

**Federal  
Railroad  
Administration**

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**Fiscal Year 2023  
Enforcement Report**

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# Federal Railroad Administration Fiscal Year 2023 Enforcement Report

## I. INTRODUCTION

For several decades, the Federal Railroad Administration (FRA) has compiled an annual civil penalty report (Enforcement Report) summarizing the civil penalty claims that FRA has closed for violations of Federal railroad safety and hazardous materials (hazmat) statutes, regulations, and orders.<sup>1</sup> As authorized by law, FRA issues orders assessing civil penalties for violations of the hazmat statutes, regulations, and orders.<sup>2</sup> 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.<sup>3</sup>

The Enforcement Report conforms with content requirements set forth most recently in the Rail Safety Improvement Act of 2008.<sup>4</sup> FRA intends to make the Enforcement Report available each year by December 31 for the preceding fiscal year (FY) (i.e., October 1 through September 30).

This 2023 Enforcement 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.
- A list of civil penalty cases FRA closed (at Appendix A to this report).

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<sup>1</sup> See 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; 49 U.S.C. § 103; and 49 C.F.R. § 1.89.

<sup>2</sup> 49 U.S.C. ch. 51; 49 C.F.R. § 1.89; 49 C.F.R. part 209.

<sup>3</sup> 49 U.S.C. § 103; and 49 C.F.R. § 1.89.

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

## **II. DISCUSSION OF RAILROAD SAFETY – THE RELATIONSHIP OF INSPECTIONS, ENFORCEMENT, AND ACCIDENTS OR INCIDENTS**

The safety of railroad operations – including the safety of railroad employees, railroad passengers, and the communities through which railroads operate – is FRA’s top priority. FRA carries out its mission in many ways, notably through accident and incident investigations, extensive technical assistance, scientific research, data collection and analysis, and broad regulatory enforcement and oversight programs, including the assessment of civil penalties for violations of rail safety and hazardous materials regulations. FRA also engages and partners with both public and private stakeholders to identify and address critical safety issues that affect railroad operations.

Many variables, including the full range of FRA safety enforcement efforts, regulation, and the evolution of technology in the railroad industry, all intersect with the deterrent value of civil penalties to reduce railroad accidents and safety incidents. FRA’s enforcement of rail safety and hazardous materials laws simultaneously compels compliance and aids the agency in the detection and prevention of unsafe conditions before they arise or cause harm. In this regard, FRA has increased safety in the rail industry by leveraging insights from proactive engagement with railroads, railroad workers, and other stakeholders, and the data gained through routine inspections and audits to target the most impactful areas of railroad safety.

Civil penalties are an important component of FRA’s comprehensive safety efforts and a valuable tool to ensure compliance and deter future violations. Civil penalties serve several purposes in the enforcement process.<sup>5</sup> For example, the recommendation of a civil penalty is one direct way in which FRA inspectors communicate to regulated entities the seriousness of certain violations. Additionally, throughout the country, railroads and shippers correct safety violations on a daily basis because they were cited by FRA’s inspectors. FRA inspectors recommend the imposition of violations, including civil penalties, for those defects they identify that pose probable and serious risks of harm. FRA’s experience shows that remedial action is generally swift with respect to those violations. The civil penalties and other corrective measures FRA imposes in response to violations are a valuable public-facing mechanism for demonstrating accountability in the industry.

FRA has decades of experience enforcing railroad safety regulations and has found that the fair and professional conduct of an agency’s regulatory function requires the informed exercise of discretion, beginning with the FRA inspector on the ground. This use of discretion helps ensure that the agency’s exercise of enforcement power is calibrated for efficiency and effectiveness, from the identification of serious safety concerns to the resolution of civil penalty assessment through settlement.<sup>6</sup>

In 2020, FRA significantly reorganized its Office of Railroad Safety. Prior to the reorganization, eight regional offices provided the institutional structure for safety inspections, from the implementation of national strategies to the daily review of inspection reports. The 2020 reorganization shifted emphasis

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<sup>5</sup> See Appendix A to 49 C.F.R. Part 209 for further discussion of FRA’s enforcement practices, the purposes of civil penalties, and FRA jurisdiction, available at [https://www.ecfr.gov/current/title-49/part-209/appendix-Appendix A to Part 209](https://www.ecfr.gov/current/title-49/part-209/appendix-Appendix%20A%20to%20Part%20209) For further discussion of FRA’s enforcement processes.

<sup>6</sup> FRA commissioned an independent assessment of the role that civil penalties play in enforcing railroad safety laws in 2009. See appendix to the FY 2009 Enforcement Report, available at [https://railroads.dot.gov/sites/fra.dot.gov/files/fra\\_net/282/Annual\\_Enforcement\\_Report\\_2009.pdf](https://railroads.dot.gov/sites/fra.dot.gov/files/fra_net/282/Annual_Enforcement_Report_2009.pdf).

towards targeting trends and patterns observable in the national operations of each major railroad or system of railroads, through a structure based on nine Safety Management Teams. FRA continues to rely 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. From FRA's experience, their nuanced perceptions and judgments indicate that issuing civil penalties yields observable improvements in safety practices and compliance with the law.

FRA's enforcement program also includes use of its authority to apply the penalty provisions of the railroad safety statutes to individuals. As with acts of noncompliance by railroads, FRA's field inspectors and subject matter experts exercise discretion in deciding which enforcement method is most effective to ensure individual compliance with safety laws and regulations. FRA has a range of options for addressing instances of individual liability, including an informal warning, a more formal warning letter issued by the Office of the Chief Counsel, recommendation and assessment of a civil penalty, or disqualification or suspension from safety-sensitive service.<sup>7</sup> The purpose of such enforcement against individuals is to deter those who, of their free will, decide to violate the rail safety laws. The purpose is not to penalize individuals who are ordered to commit violations by those above them in the railroad chain of command. In FY 2023, FRA served notices of proposed disqualification or suspension from safety-sensitive functions in the rail industry on seven individuals.

For violations assessed against regulated entities, FRA resolution of civil penalty cases through negotiated settlements ensures a measurable financial consequence that reflects the safety risks in each case, beginning with the initial assessment. For example, a single violation of the regulation prohibiting rolling stock from being left unattended too close to an adjacent track (which poses the risk that a train may sideswipe the idle equipment) typically results in an initial penalty assessment of \$19,500. By contrast, some less hazardous violations in other areas trigger a lesser monetary penalty.

Before any settlement of a recommended violation and any accompanying civil penalty, and to avoid additional violations, railroads and shippers must correct each underlying, non-compliant condition. Subsequently, every violation recommended by inspectors that is legally sustainable is enforced, regardless of the fact that the violation was remedied (correcting the cited problem is a non-negotiable expectation in the enforcement process). Settlement negotiations offer a forum for the regulated entity to offer remedial action as mitigation, among other factors. Typically, it may entail improvements in training, processes, recordkeeping, job briefings, or the discipline of management or employees – all as appropriate to the safety concerns that the inspector has highlighted in recommending the initial violation. This approach has sustained the credibility of FRA inspectors and the deterrent value of both inspections and civil penalty assessments for decades.

Civil penalties are most effective when considered as part of a comprehensive program to improve overall railroad safety. For example, FRA has long used focused inspections and audits to deploy inspector resources most efficiently and to target high-risk operations or areas of non-compliance that may become apparent through the enforcement process. FRA believes that its regulatory scheme is most effective when every point of engagement and interaction with regulated entities is leveraged to improve safety. This includes the rulemaking process and constructive engagement with railroads and shippers to maximize compliance through shifts in industry culture and incentives. FRA also uses every tool and authority available to respond quickly and decisively to industry failures that have caused serious harm

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<sup>7</sup> See 49 CFR Part 209, App. A.

to the public, including the derailment disaster that occurred in East Palestine, Ohio, in February 2023.<sup>8</sup>

Specifically, FRA advanced safety by increasing focused inspections and issuing several key safety advisories in response to demonstrated risks resulting from current industry practices—to address the use and maintenance of hot bearing wayside detectors,<sup>9</sup> the increasing use of very long trains by Class I railroads,<sup>10</sup> and high-impact wheel forces causing damage to rails and track structures.<sup>11</sup> FRA also implemented a focused safety inspection program on routes over which high-hazard flammable trains and other trains carrying large volumes of hazardous material travel<sup>12</sup> and a focused inspection program aimed at older tank cars. The report summarizing FRA’s inspections and findings of the HHFT Route Assessment, as well as FRA’s analyses of its Legacy Tank Car Focused Inspection Program was, finalized and made available on January 22, 2024.<sup>13</sup>

Further, in March 2023, FRA comprehensively updated its civil penalty schedules and guidelines to account for years of inflation.<sup>14</sup> This FY 2023 Enforcement Report does not materially reflect the impact of the updated penalty amounts because issuance and closure of a civil penalty enforcement case normally takes longer than the time between March 2023 and the end of the fiscal year in September 2023. While FRA had periodically adjusted some categories of its minimum and maximum civil penalties to account for inflation, this represented the first, comprehensive revision since 1988 to FRA’s civil penalties for specific regulatory sections or subsections.<sup>15</sup> FRA took into account Congress’ recognition in the Federal Civil Penalties Inflation Adjustment Act Improvements Act of 2015<sup>16</sup> (2015 Inflation Act) of the negative impact that inflation has on the deterrent effect of FRA’s civil penalties.<sup>17</sup> Although the 2015 Inflation Act required FRA to adjust only its minimum and maximum civil penalties, FRA determined that adjusting each of its civil penalty schedule and guideline amounts was necessary to enhance and maintain the deterrent effect of its civil penalty program.<sup>18</sup> Adjusting for inflation doubled FRA’s civil penalty schedule and guideline amounts. The impact of this increase should be observable in FRA’s annual enforcement report for FY 2024. Beginning in 2024, FRA will adjust all civil penalties for inflation annually.

Overall, in FY 2023, FRA secured total final penalty assessments of \$15,619,602 after settlement of all railroad safety and hazardous material cases. While many factors affect the total amount of final civil penalty assessments in a fiscal year, the total for FY 2023 represents approximately a 10 percent increase over the FY 2022 total of \$14,152,533.

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<sup>8</sup> As mandated by law, the Enforcement Report includes civil penalty cases settled or demands made via transmission of a case to a railroad before the end of the fiscal year. Any civil penalties assessed in relation to the derailment in East Palestine will, therefore, be reflected in subsequent enforcement reports.

<sup>9</sup> 88 Fed. Reg. 13494 (March 3, 2023).

<sup>10</sup> 88 Fed. Reg. 27570 (May 2, 2023).

<sup>11</sup> 88 Fed. Reg. 62623 (September 12, 2023).

<sup>12</sup> See <https://railroads.dot.gov/railroad-safety/2023-high-hazard-flammable-train-route-assessment-hra>.

<sup>13</sup> See [High-Hazard Flammable Train Route Assessment & Legacy Tank Car Focused Inspection Program Summary Report | FRA \(dot.gov\)](#).

<sup>14</sup> 88 Fed. Reg. 15116 (Mar. 10, 2023).

<sup>15</sup> *Id.* at 15116-15117.

<sup>16</sup> Public Law 114-74, Sec. 701 (Nov. 2, 2015).

<sup>17</sup> 88 Fed. Reg. at 15117.

<sup>18</sup> *Id.* at 15117-15118.

### III. SUMMARY OF INSPECTIONS AND AUDITS PERFORMED, AND ENFORCEMENT ACTIONS RECOMMENDED IN FY 2023

#### 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: <sup>19</sup>	61,630
Defects: <sup>20</sup>	242,463
Units: <sup>21</sup>	2,629,232
Number of Observations: <sup>22</sup>	285,508
Number of Reports with Recommended Violation Defects:	3,330
Number of Recommended Violation Defects: <sup>23</sup>	7,954
Number of Inspection Days: <sup>24</sup>	49,699

##### 2. Railroads Only

Number Of Inspection Reports:	55,579
Defects:	222,860
Units:	2,567,806
Number of Observations:	266,853
Number of Reports with Recommended Violation Defects:	2,720
Number of Recommended Violation Defects:	6,778
Number of Inspection Days:	46,486

<sup>19</sup> An inspector uses the Form FRA F 6180.96 report to record his/her inspection related activities. All inspection reports include the entity inspected, location of the inspection, defects or exceptions found, FRA activity codes, and the date of the inspection. An inspector can write one or more inspection reports per day depending on the circumstances. The inspection report is provided to the railroad, hazardous materials shipper, contractor, or other entity following inspection.

<sup>20</sup> Defects refer to an inspector’s observations of actions or conditions that the inspector determines to be non-compliant with Federal laws, regulations, or FRA orders. A defect can be considered a warning for an instance of non-compliance. Before each routine inspection, FRA inspectors review previous inspection reports at the same location and pay special attention to items that were previously classified as defects.

<sup>21</sup> A unit represents an item inspected. That item could be, for example, a railroad car, a locomotive, a mile of track walked, a turnout, or a signal system.

<sup>22</sup> An observation represents an inspection performed or a particular activity completed during an inspection. The inspector may record up to eleven distinct activities on each inspection report. The number of observations is not the same as the number of defects because an inspector may record an observation of an activity that is in compliance with applicable laws and regulations.

<sup>23</sup> Recommended violation defects refer to those defects for which an inspector has determined that the best method of prompting compliance is to recommend the assessment of a civil penalty. Violation reports are prepared separately from inspection reports.

<sup>24</sup> An inspection day is a measure of the number of days spent inspecting. An inspector is credited for one inspection day when one or more unique inspection reports have been written on a single day. Software is used to generate these counts and also to prevent double counting when multiple reports are written in one day.



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

**1. Accident/Incident Reporting**

<u>Violation Type</u>	<u>Number of Recommended Violations</u>
Accident Reporting	154

**2. Grade Crossing Signal System Safety**

<u>Violation Type</u>	<u>Number of Recommended Violations</u>
Grade Crossing Signal Safety	275

**3. Hazardous Materials**

<u>Violation Type</u>	<u>Number of Recommended Violations</u>
Hazardous Materials	2,325

**4. Industrial Hygiene**

<u>Violation Type</u>	<u>Number of Recommended Violations</u>
Occupational Noise Exposure	0

**5. Motive Power and Equipment**

<u>Violation Type</u>	<u>Number of Recommended Violations</u>
Freight Car Safety Standards	748
Locomotive Safety Standards	565
Passenger Equipment Safety Standards	4
Passenger Train Emergency Preparedness	0
Rear End Marking Devices	3
Safety Appliance Statutes and Regulations	1,782
Safety Glazing Standards	1
Steam Locomotive Inspection and Maintenance	0
All	3,103

**6. Railroad Operating Practices**

<u>Violation Type</u>	<u>Number of Recommended Violations</u>
Alcohol and Drug Use	325
Conductor Qualifications	20
Critical Incident Stress Plans	0
Engineer Qualifications	66
FRA Emergency Order(s)	0
Hours of Service Laws and Regulations	359
Hours of Service Recordkeeping	64

<b>Railroad Communications</b>	22
<b>Railroad Operating Practices</b>	385
<b>Railroad Operating Rules</b>	337
<b>Railroad Safety Enforcement Procedures</b>	19
<b>Train Horn/Quiet Zone</b>	8
<b>Total</b>	1,605

## 7. Signal and Train Control

<u>Violation Type</u>	<b>Number of Recommended Violations</b>
<b>Signal Inspection Regulations</b>	68

## 8. Track

<u>Violation Type</u>	<b>Number of Recommended Violations</b>
<b>Bridge Safety Standards</b>	12
<b>Bridge Worker Safety Standards</b>	1
<b>Roadway Worker Protection</b>	101
<b>Track Safety Standards</b>	307
<b>All</b>	421

## 9. Safety Management Systems

<u>Violation Type</u>	<b>Number of Recommended Violations</b>
<b>System Safety Program</b>	3

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

### 1. Class I Railroads

Number Of Inspection Reports:	40,551
Defects:	175,195
Units:	2,018,558
Number of Observations:	199,832
Number of Reports with Recommended Violation Defects:	2,327
Number of Recommended Violation Defects:	6,075
Number of Inspection Days: <sup>25</sup>	34,616

<sup>25</sup> The total number of inspection days for Class I railroads in II.C.1 of this report is less than the sum of all the individual Class I railroads' inspection days cited in II.D.1-8 of this Enforcement 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 Footnote 23.

## 2. Probable Class II Railroads<sup>26</sup>

Number Of Inspection Reports:	1,747
Defects:	6,004
Units:	116,314
Number of Observations:	8,315
Number of Reports with Recommended Violation Defects:	43
Number of Recommended Violation Defects:	68
Number of Inspection Days:	1,578

## 3. Probable Class III Railroads

Number Of Inspection Reports:	13,281
Defects:	44,661
Units:	432,934
Number of Observations:	58,706
Number of Reports with Recommended Violation Defects:	350
Number of Recommended Violation Defects:	635
Number of Inspection Days:	11,827

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<sup>26</sup> FRA has identified seven of the eight Class I railroads in FY 2023 based on information they filed with the Surface Transportation Board (STB) for calendar year 2022—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 likely 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 likely 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.); 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:	8,405
Defects:	32,960
Units:	403,382
Number of Observations:	40,624
Number of Reports with Recommended Violation Defects:	358
Number of Recommended Violation Defects:	619
Number of Inspection Days:	7,379

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

Number Of Inspection Reports:	1,986
Defects:	10,183
Units:	108,399
Number of Observations:	10,173
Number of Reports with Recommended Violation Defects:	100
Number of Recommended Violation Defects:	140
Number of Inspection Days:	1,735

### **3. Canadian Pacific Kansas City Limited<sup>27</sup>**

Number Of Inspection Reports:	2,126
Defects:	9,883
Units:	118,636
Number of Observations:	10,788
Number of Reports with Recommended Violation Defects:	68
Number of Recommended Violation Defects:	90
Number of Inspection Days:	1,895

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<sup>27</sup> Canadian Pacific Kansas City Limited formed on April 14, 2023, from the merger of Canadian Pacific Railway and Kansas City Southern Railway. This table summarizes inspection data from the merged railway.

#### **4. Canadian Pacific Railway/Soo Line Railroad Company<sup>28</sup>**

Number Of Inspection Reports:	630
Defects:	3,137
Units:	30,706
Number of Observations:	3,229
Number of Reports with Recommended Violation Defects:	24
Number of Recommended Violation Defects:	39
Number of Inspection Days:	574

#### **5. CSX Transportation, Inc.**

Number Of Inspection Reports:	7,325
Defects:	32,189
Units:	396,929
Number of Observations:	37,732
Number of Reports with Recommended Violation Defects:	311
Number of Recommended Violation Defects:	1,622
Number of Inspection Days:	6,607

#### **6. The Kansas City Southern Railway Company<sup>29</sup>**

Number Of Inspection Reports:	427
Defects:	1,794
Units:	33,887
Number of Observations:	2,159
Number of Reports with Recommended Violation Defects:	15
Number of Recommended Violation Defects:	17
Number of Inspection Days:	382

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<sup>28</sup> This table primarily summarizes pre-merger inspection data pertaining to Canadian Pacific Railway. A small number of post-merger inspection reports continued to use the Canadian Pacific Railway inspection code.

<sup>29</sup> This table primarily summarizes pre-merger inspection data pertaining to Kansas City Southern Railway. A small number of post-merger inspection reports continued to use the Kansas City Southern Railway inspection code.

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

Number Of Inspection Reports:	1,258
Defects:	2,230
Units:	13,157
Number of Observations:	6,035
Number of Reports with Recommended Violation Defects:	39
Number of Recommended Violation Defects:	115
Number of Inspection Days:	1,003

**8. Norfolk Southern Railway Company**

Number Of Inspection Reports:	7,799
Defects:	37,555
Units:	384,659
Number of Observations:	38,037
Number of Reports with Recommended Violation Defects:	485
Number of Recommended Violation Defects:	1,095
Number of Inspection Days:	6,993

**9. Union Pacific Railroad Company**

Number Of Inspection Reports:	11,652
Defects:	50,195
Units:	593,396
Number of Observations:	56,443
Number of Reports with Recommended Violation Defects:	966
Number of Recommended Violation Defects:	2,394
Number of Inspection Days:	10,124

## **IV. SUMMARIES OF CIVIL PENALTY INITIAL ASSESSMENTS, SETTLEMENTS, AND FINAL ASSESSMENTS IN FY 2023<sup>30</sup>**

### **A. IN GENERAL**

#### **Summary 1**

Summary 1 provides a broad overview of penalties FRA initially assessed during FY 2023, the initial penalty assessment<sup>31</sup> for cases closed during FY 2023 and the amount of the settlement or the final assessment of civil penalty.<sup>32</sup> Following the summary in aggregate for all regulated entities, the number of civil penalty cases and violations assessed against entity subcategories (e.g., Class I railroads) is shown, along with the monetary value in each subcategory.

Summary 1, below, provides the following:

- The number of violations for which FRA assessed a civil penalty in FY 2023 (through demand letters or, in hazmat cases, notices of probable violation);
- The number of violation reports that FRA declined to enforce in FY 2023 after legal review;
- The initial amount of civil penalties assessed in FY 2023 (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 2023;
- 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 2023; and
- The total amount of civil penalties assessed or settled during FY 2023.<sup>33</sup>

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<sup>30</sup> The totals in this section exclude civil penalty cases against individuals. Those are addressed in section V.

<sup>31</sup> Initial penalty assessment refers to the total amount of all penalties listed on demand letters issued to the entity or class of entities for violations of Federal laws and FRA regulations and orders during the fiscal year. This is the same as the total potential collectible amount (“POCA”) for those cases over the same period.

<sup>32</sup> FRA transitioned to a paperless enforcement system in 2020. This paperless system requires each case to be comprised of a single violation report. The prior system permitted cases to include more than one violation report in each case. As a result, comparing the number of cases issued or closed across fiscal years may be misleading. Instead, FRA suggests reviewing the number of distinct violations issued or closed will present a more meaningful comparison.

<sup>33</sup> In this report, FRA rounded settlement amounts to the nearest whole dollar.

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

Total number of cases with civil penalties initially assessed in FY 2023:	3,789
Total number of violations with civil penalties initially assessed in FY 2023:	3,958
Total number of violation reports declined during legal review in FY 2023:	31
Total amount of civil penalties initially assessed (POCA) for violations in cases transmitted in FY 2023:	\$21,269,286
Total amount of civil penalties initially assessed (POCA) for violations in cases finally assessed or settled in FY 2023:	\$22,627,058
Total final civil penalty assessment or settlement in FY 2023:	\$15,630,602

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

**1. For Each Class I Railroad Individually in FY 2023**

AMTRAK

Number of cases with civil penalties initially assessed:	45
Number of violations with civil penalties initially assessed:	49
Number of violation reports declined during legal review:	0
Initial amount of civil penalty assessed:	\$380,000

BNSF RAILWAY COMPANY

Number of cases with civil penalties initially assessed:	485
Number of violations with civil penalties initially assessed:	500
Number of violation reports declined during legal review:	2
Initial amount of civil penalty assessed:	\$2,085,500

CANADIAN NATIONAL RAILWAY/GRAND TRUNK CORPORATION

Number of cases with civil penalties initially assessed:	130
Number of violations with civil penalties initially assessed:	130
Number of violation reports declined during legal review:	0
Initial amount of civil penalty assessed:	\$590,500



CANADIAN PACIFIC KANSAS CITY LIMITED

Number of cases with civil penalties initially assessed:	11
Number of violations with civil penalties initially assessed:	11
Number of violation reports declined during legal review:	0
Initial amount of civil penalty assessed:	\$90,000

CANADIAN PACIFIC RAILWAY/SOO LINE RAILROAD COMPANY

Number of cases with civil penalties initially assessed:	34
Number of violations with civil penalties initially assessed:	38
Number of violation reports declined during legal review:	2
Initial amount of civil penalty assessed:	\$261,784

CSX TRANSPORTATION, INC.

Number of cases with civil penalties initially assessed:	372
Number of violations with civil penalties initially assessed:	377
Number of violation reports declined during legal review:	8
Initial amount of civil penalty assessed:	\$2,369,356

THE KANSAS CITY SOUTHERN RAILWAY COMPANY

Number of cases with civil penalties initially assessed:	21
Number of violations with civil penalties initially assessed:	21
Number of violation reports declined during legal review:	0
Initial amount of civil penalty assessed:	\$97,000

NORFOLK SOUTHERN RAILWAY COMPANY

Number of cases with civil penalties initially assessed:	710
Number of violations with civil penalties initially assessed:	725
Number of violation reports declined during legal review:	11
Initial amount of civil penalty assessed:	\$4,344,545

UNION PACIFIC RAILROAD COMPANY

Number of cases with civil penalties initially assessed:	972
Number of violations with civil penalties initially assessed:	1,006
Number of violation reports declined during legal review:	1
Initial amount of civil penalty assessed:	\$4,664,500

**2. For Probable Class II Railroads in the Aggregate in FY 2023**

Number of cases with civil penalties initially assessed:	56
Number of violations with civil penalties initially assessed:	56
Number of violation reports declined during legal review:	0
Initial amount of civil penalty assessed:	\$345,000

**3. For Probable Class III Railroads in the Aggregate in FY 2023<sup>34</sup>**

Number of cases with civil penalties initially assessed:	313
Number of violations with civil penalties initially assessed:	336
Number of violation reports declined during legal review:	2
Initial amount of civil penalty assessed:	\$1,875,500

**4. For Hazmat Shippers in the Aggregate in FY 2023**

Number of cases with civil penalties initially assessed:	571
Number of violations with civil penalties initially assessed:	630
Number of violation reports declined during legal review:	0
Initial amount of civil penalty assessed:	\$3,723,601

**5. For Contractors in the Aggregate in FY 2023**

Number of cases with civil penalties initially assessed:	69
Number of violations with civil penalties initially assessed:	79
Number of violation reports declined during legal review:	0
Initial amount of civil penalty assessed:	\$464,000

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<sup>34</sup> This category may be over-inclusive as STB jurisdiction may not extend to some of the commuter railroads that FRA has listed as Class III railroads. Regardless, the “Total final civil penalty assessment or settlement in FY 2023” 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 2023<sup>35</sup>**

Number of cases with civil penalties initially assessed:	50
Number of violations with civil penalties initially assessed:	55
Number of violation reports declined during legal review:	0
Initial amount of civil penalty assessed:	\$355,000

**Summary 2**

Summary 2, below, shows initial assessment information only for those cases closed during FY 2023. **All numbers in Summary 2 reflect the initial assessments that resulted in FY 2023 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.

**D. SUMMARY 2—DETAILED SUMMARY OF SETTLEMENTS AND FINAL ASSESSMENTS OF CIVIL PENALTIES IN FY 2023**

Number of cases closed:	4,606
Number of violations in cases closed:	6,046
Initial amount of civil penalty assessed for cases closed (POCA):	\$22,627,058
Final amount of civil penalty assessed or settlement for cases closed:	\$15,630,602
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$2,016,750
Amount of revised assessment after terminations (PRCA):	\$20,610,308
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$6,996,456
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$4,979,706

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<sup>35</sup> The category of “other cases” includes all hazardous materials civil penalty cases against respondents that are coded in FRA’s railroad enforcement system as contractors rather than shippers. Some entities have been classified as contractors based on criteria unrelated to the shipment of hazardous materials but perform functions under hazardous materials regulations that are associated with shippers.

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

**1. For Each Class I Railroad Individually in FY 2023**

AMTRAK

Number of cases closed:	34
Number of violations in cases closed:	36
Initial amount of civil penalty assessed for cases closed (POCA):	\$267,000
Final amount of civil penalty assessed or settlement for cases closed:	\$157,770
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$0
Amount of revised assessment after terminations (PRCA):	\$229,000
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$109,230
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$71,230

BNSF RAILWAY COMPANY

Number of cases closed:	555
Number of violations in cases closed:	578
Initial amount of civil penalty assessed for cases closed (POCA):	\$2,170,904
Final amount of civil penalty assessed or settlement for cases closed:	\$1,546,315
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$145,500
Amount of revised assessment after terminations (PRCA):	\$2,025,404
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$624,589
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$479,089

CANADIAN NATIONAL RAILWAY/GRAND TRUNK CORPORATION

Number of cases closed:	120
Number of violations in cases closed:	121
Initial amount of civil penalty assessed for cases closed (POCA):	\$427,000
Final amount of civil penalty assessed or settlement for cases closed:	\$306,772
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$4,000
Amount of revised assessment after terminations (PRCA):	\$423,000
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$120,228
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$116,228

CANADIAN PACIFIC RAILWAY/SOO LINE RAILROAD COMPANY<sup>36</sup>

Number of cases closed:	79
Number of violations in cases closed:	84
Initial amount of civil penalty assessed for cases closed (POCA):	\$577,784
Final amount of civil penalty assessed or settlement for cases closed:	\$423,127
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$12,500
Amount of revised assessment after terminations (PRCA):	\$565,284
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$154,657
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$142,157

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<sup>36</sup> The merger of Canadian Pacific Railway/Soo Line Railroad Company and Kansas City Southern Railway Company occurred on April 14, 2023. Although cases assessed against the pre-merger companies were settled in FY 2023, cases assessed against the merged entity have been held for a settlement conference in FY 2024.

CSX TRANSPORTATION, INC.

Number of cases closed:	415
Number of violations in cases closed:	419
Initial amount of civil penalty assessed for cases closed (POCA):	\$1,969,770
Final amount of civil penalty assessed or settlement for cases closed:	\$1,418,300
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$26,500
Amount of revised assessment after terminations (PRCA):	\$1,943,270
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$551,470
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$524,970

THE KANSAS CITY SOUTHERN RAILWAY COMPANY

Number of cases closed:	71
Number of violations in cases closed:	71
Initial amount of civil penalty assessed for cases closed (POCA):	\$284,000
Final amount of civil penalty assessed or settlement for cases closed:	\$190,351
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$7,500
Amount of revised assessment after terminations (PRCA):	\$276,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$93,649
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$86,149

NORFOLK SOUTHERN RAILWAY COMPANY

Number of cases closed:	785
Number of violations in cases closed:	813
Initial amount of civil penalty assessed for cases closed (POCA):	\$3,735,617
Final amount of civil penalty assessed or settlement for cases closed:	\$2,858,714
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$115,000
Amount of revised assessment after terminations (PRCA):	\$3,620,617
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$876,903
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$761,903

UNION PACIFIC RAILROAD COMPANY

Number of cases closed:	1,183
Number of violations in cases closed:	1,213
Initial amount of civil penalty assessed for cases closed (POCA):	\$4,695,000
Final amount of civil penalty assessed or settlement for cases closed:	\$3,519,860
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$51,500
Amount of revised assessment after terminations (PRCA):	\$4,643,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$1,175,140

**2. For Probable Class II Railroads in the Aggregate in FY 2023**

Number of cases closed:	55
Number of violations in cases closed:	55
Initial amount of civil penalty assessed for cases closed (POCA):	\$311,500
Final amount of civil penalty assessed or settlement for cases closed:	\$225,840
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$15,000
Amount of revised assessment after terminations (PRCA):	\$296,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$85,660
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$70,660

**3. For Probable Class III Railroads in the Aggregate in FY 2023**

Number of cases closed:	412
Number of violations in cases closed:	465
Initial amount of civil penalty assessed for cases closed (POCA):	\$2,152,497
Final amount of civil penalty assessed or settlement for cases closed:	\$1,096,980
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$454,497
Amount of revised assessment after terminations (PRCA):	\$2,147,497
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$1,055,517
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$601,020



<b>4. For Hazmat Shippers in the Aggregate in FY 2023</b>	
Number of cases closed:	718
Number of violations in cases closed:	825
Initial amount of civil penalty assessed for cases closed (POCA):	\$4,786,433
Final amount of civil penalty assessed or settlement for cases closed:	\$3,180,585
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$831,258
Amount of revised assessment after terminations (PRCA):	\$3,955,175
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$1,605,848
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$774,590

<b>5. For Contractors in the Aggregate in FY 2023</b>	
Number of cases closed:	31
Number of violations in cases closed:	36
Initial amount of civil penalty assessed for cases closed (POCA):	\$163,058
Final amount of civil penalty assessed or settlement for cases closed:	\$109,002
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$22,500
Amount of revised assessment after terminations (PRCA):	\$140,558
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$54,056
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$31,556

<b>6. For Other Cases in the Aggregate in FY 2023<sup>37</sup></b>	
Number of cases closed:	62
Number of violations in cases closed:	76
Initial amount of civil penalty assessed for cases closed (POCA):	\$603,995
Final amount of civil penalty assessed or settlement for cases closed:	\$291,800
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$210,495
Amount of revised assessment after terminations (PRCA):	\$393,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$312,195
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$101,700

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<sup>37</sup> The category of “other cases” includes all hazardous materials civil penalty cases against respondents that are coded in FRA’s railroad enforcement system as contractors rather than shippers. Some entities have been classified as contractors based on criteria unrelated to the shipment of hazardous materials but perform functions under hazardous materials regulations that are associated with shippers.

## V. ENFORCEMENT ACTIONS AGAINST INDIVIDUALS IN FY 2023

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

Total number of civil penalty cases initially assessed in FY 2023:	0
Total number of violations with civil penalties initially assessed in FY 2023:	0
Total initial amount of civil penalty assessed in FY 2023:	\$0
Number of civil penalty cases closed in FY 2023:	0
Total number of violations in cases closed in FY 2023:	0
Total initial amount of civil penalty assessed for cases closed in FY 2023:	\$0
Total final amount of civil penalty assessed (or settlement) for cases closed in FY 2023:	\$0
Amount terminated (generally due to legal defenses presented during settlement negotiations) for cases closed in FY 2023:	\$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 2023:	\$0
Difference between initial amount of civil penalty assessed (POCA) and final settlement amount for a violation in a case closed in FY 2023:	\$0

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

Number of notices of proposed disqualification issued and served in FY 2023:	7
Number of proposed disqualification cases closed in FY 2023:	2
Number of warning letters issued by Office of the Chief Counsel in FY 2023:	0

## VI. SUMMARY AND ANALYSIS OF OPERATING CREW CERTIFICATION CASES<sup>38</sup>

### A. OPERATING CREW REVIEW BOARD (OCRB)

Petitions for relief filed with the OCRB in FY 2023: 27  
[12 Conductor + 15 Locomotive Engineer]

Decisions issued by the OCRB in FY 2023: 30  
[11 Conductor + 19 Locomotive Engineer]

[Note: 3 Conductor + 2 Locomotive Engineer petitions were withdrawn]

Average length of time for decision in FY 2023: 344 days from the date petition filed.<sup>39</sup>

(255 days from the date of the railroad's response to the appeal to the date that a decision was issued)<sup>40</sup>

### B. ADMINISTRATIVE HEARINGS

Number of pending cases before the Administrative Hearing Officer (AHO) as of October 1, 2023: 2  
Number of requests for review by the AHO received during FY 2023: 0  
Number of cases closed by the AHO during FY 2023:<sup>41</sup> 0  
Number of pending AHO cases as of October 1, 2023: 2  
Average length of time for decision or other disposition: 6-12 months

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<sup>38</sup> Prior to January 14, 2021, FRA's Locomotive Engineer Review Board (LERB) reviewed 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) reviewed 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. Both types of crew members now have their petitions reviewed solely by the OCRB. *See* 85 Fed. Reg. 81290 (Dec. 15, 2020).

<sup>39</sup> The 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 OCRB's goals for rendering a decision during most of this period equate to 300 days from the date the petition is filed.

<sup>40</sup> *See* preceding footnote.

<sup>41</sup> The number of cases the AHO closed includes cases closed by decision, stipulation, or dismissal.

**C. APPEALS TO THE ADMINISTRATOR**

Appeals to the Administrator from the AHO decisions filed in FY 2023:	1
Number of Appeals Pending during FY 2023: (as of October 1, 2021, there were 2 cases pending)	3
Decisions issued by the Administrator during FY 2023:	0
Average length of time for decision issued in FY 2023: (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 2023:	1
Number of hearing-request cases completed in FY 2023:	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 2023:	0
Number of cases referred to the Attorney General for criminal enforcement in FY 2023:	0

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

FRA did not issue compliance orders, emergency orders, or precursor agreements in FY 2023.

**APPENDIX A**  
**“Railroad Safety Civil Penalty Cases Closed during Fiscal Year**  
**2023”**

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

**RAILROAD SAFETY CIVIL PENALTY CASES  
CLOSED DURING FISCAL YEAR 2023**

This report summarizes the disposition of all civil penalty cases for which the Federal Railroad Administration (FRA) reached an agreement to collect a civil penalty, issued an order requiring the payment of a civil penalty, or otherwise closed under the Federal railroad safety statutes and regulations the hazardous materials transportation laws (HMT) during fiscal year 2023. FRA closed cases under most of these statutes by settlement, and under the HMT generally by final orders of assessment. Total penalty settlements and final assessments against companies, summarized in this report, were as follows:

Railroad safety statutes (except HMT)	\$10,906,442
HMT	\$4,724,160
Total Civil Penalties	\$15,630,602

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, 270 through 272, and 299 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 Record Keeping
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 Standard 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 are by a respondent code (see the legend provided at the end of this report), which appears as the letters in the case number after "FRA No. ". FRA identifies hazardous materials and emergency order cases involving shippers by a respondent code beginning with the letter "Z".

FRA identifies cases involving contractors by a respondent code beginning with the letter "X". The column labeled "POCA" shows the initial penalty assessed in the case. The column labeled "PRCA" shows the total amount of the initial assessment for alleged violations that FRA concluded it would be able to sustain if the case were litigated. There are two situations when PRCA does not equal to POCA. First, would be if FRA concluded one or more of the violations initially alleged could likely not be sustained. FRA considers such violations terminated. Second, would be if FRA decided the violation could be sustained but the initial penalty assessment for the violation was incorrect. For such cases, FRA corrects the penalty amount and the violation is considered "partially terminated." Cases against individuals (who are liable for civil penalties for willful violations) are identified by the prefix "Indpen" and are listed separately. The "Comments" column shows the violation number of terminated or partially terminated violations.

**FRA Civil Penalty Cases against Individuals  
Closed in Fiscal Year 2023**

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

**Federal Railroad Administration**  
**Safety Cases Closed in FY 2023**

<u>FRA Number</u>	<u>No.</u> <u>Viol.</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement</u> <u>Amount</u>	<u>Settlement</u> <u>Date</u>	<u>Comments</u>
ACWR 2022-001(SA)	1	\$5,000	\$5,000	\$3,400	1/9/2023	
ACWR 2022-002(SA)	1	\$5,000	\$5,000	\$3,400	1/9/2023	
ACWR 2023-001(ROP)	1	\$4,000	\$4,000	\$2,720	7/26/2023	
AGR 2022-001(SA)	1	\$5,000	\$5,000	\$3,550	9/25/2023	
AGR 2022-002(SA)	1	\$2,500	\$2,500	\$1,775	9/25/2023	
AKMD 2022-001(TS)	1	\$7,000	\$7,000	\$4,690	9/25/2023	
ALE 2023-001(SA)	1	\$5,000	\$5,000	\$3,000	1/26/2023	
ALS 2020-015(SA)	1	\$5,000	\$5,000	\$3,100	9/28/2023	
ALS 2021-011(LI)	1	\$1,500	\$1,500	\$1,140	9/28/2023	
ALS 2022-001(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
ALS 2022-002(LI)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
ALS 2022-003(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
ALS 2022-005(HMT)	1	\$7,500	\$7,500	\$5,700	9/28/2023	
ALS 2022-007(ROP)	1	\$7,500	\$7,500	\$5,700	9/28/2023	
ALS 2022-008(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
ALS 2022-009(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
AM 2022-003(ROP)	1	\$5,000	\$5,000	\$3,800	11/15/2022	
AM 2022-004(RSP)	1	\$9,500	\$9,500	\$6,175	11/15/2022	
AR 2021-002(GC)	1	\$2,500	\$2,500	\$2,500	10/26/2022	
ARR 2021-001(ROP)	1	\$7,500	\$7,500	\$5,250	1/30/2023	
ARR 2021-002(RW)	1	\$3,000	\$3,000	\$1,075	1/30/2023	
ARR 2022-001(SA)	1	\$5,000	\$5,000	\$3,500	1/30/2023	
ARR 2022-002(SA)	1	\$5,000	\$5,000	\$3,300	1/30/2023	
ARR 2022-003(ROP)	1	\$9,500	\$9,500	\$9,500	6/14/2023	
ARR 2023-001(GC)	1	\$2,500	\$2,500	\$2,500	6/22/2023	
ATK 2022-006(AR)	1	\$2,500	\$2,500	\$1,700	8/30/2023	

ATK 2022-007(TS)	1	\$5,000	\$5,000	\$3,550	8/30/2023	
ATK 2022-008(HS)	1	\$1,500	\$1,500	\$1,200	8/30/2023	
ATK 2022-009(HS)	1	\$1,500	\$1,500	\$1,200	8/30/2023	
ATK 2022-010(HS)	1	\$1,500	\$1,500	\$1,200	8/30/2023	
ATK 2022-011(HS)	1	\$1,500	\$1,500	\$1,170	8/30/2023	
ATK 2022-012(ROP)	1	\$9,500	\$9,500	\$6,600	8/30/2023	
ATK 2022-013(TS)	2	\$7,500	\$7,500	\$5,175	8/30/2023	
ATK 2022-014(TS)	1	\$5,000	\$5,000	\$3,500	8/30/2023	
ATK 2022-015(TS)	1	\$5,000	\$5,000	\$2,500	8/30/2023	
ATK 2022-016(HS)	1	\$1,500	\$1,500	\$1,200	8/30/2023	
ATK 2022-017(HS)	1	\$1,500	\$1,500	\$1,200	8/30/2023	
ATK 2022-018(HS)	1	\$1,500	\$1,500	\$1,200	8/30/2023	
ATK 2022-019(SI)	1	\$2,500	\$2,500	\$1,775	8/30/2023	
ATK 2022-020(HS)	1	\$1,500	\$1,500	\$1,200	8/30/2023	
ATK 2022-021(LI)	1	\$2,500	\$2,500	\$1,725	8/30/2023	
ATK 2022-022(RW)	4	\$8,000	\$0	\$0	8/30/2023	Case Terminated
ATK 2022-023(LI)	1	\$2,500	\$2,500	\$1,725	8/30/2023	
ATK 2022-024(HS)	1	\$1,500	\$1,500	\$1,200	8/30/2023	
ATK 2022-025(HS)	1	\$1,500	\$1,500	\$1,200	8/30/2023	
ATK 2022-026(SI)	1	\$1,500	\$1,500	\$1,150	8/30/2023	
ATK 2022-027(AD)	3	\$15,000	\$15,000	\$10,350	8/30/2023	
ATK 2022-028(AD)	1	\$5,000	\$5,000	\$3,450	8/30/2023	
ATK 2022-029(AD)	1	\$5,000	\$5,000	\$3,450	8/30/2023	
ATK 2022-030(AD)	1	\$5,000	\$5,000	\$3,450	8/30/2023	
ATK 2022-031(AD)	2	\$10,000	\$10,000	\$6,900	8/30/2023	
ATK 2022-032(AD)	35	\$87,500	\$82,500	\$56,000	8/30/2023	Terminated Violations: 1
ATK 2022-033(LI)	1	\$2,500	\$2,500	\$1,775	8/30/2023	
ATK 2022-034(HS)	4	\$6,000	\$6,000	\$4,700	8/30/2023	
ATK 2022-035(LI)	1	\$2,500	\$2,500	\$1,725	8/30/2023	
ATK 2023-001(AD)	10	\$25,000	\$5,000	\$4,000	8/30/2023	Terminated Violations: 1

ATK 2023-002(AD)	10	\$25,000	\$20,000	\$14,000	8/30/2023	Terminated Violations: 1
ATK 2023-003(HS)	3	\$6,000	\$6,000	\$3,300	8/30/2023	
ATK 2023-004(HS)	3	\$6,000	\$6,000	\$3,300	8/30/2023	
ATN 2022-005(AD)	1	\$2,500	\$2,500	\$1,875	1/23/2023	
AWRR 2022-001(SA)	1	\$5,000	\$5,000	\$4,000	9/18/2023	
AZER 2022-001(SA)	1	\$5,000	\$5,000	\$3,350	9/25/2023	
BAYL 2022-001(SA)	2	\$10,000	\$10,000	\$7,000	9/25/2023	
BAYL 2022-002(SA)	1	\$5,000	\$5,000	\$3,500	9/25/2023	
BAYL 2022-003(HMT)	3	\$22,500	\$22,500	\$15,750	9/25/2023	
BB 2022-001(GC)	1	\$1,000	\$1,000	\$976	10/25/2022	
BB 2022-002(GC)	1	\$5,000	\$5,000	\$3,500	10/25/2022	
BB 2022-003(GC)	1	\$2,500	\$2,500	\$2,000	10/25/2022	
BB 2023-001(TS)	2	\$10,000	\$10,000	\$7,500	8/29/2023	
BHRR 2023-001(ROP)	1	\$2,000	\$2,000	\$1,475	9/18/2023	
BJRY 2022-001(GC)	1	\$2,500	\$2,500	\$2,000	1/6/2023	
BLF 2023-001(AD)	1	\$2,500	\$2,500	\$2,500	5/24/2023	
BLF 2023-002(AD)	1	\$2,500	\$2,500	\$2,500	5/23/2023	
BLU 2022-001(TS)	1	\$5,000	\$5,000	\$2,500	9/18/2023	
BM 2022-002(TS)	1	\$5,000	\$5,000	\$3,700	9/27/2023	
BNSF 2017-172(RW)	1	\$25,000	\$25,000	\$21,250	9/28/2023	
BNSF 2017-197(RW)	1	\$27,904	\$27,904	\$23,718	9/28/2023	
BNSF 2019-433(HMT)	1	\$25,000	\$25,000	\$18,250	9/28/2023	
BNSF 2020-421(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2021-045(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2021-081(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2021-169(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2021-191(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2021-253(GC)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2021-260(SA)	3	\$15,000	\$15,000	\$10,950	9/28/2023	
BNSF 2021-279(GC)	1	\$5,000	\$5,000	\$3,650	9/28/2023	

BNSF 2021-283(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2021-298(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2021-353(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2021-361(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2021-372(SA)	2	\$10,000	\$5,000	\$5,000	9/28/2023	Terminated Violations: 1
BNSF 2021-402(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2021-420(GC)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2021-421(AD)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-036(ROP)	1	\$9,500	\$9,500	\$6,935	9/28/2023	
BNSF 2022-041(ROP)	1	\$9,500	\$9,500	\$6,935	9/28/2023	
BNSF 2022-048(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-072(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-073(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-079(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-093(TS)	4	\$8,000	\$8,000	\$5,840	9/28/2023	
BNSF 2022-097(HSR)	1	\$1,000	\$1,000	\$919	9/28/2023	
BNSF 2022-104(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-109(EQ)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-113(TS)	10	\$25,000	\$12,500	\$9,125	9/28/2023	
BNSF 2022-117(TS)	5	\$17,500	\$17,500	\$12,775	9/28/2023	
BNSF 2022-121(GS)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-123(SA)	1	\$5,000	\$0	\$0	9/28/2023	Case Terminated
BNSF 2022-128(SA)	1	\$5,000	\$0	\$0	9/28/2023	Case Terminated
BNSF 2022-132(SA)	1	\$5,000	\$0	\$0	9/28/2023	Case Terminated
BNSF 2022-135(SA)	1	\$5,000	\$0	\$0	9/28/2023	Case Terminated
BNSF 2022-153(FCS)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-155(SA)	1	\$2,000	\$2,000	\$1,460	9/28/2023	
BNSF 2022-157(FCS)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-159(AD)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-160(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	

BNSF 2022-161(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-162(HS)	2	\$2,000	\$2,000	\$1,838	9/28/2023	
BNSF 2022-163(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-164(FCS)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-165(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-166(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-167(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-168(AD)	1	\$10,000	\$10,000	\$7,300	9/28/2023	
BNSF 2022-169(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2022-170(ROP)	1	\$7,500	\$7,500	\$5,475	9/28/2023	
BNSF 2022-171(HS)	2	\$2,000	\$2,000	\$1,838	9/28/2023	
BNSF 2022-173(HSR)	2	\$2,000	\$2,000	\$1,838	9/28/2023	
BNSF 2022-174(HS)	2	\$2,000	\$2,000	\$1,838	9/28/2023	
BNSF 2022-175(HSR)	2	\$2,000	\$2,000	\$1,838	9/28/2023	
BNSF 2022-176(HS)	2	\$4,000	\$4,000	\$2,920	9/28/2023	
BNSF 2022-177(ROP)	1	\$7,500	\$7,500	\$5,475	9/28/2023	
BNSF 2022-179(HS)	2	\$2,000	\$2,000	\$1,838	9/28/2023	
BNSF 2022-180(HS)	2	\$4,000	\$4,000	\$2,920	9/28/2023	
BNSF 2022-181(SA)	1	\$5,000	\$0	\$0	9/28/2023	Case Terminated
BNSF 2022-182(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-183(SI)	1	\$1,000	\$1,000	\$919	9/28/2023	
BNSF 2022-184(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-185(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-186(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-187(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-188(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-189(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-190(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-191(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-192(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-193(FCS)	1	\$5,000	\$5,000	\$3,650	9/28/2023	



BNSF 2022-194(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-195(FCS)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-196(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2022-197(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-198(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-199(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-200(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-201(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-202(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-203(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-204(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-205(HMT)	1	\$4,000	\$4,000	\$2,920	9/28/2023	
BNSF 2022-206(GC)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-207(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2022-208(GC)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-209(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-210(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2022-211(RW)	1	\$2,000	\$2,000	\$1,460	9/28/2023	
BNSF 2022-212(ROP)	2	\$15,000	\$15,000	\$10,950	9/28/2023	
BNSF 2022-213(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2022-214(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-215(TS)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-216(TS)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-217(TS)	2	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-218(TS)	3	\$15,000	\$15,000	\$10,950	9/28/2023	
BNSF 2022-219(TS)	2	\$3,000	\$3,000	\$2,619	9/28/2023	
BNSF 2022-220(TS)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-221(TS)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-222(SA)	1	\$5,000	\$0	\$0	9/28/2023	Case Terminated
BNSF 2022-223(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-224(FCS)	1	\$5,000	\$5,000	\$3,650	9/28/2023	

BNSF 2022-225(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2022-226(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2022-227(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2022-228(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2022-229(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2022-230(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023
BNSF 2022-231(SA)	1	\$1,000	\$1,000	\$919	9/28/2023
BNSF 2022-232(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2022-233(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
BNSF 2022-234(ROP)	1	\$7,500	\$7,500	\$5,475	9/28/2023
BNSF 2022-235(SA)	2	\$10,000	\$10,000	\$7,300	9/28/2023
BNSF 2022-236(HS)	1	\$2,000	\$2,000	\$1,952	9/28/2023
BNSF 2022-237(FCS)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2022-238(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2022-239(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2022-240(TS)	1	\$5,000	\$5,000	\$3,650	9/28/2023
BNSF 2022-241(TS)	1	\$1,000	\$1,000	\$976	9/28/2023
BNSF 2022-242(HS)	2	\$2,000	\$2,000	\$1,838	9/28/2023
BNSF 2022-243(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2022-244(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2022-245(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2022-246(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2022-247(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2022-248(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2022-249(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2022-250(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2022-251(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
BNSF 2022-252(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
BNSF 2022-253(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
BNSF 2022-254(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
BNSF 2022-255(TS)	1	\$5,000	\$5,000	\$4,000	9/28/2023

BNSF 2022-256(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-257(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2022-258(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-259(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2022-260(TS)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-261(TS)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-262(HMT)	1	\$2,000	\$2,000	\$1,460	9/28/2023	
BNSF 2022-263(HMT)	1	\$1,000	\$1,000	\$730	9/28/2023	
BNSF 2022-264(ROP)	1	\$9,500	\$9,500	\$6,935	9/28/2023	
BNSF 2022-265(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-266(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2022-267(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2022-268(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-269(TS)	1	\$1,000	\$1,000	\$892	9/28/2023	
BNSF 2022-270(TS)	1	\$1,000	\$1,000	\$919	9/28/2023	
BNSF 2022-271(TS)	2	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-272(HS)	2	\$2,000	\$2,000	\$1,838	9/28/2023	
BNSF 2022-273(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2022-274(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2022-275(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2022-276(HS)	2	\$2,000	\$0	\$0	9/28/2023	Case Terminated
BNSF 2022-277(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2022-278(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2022-279(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2022-280(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2022-281(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2022-282(TS)	2	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-283(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2022-284(ROP)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-285(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-286(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2023	

BNSF 2022-287(FCS)	2	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-288(LI)	3	\$7,500	\$7,500	\$5,475	9/28/2023	
BNSF 2022-289(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-290(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-291(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-292(SA)	2	\$10,000	\$10,000	\$7,300	9/28/2023	
BNSF 2022-293(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-294(RW)	1	\$2,000	\$2,000	\$1,460	9/28/2023	
BNSF 2022-295(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2022-296(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2022-297(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2022-298(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2022-299(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2022-300(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2022-301(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2022-302(HMT)	1	\$2,000	\$2,000	\$1,460	9/28/2023	
BNSF 2022-303(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-304(ROP)	1	\$7,500	\$7,500	\$5,475	9/28/2023	
BNSF 2022-305(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2022-307(HS)	2	\$2,000	\$0	\$0	9/28/2023	Case Terminated
BNSF 2022-308(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2022-309(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2022-310(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2022-311(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-312(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-313(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-314(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-315(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2022-316(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2022-317(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2022-318(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	

BNSF 2022-319(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
BNSF 2022-320(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
BNSF 2022-321(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
BNSF 2022-322(RSP)	3	\$28,500	\$28,500	\$20,805	9/28/2023
BNSF 2022-323(RSP)	1	\$9,500	\$9,500	\$6,935	9/28/2023
BNSF 2022-324(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
BNSF 2022-325(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
BNSF 2022-326(HS)	1	\$1,000	\$1,000	\$976	9/28/2023
BNSF 2022-327(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
BNSF 2022-328(GC)	1	\$5,000	\$5,000	\$3,650	9/28/2023
BNSF 2022-329(GC)	1	\$5,000	\$5,000	\$3,650	9/28/2023
BNSF 2022-330(ROP)	1	\$7,500	\$7,500	\$5,475	9/28/2023
BNSF 2022-331(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
BNSF 2022-332(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
BNSF 2022-333(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
BNSF 2022-334(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
BNSF 2022-335(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
BNSF 2022-336(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
BNSF 2022-337(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
BNSF 2022-338(ROP)	2	\$15,000	\$15,000	\$10,950	9/28/2023
BNSF 2022-339(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
BNSF 2022-340(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
BNSF 2022-341(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
BNSF 2022-342(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
BNSF 2022-343(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
BNSF 2022-345(GC)	1	\$2,500	\$2,500	\$2,000	9/28/2023
BNSF 2022-347(TS)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2022-348(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
BNSF 2022-349(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2022-350(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
BNSF 2022-351(HS)	1	\$1,000	\$1,000	\$976	9/28/2023

BNSF 2022-352(RSP)	1	\$9,500	\$9,500	\$6,935	9/28/2023	
BNSF 2022-353(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2022-354(TS)	1	\$2,500	\$2,500	\$2,125	9/28/2023	
BNSF 2022-355(SI)	1	\$5,000	\$5,000	\$4,500	9/28/2023	
BNSF 2022-356(RW)	1	\$1,500	\$1,500	\$1,095	9/28/2023	
BNSF 2022-357(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-358(TS)	2	\$10,000	\$10,000	\$7,300	9/28/2023	
BNSF 2022-359(TS)	2	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-360(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-361(TS)	2	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-362(TS)	2	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-363(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2022-364(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2022-365(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-366(SA)	2	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-367(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-368(TS)	1	\$1,000	\$1,000	\$976	9/28/2023	
BNSF 2022-369(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-370(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-371(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-372(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-373(ROP)	1	\$1,000	\$0	\$0	9/28/2023	Case Terminated
BNSF 2022-374(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-375(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-376(ROP)	1	\$9,500	\$9,500	\$6,935	9/28/2023	
BNSF 2022-377(SA)	1	\$5,000	\$0	\$0	9/28/2023	Case Terminated
BNSF 2022-379(SA)	1	\$5,000	\$0	\$0	9/28/2023	Case Terminated
BNSF 2022-380(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2022-381(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2022-382(ROP)	1	\$7,500	\$7,500	\$5,475	9/28/2023	
BNSF 2022-383(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	

BNSF 2022-384(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
BNSF 2022-385(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
BNSF 2022-386(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023
BNSF 2022-387(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2022-388(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023
BNSF 2022-389(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2022-390(ROP)	1	\$5,000	\$5,000	\$3,650	9/28/2023
BNSF 2022-391(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023
BNSF 2022-392(ROP)	1	\$2,000	\$2,000	\$1,460	9/28/2023
BNSF 2022-393(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023
BNSF 2022-394(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
BNSF 2022-395(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
BNSF 2022-396(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
BNSF 2022-397(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
BNSF 2022-398(ROP)	1	\$7,500	\$7,500	\$5,250	9/28/2023
BNSF 2022-399(TS)	5	\$5,000	\$5,000	\$4,880	9/28/2023
BNSF 2022-400(TS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
BNSF 2022-401(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
BNSF 2022-402(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
BNSF 2022-403(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
BNSF 2022-404(AD)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2022-405(AD)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2022-406(AD)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2022-407(AD)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2022-409(AD)	3	\$7,500	\$7,500	\$5,475	9/28/2023
BNSF 2022-410(AD)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2022-411(AD)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2022-412(AD)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2022-413(AD)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2022-414(AD)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2022-415(AD)	1	\$2,500	\$2,500	\$1,825	9/28/2023

BNSF 2022-416(AD)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-417(AD)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-418(AD)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-420(AD)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-421(AD)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-422(AD)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-423(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2022-424(AD)	1	\$2,000	\$2,000	\$1,460	9/28/2023	
BNSF 2022-425(AD)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-426(AD)	1	\$2,000	\$2,000	\$1,460	9/28/2023	
BNSF 2022-427(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-428(TS)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-429(TS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2022-430(TS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2022-432(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2022-434(EQ)	1	\$7,500	\$7,500	\$6,750	9/28/2023	
BNSF 2022-435(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-436(RSP)	1	\$9,500	\$9,500	\$6,935	9/28/2023	
BNSF 2022-437(HS)	3	\$3,000	\$3,000	\$2,928	9/28/2023	
BNSF 2022-438(GC)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-440(SA)	1	\$2,000	\$2,000	\$1,460	9/28/2023	
BNSF 2022-441(SA)	1	\$5,000	\$0	\$0	9/28/2023	Case Terminated
BNSF 2022-442(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-444(GC)	1	\$1,000	\$1,000	\$976	9/28/2023	
BNSF 2022-445(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-446(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-447(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2022-448(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-449(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-450(TS)	2	\$7,500	\$7,500	\$5,475	9/28/2023	
BNSF 2022-452(SA)	1	\$5,000	\$0	\$0	9/28/2023	Case Terminated



BNSF 2022-453(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-454(SA)	2	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-455(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-456(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-457(FCS)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-458(FCS)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-459(FCS)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-460(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2022-461(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2022-462(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2022-463(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2022-464(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-465(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-466(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-468(FCS)	3	\$6,000	\$6,000	\$4,380	9/28/2023	
BNSF 2022-469(SA)	1	\$10,000	\$10,000	\$7,300	9/28/2023	
BNSF 2022-470(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-471(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-472(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-473(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-474(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-475(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-476(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-477(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-478(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2022-480(SA)	1	\$5,000	\$0	\$0	9/28/2023	Case Terminated
BNSF 2022-481(SA)	1	\$5,000	\$0	\$0	9/28/2023	Case Terminated
BNSF 2022-482(AD)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-483(HMT)	1	\$3,000	\$3,000	\$2,190	9/28/2023	
BNSF 2022-484(AD)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-485(AD)	1	\$5,000	\$5,000	\$3,650	9/28/2023	

BNSF 2022-486(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-487(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2022-488(TS)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-489(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2022-490(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-491(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-492(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-493(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-494(FCS)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-495(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-496(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-497(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-498(FCS)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-499(ROP)	1	\$2,000	\$2,000	\$1,460	9/28/2023	
BNSF 2022-500(AD)	2	\$10,000	\$10,000	\$7,300	9/28/2023	
BNSF 2022-501(AD)	3	\$15,000	\$15,000	\$10,950	9/28/2023	
BNSF 2022-502(HS)	2	\$2,000	\$0	\$0	9/28/2023	Case Terminated
BNSF 2022-503(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-504(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-505(AD)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-506(AD)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-507(AD)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-508(AD)	9	\$45,000	\$45,000	\$32,850	9/28/2023	
BNSF 2022-509(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-510(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-511(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-512(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-513(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-514(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-515(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-516(LI)	1	\$2,500	\$0	\$0	9/28/2023	Case Terminated

BNSF 2022-517(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-518(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-519(FCS)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-520(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-521(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2022-522(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2022-523(FCS)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-524(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-525(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-526(FCS)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-527(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-528(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-529(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-530(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-531(FCS)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-532(FCS)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-533(FCS)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-534(TS)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-535(TS)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-536(TS)	1	\$1,000	\$1,000	\$976	9/28/2023	
BNSF 2022-537(TS)	3	\$3,000	\$3,000	\$2,928	9/28/2023	
BNSF 2022-538(AD)	6	\$15,000	\$15,000	\$10,950	9/28/2023	
BNSF 2022-539(ROP)	1	\$7,500	\$7,500	\$5,475	9/28/2023	
BNSF 2022-540(RW)	1	\$2,000	\$2,000	\$1,460	9/28/2023	
BNSF 2022-541(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-542(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2022-543(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-544(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-545(SA)	1	\$5,000	\$0	\$0	9/28/2023	Case Terminated
BNSF 2022-546(SA)	1	\$5,000	\$0	\$0	9/28/2023	Case Terminated
BNSF 2022-547(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	

BNSF 2022-548(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2022-549(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2022-550(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2022-551(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2022-552(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2022-553(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2022-554(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2022-555(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2022-556(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2022-557(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2022-558(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2022-559(FCS)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2022-560(AD)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2022-561(AD)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2022-562(AD)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2022-563(AD)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2022-564(AD)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2022-565(AD)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2022-566(AD)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2022-567(AD)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2022-568(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2022-569(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023
BNSF 2022-570(LI)	1	\$2,000	\$2,000	\$1,460	9/28/2023
BNSF 2022-571(HS)	3	\$3,000	\$3,000	\$2,928	9/28/2023
BNSF 2022-572(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
BNSF 2022-573(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023
BNSF 2022-574(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023
BNSF 2022-575(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023
BNSF 2022-576(AD)	11	\$27,500	\$27,500	\$20,075	9/28/2023
BNSF 2022-577(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2022-578(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023

BNSF 2022-579(AD)	2	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-580(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-581(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-582(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-584(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-585(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-586(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-587(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-588(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-589(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-590(ROP)	1	\$9,500	\$0	\$0	9/28/2023	Case Terminated
BNSF 2022-592(SA)	1	\$5,000	\$0	\$0	9/28/2023	Case Terminated
BNSF 2022-593(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-594(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-595(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-596(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-597(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-598(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-599(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-600(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-601(TS)	3	\$6,000	\$6,000	\$4,626	9/28/2023	
BNSF 2022-602(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-604(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-605(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-606(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-607(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-608(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-609(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-610(SA)	1	\$5,000	\$0	\$0	9/28/2023	Case Terminated
BNSF 2022-612(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-613(SA)	1	\$5,000	\$0	\$0	9/28/2023	Case Terminated

BNSF 2022-614(SA)	1	\$5,000	\$0	\$0	9/28/2023	Case Terminated
BNSF 2022-615(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-616(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-617(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-618(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-619(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-620(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-621(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-622(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-623(FCS)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2022-624(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2022-625(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2023-001(AD)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2023-003(ROP)	1	\$9,500	\$9,500	\$6,935	9/28/2023	
BNSF 2023-005(ROP)	1	\$7,500	\$7,500	\$5,475	9/28/2023	
BNSF 2023-006(ROP)	1	\$5,000	\$5,000	\$5,000	9/28/2023	
BNSF 2023-007(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2023-008(SA)	3	\$7,500	\$7,500	\$5,475	9/28/2023	
BNSF 2023-010(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2023-011(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2023-012(RW)	1	\$2,000	\$0	\$0	9/28/2023	Case Terminated
BNSF 2023-013(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2023-015(SA)	2	\$10,000	\$10,000	\$7,300	9/28/2023	
BNSF 2023-016(HMT)	1	\$2,000	\$2,000	\$1,460	9/28/2023	
BNSF 2023-018(RW)	1	\$2,000	\$0	\$0	9/28/2023	Case Terminated
BNSF 2023-019(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2023-020(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2023-021(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2023-022(TS)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2023-023(TS)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2023-024(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	

BNSF 2023-025(TS)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2023-026(LI)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2023-027(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2023-028(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2023-029(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2023-030(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2023-031(TS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
BNSF 2023-032(HS)	2	\$4,000	\$4,000	\$3,600	9/28/2023	
BNSF 2023-033(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2023-034(HS)	1	\$1,000	\$1,000	\$1,000	9/28/2023	
BNSF 2023-035(ROP)	2	\$15,000	\$15,000	\$10,950	9/28/2023	
BNSF 2023-036(HS)	4	\$8,000	\$8,000	\$5,840	9/28/2023	
BNSF 2023-038(HS)	3	\$3,000	\$3,000	\$2,928	9/28/2023	
BNSF 2023-039(HS)	2	\$4,000	\$4,000	\$2,920	9/28/2023	
BNSF 2023-040(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2023-042(SA)	1	\$5,000	\$0	\$0	9/28/2023	Case Terminated
BNSF 2023-043(SA)	1	\$5,000	\$0	\$0	9/28/2023	Case Terminated
BNSF 2023-044(FCS)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2023-045(FCS)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2023-046(SA)	1	\$5,000	\$0	\$0	9/28/2023	Case Terminated
BNSF 2023-047(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2023-048(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2023-049(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2023-050(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2023-051(EP)	1	\$2,000	\$2,000	\$1,460	9/28/2023	
BNSF 2023-052(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2023-053(TS)	1	\$2,500	\$2,500	\$1,825	9/28/2023	
BNSF 2023-054(TS)	2	\$4,500	\$4,500	\$3,285	9/28/2023	
BNSF 2023-055(TS)	2	\$4,000	\$4,000	\$2,920	9/28/2023	
BNSF 2023-056(TS)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
BNSF 2023-057(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023	

BNSF 2023-060(AR)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2023-062(AR)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2023-065(ROP)	1	\$7,500	\$7,500	\$5,475	9/28/2023
BNSF 2023-066(ROP)	1	\$7,500	\$7,500	\$5,475	9/28/2023
BNSF 2023-069(AR)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2023-070(AR)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2023-074(AR)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2023-075(AR)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2023-077(AR)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2023-079(AR)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2023-080(AR)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2023-081(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023
BNSF 2023-082(FCS)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2023-086(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2023-087(SA)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2023-090(LI)	4	\$8,000	\$8,000	\$5,840	9/28/2023
BNSF 2023-094(FCS)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BNSF 2023-096(LI)	1	\$2,500	\$2,500	\$1,825	9/28/2023
BOCH 2022-001(HMT)	1	\$5,000	\$5,000	\$3,000	11/17/2022
BPRR 2022-001(SA)	1	\$2,500	\$2,500	\$1,700	9/25/2023
BPRR 2022-002(SA)	1	\$2,500	\$2,500	\$1,700	9/25/2023
BPRR 2022-003(FCS)	1	\$5,000	\$5,000	\$3,400	9/25/2023
BPRR 2022-004(FCS)	1	\$2,500	\$2,500	\$1,700	9/25/2023
BRC 2021-011(SA)	1	\$2,500	\$2,500	\$1,850	3/7/2023
BRC 2022-001(SA)	1	\$2,500	\$2,500	\$1,875	2/3/2023
BRC 2022-002(SA)	1	\$2,500	\$2,500	\$1,875	2/15/2023
BRC 2022-003(SA)	1	\$2,500	\$2,500	\$1,875	2/3/2023
BRC 2022-004(SA)	1	\$2,500	\$2,500	\$1,750	5/24/2023
BRC 2022-005(SA)	1	\$5,000	\$5,000	\$3,750	1/25/2023
BRC 2022-007(SA)	1	\$2,500	\$2,500	\$1,875	10/19/2022
BRC 2022-008(FCS)	1	\$2,500	\$2,500	\$1,875	11/14/2022



BRC 2022-009(SA)	1	\$5,000	\$5,000	\$3,750	1/25/2023
BRC 2022-010(ROP)	1	\$9,500	\$9,500	\$7,500	1/25/2023
BRC 2022-011(ROP)	1	\$9,500	\$9,500	\$7,750	3/7/2023
BRC 2023-001(FCS)	1	\$2,500	\$2,500	\$1,850	3/7/2023
BRG 2019-001(AD)	1	\$2,500	\$2,500	\$1,500	10/3/2022
BRG 2022-002(AD)	1	\$2,500	\$2,500	\$1,875	1/25/2023
CAGY 2022-001(TS)	1	\$5,000	\$5,000	\$3,400	9/25/2023
CAGY 2022-002(RW)	1	\$3,000	\$3,000	\$2,040	9/25/2023
CATQ 2023-001(HMT)	1	\$2,000	\$2,000	\$2,000	8/8/2023
CBR 2021-001(ROP)	1	\$9,500	\$9,500	\$7,500	10/19/2022
CBR 2023-001(SA)	1	\$5,000	\$5,000	\$4,000	1/17/2023
CBR 2023-002(SA)	1	\$5,000	\$5,000	\$4,000	5/25/2023
CBR 2023-003(EQ)	1	\$7,500	\$7,500	\$6,000	5/25/2023
CERA 2022-001(SA)	1	\$2,500	\$2,500	\$1,700	9/25/2023
CERA 2022-002(SA)	1	\$2,500	\$2,500	\$1,700	9/25/2023
CERA 2022-003(SA)	1	\$2,500	\$2,500	\$1,700	9/25/2023
CERR 2022-001(EQ)	1	\$10,000	\$10,000	\$6,000	9/18/2023
CFI 2022-002(HMT)	1	\$5,000	\$5,000	\$3,750	12/1/2022
CHR 2022-001(BSS)	6	\$24,000	\$24,000	\$24,000	2/1/2023
CLNA 2022-001(ROP)	1	\$7,500	\$7,500	\$5,625	10/28/2022
CLNA 2022-002(RW)	1	\$1,500	\$1,500	\$1,000	10/28/2022
CN 2022-001(AR)	1	\$2,500	\$2,500	\$1,825	9/12/2023
CN 2022-002(AR)	1	\$2,500	\$2,500	\$1,825	9/12/2023
CN 2022-003(AR)	1	\$2,500	\$2,500	\$1,875	9/12/2023
CN 2022-004(AD)	1	\$2,500	\$2,500	\$1,825	9/12/2023
CN 2022-005(AD)	1	\$2,500	\$2,500	\$1,825	9/12/2023
CN 2022-006(LI)	1	\$2,500	\$2,500	\$1,825	9/12/2023
CN 2022-007(SA)	1	\$5,000	\$5,000	\$3,700	9/12/2023
CN 2022-008(SA)	1	\$5,000	\$5,000	\$3,500	9/12/2023
CN 2022-009(LI)	1	\$2,500	\$2,500	\$1,725	9/12/2023
CN 2022-010(SA)	1	\$2,500	\$2,500	\$1,825	9/12/2023

CN 2022-011(LI)	1	\$2,500	\$2,500	\$1,800	9/12/2023
CN 2022-012(SA)	1	\$2,500	\$2,500	\$1,725	9/12/2023
CN 2022-013(SA)	1	\$5,000	\$5,000	\$3,750	9/12/2023
CN 2022-014(FCS)	1	\$2,000	\$2,000	\$1,440	9/12/2023
CN 2022-015(SA)	1	\$5,000	\$5,000	\$3,500	9/12/2023
CN 2022-016(HMT)	1	\$5,000	\$5,000	\$3,800	9/12/2023
CN 2022-017(CC)	1	\$7,500	\$7,500	\$5,250	9/12/2023
CN 2022-018(HS)	2	\$2,000	\$2,000	\$1,838	9/12/2023
CN 2022-019(SA)	1	\$5,000	\$5,000	\$3,750	9/12/2023
CN 2022-020(LI)	1	\$2,000	\$2,000	\$1,380	9/12/2023
CN 2022-021(SA)	1	\$2,500	\$2,500	\$1,825	9/12/2023
CN 2022-022(LI)	1	\$1,000	\$1,000	\$919	9/12/2023
CN 2022-023(LI)	1	\$1,500	\$1,500	\$1,080	9/12/2023
CN 2022-024(LI)	1	\$2,500	\$2,500	\$1,800	9/12/2023
CN 2022-025(SA)	1	\$5,000	\$5,000	\$3,350	9/12/2023
CN 2022-026(HMT)	1	\$5,000	\$5,000	\$3,800	9/12/2023
CN 2022-027(LI)	1	\$2,500	\$2,500	\$1,825	9/12/2023
CN 2022-028(RMM)	1	\$5,000	\$5,000	\$3,450	9/12/2023
CN 2022-029(FCS)	1	\$2,500	\$2,500	\$1,825	9/12/2023
CN 2022-030(LI)	1	\$2,500	\$2,500	\$1,850	9/12/2023
CN 2022-031(SA)	1	\$2,500	\$2,500	\$1,800	9/12/2023
CN 2022-032(SA)	1	\$2,500	\$2,500	\$1,700	9/12/2023
CN 2022-033(FCS)	3	\$6,000	\$6,000	\$4,320	9/12/2023
CN 2022-034(FCS)	3	\$6,000	\$6,000	\$4,320	9/12/2023
CN 2022-035(FCS)	3	\$6,000	\$6,000	\$4,320	9/12/2023
CN 2022-036(SA)	2	\$5,000	\$5,000	\$3,600	9/12/2023
CN 2022-037(FCS)	1	\$2,500	\$2,500	\$1,775	9/12/2023
CN 2022-038(TS)	1	\$2,500	\$2,500	\$1,850	9/12/2023
CN 2022-039(FCS)	1	\$2,500	\$2,500	\$1,775	9/12/2023
CN 2022-040(SA)	1	\$2,500	\$2,500	\$1,800	9/12/2023
CN 2022-041(FCS)	1	\$5,000	\$5,000	\$3,600	9/12/2023

CN 2022-042(LI)	1	\$2,500	\$2,500	\$1,825	9/12/2023
CN 2022-043(LI)	1	\$2,500	\$2,500	\$1,825	9/12/2023
CN 2022-044(LI)	1	\$2,500	\$2,500	\$1,825	9/12/2023
CN 2022-045(RMM)	1	\$2,500	\$2,500	\$1,775	9/12/2023
CN 2022-046(LI)	1	\$2,500	\$2,500	\$1,800	9/12/2023
CN 2022-047(SA)	1	\$5,000	\$5,000	\$3,350	9/12/2023
CN 2022-048(SA)	1	\$5,000	\$5,000	\$3,350	9/12/2023
CN 2022-049(AD)	1	\$2,500	\$2,500	\$1,850	9/12/2023
CN 2022-050(AD)	1	\$2,500	\$2,500	\$1,850	9/12/2023
CN 2022-051(AD)	1	\$2,500	\$2,500	\$1,775	9/12/2023
CN 2022-052(SA)	1	\$5,000	\$5,000	\$3,750	9/12/2023
CN 2022-053(FCS)	1	\$2,500	\$2,500	\$1,825	9/12/2023
CN 2022-054(SA)	1	\$5,000	\$5,000	\$3,750	9/12/2023
CN 2022-055(SA)	1	\$5,000	\$5,000	\$3,800	9/12/2023
CN 2022-056(HS)	2	\$2,000	\$2,000	\$1,952	9/12/2023
CN 2022-057(SA)	1	\$5,000	\$5,000	\$3,750	9/12/2023
CN 2022-058(SA)	1	\$2,500	\$2,500	\$1,825	9/12/2023
CN 2022-059(SA)	1	\$2,500	\$2,500	\$1,700	9/12/2023
CN 2022-060(LI)	1	\$2,500	\$2,500	\$1,850	9/12/2023
CN 2022-061(SA)	1	\$2,500	\$2,500	\$1,700	9/12/2023
CN 2022-062(SA)	1	\$2,500	\$2,500	\$1,700	9/12/2023
CN 2022-063(SA)	1	\$5,000	\$5,000	\$3,700	9/12/2023
CN 2022-064(SA)	1	\$2,500	\$2,500	\$1,675	9/12/2023
CN 2022-065(SA)	1	\$2,500	\$2,500	\$1,700	9/12/2023
CN 2022-066(SA)	1	\$2,500	\$2,500	\$1,700	9/12/2023
CN 2022-067(SA)	1	\$2,500	\$2,500	\$1,825	9/12/2023
CN 2022-068(SA)	1	\$2,500	\$2,500	\$1,700	9/12/2023
CN 2022-069(SA)	1	\$2,500	\$2,500	\$1,700	9/12/2023
CN 2022-070(LI)	1	\$2,500	\$2,500	\$1,825	9/12/2023
CN 2022-071(SA)	1	\$5,000	\$5,000	\$3,750	9/12/2023
CN 2022-072(SA)	1	\$5,000	\$5,000	\$3,350	9/12/2023

CN 2022-073(SA)	1	\$5,000	\$5,000	\$3,500	9/12/2023	
CN 2022-074(SA)	1	\$5,000	\$5,000	\$3,750	9/12/2023	
CN 2022-075(ROP)	1	\$9,500	\$9,500	\$7,125	9/12/2023	
CN 2022-076(SA)	1	\$2,500	\$2,500	\$1,825	9/12/2023	
CN 2022-077(LI)	1	\$2,500	\$2,500	\$1,675	9/12/2023	
CN 2022-078(LI)	1	\$2,500	\$2,500	\$1,800	9/12/2023	
CN 2022-079(LI)	1	\$1,500	\$1,500	\$1,080	9/12/2023	
CN 2022-080(SA)	1	\$5,000	\$5,000	\$3,750	9/12/2023	
CN 2022-081(CC)	1	\$4,000	\$0	\$0	9/12/2023	Case Terminated
CN 2022-082(EQ)	1	\$5,000	\$5,000	\$3,700	9/12/2023	
CN 2022-083(CC)	1	\$4,000	\$4,000	\$2,960	9/12/2023	
CN 2022-084(HS)	2	\$2,000	\$2,000	\$1,838	9/12/2023	
CN 2022-085(SA)	1	\$5,000	\$5,000	\$3,650	9/12/2023	
CN 2022-086(SA)	1	\$5,000	\$5,000	\$3,700	9/12/2023	
CN 2022-087(FCS)	1	\$2,500	\$2,500	\$1,775	9/12/2023	
CN 2022-088(SA)	1	\$2,500	\$2,500	\$1,700	9/12/2023	
CN 2022-089(SA)	1	\$5,000	\$5,000	\$3,650	9/12/2023	
CN 2022-090(SA)	1	\$5,000	\$5,000	\$3,750	9/12/2023	
CN 2022-091(SA)	1	\$2,500	\$2,500	\$1,825	9/12/2023	
CN 2022-092(TS)	1	\$2,500	\$2,500	\$1,625	9/12/2023	
CN 2022-093(SA)	1	\$5,000	\$5,000	\$3,500	9/12/2023	
CN 2022-094(SA)	1	\$2,500	\$2,500	\$1,825	9/12/2023	
CN 2022-095(SA)	1	\$5,000	\$5,000	\$3,350	9/12/2023	
CN 2022-096(SA)	1	\$5,000	\$5,000	\$3,550	9/12/2023	
CN 2022-097(AD)	1	\$5,000	\$5,000	\$3,600	9/12/2023	
CN 2022-098(AD)	1	\$2,500	\$2,500	\$1,850	9/12/2023	
CN 2022-099(SA)	1	\$2,500	\$2,500	\$1,825	9/12/2023	
CN 2022-100(SA)	1	\$2,500	\$2,500	\$1,800	9/12/2023	
CN 2022-101(FCS)	1	\$2,500	\$2,500	\$1,825	9/12/2023	
CN 2022-103(SA)	1	\$5,000	\$5,000	\$3,800	9/12/2023	
CN 2022-104(LI)	1	\$2,500	\$2,500	\$1,800	9/12/2023	

CN 2022-105(FCS)	1	\$2,500	\$2,500	\$1,750	9/12/2023	
CN 2022-106(FCS)	1	\$2,500	\$2,500	\$1,775	9/12/2023	
CN 2022-107(SA)	1	\$5,000	\$5,000	\$3,750	9/12/2023	
CN 2022-108(SA)	1	\$5,000	\$5,000	\$3,750	9/12/2023	
CN 2022-109(SA)	1	\$5,000	\$5,000	\$3,800	9/12/2023	
CN 2022-110(LI)	1	\$2,500	\$2,500	\$1,825	9/12/2023	
CN 2022-111(AD)	2	\$5,000	\$5,000	\$3,650	9/12/2023	
CN 2022-112(AD)	3	\$7,500	\$7,500	\$5,475	9/12/2023	
CN 2022-113(AD)	2	\$5,000	\$5,000	\$3,650	9/12/2023	
CN 2022-114(AD)	1	\$2,500	\$2,500	\$1,825	9/12/2023	
CN 2022-115(AD)	1	\$5,000	\$5,000	\$3,550	9/12/2023	
CN 2022-116(SA)	1	\$2,500	\$2,500	\$1,700	9/12/2023	
CN 2022-117(SA)	1	\$2,500	\$2,500	\$1,800	9/12/2023	
CN 2022-118(LI)	1	\$2,500	\$2,500	\$1,800	9/12/2023	
CN 2022-119(SA)	1	\$5,000	\$5,000	\$3,350	9/12/2023	
CN 2022-120(SA)	1	\$5,000	\$5,000	\$3,800	9/12/2023	
CN 2022-121(LI)	1	\$2,500	\$2,500	\$1,800	9/12/2023	
CP 2022-011(HMT)	4	\$50,000	\$50,000	\$38,500	9/28/2023	
CP 2022-012(CC)	1	\$5,000	\$5,000	\$3,375	9/28/2023	
CP 2022-013(HMT)	7	\$70,000	\$70,000	\$55,000	9/28/2023	
CP 2022-014(ROP)	1	\$9,500	\$9,500	\$7,000	9/28/2023	
CP 2022-015(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CP 2022-016(SA)	1	\$5,000	\$5,000	\$3,350	9/28/2023	
CP 2022-017(LI)	1	\$2,500	\$2,500	\$1,650	9/28/2023	
CP 2022-018(SA)	1	\$5,000	\$2,500	\$2,500	9/28/2023	Terminated Violations: 1
CP 2022-019(AD)	1	\$2,500	\$2,500	\$1,675	9/28/2023	
CP 2022-020(AD)	1	\$2,500	\$2,500	\$1,625	9/28/2023	
CP 2022-021(AD)	1	\$2,500	\$2,500	\$1,625	9/28/2023	
CP 2022-022(AD)	1	\$2,500	\$2,500	\$1,625	9/28/2023	
CP 2022-023(AD)	1	\$2,500	\$2,500	\$1,625	9/28/2023	

CP 2022-024(AD)	1	\$2,500	\$2,500	\$1,625	9/28/2023	
CP 2022-025(AD)	2	\$5,000	\$5,000	\$3,350	9/28/2023	
CP 2022-026(AD)	1	\$2,500	\$2,500	\$1,625	9/28/2023	
CP 2022-027(AD)	1	\$2,500	\$2,500	\$1,625	9/28/2023	
CP 2022-028(AD)	1	\$2,500	\$2,500	\$1,625	9/28/2023	
CP 2022-029(AD)	1	\$2,500	\$2,500	\$1,625	9/28/2023	
CP 2022-030(AD)	2	\$10,000	\$10,000	\$6,900	9/28/2023	
CP 2022-031(AD)	1	\$5,000	\$5,000	\$3,600	9/28/2023	
CP 2022-032(HMT)	5	\$25,000	\$25,000	\$18,750	9/28/2023	
CP 2022-033(ROP)	1	\$9,500	\$9,500	\$6,750	9/28/2023	
CP 2022-034(SA)	1	\$5,000	\$2,500	\$2,500	9/28/2023	Terminated Violations: 1
CP 2022-035(LI)	1	\$1,000	\$1,000	\$976	9/28/2023	
CP 2022-036(SA)	1	\$5,000	\$5,000	\$3,700	9/28/2023	
CP 2022-037(SA)	1	\$2,500	\$2,500	\$1,875	9/28/2023	
CP 2022-038(LI)	1	\$2,500	\$2,500	\$1,750	9/28/2023	
CP 2022-039(FCS)	1	\$6,000	\$6,000	\$4,425	9/28/2023	
CP 2022-040(AD)	3	\$7,500	\$7,500	\$4,950	9/28/2023	
CP 2022-041(AD)	2	\$5,000	\$5,000	\$3,300	9/28/2023	
CP 2022-042(AD)	2	\$5,000	\$5,000	\$3,300	9/28/2023	
CP 2022-043(AD)	1	\$2,500	\$2,500	\$1,625	9/28/2023	
CP 2022-044(AD)	1	\$2,500	\$2,500	\$1,625	9/28/2023	
CP 2022-045(AD)	1	\$5,000	\$5,000	\$3,500	9/28/2023	
CP 2022-046(AD)	1	\$5,000	\$5,000	\$3,550	9/28/2023	
CP 2022-047(ROP)	1	\$7,500	\$7,500	\$5,500	9/28/2023	
CP 2022-048(SA)	1	\$5,000	\$5,000	\$3,500	9/28/2023	
CP 2022-049(TS)	1	\$2,500	\$2,500	\$1,700	9/28/2023	
CP 2022-050(SA)	1	\$5,000	\$2,500	\$2,500	9/28/2023	Terminated Violations: 1
CP 2022-051(AD)	2	\$5,000	\$5,000	\$3,325	9/28/2023	
CP 2022-052(AD)	1	\$2,500	\$2,500	\$1,625	9/28/2023	
CP 2022-053(AD)	1	\$2,500	\$2,500	\$1,625	9/28/2023	

CP 2022-054(SA)	1	\$2,500	\$2,500	\$1,725	9/28/2023	
CP 2022-055(SA)	1	\$2,500	\$2,500	\$1,875	9/28/2023	
CP 2022-056(LI)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CP 2022-057(SA)	1	\$5,000	\$5,000	\$3,500	9/28/2023	
CP 2022-058(SA)	1	\$5,000	\$5,000	\$3,500	9/28/2023	
CP 2022-059(SA)	1	\$5,000	\$2,500	\$2,450	9/28/2023	Terminated Violations: 1
CP 2022-060(SA)	1	\$5,000	\$5,000	\$3,600	9/28/2023	
CP 2022-061(AD)	2	\$10,000	\$10,000	\$6,800	9/28/2023	
CP 2022-062(AD)	1	\$5,000	\$5,000	\$3,350	9/28/2023	
CP 2022-063(FCS)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CP 2022-064(HMT)	2	\$8,000	\$8,000	\$5,900	9/28/2023	
CP 2022-065(SA)	1	\$10,000	\$10,000	\$7,500	9/28/2023	
CP 2022-066(TS)	1	\$2,500	\$2,500	\$1,850	9/28/2023	
CP 2022-067(TS)	3	\$7,500	\$7,500	\$5,400	9/28/2023	
CP 2022-068(SA)	1	\$2,500	\$2,500	\$1,675	9/28/2023	
CP 2022-069(SA)	1	\$2,500	\$2,500	\$1,600	9/28/2023	
CP 2022-070(SA)	1	\$2,500	\$2,500	\$1,675	9/28/2023	
CP 2022-071(SA)	1	\$5,000	\$5,000	\$3,250	9/28/2023	
CP 2022-072(SA)	1	\$2,500	\$2,500	\$1,675	9/28/2023	
CP 2022-073(AD)	2	\$5,000	\$5,000	\$3,350	9/28/2023	
CP 2022-074(AD)	1	\$2,500	\$2,500	\$1,625	9/28/2023	
CP 2022-075(AD)	2	\$5,000	\$5,000	\$3,350	9/28/2023	
CP 2022-076(AD)	1	\$2,500	\$2,500	\$1,625	9/28/2023	
CP 2022-077(AD)	2	\$5,000	\$5,000	\$3,350	9/28/2023	
CP 2022-078(LI)	1	\$1,500	\$1,500	\$1,050	9/28/2023	
CP 2023-001(SA)	1	\$5,000	\$2,500	\$2,500	9/28/2023	Terminated Violations: 1
CP 2023-002(SA)	1	\$10,000	\$10,000	\$7,500	9/28/2023	
CP 2023-003(HMT)	4	\$30,000	\$30,000	\$24,000	9/28/2023	
CP 2023-004(HS)	1	\$31,928	\$31,928	\$26,000	9/28/2023	
CP 2023-010(RW)	1	\$1,500	\$1,500	\$976	9/28/2023	

CP 2023-011(HS)	1	\$31,928	\$31,928	\$26,000	9/28/2023
CP 2023-012(LI)	1	\$2,500	\$2,500	\$1,700	9/28/2023
CP 2023-013(SA)	1	\$2,500	\$2,500	\$1,750	9/28/2023
CP 2023-014(SA)	1	\$5,000	\$5,000	\$3,500	9/28/2023
CP 2023-017(HS)	1	\$31,928	\$31,928	\$26,000	9/28/2023
CPR 2022-001(AD)	1	\$2,500	\$2,500	\$2,250	11/17/2022
CRL 2022-001(AD)	1	\$2,500	\$2,500	\$2,000	1/12/2023
CRSM 2022-015(ROP)	1	\$9,500	\$9,500	\$7,125	9/26/2023
CRSM 2022-016(ROP)	1	\$7,500	\$7,500	\$5,625	9/26/2023
CRSM 2022-017(HS)	2	\$2,000	\$2,000	\$1,952	9/26/2023
CRSM 2023-001(HMT)	2	\$4,000	\$4,000	\$4,000	9/26/2023
CRSM 2023-002(SA)	1	\$5,000	\$5,000	\$3,750	9/26/2023
CRSM 2023-003(ROP)	1	\$9,500	\$9,500	\$7,125	9/26/2023
CSX 2018-566(LI)	1	\$2,500	\$2,500	\$1,800	9/28/2023
CSX 2019-534(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023
CSX 2020-252(HS)	2	\$2,000	\$2,000	\$1,784	9/28/2023
CSX 2020-326(HS)	1	\$1,000	\$1,000	\$892	9/28/2023
CSX 2020-327(HSR)	1	\$1,000	\$1,000	\$892	9/28/2023
CSX 2020-423(HSR)	2	\$1,000	\$1,000	\$892	9/28/2023
CSX 2020-424(HS)	2	\$2,000	\$2,000	\$1,784	9/28/2023
CSX 2021-069(HS)	2	\$2,000	\$2,000	\$1,816	9/28/2023
CSX 2021-078(HS)	1	\$1,000	\$1,000	\$908	9/28/2023
CSX 2021-086(HS)	1	\$1,000	\$1,000	\$870	9/28/2023
CSX 2021-113(HS)	1	\$1,000	\$1,000	\$892	9/28/2023
CSX 2021-114(HS)	1	\$1,000	\$1,000	\$870	9/28/2023
CSX 2021-115(HS)	1	\$1,000	\$1,000	\$892	9/28/2023
CSX 2021-116(HS)	1	\$1,000	\$1,000	\$870	9/28/2023
CSX 2021-117(HS)	1	\$1,000	\$1,000	\$892	9/28/2023
CSX 2021-118(HS)	1	\$1,000	\$1,000	\$870	9/28/2023
CSX 2021-119(HS)	1	\$1,000	\$1,000	\$892	9/28/2023
CSX 2021-120(HS)	3	\$3,000	\$3,000	\$2,724	9/28/2023



CSX 2021-121(HS)	1	\$1,000	\$1,000	\$870	9/28/2023
CSX 2021-135(HS)	3	\$3,000	\$3,000	\$2,610	9/28/2023
CSX 2021-136(HS)	2	\$2,000	\$2,000	\$1,740	9/28/2023
CSX 2021-149(HSR)	1	\$1,000	\$1,000	\$892	9/28/2023
CSX 2021-160(SA)	1	\$5,000	\$5,000	\$3,700	9/28/2023
CSX 2021-179(HS)	2	\$2,000	\$2,000	\$1,740	9/28/2023
CSX 2021-180(HS)	2	\$2,000	\$2,000	\$1,784	9/28/2023
CSX 2021-228(HS)	1	\$29,707	\$29,707	\$21,549	9/28/2023
CSX 2021-236(HS)	3	\$3,000	\$3,000	\$2,724	9/28/2023
CSX 2021-238(EQ)	1	\$7,500	\$7,500	\$5,550	9/28/2023
CSX 2021-257(HSR)	1	\$29,707	\$29,707	\$21,502	9/28/2023
CSX 2021-261(HSR)	1	\$1,000	\$1,000	\$892	9/28/2023
CSX 2021-298(HSR)	1	\$1,000	\$1,000	\$892	9/28/2023
CSX 2021-355(HS)	1	\$1,000	\$1,000	\$919	9/28/2023
CSX 2021-357(HS)	1	\$1,000	\$1,000	\$919	9/28/2023
CSX 2021-363(EQ)	15	\$15,000	\$15,000	\$10,800	9/28/2023
CSX 2021-378(HSR)	1	\$1,000	\$1,000	\$919	9/28/2023
CSX 2021-381(RW)	1	\$3,000	\$3,000	\$2,160	9/28/2023
CSX 2021-393(ROP)	1	\$7,500	\$7,500	\$5,400	9/28/2023
CSX 2021-397(ROP)	1	\$2,000	\$2,000	\$1,440	9/28/2023
CSX 2021-398(HSR)	1	\$1,000	\$1,000	\$919	9/28/2023
CSX 2021-401(ROP)	1	\$7,500	\$7,500	\$5,400	9/28/2023
CSX 2021-406(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023
CSX 2021-407(SA)	1	\$5,000	\$5,000	\$3,700	9/28/2023
CSX 2021-421(ROP)	1	\$7,500	\$7,500	\$5,400	9/28/2023
CSX 2021-427(SA)	1	\$5,000	\$5,000	\$3,700	9/28/2023
CSX 2022-001(AR)	1	\$2,500	\$2,500	\$1,675	9/28/2023
CSX 2022-005(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023
CSX 2022-007(SA)	1	\$5,000	\$5,000	\$3,700	9/28/2023
CSX 2022-008(LI)	1	\$1,500	\$1,500	\$1,100	9/28/2023
CSX 2022-009(SA)	1	\$5,000	\$5,000	\$3,700	9/28/2023

CSX 2022-010(SA)	1	\$5,000	\$5,000	\$3,700	9/28/2023	
CSX 2022-015(SA)	1	\$5,000	\$5,000	\$3,700	9/28/2023	
CSX 2022-025(SA)	1	\$5,000	\$5,000	\$3,700	9/28/2023	
CSX 2022-034(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CSX 2022-035(SA)	1	\$5,000	\$5,000	\$3,700	9/28/2023	
CSX 2022-040(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CSX 2022-058(FCS)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CSX 2022-063(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CSX 2022-067(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CSX 2022-070(ROP)	2	\$4,000	\$4,000	\$2,880	9/28/2023	
CSX 2022-071(SA)	1	\$5,000	\$5,000	\$3,600	9/28/2023	
CSX 2022-072(FCS)	1	\$2,000	\$2,000	\$1,450	9/28/2023	
CSX 2022-073(TS)	1	\$5,000	\$5,000	\$3,600	9/28/2023	
CSX 2022-074(ROP)	1	\$7,500	\$7,500	\$5,400	9/28/2023	
CSX 2022-075(SA)	1	\$5,000	\$0	\$0	9/28/2023	Case Terminated
CSX 2022-076(LI)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CSX 2022-077(HS)	2	\$2,000	\$2,000	\$1,838	9/28/2023	
CSX 2022-078(SA)	1	\$5,000	\$5,000	\$3,700	9/28/2023	
CSX 2022-079(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CSX 2022-080(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CSX 2022-081(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CSX 2022-082(HMT)	1	\$2,000	\$2,000	\$1,400	9/28/2023	
CSX 2022-083(LI)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CSX 2022-084(LI)	4	\$10,000	\$10,000	\$7,200	9/28/2023	
CSX 2022-085(SA)	2	\$10,000	\$10,000	\$7,300	9/28/2023	
CSX 2022-086(EQ)	1	\$7,500	\$7,500	\$5,550	9/28/2023	
CSX 2022-087(HMT)	1	\$2,000	\$2,000	\$1,400	9/28/2023	
CSX 2022-088(HS)	1	\$1,000	\$1,000	\$919	9/28/2023	
CSX 2022-089(RSP)	1	\$9,500	\$9,500	\$6,900	9/28/2023	
CSX 2022-090(RSP)	1	\$9,500	\$9,500	\$6,900	9/28/2023	
CSX 2022-091(SA)	1	\$5,000	\$5,000	\$3,700	9/28/2023	

CSX 2022-092(ROP)	1	\$9,500	\$9,500	\$6,840	9/28/2023
CSX 2022-093(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023
CSX 2022-094(SA)	1	\$5,000	\$5,000	\$3,700	9/28/2023
CSX 2022-095(FCS)	1	\$2,500	\$2,500	\$1,800	9/28/2023
CSX 2022-096(AR)	1	\$2,500	\$2,500	\$1,800	9/28/2023
CSX 2022-097(SA)	1	\$5,000	\$5,000	\$3,700	9/28/2023
CSX 2022-098(FCS)	1	\$2,500	\$2,500	\$1,800	9/28/2023
CSX 2022-099(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023
CSX 2022-100(LI)	2	\$5,000	\$5,000	\$3,700	9/28/2023
CSX 2022-101(SA)	1	\$5,000	\$5,000	\$3,700	9/28/2023
CSX 2022-102(SI)	1	\$2,500	\$2,500	\$1,800	9/28/2023
CSX 2022-103(SI)	1	\$2,500	\$2,500	\$1,800	9/28/2023
CSX 2022-104(RW)	1	\$3,000	\$3,000	\$2,160	9/28/2023
CSX 2022-105(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023
CSX 2022-106(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023
CSX 2022-107(FCS)	1	\$5,000	\$5,000	\$3,700	9/28/2023
CSX 2022-108(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023
CSX 2022-109(GC)	4	\$4,000	\$4,000	\$3,676	9/28/2023
CSX 2022-110(GC)	2	\$5,000	\$5,000	\$3,600	9/28/2023
CSX 2022-111(GC)	1	\$5,000	\$5,000	\$3,600	9/28/2023
CSX 2022-112(GC)	1	\$2,500	\$2,500	\$1,800	9/28/2023
CSX 2022-113(GC)	1	\$5,000	\$5,000	\$3,600	9/28/2023
CSX 2022-114(GC)	1	\$2,500	\$2,500	\$1,800	9/28/2023
CSX 2022-115(GC)	1	\$5,000	\$5,000	\$3,600	9/28/2023
CSX 2022-116(SA)	1	\$5,000	\$5,000	\$3,700	9/28/2023
CSX 2022-117(SA)	1	\$5,000	\$5,000	\$3,700	9/28/2023
CSX 2022-118(GC)	1	\$2,500	\$2,500	\$1,800	9/28/2023
CSX 2022-119(GC)	1	\$2,500	\$2,500	\$1,800	9/28/2023
CSX 2022-120(GC)	1	\$5,000	\$5,000	\$3,600	9/28/2023
CSX 2022-121(RW)	1	\$5,000	\$5,000	\$3,600	9/28/2023
CSX 2022-122(TS)	1	\$1,000	\$1,000	\$976	9/28/2023

CSX 2022-123(TS)	1	\$2,500	\$2,500	\$1,675	9/28/2023	
CSX 2022-124(SA)	1	\$5,000	\$5,000	\$3,700	9/28/2023	
CSX 2022-125(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CSX 2022-126(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CSX 2022-127(TS)	1	\$5,000	\$0	\$0	9/28/2023	Case Terminated
CSX 2022-128(ROP)	1	\$7,500	\$7,500	\$5,400	9/28/2023	
CSX 2022-129(SA)	1	\$5,000	\$5,000	\$3,700	9/28/2023	
CSX 2022-130(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CSX 2022-131(SA)	1	\$5,000	\$5,000	\$3,700	9/28/2023	
CSX 2022-132(GC)	1	\$5,000	\$5,000	\$3,600	9/28/2023	
CSX 2022-133(GC)	1	\$1,000	\$1,000	\$919	9/28/2023	
CSX 2022-134(LI)	1	\$2,000	\$2,000	\$1,450	9/28/2023	
CSX 2022-135(LI)	1	\$2,000	\$2,000	\$1,450	9/28/2023	
CSX 2022-136(LI)	1	\$2,000	\$2,000	\$1,450	9/28/2023	
CSX 2022-137(SA)	1	\$5,000	\$5,000	\$3,700	9/28/2023	
CSX 2022-138(HMT)	2	\$7,000	\$7,000	\$5,100	9/28/2023	
CSX 2022-139(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CSX 2022-140(HMT)	1	\$5,000	\$5,000	\$3,600	9/28/2023	
CSX 2022-141(RW)	1	\$5,000	\$5,000	\$3,600	9/28/2023	
CSX 2022-142(SA)	1	\$5,000	\$5,000	\$3,700	9/28/2023	
CSX 2022-143(AR)	1	\$1,000	\$1,000	\$976	9/28/2023	
CSX 2022-144(SA)	1	\$5,000	\$5,000	\$3,700	9/28/2023	
CSX 2022-146(ROP)	1	\$9,500	\$9,500	\$7,315	9/28/2023	
CSX 2022-147(SA)	1	\$5,000	\$5,000	\$3,700	9/28/2023	
CSX 2022-148(FCS)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CSX 2022-149(FCS)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CSX 2022-150(SA)	1	\$5,000	\$5,000	\$3,700	9/28/2023	
CSX 2022-151(EQ)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CSX 2022-152(ROP)	1	\$8,500	\$8,500	\$6,120	9/28/2023	
CSX 2022-153(TS)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CSX 2022-154(HMT)	3	\$19,500	\$19,500	\$13,650	9/28/2023	

CSX 2022-155(SA)	1	\$5,000	\$5,000	\$3,700	9/28/2023	
CSX 2022-156(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CSX 2022-157(FCS)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CSX 2022-158(SA)	1	\$5,000	\$5,000	\$3,700	9/28/2023	
CSX 2022-159(HS)	2	\$2,000	\$2,000	\$1,838	9/28/2023	
CSX 2022-160(ROP)	1	\$7,500	\$7,500	\$5,400	9/28/2023	
CSX 2022-161(HMT)	10	\$25,000	\$25,000	\$17,500	9/28/2023	
CSX 2022-162(SA)	1	\$5,000	\$5,000	\$3,700	9/28/2023	
CSX 2022-163(SA)	8	\$80,000	\$80,000	\$56,946	9/28/2023	
CSX 2022-164(FCS)	1	\$2,000	\$2,000	\$1,450	9/28/2023	
CSX 2022-165(RMM)	1	\$5,000	\$5,000	\$3,600	9/28/2023	
CSX 2022-166(SA)	1	\$5,000	\$5,000	\$3,700	9/28/2023	
CSX 2022-167(SA)	1	\$5,000	\$5,000	\$3,700	9/28/2023	
CSX 2022-168(SA)	1	\$5,000	\$5,000	\$3,700	9/28/2023	
CSX 2022-169(SA)	1	\$5,000	\$5,000	\$3,700	9/28/2023	
CSX 2022-170(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CSX 2022-171(SA)	1	\$5,000	\$5,000	\$3,700	9/28/2023	
CSX 2022-172(ROP)	1	\$7,500	\$7,500	\$5,400	9/28/2023	
CSX 2022-173(SA)	1	\$5,000	\$5,000	\$3,700	9/28/2023	
CSX 2022-174(SA)	1	\$5,000	\$5,000	\$3,700	9/28/2023	
CSX 2022-175(GC)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CSX 2022-176(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CSX 2022-177(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CSX 2022-178(FCS)	1	\$5,000	\$5,000	\$3,700	9/28/2023	
CSX 2022-179(HS)	1	\$1,000	\$1,000	\$919	9/28/2023	
CSX 2022-180(GC)	1	\$5,000	\$0	\$0	9/28/2023	Case Terminated
CSX 2022-181(GC)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CSX 2022-182(GC)	1	\$1,000	\$1,000	\$919	9/28/2023	
CSX 2022-183(GC)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CSX 2022-184(GC)	1	\$5,000	\$5,000	\$3,600	9/28/2023	
CSX 2022-185(SA)	1	\$5,000	\$5,000	\$3,500	9/28/2023	

CSX 2022-186(SA)	1	\$5,000	\$5,000	\$3,500	9/28/2023
CSX 2022-187(GC)	1	\$5,000	\$5,000	\$3,600	9/28/2023
CSX 2022-188(HSR)	1	\$1,000	\$1,000	\$919	9/28/2023
CSX 2022-189(HSR)	1	\$1,000	\$1,000	\$919	9/28/2023
CSX 2022-190(GC)	1	\$5,000	\$5,000	\$3,600	9/28/2023
CSX 2022-191(SA)	1	\$5,000	\$5,000	\$3,500	9/28/2023
CSX 2022-192(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023
CSX 2022-193(EQ)	1	\$7,500	\$7,500	\$5,500	9/28/2023
CSX 2022-194(LI)	1	\$2,500	\$2,500	\$1,800	9/28/2023
CSX 2022-195(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023
CSX 2022-196(SA)	1	\$2,500	\$2,500	\$1,750	9/28/2023
CSX 2022-197(FCS)	1	\$2,500	\$2,500	\$1,800	9/28/2023
CSX 2022-198(LI)	1	\$1,000	\$1,000	\$976	9/28/2023
CSX 2022-199(SA)	1	\$2,500	\$2,500	\$1,750	9/28/2023
CSX 2022-200(SA)	1	\$10,000	\$10,000	\$7,000	9/28/2023
CSX 2022-201(FCS)	1	\$2,000	\$2,000	\$1,450	9/28/2023
CSX 2022-202(FCS)	5	\$10,000	\$10,000	\$7,300	9/28/2023
CSX 2022-203(FCS)	10	\$20,000	\$20,000	\$14,600	9/28/2023
CSX 2022-204(GC)	1	\$5,000	\$5,000	\$3,600	9/28/2023
CSX 2022-205(SA)	1	\$2,500	\$2,500	\$1,750	9/28/2023
CSX 2022-206(SA)	1	\$2,500	\$2,500	\$1,750	9/28/2023
CSX 2022-207(FCS)	1	\$1,000	\$1,000	\$976	9/28/2023
CSX 2022-208(SA)	1	\$5,000	\$5,000	\$3,500	9/28/2023
CSX 2022-209(SA)	1	\$2,500	\$2,500	\$1,400	9/28/2023
CSX 2022-210(GC)	1	\$2,500	\$2,500	\$1,800	9/28/2023
CSX 2022-211(GC)	1	\$5,000	\$5,000	\$3,600	9/28/2023
CSX 2022-212(SA)	1	\$2,500	\$2,500	\$1,750	9/28/2023
CSX 2022-213(SA)	1	\$2,500	\$2,500	\$1,750	9/28/2023
CSX 2022-215(SA)	1	\$2,500	\$2,500	\$1,750	9/28/2023
CSX 2022-216(ROP)	1	\$9,500	\$9,500	\$6,840	9/28/2023
CSX 2022-217(SA)	1	\$2,500	\$2,500	\$1,750	9/28/2023

CSX 2022-218(SA)	1	\$2,500	\$2,500	\$1,750	9/28/2023
CSX 2022-219(SA)	1	\$5,000	\$5,000	\$3,500	9/28/2023
CSX 2022-220(SA)	1	\$2,500	\$2,500	\$1,750	9/28/2023
CSX 2022-221(SA)	1	\$2,500	\$2,500	\$1,750	9/28/2023
CSX 2022-222(SA)	1	\$2,500	\$2,500	\$1,750	9/28/2023
CSX 2022-223(FCS)	1	\$2,500	\$2,500	\$1,800	9/28/2023
CSX 2022-224(SA)	1	\$2,500	\$2,500	\$1,750	9/28/2023
CSX 2022-225(SA)	1	\$5,000	\$5,000	\$3,600	9/28/2023
CSX 2022-226(SA)	1	\$2,500	\$2,500	\$1,750	9/28/2023
CSX 2022-227(HMT)	1	\$2,500	\$2,500	\$1,800	9/28/2023
CSX 2022-228(HMT)	1	\$7,500	\$7,500	\$5,250	9/28/2023
CSX 2022-229(HMT)	1	\$4,000	\$4,000	\$2,800	9/28/2023
CSX 2022-230(SA)	1	\$2,500	\$2,500	\$1,750	9/28/2023
CSX 2022-231(SA)	1	\$2,500	\$2,500	\$1,750	9/28/2023
CSX 2022-232(ROP)	1	\$7,500	\$7,500	\$5,400	9/28/2023
CSX 2022-233(SA)	1	\$5,000	\$5,000	\$3,600	9/28/2023
CSX 2022-234(HMT)	1	\$5,000	\$5,000	\$3,600	9/28/2023
CSX 2022-235(SA)	1	\$5,000	\$5,000	\$3,600	9/28/2023
CSX 2022-237(HS)	2	\$2,000	\$2,000	\$1,838	9/28/2023
CSX 2022-238(SA)	1	\$2,500	\$2,500	\$1,750	9/28/2023
CSX 2022-239(HMT)	2	\$10,000	\$10,000	\$7,000	9/28/2023
CSX 2022-240(HSR)	2	\$2,000	\$2,000	\$1,838	9/28/2023
CSX 2022-241(HS)	2	\$2,000	\$2,000	\$1,838	9/28/2023
CSX 2022-242(SA)	1	\$2,500	\$2,500	\$1,750	9/28/2023
CSX 2022-243(FCS)	1	\$5,000	\$5,000	\$3,700	9/28/2023
CSX 2022-244(SA)	1	\$2,500	\$2,500	\$1,750	9/28/2023
CSX 2022-245(ROP)	1	\$7,500	\$7,500	\$5,400	9/28/2023
CSX 2022-246(SA)	1	\$2,500	\$2,500	\$1,750	9/28/2023
CSX 2022-247(SA)	1	\$2,500	\$2,500	\$1,750	9/28/2023
CSX 2022-248(HMT)	1	\$2,000	\$2,000	\$1,400	9/28/2023
CSX 2022-249(CC)	1	\$7,500	\$7,500	\$5,400	9/28/2023

CSX 2022-250(LI)	1	\$3,000	\$3,000	\$2,200	9/28/2023
CSX 2022-251(GC)	1	\$5,000	\$5,000	\$3,600	9/28/2023
CSX 2022-252(SA)	1	\$2,500	\$2,500	\$1,750	9/28/2023
CSX 2022-253(SA)	1	\$2,500	\$2,500	\$1,750	9/28/2023
CSX 2022-254(SA)	1	\$2,500	\$2,500	\$1,750	9/28/2023
CSX 2022-255(TS)	1	\$7,000	\$7,000	\$5,740	9/28/2023
CSX 2022-256(LI)	1	\$2,500	\$2,500	\$1,800	9/28/2023
CSX 2022-257(HSR)	2	\$2,000	\$2,000	\$1,838	9/28/2023
CSX 2022-258(ROP)	1	\$2,000	\$2,000	\$1,450	9/28/2023
CSX 2022-259(LI)	1	\$2,500	\$2,500	\$1,800	9/28/2023
CSX 2022-260(SA)	1	\$5,000	\$5,000	\$3,600	9/28/2023
CSX 2022-261(FCS)	1	\$5,000	\$5,000	\$3,700	9/28/2023
CSX 2022-262(RW)	1	\$2,000	\$2,000	\$1,440	9/28/2023
CSX 2022-263(LI)	6	\$12,000	\$12,000	\$8,700	9/28/2023
CSX 2022-264(SA)	1	\$5,000	\$5,000	\$3,600	9/28/2023
CSX 2022-265(SA)	1	\$2,500	\$2,500	\$1,750	9/28/2023
CSX 2022-266(SA)	1	\$5,000	\$5,000	\$3,600	9/28/2023
CSX 2022-267(EQ)	2	\$15,000	\$15,000	\$10,800	9/28/2023
CSX 2022-268(CC)	1	\$4,000	\$4,000	\$2,880	9/28/2023
CSX 2022-269(SA)	1	\$2,500	\$2,500	\$1,750	9/28/2023
CSX 2022-270(SA)	1	\$5,000	\$5,000	\$3,600	9/28/2023
CSX 2022-271(SA)	1	\$2,500	\$2,500	\$1,750	9/28/2023
CSX 2022-272(SA)	1	\$2,500	\$2,500	\$1,750	9/28/2023
CSX 2022-275(SA)	1	\$5,000	\$5,000	\$3,500	9/28/2023
CSX 2022-276(SA)	1	\$5,000	\$5,000	\$3,600	9/28/2023
CSX 2022-277(SA)	1	\$2,500	\$2,500	\$1,750	9/28/2023
CSX 2022-278(HMT)	1	\$4,000	\$4,000	\$2,800	9/28/2023
CSX 2022-279(LI)	1	\$2,500	\$2,500	\$1,800	9/28/2023
CSX 2022-280(HMT)	1	\$7,500	\$7,500	\$5,250	9/28/2023
CSX 2022-281(HMT)	1	\$3,000	\$3,000	\$2,100	9/28/2023
CSX 2022-282(FCS)	1	\$5,000	\$5,000	\$3,700	9/28/2023



CSX 2022-283(FCS)	1	\$5,000	\$5,000	\$3,700	9/28/2023	
CSX 2022-284(SA)	1	\$2,500	\$2,500	\$1,750	9/28/2023	
CSX 2022-285(FCS)	1	\$5,000	\$5,000	\$3,700	9/28/2023	
CSX 2022-286(SA)	1	\$2,500	\$2,500	\$1,750	9/28/2023	
CSX 2022-287(TS)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CSX 2022-288(GC)	1	\$5,000	\$5,000	\$3,600	9/28/2023	
CSX 2022-292(SA)	1	\$5,000	\$5,000	\$3,562	9/28/2023	
CSX 2022-293(SA)	1	\$5,000	\$5,000	\$3,600	9/28/2023	
CSX 2022-294(CC)	1	\$7,500	\$7,500	\$5,400	9/28/2023	
CSX 2022-295(RW)	1	\$3,000	\$3,000	\$2,160	9/28/2023	
CSX 2022-296(GC)	1	\$5,000	\$0	\$0	9/28/2023	Case Terminated
CSX 2022-297(SA)	1	\$2,500	\$2,500	\$1,750	9/28/2023	
CSX 2022-298(SA)	1	\$2,500	\$2,500	\$1,750	9/28/2023	
CSX 2022-299(SA)	1	\$2,500	\$2,500	\$1,750	9/28/2023	
CSX 2022-300(ROP)	1	\$2,000	\$2,000	\$1,450	9/28/2023	
CSX 2022-301(SA)	1	\$5,000	\$5,000	\$3,500	9/28/2023	
CSX 2022-302(SA)	1	\$2,500	\$2,500	\$1,750	9/28/2023	
CSX 2022-303(ROP)	1	\$9,500	\$9,500	\$6,900	9/28/2023	
CSX 2022-304(SA)	1	\$2,500	\$2,500	\$1,750	9/28/2023	
CSX 2022-305(SA)	1	\$2,500	\$2,500	\$1,750	9/28/2023	
CSX 2022-306(SA)	1	\$5,000	\$5,000	\$3,500	9/28/2023	
CSX 2022-307(SA)	1	\$5,000	\$5,000	\$3,500	9/28/2023	
CSX 2022-308(ROP)	1	\$7,500	\$7,500	\$5,400	9/28/2023	
CSX 2022-309(SA)	1	\$5,000	\$5,000	\$3,500	9/28/2023	
CSX 2022-310(SA)	1	\$5,000	\$5,000	\$3,850	9/28/2023	
CSX 2022-311(SA)	1	\$5,000	\$5,000	\$3,850	9/28/2023	
CSX 2022-312(SA)	1	\$5,000	\$5,000	\$3,600	9/28/2023	
CSX 2022-313(FCS)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CSX 2022-314(FCS)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CSX 2022-315(GC)	1	\$5,000	\$5,000	\$3,600	9/28/2023	
CSX 2022-316(LI)	1	\$2,000	\$2,000	\$1,450	9/28/2023	

CSX 2022-317(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
CSX 2022-318(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CSX 2022-319(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CSX 2022-320(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CSX 2022-321(LI)	1	\$2,000	\$2,000	\$1,450	9/28/2023	
CSX 2022-322(HMT)	2	\$9,500	\$9,500	\$6,650	9/28/2023	
CSX 2022-323(HMT)	1	\$5,000	\$5,000	\$3,650	9/28/2023	
CSX 2022-324(LI)	1	\$1,000	\$1,000	\$976	9/28/2023	
CSX 2022-325(RW)	1	\$3,000	\$3,000	\$2,160	9/28/2023	
CSX 2022-326(FCS)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CSX 2022-329(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CSX 2022-330(SA)	1	\$5,000	\$5,000	\$3,600	9/28/2023	
CSX 2022-331(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CSX 2022-332(SA)	1	\$5,000	\$2,500	\$2,250	9/28/2023	Terminated Violations: 1
CSX 2022-333(HMT)	1	\$5,000	\$5,000	\$3,600	9/28/2023	
CSX 2022-334(GC)	1	\$5,000	\$5,000	\$3,600	9/28/2023	
CSX 2022-335(SI)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CSX 2022-336(FCS)	2	\$10,000	\$10,000	\$7,300	9/28/2023	
CSX 2022-337(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CSX 2022-338(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CSX 2022-339(RW)	1	\$3,000	\$3,000	\$2,010	9/28/2023	
CSX 2022-340(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CSX 2022-341(SI)	1	\$5,000	\$5,000	\$3,700	9/28/2023	
CSX 2022-342(TS)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CSX 2022-343(HMT)	1	\$7,000	\$7,000	\$4,900	9/28/2023	
CSX 2022-344(HSR)	1	\$1,000	\$1,000	\$976	9/28/2023	
CSX 2022-345(HSR)	8	\$8,000	\$8,000	\$7,808	9/28/2023	
CSX 2022-346(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CSX 2022-347(SA)	1	\$5,000	\$5,000	\$3,600	9/28/2023	
CSX 2022-348(SA)	1	\$5,000	\$5,000	\$3,600	9/28/2023	

CSX 2022-349(LI)	1	\$2,000	\$2,000	\$1,450	9/28/2023
CSX 2022-350(TS)	1	\$5,000	\$5,000	\$3,350	9/28/2023
CSX 2022-351(TS)	1	\$2,500	\$2,500	\$1,800	9/28/2023
CSX 2022-352(LI)	1	\$2,500	\$2,500	\$1,800	9/28/2023
CSX 2022-353(SA)	1	\$5,000	\$5,000	\$3,600	9/28/2023
CSX 2022-354(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023
CSX 2022-355(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023
CSX 2022-356(SA)	1	\$5,000	\$5,000	\$3,600	9/28/2023
CSX 2022-357(AD)	1	\$5,000	\$5,000	\$3,350	9/28/2023
CSX 2022-358(SA)	1	\$5,000	\$5,000	\$3,600	9/28/2023
CSX 2022-359(SA)	1	\$7,500	\$7,500	\$5,400	9/28/2023
CSX 2022-360(FCS)	1	\$2,000	\$2,000	\$1,450	9/28/2023
CSX 2022-361(LI)	1	\$1,500	\$1,500	\$1,100	9/28/2023
CSX 2022-362(LI)	1	\$2,000	\$2,000	\$1,450	9/28/2023
CSX 2022-363(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023
CSX 2022-364(SA)	1	\$5,000	\$5,000	\$3,600	9/28/2023
CSX 2022-365(ROP)	1	\$2,000	\$2,000	\$1,450	9/28/2023
CSX 2022-366(HSR)	7	\$7,000	\$7,000	\$6,832	9/28/2023
CSX 2022-367(FCS)	1	\$2,500	\$2,500	\$1,800	9/28/2023
CSX 2022-368(FCS)	1	\$2,500	\$2,500	\$1,800	9/28/2023
CSX 2022-369(FCS)	1	\$5,000	\$5,000	\$3,700	9/28/2023
CSX 2022-370(SA)	1	\$5,000	\$5,000	\$3,600	9/28/2023
CSX 2022-371(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023
CSX 2022-372(SA)	1	\$5,000	\$5,000	\$3,600	9/28/2023
CSX 2022-373(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023
CSX 2022-374(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023
CSX 2022-375(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023
CSX 2022-376(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023
CSX 2022-377(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023
CSX 2022-378(SA)	1	\$5,000	\$5,000	\$3,600	9/28/2023
CSX 2022-379(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023

CSX 2022-380(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023
CSX 2022-381(LI)	1	\$2,500	\$2,500	\$1,800	9/28/2023
CSX 2022-382(SA)	1	\$5,000	\$5,000	\$3,600	9/28/2023
CSX 2022-383(SA)	1	\$5,000	\$5,000	\$3,600	9/28/2023
CSX 2022-384(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023
CSX 2022-385(ROP)	1	\$7,500	\$7,500	\$5,400	9/28/2023
CSX 2022-386(HMT)	2	\$179,356	\$179,356	\$130,000	9/28/2023
CSX 2022-387(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023
CSX 2022-388(SA)	1	\$5,000	\$5,000	\$3,600	9/28/2023
CSX 2022-389(SA)	1	\$10,000	\$10,000	\$7,200	9/28/2023
CSX 2022-390(FCS)	1	\$2,000	\$2,000	\$1,450	9/28/2023
CSX 2022-391(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023
CSX 2022-392(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023
CSX 2022-393(SI)	1	\$2,000	\$2,000	\$1,450	9/28/2023
CSX 2022-394(GC)	1	\$2,500	\$2,500	\$1,800	9/28/2023
CSX 2022-395(SI)	1	\$1,000	\$1,000	\$976	9/28/2023
CSX 2022-396(GC)	1	\$2,500	\$2,500	\$1,675	9/28/2023
CSX 2022-397(ROP)	1	\$7,500	\$7,500	\$5,400	9/28/2023
CSX 2022-398(SA)	1	\$5,000	\$5,000	\$3,600	9/28/2023
CSX 2022-399(SA)	1	\$5,000	\$5,000	\$3,600	9/28/2023
CSX 2023-001(RW)	1	\$2,000	\$2,000	\$1,440	9/28/2023
CSX 2023-002(FCS)	1	\$5,000	\$5,000	\$3,700	9/28/2023
CSX 2023-003(ROP)	1	\$9,500	\$9,500	\$6,365	9/28/2023
CSX 2023-004(ROP)	1	\$9,500	\$9,500	\$6,365	9/28/2023
CSX 2023-005(ROP)	1	\$9,500	\$9,500	\$6,365	9/28/2023
CSX 2023-006(ROP)	1	\$5,000	\$5,000	\$3,350	9/28/2023
CSX 2023-007(SA)	1	\$5,000	\$5,000	\$3,600	9/28/2023
CSX 2023-008(SA)	1	\$10,000	\$10,000	\$7,200	9/28/2023
CSX 2023-009(AR)	1	\$2,500	\$2,500	\$1,800	9/28/2023
CSX 2023-010(HMT)	1	\$6,000	\$6,000	\$4,300	9/28/2023
CSX 2023-011(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023

CSX 2023-012(SA)	1	\$5,000	\$5,000	\$3,600	9/28/2023	
CSX 2023-013(HS)	2	\$4,000	\$2,000	\$1,952	9/28/2023	Terminated Violations: 1
CSX 2023-014(HS)	2	\$4,000	\$2,000	\$1,952	9/28/2023	Terminated Violations: 1
CSX 2023-015(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CSX 2023-016(LI)	1	\$2,000	\$2,000	\$1,450	9/28/2023	
CSX 2023-017(SA)	1	\$5,000	\$5,000	\$3,600	9/28/2023	
CSX 2023-018(LI)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CSX 2023-019(ROP)	1	\$2,000	\$2,000	\$1,440	9/28/2023	
CSX 2023-020(SA)	1	\$5,000	\$5,000	\$3,600	9/28/2023	
CSX 2023-021(FCS)	1	\$5,000	\$5,000	\$3,700	9/28/2023	
CSX 2023-022(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CSX 2023-023(SA)	1	\$5,000	\$5,000	\$3,600	9/28/2023	
CSX 2023-024(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CSX 2023-025(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CSX 2023-026(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CSX 2023-027(ROP)	1	\$9,500	\$9,500	\$6,840	9/28/2023	
CSX 2023-028(ROP)	1	\$7,500	\$7,500	\$5,400	9/28/2023	
CSX 2023-029(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CSX 2023-030(LI)	1	\$2,000	\$2,000	\$1,450	9/28/2023	
CSX 2023-031(LI)	1	\$2,000	\$2,000	\$1,450	9/28/2023	
CSX 2023-032(SA)	1	\$5,000	\$5,000	\$3,600	9/28/2023	
CSX 2023-033(TS)	1	\$5,000	\$5,000	\$3,600	9/28/2023	
CSX 2023-034(SA)	1	\$5,000	\$5,000	\$3,600	9/28/2023	
CSX 2023-035(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CSX 2023-036(FCS)	1	\$5,000	\$5,000	\$3,700	9/28/2023	
CSX 2023-037(FCS)	1	\$2,500	\$2,500	\$1,800	9/28/2023	
CTR 2022-001(TS)	1	\$2,000	\$2,000	\$2,000	1/6/2023	
CTRQ 2022-001(HMT)	4	\$10,000	\$10,000	\$7,000	11/17/2022	
CWW 2022-001(TS)	1	\$5,000	\$5,000	\$2,500	12/2/2022	
CWW 2023-001(SA)	1	\$5,000	\$5,000	\$5,000	4/13/2023	

DMVW 2022-001(SA)	1	\$5,000	\$5,000	\$3,000	5/5/2023	
DN 2022-001(TS)	1	\$2,500	\$2,500	\$2,500	3/17/2023	
DR 2022-001(TS)	1	\$5,000	\$5,000	\$908	2/16/2023	
DR 2022-002(ROP)	1	\$5,000	\$5,000	\$976	2/16/2023	
ERSZ 2023-001(HMT)	3	\$12,000	\$12,000	\$9,120	8/8/2023	
EXCE 2022-001(HMT)	1	\$5,000	\$5,000	\$3,100	11/28/2022	
FEC 2022-012(SI)	1	\$1,000	\$1,000	\$980	9/27/2023	
FEC 2022-013(HS)	2	\$2,000	\$2,000	\$1,960	9/27/2023	
FEC 2022-014(SA)	1	\$5,000	\$5,000	\$3,700	9/27/2023	
FEC 2022-015(SA)	2	\$10,000	\$10,000	\$7,600	9/27/2023	
FEC 2022-016(SA)	1	\$5,000	\$5,000	\$4,000	9/27/2023	
FEC 2022-017(ROP)	1	\$9,500	\$9,500	\$7,800	9/27/2023	
FEC 2022-018(GC)	1	\$2,500	\$2,500	\$1,900	9/27/2023	
FEC 2022-019(SI)	1	\$2,500	\$2,500	\$1,900	9/27/2023	
FEC 2022-020(SA)	1	\$5,000	\$5,000	\$3,700	9/27/2023	
FEC 2022-021(SA)	1	\$5,000	\$5,000	\$3,700	9/27/2023	
FEC 2022-022(SA)	1	\$5,000	\$5,000	\$3,700	9/27/2023	
FEC 2023-001(SA)	1	\$5,000	\$5,000	\$3,800	9/27/2023	
FEC 2023-002(SA)	1	\$5,000	\$5,000	\$3,800	9/27/2023	
FEC 2023-003(SA)	1	\$10,000	\$10,000	\$8,000	9/27/2023	
FEC 2023-004(SA)	1	\$10,000	\$5,000	\$4,800	9/27/2023	Terminated Violations: 1
FEC 2023-005(SA)	1	\$10,000	\$5,000	\$4,800	9/27/2023	Terminated Violations: 1
FEC 2023-006(SA)	1	\$10,000	\$10,000	\$8,060	9/27/2023	
FEC 2023-007(SA)	1	\$10,000	\$10,000	\$8,000	9/27/2023	
FEC 2023-008(SA)	1	\$5,000	\$5,000	\$4,000	9/27/2023	
FEC 2023-009(SA)	1	\$10,000	\$5,000	\$3,800	9/27/2023	Terminated Violations: 1
FGA 2022-001(SA)	1	\$5,000	\$5,000	\$5,000	2/13/2023	
FGA 2022-003(LI)	2	\$5,000	\$5,000	\$5,000	2/13/2023	
FGA 2022-004(SA)	1	\$2,500	\$2,500	\$2,500	2/13/2023	

FGA 2022-005(LI)	1	\$2,500	\$2,500	\$2,500	2/13/2023	
FWWR 2019-013(AD)	1	\$2,500	\$2,500	\$1,400	2/16/2023	
GBPZ 2021-001(HMT)	1	\$10,000	\$10,000	\$7,900	5/25/2023	
GC 2022-002(RW)	1	\$2,000	\$2,000	\$1,360	9/25/2023	
GLCT 2020-001(SA)	1	\$5,000	\$5,000	\$5,000	5/12/2023	
GLCT 2021-001(SA)	2	\$10,000	\$10,000	\$10,000	5/12/2023	
GNRR 2020-001(ROP)	1	\$7,500	\$7,500	\$5,256	2/21/2023	
GNRR 2020-002(RSP)	1	\$5,500	\$5,500	\$4,125	2/21/2023	
GRAV 2022-001(HMT)	1	\$10,000	\$10,000	\$7,500	5/17/2023	
GRW 2022-001(RSP)	1	\$9,500	\$9,500	\$9,500	1/20/2023	
GRYR 2021-002(SA)	1	\$2,500	\$0	\$0	5/26/2023	Case Terminated
GRYR 2022-001(RW)	1	\$2,000	\$2,000	\$1,450	5/26/2023	
GRYR 2022-002(BSS)	5	\$12,500	\$12,500	\$8,250	5/26/2023	
GSM 2021-001(GC)	1	\$2,500	\$2,500	\$2,000	5/30/2023	
GSM 2021-002(RMM)	1	\$5,000	\$0	\$0	5/30/2023	Case Terminated
GSM 2022-001(TS)	1	\$2,500	\$0	\$0	5/30/2023	Case Terminated
GSM 2022-002(TS)	1	\$1,000	\$0	\$0	5/30/2023	Case Terminated
GSM 2022-003(TS)	1	\$5,000	\$0	\$0	5/30/2023	Case Terminated
GSM 2022-004(GC)	1	\$5,000	\$5,000	\$3,500	5/30/2023	
GSM 2022-005(GC)	1	\$5,000	\$5,000	\$3,000	5/30/2023	
GSM 2022-006(GC)	1	\$2,500	\$2,500	\$2,000	5/30/2023	
GWR 2022-001(GC)	1	\$2,500	\$2,500	\$1,750	2/1/2023	
GWR 2022-002(GC)	1	\$2,500	\$2,500	\$1,750	2/1/2023	
GWR 2022-003(GC)	1	\$1,000	\$1,000	\$976	1/23/2023	
GWR 2022-004(AD)	1	\$2,500	\$2,500	\$2,125	2/22/2023	
HESR 2022-001(SA)	1	\$2,500	\$2,500	\$1,725	9/25/2023	
HMCR 2019-001(SA)	1	\$5,000	\$5,000	\$5,000	2/2/2023	
HOB 2022-001(ROP)	1	\$9,500	\$9,500	\$4,750	1/25/2023	

HRRC 2019-001(GC)	1	\$2,500	\$2,500	\$1,250	6/1/2023
HRRC 2019-002(GC)	1	\$5,000	\$5,000	\$2,500	6/1/2023
HRRC 2020-001(TS)	1	\$5,000	\$5,000	\$2,500	4/6/2023
IAIS 2022-001(HSR)	1	\$2,000	\$2,000	\$1,400	5/11/2023
IAIS 2023-001(HSR)	1	\$2,000	\$2,000	\$1,400	5/11/2023
IHB 2022-006(SA)	1	\$2,500	\$2,500	\$1,780	3/1/2023
IHB 2022-007(FCS)	1	\$2,500	\$2,500	\$1,780	3/1/2023
IHB 2022-008(LI)	1	\$2,000	\$2,000	\$1,450	3/1/2023
IHB 2022-009(FCS)	1	\$2,500	\$2,500	\$1,780	3/1/2023
IHB 2022-010(SA)	1	\$2,500	\$2,500	\$1,780	3/1/2023
IHB 2022-011(LI)	1	\$2,500	\$2,500	\$1,780	3/2/2023
IHB 2023-001(HMT)	1	\$3,000	\$3,000	\$2,150	3/30/2023
IHB 2023-002(SA)	1	\$2,500	\$2,500	\$1,900	5/22/2023
IHB 2023-003(FCS)	1	\$5,000	\$5,000	\$3,800	5/22/2023
IHB 2023-004(SA)	1	\$10,000	\$10,000	\$7,400	5/22/2023
IHB 2023-005(FCS)	2	\$20,000	\$20,000	\$14,900	5/22/2023
INTD 2022-002(HMT)	3	\$15,000	\$15,000	\$15,000	11/2/2022
IORY 2022-001(GC)	1	\$1,500	\$1,500	\$1,050	9/25/2023
IORY 2022-002(GC)	1	\$2,500	\$2,500	\$1,750	9/25/2023
IR 2022-001(AD)	1	\$2,500	\$2,500	\$1,750	8/1/2023
IR 2022-002(AD)	1	\$2,500	\$2,500	\$1,750	8/1/2023
ITHR 2021-001(TS)	1	\$5,000	\$5,000	\$3,750	9/18/2023
KCS 2022-005(SA)	1	\$2,000	\$2,000	\$1,450	8/31/2023
KCS 2022-006(AD)	3	\$7,500	\$7,500	\$5,000	8/31/2023
KCS 2022-007(AD)	3	\$7,500	\$7,500	\$5,000	8/31/2023
KCS 2022-008(AD)	2	\$5,000	\$5,000	\$3,325	8/31/2023
KCS 2022-009(AD)	2	\$5,000	\$5,000	\$3,325	8/31/2023
KCS 2022-010(AD)	1	\$2,500	\$2,500	\$1,650	8/31/2023
KCS 2022-011(AD)	1	\$2,500	\$2,500	\$1,650	8/31/2023
KCS 2022-012(AD)	1	\$2,500	\$2,500	\$1,650	8/31/2023
KCS 2022-013(AD)	1	\$2,500	\$2,500	\$1,650	8/31/2023



KCS 2022-014(AD)	1	\$2,500	\$2,500	\$1,650	8/31/2023	
KCS 2022-015(AD)	1	\$2,500	\$2,500	\$1,650	8/31/2023	
KCS 2022-016(AD)	1	\$2,500	\$2,500	\$1,650	8/31/2023	
KCS 2022-017(AD)	1	\$2,500	\$2,500	\$1,650	8/31/2023	
KCS 2022-018(AD)	2	\$5,000	\$5,000	\$3,325	8/31/2023	
KCS 2022-019(AD)	1	\$5,000	\$5,000	\$3,325	8/31/2023	
KCS 2022-020(AD)	1	\$5,000	\$5,000	\$3,325	8/31/2023	
KCS 2022-021(AD)	1	\$5,000	\$5,000	\$3,325	8/31/2023	
KCS 2022-022(CC)	1	\$5,000	\$5,000	\$3,325	8/31/2023	
KCS 2022-023(AD)	1	\$5,000	\$5,000	\$3,325	8/31/2023	
KCS 2022-024(AD)	1	\$2,500	\$2,500	\$1,650	8/31/2023	
KCS 2022-025(AD)	1	\$2,500	\$2,500	\$1,650	8/31/2023	
KCS 2022-026(AD)	1	\$2,500	\$2,500	\$1,650	8/31/2023	
KCS 2022-027(AD)	1	\$2,500	\$2,500	\$1,650	8/31/2023	
KCS 2022-028(AD)	1	\$2,500	\$2,500	\$1,650	8/31/2023	
KCS 2022-029(AD)	1	\$2,500	\$2,500	\$1,650	8/31/2023	
KCS 2022-030(AD)	1	\$2,500	\$2,500	\$1,650	8/31/2023	
KCS 2022-031(FCS)	1	\$2,500	\$0	\$0	8/31/2023	Case Terminated
KCS 2022-032(FCS)	1	\$2,500	\$0	\$0	8/31/2023	Case Terminated
KCS 2022-033(FCS)	1	\$2,500	\$2,500	\$1,650	8/31/2023	
KCS 2022-034(SA)	1	\$2,500	\$2,500	\$1,725	8/31/2023	
KCS 2022-035(LI)	1	\$2,500	\$2,500	\$2,000	8/31/2023	
KCS 2022-036(AD)	2	\$5,000	\$5,000	\$3,325	8/31/2023	
KCS 2022-037(AD)	4	\$10,000	\$10,000	\$6,675	8/31/2023	
KCS 2022-038(AD)	3	\$7,500	\$7,500	\$5,000	8/31/2023	
KCS 2022-039(AD)	3	\$7,500	\$7,500	\$5,000	8/31/2023	
KCS 2022-040(AD)	2	\$5,000	\$5,000	\$3,325	8/31/2023	
KCS 2022-041(AD)	1	\$2,500	\$2,500	\$1,650	8/31/2023	
KCS 2022-042(AD)	1	\$2,500	\$2,500	\$1,650	8/31/2023	
KCS 2022-043(AD)	1	\$2,500	\$2,500	\$1,650	8/31/2023	
KCS 2022-044(AD)	3	\$7,500	\$7,500	\$5,000	8/31/2023	

KCS 2022-045(AD)	1	\$2,500	\$2,500	\$1,650	8/31/2023	
KCS 2022-046(AD)	1	\$2,500	\$2,500	\$1,650	8/31/2023	
KCS 2022-047(AD)	1	\$2,500	\$2,500	\$1,650	8/31/2023	
KCS 2022-048(AD)	1	\$2,500	\$2,500	\$1,650	8/31/2023	
KCS 2022-049(AD)	1	\$2,500	\$2,500	\$1,650	8/31/2023	
KCS 2022-050(AD)	1	\$5,000	\$5,000	\$3,325	8/31/2023	
KCS 2022-051(AD)	1	\$5,000	\$5,000	\$3,325	8/31/2023	
KCS 2022-052(EQ)	1	\$2,500	\$2,500	\$1,975	8/31/2023	
KCS 2022-053(SA)	1	\$2,500	\$2,500	\$1,600	8/31/2023	
KCS 2022-054(SA)	1	\$2,500	\$2,500	\$1,800	8/31/2023	
KCS 2022-055(LI)	1	\$2,500	\$2,500	\$1,800	8/31/2023	
KCS 2022-056(SA)	1	\$2,500	\$2,500	\$1,800	8/31/2023	
KCS 2022-057(SI)	1	\$1,000	\$1,000	\$976	8/31/2023	
KCS 2022-058(SI)	1	\$2,500	\$2,500	\$1,750	8/31/2023	
KCS 2022-059(HS)	1	\$2,000	\$2,000	\$1,250	8/31/2023	
KCS 2022-060(SA)	1	\$5,000	\$5,000	\$3,600	8/31/2023	
KCS 2022-061(SA)	1	\$5,000	\$5,000	\$3,600	8/31/2023	
KCS 2022-062(SA)	1	\$5,000	\$2,500	\$2,500	8/31/2023	Terminated Violations: 1
KCS 2022-063(FCS)	1	\$2,500	\$2,500	\$1,800	8/31/2023	
KCS 2022-064(FCS)	1	\$5,000	\$5,000	\$3,250	8/31/2023	
KCS 2022-065(SA)	1	\$5,000	\$5,000	\$3,450	8/31/2023	
KCS 2022-066(SA)	1	\$5,000	\$5,000	\$3,550	8/31/2023	
KCS 2022-067(GC)	1	\$5,000	\$5,000	\$3,650	8/31/2023	
KCS 2022-068(GC)	1	\$5,000	\$5,000	\$3,650	8/31/2023	
KCS 2022-069(GC)	1	\$5,000	\$5,000	\$3,650	8/31/2023	
KCS 2022-070(HS)	1	\$2,000	\$2,000	\$1,250	8/31/2023	
KCS 2022-071(GC)	1	\$5,000	\$5,000	\$3,650	8/31/2023	
KCS 2023-001(GC)	1	\$5,000	\$5,000	\$3,850	8/31/2023	
KCS 2023-002(GC)	1	\$5,000	\$5,000	\$3,850	8/31/2023	
KCS 2023-003(HS)	1	\$2,000	\$2,000	\$1,250	8/31/2023	

KCS 2023-004(SA)	1	\$20,000	\$20,000	\$14,500	8/31/2023
KO 2022-001(AD)	1	\$5,000	\$5,000	\$3,350	9/18/2023
KRR 2022-001(TS)	1	\$5,000	\$5,000	\$3,450	9/25/2023
KRR 2022-002(TS)	1	\$5,000	\$5,000	\$3,450	9/25/2023
KRR 2022-003(TS)	1	\$5,000	\$5,000	\$3,450	9/25/2023
KYLE 2022-001(GC)	1	\$2,500	\$2,500	\$1,900	9/25/2023
LAJ 2022-001(SA)	1	\$5,000	\$5,000	\$3,650	9/28/2023
LECQ 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	12/8/2022
LRA 2022-001(RW)	1	\$10,000	\$10,000	\$5,000	12/8/2022
LRA 2022-002(TS)	3	\$3,000	\$3,000	\$2,928	12/8/2022
LSRC 2020-002(HMT)	1	\$5,000	\$5,000	\$3,000	12/6/2022
LSRC 2021-001(SA)	1	\$2,500	\$2,500	\$1,650	12/6/2022
LSRC 2021-002(SA)	1	\$5,000	\$5,000	\$2,600	12/6/2022
MACZ 2021-003(SI)	1	\$2,500	\$2,500	\$2,500	7/19/2023
MACZ 2022-001(AD)	1	\$2,500	\$2,500	\$2,500	7/19/2023
MBTA 2022-017(RW)	1	\$3,000	\$3,000	\$2,190	5/31/2023
MBTA 2022-018(RW)	1	\$3,000	\$3,000	\$2,190	5/31/2023
MBTA 2022-019(ROP)	1	\$9,500	\$9,500	\$7,125	5/31/2023
MBTA 2022-020(PEQ)	1	\$2,500	\$2,500	\$1,825	5/31/2023
MBTA 2022-021(TS)	1	\$5,000	\$5,000	\$3,700	5/31/2023
MBTA 2022-022(RSP)	1	\$9,500	\$9,500	\$7,125	5/31/2023
MBTA 2022-023(TS)	1	\$5,000	\$5,000	\$3,700	5/31/2023
MBTA 2022-024(RW)	1	\$5,000	\$5,000	\$3,650	5/31/2023
MBTA 2022-025(TS)	1	\$5,000	\$5,000	\$3,700	5/31/2023
MBTA 2022-026(TS)	1	\$5,000	\$5,000	\$3,700	5/31/2023
MBTA 2022-027(TS)	1	\$2,000	\$2,000	\$1,500	5/31/2023
MCRL 2022-001(SA)	1	\$5,000	\$5,000	\$3,750	5/22/2023
MEC 2022-003(TS)	1	\$5,000	\$5,000	\$3,700	9/27/2023
MEC 2022-004(TS)	1	\$5,000	\$5,000	\$3,700	9/27/2023
MEC 2022-005(TS)	1	\$5,000	\$5,000	\$3,700	9/27/2023
MEC 2022-006(TS)	1	\$5,000	\$5,000	\$3,700	9/27/2023

MEC 2023-001(TS)	1	\$2,500	\$2,500	\$1,850	9/27/2023	
MER 2022-001(ROP)	1	\$7,500	\$7,500	\$5,250	7/11/2023	
MNA 2022-001(GC)	1	\$5,000	\$5,000	\$3,300	9/25/2023	
MNA 2022-002(TS)	1	\$1,500	\$1,500	\$1,200	9/25/2023	
MNBR 2022-001(RW)	1	\$2,000	\$2,000	\$1,500	9/25/2023	
MNBR 2022-002(HMT)	1	\$5,000	\$5,000	\$3,400	9/25/2023	
MNCW 2022-001(ROP)	1	\$9,500	\$9,500	\$6,175	5/30/2023	
MNCW 2022-002(TS)	1	\$5,000	\$5,000	\$3,250	5/30/2023	
MNCW 2023-001(ROP)	1	\$7,500	\$7,500	\$4,875	5/30/2023	
MNJ 2022-001(TS)	1	\$5,000	\$5,000	\$3,250	2/1/2023	
MNN 2023-001(LI)	1	\$4,000	\$4,000	\$2,600	8/10/2023	
MOR 2022-001(SA)	1	\$5,000	\$5,000	\$3,250	3/20/2023	
MRL 2022-002(ROP)	1	\$9,500	\$9,500	\$7,030	5/26/2023	
MRL 2022-007(ROP)	1	\$7,500	\$7,500	\$5,400	5/26/2023	
MRL 2022-008(SI)	1	\$5,000	\$5,000	\$3,750	5/26/2023	
MRL 2022-009(SI)	1	\$2,500	\$2,500	\$1,875	5/26/2023	
MRL 2022-010(ROP)	1	\$9,500	\$9,500	\$7,030	5/26/2023	
MRL 2023-001(ROP)	1	\$7,500	\$7,500	\$5,400	5/26/2023	
MRL 2023-002(SI)	1	\$5,000	\$5,000	\$3,750	5/26/2023	
MRL 2023-003(ROP)	1	\$7,500	\$7,500	\$5,400	5/26/2023	
MRL 2023-004(ROP)	1	\$9,500	\$9,500	\$7,030	5/26/2023	
MRTV 2023-001(GC)	1	\$2,500	\$2,500	\$1,500	7/11/2023	
MSRR 2021-001(RW)	2	\$6,000	\$6,000	\$4,800	9/18/2023	
MSRR 2022-001(TS)	1	\$5,000	\$5,000	\$3,750	9/18/2023	
NERR 2018-001(ROP)	1	\$7,500	\$0	\$0	9/7/2023	Case Terminated
NHN 2021-001(TS)	1	\$5,000	\$5,000	\$2,500	11/17/2022	
NICD 2022-001(ROP)	1	\$2,000	\$2,000	\$1,000	1/31/2023	
NJTR 2018-008(PEQ)	1	\$5,000	\$5,000	\$3,000	10/14/2022	
NJTR 2018-009(SA)	1	\$2,500	\$2,500	\$1,500	10/14/2022	
NJTR 2018-010(ROP)	1	\$7,500	\$7,500	\$4,500	10/14/2022	

NJTR 2018-011(ROP)	1	\$7,500	\$7,500	\$4,500	10/14/2022
NJTR 2018-012(HS)	1	\$1,000	\$1,000	\$853	10/14/2022
NJTR 2018-013(ROP)	1	\$7,500	\$7,500	\$4,500	10/14/2022
NJTR 2018-014(ROP)	1	\$9,500	\$9,500	\$5,700	10/14/2022
NJTR 2018-015(ROP)	1	\$5,000	\$5,000	\$3,000	10/14/2022
NJTR 2018-016(ROP)	1	\$7,500	\$7,500	\$4,500	10/14/2022
NJTR 2018-017(PEQ)	1	\$5,000	\$5,000	\$3,000	10/14/2022
NJTR 2018-018(PEQ)	1	\$5,000	\$5,000	\$3,000	10/14/2022
NJTR 2018-019(ROP)	1	\$5,000	\$5,000	\$3,000	10/14/2022
NJTR 2018-020(TH)	1	\$1,000	\$1,000	\$853	10/14/2022
NJTR 2018-021(PEQ)	1	\$5,000	\$5,000	\$3,000	10/14/2022
NJTR 2018-022(PEQ)	1	\$5,000	\$5,000	\$3,000	10/14/2022
NJTR 2018-023(ROP)	1	\$7,500	\$7,500	\$4,500	10/14/2022
NJTR 2018-025(PEQ)	1	\$1,000	\$1,000	\$853	10/14/2022
NJTR 2018-026(PEQ)	1	\$5,000	\$5,000	\$3,000	10/14/2022
NJTR 2018-027(AD)	2	\$5,000	\$5,000	\$3,000	10/14/2022
NJTR 2018-028(AD)	2	\$5,000	\$5,000	\$3,000	10/14/2022
NJTR 2018-029(AD)	2	\$5,000	\$5,000	\$3,000	10/14/2022
NJTR 2018-030(AD)	2	\$5,000	\$5,000	\$3,000	10/14/2022
NJTR 2018-031(AD)	1	\$2,500	\$2,500	\$1,500	10/14/2022
NJTR 2018-032(AD)	1	\$2,500	\$2,500	\$1,500	10/14/2022
NJTR 2018-033(AD)	1	\$2,500	\$2,500	\$1,500	10/14/2022
NJTR 2018-034(AD)	2	\$5,000	\$5,000	\$3,000	10/14/2022
NJTR 2019-001(AD)	1	\$5,000	\$5,000	\$3,000	10/14/2022
NJTR 2019-002(AD)	1	\$1,000	\$1,000	\$853	10/14/2022
NJTR 2019-003(AD)	1	\$5,000	\$5,000	\$3,000	10/14/2022
NJTR 2019-004(AD)	14	\$70,000	\$70,000	\$42,000	10/14/2022
NJTR 2019-005(AD)	2	\$10,000	\$10,000	\$6,000	10/14/2022
NJTR 2019-006(GC)	1	\$5,000	\$5,000	\$3,000	10/14/2022
NJTR 2019-007(PEQ)	1	\$5,000	\$5,000	\$3,000	10/14/2022
NJTR 2019-008(PEQ)	1	\$5,000	\$5,000	\$3,000	10/14/2022

NJTR 2019-009(ROP)	1	\$7,500	\$7,500	\$4,500	10/14/2022
NJTR 2019-010(ROP)	1	\$7,500	\$7,500	\$4,500	10/14/2022
NJTR 2019-011(TH)	1	\$1,000	\$1,000	\$870	10/14/2022
NJTR 2019-012(ROP)	1	\$5,000	\$5,000	\$3,000	10/14/2022
NJTR 2019-013(PEP)	1	\$2,500	\$2,500	\$1,500	10/14/2022
NJTR 2019-014(ROP)	1	\$7,500	\$7,500	\$4,500	10/14/2022
NJTR 2019-015(ROP)	1	\$5,000	\$5,000	\$3,000	10/14/2022
NJTR 2019-016(ROP)	1	\$7,500	\$7,500	\$4,500	10/14/2022
NJTR 2019-017(ROP)	1	\$7,500	\$7,500	\$4,500	10/14/2022
NJTR 2019-018(ROP)	1	\$7,500	\$7,500	\$4,500	10/14/2022
NJTR 2020-001(PEQ)	1	\$2,500	\$2,500	\$1,500	10/14/2022
NJTR 2020-002(ROP)	1	\$5,000	\$5,000	\$3,000	10/14/2022
NJTR 2020-003(ROP)	1	\$7,500	\$7,500	\$4,500	10/14/2022
NJTR 2020-004(ROP)	1	\$9,500	\$9,500	\$5,700	10/14/2022
NJTR 2020-005(AD)	1	\$2,500	\$2,500	\$1,500	10/14/2022
NJTR 2020-006(AD)	1	\$2,500	\$2,500	\$1,500	10/14/2022
NJTR 2020-007(AD)	1	\$2,500	\$2,500	\$1,500	10/14/2022
NJTR 2020-008(AD)	1	\$2,500	\$2,500	\$1,500	10/14/2022
NJTR 2020-009(AD)	6	\$15,000	\$15,000	\$9,000	10/14/2022
NJTR 2020-010(AD)	7	\$17,500	\$17,500	\$10,500	10/14/2022
NJTR 2020-011(AD)	1	\$2,500	\$2,500	\$1,500	10/14/2022
NJTR 2020-012(AD)	1	\$2,500	\$2,500	\$1,500	10/14/2022
NJTR 2020-013(AD)	1	\$2,500	\$2,500	\$1,500	10/14/2022
NJTR 2020-014(AD)	1	\$2,500	\$2,500	\$1,500	10/14/2022
NJTR 2020-015(AD)	2	\$10,000	\$10,000	\$6,000	10/14/2022
NJTR 2020-016(AD)	10	\$25,000	\$25,000	\$15,000	10/14/2022
NJTR 2020-017(AD)	1	\$2,500	\$2,500	\$1,500	10/14/2022
NJTR 2020-018(AD)	4	\$20,000	\$20,000	\$12,000	10/14/2022
NJTR 2020-019(AD)	1	\$5,000	\$5,000	\$3,000	10/14/2022
NJTR 2020-020(AD)	1	\$5,000	\$5,000	\$3,000	10/14/2022
NJTR 2020-021(AD)	1	\$5,000	\$5,000	\$3,000	10/14/2022

NJTR 2020-022(AD)	1	\$5,000	\$5,000	\$3,000	10/14/2022	
NJTR 2020-023(AD)	1	\$5,000	\$5,000	\$3,000	10/14/2022	
NJTR 2020-024(AD)	1	\$5,000	\$5,000	\$3,000	10/14/2022	
NJTR 2020-025(AD)	1	\$5,000	\$5,000	\$3,000	10/14/2022	
NJTR 2020-026(AD)	1	\$5,000	\$5,000	\$3,000	10/14/2022	
NJTR 2020-027(AD)	1	\$5,000	\$5,000	\$3,000	10/14/2022	
NJTR 2020-028(AD)	1	\$5,000	\$5,000	\$3,000	10/14/2022	
NJTR 2020-029(AD)	1	\$2,500	\$2,500	\$1,500	10/14/2022	
NJTR 2020-030(AD)	12	\$30,000	\$30,000	\$18,000	10/14/2022	
NJTR 2020-031(AD)	1	\$2,500	\$2,500	\$1,500	10/14/2022	
NJTR 2020-032(AD)	1	\$2,500	\$2,500	\$1,500	10/14/2022	
NJTR 2020-033(AD)	1	\$2,500	\$2,500	\$1,500	10/14/2022	
NJTR 2020-034(AD)	1	\$2,500	\$2,500	\$1,500	10/14/2022	
NJTR 2020-035(AD)	1	\$2,500	\$2,500	\$1,500	10/14/2022	
NJTR 2020-036(AD)	1	\$2,500	\$2,500	\$1,500	10/14/2022	
NJTR 2020-037(AD)	1	\$2,500	\$2,500	\$1,500	10/14/2022	
NJTR 2020-038(AD)	1	\$2,500	\$2,500	\$1,500	10/14/2022	
NJTR 2020-039(AD)	1	\$2,500	\$2,500	\$1,500	10/14/2022	
NJTR 2020-040(ROP)	1	\$7,500	\$7,500	\$4,500	10/14/2022	
NJTR 2020-041(ROP)	1	\$9,500	\$9,500	\$5,700	10/14/2022	
NJTR 2020-042(ROP)	1	\$7,500	\$7,500	\$4,500	10/14/2022	
NJTR 2021-001(ROP)	1	\$5,000	\$5,000	\$3,000	10/14/2022	
NLA 2020-001(BSS)	14	\$35,000	\$5,000	\$892	3/2/2023	Terminated Violations: 1
NLA 2022-001(TS)	1	\$5,000	\$5,000	\$976	3/2/2023	
NLR 2020-001(AD)	7	\$17,500	\$17,500	\$7,318	4/6/2023	
NOPB 2022-001(EQ)	1	\$1,000	\$1,000	\$1,000	11/3/2022	
NOPB 2022-002(EQ)	1	\$1,000	\$1,000	\$1,000	11/3/2022	
NOPB 2022-003(CC)	1	\$2,000	\$2,000	\$2,000	11/3/2022	
NOPB 2022-004(TS)	1	\$2,500	\$2,500	\$2,500	11/3/2022	
NPB 2020-001(SA)	1	\$5,000	\$5,000	\$2,500	11/8/2022	

NPB 2020-002(SI)	1	\$2,500	\$2,500	\$1,250	11/8/2022	
NTRY 2021-001(HMT)	3	\$11,000	\$11,000	\$5,500	11/7/2022	
NTRY 2021-002(HMT)	3	\$11,000	\$11,000	\$5,500	11/7/2022	
NTZR 2022-001(TS)	1	\$5,000	\$5,000	\$3,000	1/26/2023	
NTZR 2022-002(BSS)	2	\$5,000	\$5,000	\$2,500	1/26/2023	
NVRR 2022-001(GC)	1	\$2,500	\$2,500	\$1,250	9/7/2023	
NYNJ 2023-001(CC)	1	\$5,000	\$5,000	\$5,000	9/28/2023	
NYNJ 2023-002(CC)	1	\$5,000	\$5,000	\$5,000	9/28/2023	
NYNJ 2023-003(CC)	1	\$6,000	\$6,000	\$6,000	9/28/2023	
NYSW 2022-001(SA)	1	\$2,500	\$2,500	\$1,500	1/25/2023	
NYSW 2022-002(TS)	1	\$5,000	\$5,000	\$3,000	1/25/2023	
NYSW 2022-003(LI)	1	\$2,500	\$2,500	\$1,250	1/25/2023	
OCTL 2018-001(GC)	2	\$10,000	\$0	\$0	5/22/2023	Case Terminated
OERR 2020-001(TS)	1	\$5,000	\$5,000	\$2,500	10/7/2022	
OERR 2020-002(TS)	1	\$5,000	\$5,000	\$2,600	10/7/2022	
OPR 2020-001(GC)	1	\$5,000	\$5,000	\$892	11/14/2022	
OTVR 2022-001(SA)	1	\$5,000	\$0	\$0	9/25/2023	Case Terminated
OUCH 2018-001(TS)	1	\$5,000	\$0	\$0	1/26/2023	Case Terminated
OUCH 2019-001(ROP)	1	\$7,500	\$7,500	\$870	1/26/2023	
OUCH 2019-002(SA)	1	\$5,000	\$5,000	\$870	1/26/2023	
OUCH 2019-003(ROP)	1	\$9,500	\$9,500	\$892	1/26/2023	
OUCH 2019-004(LI)	1	\$2,500	\$2,500	\$892	1/26/2023	
OUCH 2020-001(BSS)	1	\$2,500	\$2,500	\$892	1/26/2023	
OUCH 2020-002(ROP)	1	\$9,500	\$9,500	\$892	1/26/2023	
OUCH 2020-003(SA)	1	\$5,000	\$5,000	\$892	1/26/2023	
OUCH 2020-004(TS)	1	\$5,000	\$5,000	\$892	1/26/2023	
OUCH 2021-001(EQ)	1	\$5,000	\$5,000	\$908	1/26/2023	
OUCH 2021-002(TS)	4	\$12,500	\$12,500	\$3,676	1/26/2023	
OUCH 2021-003(TS)	3	\$10,000	\$10,000	\$2,757	1/26/2023	
OUCH 2021-004(TS)	3	\$12,500	\$12,500	\$2,757	1/26/2023	



PANQ 2015-001(GC)	1	\$1,000	\$0	\$0	3/8/2023	Case Terminated
PAS 2022-001(TS)	1	\$1,000	\$1,000	\$976	9/27/2023	
PAS 2022-002(TS)	1	\$2,500	\$2,500	\$1,850	9/27/2023	
PAS 2022-003(TS)	1	\$2,500	\$2,500	\$1,850	9/27/2023	
PAS 2023-001(SA)	1	\$5,000	\$5,000	\$3,700	9/27/2023	
PATH 2015-001(PEQ)	1	\$2,500	\$0	\$0	4/10/2023	Case Terminated
PATH 2016-001(ROR)	2	\$17,000	\$0	\$0	4/14/2023	Case Terminated
PATH 2018-001(AR)	1	\$2,500	\$0	\$0	4/10/2023	Case Terminated
PATH 2018-002(AR)	1	\$1,000	\$0	\$0	4/10/2023	Case Terminated
PATH 2018-003(SI)	1	\$1,000	\$0	\$0	4/10/2023	Case Terminated
PATH 2018-004(AR)	1	\$2,500	\$0	\$0	4/10/2023	Case Terminated
PATH 2018-005(ROR)	1	\$7,500	\$0	\$0	4/10/2023	Case Terminated
PATH 2018-006(AR)	2	\$5,000	\$0	\$0	4/11/2023	Case Terminated
PATH 2018-007(AR)	1	\$2,500	\$0	\$0	4/11/2023	Case Terminated
PATH 2018-008(AR)	1	\$2,500	\$0	\$0	4/11/2023	Case Terminated
PATH 2018-009(AR)	1	\$2,500	\$0	\$0	4/11/2023	Case Terminated
PATH 2018-010(AR)	1	\$2,500	\$0	\$0	4/11/2023	Case Terminated
PATH 2018-011(AR)	1	\$2,500	\$0	\$0	4/11/2023	Case Terminated
PATH 2018-012(AR)	1	\$2,500	\$0	\$0	4/11/2023	Case Terminated
PATH 2018-013(AR)	1	\$2,500	\$0	\$0	4/12/2023	Case Terminated
PATH 2018-015(SI)	1	\$5,000	\$0	\$0	4/12/2023	Case Terminated
PATH 2018-016(AR)	1	\$2,500	\$0	\$0	4/12/2023	Case Terminated

PATH 2018-017(AR)	1	\$2,500	\$0	\$0	4/12/2023	Case Terminated
PATH 2018-018(AR)	1	\$2,500	\$0	\$0	4/12/2023	Case Terminated
PATH 2018-019(AR)	1	\$2,500	\$0	\$0	4/12/2023	Case Terminated
PATH 2018-020(AR)	1	\$2,500	\$0	\$0	4/12/2023	Case Terminated
PATH 2018-021(AR)	1	\$2,500	\$0	\$0	4/12/2023	Case Terminated
PATH 2018-022(AR)	1	\$2,500	\$0	\$0	5/4/2023	Case Terminated
PATH 2018-023(AR)	1	\$2,500	\$0	\$0	5/4/2023	Case Terminated
PATH 2018-024(AR)	1	\$2,500	\$0	\$0	5/4/2023	Case Terminated
PATH 2018-025(AR)	1	\$2,500	\$0	\$0	5/4/2023	Case Terminated
PATH 2018-026(AR)	1	\$2,500	\$0	\$0	5/4/2023	Case Terminated
PBVR 2018-001(ROP)	1	\$7,500	\$0	\$0	5/22/2023	Case Terminated
PDRR 2016-001(SA)	1	\$5,000	\$0	\$0	3/8/2023	Case Terminated
PHL 2016-001(TS)	1	\$5,000	\$0	\$0	3/9/2023	Case Terminated
PMSW 2015-001(AD)	2	\$10,000	\$0	\$0	3/9/2023	Case Terminated
PMSW 2015-002(EQ)	1	\$2,000	\$0	\$0	3/9/2023	Case Terminated
PNR 2019-001(AD)	1	\$5,000	\$5,000	\$4,000	10/14/2022	
PNR 2019-002(ROP)	1	\$9,500	\$9,500	\$8,000	10/14/2022	
PNR 2022-001(TS)	1	\$5,000	\$5,000	\$4,000	10/14/2022	
PNR 2022-002(ROP)	1	\$7,500	\$7,500	\$6,000	10/14/2022	
PNR 2022-004(TS)	1	\$1,000	\$1,000	\$976	11/1/2022	
PNR 2022-005(AD)	1	\$2,500	\$2,500	\$2,000	1/12/2023	
PNRW 2015-001(GC)	1	\$1,000	\$0	\$0	5/4/2023	Case Terminated
PNRW 2015-002(GC)	1	\$2,500	\$0	\$0	5/4/2023	Case Terminated

PNWR 2022-002(TS)	1	\$2,500	\$2,500	\$2,000	9/25/2023	
PNWR 2022-003(TS)	1	\$2,500	\$2,500	\$2,000	9/25/2023	
PNWR 2023-001(SA)	1	\$2,500	\$2,500	\$2,000	9/25/2023	
POCA 2014-001(RW)	1	\$1,500	\$0	\$0	3/24/2023	Case Terminated
POCA 2014-002(TS)	1	\$5,000	\$0	\$0	3/24/2023	Case Terminated
POCA 2014-003(TS)	1	\$5,000	\$0	\$0	3/24/2023	Case Terminated
POCA 2014-004(TS)	1	\$5,000	\$0	\$0	3/24/2023	Case Terminated
POCA 2016-001(RW)	2	\$4,500	\$0	\$0	3/24/2023	Case Terminated
PRGS 2017-001(ROP)	4	\$29,500	\$0	\$0	3/24/2023	Case Terminated
PSFR 2016-001(SI)	2	\$2,000	\$0	\$0	3/24/2023	Case Terminated
PT 2017-001(HMT)	1	\$999	\$0	\$0	3/9/2023	Case Terminated
PTRA 2017-001(HMT)	2	\$17,000	\$0	\$0	4/10/2023	Case Terminated
PTRA 2023-001(TS)	1	\$5,000	\$5,000	\$3,250	5/16/2023	
PTRA 2023-002(GC)	1	\$5,000	\$5,000	\$3,850	5/16/2023	
PTRA 2023-003(HMT)	1	\$4,000	\$4,000	\$2,880	5/22/2023	
PTRA 2023-004(HMT)	2	\$10,000	\$10,000	\$7,500	6/1/2023	
PW 2022-001(ROP)	1	\$9,500	\$9,500	\$6,460	9/25/2023	
QCRJ 2021-001(RW)	3	\$11,000	\$11,000	\$8,800	1/17/2023	
RASX 2022-001(AD)	1	\$2,500	\$2,500	\$2,500	3/17/2023	
RASX 2022-002(AD)	1	\$5,000	\$5,000	\$5,000	3/17/2023	
RCPE 2022-002(TS)	1	\$5,000	\$5,000	\$3,400	9/25/2023	
RCPE 2022-003(TS)	1	\$5,000	\$5,000	\$3,350	9/25/2023	
RSR 2022-001(SA)	1	\$5,000	\$5,000	\$3,450	9/25/2023	
RSR 2022-002(SA)	1	\$5,000	\$5,000	\$3,450	9/25/2023	
SAV 2020-001(TS)	6	\$15,000	\$15,000	\$10,500	2/21/2023	
SB 2022-001(FCS)	1	\$2,500	\$2,500	\$1,800	9/25/2023	
SCAX 2023-001(LI)	1	\$2,500	\$2,500	\$1,625	6/15/2023	

SCR 2017-002(RSP)	1	\$9,500	\$0	\$0	4/27/2023	Case Terminated
SCXF 2013-001(ROP)	1	\$7,500	\$0	\$0	4/27/2023	Case Terminated
SCXY 2017-001(EQ)	1	\$5,000	\$0	\$0	4/27/2023	Case Terminated
SCXY 2017-002(SA)	1	\$2,500	\$0	\$0	4/27/2023	Case Terminated
SCXY 2017-003(LI)	1	\$2,000	\$0	\$0	4/27/2023	Case Terminated
SDTI 2013-002(RW)	1	\$3,000	\$0	\$0	5/3/2023	Case Terminated
SENE 2018-001(HMT)	2	\$15,000	\$0	\$0	5/1/2023	Case Terminated
SEPA 2019-004(ROP)	1	\$7,500	\$7,500	\$5,250	8/30/2023	
SEPA 2019-005(ROP)	1	\$5,000	\$5,000	\$3,600	8/30/2023	
SEPA 2020-001(SI)	1	\$1,000	\$1,000	\$892	8/30/2023	
SEPA 2020-002(SI)	1	\$1,000	\$1,000	\$892	8/30/2023	
SEPA 2020-003(RW)	1	\$3,000	\$3,000	\$2,250	8/30/2023	
SEPA 2020-004(RW)	1	\$3,000	\$3,000	\$2,050	8/30/2023	
SEPA 2020-005(RW)	1	\$3,000	\$3,000	\$2,200	8/30/2023	
SEPA 2022-001(RW)	1	\$3,000	\$3,000	\$2,150	8/30/2023	
SEPA 2022-002(ROP)	1	\$5,000	\$5,000	\$3,400	8/30/2023	
SEPA 2022-003(EQ)	1	\$2,500	\$2,500	\$1,700	8/30/2023	
SEPA 2022-004(AD)	1	\$2,500	\$2,500	\$1,750	8/30/2023	
SEPA 2022-005(EQ)	1	\$1,000	\$1,000	\$919	8/30/2023	
SEPA 2023-001(AD)	1	\$5,000	\$5,000	\$3,250	8/30/2023	
SERA 2014-001(RSP)	1	\$9,500	\$0	\$0	5/1/2023	Case Terminated
SERA 2016-001(TS)	2	\$7,500	\$0	\$0	5/1/2023	Case Terminated
SERA 2017-001(GC)	1	\$1,000	\$0	\$0	5/1/2023	Case Terminated
SERA 2017-002(GC)	1	\$2,500	\$0	\$0	5/1/2023	Case Terminated
SERA 2018-001(RSP)	1	\$9,500	\$0	\$0	5/1/2023	Case Terminated

SFS 2011-002(ROP)	1	\$9,500	\$0	\$0	5/9/2023	Case Terminated
SFS 2017-001(SA)	2	\$7,500	\$0	\$0	5/1/2023	Case Terminated
SFS 2017-002(LI)	4	\$9,000	\$0	\$0	5/1/2023	Case Terminated
SGLR 2015-001(RW)	1	\$999	\$0	\$0	5/1/2023	Case Terminated
SGLR 2015-002(LI)	1	\$1,500	\$0	\$0	5/1/2023	Case Terminated
SGLR 2015-003(SA)	1	\$5,000	\$0	\$0	5/1/2023	Case Terminated
SGLR 2017-001(HMT)	1	\$999	\$0	\$0	5/1/2023	Case Terminated
SGLR 2018-001(SA)	2	\$10,000	\$0	\$0	5/8/2023	Case Terminated
SGLR 2018-002(HMT)	1	\$7,500	\$0	\$0	5/8/2023	Case Terminated
SJVR 2022-001(GC)	1	\$5,000	\$5,000	\$3,400	9/25/2023	
SLGG 2014-001(SA)	1	\$5,000	\$0	\$0	5/8/2023	Case Terminated
SLGG 2016-001(SA)	1	\$2,500	\$0	\$0	5/8/2023	Case Terminated
SLGW 2019-001(ROP)	1	\$2,000	\$2,000	\$1,500	2/21/2023	
SLR 2022-001(TS)	1	\$5,000	\$5,000	\$3,300	9/25/2023	
SLRS 2013-001(HMT)	1	\$5,000	\$0	\$0	5/8/2023	Case Terminated
SLWC 2022-001(SA)	1	\$5,000	\$5,000	\$4,000	9/18/2023	
SLWC 2023-001(TS)	3	\$7,500	\$7,500	\$6,250	9/18/2023	
SLWC 2023-002(TS)	1	\$2,500	\$2,500	\$2,000	9/18/2023	
SM 2016-001(GC)	2	\$2,000	\$0	\$0	5/10/2023	Case Terminated
SM 2018-001(RW)	1	\$3,000	\$0	\$0	5/10/2023	Case Terminated
SM 2018-002(GC)	1	\$1,000	\$0	\$0	5/17/2023	Case Terminated
SMRR 2017-001(ROP)	1	\$7,500	\$0	\$0	5/10/2023	Case Terminated
SMRR 2017-002(TS)	1	\$5,000	\$0	\$0	5/10/2023	Case Terminated

SMRR 2017-003(TS)	3	\$3,000	\$0	\$0	5/10/2023	Case Terminated
SMRR 2018-001(TS)	1	\$5,000	\$0	\$0	5/10/2023	Case Terminated
SMV 2017-001(GC)	1	\$1,000	\$0	\$0	5/10/2023	Case Terminated
SMV 2017-002(GC)	1	\$2,500	\$0	\$0	5/12/2023	Case Terminated
SMV 2017-003(GC)	1	\$1,000	\$0	\$0	5/12/2023	Case Terminated
SNPR 2013-001(TS)	5	\$13,000	\$0	\$0	5/18/2023	Case Terminated
SNY 2016-001(SA)	1	\$5,000	\$0	\$0	5/18/2023	Case Terminated
SNY 2017-001(TS)	1	\$1,000	\$0	\$0	5/18/2023	Case Terminated
SNY 2017-002(SA)	2	\$10,000	\$0	\$0	5/19/2023	Case Terminated
SOU 2020-125(AD)	1	\$2,500	\$2,500	\$1,750	9/19/2023	
SOU 2020-503(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023	
SOU 2020-506(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023	
SOU 2020-556(TS)	16	\$16,000	\$4,000	\$3,568	9/19/2023	Terminated Violations: 4
SOU 2021-043(AR)	1	\$2,500	\$2,500	\$1,875	9/19/2023	
SOU 2021-100(HSR)	1	\$1,000	\$1,000	\$900	9/19/2023	
SOU 2021-113(HSR)	1	\$1,000	\$1,000	\$900	9/19/2023	
SOU 2021-125(HSR)	1	\$1,000	\$1,000	\$900	9/19/2023	
SOU 2021-130(EQ)	1	\$7,500	\$7,500	\$6,350	9/19/2023	
SOU 2021-133(SA)	1	\$5,000	\$5,000	\$3,000	9/19/2023	
SOU 2021-142(TS)	4	\$17,500	\$17,500	\$14,875	9/19/2023	
SOU 2021-155(HSR)	1	\$1,000	\$1,000	\$900	9/19/2023	
SOU 2021-163(AD)	1	\$1,000	\$1,000	\$900	9/19/2023	
SOU 2021-206(HSR)	1	\$1,000	\$1,000	\$900	9/19/2023	
SOU 2021-215(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2021-218(FCS)	1	\$2,500	\$2,500	\$1,950	9/19/2023	
SOU 2021-221(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023	

SOU 2021-224(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023	
SOU 2021-227(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023	
SOU 2021-230(SA)	1	\$5,000	\$5,000	\$4,000	9/19/2023	
SOU 2021-233(GC)	1	\$5,000	\$5,000	\$892	9/19/2023	
SOU 2021-236(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023	
SOU 2021-239(LI)	1	\$2,500	\$2,500	\$1,875	9/19/2023	
SOU 2021-241(HMT)	4	\$27,000	\$0	\$0	9/19/2023	Case Terminated
SOU 2021-242(EQ)	1	\$5,000	\$5,000	\$4,250	9/19/2023	
SOU 2021-245(ROP)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2021-248(CC)	1	\$7,500	\$7,500	\$6,350	9/19/2023	
SOU 2021-251(SI)	1	\$2,500	\$2,500	\$1,875	9/19/2023	
SOU 2021-254(ROP)	1	\$7,500	\$7,500	\$6,000	9/19/2023	
SOU 2021-257(ROP)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2021-260(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023	
SOU 2021-263(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023	
SOU 2021-265(ROP)	1	\$2,000	\$2,000	\$1,500	9/19/2023	
SOU 2021-266(ROP)	1	\$9,500	\$9,500	\$8,075	9/19/2023	
SOU 2021-269(ROP)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2021-272(SA)	1	\$5,000	\$5,000	\$4,750	9/19/2023	
SOU 2021-275(SA)	1	\$5,000	\$5,000	\$4,100	9/19/2023	
SOU 2021-278(HSR)	1	\$2,500	\$2,500	\$2,000	9/19/2023	
SOU 2021-281(ROP)	1	\$7,500	\$7,500	\$6,225	9/19/2023	
SOU 2021-283(AR)	1	\$2,500	\$2,500	\$1,875	9/19/2023	
SOU 2021-284(AR)	1	\$2,500	\$2,500	\$1,875	9/19/2023	
SOU 2021-293(AR)	1	\$2,500	\$2,500	\$1,875	9/19/2023	
SOU 2021-295(HMT)	1	\$7,500	\$7,500	\$6,750	9/19/2023	
SOU 2021-296(HMT)	1	\$2,000	\$2,000	\$1,750	9/19/2023	
SOU 2021-302(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023	
SOU 2021-314(ROP)	1	\$7,500	\$7,500	\$6,225	9/19/2023	
SOU 2021-317(SA)	1	\$5,000	\$5,000	\$4,750	9/19/2023	
SOU 2021-319(EQ)	1	\$7,500	\$7,500	\$6,350	9/19/2023	

SOU 2021-320(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023
SOU 2021-322(HMT)	3	\$9,000	\$9,000	\$7,150	9/19/2023
SOU 2021-325(HSR)	1	\$1,000	\$1,000	\$900	9/19/2023
SOU 2021-326(HSR)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2021-329(ROP)	1	\$2,000	\$2,000	\$1,500	9/19/2023
SOU 2021-332(HS)	1	\$1,000	\$1,000	\$900	9/19/2023
SOU 2021-335(HS)	1	\$1,000	\$1,000	\$900	9/19/2023
SOU 2021-337(EP)	1	\$1,000	\$1,000	\$925	9/19/2023
SOU 2021-338(EP)	1	\$1,000	\$1,000	\$925	9/19/2023
SOU 2021-341(HMT)	1	\$7,000	\$7,000	\$6,000	9/19/2023
SOU 2021-344(GC)	1	\$1,000	\$1,000	\$919	9/19/2023
SOU 2021-347(GC)	1	\$1,000	\$1,000	\$919	9/19/2023
SOU 2021-350(HSR)	1	\$29,192	\$29,192	\$25,000	9/19/2023
SOU 2021-353(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023
SOU 2021-356(ROP)	1	\$9,500	\$9,500	\$8,075	9/19/2023
SOU 2021-359(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2021-361(HMT)	13	\$25,000	\$25,000	\$21,125	9/19/2023
SOU 2021-363(HMT)	1	\$8,000	\$8,000	\$6,100	9/19/2023
SOU 2021-366(HSR)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2021-367(FCS)	1	\$2,500	\$2,500	\$1,950	9/19/2023
SOU 2021-369(TS)	2	\$7,500	\$7,500	\$6,000	9/19/2023
SOU 2021-370(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023
SOU 2021-372(ROP)	1	\$7,500	\$7,500	\$6,225	9/19/2023
SOU 2021-373(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023
SOU 2021-375(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023
SOU 2021-376(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023
SOU 2021-379(SA)	1	\$5,000	\$5,000	\$4,000	9/19/2023
SOU 2021-382(ROP)	3	\$28,500	\$28,500	\$22,800	9/19/2023
SOU 2021-385(ROP)	1	\$7,500	\$7,500	\$6,225	9/19/2023
SOU 2021-388(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023
SOU 2021-391(ROP)	2	\$19,000	\$19,000	\$15,770	9/19/2023



SOU 2021-393(SA)	2	\$10,000	\$10,000	\$7,000	9/19/2023
SOU 2021-394(ROP)	1	\$5,000	\$5,000	\$3,850	9/19/2023
SOU 2021-397(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023
SOU 2021-399(ROP)	1	\$9,500	\$9,500	\$8,075	9/19/2023
SOU 2021-400(SA)	1	\$5,000	\$5,000	\$4,000	9/19/2023
SOU 2021-403(ROP)	3	\$15,000	\$15,000	\$10,950	9/19/2023
SOU 2021-406(ROP)	3	\$15,000	\$15,000	\$10,950	9/19/2023
SOU 2021-409(ROP)	1	\$5,000	\$5,000	\$3,500	9/19/2023
SOU 2021-412(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023
SOU 2021-415(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023
SOU 2021-418(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023
SOU 2021-420(FCS)	1	\$2,500	\$2,500	\$1,950	9/19/2023
SOU 2021-421(FCS)	1	\$2,500	\$2,500	\$1,900	9/19/2023
SOU 2021-424(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023
SOU 2021-426(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023
SOU 2021-427(EQ)	1	\$2,500	\$2,500	\$2,400	9/19/2023
SOU 2021-430(LI)	1	\$2,500	\$2,500	\$2,000	9/19/2023
SOU 2021-433(LI)	1	\$2,500	\$2,500	\$1,875	9/19/2023
SOU 2021-435(HS)	2	\$2,000	\$2,000	\$1,850	9/19/2023
SOU 2021-436(LI)	1	\$2,000	\$2,000	\$1,550	9/19/2023
SOU 2021-439(RW)	1	\$2,000	\$2,000	\$1,700	9/19/2023
SOU 2021-442(LI)	1	\$1,500	\$1,500	\$1,095	9/19/2023
SOU 2021-445(HS)	1	\$1,000	\$1,000	\$925	9/19/2023
SOU 2021-448(FCS)	1	\$2,500	\$2,500	\$1,950	9/19/2023
SOU 2021-453(HMT)	1	\$5,000	\$5,000	\$4,200	9/19/2023
SOU 2021-454(HMT)	1	\$5,000	\$5,000	\$3,500	9/19/2023
SOU 2021-457(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023
SOU 2021-459(GC)	1	\$10,000	\$10,000	\$9,000	9/19/2023
SOU 2021-460(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023
SOU 2021-463(ROP)	1	\$9,500	\$9,500	\$8,075	9/19/2023
SOU 2021-466(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023

SOU 2021-469(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2021-471(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023	
SOU 2021-472(SI)	1	\$2,500	\$2,500	\$1,875	9/19/2023	
SOU 2021-475(ROP)	1	\$9,500	\$5,000	\$4,250	9/19/2023	Terminated Violations: 1
SOU 2021-478(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2021-480(HMT)	9	\$64,000	\$64,000	\$53,900	9/19/2023	
SOU 2021-481(LI)	1	\$2,500	\$2,500	\$1,875	9/19/2023	
SOU 2021-483(LI)	3	\$7,500	\$7,500	\$5,925	9/19/2023	
SOU 2021-484(LI)	4	\$4,000	\$4,000	\$3,000	9/19/2023	
SOU 2021-485(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023	
SOU 2021-487(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023	
SOU 2021-488(LI)	2	\$5,000	\$5,000	\$4,250	9/19/2023	
SOU 2021-489(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023	
SOU 2021-491(SA)	1	\$5,000	\$5,000	\$4,000	9/19/2023	
SOU 2021-492(AR)	1	\$2,000	\$2,000	\$1,700	9/19/2023	
SOU 2021-493(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2021-495(LI)	1	\$2,500	\$2,500	\$1,875	9/19/2023	
SOU 2021-497(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2021-501(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2021-503(SA)	3	\$15,000	\$15,000	\$11,400	9/19/2023	
SOU 2021-504(SA)	3	\$15,000	\$15,000	\$11,400	9/19/2023	
SOU 2021-505(ROP)	1	\$9,500	\$9,500	\$8,075	9/19/2023	
SOU 2021-507(LI)	2	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2021-508(SI)	1	\$2,500	\$2,500	\$2,000	9/19/2023	
SOU 2021-509(TS)	1	\$1,000	\$1,000	\$919	9/19/2023	
SOU 2021-511(LI)	1	\$2,500	\$2,500	\$1,925	9/19/2023	
SOU 2021-512(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2021-513(ROP)	1	\$7,500	\$7,500	\$6,225	9/19/2023	
SOU 2021-515(LI)	1	\$2,500	\$2,500	\$1,750	9/19/2023	
SOU 2021-516(LI)	4	\$10,000	\$10,000	\$7,000	9/19/2023	

SOU 2021-517(ROP)	1	\$7,500	\$7,500	\$6,150	9/19/2023	
SOU 2021-519(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2021-520(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2021-521(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2021-523(HS)	2	\$2,000	\$2,000	\$1,850	9/19/2023	
SOU 2021-524(HS)	3	\$3,000	\$3,000	\$2,790	9/19/2023	
SOU 2021-525(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2021-526(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2021-527(ROP)	1	\$9,500	\$9,500	\$7,885	9/19/2023	
SOU 2021-528(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023	
SOU 2021-529(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023	
SOU 2021-531(ROP)	1	\$9,500	\$9,500	\$8,075	9/19/2023	
SOU 2021-532(SA)	2	\$10,000	\$5,000	\$5,000	9/19/2023	Terminated Violations: 1
SOU 2021-533(ROP)	1	\$7,500	\$7,500	\$6,000	9/19/2023	
SOU 2021-535(ROP)	1	\$7,500	\$7,500	\$6,000	9/19/2023	
SOU 2021-536(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2021-537(LI)	1	\$2,500	\$2,500	\$1,825	9/19/2023	
SOU 2021-539(ROP)	1	\$7,500	\$7,500	\$6,225	9/19/2023	
SOU 2021-540(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2021-541(SA)	16	\$80,000	\$80,000	\$56,000	9/19/2023	
SOU 2021-544(SA)	5	\$25,000	\$25,000	\$18,500	9/19/2023	
SOU 2021-545(ROP)	1	\$7,500	\$7,500	\$6,375	9/19/2023	
SOU 2021-547(RSP)	1	\$5,000	\$5,000	\$4,250	9/19/2023	
SOU 2021-548(SA)	1	\$7,500	\$7,500	\$6,800	9/19/2023	
SOU 2021-549(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2021-551(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2021-552(HMT)	3	\$15,000	\$15,000	\$11,250	9/19/2023	
SOU 2021-553(LI)	1	\$2,500	\$2,500	\$1,750	9/19/2023	
SOU 2021-557(RW)	1	\$2,000	\$2,000	\$1,650	9/19/2023	
SOU 2021-559(SI)	1	\$2,500	\$2,500	\$2,050	9/19/2023	

SOU 2021-561(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2021-563(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023	
SOU 2021-565(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2022-002(TS)	1	\$2,500	\$2,500	\$1,950	9/19/2023	
SOU 2022-003(TS)	1	\$5,000	\$5,000	\$4,000	9/19/2023	
SOU 2022-005(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2022-007(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023	
SOU 2022-011(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2022-014(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023	
SOU 2022-015(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023	
SOU 2022-017(HS)	9	\$9,000	\$9,000	\$8,370	9/19/2023	
SOU 2022-018(HS)	1	\$1,000	\$1,000	\$930	9/19/2023	
SOU 2022-021(HS)	3	\$3,000	\$3,000	\$2,790	9/19/2023	
SOU 2022-022(HS)	1	\$1,000	\$1,000	\$930	9/19/2023	
SOU 2022-023(HS)	1	\$1,000	\$1,000	\$930	9/19/2023	
SOU 2022-026(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023	
SOU 2022-027(SA)	1	\$2,500	\$0	\$0	9/19/2023	Case Terminated
SOU 2022-028(HMT)	1	\$7,000	\$7,000	\$6,000	9/19/2023	
SOU 2022-030(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2022-031(LI)	1	\$2,500	\$2,500	\$1,750	9/19/2023	
SOU 2022-034(LI)	3	\$7,500	\$7,500	\$5,625	9/19/2023	
SOU 2022-035(TS)	1	\$5,000	\$5,000	\$4,150	9/19/2023	
SOU 2022-037(LI)	1	\$2,500	\$2,500	\$1,750	9/19/2023	
SOU 2022-039(GC)	1	\$5,000	\$5,000	\$4,250	9/19/2023	
SOU 2022-042(ROP)	1	\$7,500	\$7,500	\$6,225	9/19/2023	
SOU 2022-043(ROP)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2022-046(SA)	2	\$10,000	\$10,000	\$7,000	9/19/2023	
SOU 2022-047(ROP)	1	\$2,000	\$2,000	\$1,500	9/19/2023	
SOU 2022-049(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2022-050(ROP)	1	\$5,000	\$5,000	\$3,750	9/19/2023	

SOU 2022-051(ROP)	2	\$19,000	\$10,000	\$8,500	9/19/2023	Terminated Violations: 1
SOU 2022-053(HS)	2	\$2,000	\$2,000	\$1,860	9/19/2023	
SOU 2022-054(HSR)	2	\$2,000	\$2,000	\$1,860	9/19/2023	
SOU 2022-055(ROP)	1	\$9,500	\$9,500	\$7,885	9/19/2023	
SOU 2022-057(RSP)	1	\$5,000	\$5,000	\$4,250	9/19/2023	
SOU 2022-058(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2022-059(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023	
SOU 2022-062(CC)	1	\$5,000	\$5,000	\$4,250	9/19/2023	
SOU 2022-063(HS)	2	\$2,000	\$2,000	\$1,860	9/19/2023	
SOU 2022-066(SA)	1	\$5,000	\$5,000	\$4,000	9/19/2023	
SOU 2022-067(ROP)	1	\$5,000	\$5,000	\$3,750	9/19/2023	
SOU 2022-070(ROP)	1	\$9,500	\$9,500	\$8,075	9/19/2023	
SOU 2022-071(AD)	1	\$5,000	\$5,000	\$3,250	9/19/2023	
SOU 2022-073(HSR)	1	\$1,000	\$1,000	\$930	9/19/2023	
SOU 2022-075(GC)	1	\$5,000	\$5,000	\$4,100	9/19/2023	
SOU 2022-077(SA)	2	\$10,000	\$10,000	\$7,600	9/19/2023	
SOU 2022-078(SA)	2	\$10,000	\$10,000	\$7,600	9/19/2023	
SOU 2022-079(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2022-082(SA)	1	\$2,500	\$0	\$0	9/19/2023	Case Terminated
SOU 2022-083(ROP)	1	\$7,500	\$7,500	\$6,225	9/19/2023	
SOU 2022-085(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2022-086(ROP)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2022-087(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2022-090(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023	
SOU 2022-092(HMT)	1	\$2,000	\$2,000	\$1,700	9/19/2023	
SOU 2022-093(HMT)	1	\$84,425	\$84,425	\$78,500	9/19/2023	
SOU 2022-094(LI)	1	\$2,500	\$2,500	\$1,925	9/19/2023	
SOU 2022-095(CC)	1	\$7,500	\$7,500	\$6,350	9/19/2023	
SOU 2022-096(ROP)	1	\$5,000	\$5,000	\$4,000	9/19/2023	
SOU 2022-097(EP)	1	\$1,000	\$1,000	\$925	9/19/2023	

SOU 2022-098(HMT)	1	\$2,000	\$2,000	\$1,300	9/19/2023
SOU 2022-099(HMT)	3	\$21,000	\$21,000	\$17,700	9/19/2023
SOU 2022-100(HMT)	5	\$11,500	\$11,500	\$8,500	9/19/2023
SOU 2022-101(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023
SOU 2022-102(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023
SOU 2022-103(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023
SOU 2022-104(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023
SOU 2022-105(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023
SOU 2022-106(HMT)	1	\$2,500	\$2,500	\$1,850	9/19/2023
SOU 2022-107(LI)	1	\$2,500	\$2,500	\$1,875	9/19/2023
SOU 2022-108(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023
SOU 2022-109(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-110(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-111(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-112(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-113(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-114(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-115(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-116(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-117(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-118(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-119(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-120(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-121(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-122(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-123(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-124(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-125(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-126(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-127(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-128(HS)	1	\$1,000	\$1,000	\$930	9/19/2023

SOU 2022-129(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-130(HMT)	1	\$5,000	\$5,000	\$3,900	9/19/2023
SOU 2022-131(ROP)	1	\$7,500	\$7,500	\$6,225	9/19/2023
SOU 2022-132(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-133(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-134(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-135(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-136(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-137(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-138(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-139(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-140(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-141(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-142(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-143(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-144(LI)	1	\$2,500	\$2,500	\$1,875	9/19/2023
SOU 2022-145(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023
SOU 2022-146(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-147(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-148(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023
SOU 2022-149(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023
SOU 2022-150(HMT)	1	\$5,000	\$5,000	\$4,500	9/19/2023
SOU 2022-151(LI)	1	\$2,500	\$2,500	\$1,750	9/19/2023
SOU 2022-152(LI)	1	\$2,500	\$2,500	\$1,925	9/19/2023
SOU 2022-153(TS)	1	\$2,000	\$2,000	\$1,650	9/19/2023
SOU 2022-154(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023
SOU 2022-155(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023
SOU 2022-156(HSR)	2	\$2,000	\$2,000	\$1,860	9/19/2023
SOU 2022-157(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023
SOU 2022-159(SA)	2	\$10,000	\$10,000	\$7,000	9/19/2023
SOU 2022-160(ROP)	1	\$7,500	\$7,500	\$6,000	9/19/2023

SOU 2022-161(LI)	1	\$2,500	\$2,500	\$1,875	9/19/2023
SOU 2022-162(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023
SOU 2022-163(FCS)	1	\$2,500	\$2,500	\$1,950	9/19/2023
SOU 2022-164(FCS)	1	\$2,500	\$2,500	\$1,950	9/19/2023
SOU 2022-165(LI)	1	\$2,500	\$2,500	\$1,875	9/19/2023
SOU 2022-166(FCS)	1	\$5,000	\$5,000	\$3,500	9/19/2023
SOU 2022-167(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023
SOU 2022-168(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023
SOU 2022-169(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023
SOU 2022-170(ROP)	1	\$5,000	\$5,000	\$4,150	9/19/2023
SOU 2022-171(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023
SOU 2022-172(LI)	1	\$2,500	\$2,500	\$1,925	9/19/2023
SOU 2022-173(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023
SOU 2022-174(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023
SOU 2022-175(REM)	1	\$5,000	\$5,000	\$3,500	9/19/2023
SOU 2022-177(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023
SOU 2022-178(GC)	2	\$5,000	\$5,000	\$4,100	9/19/2023
SOU 2022-179(GC)	1	\$10,000	\$10,000	\$8,500	9/19/2023
SOU 2022-180(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023
SOU 2022-181(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023
SOU 2022-182(LI)	1	\$2,500	\$2,500	\$1,875	9/19/2023
SOU 2022-183(LI)	1	\$2,500	\$2,500	\$1,825	9/19/2023
SOU 2022-184(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-185(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-186(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-187(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-188(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-189(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-190(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-191(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-192(HS)	1	\$1,000	\$1,000	\$930	9/19/2023



SOU 2022-193(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-194(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-195(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023
SOU 2022-196(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-197(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-198(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-199(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-200(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-201(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-202(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-203(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-204(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-205(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-206(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-207(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-208(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-209(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-210(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-211(HS)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-212(FCS)	1	\$2,500	\$2,500	\$1,950	9/19/2023
SOU 2022-213(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023
SOU 2022-214(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023
SOU 2022-215(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023
SOU 2022-216(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023
SOU 2022-217(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023
SOU 2022-218(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023
SOU 2022-219(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023
SOU 2022-220(FCS)	1	\$2,500	\$2,500	\$1,950	9/19/2023
SOU 2022-221(FCS)	2	\$10,000	\$10,000	\$7,000	9/19/2023
SOU 2022-222(SI)	1	\$2,500	\$2,500	\$2,125	9/19/2023
SOU 2022-223(GC)	1	\$2,500	\$2,500	\$2,050	9/19/2023

SOU 2022-224(GC)	1	\$5,000	\$5,000	\$4,250	9/19/2023
SOU 2022-225(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023
SOU 2022-226(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023
SOU 2022-227(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023
SOU 2022-228(HMT)	1	\$2,000	\$2,000	\$1,600	9/19/2023
SOU 2022-229(GC)	1	\$5,000	\$5,000	\$4,250	9/19/2023
SOU 2022-230(GC)	1	\$5,000	\$5,000	\$4,250	9/19/2023
SOU 2022-231(GC)	1	\$1,000	\$1,000	\$919	9/19/2023
SOU 2022-232(GC)	1	\$2,500	\$2,500	\$908	9/19/2023
SOU 2022-233(LI)	1	\$2,500	\$2,500	\$1,825	9/19/2023
SOU 2022-234(GC)	1	\$1,000	\$1,000	\$919	9/19/2023
SOU 2022-235(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023
SOU 2022-236(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023
SOU 2022-237(HMT)	3	\$22,500	\$22,500	\$17,400	9/19/2023
SOU 2022-238(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023
SOU 2022-239(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023
SOU 2022-240(CC)	1	\$7,500	\$7,500	\$6,350	9/19/2023
SOU 2022-241(EQ)	1	\$5,000	\$5,000	\$4,250	9/19/2023
SOU 2022-242(HS)	2	\$2,000	\$2,000	\$1,860	9/19/2023
SOU 2022-243(RMM)	1	\$5,000	\$5,000	\$4,100	9/19/2023
SOU 2022-244(ROP)	1	\$5,000	\$5,000	\$4,250	9/19/2023
SOU 2022-245(HMT)	1	\$2,000	\$2,000	\$1,500	9/19/2023
SOU 2022-246(HMT)	1	\$6,000	\$6,000	\$4,700	9/19/2023
SOU 2022-247(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023
SOU 2022-248(LI)	1	\$2,500	\$2,500	\$1,775	9/19/2023
SOU 2022-249(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023
SOU 2022-250(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023
SOU 2022-251(FCS)	1	\$2,500	\$2,500	\$1,950	9/19/2023
SOU 2022-252(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023
SOU 2022-253(FCS)	1	\$2,500	\$2,500	\$1,950	9/19/2023
SOU 2022-254(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023

SOU 2022-255(LI)	2	\$5,000	\$5,000	\$3,750	9/19/2023
SOU 2022-256(GC)	1	\$2,500	\$2,500	\$2,125	9/19/2023
SOU 2022-257(GC)	1	\$2,500	\$2,500	\$2,125	9/19/2023
SOU 2022-258(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023
SOU 2022-259(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023
SOU 2022-260(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023
SOU 2022-261(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023
SOU 2022-262(FCS)	1	\$2,500	\$2,500	\$1,950	9/19/2023
SOU 2022-263(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023
SOU 2022-264(HMT)	1	\$4,000	\$4,000	\$3,100	9/19/2023
SOU 2022-265(HMT)	4	\$8,000	\$8,000	\$6,000	9/19/2023
SOU 2022-266(HMT)	2	\$13,500	\$13,500	\$7,300	9/19/2023
SOU 2022-267(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023
SOU 2022-268(ROP)	1	\$7,500	\$7,500	\$6,225	9/19/2023
SOU 2022-269(HMT)	2	\$4,000	\$4,000	\$3,050	9/19/2023
SOU 2022-270(HMT)	1	\$7,000	\$7,000	\$5,800	9/19/2023
SOU 2022-271(HMT)	1	\$6,000	\$6,000	\$4,700	9/19/2023
SOU 2022-272(HSR)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-273(HSR)	1	\$1,000	\$1,000	\$980	9/19/2023
SOU 2022-274(GC)	1	\$5,000	\$5,000	\$4,100	9/19/2023
SOU 2022-275(HSR)	1	\$1,000	\$1,000	\$930	9/19/2023
SOU 2022-276(HSR)	1	\$1,000	\$1,000	\$980	9/19/2023
SOU 2022-277(LI)	1	\$2,500	\$2,500	\$1,825	9/19/2023
SOU 2022-278(ROP)	1	\$5,000	\$5,000	\$3,500	9/19/2023
SOU 2022-279(ROP)	1	\$9,500	\$9,500	\$8,075	9/19/2023
SOU 2022-280(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023
SOU 2022-281(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023
SOU 2022-282(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023
SOU 2022-283(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023
SOU 2022-284(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023
SOU 2022-285(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023

SOU 2022-286(HMT)	1	\$6,000	\$6,000	\$4,700	9/19/2023	
SOU 2022-287(HMT)	2	\$4,000	\$0	\$0	9/19/2023	Case Terminated
SOU 2022-288(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023	
SOU 2022-289(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2022-290(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2022-291(FCS)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2022-292(LI)	1	\$2,500	\$2,500	\$1,875	9/19/2023	
SOU 2022-293(TS)	1	\$2,500	\$2,500	\$1,950	9/19/2023	
SOU 2022-294(FCS)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2022-295(FCS)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2022-296(SA)	1	\$2,500	\$2,500	\$2,200	9/19/2023	
SOU 2022-297(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2022-298(HSR)	1	\$1,000	\$1,000	\$930	9/19/2023	
SOU 2022-299(GC)	2	\$10,000	\$10,000	\$8,200	9/19/2023	
SOU 2022-300(GC)	3	\$15,000	\$15,000	\$12,750	9/19/2023	
SOU 2022-301(HS)	2	\$2,000	\$2,000	\$1,960	9/19/2023	
SOU 2022-302(GC)	1	\$5,000	\$5,000	\$4,100	9/19/2023	
SOU 2022-303(HSR)	1	\$1,000	\$1,000	\$980	9/19/2023	
SOU 2022-304(SA)	1	\$2,500	\$2,500	\$2,200	9/19/2023	
SOU 2022-305(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2022-306(HSR)	1	\$1,000	\$1,000	\$930	9/19/2023	
SOU 2022-307(HSR)	1	\$1,000	\$1,000	\$930	9/19/2023	
SOU 2022-308(TS)	1	\$2,500	\$2,500	\$2,000	9/19/2023	
SOU 2022-309(TS)	1	\$2,500	\$2,500	\$2,000	9/19/2023	
SOU 2022-310(GC)	1	\$2,500	\$2,500	\$2,050	9/19/2023	
SOU 2022-311(GC)	1	\$5,000	\$5,000	\$4,250	9/19/2023	
SOU 2022-312(GC)	1	\$2,500	\$0	\$0	9/19/2023	Case Terminated
SOU 2022-313(GC)	1	\$5,000	\$0	\$0	9/19/2023	Case Terminated
SOU 2022-314(GC)	1	\$5,000	\$0	\$0	9/19/2023	Case Terminated
SOU 2022-315(GC)	1	\$2,500	\$0	\$0	9/19/2023	Case Terminated
SOU 2022-316(GC)	1	\$2,500	\$0	\$0	9/19/2023	Case Terminated

SOU 2022-317(SI)	1	\$2,500	\$2,500	\$2,125	9/19/2023	
SOU 2022-318(GC)	1	\$2,500	\$0	\$0	9/19/2023	Case Terminated
SOU 2022-319(TS)	6	\$30,000	\$30,000	\$25,500	9/19/2023	
SOU 2022-320(RW)	1	\$3,000	\$3,000	\$1,500	9/19/2023	
SOU 2022-321(AR)	1	\$2,500	\$2,500	\$1,875	9/19/2023	
SOU 2022-322(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2022-323(GC)	1	\$5,000	\$5,000	\$4,500	9/19/2023	
SOU 2022-324(HMT)	1	\$5,000	\$5,000	\$3,800	9/19/2023	
SOU 2022-325(HMT)	1	\$2,500	\$0	\$0	9/19/2023	Case Terminated
SOU 2022-326(HMT)	1	\$5,000	\$5,000	\$3,900	9/19/2023	
SOU 2022-327(ROP)	1	\$7,500	\$7,500	\$6,000	9/19/2023	
SOU 2022-328(ROP)	1	\$9,500	\$9,500	\$8,075	9/19/2023	
SOU 2022-329(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2022-330(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2022-331(ROP)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2022-332(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2022-333(SA)	2	\$10,000	\$10,000	\$7,000	9/19/2023	
SOU 2022-334(ROP)	1	\$7,500	\$7,500	\$6,225	9/19/2023	
SOU 2022-335(ROP)	1	\$7,500	\$7,500	\$6,225	9/19/2023	
SOU 2022-336(ROP)	2	\$4,000	\$4,000	\$3,000	9/19/2023	
SOU 2022-337(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2022-338(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2022-339(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2022-340(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2022-341(SA)	1	\$5,000	\$5,000	\$4,000	9/19/2023	
SOU 2022-342(FCS)	4	\$8,000	\$8,000	\$6,200	9/19/2023	
SOU 2022-343(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2022-344(ROP)	1	\$7,500	\$7,500	\$6,225	9/19/2023	
SOU 2022-345(LI)	1	\$2,500	\$2,500	\$1,925	9/19/2023	
SOU 2022-346(LI)	1	\$2,500	\$2,500	\$1,875	9/19/2023	
SOU 2022-347(SA)	1	\$2,500	\$2,500	\$2,000	9/19/2023	

SOU 2022-348(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2022-349(LI)	1	\$2,500	\$2,500	\$1,925	9/19/2023	
SOU 2022-350(SA)	1	\$5,000	\$5,000	\$3,900	9/19/2023	
SOU 2022-351(SA)	1	\$2,500	\$2,500	\$1,875	9/19/2023	
SOU 2022-352(SA)	1	\$2,500	\$2,500	\$1,775	9/19/2023	
SOU 2022-353(TS)	1	\$5,000	\$5,000	\$4,150	9/19/2023	
SOU 2022-354(ROP)	1	\$7,500	\$7,500	\$6,000	9/19/2023	
SOU 2022-355(TS)	2	\$10,000	\$10,000	\$8,300	9/19/2023	
SOU 2022-356(HSR)	1	\$1,000	\$1,000	\$930	9/19/2023	
SOU 2022-357(HSR)	1	\$1,000	\$1,000	\$930	9/19/2023	
SOU 2022-358(HSR)	1	\$1,000	\$1,000	\$930	9/19/2023	
SOU 2022-359(GC)	3	\$15,000	\$15,000	\$12,750	9/19/2023	
SOU 2022-360(HSR)	1	\$1,000	\$1,000	\$980	9/19/2023	
SOU 2022-361(GC)	1	\$2,500	\$2,500	\$2,000	9/19/2023	
SOU 2022-362(GC)	1	\$5,000	\$5,000	\$4,000	9/19/2023	
SOU 2022-363(GC)	1	\$5,000	\$5,000	\$4,100	9/19/2023	
SOU 2022-364(SA)	1	\$2,500	\$2,500	\$1,950	9/19/2023	
SOU 2022-365(SA)	1	\$2,500	\$2,500	\$1,875	9/19/2023	
SOU 2022-366(HS)	2	\$2,000	\$2,000	\$1,960	9/19/2023	
SOU 2022-367(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2022-368(LI)	1	\$2,500	\$2,500	\$2,050	9/19/2023	
SOU 2022-369(FCS)	1	\$2,500	\$2,500	\$1,950	9/19/2023	
SOU 2022-370(TS)	1	\$7,500	\$0	\$0	9/19/2023	Case Terminated
SOU 2022-371(HS)	2	\$2,000	\$2,000	\$1,960	9/19/2023	
SOU 2022-372(SA)	1	\$2,500	\$2,500	\$1,825	9/19/2023	
SOU 2022-373(ROP)	1	\$9,500	\$9,500	\$7,600	9/19/2023	
SOU 2022-374(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2022-375(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2022-376(SA)	1	\$5,000	\$5,000	\$3,850	9/19/2023	
SOU 2022-377(HMT)	1	\$5,000	\$5,000	\$3,900	9/19/2023	
SOU 2022-378(HMT)	1	\$3,000	\$3,000	\$2,300	9/19/2023	

SOU 2022-379(HMT)	1	\$2,000	\$0	\$0	9/19/2023	Case Terminated
SOU 2022-380(HMT)	1	\$4,000	\$4,000	\$3,000	9/19/2023	
SOU 2022-381(HMT)	2	\$13,500	\$13,500	\$10,550	9/19/2023	
SOU 2022-382(RW)	1	\$2,500	\$0	\$0	9/19/2023	Case Terminated
SOU 2022-383(RW)	1	\$2,000	\$2,000	\$1,700	9/19/2023	
SOU 2022-384(SI)	1	\$2,500	\$2,500	\$1,875	9/19/2023	
SOU 2022-385(HMT)	2	\$10,000	\$10,000	\$7,000	9/19/2023	
SOU 2022-386(HMT)	1	\$3,000	\$3,000	\$2,500	9/19/2023	
SOU 2022-387(HMT)	1	\$3,000	\$3,000	\$2,500	9/19/2023	
SOU 2022-388(HMT)	5	\$19,000	\$19,000	\$14,800	9/19/2023	
SOU 2022-389(ROP)	1	\$7,500	\$7,500	\$6,225	9/19/2023	
SOU 2022-390(LI)	1	\$2,500	\$2,500	\$2,000	9/19/2023	
SOU 2022-391(SA)	1	\$2,500	\$2,500	\$1,825	9/19/2023	
SOU 2022-392(HMT)	2	\$10,000	\$10,000	\$8,200	9/19/2023	
SOU 2022-393(HMT)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2022-394(HMT)	1	\$4,000	\$4,000	\$3,100	9/19/2023	
SOU 2022-395(HMT)	1	\$2,000	\$2,000	\$1,600	9/19/2023	
SOU 2022-397(TS)	1	\$2,500	\$2,500	\$2,050	9/19/2023	
SOU 2022-398(TS)	1	\$2,500	\$2,500	\$1,250	9/19/2023	
SOU 2022-399(TS)	1	\$5,000	\$5,000	\$4,250	9/19/2023	
SOU 2022-400(TS)	1	\$5,000	\$5,000	\$4,250	9/19/2023	
SOU 2022-401(TS)	1	\$5,000	\$5,000	\$4,250	9/19/2023	
SOU 2022-402(TS)	1	\$2,500	\$2,500	\$2,075	9/19/2023	
SOU 2022-403(SA)	2	\$10,000	\$10,000	\$7,500	9/19/2023	
SOU 2022-404(TS)	1	\$5,000	\$5,000	\$4,250	9/19/2023	
SOU 2022-405(HSR)	1	\$1,000	\$1,000	\$930	9/19/2023	
SOU 2022-406(GC)	1	\$1,000	\$1,000	\$976	9/19/2023	
SOU 2022-407(GC)	1	\$1,000	\$1,000	\$976	9/19/2023	
SOU 2022-408(LI)	1	\$2,500	\$2,500	\$1,875	9/19/2023	
SOU 2022-409(SA)	1	\$2,500	\$2,500	\$1,775	9/19/2023	
SOU 2022-410(SA)	1	\$5,000	\$5,000	\$3,850	9/19/2023	

SOU 2022-411(EQ)	1	\$7,500	\$7,500	\$6,350	9/19/2023	
SOU 2022-412(ROP)	1	\$9,500	\$9,500	\$8,075	9/19/2023	
SOU 2022-413(HS)	2	\$2,000	\$2,000	\$1,960	9/19/2023	
SOU 2022-414(SA)	1	\$2,500	\$2,500	\$1,825	9/19/2023	
SOU 2022-415(SA)	1	\$5,000	\$5,000	\$3,850	9/19/2023	
SOU 2022-416(TS)	1	\$2,500	\$0	\$0	9/29/2023	Case Terminated
SOU 2022-417(EQ)	1	\$7,500	\$7,500	\$6,350	9/19/2023	
SOU 2022-418(ROP)	1	\$7,500	\$7,500	\$5,850	9/19/2023	
SOU 2022-419(SA)	1	\$5,000	\$5,000	\$3,850	9/19/2023	
SOU 2022-420(HS)	2	\$2,000	\$2,000	\$1,960	9/19/2023	
SOU 2022-421(ROP)	1	\$5,000	\$5,000	\$4,000	9/19/2023	
SOU 2022-422(SA)	1	\$5,000	\$5,000	\$3,850	9/19/2023	
SOU 2022-424(LI)	1	\$2,500	\$2,500	\$1,875	9/19/2023	
SOU 2022-425(SA)	1	\$2,500	\$2,500	\$1,775	9/19/2023	
SOU 2022-426(TS)	1	\$5,000	\$5,000	\$4,150	9/19/2023	
SOU 2022-427(TS)	1	\$1,000	\$1,000	\$976	9/19/2023	
SOU 2022-428(GC)	1	\$2,500	\$2,500	\$2,125	9/19/2023	
SOU 2022-429(HSR)	3	\$3,000	\$3,000	\$2,790	9/19/2023	
SOU 2022-430(TS)	1	\$2,500	\$2,500	\$2,000	9/19/2023	
SOU 2022-431(ROP)	2	\$4,000	\$4,000	\$3,000	9/19/2023	
SOU 2022-432(HS)	2	\$2,000	\$2,000	\$1,960	9/19/2023	
SOU 2022-433(TS)	1	\$2,500	\$2,500	\$2,000	9/19/2023	
SOU 2022-434(GC)	1	\$1,000	\$1,000	\$976	9/19/2023	
SOU 2022-435(RW)	1	\$2,000	\$2,000	\$1,700	9/19/2023	
SOU 2022-436(TS)	1	\$2,500	\$2,500	\$2,050	9/19/2023	
SOU 2022-437(HS)	2	\$2,000	\$2,000	\$1,960	9/19/2023	
SOU 2022-438(SA)	2	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2022-439(SA)	1	\$2,500	\$2,500	\$1,825	9/19/2023	
SOU 2022-440(SA)	3	\$7,500	\$7,500	\$5,625	9/19/2023	
SOU 2022-441(SA)	1	\$2,500	\$2,500	\$1,875	9/19/2023	



SOU 2022-442(LI)	1	\$2,500	\$2,500	\$1,825	9/19/2023
SOU 2022-443(HS)	2	\$2,000	\$2,000	\$1,960	9/19/2023
SOU 2022-444(CC)	1	\$1,000	\$1,000	\$980	9/19/2023
SOU 2022-445(LI)	1	\$2,500	\$2,500	\$1,875	9/19/2023
SOU 2022-446(LI)	1	\$2,500	\$2,500	\$1,925	9/19/2023
SOU 2022-447(SA)	1	\$5,000	\$5,000	\$3,850	9/19/2023
SOU 2022-448(LI)	1	\$2,500	\$2,500	\$1,875	9/19/2023
SOU 2022-449(LI)	1	\$2,500	\$2,500	\$1,825	9/19/2023
SOU 2022-450(ROP)	1	\$7,500	\$7,500	\$6,000	9/19/2023
SOU 2022-451(AR)	1	\$1,000	\$1,000	\$980	9/19/2023
SOU 2022-452(ROP)	1	\$9,500	\$9,500	\$8,075	9/19/2023
SOU 2022-453(HMT)	1	\$2,000	\$2,000	\$1,600	9/19/2023
SOU 2022-454(SA)	1	\$2,500	\$2,500	\$1,825	9/19/2023
SOU 2022-455(SA)	1	\$5,000	\$5,000	\$3,850	9/19/2023
SOU 2022-456(LI)	1	\$2,500	\$2,500	\$1,875	9/19/2023
SOU 2022-457(ROP)	1	\$9,500	\$9,500	\$8,075	9/19/2023
SOU 2022-458(LI)	1	\$2,500	\$2,500	\$2,050	9/19/2023
SOU 2022-459(LI)	1	\$2,500	\$2,500	\$1,750	9/19/2023
SOU 2022-460(SA)	1	\$5,000	\$5,000	\$3,750	9/19/2023
SOU 2022-461(FCS)	1	\$2,500	\$2,500	\$1,950	9/19/2023
SOU 2022-462(SA)	1	\$5,000	\$5,000	\$3,850	9/19/2023
SOU 2022-463(SA)	1	\$10,000	\$10,000	\$7,500	9/19/2023
SOU 2022-464(SA)	1	\$7,500	\$7,500	\$6,750	9/19/2023
SOU 2022-465(HMT)	2	\$12,500	\$12,500	\$10,300	9/19/2023
SOU 2022-466(LI)	1	\$2,500	\$2,500	\$1,875	9/19/2023
SOU 2022-467(GC)	1	\$2,500	\$2,500	\$2,000	9/19/2023
SOU 2022-468(ROP)	1	\$7,500	\$7,500	\$6,225	9/19/2023
SOU 2022-469(SA)	1	\$5,000	\$5,000	\$3,750	9/19/2023
SOU 2022-470(SA)	1	\$5,000	\$5,000	\$3,850	9/19/2023
SOU 2022-471(SA)	1	\$10,000	\$10,000	\$7,700	9/19/2023
SOU 2022-472(ROP)	1	\$9,500	\$9,500	\$8,075	9/19/2023

SOU 2022-473(FCS)	1	\$2,500	\$2,500	\$1,950	9/19/2023
SOU 2022-474(LI)	1	\$2,500	\$2,500	\$1,925	9/19/2023
SOU 2022-475(AD)	1	\$1,000	\$1,000	\$980	9/19/2023
SOU 2022-476(ROP)	1	\$7,500	\$7,500	\$6,075	9/19/2023
SOU 2022-477(HS)	2	\$2,000	\$2,000	\$1,960	9/19/2023
SOU 2022-478(SA)	1	\$5,000	\$5,000	\$3,650	9/19/2023
SOU 2022-479(HS)	1	\$1,000	\$1,000	\$980	9/19/2023
SOU 2022-480(HS)	1	\$1,000	\$1,000	\$980	9/19/2023
SOU 2022-481(ROP)	1	\$7,500	\$7,500	\$6,150	9/19/2023
SOU 2022-482(SA)	1	\$5,000	\$5,000	\$3,850	9/19/2023
SOU 2022-483(ROP)	1	\$7,500	\$7,500	\$6,225	9/19/2023
SOU 2022-484(SA)	3	\$15,000	\$15,000	\$11,250	9/19/2023
SOU 2022-485(ROP)	1	\$9,500	\$9,500	\$8,075	9/19/2023
SOU 2022-486(ROP)	1	\$2,000	\$2,000	\$1,500	9/19/2023
SOU 2022-487(ROP)	1	\$9,500	\$9,500	\$7,600	9/19/2023
SOU 2022-488(ROP)	1	\$9,500	\$9,500	\$8,075	9/19/2023
SOU 2022-489(ROP)	1	\$7,500	\$7,500	\$6,225	9/19/2023
SOU 2022-490(ROP)	1	\$7,500	\$7,500	\$6,600	9/19/2023
SOU 2022-491(GC)	1	\$2,500	\$2,500	\$2,125	9/19/2023
SOU 2022-493(ROP)	1	\$7,500	\$7,500	\$6,075	9/19/2023
SOU 2022-494(LI)	2	\$5,000	\$5,000	\$3,500	9/19/2023
SOU 2022-495(SA)	1	\$5,000	\$5,000	\$3,750	9/19/2023
SOU 2022-496(FCS)	1	\$2,500	\$2,500	\$1,950	9/19/2023
SOU 2022-497(SA)	1	\$5,000	\$5,000	\$3,750	9/19/2023
SOU 2022-498(ROP)	1	\$7,500	\$7,500	\$6,075	9/19/2023
SOU 2022-499(SA)	1	\$5,000	\$5,000	\$3,650	9/19/2023
SOU 2022-500(ROP)	1	\$7,500	\$7,500	\$6,225	9/19/2023
SOU 2022-501(ROP)	1	\$9,500	\$9,500	\$8,075	9/19/2023
SOU 2022-502(GC)	1	\$5,000	\$5,000	\$4,250	9/19/2023
SOU 2022-503(FCS)	1	\$2,500	\$2,500	\$1,950	9/19/2023
SOU 2022-504(SA)	1	\$5,000	\$5,000	\$3,500	9/19/2023

SOU 2022-505(HMT)	1	\$2,000	\$2,000	\$1,650	9/19/2023
SOU 2022-507(SA)	1	\$2,500	\$2,500	\$1,875	9/19/2023
SOU 2022-508(SA)	1	\$5,000	\$5,000	\$3,750	9/19/2023
SOU 2022-509(HMT)	1	\$4,000	\$4,000	\$3,200	9/19/2023
SOU 2022-510(RW)	1	\$1,500	\$1,500	\$1,325	9/19/2023
SOU 2022-511(SA)	1	\$5,000	\$5,000	\$3,750	9/19/2023
SOU 2022-512(LI)	1	\$2,500	\$2,500	\$1,825	9/19/2023
SOU 2022-514(SA)	1	\$2,500	\$2,500	\$1,875	9/19/2023
SOU 2022-515(SA)	2	\$10,000	\$10,000	\$8,000	9/19/2023
SOU 2022-516(SA)	1	\$2,500	\$2,500	\$1,925	9/19/2023
SOU 2022-517(TS)	1	\$5,000	\$5,000	\$4,100	9/19/2023
SOU 2022-518(SA)	1	\$2,500	\$2,500	\$1,925	9/19/2023
SOU 2022-519(SA)	1	\$10,000	\$10,000	\$8,000	9/19/2023
SOU 2022-520(FCS)	1	\$2,000	\$2,000	\$1,600	9/19/2023
SOU 2022-521(SA)	1	\$2,500	\$2,500	\$1,825	9/19/2023
SOU 2022-522(HMT)	1	\$5,000	\$5,000	\$3,500	9/19/2023
SOU 2022-523(SA)	1	\$5,000	\$5,000	\$3,850	9/19/2023
SOU 2022-524(SA)	1	\$5,000	\$5,000	\$3,650	9/19/2023
SOU 2022-525(SA)	1	\$5,000	\$5,000	\$3,750	9/19/2023
SOU 2022-526(HS)	2	\$2,000	\$2,000	\$1,960	9/19/2023
SOU 2022-527(ROP)	1	\$9,500	\$9,500	\$8,075	9/19/2023
SOU 2022-528(ROP)	1	\$9,500	\$9,500	\$8,075	9/19/2023
SOU 2022-529(SA)	1	\$5,000	\$5,000	\$3,750	9/19/2023
SOU 2022-530(SA)	1	\$5,000	\$5,000	\$3,750	9/19/2023
SOU 2022-531(SA)	1	\$5,000	\$5,000	\$3,750	9/19/2023
SOU 2022-532(LI)	1	\$2,500	\$2,500	\$1,925	9/19/2023
SOU 2022-533(LI)	1	\$2,500	\$2,500	\$1,875	9/19/2023
SOU 2022-536(SA)	1	\$5,000	\$5,000	\$3,650	9/19/2023
SOU 2022-538(HMT)	2	\$15,000	\$15,000	\$12,500	9/19/2023
SOU 2022-539(HS)	2	\$2,000	\$2,000	\$1,960	9/19/2023
SOU 2022-540(TS)	1	\$5,000	\$5,000	\$4,250	9/19/2023

SOU 2022-541(HMT)	2	\$12,500	\$12,500	\$9,900	9/19/2023
SOU 2022-542(SA)	1	\$5,000	\$5,000	\$3,750	9/19/2023
SOU 2022-543(HS)	2	\$2,000	\$2,000	\$1,960	9/19/2023
SOU 2022-544(LI)	1	\$2,500	\$2,500	\$1,875	9/19/2023
SOU 2022-546(SA)	1	\$15,000	\$15,000	\$13,500	9/19/2023
SOU 2022-547(ROP)	1	\$7,500	\$7,500	\$6,225	9/19/2023
SOU 2022-548(HMT)	1	\$7,500	\$7,500	\$6,100	9/19/2023
SOU 2022-550(SA)	1	\$5,000	\$5,000	\$3,750	9/19/2023
SOU 2022-551(LI)	1	\$2,500	\$2,500	\$1,925	9/19/2023
SOU 2022-552(SA)	1	\$5,000	\$5,000	\$3,750	9/19/2023
SOU 2022-554(LI)	1	\$2,500	\$2,500	\$1,975	9/19/2023
SOU 2022-555(LI)	1	\$2,500	\$2,500	\$1,875	9/19/2023
SOU 2022-556(SA)	1	\$5,000	\$5,000	\$3,650	9/19/2023
SOU 2022-557(HS)	3	\$3,000	\$3,000	\$2,940	9/19/2023
SOU 2022-558(SA)	1	\$5,000	\$5,000	\$3,750	9/19/2023
SOU 2022-559(LI)	1	\$2,500	\$2,500	\$1,925	9/19/2023
SOU 2022-560(ROP)	1	\$2,000	\$2,000	\$1,500	9/19/2023
SOU 2022-561(FCS)	1	\$5,000	\$5,000	\$3,900	9/19/2023
SOU 2022-562(SA)	1	\$5,000	\$5,000	\$3,750	9/19/2023
SOU 2022-563(SA)	1	\$2,500	\$2,500	\$1,825	9/19/2023
SOU 2022-564(ROP)	1	\$9,500	\$9,500	\$8,075	9/19/2023
SOU 2022-565(SA)	1	\$5,000	\$5,000	\$3,750	9/19/2023
SOU 2022-566(TS)	1	\$1,000	\$1,000	\$976	9/19/2023
SOU 2022-567(TS)	1	\$5,000	\$5,000	\$4,750	9/19/2023
SOU 2022-568(HMT)	1	\$5,000	\$5,000	\$3,500	9/19/2023
SOU 2022-569(LI)	1	\$2,500	\$2,500	\$1,875	9/19/2023
SOU 2022-570(AR)	1	\$2,500	\$2,500	\$1,875	9/19/2023
SOU 2022-571(AR)	1	\$2,500	\$2,500	\$1,875	9/19/2023
SOU 2022-572(AR)	1	\$2,500	\$2,500	\$1,875	9/19/2023
SOU 2022-573(AR)	1	\$2,500	\$2,500	\$1,875	9/19/2023
SOU 2022-574(AR)	1	\$2,500	\$2,500	\$1,875	9/19/2023

SOU 2022-575(AR)	1	\$2,500	\$2,500	\$1,875	9/19/2023
SOU 2022-576(AR)	1	\$2,500	\$2,500	\$1,875	9/19/2023
SOU 2022-577(AR)	1	\$2,500	\$2,500	\$1,875	9/19/2023
SOU 2022-578(AR)	1	\$2,500	\$2,500	\$1,875	9/19/2023
SOU 2022-579(AR)	1	\$2,500	\$2,500	\$1,875	9/19/2023
SOU 2022-580(TS)	1	\$5,000	\$5,000	\$4,150	9/19/2023
SOU 2022-581(LI)	1	\$2,500	\$2,500	\$1,875	9/19/2023
SOU 2022-582(SA)	1	\$5,000	\$5,000	\$3,750	9/19/2023
SOU 2022-583(LI)	1	\$2,500	\$2,500	\$1,875	9/19/2023
SOU 2022-584(LI)	1	\$2,500	\$2,500	\$1,875	9/19/2023
SOU 2022-586(LI)	1	\$2,500	\$2,500	\$1,875	9/19/2023
SOU 2023-001(RW)	1	\$2,000	\$2,000	\$1,700	9/19/2023
SOU 2023-002(GC)	1	\$5,000	\$5,000	\$4,250	9/19/2023
SOU 2023-003(LI)	1	\$2,500	\$2,500	\$1,825	9/19/2023
SOU 2023-004(SA)	1	\$2,500	\$2,500	\$1,925	9/19/2023
SOU 2023-005(SA)	1	\$2,500	\$2,500	\$1,825	9/19/2023
SOU 2023-006(AR)	1	\$2,500	\$2,500	\$1,875	9/19/2023
SOU 2023-007(AR)	1	\$2,500	\$2,500	\$1,875	9/19/2023
SOU 2023-008(SA)	1	\$2,500	\$2,500	\$1,775	9/19/2023
SOU 2023-009(LI)	1	\$2,500	\$2,500	\$1,875	9/19/2023
SOU 2023-010(LI)	1	\$2,500	\$2,500	\$1,875	9/19/2023
SOU 2023-011(SA)	1	\$5,000	\$5,000	\$3,850	9/19/2023
SOU 2023-012(AR)	1	\$2,500	\$2,500	\$1,875	9/19/2023
SOU 2023-013(AR)	1	\$2,500	\$2,500	\$1,875	9/19/2023
SOU 2023-014(AR)	1	\$2,500	\$2,500	\$1,875	9/19/2023
SOU 2023-015(AR)	1	\$2,500	\$2,500	\$1,875	9/19/2023
SOU 2023-016(AR)	1	\$2,500	\$2,500	\$1,875	9/19/2023
SOU 2023-017(AR)	1	\$2,500	\$2,500	\$1,875	9/19/2023
SOU 2023-018(AR)	1	\$2,500	\$2,500	\$1,875	9/19/2023
SOU 2023-020(SA)	1	\$5,000	\$5,000	\$3,750	9/19/2023
SOU 2023-021(ROP)	1	\$7,500	\$7,500	\$6,375	9/19/2023

SOU 2023-022(SA)	1	\$2,500	\$2,500	\$1,925	9/19/2023	
SOU 2023-023(HS)	2	\$4,000	\$4,000	\$3,100	9/19/2023	
SOU 2023-024(ROR)	1	\$9,500	\$9,500	\$7,750	9/19/2023	
SOU 2023-026(SA)	1	\$2,500	\$2,500	\$1,875	9/19/2023	
SOU 2023-027(ROP)	1	\$15,000	\$15,000	\$13,500	9/19/2023	
SOU 2023-028(FCS)	1	\$2,000	\$2,000	\$1,600	9/19/2023	
SOU 2023-029(SA)	1	\$5,000	\$5,000	\$3,650	9/19/2023	
SOU 2023-030(GC)	1	\$5,000	\$5,000	\$4,500	9/19/2023	
SOU 2023-031(HMT)	6	\$15,000	\$15,000	\$11,400	9/19/2023	
SOU 2023-032(ROR)	1	\$9,500	\$9,500	\$7,750	9/19/2023	
SOU 2023-033(SA)	1	\$5,000	\$5,000	\$3,750	9/19/2023	
SOU 2023-034(AR)	1	\$2,500	\$0	\$0	9/19/2023	Case Terminated
SOU 2023-035(HMT)	1	\$6,000	\$6,000	\$5,000	9/19/2023	
SOU 2023-036(AR)	1	\$2,500	\$2,500	\$1,875	9/19/2023	
SOU 2023-037(AR)	1	\$2,500	\$2,500	\$1,875	9/19/2023	
SOU 2023-038(AR)	1	\$2,500	\$2,500	\$1,875	9/19/2023	
SOU 2023-039(FCS)	1	\$2,500	\$2,500	\$2,050	9/19/2023	
SOU 2023-040(SA)	1	\$5,000	\$5,000	\$3,750	9/19/2023	
SOU 2023-041(SA)	1	\$5,000	\$5,000	\$3,650	9/19/2023	
SOU 2023-042(SA)	1	\$5,000	\$5,000	\$3,750	9/19/2023	
SOU 2023-043(SA)	1	\$5,000	\$5,000	\$3,750	9/19/2023	
SOU 2023-044(SA)	1	\$5,000	\$5,000	\$3,650	9/19/2023	
SOU 2023-045(ROP)	1	\$7,500	\$7,500	\$6,225	9/19/2023	
SOU 2023-046(SA)	1	\$2,500	\$2,500	\$1,875	9/19/2023	
SOU 2023-047(SA)	1	\$5,000	\$5,000	\$3,750	9/19/2023	
SOU 2023-048(ROP)	1	\$9,500	\$5,000	\$4,250	9/19/2023	Terminated Violations: 1
SOU 2023-049(SA)	1	\$5,000	\$5,000	\$3,750	9/19/2023	
SOU 2023-050(SA)	1	\$5,000	\$5,000	\$3,750	9/19/2023	
SOU 2023-051(TS)	1	\$5,000	\$5,000	\$4,250	9/19/2023	
SOU 2023-052(SA)	1	\$5,000	\$5,000	\$3,650	9/19/2023	

SOU 2023-053(TS)	1	\$5,000	\$5,000	\$4,250	9/19/2023	
SOU 2023-054(SA)	1	\$2,500	\$2,500	\$1,825	9/19/2023	
SOU 2023-055(FCS)	1	\$2,500	\$2,500	\$1,950	9/19/2023	
SOU 2023-056(SA)	1	\$2,500	\$2,500	\$1,825	9/19/2023	
SOU 2023-057(SA)	1	\$2,500	\$2,500	\$1,825	9/19/2023	
SOU 2023-058(SA)	1	\$5,000	\$5,000	\$3,750	9/19/2023	
SOU 2023-059(SI)	1	\$1,000	\$1,000	\$976	9/19/2023	
SOU 2023-060(HMT)	2	\$10,000	\$10,000	\$7,000	9/19/2023	
SOU 2023-061(GC)	1	\$2,000	\$2,000	\$1,600	9/19/2023	
SOU 2023-062(LI)	1	\$2,500	\$2,500	\$1,775	9/19/2023	
SOU 2023-063(FCS)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2023-064(SA)	1	\$2,500	\$2,500	\$1,925	9/19/2023	
SOU 2023-065(SA)	2	\$10,000	\$10,000	\$7,000	9/19/2023	
SOU 2023-066(EQ)	2	\$15,000	\$15,000	\$12,700	9/19/2023	
SOU 2023-067(SA)	1	\$2,500	\$2,500	\$1,875	9/19/2023	
SOU 2023-068(SA)	1	\$5,000	\$5,000	\$3,750	9/19/2023	
SOU 2023-069(LI)	1	\$2,500	\$2,500	\$1,875	9/19/2023	
SOU 2023-072(SA)	1	\$2,500	\$2,500	\$1,825	9/19/2023	
SOU 2023-073(HMT)	1	\$2,000	\$2,000	\$1,500	9/19/2023	
SOU 2023-075(ROP)	1	\$9,500	\$5,000	\$4,250	9/19/2023	Terminated Violations: 1
SOU 2023-076(LI)	1	\$5,000	\$5,000	\$3,500	9/19/2023	
SOU 2023-077(AR)	1	\$2,500	\$2,500	\$1,875	9/19/2023	
SOU 2023-079(AR)	1	\$2,500	\$2,500	\$1,875	9/19/2023	
SOU 2023-080(AR)	1	\$2,500	\$2,500	\$1,875	9/19/2023	
SOU 2023-081(AR)	1	\$2,500	\$2,500	\$1,875	9/19/2023	
SOU 2023-084(AD)	1	\$2,000	\$2,000	\$1,450	9/19/2023	
SOU 2023-085(ROP)	1	\$2,000	\$2,000	\$1,500	9/19/2023	
SOU 2023-087(SA)	1	\$5,000	\$5,000	\$3,750	9/19/2023	
SOU 2023-088(SA)	2	\$10,000	\$10,000	\$7,500	9/19/2023	
SOU 2023-089(SA)	2	\$10,000	\$10,000	\$8,000	9/19/2023	

ST 2022-009(SA)	1	\$5,000	\$5,000	\$3,700	9/27/2023	
ST 2022-010(ROP)	1	\$9,500	\$9,500	\$7,100	9/27/2023	
ST 2022-011(RW)	1	\$2,000	\$2,000	\$1,500	9/27/2023	
ST 2022-012(ROP)	1	\$5,000	\$5,000	\$3,700	9/27/2023	
ST 2022-013(CC)	1	\$2,500	\$2,500	\$1,950	9/27/2023	
ST 2023-001(AD)	2	\$10,000	\$10,000	\$7,700	9/27/2023	
SW 2017-001(AD)	1	\$5,000	\$0	\$0	6/21/2023	Case Terminated
SW 2018-001(LI)	1	\$2,500	\$0	\$0	6/21/2023	Case Terminated
SW 2018-002(SA)	1	\$2,500	\$0	\$0	6/21/2023	Case Terminated
SW 2018-003(AD)	1	\$2,500	\$0	\$0	6/21/2023	Case Terminated
SW 2018-004(AD)	1	\$2,500	\$2,500	\$1,500	6/21/2023	
SW 2020-002(TS)	1	\$5,000	\$5,000	\$3,400	6/21/2023	
SW 2021-001(ROP)	1	\$5,000	\$5,000	\$3,600	6/21/2023	
SW 2023-001(SA)	1	\$5,000	\$5,000	\$3,600	6/21/2023	
TKEN 2022-001(TS)	1	\$5,000	\$5,000	\$3,250	1/11/2023	
TPW 2022-001(FCS)	1	\$5,000	\$5,000	\$3,400	9/25/2023	
TPW 2023-001(SA)	1	\$5,000	\$5,000	\$3,400	9/25/2023	
TPW 2023-002(SA)	1	\$2,500	\$2,500	\$1,700	9/25/2023	
TRIC 2016-001(GC)	1	\$2,500	\$0	\$0	4/21/2023	Case Terminated
TSRR 2019-001(GC)	1	\$5,000	\$5,000	\$4,500	2/21/2023	
TSRR 2021-001(GC)	1	\$1,000	\$1,000	\$919	2/21/2023	
TTXJ 2022-001(FCS)	1	\$2,500	\$2,500	\$2,500	12/16/2022	
TXN 2022-001(ROP)	1	\$7,500	\$7,500	\$5,400	9/18/2023	
TXN 2022-002(TS)	6	\$17,500	\$17,500	\$14,000	9/18/2023	
TXN 2023-001(TS)	2	\$10,000	\$10,000	\$8,000	9/18/2023	
UCRY 2021-001(TS)	1	\$5,000	\$5,000	\$3,750	2/21/2023	
UP 2019-127(GC)	1	\$2,500	\$2,500	\$1,700	9/28/2023	
UP 2020-1000(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023	



UP 2020-1006(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2020-1007(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2020-1012(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2020-1016(SA)	2	\$10,000	\$10,000	\$7,600	9/28/2023
UP 2020-1021(SA)	1	\$10,000	\$10,000	\$6,100	9/28/2023
UP 2020-1025(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2020-103(SA)	1	\$2,500	\$2,500	\$1,625	9/28/2023
UP 2020-1055(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2020-1059(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2020-1065(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2020-1069(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2020-107(SA)	1	\$2,500	\$2,500	\$1,625	9/28/2023
UP 2020-1070(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2020-1074(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2020-1079(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2020-1080(SA)	1	\$2,500	\$2,500	\$2,000	9/28/2023
UP 2020-1085(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2020-1095(SA)	1	\$2,500	\$2,500	\$1,731	9/28/2023
UP 2020-1099(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2020-1100(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2020-1113(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2020-1123(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2020-1131(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2020-1135(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2020-1136(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2020-1149(SA)	2	\$5,000	\$5,000	\$3,500	9/28/2023
UP 2020-115(SA)	1	\$5,000	\$5,000	\$3,250	9/28/2023
UP 2020-1150(SA)	1	\$2,500	\$2,500	\$2,000	9/28/2023
UP 2020-1179(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2020-1183(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2020-1192(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023

UP 2020-1197(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2020-120(SA)	1	\$2,500	\$2,500	\$1,625	9/28/2023
UP 2020-1203(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2020-1207(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2020-1208(SA)	1	\$5,000	\$5,000	\$4,000	9/28/2023
UP 2020-121(SA)	1	\$2,500	\$2,500	\$1,625	9/28/2023
UP 2020-1212(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2020-1213(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2020-1217(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2020-1220(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2020-131(SA)	1	\$2,500	\$2,500	\$1,625	9/28/2023
UP 2020-139(SA)	1	\$5,000	\$5,000	\$3,250	9/28/2023
UP 2020-147(SA)	1	\$5,000	\$5,000	\$3,250	9/28/2023
UP 2020-149(SA)	1	\$2,500	\$2,500	\$1,625	9/28/2023
UP 2020-165(SA)	1	\$2,500	\$2,500	\$1,625	9/28/2023
UP 2020-167(SA)	1	\$2,500	\$2,500	\$1,625	9/28/2023
UP 2020-169(SA)	1	\$2,500	\$2,500	\$1,625	9/28/2023
UP 2020-170(SA)	1	\$2,500	\$2,500	\$1,625	9/28/2023
UP 2020-177(SA)	1	\$2,500	\$2,500	\$1,950	9/28/2023
UP 2020-179(SA)	1	\$2,500	\$2,500	\$1,625	9/28/2023
UP 2020-198(SA)	1	\$2,500	\$2,500	\$1,625	9/28/2023
UP 2020-203(SA)	1	\$2,500	\$2,500	\$1,625	9/28/2023
UP 2020-210(SA)	1	\$5,000	\$5,000	\$3,250	9/28/2023
UP 2020-213(SA)	1	\$5,000	\$5,000	\$3,250	9/28/2023
UP 2020-215(SA)	1	\$2,500	\$2,500	\$1,625	9/28/2023
UP 2020-220(SA)	1	\$2,500	\$2,500	\$1,625	9/28/2023
UP 2020-225(SA)	1	\$5,000	\$5,000	\$3,250	9/28/2023
UP 2020-230(ROP)	1	\$7,500	\$7,500	\$5,700	9/28/2023
UP 2020-233(TS)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2020-235(TH)	1	\$5,000	\$5,000	\$3,750	9/28/2023
UP 2020-237(HMT)	1	\$2,000	\$2,000	\$1,520	9/28/2023

UP 2020-238(SA)	1	\$5,000	\$5,000	\$3,250	9/28/2023
UP 2020-252(ROR)	1	\$9,500	\$9,500	\$6,650	9/28/2023
UP 2020-253(ROR)	1	\$7,500	\$7,500	\$5,250	9/28/2023
UP 2020-263(ROR)	1	\$9,500	\$9,500	\$6,650	9/28/2023
UP 2020-267(LI)	1	\$1,500	\$1,500	\$1,140	9/28/2023
UP 2020-268(LI)	1	\$1,500	\$1,500	\$1,140	9/28/2023
UP 2020-282(GC)	1	\$5,000	\$5,000	\$3,775	9/28/2023
UP 2020-283(SA)	1	\$2,500	\$2,500	\$1,625	9/28/2023
UP 2020-311(SA)	1	\$5,000	\$5,000	\$3,250	9/28/2023
UP 2020-316(SA)	1	\$2,500	\$2,500	\$1,625	9/28/2023
UP 2020-321(SA)	1	\$2,500	\$2,500	\$1,625	9/28/2023
UP 2020-326(SA)	1	\$2,500	\$2,500	\$1,625	9/28/2023
UP 2020-330(LI)	2	\$4,000	\$4,000	\$3,040	9/28/2023
UP 2020-331(LI)	1	\$1,000	\$1,000	\$892	9/28/2023
UP 2020-335(ROP)	1	\$2,000	\$2,000	\$1,520	9/28/2023
UP 2020-336(ROP)	1	\$2,000	\$2,000	\$1,520	9/28/2023
UP 2020-340(SA)	1	\$2,500	\$2,500	\$1,625	9/28/2023
UP 2020-342(SA)	1	\$5,000	\$5,000	\$3,672	9/28/2023
UP 2020-344(LI)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2020-345(FCS)	1	\$2,500	\$2,500	\$1,550	9/28/2023
UP 2020-347(ROP)	1	\$2,000	\$2,000	\$1,520	9/28/2023
UP 2020-533(HS)	1	\$1,000	\$1,000	\$892	9/28/2023
UP 2020-593(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2021-1001(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2021-1005(FCS)	1	\$2,500	\$2,500	\$1,625	9/28/2023
UP 2021-1007(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2021-1011(HS)	1	\$1,000	\$1,000	\$919	9/28/2023
UP 2021-1017(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2021-1021(SA)	1	\$2,500	\$2,500	\$2,250	9/28/2023
UP 2021-1025(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2021-1029(FCS)	1	\$2,500	\$2,500	\$1,625	9/28/2023

UP 2021-1031(FCS)	1	\$5,000	\$5,000	\$3,250	9/28/2023
UP 2021-1035(HS)	2	\$2,000	\$2,000	\$1,838	9/28/2023
UP 2021-1039(HS)	2	\$2,000	\$2,000	\$1,838	9/28/2023
UP 2021-1043(GC)	1	\$5,000	\$5,000	\$3,775	9/28/2023
UP 2021-1045(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2021-1049(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2021-1051(ROP)	1	\$2,000	\$2,000	\$1,520	9/28/2023
UP 2021-1053(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2021-1057(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2021-1059(FCS)	1	\$5,000	\$5,000	\$3,000	9/28/2023
UP 2021-1061(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2021-1065(FCS)	1	\$2,500	\$2,500	\$1,625	9/28/2023
UP 2021-255(GC)	1	\$5,000	\$5,000	\$3,775	9/28/2023
UP 2021-257(GC)	1	\$5,000	\$5,000	\$3,775	9/28/2023
UP 2021-521(ROP)	13	\$26,000	\$26,000	\$15,000	9/28/2023
UP 2021-525(HS)	1	\$1,000	\$1,000	\$919	9/28/2023
UP 2021-545(ROP)	1	\$2,000	\$2,000	\$1,520	9/28/2023
UP 2021-607(SA)	1	\$5,000	\$5,000	\$3,900	9/28/2023
UP 2021-609(ROP)	1	\$2,000	\$2,000	\$1,520	9/28/2023
UP 2021-642(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2021-644(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2021-653(ROP)	1	\$9,500	\$9,500	\$7,220	9/28/2023
UP 2021-658(LI)	1	\$2,000	\$2,000	\$1,520	9/28/2023
UP 2021-663(AR)	1	\$2,500	\$2,500	\$1,950	9/28/2023
UP 2021-664(AR)	1	\$2,500	\$2,500	\$1,950	9/28/2023
UP 2021-668(FCS)	1	\$2,500	\$2,500	\$1,625	9/28/2023
UP 2021-700(ROP)	1	\$7,500	\$7,500	\$5,700	9/28/2023
UP 2021-702(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2021-704(EP)	1	\$1,000	\$1,000	\$919	9/28/2023
UP 2021-707(LI)	1	\$2,000	\$2,000	\$1,520	9/28/2023
UP 2021-713(TS)	1	\$5,000	\$5,000	\$3,800	9/28/2023

UP 2021-717(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023	
UP 2021-721(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2021-729(LI)	1	\$2,000	\$2,000	\$1,520	9/28/2023	
UP 2021-733(TS)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2021-737(TS)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2021-740(GC)	2	\$10,000	\$10,000	\$7,550	9/28/2023	
UP 2021-744(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2021-748(ROP)	1	\$5,000	\$5,000	\$3,800	9/28/2023	
UP 2021-752(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023	
UP 2021-756(SI)	1	\$1,000	\$1,000	\$919	9/28/2023	
UP 2021-760(SA)	1	\$5,000	\$5,000	\$3,900	9/28/2023	
UP 2021-764(GC)	1	\$5,000	\$5,000	\$3,775	9/28/2023	
UP 2021-768(GC)	1	\$5,000	\$0	\$0	9/28/2023	Case Terminated
UP 2021-772(LI)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2021-776(ROR)	1	\$9,500	\$9,500	\$7,220	9/28/2023	
UP 2021-780(SI)	1	\$5,000	\$5,000	\$3,660	9/28/2023	
UP 2021-784(HS)	2	\$2,000	\$2,000	\$1,838	9/28/2023	
UP 2021-788(SA)	1	\$5,000	\$5,000	\$4,500	9/28/2023	
UP 2021-792(SA)	1	\$5,000	\$5,000	\$3,900	9/28/2023	
UP 2021-796(HSR)	1	\$1,000	\$1,000	\$919	9/28/2023	
UP 2021-800(HS)	2	\$2,000	\$2,000	\$1,838	9/28/2023	
UP 2021-804(EQ)	1	\$5,000	\$5,000	\$3,775	9/28/2023	
UP 2021-808(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023	
UP 2021-812(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023	
UP 2021-816(HS)	2	\$2,000	\$2,000	\$1,838	9/28/2023	
UP 2021-820(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023	
UP 2021-824(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023	
UP 2021-828(FCS)	1	\$2,500	\$2,500	\$1,250	9/28/2023	
UP 2021-832(HS)	2	\$4,000	\$4,000	\$3,040	9/28/2023	
UP 2021-836(HS)	2	\$4,000	\$4,000	\$3,040	9/28/2023	
UP 2021-840(HS)	2	\$2,000	\$2,000	\$1,838	9/28/2023	

UP 2021-844(LI)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2021-852(HS)	2	\$2,000	\$2,000	\$1,838	9/28/2023
UP 2021-856(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2021-860(GC)	1	\$5,000	\$5,000	\$3,775	9/28/2023
UP 2021-864(SA)	1	\$5,000	\$5,000	\$3,900	9/28/2023
UP 2021-868(HSR)	1	\$2,000	\$2,000	\$1,838	9/28/2023
UP 2021-876(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2021-880(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2021-884(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2021-888(FCS)	1	\$2,500	\$2,500	\$1,625	9/28/2023
UP 2021-892(FCS)	1	\$2,500	\$2,500	\$1,625	9/28/2023
UP 2021-901(SA)	1	\$5,000	\$5,000	\$3,900	9/28/2023
UP 2021-905(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2021-921(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2021-925(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2021-929(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2021-944(ROP)	1	\$7,500	\$7,500	\$5,700	9/28/2023
UP 2021-948(FCS)	1	\$2,500	\$2,500	\$1,625	9/28/2023
UP 2021-955(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2021-959(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2021-965(TS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2021-967(ROP)	1	\$2,000	\$2,000	\$1,520	9/28/2023
UP 2021-969(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2021-973(FCS)	1	\$2,500	\$2,500	\$1,625	9/28/2023
UP 2021-975(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2021-979(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2021-985(LI)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2021-993(SA)	1	\$2,500	\$2,500	\$1,950	9/28/2023
UP 2021-997(LI)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-001(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-004(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023

UP 2022-006(TS)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-009(HMT)	1	\$2,000	\$2,000	\$1,520	9/28/2023
UP 2022-013(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-015(FCS)	1	\$2,500	\$2,500	\$1,625	9/28/2023
UP 2022-017(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-019(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-021(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-023(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-025(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-027(FCS)	1	\$2,500	\$2,500	\$1,625	9/28/2023
UP 2022-029(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-031(FCS)	1	\$5,000	\$5,000	\$3,250	9/28/2023
UP 2022-033(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-037(ROP)	1	\$7,500	\$7,500	\$5,700	9/28/2023
UP 2022-039(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-041(ROR)	2	\$19,000	\$19,000	\$12,500	9/28/2023
UP 2022-043(HS)	2	\$4,000	\$4,000	\$3,040	9/28/2023
UP 2022-045(TS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-047(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-049(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-051(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-053(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-055(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-057(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-059(FCS)	1	\$2,500	\$2,500	\$1,625	9/28/2023
UP 2022-061(SA)	2	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-063(HS)	2	\$4,000	\$4,000	\$3,040	9/28/2023
UP 2022-065(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-067(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-069(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-071(LI)	1	\$2,500	\$2,500	\$1,900	9/28/2023

UP 2022-073(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-075(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-077(FCS)	1	\$2,500	\$2,500	\$1,625	9/28/2023
UP 2022-079(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-081(ROP)	1	\$2,000	\$2,000	\$1,520	9/28/2023
UP 2022-083(HS)	3	\$6,000	\$6,000	\$4,550	9/28/2023
UP 2022-087(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-089(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-091(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-095(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-097(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-099(FCS)	1	\$2,500	\$2,500	\$1,625	9/28/2023
UP 2022-1001(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-1002(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-1003(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-1004(HMT)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-1006(EQ)	1	\$2,000	\$2,000	\$1,520	9/28/2023
UP 2022-1008(ROP)	1	\$7,500	\$7,500	\$5,700	9/28/2023
UP 2022-1009(REM)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-101(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-1011(HMT)	2	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-1012(HS)	2	\$2,000	\$2,000	\$1,838	9/28/2023
UP 2022-1013(HS)	2	\$4,000	\$4,000	\$3,040	9/28/2023
UP 2022-1014(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-1016(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-1017(HS)	3	\$3,000	\$3,000	\$2,928	9/28/2023
UP 2022-1018(HS)	2	\$4,000	\$4,000	\$3,040	9/28/2023
UP 2022-1019(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
UP 2022-1020(HS)	2	\$4,000	\$4,000	\$3,040	9/28/2023
UP 2022-1021(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
UP 2022-1022(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023



UP 2022-1023(HS)	2	\$4,000	\$4,000	\$3,040	9/28/2023	
UP 2022-1024(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
UP 2022-1026(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2022-1027(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023	
UP 2022-1028(ROP)	1	\$7,500	\$7,500	\$5,700	9/28/2023	
UP 2022-1029(ROP)	1	\$7,500	\$0	\$0	9/28/2023	Case Terminated
UP 2022-103(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2022-1030(HS)	2	\$4,000	\$4,000	\$3,040	9/28/2023	
UP 2022-1031(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
UP 2022-1032(LI)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2022-1033(HMT)	1	\$7,500	\$7,500	\$5,700	9/28/2023	
UP 2022-1034(ROP)	1	\$9,500	\$9,500	\$7,220	9/28/2023	
UP 2022-1036(LI)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2022-1037(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2022-1038(HS)	2	\$4,000	\$4,000	\$3,040	9/28/2023	
UP 2022-1039(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
UP 2022-1041(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2022-1042(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2022-1043(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2022-1044(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023	
UP 2022-1046(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
UP 2022-1047(LI)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2022-1048(HS)	2	\$4,000	\$4,000	\$3,040	9/28/2023	
UP 2022-1049(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
UP 2022-1050(HS)	1	\$2,000	\$2,000	\$1,520	9/28/2023	
UP 2022-1051(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2022-1052(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023	
UP 2022-1053(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2022-1054(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2022-1056(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023	
UP 2022-1057(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023	

UP 2022-1059(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-1060(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
UP 2022-1061(HS)	2	\$4,000	\$4,000	\$3,904	9/28/2023
UP 2022-1062(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-1063(HS)	2	\$4,000	\$4,000	\$3,904	9/28/2023
UP 2022-1064(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-1065(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-1066(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-1067(RSP)	1	\$5,000	\$5,000	\$3,250	9/28/2023
UP 2022-1069(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-1070(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-1071(HS)	3	\$3,000	\$3,000	\$2,928	9/28/2023
UP 2022-1072(ROP)	1	\$2,000	\$2,000	\$1,520	9/28/2023
UP 2022-1074(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-1075(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-1076(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-1077(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-1079(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-1080(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-1081(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-1082(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-1084(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-1085(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-1086(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-1087(LI)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-1089(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-109(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-1090(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-1091(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-111(HSR)	1	\$2,000	\$2,000	\$1,952	9/28/2023
UP 2022-113(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023

UP 2022-115(SA)	2	\$10,000	\$10,000	\$7,600	9/28/2023
UP 2022-117(ROP)	1	\$9,500	\$9,500	\$7,220	9/28/2023
UP 2022-119(FCS)	1	\$2,500	\$2,500	\$1,625	9/28/2023
UP 2022-121(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-123(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-125(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-127(EP)	1	\$2,000	\$2,000	\$1,300	9/28/2023
UP 2022-129(LI)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-131(LI)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-133(LI)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-135(LI)	1	\$2,000	\$2,000	\$1,440	9/28/2023
UP 2022-137(LI)	3	\$3,000	\$3,000	\$2,280	9/28/2023
UP 2022-139(LI)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-141(SA)	4	\$20,000	\$20,000	\$15,200	9/28/2023
UP 2022-143(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-145(LI)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-147(LI)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-149(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-151(LI)	1	\$2,000	\$2,000	\$1,520	9/28/2023
UP 2022-153(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-155(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-157(ROP)	1	\$9,500	\$9,500	\$7,220	9/28/2023
UP 2022-159(FCS)	1	\$5,000	\$5,000	\$3,250	9/28/2023
UP 2022-161(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-163(FCS)	1	\$5,000	\$5,000	\$3,250	9/28/2023
UP 2022-165(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-167(FCS)	1	\$2,500	\$2,500	\$1,625	9/28/2023
UP 2022-168(TH)	1	\$5,000	\$5,000	\$3,750	9/28/2023
UP 2022-169(FCS)	1	\$5,000	\$5,000	\$3,250	9/28/2023
UP 2022-171(FCS)	1	\$5,000	\$5,000	\$3,250	9/28/2023
UP 2022-173(FCS)	1	\$2,500	\$2,500	\$1,625	9/28/2023

UP 2022-175(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-177(SA)	2	\$10,000	\$10,000	\$7,600	9/28/2023
UP 2022-179(FCS)	1	\$2,500	\$2,500	\$1,625	9/28/2023
UP 2022-181(LI)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-183(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-185(HMT)	1	\$4,000	\$4,000	\$3,040	9/28/2023
UP 2022-187(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-189(TS)	3	\$10,000	\$10,000	\$7,600	9/28/2023
UP 2022-190(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-192(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-194(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-196(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-198(SA)	2	\$10,000	\$10,000	\$7,600	9/28/2023
UP 2022-200(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-202(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-205(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-207(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-209(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-211(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-215(SA)	2	\$10,000	\$10,000	\$7,600	9/28/2023
UP 2022-217(HMT)	1	\$1,000	\$1,000	\$760	9/28/2023
UP 2022-219(TS)	4	\$20,000	\$20,000	\$15,200	9/28/2023
UP 2022-221(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-223(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-225(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-227(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-229(FCS)	1	\$5,000	\$5,000	\$3,775	9/28/2023
UP 2022-231(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-233(FCS)	1	\$5,000	\$5,000	\$3,775	9/28/2023
UP 2022-235(LI)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-237(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023

UP 2022-239(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-242(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-244(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-246(TS)	2	\$10,000	\$10,000	\$7,600	9/28/2023
UP 2022-248(LI)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-252(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-254(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-256(HSR)	2	\$2,000	\$2,000	\$1,952	9/28/2023
UP 2022-258(ROP)	1	\$2,000	\$2,000	\$1,520	9/28/2023
UP 2022-260(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
UP 2022-262(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-264(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
UP 2022-268(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
UP 2022-270(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-272(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-274(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-276(ROP)	1	\$7,500	\$7,500	\$5,700	9/28/2023
UP 2022-278(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-280(TS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-282(RW)	1	\$1,500	\$1,500	\$1,140	9/28/2023
UP 2022-284(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
UP 2022-286(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-288(LI)	1	\$1,500	\$1,500	\$1,140	9/28/2023
UP 2022-292(HS)	1	\$1,000	\$1,000	\$976	9/28/2023
UP 2022-294(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-296(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-297(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-298(LI)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-300(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-302(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-304(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023

UP 2022-306(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-308(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-310(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-311(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
UP 2022-312(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-314(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-316(ROP)	1	\$9,500	\$9,500	\$7,220	9/28/2023
UP 2022-318(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-320(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-322(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-324(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-328(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
UP 2022-330(ROP)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-332(ROP)	1	\$7,500	\$7,500	\$5,700	9/28/2023
UP 2022-336(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-338(SA)	15	\$75,000	\$75,000	\$45,000	9/28/2023
UP 2022-340(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-342(SA)	1	\$5,000	\$5,000	\$3,500	9/28/2023
UP 2022-344(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-346(HMT)	2	\$10,000	\$10,000	\$7,600	9/28/2023
UP 2022-348(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-350(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-352(HS)	3	\$3,000	\$3,000	\$2,928	9/28/2023
UP 2022-354(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-357(FCS)	1	\$5,000	\$5,000	\$3,775	9/28/2023
UP 2022-359(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-361(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-363(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-364(HMT)	1	\$1,000	\$1,000	\$760	9/28/2023
UP 2022-365(HMT)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-366(HMT)	2	\$13,500	\$13,500	\$10,260	9/28/2023

UP 2022-367(HMT)	3	\$14,000	\$14,000	\$10,640	9/28/2023
UP 2022-368(HMT)	1	\$2,000	\$2,000	\$1,520	9/28/2023
UP 2022-369(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-370(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-371(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-372(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-373(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-374(HMT)	2	\$11,000	\$6,000	\$6,000	9/28/2023
UP 2022-375(HMT)	2	\$8,000	\$8,000	\$6,080	9/28/2023
UP 2022-376(HMT)	2	\$8,000	\$8,000	\$6,080	9/28/2023
UP 2022-377(HMT)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-378(HMT)	2	\$11,000	\$6,000	\$6,000	9/28/2023
UP 2022-379(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-380(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-381(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-382(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-383(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-384(FCS)	1	\$5,000	\$5,000	\$3,775	9/28/2023
UP 2022-385(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-386(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-387(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-388(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-389(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-390(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-391(SA)	1	\$5,000	\$5,000	\$3,500	9/28/2023
UP 2022-392(SA)	1	\$5,000	\$5,000	\$3,500	9/28/2023
UP 2022-393(GC)	1	\$5,000	\$5,000	\$4,000	9/28/2023
UP 2022-394(SI)	1	\$5,000	\$5,000	\$3,660	9/28/2023
UP 2022-395(GC)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-396(GC)	1	\$5,000	\$5,000	\$3,775	9/28/2023
UP 2022-397(GC)	1	\$2,500	\$2,500	\$1,900	9/28/2023

UP 2022-398(SI)	1	\$5,000	\$5,000	\$3,900	9/28/2023
UP 2022-399(SI)	1	\$5,000	\$5,000	\$3,900	9/28/2023
UP 2022-400(SI)	1	\$5,000	\$5,000	\$3,900	9/28/2023
UP 2022-401(ROP)	1	\$7,500	\$7,500	\$4,000	9/28/2023
UP 2022-402(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-403(HMT)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-404(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
UP 2022-405(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
UP 2022-406(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-407(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-408(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-409(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-410(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-411(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-412(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-413(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-414(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-415(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
UP 2022-416(HS)	3	\$3,000	\$3,000	\$2,928	9/28/2023
UP 2022-417(LI)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-419(HS)	3	\$3,000	\$3,000	\$2,928	9/28/2023
UP 2022-420(HSR)	2	\$2,000	\$2,000	\$1,952	9/28/2023
UP 2022-421(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
UP 2022-422(ROP)	1	\$7,500	\$7,500	\$5,700	9/28/2023
UP 2022-423(RW)	1	\$3,000	\$3,000	\$2,280	9/28/2023
UP 2022-424(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
UP 2022-425(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
UP 2022-426(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
UP 2022-427(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-428(REM)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-429(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023



UP 2022-430(ROP)	2	\$4,000	\$4,000	\$3,040	9/28/2023
UP 2022-431(HMT)	1	\$4,000	\$4,000	\$3,040	9/28/2023
UP 2022-432(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
UP 2022-433(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
UP 2022-434(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
UP 2022-435(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
UP 2022-436(HMT)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-437(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-438(HS)	1	\$1,000	\$1,000	\$976	9/28/2023
UP 2022-439(RSP)	1	\$9,500	\$9,500	\$7,220	9/28/2023
UP 2022-440(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
UP 2022-441(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
UP 2022-442(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-443(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-444(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-445(TS)	1	\$7,000	\$7,000	\$5,320	9/28/2023
UP 2022-446(RMM)	1	\$3,000	\$3,000	\$2,000	9/28/2023
UP 2022-447(TS)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-448(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-449(FCS)	1	\$5,000	\$5,000	\$3,775	9/28/2023
UP 2022-450(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-451(LI)	1	\$1,000	\$1,000	\$919	9/28/2023
UP 2022-452(LI)	1	\$1,000	\$1,000	\$919	9/28/2023
UP 2022-453(LI)	1	\$1,000	\$1,000	\$919	9/28/2023
UP 2022-454(LI)	1	\$1,000	\$1,000	\$919	9/28/2023
UP 2022-455(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-456(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-457(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-458(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-459(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-460(FCS)	3	\$7,500	\$7,500	\$5,665	9/28/2023

UP 2022-461(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-462(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-463(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-464(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-465(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-466(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-467(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-468(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-469(FCS)	1	\$5,000	\$5,000	\$3,775	9/28/2023
UP 2022-470(ROP)	1	\$2,000	\$2,000	\$1,520	9/28/2023
UP 2022-471(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-472(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-473(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-474(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-475(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-476(LI)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-477(LI)	1	\$1,000	\$1,000	\$919	9/28/2023
UP 2022-478(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-479(SA)	1	\$2,500	\$2,500	\$1,350	9/28/2023
UP 2022-480(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-481(FCS)	1	\$5,000	\$5,000	\$3,775	9/28/2023
UP 2022-482(FCS)	1	\$5,000	\$5,000	\$3,775	9/28/2023
UP 2022-483(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-484(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-485(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-486(ROP)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-487(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-488(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-489(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-490(FCS)	1	\$5,000	\$5,000	\$3,775	9/28/2023
UP 2022-491(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023

UP 2022-492(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-493(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-494(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-495(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-496(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-497(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-498(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-499(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-500(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-501(HS)	1	\$1,000	\$1,000	\$976	9/28/2023
UP 2022-502(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-503(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-504(FCS)	2	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-505(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-506(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-507(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-508(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-509(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-510(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-511(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-512(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-513(ROP)	1	\$9,500	\$9,500	\$7,220	9/28/2023
UP 2022-514(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-515(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-516(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-517(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-518(FCS)	6	\$15,000	\$15,000	\$11,400	9/28/2023
UP 2022-519(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-520(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-521(ROP)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-522(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023

UP 2022-523(RW)	1	\$3,000	\$3,000	\$2,280	9/28/2023
UP 2022-524(TS)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-525(TS)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-526(ROP)	1	\$7,500	\$7,500	\$5,700	9/28/2023
UP 2022-527(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-528(EP)	5	\$5,000	\$5,000	\$4,595	9/28/2023
UP 2022-529(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-530(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-531(ROP)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-532(ROP)	1	\$2,000	\$2,000	\$1,520	9/28/2023
UP 2022-533(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-534(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-535(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-536(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-537(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-538(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-539(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-540(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-541(SA)	5	\$25,000	\$25,000	\$19,000	9/28/2023
UP 2022-542(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-543(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-544(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-545(SA)	5	\$25,000	\$25,000	\$19,000	9/28/2023
UP 2022-546(LI)	1	\$2,000	\$2,000	\$1,300	9/28/2023
UP 2022-547(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-548(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-549(FCS)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-550(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-551(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-552(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-553(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023

UP 2022-554(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-555(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-556(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-557(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-558(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-559(SA)	1	\$2,500	\$2,500	\$1,350	9/28/2023
UP 2022-560(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-561(LI)	1	\$2,000	\$2,000	\$1,300	9/28/2023
UP 2022-562(LI)	1	\$2,000	\$2,000	\$1,300	9/28/2023
UP 2022-563(LI)	1	\$2,000	\$2,000	\$1,300	9/28/2023
UP 2022-564(LI)	1	\$2,000	\$2,000	\$1,300	9/28/2023
UP 2022-565(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-566(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-567(LI)	1	\$2,500	\$2,500	\$1,550	9/28/2023
UP 2022-568(LI)	1	\$2,500	\$2,500	\$1,550	9/28/2023
UP 2022-569(LI)	1	\$2,500	\$2,500	\$1,550	9/28/2023
UP 2022-570(LI)	1	\$2,500	\$2,500	\$1,550	9/28/2023
UP 2022-571(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-572(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-573(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-574(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-575(LI)	1	\$2,500	\$2,500	\$1,625	9/28/2023
UP 2022-576(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-577(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-578(HMT)	1	\$2,000	\$2,000	\$1,520	9/28/2023
UP 2022-579(HMT)	1	\$1,000	\$1,000	\$760	9/28/2023
UP 2022-580(FCS)	1	\$5,000	\$5,000	\$3,250	9/28/2023
UP 2022-581(FCS)	1	\$5,000	\$5,000	\$3,250	9/28/2023
UP 2022-582(EP)	2	\$2,000	\$2,000	\$1,838	9/28/2023
UP 2022-583(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-584(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023

UP 2022-585(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2022-586(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023	
UP 2022-587(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2022-588(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023	
UP 2022-589(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2022-590(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2022-591(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2022-592(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2022-593(FCS)	2	\$5,000	\$5,000	\$3,800	9/28/2023	
UP 2022-594(LI)	1	\$2,500	\$2,500	\$1,625	9/28/2023	
UP 2022-595(LI)	1	\$2,500	\$2,500	\$1,625	9/28/2023	
UP 2022-596(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023	
UP 2022-597(LI)	1	\$1,000	\$1,000	\$919	9/28/2023	
UP 2022-598(ROP)	1	\$7,500	\$7,500	\$5,700	9/28/2023	
UP 2022-600(ROP)	1	\$2,000	\$2,000	\$1,520	9/28/2023	
UP 2022-601(ROP)	1	\$2,000	\$2,000	\$1,520	9/28/2023	
UP 2022-602(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
UP 2022-603(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
UP 2022-604(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
UP 2022-605(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
UP 2022-606(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
UP 2022-607(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
UP 2022-608(HS)	1	\$1,000	\$1,000	\$976	9/28/2023	
UP 2022-609(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
UP 2022-610(HSR)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
UP 2022-611(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
UP 2022-612(CC)	1	\$7,500	\$7,500	\$5,665	9/28/2023	
UP 2022-613(EQ)	3	\$15,000	\$7,500	\$7,500	9/28/2023	Terminated Violations: 1
UP 2022-614(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
UP 2022-615(FCS)	1	\$5,000	\$5,000	\$3,800	9/28/2023	

UP 2022-616(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-617(SI)	1	\$5,000	\$5,000	\$3,660	9/28/2023
UP 2022-618(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-619(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-620(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-621(ROP)	1	\$2,000	\$2,000	\$1,520	9/28/2023
UP 2022-622(HMT)	1	\$2,000	\$2,000	\$1,520	9/28/2023
UP 2022-623(HMT)	4	\$10,500	\$10,500	\$7,980	9/28/2023
UP 2022-624(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-625(HMT)	2	\$11,500	\$11,500	\$8,740	9/28/2023
UP 2022-626(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-627(LI)	1	\$2,500	\$2,500	\$1,625	9/28/2023
UP 2022-628(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-629(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-630(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-631(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-632(HMT)	1	\$6,000	\$6,000	\$4,560	9/28/2023
UP 2022-633(HMT)	6	\$34,000	\$34,000	\$25,840	9/28/2023
UP 2022-634(LI)	1	\$2,500	\$2,500	\$1,625	9/28/2023
UP 2022-635(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
UP 2022-636(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
UP 2022-637(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
UP 2022-638(TS)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-639(ROP)	1	\$9,500	\$9,500	\$7,220	9/28/2023
UP 2022-640(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-641(ROP)	1	\$7,500	\$7,500	\$5,700	9/28/2023
UP 2022-642(RW)	1	\$3,000	\$3,000	\$2,400	9/28/2023
UP 2022-643(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-644(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-645(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-646(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023

UP 2022-647(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2022-648(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2022-649(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2022-651(LI)	1	\$2,500	\$2,500	\$1,625	9/28/2023	
UP 2022-652(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023	
UP 2022-653(LI)	1	\$2,500	\$2,500	\$1,625	9/28/2023	
UP 2022-654(SA)	2	\$10,000	\$10,000	\$7,600	9/28/2023	
UP 2022-655(LI)	1	\$1,000	\$1,000	\$919	9/28/2023	
UP 2022-656(HMT)	1	\$5,000	\$5,000	\$3,800	9/28/2023	
UP 2022-657(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023	
UP 2022-658(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023	
UP 2022-659(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023	
UP 2022-660(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023	
UP 2022-661(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023	
UP 2022-662(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023	
UP 2022-663(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023	
UP 2022-664(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2022-665(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2022-666(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023	
UP 2022-667(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2022-668(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2022-669(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2022-670(HMT)	1	\$2,000	\$2,000	\$1,520	9/28/2023	
UP 2022-671(HMT)	1	\$4,000	\$4,000	\$3,040	9/28/2023	
UP 2022-672(EQ)	1	\$1,000	\$1,000	\$976	9/28/2023	
UP 2022-673(ROP)	1	\$7,500	\$7,500	\$5,700	9/28/2023	
UP 2022-674(ROP)	1	\$7,500	\$0	\$0	9/28/2023	Case Terminated
UP 2022-675(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023	
UP 2022-676(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
UP 2022-677(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
UP 2022-678(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	



UP 2022-679(HS)	2	\$4,000	\$4,000	\$3,904	9/28/2023	
UP 2022-680(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
UP 2022-681(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
UP 2022-682(HS)	1	\$1,000	\$1,000	\$976	9/28/2023	
UP 2022-684(LI)	1	\$2,500	\$2,500	\$1,625	9/28/2023	
UP 2022-685(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
UP 2022-686(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023	
UP 2022-688(HMT)	1	\$1,000	\$1,000	\$750	9/28/2023	
UP 2022-689(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023	
UP 2022-690(GC)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2022-691(GC)	1	\$5,000	\$0	\$0	9/28/2023	Case Terminated
UP 2022-693(SI)	1	\$15,000	\$15,000	\$11,460	9/28/2023	
UP 2022-694(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
UP 2022-695(HSR)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
UP 2022-696(HS)	2	\$4,000	\$4,000	\$3,904	9/28/2023	
UP 2022-697(RW)	1	\$2,000	\$2,000	\$1,500	9/28/2023	
UP 2022-698(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023	
UP 2022-699(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
UP 2022-700(RSP)	1	\$5,500	\$5,500	\$3,575	9/28/2023	
UP 2022-702(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
UP 2022-703(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
UP 2022-704(ROP)	1	\$7,500	\$7,500	\$5,700	9/28/2023	
UP 2022-705(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
UP 2022-706(HS)	1	\$2,000	\$2,000	\$1,952	9/28/2023	
UP 2022-707(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
UP 2022-708(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023	
UP 2022-709(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023	
UP 2022-710(LI)	1	\$2,500	\$2,500	\$1,625	9/28/2023	
UP 2022-711(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
UP 2022-712(ROP)	1	\$7,500	\$7,500	\$5,700	9/28/2023	
UP 2022-713(LI)	1	\$2,500	\$2,500	\$1,625	9/28/2023	

UP 2022-714(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-715(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-716(LI)	1	\$2,500	\$2,500	\$1,625	9/28/2023
UP 2022-717(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-718(ROP)	1	\$9,500	\$9,500	\$7,220	9/28/2023
UP 2022-719(LI)	1	\$2,500	\$2,500	\$1,625	9/28/2023
UP 2022-720(GC)	1	\$5,000	\$5,000	\$3,775	9/28/2023
UP 2022-721(GC)	1	\$5,000	\$5,000	\$4,000	9/28/2023
UP 2022-722(SI)	1	\$1,000	\$1,000	\$976	9/28/2023
UP 2022-723(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
UP 2022-724(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
UP 2022-725(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-727(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-728(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-729(HMT)	1	\$6,000	\$6,000	\$4,560	9/28/2023
UP 2022-730(TS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-732(TS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-733(RW)	4	\$9,000	\$9,000	\$6,795	9/28/2023
UP 2022-734(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
UP 2022-735(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
UP 2022-737(LI)	1	\$2,500	\$2,500	\$1,625	9/28/2023
UP 2022-738(LI)	1	\$2,500	\$2,500	\$2,125	9/28/2023
UP 2022-739(LI)	1	\$2,500	\$2,500	\$2,125	9/28/2023
UP 2022-740(LI)	1	\$2,500	\$2,500	\$2,125	9/28/2023
UP 2022-742(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-743(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-744(LI)	1	\$2,500	\$2,500	\$1,550	9/28/2023
UP 2022-745(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-747(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-748(LI)	1	\$1,000	\$1,000	\$976	9/28/2023
UP 2022-749(ROP)	1	\$9,500	\$9,500	\$7,220	9/28/2023

UP 2022-750(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-752(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-753(ROP)	1	\$7,500	\$7,500	\$5,700	9/28/2023
UP 2022-754(LI)	1	\$2,500	\$2,500	\$1,625	9/28/2023
UP 2022-756(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-757(TS)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-759(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
UP 2022-761(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-762(LI)	1	\$2,500	\$2,500	\$1,625	9/28/2023
UP 2022-763(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-764(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-766(TH)	1	\$1,000	\$1,000	\$976	9/28/2023
UP 2022-767(ROP)	1	\$7,500	\$7,500	\$5,700	9/28/2023
UP 2022-768(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-769(HMT)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-771(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-772(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
UP 2022-773(ROP)	1	\$2,000	\$2,000	\$1,520	9/28/2023
UP 2022-774(ROP)	1	\$2,000	\$2,000	\$1,520	9/28/2023
UP 2022-775(HS)	2	\$4,000	\$4,000	\$3,904	9/28/2023
UP 2022-776(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
UP 2022-777(ROP)	1	\$7,500	\$7,500	\$5,700	9/28/2023
UP 2022-778(HS)	3	\$3,000	\$3,000	\$2,928	9/28/2023
UP 2022-779(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-781(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-782(LI)	1	\$2,500	\$2,500	\$1,625	9/28/2023
UP 2022-783(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-784(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-786(LI)	1	\$1,500	\$1,500	\$1,000	9/28/2023
UP 2022-787(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
UP 2022-788(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023

UP 2022-789(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
UP 2022-790(HS)	1	\$2,000	\$2,000	\$976	9/28/2023	
UP 2022-791(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023	
UP 2022-792(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2022-793(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023	
UP 2022-794(HS)	2	\$2,000	\$0	\$0	9/28/2023	Case Terminated
UP 2022-796(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023	
UP 2022-797(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023	
UP 2022-798(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023	
UP 2022-799(SA)	2	\$10,000	\$10,000	\$7,600	9/28/2023	
UP 2022-800(HS)	2	\$4,000	\$4,000	\$1,952	9/28/2023	
UP 2022-801(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
UP 2022-802(HS)	3	\$3,000	\$3,000	\$2,928	9/28/2023	
UP 2022-803(HS)	1	\$1,000	\$1,000	\$976	9/28/2023	
UP 2022-804(HSR)	1	\$1,000	\$1,000	\$976	9/28/2023	
UP 2022-805(HS)	2	\$4,000	\$4,000	\$1,952	9/28/2023	
UP 2022-806(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
UP 2022-807(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023	
UP 2022-808(HMT)	1	\$4,000	\$4,000	\$3,040	9/28/2023	
UP 2022-809(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023	
UP 2022-811(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2022-812(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2022-813(ROP)	1	\$2,000	\$2,000	\$1,520	9/28/2023	
UP 2022-814(LI)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2022-816(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2022-817(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2022-818(TS)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2022-819(LI)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2022-821(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023	
UP 2022-822(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023	
UP 2022-823(LI)	1	\$2,000	\$2,000	\$1,520	9/28/2023	

UP 2022-824(LI)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-826(SA)	1	\$2,000	\$2,000	\$1,520	9/28/2023
UP 2022-827(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-828(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-829(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-831(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
UP 2022-832(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
UP 2022-833(HMT)	1	\$8,000	\$8,000	\$6,080	9/28/2023
UP 2022-834(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-836(FCS)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-837(LI)	1	\$2,000	\$2,000	\$1,520	9/28/2023
UP 2022-838(FCS)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-839(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-841(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-842(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-843(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-844(LI)	2	\$3,000	\$3,000	\$2,280	9/28/2023
UP 2022-846(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-847(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-848(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-849(FCS)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-851(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-852(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-853(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-854(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-856(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-857(HMT)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-858(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-859(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-861(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-862(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023

UP 2022-863(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-864(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-866(FCS)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-867(LI)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-868(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-869(SA)	1	\$2,500	\$2,500	\$1,925	9/28/2023
UP 2022-871(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-872(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-873(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
UP 2022-874(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
UP 2022-875(HS)	2	\$4,000	\$4,000	\$1,952	9/28/2023
UP 2022-876(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-877(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-878(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-879(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-881(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-882(LI)	1	\$1,000	\$1,000	\$976	9/28/2023
UP 2022-883(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-884(FCS)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-886(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-887(SA)	2	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-888(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-889(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-891(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-892(LI)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-893(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-894(FCS)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-896(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-897(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-898(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-899(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023

UP 2022-901(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2022-902(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2022-903(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2022-904(EP)	1	\$1,000	\$1,000	\$976	9/28/2023	
UP 2022-906(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
UP 2022-907(HS)	2	\$2,000	\$0	\$0	9/28/2023	Case Terminated
UP 2022-908(ROP)	1	\$7,500	\$7,500	\$5,700	9/28/2023	
UP 2022-909(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023	
UP 2022-910(HS)	2	\$4,000	\$4,000	\$1,952	9/28/2023	
UP 2022-911(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2022-912(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2022-913(LI)	1	\$2,000	\$2,000	\$1,520	9/28/2023	
UP 2022-914(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2022-916(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2022-917(ROP)	1	\$5,000	\$5,000	\$3,800	9/28/2023	
UP 2022-918(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023	
UP 2022-919(LI)	1	\$1,000	\$1,000	\$976	9/28/2023	
UP 2022-921(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2022-922(HMT)	3	\$7,500	\$7,500	\$5,700	9/28/2023	
UP 2022-923(HMT)	5	\$12,500	\$12,500	\$9,500	9/28/2023	
UP 2022-924(HMT)	8	\$20,000	\$20,000	\$15,200	9/28/2023	
UP 2022-926(EP)	1	\$1,000	\$1,000	\$976	9/28/2023	
UP 2022-927(EP)	1	\$1,000	\$1,000	\$976	9/28/2023	
UP 2022-928(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2022-929(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2022-931(LI)	1	\$1,000	\$1,000	\$976	9/28/2023	
UP 2022-932(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2022-933(EP)	1	\$1,000	\$1,000	\$976	9/28/2023	
UP 2022-934(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2022-936(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2022-937(SA)	2	\$5,000	\$5,000	\$3,800	9/28/2023	

UP 2022-938(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-939(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-941(LI)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-942(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-943(HMT)	1	\$7,000	\$7,000	\$5,320	9/28/2023
UP 2022-944(HMT)	1	\$6,000	\$6,000	\$4,560	9/28/2023
UP 2022-946(TS)	1	\$1,000	\$1,000	\$976	9/28/2023
UP 2022-947(TS)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-948(TS)	4	\$20,000	\$20,000	\$15,200	9/28/2023
UP 2022-949(REM)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-951(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
UP 2022-952(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
UP 2022-953(HS)	2	\$4,000	\$4,000	\$1,952	9/28/2023
UP 2022-954(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
UP 2022-956(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-957(LI)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-958(LI)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-959(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-961(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-962(LI)	1	\$1,000	\$1,000	\$976	9/28/2023
UP 2022-963(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-964(LI)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-966(FCS)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-967(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-968(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-969(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-971(LI)	1	\$1,500	\$1,500	\$976	9/28/2023
UP 2022-972(LI)	1	\$1,000	\$1,000	\$976	9/28/2023
UP 2022-973(LI)	1	\$2,000	\$2,000	\$1,520	9/28/2023
UP 2022-974(LI)	1	\$1,000	\$1,000	\$760	9/28/2023
UP 2022-976(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023



UP 2022-977(SA)	1	\$5,000	\$5,000	\$3,600	9/28/2023
UP 2022-978(SA)	1	\$2,500	\$2,500	\$1,440	9/28/2023
UP 2022-979(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-981(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-982(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-983(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-984(FCS)	1	\$5,000	\$5,000	\$3,900	9/28/2023
UP 2022-986(FCS)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-987(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-988(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2022-989(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-991(ROP)	2	\$4,000	\$4,000	\$3,040	9/28/2023
UP 2022-992(SA)	2	\$10,000	\$10,000	\$7,600	9/28/2023
UP 2022-993(ROP)	1	\$7,500	\$7,500	\$5,700	9/28/2023
UP 2022-994(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2022-996(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
UP 2022-997(HS)	2	\$2,000	\$2,000	\$1,952	9/28/2023
UP 2022-998(HMT)	1	\$2,000	\$2,000	\$1,520	9/28/2023
UP 2022-999(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2023-001(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-002(LI)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-004(ROP)	1	\$7,500	\$7,500	\$5,700	9/28/2023
UP 2023-007(ROP)	1	\$9,500	\$9,500	\$7,220	9/28/2023
UP 2023-008(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2023-009(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-011(LI)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-012(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2023-013(ROP)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2023-014(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2023-016(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2023-017(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023

UP 2023-018(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2023-020(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2023-021(ROP)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2023-022(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2023-023(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2023-026(HMT)	5	\$36,000	\$36,000	\$27,360	9/28/2023
UP 2023-027(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2023-028(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-029(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-031(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-032(RW)	1	\$2,000	\$2,000	\$1,500	9/28/2023
UP 2023-033(RW)	1	\$2,000	\$2,000	\$1,500	9/28/2023
UP 2023-034(LI)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-036(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-037(RW)	1	\$2,000	\$2,000	\$1,520	9/28/2023
UP 2023-038(HMT)	1	\$2,000	\$2,000	\$1,520	9/28/2023
UP 2023-039(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2023-042(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2023-043(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2023-044(LI)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-046(LI)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-047(LI)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-048(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-049(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-052(LI)	1	\$2,000	\$2,000	\$1,520	9/28/2023
UP 2023-053(LI)	3	\$6,000	\$6,000	\$4,560	9/28/2023
UP 2023-054(LI)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-057(AD)	20	\$40,000	\$40,000	\$30,200	9/28/2023
UP 2023-058(HMT)	2	\$12,500	\$12,500	\$9,500	9/28/2023
UP 2023-059(HMT)	3	\$18,500	\$18,500	\$14,060	9/28/2023
UP 2023-061(GS)	1	\$2,500	\$2,500	\$1,625	9/28/2023

UP 2023-062(LI)	2	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2023-063(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-064(LI)	1	\$1,000	\$1,000	\$1,000	9/28/2023
UP 2023-067(SI)	1	\$2,500	\$2,500	\$1,738	9/28/2023
UP 2023-068(GC)	2	\$10,000	\$10,000	\$7,550	9/28/2023
UP 2023-069(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2023-072(LI)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-073(HS)	2	\$4,000	\$4,000	\$1,952	9/28/2023
UP 2023-074(LI)	1	\$1,500	\$1,500	\$1,052	9/28/2023
UP 2023-077(AD)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-078(AD)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-079(AD)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-082(AD)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-083(AD)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-084(AD)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-087(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2023-088(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2023-089(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-092(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-093(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-094(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-097(GC)	1	\$5,000	\$5,000	\$4,000	9/28/2023
UP 2023-098(LI)	12	\$30,000	\$30,000	\$22,800	9/28/2023
UP 2023-099(HS)	2	\$4,000	\$4,000	\$1,952	9/28/2023
UP 2023-102(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-103(GC)	1	\$5,000	\$5,000	\$3,775	9/28/2023
UP 2023-104(HS)	2	\$4,000	\$4,000	\$2,104	9/28/2023
UP 2023-107(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-108(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-109(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-112(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023

UP 2023-113(HS)	2	\$4,000	\$4,000	\$1,952	9/28/2023	
UP 2023-114(HS)	2	\$4,000	\$4,000	\$1,952	9/28/2023	
UP 2023-118(HS)	2	\$4,000	\$4,000	\$1,952	9/28/2023	
UP 2023-119(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2023-122(TS)	1	\$2,000	\$2,000	\$1,520	9/28/2023	
UP 2023-123(GC)	1	\$5,000	\$5,000	\$4,000	9/28/2023	
UP 2023-124(GC)	2	\$10,000	\$10,000	\$8,000	9/28/2023	
UP 2023-126(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2023-127(LI)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2023-128(LI)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2023-131(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2023-132(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2023-133(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2023-136(ROP)	1	\$5,000	\$5,000	\$3,800	9/28/2023	
UP 2023-137(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2023-138(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2023-141(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2023-142(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2023-143(FCS)	5	\$12,500	\$12,500	\$9,500	9/28/2023	
UP 2023-146(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2023-148(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023	
UP 2023-151(LI)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2023-152(GC)	1	\$5,000	\$0	\$0	9/28/2023	Case Terminated
UP 2023-153(GC)	1	\$5,000	\$5,000	\$3,775	9/28/2023	
UP 2023-156(GC)	1	\$5,000	\$5,000	\$3,775	9/28/2023	
UP 2023-158(TS)	1	\$2,000	\$2,000	\$1,520	9/28/2023	
UP 2023-161(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2023-162(HS)	2	\$4,000	\$4,000	\$2,104	9/28/2023	
UP 2023-163(HS)	1	\$2,000	\$2,000	\$1,052	9/28/2023	
UP 2023-166(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2023-167(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023	

UP 2023-168(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-171(SA)	2	\$5,000	\$5,000	\$3,600	9/28/2023
UP 2023-172(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2023-173(EP)	3	\$6,000	\$6,000	\$3,900	9/28/2023
UP 2023-176(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-177(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-178(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-182(LI)	4	\$10,000	\$10,000	\$7,600	9/28/2023
UP 2023-183(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-186(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-187(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-188(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2023-191(LI)	2	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2023-192(FCS)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2023-193(FCS)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2023-196(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-197(LI)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-198(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-201(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2023-202(SA)	2	\$10,000	\$10,000	\$7,600	9/28/2023
UP 2023-203(ROP)	1	\$9,500	\$9,500	\$7,220	9/28/2023
UP 2023-206(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2023-207(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-208(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-211(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-212(SA)	2	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2023-213(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-216(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-218(EP)	1	\$2,000	\$2,000	\$1,300	9/28/2023
UP 2023-221(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-223(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023

UP 2023-226(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-228(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-231(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-233(LI)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-236(FCS)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2023-238(RW)	1	\$3,000	\$3,000	\$2,280	9/28/2023
UP 2023-241(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-242(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-245(LI)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-247(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2023-250(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-252(FCS)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2023-255(HMT)	1	\$1,000	\$1,000	\$760	9/28/2023
UP 2023-257(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2023-260(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-262(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-265(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-267(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-270(SA)	1	\$2,500	\$2,500	\$1,750	9/28/2023
UP 2023-272(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-275(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2023-277(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2023-280(TH)	1	\$5,000	\$5,000	\$3,750	9/28/2023
UP 2023-282(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-285(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-287(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2023-290(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-292(SA)	1	\$5,000	\$5,000	\$3,800	9/28/2023
UP 2023-295(GC)	1	\$5,000	\$5,000	\$3,775	9/28/2023
UP 2023-297(LI)	1	\$2,500	\$2,500	\$1,900	9/28/2023
UP 2023-300(GC)	1	\$2,000	\$2,000	\$1,520	9/28/2023

UP 2023-302(RW)	1	\$2,000	\$2,000	\$1,520	9/28/2023	
UP 2023-305(SA)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
UP 2023-307(TS)	1	\$5,000	\$5,000	\$3,800	9/28/2023	
UP 2023-311(FCS)	1	\$2,500	\$2,500	\$1,900	9/28/2023	
USAR 2023-001(HMT)	1	\$15,000	\$10,000	\$9,000	5/25/2023	Terminated Violations: 1
UTAH 2022-001(TS)	2	\$5,000	\$5,000	\$3,600	9/25/2023	
VCY 2022-001(SA)	1	\$5,000	\$5,000	\$2,500	9/25/2023	
WINV 2023-001(SA)	1	\$10,000	\$10,000	\$7,500	6/29/2023	
WINV 2023-002(ROP)	1	\$15,000	\$15,000	\$10,000	7/26/2023	
WINV 2023-003(ROP)	1	\$19,000	\$19,000	\$12,750	8/22/2023	
WINV 2023-004(SA)	1	\$5,000	\$5,000	\$3,750	8/22/2023	
WIR 2017-003(AR)	1	\$2,500	\$0	\$0	10/6/2022	Case Terminated
WIR 2017-004(ROP)	1	\$7,500	\$0	\$0	10/6/2022	Case Terminated
WIR 2018-001(EP)	3	\$3,000	\$0	\$0	10/6/2022	Case Terminated
WIR 2018-002(TS)	4	\$16,000	\$0	\$0	4/27/2023	Case Terminated
WIR 2018-003(HS)	1	\$1,000	\$0	\$0	8/16/2023	Case Terminated
WIR 2018-005(SA)	1	\$5,000	\$0	\$0	4/27/2023	Case Terminated
WIR 2018-006(AR)	1	\$2,500	\$0	\$0	8/16/2023	Case Terminated
WIR 2018-007(EP)	1	\$1,000	\$0	\$0	8/16/2023	Case Terminated
WRRC 2023-001(SA)	1	\$5,000	\$5,000	\$3,750	8/31/2023	
WRRC 2023-002(SA)	1	\$5,000	\$5,000	\$4,000	8/31/2023	
WTRY 2022-001(TS)	1	\$5,000	\$5,000	\$3,600	9/25/2023	
WURR 2022-001(TS)	1	\$5,000	\$5,000	\$3,000	10/24/2022	
WW 2022-001(AD)	1	\$2,500	\$2,500	\$1,875	1/25/2023	
XABR 2023-001(HMT)	3	\$6,000	\$6,000	\$6,000	1/26/2023	
XALO 2023-001(HMT)	1	\$5,000	\$5,000	\$3,500	8/30/2023	
XAOI 2022-001(HMT)	1	\$5,000	\$5,000	\$3,500	8/7/2023	

XAOI 2022-002(HMT)	1	\$5,000	\$5,000	\$3,550	8/7/2023	
XAOI 2023-001(HMT)	2	\$10,000	\$10,000	\$7,000	8/7/2023	
XAOI 2023-002(HMT)	1	\$5,000	\$5,000	\$3,600	8/7/2023	
XAOI 2023-003(HMT)	1	\$5,000	\$5,000	\$3,650	8/7/2023	
XCAI 2022-001(HMT)	1	\$4,000	\$4,000	\$4,000	10/20/2022	
XCAI 2022-002(HMT)	2	\$12,500	\$12,500	\$10,000	12/20/2022	
XCAI 2022-003(HMT)	2	\$10,000	\$10,000	\$8,000	2/1/2023	
XCAI 2023-001(HMT)	3	\$15,000	\$15,000	\$12,000	3/17/2023	
XCDB 2022-001(RW)	1	\$3,000	\$3,000	\$2,500	5/25/2023	
XCEG 2022-001(RW)	1	\$10,000	\$10,000	\$8,000	12/28/2022	
XCHW 2022-001(HMT)	1	\$5,000	\$5,000	\$4,000	1/12/2023	
XCLS 2022-001(RW)	2	\$3,000	\$3,000	\$3,000	5/9/2023	
XCLS 2022-002(RW)	2	\$35,058	\$35,058	\$26,500	5/9/2023	
XCLS 2022-003(TS)	2	\$4,000	\$4,000	\$4,000	5/9/2023	
XCOZ 2022-001(HMT)	1	\$10,000	\$10,000	\$10,000	12/5/2022	
XCOZ 2023-001(HMT)	1	\$10,000	\$10,000	\$8,000	2/1/2023	
XDER 2022-001(RMM)	1	\$5,000	\$5,000	\$5,000	11/3/2022	
XFEF 2022-003(HMT)	1	\$4,000	\$4,000	\$4,000	1/9/2023	
XFMC 2022-001(HMT)	1	\$2,000	\$2,000	\$1,500	5/19/2023	
XFOC 2021-001(RW)	1	\$3,000	\$3,000	\$3,000	2/8/2023	
XFTT 2013-001(HMT)	7	\$11,496	\$0	\$0	5/18/2023	Case Terminated
XGUR 2020-001(HMT)	1	\$5,000	\$5,000	\$3,500	5/19/2023	
XGUR 2021-001(HMT)	1	\$10,000	\$10,000	\$8,000	5/19/2023	
XHBF 2020-001(HMT)	1	\$2,000	\$2,000	\$2,000	2/2/2023	
XHBF 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	11/3/2022	
XHFN 2023-001(HMT)	1	\$5,000	\$5,000	\$5,000	8/10/2023	
XHIT 2021-001(HMT)	7	\$46,500	\$16,500	\$8,250	3/24/2023	Terminated Violations: 1
XHJV 2022-001(SI)	1	\$5,000	\$5,000	\$3,000	11/17/2022	
XHTS 2020-001(LI)	1	\$2,500	\$2,500	\$1,500	1/26/2023	
XHWE 2019-001(HMT)	1	\$7,500	\$7,500	\$3,750	11/10/2022	



XJMR 2023-001(HMT)	1	\$2,000	\$2,000	\$2,000	1/30/2023	
XKHM 2022-001(HMT)	1	\$5,000	\$5,000	\$5,000	7/13/2023	
XKHM 2023-001(HMT)	1	\$5,000	\$5,000	\$5,000	6/5/2023	
XMAG 2020-001(HMT)	2	\$20,000	\$20,000	\$15,000	8/8/2023	
XMAG 2022-001(HMT)	1	\$5,000	\$5,000	\$3,500	8/8/2023	
XMAG 2023-001(HMT)	1	\$10,000	\$10,000	\$7,500	8/8/2023	
XMKW 2023-001(HMT)	1	\$5,000	\$5,000	\$3,750	5/30/2023	
XMLN 2023-001(GC)	1	\$2,000	\$2,000	\$1,052	8/2/2023	
XMMS 2023-001(RMM)	1	\$2,000	\$2,000	\$1,400	5/26/2023	
XMPM 2022-001(HMT)	1	\$5,000	\$5,000	\$5,000	2/10/2023	
XMQG 2020-001(HMT)	10	\$37,500	\$75,000	\$52,500	11/21/2022	
XMSR 2019-001(HSR)	1	\$1,000	\$1,000	\$900	2/1/2023	
XMSR 2019-002(HS)	1	\$1,000	\$1,000	\$900	2/1/2023	
XOBE 2018-001(HMT)	2	\$10,000	\$10,000	\$6,500	10/25/2022	
XORL 2023-001(RMM)	1	\$2,000	\$2,000	\$1,000	4/13/2023	
XPCQ 2015-001(HMT)	1	\$5,000	\$0	\$0	3/22/2023	Case Terminated
XPEC 2016-001(HMT)	2	\$12,000	\$0	\$0	3/22/2023	Case Terminated
XPHR 2016-001(HMT)	1	\$10,000	\$0	\$0	3/22/2023	Case Terminated
XPHR 2018-001(HMT)	1	\$5,000	\$0	\$0	3/22/2023	Case Terminated
XSAT 2014-001(HMT)	2	\$10,000	\$0	\$0	5/19/2023	Case Terminated
XSFL 2015-001(HMT)	2	\$4,000	\$0	\$0	5/19/2023	Case Terminated
XSNA 2016-001(HMT)	2	\$15,000	\$0	\$0	5/19/2023	Case Terminated
XSNA 2021-002(HMT)	2	\$5,000	\$5,000	\$5,000	2/17/2023	
XSNJ 2018-001(AR)	1	\$2,500	\$0	\$0	5/19/2023	Case Terminated
XSNJ 2018-002(AR)	1	\$2,500	\$0	\$0	5/19/2023	Case Terminated

XSNJ 2018-003(AR)	1	\$2,500	\$0	\$0	5/26/2023	Case Terminated
XSNJ 2018-004(AR)	1	\$2,500	\$0	\$0	5/19/2023	Case Terminated
XSNJ 2018-005(AR)	1	\$2,500	\$0	\$0	5/19/2023	Case Terminated
XSNJ 2018-006(AR)	1	\$2,500	\$0	\$0	5/19/2023	Case Terminated
XSNJ 2018-007(AR)	1	\$2,500	\$0	\$0	5/19/2023	Case Terminated
XSNP 2019-001(HMT)	25	\$122,500	\$0	\$0	5/20/2023	Case Terminated
XSSX 2021-001(HMT)	1	\$5,000	\$5,000	\$3,600	4/27/2023	
XSSX 2022-001(HMT)	1	\$4,000	\$4,000	\$3,000	4/27/2023	
XSSX 2022-002(HMT)	1	\$5,000	\$5,000	\$3,500	4/27/2023	
XSSX 2022-003(HMT)	1	\$5,000	\$5,000	\$3,500	4/27/2023	
XSSX 2022-004(HMT)	1	\$10,000	\$10,000	\$7,000	4/27/2023	
XSSX 2022-005(HMT)	1	\$5,000	\$5,000	\$3,500	4/27/2023	
XSTC 2017-001(HMT)	1	\$5,000	\$0	\$0	5/20/2023	Case Terminated
XSVC 2014-001(HMT)	1	\$5,000	\$0	\$0	5/20/2023	Case Terminated
XSVC 2016-001(HMT)	1	\$2,000	\$0	\$0	5/20/2023	Case Terminated
XTCH 2013-001(HMT)	1	\$999	\$0	\$0	5/8/2023	Case Terminated
XTKT 2023-001(RW)	4	\$34,000	\$34,000	\$20,000	7/21/2023	
XTKT 2023-002(RMM)	1	\$2,000	\$2,000	\$1,250	8/14/2023	
XTRN 2019-004(HMT)	1	\$7,500	\$7,500	\$3,750	12/7/2022	
XTRN 2021-001(HMT)	1	\$10,000	\$10,000	\$7,500	12/7/2022	
XTRN 2022-001(HMT)	1	\$10,000	\$0	\$0	12/7/2022	Case Terminated
XTRN 2022-002(HMT)	1	\$2,000	\$2,000	\$1,500	12/7/2022	
XUTR 2022-001(AD)	1	\$5,000	\$5,000	\$5,000	11/30/2022	
XUTR 2022-002(AD)	1	\$2,500	\$2,500	\$2,500	11/17/2022	
XUTR 2022-003(AD)	1	\$5,000	\$5,000	\$5,000	11/30/2022	
XWTB 2021-001(RW)	2	\$6,000	\$6,000	\$6,000	9/8/2023	

XWTS 2022-001(HMT)	1	\$10,000	\$10,000	\$5,000	9/18/2023	
XWTS 2022-002(SA)	1	\$2,500	\$0	\$0	9/18/2023	Case Terminated
XWTS 2022-003(SA)	1	\$2,500	\$0	\$0	9/18/2023	Case Terminated
XWTS 2022-004(HMT)	1	\$10,000	\$10,000	\$5,000	9/18/2023	
XWWC 2023-001(BW)	1	\$2,500	\$2,500	\$2,500	3/21/2023	
XXHS 2022-001(GC)	1	\$5,000	\$5,000	\$5,000	2/15/2023	
XXWE 2021-001(HMT)	1	\$2,000	\$2,000	\$1,400	2/2/2023	
XYRC 2022-001(HMT)	1	\$7,500	\$7,500	\$6,000	10/5/2022	
XYRC 2023-001(HMT)	1	\$2,000	\$2,000	\$2,000	5/23/2023	
YCR 2018-001(GC)	2	\$2,000	\$0	\$0	5/30/2023	Case Terminated
YCR 2018-002(HS)	1	\$1,000	\$0	\$0	5/30/2023	Case Terminated
YCR 2019-001(GC)	5	\$6,500	\$6,500	\$4,350	5/30/2023	
YCR 2019-002(GC)	4	\$4,000	\$4,000	\$3,480	5/30/2023	
ZABO 2022-001(HMT)	1	\$10,000	\$10,000	\$7,850	12/1/2022	
ZACE 2022-001(HMT)	1	\$5,000	\$5,000	\$5,000	1/27/2023	
ZACR 2023-001(HMT)	2	\$10,000	\$10,000	\$7,000	3/27/2023	
ZACR 2023-002(HMT)	1	\$5,000	\$5,000	\$3,550	7/13/2023	
ZACR 2023-003(HMT)	1	\$5,000	\$5,000	\$3,500	7/12/2023	
ZAEN 2023-001(HMT)	1	\$5,000	\$5,000	\$2,500	7/28/2023	
ZAER 2022-001(HMT)	1	\$2,000	\$2,000	\$2,000	10/17/2022	
ZALN 2022-001(HMT)	1	\$2,000	\$2,000	\$2,000	10/24/2022	
ZALN 2022-002(HMT)	1	\$5,000	\$5,000	\$5,000	11/29/2022	
ZALQ 2022-001(HMT)	1	\$10,000	\$10,000	\$10,000	10/6/2022	
ZALTI 2022-001(HMT)	1	\$2,500	\$2,500	\$1,400	11/11/2022	
ZALTI 2022-002(HMT)	1	\$5,000	\$5,000	\$3,100	11/11/2022	
ZAND 2023-001(HMT)	1	\$2,000	\$2,000	\$1,320	5/3/2023	
ZANX 2021-001(HMT)	4	\$11,500	\$11,500	\$8,510	10/17/2022	
ZAPM 2022-001(HMT)	1	\$32,000	\$32,000	\$24,900	10/18/2022	
ZAPM 2022-002(HMT)	1	\$5,000	\$5,000	\$3,350	10/18/2022	
ZAPM 2023-001(HMT)	2	\$10,000	\$10,000	\$10,000	4/3/2023	

ZAPM 2023-002(HMT)	2	\$7,000	\$7,000	\$7,000	3/31/2023
ZARK 2022-002(HMT)	1	\$10,000	\$10,000	\$8,000	11/8/2022
ZARK 2022-003(HMT)	1	\$5,000	\$5,000	\$3,950	1/12/2023
ZAUL 2021-001(HMT)	1	\$2,000	\$2,000	\$1,400	10/19/2022
ZAVI 2023-001(HMT)	1	\$5,000	\$5,000	\$3,500	4/4/2023
ZAVX 2021-003(HMT)	1	\$10,000	\$10,000	\$7,900	11/10/2022
ZAVX 2021-004(HMT)	1	\$10,000	\$10,000	\$8,200	11/10/2022
ZAVX 2022-001(HMT)	1	\$5,000	\$5,000	\$3,450	2/23/2023
zazr 2021-001(HMT)	1	\$5,000	\$5,000	\$3,000	10/4/2022
ZBAR 2022-001(HMT)	1	\$2,000	\$2,000	\$2,000	11/3/2022
ZBAS 2023-001(HMT)	2	\$15,000	\$15,000	\$15,000	4/26/2023
ZBAS 2023-002(HMT)	1	\$2,000	\$2,000	\$2,000	5/24/2023
ZBAS 2023-003(HMT)	1	\$20,000	\$20,000	\$20,000	5/31/2023
ZBAS 2023-004(HMT)	1	\$2,000	\$2,000	\$2,000	6/20/2023
ZBKA 2023-001(HMT)	1	\$2,000	\$2,000	\$2,000	6/8/2023
ZBMI 2023-001(HMT)	1	\$5,000	\$5,000	\$5,000	5/16/2023
ZBMI 2023-002(HMT)	1	\$5,000	\$5,000	\$5,000	5/16/2023
ZBMQ 2022-002(HMT)	1	\$2,000	\$2,000	\$2,000	10/3/2022
ZBMQ 2022-003(HMT)	1	\$2,000	\$2,000	\$2,000	10/3/2022
ZBMQ 2023-001(HMT)	1	\$2,000	\$2,000	\$2,000	6/27/2023
ZBMR 2023-001(HMT)	1	\$2,000	\$2,000	\$2,000	5/22/2023
ZBMS 2022-003(HMT)	2	\$4,000	\$4,000	\$4,000	10/14/2022
ZBMS 2022-004(HMT)	1	\$2,000	\$2,000	\$2,000	1/3/2023
ZBMS 2022-005(HMT)	1	\$2,000	\$2,000	\$2,000	1/3/2023
ZBMS 2023-001(HMT)	1	\$5,000	\$5,000	\$5,000	4/26/2023
ZBMS 2023-002(HMT)	1	\$5,000	\$5,000	\$5,000	6/27/2023
ZBPH 2023-001(HMT)	1	\$2,000	\$2,000	\$1,600	4/27/2023
ZBPN 2022-004(HMT)	1	\$5,000	\$5,000	\$5,000	10/3/2022
ZBPN 2022-005(HMT)	1	\$5,000	\$5,000	\$5,000	12/20/2022
ZBRQ 2022-001(HMT)	1	\$10,000	\$10,000	\$10,000	10/14/2022
ZBRY 2023-001(HMT)	1	\$5,000	\$5,000	\$5,000	5/10/2023

ZBWG 2019-001(HMT)	1	\$5,000	\$5,000	\$4,000	12/28/2022
ZBWG 2020-001(HMT)	1	\$10,000	\$10,000	\$7,500	12/29/2022
ZBWG 2020-002(HMT)	2	\$12,500	\$12,500	\$10,000	12/29/2022
ZBWG 2020-003(HMT)	1	\$2,000	\$2,000	\$1,500	12/29/2022
ZCAO 2023-001(HMT)	1	\$2,000	\$2,000	\$2,000	2/1/2023
ZCAO 2023-002(HMT)	1	\$2,000	\$2,000	\$2,000	4/28/2023
ZCELA 2022-002(HMT)	1	\$10,000	\$10,000	\$10,000	12/29/2022
ZCELA 2022-003(HMT)	1	\$10,000	\$10,000	\$10,000	1/3/2023
ZCEW 2022-001(HMT)	2	\$4,000	\$4,000	\$4,000	11/15/2022
ZCFC 2022-002(HMT)	1	\$10,000	\$10,000	\$8,000	12/5/2022
ZCFC 2022-003(HMT)	1	\$10,000	\$10,000	\$7,000	2/1/2023
ZCFC 2023-001(HMT)	2	\$15,000	\$15,000	\$10,500	7/31/2023
ZCFER 2021-001(AD)	2	\$10,000	\$10,000	\$6,700	9/25/2023
ZCFER 2021-002(TS)	1	\$2,500	\$2,500	\$1,700	9/25/2023
ZCFER 2022-001(RSP)	1	\$9,500	\$9,500	\$7,600	9/25/2023
ZCHEV 2022-005(HMT)	1	\$5,000	\$5,000	\$3,750	11/17/2022
ZCHF 2023-001(HMT)	1	\$2,000	\$2,000	\$1,650	2/8/2023
ZCIK 2022-001(HMT)	1	\$2,000	\$2,000	\$1,500	1/17/2023
ZCIK 2022-002(HMT)	1	\$2,500	\$2,500	\$1,750	5/9/2023
ZCKZ 2023-001(HMT)	1	\$5,000	\$5,000	\$3,750	7/26/2023
ZCLQ 2022-001(HMT)	1	\$5,000	\$5,000	\$4,000	12/5/2022
ZCLQ 2022-002(HMT)	1	\$5,000	\$5,000	\$3,500	12/5/2022
ZCLQ 2023-001(HMT)	3	\$15,000	\$15,000	\$15,000	5/25/2023
ZCLX 2022-002(HMT)	1	\$2,000	\$2,000	\$1,500	12/1/2022
ZCLX 2022-003(HMT)	3	\$30,000	\$30,000	\$22,500	11/17/2022
ZCLX 2023-001(HMT)	1	\$5,000	\$5,000	\$3,500	8/28/2023
ZCLY 2022-001(HMT)	1	\$4,000	\$4,000	\$4,000	11/3/2022
ZCME 2023-001(HMT)	1	\$5,000	\$5,000	\$4,000	8/2/2023
ZCME 2023-002(HMT)	1	\$15,000	\$15,000	\$12,000	9/28/2023
ZCMP 2022-001(HMT)	1	\$1,500	\$1,500	\$1,500	11/9/2022

ZCNC 2022-001(HMT)	1	\$2,000	\$2,000	\$2,000	11/3/2022
ZCNC 2023-001(HMT)	1	\$5,000	\$5,000	\$5,000	2/1/2023
ZCNL 2022-001(HMT)	1	\$5,000	\$5,000	\$3,750	1/4/2023
ZCNL 2023-001(HMT)	1	\$5,000	\$5,000	\$3,750	1/20/2023
ZCNO 2023-001(HMT)	1	\$2,000	\$2,000	\$1,600	3/16/2023
ZCNO 2023-002(HMT)	1	\$2,000	\$2,000	\$2,000	5/10/2023
ZCONL 2022-001(HMT)	1	\$10,000	\$10,000	\$7,000	2/22/2023
ZCOV 2023-001(HMT)	2	\$7,000	\$7,000	\$5,600	5/18/2023
ZCPN 2023-001(HMT)	1	\$5,000	\$5,000	\$5,000	5/15/2023
ZCPR 2023-001(HMT)	1	\$5,000	\$5,000	\$4,000	3/23/2023
ZCRQ 2023-001(RW)	1	\$1,000	\$1,000	\$1,000	8/11/2023
ZCRZ 2022-001(HMT)	1	\$5,000	\$5,000	\$3,000	10/14/2022
ZCRZ 2022-002(HMT)	1	\$5,000	\$5,000	\$5,000	1/3/2023
ZCSK 2023-001(HMT)	1	\$10,000	\$10,000	\$10,000	2/1/2023
ZCT 2022-005(HMT)	2	\$10,000	\$10,000	\$10,000	10/14/2022
ZCT 2022-006(HMT)	1	\$5,000	\$5,000	\$5,000	11/3/2022
ZCT 2022-007(HMT)	1	\$10,000	\$10,000	\$10,000	12/20/2022
ZCT 2023-001(HMT)	1	\$5,000	\$5,000	\$5,000	6/27/2023
ZCT 2023-002(HMT)	1	\$4,000	\$4,000	\$4,000	6/27/2023
ZCTC 2023-001(HMT)	1	\$10,000	\$10,000	\$7,500	6/21/2023
ZCUT 2022-001(HMT)	1	\$5,000	\$5,000	\$4,000	10/25/2022
ZCUT 2022-002(HMT)	1	\$10,000	\$10,000	\$8,000	10/14/2022
ZCYL 2023-001(HMT)	1	\$5,000	\$5,000	\$5,000	2/1/2023
ZCYR 2023-001(HMT)	1	\$5,000	\$5,000	\$5,000	8/24/2023
ZDCM 2022-001(HMT)	1	\$10,000	\$10,000	\$10,000	3/6/2023
ZDEA 2022-001(HMT)	1	\$15,000	\$15,000	\$15,000	12/2/2022
ZDET 2023-001(HMT)	1	\$5,000	\$5,000	\$3,500	6/20/2023
ZDGT 2022-002(HMT)	1	\$2,000	\$2,000	\$1,100	11/28/2022
ZDNA 2022-001(HMT)	1	\$2,000	\$2,000	\$1,500	3/23/2023
ZDPM 2022-001(HMT)	1	\$5,000	\$5,000	\$4,000	3/15/2023

ZDUS 2022-001(HMT)	2	\$4,000	\$4,000	\$3,000	3/2/2023	
ZDYI 2022-003(HMT)	1	\$2,000	\$2,000	\$2,000	1/9/2023	
ZDYI 2023-002(HMT)	1	\$10,000	\$10,000	\$10,000	3/10/2023	
ZDYI 2023-003(HMT)	1	\$10,000	\$10,000	\$10,000	3/10/2023	
ZEACH 2022-007(HMT)	1	\$5,000	\$5,000	\$3,500	11/21/2022	
ZEACH 2022-008(HMT)	1	\$10,000	\$10,000	\$8,000	1/4/2023	
ZEACH 2022-009(HMT)	1	\$10,000	\$10,000	\$8,150	1/19/2023	
ZEACH 2023-001(HMT)	1	\$10,000	\$10,000	\$7,850	5/3/2023	
ZEACH 2023-002(HMT)	1	\$5,000	\$5,000	\$3,500	5/10/2023	
ZEACH 2023-003(HMT)	1	\$5,000	\$5,000	\$3,000	7/18/2023	
ZEAO 2023-001(HMT)	1	\$10,000	\$10,000	\$8,050	6/9/2023	
ZEBZ 2023-001(HMT)	1	\$2,000	\$2,000	\$1,400	4/3/2023	
ZEBZ 2023-002(HMT)	1	\$2,500	\$2,500	\$2,500	3/13/2023	
ZEDC 2022-004(HMT)	1	\$5,000	\$5,000	\$3,750	11/23/2022	
ZEDC 2023-001(HMT)	1	\$2,000	\$2,000	\$1,400	9/12/2023	
ZEMCC 2022-001(HMT)	1	\$5,000	\$0	\$0	1/27/2023	Case Terminated
ZEMCC 2023-001(HMT)	1	\$5,000	\$5,000	\$3,500	7/18/2023	
ZEMER 2022-002(HMT)	1	\$5,000	\$5,000	\$3,600	1/12/2023	
ZEMER 2022-003(HMT)	1	\$5,000	\$5,000	\$3,250	1/12/2023	
ZEMER 2023-001(HMT)	1	\$5,000	\$5,000	\$3,250	6/2/2023	
ZENE 2021-001(HMT)	1	\$2,500	\$2,500	\$2,500	10/13/2022	
ZEOA 2023-001(HMT)	1	\$5,000	\$5,000	\$3,500	6/1/2023	
ZEOB 2022-001(HMT)	2	\$4,000	\$4,000	\$2,800	10/6/2022	
ZEOB 2022-002(HMT)	3	\$9,000	\$9,000	\$6,300	2/10/2023	
ZEQU 2022-004(HMT)	1	\$10,000	\$10,000	\$8,000	11/17/2022	
ZETP 2022-001(HMT)	2	\$5,000	\$5,000	\$3,500	10/6/2022	

ZETP 2022-002(HMT)	1	\$2,000	\$2,000	\$1,450	11/13/2022	
ZEYC 2023-001(HMT)	1	\$5,000	\$5,000	\$3,000	7/25/2023	
ZFBB 2021-001(HMT)	2	\$7,000	\$7,000	\$7,000	3/20/2023	
ZFCE 2009-001(HMT)	1	\$888	\$0	\$0	5/17/2023	Case Terminated
ZFCL 2010-001(HMT)	1	\$5,000	\$0	\$0	5/17/2023	Case Terminated
ZFCL 2010-002(HMT)	2	\$10,000	\$0	\$0	5/17/2023	Case Terminated
ZFCL 2014-001(HMT)	1	\$999	\$0	\$0	5/18/2023	Case Terminated
ZFFI 2013-001(HMT)	1	\$5,000	\$0	\$0	5/30/2023	Case Terminated
ZFFI 2022-001(HMT)	1	\$4,000	\$4,000	\$4,000	6/2/2023	
ZFGC 2022-001(HMT)	1	\$4,000	\$4,000	\$3,000	5/23/2023	
ZFGC 2022-002(HMT)	1	\$2,500	\$2,500	\$1,875	5/23/2023	
ZFIR 2007-001(HMT)	4	\$3,996	\$0	\$0	5/17/2023	Case Terminated
ZFIR 2009-001(HMT)	1	\$5,000	\$0	\$0	5/17/2023	Case Terminated
ZFIT 2022-001(HMT)	1	\$2,000	\$2,000	\$2,000	11/29/2022	
ZFKP 2020-001(HMT)	1	\$2,000	\$2,000	\$1,000	5/12/2023	
ZFLC 2009-001(HMT)	1	\$5,000	\$0	\$0	5/17/2023	Case Terminated
ZFLS 2023-001(HMT)	2	\$4,000	\$4,000	\$4,000	5/8/2023	
ZFLS 2023-002(HMT)	1	\$2,000	\$2,000	\$2,000	6/12/2023	
ZFMC 2006-001(HMT)	1	\$999	\$0	\$0	5/30/2023	Case Terminated
ZFMC 2007-002(HMT)	1	\$10,000	\$0	\$0	6/2/2023	Case Terminated
ZFMCI 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	3/22/2023	
ZFME 2005-002(HMT)	1	\$7,500	\$0	\$0	5/16/2023	Case Terminated
ZFPC 2021-001(HMT)	1	\$5,000	\$5,000	\$4,000	6/12/2023	
ZFPC 2022-001(HMT)	1	\$5,000	\$5,000	\$3,000	6/12/2023	
ZFPT 2015-001(HMT)	1	\$999	\$0	\$0	5/18/2023	Case Terminated



ZFRT 2016-001(HMT)	1	\$2,000	\$0	\$0	5/18/2023	Case Terminated
ZFSI 2023-001(HMT)	2	\$6,000	\$6,000	\$4,500	5/15/2023	
ZGAL 2017-001(HMT)	1	\$5,000	\$0	\$0	5/8/2023	Case Terminated
ZGAL 2017-002(HMT)	2	\$10,000	\$0	\$0	5/8/2023	Case Terminated
ZGBE 2016-001(HMT)	3	\$7,499	\$0	\$0	5/12/2023	Case Terminated
ZGCL 2022-001(HMT)	1	\$10,000	\$10,000	\$8,000	5/22/2023	
ZGDT 2021-001(HMT)	2	\$6,000	\$6,000	\$4,000	5/17/2023	
ZGFL 2022-001(HMT)	1	\$4,000	\$4,000	\$2,800	5/25/2023	
ZGLE 2022-001(HMT)	1	\$5,000	\$5,000	\$5,000	5/18/2023	
ZGPE 2023-001(HMT)	1	\$5,000	\$5,000	\$3,500	4/11/2023	
ZGPE 2023-002(HMT)	2	\$7,000	\$7,000	\$7,000	9/25/2023	
ZGPX 2019-001(HMT)	1	\$7,500	\$7,500	\$3,750	5/24/2023	
ZGRE 2021-001(HMT)	2	\$10,000	\$10,000	\$7,200	5/16/2023	
ZGRE 2021-002(HMT)	1	\$5,000	\$5,000	\$3,150	5/18/2023	
ZGRE 2022-001(HMT)	1	\$5,000	\$5,000	\$3,150	5/18/2023	
ZGRE 2022-002(HMT)	2	\$10,000	\$10,000	\$6,700	5/18/2023	
ZGRE 2022-003(HMT)	1	\$10,000	\$10,000	\$7,250	5/18/2023	
ZGRM 2021-001(HMT)	2	\$6,000	\$6,000	\$6,000	5/15/2023	
ZGRM 2022-001(HMT)	2	\$5,000	\$5,000	\$5,000	5/15/2023	
ZGRR 2022-001(HMT)	1	\$10,000	\$10,000	\$7,600	5/30/2023	
ZGRR 2022-002(HMT)	1	\$7,500	\$7,500	\$4,850	5/30/2023	
ZGRR 2022-003(HMT)	1	\$5,000	\$5,000	\$3,200	5/30/2023	
ZGRR 2023-001(HMT)	2	\$10,000	\$10,000	\$6,350	5/30/2023	
ZGTE 2022-001(HMT)	1	\$10,000	\$10,000	\$7,750	5/24/2023	
ZGXA 2022-001(HMT)	1	\$5,000	\$5,000	\$5,000	5/26/2023	
ZHAR 2021-001(HMT)	1	\$10,000	\$10,000	\$10,000	11/16/2022	
ZHAR 2021-002(HMT)	1	\$2,000	\$2,000	\$2,000	11/25/2022	
ZHAR 2021-003(HMT)	1	\$2,000	\$2,000	\$2,000	11/16/2022	

ZHAR 2023-001(HMT)	1	\$2,000	\$2,000	\$2,000	3/31/2023
ZHBR 2018-001(HMT)	1	\$3,500	\$3,500	\$1,750	4/3/2023
ZHCD 2019-001(HMT)	1	\$2,000	\$2,000	\$1,000	1/24/2023
ZHCG 2019-003(HMT)	1	\$10,000	\$10,000	\$10,000	10/20/2022
ZHCH 2020-001(HMT)	2	\$4,000	\$4,000	\$4,000	11/3/2022
ZHEI 2019-001(HMT)	1	\$5,000	\$5,000	\$2,500	11/3/2022
ZHEI 2020-001(HMT)	1	\$7,500	\$7,500	\$4,500	1/24/2023
ZHES 2020-001(HMT)	1	\$10,000	\$10,000	\$10,000	11/16/2022
ZHFO 2019-001(HMT)	1	\$10,000	\$10,000	\$6,000	10/5/2022
ZHFR 2018-003(HMT)	2	\$10,000	\$10,000	\$5,000	9/21/2023
ZHFR 2019-003(HMT)	2	\$10,000	\$10,000	\$6,000	9/21/2023
ZHFR 2019-004(HMT)	1	\$5,000	\$5,000	\$3,000	9/21/2023
ZHFR 2019-005(HMT)	1	\$10,000	\$10,000	\$7,500	9/21/2023
ZHFR 2020-001(HMT)	2	\$10,000	\$10,000	\$6,000	9/21/2023
ZHFR 2020-002(HMT)	2	\$10,000	\$10,000	\$6,000	9/21/2023
ZHFR 2020-003(HMT)	1	\$5,000	\$5,000	\$3,000	9/21/2023
ZHFR 2020-004(HMT)	1	\$5,000	\$5,000	\$3,000	9/21/2023
ZHFR 2020-005(HMT)	1	\$5,000	\$5,000	\$3,000	9/21/2023
ZHFR 2020-006(HMT)	1	\$5,000	\$5,000	\$3,000	9/21/2023
ZHFR 2020-007(HMT)	3	\$15,000	\$15,000	\$9,000	9/21/2023
ZHFR 2020-008(HMT)	2	\$10,000	\$10,000	\$6,000	9/21/2023
ZHFR 2020-009(HMT)	1	\$5,000	\$5,000	\$3,500	9/21/2023
ZHFR 2020-010(HMT)	1	\$5,000	\$5,000	\$3,000	9/21/2023
ZHFR 2021-001(HMT)	1	\$5,000	\$5,000	\$3,000	9/21/2023
ZHFR 2021-002(HMT)	2	\$5,000	\$5,000	\$3,000	9/21/2023
ZHFR 2021-003(HMT)	1	\$5,000	\$5,000	\$3,000	9/21/2023
ZHFR 2022-001(HMT)	1	\$10,000	\$10,000	\$7,500	9/21/2023
ZHFR 2022-002(HMT)	1	\$5,000	\$5,000	\$3,000	9/21/2023
ZHFR 2022-003(HMT)	1	\$5,000	\$5,000	\$5,000	11/3/2022
ZHGQ 2020-001(HMT)	1	\$5,000	\$5,000	\$5,000	1/19/2023
ZHGQ 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	11/16/2022

ZHHI 2021-001(HMT)	1	\$5,000	\$5,000	\$5,000	12/9/2022	
ZHIC 2019-001(HMT)	2	\$4,000	\$2,000	\$1,000	4/7/2023	
ZHJH 2022-001(HMT)	1	\$2,000	\$2,000	\$2,000	12/14/2022	
ZHKG 2018-001(FCS)	1	\$2,500	\$2,500	\$2,500	12/9/2022	
ZHKG 2019-001(FCS)	1	\$2,500	\$2,500	\$2,500	12/9/2022	
ZHKG 2019-002(FCS)	1	\$5,000	\$5,000	\$5,000	12/9/2022	
ZHKG 2019-003(SA)	1	\$2,500	\$2,500	\$2,500	12/9/2022	
ZHKG 2019-004(FCS)	1	\$5,000	\$5,000	\$5,000	12/9/2022	
ZHKG 2020-001(SA)	1	\$10,000	\$10,000	\$6,000	8/29/2023	
ZHKG 2021-001(SA)	1	\$2,500	\$2,500	\$1,500	8/29/2023	
ZHKG 2021-002(FCS)	1	\$2,500	\$2,500	\$1,500	8/29/2023	
ZHKG 2021-003(SA)	1	\$2,500	\$2,500	\$1,500	8/29/2023	
ZHKG 2021-004(SA)	1	\$2,500	\$2,500	\$1,500	8/29/2023	
ZHKG 2021-005(SA)	1	\$2,500	\$2,500	\$1,500	8/29/2023	
ZHKG 2021-006(SA)	1	\$2,500	\$2,500	\$1,500	8/29/2023	
ZHKG 2021-007(SA)	1	\$2,500	\$2,500	\$1,500	8/29/2023	
ZHKG 2021-008(SA)	1	\$2,500	\$2,500	\$1,500	8/29/2023	
ZHKG 2021-009(SA)	1	\$2,500	\$2,500	\$1,500	8/29/2023	
ZHKG 2021-010(SA)	1	\$2,500	\$2,500	\$1,500	8/29/2023	
ZHKG 2021-011(FCS)	1	\$2,500	\$2,500	\$1,500	8/29/2023	
ZHKG 2021-012(SA)	1	\$5,000	\$5,000	\$3,000	8/29/2023	
ZHKG 2021-013(FCS)	1	\$5,000	\$5,000	\$3,000	8/29/2023	
ZHKG 2021-014(FCS)	1	\$5,000	\$5,000	\$3,000	8/29/2023	
ZHKR 2019-001(HMT)	1	\$5,000	\$5,000	\$2,500	1/24/2023	
ZHLA 2019-001(HMT)	5	\$20,000	\$20,000	\$12,000	5/22/2023	
ZHLA 2021-001(HMT)	3	\$6,000	\$0	\$0	5/26/2023	Case Terminated
ZHLA 2021-002(HMT)	1	\$2,000	\$0	\$0	5/26/2023	Case Terminated
ZHLA 2021-003(HMT)	2	\$2,000	\$0	\$0	5/26/2023	Case Terminated
ZHLA 2022-001(HMT)	1	\$4,000	\$0	\$0	6/2/2023	Case Terminated

ZHLA 2022-002(HMT)	2	\$5,000	\$0	\$0	5/26/2023	Case Terminated
ZHLA 2022-003(HMT)	1	\$7,500	\$7,500	\$4,500	3/28/2023	
ZHLE 2020-001(HMT)	1	\$5,000	\$5,000	\$2,500	8/29/2023	
ZHLN 2021-001(HMT)	1	\$2,000	\$2,000	\$1,000	1/25/2023	
ZHLPG 2019-001(HMT)	1	\$5,000	\$5,000	\$2,500	11/29/2022	
ZHLR 2021-001(HMT)	5	\$15,000	\$15,000	\$15,000	2/2/2023	
ZHMI 2019-001(HMT)	1	\$3,000	\$3,000	\$1,500	1/25/2023	
ZHMI 2022-001(HMT)	1	\$7,500	\$7,500	\$4,500	1/25/2023	
ZHMS 2022-001(HMT)	1	\$5,000	\$5,000	\$5,000	2/2/2023	
ZHMSSO 2018-001(HMT)	2	\$6,000	\$6,000	\$3,000	1/19/2023	
ZHMT 2020-001(HMT)	1	\$10,000	\$10,000	\$10,000	4/3/2023	
ZHMT 2020-002(HMT)	1	\$10,000	\$10,000	\$10,000	4/3/2023	
ZHMT 2021-001(HMT)	1	\$2,500	\$2,500	\$2,500	1/11/2023	
ZHMZ 2018-001(HMT)	2	\$7,000	\$7,000	\$3,500	1/26/2023	
ZHNI 2019-001(HMT)	1	\$10,000	\$10,000	\$7,500	1/24/2023	
ZHNI 2020-001(HMT)	1	\$2,000	\$2,000	\$1,000	1/24/2023	
ZHNI 2021-001(HMT)	1	\$10,000	\$10,000	\$7,500	1/24/2023	
ZHNI 2023-001(HMT)	1	\$5,000	\$5,000	\$5,000	3/14/2023	
ZHNI 2023-002(HMT)	1	\$7,500	\$7,500	\$3,750	9/26/2023	
ZHOI 2018-001(HMT)	1	\$5,000	\$5,000	\$5,000	1/31/2023	
ZHOLI 2022-001(HMT)	1	\$2,500	\$2,500	\$2,500	3/27/2023	
ZHOS 2019-001(HMT)	1	\$3,000	\$2,000	\$1,000	4/2/2023	Terminated Violations: 1
ZHOS 2021-001(HMT)	1	\$4,000	\$4,000	\$2,000	4/2/2023	
ZHPE 2020-001(HMT)	1	\$5,000	\$5,000	\$2,500	1/24/2023	
ZHPR 2020-001(HMT)	1	\$10,000	\$10,000	\$10,000	8/25/2023	
ZHPR 2022-001(HMT)	1	\$5,000	\$5,000	\$5,000	12/22/2022	
ZHSA 2022-001(HMT)	1	\$5,000	\$5,000	\$5,000	11/16/2022	
ZHSL 2020-001(HMT)	1	\$10,000	\$10,000	\$7,000	11/7/2022	
ZHSL 2021-001(HMT)	1	\$5,000	\$5,000	\$2,500	11/7/2022	

ZHSL 2022-001(HMT)	3	\$15,000	\$15,000	\$9,000	1/27/2023	
ZHSU 2020-001(HMT)	1	\$5,000	\$5,000	\$2,500	9/11/2023	
ZHSU 2022-001(HMT)	1	\$5,000	\$5,000	\$2,500	9/11/2023	
ZHTP 2023-001(HMT)	2	\$6,000	\$6,000	\$6,000	4/5/2023	
ZHTP 2023-002(HMT)	1	\$2,000	\$2,000	\$2,000	8/10/2023	
ZHWK 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	12/9/2022	
ZHWK 2021-002(HMT)	1	\$2,000	\$2,000	\$2,000	12/14/2022	
ZHWK 2021-003(HMT)	2	\$4,000	\$4,000	\$4,000	12/14/2022	
ZHWK 2022-001(HMT)	1	\$2,000	\$2,000	\$2,000	12/14/2022	
ZHWK 2022-002(HMT)	1	\$2,000	\$2,000	\$2,000	12/14/2022	
ZHWK 2023-001(HMT)	2	\$4,000	\$4,000	\$4,000	3/17/2023	
ZHWK 2023-002(HMT)	1	\$2,000	\$2,000	\$2,000	3/21/2023	
ZHWR 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	11/16/2022	
ZHWR 2022-001(HMT)	2	\$4,000	\$4,000	\$4,000	11/16/2022	
ZHYC 2018-002(HMT)	1	\$4,000	\$4,000	\$4,000	12/6/2022	
ZHYC 2020-001(HMT)	1	\$2,000	\$2,000	\$2,000	12/6/2022	
ZHYC 2020-002(HMT)	1	\$5,000	\$5,000	\$5,000	12/6/2022	
ZHYC 2020-003(HMT)	2	\$4,000	\$4,000	\$4,000	12/6/2022	
ZHYC 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	12/6/2022	
ZHYC 2021-002(HMT)	1	\$10,000	\$10,000	\$10,000	12/6/2022	
ZHYC 2022-001(HMT)	2	\$4,000	\$4,000	\$4,000	12/6/2022	
ZICM 2022-001(HMT)	6	\$22,000	\$22,000	\$16,000	5/3/2023	
ZICP 2022-002(HMT)	1	\$2,000	\$2,000	\$2,000	2/1/2023	
ZICP 2022-003(HMT)	3	\$5,000	\$5,000	\$5,000	4/11/2023	
ZIDS 2022-001(HMT)	3	\$15,000	\$15,000	\$10,500	6/7/2023	
ZIES 2023-001(HMT)	1	\$5,000	\$5,000	\$3,500	5/25/2023	
ZIFF 2022-002(HMT)	1	\$7,500	\$7,500	\$5,000	4/6/2023	
ZIKO 2022-001(HMT)	1	\$4,000	\$4,000	\$4,000	3/31/2023	
ZIMA 2022-002(HMT)	1	\$2,500	\$2,000	\$1,500	1/9/2023	Terminated Violations: 1
ZIMTB 2021-002(HMT)	1	\$10,000	\$10,000	\$7,500	5/12/2023	

ZING 2022-001(HMT)	2	\$4,000	\$4,000	\$2,800	4/20/2023	
ZING 2022-002(HMT)	1	\$5,000	\$5,000	\$3,750	5/22/2023	
ZING 2023-001(HMT)	1	\$5,000	\$5,000	\$3,750	5/22/2023	
ZINS 2021-001(ROP)	1	\$7,500	\$7,500	\$5,250	2/23/2023	
ZINS 2022-001(ROP)	1	\$9,500	\$0	\$0	5/18/2023	Case Terminated
ZINTT 2022-004(HMT)	1	\$10,000	\$10,000	\$7,000	1/10/2023	
ZINTT 2022-005(HMT)	1	\$10,000	\$10,000	\$7,500	5/3/2023	
ZINTT 2022-006(HMT)	1	\$2,000	\$2,000	\$1,500	5/3/2023	
ZIP 2022-001(HMT)	1	\$2,000	\$2,000	\$1,400	4/20/2023	
ZIP 2022-002(HMT)	10	\$17,500	\$17,500	\$13,125	5/2/2023	
ZIP 2023-001(HMT)	2	\$8,000	\$8,000	\$6,000	5/1/2023	
ZIRO 2022-001(HMT)	1	\$2,000	\$2,000	\$1,400	5/8/2023	
ZIRO 2022-002(HMT)	1	\$2,000	\$2,000	\$1,400	5/8/2023	
ZIRO 2023-001(HMT)	1	\$2,000	\$2,000	\$1,500	6/29/2023	
ZISY 2022-002(HMT)	1	\$2,000	\$2,000	\$2,000	2/2/2023	
ZISY 2023-001(HMT)	1	\$15,000	\$15,000	\$15,000	5/2/2023	
ZITH 2022-001(HMT)	1	\$2,500	\$2,500	\$2,000	6/29/2023	
ZITT 2021-008(HMT)	1	\$5,000	\$5,000	\$3,500	3/1/2023	
ZITT 2022-001(HMT)	1	\$10,000	\$10,000	\$7,000	3/1/2023	
ZITT 2022-002(HMT)	2	\$10,000	\$10,000	\$7,000	3/1/2023	
ZITT 2022-003(HMT)	1	\$5,000	\$5,000	\$3,500	3/1/2023	
ZITT 2022-004(HMT)	1	\$10,000	\$10,000	\$7,000	3/7/2023	
ZITT 2022-005(HMT)	1	\$5,000	\$5,000	\$3,750	5/12/2023	
ZITT 2023-001(HMT)	1	\$5,000	\$5,000	\$3,750	5/12/2023	
ZITT 2023-002(HMT)	2	\$10,000	\$10,000	\$7,000	5/12/2023	
ZITT 2023-003(HMT)	1	\$5,000	\$5,000	\$3,750	5/11/2023	
ZITT 2023-004(HMT)	1	\$5,000	\$5,000	\$3,750	5/12/2023	
ZITT 2023-005(HMT)	1	\$5,000	\$5,000	\$3,750	5/12/2023	
ZIVE 2021-002(HMT)	1	\$2,000	\$2,000	\$2,000	2/1/2023	
ZIVE 2022-001(HMT)	1	\$5,000	\$5,000	\$5,000	2/6/2023	

ZIWI 2023-001(HMT)	3	\$15,000	\$15,000	\$15,000	8/1/2023
ZJCC 2021-001(HMT)	2	\$9,000	\$9,000	\$9,000	2/14/2023
ZKDM 2022-001(HMT)	2	\$4,000	\$4,000	\$2,800	1/11/2023
ZKFC 2022-002(HMT)	2	\$10,000	\$10,000	\$10,000	12/15/2022
ZKFC 2023-001(HMT)	1	\$5,000	\$5,000	\$5,000	5/15/2023
ZKMB 2022-002(HMT)	1	\$5,000	\$5,000	\$5,000	11/29/2022
ZKMQ 2022-001(HMT)	1	\$5,000	\$5,000	\$3,500	2/8/2023
ZKWS 2022-001(HMT)	1	\$4,000	\$4,000	\$4,000	9/8/2023
ZKWS 2022-003(HMT)	1	\$5,000	\$5,000	\$5,000	11/29/2022
ZKWS 2022-004(HMT)	1	\$5,000	\$5,000	\$5,000	1/18/2023
ZKWS 2023-001(HMT)	1	\$5,000	\$5,000	\$5,000	5/11/2023
ZKWS 2023-002(HMT)	1	\$4,000	\$4,000	\$4,000	9/8/2023
ZLAN 2023-001(HMT)	1	\$5,000	\$5,000	\$5,000	1/31/2023
ZLQT 2020-001(HMT)	4	\$10,000	\$10,000	\$5,000	2/1/2023
ZLSI 2020-001(HMT)	1	\$10,000	\$10,000	\$6,000	5/9/2023
ZLUB 2022-002(HMT)	1	\$10,000	\$10,000	\$10,000	2/24/2023
ZLUIN 2020-001(HMT)	1	\$5,000	\$5,000	\$2,800	12/14/2022
ZLUIN 2021-001(HMT)	1	\$2,500	\$2,500	\$1,650	12/14/2022
ZMAX 2022-001(HMT)	1	\$5,000	\$5,000	\$5,000	10/24/2022
ZMFQ 2023-001(HMT)	2	\$4,500	\$4,500	\$4,500	5/3/2023
ZMFQ 2023-002(HMT)	1	\$2,000	\$2,000	\$2,000	5/30/2023
ZMGD 2022-001(HMT)	3	\$6,000	\$6,000	\$4,320	2/6/2023
ZMGL 2023-001(HMT)	1	\$5,000	\$5,000	\$5,000	4/4/2023
ZMGL 2023-002(HMT)	1	\$5,000	\$5,000	\$5,000	4/4/2023
ZMHO 2022-001(HMT)	1	\$5,000	\$5,000	\$5,000	10/13/2022
ZMIE 2023-001(HMT)	1	\$5,000	\$5,000	\$3,000	4/3/2023
ZMIE 2023-002(HMT)	1	\$5,000	\$5,000	\$3,200	4/3/2023
ZMIO 2023-001(HMT)	1	\$5,000	\$5,000	\$5,000	5/10/2023
ZMLB 2022-001(HMT)	1	\$10,000	\$10,000	\$7,500	11/22/2022
ZMLB 2023-001(HMT)	1	\$5,000	\$5,000	\$3,750	5/25/2023

ZMMM 2023-001(HMT)	1	\$2,000	\$2,000	\$1,400	6/27/2023
ZMNP 2022-002(HMT)	2	\$4,000	\$4,000	\$2,920	1/11/2023
ZMNP 2022-003(HMT)	1	\$10,000	\$10,000	\$7,200	1/11/2023
ZMNP 2022-004(HMT)	1	\$10,000	\$10,000	\$7,200	1/11/2023
ZMNP 2022-008(HMT)	1	\$5,000	\$5,000	\$3,650	1/11/2023
ZMNT 2023-001(HMT)	1	\$10,000	\$10,000	\$7,500	5/30/2023
ZMNT 2023-002(HMT)	1	\$15,000	\$15,000	\$10,950	9/19/2023
ZMNZ 2020-002(HMT)	3	\$11,000	\$11,000	\$11,000	3/9/2023
ZMNZ 2020-003(HMT)	2	\$6,000	\$6,000	\$6,000	3/9/2023
ZMNZ 2021-001(HMT)	1	\$5,000	\$5,000	\$5,000	3/9/2023
ZMTT 2022-001(HMT)	1	\$5,000	\$5,000	\$3,500	2/3/2023
ZMUN 2022-001(HMT)	1	\$5,000	\$5,000	\$5,000	10/13/2022
ZMUN 2023-001(HMT)	1	\$10,000	\$10,000	\$10,000	3/20/2023
ZMUN 2023-002(HMT)	1	\$10,000	\$10,000	\$10,000	6/13/2023
ZMXC 2022-001(HMT)	1	\$15,000	\$15,000	\$12,000	3/8/2023
ZNAO 2022-001(HMT)	1	\$2,000	\$2,000	\$2,000	1/23/2023
ZNBU 2019-001(HMT)	1	\$2,500	\$2,500	\$2,500	3/24/2023
ZNCAS 2021-001(HMT)	5	\$10,000	\$10,000	\$10,000	8/30/2023
ZNCAS 2021-002(HMT)	2	\$10,000	\$10,000	\$10,000	8/30/2023
ZNDM 2021-001(HMT)	1	\$10,000	\$10,000	\$10,000	12/9/2022
ZNDM 2021-002(HMT)	1	\$2,000	\$2,000	\$2,000	12/9/2022
ZNGE 2022-001(HMT)	4	\$20,000	\$20,000	\$20,000	1/30/2023
ZNNB 2022-001(HMT)	1	\$10,000	\$10,000	\$7,000	11/17/2022
ZNOGC 2021-001(TS)	3	\$8,500	\$8,500	\$4,250	11/14/2022
ZNSL 2021-001(HMT)	1	\$5,000	\$5,000	\$2,500	2/2/2023
ZNTN 2021-003(HMT)	1	\$7,500	\$7,500	\$6,000	11/8/2022
ZNTN 2022-001(HMT)	2	\$15,000	\$7,500	\$3,750	11/8/2022
ZNTN 2022-002(HMT)	1	\$5,000	\$5,000	\$3,000	11/8/2022
ZNTN 2022-003(HMT)	15	\$75,000	\$75,000	\$45,000	11/8/2022



ZNTN 2022-004(HMT)	1	\$2,000	\$2,000	\$1,000	11/8/2022
ZNTN 2023-001(HMT)	1	\$5,000	\$5,000	\$3,000	8/29/2023
ZNYT 2019-001(HMT)	2	\$7,000	\$7,000	\$3,500	8/25/2023
ZNYT 2019-002(HMT)	2	\$4,000	\$4,000	\$2,000	8/25/2023
ZNYT 2019-003(HMT)	3	\$9,000	\$9,000	\$4,500	8/25/2023
ZNYT 2020-001(HMT)	1	\$2,000	\$2,000	\$1,000	8/25/2023
ZNYT 2021-001(HMT)	1	\$2,000	\$2,000	\$1,000	8/25/2023
ZOCC 2019-001(HMT)	2	\$10,000	\$10,000	\$6,900	10/12/2022
ZOCC 2019-002(HMT)	3	\$15,000	\$15,000	\$10,500	10/12/2022
ZOCC 2019-003(HMT)	1	\$5,000	\$5,000	\$3,600	10/12/2022
ZOCC 2021-001(HMT)	1	\$5,000	\$5,000	\$3,500	10/12/2022
ZOCC 2021-002(HMT)	1	\$5,000	\$5,000	\$3,590	10/12/2022
ZOCC 2021-003(HMT)	1	\$5,000	\$5,000	\$3,700	10/12/2022
ZOCC 2022-001(HMT)	1	\$10,000	\$10,000	\$8,200	10/12/2022
ZOCC 2022-002(HMT)	1	\$5,000	\$5,000	\$3,650	10/12/2022
ZOCC 2022-003(HMT)	1	\$5,000	\$5,000	\$3,700	11/8/2022
ZOCC 2022-004(HMT)	1	\$10,000	\$10,000	\$8,250	1/10/2023
ZOCC 2023-001(HMT)	1	\$5,000	\$5,000	\$3,600	3/8/2023
ZOCC 2023-002(HMT)	4	\$20,000	\$20,000	\$14,600	7/5/2023
ZOCC 2023-003(HMT)	1	\$10,000	\$10,000	\$8,100	7/5/2023
ZOCC 2023-004(HMT)	1	\$5,000	\$5,000	\$3,750	8/9/2023
ZOLI 2020-006(HMT)	5	\$37,500	\$37,500	\$37,500	11/16/2022
ZOLI 2022-003(HMT)	1	\$84,425	\$84,425	\$71,500	1/25/2023
ZOLI 2022-006(HMT)	1	\$5,000	\$5,000	\$5,000	12/22/2022
ZOLI 2022-007(HMT)	1	\$5,000	\$5,000	\$5,000	2/2/2023
ZOLI 2023-001(HMT)	1	\$7,500	\$7,500	\$7,500	4/10/2023
ZOLI 2023-002(HMT)	1	\$5,000	\$5,000	\$3,550	7/9/2023
ZOLI 2023-003(HMT)	1	\$5,000	\$5,000	\$3,750	7/9/2023
ZOMT 2018-001(HMT)	2	\$4,000	\$0	\$0	11/14/2022 Case Terminated
ZOTER 2019-001(HMT)	2	\$12,000	\$2,000	\$1,000	10/11/2022

ZOTER 2019-002(HMT)	1	\$5,000	\$5,000	\$2,800	10/11/2022	
ZOTER 2019-003(HMT)	1	\$5,000	\$2,000	\$1,100	10/11/2022	Terminated Violations: 1
ZOTER 2019-004(HMT)	2	\$15,000	\$10,000	\$7,700	10/11/2022	
ZOTER 2019-005(HMT)	1	\$5,000	\$5,000	\$2,750	10/11/2022	
ZOTER 2019-006(HMT)	1	\$5,000	\$5,000	\$2,800	10/11/2022	
ZOTER 2019-007(HMT)	1	\$5,000	\$5,000	\$2,800	10/11/2022	
ZOTER 2020-001(HMT)	1	\$5,000	\$5,000	\$2,900	10/12/2022	
ZOTER 2020-002(HMT)	4	\$20,000	\$20,000	\$14,000	10/12/2022	
ZOTER 2020-003(HMT)	2	\$15,000	\$15,000	\$11,500	10/12/2022	
ZOTER 2020-004(HMT)	1	\$5,000	\$5,000	\$3,200	10/12/2022	
ZOTER 2020-005(HMT)	1	\$10,000	\$10,000	\$7,900	10/12/2022	
ZOTER 2020-006(HMT)	1	\$2,000	\$2,000	\$1,300	10/12/2022	
ZOTER 2021-001(HMT)	2	\$4,500	\$4,500	\$3,000	10/12/2022	
ZOTER 2021-002(HMT)	1	\$7,500	\$7,500	\$5,250	10/12/2022	
ZOTER 2022-001(HMT)	1	\$10,000	\$10,000	\$7,900	7/10/2023	
ZOTER 2023-001(HMT)	2	\$10,000	\$10,000	\$6,500	7/10/2023	
ZOTER 2023-002(HMT)	1	\$2,000	\$2,000	\$1,450	7/10/2023	
ZOTER 2023-003(HMT)	1	\$10,000	\$10,000	\$8,100	7/10/2023	
ZOXV 2020-001(HMT)	1	\$2,000	\$2,000	\$1,360	10/12/2022	
ZOXV 2020-002(HMT)	1	\$5,000	\$5,000	\$3,550	10/12/2022	
ZOXV 2020-003(HMT)	1	\$5,000	\$5,000	\$3,500	10/12/2022	
ZOXV 2021-001(HMT)	1	\$2,000	\$2,000	\$1,400	10/12/2022	
ZOXV 2021-003(HMT)	1	\$5,000	\$5,000	\$3,600	10/12/2022	
ZOXV 2022-001(HMT)	1	\$5,000	\$5,000	\$3,500	10/12/2022	
ZPAE 2019-001(HMT)	1	\$5,000	\$5,000	\$3,200	8/7/2023	
ZPAE 2019-002(HMT)	2	\$4,000	\$4,000	\$3,120	8/7/2023	
ZPAE 2021-001(HMT)	1	\$2,000	\$2,000	\$1,000	8/7/2023	
ZPAE 2021-002(HMT)	1	\$5,000	\$5,000	\$3,900	8/7/2023	
ZPAP 2016-001(HMT)	2	\$7,000	\$0	\$0	3/23/2023	Case Terminated

ZPAR 2016-001(HMT)	2	\$6,000	\$0	\$0	3/24/2023	Case Terminated
ZPAU 2015-001(HMT)	1	\$5,000	\$0	\$0	3/11/2023	Case Terminated
ZPAU 2017-001(HMT)	1	\$2,000	\$0	\$0	3/11/2023	Case Terminated
ZPBA 2023-001(HMT)	2	\$10,000	\$10,000	\$7,200	5/2/2023	
ZPBA 2023-002(HMT)	2	\$10,000	\$10,000	\$7,500	5/2/2023	
ZPBE 2022-001(HMT)	1	\$5,000	\$5,000	\$3,600	10/13/2022	
ZPCSS 2018-003(HMT)	1	\$5,000	\$5,000	\$3,300	7/12/2023	
ZPCSS 2020-002(HMT)	2	\$2,000	\$2,000	\$1,600	7/12/2023	
ZPCSS 2021-001(HMT)	2	\$4,000	\$4,000	\$2,800	3/27/2023	
ZPCSS 2021-002(HMT)	1	\$1,000	\$1,000	\$850	7/12/2023	
ZPCSS 2022-001(HMT)	1	\$2,000	\$2,000	\$1,400	3/27/2023	
ZPCSS 2022-002(HMT)	1	\$2,000	\$2,000	\$1,475	3/27/2023	
ZPCSS 2022-003(HMT)	2	\$4,000	\$4,000	\$2,950	3/27/2023	
ZPCSS 2022-004(HMT)	1	\$5,000	\$5,000	\$3,750	3/27/2023	
ZPCSS 2023-001(HMT)	2	\$4,000	\$4,000	\$2,800	6/1/2023	
ZPCT 2018-001(HMT)	4	\$12,000	\$0	\$0	3/11/2023	Case Terminated
ZPDY 2015-001(HMT)	1	\$5,000	\$0	\$0	3/11/2023	Case Terminated
ZPEB 2017-001(HMT)	2	\$10,000	\$0	\$0	3/23/2023	Case Terminated
ZPEB 2019-001(HMT)	1	\$5,000	\$5,000	\$5,000	9/28/2023	
ZPEC 2016-002(HMT)	1	\$15,000	\$0	\$0	3/21/2023	Case Terminated
ZPEC 2016-003(HMT)	1	\$5,000	\$0	\$0	3/21/2023	Case Terminated
ZPEC 2017-001(HMT)	1	\$5,000	\$0	\$0	3/21/2023	Case Terminated
ZPEC 2017-002(HMT)	1	\$5,000	\$0	\$0	3/21/2023	Case Terminated
ZPEK 2016-001(HMT)	1	\$10,000	\$0	\$0	3/21/2023	Case Terminated
ZPGQ 2021-002(HMT)	2	\$4,000	\$4,000	\$4,000	3/3/2023	
ZPGQ 2022-001(HMT)	1	\$10,000	\$10,000	\$10,000	3/3/2023	

ZPGQ 2022-002(HMT)	1	\$10,000	\$10,000	\$10,000	3/3/2023	
ZPGQ 2022-003(HMT)	1	\$5,000	\$5,000	\$5,000	3/3/2023	
ZPGQ 2022-004(HMT)	1	\$5,000	\$5,000	\$5,000	3/3/2023	
ZPGQ 2022-005(HMT)	1	\$5,000	\$5,000	\$5,000	3/3/2023	
ZPGQ 2022-006(HMT)	1	\$2,000	\$2,000	\$2,000	3/3/2023	
ZPGQ 2022-007(HMT)	1	\$4,000	\$4,000	\$4,000	3/3/2023	
ZPGQ 2023-001(HMT)	1	\$10,000	\$10,000	\$10,000	3/3/2023	
ZPGQ 2023-002(HMT)	1	\$5,000	\$5,000	\$5,000	9/15/2023	
ZPGX 2022-001(HMT)	2	\$7,000	\$7,000	\$7,000	3/10/2023	
ZPHN 2015-005(HMT)	1	\$5,000	\$0	\$0	3/21/2023	Case Terminated
ZPHN 2015-006(HMT)	5	\$50,000	\$0	\$0	3/21/2023	Case Terminated
ZPHN 2015-007(HMT)	1	\$2,000	\$0	\$0	3/21/2023	Case Terminated
ZPHN 2016-001(HMT)	1	\$2,000	\$0	\$0	3/21/2023	Case Terminated
ZPHN 2016-002(HMT)	1	\$5,000	\$0	\$0	3/21/2023	Case Terminated
ZPHO 2021-001(HMT)	1	\$2,000	\$2,000	\$1,400	3/27/2023	
ZPHO 2021-002(HMT)	1	\$5,000	\$5,000	\$3,500	3/27/2023	
ZPIP 2018-001(HMT)	1	\$2,000	\$0	\$0	5/22/2023	Case Terminated
ZPIX 2022-001(HMT)	1	\$2,000	\$2,000	\$2,000	4/21/2023	
ZPKA 2022-001(HMT)	1	\$2,000	\$2,000	\$2,000	3/27/2023	
ZPKG 2016-007(HMT)	1	\$4,000	\$0	\$0	3/21/2023	Case Terminated
ZPKT 2020-001(HMT)	1	\$2,000	\$2,000	\$2,000	7/26/2023	
ZPKT 2020-002(HMT)	1	\$2,000	\$2,000	\$2,000	7/26/2023	
ZPKT 2022-001(HMT)	1	\$1,500	\$1,500	\$1,500	7/26/2023	
ZPLP 2016-001(HMT)	1	\$5,000	\$0	\$0	3/20/2023	Case Terminated
ZPLS 2020-002(HMT)	1	\$1,000	\$1,000	\$950	3/30/2023	
ZPLS 2020-003(HMT)	1	\$2,000	\$2,000	\$1,400	3/30/2023	
ZPLS 2021-001(HMT)	2	\$4,000	\$4,000	\$2,800	3/30/2023	

ZPLX 2018-001(HMT)	1	\$2,000	\$0	\$0	3/20/2023	Case Terminated
ZPMA 2020-001(HMT)	3	\$14,000	\$14,000	\$10,920	3/30/2023	
ZPMO 2023-001(HMT)	1	\$5,000	\$5,000	\$3,125	7/24/2023	
ZPMS 2021-001(HMT)	1	\$5,000	\$5,000	\$3,500	3/30/2023	
ZPMS 2021-002(HMT)	1	\$5,000	\$5,000	\$3,500	3/30/2023	
ZPMS 2021-003(HMT)	1	\$5,000	\$5,000	\$3,700	3/30/2023	
ZPMS 2023-001(HMT)	1	\$5,000	\$5,000	\$3,600	3/30/2023	
ZPNA 2017-001(HMT)	1	\$5,000	\$0	\$0	3/20/2023	Case Terminated
ZPNA 2021-001(HMT)	1	\$5,000	\$5,000	\$5,000	3/31/2023	
ZPNA 2022-001(HMT)	1	\$5,000	\$5,000	\$5,000	3/24/2023	
ZPNA 2022-002(HMT)	1	\$5,000	\$5,000	\$5,000	9/28/2023	
ZPNA 2022-003(HMT)	1	\$5,000	\$5,000	\$5,000	9/28/2023	
ZPNA 2022-004(HMT)	1	\$5,000	\$5,000	\$5,000	4/27/2023	
ZPNA 2022-005(HMT)	1	\$5,000	\$5,000	\$5,000	4/27/2023	
ZPNA 2022-006(HMT)	1	\$5,000	\$5,000	\$5,000	4/27/2023	
ZPNA 2022-007(HMT)	1	\$5,000	\$5,000	\$5,000	4/27/2023	
ZPNA 2023-001(HMT)	1	\$5,000	\$5,000	\$5,000	8/18/2023	
ZPNA 2023-002(HMT)	2	\$10,000	\$10,000	\$10,000	8/18/2023	
ZPNF 2018-001(HMT)	1	\$5,000	\$0	\$0	5/22/2023	Case Terminated
ZPOK 2021-001(HMT)	1	\$5,000	\$5,000	\$4,750	9/12/2023	
ZPOK 2023-001(HMT)	1	\$10,000	\$10,000	\$7,000	9/12/2023	
ZPOK 2023-002(HMT)	1	\$5,000	\$5,000	\$3,250	9/12/2023	
ZPOK 2023-003(HMT)	1	\$15,000	\$15,000	\$10,500	9/15/2023	
ZPOTS 2015-001(HMT)	1	\$2,000	\$0	\$0	3/20/2023	Case Terminated
ZPPG 2016-001(HMT)	1	\$4,000	\$0	\$0	3/20/2023	Case Terminated
ZPPG 2021-001(HMT)	2	\$11,500	\$11,500	\$11,500	5/10/2023	
ZPRN 2020-001(HMT)	1	\$2,000	\$2,000	\$1,350	4/13/2023	
ZPRN 2022-001(HMT)	2	\$8,000	\$8,000	\$5,560	4/13/2023	

ZPRN 2023-001(HMT)	1	\$10,000	\$10,000	\$8,300	4/13/2023	
ZPRS 2016-001(HMT)	2	\$5,000	\$0	\$0	3/20/2023	Case Terminated
ZPSC 2020-007(HMT)	1	\$5,000	\$5,000	\$3,100	3/29/2023	
ZPSC 2020-008(HMT)	2	\$10,000	\$10,000	\$6,000	3/29/2023	
ZPSC 2020-009(HMT)	3	\$7,000	\$7,000	\$4,400	3/29/2023	
ZPSC 2021-001(HMT)	1	\$5,000	\$5,000	\$5,000	3/24/2023	
ZPSC 2021-002(HMT)	1	\$5,000	\$5,000	\$5,000	3/24/2023	
ZPSC 2021-003(HMT)	3	\$15,000	\$15,000	\$15,000	3/24/2023	
ZPSC 2021-004(HMT)	1	\$2,000	\$2,000	\$2,000	3/24/2023	
ZPSC 2021-005(HMT)	1	\$5,000	\$5,000	\$5,000	3/24/2023	
ZPSC 2021-006(HMT)	1	\$5,000	\$5,000	\$5,000	3/24/2023	
ZPSC 2021-007(HMT)	3	\$15,000	\$15,000	\$15,000	3/24/2023	
ZPSC 2021-008(HMT)	1	\$2,000	\$2,000	\$2,000	3/24/2023	
ZPSC 2021-009(HMT)	1	\$10,000	\$10,000	\$10,000	3/24/2023	
ZPSC 2022-001(HMT)	1	\$5,000	\$5,000	\$4,000	3/30/2023	
ZPSC 2022-002(HMT)	1	\$5,000	\$5,000	\$3,500	3/30/2023	
ZPSC 2022-003(HMT)	1	\$5,000	\$5,000	\$3,300	3/30/2023	
ZPSC 2022-004(HMT)	1	\$5,000	\$5,000	\$4,100	3/30/2023	
ZPSC 2022-005(HMT)	1	\$5,000	\$5,000	\$3,500	3/30/2023	
ZPSC 2022-006(HMT)	1	\$5,000	\$5,000	\$4,200	3/30/2023	
ZPSC 2022-007(HMT)	1	\$10,000	\$10,000	\$4,300	3/30/2023	
ZPSC 2022-008(HMT)	1	\$5,000	\$5,000	\$3,600	3/30/2023	
ZPSC 2022-009(HMT)	2	\$5,000	\$5,000	\$3,300	3/30/2023	
ZPSC 2022-010(HMT)	1	\$5,000	\$5,000	\$3,300	3/30/2023	
ZPSC 2022-011(HMT)	1	\$5,000	\$5,000	\$3,600	3/30/2023	
ZPSC 2023-001(HMT)	1	\$10,000	\$10,000	\$8,700	3/30/2023	
ZPSC 2023-002(HMT)	3	\$15,000	\$15,000	\$9,900	3/30/2023	
ZPSC 2023-003(HMT)	1	\$2,000	\$2,000	\$1,440	3/30/2023	
ZPSC 2023-004(HMT)	1	\$10,000	\$10,000	\$10,000	8/23/2023	
ZPSV 2009-001(HMT)	1	\$5,000	\$0	\$0	3/20/2023	Case Terminated

ZPSX 2014-001(HMT)	1	\$5,000	\$0	\$0	3/23/2023	Case Terminated
ZPSX 2014-002(HMT)	1	\$5,000	\$0	\$0	3/23/2023	Case Terminated
ZPSX 2014-003(HMT)	1	\$10,000	\$0	\$0	3/23/2023	Case Terminated
ZPSX 2015-001(HMT)	12	\$60,000	\$0	\$0	3/24/2023	Case Terminated
ZPSX 2015-002(HMT)	1	\$5,000	\$0	\$0	3/23/2023	Case Terminated
ZPSX 2016-001(HMT)	1	\$2,000	\$0	\$0	3/23/2023	Case Terminated
ZPSX 2016-002(HMT)	1	\$10,000	\$0	\$0	3/23/2023	Case Terminated
ZPSX 2016-003(HMT)	1	\$10,000	\$0	\$0	3/23/2023	Case Terminated
ZPSX 2017-001(HMT)	1	\$5,000	\$0	\$0	3/24/2023	Case Terminated
ZPSX 2017-002(HMT)	1	\$10,000	\$0	\$0	3/24/2023	Case Terminated
ZPSX 2017-003(HMT)	1	\$10,000	\$0	\$0	3/24/2023	Case Terminated
ZPSX 2017-004(HMT)	1	\$5,000	\$0	\$0	3/24/2023	Case Terminated
ZPSX 2018-001(HMT)	1	\$5,000	\$0	\$0	3/24/2023	Case Terminated
ZPSX 2018-002(HMT)	1	\$5,000	\$0	\$0	5/29/2023	Case Terminated
ZPSX 2018-003(HMT)	1	\$5,000	\$0	\$0	5/22/2023	Case Terminated
ZPVC 2022-001(HMT)	1	\$5,000	\$5,000	\$3,200	4/4/2023	
ZPVC 2023-001(HMT)	1	\$5,000	\$5,000	\$3,500	6/1/2023	
ZPXR 2017-001(HMT)	1	\$5,000	\$0	\$0	3/20/2023	Case Terminated
ZPYT 2012-001(HMT)	1	\$888	\$0	\$0	3/19/2023	Case Terminated
ZPYT 2015-001(HMT)	1	\$999	\$0	\$0	3/20/2023	Case Terminated
ZQCO 2022-001(HMT)	1	\$4,000	\$4,000	\$4,000	5/24/2023	
ZRAY 2023-001(HMT)	1	\$10,000	\$5,000	\$3,750	7/12/2023	Terminated Violations: 1

ZREG 2021-003(HMT)	1	\$5,000	\$5,000	\$5,000	10/21/2022	
ZREG 2022-001(HMT)	1	\$2,000	\$2,000	\$2,000	10/21/2022	
ZRLC 2023-001(HMT)	1	\$5,000	\$5,000	\$5,000	5/3/2023	
ZSAC 2016-001(HMT)	1	\$5,000	\$0	\$0	5/20/2023	Case Terminated
ZSAC 2018-001(HMT)	1	\$10,000	\$0	\$0	5/20/2023	Case Terminated
ZSASN 2018-002(HMT)	1	\$10,000	\$0	\$0	5/20/2023	Case Terminated
ZSASN 2018-003(HMT)	1	\$5,000	\$0	\$0	5/24/2023	Case Terminated
ZSAT 2017-001(HMT)	1	\$2,500	\$0	\$0	5/20/2023	Case Terminated
ZSAT 2018-001(HMT)	4	\$18,000	\$0	\$0	5/20/2023	Case Terminated
ZSAV 2021-001(HMT)	2	\$4,000	\$4,000	\$2,750	4/27/2023	
ZSAV 2021-003(HMT)	1	\$2,000	\$2,000	\$1,300	4/27/2023	
ZSAV 2021-004(HMT)	2	\$8,000	\$8,000	\$6,000	4/27/2023	
ZSAV 2022-001(HMT)	2	\$4,000	\$4,000	\$2,600	4/27/2023	
ZSAV 2022-002(HMT)	2	\$10,000	\$10,000	\$7,000	4/27/2023	
ZSAV 2022-003(HMT)	1	\$2,000	\$2,000	\$1,300	4/27/2023	
ZSBN 2018-001(HMT)	2	\$8,000	\$0	\$0	5/21/2023	Case Terminated
ZSBS 2015-001(HMT)	1	\$10,000	\$0	\$0	5/21/2023	Case Terminated
ZSBS 2015-002(HMT)	2	\$10,000	\$0	\$0	5/21/2023	Case Terminated
ZSCC 2022-001(HMT)	2	\$10,000	\$10,000	\$10,000	2/21/2023	
ZSDI 2014-001(HMT)	1	\$2,000	\$0	\$0	5/21/2023	Case Terminated
ZSDI 2014-002(HMT)	3	\$15,000	\$0	\$0	5/21/2023	Case Terminated
ZSFI 2017-001(HMT)	2	\$10,000	\$0	\$0	5/21/2023	Case Terminated
ZSGC 2013-001(HMT)	1	\$5,000	\$0	\$0	5/21/2023	Case Terminated
ZSHL 2021-003(HMT)	1	\$10,000	\$10,000	\$10,000	8/21/2023	
ZSHL 2023-001(HMT)	1	\$5,000	\$5,000	\$5,000	8/21/2023	



ZSHL 2023-002(HMT)	1	\$10,000	\$10,000	\$10,000	8/21/2023	
ZSHL 2023-005(HMT)	1	\$5,000	\$5,000	\$5,000	8/21/2023	
ZSHR 2017-001(HMT)	1	\$5,000	\$0	\$0	5/21/2023	Case Terminated
ZSHV 2017-001(HMT)	8	\$41,500	\$0	\$0	5/21/2023	Case Terminated
ZSHV 2017-002(HMT)	1	\$10,000	\$0	\$0	5/21/2023	Case Terminated
ZSHZ 2023-001(HMT)	10	\$35,000	\$35,000	\$35,000	9/13/2023	
ZSI 2018-002(HMT)	1	\$2,000	\$2,000	\$2,000	5/1/2023	
ZSI 2023-001(HMT)	1	\$2,000	\$2,000	\$2,000	4/28/2023	
ZSLE 2012-001(HMT)	1	\$999	\$0	\$0	5/10/2023	Case Terminated
ZSMQ 2011-001(HMT)	1	\$999	\$0	\$0	5/10/2023	Case Terminated
ZSMZ 2021-001(HMT)	1	\$2,500	\$2,500	\$2,500	5/8/2023	
ZSMZ 2021-002(HMT)	1	\$5,000	\$5,000	\$5,000	5/2/2023	
ZSMZ 2022-001(HMT)	1	\$10,000	\$10,000	\$10,000	5/2/2023	
ZSMZ 2022-002(HMT)	1	\$7,500	\$7,500	\$7,500	5/2/2023	
ZSNA 2022-002(HMT)	1	\$7,500	\$7,500	\$5,000	2/11/2023	
ZSOC 2021-001(HMT)	5	\$10,000	\$10,000	\$10,000	10/27/2022	
ZSOC 2022-002(HMT)	3	\$6,000	\$6,000	\$6,000	10/27/2022	
ZSOS 2011-001(HMT)	5	\$25,000	\$0	\$0	5/10/2023	Case Terminated
ZSST 2014-005(HMT)	1	\$5,000	\$0	\$0	8/7/2023	Case Terminated
ZSST 2014-006(HMT)	1	\$5,000	\$0	\$0	8/7/2023	Case Terminated
ZSST 2015-001(HMT)	1	\$999	\$0	\$0	8/7/2023	Case Terminated
ZSST 2015-003(HMT)	4	\$20,000	\$0	\$0	8/14/2023	Case Terminated
ZSST 2015-004(HMT)	2	\$10,000	\$0	\$0	8/7/2023	Case Terminated
ZSST 2015-010(HMT)	2	\$10,000	\$0	\$0	8/7/2023	Case Terminated
ZSST 2015-011(HMT)	1	\$4,000	\$0	\$0	8/7/2023	Case Terminated

ZSST 2015-012(HMT)	1	\$5,000	\$0	\$0	8/7/2023	Case Terminated
ZSST 2015-013(HMT)	2	\$15,000	\$0	\$0	8/7/2023	Case Terminated
ZSTQ 2022-002(HMT)	1	\$10,000	\$10,000	\$10,000	6/6/2023	
ZSTQ 2022-003(HMT)	1	\$2,000	\$2,000	\$2,000	6/6/2023	
ZSTQ 2022-004(HMT)	2	\$7,000	\$7,000	\$7,000	6/6/2023	
ZSTQ 2022-005(HMT)	1	\$5,000	\$5,000	\$5,000	6/6/2023	
ZSTQ 2022-007(HMT)	1	\$5,000	\$5,000	\$5,000	11/1/2022	
ZSTQ 2023-002(HMT)	1	\$10,000	\$10,000	\$10,000	6/30/2023	
ZSTQ 2023-003(HMT)	1	\$5,000	\$5,000	\$5,000	7/5/2023	
ZSWR 2020-001(HMT)	1	\$5,000	\$5,000	\$3,500	8/28/2023	
ZSWR 2020-002(HMT)	1	\$10,000	\$10,000	\$7,500	8/28/2023	
ZSWR 2021-001(HMT)	1	\$10,000	\$10,000	\$7,500	8/28/2023	
ZSWR 2021-002(HMT)	1	\$2,500	\$2,500	\$1,625	8/28/2023	
ZSWR 2022-001(HMT)	1	\$10,000	\$10,000	\$7,500	8/28/2023	
ZSWR 2022-002(HMT)	1	\$5,000	\$5,000	\$3,500	8/28/2023	
ZSWR 2022-003(HMT)	1	\$5,000	\$5,000	\$3,600	8/28/2023	
ZSWR 2023-001(HMT)	1	\$10,000	\$10,000	\$7,500	8/28/2023	
ZSWR 2023-002(HMT)	1	\$5,000	\$5,000	\$3,400	8/28/2023	
ZSYM 2022-001(HMT)	2	\$4,500	\$4,500	\$4,500	5/18/2023	
ZTAU 2021-001(HMT)	1	\$5,000	\$5,000	\$5,000	5/3/2023	
ZTAU 2023-001(HMT)	1	\$5,000	\$5,000	\$5,000	5/3/2023	
ZTBY 2017-001(HMT)	1	\$5,000	\$0	\$0	4/21/2023	Case Terminated
ZTCAL 2023-001(HMT)	1	\$5,000	\$5,000	\$5,000	3/17/2023	
ZTCM 2017-001(HMT)	1	\$999	\$0	\$0	4/21/2023	Case Terminated
ZTCQ 2013-002(HMT)	2	\$2,000	\$0	\$0	5/25/2023	Case Terminated
ZTCQ 2016-001(HMT)	1	\$5,000	\$0	\$0	5/30/2023	Case Terminated
ZTCQ 2017-001(HMT)	1	\$5,000	\$0	\$0	5/25/2023	Case Terminated

ZTCQ 2020-001(HMT)	1	\$5,000	\$5,000	\$3,400	5/25/2023	
ZTCQ 2021-001(HMT)	1	\$2,000	\$2,000	\$1,200	5/25/2023	
ZTCQ 2021-002(HMT)	1	\$2,000	\$2,000	\$1,200	5/25/2023	
ZTCQ 2023-001(HMT)	1	\$2,000	\$2,000	\$1,200	5/25/2023	
ZTCQ 2023-002(HMT)	1	\$2,000	\$2,000	\$1,400	9/15/2023	
ZTGS 2017-002(HMT)	1	\$5,000	\$0	\$0	4/21/2023	Case Terminated
ZTGZ 2016-001(HMT)	1	\$999	\$0	\$0	4/21/2023	Case Terminated
ZTHS 2016-001(HMT)	1	\$999	\$0	\$0	4/21/2023	Case Terminated
ZTIN 2016-001(HMT)	3	\$6,998	\$0	\$0	4/21/2023	Case Terminated
ZTLA 2016-001(HMT)	3	\$15,000	\$0	\$0	4/21/2023	Case Terminated
ZTLA 2017-001(HMT)	2	\$10,000	\$0	\$0	4/21/2023	Case Terminated
ZTLA 2018-001(HMT)	1	\$7,500	\$0	\$0	4/21/2023	Case Terminated
ZTLA 2018-002(HMT)	1	\$7,500	\$7,500	\$6,000	4/21/2023	
ZTLA 2019-002(HMT)	1	\$5,000	\$5,000	\$3,750	4/21/2023	
ZTLA 2020-001(HMT)	2	\$6,000	\$6,000	\$3,600	4/21/2023	
ZTLA 2021-001(HMT)	2	\$11,500	\$11,500	\$8,000	4/21/2023	
ZTLA 2022-001(HMT)	1	\$4,000	\$0	\$0	4/21/2023	Case Terminated
ZTLA 2022-002(HMT)	1	\$4,000	\$4,000	\$3,000	4/21/2023	
ZTME 2022-001(HMT)	1	\$10,000	\$10,000	\$10,000	10/17/2022	
ZTMF 2015-001(HMT)	1	\$999	\$0	\$0	4/21/2023	Case Terminated
ZTPC 2021-001(HMT)	1	\$2,000	\$0	\$0	11/18/2022	Case Terminated
ZTPC 2022-001(HMT)	1	\$5,000	\$5,000	\$3,500	11/18/2022	
ZTRG 2022-001(HMT)	1	\$5,000	\$5,000	\$3,000	11/2/2022	
ZTRSP 2021-004(HMT)	1	\$4,000	\$4,000	\$4,000	12/23/2022	
ZTSR 2023-001(HMT)	1	\$2,000	\$2,000	\$2,000	3/30/2023	
ZTSS 2022-003(HMT)	1	\$5,000	\$5,000	\$3,500	12/13/2022	

ZUGR 2023-001(HMT)	1	\$5,000	\$5,000	\$3,650	4/10/2023
ZUNC 2022-001(HMT)	1	\$5,000	\$5,000	\$3,700	10/28/2022
ZUNIV 2022-003(HMT)	1	\$10,000	\$10,000	\$7,400	1/9/2023
ZUNIV 2022-004(HMT)	2	\$6,500	\$6,500	\$4,800	2/16/2023
ZUNIV 2023-001(HMT)	1	\$2,000	\$2,000	\$1,600	2/16/2023
ZUNIV 2023-002(HMT)	1	\$2,000	\$2,000	\$1,600	2/17/2023
ZUNIV 2023-003(HMT)	1	\$5,000	\$5,000	\$3,800	4/11/2023
ZUNIV 2023-004(HMT)	1	\$2,000	\$2,000	\$1,600	7/28/2023
ZUOP 2022-001(HMT)	1	\$2,000	\$2,000	\$1,400	3/2/2023
ZUPE 2023-001(HMT)	3	\$22,500	\$22,500	\$16,000	7/13/2023
ZURC 2023-001(HMT)	1	\$5,000	\$5,000	\$3,750	9/22/2023
ZUSA 2022-002(HMT)	1	\$5,000	\$5,000	\$5,000	3/6/2023
ZUSA 2022-003(HMT)	1	\$2,000	\$2,000	\$2,000	12/14/2022
ZUSN 2022-002(HMT)	1	\$10,000	\$10,000	\$7,500	10/28/2022
ZUSOR 2023-001(HMT)	1	\$2,000	\$2,000	\$2,000	3/17/2023
ZUTC 2023-001(HMT)	1	\$10,000	\$10,000	\$10,000	4/10/2023
ZVCP 2020-001(HMT)	1	\$5,000	\$5,000	\$3,350	7/18/2023
ZVCP 2020-002(HMT)	1	\$5,000	\$5,000	\$3,400	7/18/2023
ZVCP 2020-003(HMT)	1	\$5,000	\$5,000	\$3,100	7/19/2023
ZVCP 2021-002(HMT)	1	\$10,000	\$10,000	\$8,100	7/19/2023
ZVCP 2021-003(HMT)	1	\$5,000	\$5,000	\$3,500	7/19/2023
ZVCP 2021-004(HMT)	1	\$5,000	\$5,000	\$3,600	7/19/2023
ZVCP 2021-005(HMT)	2	\$10,000	\$10,000	\$6,500	7/12/2023
ZVCP 2021-006(HMT)	1	\$5,000	\$5,000	\$3,250	7/12/2023
ZVCP 2021-007(HMT)	1	\$10,000	\$10,000	\$8,100	7/18/2023
ZVCP 2022-001(HMT)	1	\$5,000	\$5,000	\$3,600	7/19/2023
ZVCP 2022-002(HMT)	1	\$5,000	\$5,000	\$3,500	7/18/2023
ZVCP 2022-003(HMT)	1	\$5,000	\$5,000	\$3,500	7/18/2023
ZVCP 2022-004(HMT)	2	\$10,000	\$10,000	\$7,200	7/18/2023
ZVCP 2022-005(HMT)	1	\$5,000	\$5,000	\$3,650	7/18/2023

ZVCP 2023-001(HMT)	1	\$5,000	\$5,000	\$3,700	7/19/2023
ZVCP 2023-002(HMT)	3	\$15,000	\$15,000	\$10,800	7/18/2023
ZVTZ 2021-001(HMT)	1	\$5,000	\$5,000	\$5,000	3/13/2023
ZVTZ 2022-001(HMT)	1	\$5,000	\$5,000	\$5,000	2/28/2023
ZWAP 2022-001(HMT)	1	\$5,000	\$5,000	\$3,500	3/22/2023
ZWCA 2023-001(HMT)	1	\$5,000	\$5,000	\$4,000	5/9/2023
ZWCA 2023-002(HMT)	1	\$5,000	\$5,000	\$4,250	5/3/2023
ZWLC 2023-001(HMT)	1	\$5,000	\$5,000	\$4,000	5/25/2023
ZWLC 2023-002(HMT)	1	\$5,000	\$5,000	\$4,000	8/10/2023
ZWLT 2023-001(HMT)	1	\$2,000	\$2,000	\$2,000	1/27/2023
ZWLY 2022-001(HMT)	1	\$10,000	\$10,000	\$5,000	5/15/2023
ZWMS 2022-001(HMT)	1	\$10,000	\$10,000	\$6,000	6/1/2023
ZWOC 2023-001(HMT)	3	\$10,000	\$10,000	\$8,000	4/6/2023
ZWRK 2023-001(HMT)	1	\$2,000	\$2,000	\$1,000	5/10/2023
ZWRK 2023-002(HMT)	1	\$2,000	\$2,000	\$1,000	8/31/2023
ZWTI 2023-001(HMT)	2	\$4,000	\$4,000	\$4,000	1/27/2023
ZWTN 2022-003(HMT)	1	\$5,000	\$5,000	\$4,000	9/18/2023
ZXSU 2023-001(HMT)	1	\$2,000	\$2,000	\$2,000	8/28/2023
ZYET 2022-002(HMT)	1	\$10,000	\$10,000	\$5,000	2/2/2023
ZYET 2022-003(HMT)	1	\$10,000	\$10,000	\$5,000	2/2/2023
ZZEE 2021-001(HMT)	1	\$5,000	\$5,000	\$5,000	1/27/2023
ZZEM 2023-001(HMT)	1	\$5,000	\$5,000	\$3,550	7/18/2023
ZZHC 2022-001(HMT)	1	\$10,000	\$10,000	\$6,000	1/19/2023
ZZWM 2022-002(HMT)	3	\$26,250	\$26,250	\$26,250	3/10/2023
ZZWM 2022-003(HMT)	2	\$7,500	\$7,500	\$7,500	3/10/2023

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**Total:**            6,046    \$22,627,058    \$20,610,308    \$15,630,602

<u>Codes</u>	<u>Respondent Names</u>
ACWR	Aberdeen, Carolina And Western Railroad
AGR	Alabama & Gulf Coast Railway LLC
AKMD	Arkansas Midland Railroad
ALE	Alabama Export Railroad
ALS	The Alton And Southern Railway Company
AM	Arkansas And Missouri Railroad Company
AR	Aberdeen And Rockfish Railroad Company
ARR	Alaska Railroad Corporation
ATK	National Railroad Passenger Corporation
ATN	Alabama & Tennessee River Railway Llc
AWRR	Austin Western Railroad
AZER	Arizona Eastern Railway
BAYL	Bay Line Railroad
BB	Buckingham Branch Railroad Company
BHRR	Birmingham Terminal Railway, LLC
BJRY	Burlington Junction Railway
BLF	Brightline
BLU	Blue Ridge Southern Railroad, LLC
BM	Boston And Maine Corporation
BNSF	BNSF Railway Company
BOCH	Border Chemical Company
BPRR	Buffalo & Pittsburgh Railroad, Inc.
BRC	The Belt Railway Company Of Chicago
BRG	Brownsville & Rio Grande International Rw
CAGY	Columbus & Greenville Railway
CATQ	Carry Transit
CBR	Coos Bay Rail Line
CERA	Central Railroad Company Of Indianapolis
CERR	Cicero Central Railroad
CFI	CF Industries Sales, LLC
CHR	Chestnut Ridge Railway Company
CLNA	Carolina Coastal Railway, Inc.
CN	Canadian National Railway Company
CP	Canadian Pacific Railway

CPR	Caterparrott Railnet, LLC
CRL	Chicago Rail Link
CRSM	Consolidated Rail Corporation
CSX	CSX Transportation Inc.
CTR	Clinton Terminal Railroad Company
CTRQ	Chemical Transportation Inc.
CWW	CWW, LLC
DMVW	Dakota Missouri Valley And Western Dakota
DN	Northern Railroad, Inc.
DR	Dardanelle & Russellville Railroad
ERSZ	E.R. Snell Contractor Inc.
EXCE	Excelex Corporation
FEC	Florida East Coast Railway
FGA	Florida Gulf & Atlantic Railroad LLC
FWWR	Fort Worth & Western Railroad
GBPZ	GREEN BAY PACKING, INC.
GC	Georgia Central Railway
GLCT	Global Container Terminals
GNRR	Georgia Northeastern Railroad Company,
GRAV	Llc Gravity Rail
GRW	Gary Railway Company
GRYR	Grenada Railroad LLC
GSM	Great Smokey Mountain Railway
GWR	Great Western Railway Of Colorado, LLC
HESR	Huron & Eastern Railway Company, Inc.
HMCR	Huntsville & Madison County Rr Authority
HOB	Henderson Overton Branch
HRRC	Housatonic Railroad Company, Inc.
IAIS	Iowa Interstate Railroad, LLC
IHB	Indiana Harbor Belt Railroad Company
INTD	INTERDOM INC.
IORY	Indiana & Ohio Railway Company
IR	Illinois Railway, LLC
ITHR	Ithaca Central Railroad
KCS	The Kansas City Southern Railway
KO	Company Kansas And Oklahoma Railroad, LLC

KRR	Kiamichi Railroad Co., LLC.
KYLE	KYLE Railroad Co.
LAJ	Los Angeles Junction Railway Company
LECQ	Lehigh Cement
LRA	Louisville Riverport Authority Railroad
LSRC	Lake State Railway Company
MACZ	Maryland Transit Administration
MBTA	Massachusetts Bay Transportation Authority
MCRL	Massachusetts Coastal Railroad LLC
MEC	Maine Central Railroad Company
MER	Missouri Eastern Railroad, LLC
MNA	Missouri & Northern Arkansas Railroad Co., Inc.
MNBR	Meridian And Bigbee Railroad, LLC
MNCW	Metro-North Commuter Railroad Company
MNJ	Middletown & New Jersey Railroad, Llc.
MNN	Minnesota Northern Railway
MOR	Mor, Llc.
MRL	Montana Rail Link
MRTV	Metro Regional Transit Authority
MSRR	Mississippi Southern Railroad
NERR	Nashville & Eastern Railroad
NHN	New Hampshire North Coast Railroad
NICD	Northern Indiana Commuter Transportation District
NJTR	New Jersey Transit Rail Operations
NLA	North Louisiana & Arkansas Railroad
NLR	Northern Lines Railway, Llc
NOPB	New Orleans Public Belt Railroad Commission for the Port of New Orleans
NPB	Norfolk & Portsmouth Belt Line Railroad Company
NTRY	Republic N&T Railroad, Inc.
NTZR	Natchez Railway, Llc
NVRR	Napa Valley Railroad
NYNJ	New York New Jersey Rail LLC
NYSW	The New York Susquehanna And Western Railway Corp.
OCTL	Oil Creek & Titusville Lines, Inc.
OERR	Oregon Eastern Railroad
OPR	Oregon Pacific Railroad



OTVR	Otter Tail Valley Railroad Co., Inc.
OUCH	Ouachita Railroad Company
PANQ	Port Authority Of New York And New Jersey
PAS	Pan Am Southern Llc.
PATH	Port Authority Trans-Hudson Corporation
PBVR	Port Bienville Railroad
PDRR	Pee Dee River Railroad
PHL	Pacific Harbor Line
PMSW	Plainsman Switching Company
PNR	Panhandle Northern
PNRW	Piedmont & Northern Railway
PNWR	Portland And Western Railroad Inc.
POCA	Port Of Catoosa Terminal Rr
PRGS	Progress Rail Service
PSFR	Port Of San Francisco
PT	Peninsula Terminal Company
PTRA	Port Terminal Railroad Association
PW	Providence And Worcester Rr Company
QCRJ	Queen City Railroad Construction
RASX	Railservice
RCPE	Rapid City, Pierre & Eastern Railroad, Inc.
RSR	Rochester And Southern Railroad, Inc.
SAV	Sacramento Valley Railroad
SB	South Buffalo Railway Company
SCAX	Southern California Regional Rail Authority
SCR	Central Puget Sound Regional Transit Authority
SCXF	South Central Florida Express, Inc.
SCXY	St. Croix Valley Railroad
SDTI	San Diego Metropolitan Transit System
SENE	Seneca Petroleum
SEPA	Southeastern Pennsylvania Transportation Authority
SERA	Sierra Northern Railway Company
SFS	Santa Fe Southern Railway, Inc.
SGLR	Seminole Gulf Railway LP
SJVR	San Joaquin Valley Railroad Co.
SLGG	Sidney And Lowe Railroad, Llc
SLGW	Salt Lake, Garfield & Western Railway Company

SLR	St. Lawrence & Atlantic Railroad Company
SLRS	Sms Rail Service Inc.
SLWC	Stillwater Central Railroad Company, LLC
SM	St. Mary's Railroad Company
SMRR	Sisseton Milbank Railroad
SMV	Santa Maria Valley Railroad Company
SNPR	Sierra Nevada & Pacific Railroad
SNY	SMS Rail Lines
SOU	Norfolk Southern Railway Company
ST	Springfield Terminal Railway Company
SW	Southwestern Railroad, Inc.
TKEN	Tennken Railroad Company Incorporated
TPW	Toledo, Peoria And Western Railway Corp.
TRIC	Tahoe Reno Industrial Center
TSRR	Tennessee Southern Railroad Company, LLC
TTXJ	TTX Company
TXN	Texas New Mexico Railway, LLC
UCRY	Utah Central Railway Company
UP	Union Pacific Railroad Company
ALS	The Alton And Southern Railway Company
UP	Union Pacific Railroad Company
USAR	USA Rail Terminals
UTAH	UTAH Railway Company
VCY	Ventura County Railroad Company
WINV	Wisconsin Northern Railroad
WIR	Washington and Idaho Railway, Inc.
WRRC	Western Railroad Company
WTRY	Wilmington Terminal Railroad Inc.
WURR	Wallowa Union Railroad Authority
WW	Winchester and Western Railroad Company
XABR	Alabama River Cellulose LLC
XALO	Alto Pekin, LLC
XAOI	Alto ICP, LLC
XCAI	Cargill, Inc.
XCDB	Cedar Beetle Inc
XCEG	Continental Rails & Excavating
XCHW	Clean Harbors Wichita, LLC

XCLS	Cemex
XCOZ	Corteva Agriscience
XDER	DOUBLE E RAILROAD CONTRACTING INC
XFEF	Fedex Freight, Inc.
XFMC	Freeport-Mcmoran Inc.
XFOC	FORCE CORPORATION
XFTT	Fort Transfer
XGUR	Grafton Upton Railcare
XHBF	H. B. Fuller Co.
XHFN	HF SINCLAIR NAVAJO REFINING, LLC
XHIT	Hardy Industrial Technologies
XHJV	HWR , A JOINT VENTURE
XHTS	Herzog Transit Services, Inc.
XHWE	Howard Energy
XJMR	Jay - Mar, Inc.
XKHM	Koch Methanol, LLC
XMAG	Matheson Gas Company
XMKW	Markwest Hydrocarbon, L.L.C.
XMLN	MILLENNIUM RAIL SERVICES
XMMS	M&M Sales & Services
XMPM	Momentive Performance Materials, Inc.
XMQG	Macquarie Group
XMSR	Midsouth Railroad Service Co.
XOBE	Ocean Blue Express, Inc.
XORL	One Rail Group Llc
XPCQ	Pharmacia Corporation
XPEC	Petro-Chem Processing, Inc.
XPHR	Phillips 66 Refinery
XSAT	Spartan Chemical Company, Inc.
XSFL	Superior Carriers, Inc.
XSNA	Sazerac North America
XSNJ	Southern New Jersey Light Rail Group, Llc
XSNP	Enviroserve
XSSX	Savage Services
XSTC	Schiber Trucking Co.
XSVC	Servco Chemical
XTCH	Technical Chemical Company

XTKT	Trak Time
XTRN	Trinity Rail
XUTR	US Trackworks, LLC
XWTB	W.T. Byler Company
XWTS	Watco Transportation Services
XWWC	Wintrow Construction Corporation
XXHS	HSR CONSTRUCTORS
XXWE	Wesco
XYRC	YRC Freight
YCR	YCR Corp.
ZABO	Agribiofuels, Llc
ZACE	Albemarle Corporation
ZACR	Adm Corn Processing
ZAEN	Altex Energy, Ltd.
ZAER	Aeropres Corporation
ZALN	Alon, USA, Lp
ZALQ	Airgas, An Air Liquide Company
ZALTI	Altivia Petrochemicals, Llc
ZAND	The Andersons, Inc.
ZANX	Allnex
ZAPM	Ascend Performance Materials Llc
ZARK	Arkema, Inc.
ZAUL	Allied Universal Corporation
ZAVI	Advorio Galveston County, LLC
ZAVX	Advansix
zazr	American Zinc Recycling Corp.
ZBAR	Barton Solvents, Inc.
ZBAS	BASF Corporation
ZBKA	Braskem America, Inc.
ZBMI	Bushmills Ethanol
ZBMQ	Bitumar Inc.
ZBMR	Benchmark River & Rail Terminals
ZBMS	Brenntag Mid-South, Inc.
ZBPH	Blicks Phosphate Conversions LLC
ZBPN	BP Products North America, Inc.
ZBRQ	Big River Resources
ZBRY	Berryman Chemical, Inc.

ZBWG	Blue Wing Midstream
ZCAO	Cando Rail Services Ltd.
ZCELA	Celanese
ZCEW	Canadian Rail Equipment Works and Services Inc.
ZCFC	Chemours Co. Fc, LLC
ZCFER	Chicago, Ft. Wayne & Eastern Railroad
ZCHEV	Chevron Products Company
ZCHF	Chemical South Transport
ZCIK	Central Ink Corporation
ZCKZ	Zeon Chemicals LP
ZCLQ	Corn LP
ZCLX	Chemtrade Logistics Inc.
ZCLY	Crystal Valley Co-Op
ZCME	Calumet Montana Refining, LLC
ZCMP	Chemical Products Corporation
ZCNC	Cherokee Nitrogen
ZCNL	Canal Terminal Company
ZCNO	BWC Terminals LLC
ZCONL	Continental Carbon Company
ZCOV	Covestro LLC
ZCPN	Cooper Naturals Resources
ZCPR	Citgo Petroleum Corp.
ZCRQ	CR Construction Company
ZCRZ	Cornerstone Chemical Company
ZCSK	Carbonfree Chemicals
ZCT	Colonial Terminals
ZCTC	Chemserve Terminal Co.
ZCUT	Calumet Refining, LLC
ZCYL	Cymetech, LLC
ZCYR	CHEYENNE RENEWABLE DIESEL COMPANY LLC
ZDCM	Dover Chemical Corp.
ZDEA	Deacero, S.A.P.I. de C.V.
ZDET	Didion Ethanol
ZDGT	Dakota Gold Transfer
ZDNA	Diageo Americas Supply, Inc.
ZDPM	DCP
ZDUS	Delek US

ZDYI	Dyno Nobel, Inc.
ZEACH	Eastman Chemical Company
ZEAO	Evonik Active Oxygens LLC
ZEBZ	Exxon Mobil Billings Refinery
ZEDC	El Dorado Chemical Company
ZEMCC	Exxonmobil Corporation
ZEMER	Emerald Services, Inc.
ZENE	Energy Transport, Llc.
ZEOA	Elite Octane, Llc
ZEOB	Ecolab, Inc.
ZEQU	Equistar Chemicals Lp
ZETP	Energy Transfer Partners
ZEYC	Eddyville Chlor-Alkali
ZFBB	Firebird Bulk Carriers, Inc.
ZFCE	Fcc Environmental
ZFCL	Federated Cooperatives, Ltd.
ZFFI	Future Foam, Inc.
ZFGC	Ferrell Gas, Inc.
ZFIR	Frontier Oil Corporation
ZFIT	Fortron Industries
ZFKP	Foremark Performance Chemical
ZFLC	Flochem Ltd.
ZFLS	Frontier Logistical Services
ZFMC	Tronox Alkali Wyoming Corporation
ZFMCI	FMC Chemical
ZFME	Formula Science Corporation
ZFPC	Formosa Plastics Co.
ZFPT	Florida Public Utilities
ZFRT	Fr Terminales
ZFSI	FSTI Chemical
ZGAL	Green America Recycling, Llc
ZGBE	Global Express, Inc.
ZGCL	Geocycle Llc
ZGDT	Groendyke Transport, Inc.
ZGFL	Gavilon Fertilizer, Llc.
ZGLE	Glacial Lakes Energy, Llc
ZGPE	Green Plains Logistics

ZGPX	Georgia-Pacific Foley Cellulose Llc
ZGRE	Granite Falls Energy
ZGRM	Grammar Industries
ZGRR	Giant Resource Recovery Co., Inc.
ZGTE	Golden Triangle Energy
ZGXA	Gardner Asphalt Corporation
ZHAR	Harcros Chemicals Inc.
ZHBR	Harbor Freight Transport Corp.
ZHCD	Hoc Industries, Inc.
ZHCG	Huntsman Corporation
ZHCH	Helena Agri-Enterprises LLC
ZHEI	Hexion Inc.
ZHES	Heritage Environmental Services, Inc.
ZHFO	Houston Fuel Oil Terminal Co.
ZHFR	Hollyfrontier Refining & Marketing LLC
ZHGQ	Hub Group, Inc.
ZHHI	Heaven Hill Inc.
ZHIC	Hyundai Intermodal, Inc.
ZHJH	H.J. Heinz Company
ZHKG	Birdsboro Materials/Haines & Kibblehouse Inc
ZHKR	Hankinson Renewable Energy
ZHLA	Hapag - Lloyd America, Inc.
ZHLE	Homeland Energy Solutions, Llc
ZHLN	Helena Industries
ZHLPG	Hilgy's LP Gas
ZHLR	Husky Lima Refinery
ZHMI	H & M International Transportation
ZHMS	Husky Marketing And Supply Co.
ZHMSO	Harms Oil Company
ZHMT	Harmattan Gas Processing Lp
ZHMZ	Henry G. Meigs Asphalt Co.
ZHNI	Honeywell International, Inc.
ZHOI	Husky Oil Operations
ZHOLI	Holcim
ZHOS	Homax Oil Sales Inc
ZHPE	Indorama Ventures
ZHPR	Huntsman Performance Products

ZHSA	Hasa Chemical Corporation
ZHSL	Hunt Southland Refining Company
ZHSU	Heartland Sulphur LP
ZHTP	HTP ENERGY
ZHWK	Hawkins, Inc.
ZHWR	Highline Warren
ZHYC	Hydrite Chemical Co.
ZICM	Industrial Chemicals Inc.
ZICP	Ineos Composites US LLC
ZIDS	Industrial Service Oil Company, Inc.
ZIES	Ineos ABS USA, LLC
ZIFF	International Flavors & Fragrances
ZIKO	Iko Southeast
ZIMA	Interplastic Corporation
ZIMTB	IMTT Bayonne
ZING	Ingevity Corporation
ZINS	ITS Technologies & Logistics, Llc
ZINTT	International Matex Tank Terminals
ZIP	International Paper Company
ZIRO	Irving Oil Company
ZISY	Ineos Styrolution America LLC
ZITH	Interstate Chemical Inc.
ZITT	Intercontinental Terminals Company
ZIVE	Indorama Ventures
ZIWI	International Waxes, Inc.
ZJCC	Jci Jones Chemicals, Inc.
ZKDM	Kinder Morgan Energy Partners, L.P.
ZKFC	Koch Fertilizer
ZKMB	Kinder Morgan Bulk Terminals, Inc.
ZKMQ	Kinder Morgan
ZKWS	Kemira Water Solutions
ZLAN	Lanxess Inc.
ZLQT	Liquids Transloading
ZLSI	Locomotive Service, Inc.
ZLUB	Lubrizol Corporation
ZLUIN	Mitsubishi Chemical America, Inc.
ZMAX	Methanex Methanol Company



ZMFQ	Mosaic Fertilizer Llc
ZMGD	Mgpi Of Indiana, Llc
ZMGL	Magellan Pipeline Company, L.P.
ZMHO	Monument Chemical Houston, Ltd.
ZMIE	Poet Biorefining-Laddonia
ZMIO	Imperial Oil Limited
ZMLB	MPLX, G&P Law
ZMMM	3-M Minnesota Mining & Mfg. Co.
ZMNP	Marathon Petroleum Company
ZMNT	Martin Operating Partnership Lp
ZMNZ	Meser North America, Inc.
ZMTT	Midwest Terminals Of Toledo International, Inc.
ZMUN	The Mundy Company
ZMXC	Mexicana De Cobre Sa De Cv Rr/Co
ZNAO	Nalco Champion
ZNBU	Nantong Baichuan New Materials Co.
ZNCAS	Nachurs-Alpine Solutions
ZNDM	Domtar Paper Company LLC
ZNGE	Nugen Energy Llc
ZNNB	Nutrition & Biosciences, LLC
ZNOGC	New Orleans Gulf Coast Railroad
ZNSL	Ngl Supply Company, Ltd.
ZNTN	Nutrien
ZNYT	New York Terminals
ZOCC	Occidental Chemical Corporation
ZOLI	Olin Corporation
ZOMT	Omaha Transloading Corporation
ZOTER	Odfjell Terminals
ZOXV	Oxyvinyls, Lp
ZPAE	Alto Ingredients dba Pacific Ethanol, Inc.
ZPAP	Paramount Petroleum Corporation
ZPAR	Parsec, Incorporated
ZPAU	Paulsboro Refining Company
ZPBA	Poet Biorefining-Alexandria
ZPBE	Poet Biorefining-Corning
ZPCSS	PCS Sales (USA), Inc.
ZPCT	Port Newark Container Terminal Llc

ZPDY	Polydyne, Inc.
ZPEB	Pembina Resources Services Canada
ZPEC	Peroxychem
ZPEK	Pacer Energy Marketing, Llc
ZPGQ	Georgia Pacific Corp.
ZPGX	Spec Gx
ZPHN	Philadelphia Energy Solutions
ZPHO	PCS Phosphate Company, Inc.
ZPIP	Promotora Inmobiliaria Para
ZPIX	Pixelle Specialty Solutions Llc
ZPKA	Peak Asphalt LLC
ZPKG	Packaging Corporation Of America
ZPKT	Pak Technologies, Inc
ZPLP	Parallel Products
ZPLS	Plains Lpg Services Lp
ZPLX	Polyplex, Llc
ZPMA	Plains Marketing Company
ZPMO	Poet Biorefining-Menlo
ZPMS	Plains Midstream Canada, LLC
ZPNA	Pembina Pipeline Corp.
ZPNF	Pcs Nitrogen Fertilizer
ZPOK	Poet Biorefining LLC. Shell Rock
ZPOTS	Potash Corporation
ZPPG	Pittsburgh Plate Glass Co.
ZPRN	Prayon, Incorporated
ZPRS	Pacific Rail Services
ZPSC	Petroleum Service Corporation
ZPSV	Pride Solvents & Chemical Co.
ZPSX	Phillips 66 Company
ZPVC	PVS Chemical Solutions Inc
ZPXR	Praxair Canada, Inc.
ZPYT	Puryear Tank Lines
ZQCO	Quad County Corn Processors
ZRAY	Rayonier Advanced Materials, Inc.
ZREG	Renewable Energy Group
ZRLC	Greenwood Motor Line
ZSAC	South Atlantic Services, Inc.

ZSASN	Sasol Chemicals North America
ZSAT	Span Alaska Transportation Llc
ZSAV	Savage Industries
ZSBN	Sabin Metal West Corporation
ZSBS	Seattle Bulk Shipping, Inc.
ZSCC	Shell Chemical Lp
ZSDI	Steel Dynamics Incorporated
ZSFI	Solvay Fluorides, Inc.
ZSGC	Superior Graphite Co.
ZSHL	Shell Canada Products
ZSHR	South Hampton Refining Co.
ZSHV	S&S Heavy Haul
ZSHZ	SHELL CHEMICAL APPALACHIA LLC
ZSI	Southern Ionics, Inc.
ZSLE	Siouxland Ethanol
ZSMQ	Specchem Llc
ZSMZ	Saia Motor Freight Line LLC
ZSNA	Schneider National Carriers, Inc.
ZSOC	Shell Oil Company
ZSOS	Silverman Oilfield Services
ZSST	Strobel Starostka Transfer
ZSTQ	Stepan Company
ZSWR	Holly Frontier/HF Sinclair
ZSYM	Symrise
ZTAU	Tauber Oil Co.
ZTBY	Terrace Bay Pulp, Inc.
ZTCAL	TriCal, Inc.
ZTCM	Tetra Chemical, Inc.
ZTCQ	Third Coast Terminals
ZTGS	Targa Sound Terminal Llc
ZTGZ	Turner Gas
ZTHS	Thermo Fisher Scientific Inc.
ZTIN	Tanco Term Port Of Indiana
ZTLA	Associated Asphalt
ZTME	Tidewater Midstream & Infrastructure
ZTMF	Trinity Manufacturing, Inc.
ZTPC	TPC Group

ZTRG	Toledo Refining Company LLC
ZTRSP	Tropical Shipping USA, LLC
ZTSR	Tristar
ZTSS	Tessengerlo Kerley, Inc.
ZUGR	USD Group LLC
ZUNC	Union Carbide Corporation
ZUNIV	Univar Solutions Inc.
ZUOP	UOP LLC
ZUPE	United Pacific Energy
ZURC	United Refining Company
ZUSA	Airgas USA
ZUSN	US Nitrogen
ZUSOR	U.S. Oil And Refining Company
ZUTC	Union Tank Car Company
ZVCP	Vantage Corn Processors LLC
ZVTZ	Vopak Terminal Deer Park
ZWAP	Ward Ag Products
ZWCA	Westlake Vinyls, Inc.
ZWLC	Westlake Corporation
ZWLT	Wolf Lake Terminals, Inc.
ZWLY	Wiley Companies
ZWMS	Williams Midstream
ZWOC	Whitaker Oil Company
ZWRK	WestRock Mill Company
ZWTI	Wascan Terminals Inc.
ZWTN	Watco Transloading, LLC
ZXSU	SHPP US LLC
ZYET	Yuma Ethanol, LLC
ZZEE	Elemental Environmental Solutions
ZZEM	Exxon Mobil Corporation
ZZHC	Hub City Energy LLC
ZZWM	Waste Management