

**Federal
Railroad
Administration**

**Fiscal Year 2021
Enforcement Report**

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Federal Railroad Administration Fiscal Year 2021 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.¹ As authorized by law, FRA issues orders assessing civil penalties for violations of the hazardous materials statutes, regulations, and orders.² Also, 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.³

Pursuant to the Rail Safety Improvement Act of 2008, FRA expanded the enforcement report to include more information about FRA's safety enforcement activities.⁴ FRA intends to make the enforcement report, with the additional information, available each year by December 31 for the preceding fiscal year (FY) (i.e., October 1 through September 30).

This FY 2021 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).

¹ 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, 270-272) and chapter I, subchapter A, Hazardous Materials and Oil Transportation, and subchapter C, Hazardous Materials Regulations.

² 49 U.S.C. ch. 51; 49 C.F.R. § 1.89; 49 C.F.R. part 209.

³ 49 U.S.C. § 103; and 49 C.F.R. § 1.89.

⁴ 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). See <https://railroads.dot.gov/>.

**II. SUMMARY OF INSPECTIONS AND AUDITS PERFORMED,
AND ENFORCEMENT ACTIONS RECOMMENDED
IN FY 2021**

**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:	71,335
Defects:	258,359
Units:	3,009,319
Number of Observations:	326,891
Number of Reports with a Recommended Violation:	3,627
Number of Recommended Violation Defects:	7,306
Number of Inspection Days:	56,878

2. Railroads Only

Number of Inspection Reports:	64,333
Defects:	243,382
Units:	2,940,187
Number of Observations:	305,670
Number of Reports with a Recommended Violation:	2,861
Number of Recommended Violation Defects:	5,846
Number of Inspection Days:	53,463

**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	41

2. Grade Crossing Signal System Safety

Violation Type	Number of Recommended Violations
Grade Crossing Signal Safety	347

3. Hazardous Materials

Violation Type	Number of Recommended Violations
Hazardous Materials	1,775

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	318
Locomotive Safety Standards	489
Passenger Equipment Safety Standards	8
Passenger Train Emergency Preparedness	0
Rear End Marking Devices	1
Safety Appliance Statutes and Regulations	1,666
Safety Glazing Standards	0
Steam Locomotive Inspection and Maintenance	1
All	2,483

6. Railroad Operating Practices

Violation Type	Number of Recommended Violations
Alcohol and Drug Use	373
Conductor Qualifications	54
Critical Incident Stress Plans	3
Engineer Qualifications	196
FRA Emergency Order(s)	1
Hours of Service Laws and Regulations	415
Hours of Service Recordkeeping	166
Railroad Communications	22
Railroad Operating Practices	397
Railroad Operating Rules	92
Railroad Safety Enforcement Procedures	8

Train Horn/Quiet Zone	2
All	1,729

7. Signal and Train Control

Violation Type	Number of Recommended Violations
Signal Inspection Regulations	97
PTC System Implementation	0
All	97

8. Track

Violation Type	Number of Recommended Violations
Bridge Safety Standards	1
Bridge Worker Safety Standards	2
Roadway Worker Protection	94
Track Safety Standards	736
All	833

9. Safety Management Systems

Violation Type	Number of Recommended Violations
System Safety Program	1
All	1

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

1. Class I Railroads

Number of Inspection Reports:	46,510
Defects:	181,404
Units:	2,312,502
Number of Observations:	228,898
Number of Reports with a Recommended Violation:	2,441
Number of Recommended Violation Defects:	4,907
Number of Inspection Days: ⁵	39,664

⁵ 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 Railroads⁶

Number of Inspection Reports:	2,156
Defects:	7,130
Units:	144,333
Number of Observations:	10,138
Number of Reports with a Recommended Violation:	66
Number of Recommended Violation Defects:	121
Number of Inspection Days:	1,966

3. Probable Class III Railroads

Number of Inspection Reports:	15,667
Defects:	54,848
Units:	483,352
Number of Observations:	66,634
Number of Reports with a Recommended Violation:	354
Number of Recommended Violation Defects:	818
Number of Inspection Days:	13,679

⁶ FRA has identified seven of the eight Class I railroads based on information they filed with the Surface Transportation Board (STB) for calendar year 2020—the latest full 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:	9,989
Defects:	36,820
Units:	485,992
Number of Observations:	47,951
Number of Reports with a Recommended Violation:	404
Number of Recommended Violation Defects:	693
Number of Inspection Days:	8,793

2. Canadian National Railway/Grand Trunk Corporation

Number of Inspection Reports:	2,196
Defects:	9,426
Units:	118,941
Number of Observations:	11,220
Number of Reports with a Recommended Violation:	94
Number of Recommended Violation Defects:	174
Number of Inspection Days:	1,937

3. Canadian Pacific Railway/Soo Line Railroad Company

Number of Inspection Reports:	1,353
Defects:	5,820
Units:	75,112
Number of Observations:	7,185
Number of Reports with a Recommended Violation:	65
Number of Recommended Violation Defects:	92
Number of Inspection Days:	1,225

4. CSX Transportation, Inc.

Number of Inspection Reports:	8,963
Defects:	33,646
Units:	475,599
Number of Observations:	44,680
Number of Reports with a Recommended Violation:	380
Number of Recommended Violation Defects:	848
Number of Inspection Days:	7,998

5. The Kansas City Southern Railway Company

Number of Inspection Reports:	1,156
Defects:	4,816
Units:	75,285
Number of Observations:	5,669
Number of Reports with a Recommended Violation:	31
Number of Recommended Violation Defects:	59
Number of Inspection Days:	1,041

6. National Railroad Passenger Corporation (Amtrak)

Number of Inspection Reports:	1,097
Defects:	1,447
Units:	15,285
Number of Observations:	5,093
Number of Reports with a Recommended Violation:	16
Number of Recommended Violation Defects:	18
Number of Inspection Days:	939

7. Norfolk Southern Railway Company

Number of Inspection Reports:	7,874
Defects:	33,377
Units:	402,528
Number of Observations:	39,766
Number of Reports with a Recommended Violation:	482
Number of Recommended Violation Defects:	1,124
Number of Inspection Days:	7,078

8. Union Pacific Railroad Company

Number of Inspection Reports:	13,882
Defects:	56,052
Units:	663,760
Number of Observations:	67,334
Number of Reports with a Recommended Violation:	969
Number of Recommended Violation Defects:	1,899
Number of Inspection Days:	12,078

III. SUMMARIES OF CIVIL PENALTY INITIAL ASSESSMENTS, SETTLEMENTS, AND FINAL ASSESSMENTS IN FY 2021

A. IN GENERAL⁷

Summary 1

Summary 1 provides a broad overview of penalties FRA initially assessed during FY 2021, the initial penalty assessment for cases closed during FY 2021, and the amount of the settlement or the final assessment of civil penalty. FRA has transitioned to a paperless enforcement system, and under that system, 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 2021 (through demand letters or, in hazmat cases, notices of probable violation);
- The number of violation reports that FRA declined to enforce in FY 2021 after legal review;
- The initial amount of civil penalties assessed in FY 2021 (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 (i.e., railroad, hazmat shipper, contractor, or individual that received the penalty assessment)) regardless of whether FRA closed the cases during FY 2021;
- 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 2021; and
- The total amount of civil penalties assessed or settled during FY 2021.⁸

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

⁸ 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 2021. **All numbers in Summary 2 reflect the initial assessments that resulted in FY 2021 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 may range 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 2021:	3,460
Total number of violations with civil penalties initially assessed in FY 2021:	3,672
Total number of violation reports declined during legal review in FY 2021:	53
Total amount of civil penalties initially assessed (POCA) for violations in cases transmitted in FY 2021:	\$15,533,171
Total amount of civil penalties initially assessed (POCA) for violations in cases finally assessed or settled in FY 2021:	\$16,566,343
Total final civil penalty assessment or settlement in FY 2021:	\$12,371,183

C. BREAKDOWN OF INITIAL ASSESSMENTS IN SUMMARY 1

1. For Each Class I Railroad Individually in FY 2021

AMTRAK

Number of cases with civil penalties initially assessed:	26
Number of violations with civil penalties initially assessed:	26
Number of violation reports declined during legal review:	0
Initial amount of civil penalty assessed:	\$73,500

BNSF RAILWAY COMPANY

Number of cases with civil penalties initially assessed:	345
Number of violations with civil penalties initially assessed:	359
Number of violation reports declined during legal review:	1
Initial amount of civil penalty assessed:	\$1,314,999

CANADIAN NATIONAL RAILWAY/GRAND TRUNK CORPORATION

Number of cases with civil penalties initially assessed:	101
Number of violations with civil penalties initially assessed:	102
Number of violation reports declined during legal review:	0
Initial amount of civil penalty assessed:	\$363,500

CANADIAN PACIFIC RAILWAY/SOO LINE RAILROAD COMPANY

Number of cases with civil penalties initially assessed:	70
Number of violations with civil penalties initially assessed:	72
Number of violation reports declined during legal review:	1
Initial amount of civil penalty assessed:	\$262,000

CSX TRANSPORTATION, INC.

Number of cases with civil penalties initially assessed:	383
Number of violations with civil penalties initially assessed:	401
Number of violation reports declined during legal review:	2
Initial amount of civil penalty assessed:	\$1,624,192

THE KANSAS CITY SOUTHERN RAILWAY COMPANY

Number of cases with civil penalties initially assessed:	29
Number of violations with civil penalties initially assessed:	30
Number of violation reports declined during legal review:	0
Initial amount of civil penalty assessed:	\$117,000

NORFOLK SOUTHERN RAILWAY COMPANY

Number of cases with civil penalties initially assessed:	437
Number of violations with civil penalties initially assessed:	451
Number of violation reports declined during legal review:	6
Initial amount of civil penalty assessed:	\$1,939,998

UNION PACIFIC RAILROAD COMPANY

Number of cases with civil penalties initially assessed:	807
Number of violations with civil penalties initially assessed:	837
Number of violation reports declined during legal review:	4
Initial amount of civil penalty assessed:	\$3,269,498

2. For Probable Class II Railroads in the Aggregate in FY 2021

Number of cases with civil penalties initially assessed:	63
Number of violations with civil penalties initially assessed:	64
Number of violation reports declined during legal review:	0
Initial amount of civil penalty assessed:	\$275,000

3. For Probable Class III Railroads in the Aggregate in FY 2021⁹

Number of cases with civil penalties initially assessed:	416
Number of violations with civil penalties initially assessed:	468
Number of violation reports declined during legal review:	33
Initial amount of civil penalty assessed:	\$1,865,500

4. For Hazmat Shippers in the Aggregate in FY 2021

Number of cases with civil penalties initially assessed:	677
Number of violations with civil penalties initially assessed:	737
Number of violation reports declined during legal review:	6
Initial amount of civil penalty assessed:	\$3,861,987

5. For Contractors in the Aggregate in FY 2021

Number of cases with civil penalties initially assessed:	28
Number of violations with civil penalties initially assessed:	33
Number of violation reports declined during legal review:	0
Initial amount of civil penalty assessed:	\$86,500

⁹ 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 2021” 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 2021¹⁰

Number of cases with civil penalties initially assessed:	78
Number of violations with civil penalties initially assessed:	92
Number of violation reports declined during legal review:	0
Initial amount of civil penalty assessed:	\$479,497

¹⁰ 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 2021

Total number of cases closed in FY 2021:	3,755
Total number of violations in cases closed in FY 2021:	3,993
Total initial amount of civil penalty assessed for cases closed (POCA):	\$17,293,842
Total final amount of civil penalty assessed or settlement for cases closed:	\$12,371,183
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$853,998
Amount of revised assessment after terminations (PRCA):	\$16,446,845
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$4,922,659
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$4,075,662

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

1. For Each Class I Railroad Individually in FY 2021

AMTRAK

Number of cases closed:	35
Number of violations in cases closed:	35
Initial amount of civil penalty assessed for cases closed (POCA):	\$132,500
Final amount of civil penalty assessed or settlement for cases closed:	\$101,190
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$2,000
Amount of revised assessment after terminations (PRCA):	\$130,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$31,310
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$29,310

BNSF RAILWAY COMPANY

Number of cases closed:	409
Number of violations in cases closed:	428
Initial amount of civil penalty assessed for cases closed (POCA):	\$1,744,999
Final amount of civil penalty assessed or settlement for cases closed:	\$1,274,502
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$21,000
Amount of revised assessment after terminations (PRCA):	\$1,723,999
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$470,497
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$449,497

CANADIAN NATIONAL RAILWAY/GRAND TRUNK CORPORATION

Number of cases closed:	156
Number of violations in cases closed:	159
Initial amount of civil penalty assessed for cases closed (POCA):	\$627,500
Final amount of civil penalty assessed or settlement for cases closed:	\$446,331
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$17,500
Amount of revised assessment after terminations (PRCA):	\$610,000
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$181,169
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$163,669

CANADIAN PACIFIC RAILWAY/SOO LINE RAILROAD COMPANY

Number of cases closed:	81
Number of violations in cases closed:	84
Initial amount of civil penalty assessed for cases closed (POCA):	\$324,500
Final amount of civil penalty assessed or settlement for cases closed:	\$215,419
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$15,000
Amount of revised assessment after terminations (PRCA):	\$309,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$109,081
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$94,081

CSX TRANSPORTATION, INC.

Number of cases closed:	407
Number of violations in cases closed:	426
Initial amount of civil penalty assessed for cases closed (POCA):	\$1,712,455
Final amount of civil penalty assessed or settlement for cases closed:	\$1,189,257
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$92,000
Amount of revised assessment after terminations (PRCA):	\$1,620,455
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$523,198
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$431,198

THE KANSAS CITY SOUTHERN RAILWAY COMPANY

Number of cases closed:	44
Number of violations in cases closed:	44
Initial amount of civil penalty assessed for cases closed (POCA):	\$187,500
Final amount of civil penalty assessed or settlement for cases closed:	\$139,450
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$0
Amount of revised assessment after terminations (PRCA):	\$187,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$48,050
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$48,050

NORFOLK SOUTHERN RAILWAY COMPANY

Number of cases closed:	562
Number of violations in cases closed:	579
Initial amount of civil penalty assessed for cases closed (POCA):	\$2,662,998
Final amount of civil penalty assessed or settlement for cases closed:	\$1,827,491
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$159,999
Amount of revised assessment after terminations (PRCA):	\$2,502,999
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$835,507
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$675,508

UNION PACIFIC RAILROAD COMPANY

Number of cases closed:	838
Number of violations in cases closed:	871
Initial amount of civil penalty assessed for cases closed (POCA):	\$3,351,893
Final amount of civil penalty assessed or settlement for cases closed:	\$2,636,557
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$9,500
Amount of revised assessment after terminations (PRCA):	\$3,342,393
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$715,336
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$705,836

2. For Probable Class II Railroads in the Aggregate in FY 2021

Number of cases closed:	78
Number of violations in cases closed:	81
Initial amount of civil penalty assessed for cases closed (POCA):	\$417,000
Final amount of civil penalty assessed or settlement for cases closed:	\$316,840
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$5,000
Amount of revised assessment after terminations (PRCA):	\$412,000
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$100,160
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$95,160

3. For Probable Class III Railroads in the Aggregate in FY 2021

Number of cases closed:	464
Number of violations in cases closed:	515
Initial amount of civil penalty assessed for cases closed (POCA):	\$1,951,500
Final amount of civil penalty assessed or settlement for cases closed:	\$1,116,176
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$227,500
Amount of revised assessment after terminations (PRCA):	\$1,724,000
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$835,324
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$607,824

4. For Hazmat Shippers in the Aggregate in FY 2021

Number of cases closed:	577
Number of violations in cases closed:	652
Initial amount of civil penalty assessed for cases closed (POCA):	\$3,718,998
Final amount of civil penalty assessed or settlement for cases closed:	\$2,778,615
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$292,500
Amount of revised assessment after terminations (PRCA):	\$3,433,499
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$970,383
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$654,884

5. For Contractors in the Aggregate in FY 2021

Number of cases closed:	58
Number of violations in cases closed:	72
Initial amount of civil penalty assessed for cases closed (POCA):	\$248,000
Final amount of civil penalty assessed or settlement for cases closed:	\$171,930
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$11,000
Amount of revised assessment after terminations (PRCA):	\$237,000
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$76,070
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$65,070

6. For Other Cases in the Aggregate in FY 2021¹¹

Number of cases closed:	46
Number of violations in cases closed:	47
Initial amount of civil penalty assessed for cases closed (POCA):	\$213,999
Final amount of civil penalty assessed or settlement for cases closed:	\$157,425
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$999
Amount of revised assessment after terminations (PRCA):	\$213,000
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$56,574
Difference between revised assessment (PRCA) and final	\$55,575

¹¹ 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.

assessment or settlement amount for cases closed:

IV. ENFORCEMENT ACTIONS AGAINST INDIVIDUALS IN FY 2021

A. CIVIL PENALTY CASES AGAINST INDIVIDUALS IN THE AGGREGATE

Total number of civil penalty cases initially assessed in FY 2021:	0
Total number of violations with civil penalties initially assessed in FY 2021:	0
Total initial amount of civil penalty assessed in FY 2021:	\$0
Number of civil penalty cases closed in FY 2021:	0
Total number of violations in cases closed in FY 2021:	0
Total initial amount of civil penalty assessed for cases closed in FY 2021:	\$0
Total final amount of civil penalty assessed (or settlement) for cases closed in FY 2021:	\$0
Amount terminated (generally due to legal defenses presented during settlement negotiations) for cases closed in FY 2021:	\$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 2021:	\$0
Difference between initial amount of civil penalty assessed (POCA) and final settlement amount for a violation in a case closed in FY 2021:	\$0

B. OTHER ENFORCEMENT ACTIONS AGAINST INDIVIDUALS IN THE AGGREGATE

Number of notices of proposed disqualification issued and served in FY 2021:	8
Number of proposed disqualification cases closed in FY 2021:	7
Number of warning letters issued by Office of the Chief Counsel in FY 2021:	0
Number of warning letters issued by FRA Office of Railroad Safety in FY 2021:	5

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

In 2008, FRA was statutorily mandated 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.¹² 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 (as

¹² 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.

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. While the available data permits some measurement of safety improvements in a functional area covered by an entire rule or an entire safety program, the data cannot be used to determine whether detectable safety improvements are directly attributable to discrete civil penalties.¹³ 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 not 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 independent consultant's report submitted 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.

¹³ The Federal Railroad Administration's Use of Civil Penalties in the Federal Railroad Safety Program (July 15, 2009) at 40-41.

SUMMARY AND ANALYSIS OF OPERATING CREW CERTIFICATION CASES¹³

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

Petitions for relief filed with the LERB/OCRB in FY 2021: [10 Conductor + 14 Locomotive Engineer]	24
Decisions issued by the LERB/OCRB in FY 2021: [8 Conductor + 11 Locomotive Engineer] [2 Locomotive Engineer petitions were withdrawn]	19
Average length of time for decision in FY 2021:	360 days from the date petition filed ¹⁴ (294 days from the date of the railroad's response to the appeal to the date that a decision was issued ¹⁵)

B. ADMINISTRATIVE HEARINGS

Number of pending cases before the Administrative Hearing Officer (AHO) as of October 1, 2021:	2
Number of requests for review by the AHO received during FY 2021:	0
Number of cases closed by the AHO during FY 2021: ¹⁶	1
Number of pending AHO cases as of October 1, 2021:	1
Average length of time for decision or other disposition:	12 months

¹³ 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 merged the two review boards, effective January 14, 2021, so that both crew members will have their petitions reviewed solely by the OCRB. See 85 Fed. Reg. 81290 (Dec. 15, 2020).

¹⁴ The LERB/OCRB endeavors to render a decision on each petition within 180 days from the date that the railroad's response is received or from the date upon which the railroad's response period has lapsed, which equates to 240 days from the date the petition is filed. This excludes any delay issuing an interim order may cause, where one or more of the parties initially provided incomplete information. Due to requests granted through emergency waivers, each railroad is allowed an additional 60 days to file its response, and thus the LERB/OCRB's goals for rendering a decision during most of this period equate to 300 days from the date the petition is filed.

¹⁵ See preceding footnote.

¹⁶ The number of cases the AHO closed includes cases closed by decision, stipulation, or dismissal.

APPEALS TO THE ADMINISTRATOR

Appeals to the Administrator from the AHO decisions filed in FY 2021:	0
Number of Appeals Pending during FY 2021: (as of October 1, 2021, there were 2 cases pending)	2
Decisions issued by the Administrator during FY 2021:	0
Average length of time for decision issued in FY 2021: (from close of record to decision)	N/A

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

Number of hearings requested in FY 2021:	2
Number of hearing-request cases completed in FY 2021:	0

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 2021:	0
Number of cases referred to the Attorney General for criminal enforcement in FY 2021:	0

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

During FY 2021, FRA issued Emergency Order No. 32, *Emergency Order Requiring Face Mask Use in Railroad Operations*, [86 Fed. Reg. 11888](#) (Mar. 1, 2021).

APPENDIX A
“Railroad Safety Civil Penalty Cases Closed during Fiscal Year 2021”



**Federal Railroad Administration
OFFICE OF THE CHIEF COUNSEL
Office of Safety Law**

**RAILROAD SAFETY CIVIL PENALTY CASES
CLOSED DURING FISCAL YEAR 2021**

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 and the hazardous materials transportation (HMT) laws during fiscal year 2021. FRA closed cases under most of the railroad safety laws by settlement, and under the HMT laws generally by final orders of assessment. Total penalty settlements and final assessments against companies, summarized in this report, were as follows:

Railroad safety (except HMT)	\$ 9,435,143
HMT	\$ 2,936,040
Total Civil Penalties	<u>\$ 12,371,183</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, and 270 through 272, 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 Office of Safety Law of the Office of the Chief Counsel. This Office 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 may refer cases to the Department of Justice for litigation. The Attorney General, with FRA's active participation, may bring 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:

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

FRA identifies railroads and other respondents 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 typically identifies hazardous materials cases involving shippers by a respondent code beginning with the letter "Z". FRA typically 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 POCA. The first situation would be if FRA concluded one or more of the violations initially alleged in the case likely could not be sustained. FRA considers such violations "terminated." The second situation would be if FRA determined that the initial penalty assessment for the violation was incorrect. For such cases, FRA corrects the penalty amount. Such violations are 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 2021

FRA No.

Initial Penalty
Demanded

Settlement Amount

Settlement Date

None

Federal Railroad Administration
Safety Cases Closed in FY 2021

<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>
AA 2020-001(SA)	1	\$5,000	\$5,000	\$3,750	9/28/2021	
AB 2020-001(HS)	1	\$1,000	\$1,000	\$1,000	3/25/2021	
AB 2020-002(GC)	1	\$1,000	\$1,000	\$1,000	3/25/2021	
ABS 2021-001(ROP)	1	\$2,000	\$2,000	\$1,500	9/28/2021	
ACWR 2020-001(SA)	1	\$5,000	\$5,000	\$3,800	2/1/2021	
ACWR 2021-001(GC)	1	\$5,000	\$5,000	\$3,400	3/22/2021	
ACWR 2021-002(TS)	1	\$2,500	\$2,500	\$2,500	8/20/2021	
AGR 2019-001(ROP)	1	\$9,500	\$9,500	\$7,600	9/29/2021	
AGR 2020-001(ROP)	1	\$7,500	\$7,500	\$5,700	9/29/2021	
AGR 2020-002(HMT)	1	\$5,000	\$5,000	\$3,850	9/29/2021	
AGR 2020-003(SA)	1	\$5,000	\$5,000	\$3,850	9/29/2021	
AGR 2021-001(SA)	2	\$5,000	\$5,000	\$3,850	9/29/2021	
AGR 2021-002(SA)	1	\$2,500	\$2,500	\$1,925	9/29/2021	
AGR 2021-003(SA)	1	\$2,500	\$2,500	\$1,925	9/29/2021	
AKMD 2019-001(TS)	3	\$10,000	\$10,000	\$6,000	9/29/2021	
AKMD 2019-002(TS)	3	\$7,500	\$7,500	\$4,500	9/29/2021	
AKMD 2019-003(TS)	1	\$2,000	\$2,000	\$1,200	9/29/2021	
AKMD 2019-004(TS)	4	\$20,000	\$20,000	\$12,000	9/29/2021	
AKMD 2019-005(TS)	2	\$7,500	\$7,500	\$4,500	9/29/2021	
AKMD 2019-006(TS)	1	\$1,000	\$1,000	\$950	9/29/2021	
AKMD 2021-001(TS)	1	\$5,000	\$5,000	\$3,000	9/29/2021	
ALE 2020-002(LI)	1	\$2,500	\$2,500	\$2,500	1/22/2021	
ALE 2020-003(SA)	1	\$2,500	\$2,500	\$2,500	5/5/2021	
ALE 2020-004(LI)	1	\$2,500	\$2,500	\$2,500	5/5/2021	
ALE 2021-001(ROR)	1	\$2,500	\$2,500	\$1,700	9/13/2021	
ALE 2021-002(ROR)	1	\$2,500	\$2,500	\$1,500	9/13/2021	
ALE 2021-003(ROR)	1	\$7,500	\$7,500	\$4,650	9/13/2021	
ALE 2021-005(RSP)	1	\$5,000	\$5,000	\$3,500	9/13/2021	
ALE 2021-006(EQ)	1	\$5,000	\$5,000	\$3,400	9/13/2021	
ALE 2021-007(CC)	1	\$6,000	\$6,000	\$4,020	9/13/2021	
ALE 2021-008(ROR)	1	\$5,000	\$5,000	\$3,800	9/13/2021	
ALE 2021-009(ROR)	1	\$5,000	\$5,000	\$3,600	9/13/2021	
ALE 2021-010(EQ)	1	\$7,500	\$7,500	\$4,575	9/13/2021	
ALM 2019-001(TS)	1	\$5,000	\$5,000	\$3,000	9/29/2021	
ALM 2019-002(TS)	11	\$25,000	\$25,000	\$15,000	9/29/2021	
ALM 2019-003(TS)	1	\$1,000	\$1,000	\$950	9/29/2021	
ALS 2020-005(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
ALS 2020-006(SA)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
ALS 2020-007(LI)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
ALS 2020-008(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
ALS 2020-009(LI)	1	\$2,500	\$2,500	\$1,900	9/30/2021	

Federal Railroad Administration
Safety Cases Closed in FY 2021

<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>
ALS 2020-010(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
ALS 2020-011(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
ALS 2020-012(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
ALS 2020-013(TS)	1	\$5,000	\$5,000	\$2,500	9/30/2021	
ALS 2020-014(TS)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
ALS 2020-016(TS)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
ALS 2020-018(SA)	1	\$5,000	\$5,000	\$3,900	9/30/2021	
ALS 2020-020(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
ALS 2020-022(FCS)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
AM 2020-001(GC)	1	\$1,000	\$1,000	\$892	2/2/2021	
AM 2020-002(ROP)	1	\$2,000	\$2,000	\$1,100	2/2/2021	
AM 2020-003(TS)	1	\$5,000	\$5,000	\$3,250	2/2/2021	
AM 2020-004(AD)	1	\$2,500	\$2,500	\$1,500	2/2/2021	
AM 2020-005(AD)	1	\$2,500	\$2,500	\$1,500	2/2/2021	
AM 2020-006(AD)	1	\$2,500	\$2,500	\$1,500	2/2/2021	
ARR 2020-002(GC)	1	\$2,500	\$2,500	\$1,950	3/26/2021	
ARR 2020-003(ROP)	1	\$7,500	\$7,500	\$4,500	3/26/2021	
ARS 2017-001(TS)	1	\$5,000	\$5,000	\$4,250	9/28/2021	
ASRY 2020-001(GC)	1	\$2,500	\$2,500	\$1,750	1/12/2021	
ASRY 2020-002(GC)	1	\$1,000	\$1,000	\$900	1/12/2021	
ATK 2020-004(RW)	1	\$2,000	\$0	\$0	9/27/2021	Case Terminated
ATK 2020-005(ROP)	1	\$7,500	\$7,500	\$5,700	9/27/2021	
ATK 2020-006(RW)	1	\$5,000	\$5,000	\$3,850	9/27/2021	
ATK 2020-007(LI)	1	\$2,500	\$2,500	\$1,875	9/27/2021	
ATK 2020-008(PEQ)	1	\$2,500	\$2,500	\$1,875	9/27/2021	
ATK 2020-009(PEQ)	1	\$2,500	\$2,500	\$1,875	9/27/2021	
ATK 2020-010(PEQ)	1	\$2,500	\$2,500	\$1,875	9/27/2021	
ATK 2020-011(PEQ)	1	\$2,500	\$2,500	\$1,875	9/27/2021	
ATK 2020-012(PEQ)	1	\$5,000	\$5,000	\$3,850	9/27/2021	
ATK 2020-013(RW)	1	\$25,000	\$25,000	\$20,000	9/27/2021	
ATK 2020-014(RW)	1	\$2,000	\$2,000	\$1,500	9/27/2021	
ATK 2020-015(PEQ)	1	\$2,500	\$2,500	\$1,925	9/27/2021	
ATK 2020-016(PEQ)	1	\$2,500	\$2,500	\$1,925	9/27/2021	
ATK 2020-017(TH)	1	\$5,000	\$5,000	\$3,800	9/27/2021	
ATK 2020-018(TS)	1	\$1,000	\$1,000	\$950	9/27/2021	
ATK 2020-019(TS)	1	\$5,000	\$5,000	\$3,850	9/27/2021	
ATK 2020-020(TS)	1	\$5,000	\$5,000	\$3,750	9/27/2021	
ATK 2020-021(TS)	1	\$5,000	\$5,000	\$3,750	9/27/2021	
ATK 2020-022(PEQ)	1	\$5,000	\$5,000	\$3,850	9/27/2021	
ATK 2020-025(RW)	1	\$1,500	\$1,500	\$1,125	9/27/2021	
ATK 2020-026(AR)	1	\$2,500	\$2,500	\$1,925	9/27/2021	

Federal Railroad Administration
Safety Cases Closed in FY 2021

<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 2020-027(AR)	1	\$2,500	\$2,500	\$1,925	9/27/2021	
ATK 2020-028(AR)	1	\$2,500	\$2,500	\$1,925	9/27/2021	
ATK 2020-029(AR)	1	\$2,500	\$2,500	\$1,925	9/27/2021	
ATK 2020-030(AR)	1	\$2,500	\$2,500	\$1,925	9/27/2021	
ATK 2020-031(AR)	1	\$2,500	\$2,500	\$1,925	9/27/2021	
ATK 2020-032(AR)	1	\$2,500	\$2,500	\$1,925	9/27/2021	
ATK 2020-033(AR)	1	\$2,500	\$2,500	\$1,925	9/27/2021	
ATK 2020-034(AR)	1	\$2,500	\$2,500	\$1,925	9/27/2021	
ATK 2020-035(AR)	1	\$2,500	\$2,500	\$1,925	9/27/2021	
ATK 2020-036(AR)	1	\$2,500	\$2,500	\$1,925	9/27/2021	
ATK 2020-037(HS)	1	\$1,000	\$1,000	\$950	9/27/2021	
ATK 2021-001(TS)	1	\$2,000	\$2,000	\$1,600	9/27/2021	
ATK 2021-002(HSR)	1	\$1,000	\$1,000	\$950	9/27/2021	
ATK 2021-003(RSP)	1	\$9,500	\$9,500	\$7,315	9/27/2021	
AZER 2019-004(FCS)	1	\$2,500	\$2,500	\$1,900	12/21/2020	
AZER 2020-001(SA)	1	\$2,500	\$2,500	\$1,975	9/29/2021	
AZER 2021-001(SA)	1	\$2,500	\$2,500	\$1,950	9/29/2021	
AZER 2021-002(SA)	1	\$2,500	\$2,500	\$1,950	9/29/2021	
BAR 2001-001(LI)	3	\$5,000	\$0	\$0	12/10/2020	Case Terminated
BAYL 2020-001(LI)	2	\$4,000	\$4,000	\$3,120	9/29/2021	
BAYL 2020-002(SA)	1	\$5,000	\$5,000	\$3,900	9/29/2021	
BAYL 2020-003(RSP)	1	\$9,500	\$9,500	\$8,550	9/29/2021	
BAYL 2020-004(SA)	1	\$5,000	\$5,000	\$3,900	9/29/2021	
BAYL 2020-005(RSP)	1	\$9,500	\$9,500	\$8,550	9/29/2021	
BB 2020-001(GC)	1	\$5,000	\$5,000	\$3,500	11/17/2020	
BHRR 2021-001(ROP)	1	\$2,000	\$2,000	\$1,500	9/28/2021	
BLF 2019-002(GC)	1	\$5,000	\$5,000	\$4,250	8/10/2021	
BLF 2019-003(GC)	1	\$5,000	\$5,000	\$4,250	8/10/2021	
BLF 2021-001(GC)	1	\$5,000	\$5,000	\$4,250	8/10/2021	
BLU 2020-001(GC)	1	\$2,500	\$2,500	\$1,675	9/28/2021	
BLU 2021-001(GC)	1	\$5,000	\$5,000	\$3,750	9/28/2021	
BNSF 2016-404(ROP)	1	\$7,500	\$7,500	\$5,475	9/28/2021	
BNSF 2018-494(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2019-221(HMT)	1	\$2,000	\$2,000	\$1,460	9/28/2021	
BNSF 2019-238(HMT)	1	\$3,000	\$3,000	\$2,190	9/28/2021	
BNSF 2019-244(HMT)	1	\$3,000	\$3,000	\$2,190	9/28/2021	
BNSF 2019-256(HMT)	1	\$4,000	\$4,000	\$2,920	9/28/2021	
BNSF 2019-259(HMT)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2019-323(HMT)	1	\$7,500	\$7,500	\$5,100	9/28/2021	
BNSF 2019-367(ROP)	1	\$19,000	\$19,000	\$13,110	9/28/2021	
BNSF 2019-520(HS)	1	\$2,000	\$2,000	\$2,000	9/28/2021	

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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 2019-527(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2019-532(ROP)	1	\$7,500	\$7,500	\$5,475	9/28/2021	
BNSF 2019-537(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2019-542(HS)	1	\$2,000	\$2,000	\$2,000	9/28/2021	
BNSF 2020-002(SA)	1	\$1,000	\$1,000	\$892	9/28/2021	
BNSF 2020-007(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-017(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-022(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-027(BW)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-032(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-037(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-042(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-046(HMT)	2	\$10,000	\$10,000	\$6,500	9/28/2021	
BNSF 2020-056(HMT)	1	\$5,000	\$5,000	\$3,400	9/28/2021	
BNSF 2020-062(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-067(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-071(ROP)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-072(SA)	1	\$2,500	\$2,500	\$2,075	9/28/2021	
BNSF 2020-082(ROP)	1	\$7,500	\$7,500	\$5,475	9/28/2021	
BNSF 2020-087(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-092(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-097(ROP)	1	\$7,500	\$7,500	\$5,475	9/28/2021	
BNSF 2020-103(TS)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-105(TS)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-106(GC)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-107(ROP)	1	\$7,500	\$7,500	\$5,475	9/28/2021	
BNSF 2020-108(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-110(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-112(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-113(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-115(ROP)	1	\$7,500	\$7,500	\$5,475	9/28/2021	
BNSF 2020-117(ROP)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-118(TS)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-120(HMT)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-122(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-123(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-126(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-127(ROP)	1	\$7,500	\$7,500	\$5,475	9/28/2021	
BNSF 2020-128(HMT)	1	\$4,000	\$4,000	\$2,920	9/28/2021	
BNSF 2020-129(TS)	2	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-130(TS)	1	\$5,000	\$5,000	\$3,650	9/28/2021	

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BNSF 2020-132(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-133(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-135(TS)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-136(TS)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-137(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-138(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-139(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-140(ROP)	1	\$5,000	\$5,000	\$3,800	9/28/2021	
BNSF 2020-141(ROP)	1	\$7,500	\$7,500	\$5,475	9/28/2021	
BNSF 2020-143(ROP)	1	\$7,500	\$7,500	\$5,475	9/28/2021	
BNSF 2020-144(TS)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-145(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-146(ROP)	1	\$9,500	\$9,500	\$6,935	9/28/2021	
BNSF 2020-147(ROP)	1	\$7,500	\$7,500	\$5,475	9/28/2021	
BNSF 2020-148(ROP)	1	\$9,500	\$9,500	\$6,935	9/28/2021	
BNSF 2020-149(HMT)	1	\$1,000	\$1,000	\$892	9/28/2021	
BNSF 2020-150(HS)	1	\$2,000	\$2,000	\$2,000	9/28/2021	
BNSF 2020-151(HS)	1	\$4,000	\$4,000	\$4,000	9/28/2021	
BNSF 2020-152(HS)	1	\$4,000	\$2,000	\$1,784	9/28/2021	Terminated Violations: 2
BNSF 2020-153(HS)	1	\$2,000	\$2,000	\$1,784	9/28/2021	
BNSF 2020-154(HSR)	1	\$1,000	\$1,000	\$892	9/28/2021	
BNSF 2020-155(TS)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-156(GC)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-158(LI)	1	\$2,000	\$2,000	\$1,460	9/28/2021	
BNSF 2020-159(LI)	1	\$10,000	\$10,000	\$7,300	9/28/2021	
BNSF 2020-160(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-161(RW)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-162(ROP)	1	\$10,000	\$10,000	\$7,300	9/28/2021	
BNSF 2020-163(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-164(TS)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-165(TS)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-166(TS)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-168(ROP)	1	\$2,000	\$2,000	\$1,460	9/28/2021	
BNSF 2020-169(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-170(TS)	2	\$27,000	\$27,000	\$23,034	9/28/2021	
BNSF 2020-171(FCS)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-173(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-174(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-175(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-176(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2021	

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BNSF 2020-177(LI)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-178(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-179(TS)	4	\$65,000	\$65,000	\$47,450	9/28/2021	
BNSF 2020-180(TS)	1	\$2,500	\$2,500	\$1,900	9/28/2021	
BNSF 2020-181(ROP)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-183(TS)	1	\$2,500	\$2,500	\$1,900	9/28/2021	
BNSF 2020-184(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-185(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-186(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-187(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-188(ROP)	1	\$2,000	\$2,000	\$1,460	9/28/2021	
BNSF 2020-189(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-190(FCS)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-191(ROP)	1	\$9,500	\$9,500	\$6,935	9/28/2021	
BNSF 2020-193(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-194(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-195(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-196(RW)	1	\$3,000	\$3,000	\$2,460	9/28/2021	
BNSF 2020-198(TS)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-199(TS)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-200(HMT)	1	\$2,000	\$2,000	\$1,360	9/28/2021	
BNSF 2020-201(HMT)	1	\$2,000	\$2,000	\$1,360	9/28/2021	
BNSF 2020-203(TS)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-204(HS)	1	\$2,000	\$2,000	\$1,784	9/28/2021	
BNSF 2020-205(HS)	1	\$2,000	\$2,000	\$1,784	9/28/2021	
BNSF 2020-206(TS)	2	\$7,500	\$7,500	\$6,000	9/28/2021	
BNSF 2020-208(ROP)	1	\$7,500	\$7,500	\$5,475	9/28/2021	
BNSF 2020-209(ROP)	1	\$7,500	\$7,500	\$5,475	9/28/2021	
BNSF 2020-210(ROP)	1	\$7,500	\$7,500	\$5,475	9/28/2021	
BNSF 2020-211(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-212(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-213(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-214(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-215(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-216(FCS)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-217(FCS)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-218(HMT)	1	\$2,000	\$2,000	\$1,360	9/28/2021	
BNSF 2020-219(TS)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-220(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-221(TS)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-223(ROP)	1	\$7,500	\$7,500	\$5,475	9/28/2021	

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BNSF 2020-224(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-225(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-226(ROP)	1	\$9,500	\$9,500	\$6,935	9/28/2021	
BNSF 2020-228(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-229(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-230(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-231(ROP)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-232(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-233(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-234(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-235(LI)	1	\$1,000	\$1,000	\$892	9/28/2021	
BNSF 2020-236(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-237(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-238(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-239(LI)	1	\$10,000	\$10,000	\$7,300	9/28/2021	
BNSF 2020-240(TS)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-241(TS)	2	\$5,000	\$5,000	\$4,000	9/28/2021	
BNSF 2020-243(FCS)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-244(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-245(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-246(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-247(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-248(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-249(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-250(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-251(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-253(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-254(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-255(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-256(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-257(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-258(FCS)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-259(FCS)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-260(FCS)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-261(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-262(HS)	1	\$3,000	\$3,000	\$2,676	9/28/2021	
BNSF 2020-263(HSR)	1	\$3,000	\$3,000	\$2,676	9/28/2021	
BNSF 2020-264(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-265(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-266(TS)	1	\$1,000	\$1,000	\$892	9/28/2021	
BNSF 2020-268(FCS)	1	\$2,500	\$2,500	\$1,825	9/28/2021	

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BNSF 2020-269(FCS)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-270(HS)	1	\$2,000	\$2,000	\$1,784	9/28/2021	
BNSF 2020-271(HS)	1	\$2,000	\$2,000	\$1,784	9/28/2021	
BNSF 2020-272(HSR)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-273(HMT)	1	\$2,000	\$2,000	\$1,460	9/28/2021	
BNSF 2020-274(ROP)	1	\$9,500	\$9,500	\$6,935	9/28/2021	
BNSF 2020-275(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-276(LI)	1	\$1,500	\$1,500	\$1,095	9/28/2021	
BNSF 2020-277(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-278(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-279(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-280(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-281(FCS)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-282(TS)	1	\$1,000	\$1,000	\$892	9/28/2021	
BNSF 2020-283(ROP)	1	\$9,500	\$9,500	\$6,935	9/28/2021	
BNSF 2020-284(ROP)	1	\$2,000	\$2,000	\$1,460	9/28/2021	
BNSF 2020-285(ROP)	1	\$2,000	\$2,000	\$1,460	9/28/2021	
BNSF 2020-286(ROP)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-288(ROP)	1	\$9,500	\$9,500	\$6,935	9/28/2021	
BNSF 2020-289(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-290(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-291(ROP)	1	\$7,500	\$7,500	\$5,475	9/28/2021	
BNSF 2020-292(ROP)	1	\$7,500	\$7,500	\$5,475	9/28/2021	
BNSF 2020-293(ROP)	1	\$2,000	\$2,000	\$1,460	9/28/2021	
BNSF 2020-294(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-295(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-296(GC)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-297(GC)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-298(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-299(GC)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-300(FCS)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-301(TS)	1	\$5,000	\$0	\$0	9/28/2021	Case Terminated
BNSF 2020-302(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-303(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-305(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-306(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-308(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-309(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-310(TS)	1	\$2,500	\$2,500	\$1,900	9/28/2021	
BNSF 2020-311(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-312(FCS)	1	\$5,000	\$5,000	\$3,650	9/28/2021	

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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 2020-313(HS)	1	\$1,000	\$1,000	\$892	9/28/2021	
BNSF 2020-314(ROP)	1	\$7,500	\$7,500	\$5,475	9/28/2021	
BNSF 2020-315(ROP)	1	\$7,500	\$7,500	\$5,475	9/28/2021	
BNSF 2020-316(ROP)	1	\$2,000	\$2,000	\$1,460	9/28/2021	
BNSF 2020-317(ROP)	1	\$9,500	\$9,500	\$6,935	9/28/2021	
BNSF 2020-319(HMT)	1	\$4,000	\$4,000	\$2,920	9/28/2021	
BNSF 2020-320(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-321(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-323(TS)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-324(FCS)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-325(SA)	1	\$2,500	\$2,500	\$1,750	9/28/2021	
BNSF 2020-326(FCS)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-329(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-330(ROP)	1	\$2,000	\$2,000	\$1,460	9/28/2021	
BNSF 2020-331(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-332(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-333(TS)	3	\$7,500	\$7,500	\$4,875	9/28/2021	
BNSF 2020-334(LI)	1	\$4,000	\$4,000	\$2,920	9/28/2021	
BNSF 2020-335(ROP)	1	\$9,500	\$9,500	\$6,935	9/28/2021	
BNSF 2020-336(HS)	1	\$2,000	\$2,000	\$1,784	9/28/2021	
BNSF 2020-338(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-339(SA)	1	\$10,000	\$10,000	\$7,300	9/28/2021	
BNSF 2020-340(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-341(RW)	1	\$2,000	\$2,000	\$1,460	9/28/2021	
BNSF 2020-343(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-344(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-345(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-346(SA)	1	\$2,500	\$2,500	\$2,500	9/28/2021	
BNSF 2020-347(FCS)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-348(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-349(ROP)	1	\$2,000	\$2,000	\$1,460	9/28/2021	
BNSF 2020-350(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-351(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-352(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-353(ROP)	1	\$2,000	\$2,000	\$1,460	9/28/2021	
BNSF 2020-354(FCS)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-355(ROP)	1	\$7,500	\$7,500	\$5,475	9/28/2021	
BNSF 2020-356(ROP)	1	\$2,000	\$2,000	\$1,460	9/28/2021	
BNSF 2020-357(ROP)	1	\$7,500	\$7,500	\$5,475	9/28/2021	
BNSF 2020-358(ROP)	1	\$7,500	\$7,500	\$5,475	9/28/2021	
BNSF 2020-359(FCS)	1	\$2,500	\$2,500	\$1,825	9/28/2021	

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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 2020-360(ROP)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-362(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-363(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-364(SA)	1	\$2,500	\$2,500	\$1,625	9/28/2021	
BNSF 2020-365(SA)	1	\$2,500	\$2,500	\$2,000	9/28/2021	
BNSF 2020-366(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-367(FCS)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-368(FCS)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-369(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-370(SI)	1	\$1,000	\$1,000	\$892	9/28/2021	
BNSF 2020-372(TS)	1	\$5,000	\$5,000	\$4,000	9/28/2021	
BNSF 2020-373(TS)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-375(TS)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-376(FCS)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-378(TH)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-379(SA)	1	\$2,500	\$2,500	\$1,625	9/28/2021	
BNSF 2020-380(SA)	1	\$5,000	\$5,000	\$3,250	9/28/2021	
BNSF 2020-381(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-382(SA)	1	\$5,000	\$2,500	\$2,500	9/28/2021	Partially Terminated Violations: 1
BNSF 2020-383(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-384(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-385(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-388(GC)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-392(TS)	1	\$15,000	\$15,000	\$10,950	9/28/2021	
BNSF 2020-394(SA)	1	\$2,500	\$2,500	\$2,000	9/28/2021	
BNSF 2020-395(SA)	1	\$999	\$999	\$999	9/28/2021	
BNSF 2020-397(HSR)	1	\$2,000	\$2,000	\$1,784	9/28/2021	
BNSF 2020-398(ROP)	1	\$2,000	\$2,000	\$1,460	9/28/2021	
BNSF 2020-400(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-402(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-403(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-407(FCS)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-408(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-409(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-412(FCS)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-413(TS)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-414(AD)	1	\$2,000	\$2,000	\$1,784	9/28/2021	
BNSF 2020-415(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-416(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	

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BNSF 2020-417(FCS)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-418(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-419(ROP)	2	\$15,000	\$15,000	\$10,950	9/28/2021	
BNSF 2020-422(TS)	2	\$15,000	\$15,000	\$10,950	9/28/2021	
BNSF 2020-423(TS)	2	\$10,000	\$10,000	\$7,300	9/28/2021	
BNSF 2020-424(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-427(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-428(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-429(FCS)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-432(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-433(FCS)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-434(FCS)	1	\$6,000	\$6,000	\$4,380	9/28/2021	
BNSF 2020-437(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-438(ROP)	1	\$15,000	\$9,500	\$6,935	9/28/2021	Partially Terminated Violations: 1
BNSF 2020-440(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-441(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-442(RSP)	1	\$9,500	\$5,500	\$4,750	9/28/2021	Partially Terminated Violations: 1
BNSF 2020-445(TS)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-446(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-447(ROP)	1	\$9,500	\$9,500	\$6,935	9/28/2021	
BNSF 2020-448(HS)	1	\$2,000	\$2,000	\$1,784	9/28/2021	
BNSF 2020-450(TS)	2	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-451(FCS)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-452(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-453(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-455(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-456(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-457(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-458(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-460(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-461(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-462(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-463(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-465(FCS)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-466(CC)	1	\$4,000	\$4,000	\$2,600	9/28/2021	
BNSF 2020-467(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-468(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-470(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	

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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 2020-471(ROP)	1	\$2,000	\$2,000	\$1,460	9/28/2021	
BNSF 2020-472(FCS)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-473(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-475(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-476(FCS)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2020-477(FCS)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-478(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2020-479(ROP)	1	\$20,000	\$20,000	\$12,000	9/28/2021	
BNSF 2021-002(HMT)	1	\$5,000	\$5,000	\$3,400	9/28/2021	
BNSF 2021-003(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2021-004(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2021-007(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2021-008(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2021-009(TS)	3	\$12,500	\$12,500	\$9,125	9/28/2021	
BNSF 2021-012(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2021-013(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2021-014(LI)	1	\$4,000	\$4,000	\$2,920	9/28/2021	
BNSF 2021-017(TS)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2021-018(RW)	1	\$2,000	\$2,000	\$1,460	9/28/2021	
BNSF 2021-019(ROP)	1	\$2,000	\$2,000	\$1,460	9/28/2021	
BNSF 2021-022(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2021-023(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2021-024(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2021-027(ROP)	1	\$15,000	\$15,000	\$10,950	9/28/2021	
BNSF 2021-028(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2021-032(HSR)	1	\$5,000	\$5,000	\$4,460	9/28/2021	
BNSF 2021-033(HSR)	1	\$8,000	\$8,000	\$7,136	9/28/2021	
BNSF 2021-037(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2021-038(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2021-039(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2021-042(TS)	2	\$7,500	\$7,500	\$5,475	9/28/2021	
BNSF 2021-043(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2021-047(HS)	1	\$1,000	\$1,000	\$908	9/28/2021	
BNSF 2021-048(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2021-053(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2021-057(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2021-058(FCS)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2021-062(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2021-063(TS)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2021-067(HSR)	1	\$2,000	\$2,000	\$1,784	9/28/2021	
BNSF 2021-068(HS)	1	\$2,000	\$2,000	\$1,816	9/28/2021	

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BNSF 2021-072(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2021-073(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2021-077(TS)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2021-078(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2021-082(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2021-083(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2021-087(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2021-088(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2021-092(TS)	3	\$4,500	\$4,500	\$3,285	9/28/2021	
BNSF 2021-095(SI)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2021-096(GC)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2021-097(TS)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2021-100(TS)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2021-101(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2021	
BNSF 2021-105(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2021-106(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2021-108(ROP)	1	\$2,000	\$2,000	\$1,460	9/28/2021	
BNSF 2021-111(TS)	1	\$5,000	\$5,000	\$3,650	9/28/2021	
BNSF 2021-114(HS)	1	\$2,000	\$2,000	\$1,816	9/28/2021	
BNSF 2021-117(ROP)	1	\$7,500	\$7,500	\$5,475	9/28/2021	
BNSF 2021-120(HS)	1	\$1,000	\$1,000	\$908	9/28/2021	
BNSF 2021-122(HS)	1	\$1,000	\$1,000	\$908	9/28/2021	
BNSF 2021-124(HS)	1	\$2,000	\$2,000	\$1,816	9/28/2021	
BNSF 2021-134(HS)	1	\$1,000	\$1,000	\$908	9/28/2021	
BNSF 2021-138(HS)	1	\$1,000	\$1,000	\$908	9/28/2021	
BNSF 2021-139(HS)	1	\$2,000	\$2,000	\$1,816	9/28/2021	
BNSF 2021-143(HS)	1	\$2,000	\$2,000	\$1,784	9/28/2021	
BNSF 2021-144(HS)	1	\$2,000	\$2,000	\$1,816	9/28/2021	
BNSF 2021-148(HS)	1	\$2,000	\$2,000	\$1,816	9/28/2021	
BNSF 2021-149(HS)	1	\$1,000	\$1,000	\$1,000	9/28/2021	
BNSF 2021-153(HS)	1	\$2,000	\$2,000	\$1,816	9/28/2021	
BNSO 2020-001(ROP)	1	\$2,000	\$2,000	\$1,460	9/28/2021	
BNSO 2020-002(ROP)	1	\$2,000	\$0	\$0	9/28/2021	Case Terminated
BNSO 2020-003(PEQ)	1	\$5,000	\$5,000	\$4,000	9/28/2021	
BPRR 2019-002(SA)	1	\$2,500	\$2,500	\$1,950	9/29/2021	
BPRR 2020-001(LI)	1	\$2,500	\$2,500	\$2,000	9/29/2021	
BPRR 2020-002(HMT)	2	\$8,000	\$8,000	\$6,400	9/29/2021	
BPRR 2020-003(SA)	1	\$5,000	\$5,000	\$4,100	9/29/2021	
CAGY 2020-001(TS)	1	\$5,000	\$5,000	\$3,000	9/29/2021	
CAGY 2020-002(TS)	2	\$10,000	\$10,000	\$6,000	9/29/2021	
CAGY 2020-003(TS)	1	\$5,000	\$5,000	\$3,000	9/29/2021	

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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>
CAMD 2019-001(TS)	1	\$1,000	\$1,000	\$892	7/14/2021	
CAMD 2020-001(TS)	2	\$3,500	\$3,500	\$2,392	7/14/2021	
CANX 2020-001(AD)	1	\$10,000	\$10,000	\$10,000	4/28/2021	
CANX 2020-002(AD)	1	\$5,000	\$5,000	\$5,000	4/28/2021	
CATQ 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	9/29/2021	
CBR 2018-001(HS)	1	\$1,000	\$0	\$0	2/4/2021	Case Terminated
CBR 2018-002(HS)	1	\$1,000	\$0	\$0	2/4/2021	Case Terminated
CBR 2018-003(ROP)	1	\$9,500	\$0	\$0	2/4/2021	Case Terminated
CBR 2018-004(ROP)	1	\$7,500	\$0	\$0	2/4/2021	Case Terminated
CBR 2018-005(SA)	1	\$2,500	\$0	\$0	2/4/2021	Case Terminated
CBR 2018-006(SA)	1	\$2,500	\$0	\$0	2/4/2021	Case Terminated
CBR 2018-007(GC)	1	\$5,000	\$0	\$0	2/4/2021	Case Terminated
CBR 2018-008(GC)	1	\$5,000	\$0	\$0	2/4/2021	Case Terminated
CBR 2018-009(GC)	1	\$5,000	\$0	\$0	2/4/2021	Case Terminated
CBR 2018-010(GC)	1	\$5,000	\$0	\$0	2/4/2021	Case Terminated
CBR 2018-011(GC)	1	\$5,000	\$0	\$0	2/4/2021	Case Terminated
CBR 2018-012(GC)	1	\$5,000	\$0	\$0	2/4/2021	Case Terminated
CBR 2018-013(GC)	1	\$5,000	\$0	\$0	2/4/2021	Case Terminated
CBR 2018-014(GC)	1	\$5,000	\$0	\$0	2/4/2021	Case Terminated
CBR 2018-015(GC)	1	\$5,000	\$0	\$0	2/4/2021	Case Terminated
CBR 2018-016(GC)	1	\$5,000	\$0	\$0	2/4/2021	Case Terminated
CBR 2018-017(GC)	1	\$1,000	\$0	\$0	2/4/2021	Case Terminated
CBR 2018-018(CC)	1	\$2,500	\$0	\$0	2/4/2021	Case Terminated
CBR 2018-019(GC)	1	\$2,500	\$0	\$0	2/4/2021	Case Terminated
CBR 2018-021(LI)	1	\$2,500	\$0	\$0	2/4/2021	Case Terminated
CBR 2018-022(EQ)	1	\$1,000	\$0	\$0	2/4/2021	Case Terminated
CBR 2018-023(HSR)	1	\$1,000	\$0	\$0	2/4/2021	Case Terminated
CBR 2018-024(HS)	1	\$1,000	\$0	\$0	2/4/2021	Case Terminated
CBR 2018-025(HS)	1	\$1,000	\$0	\$0	2/4/2021	Case Terminated
CBR 2018-026(HS)	1	\$1,000	\$0	\$0	2/4/2021	Case Terminated
CBR 2018-027(HS)	1	\$1,000	\$0	\$0	2/4/2021	Case Terminated
CBR 2018-028(HS)	1	\$1,000	\$0	\$0	2/4/2021	Case Terminated
CBR 2018-029(HS)	1	\$1,000	\$0	\$0	2/4/2021	Case Terminated
CBR 2019-001(ROP)	1	\$7,500	\$0	\$0	2/4/2021	Case Terminated
CBR 2020-001(GC)	1	\$5,000	\$0	\$0	4/19/2021	Case Terminated
CCHA 2019-001(LI)	1	\$2,500	\$2,500	\$1,950	9/29/2021	
CCRL 2020-001(GC)	1	\$2,500	\$2,500	\$1,900	8/4/2021	
CCT 2021-001(TS)	1	\$5,000	\$5,000	\$4,000	4/6/2021	
CCT 2021-002(TS)	1	\$5,000	\$5,000	\$3,500	4/6/2021	
CCT 2021-003(TS)	1	\$5,000	\$5,000	\$3,500	4/6/2021	
CCT 2021-004(TS)	5	\$21,000	\$21,000	\$16,000	4/19/2021	

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CCT 2021-005(TS)	1	\$5,000	\$5,000	\$3,500	9/8/2021	
CDOT 2018-001(PEQ)	1	\$2,500	\$0	\$0	3/10/2021	Case Terminated
CDOT 2018-002(LI)	1	\$1,000	\$0	\$0	3/10/2021	Case Terminated
CDOT 2019-002(ROP)	1	\$7,500	\$0	\$0	3/11/2021	Case Terminated
CFI 2020-001(HMT)	1	\$2,000	\$2,000	\$1,750	5/13/2021	
CFRC 2020-001(AR)	1	\$2,500	\$2,500	\$1,750	10/22/2020	
CFRC 2020-002(ROR)	1	\$9,500	\$9,500	\$7,000	4/14/2021	
CLNA 2020-001(TS)	2	\$11,000	\$11,000	\$8,853	7/15/2021	
CLNA 2020-002(TS)	1	\$10,000	\$10,000	\$8,000	7/27/2021	
CLNA 2020-003(TS)	2	\$5,000	\$5,000	\$4,000	7/27/2021	
CLNA 2021-001(ROP)	1	\$2,000	\$2,000	\$2,000	7/15/2021	
CN 2020-001(LI)	1	\$2,500	\$2,500	\$1,835	9/24/2021	
CN 2020-002(LI)	1	\$2,500	\$2,500	\$1,835	9/24/2021	
CN 2020-003(LI)	1	\$2,500	\$2,500	\$1,835	9/24/2021	
CN 2020-004(ROR)	1	\$28,500	\$28,500	\$19,500	9/24/2021	
CN 2020-005(ROR)	1	\$7,500	\$7,500	\$5,000	9/24/2021	
CN 2020-006(ROR)	1	\$9,500	\$9,500	\$6,800	9/24/2021	
CN 2020-007(ROR)	1	\$5,000	\$5,000	\$3,400	9/24/2021	
CN 2020-008(FCS)	1	\$2,500	\$2,500	\$1,725	9/24/2021	
CN 2020-009(LI)	1	\$2,500	\$2,500	\$1,775	9/24/2021	
CN 2020-010(LI)	1	\$2,500	\$2,500	\$1,775	9/24/2021	
CN 2020-011(SA)	1	\$5,000	\$5,000	\$3,750	9/24/2021	
CN 2020-012(LI)	1	\$2,500	\$2,500	\$1,775	9/24/2021	
CN 2020-013(LI)	1	\$2,500	\$2,500	\$1,700	9/24/2021	
CN 2020-014(SA)	1	\$2,500	\$2,500	\$1,825	9/24/2021	
CN 2020-015(FCS)	1	\$2,500	\$2,500	\$1,750	9/24/2021	
CN 2020-016(SA)	1	\$5,000	\$5,000	\$3,800	9/24/2021	
CN 2020-017(SA)	1	\$5,000	\$5,000	\$3,700	9/24/2021	
CN 2020-018(SA)	1	\$2,500	\$2,500	\$1,800	9/24/2021	
CN 2020-019(FCS)	1	\$2,500	\$2,500	\$1,760	9/24/2021	
CN 2020-020(LI)	1	\$2,500	\$2,500	\$1,850	9/24/2021	
CN 2020-021(LI)	1	\$2,500	\$2,500	\$1,850	9/24/2021	
CN 2020-022(LI)	1	\$2,500	\$2,500	\$1,850	9/24/2021	
CN 2020-023(HMT)	1	\$2,000	\$2,000	\$1,500	9/24/2021	
CN 2020-024(HMT)	1	\$7,500	\$7,500	\$5,850	9/24/2021	
CN 2020-025(SA)	1	\$2,500	\$2,500	\$1,825	9/24/2021	
CN 2020-026(SA)	1	\$5,000	\$5,000	\$3,800	9/24/2021	
CN 2020-027(SA)	1	\$5,000	\$5,000	\$3,675	9/24/2021	
CN 2020-028(HMT)	1	\$12,000	\$12,000	\$7,560	9/24/2021	
CN 2020-029(HMT)	1	\$3,000	\$3,000	\$2,280	9/24/2021	
CN 2020-030(HMT)	1	\$4,000	\$4,000	\$3,040	9/24/2021	

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CN 2020-031(SA)	1	\$5,000	\$5,000	\$3,675	9/24/2021	
CN 2020-032(SA)	1	\$5,000	\$5,000	\$3,800	9/24/2021	
CN 2020-033(SA)	1	\$5,000	\$5,000	\$3,675	9/24/2021	
CN 2020-034(FCS)	1	\$2,500	\$2,500	\$1,780	9/24/2021	
CN 2020-035(FCS)	1	\$2,500	\$2,500	\$1,800	9/24/2021	
CN 2020-036(SA)	1	\$2,500	\$2,500	\$1,825	9/24/2021	
CN 2020-037(SA)	1	\$2,500	\$2,500	\$1,825	9/24/2021	
CN 2020-038(TS)	1	\$5,000	\$5,000	\$3,850	9/24/2021	
CN 2020-039(SA)	1	\$5,000	\$5,000	\$3,800	9/24/2021	
CN 2020-040(LI)	1	\$2,500	\$2,500	\$1,700	9/24/2021	
CN 2020-041(SA)	1	\$2,500	\$2,500	\$1,750	9/24/2021	
CN 2020-042(SA)	1	\$2,500	\$2,500	\$1,750	9/24/2021	
CN 2020-043(SA)	1	\$2,500	\$2,500	\$1,750	9/24/2021	
CN 2020-044(SA)	1	\$5,000	\$5,000	\$3,750	9/24/2021	
CN 2020-045(SA)	1	\$5,000	\$5,000	\$3,750	9/24/2021	
CN 2020-046(FCS)	1	\$2,500	\$2,500	\$1,725	9/24/2021	
CN 2020-047(FCS)	1	\$2,500	\$2,500	\$1,825	9/24/2021	
CN 2020-048(FCS)	1	\$2,500	\$2,500	\$1,600	9/24/2021	
CN 2020-049(SA)	1	\$5,000	\$5,000	\$3,800	9/24/2021	
CN 2020-050(SA)	1	\$2,500	\$2,500	\$1,900	9/24/2021	
CN 2020-051(SA)	1	\$5,000	\$5,000	\$3,500	9/24/2021	
CN 2020-052(SA)	1	\$2,500	\$2,500	\$1,825	9/24/2021	
CN 2020-053(SA)	1	\$5,000	\$5,000	\$3,800	9/24/2021	
CN 2020-054(LI)	1	\$2,500	\$2,500	\$1,850	9/24/2021	
CN 2020-055(FCS)	1	\$2,500	\$2,500	\$1,825	9/24/2021	
CN 2020-056(FCS)	1	\$2,500	\$2,500	\$1,825	9/24/2021	
CN 2020-057(LI)	1	\$1,500	\$1,500	\$1,095	9/24/2021	
CN 2020-058(SA)	1	\$2,500	\$2,500	\$1,825	9/24/2021	
CN 2020-059(LI)	1	\$2,000	\$2,000	\$1,290	9/24/2021	
CN 2020-060(LI)	1	\$1,000	\$1,000	\$892	9/24/2021	
CN 2020-061(SA)	1	\$2,500	\$2,500	\$1,825	9/24/2021	
CN 2020-062(SA)	1	\$2,500	\$2,500	\$1,875	9/24/2021	
CN 2020-063(SA)	1	\$2,500	\$2,500	\$1,875	9/24/2021	
CN 2020-064(SA)	1	\$2,500	\$2,500	\$1,825	9/24/2021	
CN 2020-065(SA)	1	\$2,500	\$2,500	\$1,825	9/24/2021	
CN 2020-066(HMT)	3	\$15,000	\$15,000	\$11,700	9/24/2021	
CN 2020-067(HMT)	1	\$7,500	\$7,500	\$6,000	9/24/2021	
CN 2020-068(FCS)	1	\$2,500	\$2,500	\$1,725	9/24/2021	
CN 2020-069(SA)	1	\$2,500	\$2,500	\$1,825	9/24/2021	
CN 2020-070(SA)	1	\$5,000	\$5,000	\$3,800	9/24/2021	
CN 2020-071(AR)	1	\$1,000	\$1,000	\$892	9/24/2021	

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CN 2020-072(ROP)	1	\$2,000	\$2,000	\$1,480	9/24/2021	
CN 2020-073(SA)	1	\$5,000	\$5,000	\$3,750	9/24/2021	
CN 2020-074(SA)	1	\$5,000	\$5,000	\$3,600	9/24/2021	
CN 2020-075(SA)	1	\$2,500	\$2,500	\$1,825	9/24/2021	
CN 2020-076(SA)	1	\$5,000	\$5,000	\$3,650	9/24/2021	
CN 2020-077(ROP)	1	\$9,500	\$9,500	\$7,450	9/24/2021	
CN 2020-078(SA)	1	\$5,000	\$5,000	\$3,600	9/24/2021	
CN 2020-079(LI)	1	\$2,500	\$2,500	\$1,850	9/24/2021	
CN 2020-080(SA)	1	\$2,500	\$2,500	\$1,825	9/24/2021	
CN 2020-081(SA)	1	\$5,000	\$5,000	\$3,800	9/24/2021	
CN 2020-082(RW)	1	\$2,000	\$2,000	\$1,600	9/24/2021	
CN 2020-083(FCS)	1	\$2,500	\$2,500	\$1,800	9/24/2021	
CN 2020-084(SA)	1	\$2,500	\$2,500	\$1,825	9/24/2021	
CN 2020-085(SA)	1	\$5,000	\$5,000	\$3,600	9/24/2021	
CN 2020-086(SA)	1	\$5,000	\$5,000	\$3,650	9/24/2021	
CN 2020-087(SA)	1	\$5,000	\$5,000	\$3,700	9/24/2021	
CN 2020-088(LI)	1	\$2,500	\$2,500	\$1,700	9/24/2021	
CN 2020-089(LI)	1	\$2,500	\$2,500	\$1,850	9/24/2021	
CN 2020-090(AR)	1	\$1,000	\$1,000	\$892	9/24/2021	
CN 2020-091(SA)	1	\$5,000	\$5,000	\$3,650	9/24/2021	
CN 2020-092(SA)	1	\$2,500	\$2,500	\$1,825	9/24/2021	
CN 2020-093(SA)	1	\$5,000	\$5,000	\$3,750	9/24/2021	
CN 2020-094(SA)	1	\$2,500	\$2,500	\$1,000	9/24/2021	
CN 2020-095(SA)	1	\$5,000	\$5,000	\$3,750	9/24/2021	
CN 2020-096(SA)	1	\$5,000	\$5,000	\$3,700	9/24/2021	
CN 2020-097(SA)	1	\$5,000	\$5,000	\$3,600	9/24/2021	
CN 2020-098(SA)	1	\$5,000	\$5,000	\$3,800	9/24/2021	
CN 2020-099(TS)	1	\$5,000	\$5,000	\$3,850	9/24/2021	
CN 2020-100(SA)	1	\$5,000	\$5,000	\$3,750	9/24/2021	
CN 2020-101(SA)	1	\$5,000	\$5,000	\$3,750	9/24/2021	
CN 2020-104(FCS)	1	\$2,500	\$2,500	\$1,725	9/24/2021	
CN 2020-105(SA)	1	\$5,000	\$5,000	\$3,675	9/24/2021	
CN 2020-106(SA)	1	\$5,000	\$5,000	\$3,800	9/24/2021	
CN 2020-107(HMT)	2	\$6,000	\$6,000	\$4,560	9/24/2021	
CN 2020-108(HMT)	1	\$5,000	\$5,000	\$3,950	9/24/2021	
CN 2020-109(FCS)	1	\$2,500	\$2,500	\$1,800	9/24/2021	
CN 2020-110(FCS)	1	\$2,500	\$2,500	\$1,725	9/24/2021	
CN 2020-111(SA)	1	\$5,000	\$5,000	\$3,750	9/24/2021	
CN 2020-112(SA)	1	\$2,500	\$2,500	\$1,875	9/24/2021	
CN 2020-113(SA)	1	\$5,000	\$5,000	\$3,750	9/24/2021	
CN 2020-114(LI)	1	\$2,500	\$2,500	\$1,750	9/24/2021	

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CN 2020-115(SA)	1	\$2,500	\$2,500	\$1,875	9/24/2021	
CN 2020-116(ROR)	1	\$9,500	\$9,500	\$6,650	9/24/2021	
CN 2020-117(FCS)	1	\$2,500	\$2,500	\$1,800	9/24/2021	
CN 2020-118(SA)	1	\$5,000	\$5,000	\$3,450	9/24/2021	
CN 2020-119(SA)	1	\$2,500	\$2,500	\$1,750	9/24/2021	
CN 2020-120(SA)	1	\$2,500	\$2,500	\$1,825	9/24/2021	
CN 2020-121(ROR)	1	\$9,500	\$9,500	\$6,650	9/24/2021	
CN 2020-122(SA)	1	\$2,500	\$2,500	\$1,870	9/24/2021	
CN 2020-123(SA)	1	\$5,000	\$5,000	\$3,600	9/24/2021	
CN 2020-124(LI)	1	\$1,500	\$1,500	\$1,095	9/24/2021	
CN 2020-125(FCS)	1	\$5,000	\$5,000	\$3,600	9/24/2021	
CN 2020-126(ROP)	1	\$7,500	\$0	\$0	9/24/2021	Case Terminated
CN 2020-127(ROP)	1	\$7,500	\$0	\$0	9/24/2021	Case Terminated
CN 2020-130(GC)	1	\$5,000	\$5,000	\$3,950	9/24/2021	
CN 2020-131(HMT)	1	\$7,500	\$7,500	\$6,000	9/24/2021	
CN 2020-132(SA)	1	\$2,500	\$2,500	\$1,750	9/24/2021	
CN 2020-133(SA)	1	\$5,000	\$5,000	\$3,700	9/24/2021	
CN 2020-134(SA)	1	\$5,000	\$2,500	\$1,870	9/24/2021	Partially Terminated Violations: 1
CN 2020-135(ROR)	1	\$9,500	\$9,500	\$6,900	9/24/2021	
CN 2020-136(LI)	1	\$2,500	\$2,500	\$1,835	9/24/2021	
CN 2020-137(SA)	1	\$2,500	\$2,500	\$1,800	9/24/2021	
CN 2020-138(SA)	1	\$5,000	\$5,000	\$3,750	9/24/2021	
CN 2020-139(LI)	1	\$2,500	\$2,500	\$1,825	9/24/2021	
CN 2020-140(SA)	1	\$2,500	\$2,500	\$1,750	9/24/2021	
CN 2020-141(SA)	1	\$2,500	\$2,500	\$1,850	9/24/2021	
CN 2020-142(SA)	1	\$2,500	\$2,500	\$1,800	9/24/2021	
CN 2020-143(HMT)	1	\$5,000	\$5,000	\$3,900	9/24/2021	
CN 2020-144(FCS)	1	\$2,500	\$2,500	\$1,800	9/24/2021	
CN 2020-145(SA)	1	\$2,500	\$2,500	\$1,825	9/24/2021	
CN 2020-146(LI)	1	\$2,500	\$2,500	\$1,850	9/24/2021	
CN 2020-147(SA)	1	\$2,500	\$2,500	\$1,825	9/24/2021	
CN 2020-149(SA)	1	\$2,500	\$2,500	\$1,875	9/24/2021	
CN 2020-150(SA)	1	\$5,000	\$5,000	\$3,660	9/24/2021	
CN 2020-151(SA)	1	\$2,500	\$2,500	\$1,825	9/24/2021	
CN 2020-152(SA)	1	\$2,500	\$2,500	\$1,825	9/24/2021	
CN 2020-153(SA)	1	\$2,500	\$2,500	\$1,800	9/24/2021	
CN 2020-154(TS)	1	\$5,000	\$5,000	\$3,850	9/24/2021	
CN 2020-155(SA)	1	\$2,500	\$2,500	\$1,825	9/24/2021	
CN 2020-156(LI)	1	\$2,500	\$2,500	\$1,850	9/24/2021	

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CN 2020-157(SA)	1	\$5,000	\$5,000	\$3,650	9/24/2021	
CN 2020-158(SA)	1	\$5,000	\$5,000	\$3,750	9/24/2021	
CN 2020-159(SA)	1	\$2,500	\$2,500	\$1,825	9/24/2021	
CN 2020-161(FCS)	1	\$2,500	\$2,500	\$1,800	9/24/2021	
CN 2020-162(SA)	1	\$2,500	\$2,500	\$1,775	9/24/2021	
CNZR 2020-001(TS)	2	\$5,000	\$5,000	\$2,750	7/13/2021	
COEJ 2020-001(HMT)	1	\$2,000	\$2,000	\$1,500	7/27/2021	
COSR 2020-001(LI)	1	\$2,500	\$2,500	\$1,950	9/29/2021	
CP 2020-020(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2021	
CP 2020-021(FCS)	1	\$2,500	\$2,500	\$1,825	9/30/2021	
CP 2020-022(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2021	
CP 2020-023(SA)	1	\$5,000	\$5,000	\$3,450	9/30/2021	
CP 2020-024(SA)	1	\$5,000	\$5,000	\$3,450	9/30/2021	
CP 2020-025(SA)	1	\$2,500	\$2,500	\$1,500	9/30/2021	
CP 2020-026(SA)	1	\$2,500	\$2,500	\$1,625	9/30/2021	
CP 2020-027(HS)	1	\$1,000	\$1,000	\$892	9/30/2021	
CP 2020-028(SA)	1	\$5,000	\$5,000	\$3,350	9/30/2021	
CP 2020-029(SA)	1	\$2,500	\$2,500	\$1,625	9/30/2021	
CP 2020-030(HMT)	2	\$4,000	\$4,000	\$2,550	9/30/2021	
CP 2020-031(SA)	1	\$5,000	\$5,000	\$3,450	9/30/2021	
CP 2020-032(SA)	1	\$2,500	\$2,500	\$1,850	9/30/2021	
CP 2020-033(SA)	1	\$5,000	\$5,000	\$3,450	9/30/2021	
CP 2020-034(FCS)	1	\$2,500	\$2,500	\$1,850	9/30/2021	
CP 2020-035(SA)	1	\$5,000	\$5,000	\$3,450	9/30/2021	
CP 2020-036(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2021	
CP 2020-037(SA)	1	\$2,500	\$2,500	\$1,550	9/30/2021	
CP 2020-038(SA)	1	\$5,000	\$5,000	\$3,400	9/30/2021	
CP 2020-039(SA)	1	\$5,000	\$5,000	\$3,675	9/30/2021	
CP 2020-040(SA)	1	\$5,000	\$5,000	\$3,000	9/30/2021	
CP 2020-042(SA)	1	\$5,000	\$5,000	\$3,250	9/30/2021	
CP 2020-043(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2021	
CP 2020-044(ROP)	1	\$7,500	\$7,500	\$5,500	9/30/2021	
CP 2020-045(SA)	1	\$5,000	\$5,000	\$3,550	9/30/2021	
CP 2020-046(SA)	1	\$2,500	\$2,500	\$1,850	9/30/2021	
CP 2020-047(SA)	1	\$2,500	\$2,500	\$1,850	9/30/2021	
CP 2020-048(FCS)	1	\$5,000	\$5,000	\$3,450	9/30/2021	
CP 2020-049(SA)	1	\$2,500	\$2,500	\$1,700	9/30/2021	
CP 2020-050(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2021	
CP 2020-051(LI)	1	\$2,500	\$2,500	\$1,675	9/30/2021	
CP 2020-052(LI)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
CP 2020-053(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2021	

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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>
CP 2020-054(SA)	1	\$5,000	\$5,000	\$3,450	9/30/2021	
CP 2020-055(SA)	1	\$5,000	\$5,000	\$3,450	9/30/2021	
CP 2020-056(SA)	1	\$2,500	\$2,500	\$1,625	9/30/2021	
CP 2020-057(TS)	1	\$2,500	\$2,500	\$1,700	9/30/2021	
CP 2020-058(TS)	1	\$5,000	\$5,000	\$3,450	9/30/2021	
CP 2020-059(RW)	1	\$3,000	\$3,000	\$2,400	9/30/2021	
CP 2020-060(LI)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
CP 2020-061(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
CP 2020-062(SA)	1	\$5,000	\$5,000	\$3,725	9/30/2021	
CP 2020-063(SA)	1	\$5,000	\$5,000	\$3,250	9/30/2021	
CP 2020-064(SA)	1	\$5,000	\$5,000	\$3,350	9/30/2021	
CP 2020-065(SA)	1	\$5,000	\$5,000	\$3,225	9/30/2021	
CP 2020-066(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2021	
CP 2020-067(SA)	1	\$5,000	\$2,500	\$2,500	9/30/2021	Partially Terminated Violations: 1
CP 2020-068(HMT)	1	\$5,000	\$0	\$0	9/30/2021	Case Terminated
CP 2020-069(SA)	1	\$2,500	\$2,500	\$1,935	9/30/2021	
CP 2020-070(SA)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
CP 2020-071(SA)	1	\$5,000	\$5,000	\$3,350	9/30/2021	
CP 2020-072(LI)	1	\$1,000	\$1,000	\$892	9/30/2021	
CP 2020-073(ROP)	1	\$9,500	\$9,500	\$6,250	9/30/2021	
CP 2020-074(TS)	1	\$2,500	\$2,500	\$1,625	9/30/2021	
CP 2020-075(TS)	1	\$5,000	\$5,000	\$3,400	9/30/2021	
CP 2020-076(ROP)	1	\$9,500	\$9,500	\$6,250	9/30/2021	
CP 2020-077(SA)	1	\$5,000	\$5,000	\$3,700	9/30/2021	
CP 2020-078(LI)	1	\$2,500	\$2,500	\$1,500	9/30/2021	
CP 2021-001(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2021	
CP 2021-002(SA)	1	\$5,000	\$5,000	\$3,725	9/30/2021	
CP 2021-003(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2021	
CP 2021-004(FCS)	1	\$2,500	\$2,500	\$1,500	9/30/2021	
CP 2021-005(LI)	1	\$2,500	\$2,500	\$1,875	9/30/2021	
CP 2021-006(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2021	
CP 2021-007(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2021	
CP 2021-008(TS)	2	\$5,000	\$5,000	\$2,500	9/30/2021	
CP 2021-009(LI)	1	\$7,500	\$2,500	\$2,500	9/30/2021	Partially Terminated Violations: 1
CP 2021-010(SA)	1	\$2,500	\$2,500	\$1,500	9/30/2021	
CP 2021-011(SA)	1	\$5,000	\$5,000	\$3,450	9/30/2021	
CP 2021-012(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2021	

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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>
CP 2021-013(SA)	1	\$5,000	\$2,500	\$2,500	9/30/2021	Partially Terminated Violations: 1
CP 2021-014(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2021	
CP 2021-015(HMT)	1	\$2,000	\$2,000	\$1,450	9/30/2021	
CP 2021-016(SA)	1	\$5,000	\$5,000	\$3,400	9/30/2021	
CP 2021-017(SA)	1	\$5,000	\$5,000	\$3,400	9/30/2021	
CP 2021-018(SA)	1	\$5,000	\$5,000	\$3,250	9/30/2021	
CP 2021-019(TS)	2	\$7,500	\$7,500	\$4,925	9/30/2021	
CP 2021-020(LI)	1	\$2,500	\$2,500	\$1,700	9/30/2021	
CP 2021-021(LI)	1	\$2,000	\$2,000	\$1,325	9/30/2021	
CP 2021-022(LI)	1	\$5,000	\$5,000	\$3,650	9/30/2021	
CP 2021-023(SA)	1	\$2,500	\$2,500	\$1,625	9/30/2021	
CRKZ 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	6/30/2021	
CRL 2017-001(ROP)	1	\$7,500	\$7,500	\$5,000	7/9/2021	
CRL 2019-001(AD)	1	\$1,000	\$1,000	\$853	7/9/2021	
CRRX 2018-001(ROP)	1	\$5,000	\$5,000	\$5,000	4/16/2021	
CRRX 2020-001(AD)	1	\$2,500	\$2,500	\$2,500	6/10/2021	
CRRX 2020-002(AD)	1	\$2,500	\$2,500	\$2,500	6/10/2021	
CRRX 2020-003(CC)	1	\$5,000	\$5,000	\$5,000	6/10/2021	
CRSH 2020-017(SA)	1	\$5,000	\$5,000	\$4,000	9/13/2021	
CRSH 2020-018(SA)	1	\$5,000	\$5,000	\$4,000	9/13/2021	
CRSM 2020-001(TS)	2	\$6,000	\$6,000	\$6,000	9/13/2021	
CRSM 2020-002(SA)	1	\$5,000	\$5,000	\$3,500	9/13/2021	
CRSM 2020-003(SA)	1	\$2,500	\$2,500	\$1,875	9/13/2021	
CRSM 2020-004(SA)	1	\$5,000	\$5,000	\$4,000	9/13/2021	
CRSM 2020-005(ROP)	1	\$5,000	\$5,000	\$4,000	9/13/2021	
CRSM 2021-001(ROP)	1	\$9,500	\$9,500	\$7,250	9/13/2021	
CRSM 2021-001(SA)	1	\$5,000	\$5,000	\$4,000	9/13/2021	
CRSM 2021-002(SA)	1	\$5,000	\$5,000	\$4,000	9/13/2021	
CRSM 2021-002(TS)	1	\$2,500	\$2,500	\$2,500	9/13/2021	
CRSM 2021-003(SA)	1	\$5,000	\$5,000	\$4,000	9/13/2021	
CRSM 2021-005(SA)	1	\$5,000	\$5,000	\$4,000	9/13/2021	
CRSM 2021-006(SA)	1	\$5,000	\$5,000	\$4,000	9/13/2021	
CRSM 2021-008(AR)	1	\$2,500	\$2,500	\$2,000	9/13/2021	
CRSM 2021-009(AR)	1	\$2,500	\$2,500	\$2,000	9/13/2021	
CRSM 2021-010(ROP)	1	\$9,500	\$9,500	\$6,750	9/13/2021	
CSX 2017-152(SI)	1	\$1,000	\$1,000	\$853	3/31/2021	
CSX 2019-089(TS)	1	\$2,500	\$2,500	\$1,836	3/31/2021	
CSX 2019-222(TS)	1	\$5,000	\$5,000	\$3,675	3/31/2021	
CSX 2019-454(SI)	1	\$2,500	\$2,500	\$1,836	3/31/2021	

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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 2019-535(SA)	1	\$5,000	\$0	\$0	3/31/2021	Case Terminated
CSX 2019-585(TS)	1	\$2,500	\$2,500	\$1,837	3/31/2021	
CSX 2020-066(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-068(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-072(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-078(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-080(ROP)	1	\$8,000	\$8,000	\$5,808	9/29/2021	
CSX 2020-081(SA)	1	\$2,500	\$2,500	\$1,840	9/29/2021	
CSX 2020-082(GC)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-083(ROP)	1	\$9,500	\$9,500	\$6,992	9/29/2021	
CSX 2020-084(SA)	1	\$25,000	\$25,000	\$18,400	9/29/2021	
CSX 2020-085(FCS)	1	\$2,000	\$2,000	\$1,472	9/29/2021	
CSX 2020-086(LI)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-087(FCS)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-088(TS)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-089(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-090(SA)	1	\$40,000	\$40,000	\$29,299	9/29/2021	
CSX 2020-091(ROP)	1	\$7,500	\$7,500	\$5,520	9/29/2021	
CSX 2020-092(FCS)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-093(FCS)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-095(HMT)	1	\$2,000	\$2,000	\$1,472	9/29/2021	
CSX 2020-096(FCS)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-097(ROP)	1	\$7,500	\$7,500	\$0	9/29/2021	
CSX 2020-098(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-099(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-100(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-101(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-102(SA)	2	\$15,000	\$7,500	\$6,000	9/29/2021	Terminated Violations: 1
CSX 2020-103(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-104(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-105(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-106(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-107(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-108(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-109(LI)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-111(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-112(TS)	1	\$11,000	\$6,000	\$5,352	9/29/2021	Partially Terminated Violations: 1
CSX 2020-113(TS)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-117(GC)	1	\$5,000	\$5,000	\$3,640	9/29/2021	

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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 2020-118(GC)	1	\$1,000	\$1,000	\$892	9/29/2021	
CSX 2020-119(HMT)	1	\$2,000	\$2,000	\$1,472	9/29/2021	
CSX 2020-120(FCS)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-121(FCS)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-122(FCS)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-123(FCS)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-126(FCS)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-127(SA)	1	\$2,500	\$0	\$0	9/29/2021	Case Terminated
CSX 2020-128(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-129(LI)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-130(LI)	1	\$9,000	\$9,000	\$8,028	9/29/2021	
CSX 2020-131(LI)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-132(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-133(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-134(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-135(TS)	1	\$1,000	\$1,000	\$870	9/29/2021	
CSX 2020-136(HMT)	1	\$2,000	\$2,000	\$1,472	9/29/2021	
CSX 2020-137(HMT)	1	\$4,000	\$4,000	\$2,944	9/29/2021	
CSX 2020-138(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-139(FCS)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-140(FCS)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-141(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-142(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-143(SA)	1	\$15,000	\$15,000	\$11,040	9/29/2021	
CSX 2020-144(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-145(LI)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-146(LI)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-147(SA)	1	\$2,500	\$2,500	\$1,840	9/29/2021	
CSX 2020-148(SA)	1	\$10,000	\$10,000	\$7,360	9/29/2021	
CSX 2020-149(FCS)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-150(RSP)	1	\$27,455	\$27,455	\$20,201	9/29/2021	
CSX 2020-151(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-152(TS)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-153(ROR)	1	\$19,000	\$19,000	\$13,984	9/29/2021	
CSX 2020-154(TS)	10	\$22,500	\$22,500	\$17,000	9/29/2021	
CSX 2020-155(FCS)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-156(FCS)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-157(FCS)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-158(FCS)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-159(FCS)	1	\$2,500	\$2,500	\$1,792	9/29/2021	
CSX 2020-160(HMT)	1	\$4,000	\$4,000	\$2,944	9/29/2021	

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CSX 2020-161(LI)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-162(LI)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-163(LI)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-164(ROP)	1	\$9,500	\$9,500	\$6,992	9/29/2021	
CSX 2020-165(ROP)	1	\$7,500	\$7,500	\$5,520	9/29/2021	
CSX 2020-166(LI)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-167(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-168(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-169(LI)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-170(LI)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-171(LI)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-172(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-173(GC)	1	\$1,000	\$1,000	\$892	9/29/2021	
CSX 2020-174(GC)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-175(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-176(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-177(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-178(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-179(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-180(SA)	1	\$10,000	\$10,000	\$7,360	9/29/2021	
CSX 2020-181(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-182(LI)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-183(FCS)	1	\$2,000	\$2,000	\$1,500	9/29/2021	
CSX 2020-184(TS)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-185(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-187(SA)	1	\$2,500	\$0	\$0	9/29/2021	Case Terminated
CSX 2020-188(FCS)	1	\$5,000	\$0	\$0	9/29/2021	Case Terminated
CSX 2020-189(FCS)	1	\$2,500	\$0	\$0	9/29/2021	Case Terminated
CSX 2020-190(FCS)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-191(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-192(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-193(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-194(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-195(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-196(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-197(SA)	1	\$2,500	\$2,500	\$1,840	9/29/2021	
CSX 2020-199(HMT)	1	\$2,000	\$2,000	\$1,472	9/29/2021	
CSX 2020-200(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-201(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-202(LI)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-203(HMT)	1	\$4,000	\$4,000	\$2,944	9/29/2021	

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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 2020-204(HMT)	1	\$2,000	\$2,000	\$1,472	9/29/2021	
CSX 2020-205(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-206(SI)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-207(LI)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-208(ROP)	1	\$7,500	\$7,500	\$5,520	9/29/2021	
CSX 2020-209(ROP)	1	\$7,500	\$7,500	\$5,520	9/29/2021	
CSX 2020-210(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-211(SA)	1	\$10,000	\$10,000	\$7,360	9/29/2021	
CSX 2020-212(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-213(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-214(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-215(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-216(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-217(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-218(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-219(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-220(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-221(TS)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-222(HMT)	1	\$18,000	\$18,000	\$13,248	9/29/2021	
CSX 2020-223(HMT)	1	\$4,000	\$4,000	\$2,944	9/29/2021	
CSX 2020-224(HMT)	2	\$18,000	\$18,000	\$13,248	9/29/2021	
CSX 2020-225(FCS)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-226(FCS)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-227(LI)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-228(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-229(LI)	2	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-230(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-232(AD)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-233(AR)	1	\$2,500	\$0	\$0	9/29/2021	Case Terminated
CSX 2020-234(ROP)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-235(LI)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-236(LI)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-237(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-238(SA)	1	\$2,500	\$2,500	\$1,820	9/22/2021	
CSX 2020-239(ROP)	1	\$9,500	\$9,500	\$6,992	9/29/2021	
CSX 2020-240(ROP)	1	\$7,500	\$7,500	\$5,520	9/29/2021	
CSX 2020-241(ROR)	1	\$9,500	\$9,500	\$6,992	9/29/2021	
CSX 2020-242(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-243(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-244(HMT)	1	\$8,000	\$8,000	\$5,888	9/29/2021	
CSX 2020-245(LI)	1	\$2,500	\$2,500	\$1,820	9/29/2021	

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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 2020-246(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-247(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-248(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-249(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-250(HMT)	1	\$2,000	\$2,000	\$1,472	9/29/2021	
CSX 2020-251(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-253(GC)	1	\$1,000	\$1,000	\$892	9/29/2021	
CSX 2020-254(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-255(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-256(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-257(LI)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-258(AR)	1	\$2,500	\$2,500	\$1,840	9/29/2021	
CSX 2020-259(GC)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-260(GC)	1	\$1,000	\$1,000	\$892	9/29/2021	
CSX 2020-261(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-262(RW)	1	\$3,000	\$3,000	\$2,208	9/29/2021	
CSX 2020-263(ROP)	1	\$2,000	\$2,000	\$1,472	9/29/2021	
CSX 2020-264(ROP)	1	\$7,500	\$7,500	\$5,520	9/29/2021	
CSX 2020-265(AR)	1	\$2,500	\$2,500	\$1,840	9/29/2021	
CSX 2020-266(AR)	1	\$2,500	\$2,500	\$1,840	9/29/2021	
CSX 2020-267(AR)	1	\$2,500	\$2,500	\$1,840	9/29/2021	
CSX 2020-268(AR)	1	\$2,500	\$2,500	\$1,840	9/29/2021	
CSX 2020-269(AR)	1	\$2,500	\$2,500	\$1,840	9/29/2021	
CSX 2020-270(AR)	1	\$2,500	\$2,500	\$1,840	9/29/2021	
CSX 2020-271(TS)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-272(RW)	1	\$3,000	\$3,000	\$2,208	9/29/2021	
CSX 2020-273(LI)	1	\$1,500	\$1,500	\$1,104	9/29/2021	
CSX 2020-274(LI)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-275(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-276(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-277(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-278(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-279(GC)	1	\$2,500	\$2,500	\$1,840	9/29/2021	
CSX 2020-280(FCS)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-281(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-282(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-283(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-284(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-285(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-286(EP)	1	\$1,000	\$1,000	\$892	9/29/2021	
CSX 2020-287(HMT)	1	\$5,000	\$5,000	\$3,680	9/29/2021	

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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 2020-288(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-289(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-290(SA)	1	\$2,500	\$0	\$0	9/29/2021	Case Terminated
CSX 2020-291(HMT)	1	\$19,000	\$19,000	\$13,984	9/29/2021	
CSX 2020-292(ROP)	1	\$2,000	\$2,000	\$1,472	9/29/2021	
CSX 2020-293(AD)	1	\$1,000	\$1,000	\$892	9/29/2021	
CSX 2020-294(HMT)	1	\$2,000	\$2,000	\$1,472	9/29/2021	
CSX 2020-295(AR)	1	\$2,500	\$2,500	\$1,840	9/29/2021	
CSX 2020-296(AR)	1	\$2,500	\$2,500	\$1,840	9/29/2021	
CSX 2020-297(AR)	1	\$2,500	\$2,500	\$1,840	9/29/2021	
CSX 2020-298(AR)	1	\$2,500	\$2,500	\$1,840	9/29/2021	
CSX 2020-299(AR)	1	\$2,500	\$0	\$0	9/29/2021	Case Terminated
CSX 2020-300(AR)	1	\$2,500	\$2,500	\$1,840	9/29/2021	
CSX 2020-301(AR)	1	\$2,500	\$0	\$0	9/29/2021	Case Terminated
CSX 2020-302(AR)	1	\$2,500	\$0	\$0	9/29/2021	Case Terminated
CSX 2020-303(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-304(GC)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-305(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-306(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-307(SA)	2	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-308(LI)	1	\$10,000	\$2,500	\$1,820	9/29/2021	Partially Terminated Violations: 1
CSX 2020-309(LI)	1	\$1,500	\$1,500	\$1,104	9/29/2021	
CSX 2020-310(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-311(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-312(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-313(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-314(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-315(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-316(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-317(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-318(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-319(HMT)	1	\$5,000	\$5,000	\$3,680	9/29/2021	
CSX 2020-320(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-321(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-322(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-323(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-324(ROP)	1	\$7,500	\$0	\$0	9/29/2021	Case Terminated
CSX 2020-325(TS)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-328(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	

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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 2020-329(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-330(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-331(GC)	1	\$1,000	\$1,000	\$892	9/29/2021	
CSX 2020-332(ROP)	1	\$7,500	\$0	\$0	9/29/2021	Case Terminated
CSX 2020-333(ROP)	1	\$2,000	\$2,000	\$1,472	9/29/2021	
CSX 2020-334(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-335(SA)	1	\$10,000	\$10,000	\$7,360	9/29/2021	
CSX 2020-336(FCS)	1	\$2,000	\$2,000	\$1,472	9/29/2021	
CSX 2020-337(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-338(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-339(SI)	1	\$1,000	\$1,000	\$892	9/29/2021	
CSX 2020-340(ROP)	1	\$9,500	\$5,000	\$4,350	9/29/2021	Partially Terminated Violations: 1
CSX 2020-341(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-342(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-343(ROP)	1	\$7,500	\$7,500	\$5,520	9/29/2021	
CSX 2020-344(LI)	1	\$1,500	\$1,500	\$1,104	9/29/2021	
CSX 2020-345(SA)	3	\$10,000	\$10,000	\$7,360	9/29/2021	
CSX 2020-346(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-347(SA)	1	\$2,500	\$2,500	\$1,840	9/29/2021	
CSX 2020-348(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-349(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-351(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-352(ROP)	1	\$9,500	\$9,500	\$6,992	9/29/2021	
CSX 2020-353(ROP)	1	\$7,500	\$7,500	\$5,520	9/29/2021	
CSX 2020-354(FCS)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-355(TS)	1	\$1,000	\$1,000	\$892	9/29/2021	
CSX 2020-356(LI)	1	\$2,000	\$2,000	\$1,472	9/29/2021	
CSX 2020-357(SI)	1	\$1,000	\$1,000	\$892	9/29/2021	
CSX 2020-358(FCS)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-359(FCS)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-360(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-361(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-362(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-363(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-364(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-365(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-366(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-367(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-368(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	

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CSX 2020-369(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-370(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-371(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-372(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-373(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-375(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-376(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-377(LI)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-378(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-381(RW)	3	\$8,000	\$8,000	\$5,888	9/29/2021	
CSX 2020-382(GC)	1	\$1,000	\$1,000	\$892	9/29/2021	
CSX 2020-383(HMT)	2	\$8,000	\$8,000	\$5,888	9/29/2021	
CSX 2020-384(TS)	1	\$5,000	\$2,500	\$2,300	9/29/2021	Partially Terminated Violations: 1
CSX 2020-385(GC)	1	\$1,000	\$1,000	\$892	9/29/2021	
CSX 2020-386(GC)	1	\$1,000	\$1,000	\$892	9/29/2021	
CSX 2020-387(GC)	1	\$1,000	\$1,000	\$892	9/29/2021	
CSX 2020-388(GC)	1	\$1,000	\$1,000	\$892	9/29/2021	
CSX 2020-389(LI)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-390(SA)	1	\$2,500	\$2,500	\$1,840	9/29/2021	
CSX 2020-391(SI)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-392(SI)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-393(ROP)	1	\$9,500	\$9,500	\$6,992	9/29/2021	
CSX 2020-394(FCS)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-395(RW)	2	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-396(ROP)	1	\$2,000	\$2,000	\$1,472	9/29/2021	
CSX 2020-397(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-398(ROP)	1	\$2,000	\$2,000	\$1,472	9/29/2021	
CSX 2020-399(SA)	1	\$5,000	\$0	\$0	9/29/2021	Case Terminated
CSX 2020-400(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-401(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-402(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-403(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-404(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-405(SA)	1	\$2,500	\$0	\$0	9/29/2021	Case Terminated
CSX 2020-406(SA)	1	\$10,000	\$10,000	\$7,360	9/29/2021	
CSX 2020-407(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-408(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-409(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-410(RW)	1	\$5,000	\$5,000	\$3,640	9/29/2021	

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CSX 2020-411(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-412(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-413(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-414(LI)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-415(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-416(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-417(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-418(ROP)	1	\$9,500	\$9,500	\$6,992	9/29/2021	
CSX 2020-419(TS)	1	\$2,500	\$0	\$0	9/29/2021	Case Terminated
CSX 2020-420(LI)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-421(ROP)	1	\$7,500	\$7,500	\$5,520	9/29/2021	
CSX 2020-422(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-425(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-426(TS)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-427(GC)	1	\$2,500	\$2,500	\$1,840	9/29/2021	
CSX 2020-428(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-429(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-430(ROP)	1	\$9,500	\$9,500	\$6,992	9/29/2021	
CSX 2020-431(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-432(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-433(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-434(HMT)	1	\$2,000	\$2,000	\$1,472	9/29/2021	
CSX 2020-435(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-436(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-437(HMT)	1	\$2,000	\$2,000	\$1,472	9/29/2021	
CSX 2020-438(HMT)	1	\$6,000	\$6,000	\$4,416	9/29/2021	
CSX 2020-439(HMT)	1	\$8,000	\$8,000	\$5,888	9/29/2021	
CSX 2020-440(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2020-441(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-442(LI)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-444(SI)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2020-445(RSP)	1	\$9,500	\$9,500	\$6,992	9/29/2021	
CSX 2020-450(CC)	1	\$30,000	\$30,000	\$21,940	9/29/2021	
CSX 2021-001(SI)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2021-002(LI)	1	\$1,500	\$1,500	\$1,104	9/29/2021	
CSX 2021-003(LI)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2021-004(TS)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2021-005(TS)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2021-006(LI)	1	\$2,000	\$2,000	\$1,472	9/29/2021	
CSX 2021-007(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2021-009(ROP)	1	\$9,500	\$9,500	\$6,992	9/29/2021	

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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 2021-010(LI)	1	\$2,000	\$2,000	\$1,472	9/29/2021	
CSX 2021-011(HMT)	1	\$4,000	\$4,000	\$2,944	9/29/2021	
CSX 2021-012(HMT)	1	\$2,000	\$2,000	\$1,472	9/29/2021	
CSX 2021-013(LI)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2021-014(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2021-015(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2021-016(SA)	1	\$5,000	\$0	\$0	9/29/2021	Case Terminated
CSX 2021-017(ROP)	1	\$7,500	\$7,500	\$5,520	9/29/2021	
CSX 2021-018(AD)	1	\$1,000	\$1,000	\$892	9/29/2021	
CSX 2021-019(TH)	1	\$5,000	\$5,000	\$3,680	9/29/2021	
CSX 2021-020(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2021-021(SA)	1	\$2,500	\$2,500	\$1,840	9/29/2021	
CSX 2021-022(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2021-024(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2021-025(EP)	1	\$1,000	\$1,000	\$892	9/29/2021	
CSX 2021-027(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2021-028(ROP)	1	\$9,500	\$9,500	\$6,992	9/29/2021	
CSX 2021-029(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2021-030(ROP)	1	\$2,000	\$2,000	\$1,472	9/29/2021	
CSX 2021-031(ROP)	1	\$7,500	\$7,500	\$5,520	9/29/2021	
CSX 2021-032(LI)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2021-033(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2021-034(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2021-035(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2021-036(LI)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2021-037(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2021-038(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2021-039(TS)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2021-040(ROP)	1	\$7,500	\$7,500	\$5,520	9/29/2021	
CSX 2021-041(TS)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2021-042(LI)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2021-043(LI)	1	\$3,000	\$3,000	\$2,208	9/29/2021	
CSX 2021-045(SA)	1	\$10,000	\$10,000	\$7,360	9/29/2021	
CSX 2021-046(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2021-047(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2021-049(SA)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2021-050(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CSX 2021-051(FCS)	1	\$2,500	\$2,500	\$1,820	9/29/2021	
CSX 2021-053(SA)	1	\$5,000	\$5,000	\$3,640	9/29/2021	
CTIZ 2021-001(HMT)	1	\$4,000	\$4,000	\$3,500	7/15/2021	
CWR 2019-001(GC)	1	\$5,000	\$0	\$0	9/29/2021	Case Terminated

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CWW 2020-001(TS)	1	\$2,500	\$2,500	\$1,500	3/18/2021	
DGNO 2019-002(TS)	1	\$5,000	\$5,000	\$3,000	9/29/2021	
DGNO 2019-004(TS)	1	\$15,000	\$15,000	\$11,550	12/21/2020	
DGNO 2020-001(TS)	1	\$2,500	\$2,500	\$1,500	9/29/2021	
DGNO 2020-002(TS)	1	\$2,500	\$2,500	\$1,500	9/29/2021	
DGNO 2020-003(TS)	1	\$5,000	\$5,000	\$3,000	9/29/2021	
DGNO 2020-004(TS)	3	\$10,000	\$10,000	\$6,000	9/29/2021	
DGNO 2020-005(TS)	1	\$1,000	\$1,000	\$950	9/29/2021	
DGNO 2020-006(TS)	1	\$5,000	\$5,000	\$3,000	9/29/2021	
DGNO 2020-007(TS)	1	\$2,500	\$2,500	\$1,500	9/29/2021	
DGNO 2020-008(TS)	1	\$2,500	\$2,500	\$1,500	9/29/2021	
DGNO 2020-009(TS)	1	\$1,000	\$1,000	\$950	9/29/2021	
DGNO 2020-010(TS)	1	\$5,000	\$5,000	\$3,000	9/29/2021	
DPQ 2020-001(HMT)	1	\$2,000	\$2,000	\$2,000	5/18/2021	
DR 2020-001(SA)	1	\$5,000	\$5,000	\$1,000	7/6/2021	
DR 2020-002(ROP)	1	\$7,500	\$2,000	\$1,000	7/6/2021	Partially Terminated Violations: 1
DREI 2020-002(SA)	1	\$5,000	\$5,000	\$3,750	9/28/2021	
DREI 2021-001(ROP)	1	\$7,500	\$7,500	\$5,000	9/28/2021	
EIRR 2021-001(GC)	1	\$5,000	\$5,000	\$3,750	9/28/2021	
EIRR 2021-002(GC)	1	\$5,000	\$5,000	\$3,750	9/28/2021	
ELS 2020-001(SA)	1	\$5,000	\$5,000	\$5,000	7/2/2021	
EMRY 2021-001(TS)	1	\$5,000	\$5,000	\$3,300	7/8/2021	
EVWR 2021-001(ROP)	1	\$7,500	\$7,500	\$7,500	6/21/2021	
FEC 2018-013(RW)	1	\$5,000	\$5,000	\$3,500	5/24/2021	
FEC 2018-014(GC)	1	\$5,000	\$5,000	\$3,500	5/24/2021	
FEC 2018-015(TS)	1	\$2,500	\$2,500	\$1,750	5/24/2021	
FEC 2018-016(SA)	1	\$5,000	\$5,000	\$3,500	5/24/2021	
FEC 2018-017(SA)	1	\$5,000	\$5,000	\$3,500	5/24/2021	
FEC 2019-001(FCS)	1	\$2,000	\$2,000	\$1,500	5/24/2021	
FEC 2019-002(GC)	1	\$1,000	\$1,000	\$900	5/24/2021	
FEC 2019-003(GC)	1	\$5,000	\$5,000	\$3,500	5/24/2021	
FEC 2019-005(ROP)	1	\$2,000	\$2,000	\$1,400	5/24/2021	
FEC 2019-006(SA)	1	\$5,000	\$5,000	\$3,500	5/24/2021	
FEC 2019-007(SA)	1	\$7,500	\$7,500	\$5,250	5/24/2021	
FEC 2019-008(GC)	1	\$1,000	\$1,000	\$900	5/24/2021	
FEC 2019-009(ROP)	1	\$7,500	\$7,500	\$5,500	5/24/2021	
FEC 2019-010(ROP)	1	\$9,500	\$9,500	\$6,650	5/24/2021	
FEC 2019-011(ROP)	1	\$2,000	\$2,000	\$1,400	5/24/2021	
FEC 2019-012(ROP)	1	\$2,000	\$2,000	\$1,400	5/24/2021	

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FEC 2019-013(SA)	1	\$5,000	\$5,000	\$3,500	5/24/2021	
FEC 2019-014(SA)	1	\$10,000	\$10,000	\$7,000	5/24/2021	
FEC 2019-015(GC)	1	\$1,000	\$1,000	\$900	5/24/2021	
FEC 2019-016(SA)	1	\$5,000	\$5,000	\$3,625	5/24/2021	
FEC 2019-017(SA)	1	\$5,000	\$5,000	\$3,635	5/24/2021	
FEC 2020-001(ROR)	1	\$66,500	\$66,500	\$51,015	5/24/2021	
FEC 2020-002(ROP)	1	\$7,500	\$7,500	\$5,625	5/24/2021	
FEC 2020-004(ROP)	1	\$9,500	\$9,500	\$6,650	5/24/2021	
FEC 2020-005(SA)	1	\$5,000	\$5,000	\$3,500	5/24/2021	
FEC 2020-006(SA)	1	\$5,000	\$5,000	\$3,500	5/24/2021	
FEC 2020-007(HSR)	1	\$10,000	\$10,000	\$9,000	5/24/2021	
FEC 2020-008(HSR)	1	\$1,000	\$1,000	\$900	5/24/2021	
FGA 2020-001(HMT)	1	\$5,000	\$5,000	\$3,000	5/21/2021	
FP 2019-001(TS)	2	\$6,000	\$6,000	\$4,750	9/29/2021	
GC 2020-001(GC)	1	\$5,000	\$5,000	\$3,900	9/29/2021	
GC 2021-001(LI)	1	\$2,500	\$2,500	\$1,950	9/29/2021	
GDLK 2020-001(SA)	1	\$5,000	\$5,000	\$3,250	9/28/2021	
GDLK 2021-001(SA)	1	\$5,000	\$5,000	\$3,250	9/28/2021	
GDLK 2021-002(TS)	1	\$5,000	\$5,000	\$3,250	9/28/2021	
GLCT 2019-002(ROP)	1	\$7,500	\$7,500	\$6,000	4/27/2021	
GRNW 2020-001(TS)	1	\$1,000	\$1,000	\$900	9/28/2021	
GRW 2021-001(EQ)	1	\$10,000	\$10,000	\$10,000	5/12/2021	
GS 2020-001(TS)	3	\$12,000	\$12,000	\$9,500	4/27/2021	
GSM 2020-001(GC)	1	\$5,000	\$5,000	\$4,000	5/13/2021	
GWR 2018-002(TS)	1	\$5,000	\$5,000	\$3,000	4/16/2021	
HRT 2019-001(ROP)	1	\$7,500	\$7,500	\$5,000	9/14/2021	
HRT 2019-002(SA)	1	\$5,000	\$5,000	\$2,500	9/14/2021	
HRT 2020-001(LI)	1	\$5,000	\$5,000	\$3,500	9/14/2021	
IAIS 2020-003(EQ)	1	\$2,500	\$2,500	\$1,250	3/3/2021	
IAIS 2020-004(SA)	1	\$5,000	\$5,000	\$5,000	8/10/2021	
IAIS 2021-001(SA)	1	\$2,500	\$2,500	\$2,500	8/10/2021	
IARR 2020-001(AD)	1	\$2,500	\$2,500	\$2,500	8/10/2021	
IATR 2020-001(BSS)	1	\$5,000	\$5,000	\$4,000	9/1/2021	
IDAH 2021-001(HMT)	1	\$2,000	\$2,000	\$1,600	9/8/2021	
IHB 2020-001(SA)	1	\$5,000	\$5,000	\$3,500	2/16/2021	
IHB 2020-002(SA)	1	\$2,500	\$2,500	\$1,500	2/16/2021	
IHB 2020-003(FCS)	1	\$2,500	\$2,500	\$1,500	2/16/2021	
IHB 2020-004(SA)	1	\$5,000	\$5,000	\$3,500	2/16/2021	
IHB 2020-005(SA)	1	\$5,000	\$5,000	\$3,500	2/16/2021	
IHB 2020-006(LI)	1	\$2,500	\$2,500	\$1,600	2/16/2021	
IHB 2020-007(SA)	1	\$2,500	\$2,500	\$1,750	7/9/2021	

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IHB 2020-008(SA)	1	\$2,500	\$2,500	\$1,750	7/9/2021	
IHB 2021-001(LI)	1	\$1,500	\$1,500	\$1,050	7/9/2021	
IHB 2021-003(SA)	1	\$5,000	\$5,000	\$3,700	7/9/2021	
IHB 2021-004(SA)	1	\$2,500	\$2,500	\$1,750	7/9/2021	
IHB 2021-005(FCS)	1	\$2,500	\$2,500	\$1,750	7/9/2021	
IHB 2021-006(SA)	1	\$2,500	\$2,500	\$1,750	7/9/2021	
IHB 2021-007(SA)	1	\$5,000	\$5,000	\$3,750	9/8/2021	
IHB 2021-010(SA)	1	\$5,000	\$5,000	\$3,750	9/9/2021	
IHB 2021-011(EQ)	1	\$5,000	\$5,000	\$3,750	9/9/2021	
IHB 2021-013(EQ)	1	\$5,000	\$5,000	\$3,750	9/9/2021	
IHB 2021-014(EQ)	1	\$1,000	\$1,000	\$892	9/9/2021	
IHB 2021-016(HMT)	1	\$7,500	\$7,500	\$5,750	9/9/2021	
IHTR 2020-001(ROP)	1	\$7,500	\$7,500	\$3,750	3/2/2021	
IMRR 2020-002(EQ)	1	\$2,500	\$2,500	\$1,825	9/29/2021	
IMRR 2020-003(EQ)	1	\$2,500	\$2,500	\$1,825	9/29/2021	
IMRR 2020-005(EQ)	1	\$2,500	\$2,500	\$1,825	9/29/2021	
INPR 2020-001(SA)	1	\$2,500	\$2,500	\$1,250	3/3/2021	
INRD 2020-001(HMT)	1	\$5,000	\$0	\$0	3/23/2021	Case Terminated
INRD 2020-002(HMT)	1	\$8,000	\$8,000	\$5,900	2/12/2021	
IORY 2019-001(GC)	1	\$2,500	\$2,500	\$1,950	9/29/2021	
IORY 2020-001(SI)	1	\$1,000	\$1,000	\$950	9/29/2021	
IORY 2020-002(TS)	1	\$2,500	\$2,500	\$2,000	9/29/2021	
IORY 2020-003(GC)	1	\$5,000	\$5,000	\$3,750	9/29/2021	
IORY 2020-004(GC)	1	\$5,000	\$5,000	\$3,750	9/29/2021	
IORY 2020-005(SA)	1	\$2,500	\$2,500	\$1,875	9/29/2021	
IORY 2020-006(ROP)	1	\$7,500	\$7,500	\$5,700	9/29/2021	
IR 2020-001(SA)	1	\$5,000	\$5,000	\$4,000	1/5/2021	
IR 2020-002(LI)	1	\$2,500	\$2,500	\$1,250	1/5/2021	
IR 2020-003(LI)	1	\$2,500	\$2,500	\$1,250	1/5/2021	
IR 2020-004(LI)	1	\$1,000	\$1,000	\$892	1/5/2021	
IR 2020-005(LI)	1	\$1,000	\$1,000	\$892	1/5/2021	
IR 2020-006(ROP)	1	\$5,000	\$5,000	\$2,500	1/5/2021	
IR 2020-007(LI)	1	\$2,500	\$2,500	\$1,250	1/5/2021	
IR 2020-008(GC)	1	\$5,000	\$5,000	\$4,000	1/5/2021	
IR 2020-009(LI)	1	\$2,500	\$2,500	\$1,250	1/5/2021	
IRTV 2020-001(SA)	1	\$2,500	\$2,500	\$2,500	9/28/2021	
IRTV 2021-001(ROP)	1	\$2,000	\$2,000	\$2,000	9/13/2021	
ITB 2021-001(ROP)	1	\$7,500	\$7,500	\$5,000	9/1/2021	
JDSZ 2021-001(HMT)	1	\$4,000	\$4,000	\$4,000	6/28/2021	
KCS 2020-010(LI)	1	\$2,500	\$2,500	\$1,500	6/29/2021	
KCS 2020-011(HMT)	1	\$7,500	\$7,500	\$5,000	6/29/2021	

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KCS 2020-012(SA)	1	\$5,000	\$5,000	\$3,750	6/29/2021	
KCS 2020-013(SA)	1	\$2,500	\$2,500	\$1,800	6/29/2021	
KCS 2020-014(SA)	1	\$5,000	\$5,000	\$3,500	6/29/2021	
KCS 2020-015(SA)	1	\$5,000	\$5,000	\$3,000	6/29/2021	
KCS 2020-016(SA)	1	\$2,500	\$2,500	\$2,000	6/29/2021	
KCS 2020-017(SA)	1	\$5,000	\$5,000	\$3,750	6/29/2021	
KCS 2020-018(SA)	1	\$5,000	\$5,000	\$3,750	6/29/2021	
KCS 2020-019(SA)	1	\$2,500	\$2,500	\$1,800	6/29/2021	
KCS 2020-020(SA)	1	\$2,500	\$2,500	\$2,500	6/29/2021	
KCS 2020-021(SA)	1	\$5,000	\$5,000	\$3,750	6/29/2021	
KCS 2020-022(TS)	1	\$5,000	\$5,000	\$3,750	6/29/2021	
KCS 2020-023(SA)	1	\$2,500	\$2,500	\$1,800	6/29/2021	
KCS 2020-024(SA)	1	\$10,000	\$10,000	\$7,500	6/29/2021	
KCS 2020-025(SA)	1	\$5,000	\$5,000	\$4,000	6/29/2021	
KCS 2020-026(FCS)	1	\$2,000	\$2,000	\$1,200	6/29/2021	
KCS 2020-027(ROP)	1	\$2,000	\$2,000	\$1,500	6/29/2021	
KCS 2020-028(SA)	1	\$2,500	\$2,500	\$2,500	6/29/2021	
KCS 2020-029(SA)	1	\$5,000	\$5,000	\$3,750	6/29/2021	
KCS 2020-030(FCS)	1	\$2,500	\$2,500	\$1,500	6/29/2021	
KCS 2020-031(ROP)	1	\$7,500	\$7,500	\$5,000	6/29/2021	
KCS 2020-032(SA)	1	\$2,500	\$2,500	\$2,000	6/29/2021	
KCS 2020-033(SA)	1	\$2,500	\$2,500	\$2,000	6/29/2021	
KCS 2020-034(SA)	1	\$2,500	\$2,500	\$2,000	6/29/2021	
KCS 2020-035(RMM)	1	\$2,500	\$2,500	\$2,500	6/29/2021	
KCS 2020-037(RW)	1	\$10,000	\$10,000	\$7,000	6/29/2021	
KCS 2020-038(HMT)	1	\$15,000	\$15,000	\$11,000	6/29/2021	
KCS 2021-001(SA)	1	\$2,500	\$2,500	\$1,800	6/29/2021	
KCS 2021-002(FCS)	1	\$5,000	\$5,000	\$3,750	6/29/2021	
KCS 2021-003(SA)	1	\$5,000	\$5,000	\$3,750	6/29/2021	
KCS 2021-004(SA)	1	\$5,000	\$5,000	\$3,750	6/29/2021	
KCS 2021-006(SA)	1	\$5,000	\$5,000	\$3,000	6/29/2021	
KCS 2021-007(FCS)	1	\$2,500	\$2,500	\$2,000	6/29/2021	
KCS 2021-008(FCS)	1	\$2,500	\$2,500	\$2,000	6/29/2021	
KCS 2021-009(SI)	1	\$2,500	\$2,500	\$1,800	6/29/2021	
KCS 2021-010(GC)	1	\$2,500	\$2,500	\$2,000	6/29/2021	
KCS 2021-011(SA)	1	\$2,500	\$2,500	\$2,000	6/29/2021	
KCS 2021-012(SA)	1	\$2,500	\$2,500	\$2,000	6/29/2021	
KCS 2021-014(SA)	1	\$5,000	\$5,000	\$3,750	6/29/2021	
KCS 2021-016(SA)	1	\$5,000	\$5,000	\$4,000	6/29/2021	
KCS 2021-017(SA)	1	\$5,000	\$5,000	\$4,000	6/29/2021	
KCS 2021-018(GC)	1	\$1,000	\$1,000	\$1,000	6/29/2021	

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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>
KCT 2020-001(AD)	1	\$2,500	\$2,500	\$2,500	6/10/2021	
KFR 2019-002(AD)	1	\$5,000	\$5,000	\$3,250	5/6/2021	
KFR 2019-003(AD)	1	\$5,000	\$5,000	\$3,250	5/6/2021	
KNWA 2020-001(ROP)	1	\$7,500	\$7,500	\$5,000	9/28/2021	
KRR 2020-001(LI)	1	\$2,500	\$2,500	\$1,950	9/29/2021	
KRR 2020-002(TS)	1	\$5,000	\$5,000	\$3,900	9/29/2021	
KRR 2020-003(RW)	1	\$5,000	\$5,000	\$3,900	9/29/2021	
KRR 2020-004(ROP)	1	\$7,500	\$7,500	\$5,625	9/29/2021	
KRR 2020-005(ROP)	1	\$7,500	\$7,500	\$5,625	9/29/2021	
KRR 2021-001(TS)	1	\$2,500	\$2,500	\$1,900	9/29/2021	
KYLE 2020-001(GC)	1	\$5,000	\$5,000	\$3,650	9/29/2021	
LAJ 2020-001(ROP)	1	\$7,500	\$7,500	\$5,475	9/28/2021	
LAJ 2020-002(ROP)	1	\$7,500	\$7,500	\$5,475	9/28/2021	
LCHD 2013-001(SA)	1	\$5,000	\$0	\$0	5/26/2021	Case Terminated
LCHD 2014-001(ROP)	1	\$7,500	\$0	\$0	5/26/2021	Case Terminated
LCHD 2014-002(SA)	1	\$5,000	\$0	\$0	5/26/2021	Case Terminated
LCHD 2014-003(ROP)	1	\$7,500	\$0	\$0	5/26/2021	Case Terminated
LI 2018-001(AD)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-002(AR)	1	\$20,000	\$20,000	\$6,824	6/8/2021	
LI 2018-003(AR)	1	\$15,000	\$15,000	\$5,118	6/8/2021	
LI 2018-004(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-005(AR)	1	\$12,500	\$12,500	\$4,265	6/8/2021	
LI 2018-006(AR)	1	\$7,500	\$7,500	\$2,559	6/8/2021	
LI 2018-007(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-008(SI)	1	\$5,000	\$5,000	\$2,500	6/8/2021	
LI 2018-009(SI)	1	\$5,000	\$5,000	\$2,500	6/8/2021	
LI 2018-010(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-011(AR)	1	\$7,500	\$7,500	\$2,559	6/8/2021	
LI 2018-012(AR)	1	\$7,500	\$7,500	\$2,559	6/8/2021	
LI 2018-013(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-014(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-015(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-016(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-017(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-018(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-019(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-020(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-021(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-022(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-023(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-024(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	

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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>
LI 2018-025(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-026(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-027(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-028(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-029(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-030(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-031(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-032(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-033(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-034(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-035(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-036(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-037(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-038(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-039(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-040(RW)	1	\$3,000	\$3,000	\$1,500	6/8/2021	
LI 2018-041(RW)	1	\$3,000	\$3,000	\$1,500	6/8/2021	
LI 2018-042(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-043(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-044(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-045(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-046(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-047(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-048(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-049(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-050(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-051(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-052(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-053(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-054(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-055(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-056(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-057(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-058(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-059(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-060(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-061(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-062(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-063(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-064(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-065(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	

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LI 2018-066(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-067(ROP)	1	\$7,500	\$7,500	\$2,750	6/8/2021	
LI 2018-068(GC)	1	\$5,000	\$5,000	\$2,500	6/8/2021	
LI 2018-069(EQ)	1	\$2,500	\$2,500	\$1,250	6/8/2021	
LI 2018-070(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-071(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-072(RSP)	1	\$9,500	\$9,500	\$4,750	6/8/2021	
LI 2018-073(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-074(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-075(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-076(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-077(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-078(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-079(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-080(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-081(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-082(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-083(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-084(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-085(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-086(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-087(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-088(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-089(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-090(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-091(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-092(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-093(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-094(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-095(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-096(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-097(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-098(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-099(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-100(AR)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-101(AR)	1	\$7,500	\$7,500	\$2,559	6/8/2021	
LI 2018-102(AD)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-103(AD)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-104(AD)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-105(AD)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-106(AD)	1	\$5,000	\$5,000	\$853	6/8/2021	

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LI 2018-107(RW)	1	\$2,000	\$2,000	\$1,000	6/8/2021	
LI 2018-109(AD)	1	\$5,000	\$5,000	\$853	6/8/2021	
LI 2018-110(AD)	1	\$5,000	\$0	\$0	6/8/2021	Case Terminated
LI 2018-111(AD)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-112(AD)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-113(AD)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-114(AD)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-115(AD)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-116(AD)	1	\$2,500	\$2,500	\$853	6/8/2021	
LI 2018-117(AD)	1	\$2,500	\$2,500	\$853	6/8/2021	
LRWY 2014-001(TS)	1	\$2,500	\$0	\$0	5/26/2021	Case Terminated
LRY 2014-001(TS)	1	\$5,000	\$0	\$0	5/27/2021	Case Terminated
LRY 2015-001(ROP)	1	\$2,000	\$0	\$0	5/27/2021	Case Terminated
LRY 2015-002(SA)	1	\$5,000	\$0	\$0	5/27/2021	Case Terminated
LRY 2015-003(ROP)	1	\$7,500	\$0	\$0	5/27/2021	Case Terminated
LS 2020-001(SA)	1	\$2,500	\$2,500	\$1,950	9/30/2021	
LS 2020-002(LI)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
LS 2021-001(ROP)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
LXVR 2020-001(SA)	1	\$5,000	\$5,000	\$3,900	9/29/2021	
MEC 2019-002(TS)	1	\$5,000	\$5,000	\$4,500	9/30/2021	
MEC 2020-004(TS)	1	\$2,500	\$2,500	\$2,200	9/30/2021	
MEC 2021-001(TS)	1	\$5,000	\$5,000	\$4,250	9/14/2021	
MNA 2020-003(TS)	1	\$5,000	\$5,000	\$3,000	9/29/2021	
MNA 2020-004(TS)	1	\$5,000	\$5,000	\$3,000	9/29/2021	
MNA 2020-005(GC)	1	\$1,000	\$1,000	\$950	9/29/2021	
MNA 2020-006(TS)	1	\$5,000	\$5,000	\$3,850	9/29/2021	
MNA 2020-007(EP)	1	\$1,500	\$1,500	\$1,170	9/29/2021	
MNA 2020-008(TS)	1	\$2,500	\$2,500	\$1,500	9/29/2021	
MNA 2020-009(FCS)	1	\$5,000	\$5,000	\$4,000	9/29/2021	
MNA 2020-010(SA)	1	\$2,500	\$2,500	\$1,950	9/29/2021	
MNA 2020-011(FCS)	1	\$2,500	\$2,500	\$1,950	9/29/2021	
MNA 2020-012(LI)	2	\$5,000	\$5,000	\$2,900	9/29/2021	
MNA 2020-013(GC)	1	\$1,000	\$1,000	\$950	9/29/2021	
MNA 2020-014(FCS)	1	\$2,500	\$2,500	\$1,950	9/29/2021	
MNA 2020-015(GC)	1	\$2,500	\$2,500	\$1,950	9/29/2021	
MNA 2020-016(TS)	1	\$1,000	\$1,000	\$950	9/29/2021	
MNA 2020-017(TS)	1	\$5,000	\$5,000	\$3,000	9/29/2021	
MNA 2020-018(GC)	1	\$1,000	\$1,000	\$950	9/29/2021	
MNA 2020-019(GC)	1	\$1,000	\$1,000	\$950	9/29/2021	
MNA 2020-020(GC)	1	\$2,500	\$2,500	\$1,950	9/29/2021	
MNA 2020-021(GC)	1	\$1,000	\$1,000	\$950	9/29/2021	

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MNA 2021-001(GC)	1	\$1,000	\$1,000	\$950	9/29/2021	
MNA 2021-002(GC)	1	\$2,500	\$2,500	\$1,950	9/29/2021	
MNA 2021-003(GC)	1	\$2,500	\$2,500	\$1,950	9/29/2021	
MOTV 2020-005(LI)	1	\$2,500	\$2,500	\$2,500	11/6/2020	
MOTV 2020-006(LI)	1	\$2,500	\$2,500	\$2,500	11/6/2020	
MRL 2020-008(TS)	2	\$5,000	\$5,000	\$4,000	9/21/2021	
MRL 2020-009(ROP)	1	\$9,500	\$9,500	\$7,600	9/21/2021	
MRL 2020-010(SA)	1	\$2,500	\$2,500	\$1,875	9/21/2021	
MRL 2020-011(SA)	1	\$2,500	\$2,500	\$1,875	9/21/2021	
MRL 2020-012(SA)	1	\$2,500	\$2,500	\$1,875	9/21/2021	
MRL 2020-013(SA)	1	\$5,000	\$5,000	\$3,750	9/21/2021	
MRL 2020-014(SA)	1	\$5,000	\$5,000	\$3,750	9/21/2021	
MRL 2020-015(SA)	1	\$2,500	\$2,500	\$1,875	9/21/2021	
MRL 2020-016(SA)	1	\$5,000	\$5,000	\$3,750	9/21/2021	
MRL 2020-017(GC)	1	\$5,000	\$5,000	\$4,000	9/21/2021	
MRL 2020-018(SA)	1	\$5,000	\$5,000	\$3,750	9/21/2021	
MRL 2020-019(LI)	1	\$2,000	\$2,000	\$1,600	9/21/2021	
MRL 2020-020(ROP)	1	\$9,500	\$9,500	\$7,600	9/21/2021	
MRL 2020-021(ROP)	1	\$7,500	\$7,500	\$6,375	9/21/2021	
MRL 2021-001(HMT)	1	\$12,500	\$12,500	\$10,000	9/21/2021	
MRL 2021-002(ROP)	1	\$7,500	\$7,500	\$6,375	9/21/2021	
MSE 2020-001(TS)	1	\$5,000	\$5,000	\$3,000	5/20/2021	
NECX 2020-001(SA)	1	\$2,500	\$2,500	\$1,250	2/24/2021	
NICD 2019-001(ROP)	1	\$5,000	\$5,000	\$892	5/19/2021	
NICD 2021-001(AD)	1	\$1,000	\$1,000	\$892	5/19/2021	
NYNJ 2020-001(ROP)	1	\$7,500	\$7,500	\$892	2/17/2021	
PAS 2020-006(SA)	1	\$2,500	\$2,500	\$2,020	9/14/2021	
PAS 2020-007(TS)	1	\$5,000	\$5,000	\$4,200	9/14/2021	
PAS 2020-008(SA)	1	\$2,500	\$2,500	\$2,200	9/14/2021	
PAS 2021-001(FCS)	1	\$2,500	\$2,500	\$2,200	9/14/2021	
PDRR 2020-001(TS)	1	\$5,000	\$5,000	\$5,000	2/1/2021	
PNR 2020-001(SA)	1	\$5,000	\$5,000	\$3,750	8/4/2021	
PNR 2020-002(SA)	1	\$5,000	\$5,000	\$3,750	8/4/2021	
PNR 2020-003(SA)	1	\$5,000	\$5,000	\$3,750	8/4/2021	
PNR 2020-004(SA)	1	\$7,500	\$7,500	\$5,000	8/4/2021	
PNWR 2020-001(TS)	1	\$1,000	\$1,000	\$950	9/29/2021	
PNWR 2020-002(TS)	1	\$1,000	\$1,000	\$950	9/29/2021	
PNWR 2020-003(TS)	1	\$5,000	\$5,000	\$3,000	9/29/2021	
PNWR 2020-004(TS)	1	\$5,000	\$5,000	\$3,000	9/29/2021	
PNWR 2020-005(SA)	1	\$2,500	\$2,500	\$1,950	9/29/2021	
PNWR 2020-006(SA)	1	\$5,000	\$0	\$0	9/29/2021	Case Terminated

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PNWR 2021-001(SA)	1	\$5,000	\$5,000	\$3,170	9/29/2021	
PNWR 2021-002(SA)	1	\$5,000	\$5,000	\$3,900	9/29/2021	
PNWR 2021-003(TS)	2	\$3,000	\$3,000	\$1,500	9/29/2021	
POCA 2020-001(SA)	1	\$2,500	\$2,500	\$2,500	2/18/2021	
POHC 2020-001(GC)	1	\$5,000	\$5,000	\$3,900	9/29/2021	
PSAP 2020-001(LI)	1	\$2,500	\$2,500	\$1,950	9/29/2021	
PSAP 2021-001(TS)	1	\$2,500	\$2,500	\$1,875	9/29/2021	
PTO 2016-002(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
PTO 2019-001(TS)	2	\$5,000	\$5,000	\$3,800	9/30/2021	
PTO 2020-001(SA)	1	\$5,000	\$5,000	\$3,900	9/30/2021	
PTO 2020-002(HMT)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
PW 2020-001(ROP)	1	\$7,500	\$7,500	\$5,850	9/29/2021	
RJCC 2020-001(GC)	1	\$5,000	\$5,000	\$5,000	10/21/2020	
RPRC 2020-001(SA)	1	\$5,000	\$5,000	\$3,250	3/9/2021	
RRCV 2021-001(RW)	1	\$1,500	\$1,500	\$1,500	2/25/2021	
RSR 2020-001(SA)	1	\$2,500	\$2,500	\$2,025	9/29/2021	
RYIZ 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	8/20/2021	
SB 2020-001(SA)	1	\$5,000	\$5,000	\$3,900	9/29/2021	
SB 2021-001(SA)	1	\$5,000	\$5,000	\$3,900	9/29/2021	
SCAX 2020-001(LI)	1	\$2,500	\$2,500	\$1,250	12/28/2020	
SCAX 2020-002(SI)	1	\$1,000	\$1,000	\$892	12/28/2020	
SKOL 2020-006(GC)	1	\$1,000	\$1,000	\$900	9/28/2021	
SKOL 2020-007(SA)	1	\$5,000	\$5,000	\$3,750	9/28/2021	
SLWC 2020-002(TS)	2	\$10,000	\$10,000	\$7,000	9/28/2021	
SLWC 2020-003(TS)	2	\$10,000	\$10,000	\$7,500	9/28/2021	
SLWC 2020-004(TS)	1	\$5,000	\$5,000	\$3,250	9/28/2021	
SOU 2019-394(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2019-396(LI)	1	\$2,500	\$2,500	\$1,950	9/30/2021	
SOU 2019-411(AD)	1	\$7,500	\$7,500	\$5,550	9/30/2021	
SOU 2019-414(ROP)	1	\$7,500	\$7,500	\$5,925	9/30/2021	
SOU 2019-417(AD)	1	\$2,500	\$2,500	\$1,825	9/30/2021	
SOU 2019-423(LI)	1	\$2,500	\$2,500	\$1,950	9/30/2021	
SOU 2019-425(AR)	1	\$1,000	\$1,000	\$892	9/30/2021	
SOU 2019-426(TS)	1	\$30,000	\$30,000	\$24,000	9/30/2021	
SOU 2019-428(TS)	1	\$2,500	\$2,500	\$2,000	9/30/2021	
SOU 2020-001(ROP)	1	\$7,500	\$7,500	\$6,000	9/30/2021	
SOU 2020-002(HMT)	1	\$4,000	\$4,000	\$2,875	9/30/2021	
SOU 2020-003(HMT)	1	\$3,000	\$3,000	\$1,950	9/30/2021	
SOU 2020-004(HMT)	1	\$20,000	\$10,000	\$5,000	9/30/2021	Partially Terminated Violations: 1

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SOU 2020-005(ROP)	1	\$5,000	\$5,000	\$3,900	9/30/2021	
SOU 2020-006(ROP)	1	\$5,000	\$5,000	\$3,900	9/30/2021	
SOU 2020-007(ROP)	1	\$5,000	\$5,000	\$3,900	9/30/2021	
SOU 2020-008(GC)	1	\$1,000	\$1,000	\$892	9/30/2021	
SOU 2020-009(FCS)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-010(HMT)	1	\$5,000	\$5,000	\$2,500	9/30/2021	
SOU 2020-011(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2021	
SOU 2020-012(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-013(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-014(TS)	1	\$2,500	\$2,500	\$2,000	9/30/2021	
SOU 2020-016(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-017(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-018(LI)	1	\$2,500	\$2,500	\$2,000	9/30/2021	
SOU 2020-019(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2021	
SOU 2020-020(LI)	1	\$2,500	\$2,500	\$1,950	9/30/2021	
SOU 2020-021(ROP)	1	\$9,500	\$9,500	\$7,885	9/30/2021	
SOU 2020-022(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-024(LI)	1	\$2,500	\$2,500	\$1,950	9/30/2021	
SOU 2020-025(LI)	1	\$1,500	\$1,500	\$1,100	9/30/2021	
SOU 2020-026(LI)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-027(HMT)	1	\$5,000	\$5,000	\$3,625	9/30/2021	
SOU 2020-028(TS)	1	\$5,000	\$5,000	\$4,000	9/30/2021	
SOU 2020-029(AD)	1	\$5,000	\$5,000	\$3,625	9/30/2021	
SOU 2020-030(TS)	1	\$5,000	\$5,000	\$4,050	9/30/2021	
SOU 2020-031(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-032(HMT)	1	\$7,000	\$7,000	\$3,500	9/30/2021	
SOU 2020-033(HMT)	1	\$25,000	\$10,000	\$5,000	9/30/2021	Partially Terminated Violations: 1
SOU 2020-034(SA)	1	\$2,500	\$2,500	\$1,875	9/30/2021	
SOU 2020-035(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2021	
SOU 2020-036(LI)	1	\$2,500	\$2,500	\$1,950	9/30/2021	
SOU 2020-037(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-038(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-039(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-041(FCS)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-042(FCS)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-043(HMT)	1	\$20,000	\$10,000	\$5,000	9/30/2021	Partially Terminated Violations: 1

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SOU 2020-044(HMT)	1	\$25,000	\$10,000	\$5,000	9/30/2021	Partially Terminated Violations: 1
SOU 2020-045(HMT)	1	\$20,000	\$10,000	\$5,000	9/30/2021	Partially Terminated Violations: 1
SOU 2020-046(ROP)	1	\$2,000	\$2,000	\$1,575	9/30/2021	
SOU 2020-047(AD)	1	\$2,500	\$2,500	\$1,825	9/30/2021	
SOU 2020-048(AD)	1	\$2,500	\$2,500	\$1,825	9/30/2021	
SOU 2020-049(AD)	1	\$2,500	\$2,500	\$1,825	9/30/2021	
SOU 2020-050(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-051(TS)	2	\$7,500	\$7,500	\$6,075	9/30/2021	
SOU 2020-052(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-053(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-054(AD)	1	\$2,500	\$2,500	\$1,825	9/30/2021	
SOU 2020-055(HMT)	2	\$7,500	\$7,500	\$5,000	9/30/2021	
SOU 2020-056(HMT)	1	\$10,000	\$10,000	\$5,000	9/30/2021	
SOU 2020-057(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-058(HMT)	1	\$6,000	\$6,000	\$3,250	9/30/2021	
SOU 2020-059(HMT)	1	\$10,000	\$10,000	\$5,000	9/30/2021	
SOU 2020-060(HMT)	1	\$20,000	\$10,000	\$5,000	9/30/2021	Partially Terminated Violations: 1
SOU 2020-061(RW)	1	\$1,500	\$1,500	\$1,215	9/30/2021	
SOU 2020-062(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2021	
SOU 2020-063(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2021	
SOU 2020-064(TS)	1	\$5,000	\$5,000	\$4,050	9/30/2021	
SOU 2020-065(LI)	1	\$2,500	\$2,500	\$1,950	9/30/2021	
SOU 2020-066(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-067(ROP)	1	\$5,000	\$5,000	\$3,900	9/30/2021	
SOU 2020-068(ROP)	1	\$5,000	\$5,000	\$3,900	9/30/2021	
SOU 2020-069(ROP)	1	\$5,000	\$5,000	\$3,900	9/30/2021	
SOU 2020-070(HMT)	1	\$10,000	\$10,000	\$5,000	9/30/2021	
SOU 2020-072(AD)	1	\$5,000	\$5,000	\$3,600	9/30/2021	
SOU 2020-073(SI)	1	\$2,500	\$2,500	\$1,500	9/30/2021	
SOU 2020-074(FCS)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-075(AD)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
SOU 2020-076(AD)	1	\$10,000	\$10,000	\$7,300	9/30/2021	
SOU 2020-077(AD)	1	\$7,500	\$7,500	\$5,475	9/30/2021	
SOU 2020-078(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-079(HMT)	1	\$5,000	\$5,000	\$2,500	9/30/2021	

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SOU 2020-080(HMT)	1	\$20,000	\$10,000	\$5,000	9/30/2021	Partially Terminated Violations: 1
SOU 2020-081(HMT)	1	\$2,500	\$2,500	\$1,650	9/30/2021	
SOU 2020-082(HMT)	1	\$5,000	\$5,000	\$3,300	9/30/2021	
SOU 2020-084(CC)	1	\$1,000	\$1,000	\$892	9/30/2021	
SOU 2020-086(AD)	1	\$2,500	\$2,500	\$1,825	9/30/2021	
SOU 2020-087(AD)	1	\$2,500	\$2,500	\$1,825	9/30/2021	
SOU 2020-088(AD)	1	\$2,500	\$2,500	\$1,825	9/30/2021	
SOU 2020-089(AD)	1	\$2,500	\$2,500	\$1,825	9/30/2021	
SOU 2020-090(AD)	1	\$5,000	\$5,000	\$3,600	9/30/2021	
SOU 2020-091(AD)	1	\$5,000	\$5,000	\$3,625	9/30/2021	
SOU 2020-094(SA)	1	\$2,500	\$2,500	\$1,875	9/30/2021	
SOU 2020-095(AD)	1	\$2,500	\$2,500	\$1,825	9/30/2021	
SOU 2020-097(AD)	1	\$2,500	\$2,500	\$1,825	9/30/2021	
SOU 2020-099(AD)	1	\$5,000	\$5,000	\$3,600	9/30/2021	
SOU 2020-100(AD)	1	\$5,000	\$5,000	\$3,625	9/30/2021	
SOU 2020-101(ROP)	1	\$9,500	\$9,500	\$7,885	9/30/2021	
SOU 2020-102(ROP)	1	\$7,500	\$7,500	\$5,925	9/30/2021	
SOU 2020-103(ROP)	1	\$7,500	\$7,500	\$6,225	9/30/2021	
SOU 2020-104(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-105(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-106(LI)	1	\$1,000	\$1,000	\$892	9/30/2021	
SOU 2020-107(HMT)	2	\$37,000	\$11,000	\$5,750	9/30/2021	Partially Terminated Violations: 2
SOU 2020-108(LI)	1	\$2,500	\$2,500	\$1,950	9/30/2021	
SOU 2020-109(LI)	1	\$1,500	\$1,500	\$1,150	9/30/2021	
SOU 2020-110(LI)	1	\$2,500	\$2,500	\$1,950	9/30/2021	
SOU 2020-111(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-112(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-113(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-114(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-115(AD)	1	\$2,500	\$2,500	\$1,825	9/30/2021	
SOU 2020-116(AD)	1	\$2,500	\$2,500	\$1,825	9/30/2021	
SOU 2020-117(AD)	1	\$2,500	\$2,500	\$1,825	9/30/2021	
SOU 2020-118(AD)	1	\$5,000	\$5,000	\$3,600	9/30/2021	
SOU 2020-119(AD)	1	\$2,500	\$2,500	\$1,825	9/30/2021	
SOU 2020-120(AD)	1	\$2,500	\$2,500	\$1,825	9/30/2021	
SOU 2020-121(FCS)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-123(AD)	1	\$2,500	\$2,500	\$1,825	9/30/2021	
SOU 2020-124(AD)	1	\$2,500	\$2,500	\$1,825	9/30/2021	

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SOU 2020-126(AD)	1	\$2,500	\$2,500	\$1,700	9/30/2021	
SOU 2020-127(AD)	1	\$2,500	\$2,500	\$1,825	9/30/2021	
SOU 2020-128(AD)	1	\$2,500	\$2,500	\$1,825	9/30/2021	
SOU 2020-129(AD)	1	\$2,500	\$2,500	\$1,825	9/30/2021	
SOU 2020-130(AD)	1	\$2,500	\$2,500	\$1,825	9/30/2021	
SOU 2020-131(HMT)	1	\$6,000	\$0	\$0	9/30/2021	Case Terminated
SOU 2020-132(HS)	1	\$1,000	\$1,000	\$892	9/30/2021	
SOU 2020-133(HS)	1	\$1,000	\$1,000	\$892	9/30/2021	
SOU 2020-134(AD)	1	\$2,500	\$2,500	\$1,825	9/30/2021	
SOU 2020-135(AR)	1	\$1,000	\$1,000	\$892	9/30/2021	
SOU 2020-136(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-138(AD)	1	\$5,000	\$5,000	\$3,600	9/30/2021	
SOU 2020-139(AD)	1	\$5,000	\$5,000	\$3,625	9/30/2021	
SOU 2020-142(AD)	1	\$15,000	\$10,000	\$7,300	9/30/2021	Partially Terminated Violations: 1
SOU 2020-143(AD)	1	\$10,000	\$5,000	\$3,625	9/30/2021	Partially Terminated Violations: 1
SOU 2020-144(AD)	1	\$2,500	\$2,500	\$1,825	9/30/2021	
SOU 2020-145(AD)	1	\$2,500	\$2,500	\$1,825	9/30/2021	
SOU 2020-147(AD)	1	\$2,500	\$2,500	\$1,825	9/30/2021	
SOU 2020-148(AD)	1	\$2,500	\$2,500	\$1,825	9/30/2021	
SOU 2020-150(AD)	1	\$2,500	\$2,500	\$1,825	9/30/2021	
SOU 2020-151(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2021	
SOU 2020-152(ROP)	1	\$5,000	\$5,000	\$3,900	9/30/2021	
SOU 2020-153(AD)	1	\$5,000	\$5,000	\$3,600	9/30/2021	
SOU 2020-154(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2021	
SOU 2020-155(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-156(SA)	1	\$2,500	\$2,500	\$2,000	9/30/2021	
SOU 2020-157(SA)	1	\$2,500	\$2,500	\$1,875	9/30/2021	
SOU 2020-158(SI)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-159(SI)	1	\$1,000	\$1,000	\$892	9/30/2021	
SOU 2020-160(CC)	1	\$4,000	\$4,000	\$2,850	9/30/2021	
SOU 2020-161(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2021	
SOU 2020-162(LI)	1	\$2,500	\$2,500	\$1,950	9/30/2021	
SOU 2020-163(LI)	1	\$2,500	\$2,500	\$1,950	9/30/2021	
SOU 2020-164(GC)	1	\$5,000	\$5,000	\$3,500	9/30/2021	
SOU 2020-165(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-166(SA)	1	\$25,000	\$25,000	\$16,250	9/30/2021	
SOU 2020-167(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2021	
SOU 2020-168(SA)	1	\$2,500	\$2,500	\$1,875	9/30/2021	

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SOU 2020-169(LI)	1	\$2,500	\$2,500	\$1,950	9/30/2021	
SOU 2020-171(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2021	
SOU 2020-172(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-173(SA)	1	\$2,500	\$2,500	\$1,875	9/30/2021	
SOU 2020-174(LI)	2	\$4,000	\$4,000	\$3,000	9/30/2021	
SOU 2020-175(LI)	1	\$2,500	\$2,500	\$1,950	9/30/2021	
SOU 2020-176(LI)	1	\$2,500	\$2,500	\$1,950	9/30/2021	
SOU 2020-177(ROP)	1	\$7,500	\$7,500	\$5,850	9/30/2021	
SOU 2020-178(LI)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
SOU 2020-179(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-180(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-181(RSP)	1	\$9,500	\$9,500	\$7,600	9/30/2021	
SOU 2020-182(ROP)	1	\$2,000	\$2,000	\$1,525	9/30/2021	
SOU 2020-183(HMT)	2	\$18,000	\$18,000	\$12,000	9/30/2021	
SOU 2020-184(HMT)	1	\$6,000	\$6,000	\$4,000	9/30/2021	
SOU 2020-185(FCS)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-186(FCS)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-188(LI)	1	\$2,500	\$2,500	\$1,950	9/30/2021	
SOU 2020-189(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-190(SA)	1	\$2,500	\$2,500	\$1,875	9/30/2021	
SOU 2020-191(LI)	1	\$3,500	\$3,500	\$2,600	9/30/2021	
SOU 2020-194(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-195(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-196(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2021	
SOU 2020-197(LI)	1	\$7,500	\$7,500	\$5,500	9/30/2021	
SOU 2020-198(LI)	1	\$2,500	\$2,500	\$1,950	9/30/2021	
SOU 2020-199(HMT)	1	\$2,000	\$2,000	\$1,100	9/30/2021	
SOU 2020-200(SI)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-201(HMT)	1	\$5,000	\$5,000	\$3,600	9/30/2021	
SOU 2020-202(HMT)	2	\$10,500	\$10,500	\$7,580	9/30/2021	
SOU 2020-203(ROP)	1	\$20,000	\$20,000	\$16,600	9/30/2021	
SOU 2020-204(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-205(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-206(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-207(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-208(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-209(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2021	
SOU 2020-210(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-211(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-212(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-213(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	

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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 2020-214(ROP)	1	\$10,000	\$10,000	\$7,800	9/30/2021	
SOU 2020-215(AR)	1	\$2,500	\$2,500	\$1,500	9/30/2021	
SOU 2020-216(LI)	1	\$2,500	\$2,500	\$2,000	9/30/2021	
SOU 2020-217(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-218(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-219(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-220(EP)	1	\$1,000	\$1,000	\$892	9/30/2021	
SOU 2020-221(HMT)	1	\$20,000	\$10,000	\$5,000	9/30/2021	Partially Terminated Violations: 1
SOU 2020-222(HMT)	1	\$20,000	\$10,000	\$5,000	9/30/2021	Partially Terminated Violations: 1
SOU 2020-223(ROP)	1	\$7,500	\$7,500	\$6,225	9/30/2021	
SOU 2020-224(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-225(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-226(SA)	1	\$2,500	\$2,500	\$1,875	9/30/2021	
SOU 2020-227(SA)	1	\$5,000	\$5,000	\$3,000	9/30/2021	
SOU 2020-228(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-229(HMT)	1	\$9,000	\$9,000	\$6,525	9/30/2021	
SOU 2020-230(AR)	1	\$1,000	\$1,000	\$892	9/30/2021	
SOU 2020-231(ROP)	1	\$22,500	\$22,500	\$17,550	9/30/2021	
SOU 2020-232(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-233(HMT)	1	\$2,000	\$2,000	\$1,300	9/30/2021	
SOU 2020-234(ROP)	1	\$2,000	\$2,000	\$1,525	9/30/2021	
SOU 2020-235(ROP)	1	\$7,500	\$7,500	\$5,925	9/30/2021	
SOU 2020-236(LI)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
SOU 2020-238(LI)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
SOU 2020-239(GC)	1	\$1,000	\$1,000	\$892	9/30/2021	
SOU 2020-243(RW)	1	\$2,000	\$2,000	\$1,600	9/30/2021	
SOU 2020-244(LI)	1	\$3,000	\$3,000	\$2,250	9/30/2021	
SOU 2020-245(SA)	1	\$10,000	\$10,000	\$7,000	9/30/2021	
SOU 2020-246(EP)	1	\$1,000	\$1,000	\$892	9/30/2021	
SOU 2020-247(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-248(LI)	1	\$2,500	\$2,500	\$1,950	9/30/2021	
SOU 2020-249(FCS)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-250(FCS)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-251(HMT)	1	\$4,000	\$4,000	\$2,700	9/30/2021	
SOU 2020-252(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-253(SA)	1	\$2,500	\$2,500	\$1,875	9/30/2021	
SOU 2020-254(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-255(FCS)	1	\$2,500	\$2,500	\$1,750	9/30/2021	

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SOU 2020-256(FCS)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-257(FCS)	1	\$5,000	\$5,000	\$3,500	9/30/2021	
SOU 2020-258(LI)	1	\$2,500	\$2,500	\$1,950	9/30/2021	
SOU 2020-259(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-260(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-261(SA)	1	\$2,500	\$2,500	\$1,875	9/30/2021	
SOU 2020-262(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-263(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-264(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2021	
SOU 2020-266(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2021	
SOU 2020-269(LI)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
SOU 2020-271(HMT)	1	\$20,000	\$10,000	\$5,000	9/30/2021	Partially Terminated Violations: 1
SOU 2020-272(GC)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-273(SA)	1	\$5,000	\$5,000	\$3,200	9/30/2021	
SOU 2020-274(TS)	1	\$2,500	\$2,500	\$2,025	9/30/2021	
SOU 2020-275(SI)	1	\$2,500	\$2,500	\$1,500	9/30/2021	
SOU 2020-276(SA)	1	\$2,500	\$2,500	\$1,875	9/30/2021	
SOU 2020-278(ROP)	1	\$5,000	\$5,000	\$3,900	9/30/2021	
SOU 2020-279(TS)	2	\$2,000	\$2,000	\$1,784	9/30/2021	
SOU 2020-280(LI)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-281(SA)	1	\$2,500	\$2,500	\$1,875	9/30/2021	
SOU 2020-282(FCS)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-283(FCS)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-284(FCS)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-285(SI)	1	\$1,000	\$1,000	\$892	9/30/2021	
SOU 2020-286(SI)	1	\$2,500	\$2,500	\$1,500	9/30/2021	
SOU 2020-287(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-288(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-289(TS)	1	\$2,500	\$2,500	\$2,075	9/30/2021	
SOU 2020-290(FCS)	1	\$5,000	\$5,000	\$3,500	9/30/2021	
SOU 2020-291(FCS)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-292(FCS)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-293(FCS)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-294(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-295(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-296(SA)	1	\$2,500	\$2,500	\$1,875	9/30/2021	
SOU 2020-297(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-298(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2021	
SOU 2020-299(SA)	1	\$2,500	\$2,500	\$1,500	9/30/2021	

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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 2020-300(HMT)	1	\$2,000	\$2,000	\$1,300	9/30/2021	
SOU 2020-301(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-302(GC)	1	\$1,000	\$1,000	\$892	9/30/2021	
SOU 2020-303(FCS)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-304(AD)	1	\$5,000	\$5,000	\$3,625	9/30/2021	
SOU 2020-305(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-306(LI)	1	\$2,500	\$2,500	\$1,950	9/30/2021	
SOU 2020-307(FCS)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-308(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-309(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-310(HMT)	2	\$12,500	\$12,500	\$7,500	9/30/2021	
SOU 2020-311(GC)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-312(HMT)	1	\$7,000	\$7,000	\$3,500	9/30/2021	
SOU 2020-313(HMT)	1	\$5,000	\$5,000	\$2,500	9/30/2021	
SOU 2020-314(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-315(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-316(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2021	
SOU 2020-317(ROP)	1	\$7,500	\$7,500	\$6,000	9/30/2021	
SOU 2020-318(ROP)	1	\$10,000	\$10,000	\$8,000	9/30/2021	
SOU 2020-319(ROP)	1	\$9,500	\$9,500	\$892	9/30/2021	
SOU 2020-320(ROP)	1	\$5,000	\$5,000	\$3,900	9/30/2021	
SOU 2020-321(ROP)	1	\$7,500	\$7,500	\$6,000	9/30/2021	
SOU 2020-322(ROP)	1	\$9,500	\$9,500	\$8,170	9/30/2021	
SOU 2020-323(ROP)	1	\$7,500	\$7,500	\$6,000	9/30/2021	
SOU 2020-324(ROP)	1	\$7,500	\$7,500	\$6,000	9/30/2021	
SOU 2020-325(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-326(ROP)	1	\$5,000	\$5,000	\$3,900	9/30/2021	
SOU 2020-327(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-328(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-329(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-330(ROP)	1	\$7,500	\$7,500	\$6,225	9/30/2021	
SOU 2020-331(ROP)	1	\$7,500	\$7,500	\$6,000	9/30/2021	
SOU 2020-332(HMT)	1	\$7,500	\$7,500	\$5,075	9/30/2021	
SOU 2020-333(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2021	
SOU 2020-334(TS)	1	\$5,000	\$5,000	\$4,000	9/30/2021	
SOU 2020-335(LI)	1	\$2,500	\$2,500	\$1,950	9/30/2021	
SOU 2020-336(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2021	
SOU 2020-337(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-338(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	

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SOU 2020-339(ROP)	1	\$9,500	\$5,000	\$3,900	9/30/2021	Partially Terminated Violations: 1
SOU 2020-340(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-341(ROP)	1	\$7,500	\$7,500	\$6,000	9/30/2021	
SOU 2020-342(ROP)	1	\$5,000	\$5,000	\$3,900	9/30/2021	
SOU 2020-343(ROP)	1	\$5,000	\$5,000	\$4,050	9/30/2021	
SOU 2020-344(ROP)	1	\$7,500	\$7,500	\$6,000	9/30/2021	
SOU 2020-345(LI)	1	\$2,500	\$2,500	\$1,950	9/30/2021	
SOU 2020-346(ROP)	1	\$7,500	\$7,500	\$5,925	9/30/2021	
SOU 2020-347(ROP)	1	\$5,000	\$5,000	\$4,150	9/30/2021	
SOU 2020-348(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-349(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2021	
SOU 2020-350(FCS)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-351(FCS)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-352(SA)	1	\$2,500	\$2,500	\$1,875	9/30/2021	
SOU 2020-353(ROP)	1	\$9,500	\$9,500	\$7,600	9/30/2021	
SOU 2020-354(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-355(TS)	1	\$5,000	\$5,000	\$4,000	9/30/2021	
SOU 2020-356(RW)	1	\$10,000	\$10,000	\$8,300	9/30/2021	
SOU 2020-357(ROP)	1	\$7,500	\$7,500	\$6,225	9/30/2021	
SOU 2020-358(ROP)	1	\$5,000	\$5,000	\$3,900	9/30/2021	
SOU 2020-359(TS)	1	\$5,000	\$5,000	\$4,000	9/30/2021	
SOU 2020-360(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-361(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-362(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-363(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-364(TS)	1	\$5,000	\$5,000	\$4,000	9/30/2021	
SOU 2020-365(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2021	
SOU 2020-366(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2021	
SOU 2020-367(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-368(SA)	1	\$2,500	\$2,500	\$1,875	9/30/2021	
SOU 2020-369(SA)	1	\$2,500	\$2,500	\$1,875	9/30/2021	
SOU 2020-370(SA)	1	\$2,500	\$2,500	\$1,875	9/30/2021	
SOU 2020-371(LI)	1	\$1,000	\$1,000	\$892	9/30/2021	
SOU 2020-372(LI)	1	\$1,000	\$1,000	\$892	9/30/2021	
SOU 2020-373(ROP)	1	\$9,500	\$9,500	\$7,885	9/30/2021	
SOU 2020-374(ROP)	1	\$7,500	\$7,500	\$5,925	9/30/2021	
SOU 2020-375(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-376(ROP)	1	\$5,000	\$5,000	\$3,900	9/30/2021	
SOU 2020-377(ROP)	1	\$9,500	\$9,500	\$7,885	9/30/2021	

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SOU 2020-378(GC)	1	\$1,000	\$1,000	\$892	9/30/2021	
SOU 2020-379(ROP)	1	\$7,500	\$7,500	\$6,000	9/30/2021	
SOU 2020-380(ROP)	1	\$7,500	\$7,500	\$6,000	9/30/2021	
SOU 2020-381(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-382(LI)	1	\$2,500	\$2,500	\$1,950	9/30/2021	
SOU 2020-383(RW)	1	\$2,000	\$2,000	\$1,560	9/30/2021	
SOU 2020-384(SA)	1	\$5,000	\$5,000	\$4,000	9/30/2021	
SOU 2020-385(HMT)	1	\$5,000	\$5,000	\$2,500	9/30/2021	
SOU 2020-386(LI)	1	\$2,500	\$2,500	\$1,950	9/30/2021	
SOU 2020-387(TH)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-388(FCS)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-389(LI)	1	\$2,500	\$2,500	\$1,950	9/30/2021	
SOU 2020-390(FCS)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-391(ROP)	1	\$5,000	\$5,000	\$3,900	9/30/2021	
SOU 2020-393(LI)	1	\$2,500	\$2,500	\$1,950	9/30/2021	
SOU 2020-394(LI)	1	\$2,500	\$2,500	\$1,950	9/30/2021	
SOU 2020-395(HMT)	2	\$19,000	\$19,000	\$12,825	9/30/2021	
SOU 2020-396(ROP)	1	\$5,000	\$5,000	\$3,900	9/30/2021	
SOU 2020-397(ROP)	1	\$5,000	\$5,000	\$3,900	9/30/2021	
SOU 2020-398(ROP)	1	\$7,500	\$7,500	\$6,225	9/30/2021	
SOU 2020-399(ROP)	1	\$5,000	\$5,000	\$4,000	9/30/2021	
SOU 2020-400(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-401(ROP)	1	\$5,000	\$5,000	\$4,000	9/30/2021	
SOU 2020-402(ROP)	1	\$9,500	\$9,500	\$7,885	9/30/2021	
SOU 2020-403(FCS)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-404(FCS)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-405(FCS)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-406(LI)	1	\$2,500	\$2,500	\$1,950	9/30/2021	
SOU 2020-407(SA)	1	\$2,500	\$2,500	\$1,875	9/30/2021	
SOU 2020-408(ROP)	1	\$7,500	\$7,500	\$5,925	9/30/2021	
SOU 2020-409(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-410(SI)	1	\$2,500	\$2,500	\$1,500	9/30/2021	
SOU 2020-411(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-412(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-413(FCS)	1	\$2,500	\$2,500	\$1,875	9/30/2021	
SOU 2020-414(LI)	1	\$1,000	\$1,000	\$892	9/30/2021	
SOU 2020-415(LI)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
SOU 2020-416(LI)	1	\$2,500	\$2,500	\$1,950	9/30/2021	
SOU 2020-417(LI)	1	\$2,500	\$2,500	\$1,950	9/30/2021	
SOU 2020-418(SA)	1	\$15,000	\$15,000	\$11,000	9/30/2021	
SOU 2020-419(ROP)	1	\$2,000	\$2,000	\$1,520	9/30/2021	

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SOU 2020-420(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-421(AR)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-423(AR)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-424(AR)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-426(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-427(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2021	
SOU 2020-428(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2021	
SOU 2020-429(GS)	1	\$1,000	\$1,000	\$892	9/30/2021	
SOU 2020-430(SI)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-431(ROP)	1	\$7,500	\$7,500	\$6,000	9/30/2021	
SOU 2020-432(LI)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
SOU 2020-433(LI)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
SOU 2020-434(ROP)	1	\$9,500	\$9,500	\$7,885	9/30/2021	
SOU 2020-435(ROP)	1	\$5,000	\$5,000	\$3,900	9/30/2021	
SOU 2020-437(LI)	1	\$2,500	\$2,500	\$1,950	9/30/2021	
SOU 2020-438(SA)	1	\$2,500	\$2,500	\$1,875	9/30/2021	
SOU 2020-440(LI)	1	\$2,500	\$2,500	\$1,950	9/30/2021	
SOU 2020-441(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-442(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-443(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-446(AR)	1	\$999	\$0	\$0	9/30/2021	Case Terminated
SOU 2020-447(AR)	1	\$2,500	\$0	\$0	9/30/2021	Case Terminated
SOU 2020-448(GC)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-449(HMT)	1	\$6,000	\$6,000	\$4,250	9/30/2021	
SOU 2020-450(GC)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-452(AR)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-453(AR)	1	\$1,000	\$1,000	\$892	9/30/2021	
SOU 2020-455(AR)	1	\$1,000	\$1,000	\$892	9/30/2021	
SOU 2020-456(AR)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-457(GC)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-458(GC)	1	\$1,000	\$1,000	\$892	9/30/2021	
SOU 2020-459(RMM)	1	\$5,000	\$5,000	\$4,000	9/30/2021	
SOU 2020-461(FCS)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-462(ROP)	1	\$2,000	\$2,000	\$1,575	9/30/2021	
SOU 2020-463(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2021	
SOU 2020-464(SA)	1	\$15,000	\$15,000	\$11,000	9/30/2021	
SOU 2020-465(FCS)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-466(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-467(HMT)	1	\$5,000	\$5,000	\$3,375	9/30/2021	
SOU 2020-468(HMT)	3	\$20,000	\$20,000	\$13,250	9/30/2021	
SOU 2020-469(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	

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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 2020-470(ROP)	1	\$5,000	\$5,000	\$4,150	9/30/2021	
SOU 2020-471(TS)	1	\$5,000	\$5,000	\$3,950	9/30/2021	
SOU 2020-473(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-474(HMT)	1	\$2,000	\$2,000	\$1,350	9/30/2021	
SOU 2020-476(RW)	1	\$2,000	\$2,000	\$1,660	9/30/2021	
SOU 2020-477(ROP)	1	\$7,500	\$7,500	\$5,850	9/30/2021	
SOU 2020-478(ROP)	1	\$7,500	\$7,500	\$5,850	9/30/2021	
SOU 2020-479(ROP)	1	\$9,500	\$9,500	\$7,695	9/30/2021	
SOU 2020-480(SA)	1	\$2,500	\$2,500	\$1,875	9/30/2021	
SOU 2020-481(SA)	1	\$2,500	\$2,500	\$1,875	9/30/2021	
SOU 2020-482(HMT)	2	\$6,000	\$6,000	\$4,050	9/30/2021	
SOU 2020-483(HMT)	2	\$12,500	\$12,500	\$8,400	9/30/2021	
SOU 2020-485(HMT)	1	\$2,500	\$2,500	\$1,800	9/30/2021	
SOU 2020-486(LI)	1	\$2,500	\$2,500	\$1,950	9/30/2021	
SOU 2020-487(TS)	1	\$5,000	\$5,000	\$4,050	9/30/2021	
SOU 2020-488(RW)	1	\$2,000	\$2,000	\$1,660	9/30/2021	
SOU 2020-489(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-490(LI)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
SOU 2020-491(LI)	1	\$1,000	\$1,000	\$892	9/30/2021	
SOU 2020-492(FCS)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-493(SA)	1	\$2,500	\$2,500	\$1,875	9/30/2021	
SOU 2020-494(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-497(AR)	1	\$1,000	\$1,000	\$892	9/30/2021	
SOU 2020-498(LI)	1	\$2,500	\$2,500	\$1,950	9/30/2021	
SOU 2020-501(LI)	1	\$2,500	\$2,500	\$1,950	9/30/2021	
SOU 2020-504(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-509(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-510(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2021	
SOU 2020-512(FCS)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-513(LI)	1	\$2,500	\$2,500	\$1,950	9/30/2021	
SOU 2020-515(ROP)	1	\$7,500	\$7,500	\$6,000	9/30/2021	
SOU 2020-516(SA)	1	\$2,500	\$2,500	\$1,500	9/30/2021	
SOU 2020-518(TS)	1	\$5,000	\$5,000	\$4,050	9/30/2021	
SOU 2020-519(TS)	3	\$8,500	\$8,500	\$6,715	9/30/2021	
SOU 2020-521(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-522(LI)	1	\$2,500	\$2,500	\$1,950	9/30/2021	
SOU 2020-524(ROP)	1	\$5,000	\$5,000	\$4,150	9/30/2021	
SOU 2020-525(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-527(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-528(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-530(SA)	1	\$2,500	\$2,500	\$1,875	9/30/2021	

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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 2020-531(LI)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
SOU 2020-533(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-534(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-536(LI)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-537(FCS)	1	\$5,000	\$5,000	\$3,500	9/30/2021	
SOU 2020-539(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-540(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-542(LI)	1	\$2,500	\$2,500	\$1,950	9/30/2021	
SOU 2020-543(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-545(ROP)	1	\$7,500	\$7,500	\$5,925	9/30/2021	
SOU 2020-546(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-549(LI)	1	\$2,500	\$2,500	\$1,950	9/30/2021	
SOU 2020-551(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-552(GC)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2020-554(TS)	1	\$5,000	\$5,000	\$4,050	9/30/2021	
SOU 2020-555(TS)	1	\$4,000	\$4,000	\$2,950	9/30/2021	
SOU 2020-557(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2021	
SOU 2020-558(SA)	1	\$10,000	\$10,000	\$7,500	9/30/2021	
SOU 2020-560(HMT)	1	\$7,500	\$7,500	\$5,000	9/30/2021	
SOU 2020-561(SA)	1	\$2,500	\$2,500	\$1,875	9/30/2021	
SOU 2020-563(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2020-564(SA)	1	\$2,500	\$2,500	\$1,875	9/30/2021	
SOU 2020-566(LI)	1	\$2,500	\$2,500	\$1,950	9/30/2021	
SOU 2020-567(AR)	1	\$1,000	\$1,000	\$892	9/30/2021	
SOU 2020-569(ROP)	1	\$2,000	\$2,000	\$1,575	9/30/2021	
SOU 2020-570(ROP)	1	\$7,500	\$7,500	\$6,000	9/30/2021	
SOU 2020-574(AR)	1	\$999	\$999	\$892	9/30/2021	
SOU 2020-575(AR)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2021-002(TS)	1	\$5,000	\$5,000	\$4,000	9/30/2021	
SOU 2021-003(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2021-005(TS)	1	\$5,000	\$5,000	\$4,050	9/30/2021	
SOU 2021-006(HMT)	1	\$2,000	\$2,000	\$1,350	9/30/2021	
SOU 2021-008(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2021-009(LI)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
SOU 2021-011(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2021-012(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2021-014(ROP)	1	\$2,000	\$2,000	\$1,575	9/30/2021	
SOU 2021-015(SA)	1	\$2,500	\$2,500	\$1,875	9/30/2021	
SOU 2021-017(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2021-018(EP)	1	\$1,000	\$1,000	\$892	9/30/2021	
SOU 2021-020(SA)	1	\$10,000	\$10,000	\$7,250	9/30/2021	

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SOU 2021-021(SA)	1	\$2,500	\$2,500	\$1,875	9/30/2021	
SOU 2021-023(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2021-024(RW)	1	\$2,000	\$2,000	\$1,660	9/30/2021	
SOU 2021-026(HMT)	2	\$11,000	\$11,000	\$7,600	9/30/2021	
SOU 2021-027(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2021-029(LI)	1	\$10,000	\$10,000	\$7,250	9/30/2021	
SOU 2021-030(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2021-032(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2021-033(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2021-035(TS)	2	\$28,000	\$28,000	\$25,424	9/30/2021	
SOU 2021-036(ROP)	1	\$5,000	\$5,000	\$3,900	9/30/2021	
SOU 2021-038(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2021-039(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2021-041(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2021-042(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2021-044(AR)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2021-045(AR)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2021-047(AR)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2021-048(AR)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2021-050(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2021-051(ROP)	1	\$9,500	\$9,500	\$7,885	9/30/2021	
SOU 2021-053(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2021-054(ROP)	1	\$5,000	\$5,000	\$3,900	9/30/2021	
SOU 2021-057(HMT)	1	\$2,000	\$2,000	\$1,350	9/30/2021	
SOU 2021-060(HMT)	1	\$5,000	\$5,000	\$3,300	9/30/2021	
SOU 2021-063(TS)	1	\$5,000	\$5,000	\$4,050	9/30/2021	
SOU 2021-066(ROP)	1	\$5,000	\$5,000	\$3,900	9/30/2021	
SOU 2021-072(LI)	1	\$2,500	\$2,500	\$1,950	9/30/2021	
SOU 2021-075(LI)	1	\$2,500	\$2,500	\$1,950	9/30/2021	
SOU 2021-078(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2021-081(HMT)	1	\$5,000	\$5,000	\$3,300	9/30/2021	
SOU 2021-084(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2021	
SOU 2021-087(FCS)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
SOU 2021-090(ROP)	1	\$7,500	\$7,500	\$6,225	9/30/2021	
SOU 2021-093(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
SOU 2021-096(SI)	1	\$1,000	\$1,000	\$892	9/30/2021	
SOU 2021-101(HSR)	1	\$1,000	\$1,000	\$892	9/30/2021	
SOU 2021-106(HMT)	1	\$5,000	\$5,000	\$3,300	9/30/2021	
SOU 2021-109(ROP)	1	\$9,500	\$9,500	\$7,885	9/30/2021	
SOU 2021-114(TS)	1	\$2,000	\$2,000	\$1,816	9/30/2021	
SOU 2021-117(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2021	

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SOU 2021-120(EP)	1	\$1,000	\$1,000	\$892	9/30/2021	
SRN 2014-001(ROP)	1	\$7,500	\$7,500	\$4,125	4/21/2021	
SRN 2014-002(TS)	1	\$5,000	\$5,000	\$2,750	4/21/2021	
SRN 2015-001(TS)	2	\$5,000	\$5,000	\$2,750	4/21/2021	
SRN 2019-001(TS)	2	\$7,500	\$7,500	\$5,000	4/21/2021	
ST 2020-001(SA)	1	\$5,000	\$5,000	\$4,250	9/14/2021	
ST 2020-002(HS)	1	\$2,000	\$2,000	\$1,800	9/14/2021	
ST 2020-003(HS)	1	\$2,000	\$2,000	\$1,800	9/14/2021	
ST 2020-004(ROP)	1	\$7,500	\$7,500	\$7,000	9/14/2021	
ST 2021-001(SA)	1	\$5,000	\$5,000	\$4,250	9/14/2021	
ST 2021-002(ROP)	1	\$9,500	\$9,500	\$7,800	9/14/2021	
STMA 2020-001(TS)	1	\$5,000	\$5,000	\$5,000	6/17/2021	
STMA 2021-002(TS)	1	\$5,000	\$5,000	\$5,000	6/17/2021	
STMA 2021-003(TS)	1	\$5,000	\$5,000	\$5,000	6/17/2021	
STMA 2021-004(TS)	1	\$5,000	\$5,000	\$5,000	6/17/2021	
SUOC 2020-002(HMT)	1	\$2,000	\$2,000	\$2,000	6/3/2021	
SW 2020-001(LI)	1	\$2,500	\$2,500	\$2,500	11/20/2020	
TEVR 2015-001(LIS)	2	\$3,000	\$0	\$0	4/9/2021	Case Terminated
TEVR 2015-002(LI)	3	\$7,500	\$0	\$0	4/9/2021	Case Terminated
TEVR 2016-001(AD)	1	\$2,500	\$0	\$0	4/9/2021	Case Terminated
TEVR 2017-001(AD)	1	\$2,500	\$0	\$0	4/9/2021	Case Terminated
TGCZ 2021-001(HMT)	1	\$5,000	\$5,000	\$5,000	5/28/2021	
TM 2020-001(TS)	1	\$5,000	\$5,000	\$3,750	6/29/2021	
TMBL 2021-001(ROP)	1	\$9,500	\$9,500	\$5,750	2/16/2021	
TN 2020-002(CC)	1	\$4,000	\$4,000	\$4,000	6/11/2021	
TPW 2020-001(HMT)	1	\$5,000	\$5,000	\$3,900	9/29/2021	
TPW 2020-002(ROP)	1	\$9,500	\$9,500	\$7,410	9/29/2021	
TSWS 2018-001(SA)	1	\$15,000	\$15,000	\$7,500	2/2/2021	
TSWS 2019-002(AD)	1	\$5,000	\$5,000	\$3,000	2/2/2021	
TSWS 2020-001(ROP)	1	\$7,500	\$7,500	\$4,000	2/2/2021	
TTXJ 2020-001(FCS)	1	\$2,500	\$2,500	\$2,500	3/11/2021	
TTXJ 2020-002(FCS)	1	\$2,500	\$2,500	\$2,500	3/11/2021	
TTXJ 2021-001(FCS)	1	\$2,500	\$2,500	\$2,500	6/7/2021	
TXN 2020-002(ROP)	1	\$7,500	\$7,500	\$3,250	9/28/2021	
TXOR 2015-001(LI)	5	\$20,000	\$0	\$0	5/13/2021	Case Terminated
TXOR 2015-002(LI)	1	\$1,000	\$0	\$0	5/13/2021	Case Terminated
UP 2016-1031(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2016-1086(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2016-218(SI)	1	\$1,000	\$1,000	\$853	9/30/2021	
UP 2016-318(LI)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2016-782(LI)	1	\$2,500	\$2,500	\$1,925	9/30/2021	

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UP 2018-476(SI)	1	\$25,000	\$25,000	\$20,000	9/30/2021	
UP 2018-647(TS)	2	\$5,000	\$5,000	\$133,650	9/30/2021	
UP 2019-177(GC)	1	\$10,000	\$10,000	\$7,800	9/30/2021	
UP 2019-198(HSR)	1	\$1,000	\$1,000	\$870	9/30/2021	
UP 2019-217(SA)	1	\$10,000	\$10,000	\$7,300	9/30/2021	
UP 2019-413(AR)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2019-609(SA)	1	\$2,500	\$2,500	\$1,850	4/11/2021	
UP 2019-610(SA)	1	\$2,500	\$2,500	\$1,850	4/11/2021	
UP 2019-611(SA)	1	\$2,500	\$2,500	\$1,850	4/11/2021	
UP 2019-620(SA)	1	\$2,500	\$2,500	\$1,850	4/11/2021	
UP 2019-621(SA)	1	\$2,500	\$2,500	\$1,850	4/11/2021	
UP 2019-623(SA)	1	\$2,500	\$2,500	\$1,850	4/11/2021	
UP 2019-624(SA)	1	\$2,500	\$2,500	\$1,850	4/11/2021	
UP 2019-629(SA)	1	\$5,000	\$5,000	\$3,700	4/11/2021	
UP 2019-631(SA)	1	\$2,500	\$2,500	\$1,850	4/11/2021	
UP 2019-632(SA)	1	\$5,000	\$5,000	\$3,700	4/11/2021	
UP 2019-637(SA)	1	\$5,000	\$5,000	\$3,700	4/11/2021	
UP 2019-638(SA)	1	\$2,500	\$2,500	\$1,850	4/11/2021	
UP 2019-639(SA)	1	\$2,500	\$2,500	\$1,850	4/11/2021	
UP 2019-643(SA)	1	\$2,500	\$2,500	\$1,850	4/11/2021	
UP 2019-648(SA)	1	\$5,000	\$5,000	\$3,700	4/11/2021	
UP 2019-649(SA)	1	\$5,000	\$5,000	\$3,700	4/11/2021	
UP 2019-652(HS)	1	\$1,000	\$1,000	\$870	9/30/2021	
UP 2019-658(SA)	1	\$5,000	\$5,000	\$3,700	4/11/2021	
UP 2019-659(SA)	1	\$2,500	\$2,500	\$1,850	4/11/2021	
UP 2019-660(SA)	1	\$2,500	\$2,500	\$1,850	4/11/2021	
UP 2019-665(SA)	1	\$5,000	\$5,000	\$3,700	4/11/2021	
UP 2019-669(SA)	1	\$2,500	\$2,500	\$1,850	4/11/2021	
UP 2019-674(SA)	1	\$5,000	\$5,000	\$3,700	4/11/2021	
UP 2019-675(SA)	1	\$5,000	\$5,000	\$3,700	4/11/2021	
UP 2019-676(SA)	1	\$2,500	\$2,500	\$1,850	4/11/2021	
UP 2019-683(HSR)	1	\$2,500	\$2,500	\$1,700	9/30/2021	
UP 2019-687(SA)	1	\$5,000	\$5,000	\$3,700	4/11/2021	
UP 2019-688(SA)	1	\$5,000	\$5,000	\$3,700	4/11/2021	
UP 2019-692(SA)	1	\$5,000	\$5,000	\$3,700	4/11/2021	
UP 2019-728(SA)	1	\$2,500	\$2,500	\$1,850	4/11/2021	
UP 2019-729(SA)	1	\$2,500	\$2,500	\$1,850	4/11/2021	
UP 2019-730(SA)	1	\$5,000	\$5,000	\$3,700	4/11/2021	
UP 2019-731(SA)	1	\$5,000	\$5,000	\$3,700	4/11/2021	
UP 2019-732(SA)	1	\$5,000	\$5,000	\$3,700	4/11/2021	
UP 2019-733(SA)	1	\$5,000	\$5,000	\$3,700	4/11/2021	

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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 2019-734(SA)	1	\$5,000	\$5,000	\$3,700	4/11/2021	
UP 2019-735(SA)	1	\$2,500	\$2,500	\$1,850	4/11/2021	
UP 2019-737(SA)	1	\$2,500	\$2,500	\$1,850	4/11/2021	
UP 2019-738(SA)	1	\$2,500	\$2,500	\$1,850	4/11/2021	
UP 2019-739(SA)	1	\$2,500	\$2,500	\$1,850	4/11/2021	
UP 2019-740(SA)	1	\$5,000	\$5,000	\$3,700	4/11/2021	
UP 2019-741(SA)	1	\$5,000	\$5,000	\$3,700	4/11/2021	
UP 2019-742(SA)	1	\$2,500	\$2,500	\$1,850	4/11/2021	
UP 2019-743(SA)	1	\$2,500	\$2,500	\$1,850	4/11/2021	
UP 2019-749(SA)	1	\$5,000	\$5,000	\$3,700	4/11/2021	
UP 2019-755(SA)	1	\$2,500	\$2,500	\$1,850	4/11/2021	
UP 2019-756(SA)	1	\$2,500	\$2,500	\$1,850	4/11/2021	
UP 2019-757(SA)	1	\$1,250	\$1,250	\$925	4/11/2021	
UP 2019-758(SA)	1	\$2,500	\$2,500	\$1,850	4/11/2021	
UP 2019-759(SA)	1	\$1,000	\$1,000	\$892	4/11/2021	
UP 2019-760(SA)	1	\$2,500	\$2,500	\$1,850	4/11/2021	
UP 2019-762(SA)	1	\$2,500	\$2,500	\$1,850	4/11/2021	
UP 2019-763(SA)	1	\$2,500	\$2,500	\$1,850	4/11/2021	
UP 2019-764(SA)	1	\$5,000	\$5,000	\$3,700	4/11/2021	
UP 2019-775(SA)	1	\$2,500	\$2,500	\$1,850	4/11/2021	
UP 2019-779(SA)	1	\$5,000	\$5,000	\$3,700	4/11/2021	
UP 2019-782(SA)	1	\$5,000	\$5,000	\$3,700	4/11/2021	
UP 2019-785(SA)	1	\$2,500	\$2,500	\$1,850	4/11/2021	
UP 2019-786(SA)	1	\$2,500	\$2,500	\$1,850	4/11/2021	
UP 2019-789(SA)	1	\$5,000	\$5,000	\$3,700	4/11/2021	
UP 2019-796(SA)	1	\$2,000	\$2,000	\$1,480	4/11/2021	
UP 2020-019(FCS)	1	\$2,500	\$2,500	\$2,075	9/30/2021	
UP 2020-1001(FCS)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-101(LI)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-1011(LI)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-1015(GC)	1	\$1,000	\$1,000	\$892	9/30/2021	
UP 2020-1020(FCS)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-1026(ROP)	1	\$15,000	\$15,000	\$10,800	9/30/2021	
UP 2020-1030(LI)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-1031(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-1035(LI)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-1036(ROP)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
UP 2020-1040(ROP)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
UP 2020-1041(ROP)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
UP 2020-1045(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2021	
UP 2020-1046(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	

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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 2020-1050(ROP)	1	\$9,500	\$9,500	\$6,840	9/30/2021	
UP 2020-1051(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2021	
UP 2020-1064(HS)	1	\$2,000	\$2,000	\$1,660	9/30/2021	
UP 2020-1075(ROP)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
UP 2020-1084(LI)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-1089(ROP)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
UP 2020-1090(ROP)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
UP 2020-1094(FCS)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-1104(ROP)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
UP 2020-1105(LI)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-1109(HMT)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-1110(HMT)	2	\$2,000	\$2,000	\$1,540	9/30/2021	
UP 2020-1112(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-1114(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2021	
UP 2020-1117(FCS)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-1118(HMT)	1	\$2,000	\$2,000	\$1,540	9/30/2021	
UP 2020-1119(HMT)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-1124(LI)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-1139(TS)	1	\$1,000	\$1,000	\$892	9/30/2021	
UP 2020-1140(HMT)	1	\$2,000	\$2,000	\$1,540	9/30/2021	
UP 2020-1144(HMT)	1	\$7,500	\$7,500	\$5,910	9/30/2021	
UP 2020-1145(ROP)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
UP 2020-1154(ROP)	1	\$9,500	\$9,500	\$6,750	9/30/2021	
UP 2020-1155(HS)	1	\$2,000	\$2,000	\$1,660	9/30/2021	
UP 2020-1160(HSR)	1	\$2,000	\$2,000	\$1,784	9/30/2021	
UP 2020-1164(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2021	
UP 2020-1165(ROP)	1	\$7,500	\$7,500	\$7,500	9/30/2021	
UP 2020-1169(ROP)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
UP 2020-1170(TS)	1	\$5,000	\$5,000	\$4,150	9/30/2021	
UP 2020-1174(HMT)	1	\$1,000	\$1,000	\$830	9/30/2021	
UP 2020-1184(ROP)	1	\$13,000	\$13,000	\$9,360	9/30/2021	
UP 2020-1187(HMT)	2	\$12,500	\$12,500	\$9,850	9/30/2021	
UP 2020-1188(LI)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-1193(ROP)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
UP 2020-1198(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2021	
UP 2020-1202(ROP)	1	\$9,500	\$9,500	\$6,840	9/30/2021	
UP 2020-1218(SI)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-1219(FCS)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-1224(HMT)	1	\$6,000	\$6,000	\$4,730	9/30/2021	
UP 2020-1225(HMT)	1	\$2,000	\$2,000	\$1,540	9/30/2021	
UP 2020-1229(LI)	1	\$2,500	\$2,500	\$2,075	9/30/2021	

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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 2020-125(HMT)	1	\$40,000	\$40,000	\$31,540	9/30/2021	
UP 2020-127(ROP)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
UP 2020-141(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2021	
UP 2020-145(LI)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-151(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-153(FCS)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-155(FCS)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-157(FCS)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-159(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2021	
UP 2020-161(LI)	1	\$1,000	\$1,000	\$892	9/30/2021	
UP 2020-162(LI)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-163(LI)	2	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-172(GC)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-180(LI)	1	\$7,500	\$7,500	\$5,900	9/30/2021	
UP 2020-182(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2021	
UP 2020-185(ROP)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
UP 2020-186(ROP)	1	\$5,000	\$5,000	\$3,600	9/30/2021	
UP 2020-187(SA)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-189(FCS)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-190(FCS)	1	\$2,500	\$2,500	\$1,600	9/30/2021	
UP 2020-192(FCS)	1	\$2,500	\$2,500	\$1,600	9/30/2021	
UP 2020-193(LI)	1	\$2,500	\$2,500	\$2,075	9/30/2021	
UP 2020-195(FCS)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-200(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-205(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2021	
UP 2020-207(FCS)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-208(FCS)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-209(HMT)	2	\$6,500	\$6,500	\$5,005	9/30/2021	
UP 2020-218(LI)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-222(HS)	1	\$893	\$893	\$892	9/30/2021	
UP 2020-223(ROP)	1	\$2,000	\$2,000	\$1,400	9/30/2021	
UP 2020-228(ROP)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
UP 2020-240(TS)	1	\$2,500	\$2,500	\$2,075	9/30/2021	
UP 2020-242(GC)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-243(GC)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-244(GC)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-247(GC)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-248(GC)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-249(GC)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-258(GC)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
UP 2020-273(GC)	1	\$5,000	\$5,000	\$3,750	9/30/2021	

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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 2020-274(GC)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-277(GC)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-279(GC)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-287(LI)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-293(GC)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-297(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-302(FCS)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-306(ROP)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
UP 2020-308(HMT)	1	\$12,500	\$12,500	\$9,850	9/30/2021	
UP 2020-350(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-352(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-354(CC)	1	\$4,000	\$4,000	\$2,900	9/30/2021	
UP 2020-355(EQ)	1	\$5,000	\$5,000	\$3,650	9/30/2021	
UP 2020-357(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2021	
UP 2020-359(FCS)	1	\$7,500	\$7,500	\$5,900	9/30/2021	
UP 2020-360(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-361(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-362(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2021	
UP 2020-363(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-364(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2021	
UP 2020-365(LI)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-366(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2021	
UP 2020-367(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-368(HS)	1	\$2,000	\$2,000	\$1,784	9/30/2021	
UP 2020-369(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2021	
UP 2020-370(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2021	
UP 2020-371(SA)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-372(FCS)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-373(FCS)	1	\$2,500	\$2,500	\$1,600	9/30/2021	
UP 2020-374(HMT)	1	\$7,500	\$7,500	\$5,910	9/30/2021	
UP 2020-375(SA)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-376(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-377(LI)	1	\$2,500	\$2,500	\$2,075	9/30/2021	
UP 2020-378(LI)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-379(FCS)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-380(HMT)	1	\$2,000	\$2,000	\$1,540	9/30/2021	
UP 2020-381(ROP)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
UP 2020-382(ROP)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
UP 2020-383(RW)	1	\$3,000	\$3,000	\$2,310	9/30/2021	
UP 2020-384(TS)	1	\$2,500	\$2,500	\$1,825	9/30/2021	
UP 2020-385(HMT)	12	\$60,000	\$60,000	\$47,310	9/30/2021	

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UP 2020-386(FCS)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-387(FCS)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-388(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-390(HMT)	1	\$2,000	\$2,000	\$1,540	9/30/2021	
UP 2020-391(HMT)	1	\$5,000	\$5,000	\$3,400	9/30/2021	
UP 2020-393(HS)	1	\$1,000	\$1,000	\$892	9/30/2021	
UP 2020-394(HMT)	1	\$2,000	\$2,000	\$1,540	9/30/2021	
UP 2020-395(TS)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-396(TS)	1	\$1,000	\$1,000	\$892	9/30/2021	
UP 2020-398(SA)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-399(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-400(LI)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-401(LI)	1	\$1,500	\$1,500	\$1,155	9/30/2021	
UP 2020-403(LI)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-404(LI)	1	\$1,500	\$1,500	\$1,125	9/30/2021	
UP 2020-405(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2021	
UP 2020-406(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-408(LI)	1	\$5,000	\$5,000	\$1,925	9/30/2021	
UP 2020-409(LI)	1	\$5,000	\$5,000	\$3,400	9/30/2021	
UP 2020-410(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-413(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-414(FCS)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-415(TS)	1	\$1,000	\$1,000	\$892	9/30/2021	
UP 2020-416(RW)	1	\$1,500	\$1,500	\$1,155	9/30/2021	
UP 2020-418(RMM)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-419(HMT)	1	\$15,000	\$15,000	\$11,820	9/30/2021	
UP 2020-420(FCS)	1	\$2,500	\$2,500	\$1,600	9/30/2021	
UP 2020-421(FCS)	1	\$2,500	\$2,500	\$1,975	9/30/2021	
UP 2020-423(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-424(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2021	
UP 2020-425(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-426(SA)	1	\$5,000	\$5,000	\$3,900	9/30/2021	
UP 2020-428(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-429(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-430(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-431(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2021	
UP 2020-432(LI)	2	\$7,500	\$7,500	\$5,900	9/30/2021	
UP 2020-433(LI)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-434(SA)	1	\$3,000	\$3,000	\$2,200	9/30/2021	
UP 2020-435(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2021	
UP 2020-436(LI)	1	\$2,500	\$2,500	\$1,925	9/30/2021	

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UP 2020-438(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-439(TS)	1	\$1,000	\$1,000	\$892	9/30/2021	
UP 2020-440(HMT)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-441(HMT)	1	\$1,000	\$1,000	\$830	9/30/2021	
UP 2020-443(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-444(FCS)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-445(TS)	1	\$5,000	\$5,000	\$4,400	9/30/2021	
UP 2020-446(TS)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-447(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-448(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-449(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-450(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2021	
UP 2020-452(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-453(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-454(SA)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-455(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-457(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2021	
UP 2020-458(FCS)	1	\$2,500	\$2,500	\$1,950	9/30/2021	
UP 2020-459(ROP)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
UP 2020-460(LI)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-462(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-463(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2021	
UP 2020-464(SA)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-465(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-467(HMT)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-468(HSR)	1	\$1,000	\$1,000	\$892	9/30/2021	
UP 2020-470(HMT)	1	\$5,000	\$5,000	\$3,400	9/30/2021	
UP 2020-472(TS)	1	\$5,000	\$5,000	\$4,150	9/30/2021	
UP 2020-473(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2021	
UP 2020-474(LI)	1	\$2,500	\$2,500	\$2,075	9/30/2021	
UP 2020-475(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2021	
UP 2020-476(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-478(TS)	1	\$5,000	\$5,000	\$3,650	9/30/2021	
UP 2020-479(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2021	
UP 2020-480(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-481(HS)	1	\$2,000	\$2,000	\$1,784	9/30/2021	
UP 2020-483(HSR)	1	\$2,000	\$2,000	\$1,784	9/30/2021	
UP 2020-484(ROP)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
UP 2020-485(SA)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-486(SA)	1	\$10,000	\$10,000	\$7,700	9/30/2021	
UP 2020-488(ROP)	1	\$2,000	\$2,000	\$1,500	9/30/2021	

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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 2020-490(RSP)	1	\$9,500	\$9,500	\$6,460	9/30/2021	
UP 2020-491(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2021	
UP 2020-493(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2021	
UP 2020-494(ROP)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
UP 2020-495(RW)	1	\$2,000	\$2,000	\$1,540	9/30/2021	
UP 2020-496(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2021	
UP 2020-497(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-498(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-500(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-501(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2021	
UP 2020-502(LI)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-503(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-505(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-506(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2021	
UP 2020-507(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2021	
UP 2020-508(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-510(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-511(SA)	1	\$5,000	\$5,000	\$3,900	9/30/2021	
UP 2020-512(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-513(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-515(FCS)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-516(FCS)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-517(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-518(SA)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-520(SA)	1	\$2,500	\$2,500	\$1,950	9/30/2021	
UP 2020-521(SA)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-522(SA)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-523(TS)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-525(ROP)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
UP 2020-526(ROP)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
UP 2020-527(TS)	1	\$1,000	\$1,000	\$892	9/30/2021	
UP 2020-528(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-530(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2021	
UP 2020-531(SA)	1	\$10,000	\$10,000	\$7,300	9/30/2021	
UP 2020-532(LI)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-535(ROP)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
UP 2020-536(HMT)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-537(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-538(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-540(FCS)	1	\$2,000	\$2,000	\$1,540	9/30/2021	
UP 2020-541(SA)	1	\$2,500	\$2,500	\$1,900	9/30/2021	

Federal Railroad Administration
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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 2020-542(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2021	
UP 2020-545(ROP)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
UP 2020-546(FCS)	1	\$2,500	\$2,500	\$1,600	9/30/2021	
UP 2020-547(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-548(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-550(FCS)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-551(LI)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-552(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-553(TS)	1	\$5,000	\$5,000	\$4,150	9/30/2021	
UP 2020-555(SA)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-556(HMT)	1	\$4,000	\$4,000	\$3,080	9/30/2021	
UP 2020-557(TS)	1	\$2,500	\$2,500	\$1,950	9/30/2021	
UP 2020-558(HMT)	2	\$7,000	\$7,000	\$5,390	9/30/2021	
UP 2020-560(LI)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-561(HMT)	1	\$2,000	\$2,000	\$1,540	9/30/2021	
UP 2020-563(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-564(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2021	
UP 2020-565(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2021	
UP 2020-566(SA)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-568(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-569(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2021	
UP 2020-570(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2021	
UP 2020-571(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-573(SA)	1	\$2,500	\$2,500	\$2,075	9/30/2021	
UP 2020-574(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2021	
UP 2020-575(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2021	
UP 2020-576(ROP)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
UP 2020-578(TS)	1	\$5,000	\$5,000	\$3,650	9/30/2021	
UP 2020-579(TS)	1	\$5,000	\$5,000	\$3,900	9/30/2021	
UP 2020-580(FCS)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-581(FCS)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-583(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-584(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2021	
UP 2020-585(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2021	
UP 2020-586(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-588(SA)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-589(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-590(LI)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-591(LI)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-594(SA)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-595(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	

Federal Railroad Administration
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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 2020-596(HMT)	1	\$4,000	\$4,000	\$3,080	9/30/2021	
UP 2020-598(TS)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-599(LI)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-600(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-601(ROP)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
UP 2020-603(ROP)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
UP 2020-604(ROP)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
UP 2020-605(ROP)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
UP 2020-606(LI)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-608(LI)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-609(LI)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-610(RW)	2	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-611(TS)	1	\$5,000	\$5,000	\$4,150	9/30/2021	
UP 2020-613(TS)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-615(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-616(SA)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-618(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2021	
UP 2020-619(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-620(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-621(HSR)	1	\$2,000	\$2,000	\$1,784	9/30/2021	
UP 2020-623(LI)	1	\$1,500	\$1,500	\$1,125	9/30/2021	
UP 2020-625(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-626(FCS)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-628(FCS)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-631(ROP)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
UP 2020-633(ROP)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
UP 2020-634(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-635(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2021	
UP 2020-636(SA)	1	\$2,500	\$2,500	\$1,600	9/30/2021	
UP 2020-638(LI)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-640(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-641(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2021	
UP 2020-642(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-643(TS)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-645(FCS)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-646(FCS)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-647(FCS)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-648(FCS)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-650(ROP)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
UP 2020-651(LI)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-652(LI)	1	\$2,500	\$2,500	\$1,925	9/30/2021	

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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 2020-653(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-655(FCS)	1	\$2,500	\$2,500	\$1,600	9/30/2021	
UP 2020-656(ROP)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
UP 2020-657(FCS)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-658(FCS)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-661(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-662(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-663(LI)	1	\$1,000	\$1,000	\$892	9/30/2021	
UP 2020-664(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-665(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2021	
UP 2020-666(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-667(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-668(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2021	
UP 2020-669(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2021	
UP 2020-670(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-671(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-672(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2021	
UP 2020-673(HMT)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-675(LI)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-676(HS)	1	\$1,000	\$1,000	\$892	9/30/2021	
UP 2020-677(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-678(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-679(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2021	
UP 2020-680(FCS)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-681(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-682(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2021	
UP 2020-683(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2021	
UP 2020-684(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2021	
UP 2020-685(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2021	
UP 2020-686(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-687(ROP)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
UP 2020-688(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-691(TS)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-693(RW)	1	\$1,500	\$1,500	\$1,155	9/30/2021	
UP 2020-695(FCS)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-696(TS)	2	\$10,000	\$10,000	\$8,500	9/30/2021	
UP 2020-698(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2021	
UP 2020-701(HS)	1	\$2,000	\$0	\$0	9/30/2021	Case Terminated
UP 2020-703(HS)	1	\$2,000	\$2,000	\$1,784	9/30/2021	
UP 2020-704(HSR)	1	\$2,000	\$2,000	\$1,784	9/30/2021	
UP 2020-706(ROP)	1	\$2,000	\$2,000	\$1,500	9/30/2021	

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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 2020-708(ROP)	1	\$6,000	\$6,000	\$4,500	9/30/2021	
UP 2020-709(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2021	
UP 2020-710(ROP)	1	\$9,500	\$9,500	\$6,840	9/30/2021	
UP 2020-711(ROP)	1	\$9,500	\$9,500	\$6,840	9/30/2021	
UP 2020-713(ROP)	1	\$15,000	\$7,500	\$5,000	9/30/2021	Partially Terminated Violations: 1
UP 2020-714(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2021	
UP 2020-715(LI)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-716(SA)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-718(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-719(ROP)	1	\$9,500	\$9,500	\$6,840	9/30/2021	
UP 2020-720(ROP)	1	\$7,500	\$7,500	\$5,000	9/30/2021	
UP 2020-721(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2021	
UP 2020-723(SA)	1	\$2,500	\$2,500	\$1,950	9/30/2021	
UP 2020-725(FCS)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-726(SA)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-727(SA)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-728(HMT)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-730(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2021	
UP 2020-731(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2021	
UP 2020-732(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2021	
UP 2020-733(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-734(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2021	
UP 2020-735(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-736(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-737(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-738(SA)	1	\$2,500	\$2,500	\$1,950	9/30/2021	
UP 2020-739(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-740(SA)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-741(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2021	
UP 2020-742(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2021	
UP 2020-743(ROP)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
UP 2020-744(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2021	
UP 2020-745(ROP)	1	\$16,000	\$16,000	\$11,520	9/30/2021	
UP 2020-746(LI)	1	\$3,000	\$3,000	\$2,340	9/30/2021	
UP 2020-747(LI)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-748(SA)	1	\$2,500	\$2,500	\$1,950	9/30/2021	
UP 2020-749(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2021	
UP 2020-750(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-751(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	

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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 2020-752(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2021	
UP 2020-753(ROP)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
UP 2020-754(HMT)	2	\$9,000	\$9,000	\$7,090	9/30/2021	
UP 2020-755(LI)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-756(LI)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-757(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2021	
UP 2020-758(FCS)	1	\$2,500	\$2,500	\$1,600	9/30/2021	
UP 2020-759(LI)	1	\$1,000	\$1,000	\$870	9/30/2021	
UP 2020-760(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2021	
UP 2020-761(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2021	
UP 2020-762(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2021	
UP 2020-763(SA)	1	\$2,500	\$2,500	\$1,600	9/30/2021	
UP 2020-764(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-765(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2021	
UP 2020-766(LI)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-767(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-768(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-769(LI)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-770(LI)	1	\$1,000	\$1,000	\$870	9/30/2021	
UP 2020-771(LI)	2	\$3,500	\$3,500	\$2,517	9/30/2021	
UP 2020-772(LI)	1	\$1,000	\$1,000	\$892	9/30/2021	
UP 2020-773(LI)	3	\$5,500	\$5,500	\$4,300	9/30/2021	
UP 2020-774(LI)	1	\$4,000	\$4,000	\$3,100	9/30/2021	
UP 2020-775(LI)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-776(LI)	2	\$5,000	\$5,000	\$3,900	9/30/2021	
UP 2020-777(LI)	1	\$1,500	\$1,500	\$1,155	9/30/2021	
UP 2020-778(LI)	1	\$1,000	\$1,000	\$892	9/30/2021	
UP 2020-779(LI)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-780(LI)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-781(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2021	
UP 2020-782(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-783(HMT)	1	\$3,500	\$3,500	\$2,695	9/30/2021	
UP 2020-784(HMT)	2	\$11,500	\$11,500	\$9,060	9/30/2021	
UP 2020-785(HMT)	1	\$6,000	\$6,000	\$4,620	9/30/2021	
UP 2020-786(FCS)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-787(FCS)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-788(FCS)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-789(FCS)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-790(FCS)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-791(FCS)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-793(SA)	1	\$2,500	\$2,500	\$1,900	9/30/2021	

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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 2020-794(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-795(SA)	1	\$2,000	\$2,000	\$1,450	9/30/2021	
UP 2020-796(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-797(SA)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-798(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-799(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2021	
UP 2020-800(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2021	
UP 2020-801(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-803(SA)	1	\$10,000	\$10,000	\$7,700	9/30/2021	
UP 2020-804(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2021	
UP 2020-805(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2021	
UP 2020-806(LI)	1	\$2,500	\$2,500	\$1,600	9/30/2021	
UP 2020-807(LI)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-808(LI)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-809(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-810(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2021	
UP 2020-811(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-812(SA)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-813(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-814(FCS)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-815(FCS)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-816(LI)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-817(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2021	
UP 2020-818(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-819(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-820(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2021	
UP 2020-821(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2021	
UP 2020-823(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-824(SA)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-825(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2021	
UP 2020-826(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-827(SA)	1	\$2,500	\$2,500	\$1,950	9/30/2021	
UP 2020-828(SA)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-829(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-830(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2021	
UP 2020-831(SA)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-832(ROP)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
UP 2020-833(ROP)	1	\$5,000	\$5,000	\$3,750	9/30/2021	
UP 2020-834(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2021	
UP 2020-835(ROP)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
UP 2020-836(ROP)	1	\$1,000	\$1,000	\$892	9/30/2021	

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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 2020-837(LI)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-838(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-839(FCS)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-840(FCS)	1	\$2,500	\$2,500	\$1,825	9/30/2021	
UP 2020-841(LI)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-843(FCS)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-844(HMT)	2	\$51,000	\$51,000	\$12,000	9/30/2021	
UP 2020-845(FCS)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-847(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2021	
UP 2020-848(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2021	
UP 2020-849(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-850(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2021	
UP 2020-852(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-853(HS)	1	\$2,000	\$2,000	\$1,787	9/30/2021	
UP 2020-854(FCS)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-855(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-856(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-857(FCS)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-858(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2021	
UP 2020-859(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2021	
UP 2020-860(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2021	
UP 2020-861(ROP)	1	\$6,000	\$6,000	\$4,250	9/30/2021	
UP 2020-862(LI)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-863(ROP)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
UP 2020-864(ROP)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
UP 2020-866(TS)	1	\$5,000	\$5,000	\$3,400	9/30/2021	
UP 2020-867(TS)	1	\$5,000	\$5,000	\$3,400	9/30/2021	
UP 2020-868(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-869(LI)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-870(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-871(HS)	1	\$3,000	\$3,000	\$2,676	9/30/2021	
UP 2020-872(HS)	1	\$2,000	\$2,000	\$1,784	9/30/2021	
UP 2020-873(HS)	1	\$2,000	\$2,000	\$1,784	9/30/2021	
UP 2020-875(LI)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-876(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-877(ROP)	1	\$9,500	\$9,500	\$6,840	9/30/2021	
UP 2020-878(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-879(ROP)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
UP 2020-881(SA)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-883(SA)	1	\$15,000	\$15,000	\$11,750	9/30/2021	
UP 2020-884(FCS)	1	\$3,750	\$3,750	\$2,737	9/30/2021	

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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 2020-885(TS)	2	\$2,000	\$2,000	\$1,784	9/30/2021	
UP 2020-886(FCS)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-888(SA)	1	\$2,500	\$2,500	\$1,950	9/30/2021	
UP 2020-889(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-890(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2021	
UP 2020-891(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2021	
UP 2020-893(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-894(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2021	
UP 2020-895(LI)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-896(ROP)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
UP 2020-898(ROP)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
UP 2020-899(ROP)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
UP 2020-900(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-901(LI)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-903(FCS)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-904(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-905(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-906(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-908(LI)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-909(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-910(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-911(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2021	
UP 2020-913(ROP)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
UP 2020-914(TS)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-915(LI)	1	\$2,000	\$2,000	\$1,540	9/30/2021	
UP 2020-916(FCS)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-918(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2021	
UP 2020-919(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-920(SA)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-921(FCS)	1	\$2,500	\$2,500	\$2,075	9/30/2021	
UP 2020-922(SA)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-923(SA)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-924(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-925(LI)	1	\$12,000	\$12,000	\$10,200	9/30/2021	
UP 2020-927(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-928(SA)	2	\$10,000	\$10,000	\$7,600	9/30/2021	
UP 2020-929(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-930(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-932(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2021	
UP 2020-933(SA)	1	\$17,500	\$17,500	\$12,500	9/30/2021	
UP 2020-934(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2021	

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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 2020-935(LI)	2	\$3,000	\$3,000	\$2,280	9/30/2021	
UP 2020-937(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-938(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2021	
UP 2020-939(SA)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-940(EP)	1	\$2,000	\$2,000	\$1,784	9/30/2021	
UP 2020-942(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-943(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-945(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-947(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-948(ROP)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
UP 2020-949(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-951(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2021	
UP 2020-952(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-953(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2021	
UP 2020-954(ROP)	1	\$7,500	\$7,500	\$5,500	9/30/2021	
UP 2020-956(ROP)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
UP 2020-957(ROP)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
UP 2020-959(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2021	
UP 2020-961(ROP)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
UP 2020-962(ROP)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
UP 2020-963(FCS)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-964(TS)	2	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-966(LI)	1	\$2,000	\$2,000	\$1,540	9/30/2021	
UP 2020-967(LI)	1	\$1,000	\$1,000	\$892	9/30/2021	
UP 2020-968(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-969(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-971(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2021	
UP 2020-972(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2020-974(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2021	
UP 2020-975(SA)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-976(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2021	
UP 2020-977(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-979(LI)	1	\$2,000	\$2,000	\$1,520	9/30/2021	
UP 2020-980(EP)	1	\$1,000	\$1,000	\$892	9/30/2021	
UP 2020-981(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-982(LI)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-984(LI)	1	\$2,500	\$2,500	\$2,075	9/30/2021	
UP 2020-985(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2021	
UP 2020-986(FCS)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2020-987(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2020-989(FCS)	1	\$2,500	\$2,500	\$1,900	9/30/2021	

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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 2020-990(TS)	1	\$2,500	\$2,500	\$1,950	9/30/2021	
UP 2020-991(FCS)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-992(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-994(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2021	
UP 2020-995(LI)	1	\$1,000	\$1,000	\$892	9/30/2021	
UP 2020-996(LI)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2020-997(LI)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2021-004(SA)	1	\$4,000	\$4,000	\$3,080	9/30/2021	
UP 2021-005(ROP)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
UP 2021-008(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2021-009(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2021-013(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2021-014(ROP)	1	\$2,000	\$2,000	\$1,400	9/30/2021	
UP 2021-018(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2021-019(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2021-023(FCS)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2021-024(FCS)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2021-028(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2021-029(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2021-033(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2021-034(HS)	1	\$2,000	\$2,000	\$1,660	9/30/2021	
UP 2021-038(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2021	
UP 2021-039(LI)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2021-043(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2021-044(FCS)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2021-048(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2021-049(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2021-053(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2021-054(LI)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2021-058(ROP)	1	\$8,000	\$8,000	\$5,500	9/30/2021	
UP 2021-059(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2021-064(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2021-065(FCS)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2021-069(RW)	1	\$2,000	\$2,000	\$1,540	9/30/2021	
UP 2021-070(SA)	1	\$10,000	\$10,000	\$7,700	9/30/2021	
UP 2021-074(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2021-075(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2021-079(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2021-080(SA)	1	\$2,500	\$2,500	\$2,200	9/30/2021	
UP 2021-084(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2021-085(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	

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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 2021-090(TS)	1	\$5,000	\$5,000	\$4,150	9/30/2021	
UP 2021-094(SA)	1	\$10,000	\$10,000	\$7,700	9/30/2021	
UP 2021-095(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2021-099(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2021-100(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2021-104(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2021-105(ROP)	1	\$5,000	\$5,000	\$3,500	9/30/2021	
UP 2021-109(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2021-110(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2021-114(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2021-115(SA)	1	\$10,000	\$10,000	\$7,700	9/30/2021	
UP 2021-119(LI)	1	\$1,500	\$1,500	\$1,155	9/30/2021	
UP 2021-120(TS)	1	\$2,500	\$2,500	\$2,075	9/30/2021	
UP 2021-124(SA)	1	\$2,000	\$2,000	\$1,540	9/30/2021	
UP 2021-125(FCS)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2021-129(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2021-130(SA)	1	\$2,500	\$2,500	\$2,200	9/30/2021	
UP 2021-137(SA)	1	\$3,000	\$3,000	\$2,310	9/30/2021	
UP 2021-138(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2021-142(SA)	1	\$10,000	\$10,000	\$7,700	9/30/2021	
UP 2021-143(ROP)	1	\$2,000	\$2,000	\$1,500	9/30/2021	
UP 2021-147(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2021-148(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2021-152(RW)	1	\$2,000	\$2,000	\$1,540	9/30/2021	
UP 2021-153(EP)	1	\$1,000	\$1,000	\$892	9/30/2021	
UP 2021-157(FCS)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2021-158(GC)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2021-162(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2021-163(TS)	2	\$6,000	\$6,000	\$4,980	9/30/2021	
UP 2021-167(FCS)	1	\$20,000	\$20,000	\$15,800	9/30/2021	
UP 2021-168(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2021-172(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2021-173(FCS)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2021-176(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2021-177(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2021-182(GC)	1	\$5,000	\$5,000	\$3,900	9/30/2021	
UP 2021-186(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2021-187(FCS)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2021-191(SA)	1	\$5,000	\$5,000	\$3,863	9/30/2021	
UP 2021-192(SA)	1	\$5,000	\$5,000	\$3,950	9/30/2021	
UP 2021-196(SA)	1	\$10,000	\$10,000	\$7,900	9/30/2021	

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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 2021-197(FCS)	1	\$2,000	\$2,000	\$1,540	9/30/2021	
UP 2021-201(SA)	1	\$2,500	\$2,500	\$1,975	9/30/2021	
UP 2021-202(SA)	1	\$5,000	\$5,000	\$3,950	9/30/2021	
UP 2021-206(SA)	1	\$5,000	\$5,000	\$3,950	9/30/2021	
UP 2021-207(LI)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2021-211(ROP)	1	\$4,000	\$4,000	\$2,800	9/30/2021	
UP 2021-212(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2021	
UP 2021-214(LI)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2021-216(SA)	1	\$5,000	\$5,000	\$3,950	9/30/2021	
UP 2021-217(TH)	1	\$5,000	\$5,000	\$3,400	9/30/2021	
UP 2021-219(LI)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2021-221(LI)	1	\$5,000	\$5,000	\$3,850	9/30/2021	
UP 2021-225(HS)	1	\$1,000	\$1,000	\$908	9/30/2021	
UP 2021-227(HS)	1	\$2,000	\$2,000	\$1,660	9/30/2021	
UP 2021-229(HS)	1	\$4,000	\$4,000	\$3,320	9/30/2021	
UP 2021-232(HS)	1	\$2,000	\$2,000	\$1,660	9/30/2021	
UP 2021-234(LI)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2021-236(SA)	1	\$5,000	\$5,000	\$3,950	9/30/2021	
UP 2021-239(SA)	1	\$5,000	\$5,000	\$3,950	9/30/2021	
UP 2021-241(SA)	1	\$5,000	\$5,000	\$3,950	9/30/2021	
UP 2021-244(GC)	1	\$5,000	\$5,000	\$3,900	9/30/2021	
UP 2021-249(GC)	1	\$5,000	\$5,000	\$3,800	9/30/2021	
UP 2021-251(HS)	1	\$1,000	\$1,000	\$908	9/30/2021	
UP 2021-254(GC)	1	\$5,000	\$5,000	\$3,900	9/30/2021	
UP 2021-259(HS)	1	\$1,000	\$1,000	\$908	9/30/2021	
UP 2021-261(SA)	1	\$2,500	\$2,500	\$1,975	9/30/2021	
UP 2021-264(HS)	1	\$2,000	\$2,000	\$1,660	9/30/2021	
UP 2021-269(HS)	1	\$1,000	\$1,000	\$908	9/30/2021	
UP 2021-271(EQ)	1	\$5,000	\$5,000	\$3,650	9/30/2021	
UP 2021-276(ROP)	1	\$9,500	\$9,500	\$6,840	9/30/2021	
UP 2021-277(SI)	1	\$2,500	\$2,500	\$1,900	9/30/2021	
UP 2021-281(SA)	1	\$7,500	\$7,500	\$5,925	9/30/2021	
UP 2021-282(HS)	1	\$1,000	\$1,000	\$908	9/30/2021	
UP 2021-287(FCS)	1	\$2,500	\$2,500	\$1,925	9/30/2021	
UP 2021-668(FCS)	1	\$2,500	\$2,500	\$0	9/30/2021	
URR 2021-001(SA)	1	\$5,000	\$5,000	\$3,950	3/9/2021	
UTAH 2020-001(LI)	1	\$2,500	\$2,500	\$1,925	9/29/2021	
UTAH 2020-002(AD)	1	\$5,000	\$5,000	\$3,900	9/29/2021	
UTAX 2020-001(TS)	1	\$2,500	\$2,500	\$1,890	3/29/2021	
VSOR 2021-001(RW)	1	\$3,000	\$3,000	\$2,000	9/28/2021	
WATX 2020-002(ROP)	1	\$9,500	\$0	\$0	9/28/2021	Case Terminated

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WATX 2020-003(ROP)	1	\$7,500	\$7,500	\$5,000	9/28/2021	
WATX 2020-004(TS)	2	\$10,000	\$10,000	\$7,500	9/28/2021	
WATX 2020-005(ROP)	1	\$9,500	\$9,500	\$6,750	9/28/2021	
WRL 2020-001(TS)	2	\$7,500	\$7,500	\$5,500	5/14/2021	
WRL 2020-002(HSR)	1	\$1,000	\$1,000	\$900	5/14/2021	
WRL 2020-003(HSR)	1	\$2,500	\$2,500	\$1,800	5/14/2021	
WRL 2021-001(HMT)	1	\$3,000	\$3,000	\$2,100	5/14/2021	
WSOR 2020-003(SA)	1	\$2,500	\$2,500	\$1,750	9/28/2021	
XAAL 2019-001(AR)	1	\$5,000	\$5,000	\$3,000	10/2/2020	
XAAL 2020-001(AD)	1	\$2,500	\$2,500	\$1,500	5/21/2021	
XAAL 2020-002(AD)	1	\$2,500	\$2,500	\$1,500	5/26/2021	
XALV 2019-001(AR)	1	\$5,000	\$5,000	\$3,000	10/2/2020	
XALV 2020-001(AD)	1	\$2,500	\$2,500	\$1,500	5/21/2021	
XANS 2021-001(HMT)	1	\$2,000	\$2,000	\$1,050	6/10/2021	
XANS 2021-002(HMT)	1	\$5,000	\$5,000	\$3,500	6/7/2021	
XANS 2021-003(HMT)	1	\$2,500	\$2,500	\$1,375	6/7/2021	
XAOS 2020-001(HMT)	1	\$5,000	\$5,000	\$3,400	12/1/2020	
XCAI 2020-001(TS)	4	\$4,000	\$4,000	\$3,568	6/29/2021	
XCAI 2020-002(TS)	1	\$1,000	\$1,000	\$892	6/29/2021	
XCAI 2020-003(HMT)	1	\$10,000	\$10,000	\$9,000	6/24/2021	
XCBL 2020-001(HMT)	1	\$5,000	\$5,000	\$3,600	7/13/2021	
XCCN 2020-001(RW)	2	\$5,000	\$5,000	\$3,500	7/2/2021	
XCDL 2020-001(RW)	1	\$1,500	\$1,500	\$1,500	5/6/2021	
XCDL 2021-001(HS)	1	\$1,000	\$1,000	\$1,000	9/17/2021	
XCHS 2020-001(HMT)	1	\$5,000	\$5,000	\$5,000	5/17/2021	
XCHS 2020-002(HMT)	1	\$5,000	\$5,000	\$3,750	5/17/2021	
XCHS 2020-003(HMT)	1	\$4,000	\$4,000	\$3,200	5/17/2021	
XCHS 2021-001(HMT)	1	\$5,000	\$5,000	\$4,000	5/27/2021	
XCHS 2021-002(HMT)	1	\$2,000	\$2,000	\$1,600	9/1/2021	
XCLS 2020-001(ROP)	1	\$2,000	\$2,000	\$2,000	5/28/2021	
XCLX 2020-001(HMT)	1	\$999	\$0	\$0	2/3/2021	Case Terminated
XCNT 2021-001(HMT)	1	\$10,000	\$10,000	\$7,500	9/21/2021	
XCPT 2018-002(HMT)	1	\$5,000	\$5,000	\$3,750	2/9/2021	
XCPT 2018-003(HMT)	1	\$5,000	\$5,000	\$3,750	2/9/2021	
XCTK 2019-001(RW)	1	\$3,000	\$0	\$0	10/7/2020	Case Terminated
XCTV 2021-001(HMT)	2	\$4,000	\$4,000	\$4,000	8/23/2021	
XCWC 2021-001(RW)	1	\$1,500	\$1,500	\$1,500	9/29/2021	
XDBS 2020-001(HS)	1	\$1,000	\$1,000	\$900	11/12/2020	
XDEC 2020-001(RW)	1	\$4,000	\$4,000	\$4,000	10/30/2020	
XEEL 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	6/8/2021	
XEGC 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	7/2/2021	

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XELI 2020-001(HMT)	1	\$2,000	\$2,000	\$2,000	7/2/2021	
XFEF 2021-001(HMT)	1	\$5,000	\$5,000	\$5,000	6/14/2021	
XFEF 2021-002(HMT)	1	\$2,000	\$2,000	\$2,000	6/14/2021	
XFMC 2020-001(HMT)	1	\$2,000	\$2,000	\$2,000	11/18/2020	
XFMC 2020-002(HMT)	1	\$2,000	\$2,000	\$2,000	5/28/2021	
XGAS 2019-001(HMT)	1	\$2,500	\$2,500	\$2,500	5/7/2021	
XGMJ 2019-001(HMT)	1	\$15,000	\$15,000	\$8,000	5/27/2021	
XICP 2019-001(HMT)	1	\$5,000	\$5,000	\$3,500	7/15/2021	
XICP 2020-001(HMT)	1	\$5,000	\$5,000	\$3,500	7/15/2021	
XICP 2020-002(HMT)	1	\$5,000	\$5,000	\$3,500	7/15/2021	
XING 2020-001(HMT)	1	\$5,000	\$5,000	\$3,000	5/25/2021	
XING 2020-002(HMT)	1	\$2,000	\$2,000	\$1,000	5/25/2021	
XKHM 2021-001(HMT)	1	\$10,000	\$10,000	\$10,000	8/23/2021	
XKHM 2021-002(HMT)	1	\$5,000	\$5,000	\$5,000	9/30/2021	
XMKW 2020-001(HMT)	1	\$5,000	\$5,000	\$2,500	10/8/2020	
XMKW 2020-002(HMT)	1	\$1,000	\$1,000	\$900	8/31/2021	
XMKW 2021-001(HMT)	1	\$10,000	\$10,000	\$7,600	6/24/2021	
XNVG 2020-001(HMT)	1	\$20,000	\$20,000	\$5,000	3/9/2021	
XPRS 2016-001(RW)	5	\$12,500	\$7,500	\$7,500	2/18/2021	Terminated Violations: 2
XSNA 2019-002(HMT)	1	\$2,000	\$2,000	\$2,000	7/15/2021	
XSNA 2020-002(HMT)	1	\$2,000	\$2,000	\$2,000	4/7/2021	
XSNA 2020-003(HMT)	1	\$2,000	\$2,000	\$2,000	7/15/2021	
XSNA 2020-004(HMT)	1	\$2,000	\$2,000	\$2,000	7/15/2021	
XTGS 2015-001(RSP)	1	\$1,000	\$0	\$0	7/27/2021	Case Terminated
XTGS 2016-001(ROP)	1	\$2,000	\$0	\$0	7/27/2021	Case Terminated
XTGS 2017-001(ROP)	1	\$7,500	\$7,500	\$5,250	7/27/2021	
XTGS 2018-001(AD)	1	\$2,500	\$2,500	\$1,750	7/27/2021	
XTGS 2018-002(AD)	1	\$2,500	\$2,500	\$1,750	7/27/2021	
XTGS 2018-003(EQ)	5	\$20,000	\$20,000	\$14,000	7/27/2021	
XTGS 2018-004(SA)	1	\$5,000	\$5,000	\$3,500	7/27/2021	
XTGS 2018-005(ROP)	1	\$7,500	\$7,500	\$5,250	7/27/2021	
XTGS 2018-006(SA)	1	\$2,500	\$2,500	\$1,750	7/27/2021	
XTGS 2018-007(SA)	3	\$10,000	\$10,000	\$7,000	7/27/2021	
XTGS 2018-008(ROP)	1	\$9,500	\$9,500	\$6,650	7/27/2021	
XTGS 2019-001(ROP)	1	\$7,500	\$7,500	\$5,250	7/27/2021	
XTGS 2019-002(ROP)	1	\$5,000	\$5,000	\$3,500	7/27/2021	
XTGS 2019-003(EQ)	1	\$1,000	\$1,000	\$870	7/27/2021	
XTGS 2019-004(TS)	1	\$5,000	\$5,000	\$3,500	7/27/2021	
XTGS 2019-005(ROP)	1	\$9,500	\$9,500	\$6,650	7/27/2021	
XTGS 2019-006(TS)	1	\$5,000	\$5,000	\$3,500	7/27/2021	

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XTGS 2019-007(TS)	1	\$5,000	\$5,000	\$3,500	7/27/2021	
XTGS 2019-008(TS)	1	\$5,000	\$5,000	\$3,500	7/27/2021	
XTGS 2020-001(AD)	1	\$2,500	\$2,500	\$1,750	7/27/2021	
XTGS 2020-002(AD)	1	\$7,500	\$7,500	\$5,250	7/27/2021	
XTGS 2020-003(AD)	1	\$2,500	\$2,500	\$1,750	7/27/2021	
XTGS 2020-004(AD)	1	\$2,500	\$2,500	\$1,750	7/27/2021	
XTGS 2020-005(AD)	1	\$2,500	\$2,500	\$1,750	7/27/2021	
XTGS 2020-006(AD)	1	\$2,500	\$2,500	\$1,750	7/27/2021	
XTGS 2020-007(AD)	1	\$2,500	\$2,500	\$1,750	7/27/2021	
XTGS 2020-008(AD)	1	\$15,000	\$15,000	\$10,500	7/27/2021	
XTGS 2020-009(AD)	1	\$2,500	\$2,500	\$1,750	7/27/2021	
XTGS 2020-010(AD)	1	\$2,500	\$2,500	\$1,750	7/27/2021	
XTGS 2020-011(AD)	1	\$2,500	\$2,500	\$1,750	7/27/2021	
XTGS 2020-012(AD)	1	\$2,500	\$2,500	\$1,750	7/27/2021	
XTGS 2020-013(AD)	1	\$2,500	\$2,500	\$1,750	7/27/2021	
XTGS 2020-014(AD)	1	\$2,500	\$2,500	\$1,750	7/27/2021	
XTGS 2020-016(AD)	1	\$5,000	\$5,000	\$3,500	7/27/2021	
XTGS 2020-017(AD)	1	\$5,000	\$5,000	\$3,500	7/27/2021	
XTGS 2020-018(SA)	1	\$5,000	\$5,000	\$3,500	7/27/2021	
XTGS 2020-019(LI)	1	\$2,500	\$2,500	\$1,750	7/27/2021	
XTGS 2020-020(LI)	1	\$2,500	\$2,500	\$1,750	7/27/2021	
XTGS 2021-001(LI)	1	\$2,500	\$2,500	\$1,750	7/27/2021	
XTGS 2021-002(HMT)	1	\$10,000	\$10,000	\$7,000	7/27/2021	
XTNS 2020-001(RW)	1	\$2,000	\$2,000	\$2,000	3/25/2021	
XTQU 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	7/14/2021	
XWAS 2020-001(GC)	1	\$2,500	\$2,500	\$1,900	1/22/2021	
XWCD 2020-001(HMT)	1	\$5,000	\$5,000	\$3,250	10/29/2020	
XWCD 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	5/28/2021	
XWEM 2020-001(HMT)	1	\$2,000	\$2,000	\$1,700	1/25/2021	
XZAC 2020-001(RW)	1	\$1,500	\$1,500	\$1,500	6/10/2021	
XZTH 2020-001(HMT)	1	\$2,000	\$2,000	\$2,000	2/11/2021	
YSRR 2021-001(GC)	1	\$2,500	\$2,500	\$1,000	8/24/2021	
YSRR 2021-002(GC)	1	\$2,500	\$2,500	\$1,000	8/24/2021	
YSRR 2021-003(GC)	1	\$2,500	\$2,500	\$1,000	8/24/2021	
YSRR 2021-004(TS)	1	\$5,000	\$5,000	\$2,000	8/24/2021	
ZAAO 2021-001(HMT)	1	\$5,000	\$5,000	\$3,700	3/22/2021	
ZAAO 2021-002(HMT)	1	\$5,000	\$5,000	\$3,600	2/16/2021	
ZABD 2020-001(HMT)	1	\$30,000	\$30,000	\$24,600	1/25/2021	
ZACH 2020-001(HMT)	1	\$2,000	\$2,000	\$1,300	12/1/2020	
ZACH 2021-001(HMT)	1	\$10,000	\$10,000	\$7,800	5/17/2021	
ZACH 2021-002(HMT)	1	\$5,000	\$5,000	\$3,500	6/21/2021	

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ZACR 2020-002(HMT)	1	\$5,000	\$5,000	\$3,400	4/19/2021	
ZACR 2021-001(HMT)	1	\$5,000	\$5,000	\$3,000	2/15/2021	
ZACR 2021-002(HMT)	1	\$2,000	\$2,000	\$1,400	6/7/2021	
ZACR 2021-003(HMT)	1	\$10,000	\$10,000	\$7,100	7/7/2021	
ZADQ 2020-001(HMT)	1	\$5,000	\$5,000	\$5,000	3/25/2021	
ZADQ 2020-002(HMT)	1	\$5,000	\$5,000	\$5,000	3/25/2021	
ZADQ 2020-003(HMT)	1	\$5,000	\$5,000	\$5,000	3/25/2021	
ZADT 2020-001(HMT)	1	\$5,000	\$5,000	\$3,500	8/10/2021	
ZAFQ 2020-001(HMT)	1	\$20,000	\$20,000	\$14,600	4/26/2021	
ZAFQ 2020-002(HMT)	1	\$2,000	\$2,000	\$1,200	4/26/2021	
ZAFQ 2020-003(HMT)	2	\$10,000	\$10,000	\$7,000	4/26/2021	
ZAFQ 2020-004(HMT)	2	\$9,500	\$9,500	\$6,460	4/26/2021	
ZAG 2020-001(HMT)	1	\$5,000	\$5,000	\$3,600	6/7/2021	
ZAG 2021-001(HMT)	1	\$2,000	\$2,000	\$1,200	8/11/2021	
ZAGT 2020-001(HMT)	1	\$2,500	\$2,500	\$1,750	4/18/2021	
ZAGT 2020-002(HMT)	1	\$5,000	\$5,000	\$4,000	4/18/2021	
ZAGT 2020-003(HMT)	1	\$5,000	\$5,000	\$4,000	4/18/2021	
ZAGT 2021-002(HMT)	1	\$5,000	\$5,000	\$5,000	7/27/2021	
ZAGT 2021-003(HMT)	1	\$5,000	\$0	\$0	9/3/2021	Case Terminated
ZAIN 2021-001(HMT)	1	\$2,000	\$2,000	\$1,300	6/24/2021	
ZAIZ 2020-001(HMT)	3	\$13,000	\$13,000	\$993	6/9/2021	
ZALC 2020-001(HMT)	1	\$10,000	\$10,000	\$8,600	4/19/2021	
ZALC 2021-001(HMT)	1	\$2,000	\$2,000	\$1,200	9/17/2021	
ZALN 2020-001(HMT)	1	\$2,000	\$2,000	\$2,000	6/21/2021	
ZALN 2021-001(HMT)	1	\$10,000	\$10,000	\$10,000	6/21/2021	
ZALN 2021-002(HMT)	1	\$10,000	\$10,000	\$10,000	6/21/2021	
ZALQ 2020-001(HMT)	1	\$10,000	\$10,000	\$10,000	7/27/2021	
ZALRC 2021-001(HMT)	2	\$25,000	\$25,000	\$22,000	6/2/2021	
ZAMC 2020-001(HMT)	1	\$5,000	\$5,000	\$3,500	11/2/2020	
ZAMU 2020-001(HMT)	1	\$2,000	\$2,000	\$1,360	4/23/2021	
ZAND 2021-001(HMT)	1	\$5,000	\$5,000	\$3,500	9/14/2021	
ZANN 2020-001(HMT)	1	\$2,000	\$2,000	\$1,200	11/3/2020	
ZANS 2020-001(HMT)	1	\$5,000	\$5,000	\$4,100	1/14/2021	
ZANS 2020-002(HMT)	1	\$2,000	\$2,000	\$2,000	1/14/2021	
ZANX 2019-002(HMT)	1	\$4,000	\$4,000	\$4,000	2/23/2021	
ZAO 2020-001(HMT)	1	\$5,000	\$0	\$0	1/10/2021	Case Terminated
ZAPCH 2020-001(HMT)	1	\$2,000	\$2,000	\$1,300	3/1/2021	
ZAPL 2020-001(HMT)	1	\$7,500	\$7,500	\$5,250	3/10/2021	
ZAPM 2020-001(HMT)	1	\$5,000	\$5,000	\$3,500	10/7/2020	
ZAPM 2020-002(HMT)	1	\$10,000	\$10,000	\$8,100	10/6/2020	
ZAPM 2020-003(HMT)	1	\$5,000	\$5,000	\$3,600	10/6/2020	

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ZAPM 2021-001(HMT)	2	\$7,000	\$7,000	\$5,180	4/28/2021	
ZAPM 2021-002(HMT)	2	\$6,000	\$6,000	\$4,200	4/28/2021	
ZARGR 2021-001(HMT)	1	\$5,000	\$5,000	\$3,500	9/16/2021	
ZARJ 2020-001(HMT)	1	\$8,000	\$8,000	\$5,600	6/1/2021	
ZARK 2021-001(HMT)	1	\$2,000	\$2,000	\$1,350	3/16/2021	
ZARK 2021-002(HMT)	1	\$5,000	\$5,000	\$3,350	5/17/2021	
ZARK 2021-003(HMT)	1	\$15,000	\$15,000	\$10,650	7/13/2021	
ZASY 2020-001(HMT)	1	\$5,000	\$5,000	\$5,000	1/22/2021	
ZASY 2020-002(HMT)	1	\$5,000	\$5,000	\$5,000	1/23/2021	
ZATP 2021-001(HMT)	1	\$6,000	\$6,000	\$3,780	5/3/2021	
ZATP 2021-002(HMT)	1	\$2,000	\$2,000	\$1,360	5/3/2021	
ZAUP 2020-003(HMT)	1	\$5,000	\$5,000	\$5,000	2/25/2021	
ZAUX 2020-002(HMT)	1	\$2,000	\$2,000	\$2,000	3/21/2021	
ZAUX 2020-003(HMT)	1	\$5,000	\$5,000	\$5,000	3/21/2021	
ZAUX 2020-004(HMT)	1	\$5,000	\$5,000	\$5,000	3/21/2021	
ZAVX 2020-001(HMT)	1	\$10,000	\$10,000	\$7,800	3/22/2021	
ZAVX 2021-001(HMT)	1	\$5,000	\$5,000	\$3,500	7/2/2021	
ZAVX 2021-002(HMT)	1	\$5,000	\$5,000	\$3,500	7/2/2021	
ZAXI 2020-002(HMT)	1	\$5,000	\$5,000	\$3,200	1/29/2021	
ZAXI 2020-003(HMT)	1	\$5,000	\$5,000	\$3,000	1/26/2021	
ZAXI 2021-001(HMT)	1	\$5,000	\$5,000	\$3,400	3/10/2021	
ZAXI 2021-002(HMT)	1	\$5,000	\$5,000	\$3,400	4/22/2021	
ZAZG 2020-001(HMT)	1	\$2,000	\$2,000	\$1,400	6/7/2021	
ZBPN 2019-001(HMT)	1	\$1,000	\$1,000	\$1,000	2/2/2021	
ZBPN 2019-002(HMT)	1	\$2,000	\$2,000	\$2,000	1/7/2021	
ZCACT 2021-001(HMT)	1	\$5,000	\$5,000	\$5,000	5/28/2021	
ZCAO 2020-001(HMT)	1	\$2,000	\$2,000	\$2,000	6/25/2021	
ZCBK 2021-001(HMT)	1	\$5,000	\$5,000	\$3,250	7/12/2021	
ZCBL 2019-001(HMT)	1	\$1,000	\$1,000	\$800	3/19/2021	
ZCCF 2020-001(HMT)	1	\$5,000	\$5,000	\$5,000	6/24/2021	
ZCCF 2020-002(HMT)	1	\$5,000	\$5,000	\$5,000	6/24/2021	
ZCCF 2020-003(HMT)	1	\$5,000	\$5,000	\$5,000	6/24/2021	
ZCCF 2020-004(HMT)	1	\$2,000	\$2,000	\$2,000	8/11/2021	
ZCCF 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	8/11/2021	
ZCCF 2021-002(HMT)	1	\$5,000	\$5,000	\$5,000	8/11/2021	
ZCCM 2021-001(HMT)	1	\$10,000	\$10,000	\$10,000	8/24/2021	
ZCCW 2020-001(HMT)	1	\$4,000	\$4,000	\$4,000	7/7/2021	
ZCDI 2021-001(HMT)	1	\$15,000	\$15,000	\$11,500	4/16/2021	
ZCDY 2020-001(HMT)	1	\$2,000	\$2,000	\$2,000	5/6/2021	
ZCED 2020-001(HMT)	1	\$5,000	\$5,000	\$4,000	7/13/2021	
ZCED 2020-002(HMT)	1	\$2,000	\$2,000	\$1,500	7/13/2021	

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ZCEE 2021-001(HMT)	1	\$2,500	\$2,500	\$2,500	8/11/2021	
ZCEF 2020-001(HMT)	1	\$5,000	\$0	\$0	4/27/2021	Case Terminated
ZCEF 2020-002(HMT)	1	\$5,000	\$5,000	\$4,000	4/27/2021	
ZCEF 2020-003(HMT)	1	\$10,000	\$10,000	\$8,250	4/27/2021	
ZCEF 2020-004(HMT)	1	\$5,000	\$5,000	\$4,000	4/27/2021	
ZCEF 2020-005(HMT)	1	\$10,000	\$10,000	\$8,000	4/27/2021	
ZCELA 2020-001(HMT)	1	\$5,000	\$5,000	\$5,000	3/19/2021	
ZCELA 2021-001(HMT)	1	\$10,000	\$10,000	\$10,000	4/28/2021	
ZCFC 2017-002(HMT)	1	\$40,000	\$40,000	\$28,000	6/28/2021	
ZCFC 2019-001(HMT)	6	\$150,500	\$55,000	\$45,000	7/14/2021	Terminated Violations: 3 Partially Terminated Violations: 6
ZCFC 2019-002(HMT)	1	\$5,000	\$5,000	\$3,500	7/9/2021	
ZCFC 2020-001(HMT)	1	\$5,000	\$5,000	\$4,000	7/9/2021	
ZCFC 2020-002(HMT)	1	\$6,000	\$6,000	\$4,800	7/9/2021	
ZCFC 2020-003(HMT)	1	\$2,000	\$2,000	\$1,600	7/9/2021	
ZCFC 2020-004(HMT)	1	\$10,000	\$10,000	\$7,000	7/9/2021	
ZCFC 2020-005(HMT)	1	\$999	\$999	\$800	7/9/2021	
ZCFC 2020-006(HMT)	1	\$5,000	\$5,000	\$4,000	7/9/2021	
ZCFC 2020-007(HMT)	1	\$10,000	\$10,000	\$8,000	7/9/2021	
ZCFX 2018-001(HMT)	1	\$2,000	\$2,000	\$2,000	8/9/2021	
ZCFX 2018-002(HMT)	1	\$2,000	\$2,000	\$2,000	8/9/2021	
ZCFX 2019-001(HMT)	1	\$2,000	\$2,000	\$2,000	8/9/2021	
ZCFX 2019-002(HMT)	1	\$2,000	\$2,000	\$2,000	8/9/2021	
ZCFX 2019-003(HMT)	1	\$2,000	\$2,000	\$2,000	8/9/2021	
ZCFX 2020-001(HMT)	1	\$2,000	\$2,000	\$2,000	8/9/2021	
ZCGR 2020-001(HMT)	1	\$3,000	\$3,000	\$2,250	9/21/2021	
ZCHEV 2020-001(HMT)	1	\$7,500	\$7,500	\$7,500	4/28/2021	
ZCHEV 2020-002(HMT)	1	\$10,000	\$10,000	\$8,000	4/5/2021	
ZCHF 2019-001(HMT)	1	\$4,000	\$4,000	\$4,000	6/25/2021	
ZCHF 2019-002(HMT)	1	\$4,000	\$4,000	\$4,000	6/25/2021	
ZCHZ 2019-001(HMT)	1	\$2,000	\$0	\$0	9/14/2021	Case Terminated
ZCIZ 2019-001(HMT)	2	\$10,000	\$10,000	\$7,000	4/5/2021	
ZCKP 2018-001(HMT)	1	\$5,000	\$5,000	\$5,000	3/19/2021	
ZCLCI 2018-001(HMT)	1	\$5,000	\$4,000	\$4,000	9/3/2021	Partially Terminated Violations: 2
ZCLQ 2019-001(HMT)	1	\$20,000	\$20,000	\$15,000	3/25/2021	
ZCLS 2019-001(HMT)	1	\$5,000	\$5,000	\$3,750	3/4/2021	
ZCLS 2020-001(HMT)	1	\$2,000	\$2,000	\$2,000	7/14/2021	

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ZCLX 2020-001(HMT)	3	\$6,000	\$6,000	\$4,500	3/19/2021	
ZCLX 2021-002(HMT)	1	\$2,000	\$2,000	\$1,600	7/7/2021	
ZCLX 2021-003(HMT)	1	\$10,000	\$10,000	\$10,000	9/2/2021	
ZCM2 2020-001(HMT)	1	\$2,000	\$2,000	\$2,000	5/26/2021	
ZCM2 2020-002(HMT)	1	\$2,000	\$2,000	\$2,000	5/26/2021	
ZCM2 2020-003(HMT)	1	\$2,000	\$2,000	\$2,000	5/26/2021	
ZCMA 2019-001(HMT)	1	\$2,500	\$2,500	\$2,500	8/5/2021	
ZCMA 2020-001(HMT)	1	\$7,000	\$7,000	\$7,000	8/5/2021	
ZCMA 2020-002(HMT)	1	\$2,500	\$2,500	\$2,500	8/5/2021	
ZCMB 2020-001(HMT)	1	\$10,000	\$10,000	\$10,000	3/19/2021	
ZCME 2020-001(HMT)	1	\$2,000	\$2,000	\$2,000	8/16/2021	
ZCME 2021-001(HMT)	1	\$5,000	\$5,000	\$5,000	8/18/2021	
ZCNC 2020-001(HMT)	1	\$5,000	\$5,000	\$3,500	6/25/2021	
ZCNL 2020-001(HMT)	1	\$2,000	\$2,000	\$2,000	4/27/2021	
ZCNL 2020-002(HMT)	1	\$2,000	\$2,000	\$2,000	4/27/2021	
ZCNL 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	4/28/2021	
ZCONL 2016-001(HMT)	1	\$5,000	\$2,000	\$2,000	9/13/2021	Partially Terminated Violations: 1
ZCONL 2016-002(HMT)	1	\$8,000	\$8,000	\$5,750	10/7/2020	
ZCONL 2020-001(HMT)	1	\$4,000	\$4,000	\$4,000	9/13/2021	
ZCONL 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	9/13/2021	
ZCOV 2020-001(HMT)	1	\$5,000	\$5,000	\$4,000	10/16/2020	
ZCOX 2021-001(HMT)	1	\$5,000	\$5,000	\$5,000	4/27/2021	
ZCOY 2020-001(HMT)	1	\$2,000	\$2,000	\$1,700	4/14/2021	
ZCOY 2020-002(HMT)	1	\$2,000	\$2,000	\$1,700	4/14/2021	
ZCPCL 2021-001(HMT)	1	\$5,000	\$5,000	\$5,000	9/27/2021	
ZCPR 2020-001(HMT)	1	\$5,000	\$5,000	\$4,000	4/16/2021	
ZCPR 2020-002(HMT)	2	\$11,000	\$11,000	\$8,000	4/16/2021	
ZCRB 2016-001(HMT)	1	\$4,000	\$4,000	\$3,400	10/21/2020	
ZCRB 2016-002(HMT)	1	\$2,000	\$2,000	\$1,700	10/21/2020	
ZCRB 2017-001(HMT)	2	\$32,000	\$32,000	\$25,600	10/21/2020	
ZCRB 2017-002(HMT)	2	\$14,000	\$14,000	\$11,200	10/21/2020	
ZCRB 2017-003(HMT)	2	\$9,000	\$9,000	\$8,100	10/21/2020	
ZCRB 2017-004(HMT)	1	\$2,000	\$2,000	\$2,000	10/21/2020	
ZCRB 2019-001(HMT)	2	\$19,000	\$19,000	\$19,000	10/21/2020	
ZCRB 2019-002(HMT)	1	\$10,000	\$10,000	\$9,000	10/21/2020	
ZCRB 2020-001(HMT)	1	\$2,000	\$2,000	\$1,800	7/14/2021	
ZCRB 2020-002(HMT)	1	\$2,000	\$2,000	\$1,800	7/14/2021	
ZCRS 2020-001(HMT)	1	\$2,000	\$2,000	\$2,000	3/11/2021	
ZCRS 2020-002(HMT)	1	\$2,000	\$2,000	\$2,000	3/11/2021	

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ZCRY 2019-001(HMT)	3	\$70,000	\$70,000	\$50,000	2/2/2021	
ZCRY 2020-001(HMT)	1	\$2,000	\$2,000	\$1,700	5/17/2021	
ZCRY 2021-001(HMT)	1	\$5,000	\$5,000	\$4,250	5/17/2021	
ZCRY 2021-002(HMT)	1	\$2,500	\$2,500	\$1,500	9/3/2021	
ZCRZ 2020-001(HMT)	1	\$10,000	\$10,000	\$10,000	11/10/2020	
ZCRZ 2020-002(HMT)	1	\$5,000	\$5,000	\$5,000	4/28/2021	
ZCSI 2020-001(HMT)	4	\$17,500	\$17,500	\$12,000	6/22/2021	
ZCSK 2021-001(HMT)	1	\$5,000	\$5,000	\$5,000	8/30/2021	
ZCT 2021-001(HMT)	1	\$10,000	\$10,000	\$10,000	4/28/2021	
ZCTO 2019-001(HMT)	1	\$10,000	\$10,000	\$10,000	5/26/2021	
ZCTO 2020-001(HMT)	2	\$9,000	\$9,000	\$8,000	5/26/2021	
ZCTO 2021-001(HMT)	1	\$15,000	\$15,000	\$12,000	5/26/2021	
ZCUC 2020-001(HMT)	1	\$2,500	\$2,500	\$2,500	4/28/2021	
ZCUI 2021-001(HMT)	1	\$5,000	\$5,000	\$5,000	8/9/2021	
ZCXF 2020-001(HMT)	1	\$7,500	\$7,500	\$7,000	9/8/2021	
ZCYL 2020-001(HMT)	1	\$5,000	\$5,000	\$5,000	5/26/2021	
ZCZX 2020-001(HMT)	1	\$5,000	\$5,000	\$3,750	3/11/2021	
ZDAC 2020-001(HMT)	1	\$5,000	\$5,000	\$5,000	5/20/2021	
ZDAK 2020-001(HMT)	1	\$6,000	\$2,000	\$2,000	10/30/2020	Partially Terminated Violations: 1
ZDAK 2020-002(HMT)	1	\$2,000	\$2,000	\$2,000	2/25/2021	
ZDANT 2020-001(HMT)	1	\$5,000	\$5,000	\$5,000	5/20/2021	
ZDBR 2021-001(HMT)	2	\$6,000	\$6,000	\$3,300	6/10/2021	
ZDCM 2021-001(HMT)	1	\$5,000	\$5,000	\$4,000	5/27/2021	
ZDCM 2021-002(HMT)	1	\$5,000	\$5,000	\$4,000	5/27/2021	
ZDCU 2020-003(HMT)	1	\$5,000	\$5,000	\$5,000	6/7/2021	
ZDCU 2020-004(HMT)	1	\$5,000	\$5,000	\$4,000	5/20/2021	
ZDCU 2020-005(HMT)	1	\$5,000	\$2,000	\$2,000	5/27/2021	Partially Terminated Violations: 1
ZDCU 2021-002(HMT)	1	\$5,000	\$5,000	\$4,000	7/1/2021	
ZDCUC 2021-001(HMT)	1	\$2,000	\$2,000	\$1,600	9/28/2021	
ZDET 2021-001(HMT)	1	\$10,000	\$10,000	\$8,000	8/18/2021	
ZDGZ 2020-002(HMT)	1	\$2,000	\$2,000	\$2,000	4/29/2021	
ZDKI 2020-001(HMT)	1	\$2,000	\$2,000	\$2,000	3/19/2021	
ZDPM 2021-001(HMT)	1	\$10,000	\$10,000	\$8,500	9/20/2021	
ZDPM 2021-002(HMT)	1	\$7,500	\$7,500	\$6,000	9/20/2021	
ZDSQ 2021-001(HMT)	1	\$20,000	\$20,000	\$18,000	9/2/2021	
ZDUP 2021-001(HMT)	1	\$5,000	\$0	\$0	7/15/2021	Case Terminated
ZDYI 2020-001(HMT)	1	\$8,000	\$8,000	\$8,000	2/25/2021	
ZDYI 2020-002(HMT)	1	\$15,000	\$15,000	\$15,000	5/17/2021	

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ZDYI 2020-003(HMT)	1	\$5,000	\$5,000	\$5,000	5/17/2021	
ZDYI 2021-001(HMT)	1	\$5,000	\$5,000	\$5,000	6/9/2021	
ZDYI 2021-002(HMT)	1	\$5,000	\$5,000	\$5,000	7/26/2021	
ZEACH 2020-006(HMT)	1	\$5,000	\$5,000	\$3,500	2/27/2021	
ZEACH 2021-001(HMT)	1	\$10,000	\$10,000	\$7,900	4/19/2021	
ZEACH 2021-002(HMT)	1	\$10,000	\$10,000	\$8,100	9/13/2021	
ZEACH 2021-003(HMT)	1	\$2,000	\$2,000	\$1,400	9/13/2021	
ZEDC 2020-001(HMT)	1	\$4,000	\$4,000	\$2,800	6/9/2021	
ZEDC 2021-001(HMT)	1	\$2,000	\$2,000	\$1,400	6/9/2021	
ZEEN 2020-001(HMT)	1	\$2,000	\$2,000	\$1,400	6/16/2021	
ZELEM 2020-001(HMT)	2	\$10,000	\$10,000	\$10,000	5/5/2021	
ZELEM 2021-001(HMT)	1	\$5,000	\$5,000	\$5,000	5/5/2021	
ZEMCC 2020-001(HMT)	1	\$5,000	\$5,000	\$3,500	4/19/2021	
ZEMCC 2021-001(HMT)	1	\$10,000	\$10,000	\$7,700	4/19/2021	
ZEMER 2020-001(HMT)	1	\$7,500	\$7,500	\$3,750	4/27/2021	
ZEMER 2020-002(HMT)	1	\$10,000	\$10,000	\$7,900	4/27/2021	
ZEMER 2021-001(HMT)	1	\$10,000	\$10,000	\$7,325	4/27/2021	
ZEMR 2020-001(HMT)	1	\$10,000	\$10,000	\$10,000	6/24/2021	
ZEMR 2021-001(HMT)	1	\$5,000	\$5,000	\$5,000	6/24/2021	
ZEMR 2021-002(HMT)	1	\$5,000	\$5,000	\$5,000	6/24/2021	
ZEMR 2021-003(HMT)	1	\$3,000	\$3,000	\$3,000	7/27/2021	
ZENK 2021-001(HMT)	1	\$5,000	\$5,000	\$5,000	6/21/2021	
ZEOB 2020-003(HMT)	2	\$7,000	\$7,000	\$5,100	3/18/2021	
ZEOB 2021-001(HMT)	2	\$4,000	\$4,000	\$2,800	4/19/2021	
ZEOB 2021-002(HMT)	1	\$2,500	\$2,500	\$1,750	4/29/2021	
ZEOB 2021-003(HMT)	1	\$2,000	\$2,000	\$1,400	8/11/2021	
ZEOB 2021-004(HMT)	1	\$2,000	\$2,000	\$1,440	8/11/2021	
ZEPC 2021-001(HMT)	2	\$5,000	\$5,000	\$3,500	7/27/2021	
ZEPZ 2020-002(HMT)	1	\$10,000	\$10,000	\$8,500	2/8/2021	
ZEPZ 2020-003(HMT)	1	\$5,000	\$5,000	\$3,500	2/8/2021	
ZEPZ 2020-004(HMT)	1	\$5,000	\$5,000	\$4,100	2/18/2021	
ZEPZ 2020-005(HMT)	1	\$10,000	\$10,000	\$8,500	2/8/2021	
ZEQU 2020-002(HMT)	2	\$5,000	\$5,000	\$3,500	1/26/2021	
ZEQU 2020-003(HMT)	2	\$5,000	\$0	\$0	1/21/2021	Case Terminated
ZESR 2020-001(HMT)	1	\$10,000	\$10,000	\$7,600	3/18/2021	
ZESR 2020-002(HMT)	1	\$10,000	\$10,000	\$7,600	3/18/2021	
ZESR 2020-003(HMT)	1	\$10,000	\$10,000	\$7,600	3/18/2021	
ZESR 2021-001(HMT)	1	\$5,000	\$5,000	\$3,500	7/7/2021	
ZETP 2020-001(HMT)	1	\$2,000	\$2,000	\$2,000	8/9/2021	
ZEVD 2021-001(HMT)	1	\$2,000	\$2,000	\$1,400	5/17/2021	
ZEVN 2020-001(HMT)	1	\$7,500	\$0	\$0	2/2/2021	Case Terminated

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ZEWV 2020-001(HMT)	1	\$2,000	\$2,000	\$2,000	12/17/2020	
ZEWV 2021-001(HMT)	1	\$10,000	\$10,000	\$7,500	6/14/2021	
ZEXM 2021-001(HMT)	1	\$2,000	\$2,000	\$1,360	5/3/2021	
ZFGC 2020-001(HMT)	1	\$5,000	\$5,000	\$4,000	10/5/2020	
ZFHR 2004-001(HMT)	1	\$10,000	\$0	\$0	3/10/2021	Case Terminated
ZFHR 2020-003(HMT)	1	\$5,000	\$5,000	\$5,000	11/9/2020	
ZFHR 2020-004(HMT)	1	\$5,000	\$5,000	\$5,000	11/9/2020	
ZFHR 2020-005(HMT)	1	\$10,000	\$10,000	\$10,000	11/9/2020	
ZFHR 2020-006(HMT)	1	\$5,000	\$5,000	\$5,000	11/9/2020	
ZFHR 2020-007(HMT)	1	\$5,000	\$5,000	\$5,000	11/9/2020	
ZFHR 2021-002(HMT)	1	\$10,000	\$10,000	\$10,000	8/2/2021	
ZFIT 2020-001(HMT)	1	\$2,000	\$2,000	\$2,000	10/26/2020	
ZFIT 2020-002(HMT)	1	\$2,000	\$2,000	\$2,000	10/26/2020	
ZFIZ 2020-001(HMT)	1	\$2,000	\$2,000	\$2,000	12/10/2020	
ZFLS 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	9/1/2021	
ZFPY 2021-001(HMT)	2	\$6,000	\$6,000	\$6,000	6/14/2021	
ZFRQ 2021-001(HMT)	1	\$5,000	\$5,000	\$4,000	9/29/2021	
ZFUT 2020-001(HMT)	1	\$999	\$2,000	\$2,000	2/5/2021	
ZGBL 2019-002(HMT)	1	\$5,000	\$5,000	\$3,500	4/29/2021	
ZGBL 2019-003(HMT)	1	\$5,000	\$5,000	\$3,500	4/29/2021	
ZGCL 2019-001(HMT)	1	\$5,000	\$5,000	\$3,000	5/25/2021	
ZGCL 2019-002(HMT)	1	\$10,000	\$10,000	\$7,250	5/26/2021	
ZGCL 2020-001(HMT)	1	\$10,000	\$10,000	\$6,000	5/25/2021	
ZGEG 2019-001(HMT)	1	\$30,000	\$30,000	\$30,000	5/21/2021	
ZGEG 2020-001(HMT)	1	\$5,000	\$5,000	\$5,000	5/21/2021	
ZGEPA 2020-001(HMT)	1	\$5,000	\$5,000	\$3,000	5/25/2021	
ZGEPA 2020-004(HMT)	1	\$5,000	\$5,000	\$5,000	5/25/2021	
ZGFL 2019-001(HMT)	1	\$5,000	\$5,000	\$3,750	4/20/2021	
ZGIL 2019-003(HMT)	1	\$5,000	\$5,000	\$3,800	5/7/2021	
ZGIL 2020-001(HMT)	1	\$5,000	\$5,000	\$3,800	5/6/2021	
ZGLO 2018-001(HMT)	1	\$10,000	\$10,000	\$7,000	4/21/2021	
ZGPF 2020-002(HMT)	1	\$5,000	\$5,000	\$5,000	4/5/2021	
ZGPG 2020-001(HMT)	1	\$5,000	\$5,000	\$3,500	5/7/2021	
ZGPX 2019-001(HMT)	1	\$7,500	\$7,500	\$7,500	5/7/2021	
ZGPZ 2019-001(HMT)	1	\$2,000	\$2,000	\$1,200	3/15/2021	
ZGSA 2020-001(HMT)	1	\$5,000	\$5,000	\$5,000	2/11/2021	
ZGSA 2021-001(HMT)	1	\$5,000	\$5,000	\$5,000	2/11/2021	
ZGSA 2021-002(HMT)	1	\$10,000	\$10,000	\$10,000	3/5/2021	
ZGSZ 2019-004(HMT)	1	\$5,000	\$5,000	\$5,000	4/23/2021	
ZGSZ 2019-008(HMT)	2	\$10,000	\$10,000	\$10,000	4/23/2021	
ZGSZ 2019-009(HMT)	1	\$10,000	\$10,000	\$10,000	4/23/2021	

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ZGSZ 2020-001(HMT)	1	\$5,000	\$5,000	\$5,000	4/23/2021	
ZGXA 2019-001(HMT)	1	\$10,000	\$10,000	\$6,500	5/27/2021	
ZGXA 2019-002(HMT)	1	\$7,500	\$7,500	\$4,900	5/27/2021	
ZGXA 2020-001(HMT)	1	\$5,000	\$5,000	\$3,350	5/27/2021	
ZIBS 2017-001(HMT)	1	\$2,000	\$2,000	\$1,500	5/26/2021	
ZIBS 2018-001(HMT)	2	\$7,000	\$7,000	\$5,250	5/26/2021	
ZICP 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	8/12/2021	
ZICP 2021-002(HMT)	1	\$5,000	\$5,000	\$5,000	8/12/2021	
ZIES 2021-001(HMT)	1	\$5,000	\$5,000	\$5,000	9/27/2021	
ZIES 2021-002(HMT)	1	\$5,000	\$5,000	\$5,000	9/27/2021	
ZIFF 2020-001(HMT)	1	\$2,000	\$2,000	\$2,000	4/20/2021	
ZIFF 2021-001(HMT)	1	\$5,000	\$5,000	\$5,000	4/20/2021	
ZIFT 2020-001(HMT)	1	\$2,000	\$2,000	\$2,000	9/1/2021	
ZIJT 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	7/2/2021	
ZIMA 2020-001(HMT)	1	\$2,000	\$2,000	\$1,200	6/1/2021	
ZIMA 2020-002(HMT)	1	\$2,000	\$2,000	\$1,200	6/1/2021	
ZIMA 2020-003(HMT)	1	\$2,000	\$2,000	\$1,200	8/18/2021	
ZIMA 2021-001(HMT)	1	\$2,000	\$2,000	\$1,200	8/18/2021	
ZIMO 2020-001(HMT)	1	\$10,000	\$10,000	\$8,200	10/19/2020	
ZIMO 2021-001(HMT)	1	\$5,000	\$5,000	\$5,000	8/24/2021	
ZIMO 2021-002(HMT)	1	\$10,000	\$10,000	\$10,000	4/7/2021	
ZIMO 2021-003(HMT)	1	\$5,000	\$5,000	\$5,000	7/2/2021	
ZINS 2019-005(EQ)	1	\$2,500	\$2,500	\$1,375	6/29/2021	
ZINS 2019-006(CC)	1	\$2,500	\$2,500	\$1,375	6/29/2021	
ZINS 2019-008(EQ)	1	\$2,500	\$2,500	\$1,375	6/29/2021	
ZINS 2019-009(ROP)	1	\$9,500	\$9,500	\$5,225	6/29/2021	
ZINS 2020-001(AD)	1	\$2,500	\$2,500	\$1,375	6/29/2021	
ZINS 2020-002(AD)	1	\$2,500	\$2,500	\$1,375	6/29/2021	
ZINS 2020-003(AD)	1	\$2,500	\$2,500	\$1,375	6/29/2021	
ZINS 2020-004(AD)	1	\$2,500	\$2,500	\$1,375	6/29/2021	
ZINTT 2021-001(HMT)	1	\$2,000	\$2,000	\$1,600	9/28/2021	
ZIOD 2020-001(HMT)	1	\$6,000	\$6,000	\$6,000	10/27/2020	
ZIOD 2020-002(HMT)	2	\$9,000	\$9,000	\$9,000	10/19/2020	
ZIOD 2020-003(HMT)	1	\$5,000	\$5,000	\$5,000	10/27/2020	
ZIOD 2020-004(HMT)	1	\$15,000	\$15,000	\$11,100	10/19/2020	
ZIOD 2020-005(HMT)	1	\$5,000	\$5,000	\$3,700	10/19/2020	
ZIP 2020-005(HMT)	1	\$5,000	\$5,000	\$3,750	6/8/2021	
ZIP 2020-006(HMT)	1	\$2,000	\$2,000	\$1,500	6/8/2021	
ZIP 2020-007(HMT)	1	\$4,000	\$4,000	\$3,000	6/8/2021	
ZIP 2020-008(HMT)	1	\$2,000	\$2,000	\$1,500	6/8/2021	
ZIP 2020-009(HMT)	1	\$5,000	\$5,000	\$3,750	8/23/2021	

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ZIP 2020-010(HMT)	1	\$2,000	\$2,000	\$1,500	8/30/2021	
ZIP 2021-001(HMT)	1	\$2,000	\$2,000	\$1,500	8/30/2021	
ZIP 2021-002(HMT)	2	\$4,000	\$4,000	\$3,000	8/30/2021	
ZIP 2021-003(HMT)	2	\$4,000	\$4,000	\$3,200	8/23/2021	
ZIP 2021-004(HMT)	1	\$2,000	\$2,000	\$1,500	8/30/2021	
ZIP 2021-005(HMT)	1	\$2,000	\$2,000	\$1,500	8/30/2021	
ZIP 2021-006(HMT)	1	\$2,000	\$2,000	\$1,500	8/30/2021	
ZIP 2021-007(HMT)	2	\$14,000	\$14,000	\$10,500	8/30/2021	
ZIP 2021-008(HMT)	1	\$5,000	\$5,000	\$3,750	8/30/2021	
ZIP 2021-009(HMT)	1	\$2,000	\$2,000	\$1,500	8/30/2021	
ZIP 2021-010(HMT)	1	\$5,000	\$5,000	\$3,750	8/30/2021	
ZIPA 2021-001(HMT)	1	\$10,000	\$5,000	\$5,000	8/30/2021	Partially Terminated Violations: 1
ZIPI 2021-001(HMT)	2	\$5,000	\$5,000	\$5,000	9/26/2021	
ZIPI 2021-002(HMT)	2	\$5,000	\$5,000	\$5,000	9/27/2021	
ZIRO 2020-002(HMT)	1	\$10,000	\$10,000	\$5,000	3/3/2021	
ZIRV 2021-001(HMT)	1	\$2,000	\$2,000	\$1,400	6/29/2021	
ZITT 2020-001(HMT)	1	\$5,000	\$5,000	\$3,750	2/8/2021	
ZITT 2020-002(HMT)	1	\$5,000	\$5,000	\$3,750	2/8/2021	
ZITT 2020-003(HMT)	1	\$5,000	\$5,000	\$3,750	2/8/2021	
ZITT 2020-004(HMT)	1	\$2,000	\$2,000	\$1,500	2/8/2021	
ZITT 2020-005(HMT)	1	\$5,000	\$5,000	\$3,750	7/14/2021	
ZITT 2020-006(HMT)	1	\$5,000	\$5,000	\$3,750	7/14/2021	
ZITT 2020-007(HMT)	1	\$5,000	\$5,000	\$2,500	7/14/2021	
ZITT 2020-008(HMT)	1	\$5,000	\$5,000	\$3,750	7/14/2021	
ZITT 2021-001(HMT)	1	\$12,000	\$12,000	\$9,000	7/14/2021	
ZITT 2021-002(HMT)	1	\$10,000	\$10,000	\$7,500	7/14/2021	
ZITT 2021-003(HMT)	1	\$10,000	\$10,000	\$7,500	7/14/2021	
ZIVE 2020-001(HMT)	1	\$5,000	\$5,000	\$5,000	9/27/2021	
ZIVE 2020-002(HMT)	1	\$5,000	\$5,000	\$5,000	9/27/2021	
ZIVE 2021-001(HMT)	1	\$2,500	\$2,500	\$2,500	9/27/2021	
ZIVS 2021-001(HMT)	1	\$7,500	\$7,500	\$7,500	8/30/2021	
ZIWI 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	8/18/2021	
ZJIT 2020-001(HMT)	1	\$2,500	\$2,500	\$2,500	3/11/2021	
ZJIT 2020-002(HMT)	1	\$5,000	\$5,000	\$3,300	5/21/2021	
ZJMA 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	8/9/2021	
ZJMA 2021-002(HMT)	1	\$2,000	\$2,000	\$2,000	8/9/2021	
ZJRS 2021-002(HMT)	1	\$7,500	\$7,500	\$7,500	9/7/2021	
ZKDM 2020-001(HMT)	1	\$6,000	\$6,000	\$4,500	11/12/2020	
ZKDM 2020-002(HMT)	1	\$5,000	\$5,000	\$3,500	3/16/2021	

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ZKDM 2021-001(HMT)	1	\$10,000	\$10,000	\$8,500	9/9/2021	
ZKING 2020-001(HMT)	1	\$4,000	\$4,000	\$4,000	7/14/2021	
ZKMB 2020-001(HMT)	1	\$2,000	\$2,000	\$1,500	8/19/2021	
ZKMB 2021-003(HMT)	1	\$5,000	\$5,000	\$3,500	9/10/2021	
ZKML 2020-001(HMT)	1	\$4,000	\$4,000	\$2,800	10/14/2020	
ZKML 2020-002(HMT)	2	\$4,000	\$4,000	\$2,500	3/16/2021	
ZKML 2020-003(HMT)	1	\$2,000	\$2,000	\$1,400	3/16/2021	
ZKMQ 2020-001(HMT)	1	\$10,000	\$10,000	\$8,500	4/15/2021	
ZKMQ 2020-003(HMT)	1	\$10,000	\$10,000	\$7,500	9/28/2021	
ZKMQ 2021-001(HMT)	1	\$10,000	\$10,000	\$8,500	8/9/2021	
ZKMQ 2021-002(HMT)	1	\$10,000	\$10,000	\$7,500	9/28/2021	
ZKNC 2020-002(HMT)	1	\$7,500	\$7,500	\$7,500	5/5/2021	
ZKRA 2020-001(HMT)	1	\$2,000	\$2,000	\$1,500	3/19/2021	
ZKRA 2020-002(HMT)	1	\$2,000	\$2,000	\$1,500	3/19/2021	
ZKRA 2020-003(HMT)	1	\$2,000	\$2,000	\$1,500	3/19/2021	
ZKYE 2021-001(HMT)	1	\$10,000	\$10,000	\$10,000	6/8/2021	
ZLUC 2007-001(HMT)	1	\$5,000	\$0	\$0	5/24/2021	Case Terminated
ZMEL 2020-001(HMT)	1	\$2,000	\$2,000	\$2,000	9/15/2021	
ZMIE 2021-001(HMT)	1	\$5,000	\$5,000	\$3,800	9/29/2021	
ZMIO 2020-001(HMT)	1	\$2,000	\$2,000	\$2,000	6/17/2021	
ZMNP 2020-003(HMT)	1	\$2,000	\$2,000	\$1,560	10/19/2020	
ZMNP 2020-004(HMT)	1	\$5,000	\$5,000	\$3,950	10/19/2020	
ZMNS 2020-001(HMT)	1	\$2,000	\$2,000	\$1,600	5/13/2021	
ZMQE 2020-002(HMT)	1	\$5,000	\$5,000	\$5,000	6/9/2021	
ZMWE 2020-001(HMT)	1	\$10,000	\$10,000	\$7,000	8/18/2021	
ZNAL 2020-001(HMT)	1	\$15,000	\$15,000	\$12,000	5/11/2021	
ZNDV 2018-001(HMT)	2	\$20,000	\$20,000	\$17,000	2/22/2021	
ZNDV 2018-002(HMT)	1	\$5,000	\$5,000	\$4,000	2/22/2021	
ZNDV 2018-003(HMT)	1	\$10,000	\$10,000	\$8,500	2/22/2021	
ZNDV 2019-001(HMT)	4	\$9,500	\$9,500	\$7,125	2/22/2021	
ZNDV 2019-002(HMT)	1	\$4,000	\$4,000	\$3,000	2/22/2021	
ZNOS 2020-001(HMT)	1	\$5,000	\$5,000	\$3,500	5/10/2021	
ZNOS 2020-002(HMT)	1	\$10,000	\$10,000	\$8,000	5/10/2021	
ZNUS 2020-001(HMT)	1	\$6,000	\$6,000	\$6,000	2/18/2021	
ZNUS 2020-002(HMT)	1	\$4,000	\$4,000	\$4,000	2/18/2021	
ZNUS 2020-003(HMT)	1	\$2,000	\$2,000	\$2,000	2/18/2021	
ZNUS 2020-004(HMT)	1	\$5,000	\$5,000	\$4,000	5/7/2021	
ZNYN 2019-001(HMT)	1	\$7,500	\$7,500	\$5,250	5/24/2021	
ZNYN 2019-002(HMT)	1	\$5,000	\$5,000	\$3,500	5/24/2021	
ZNYN 2019-003(HMT)	1	\$5,000	\$0	\$0	5/17/2021	Case Terminated
ZOLI 2019-009(HMT)	1	\$10,000	\$10,000	\$10,000	7/9/2021	

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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>
ZOLI 2019-010(HMT)	1	\$5,000	\$5,000	\$5,000	7/9/2021	
ZOLI 2019-011(HMT)	1	\$5,000	\$5,000	\$5,000	7/9/2021	
ZOLI 2020-001(HMT)	1	\$2,000	\$2,000	\$2,000	7/9/2021	
ZOLI 2020-002(HMT)	1	\$5,000	\$5,000	\$5,000	7/9/2021	
ZOLI 2020-003(HMT)	1	\$15,000	\$15,000	\$15,000	7/9/2021	
ZOTT 2019-001(HMT)	1	\$5,000	\$5,000	\$5,000	7/9/2021	
ZOTT 2019-002(HMT)	1	\$5,000	\$5,000	\$5,000	7/9/2021	
ZOTT 2019-003(HMT)	1	\$5,000	\$5,000	\$5,000	7/9/2021	
ZOTT 2019-004(HMT)	1	\$5,000	\$5,000	\$5,000	7/9/2021	
ZOTT 2019-005(HMT)	1	\$10,000	\$10,000	\$10,000	7/9/2021	
ZOTT 2019-006(HMT)	1	\$5,000	\$5,000	\$5,000	7/9/2021	
ZOTT 2019-007(HMT)	1	\$5,000	\$5,000	\$5,000	7/9/2021	
ZOTT 2019-008(HMT)	1	\$5,000	\$5,000	\$5,000	7/9/2021	
ZOTT 2020-001(HMT)	1	\$5,000	\$5,000	\$5,000	7/9/2021	
ZOTT 2020-002(HMT)	1	\$5,000	\$5,000	\$5,000	7/9/2021	
ZPBA 2020-001(HMT)	1	\$10,000	\$10,000	\$7,850	6/9/2021	
ZPBD 2021-001(HMT)	1	\$5,000	\$5,000	\$3,850	6/2/2021	
ZPBF 2015-001(HMT)	2	\$21,000	\$18,000	\$13,000	11/10/2020	Partially Terminated Violations: 1
ZPBF 2016-001(HMT)	1	\$5,000	\$5,000	\$3,500	11/10/2020	
ZPBF 2017-001(HMT)	1	\$5,000	\$5,000	\$3,500	11/10/2020	
ZPBF 2018-001(HMT)	1	\$5,000	\$5,000	\$3,500	11/10/2020	
ZPBF 2020-001(HMT)	1	\$10,000	\$7,500	\$6,500	11/10/2020	Partially Terminated Violations: 1
ZPBH 2021-001(HMT)	1	\$5,000	\$5,000	\$3,900	9/29/2021	
ZPBK 2021-001(HMT)	1	\$10,000	\$10,000	\$8,000	6/7/2021	
ZPEA 2020-001(SA)	1	\$5,000	\$0	\$0	3/2/2021	Case Terminated
ZPLD 2020-001(HMT)	2	\$4,000	\$4,000	\$4,000	5/12/2021	
ZPLP 2019-002(HMT)	1	\$5,000	\$5,000	\$5,000	5/12/2021	
ZPLS 2019-003(HMT)	1	\$5,000	\$5,000	\$4,000	4/29/2021	
ZPLS 2020-001(HMT)	1	\$2,000	\$2,000	\$2,000	4/29/2021	
ZPMS 2019-004(HMT)	1	\$5,000	\$5,000	\$4,250	4/29/2021	
ZPMS 2019-005(HMT)	1	\$2,500	\$2,500	\$1,875	4/30/2021	
ZPMS 2020-001(HMT)	1	\$5,000	\$5,000	\$4,250	4/30/2021	
ZPMS 2020-002(HMT)	1	\$20,000	\$20,000	\$10,000	4/30/2021	
ZPSC 2020-001(HMT)	1	\$5,000	\$5,000	\$5,000	5/5/2021	
ZPSC 2020-002(HMT)	1	\$10,000	\$10,000	\$10,000	1/25/2021	
ZPSC 2020-003(HMT)	1	\$2,000	\$2,000	\$2,000	5/27/2021	
ZPSC 2020-004(HMT)	1	\$5,000	\$5,000	\$5,000	5/28/2021	
ZPSC 2020-005(HMT)	1	\$5,000	\$5,000	\$5,000	5/27/2021	

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ZPSC 2020-006(HMT)	1	\$1,000	\$1,000	\$1,000	5/27/2021	
ZQCR 2020-001(HMT)	1	\$5,000	\$5,000	\$3,500	11/13/2020	
ZRAY 2020-001(HMT)	1	\$4,000	\$4,000	\$3,000	2/5/2021	
ZREG 2021-001(HMT)	1	\$2,000	\$2,000	\$1,500	3/25/2021	
ZREG 2021-002(HMT)	2	\$7,000	\$7,000	\$7,000	6/7/2021	
ZRES 2016-001(HMT)	1	\$10,000	\$10,000	\$950	11/20/2020	
ZRES 2017-001(HMT)	2	\$20,000	\$20,000	\$950	11/20/2020	
ZRES 2018-004(HMT)	1	\$10,000	\$10,000	\$5,000	11/20/2020	
ZRES 2020-001(HMT)	1	\$2,500	\$2,500	\$2,000	11/20/2020	
ZRES 2020-002(HMT)	1	\$10,000	\$10,000	\$2,500	3/5/2021	
ZRES 2021-001(HMT)	1	\$7,500	\$7,500	\$5,000	9/8/2021	
ZRLG 2018-002(HMT)	1	\$5,000	\$5,000	\$3,800	9/29/2021	
ZRLG 2020-001(HMT)	3	\$19,500	\$19,500	\$15,210	9/29/2021	
ZRLZ 2020-001(HMT)	1	\$2,000	\$2,000	\$1,350	11/18/2020	
ZRLZ 2021-001(HMT)	1	\$5,000	\$5,000	\$3,000	5/14/2021	
ZRRQ 2020-001(HMT)	1	\$2,000	\$2,000	\$1,500	10/22/2020	
ZRRQ 2021-001(HMT)	1	\$2,000	\$2,000	\$1,000	6/1/2021	
ZRSER 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	7/2/2021	
ZRSH 2020-001(HMT)	1	\$2,000	\$2,000	\$1,350	11/18/2020	
ZRSNL 2020-001(HMT)	1	\$5,000	\$5,000	\$3,750	1/4/2021	
ZRSO 2020-001(HMT)	1	\$4,000	\$4,000	\$4,000	1/7/2021	
ZRSS 2020-001(HMT)	1	\$16,000	\$16,000	\$13,500	1/19/2021	
ZSASN 2020-001(HMT)	1	\$5,000	\$5,000	\$5,000	3/22/2021	
ZSASN 2020-003(HMT)	1	\$10,000	\$10,000	\$10,000	5/3/2021	
ZSCC 2019-001(HMT)	2	\$11,500	\$11,500	\$11,500	5/24/2021	
ZSCC 2019-002(HMT)	1	\$5,000	\$5,000	\$5,000	5/24/2021	
ZSCC 2019-003(HMT)	1	\$10,000	\$10,000	\$0	5/24/2021	
ZSCC 2020-001(HMT)	1	\$10,000	\$10,000	\$10,000	5/24/2021	
ZSCC 2020-002(HMT)	1	\$10,000	\$10,000	\$10,000	5/24/2021	
ZSEU 2020-001(HMT)	1	\$10,000	\$10,000	\$7,250	2/18/2021	
ZSHEL 2019-001(HMT)	1	\$10,000	\$10,000	\$10,000	5/24/2021	
ZSHEL 2020-001(HMT)	1	\$10,000	\$10,000	\$10,000	5/24/2021	
ZSHEL 2020-002(HMT)	1	\$5,000	\$5,000	\$5,000	5/24/2021	
ZSHEL 2020-003(HMT)	1	\$15,000	\$15,000	\$10,500	5/24/2021	
ZSHL 2019-001(HMT)	1	\$5,000	\$5,000	\$3,000	5/24/2021	
ZSHL 2020-001(HMT)	1	\$2,000	\$2,000	\$2,000	5/24/2021	
ZSHL 2020-002(HMT)	1	\$2,000	\$2,000	\$2,000	5/24/2021	
ZSKI 2018-003(HMT)	1	\$5,000	\$5,000	\$3,400	5/14/2021	
ZSKI 2020-001(HMT)	1	\$5,000	\$5,000	\$3,250	5/14/2021	
ZSKI 2020-002(HMT)	1	\$2,000	\$2,000	\$1,400	5/14/2021	
ZSKI 2020-003(HMT)	1	\$10,000	\$10,000	\$6,800	5/14/2021	

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ZSKI 2020-004(HMT)	1	\$5,000	\$5,000	\$3,400	5/14/2021	
ZSND 2019-001(HMT)	1	\$4,000	\$4,000	\$4,000	2/23/2021	
ZSOC 2019-001(HMT)	1	\$4,000	\$4,000	\$4,000	5/24/2021	
ZSOC 2020-001(HMT)	1	\$5,000	\$5,000	\$5,000	5/24/2021	
ZSOC 2020-002(HMT)	1	\$6,000	\$6,000	\$6,000	5/24/2021	
ZSOLI 2020-001(HMT)	1	\$2,000	\$2,000	\$1,340	5/3/2021	
ZSOLI 2021-001(HMT)	2	\$7,500	\$7,500	\$5,325	8/23/2021	
ZSRE 2020-002(HMT)	1	\$5,000	\$5,000	\$3,500	2/3/2021	
ZSSCO 2018-002(HMT)	1	\$5,000	\$5,000	\$3,500	4/23/2021	
ZSSCO 2019-001(HMT)	1	\$20,000	\$20,000	\$15,000	4/23/2021	
ZSSCO 2019-002(HMT)	1	\$4,000	\$4,000	\$2,850	4/23/2021	
ZSSCO 2019-003(HMT)	1	\$5,000	\$5,000	\$3,500	4/23/2021	
ZSSCO 2019-004(HMT)	1	\$10,000	\$10,000	\$7,200	4/23/2021	
ZSSCO 2019-005(HMT)	1	\$4,000	\$4,000	\$2,750	4/23/2021	
ZSSCO 2019-006(HMT)	1	\$10,000	\$10,000	\$7,500	4/23/2021	
ZSSCO 2019-007(HMT)	2	\$10,000	\$10,000	\$7,200	4/23/2021	
ZSSP 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	6/3/2021	
ZSTQ 2021-001(HMT)	1	\$4,000	\$4,000	\$4,000	7/2/2021	
ZSTQ 2021-002(HMT)	1	\$10,000	\$10,000	\$10,000	6/10/2021	
ZSYM 2020-001(HMT)	1	\$2,000	\$2,000	\$2,000	3/25/2021	
ZTERM 2020-001(HMT)	1	\$2,000	\$2,000	\$1,400	2/12/2021	
ZTERM 2020-002(HMT)	2	\$9,000	\$9,000	\$5,500	2/9/2021	
ZTES 2016-001(HMT)	1	\$5,000	\$0	\$0	1/14/2021	Case Terminated
ZTFF 2021-001(HMT)	1	\$7,500	\$7,500	\$5,800	8/11/2021	
ZTGM 2017-002(HMT)	1	\$15,000	\$0	\$0	12/8/2020	Case Terminated
ZTGT 2020-001(HMT)	1	\$5,000	\$5,000	\$3,250	5/28/2021	
ZTKB 2020-001(HMT)	1	\$2,000	\$2,000	\$2,000	5/28/2021	
ZTKB 2020-002(HMT)	1	\$2,000	\$2,000	\$2,000	11/23/2020	
ZTKB 2020-003(HMT)	1	\$2,000	\$2,000	\$2,000	11/23/2020	
ZTKB 2020-004(HMT)	1	\$2,000	\$2,000	\$2,000	1/8/2021	
ZTKB 2020-005(HMT)	1	\$2,000	\$2,000	\$2,000	5/28/2021	
ZTME 2020-003(HMT)	1	\$2,000	\$2,000	\$2,000	1/6/2021	
ZTMS 2020-001(HMT)	1	\$10,000	\$10,000	\$7,000	4/9/2021	
ZTMS 2020-002(HMT)	1	\$10,000	\$10,000	\$7,000	4/9/2021	
ZTMT 2020-003(HMT)	1	\$1,000	\$1,000	\$1,000	1/27/2021	
ZTMT 2021-002(HMT)	1	\$2,000	\$2,000	\$2,000	9/15/2021	
ZTOE 2020-001(HMT)	1	\$2,000	\$2,000	\$1,200	2/10/2021	
ZTRG 2021-001(HMT)	1	\$5,000	\$5,000	\$3,100	5/18/2021	
ZTRG 2021-002(HMT)	1	\$10,000	\$10,000	\$6,750	9/30/2021	
ZTRSP 2018-003(HMT)	1	\$5,000	\$5,000	\$3,250	3/30/2021	
ZTRSP 2019-001(HMT)	1	\$5,000	\$5,000	\$3,500	3/30/2021	

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ZUCL 2020-001(HMT)	1	\$5,000	\$5,000	\$3,900	12/21/2020	
ZUCL 2021-001(HMT)	1	\$2,000	\$2,000	\$1,600	5/4/2021	
ZUEL 2009-001(HMT)	1	\$5,000	\$0	\$0	10/15/2020	Case Terminated
ZUGR 2021-001(TS)	2	\$10,000	\$10,000	\$10,000	7/22/2021	
ZUIL 2020-001(HMT)	1	\$5,000	\$5,000	\$3,800	4/30/2021	
ZULC 2020-002(HMT)	1	\$2,000	\$2,000	\$1,580	10/15/2020	
ZULC 2020-003(HMT)	2	\$11,000	\$11,000	\$8,292	10/15/2020	
ZUNIV 2020-006(HMT)	1	\$2,000	\$2,000	\$1,600	1/25/2021	
ZUNIV 2020-007(HMT)	1	\$2,000	\$2,000	\$1,600	2/25/2021	
ZUNIV 2020-008(HMT)	1	\$4,000	\$4,000	\$3,000	3/17/2021	
ZUNIV 2021-001(HMT)	1	\$2,000	\$2,000	\$1,600	7/21/2021	
ZUNIV 2021-002(HMT)	1	\$5,000	\$5,000	\$3,900	7/21/2021	
ZUPI 2021-001(HMT)	1	\$5,000	\$5,000	\$5,000	8/26/2021	
ZUPS 2020-003(HMT)	1	\$5,000	\$5,000	\$3,800	3/16/2021	
ZUPS 2021-001(HMT)	1	\$7,500	\$0	\$0	6/21/2021	Case Terminated
ZUPT 2021-001(HMT)	1	\$4,000	\$4,000	\$3,100	3/16/2021	
ZUPT 2021-002(HMT)	2	\$9,000	\$9,000	\$9,000	4/22/2021	
ZUSA 2021-001(HMT)	2	\$10,000	\$10,000	\$10,000	5/27/2021	
ZUSN 2020-001(HMT)	2	\$15,000	\$15,000	\$10,800	3/9/2021	
ZUSOR 2020-001(HMT)	1	\$2,000	\$2,000	\$2,000	4/8/2021	
ZUSOR 2021-001(HMT)	1	\$5,000	\$5,000	\$2,500	5/25/2021	
ZUSOR 2021-002(HMT)	1	\$5,000	\$5,000	\$2,500	5/25/2021	
ZUTC 2021-001(HMT)	1	\$10,000	\$10,000	\$10,000	3/19/2021	
ZUTI 2008-001(HMT)	5	\$71,500	\$0	\$0	10/15/2020	Case Terminated
ZVALE 2015-001(HMT)	1	\$10,000	\$10,000	\$5,500	5/27/2021	
ZVALE 2015-002(HMT)	1	\$6,000	\$6,000	\$3,300	5/27/2021	
ZVALE 2017-001(HMT)	1	\$2,000	\$2,000	\$1,300	5/27/2021	
ZVALM 2013-002(HMT)	1	\$2,000	\$2,000	\$1,100	5/27/2021	
ZVALM 2015-001(HMT)	1	\$2,000	\$2,000	\$1,100	5/27/2021	
ZVALM 2018-004(HMT)	1	\$5,000	\$5,000	\$3,000	5/27/2021	
ZVALM 2018-005(HMT)	1	\$7,500	\$7,500	\$3,750	5/27/2021	
ZVALM 2019-001(HMT)	1	\$10,000	\$10,000	\$6,250	5/27/2021	
ZVALM 2019-003(HMT)	2	\$10,000	\$10,000	\$7,500	5/27/2021	
ZVCP 2020-004(HMT)	1	\$10,000	\$10,000	\$6,000	7/23/2021	
ZVRG 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	8/19/2021	
ZVTD 2015-001(HMT)	4	\$20,000	\$20,000	\$11,000	5/27/2021	
ZVTZ 2019-002(HMT)	1	\$10,000	\$10,000	\$10,000	1/4/2021	
ZWAO 2020-001(HMT)	1	\$2,000	\$2,000	\$1,400	9/28/2021	
ZWATC 2021-001(HMT)	1	\$5,000	\$5,000	\$3,500	9/28/2021	
ZWCZ 2021-001(HMT)	1	\$2,000	\$2,000	\$1,450	9/24/2021	
ZWND 2021-001(HMT)	1	\$2,000	\$2,000	\$1,700	3/24/2021	

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ZWND 2021-002(HMT)	1	\$4,000	\$4,000	\$3,300	5/3/2021	
ZWOC 2020-001(HMT)	1	\$2,000	\$2,000	\$2,000	11/23/2020	
ZWPO 2020-001(HMT)	1	\$5,000	\$5,000	\$3,750	2/10/2021	
ZWRE 2020-001(HMT)	2	\$11,500	\$11,500	\$8,850	11/17/2020	
ZWRK 2020-002(HMT)	2	\$7,000	\$5,000	\$5,000	3/3/2021	Terminated Violations: 1
ZWRK 2021-001(HMT)	1	\$5,000	\$5,000	\$3,500	9/24/2021	
ZWRL 2021-001(HMT)	1	\$10,000	\$10,000	\$6,800	9/24/2021	
ZWTI 2019-001(HMT)	1	\$4,000	\$4,000	\$4,000	4/26/2021	
ZWTN 2020-002(HMT)	1	\$6,000	\$6,000	\$4,000	9/28/2021	
ZYMM 2020-001(HMT)	4	\$11,500	\$7,500	\$5,700	9/28/2021	Terminated Violations: 1
ZZAC 2021-001(HMT)	1	\$2,000	\$2,000	\$1,200	8/10/2021	
ZZPR 2020-001(HMT)	1	\$2,500	\$2,500	\$1,750	2/17/2021	
Total	3,993	\$17,293,842	\$16,446,845	\$	12,371,183	

<u>Codes</u>	<u>Respondent Names</u>
AA	Ann Arbor Railroad
AB	Akron Barberton Cluster Railway Co.
ABS	Alabama Southern Railroad
ACWR	Aberdeen, Carolina And Western Railroad
AGR	Alabama & Gulf Coast Railway Llc.
AKMD	Arkansas Midland Railroad
ALE	Alabama Export Railroad
ALM	Arkansas Louisiana & Mississippi Railroad
ALS	The Alton And Southern Railway Company
AM	Arkansas And Missouri Railroad Company
ARR	Alaska Railroad Corporation
ARS	Arkansas Southern Railroad
ASRY	Ashland Railway Inc.
ATK	National Railroad Passenger Corporation
AZER	Arizona Eastern Railway
BAR	Bangor And Aroostook Railroad
BAYL	Bay Line Railroad
BB	Buckingham Branch Railroad Company
BHRR	Birmingham Terminal Railway, Llc
BLF	Brightline
BLU	Blue Ridge Southern Railroad, Llc
BM	Boston And Maine Corporation
BNSF	BNSF Railway Company
BNSO	BNSF Suburban Operations
BPRR	Buffalo & Pittsburgh Railroad, Inc.
CAGY	Columbus & Greenville Railway
CAMD	Camden & Southern Railroad
CANX	Camden & Southern Railroad
CATQ	Carry Transit
CBR	Coos Bay Rail Line
CCHA	Columbus & Chattahoochee Railroad, Inc.
CCRL	Cleveland & Cuyahoga Railway, Llc
CCT	Central California Traction Company
CDOT	Connecticut Department Of Transportation
CFI	CF Industries Sales, LLC
CFNR	California Northern Railroad Co.
CFRC	Central Florida Rail Corridor
CLNA	Carolina Coastal Railway, Inc.
CN	Canadian National Railway Company

<u>Codes</u>	<u>Respondent Names</u>
CNZR	Central New England Railroad
COEJ	Coenergy, LLC
COSR	Connecticut Southern Railroad, Inc.
CP	Canadian Pacific Railway
CRKZ	Cooper Creek Chemical Corporation
CRL	Chicago Rail Link
CRRX	Canon City Royal Gorge Railroad
CRSH	Consolidated Rail Corporation
CRSM	Consolidated Rail Corporation
CSX	CSX Transportation Inc.
CTIZ	Chemtall Incorporation
CWW	CWW, Llc
DGNO	Dallas, Garland And Northeastern Railroad, Inc.
DPQ	Dexco Polymers
DR	Dardanelle & Russellville Railroad
DREI	Decatur And Eastern Illinois Railroad
EIRR	Eastern Idaho Railroad, Llc
ELS	Escanaba And Lake Superior Railroad Co.
EMRY	Eastern Maine Railway
EVWR	Evansville Western Railroad, Inc.
FEC	Florida East Coast Railway Llc
FGA	Florida Gulf & Atlantic Railroad Llc
FP	Fordyce & Princeton Railroad Company
GC	Georgia Central Railway
GDLK	Grand Elk Railroad, Llc
GLCT	Global Container Terminals
GRNW	Great Northwest Railroad, LLC
GRW	Gary Railway Company
GS	Georgia Southern Railway Company
GSM	Great Smokey Mountain Railway
GWR	Great Western Railway Of Colorado, Llc
HRT	Hartwell Railroad Company
IAIS	Iowa Interstate Railroad, LLC
IARR	Iowa River Railroad Inc
IATR	Iowa Traction Railway Company
IHB	Indiana Harbor Belt Railroad Company
IHTR	Iron Horse Terminals
IMRR	Illinois & Midland Railroad, Inc.
INPR	Idaho Northern And Pacific Railroad
INRD	The Indiana Rail Road Company
IORY	Indiana & Ohio Railway Company

<u>Codes</u>	<u>Respondent Names</u>
IR	Illinois Railway, Llc
IRTV	Inter-Rail Transportation, Inc.
ITB	Illinois Terminal Belt
JDSZ	J.D. Streett & Company, Inc.
KCS	The Kansas City Southern Railway Company
KCT	Kansas City Terminal Railway Company
KFR	Kettle Falls International Railway, Llc.
KNWA	Kanawha River Railroad
KRR	Kiamichi Railroad Co., Llc.
KYLE	KYLE Railroad Co.
LAJ	Los Angeles Junction Railway Company
LBWR	Lubbock & Western Railway, Llc
LCHD	Lake Charles Harbor District
LI	Long Island Railroad
LRWY	Lehigh Railway, Llc
LRV	LRV Llc
LS	Longview Switching Company
LXVR	Luxapalila Valley Railroad, Inc.
MEC	Maine Central Railroad Company
MNA	Missouri & Northern Arkansas Railroad Co., Inc.
MOTV	Motive Rail
MRL	Montana Rail Link
MSE	Mississippi Export Railroad Company
NECX	Nebraska Central Railroad
NICD	Northern Indiana Commuter Transportation District
NYNJ	New York New Jersey Rail LLC
PAS	Pan Am Southern Llc.
PDRR	Pee Dee River Railroad
PNR	Panhandle Northern
PNWR	Portland And Western Railroad Inc.
POCA	Port Of Catoosa Terminal Rr
POHC	The Pittsburgh & Ohio Central Railroad Co.
PSAP	Puget Sound & Pacific Railroad
PTO	Portland Terminal Railroad Company
PW	Providence And Worcester Rr Company
RJCC	R. J. Corman Railroad Company/Central Kentucky Lines
RPRC	Richmond Pacific Railroad Corp.
RRCV	Respondek Railroad Corporation
RSR	Rochester And Southern Railroad, Inc.
RYIZ	Runyon Industries

<u>Codes</u>	<u>Respondent Names</u>
SB	South Buffalo Railway Company
SCAX	Southern California Regional Rail Authority
SKOL	South Kansas And Oklahoma Railroad Company
SLWC	Stillwater Central Railroad Company, Llc
SOU	Norfolk Southern Railway Company
SRN	Sabine River & Northern Railroad Company
ST	Springfield Terminal Railway Company
STMA	St. Maries River Railroad
SUOC	Superior Oil Company, Inc.
SW	Southwestern Railroad, Inc.
TEVR	Tavares, Eutis & Gulf Railroad
TGCZ	Tugalo Gas Company Inc.
TM	Texas Mexican Railway Company
TMBL	Tacoma Municipal Belt Line Railway
TN	Texas & Northern Railway Company
TPW	Toldeo, Peoria & Western Railway Corp.
TSWS	Terminal Switching Services
TTXJ	TTX Company
TXN	Texas New Mexico Railway, Llc.
TXOR	Texas Oklahoma Railroad
UP	Union Pacific Railroad Company
URR	Union Railroad Company
UTAH	UTAH Railway Company
VSOR	Vicksburg Southern Railroad
WATX	Watco Switching
WRL	WRL, LLC
WSOR	Wisconsin & Southern Railroad
XAAL	Aaw- Alliance
XALV	Aaw Las Vegas
XANS	Ascensus Specialties
XAOS	Asphalt Operating Services of Chicago
XATN	Appalachian Tank Car Services
XBCO	Brandt Consolidated
XCAI	Cargill, Inc.
XCBL	Clean Harbors Of Baltimore, Inc.
XCCN	Cleco Corporation
XCDL	CDL Electric Company
XCHS	CHS, Inc.
XCLS	Cemex
XCLX	CLX Logistics

<u>Codes</u>	<u>Respondent Names</u>
XCNT	CTS (Cogent Technical Services)
XCPT	Center Point Terminal Company
XCTK	Complete Track Works
XCTV	Contrans Vrac Inc.
XCWC	Choctaw Construction Services LLC
XDBS	Diamondback Signal
XDEC	Ducci Electrical Contractors Inc.
XEEL	Estes Express Lines
XEGC	Evergreen Packaging LLC
XELI	Elite Comfort Solutions
XFEF	Fedex Freight, Inc.
XFMC	Freeport-Mcmoran Inc.
XGAS	Gerdau Ameristeel Whitby
XGMJ	Gerdau Macsteel Jackson
XICP	Illinois Corn Processing, LLC
XING	Ingredion Incorporated
XKHM	Koch Methanol, LLC
XMKW	Markwest Hydrocarbon, L.L.C.
XNVG	Nuevo Gas
XPRS	Progress Rail Services Corporation
XSNA	Sazerac North America
XTGS	Trans-Global Solutions, Inc.
XTNS	TN Track Services, Inc.
XTQU	Tarquin Acid LLC
XWAS	Washington State DOT
XWCD	West Coast Transloading LLC
XWEM	Western Emulsions, Inc.
XZAC	ZA Construction
XZTH	Zenith Energy Terminals
YSRR	Youngstown & Southeastern Railroad
ZAAO	Aoc Llc
ZABD	Aberdeen Energy, Llc
ZACH	Ashta Chemicals, Inc.
ZACR	Adm Corn Processing
ZADQ	Alberta Distillers Limited
ZAFQ	Afton Chemical Corporation
ZAG	Ash Grove Cement Company
ZAGT	Amerigas Propane L.P.
ZAIN	Arclin
ZALC	Asarco Llc
ZALN	Alon, Usa, Lp

<u>Codes</u>	<u>Respondent Names</u>
ZALQ	Airgas, An Air Liquide Company
ZALRC	Alaron Corp.
ZAMC	Archer Daniels Midland Co.
ZAND	The Andersons, Inc.
ZANN	The Andersons
ZANS	Agrogen S.A. De C.V.
ZANX	Allnex
ZAO	Apex Oil Company, Inc.
ZAPCH	Apache Nitrogen Products, Inc.
ZAPL	American President Lines, Ltd.
ZAPM	Ascend Performance Materials Llc
ZARGR	American Refining Group, Inc.
ZARJ	Arrow Material Services
ZARK	Arkema, Inc.
ZASY	Americas Styrenics
ZATP	Allen's Transport Ltd.
ZAUP	Austin Powder Company
ZAUX	Aux Sable Liquid Products, Inc.
ZAXI	Axiall Llc
ZAZG	Agroindustrial Zaragosa S.A. De C.V.
ZCACT	Celanese Acetate
ZCAO	Cando Rail Services Ltd.
ZCBK	C&C Bulk Liquid Transfer, Inc.
ZCBL	Carbide Industries, LLC
ZCCF	Consumer Co-Op Refiners
ZCCM	Cargill-Corn Milling Division
ZCCW	BP Amoco Chemical Company
ZCDI	Church & Dwight Co., Inc.
ZCDY	Cody Group Inc.
ZCEE	Centennial Energy
ZCEF	Chief Ethanol Fuels
ZCELA	Celanese
ZCFC	Chemours Co. Fc, LLC
ZCFX	CN CargoFlo
ZCGR	Casa Grande Plant Food Company
ZCHEV	Chevron Products Company
ZCHF	Chemical South Transport
ZCHZ	Clean Harbors Deer Park LLC
ZCIZ	Crystal Packaging Inc.
ZCKP	Cherokee Pharmaceuticals
ZCLCI	Celanese Canada Inc.

<u>Codes</u>	<u>Respondent Names</u>
ZCLQ	Corn LP
ZCLS	Crowley Liner Services Inc.
ZCLX	Chemtrade Logistics
ZCM2	CAM2 International, LLC
ZCMA	CMA CGM
ZCMB	Climax Molybdenum
ZCME	Calumet Montana Refining, LLC
ZCNC	Cherokee Nitrogen
ZCNL	Canal Terminal Company
ZCONL	Covestro Llc.
ZCOV	Continental Carbon Company
ZCOX	Clorox Products Manufacturing Company
ZCOY	Coastal Energy Corporation
ZCPCL	Chevron Phillips Chemical Company LP
ZCPR	Citgo Petroleum Corp.
ZCRB	Conrad & Bischoff
ZCRS	Carson Oil
ZCRY	Chemtrade Refinery Services Inc.
ZCRZ	Cornerstone Chemical Company
ZCSI	C & S Chemical Company
ZCSK	Carbonfree Chemicals
ZCT	Colonial Terminals
ZCTO	Central Transport
ZCUC	Carlisle Construction Materials, LLC
ZCUI	Chevron Usa, Inc.
ZCXF	CN CargoFlo
ZCYL	Cymetech, LLC
ZCZX	CAI, Inc.
ZDAC	Dana Container Inc.
ZDAK	Dak Americas LLC
ZDANT	Dana Transport Inc.
ZDBR	Dixon Bros. Inc.
ZDCM	Dover Chemical Corp.
ZDCU	The Dow Chemical Company
ZDCUC	Dow Chemical Canada Inc.
ZDET	Didion Ethanol
ZDGZ	Dakota Gasification Co.
ZDKI	D/K Environmental
ZDPM	DCP
ZDSQ	Dupont Specialty Products USA, LLC.
ZDUP	E.I. Dupont De Nemours And Company

<u>Codes</u>	<u>Respondent Names</u>
ZDYI	Dyno Nobel, Inc.
ZEACH	Eastman Chemical Company
ZEDC	El Dorado Chemical Company
ZEEN	Eco Energy
ZELEM	Elementis Chromium Inc.
ZEMCC	Exxonmobil Corporation
ZEMER	Emerald Services, Inc.
ZEMR	Exxonmobil Oil Corporation
ZENK	Enlink Midstream
ZEOB	Ecolab, Inc.
ZEPC	Enterprise Products Operating Llc
ZEPZ	Enterprise Products Operating Llc
ZEQU	Equistar Chemicals Lp
ZESR	Eco Services Operations Corp.
ZETP	Energy Transfer Partners
ZEVD	Evonik Corporation
ZEVN	Evans Delivery Company Inc.
ZEWW	Erco Worldwide
ZEXM	Exxonmobil Corporation
ZFGC	Ferrell Gas, Inc.
ZFHR	Flint Hills Resources
ZFIT	Fortron Industries
ZFIZ	Franklin International
ZFLS	Frontier Logistical Services
ZFPY	Flow Polymers Inc.
ZFRQ	Poet Biorefining-Gowrie
ZFUT	Futamura
ZGBL	Global Companies Llc
ZGCL	Geocycle Llc
ZGEG	Genesis Energy, L.P.
ZGEPA	Georgia Pacific Company
ZGFL	Gavilon Fertilizer, Llc.
ZGIL	Giles Chemical
ZGLO	Glo-Gas Service
ZGPF	Georgia-Pacific Chemicals Llc.
ZGPG	Green Plains Trade Group Llc
ZGPX	Georgia-Pacific Foley Cellulose Llc
ZGPZ	Georgia Ports Authority
ZGSA	Genesis Alkali
ZGSZ	Sgs North America, Inc., Petroleum Service Corp.
ZGXA	Gardner Asphalt Corporation
ZIBS	International Bulk Services
ZICP	Ineos Composites US LLC
ZIES	Ineos Olefins & Polymers USA

<u>Codes</u>	<u>Respondent Names</u>
ZIFF	International Flavors & Fragrances
ZIFT	Inland Fuel Terminals, Inc.
ZIJT	INEOS JOLIET LLC
ZIMA	Interplastic Corporation
ZIMO	Imperial Oil Limited
ZINS	Its Technologies & Logistics, Llc
ZINTT	International Matex Tank Terminals
ZIOD	Imperial Oil Chemical Div.
ZIP	International Paper Company
ZIPA	ICL Industrial Products America Inc.
ZIPI	Ineos Phenol, Inc.
ZIRO	Irving Oil Company
ZIRV	Ironville Rail and Transfer, LLC
ZITT	Intercontinental Terminals Company
ZIVE	Indorama Ventures
ZIVS	Invista S.A.R.L.
ZIWI	International Waxes, Inc.
ZJIT	Jit Terminals, Inc.
ZJMA	Johns Manville
ZJRS	J. R. Simplot Company
ZKDM	Kinder Morgan Energy Partners, L.P.
ZKING	Kingsford Manufacturing Company
ZKMB	Kinder Morgan Bulk Terminals, Inc.
ZKML	Kinder Morgan Liquids Terminals, LLC
ZKMQ	Kinder Morgan
ZKNC	Koch Nitrogen Company
ZKRA	Kraton Corporation
ZKYE	Keyera Corp.
ZLUC	Linde - Union Carbide
ZMEL	Monroe Energy Llc.
ZMIE	Poet Biorefining-Laddonia
ZMIO	Imperial Oil Limited
ZMNP	Marathon Petroleum Company
ZMNS	Magnum Solvent, Inc.
ZMQE	Marquis Energy, Llc
ZMWE	Midwest Renewable Energy, Llc
ZNAL	Nalco Company
ZNDV	Andeavor
ZNOS	NorFalco, Inc.
ZNUS	Nustar Terminals Operations Partnership L.P.

<u>Codes</u>	<u>Respondent Names</u>
ZOLI	Olin Corporation
ZOTT	Oiltanking Texas City L.P.
ZPBA	Poet Biorefining-Alexandria
ZPBD	Poet Biorefining-Chancellor
ZPBF	Pbf Energy
ZPBH	Poet Biorefining-Hudson
ZPBK	Poet Biorefining-Lake Crystal
ZPEA	Poet Ethanol Products-Atlantic
ZPLD	PI Developments
ZPLP	Parallel Products
ZPLS	Plains Lpg Services Lp
ZPMS	Plains Midstream Canada, Llc
ZPSC	Petroleum Service Corporation
ZQCR	Quality Carriers
ZRAY	Rayonier Advanced Materials, Inc.
ZREG	Renewable Energy Group
ZRES	Rescar, Inc.
ZRLG	Rail Link
ZRLZ	Rsi Leasing, Inc.
ZRRQ	Road & Rail Services, Inc.
ZRSER	Rail Services, Inc.
ZRSH	Rsi Logistics, Inc.
ZRSNL	Resinall Corp.
ZRSO	Rail Solutions Llc
ZRSS	Rail Serve
ZSASN	Sasol Chemicals North America
ZCSS	Shell Chemical Lp
ZSEU	Suncor Energy (U.S.A.) Inc.
ZSHEL	Shell Chemicals Canada
ZSHL	Shell Canada Products
ZSKI	Safety-Kleen Systems, Inc.
ZSND	SeaPort Sound Terminal LLC
ZSOC	Shell Oil Company
ZSOLI	Solutia, Inc.
ZSRE	Suncor Energy Products, Inc.
ZSSCO	Savage Services Corporation
ZSSP	Southern States Chemical
ZSTQ	Stepan Company
ZSYM	Symrise
ZTERM	Tesoro Refining And Marketing Company
ZTES	Tesoro Refining & Marketing Company LLC
ZTFF	TForce Freight
ZTGM	Tesoro Gp Midstream Llc
ZTGT	Targa Transportation LLC
ZTKB	Tokai Carbon CB Ltd.
ZTME	Tidewater Midstream & Infrastructure
ZTMS	Targa Midstream Services
ZTMT	Transmontaigne Product Services, Inc.
ZTOE	Total Specialties USA Inc.

<u>Codes</u>	<u>Respondent Names</u>
ZTRG	Toledo Refining Company Llc
ZTRSP	Tropical Shipping USA, LLC
ZUCL	Univar Canada Ltd.
ZUEL	Utica Energy Llc.
ZUGR	USD Group LLC
ZUIL	Infineum USA L.P.
ZULC	Usalco
ZUMQ	Us Magnesium Llc
ZUNIV	Univar Solutions Inc.
ZUPI	USS-POSCO Industries
ZUPS	United Parcel Service, Inc.
ZUPT	UPS Freight
ZUSA	Airgas USA
ZUSN	US Nitrogen
ZUSOR	U.S. Oil And Refining Company
ZUTC	Union Tank Car Company
ZUTI	United Transportation Service, Inc.
ZVALE	Valero Energy Corp.
ZVALM	Valero Marketing And Supply Company
ZVCP	Vantage Corn Processors LLC
ZVRG	Veolia North America Regeneration Services
ZVTD	Valero Terminating And Distribution Company
ZVTZ	Vopak Terminal Deer Park
ZWAO	Watco Terminal And Port Services
ZWATC	Watco Companies Llc
ZWCZ	WestRock Charleston Kraft, Llc
ZWND	Windstar LPG Inc.
ZWOC	Whitaker Oil Company
ZWPO	Westpoint Transportation, Inc.
ZWRE	Western Refining Company
ZWRK	WestRock Mill Company
ZWRL	Westrock CP, Llc
ZWTI	Wascan Terminals Inc.
ZWTN	Watco Transloading, Llc.
ZYMM	Yang Ming Marine Lines
ZZAR	The Andersons, Inc.
ZZAC	Zaclon, Inc.
ZZPR	Prestone Products