017-3(SA)	1	\$2,500	\$2,500	\$1,500	02/22/2019	
IOYR 2018-2(HS)	1	\$1,000	\$1,000	\$900	09/27/2019	
IOYR 2018-3(GC)	1	\$5,000	\$5,000	\$3,950	09/27/2019	
IOYR 2018-4(HMT)	1	\$1,000	\$1,000	\$900	09/27/2019	
IOYR 2018-5(SI)	1	\$1,000	\$1,000	\$900	09/27/2019	



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KCS 2016-46(ROP)	1	\$7,500	\$7,500	\$5,000	07/30/2019	
KCS 2017-59(SI)	1	\$5,000	\$5,000	\$3,500	07/30/2019	
KCS 2018-14(SA)	2	\$5,000	\$5,000	\$3,000	07/30/2019	
KCS 2018-15(SA)	1	\$2,500	\$2,500	\$1,500	07/30/2019	
KCS 2018-16(FCS)	1	\$2,500	\$2,500	\$1,800	07/30/2019	
KCS 2018-17(SA)	1	\$5,000	\$5,000	\$3,000	07/30/2019	
KCS 2018-18(SA)	1	\$5,000	\$5,000	\$3,300	07/30/2019	
KCS 2018-19(AR)	1	\$2,500	\$2,500	\$2,000	07/30/2019	
KCS 2018-20(ROP)	1	\$2,000	\$2,000	\$1,500	07/30/2019	
KCS 2018-21(SA)	1	\$5,000	\$5,000	\$3,300	07/30/2019	
KCS 2018-22(SI)	1	\$27,904	\$27,904	\$27,904	12/13/2018	
KCS 2018-23(FCS)	1	\$2,500	\$2,500	\$1,800	07/30/2019	
KCS 2018-24(HMT)	1	\$5,000	\$5,000	\$4,000	07/30/2019	
KCS 2018-25(AR)	1	\$2,500	\$2,500	\$2,000	07/30/2019	
KCS 2018-26(ROP)	3	\$6,000	\$6,000	\$4,500	07/30/2019	
KCS 2018-27(SA)	1	\$2,500	\$2,500	\$2,000	07/30/2019	
KCS 2018-28(SA)	1	\$2,500	\$2,500	\$2,000	07/30/2019	
KCS 2018-29(FCS)	1	\$5,000	\$5,000	\$3,100	07/30/2019	
KCS 2018-30(SA)	1	\$5,000	\$5,000	\$3,300	07/30/2019	
KCS 2018-31(HMT)	1	\$3,000	\$3,000	\$2,500	07/30/2019	
KCS 2018-32(SA)	1	\$2,500	\$2,500	\$1,500	07/30/2019	
KCS 2018-33(ROP)	1	\$7,500	\$7,500	\$5,000	07/30/2019	
KCS 2018-34(GC)	1	\$5,000	\$5,000	\$4,000	07/30/2019	
KCS 2018-36(LI)	2	\$5,000	\$2,000	\$1,000	07/30/2019	Terminated Violation(s): 2. Partially Terminated Violation(s)L 1.
KCS 2018-37(SA)	1	\$2,500	\$2,500	\$2,500	07/30/2019	
KCS 2018-38(FCS)	1	\$2,500	\$2,500	\$1,800	07/30/2019	
KCS 2018-39(FCS)	1	\$2,500	\$2,500	\$1,800	07/30/2019	
KCS 2018-40(GC)	1	\$5,000	\$5,000	\$4,000	07/30/2019	
KCS 2018-42(FCS)	1	\$5,000	\$5,000	\$3,500	07/30/2019	
KCS 2018-43(FCS)	1	\$5,000	\$5,000	\$3,500	07/30/2019	
KCS 2018-44(HS)	2	\$2,000	\$2,000	\$1,730	07/30/2019	
KCS 2018-45(SA)	1	\$2,500	\$2,500	\$1,500	07/30/2019	
KCS 2018-46(SA)	1	\$2,500	\$2,500	\$2,200	07/30/2019	
KCS 2018-47(SA)	1	\$2,500	\$2,500	\$1,500	07/30/2019	
KCS 2018-48(SA)	1	\$2,500	\$2,500	\$2,000	07/30/2019	
KCS 2018-49(SA)	1	\$2,500	\$2,500	\$2,000	07/30/2019	
KCS 2018-50(SA)	1	\$2,500	\$2,500	\$1,500	07/30/2019	
KCS 2018-51(GC)	1	\$1,000	\$1,000	\$1,000	07/30/2019	
KCS 2018-52(SA)	1	\$5,000	\$5,000	\$3,300	07/30/2019	
KCS 2018-53(ROP)	1	\$7,500	\$7,500	\$5,000	07/30/2019	
KCS 2018-54(TS)	2	\$3,500	\$3,500	\$2,500	07/30/2019	
KCS 2018-55(FCS)	4	\$20,000	\$10,000	\$10,000	07/30/2019	Partially Terminated Violation(s): 1.
KCS 2018-56(SA)	1	\$2,500	\$2,500	\$1,500	07/30/2019	
KCS 2018-57(SA)	1	\$2,500	\$2,500	\$1,500	07/30/2019	
KCS 2018-58(SA)	1	\$2,500	\$2,500	\$1,500	07/30/2019	
KCS 2018-59(SA)	1	\$2,500	\$2,500	\$2,200	07/30/2019	
KCS 2019-1(SA)	1	\$2,500	\$0	\$0	07/30/2019	Case Terminated.

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KCS 2019-2(SA)	1	\$2,500	\$2,500	\$2,500	07/30/2019	
KCS 2019-3(FCS)	1	\$2,500	\$2,500	\$2,000	07/30/2019	
KCS 2019-4(HMT)	1	\$3,000	\$3,000	\$2,500	07/30/2019	
KCS 2019-5(HMT)	2	\$4,000	\$4,000	\$3,000	07/30/2019	
KCS 2019-6(HMT)	1	\$4,000	\$4,000	\$3,000	07/30/2019	
KCS 2019-7(FCS)	1	\$2,500	\$2,500	\$2,000	07/30/2019	
KCS 2019-8(FCS)	1	\$2,500	\$2,500	\$2,000	07/30/2019	
KCS 2019-9(ROP)	1	\$5,000	\$5,000	\$3,500	07/30/2019	
KCS 2019-10(TS)	1	\$2,500	\$2,500	\$1,500	07/30/2019	
KCS 2019-11(TS)	5	\$5,000	\$5,000	\$4,350	07/30/2019	
KCS 2019-12(TS)	5	\$5,000	\$5,000	\$3,500	07/30/2019	
KCS 2019-13(ROP)	1	\$7,500	\$7,500	\$6,500	07/30/2019	
KO 2018-1(ROP)	1	\$7,500	\$7,500	\$4,500	09/29/2019	
KRR 2018-1(ROP)	1	\$7,500	\$7,500	\$5,775	09/27/2019	
KRR 2018-2(TS)	1	\$2,000	\$2,000	\$1,540	09/27/2019	
KRR 2019-1(TS)	1	\$5,000	\$5,000	\$3,850	09/27/2019	
KRR 2019-2(TS)	1	\$5,000	\$5,000	\$3,850	09/27/2019	
KRSV 2018-1(CC)	1	\$1,000	\$1,000	\$853	02/14/2019	
KYLE 2018-1(TS)	1	\$5,000	\$5,000	\$3,950	09/27/2019	
KYLE 2018-2(TS)	1	\$2,500	\$2,500	\$1,975	09/27/2019	
LAL 2019-1(SA)	1	\$5,000	\$5,000	\$5,000	06/11/2019	
LAS 2019-1(AD)	2	\$5,000	\$5,000	\$4,000	09/29/2019	
LAS 2019-2(AD)	2	\$5,000	\$5,000	\$4,000	09/29/2019	
LBWR 2018-1(TS)	2	\$7,500	\$7,500	\$6,100	09/29/2019	
LBWR 2019-1(TS)	1	\$5,000	\$5,000	\$3,500	09/29/2019	
LBWR 2019-2(GC)	1	\$2,500	\$2,500	\$2,000	09/29/2019	
LBWR 2019-6(AD)	2	\$5,000	\$5,000	\$3,750	09/29/2019	
LBWR 2019-7(AD)	2	\$5,000	\$5,000	\$4,000	09/29/2019	
LDRR 2017-1(SA)	1	\$5,000	\$5,000	\$3,950	09/27/2019	
LDRR 2018-1(RW)	1	\$5,000	\$5,000	\$3,950	09/27/2019	
LRPA 2018-1(AD)	1	\$5,000	\$0	\$0	10/10/2018	Case Terminated.
LRWN 2019-1(ROP)	1	\$7,500	\$7,500	\$5,925	09/27/2019	
LS 2017-2(ROP)	2	\$9,500	\$9,500	\$6,840	09/30/2019	
LVR 2018-1(HMT)	1	\$5,000	\$5,000	\$5,000	01/30/2019	
LVRX 2019-1(GC)	2	\$3,500	\$3,500	\$1,750	07/01/2019	
MACZ 2017-5(PEQ)	1	\$2,500	\$2,500	\$2,000	06/05/2019	
MACZ 2017-6(LI)	1	\$5,000	\$5,000	\$4,000	06/05/2019	
MACZ 2018-1(LI)	1	\$2,500	\$2,500	\$2,500	06/05/2019	
MACZ 2018-2(SI)	1	\$2,500	\$2,500	\$2,000	06/05/2019	
MACZ 2018-3(SI)	1	\$27,904	\$27,904	\$27,904	12/14/2018	
MACZ 2018-4(PEQ)	1	\$5,000	\$5,000	\$4,000	06/05/2019	
MACZ 2018-5(SI)	1	\$2,500	\$2,500	\$2,500	06/05/2019	
MACZ 2018-6(LI)	1	\$2,500	\$2,500	\$1,875	06/05/2019	
MBTA 2018-19(SI)	1	\$27,904	\$27,904	\$25,113	02/01/2019	
MCCP 2018-1(TS)	1	\$5,000	\$5,000	\$3,750	11/27/2018	
MCCP 2018-2(ROP)	1	\$7,500	\$7,500	\$6,000	11/27/2018	
MCRL 2018-1(SI)	2	\$30,000	\$30,000	\$19,000	06/21/2019	
MCRL 2019-1(GC)	1	\$5,000	\$5,000	\$4,000	06/21/2019	
MCRL 2019-2(GC)	1	\$2,500	\$2,500	\$1,700	06/21/2019	

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MDW 2019-1(HMT)	2	\$13,500	\$13,500	\$9,450	08/20/2019	
MH 2018-5(BSS)	1	\$9,500	\$9,500	\$6,700	06/21/2019	
MHWA 2019-1(ROP)	1	\$9,500	\$9,500	\$6,000	03/27/2019	
MNA 2018-1(HS)	1	\$1,000	\$1,000	\$900	09/27/2019	
MNA 2018-2(HSR)	1	\$1,000	\$1,000	\$900	09/27/2019	
MNA 2018-3(GC)	1	\$5,000	\$5,000	\$3,950	09/27/2019	
MNBR 2018-6(TS)	1	\$1,000	\$1,000	\$900	09/27/2019	
MNBR 2018-7(ROP)	1	\$7,500	\$7,500	\$4,000	09/27/2019	
MNCW 2015-17(RW)	1	\$105,000	\$105,000	\$105,000	02/14/2019	
MNCW 2017-1(ROP)	1	\$7,500	\$7,500	\$6,750	02/14/2019	
MNCW 2017-2(PEQ)	1	\$2,500	\$2,500	\$1,625	02/14/2019	
MNCW 2017-3(TS)	1	\$5,000	\$5,000	\$4,250	02/14/2019	
MNCW 2017-4(TS)	2	\$10,000	\$10,000	\$9,000	02/14/2019	
MNCW 2017-5(TS)	1	\$1,000	\$1,000	\$853	02/14/2019	
MNCW 2017-6(GS)	1	\$2,500	\$2,500	\$2,125	02/14/2019	
MNCW 2017-7(TS)	2	\$10,000	\$10,000	\$8,500	02/14/2019	
MNCW 2017-9(RW)	1	\$5,000	\$5,000	\$4,500	02/14/2019	
MNCW 2017-10(PEQ)	1	\$2,500	\$2,500	\$1,625	02/14/2019	
MNCW 2017-11(BW)	1	\$5,000	\$5,000	\$4,250	02/14/2019	
MNCW 2017-12(RW)	2	\$5,000	\$5,000	\$4,500	02/14/2019	
MNCW 2017-13(TS)	1	\$5,000	\$5,000	\$4,250	02/14/2019	
MNCW 2017-14(SI)	1	\$1,000	\$1,000	\$853	02/14/2019	
MNCW 2017-15(GC)	1	\$5,000	\$5,000	\$3,750	02/14/2019	
MNCW 2017-16(HS)	1	\$1,000	\$1,000	\$853	02/14/2019	
MNCW 2017-17(GC)	1	\$5,000	\$0	\$0	02/05/2019	Case Terminated.
MNCW 2017-18(GC)	1	\$5,000	\$0	\$0	02/05/2019	Case Terminated.
MNCW 2017-19(SA)	1	\$5,000	\$5,000	\$3,750	02/14/2019	
MNCW 2018-1(ROP)	1	\$7,500	\$7,500	\$5,625	02/14/2019	
MNCW 2018-2(SI)	1	\$27,904	\$27,904	\$25,113	01/28/2019	
MNCW 2018-3(SI)	1	\$1,000	\$1,000	\$853	02/14/2019	
MNCW 2018-4(RW)	1	\$3,000	\$3,000	\$2,700	02/14/2019	
MNCW 2018-5(RW)	1	\$5,000	\$5,000	\$4,500	02/14/2019	
MNCW 2018-6(RW)	1	\$3,000	\$3,000	\$2,700	02/14/2019	
MNCW 2018-7(RW)	1	\$5,000	\$5,000	\$4,500	02/14/2019	
MNCW 2018-8(TS)	1	\$2,500	\$2,500	\$2,125	02/14/2019	
MNCW 2018-9(EQ)	1	\$2,500	\$2,500	\$2,000	02/14/2019	
MNN 2019-1(AD)	1	\$2,500	\$2,500	\$1,825	08/20/2019	
MNR 2019-2(AD)	1	\$2,500	\$0	\$0	07/25/2019	Case Terminated.
MOR 2017-1(SA)	1	\$5,000	\$5,000	\$1,000	05/09/2019	
MOR 2018-2(LI)	1	\$2,500	\$2,500	\$2,500	05/09/2019	
MOR 2018-3(LI)	1	\$2,500	\$2,500	\$2,500	05/09/2019	
MRL 2018-5(TS)	4	\$16,000	\$16,000	\$12,800	05/29/2019	
MRL 2018-6(TS)	2	\$5,000	\$5,000	\$4,000	05/29/2019	
MRL 2018-7(LI)	1	\$2,500	\$2,500	\$2,000	05/29/2019	
MRL 2018-8(EP)	1	\$1,000	\$1,000	\$853	05/29/2019	
MRL 2018-9(EP)	1	\$1,000	\$1,000	\$853	05/29/2019	
MRL 2018-10(TS)	1	\$5,000	\$5,000	\$4,000	05/29/2019	
MRL 2018-11(LI)	1	\$2,500	\$2,500	\$2,000	05/29/2019	
MRL 2018-12(SA)	1	\$2,500	\$2,500	\$2,000	05/29/2019	

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MRL 2018-13(SA)	1	\$2,500	\$2,500	\$2,000	05/29/2019	
MRL 2018-14(SA)	1	\$5,000	\$5,000	\$4,000	05/29/2019	
MRL 2018-15(SA)	1	\$2,500	\$2,500	\$2,000	05/29/2019	
MRL 2018-16(FCS)	1	\$5,000	\$5,000	\$4,000	05/29/2019	
MRL 2018-17(FCS)	1	\$5,000	\$5,000	\$4,000	05/29/2019	
MRL 2018-18(FCS)	1	\$2,500	\$2,500	\$2,000	05/29/2019	
MRL 2018-19(FCS)	1	\$2,500	\$2,500	\$2,000	05/29/2019	
MRL 2018-20(FCS)	1	\$5,000	\$5,000	\$4,000	05/29/2019	
MRL 2018-21(FCS)	1	\$2,500	\$2,500	\$2,000	05/29/2019	
MRL 2018-22(FCS)	1	\$2,500	\$2,500	\$2,000	05/29/2019	
MRL 2018-23(FCS)	1	\$2,500	\$2,500	\$2,000	05/29/2019	
MRL 2018-24(FCS)	1	\$2,500	\$0	\$0	05/15/2019	Case Terminated.
MRL 2018-25(FCS)	1	\$2,500	\$2,500	\$2,000	05/29/2019	
MRL 2018-26(SI)	1	\$5,000	\$5,000	\$4,000	05/29/2019	
MRL 2018-27(SA)	1	\$5,000	\$5,000	\$4,000	05/29/2019	
MRL 2018-28(ROP)	1	\$9,500	\$9,500	\$8,075	05/29/2019	
MRL 2018-29(ROP)	1	\$2,000	\$2,000	\$1,700	05/29/2019	
MRL 2018-30(ROP)	1	\$2,000	\$2,000	\$1,600	05/29/2019	
MRL 2018-31(SA)	1	\$2,500	\$2,500	\$2,000	05/29/2019	
MRL 2018-32(ROP)	1	\$9,500	\$9,500	\$8,075	05/29/2019	
MRL 2018-33(SA)	1	\$2,500	\$2,500	\$2,000	05/29/2019	
MRL 2019-1(SA)	1	\$5,000	\$5,000	\$4,000	05/29/2019	
MRL 2019-2(SA)	1	\$2,500	\$2,500	\$2,000	05/29/2019	
MRL 2019-3(TS)	1	\$5,000	\$5,000	\$3,500	05/29/2019	
MRL 2019-4(SA)	1	\$5,000	\$5,000	\$4,000	05/29/2019	
MRL 2019-5(SA)	1	\$2,500	\$2,500	\$2,000	05/29/2019	
MRL 2019-6(SA)	1	\$2,500	\$2,500	\$2,000	05/29/2019	
MRL 2019-7(SA)	1	\$2,500	\$2,500	\$2,000	05/29/2019	
MRL 2019-8(SA)	1	\$2,500	\$2,500	\$2,000	05/29/2019	
MRL 2019-9(SA)	1	\$5,000	\$5,000	\$4,000	05/29/2019	
NCIR 2018-1(SA)	1	\$5,000	\$5,000	\$853	02/28/2019	
NCT 2017-1(TS)	1	\$5,000	\$5,000	\$5,000	06/06/2019	
NCTC 2018-2(ROR)	1	\$7,500	\$7,500	\$7,500	01/02/2019	
NCTC 2018-3(ROR)	1	\$9,500	\$9,500	\$9,500	01/02/2019	
NCTC 2018-4(ROR)	1	\$9,500	\$9,500	\$9,500	01/02/2019	
NECR 2018-1(TS)	1	\$5,000	\$5,000	\$3,950	09/27/2019	
NECR 2018-2(SA)	1	\$2,500	\$2,500	\$1,975	09/27/2019	
NECR 2019-1(ROP)	1	\$7,500	\$7,500	\$5,925	09/27/2019	
NERR 2019-1(TS)	1	\$5,000	\$5,000	\$3,500	05/14/2019	
NICD 2018-1(ROP)	1	\$7,500	\$7,500	\$3,750	10/24/2018	
NICX 2019-1(GC)	1	\$5,000	\$5,000	\$853	04/04/2019	
NJTR 2016-19(ROP)	1	\$7,500	\$7,500	\$4,500	05/08/2019	
NJTR 2016-20(PEP)	1	\$2,500	\$2,500	\$1,500	05/08/2019	
NJTR 2016-24(PEQ)	5	\$25,000	\$25,000	\$15,000	05/08/2019	
NJTR 2016-25(LI)	3	\$7,500	\$7,500	\$4,500	05/08/2019	
NJTR 2017-1(PEQ)	5	\$20,000	\$20,000	\$12,000	05/08/2019	
NJTR 2017-2(PEQ)	1	\$5,000	\$5,000	\$3,000	05/08/2019	
NJTR 2017-3(ROP)	2	\$9,500	\$9,500	\$5,700	05/08/2019	
NJTR 2017-4(LI)	5	\$12,500	\$12,500	\$7,500	05/08/2019	

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NJTR 2017-5(PEP)	2	\$5,000	\$5,000	\$3,000	05/08/2019	
NJTR 2017-6(ROP)	1	\$5,000	\$5,000	\$3,000	05/08/2019	
NJTR 2017-8(RSP)	2	\$10,500	\$10,500	\$6,300	05/08/2019	
NJTR 2017-9(ROP)	5	\$18,500	\$18,500	\$11,100	05/08/2019	
NJTR 2017-10(ROP)	4	\$26,500	\$26,500	\$15,900	05/08/2019	
NJTR 2017-11(PEQ)	5	\$25,000	\$25,000	\$17,000	05/08/2019	
NJTR 2017-12(PEQ)	5	\$25,000	\$25,000	\$15,000	05/08/2019	
NJTR 2017-14(PEP)	4	\$10,000	\$10,000	\$4,706	05/08/2019	
NJTR 2017-15(TH)	4	\$4,000	\$4,000	\$3,412	05/08/2019	
NJTR 2017-16(PEQ)	6	\$30,000	\$30,000	\$18,000	05/08/2019	
NJTR 2017-17(ROP)	2	\$17,000	\$17,000	\$10,200	05/08/2019	
NJTR 2017-19(CC)	1	\$1,000	\$1,000	\$853	05/08/2019	
NJTR 2017-24(SA)	1	\$5,000	\$5,000	\$3,000	05/08/2019	
NJTR 2017-43(AD)	1	\$5,000	\$5,000	\$3,000	05/08/2019	
NJTR 2017-44(AD)	1	\$5,000	\$5,000	\$3,000	05/08/2019	
NJTR 2017-45(AD)	1	\$5,000	\$5,000	\$3,000	05/08/2019	
NJTR 2017-46(AR)	1	\$2,500	\$2,500	\$1,500	05/08/2019	
NJTR 2017-47(AR)	1	\$2,500	\$2,500	\$1,500	05/08/2019	
NJTR 2017-48(AR)	1	\$2,500	\$2,500	\$1,500	05/08/2019	
NJTR 2017-49(AR)	1	\$2,500	\$2,500	\$1,500	05/08/2019	
NJTR 2017-50(AR)	1	\$2,500	\$2,500	\$1,500	05/08/2019	
NJTR 2017-51(AR)	1	\$2,500	\$2,500	\$1,500	05/08/2019	
NJTR 2017-52(AR)	1	\$2,500	\$2,500	\$1,500	05/08/2019	
NJTR 2017-53(AR)	1	\$2,500	\$2,500	\$1,500	05/08/2019	
NJTR 2017-54(AR)	1	\$2,500	\$2,500	\$1,500	05/08/2019	
NJTR 2017-55(PEQ)	1	\$5,000	\$5,000	\$3,000	05/08/2019	
NJTR 2017-56(LI)	1	\$2,500	\$2,500	\$1,500	05/08/2019	
NJTR 2017-57(LI)	1	\$2,500	\$2,500	\$1,500	05/08/2019	
NJTR 2018-1(AR)	1	\$2,500	\$2,500	\$1,500	05/08/2019	
NJTR 2018-2(AR)	1	\$2,500	\$2,500	\$1,500	05/08/2019	
NJTR 2018-3(AR)	1	\$2,500	\$2,500	\$1,500	05/08/2019	
NJTR 2018-4(AR)	1	\$2,500	\$2,500	\$1,500	05/08/2019	
NJTR 2018-5(AR)	1	\$2,500	\$2,500	\$1,500	05/08/2019	
NJTR 2018-6(AD)	1	\$5,000	\$5,000	\$3,000	05/08/2019	
NJTR 2018-7(ROP)	1	\$7,500	\$7,500	\$4,500	05/08/2019	
NLA 2017-1(GC)	1	\$5,000	\$5,000	\$3,000	05/06/2019	
NMRX 2018-2(SI)	1	\$1,000	\$1,000	\$1,000	12/14/2018	
NNBR 2017-1(GC)	5	\$10,500	\$5,500	\$3,809	05/08/2019	Terminated Violation(s): 1.
NNBR 2017-2(GC)	1	\$1,000	\$1,000	\$853	05/08/2019	
NNBR 2018-1(GC)	1	\$1,000	\$1,000	\$853	05/08/2019	
NNBR 2018-2(GC)	1	\$5,000	\$5,000	\$853	05/08/2019	
NNW 2018-1(GC)	1	\$2,500	\$2,500	\$1,000	12/12/2018	
NOPB 2018-8(AD)	3	\$15,000	\$15,000	\$7,500	03/07/2019	
NPB 2018-1(SA)	1	\$5,000	\$5,000	\$2,500	10/30/2018	
NSHR 2018-1(AD)	1	\$2,500	\$2,500	\$853	02/27/2019	
NTZR 2017-1(AD)	1	\$2,500	\$2,500	\$1,500	05/23/2019	
NVRR 2018-1(HSR)	1	\$1,000	\$1,000	\$853	05/24/2019	

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NVRR 2019-1(GC)	1	\$5,000	\$5,000	\$2,500	05/24/2019	
NVRR 2019-2(GC)	1	\$2,500	\$2,500	\$1,250	05/24/2019	
NYA 2018-1(ROP)	1	\$9,500	\$9,500	\$9,500	12/03/2018	
NYA 2018-2(GC)	1	\$2,500	\$2,500	\$2,500	12/14/2018	
NYA 2018-3(AR)	1	\$2,500	\$2,500	\$853	05/22/2019	
NYA 2018-4(AR)	1	\$2,500	\$2,500	\$853	05/22/2019	
NYA 2018-5(AR)	1	\$2,500	\$2,500	\$853	05/22/2019	
NYA 2018-6(AR)	1	\$2,500	\$2,500	\$853	05/22/2019	
NYA 2019-2(AR)	1	\$2,500	\$2,500	\$853	05/22/2019	
NYSW 2018-3(HSR)	1	\$1,000	\$1,000	\$853	05/09/2019	
NYSW 2018-4(SA)	1	\$5,000	\$5,000	\$2,800	05/09/2019	
NYSW 2018-5(SA)	1	\$2,500	\$2,500	\$1,475	05/09/2019	
NYSW 2018-6(SA)	1	\$2,500	\$2,500	\$1,475	05/09/2019	
NYSW 2018-7(ROR)	1	\$7,500	\$7,500	\$4,547	05/09/2019	
NYSW 2018-8(ROR)	1	\$7,500	\$7,500	\$4,425	05/09/2019	
NYSW 2018-9(ROR)	1	\$7,500	\$7,500	\$4,425	05/09/2019	
OERR 2018-1(SA)	1	\$2,500	\$2,500	\$1,500	06/12/2019	
OHCR 2019-1(GC)	1	\$2,500	\$2,500	\$1,975	09/27/2019	
PAL 2018-2(HMT)	1	\$2,000	\$2,000	\$1,000	05/30/2019	
PAL 2018-3(SA)	2	\$10,000	\$10,000	\$6,000	05/30/2019	
PAL 2018-4(HMT)	1	\$4,000	\$4,000	\$2,000	05/30/2019	
PAS 2018-8(SA)	1	\$5,000	\$5,000	\$3,650	09/24/2019	
PAS 2018-9(TS)	1	\$5,000	\$5,000	\$4,500	09/24/2019	
PAS 2018-10(TS)	1	\$5,000	\$5,000	\$4,000	09/24/2019	
PAS 2018-11(TS)	1	\$2,500	\$2,500	\$2,000	09/24/2019	
PAS 2018-12(TS)	1	\$5,000	\$5,000	\$4,500	09/24/2019	
PAS 2018-13(TS)	4	\$4,000	\$4,000	\$3,500	09/24/2019	
PAS 2018-14(TS)	1	\$1,000	\$1,000	\$875	09/24/2019	
PAS 2018-15(TS)	1	\$1,000	\$1,000	\$875	09/24/2019	
PAS 2018-16(SA)	1	\$2,500	\$2,500	\$2,100	09/24/2019	
PAS 2019-1(TS)	1	\$5,000	\$5,000	\$3,750	09/24/2019	
PCC 2018-1(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2019	
PCJX 2018-2(GC)	1	\$5,000	\$5,000	\$3,000	09/18/2019	
PCJX 2018-3(RW)	1	\$1,500	\$1,500	\$853	09/18/2019	
PCJX 2018-4(GC)	1	\$2,500	\$2,500	\$1,500	09/24/2019	
PCJX 2018-5(GC)	1	\$1,000	\$1,000	\$853	09/18/2019	
PCJX 2018-6(GC)	3	\$4,500	\$3,500	\$2,103	09/18/2019	Terminated Violation(s): 1.
PCJX 2018-7(GC)	1	\$2,500	\$1,000	\$853	09/18/2019	Partially Terminated Violation(s): 1.
PCJX 2019-1(SI)	1	\$5,000	\$5,000	\$3,500	09/18/2019	
PCJX 2019-2(GC)	1	\$5,000	\$5,000	\$3,500	09/24/2019	
PCMZ 2013-1(ROP)	1	\$2,000	\$0	\$0	03/15/2019	Case Terminated.
PCMZ 2015-1(ROP)	1	\$5,000	\$5,000	\$3,250	03/15/2019	
PCMZ 2016-4(PEP)	1	\$1,000	\$1,000	\$853	03/15/2019	
PCMZ 2018-1(SA)	2	\$10,000	\$10,000	\$7,500	03/15/2019	
PCMZ 2018-2(LI)	1	\$2,500	\$2,500	\$1,875	03/15/2019	
PCMZ 2018-3(LI)	2	\$5,000	\$5,000	\$3,750	03/15/2019	
PHL 2018-1(FCS)	1	\$2,500	\$2,500	\$2,500	07/17/2019	
PICK 2016-1(ROP)	1	\$7,500	\$0	\$0	06/04/2019	Case Terminated.
PICK 2017-1(ROP)	1	\$7,500	\$0	\$0	06/04/2019	Case Terminated.

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PICK 2017-2(GC)	1	\$1,000	\$1,000	\$853	05/14/2019	
PICK 2017-3(GC)	2	\$5,000	\$5,000	\$2,000	05/14/2019	
PICK 2018-1(TS)	1	\$5,000	\$5,000	\$3,000	05/14/2019	
PN 2018-1(AD)	1	\$2,500	\$2,500	\$1,375	01/28/2019	
PNWR 2018-4(RW)	1	\$3,000	\$3,000	\$2,370	09/27/2019	
PNWR 2018-5(FCS)	1	\$5,000	\$5,000	\$3,950	09/27/2019	
PNWR 2018-6(FCS)	1	\$5,000	\$5,000	\$3,950	09/27/2019	
PNWR 2018-7(HS)	1	\$1,000	\$1,000	\$900	09/27/2019	
POVA 2016-1(EQ)	1	\$2,000	\$2,000	\$2,000	05/06/2019	
POVA 2018-2(RSP)	1	\$1,000	\$1,000	\$1,000	06/12/2019	
PSAP 2018-1(FCS)	1	\$2,500	\$2,500	\$1,975	09/27/2019	
PSAP 2018-2(FCS)	1	\$2,500	\$2,500	\$1,975	09/27/2019	
PSAP 2018-3(FCS)	1	\$2,500	\$2,500	\$1,975	09/27/2019	
PSAP 2018-4(FCS)	1	\$2,500	\$2,500	\$1,975	09/27/2019	
PSAP 2018-5(FCS)	1	\$2,500	\$2,500	\$1,975	09/27/2019	
PSAP 2018-6(FCS)	1	\$2,500	\$2,500	\$1,975	09/27/2019	
PSAP 2018-7(GC)	1	\$5,000	\$5,000	\$3,950	09/27/2019	
PSAP 2019-1(SA)	1	\$2,500	\$2,500	\$1,975	09/27/2019	
PSAP 2019-2(SA)	1	\$2,500	\$2,500	\$1,975	09/27/2019	
PSAP 2019-3(FCS)	1	\$2,500	\$2,500	\$1,975	09/27/2019	
PSRR 2019-1(GC)	1	\$2,500	\$2,500	\$2,000	09/29/2019	
PTRA 2019-1(HMT)	1	\$1,000	\$1,000	\$1,000	06/06/2019	
PW 2018-3(SA)	1	\$5,000	\$5,000	\$3,000	09/27/2019	
PW 2018-4(LI)	1	\$15,000	\$15,000	\$11,500	09/27/2019	
PW 2018-5(LI)	1	\$15,000	\$15,000	\$11,850	09/27/2019	
PW 2018-6(ROR)	1	\$9,500	\$9,500	\$7,505	09/27/2019	
PW 2018-7(ROR)	1	\$9,500	\$9,500	\$7,000	09/27/2019	
PW 2018-8(ROR)	1	\$9,500	\$9,500	\$7,505	09/27/2019	
PW 2018-9(ROR)	1	\$9,500	\$9,500	\$7,505	09/27/2019	
PW 2018-10(ROR)	1	\$9,500	\$9,500	\$7,505	09/27/2019	
PW 2018-11(ROR)	1	\$9,500	\$9,500	\$2,000	09/27/2019	
PW 2018-12(ROP)	1	\$7,500	\$7,500	\$5,775	09/27/2019	
PW 2018-13(ROP)	1	\$7,500	\$7,500	\$5,775	09/27/2019	
PW 2018-14(ROR)	1	\$9,500	\$9,500	\$7,505	09/27/2019	
PW 2018-15(ROR)	1	\$9,500	\$9,500	\$7,505	09/27/2019	
PW 2018-23(TS)	1	\$5,000	\$5,000	\$3,950	09/27/2019	
PW 2018-24(SA)	1	\$5,000	\$5,000	\$3,950	09/27/2019	
PW 2019-1(SA)	1	\$5,000	\$5,000	\$3,950	09/27/2019	
PW 2019-2(ROP)	1	\$7,500	\$7,500	\$5,925	09/27/2019	
RBMN 2012-6(TS)	16	\$50,000	\$0	\$0	12/19/2018	Case Terminated.
RCPE 2017-1(ROP)	1	\$7,500	\$7,500	\$5,775	09/27/2019	
RCPE 2017-2(TS)	1	\$5,000	\$5,000	\$3,950	09/27/2019	
RCPE 2017-3(AR)	1	\$1,000	\$1,000	\$900	09/27/2019	
RJCC 2018-1(ROR)	1	\$9,500	\$9,500	\$6,650	03/01/2019	
RJCC 2018-2(ROR)	1	\$9,500	\$9,500	\$6,650	03/01/2019	
RJCK 2018-1(AD)	1	\$2,500	\$2,500	\$2,500	02/15/2019	
RJCL 2019-1(HMT)	5	\$12,500	\$12,500	\$12,500	09/04/2019	
RJCM 2018-1(ROR)	1	\$9,500	\$9,500	\$6,650	03/01/2019	
RRVW 2019-1(FCS)	2	\$7,500	\$7,500	\$5,500	05/21/2019	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
RRVW 2019-2(FCS)	1	\$5,000	\$5,000	\$5,000	09/24/2019	
RSIX 2013-6(AR)	1	\$2,500	\$0	\$0	12/19/2018	Case Terminated.
RSIX 2013-7(AR)	1	\$2,500	\$0	\$0	12/19/2018	Case Terminated.
RSIX 2013-9(AR)	1	\$2,500	\$0	\$0	12/19/2018	Case Terminated.
RSL 2017-1(GC)	1	\$1,000	\$1,000	\$1,000	02/08/2019	
RTDC 2017-52(EP)	1	\$1,000	\$1,000	\$1,000	05/08/2019	
RWSI 2017-1(RW)	5	\$10,000	\$10,000	\$5,500	02/20/2019	
RWSI 2017-2(RMM)	1	\$5,000	\$5,000	\$3,750	02/21/2019	
RWSI 2017-3(RMM)	1	\$5,000	\$5,000	\$3,750	02/21/2019	
RWSI 2017-4(RMM)	1	\$5,000	\$5,000	\$4,000	05/31/2019	
SAC 2019-1(AD)	1	\$2,500	\$2,500	\$1,850	09/29/2019	
SCCT 2018-1(HSR)	1	\$1,000	\$1,000	\$1,000	11/28/2018	
SCCT 2018-2(GC)	1	\$2,500	\$2,500	\$2,500	11/28/2018	
SCCT 2018-3(GC)	1	\$1,000	\$1,000	\$1,000	11/29/2018	
SCX 2018-1(BSS)	1	\$9,500	\$9,500	\$6,700	06/21/2019	
SCX 2018-2(TS)	1	\$1,000	\$1,000	\$900	06/21/2019	
SCXY 2017-4(HMT)	1	\$6,000	\$6,000	\$6,000	12/12/2018	
SEPA 2018-2(PEQ)	1	\$27,904	\$27,904	\$25,000	05/28/2019	
SEPA 2018-4(PEQ)	1	\$5,000	\$5,000	\$3,550	11/28/2018	
SEPA 2018-5(AD)	1	\$2,500	\$2,500	\$1,825	11/28/2018	
SEPA 2018-6(AD)	1	\$2,500	\$2,500	\$1,825	11/28/2018	
SEPA 2018-7(AR)	1	\$2,500	\$2,500	\$1,800	03/27/2019	
SEPA 2018-8(AR)	1	\$2,500	\$2,500	\$1,800	03/27/2019	
SEPA 2018-9(AR)	1	\$2,500	\$2,500	\$1,800	03/27/2019	
SEPA 2018-10(AR)	1	\$2,500	\$2,500	\$1,800	03/27/2019	
SEPA 2018-11(RW)	1	\$1,000	\$1,000	\$853	03/27/2019	
SERA 2019-1(GC)	1	\$1,000	\$1,000	\$1,000	03/25/2019	
SFRV 2018-2(HS)	1	\$1,000	\$1,000	\$1,000	05/01/2019	
SFRV 2018-3(SI)	1	\$27,904	\$27,904	\$25,114	10/04/2018	
SFRV 2018-4(TS)	2	\$3,500	\$3,500	\$3,500	05/01/2019	
SFRV 2019-1(TS)	3	\$6,000	\$6,000	\$6,000	09/09/2019	
SFRV 2019-2(TS)	1	\$2,500	\$2,500	\$2,500	09/09/2019	
SFRV 2019-3(TS)	2	\$5,000	\$5,000	\$5,000	09/09/2019	
SJVR 2018-2(SA)	1	\$2,500	\$2,500	\$1,975	09/27/2019	
SKOL 2018-3(LI)	1	\$2,000	\$2,000	\$1,500	09/29/2019	
SKOL 2018-4(TS)	1	\$5,000	\$5,000	\$3,250	09/29/2019	
SKOL 2019-1(AD)	1	\$2,500	\$2,500	\$2,100	09/29/2019	
SLRG 2018-7(GC)	1	\$1,000	\$1,000	\$900	06/21/2019	
SLRG 2018-8(GC)	1	\$2,500	\$2,500	\$1,850	06/21/2019	
SLRG 2018-9(GC)	1	\$2,500	\$2,500	\$1,850	06/21/2019	
SLRG 2018-10(TS)	1	\$2,500	\$2,500	\$2,000	06/21/2019	
SLRG 2018-11(TS)	1	\$5,000	\$5,000	\$4,000	06/21/2019	
SLRG 2018-12(TS)	1	\$1,000	\$1,000	\$900	06/21/2019	
SLRG 2018-13(BSS)	1	\$9,500	\$9,500	\$6,700	06/21/2019	
SLRG 2018-14(TS)	2	\$2,000	\$2,000	\$1,800	06/21/2019	
SLRG 2018-15(TS)	3	\$3,000	\$3,000	\$2,700	06/21/2019	
SLRG 2019-1(TS)	1	\$2,500	\$2,500	\$2,000	06/21/2019	
SLWC 2017-10(TS)	1	\$2,500	\$2,500	\$2,000	09/29/2019	
SLWC 2017-11(TS)	1	\$2,500	\$2,500	\$2,000	09/29/2019	



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SLWC 2019-1(AD)	1	\$2,500	\$2,500	\$2,000	09/29/2019	
SLWC 2019-2(AD)	1	\$2,500	\$2,500	\$2,000	09/29/2019	
SMRT 2018-4(SI)	1	\$5,000	\$5,000	\$5,000	11/16/2018	
SMRT 2018-5(SI)	1	\$5,000	\$5,000	\$5,000	12/18/2018	
SNC 2018-1(BSS)	1	\$9,500	\$9,500	\$6,700	06/21/2019	
SOU 2015-352(HSR)	1	\$1,000	\$1,000	\$650	09/27/2019	
SOU 2015-353(HSR)	1	\$1,000	\$1,000	\$650	09/27/2019	
SOU 2015-354(HSR)	1	\$1,000	\$1,000	\$650	09/27/2019	
SOU 2015-355(HSR)	1	\$1,000	\$1,000	\$650	09/27/2019	
SOU 2015-356(HSR)	1	\$1,000	\$1,000	\$650	09/27/2019	
SOU 2015-357(HSR)	1	\$1,000	\$1,000	\$650	09/27/2019	
SOU 2015-358(HSR)	1	\$1,000	\$1,000	\$650	09/27/2019	
SOU 2015-359(HSR)	1	\$1,000	\$1,000	\$650	09/27/2019	
SOU 2017-408(ROP)	1	\$2,000	\$2,000	\$1,700	09/27/2019	
SOU 2017-409(ROP)	1	\$7,500	\$7,500	\$5,850	09/27/2019	
SOU 2017-410(SA)	1	\$10,000	\$10,000	\$7,300	09/27/2019	
SOU 2017-411(SA)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2017-412(SA)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2017-413(FCS)	1	\$2,000	\$2,000	\$1,800	09/27/2019	
SOU 2018-102(SA)	1	\$5,000	\$5,000	\$3,750	09/27/2019	
SOU 2018-113(AD)	2	\$10,000	\$10,000	\$2,500	09/27/2019	
SOU 2018-114(GC)	1	\$5,000	\$5,000	\$4,300	09/27/2019	
SOU 2018-115(FCS)	1	\$2,500	\$2,500	\$1,950	09/27/2019	
SOU 2018-116(FCS)	2	\$5,000	\$5,000	\$3,700	09/27/2019	
SOU 2018-117(FCS)	1	\$5,000	\$5,000	\$3,500	09/27/2019	
SOU 2018-118(LI)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-119(LI)	1	\$2,500	\$2,500	\$2,150	09/27/2019	
SOU 2018-120(LI)	1	\$2,500	\$2,500	\$2,100	09/27/2019	
SOU 2018-121(LI)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-122(LI)	3	\$7,500	\$7,500	\$5,200	09/27/2019	
SOU 2018-123(SA)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-124(SA)	1	\$5,000	\$5,000	\$3,750	09/27/2019	
SOU 2018-125(SA)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-126(FCS)	1	\$2,500	\$2,500	\$2,100	09/27/2019	
SOU 2018-127(ROP)	1	\$7,500	\$7,500	\$5,925	09/27/2019	
SOU 2018-128(SI)	1	\$2,500	\$1,000	\$950	09/27/2019	Partially Terminated Violation(s): 1.
SOU 2018-129(SI)	1	\$2,500	\$1,000	\$950	09/27/2019	Partially Terminated Violation(s): 1.
SOU 2018-130(SI)	1	\$2,500	\$1,000	\$950	09/27/2019	Partially Terminated Violation(s): 1.
SOU 2018-131(ROP)	1	\$9,500	\$9,500	\$7,695	09/27/2019	
SOU 2018-132(CC)	1	\$1,000	\$1,000	\$870	09/27/2019	
SOU 2018-133(SA)	1	\$5,000	\$5,000	\$3,750	09/27/2019	
SOU 2018-135(LI)	1	\$2,000	\$2,000	\$1,900	09/27/2019	
SOU 2018-136(HMT)	1	\$2,000	\$2,000	\$1,450	09/27/2019	
SOU 2018-137(TS)	1	\$5,000	\$5,000	\$3,500	09/27/2019	
SOU 2018-138(TS)	1	\$2,500	\$2,500	\$2,125	09/27/2019	
SOU 2018-139(EQ)	1	\$15,000	\$15,000	\$11,000	09/27/2019	
SOU 2018-140(FCS)	3	\$6,000	\$0	\$0	09/27/2019	Case Terminated.

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SOU 2018-141(SA)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-142(SA)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-143(SA)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-144(SA)	1	\$2,500	\$2,500	\$1,820	09/27/2019	
SOU 2018-145(SA)	1	\$5,000	\$5,000	\$3,750	09/27/2019	
SOU 2018-146(LI)	3	\$7,500	\$7,500	\$5,000	09/27/2019	
SOU 2018-147(HMT)	1	\$2,500	\$2,500	\$2,000	09/27/2019	
SOU 2018-148(SA)	1	\$5,000	\$5,000	\$3,750	09/27/2019	
SOU 2018-149(SA)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-150(SA)	1	\$5,000	\$5,000	\$3,750	09/27/2019	
SOU 2018-151(SA)	1	\$5,000	\$5,000	\$3,700	09/27/2019	
SOU 2018-152(ROR)	1	\$9,500	\$9,500	\$8,100	09/27/2019	
SOU 2018-153(AR)	1	\$1,000	\$1,000	\$875	09/27/2019	
SOU 2018-154(AR)	1	\$1,000	\$1,000	\$875	09/27/2019	
SOU 2018-155(HMT)	3	\$22,500	\$22,500	\$14,000	09/27/2019	
SOU 2018-158(LI)	1	\$2,500	\$2,500	\$2,000	09/27/2019	
SOU 2018-159(AR)	1	\$2,000	\$2,000	\$875	09/27/2019	
SOU 2018-160(SA)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-161(SA)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-162(SA)	1	\$2,500	\$2,500	\$1,875	09/27/2019	
SOU 2018-163(SA)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-164(SA)	1	\$5,000	\$5,000	\$3,750	09/27/2019	
SOU 2018-165(SA)	1	\$5,000	\$5,000	\$3,750	09/27/2019	
SOU 2018-166(SI)	1	\$2,500	\$1,000	\$1,000	09/27/2019	Partially Terminated Violation(s): 1.
SOU 2018-167(HMT)	2	\$10,000	\$10,000	\$7,700	09/27/2019	
SOU 2018-168(FCS)	1	\$2,500	\$2,500	\$2,100	09/27/2019	
SOU 2018-169(SA)	1	\$5,000	\$5,000	\$3,750	09/27/2019	
SOU 2018-170(SA)	1	\$2,500	\$2,500	\$1,825	09/27/2019	
SOU 2018-175(AR)	1	\$2,000	\$2,000	\$875	09/27/2019	
SOU 2018-176(ROP)	1	\$5,000	\$5,000	\$4,300	09/27/2019	
SOU 2018-177(ROP)	1	\$7,500	\$7,500	\$5,850	09/27/2019	
SOU 2018-178(ROP)	2	\$10,000	\$10,000	\$7,600	09/27/2019	
SOU 2018-179(ROP)	1	\$5,000	\$5,000	\$4,300	09/27/2019	
SOU 2018-180(ROP)	1	\$5,000	\$5,000	\$4,300	09/27/2019	
SOU 2018-181(ROP)	2	\$10,000	\$10,000	\$7,600	09/27/2019	
SOU 2018-182(FCS)	1	\$2,500	\$2,500	\$2,150	09/27/2019	
SOU 2018-183(FCS)	1	\$2,500	\$2,500	\$2,150	09/27/2019	
SOU 2018-184(TS)	2	\$7,500	\$7,500	\$5,400	09/27/2019	
SOU 2018-185(LI)	1	\$2,500	\$2,500	\$2,150	09/27/2019	
SOU 2018-186(LI)	1	\$2,500	\$2,500	\$2,150	09/27/2019	
SOU 2018-187(GC)	1	\$5,000	\$5,000	\$3,700	09/27/2019	
SOU 2018-188(SA)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-189(AR)	3	\$3,000	\$3,000	\$2,559	09/27/2019	
SOU 2018-190(AR)	1	\$2,000	\$2,000	\$875	09/27/2019	
SOU 2018-191(AR)	1	\$1,000	\$1,000	\$875	09/27/2019	
SOU 2018-192(AR)	1	\$2,000	\$2,000	\$875	09/27/2019	
SOU 2018-193(ROP)	1	\$9,500	\$0	\$0	09/27/2019	Case Terminated.
SOU 2018-194(ROP)	1	\$2,000	\$2,000	\$1,700	09/27/2019	
SOU 2018-195(AR)	1	\$1,000	\$1,000	\$875	09/27/2019	

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SOU 2018-196(SA)	1	\$5,000	\$5,000	\$3,650	09/27/2019	
SOU 2018-197(SA)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-198(SA)	1	\$5,000	\$5,000	\$3,750	09/27/2019	
SOU 2018-199(SA)	2	\$5,000	\$5,000	\$3,750	09/27/2019	
SOU 2018-200(HMT)	1	\$2,000	\$2,000	\$1,800	09/27/2019	
SOU 2018-201(SA)	1	\$5,000	\$5,000	\$3,750	09/27/2019	
SOU 2018-202(SA)	1	\$5,000	\$5,000	\$3,750	09/27/2019	
SOU 2018-204(SA)	1	\$5,000	\$5,000	\$3,600	09/27/2019	
SOU 2018-205(ROP)	1	\$7,500	\$7,500	\$5,850	09/27/2019	
SOU 2018-206(ROP)	1	\$7,500	\$7,500	\$5,850	09/27/2019	
SOU 2018-207(AR)	1	\$1,000	\$1,000	\$875	09/27/2019	
SOU 2018-208(ROP)	1	\$7,500	\$7,500	\$5,925	09/27/2019	
SOU 2018-209(ROP)	1	\$7,500	\$7,500	\$6,400	09/27/2019	
SOU 2018-210(ROP)	1	\$7,500	\$7,500	\$6,400	09/27/2019	
SOU 2018-211(ROP)	2	\$10,000	\$10,000	\$7,800	09/27/2019	
SOU 2018-212(ROP)	1	\$5,000	\$5,000	\$4,300	09/27/2019	
SOU 2018-213(ROP)	3	\$15,000	\$15,000	\$11,400	09/27/2019	
SOU 2018-214(SA)	1	\$2,500	\$2,500	\$1,875	09/27/2019	
SOU 2018-215(SA)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-216(SA)	1	\$2,500	\$2,500	\$1,875	09/27/2019	
SOU 2018-217(FCS)	1	\$5,000	\$5,000	\$3,700	09/27/2019	
SOU 2018-218(SA)	2	\$7,500	\$7,500	\$5,400	09/27/2019	
SOU 2018-219(LI)	1	\$2,500	\$2,500	\$2,150	09/27/2019	
SOU 2018-220(LI)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-221(LI)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-222(LI)	5	\$7,500	\$7,500	\$5,500	09/27/2019	
SOU 2018-223(HMT)	1	\$2,000	\$2,000	\$1,800	09/27/2019	
SOU 2018-224(LI)	1	\$2,500	\$2,500	\$2,100	09/27/2019	
SOU 2018-225(SA)	1	\$10,000	\$10,000	\$7,300	09/27/2019	
SOU 2018-226(FCS)	3	\$6,000	\$0	\$0	09/27/2019	Case Terminated.
SOU 2018-227(TS)	1	\$5,000	\$5,000	\$4,000	09/27/2019	
SOU 2018-228(TS)	1	\$5,000	\$5,000	\$4,000	09/27/2019	
SOU 2018-229(TS)	2	\$5,000	\$5,000	\$4,000	09/27/2019	
SOU 2018-230(TS)	2	\$10,000	\$10,000	\$7,200	09/27/2019	
SOU 2018-231(TS)	1	\$5,000	\$5,000	\$4,000	09/27/2019	
SOU 2018-232(SA)	1	\$5,000	\$5,000	\$3,750	09/27/2019	
SOU 2018-233(ROP)	1	\$7,500	\$7,500	\$5,850	09/27/2019	
SOU 2018-234(ROP)	1	\$5,000	\$5,000	\$4,300	09/27/2019	
SOU 2018-235(ROP)	1	\$5,000	\$5,000	\$4,300	09/27/2019	
SOU 2018-236(FCS)	1	\$2,500	\$2,500	\$2,100	09/27/2019	
SOU 2018-237(SA)	1	\$5,000	\$5,000	\$3,750	09/27/2019	
SOU 2018-238(TS)	1	\$5,000	\$5,000	\$4,000	09/27/2019	
SOU 2018-239(TS)	1	\$5,000	\$5,000	\$4,150	09/27/2019	
SOU 2018-240(TS)	2	\$10,000	\$10,000	\$7,500	09/27/2019	
SOU 2018-241(TS)	1	\$5,000	\$5,000	\$4,000	09/27/2019	
SOU 2018-242(SA)	1	\$5,000	\$5,000	\$3,650	09/27/2019	
SOU 2018-243(FCS)	1	\$5,000	\$5,000	\$4,000	09/27/2019	
SOU 2018-244(SA)	1	\$5,000	\$5,000	\$3,650	09/27/2019	
SOU 2018-245(FCS)	1	\$2,500	\$2,500	\$2,100	09/27/2019	

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SOU 2018-246(FCS)	1	\$5,000	\$5,000	\$4,000	09/27/2019	
SOU 2018-247(FCS)	1	\$2,500	\$2,500	\$2,000	09/27/2019	
SOU 2018-248(FCS)	1	\$5,000	\$5,000	\$3,700	09/27/2019	
SOU 2018-249(FCS)	1	\$5,000	\$5,000	\$3,700	09/27/2019	
SOU 2018-250(FCS)	1	\$5,000	\$5,000	\$3,700	09/27/2019	
SOU 2018-251(SA)	1	\$5,000	\$5,000	\$3,750	09/27/2019	
SOU 2018-252(SA)	1	\$5,000	\$5,000	\$3,650	09/27/2019	
SOU 2018-253(SA)	1	\$5,000	\$5,000	\$3,750	09/27/2019	
SOU 2018-254(SA)	1	\$5,000	\$5,000	\$3,750	09/27/2019	
SOU 2018-255(FCS)	1	\$2,500	\$2,500	\$2,100	09/27/2019	
SOU 2018-256(FCS)	1	\$2,500	\$2,500	\$2,100	09/27/2019	
SOU 2018-257(FCS)	1	\$2,500	\$2,500	\$2,100	09/27/2019	
SOU 2018-258(LI)	1	\$2,500	\$2,500	\$2,100	09/27/2019	
SOU 2018-259(LI)	1	\$1,500	\$1,500	\$1,150	09/27/2019	
SOU 2018-260(AR)	1	\$1,000	\$1,000	\$875	09/27/2019	
SOU 2018-261(LI)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-262(LI)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-263(LI)	1	\$2,500	\$2,500	\$2,000	09/27/2019	
SOU 2018-264(LI)	2	\$5,000	\$5,000	\$3,600	09/27/2019	
SOU 2018-265(LI)	2	\$3,000	\$3,000	\$2,300	09/27/2019	
SOU 2018-266(LI)	1	\$2,500	\$2,500	\$2,100	09/27/2019	
SOU 2018-267(FCS)	1	\$2,500	\$2,500	\$2,100	09/27/2019	
SOU 2018-268(SA)	1	\$5,000	\$5,000	\$3,700	09/27/2019	
SOU 2018-269(SA)	1	\$5,000	\$5,000	\$3,750	09/27/2019	
SOU 2018-270(SA)	1	\$5,000	\$5,000	\$3,750	09/27/2019	
SOU 2018-271(SA)	1	\$2,500	\$2,500	\$1,850	09/27/2019	
SOU 2018-272(SA)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-273(LI)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-274(LI)	1	\$2,500	\$2,500	\$2,100	09/27/2019	
SOU 2018-276(FCS)	1	\$2,500	\$2,500	\$2,100	09/27/2019	
SOU 2018-277(SA)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-278(SA)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-279(SA)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-280(SA)	1	\$5,000	\$5,000	\$3,750	09/27/2019	
SOU 2018-281(FCS)	1	\$2,500	\$2,500	\$2,100	09/27/2019	
SOU 2018-282(FCS)	1	\$2,500	\$2,500	\$2,100	09/27/2019	
SOU 2018-283(FCS)	1	\$2,500	\$2,500	\$2,100	09/27/2019	
SOU 2018-284(SA)	2	\$10,000	\$10,000	\$5,600	09/27/2019	
SOU 2018-285(SA)	1	\$5,000	\$5,000	\$3,750	09/27/2019	
SOU 2018-286(SA)	1	\$5,000	\$5,000	\$3,750	09/27/2019	
SOU 2018-287(SA)	1	\$2,500	\$2,500	\$1,875	09/27/2019	
SOU 2018-288(SA)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-289(SA)	1	\$5,000	\$5,000	\$3,750	09/27/2019	
SOU 2018-290(SA)	2	\$5,000	\$5,000	\$3,750	09/27/2019	
SOU 2018-291(SA)	1	\$5,000	\$5,000	\$3,650	09/27/2019	
SOU 2018-292(FCS)	1	\$5,000	\$5,000	\$3,700	09/27/2019	
SOU 2018-293(SA)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-294(SA)	1	\$5,000	\$5,000	\$3,750	09/27/2019	
SOU 2018-295(FCS)	1	\$5,000	\$5,000	\$3,700	09/27/2019	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
SOU 2018-296(FCS)	1	\$5,000	\$5,000	\$3,700	09/27/2019	
SOU 2018-297(LI)	1	\$2,500	\$2,500	\$2,100	09/27/2019	
SOU 2018-298(LI)	3	\$7,500	\$7,500	\$5,200	09/27/2019	
SOU 2018-299(HMT)	1	\$7,500	\$7,500	\$6,000	09/27/2019	
SOU 2018-300(LI)	1	\$2,500	\$2,500	\$2,000	09/27/2019	
SOU 2018-301(LI)	1	\$2,500	\$2,500	\$2,000	09/27/2019	
SOU 2018-302(FCS)	1	\$5,000	\$5,000	\$3,700	09/27/2019	
SOU 2018-303(FCS)	1	\$5,000	\$5,000	\$3,700	09/27/2019	
SOU 2018-304(FCS)	1	\$5,000	\$5,000	\$3,700	09/27/2019	
SOU 2018-305(FCS)	1	\$5,000	\$5,000	\$3,700	09/27/2019	
SOU 2018-306(FCS)	1	\$2,500	\$2,500	\$2,000	09/27/2019	
SOU 2018-307(FCS)	1	\$5,000	\$5,000	\$3,700	09/27/2019	
SOU 2018-308(FCS)	1	\$5,000	\$5,000	\$3,700	09/27/2019	
SOU 2018-309(FCS)	1	\$5,000	\$5,000	\$3,700	09/27/2019	
SOU 2018-310(FCS)	1	\$5,000	\$5,000	\$3,700	09/27/2019	
SOU 2018-311(FCS)	1	\$5,000	\$5,000	\$3,700	09/27/2019	
SOU 2018-312(FCS)	1	\$5,000	\$5,000	\$3,700	09/27/2019	
SOU 2018-313(FCS)	1	\$5,000	\$5,000	\$3,700	09/27/2019	
SOU 2018-314(FCS)	1	\$5,000	\$5,000	\$3,700	09/27/2019	
SOU 2018-315(HS)	1	\$1,000	\$1,000	\$875	09/27/2019	
SOU 2018-316(SA)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-317(SA)	1	\$5,000	\$5,000	\$3,700	09/27/2019	
SOU 2018-318(SA)	1	\$5,000	\$5,000	\$3,750	09/27/2019	
SOU 2018-319(SA)	1	\$5,000	\$5,000	\$3,750	09/27/2019	
SOU 2018-320(SA)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-322(LI)	1	\$2,500	\$2,500	\$2,100	09/27/2019	
SOU 2018-323(LI)	1	\$2,500	\$2,500	\$2,100	09/27/2019	
SOU 2018-324(LI)	1	\$2,500	\$2,500	\$2,100	09/27/2019	
SOU 2018-325(SA)	1	\$2,500	\$2,500	\$1,875	09/27/2019	
SOU 2018-326(SA)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-327(SA)	1	\$5,000	\$5,000	\$3,750	09/27/2019	
SOU 2018-328(HMT)	1	\$4,000	\$4,000	\$3,300	09/27/2019	
SOU 2018-329(RW)	1	\$2,000	\$2,000	\$1,825	09/27/2019	
SOU 2018-330(HMT)	1	\$7,500	\$7,500	\$6,000	09/27/2019	
SOU 2018-331(TS)	2	\$5,000	\$5,000	\$4,150	09/27/2019	
SOU 2018-332(RW)	1	\$5,000	\$5,000	\$4,250	09/27/2019	
SOU 2018-333(SI)	1	\$1,000	\$1,000	\$950	09/27/2019	
SOU 2018-334(SA)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-335(SA)	1	\$5,000	\$5,000	\$3,650	09/27/2019	
SOU 2018-336(ROP)	1	\$2,000	\$2,000	\$1,700	09/27/2019	
SOU 2018-337(HMT)	1	\$6,000	\$6,000	\$4,500	09/27/2019	
SOU 2018-338(HMT)	1	\$4,000	\$4,000	\$3,400	09/27/2019	
SOU 2018-339(HMT)	1	\$7,500	\$7,500	\$5,400	09/27/2019	
SOU 2018-340(TS)	1	\$5,000	\$5,000	\$4,100	09/27/2019	
SOU 2018-341(TS)	1	\$2,500	\$2,500	\$2,250	09/27/2019	
SOU 2018-342(HMT)	1	\$6,000	\$6,000	\$4,100	09/27/2019	
SOU 2018-343(HMT)	2	\$10,000	\$10,000	\$7,500	09/27/2019	
SOU 2018-344(GC)	1	\$2,500	\$2,500	\$2,050	09/27/2019	
SOU 2018-345(SA)	1	\$2,500	\$2,500	\$1,900	09/27/2019	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
SOU 2018-346(ROP)	1	\$7,500	\$7,500	\$5,850	09/27/2019	
SOU 2018-347(FCS)	1	\$2,500	\$2,500	\$2,150	09/27/2019	
SOU 2018-348(SA)	1	\$5,000	\$5,000	\$3,650	09/27/2019	
SOU 2018-349(SA)	1	\$5,000	\$5,000	\$3,750	09/27/2019	
SOU 2018-351(AD)	1	\$5,000	\$5,000	\$3,800	09/27/2019	
SOU 2018-352(AD)	1	\$5,000	\$5,000	\$3,800	09/27/2019	
SOU 2018-353(GC)	1	\$5,000	\$5,000	\$4,300	09/27/2019	
SOU 2018-354(HMT)	1	\$5,000	\$5,000	\$3,900	09/27/2019	
SOU 2018-355(AR)	1	\$1,000	\$1,000	\$875	09/27/2019	
SOU 2018-356(ROP)	1	\$9,500	\$9,500	\$8,000	09/27/2019	
SOU 2018-357(GC)	1	\$5,000	\$5,000	\$4,300	09/27/2019	
SOU 2018-359(SA)	1	\$5,000	\$5,000	\$3,650	09/27/2019	
SOU 2018-360(SA)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-361(SA)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-362(FCS)	1	\$2,500	\$2,500	\$2,100	09/27/2019	
SOU 2018-363(SA)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-364(SA)	1	\$5,000	\$5,000	\$3,750	09/27/2019	
SOU 2018-365(SA)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-366(SA)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-367(SA)	1	\$5,000	\$5,000	\$3,650	09/27/2019	
SOU 2018-368(SA)	1	\$5,000	\$5,000	\$3,600	09/27/2019	
SOU 2018-369(HMT)	1	\$5,000	\$5,000	\$4,300	09/27/2019	
SOU 2018-370(HMT)	1	\$3,000	\$3,000	\$2,400	09/27/2019	
SOU 2018-371(HMT)	1	\$7,500	\$7,500	\$5,400	09/27/2019	
SOU 2018-372(LI)	1	\$2,500	\$2,500	\$2,000	09/27/2019	
SOU 2018-373(SA)	1	\$5,000	\$5,000	\$3,750	09/27/2019	
SOU 2018-374(ROP)	1	\$5,000	\$5,000	\$4,550	09/27/2019	
SOU 2018-375(SA)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-377(SA)	1	\$5,000	\$5,000	\$3,650	09/27/2019	
SOU 2018-378(SA)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-379(ROP)	1	\$7,500	\$7,500	\$5,925	09/27/2019	
SOU 2018-380(ROP)	1	\$9,500	\$9,500	\$8,350	09/27/2019	
SOU 2018-381(ROP)	1	\$9,500	\$9,500	\$7,695	09/27/2019	
SOU 2018-382(ROP)	2	\$10,000	\$10,000	\$7,600	09/27/2019	
SOU 2018-383(SA)	1	\$5,000	\$5,000	\$3,750	09/27/2019	
SOU 2018-384(SA)	1	\$5,000	\$5,000	\$3,750	09/27/2019	
SOU 2018-385(SA)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-386(ROP)	1	\$7,500	\$7,500	\$6,400	09/27/2019	
SOU 2018-387(HS)	16	\$16,000	\$16,000	\$13,648	09/27/2019	
SOU 2018-388(SA)	1	\$2,500	\$2,500	\$1,800	09/27/2019	
SOU 2018-389(ROP)	1	\$7,500	\$7,500	\$6,400	09/27/2019	
SOU 2018-390(HMT)	1	\$2,500	\$2,500	\$1,950	09/27/2019	
SOU 2018-391(TS)	1	\$5,000	\$5,000	\$4,000	09/27/2019	
SOU 2018-392(LI)	1	\$2,500	\$2,500	\$2,000	09/27/2019	
SOU 2018-393(HMT)	1	\$1,000	\$1,000	\$900	09/27/2019	
SOU 2018-395(LI)	1	\$2,500	\$2,500	\$2,000	09/27/2019	
SOU 2018-396(LI)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-398(ROP)	1	\$2,000	\$2,000	\$1,775	09/27/2019	
SOU 2018-399(SA)	1	\$5,000	\$5,000	\$3,750	09/27/2019	

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SOU 2018-400(GC)	1	\$5,000	\$5,000	\$4,050	09/27/2019	
SOU 2018-401(GC)	1	\$5,000	\$5,000	\$2,750	09/27/2019	
SOU 2018-402(GC)	1	\$5,000	\$5,000	\$3,800	09/27/2019	
SOU 2018-403(AR)	2	\$5,000	\$5,000	\$5,000	09/27/2019	
SOU 2018-404(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-405(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-406(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-407(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-408(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-409(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-410(TS)	1	\$5,000	\$5,000	\$4,000	09/27/2019	
SOU 2018-411(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-412(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-413(ROP)	1	\$7,500	\$7,500	\$6,450	09/27/2019	
SOU 2018-414(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-415(SA)	1	\$5,000	\$5,000	\$3,750	09/27/2019	
SOU 2018-416(ROP)	1	\$7,500	\$7,500	\$6,450	09/27/2019	
SOU 2018-417(AR)	1	\$1,000	\$1,000	\$900	09/27/2019	
SOU 2018-418(SA)	1	\$5,000	\$5,000	\$3,650	09/27/2019	
SOU 2018-419(SA)	1	\$5,000	\$5,000	\$3,750	09/27/2019	
SOU 2018-420(HMT)	2	\$2,000	\$2,000	\$1,500	09/27/2019	
SOU 2018-421(SI)	1	\$5,000	\$5,000	\$4,200	09/27/2019	
SOU 2018-422(SA)	1	\$5,000	\$5,000	\$3,650	09/27/2019	
SOU 2018-423(FCS)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-424(SA)	3	\$7,500	\$7,500	\$5,250	09/27/2019	
SOU 2018-425(SA)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-426(SA)	1	\$5,000	\$5,000	\$3,650	09/27/2019	
SOU 2018-427(FCS)	1	\$2,500	\$2,500	\$2,100	09/27/2019	
SOU 2018-428(ROP)	1	\$5,000	\$5,000	\$4,500	09/27/2019	
SOU 2018-429(FCS)	1	\$2,500	\$2,500	\$2,100	09/27/2019	
SOU 2018-430(FCS)	1	\$2,500	\$2,500	\$2,100	09/27/2019	
SOU 2018-431(FCS)	1	\$2,500	\$2,500	\$2,100	09/27/2019	
SOU 2018-432(FCS)	1	\$2,500	\$2,500	\$2,100	09/27/2019	
SOU 2018-433(FCS)	1	\$2,500	\$2,500	\$2,100	09/27/2019	
SOU 2018-434(FCS)	1	\$2,500	\$2,500	\$2,100	09/27/2019	
SOU 2018-435(SA)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-436(SA)	1	\$2,500	\$2,500	\$1,935	09/27/2019	
SOU 2018-437(SA)	1	\$2,500	\$2,500	\$1,925	09/27/2019	
SOU 2018-438(SA)	1	\$5,000	\$5,000	\$3,500	09/27/2019	
SOU 2018-439(SA)	1	\$2,500	\$2,500	\$1,925	09/27/2019	
SOU 2018-440(SA)	1	\$2,500	\$2,500	\$1,925	09/27/2019	
SOU 2018-441(SA)	1	\$5,000	\$5,000	\$3,500	09/27/2019	
SOU 2018-442(SA)	1	\$2,500	\$2,500	\$1,925	09/27/2019	
SOU 2018-443(SA)	1	\$5,000	\$5,000	\$3,500	09/27/2019	
SOU 2018-444(FCS)	1	\$2,500	\$2,500	\$2,100	09/27/2019	
SOU 2018-445(FCS)	1	\$2,500	\$2,500	\$2,100	09/27/2019	
SOU 2018-446(FCS)	1	\$2,500	\$2,500	\$2,100	09/27/2019	
SOU 2018-447(FCS)	1	\$2,500	\$2,500	\$2,150	09/27/2019	
SOU 2018-448(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2019	

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SOU 2018-449(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-451(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-452(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-453(SA)	2	\$10,000	\$10,000	\$7,200	09/27/2019	
SOU 2018-454(SA)	1	\$5,000	\$5,000	\$3,500	09/27/2019	
SOU 2018-455(SA)	1	\$5,000	\$5,000	\$3,500	09/27/2019	
SOU 2018-456(SA)	1	\$5,000	\$5,000	\$3,500	09/27/2019	
SOU 2018-457(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-458(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-459(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-460(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-461(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-462(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-463(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-464(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-465(FCS)	1	\$5,000	\$5,000	\$3,700	09/27/2019	
SOU 2018-466(SA)	1	\$2,500	\$2,500	\$1,925	09/27/2019	
SOU 2018-467(FCS)	1	\$2,500	\$2,500	\$2,100	09/27/2019	
SOU 2018-468(FCS)	1	\$2,500	\$2,500	\$2,100	09/27/2019	
SOU 2018-469(FCS)	1	\$5,000	\$5,000	\$4,000	09/27/2019	
SOU 2018-470(SA)	1	\$2,500	\$2,500	\$1,975	09/27/2019	
SOU 2018-471(AR)	1	\$2,500	\$2,500	\$2,000	09/27/2019	
SOU 2018-472(AR)	1	\$2,500	\$2,500	\$2,000	09/27/2019	
SOU 2018-473(AR)	1	\$2,500	\$2,500	\$2,000	09/27/2019	
SOU 2018-474(AR)	1	\$2,500	\$2,500	\$2,000	09/27/2019	
SOU 2018-475(AR)	1	\$2,500	\$2,500	\$2,000	09/27/2019	
SOU 2018-476(AR)	1	\$2,500	\$2,500	\$2,000	09/27/2019	
SOU 2018-477(AR)	1	\$2,500	\$2,500	\$2,000	09/27/2019	
SOU 2018-478(AR)	1	\$2,500	\$2,500	\$2,000	09/27/2019	
SOU 2018-479(AR)	1	\$2,500	\$2,500	\$2,000	09/27/2019	
SOU 2018-480(AR)	1	\$2,500	\$2,500	\$2,000	09/27/2019	
SOU 2018-481(AR)	1	\$2,500	\$2,500	\$2,000	09/27/2019	
SOU 2018-482(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-483(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-484(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-485(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-486(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-487(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-488(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-489(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-490(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-491(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-492(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-493(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-494(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-495(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-496(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-497(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-498(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2019	



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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
SOU 2018-499(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-500(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-501(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-502(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-503(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-504(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-505(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-506(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-507(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-508(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-509(ROP)	1	\$2,500	\$2,500	\$2,200	09/27/2019	
SOU 2018-510(SI)	1	\$2,500	\$1,000	\$950	09/27/2019	Partially Terminated Violation(s): 1.
SOU 2018-511(SA)	1	\$2,500	\$2,500	\$2,000	09/27/2019	
SOU 2018-512(SA)	1	\$5,000	\$5,000	\$3,500	09/27/2019	
SOU 2018-513(GC)	1	\$5,000	\$5,000	\$3,950	09/27/2019	
SOU 2018-514(TS)	1	\$2,500	\$2,500	\$2,200	09/27/2019	
SOU 2018-515(HMT)	1	\$6,000	\$6,000	\$5,100	09/27/2019	
SOU 2018-516(HMT)	1	\$7,500	\$7,500	\$5,900	09/27/2019	
SOU 2018-517(HMT)	1	\$2,000	\$2,000	\$1,500	09/27/2019	
SOU 2018-518(GC)	1	\$2,500	\$2,500	\$2,050	09/27/2019	
SOU 2018-519(GC)	1	\$1,000	\$1,000	\$875	09/27/2019	
SOU 2018-520(LI)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-521(LI)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-522(LI)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-523(LI)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-524(TS)	1	\$5,000	\$5,000	\$3,750	09/27/2019	
SOU 2018-525(TS)	1	\$1,000	\$1,000	\$853	09/27/2019	
SOU 2018-526(TS)	1	\$1,000	\$1,000	\$853	09/27/2019	
SOU 2018-527(SI)	1	\$1,000	\$1,000	\$950	09/27/2019	
SOU 2018-528(SI)	1	\$2,500	\$1,000	\$950	09/27/2019	Partially Terminated Violation(s): 1.
SOU 2018-529(AR)	1	\$2,500	\$2,500	\$2,000	09/27/2019	
SOU 2018-530(SA)	1	\$2,500	\$2,500	\$1,875	09/27/2019	
SOU 2018-531(FCS)	1	\$5,000	\$5,000	\$4,000	09/27/2019	
SOU 2018-532(FCS)	1	\$2,500	\$2,500	\$2,100	09/27/2019	
SOU 2018-533(SA)	1	\$2,500	\$2,500	\$1,975	09/27/2019	
SOU 2018-534(LI)	1	\$2,500	\$2,500	\$2,100	09/27/2019	
SOU 2018-535(GC)	1	\$5,000	\$5,000	\$4,300	09/27/2019	
SOU 2018-536(GC)	1	\$2,500	\$2,500	\$1,850	09/27/2019	
SOU 2018-537(FCS)	1	\$2,500	\$2,500	\$2,150	09/27/2019	
SOU 2018-538(HMT)	1	\$4,000	\$4,000	\$3,400	09/27/2019	
SOU 2018-539(SA)	1	\$2,500	\$2,500	\$1,925	09/27/2019	
SOU 2018-540(SA)	1	\$5,000	\$5,000	\$3,500	09/27/2019	
SOU 2018-541(SA)	1	\$5,000	\$5,000	\$3,500	09/27/2019	
SOU 2018-542(SA)	1	\$2,500	\$2,500	\$2,025	09/27/2019	
SOU 2018-543(AR)	1	\$2,500	\$2,500	\$2,000	09/27/2019	
SOU 2018-544(RW)	1	\$3,000	\$3,000	\$2,275	09/27/2019	
SOU 2018-545(HSR)	1	\$1,000	\$1,000	\$875	09/27/2019	
SOU 2018-546(HSR)	1	\$1,000	\$1,000	\$875	09/27/2019	

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SOU 2018-547(SI)	1	\$1,000	\$1,000	\$950	09/27/2019	
SOU 2018-548(SA)	1	\$5,000	\$5,000	\$3,500	09/27/2019	
SOU 2018-549(SA)	2	\$10,000	\$10,000	\$7,300	09/27/2019	
SOU 2018-550(SI)	1	\$5,000	\$5,000	\$5,000	09/27/2019	
SOU 2018-551(SI)	1	\$1,000	\$1,000	\$853	09/27/2019	
SOU 2018-552(LI)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-553(HSR)	1	\$1,000	\$1,000	\$875	09/27/2019	
SOU 2018-554(HSR)	1	\$1,000	\$1,000	\$875	09/27/2019	
SOU 2018-555(HMT)	1	\$2,000	\$2,000	\$1,500	09/27/2019	
SOU 2018-556(LI)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2018-557(TS)	1	\$5,000	\$5,000	\$4,000	09/27/2019	
SOU 2018-558(TS)	1	\$5,000	\$5,000	\$4,150	09/27/2019	
SOU 2018-559(ROP)	1	\$7,500	\$7,500	\$5,850	09/27/2019	
SOU 2018-560(ROP)	1	\$9,500	\$9,500	\$8,350	09/27/2019	
SOU 2018-561(HSR)	2	\$2,000	\$2,000	\$1,706	09/27/2019	
SOU 2018-563(HSR)	1	\$1,000	\$1,000	\$875	09/27/2019	
SOU 2018-565(LI)	1	\$2,500	\$2,500	\$2,100	09/27/2019	
SOU 2018-566(FCS)	1	\$2,500	\$2,500	\$2,100	09/27/2019	
SOU 2018-567(ROP)	1	\$7,500	\$7,500	\$6,200	09/27/2019	
SOU 2018-569(SA)	1	\$5,000	\$5,000	\$3,500	09/27/2019	
SOU 2018-570(SA)	1	\$5,000	\$5,000	\$3,500	09/27/2019	
SOU 2018-572(SA)	1	\$2,500	\$2,500	\$1,925	09/27/2019	
SOU 2018-573(SA)	1	\$5,000	\$5,000	\$3,500	09/27/2019	
SOU 2018-574(SA)	1	\$2,500	\$2,500	\$1,925	09/27/2019	
SOU 2018-575(HS)	2	\$2,000	\$2,000	\$1,750	09/27/2019	
SOU 2019-1(AR)	1	\$1,000	\$0	\$0	09/27/2019	Case Terminated.
SOU 2019-3(AR)	1	\$1,000	\$1,000	\$853	09/27/2019	
SOU 2019-5(AR)	1	\$2,500	\$2,500	\$1,700	09/27/2019	
SOU 2019-7(AR)	1	\$1,000	\$1,000	\$875	09/27/2019	
SOU 2019-8(FCS)	1	\$2,500	\$2,500	\$2,100	09/27/2019	
SOU 2019-9(ROP)	1	\$7,500	\$7,500	\$5,850	09/27/2019	
SOU 2019-10(SA)	1	\$5,000	\$5,000	\$3,500	09/27/2019	
SOU 2019-11(SA)	2	\$10,000	\$10,000	\$7,000	09/27/2019	
SOU 2019-12(SA)	1	\$5,000	\$5,000	\$3,500	09/27/2019	
SOU 2019-13(SA)	1	\$5,000	\$5,000	\$3,500	09/27/2019	
SOU 2019-14(SA)	1	\$5,000	\$5,000	\$3,500	09/27/2019	
SOU 2019-15(SA)	1	\$5,000	\$5,000	\$3,500	09/27/2019	
SOU 2019-18(HMT)	3	\$15,500	\$15,500	\$10,900	09/27/2019	
SOU 2019-19(SA)	1	\$2,500	\$2,500	\$2,025	09/27/2019	
SOU 2019-20(SA)	1	\$2,500	\$2,500	\$1,975	09/27/2019	
SOU 2019-21(SA)	1	\$5,000	\$5,000	\$3,500	09/27/2019	
SOU 2019-22(SA)	1	\$5,000	\$5,000	\$3,500	09/27/2019	
SOU 2019-24(GC)	1	\$1,000	\$1,000	\$875	09/27/2019	
SOU 2019-26(GC)	1	\$5,000	\$5,000	\$4,050	09/27/2019	
SOU 2019-28(TS)	1	\$5,000	\$5,000	\$4,000	09/27/2019	
SOU 2019-30(LI)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2019-32(SA)	1	\$5,000	\$5,000	\$3,500	09/27/2019	
SOU 2019-34(SI)	1	\$1,000	\$1,000	\$950	09/27/2019	
SOU 2019-35(SA)	1	\$5,000	\$5,000	\$3,400	09/27/2019	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
SOU 2019-36(TS)	1	\$1,000	\$1,000	\$853	09/27/2019	
SOU 2019-37(TS)	1	\$2,500	\$2,500	\$2,075	09/27/2019	
SOU 2019-38(HSR)	1	\$1,000	\$1,000	\$853	09/27/2019	
SOU 2019-40(FCS)	1	\$5,000	\$5,000	\$4,000	09/27/2019	
SOU 2019-41(SA)	1	\$5,000	\$5,000	\$3,500	09/27/2019	
SOU 2019-42(HMT)	37	\$95,000	\$95,000	\$45,000	09/27/2019	
SOU 2019-44(RW)	3	\$6,000	\$6,000	\$5,450	09/27/2019	
SOU 2019-45(SA)	1	\$2,500	\$2,500	\$1,875	09/27/2019	
SOU 2019-46(LI)	1	\$2,500	\$2,500	\$2,100	09/27/2019	
SOU 2019-47(SA)	1	\$2,500	\$2,500	\$1,925	09/27/2019	
SOU 2019-48(ROP)	1	\$5,000	\$5,000	\$4,150	09/27/2019	
SOU 2019-50(ROP)	1	\$5,000	\$5,000	\$4,400	09/27/2019	
SOU 2019-51(RW)	1	\$1,000	\$1,000	\$900	09/27/2019	
SOU 2019-52(RW)	1	\$2,000	\$2,000	\$1,825	09/27/2019	
SOU 2019-53(RW)	1	\$2,000	\$2,000	\$1,825	09/27/2019	
SOU 2019-56(HSR)	1	\$1,000	\$1,000	\$870	09/27/2019	
SOU 2019-57(SA)	1	\$5,000	\$5,000	\$3,500	09/27/2019	
SOU 2019-58(SA)	1	\$5,000	\$5,000	\$3,600	09/27/2019	
SOU 2019-61(SA)	1	\$5,000	\$5,000	\$3,600	09/27/2019	
SOU 2019-62(LI)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2019-63(SA)	1	\$5,000	\$5,000	\$3,600	09/27/2019	
SOU 2019-64(SA)	1	\$5,000	\$5,000	\$3,500	09/27/2019	
SOU 2019-65(SA)	1	\$5,000	\$5,000	\$3,650	09/27/2019	
SOU 2019-66(SA)	1	\$5,000	\$5,000	\$3,500	09/27/2019	
SOU 2019-67(LI)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2019-68(SA)	1	\$5,000	\$5,000	\$3,500	09/27/2019	
SOU 2019-69(FCS)	1	\$5,000	\$5,000	\$4,000	09/27/2019	
SOU 2019-70(FCS)	1	\$5,000	\$5,000	\$4,000	09/27/2019	
SOU 2019-71(FCS)	1	\$2,500	\$2,500	\$2,100	09/27/2019	
SOU 2019-72(FCS)	1	\$5,000	\$5,000	\$4,000	09/27/2019	
SOU 2019-73(SA)	1	\$5,000	\$5,000	\$3,500	09/27/2019	
SOU 2019-75(SA)	1	\$2,500	\$2,500	\$1,875	09/27/2019	
SOU 2019-76(SA)	1	\$2,500	\$2,500	\$1,925	09/27/2019	
SOU 2019-77(SA)	1	\$2,500	\$2,500	\$2,025	09/27/2019	
SOU 2019-78(SA)	4	\$10,000	\$10,000	\$7,300	09/27/2019	
SOU 2019-79(SA)	1	\$2,500	\$2,500	\$2,025	09/27/2019	
SOU 2019-80(FCS)	1	\$5,000	\$5,000	\$4,000	09/27/2019	
SOU 2019-81(HMT)	1	\$2,000	\$2,000	\$1,550	09/27/2019	
SOU 2019-82(LI)	1	\$2,500	\$2,500	\$2,000	09/27/2019	
SOU 2019-83(LI)	1	\$2,500	\$2,500	\$2,000	09/27/2019	
SOU 2019-84(LI)	1	\$1,500	\$1,500	\$1,250	09/27/2019	
SOU 2019-85(LI)	1	\$2,500	\$2,500	\$2,100	09/27/2019	
SOU 2019-86(LI)	1	\$1,000	\$1,000	\$870	09/27/2019	
SOU 2019-87(LI)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2019-88(LI)	2	\$4,000	\$4,000	\$3,000	09/27/2019	
SOU 2019-89(LI)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2019-90(ROP)	1	\$5,000	\$5,000	\$4,300	09/27/2019	
SOU 2019-91(ROP)	1	\$7,500	\$7,500	\$5,475	09/27/2019	
SOU 2019-92(ROP)	1	\$5,000	\$5,000	\$4,300	09/27/2019	

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SOU 2019-93(TS)	1	\$2,500	\$2,500	\$2,125	09/27/2019	
SOU 2019-94(HMT)	6	\$45,000	\$12,000	\$12,000	09/27/2019	Partially Terminated Violation(s): 1.
SOU 2019-95(LI)	1	\$2,500	\$2,500	\$1,900	09/27/2019	
SOU 2019-96(HMT)	1	\$6,000	\$6,000	\$4,500	09/27/2019	
SOU 2019-98(AR)	1	\$2,500	\$2,500	\$2,000	09/27/2019	
SOU 2019-99(SA)	1	\$2,500	\$2,500	\$1,975	09/27/2019	
SOU 2019-100(SA)	1	\$5,000	\$5,000	\$3,900	09/27/2019	
SOU 2019-101(ROP)	1	\$7,500	\$7,500	\$6,075	09/27/2019	
SOU 2019-102(RW)	1	\$2,000	\$2,000	\$1,825	09/27/2019	
SOU 2019-103(HS)	8	\$8,000	\$8,000	\$6,960	09/27/2019	
SOU 2019-104(SA)	1	\$5,000	\$5,000	\$3,900	09/27/2019	
SOU 2019-105(SI)	1	\$2,500	\$1,000	\$950	09/27/2019	Partially Terminated Violation(s): 1.
ST 2018-4(FCS)	1	\$5,000	\$5,000	\$4,000	09/24/2019	
ST 2018-5(SI)	1	\$5,000	\$5,000	\$4,100	09/24/2019	
ST 2018-6(SA)	1	\$2,500	\$2,500	\$2,100	09/24/2019	
ST 2018-7(SI)	1	\$5,000	\$5,000	\$4,750	09/24/2019	
TASD 2018-1(AD)	1	\$2,500	\$2,500	\$1,500	03/12/2019	
TASD 2019-1(ROP)	1	\$7,500	\$7,500	\$4,500	03/12/2019	
TEXT 2019-1(HMT)	1	\$4,000	\$4,000	\$4,000	08/28/2019	
TIBR 2019-1(AD)	1	\$2,500	\$2,500	\$2,000	09/29/2019	
TIBR 2019-2(AD)	1	\$2,500	\$2,500	\$2,100	09/29/2019	
TIBR 2019-3(AD)	1	\$2,500	\$2,500	\$1,850	09/29/2019	
TMBL 2019-1(SA)	1	\$5,000	\$5,000	\$2,750	03/20/2019	
TPR 2019-1(HMT)	1	\$1,000	\$1,000	\$500	07/11/2019	
TPW 2018-3(HMT)	1	\$4,000	\$4,000	\$3,160	09/27/2019	
TRC 2012-1(ROP)	2	\$4,000	\$0	\$0	04/12/2019	Case Terminated.
TRE 2019-1(SI)	1	\$1,000	\$1,000	\$1,000	05/16/2019	
TRRA 2018-6(AD)	1	\$2,500	\$2,500	\$2,500	10/26/2018	
TSWS 2019-1(AD)	1	\$5,000	\$5,000	\$5,000	05/10/2019	
TTIS 2017-1(HMT)	2	\$9,500	\$0	\$0	07/29/2019	Case Terminated.
TXN 2019-2(AD)	2	\$5,000	\$5,000	\$3,750	09/29/2019	
TXN 2019-3(AD)	2	\$5,000	\$5,000	\$4,000	09/29/2019	
TXPF 2014-5(ROP)	1	\$7,500	\$7,500	\$4,500	10/11/2018	
TXPF 2017-1(TS)	10	\$10,000	\$10,000	\$8,530	10/11/2018	
TXPF 2018-1(ROP)	1	\$7,500	\$7,500	\$5,000	10/11/2018	
UFRC 2017-3(GC)	1	\$5,000	\$5,000	\$3,600	12/21/2018	
UFRC 2017-4(GC)	1	\$5,000	\$5,000	\$3,600	12/21/2018	
UFRC 2018-1(AD)	1	\$5,000	\$5,000	\$3,600	12/21/2018	
UFRC 2018-2(PEQ)	1	\$2,500	\$2,500	\$1,350	12/21/2018	
UFRC 2018-3(GC)	1	\$5,000	\$5,000	\$1,500	12/21/2018	
UP 2016-635(FCS)	1	\$2,500	\$2,500	\$1,775	09/26/2019	
UP 2017-532(EP)	1	\$1,000	\$1,000	\$853	09/30/2019	
UP 2017-676(SI)	1	\$2,500	\$2,500	\$1,250	09/30/2019	
UP 2017-691(TS)	2	\$5,000	\$5,000	\$3,900	09/30/2019	
UP 2017-747(FCS)	1	\$5,000	\$5,000	\$3,550	09/26/2019	
UP 2017-757(TS)	1	\$5,000	\$5,000	\$3,900	09/30/2019	
UP 2017-772(FCS)	1	\$2,500	\$2,500	\$1,775	09/26/2019	
UP 2017-812(HS)	2	\$2,000	\$2,000	\$1,706	09/26/2019	

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UP 2017-817(TS)	1	\$5,000	\$5,000	\$3,900	09/30/2019	
UP 2017-822(HSR)	2	\$2,000	\$2,000	\$1,706	09/26/2019	
UP 2017-858(EQ)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2017-880(HMT)	1	\$7,500	\$7,500	\$5,762	09/30/2019	
UP 2017-889(HS)	2	\$2,000	\$2,000	\$1,706	09/26/2019	
UP 2017-996(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2019	
UP 2017-1041(FCS)	1	\$2,500	\$2,500	\$1,775	09/26/2019	
UP 2017-1046(TS)	1	\$5,000	\$5,000	\$3,900	09/30/2019	
UP 2017-1075(SA)	1	\$5,000	\$5,000	\$3,880	09/30/2019	
UP 2017-1081(HMT)	1	\$5,000	\$5,000	\$3,733	09/30/2019	
UP 2017-1082(ROP)	1	\$7,500	\$7,500	\$5,650	09/30/2019	
UP 2017-1083(SI)	1	\$5,000	\$5,000	\$3,900	09/30/2019	
UP 2017-1084(LI)	1	\$2,500	\$2,500	\$1,850	09/30/2019	
UP 2017-1085(LI)	1	\$2,500	\$2,500	\$1,850	09/30/2019	
UP 2017-1086(LI)	1	\$2,500	\$2,500	\$1,850	09/30/2019	
UP 2017-1087(RW)	1	\$1,500	\$1,500	\$853	09/30/2019	
UP 2018-20(SA)	1	\$5,000	\$5,000	\$3,880	09/30/2019	
UP 2018-30(TS)	1	\$5,000	\$5,000	\$3,900	09/30/2019	
UP 2018-46(ROP)	1	\$9,500	\$9,500	\$7,250	09/30/2019	
UP 2018-51(SA)	1	\$5,000	\$5,000	\$3,749	09/30/2019	
UP 2018-56(SA)	1	\$5,000	\$5,000	\$3,749	09/30/2019	
UP 2018-61(SA)	1	\$5,000	\$5,000	\$3,749	09/30/2019	
UP 2018-66(CC)	1	\$4,000	\$4,000	\$2,920	09/26/2019	
UP 2018-71(SA)	1	\$5,000	\$5,000	\$3,749	09/30/2019	
UP 2018-76(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2019	
UP 2018-81(SA)	1	\$5,000	\$5,000	\$3,749	09/30/2019	
UP 2018-86(SA)	1	\$5,000	\$5,000	\$3,749	09/30/2019	
UP 2018-91(LI)	1	\$2,500	\$2,500	\$1,850	09/30/2019	
UP 2018-96(SA)	1	\$5,000	\$5,000	\$3,801	09/30/2019	
UP 2018-100(GC)	1	\$5,000	\$5,000	\$3,850	09/30/2019	
UP 2018-101(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2019	
UP 2018-106(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2019	
UP 2018-110(FCS)	1	\$5,000	\$5,000	\$3,550	09/26/2019	
UP 2018-111(SI)	1	\$1,000	\$1,000	\$853	09/30/2019	
UP 2018-115(HS)	2	\$2,000	\$2,000	\$1,706	09/26/2019	
UP 2018-116(HS)	2	\$2,000	\$2,000	\$1,706	09/26/2019	
UP 2018-121(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2019	
UP 2018-123(TS)	1	\$5,000	\$5,000	\$3,900	09/30/2019	
UP 2018-125(FCS)	1	\$5,000	\$5,000	\$3,550	09/26/2019	
UP 2018-126(FCS)	1	\$5,000	\$5,000	\$3,550	09/26/2019	
UP 2018-131(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2019	
UP 2018-133(ROP)	1	\$5,000	\$5,000	\$3,750	09/30/2019	
UP 2018-141(SA)	1	\$2,500	\$2,500	\$1,500	09/30/2019	
UP 2018-143(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2019	
UP 2018-146(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2019	
UP 2018-148(FCS)	1	\$2,500	\$2,500	\$1,775	09/26/2019	
UP 2018-151(LI)	1	\$2,500	\$2,500	\$1,850	09/30/2019	
UP 2018-156(LI)	1	\$2,500	\$2,500	\$1,850	09/30/2019	
UP 2018-161(GC)	1	\$2,500	\$2,500	\$1,500	09/30/2019	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2018-163(SA)	1	\$5,000	\$5,000	\$3,749	09/30/2019	
UP 2018-166(SA)	1	\$5,000	\$5,000	\$3,749	09/30/2019	
UP 2018-171(FCS)	1	\$2,500	\$2,500	\$1,775	09/26/2019	
UP 2018-175(HMT)	1	\$2,000	\$2,000	\$1,561	09/30/2019	
UP 2018-180(LI)	2	\$4,000	\$4,000	\$2,750	09/30/2019	
UP 2018-185(ROP)	1	\$2,000	\$2,000	\$1,440	09/30/2019	
UP 2018-190(HMT)	2	\$4,000	\$4,000	\$3,049	09/30/2019	
UP 2018-194(HMT)	5	\$5,000	\$5,000	\$3,838	09/30/2019	
UP 2018-195(SA)	1	\$5,000	\$5,000	\$3,880	09/30/2019	
UP 2018-200(SA)	1	\$5,000	\$5,000	\$3,880	09/30/2019	
UP 2018-204(HMT)	1	\$2,000	\$2,000	\$1,561	09/30/2019	
UP 2018-205(SI)	1	\$2,500	\$2,500	\$1,900	09/30/2019	
UP 2018-210(ROP)	1	\$7,500	\$7,500	\$5,650	09/30/2019	
UP 2018-215(HS)	2	\$2,000	\$2,000	\$1,706	09/26/2019	
UP 2018-220(HMT)	1	\$2,000	\$2,000	\$1,561	09/30/2019	
UP 2018-223(TS)	1	\$5,000	\$5,000	\$3,900	09/30/2019	
UP 2018-228(GC)	1	\$5,000	\$5,000	\$4,000	09/30/2019	
UP 2018-233(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2019	
UP 2018-238(SA)	1	\$5,000	\$5,000	\$3,880	09/30/2019	
UP 2018-243(SA)	1	\$2,500	\$2,500	\$1,935	09/30/2019	
UP 2018-248(TS)	1	\$1,000	\$1,000	\$853	09/30/2019	
UP 2018-253(FCS)	1	\$5,000	\$5,000	\$3,550	09/26/2019	
UP 2018-261(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2019	
UP 2018-266(SA)	1	\$5,000	\$5,000	\$3,749	09/30/2019	
UP 2018-271(SA)	1	\$5,000	\$5,000	\$3,749	09/30/2019	
UP 2018-276(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2019	
UP 2018-281(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2019	
UP 2018-288(SA)	1	\$2,500	\$2,500	\$1,935	09/30/2019	
UP 2018-289(FCS)	1	\$2,500	\$2,500	\$1,775	09/26/2019	
UP 2018-294(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2019	
UP 2018-298(SA)	1	\$5,000	\$5,000	\$3,880	09/30/2019	
UP 2018-299(RW)	1	\$1,500	\$1,500	\$1,090	09/30/2019	
UP 2018-303(LI)	1	\$2,500	\$2,500	\$1,850	09/30/2019	
UP 2018-304(SA)	1	\$5,000	\$5,000	\$3,749	09/30/2019	
UP 2018-308(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2019	
UP 2018-309(HS)	2	\$2,000	\$2,000	\$1,706	09/26/2019	
UP 2018-313(SA)	1	\$5,000	\$5,000	\$3,880	09/30/2019	
UP 2018-314(ROP)	1	\$7,500	\$7,500	\$6,000	09/30/2019	
UP 2018-318(ROP)	1	\$2,000	\$2,000	\$1,440	09/30/2019	
UP 2018-319(ROP)	1	\$2,000	\$2,000	\$1,440	09/30/2019	
UP 2018-324(TS)	7	\$7,000	\$7,000	\$5,460	09/30/2019	
UP 2018-328(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2019	
UP 2018-329(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2019	
UP 2018-332(LI)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
UP 2018-333(LI)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
UP 2018-335(TS)	123	\$307,500	\$307,500	\$203,636	09/30/2019	
UP 2018-337(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2019	
UP 2018-338(SA)	1	\$5,000	\$5,000	\$3,749	09/30/2019	
UP 2018-341(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2019	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2018-342(SA)	1	\$5,000	\$5,000	\$3,749	09/30/2019	
UP 2018-343(SA)	1	\$5,000	\$5,000	\$3,749	09/30/2019	
UP 2018-345(HS)	2	\$2,000	\$2,000	\$1,706	09/26/2019	
UP 2018-347(HS)	2	\$2,000	\$2,000	\$1,706	09/26/2019	
UP 2018-348(HS)	2	\$2,000	\$2,000	\$1,706	09/26/2019	
UP 2018-350(HS)	2	\$2,000	\$2,000	\$1,706	09/26/2019	
UP 2018-352(HS)	3	\$3,000	\$3,000	\$2,559	09/26/2019	
UP 2018-353(HS)	2	\$2,000	\$2,000	\$1,706	09/26/2019	
UP 2018-355(HS)	3	\$3,000	\$3,000	\$2,559	09/26/2019	
UP 2018-356(HS)	2	\$2,000	\$2,000	\$1,706	09/26/2019	
UP 2018-357(HMT)	2	\$4,500	\$4,500	\$3,360	09/30/2019	
UP 2018-358(ROP)	1	\$2,000	\$2,000	\$1,440	09/30/2019	
UP 2018-359(HMT)	2	\$2,000	\$2,000	\$1,535	09/30/2019	
UP 2018-360(ROP)	1	\$9,500	\$9,500	\$7,250	09/30/2019	
UP 2018-361(ROP)	1	\$14,250	\$0	\$0	09/30/2019	Case Terminated.
UP 2018-362(SI)	1	\$2,500	\$2,500	\$1,950	09/30/2019	
UP 2018-363(HS)	2	\$2,000	\$2,000	\$1,706	09/26/2019	
UP 2018-364(HS)	2	\$2,000	\$2,000	\$1,706	09/26/2019	
UP 2018-365(SA)	1	\$5,000	\$5,000	\$3,749	09/30/2019	
UP 2018-366(SA)	1	\$7,500	\$7,500	\$5,820	09/30/2019	
UP 2018-367(SA)	1	\$5,000	\$5,000	\$3,749	09/30/2019	
UP 2018-368(SA)	1	\$2,500	\$2,500	\$1,935	09/30/2019	
UP 2018-369(SA)	1	\$2,500	\$2,500	\$1,935	09/30/2019	
UP 2018-370(SA)	1	\$2,500	\$2,500	\$1,935	09/30/2019	
UP 2018-371(SA)	1	\$5,000	\$5,000	\$3,880	09/30/2019	
UP 2018-372(SA)	1	\$2,500	\$2,500	\$1,927	09/30/2019	
UP 2018-373(SA)	1	\$5,000	\$5,000	\$3,749	09/30/2019	
UP 2018-374(SA)	1	\$5,000	\$5,000	\$3,749	09/30/2019	
UP 2018-375(ROP)	1	\$2,000	\$2,000	\$1,440	09/30/2019	
UP 2018-376(ROP)	1	\$2,000	\$2,000	\$1,440	09/30/2019	
UP 2018-377(ROP)	1	\$9,500	\$9,500	\$7,250	09/30/2019	
UP 2018-378(ROP)	1	\$7,500	\$7,500	\$5,650	09/30/2019	
UP 2018-379(ROP)	1	\$2,000	\$2,000	\$1,440	09/30/2019	
UP 2018-380(TH)	1	\$1,000	\$1,000	\$853	09/30/2019	
UP 2018-381(ROP)	1	\$7,500	\$7,500	\$5,650	09/30/2019	
UP 2018-382(ROP)	1	\$2,000	\$2,000	\$1,440	09/30/2019	
UP 2018-383(SA)	1	\$5,000	\$5,000	\$3,749	09/30/2019	
UP 2018-384(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2019	
UP 2018-385(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2019	
UP 2018-386(SA)	1	\$1,000	\$1,000	\$853	09/30/2019	
UP 2018-387(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2019	
UP 2018-388(SA)	1	\$2,500	\$2,500	\$1,935	09/30/2019	
UP 2018-389(SA)	1	\$2,500	\$2,500	\$1,935	09/30/2019	
UP 2018-390(FCS)	1	\$5,000	\$5,000	\$3,550	09/26/2019	
UP 2018-391(SA)	1	\$5,000	\$5,000	\$3,749	09/30/2019	
UP 2018-392(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2019	
UP 2018-393(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2019	
UP 2018-394(SA)	1	\$5,000	\$5,000	\$3,748	09/30/2019	
UP 2018-395(LI)	1	\$2,500	\$2,500	\$1,850	09/30/2019	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2018-396(LI)	1	\$4,000	\$4,000	\$2,960	09/30/2019	
UP 2018-397(LI)	1	\$2,500	\$2,500	\$1,850	09/30/2019	
UP 2018-398(SA)	1	\$5,000	\$5,000	\$3,748	09/30/2019	
UP 2018-399(SA)	1	\$5,000	\$5,000	\$3,748	09/30/2019	
UP 2018-400(ROP)	1	\$7,500	\$7,500	\$5,650	09/30/2019	
UP 2018-401(SA)	2	\$10,000	\$10,000	\$5,768	09/30/2019	
UP 2018-402(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2019	
UP 2018-403(LI)	1	\$2,500	\$2,500	\$1,850	09/30/2019	
UP 2018-404(HMT)	3	\$6,000	\$6,000	\$4,563	09/30/2019	
UP 2018-405(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2019	
UP 2018-406(CC)	1	\$15,000	\$15,000	\$10,950	09/26/2019	
UP 2018-407(HS)	2	\$2,000	\$0	\$0	09/26/2019	Case Terminated.
UP 2018-408(SA)	1	\$2,500	\$2,500	\$1,775	09/26/2019	
UP 2018-409(SA)	1	\$2,500	\$2,500	\$1,775	09/26/2019	
UP 2018-410(SA)	1	\$2,500	\$2,500	\$1,775	09/26/2019	
UP 2018-411(SA)	1	\$2,500	\$2,500	\$1,775	09/26/2019	
UP 2018-412(SA)	1	\$5,000	\$5,000	\$3,550	09/26/2019	
UP 2018-413(SA)	1	\$2,500	\$2,500	\$2,125	09/26/2019	
UP 2018-414(SA)	1	\$2,500	\$2,500	\$1,775	09/26/2019	
UP 2018-415(SA)	1	\$5,000	\$5,000	\$3,550	09/26/2019	
UP 2018-416(FCS)	1	\$5,000	\$5,000	\$3,550	09/26/2019	
UP 2018-417(FCS)	1	\$5,000	\$5,000	\$3,550	09/26/2019	
UP 2018-418(CC)	1	\$1,000	\$1,000	\$853	09/26/2019	
UP 2018-420(LI)	1	\$2,500	\$2,500	\$1,850	09/30/2019	
UP 2018-421(TS)	3	\$15,000	\$15,000	\$11,550	09/30/2019	
UP 2018-422(LI)	1	\$2,500	\$2,500	\$1,850	09/30/2019	
UP 2018-423(LI)	1	\$2,500	\$2,500	\$1,850	09/30/2019	
UP 2018-424(LI)	1	\$2,500	\$2,500	\$1,850	09/30/2019	
UP 2018-425(EQ)	3	\$15,000	\$15,000	\$11,550	09/30/2019	
UP 2018-427(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2019	
UP 2018-428(LI)	1	\$2,500	\$2,500	\$1,850	09/30/2019	
UP 2018-429(HMT)	1	\$5,000	\$5,000	\$3,811	09/30/2019	
UP 2018-430(HMT)	1	\$5,000	\$5,000	\$3,811	09/30/2019	
UP 2018-431(HMT)	2	\$10,000	\$10,000	\$7,674	09/30/2019	
UP 2018-432(HMT)	1	\$1,000	\$1,000	\$830	09/30/2019	
UP 2018-433(HMT)	1	\$4,000	\$4,000	\$2,987	09/30/2019	
UP 2018-434(HMT)	1	\$2,000	\$2,000	\$1,561	09/30/2019	
UP 2018-435(LI)	1	\$2,500	\$0	\$0	09/30/2019	Case Terminated.
UP 2018-436(ROP)	1	\$7,500	\$7,500	\$6,000	09/30/2019	
UP 2018-437(HMT)	1	\$2,500	\$2,500	\$1,938	09/30/2019	
UP 2018-438(SA)	1	\$2,500	\$2,500	\$1,775	09/26/2019	
UP 2018-439(SA)	1	\$5,000	\$5,000	\$3,550	09/26/2019	
UP 2018-440(SA)	1	\$2,500	\$2,500	\$1,775	09/26/2019	
UP 2018-441(SA)	1	\$5,000	\$5,000	\$3,550	09/26/2019	
UP 2018-442(SA)	1	\$5,000	\$5,000	\$3,550	09/26/2019	
UP 2018-443(SA)	1	\$2,500	\$2,500	\$1,775	09/26/2019	
UP 2018-444(SA)	1	\$2,500	\$2,500	\$1,775	09/26/2019	
UP 2018-445(SA)	1	\$2,500	\$2,500	\$1,775	09/26/2019	
UP 2018-446(SA)	1	\$2,500	\$2,500	\$1,775	09/26/2019	



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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2018-447(FCS)	1	\$2,500	\$2,500	\$1,775	09/26/2019	
UP 2018-448(SI)	1	\$2,500	\$2,500	\$1,950	09/30/2019	
UP 2018-449(HS)	1	\$1,000	\$1,000	\$853	09/26/2019	
UP 2018-450(HS)	1	\$1,000	\$1,000	\$853	09/26/2019	
UP 2018-451(TS)	1	\$1,000	\$1,000	\$853	09/30/2019	
UP 2018-452(SA)	1	\$5,000	\$5,000	\$3,550	09/26/2019	
UP 2018-453(SA)	1	\$2,500	\$2,500	\$1,775	09/26/2019	
UP 2018-454(TS)	2	\$10,000	\$10,000	\$7,500	09/30/2019	
UP 2018-455(TS)	1	\$5,000	\$5,000	\$3,850	09/30/2019	
UP 2018-456(TS)	1	\$5,000	\$5,000	\$3,850	09/30/2019	
UP 2018-457(SA)	1	\$5,000	\$5,000	\$3,550	09/26/2019	
UP 2018-458(FCS)	1	\$2,500	\$2,500	\$1,775	09/26/2019	
UP 2018-459(SA)	1	\$5,000	\$5,000	\$3,550	09/26/2019	
UP 2018-460(ROP)	1	\$2,000	\$2,000	\$1,440	09/30/2019	
UP 2018-461(HMT)	1	\$2,000	\$2,000	\$1,561	09/30/2019	
UP 2018-462(SA)	1	\$5,000	\$5,000	\$3,550	09/26/2019	
UP 2018-463(SA)	1	\$5,000	\$5,000	\$3,550	09/26/2019	
UP 2018-464(SA)	1	\$2,500	\$2,500	\$1,775	09/26/2019	
UP 2018-465(TS)	8	\$20,000	\$20,000	\$15,400	09/30/2019	
UP 2018-466(TS)	1	\$5,000	\$5,000	\$3,850	09/30/2019	
UP 2018-467(TS)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-468(TS)	1	\$5,000	\$5,000	\$3,850	09/30/2019	
UP 2018-469(TS)	2	\$10,000	\$10,000	\$7,700	09/30/2019	
UP 2018-470(LI)	1	\$1,000	\$1,000	\$853	09/30/2019	
UP 2018-471(TS)	2	\$5,000	\$5,000	\$3,850	09/30/2019	
UP 2018-472(AR)	1	\$1,000	\$1,000	\$853	09/30/2019	
UP 2018-473(HMT)	3	\$22,500	\$22,500	\$17,175	09/30/2019	
UP 2018-475(FCS)	1	\$2,500	\$2,500	\$1,775	09/26/2019	
UP 2018-478(LI)	1	\$2,500	\$2,500	\$1,850	09/30/2019	
UP 2018-479(LI)	1	\$2,500	\$2,500	\$1,850	09/30/2019	
UP 2018-480(FCS)	1	\$2,500	\$2,500	\$1,775	09/26/2019	
UP 2018-481(FCS)	1	\$2,500	\$2,500	\$1,775	09/26/2019	
UP 2018-482(FCS)	1	\$2,500	\$2,500	\$1,775	09/26/2019	
UP 2018-483(SA)	1	\$5,000	\$5,000	\$3,550	09/26/2019	
UP 2018-484(SA)	1	\$5,000	\$5,000	\$3,550	09/26/2019	
UP 2018-485(SA)	1	\$5,000	\$5,000	\$3,550	09/26/2019	
UP 2018-486(SA)	1	\$5,000	\$5,000	\$3,550	09/26/2019	
UP 2018-487(SA)	1	\$2,500	\$2,500	\$1,775	09/26/2019	
UP 2018-488(SA)	1	\$5,000	\$5,000	\$3,550	09/26/2019	
UP 2018-489(SA)	1	\$5,000	\$5,000	\$3,550	09/26/2019	
UP 2018-490(SA)	1	\$2,500	\$2,500	\$1,775	09/26/2019	
UP 2018-491(SA)	1	\$2,500	\$2,500	\$1,775	09/26/2019	
UP 2018-492(SA)	1	\$5,000	\$5,000	\$3,550	09/26/2019	
UP 2018-493(SA)	1	\$2,500	\$2,500	\$1,775	09/26/2019	
UP 2018-494(SA)	1	\$2,500	\$2,500	\$1,775	09/26/2019	
UP 2018-495(SA)	1	\$2,500	\$2,500	\$1,775	09/26/2019	
UP 2018-496(SA)	1	\$2,500	\$2,500	\$1,775	09/26/2019	
UP 2018-497(SA)	1	\$2,500	\$2,500	\$1,775	09/26/2019	
UP 2018-498(SA)	1	\$2,500	\$2,500	\$1,400	09/26/2019	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2018-499(HMT)	1	\$5,000	\$5,000	\$3,393	09/30/2019	
UP 2018-500(HMT)	1	\$5,000	\$5,000	\$3,824	09/30/2019	
UP 2018-501(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2019	
UP 2018-502(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2019	
UP 2018-503(SA)	1	\$2,500	\$2,500	\$1,775	09/26/2019	
UP 2018-504(SA)	1	\$5,000	\$5,000	\$4,250	09/26/2019	
UP 2018-505(SA)	1	\$5,000	\$5,000	\$3,550	09/26/2019	
UP 2018-506(SA)	2	\$5,000	\$5,000	\$3,550	09/26/2019	
UP 2018-507(SA)	1	\$2,500	\$2,500	\$1,775	09/26/2019	
UP 2018-508(SA)	1	\$5,000	\$5,000	\$3,550	09/26/2019	
UP 2018-509(SA)	1	\$2,500	\$2,500	\$1,775	09/26/2019	
UP 2018-510(SA)	1	\$5,000	\$5,000	\$3,550	09/26/2019	
UP 2018-511(SA)	1	\$5,000	\$5,000	\$3,550	09/26/2019	
UP 2018-512(SA)	1	\$2,500	\$2,500	\$1,775	09/26/2019	
UP 2018-513(HS)	1	\$1,000	\$1,000	\$853	09/26/2019	
UP 2018-514(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2019	
UP 2018-515(ROP)	1	\$5,000	\$5,000	\$3,750	09/30/2019	
UP 2018-516(ROP)	1	\$7,500	\$7,500	\$5,650	09/30/2019	
UP 2018-517(ROP)	1	\$7,500	\$7,500	\$5,650	09/30/2019	
UP 2018-518(ROP)	1	\$9,500	\$9,500	\$6,495	09/30/2019	
UP 2018-519(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2019	
UP 2018-520(FCS)	1	\$5,000	\$5,000	\$3,750	09/30/2019	
UP 2018-521(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2019	
UP 2018-522(SI)	1	\$2,500	\$2,500	\$1,950	09/30/2019	
UP 2018-523(SI)	1	\$2,500	\$2,500	\$1,950	09/30/2019	
UP 2018-524(SI)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-525(SA)	1	\$5,000	\$5,000	\$3,550	09/26/2019	
UP 2018-526(SA)	1	\$2,500	\$2,500	\$1,775	09/26/2019	
UP 2018-527(SA)	1	\$2,500	\$2,500	\$1,775	09/26/2019	
UP 2018-528(SA)	1	\$5,000	\$5,000	\$3,550	09/26/2019	
UP 2018-529(SA)	1	\$5,000	\$5,000	\$3,550	09/26/2019	
UP 2018-530(SA)	1	\$2,500	\$2,500	\$1,775	09/26/2019	
UP 2018-531(SA)	1	\$2,500	\$2,500	\$1,775	09/26/2019	
UP 2018-532(SA)	1	\$2,500	\$2,500	\$1,775	09/26/2019	
UP 2018-533(SA)	1	\$2,500	\$2,500	\$1,775	09/26/2019	
UP 2018-534(SA)	1	\$5,000	\$5,000	\$3,550	09/26/2019	
UP 2018-535(HSR)	2	\$2,000	\$2,000	\$1,750	09/26/2019	
UP 2018-536(HSR)	2	\$2,000	\$2,000	\$1,706	09/26/2019	
UP 2018-537(TS)	1	\$5,000	\$5,000	\$3,400	09/30/2019	
UP 2018-538(TS)	4	\$10,000	\$10,000	\$7,700	09/30/2019	
UP 2018-539(TS)	3	\$7,500	\$7,500	\$5,550	09/26/2019	
UP 2018-540(TS)	1	\$1,000	\$1,000	\$853	09/26/2019	
UP 2018-541(TS)	2	\$7,500	\$7,500	\$5,550	09/26/2019	
UP 2018-542(TS)	1	\$5,000	\$5,000	\$3,800	09/26/2019	
UP 2018-543(LI)	1	\$2,500	\$2,500	\$1,850	09/30/2019	
UP 2018-544(TS)	2	\$5,000	\$5,000	\$3,700	09/26/2019	
UP 2018-545(HS)	2	\$2,000	\$0	\$0	09/26/2019	Case Terminated/
UP 2018-548(HS)	1	\$1,000	\$0	\$0	09/26/2019	Case Terminated.
UP 2018-549(HMT)	2	\$8,000	\$8,000	\$6,140	09/30/2019	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2018-550(HS)	2	\$2,000	\$0	\$0	09/26/2019	Case Terminated.
UP 2018-552(HS)	2	\$2,000	\$0	\$0	09/26/2019	Case Terminated.
UP 2018-554(HS)	2	\$2,000	\$0	\$0	09/26/2019	Case Terminated.
UP 2018-555(HS)	1	\$1,000	\$1,000	\$853	09/26/2019	
UP 2018-556(SA)	1	\$5,000	\$5,000	\$3,550	09/26/2019	
UP 2018-557(SA)	1	\$5,000	\$5,000	\$4,250	09/26/2019	
UP 2018-558(SA)	1	\$2,500	\$2,500	\$1,775	09/26/2019	
UP 2018-559(SA)	1	\$2,500	\$2,500	\$1,775	09/26/2019	
UP 2018-560(SA)	1	\$5,000	\$5,000	\$3,550	09/26/2019	
UP 2018-561(HMT)	2	\$10,000	\$10,000	\$7,701	09/30/2019	
UP 2018-562(TS)	1	\$5,000	\$5,000	\$3,700	09/26/2019	
UP 2018-563(TS)	3	\$15,000	\$15,000	\$11,100	09/26/2019	
UP 2018-564(TS)	2	\$10,000	\$10,000	\$7,400	09/26/2019	
UP 2018-565(ROP)	1	\$2,000	\$2,000	\$1,440	09/30/2019	
UP 2018-566(ROP)	1	\$9,500	\$9,500	\$6,800	09/30/2019	
UP 2018-568(SA)	1	\$2,500	\$2,500	\$1,775	09/26/2019	
UP 2018-569(SA)	1	\$5,000	\$5,000	\$4,250	09/26/2019	
UP 2018-570(SA)	1	\$2,500	\$2,500	\$1,775	09/26/2019	
UP 2018-571(SA)	1	\$5,000	\$5,000	\$3,550	09/26/2019	
UP 2018-573(SA)	1	\$2,500	\$2,500	\$1,775	09/26/2019	
UP 2018-574(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2019	
UP 2018-575(TS)	1	\$5,000	\$5,000	\$3,700	09/26/2019	
UP 2018-576(TS)	10	\$19,000	\$19,000	\$14,456	09/26/2019	
UP 2018-577(TS)	2	\$5,000	\$5,000	\$3,700	09/26/2019	
UP 2018-578(TS)	1	\$5,000	\$5,000	\$3,700	09/26/2019	
UP 2018-580(LI)	1	\$2,500	\$2,500	\$1,850	09/30/2019	
UP 2018-581(TS)	2	\$3,500	\$3,500	\$2,553	09/26/2019	
UP 2018-582(RW)	1	\$2,000	\$2,000	\$1,486	09/30/2019	
UP 2018-583(TS)	1	\$2,500	\$2,500	\$853	09/26/2019	
UP 2018-585(LI)	1	\$5,000	\$5,000	\$3,700	09/30/2019	
UP 2018-586(LI)	1	\$2,500	\$2,500	\$1,850	09/30/2019	
UP 2018-587(TS)	2	\$7,500	\$7,500	\$5,550	09/26/2019	
UP 2018-588(TS)	1	\$2,500	\$2,500	\$2,252	09/26/2019	
UP 2018-590(SI)	1	\$1,000	\$1,000	\$853	09/30/2019	
UP 2018-591(SA)	1	\$2,500	\$2,500	\$1,775	09/26/2019	
UP 2018-592(HS)	2	\$2,000	\$2,000	\$1,706	09/26/2019	
UP 2018-593(HS)	1	\$853	\$853	\$853	09/26/2019	
UP 2018-595(SA)	1	\$5,000	\$2,500	\$1,900	09/26/2019	Partially Terminated Violation(s): 1.
UP 2018-596(TS)	1	\$5,000	\$5,000	\$3,700	09/26/2019	
UP 2018-597(TS)	1	\$2,500	\$2,500	\$1,850	09/26/2019	
UP 2018-598(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2019	
UP 2018-600(SA)	1	\$2,500	\$2,500	\$1,775	09/26/2019	
UP 2018-601(SA)	3	\$15,000	\$15,000	\$10,650	09/26/2019	
UP 2018-602(SA)	1	\$5,000	\$5,000	\$3,550	09/26/2019	
UP 2018-603(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2019	
UP 2018-605(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2019	
UP 2018-606(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2019	
UP 2018-607(HMT)	1	\$7,500	\$7,500	\$5,762	09/30/2019	
UP 2018-608(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2019	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2018-610(LI)	1	\$2,500	\$2,500	\$1,250	09/30/2019	
UP 2018-611(HMT)	1	\$5,000	\$5,000	\$3,824	09/30/2019	
UP 2018-612(LI)	1	\$5,000	\$5,000	\$3,700	09/30/2019	
UP 2018-614(SA)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-615(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2019	
UP 2018-616(SA)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-617(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2019	
UP 2018-619(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2019	
UP 2018-620(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2019	
UP 2018-621(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2019	
UP 2018-622(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2019	
UP 2018-624(ROP)	1	\$2,000	\$2,000	\$1,440	09/30/2019	
UP 2018-625(TS)	1	\$2,500	\$2,500	\$1,850	09/26/2019	
UP 2018-626(TS)	1	\$2,500	\$2,500	\$1,850	09/26/2019	
UP 2018-627(LI)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
UP 2018-630(CC)	1	\$1,000	\$1,000	\$853	09/26/2019	
UP 2018-631(ROP)	1	\$7,500	\$7,500	\$5,550	09/30/2019	
UP 2018-632(HS)	2	\$2,000	\$2,000	\$1,706	09/26/2019	
UP 2018-634(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2019	
UP 2018-635(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2019	
UP 2018-636(HMT)	1	\$7,500	\$7,500	\$5,618	09/30/2019	
UP 2018-637(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2019	
UP 2018-639(HMT)	1	\$5,000	\$5,000	\$3,824	09/30/2019	
UP 2018-640(TS)	1	\$2,500	\$2,500	\$2,000	09/30/2019	
UP 2018-641(TS)	1	\$2,500	\$2,500	\$2,000	09/30/2019	
UP 2018-642(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2019	
UP 2018-644(FCS)	5	\$10,000	\$10,000	\$5,000	09/30/2019	
UP 2018-645(TS)	1	\$2,500	\$2,500	\$2,000	09/30/2019	
UP 2018-646(GC)	1	\$5,000	\$5,000	\$4,250	09/30/2019	
UP 2018-649(TS)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-650(FCS)	1	\$5,000	\$5,000	\$3,750	09/30/2019	
UP 2018-651(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2019	
UP 2018-652(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2019	
UP 2018-654(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2019	
UP 2018-655(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2019	
UP 2018-656(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2019	
UP 2018-657(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2019	
UP 2018-659(SA)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-660(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2019	
UP 2018-661(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2019	
UP 2018-662(SA)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-664(SA)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-665(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2019	
UP 2018-666(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2019	
UP 2018-667(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2019	
UP 2018-669(SA)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-670(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2019	
UP 2018-671(SA)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-672(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2019	

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UP 2018-674(SA)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-675(SA)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-676(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2019	
UP 2018-677(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2019	
UP 2018-679(SA)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-680(SA)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-681(SA)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-682(SA)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-684(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2019	
UP 2018-685(SA)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-686(SA)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-687(SA)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-689(SA)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-690(SA)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-691(SA)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-692(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2019	
UP 2018-694(SA)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-695(SA)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-696(SA)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-697(SA)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-699(SA)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-700(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2019	
UP 2018-701(SA)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-704(ROP)	1	\$2,000	\$2,000	\$1,440	09/30/2019	
UP 2018-705(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2019	
UP 2018-706(SA)	4	\$20,000	\$15,000	\$15,000	09/30/2019	Partially Terminated Violation(s): 1.
UP 2018-707(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2019	
UP 2018-709(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2019	
UP 2018-710(LI)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-711(HMT)	2	\$10,000	\$10,000	\$7,649	09/30/2019	
UP 2018-712(FCS)	1	\$5,000	\$5,000	\$3,750	09/30/2019	
UP 2018-714(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2019	
UP 2018-715(SA)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-716(SA)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-717(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2019	
UP 2018-719(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2019	
UP 2018-720(SA)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-721(SA)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-722(CC)	1	\$15,000	\$15,000	\$12,000	09/26/2019	
UP 2018-724(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2019	
UP 2018-725(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2019	
UP 2018-726(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2019	
UP 2018-727(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2019	
UP 2018-729(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2019	
UP 2018-730(ROP)	1	\$5,000	\$5,000	\$3,750	09/30/2019	
UP 2018-731(FCS)	1	\$5,000	\$5,000	\$3,750	09/30/2019	
UP 2018-732(FCS)	1	\$3,750	\$3,750	\$2,813	09/30/2019	
UP 2018-734(FCS)	1	\$6,000	\$6,000	\$4,500	09/30/2019	
UP 2018-735(FCS)	1	\$6,000	\$6,000	\$4,500	09/30/2019	

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UP 2018-736(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2019	
UP 2018-737(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2019	
UP 2018-739(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2019	
UP 2018-740(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2019	
UP 2018-741(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2019	
UP 2018-742(SA)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-744(SA)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-745(SA)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-746(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2019	
UP 2018-747(SA)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-749(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2019	
UP 2018-750(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2019	
UP 2018-751(SA)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-752(SA)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-754(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2019	
UP 2018-755(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2019	
UP 2018-756(HMT)	1	\$2,000	\$2,000	\$1,561	09/30/2019	
UP 2018-757(FCS)	1	\$6,000	\$6,000	\$4,620	09/30/2019	
UP 2018-759(SA)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-760(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
UP 2018-761(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
UP 2018-762(SA)	1	\$2,000	\$2,000	\$1,440	09/30/2019	
UP 2018-764(FCS)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-765(HMT)	1	\$5,000	\$5,000	\$3,824	09/30/2019	
UP 2018-766(HMT)	1	\$5,000	\$5,000	\$3,824	09/30/2019	
UP 2018-767(HMT)	1	\$5,000	\$5,000	\$3,824	09/30/2019	
UP 2018-769(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
UP 2018-770(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
UP 2018-771(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2019	
UP 2018-772(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
UP 2018-774(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2019	
UP 2018-775(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2019	
UP 2018-776(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2019	
UP 2018-779(TS)	1	\$5,000	\$5,000	\$3,750	09/30/2019	
UP 2018-780(HMT)	1	\$2,000	\$2,000	\$1,561	09/30/2019	
UP 2018-781(HMT)	1	\$5,000	\$5,000	\$3,824	09/30/2019	
UP 2018-782(HMT)	1	\$3,000	\$3,000	\$2,316	09/30/2019	
UP 2018-784(HMT)	1	\$4,000	\$4,000	\$3,069	09/30/2019	
UP 2018-785(HMT)	1	\$5,000	\$5,000	\$3,824	09/30/2019	
UP 2018-786(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2019	
UP 2018-787(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2019	
UP 2018-788(ROP)	1	\$7,500	\$7,500	\$6,000	09/30/2019	
UP 2018-789(HMT)	1	\$2,000	\$2,000	\$1,561	09/30/2019	
UP 2018-790(HMT)	1	\$2,000	\$2,000	\$870	09/30/2019	
UP 2018-791(SA)	2	\$4,000	\$4,000	\$2,975	09/30/2019	
UP 2018-793(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
UP 2018-794(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2019	
UP 2018-795(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2019	
UP 2018-796(SA)	2	\$10,000	\$10,000	\$7,600	09/30/2019	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2018-798(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2019	
UP 2018-799(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2019	
UP 2018-800(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
UP 2018-801(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
UP 2018-803(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
UP 2018-804(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
UP 2018-805(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
UP 2018-806(SA)	1	\$2,500	\$2,500	\$1,550	09/30/2019	
UP 2018-809(FCS)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-810(FCS)	1	\$5,000	\$5,000	\$3,850	09/30/2019	
UP 2018-811(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2019	
UP 2018-813(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
UP 2018-814(HS)	2	\$2,000	\$2,000	\$1,706	09/26/2019	
UP 2018-818(LI)	1	\$2,500	\$2,500	\$1,575	09/30/2019	
UP 2018-819(LI)	1	\$2,500	\$2,500	\$1,575	09/30/2019	
UP 2018-820(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2019	
UP 2018-821(LI)	1	\$1,000	\$1,000	\$853	09/30/2019	
UP 2018-823(TS)	2	\$5,000	\$5,000	\$3,750	09/30/2019	
UP 2018-824(TS)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-825(TS)	1	\$5,000	\$5,000	\$3,750	09/30/2019	
UP 2018-826(TS)	1	\$2,500	\$2,500	\$2,000	09/30/2019	
UP 2018-828(HMT)	1	\$5,000	\$5,000	\$3,824	09/30/2019	
UP 2018-829(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
UP 2018-830(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
UP 2018-831(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2019	
UP 2018-833(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2019	
UP 2018-834(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2019	
UP 2018-835(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2019	
UP 2018-836(ROP)	1	\$7,500	\$7,500	\$6,000	09/30/2019	
UP 2018-838(ROP)	1	\$7,500	\$0	\$0	09/30/2019	Case Terminated.
UP 2018-839(ROP)	1	\$5,000	\$5,000	\$3,750	09/30/2019	
UP 2018-840(ROP)	1	\$7,500	\$2,000	\$2,000	09/30/2019	Partially Terminated Violation(s): 1.
UP 2018-843(HMT)	2	\$11,500	\$11,500	\$8,832	09/30/2019	
UP 2018-844(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2019	
UP 2018-845(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
UP 2018-846(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
UP 2018-848(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2019	
UP 2018-849(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2019	
UP 2018-850(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
UP 2018-851(SA)	2	\$4,000	\$4,000	\$2,975	09/30/2019	
UP 2018-853(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
UP 2018-854(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
UP 2018-855(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
UP 2018-856(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
UP 2018-858(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
UP 2018-859(FCS)	2	\$5,000	\$5,000	\$3,850	09/30/2019	
UP 2018-860(FCS)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-861(FCS)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-863(ROP)	1	\$9,500	\$9,500	\$7,200	09/30/2019	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2018-864(AD)	1	\$2,500	\$0	\$0	09/30/2019	Case Terminated.
UP 2018-865(AD)	1	\$2,500	\$2,500	\$1,850	09/30/2019	
UP 2018-866(LI)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-868(LI)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-869(LI)	1	\$4,000	\$4,000	\$3,080	09/30/2019	
UP 2018-870(LI)	1	\$2,500	\$2,500	\$2,000	09/30/2019	
UP 2018-871(LI)	1	\$1,000	\$1,000	\$853	09/30/2019	
UP 2018-873(LI)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-874(GC)	1	\$5,000	\$5,000	\$4,250	09/30/2019	
UP 2018-875(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2019	
UP 2018-876(HMT)	5	\$10,000	\$10,000	\$7,649	09/30/2019	
UP 2018-878(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2019	
UP 2018-879(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2019	
UP 2018-880(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2019	
UP 2018-882(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2019	
UP 2018-883(SA)	1	\$7,500	\$7,500	\$5,650	09/30/2019	
UP 2018-884(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2019	
UP 2018-885(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
UP 2018-887(FCS)	1	\$5,000	\$5,000	\$3,850	09/30/2019	
UP 2018-888(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
UP 2018-889(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
UP 2018-890(HMT)	1	\$5,000	\$5,000	\$3,824	09/30/2019	
UP 2018-892(GC)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-893(GC)	1	\$5,000	\$5,000	\$3,850	09/30/2019	
UP 2018-894(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2019	
UP 2018-895(TS)	3	\$3,000	\$3,000	\$2,400	09/30/2019	
UP 2018-897(HMT)	1	\$4,000	\$4,000	\$3,069	09/30/2019	
UP 2018-898(HMT)	1	\$1,000	\$1,000	\$830	09/30/2019	
UP 2018-901(HMT)	1	\$1,000	\$1,000	\$830	09/30/2019	
UP 2018-902(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
UP 2018-903(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
UP 2018-904(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
UP 2018-906(ROP)	1	\$7,500	\$7,500	\$6,000	09/30/2019	
UP 2018-907(ROP)	1	\$7,500	\$7,500	\$6,000	09/30/2019	
UP 2018-908(ROP)	1	\$2,000	\$2,000	\$1,440	09/30/2019	
UP 2018-909(ROP)	1	\$3,000	\$3,000	\$1,955	09/30/2019	
UP 2018-911(ROP)	1	\$7,500	\$7,500	\$5,650	09/30/2019	
UP 2018-912(SI)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-913(HMT)	1	\$2,000	\$2,000	\$1,561	09/30/2019	
UP 2018-914(HMT)	1	\$5,000	\$5,000	\$3,824	09/30/2019	
UP 2018-916(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2019	
UP 2018-917(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2019	
UP 2018-918(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
UP 2018-919(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2019	
UP 2018-921(HS)	2	\$2,000	\$2,000	\$1,706	09/26/2019	
UP 2018-923(HMT)	1	\$4,000	\$4,000	\$3,069	09/30/2019	
UP 2018-924(HMT)	1	\$5,000	\$5,000	\$3,824	09/30/2019	
UP 2018-925(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2019	
UP 2018-926(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2019	



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UP 2018-928(FCS)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-929(HMT)	2	\$10,000	\$10,000	\$7,649	09/30/2019	
UP 2018-930(FCS)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-931(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
UP 2018-933(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
UP 2018-934(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2019	
UP 2018-935(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2019	
UP 2018-936(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
UP 2018-938(FCS)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-939(FCS)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-940(FCS)	1	\$5,000	\$5,000	\$3,850	09/30/2019	
UP 2018-941(FCS)	1	\$5,000	\$5,000	\$3,850	09/30/2019	
UP 2018-943(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2019	
UP 2018-944(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
UP 2018-945(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2019	
UP 2018-946(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2019	
UP 2018-948(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2019	
UP 2018-949(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2019	
UP 2018-950(AD)	2	\$5,000	\$5,000	\$3,700	09/30/2019	
UP 2018-951(AD)	1	\$2,500	\$2,500	\$1,850	09/30/2019	
UP 2018-953(HMT)	1	\$5,000	\$5,000	\$3,824	09/30/2019	
UP 2018-954(HMT)	1	\$5,000	\$5,000	\$3,824	09/30/2019	
UP 2018-955(HMT)	1	\$2,000	\$2,000	\$1,561	09/30/2019	
UP 2018-956(HMT)	3	\$15,000	\$15,000	\$11,472	09/30/2019	
UP 2018-958(LI)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-960(LI)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-961(LI)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-962(LI)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-964(HMT)	2	\$4,000	\$4,000	\$3,069	09/30/2019	
UP 2018-965(HMT)	1	\$2,000	\$2,000	\$1,561	09/30/2019	
UP 2018-966(HMT)	2	\$14,000	\$14,000	\$10,718	09/30/2019	
UP 2018-967(AD)	1	\$2,500	\$2,500	\$1,850	09/30/2019	
UP 2018-969(AD)	1	\$2,500	\$2,500	\$1,850	09/30/2019	
UP 2018-970(AD)	1	\$2,500	\$2,500	\$1,850	09/30/2019	
UP 2018-971(ROP)	1	\$7,500	\$7,500	\$5,650	09/30/2019	
UP 2018-972(HS)	2	\$2,000	\$2,000	\$1,706	09/26/2019	
UP 2018-974(ROP)	1	\$9,500	\$9,500	\$6,800	09/30/2019	
UP 2018-975(ROP)	1	\$7,500	\$7,500	\$5,650	09/30/2019	
UP 2018-976(CC)	1	\$7,500	\$0	\$0	09/26/2019	Case Terminated.
UP 2018-979(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2019	
UP 2018-980(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2019	
UP 2018-981(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2019	
UP 2018-982(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2019	
UP 2018-984(TS)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-985(TS)	1	\$2,500	\$2,500	\$2,000	09/30/2019	
UP 2018-986(TS)	2	\$5,000	\$5,000	\$4,000	09/30/2019	
UP 2018-987(TS)	1	\$5,000	\$5,000	\$3,762	09/30/2019	
UP 2018-989(TS)	1	\$2,500	\$2,500	\$2,000	09/30/2019	
UP 2018-990(HSR)	1	\$1,000	\$1,000	\$853	09/26/2019	

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UP 2018-991(HMT)	1	\$7,500	\$7,500	\$5,762	09/30/2019	
UP 2018-992(HMT)	1	\$1,000	\$1,000	\$830	09/30/2019	
UP 2018-994(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2019	
UP 2018-995(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2019	
UP 2018-996(SI)	1	\$5,000	\$5,000	\$3,850	09/30/2019	
UP 2018-997(HS)	2	\$2,000	\$2,000	\$1,706	09/26/2019	
UP 2018-999(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2019	
UP 2018-1000(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2019	
UP 2018-1001(FCS)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-1002(TS)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2018-1004(HMT)	1	\$5,000	\$5,000	\$3,824	09/30/2019	
UP 2018-1005(HSR)	1	\$1,000	\$1,000	\$853	09/26/2019	
UP 2018-1006(HMT)	1	\$2,000	\$2,000	\$1,561	09/30/2019	
UP 2018-1007(HMT)	1	\$5,000	\$5,000	\$3,824	09/30/2019	
UP 2018-1009(ROP)	1	\$2,000	\$2,000	\$1,440	09/30/2019	
UP 2018-1010(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2019	
UP 2018-1011(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2019	
UP 2018-1012(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2019	
UP 2018-1014(ROP)	1	\$7,500	\$7,500	\$5,650	09/30/2019	
UP 2018-1015(ROP)	1	\$7,500	\$7,500	\$5,650	09/30/2019	
UP 2018-1016(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2019	
UP 2018-1017(SA)	1	\$3,750	\$3,750	\$2,925	09/30/2019	
UP 2018-1019(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2019	
UP 2018-1020(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2019	
UP 2018-1021(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2019	
UP 2018-1022(SI)	2	\$5,000	\$5,000	\$3,750	09/30/2019	
UP 2018-1023(SI)	1	\$1,000	\$1,000	\$853	09/30/2019	
UP 2018-1024(GC)	1	\$2,500	\$2,500	\$1,500	09/30/2019	
UP 2018-1025(GC)	1	\$2,500	\$2,500	\$1,500	09/30/2019	
UP 2018-1026(HMT)	1	\$2,000	\$2,000	\$1,561	09/30/2019	
UP 2018-1027(RW)	1	\$3,000	\$3,000	\$2,280	09/30/2019	
UP 2018-1029(LI)	1	\$2,000	\$2,000	\$1,540	09/30/2019	
UP 2018-1030(HMT)	1	\$10,000	\$10,000	\$7,701	09/30/2019	
UP 2018-1031(HMT)	2	\$10,000	\$10,000	\$7,701	09/30/2019	
UP 2018-1032(HMT)	1	\$1,000	\$1,000	\$830	09/30/2019	
UP 2018-1034(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2019	
UP 2018-1035(HMT)	1	\$2,000	\$2,000	\$1,561	09/30/2019	
UP 2018-1036(LI)	1	\$5,000	\$5,000	\$4,000	09/30/2019	
UP 2018-1037(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2019	
UP 2018-1039(HS)	2	\$2,000	\$2,000	\$1,706	09/26/2019	
UP 2018-1040(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2019	
UP 2018-1041(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2019	
UP 2018-1042(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2019	
UP 2018-1043(HMT)	1	\$2,000	\$2,000	\$1,561	09/30/2019	
UP 2018-1044(HMT)	1	\$2,000	\$2,000	\$1,561	09/30/2019	
UP 2018-1046(HMT)	3	\$3,000	\$3,000	\$2,310	09/30/2019	
UP 2018-1047(LI)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2019-1(ROP)	1	\$1,000	\$1,000	\$870	09/30/2019	
UP 2019-2(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2019	

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UP 2019-4(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2019	
UP 2019-6(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2019	
UP 2019-7(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2019	
UP 2019-8(LI)	1	\$2,000	\$2,000	\$1,540	09/30/2019	
UP 2019-10(HMT)	3	\$15,000	\$15,000	\$11,381	09/30/2019	
UP 2019-11(HMT)	1	\$6,000	\$6,000	\$4,563	09/30/2019	
UP 2019-12(LI)	1	\$3,000	\$3,000	\$2,310	09/30/2019	
UP 2019-13(TS)	1	\$5,000	\$5,000	\$3,850	09/30/2019	
UP 2019-14(TS)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2019-16(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2019	
UP 2019-17(FCS)	1	\$5,000	\$5,000	\$3,850	09/30/2019	
UP 2019-18(ROP)	1	\$5,000	\$5,000	\$4,000	09/30/2019	
UP 2019-19(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2019	
UP 2019-21(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2019	
UP 2019-22(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2019	
UP 2019-23(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2019	
UP 2019-24(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2019	
UP 2019-26(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2019	
UP 2019-27(HMT)	2	\$4,000	\$4,000	\$3,059	09/30/2019	
UP 2019-28(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2019	
UP 2019-29(ROP)	1	\$7,500	\$7,500	\$5,650	09/30/2019	
UP 2019-31(ROP)	1	\$7,500	\$7,500	\$6,000	09/30/2019	
UP 2019-32(HMT)	1	\$10,000	\$10,000	\$7,649	09/30/2019	
UP 2019-33(HMT)	4	\$30,000	\$30,000	\$22,945	09/30/2019	
UP 2019-34(HMT)	1	\$79,976	\$79,976	\$61,382	09/30/2019	
UP 2019-36(TS)	1	\$1,000	\$1,000	\$870	09/30/2019	
UP 2019-37(TS)	3	\$7,500	\$7,500	\$6,000	09/30/2019	
UP 2019-38(HMT)	1	\$2,000	\$2,000	\$1,561	09/30/2019	
UP 2019-39(AD)	1	\$5,000	\$5,000	\$3,700	09/30/2019	
UP 2019-41(HMT)	2	\$11,500	\$11,500	\$8,719	09/30/2019	
UP 2019-42(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2019	
UP 2019-43(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2019	
UP 2019-44(TS)	1	\$5,000	\$5,000	\$3,850	09/30/2019	
UP 2019-46(LI)	1	\$1,000	\$1,000	\$870	09/30/2019	
UP 2019-47(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2019	
UP 2019-48(FCS)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2019-49(FCS)	1	\$2,500	\$2,500	\$2,000	09/30/2019	
UP 2019-51(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2019	
UP 2019-52(EQ)	1	\$5,000	\$5,000	\$3,850	09/30/2019	
UP 2019-53(ROP)	1	\$2,000	\$2,000	\$1,440	09/30/2019	
UP 2019-54(SA)	2	\$5,000	\$5,000	\$3,700	09/30/2019	
UP 2019-56(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2019	
UP 2019-57(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2019	
UP 2019-58(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2019	
UP 2019-59(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2019	
UP 2019-61(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2019	
UP 2019-62(HMT)	1	\$5,000	\$5,000	\$3,824	09/30/2019	
UP 2019-63(HMT)	3	\$6,000	\$6,000	\$4,547	09/30/2019	
UP 2019-64(FCS)	1	\$2,500	\$2,500	\$1,925	09/30/2019	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2019-66(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2019	
UP 2019-67(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2019	
UP 2019-68(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2019	
UP 2019-69(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2019	
UP 2019-71(SA)	1	\$25,000	\$25,000	\$19,500	09/30/2019	
UP 2019-72(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2019	
UP 2019-73(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2019	
UP 2019-74(ROP)	1	\$7,500	\$7,500	\$5,650	09/30/2019	
UP 2019-76(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2019	
UP 2019-77(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2019	
UP 2019-78(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2019	
UP 2019-79(TS)	1	\$5,000	\$5,000	\$3,850	09/30/2019	
UP 2019-81(TS)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2019-82(TS)	1	\$5,000	\$5,000	\$3,850	09/30/2019	
UP 2019-83(TS)	2	\$7,500	\$7,500	\$6,000	09/30/2019	
UP 2019-84(LI)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2019-85(TS)	2	\$7,500	\$7,500	\$5,750	09/30/2019	
UP 2019-86(HMT)	2	\$7,500	\$7,500	\$5,671	09/30/2019	
UP 2019-87(HMT)	2	\$7,500	\$7,500	\$5,000	09/30/2019	
UP 2019-88(HMT)	4	\$20,000	\$20,000	\$15,296	09/30/2019	
UP 2019-89(ROP)	1	\$2,000	\$2,000	\$1,440	09/30/2019	
UP 2019-90(RMM)	1	\$10,000	\$10,000	\$6,000	09/30/2019	
UP 2019-91(HMT)	10	\$20,000	\$20,000	\$15,296	09/30/2019	
UP 2019-92(TS)	1	\$5,000	\$5,000	\$3,850	09/30/2019	
UP 2019-93(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2019	
UP 2019-94(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2019	
UP 2019-95(GC)	1	\$5,000	\$5,000	\$4,000	09/30/2019	
UP 2019-96(SI)	1	\$2,500	\$2,500	\$2,000	09/30/2019	
UP 2019-97(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2019	
UP 2019-98(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2019	
UP 2019-99(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2019	
UP 2019-100(HMT)	2	\$9,500	\$9,500	\$7,271	09/30/2019	
UP 2019-101(HMT)	4	\$10,000	\$10,000	\$7,649	09/30/2019	
UP 2019-102(HMT)	1	\$6,000	\$6,000	\$4,547	09/30/2019	
UP 2019-103(HMT)	1	\$6,000	\$6,000	\$4,547	09/30/2019	
UP 2019-104(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2019	
UP 2019-105(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2019	
UP 2019-106(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2019	
UP 2019-107(FCS)	1	\$5,000	\$5,000	\$853	09/30/2019	
UP 2019-108(ROP)	1	\$5,000	\$0	\$0	09/30/2019	Case Terminated.
UP 2019-109(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2019	
UP 2019-110(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2019	
UP 2019-111(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2019	
UP 2019-112(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2019	
UP 2019-113(FCS)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2019-114(FCS)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2019-115(FCS)	1	\$5,000	\$5,000	\$4,000	09/30/2019	
UP 2019-116(LI)	1	\$1,000	\$1,000	\$853	09/30/2019	
UP 2019-117(HMT)	1	\$7,500	\$7,500	\$5,762	09/30/2019	

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UP 2019-118(ROP)	1	\$5,000	\$5,000	\$4,000	09/30/2019	
UP 2019-119(ROP)	2	\$15,000	\$15,000	\$11,400	09/30/2019	
UP 2019-121(TS)	1	\$2,500	\$2,500	\$2,000	09/30/2019	
UP 2019-122(SI)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2019-123(ROP)	1	\$2,000	\$2,000	\$1,440	09/30/2019	
UP 2019-125(HMT)	1	\$7,500	\$7,500	\$5,599	09/30/2019	
UP 2019-128(HMT)	1	\$2,000	\$2,000	\$1,561	09/30/2019	
UP 2019-130(HS)	2	\$2,000	\$2,000	\$1,706	09/26/2019	
UP 2019-131(HS)	2	\$2,000	\$0	\$0	09/26/2019	Case Terminated.
UP 2019-132(HS)	3	\$3,000	\$3,000	\$2,610	09/26/2019	
UP 2019-133(HS)	3	\$3,000	\$3,000	\$2,610	09/26/2019	
UP 2019-135(EQ)	1	\$1,000	\$1,000	\$870	09/30/2019	
UP 2019-136(EQ)	1	\$2,500	\$2,500	\$1,575	09/30/2019	
UP 2019-137(RW)	1	\$1,500	\$1,500	\$853	09/30/2019	
UP 2019-138(LI)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2019-140(FCS)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2019-141(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2019	
UP 2019-142(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2019	
UP 2019-143(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2019	
UP 2019-145(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2019	
UP 2019-146(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2019	
UP 2019-147(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2019	
UP 2019-148(FCS)	1	\$5,000	\$5,000	\$3,850	09/30/2019	
UP 2019-150(HS)	1	\$1,000	\$1,000	\$853	09/26/2019	
UP 2019-151(LI)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2019-152(LI)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2019-154(LI)	1	\$2,500	\$2,500	\$1,575	09/30/2019	
UP 2019-155(TS)	2	\$7,500	\$7,500	\$5,850	09/30/2019	
UP 2019-157(TS)	2	\$5,000	\$0	\$0	09/30/2019	Case Terminated.
UP 2019-159(LI)	1	\$2,500	\$2,500	\$2,000	09/30/2019	
UP 2019-160(HMT)	1	\$5,000	\$5,000	\$3,824	09/30/2019	
UP 2019-162(RW)	1	\$6,000	\$6,000	\$4,500	09/30/2019	
UP 2019-164(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2019	
UP 2019-165(SA)	1	\$5,000	\$5,000	\$3,869	09/30/2019	
UP 2019-167(ROP)	1	\$2,000	\$2,000	\$1,440	09/30/2019	
UP 2019-169(HS)	2	\$2,000	\$2,000	\$1,740	09/26/2019	
UP 2019-170(HS)	2	\$2,000	\$2,000	\$1,740	09/26/2019	
UP 2019-172(HS)	2	\$2,000	\$2,000	\$1,740	09/26/2019	
UP 2019-174(LI)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2019-175(RW)	1	\$2,000	\$2,000	\$1,538	09/30/2019	
UP 2019-176(LI)	1	\$2,500	\$2,500	\$1,925	09/30/2019	
UP 2019-179(HMT)	1	\$4,000	\$4,000	\$3,069	09/30/2019	
UP 2019-182(HMT)	1	\$2,000	\$2,000	\$1,561	09/30/2019	
UP 2019-184(SA)	5	\$25,000	\$25,000	\$19,500	09/30/2019	
UP 2019-185(HMT)	1	\$2,000	\$2,000	\$1,561	09/30/2019	
UPME 2014-1(ROR)	1	\$9,500	\$9,500	\$6,650	09/30/2019	
UPME 2017-1(ROP)	1	\$9,500	\$9,500	\$6,840	09/30/2019	
UPME 2018-1(HS)	3	\$3,000	\$3,000	\$2,559	09/26/2019	
URR 2017-1(SI)	1	\$1,000	\$1,000	\$853	09/18/2019	

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URR 2017-2(SI)	1	\$1,000	\$1,000	\$853	09/18/2019	
URR 2017-3(SI)	1	\$1,000	\$1,000	\$853	09/18/2019	
URR 2017-4(SI)	1	\$1,000	\$1,000	\$853	09/18/2019	
URR 2017-5(GC)	1	\$2,500	\$2,500	\$2,200	09/18/2019	
URR 2018-1(SA)	1	\$5,000	\$5,000	\$3,900	09/18/2019	
URR 2018-2(SA)	1	\$2,500	\$2,500	\$2,375	09/18/2019	
UTAH 2018-1(TS)	1	\$2,000	\$2,000	\$1,580	09/27/2019	
UTAH 2018-2(ROP)	1	\$7,500	\$7,500	\$5,925	09/27/2019	
VR 2018-2(HMT)	1	\$10,000	\$10,000	\$7,900	09/27/2019	
WATX 2018-1(ROR)	1	\$9,500	\$2,500	\$2,500	09/29/2019	Partially Terminated Violation(s): 1.
WATX 2019-1(AD)	2	\$5,000	\$5,000	\$3,750	09/29/2019	
WATX 2019-2(AD)	1	\$2,500	\$2,500	\$2,000	09/29/2019	
WATX 2019-3(AD)	1	\$2,500	\$2,500	\$2,000	09/29/2019	
WE 2018-1(GC)	2	\$10,000	\$10,000	\$8,800	04/01/2019	
WE 2019-1(SA)	2	\$7,500	\$7,500	\$6,400	04/01/2019	
WE 2019-2(TS)	1	\$5,000	\$5,000	\$4,400	04/01/2019	
WE 2019-3(TS)	1	\$2,500	\$2,500	\$2,250	04/01/2019	
WE 2019-4(SA)	1	\$2,500	\$2,500	\$2,300	04/01/2019	
WE 2019-5(TS)	1	\$5,000	\$5,000	\$4,400	04/01/2019	
WGSB 2017-1(HS)	4	\$4,000	\$4,000	\$4,000	06/20/2019	
WSS 2018-1(AR)	1	\$2,500	\$2,500	\$1,750	02/25/2019	
WSS 2019-1(GC)	1	\$2,500	\$2,500	\$1,800	02/25/2019	
WTLC 2015-17(TS)	2	\$7,500	\$7,500	\$6,000	06/21/2019	
WTLC 2015-18(TS)	2	\$5,000	\$5,000	\$4,000	06/21/2019	
XA1R 2018-1(TS)	1	\$5,000	\$5,000	\$3,000	07/17/2019	
XAAT 2018-1(RMM)	1	\$5,000	\$5,000	\$2,500	02/05/2019	
XACM 2019-1(HMT)	1	\$5,000	\$0	\$0	05/01/2019	Case Terminated.
XACR 2019-1(RW)	1	\$3,000	\$3,000	\$1,800	03/28/2019	
XAPI 2019-1(SA)	4	\$20,000	\$20,000	\$12,000	05/01/2019	
XAPQ 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	01/29/2019	
XBPI 2018-1(HMT)	1	\$5,000	\$5,000	\$3,750	06/24/2019	
XBRI 2014-1(RW)	1	\$3,000	\$0	\$0	03/15/2019	Case Terminated.
XBRI 2018-2(HSR)	1	\$1,000	\$1,000	\$1,000	12/12/2018	
XBWO 2018-1(HMT)	1	\$5,000	\$5,000	\$3,250	05/22/2019	
XCAI 2018-3(HMT)	1	\$5,000	\$5,000	\$5,000	11/28/2018	
XCAI 2018-4(HMT)	1	\$5,000	\$5,000	\$5,000	12/06/2018	
XCAI 2018-5(HMT)	1	\$5,000	\$5,000	\$5,000	12/06/2018	
XCEN 2019-1(HMT)	1	\$5,000	\$5,000	\$3,000	03/21/2019	
XCHS 2018-1(HMT)	1	\$5,000	\$5,000	\$4,000	12/10/2018	
XCHS 2018-2(HMT)	1	\$5,000	\$5,000	\$5,000	12/10/2018	
XCHS 2018-3(HMT)	1	\$5,000	\$5,000	\$3,750	02/28/2019	
XCHS 2019-1(HMT)	1	\$5,000	\$5,000	\$4,000	03/21/2019	
XCHS 2019-2(HMT)	1	\$5,000	\$5,000	\$5,000	05/20/2019	
XCHS 2019-3(HMT)	1	\$2,000	\$2,000	\$1,400	05/20/2019	
XCHS 2019-4(HMT)	6	\$30,000	\$30,000	\$23,000	05/20/2019	
XCHS 2019-5(HMT)	1	\$4,000	\$4,000	\$3,200	09/04/2019	
XCOM 2017-1(GC)	3	\$3,000	\$0	\$0	09/19/2019	Case Terminated.
XCUR 2019-1(HMT)	2	\$10,000	\$10,000	\$10,000	09/23/2019	
XDCO 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	10/30/2018	

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XEGC 2019-1(HMT)	2	\$5,000	\$5,000	\$3,500	04/16/2019	
XEXG 2018-1(HMT)	1	\$5,000	\$5,000	\$2,500	02/01/2019	
XFCM 2019-1(HMT)	1	\$2,000	\$2,000	\$1,000	07/24/2019	
XFEF 2018-1(HMT)	1	\$4,000	\$4,000	\$4,000	12/04/2018	
XFEF 2019-1(HMT)	1	\$4,000	\$4,000	\$4,000	08/15/2019	
XFLO 2019-1(HMT)	1	\$2,000	\$2,000	\$2,000	06/19/2019	
XFMC 2016-2(HMT)	1	\$3,000	\$3,000	\$3,000	05/08/2019	
XFMC 2019-1(HMT)	1	\$2,000	\$2,000	\$2,000	05/06/2019	
XFMV 2017-1(HMT)	1	\$5,000	\$2,000	\$1,500	07/09/2019	Partially Terminated
XFTI 2018-1(AD)	1	\$2,500	\$2,500	\$2,500	04/12/2019	Violation(s): 1.
XGEO 2018-3(HMT)	1	\$5,000	\$5,000	\$5,000	11/27/2018	
XGEO 2019-1(HMT)	3	\$17,500	\$17,500	\$17,500	09/20/2019	
XGNN 2017-1(HMT)	1	\$2,000	\$0	\$0	05/20/2019	Case Terminated.
XGON 2017-1(RW)	9	\$226,000	\$226,000	\$124,300	06/12/2019	
XHBF 2019-1(HMT)	2	\$4,000	\$4,000	\$4,000	08/19/2019	
XICB 2019-1(HMT)	1	\$2,500	\$2,500	\$2,500	03/19/2019	
XING 2017-1(HMT)	2	\$12,500	\$12,500	\$8,750	04/08/2019	
XING 2017-2(HMT)	1	\$5,000	\$5,000	\$3,500	04/08/2019	
XING 2018-1(HMT)	1	\$5,000	\$5,000	\$3,500	04/08/2019	
XING 2018-2(HMT)	1	\$5,000	\$5,000	\$3,500	04/08/2019	
XJPC 2018-1(TS)	1	\$5,000	\$5,000	\$2,500	05/28/2019	
XLGP 2019-1(RW)	2	\$4,500	\$4,500	\$4,500	05/16/2019	
XLLA 2018-1(RW)	1	\$1,000	\$1,000	\$1,000	11/06/2018	
XMCQ 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	02/12/2019	
XMCQ 2019-1(HMT)	1	\$2,000	\$2,000	\$2,000	02/19/2019	
XMCQ 2019-2(HMT)	1	\$2,000	\$2,000	\$2,000	09/05/2019	
XMIK 2018-1(HMT)	1	\$7,500	\$7,500	\$4,875	02/15/2019	
XMKW 2017-1(HMT)	1	\$10,000	\$10,000	\$6,500	12/13/2018	
XMKW 2017-4(HMT)	1	\$10,000	\$10,000	\$7,000	11/14/2018	
XMKW 2018-3(HMT)	1	\$2,500	\$2,500	\$1,975	10/16/2018	
XMKW 2019-1(HMT)	1	\$5,000	\$5,000	\$4,000	03/05/2019	
XMKW 2019-2(HMT)	1	\$10,000	\$10,000	\$8,000	04/03/2019	
XMPM 2018-2(HMT)	1	\$5,000	\$5,000	\$4,000	03/05/2019	
XMPM 2018-3(HMT)	1	\$2,000	\$2,000	\$2,000	12/31/2018	
XMPM 2018-4(HMT)	12	\$24,000	\$24,000	\$19,200	03/05/2019	
XMPM 2018-5(HMT)	1	\$5,000	\$5,000	\$4,000	03/05/2019	
XMPS 2018-1(HMT)	1	\$10,000	\$10,000	\$8,500	02/13/2019	
XNSN 2014-1(HMT)	1	\$10,000	\$10,000	\$2,500	03/11/2019	
XPMO 2019-1(HMT)	1	\$5,000	\$5,000	\$5,000	07/10/2019	
XPTC 2018-1(HMT)	1	\$999	\$999	\$999	02/06/2019	
XRMA 2017-1(HMT)	2	\$4,000	\$4,000	\$3,600	12/17/2018	
XRMP 2018-1(HMT)	1	\$2,000	\$2,000	\$1,500	07/22/2019	
XSCU 2019-1(HMT)	1	\$2,000	\$2,000	\$2,000	04/10/2019	
XSRG 2018-1(BW)	1	\$5,000	\$5,000	\$5,000	12/12/2018	
XSRG 2018-2(BW)	1	\$5,000	\$5,000	\$5,000	12/12/2018	
XSTH 2019-1(HMT)	6	\$25,000	\$25,000	\$25,000	05/01/2019	

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XTRG 2012-1(HMT)	1	\$8,000	\$0	\$0	04/12/2019	Case Terminated.
XUSE 2014-2(RW)	1	\$3,000	\$0	\$0	04/25/2019	
XVES 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	11/21/2018	
XYRC 2018-1(HMT)	1	\$2,000	\$2,000	\$1,200	10/30/2018	
XYRC 2019-1(HMT)	2	\$15,000	\$15,000	\$12,000	06/19/2019	
XYRC 2019-2(HMT)	1	\$2,000	\$2,000	\$1,200	07/18/2019	
XZTH 2019-1(HMT)	4	\$8,000	\$8,000	\$4,000	02/14/2019	
YRC 2019-1(TS)	1	\$5,000	\$5,000	\$3,950	09/27/2019	
ZABO 2018-1(HMT)	1	\$2,000	\$2,000	\$1,000	12/07/2018	
ZABU 2018-1(HMT)	1	\$5,000	\$5,000	\$2,950	03/21/2019	
ZACH 2018-1(HMT)	1	\$5,000	\$5,000	\$3,500	10/11/2018	
ZACH 2019-1(HMT)	1	\$10,000	\$10,000	\$8,000	05/02/2019	
ZACR 2018-4(HMT)	4	\$20,000	\$20,000	\$14,400	10/12/2018	
ZACR 2018-6(HMT)	3	\$15,000	\$15,000	\$10,500	01/29/2019	
ZACR 2018-7(HMT)	1	\$5,000	\$5,000	\$3,500	01/29/2019	
ZACR 2018-8(HMT)	1	\$5,000	\$5,000	\$3,500	02/19/2019	
ZACR 2019-1(HMT)	1	\$5,000	\$5,000	\$3,000	06/18/2019	
ZACW 2018-1(HMT)	1	\$5,000	\$5,000	\$3,800	03/21/2019	
ZACX 2018-1(HMT)	1	\$7,500	\$7,500	\$7,500	03/14/2019	
ZADN 2018-2(HMT)	1	\$5,000	\$5,000	\$3,500	03/01/2019	
ZADN 2019-1(HMT)	1	\$5,000	\$5,000	\$3,400	06/04/2019	
ZADN 2019-2(HMT)	1	\$10,000	\$10,000	\$8,100	08/27/2019	
ZADQ 2018-1(HMT)	1	\$5,000	\$5,000	\$3,000	03/12/2019	
ZADR 2018-1(HMT)	1	\$5,000	\$5,000	\$3,400	10/26/2018	
ZADR 2018-2(HMT)	1	\$2,000	\$2,000	\$1,390	04/04/2019	
ZAEN 2019-1(HMT)	1	\$5,000	\$5,000	\$5,000	05/28/2019	
ZAEN 2019-2(HMT)	1	\$5,000	\$5,000	\$5,000	07/23/2019	
ZAEX 2019-1(HMT)	1	\$2,000	\$2,000	\$1,300	07/23/2019	
ZAGQ 2019-1(HMT)	1	\$5,000	\$5,000	\$1,700	05/09/2019	
ZAGT 2018-2(HMT)	1	\$5,000	\$5,000	\$3,900	04/25/2019	
ZAGT 2019-1(HMT)	3	\$6,000	\$6,000	\$6,000	09/12/2019	
ZAIL 2019-1(HMT)	1	\$10,000	\$10,000	\$10,000	07/02/2019	
ZAKC 2019-1(HMT)	1	\$2,000	\$2,000	\$1,300	05/16/2019	
ZAKE 2018-1(HMT)	2	\$3,500	\$3,500	\$1,925	03/14/2019	
ZAKN 2018-2(HMT)	2	\$8,000	\$8,000	\$6,240	12/03/2018	
ZAKN 2018-3(HMT)	1	\$5,000	\$5,000	\$3,500	06/03/2019	
ZAKN 2018-4(HMT)	1	\$5,000	\$5,000	\$5,000	01/29/2019	
ZALC 2018-1(HMT)	1	\$5,000	\$5,000	\$3,500	03/26/2019	
ZALC 2018-2(HMT)	2	\$10,000	\$10,000	\$7,000	03/26/2019	
ZALC 2019-1(HMT)	1	\$10,000	\$10,000	\$8,000	05/28/2019	
ZALC 2019-2(HMT)	27	\$54,000	\$54,000	\$35,100	05/28/2019	
ZALO 2019-1(HMT)	5	\$10,000	\$10,000	\$3,750	05/23/2019	
ZALRC 2018-1(HMT)	5	\$20,000	\$20,000	\$15,250	05/14/2019	
ZAMC 2019-1(HMT)	1	\$5,000	\$5,000	\$4,050	07/23/2019	
ZAMRI 2019-1(HMT)	1	\$10,000	\$10,000	\$4,000	07/16/2019	
ZAMU 2019-1(HMT)	1	\$2,000	\$2,000	\$2,000	06/19/2019	
ZAMU 2019-2(HMT)	1	\$10,000	\$10,000	\$10,000	09/03/2019	
ZAMV 2018-1(HMT)	1	\$3,000	\$3,000	\$1,800	09/24/2019	
ZAMV 2019-1(HMT)	1	\$5,000	\$5,000	\$3,100	09/24/2019	



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ZAND 2019-1(HMT)	1	\$2,000	\$2,000	\$1,200	06/04/2019	
ZAPCH 2019-1(HMT)	1	\$2,000	\$2,000	\$2,000	08/06/2019	
ZAPM 2018-3(HMT)	1	\$10,000	\$10,000	\$10,000	04/25/2019	
ZAPM 2018-4(HMT)	1	\$5,000	\$5,000	\$5,000	04/25/2019	
ZAPM 2018-5(HMT)	1	\$4,000	\$4,000	\$4,000	04/25/2019	
ZAPM 2019-1(HMT)	1	\$5,000	\$5,000	\$5,000	09/03/2019	
ZARJ 2018-1(HMT)	2	\$4,000	\$4,000	\$2,880	12/12/2018	
ZARJ 2019-1(HMT)	1	\$10,000	\$10,000	\$7,900	07/18/2019	
ZARK 2018-1(HMT)	1	\$5,000	\$5,000	\$3,400	04/18/2019	
ZARK 2018-2(HMT)	1	\$10,000	\$10,000	\$7,600	04/18/2019	
ZASR 2018-2(HMT)	2	\$3,000	\$3,000	\$2,250	10/23/2018	
ZASR 2019-1(HMT)	1	\$2,000	\$2,000	\$1,500	05/08/2019	
ZATB 2018-1(HMT)	1	\$5,000	\$5,000	\$3,000	04/25/2019	
ZATP 2019-1(HMT)	1	\$2,000	\$2,000	\$1,300	05/21/2019	
ZAUI 2018-1(HMT)	1	\$10,000	\$10,000	\$8,200	11/14/2018	
ZAUI 2018-2(HMT)	2	\$15,000	\$15,000	\$10,500	01/29/2019	
ZAUM 2019-1(HMT)	3	\$12,000	\$12,000	\$7,700	06/20/2019	
ZAUP 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	12/03/2018	
ZAVX 2018-2(HMT)	1	\$10,000	\$0	\$0	04/08/2019	Case Terminated.
ZAXI 2018-4(HMT)	1	\$5,000	\$5,000	\$3,500	02/12/2019	
ZAXI 2019-1(HMT)	1	\$5,000	\$5,000	\$3,250	03/21/2019	
ZAXI 2019-2(HMT)	1	\$10,000	\$10,000	\$7,600	04/16/2019	
ZAXI 2019-3(HMT)	1	\$5,000	\$5,000	\$3,350	04/16/2019	
ZAXI 2019-4(HMT)	1	\$5,000	\$5,000	\$2,900	08/15/2019	
ZAXI 2019-5(HMT)	1	\$5,000	\$5,000	\$3,100	09/09/2019	
ZAXI 2019-6(HMT)	1	\$5,000	\$5,000	\$3,250	09/09/2019	
ZAYU 2019-1(HMT)	1	\$5,000	\$5,000	\$5,000	03/12/2019	
ZBAS 2018-4(HMT)	1	\$3,000	\$3,000	\$3,000	11/02/2018	
ZBAS 2018-5(HMT)	1	\$2,000	\$2,000	\$2,000	11/09/2018	
ZBAS 2018-6(HMT)	1	\$5,000	\$5,000	\$5,000	03/14/2019	
ZBAS 2019-1(HMT)	1	\$5,000	\$5,000	\$5,000	04/06/2019	
ZBAS 2019-2(HMT)	1	\$2,000	\$2,000	\$2,000	04/08/2019	
ZBAS 2019-4(HMT)	3	\$6,000	\$6,000	\$6,000	09/23/2019	
ZBAY 2019-1(HMT)	1	\$5,000	\$5,000	\$5,000	08/12/2019	
ZBCZ 2019-1(HMT)	1	\$2,000	\$2,000	\$1,750	08/07/2019	
ZBCZ 2019-2(HMT)	1	\$2,000	\$2,000	\$1,750	08/07/2019	
ZBCZ 2019-3(HMT)	1	\$2,000	\$2,000	\$1,750	08/13/2019	
ZBCZ 2019-4(HMT)	1	\$2,000	\$2,000	\$1,750	08/07/2019	
ZBDW 2018-1(HMT)	1	\$5,000	\$0	\$0	01/29/2019	Case Terminated.
ZBEP 2018-4(HMT)	1	\$2,000	\$2,000	\$2,000	12/06/2018	
ZBEP 2019-1(HMT)	1	\$2,000	\$2,000	\$2,000	03/25/2019	
ZBFM 2019-1(HMT)	1	\$5,000	\$5,000	\$5,000	04/16/2019	
ZBJM 2019-1(HMT)	1	\$2,000	\$2,000	\$2,000	04/30/2019	
ZBKA 2019-1(HMT)	1	\$2,000	\$2,000	\$2,000	09/03/2019	
ZBLW 2019-1(HMT)	1	\$5,000	\$5,000	\$5,000	08/21/2019	
ZBMQ 2018-1(HMT)	4	\$8,000	\$8,000	\$8,000	03/08/2019	
ZBPWC 2018-1(HMT)	1	\$2,000	\$2,000	\$1,400	11/08/2018	
ZBRP 2019-1(HMT)	1	\$5,000	\$5,000	\$5,000	04/04/2019	
ZBRQ 2018-1(HMT)	1	\$5,000	\$5,000	\$1,250	03/25/2019	

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ZBRT 2019-1(HMT)	1	\$3,000	\$3,000	\$3,000	08/23/2019	
ZBTA 2018-1(HMT)	2	\$4,000	\$4,000	\$3,000	11/23/2018	
ZBTM 2019-1(HMT)	1	\$5,000	\$5,000	\$5,000	08/31/2019	
ZBTX 2018-1(HMT)	1	\$5,000	\$5,000	\$1,000	11/12/2018	
ZBTZ 2018-1(HMT)	1	\$2,000	\$2,000	\$1,300	03/18/2019	
ZBTZ 2019-1(HMT)	1	\$1,000	\$1,000	\$650	09/30/2019	
ZBUD 2018-1(HMT)	1	\$5,000	\$5,000	\$3,500	11/20/2018	
ZBUD 2019-1(HMT)	1	\$2,500	\$2,500	\$1,750	06/27/2019	
ZCAB 2019-1(HMT)	1	\$2,000	\$2,000	\$2,000	06/26/2019	
ZCACT 2018-1(HMT)	2	\$4,000	\$4,000	\$4,000	03/13/2019	
ZCCN 2018-1(HMT)	2	\$4,000	\$4,000	\$4,000	12/10/2018	
ZCCN 2019-1(HMT)	1	\$5,000	\$5,000	\$5,000	06/26/2019	
ZCEF 2018-1(HMT)	1	\$10,000	\$10,000	\$8,000	12/10/2018	
ZCEF 2018-3(HMT)	1	\$10,000	\$10,000	\$8,000	12/10/2018	
ZCEF 2018-4(HMT)	1	\$10,000	\$10,000	\$7,000	12/17/2018	
ZCEF 2018-5(HMT)	1	\$5,000	\$5,000	\$4,000	02/27/2019	
ZCELA 2018-1(HMT)	1	\$10,000	\$10,000	\$10,000	12/20/2018	
ZCELA 2019-1(HMT)	1	\$10,000	\$10,000	\$10,000	09/05/2019	
ZCEY 2019-1(HMT)	4	\$20,000	\$20,000	\$20,000	06/26/2019	
ZCEY 2019-2(HMT)	1	\$10,000	\$10,000	\$10,000	08/07/2019	
ZCFC 2017-3(HMT)	1	\$10,000	\$10,000	\$8,000	02/27/2019	
ZCHE 2019-1(HMT)	1	\$5,000	\$5,000	\$3,500	04/03/2019	
ZCHEV 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	02/07/2019	
ZCHEV 2019-1(HMT)	1	\$5,000	\$5,000	\$5,000	04/24/2019	
ZCHEV 2019-2(HMT)	1	\$10,000	\$10,000	\$8,000	05/01/2019	
ZCHEV 2019-3(HMT)	1	\$2,000	\$2,000	\$2,000	04/24/2019	
ZCHF 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	12/20/2018	
ZCHL 2018-1(HMT)	2	\$10,000	\$10,000	\$6,500	11/29/2018	
ZCHX 2015-1(HMT)	1	\$5,000	\$0	\$0	05/06/2019	Case Terminated.
ZCLAR 2018-1(HMT)	1	\$5,000	\$5,000	\$5,000	02/14/2019	
ZCLL 2018-1(HMT)	1	\$10,000	\$10,000	\$7,000	04/03/2019	
ZCLQ 2018-1(HMT)	4	\$20,000	\$20,000	\$16,000	09/26/2019	
ZCLS 2018-1(HMT)	4	\$15,000	\$15,000	\$15,000	12/06/2018	
ZCLS 2018-2(HMT)	1	\$2,500	\$2,500	\$2,500	02/07/2019	
ZCLX 2018-1(HMT)	1	\$10,000	\$10,000	\$7,500	11/28/2018	
ZCLX 2019-1(HMT)	1	\$10,000	\$10,000	\$7,500	03/21/2019	
ZCLX 2019-2(HMT)	1	\$10,000	\$10,000	\$7,500	09/04/2019	
ZCM2 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	12/17/2018	
ZCME 2018-1(HMT)	1	\$10,000	\$10,000	\$8,000	12/06/2018	
ZCME 2018-2(HMT)	1	\$5,000	\$5,000	\$4,000	12/06/2018	
ZCME 2018-3(HMT)	1	\$2,000	\$2,000	\$1,600	12/06/2018	
ZCME 2019-1(HMT)	1	\$10,000	\$10,000	\$8,000	06/27/2019	
ZCME 2019-2(HMT)	1	\$5,000	\$5,000	\$4,000	06/27/2019	
ZCMP 2018-1(HMT)	1	\$5,000	\$5,000	\$5,000	12/10/2018	
ZCNC 2018-1(HMT)	2	\$12,500	\$12,500	\$10,000	02/04/2019	
ZCNC 2019-1(HMT)	1	\$5,000	\$5,000	\$5,000	06/26/2019	
ZCNL 2018-1(HMT)	4	\$14,000	\$14,000	\$10,500	02/14/2019	
ZCNO 2019-1(HMT)	2	\$6,000	\$6,000	\$4,800	05/01/2019	
ZCNO 2019-2(HMT)	6	\$21,000	\$21,000	\$17,000	09/19/2019	

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ZCNO 2019-3(HMT)	1	\$2,000	\$2,000	\$2,000	09/19/2019	
ZCO2 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	02/14/2019	
ZCOV 2018-1(HMT)	1	\$5,000	\$5,000	\$4,000	09/05/2019	
ZCOV 2019-1(HMT)	1	\$5,000	\$5,000	\$4,000	09/05/2019	
ZCOV 2019-2(HMT)	1	\$5,000	\$5,000	\$4,000	09/05/2019	
ZCPCL 2017-1(HMT)	1	\$10,000	\$10,000	\$8,000	03/14/2019	
ZCPCL 2017-2(HMT)	1	\$5,000	\$5,000	\$3,750	03/14/2019	
ZCPCL 2018-1(HMT)	1	\$10,000	\$10,000	\$8,000	03/18/2019	
ZCPCL 2019-1(HMT)	2	\$3,500	\$3,500	\$2,500	09/26/2019	
ZCPX 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	12/10/2018	
ZCRZ 2018-1(HMT)	2	\$10,000	\$10,000	\$10,000	12/17/2018	
ZCRZ 2018-2(HMT)	1	\$2,000	\$2,000	\$2,000	12/17/2018	
ZCRZ 2019-1(HMT)	1	\$5,000	\$5,000	\$5,000	06/26/2019	
ZCSM 2018-1(HMT)	2	\$4,000	\$4,000	\$4,000	02/07/2019	
ZCSM 2019-1(HMT)	2	\$10,000	\$10,000	\$7,500	09/18/2019	
ZCT 2018-1(HMT)	1	\$7,500	\$7,500	\$7,500	12/10/2018	
ZCT 2018-3(HMT)	1	\$5,000	\$5,000	\$4,000	12/10/2018	
ZCT 2018-4(HMT)	1	\$10,000	\$10,000	\$10,000	03/13/2019	
ZCTG 2018-1(HMT)	1	\$5,000	\$5,000	\$3,500	02/21/2019	
ZCTG 2018-2(HMT)	1	\$5,000	\$5,000	\$3,500	02/21/2019	
ZCTJ 2019-1(HMT)	1	\$2,000	\$2,000	\$2,000	05/30/2019	
ZCUL 2018-1(HMT)	2	\$9,000	\$9,000	\$9,000	02/06/2019	
ZCVO 2018-1(HMT)	2	\$4,000	\$4,000	\$4,000	02/06/2019	
ZCWS 2019-1(HMT)	1	\$5,000	\$5,000	\$4,000	06/17/2019	
ZCWS 2019-2(HMT)	1	\$10,000	\$10,000	\$8,000	06/17/2019	
ZCXU 2016-2(HMT)	1	\$5,000	\$5,000	\$3,500	12/06/2018	
ZDAK 2019-1(HMT)	1	\$2,000	\$2,000	\$2,000	02/15/2019	
ZDAR 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	11/30/2018	
ZDAR 2019-1(HMT)	4	\$8,000	\$8,000	\$8,000	07/24/2019	
ZDAS 2019-1(HMT)	1	\$5,000	\$5,000	\$4,500	07/30/2019	
ZDCG 2018-1(HMT)	1	\$4,000	\$0	\$0	05/21/2019	Case Terminated.
ZDCG 2018-2(HMT)	1	\$5,000	\$5,000	\$4,000	05/20/2019	
ZDCPC 2018-1(HMT)	1	\$5,000	\$5,000	\$4,000	11/07/2018	
ZDCPC 2018-2(HMT)	2	\$6,000	\$6,000	\$4,800	12/12/2018	
ZDCU 2018-3(HMT)	1	\$5,000	\$5,000	\$4,000	10/30/2018	
ZDCU 2019-2(HMT)	1	\$10,000	\$10,000	\$8,000	08/22/2019	
ZDCU 2019-3(HMT)	1	\$5,000	\$5,000	\$4,000	07/26/2019	
ZDGT 2017-1(HMT)	3	\$15,000	\$15,000	\$15,000	05/01/2019	
ZDGZ 2019-1(HMT)	1	\$10,000	\$10,000	\$10,000	09/25/2019	
ZDKG 2018-1(HMT)	1	\$7,500	\$7,500	\$471	01/01/2019	
ZDKR 2019-1(HMT)	3	\$6,000	\$0	\$0	06/25/2019	Case Terminated.
ZDKR 2019-2(HMT)	1	\$2,000	\$0	\$0	06/25/2019	Case Terminated.
ZDNC 2019-1(HMT)	1	\$10,000	\$10,000	\$8,000	05/23/2019	
ZDOW 2018-1(HMT)	2	\$20,000	\$20,000	\$16,000	10/30/2018	
ZDPCI 2019-1(HMT)	1	\$10,000	\$10,000	\$3,000	05/01/2019	
ZDRY 2018-1(HMT)	2	\$10,000	\$10,000	\$5,000	02/06/2019	
ZDXL 2019-1(HMT)	1	\$2,000	\$2,000	\$1,200	07/24/2019	
ZDYI 2018-3(HMT)	3	\$6,000	\$6,000	\$6,000	03/05/2019	
ZEACH 2018-3(HMT)	1	\$2,000	\$2,000	\$1,400	11/08/2018	

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ZEACH 2019-1(HMT)	1	\$2,000	\$2,000	\$1,350	06/13/2019	
ZEACH 2019-2(HMT)	1	\$10,000	\$10,000	\$7,700	06/18/2019	
ZEBZ 2019-1(HMT)	2	\$12,500	\$12,500	\$12,500	05/28/2019	
ZEEN 2019-1(HMT)	3	\$6,000	\$6,000	\$4,140	07/18/2019	
ZEGL 2017-4(HMT)	1	\$10,000	\$0	\$0	12/07/2018	Case Terminated.
ZEMR 2019-1(HMT)	1	\$5,000	\$5,000	\$5,000	07/18/2019	
ZEMR 2019-2(HMT)	1	\$2,500	\$2,500	\$2,500	09/11/2019	
ZENK 2018-1(HMT)	4	\$20,000	\$20,000	\$20,000	11/15/2018	
ZEOA 2019-1(HMT)	2	\$10,000	\$10,000	\$7,200	03/19/2019	
ZEPX 2018-1(HMT)	1	\$5,000	\$5,000	\$5,000	11/27/2018	
ZEPZ 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	01/29/2019	
ZEQU 2018-1(HMT)	1	\$10,000	\$10,000	\$7,800	11/29/2018	
ZERV 2018-1(HMT)	1	\$5,000	\$5,000	\$3,350	11/01/2018	
ZERV 2019-1(HMT)	1	\$2,500	\$2,500	\$1,675	08/06/2019	
ZESQ 2018-1(HMT)	2	\$6,000	\$6,000	\$4,200	03/14/2019	
ZEVD 2018-1(HMT)	1	\$10,000	\$10,000	\$10,000	01/29/2019	
ZEVD 2018-2(HMT)	1	\$5,000	\$5,000	\$5,000	01/29/2019	
ZEVD 2019-1(HMT)	1	\$2,000	\$2,000	\$2,000	07/25/2019	
ZEVD 2019-2(HMT)	1	\$2,000	\$2,000	\$2,000	08/01/2019	
Z EVT 2019-1(HMT)	1	\$2,000	\$2,000	\$1,100	03/26/2019	
Z EVT 2019-2(HMT)	2	\$4,000	\$4,000	\$2,400	07/11/2019	
ZEXM 2019-1(HMT)	1	\$5,000	\$5,000	\$5,000	05/28/2019	
ZEYN 2019-1(HMT)	1	\$5,000	\$5,000	\$5,000	05/07/2019	
ZFG 2019-1(HMT)	2	\$6,000	\$6,000	\$4,000	04/09/2019	
ZFGC 2004-1(HMT)	1	\$6,000	\$0	\$0	03/04/2019	Case Terminated.
ZFGC 2008-1(HMT)	1	\$4,000	\$0	\$0	03/04/2019	Case Terminated.
ZFGC 2011-1(HMT)	1	\$5,000	\$5,000	\$2,500	02/28/2019	
ZFGC 2012-1(HMT)	1	\$5,000	\$5,000	\$2,500	02/28/2019	
ZFGC 2013-1(HMT)	6	\$13,500	\$13,500	\$6,500	03/01/2019	
ZFGC 2017-1(HMT)	1	\$7,500	\$7,500	\$6,000	04/02/2019	
ZFGC 2018-2(HMT)	1	\$2,000	\$2,000	\$1,400	03/05/2019	
ZFGP 2017-1(HMT)	3	\$10,000	\$10,000	\$10,000	03/25/2019	
ZFHR 2017-2(HMT)	1	\$7,500	\$7,500	\$7,500	04/17/2019	
ZFHR 2018-2(HMT)	1	\$5,000	\$5,000	\$5,000	10/11/2018	
ZFHR 2018-3(HMT)	1	\$5,000	\$5,000	\$5,000	01/18/2019	
ZFHR 2019-1(HMT)	1	\$2,000	\$2,000	\$2,000	04/04/2019	
ZFHR 2019-2(HMT)	1	\$2,000	\$2,000	\$2,000	08/21/2019	
ZFHR 2019-3(HMT)	1	\$5,000	\$5,000	\$5,000	09/11/2019	
ZFIE 2011-1(HMT)	1	\$15,000	\$0	\$0	06/10/2019	Case Terminated.
ZFLC 2019-1(HMT)	1	\$2,000	\$2,000	\$1,200	08/07/2019	
ZFPC 2017-1(HMT)	1	\$5,000	\$5,000	\$3,000	03/06/2019	
ZFPC 2019-1(HMT)	1	\$5,000	\$5,000	\$3,000	03/24/2019	
ZFRQ 2016-1(HMT)	1	\$5,000	\$5,000	\$3,700	08/09/2019	
ZFRQ 2016-2(HMT)	1	\$5,000	\$5,000	\$3,700	08/09/2019	
ZFRQ 2016-3(HMT)	1	\$2,000	\$2,000	\$1,700	07/29/2019	
ZFTQ 2019-1(HMT)	4	\$12,000	\$12,000	\$12,000	03/27/2019	
ZFUF 2013-1(HMT)	1	\$10,000	\$10,000	\$6,500	12/06/2018	
ZFUF 2013-2(HMT)	3	\$15,000	\$15,000	\$9,000	12/07/2018	
ZFUF 2015-2(HMT)	1	\$5,000	\$5,000	\$3,500	12/07/2018	

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ZFVF 2017-1(HMT)	1	\$2,000	\$2,000	\$2,000	03/01/2019	
ZGAD 2018-1(HMT)	1	\$5,000	\$5,000	\$2,500	04/01/2019	
ZGATX 2018-1(HMT)	1	\$5,000	\$5,000	\$4,000	04/22/2019	
ZGBW 2018-1(HMT)	8	\$20,000	\$20,000	\$14,000	09/29/2019	
ZGBW 2018-2(HMT)	1	\$10,000	\$10,000	\$7,000	09/29/2019	
ZGBW 2019-1(HMT)	8	\$20,000	\$20,000	\$14,000	09/29/2019	
ZGEG 2018-1(HMT)	3	\$15,000	\$15,000	\$15,000	11/27/2018	
ZGEO 2018-1(HMT)	1	\$5,000	\$5,000	\$5,000	11/27/2018	
ZGEO 2019-1(HMT)	1	\$5,000	\$5,000	\$3,250	09/06/2019	
ZGEP A 2018-3(HMT)	1	\$5,000	\$5,000	\$3,500	05/22/2019	
ZGEP A 2019-1(HMT)	1	\$5,000	\$5,000	\$5,000	05/22/2019	
ZGEU 2016-2(HMT)	1	\$5,000	\$5,000	\$4,000	04/25/2019	
ZGEU 2018-2(HMT)	1	\$5,000	\$5,000	\$3,500	04/25/2019	
ZGFC 2019-1(HMT)	1	\$5,000	\$5,000	\$5,000	09/06/2019	
ZGFE 2017-2(HMT)	2	\$10,000	\$10,000	\$6,900	11/27/2018	
ZGFE 2017-3(HMT)	1	\$5,000	\$5,000	\$3,500	11/27/2018	
ZGFE 2018-1(HMT)	1	\$5,000	\$5,000	\$5,000	05/14/2019	
ZGIL 2019-1(HMT)	1	\$5,000	\$5,000	\$5,000	08/01/2019	
ZGKH 2018-1(HMT)	1	\$25,000	\$25,000	\$18,500	05/20/2019	
ZGLE 2017-1(HMT)	1	\$10,000	\$10,000	\$8,000	05/01/2019	
ZGLE 2018-2(HMT)	2	\$10,000	\$10,000	\$1,000	11/27/2018	
ZGLE 2018-3(HMT)	1	\$5,000	\$5,000	\$5,000	11/27/2018	
ZGLM 2019-1(HMT)	1	\$5,000	\$5,000	\$3,500	05/15/2019	
ZGPE 2017-2(HMT)	2	\$12,500	\$12,500	\$7,500	05/29/2019	
ZGPE 2018-1(HMT)	1	\$5,000	\$5,000	\$3,500	05/29/2019	
ZGPE 2018-2(HMT)	1	\$5,000	\$5,000	\$3,500	05/29/2019	
ZGPE 2018-3(HMT)	2	\$10,000	\$10,000	\$7,000	05/29/2019	
ZGPK 2016-1(HMT)	3	\$15,000	\$15,000	\$10,500	04/29/2019	
ZGPK 2017-1(HMT)	1	\$5,000	\$5,000	\$3,500	04/29/2019	
ZGPS 2018-1(HMT)	1	\$5,000	\$5,000	\$5,000	11/27/2018	
ZGPZ 2018-1(HMT)	8	\$22,500	\$22,500	\$18,000	05/03/2019	
ZGRM 2018-1(HMT)	2	\$15,000	\$15,000	\$11,000	05/01/2019	
ZGRM 2018-2(HMT)	1	\$2,000	\$2,000	\$2,000	08/01/2019	
ZGSZ 2017-7(HMT)	3	\$15,000	\$15,000	\$10,500	04/03/2019	
ZGSZ 2018-1(HMT)	1	\$10,000	\$10,000	\$7,250	04/03/2019	
ZGSZ 2018-2(HMT)	1	\$10,000	\$10,000	\$7,250	04/03/2019	
ZGSZ 2018-3(HMT)	1	\$10,000	\$10,000	\$7,250	04/03/2019	
ZGSZ 2018-5(HMT)	1	\$5,000	\$5,000	\$5,000	05/22/2019	
ZGSZ 2018-6(HMT)	1	\$5,000	\$5,000	\$5,000	11/27/2018	
ZGTE 2019-1(HMT)	1	\$5,000	\$5,000	\$5,000	08/01/2019	
ZGUE 2017-1(HMT)	1	\$5,000	\$5,000	\$3,500	05/01/2019	
ZHC 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	01/07/2019	
ZHCG 2018-4(HMT)	1	\$5,000	\$5,000	\$5,000	10/23/2018	
ZHCG 2018-5(HMT)	1	\$5,000	\$5,000	\$5,000	02/14/2019	
ZHCG 2019-1(HMT)	1	\$2,500	\$2,500	\$2,500	04/17/2019	

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ZHET 2018-1(HMT)	1	\$5,000	\$5,000	\$3,700	08/09/2019	
ZHFO 2018-1(HMT)	1	\$3,500	\$3,500	\$2,800	04/22/2019	
ZHFO 2018-2(HMT)	1	\$2,500	\$2,500	\$2,500	10/05/2018	
ZHFP 2018-1(HMT)	1	\$9,000	\$0	\$0	10/10/2018	Case Terminated
ZHFR 2019-1(HMT)	1	\$5,000	\$5,000	\$5,000	04/04/2019	
ZHNI 2018-3(HMT)	1	\$2,000	\$2,000	\$1,400	12/10/2018	
ZHRM 2019-1(HMT)	1	\$2,000	\$2,000	\$2,000	08/16/2019	
ZHRM 2019-2(HMT)	1	\$2,000	\$2,000	\$2,000	08/16/2019	
ZHSL 2019-1(HMT)	1	\$5,000	\$5,000	\$5,000	04/10/2019	
ZHSN 2019-1(HMT)	1	\$2,500	\$2,500	\$2,500	09/21/2019	
ZIBO 2017-3(HMT)	1	\$5,000	\$5,000	\$2,500	04/08/2019	
ZICH 2017-1(HMT)	1	\$5,000	\$5,000	\$3,000	04/08/2019	
ZICL 2017-1(HMT)	2	\$10,000	\$10,000	\$5,500	05/29/2019	
ZICZ 2019-1(HMT)	1	\$7,500	\$7,500	\$6,000	04/29/2019	
ZIES 2019-1(HMT)	1	\$2,500	\$2,500	\$2,500	03/29/2019	
ZIFT 2017-1(HMT)	1	\$2,000	\$2,000	\$1,700	03/29/2019	
ZIGI 2018-1(HMT)	1	\$5,000	\$5,000	\$5,000	02/26/2019	
ZIMA 2018-1(HMT)	1	\$5,000	\$5,000	\$3,700	04/04/2019	
ZIMA 2019-1(HMT)	1	\$2,000	\$2,000	\$1,300	05/23/2019	
ZIML 2017-2(HMT)	3	\$6,000	\$6,000	\$4,200	04/09/2019	
ZIML 2018-1(HMT)	1	\$2,000	\$2,000	\$1,400	04/09/2019	
ZIML 2018-2(HMT)	1	\$2,000	\$2,000	\$1,400	04/09/2019	
ZIMO 2018-1(HMT)	2	\$10,000	\$10,000	\$10,000	05/08/2019	
ZIND 2018-1(HMT)	1	\$10,000	\$10,000	\$5,500	05/15/2019	
ZING 2018-1(HMT)	1	\$5,000	\$5,000	\$3,500	03/14/2019	
ZING 2019-1(HMT)	1	\$5,000	\$5,000	\$3,500	03/14/2019	
ZING 2019-2(HMT)	1	\$2,000	\$2,000	\$1,500	05/28/2019	
ZINS 2016-2(ROR)	1	\$5,000	\$5,000	\$3,250	05/30/2019	
ZINS 2016-3(AD)	5	\$15,000	\$15,000	\$10,000	05/30/2019	
ZINS 2016-4(AD)	4	\$12,500	\$12,500	\$8,200	05/30/2019	
ZINS 2017-1(LI)	1	\$1,500	\$1,500	\$900	05/30/2019	
ZINS 2018-1(SA)	1	\$5,000	\$5,000	\$2,750	05/30/2019	
ZINS 2018-2(ROP)	1	\$7,500	\$7,500	\$4,900	05/30/2019	
ZINTT 2017-1(HMT)	1	\$5,000	\$5,000	\$3,500	05/28/2019	
ZINTT 2017-2(HMT)	1	\$10,000	\$10,000	\$7,000	05/28/2019	
ZINTT 2018-1(HMT)	6	\$12,000	\$12,000	\$8,400	05/28/2019	
ZIOD 2018-2(HMT)	1	\$2,000	\$2,000	\$2,000	07/24/2019	
ZIOR 2017-2(HMT)	2	\$6,000	\$6,000	\$4,500	04/10/2019	
ZIOW 2016-1(HMT)	1	\$2,000	\$2,000	\$1,700	07/29/2019	
ZIP 2017-6(HMT)	1	\$2,000	\$2,000	\$1,400	04/02/2019	
ZIP 2017-7(HMT)	2	\$12,000	\$12,000	\$8,400	04/02/2019	
ZIP 2017-8(HMT)	1	\$2,000	\$2,000	\$1,400	04/02/2019	
ZIP 2017-9(HMT)	2	\$10,000	\$10,000	\$7,000	04/02/2019	
ZIP 2018-1(HMT)	2	\$7,000	\$7,000	\$4,900	04/02/2019	
ZIP 2018-2(HMT)	1	\$2,000	\$2,000	\$1,400	04/02/2019	
ZIP 2018-3(HMT)	1	\$10,000	\$10,000	\$7,000	04/01/2019	
ZIP 2018-4(HMT)	1	\$5,000	\$5,000	\$3,500	04/02/2019	
ZIP 2018-6(HMT)	1	\$5,000	\$5,000	\$3,750	05/22/2019	
ZIPI 2017-1(HMT)	1	\$10,000	\$10,000	\$10,000	10/18/2018	

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ZIPI 2018-1(HMT)	2	\$5,000	\$5,000	\$5,000	10/18/2018	
ZIPI 2018-2(HMT)	1	\$5,000	\$5,000	\$5,000	10/18/2018	
ZIPI 2018-3(HMT)	1	\$10,000	\$10,000	\$10,000	03/19/2019	
ZIPI 2019-1(HMT)	2	\$6,000	\$6,000	\$6,000	03/19/2019	
ZIRO 2018-1(HMT)	23	\$46,000	\$46,000	\$46,000	11/19/2018	
ZIRO 2018-2(HMT)	1	\$7,500	\$7,500	\$7,500	11/19/2018	
ZIRO 2018-3(HMT)	1	\$5,000	\$5,000	\$5,000	11/19/2018	
ZIRO 2018-4(HMT)	1	\$5,000	\$5,000	\$5,000	03/11/2019	
ZISY 2017-1(HMT)	1	\$5,000	\$5,000	\$5,000	10/22/2018	
ZISY 2019-2(HMT)	1	\$5,000	\$5,000	\$5,000	08/21/2019	
ZITT 2018-1(HMT)	1	\$5,000	\$5,000	\$3,000	03/19/2019	
ZITT 2018-2(HMT)	1	\$10,000	\$10,000	\$6,000	03/19/2019	
ZITT 2018-3(HMT)	1	\$10,000	\$10,000	\$6,000	03/19/2019	
ZITT 2018-4(HMT)	1	\$5,000	\$5,000	\$3,750	03/22/2019	
ZITT 2018-5(HMT)	1	\$10,000	\$10,000	\$7,500	03/22/2019	
ZITT 2018-6(HMT)	1	\$5,000	\$5,000	\$3,750	03/22/2019	
ZITT 2018-7(HMT)	1	\$5,000	\$5,000	\$3,750	03/22/2019	
ZIUM 2018-1(HMT)	1	\$5,000	\$5,000	\$3,750	05/01/2019	
ZIVE 2018-1(HMT)	2	\$8,000	\$4,000	\$3,000	04/30/2019	Partially Terminated Violation(s): 1.
ZJBB 2017-1(HMT)	2	\$10,000	\$10,000	\$10,000	06/19/2019	
ZJBB 2017-2(HMT)	4	\$20,000	\$20,000	\$20,000	06/03/2019	
ZJBB 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	10/16/2018	
ZJBB 2018-2(HMT)	1	\$5,000	\$5,000	\$5,000	10/16/2018	
ZJBH 2018-1(HMT)	1	\$4,000	\$4,000	\$1,500	10/02/2018	
ZJCC 2017-2(HMT)	1	\$5,000	\$5,000	\$4,000	05/29/2019	
ZJRS 2019-1(HMT)	1	\$10,000	\$10,000	\$7,500	05/02/2019	
ZJRS 2019-2(HMT)	1	\$5,000	\$5,000	\$3,500	09/10/2019	
ZJRS 2019-3(HMT)	1	\$2,000	\$2,000	\$1,300	09/10/2019	
ZJVE 2017-1(HMT)	5	\$25,000	\$25,000	\$18,500	08/09/2019	
ZKEM 2018-1(HMT)	1	\$5,000	\$5,000	\$5,000	02/07/2019	
ZKEM 2018-2(HMT)	1	\$5,000	\$5,000	\$5,000	03/13/2019	
ZKEM 2018-3(HMT)	1	\$5,000	\$5,000	\$5,000	02/07/2019	
ZKEM 2018-4(HMT)	1	\$5,000	\$5,000	\$5,000	02/07/2019	
ZKEM 2018-5(HMT)	1	\$5,000	\$5,000	\$5,000	02/07/2019	
ZKEM 2018-6(HMT)	1	\$5,000	\$5,000	\$5,000	02/07/2019	
ZKFC 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	11/28/2018	
ZKLA 2018-1(HMT)	1	\$5,000	\$5,000	\$4,000	02/07/2019	
ZKLG 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	02/07/2019	
ZKLG 2018-2(HMT)	1	\$2,000	\$2,000	\$2,000	02/07/2019	
ZKMI 2018-1(HMT)	1	\$5,000	\$5,000	\$5,000	12/10/2018	
ZKMI 2019-1(HMT)	1	\$10,000	\$10,000	\$10,000	05/30/2019	
ZKML 2019-1(HMT)	1	\$5,000	\$5,000	\$3,500	03/25/2019	
ZKMQ 2019-1(HMT)	3	\$14,000	\$14,000	\$10,000	05/30/2019	
ZKPI 2018-1(HMT)	1	\$5,000	\$0	\$0	12/19/2018	Case Terminated.
ZKPI 2018-2(HMT)	1	\$2,000	\$2,000	\$1,750	02/28/2019	
ZKPI 2019-1(HMT)	1	\$5,000	\$5,000	\$3,500	05/08/2019	
ZKPS 2018-1(HMT)	1	\$5,000	\$5,000	\$5,000	12/18/2018	
ZKRA 2019-1(HMT)	1	\$5,000	\$5,000	\$4,000	05/30/2019	
ZKRA 2019-2(HMT)	1	\$5,000	\$5,000	\$4,000	02/28/2019	

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ZKRA 2019-3(HMT)	1	\$5,000	\$5,000	\$4,000	05/30/2019	
ZKWS 2018-1(HMT)	1	\$5,000	\$5,000	\$5,000	02/07/2019	
ZKWS 2018-2(HMT)	2	\$10,000	\$10,000	\$10,000	03/13/2019	
ZKWS 2019-1(HMT)	1	\$5,000	\$5,000	\$5,000	09/23/2019	
ZKWS 2019-2(HMT)	1	\$5,000	\$5,000	\$5,000	09/23/2019	
ZKWS 2019-3(HMT)	1	\$5,000	\$5,000	\$5,000	09/23/2019	
ZKWS 2019-4(HMT)	1	\$5,000	\$5,000	\$5,000	09/23/2019	
ZKYE 2018-1(HMT)	1	\$5,000	\$5,000	\$5,000	02/06/2019	
ZKYE 2019-1(HMT)	1	\$10,000	\$10,000	\$10,000	06/26/2019	
ZLAN 2019-1(HMT)	1	\$2,000	\$2,000	\$2,000	04/12/2019	
ZLAN 2019-2(HMT)	1	\$2,000	\$2,000	\$2,000	04/12/2019	
ZLBR 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	01/30/2019	
ZLCT 2018-1(HMT)	1	\$7,500	\$7,500	\$3,750	02/01/2019	
ZLDE 2018-3(HMT)	1	\$5,000	\$0	\$0	12/13/2018	Case Terminated.
ZLDE 2019-1(HMT)	1	\$10,000	\$10,000	\$7,000	06/25/2019	
ZLDE 2019-2(HMT)	1	\$5,000	\$5,000	\$3,500	07/26/2019	
ZLOI 2014-1(HMT)	1	\$10,000	\$0	\$0	04/09/2019	Case Terminated.
ZLOU 2019-1(HMT)	3	\$6,000	\$6,000	\$3,400	07/25/2019	
ZLSI 2019-1(HMT)	1	\$2,000	\$2,000	\$2,000	09/17/2019	
ZLSP 2019-1(HMT)	2	\$10,000	\$10,000	\$10,000	08/27/2019	
ZLTE 2018-1(HMT)	1	\$4,000	\$4,000	\$4,000	11/26/2018	
ZLUB 2019-1(HMT)	1	\$5,000	\$5,000	\$5,000	07/12/2019	
ZLUB 2019-2(HMT)	1	\$5,000	\$5,000	\$5,000	09/25/2019	
ZLUIN 2019-1(HMT)	1	\$5,000	\$5,000	\$3,250	05/20/2019	
ZLWE 2019-1(HMT)	1	\$3,500	\$3,500	\$3,500	04/01/2019	
ZMFA 2019-1(HMT)	1	\$2,000	\$2,000	\$1,500	03/04/2019	
ZMFQ 2019-1(HMT)	2	\$4,000	\$4,000	\$4,000	08/14/2019	
ZMFQ 2019-2(HMT)	5	\$25,000	\$25,000	\$25,000	08/15/2019	
ZMGD 2018-1(HMT)	1	\$5,000	\$5,000	\$4,000	11/27/2018	
ZMGN 2019-1(HMT)	1	\$5,000	\$5,000	\$3,750	07/29/2019	
ZMGP 2019-1(HMT)	3	\$15,000	\$15,000	\$11,700	08/15/2019	
ZMHO 2018-1(HMT)	1	\$5,000	\$5,000	\$5,000	03/05/2019	
ZMLZ 2019-1(HMT)	1	\$2,000	\$2,000	\$2,000	05/20/2019	
ZMNP 2018-2(HMT)	1	\$5,000	\$5,000	\$4,000	03/11/2019	
ZMNP 2018-3(HMT)	1	\$5,000	\$5,000	\$5,000	03/11/2019	
ZMNZ 2019-1(HMT)	1	\$5,000	\$5,000	\$5,000	07/30/2019	
ZMOL 2018-1(HMT)	1	\$15,000	\$15,000	\$12,000	03/07/2019	
ZMQE 2018-2(HMT)	1	\$5,000	\$5,000	\$5,000	02/21/2019	
ZMRK 2019-1(HMT)	1	\$5,000	\$5,000	\$5,000	04/10/2019	
ZMRM 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	11/02/2018	
ZMROC 2019-1(HMT)	1	\$2,000	\$2,000	\$2,000	08/16/2019	
ZMSA 2018-1(HMT)	1	\$5,000	\$5,000	\$5,000	11/27/2018	
ZMSL 2019-1(HMT)	2	\$6,000	\$6,000	\$6,000	03/29/2019	
ZMTE 2018-8(HMT)	1	\$2,000	\$2,000	\$2,000	01/07/2019	
ZMTE 2019-1(HMT)	3	\$6,000	\$6,000	\$6,000	03/28/2019	
ZMTE 2019-2(HMT)	1	\$10,000	\$10,000	\$10,000	04/23/2019	
ZMTE 2019-3(HMT)	1	\$2,000	\$2,000	\$2,000	07/24/2019	
ZMTE 2019-4(HMT)	1	\$2,000	\$2,000	\$2,000	07/24/2019	
ZMUN 2018-2(HMT)	1	\$10,000	\$10,000	\$8,500	02/11/2019	



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ZMUSK 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	10/29/2018	
ZMUSK 2019-1(HMT)	1	\$2,000	\$2,000	\$2,000	02/26/2019	
ZMUSK 2019-2(HMT)	1	\$2,000	\$2,000	\$2,000	03/25/2019	
ZMUSK 2019-3(HMT)	1	\$2,000	\$2,000	\$2,000	08/07/2019	
ZMVT 2018-1(HMT)	1	\$5,000	\$5,000	\$3,250	04/09/2019	
ZMWA 2019-1(HMT)	1	\$1,000	\$1,000	\$1,000	02/14/2019	
ZMYT 2019-1(HMT)	1	\$5,000	\$5,000	\$3,500	08/05/2019	
ZNAL 2018-1(HMT)	1	\$2,000	\$2,000	\$1,000	10/26/2018	
ZNAX 2018-1(HMT)	1	\$2,500	\$2,500	\$2,500	12/14/2018	
ZNBS 2019-1(HMT)	1	\$5,000	\$5,000	\$5,000	03/14/2019	
ZNBX 2018-2(HMT)	2	\$4,000	\$4,000	\$4,000	11/20/2018	
ZNBX 2019-1(HMT)	1	\$2,000	\$2,000	\$2,000	03/25/2019	
ZNCAS 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	01/30/2019	
ZNCM 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	11/06/2018	
ZNDM 2019-1(HMT)	1	\$2,000	\$2,000	\$2,000	05/09/2019	
ZNDV 2018-4(HMT)	1	\$2,000	\$2,000	\$2,000	01/30/2019	
ZNEP 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	11/26/2018	
ZNGN 2019-1(HMT)	1	\$2,000	\$2,000	\$2,000	06/06/2019	
ZNIA 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	10/24/2018	
ZNIC 2019-1(HMT)	1	\$2,000	\$2,000	\$2,000	06/19/2019	
ZNPC 2018-1(HMT)	1	\$2,000	\$2,000	\$1,200	10/30/2018	
ZNPC 2019-1(HMT)	2	\$9,000	\$9,000	\$4,000	06/26/2019	
ZNSA 2019-1(HMT)	1	\$2,000	\$2,000	\$500	06/03/2019	
ZNTN 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	03/25/2019	
ZNTN 2019-1(HMT)	1	\$7,500	\$7,500	\$5,250	05/08/2019	
ZNUC 2017-2(HMT)	1	\$5,000	\$5,000	\$2,500	05/10/2019	
ZNXE 2019-1(HMT)	1	\$2,000	\$2,000	\$2,000	04/04/2019	
ZNXE 2019-2(HMT)	1	\$2,000	\$2,000	\$1,600	07/11/2019	
ZOCE 2016-1(HMT)	1	\$10,000	\$10,000	\$8,000	08/09/2019	
ZOEE 2018-2(HMT)	1	\$5,000	\$5,000	\$5,000	01/07/2019	
ZOEE 2019-1(HMT)	2	\$10,000	\$10,000	\$7,500	05/16/2019	
ZOLI 2018-11(HMT)	1	\$5,000	\$5,000	\$3,750	10/17/2018	
ZOLI 2018-12(HMT)	2	\$10,000	\$10,000	\$7,500	10/17/2018	
ZOLI 2018-13(HMT)	3	\$20,000	\$20,000	\$20,000	12/19/2018	
ZOLI 2018-14(HMT)	1	\$5,000	\$5,000	\$4,000	12/11/2018	
ZOLI 2018-15(HMT)	1	\$5,000	\$5,000	\$4,000	12/04/2018	
ZOLI 2018-16(HMT)	2	\$6,000	\$6,000	\$4,800	01/30/2019	
ZOLI 2018-17(HMT)	1	\$2,000	\$2,000	\$1,600	01/30/2019	
ZOLI 2019-1(HMT)	2	\$9,500	\$9,500	\$6,650	05/16/2019	
ZOLI 2019-2(HMT)	1	\$10,000	\$10,000	\$10,000	09/12/2019	
ZOLI 2019-3(HMT)	1	\$5,000	\$5,000	\$5,000	09/12/2019	
ZOLI 2019-4(HMT)	1	\$5,000	\$5,000	\$5,000	09/12/2019	
ZOLL 2019-1(HMT)	1	\$2,000	\$2,000	\$2,000	08/15/2019	
ZOTER 2018-4(HMT)	1	\$2,000	\$2,000	\$2,000	01/30/2019	
ZPAE 2016-1(HMT)	1	\$5,000	\$5,000	\$3,666	12/12/2018	
ZPAE 2017-3(HMT)	1	\$5,000	\$5,000	\$3,667	12/12/2018	
ZPAE 2017-4(HMT)	1	\$5,000	\$5,000	\$3,667	12/12/2018	
ZPAE 2018-1(HMT)	1	\$4,000	\$4,000	\$4,000	12/12/2018	
ZPBB 2017-1(HMT)	1	\$10,000	\$10,000	\$8,000	08/09/2019	

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ZPBF 2019-1(HMT)	1	\$2,000	\$2,000	\$2,000	06/28/2019	
ZPBK 2017-1(HMT)	2	\$8,000	\$8,000	\$6,150	08/09/2019	
ZPBK 2018-1(HMT)	1	\$10,000	\$10,000	\$6,500	08/09/2019	
ZPBN 2018-1(HMT)	1	\$5,000	\$5,000	\$3,700	08/09/2019	
ZPBO 2016-1(HMT)	1	\$5,000	\$5,000	\$3,700	08/09/2019	
ZPCSS 2019-1(HMT)	1	\$999	\$999	\$999	07/05/2019	
ZPEA 2017-1(HMT)	2	\$10,000	\$10,000	\$7,000	08/09/2019	
ZPEA 2017-2(HMT)	2	\$10,000	\$10,000	\$8,000	08/09/2019	
ZPEB 2017-2(HMT)	1	\$4,000	\$4,000	\$4,000	07/24/2019	
ZPGI 2016-1(HMT)	1	\$10,000	\$10,000	\$10,000	02/28/2019	
ZPGI 2016-2(HMT)	1	\$5,000	\$5,000	\$5,000	02/28/2019	
ZPGI 2017-1(HMT)	1	\$2,000	\$2,000	\$2,000	02/28/2019	
ZPGI 2018-1(HMT)	1	\$5,000	\$5,000	\$5,000	03/01/2019	
ZPGI 2018-2(HMT)	1	\$2,000	\$2,000	\$2,000	03/01/2019	
ZPKG 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	12/14/2018	
ZPLA 2018-3(HMT)	1	\$10,000	\$10,000	\$10,000	01/09/2019	
ZPLP 2019-1(HMT)	1	\$4,000	\$4,000	\$4,000	07/23/2019	
ZPLS 2015-1(HMT)	3	\$6,000	\$6,000	\$4,800	02/14/2019	
ZPLS 2017-1(HMT)	1	\$5,000	\$5,000	\$4,000	06/05/2019	
ZPLS 2018-1(HMT)	2	\$10,000	\$10,000	\$9,000	02/14/2019	
ZPLS 2018-2(HMT)	3	\$14,000	\$14,000	\$14,000	12/19/2018	
ZPLS 2018-3(HMT)	1	\$5,000	\$5,000	\$5,000	12/19/2018	
ZPLS 2019-1(HMT)	1	\$5,000	\$5,000	\$4,000	06/05/2019	
ZPLS 2019-2(HMT)	2	\$5,000	\$5,000	\$4,000	06/05/2019	
ZPLT 2018-1(HMT)	1	\$4,000	\$4,000	\$4,000	12/13/2018	
ZPMA 2014-2(HMT)	2	\$10,000	\$0	\$0	02/14/2019	Case Terminated.
ZPMA 2015-1(HMT)	1	\$5,000	\$5,000	\$4,000	02/14/2019	
ZPMS 2015-2(HMT)	1	\$5,000	\$5,000	\$4,000	02/14/2019	
ZPMS 2016-2(HMT)	1	\$10,000	\$10,000	\$9,000	02/14/2019	
ZPMS 2016-3(HMT)	1	\$5,000	\$5,000	\$4,000	02/14/2019	
ZPMS 2016-4(HMT)	1	\$10,000	\$10,000	\$9,000	02/14/2019	
ZPMS 2017-1(HMT)	1	\$5,000	\$5,000	\$4,000	02/14/2019	
ZPMS 2017-2(HMT)	1	\$5,000	\$5,000	\$4,000	02/14/2019	
ZPMS 2018-1(HMT)	2	\$10,000	\$10,000	\$8,000	02/14/2019	
ZPMS 2018-2(HMT)	1	\$5,000	\$5,000	\$4,000	02/14/2019	
ZPMS 2018-3(HMT)	1	\$5,000	\$5,000	\$4,000	06/05/2019	
ZPMS 2019-1(HMT)	4	\$10,000	\$10,000	\$7,500	06/05/2019	
ZPMS 2019-2(HMT)	1	\$5,000	\$5,000	\$4,000	06/05/2019	
ZPMS 2019-3(HMT)	2	\$10,000	\$10,000	\$7,000	06/05/2019	
ZPNA 2018-1(HMT)	1	\$5,000	\$5,000	\$3,800	05/15/2019	
ZPPJ 2018-2(HMT)	1	\$2,000	\$2,000	\$2,000	01/02/2019	
ZPPL 2019-1(HMT)	1	\$5,000	\$5,000	\$5,000	06/26/2019	
ZPRX 2018-3(HMT)	1	\$5,000	\$5,000	\$5,000	12/14/2018	
ZPRX 2018-4(HMT)	1	\$5,000	\$5,000	\$5,000	12/11/2018	
ZQCR 2017-1(HMT)	1	\$2,000	\$2,000	\$1,600	07/30/2019	
ZQCR 2019-1(HMT)	1	\$2,000	\$2,000	\$1,600	07/30/2019	
ZQCR 2019-2(HMT)	1	\$5,000	\$1,000	\$1,000	07/30/2019	Partially Terminated Violation(s): 1.
ZQMB 2018-1(HMT)	2	\$10,000	\$10,000	\$10,000	06/06/2019	
ZQRZ 2019-1(HMT)	1	\$2,000	\$2,000	\$2,000	06/19/2019	

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ZQRZ 2019-2(HMT)	1	\$10,000	\$10,000	\$8,500	08/14/2019	
ZQSA 2017-1(HMT)	7	\$14,000	\$12,000	\$9,600	08/06/2019	Terminated Violation(s): 1.
ZRCA 2018-1(HMT)	7	\$17,000	\$17,000	\$17,000	04/18/2019	
ZRCA 2019-1(HMT)	1	\$5,000	\$5,000	\$5,000	07/11/2019	
ZRCQ 2018-1(HMT)	2	\$15,000	\$15,000	\$13,500	12/19/2018	
ZRCQ 2018-2(HMT)	1	\$10,000	\$10,000	\$10,000	03/29/2019	
ZRCQ 2019-1(HMT)	1	\$10,000	\$10,000	\$10,000	06/25/2019	
ZRDI 2018-1(HMT)	1	\$4,000	\$4,000	\$3,000	06/28/2019	
ZRDI 2019-1(HMT)	2	\$8,000	\$8,000	\$6,000	06/28/2019	
ZREBO 2019-1(HMT)	1	\$5,000	\$5,000	\$5,000	08/07/2019	
ZRES 2018-1(HMT)	1	\$2,500	\$2,500	\$2,500	05/21/2019	
ZRHK 2017-1(HMT)	2	\$4,000	\$4,000	\$3,600	12/17/2018	
ZRHK 2018-1(HMT)	1	\$2,000	\$2,000	\$1,800	12/17/2018	
ZRLC 2018-1(HMT)	1	\$15,000	\$15,000	\$13,500	03/29/2019	
ZRLO 2018-1(HMT)	2	\$12,000	\$12,000	\$9,750	07/24/2019	
ZRLZ 2018-1(HMT)	2	\$4,000	\$4,000	\$2,600	12/20/2018	
ZRLZ 2019-1(HMT)	1	\$5,000	\$5,000	\$3,750	07/21/2019	
ZRNW 2018-1(HMT)	1	\$2,000	\$2,000	\$1,800	12/16/2018	
ZRNW 2018-2(HMT)	1	\$2,000	\$2,000	\$1,800	12/16/2018	
ZRPD 2018-1(HMT)	1	\$5,000	\$5,000	\$5,000	06/03/2019	
ZRPM 2018-1(HMT)	1	\$10,000	\$10,000	\$9,000	03/04/2019	
ZRPM 2018-2(HMT)	5	\$25,000	\$25,000	\$25,000	03/29/2019	
ZRPM 2018-3(HMT)	1	\$5,000	\$5,000	\$5,000	03/13/2019	
ZRRE 2017-1(HMT)	2	\$6,000	\$6,000	\$5,400	12/05/2018	
ZRRM 2016-1(HMT)	1	\$7,500	\$7,500	\$7,500	02/14/2019	
ZRRQ 2019-1(HMT)	1	\$10,000	\$10,000	\$5,500	04/19/2019	
ZRRQ 2019-2(HMT)	2	\$10,000	\$10,000	\$7,500	08/20/2019	
ZRRV 2018-1(HMT)	1	\$5,000	\$5,000	\$4,000	02/25/2019	
ZRSER 2017-1(HMT)	6	\$12,000	\$12,000	\$9,600	12/19/2018	
ZRSF 2019-1(HMT)	1	\$15,000	\$15,000	\$7,500	06/13/2019	
ZRSF 2019-2(HMT)	1	\$2,000	\$0	\$0	07/24/2019	Case Terminated.
ZRSF 2019-3(HMT)	2	\$10,000	\$10,000	\$8,000	08/27/2019	
ZRSH 2018-1(HMT)	1	\$7,500	\$7,500	\$6,700	04/15/2019	
ZRSL 2019-1(HMT)	1	\$4,000	\$4,000	\$3,000	06/21/2019	
ZRTQ 2017-1(HMT)	2	\$6,000	\$6,000	\$5,100	03/15/2019	
ZRUI 2019-1(HMT)	1	\$5,000	\$5,000	\$5,000	03/15/2019	
ZRYA 2019-1(HMT)	1	\$5,000	\$5,000	\$5,000	06/10/2019	
ZRYD 2018-1(HMT)	1	\$7,500	\$7,500	\$7,500	04/05/2019	
ZSBQ 2019-1(HMT)	1	\$2,000	\$2,000	\$2,000	04/04/2019	
ZSCC 2018-5(HMT)	1	\$5,000	\$5,000	\$3,750	11/15/2018	
ZSEU 2018-1(HMT)	1	\$5,000	\$5,000	\$3,000	05/31/2019	
ZSEU 2018-2(HMT)	1	\$10,000	\$10,000	\$7,500	05/31/2019	
ZSEU 2019-1(HMT)	1	\$5,000	\$5,000	\$2,500	05/31/2019	
ZSGW 2019-1(HMT)	3	\$13,750	\$13,750	\$13,750	03/25/2019	
ZSI 2017-1(HMT)	1	\$5,000	\$5,000	\$5,000	05/29/2019	
ZSI 2019-1(HMT)	1	\$5,000	\$5,000	\$5,000	04/17/2019	
ZSKI 2018-1(HMT)	1	\$5,000	\$5,000	\$5,000	11/29/2018	
ZSKI 2018-2(HMT)	2	\$8,000	\$8,000	\$8,000	11/02/2018	
ZSKI 2019-1(HMT)	2	\$7,000	\$7,000	\$7,000	03/06/2019	

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ZSKI 2019-2(HMT)	1	\$10,000	\$10,000	\$10,000	04/10/2019	
ZSKI 2019-3(HMT)	1	\$5,000	\$5,000	\$5,000	06/05/2019	
ZSKI 2019-4(HMT)	1	\$10,000	\$10,000	\$10,000	06/05/2019	
ZSKI 2019-5(HMT)	1	\$5,000	\$5,000	\$5,000	09/11/2019	
ZSLA 2018-1(HMT)	1	\$5,000	\$5,000	\$5,000	11/09/2018	
ZSLH 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	11/29/2018	
ZSPZ 2019-1(HMT)	1	\$2,000	\$2,000	\$2,000	04/04/2019	
ZSR 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	10/02/2018	
ZSRE 2018-2(HMT)	1	\$5,000	\$5,000	\$2,500	05/31/2019	
ZSRE 2018-3(HMT)	1	\$5,000	\$5,000	\$3,500	05/31/2019	
ZSRE 2018-4(HMT)	1	\$5,000	\$5,000	\$3,600	05/27/2019	
ZSRE 2018-5(HMT)	1	\$10,000	\$10,000	\$10,000	04/10/2019	
ZSRE 2019-1(HMT)	1	\$5,000	\$5,000	\$5,000	08/15/2019	
ZSTQ 2018-1(HMT)	2	\$10,000	\$10,000	\$7,250	11/14/2018	
ZSTQ 2018-2(HMT)	1	\$5,000	\$5,000	\$5,000	01/07/2019	
ZSWC 2017-1(HMT)	1	\$4,000	\$4,000	\$4,000	04/04/2019	
ZSWC 2019-1(HMT)	1	\$2,000	\$2,000	\$2,000	04/17/2019	
ZSWR 2018-1(HMT)	1	\$10,000	\$10,000	\$10,000	12/12/2018	
ZSWR 2019-1(HMT)	2	\$12,500	\$12,500	\$9,375	04/15/2019	
ZSWR 2019-2(HMT)	1	\$10,000	\$10,000	\$7,500	04/15/2019	
ZTAM 2019-1(HMT)	1	\$5,000	\$5,000	\$3,200	06/11/2019	
ZTAW 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	12/04/2018	
ZTBR 2019-1(HMT)	1	\$5,000	\$5,000	\$3,750	09/23/2019	
ZTCL 2018-1(HMT)	13	\$26,000	\$26,000	\$13,000	04/09/2019	
ZTCY 2012-1(HMT)	1	\$2,000	\$0	\$0	04/12/2019	Case Terminated.
ZTDI 2019-1(HMT)	1	\$2,000	\$0	\$0	06/10/2019	Case Terminated.
ZTEL 2018-1(HMT)	2	\$10,000	\$10,000	\$10,000	01/03/2019	
ZTERM 2011-1(HMT)	1	\$10,000	\$0	\$0	09/24/2019	Case Terminated.
ZTERM 2016-3(HMT)	2	\$20,000	\$20,000	\$10,000	09/20/2019	
ZTERM 2018-2(HMT)	1	\$10,000	\$10,000	\$8,500	09/20/2019	
ZTERM 2018-3(HMT)	1	\$5,000	\$5,000	\$2,750	09/20/2019	
ZTES 2013-1(HMT)	1	\$5,000	\$0	\$0	09/24/2019	Case Terminated.
ZTES 2017-1(HMT)	1	\$10,000	\$10,000	\$8,500	09/20/2019	
ZTES 2018-1(HMT)	1	\$10,000	\$10,000	\$8,500	09/20/2019	
ZTES 2018-2(HMT)	1	\$10,000	\$10,000	\$8,500	09/20/2019	
ZTES 2018-3(HMT)	1	\$10,000	\$10,000	\$8,500	09/20/2019	
ZTES 2018-4(HMT)	1	\$10,000	\$10,000	\$6,500	09/20/2019	
ZTES 2018-5(HMT)	1	\$10,000	\$10,000	\$6,500	09/20/2019	
ZTES 2018-6(HMT)	1	\$10,000	\$10,000	\$6,500	09/20/2019	
ZTES 2018-7(HMT)	1	\$10,000	\$10,000	\$6,500	09/20/2019	
ZTES 2018-8(HMT)	7	\$17,000	\$17,000	\$14,500	09/20/2019	
ZTFT 2018-1(HMT)	1	\$2,000	\$2,000	\$1,400	12/07/2018	
ZTGT 2018-1(HMT)	1	\$7,500	\$7,500	\$4,500	05/01/2019	
ZTGT 2018-2(HMT)	1	\$7,500	\$7,500	\$4,500	05/01/2019	
ZTHA 2019-1(HMT)	1	\$2,000	\$2,000	\$2,000	07/26/2019	
ZTHA 2019-2(HMT)	1	\$2,000	\$2,000	\$2,000	09/10/2019	
ZTHR 2018-1(HMT)	1	\$5,000	\$5,000	\$5,000	11/22/2018	
ZTIN 2018-1(HMT)	1	\$5,000	\$5,000	\$5,000	11/21/2018	
ZTJC 2011-1(HMT)	1	\$4,000	\$0	\$0	04/12/2019	Case Terminated.

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ZTKA 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	01/03/2019	
ZTKB 2019-1(HMT)	1	\$2,000	\$2,000	\$2,000	08/28/2019	
ZTLA 2019-1(HMT)	1	\$2,000	\$2,000	\$2,000	02/21/2019	
ZTLY 2009-1(HMT)	1	\$2,000	\$0	\$0	04/12/2019	Case Terminated.
ZTME 2019-1(HMT)	1	\$10,000	\$10,000	\$10,000	09/20/2019	
ZTMN 2018-1(HMT)	1	\$5,000	\$5,000	\$3,500	12/20/2018	
ZTMT 2019-1(HMT)	1	\$10,000	\$10,000	\$7,500	02/26/2019	
ZTMT 2019-2(HMT)	4	\$8,000	\$8,000	\$5,600	08/05/2019	
ZTMT 2019-3(HMT)	3	\$6,000	\$6,000	\$6,000	07/26/2019	
ZTMU 2011-1(HMT)	1	\$2,000	\$0	\$0	04/12/2019	Case Terminated.
ZTNHR 2005-1(HMT)	2	\$7,000	\$0	\$0	04/12/2019	Case Terminated.
ZTNHR 2005-2(TS)	2	\$15,000	\$0	\$0	04/12/2019	Case Terminated.
ZTOE 2019-1(HMT)	1	\$4,000	\$4,000	\$4,000	05/01/2019	
ZTPU 2018-2(HMT)	1	\$10,000	\$10,000	\$10,000	04/10/2019	
ZTRG 2019-1(HMT)	2	\$4,000	\$4,000	\$4,000	06/03/2019	
ZTRSP 2018-2(HMT)	1	\$10,000	\$10,000	\$6,500	11/14/2018	
ZTSS 2019-1(HMT)	1	\$5,000	\$5,000	\$5,000	05/01/2019	
ZTTS 2013-1(HMT)	1	\$2,000	\$0	\$0	04/12/2019	Case Terminated.
ZTXI 2013-3(SA)	1	\$5,000	\$0	\$0	04/12/2019	Case Terminated.
ZUGR 2018-1(HMT)	1	\$5,000	\$5,000	\$3,000	05/02/2019	
ZUGR 2018-2(HMT)	2	\$10,000	\$10,000	\$6,500	05/02/2019	
ZUGR 2018-3(HMT)	1	\$5,000	\$5,000	\$3,500	05/02/2019	
ZUGR 2019-1(HMT)	1	\$5,000	\$5,000	\$4,250	05/02/2019	
ZUGR 2019-2(HMT)	5	\$10,000	\$10,000	\$6,500	06/11/2019	
ZULC 2018-1(HMT)	1	\$5,000	\$5,000	\$5,000	12/07/2018	
ZUNB 2018-1(HMT)	2	\$4,000	\$4,000	\$2,200	11/28/2018	
ZUNIV 2017-3(HMT)	1	\$2,000	\$2,000	\$1,485	05/28/2019	
ZUNIV 2018-1(HMT)	1	\$2,000	\$2,000	\$1,620	05/28/2019	
ZUNIV 2018-2(HMT)	1	\$2,000	\$2,000	\$1,260	05/28/2019	
ZUNIV 2018-3(HMT)	1	\$2,000	\$2,000	\$1,530	05/28/2019	
ZUNIV 2018-4(HMT)	2	\$6,000	\$6,000	\$4,860	05/28/2019	
ZUNIV 2018-5(HMT)	2	\$4,000	\$4,000	\$3,240	05/28/2019	
ZUNIV 2018-6(HMT)	1	\$2,000	\$2,000	\$1,400	05/28/2019	
ZUNIV 2018-7(HMT)	1	\$2,000	\$2,000	\$1,485	05/28/2019	
ZUNIV 2018-8(HMT)	1	\$10,000	\$10,000	\$8,750	05/28/2019	
ZUNIV 2019-1(HMT)	1	\$2,000	\$2,000	\$1,485	05/28/2019	
ZUNIV 2019-2(HMT)	1	\$2,000	\$2,000	\$1,600	07/11/2019	
ZUPS 2017-1(HMT)	2	\$11,250	\$7,500	\$7,000	07/18/2019	Terminated Violation(s): 2.
ZUPS 2019-1(HMT)	1	\$7,500	\$7,500	\$7,500	07/08/2019	
ZUPT 2018-1(HMT)	2	\$4,500	\$4,500	\$4,500	04/25/2019	
ZUPT 2019-1(HMT)	1	\$2,000	\$2,000	\$2,000	08/20/2019	
ZURC 2018-4(HMT)	1	\$5,000	\$5,000	\$3,500	10/30/2018	
ZURC 2018-5(HMT)	2	\$4,000	\$4,000	\$2,800	11/13/2018	
ZURC 2019-1(HMT)	2	\$8,000	\$8,000	\$7,250	05/20/2019	
ZURC 2019-2(HMT)	2	\$8,000	\$8,000	\$7,250	05/20/2019	
ZURC 2019-3(HMT)	1	\$5,000	\$5,000	\$3,500	05/20/2019	
ZUSEP 2019-1(HMT)	1	\$10,000	\$10,000	\$10,000	04/25/2019	
ZUSL 2018-1(HMT)	1	\$2,500	\$2,500	\$2,500	05/28/2019	
ZUSL 2019-1(HMT)	1	\$2,500	\$2,500	\$2,500	05/28/2019	

Federal Railroad Administration  
Safety Cases Closed in FY 2019

<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
ZUSN 2018-1(HMT)	3	\$9,500	\$9,500	\$9,500	12/03/2018	
ZUSN 2019-1(HMT)	2	\$10,000	\$10,000	\$10,000	07/31/2019	
ZUSS 2018-1(HMT)	1	\$10,000	\$10,000	\$10,000	04/25/2019	
ZUTC 2018-2(HMT)	3	\$8,500	\$6,000	\$5,500	06/19/2019	Terminated Violation(s): 3.
ZUTC 2019-1(HMT)	3	\$11,500	\$11,500	\$9,200	09/19/2019	
ZUTC 2019-2(HMT)	1	\$10,000	\$10,000	\$10,000	08/27/2019	
ZVALM 2014-3(HMT)	2	\$6,000	\$6,000	\$3,000	05/31/2019	
ZVALM 2014-4(HMT)	10	\$20,000	\$20,000	\$10,000	05/31/2019	
ZVALM 2015-2(HMT)	2	\$10,000	\$10,000	\$6,000	05/31/2019	
ZVALM 2015-3(HMT)	5	\$13,000	\$13,000	\$7,800	05/31/2019	
ZVALM 2015-4(HMT)	1	\$5,000	\$5,000	\$3,000	05/31/2019	
ZVALM 2016-1(HMT)	2	\$10,000	\$10,000	\$6,000	05/31/2019	
ZVALM 2017-2(HMT)	3	\$6,000	\$6,000	\$3,600	05/31/2019	
ZVALM 2018-1(HMT)	1	\$5,000	\$5,000	\$3,500	05/31/2019	
ZVALM 2018-2(HMT)	1	\$5,000	\$5,000	\$3,500	05/31/2019	
ZVALM 2018-3(HMT)	1	\$10,000	\$10,000	\$7,000	05/31/2019	
ZVOC 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	11/27/2018	
ZVPR 2018-1(HMT)	1	\$5,000	\$5,000	\$5,000	05/13/2019	
ZVTD 2013-1(HMT)	4	\$8,000	\$8,000	\$4,000	05/31/2019	
ZVTZ 2018-1(HMT)	1	\$10,000	\$10,000	\$10,000	05/13/2019	
ZVTZ 2018-2(HMT)	1	\$5,000	\$5,000	\$5,000	05/13/2019	
ZVYE 2016-2(HMT)	1	\$10,000	\$10,000	\$7,850	08/09/2019	
ZVYE 2018-1(HMT)	1	\$10,000	\$10,000	\$6,250	08/09/2019	
ZVYE 2018-2(HMT)	1	\$5,000	\$5,000	\$3,700	08/09/2019	
ZWAC 2019-1(HMT)	3	\$15,000	\$15,000	\$11,550	05/02/2019	
ZWAC 2019-2(HMT)	1	\$5,000	\$5,000	\$5,000	05/01/2019	
ZWAL 2019-1(HMT)	1	\$2,500	\$2,500	\$2,200	06/07/2019	
ZWAR 2019-1(HMT)	1	\$2,000	\$2,000	\$2,000	02/14/2019	
ZWATC 2018-1(HMT)	1	\$10,000	\$10,000	\$8,000	09/29/2019	
ZWBC 2018-1(HMT)	7	\$35,000	\$35,000	\$24,500	01/28/2019	
ZWLC 2018-1(HMT)	1	\$5,000	\$5,000	\$5,000	11/08/2018	
ZWLC 2018-2(HMT)	1	\$7,500	\$7,500	\$6,575	01/31/2019	
ZWLC 2019-1(HMT)	1	\$10,000	\$10,000	\$8,500	08/15/2019	
ZWLT 2019-1(HMT)	5	\$10,000	\$10,000	\$8,000	03/13/2019	
ZWMS 2018-1(HMT)	1	\$5,000	\$5,000	\$3,000	10/01/2018	
ZWMS 2019-1(HMT)	1	\$5,000	\$5,000	\$3,250	07/17/2019	
ZWND 2019-1(HMT)	1	\$2,500	\$2,500	\$1,950	03/18/2019	
ZWOC 2019-1(HMT)	1	\$2,000	\$2,000	\$2,000	07/09/2019	
ZWPE 2015-1(HMT)	1	\$10,000	\$10,000	\$8,000	07/30/2019	
ZWPE 2016-1(HMT)	1	\$10,000	\$10,000	\$8,000	07/30/2019	
ZWPO 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	11/07/2018	
ZWRK 2019-1(HMT)	1	\$3,000	\$3,000	\$2,300	03/17/2019	
ZWRK 2019-2(HMT)	1	\$4,000	\$4,000	\$3,200	09/16/2019	
ZWRR 2018-1(HMT)	1	\$4,000	\$4,000	\$2,500	11/08/2018	
ZWYZ 2019-1(HMT)	1	\$3,000	\$3,000	\$3,000	09/13/2019	
ZZAR 2019-1(HMT)	1	\$5,000	\$5,000	\$3,350	08/01/2019	
ZZCS 2019-1(HMT)	2	\$6,000	\$6,000	\$4,800	09/05/2019	
ZZCT 2019-1(HMT)	1	\$2,000	\$2,000	\$1,600	06/03/2019	
<b>Total</b>	<b>6,112</b>	<b>\$22,407,637</b>	<b>\$21,371,829</b>	<b>\$16,195,292</b>		

## Respondent

<u>Codes</u>	<u>Respondent Names</u>
ABWR	Alabama Warrior Railway, LLC.
ACWR	ABERDEEN, CAROLINA AND WESTERN RAILROAD
ADCX	Adirondack Scenic Railroad
AGR	Alabama & Gulf Coast Railway LLC.
ALS	The Alton and Southern Railway Company
AOK	ARKANSAS-OKLAHOMA RAILROAD COMPANY
APA	THE APACHE RAILWAY CO.
ARR	Alaska Railroad Corporation
ARS	Arkansas Southern Railroad
ASRY	ASHLAND RAILWAY INC.
ATK	National Railroad Passenger Corporation
ATN	Alabama & Tennessee River Railway LLC
AWRR	AUSTIN WESTERN RAILROAD
AZER	ARIZONA EASTERN RAILWAY
BAWT	Bayway Terminal Switching
BAYL	BAY LINE RAILROAD
BB	Buckingham Branch Railroad Company
BBAY	Bogalusa Bayou Railroad LLC
BHRR	Birmingham Terminal Railway, LLC
BING	Bingham Cooperative, Inc.
BJRY	BURLINGTON JUNCTION RAILWAY
BLF	Brightline
BLR	Blacklands Railroad
BLU	Blue Ridge Southern Railroad, L.L.C.
BM	BOSTON AND MAINE CORPORATION
BNSF	BNSF RAILWAY COMPANY
BPRR	BUFFALO & PITTSBURGH RAILROAD, INC.
BRC	The Belt Railway Company of Chicago
BRSR	BATON ROUGE SOUTHERN RAILROAD
BSFS	BIG SOUTH FORK SCENIC RAILWAY
BVRR	Boise Valley Railroad, LLC
CA	CHESAPEAKE & ALBEMARLE RAILROAD COMPANY, INC.
CBRW	Columbia Basin Railroad Company, INC.
CERR	Cicero Central Railroad
CFE	Chicago, Ft. Wayne & Eastern
CFNR	CALIFORNIA NORTHERN RAILROAD CO.
CFRC	CENTRAL FLORIDA RAIL CORRIDOR
CMEM	Cargill Memphis
CMQX	Central Maine & Quebec Railway

## Respondent

<u>Codes</u>	<u>Respondent Names</u>
CN	Canadian National Railway Company
CNRX	Cincinnati Railway Company
CORP	CENTRAL OREGON & PACIFIC RAILROAD, INC.
CP	CANADIAN PACIFIC RAILWAY
CPR	CaterParrott Railnet, LLC
CRL	CHICAGO RAIL LINK
CRSH	Consolidated Rail Corporation
CSX	CSX TRANSPORTATION, INC.
CTM	Chicago Terminal Railroad
CUOH	The Columbus & Ohio River Rail Road Co.
CWRY	COMMONWEALTH RAILWAY, INCORPORATED
DART	Dallas Area Rapid Transit
DC	DELRAY CONNECTING RAILROAD COMPANY
DCR	Delmarva Central Railroad
DGNO	Dallas, Garland and Northeastern Railroad, Inc.
DMVW	DAKOTA MISSOURI VALLEY AND WESTERN
DN	DAKOTA NORTHERN RAILROAD, INC.
DQE	DEQUEEN AND EASTERN RAILROAD, LLC
DSRC	DAKOTA SOUTHERN RAILWAY COMPANY
EBRR	Exel Baytown Railroad
EIRR	Eastern Idaho Railroad, LLC
ELS	ESCANABA AND LAKE SUPERIOR RAILROAD CO.
EVWR	Evansville Western Railroad, Inc.
FCEN	FLORIDA CENTRAL RAILROAD CO.
FEC	Florida East Coast Railway LLC
FMWX	FILLMORE AND WESTERN RAILWAY
FNOR	FLORIDA NORTHERN RAILROAD COMPANY INC.
FTRL	Foster Townsend Rail Logistics LLC
FWWR	FORT WORTH & WESTERN RAILROAD
GC	GEORGIA CENTRAL RAILWAY
GCK	Georges Creek Railway
GDLK	GRAND ELK RAILROAD, LLC.
GFRR	GEORGIA AND FLORIDA RAILWAY, LLC.
GIMY	GITM INTERMODAL YARD
GNWR	GENESEE AND WYOMING RAILROAD COMPANY
GRLW	Greenville & Western Railway Company, LLC
GRNW	Great Northwest Railroad, LLC
GRYR	Grenada Railroad, LLC
GTLS	GT Logistics



## Respondent

<u>Codes</u>	<u>Respondent Names</u>
GULF	Gulf Oil
GWR	GREAT WESTERN RAILWAY of Colorado, LLC
GWRC	GEORGIA WOODLANDS RAILROAD, LLC.
HESR	HURON & EASTERN RAILWAY COMPANY, INC.
HOG	HEART OF GEORGIA RAILROAD, INC.
HR	Heritage Railroad Corp.
IAIS	Iowa Interstate Railroad
IANR	IOWA NORTHERN RAILWAY COMPANY
IARR	IOWA RIVER RAILROAD INC
IHB	Indiana Harbor Belt Railroad Company
INPR	Idaho Northern And Pacific Railroad
IOYR	INDIANA & OHIO RAILWAY COMPANY
KCS	The Kansas City Southern Railway Company
KO	Kansas and Oklahoma Railroad, LLC
KRR	KIAMICHI RAILROAD CO., LLC.
KRSV	Keolis Rail Services Virginia, LLC
KYLE	KYLE RAILROAD CO.
LAL	LIVONIA, AVON & LAKEVILLE RAILROAD CORPORATION
LAS	LOUISIANA SOUTHERN RAILROAD
LBWR	Lubbock & Western Railway, L.L.C.
LDRR	Louisiana & Delta Railroad, Inc.
LRPA	Little Rock Port Authority Railroad
LRWN	Little Rock & Western Railway, L.P.
LS	Longview Switching
LVR	Landisville Railroad, LLC
LVRX	Lehigh Valley Rail Management LLC
MACZ	MARYLAND TRANSIT ADMINISTRATION
MBTA	Massachusetts Bay Transportation Authority
MCCP	MUSKOGEE CITY-COUNTY PORT AUTHORITY
MCRL	Massachusetts Coastal Railroad LLC
MDW	MINNESOTA, DAKOTA AND WESTERN RAILWAY COMPANY
MH	MOUNT HOOD RAILWAY COMPANY
MHWA	Mohawk, Adirondack & Northern Railroad Corp.
MNA	MISSOURI & NORTHERN ARKANSAS RAILROAD CO., INC.
MNBR	Meridian and Bigbee Railroad, LLC
MNCW	Metro-North Commuter Railroad Company
MNN	Minnesota Northern Railway
MNR	Maine Northern Railway Company
MOR	MOR, LLC.

## Respondent

<u>Codes</u>	<u>Respondent Names</u>
MRL	Montana Rail Link
NCIR	NEW CASTLE INDUSTRIAL RAILROAD
NCT	North Charleston Terminal Co.
NCTC	North County Transit Coaster
NECR	NEW ENGLAND CENTRAL RAILROAD, INC.
NERR	NASHVILLE & EASTERN RAILROAD
NICD	Northern Indiana Commuter Transportation District
NICX	Niles Canyon Railway
NJTR	NEW JERSEY TRANSIT RAIL OPERATIONS
NLA	North Louisiana & Arkansas Railroad
NMRX	NEW MEXICO DEPARTMENT OF TRANSPORTATION
NNBR	Newport & Narragansett Bay Railroad Co. LLC
NNW	Nebraska Northwestern Railroad Inc.
NOPB	NEW ORLEANS PUBLIC BELT RAILROAD CORP
NPB	Norfolk & Portsmouth Belt Line Railroad Company
NSHR	NORTH SHORE RAILROAD
NTZR	Natchez Railway, LLC
NVRR	NAPA VALLEY RAILROAD
NYA	NEW YORK AND ATLANTIC RAILWAY COMPANY
NYSW	The New York Susquehanna and Western Railway Corp.
OERR	Oregon Eastern Railroad
OHCR	Ohio Central Railroad, Inc.
PAL	PADUCAH & LOUISVILLE RAILWAY COMPANY
PAS	Pan Am Southern LLC.
PCC	Palouse River & Coulee City Railroad, LLC
PCJX	PENINSULA CORRIDOR JOINT POWERS BOARD
PCMZ	CALTRAIN COMMUTER RAILROAD COMPANY
PHL	PACIFIC HARBOR LINE
PICK	PICKENS RAILROAD COMPANY
PN	Pennsylvania Northeastern Railroad
PNWR	PORTLAND AND WESTERN RAILROAD INC.
POVA	PEND OREILLE VALLEY RAILROAD, INCORPORATED
PSAP	PUGET SOUND & PACIFIC RAILROAD
PSRR	PACIFIC SUN RAILROAD
PTRA	PORT TERMINAL RAILROAD ASSOCIATION
PW	PROVIDENCE AND WORCESTER RR COMPANY
RBMN	Reading Blue Mountain & Northern Railroad Company
RCPE	Rapid City, Pierre & Eastern Railroad, Inc.
RJCC	R. J. Corman Railroad Company/Central Kentucky Lin

## Respondent

<u>Codes</u>	<u>Respondent Names</u>
RJCK	R. J. Corman Railroad Company/Tennessee Terminal
RJCL	R. J. Corman Railroad Company/Cleveland Line
RJCM	R. J. Corman Railroad Company/Memphis Line
RRVW	Red River Valley & Western Railroad Company
RSIX	RailServe, Inc.
RSL	RSL Railroad, LLC.
RTDC	Regional Transportation District- Commuter
RWSI	RailWorks Track Systems, Inc.
SAC	San Antonio Central Railroad, LLC.
SCCT	SANTA CLARA COUNTY TRANSIT DISTRICT
SCX	Santa Cruz and Monterey Bay Railway Co.
SCXY	ST. CROIX VALLEY RAILROAD
SEPA	Southeastern Pennsylvania Transportation Authority
SERA	SIERRA NORTHERN RAILWAY COMPANY
SFRV	South Florida Regional Transportation Authority
SJVR	San Joaquin Valley Railroad Co.
SKOL	South Kansas and Oklahoma Railroad Company
SLRG	SAN LUIS & RIO GRANDE RAILROAD
SLWC	Stillwater Central Railroad Company, LLC
SMRT	Sonoma Marin Area Rail Transit (SMART)
SNC	Saratoga & North Creek Railway, LLC
SOU	Norfolk Southern Railway Company
ST	SPRINGFIELD TERMINAL RAILWAY COMPANY
TASD	Terminal Railway Alabama State Docks
TEXT	Textile Rubber & Chemical Company
TIBR	Timberrock Railroad Company, LLC
TMBL	Tacoma Municipal Belt Line Railway
TPR	Tradepoint Rail, LLC.
TPW	Toledo, Peoria and Western Railway Corp.
TRC	TRONA RAILWAY COMPANY
TRE	TRINITY RAIL EXPRESS
TRRA	Terminal Railroad Association of St. Louis
TSWS	Terminal Switching Services
TTIS	TRANS KENTUCKY TRANSPORTATION RAILROAD, INC.
TXN	Texas New Mexico Railway, LLC.
TXPF	Texas Pacifico Transportation, Ltd.
UFRC	UTAH FRONTRUNNER COMMUTER RAIL
UP	Union Pacific Railroad Company
UPME	Union Pacific-METRA

## Respondent

<u>Codes</u>	<u>Respondent Names</u>
URR	Union Railroad Company (Pittsburgh), LLC.
UTAH	UTAH RAILWAY COMPANY
VR	Valdosta Railway, L.P.
WATX	WATCO Switching
WE	Wheeling & Lake Erie Railway Company
WGSB	Wabtec Global Services Houston
WSS	WINSTON-SALEM SOUTHBOUND RAILWAY
WTLC	West Texas and Lubbock Railway Company
XA1R	A-1 Railway Services, LLC
XAAT	ALL AMERICAN TRACK TAMPING, INC.
XACM	ARCELORMITTAL
XACR	ARMOND CASSIL RAILROAD CONSTRUCTION, INC.
XAPI	Accessories Plus, Inc.
XAPQ	Appalachian Railcar Services
XBPI	BP Chemical, Inc.
XBRI	BALFOUR BEATTY RAIL, INC.
XBWO	Big West Oil
XCAI	Cargill, Inc.
XCEN	CLEAN EARTH OF NORTH JERSEY
XCHS	CHS, INC.
XCOM	CITY OF MEDINA
XCUR	Centauri Technologies, L.P.
XDCC	Dominion Colour
XEGC	EVERGREEN PACKAGING CO.
XEXG	Excel Group
XFCM	Full Circle Manufacturing Group, Incl
XFEF	FedEx Freight, Inc.
XFLO	Flopam Inc.
XFMC	FREEPOR-T-MCMORAN INC.
XFMV	Fleischmann's Vinegar
XFTI	Frank Tartaglia, Inc.
XGEO	Georgia Pacific, LLC.
XGNN	Geneva Nitrogen
XGON	Gonzalez and Sons Equipment, Inc.
XHBF	H. B. Fuller Co.
XICB	INCOBRASA INDUSTRIES, LTD
XING	Ingredion Incorporated
XJPC	J.A. Placek Construction Co.
XLGP	L.G. PIKE CONSTRUCTION COMPANY

## Respondent

<u>Codes</u>	<u>Respondent Names</u>
XLLA	LIL ALS Trackwork
XMCQ	MARTTS COMPANY
XMIK	Miken Cartage, Inc.
XMKW	MarkWest Hydrocarbon, L.L.C.
XMPM	MOMENTIVE PERFORMANCE MATERIALS, INC.
XMPS	MARTIN PRODUCT SALES, LLC
XNSN	NSN Warehouse
XPMO	PMC Organometallics, Inc.
XPTC	Peninsula Terminal Company
XRMA	Rocky Mountain Agronomics, Inc.
XRMP	Remprex, LLC.
XSCU	SSC Industries
XSRG	Simmons Railroad Group
XSTH	Sawtooth NGL Caverns
XTRG	TRINITY RAIL GROUP, INC.
XUSE	U.S. ENVIRONMENTAL SERVICES, LLC
XVES	Vesuvius USA
XYRC	YRC Freight
XZTH	Zenith Energy Terminals
YRC	York Railway Company
ZABO	Agribiofuels, LLC
ZABU	ABC Gulf Coast Terminal
ZACH	ASHTA CHEMICALS, INC.
ZACR	ADM CORN PROCESSING
ZACW	ASK Chemicals LP - Cleveland West
ZACX	ACFO
ZADN	THE ANDERSONS, INC.
ZADQ	Alberta Distillers Limited
ZADR	ADM Processing
ZAEN	Altex Energy, Ltd.
ZAEX	ALPHA EXPLOSIVES
ZAGQ	Airgas Specialty Products Inc.
ZAGT	AmeriGas Propane L.P.
ZAIL	AIR LIQUIDE LARGE INDUSTRIES US LP
ZAKC	ASK Chemicals LP, Cleveland East
ZAKE	ARKALON ETHANOL
ZAKN	Akzo Nobel Functional Chemicals LLC
ZALC	Asarco LLC
ZALO	Advanced Logistics

## Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZALRC	ALARON CORP.
ZAMC	ARCHER DANIELS MIDLAND CO.
ZAMRI	AMERICAN RAILCAR INDUSTRIES
ZAMU	ArrMaz Custom Chemicals
ZAMV	AMVAC CHEMICAL CORPORATION
ZAND	THE ANDERSONS, INC.
ZAPCH	APACHE NITROGEN PRODUCTS, INC.
ZAPM	Ascend Performance Materials LLC
ZARJ	Arrow Material Services
ZARK	ARKEMA, INC.
ZASR	AMERICAN SYNTHETIC RUBBER COMPANY
ZATB	ASSOCIATED TERMINALS OF ST. BERNARD
ZATP	Allen's Transport Ltd.
ZAUI	AGRIUM U.S. INC.
ZAUM	Austin Master Services LLC
ZAUP	Austin Powder Company
ZAVX	AdvanSix
ZAXI	Axiall Corporation
ZAYU	Accella Polyurethane Systems LLC
ZBAS	BASF CORPORATION
ZBAY	Bayside Recycling Corp.
ZBCZ	Birla Carbon USA Inc.
ZBDW	BIGHORN, DIVIDE, & WYOMING
ZBEP	Buckeye Partners
ZBFM	Bailey Feed Mill, Inc.
ZBJM	Benjamin Moore Co.1
ZBKA	Braskem America, Inc.
ZBLW	Bluewater Oil Transport
ZBMQ	Bitumar Inc.
ZBPWC	B.P. WEST COAST PRODUCTS
ZBRP	BRENNTAG PACIFIC, INC.
ZBRQ	BIG RIVER RESOURCES
ZBRT	Brasseur Transport Inc.
ZBTA	Bio Trans Modal, LLC
ZBTM	Buckeye Terminals LLC-Macungie
ZBTX	BLEACHTECH LLC
ZBTZ	Bio Trans Intermodal
ZBUD	BioUrja New Town Terminal, LLC.
ZCAB	CABOT CORP.

## Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZCACT	CELANESE ACETATE
ZCCN	Clearon Corporaton
ZCEF	CHIEF ETHANOL FUELS
ZCELA	Celanese
ZCEY	Cetane Energy LLC
ZCFC	Chemours Co. FC, LLC
ZCHE	Chemtrade Solutions, LLC.
ZCHEV	Chevron Products Company
ZCHF	Chemical South Transport
ZCHL	C Three Logistics, LLC
ZCHX	CLEAN HARBORS ENVIRONMENTAL SERVICES, INC.
ZCLAR	CLARIANT CORPORATION
ZCLL	Chalmette Refining, LLC.
ZCLQ	CORN LP
ZCLS	CROWLEY LINER SERVICES INC.
ZCLX	CHEMTRADE LOGISTICS
ZCM2	CAM2 International, LLC
ZCME	Calumet Montana Refining, LLC
ZCMP	CHEMICAL PRODUCTS CORPORATION
ZCNC	CHEROKEE NITROGEN
ZCNL	Canal Terminal Company
ZCNO	Contanda Terminals LLC
ZCO2	Chemical Solvents, Inc.
ZCOV	Covestro LLC.
ZCPCL	Chevron Phillips Chemical Company LP
ZCPX	Caballo Mine Company
ZCRZ	Cornerstone Chemical Company
ZCSM	Crestwood Midstream Partners LP
ZCT	COLONIAL TERMINALS
ZCTG	Citgo Petroleum Corporation
ZCTJ	Clear Tech Industries Inc.
ZCUL	CUL MAC INDUSTRIES
ZCVO	Chevron Oronite
ZCWS	Crestwood Services LLC
ZCXU	Canexus Corporation
ZDAK	DAK AMERICAS LLC
ZDAR	Dart Polymers, Inc.
ZDAS	Dow Agrosiences LLC.
ZDCG	Delta Companies Group

## Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZDCPC	DIVERSIFIED CPC INTERNATIONAL, INC.
ZDCU	The Dow Chemical Company
ZDGT	Dakota Gold Transfer
ZDGZ	Dakota Gasification Co.
ZDKG	Drake Gas Company
ZDKR	DELEK REFINING, LTD.
ZDNC	Dana Railcare
ZDOW	DOW CORNING CORPORATION
ZDPCI	D P C INDUSTRIES, INC.
ZDRY	American Dry Ice Corporation
ZDXL	Dixie Land Oil Company LLC
ZDYI	DYNO NOBEL, INC.
ZEACH	EASTMAN CHEMICAL COMPANY
ZEBZ	Exxon Mobil Billings Refinery
ZEEN	ECO ENERGY
ZEGL	Energy Logistics
ZEMR	ExxonMobil Oil Corporation
ZENK	EnLink Midstream
ZEOA	Elite Octane, LLC
ZEPX	AePEX Energy
ZEPZ	Enterprise Products Operating LLC
ZEQU	EQUISTAR CHEMICALS LP
ZERV	Elbow River Marketing Ltd
ZESQ	ESQUIRE GAS PRODUCTS COMPANY
ZEVD	Evonik Corporation
Z EVT	EVANS TRUCKING
ZEXM	ExxonMobil Corporation
ZEYN	Ensyn Technologies
ZFG	FORTNER GAS COMPANY
ZFGC	FERRELL GAS, INC.
ZFGP	FLINT GROUP PIGMENTS
ZFHR	Flint Hills Resources
ZFIE	First Energy
ZFLC	FLOCHEM Ltd.
ZFPC	FORMOSA PLASTICS CO.
ZFRQ	POET Biorefining-Gowrie
ZFTQ	Thermo Fluids, Inc.
ZFUF	FUTURE FUEL CHEMICAL COMPANY
ZFVF	Frenchman Valley Farmers Co-Op



## Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZGAD	American Gas Products
ZGATX	GATX Corporation
ZGBW	GBW Railcar Services, LLC
ZGEG	Genesis Energy, L.P.
ZGEO	Geo Specialty Chemicals, Inc.
ZGEPA	Georgia Pacific Company
ZGEU	GIBSON ENERGY LLC
ZGFC	Greenenergy Fuels Canada Inc.
ZGFE	Greenfield Ethanol, Inc.
ZGIL	Giles Chemical
ZGKH	GKH Global Services
ZGLE	Glacial Lakes Energy, LLC
ZGLM	Norfalco Sales, Glencore Canada Corporation
ZGPE	Green Plains, Inc.
ZGPK	Granite Peak Transloading
ZGPS	GRAIN PROCESSING CORP.
ZGPZ	Georgia Ports Authority
ZGRM	Grammar Industries
ZGSZ	SGS North America, Inc., Petroleum Service Corp.
ZGTE	GOLDEN TRIANGLE ENERGY
ZGUE	Guardian Energy
ZHC	HENKEL CORPORATION
ZHCG	HUNTSMAN CORPORATION
ZHET	POET Biorefining-Jewell
ZHFO	Houston Fuel Oil Terminal Co.
ZHFP	Hartland Fuel Products
ZHFR	HollyFrontier Refining & Marketing LLC
ZHNI	Honeywell International, Inc.
ZHRM	HOLLY ENERGY PARTNERS
ZHSL	Hunt Southland Refining Company
ZHSN	Hamburg Sud North America
ZIBO	IROQUOIS BIO-ENERGY COMPANY, LLC
ZICH	INTERNATIONAL CHEMICAL COMPANY (Inter-Chem)
ZICL	ICL PERFORMANCE PRODUCTS, LP
ZICZ	ICC Chemical Corporation
ZIES	INEOS Olefins & Polymers USA
ZIFT	Inland Fuel Terminals, Inc.
ZIGI	The International Group, Inc.
ZIMA	INTERPLASTIC CORPORATION

## Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZIML	IMTT - Lemont
ZIMO	Imperial Oil Limited
ZIND	Indigo Energy
ZING	Ingevity Corporation
ZINS	ITS Technologies & Logistics, LLC
ZINTT	International Matex Tank Terminals
ZIOD	Imperial Oil Chemical Div.
ZIOR	Innocor, Inc.
ZIOW	POET Biorefining-Hanlontown
ZIP	INTERNATIONAL PAPER COMPANY
ZIPI	INEOS PHENOL, INC.
ZIRO	IRVING OIL COMPANY
ZISY	Ineos Styrolution America
ZITT	INTERCONTINENTAL TERMINALS COMPANY
ZIUM	AGRIUM PHOSPHATE FERTILIZER
ZIVE	Indorama Ventures
ZJBB	JIM BEAM BRANDS
ZJBH	JB Hunt
ZJCC	JCI JONES CHEMICALS, INC.
ZJRS	J. R. SIMPLOT COMPANY
ZJVE	POET Biorefining-Groton
ZKEM	Kemira Water Solutions
ZKFC	KOCH FERTILIZER CANADA, ULC
ZKLA	K-LINE AMERICA
ZKLG	Kleysen Group LP.
ZKMI	KMCO, Inc.
ZKML	Kinder Morgan Liquids Terminals, LLC
ZKMQ	Kinder Morgan
ZKPI	Koppers Inc.
ZKPS	KEYSTONE PROPANE SERVICE INC.
ZKRA	Kraton Corporation
ZKWS	KEMIRA WATER SOLUTIONS
ZKYE	Keyera Corp.
ZLAN	Lanxess Inc.
ZLBR	LBC Baton Rouge
ZLCT	Alcotra North America, Inc.
ZLDE	LYONDELL CHEMICAL CO.
ZLOI	LogiBio LLC
ZLOU	Louis Dreyfus Claypool Holdings, LLC.

## Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZLSI	Locomotive Service, Inc.
ZLSP	LITTLE SIOUX CORN PROCESSORS
ZLTE	Lubrication Technologies
ZLUB	Lubrizol Corporation
ZLUIN	LUCITE INTERNATIONAL
ZLWE	LINCOLNWAY ENERGY, LLC
ZMFA	MFA AGRI SERVICE
ZMFQ	Mosaic Fertilizer LLC
ZMGD	MGPI of Indiana, LLC
ZMGN	Magnesium Products Inc.
ZMGP	MGP Ingredients, Inc.
ZMHO	Monument Chemical Houston, Ltd.
ZMLZ	Maalt LP
ZMNP	Marathon Petroleum Company
ZMNZ	Meser North America, Inc.
ZMOL	MOL INTERMODAL, INC.
ZMQE	MARQUIS ENERGY, LLC
ZMRK	Maersk Line
ZMRM	American Milling LP
ZMROC	MOBILE ROSIN OIL COMPANY, INC.
ZMSA	MOUNTAIN STATE CARBON
ZMSL	MicroSource LLC
ZMTE	Motiva Enterprises LLC
ZMUN	The Mundy Company
ZMUSK	MUSKET CORPORATION
ZMVT	Mountainview Terminals, Ltd.
ZMWA	Midwest Transatlantic Lines Inc.
ZMYT	Manly Terminal
ZNAL	Nalco Company
ZNAX	Nal Resources Ltd.
ZNBS	NOBLE OIL SERVICES, INC.
ZNBX	NELSON BROTHERS
ZNCAS	NACHURS-ALPINE SOLUTIONS
ZNCM	Northstar Chemicals
ZNDM	Domtar Paper Company LLC
ZNDV	Andeavor
ZNEP	NGL Energy Partners
ZNGN	Sintesis Organicas SA DE CV
ZNIA	NIACET CORPORATION

## Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZNIC	New-Indy Catawba LLC
ZNPC	NORTHWEST PETROLEUM CORPORATION
ZNSA	Northwest Seaport Alliance
ZNTN	Nutrien Ag Solutions
ZNUC	NUCOR STEEL CORPORATION
ZNXE	Nexeo Solutions LLC
ZOCE	POET Biorefining-Ashton
ZOEE	One Earth Energy, LLC
ZOLI	OLIN CORPORATION
ZOLL	OMNIUM LLC
ZOTER	ODFJELL TERMINALS (HOUSTON), INC.
ZPAE	PACIFIC ETHANOL, INC.
ZPBB	POET Biorefining-Big Stone
ZPBF	PBF Energy
ZPBK	POET Biorefining-Lake Crystal
ZPBN	POET Biorefining-North Manchester
ZPBO	POET BIOREFINING-Mitchell
ZPCSS	PCS SALES (USA), INC.
ZPEA	Poet Ethanol Products-Atlantic
ZPEB	Pembina Resources Services Canada
ZPGI	Petrogas, Inc.
ZPKG	PACKAGING CORPORATION OF AMERICA
ZPLA	PINE LAKE CORN PROCESSORS
ZPLP	PARALLEL PRODUCTS
ZPLS	PLAINS LPG SERVICES LP
ZPLT	Plasmine Technology
ZPMA	PLAINS MARKETING COMPANY
ZPMS	Plains Midstream Canada, LLC
ZPNA	Pembina Pipeline Corp.
ZPPJ	Pro Petroleum Incorporated
ZPPL	Plains All-American Pipeline LP.
ZPRX	PRAXAIR, INC.
ZQCR	Quality Carriers
ZQMB	Quimobasicos
ZQRZ	Quala Rail & Specialty
ZQSA	Quimir SA De CV
ZRCA	Ruetgers Canada, Inc.
ZRCQ	Reagent Chemical & Research, Inc.
ZRDI	RED RIVER SUPPLY, INC.

## Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZREBO	REBEL OIL COMPANY
ZRES	RESCAR, INC.
ZRHK	ROHM & HAAS COMPANY
ZRLC	Greenwood Motor Line
ZRLO	Rail Loading Services, LLC
ZRLZ	RSI Leasing, Inc.
ZRNW	Rail Renewables, LLC
ZRPD	R. E. POWELL DISTRIBUTING CO.
ZRPM	Renewable Product Marketing Group, LLC
ZRRE	Red River Energy
ZRRM	Rose Rock Midstream Field Services, LLC.
ZRRQ	Road & Rail Services, Inc.
ZRRV	Railservice, Inc.
ZRSER	Rail Services, Inc.
ZRSF	Resolute FP US Inc.
ZRSH	RSI LOGISTICS, INC.
ZRSL	Research Solutions
ZRTQ	Roughrider Transportation, Inc. (RTQ)
ZRUI	Rubicon, LLC
ZRYA	Royal Chemical
ZRYD	Ryder Logistics
ZSBQ	SAPP BROTHERS PETROLEUM, INC.
ZSCC	SHELL CHEMICAL LP
ZSEU	SUNCOR ENERGY (USA), INC.
ZSGW	St. George Warehouse
ZSI	Southern Ionics, Inc.
ZSKI	Safety-Kleen Systems, Inc.
ZSLA	Shintech Louisiana LLC.
ZSLH	Splash Products, Inc.
ZSPZ	Spray Products Corp.
ZSR	Sid Richardson Carbon & Energy Company
ZSRE	Suncor Energy Products, Inc.
ZSTQ	STEPAN COMPANY
ZSWC	Sherwin-Williams Company
ZSWR	SINCLAIR WYOMING REFINING COMPANY
ZTAM	TAMINCO US, INC.
ZTAW	Thresher Artisan Wheat
ZTBR	Tauber Petrochemical Co.
ZTCL	TACTICAL CLEANING

## Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZTCY	Tri-County Chemical Inc.
ZTDI	Total Distribution, Inc.
ZTEL	THARALDSON ETHANOL
ZTERM	TESORO REFINING AND MARKETING COMPANY
ZTES	Tesoro Refining & Marketing Company LLC
ZTFT	Transflo Terminal Services
ZTGT	Targa Transportation LLC
ZTHA	THATCHER COMPANY
ZTHR	The Quimicos de Mexico SA DE
ZTIN	Tanco Term Port of Indiana
ZTJC	Tianjin Chengyi International Trading Co. Ltd.
ZTKA	TEKNOR APEX COMPANY
ZTKB	TOKAI CARBON CB LTD
ZTLA	Associated Asphalt
ZTLY	TATE & LYLE INGREDIENTS AMERICAS, INC.
ZTME	Tidewater Midstream & Infrastructure
ZTMN	TRADEMARK NITROGEN CORPORATION
ZTMT	TransMontaigne Product Services, Inc.
ZTMU	Tetra Micronutrients
ZTNHR	THREE NOTCH RAILROAD
ZTOE	Total Specialties USA Inc.
ZTPU	TOTAL PETROCHEMICALS USA INC
ZTRG	Toledo Refining Company LLC
ZTRSP	TROPICAL SHIPPING USA, LLC
ZTSS	Tessengerlo Kerley, Inc.
ZTTS	Trimac Transportation Services, Inc.
ZTXI	Texas Industries Inc.
ZUGR	USD Group LLC.
ZULC	USALCO
ZUNB	Uniboard Canada Inc.
ZUNIV	UNIVAR SOLUTIONS USA INC.
ZUPS	UNITED PARCEL SERVICE, INC.
ZUPT	UPS FREIGHT
ZURC	UNITED REFINING COMPANY
ZUSEP	U.S. ENERGY PARTNERS, LLC
ZUSL	USA Warehousing & Logistics
ZUSN	US Nitrogen
ZUSS	UNITED STATES STEEL GROUP/USX CORPORATION
ZUTC	UNION TANK CAR COMPANY

## Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZVALM	Valero Marketing and Supply Company
ZVOC	Vesco Oil Corporation
ZVPR	VP Racing Fuels
ZVTD	Valero Terminating and Distribution Company
ZVTZ	VOPAK TERMINAL DEER PARK
ZVYE	POET Biorefining-Emmetsburg
ZWAC	WARRIOR ASPHALT INC.
ZWAL	Walmart
ZWAR	WARREN DISTRIBUTION
ZWATC	Watco Companies LLC
ZWBC	Westcan Bulk Transport
ZWLC	WESTLAKE CHEMICAL CORPORATION
ZWLT	WOLF LAKE TERMINALS, INC.
ZWMS	WILLIAMS MIDSTREAM
ZWND	Windstar Energy Resources
ZWOC	WHITAKER OIL COMPANY
ZWPE	WESTERN PLAINS ENERGY, LLC.
ZWPO	Westpoint Transportation, Inc.
ZWRK	WestRock Mill Company
ZWRR	WRR Environmental Services Co., Inc.
ZWYZ	Wymore Transfer Company
ZZAR	The Andersons, Inc.
ZZCS	Calumet Specialty Products Partners, LP
ZZCT	CTI, Inc.