

**Federal
Railroad
Administration**

**Fiscal Year 2024
Enforcement Report**

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Appendix A

“Railroad Safety Civil Penalty Cases Closed during Fiscal Year 2024”

Federal Railroad Administration Fiscal Year 2024 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.¹ As authorized by law, FRA issues orders assessing civil penalties for violations of the hazmat statutes, regulations, and orders.² Also, as authorized by law, FRA negotiates settlements with railroads and other entities subject to its safety jurisdiction to resolve claims for civil penalties imposed for failures to comply with specific requirements that promote and ensure the safety of the Nation's freight and passenger railroad operations.³ The Enforcement Report conforms with content requirements set forth most recently in the Rail Safety Improvement Act of 2008.⁴ FRA endeavors 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 FY 2024 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 and conductor certification cases brought before FRA.
- A list of civil penalty cases FRA closed (at Appendix A to this report).

¹ 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 209-246, 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.

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

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

⁴ This is consistent with Sections 303 and 307 of the Rail Safety Improvement Act of 2008 (RSIA), Pub. L. 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, ENFORCEMENT PROGRAMS, AND POLICIES – 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.⁵ For example, the recommendation of a civil penalty is one direct way in which FRA inspectors communicate to regulated entities the seriousness of a violation. 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 that they determine 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,

⁵ 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>.

from the identification of serious safety concerns to the resolution of civil penalty assessment through settlement.⁶

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 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.⁷ 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 2024, FRA served notices of proposed disqualification or suspension from safety-sensitive functions in the rail industry on three 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 \$19,600. 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, a penalty for every legally sustainable violation recommended by FRA's field inspectors 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,

⁶ 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.

⁷ *See* 49 C.F.R. part 209, app. A.

recordkeeping, job briefings, or the discipline of railroad 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 made further progress in FY 2024 towards an initiative begun in FY 2022 to complete comprehensive assessments of the safety culture, practices, and regulatory compliance of each Class I railroad (safety culture assessments). The safety culture assessments use the Fleming Safety Culture Maturity Model to measure the maturity level of each organization’s safety culture. In FY 2024 FRA issued a results report for its safety culture assessment of BNSF Railway Company (BNSF),⁸ after issuing similar reports for the National Railroad Passenger Corporation (Amtrak)⁹ and Norfolk Southern Railway Company (NS)¹⁰ in FY 2023. FRA will continue to work towards completing safety culture assessments of the remaining Class I railroads over the next year.¹¹

FRA also uses every tool and authority available to respond quickly and decisively to industry failures that have caused serious harm to the public, including the derailment disaster that occurred in East Palestine, Ohio, in February 2023. FRA advanced safety by increasing focused inspections and issuing several key safety advisories in 2023 in response to demonstrated risks resulting from current industry practices—to address the use and maintenance of hot bearing wayside detectors,¹² the increasing use of very long trains by Class I railroads,¹³ and high-impact wheel forces causing damage to rails and track structures.¹⁴ FRA also implemented a focused safety inspection program on routes over which high-hazard flammable trains (HHFT) and other trains carrying large volumes of hazardous material travel¹⁵ and a focused inspection program

⁸ Available at <https://railroads.dot.gov/elibrary/bnsf-safety-culture-assessment-report-0>.

⁹ FRA’s safety culture assessment of Amtrak was in response to a mandate in the Infrastructure Investment and Jobs Act for FRA to “conduct a focused review of Amtrak’s safety-related processes and procedures, compliance with safety regulations and requirements, and overall safety culture.” Pub. L. 117-58, Sec. 22407 (Nov. 15, 2021). As mandated, FRA submitted a report of this comprehensive safety audit to Congress on November 15, 2022. Available at <https://railroads.dot.gov/elibrary/fra-report-congress-comprehensive-rail-safety-review-amtrak>.

¹⁰ Available at <https://railroads.dot.gov/elibrary/norfolk-southern-safety-assessment>.

¹¹ As noted in the final safety culture assessment report issued for BNSF, FRA’s assessment of the Union Pacific Railroad Company (UP) was scheduled to occur between April 15 and June 14, 2024, but was suspended when FRA discovered that UP had engaged in several activities that could adversely impact the integrity of the assessment.

¹² 88 Fed. Reg. 13494 (Mar. 3, 2023).

¹³ 88 Fed. Reg. 27570 (May 2, 2023).

¹⁴ 88 Fed. Reg. 62623 (Sep. 12, 2023).

¹⁵ See <https://railroads.dot.gov/railroad-safety/2023-high-hazard-flammable-train-route-assessment-hra>.

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, 2024.¹⁶ In addition, FRA has initiated civil penalty enforcement actions for violations of railroad and hazardous materials transportation safety requirements related to the derailment in East Palestine.¹⁷

FRA continued its use of safety advisories to promote railroad safety, issuing a safety advisory to recommend that railroads review existing policies, procedures, and operating rules related to predicting, monitoring, communicating, and operating during severe weather conditions or subsequent to extreme weather events, to reduce weather-related accidents/incidents and improve the efficiency of the national rail network during severe weather events.¹⁸ FRA also issued a safety advisory supplementing Safety Advisory 2023–01¹⁹ to reiterate and expand upon the recommendations in its previously published safety advisories related to hot bearing wayside detectors.²⁰ Most recently, following two roadway worker fatalities in the vicinity of roadway maintenance machines (RMM) in FY 2024, FRA emphasized in an October 2024 safety advisory the importance of rules and procedures regarding the safety of roadway workers who operate or work near RMMs.²¹

Safety bulletins are another means to focus attention on the prevention of accidents, injuries, and fatalities. FRA issued safety bulletins in FY 2024 addressing: a fatality caused by the collision of uncontrolled cars with a locomotive;²² the discovery of a software defect that could cause a positive train control (PTC) system failure in a speed restriction zone;²³ a fatality due to a roadway maintenance machine accident;²⁴ a crewmember fatality that occurred during switching operations;²⁵ a serious injury that occurred when a railroad employee was struck by a railcar during coal dumping operations;²⁶ an injury suffered during switching operations when cars

¹⁶ See High-Hazard Flammable Train Route Assessment & Legacy Tank Car Focused Inspection Program Summary Report | FRA (dot.gov).

¹⁷ 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. Cases assessing civil penalties for violations related to the derailment in East Palestine were not closed before September 30, 2024. Therefore, final settlement amounts will not be reflected in this FY 2024 Enforcement Report.

¹⁸ Safety Advisory 2023-07. See 88 Fed. Reg. 82500 (Nov. 24, 2023).

¹⁹ Safety Advisory 2023-01. See 88 Fed. Reg. 13494 (March 3, 2023); Safety Advisory 2023-01 (Supplement). See 88 Fed. Reg. 38933 (June 14, 2023).

²⁰ Safety Advisory 2023-01 (Second Supplement). See 89 Fed. Reg. 58243 (July 17, 2024).

²¹ Safety Advisory 2024-01. See 89 Fed. Reg. 83940 (Oct. 18, 2024).

²² Safety Bulletin 2024-01, available at <https://railroads.dot.gov/elibrary/safety-bulletin-2024-01-revised-employee-fatality-securement-rolling-equipment>.

²³ Safety Bulletin 2024-02, available at <https://railroads.dot.gov/elibrary/safety-bulletin-2024-02-positive-train-control-error-and-malfunction-train-may-not-be>.

²⁴ Safety Bulletin 2024-03, available at <https://railroads.dot.gov/elibrary/safety-bulletin-2024-03-employee-fatality-working-around-track-equipment>.

²⁵ Safety Bulletin 2024-04, available at <https://railroads.dot.gov/elibrary/safety-bulletin-2024-04-conductor-switching-fatality>.

²⁶ Safety Bulletin 2024-05, available at <https://railroads.dot.gov/elibrary/safety-bulletin-2024-05-conductor-struck-railcar-while-gravity-switching-yard>.

failed to couple;²⁷ and a conductor fatally struck by a commuter train.²⁸ FRA safety bulletins ensure that such tragic incidents are known to the industry and remind railroads of the specific safety rules, training standards, and operating practices that must be followed to prevent them.

In addition to regularly reviewing the specific application of existing regulations to evolving safety risks, FRA uses data and insight developed through research and public input to implement statutory directives and craft rules that will provide broad-based improvements in safety. In FY 2024, FRA published final rules requiring: (1) certification of railroad dispatchers and signal employees;²⁹ (2) the provision of emergency escape breathing apparatus to train crews and other employees when transporting certain hazardous materials;³⁰ (3) the installation of inward- and outward-facing image recording devices on all passenger train lead locomotives providing scheduled intercity rail passenger or commuter service;³¹ and (4) minimum safety requirements for the size of train crews depending on the type of operation.³²

In March 2023, FRA comprehensively updated its civil penalty schedules and guidelines to account for years of inflation.³³ 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.³⁴ FRA took into account Congress' recognition in the Federal Civil Penalties Inflation Adjustment Act Improvements Act of 2015³⁵ (2015 Inflation Act) of the negative impact that inflation has on the deterrent effect of FRA's civil penalties.³⁶ 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.³⁷ Adjusting for inflation doubled FRA's civil penalty schedule and guideline amounts. The impact of this increase is observable in this FY 2024 Enforcement Report. In 2024, FRA also began adjusting all civil penalties for inflation annually.

²⁷ Safety Bulletin 2024-06, *available at* <https://railroads.dot.gov/elibrary/safety-bulletin-2024-06-switching-injury-involving-going-between-equipment>.

²⁸ Safety Bulletin 2024-07, *available at* <https://railroads.dot.gov/elibrary/safety-bulletin-2024-07-conductor-main-track-fatality>.

²⁹ 89 Fed. Reg. 44766 and 89 Fed. Reg. 44830 (May 21, 2024).

³⁰ 89 Fed. Reg. 5113 (Jan. 26, 2024).

³¹ 88 Fed. Reg. 70722 (Oct. 12, 2023).

³² 89 Fed. Reg. 25052 (Apr. 9, 2024).

³³ 88 Fed. Reg. 15116 (Mar. 10, 2023).

³⁴ *Id.* at 15116-15117.

³⁵ Pub. L. 114-74, Sec. 701 (Nov. 2, 2015).

³⁶ 88 Fed. Reg. at 15117.

³⁷ *Id.* at 15117-15118.

Overall, in FY 2024, FRA secured total final penalty assessments of \$16,872,568 on 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 2024 represents approximately an 8 percent increase over the FY 2023 total of \$15,630,602.

This FY 2024 Enforcement Report also includes, at section IX, the issuance of Emergency Order No. 33 to halt a railroad's operations based on FRA's finding that a combination of unsafe conditions and practices created an emergency situation involving a hazard of death or injury to persons.³⁸ Given the extraordinary nature of an emergency order, FRA has used its emergency order authority sparingly.³⁹

³⁸ See 89 Fed. Reg. 8739 (Feb. 8, 2024).

³⁹ See "Extraordinary Remedies" at appendix A to 49 C.F.R. part 209.

III. SUMMARY OF INSPECTIONS AND AUDITS PERFORMED, AND ENFORCEMENT ACTIONS RECOMMENDED IN FY 2024

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: ⁴⁰	65,294
Defects: ⁴¹	267,856
Units: ⁴²	2,727,074
Number of Observations: ⁴³	292,543
Number of Reports with Recommended Violation Defects: ⁴⁴	3,518
Number of Recommended Violation Defects:	8,330
Number of Inspection Days: ⁴⁵	52,122

2. Railroads Only

Number of Inspection Reports:	58,436
Defects:	246,242
Units:	2,660,618
Number of Observations:	272,862
Number of Reports with Recommended Violation Defects:	3,002
Number of Recommended Violation Defects:	7,349
Number of Inspection Days:	48,619

⁴⁰ 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.

⁴¹ 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.

⁴² 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.

⁴³ 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.

⁴⁴ 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.

⁴⁵ 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

Violation Type	Number of Recommended Violations
Accident Reporting	107

2. Grade Crossing Signal System Safety

Violation Type	Number of Recommended Violations
Grade Crossing Signal Safety	508

3. Hazardous Materials

Violation Type	Number of Recommended Violations
Hazardous Materials	1,551

4. Industrial Hygiene

Violation Type	Number of Recommended Violations
Occupational Noise Exposure	0

5. Motive Power and Equipment

Violation Type	Number of Recommended Violations
Freight Car Safety Standards	724
Locomotive Safety Standards	735
Passenger Equipment Safety Standards	13
Passenger Train Emergency Preparedness	1
Rear End Marking Devices	2
Safety Appliance Statutes and Regulations	1,731
Safety Glazing Standards	2
Steam Locomotive Inspection and Maintenance	0
All	3,208

6. Railroad Operating Practices

Violation Type	Number of Recommended Violations
Alcohol and Drug Use	173
Conductor Qualifications	22
Critical Incident Stress Plans	0
Engineer Qualifications	66
FRA Emergency Order(s)	0
Hours of Service Laws and Regulations	490
Hours of Service Recordkeeping	115
Railroad Communications	116
Railroad Operating Practices	360
Railroad Operating Rules	69
Railroad Safety Enforcement Procedures	27
Train Horn/Quiet Zone	7
Total	1,445

7. Signal and Train Control

Violation Type	Number of Recommended Violations
Signal Inspection Regulations	792

8. Track

Violation Type	Number of Recommended Violations
Bridge Safety Standards	25
Bridge Worker Safety Standards	0
Roadway Worker Protection	95
Track Safety Standards	606
All	726

9. Safety Management Systems

Violation Type	Number of Recommended Violations
Risk Reduction Program	4
System Safety Program	0
Training, Qualification, and Oversight for Safety-Related Railroad Employees	3
All	7

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

1. Class I Railroads

Number of Inspection Reports:	42,501
Defects:	189,345
Units:	2,148,842
Number of Observations:	202,853
Number of Reports with Recommended Violation Defects:	2,520
Number of Recommended Violation Defects:	6,317
Number of Inspection Days: ⁴⁶	36,122

2. Probable Class II Railroads⁴⁷

Number of Inspection Reports:	1,307
Defects:	5,240
Units:	65,472
Number of Observations:	6,308
Number of Reports with Recommended Violation Defects:	55
Number of Recommended Violation Defects:	97
Number of Inspection Days:	1,200

⁴⁶ 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.1-9 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.

⁴⁷ FRA has identified six of the seven Class I railroads in FY 2024 based on information they filed with the Surface Transportation Board (STB) for calendar year 2023—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 seventh 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.; Rapid City, Pierre & Eastern Railroad, Inc.; Wheeling & Lake Erie Railway Co.; and Wisconsin & Southern Railroad Co. FRA also considers the railroads formerly held by Pan Am Railways, Inc., now a subsidiary of CSX Transportation, Inc., to be Class II railroads for purposes of this report, specifically, Boston & Maine Corp., Maine Central Railroad Co., Pan Am Southern LLC, Portland Terminal Co., and Springfield Terminal Railway 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).

3. Probable Class III Railroads

Number of Inspection Reports:	14,628
Defects:	51,657
Units:	446,304
Number of Observations:	63,701
Number of Reports with Recommended Violation Defects:	427
Number of Recommended Violation Defects:	935
Number of Inspection Days:	12,790

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

1. BNSF Railway Company

Number of Inspection Reports:	14,628
Defects:	51,657
Units:	446,304
Number of Observations:	63,701
Number of Reports with Recommended Violation Defects:	427
Number of Recommended Violation Defects:	935
Number of Inspection Days:	12,790

2. Canadian National Railway/Grand Trunk Corporation

Number of Inspection Reports:	1,972
Defects:	10,430
Units:	104,689
Number of Observations:	9,863
Number of Reports with Recommended Violation Defects:	113
Number of Recommended Violation Defects:	183
Number of Inspection Days:	1,751

3. Canadian Pacific Kansas City Limited⁴⁸

Number of Inspection Reports:	2,532
Defects:	11,429
Units:	132,135
Number of Observations:	11,914
Number of Reports with Recommended Violation Defects:	103
Number of Recommended Violation Defects:	193
Number of Inspection Days:	2,237

4. Canadian Pacific Railway/Soo Line Railroad Company⁴⁹

Number of Inspection Reports	18
Defects	137
Units	1,792
Number of Observations	104
Number of Reports with Recommended Violation Defects	0
Number of Recommended Violation Defects	0
Number of Inspection Days	17

5. CSX Transportation, Inc.

Number of Inspection Reports	7,700
Defects	36,481
Units	435,588
Number of Observations	38,530
Number of Reports with Recommended Violation Defects	400
Number of Recommended Violation Defects	2,193
Number of Inspection Days	6,918

⁴⁸ 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.

⁴⁹ 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.

6. The Kansas City Southern Railway Company⁵⁰

Number of Inspection Reports	4
Defects	0
Units	26
Number of Observations	8
Number of Reports with Recommended Violation Defects	0
Number of Recommended Violation Defects	0
Number of Inspection Days	3

7. National Railroad Passenger Corporation (Amtrak)

Number of Inspection Reports	1,168
Defects	1,704
Units	14,266
Number of Observations	5,837
Number of Reports with Recommended Violation Defects	22
Number of Recommended Violation Defects	30
Number of Inspection Days	966

8. Norfolk Southern Railway Company

Number of Inspection Reports	6,435
Defects	32,179
Units	335,847
Number of Observations	32,102
Number of Reports with Recommended Violation Defects	410
Number of Recommended Violation Defects	766
Number of Inspection Days	5,795

9. Union Pacific Railroad Company

Number of Inspection Reports	12,185
Defects	52,818
Units	592,999
Number of Observations	56,487
Number of Reports with Recommended Violation Defects	952
Number of Recommended Violation Defects	1,934
Number of Inspection Days	10,617

⁵⁰ 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.

IV. SUMMARIES OF CIVIL PENALTY INITIAL ASSESSMENTS, SETTLEMENTS, AND FINAL ASSESSMENTS IN FY 2024⁵¹

A. IN GENERAL

Summary 1 and Summary 2

Summary 1, section IV.B, provides a broad overview of penalties FRA initially assessed during FY 2024, the initial penalty assessment⁵² for cases closed during FY 2024 and the amount of the settlement or the final assessment of civil penalty.⁵³ Following that summary in aggregate for all regulated entities, section IV.C shows the number of civil penalty cases and violations assessed against entity subcategories (e.g., Class I railroads), along with the monetary value in each subcategory.

Summary 2, section IV.D, shows initial assessment information only for those cases closed during FY 2024, even though the initial assessments may have occurred in a prior fiscal year. Following that summary in aggregate for all regulated entities, section IV.E shows final assessment and settlement amounts for all cases (regardless of when the case was first initiated), broken down by entity subcategory.

⁵¹ The totals in this section exclude civil penalty cases against individuals. Those are addressed in section V.

⁵² 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.

⁵³ 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.

SUMMARY 1 NOTE

Summary 1, below, provides the following:

- The number of violations for which FRA assessed a civil penalty in FY 2024 (through demand letters or, in hazmat cases, notices of probable violation);
- The number of violation reports that FRA declined to enforce in FY 2024 after legal review;
- The initial amount of civil penalties assessed in FY 2024 (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 2024;
- The civil penalties FRA initially assessed (the “potential collectible amount” or “POCA” listed in Appendix A) in all cases FRA settled or otherwise closed during FY 2024; and
- The total amount of civil penalties assessed or settled during FY 2024.⁵⁴

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

Total number of cases with civil penalties initially assessed in FY 2024	3,691
Total number of violations with civil penalties initially assessed in FY 2024	4,621
Total number of violation reports declined during legal review in FY 2024	19
Total amount of civil penalties initially assessed (POCA) for violations in cases transmitted in FY 2024	\$28,540,528
Total amount of civil penalties initially assessed (POCA) for violations in cases finally assessed or settled in FY 2024	\$23,383,718
Total final civil penalty assessment or settlement in FY 2024	\$16,872,568

C. BREAKDOWN OF INITIAL ASSESSMENTS IN SUMMARY 1

1. For Each Class I Railroad Individually in FY 2024

AMTRAK

Number of cases with civil penalties initially assessed	21
Number of violations with civil penalties initially assessed	24
Number of violation reports declined during legal review	0
Initial amount of civil penalty assessed	\$183,300

⁵⁴ In this report, FRA rounded settlement amounts to the nearest whole dollar.

BNSF RAILWAY COMPANY

Number of cases with civil penalties initially assessed	419
Number of violations with civil penalties initially assessed	497
Number of violation reports declined during legal review	2
Initial amount of civil penalty assessed	\$2,737,400

CANADIAN NATIONAL RAILWAY/GRAND TRUNK CORPORATION

Number of cases with civil penalties initially assessed	102
Number of violations with civil penalties initially assessed	105
Number of violation reports declined during legal review	1
Initial amount of civil penalty assessed	\$699,200

CANADIAN PACIFIC KANSAS CITY LIMITED⁵⁵

Number of cases with civil penalties initially assessed	70
Number of violations with civil penalties initially assessed	81
Number of violation reports declined during legal review	1
Initial amount of civil penalty assessed	\$574,600

CSX TRANSPORTATION, INC.

Number of cases with civil penalties initially assessed	480
Number of violations with civil penalties initially assessed	614
Number of violation reports declined during legal review	0
Initial amount of civil penalty assessed	\$4,276,400

NORFOLK SOUTHERN RAILWAY COMPANY

Number of cases with civil penalties initially assessed	511
Number of violations with civil penalties initially assessed	704
Number of violation reports declined during legal review	1
Initial amount of civil penalty assessed	\$4,549,900

⁵⁵ 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.

UNION PACIFIC RAILROAD COMPANY

Number of cases with civil penalties initially assessed	1,081
Number of violations with civil penalties initially assessed	1,270
Number of violation reports declined during legal review	3
Initial amount of civil penalty assessed	\$7,874,180

2. For Probable Class II Railroads in the Aggregate in FY 2024

Number of cases with civil penalties initially assessed	57
Number of violations with civil penalties initially assessed	68
Number of violation reports declined during legal review	1
Initial amount of civil penalty assessed	\$523,200

3. For Probable Class III Railroads in the Aggregate in FY 2024⁵⁶

Number of cases with civil penalties initially assessed	386
Number of violations with civil penalties initially assessed	497
Number of violation reports declined during legal review	8
Initial amount of civil penalty assessed	\$3,419,401

4. For Hazmat Shippers in the Aggregate in FY 2024

Number of cases with civil penalties initially assessed	491
Number of violations with civil penalties initially assessed	662
Number of violation reports declined during legal review	2
Initial amount of civil penalty assessed	\$3,192,746

⁵⁶ 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 2024” amount remains correct as FRA includes data from enforcement actions against regulated entities that are otherwise not subject to STB jurisdiction.

5. For Contractors in the Aggregate in FY 2024

Number of cases with civil penalties initially assessed	26
Number of violations with civil penalties initially assessed	30
Number of violation reports declined during legal review	0
Initial amount of civil penalty assessed	\$226,201

6. For Other Cases in the Aggregate in FY 2024⁵⁷

Number of cases with civil penalties initially assessed	47
Number of violations with civil penalties initially assessed	69
Number of violation reports declined during legal review	0
Initial amount of civil penalty assessed	\$284,000

⁵⁷ The category of “other cases” includes all hazardous materials civil penalty cases against respondents that are coded in FRA’s railroad compliance 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.

SUMMARY 2 NOTE

Summary 2, below, shows initial assessment information only for those cases closed during FY 2024. **All numbers in Summary 2 reflect the initial assessments that resulted in FY 2024 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 2024

Number of cases closed	3,349
Number of violations in cases closed	4,164
Initial amount of civil penalty assessed for cases closed (POCA)	\$23,383,718
Final amount of civil penalty assessed or settlement for cases closed	\$16,872,568
Amount terminated (generally due to legal defenses presented during settlement negotiations)	\$850,748
Amount of revised assessment after terminations (PRCA)	\$22,532,970
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed	\$6,511,150
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed	\$5,660,402

E. BREAKDOWN OF SETTLEMENTS AND FINAL ASSESSMENTS IN SUMMARY 2

1. For Each Class I Railroad Individually in FY 2024

AMTRAK

Number of cases closed	25
Number of violations in cases closed	34
Initial amount of civil penalty assessed for cases closed (POCA)	\$173,800
Final amount of civil penalty assessed or settlement for cases closed	\$113,750
Amount terminated (generally due to legal defenses presented during settlement negotiations)	\$21,000
Amount of revised assessment after terminations (PRCA)	\$152,800
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed	\$60,050
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed	\$39,050

BNSF RAILWAY COMPANY

Number of cases closed	333
Number of violations in cases closed	371
Initial amount of civil penalty assessed for cases closed (POCA)	\$1,912,000
Final amount of civil penalty assessed or settlement for cases closed	\$1,338,622
Amount terminated (generally due to legal defenses presented during settlement negotiations)	\$19,948
Amount of revised assessment after terminations (PRCA)	\$1,892,052
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed	\$573,378
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed	\$553,430

CANADIAN NATIONAL RAILWAY/GRAND TRUNK CORPORATION

Number of cases closed	124
Number of violations in cases closed	124
Initial amount of civil penalty assessed for cases closed (POCA)	\$672,000
Final amount of civil penalty assessed or settlement for cases closed	\$487,210
Amount terminated (generally due to legal defenses presented during settlement negotiations)	\$0
Amount of revised assessment after terminations (PRCA)	\$672,000
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed	\$184,790
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed	\$184,790

CANADIAN PACIFIC KANSAS CITY LIMITED⁵⁸

Number of cases closed	58
Number of violations in cases closed	67
Initial amount of civil penalty assessed for cases closed (POCA)	\$505,000
Final amount of civil penalty assessed or settlement for cases closed	\$360,720
Amount terminated (generally due to legal defenses presented during settlement negotiations)	\$0
Amount of revised assessment after terminations (PRCA)	\$505,000
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed	\$144,280
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed	\$144,280

⁵⁸ The merger of Canadian Pacific Railway/Soo Line Railroad Company and Kansas City Southern Railway Company occurred on April 14, 2023. During the fiscal year, a total of seven cases originally attributed to the Canadian Pacific Railway/Soo Line Railroad Company were settled with Canadian Pacific Kansas City Limited as its successor; they are included in this table.

CSX TRANSPORTATION, INC.

Number of cases closed	410
Number of violations in cases closed	550
Initial amount of civil penalty assessed for cases closed (POCA)	\$3,359,000
Final amount of civil penalty assessed or settlement for cases closed	\$2,370,000
Amount terminated (generally due to legal defenses presented during settlement negotiations)	\$91,000
Amount of revised assessment after terminations (PRCA)	\$3,268,000
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed	\$989,000
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed	\$898,000

NORFOLK SOUTHERN RAILWAY COMPANY

Number of cases closed	479
Number of violations in cases closed	659
Initial amount of civil penalty assessed for cases closed (POCA)	\$3,863,428
Final amount of civil penalty assessed or settlement for cases closed	\$2,843,103
Amount terminated (generally due to legal defenses presented during settlement negotiations)	\$151,000
Amount of revised assessment after terminations (PRCA)	\$3,712,428
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed	\$1,020,325
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed	\$869,325

UNION PACIFIC RAILROAD COMPANY

Number of cases closed	851
Number of violations in cases closed	1000
Initial amount of civil penalty assessed for cases closed (POCA)	\$5,797,000
Final amount of civil penalty assessed or settlement for cases closed	\$4,358,875
Amount terminated (generally due to legal defenses presented during settlement negotiations)	\$140,000
Amount of revised assessment after terminations (PRCA)	\$5,657,000
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed	\$1,438,125
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed	\$1,298,125

2. For Probable Class II Railroads in the Aggregate in FY 2024

Number of cases closed	58
Number of violations in cases closed	70
Initial amount of civil penalty assessed for cases closed (POCA)	\$459,700
Final amount of civil penalty assessed or settlement for cases closed	\$327,005
Amount terminated (generally due to legal defenses presented during settlement negotiations)	\$0
Amount of revised assessment after terminations (PRCA)	\$459,700
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed	\$132,695
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed	\$132,695

3. For Probable Class III Railroads in the Aggregate in FY 2024

Number of cases closed	394
Number of violations in cases closed	479
Initial amount of civil penalty assessed for cases closed (POCA)	\$2,723,701
Final amount of civil penalty assessed or settlement for cases closed	\$1,712,448
Amount terminated (generally due to legal defenses presented during settlement negotiations)	\$235,301
Amount of revised assessment after terminations (PRCA)	\$2,488,400
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed	\$1,0011,253
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed	\$775,952

4. For Hazmat Shippers in the Aggregate in FY 2024

Number of cases closed	532
Number of violations in cases closed	699
Initial amount of civil penalty assessed for cases closed (POCA)	\$3,440,689
Final amount of civil penalty assessed or settlement for cases closed	\$2,629,371
Amount terminated (generally due to legal defenses presented during settlement negotiations)	\$130,999
Amount of revised assessment after terminations (PRCA)	\$3,309,690
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed	\$811,318
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed	\$680,319

5. For Contractors in the Aggregate in FY 2024

Number of cases closed	31
Number of violations in cases closed	39
Initial amount of civil penalty assessed for cases closed (POCA)	\$176,400
Final amount of civil penalty assessed or settlement for cases closed	\$120,014
Amount terminated (generally due to legal defenses presented during settlement negotiations)	\$30,500
Amount of revised assessment after terminations (PRCA)	\$145,900
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed	\$56,386
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed	\$25,886

6. For Other Cases in the Aggregate in FY 2024 ⁵⁹

Number of cases closed	54
Number of violations in cases closed	72
Initial amount of civil penalty assessed for cases closed (POCA)	\$301,000
Final amount of civil penalty assessed or settlement for cases closed	\$211,450
Amount terminated (generally due to legal defenses presented during settlement negotiations)	\$31,000
Amount of revised assessment after terminations (PRCA)	\$270,000
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed	\$89,550
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed	\$58,550

⁵⁹ The category of “other cases” includes all hazardous materials civil penalty cases against respondents that are coded in FRA’s railroad compliance 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 2024

A. CIVIL PENALTY CASES AGAINST INDIVIDUALS IN THE AGGREGATE

Total number of civil penalty cases initially assessed in FY 2024	0
Total number of violations with civil penalties initially assessed in FY 2024	0
Total initial amount of civil penalty assessed in FY 2024	0
Number of civil penalty cases closed in FY 2024	0
Total number of violations in cases closed in FY 2024	0
Total initial amount of civil penalty assessed for cases closed in FY 2024	0
Total final amount of civil penalty assessed (or settlement) for cases closed in FY 2024	0
Amount terminated (generally due to legal defenses presented during settlement negotiations) for cases closed in FY 2024	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 2024	0
Difference between initial amount of civil penalty assessed (POCA) and final settlement amount for a violation in a case closed in FY 2024	0

B. OTHER ENFORCEMENT ACTIONS AGAINST INDIVIDUALS IN THE AGGREGATE

Number of notices of proposed disqualification issued and served in FY 2024	3
Number of proposed disqualification cases closed in FY 2024	2
Number of warning letters issued by Office of the Chief Counsel in FY 2024	0

VI. SUMMARY AND ANALYSIS OF OPERATING CREW CERTIFICATION CASES⁶⁰

A. OPERATING CREW REVIEW BOARD (OCRB)

Total petitions for relief filed with the OCRB in FY 2024	42
<ul style="list-style-type: none"> • Conductor petitions • Engineer petitions 	<p style="text-align: right;">20</p> <p style="text-align: right;">22</p>
Decisions issued by the OCRB in FY 2024	33
<ul style="list-style-type: none"> • Conductor decisions • Engineer decisions • NOTES:2 locomotive engineer petitions were withdrawn before a decision was issued 	<p style="text-align: right;">15</p> <p style="text-align: right;">18</p>
Average length of time for decision in FY 2024 from the date petition filed ⁶¹	253 Days
Average length of time for decision in FY 2024 from the date of the railroad's response to the petition to the date that a decision was issued ⁶²	181 Days

⁶⁰ 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 railroad crew members now have their petitions reviewed solely by the OCRB. *See* 85 Fed. Reg. 81290 (Dec. 15, 2020).

⁶¹ 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.

⁶² *See* preceding footnote.

B. ADMINISTRATIVE HEARINGS

Number of pending cases before the Administrative Hearing Officer (AHO) as of October 1, 2023 ⁶³	1
Number of requests for review by the AHO received during FY 2024	0
Number of cases closed by the AHO during FY 2024 ⁶⁴	1
Number of pending AHO cases as of October 1, 2024	0
Average length of time for decision or other disposition	6 months

C. APPEALS TO THE ADMINISTRATOR

FY 2024 appeals to the Administrator from AHO decisions	1
Number of appeals pending during FY 2024 <ul style="list-style-type: none"> NOTE: The number of appeals pending in FY 2024 includes the one FY 2024 appeal, which was filed on January 14, 2024. 	4
Decisions issued by the Administrator during FY 2024	0
Average length of time for decision issued in FY 2024 (from close of record to decision)	0 (or 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 2024	1 hearing request (including three hazmat enforcement cases)
Number of hearing-request cases completed in FY 2024	1

⁶³ In the FY 2023 annual enforcement report, two pending cases were reported; however, the actual number was one. See section X, below.

⁶⁴ The number of cases the AHO closed includes cases closed by decision, stipulation, or dismissal.

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 2024	0
Number of cases referred to the Attorney General for criminal enforcement in FY 2024	0

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

FRA issued Emergency Order No. 33, Emergency Order to Prevent Operation of Trains and Other On-Track Rail Equipment on Blackwell Northern Gateway Railroad (EO 33)⁶⁵ on February 2, 2024. EO 33 required the discontinuation of all operations over any part of the track between Wellington, Kansas, and Blackwell, Oklahoma, based on FRA’s finding that a combination of unsafe conditions and practices created an emergency situation involving a hazard of death or injury to persons.

FRA did not issue any compliance orders or precursor agreements in FY 2024.

X. ERRATA

FRA takes care to ensure the accuracy and completeness of all data in each annual enforcement report. Information in each of FRA’s annual enforcement reports, such as settlement amounts, is based on information that FRA had at the time that the agency issued the report. If FRA receives more accurate or corrected information after publishing the report, FRA updates the enforcement data in its enforcement database and records. Therefore, reports FRA previously issued may not match the current data in FRA’s recordkeeping system. If any such errors or discrepancies are identified, FRA will include them in the next annual enforcement report.

1. The following cases were incorrectly published in the FY 2023 annual enforcement report (AER) or contained an inaccurate violation count, as noted below. Eleven of the 12 cases listed below are included in Appendix A to this report.

FRA No.	Description of error
SNY 2016-001(SA)	Case incorrectly shown as fully terminated in FY 2023 AER. FRA subsequently closed the case for \$870 on June 5, 2024.
SNY 2017-001(TS)	Case incorrectly shown as fully terminated in FY 2023 AER. FRA subsequently closed the case for \$870 on June 5, 2024.

⁶⁵ 89 Fed. Reg. 8739 (Feb. 8, 2024).

SNY 2017-002(SA)	Case incorrectly shown as fully terminated in FY 2023 AER. FRA subsequently closed the case for \$1,740 on June 5, 2024.
XSAT 2014-001(HMT)	Case incorrectly published in FY 2023 AER. The case was not closed until May 23, 2024.
XSNA 2016-001(HMT)	The number of violations contained in this case was incorrectly reported as 2 violations. The correct number of violations in the case is 3.
XSNJ 2018-001(AR)	Case incorrectly published in FY 2023 AER. The case was not closed until June 4, 2024.
XSNJ 2018-002(AR)	Case incorrectly published in FY 2023 AER. The case was not closed until June 4, 2024.
XSNJ 2018-003(AR)	Case incorrectly published in FY 2023 AER. The case was not closed until June 4, 2024.
XSNJ 2018-004(AR)	Case incorrectly published in FY 2023 AER. The case was not closed until June 4, 2024.
XSNJ 2018-005(AR)	Case incorrectly published in FY 2023 AER. The case was not closed until June 4, 2024.
XSNJ 2018-006(AR)	Case incorrectly published in FY 2023 AER. The case was not closed until June 4, 2024.
XSNJ 2018-007(AR)	Case incorrectly published in FY 2023 AER. The case was not closed until June 4, 2024.

2. In the FY 2023 AER at subsection B, Administrative Hearings, under section VI, Summary and Analysis of Operating Crew Certification Cases, the number of pending cases before the AHO as of October 1, 2023, was reported as “2.” The correct entry should have been “1.” The number reported inadvertently included a pending matter separately reported under section VII, Summary and Analysis of Administrative Hearing Cases Related to Hazmat Violations or Enforcement Actions against Individuals.

APPENDIX A
“Railroad Safety Civil Penalty Cases Closed during Fiscal Year 2024”

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

**RAILROAD SAFETY CIVIL PENALTY CASES
CLOSED DURING FISCAL YEAR 2024**

This report summarizes the disposition of all civil penalty cases for which the Federal Railroad Administration (FRA) reached an agreement to collect a civil penalty, issued an order requiring the payment of a civil penalty, or otherwise closed under the Federal railroad safety statutes and regulations and the hazardous materials transportation (HMT) laws during fiscal year 2024. FRA closed cases under most of the railroad safety laws by settlement, and under the HMT laws generally by final orders of assessment. Total penalty settlements and final assessments against companies, summarized in this report, were as follows:

Railroad safety (except HMT)	\$13,043,697
HMT	\$3,828,871
Total Civil Penalties	<hr/> \$16,872,568

FRA collected no civil penalty settlements or final assessments from individuals in civil penalty cases 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 246, and 270 through 272, of Title 49 of the Code of Federal Regulations. Civil penalties are an important means of enforcing those regulations and the safety statutes.

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

The Civil Penalty Process

To promote safety compliance, FRA inspectors and participating States submit reports alleging violations of Federal safety and HMT laws 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 Reporting
BSS	Bridge Safety Standards
BW	Bridge Worker Safety Standards
CC	Conductor Qualifications
CIS	Critical Incident Stress Plans
EP	Railroad Safety Enforcement Procedures
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 and Regulations
HSR	Hours of Service Recordkeeping
LI	Locomotive Safety Standards
PEP	Passenger Train Emergency Preparedness
PEQ	Passenger Equipment Safety Standards
RMM	Roadway Maintenance Machines
ROP	Railroad Operating Practices
ROR	Railroad Operating Rules
RSP	Railroad Standard Procedures
RW	Roadway Worker Protection
SA	Safety Appliance Statutes and Regulations
SI	Signal Inspection Regulations and Positive Train Control
TH	Train Horn/Quiet Zone
TS	Track Safety Standards

FRA identifies railroads and other respondents by a respondent code (see the legend provided at the end of this report), which appears as the letters in the case number after “FRA No.” FRA 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. The first would be if FRA concluded one or more of the violations initially alleged could likely not be sustained. FRA considers such violations “terminated.” The 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 2024**

<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 2024

<u>FRA Number</u>	<u>No. Viol.</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
3MCZ 2024-001(HMT)	1	\$10,000	\$10,000	\$7,300	3/6/2024	
AA 2023-001(SA)	1	\$10,000	\$10,000	\$6,900	9/25/2024	
AGR 2024-001(FCS)	1	\$5,000	\$5,000	\$3,700	9/27/2024	
AGR 2024-002(FCS)	1	\$5,000	\$5,000	\$3,700	9/27/2024	
AGR 2024-003(SA)	1	\$5,000	\$5,000	\$3,700	9/27/2024	
ALS 2023-001(LI)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
ALS 2023-002(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
ALS 2023-007(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
ALS 2023-010(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
ALS 2023-011(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
ALS 2024-001(SA)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
ALS 2024-003(SA)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
ANR 2024-001(ROP)	1	\$15,000	\$0	\$0	8/23/2024	Case Terminated
ATK 2023-005(RW)	1	\$2,000	\$2,000	\$1,600	9/27/2024	
ATK 2023-006(HS)	2	\$4,000	\$4,000	\$2,800	9/27/2024	
ATK 2023-007(AD)	4	\$8,000	\$2,000	\$1,600	9/27/2024	Partially Terminated: 2
ATK 2023-008(AD)	4	\$8,000	\$4,000	\$3,000	9/27/2024	Partially Terminated: 2
ATK 2023-009(ROR)	1	\$9,500	\$9,500	\$7,250	9/27/2024	
ATK 2023-010(ROR)	1	\$9,500	\$9,500	\$7,250	9/27/2024	
ATK 2023-011(ROR)	1	\$9,500	\$9,500	\$7,000	9/27/2024	
ATK 2023-012(ROR)	1	\$9,500	\$9,500	\$7,000	9/27/2024	
ATK 2023-013(ROR)	1	\$9,500	\$9,500	\$7,000	9/27/2024	
ATK 2023-014(ROR)	1	\$9,500	\$0	\$0	9/27/2024	Case Terminated
ATK 2023-015(ROR)	1	\$9,500	\$9,500	\$7,000	9/27/2024	
ATK 2023-016(ROP)	1	\$9,500	\$9,500	\$7,000	9/27/2024	
ATK 2023-017(AD)	1	\$4,000	\$4,000	\$2,800	9/27/2024	
ATK 2023-018(TS)	1	\$10,000	\$10,000	\$7,000	9/27/2024	
ATK 2023-019(RW)	3	\$4,500	\$3,000	\$2,800	9/27/2024	Partially Terminated: 1
ATK 2023-020(RW)	1	\$6,000	\$6,000	\$4,500	9/27/2024	
ATK 2023-021(RW)	1	\$4,000	\$4,000	\$3,000	9/27/2024	
ATK 2023-022(LI)	1	\$5,000	\$5,000	\$3,750	9/27/2024	
ATK 2023-023(RW)	1	\$6,000	\$6,000	\$4,500	9/27/2024	
ATK 2023-024(RW)	1	\$2,000	\$2,000	\$1,500	9/27/2024	
ATK 2023-025(TS)	1	\$5,000	\$5,000	\$3,750	9/27/2024	

<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>
ATK 2023-026(PEQ)	1	\$4,000	\$4,000	\$3,000	9/27/2024	
ATK 2024-001(TS)	1	\$10,000	\$10,000	\$7,400	9/27/2024	
ATK 2024-002(RW)	1	\$5,000	\$5,000	\$3,750	9/27/2024	
ATK 2024-003(SA)	1	\$10,300	\$10,300	\$7,500	9/27/2024	
AVSX 2024-001(BSS)	1	\$5,200	\$5,200	\$3,200	8/14/2024	
AWRR 2023-001(TS)	1	\$1,000	\$1,000	\$1,000	9/25/2024	
AWRR 2023-002(TS)	1	\$10,000	\$10,000	\$6,200	9/25/2024	
AWRR 2023-003(ROP)	1	\$15,000	\$15,000	\$5,000	9/25/2024	
AWRR 2023-004(TS)	3	\$22,000	\$22,000	\$13,640	9/25/2024	
AWRR 2023-005(TS)	1	\$10,000	\$10,000	\$7,500	9/25/2024	
AWRR 2023-006(TS)	2	\$10,000	\$10,000	\$6,200	9/25/2024	
AWRR 2024-001(TS)	3	\$30,000	\$30,000	\$18,600	9/25/2024	
AWRR 2024-002(TS)	1	\$10,000	\$10,000	\$7,500	9/25/2024	
AWRR 2024-003(TS)	1	\$10,000	\$10,000	\$6,200	9/25/2024	
AWRR 2024-004(TS)	1	\$10,000	\$10,000	\$6,200	9/25/2024	
AZCR 2024-002(SA)	1	\$5,000	\$5,000	\$3,250	7/23/2024	
BB 2024-001(SA)	1	\$10,000	\$5,000	\$4,000	3/4/2024	Partially Terminated: 1
BB 2024-002(HMT)	1	\$10,000	\$10,000	\$8,750	5/7/2024	
BDW 2024-001(HMT)	2	\$5,000	\$5,000	\$3,500	6/11/2024	
BDW 2024-002(HMT)	1	\$10,000	\$10,000	\$7,500	7/12/2024	
BEAR 2023-001(SA)	1	\$10,000	\$10,000	\$7,000	9/27/2024	
BEAR 2023-002(ROP)	1	\$19,000	\$19,000	\$13,300	9/27/2024	
BEAR 2024-001(SA)	1	\$5,000	\$5,000	\$3,500	9/27/2024	
BEAR 2024-002(TS)	2	\$15,000	\$15,000	\$10,600	9/27/2024	
BEAR 2024-003(SA)	1	\$10,000	\$10,000	\$7,100	9/27/2024	
BGCM 2023-001(CC)	1	\$5,000	\$5,000	\$5,000	1/4/2024	
BHRR 2023-002(EQ)	1	\$5,000	\$5,000	\$3,500	9/25/2024	
BIP 2023-001(SA)	1	\$10,000	\$10,000	\$5,000	3/6/2024	
BIP 2024-001(RSP)	1	\$11,400	\$11,400	\$7,000	6/27/2024	
BLN 2024-001(HMT)	1	\$5,000	\$5,000	\$5,000	4/5/2024	
BLF 2023-003(AD)	1	\$5,000	\$5,000	\$4,500	2/21/2024	
BLF 2023-004(AD)	1	\$5,000	\$5,000	\$4,500	2/21/2024	
BLF 2024-001(SI)	1	\$2,000	\$2,000	\$2,000	6/21/2024	
BNSF 2021-189(SA)	1	\$5,000	\$5,000	\$3,400	9/30/2024	
BNSF 2021-362(SA)	1	\$10,000	\$10,000	\$1,700	9/30/2024	
BNSF 2021-386(SA)	1	\$10,000	\$10,000	\$3,400	9/30/2024	
BNSF 2022-172(HS)	2	\$4,000	\$4,000	\$2,920	9/30/2024	
BNSF 2022-419(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2022-431(TS)	2	\$4,000	\$4,000	\$2,920	9/30/2024	
BNSF 2022-583(HS)	3	\$6,000	\$6,000	\$4,380	9/30/2024	
BNSF 2022-603(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-002(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2024	

<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>
BNSF 2023-017(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-037(HS)	2	\$4,000	\$4,000	\$2,920	9/30/2024	
BNSF 2023-059(AR)	1	\$2,500	\$2,500	\$2,250	9/30/2024	
BNSF 2023-063(AR)	1	\$2,500	\$2,500	\$1,750	9/30/2024	
BNSF 2023-067(AR)	1	\$2,500	\$2,500	\$2,250	9/30/2024	
BNSF 2023-068(AR)	1	\$2,500	\$2,500	\$2,250	9/30/2024	
BNSF 2023-071(AR)	1	\$2,500	\$2,500	\$2,250	9/30/2024	
BNSF 2023-072(AR)	1	\$2,500	\$2,500	\$2,250	9/30/2024	
BNSF 2023-073(AR)	1	\$2,500	\$2,500	\$2,250	9/30/2024	
BNSF 2023-076(AR)	1	\$2,500	\$2,500	\$2,250	9/30/2024	
BNSF 2023-078(AR)	1	\$2,500	\$2,500	\$2,250	9/30/2024	
BNSF 2023-083(FCS)	1	\$2,500	\$2,500	\$1,825	9/30/2024	
BNSF 2023-084(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2024	
BNSF 2023-085(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2024	
BNSF 2023-088(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2024	
BNSF 2023-089(FCS)	2	\$10,000	\$10,000	\$7,300	9/30/2024	
BNSF 2023-091(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2024	
BNSF 2023-092(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2024	
BNSF 2023-093(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-095(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-097(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2024	
BNSF 2023-098(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2024	
BNSF 2023-099(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2024	
BNSF 2023-100(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2024	
BNSF 2023-101(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2024	
BNSF 2023-102(FCS)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-103(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-104(FCS)	1	\$2,500	\$2,500	\$1,825	9/30/2024	
BNSF 2023-105(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2024	
BNSF 2023-106(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-107(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-108(FCS)	1	\$2,500	\$2,500	\$1,825	9/30/2024	
BNSF 2023-109(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2024	
BNSF 2023-110(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2024	
BNSF 2023-111(AR)	1	\$10,000	\$1,052	\$1,052	9/30/2024	Partially Terminated: 1
BNSF 2023-112(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2024	
BNSF 2023-113(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2024	
BNSF 2023-114(FCS)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-115(FCS)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-116(FCS)	1	\$2,500	\$2,500	\$1,825	9/30/2024	
BNSF 2023-117(FCS)	1	\$2,500	\$2,500	\$1,825	9/30/2024	
BNSF 2023-118(FCS)	1	\$2,500	\$2,500	\$1,825	9/30/2024	

<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>
BNSF 2023-119(FCS)	1	\$2,500	\$2,500	\$1,825	9/30/2024	
BNSF 2023-120(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2024	
BNSF 2023-121(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2024	
BNSF 2023-122(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2024	
BNSF 2023-123(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2024	
BNSF 2023-124(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2024	
BNSF 2023-125(LI)	1	\$2,500	\$2,500	\$1,825	9/30/2024	
BNSF 2023-126(SA)	1	\$2,000	\$2,000	\$1,460	9/30/2024	
BNSF 2023-127(SA)	1	\$2,000	\$2,000	\$1,460	9/30/2024	
BNSF 2023-128(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2024	
BNSF 2023-129(FCS)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-131(FCS)	2	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-132(GC)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-133(SA)	1	\$2,500	\$2,500	\$1,875	9/30/2024	
BNSF 2023-134(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-136(TS)	1	\$2,500	\$2,500	\$1,825	9/30/2024	
BNSF 2023-137(LI)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-138(LI)	1	\$1,500	\$1,500	\$1,095	9/30/2024	
BNSF 2023-139(ROP)	1	\$15,000	\$15,000	\$10,950	9/30/2024	
BNSF 2023-140(RSP)	1	\$2,000	\$2,000	\$1,460	9/30/2024	
BNSF 2023-141(FCS)	1	\$2,500	\$2,500	\$1,825	9/30/2024	
BNSF 2023-142(FCS)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-143(FCS)	1	\$2,500	\$2,500	\$1,825	9/30/2024	
BNSF 2023-144(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2024	
BNSF 2023-145(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2024	
BNSF 2023-146(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-147(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-148(HS)	1	\$2,000	\$2,000	\$1,460	9/30/2024	
BNSF 2023-149(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2024	
BNSF 2023-150(ROP)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
BNSF 2023-151(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-152(LI)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-153(HS)	3	\$6,000	\$6,000	\$4,380	9/30/2024	
BNSF 2023-154(TS)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-155(TS)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-156(TS)	2	\$10,000	\$10,000	\$7,300	9/30/2024	
BNSF 2023-157(SA)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
BNSF 2023-158(SA)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
BNSF 2023-159(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2024	
BNSF 2023-160(LI)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-161(SA)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
BNSF 2023-162(TS)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-163(TS)	1	\$2,000	\$2,000	\$1,460	9/30/2024	

<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>
BNSF 2023-164(SI)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-165(FCS)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-166(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-168(HS)	2	\$8,000	\$8,000	\$5,840	9/30/2024	
BNSF 2023-169(TS)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
BNSF 2023-170(SA)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
BNSF 2023-171(SA)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
BNSF 2023-172(HS)	2	\$8,000	\$8,000	\$5,840	9/30/2024	
BNSF 2023-173(AR)	1	\$2,500	\$2,500	\$2,250	9/30/2024	
BNSF 2023-174(AR)	1	\$2,500	\$2,500	\$2,250	9/30/2024	
BNSF 2023-176(AR)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-177(AR)	1	\$2,500	\$2,500	\$2,250	9/30/2024	
BNSF 2023-178(AR)	1	\$2,500	\$2,500	\$2,250	9/30/2024	
BNSF 2023-179(FCS)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-180(FCS)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-181(AR)	1	\$2,500	\$2,500	\$2,250	9/30/2024	
BNSF 2023-182(AR)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-183(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-184(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-186(FCS)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-187(LI)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-188(GC)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
BNSF 2023-189(GC)	1	\$2,000	\$2,000	\$1,460	9/30/2024	
BNSF 2023-190(AR)	1	\$2,500	\$2,500	\$2,250	9/30/2024	
BNSF 2023-192(HSR)	1	\$2,000	\$2,000	\$1,460	9/30/2024	
BNSF 2023-194(AR)	1	\$2,500	\$2,500	\$2,250	9/30/2024	
BNSF 2023-196(AR)	1	\$2,500	\$2,500	\$2,250	9/30/2024	
BNSF 2023-197(AR)	1	\$2,500	\$2,500	\$2,250	9/30/2024	
BNSF 2023-198(AR)	1	\$2,500	\$2,500	\$2,250	9/30/2024	
BNSF 2023-200(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-201(SA)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
BNSF 2023-202(SA)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
BNSF 2023-203(SA)	1	\$5,000	\$5,000	\$3,250	9/30/2024	
BNSF 2023-204(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-205(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-206(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-207(TS)	1	\$2,500	\$2,500	\$1,825	9/30/2024	
BNSF 2023-208(TS)	1	\$4,000	\$4,000	\$2,920	9/30/2024	
BNSF 2023-209(TS)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-210(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-211(LI)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-212(LI)	1	\$3,000	\$3,000	\$2,190	9/30/2024	
BNSF 2023-213(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2024	

<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>
BNSF 2023-214(LI)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-215(TS)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
BNSF 2023-216(TS)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-217(ROP)	1	\$19,000	\$19,000	\$13,870	9/30/2024	
BNSF 2023-218(AD)	2	\$20,000	\$20,000	\$15,400	9/30/2024	
BNSF 2023-219(SA)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
BNSF 2023-220(HMT)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-221(SA)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
BNSF 2023-222(HS)	1	\$2,000	\$2,000	\$1,460	9/30/2024	
BNSF 2023-224(RSP)	3	\$12,000	\$6,000	\$3,600	9/30/2024	Partially Terminated: 1
BNSF 2023-225(RSP)	3	\$6,000	\$6,000	\$3,600	9/30/2024	
BNSF 2023-226(LI)	1	\$4,000	\$4,000	\$2,920	9/30/2024	
BNSF 2023-228(TS)	1	\$7,000	\$7,000	\$5,110	9/30/2024	
BNSF 2023-229(HMT)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-230(ROP)	1	\$7,500	\$7,500	\$5,475	9/30/2024	
BNSF 2023-231(ROP)	1	\$19,000	\$19,000	\$13,870	9/30/2024	
BNSF 2023-232(SA)	2	\$20,000	\$20,000	\$14,600	9/30/2024	
BNSF 2023-233(RW)	1	\$6,000	\$6,000	\$4,560	9/30/2024	
BNSF 2023-234(SA)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
BNSF 2023-235(ROP)	1	\$4,000	\$4,000	\$2,920	9/30/2024	
BNSF 2023-236(ROP)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
BNSF 2023-237(TS)	2	\$10,000	\$10,000	\$7,300	9/30/2024	
BNSF 2023-238(TS)	1	\$5,000	\$0	\$0	9/30/2024	Case Terminated
BNSF 2023-239(SA)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
BNSF 2023-240(EP)	1	\$2,000	\$2,000	\$1,460	9/30/2024	
BNSF 2023-241(LI)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-242(LI)	1	\$3,000	\$3,000	\$2,190	9/30/2024	
BNSF 2023-243(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2024	
BNSF 2023-244(FCS)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-245(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2024	
BNSF 2023-246(FCS)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-247(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-248(FCS)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
BNSF 2023-249(FCS)	1	\$2,500	\$2,500	\$1,825	9/30/2024	
BNSF 2023-250(SA)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
BNSF 2023-251(FCS)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-252(ROP)	1	\$15,000	\$15,000	\$10,950	9/30/2024	
BNSF 2023-253(TS)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-254(TS)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-255(TS)	1	\$2,000	\$2,000	\$1,460	9/30/2024	
BNSF 2023-256(TS)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
BNSF 2023-257(HS)	2	\$4,000	\$4,000	\$2,920	9/30/2024	

<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>
BNSF 2023-258(TS)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-259(TS)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
BNSF 2023-260(HS)	2	\$4,000	\$4,000	\$2,920	9/30/2024	
BNSF 2023-261(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-263(HS)	2	\$4,000	\$4,000	\$2,920	9/30/2024	
BNSF 2023-264(HS)	2	\$4,000	\$4,000	\$2,920	9/30/2024	
BNSF 2023-266(SA)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
BNSF 2023-267(TS)	3	\$30,000	\$30,000	\$21,900	9/30/2024	
BNSF 2023-268(HS)	1	\$2,000	\$2,000	\$1,460	9/30/2024	
BNSF 2023-269(SA)	1	\$2,500	\$2,500	\$2,000	9/30/2024	
BNSF 2023-270(HMT)	1	\$7,500	\$7,500	\$5,475	9/30/2024	
BNSF 2023-271(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2024	
BNSF 2023-272(FCS)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-273(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-274(LI)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-275(FCS)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-276(SA)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
BNSF 2023-277(FCS)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-278(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-279(TS)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
BNSF 2023-280(TS)	3	\$30,000	\$30,000	\$21,900	9/30/2024	
BNSF 2023-281(FCS)	1	\$2,500	\$2,500	\$1,825	9/30/2024	
BNSF 2023-282(SA)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
BNSF 2023-283(FCS)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-284(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-285(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-286(FCS)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-287(ROP)	1	\$4,000	\$4,000	\$2,920	9/30/2024	
BNSF 2023-288(SA)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
BNSF 2023-289(HS)	2	\$4,000	\$4,000	\$2,920	9/30/2024	
BNSF 2023-290(LI)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-291(GC)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-292(TS)	1	\$4,000	\$4,000	\$2,920	9/30/2024	
BNSF 2023-293(TS)	1	\$2,000	\$2,000	\$1,460	9/30/2024	
BNSF 2023-294(GC)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
BNSF 2023-295(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-296(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-297(SA)	2	\$20,000	\$20,000	\$14,600	9/30/2024	
BNSF 2023-298(LI)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-299(SA)	1	\$5,000	\$5,000	\$2,500	9/30/2024	
BNSF 2023-300(SA)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
BNSF 2023-301(TS)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
BNSF 2023-302(LI)	1	\$5,000	\$5,000	\$3,650	9/30/2024	

<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>
BNSF 2023-303(SA)	1	\$5,000	\$5,000	\$2,500	9/30/2024	
BNSF 2023-304(SA)	1	\$5,000	\$5,000	\$2,500	9/30/2024	
BNSF 2023-305(SA)	1	\$5,000	\$5,000	\$2,500	9/30/2024	
BNSF 2023-306(SA)	1	\$5,000	\$5,000	\$2,500	9/30/2024	
BNSF 2023-307(SA)	1	\$5,000	\$5,000	\$2,500	9/30/2024	
BNSF 2023-308(SA)	1	\$5,000	\$5,000	\$2,500	9/30/2024	
BNSF 2023-309(SA)	1	\$5,000	\$5,000	\$2,500	9/30/2024	
BNSF 2023-310(SA)	1	\$5,000	\$5,000	\$2,500	9/30/2024	
BNSF 2023-311(SI)	1	\$10,000	\$10,000	\$8,000	9/30/2024	
BNSF 2023-312(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-315(GC)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
BNSF 2023-316(TS)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-317(TS)	1	\$10,000	\$10,000	\$9,000	9/30/2024	
BNSF 2023-318(LI)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-319(LI)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-320(LI)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-321(TS)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-322(FCS)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-323(FCS)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-324(FCS)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-325(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-326(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-327(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-328(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-329(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-330(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-331(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-332(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2023-333(SA)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
BNSF 2023-334(TS)	1	\$2,000	\$2,000	\$1,460	9/30/2024	
BNSF 2024-001(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2024-002(TS)	2	\$20,000	\$20,000	\$14,600	9/30/2024	
BNSF 2024-004(TS)	1	\$10,000	\$10,000	\$10,000	9/30/2024	
BNSF 2024-005(ROP)	1	\$4,000	\$4,000	\$2,920	9/30/2024	
BNSF 2024-006(SA)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
BNSF 2024-007(LI)	1	\$4,000	\$4,000	\$2,920	9/30/2024	
BNSF 2024-008(LI)	1	\$4,000	\$4,000	\$2,920	9/30/2024	
BNSF 2024-010(TS)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
BNSF 2024-012(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2024-013(SA)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
BNSF 2024-014(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2024-016(GC)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
BNSF 2024-017(GC)	1	\$10,000	\$10,000	\$7,300	9/30/2024	

<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>
BNSF 2024-018(GC)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
BNSF 2024-020(SI)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2024-021(SA)	1	\$5,000	\$5,000	\$2,500	9/30/2024	
BNSF 2024-022(SA)	1	\$5,000	\$5,000	\$2,500	9/30/2024	
BNSF 2024-023(SA)	1	\$5,000	\$5,000	\$2,500	9/30/2024	
BNSF 2024-024(SA)	1	\$5,000	\$5,000	\$2,500	9/30/2024	
BNSF 2024-025(SA)	1	\$5,000	\$5,000	\$2,500	9/30/2024	
BNSF 2024-026(SA)	1	\$5,000	\$5,000	\$2,500	9/30/2024	
BNSF 2024-027(SA)	1	\$5,000	\$5,000	\$2,500	9/30/2024	
BNSF 2024-028(SA)	1	\$5,000	\$5,000	\$2,500	9/30/2024	
BNSF 2024-029(SA)	1	\$5,000	\$5,000	\$2,500	9/30/2024	
BNSF 2024-030(SA)	1	\$5,000	\$5,000	\$2,500	9/30/2024	
BNSF 2024-031(SA)	1	\$5,000	\$5,000	\$2,500	9/30/2024	
BNSF 2024-032(SA)	1	\$5,000	\$5,000	\$2,500	9/30/2024	
BNSF 2024-034(TS)	1	\$10,000	\$10,000	\$9,000	9/30/2024	
BNSF 2024-035(HS)	2	\$4,000	\$4,000	\$2,920	9/30/2024	
BNSF 2024-036(SA)	1	\$5,000	\$5,000	\$2,500	9/30/2024	
BNSF 2024-037(SA)	1	\$5,000	\$5,000	\$2,500	9/30/2024	
BNSF 2024-039(SA)	1	\$5,000	\$5,000	\$2,500	9/30/2024	
BNSF 2024-040(SA)	1	\$5,000	\$5,000	\$2,500	9/30/2024	
BNSF 2024-041(SA)	1	\$5,000	\$5,000	\$2,500	9/30/2024	
BNSF 2024-042(SA)	1	\$5,000	\$5,000	\$2,500	9/30/2024	
BNSF 2024-043(SA)	1	\$5,000	\$5,000	\$2,500	9/30/2024	
BNSF 2024-045(SA)	1	\$5,000	\$5,000	\$2,500	9/30/2024	
BNSF 2024-046(SA)	1	\$5,000	\$5,000	\$2,500	9/30/2024	
BNSF 2024-047(SA)	1	\$5,000	\$5,000	\$2,500	9/30/2024	
BNSF 2024-049(SA)	1	\$5,000	\$5,000	\$2,500	9/30/2024	
BNSF 2024-050(SA)	1	\$5,000	\$5,000	\$2,500	9/30/2024	
BNSF 2024-051(SA)	1	\$5,000	\$5,000	\$2,500	9/30/2024	
BNSF 2024-053(SA)	1	\$5,000	\$5,000	\$2,500	9/30/2024	
BNSF 2024-054(SA)	1	\$5,000	\$5,000	\$2,500	9/30/2024	
BNSF 2024-055(SA)	1	\$5,000	\$5,000	\$2,500	9/30/2024	
BNSF 2024-057(SA)	1	\$5,000	\$5,000	\$2,500	9/30/2024	
BNSF 2024-058(SA)	1	\$5,000	\$5,000	\$2,500	9/30/2024	
BNSF 2024-059(SA)	1	\$5,000	\$5,000	\$2,500	9/30/2024	
BNSF 2024-061(SA)	1	\$5,000	\$5,000	\$2,500	9/30/2024	
BNSF 2024-065(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2024-066(LI)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2024-067(ROP)	1	\$4,000	\$4,000	\$2,920	9/30/2024	
BNSF 2024-069(TS)	2	\$4,000	\$4,000	\$2,920	9/30/2024	
BNSF 2024-071(TS)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2024-073(TS)	2	\$20,000	\$20,000	\$14,600	9/30/2024	
BNSF 2024-077(TS)	4	\$8,000	\$8,000	\$5,840	9/30/2024	

<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>
BNSF 2024-081(TS)	1	\$2,000	\$2,000	\$1,800	9/30/2024	
BNSF 2024-082(TS)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2024-085(GC)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
BNSF 2024-086(GC)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
BNSF 2024-089(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2024-090(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2024-093(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2024-094(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2024-095(HS)	2	\$4,000	\$4,000	\$2,920	9/30/2024	
BNSF 2024-097(SA)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
BNSF 2024-098(HMT)	1	\$2,000	\$2,000	\$1,000	9/30/2024	
BNSF 2024-099(TS)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2024-101(TS)	2	\$10,000	\$10,000	\$7,300	9/30/2024	
BNSF 2024-102(TS)	1	\$2,000	\$2,000	\$2,000	9/30/2024	
BNSF 2024-103(LI)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2024-106(SA)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
BNSF 2024-107(FCS)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2024-109(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2024-111(SA)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
BNSF 2024-113(SA)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
BNSF 2024-114(SA)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
BNSF 2024-115(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2024-118(SA)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
BNSF 2024-122(LI)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
BNSF 2024-127(SA)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
BOCH 2023-001(HMT)	1	\$2,000	\$2,000	\$1,500	11/22/2023	
BPRR 2023-001(FCS)	1	\$5,000	\$5,000	\$3,500	9/27/2024	
BRC 2023-002(FCS)	1	\$5,000	\$5,000	\$3,750	11/27/2023	
BRC 2023-003(FCS)	1	\$5,000	\$5,000	\$3,750	11/21/2023	
BRC 2023-004(SA)	1	\$5,000	\$5,000	\$3,750	11/21/2023	
BRC 2023-005(SA)	1	\$5,000	\$5,000	\$3,750	11/21/2023	
BRC 2023-006(SA)	1	\$5,000	\$5,000	\$4,250	11/21/2023	
BRC 2023-007(SA)	1	\$5,000	\$5,000	\$3,750	2/14/2024	
BRC 2023-008(FCS)	1	\$5,000	\$5,000	\$3,750	2/14/2024	
BRC 2024-001(SA)	1	\$5,000	\$5,000	\$3,750	2/14/2024	
BRC 2024-002(SA)	1	\$5,000	\$5,000	\$3,750	2/14/2024	
BRC 2024-003(SA)	1	\$5,000	\$5,000	\$3,750	3/7/2024	
BRC 2024-004(SA)	1	\$10,000	\$10,000	\$6,000	7/8/2024	
BRC 2024-005(SA)	1	\$10,000	\$10,000	\$6,000	7/8/2024	
BRC 2024-006(FCS)	1	\$5,200	\$5,200	\$3,900	7/8/2024	
BRC 2024-007(SA)	1	\$10,300	\$10,300	\$7,725	7/8/2024	
BRC 2024-008(SA)	1	\$10,300	\$10,300	\$7,725	7/8/2024	
BRC 2024-009(SA)	1	\$5,200	\$0	\$0	7/8/2024	Case Terminated

<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>
BRC 2024-010(FCS)	1	\$5,200	\$0	\$0	7/8/2024	Case Terminated
BRC 2024-011(SA)	1	\$5,200	\$5,200	\$3,900	8/6/2024	
BRC 2024-012(FCS)	1	\$5,200	\$5,200	\$3,900	8/6/2024	
BRC 2024-013(FCS)	1	\$5,200	\$5,200	\$3,900	8/6/2024	
BRC 2024-014(FCS)	1	\$5,200	\$5,200	\$3,900	8/6/2024	
BRC 2024-015(RW)	1	\$6,200	\$6,200	\$4,650	8/6/2024	
BRG 2024-001(TS)	1	\$10,000	\$10,000	\$8,000	6/4/2024	
BVRR 2023-002(CC)	1	\$7,500	\$7,500	\$4,875	9/25/2024	
CBRW 2024-001(TS)	2	\$10,000	\$10,000	\$7,500	4/12/2024	
CFNR 2023-001(GC)	1	\$10,000	\$10,000	\$7,000	9/27/2024	
CFRC 2024-001(GC)	1	\$10,000	\$10,000	\$7,500	8/15/2024	
CHRQ 2023-001(HMT)	1	\$4,000	\$4,000	\$4,000	4/23/2024	
CIND 2023-001(GC)	1	\$2,500	\$2,500	\$1,800	9/27/2024	
CIND 2023-002(GC)	1	\$5,000	\$5,000	\$3,600	9/27/2024	
CIND 2023-003(GC)	1	\$2,500	\$2,500	\$1,800	9/27/2024	
CIND 2023-004(GC)	1	\$5,000	\$5,000	\$3,600	9/27/2024	
CIND 2023-005(GC)	1	\$5,000	\$5,000	\$3,500	9/27/2024	
CN 2022-102(LI)	1	\$2,500	\$2,500	\$1,825	9/20/2024	
CN 2023-002(SA)	1	\$2,500	\$2,500	\$1,725	9/20/2024	
CN 2023-003(SA)	1	\$2,500	\$2,500	\$1,725	9/20/2024	
CN 2023-004(SA)	1	\$5,000	\$5,000	\$3,600	9/20/2024	
CN 2023-005(SA)	1	\$2,500	\$2,500	\$1,800	9/20/2024	
CN 2023-006(SA)	1	\$2,500	\$2,500	\$1,725	9/20/2024	
CN 2023-007(FCS)	1	\$2,500	\$2,500	\$1,750	9/20/2024	
CN 2023-008(SA)	1	\$2,500	\$2,500	\$1,800	9/20/2024	
CN 2023-009(SA)	1	\$2,500	\$2,500	\$1,725	9/20/2024	
CN 2023-010(SA)	1	\$2,500	\$2,500	\$1,800	9/20/2024	
CN 2023-011(SA)	1	\$2,500	\$2,500	\$1,725	9/20/2024	
CN 2023-012(SA)	1	\$5,000	\$5,000	\$3,750	9/20/2024	
CN 2023-013(FCS)	1	\$2,500	\$2,500	\$1,825	9/20/2024	
CN 2023-014(SA)	1	\$5,000	\$5,000	\$3,750	9/20/2024	
CN 2023-015(LI)	1	\$2,500	\$2,500	\$1,825	9/20/2024	
CN 2023-016(SA)	1	\$5,000	\$5,000	\$3,750	9/20/2024	
CN 2023-017(SA)	1	\$5,000	\$5,000	\$3,750	9/20/2024	
CN 2023-018(CC)	1	\$4,000	\$4,000	\$3,000	9/20/2024	
CN 2023-019(FCS)	1	\$2,500	\$2,500	\$1,825	9/20/2024	
CN 2023-020(LI)	1	\$1,500	\$1,500	\$1,080	9/20/2024	
CN 2023-021(SA)	1	\$2,500	\$2,500	\$1,800	9/20/2024	
CN 2023-022(SA)	1	\$5,000	\$5,000	\$3,700	9/20/2024	
CN 2023-023(SA)	1	\$5,000	\$5,000	\$3,750	9/20/2024	
CN 2023-024(FCS)	1	\$2,500	\$2,500	\$1,825	9/20/2024	
CN 2023-025(FCS)	1	\$2,500	\$2,500	\$1,800	9/20/2024	
CN 2023-026(LI)	1	\$2,500	\$2,500	\$1,800	9/20/2024	

<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>
CN 2023-027(FCS)	1	\$2,500	\$2,500	\$1,825	9/20/2024	
CN 2023-028(SA)	1	\$5,000	\$5,000	\$3,650	9/20/2024	
CN 2023-029(SA)	1	\$5,000	\$5,000	\$3,750	9/20/2024	
CN 2023-030(LI)	1	\$5,000	\$5,000	\$3,600	9/20/2024	
CN 2023-031(SA)	1	\$5,000	\$5,000	\$3,800	9/20/2024	
CN 2023-032(SA)	1	\$2,500	\$2,500	\$1,775	9/20/2024	
CN 2023-033(SA)	1	\$5,000	\$5,000	\$3,800	9/20/2024	
CN 2023-034(SA)	1	\$10,000	\$10,000	\$7,300	9/20/2024	
CN 2023-035(SA)	1	\$10,000	\$10,000	\$7,300	9/20/2024	
CN 2023-036(SA)	1	\$5,000	\$5,000	\$3,650	9/20/2024	
CN 2023-037(AR)	1	\$2,500	\$2,500	\$1,800	9/20/2024	
CN 2023-038(AR)	1	\$2,500	\$2,500	\$1,825	9/20/2024	
CN 2023-039(AR)	1	\$2,500	\$2,500	\$1,825	9/20/2024	
CN 2023-040(AR)	1	\$2,500	\$2,500	\$1,825	9/20/2024	
CN 2023-041(SA)	1	\$5,000	\$5,000	\$3,650	9/20/2024	
CN 2023-042(SA)	1	\$5,000	\$5,000	\$3,600	9/20/2024	
CN 2023-043(SA)	1	\$10,000	\$10,000	\$7,500	9/20/2024	
CN 2023-044(SA)	1	\$2,500	\$2,500	\$1,800	9/20/2024	
CN 2023-045(AR)	1	\$2,500	\$2,500	\$1,825	9/20/2024	
CN 2023-046(AR)	1	\$2,500	\$2,500	\$1,825	9/20/2024	
CN 2023-047(AR)	1	\$2,500	\$2,500	\$1,725	9/20/2024	
CN 2023-048(TS)	1	\$5,000	\$5,000	\$3,650	9/20/2024	
CN 2023-049(TS)	1	\$5,000	\$5,000	\$3,650	9/20/2024	
CN 2023-050(LI)	1	\$3,000	\$3,000	\$2,220	9/20/2024	
CN 2023-051(SA)	1	\$5,000	\$5,000	\$3,750	9/20/2024	
CN 2023-052(SA)	1	\$10,000	\$10,000	\$7,500	9/20/2024	
CN 2023-053(FCS)	1	\$5,000	\$5,000	\$3,650	9/20/2024	
CN 2023-054(SA)	1	\$5,000	\$5,000	\$3,400	9/20/2024	
CN 2023-055(SA)	1	\$5,000	\$5,000	\$3,400	9/20/2024	
CN 2023-056(SA)	1	\$10,000	\$10,000	\$6,900	9/20/2024	
CN 2023-057(SA)	1	\$5,000	\$5,000	\$3,500	9/20/2024	
CN 2023-058(LI)	1	\$2,500	\$2,500	\$1,825	9/20/2024	
CN 2023-059(SA)	1	\$10,000	\$10,000	\$7,500	9/20/2024	
CN 2023-060(SA)	1	\$10,000	\$10,000	\$7,500	9/20/2024	
CN 2023-061(SA)	1	\$10,000	\$10,000	\$7,400	9/20/2024	
CN 2023-062(SA)	1	\$10,000	\$10,000	\$7,300	9/20/2024	
CN 2023-063(SA)	1	\$10,000	\$10,000	\$6,900	9/20/2024	
CN 2023-064(SA)	1	\$5,000	\$5,000	\$3,450	9/20/2024	
CN 2023-065(SA)	1	\$10,000	\$10,000	\$7,400	9/20/2024	
CN 2023-066(AR)	1	\$2,500	\$2,500	\$1,825	9/20/2024	
CN 2023-067(AR)	1	\$2,500	\$2,500	\$1,650	9/20/2024	
CN 2023-068(AR)	1	\$2,500	\$2,500	\$1,825	9/20/2024	
CN 2023-069(AR)	1	\$2,500	\$2,500	\$1,650	9/20/2024	

<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>
CN 2023-070(AR)	1	\$2,500	\$2,500	\$1,825	9/20/2024	
CN 2023-071(SA)	1	\$5,000	\$5,000	\$3,650	9/20/2024	
CN 2023-072(SA)	1	\$5,000	\$5,000	\$3,650	9/20/2024	
CN 2023-073(FCS)	1	\$5,000	\$5,000	\$3,700	9/20/2024	
CN 2023-074(SA)	1	\$10,000	\$10,000	\$7,600	9/20/2024	
CN 2023-075(LI)	1	\$5,000	\$5,000	\$3,600	9/20/2024	
CN 2023-076(LI)	1	\$5,000	\$5,000	\$3,550	9/20/2024	
CN 2023-077(SA)	1	\$5,000	\$5,000	\$3,650	9/20/2024	
CN 2023-078(TS)	1	\$5,000	\$5,000	\$3,650	9/20/2024	
CN 2023-079(SA)	1	\$5,000	\$5,000	\$3,650	9/20/2024	
CN 2023-080(FCS)	1	\$5,000	\$5,000	\$3,650	9/20/2024	
CN 2023-083(FCS)	1	\$5,000	\$5,000	\$3,550	9/20/2024	
CN 2023-084(SA)	1	\$5,000	\$5,000	\$3,650	9/20/2024	
CN 2023-085(LI)	1	\$2,000	\$2,000	\$1,460	9/20/2024	
CN 2023-086(FCS)	1	\$5,000	\$5,000	\$3,550	9/20/2024	
CN 2023-087(FCS)	1	\$5,000	\$5,000	\$3,550	9/20/2024	
CN 2023-087(SA)	1	\$5,000	\$5,000	\$3,550	9/20/2024	
CN 2023-088(LI)	1	\$5,000	\$5,000	\$3,500	9/20/2024	
CN 2023-088(SA)	1	\$5,000	\$5,000	\$3,550	9/20/2024	
CN 2023-089(SA)	1	\$5,000	\$5,000	\$3,600	9/20/2024	
CN 2023-090(SA)	1	\$10,000	\$10,000	\$7,200	9/20/2024	
CN 2023-091(TS)	1	\$10,000	\$10,000	\$7,100	9/20/2024	
CN 2023-092(TS)	1	\$10,000	\$10,000	\$7,600	9/20/2024	
CN 2023-093(SA)	1	\$5,000	\$5,000	\$3,750	9/20/2024	
CN 2023-094(SA)	1	\$5,000	\$5,000	\$3,650	9/20/2024	
CN 2023-095(SA)	1	\$5,000	\$5,000	\$3,600	9/20/2024	
CN 2023-096(SA)	1	\$5,000	\$5,000	\$3,600	9/20/2024	
CN 2023-097(SA)	1	\$10,000	\$10,000	\$7,600	9/20/2024	
CN 2023-098(SA)	1	\$5,000	\$5,000	\$3,650	9/20/2024	
CN 2023-099(SA)	1	\$5,000	\$5,000	\$3,600	9/20/2024	
CN 2023-100(LI)	1	\$5,000	\$5,000	\$3,600	9/20/2024	
CN 2023-101(LI)	1	\$5,000	\$5,000	\$3,650	9/20/2024	
CN 2023-102(SA)	1	\$10,000	\$10,000	\$7,600	9/20/2024	
CN 2023-103(ROP)	1	\$19,000	\$19,000	\$14,250	9/20/2024	
CN 2023-104(SA)	1	\$5,000	\$5,000	\$3,450	9/20/2024	
CN 2023-105(SA)	1	\$10,000	\$10,000	\$7,200	9/20/2024	
CN 2023-106(SA)	1	\$5,000	\$5,000	\$3,600	9/20/2024	
CN 2023-107(SA)	1	\$10,000	\$10,000	\$7,400	9/20/2024	
CN 2023-108(FCS)	1	\$5,000	\$5,000	\$3,700	9/20/2024	
CN 2023-109(SA)	1	\$10,000	\$10,000	\$7,200	9/20/2024	
CN 2023-110(SA)	1	\$5,000	\$5,000	\$3,500	9/20/2024	
CN 2023-111(SA)	1	\$5,000	\$5,000	\$3,600	9/20/2024	
CN 2023-112(SA)	1	\$5,000	\$5,000	\$3,600	9/20/2024	

<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>
CN 2023-113(LI)	1	\$5,000	\$5,000	\$3,550	9/20/2024	
CN 2023-114(SA)	1	\$5,000	\$5,000	\$3,750	9/20/2024	
CN 2023-115(SA)	1	\$10,000	\$10,000	\$7,000	9/20/2024	
CN 2023-116(FCS)	1	\$10,000	\$10,000	\$6,900	9/20/2024	
CN 2023-117(SA)	1	\$10,000	\$10,000	\$6,900	9/20/2024	
CN 2023-118(SA)	1	\$5,000	\$5,000	\$3,600	9/20/2024	
CN 2023-119(SA)	1	\$5,000	\$5,000	\$3,600	9/20/2024	
CN 2023-120(SA)	1	\$10,000	\$10,000	\$6,900	9/20/2024	
CN 2023-121(SA)	1	\$10,000	\$10,000	\$6,900	9/20/2024	
CN 2023-122(SA)	1	\$5,000	\$5,000	\$3,450	9/20/2024	
CN 2023-123(FCS)	1	\$10,000	\$10,000	\$7,200	9/20/2024	
CN 2023-124(SA)	1	\$5,000	\$5,000	\$3,700	9/20/2024	
CORP 2023-001(SA)	1	\$10,000	\$10,000	\$7,500	9/27/2024	
CP 2023-009(LI)	1	\$2,500	\$2,500	\$1,875	9/29/2024	
CP 2023-015(SA)	1	\$2,500	\$2,500	\$1,750	9/29/2024	
CP 2023-016(SA)	1	\$2,500	\$2,500	\$1,750	9/29/2024	
CP 2023-018(SA)	1	\$5,000	\$5,000	\$3,500	9/29/2024	
CP 2023-019(SA)	1	\$10,000	\$10,000	\$7,600	9/29/2024	
CP 2023-020(SA)	1	\$5,000	\$5,000	\$3,500	9/29/2024	
CP 2023-021(FCS)	1	\$5,000	\$5,000	\$4,000	9/29/2024	
CPDR 2024-001(GC)	1	\$10,000	\$10,000	\$7,000	9/27/2024	
CPKC 2023-001(SA)	1	\$10,000	\$10,000	\$6,800	9/29/2024	
CPKC 2023-002(SA)	1	\$10,000	\$10,000	\$6,800	9/29/2024	
CPKC 2023-003(SA)	1	\$10,000	\$10,000	\$6,800	9/29/2024	
CPKC 2023-004(SA)	1	\$5,000	\$5,000	\$3,500	9/29/2024	
CPKC 2023-005(SA)	1	\$5,000	\$5,000	\$3,500	9/29/2024	
CPKC 2023-006(SA)	1	\$5,000	\$5,000	\$3,500	9/29/2024	
CPKC 2023-007(SA)	1	\$10,000	\$10,000	\$6,700	9/29/2024	
CPKC 2023-008(SA)	1	\$10,000	\$10,000	\$7,000	9/29/2024	
CPKC 2023-009(SA)	1	\$5,000	\$5,000	\$3,500	9/29/2024	
CPKC 2023-010(SA)	1	\$10,000	\$10,000	\$6,800	9/29/2024	
CPKC 2023-011(LI)	1	\$5,000	\$5,000	\$3,550	9/29/2024	
CPKC 2023-012(LI)	1	\$5,000	\$5,000	\$3,400	9/29/2024	
CPKC 2023-013(LI)	1	\$4,000	\$4,000	\$2,720	9/29/2024	
CPKC 2023-014(SA)	1	\$10,000	\$10,000	\$7,200	9/29/2024	
CPKC 2023-015(LI)	1	\$5,000	\$5,000	\$3,500	9/29/2024	
CPKC 2023-016(SA)	1	\$5,000	\$5,000	\$3,500	9/29/2024	
CPKC 2023-017(GC)	1	\$2,000	\$2,000	\$1,400	9/29/2024	
CPKC 2023-018(SA)	1	\$10,000	\$10,000	\$7,400	9/29/2024	
CPKC 2023-019(SA)	1	\$5,000	\$5,000	\$3,500	9/29/2024	
CPKC 2023-020(SA)	1	\$10,000	\$10,000	\$7,000	9/29/2024	
CPKC 2023-021(SA)	1	\$10,000	\$10,000	\$7,000	9/29/2024	
CPKC 2023-022(SA)	1	\$5,000	\$5,000	\$3,500	9/29/2024	

<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>
CPKC 2023-023(LI)	1	\$5,000	\$5,000	\$3,550	9/29/2024	
CPKC 2023-024(FCS)	1	\$5,000	\$5,000	\$3,500	9/29/2024	
CPKC 2023-025(SA)	1	\$10,000	\$10,000	\$7,000	9/29/2024	
CPKC 2023-026(FCS)	1	\$5,000	\$5,000	\$3,500	9/29/2024	
CPKC 2023-027(LI)	1	\$5,000	\$5,000	\$3,550	9/29/2024	
CPKC 2023-028(LI)	1	\$5,000	\$5,000	\$3,250	9/29/2024	
CPKC 2023-029(SA)	1	\$10,000	\$10,000	\$7,000	9/29/2024	
CPKC 2023-030(HMT)	1	\$35,000	\$35,000	\$27,000	9/29/2024	
CPKC 2023-031(HMT)	10	\$85,000	\$85,000	\$65,500	9/29/2024	
CPKC 2023-032(HSR)	1	\$2,000	\$2,000	\$1,500	9/29/2024	
CPKC 2024-001(SA)	1	\$5,000	\$5,000	\$3,500	9/29/2024	
CPKC 2024-002(TS)	1	\$10,000	\$10,000	\$7,000	9/29/2024	
CPKC 2024-003(LI)	1	\$5,000	\$5,000	\$3,550	9/29/2024	
CPKC 2024-004(GC)	1	\$10,000	\$10,000	\$7,000	9/29/2024	
CPKC 2024-005(GC)	1	\$10,000	\$10,000	\$7,000	9/29/2024	
CPKC 2024-006(SA)	1	\$10,000	\$10,000	\$7,000	9/29/2024	
CPKC 2024-007(GC)	1	\$10,000	\$10,000	\$7,000	9/29/2024	
CPKC 2024-008(GC)	1	\$5,000	\$5,000	\$3,500	9/29/2024	
CPKC 2024-009(GC)	1	\$10,000	\$10,000	\$6,700	9/29/2024	
CPKC 2024-010(LI)	1	\$5,000	\$5,000	\$3,500	9/29/2024	
CPKC 2024-012(FCS)	1	\$5,000	\$5,000	\$3,500	9/29/2024	
CPKC 2024-013(SA)	1	\$10,000	\$10,000	\$7,000	9/29/2024	
CPKC 2024-014(GC)	1	\$5,000	\$5,000	\$3,350	9/29/2024	
CPKC 2024-015(GC)	1	\$10,000	\$10,000	\$7,000	9/29/2024	
CPKC 2024-016(GC)	1	\$5,000	\$5,000	\$3,350	9/29/2024	
CPKC 2024-017(GC)	1	\$10,000	\$10,000	\$7,000	9/29/2024	
CPKC 2024-018(HSR)	1	\$2,000	\$2,000	\$1,300	9/29/2024	
CPKC 2024-020(LI)	1	\$5,000	\$5,000	\$3,900	9/29/2024	
CPKC 2024-021(HMT)	1	\$5,000	\$5,000	\$3,500	9/29/2024	
CPKC 2024-022(SA)	1	\$5,000	\$5,000	\$3,500	9/29/2024	
CPKC 2024-023(LI)	1	\$5,000	\$5,000	\$3,550	9/29/2024	
CPKC 2024-024(LI)	1	\$5,000	\$5,000	\$3,500	9/29/2024	
CPKC 2024-025(FCS)	1	\$5,000	\$5,000	\$3,500	9/29/2024	
CPKC 2024-026(SA)	1	\$10,000	\$10,000	\$6,900	9/29/2024	
CPKC 2024-027(SA)	1	\$10,000	\$10,000	\$6,700	9/29/2024	
CPKC 2024-028(FCS)	1	\$5,000	\$5,000	\$3,500	9/29/2024	
CRRX 2023-001(AD)	1	\$2,500	\$2,500	\$2,500	11/8/2023	
CRRX 2023-002(AD)	1	\$5,000	\$5,000	\$5,000	11/8/2023	
CRRX 2023-003(AD)	1	\$5,000	\$5,000	\$5,000	11/8/2023	
CRRX 2023-004(AD)	4	\$20,000	\$20,000	\$20,000	11/8/2023	
CRSM 2023-004(AD)	2	\$10,000	\$10,000	\$10,000	9/16/2024	
CRSM 2023-005(SA)	1	\$10,000	\$10,000	\$8,500	9/16/2024	
CRSM 2023-006(LI)	1	\$3,000	\$3,000	\$2,500	9/16/2024	

<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>
CRSM 2024-001(SA)	1	\$2,500	\$2,500	\$2,000	9/16/2024	
CRSM 2024-002(SA)	1	\$10,000	\$10,000	\$8,500	9/16/2024	
CRSM 2024-003(LI)	1	\$5,000	\$5,000	\$4,000	9/16/2024	
CRSM 2024-004(LI)	1	\$5,000	\$5,000	\$4,000	9/16/2024	
CRSM 2024-005(LI)	1	\$5,000	\$5,000	\$4,000	9/16/2024	
CRSM 2024-006(FCS)	1	\$2,500	\$2,500	\$2,000	9/16/2024	
CRSM 2024-007(FCS)	1	\$5,000	\$5,000	\$4,000	9/16/2024	
CRSM 2024-008(LI)	1	\$5,200	\$5,200	\$4,200	9/16/2024	
CRSM 2024-009(LI)	1	\$10,000	\$10,000	\$8,000	9/16/2024	
CRSM 2024-010(LI)	1	\$5,200	\$5,200	\$4,200	9/16/2024	
CRSM 2024-011(LI)	1	\$6,000	\$6,000	\$4,800	9/16/2024	
CRSM 2024-012(LI)	1	\$5,200	\$5,200	\$4,300	9/16/2024	
CRSM 2024-013(LI)	1	\$5,200	\$5,200	\$4,200	9/16/2024	
CSS 2023-001(SA)	1	\$10,000	\$10,000	\$8,500	1/25/2024	
CSX 2021-371(EQ)	9	\$22,500	\$22,500	\$16,289	9/25/2024	
CSX 2022-020(LI)	2	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2022-030(ROP)	1	\$9,500	\$9,500	\$6,650	9/25/2024	
CSX 2022-045(GC)	1	\$2,500	\$2,500	\$1,813	9/25/2024	
CSX 2022-055(HMT)	3	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2022-400(HMT)	2	\$6,500	\$6,500	\$4,713	9/25/2024	
CSX 2022-401(HMT)	2	\$6,500	\$6,500	\$4,713	9/25/2024	
CSX 2023-038(SA)	1	\$2,500	\$2,500	\$1,813	9/25/2024	
CSX 2023-039(RW)	1	\$1,500	\$1,500	\$1,083	9/25/2024	
CSX 2023-040(SA)	1	\$2,500	\$2,500	\$1,813	9/25/2024	
CSX 2023-041(HS)	2	\$4,000	\$4,000	\$2,900	9/25/2024	
CSX 2023-042(ROP)	1	\$9,500	\$9,500	\$7,139	9/25/2024	
CSX 2023-043(SA)	1	\$2,500	\$2,500	\$1,813	9/25/2024	
CSX 2023-044(SA)	1	\$2,500	\$2,500	\$1,813	9/25/2024	
CSX 2023-045(FCS)	1	\$2,500	\$2,500	\$1,770	9/25/2024	
CSX 2023-046(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-047(AR)	1	\$2,000	\$2,000	\$1,450	9/25/2024	
CSX 2023-048(SA)	1	\$2,500	\$2,500	\$1,813	9/25/2024	
CSX 2023-049(SA)	1	\$5,000	\$2,500	\$2,250	9/25/2024	Partially Terminated: 1
CSX 2023-050(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-051(FCS)	1	\$2,500	\$2,500	\$1,808	9/25/2024	
CSX 2023-052(FCS)	1	\$2,500	\$2,500	\$1,808	9/25/2024	
CSX 2023-053(LI)	1	\$2,000	\$2,000	\$1,450	9/25/2024	
CSX 2023-054(SA)	1	\$2,500	\$2,500	\$1,813	9/25/2024	
CSX 2023-055(SA)	1	\$2,500	\$2,500	\$1,813	9/25/2024	
CSX 2023-056(FCS)	1	\$5,000	\$0	\$0	9/25/2024	Case Terminated
CSX 2023-057(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-058(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	

<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>
CSX 2023-059(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-060(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-061(SA)	1	\$2,500	\$2,500	\$1,813	9/25/2024	
CSX 2023-062(SA)	1	\$5,000	\$2,500	\$2,250	9/25/2024	Partially Terminated: 1
CSX 2023-063(SA)	1	\$2,500	\$2,500	\$1,813	9/25/2024	
CSX 2023-064(SA)	1	\$5,000	\$2,500	\$2,250	9/25/2024	Partially Terminated: 1
CSX 2023-065(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-066(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-067(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-068(HMT)	1	\$2,500	\$2,500	\$1,813	9/25/2024	
CSX 2023-069(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-070(SA)	1	\$2,500	\$2,500	\$1,813	9/25/2024	
CSX 2023-071(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-072(ROP)	1	\$7,500	\$7,500	\$5,426	9/25/2024	
CSX 2023-073(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-074(AR)	1	\$2,500	\$0	\$0	9/25/2024	Case Terminated
CSX 2023-075(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-076(SA)	1	\$5,000	\$2,500	\$2,250	9/25/2024	Partially Terminated: 1
CSX 2023-077(SA)	1	\$2,500	\$2,500	\$1,813	9/25/2024	
CSX 2023-078(FCS)	1	\$2,500	\$2,500	\$1,770	9/25/2024	
CSX 2023-079(SA)	1	\$5,000	\$2,500	\$2,250	9/25/2024	Partially Terminated: 1
CSX 2023-080(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-081(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-082(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-083(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-084(SA)	1	\$2,500	\$2,500	\$1,813	9/25/2024	
CSX 2023-085(SA)	1	\$2,500	\$2,500	\$1,813	9/25/2024	
CSX 2023-086(FCS)	1	\$2,500	\$2,500	\$1,808	9/25/2024	
CSX 2023-087(FCS)	1	\$2,500	\$2,500	\$1,808	9/25/2024	
CSX 2023-088(SA)	1	\$2,500	\$2,500	\$1,813	9/25/2024	
CSX 2023-089(ROP)	1	\$9,500	\$9,500	\$7,139	9/25/2024	
CSX 2023-090(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-091(HMT)	1	\$6,000	\$6,000	\$4,350	9/25/2024	
CSX 2023-092(FCS)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-093(FCS)	1	\$2,500	\$2,500	\$1,808	9/25/2024	
CSX 2023-094(ROP)	1	\$7,500	\$7,500	\$5,515	9/25/2024	
CSX 2023-095(FCS)	1	\$2,500	\$2,500	\$1,808	9/25/2024	
CSX 2023-096(HSR)	7	\$14,000	\$14,000	\$10,189	9/25/2024	
CSX 2023-097(SI)	1	\$5,000	\$5,000	\$3,625	9/25/2024	

<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>
CSX 2023-098(FCS)	1	\$2,500	\$2,500	\$1,808	9/25/2024	
CSX 2023-099(SA)	1	\$2,500	\$2,500	\$1,813	9/25/2024	
CSX 2023-100(HMT)	1	\$6,000	\$6,000	\$4,350	9/25/2024	
CSX 2023-101(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2023-102(ROP)	1	\$7,500	\$7,500	\$5,426	9/25/2024	
CSX 2023-103(ROP)	1	\$7,500	\$7,500	\$5,535	9/25/2024	
CSX 2023-104(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2023-105(SA)	1	\$2,500	\$2,500	\$1,813	9/25/2024	
CSX 2023-106(EP)	1	\$4,000	\$4,000	\$2,900	9/25/2024	
CSX 2023-107(EP)	1	\$2,000	\$2,000	\$1,450	9/25/2024	
CSX 2023-108(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-109(HMT)	1	\$7,000	\$7,000	\$5,075	9/25/2024	
CSX 2023-110(FCS)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-111(SI)	1	\$2,000	\$2,000	\$1,450	9/25/2024	
CSX 2023-112(SI)	1	\$2,000	\$2,000	\$1,450	9/25/2024	
CSX 2023-113(SI)	1	\$2,000	\$2,000	\$1,350	9/25/2024	
CSX 2023-114(AR)	1	\$2,500	\$2,500	\$1,813	9/25/2024	
CSX 2023-115(AR)	1	\$5,000	\$5,000	\$3,500	9/25/2024	
CSX 2023-116(AR)	1	\$2,500	\$2,500	\$1,813	9/25/2024	
CSX 2023-117(SI)	1	\$2,000	\$2,000	\$1,450	9/25/2024	
CSX 2023-118(SI)	1	\$2,000	\$2,000	\$1,450	9/25/2024	
CSX 2023-119(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2023-120(LI)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-121(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-122(FCS)	1	\$5,000	\$0	\$0	9/25/2024	Case Terminated
CSX 2023-123(ROP)	3	\$6,000	\$6,000	\$4,350	9/25/2024	
CSX 2023-124(TS)	1	\$5,000	\$2,500	\$2,275	9/25/2024	Partially Terminated: 1
CSX 2023-125(ROP)	1	\$15,000	\$15,000	\$10,875	9/25/2024	
CSX 2023-126(LI)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-127(TS)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2023-128(LI)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-129(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-130(AR)	1	\$5,000	\$5,000	\$2,500	9/25/2024	
CSX 2023-131(AR)	1	\$2,500	\$2,500	\$1,813	9/25/2024	
CSX 2023-132(ROP)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2023-133(AR)	1	\$5,000	\$5,000	\$2,500	9/25/2024	
CSX 2023-134(AR)	1	\$2,500	\$2,500	\$1,813	9/25/2024	
CSX 2023-135(GC)	1	\$2,000	\$2,000	\$1,450	9/25/2024	
CSX 2023-136(TS)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-137(FCS)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-138(LI)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-139(HMT)	1	\$4,000	\$4,000	\$2,900	9/25/2024	

<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>
CSX 2023-140(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2023-141(LI)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-142(ROP)	1	\$15,000	\$15,000	\$10,875	9/25/2024	
CSX 2023-143(HMT)	1	\$7,000	\$7,000	\$5,075	9/25/2024	
CSX 2023-144(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-145(LI)	4	\$20,000	\$20,000	\$14,500	9/25/2024	
CSX 2023-146(LI)	1	\$6,000	\$6,000	\$4,350	9/25/2024	
CSX 2023-147(LI)	3	\$15,000	\$15,000	\$10,875	9/25/2024	
CSX 2023-148(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2023-149(FCS)	1	\$10,000	\$10,000	\$7,090	9/25/2024	
CSX 2023-150(FCS)	1	\$10,000	\$0	\$0	9/25/2024	Case Terminated
CSX 2023-151(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2023-152(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-153(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-154(FCS)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-155(SA)	1	\$10,000	\$5,000	\$4,500	9/25/2024	Partially Terminated: 1
CSX 2023-156(FCS)	1	\$5,000	\$0	\$0	9/25/2024	Case Terminated
CSX 2023-157(FCS)	1	\$5,000	\$0	\$0	9/25/2024	Case Terminated
CSX 2023-158(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-159(FCS)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-160(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-161(TS)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-162(SI)	1	\$2,500	\$2,500	\$1,813	9/25/2024	
CSX 2023-163(TS)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-164(SI)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-165(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2023-166(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2023-167(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2023-168(LI)	2	\$10,000	\$10,000	\$7,410	9/25/2024	
CSX 2023-169(SA)	1	\$5,000	\$5,000	\$3,540	9/25/2024	
CSX 2023-170(SA)	1	\$5,000	\$5,000	\$3,540	9/25/2024	
CSX 2023-171(SA)	1	\$5,000	\$5,000	\$3,540	9/25/2024	
CSX 2023-172(SA)	1	\$5,000	\$5,000	\$3,540	9/25/2024	
CSX 2023-173(SA)	1	\$5,000	\$5,000	\$3,540	9/25/2024	
CSX 2023-174(SA)	1	\$5,000	\$5,000	\$3,540	9/25/2024	
CSX 2023-175(SA)	1	\$5,000	\$5,000	\$3,540	9/25/2024	
CSX 2023-176(SA)	1	\$5,000	\$5,000	\$3,540	9/25/2024	
CSX 2023-177(SA)	1	\$5,000	\$5,000	\$3,540	9/25/2024	
CSX 2023-178(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2023-179(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2023-180(FCS)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-181(FCS)	1	\$5,000	\$5,000	\$3,625	9/25/2024	

<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>
CSX 2023-182(FCS)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-183(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-184(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-185(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-186(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-187(SA)	10	\$100,000	\$100,000	\$72,500	9/25/2024	
CSX 2023-188(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2023-189(FCS)	1	\$4,000	\$4,000	\$2,900	9/25/2024	
CSX 2023-190(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-191(SA)	1	\$10,000	\$5,000	\$4,425	9/25/2024	Partially Terminated: 1
CSX 2023-192(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-193(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-194(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-195(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2023-196(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-197(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2023-198(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-199(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-200(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2023-201(LI)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-202(LI)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-203(ROP)	1	\$15,000	\$15,000	\$11,031	9/25/2024	
CSX 2023-204(TS)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-205(ROP)	1	\$19,000	\$19,000	\$13,966	9/25/2024	
CSX 2023-206(SA)	2	\$20,000	\$20,000	\$14,123	9/25/2024	
CSX 2023-207(HMT)	1	\$6,000	\$6,000	\$4,350	9/25/2024	
CSX 2023-208(SA)	1	\$5,000	\$5,000	\$3,540	9/25/2024	
CSX 2023-209(ROP)	1	\$19,000	\$19,000	\$13,966	9/25/2024	
CSX 2023-210(HMT)	4	\$20,000	\$20,000	\$14,823	9/25/2024	
CSX 2023-211(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-212(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-213(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2023-214(LI)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-215(ROP)	1	\$15,000	\$15,000	\$10,924	9/25/2024	
CSX 2023-216(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2023-217(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2023-218(ROP)	1	\$15,000	\$15,000	\$10,826	9/25/2024	
CSX 2023-219(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2023-220(SA)	1	\$5,000	\$5,000	\$3,540	9/25/2024	
CSX 2023-221(TH)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2023-222(GC)	1	\$10,000	\$10,000	\$7,300	9/25/2024	
CSX 2023-223(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	

<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>
CSX 2023-224(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2023-225(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2023-226(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2023-227(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2023-228(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2023-229(FCS)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-230(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2023-231(LI)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-232(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2023-233(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-234(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2023-235(FCS)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-236(RSP)	1	\$19,000	\$19,000	\$14,010	9/25/2024	
CSX 2023-237(ROP)	1	\$19,000	\$19,000	\$13,775	9/25/2024	
CSX 2023-238(ROP)	1	\$15,000	\$15,000	\$10,875	9/25/2024	
CSX 2023-239(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2023-240(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-241(SA)	1	\$5,000	\$5,000	\$3,813	9/25/2024	
CSX 2023-242(SA)	1	\$10,000	\$5,000	\$4,448	9/25/2024	Partially Terminated: 1
CSX 2023-243(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2023-244(SA)	1	\$2,500	\$2,500	\$1,813	9/25/2024	
CSX 2023-245(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-247(TS)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-248(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-249(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-250(ROP)	1	\$4,000	\$4,000	\$2,900	9/25/2024	
CSX 2023-251(LI)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-252(LI)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-253(SA)	2	\$20,000	\$20,000	\$14,500	9/25/2024	
CSX 2023-254(SA)	2	\$20,000	\$20,000	\$14,500	9/25/2024	
CSX 2023-255(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2023-256(LI)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-257(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-258(SA)	1	\$5,000	\$5,000	\$3,540	9/25/2024	
CSX 2023-259(HMT)	40	\$130,000	\$130,000	\$93,700	9/25/2024	
CSX 2023-260(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2023-261(HMT)	40	\$130,000	\$130,000	\$93,700	9/25/2024	
CSX 2023-262(SI)	1	\$1,000	\$0	\$0	9/25/2024	Case Terminated
CSX 2023-263(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2023-264(LI)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-265(GC)	1	\$10,000	\$10,000	\$7,300	9/25/2024	
CSX 2023-266(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	

<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>
CSX 2023-267(LI)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-268(ROP)	1	\$15,000	\$15,000	\$10,875	9/25/2024	
CSX 2023-269(LI)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-270(LI)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-271(LI)	1	\$5,000	\$5,000	\$3,540	9/25/2024	
CSX 2023-272(GC)	1	\$10,000	\$10,000	\$6,000	9/25/2024	
CSX 2023-273(GC)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-274(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-275(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2023-276(LI)	1	\$5,000	\$5,000	\$3,540	9/25/2024	
CSX 2023-277(TS)	1	\$5,000	\$2,500	\$2,275	9/25/2024	Partially Terminated: 1
CSX 2023-278(ROP)	1	\$19,000	\$19,000	\$13,775	9/25/2024	
CSX 2023-279(SI)	5	\$25,000	\$25,000	\$18,125	9/25/2024	
CSX 2023-280(FCS)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-281(FCS)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-282(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-283(SA)	1	\$5,000	\$5,000	\$3,585	9/25/2024	
CSX 2023-284(SA)	1	\$5,000	\$5,000	\$3,919	9/25/2024	
CSX 2023-285(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2023-287(AD)	2	\$10,000	\$10,000	\$7,410	9/25/2024	
CSX 2023-288(HS)	2	\$4,000	\$4,000	\$2,900	9/25/2024	
CSX 2023-289(HMT)	1	\$3,000	\$3,000	\$2,175	9/25/2024	
CSX 2023-290(AD)	2	\$10,000	\$10,000	\$7,410	9/25/2024	
CSX 2023-291(ROP)	1	\$4,000	\$4,000	\$2,900	9/25/2024	
CSX 2023-292(SA)	1	\$4,000	\$4,000	\$3,024	9/25/2024	
CSX 2023-293(ROP)	1	\$15,000	\$15,000	\$10,875	9/25/2024	
CSX 2023-294(RW)	2	\$8,000	\$8,000	\$5,800	9/25/2024	
CSX 2023-295(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-296(LI)	2	\$8,000	\$8,000	\$5,800	9/25/2024	
CSX 2023-297(SA)	1	\$10,000	\$10,000	\$7,411	9/25/2024	
CSX 2023-298(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-299(LI)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-300(LI)	1	\$4,000	\$4,000	\$2,900	9/25/2024	
CSX 2023-301(LI)	2	\$8,000	\$8,000	\$5,800	9/25/2024	
CSX 2023-302(SA)	1	\$5,000	\$5,000	\$3,585	9/25/2024	
CSX 2023-303(LI)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-304(LI)	1	\$5,000	\$0	\$0	9/25/2024	Case Terminated
CSX 2023-305(SA)	1	\$10,000	\$10,000	\$7,169	9/25/2024	
CSX 2023-306(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-307(SA)	1	\$10,000	\$10,000	\$6,148	9/25/2024	
CSX 2023-308(CC)	1	\$15,000	\$15,000	\$10,875	9/25/2024	
CSX 2023-309(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	

<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>
CSX 2023-310(SA)	1	\$5,000	\$5,000	\$3,500	9/25/2024	
CSX 2023-311(AD)	1	\$10,000	\$10,000	\$7,000	9/25/2024	
CSX 2023-312(AD)	1	\$2,500	\$2,500	\$1,815	9/25/2024	
CSX 2023-313(RSP)	1	\$19,000	\$19,000	\$13,618	9/25/2024	
CSX 2023-314(ROP)	1	\$19,000	\$19,000	\$13,775	9/25/2024	
CSX 2023-315(ROP)	1	\$19,000	\$19,000	\$13,775	9/25/2024	
CSX 2023-316(SA)	1	\$20,000	\$20,000	\$14,500	9/25/2024	
CSX 2023-317(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2023-318(HMT)	2	\$11,500	\$11,500	\$8,338	9/25/2024	
CSX 2023-320(SA)	1	\$10,000	\$10,000	\$7,383	9/25/2024	
CSX 2023-321(SA)	1	\$10,000	\$10,000	\$7,169	9/25/2024	
CSX 2023-322(HMT)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2023-323(SA)	1	\$10,000	\$10,000	\$7,169	9/25/2024	
CSX 2023-324(SA)	1	\$5,000	\$5,000	\$3,585	9/25/2024	
CSX 2023-325(LI)	1	\$4,000	\$4,000	\$2,900	9/25/2024	
CSX 2023-326(SA)	1	\$5,000	\$5,000	\$3,585	9/25/2024	
CSX 2023-327(SA)	1	\$5,000	\$5,000	\$3,585	9/25/2024	
CSX 2023-328(SA)	1	\$5,000	\$5,000	\$3,585	9/25/2024	
CSX 2023-329(SA)	1	\$5,000	\$5,000	\$3,585	9/25/2024	
CSX 2023-330(SI)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2023-331(SA)	1	\$10,000	\$10,000	\$7,169	9/25/2024	
CSX 2023-332(HMT)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-333(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2023-334(SA)	1	\$10,000	\$10,000	\$7,103	9/25/2024	
CSX 2023-335(LI)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-336(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2023-337(SA)	1	\$10,000	\$10,000	\$7,339	9/25/2024	
CSX 2023-338(LI)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-339(AD)	7	\$17,500	\$17,500	\$13,392	9/25/2024	
CSX 2023-340(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2023-341(SA)	1	\$10,000	\$10,000	\$7,339	9/25/2024	
CSX 2023-342(SA)	1	\$10,000	\$10,000	\$7,339	9/25/2024	
CSX 2023-343(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2023-344(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2023-345(SA)	1	\$5,000	\$5,000	\$3,585	9/25/2024	
CSX 2023-346(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2023-347(LI)	1	\$5,000	\$5,000	\$3,705	9/25/2024	
CSX 2023-348(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2023-349(ROP)	1	\$19,000	\$19,000	\$13,775	9/25/2024	
CSX 2023-350(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2023-351(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2023-352(LI)	1	\$5,000	\$5,000	\$3,540	9/25/2024	
CSX 2023-353(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	

<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>
CSX 2023-354(ROP)	1	\$15,000	\$15,000	\$10,875	9/25/2024	
CSX 2023-355(ROP)	1	\$19,000	\$19,000	\$13,775	9/25/2024	
CSX 2023-356(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2023-357(SA)	1	\$10,000	\$10,000	\$7,330	9/25/2024	
CSX 2023-358(SA)	1	\$10,000	\$10,000	\$7,117	9/25/2024	
CSX 2023-359(LI)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-360(SA)	1	\$10,000	\$0	\$0	9/25/2024	Case Terminated
CSX 2023-361(LI)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-362(SA)	1	\$10,000	\$10,000	\$7,169	9/25/2024	
CSX 2023-363(SA)	1	\$10,000	\$10,000	\$7,330	9/25/2024	
CSX 2023-364(FCS)	1	\$4,000	\$4,000	\$2,900	9/25/2024	
CSX 2023-365(LI)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2023-366(ROP)	1	\$15,000	\$15,000	\$10,875	9/25/2024	
CSX 2023-367(ROP)	1	\$15,000	\$15,000	\$10,875	9/25/2024	
CSX 2023-368(SA)	1	\$10,000	\$10,000	\$7,410	9/25/2024	
CSX 2023-369(SA)	1	\$10,000	\$10,000	\$7,410	9/25/2024	
CSX 2023-370(SA)	1	\$5,000	\$5,000	\$3,585	9/25/2024	
CSX 2023-371(SA)	1	\$10,000	\$10,000	\$7,169	9/25/2024	
CSX 2023-372(SA)	1	\$10,000	\$10,000	\$7,169	9/25/2024	
CSX 2023-373(HS)	1	\$2,000	\$2,000	\$1,421	9/25/2024	
CSX 2023-374(SA)	1	\$10,000	\$10,000	\$7,330	9/25/2024	
CSX 2023-375(GC)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2024-002(GC)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2024-002(SA)	1	\$10,000	\$10,000	\$7,169	9/25/2024	
CSX 2024-003(SI)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2024-004(SA)	1	\$10,000	\$10,000	\$7,330	9/25/2024	
CSX 2024-005(GC)	3	\$15,000	\$15,000	\$11,117	9/25/2024	
CSX 2024-006(SI)	1	\$2,000	\$2,000	\$1,450	9/25/2024	
CSX 2024-007(SA)	1	\$10,000	\$10,000	\$7,169	9/25/2024	
CSX 2024-008(SA)	1	\$5,000	\$5,000	\$3,500	9/25/2024	
CSX 2024-009(SI)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2024-010(SA)	1	\$5,000	\$5,000	\$3,585	9/25/2024	
CSX 2024-011(SA)	1	\$5,000	\$5,000	\$3,585	9/25/2024	
CSX 2024-012(SA)	1	\$5,000	\$5,000	\$3,585	9/25/2024	
CSX 2024-013(SA)	1	\$5,000	\$5,000	\$3,585	9/25/2024	
CSX 2024-014(SA)	1	\$5,000	\$5,000	\$3,585	9/25/2024	
CSX 2024-015(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2024-016(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2024-017(FCS)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2024-018(HS)	1	\$2,000	\$2,000	\$1,820	9/25/2024	
CSX 2024-019(GC)	1	\$10,000	\$10,000	\$7,000	9/25/2024	
CSX 2024-020(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2024-021(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	

<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>
CSX 2024-022(ROP)	1	\$19,000	\$19,000	\$13,775	9/25/2024	
CSX 2024-023(RSP)	1	\$19,000	\$19,000	\$13,618	9/25/2024	
CSX 2024-024(RW)	1	\$4,000	\$4,000	\$2,900	9/25/2024	
CSX 2024-025(TS)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2024-026(TS)	1	\$2,000	\$2,000	\$1,450	9/25/2024	
CSX 2024-027(TS)	1	\$2,000	\$2,000	\$1,450	9/25/2024	
CSX 2024-028(TS)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2024-029(FCS)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2024-030(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2024-031(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2024-032(ROP)	1	\$19,000	\$19,000	\$13,775	9/25/2024	
CSX 2024-033(FCS)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2024-034(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2024-035(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2024-036(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2024-037(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2024-038(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2024-039(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2024-040(SA)	1	\$10,000	\$5,000	\$3,945	9/25/2024	Partially Terminated: 1
CSX 2024-041(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2024-042(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2024-043(TS)	1	\$10,000	\$10,000	\$7,213	9/25/2024	
CSX 2024-044(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2024-045(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2024-046(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2024-047(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2024-048(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2024-050(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2024-051(LI)	1	\$5,000	\$0	\$0	9/25/2024	Case Terminated
CSX 2024-054(SA)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2024-055(ROP)	1	\$19,000	\$19,000	\$13,775	9/25/2024	
CSX 2024-056(GC)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2024-057(GC)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2024-058(GC)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2024-059(GC)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2024-060(GC)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2024-061(CC)	1	\$15,000	\$15,000	\$10,875	9/25/2024	
CSX 2024-063(SA)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2024-064(FCS)	1	\$4,000	\$4,000	\$2,900	9/25/2024	
CSX 2024-065(GC)	1	\$20,000	\$20,000	\$14,500	9/25/2024	
CSX 2024-066(GC)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2024-067(GC)	1	\$10,000	\$10,000	\$7,250	9/25/2024	

<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>
CSX 2024-068(GC)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2024-069(GC)	1	\$10,000	\$10,000	\$7,250	9/25/2024	
CSX 2024-070(LI)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2024-071(LI)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
CSX 2024-072(LI)	1	\$5,000	\$5,000	\$3,625	9/25/2024	
DCR 2024-001(GC)	1	\$10,000	\$0	\$0	7/30/2024	Case Terminated
DGNO 2023-001(ROP)	1	\$7,500	\$7,500	\$5,250	9/27/2024	
DGNO 2023-002(TS)	1	\$5,000	\$5,000	\$3,500	9/27/2024	
EIRR 2024-001(TS)	3	\$12,000	\$12,000	\$8,850	9/25/2024	
EIRR 2024-002(TS)	1	\$5,000	\$5,000	\$3,700	9/25/2024	
EMRY 2023-001(AD)	1	\$5,000	\$5,000	\$3,450	8/29/2024	
ESPN 2023-001(EQ)	1	\$5,000	\$5,000	\$2,750	10/12/2023	
EXCE 2022-002(HMT)	1	\$10,000	\$10,000	\$7,900	11/14/2023	
EXCE 2024-001(HMT)	1	\$5,000	\$5,000	\$5,000	5/31/2024	
FCRD 2024-001(SA)	1	\$10,000	\$10,000	\$7,300	9/27/2024	
FEC 2023-010(SA)	1	\$10,000	\$10,000	\$7,000	9/30/2024	
FEC 2023-011(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
FEC 2023-012(SA)	1	\$10,000	\$10,000	\$7,000	9/30/2024	
FEC 2023-013(SA)	1	\$10,000	\$10,000	\$7,000	9/30/2024	
FEC 2023-014(SA)	1	\$10,000	\$10,000	\$7,000	9/30/2024	
FEC 2023-015(SA)	1	\$10,000	\$10,000	\$7,000	9/30/2024	
FEC 2023-016(HMT)	2	\$7,000	\$7,000	\$5,000	9/30/2024	
FEC 2023-017(SA)	1	\$10,000	\$10,000	\$7,000	9/30/2024	
FEC 2023-018(SA)	1	\$10,000	\$10,000	\$7,000	9/30/2024	
FEC 2023-019(LI)	1	\$5,000	\$5,000	\$3,750	9/30/2024	
FEC 2023-020(SA)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
FEC 2023-021(AD)	2	\$10,000	\$10,000	\$7,000	9/30/2024	
FEC 2023-022(SA)	1	\$10,000	\$10,000	\$7,000	9/30/2024	
FEC 2023-023(SA)	1	\$10,000	\$10,000	\$7,000	9/30/2024	
FEC 2023-024(SA)	1	\$10,000	\$10,000	\$7,000	9/30/2024	
FEC 2024-001(HMT)	2	\$12,000	\$12,000	\$8,000	9/30/2024	
FEC 2024-002(HMT)	1	\$2,500	\$2,500	\$1,500	9/30/2024	
FEC 2024-003(HMT)	1	\$5,000	\$5,000	\$3,000	9/30/2024	
FEC 2024-004(SA)	1	\$10,000	\$10,000	\$7,000	9/30/2024	
FEC 2024-005(SA)	1	\$10,000	\$10,000	\$7,000	9/30/2024	
FEC 2024-006(HMT)	1	\$5,000	\$5,000	\$3,500	9/30/2024	
FEC 2024-007(SI)	1	\$2,000	\$2,000	\$1,400	9/30/2024	
FEC 2024-008(SI)	1	\$2,000	\$2,000	\$1,400	9/30/2024	
FEC 2024-009(HMT)	3	\$25,000	\$25,000	\$14,500	9/30/2024	
FEC 2024-010(TS)	1	\$5,000	\$5,000	\$3,400	9/30/2024	
FEC 2024-011(AD)	1	\$5,000	\$5,000	\$3,100	9/30/2024	
FEC 2024-012(TS)	1	\$10,000	\$10,000	\$7,000	9/30/2024	
FEC 2024-013(SA)	2	\$20,000	\$20,000	\$14,000	9/30/2024	

<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>
FGA 2023-001(SA)	1	\$2,500	\$2,500	\$1,625	5/10/2024	
FGA 2023-002(SA)	1	\$2,500	\$2,500	\$1,625	5/10/2024	
FGA 2023-003(RSP)	1	\$19,000	\$19,000	\$9,500	5/10/2024	
FOXY 2022-001(SA)	1	\$2,500	\$2,500	\$1,750	9/25/2024	
FOXY 2022-002(SA)	1	\$2,500	\$2,500	\$1,750	9/25/2024	
FOXY 2022-003(SA)	1	\$2,500	\$2,500	\$1,750	9/25/2024	
FOXY 2022-004(LI)	1	\$2,500	\$2,500	\$1,750	9/25/2024	
FOXY 2023-001(SA)	1	\$10,000	\$10,000	\$7,500	9/25/2024	
FOXY 2024-001(SA)	1	\$10,300	\$10,300	\$7,740	9/25/2024	
FWWR 2023-001(TS)	1	\$5,000	\$5,000	\$3,500	8/2/2024	
FWWR 2023-002(TS)	1	\$10,000	\$10,000	\$7,000	8/2/2024	
FWWR 2023-003(TS)	2	\$15,000	\$15,000	\$10,500	8/2/2024	
FWWR 2023-004(TS)	1	\$5,000	\$5,000	\$3,500	8/2/2024	
GDLK 2024-001(ROP)	1	\$19,600	\$19,600	\$13,720	9/25/2024	
GLC 2019-001(RW)	1	\$3,000	\$3,000	\$2,200	5/24/2024	
GLC 2019-002(RW)	1	\$1,500	\$1,500	\$1,300	5/24/2024	
GLC 2019-003(RW)	1	\$2,000	\$2,000	\$1,500	5/24/2024	
GLC 2022-001(RW)	1	\$3,000	\$3,000	\$2,200	5/24/2024	
GLC 2023-001(ROP)	1	\$7,500	\$7,500	\$5,600	5/24/2024	
GLC 2023-002(FCS)	1	\$5,000	\$5,000	\$3,700	5/24/2024	
GNWR 2023-001(LI)	1	\$3,000	\$3,000	\$3,000	9/27/2024	
GORD 2023-001(HMT)	2	\$10,000	\$10,000	\$10,000	12/5/2023	
GWR 2024-001(SA)	1	\$10,000	\$10,000	\$8,000	5/30/2024	
HASZ 2024-001(HMT)	1	\$2,000	\$2,000	\$2,000	8/19/2024	
HERQ 2024-001(TS)	1	\$2,000	\$2,000	\$1,200	7/31/2024	
HESR 2024-001(LI)	1	\$5,000	\$5,000	\$3,500	9/27/2024	
IHB 2023-006(HMT)	1	\$15,000	\$15,000	\$10,500	2/8/2024	
IHB 2023-007(HMT)	1	\$15,000	\$15,000	\$10,500	2/8/2024	
IHB 2023-008(FCS)	1	\$5,000	\$5,000	\$3,500	1/31/2024	
IHB 2023-009(FCS)	1	\$5,000	\$5,000	\$3,500	1/31/2024	
IHB 2023-010(HMT)	1	\$4,000	\$4,000	\$3,000	2/8/2024	
IHB 2023-011(SA)	1	\$5,000	\$5,000	\$3,500	5/14/2024	
IHB 2023-012(FCS)	1	\$5,000	\$5,000	\$3,500	5/15/2024	
IHB 2024-001(RW)	1	\$6,000	\$6,000	\$4,250	5/15/2024	
IHB 2024-002(LI)	1	\$5,000	\$5,000	\$3,500	5/15/2024	
IHB 2024-003(HMT)	1	\$7,500	\$7,500	\$5,250	5/15/2024	
IHB 2024-004(RW)	1	\$6,000	\$6,000	\$4,250	5/15/2024	
IHB 2024-005(FCS)	1	\$5,000	\$5,000	\$3,500	5/15/2024	
IHTR 2023-001(AD)	1	\$5,000	\$5,000	\$3,250	10/4/2023	
IHTR 2023-002(AD)	1	\$5,000	\$5,000	\$3,250	10/4/2023	
INRD 2021-001(SA)	1	\$5,000	\$5,000	\$3,500	8/7/2024	
IORY 2023-001(GC)	1	\$5,000	\$5,000	\$3,300	9/27/2024	
IORY 2023-002(GC)	1	\$5,000	\$5,000	\$3,300	9/27/2024	

<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>
IORY 2023-003(GC)	1	\$2,500	\$2,500	\$1,700	9/27/2024	
IORY 2023-004(SI)	1	\$1,500	\$1,500	\$1,350	9/27/2024	
IORY 2023-005(SI)	1	\$2,500	\$2,500	\$1,750	9/27/2024	
IORY 2023-006(GC)	1	\$4,000	\$4,000	\$2,720	9/27/2024	
IORY 2023-007(GC)	1	\$5,000	\$5,000	\$3,300	9/27/2024	
IORY 2023-008(GC)	1	\$5,000	\$5,000	\$3,300	9/27/2024	
IORY 2023-009(GC)	1	\$4,000	\$4,000	\$2,640	9/27/2024	
IORY 2023-010(GC)	1	\$4,000	\$4,000	\$2,640	9/27/2024	
IORY 2023-011(GC)	1	\$5,000	\$5,000	\$3,300	9/27/2024	
IORY 2023-012(GC)	1	\$5,000	\$5,000	\$3,300	9/27/2024	
IORY 2023-013(GC)	1	\$5,000	\$5,000	\$3,300	9/27/2024	
IORY 2023-014(GC)	1	\$5,000	\$5,000	\$3,300	9/27/2024	
IORY 2023-015(GC)	1	\$5,000	\$5,000	\$3,300	9/27/2024	
IORY 2023-016(GC)	1	\$5,000	\$5,000	\$3,300	9/27/2024	
IORY 2023-017(GC)	1	\$5,000	\$5,000	\$3,300	9/27/2024	
IORY 2023-018(GC)	1	\$5,000	\$5,000	\$3,300	9/27/2024	
IORY 2023-019(SI)	1	\$5,000	\$5,000	\$3,300	9/27/2024	
IORY 2024-001(SI)	2	\$10,000	\$10,000	\$6,600	9/27/2024	
IORY 2024-002(SI)	1	\$5,000	\$5,000	\$3,300	9/27/2024	
IORY 2024-003(SI)	1	\$5,000	\$5,000	\$3,300	9/27/2024	
IORY 2024-004(GC)	1	\$5,000	\$5,000	\$3,300	9/27/2024	
IORY 2024-005(GC)	1	\$2,000	\$2,000	\$1,400	9/27/2024	
IORY 2024-006(SA)	1	\$10,000	\$10,000	\$7,400	9/27/2024	
IR 2024-001(RSP)	1	\$19,000	\$19,000	\$12,000	5/24/2024	
KAW 2024-001(SA)	1	\$10,000	\$10,000	\$6,400	9/25/2024	
KAW 2024-002(GC)	1	\$10,000	\$10,000	\$6,400	9/25/2024	
KCLZ 2020-001(HMT)	1	\$2,000	\$2,000	\$1,000	3/27/2024	
KCLZ 2022-001(HMT)	1	\$2,000	\$2,000	\$1,000	3/27/2024	
KCT 2022-001(SI)	1	\$1,000	\$1,000	\$1,000	4/11/2024	
KCT 2024-001(SI)	1	\$10,000	\$2,000	\$1,500	4/11/2024	Partially Terminated: 1
KJR 2020-001(GC)	1	\$1,000	\$1,000	\$1,000	4/23/2024	
KJR 2020-002(GC)	1	\$1,000	\$1,000	\$1,000	4/23/2024	
KRR 2023-001(TS)	1	\$10,000	\$10,000	\$6,800	9/27/2024	
KRR 2023-002(TS)	2	\$10,000	\$10,000	\$6,800	9/27/2024	
KRR 2023-003(TS)	1	\$5,000	\$5,000	\$3,400	9/27/2024	
KRR 2023-004(TS)	1	\$10,000	\$10,000	\$6,800	9/27/2024	
KRR 2024-001(TS)	2	\$20,000	\$20,000	\$14,000	9/27/2024	
KRR 2024-002(TS)	1	\$2,000	\$2,000	\$1,380	9/27/2024	
KYLE 2023-001(GC)	1	\$5,000	\$5,000	\$3,750	9/27/2024	
KYLE 2023-002(RMM)	6	\$30,000	\$30,000	\$22,500	9/27/2024	
KYLE 2023-003(RMM)	4	\$16,000	\$16,000	\$12,000	9/27/2024	
LBWR 2023-001(TS)	1	\$5,000	\$5,000	\$3,500	9/25/2024	

<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>
LBWR 2024-001(TS)	2	\$15,000	\$15,000	\$10,750	9/25/2024	
LEMZ 2022-001(HMT)	1	\$5,000	\$5,000	\$5,000	9/5/2024	
LEMZ 2023-001(HMT)	1	\$10,000	\$10,000	\$8,000	9/23/2024	
LI 2021-001(RW)	1	\$3,000	\$3,000	\$1,850	2/5/2024	
LI 2022-001(AD)	1	\$2,500	\$0	\$0	2/5/2024	Case Terminated
LI 2022-002(AD)	2	\$5,000	\$0	\$0	2/5/2024	Case Terminated
LI 2022-003(AD)	1	\$2,500	\$0	\$0	2/5/2024	Case Terminated
LI 2022-004(AD)	1	\$2,500	\$0	\$0	2/5/2024	Case Terminated
LI 2022-005(AD)	1	\$2,500	\$0	\$0	2/5/2024	Case Terminated
LI 2022-006(AD)	1	\$2,500	\$0	\$0	2/5/2024	Case Terminated
LI 2022-007(AD)	1	\$2,500	\$2,500	\$1,450	2/5/2024	
LI 2022-008(AD)	1	\$2,500	\$2,500	\$1,450	2/5/2024	
LI 2022-009(AD)	1	\$2,500	\$2,500	\$1,450	2/5/2024	
LI 2022-010(AD)	1	\$2,500	\$2,500	\$1,450	2/5/2024	
LI 2022-011(AD)	1	\$2,500	\$2,500	\$1,450	2/5/2024	
LI 2022-012(AD)	1	\$2,500	\$2,500	\$1,450	2/5/2024	
LI 2022-013(AD)	1	\$2,500	\$2,500	\$1,450	2/5/2024	
LI 2022-014(AD)	1	\$2,500	\$2,500	\$1,450	2/5/2024	
LI 2022-015(AD)	1	\$2,500	\$2,500	\$1,450	2/5/2024	
LI 2022-016(AD)	1	\$2,500	\$2,500	\$1,450	2/5/2024	
LI 2022-017(AD)	1	\$2,500	\$2,500	\$1,450	2/5/2024	
LI 2022-018(AD)	1	\$2,500	\$2,500	\$1,450	2/5/2024	
LI 2022-019(AD)	1	\$2,500	\$2,500	\$1,450	2/5/2024	
LI 2022-020(AD)	1	\$2,500	\$2,500	\$1,450	2/5/2024	
LI 2022-021(AD)	1	\$2,500	\$0	\$0	2/5/2024	Case Terminated
LI 2022-022(AD)	1	\$2,500	\$0	\$0	2/5/2024	Case Terminated
LSRC 2023-001(SA)	1	\$5,000	\$5,000	\$2,750	5/22/2024	
LSRC 2023-002(FCS)	1	\$5,000	\$5,000	\$2,750	5/22/2024	
LSRC 2023-003(TS)	1	\$10,000	\$10,000	\$5,800	5/22/2024	
LSRC 2023-004(SA)	1	\$5,000	\$5,000	\$2,750	5/22/2024	
LVR 2021-001(HMT)	1	\$2,000	\$2,000	\$1,000	5/22/2024	
LVRX 2023-001(EQ)	1	\$2,000	\$2,000	\$2,000	8/13/2024	
LVRX 2023-002(EQ)	1	\$2,000	\$2,000	\$2,000	8/13/2024	
MBTA 2023-001(AD)	9	\$45,000	\$45,000	\$45,000	2/21/2024	
MBTA 2023-002(AD)	1	\$5,000	\$5,000	\$5,000	2/21/2024	
MCRL 2023-001(TS)	1	\$2,000	\$2,000	\$1,500	11/2/2023	
MCRL 2024-001(GC)	1	\$5,000	\$5,000	\$4,200	3/14/2024	
MCRL 2024-002(GC)	1	\$2,500	\$2,500	\$2,100	3/14/2024	
MCRL 2024-003(RW)	1	\$10,000	\$10,000	\$9,000	3/14/2024	
MCRL 2024-004(GC)	1	\$10,000	\$10,000	\$9,000	6/20/2024	
MCRL 2024-005(RW)	1	\$3,000	\$3,000	\$2,700	6/20/2024	
MCRL 2024-006(GC)	1	\$10,000	\$10,000	\$9,000	6/20/2024	
MDS 2023-001(TS)	1	\$10,000	\$10,000	\$6,500	10/19/2023	

<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>
ME 2024-001(AD)	2	\$10,000	\$10,000	\$6,500	4/9/2024	
ME 2024-002(AD)	1	\$5,000	\$5,000	\$3,250	4/9/2024	
MEC 2023-002(TS)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
MH 2023-001(EQ)	1	\$15,000	\$2,000	\$1,500	3/1/2024	Partially Terminated: 1
MHWA 2023-001(RW)	1	\$6,000	\$6,000	\$3,900	4/9/2024	
MNA 2023-001(ROP)	2	\$15,000	\$15,000	\$10,200	9/27/2024	
MNCW 2023-002(AD)	1	\$5,000	\$5,000	\$2,500	5/31/2024	
MNCW 2023-003(AD)	1	\$5,000	\$5,000	\$2,500	5/31/2024	
MNCW 2023-004(AD)	1	\$5,000	\$5,000	\$3,750	5/31/2024	
MNCW 2023-005(AD)	1	\$10,000	\$10,000	\$7,500	5/31/2024	
MNCW 2023-006(AD)	1	\$5,000	\$5,000	\$3,750	5/31/2024	
MNCW 2023-007(AD)	1	\$10,000	\$10,000	\$7,500	5/31/2024	
MNCW 2023-008(AD)	1	\$10,000	\$10,000	\$7,500	5/31/2024	
MNCW 2023-009(AD)	1	\$10,000	\$10,000	\$7,500	5/31/2024	
MNCW 2023-010(AD)	1	\$10,000	\$10,000	\$7,500	5/31/2024	
MNCW 2024-001(ROP)	1	\$19,000	\$19,000	\$13,490	5/31/2024	
MNCW 2024-002(ROP)	1	\$19,000	\$19,000	\$13,490	5/31/2024	
MNCW 2024-003(ROP)	1	\$19,000	\$19,000	\$13,490	5/31/2024	
MNR 2023-001(ROP)	1	\$19,000	\$19,000	\$13,300	3/20/2024	
MNR 2023-002(AR)	1	\$5,000	\$5,000	\$3,750	3/20/2024	
MNR 2023-003(AD)	1	\$5,000	\$5,000	\$3,500	3/20/2024	
MQT 2023-001(LI)	1	\$5,000	\$5,000	\$3,600	9/27/2024	
MRL 2023-005(SI)	1	\$10,000	\$10,000	\$10,000	5/2/2024	
MRL 2024-001(TS)	1	\$2,000	\$2,000	\$2,000	5/2/2024	
MRTV 2023-002(GC)	1	\$10,000	\$10,000	\$6,500	2/5/2024	
MSR 2023-001(SA)	1	\$5,000	\$5,000	\$3,600	9/27/2024	
NCVA 2024-001(SA)	1	\$10,000	\$10,000	\$7,000	9/27/2024	
NECR 2024-001(GC)	1	\$2,000	\$2,000	\$1,440	9/27/2024	
NICD 2024-001(ROP)	1	\$15,000	\$15,000	\$1,052	7/19/2024	
NIRC 2019-004(AD)	5	\$12,500	\$12,500	\$6,250	7/31/2024	
NIRC 2020-001(AD)	2	\$10,000	\$10,000	\$5,000	7/31/2024	
NIRC 2020-002(AD)	5	\$12,500	\$12,500	\$6,250	7/31/2024	
NIRC 2020-003(AD)	1	\$5,000	\$5,000	\$2,500	7/31/2024	
NIRC 2020-004(AD)	1	\$2,500	\$2,500	\$1,250	7/31/2024	
NIRC 2020-005(SA)	1	\$5,000	\$5,000	\$2,500	7/31/2024	
NIRC 2021-001(PEQ)	1	\$2,500	\$2,500	\$1,250	7/31/2024	
NIRC 2023-001(TS)	1	\$5,000	\$5,000	\$2,500	7/31/2024	
NIRC 2023-002(RW)	1	\$10,000	\$10,000	\$5,000	7/31/2024	
NIRC 2023-003(AR)	1	\$2,500	\$2,500	\$1,250	7/31/2024	
NIRC 2023-004(AR)	1	\$2,500	\$2,500	\$1,250	7/31/2024	
NIRC 2023-005(AR)	1	\$2,500	\$2,500	\$1,250	7/31/2024	
NIRC 2023-006(AR)	1	\$2,500	\$2,500	\$1,250	7/31/2024	

<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>
NIRC 2023-007(AR)	1	\$2,500	\$2,500	\$1,250	7/31/2024	
NIRC 2023-008(AR)	1	\$2,500	\$2,500	\$1,250	7/31/2024	
NIRC 2023-009(TS)	1	\$10,000	\$10,000	\$5,000	7/31/2024	
NIRC 2023-010(AR)	1	\$2,500	\$2,500	\$1,250	7/31/2024	
NIRC 2023-011(AR)	1	\$2,500	\$2,500	\$1,250	7/31/2024	
NIRC 2023-012(AR)	1	\$2,500	\$2,500	\$1,250	7/31/2024	
NIRC 2024-001(PEQ)	1	\$10,000	\$10,000	\$5,000	7/31/2024	
NLA 2023-001(TS)	1	\$10,000	\$10,000	\$1,052	9/10/2024	
NMQQ 2023-001(HMT)	2	\$4,000	\$4,000	\$1,000	11/1/2023	
NMQQ 2023-002(HMT)	3	\$6,000	\$6,000	\$1,500	11/1/2023	
NOPB 2023-001(SA)	1	\$5,000	\$5,000	\$5,000	2/27/2024	
NSHR 2024-001(SA)	1	\$10,000	\$10,000	\$1,052	7/18/2024	
NYA 2019-001(AR)	1	\$2,500	\$0	\$0	4/29/2024	Case Terminated
OHRY 2021-001(ROP)	1	\$9,500	\$9,500	\$5,700	4/10/2024	
OHRY 2022-001(LI)	1	\$2,500	\$2,500	\$1,250	4/10/2024	
OHRY 2023-001(ROP)	2	\$8,000	\$4,000	\$2,200	4/10/2024	Partially Terminated: 1
OHRY 2023-002(ROP)	1	\$15,000	\$15,000	\$8,250	4/10/2024	
OLB 2020-001(AD)	1	\$2,500	\$0	\$0	3/27/2024	Case Terminated
PAS 2023-002(TS)	1	\$5,000	\$5,000	\$3,700	9/30/2024	
PAS 2023-003(TS)	1	\$5,000	\$5,000	\$3,800	9/30/2024	
PAS 2023-004(TS)	1	\$5,000	\$5,000	\$2,325	9/30/2024	
PAS 2024-001(TS)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
PAS 2024-002(TS)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
PNWR 2023-002(SA)	1	\$2,500	\$2,500	\$2,000	9/27/2024	
POHC 2024-001(LI)	1	\$5,000	\$5,000	\$3,000	9/27/2024	
RASX 2021-001(ROP)	1	\$7,500	\$7,500	\$7,500	3/13/2024	
RASX 2022-003(AD)	1	\$2,500	\$2,500	\$2,500	3/13/2024	
RBMN 2018-001(RW)	2	\$5,000	\$0	\$0	2/1/2024	Case Terminated
RCPE 2022-001(TS)	1	\$5,000	\$5,000	\$3,600	9/27/2024	
RI 2023-001(AD)	2	\$10,000	\$10,000	\$6,500	8/15/2024	
RJCC 2022-002(TS)	1	\$5,000	\$5,000	\$5,000	10/11/2023	
RJCC 2024-001(AR)	1	\$2,500	\$2,500	\$1,000	4/12/2024	
RJCP 2024-001(GC)	1	\$2,000	\$2,000	\$2,000	4/25/2024	
RSR 2023-001(SA)	1	\$10,000	\$10,000	\$7,200	9/27/2024	
RSR 2024-001(FCS)	1	\$5,000	\$5,000	\$3,600	9/27/2024	
RVSC 2023-001(RW)	1	\$6,000	\$6,000	\$3,000	2/6/2024	
SCXF 2023-001(EQ)	1	\$1,000	\$1,000	\$1,000	10/27/2023	
SEPA 2022-006(EQ)	1	\$1,000	\$1,000	\$976	5/7/2024	
SEPA 2023-002(AD)	2	\$5,000	\$5,000	\$3,150	5/7/2024	
SEPA 2023-003(SI)	1	\$5,000	\$5,000	\$3,500	5/7/2024	
SEPA 2023-004(RW)	1	\$7,500	\$7,500	\$5,750	5/7/2024	
SEPA 2023-005(AD)	1	\$2,500	\$0	\$0	5/7/2024	Case Terminated

<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>
SEPA 2023-006(AD)	2	\$5,000	\$5,000	\$3,000	5/7/2024	
SEPA 2023-007(AD)	1	\$2,500	\$2,500	\$1,625	5/7/2024	
SEPA 2023-008(AD)	2	\$10,000	\$10,000	\$7,250	5/7/2024	
SERA 2014-001(RSP)	1	\$9,500	\$9,500	\$650	6/19/2024	
SERA 2019-002(TS)	1	\$5,000	\$5,000	\$870	6/19/2024	
SERA 2019-003(TS)	1	\$2,500	\$2,500	\$1,250	6/19/2024	
SERA 2019-004(HMT)	4	\$10,000	\$10,000	\$5,000	6/19/2024	
SERA 2019-005(GC)	1	\$2,500	\$2,500	\$1,250	6/19/2024	
SERA 2021-001(TS)	1	\$1,000	\$1,000	\$919	6/19/2024	
SFRV 2018-005(ROP)	1	\$7,500	\$7,500	\$7,500	2/20/2024	
SFRV 2020-001(GC)	1	\$5,000	\$5,000	\$3,250	2/20/2024	
SFRV 2022-001(EQ)	1	\$7,500	\$7,500	\$5,200	2/29/2024	
SFRV 2022-002(CC)	1	\$5,000	\$5,000	\$3,350	2/29/2024	
SFRV 2023-001(ROP)	1	\$19,000	\$19,000	\$11,400	2/29/2024	
SFRV 2023-002(SA)	1	\$10,000	\$10,000	\$6,800	2/29/2024	
SGLR 2020-001(HMT)	1	\$1,000	\$0	\$0	4/17/2024	Case Terminated
SGLR 2022-001(HMT)	1	\$6,000	\$0	\$0	4/17/2024	Case Terminated
SGLR 2022-002(AD)	2	\$5,000	\$0	\$0	4/17/2024	Case Terminated
SGLR 2022-003(EQ)	2	\$15,000	\$0	\$0	4/17/2024	Case Terminated
SGLR 2022-004(EQ)	1	\$2,000	\$0	\$0	4/17/2024	Case Terminated
SGLR 2022-006(EQ)	1	\$2,500	\$0	\$0	4/17/2024	Case Terminated
SGLR 2022-007(EQ)	1	\$2,500	\$0	\$0	4/17/2024	Case Terminated
SGLR 2022-009(EQ)	2	\$5,000	\$0	\$0	4/17/2024	Case Terminated
SGLR 2022-011(SA)	1	\$5,000	\$0	\$0	4/17/2024	Case Terminated
SGLR 2022-012(HSR)	1	\$34,401	\$0	\$0	4/17/2024	Case Terminated
SGLR 2023-001(ROP)	1	\$9,500	\$9,500	\$1,052	4/17/2024	
SGLR 2023-002(SA)	1	\$10,000	\$10,000	\$1,052	4/17/2024	
SGLR 2023-003(ROP)	1	\$15,000	\$15,000	\$1,052	4/17/2024	
SIRS 2024-001(LI)	1	\$5,000	\$5,000	\$3,150	5/3/2024	
SJVR 2023-001(GC)	1	\$10,000	\$10,000	\$7,000	9/27/2024	
SJVR 2024-001(GC)	1	\$10,000	\$10,000	\$6,900	9/27/2024	
SKOL 2023-001(GC)	3	\$15,000	\$15,000	\$11,250	9/25/2024	
SKOL 2023-002(TS)	4	\$40,000	\$40,000	\$28,600	12/13/2023	
SKOL 2023-003(TS)	3	\$30,000	\$30,000	\$21,800	12/13/2023	
SKOL 2023-004(TS)	1	\$10,000	\$10,000	\$7,800	12/13/2023	
SKOL 2023-005(TS)	2	\$20,000	\$20,000	\$14,600	12/13/2023	
SKOL 2023-006(TS)	2	\$4,000	\$4,000	\$2,800	12/13/2023	
SNY 2016-001(SA)	1	\$5,000	\$5,000	\$870	6/5/2024	
SNY 2017-001(TS)	1	\$1,000	\$1,000	\$870	6/5/2024	
SNY 2017-002(SA)	2	\$10,000	\$10,000	\$1,740	6/5/2024	
SNY 2018-001(ROP)	1	\$9,500	\$9,500	\$870	6/5/2024	
SNY 2019-001(SA)	1	\$5,000	\$5,000	\$870	6/5/2024	
SNY 2020-001(HS)	1	\$1,000	\$1,000	\$892	6/5/2024	

<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>
SNY 2020-002(HS)	1	\$1,000	\$1,000	\$892	6/5/2024	
SNY 2021-001(TS)	1	\$5,000	\$5,000	\$3,900	6/5/2024	
SOU 2022-396(SI)	1	\$1,000	\$1,000	\$919	9/30/2024	
SOU 2022-423(SA)	1	\$2,500	\$2,500	\$1,900	9/30/2024	
SOU 2022-513(FCS)	3	\$6,000	\$6,000	\$4,500	9/30/2024	
SOU 2022-534(SA)	27	\$135,000	\$135,000	\$101,250	9/30/2024	
SOU 2022-535(FCS)	27	\$54,000	\$54,000	\$39,500	9/30/2024	
SOU 2022-537(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2024	
SOU 2022-549(FCS)	6	\$12,000	\$12,000	\$9,100	9/30/2024	
SOU 2022-553(FCS)	1	\$31,928	\$31,928	\$24,000	9/30/2024	
SOU 2022-585(LI)	11	\$27,500	\$27,500	\$20,500	9/30/2024	
SOU 2023-070(AR)	1	\$2,500	\$2,500	\$1,825	9/30/2024	
SOU 2023-071(AR)	1	\$2,500	\$2,500	\$1,825	9/30/2024	
SOU 2023-074(EQ)	3	\$22,500	\$22,500	\$17,100	9/30/2024	
SOU 2023-078(AR)	1	\$2,500	\$2,500	\$1,825	9/30/2024	
SOU 2023-082(AR)	1	\$2,500	\$2,500	\$1,825	9/30/2024	
SOU 2023-083(AR)	1	\$2,500	\$2,500	\$1,825	9/30/2024	
SOU 2023-086(ROP)	1	\$2,000	\$2,000	\$1,450	9/30/2024	
SOU 2023-090(AR)	1	\$2,500	\$2,500	\$1,825	9/30/2024	
SOU 2023-091(HS)	3	\$6,000	\$6,000	\$4,650	9/30/2024	
SOU 2023-093(HSR)	1	\$2,000	\$2,000	\$1,800	9/30/2024	
SOU 2023-094(ROP)	1	\$9,500	\$9,500	\$7,400	9/30/2024	
SOU 2023-095(LI)	14	\$33,500	\$33,500	\$25,000	9/30/2024	
SOU 2023-096(AD)	3	\$15,000	\$15,000	\$11,250	9/30/2024	
SOU 2023-097(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-098(ROP)	1	\$9,500	\$5,000	\$4,250	9/30/2024	Partially Terminated: 1
SOU 2023-099(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-100(HMT)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-101(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-102(SA)	1	\$10,000	\$10,000	\$7,800	9/30/2024	
SOU 2023-103(ROP)	1	\$15,000	\$15,000	\$11,500	9/30/2024	
SOU 2023-104(SA)	1	\$10,000	\$10,000	\$7,800	9/30/2024	
SOU 2023-105(LI)	1	\$2,500	\$2,500	\$1,850	9/30/2024	
SOU 2023-106(TH)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-107(ROP)	3	\$6,000	\$6,000	\$4,300	9/30/2024	
SOU 2023-108(SA)	3	\$30,000	\$30,000	\$23,400	9/30/2024	
SOU 2023-109(SA)	1	\$2,500	\$2,500	\$1,900	9/30/2024	
SOU 2023-110(SA)	1	\$2,500	\$2,500	\$1,900	9/30/2024	
SOU 2023-111(LI)	1	\$2,000	\$2,000	\$1,450	9/30/2024	
SOU 2023-112(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-113(HSR)	1	\$2,000	\$2,000	\$1,475	9/30/2024	
SOU 2023-114(HS)	2	\$4,000	\$4,000	\$3,100	9/30/2024	

<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>
SOU 2023-115(LI)	1	\$5,000	\$5,000	\$3,800	9/30/2024	
SOU 2023-116(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-117(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-118(SA)	1	\$10,000	\$10,000	\$7,800	9/30/2024	
SOU 2023-119(LI)	1	\$2,500	\$2,500	\$1,850	9/30/2024	
SOU 2023-120(LI)	1	\$2,500	\$2,500	\$1,875	9/30/2024	
SOU 2023-121(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-122(HS)	2	\$4,000	\$4,000	\$3,100	9/30/2024	
SOU 2023-123(ROP)	1	\$19,000	\$19,000	\$15,000	9/30/2024	
SOU 2023-124(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-125(HMT)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-126(HMT)	2	\$15,000	\$15,000	\$10,800	9/30/2024	
SOU 2023-127(HSR)	1	\$2,000	\$2,000	\$1,550	9/30/2024	
SOU 2023-128(LI)	1	\$5,000	\$5,000	\$3,800	9/30/2024	
SOU 2023-130(FCS)	9	\$18,000	\$18,000	\$13,000	9/30/2024	
SOU 2023-131(SA)	1	\$10,000	\$10,000	\$7,800	9/30/2024	
SOU 2023-132(ROP)	1	\$19,000	\$19,000	\$14,500	9/30/2024	
SOU 2023-133(ROP)	1	\$19,000	\$19,000	\$14,500	9/30/2024	
SOU 2023-134(ROP)	1	\$15,000	\$15,000	\$11,150	9/30/2024	
SOU 2023-135(SA)	1	\$10,000	\$10,000	\$7,800	9/30/2024	
SOU 2023-136(SA)	1	\$10,000	\$10,000	\$7,800	9/30/2024	
SOU 2023-137(ROP)	1	\$10,000	\$10,000	\$7,400	9/30/2024	
SOU 2023-138(LI)	1	\$5,000	\$5,000	\$3,800	9/30/2024	
SOU 2023-139(FCS)	1	\$2,500	\$2,500	\$1,950	9/30/2024	
SOU 2023-140(LI)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-141(LI)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-142(LI)	1	\$4,000	\$4,000	\$3,150	9/30/2024	
SOU 2023-143(SA)	1	\$2,500	\$2,500	\$1,900	9/30/2024	
SOU 2023-144(SA)	1	\$2,500	\$2,500	\$1,900	9/30/2024	
SOU 2023-145(SA)	1	\$2,500	\$2,500	\$1,900	9/30/2024	
SOU 2023-146(SA)	1	\$10,000	\$10,000	\$7,800	9/30/2024	
SOU 2023-147(SA)	1	\$10,000	\$10,000	\$7,800	9/30/2024	
SOU 2023-148(FCS)	1	\$5,000	\$5,000	\$3,950	9/30/2024	
SOU 2023-149(LI)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-150(LI)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-151(FCS)	1	\$5,000	\$5,000	\$3,950	9/30/2024	
SOU 2023-152(SA)	1	\$10,000	\$10,000	\$7,800	9/30/2024	
SOU 2023-153(LI)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-154(TS)	1	\$10,000	\$10,000	\$7,750	9/30/2024	
SOU 2023-155(SA)	1	\$10,000	\$10,000	\$7,800	9/30/2024	
SOU 2023-156(SA)	1	\$10,000	\$10,000	\$7,800	9/30/2024	
SOU 2023-157(LI)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-158(SA)	1	\$10,000	\$10,000	\$7,800	9/30/2024	

<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>
SOU 2023-159(SI)	1	\$2,000	\$2,000	\$1,550	9/30/2024	
SOU 2023-160(AR)	1	\$2,500	\$2,500	\$1,825	9/30/2024	
SOU 2023-161(AR)	1	\$2,500	\$2,500	\$1,825	9/30/2024	
SOU 2023-162(LI)	1	\$3,000	\$3,000	\$2,250	9/30/2024	
SOU 2023-163(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-164(AR)	1	\$2,500	\$2,500	\$1,825	9/30/2024	
SOU 2023-165(AR)	1	\$5,000	\$5,000	\$3,625	9/30/2024	
SOU 2023-166(AR)	1	\$5,000	\$5,000	\$3,625	9/30/2024	
SOU 2023-167(HMT)	1	\$7,500	\$7,500	\$5,800	9/30/2024	
SOU 2023-168(LI)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-170(FCS)	1	\$5,000	\$5,000	\$3,750	9/30/2024	
SOU 2023-171(FCS)	1	\$2,500	\$2,500	\$1,950	9/30/2024	
SOU 2023-172(SA)	1	\$10,000	\$10,000	\$7,800	9/30/2024	
SOU 2023-173(LI)	1	\$10,000	\$10,000	\$7,900	9/30/2024	
SOU 2023-174(SA)	1	\$10,000	\$10,000	\$7,800	9/30/2024	
SOU 2023-175(FCS)	1	\$5,000	\$5,000	\$3,950	9/30/2024	
SOU 2023-176(SA)	1	\$10,000	\$10,000	\$7,800	9/30/2024	
SOU 2023-177(LI)	1	\$4,000	\$4,000	\$3,100	9/30/2024	
SOU 2023-178(LI)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-179(SA)	1	\$10,000	\$10,000	\$7,800	9/30/2024	
SOU 2023-180(HSR)	1	\$2,000	\$2,000	\$1,550	9/30/2024	
SOU 2023-181(HSR)	1	\$4,000	\$4,000	\$3,100	9/30/2024	
SOU 2023-182(HS)	1	\$2,000	\$2,000	\$1,550	9/30/2024	
SOU 2023-183(GC)	1	\$5,000	\$5,000	\$4,000	9/30/2024	
SOU 2023-184(GC)	1	\$10,000	\$0	\$0	9/30/2024	Case Terminated
SOU 2023-185(GC)	1	\$10,000	\$0	\$0	9/30/2024	Case Terminated
SOU 2023-186(GC)	1	\$5,000	\$0	\$0	9/30/2024	Case Terminated
SOU 2023-187(AD)	10	\$25,000	\$25,000	\$19,000	9/30/2024	
SOU 2023-188(AD)	1	\$2,500	\$2,500	\$1,875	9/30/2024	
SOU 2023-189(SA)	1	\$10,000	\$10,000	\$7,800	9/30/2024	
SOU 2023-190(SA)	1	\$10,000	\$10,000	\$7,800	9/30/2024	
SOU 2023-191(SA)	1	\$10,000	\$10,000	\$7,800	9/30/2024	
SOU 2023-192(ROP)	1	\$19,000	\$19,000	\$14,650	9/30/2024	
SOU 2023-193(SI)	1	\$2,000	\$2,000	\$1,550	9/30/2024	
SOU 2023-194(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-195(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-196(SA)	1	\$10,000	\$10,000	\$7,800	9/30/2024	
SOU 2023-200(AR)	1	\$2,500	\$2,500	\$1,825	9/30/2024	
SOU 2023-201(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-202(GC)	2	\$5,000	\$2,500	\$2,125	9/30/2024	Partially Terminated: 1
SOU 2023-203(GC)	1	\$2,500	\$2,500	\$1,925	9/30/2024	
SOU 2023-204(ROP)	1	\$15,000	\$15,000	\$11,300	9/30/2024	

<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>
SOU 2023-205(ROP)	1	\$19,000	\$19,000	\$14,500	9/30/2024	
SOU 2023-206(TS)	1	\$10,000	\$10,000	\$7,750	9/30/2024	
SOU 2023-210(GC)	1	\$10,000	\$10,000	\$8,200	9/30/2024	
SOU 2023-211(LI)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-212(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-213(SA)	1	\$10,000	\$10,000	\$7,800	9/30/2024	
SOU 2023-214(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-215(SA)	1	\$10,000	\$10,000	\$7,800	9/30/2024	
SOU 2023-216(LI)	5	\$17,000	\$17,000	\$12,500	9/30/2024	
SOU 2023-217(LI)	4	\$20,000	\$20,000	\$15,000	9/30/2024	
SOU 2023-218(TS)	1	\$5,000	\$5,000	\$3,750	9/30/2024	
SOU 2023-219(EP)	1	\$2,000	\$2,000	\$1,500	9/30/2024	
SOU 2023-220(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-221(SA)	1	\$10,000	\$10,000	\$7,800	9/30/2024	
SOU 2023-222(HMT)	1	\$10,000	\$10,000	\$7,750	9/30/2024	
SOU 2023-223(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-224(SA)	1	\$10,000	\$10,000	\$7,800	9/30/2024	
SOU 2023-225(RW)	3	\$15,000	\$15,000	\$11,750	9/30/2024	
SOU 2023-226(TS)	1	\$2,000	\$2,000	\$1,500	9/30/2024	
SOU 2023-227(RW)	1	\$2,000	\$2,000	\$1,250	9/30/2024	
SOU 2023-228(RW)	1	\$2,000	\$2,000	\$1,250	9/30/2024	
SOU 2023-229(LI)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-230(LI)	1	\$3,000	\$3,000	\$2,150	9/30/2024	
SOU 2023-231(TS)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
SOU 2023-232(ROR)	1	\$9,500	\$9,500	\$8,000	9/30/2024	
SOU 2023-233(EQ)	1	\$12,000	\$12,000	\$9,000	9/30/2024	
SOU 2023-234(SA)	1	\$10,000	\$10,000	\$7,800	9/30/2024	
SOU 2023-235(LI)	3	\$15,000	\$15,000	\$10,800	9/30/2024	
SOU 2023-236(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-237(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-238(SA)	2	\$20,000	\$20,000	\$15,600	9/30/2024	
SOU 2023-239(ROP)	1	\$19,000	\$10,000	\$8,500	9/30/2024	Partially Terminated: 1
SOU 2023-240(AD)	6	\$30,000	\$30,000	\$22,500	9/30/2024	
SOU 2023-241(LI)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-242(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-243(AD)	2	\$5,000	\$5,000	\$3,750	9/30/2024	
SOU 2023-244(ROP)	1	\$19,000	\$19,000	\$14,500	9/30/2024	
SOU 2023-245(ROP)	1	\$15,000	\$15,000	\$11,300	9/30/2024	
SOU 2023-246(HS)	2	\$4,000	\$4,000	\$3,100	9/30/2024	
SOU 2023-247(HSR)	2	\$4,000	\$4,000	\$3,100	9/30/2024	
SOU 2023-248(TS)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
SOU 2023-249(LI)	1	\$5,000	\$5,000	\$3,900	9/30/2024	

<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>
SOU 2023-250(LI)	1	\$4,000	\$4,000	\$2,950	9/30/2024	
SOU 2023-251(SA)	1	\$10,000	\$10,000	\$7,800	9/30/2024	
SOU 2023-252(AD)	8	\$20,000	\$20,000	\$15,000	9/30/2024	
SOU 2023-253(ROP)	1	\$10,000	\$10,000	\$7,400	9/30/2024	
SOU 2023-254(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-255(SA)	1	\$10,000	\$10,000	\$7,800	9/30/2024	
SOU 2023-256(SA)	1	\$10,000	\$10,000	\$7,800	9/30/2024	
SOU 2023-257(SA)	1	\$10,000	\$10,000	\$7,800	9/30/2024	
SOU 2023-258(ROP)	2	\$20,000	\$20,000	\$14,200	9/30/2024	
SOU 2023-259(SA)	1	\$10,000	\$10,000	\$7,800	9/30/2024	
SOU 2023-260(ROP)	1	\$15,000	\$15,000	\$11,150	9/30/2024	
SOU 2023-261(SA)	1	\$10,000	\$10,000	\$7,800	9/30/2024	
SOU 2023-262(SA)	1	\$10,000	\$10,000	\$7,800	9/30/2024	
SOU 2023-263(SA)	1	\$10,000	\$10,000	\$7,800	9/30/2024	
SOU 2023-264(SA)	1	\$10,000	\$10,000	\$7,800	9/30/2024	
SOU 2023-265(SA)	1	\$10,000	\$10,000	\$7,800	9/30/2024	
SOU 2023-266(SA)	1	\$10,000	\$10,000	\$7,800	9/30/2024	
SOU 2023-267(SA)	1	\$10,000	\$10,000	\$7,800	9/30/2024	
SOU 2023-268(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-269(LI)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-270(FCS)	1	\$5,000	\$5,000	\$3,950	9/30/2024	
SOU 2023-271(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-272(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-273(SA)	1	\$10,000	\$10,000	\$7,800	9/30/2024	
SOU 2023-274(SA)	1	\$10,000	\$10,000	\$7,800	9/30/2024	
SOU 2023-275(SA)	1	\$10,000	\$10,000	\$7,800	9/30/2024	
SOU 2023-276(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-277(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-278(SA)	1	\$10,000	\$10,000	\$7,800	9/30/2024	
SOU 2023-279(SA)	1	\$10,000	\$10,000	\$7,800	9/30/2024	
SOU 2023-280(GC)	1	\$10,000	\$10,000	\$8,200	9/30/2024	
SOU 2023-281(ROP)	1	\$19,000	\$19,000	\$15,000	9/30/2024	
SOU 2023-282(CC)	1	\$2,000	\$2,000	\$1,450	9/30/2024	
SOU 2023-283(SA)	1	\$10,000	\$10,000	\$7,800	9/30/2024	
SOU 2023-284(SA)	1	\$10,000	\$10,000	\$7,800	9/30/2024	
SOU 2023-285(ROP)	1	\$4,000	\$4,000	\$2,900	9/30/2024	
SOU 2023-286(SA)	1	\$15,000	\$15,000	\$11,500	9/30/2024	
SOU 2023-287(SA)	1	\$10,000	\$10,000	\$7,800	9/30/2024	
SOU 2023-288(SA)	1	\$10,000	\$10,000	\$7,800	9/30/2024	
SOU 2023-289(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-290(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-291(TS)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
SOU 2023-292(SA)	1	\$2,500	\$2,500	\$1,900	9/30/2024	

<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>
SOU 2023-293(LI)	1	\$2,000	\$2,000	\$1,400	9/30/2024	
SOU 2023-294(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-295(LI)	1	\$5,000	\$5,000	\$3,900	9/30/2024	
SOU 2023-296(LI)	1	\$3,000	\$3,000	\$2,300	9/30/2024	
SOU 2023-297(SA)	1	\$2,500	\$2,500	\$1,900	9/30/2024	
SOU 2023-298(LI)	1	\$2,500	\$2,500	\$1,850	9/30/2024	
SOU 2023-299(FCS)	1	\$2,500	\$2,500	\$1,950	9/30/2024	
SOU 2023-300(FCS)	1	\$5,000	\$5,000	\$3,950	9/30/2024	
SOU 2023-301(FCS)	1	\$10,000	\$10,000	\$7,700	9/30/2024	
SOU 2023-302(SA)	1	\$2,500	\$2,500	\$1,900	9/30/2024	
SOU 2023-303(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-304(SA)	1	\$2,500	\$2,500	\$1,900	9/30/2024	
SOU 2023-305(FCS)	1	\$5,000	\$5,000	\$3,950	9/30/2024	
SOU 2023-306(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-307(LI)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-308(HS)	2	\$4,000	\$4,000	\$3,100	9/30/2024	
SOU 2023-309(CC)	2	\$20,000	\$20,000	\$16,250	9/30/2024	
SOU 2023-310(LI)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-311(LI)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-312(LI)	1	\$4,000	\$4,000	\$3,150	9/30/2024	
SOU 2023-313(LI)	1	\$3,500	\$3,500	\$2,750	9/30/2024	
SOU 2023-314(SA)	1	\$2,500	\$2,500	\$1,900	9/30/2024	
SOU 2023-315(SA)	1	\$10,000	\$10,000	\$7,800	9/30/2024	
SOU 2023-316(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-317(SA)	1	\$2,500	\$2,500	\$1,950	9/30/2024	
SOU 2023-318(SA)	1	\$10,000	\$10,000	\$7,850	9/30/2024	
SOU 2023-319(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-320(SA)	1	\$10,000	\$10,000	\$7,850	9/30/2024	
SOU 2023-321(SA)	1	\$10,000	\$10,000	\$7,700	9/30/2024	
SOU 2023-322(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-323(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-324(LI)	2	\$10,000	\$10,000	\$7,900	9/30/2024	
SOU 2023-325(SA)	1	\$10,000	\$10,000	\$7,850	9/30/2024	
SOU 2023-326(SA)	1	\$10,000	\$10,000	\$7,850	9/30/2024	
SOU 2023-328(SA)	1	\$10,000	\$10,000	\$7,700	9/30/2024	
SOU 2023-329(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-330(LI)	1	\$5,000	\$5,000	\$4,000	9/30/2024	
SOU 2023-331(LI)	1	\$5,000	\$5,000	\$4,000	9/30/2024	
SOU 2023-332(LI)	1	\$3,000	\$3,000	\$2,300	9/30/2024	
SOU 2023-333(FCS)	1	\$5,000	\$5,000	\$3,950	9/30/2024	
SOU 2023-334(LI)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-335(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-336(FCS)	1	\$10,000	\$10,000	\$7,700	9/30/2024	

<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>
SOU 2023-337(SA)	1	\$5,000	\$5,000	\$3,950	9/30/2024	
SOU 2023-338(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-339(SA)	1	\$10,000	\$10,000	\$7,850	9/30/2024	
SOU 2023-340(ROP)	1	\$10,000	\$10,000	\$7,400	9/30/2024	
SOU 2023-341(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-342(SA)	1	\$10,000	\$10,000	\$7,850	9/30/2024	
SOU 2023-343(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-344(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-345(LI)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-346(SA)	1	\$10,000	\$10,000	\$7,850	9/30/2024	
SOU 2023-347(FCS)	1	\$5,000	\$5,000	\$3,950	9/30/2024	
SOU 2023-348(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-349(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-350(SA)	1	\$10,000	\$10,000	\$7,850	9/30/2024	
SOU 2023-351(TS)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
SOU 2023-352(TS)	1	\$2,000	\$2,000	\$1,500	9/30/2024	
SOU 2023-353(SA)	1	\$10,000	\$10,000	\$7,850	9/30/2024	
SOU 2023-354(FCS)	1	\$5,000	\$5,000	\$3,950	9/30/2024	
SOU 2023-355(FCS)	1	\$5,000	\$5,000	\$3,950	9/30/2024	
SOU 2023-356(SA)	1	\$10,000	\$10,000	\$8,200	9/30/2024	
SOU 2023-357(FCS)	1	\$5,000	\$5,000	\$3,900	9/30/2024	
SOU 2023-358(SA)	1	\$10,000	\$10,000	\$7,850	9/30/2024	
SOU 2023-359(SA)	1	\$10,000	\$10,000	\$7,850	9/30/2024	
SOU 2023-360(AD)	1	\$2,500	\$2,500	\$1,875	9/30/2024	
SOU 2023-361(AD)	1	\$10,000	\$10,000	\$7,500	9/30/2024	
SOU 2023-362(AD)	2	\$10,000	\$10,000	\$7,500	9/30/2024	
SOU 2023-363(AD)	2	\$10,000	\$10,000	\$7,500	9/30/2024	
SOU 2023-364(AD)	2	\$20,000	\$20,000	\$15,000	9/30/2024	
SOU 2023-365(SI)	6	\$12,000	\$8,000	\$6,160	9/30/2024	Partially Terminated: 1
SOU 2023-366(SI)	1	\$5,000	\$5,000	\$3,800	9/30/2024	
SOU 2023-367(SA)	1	\$10,000	\$10,000	\$7,850	9/30/2024	
SOU 2023-368(LI)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-369(GC)	1	\$10,000	\$10,000	\$7,700	9/30/2024	
SOU 2023-370(FCS)	1	\$10,000	\$10,000	\$7,700	9/30/2024	
SOU 2023-371(GC)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-372(GC)	1	\$10,000	\$0	\$0	9/30/2024	Case Terminated
SOU 2023-373(GC)	1	\$10,000	\$10,000	\$7,700	9/30/2024	
SOU 2023-374(SA)	1	\$10,000	\$10,000	\$7,850	9/30/2024	
SOU 2023-375(SA)	1	\$10,000	\$10,000	\$7,850	9/30/2024	
SOU 2023-376(SA)	1	\$10,000	\$10,000	\$7,850	9/30/2024	
SOU 2023-377(GC)	1	\$10,000	\$10,000	\$7,700	9/30/2024	
SOU 2023-378(GC)	1	\$10,000	\$10,000	\$7,700	9/30/2024	

<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>
SOU 2023-379(SI)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
SOU 2023-380(SA)	1	\$10,000	\$10,000	\$7,850	9/30/2024	
SOU 2023-381(LI)	1	\$3,000	\$3,000	\$2,350	9/30/2024	
SOU 2023-382(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-383(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-384(FCS)	1	\$5,000	\$5,000	\$3,700	9/30/2024	
SOU 2023-385(SA)	1	\$5,000	\$5,000	\$3,950	9/30/2024	
SOU 2023-386(FCS)	1	\$5,000	\$5,000	\$3,950	9/30/2024	
SOU 2023-387(HS)	2	\$4,000	\$4,000	\$3,100	9/30/2024	
SOU 2023-388(HS)	2	\$4,000	\$4,000	\$3,100	9/30/2024	
SOU 2023-389(LI)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-390(SA)	1	\$10,000	\$10,000	\$7,850	9/30/2024	
SOU 2023-391(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-392(LI)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-393(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-394(TS)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
SOU 2023-395(SA)	1	\$10,000	\$10,000	\$7,650	9/30/2024	
SOU 2023-396(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-397(GC)	1	\$10,000	\$0	\$0	9/30/2024	Case Terminated
SOU 2023-398(GC)	1	\$10,000	\$0	\$0	9/30/2024	Case Terminated
SOU 2023-399(LI)	1	\$2,000	\$2,000	\$1,500	9/30/2024	
SOU 2023-400(LI)	2	\$10,000	\$10,000	\$7,900	9/30/2024	
SOU 2023-401(LI)	2	\$10,000	\$10,000	\$7,900	9/30/2024	
SOU 2023-402(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-403(LI)	2	\$10,000	\$10,000	\$7,900	9/30/2024	
SOU 2023-405(ROR)	1	\$19,000	\$19,000	\$14,650	9/30/2024	
SOU 2023-406(AD)	1	\$2,500	\$2,500	\$1,875	9/30/2024	
SOU 2023-407(AD)	1	\$2,500	\$2,500	\$1,875	9/30/2024	
SOU 2023-408(LI)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-409(LI)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-410(LI)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-411(SA)	1	\$10,000	\$10,000	\$7,800	9/30/2024	
SOU 2023-412(EP)	1	\$2,000	\$2,000	\$1,500	9/30/2024	
SOU 2023-413(FCS)	1	\$5,000	\$5,000	\$3,950	9/30/2024	
SOU 2023-414(FCS)	1	\$5,000	\$5,000	\$3,950	9/30/2024	
SOU 2023-415(SA)	1	\$5,000	\$5,000	\$4,150	9/30/2024	
SOU 2023-416(SA)	1	\$10,000	\$10,000	\$7,400	9/30/2024	
SOU 2023-417(LI)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-418(HMT)	1	\$8,000	\$8,000	\$6,500	9/30/2024	
SOU 2023-419(SA)	1	\$10,000	\$10,000	\$7,750	9/30/2024	
SOU 2023-420(EP)	1	\$2,000	\$2,000	\$1,500	9/30/2024	
SOU 2023-421(ROP)	1	\$10,000	\$10,000	\$8,100	9/30/2024	
SOU 2023-422(ROP)	1	\$15,000	\$15,000	\$11,150	9/30/2024	

<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>
SOU 2023-423(ROP)	1	\$15,000	\$15,000	\$11,500	9/30/2024	
SOU 2023-424(ROP)	1	\$19,000	\$19,000	\$14,500	9/30/2024	
SOU 2023-425(SA)	1	\$10,000	\$10,000	\$7,750	9/30/2024	
SOU 2023-426(ROP)	1	\$19,000	\$10,000	\$8,500	9/30/2024	Partially Terminated: 1
SOU 2023-427(SA)	2	\$20,000	\$20,000	\$14,750	9/30/2024	
SOU 2023-428(HS)	3	\$6,000	\$6,000	\$4,650	9/30/2024	
SOU 2023-429(SA)	1	\$10,000	\$10,000	\$7,750	9/30/2024	
SOU 2023-430(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-431(HMT)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-432(LI)	1	\$7,500	\$7,500	\$5,800	9/30/2024	
SOU 2023-433(HS)	1	\$2,000	\$2,000	\$1,475	9/30/2024	
SOU 2023-434(HS)	2	\$4,000	\$4,000	\$3,100	9/30/2024	
SOU 2023-435(SI)	1	\$2,000	\$2,000	\$1,650	9/30/2024	
SOU 2023-436(HMT)	4	\$24,000	\$24,000	\$18,800	9/30/2024	
SOU 2023-437(SA)	1	\$10,000	\$10,000	\$7,700	9/30/2024	
SOU 2023-438(LI)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-439(LI)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-440(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-441(SA)	1	\$10,000	\$10,000	\$8,800	9/30/2024	
SOU 2023-442(SA)	1	\$5,000	\$5,000	\$4,150	9/30/2024	
SOU 2023-443(SA)	1	\$5,000	\$5,000	\$4,150	9/30/2024	
SOU 2023-444(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-445(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2024	
SOU 2023-446(LI)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-447(LI)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-448(FCS)	1	\$5,000	\$5,000	\$3,950	9/30/2024	
SOU 2023-449(SA)	1	\$10,000	\$10,000	\$7,700	9/30/2024	
SOU 2023-450(FCS)	1	\$5,000	\$5,000	\$3,950	9/30/2024	
SOU 2023-451(LI)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-452(LI)	1	\$2,000	\$2,000	\$1,500	9/30/2024	
SOU 2023-453(LI)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-454(SA)	1	\$10,000	\$10,000	\$7,700	9/30/2024	
SOU 2023-455(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2024	
SOU 2023-456(SA)	1	\$10,000	\$10,000	\$7,500	9/30/2024	
SOU 2023-457(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-458(ROP)	1	\$19,000	\$10,000	\$8,500	9/30/2024	Partially Terminated: 1
SOU 2023-459(ROP)	1	\$10,000	\$10,000	\$7,400	9/30/2024	
SOU 2023-460(ROP)	1	\$10,000	\$10,000	\$7,400	9/30/2024	
SOU 2023-461(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-462(ROP)	1	\$15,000	\$4,000	\$3,320	9/30/2024	Partially Terminated: 1

<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>
SOU 2023-463(ROP)	1	\$4,000	\$4,000	\$2,875	9/30/2024	
SOU 2023-464(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-465(LI)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-466(LI)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-467(LI)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-468(LI)	1	\$2,000	\$2,000	\$1,500	9/30/2024	
SOU 2023-469(SA)	1	\$10,000	\$10,000	\$7,200	9/30/2024	
SOU 2023-470(ROP)	1	\$15,000	\$15,000	\$13,350	9/30/2024	
SOU 2023-471(FCS)	1	\$2,000	\$2,000	\$2,000	9/30/2024	
SOU 2023-472(ROP)	1	\$15,000	\$15,000	\$11,500	9/30/2024	
SOU 2023-474(ROP)	1	\$15,000	\$15,000	\$11,800	9/30/2024	
SOU 2023-475(ROP)	1	\$15,000	\$15,000	\$11,500	9/30/2024	
SOU 2023-476(LI)	1	\$2,000	\$2,000	\$1,500	9/30/2024	
SOU 2023-477(LI)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-478(LI)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-479(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2024	
SOU 2023-480(LI)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2023-481(GC)	1	\$10,000	\$10,000	\$8,200	9/30/2024	
SOU 2023-482(SA)	1	\$10,000	\$10,000	\$7,700	9/30/2024	
SOU 2023-483(FCS)	1	\$10,000	\$10,000	\$7,800	9/30/2024	
SOU 2023-484(SA)	1	\$10,000	\$10,000	\$7,850	9/30/2024	
SOU 2024-001(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2024-002(GC)	5	\$25,000	\$0	\$0	9/30/2024	Case Terminated
SOU 2024-003(TS)	1	\$2,000	\$2,000	\$1,100	9/30/2024	
SOU 2024-004(GC)	1	\$10,000	\$10,000	\$1,052	9/30/2024	
SOU 2024-005(GC)	1	\$10,000	\$10,000	\$7,650	9/30/2024	
SOU 2024-006(FCS)	1	\$5,000	\$5,000	\$3,950	9/30/2024	
SOU 2024-007(GC)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2024-008(FCS)	1	\$5,000	\$5,000	\$3,950	9/30/2024	
SOU 2024-009(ROP)	1	\$15,000	\$15,000	\$11,150	9/30/2024	
SOU 2024-010(SA)	1	\$10,000	\$10,000	\$7,900	9/30/2024	
SOU 2024-011(TS)	2	\$4,000	\$4,000	\$2,150	9/30/2024	
SOU 2024-012(FCS)	1	\$10,000	\$10,000	\$7,800	9/30/2024	
SOU 2024-013(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2024	
SOU 2024-014(TS)	1	\$2,000	\$2,000	\$1,100	9/30/2024	
SOU 2024-015(LI)	2	\$10,000	\$10,000	\$7,900	9/30/2024	
SOU 2024-016(SA)	1	\$10,000	\$10,000	\$7,700	9/30/2024	
SOU 2024-017(FCS)	1	\$10,000	\$10,000	\$7,800	9/30/2024	
SOU 2024-018(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2024	
SOU 2024-019(LI)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2024-020(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2024-022(FCS)	5	\$20,000	\$20,000	\$15,850	9/30/2024	
SOU 2024-023(SA)	1	\$10,000	\$10,000	\$7,850	9/30/2024	

<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>
SOU 2024-024(LI)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2024-025(TS)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
SOU 2024-026(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2024	
SOU 2024-027(SA)	1	\$5,000	\$5,000	\$4,000	9/30/2024	
SOU 2024-028(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2024-029(GC)	1	\$10,000	\$10,000	\$8,100	9/30/2024	
SOU 2024-030(SA)	1	\$10,000	\$10,000	\$8,400	9/30/2024	
SOU 2024-031(EQ)	1	\$2,000	\$2,000	\$1,525	9/30/2024	
SOU 2024-032(ROP)	1	\$10,000	\$10,000	\$7,200	9/30/2024	
SOU 2024-033(SA)	1	\$10,000	\$10,000	\$8,400	9/30/2024	
SOU 2024-034(SA)	1	\$5,000	\$5,000	\$3,950	9/30/2024	
SOU 2024-035(TS)	1	\$5,000	\$5,000	\$3,600	9/30/2024	
SOU 2024-036(RW)	1	\$4,000	\$4,000	\$2,600	9/30/2024	
SOU 2024-037(GC)	1	\$10,000	\$0	\$0	9/30/2024	Case Terminated
SOU 2024-039(RW)	2	\$12,000	\$12,000	\$9,750	9/30/2024	
SOU 2024-040(GC)	1	\$10,000	\$0	\$0	9/30/2024	Case Terminated
SOU 2024-041(GC)	1	\$10,000	\$10,000	\$1,052	9/30/2024	
SOU 2024-042(GC)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2024-043(GC)	1	\$10,000	\$10,000	\$7,700	9/30/2024	
SOU 2024-044(SA)	1	\$10,000	\$10,000	\$7,700	9/30/2024	
SOU 2024-045(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2024	
SOU 2024-046(RMM)	5	\$22,000	\$22,000	\$17,500	9/30/2024	
SOU 2024-047(HS)	2	\$4,000	\$4,000	\$3,100	9/30/2024	
SOU 2024-048(SA)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2024-049(SA)	1	\$10,000	\$10,000	\$7,700	9/30/2024	
SOU 2024-050(LI)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2024-051(LI)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2024-052(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2024	
SOU 2024-053(FCS)	1	\$4,000	\$4,000	\$3,100	9/30/2024	
SOU 2024-054(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2024	
SOU 2024-055(LI)	1	\$2,500	\$2,500	\$1,875	9/30/2024	
SOU 2024-056(SA)	1	\$10,000	\$10,000	\$7,850	9/30/2024	
SOU 2024-057(SA)	1	\$2,500	\$2,500	\$1,925	9/30/2024	
SOU 2024-058(FCS)	1	\$2,500	\$2,500	\$1,950	9/30/2024	
SOU 2024-059(SA)	1	\$5,000	\$5,000	\$3,950	9/30/2024	
SOU 2024-060(SA)	1	\$2,500	\$2,500	\$1,875	9/30/2024	
SOU 2024-061(FCS)	1	\$2,500	\$2,500	\$1,950	9/30/2024	
SOU 2024-062(ROP)	1	\$15,000	\$15,000	\$11,500	9/30/2024	
SOU 2024-063(SA)	1	\$10,000	\$10,000	\$7,950	9/30/2024	
SOU 2024-064(HMT)	1	\$2,000	\$2,000	\$1,450	9/30/2024	
SOU 2024-065(SA)	1	\$10,000	\$10,000	\$7,500	9/30/2024	
SOU 2024-066(FCS)	1	\$5,000	\$5,000	\$3,950	9/30/2024	
SOU 2024-067(FCS)	1	\$5,000	\$5,000	\$3,950	9/30/2024	

<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>
SOU 2024-068(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2024	
SOU 2024-069(SA)	1	\$10,000	\$10,000	\$7,950	9/30/2024	
SOU 2024-072(ROP)	1	\$19,000	\$19,000	\$14,000	9/30/2024	
SOU 2024-073(LI)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2024-074(FCS)	1	\$5,000	\$5,000	\$3,950	9/30/2024	
SOU 2024-075(HMT)	1	\$5,000	\$5,000	\$3,850	9/30/2024	
SOU 2024-076(HSR)	1	\$2,000	\$2,000	\$1,550	9/30/2024	
SOU 2024-077(HSR)	1	\$2,000	\$0	\$0	9/30/2024	Case Terminated
SOU 2024-078(FCS)	1	\$5,000	\$5,000	\$3,950	9/30/2024	
SOU 2024-079(FCS)	1	\$5,000	\$5,000	\$3,950	9/30/2024	
SOU 2024-080(HMT)	1	\$7,500	\$7,500	\$5,800	9/30/2024	
SOU 2024-081(SA)	1	\$10,000	\$10,000	\$7,950	9/30/2024	
SOU 2024-083(SA)	1	\$10,000	\$10,000	\$7,700	9/30/2024	
SOU 2024-084(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2024	
SOU 2024-085(SA)	1	\$10,000	\$10,000	\$7,300	9/30/2024	
SRN 2020-001(TS)	1	\$5,000	\$5,000	\$3,100	4/24/2024	
SRN 2022-001(EQ)	1	\$5,000	\$5,000	\$3,000	4/24/2024	
SRN 2022-002(EQ)	1	\$2,000	\$2,000	\$1,300	4/24/2024	
SRN 2022-003(EQ)	1	\$1,000	\$1,000	\$976	4/24/2024	
SRN 2022-004(CC)	1	\$5,000	\$5,000	\$3,000	4/24/2024	
SRN 2022-005(CC)	1	\$2,500	\$2,500	\$1,624	4/24/2024	
STMA 2021-001(TS)	1	\$5,000	\$5,000	\$3,500	6/20/2024	
STMA 2023-001(TS)	1	\$5,000	\$5,000	\$3,650	6/20/2024	
STMA 2023-002(TS)	1	\$5,000	\$5,000	\$3,650	6/20/2024	
STMA 2023-003(TS)	1	\$5,000	\$5,000	\$3,650	6/20/2024	
STMA 2023-004(TS)	1	\$5,000	\$5,000	\$3,650	6/20/2024	
STMA 2023-005(TS)	1	\$5,000	\$5,000	\$3,650	6/20/2024	
TM 2023-001(ROP)	1	\$4,000	\$0	\$0	10/24/2023	Case Terminated
TMBL 2023-001(HMT)	1	\$5,000	\$5,000	\$2,750	11/17/2023	
TNER 2024-001(TS)	1	\$5,000	\$5,000	\$3,600	9/27/2024	
TPW 2023-003(SA)	1	\$5,000	\$5,000	\$3,500	9/27/2024	
TPW 2024-001(SA)	1	\$5,000	\$5,000	\$3,600	9/27/2024	
TRRA 2023-001(HMT)	1	\$2,000	\$2,000	\$2,000	11/13/2023	
TTXJ 2023-001(FCS)	1	\$2,500	\$2,500	\$2,500	10/2/2023	
TTXJ 2023-002(FCS)	1	\$2,500	\$2,500	\$2,500	10/2/2023	
TTXJ 2023-003(SA)	1	\$5,000	\$5,000	\$5,000	1/25/2024	
TTXJ 2024-001(SA)	1	\$5,000	\$5,000	\$5,000	4/29/2024	
TXN 2024-001(HMT)	1	\$7,500	\$7,500	\$5,250	9/25/2024	
UFRC 2023-001(TS)	3	\$30,000	\$30,000	\$22,800	3/4/2024	
UP 2020-543(GC)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2021-193(LI)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2022-1007(ROP)	2	\$15,000	\$15,000	\$11,640	9/26/2024	
UP 2022-1010(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	

<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>
UP 2022-1015(HMT)	1	\$6,000	\$6,000	\$4,656	9/26/2024	
UP 2022-1025(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2022-1035(FCS)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2022-1040(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2022-1045(HS)	2	\$4,000	\$0	\$0	9/26/2024	Case Terminated
UP 2022-1055(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2022-1058(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2022-1068(LI)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2022-1073(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2022-1078(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2022-1083(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2022-1088(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2022-213(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2022-683(LI)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2022-692(GC)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2022-731(SI)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2022-736(ROP)	1	\$7,500	\$7,500	\$5,800	9/26/2024	
UP 2022-741(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2022-746(ROP)	1	\$9,500	\$9,500	\$7,375	9/26/2024	
UP 2022-751(LI)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2022-755(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2022-760(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2022-765(FCS)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2022-770(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2022-780(ROP)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2022-785(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2022-810(HMT)	1	\$2,000	\$2,000	\$1,552	9/26/2024	
UP 2022-815(TS)	1	\$2,000	\$2,000	\$1,480	9/26/2024	
UP 2022-820(LI)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2022-825(HMT)	1	\$2,000	\$2,000	\$1,552	9/26/2024	
UP 2022-830(ROP)	2	\$4,000	\$4,000	\$3,100	9/26/2024	
UP 2022-835(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2022-845(LI)	1	\$2,000	\$2,000	\$1,550	9/26/2024	
UP 2022-855(FCS)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2022-860(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2022-865(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2022-870(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2022-880(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2022-885(LI)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2022-890(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2022-895(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2022-900(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2022-905(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	

<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>
UP 2022-915(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2022-920(LI)	1	\$1,000	\$1,000	\$976	9/26/2024	
UP 2022-925(HMT)	8	\$20,000	\$20,000	\$15,520	9/26/2024	
UP 2022-930(LI)	1	\$2,000	\$2,000	\$1,550	9/26/2024	
UP 2022-935(FCS)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2022-940(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2022-945(ROP)	1	\$7,500	\$7,500	\$5,800	9/26/2024	
UP 2022-950(ROP)	6	\$12,000	\$12,000	\$9,315	9/26/2024	
UP 2022-955(LI)	1	\$1,000	\$1,000	\$976	9/26/2024	
UP 2022-960(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2022-965(LI)	1	\$1,000	\$1,000	\$976	9/26/2024	
UP 2022-970(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2022-975(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2022-980(FCS)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2022-985(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2022-990(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2022-995(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-003(ROP)	1	\$7,500	\$7,500	\$5,800	9/26/2024	
UP 2023-005(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-006(LI)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-010(LI)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-015(ROP)	1	\$7,500	\$7,500	\$5,800	9/26/2024	
UP 2023-019(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-024(GC)	1	\$2,000	\$2,000	\$1,550	9/26/2024	
UP 2023-025(ROP)	1	\$7,500	\$7,500	\$5,800	9/26/2024	
UP 2023-030(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-035(LI)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-040(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-041(FCS)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-050(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-051(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-055(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-056(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-060(HMT)	1	\$2,000	\$2,000	\$1,552	9/26/2024	
UP 2023-065(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-066(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-070(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-071(LI)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-075(ROP)	1	\$2,000	\$2,000	\$1,550	9/26/2024	
UP 2023-076(ROP)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-080(AD)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-081(AD)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-085(AD)	1	\$2,500	\$2,500	\$1,940	9/26/2024	

<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>
UP 2023-086(AD)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-091(FCS)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-096(LI)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-100(HS)	1	\$2,000	\$2,000	\$1,000	9/26/2024	
UP 2023-101(LI)	1	\$2,000	\$2,000	\$1,550	9/26/2024	
UP 2023-105(HS)	2	\$4,000	\$4,000	\$3,000	9/26/2024	
UP 2023-106(HS)	2	\$2,000	\$2,000	\$1,500	9/26/2024	
UP 2023-110(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-111(FCS)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-116(ROR)	6	\$57,000	\$57,000	\$44,260	9/26/2024	
UP 2023-120(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-121(TS)	1	\$2,000	\$2,000	\$1,480	9/26/2024	
UP 2023-130(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-134(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-135(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-139(LI)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-140(LI)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-144(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-145(FCS)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-149(FCS)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-150(LI)	1	\$2,000	\$2,000	\$1,550	9/26/2024	
UP 2023-155(GC)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-159(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-160(ROP)	1	\$7,500	\$7,500	\$5,800	9/26/2024	
UP 2023-164(LI)	3	\$6,000	\$6,000	\$4,660	9/26/2024	
UP 2023-165(LI)	1	\$2,000	\$2,000	\$1,550	9/26/2024	
UP 2023-169(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-170(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-174(SA)	1	\$2,000	\$2,000	\$1,552	9/26/2024	
UP 2023-175(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-179(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-180(LI)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-181(LI)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-184(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-185(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-189(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-190(LI)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-195(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-200(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-205(FCS)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-210(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-215(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-217(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	

<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>
UP 2023-220(FCS)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-222(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-225(FCS)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-227(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-230(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-232(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-234(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-235(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-237(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-239(FCS)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-240(LI)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-243(ROP)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-244(LI)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-246(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-249(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-251(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-253(FCS)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-254(ROP)	1	\$9,500	\$9,500	\$7,375	9/26/2024	
UP 2023-256(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-258(FCS)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-259(FCS)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-261(FCS)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-263(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-264(FCS)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-266(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-268(FCS)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-269(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-271(FCS)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-273(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-274(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-276(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-278(SA)	2	\$10,000	\$10,000	\$7,760	9/26/2024	
UP 2023-279(LI)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-281(LI)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-284(LI)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-286(SA)	1	\$10,000	\$10,000	\$7,760	9/26/2024	
UP 2023-289(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-291(EP)	1	\$2,000	\$2,000	\$1,480	9/26/2024	
UP 2023-294(GC)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-296(GC)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-299(GC)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-301(GC)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-304(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	

<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>
UP 2023-306(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-308(FCS)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-309(FCS)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-310(FCS)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-312(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-313(FCS)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-314(EP)	1	\$2,000	\$2,000	\$1,480	9/26/2024	
UP 2023-315(FCS)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-316(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-317(FCS)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-318(EP)	1	\$2,000	\$2,000	\$1,480	9/26/2024	
UP 2023-319(FCS)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-319(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-320(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-321(SA)	1	\$10,000	\$10,000	\$7,760	9/26/2024	
UP 2023-322(LI)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-323(ROP)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-324(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-325(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-326(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-328(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-329(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-330(LI)	1	\$2,000	\$2,000	\$1,550	9/26/2024	
UP 2023-331(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-332(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-333(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-334(SA)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-335(SA)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-336(HS)	2	\$4,000	\$4,000	\$3,000	9/26/2024	
UP 2023-337(HS)	2	\$4,000	\$4,000	\$3,000	9/26/2024	
UP 2023-338(HS)	2	\$4,000	\$4,000	\$3,000	9/26/2024	
UP 2023-339(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-340(SA)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-341(FCS)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-342(FCS)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-343(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-344(ROP)	1	\$7,500	\$7,500	\$5,800	9/26/2024	
UP 2023-346(LI)	1	\$2,000	\$2,000	\$1,052	9/26/2024	
UP 2023-347(SA)	2	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2023-348(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-349(LI)	1	\$2,000	\$2,000	\$1,052	9/26/2024	
UP 2023-351(LI)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-352(ROP)	1	\$9,500	\$9,500	\$7,375	9/26/2024	

<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>
UP 2023-353(SA)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-354(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2023-356(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2023-357(LI)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-358(FCS)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-359(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2023-361(SA)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-362(SA)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-363(FCS)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-364(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2023-366(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-367(SA)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-368(SA)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-369(ROP)	1	\$2,000	\$2,000	\$1,550	9/26/2024	
UP 2023-371(FCS)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-372(SA)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-373(LI)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-375(ROP)	1	\$7,500	\$7,500	\$5,800	9/26/2024	
UP 2023-376(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2023-377(SA)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-379(SA)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-380(SI)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-381(GC)	1	\$10,000	\$5,000	\$5,000	9/26/2024	Partially Terminated: 1
UP 2023-382(FCS)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-384(FCS)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-385(FCS)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2023-386(SA)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-389(GC)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-390(LI)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-391(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2023-392(HS)	2	\$4,000	\$4,000	\$3,000	9/26/2024	
UP 2023-394(SA)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-395(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2023-396(HS)	2	\$8,000	\$8,000	\$6,000	9/26/2024	
UP 2023-397(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2023-399(HMT)	3	\$12,000	\$12,000	\$8,000	9/26/2024	
UP 2023-400(HMT)	1	\$7,500	\$7,500	\$5,820	9/26/2024	
UP 2023-401(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2023-402(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2023-404(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2023-405(FCS)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-406(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	

<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>
UP 2023-407(SA)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-409(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-410(ROP)	1	\$19,000	\$19,000	\$13,750	9/26/2024	
UP 2023-411(FCS)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-412(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-414(FCS)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-415(TS)	1	\$10,000	\$10,000	\$7,400	9/26/2024	
UP 2023-416(FCS)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-417(FCS)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-419(FCS)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2023-420(SA)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-421(ROP)	1	\$15,000	\$15,000	\$11,650	9/26/2024	
UP 2023-422(HS)	2	\$4,000	\$4,000	\$3,000	9/26/2024	
UP 2023-424(SA)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-425(SA)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-426(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2023-427(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2023-428(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2023-429(SA)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-430(SA)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-432(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2023-433(FCS)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-434(FCS)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-435(SA)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-437(ROP)	1	\$15,000	\$15,000	\$11,650	9/26/2024	
UP 2023-438(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2023-439(FCS)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2023-440(SA)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-442(SA)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-443(SA)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-444(HS)	2	\$4,000	\$4,000	\$3,000	9/26/2024	
UP 2023-445(SA)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-447(TS)	1	\$2,000	\$2,000	\$1,480	9/26/2024	
UP 2023-448(GC)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2023-449(HMT)	1	\$6,000	\$6,000	\$4,656	9/26/2024	
UP 2023-450(FCS)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-452(FCS)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-453(FCS)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-454(FCS)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2023-455(HMT)	1	\$3,000	\$3,000	\$2,328	9/26/2024	
UP 2023-457(TS)	1	\$10,000	\$10,000	\$7,400	9/26/2024	
UP 2023-458(FCS)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-459(TS)	2	\$20,000	\$20,000	\$13,800	9/26/2024	

<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>
UP 2023-460(HMT)	2	\$11,500	\$11,500	\$8,924	9/26/2024	
UP 2023-462(GC)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-463(GC)	2	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2023-464(ROP)	1	\$19,000	\$19,000	\$14,750	9/26/2024	
UP 2023-465(ROP)	1	\$4,000	\$4,000	\$3,100	9/26/2024	
UP 2023-467(TS)	2	\$10,000	\$10,000	\$7,400	9/26/2024	
UP 2023-468(SA)	3	\$30,000	\$30,000	\$23,300	9/26/2024	
UP 2023-469(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2023-470(SA)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-472(SA)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-473(FCS)	1	\$4,000	\$4,000	\$3,100	9/26/2024	
UP 2023-474(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2023-475(FCS)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-477(ROP)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2023-478(SA)	1	\$10,000	\$10,000	\$7,760	9/26/2024	
UP 2023-479(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-480(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-482(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-483(FCS)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-484(ROP)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2023-485(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-487(FCS)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2023-488(RW)	3	\$6,000	\$6,000	\$4,660	9/26/2024	
UP 2023-489(LI)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-490(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-492(CC)	1	\$10,000	\$10,000	\$7,400	9/26/2024	
UP 2023-493(SA)	1	\$10,000	\$10,000	\$7,760	9/26/2024	
UP 2023-494(TS)	5	\$19,000	\$19,000	\$13,414	9/26/2024	
UP 2023-495(SA)	1	\$10,000	\$10,000	\$7,760	9/26/2024	
UP 2023-497(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-498(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-499(SA)	1	\$10,000	\$10,000	\$7,760	9/26/2024	
UP 2023-500(SA)	1	\$10,000	\$10,000	\$7,760	9/26/2024	
UP 2023-502(SA)	2	\$20,000	\$20,000	\$15,520	9/26/2024	
UP 2023-503(ROP)	1	\$19,000	\$19,000	\$13,750	9/26/2024	
UP 2023-504(HS)	1	\$2,000	\$2,000	\$1,500	9/26/2024	
UP 2023-505(LI)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2023-507(SA)	1	\$10,000	\$10,000	\$7,760	9/26/2024	
UP 2023-508(ROP)	2	\$60,000	\$15,000	\$15,000	9/26/2024	Partially Terminated: 2
UP 2023-509(EQ)	1	\$5,000	\$5,000	\$1,052	9/26/2024	
UP 2023-510(ROP)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2023-512(LI)	1	\$4,000	\$4,000	\$3,100	9/26/2024	

<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>
UP 2023-513(ROP)	1	\$4,000	\$4,000	\$3,100	9/26/2024	
UP 2023-514(ROP)	1	\$19,000	\$19,000	\$14,750	9/26/2024	
UP 2023-515(SA)	1	\$10,000	\$10,000	\$7,760	9/26/2024	
UP 2023-517(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-518(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-519(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-520(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-522(LI)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-523(SA)	1	\$10,000	\$10,000	\$7,760	9/26/2024	
UP 2023-524(FCS)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-525(TS)	1	\$2,000	\$2,000	\$1,480	9/26/2024	
UP 2023-527(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-528(LI)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-529(LI)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-530(ROP)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2023-532(ROP)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2023-533(ROP)	1	\$19,000	\$19,000	\$14,750	9/26/2024	
UP 2023-534(ROP)	1	\$15,000	\$15,000	\$11,650	9/26/2024	
UP 2023-535(SA)	1	\$10,000	\$10,000	\$7,760	9/26/2024	
UP 2023-537(GC)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2023-538(LI)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-539(GC)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2023-541(SA)	1	\$10,000	\$10,000	\$7,760	9/26/2024	
UP 2023-542(SA)	1	\$10,000	\$10,000	\$7,760	9/26/2024	
UP 2023-543(ROP)	1	\$4,000	\$4,000	\$3,100	9/26/2024	
UP 2023-544(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-546(SA)	1	\$10,000	\$10,000	\$7,760	9/26/2024	
UP 2023-547(SA)	1	\$10,000	\$10,000	\$7,760	9/26/2024	
UP 2023-548(REM)	1	\$10,000	\$10,000	\$7,400	9/26/2024	
UP 2023-549(SA)	4	\$40,000	\$40,000	\$31,040	9/26/2024	
UP 2023-551(SA)	1	\$10,000	\$10,000	\$7,760	9/26/2024	
UP 2023-552(GC)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2023-553(ROP)	1	\$15,000	\$15,000	\$11,650	9/26/2024	
UP 2023-554(LI)	2	\$8,000	\$8,000	\$6,200	9/26/2024	
UP 2023-556(SA)	1	\$10,000	\$10,000	\$7,760	9/26/2024	
UP 2023-557(LI)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-558(SA)	1	\$10,000	\$10,000	\$7,760	9/26/2024	
UP 2023-559(LI)	1	\$3,000	\$3,000	\$2,330	9/26/2024	
UP 2023-561(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-562(SA)	1	\$10,000	\$10,000	\$7,760	9/26/2024	
UP 2023-563(RSP)	1	\$19,000	\$19,000	\$14,750	9/26/2024	
UP 2023-564(HMT)	1	\$3,000	\$3,000	\$2,328	9/26/2024	
UP 2023-566(SA)	1	\$10,000	\$10,000	\$7,760	9/26/2024	

<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>
UP 2023-567(SA)	2	\$20,000	\$20,000	\$15,520	9/26/2024	
UP 2023-568(HMT)	1	\$4,000	\$4,000	\$3,104	9/26/2024	
UP 2023-569(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-571(FCS)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-572(FCS)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-573(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-574(SA)	1	\$10,000	\$10,000	\$7,760	9/26/2024	
UP 2023-576(LI)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-577(SA)	1	\$10,000	\$10,000	\$7,760	9/26/2024	
UP 2023-578(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-579(SA)	1	\$10,000	\$10,000	\$7,760	9/26/2024	
UP 2023-581(SA)	2	\$20,000	\$20,000	\$15,520	9/26/2024	
UP 2023-582(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-583(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-584(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-586(SA)	1	\$10,000	\$10,000	\$7,760	9/26/2024	
UP 2023-587(LI)	1	\$3,000	\$3,000	\$2,230	9/26/2024	
UP 2023-588(SA)	1	\$10,000	\$10,000	\$7,760	9/26/2024	
UP 2023-589(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-591(SA)	1	\$10,000	\$10,000	\$7,760	9/26/2024	
UP 2023-592(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-593(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-594(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-596(SA)	1	\$10,000	\$10,000	\$7,760	9/26/2024	
UP 2023-597(SA)	1	\$10,000	\$10,000	\$7,760	9/26/2024	
UP 2023-598(SA)	1	\$10,000	\$10,000	\$7,760	9/26/2024	
UP 2023-599(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-601(HMT)	1	\$2,000	\$2,000	\$1,552	9/26/2024	
UP 2023-602(HMT)	1	\$20,000	\$20,000	\$15,520	9/26/2024	
UP 2023-603(ROP)	1	\$15,000	\$15,000	\$11,650	9/26/2024	
UP 2023-604(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-606(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-607(LI)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-608(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-609(LI)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-611(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-612(SA)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
UP 2023-613(FCS)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-614(SA)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
UP 2023-616(ROP)	1	\$4,000	\$4,000	\$3,100	9/26/2024	
UP 2023-618(LI)	2	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2023-619(FCS)	1	\$4,000	\$4,000	\$3,080	9/26/2024	
UP 2023-621(SA)	1	\$5,000	\$5,000	\$3,850	9/26/2024	

<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>
UP 2023-622(SA)	4	\$20,000	\$10,000	\$5,000	9/26/2024	Partially Terminated: 2
UP 2023-623(LI)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-624(SA)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-626(SA)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
UP 2023-627(SA)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
UP 2023-628(FCS)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-629(FCS)	1	\$10,000	\$10,000	\$6,000	9/26/2024	
UP 2023-631(SA)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
UP 2023-632(SA)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
UP 2023-633(HS)	2	\$4,000	\$4,000	\$3,000	9/26/2024	
UP 2023-634(SA)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-636(SA)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-637(SA)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
UP 2023-638(ROP)	1	\$4,000	\$4,000	\$3,100	9/26/2024	
UP 2023-639(SA)	2	\$20,000	\$20,000	\$15,400	9/26/2024	
UP 2023-641(ROP)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-642(FCS)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-643(HMT)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-644(SA)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-646(SA)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
UP 2023-647(HMT)	1	\$7,500	\$7,500	\$5,820	9/26/2024	
UP 2023-648(HS)	2	\$4,000	\$4,000	\$3,000	9/26/2024	
UP 2023-649(HS)	2	\$4,000	\$4,000	\$3,000	9/26/2024	
UP 2023-651(HS)	2	\$4,000	\$4,000	\$3,000	9/26/2024	
UP 2023-652(HS)	2	\$4,000	\$4,000	\$3,000	9/26/2024	
UP 2023-653(SA)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-654(FCS)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-656(HMT)	1	\$4,000	\$4,000	\$3,104	9/26/2024	
UP 2023-657(SA)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
UP 2023-658(SA)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
UP 2023-659(SA)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-661(SA)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-662(SA)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
UP 2023-663(SA)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-664(ROP)	1	\$15,000	\$15,000	\$11,650	9/26/2024	
UP 2023-666(AR)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-667(AR)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-668(AR)	19	\$95,000	\$95,000	\$73,720	9/26/2024	
UP 2023-669(LI)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-671(SA)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
UP 2023-672(SA)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
UP 2023-673(SA)	1	\$10,000	\$10,000	\$7,700	9/26/2024	

<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>
UP 2023-674(AR)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-676(AR)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-677(AR)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-678(AR)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-679(SA)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
UP 2023-681(HMT)	7	\$49,000	\$49,000	\$38,024	9/26/2024	
UP 2023-682(HMT)	8	\$56,500	\$56,500	\$43,844	9/26/2024	
UP 2023-683(HMT)	1	\$7,000	\$7,000	\$5,432	9/26/2024	
UP 2023-684(HMT)	1	\$50,000	\$50,000	\$38,800	9/26/2024	
UP 2023-685(AR)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-687(AR)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-688(AR)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-689(SA)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-690(LI)	1	\$3,000	\$3,000	\$2,328	9/26/2024	
UP 2023-692(CC)	1	\$5,000	\$5,000	\$3,700	9/26/2024	
UP 2023-693(AR)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-694(AR)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-697(SA)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
UP 2023-698(LI)	1	\$3,000	\$3,000	\$2,328	9/26/2024	
UP 2023-699(SA)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
UP 2023-700(FCS)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
UP 2023-701(SA)	1	\$2,500	\$2,500	\$1,925	9/26/2024	
UP 2023-703(SA)	1	\$5,000	\$5,000	\$2,500	9/26/2024	
UP 2023-704(HMT)	1	\$7,500	\$7,500	\$5,820	9/26/2024	
UP 2023-704(SA)	2	\$20,000	\$20,000	\$15,400	9/26/2024	
UP 2023-705(SA)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-706(SA)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-707(SA)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
UP 2023-708(AR)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-709(AR)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-710(FCS)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-711(SA)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
UP 2023-712(SA)	1	\$10,000	\$10,000	\$1,052	9/26/2024	
UP 2023-713(SA)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-714(FCS)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
UP 2023-715(FCS)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
UP 2023-716(SA)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
UP 2023-717(FCS)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
UP 2023-718(SA)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
UP 2023-719(SA)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-720(SA)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
UP 2023-721(LI)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-722(SA)	1	\$5,000	\$5,000	\$3,850	9/26/2024	

<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>
UP 2023-723(SA)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
UP 2023-724(SA)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
UP 2023-725(SA)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
UP 2023-726(FCS)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
UP 2023-727(SA)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-728(LI)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-729(LI)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-730(SA)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-731(SA)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-732(SA)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
UP 2023-733(FCS)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-734(FCS)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-735(FCS)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-736(SA)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
UP 2023-737(FCS)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-738(SA)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-739(SA)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-740(SA)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
UP 2023-741(FCS)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-742(TS)	2	\$12,000	\$12,000	\$8,880	9/26/2024	
UP 2023-743(FCS)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
UP 2023-744(FCS)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-745(SA)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-746(SA)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
UP 2023-747(SA)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-748(FCS)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-749(FCS)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-750(FCS)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-751(FCS)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-752(SA)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
UP 2023-753(LI)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-754(SA)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-755(SA)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
UP 2023-756(SA)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
UP 2023-757(SA)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-758(SA)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
UP 2023-759(LI)	2	\$10,000	\$10,000	\$6,500	9/26/2024	
UP 2023-760(FCS)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-761(SA)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-762(SA)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-763(SA)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
UP 2023-764(SA)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
UP 2023-765(SA)	1	\$5,000	\$5,000	\$3,850	9/26/2024	

<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>
UP 2023-766(SA)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-767(FCS)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-768(SA)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-769(FCS)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-770(SA)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
UP 2023-771(LI)	1	\$2,000	\$2,000	\$1,552	9/26/2024	
UP 2023-772(SA)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
UP 2023-773(LI)	1	\$4,000	\$4,000	\$3,080	9/26/2024	
UP 2023-774(SA)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
UP 2023-776(LI)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-777(LI)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-778(LI)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-779(LI)	1	\$4,000	\$4,000	\$3,080	9/26/2024	
UP 2023-780(LI)	5	\$20,000	\$4,000	\$3,080	9/26/2024	Partially Terminated: 4
UP 2023-781(LI)	1	\$4,000	\$4,000	\$3,080	9/26/2024	
UP 2023-782(SA)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
UP 2023-783(LI)	3	\$12,000	\$12,000	\$9,240	9/26/2024	
UP 2023-784(SA)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-785(LI)	1	\$3,000	\$3,000	\$2,310	9/26/2024	
UP 2023-786(SA)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-787(SA)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-788(SA)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-789(FCS)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-790(SA)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
UP 2023-791(SA)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
UP 2023-792(FCS)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-793(SA)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-794(SA)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
UP 2023-795(SA)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
UP 2023-796(GC)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2023-797(LI)	1	\$4,000	\$4,000	\$3,080	9/26/2024	
UP 2023-798(SA)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-799(LI)	1	\$2,000	\$2,000	\$1,540	9/26/2024	
UP 2023-800(SA)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
UP 2023-801(SA)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-802(SA)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-803(SA)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-804(SA)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
UP 2023-805(SA)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-806(SA)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-807(SA)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
UP 2023-808(LI)	1	\$5,000	\$5,000	\$3,850	9/26/2024	

<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>
UP 2023-809(FCS)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-810(LI)	1	\$3,000	\$3,000	\$2,310	9/26/2024	
UP 2023-811(FCS)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-812(FCS)	11	\$55,000	\$5,000	\$5,000	9/26/2024	Partially Terminated: 10
UP 2023-813(LI)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-814(SA)	2	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2023-815(LI)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-816(LI)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-817(LI)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-818(LI)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-819(LI)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-820(SA)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-821(RW)	1	\$6,000	\$6,000	\$4,660	9/26/2024	
UP 2023-822(LI)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-823(FCS)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-824(HMT)	1	\$7,500	\$7,500	\$5,820	9/26/2024	
UP 2023-825(SA)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-826(SA)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-827(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2023-828(FCS)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-829(GC)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2023-831(SA)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-832(SA)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-833(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2023-834(SI)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-836(FCS)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2023-837(ROP)	1	\$15,000	\$15,000	\$11,650	9/26/2024	
UP 2023-838(LI)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-839(HMT)	1	\$10,000	\$10,000	\$7,760	9/26/2024	
UP 2023-841(FCS)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-842(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2023-843(FCS)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-844(FCS)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-846(SA)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-847(SA)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-848(SA)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-849(SA)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-851(LI)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-852(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2023-853(LI)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-854(LI)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2023-856(LI)	1	\$3,000	\$3,000	\$2,310	9/26/2024	

<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>
UP 2023-857(FCS)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-858(FCS)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-859(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2023-861(FCS)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2023-862(SA)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2023-863(LI)	1	\$4,000	\$4,000	\$3,850	9/26/2024	
UP 2024-001(LI)	1	\$4,000	\$4,000	\$3,850	9/26/2024	
UP 2024-003(SA)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2024-004(SA)	2	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-005(SA)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2024-006(SA)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2024-008(RW)	1	\$6,000	\$6,000	\$4,660	9/26/2024	
UP 2024-009(LI)	1	\$10,000	\$10,000	\$7,700	9/26/2024	
UP 2024-010(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-011(ROP)	1	\$4,000	\$4,000	\$3,100	9/26/2024	
UP 2024-013(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-014(LI)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2024-015(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-016(SA)	1	\$20,000	\$20,000	\$15,530	9/26/2024	
UP 2024-017(HMT)	4	\$10,000	\$10,000	\$7,760	9/26/2024	
UP 2024-019(GC)	1	\$10,000	\$5,000	\$5,000	9/26/2024	Partially Terminated: 1
UP 2024-020(GC)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-021(GC)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-022(GC)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-023(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-025(HS)	1	\$2,000	\$2,000	\$1,500	9/26/2024	
UP 2024-027(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-028(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-029(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-031(FCS)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-032(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-033(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-034(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-035(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-037(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-038(FCS)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-039(LI)	1	\$6,000	\$6,000	\$4,620	9/26/2024	
UP 2024-040(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-041(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-043(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-044(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-045(LI)	1	\$5,000	\$5,000	\$3,850	9/26/2024	

<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>
UP 2024-046(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-047(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-049(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-050(LI)	2	\$10,000	\$10,000	\$6,500	9/26/2024	
UP 2024-051(LI)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2024-052(SA)	3	\$36,000	\$36,000	\$27,950	9/26/2024	
UP 2024-054(LI)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2024-055(LI)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2024-056(LI)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2024-058(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-060(LI)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2024-061(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-062(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-064(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-065(HMT)	1	\$7,500	\$7,500	\$5,820	9/26/2024	
UP 2024-066(FCS)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-067(TS)	1	\$2,000	\$2,000	\$1,480	9/26/2024	
UP 2024-068(TS)	2	\$20,000	\$20,000	\$13,800	9/26/2024	
UP 2024-070(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-071(HMT)	1	\$6,000	\$6,000	\$4,656	9/26/2024	
UP 2024-072(ROP)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-073(GC)	1	\$10,000	\$5,000	\$5,000	9/26/2024	Partially Terminated: 1
UP 2024-074(GC)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2024-076(GC)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-077(GC)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-078(GC)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-079(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-080(LI)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2024-082(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-083(TS)	1	\$5,000	\$5,000	\$3,700	9/26/2024	
UP 2024-084(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-085(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-086(EP)	1	\$2,000	\$2,000	\$1,480	9/26/2024	
UP 2024-088(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-089(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-090(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-091(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-092(FCS)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-094(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-095(FCS)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-096(LI)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2024-097(LI)	1	\$5,000	\$5,000	\$3,850	9/26/2024	

<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>
UP 2024-098(LI)	1	\$2,000	\$2,000	\$1,540	9/26/2024	
UP 2024-100(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-101(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-102(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-103(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-104(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-106(FCS)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-107(FCS)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-108(FCS)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-109(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-110(FCS)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-112(SI)	1	\$2,000	\$2,000	\$1,550	9/26/2024	
UP 2024-113(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-114(LI)	2	\$10,000	\$10,000	\$6,500	9/26/2024	
UP 2024-115(HS)	2	\$4,000	\$4,000	\$3,000	9/26/2024	
UP 2024-116(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-118(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-119(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-120(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-121(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-122(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-124(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-125(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-126(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-127(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-130(HMT)	1	\$7,500	\$7,500	\$5,820	9/26/2024	
UP 2024-131(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-132(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-133(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-134(FCS)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-136(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-137(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-139(FCS)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-140(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-143(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-144(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-145(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-146(FCS)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-148(FCS)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-149(FCS)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-150(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-151(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-152(LI)	1	\$5,000	\$5,000	\$3,850	9/26/2024	

<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>
UP 2024-154(FCS)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-155(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-156(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-157(LI)	1	\$5,000	\$5,000	\$3,850	9/26/2024	
UP 2024-158(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-160(HSR)	1	\$2,000	\$2,000	\$1,400	9/26/2024	
UP 2024-161(GC)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-162(FCS)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-163(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-164(SA)	1	\$4,000	\$4,000	\$3,100	9/26/2024	
UP 2024-167(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-168(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-169(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-170(SA)	1	\$4,000	\$4,000	\$3,100	9/26/2024	
UP 2024-173(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-175(SI)	1	\$2,000	\$2,000	\$1,550	9/26/2024	
UP 2024-176(SI)	1	\$2,000	\$2,000	\$1,550	9/26/2024	
UP 2024-179(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-180(LI)	1	\$4,000	\$4,000	\$3,100	9/26/2024	
UP 2024-181(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-182(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-184(FCS)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-185(FCS)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-186(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-187(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-188(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-191(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-192(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-193(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-194(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-197(FCS)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-198(FCS)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-199(FCS)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-200(HMT)	1	\$1,000	\$1,000	\$776	9/26/2024	
UP 2024-203(GC)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-204(HS)	2	\$4,000	\$4,000	\$3,000	9/26/2024	
UP 2024-205(HS)	2	\$4,000	\$4,000	\$3,000	9/26/2024	
UP 2024-206(HS)	2	\$4,000	\$4,000	\$3,000	9/26/2024	
UP 2024-209(HMT)	2	\$11,500	\$11,500	\$8,924	9/26/2024	
UP 2024-210(HMT)	2	\$11,500	\$11,500	\$8,924	9/26/2024	
UP 2024-211(RSP)	7	\$14,000	\$14,000	\$10,870	9/26/2024	
UP 2024-212(HS)	2	\$4,000	\$4,000	\$3,000	9/26/2024	
UP 2024-215(FCS)	1	\$10,000	\$10,000	\$7,765	9/26/2024	

<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>
UP 2024-216(AD)	2	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-217(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-218(TS)	1	\$5,000	\$5,000	\$3,700	9/26/2024	
UP 2024-221(FCS)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-222(HMT)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-223(TS)	1	\$5,000	\$5,000	\$3,700	9/26/2024	
UP 2024-224(TS)	1	\$5,000	\$5,000	\$3,700	9/26/2024	
UP 2024-226(SI)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-227(SI)	2	\$4,000	\$4,000	\$3,100	9/26/2024	
UP 2024-228(GC)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2024-229(LI)	1	\$2,500	\$2,500	\$1,940	9/26/2024	
UP 2024-230(HMT)	4	\$60,000	\$60,000	\$46,560	9/26/2024	
UP 2024-233(HMT)	4	\$26,500	\$26,500	\$20,564	9/26/2024	
UP 2024-234(SI)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-235(HMT)	2	\$7,500	\$7,500	\$5,820	9/26/2024	
UP 2024-236(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-238(HMT)	1	\$3,000	\$3,000	\$2,328	9/26/2024	
UP 2024-240(TS)	1	\$5,000	\$5,000	\$3,700	9/26/2024	
UP 2024-241(LI)	1	\$5,000	\$5,000	\$3,875	9/26/2024	
UP 2024-242(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-245(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-247(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-248(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-251(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-253(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-254(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-257(SA)	1	\$10,000	\$10,000	\$7,765	9/26/2024	
UP 2024-259(SA)	1	\$5,000	\$5,000	\$3,880	9/26/2024	
UP 2024-260(LI)	1	\$4,000	\$4,000	\$3,100	9/26/2024	
UPME 2023-001(HS)	3	\$3,000	\$3,000	\$3,000	9/26/2024	
UTAH 2023-001(SA)	1	\$2,500	\$2,500	\$1,850	9/27/2024	
UTAX 2024-001(TS)	1	\$2,000	\$2,000	\$1,052	8/6/2024	
UTAX 2024-002(RW)	1	\$4,000	\$0	\$0	7/22/2024	Case Terminated
UTAX 2024-003(RW)	1	\$5,000	\$5,000	\$4,000	8/6/2024	
VSOR 2024-001(RMM)	1	\$4,000	\$0	\$0	9/25/2024	Case Terminated
WCSZ 2023-001(HMT)	1	\$2,000	\$2,000	\$2,000	11/7/2023	
WCSZ 2024-001(HMT)	2	\$15,000	\$15,000	\$15,000	8/13/2024	
WE 2023-001(EQ)	4	\$8,000	\$8,000	\$5,500	2/28/2024	
WE 2023-002(EQ)	1	\$2,500	\$2,500	\$1,750	2/28/2024	
WE 2023-003(EQ)	1	\$2,500	\$2,500	\$1,750	2/28/2024	
WE 2023-004(HMT)	1	\$6,000	\$6,000	\$4,500	2/28/2024	
WE 2024-001(GC)	1	\$10,000	\$10,000	\$8,250	2/28/2024	
WEDQ 2023-001(HMT)	1	\$2,000	\$2,000	\$2,000	10/20/2023	

<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>
WGNS 2018-001(AR)	1	\$2,500	\$0	\$0	4/23/2024	Case Terminated
WIR 2018-004(ROP)	1	\$7,500	\$0	\$0	11/21/2023	Case Terminated
WIR 2019-001(TS)	4	\$20,000	\$0	\$0	11/21/2023	Case Terminated
WMSR 2022-002(BSS)	5	\$12,500	\$12,500	\$9,500	10/11/2023	
WNYP 2023-001(GC)	1	\$5,000	\$5,000	\$5,000	2/29/2024	
WNYP 2023-002(GC)	1	\$5,000	\$5,000	\$5,000	2/29/2024	
WRL 2023-001(SA)	1	\$10,000	\$5,000	\$3,950	3/24/2024	Partially Terminated 1
WSOR 2023-001(SA)	1	\$10,000	\$10,000	\$7,700	9/25/2024	
WSOR 2023-002(SA)	1	\$10,000	\$10,000	\$7,700	9/25/2024	
WSOR 2023-003(CC)	4	\$16,000	\$16,000	\$10,400	9/25/2024	
WSOR 2023-004(SA)	1	\$10,000	\$10,000	\$7,700	9/25/2024	
WSOR 2023-005(SA)	1	\$10,000	\$10,000	\$7,700	9/25/2024	
WSOR 2024-001(EQ)	1	\$15,000	\$15,000	\$11,100	9/25/2024	
WSOR 2024-002(HS)	1	\$5,200	\$5,200	\$3,380	9/25/2024	
WTRM 2023-001(GC)	1	\$5,000	\$5,000	\$3,600	9/27/2024	
WTRY 2023-001(ROP)	1	\$7,500	\$0	\$0	9/27/2024	Case Terminated
WVC 2024-001(TS)	1	\$10,300	\$10,300	\$6,700	7/25/2024	
XAID 2022-001(RW)	2	\$8,000	\$8,000	\$4,800	2/5/2024	
XALO 2023-002(HMT)	1	\$5,000	\$5,000	\$3,500	8/14/2024	
XALO 2024-001(HMT)	1	\$5,000	\$5,000	\$3,550	8/14/2024	
XARD 2024-001(GC)	1	\$5,200	\$5,200	\$3,744	9/27/2024	
XARD 2024-002(GC)	1	\$5,200	\$5,200	\$3,744	9/27/2024	
XATG 2023-001(RW)	1	\$2,000	\$2,000	\$2,000	12/28/2023	
XAXD 2023-001(HMT)	1	\$2,000	\$2,000	\$2,000	11/13/2023	
XAXD 2023-002(HMT)	1	\$5,000	\$5,000	\$5,000	12/28/2023	
XAXD 2024-001(HMT)	1	\$5,000	\$5,000	\$5,000	3/27/2024	
XAXD 2024-002(HMT)	1	\$4,000	\$4,000	\$4,000	3/15/2024	
XBML 2024-001(RW)	1	\$5,000	\$5,000	\$4,000	9/16/2024	
XBOB 2021-001(RW)	1	\$3,000	\$3,000	\$1,800	2/16/2024	
XBRI 2023-001(GC)	1	\$10,000	\$10,000	\$8,000	2/2/2024	
XBUL 2023-001(HMT)	2	\$6,000	\$6,000	\$4,600	2/21/2024	
XBUL 2024-001(HMT)	2	\$4,000	\$4,000	\$2,800	7/26/2024	
XBWO 2023-001(HMT)	1	\$2,000	\$2,000	\$2,000	2/9/2024	
XCAI 2024-001(HMT)	2	\$10,000	\$10,000	\$8,000	6/27/2024	
XCHS 2024-001(HMT)	1	\$5,000	\$5,000	\$4,000	6/13/2024	
XCHW 2023-001(HMT)	1	\$10,000	\$10,000	\$8,000	1/31/2024	
XDBS 2024-001(GC)	1	\$10,000	\$10,000	\$5,500	7/30/2024	
XEGC 2023-001(HMT)	1	\$5,000	\$5,000	\$2,900	3/25/2024	
XENM 2022-001(HMT)	1	\$5,000	\$5,000	\$5,000	2/7/2024	
XETL 2022-001(HMT)	1	\$5,000	\$5,000	\$3,000	11/14/2023	
XEXG 2023-001(HMT)	1	\$5,000	\$5,000	\$5,000	10/30/2023	
XEXG 2023-002(HMT)	1	\$5,000	\$5,000	\$5,000	9/19/2024	

<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>
XEXG 2024-001(HMT)	1	\$5,000	\$5,000	\$5,000	8/19/2024	
XFMC 2024-001(HMT)	4	\$8,000	\$8,000	\$8,000	5/15/2024	
XGFM 2016-001(RW)	1	\$5,000	\$0	\$0	5/17/2024	Case Terminated
XGLO 2021-001(HMT)	2	\$10,000	\$0	\$0	5/17/2024	Case Terminated
XGON 2022-001(RW)	1	\$2,000	\$2,000	\$2,000	9/30/2024	
XGUR 2023-001(HMT)	1	\$5,000	\$5,000	\$5,000	5/17/2024	
XHFN 2023-003(HMT)	1	\$5,000	\$5,000	\$5,000	11/17/2023	
XHJB 2023-001(HMT)	1	\$5,000	\$5,000	\$5,000	8/30/2024	
XHYG 2023-001(SA)	1	\$5,000	\$5,000	\$5,000	2/14/2024	
XK2P 2021-001(HMT)	1	\$5,000	\$5,000	\$3,000	3/21/2024	
XK2P 2022-001(HMT)	1	\$10,000	\$10,000	\$8,000	4/18/2024	
XK2P 2022-002(HMT)	1	\$10,000	\$10,000	\$8,000	4/16/2024	
XKHC 2022-001(TS)	1	\$5,000	\$5,000	\$5,000	5/7/2024	
XKOR 2022-001(HMT)	5	\$10,000	\$10,000	\$6,000	5/24/2024	
XLAT 2020-001(HMT)	1	\$4,000	\$4,000	\$500	8/28/2024	
XMAG 2024-001(HMT)	1	\$10,000	\$10,000	\$7,500	8/8/2024	
XMKW 2024-001(HMT)	1	\$10,000	\$10,000	\$7,500	4/26/2024	
XMNL 2023-001(RMM)	3	\$30,000	\$30,000	\$30,000	3/29/2024	
XOMT 2019-001(RW)	1	\$2,000	\$2,000	\$2,000	4/25/2024	
XOMT 2020-001(RW)	2	\$5,000	\$5,000	\$5,000	4/18/2024	
XOMT 2022-001(RW)	1	\$5,000	\$5,000	\$5,000	4/18/2024	
XRAG 2024-001(HMT)	1	\$2,000	\$2,000	\$2,000	5/29/2024	
XROA 2023-001(HMT)	1	\$5,000	\$5,000	\$3,500	2/9/2024	
XRYR 2023-001(HMT)	1	\$2,000	\$2,000	\$1,000	12/28/2023	
XRYR 2024-001(HMT)	2	\$4,000	\$2,000	\$1,000	5/24/2024	Partially Terminated 1
XSAT 2014-001(HMT)	2	\$10,000	\$0	\$0	5/23/2024	Case Terminated
XSNA 2016-001(HMT)	3	\$15,000	\$6,000	\$2,500	9/19/2024	Partially Terminated: 2
XSNA 2019-001(HMT)	1	\$2,000	\$2,000	\$1,000	9/19/2024	
XSNA 2020-001(HMT)	1	\$2,000	\$2,000	\$1,500	9/19/2024	
XSNA 2022-001(HMT)	3	\$9,000	\$9,000	\$6,750	9/19/2024	
XSNA 2023-001(HMT)	1	\$2,000	\$2,000	\$1,500	9/19/2024	
XSNA 2023-002(HMT)	1	\$2,000	\$2,000	\$1,500	9/19/2024	
XSNA 2023-003(HMT)	1	\$2,000	\$2,000	\$1,500	9/19/2024	
XSNA 2024-001(HMT)	1	\$2,000	\$2,000	\$1,500	9/19/2024	
XSNA 2024-002(HMT)	1	\$2,000	\$2,000	\$1,500	9/19/2024	
XSNA 2024-003(HMT)	1	\$2,000	\$2,000	\$1,500	9/19/2024	
XSNJ 2018-001(AR)	1	\$2,500	\$0	\$0	6/3/2024	Case Terminated
XSNJ 2018-002(AR)	1	\$2,500	\$0	\$0	6/3/2024	Case Terminated
XSNJ 2018-003(AR)	1	\$2,500	\$0	\$0	6/3/2024	Case Terminated
XSNJ 2018-004(AR)	1	\$2,500	\$0	\$0	6/3/2024	Case Terminated
XSNJ 2018-005(AR)	1	\$2,500	\$0	\$0	6/3/2024	Case Terminated

<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>
XSNJ 2018-006(AR)	1	\$2,500	\$0	\$0	6/3/2024	Case Terminated
XSNJ 2018-007(AR)	1	\$2,500	\$0	\$0	6/3/2024	Case Terminated
XSSX 2023-001(HMT)	1	\$5,000	\$5,000	\$3,600	5/3/2024	
XSSX 2023-002(HMT)	1	\$15,000	\$15,000	\$11,250	5/3/2024	
XSSX 2024-001(HMT)	1	\$5,000	\$5,000	\$3,500	5/3/2024	
XTGS 2022-001(HMT)	1	\$10,000	\$10,000	\$7,000	12/6/2023	
XTGS 2022-002(TS)	5	\$17,500	\$12,500	\$10,000	12/6/2023	Partially Terminated: 2
XTGS 2022-003(GC)	1	\$1,000	\$1,000	\$976	12/6/2023	
XTGS 2023-001(FCS)	1	\$5,000	\$5,000	\$3,250	12/6/2023	
XTGS 2023-002(SA)	1	\$5,000	\$5,000	\$3,500	12/6/2023	
XTGS 2024-001(HMT)	1	\$2,000	\$2,000	\$2,000	4/11/2024	
XWCM 2023-001(SA)	1	\$5,000	\$5,000	\$3,650	9/25/2024	
XWCM 2023-002(SA)	1	\$10,000	\$10,000	\$7,200	9/25/2024	
XWCM 2023-003(SA)	1	\$5,000	\$5,000	\$3,850	9/25/2024	
XWDE 2023-001(HMT)	1	\$2,000	\$2,000	\$2,000	3/1/2024	
XWEM 2024-001(HMT)	2	\$4,000	\$4,000	\$3,000	6/25/2024	
XXHR 2021-001(RW)	1	\$3,000	\$0	\$0	3/5/2024	Case Terminated
XZCT 2023-001(HMT)	1	\$5,000	\$5,000	\$4,000	9/10/2024	
XZTH 2023-001(HMT)	1	\$5,000	\$5,000	\$5,000	12/19/2023	
YSRR 2024-001(RW)	1	\$6,000	\$6,000	\$3,500	6/17/2024	
ZABC 2024-001(HMT)	1	\$2,000	\$2,000	\$2,000	8/27/2024	
ZABD 2023-001(HMT)	1	\$10,000	\$10,000	\$7,800	10/5/2023	
ZABE 2024-001(HMT)	2	\$10,000	\$10,000	\$10,000	8/13/2024	
ZABS 2024-001(HMT)	1	\$10,000	\$10,000	\$10,000	9/9/2024	
ZACI 2024-001(HMT)	1	\$7,500	\$7,500	\$7,500	8/19/2024	
ZACQ 2023-001(HMT)	1	\$10,000	\$10,000	\$7,900	10/17/2023	
ZACR 2023-004(HMT)	1	\$5,000	\$5,000	\$3,550	1/11/2024	
ZACR 2023-005(HMT)	4	\$20,000	\$20,000	\$14,600	12/1/2023	
ZACR 2023-006(HMT)	1	\$5,000	\$5,000	\$3,950	1/11/2024	
ZACR 2024-001(HMT)	4	\$20,000	\$20,000	\$13,900	4/5/2024	
ZACR 2024-002(HMT)	2	\$10,000	\$10,000	\$7,000	6/3/2024	
ZACR 2024-003(HMT)	5	\$25,000	\$25,000	\$18,250	7/1/2024	
ZACR 2024-004(HMT)	1	\$5,000	\$5,000	\$3,700	8/8/2024	
ZADG 2023-001(TS)	3	\$7,500	\$7,500	\$7,500	11/1/2023	
ZAEN 2024-001(HMT)	2	\$10,000	\$10,000	\$6,800	7/25/2024	
ZAFA 2023-001(HMT)	1	\$5,000	\$5,000	\$5,000	11/27/2023	
ZAGT 2022-001(HMT)	1	\$4,000	\$4,000	\$4,000	10/25/2023	
ZAGT 2022-002(HMT)	1	\$5,000	\$5,000	\$5,000	10/25/2023	
ZAGT 2024-002(HMT)	1	\$2,000	\$2,000	\$2,000	4/5/2024	
ZAIL 2023-001(HMT)	1	\$10,000	\$10,000	\$10,000	10/30/2023	
ZAKE 2022-001(HMT)	1	\$5,000	\$5,000	\$3,000	10/12/2023	
ZALC 2024-001(HMT)	1	\$2,000	\$2,000	\$2,000	6/27/2024	

<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>
ZALC 2024-002(HMT)	1	\$4,000	\$4,000	\$2,800	8/22/2024	
ZALTI 2023-001(HMT)	1	\$5,000	\$5,000	\$1,250	10/6/2023	
ZAMC 2024-001(HMT)	1	\$10,000	\$10,000	\$8,000	1/18/2024	
ZAMC 2024-002(HMT)	1	\$2,000	\$2,000	\$1,440	1/18/2024	
ZAMC 2024-003(HMT)	1	\$5,000	\$5,000	\$3,500	8/14/2024	
ZAND 2024-001(HMT)	1	\$2,000	\$2,000	\$2,000	2/27/2024	
ZAPM 2023-003(HMT)	1	\$10,000	\$10,000	\$10,000	12/27/2023	
ZARK 2023-001(HMT)	1	\$2,000	\$2,000	\$1,400	10/31/2023	
ZASN 2023-001(HMT)	1	\$5,000	\$5,000	\$5,000	10/27/2023	
ZASY 2022-002(HMT)	1	\$10,000	\$10,000	\$7,750	10/17/2023	
ZASY 2024-001(HMT)	1	\$5,000	\$5,000	\$5,000	5/13/2024	
ZATN 2023-001(HMT)	1	\$2,000	\$2,000	\$2,000	11/7/2023	
ZATN 2023-002(HMT)	1	\$2,000	\$2,000	\$2,000	11/7/2023	
ZATP 2022-002(HMT)	1	\$2,000	\$2,000	\$2,000	12/27/2023	
ZATP 2023-001(HMT)	1	\$2,000	\$2,000	\$2,000	12/27/2023	
ZATP 2024-001(HMT)	1	\$2,000	\$2,000	\$2,000	8/27/2024	
ZAUI 2023-001(HMT)	1	\$5,000	\$5,000	\$4,000	10/19/2023	
ZAUX 2022-001(HMT)	1	\$10,000	\$10,000	\$10,000	3/13/2024	
ZAUX 2024-001(HMT)	1	\$5,000	\$5,000	\$5,000	7/11/2024	
ZAVX 2023-001(HMT)	1	\$2,000	\$2,000	\$1,440	1/24/2024	
ZAVX 2023-002(HMT)	1	\$2,000	\$2,000	\$1,440	1/24/2024	
ZAVX 2023-003(HMT)	1	\$2,000	\$2,000	\$1,500	7/2/2024	
ZAVX 2023-004(HMT)	1	\$5,000	\$5,000	\$3,500	7/2/2024	
ZAVX 2024-001(HMT)	1	\$2,000	\$2,000	\$1,400	7/2/2024	
ZBAD 2023-001(HMT)	2	\$4,000	\$4,000	\$4,000	1/3/2024	
ZBADG 2024-001(HMT)	1	\$5,000	\$5,000	\$4,000	9/5/2024	
ZBAS 2023-005(HMT)	1	\$5,000	\$5,000	\$5,000	1/2/2024	
ZBAS 2023-006(HMT)	1	\$2,000	\$2,000	\$2,000	12/14/2023	
ZBCU 2023-001(HMT)	1	\$5,000	\$5,000	\$5,000	1/3/2024	
ZBCU 2024-001(HMT)	1	\$15,000	\$15,000	\$13,500	6/12/2024	
ZBEP 2024-001(HMT)	1	\$5,000	\$5,000	\$5,000	2/23/2024	
ZBEP 2024-002(HMT)	1	\$2,000	\$2,000	\$2,000	3/15/2024	
ZBMI 2023-003(HMT)	1	\$5,000	\$5,000	\$5,000	10/3/2023	
ZBMI 2023-004(HMT)	1	\$5,000	\$5,000	\$5,000	1/4/2024	
ZBPH 2023-002(HMT)	2	\$9,000	\$9,000	\$7,200	2/12/2024	
ZBPN 2024-001(HMT)	1	\$2,000	\$2,000	\$2,000	1/31/2024	
ZBPN 2024-002(HMT)	1	\$5,000	\$5,000	\$5,000	7/23/2024	
ZBSG 2024-001(HMT)	1	\$5,000	\$5,000	\$4,250	5/10/2024	
ZBTE 2023-001(HMT)	1	\$2,000	\$2,000	\$1,400	2/14/2024	
ZBWC 2023-001(HMT)	1	\$15,000	\$15,000	\$10,000	10/24/2023	
ZBWC 2023-002(HMT)	1	\$4,000	\$4,000	\$3,200	1/25/2024	
ZBWC 2024-001(HMT)	1	\$7,500	\$7,500	\$6,000	4/9/2024	
ZBWC 2024-002(HMT)	1	\$2,000	\$2,000	\$2,000	5/1/2024	

<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>
ZBWC 2024-003(HMT)	1	\$2,000	\$2,000	\$1,600	7/31/2024	
ZBWC 2024-004(HMT)	1	\$5,000	\$5,000	\$4,000	9/9/2024	
ZBWG 2024-001(HMT)	1	\$5,000	\$5,000	\$4,000	4/11/2024	
ZBWG 2024-002(HMT)	1	\$10,000	\$10,000	\$7,500	9/24/2024	
ZBWT 2023-001(HMT)	1	\$5,000	\$5,000	\$5,000	11/15/2023	
ZCCF 2023-001(HMT)	1	\$5,000	\$5,000	\$5,000	1/24/2024	
ZCCM 2024-001(HMT)	2	\$10,000	\$10,000	\$9,000	9/9/2024	
ZCDS 2024-001(HMT)	1	\$10,000	\$10,000	\$7,500	1/23/2024	
ZCED 2024-001(HMT)	1	\$2,000	\$2,000	\$2,000	5/14/2024	
ZCED 2024-002(HMT)	2	\$4,000	\$4,000	\$4,000	8/16/2024	
ZCELA 2024-001(HMT)	1	\$5,000	\$5,000	\$4,000	8/15/2024	
ZCFER 2023-001(HSR)	1	\$2,000	\$0	\$0	9/27/2024	Case Terminated
ZCHEV 2023-001(HMT)	1	\$2,000	\$2,000	\$2,000	1/25/2024	
ZCHEV 2024-001(HMT)	1	\$5,000	\$5,000	\$3,750	1/24/2024	
ZCHL 2024-001(HMT)	1	\$2,000	\$2,000	\$2,000	9/9/2024	
ZCLI 2023-001(HMT)	1	\$5,000	\$5,000	\$5,000	11/1/2023	
ZCME 2023-003(HMT)	1	\$10,000	\$10,000	\$8,000	1/23/2024	
ZCME 2024-001(HMT)	1	\$10,000	\$10,000	\$8,000	2/28/2024	
ZCME 2024-002(HMT)	1	\$5,000	\$5,000	\$4,000	4/17/2024	
ZCNG 2024-001(HMT)	1	\$5,000	\$5,000	\$5,000	7/23/2024	
ZCOV 2024-001(HMT)	1	\$5,000	\$5,000	\$4,000	8/6/2024	
ZCPR 2023-002(HMT)	1	\$5,000	\$5,000	\$4,000	4/23/2024	
ZCSF 2023-001(HMT)	1	\$4,000	\$4,000	\$4,000	8/26/2024	
ZCTG 2023-001(HMT)	1	\$2,000	\$2,000	\$2,000	6/13/2024	
ZCVE 2023-001(HMT)	1	\$5,000	\$5,000	\$5,000	6/13/2024	
ZDAA 2024-001(HMT)	1	\$15,000	\$15,000	\$15,000	5/29/2024	
ZDCG 2024-001(HMT)	1	\$5,000	\$5,000	\$5,000	7/29/2024	
ZDCG 2024-002(HMT)	1	\$2,000	\$2,000	\$2,000	7/29/2024	
ZDCU 2024-001(HMT)	1	\$5,000	\$5,000	\$4,000	4/2/2024	
ZDCU 2024-002(HMT)	1	\$5,000	\$5,000	\$4,000	4/1/2024	
ZDCU 2024-003(HMT)	1	\$7,500	\$7,500	\$6,000	5/20/2024	
ZDCU 2024-004(HMT)	1	\$5,000	\$5,000	\$3,750	7/25/2024	
ZDEL 2023-001(HMT)	1	\$5,000	\$5,000	\$5,000	4/25/2024	
ZDGZ 2024-001(HMT)	1	\$7,500	\$7,500	\$7,500	9/5/2024	
ZDKI 2024-001(HMT)	1	\$10,000	\$10,000	\$10,000	5/20/2024	
ZDNA 2023-001(HMT)	1	\$2,000	\$2,000	\$1,400	2/5/2024	
ZDTLP 2023-001(HMT)	2	\$15,000	\$15,000	\$11,250	4/5/2024	
ZDXI 2023-001(HMT)	1	\$10,000	\$10,000	\$5,000	1/9/2024	
ZDYI 2023-005(HMT)	1	\$5,000	\$5,000	\$5,000	10/30/2023	
ZDYI 2024-001(HMT)	2	\$4,000	\$4,000	\$4,000	4/17/2024	
ZDYI 2024-002(HMT)	1	\$5,000	\$5,000	\$5,000	8/8/2024	
ZEACH 2023-004(HMT)	1	\$5,000	\$5,000	\$3,600	12/1/2023	
ZEACH 2024-001(HMT)	2	\$10,000	\$10,000	\$6,500	8/8/2024	

<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>
ZEAO 2024-001(HMT)	1	\$5,000	\$5,000	\$3,500	2/19/2024	
ZEDC 2023-002(HMT)	1	\$10,000	\$10,000	\$8,100	10/3/2023	
ZEDC 2023-003(HMT)	1	\$2,000	\$2,000	\$1,480	10/26/2023	
ZEEN 2023-001(HMT)	2	\$4,000	\$4,000	\$2,600	8/27/2024	
ZEEN 2024-001(HMT)	1	\$5,000	\$5,000	\$4,000	8/27/2024	
ZENK 2023-001(HMT)	1	\$5,000	\$5,000	\$5,000	10/27/2023	
ZEOB 2023-001(HMT)	3	\$6,000	\$6,000	\$4,200	2/1/2024	
ZEOB 2023-002(HMT)	1	\$2,000	\$2,000	\$1,400	2/1/2024	
ZEPC 2023-001(HMT)	1	\$10,000	\$10,000	\$7,950	10/17/2023	
ZEQU 2024-001(HMT)	1	\$5,000	\$5,000	\$4,000	6/21/2024	
ZEQU 2024-002(HMT)	1	\$2,500	\$2,500	\$1,750	4/23/2024	
ZERA 2024-001(HMT)	1	\$2,000	\$2,000	\$2,000	8/29/2024	
ZESG 2023-001(HMT)	1	\$5,000	\$5,000	\$5,000	3/26/2024	
ZESR 2022-004(HMT)	1	\$5,000	\$5,000	\$3,500	2/16/2024	
ZESR 2023-001(HMT)	1	\$10,000	\$10,000	\$8,000	2/16/2024	
ZESR 2023-002(HMT)	1	\$10,000	\$10,000	\$8,200	2/16/2024	
ZESR 2023-003(HMT)	1	\$10,000	\$10,000	\$8,000	2/16/2024	
ZETB 2022-001(HMT)	1	\$10,000	\$10,000	\$10,000	10/26/2023	
ZETB 2023-001(HMT)	1	\$10,000	\$10,000	\$10,000	1/3/2024	
ZETP 2024-001(HMT)	1	\$2,000	\$2,000	\$2,000	7/26/2024	
ZEVD 2023-001(HMT)	1	\$5,000	\$5,000	\$3,300	11/28/2023	
ZEXM 2023-001(HMT)	2	\$4,000	\$4,000	\$4,000	11/27/2023	
ZEXM 2024-001(HMT)	2	\$5,000	\$5,000	\$5,000	8/30/2024	
ZFAZ 2021-001(HMT)	1	\$5,000	\$5,000	\$3,000	11/22/2023	
ZFHR 2008-001(HMT)	1	\$10,000	\$0	\$0	11/20/2023	Case Terminated
ZFHR 2008-002(HMT)	1	\$10,000	\$0	\$0	11/20/2023	Case Terminated
ZFHR 2008-003(HMT)	1	\$5,000	\$0	\$0	11/20/2023	Case Terminated
ZFHR 2008-004(HMT)	1	\$5,000	\$0	\$0	11/20/2023	Case Terminated
ZFHR 2008-005(HMT)	1	\$10,000	\$0	\$0	11/20/2023	Case Terminated
ZFHR 2024-001(HMT)	2	\$10,000	\$10,000	\$7,000	5/23/2024	
ZFTR 2023-001(HMT)	1	\$4,000	\$4,000	\$2,500	2/22/2024	
ZFTR 2024-001(HMT)	2	\$6,000	\$6,000	\$3,900	7/2/2024	
ZFTR 2024-002(HMT)	1	\$2,000	\$2,000	\$1,300	7/2/2024	
ZGCL 2022-002(HMT)	1	\$5,000	\$5,000	\$3,250	5/24/2024	
ZGCL 2022-003(HMT)	1	\$5,000	\$5,000	\$3,250	5/24/2024	
ZGCL 2023-001(HMT)	1	\$10,000	\$10,000	\$6,500	5/24/2024	
ZGEG 2019-001(HMT)	15	\$30,000	\$30,000	\$30,000	5/17/2024	
ZGEU 2023-001(HMT)	1	\$10,000	\$10,000	\$10,000	9/30/2024	
ZGFS 2018-001(HMT)	1	\$5,000	\$0	\$0	5/17/2024	Case Terminated
ZGFV 2022-001(HMT)	1	\$10,000	\$10,000	\$7,200	5/24/2024	
ZGFV 2022-002(HMT)	2	\$15,000	\$15,000	\$10,800	5/24/2024	
ZGLA 2022-001(HMT)	1	\$5,000	\$5,000	\$5,000	5/15/2024	
ZGLK 2023-001(HMT)	1	\$10,000	\$10,000	\$7,800	5/15/2024	

<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>
ZGPE 2022-002(HMT)	1	\$10,000	\$10,000	\$7,000	5/17/2024	
ZGPE 2023-003(HMT)	2	\$10,000	\$10,000	\$7,000	5/17/2024	
ZGPE 2023-004(HMT)	1	\$15,000	\$15,000	\$10,500	5/17/2024	
ZGPE 2023-005(HMT)	2	\$10,000	\$10,000	\$7,000	5/17/2024	
ZGPE 2023-006(HMT)	1	\$5,000	\$5,000	\$3,500	5/17/2024	
ZGPJ 2023-001(HMT)	1	\$5,000	\$5,000	\$3,500	5/17/2024	
ZGPS 2022-002(HMT)	1	\$5,000	\$5,000	\$3,200	5/24/2024	
ZGPS 2022-003(HMT)	1	\$5,000	\$5,000	\$3,200	5/24/2024	
ZGUV 2022-001(HMT)	1	\$5,000	\$5,000	\$5,000	5/13/2024	
ZHCQ 2018-001(HMT)	1	\$5,000	\$5,000	\$2,500	3/26/2024	
ZHCQ 2018-002(HMT)	1	\$5,000	\$5,000	\$2,500	3/26/2024	
ZHCQ 2018-003(HMT)	2	\$7,000	\$7,000	\$4,200	3/26/2024	
ZHCQ 2018-004(HMT)	1	\$5,000	\$5,000	\$2,500	3/26/2024	
ZHCQ 2018-005(HMT)	3	\$13,500	\$13,500	\$6,750	3/26/2024	
ZHCQ 2019-001(HMT)	2	\$9,500	\$9,500	\$4,750	3/26/2024	
ZHCQ 2019-002(HMT)	2	\$9,500	\$9,500	\$4,750	3/26/2024	
ZHCQ 2019-003(HMT)	2	\$8,500	\$8,500	\$4,250	3/26/2024	
ZHCQ 2019-004(HMT)	1	\$29,192	\$29,192	\$14,596	3/26/2024	
ZHCQ 2020-001(HMT)	1	\$5,000	\$5,000	\$2,500	3/26/2024	
ZHCQ 2020-002(HMT)	1	\$5,000	\$5,000	\$2,500	3/26/2024	
ZHCQ 2021-001(HMT)	5	\$18,000	\$18,000	\$10,800	3/26/2024	
ZHCQ 2022-001(HMT)	1	\$5,000	\$5,000	\$3,750	3/26/2024	
ZHCQ 2024-001(HMT)	1	\$10,000	\$10,000	\$6,000	7/18/2024	
ZHGQ 2022-001(HMT)	3	\$12,000	\$12,000	\$6,000	12/20/2023	
ZHGQ 2023-001(HMT)	1	\$7,500	\$7,500	\$7,500	2/14/2024	
ZHSN 2019-002(HMT)	1	\$5,000	\$5,000	\$5,000	11/14/2023	
ZHSN 2021-001(HMT)	1	\$2,500	\$2,500	\$2,500	11/14/2023	
ZHSN 2022-001(HMT)	2	\$10,000	\$10,000	\$10,000	11/14/2023	
ZHUE 2023-001(HMT)	1	\$5,000	\$5,000	\$5,000	7/11/2024	
ZHWR 2024-001(HMT)	1	\$2,000	\$2,000	\$2,000	8/6/2024	
ZHWS 2021-001(HMT)	1	\$5,000	\$5,000	\$5,000	9/23/2024	
ZHWS 2021-002(HMT)	1	\$5,000	\$5,000	\$5,000	9/23/2024	
ZHYC 2024-001(HMT)	1	\$2,000	\$2,000	\$2,000	7/11/2024	
ZIBS 2023-001(HMT)	1	\$1,998	\$1,998	\$1,998	6/18/2024	
ZICN 2024-001(HMT)	1	\$5,000	\$5,000	\$3,700	8/8/2024	
ZICN 2024-002(HMT)	1	\$5,000	\$5,000	\$3,700	8/8/2024	
ZICN 2024-003(HMT)	1	\$15,000	\$15,000	\$10,900	8/8/2024	
ZICN 2024-004(HMT)	1	\$5,000	\$5,000	\$3,700	8/8/2024	
ZIMA 2023-001(HMT)	1	\$5,000	\$5,000	\$2,750	3/4/2024	
ZIMA 2023-002(HMT)	1	\$4,000	\$4,000	\$2,250	3/4/2024	
ZIMA 2024-001(HMT)	1	\$10,000	\$10,000	\$6,500	5/22/2024	
ZIMO 2023-001(HMT)	1	\$5,000	\$5,000	\$3,700	2/5/2024	
ZIMT 2022-001(HMT)	2	\$4,000	\$4,000	\$4,000	3/26/2024	

<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>
ZIMTB 2023-001(HMT)	1	\$10,000	\$10,000	\$6,500	3/20/2024	
ZING 2023-002(HMT)	1	\$5,000	\$5,000	\$3,700	10/9/2023	
ZINTT 2022-007(HMT)	1	\$2,000	\$2,000	\$2,000	3/26/2024	
ZINTT 2023-001(HMT)	1	\$15,000	\$15,000	\$10,000	3/28/2024	
ZINTT 2024-001(HMT)	1	\$2,000	\$2,000	\$2,000	3/28/2024	
ZINTT 2024-002(HMT)	1	\$10,000	\$10,000	\$10,000	3/28/2024	
ZINTT 2024-003(HMT)	1	\$10,000	\$10,000	\$5,000	4/8/2024	
ZINTT 2024-004(HMT)	1	\$10,000	\$10,000	\$5,000	4/8/2024	
ZIP 2023-002(HMT)	2	\$10,000	\$10,000	\$7,300	2/1/2024	
ZIP 2023-004(HMT)	1	\$5,000	\$5,000	\$3,700	2/1/2024	
ZIP 2024-001(HMT)	1	\$2,000	\$2,000	\$1,400	6/13/2024	
ZIPI 2023-001(HMT)	1	\$5,000	\$5,000	\$5,000	11/8/2023	
ZISG 2023-001(HMT)	2	\$6,000	\$6,000	\$3,000	5/15/2024	
ZITF 2022-001(HMT)	1	\$5,000	\$5,000	\$5,000	5/22/2024	
ZITF 2022-002(HMT)	1	\$5,000	\$5,000	\$5,000	5/22/2024	
ZITF 2024-001(HMT)	1	\$2,000	\$2,000	\$2,000	5/22/2024	
ZITP 2022-001(HMT)	8	\$32,000	\$32,000	\$23,000	5/24/2024	
ZITT 2023-006(HMT)	1	\$10,000	\$10,000	\$7,500	1/10/2024	
ZITT 2023-007(HMT)	1	\$10,000	\$10,000	\$7,500	1/10/2024	
ZITT 2023-008(HMT)	2	\$10,000	\$10,000	\$7,500	1/10/2024	
ZITT 2023-009(HMT)	1	\$10,000	\$10,000	\$7,500	1/10/2024	
ZITT 2023-010(HMT)	1	\$10,000	\$10,000	\$7,500	1/10/2024	
ZITT 2023-011(HMT)	1	\$10,000	\$10,000	\$7,500	1/10/2024	
ZITT 2023-012(HMT)	1	\$10,000	\$10,000	\$7,500	1/10/2024	
ZITT 2023-013(HMT)	1	\$10,000	\$10,000	\$7,500	1/10/2024	
ZITT 2023-014(HMT)	1	\$5,000	\$5,000	\$3,500	3/25/2024	
ZITT 2023-015(HMT)	1	\$5,000	\$5,000	\$3,500	3/25/2024	
ZITT 2024-001(HMT)	1	\$5,000	\$5,000	\$3,500	3/25/2024	
ZITT 2024-002(HMT)	1	\$5,000	\$5,000	\$3,500	3/25/2024	
ZITT 2024-003(HMT)	1	\$10,000	\$10,000	\$7,500	3/25/2024	
ZIVE 2024-001(HMT)	1	\$10,000	\$10,000	\$10,000	2/8/2024	
ZIVE 2024-002(HMT)	1	\$10,000	\$10,000	\$10,000	5/20/2024	
ZIVS 2022-001(HMT)	1	\$10,000	\$10,000	\$7,000	3/7/2024	
ZIVS 2022-002(HMT)	1	\$10,000	\$10,000	\$7,000	3/7/2024	
ZIVS 2023-001(HMT)	3	\$11,000	\$11,000	\$8,000	2/9/2024	
ZIVX 2023-001(HMT)	1	\$2,000	\$2,000	\$2,000	2/7/2024	
ZIWI 2023-002(HMT)	1	\$2,000	\$2,000	\$2,000	10/11/2023	
ZJRS 2020-003(HMT)	1	\$10,000	\$10,000	\$7,500	11/27/2023	
ZJRS 2020-004(HMT)	1	\$5,000	\$5,000	\$3,500	11/27/2023	
ZJRS 2021-001(HMT)	1	\$10,000	\$10,000	\$8,000	11/27/2023	
ZJRS 2021-003(HMT)	1	\$15,000	\$15,000	\$12,000	11/27/2023	
ZJRS 2023-001(HMT)	1	\$2,000	\$2,000	\$2,000	11/27/2023	
ZJRS 2023-002(HMT)	1	\$5,000	\$5,000	\$5,000	11/27/2023	

<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>
ZJRS 2023-003(HMT)	1	\$5,000	\$5,000	\$5,000	11/27/2023	
ZJRS 2023-004(HMT)	1	\$5,000	\$5,000	\$5,000	11/27/2023	
ZJRS 2024-001(HMT)	1	\$2,000	\$2,000	\$2,000	9/12/2024	
ZJRS 2024-002(HMT)	1	\$2,000	\$2,000	\$2,000	9/12/2024	
ZJRS 2024-003(HMT)	1	\$2,000	\$2,000	\$2,000	9/13/2024	
ZJRS 2024-004(HMT)	1	\$2,000	\$2,000	\$2,000	9/12/2024	
ZKDM 2023-001(HMT)	3	\$6,000	\$6,000	\$4,200	1/8/2024	
ZKDM 2024-001(HMT)	1	\$2,000	\$2,000	\$2,000	2/7/2024	
ZKDM 2024-002(HMT)	2	\$4,000	\$4,000	\$2,800	3/27/2024	
ZKDR 2024-001(HMT)	1	\$2,000	\$2,000	\$2,000	6/14/2024	
ZKEM 2023-001(HMT)	1	\$5,000	\$5,000	\$5,000	4/17/2024	
ZKEN 2022-001(HMT)	1	\$5,000	\$5,000	\$5,000	4/1/2024	
ZKEN 2024-001(HMT)	1	\$10,000	\$10,000	\$9,000	8/9/2024	
ZKER 2024-001(HMT)	2	\$10,000	\$10,000	\$10,000	8/20/2024	
ZKFC 2024-001(HMT)	1	\$2,000	\$2,000	\$2,000	2/14/2024	
ZKFC 2024-002(HMT)	1	\$5,000	\$5,000	\$5,000	6/21/2024	
ZKGL 2023-001(HMT)	1	\$5,000	\$5,000	\$5,000	5/8/2024	
ZKING 2022-001(HMT)	1	\$2,000	\$2,000	\$2,000	4/30/2024	
ZKKC 2023-001(HMT)	2	\$4,000	\$4,000	\$4,000	5/23/2024	
ZKLG 2021-001(HMT)	1	\$2,000	\$2,000	\$1,500	5/8/2024	
ZKLT 2022-001(HMT)	1	\$2,000	\$2,000	\$2,000	4/30/2024	
ZKMB 2024-001(HMT)	1	\$2,000	\$2,000	\$2,000	2/13/2024	
ZKMP 2023-001(HMT)	1	\$2,000	\$2,000	\$1,500	1/25/2024	
ZKMP 2023-002(HMT)	1	\$2,000	\$2,000	\$1,400	3/4/2024	
ZKMQ 2022-002(HMT)	1	\$5,000	\$5,000	\$3,500	1/11/2024	
ZKMQ 2023-001(HMT)	1	\$10,000	\$10,000	\$7,850	2/5/2024	
ZKMQ 2023-002(HMT)	1	\$5,000	\$5,000	\$3,500	1/8/2024	
ZKMQ 2024-001(HMT)	1	\$2,000	\$2,000	\$1,600	4/4/2024	
ZKMTC 2022-001(HMT)	1	\$2,000	\$2,000	\$1,500	4/22/2024	
ZKMV 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	12/27/2023	
ZKNN 2022-001(HMT)	1	\$5,000	\$5,000	\$4,000	5/15/2024	
ZKOR 2020-001(HMT)	1	\$2,000	\$2,000	\$1,700	5/31/2024	
ZKOR 2020-002(HMT)	6	\$12,000	\$12,000	\$8,000	5/31/2024	
ZKOR 2020-003(HMT)	1	\$2,000	\$0	\$0	5/28/2024	Case Terminated
ZKPI 2022-003(HMT)	1	\$10,000	\$10,000	\$10,000	4/17/2024	
ZKPI 2024-001(HMT)	1	\$5,000	\$5,000	\$5,000	8/6/2024	
ZKRA 2022-001(HMT)	2	\$4,000	\$4,000	\$3,000	3/6/2024	
ZKRA 2023-001(HMT)	1	\$15,000	\$15,000	\$13,450	10/17/2023	
ZKRA 2023-002(HMT)	1	\$10,000	\$10,000	\$9,000	2/6/2024	
ZKRA 2024-001(HMT)	1	\$5,000	\$5,000	\$4,500	7/1/2024	
ZKRM 2022-001(HMT)	1	\$2,000	\$2,000	\$2,000	4/9/2024	
ZKRM 2022-002(HMT)	1	\$2,000	\$2,000	\$2,000	4/9/2024	
ZKUG 2021-001(HMT)	2	\$4,000	\$4,000	\$3,000	3/26/2024	

<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>
ZKUSA 2022-001(HMT)	1	\$2,000	\$2,000	\$2,000	5/16/2024	
ZKVE 2023-001(HMT)	1	\$2,000	\$2,000	\$2,000	4/29/2024	
ZKVE 2024-001(HMT)	1	\$5,000	\$5,000	\$5,000	5/2/2024	
ZKVE 2024-002(HMT)	1	\$5,000	\$5,000	\$5,000	5/2/2024	
ZKVE 2024-003(HMT)	1	\$2,000	\$2,000	\$2,000	5/2/2024	
ZKVE 2024-004(HMT)	1	\$2,000	\$2,000	\$2,000	5/30/2024	
ZKWS 2022-002(HMT)	1	\$2,000	\$2,000	\$2,000	4/17/2024	
ZKYE 2024-001(HMT)	1	\$15,000	\$15,000	\$12,500	8/26/2024	
ZLAN 2022-001(HMT)	1	\$2,000	\$2,000	\$1,500	8/26/2024	
ZLAN 2023-002(HMT)	2	\$4,000	\$4,000	\$3,000	8/26/2024	
ZLDE 2020-001(HMT)	1	\$5,000	\$5,000	\$3,250	9/12/2024	
ZLDE 2020-002(HMT)	1	\$10,000	\$10,000	\$8,200	9/12/2024	
ZLDE 2020-003(HMT)	1	\$10,000	\$10,000	\$8,500	9/12/2024	
ZLDE 2020-004(HMT)	1	\$10,000	\$10,000	\$8,200	9/12/2024	
ZLDE 2023-001(HMT)	1	\$2,000	\$2,000	\$1,600	9/12/2024	
ZLDE 2024-001(HMT)	1	\$5,000	\$5,000	\$3,750	9/12/2024	
ZLDR 2024-001(HMT)	2	\$10,000	\$10,000	\$6,000	6/7/2024	
ZLHT 2022-001(HMT)	1	\$2,000	\$2,000	\$1,600	9/30/2024	
ZLOW 2023-001(HMT)	1	\$2,000	\$2,000	\$1,200	12/21/2023	
ZLSW 2024-001(HMT)	1	\$4,000	\$4,000	\$3,000	8/20/2024	
ZLWP 2023-001(HMT)	1	\$10,000	\$10,000	\$5,000	12/14/2023	
ZLXT 2023-001(HMT)	1	\$10,000	\$10,000	\$8,500	9/30/2024	
ZMEZ 2024-001(HMT)	1	\$10,000	\$10,000	\$10,000	5/29/2024	
ZMEZ 2024-002(HMT)	1	\$10,000	\$10,000	\$10,000	5/29/2024	
ZMFQ 2024-001(HMT)	4	\$4,000	\$4,000	\$4,000	2/9/2024	
ZMFQ 2024-002(HMT)	1	\$2,000	\$2,000	\$2,000	4/3/2024	
ZMG 2023-001(HMT)	1	\$7,500	\$7,500	\$7,500	3/14/2024	
ZMIF 2023-001(HMT)	2	\$4,000	\$4,000	\$2,172	2/13/2024	
ZMIO 2024-001(HMT)	1	\$2,000	\$2,000	\$2,000	5/14/2024	
ZMLP 2023-001(HMT)	1	\$5,000	\$5,000	\$5,000	2/21/2024	
ZMNP 2023-001(HMT)	1	\$10,000	\$10,000	\$6,800	3/13/2024	
ZMNZ 2024-001(HMT)	1	\$5,000	\$5,000	\$5,000	3/14/2024	
ZMNZ 2024-002(HMT)	1	\$5,000	\$5,000	\$5,000	3/14/2024	
ZMTT 2024-001(HMT)	1	\$10,000	\$10,000	\$7,300	3/18/2024	
ZMUN 2024-001(HMT)	1	\$10,000	\$10,000	\$10,000	9/5/2024	
ZMUSK 2024-001(HMT)	1	\$5,000	\$5,000	\$5,000	7/9/2024	
ZMWH 2024-001(HMT)	1	\$2,000	\$2,000	\$1,500	4/4/2024	
ZNDM 2023-001(HMT)	1	\$10,000	\$10,000	\$10,000	2/23/2024	
ZNDM 2024-001(HMT)	1	\$2,000	\$2,000	\$2,000	9/23/2024	
ZNFI 2020-001(HMT)	1	\$2,000	\$2,000	\$2,000	8/26/2024	
ZNFZ 2022-001(HMT)	1	\$2,000	\$2,000	\$2,000	7/11/2024	
ZNORA 2014-001(HMT)	1	\$2,000	\$0	\$0	8/27/2024	Case Terminated
ZNOS 2023-001(HMT)	1	\$5,000	\$5,000	\$2,500	8/27/2024	

<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>
ZNOS 2023-002(HMT)	1	\$10,000	\$10,000	\$10,000	2/14/2024	
ZNSZ 2020-001(HMT)	1	\$5,000	\$5,000	\$2,500	7/26/2024	
ZNSZ 2022-001(HMT)	1	\$5,000	\$5,000	\$2,500	7/26/2024	
ZNSZ 2022-002(HMT)	1	\$5,000	\$5,000	\$2,500	7/26/2024	
ZNTB 2023-001(HMT)	1	\$2,000	\$2,000	\$1,000	8/12/2024	
ZNTN 2023-002(HMT)	1	\$5,000	\$0	\$0	7/22/2024	Case Terminated
ZNTN 2023-003(HMT)	1	\$7,500	\$7,500	\$5,250	8/6/2024	
ZNTN 2023-004(HMT)	1	\$5,000	\$5,000	\$3,000	8/6/2024	
ZNTN 2023-005(HMT)	1	\$2,000	\$2,000	\$1,200	8/6/2024	
ZNXE 2023-001(HMT)	1	\$2,000	\$2,000	\$1,000	3/25/2024	
ZNYN 2021-003(HMT)	27	\$47,500	\$47,500	\$23,750	6/5/2024	
ZNYN 2021-005(HMT)	2	\$8,500	\$8,500	\$4,250	7/29/2024	
ZNYN 2022-001(HMT)	1	\$2,000	\$2,000	\$1,000	6/5/2024	
ZNYN 2022-002(HMT)	1	\$2,500	\$2,500	\$1,000	7/30/2024	
ZNYN 2023-001(HMT)	1	\$5,000	\$5,000	\$2,500	6/5/2024	
ZNYN 2023-002(HMT)	1	\$5,000	\$5,000	\$2,500	6/5/2024	
ZNYN 2024-001(HMT)	3	\$6,000	\$6,000	\$3,000	6/5/2024	
ZOCC 2023-005(HMT)	1	\$2,000	\$2,000	\$1,500	11/1/2023	
ZOCC 2023-006(HMT)	1	\$5,000	\$5,000	\$3,750	11/1/2023	
ZOCC 2023-007(HMT)	1	\$5,000	\$5,000	\$3,750	4/3/2024	
ZOCC 2023-008(HMT)	2	\$10,000	\$10,000	\$7,600	4/3/2024	
ZOCC 2023-009(HMT)	1	\$5,000	\$5,000	\$3,800	4/3/2024	
ZOCC 2024-001(HMT)	1	\$5,000	\$5,000	\$3,500	4/23/2024	
ZOCC 2024-002(HMT)	1	\$5,000	\$5,000	\$3,500	4/23/2024	
ZOCR 2023-001(HMT)	1	\$5,000	\$5,000	\$3,900	1/28/2024	
ZOEE 2022-002(HMT)	1	\$10,000	\$10,000	\$10,000	3/26/2024	
ZOEE 2023-001(HMT)	1	\$5,000	\$5,000	\$5,000	3/26/2024	
ZOEE 2024-001(HMT)	1	\$10,000	\$10,000	\$8,000	3/26/2024	
ZOKH 2019-001(HMT)	1	\$5,000	\$0	\$0	3/27/2024	Case Terminated
ZOKH 2023-002(HMT)	1	\$5,000	\$0	\$0	4/21/2024	Case Terminated
ZOLI 2023-004(HMT)	1	\$5,000	\$5,000	\$3,750	11/29/2023	
ZOLI 2023-005(HMT)	1	\$5,000	\$5,000	\$5,000	1/3/2024	
ZOLI 2023-007(HMT)	1	\$5,000	\$5,000	\$5,000	1/3/2024	
ZOLI 2023-008(HMT)	1	\$5,000	\$5,000	\$5,000	1/3/2024	
ZOLI 2023-009(HMT)	1	\$5,000	\$5,000	\$5,000	1/3/2024	
ZOLI 2024-001(HMT)	2	\$10,000	\$10,000	\$10,000	2/26/2024	
ZOLI 2024-002(HMT)	1	\$2,000	\$2,000	\$2,000	2/7/2024	
ZOOL 2019-001(HMT)	6	\$15,000	\$0	\$0	3/27/2024	Case Terminated
ZOTER 2024-001(HMT)	1	\$10,000	\$10,000	\$8,000	7/24/2024	
ZOTER 2024-002(HMT)	1	\$2,000	\$2,000	\$1,400	7/24/2024	
ZOTER 2024-003(HMT)	1	\$2,000	\$2,000	\$1,440	7/24/2024	
ZPBB 2023-001(HMT)	2	\$4,000	\$4,000	\$2,900	2/6/2024	
ZPBN 2023-001(HMT)	1	\$5,000	\$5,000	\$3,800	2/6/2024	

<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>
ZPCSS 2023-002(HMT)	1	\$5,000	\$5,000	\$3,500	5/30/2024	
ZPCSS 2023-003(HMT)	1	\$5,000	\$5,000	\$3,500	5/30/2024	
ZPCSS 2024-001(HMT)	1	\$15,000	\$15,000	\$11,000	5/30/2024	
ZPG 2019-001(HMT)	1	\$5,000	\$2,000	\$2,000	1/24/2024	Partially Terminated: 1
ZPG 2019-002(HMT)	1	\$5,000	\$5,000	\$5,000	1/24/2024	
ZPG 2019-003(HMT)	1	\$5,000	\$5,000	\$5,000	1/24/2024	
ZPG 2020-001(HMT)	1	\$5,000	\$5,000	\$5,000	1/24/2024	
ZPG 2020-002(HMT)	1	\$2,000	\$2,000	\$2,000	1/24/2024	
ZPG 2020-003(HMT)	1	\$2,000	\$2,000	\$2,000	1/24/2024	
ZPG 2020-004(HMT)	1	\$5,000	\$5,000	\$5,000	1/24/2024	
ZPG 2020-005(HMT)	1	\$2,000	\$2,000	\$2,000	1/24/2024	
ZPG 2020-006(HMT)	1	\$2,000	\$2,000	\$2,000	1/24/2024	
ZPG 2021-001(HMT)	1	\$5,000	\$5,000	\$5,000	1/24/2024	
ZPG 2021-002(HMT)	1	\$2,000	\$2,000	\$2,000	1/24/2024	
ZPG 2021-003(HMT)	1	\$2,000	\$2,000	\$2,000	1/24/2024	
ZPG 2021-004(HMT)	1	\$2,000	\$2,000	\$2,000	1/24/2024	
ZPG 2022-001(HMT)	1	\$2,000	\$2,000	\$2,000	1/24/2024	
ZPG 2022-002(HMT)	1	\$5,000	\$5,000	\$5,000	1/24/2024	
ZPG 2022-003(HMT)	1	\$5,000	\$5,000	\$5,000	1/24/2024	
ZPG 2022-004(HMT)	1	\$2,000	\$2,000	\$2,000	1/24/2024	
ZPGQ 2023-003(HMT)	1	\$10,000	\$10,000	\$10,000	12/6/2023	
ZPGQ 2023-004(HMT)	1	\$5,000	\$5,000	\$5,000	12/5/2023	
ZPGQ 2023-005(HMT)	1	\$5,000	\$5,000	\$5,000	1/8/2024	
ZPGQ 2023-006(HMT)	1	\$5,000	\$5,000	\$5,000	12/29/2023	
ZPGQ 2023-007(HMT)	1	\$5,000	\$5,000	\$5,000	12/29/2023	
ZPOB 2024-001(HMT)	1	\$15,000	\$15,000	\$11,500	5/22/2024	
ZPSC 2023-005(HMT)	1	\$5,000	\$5,000	\$5,000	11/17/2023	
ZPSC 2023-006(HMT)	1	\$10,000	\$10,000	\$7,500	11/17/2023	
ZPSC 2023-007(HMT)	1	\$5,000	\$5,000	\$5,000	11/17/2023	
ZPSC 2023-008(HMT)	1	\$5,000	\$5,000	\$2,500	11/17/2023	
ZPSC 2023-009(HMT)	1	\$5,000	\$5,000	\$5,000	5/2/2024	
ZPSC 2023-010(HMT)	2	\$10,000	\$10,000	\$10,000	5/2/2024	
ZPSC 2023-011(HMT)	1	\$5,000	\$5,000	\$3,000	5/2/2024	
ZPSC 2024-001(HMT)	1	\$5,000	\$5,000	\$3,000	5/2/2024	
ZPSC 2024-002(HMT)	1	\$10,000	\$10,000	\$8,000	5/2/2024	
ZPSC 2024-003(HMT)	1	\$5,000	\$5,000	\$3,000	5/2/2024	
ZPSC 2024-004(HMT)	1	\$5,000	\$5,000	\$3,000	5/2/2024	
ZPSC 2024-005(HMT)	1	\$10,000	\$10,000	\$8,000	5/2/2024	
ZPSC 2024-006(HMT)	1	\$5,000	\$5,000	\$3,000	5/2/2024	
ZPSC 2024-007(HMT)	1	\$5,000	\$5,000	\$3,000	5/2/2024	
ZPSC 2024-008(HMT)	1	\$5,000	\$5,000	\$3,000	5/2/2024	
ZPSC 2024-009(HMT)	1	\$5,000	\$5,000	\$5,000	9/12/2024	

<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>
ZPSC 2024-010(HMT)	1	\$5,000	\$5,000	\$5,000	9/12/2024	
ZPVC 2024-001(HMT)	1	\$5,000	\$5,000	\$5,000	7/23/2024	
ZQCO 2023-001(HMT)	1	\$5,000	\$5,000	\$5,000	6/25/2024	
ZRAY 2023-002(HMT)	1	\$2,000	\$2,000	\$2,000	12/21/2023	
ZRFC 2024-001(HMT)	1	\$10,000	\$10,000	\$10,000	6/6/2024	
ZRNW 2023-001(HMT)	2	\$4,000	\$4,000	\$2,000	11/14/2023	
ZRPM 2024-001(HMT)	12	\$96,000	\$48,000	\$48,000	8/13/2024	Partially Terminated: 6
ZRRQ 2023-001(HMT)	1	\$2,000	\$2,000	\$1,400	12/11/2023	
ZRRQ 2024-001(HMT)	1	\$2,000	\$2,000	\$2,000	6/11/2024	
ZRRQ 2024-002(HMT)	1	\$2,000	\$2,000	\$1,400	6/27/2024	
ZRSH 2024-001(HMT)	1	\$2,000	\$2,000	\$1,350	3/14/2024	
ZRSH 2024-002(HMT)	1	\$2,000	\$2,000	\$1,350	5/1/2024	
ZRSNL 2023-001(HMT)	1	\$2,000	\$2,000	\$2,000	12/4/2023	
ZRSO 2023-001(HMT)	1	\$5,000	\$5,000	\$5,000	12/28/2023	
ZRUH 2023-001(HMT)	1	\$2,000	\$2,000	\$1,400	1/9/2024	
ZRVI 2024-001(HMT)	1	\$2,000	\$2,000	\$2,000	5/28/2024	
ZSAB 2022-001(HMT)	1	\$2,000	\$2,000	\$1,300	1/11/2024	
ZSAB 2023-001(HMT)	1	\$15,000	\$15,000	\$10,800	1/11/2024	
ZSAB 2023-002(HMT)	1	\$5,000	\$5,000	\$3,600	1/11/2024	
ZSAB 2023-003(HMT)	1	\$5,000	\$5,000	\$3,600	1/11/2024	
ZSASN 2018-002(HMT)	2	\$10,000	\$10,000	\$2,000	8/15/2024	
ZSASN 2018-003(HMT)	1	\$5,000	\$5,000	\$1,000	8/15/2024	
ZSASN 2020-002(HMT)	1	\$10,000	\$10,000	\$8,500	8/15/2024	
ZSASN 2022-001(HMT)	1	\$5,000	\$5,000	\$3,600	8/15/2024	
ZSASN 2022-002(HMT)	1	\$5,000	\$5,000	\$3,600	8/15/2024	
ZSASN 2023-001(HMT)	1	\$5,000	\$5,000	\$3,600	8/15/2024	
ZSAV 2023-001(HMT)	2	\$4,000	\$4,000	\$2,600	5/3/2024	
ZSAV 2023-002(HMT)	1	\$2,000	\$2,000	\$1,350	5/3/2024	
ZSAV 2023-003(HMT)	1	\$2,000	\$2,000	\$1,300	5/3/2024	
ZSAV 2023-004(HMT)	1	\$2,000	\$2,000	\$1,325	5/3/2024	
ZSAV 2023-005(HMT)	1	\$2,000	\$2,000	\$1,325	5/3/2024	
ZSAV 2023-006(HMT)	1	\$2,000	\$2,000	\$1,325	5/3/2024	
ZSAV 2023-007(HMT)	1	\$2,000	\$2,000	\$1,325	5/3/2024	
ZSAV 2023-008(HMT)	1	\$2,000	\$2,000	\$1,325	5/3/2024	
ZSEU 2020-002(HMT)	1	\$10,000	\$10,000	\$7,000	11/15/2023	
ZSEU 2021-001(HMT)	1	\$10,000	\$10,000	\$7,350	11/15/2023	
ZSEU 2023-001(HMT)	1	\$5,000	\$5,000	\$3,150	11/15/2023	
ZSEU 2023-002(HMT)	1	\$17,500	\$17,500	\$13,000	11/15/2023	
ZSHL 2021-002(HMT)	1	\$10,000	\$10,000	\$10,000	4/29/2024	
ZSHL 2023-003(HMT)	1	\$5,000	\$5,000	\$5,000	4/29/2024	
ZSHL 2023-004(HMT)	1	\$10,000	\$10,000	\$10,000	4/29/2024	
ZSHL 2023-006(HMT)	1	\$5,000	\$5,000	\$5,000	4/29/2024	

<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>
ZSHL 2023-007(HMT)	1	\$5,000	\$5,000	\$5,000	6/3/2024	
ZSRE 2020-001(HMT)	1	\$999	\$0	\$0	12/7/2023	Case Terminated
ZSRE 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	12/7/2023	
ZSRE 2021-002(HMT)	2	\$4,000	\$4,000	\$4,000	12/7/2023	
ZSRE 2022-001(HMT)	1	\$10,000	\$10,000	\$7,500	12/7/2023	
ZSRE 2023-001(HMT)	1	\$10,000	\$10,000	\$7,000	12/7/2023	
ZSSCO 2023-001(HMT)	1	\$2,000	\$2,000	\$1,350	5/3/2024	
ZSSCO 2023-002(HMT)	1	\$10,000	\$10,000	\$7,250	5/3/2024	
ZSSCO 2023-003(HMT)	1	\$2,000	\$2,000	\$1,300	5/3/2024	
ZSSCO 2023-004(HMT)	1	\$15,000	\$15,000	\$11,250	5/3/2024	
ZSSCO 2023-005(HMT)	1	\$15,000	\$15,000	\$11,000	5/3/2024	
ZSSCO 2023-006(HMT)	2	\$4,000	\$4,000	\$3,000	5/3/2024	
ZSSCO 2023-007(HMT)	1	\$2,000	\$2,000	\$1,300	5/3/2024	
ZSSCO 2024-001(HMT)	2	\$15,000	\$15,000	\$11,250	5/3/2024	
ZSSCO 2024-002(HMT)	2	\$10,000	\$10,000	\$7,200	5/3/2024	
ZSTQ 2023-001(HMT)	1	\$5,000	\$5,000	\$1,000	10/17/2023	
ZSTQ 2024-001(HMT)	1	\$5,000	\$5,000	\$5,000	7/3/2024	
ZSWR 2023-003(HMT)	1	\$15,000	\$15,000	\$15,000	10/10/2023	
ZSWR 2023-004(HMT)	1	\$15,000	\$15,000	\$15,000	10/25/2023	
ZSWR 2023-005(HMT)	1	\$7,500	\$7,500	\$7,500	10/25/2023	
ZSWR 2023-006(HMT)	1	\$10,000	\$10,000	\$10,000	10/25/2023	
ZSWR 2023-007(HMT)	3	\$15,000	\$15,000	\$15,000	10/17/2023	
ZTAM 2023-002(HMT)	1	\$10,000	\$10,000	\$8,000	1/31/2024	
ZTGT 2021-001(HMT)	1	\$7,500	\$7,500	\$5,250	12/11/2023	
ZTLY 2021-001(HMT)	1	\$2,000	\$2,000	\$1,100	12/13/2023	
ZTLY 2022-001(HMT)	1	\$5,000	\$5,000	\$3,550	12/13/2023	
ZTLY 2023-001(HMT)	1	\$5,000	\$5,000	\$3,400	12/13/2023	
ZTMS 2022-001(HMT)	1	\$5,000	\$5,000	\$3,500	12/11/2023	
ZTMS 2022-002(HMT)	1	\$10,000	\$10,000	\$8,000	12/11/2023	
ZTMS 2023-001(HMT)	1	\$7,500	\$7,500	\$5,700	10/31/2023	
ZTMS 2024-001(HMT)	1	\$5,000	\$5,000	\$3,500	2/12/2024	
ZTRG 2023-001(HMT)	1	\$5,000	\$5,000	\$3,250	11/28/2023	
ZTRG 2023-002(HMT)	2	\$4,000	\$4,000	\$2,750	1/22/2024	
ZTSS 2024-001(HMT)	2	\$10,000	\$10,000	\$6,000	3/1/2024	
ZTTS 2023-001(HMT)	1	\$5,000	\$5,000	\$5,000	12/13/2023	
ZUEC 2023-001(HMT)	1	\$2,000	\$2,000	\$1,500	12/4/2023	
ZUHC 2024-001(HMT)	2	\$4,000	\$4,000	\$2,100	5/9/2024	
ZUNIV 2023-005(HMT)	1	\$5,000	\$5,000	\$3,900	1/9/2024	
ZUNIV 2023-006(HMT)	1	\$2,000	\$2,000	\$1,600	1/29/2024	
ZUNIV 2024-001(HMT)	1	\$7,500	\$7,500	\$5,650	6/24/2024	
ZUNIV 2024-002(HMT)	1	\$2,000	\$2,000	\$1,500	8/14/2024	
ZUSA 2023-001(HMT)	2	\$6,000	\$6,000	\$6,000	3/20/2024	
ZUSN 2023-001(HMT)	1	\$5,000	\$5,000	\$5,000	1/19/2024	

<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>
ZUSN 2024-001(HMT)	1	\$7,500	\$7,500	\$7,500	5/23/2024	
ZVALE 2022-001(HMT)	1	\$5,000	\$5,000	\$4,000	8/7/2024	
ZVALM 2022-002(HMT)	3	\$15,000	\$15,000	\$12,000	8/7/2024	
ZVCP 2023-003(HMT)	1	\$10,000	\$10,000	\$7,850	10/5/2023	
ZVCP 2023-004(HMT)	1	\$5,000	\$5,000	\$3,550	12/1/2023	
ZVCP 2024-001(HMT)	2	\$10,000	\$10,000	\$7,000	2/1/2024	
ZVCP 2024-002(HMT)	1	\$5,000	\$5,000	\$3,500	2/21/2024	
ZVTD 2020-001(HMT)	1	\$2,000	\$2,000	\$1,500	8/7/2024	
ZVTZ 2020-001(HMT)	2	\$4,000	\$4,000	\$4,000	5/2/2024	
ZVTZ 2020-002(HMT)	1	\$5,000	\$5,000	\$5,000	5/2/2024	
ZVTZ 2022-002(HMT)	1	\$5,000	\$5,000	\$5,000	5/2/2024	
ZVTZ 2023-001(HMT)	1	\$5,000	\$5,000	\$5,000	5/22/2024	
ZVTZ 2023-002(HMT)	1	\$5,000	\$5,000	\$5,000	5/22/2024	
ZVTZ 2024-002(HMT)	1	\$5,000	\$5,000	\$5,000	7/5/2024	
ZWAO 2024-001(HMT)	1	\$2,000	\$2,000	\$1,500	9/25/2024	
ZWATC 2023-001(HMT)	1	\$20,000	\$20,000	\$15,000	9/25/2024	
ZWATC 2024-001(HMT)	1	\$2,000	\$2,000	\$1,500	9/25/2024	
ZWATC 2024-002(HMT)	1	\$5,000	\$5,000	\$3,750	9/25/2024	
ZWBZ 2023-001(HMT)	1	\$2,000	\$2,000	\$1,500	3/7/2024	
ZWCR 2024-001(HMT)	1	\$2,000	\$2,000	\$1,400	9/13/2024	
ZWID 2024-001(HMT)	1	\$2,000	\$2,000	\$2,000	5/1/2024	
ZWLC 2023-003(HMT)	1	\$2,000	\$2,000	\$1,400	1/2/2024	
ZWLC 2024-001(HMT)	1	\$5,000	\$5,000	\$4,250	6/27/2024	
ZWLC 2024-002(HMT)	1	\$5,000	\$5,000	\$4,250	7/17/2024	
ZWOC 2023-002(HMT)	1	\$2,000	\$2,000	\$1,550	12/4/2023	
ZWRG 2023-001(HMT)	2	\$15,000	\$15,000	\$15,000	3/7/2024	
ZWTN 2023-001(HMT)	1	\$4,000	\$4,000	\$3,000	9/25/2024	
ZWTN 2024-001(HMT)	1	\$2,000	\$2,000	\$1,440	9/25/2024	
ZXCP 2023-001(HMT)	1	\$5,000	\$5,000	\$5,000	8/9/2024	
ZXCR 2023-001(HMT)	1	\$5,000	\$5,000	\$5,000	11/15/2023	
ZXCR 2023-002(HMT)	1	\$5,000	\$5,000	\$5,000	8/30/2024	
ZXSS 2024-001(HMT)	1	\$7,500	\$7,500	\$7,500	4/9/2024	
ZYCC 2023-001(HMT)	1	\$2,000	\$2,000	\$1,500	6/13/2024	
ZZAU 2022-001(HMT)	1	\$5,000	\$5,000	\$5,000	10/27/2023	
ZZEM 2024-001(HMT)	1	\$5,000	\$5,000	\$5,000	4/9/2024	
ZZGT 2021-001(HMT)	1	\$5,000	\$5,000	\$3,500	5/13/2024	
ZZGT 2022-001(HMT)	1	\$5,000	\$5,000	\$3,500	5/13/2024	
ZZHF 2023-001(HMT)	2	\$16,500	\$16,500	\$16,500	2/29/2024	
ZZHF 2023-002(HMT)	2	\$16,500	\$16,500	\$16,500	2/29/2024	
ZZHF 2023-003(HMT)	2	\$4,000	\$4,000	\$4,000	2/13/2024	
ZZPA 2024-001(HMT)	10	\$50,000	\$50,000	\$5,000	7/22/2024	

Total: 4,164 \$23,383,718 \$22,532,970 \$16,872,568

<u>Codes</u>	<u>Respondent Names</u>
3MCZ	3m Company
AA	Ann Arbor Railroad
AGR	Alabama & Gulf Coast Railway LLC
ALS	The Alton And Southern Railway Company
ANR	Angelina & Neches River Railroad Co.
ATK	National Railroad Passenger Corporation
AVSX	Abilene & Smoky Valley Railroad
AWRR	Austin Western Railroad
AZCR	Arizona Central Railroad, Incorporated
BB	Buckingham Branch Railroad Company
BDW	Bighorn Divide & Wyoming Railroad Inc.
BEAR	Berkshire & Eastern Railroad
BGCM	Bountiful Grain & Craig Mountain
BHRR	Birmingham Terminal Railway, LLC
BIP	Belpre Industrial Parkersburg Railroad
BLN	BLN TECH CORPORATION
BLF	Brightline
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 Rwy
BVRR	Boise Valley Railroad, LLC
CBRW	Columbia Basin Railroad Company, Inc.
CFNR	California Northern Railroad Co.
CFRC	Central Florida Rail Corridor
CHRQ	Christensen Oil
CIND	The Central Railroad Company Of Indiana
CN	Canadian National Railway Company
CORP	Central Oregon & Pacific Railroad, Inc.
CP	Canadian Pacific Railway
CPDR	Carolina Piedmont Division
CPKC	Canadian Pacific Kansas City
CRRX	Canon City Royal Gorge Railroad
CRSM	Consolidated Rail Corporation
CSS	Chicago Southshore & South Bend Railroad
CSX	CSX Transportation Inc.
DCR	Delmarva Central Railroad
DGNO	Dallas, Garland And Northeastern Railroad, Inc.
EIRR	Eastern Idaho Railroad, Llc
EMRY	Eastern Maine Railway
ESPN	East Penn Railroad Llc
EXCE	Excelex Corporation

FCRD	First Coast Railroad, Inc.
FEC	Florida East Coast Railway
FGA	Florida Gulf & Atlantic Railroad LLC
FOXY	Fox Valley & Lake Superior Rail System, L.L.C
FWWR	Fort Worth & Western Railroad
GDLK	Grand Elk Railroad, LLC
GLC	Great Lakes Central Railroad
GNWR	Genesee And Wyoming Railroad Company
GORD	GORDON TERMINAL SERVICE COMPANY
GWR	Great Western Railway Of Colorado, LLC
HASZ	Halliburton Services
HERQ	Herzog Railroad Services
HESR	Huron & Eastern Railway Company, Inc.
IHB	Indiana Harbor Belt Railroad Company
IHTR	Iron Horse Terminals
INRD	The Indiana Rail Road Company
IORY	Indiana & Ohio Railway Company
IR	Illinois Railway, LLC
KAW	KAW River Railroad
KCLZ	KC Industrial LLC
KCT	Kansas City Terminal Railway Company
KJR	Kiski Junction Railroad
KRR	Kiamichi Railroad Co., LLC.
KYLE	KYLE Railroad Co.
LBWR	Lubbock & Western Railway, L.L.C.
LEMZ	Lemm Corporation
LI	Long Island Railroad
LSRC	Lake State Railway Company
LVR	Landisville Railroad
LVRX	Lehigh Valley Rail Management Llc
MBTA	Massachusetts Bay Transportation Authority
MCRL	Massachusetts Coastal Railroad LLC
MDS	Meridian Southern Railway
ME	Morristown And Erie Railway, Incorporated
MEC	Maine Central Railroad Company
MH	Mount Hood Railroad
MHWA	Mohawk, Adirondack & Northern Railroad Corp.
MNA	Missouri & Northern Arkansas Railroad Co., Inc.
MNCW	Metro-North Commuter Railroad Company
MNR	Maine Northern Railway Company
MQT	Marquette Rail, LLC.
MRL	Montana Rail Link
MRTV	Metro Regional Transit Authority
MSR	Michigan Shore Railroad, Inc.
NCVA	North Carolina & Virginia Railroad Co., LLC
NECR	New England Central Railroad, Inc.

NICD	Northern Indiana Commuter Transportation District
NIRC	Northeast Illinois Regional Commuter Rr Corp.
NLA	North Louisiana & Arkansas Railroad
NMQQ	Nutrimentos Minerales Sa De Sv
NOPB	New Orleans Public Belt Railroad Commission for the Port of New Orleans
NSHR	North Shore Railroad
NYA	New York And Atlantic Railway Company
OHRY	Owego And Harford Railway
OLB	Omaha, Lincoln And Beatrice Railway Company
PAS	Pan Am Southern Llc.
PNWR	Portland And Western Railroad Inc.
POHC	The Pittsburgh & Ohio Central Railroad Co.
RASX	Railservice
RBMN	Reading Blue Mountain & Northern Railroad Company
RCPE	Rapid City, Pierre & Eastern Railroad, Inc.
RI	Chicago Rock Island & Pacific Railroad LLC
RJCC	R. J. Corman Railroad Company/Central Kentucky Lines
RJCP	R. J. Corman Railroad Company/Pennsylvania Lines
RSR	Rochester And Southern Railroad, Inc.
RVSC	Rio Valley Switching Company
SCXF	South Central Florida Express, Inc.
SEPA	Southeastern Pennsylvania Transportation Authority
SERA	Sierra Northern Railway Company
SFRV	South Florida Regional Transportation Authority
SGLR	Seminole Gulf Railway LP
SIRS	Savage Industrial Rail Services, Inc.
SJVR	San Joaquin Valley Railroad Co.
SKOL	South Kansas And Oklahoma Railroad Company
SNY	SMS Rail Lines of New York, LLC
SOU	Norfolk Southern Railway Company
SRN	Sabine River & Northern Railroad Company
STMA	St. Maries River Railroad
TM	Texas Mexican Railway Company
TMBL	Tacoma Municipal Belt Line Railway
TNER	Texas Northeastern Railroad
TPW	Toledo, Peoria And Western Railway Corp.
TRRA	Terminal Railroad Association of St. Louis
TTXJ	TTX Company
TXN	Texas New Mexico Railway, LLC
UFRC	Utah Frontrunner Commuter Rail
UP	Union Pacific Railroad Company
UPME	Union Pacific-Metra
UTAH	UTAH Railway Company
UTAX	Utah Transit Authority
VSOR	Vicksburg Southern Railroad
WCSZ	Waste Control Specialists LLC

WE	Wheeling & Lake Erie Railway Company
WEDQ	Wedgworth's Inc.
WGNS	Wisconsin Great Northern Railroad, Inc.
WIR	Washington and Idaho Railway, Inc.
WMSR	Western Maryland Scenic Railroad
WNYP	Western New York & Pennsylvania Railroad
WRL	WRL, LLC
WSOR	Wisconsin & Southern Railroad
WTRM	The Warren & Trumbull Railroad Co.
WTRY	Wilmington Terminal Railroad Inc.
WVC	West Virginia Central Railroad
XAID	AMERICAN INTEGRATED SERVICES INC.
XALO	Alto Pekin, LLC
XARD	American Rail Dispatching Center
XATG	AMERICAN TRACK GENERATIONS LLC
XAXD	Arxada
XBML	Bottom Line Company
XBOB	Bobby Baker Railroad Services
XBRI	Balfour Beatty Infrastructure, Inc.
XBUL	Bulk Chemical Services
XBWO	Big West Oil
XCAI	Cargill, Inc.
XCHS	CHS, Inc.
XCHW	Clean Harbors Wichita, LLC
XDBS	Diamondback Signal
XEGC	Evergreen Packaging LLC
XENM	Everris NA Marion
XETL	Eastlake Terminal Llc
XEXG	Excel Group
XFMC	Freeport-Mcmoran Inc.
XGFM	Gulf Mechanical Contractors
XGLO	Global Chemical Resources, Inc.
XGON	Gonzalez And Sons Equipment, Inc.
XGUR	Grafton Upton Railcare
XHFN	HF SINCLAIR NAVAJO REFINING, LLC
XHJB	H.J. Baker Sulphur, LLC
XHYG	Hyundai Glovis, USA
XK2P	K2 Pure Solutions
XKHC	KELLY-HILL COMPANY
XKOR	Korbel & Bro's
XLAT	Lansing Asphalt Terminal Company
XMAG	Matheson Gas Company
XMKW	Markwest Hydrocarbon, L.L.C.
XMNL	Mainline Services Llc
XOMT	Omaha Track
XRAG	RIVERLAND AG

XROA	Rrr Tank Properties, Llc
XYR	Rocky Mountain Rail and Storage
XSAT	Spartan Chemical Company, Inc.
XSNA	Sazerac North America
XSNJ	Southern New Jersey Light Rail Group, Llc
XSSX	Savage Services
XTGS	Trans-Global Solutions, Inc.
XWCM	Watco Companies Mechanical Services
XWDE	World Energy
XWEM	Western Emulsions, Inc.
XXHR	HRI INC.
XZCT	Chemserve Terminal of Wilmington, LLC
XZTH	Zenith Energy Terminals
YSRR	Youngstown & Southeastern Railroad
ZABC	Abc Coke
ZABD	Aberdeen Energy, Llc
ZABE	Absolute Energy
ZABS	Abf Freight System, Inc.
ZACI	American Chrome And Chemicals, Inc.
ZACQ	Ace Ethanol Llc
ZACR	Adm Corn Processing
ZADG	The Andersons Grain
ZAEN	Altex Energy, Ltd.
ZAFA	Altagas Facilities Us, Inc.
ZAGT	Amerigas Propane L.P.
ZAIL	Air Liquide Large Industries Us Lp
ZAKE	Arkalon Ethanol
ZALC	Asarco Llc
ZALTI	Altivia Petrochemicals, Llc
ZAMC	Archer Daniels Midland Co.
ZAND	The Andersons, Inc.
ZAPM	Ascend Performance Materials Llc
ZARK	Arkema, Inc.
ZASN	Ashland Specialty Ingredients
ZASY	Americas Styrenics
ZATN	Agri-Empresa Transload & Storage, Llc
ZATP	Allen's Transport Ltd.
ZAUI	Nutrien US LLC
ZAUX	Aux Sable Liquid Products, Inc.
ZAVX	Advansix
ZBAD	BALLARD, INC
ZBADG	Badger State Ethanol
ZBAS	BASF Corporation
ZBCU	Blue Cube Operations LLC - Olin Chlor Alkali Logistics, Inc.
ZBEP	Buckeye Partners, LP
ZBMI	Bushmills Ethanol

ZBPH	Blicks Phosphate Conversions LLC
ZBPN	BP Products North America (bpPNA)
ZBSG	Blue Star Gas, Inc.
ZBTE	Bostco Storage & Terminal Services
ZBWC	Bwc Terminals
ZBWG	Blue Wing Midstream
ZBWT	BWC Texas City Terminal, Inc.
ZCCF	Consumer Co-Op Refiners
ZCCM	Cargill-Corn Milling Division
ZCDS	Chem Design
ZCED	Clean Harbors El Dorado, LLC
ZCELA	Celanese
ZCFER	Chicago, Ft. Wayne & Eastern Railroad
ZCHEV	Chevron Products Company
ZCHL	C Three Logistics, Llc
ZCLI	Continental Intermodal Group
ZCME	Calumet Montana Refining, LLC
ZCNG	The Cleaning Guys LLC
ZCOV	Covestro LLC
ZCPR	Citgo Petroleum Corp.
ZCSF	Chemical Systems Of Florida, Inc.
ZCTG	Citgo Petroleum Corporation
ZCVE	Chippewa Valley Ethanol Company
ZDAA	Daikin America, Inc.
ZDCG	Delta Companies Group
ZDCU	The Dow Chemical Company
ZDEL	Delta Chemical Corp.
ZDGZ	Dakota Gasification Co.
ZDKI	D/K Environmental
ZDNA	Diageo Americas Supply, Inc.
ZDTLP	Delta Trading LP
ZDXI	DXI Industries
ZDYI	Dyno Nobel, Inc.
ZEACH	Eastman Chemical Company Inc
ZEAO	Evonik Active Oxygens LLC
ZEDC	El Dorado Chemical Company
ZEEN	Eco Energy
ZENK	Enlink Midstream
ZEOB	Ecolab, Inc.
ZEPC	Enterprise Products Operating Llc
ZEQU	Equistar Chemicals Lp
ZERA	Ergon Asphalt Partners LP
ZESG	Energy Services Group, Inc.
ZESR	Eco Services Operations Corp.
ZETB	Energy Transfer Mont Belvieu NGLs LP
ZETP	Energy Transfer Partners

ZEVD	Evonik Corporation
ZEXM	Exxonmobil Corporation
ZFAZ	Fertizona
ZFHR	Flint Hills Resources
ZFTR	Florida East Coast Transload, Llc.
ZGCL	Geocycle Llc
ZGEG	Genesis Energy, L.P.
ZGEU	Gibson Energy Llc
ZGFS	Morgan Cfs #2
ZGFV	GFL Environmental Inc.
ZGLA	Guardian Lima LLC
ZGLK	Greenlake Operating LLC
ZGPE	Green Plains Logistics
ZGPJ	Graphic Packaging International
ZGPS	Grain Processing Corporation
ZGUV	GUNVOR USA LLC
ZHCQ	Heritage-Crystal Clean, Llc
ZHGQ	Hub Group, Inc.
ZHSN	Hamburg Sud North America
ZHUE	Husky Energy, Inc.
ZHWR	Highline Warren
ZHWS	Hiram Walker & Sons, Inc.
ZHYC	Hydrite Chemical Co.
ZIBS	International Bulk Services
ZICN	IMTT–Illinois LLC.
ZIMA	Interplastic Corporation
ZIMO	Imperial Oil Limited
ZIMT	International Matex Tank Terminals
ZIMTB	IMTT Bayonne
ZING	Ingevity Corporation
ZINTT	International Matex Tank Terminals
ZIP	International Paper Company
ZIPI	Ineos Phenol, Inc.
ZISG	Ice Service Group Inc.
ZITF	Itafos Conda LLC
ZITP	Interdom Partners, Ltd.
ZITT	Intercontinental Terminals Company
ZIVE	Indorama Ventures
ZIVS	INV Management Services, LLC
ZIVX	Indorama Ventures Xylenes & PTA LLC
ZIWI	International Waxes, Inc.
ZJRS	J. R. Simplot Company
ZKDM	Kinder Morgan Energy Partners, L.P.
ZKDR	KILDAIR SERVICE ULC
ZKEM	Kemira Water Solutions
ZKEN	Kennecott Corp.

ZKER	KAAPA Ethanol-Ravenna
ZKFC	Koch Fertilizer
ZKGL	Kag Logistics Transload Services
ZKING	Kingsford Manufacturing Company
ZKKC	Kik Custom Products, Inc.
ZKLG	Kleysen Group Ltd.
ZKLT	Kelterite Corporation
ZKMB	Kinder Morgan Bulk Terminals, Inc.
ZKMP	Kinder Morgan Galena Park West LLC
ZKMQ	Kinder Morgan
ZKMTC	Kitchenman Terminal Company
ZKMV	Kinder Morgan Virginia Liquids Terminals, LLC
ZKNN	Kenan Transport
ZKOR	Kern Oil And Refining Company
ZKPI	Koppers Inc.
ZKRA	Kraton Corporation
ZKRM	Kiros Energy Marketing
ZKUG	Kugler Company
ZKUSA	Kost Usa, Inc.
ZKVE	Kiva Energy Inc.
ZKWS	Kemira Water Solutions
ZKYE	Keyera Corp.
ZLAN	Lanxess Inc.
ZLDE	Lyondell Chemical Company
ZLDR	Louis Dreyfus Company Llc
ZLHT	Lucknow-Highspire Terminals Llc`
ZLOW	Lowe's
ZLSW	Lake Superior Warehousing
ZLWP	Lonewolf Petroleum Company
ZLXT	Luxemborg Trading LLC
ZMEZ	Midstream Energy Partners
ZMFQ	Mosaic Fertilizer Llc
ZMG	Zep-Mgf/Acuity Spec Prod
ZMIF	Midwest Industrial Fuels, Inc.
ZMIO	Imperial Oil Limited
ZMLP	Millennia Productions
ZMNP	Marathon Petroleum Company
ZMNZ	Meser North America, Inc.
ZMTT	Midwest Terminals Of Toledo International, Inc.
ZMUN	The Mundy Company
ZMUSK	Musket Corporation
ZMWH	Markwest Hydrocarbon
ZNDM	Domtar Paper Company LLC
ZNFI	Nfi Industries
ZNFZ	Norman, Fox & Company
ZNORA	Noranda Aluminum Inc.

ZNOS	NorFalco, Inc.
ZNSZ	Nouryon Surface Chemistry Llc
ZNTB	NS Thoroughbred Bulk Transfer Facility
ZNTN	Nutrien
ZNXE	Nexeo Solutions Llc
ZNYN	Nouryon
ZOCC	Occidental Chemical Corporation
ZOCR	One Cor Transloading
ZOEE	One Earth Energy, Llc
ZOKH	Oneok Hydrocarbon, L.P.
ZOLI	Olin Corporation
ZOOL	Oocl
ZOTER	Odfjell Terminals
ZPBB	Poet Biorefining-Big Stone
ZPBN	Poet Biorefining-North Manchester
ZPCSS	PCS Sales (USA), Inc.
ZPG	The Procter & Gamble Company
ZPGQ	Georgia Pacific Corp.
ZPOB	Poet Biorefining-Bingham Lake
ZPSC	Petroleum Service Corporation
ZPVC	PVS Chemical Solutions Inc
ZQCO	Quad County Corn Processors
ZRAY	Rayonier Advanced Materials, Inc.
ZRFC	Superior Refining Company
ZRNW	Rail Renewables, Llc
ZRPM	Renewable Product Marketing Group, Llc
ZRRQ	Road & Rail Services, Inc.
ZRSH	Rsi Logistics, Inc.
ZRSNL	Resinall Corp.
ZRSO	Rail Solutions Llc
ZRUH	RussTech
ZRVI	Servichem, Inc.
ZSAB	SABIC Innovative Plastics US LLC
ZSASN	Sasol Chemicals North America
ZSAV	Savage Services Corporation
ZSEU	Suncor Energy (U.S.A.) Inc.
ZSHL	Shell Canada Products
ZSRE	Suncor Energy Products, Inc.
ZSSCO	Savage Service Corporation
ZSTQ	Stepan Company
ZSWR	Holly Frontier/HF Sinclair
ZTAM	Taminco US, Inc.
ZTGT	Targa Transportation LLC
ZTLY	Tate & Lyle Ingredients Americas, Inc.
ZTMS	Targa Transport LLC
ZTRG	Toledo Refining Company LLC

ZTSS	Tessengerlo Kerley, Inc.
ZTTS	Trimac Transportation Services, Inc.
ZUEC	EQ Detroit, Inc.
ZUHC	USRL Hudson CO LLC
ZUNIV	Univar Solutions Inc.
ZUSA	Airgas USA
ZUSN	US Nitrogen LLC
ZVALE	Valero Energy Corp.
ZVALM	Valero Marketing And Supply Company
ZVCP	Vantage Corn Processors LLC
ZVTD	Valero Terminaling And Distribution Company
ZVTZ	Vopak Terminal Deer Park
ZWAO	Watco Terminal And Port Services
ZWATC	Watco Companies LLC
ZWBZ	Wiebe Transport
ZWCR	WESTERN CAROLINA TERMINAL SERVICE, LLC
ZWID	Western Industrial Resources Corporation
ZWLC	Westlake Corporation
ZWOC	Whitaker Oil Company
ZWRG	W.R. Grace & Company-Conn.
ZWTN	Watco Transloading, LLC
ZXCP	CRESCENT POINT ENERGY
ZXCR	Cando Rail & Terminals
ZXSS	Sterling Specialty Chemicals, LLC
ZYCC	Cornerstone Construction Material LLC
ZZAU	Auto-Chlor System
ZZEM	Exxon Mobil Corporation
ZZGT	G2O Technologies
ZZHF	HF SINCLAIR RENEWABLES MARKETING LLC
ZZPA	Poet Biorefining – Arthur