

**Federal
Railroad
Administration**

**Fiscal Year 2014
Enforcement Report**

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Federal Railroad Administration Fiscal Year 2014 Enforcement Report

I. INTRODUCTION

For several decades, the Federal Railroad Administration (FRA) has compiled an annual civil penalty report that summarized the disposition of all instances in which FRA settled a claim for a civil penalty for violations of Federal railroad safety and hazardous materials (hazmat) statutes, regulations, and orders or in which FRA otherwise closed a case to collect a civil penalty for such a violation.¹ As authorized by law, FRA endeavors to enter into negotiated settlements with railroads and other entities subject to its safety jurisdiction, in order to reach agreement on the resolution of claims for civil penalties imposed for failures to comply with specific requirements designed to promote and ensure the safety of the Nation's freight and passenger railroad operations.² Also, as authorized by law, FRA issues orders assessing civil penalties for violations of the hazardous materials statutes, regulations, and orders.³

In April 2010, FRA increased the amount of information readily available about the agency's safety enforcement activities and also increased the accessibility of this information to interested parties by posting its first expanded enforcement report pursuant to 49 U.S.C. § 20120 on FRA's Web site (<http://www.fra.dot.gov>).⁴ FRA intends to make this type of safety enforcement information available each year by December 31 for the preceding fiscal year (FY), October 1 through September 30.

The following information is included in this year's report, which focuses on activity during FY 2014:

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

¹ See primarily title 49 of the United States Code, chapters 201-213 and 51, respectively (49 U.S.C. ch. 201-213 and 51, respectively); title 49 of the Code of Federal Regulations (C.F.R.), subtitle B, chapter II (parts 209-244, 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. 213, and 31 U.S.C. § 3711.

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

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

II. SUMMARY OF INSPECTIONS AND AUDITS PERFORMED AND OF ENFORCEMENT ACTIONS RECOMMENDED IN FY 2014

A. RAILROAD SAFETY AND HAZMAT COMPLIANCE INSPECTIONS AND AUDITS

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

Number of Inspection Reports:	71,367
Defects:	275,893
Units:	3,202,936
Number of Observations:	295,779
Number of Reports with a Recommended Violation:	3,996
Number of Recommended Violation Defects:	8,955
Number of Inspection Days:	54,153

2. Railroads Only

Number of Inspection Reports:	66,158
Defects:	261,7902
Units:	3,135,874
Number of Observations:	279,939
Number of Reports with a Recommended Violation:	3,353
Number of Recommended Violation Defects:	7,282
Number of Inspection Days:	51,501

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 Reports Regulations	153

2. Grade Crossing Signal System Safety

Violation Type	Number of Recommended Violations
Grade Crossing Signal Safety	240

3. Hazardous Materials

Violation Type	Number of Recommended Violations
Hazardous Materials Regulations	2,046

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	498
Locomotive Safety Standards	462
Passenger Equipment Safety Standards	57
Passenger Train Emergency Preparedness	1
Rear End Marking Devices	2
Safety Appliance Statutes and Regulations	1,453
Safety Glazing Standards	2
Steam Locomotive Inspection and Maintenance	0
All	2,475

6. Railroad Operating Practices

Violation Type	Number of Recommended Violations
Alcohol and Drug Use	102
Conductor Qualifications	20
Engineer Qualifications	47
FRA Emergency Order 24/26	10
Hours of Service Laws and Regulations	756
Railroad Communications	52
Railroad Operating Practices	549
Railroad Operating Rules	67
Railroad Safety Enforcement Procedures	29
Train Horn/Quiet Zone	5
All	1,637

7. Signal and Train Control

Violation Type	Number of Recommended Violations
Signal Inspection Regulations	176

8. Track

Violation Type	Number of Recommended Violations
Bridge Worker Safety Standards	10
Roadway Worker Protection	129
Track Safety Standards	2,101
All	2,240

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

1. Class I Railroads

Number of Inspection Reports:	47,836
Defects:	189,992
Units:	2,528,358
Number of Observations:	206,998
Number of Reports with a Recommended Violation:	2,587
Number of Recommended Violation Defects:	5,279
Number of Inspection Days: ⁵	38,290

⁵ The total number of inspection days for Class I Railroads in II.C.1 of this report is less than the sum of all of the individual Class I railroads' inspection days cited in II.D.1-8 of this report. This difference is 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 probable Class II and probable Class III railroads.

2. Probable Class II Railroads⁶

Number of Inspection Reports:	2,138
Defects:	10,441
Units:	136,283
Number of Observations:	9,306
Number of Reports with a Recommended Violation:	61
Number of Recommended Violation Defects:	107
Number of Inspection Days:	1,810

3. Probable Class III Railroads

Number of Inspection Reports:	16,184
Defects:	61,357
Units:	471,233
Number of Observations:	63,635
Number of Reports with a Recommended Violation:	705
Number of Recommended Violation Defects:	1,896
Number of Inspection Days:	13,313

⁶ FRA has identified seven of the eight Class I railroads based on their filings of information for calendar year 2013—the latest year available—(regarding their annual operating revenues) with the Surface Transportation Board (STB). See STB Web site (<http://www.stb.dot.gov>) under “All Economic Data” and then “Annual Report Financial Data.” FRA has identified the eighth Class I railroad, the National Railroad Passenger Corp. (Amtrak) based on FRA research into other data. 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.). Generally, Class II and III railroads are not required to report their annual operating revenues; therefore, FRA has identified probable Class II railroads and probable Class III railroads based on its research of railroad revenues, which does not cover commuter railroads. FRA concludes that the following railroads are probably Class II railroads: Alaska Railroad Corp.; Buffalo & Pittsburgh Railroad, Inc.; Florida East Coast Railway Co.; Iowa Interstate Railroad, Ltd.; Montana Rail Link; Paducah & Louisville Railway Co.; Portland & Western Railroad, Inc.; Springfield Terminal Railway Co. and other regional railroads (including Boston & Maine Corp., Maine Central Railroad Co., Pan Am Southern LLC, and Portland Terminal Co.) (*all held by Pan Am Railways, Inc.*); Wheeling & Lake Erie Railway Co.; and Wisconsin & Southern Railroad Co. Note that switching and terminal railroads are, by definition, Class III railroads, without regard to their annual operating revenues. 49 C.F.R. § 1201.1-1(d).

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

1. BNSF Railway Company

Number of Inspection Reports:	9,909
Defects:	39,524
Units:	498,067
Number of Observations:	41,662
Number of Reports with a Recommended Violation:	718
Number of Recommended Violation Defects:	1,631
Number of Inspection Days:	8,322

2. Canadian National Railway/Grand Trunk Corporation

Number of Inspection Reports:	2,581
Defects:	9,725
Units:	153,829
Number of Observations:	11,135
Number of Reports with a Recommended Violation:	134
Number of Recommended Violation Defects:	480
Number of Inspection Days:	2,189

3. Canadian Pacific Railway/Soo Line Railroad Company

Number of Inspection Reports:	1,459
Defects:	6,450
Units:	119,962
Number of Observations:	6,688
Number of Reports with a Recommended Violation:	113
Number of Recommended Violation Defects:	402
Number of Inspection Days:	1,248

4. CSX Transportation, Inc.

Number of Inspection Reports:	10,862
Defects:	46,610
Units:	592,381
Number of Observations:	48,731
Number of Reports with a Recommended Violation:	430
Number of Recommended Violation Defects:	752
Number of Inspection Days:	9,022

5. The Kansas City Southern Railway Company

Number of Inspection Reports:	1,294
Defects:	6,884
Units:	79,475
Number of Observations:	5,774
Number of Reports with a Recommended Violation:	68
Number of Recommended Violation Defects:	95
Number of Inspection Days:	1,104

6. National Railroad Passenger Corporation (Amtrak)

Number of Inspection Reports:	1,502
Defects:	2,076
Units:	18,878
Number of Observations:	5,978
Number of Reports with a Recommended Violation:	38
Number of Recommended Violation Defects:	58
Number of Inspection Days:	1,261

7. Norfolk Southern Railway Company

Number of Inspection Reports:	7,941
Defects:	33,674
Units:	475,321
Number of Observations:	35,413
Number of Reports with a Recommended Violation:	281
Number of Recommended Violation Defects:	546
Number of Inspection Days:	6,736

8. Union Pacific Railroad Company

Number of Inspection Reports:	12,288
Defects:	45,049
Units:	590,445
Number of Observations:	51,617
Number of Reports with a Recommended Violation:	805
Number of Recommended Violation Defects:	1,315
Number of Inspection Days:	10,215

III. SUMMARIES OF CIVIL PENALTY INITIAL ASSESSMENTS, SETTLEMENTS, AND FINAL ASSESSMENTS IN FY 2014

A. IN GENERAL⁷

Summary 1

Summary 1, below, reflects—

- The number of violations for which FRA initially assessed, and transmitted civil penalty citations to respondents (under demand letters or, in cases under the hazmat laws, notices of probable violation) during FY 2014;
- The number of violation reports that FRA declined to enforce after legal review in FY 2014;
- The initial amount of civil penalties assessed for violations during FY 2014 (i.e., the amount of the civil penalty specified in FRA’s demand letter or, for hazmat cases, a notice of probable violation that was dated sometime in FY 2014 and transmitted to a respondent) regardless of whether FRA closed the cases during FY 2014;
- The initial amount of the civil penalties assessed (which is the “potential collectible amount” or “POCA,” as listed in FRA’s traditional civil penalty report in Attachment A) in all cases FRA settled or otherwise closed (e.g., by FRA’s issuance of an order assessing a civil penalty in a hazmat case or by the respondent’s paying of the civil penalty in full without entering into a settlement agreement with FRA) during FY 2014; and
- The final amount of the settlement (or the final amount of the civil penalties assessed) during FY 2014.⁸

Summary 1 provides a broad overview of penalties initially assessed during FY 2014, the initial penalty assessment for cases closed during FY 2014, and the amount of the settlement or the final assessment of civil penalty, with an emphasis on the initial assessment of civil penalties. FRA has transitioned to a paperless enforcement system for most of the major railroads and under that system, in order to enhance the readability of the cases on the computer screen, a case includes only one violation report, and not multiple reports as in the past.

Summary 2

To provide more transparency, Summary 2, below, reflects initial assessment information only for those cases closed during FY 2014. **All numbers in Summary 2 reflect the initial assessments that resulted in FY 2014 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

⁷ The grand totals exclude civil penalties against individuals, which are addressed at IV.A. of this report.

⁸ If the settlement amount for a case includes part of a dollar, the settlement amount for the case is rounded to the nearest whole dollar in this report.

assessment) amount, and (2) the difference between the revised assessment amount (or what Attachment A describes as the “provable collectible amount” or “PRCA”) and the final assessment or settlement amount.

Caveat: The number of violation reports contained in a single hard copy case ranges from one to five or more, depending on a number of factors, and a single report may allege one or more violations. The number of cases with civil penalties initially assessed or settled (or finally assessed) during a specific period does not provide a platform for realistic comparison, although FRA provides the information, as required by the statute, in Assessment and Summary 2. The number of violations provides a better opportunity for standardized review and comparison than does the number of cases.

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

Total number of cases with civil penalties initially assessed in FY 2014:	3,504
Total number of violations with civil penalties initially assessed in FY 2014:	5,245
Total number of violation reports declined during legal review in FY 2014:	194
Total initial amount of civil penalties assessed (POCA) for violations in cases transmitted in FY 2014:	\$17,917,250
Total initial amount of civil penalties assessed (POCA) for violations in cases finally assessed or settled in FY 2014:	\$21,103,249
Total final civil penalty assessment or settlement in FY 2014:	\$13,467,735

C. BREAKDOWN OF INITIAL ASSESSMENTS IN SUMMARY 1

1. For Each Class I Railroad Individually in FY 2014

BNSF RAILWAY COMPANY

Number of cases with civil penalties initially assessed:	759
Number of violations with civil penalties initially assessed:	1,042
Number of violation reports declined during legal review:	77
Initial amount of civil penalty assessed:	\$3,784,500

CANADIAN NATIONAL RAILWAY/GRAND TRUNK CORPORATION

Number of cases with civil penalties initially assessed:	139
Number of violations with civil penalties initially assessed:	669
Number of violation reports declined during legal review:	1
Initial amount of civil penalty assessed:	\$997,000

CANADIAN PACIFIC RAILWAY/SOO LINE RAILROAD COMPANY

Number of cases with civil penalties initially assessed:	167
Number of violations with civil penalties initially assessed:	213
Number of violation reports declined during legal review:	4
Initial amount of civil penalty assessed:	\$689,000

CSX TRANSPORTATION, INC.

Number of cases with civil penalties initially assessed:	336
Number of violations with civil penalties initially assessed:	376
Number of violation reports declined during legal review:	9
Initial amount of civil penalty assessed:	\$1,390,500

THE KANSAS CITY SOUTHERN RAILWAY COMPANY

Number of cases with civil penalties initially assessed:	76
Number of violations with civil penalties initially assessed:	85
Number of violation reports declined during legal review:	12
Initial amount of civil penalty assessed:	\$329,000

NATIONAL RAILROAD PASSENGER CORPORATION (AMTRAK)

Number of cases with civil penalties initially assessed:	34
Number of violations with civil penalties initially assessed:	53
Number of violation reports declined during legal review:	2
Initial amount of civil penalty assessed:	\$147,000

NORFOLK SOUTHERN RAILWAY COMPANY

Number of cases with civil penalties initially assessed:	281
Number of violations with civil penalties initially assessed:	336
Number of violation reports declined during legal review:	62
Initial amount of civil penalty assessed:	\$1,161,500

UNION PACIFIC RAILROAD COMPANY

Number of cases with civil penalties initially assessed:	895
Number of violations with civil penalties initially assessed:	1,036
Number of violation reports declined during legal review:	7
Initial amount of civil penalty assessed:	\$3,705,000

2. For Probable Class II Railroads in the Aggregate in FY 2014

Number of cases with civil penalties initially assessed:	47
Number of violations with civil penalties initially assessed:	74
Number of violation reports declined during legal review:	1
Initial amount of civil penalty assessed:	\$291,000

3. For Probable Class III Railroads in the Aggregate in FY 2014⁹

Number of cases with civil penalties initially assessed:	385
Number of violations with civil penalties initially assessed:	645
Number of violation reports declined during legal review:	11
Initial amount of civil penalty assessed:	\$2,222,000

4. For Hazmat Shippers in the Aggregate in FY 2014

Number of cases with civil penalties initially assessed:	351
Number of violations with civil penalties initially assessed:	666
Number of violation reports declined during legal review:	7
Initial amount of civil penalty assessed:	\$2,985,750

5. For Contractors in the Aggregate in FY 2014

Number of cases with civil penalties initially assessed:	33
Number of violations with civil penalties initially assessed:	49
Number of violation reports declined during legal review:	1
Initial amount of civil penalty assessed:	\$212,500

⁹ FRA is aware that 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 2014” amount remains correct as FRA includes data from enforcement actions against regulated entities that are otherwise not subject to STB jurisdiction.

D. SUMMARY 2—MORE DETAILED SUMMARY OF SETTLEMENTS AND FINAL ASSESSMENTS OF CIVIL PENALTIES IN FY 2014

Total number of cases closed in FY 2014:	4,085
Total number of violations in cases closed in FY 2014:	5,550
Total initial amount of civil penalty assessed for cases closed (POCA):	\$21,103,249
Total final amount of civil penalty assessed or settlement for cases closed:	\$13,467,735
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$1,719,499
Amount of revised assessment after terminations (PRCA):	\$19,383,750
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$7,635,514
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$5,916,015

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

1. For Each Class I Railroad Individually in FY 2014

BNSF RAILWAY COMPANY

Number of cases closed:	708
Number of violations in cases closed:	960
Initial amount of civil penalty assessed for cases closed (POCA):	\$3,423,000
Final amount of civil penalty assessed or settlement for cases closed:	\$2,215,780
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$27,500
Amount of revised assessment after terminations (PRCA):	\$3,395,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$1,207,220
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$1,179,720

CANADIAN NATIONAL RAILWAY/GRAND TRUNK CORPORATION

Number of cases closed:	170
Number of violations in cases closed:	239
Initial amount of civil penalty assessed for cases closed (POCA):	\$715,500
Final amount of civil penalty assessed or settlement for cases closed:	\$468,785
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$21,000
Amount of revised assessment after terminations (PRCA):	\$694,000
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$246,215
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$225,215

CANADIAN PACIFIC RAILWAY/SOO LINE RAILROAD COMPANY

Number of cases closed:	99
Number of violations in cases closed:	111
Initial amount of civil penalty assessed for cases closed (POCA):	\$361,500
Final amount of civil penalty assessed or settlement for cases closed:	\$247,500
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$13,000
Amount of revised assessment after terminations (PRCA):	\$348,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$114,000
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$101,000

CSX TRANSPORTATION, INC.

Number of cases closed:	385
Number of violations in cases closed:	430
Initial amount of civil penalty assessed for cases closed (POCA):	\$1,561,000
Final amount of civil penalty assessed or settlement for cases closed:	\$1,011,390
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$43,000
Amount of revised assessment after terminations (PRCA):	\$1,518,000
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$549,610
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$506,610

THE KANSAS CITY SOUTHERN RAILWAY COMPANY

Number of cases closed:	58
Number of violations in cases closed:	77
Initial amount of civil penalty assessed for cases closed (POCA):	\$310,000
Final amount of civil penalty assessed or settlement for cases closed:	\$209,505
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$0
Amount of revised assessment after terminations (PRCA):	\$310,000
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$100,495
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$100,49

NATIONAL RAILROAD PASSENGER CORPORATION (AMTRAK)

Number of cases closed:	44
Number of violations in cases closed:	50
Initial amount of civil penalty assessed for cases closed (POCA):	\$141,000
Final amount of civil penalty assessed or settlement for cases closed:	\$98,350
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$0
Amount of revised assessment after terminations (PRCA):	\$141,000
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$42,650
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$42,650

NORFOLK SOUTHERN RAILWAY COMPANY

Number of cases closed:	339
Number of violations in cases closed:	382
Initial amount of civil penalty assessed for cases closed (POCA):	\$1,479,500
Final amount of civil penalty assessed or settlement for cases closed:	\$924,945
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$82,000
Amount of revised assessment after terminations (PRCA):	\$1,397,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$554,555
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$472,555

UNION PACIFIC RAILROAD COMPANY

Number of cases closed:	1,154
Number of violations in cases closed:	1,431
Initial amount of civil penalty assessed for cases closed (POCA):	\$5,122,000
Final amount of civil penalty assessed or settlement for cases closed:	\$3,467,980
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$164,500
Amount of revised assessment after terminations (PRCA):	\$4,957,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$1,654,020
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$1,489,520

2. For Probable Class II Railroads in the Aggregate in FY 2014

Number of cases closed:	113
Number of violations in cases closed:	196
Initial amount of civil penalty assessed for cases closed (POCA):	\$659,000
Final amount of civil penalty assessed or settlement for cases closed:	\$415,605
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$23,500
Amount of revised assessment after terminations (PRCA):	\$635,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$243,395
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$219,895

3. For Probable Class III Railroads in the Aggregate in FY 2014

Number of cases closed:	447
Number of violations in cases closed:	783
Initial amount of civil penalty assessed for cases closed (POCA):	\$2,961,000
Final amount of civil penalty assessed or settlement for cases closed:	\$1,788,625
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$332,500
Amount of revised assessment after terminations (PRCA):	\$2,628,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$1,172,375
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$839,875

4. For Hazmat Shippers in the Aggregate in FY 2014

Number of cases closed:	519
Number of violations in cases closed:	827
Initial amount of civil penalty assessed for cases closed (POCA):	\$4,121,749
Final amount of civil penalty assessed or settlement for cases closed:	\$2,481,050
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$951,999
Amount of revised assessment after terminations (PRCA):	\$3,169,750
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$1,640,699
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$688,700

5. For Contractors in the Aggregate in FY 2014

Number of cases closed:	45
Number of violations in cases closed:	59
Initial amount of civil penalty assessed for cases closed (POCA):	\$238,500
Final amount of civil penalty assessed or settlement for cases closed:	\$132,220
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$60,000
Amount of revised assessment after terminations (PRCA):	\$178,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$106,280
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$46,280

IV. ENFORCEMENT ACTIONS AGAINST INDIVIDUALS IN FY 2014

A. CIVIL PENALTY CASES AGAINST INDIVIDUALS IN THE AGGREGATE

Total number of civil penalty cases initially assessed in FY 2014:	0
Total number of violations with civil penalties initially assessed in FY 2014:	0
Total initial amount of civil penalty assessed in FY 2014:	\$0
Number of civil penalty cases closed in FY 2014:	1
Total number of violations in cases closed in FY 2014:	1
Total initial amount of civil penalty assessed for cases closed in FY 2014:	\$2,500
Total final amount of civil penalty assessed (or settlement) for cases closed in FY 2014:	\$950
Amount terminated (generally due to legal defenses presented during settlement negotiations) for cases closed in FY 2014:	\$0
Amount of revised assessment (PRCA) after terminations:	\$2,500
Difference between revised civil penalty assessment (PRCA) and final civil penalty assessment for cases closed in FY 2014:	\$1,550
Difference between initial amount of civil penalty assessed (POCA) and final settlement amount for a violation in a case closed in FY 2014:	\$1,550

B. OTHER ENFORCEMENT ACTIONS AGAINST INDIVIDUALS IN THE AGGREGATE

Number of notices of proposed disqualification issued and served in FY 2014:	0
Number of proposed disqualification cases closed in FY 2014:	0 ¹⁰
Number of warning letters issued by Office of Chief Counsel in FY 2014:	1
Number of warning letters issued by regional offices of FRA Office of Railroad Safety (regional warning letters) in FY 2014:	28

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

FRA attached to its first report under 49 U.S.C. § 20120 a July 15, 2009, statutorily mandated report to FRA entitled, “The Federal Railroad Administration’s Use of Civil Penalties in the Federal Railroad Safety Program.” FRA references this report here because it addresses FRA’s approach to achieving industry compliance with the Federal railroad safety laws and the hazmat safety laws and their implementing regulations and the place of civil penalties in that process. FRA submitted a copy of this report, with the agency’s comments, to Congress on July 16, 2009, in response to a Congressional mandate that FRA hire an independent consultant to evaluate FRA’s use of penalties as an enforcement mechanism. The independent consultant’s report concludes on page 13 that—

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

FRA’s exercise of the statutory authority to compromise civil penalty assessments serves the purpose of encouraging compliance by ensuring that the enforcement process is proportional in those cases [in which FRA assesses penalties]. [Using]

¹⁰ But see footnote 15 below.

the enforcement hand, seen (as in the case of civil penalty assessments) or unseen (as during FRA inspectors' daily interactions with railroad personnel regarding safety issues), as consistently as possible across the railroad industry . . . results in a rational, effective safety program.

As the independent consultant pointed out in that report, the agency has long sought to ascertain whether safety enforcement measures, in general, measurably correlate with the imposition of civil penalties in particular with specific safety performance improvements. Previously, FRA has found that the available data permit some measurement of safety improvements in a functional area covered by an entire rule or an entire safety program. However, the data does not allow for FRA to determine whether detectable safety improvements are directly attributable to discrete civil penalties. Accordingly, FRA relies heavily upon the knowledge and expertise of its field inspectors who are most familiar with the unique attributes of specific railroad operations, geographic territories, facilities, and safety practices. Subjectively, their nuanced perceptions and judgments indicate that the levying of civil penalties does yield observable improvements in safety practices and compliance with the law. It is important to note that civil penalties are by no means FRA's only enforcement tool.

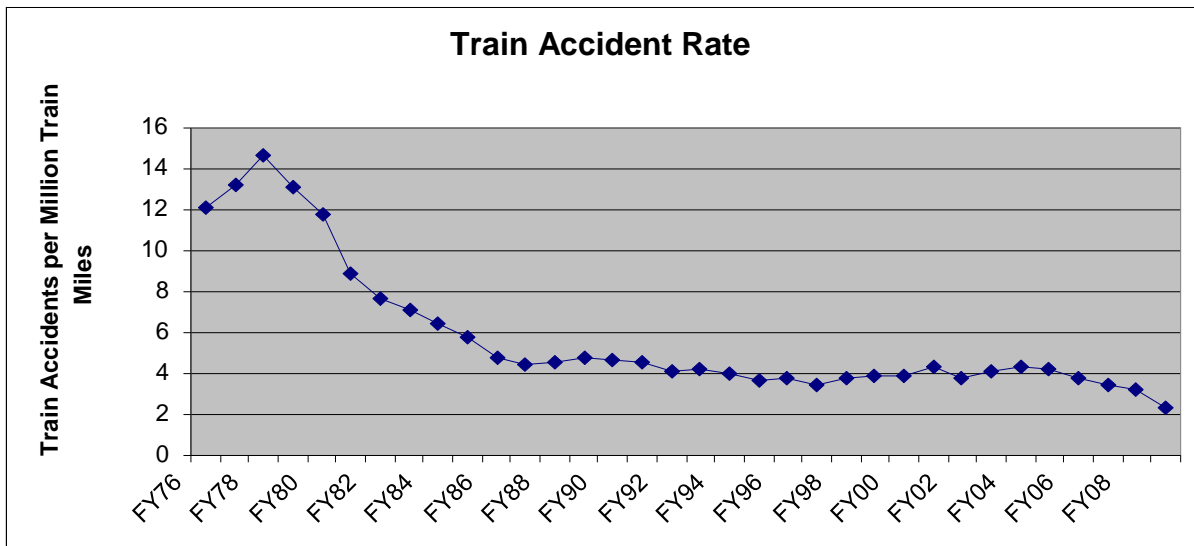
Thus, while FRA cannot precisely quantify the impact of civil penalties, the agency does carefully monitor railroad reactions and responses to enforcement activity, and then adjust the intensity and duration of focused oversight as necessary. FRA does compile and analyze a vast amount of data derived from reports the regulated railroads prepare and then file with FRA. The report to Congress found that data FRA used to identify and track safety trends are typically developed separately from regulatory provisions that ameliorate the conditions that lead to particular accident causes and that have civil penalties associated with them. Results of this research have found no meaningful correlation between specific cause codes and use of a civil penalty to enforce a specific regulatory provision, making statistically valid and reliable comparisons exceedingly difficult and scientifically suspect or perilous.

In addition, examining FRA's civil penalty enforcement in a vacuum, not considering the numerous other factors influencing positive safety outcomes, such as railroad management and individual rail worker behavior and activity, is not possible. One must consider FRA's regulatory regime as a whole instead of as its component parts. Specific regulatory provisions can, at times, complement one another in minimizing or preventing conditions that contribute to an accident. But the complexity of the regulatory scheme may conceal the magnitude of any one regulatory provision's contribution to the positive safety outcome.

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

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

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



VI. SUMMARY AND ANALYSIS OF OPERATING CREW CERTIFICATION CASES¹¹

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

Petitions for relief filed with the LERB/OCRB in FY 2014: 94
 [38 Conductor + 56 Locomotive Engineer]

¹¹ FRA has a single body that reviews railroad decisions under 49 C.F.R. parts 240 and 242 for locomotive engineers and conductors, which has two different facets operating under two different names depending on the type of case. Currently the “Locomotive Engineer Review Board” (LERB) reviews petitions for initial review of railroad decisions to deny or revoke certifications concerning only locomotive engineers, while the “Operating Crew Review Board” (OCRB) reviews petitions for initial review of railroad decisions to deny or revoke certifications concerning only conductors. FRA intends to merge the two review boards so that both crew members will have their petitions reviewed solely by the OCRB, and thus intends to sunset the name “Locomotive Engineer Review Board.”

Decisions issued by the LERB/OCRB in FY 2014:
[35 Conductor + 47 Locomotive Engineer] 82

Average length of time for decision in FY 2014: 187 days from the date petition filed¹²
(117 days from the date of the railroad's
response to the appeal to the date that a
decision was issued¹³)

B. ADMINISTRATIVE HEARINGS

Number of pending cases before the
Administrative Hearing Officer (AHO) as of October 1, 2013: 2

Number of requests for review
by the AHO received during FY 2014: 4

Number of cases closed by the AHO during FY 2014:¹⁴ 2

Number of pending AHO cases as of October 1, 2014: 4

Average length of time for decision or other disposition: 6 months

C. APPEALS TO THE ADMINISTRATOR

Appeals to the Administrator from the AHO decisions filed in FY 2014: 2

Number of Appeals Pending during FY 2014: 2
(as of October 1, 2013, there were 0 cases pending)

Decisions issued by the Administrator during FY 2014: 2

Average length of time for decision issued in FY 2014:
(from close of record to decision) 133.5 (calendar days)

¹² This excludes any delay caused by the issuance of an interim order where one or more of the parties initially provided incomplete information.

¹³ Id.

¹⁴ This number of cases closed by the AHO includes cases closed by decision, stipulation, or dismissal.

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

Number of hearings requested in FY 2014: 0

Number of hearing-request cases completed in FY 2014: 1¹⁵

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 2014: 0

Number of cases referred to the Attorney General for criminal enforcement in FY 2014: 0

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

Emergency Order 29

In response to Metro-North Commuter Railroad Company's (Metro-North) fatal, overspeed derailment in Spuyten Duyvil, New York on December 1, 2013, FRA issued Emergency Order (EO) 29 on December 6, 2013. 78 Fed. Reg. 75442 (Dec. 11, 2013). EO 29 required that Metro-North take immediate steps to ensure its train crews do not exceed the company's speed limitations. Additionally, the EO required Metro-North to operate trains with two qualified train crew members in the cab of the controlling locomotive or in the passenger car control compartment at the locations where speed limits change by 20 miles per hour or more until the signal work at these locations is complete. Further, the EO required the railroad to submit to FRA for approval an Action Plan that ensures the safety of its operations for passengers and employees.

As a follow up to this EO, FRA launched Operation Deep Dive, an intensive 60-day comprehensive safety assessment of Metro-North. The assessment found that Metro-North's management emphasized on-time performance to the detriment of safe operations and adequate maintenance of its infrastructure, resulting in a deficient safety culture, increased risk, and reduced safety on the Metro-North system. Based on the results of the assessment, FRA required Metro-North to submit plans to FRA within 60 days on how it will improve the effectiveness of its Safety Department and training programs.

¹⁵ This number of hearing-request cases completed in FY 2014 reflects a disqualification case, FRA No. DISQUAL 2010-1, which was decided by the AHO in FY 2014 but was subsequently appealed in FY 2014, and remanded on a single issue in FY 2015. The case is currently pending before the AHO on remand.

Norfolk Southern Railway Company Compliance Agreement

On October 3, 2012, FRA entered into a Compliance Agreement (Agreement) with Norfolk Southern Railway Company (NS) addressing NS's failure to report highway-rail grade crossing accidents/incidents, highway-user casualties, and trespasser casualties properly. The Agreement covered a two-year period with the option to extend the Agreement subject to NS's performance. FRA identified these issues during its statutorily mandated 2012 audit of NS's compliance with FRA's accident/incident reporting regulations (49 C.F.R. part 225) and secondary audit that same year. The Agreement required NS to (1) late-report all of the unreported highway-rail grade crossing accidents/incidents, highway-user casualties, and trespasser casualties identified by the audit team; (2) correct any previously submitted reports identified by FRA as defective; and (3) provide a more detailed Action Plan subject to FRA's review and approval within 60 days, establishing the specific steps that NS would take to resolve the identified reporting issues along with a timeframe for the implementation of the changes. Further the agreement required, following FRA's approval of the Action Plan, that NS submit monthly updates to FRA addressing the actions it had taken. FRA had on-going discussions with NS senior management regarding its corrective actions and any new issues that arose (such as properly identifying the longitude and latitude on certain forms). Based upon its performance and subsequent audit findings, FRA opted not to extend the Agreement, which concluded in October 2014.

APPENDIX A
“Railroad Safety Civil Penalty Cases Closed during Fiscal Year 2014”



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

**RAILROAD SAFETY CIVIL PENALTY CASES
CLOSED DURING FISCAL YEAR 2014**

This report summarizes the disposition of all civil penalty cases on which the Federal Railroad Administration (FRA) reached an agreement to collect, or issued an order requiring the payment of, a civil penalty during fiscal year 2014 under the Federal railroad safety statutes and regulations or in which FRA otherwise closed such a civil penalty case during fiscal year 2014. Cases were closed under most of these statutes by agreements of settlement, and under the hazardous materials transportation laws (HMT) generally by final orders of assessment. Total penalty settlements and final assessments against companies, summarized in this report, were as follows:

Railroad safety statutes (except HMT)	\$10,300,530
HMT	\$ 3,167,205
Total Civil Penalties	<u>\$13,467,735</u>

FRA collected \$950 in civil penalty settlements or final assessments from individuals for alleged violations of the railroad safety laws.

The Federal Railroad Safety Statutes and Regulations

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

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

The Civil Penalty Process

To promote safety compliance, inspectors employed by FRA and participating States submit reports alleging violations of Federal safety laws and regulations to the Safety Law Division of the Office of Chief Counsel. This Division reviews the reports for legal sufficiency, aggregates those of one type containing one or more alleged violations into a single case, assesses a penalty for each alleged violation, and transmits the case to the railroad, shipper, individual, or other entity under 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 decides to simply pay the full amount of the initial assessment, negotiations are held, during which the respondent presents defenses or arguments in 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 is included in 49 CFR Part 209, Appendix A. Where settlement cannot be reached, cases are referred to the Department of Justice for litigation. The Attorney General, with FRA's active participation, brings suit in the appropriate Federal court.

HMT cases are normally concluded by issuance of an order of assessment predicated on a finding of a knowing violation. Where an HMT case cannot be resolved informally, a respondent is entitled to a formal hearing on FRA's allegations before a hearing officer designated by the Chief Counsel and then to an appeal to the Administrator of FRA prior to judicial litigation.

FRA ordinarily closes the vast majority of its civil penalty cases without need for litigation, which is 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.

A handwritten signature in black ink, appearing to read "Thomas J. Herrmann", with a long horizontal line extending to the right.

Thomas J. Herrmann
Assistant Chief Counsel for Safety

Abbreviations Used in this Report

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

AD	Alcohol and Drug Use
AR	Accident Reports Regulations
CC	Conductor Certification Regulations
EO	FRA Emergency Order
EP	Railroad Safety Enforcement
EQ	Engineer Qualifications
FCS	Freight Car Safety Standards
GC	Grade Crossing Signal Safety
GS	Safety Glazing Standards
HMT	Hazardous Materials Regulations
HS	Hours of Service Laws
HSR	Hours of Service Record Keeping
LI	Locomotive Safety Standards
PEP	Passenger Train Emergency Preparedness
PEQ	Passenger Equipment Safety Standards
REM	Rear End Marking Devices
RMM	Roadway Maintenance Machines
ROP	Railroad Operating Practices
ROR	Railroad Operating Rules
RSP	Railroad Communications
RW	Roadway Worker Protection
SA	Safety Appliance Statutes
SI	Signal Inspection Regulations
TH	TRAIN HORN/QUIET ZONE
TS	Track Safety Standards

Railroads and other respondents are identified 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. ". Hazardous materials and emergency order cases involving shippers are identified by a respondent code beginning with the letter "Z". Cases involving contractors are identified 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 on which FRA concluded it would probably be able to sustain its burden of proof if the case were litigated. PRCA is equal to POCA, therefore, except in two situations. First, if FRA concluded that one or more of the violations initially alleged could likely not be sustained, such violations are considered terminated. Second, if FRA decided that the violation could be sustained but that the initial penalty assessment for the violation was incorrect, the penalty amount is corrected, and the violation is described as "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 2014**

<u>FRA No.</u>	<u>Initial Penalty Demanded</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>
INDPEN 2011-1	\$2,500	\$950	10/03/2013
Total	\$2,500	\$950	

Federal Railroad Administration
Safety Cases Closed in FY 2014

<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
ABWR 2013-1(AR)	1	\$2,500	\$2,500	\$1,250	09/29/2014	
ADBF 2013-1(AD)	2	\$5,000	\$5,000	\$1,300	02/04/2014	
AGCR 2014-1(AD)	1	\$2,500	\$2,500	\$2,500	07/31/2014	
AGR 2013-1(SA)	4	\$15,000	\$15,000	\$10,500	09/30/2014	
AKMD 2012-1(SA)	1	\$5,000	\$5,000	\$2,300	01/14/2014	
ALM 2013-1(RSP)	2	\$19,000	\$19,000	\$12,350	09/30/2014	
ALS 2013-6(SA)	1	\$2,500	\$2,500	\$2,500	01/06/2014	
ALS 2013-7(FCS)	1	\$5,000	\$5,000	\$5,000	01/27/2014	
ALS 2014-1(SA)	1	\$2,500	\$2,500	\$2,500	05/19/2014	
ALS 2014-2(SA)	1	\$5,000	\$5,000	\$3,800	09/23/2014	
AM 2014-1(SA)	2	\$7,500	\$7,500	\$5,250	09/03/2014	
AM 2014-2(ROP)	1	\$7,500	\$7,500	\$5,250	09/03/2014	
ARR 2012-9(HSR)	10	\$10,000	\$3,000	\$2,010	01/28/2014	Terminated Violation(s): 4-10.
ARR 2012-10(HS)	2	\$2,000	\$2,000	\$1,320	01/28/2014	
ARR 2012-11(HS)	1	\$1,000	\$1,000	\$650	01/28/2014	
ARR 2013-1(TS)	1	\$1,000	\$1,000	\$650	06/24/2014	
ARR 2013-2(TS)	1	\$2,500	\$2,500	\$1,625	06/24/2014	
ATK 2011-40(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2014	
ATK 2011-49(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2014	
ATK 2011-79(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2014	
ATK 2011-107(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2014	
ATK 2011-108(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2014	
ATK 2011-115(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2014	
ATK 2013-15(HSR)	2	\$2,000	\$2,000	\$1,500	08/28/2014	
ATK 2013-17(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2014	
ATK 2013-18(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2014	
ATK 2013-19(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2014	
ATK 2013-20(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2014	
ATK 2013-21(SI)	1	\$5,000	\$5,000	\$3,400	08/28/2014	
ATK 2013-22(RSP)	1	\$9,500	\$9,500	\$6,555	08/28/2014	
ATK 2013-23(PEQ)	3	\$3,000	\$3,000	\$2,160	08/28/2014	
ATK 2013-24(SI)	2	\$5,000	\$5,000	\$3,400	08/28/2014	
ATK 2013-25(PEQ)	1	\$2,500	\$2,500	\$1,800	08/28/2014	
ATK 2013-27(AR)	1	\$1,000	\$1,000	\$750	08/28/2014	
ATK 2013-28(TS)	1	\$1,000	\$1,000	\$750	08/28/2014	
ATK 2013-29(ROP)	1	\$2,000	\$2,000	\$1,420	08/28/2014	
ATK 2013-30(PEQ)	1	\$2,500	\$2,500	\$1,800	08/28/2014	
ATK 2013-31(ROP)	1	\$9,500	\$9,500	\$6,555	08/28/2014	
ATK 2013-32(PEQ)	1	\$5,000	\$5,000	\$3,700	08/28/2014	
ATK 2013-33(HSR)	1	\$1,000	\$1,000	\$700	08/28/2014	
ATK 2013-34(HSR)	1	\$1,000	\$1,000	\$700	08/28/2014	
ATK 2013-35(HSR)	1	\$1,000	\$1,000	\$700	08/28/2014	
ATK 2013-36(PEQ)	1	\$2,500	\$2,500	\$1,675	08/28/2014	
ATK 2013-37(PEQ)	1	\$2,500	\$2,500	\$1,675	08/28/2014	
ATK 2013-38(PEQ)	1	\$2,500	\$2,500	\$1,675	08/28/2014	
ATK 2013-39(PEQ)	1	\$2,500	\$2,500	\$1,675	08/28/2014	
ATK 2013-40(PEQ)	1	\$2,500	\$2,500	\$1,675	08/28/2014	
ATK 2013-41(PEQ)	1	\$2,500	\$2,500	\$1,675	08/28/2014	
ATK 2013-42(TS)	1	\$5,000	\$5,000	\$3,650	08/28/2014	

Federal Railroad Administration
Safety Cases Closed in FY 2014

<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
ATK 2013-43(RSP)	1	\$2,500	\$2,500	\$1,800	08/28/2014	
ATK 2013-44(ROP)	1	\$7,500	\$7,500	\$5,025	08/28/2014	
ATK 2013-45(RW)	1	\$1,000	\$1,000	\$700	08/28/2014	
ATK 2013-46(RW)	1	\$5,000	\$5,000	\$3,600	08/28/2014	
ATK 2013-47(LI)	1	\$2,500	\$2,500	\$1,750	08/28/2014	
ATK 2014-1(PEQ)	1	\$2,500	\$2,500	\$1,675	08/28/2014	
ATK 2014-2(SA)	1	\$5,000	\$5,000	\$3,600	08/28/2014	
ATK 2014-3(SI)	1	\$5,000	\$5,000	\$3,400	08/28/2014	
ATK 2014-4(SI)	1	\$5,000	\$5,000	\$3,400	08/28/2014	
ATK 2014-5(SI)	1	\$5,000	\$5,000	\$3,400	08/28/2014	
ATK 2014-6(TS)	1	\$1,000	\$1,000	\$750	08/28/2014	
ATK 2014-7(TS)	3	\$3,000	\$3,000	\$2,160	08/28/2014	
ATN 2013-1(SA)	1	\$2,500	\$2,500	\$1,250	03/27/2014	
AVR 2013-1(SA)	1	\$5,000	\$5,000	\$3,600	07/07/2014	
AWRR 2013-4(SA)	3	\$7,500	\$7,500	\$3,000	09/29/2014	
AWRR 2013-5(SA)	4	\$10,000	\$10,000	\$5,500	09/29/2014	
AWRR 2014-1(SA)	1	\$2,500	\$2,500	\$1,450	09/29/2014	
BB 2012-2(TS)	2	\$5,000	\$5,000	\$3,500	03/12/2014	
BB 2012-3(TS)	17	\$85,000	\$85,000	\$59,500	03/12/2014	
BB 2013-1(TS)	2	\$10,000	\$10,000	\$7,000	03/12/2014	
BB 2013-2(ROP)	1	\$2,000	\$2,000	\$1,400	03/12/2014	
BB 2013-3(SI)	1	\$5,000	\$5,000	\$3,500	03/12/2014	
BB 2014-1(TS)	1	\$2,500	\$2,500	\$1,750	08/18/2014	
BDTL 2009-1(GS)	1	\$2,500	\$2,500	\$1,250	12/31/2013	
BDTL 2011-1(LI)	1	\$2,500	\$2,500	\$1,250	12/31/2013	
BDTL 2011-2(EQ)	1	\$1,000	\$0	\$0	12/31/2013	Case Terminated.
BDTL 2012-1(LI)	4	\$8,500	\$8,500	\$4,300	12/31/2013	
BDTL 2013-1(TS)	1	\$5,000	\$5,000	\$2,500	12/31/2013	
BDTL 2013-2(TS)	1	\$5,000	\$5,000	\$2,500	12/31/2013	
BGCM 2014-2(EQ)	1	\$5,000	\$5,000	\$5,000	08/31/2014	
BLR 2012-6(TS)	2	\$5,000	\$5,000	\$4,000	05/05/2014	
BLR 2012-7(TS)	1	\$2,500	\$2,500	\$2,000	05/05/2014	
BLR 2012-8(TS)	2	\$5,000	\$5,000	\$4,000	05/05/2014	
BLR 2013-1(TS)	13	\$26,500	\$26,500	\$9,800	05/05/2014	
BM 2013-1(TS)	2	\$7,500	\$7,500	\$5,600	09/29/2014	
BNG 2012-1(GC)	3	\$8,500	\$8,500	\$6,800	04/30/2014	
BNSF 2012-22(ROR)	1	\$2,500	\$2,500	\$1,375	09/30/2014	
BNSF 2012-212(TS)	9	\$14,500	\$14,500	\$9,450	09/30/2014	
BNSF 2012-372(TS)	25	\$44,500	\$44,500	\$28,850	09/30/2014	
BNSF 2013-28(TS)	9	\$35,000	\$35,000	\$22,750	09/30/2014	
BNSF 2013-40(TS)	14	\$32,000	\$32,000	\$20,800	09/30/2014	
BNSF 2013-42(TS)	22	\$43,000	\$43,000	\$27,860	09/30/2014	
BNSF 2013-51(HMT)	1	\$6,000	\$6,000	\$3,960	09/30/2014	
BNSF 2013-64(TS)	1	\$5,000	\$5,000	\$3,265	09/30/2014	
BNSF 2013-65(SA)	4	\$15,000	\$15,000	\$9,340	09/30/2014	
BNSF 2013-67(ROP)	1	\$1,000	\$1,000	\$680	09/30/2014	
BNSF 2013-68(ROP)	1	\$9,500	\$9,500	\$6,175	09/30/2014	
BNSF 2013-69(HS)	1	\$1,000	\$1,000	\$665	09/30/2014	
BNSF 2013-71(HMT)	2	\$9,500	\$9,500	\$6,200	09/30/2014	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
BNSF 2013-72(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2014	
BNSF 2013-73(SA)	1	\$5,000	\$5,000	\$3,225	09/30/2014	
BNSF 2013-74(HMT)	4	\$19,000	\$19,000	\$12,750	09/30/2014	
BNSF 2013-75(HMT)	1	\$4,000	\$4,000	\$2,560	09/30/2014	
BNSF 2013-76(GC)	1	\$5,000	\$5,000	\$3,425	09/30/2014	
BNSF 2013-77(GC)	1	\$2,500	\$2,500	\$1,630	09/30/2014	
BNSF 2013-79(HSR)	1	\$1,000	\$1,000	\$670	09/30/2014	
BNSF 2013-80(HSR)	1	\$1,000	\$1,000	\$670	09/30/2014	
BNSF 2013-81(LI)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
BNSF 2013-82(GS)	1	\$2,500	\$2,500	\$1,500	09/30/2014	
BNSF 2013-83(HMT)	1	\$2,000	\$2,000	\$1,260	09/30/2014	
BNSF 2013-84(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2014	
BNSF 2013-85(SI)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
BNSF 2013-86(FCS)	1	\$2,500	\$2,500	\$1,585	09/30/2014	
BNSF 2013-87(LI)	1	\$2,500	\$2,500	\$1,620	09/30/2014	
BNSF 2013-88(TS)	1	\$1,000	\$1,000	\$650	09/30/2014	
BNSF 2013-89(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2014	
BNSF 2013-90(SA)	1	\$2,500	\$2,500	\$1,630	09/30/2014	
BNSF 2013-91(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2014	
BNSF 2013-92(SA)	1	\$2,500	\$2,500	\$1,710	09/30/2014	
BNSF 2013-93(SA)	1	\$2,500	\$2,500	\$1,630	09/30/2014	
BNSF 2013-94(SA)	1	\$2,500	\$2,500	\$1,630	09/30/2014	
BNSF 2013-95(SA)	1	\$5,000	\$5,000	\$3,385	09/30/2014	
BNSF 2013-96(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2014	
BNSF 2013-97(SA)	1	\$2,500	\$2,500	\$1,630	09/30/2014	
BNSF 2013-98(SA)	1	\$2,500	\$2,500	\$1,630	09/30/2014	
BNSF 2013-99(SA)	1	\$5,000	\$5,000	\$3,150	09/30/2014	
BNSF 2013-100(SA)	1	\$2,500	\$2,500	\$1,630	09/30/2014	
BNSF 2013-101(SA)	1	\$2,500	\$2,500	\$1,630	09/30/2014	
BNSF 2013-102(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2014	
BNSF 2013-103(FCS)	1	\$5,000	\$5,000	\$3,250	09/30/2014	
BNSF 2013-104(FCS)	1	\$5,000	\$5,000	\$3,350	09/30/2014	
BNSF 2013-105(FCS)	1	\$5,000	\$5,000	\$3,300	09/30/2014	
BNSF 2013-106(SI)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
BNSF 2013-107(FCS)	1	\$2,500	\$2,500	\$1,625	09/30/2014	
BNSF 2013-108(FCS)	1	\$2,500	\$2,500	\$1,625	09/30/2014	
BNSF 2013-109(ROP)	2	\$15,000	\$15,000	\$9,450	09/30/2014	
BNSF 2013-110(ROP)	1	\$7,500	\$7,500	\$5,025	09/30/2014	
BNSF 2013-111(ROP)	1	\$7,500	\$7,500	\$4,565	09/30/2014	
BNSF 2013-112(ROP)	1	\$7,500	\$7,500	\$4,675	09/30/2014	
BNSF 2013-113(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2014	
BNSF 2013-114(TS)	7	\$7,000	\$7,000	\$4,600	09/30/2014	
BNSF 2013-115(TS)	12	\$12,000	\$12,000	\$7,825	09/30/2014	
BNSF 2013-116(TS)	4	\$4,000	\$4,000	\$2,625	09/30/2014	
BNSF 2013-117(TS)	8	\$8,000	\$8,000	\$5,250	09/30/2014	
BNSF 2013-118(TS)	1	\$5,000	\$5,000	\$3,250	09/30/2014	
BNSF 2013-119(TS)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
BNSF 2013-120(TS)	2	\$2,000	\$2,000	\$1,320	09/30/2014	
BNSF 2013-121(TS)	5	\$5,000	\$5,000	\$3,265	09/30/2014	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
BNSF 2013-122(TS)	1	\$2,500	\$2,500	\$1,610	09/30/2014	
BNSF 2013-123(TS)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
BNSF 2013-124(SA)	1	\$2,500	\$2,500	\$1,725	09/30/2014	
BNSF 2013-125(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2014	
BNSF 2013-126(SA)	1	\$2,500	\$2,500	\$1,630	09/30/2014	
BNSF 2013-127(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2014	
BNSF 2013-128(SA)	1	\$2,500	\$2,500	\$1,630	09/30/2014	
BNSF 2013-129(RW)	1	\$1,000	\$1,000	\$670	09/30/2014	
BNSF 2013-130(LI)	1	\$2,500	\$2,500	\$1,620	09/30/2014	
BNSF 2013-131(EP)	1	\$1,000	\$1,000	\$665	09/30/2014	
BNSF 2013-132(LI)	1	\$2,500	\$2,500	\$1,620	09/30/2014	
BNSF 2013-133(RSP)	1	\$2,500	\$2,500	\$1,620	09/30/2014	
BNSF 2013-134(RSP)	1	\$5,000	\$5,000	\$3,350	09/30/2014	
BNSF 2013-135(TS)	1	\$2,500	\$2,500	\$1,615	09/30/2014	
BNSF 2013-136(LI)	1	\$2,500	\$2,500	\$1,710	09/30/2014	
BNSF 2013-137(LI)	1	\$2,500	\$2,500	\$1,710	09/30/2014	
BNSF 2013-138(LI)	1	\$2,500	\$2,500	\$1,625	09/30/2014	
BNSF 2013-139(LI)	1	\$2,500	\$2,500	\$1,615	09/30/2014	
BNSF 2013-140(RW)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
BNSF 2013-141(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2014	
BNSF 2013-142(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2014	
BNSF 2013-143(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2014	
BNSF 2013-144(SA)	1	\$2,500	\$2,500	\$1,630	09/30/2014	
BNSF 2013-146(TS)	2	\$7,500	\$7,500	\$5,000	09/30/2014	
BNSF 2013-147(FCS)	1	\$2,500	\$2,500	\$1,605	09/30/2014	
BNSF 2013-148(ROP)	2	\$4,000	\$4,000	\$2,600	09/30/2014	
BNSF 2013-149(ROP)	1	\$7,500	\$7,500	\$4,875	09/30/2014	
BNSF 2013-150(ROP)	1	\$5,000	\$5,000	\$3,225	09/30/2014	
BNSF 2013-151(FCS)	1	\$2,500	\$2,500	\$1,605	09/30/2014	
BNSF 2013-152(SA)	1	\$5,000	\$5,000	\$3,000	09/30/2014	
BNSF 2013-153(SA)	1	\$5,000	\$5,000	\$3,100	09/30/2014	
BNSF 2013-154(ROP)	1	\$2,000	\$2,000	\$1,285	09/30/2014	
BNSF 2013-155(LI)	1	\$2,500	\$2,500	\$1,615	09/30/2014	
BNSF 2013-156(LI)	1	\$2,500	\$2,500	\$1,610	09/30/2014	
BNSF 2013-157(RW)	1	\$1,500	\$1,500	\$1,025	09/30/2014	
BNSF 2013-158(ROP)	1	\$9,500	\$9,500	\$6,300	09/30/2014	
BNSF 2013-159(SA)	1	\$2,500	\$2,500	\$1,540	09/30/2014	
BNSF 2013-160(TS)	1	\$5,000	\$5,000	\$3,260	09/30/2014	
BNSF 2013-162(TS)	2	\$2,000	\$2,000	\$1,320	09/30/2014	
BNSF 2013-163(TS)	1	\$2,500	\$2,500	\$1,600	09/30/2014	
BNSF 2013-164(TS)	1	\$5,000	\$5,000	\$3,260	09/30/2014	
BNSF 2013-165(TS)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
BNSF 2013-166(TS)	1	\$1,000	\$1,000	\$680	09/30/2014	
BNSF 2013-167(TS)	3	\$6,000	\$6,000	\$3,850	09/30/2014	
BNSF 2013-168(TS)	1	\$1,000	\$1,000	\$680	09/30/2014	
BNSF 2013-169(TS)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
BNSF 2013-170(TS)	1	\$5,000	\$5,000	\$3,255	09/30/2014	
BNSF 2013-171(TS)	3	\$3,000	\$3,000	\$1,950	09/30/2014	
BNSF 2013-172(HMT)	2	\$4,000	\$4,000	\$2,535	09/30/2014	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
BNSF 2013-173(HMT)	1	\$3,000	\$3,000	\$1,980	09/30/2014	
BNSF 2013-174(TS)	10	\$10,000	\$10,000	\$6,600	09/30/2014	
BNSF 2013-175(HMT)	1	\$2,000	\$2,000	\$1,300	09/30/2014	
BNSF 2013-176(TS)	1	\$1,000	\$1,000	\$680	09/30/2014	
BNSF 2013-177(TS)	1	\$1,000	\$1,000	\$680	09/30/2014	
BNSF 2013-178(TS)	3	\$10,000	\$10,000	\$6,600	09/30/2014	
BNSF 2013-179(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2014	
BNSF 2013-180(SA)	1	\$2,500	\$2,500	\$1,475	09/30/2014	
BNSF 2013-182(SA)	1	\$5,000	\$5,000	\$3,175	09/30/2014	
BNSF 2013-183(ROP)	1	\$7,500	\$7,500	\$4,300	09/30/2014	
BNSF 2013-184(ROP)	1	\$7,500	\$7,500	\$4,875	09/30/2014	
BNSF 2013-186(LI)	1	\$2,500	\$2,500	\$1,610	09/30/2014	
BNSF 2013-187(HSR)	1	\$1,000	\$1,000	\$670	09/30/2014	
BNSF 2013-188(SA)	1	\$5,000	\$5,000	\$3,305	09/30/2014	
BNSF 2013-189(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2014	
BNSF 2013-190(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2014	
BNSF 2013-191(SA)	1	\$5,000	\$5,000	\$3,175	09/30/2014	
BNSF 2013-192(SA)	1	\$2,500	\$2,500	\$1,630	09/30/2014	
BNSF 2013-193(SA)	1	\$5,000	\$5,000	\$2,500	09/30/2014	
BNSF 2013-194(ROP)	1	\$9,500	\$9,500	\$6,300	09/30/2014	
BNSF 2013-196(HMT)	1	\$2,000	\$2,000	\$1,325	09/30/2014	
BNSF 2013-197(RSP)	1	\$5,000	\$5,000	\$3,350	09/30/2014	
BNSF 2013-198(HMT)	2	\$7,000	\$7,000	\$4,620	09/30/2014	
BNSF 2013-199(SA)	1	\$2,500	\$2,500	\$1,600	09/30/2014	
BNSF 2013-200(FCS)	1	\$2,500	\$2,500	\$1,675	09/30/2014	
BNSF 2013-201(SI)	1	\$1,000	\$1,000	\$680	09/30/2014	
BNSF 2013-203(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2014	
BNSF 2013-204(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2014	
BNSF 2013-205(FCS)	1	\$2,500	\$2,500	\$1,585	09/30/2014	
BNSF 2013-206(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2014	
BNSF 2013-207(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2014	
BNSF 2013-208(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2014	
BNSF 2013-209(ROP)	1	\$7,500	\$7,500	\$5,005	09/30/2014	
BNSF 2013-210(HSR)	2	\$2,000	\$2,000	\$1,315	09/30/2014	
BNSF 2013-211(HSR)	1	\$1,000	\$1,000	\$670	09/30/2014	
BNSF 2013-212(HSR)	1	\$1,000	\$1,000	\$670	09/30/2014	
BNSF 2013-213(HSR)	1	\$1,000	\$1,000	\$670	09/30/2014	
BNSF 2013-214(LI)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
BNSF 2013-216(HSR)	1	\$1,000	\$1,000	\$670	09/30/2014	
BNSF 2013-219(HSR)	1	\$1,000	\$1,000	\$670	09/30/2014	
BNSF 2013-221(HSR)	1	\$1,000	\$1,000	\$670	09/30/2014	
BNSF 2013-222(SA)	1	\$5,000	\$5,000	\$2,820	09/30/2014	
BNSF 2013-223(SA)	1	\$5,000	\$5,000	\$3,175	09/30/2014	
BNSF 2013-224(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2014	
BNSF 2013-225(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2014	
BNSF 2013-226(SA)	1	\$2,500	\$2,500	\$1,600	09/30/2014	
BNSF 2013-227(SA)	1	\$5,000	\$5,000	\$3,275	09/30/2014	
BNSF 2013-228(SA)	1	\$5,000	\$5,000	\$3,305	09/30/2014	
BNSF 2013-229(ROP)	1	\$7,500	\$7,500	\$4,850	09/30/2014	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
BNSF 2013-230(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
BNSF 2013-231(ROP)	1	\$2,000	\$2,000	\$1,285	09/30/2014	
BNSF 2013-232(ROP)	1	\$7,500	\$7,500	\$4,875	09/30/2014	
BNSF 2013-233(ROP)	1	\$9,500	\$9,500	\$6,375	09/30/2014	
BNSF 2013-235(SA)	1	\$2,500	\$2,500	\$1,710	09/30/2014	
BNSF 2013-236(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2014	
BNSF 2013-237(ROP)	1	\$7,500	\$7,500	\$4,750	09/30/2014	
BNSF 2013-238(SA)	1	\$2,500	\$2,500	\$1,575	09/30/2014	
BNSF 2013-239(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2014	
BNSF 2013-240(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2014	
BNSF 2013-241(SA)	1	\$5,000	\$5,000	\$3,305	09/30/2014	
BNSF 2013-242(ROP)	2	\$4,000	\$4,000	\$2,600	09/30/2014	
BNSF 2013-251(LI)	2	\$4,000	\$4,000	\$2,650	09/30/2014	
BNSF 2013-252(RW)	1	\$3,000	\$3,000	\$2,010	09/30/2014	
BNSF 2013-253(RW)	1	\$1,000	\$1,000	\$650	09/30/2014	
BNSF 2013-254(GC)	1	\$5,000	\$5,000	\$3,425	09/30/2014	
BNSF 2013-255(RW)	1	\$3,000	\$3,000	\$1,960	09/30/2014	
BNSF 2013-256(RW)	1	\$3,000	\$3,000	\$2,040	09/30/2014	
BNSF 2013-257(RW)	1	\$3,000	\$3,000	\$2,040	09/30/2014	
BNSF 2013-258(SA)	1	\$5,000	\$5,000	\$3,010	09/30/2014	
BNSF 2013-259(SA)	1	\$2,500	\$2,500	\$1,630	09/30/2014	
BNSF 2013-260(SA)	1	\$5,000	\$5,000	\$3,325	09/30/2014	
BNSF 2013-261(SA)	1	\$2,500	\$2,500	\$1,605	09/30/2014	
BNSF 2013-262(SA)	1	\$5,000	\$5,000	\$3,225	09/30/2014	
BNSF 2013-263(SA)	1	\$5,000	\$5,000	\$3,180	09/30/2014	
BNSF 2013-264(SA)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
BNSF 2013-265(SA)	1	\$2,500	\$2,500	\$1,630	09/30/2014	
BNSF 2013-266(SA)	1	\$2,500	\$2,500	\$1,630	09/30/2014	
BNSF 2013-268(SA)	1	\$2,500	\$2,500	\$1,595	09/30/2014	
BNSF 2013-269(SA)	1	\$5,000	\$5,000	\$3,385	09/30/2014	
BNSF 2013-270(SA)	1	\$2,500	\$2,500	\$1,545	09/30/2014	
BNSF 2013-271(SA)	1	\$2,500	\$2,500	\$1,600	09/30/2014	
BNSF 2013-272(ROP)	1	\$2,000	\$2,000	\$1,285	09/30/2014	
BNSF 2013-274(ROP)	1	\$7,500	\$7,500	\$4,680	09/30/2014	
BNSF 2013-277(FCS)	1	\$2,500	\$2,500	\$1,675	09/30/2014	
BNSF 2013-278(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2014	
BNSF 2013-279(SA)	1	\$5,000	\$5,000	\$3,225	09/30/2014	
BNSF 2013-280(SA)	1	\$5,000	\$5,000	\$3,375	09/30/2014	
BNSF 2013-281(SA)	1	\$5,000	\$5,000	\$3,000	09/30/2014	
BNSF 2013-282(SA)	1	\$5,000	\$5,000	\$2,000	09/30/2014	
BNSF 2013-283(SA)	1	\$2,500	\$2,500	\$1,640	09/30/2014	
BNSF 2013-284(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2014	
BNSF 2013-285(SA)	2	\$7,500	\$7,500	\$4,900	09/30/2014	
BNSF 2013-286(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2014	
BNSF 2013-287(SA)	1	\$2,500	\$2,500	\$1,600	09/30/2014	
BNSF 2013-288(ROP)	1	\$7,500	\$7,500	\$4,905	09/30/2014	
BNSF 2013-289(ROP)	1	\$7,500	\$7,500	\$4,905	09/30/2014	
BNSF 2013-290(ROP)	1	\$9,500	\$9,500	\$6,335	09/30/2014	
BNSF 2013-291(SA)	1	\$5,000	\$5,000	\$2,900	09/30/2014	

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BNSF 2013-292(SA)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
BNSF 2013-293(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2014	
BNSF 2013-294(SA)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
BNSF 2013-295(GC)	1	\$7,500	\$5,000	\$4,500	09/30/2014	Partially Terminated Violation(s): 1.
BNSF 2013-318(HSR)	1	\$1,000	\$1,000	\$670	09/30/2014	
BNSF 2013-333(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2014	
BNSF 2013-334(ROP)	1	\$7,500	\$7,500	\$4,875	09/30/2014	
BNSF 2013-335(ROP)	1	\$2,000	\$2,000	\$1,310	09/30/2014	
BNSF 2013-336(SA)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
BNSF 2013-337(SA)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
BNSF 2013-338(SA)	1	\$2,500	\$2,500	\$1,635	09/30/2014	
BNSF 2013-339(SA)	1	\$2,500	\$2,500	\$1,635	09/30/2014	
BNSF 2013-340(SA)	1	\$2,500	\$2,500	\$1,635	09/30/2014	
BNSF 2013-341(SA)	1	\$5,000	\$5,000	\$3,175	09/30/2014	
BNSF 2013-343(SA)	1	\$5,000	\$5,000	\$3,365	09/30/2014	
BNSF 2013-344(SA)	1	\$5,000	\$5,000	\$3,365	09/30/2014	
BNSF 2013-345(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
BNSF 2013-346(SA)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
BNSF 2013-347(SA)	1	\$5,000	\$5,000	\$3,375	09/30/2014	
BNSF 2013-348(SA)	1	\$5,000	\$5,000	\$3,275	09/30/2014	
BNSF 2013-349(HSR)	1	\$1,000	\$1,000	\$670	09/30/2014	
BNSF 2013-350(FCS)	1	\$2,500	\$2,500	\$1,645	09/30/2014	
BNSF 2013-351(HMT)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
BNSF 2013-352(HMT)	1	\$4,000	\$4,000	\$2,760	09/30/2014	
BNSF 2013-353(HS)	1	\$1,000	\$1,000	\$665	09/30/2014	
BNSF 2013-357(HS)	1	\$1,000	\$0	\$0	09/30/2014	Case Terminated.
BNSF 2013-359(TS)	1	\$2,500	\$2,500	\$1,675	09/30/2014	
BNSF 2013-360(TS)	1	\$5,000	\$5,000	\$3,300	09/30/2014	
BNSF 2013-361(TS)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
BNSF 2013-362(TS)	4	\$20,000	\$20,000	\$12,850	09/30/2014	
BNSF 2013-363(TS)	6	\$30,000	\$30,000	\$19,750	09/30/2014	
BNSF 2013-364(TS)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
BNSF 2013-365(TS)	1	\$1,000	\$1,000	\$680	09/30/2014	
BNSF 2013-366(TS)	4	\$20,000	\$20,000	\$13,200	09/30/2014	
BNSF 2013-367(TS)	1	\$2,500	\$2,500	\$1,625	09/30/2014	
BNSF 2013-368(TS)	2	\$2,000	\$2,000	\$1,320	09/30/2014	
BNSF 2013-369(RSP)	1	\$9,500	\$9,500	\$6,650	09/30/2014	
BNSF 2013-372(HS)	1	\$1,000	\$1,000	\$665	09/30/2014	
BNSF 2013-376(TS)	1	\$1,000	\$1,000	\$680	09/30/2014	
BNSF 2013-377(HMT)	1	\$4,000	\$4,000	\$2,600	09/30/2014	
BNSF 2013-378(TS)	1	\$2,500	\$2,500	\$1,625	09/30/2014	
BNSF 2013-379(HMT)	1	\$5,000	\$5,000	\$3,000	09/30/2014	
BNSF 2013-380(SA)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
BNSF 2013-381(SA)	1	\$5,000	\$5,000	\$3,275	09/30/2014	
BNSF 2013-382(SA)	1	\$5,000	\$5,000	\$3,265	09/30/2014	
BNSF 2013-383(SA)	1	\$5,000	\$5,000	\$3,265	09/30/2014	
BNSF 2013-384(SA)	1	\$5,000	\$5,000	\$3,375	09/30/2014	
BNSF 2013-385(SA)	1	\$5,000	\$5,000	\$3,255	09/30/2014	
BNSF 2013-387(ROP)	1	\$7,500	\$7,500	\$4,650	09/30/2014	

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BNSF 2013-388(ROP)	1	\$5,000	\$5,000	\$3,250	09/30/2014	
BNSF 2013-389(ROP)	1	\$5,000	\$5,000	\$3,250	09/30/2014	
BNSF 2013-390(ROP)	1	\$7,500	\$7,500	\$5,300	09/30/2014	
BNSF 2013-391(HMT)	2	\$11,000	\$11,000	\$6,250	09/30/2014	
BNSF 2013-392(SA)	1	\$5,000	\$5,000	\$3,260	09/30/2014	
BNSF 2013-393(HMT)	1	\$2,000	\$2,000	\$1,240	09/30/2014	
BNSF 2013-394(HMT)	1	\$1,000	\$1,000	\$680	09/30/2014	
BNSF 2013-395(TS)	3	\$12,500	\$12,500	\$8,200	09/30/2014	
BNSF 2013-396(TS)	1	\$5,000	\$5,000	\$3,300	09/30/2014	
BNSF 2013-397(ROP)	1	\$2,000	\$2,000	\$1,295	09/30/2014	
BNSF 2013-398(ROP)	1	\$2,000	\$2,000	\$1,300	09/30/2014	
BNSF 2013-399(EP)	1	\$1,000	\$1,000	\$665	09/30/2014	
BNSF 2013-400(EQ)	1	\$1,000	\$1,000	\$665	09/30/2014	
BNSF 2013-401(ROP)	1	\$7,500	\$7,500	\$4,800	09/30/2014	
BNSF 2013-402(SA)	1	\$10,000	\$10,000	\$6,775	09/30/2014	
BNSF 2013-403(SA)	1	\$5,000	\$5,000	\$3,200	09/30/2014	
BNSF 2013-406(EP)	1	\$1,000	\$1,000	\$665	09/30/2014	
BNSF 2013-407(SA)	1	\$5,000	\$5,000	\$3,335	09/30/2014	
BNSF 2013-408(SA)	1	\$5,000	\$5,000	\$3,000	09/30/2014	
BNSF 2013-409(FCS)	1	\$2,500	\$2,500	\$1,635	09/30/2014	
BNSF 2013-410(SA)	1	\$5,000	\$5,000	\$3,350	09/30/2014	
BNSF 2013-411(SA)	1	\$2,500	\$2,500	\$1,585	09/30/2014	
BNSF 2013-412(SA)	1	\$5,000	\$5,000	\$3,265	09/30/2014	
BNSF 2013-413(SA)	1	\$5,000	\$5,000	\$3,200	09/30/2014	
BNSF 2013-414(ROP)	1	\$7,500	\$7,500	\$4,650	09/30/2014	
BNSF 2013-415(ROP)	1	\$9,500	\$9,500	\$5,900	09/30/2014	
BNSF 2013-416(GC)	1	\$5,000	\$5,000	\$3,450	09/30/2014	
BNSF 2013-417(RW)	1	\$5,000	\$5,000	\$3,100	09/30/2014	
BNSF 2013-418(LI)	3	\$6,500	\$6,500	\$4,225	09/30/2014	
BNSF 2013-419(SA)	1	\$5,000	\$5,000	\$3,175	09/30/2014	
BNSF 2013-420(GC)	1	\$5,000	\$5,000	\$3,350	09/30/2014	
BNSF 2013-421(GC)	1	\$5,000	\$5,000	\$3,425	09/30/2014	
BNSF 2013-422(ROP)	1	\$2,000	\$2,000	\$1,300	09/30/2014	
BNSF 2013-423(HMT)	1	\$4,000	\$4,000	\$2,720	09/30/2014	
BNSF 2013-424(TS)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
BNSF 2013-425(TS)	1	\$5,000	\$5,000	\$3,300	09/30/2014	
BNSF 2013-426(TS)	1	\$2,500	\$2,500	\$1,625	09/30/2014	
BNSF 2013-427(TS)	2	\$5,000	\$5,000	\$3,255	09/30/2014	
BNSF 2013-428(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2014	
BNSF 2013-429(HMT)	1	\$6,000	\$6,000	\$3,840	09/30/2014	
BNSF 2013-430(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2014	
BNSF 2013-431(SA)	1	\$5,000	\$5,000	\$3,325	09/30/2014	
BNSF 2013-432(ROP)	1	\$5,000	\$5,000	\$3,275	09/30/2014	
BNSF 2013-433(SA)	1	\$5,000	\$5,000	\$3,325	09/30/2014	
BNSF 2013-434(TS)	1	\$1,000	\$1,000	\$680	09/30/2014	
BNSF 2013-435(TS)	1	\$1,000	\$1,000	\$680	09/30/2014	
BNSF 2013-436(HS)	1	\$1,000	\$1,000	\$665	09/30/2014	
BNSF 2013-437(TS)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
BNSF 2013-438(SA)	1	\$5,000	\$5,000	\$3,200	09/30/2014	

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BNSF 2013-439(SA)	1	\$2,500	\$2,500	\$1,625	09/30/2014	
BNSF 2013-440(SA)	1	\$5,000	\$5,000	\$3,260	09/30/2014	
BNSF 2013-441(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
BNSF 2013-442(GC)	1	\$5,000	\$5,000	\$3,425	09/30/2014	
BNSF 2013-443(SA)	1	\$5,000	\$5,000	\$3,150	09/30/2014	
BNSF 2013-444(SA)	1	\$5,000	\$5,000	\$3,255	09/30/2014	
BNSF 2013-445(SA)	1	\$5,000	\$5,000	\$3,255	09/30/2014	
BNSF 2013-446(HMT)	1	\$7,500	\$7,500	\$5,025	09/30/2014	
BNSF 2013-447(HS)	1	\$1,000	\$1,000	\$650	09/30/2014	
BNSF 2013-448(HS)	1	\$1,000	\$1,000	\$650	09/30/2014	
BNSF 2013-451(SA)	1	\$2,500	\$2,500	\$1,625	09/30/2014	
BNSF 2013-452(HMT)	2	\$4,000	\$4,000	\$2,680	09/30/2014	
BNSF 2013-453(ROP)	1	\$7,500	\$7,500	\$4,800	09/30/2014	
BNSF 2013-454(ROP)	1	\$5,000	\$0	\$0	09/30/2014	Case Terminated.
BNSF 2013-455(ROP)	1	\$2,500	\$2,500	\$1,725	09/30/2014	
BNSF 2013-456(ROP)	1	\$5,000	\$5,000	\$3,085	09/30/2014	
BNSF 2013-457(ROP)	1	\$7,500	\$7,500	\$4,700	09/30/2014	
BNSF 2013-458(ROP)	1	\$7,500	\$7,500	\$4,900	09/30/2014	
BNSF 2013-459(ROP)	1	\$9,500	\$9,500	\$6,300	09/30/2014	
BNSF 2013-460(ROP)	1	\$2,000	\$2,000	\$1,325	09/30/2014	
BNSF 2013-461(ROP)	1	\$7,500	\$7,500	\$4,875	09/30/2014	
BNSF 2013-462(ROP)	1	\$7,500	\$7,500	\$4,650	09/30/2014	
BNSF 2013-463(FCS)	1	\$1,000	\$1,000	\$675	09/30/2014	
BNSF 2013-464(FCS)	1	\$2,500	\$2,500	\$1,635	09/30/2014	
BNSF 2013-465(FCS)	1	\$2,500	\$2,500	\$1,640	09/30/2014	
BNSF 2013-466(TS)	2	\$5,000	\$5,000	\$3,245	09/30/2014	
BNSF 2013-467(HS)	1	\$1,000	\$1,000	\$665	09/30/2014	
BNSF 2013-468(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
BNSF 2013-469(GC)	1	\$5,000	\$5,000	\$3,425	09/30/2014	
BNSF 2013-470(GC)	1	\$5,000	\$5,000	\$3,465	09/30/2014	
BNSF 2013-471(SA)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
BNSF 2013-473(HS)	1	\$1,000	\$1,000	\$665	09/30/2014	
BNSF 2013-474(HS)	1	\$1,000	\$1,000	\$665	09/30/2014	
BNSF 2013-475(HSR)	1	\$1,000	\$0	\$0	09/30/2014	Case Terminated.
BNSF 2013-476(ROP)	1	\$7,500	\$7,500	\$4,900	09/30/2014	
BNSF 2013-477(SA)	1	\$5,000	\$5,000	\$3,255	09/30/2014	
BNSF 2013-478(SA)	1	\$5,000	\$5,000	\$3,150	09/30/2014	
BNSF 2013-479(SA)	1	\$5,000	\$5,000	\$3,265	09/30/2014	
BNSF 2013-480(SA)	1	\$5,000	\$5,000	\$3,305	09/30/2014	
BNSF 2013-481(ROP)	1	\$7,500	\$7,500	\$5,050	09/30/2014	
BNSF 2013-482(ROP)	1	\$2,000	\$2,000	\$1,305	09/30/2014	
BNSF 2013-483(ROP)	1	\$5,000	\$5,000	\$3,250	09/30/2014	
BNSF 2013-484(HMT)	1	\$2,000	\$2,000	\$1,240	09/30/2014	
BNSF 2013-486(RSP)	1	\$5,000	\$5,000	\$2,765	09/30/2014	
BNSF 2013-487(RSP)	1	\$5,000	\$5,000	\$2,765	09/30/2014	
BNSF 2013-488(RSP)	1	\$5,000	\$5,000	\$2,765	09/30/2014	
BNSF 2013-489(TS)	1	\$5,000	\$5,000	\$3,275	09/30/2014	
BNSF 2013-490(SA)	1	\$5,000	\$5,000	\$3,200	09/30/2014	
BNSF 2013-491(HS)	2	\$2,000	\$2,000	\$1,325	09/30/2014	

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BNSF 2013-492(ROP)	1	\$7,500	\$7,500	\$4,875	09/30/2014	
BNSF 2013-493(ROP)	1	\$9,500	\$9,500	\$6,000	09/30/2014	
BNSF 2013-494(SA)	1	\$5,000	\$5,000	\$3,305	09/30/2014	
BNSF 2013-495(ROP)	1	\$7,500	\$7,500	\$4,650	09/30/2014	
BNSF 2013-496(ROP)	1	\$7,500	\$7,500	\$4,775	09/30/2014	
BNSF 2013-497(ROP)	1	\$7,500	\$7,500	\$4,900	09/30/2014	
BNSF 2013-498(TS)	1	\$5,000	\$5,000	\$3,270	09/30/2014	
BNSF 2013-499(TS)	6	\$15,000	\$15,000	\$9,650	09/30/2014	
BNSF 2013-500(TS)	1	\$2,500	\$2,500	\$1,625	09/30/2014	
BNSF 2013-501(TS)	8	\$40,000	\$40,000	\$26,400	09/30/2014	
BNSF 2013-502(SA)	1	\$2,500	\$2,500	\$1,600	09/30/2014	
BNSF 2013-503(SA)	1	\$5,000	\$5,000	\$3,255	09/30/2014	
BNSF 2013-504(LI)	1	\$2,500	\$2,500	\$1,625	09/30/2014	
BNSF 2013-506(GC)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
BNSF 2013-507(EP)	1	\$1,000	\$1,000	\$655	09/30/2014	
BNSF 2013-508(ROP)	1	\$7,500	\$7,500	\$4,900	09/30/2014	
BNSF 2013-509(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2014	
BNSF 2013-510(SA)	1	\$5,000	\$5,000	\$3,000	09/30/2014	
BNSF 2013-511(SA)	1	\$5,000	\$5,000	\$3,255	09/30/2014	
BNSF 2013-512(SA)	1	\$5,000	\$5,000	\$3,310	09/30/2014	
BNSF 2013-513(SA)	1	\$5,000	\$5,000	\$3,265	09/30/2014	
BNSF 2013-514(SA)	1	\$5,000	\$5,000	\$3,355	09/30/2014	
BNSF 2013-515(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2014	
BNSF 2013-516(ROP)	1	\$9,500	\$9,500	\$6,175	09/30/2014	
BNSF 2013-517(ROP)	1	\$9,500	\$9,500	\$6,175	09/30/2014	
BNSF 2013-519(ROP)	1	\$5,000	\$5,000	\$3,325	09/30/2014	
BNSF 2013-520(ROP)	1	\$7,500	\$7,500	\$4,800	09/30/2014	
BNSF 2013-521(ROR)	1	\$9,500	\$9,500	\$7,125	09/30/2014	
BNSF 2013-522(RSP)	1	\$5,500	\$5,500	\$3,775	09/30/2014	
BNSF 2013-523(GC)	1	\$5,000	\$5,000	\$3,450	09/30/2014	
BNSF 2013-524(SA)	1	\$5,000	\$5,000	\$3,355	09/30/2014	
BNSF 2013-525(SA)	1	\$5,000	\$5,000	\$3,275	09/30/2014	
BNSF 2013-526(SA)	1	\$5,000	\$5,000	\$3,365	09/30/2014	
BNSF 2013-527(SA)	1	\$5,000	\$5,000	\$3,260	09/30/2014	
BNSF 2013-528(SA)	1	\$2,500	\$2,500	\$1,600	09/30/2014	
BNSF 2013-529(SA)	1	\$5,000	\$5,000	\$3,175	09/30/2014	
BNSF 2013-531(ROP)	3	\$6,000	\$6,000	\$3,900	09/30/2014	
BNSF 2013-532(FCS)	1	\$2,500	\$2,500	\$1,720	09/30/2014	
BNSF 2013-533(FCS)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
BNSF 2013-534(FCS)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
BNSF 2013-536(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
BNSF 2013-537(TS)	1	\$2,500	\$2,500	\$1,675	09/30/2014	
BNSF 2013-538(TS)	1	\$5,000	\$5,000	\$3,325	09/30/2014	
BNSF 2013-539(TS)	2	\$3,500	\$3,500	\$2,300	09/30/2014	
BNSF 2013-540(TS)	3	\$8,000	\$8,000	\$5,225	09/30/2014	
BNSF 2013-541(TS)	1	\$1,000	\$1,000	\$680	09/30/2014	
BNSF 2013-542(TS)	1	\$5,000	\$5,000	\$3,300	09/30/2014	
BNSF 2013-543(TS)	1	\$2,500	\$2,500	\$1,625	09/30/2014	
BNSF 2013-544(TS)	4	\$7,000	\$7,000	\$4,575	09/30/2014	

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BNSF 2013-545(TS)	3	\$6,000	\$6,000	\$3,850	09/30/2014	
BNSF 2013-546(TS)	1	\$2,500	\$2,500	\$1,625	09/30/2014	
BNSF 2013-547(TS)	1	\$2,500	\$2,500	\$1,625	09/30/2014	
BNSF 2013-548(TS)	1	\$5,000	\$5,000	\$3,300	09/30/2014	
BNSF 2013-549(TS)	1	\$5,000	\$5,000	\$3,275	09/30/2014	
BNSF 2013-550(TS)	2	\$3,500	\$3,500	\$2,330	09/30/2014	
BNSF 2013-551(TS)	10	\$10,000	\$10,000	\$6,500	09/30/2014	
BNSF 2013-552(TS)	2	\$7,500	\$7,500	\$5,000	09/30/2014	
BNSF 2013-553(TS)	4	\$20,000	\$20,000	\$12,800	09/30/2014	
BNSF 2013-555(HMT)	1	\$4,000	\$4,000	\$2,600	09/30/2014	
BNSF 2013-557(TS)	1	\$1,000	\$1,000	\$680	09/30/2014	
BNSF 2013-558(SA)	1	\$5,000	\$5,000	\$3,265	09/30/2014	
BNSF 2013-559(SA)	1	\$5,000	\$5,000	\$3,200	09/30/2014	
BNSF 2013-560(SA)	1	\$5,000	\$5,000	\$3,260	09/30/2014	
BNSF 2013-561(SA)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
BNSF 2013-562(SA)	1	\$5,000	\$5,000	\$3,265	09/30/2014	
BNSF 2013-563(EP)	1	\$1,000	\$1,000	\$665	09/30/2014	
BNSF 2013-564(RW)	1	\$3,000	\$3,000	\$2,040	09/30/2014	
BNSF 2013-566(SA)	1	\$2,500	\$2,500	\$1,600	09/30/2014	
BNSF 2013-567(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2014	
BNSF 2013-568(ROP)	1	\$7,500	\$0	\$0	09/30/2014	Case Terminated.
BNSF 2013-569(ROP)	1	\$5,000	\$5,000	\$3,250	09/30/2014	
BNSF 2013-570(ROP)	1	\$7,500	\$7,500	\$4,850	09/30/2014	
BNSF 2013-571(ROP)	1	\$7,500	\$7,500	\$4,850	09/30/2014	
BNSF 2013-572(ROP)	1	\$5,000	\$5,000	\$3,250	09/30/2014	
BNSF 2013-573(ROP)	1	\$2,000	\$2,000	\$1,280	09/30/2014	
BNSF 2013-574(SA)	1	\$5,000	\$5,000	\$3,385	09/30/2014	
BNSF 2013-575(SA)	1	\$5,000	\$5,000	\$3,245	09/30/2014	
BNSF 2013-576(SA)	1	\$5,000	\$5,000	\$3,230	09/30/2014	
BNSF 2013-577(SA)	1	\$5,000	\$5,000	\$3,275	09/30/2014	
BNSF 2013-578(SA)	1	\$5,000	\$5,000	\$3,280	09/30/2014	
BNSF 2013-579(SA)	1	\$5,000	\$5,000	\$2,500	09/30/2014	
BNSF 2013-580(SA)	1	\$5,000	\$5,000	\$2,500	09/30/2014	
BNSF 2013-581(SA)	1	\$5,000	\$5,000	\$3,240	09/30/2014	
BNSF 2013-582(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2014	
BNSF 2013-583(FCS)	1	\$2,500	\$2,500	\$1,635	09/30/2014	
BNSF 2013-584(FCS)	1	\$5,000	\$5,000	\$3,250	09/30/2014	
BNSF 2013-586(ROP)	1	\$7,500	\$7,500	\$4,850	09/30/2014	
BNSF 2013-587(ROP)	1	\$7,500	\$7,500	\$4,900	09/30/2014	
BNSF 2013-588(ROP)	1	\$2,000	\$2,000	\$1,280	09/30/2014	
BNSF 2013-589(ROP)	1	\$7,500	\$7,500	\$4,900	09/30/2014	
BNSF 2013-590(ROP)	1	\$7,500	\$7,500	\$4,950	09/30/2014	
BNSF 2013-591(ROP)	1	\$2,000	\$2,000	\$1,280	09/30/2014	
BNSF 2013-592(TS)	2	\$10,000	\$10,000	\$6,800	09/30/2014	
BNSF 2013-594(TS)	8	\$8,000	\$8,000	\$5,200	09/30/2014	
BNSF 2013-595(TS)	1	\$5,000	\$5,000	\$3,275	09/30/2014	
BNSF 2013-596(TS)	3	\$15,000	\$15,000	\$10,200	09/30/2014	
BNSF 2013-597(TS)	1	\$2,500	\$2,500	\$1,625	09/30/2014	
BNSF 2013-598(TS)	2	\$10,000	\$10,000	\$6,600	09/30/2014	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
BNSF 2013-599(TS)	4	\$4,000	\$4,000	\$2,640	09/30/2014	
BNSF 2013-600(TH)	1	\$5,000	\$5,000	\$3,250	09/30/2014	
BNSF 2013-601(FCS)	1	\$2,500	\$2,500	\$1,710	09/30/2014	
BNSF 2013-602(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
BNSF 2013-603(RW)	1	\$3,000	\$3,000	\$2,100	09/30/2014	
BNSF 2013-604(RMM)	2	\$7,500	\$7,500	\$4,875	09/30/2014	
BNSF 2013-606(EP)	2	\$2,000	\$2,000	\$1,320	09/30/2014	
BNSF 2013-608(EP)	1	\$1,000	\$1,000	\$665	09/30/2014	
BNSF 2013-609(EP)	1	\$1,000	\$1,000	\$665	09/30/2014	
BNSF 2013-610(EP)	1	\$1,000	\$1,000	\$665	09/30/2014	
BNSF 2013-611(EP)	1	\$1,000	\$1,000	\$665	09/30/2014	
BNSF 2013-612(SA)	1	\$5,000	\$5,000	\$3,245	09/30/2014	
BNSF 2013-613(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2014	
BNSF 2013-614(SA)	1	\$5,000	\$5,000	\$3,245	09/30/2014	
BNSF 2013-615(SA)	1	\$5,000	\$5,000	\$3,175	09/30/2014	
BNSF 2013-616(SA)	1	\$5,000	\$5,000	\$3,265	09/30/2014	
BNSF 2013-617(SA)	1	\$5,000	\$5,000	\$3,265	09/30/2014	
BNSF 2013-618(SA)	1	\$5,000	\$5,000	\$3,275	09/30/2014	
BNSF 2013-619(SA)	1	\$2,500	\$2,500	\$1,625	09/30/2014	
BNSF 2013-620(SA)	1	\$5,000	\$5,000	\$3,275	09/30/2014	
BNSF 2013-621(HMT)	1	\$2,000	\$2,000	\$1,300	09/30/2014	
BNSF 2013-622(HMT)	6	\$12,000	\$12,000	\$7,000	09/30/2014	
BNSF 2013-623(TS)	1	\$5,000	\$5,000	\$3,325	09/30/2014	
BNSF 2013-624(TS)	1	\$5,000	\$5,000	\$3,350	09/30/2014	
BNSF 2013-625(TS)	1	\$5,000	\$5,000	\$3,475	09/30/2014	
BNSF 2013-626(TS)	3	\$10,000	\$10,000	\$6,600	09/30/2014	
BNSF 2013-627(TS)	2	\$5,000	\$5,000	\$3,275	09/30/2014	
BNSF 2013-628(TS)	1	\$2,500	\$2,500	\$1,665	09/30/2014	
BNSF 2013-629(ROP)	1	\$7,500	\$7,500	\$4,800	09/30/2014	
BNSF 2013-630(TS)	2	\$5,000	\$5,000	\$3,475	09/30/2014	
BNSF 2013-631(TS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
BNSF 2013-632(TS)	2	\$5,000	\$5,000	\$3,475	09/30/2014	
BNSF 2013-633(SA)	1	\$5,000	\$5,000	\$3,255	09/30/2014	
BNSF 2013-634(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
BNSF 2013-635(ROP)	1	\$9,500	\$9,500	\$6,510	09/30/2014	
BNSF 2013-636(SA)	1	\$5,000	\$5,000	\$3,260	09/30/2014	
BNSF 2013-637(SA)	1	\$5,000	\$5,000	\$3,255	09/30/2014	
BNSF 2013-638(SA)	1	\$5,000	\$5,000	\$3,235	09/30/2014	
BNSF 2013-639(SA)	1	\$5,000	\$5,000	\$3,235	09/30/2014	
BNSF 2013-640(SA)	1	\$5,000	\$5,000	\$3,275	09/30/2014	
BNSF 2013-641(ROP)	1	\$9,500	\$9,500	\$6,525	09/30/2014	
BNSF 2013-642(FCS)	2	\$5,000	\$5,000	\$3,250	09/30/2014	
BNSF 2013-643(SA)	1	\$2,500	\$2,500	\$1,630	09/30/2014	
BNSF 2013-644(SA)	1	\$2,500	\$2,500	\$1,600	09/30/2014	
BNSF 2013-645(SA)	1	\$2,500	\$2,500	\$1,630	09/30/2014	
BNSF 2013-646(SA)	1	\$5,000	\$5,000	\$3,150	09/30/2014	
BNSF 2013-647(SA)	1	\$5,000	\$5,000	\$3,285	09/30/2014	
BNSF 2013-648(FCS)	1	\$5,000	\$5,000	\$3,250	09/30/2014	
BNSF 2013-649(FCS)	1	\$2,500	\$2,500	\$1,635	09/30/2014	

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BNSF 2013-650(FCS)	1	\$2,500	\$2,500	\$1,630	09/30/2014	
BNSF 2013-651(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2014	
BNSF 2013-652(SA)	1	\$2,500	\$2,500	\$1,630	09/30/2014	
BNSF 2013-653(FCS)	1	\$2,500	\$2,500	\$1,635	09/30/2014	
BNSF 2013-654(RW)	1	\$1,000	\$1,000	\$670	09/30/2014	
BNSF 2013-656(HSR)	1	\$1,000	\$1,000	\$670	09/30/2014	
BNSF 2013-657(LI)	1	\$2,500	\$2,500	\$1,550	09/30/2014	
BNSF 2013-658(HS)	2	\$2,000	\$0	\$0	09/30/2014	Case Terminated.
BNSF 2013-660(HS)	1	\$1,000	\$0	\$0	09/30/2014	Case Terminated.
BNSF 2013-661(HS)	1	\$1,000	\$1,000	\$665	09/30/2014	
BNSF 2013-663(TS)	8	\$8,000	\$8,000	\$5,500	09/30/2014	
BNSF 2013-664(TS)	4	\$20,000	\$20,000	\$13,100	09/30/2014	
BNSF 2013-665(SA)	1	\$5,000	\$5,000	\$3,200	09/30/2014	
BNSF 2013-666(SA)	1	\$5,000	\$5,000	\$3,375	09/30/2014	
BNSF 2013-667(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2014	
BNSF 2013-668(ROP)	1	\$5,000	\$5,000	\$3,250	09/30/2014	
BNSF 2013-669(SI)	1	\$1,000	\$1,000	\$680	09/30/2014	
BNSF 2013-670(TS)	1	\$1,000	\$1,000	\$680	09/30/2014	
BNSF 2013-671(TS)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
BNSF 2013-672(TS)	4	\$9,500	\$9,500	\$6,200	09/30/2014	
BNSF 2013-673(TS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
BNSF 2013-674(TS)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
BNSF 2013-675(TS)	1	\$2,500	\$2,500	\$1,725	09/30/2014	
BNSF 2013-676(TS)	1	\$5,000	\$5,000	\$3,275	09/30/2014	
BNSF 2013-677(TS)	1	\$5,000	\$5,000	\$3,285	09/30/2014	
BNSF 2013-679(SA)	1	\$2,500	\$2,500	\$1,630	09/30/2014	
BNSF 2013-680(SI)	1	\$5,000	\$5,000	\$3,400	09/30/2014	
BNSF 2013-683(TS)	1	\$5,000	\$5,000	\$3,275	09/30/2014	
BNSF 2013-685(SA)	1	\$5,000	\$5,000	\$3,200	09/30/2014	
BNSF 2013-686(TS)	1	\$1,000	\$1,000	\$680	09/30/2014	
BNSF 2013-687(SA)	1	\$5,000	\$5,000	\$3,260	09/30/2014	
BNSF 2013-688(SI)	1	\$5,000	\$5,000	\$3,600	09/30/2014	
BNSF 2013-689(ROP)	1	\$2,000	\$2,000	\$1,280	09/30/2014	
BNSF 2013-690(ROP)	1	\$2,000	\$2,000	\$1,280	09/30/2014	
BNSF 2013-691(FCS)	1	\$2,500	\$2,500	\$1,675	09/30/2014	
BNSF 2013-692(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2014	
BNSF 2013-693(SA)	1	\$5,000	\$5,000	\$3,375	09/30/2014	
BNSF 2013-694(LI)	2	\$4,500	\$4,500	\$2,900	09/30/2014	
BNSF 2013-695(EP)	1	\$1,000	\$1,000	\$665	09/30/2014	
BNSF 2013-697(GC)	1	\$5,000	\$5,000	\$3,450	09/30/2014	
BNSF 2013-698(TS)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
BNSF 2013-699(TS)	1	\$2,500	\$2,500	\$1,680	09/30/2014	
BNSF 2013-700(ROP)	1	\$5,000	\$5,000	\$3,300	09/30/2014	
BNSF 2013-701(SA)	1	\$2,500	\$2,500	\$1,620	09/30/2014	
BNSF 2013-702(SA)	1	\$2,500	\$2,500	\$1,620	09/30/2014	
BNSF 2013-703(SA)	1	\$2,500	\$2,500	\$1,635	09/30/2014	
BNSF 2013-704(SA)	1	\$2,500	\$2,500	\$1,630	09/30/2014	
BNSF 2013-705(SA)	1	\$5,000	\$5,000	\$3,085	09/30/2014	
BNSF 2013-706(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2014	

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BNSF 2013-707(SA)	1	\$5,000	\$5,000	\$3,000	09/30/2014	
BNSF 2013-708(SA)	1	\$5,000	\$5,000	\$3,000	09/30/2014	
BNSF 2013-709(SA)	1	\$5,000	\$5,000	\$3,255	09/30/2014	
BNSF 2013-710(SA)	1	\$5,000	\$5,000	\$3,225	09/30/2014	
BNSF 2013-711(SA)	1	\$5,000	\$5,000	\$3,000	09/30/2014	
BNSF 2013-712(SA)	1	\$5,000	\$5,000	\$3,225	09/30/2014	
BNSF 2013-713(SA)	1	\$5,000	\$5,000	\$3,000	09/30/2014	
BNSF 2013-714(ROP)	1	\$5,000	\$5,000	\$3,250	09/30/2014	
BNSF 2014-1(FCS)	1	\$5,000	\$5,000	\$3,400	09/30/2014	
BNSF 2014-2(TS)	2	\$10,000	\$10,000	\$7,000	09/30/2014	
BNSF 2014-3(ROP)	1	\$7,500	\$7,500	\$5,100	09/30/2014	
BNSF 2014-4(ROP)	1	\$9,500	\$9,500	\$6,650	09/30/2014	
BNSF 2014-5(FCS)	1	\$2,500	\$2,500	\$1,745	09/30/2014	
BNSF 2014-6(FCS)	1	\$2,500	\$2,500	\$1,640	09/30/2014	
BNSF 2014-7(ROP)	1	\$7,500	\$7,500	\$5,025	09/30/2014	
BNSF 2014-8(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2014	
BNSF 2014-10(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
BNSF 2014-12(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2014	
BNSF 2014-13(SA)	1	\$5,000	\$5,000	\$3,235	09/30/2014	
BNSF 2014-14(SA)	1	\$5,000	\$5,000	\$3,230	09/30/2014	
BNSF 2014-15(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2014	
BNSF 2014-16(ROP)	1	\$7,500	\$7,500	\$4,875	09/30/2014	
BNSF 2014-17(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2014	
BNSF 2014-18(SA)	1	\$5,000	\$5,000	\$3,200	09/30/2014	
BNSF 2014-19(SA)	1	\$5,000	\$5,000	\$3,200	09/30/2014	
BNSF 2014-20(SA)	1	\$5,000	\$5,000	\$3,200	09/30/2014	
BNSF 2014-21(RMM)	2	\$10,000	\$10,000	\$6,200	09/30/2014	
BNSF 2014-22(GC)	1	\$5,000	\$5,000	\$3,425	09/30/2014	
BNSF 2014-24(TS)	2	\$5,000	\$5,000	\$3,300	09/30/2014	
BNSF 2014-25(SA)	1	\$5,000	\$5,000	\$3,210	09/30/2014	
BNSF 2014-26(SA)	1	\$5,000	\$5,000	\$3,225	09/30/2014	
BNSF 2014-27(SA)	1	\$2,500	\$2,500	\$1,600	09/30/2014	
BNSF 2014-28(ROP)	1	\$9,500	\$9,500	\$6,150	09/30/2014	
BNSF 2014-29(SA)	1	\$2,500	\$2,500	\$1,605	09/30/2014	
BNSF 2014-31(SA)	1	\$2,500	\$2,500	\$1,625	09/30/2014	
BNSF 2014-32(SA)	1	\$2,500	\$2,500	\$1,725	09/30/2014	
BNSF 2014-33(SA)	1	\$2,500	\$2,500	\$1,630	09/30/2014	
BNSF 2014-34(SA)	1	\$2,500	\$2,500	\$1,630	09/30/2014	
BNSF 2014-35(SA)	1	\$5,000	\$5,000	\$3,305	09/30/2014	
BNSF 2014-36(LI)	1	\$2,500	\$0	\$0	09/30/2014	Case Terminated.
BNSF 2014-37(AR)	1	\$2,500	\$2,500	\$1,525	09/30/2014	
BNSF 2014-38(TS)	1	\$2,500	\$2,500	\$1,575	09/30/2014	
BNSF 2014-40(LI)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
BNSF 2014-41(LI)	2	\$5,000	\$5,000	\$3,225	09/30/2014	
BNSF 2014-43(AR)	1	\$2,500	\$2,500	\$1,525	09/30/2014	
BNSF 2014-44(ROP)	1	\$9,500	\$9,500	\$6,025	09/30/2014	
BNSF 2014-45(TS)	1	\$5,000	\$5,000	\$3,285	09/30/2014	
BNSF 2014-46(TS)	1	\$5,000	\$5,000	\$3,275	09/30/2014	
BNSF 2014-47(TS)	1	\$2,500	\$2,500	\$1,650	09/30/2014	

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BNSF 2014-49(TS)	2	\$10,000	\$10,000	\$7,000	09/30/2014	
BNSF 2014-52(TS)	4	\$5,500	\$5,500	\$3,610	09/30/2014	
BNSF 2014-53(TS)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
BNSF 2014-54(ROR)	1	\$9,500	\$9,500	\$5,975	09/30/2014	
BNSF 2014-55(SA)	1	\$2,500	\$2,500	\$1,625	09/30/2014	
BNSF 2014-57(SA)	1	\$5,000	\$5,000	\$3,225	09/30/2014	
BNSF 2014-58(ROP)	1	\$9,500	\$9,500	\$6,035	09/30/2014	
BNSF 2014-59(RSP)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
BNSF 2014-61(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
BNSF 2014-62(SA)	1	\$5,000	\$5,000	\$3,350	09/30/2014	
BNSF 2014-63(ROP)	1	\$7,500	\$7,500	\$4,875	09/30/2014	
BNSF 2014-64(ROP)	1	\$2,000	\$2,000	\$1,315	09/30/2014	
BNSF 2014-66(ROP)	1	\$7,500	\$7,500	\$4,650	09/30/2014	
BNSF 2014-67(SA)	1	\$5,000	\$5,000	\$3,255	09/30/2014	
BNSF 2014-68(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2014	
BNSF 2014-69(SA)	1	\$5,000	\$0	\$0	09/30/2014	Case Terminated.
BNSF 2014-70(SA)	1	\$5,000	\$5,000	\$3,235	09/30/2014	
BNSF 2014-71(TS)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
BNSF 2014-72(TS)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
BNSF 2014-73(ROP)	1	\$7,500	\$7,500	\$4,850	09/30/2014	
BNSF 2014-74(ROP)	1	\$5,000	\$5,000	\$3,175	09/30/2014	
BNSF 2014-75(ROP)	1	\$5,000	\$5,000	\$3,255	09/30/2014	
BNSF 2014-77(ROP)	1	\$5,000	\$5,000	\$3,250	09/30/2014	
BNSF 2014-79(SA)	1	\$2,500	\$2,500	\$1,620	09/30/2014	
BNSF 2014-80(SA)	1	\$2,500	\$2,500	\$1,605	09/30/2014	
BNSF 2014-81(SA)	1	\$5,000	\$5,000	\$3,200	09/30/2014	
BNSF 2014-82(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2014	
BNSF 2014-83(FCS)	1	\$5,000	\$5,000	\$3,150	09/30/2014	
BNSF 2014-84(TS)	1	\$5,000	\$5,000	\$3,350	09/30/2014	
BNSF 2014-85(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2014	
BNSF 2014-86(SI)	1	\$5,000	\$5,000	\$3,400	09/30/2014	
BNSF 2014-88(LI)	3	\$7,500	\$7,500	\$4,825	09/30/2014	
BNSF 2014-89(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2014	
BNSF 2014-90(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2014	
BNSF 2014-91(SA)	1	\$5,000	\$5,000	\$3,225	09/30/2014	
BNSF 2014-93(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2014	
BNSF 2014-94(SA)	1	\$2,500	\$2,500	\$1,625	09/30/2014	
BNSF 2014-95(SA)	1	\$5,000	\$5,000	\$3,100	09/30/2014	
BNSF 2014-96(SA)	1	\$5,000	\$5,000	\$3,325	09/30/2014	
BNSF 2014-99(SA)	1	\$5,000	\$5,000	\$3,245	09/30/2014	
BNSF 2014-103(EP)	1	\$1,000	\$1,000	\$665	09/30/2014	
BNSF 2014-104(GC)	1	\$5,000	\$5,000	\$3,450	09/30/2014	
BNSF 2014-105(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2014	
BNSF 2014-106(TS)	1	\$5,000	\$5,000	\$3,300	09/30/2014	
BNSF 2014-107(LI)	1	\$2,500	\$2,500	\$1,625	09/30/2014	
BNSF 2014-108(TS)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
BNSF 2014-109(SA)	1	\$2,500	\$2,500	\$1,630	09/30/2014	
BNSF 2014-110(SA)	1	\$5,000	\$5,000	\$3,255	09/30/2014	
BNSF 2014-111(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2014	

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BNSF 2014-112(SI)	1	\$2,500	\$2,500	\$1,725	09/30/2014	
BNSF 2014-113(SI)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
BNSF 2014-114(GC)	1	\$5,000	\$5,000	\$3,425	09/30/2014	
BNSF 2014-115(EP)	1	\$1,000	\$1,000	\$665	09/30/2014	
BNSF 2014-116(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
BNSF 2014-117(SA)	1	\$5,000	\$5,000	\$3,255	09/30/2014	
BNSF 2014-118(SA)	1	\$5,000	\$5,000	\$3,265	09/30/2014	
BNSF 2014-119(ROP)	1	\$2,000	\$2,000	\$1,350	09/30/2014	
BNSF 2014-120(ROP)	1	\$7,500	\$7,500	\$5,025	09/30/2014	
BNSF 2014-121(ROP)	1	\$7,500	\$7,500	\$4,875	09/30/2014	
BNSF 2014-122(ROP)	1	\$7,500	\$7,500	\$4,850	09/30/2014	
BNSF 2014-123(TS)	1	\$5,000	\$5,000	\$3,275	09/30/2014	
BNSF 2014-124(SA)	1	\$5,000	\$5,000	\$3,275	09/30/2014	
BNSF 2014-125(TS)	2	\$10,000	\$10,000	\$6,610	09/30/2014	
BNSF 2014-126(TS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
BNSF 2014-127(ROP)	1	\$9,500	\$9,500	\$6,100	09/30/2014	
BNSF 2014-128(RW)	1	\$1,000	\$1,000	\$650	09/30/2014	
BNSF 2014-129(EP)	1	\$1,000	\$1,000	\$665	09/30/2014	
BNSF 2014-130(EP)	1	\$1,000	\$1,000	\$665	09/30/2014	
BNSF 2014-131(EP)	1	\$1,000	\$1,000	\$665	09/30/2014	
BNSF 2014-132(SA)	2	\$10,000	\$10,000	\$6,000	09/30/2014	
BNSF 2014-133(SA)	1	\$5,000	\$5,000	\$3,000	09/30/2014	
BNSF 2014-134(SA)	1	\$5,000	\$5,000	\$3,260	09/30/2014	
BNSF 2014-135(ROP)	1	\$7,500	\$7,500	\$4,975	09/30/2014	
BNSF 2014-136(ROP)	1	\$9,500	\$9,500	\$6,025	09/30/2014	
BNSF 2014-137(SA)	1	\$2,500	\$2,500	\$1,620	09/30/2014	
BNSF 2014-138(SA)	1	\$5,000	\$5,000	\$3,000	09/30/2014	
BNSF 2014-140(TS)	1	\$5,000	\$5,000	\$3,285	09/30/2014	
BNSF 2014-141(TS)	1	\$5,000	\$5,000	\$3,325	09/30/2014	
BNSF 2014-142(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2014	
BNSF 2014-143(ROP)	1	\$9,500	\$9,500	\$6,025	09/30/2014	
BNSF 2014-144(TS)	1	\$2,500	\$2,500	\$1,675	09/30/2014	
BNSF 2014-146(ROP)	1	\$5,000	\$5,000	\$3,375	09/30/2014	
BNSF 2014-147(ROP)	1	\$5,000	\$5,000	\$3,250	09/30/2014	
BNSF 2014-148(ROP)	1	\$1,000	\$1,000	\$680	09/30/2014	
BNSF 2014-150(ROP)	1	\$9,500	\$9,500	\$6,025	09/30/2014	
BNSF 2014-151(ROR)	1	\$9,500	\$9,500	\$5,800	09/30/2014	
BNSF 2014-154(SA)	1	\$2,500	\$2,500	\$1,630	09/30/2014	
BNSF 2014-155(SA)	1	\$2,500	\$2,500	\$1,615	09/30/2014	
BNSF 2014-156(SA)	1	\$2,500	\$2,500	\$1,615	09/30/2014	
BNSF 2014-158(HS)	1	\$1,000	\$1,000	\$665	09/30/2014	
BNSF 2014-162(TS)	1	\$2,500	\$2,500	\$1,725	09/30/2014	
BNSF 2014-163(TS)	1	\$5,000	\$5,000	\$3,350	09/30/2014	
BNSF 2014-164(TS)	2	\$7,500	\$7,500	\$5,150	09/30/2014	
BNSF 2014-166(SA)	1	\$5,000	\$5,000	\$3,000	09/30/2014	
BNSF 2014-167(SA)	1	\$5,000	\$5,000	\$3,000	09/30/2014	
BNSF 2014-168(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2014	
BNSF 2014-170(ROP)	1	\$9,500	\$9,500	\$6,025	09/30/2014	
BNSF 2014-171(ROP)	1	\$9,500	\$9,500	\$6,175	09/30/2014	

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BNSF 2014-172(ROP)	2	\$4,000	\$4,000	\$2,600	09/30/2014	
BNSF 2014-174(SA)	1	\$2,500	\$2,500	\$1,620	09/30/2014	
BNSF 2014-175(SA)	1	\$2,500	\$2,500	\$1,620	09/30/2014	
BNSF 2014-176(SA)	1	\$2,500	\$2,500	\$1,620	09/30/2014	
BNSF 2014-178(TS)	2	\$10,000	\$10,000	\$7,000	09/30/2014	
BNSF 2014-179(ROP)	1	\$7,500	\$7,500	\$4,850	09/30/2014	
BNSF 2014-184(SA)	1	\$2,500	\$2,500	\$1,625	09/30/2014	
BNSO 2008-1(PEQ)	4	\$20,000	\$0	\$0	09/30/2014	Case Terminated.
BNSO 2010-1(AR)	4	\$10,000	\$0	\$0	09/30/2014	Case Terminated.
BNSO 2011-1(ROP)	1	\$9,500	\$9,500	\$6,025	09/30/2014	
BOP 2013-1(EQ)	2	\$2,000	\$2,000	\$2,000	01/21/2014	
BPRR 2012-5(TS)	9	\$18,000	\$18,000	\$11,520	09/30/2014	
BPRR 2014-1(TS)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
BRC 2012-6(HMT)	3	\$9,000	\$9,000	\$6,300	02/26/2014	
BRC 2012-7(ROP)	1	\$9,500	\$9,500	\$6,650	02/26/2014	
BRC 2012-8(ROP)	1	\$9,500	\$9,500	\$6,650	02/26/2014	
BRC 2013-1(SA)	1	\$5,000	\$5,000	\$3,500	02/26/2014	
BRC 2013-2(HMT)	2	\$6,000	\$6,000	\$4,200	02/26/2014	
BRC 2013-3(HMT)	5	\$37,500	\$37,500	\$26,250	02/26/2014	
BRC 2013-4(HMT)	2	\$9,500	\$9,500	\$6,650	02/26/2014	
BRC 2013-5(SA)	2	\$5,000	\$5,000	\$3,500	02/26/2014	
BRC 2013-6(FCS)	1	\$2,500	\$2,500	\$1,750	02/26/2014	
BRC 2013-7(SA)	1	\$2,500	\$2,500	\$1,750	02/26/2014	
BRC 2013-8(SA)	2	\$7,500	\$7,500	\$5,250	02/26/2014	
BT 2013-1(AR)	1	\$2,500	\$2,500	\$1,250	09/29/2014	
BT 2013-2(AR)	1	\$2,500	\$2,500	\$1,250	09/29/2014	
BT 2013-3(AR)	1	\$2,500	\$2,500	\$1,250	09/29/2014	
BVRR 2013-1(ROP)	1	\$5,000	\$0	\$0	09/29/2014	Case Terminated.
CARS 2007-1(TH)	2	\$6,000	\$0	\$0	04/01/2014	Case Terminated.
CARS 2007-2(SA)	1	\$5,000	\$0	\$0	04/01/2014	Case Terminated.
CARS 2008-1(AR)	1	\$2,500	\$0	\$0	04/01/2014	Case Terminated.
CARS 2009-1(TS)	3	\$3,000	\$0	\$0	04/01/2014	Case Terminated.
CARS 2009-2(TS)	2	\$7,500	\$0	\$0	04/01/2014	Case Terminated.
CARS 2009-3(SA)	1	\$5,000	\$5,000	\$4,000	04/01/2014	
CARS 2010-1(TS)	1	\$5,000	\$5,000	\$4,000	04/01/2014	
CARS 2010-2(TS)	2	\$10,000	\$10,000	\$8,000	04/01/2014	
CARS 2010-3(TS)	1	\$5,000	\$5,000	\$4,000	04/01/2014	
CARS 2010-4(AR)	1	\$2,500	\$2,500	\$2,000	04/01/2014	
CARS 2010-5(SA)	1	\$5,000	\$5,000	\$4,000	04/01/2014	
CBCX 2009-1(SA)	1	\$5,000	\$0	\$0	04/14/2014	Case Terminated.
CBRW 2008-1(TS)	1	\$5,000	\$0	\$0	04/01/2014	Case Terminated.
CBRW 2013-1(SA)	1	\$2,500	\$2,500	\$2,500	04/01/2014	
CC 2013-1(SA)	1	\$2,500	\$2,500	\$1,675	08/31/2014	
CC 2013-2(SA)	1	\$5,000	\$5,000	\$3,450	08/31/2014	
CC 2013-3(LI)	1	\$5,000	\$5,000	\$3,400	08/31/2014	
CCRL 2010-1(HMT)	1	\$1,500	\$1,500	\$1,100	04/08/2014	
CCT 2007-1(HMT)	2	\$6,000	\$0	\$0	04/17/2014	Case Terminated.
CCT 2010-1(RW)	2	\$5,000	\$5,000	\$3,500	04/14/2014	
CFE 2013-1(LI)	2	\$3,000	\$3,000	\$2,100	09/30/2014	

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CFE 2013-2(LI)	1	\$1,500	\$1,500	\$1,050	09/30/2014	
CFI 2012-1(HMT)	1	\$5,000	\$5,000	\$4,000	04/09/2014	
CFNR 2013-1(SI)	1	\$5,000	\$5,000	\$3,600	09/30/2014	
CFNR 2013-2(SI)	1	\$2,500	\$2,500	\$1,800	09/30/2014	
CFNR 2013-3(GC)	1	\$5,000	\$5,000	\$3,600	09/30/2014	
CFRC 2012-4(RW)	1	\$5,000	\$5,000	\$5,000	05/19/2014	
CFRC 2014-1(HSR)	3	\$3,000	\$3,000	\$3,000	05/07/2014	
CGIV 2013-2(EQ)	1	\$1,000	\$1,000	\$800	09/04/2014	
CIC 2014-1(SA)	2	\$10,000	\$10,000	\$8,000	04/14/2014	
CIND 2013-2(SI)	1	\$5,000	\$5,000	\$3,600	09/30/2014	
CIND 2013-3(SI)	1	\$5,000	\$5,000	\$3,600	09/30/2014	
CIND 2013-4(SI)	1	\$2,500	\$2,500	\$1,800	09/30/2014	
CKIN 2014-1(SA)	1	\$5,000	\$5,000	\$2,500	08/04/2014	
CLC 2012-1(TS)	4	\$5,500	\$5,500	\$3,700	04/21/2014	
CLC 2012-2(ROP)	1	\$9,500	\$9,500	\$6,300	04/21/2014	
CLNA 2010-1(ROP)	1	\$7,500	\$7,500	\$5,250	05/15/2014	
CLNA 2011-1(ROP)	1	\$5,000	\$5,000	\$3,500	05/15/2014	
CLNA 2013-1(SA)	1	\$2,500	\$0	\$0	05/15/2014	Case Terminated.
CLP 2009-1(HMT)	5	\$12,500	\$0	\$0	03/24/2014	Case Terminated.
CLP 2009-2(TS)	1	\$5,000	\$5,000	\$4,500	04/17/2014	
CLP 2010-1(TS)	1	\$5,000	\$5,000	\$4,500	04/17/2014	
CMC 2008-1(SA)	1	\$2,500	\$0	\$0	04/14/2014	Case Terminated.
CMR 2007-1(TS)	1	\$5,000	\$0	\$0	04/14/2014	Case Terminated.
CMR 2007-2(HSR)	1	\$1,000	\$0	\$0	04/14/2014	Case Terminated.
CMR 2009-1(GC)	1	\$1,000	\$0	\$0	04/14/2014	Case Terminated.
CMTY 2010-2(GC)	2	\$10,000	\$10,000	\$8,000	04/10/2014	
CN 2013-1(HS)	2	\$2,000	\$2,000	\$1,380	08/31/2014	
CN 2013-2(SA)	1	\$5,000	\$5,000	\$3,450	08/31/2014	
CN 2013-3(TS)	1	\$1,000	\$1,000	\$660	08/31/2014	
CN 2013-4(LI)	1	\$2,500	\$2,500	\$1,650	08/31/2014	
CN 2013-5(HMT)	1	\$4,000	\$4,000	\$2,800	08/31/2014	
CN 2013-6(HMT)	2	\$4,000	\$4,000	\$2,680	08/31/2014	
CN 2013-7(FCS)	1	\$2,000	\$2,000	\$1,300	08/31/2014	
CN 2013-8(SA)	1	\$5,000	\$5,000	\$3,350	08/31/2014	
CN 2013-9(SA)	1	\$10,000	\$10,000	\$7,000	08/31/2014	
CN 2013-11(SA)	1	\$5,000	\$5,000	\$3,250	08/31/2014	
CN 2013-12(SA)	1	\$5,000	\$5,000	\$3,250	08/31/2014	
CN 2013-13(SA)	1	\$2,500	\$2,500	\$1,650	08/31/2014	
CN 2013-14(LI)	2	\$5,000	\$5,000	\$3,250	08/31/2014	
CN 2013-15(SA)	4	\$10,000	\$10,000	\$6,500	08/31/2014	
CN 2013-16(LI)	1	\$1,500	\$0	\$0	08/31/2014	Case Terminated.
CN 2013-19(HS)	3	\$3,000	\$3,000	\$2,070	08/31/2014	
CN 2013-20(SA)	1	\$2,500	\$2,500	\$1,700	08/31/2014	
CN 2013-21(TS)	2	\$5,000	\$5,000	\$3,400	08/31/2014	
CN 2013-22(HMT)	6	\$18,000	\$18,000	\$12,560	08/31/2014	
CN 2013-23(HMT)	2	\$9,000	\$9,000	\$6,300	08/31/2014	
CN 2013-24(HS)	1	\$1,000	\$1,000	\$690	08/31/2014	
CN 2013-25(SA)	2	\$10,000	\$10,000	\$6,900	08/31/2014	
CN 2013-26(ROP)	3	\$6,000	\$6,000	\$3,600	08/31/2014	

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CN 2013-27(SA)	2	\$7,500	\$7,500	\$5,150	08/31/2014	
CN 2013-28(LI)	1	\$2,500	\$2,500	\$1,650	08/31/2014	
CN 2013-29(RW)	1	\$1,000	\$1,000	\$700	08/31/2014	
CN 2013-30(HMT)	1	\$4,000	\$4,000	\$2,720	08/31/2014	
CN 2013-31(TS)	15	\$15,000	\$15,000	\$10,180	08/31/2014	
CN 2013-32(SA)	1	\$2,500	\$2,500	\$1,625	08/31/2014	
CN 2013-33(ROP)	1	\$2,000	\$2,000	\$1,200	08/31/2014	
CN 2013-34(LI)	1	\$2,500	\$2,500	\$1,625	08/31/2014	
CN 2013-35(ROP)	3	\$17,000	\$17,000	\$11,860	08/31/2014	
CN 2013-36(ROP)	1	\$5,000	\$5,000	\$3,500	08/31/2014	
CN 2013-37(SA)	2	\$10,000	\$10,000	\$6,500	08/31/2014	
CN 2013-38(ROP)	1	\$9,500	\$9,500	\$6,650	08/31/2014	
CN 2013-39(LI)	1	\$2,500	\$2,500	\$1,625	08/31/2014	
CN 2013-40(ROP)	1	\$7,500	\$7,500	\$5,250	08/31/2014	
CN 2013-41(HS)	1	\$1,000	\$1,000	\$660	08/31/2014	
CN 2013-43(FCS)	1	\$2,500	\$2,500	\$1,625	08/31/2014	
CN 2013-44(ROP)	1	\$7,500	\$2,000	\$1,200	08/31/2014	Adjusted PRCA for Violation(s): 1.
CN 2013-45(ROP)	1	\$9,500	\$9,500	\$6,650	08/31/2014	
CN 2013-46(ROP)	1	\$2,500	\$2,500	\$1,650	08/31/2014	
CN 2013-47(HMT)	1	\$1,000	\$1,000	\$680	08/31/2014	
CN 2013-48(HMT)	1	\$4,000	\$4,000	\$2,760	08/31/2014	
CN 2013-49(TS)	1	\$5,000	\$5,000	\$3,450	08/31/2014	
CN 2013-50(LI)	1	\$2,500	\$2,500	\$1,650	08/31/2014	
CN 2013-51(HMT)	1	\$7,500	\$7,500	\$5,250	08/31/2014	
CN 2013-52(HMT)	1	\$4,000	\$4,000	\$2,800	08/31/2014	
CN 2013-53(FCS)	1	\$2,000	\$2,000	\$1,300	08/31/2014	
CN 2013-54(SA)	1	\$2,500	\$2,500	\$1,600	08/31/2014	
CN 2013-55(SA)	1	\$2,500	\$2,500	\$1,600	08/31/2014	
CN 2013-56(SA)	1	\$2,500	\$2,500	\$1,600	08/31/2014	
CN 2013-57(SA)	1	\$2,500	\$2,500	\$1,600	08/31/2014	
CN 2013-58(FCS)	1	\$2,000	\$2,000	\$1,300	08/31/2014	
CN 2013-59(GC)	1	\$1,000	\$1,000	\$700	08/31/2014	
CN 2013-60(HMT)	1	\$8,000	\$0	\$0	08/31/2014	Case Terminated.
CN 2013-61(HMT)	1	\$4,000	\$4,000	\$2,800	08/31/2014	
CN 2013-62(HMT)	1	\$4,000	\$4,000	\$2,760	08/31/2014	
CN 2013-63(TS)	2	\$5,000	\$5,000	\$3,400	08/31/2014	
CN 2013-64(FCS)	1	\$2,000	\$2,000	\$1,300	08/31/2014	
CN 2013-65(FCS)	1	\$2,500	\$2,500	\$1,600	08/31/2014	
CN 2013-66(LI)	1	\$2,500	\$2,500	\$1,625	08/31/2014	
CN 2013-67(LI)	1	\$1,000	\$0	\$0	08/31/2014	Case Terminated.
CN 2013-68(LI)	1	\$2,500	\$2,500	\$1,625	08/31/2014	
CN 2013-69(LI)	1	\$1,500	\$1,500	\$990	08/31/2014	
CN 2013-70(SA)	1	\$2,500	\$2,500	\$1,650	08/31/2014	
CN 2013-71(SA)	1	\$5,000	\$5,000	\$3,450	08/31/2014	
CN 2013-72(SA)	1	\$5,000	\$5,000	\$3,250	08/31/2014	
CN 2013-73(SA)	1	\$2,500	\$2,500	\$1,650	08/31/2014	
CN 2013-74(SA)	1	\$5,000	\$5,000	\$3,250	08/31/2014	
CN 2013-75(SA)	1	\$5,000	\$5,000	\$3,450	08/31/2014	
CN 2013-76(ROP)	1	\$5,000	\$5,000	\$3,350	08/31/2014	

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CN 2013-77(SA)	1	\$2,500	\$2,500	\$1,675	08/31/2014	
CN 2013-78(HMT)	1	\$2,000	\$2,000	\$1,340	08/31/2014	
CN 2013-79(AD)	2	\$10,000	\$10,000	\$6,600	08/31/2014	
CN 2013-80(EP)	1	\$1,000	\$1,000	\$650	08/31/2014	
CN 2013-81(HMT)	1	\$4,000	\$4,000	\$2,800	08/31/2014	
CN 2013-83(SA)	1	\$5,000	\$5,000	\$3,450	08/31/2014	
CN 2013-84(LI)	1	\$2,500	\$2,500	\$1,675	08/31/2014	
CN 2013-85(SA)	1	\$2,500	\$2,500	\$1,650	08/31/2014	
CN 2013-86(SA)	1	\$2,000	\$2,000	\$1,320	08/31/2014	
CN 2013-87(LI)	1	\$2,500	\$2,500	\$1,625	08/31/2014	
CN 2013-88(TS)	1	\$1,000	\$1,000	\$700	08/31/2014	
CN 2013-89(RSP)	1	\$9,500	\$9,500	\$6,650	08/31/2014	
CN 2013-90(TS)	1	\$5,000	\$5,000	\$3,450	08/31/2014	
CN 2013-97(ROP)	1	\$2,000	\$2,000	\$1,200	08/31/2014	
CN 2013-98(ROP)	1	\$9,500	\$9,500	\$6,650	08/31/2014	
CN 2013-99(SA)	1	\$5,000	\$5,000	\$3,350	08/31/2014	
CN 2013-100(SA)	1	\$5,000	\$5,000	\$3,450	08/31/2014	
CN 2013-101(HSR)	1	\$1,000	\$1,000	\$670	08/31/2014	
CN 2013-103(HSR)	1	\$1,000	\$1,000	\$670	08/31/2014	
CN 2013-104(HSR)	8	\$8,000	\$8,000	\$5,200	08/31/2014	
CN 2013-105(HSR)	8	\$8,000	\$8,000	\$5,200	08/31/2014	
CN 2013-106(HMT)	1	\$5,000	\$5,000	\$3,400	08/31/2014	
CN 2013-107(HMT)	1	\$4,000	\$4,000	\$2,760	08/31/2014	
CN 2013-108(AR)	1	\$2,500	\$2,500	\$1,575	08/31/2014	
CN 2013-109(AR)	1	\$2,500	\$2,500	\$1,575	08/31/2014	
CN 2013-110(HS)	1	\$1,000	\$1,000	\$690	08/31/2014	
CN 2013-111(AR)	1	\$2,500	\$2,500	\$1,575	08/31/2014	
CN 2013-112(AR)	1	\$2,500	\$2,500	\$1,575	08/31/2014	
CN 2013-113(SA)	1	\$2,500	\$2,500	\$1,650	08/31/2014	
CN 2013-114(EQ)	1	\$4,000	\$4,000	\$2,680	08/31/2014	
CN 2013-115(HMT)	1	\$4,000	\$4,000	\$2,760	08/31/2014	
CN 2013-116(CC)	1	\$4,000	\$4,000	\$2,720	08/31/2014	
CN 2013-117(SA)	1	\$5,000	\$5,000	\$3,450	08/31/2014	
CN 2013-118(ROP)	1	\$7,500	\$7,500	\$5,250	08/31/2014	
CN 2013-119(SA)	1	\$5,000	\$5,000	\$3,450	08/31/2014	
CN 2013-120(ROP)	1	\$7,500	\$2,000	\$1,200	08/31/2014	Adjusted PRCA Violation(s): 1.
CN 2013-121(AR)	1	\$2,500	\$2,500	\$1,575	08/31/2014	
CN 2013-123(ROP)	1	\$2,000	\$2,000	\$1,200	08/31/2014	
CN 2013-124(ROP)	1	\$7,500	\$7,500	\$5,250	08/31/2014	
CN 2013-125(GC)	1	\$2,500	\$2,500	\$1,675	08/31/2014	
CN 2013-126(GC)	1	\$2,500	\$2,500	\$1,675	08/31/2014	
CN 2013-127(GC)	1	\$2,500	\$2,500	\$1,675	08/31/2014	
CN 2013-128(HMT)	1	\$2,000	\$2,000	\$1,360	08/31/2014	
CN 2013-129(TS)	1	\$2,500	\$2,500	\$1,725	08/31/2014	
CN 2013-130(TS)	1	\$5,000	\$5,000	\$3,350	08/31/2014	
CN 2013-131(TS)	1	\$2,500	\$2,500	\$1,675	08/31/2014	
CN 2013-132(SA)	1	\$5,000	\$5,000	\$3,450	08/31/2014	
CN 2013-133(SA)	1	\$5,000	\$5,000	\$3,450	08/31/2014	
CN 2013-134(ROP)	1	\$7,500	\$7,500	\$5,250	08/31/2014	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
CN 2013-135(LI)	1	\$2,500	\$2,500	\$1,650	08/31/2014	
CN 2013-136(LI)	1	\$2,500	\$2,500	\$1,650	08/31/2014	
CN 2013-137(SA)	1	\$5,000	\$5,000	\$3,450	08/31/2014	
CN 2013-138(TS)	1	\$5,000	\$5,000	\$3,500	08/31/2014	
CN 2013-139(SA)	1	\$5,000	\$5,000	\$3,450	08/31/2014	
CN 2013-140(SA)	1	\$5,000	\$5,000	\$3,450	08/31/2014	
CN 2013-141(ROP)	1	\$2,000	\$2,000	\$1,200	08/31/2014	
CN 2013-142(TS)	1	\$1,000	\$1,000	\$660	08/31/2014	
CN 2013-143(HMT)	1	\$2,000	\$2,000	\$1,400	08/31/2014	
CN 2013-144(ROP)	1	\$2,000	\$2,000	\$1,200	08/31/2014	
CN 2013-145(ROP)	1	\$2,000	\$2,000	\$1,200	08/31/2014	
CN 2013-146(SA)	1	\$5,000	\$5,000	\$3,450	08/31/2014	
CN 2013-147(SA)	1	\$5,000	\$5,000	\$3,450	08/31/2014	
CN 2013-148(ROP)	1	\$2,000	\$2,000	\$1,200	08/31/2014	
CN 2013-149(TS)	1	\$5,000	\$5,000	\$3,350	08/31/2014	
CN 2013-150(TS)	1	\$5,000	\$5,000	\$3,350	08/31/2014	
CN 2013-151(TS)	1	\$1,000	\$1,000	\$660	08/31/2014	
CN 2013-152(TS)	1	\$1,000	\$1,000	\$660	08/31/2014	
CN 2013-153(TS)	1	\$1,000	\$1,000	\$660	08/31/2014	
CN 2013-154(TS)	1	\$1,000	\$1,000	\$670	08/31/2014	
CN 2013-155(SI)	1	\$1,000	\$1,000	\$690	08/31/2014	
CN 2013-156(SI)	4	\$4,000	\$4,000	\$2,750	08/31/2014	
CN 2013-157(ROP)	1	\$7,500	\$7,500	\$5,250	08/31/2014	
CN 2013-158(GC)	1	\$2,500	\$2,500	\$1,675	08/31/2014	
CN 2013-159(GC)	1	\$2,500	\$2,500	\$1,750	08/31/2014	
CN 2013-160(SA)	1	\$5,000	\$5,000	\$3,450	08/31/2014	
CN 2013-161(HMT)	1	\$4,000	\$4,000	\$2,800	08/31/2014	
CN 2013-162(HMT)	1	\$4,000	\$4,000	\$2,800	08/31/2014	
CN 2013-163(HMT)	1	\$4,000	\$4,000	\$2,800	08/31/2014	
CN 2013-165(TS)	1	\$5,000	\$5,000	\$3,350	08/31/2014	
CN 2013-166(ROP)	1	\$2,000	\$2,000	\$1,200	08/31/2014	
CN 2013-167(SA)	1	\$5,000	\$5,000	\$3,450	08/31/2014	
CN 2013-168(SA)	1	\$2,500	\$2,500	\$1,625	08/31/2014	
CN 2013-169(SA)	1	\$2,500	\$2,500	\$1,625	08/31/2014	
CN 2013-170(SA)	1	\$5,000	\$5,000	\$3,450	08/31/2014	
CN 2013-171(SA)	1	\$5,000	\$5,000	\$3,250	08/31/2014	
CN 2013-172(ROP)	1	\$5,000	\$5,000	\$3,500	08/31/2014	
CN 2013-173(ROP)	1	\$7,500	\$7,500	\$5,250	08/31/2014	
CN 2013-174(HSR)	11	\$11,000	\$11,000	\$7,150	08/31/2014	
CN 2013-175(HMT)	1	\$4,000	\$4,000	\$2,720	08/31/2014	
CN 2013-176(HMT)	1	\$5,000	\$5,000	\$3,400	08/31/2014	
CN 2013-177(HMT)	2	\$5,000	\$5,000	\$3,500	08/31/2014	
CN 2013-178(HMT)	4	\$8,000	\$8,000	\$5,280	08/31/2014	
CN 2013-179(HMT)	1	\$2,000	\$2,000	\$1,340	08/31/2014	
CN 2013-180(ROP)	1	\$2,000	\$2,000	\$1,200	08/31/2014	
CN 2013-181(ROP)	1	\$2,000	\$2,000	\$1,300	08/31/2014	
COSR 2013-1(GC)	1	\$5,000	\$5,000	\$3,600	09/30/2014	
CP 2012-64(ROP)	1	\$9,500	\$9,500	\$7,125	09/24/2014	
CP 2013-17(AR)	1	\$1,000	\$1,000	\$650	09/24/2014	

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CP 2013-18(FCS)	1	\$2,500	\$2,500	\$1,500	09/24/2014	
CP 2013-19(FCS)	1	\$2,500	\$2,500	\$1,500	09/24/2014	
CP 2013-20(FCS)	1	\$2,500	\$2,500	\$1,500	09/24/2014	
CP 2013-21(FCS)	1	\$2,500	\$2,500	\$1,500	09/24/2014	
CP 2013-22(FCS)	1	\$5,000	\$5,000	\$3,000	09/24/2014	
CP 2013-23(SA)	1	\$5,000	\$5,000	\$3,250	09/24/2014	
CP 2013-24(SA)	1	\$5,000	\$5,000	\$3,000	09/24/2014	
CP 2013-25(SA)	1	\$5,000	\$5,000	\$3,000	09/24/2014	
CP 2013-26(SA)	1	\$5,000	\$5,000	\$3,000	09/24/2014	
CP 2013-27(SA)	1	\$5,000	\$5,000	\$3,750	09/24/2014	
CP 2013-28(SA)	1	\$5,000	\$5,000	\$3,750	09/24/2014	
CP 2013-29(SA)	1	\$2,500	\$2,500	\$1,750	09/24/2014	
CP 2013-30(ROP)	1	\$5,000	\$5,000	\$3,750	09/24/2014	
CP 2013-31(ROP)	1	\$7,500	\$2,000	\$1,750	09/24/2014	Partially Terminated Violation(s): 1.
CP 2013-32(SA)	1	\$2,500	\$2,500	\$1,750	09/24/2014	
CP 2013-33(HMT)	1	\$5,000	\$5,000	\$3,500	09/24/2014	
CP 2013-34(AR)	1	\$1,000	\$1,000	\$700	09/24/2014	
CP 2013-35(CC)	1	\$1,000	\$1,000	\$800	09/24/2014	
CP 2013-36(FCS)	1	\$2,000	\$2,000	\$1,500	09/24/2014	
CP 2013-37(FCS)	1	\$2,000	\$2,000	\$1,500	09/24/2014	
CP 2013-38(ROP)	1	\$9,500	\$2,000	\$1,750	09/24/2014	Partially Terminated Violation(s): 1.
CP 2013-39(SA)	1	\$5,000	\$5,000	\$3,750	09/24/2014	
CP 2013-40(AR)	1	\$2,500	\$2,500	\$1,450	09/24/2014	
CP 2013-41(AR)	1	\$2,500	\$2,500	\$1,500	09/24/2014	
CP 2013-42(AR)	1	\$2,500	\$2,500	\$1,750	09/24/2014	
CP 2013-43(AR)	1	\$2,500	\$2,500	\$1,750	09/24/2014	
CP 2013-44(AR)	1	\$2,500	\$2,500	\$1,750	09/24/2014	
CP 2013-45(AR)	1	\$2,500	\$2,500	\$1,750	09/24/2014	
CP 2013-46(AR)	1	\$2,500	\$2,500	\$1,750	09/24/2014	
CP 2013-47(AR)	1	\$2,500	\$2,500	\$1,750	09/24/2014	
CP 2013-48(AR)	1	\$2,500	\$2,500	\$1,800	09/24/2014	
CP 2013-49(AR)	1	\$2,500	\$2,500	\$1,800	09/24/2014	
CP 2013-50(AR)	1	\$2,500	\$2,500	\$1,800	09/24/2014	
CP 2013-51(AR)	1	\$2,500	\$2,500	\$1,800	09/24/2014	
CP 2013-52(AR)	1	\$2,500	\$2,500	\$1,800	09/24/2014	
CP 2013-54(AR)	1	\$2,500	\$2,500	\$1,800	09/24/2014	
CP 2013-55(AR)	1	\$2,500	\$2,500	\$1,800	09/24/2014	
CP 2013-56(AR)	1	\$2,500	\$2,500	\$1,800	09/24/2014	
CP 2013-57(AR)	1	\$2,500	\$2,500	\$1,800	09/24/2014	
CP 2013-58(AR)	1	\$2,500	\$2,500	\$1,800	09/24/2014	
CP 2013-61(AR)	1	\$2,500	\$2,500	\$1,750	09/24/2014	
CP 2013-62(AR)	1	\$2,500	\$2,500	\$1,750	09/24/2014	
CP 2013-63(AR)	1	\$2,500	\$2,500	\$1,750	09/24/2014	
CP 2013-64(AR)	1	\$2,500	\$2,500	\$1,800	09/24/2014	
CP 2013-65(HMT)	2	\$10,000	\$10,000	\$7,500	09/24/2014	
CP 2013-66(HMT)	2	\$2,000	\$2,000	\$1,500	09/24/2014	
CP 2013-67(HMT)	1	\$5,000	\$5,000	\$4,000	09/24/2014	
CP 2013-68(HMT)	1	\$5,000	\$5,000	\$4,000	09/24/2014	

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CP 2013-69(HMT)	1	\$2,000	\$2,000	\$1,250	09/24/2014	
CP 2013-70(FCS)	1	\$2,500	\$2,500	\$1,800	09/24/2014	
CP 2013-71(FCS)	1	\$2,500	\$2,500	\$1,800	09/24/2014	
CP 2013-72(FCS)	1	\$2,500	\$2,500	\$1,800	09/24/2014	
CP 2013-73(SA)	1	\$5,000	\$5,000	\$4,000	09/24/2014	
CP 2013-74(SA)	1	\$2,500	\$2,500	\$2,000	09/24/2014	
CP 2013-75(SA)	1	\$5,000	\$5,000	\$4,000	09/24/2014	
CP 2013-76(SA)	1	\$5,000	\$5,000	\$4,000	09/24/2014	
CP 2013-77(HMT)	2	\$4,000	\$4,000	\$3,025	09/24/2014	
CP 2013-78(SA)	1	\$5,000	\$5,000	\$3,500	09/24/2014	
CP 2013-79(SA)	1	\$5,000	\$5,000	\$3,500	09/24/2014	
CP 2013-80(AR)	1	\$2,500	\$2,500	\$1,800	09/24/2014	
CP 2013-81(AR)	1	\$2,500	\$2,500	\$1,800	09/24/2014	
CP 2013-82(AR)	1	\$2,500	\$2,500	\$1,800	09/24/2014	
CP 2013-83(AR)	1	\$2,500	\$2,500	\$1,800	09/24/2014	
CP 2013-84(AR)	1	\$2,500	\$2,500	\$1,800	09/24/2014	
CP 2013-85(AR)	1	\$2,500	\$2,500	\$1,500	09/24/2014	
CP 2013-86(SA)	1	\$2,500	\$2,500	\$1,500	09/24/2014	
CP 2013-87(HMT)	3	\$15,000	\$15,000	\$10,000	09/24/2014	
CP 2013-88(HMT)	1	\$2,000	\$2,000	\$1,200	09/24/2014	
CP 2013-89(GC)	1	\$5,000	\$5,000	\$3,500	09/24/2014	
CP 2013-90(RW)	1	\$3,000	\$3,000	\$2,250	09/24/2014	
CP 2013-91(LI)	2	\$4,000	\$4,000	\$3,000	09/24/2014	
CP 2013-92(LI)	4	\$10,000	\$10,000	\$7,000	09/24/2014	
CP 2013-93(TS)	4	\$10,000	\$10,000	\$7,000	09/24/2014	
CP 2014-1(HS)	1	\$1,000	\$1,000	\$800	09/24/2014	
CP 2014-2(FCS)	1	\$2,500	\$2,500	\$1,750	09/24/2014	
CP 2014-3(AR)	1	\$2,500	\$2,500	\$1,500	09/24/2014	
CP 2014-4(AR)	1	\$2,500	\$2,500	\$1,500	09/24/2014	
CP 2014-5(AR)	1	\$2,500	\$2,500	\$1,500	09/24/2014	
CP 2014-6(GC)	1	\$5,000	\$5,000	\$3,750	09/24/2014	
CP 2014-7(HS)	1	\$1,000	\$1,000	\$750	09/24/2014	
CP 2014-8(GC)	1	\$1,000	\$1,000	\$750	09/24/2014	
CP 2014-9(HMT)	1	\$5,000	\$5,000	\$3,000	09/24/2014	
CP 2014-10(AR)	1	\$2,500	\$2,500	\$1,750	09/24/2014	
CP 2014-11(RW)	1	\$3,000	\$3,000	\$2,300	09/24/2014	
CRL 2007-1(AR)	1	\$2,500	\$2,500	\$1,500	03/31/2014	
CRL 2008-1(EQ)	8	\$28,500	\$28,500	\$21,000	03/31/2014	
CRL 2008-2(SA)	2	\$5,000	\$5,000	\$2,500	04/01/2014	
CRL 2008-3(HMT)	3	\$12,000	\$12,000	\$9,000	04/01/2014	
CRL 2008-4(EQ)	2	\$2,000	\$2,000	\$1,500	03/31/2014	
CRL 2009-1(ROP)	1	\$5,000	\$5,000	\$3,500	04/01/2014	
CRL 2009-2(HMT)	3	\$14,500	\$14,500	\$11,000	04/01/2014	
CRL 2009-3(SA)	1	\$5,000	\$5,000	\$3,500	04/01/2014	
CRL 2009-4(HMT)	1	\$3,000	\$3,000	\$2,000	04/01/2014	
CRL 2011-2(AR)	1	\$2,500	\$2,500	\$1,700	03/31/2014	
CRL 2011-3(AR)	1	\$2,500	\$2,500	\$1,700	03/31/2014	
CRL 2011-4(AR)	1	\$2,500	\$2,500	\$1,700	03/31/2014	
CRL 2011-5(AR)	1	\$2,500	\$2,500	\$1,700	03/31/2014	

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CRL 2011-6(AR)	1	\$2,500	\$2,500	\$1,700	03/31/2014	
CRL 2013-1(ROP)	1	\$7,500	\$7,500	\$5,000	04/01/2014	
CRRX 2009-1(RW)	1	\$2,000	\$2,000	\$1,500	03/12/2014	
CRSH 2013-4(SA)	3	\$15,000	\$15,000	\$9,750	06/20/2014	
CRSH 2013-5(HMT)	3	\$3,000	\$3,000	\$2,000	06/20/2014	
CRSH 2013-6(HMT)	1	\$3,000	\$3,000	\$2,400	06/20/2014	
CRSH 2013-7(AD)	1	\$5,000	\$5,000	\$3,500	06/20/2014	
CRSH 2013-8(EQ)	1	\$2,500	\$2,500	\$1,625	06/20/2014	
CRSH 2013-9(ROP)	1	\$7,500	\$7,500	\$5,500	06/20/2014	
CRSH 2013-10(SA)	1	\$7,500	\$7,500	\$5,000	06/20/2014	
CRSH 2013-11(SA)	2	\$15,000	\$15,000	\$9,000	06/20/2014	
CRSH 2014-1(GC)	1	\$5,000	\$5,000	\$4,250	06/20/2014	
CRSH 2014-2(ROP)	1	\$7,500	\$7,500	\$5,000	06/20/2014	
CRSH 2014-3(HMT)	1	\$11,000	\$11,000	\$8,675	06/20/2014	
CRSH 2014-4(ROP)	1	\$7,500	\$7,500	\$5,300	06/20/2014	
CS 2010-1(HMT)	2	\$8,000	\$0	\$0	05/28/2014	Case Terminated.
CSGQ 2014-1(HMT)	1	\$10,000	\$10,000	\$7,500	02/26/2014	
CSS 2009-1(SA)	2	\$10,000	\$10,000	\$2,000	05/08/2014	
CSS 2010-1(ROP)	1	\$7,500	\$7,500	\$5,400	05/08/2014	
CSS 2010-2(SA)	1	\$5,000	\$5,000	\$3,650	05/08/2014	
CSS 2010-3(EO)	1	\$2,500	\$2,500	\$1,800	05/08/2014	
CSS 2012-1(ROP)	1	\$9,500	\$9,500	\$7,125	05/08/2014	
CSS 2012-2(SA)	1	\$5,000	\$5,000	\$3,600	05/08/2014	
CSS 2013-1(ROR)	1	\$9,500	\$9,500	\$6,935	05/08/2014	
CSX 2009-8(TS)	4	\$4,000	\$0	\$0	09/30/2014	Case Terminated.
CSX 2010-68(ROP)	4	\$27,500	\$20,000	\$12,600	09/30/2014	Terminated Violations(s): 1.
CSX 2010-259(AR)	1	\$2,500	\$0	\$0	09/30/2014	Case Terminated.
CSX 2012-200(HSR)	6	\$9,000	\$9,000	\$6,000	09/30/2014	
CSX 2012-269(SA)	2	\$5,000	\$5,000	\$3,300	09/30/2014	
CSX 2012-287(TS)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
CSX 2013-35(SI)	1	\$5,000	\$5,000	\$3,600	09/30/2014	
CSX 2013-39(SA)	1	\$5,000	\$5,000	\$3,565	09/30/2014	
CSX 2013-42(TS)	2	\$2,000	\$2,000	\$1,350	09/30/2014	
CSX 2013-43(TS)	1	\$2,500	\$2,500	\$1,625	09/30/2014	
CSX 2013-44(HMT)	1	\$5,000	\$5,000	\$3,400	09/30/2014	
CSX 2013-45(HMT)	1	\$2,000	\$2,000	\$1,300	09/30/2014	
CSX 2013-46(LI)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
CSX 2013-47(SI)	1	\$5,000	\$5,000	\$3,600	09/30/2014	
CSX 2013-48(HMT)	1	\$5,000	\$2,000	\$2,000	09/30/2014	Partially Terminated Violation(s): 1.
CSX 2013-49(FCS)	1	\$2,500	\$2,500	\$1,575	09/30/2014	
CSX 2013-51(LI)	1	\$2,500	\$2,500	\$1,715	09/30/2014	
CSX 2013-52(LI)	1	\$2,500	\$2,500	\$1,735	09/30/2014	
CSX 2013-53(LI)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
CSX 2013-55(LI)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
CSX 2013-57(SI)	1	\$1,000	\$1,000	\$650	09/30/2014	
CSX 2013-58(FCS)	1	\$2,500	\$2,500	\$1,550	09/30/2014	
CSX 2013-59(TS)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
CSX 2013-60(SA)	1	\$2,500	\$2,500	\$1,625	09/30/2014	
CSX 2013-61(SA)	1	\$2,500	\$2,500	\$1,625	09/30/2014	

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CSX 2013-63(SA)	1	\$5,000	\$5,000	\$3,375	09/30/2014	
CSX 2013-64(SA)	1	\$5,000	\$5,000	\$3,375	09/30/2014	
CSX 2013-65(SA)	1	\$5,000	\$5,000	\$3,375	09/30/2014	
CSX 2013-67(LI)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
CSX 2013-68(LI)	1	\$1,500	\$1,500	\$1,100	09/30/2014	
CSX 2013-69(ROP)	1	\$7,500	\$7,500	\$4,750	09/30/2014	
CSX 2013-70(ROR)	1	\$9,500	\$9,500	\$6,760	09/30/2014	
CSX 2013-71(SA)	1	\$5,000	\$5,000	\$3,200	09/30/2014	
CSX 2013-72(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2014	
CSX 2013-73(SA)	1	\$5,000	\$5,000	\$3,200	09/30/2014	
CSX 2013-74(SA)	1	\$5,000	\$5,000	\$3,375	09/30/2014	
CSX 2013-75(SA)	1	\$5,000	\$5,000	\$3,375	09/30/2014	
CSX 2013-76(SA)	1	\$5,000	\$5,000	\$3,375	09/30/2014	
CSX 2013-77(SA)	1	\$5,000	\$5,000	\$3,375	09/30/2014	
CSX 2013-78(SA)	1	\$5,000	\$5,000	\$3,375	09/30/2014	
CSX 2013-79(SA)	1	\$2,500	\$2,500	\$1,625	09/30/2014	
CSX 2013-80(SA)	1	\$2,500	\$2,500	\$1,625	09/30/2014	
CSX 2013-81(TS)	1	\$5,000	\$5,000	\$3,350	09/30/2014	
CSX 2013-82(HMT)	1	\$2,500	\$2,000	\$1,625	09/30/2014	Partially Terminated Violation(s): 1.
CSX 2013-83(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2014	
CSX 2013-84(SA)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
CSX 2013-85(SA)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
CSX 2013-86(SA)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
CSX 2013-87(SA)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
CSX 2013-88(SA)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
CSX 2013-90(SA)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
CSX 2013-91(SA)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
CSX 2013-92(SA)	1	\$2,500	\$2,500	\$1,625	09/30/2014	
CSX 2013-93(SA)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
CSX 2013-94(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2014	
CSX 2013-95(ROP)	1	\$7,500	\$7,500	\$5,385	09/30/2014	
CSX 2013-96(SA)	1	\$5,000	\$5,000	\$3,375	09/30/2014	
CSX 2013-97(LI)	1	\$2,000	\$2,000	\$1,300	09/30/2014	
CSX 2013-98(LI)	1	\$2,500	\$2,500	\$1,715	09/30/2014	
CSX 2013-99(LI)	1	\$1,500	\$1,500	\$975	09/30/2014	
CSX 2013-100(SA)	1	\$2,500	\$2,500	\$1,625	09/30/2014	
CSX 2013-101(SA)	1	\$2,500	\$2,500	\$1,625	09/30/2014	
CSX 2013-102(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2014	
CSX 2013-103(HMT)	1	\$4,000	\$4,000	\$2,550	09/30/2014	
CSX 2013-104(SA)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
CSX 2013-105(SA)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
CSX 2013-106(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2014	
CSX 2013-107(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2014	
CSX 2013-108(FCS)	1	\$2,500	\$2,500	\$1,575	09/30/2014	
CSX 2013-109(LI)	2	\$5,500	\$5,500	\$3,350	09/30/2014	
CSX 2013-111(RW)	2	\$2,000	\$1,000	\$700	09/30/2014	Partially Terminated Violation(s): 1.
CSX 2013-112(SI)	1	\$2,500	\$2,500	\$1,825	09/30/2014	
CSX 2013-113(FCS)	1	\$2,500	\$2,500	\$1,650	09/30/2014	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
CSX 2013-114(TS)	1	\$5,000	\$5,000	\$3,350	09/30/2014	
CSX 2013-115(SA)	1	\$5,000	\$5,000	\$3,200	09/30/2014	
CSX 2013-116(SI)	1	\$1,000	\$1,000	\$650	09/30/2014	
CSX 2013-117(FCS)	1	\$2,000	\$2,000	\$1,300	09/30/2014	
CSX 2013-118(SA)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
CSX 2013-119(SA)	1	\$2,500	\$2,500	\$1,625	09/30/2014	
CSX 2013-120(SA)	1	\$5,000	\$5,000	\$3,150	09/30/2014	
CSX 2013-121(LI)	1	\$2,500	\$2,500	\$1,670	09/30/2014	
CSX 2013-122(LI)	1	\$2,500	\$2,500	\$1,625	09/30/2014	
CSX 2013-123(RW)	1	\$1,000	\$1,000	\$650	09/30/2014	
CSX 2013-124(GC)	1	\$5,000	\$5,000	\$3,510	09/30/2014	
CSX 2013-125(GC)	1	\$2,500	\$2,500	\$1,635	09/30/2014	
CSX 2013-126(LI)	1	\$2,500	\$2,500	\$1,625	09/30/2014	
CSX 2013-127(RW)	1	\$3,000	\$3,000	\$2,000	09/30/2014	
CSX 2013-128(SA)	1	\$2,500	\$2,500	\$1,500	09/30/2014	
CSX 2013-129(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2014	
CSX 2013-130(FCS)	1	\$2,000	\$2,000	\$1,300	09/30/2014	
CSX 2013-131(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2014	
CSX 2013-132(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2014	
CSX 2013-133(SA)	1	\$2,500	\$2,500	\$1,635	09/30/2014	
CSX 2013-134(SA)	1	\$2,500	\$2,500	\$1,660	09/30/2014	
CSX 2013-136(HMT)	1	\$2,500	\$2,500	\$1,675	09/30/2014	
CSX 2013-137(GC)	1	\$2,500	\$2,500	\$1,635	09/30/2014	
CSX 2013-138(RW)	1	\$2,000	\$2,000	\$1,300	09/30/2014	
CSX 2013-139(LI)	1	\$2,500	\$2,500	\$1,715	09/30/2014	
CSX 2013-140(SA)	1	\$5,000	\$5,000	\$3,290	09/30/2014	
CSX 2013-141(SA)	1	\$5,000	\$5,000	\$3,290	09/30/2014	
CSX 2013-142(SA)	1	\$5,000	\$5,000	\$3,290	09/30/2014	
CSX 2013-143(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
CSX 2013-144(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2014	
CSX 2013-145(SA)	1	\$2,500	\$2,500	\$1,660	09/30/2014	
CSX 2013-146(SA)	1	\$5,000	\$5,000	\$3,290	09/30/2014	
CSX 2013-147(SA)	1	\$5,000	\$5,000	\$3,290	09/30/2014	
CSX 2013-149(ROP)	1	\$7,500	\$7,500	\$4,750	09/30/2014	
CSX 2013-150(ROP)	1	\$7,500	\$7,500	\$4,890	09/30/2014	
CSX 2013-151(SI)	1	\$2,500	\$2,500	\$1,800	09/30/2014	
CSX 2013-152(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2014	
CSX 2013-153(SA)	1	\$5,000	\$5,000	\$3,290	09/30/2014	
CSX 2013-154(SA)	1	\$2,500	\$2,500	\$1,600	09/30/2014	
CSX 2013-155(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
CSX 2013-156(SA)	1	\$2,500	\$2,500	\$1,625	09/30/2014	
CSX 2013-157(LI)	1	\$2,500	\$2,500	\$1,715	09/30/2014	
CSX 2013-158(LI)	1	\$2,500	\$2,500	\$1,670	09/30/2014	
CSX 2013-159(GC)	1	\$5,000	\$5,000	\$3,695	09/30/2014	
CSX 2013-160(LI)	1	\$2,500	\$2,500	\$1,670	09/30/2014	
CSX 2013-161(LI)	1	\$2,500	\$2,500	\$1,670	09/30/2014	
CSX 2013-162(SA)	1	\$2,500	\$2,500	\$1,675	09/30/2014	
CSX 2013-163(SA)	1	\$5,000	\$5,000	\$3,080	09/30/2014	
CSX 2013-164(SI)	1	\$2,500	\$2,500	\$1,600	09/30/2014	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
CSX 2013-165(SI)	1	\$2,500	\$2,500	\$1,600	09/30/2014	
CSX 2013-166(SI)	1	\$1,000	\$1,000	\$650	09/30/2014	
CSX 2013-167(ROP)	1	\$7,500	\$7,500	\$4,890	09/30/2014	
CSX 2013-169(LI)	1	\$1,000	\$1,000	\$675	09/30/2014	
CSX 2013-170(LI)	4	\$11,000	\$11,000	\$7,165	09/30/2014	
CSX 2013-171(LI)	1	\$1,500	\$1,500	\$975	09/30/2014	
CSX 2013-172(SA)	1	\$2,500	\$2,500	\$1,660	09/30/2014	
CSX 2013-173(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2014	
CSX 2013-174(SA)	1	\$5,000	\$5,000	\$3,290	09/30/2014	
CSX 2013-175(HMT)	1	\$3,000	\$3,000	\$1,950	09/30/2014	
CSX 2013-176(SA)	1	\$5,000	\$5,000	\$3,340	09/30/2014	
CSX 2013-177(SA)	1	\$2,500	\$2,500	\$1,675	09/30/2014	
CSX 2013-178(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2014	
CSX 2013-179(HMT)	1	\$1,000	\$1,000	\$650	09/30/2014	
CSX 2013-180(ROP)	1	\$9,500	\$9,500	\$6,650	09/30/2014	
CSX 2013-181(HMT)	1	\$2,000	\$2,000	\$1,300	09/30/2014	
CSX 2013-182(SA)	1	\$2,500	\$2,500	\$1,625	09/30/2014	
CSX 2013-183(SA)	1	\$2,500	\$2,500	\$1,660	09/30/2014	
CSX 2013-184(FCS)	1	\$2,000	\$0	\$0	09/30/2014	Case Terminated.
CSX 2013-185(LI)	2	\$4,000	\$4,000	\$2,550	09/30/2014	
CSX 2013-186(LI)	1	\$2,000	\$2,000	\$1,275	09/30/2014	
CSX 2013-188(LI)	1	\$2,500	\$2,500	\$1,645	09/30/2014	
CSX 2013-189(LI)	1	\$2,500	\$2,500	\$1,645	09/30/2014	
CSX 2013-190(LI)	1	\$1,000	\$1,000	\$650	09/30/2014	
CSX 2013-191(LI)	1	\$1,000	\$1,000	\$650	09/30/2014	
CSX 2013-192(GC)	1	\$2,500	\$2,500	\$1,635	09/30/2014	
CSX 2013-193(SA)	1	\$2,500	\$2,500	\$1,660	09/30/2014	
CSX 2013-194(SA)	1	\$5,000	\$5,000	\$3,000	09/30/2014	
CSX 2013-196(FCS)	2	\$3,500	\$3,500	\$2,180	09/30/2014	
CSX 2013-197(SA)	1	\$2,500	\$2,500	\$1,635	09/30/2014	
CSX 2013-198(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2014	
CSX 2013-199(GC)	1	\$5,000	\$5,000	\$3,600	09/30/2014	
CSX 2013-200(LI)	1	\$4,000	\$4,000	\$2,620	09/30/2014	
CSX 2013-201(FCS)	1	\$2,500	\$2,500	\$1,575	09/30/2014	
CSX 2013-202(ROP)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
CSX 2013-203(SA)	1	\$5,000	\$5,000	\$3,290	09/30/2014	
CSX 2013-204(SA)	1	\$2,500	\$2,500	\$1,660	09/30/2014	
CSX 2013-205(SA)	1	\$2,500	\$2,500	\$1,660	09/30/2014	
CSX 2013-206(SA)	1	\$2,500	\$2,500	\$1,550	09/30/2014	
CSX 2013-207(SA)	1	\$2,500	\$2,500	\$1,660	09/30/2014	
CSX 2013-208(SA)	1	\$5,000	\$5,000	\$3,385	09/30/2014	
CSX 2013-209(SA)	1	\$2,500	\$2,500	\$1,660	09/30/2014	
CSX 2013-210(FCS)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
CSX 2013-211(FCS)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
CSX 2013-212(FCS)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
CSX 2013-213(FCS)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
CSX 2013-214(FCS)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
CSX 2013-215(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2014	
CSX 2013-216(FCS)	1	\$2,000	\$2,000	\$1,300	09/30/2014	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
CSX 2013-217(LI)	1	\$1,500	\$1,500	\$975	09/30/2014	
CSX 2013-218(HMT)	1	\$2,000	\$2,000	\$1,300	09/30/2014	
CSX 2013-219(SA)	1	\$5,000	\$5,000	\$3,290	09/30/2014	
CSX 2013-220(HMT)	2	\$9,000	\$9,000	\$5,820	09/30/2014	
CSX 2013-221(ROP)	1	\$7,500	\$7,500	\$4,750	09/30/2014	
CSX 2013-222(SA)	1	\$5,000	\$5,000	\$3,290	09/30/2014	
CSX 2013-223(AD)	3	\$7,500	\$7,500	\$4,900	09/30/2014	
CSX 2013-224(AD)	1	\$2,500	\$2,500	\$1,675	09/30/2014	
CSX 2013-225(GC)	1	\$5,000	\$5,000	\$3,700	09/30/2014	
CSX 2013-227(TS)	1	\$5,000	\$5,000	\$2,800	09/30/2014	
CSX 2013-228(TS)	2	\$5,000	\$5,000	\$3,225	09/30/2014	
CSX 2013-229(TS)	1	\$2,500	\$2,500	\$1,625	09/30/2014	
CSX 2013-230(TS)	1	\$5,000	\$5,000	\$3,275	09/30/2014	
CSX 2013-231(TS)	1	\$5,000	\$5,000	\$2,700	09/30/2014	
CSX 2013-232(TS)	1	\$5,000	\$5,000	\$3,300	09/30/2014	
CSX 2013-233(TS)	3	\$12,500	\$12,500	\$8,325	09/30/2014	
CSX 2013-234(TS)	1	\$5,000	\$5,000	\$3,350	09/30/2014	
CSX 2013-236(TS)	1	\$1,000	\$1,000	\$690	09/30/2014	
CSX 2013-237(TS)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
CSX 2013-238(TS)	2	\$5,000	\$0	\$0	09/30/2014	Case Terminated.
CSX 2013-239(TS)	1	\$5,000	\$0	\$0	09/30/2014	Case Terminated.
CSX 2013-240(TS)	1	\$5,000	\$5,000	\$3,275	09/30/2014	
CSX 2013-241(TS)	1	\$5,000	\$5,000	\$3,350	09/30/2014	
CSX 2013-242(TS)	1	\$5,000	\$5,000	\$3,350	09/30/2014	
CSX 2013-244(TS)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
CSX 2013-245(TS)	1	\$5,000	\$5,000	\$3,255	09/30/2014	
CSX 2013-246(TS)	1	\$2,500	\$2,500	\$1,725	09/30/2014	
CSX 2013-247(TS)	1	\$5,000	\$5,000	\$3,125	09/30/2014	
CSX 2013-248(RSP)	1	\$1,000	\$1,000	\$700	09/30/2014	
CSX 2013-249(SA)	1	\$2,500	\$2,500	\$1,625	09/30/2014	
CSX 2013-250(TS)	1	\$2,500	\$2,500	\$1,640	09/30/2014	
CSX 2013-251(SA)	1	\$5,000	\$5,000	\$3,000	09/30/2014	
CSX 2013-252(HS)	1	\$1,000	\$1,000	\$700	09/30/2014	
CSX 2013-253(FCS)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
CSX 2013-254(FCS)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
CSX 2013-255(FCS)	1	\$5,000	\$5,000	\$3,265	09/30/2014	
CSX 2013-256(LI)	1	\$1,500	\$1,500	\$975	09/30/2014	
CSX 2013-257(LI)	1	\$2,500	\$2,500	\$1,645	09/30/2014	
CSX 2013-258(FCS)	1	\$5,000	\$5,000	\$3,130	09/30/2014	
CSX 2013-259(ROR)	1	\$5,000	\$5,000	\$3,330	09/30/2014	
CSX 2013-260(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2014	
CSX 2013-261(SA)	1	\$5,000	\$5,000	\$3,290	09/30/2014	
CSX 2013-262(SA)	1	\$5,000	\$5,000	\$3,290	09/30/2014	
CSX 2013-263(SA)	1	\$5,000	\$5,000	\$3,290	09/30/2014	
CSX 2013-264(SA)	1	\$5,000	\$5,000	\$3,290	09/30/2014	
CSX 2013-265(SA)	1	\$2,500	\$2,500	\$1,660	09/30/2014	
CSX 2013-266(SA)	1	\$2,500	\$2,500	\$1,550	09/30/2014	
CSX 2013-267(SA)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
CSX 2013-268(SA)	1	\$2,500	\$2,500	\$1,550	09/30/2014	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
CSX 2013-269(SA)	1	\$2,500	\$2,500	\$1,550	09/30/2014	
CSX 2013-270(SA)	1	\$2,500	\$2,500	\$1,550	09/30/2014	
CSX 2013-271(SA)	1	\$2,500	\$2,500	\$1,550	09/30/2014	
CSX 2013-272(SA)	1	\$5,000	\$5,000	\$3,290	09/30/2014	
CSX 2013-273(SA)	1	\$2,500	\$2,500	\$1,775	09/30/2014	
CSX 2013-274(SA)	1	\$5,000	\$5,000	\$3,290	09/30/2014	
CSX 2013-275(SA)	1	\$5,000	\$5,000	\$3,290	09/30/2014	
CSX 2013-276(FCS)	1	\$2,500	\$2,500	\$1,550	09/30/2014	
CSX 2013-278(HS)	1	\$1,000	\$1,000	\$700	09/30/2014	
CSX 2013-279(HS)	1	\$1,000	\$1,000	\$700	09/30/2014	
CSX 2013-280(CC)	1	\$1,000	\$1,000	\$725	09/30/2014	
CSX 2013-281(HMT)	1	\$5,000	\$5,000	\$3,250	09/30/2014	
CSX 2013-282(HMT)	1	\$5,000	\$5,000	\$3,250	09/30/2014	
CSX 2013-283(FCS)	1	\$5,000	\$5,000	\$3,335	09/30/2014	
CSX 2013-284(SA)	1	\$5,000	\$5,000	\$3,290	09/30/2014	
CSX 2013-285(SA)	1	\$2,500	\$2,500	\$1,705	09/30/2014	
CSX 2013-286(SA)	1	\$5,000	\$5,000	\$3,290	09/30/2014	
CSX 2013-287(SA)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
CSX 2013-288(SA)	1	\$2,500	\$2,500	\$1,625	09/30/2014	
CSX 2013-289(SA)	1	\$5,000	\$5,000	\$3,290	09/30/2014	
CSX 2013-290(RW)	1	\$5,000	\$5,000	\$3,250	09/30/2014	
CSX 2013-291(SA)	1	\$5,000	\$5,000	\$3,290	09/30/2014	
CSX 2013-292(SA)	1	\$5,000	\$5,000	\$3,290	09/30/2014	
CSX 2013-293(SA)	1	\$5,000	\$5,000	\$3,290	09/30/2014	
CSX 2013-294(TS)	2	\$10,000	\$10,000	\$6,400	09/30/2014	
CSX 2013-295(SI)	1	\$1,000	\$1,000	\$790	09/30/2014	
CSX 2013-296(SA)	1	\$5,000	\$5,000	\$3,290	09/30/2014	
CSX 2013-297(SA)	1	\$5,000	\$5,000	\$3,290	09/30/2014	
CSX 2013-298(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
CSX 2013-299(SA)	1	\$5,000	\$5,000	\$3,290	09/30/2014	
CSX 2013-300(SA)	1	\$2,500	\$2,500	\$1,775	09/30/2014	
CSX 2013-301(SA)	1	\$5,000	\$5,000	\$3,290	09/30/2014	
CSX 2013-302(HMT)	2	\$10,500	\$10,500	\$6,400	09/30/2014	
CSX 2013-303(LI)	1	\$2,500	\$2,500	\$1,625	09/30/2014	
CSX 2013-304(HSR)	1	\$2,500	\$2,500	\$1,675	09/30/2014	
CSX 2013-305(LI)	1	\$2,500	\$2,500	\$1,670	09/30/2014	
CSX 2013-306(GC)	1	\$2,500	\$2,500	\$1,635	09/30/2014	
CSX 2013-309(FCS)	1	\$2,500	\$2,500	\$1,620	09/30/2014	
CSX 2013-310(TS)	1	\$1,000	\$1,000	\$700	09/30/2014	
CSX 2013-311(FCS)	1	\$2,500	\$2,500	\$1,670	09/30/2014	
CSX 2013-312(ROP)	1	\$7,500	\$7,500	\$4,750	09/30/2014	
CSX 2013-313(ROP)	1	\$7,500	\$7,500	\$4,890	09/30/2014	
CSX 2013-314(RSP)	1	\$5,000	\$5,000	\$3,325	09/30/2014	
CSX 2013-315(SA)	1	\$2,500	\$2,500	\$1,725	09/30/2014	
CSX 2013-316(SA)	1	\$5,000	\$5,000	\$3,385	09/30/2014	
CSX 2013-317(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2014	
CSX 2013-319(TS)	1	\$1,000	\$1,000	\$700	09/30/2014	
CSX 2013-320(SA)	1	\$5,000	\$5,000	\$3,385	09/30/2014	
CSX 2013-321(ROP)	1	\$7,500	\$7,500	\$4,890	09/30/2014	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
CSX 2013-322(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2014	
CSX 2013-323(SA)	1	\$5,000	\$5,000	\$3,385	09/30/2014	
CSX 2013-325(SA)	1	\$5,000	\$5,000	\$3,290	09/30/2014	
CSX 2013-326(SI)	1	\$5,000	\$5,000	\$3,450	09/30/2014	
CSX 2013-327(FCS)	1	\$2,500	\$2,500	\$1,670	09/30/2014	
CSX 2013-328(SA)	1	\$5,000	\$5,000	\$3,290	09/30/2014	
CSX 2013-329(FCS)	1	\$2,500	\$2,500	\$1,670	09/30/2014	
CSX 2013-330(RSP)	1	\$9,500	\$9,500	\$6,400	09/30/2014	
CSX 2013-331(SA)	1	\$2,500	\$2,500	\$1,660	09/30/2014	
CSX 2013-332(SA)	1	\$2,500	\$2,500	\$1,660	09/30/2014	
CSX 2013-333(SA)	1	\$5,000	\$5,000	\$3,290	09/30/2014	
CSX 2013-335(SA)	1	\$5,000	\$5,000	\$3,290	09/30/2014	
CSX 2013-336(FCS)	1	\$2,500	\$2,500	\$1,670	09/30/2014	
CSX 2013-337(FCS)	1	\$2,500	\$2,500	\$1,670	09/30/2014	
CSX 2013-338(TS)	1	\$5,000	\$5,000	\$3,400	09/30/2014	
CSX 2013-339(TS)	2	\$10,000	\$10,000	\$6,325	09/30/2014	
CSX 2013-341(FCS)	1	\$2,500	\$2,500	\$1,505	09/30/2014	
CSX 2013-342(SA)	1	\$2,500	\$2,500	\$1,635	09/30/2014	
CSX 2013-347(RW)	1	\$3,000	\$3,000	\$2,100	09/30/2014	
CSX 2013-348(RW)	1	\$3,000	\$3,000	\$2,000	09/30/2014	
CSX 2013-349(SA)	1	\$2,500	\$2,500	\$1,565	09/30/2014	
CSX 2013-350(LI)	2	\$5,000	\$5,000	\$3,360	09/30/2014	
CSX 2013-351(GC)	1	\$5,000	\$5,000	\$3,600	09/30/2014	
CSX 2013-352(SI)	1	\$1,000	\$1,000	\$650	09/30/2014	
CSX 2013-353(SI)	1	\$5,000	\$5,000	\$3,825	09/30/2014	
CSX 2013-354(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2014	
CSX 2013-355(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
CSX 2013-356(SA)	1	\$2,500	\$2,500	\$1,635	09/30/2014	
CSX 2013-357(TS)	1	\$1,000	\$1,000	\$700	09/30/2014	
CSX 2013-358(TS)	1	\$1,000	\$1,000	\$700	09/30/2014	
CSX 2013-359(SA)	1	\$2,500	\$2,500	\$1,635	09/30/2014	
CSX 2013-360(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2014	
CSX 2013-361(ROP)	1	\$7,500	\$7,500	\$4,750	09/30/2014	
CSX 2013-362(FCS)	1	\$2,500	\$2,500	\$1,620	09/30/2014	
CSX 2013-363(FCS)	1	\$5,000	\$5,000	\$3,335	09/30/2014	
CSX 2013-364(FCS)	1	\$2,500	\$2,500	\$1,740	09/30/2014	
CSX 2013-365(FCS)	1	\$2,500	\$2,500	\$1,670	09/30/2014	
CSX 2013-366(RSP)	1	\$5,000	\$5,000	\$3,325	09/30/2014	
CSX 2013-367(RW)	1	\$1,000	\$1,000	\$650	09/30/2014	
CSX 2013-368(GC)	1	\$5,000	\$5,000	\$3,690	09/30/2014	
CSX 2013-369(GC)	1	\$1,000	\$1,000	\$700	09/30/2014	
CSX 2013-370(GC)	1	\$2,500	\$2,500	\$1,775	09/30/2014	
CSX 2013-371(RMM)	1	\$2,500	\$2,500	\$1,625	09/30/2014	
CSX 2013-372(SA)	1	\$2,500	\$2,500	\$1,680	09/30/2014	
CSX 2013-373(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2014	
CSX 2013-374(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2014	
CSX 2013-375(SA)	1	\$2,500	\$2,500	\$1,705	09/30/2014	
CSX 2013-376(SA)	1	\$2,500	\$2,500	\$1,680	09/30/2014	
CSX 2013-377(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2014	

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CSX 2013-378(SA)	1	\$2,500	\$2,500	\$1,845	09/30/2014	
CSX 2013-379(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
CSX 2013-380(SI)	1	\$1,000	\$1,000	\$790	09/30/2014	
CSX 2013-381(SI)	1	\$5,000	\$5,000	\$3,600	09/30/2014	
CSX 2013-382(SA)	1	\$5,000	\$5,000	\$3,410	09/30/2014	
CSX 2013-383(SA)	1	\$2,500	\$2,500	\$1,635	09/30/2014	
CSX 2013-385(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
CSX 2013-386(SA)	1	\$2,500	\$2,500	\$1,600	09/30/2014	
CSX 2013-387(TS)	1	\$5,000	\$0	\$0	09/30/2014	Case Terminated.
CSX 2013-388(ROP)	1	\$7,500	\$7,500	\$4,750	09/30/2014	
CSX 2013-389(GS)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
CSX 2013-390(LI)	1	\$1,500	\$1,500	\$950	09/30/2014	
CSX 2013-391(GC)	1	\$1,000	\$1,000	\$700	09/30/2014	
CSX 2013-392(RSP)	1	\$5,000	\$5,000	\$3,325	09/30/2014	
CSX 2013-393(SI)	1	\$1,000	\$1,000	\$785	09/30/2014	
CSX 2013-394(LI)	1	\$1,500	\$1,500	\$1,005	09/30/2014	
CSX 2013-396(SA)	1	\$5,000	\$5,000	\$3,410	09/30/2014	
CSX 2013-397(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
CSX 2013-398(SI)	1	\$5,000	\$5,000	\$3,750	09/30/2014	
CSX 2013-399(HMT)	1	\$3,000	\$3,000	\$2,100	09/30/2014	
CSX 2013-400(SA)	1	\$5,000	\$5,000	\$3,410	09/30/2014	
CSX 2013-401(SA)	1	\$5,000	\$5,000	\$3,220	09/30/2014	
CSX 2013-402(SA)	1	\$5,000	\$5,000	\$3,220	09/30/2014	
CSX 2013-403(SA)	1	\$2,500	\$2,500	\$1,610	09/30/2014	
CSX 2013-404(SA)	1	\$2,500	\$2,500	\$1,610	09/30/2014	
CSX 2013-405(SA)	1	\$2,500	\$2,500	\$1,705	09/30/2014	
CSX 2013-406(SA)	1	\$5,000	\$5,000	\$3,270	09/30/2014	
CSX 2013-407(SA)	1	\$5,000	\$5,000	\$3,360	09/30/2014	
CSX 2013-408(SA)	1	\$2,500	\$2,500	\$1,635	09/30/2014	
CSX 2014-1(FCS)	1	\$2,500	\$2,500	\$1,670	09/30/2014	
CSX 2014-2(SA)	1	\$2,500	\$2,500	\$1,680	09/30/2014	
CSX 2014-3(SA)	1	\$5,000	\$5,000	\$3,410	09/30/2014	
CSX 2014-4(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
CSX 2014-6(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
CSX 2014-7(SA)	1	\$2,500	\$2,500	\$1,625	09/30/2014	
CSX 2014-8(SA)	1	\$5,000	\$5,000	\$3,410	09/30/2014	
CSX 2014-10(FCS)	1	\$2,500	\$2,500	\$1,670	09/30/2014	
CSX 2014-12(FCS)	1	\$2,500	\$2,500	\$1,670	09/30/2014	
CSX 2014-13(FCS)	1	\$2,500	\$2,500	\$1,670	09/30/2014	
CSX 2014-14(FCS)	1	\$2,500	\$2,500	\$1,690	09/30/2014	
CSX 2014-16(SA)	1	\$5,000	\$5,000	\$3,410	09/30/2014	
CSX 2014-17(SA)	1	\$5,000	\$5,000	\$3,410	09/30/2014	
CSX 2014-18(SA)	1	\$5,000	\$5,000	\$3,410	09/30/2014	
CSX 2014-20(SA)	1	\$2,500	\$2,500	\$1,635	09/30/2014	
CSX 2014-21(FCS)	1	\$2,500	\$2,500	\$1,670	09/30/2014	
CSX 2014-24(TS)	2	\$10,000	\$10,000	\$6,700	09/30/2014	
CSX 2014-25(SI)	1	\$1,000	\$1,000	\$750	09/30/2014	
CSX 2014-26(GC)	1	\$5,000	\$5,000	\$3,555	09/30/2014	
CSX 2014-28(GC)	1	\$5,000	\$5,000	\$3,600	09/30/2014	

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CSX 2014-30(GC)	1	\$1,000	\$1,000	\$700	09/30/2014	
CSX 2014-32(RW)	1	\$1,000	\$1,000	\$675	09/30/2014	
CSX 2014-34(SA)	1	\$2,500	\$2,500	\$1,660	09/30/2014	
CSX 2014-36(HSR)	11	\$11,000	\$11,000	\$7,400	09/30/2014	
CSX 2014-38(RW)	1	\$3,000	\$3,000	\$1,975	09/30/2014	
CSX 2014-40(ROP)	1	\$9,500	\$9,500	\$6,650	09/30/2014	
CSX 2014-42(SI)	1	\$2,500	\$2,500	\$1,600	09/30/2014	
CSX 2014-44(HSR)	4	\$4,000	\$4,000	\$2,725	09/30/2014	
CSX 2014-45(SA)	1	\$5,000	\$5,000	\$3,270	09/30/2014	
CSX 2014-47(TS)	1	\$105,000	\$105,000	\$69,440	09/30/2014	
CSX 2014-49(SA)	1	\$5,000	\$2,500	\$2,400	09/30/2014	Partially Terminated Violation(s): 1.
CSX 2014-51(SA)	1	\$5,000	\$2,500	\$2,500	09/30/2014	Partially Terminated Violation(s): 1.
CSX 2014-53(SA)	1	\$5,000	\$2,500	\$2,400	09/30/2014	Partially Terminated Violation(s): 1.
CSX 2014-57(SA)	1	\$2,500	\$2,500	\$1,635	09/30/2014	
CSX 2014-61(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2014	
CSX 2014-65(RSP)	1	\$5,000	\$5,000	\$3,375	09/30/2014	
CSX 2014-68(HS)	1	\$1,000	\$1,000	\$700	09/30/2014	
CSX 2014-72(FCS)	1	\$2,500	\$2,500	\$1,670	09/30/2014	
CTM 2010-1(HMT)	3	\$14,000	\$14,000	\$8,250	04/10/2014	
CTM 2012-1(SA)	1	\$5,000	\$5,000	\$4,000	04/10/2014	
CTM 2013-1(AD)	3	\$7,500	\$7,500	\$6,000	04/10/2014	
CTM 2013-2(SA)	1	\$5,000	\$5,000	\$4,000	04/10/2014	
CTM 2013-3(LI)	1	\$2,500	\$2,500	\$2,000	04/10/2014	
CTN 2007-1(AR)	3	\$7,500	\$0	\$0	04/10/2014	Case Terminated.
CTN 2007-2(HMT)	7	\$17,500	\$0	\$0	04/10/2014	Case Terminated.
CTN 2008-1(HMT)	1	\$5,000	\$0	\$0	04/10/2014	Case Terminated.
CTN 2009-1(HMT)	4	\$24,000	\$0	\$0	04/10/2014	Case Terminated.
CTN 2010-1(HMT)	1	\$5,000	\$5,000	\$4,250	04/10/2014	
CTN 2010-2(GC)	1	\$1,000	\$1,000	\$800	04/10/2014	
CTN 2010-3(HMT)	1	\$5,000	\$5,000	\$4,250	04/10/2014	
CTN 2011-1(HMT)	1	\$5,000	\$5,000	\$4,250	04/10/2014	
CTN 2012-1(ROP)	1	\$9,500	\$9,500	\$8,500	04/10/2014	
CTN 2012-2(SA)	1	\$5,000	\$5,000	\$3,500	04/10/2014	
CTN 2012-3(SA)	1	\$5,000	\$5,000	\$3,500	04/10/2014	
CTN 2013-1(GC)	2	\$2,000	\$2,000	\$2,000	04/10/2014	
CTN 2013-2(ROP)	1	\$5,000	\$5,000	\$3,500	04/10/2014	
CTRR 2007-1(LI)	1	\$2,500	\$0	\$0	04/23/2014	Case Terminated.
CTRR 2014-1(ROR)	1	\$7,500	\$7,500	\$4,500	07/03/2014	
CTSR 2010-1(AR)	1	\$2,500	\$2,500	\$2,000	06/12/2014	
CTSR 2010-2(AR)	1	\$2,500	\$0	\$0	06/12/2014	Case Terminated.
CTSR 2011-1(AR)	1	\$2,500	\$2,500	\$2,000	06/12/2014	
CTSR 2011-2(AR)	1	\$2,500	\$2,500	\$2,000	06/12/2014	
CTSR 2011-3(AR)	1	\$2,500	\$2,500	\$1,500	06/12/2014	
CTSR 2011-4(AR)	1	\$2,500	\$2,500	\$2,000	06/12/2014	
CTSR 2011-5(AR)	1	\$2,500	\$2,500	\$1,250	06/12/2014	
CTSR 2011-6(AR)	1	\$2,500	\$2,500	\$2,000	06/12/2014	
CTSR 2011-7(AR)	1	\$2,500	\$2,500	\$2,000	06/12/2014	

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CW 2007-2(SA)	1	\$5,000	\$0	\$0	08/04/2014	Case Terminated.
CW 2008-1(FCS)	1	\$5,000	\$5,000	\$5,000	08/04/2014	
CWA 2006-1(SA)	1	\$5,000	\$0	\$0	04/17/2014	Case Terminated.
CWA 2009-1(SA)	1	\$5,000	\$0	\$0	04/17/2014	Case Terminated.
CWA 2010-1(TS)	1	\$1,000	\$1,000	\$750	04/17/2014	
CWRO 2006-1(SA)	1	\$5,000	\$0	\$0	04/09/2014	Case Terminated.
CWRO 2008-1(SA)	3	\$15,000	\$0	\$0	04/09/2014	Case Terminated.
CWRO 2008-2(SA)	2	\$10,000	\$0	\$0	04/09/2014	Case Terminated.
CWRO 2012-1(SA)	1	\$5,000	\$5,000	\$4,250	03/25/2014	
CWRO 2012-2(SA)	1	\$5,000	\$5,000	\$4,000	03/25/2014	
CWRO 2014-1(SA)	1	\$5,000	\$5,000	\$4,000	09/17/2014	
CWRY 2012-1(GC)	1	\$5,000	\$5,000	\$3,500	10/25/2013	
DGNO 2013-5(SA)	2	\$10,000	\$10,000	\$7,000	09/30/2014	
DGNO 2013-6(LI)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
DGNO 2013-7(ROP)	1	\$7,500	\$7,500	\$5,400	09/30/2014	
DGNO 2014-1(ROP)	1	\$7,500	\$7,500	\$5,400	09/30/2014	
DH 2013-4(SA)	1	\$5,000	\$5,000	\$3,500	09/24/2014	
DH 2014-1(SA)	1	\$2,500	\$2,500	\$1,750	09/24/2014	
DL 2013-1(TS)	2	\$10,000	\$10,000	\$2,000	03/24/2014	
DL 2013-2(TS)	8	\$40,000	\$40,000	\$8,000	03/24/2014	
DME 2013-2(SA)	1	\$5,000	\$5,000	\$3,500	09/24/2014	
DME 2013-3(GC)	1	\$2,500	\$2,500	\$2,000	09/24/2014	
DME 2013-4(GC)	1	\$2,500	\$2,500	\$2,000	09/24/2014	
DME 2013-5(GC)	1	\$2,500	\$2,500	\$2,000	09/24/2014	
DME 2013-6(SA)	1	\$5,000	\$5,000	\$4,000	09/24/2014	
DME 2013-7(SA)	1	\$5,000	\$5,000	\$3,500	09/24/2014	
DME 2013-8(GC)	1	\$5,000	\$5,000	\$4,000	09/24/2014	
DME 2014-1(SA)	1	\$5,000	\$5,000	\$3,500	09/24/2014	
DME 2014-2(SA)	1	\$2,500	\$2,500	\$1,750	09/24/2014	
DME 2014-3(SA)	1	\$2,500	\$2,500	\$1,750	09/24/2014	
DME 2014-4(SA)	1	\$5,000	\$5,000	\$3,750	09/24/2014	
DRIR 2013-1(SA)	1	\$7,500	\$7,500	\$7,500	11/18/2013	
DSRR 2013-1(RSP)	1	\$9,500	\$9,500	\$650	01/13/2014	
EERZ 2013-1(TS)	2	\$10,000	\$10,000	\$5,000	01/14/2014	
EIRC 2013-1(ROP)	1	\$9,500	\$9,500	\$5,225	01/24/2014	
EIRR 2013-1(TS)	5	\$9,500	\$9,500	\$5,500	09/29/2014	
EIRR 2014-1(TS)	1	\$5,000	\$5,000	\$3,500	09/29/2014	
EIRR 2014-2(TS)	4	\$17,500	\$17,500	\$9,750	09/29/2014	
ELS 2011-2(LI)	1	\$1,500	\$1,500	\$1,500	08/20/2014	
EMRY 2013-1(TS)	2	\$10,000	\$10,000	\$8,000	04/14/2014	
EWG 2013-1(ROP)	1	\$5,000	\$5,000	\$2,750	01/07/2014	
EWG 2014-2(GC)	1	\$1,000	\$1,000	\$1,000	09/05/2014	
FCRD 2007-1(ROP)	1	\$5,000	\$0	\$0	09/30/2014	Case Terminated.
FEC 2005-1(HMT)	1	\$1,000	\$1,000	\$550	05/29/2014	
FEC 2005-2(SA)	1	\$5,000	\$5,000	\$550	05/29/2014	
FEC 2005-3(LI)	3	\$6,000	\$6,000	\$1,650	05/29/2014	
FEC 2006-1(GC)	1	\$2,500	\$2,500	\$550	05/29/2014	
FEC 2006-2(ROP)	3	\$15,000	\$15,000	\$1,650	05/29/2014	
FEC 2006-3(HMT)	1	\$4,000	\$4,000	\$550	05/29/2014	

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FEC 2006-4(SI)	1	\$5,000	\$5,000	\$550	05/29/2014	
FEC 2006-5(SA)	1	\$5,000	\$5,000	\$550	05/29/2014	
FEC 2006-6(FCS)	1	\$5,000	\$5,000	\$550	05/29/2014	
FEC 2006-7(SA)	1	\$2,000	\$2,000	\$550	05/29/2014	
FEC 2006-8(LI)	1	\$5,000	\$5,000	\$550	05/29/2014	
FEC 2006-9(LI)	1	\$2,500	\$2,500	\$550	05/29/2014	
FEC 2006-10(SA)	1	\$2,500	\$2,500	\$550	05/29/2014	
FEC 2006-11(FCS)	1	\$2,500	\$2,500	\$550	05/29/2014	
FEC 2007-1(AR)	1	\$5,000	\$5,000	\$550	05/29/2014	
FEC 2007-2(GC)	1	\$5,000	\$5,000	\$550	05/29/2014	
FEC 2007-3(FCS)	1	\$2,000	\$2,000	\$550	05/29/2014	
FEC 2008-1(GC)	1	\$5,000	\$5,000	\$3,400	05/29/2014	
FEC 2008-2(RW)	1	\$1,000	\$1,000	\$700	05/29/2014	
FEC 2008-3(HS)	3	\$3,000	\$3,000	\$2,000	05/29/2014	
FEC 2008-4(AR)	3	\$7,500	\$7,500	\$5,000	05/29/2014	
FEC 2009-2(ROR)	1	\$5,000	\$5,000	\$3,000	05/29/2014	
FEC 2009-3(EQ)	5	\$5,000	\$5,000	\$3,000	05/29/2014	
FEC 2009-4(EQ)	5	\$5,000	\$5,000	\$3,000	05/29/2014	
FEC 2009-5(EQ)	3	\$3,000	\$3,000	\$2,100	05/29/2014	
FEC 2009-6(EQ)	1	\$1,000	\$1,000	\$700	05/29/2014	
FEC 2009-7(HMT)	2	\$6,000	\$6,000	\$4,000	05/29/2014	
FEC 2010-1(SA)	1	\$5,000	\$5,000	\$3,000	05/29/2014	
FEC 2010-2(LI)	1	\$2,500	\$2,500	\$1,500	05/29/2014	
FEC 2010-3(ROP)	1	\$5,000	\$5,000	\$3,000	05/29/2014	
FEC 2010-4(HMT)	2	\$9,500	\$9,500	\$6,000	05/29/2014	
FEC 2010-5(AD)	4	\$8,000	\$8,000	\$5,000	05/29/2014	
FEC 2010-6(EQ)	1	\$1,000	\$1,000	\$700	05/29/2014	
FEC 2010-7(SA)	1	\$5,000	\$5,000	\$3,000	05/29/2014	
FEC 2010-9(ROP)	2	\$17,000	\$17,000	\$9,500	05/29/2014	
FEC 2010-10(EQ)	1	\$1,000	\$1,000	\$700	05/29/2014	
FEC 2011-1(SA)	1	\$5,000	\$5,000	\$3,000	05/29/2014	
FEC 2011-2(EO)	1	\$5,000	\$5,000	\$3,000	05/29/2014	
FEC 2011-3(HSR)	6	\$6,000	\$6,000	\$4,200	05/29/2014	
FEC 2011-4(SA)	1	\$5,000	\$5,000	\$3,000	05/29/2014	
FEC 2011-5(ROP)	1	\$7,500	\$7,500	\$5,000	05/29/2014	
FEC 2011-6(SA)	1	\$5,000	\$5,000	\$3,000	05/29/2014	
FEC 2011-7(HSR)	5	\$5,000	\$5,000	\$3,000	05/29/2014	
FEC 2011-8(AR)	1	\$2,500	\$2,500	\$1,500	05/29/2014	
FEC 2011-9(HMT)	1	\$2,500	\$2,500	\$1,500	05/29/2014	
FEC 2011-10(AR)	1	\$2,500	\$2,500	\$1,000	05/29/2014	
FEC 2011-11(SA)	1	\$5,000	\$5,000	\$3,000	05/29/2014	
FEC 2011-12(ROP)	1	\$7,500	\$7,500	\$5,000	05/29/2014	
FEC 2012-1(SA)	1	\$5,000	\$5,000	\$3,000	05/29/2014	
FEC 2012-2(ROP)	1	\$7,500	\$7,500	\$5,000	05/29/2014	
FEC 2012-4(ROP)	1	\$9,500	\$9,500	\$6,000	05/29/2014	
FEC 2012-5(ROR)	5	\$25,000	\$25,000	\$17,500	05/29/2014	
FEC 2013-1(ROP)	1	\$7,500	\$7,500	\$5,200	05/29/2014	
FEC 2013-2(SA)	1	\$5,000	\$5,000	\$3,500	05/29/2014	
FEC 2013-3(SA)	1	\$5,000	\$5,000	\$3,500	05/29/2014	

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FEC 2013-4(HMT)	1	\$3,000	\$3,000	\$2,100	05/29/2014	
FEC 2013-5(ROP)	1	\$9,500	\$9,500	\$6,650	05/29/2014	
FEC 2013-6(SA)	1	\$5,000	\$5,000	\$3,500	05/29/2014	
FEC 2013-7(SA)	1	\$5,000	\$5,000	\$3,500	05/29/2014	
FEC 2013-9(ROP)	1	\$7,500	\$7,500	\$5,250	05/29/2014	
FEC 2013-10(SA)	1	\$5,000	\$5,000	\$4,200	05/29/2014	
FEC 2013-11(SA)	1	\$5,000	\$5,000	\$3,350	05/29/2014	
FEC 2014-1(SA)	2	\$10,000	\$10,000	\$7,000	05/29/2014	
FEC 2014-3(SA)	1	\$5,000	\$5,000	\$3,000	05/29/2014	
FEC 2014-4(HS)	1	\$1,000	\$1,000	\$700	05/29/2014	
FSR 2014-1(TS)	1	\$2,500	\$2,500	\$1,500	05/21/2014	
GDLK 2013-1(GC)	1	\$5,000	\$5,000	\$2,800	09/29/2014	
GDLK 2014-1(AR)	1	\$2,500	\$2,500	\$1,600	09/29/2014	
GITM 2013-1(GC)	1	\$5,000	\$5,000	\$3,750	09/30/2014	
GLC 2012-1(AD)	2	\$5,000	\$5,000	\$4,000	03/28/2014	
GRNW 2013-1(SI)	1	\$5,000	\$5,000	\$2,800	09/29/2014	
GRYR 2010-2(EQ)	3	\$7,500	\$7,500	\$6,000	03/17/2014	
GRYR 2012-2(RW)	1	\$2,000	\$2,000	\$1,600	03/17/2014	
GRYR 2012-3(SI)	1	\$5,000	\$5,000	\$4,000	03/17/2014	
GRYR 2013-1(SI)	1	\$5,000	\$5,000	\$4,000	03/17/2014	
GRYR 2013-2(GC)	2	\$3,500	\$3,500	\$2,800	03/17/2014	
GSWR 2002-1(AD)	2	\$10,000	\$0	\$0	09/30/2014	Case Terminated.
GTRR 2013-1(HMT)	1	\$5,000	\$5,000	\$3,500	04/30/2014	
GWR 2012-2(HSR)	1	\$1,000	\$1,000	\$800	04/14/2014	
GWR 2013-1(GC)	3	\$3,000	\$3,000	\$2,400	04/14/2014	
IAIS 2013-2(ROP)	1	\$9,500	\$9,500	\$9,500	12/02/2013	
IAIS 2014-1(SA)	1	\$2,500	\$2,500	\$2,500	04/03/2014	
IAIS 2014-2(ROP)	1	\$9,500	\$9,500	\$9,500	07/31/2014	
IAIS 2014-3(SA)	1	\$5,000	\$5,000	\$5,000	07/14/2014	
IAIS 2014-4(HS)	1	\$1,000	\$1,000	\$1,000	08/11/2014	
IAIS 2014-5(SA)	1	\$5,000	\$5,000	\$5,000	08/19/2014	
IAIS 2014-6(SA)	1	\$5,000	\$5,000	\$5,000	09/18/2014	
IAIS 2014-7(ROP)	3	\$17,000	\$17,000	\$17,000	09/18/2014	
IAIS 2014-8(EQ)	1	\$1,000	\$1,000	\$1,000	09/18/2014	
IANR 2014-1(SA)	1	\$2,500	\$2,500	\$2,500	02/03/2014	
IHB 2013-3(ROR)	1	\$9,500	\$7,500	\$4,750	11/20/2013	Partially Terminated Violation(s): 1.
IHB 2013-4(SA)	2	\$10,000	\$10,000	\$7,000	11/20/2013	
IHB 2013-5(SA)	1	\$5,000	\$5,000	\$3,500	11/20/2013	
INPR 2014-1(TS)	2	\$5,000	\$5,000	\$3,500	05/22/2014	
INPR 2014-2(TS)	1	\$2,500	\$2,500	\$1,750	05/22/2014	
INRD 2014-1(HS)	1	\$1,000	\$1,000	\$1,000	05/01/2014	
INRD 2014-2(HS)	1	\$1,000	\$1,000	\$1,000	07/21/2014	
IOYR 2013-2(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
IOYR 2013-3(LI)	2	\$3,000	\$3,000	\$2,100	09/30/2014	
IOYR 2013-4(ROP)	3	\$26,500	\$26,500	\$17,200	09/30/2014	
IOYR 2013-5(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
IOYR 2014-1(SI)	1	\$2,500	\$2,500	\$1,800	09/30/2014	
JAIL 2011-1(EQ)	1	\$4,000	\$4,000	\$1,000	02/06/2014	
JAIL 2011-2(GC)	1	\$5,000	\$5,000	\$1,000	02/06/2014	

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JAIL 2013-1(GC)	1	\$2,500	\$0	\$0	02/06/2014	Case Terminated.
KBSR 2013-1(SA)	1	\$5,000	\$5,000	\$5,000	12/30/2013	
KCS 2013-15(SA)	1	\$5,000	\$5,000	\$2,550	09/08/2014	
KCS 2013-16(LI)	1	\$2,500	\$2,500	\$1,625	09/08/2014	
KCS 2013-17(SA)	3	\$12,500	\$12,500	\$9,200	09/08/2014	
KCS 2013-18(SA)	2	\$7,500	\$7,500	\$5,225	09/08/2014	
KCS 2013-19(SA)	1	\$5,000	\$5,000	\$3,000	09/08/2014	
KCS 2013-20(FCS)	1	\$2,500	\$2,500	\$1,675	09/08/2014	
KCS 2013-21(ROP)	5	\$43,500	\$43,500	\$30,500	09/08/2014	
KCS 2013-22(ROP)	2	\$17,000	\$17,000	\$12,000	09/08/2014	
KCS 2013-23(SA)	2	\$10,000	\$10,000	\$7,600	09/08/2014	
KCS 2013-24(TS)	5	\$5,000	\$5,000	\$3,400	09/08/2014	
KCS 2013-25(HMT)	1	\$1,000	\$1,000	\$680	09/08/2014	
KCS 2013-26(TS)	3	\$7,500	\$7,500	\$5,325	09/08/2014	
KCS 2013-27(TS)	2	\$2,000	\$2,000	\$1,750	09/08/2014	
KCS 2013-28(SA)	1	\$5,000	\$5,000	\$3,650	09/08/2014	
KCS 2013-29(ROP)	1	\$7,500	\$7,500	\$4,950	09/08/2014	
KCS 2013-30(SA)	1	\$5,000	\$5,000	\$3,250	09/08/2014	
KCS 2013-31(LI)	1	\$2,500	\$2,500	\$1,600	09/08/2014	
KCS 2013-32(TS)	1	\$5,000	\$5,000	\$3,150	09/08/2014	
KCS 2013-33(TS)	1	\$2,500	\$2,500	\$1,900	09/08/2014	
KCS 2013-34(SA)	1	\$2,500	\$2,500	\$1,750	09/08/2014	
KCS 2013-35(LI)	1	\$2,500	\$2,500	\$1,450	09/08/2014	
KCS 2013-36(SA)	1	\$2,500	\$2,500	\$1,750	09/08/2014	
KCS 2013-37(HMT)	1	\$4,000	\$4,000	\$2,700	09/08/2014	
KCS 2013-38(HMT)	1	\$2,000	\$2,000	\$1,250	09/08/2014	
KCS 2013-39(FCS)	1	\$5,000	\$5,000	\$3,150	09/08/2014	
KCS 2013-40(ROP)	1	\$7,500	\$7,500	\$4,875	09/08/2014	
KCS 2013-41(HMT)	4	\$20,000	\$20,000	\$11,500	09/08/2014	
KCS 2013-42(HMT)	1	\$2,000	\$2,000	\$1,300	09/08/2014	
KCS 2013-43(SA)	1	\$2,500	\$2,500	\$1,800	09/08/2014	
KCS 2013-44(SA)	1	\$2,500	\$2,500	\$1,950	09/08/2014	
KCS 2013-45(ROP)	1	\$7,500	\$7,500	\$4,875	09/08/2014	
KCS 2013-46(ROP)	1	\$5,000	\$5,000	\$2,800	09/08/2014	
KCS 2013-47(SA)	1	\$5,000	\$5,000	\$3,200	09/08/2014	
KCS 2013-48(SA)	1	\$5,000	\$5,000	\$3,500	09/08/2014	
KCS 2013-49(ROP)	1	\$2,000	\$2,000	\$1,275	09/08/2014	
KCS 2013-50(ROP)	1	\$2,000	\$2,000	\$1,275	09/08/2014	
KCS 2013-51(ROP)	1	\$2,000	\$2,000	\$1,275	09/08/2014	
KCS 2013-52(FCS)	1	\$5,000	\$5,000	\$3,150	09/08/2014	
KCS 2013-53(GC)	1	\$5,000	\$5,000	\$3,550	09/08/2014	
KCS 2013-54(GC)	1	\$5,000	\$5,000	\$3,600	09/08/2014	
KCS 2013-55(GC)	1	\$5,000	\$5,000	\$3,600	09/08/2014	
KCS 2013-56(SA)	1	\$2,500	\$2,500	\$1,600	09/08/2014	
KCS 2013-57(ROP)	1	\$2,000	\$2,000	\$1,275	09/08/2014	
KCS 2013-58(ROP)	1	\$2,000	\$2,000	\$1,275	09/08/2014	
KCS 2013-59(LI)	1	\$1,000	\$1,000	\$650	09/08/2014	
KCS 2013-60(LI)	1	\$2,500	\$2,500	\$1,750	09/08/2014	
KCS 2014-1(ROP)	1	\$5,000	\$5,000	\$2,800	09/08/2014	

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KCS 2014-2(SA)	1	\$5,000	\$5,000	\$3,850	09/08/2014	
KCS 2014-3(RMM)	1	\$5,000	\$5,000	\$3,750	09/08/2014	
KCS 2014-4(RMM)	1	\$5,000	\$5,000	\$3,750	09/08/2014	
KCS 2014-5(ROP)	1	\$5,000	\$5,000	\$3,000	09/08/2014	
KCS 2014-6(TS)	1	\$5,000	\$5,000	\$3,300	09/08/2014	
KCS 2014-7(HS)	1	\$1,000	\$1,000	\$700	09/08/2014	
KCS 2014-8(HS)	1	\$1,000	\$1,000	\$700	09/08/2014	
KCS 2014-9(HSR)	1	\$1,000	\$1,000	\$775	09/08/2014	
KCS 2014-10(ROP)	1	\$7,500	\$7,500	\$5,500	09/08/2014	
KCS 2014-15(ROP)	1	\$2,000	\$2,000	\$1,275	09/08/2014	
KCS 2014-16(ROP)	1	\$7,500	\$7,500	\$4,950	09/08/2014	
KCT 2013-1(SI)	1	\$5,000	\$5,000	\$3,500	03/11/2014	
KO 2013-2(SA)	2	\$10,000	\$10,000	\$5,500	09/29/2014	
KRR 2013-1(ROP)	1	\$9,500	\$9,500	\$6,400	09/30/2014	
KRR 2013-2(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
KRR 2013-3(TS)	3	\$15,000	\$15,000	\$10,200	09/30/2014	
KRR 2014-1(CC)	1	\$5,000	\$5,000	\$3,600	09/30/2014	
LAJ 2011-1(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2014	
LAJ 2013-1(FCS)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
LAS 2013-1(RSP)	1	\$9,500	\$9,500	\$5,100	09/29/2014	
LAS 2014-1(RSP)	2	\$19,000	\$19,000	\$9,500	09/29/2014	
LI 2013-1(PEQ)	1	\$5,000	\$5,000	\$3,350	05/28/2014	
LI 2013-2(EQ)	1	\$1,000	\$1,000	\$650	05/28/2014	
LI 2013-3(ROP)	1	\$7,500	\$7,500	\$5,025	05/28/2014	
LI 2013-4(PEQ)	2	\$10,000	\$10,000	\$6,500	05/28/2014	
LI 2013-5(PEQ)	1	\$5,000	\$5,000	\$3,350	05/28/2014	
LI 2013-6(ROP)	2	\$19,000	\$19,000	\$12,825	05/28/2014	
LI 2013-7(PEQ)	1	\$5,000	\$5,000	\$3,350	05/28/2014	
LI 2013-8(PEQ)	2	\$6,000	\$6,000	\$4,000	05/28/2014	
MACZ 2013-2(RW)	1	\$3,000	\$3,000	\$3,000	01/15/2014	
MBAX 2010-5(AR)	1	\$2,500	\$2,500	\$2,000	12/26/2013	
MBAX 2011-1(PEQ)	1	\$2,000	\$2,000	\$1,600	12/26/2013	
MBAX 2011-13(EQ)	1	\$2,500	\$2,500	\$2,250	12/26/2013	
MBAX 2011-14(SA)	1	\$5,000	\$0	\$0	12/26/2013	Case Terminated.
MBAX 2012-2(PEQ)	7	\$20,000	\$20,000	\$16,000	12/26/2013	
MBAX 2012-3(PEQ)	4	\$10,000	\$10,000	\$5,000	12/26/2013	
MBAX 2012-4(LI)	1	\$2,500	\$2,500	\$2,000	12/26/2013	
MBAX 2012-5(SA)	1	\$2,500	\$2,500	\$2,000	12/26/2013	
MBAX 2013-1(SI)	1	\$2,500	\$2,500	\$650	12/26/2013	
MBAX 2013-2(RW)	3	\$3,000	\$3,000	\$2,250	12/26/2013	
MBAX 2013-3(PEQ)	1	\$5,000	\$5,000	\$4,500	12/26/2013	
MBCR 2012-1(PEQ)	23	\$57,500	\$57,500	\$48,875	12/26/2013	
MBTA 2008-1(PEP)	2	\$5,000	\$0	\$0	12/26/2013	Case Terminated.
MBTA 2012-1(PEP)	1	\$5,000	\$0	\$0	12/26/2013	Case Terminated.
MEC 2013-3(TS)	2	\$10,000	\$10,000	\$7,500	09/29/2014	
MEC 2013-4(TS)	13	\$13,000	\$13,000	\$9,200	09/29/2014	
MEC 2013-5(TS)	1	\$2,500	\$2,500	\$1,900	09/29/2014	
MEC 2013-6(TS)	1	\$5,000	\$5,000	\$3,750	09/29/2014	
MEC 2013-7(TS)	1	\$5,000	\$5,000	\$3,800	09/29/2014	

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MEC 2013-8(TS)	6	\$30,000	\$30,000	\$22,500	09/29/2014	
MEC 2014-1(TS)	1	\$5,000	\$5,000	\$3,750	09/29/2014	
MNA 2013-1(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
MNA 2013-2(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
MNA 2013-3(HMT)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
MNA 2013-4(AR)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
MNA 2013-5(AR)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
MNA 2013-6(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
MNA 2013-7(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
MNA 2013-8(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
MNA 2013-9(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
MNA 2013-10(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
MNCW 2010-3(ROR)	1	\$5,000	\$5,000	\$4,250	06/16/2014	
MNCW 2010-4(AR)	5	\$11,000	\$11,000	\$9,300	01/31/2014	
MNCW 2010-6(AR)	5	\$12,500	\$12,500	\$10,000	01/31/2014	
MNCW 2010-7(AR)	5	\$12,500	\$12,500	\$9,500	01/31/2014	
MNCW 2010-9(AR)	5	\$12,500	\$12,500	\$9,500	01/31/2014	
MNCW 2010-10(AR)	4	\$10,000	\$10,000	\$7,750	01/31/2014	
MNCW 2010-12(AR)	5	\$12,500	\$12,500	\$9,750	01/31/2014	
MNCW 2010-13(AR)	1	\$2,500	\$2,500	\$2,125	01/31/2014	
MNCW 2010-15(AR)	1	\$1,000	\$0	\$0	01/31/2014	Case Terminated.
MNCW 2010-16(AR)	1	\$2,500	\$2,500	\$1,750	01/31/2014	
MNCW 2010-17(AR)	1	\$2,500	\$2,500	\$1,750	01/31/2014	
MNCW 2010-18(AR)	1	\$2,500	\$2,500	\$1,750	01/31/2014	
MNCW 2010-19(AR)	1	\$2,500	\$2,500	\$1,750	01/31/2014	
MNCW 2010-20(AR)	1	\$2,500	\$2,500	\$2,000	01/31/2014	
MNCW 2010-21(AR)	1	\$2,500	\$2,500	\$2,000	01/31/2014	
MNCW 2010-22(AR)	1	\$2,500	\$2,500	\$2,000	01/31/2014	
MNCW 2010-24(AR)	1	\$2,500	\$2,500	\$2,000	01/31/2014	
MNCW 2010-25(AR)	1	\$2,500	\$2,500	\$1,750	01/31/2014	
MNCW 2010-28(AR)	1	\$2,500	\$2,500	\$2,000	01/31/2014	
MNCW 2010-29(AR)	1	\$2,500	\$2,500	\$2,000	01/31/2014	
MNCW 2010-30(AR)	1	\$2,500	\$2,500	\$2,000	01/31/2014	
MNCW 2010-31(AR)	1	\$2,500	\$2,500	\$2,000	01/31/2014	
MNCW 2010-32(AR)	1	\$2,500	\$2,500	\$2,000	01/31/2014	
MNCW 2010-34(AR)	1	\$2,500	\$2,500	\$2,000	01/31/2014	
MNCW 2010-35(AR)	1	\$2,500	\$2,500	\$2,000	01/31/2014	
MNCW 2011-12(AD)	1	\$5,000	\$5,000	\$3,500	06/16/2014	
MNCW 2011-13(PEQ)	2	\$30,000	\$30,000	\$19,500	06/16/2014	
MNCW 2011-14(RSP)	1	\$1,000	\$1,000	\$650	06/16/2014	
MNCW 2011-15(ROP)	1	\$15,000	\$15,000	\$13,500	06/16/2014	
MNCW 2012-1(PEQ)	2	\$10,000	\$10,000	\$8,000	06/16/2014	
MNCW 2012-2(PEQ)	2	\$10,000	\$10,000	\$8,000	06/16/2014	
MNCW 2012-3(ROP)	2	\$15,000	\$15,000	\$12,750	06/16/2014	
MNCW 2013-1(ROP)	1	\$7,500	\$7,500	\$6,750	06/16/2014	
MNCW 2013-2(AD)	1	\$2,500	\$2,500	\$2,000	06/16/2014	
MNCW 2013-3(AR)	1	\$2,500	\$2,500	\$2,000	06/16/2014	
MNCW 2013-4(AR)	1	\$2,500	\$2,500	\$2,000	06/16/2014	
MNCW 2013-5(AR)	1	\$2,500	\$2,500	\$2,000	06/16/2014	

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MNCW 2013-6(AR)	1	\$2,500	\$2,500	\$2,000	06/16/2014	
MNCW 2013-7(AR)	1	\$2,500	\$2,500	\$2,000	06/16/2014	
MNCW 2013-8(AR)	1	\$2,500	\$2,500	\$2,000	06/16/2014	
MNCW 2013-9(AR)	1	\$2,500	\$2,500	\$2,000	06/16/2014	
MNCW 2013-10(ROP)	5	\$39,000	\$39,000	\$33,150	06/16/2014	
MNCW 2013-11(AD)	2	\$5,000	\$5,000	\$4,000	06/16/2014	
MNCW 2013-12(EQ)	1	\$5,000	\$5,000	\$4,000	06/16/2014	
MNCW 2013-13(AR)	1	\$2,500	\$2,500	\$2,250	06/16/2014	
MNCW 2013-14(AR)	1	\$2,500	\$2,500	\$2,000	06/16/2014	
MNCW 2013-15(AR)	1	\$2,500	\$2,500	\$2,000	06/16/2014	
MNCW 2013-16(AR)	1	\$2,500	\$2,500	\$2,000	06/16/2014	
MNCW 2013-17(AD)	2	\$10,000	\$10,000	\$8,000	06/16/2014	
MNCW 2013-19(TS)	2	\$10,000	\$10,000	\$9,000	06/16/2014	
MNCW 2013-20(TS)	2	\$10,000	\$10,000	\$9,000	06/16/2014	
MNCW 2013-21(TS)	1	\$5,000	\$5,000	\$4,500	06/16/2014	
MNCW 2013-22(RW)	1	\$5,000	\$5,000	\$5,000	06/16/2014	
MNJ 2013-1(TS)	2	\$10,000	\$10,000	\$6,000	11/21/2013	
MNR 2013-2(SA)	1	\$5,000	\$5,000	\$3,500	02/12/2014	
MRL 2009-18(RW)	1	\$1,000	\$1,000	\$600	03/11/2014	
MRL 2012-3(SA)	1	\$5,000	\$5,000	\$4,500	03/11/2014	
MRL 2012-4(SA)	1	\$2,500	\$2,500	\$2,250	03/11/2014	
MRL 2012-5(EQ)	2	\$6,000	\$6,000	\$4,500	03/11/2014	
MRL 2012-6(EQ)	3	\$9,500	\$9,500	\$7,600	03/11/2014	
MRL 2012-7(FCS)	1	\$2,500	\$2,500	\$2,250	03/11/2014	
MRL 2012-8(SA)	1	\$10,000	\$10,000	\$8,000	03/11/2014	
MRL 2013-1(EQ)	6	\$14,000	\$5,000	\$5,000	03/11/2014	Terminated Violation(s): 1, 3, 4, 6.
MRL 2013-2(ROP)	1	\$7,500	\$0	\$0	03/11/2014	Case Terminated.
MSN 2009-1(LI)	4	\$10,000	\$10,000	\$5,000	12/02/2013	
MSN 2010-2(EP)	1	\$1,000	\$1,000	\$650	12/02/2013	
MSN 2011-1(LI)	1	\$1,500	\$1,500	\$750	12/02/2013	
MSN 2011-3(EQ)	1	\$1,000	\$1,000	\$650	12/02/2013	
NCRC 2013-1(SA)	3	\$15,000	\$15,000	\$11,250	06/06/2014	
NCRC 2013-2(ROP)	1	\$9,500	\$9,500	\$7,250	06/06/2014	
NCRC 2014-1(HS)	18	\$18,000	\$18,000	\$13,500	06/06/2014	
NECR 2013-4(SA)	1	\$2,500	\$2,500	\$1,825	03/14/2014	
NHN 2014-1(SA)	1	\$5,000	\$5,000	\$3,000	07/31/2014	
NJTR 2013-7(ROP)	3	\$26,500	\$26,500	\$18,950	03/25/2014	
NJTR 2013-8(PEQ)	5	\$25,000	\$25,000	\$17,750	03/25/2014	
NJTR 2013-9(ROP)	5	\$39,500	\$39,500	\$28,150	03/25/2014	
NJTR 2013-10(SA)	1	\$5,000	\$5,000	\$3,500	03/25/2014	
NJTR 2013-11(PEQ)	2	\$10,000	\$10,000	\$7,100	03/25/2014	
NOPB 2007-1(SA)	2	\$10,000	\$10,000	\$1,600	07/01/2014	
NOPB 2007-2(SA)	1	\$5,000	\$5,000	\$1,000	07/01/2014	
NOPB 2007-3(ROP)	1	\$5,000	\$5,000	\$1,000	07/01/2014	
NOPB 2008-1(SA)	2	\$5,000	\$5,000	\$1,300	07/01/2014	
NOPB 2010-1(HMT)	1	\$7,500	\$7,500	\$3,750	07/01/2014	
NOPB 2011-1(ROP)	1	\$7,500	\$7,500	\$4,725	07/01/2014	
NOPB 2011-2(ROP)	1	\$7,500	\$7,500	\$4,725	07/01/2014	
NOPB 2011-3(HMT)	1	\$3,000	\$3,000	\$1,500	07/01/2014	

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NOPB 2011-4(SA)	2	\$10,000	\$10,000	\$6,300	07/01/2014	
NOPB 2012-5(ROP)	1	\$7,500	\$7,500	\$4,725	07/01/2014	
NOPB 2012-6(ROP)	5	\$32,500	\$32,500	\$20,475	07/01/2014	
NOPB 2012-8(ROP)	1	\$7,500	\$7,500	\$4,725	07/01/2014	
NOPB 2013-1(SA)	2	\$10,000	\$10,000	\$6,300	07/01/2014	
NOPB 2013-2(EQ)	1	\$2,500	\$2,500	\$1,575	07/01/2014	
NOPB 2013-3(ROR)	1	\$7,500	\$7,500	\$4,725	07/01/2014	
NOPB 2013-4(AD)	1	\$2,500	\$2,500	\$1,575	07/01/2014	
NOPB 2014-1(AR)	1	\$2,500	\$2,500	\$1,875	09/22/2014	
NOW 2014-1(GC)	1	\$2,500	\$2,500	\$1,500	04/09/2014	
NVRR 2014-1(GC)	1	\$2,500	\$2,500	\$1,800	06/11/2014	
NVWT 2008-2(GC)	1	\$2,500	\$2,500	\$1,500	06/11/2014	
NVWT 2009-1(GC)	1	\$2,500	\$2,500	\$1,500	06/11/2014	
NVWT 2009-2(GC)	2	\$2,000	\$2,000	\$1,200	06/11/2014	
NYA 2013-3(ROP)	1	\$7,500	\$7,500	\$7,500	12/30/2013	
NYA 2013-4(SA)	2	\$7,500	\$7,500	\$7,500	03/12/2014	
OPPX 2013-1(GC)	1	\$5,000	\$5,000	\$5,000	10/24/2013	
PAS 2013-3(TS)	2	\$2,000	\$2,000	\$1,400	09/29/2014	
PAS 2014-1(TS)	1	\$2,500	\$2,500	\$1,800	09/29/2014	
PATH 2013-2(RW)	1	\$2,000	\$2,000	\$1,400	06/17/2014	
PCMZ 2012-1(ROR)	2	\$5,000	\$5,000	\$5,000	10/24/2013	
PCMZ 2014-1(SI)	1	\$5,000	\$5,000	\$5,000	06/12/2014	
PNWR 2013-1(TS)	2	\$10,000	\$10,000	\$7,000	09/30/2014	
PNWR 2013-2(TS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
PNWR 2013-3(TS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
PNWR 2013-4(TS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
PNWR 2013-5(TS)	3	\$7,500	\$7,500	\$5,250	09/30/2014	
PNWR 2013-6(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
PNWR 2013-7(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
PNWR 2013-8(TS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
PSAN 2013-1(SA)	1	\$5,000	\$0	\$0	04/28/2014	Case Terminated.
PSAP 2013-1(AR)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
PSAP 2013-2(TS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
PSAP 2014-1(AR)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
PTO 2013-1(ROP)	1	\$9,500	\$9,500	\$6,650	11/14/2013	
RBMN 2009-1(TS)	3	\$15,000	\$0	\$0	03/31/2014	Case Terminated.
RBMN 2009-2(EP)	3	\$3,000	\$0	\$0	03/31/2014	Case Terminated.
RBMN 2011-1(AR)	1	\$2,500	\$2,500	\$650	07/01/2014	
RBMN 2011-2(REM)	1	\$5,000	\$5,000	\$650	07/01/2014	
RBMN 2011-3(AR)	1	\$2,500	\$0	\$0	03/31/2014	Case Terminated.
RBMN 2011-4(SA)	1	\$5,000	\$5,000	\$650	07/01/2014	
RBMN 2011-5(SI)	1	\$5,000	\$5,000	\$650	07/01/2014	
RBMN 2012-2(HMT)	2	\$15,000	\$15,000	\$450	07/01/2014	
RBMN 2012-3(HMT)	1	\$5,000	\$5,000	\$250	07/01/2014	
RBMN 2012-7(SA)	1	\$5,000	\$5,000	\$650	07/01/2014	
RBMN 2013-1(TS)	1	\$2,500	\$2,500	\$650	07/01/2014	
RBMN 2013-2(SI)	1	\$1,000	\$1,000	\$650	07/01/2014	
RJCM 2013-1(TS)	1	\$5,000	\$5,000	\$4,500	12/18/2013	
RJCP 2013-1(GC)	1	\$5,000	\$5,000	\$5,000	12/12/2013	

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RJCP 2013-2(RW)	1	\$3,000	\$3,000	\$3,000	12/12/2013	
RSIX 2012-2(LI)	1	\$5,000	\$5,000	\$4,000	05/09/2014	
RSIX 2013-1(SA)	1	\$5,000	\$5,000	\$4,000	05/09/2014	
RSIX 2013-2(SA)	1	\$5,000	\$5,000	\$4,000	05/09/2014	
RSIX 2013-3(LI)	2	\$2,000	\$2,000	\$1,700	05/09/2014	
RSIX 2013-4(LI)	1	\$1,000	\$1,000	\$1,000	02/10/2014	
RSIX 2013-10(SA)	2	\$10,000	\$0	\$0	04/02/2014	Case Terminated.
RSIX 2013-11(HMT)	2	\$10,000	\$10,000	\$8,500	05/09/2014	
SAPT 2013-1(TS)	1	\$5,000	\$5,000	\$2,500	10/28/2013	
SCAX 2013-2(AR)	1	\$2,500	\$2,500	\$1,400	01/13/2014	
SCAX 2013-3(AR)	1	\$2,500	\$2,500	\$1,400	01/13/2014	
SCAX 2013-4(AR)	1	\$2,500	\$2,500	\$1,600	01/13/2014	
SCAX 2013-5(AR)	1	\$2,500	\$2,500	\$1,400	01/13/2014	
SCIH 2009-1(SA)	1	\$5,000	\$0	\$0	07/17/2014	Case Terminated.
SDIY 2014-1(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
SEPA 2013-6(RSP)	6	\$6,000	\$6,000	\$3,900	05/14/2014	
SEPA 2014-1(ROP)	1	\$9,500	\$9,500	\$6,500	08/13/2014	
SEPA 2014-2(ROR)	2	\$17,000	\$17,000	\$11,200	08/13/2014	
SEPA 2014-3(SI)	10	\$25,000	\$25,000	\$14,000	08/13/2014	
SEPA 2014-5(RSP)	7	\$8,500	\$8,500	\$5,150	08/13/2014	
SEPA 2014-6(ROR)	1	\$7,500	\$7,500	\$4,900	08/13/2014	
SEPA 2014-7(TH)	1	\$1,000	\$1,000	\$700	08/13/2014	
SEPA 2014-8(GC)	10	\$25,000	\$25,000	\$14,000	08/13/2014	
SEPA 2014-9(ROP)	1	\$5,000	\$5,000	\$3,200	08/13/2014	
SFRV 2013-1(LI)	1	\$1,500	\$1,500	\$950	08/26/2014	
SFS 2009-1(GC)	1	\$5,000	\$0	\$0	02/03/2014	Case Terminated.
SFS 2009-2(EQ)	1	\$2,500	\$0	\$0	02/03/2014	Case Terminated.
SFS 2009-3(EQ)	1	\$2,500	\$0	\$0	02/03/2014	Case Terminated.
SKOL 2013-5(LI)	1	\$2,500	\$2,500	\$1,450	09/29/2014	
SKOL 2013-6(TS)	1	\$2,500	\$2,500	\$1,450	09/29/2014	
SKOL 2013-7(LI)	1	\$2,500	\$2,500	\$1,675	09/29/2014	
SKOL 2014-1(ROP)	1	\$7,500	\$7,500	\$4,600	09/29/2014	
SKOL 2014-2(TS)	1	\$5,000	\$5,000	\$3,000	09/29/2014	
SLOI 2009-1(GC)	2	\$5,000	\$0	\$0	07/14/2014	Case Terminated.
SM 2009-1(LI)	1	\$2,500	\$0	\$0	07/14/2014	Case Terminated.
SOU 2010-73(GC)	1	\$5,000	\$5,000	\$3,800	09/29/2014	
SOU 2010-138(EQ)	1	\$4,000	\$4,000	\$2,850	09/30/2014	
SOU 2010-146(FCS)	5	\$12,500	\$12,500	\$3,250	09/29/2014	
SOU 2010-225(AR)	1	\$2,500	\$0	\$0	09/30/2014	Case Terminated.
SOU 2010-267(AR)	1	\$2,500	\$0	\$0	09/30/2014	Case Terminated.
SOU 2010-297(AR)	1	\$2,500	\$0	\$0	09/30/2014	Case Terminated.
SOU 2010-323(AR)	1	\$2,500	\$0	\$0	08/04/2014	Case Terminated.
SOU 2011-53(AR)	1	\$2,500	\$0	\$0	09/30/2014	Case Terminated.
SOU 2011-70(AR)	1	\$2,500	\$0	\$0	09/30/2014	Case Terminated.
SOU 2011-186(LI)	1	\$1,000	\$1,000	\$850	09/30/2014	
SOU 2011-195(RW)	1	\$3,000	\$3,000	\$2,000	09/29/2014	
SOU 2011-199(LI)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
SOU 2012-105(RSP)	1	\$5,500	\$5,500	\$3,900	09/30/2014	
SOU 2013-18(ROP)	1	\$9,500	\$0	\$0	09/30/2014	Case Terminated.

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SOU 2013-57(HMT)	1	\$2,500	\$2,000	\$1,550	09/29/2014	Partially Terminated Violation(s): 1.
SOU 2013-60(SI)	1	\$5,000	\$5,000	\$3,550	09/29/2014	
SOU 2013-61(TS)	10	\$50,000	\$50,000	\$32,000	09/29/2014	
SOU 2013-64(ROP)	1	\$7,500	\$7,500	\$5,450	09/30/2014	
SOU 2013-67(ROP)	1	\$7,500	\$2,000	\$650	09/30/2014	
SOU 2013-70(FCS)	1	\$2,500	\$2,500	\$1,600	09/29/2014	
SOU 2013-72(HMT)	2	\$11,500	\$11,500	\$7,900	09/29/2014	
SOU 2013-73(HMT)	1	\$3,000	\$3,000	\$2,000	09/29/2014	
SOU 2013-76(GC)	1	\$5,000	\$5,000	\$3,600	09/29/2014	
SOU 2013-79(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2013-80(FCS)	1	\$2,500	\$2,500	\$1,600	09/29/2014	
SOU 2013-81(ROR)	1	\$9,500	\$9,500	\$6,350	09/29/2014	
SOU 2013-82(HSR)	1	\$1,000	\$1,000	\$785	09/30/2014	
SOU 2013-83(HSR)	1	\$1,000	\$1,000	\$785	09/30/2014	
SOU 2013-84(LI)	1	\$2,500	\$2,500	\$1,625	09/30/2014	
SOU 2013-85(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2013-86(ROP)	1	\$7,500	\$7,500	\$5,000	09/30/2014	
SOU 2013-87(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2013-88(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2013-89(RW)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2013-90(RW)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2013-91(RW)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2013-92(RW)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2013-93(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2013-94(ROP)	1	\$7,500	\$7,500	\$5,100	09/30/2014	
SOU 2013-95(ROP)	1	\$7,500	\$7,500	\$5,100	09/30/2014	
SOU 2013-97(AR)	1	\$2,500	\$2,500	\$1,550	09/30/2014	
SOU 2013-99(AR)	1	\$2,500	\$2,500	\$1,550	09/30/2014	
SOU 2013-100(ROP)	1	\$7,500	\$7,500	\$5,100	09/30/2014	
SOU 2013-101(HSR)	1	\$1,000	\$1,000	\$775	09/30/2014	
SOU 2013-102(HSR)	1	\$1,000	\$1,000	\$775	09/30/2014	
SOU 2013-103(HMT)	1	\$2,500	\$2,000	\$1,500	09/29/2014	Partially Terminated Violation(s): 1.
SOU 2013-104(SA)	1	\$2,500	\$2,500	\$1,700	09/29/2014	
SOU 2013-105(SA)	1	\$2,500	\$2,500	\$1,700	09/29/2014	
SOU 2013-106(ROP)	1	\$7,500	\$7,500	\$5,000	09/30/2014	
SOU 2013-107(FCS)	1	\$2,500	\$2,500	\$1,700	09/29/2014	
SOU 2013-108(FCS)	1	\$2,500	\$2,500	\$1,700	09/29/2014	
SOU 2013-109(FCS)	1	\$2,500	\$2,500	\$1,700	09/29/2014	
SOU 2013-110(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2013-111(SA)	1	\$2,500	\$2,500	\$1,700	09/29/2014	
SOU 2013-112(FCS)	1	\$2,500	\$2,500	\$1,600	09/29/2014	
SOU 2013-113(HSR)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
SOU 2013-114(HSR)	4	\$4,000	\$4,000	\$2,800	09/30/2014	
SOU 2013-115(HMT)	1	\$5,000	\$5,000	\$3,600	09/29/2014	
SOU 2013-116(GC)	1	\$5,000	\$5,000	\$3,800	09/29/2014	
SOU 2013-117(LI)	1	\$2,500	\$2,500	\$1,625	09/30/2014	
SOU 2013-118(ROP)	1	\$5,000	\$5,000	\$3,100	09/30/2014	

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SOU 2013-119(FCS)	1	\$5,000	\$5,000	\$3,325	09/29/2014	
SOU 2013-120(SA)	1	\$2,500	\$2,500	\$1,600	09/29/2014	
SOU 2013-121(FCS)	1	\$2,500	\$2,500	\$1,600	09/29/2014	
SOU 2013-122(LI)	1	\$2,500	\$2,500	\$1,625	09/30/2014	
SOU 2013-123(RW)	1	\$3,000	\$3,000	\$2,000	09/29/2014	
SOU 2013-124(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2013-125(ROP)	1	\$7,500	\$2,000	\$1,550	09/30/2014	Partially Terminated Violation(s): 1.
SOU 2013-126(ROP)	1	\$7,500	\$7,500	\$3,800	09/30/2014	
SOU 2013-127(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2013-128(SA)	1	\$2,500	\$2,500	\$1,650	09/29/2014	
SOU 2013-129(SA)	1	\$5,000	\$5,000	\$3,100	09/29/2014	
SOU 2013-130(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2013-131(SA)	1	\$2,500	\$2,500	\$1,800	09/29/2014	
SOU 2013-132(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2013-133(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2013-134(LI)	1	\$2,500	\$2,500	\$1,625	09/30/2014	
SOU 2013-135(SI)	1	\$5,000	\$5,000	\$3,250	09/29/2014	
SOU 2013-136(LI)	1	\$1,500	\$1,500	\$1,050	09/30/2014	
SOU 2013-137(HMT)	1	\$2,500	\$2,500	\$2,000	09/29/2014	
SOU 2013-138(SA)	1	\$2,500	\$2,500	\$1,600	09/29/2014	
SOU 2013-139(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2013-140(FCS)	1	\$5,000	\$5,000	\$3,225	09/29/2014	
SOU 2013-141(SA)	1	\$10,000	\$10,000	\$7,000	09/29/2014	
SOU 2013-142(TS)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2013-143(TS)	1	\$2,500	\$2,500	\$1,675	09/29/2014	
SOU 2013-144(TS)	1	\$5,000	\$5,000	\$3,275	09/29/2014	
SOU 2013-145(TS)	1	\$5,000	\$5,000	\$3,275	09/29/2014	
SOU 2013-146(TS)	2	\$7,500	\$7,500	\$4,800	09/29/2014	
SOU 2013-147(AR)	1	\$2,500	\$2,500	\$1,550	09/30/2014	
SOU 2013-149(CC)	1	\$2,500	\$2,500	\$1,850	09/30/2014	
SOU 2013-153(TS)	1	\$1,000	\$1,000	\$750	09/29/2014	
SOU 2013-154(TS)	1	\$5,000	\$5,000	\$3,250	09/29/2014	
SOU 2013-155(TS)	2	\$10,000	\$10,000	\$6,500	09/29/2014	
SOU 2013-156(TS)	5	\$12,500	\$12,500	\$7,700	09/29/2014	
SOU 2013-157(AR)	1	\$2,500	\$2,500	\$1,400	09/29/2014	
SOU 2013-158(AR)	1	\$2,500	\$2,500	\$1,400	09/29/2014	
SOU 2013-159(AR)	1	\$2,500	\$2,500	\$1,400	09/29/2014	
SOU 2013-160(AR)	1	\$2,500	\$2,500	\$1,400	09/29/2014	
SOU 2013-161(AR)	1	\$2,500	\$2,500	\$1,400	09/29/2014	
SOU 2013-162(AR)	1	\$2,500	\$2,500	\$1,400	09/29/2014	
SOU 2013-163(AR)	1	\$2,500	\$2,500	\$1,400	09/29/2014	
SOU 2013-164(AR)	1	\$2,500	\$2,500	\$1,400	09/29/2014	
SOU 2013-165(AR)	1	\$2,500	\$2,500	\$1,400	09/29/2014	
SOU 2013-166(AR)	1	\$2,500	\$2,500	\$1,400	09/29/2014	
SOU 2013-167(AR)	1	\$2,500	\$2,500	\$1,400	09/29/2014	
SOU 2013-168(AR)	1	\$2,500	\$2,500	\$1,400	09/29/2014	
SOU 2013-169(AR)	1	\$2,500	\$2,500	\$1,400	09/29/2014	
SOU 2013-171(HS)	1	\$1,000	\$1,000	\$825	09/30/2014	
SOU 2013-172(RSP)	3	\$7,500	\$7,500	\$4,800	09/30/2014	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
SOU 2013-173(HS)	1	\$1,000	\$1,000	\$825	09/30/2014	
SOU 2013-174(HMT)	2	\$9,500	\$9,500	\$5,800	09/29/2014	
SOU 2013-175(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2013-176(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2014	
SOU 2013-177(LI)	1	\$2,500	\$2,500	\$1,625	09/30/2014	
SOU 2013-178(ROP)	1	\$7,500	\$2,000	\$1,550	09/30/2014	Partially Terminated Violation(s): 1.
SOU 2013-179(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2013-180(LI)	1	\$2,500	\$2,500	\$1,625	09/30/2014	
SOU 2013-181(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2014	
SOU 2013-182(LI)	3	\$6,500	\$6,500	\$4,225	09/30/2014	
SOU 2013-183(LI)	3	\$5,000	\$5,000	\$3,275	09/30/2014	
SOU 2013-185(LI)	1	\$2,500	\$2,500	\$1,625	09/30/2014	
SOU 2013-186(LI)	1	\$1,500	\$1,500	\$1,050	09/30/2014	
SOU 2013-187(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2013-188(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2013-189(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2013-190(SA)	1	\$2,500	\$2,500	\$1,700	09/29/2014	
SOU 2013-191(LI)	2	\$4,000	\$4,000	\$2,650	09/30/2014	
SOU 2013-192(ROP)	1	\$7,500	\$7,500	\$5,000	09/30/2014	
SOU 2013-193(HSR)	1	\$1,000	\$1,000	\$775	09/30/2014	
SOU 2013-194(HMT)	1	\$1,000	\$1,000	\$825	09/29/2014	
SOU 2013-195(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2014	
SOU 2013-196(TS)	2	\$2,000	\$2,000	\$1,300	09/29/2014	
SOU 2013-197(AR)	1	\$5,000	\$5,000	\$3,400	09/30/2014	
SOU 2013-198(AR)	1	\$5,000	\$5,000	\$3,400	09/30/2014	
SOU 2013-199(AR)	1	\$5,000	\$5,000	\$3,400	09/30/2014	
SOU 2013-200(AR)	1	\$5,000	\$5,000	\$3,400	09/30/2014	
SOU 2013-201(AR)	1	\$5,000	\$5,000	\$3,400	09/30/2014	
SOU 2013-202(AR)	1	\$5,000	\$5,000	\$3,400	09/30/2014	
SOU 2013-203(AR)	1	\$5,000	\$5,000	\$3,400	09/30/2014	
SOU 2013-204(AR)	1	\$5,000	\$5,000	\$3,400	09/30/2014	
SOU 2013-205(AR)	1	\$5,000	\$5,000	\$3,400	09/30/2014	
SOU 2013-206(AR)	1	\$5,000	\$5,000	\$3,400	09/30/2014	
SOU 2013-207(AR)	1	\$5,000	\$5,000	\$3,400	09/30/2014	
SOU 2013-208(AR)	1	\$5,000	\$5,000	\$3,400	09/29/2014	
SOU 2013-209(AR)	1	\$5,000	\$5,000	\$3,400	09/29/2014	
SOU 2013-210(AR)	1	\$5,000	\$5,000	\$3,400	09/29/2014	
SOU 2013-211(AR)	1	\$5,000	\$5,000	\$3,400	09/29/2014	
SOU 2013-212(AR)	1	\$5,000	\$5,000	\$3,400	09/29/2014	
SOU 2013-213(AR)	1	\$7,500	\$7,500	\$5,150	09/29/2014	
SOU 2013-214(AR)	1	\$7,500	\$7,500	\$5,150	09/29/2014	
SOU 2013-215(AR)	1	\$7,500	\$7,500	\$5,150	09/29/2014	
SOU 2013-216(AR)	1	\$7,500	\$7,500	\$5,150	09/29/2014	
SOU 2013-217(AR)	1	\$5,000	\$5,000	\$3,400	09/29/2014	
SOU 2013-218(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2013-219(AD)	1	\$5,000	\$5,000	\$3,475	09/29/2014	
SOU 2013-220(AD)	1	\$5,000	\$5,000	\$3,475	09/29/2014	
SOU 2013-221(AR)	1	\$2,500	\$2,500	\$1,400	09/29/2014	
SOU 2013-222(AR)	1	\$5,000	\$5,000	\$3,500	09/29/2014	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
SOU 2013-223(AR)	1	\$5,000	\$5,000	\$3,500	09/29/2014	
SOU 2013-224(AR)	1	\$5,000	\$5,000	\$3,500	09/29/2014	
SOU 2013-225(AR)	1	\$5,000	\$5,000	\$3,500	09/29/2014	
SOU 2013-226(AR)	1	\$5,000	\$5,000	\$3,500	09/29/2014	
SOU 2013-227(AR)	1	\$5,000	\$5,000	\$3,500	09/29/2014	
SOU 2013-228(SA)	1	\$2,500	\$2,500	\$1,650	09/29/2014	
SOU 2013-229(LI)	1	\$1,500	\$1,500	\$1,050	09/30/2014	
SOU 2013-230(LI)	1	\$1,500	\$1,500	\$1,050	09/30/2014	
SOU 2013-231(LI)	1	\$1,500	\$1,500	\$1,050	09/30/2014	
SOU 2013-232(LI)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
SOU 2013-233(AD)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2013-234(AR)	1	\$5,000	\$5,000	\$3,500	09/29/2014	
SOU 2013-235(AR)	1	\$5,000	\$5,000	\$3,500	09/29/2014	
SOU 2013-236(AR)	1	\$5,000	\$5,000	\$3,500	09/29/2014	
SOU 2013-237(AR)	1	\$5,000	\$5,000	\$3,500	09/29/2014	
SOU 2013-238(LI)	1	\$2,500	\$2,500	\$1,625	09/30/2014	
SOU 2013-240(CC)	1	\$4,000	\$4,000	\$2,850	09/30/2014	
SOU 2013-241(LI)	1	\$1,500	\$1,500	\$1,050	09/30/2014	
SOU 2013-242(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2013-243(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2013-244(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2013-245(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2013-246(LI)	1	\$1,500	\$1,500	\$1,050	09/30/2014	
SOU 2013-247(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2014	
SOU 2013-248(HMT)	2	\$12,500	\$12,500	\$7,300	09/29/2014	
SOU 2013-249(HMT)	1	\$4,000	\$4,000	\$2,250	09/29/2014	
SOU 2013-250(AR)	1	\$2,500	\$2,500	\$1,400	09/29/2014	
SOU 2013-251(AR)	1	\$2,500	\$2,500	\$1,400	09/29/2014	
SOU 2013-252(AR)	1	\$2,500	\$2,500	\$1,400	09/29/2014	
SOU 2013-253(AR)	1	\$2,500	\$2,500	\$1,400	09/29/2014	
SOU 2013-254(TS)	1	\$5,000	\$5,000	\$3,200	09/29/2014	
SOU 2013-255(GC)	1	\$5,000	\$5,000	\$3,800	09/29/2014	
SOU 2013-256(SA)	1	\$2,500	\$2,500	\$1,800	09/29/2014	
SOU 2013-257(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2014	
SOU 2013-258(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2013-259(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2013-260(FCS)	1	\$12,500	\$12,500	\$8,200	09/29/2014	
SOU 2013-262(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2013-263(SA)	1	\$2,500	\$2,500	\$1,700	09/29/2014	
SOU 2013-264(TS)	1	\$5,000	\$5,000	\$3,200	09/29/2014	
SOU 2013-265(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2013-266(LI)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
SOU 2013-267(HMT)	1	\$4,000	\$4,000	\$2,800	09/29/2014	
SOU 2013-268(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2014	
SOU 2013-269(FCS)	1	\$2,500	\$2,500	\$1,600	09/29/2014	
SOU 2013-270(FCS)	1	\$2,500	\$2,500	\$1,600	09/29/2014	
SOU 2013-271(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2013-272(SA)	1	\$2,500	\$2,500	\$1,700	09/29/2014	
SOU 2013-273(LI)	1	\$2,500	\$2,500	\$1,625	09/30/2014	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
SOU 2013-274(LI)	1	\$1,500	\$1,500	\$1,000	09/30/2014	
SOU 2013-275(FCS)	1	\$2,500	\$2,500	\$1,600	09/29/2014	
SOU 2013-276(SA)	1	\$2,500	\$2,500	\$1,700	09/29/2014	
SOU 2013-277(AR)	1	\$5,000	\$5,000	\$3,500	09/29/2014	
SOU 2013-278(AR)	1	\$5,000	\$5,000	\$3,500	09/29/2014	
SOU 2013-279(AR)	1	\$5,000	\$5,000	\$3,500	09/29/2014	
SOU 2013-280(AR)	1	\$5,000	\$5,000	\$3,500	09/29/2014	
SOU 2013-281(AR)	1	\$5,000	\$5,000	\$3,500	09/29/2014	
SOU 2013-282(AR)	1	\$5,000	\$5,000	\$3,500	09/29/2014	
SOU 2013-283(AR)	1	\$5,000	\$5,000	\$3,500	09/29/2014	
SOU 2013-284(AR)	1	\$5,000	\$5,000	\$3,500	09/29/2014	
SOU 2013-285(LI)	1	\$1,500	\$1,500	\$1,050	09/30/2014	
SOU 2013-286(HMT)	1	\$2,000	\$2,000	\$1,600	09/30/2014	
SOU 2013-287(HMT)	1	\$5,000	\$5,000	\$3,425	09/30/2014	
SOU 2013-288(TS)	1	\$1,000	\$1,000	\$650	09/29/2014	
SOU 2013-289(SI)	1	\$2,500	\$2,500	\$1,700	09/29/2014	
SOU 2013-290(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
SOU 2013-291(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2013-292(ROP)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
SOU 2013-293(TS)	1	\$5,000	\$5,000	\$3,200	09/29/2014	
SOU 2013-296(SA)	1	\$2,500	\$2,500	\$1,650	09/29/2014	
SOU 2013-298(SI)	1	\$5,000	\$5,000	\$3,550	09/29/2014	
SOU 2013-299(HSR)	1	\$1,000	\$1,000	\$800	09/30/2014	
SOU 2013-300(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2013-301(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2013-302(SA)	1	\$2,500	\$2,500	\$1,700	09/29/2014	
SOU 2013-303(SA)	1	\$2,500	\$2,500	\$1,700	09/29/2014	
SOU 2013-304(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2013-305(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2013-306(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2013-307(SA)	2	\$5,000	\$2,500	\$1,900	09/29/2014	Terminated Violation(s): 2
SOU 2013-308(SA)	1	\$2,500	\$2,500	\$1,700	09/29/2014	
SOU 2013-309(TS)	1	\$5,000	\$5,000	\$3,200	09/29/2014	
SOU 2013-310(ROP)	1	\$7,500	\$7,500	\$5,100	09/30/2014	
SOU 2013-311(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2013-312(FCS)	1	\$2,500	\$2,500	\$1,600	09/29/2014	
SOU 2013-313(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2013-314(SA)	1	\$2,500	\$2,500	\$1,650	09/29/2014	
SOU 2013-315(LI)	1	\$1,500	\$1,500	\$1,050	09/30/2014	
SOU 2013-316(HSR)	1	\$1,000	\$1,000	\$800	09/30/2014	
SOU 2013-317(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2014	
SOU 2013-318(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2014	
SOU 2013-319(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2014	
SOU 2013-320(LI)	1	\$1,000	\$1,000	\$750	09/30/2014	
SOU 2013-321(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2014	
SOU 2013-322(HMT)	1	\$2,000	\$2,000	\$1,100	09/30/2014	
SOU 2013-323(HMT)	1	\$4,000	\$4,000	\$2,800	09/30/2014	
SOU 2013-324(REM)	1	\$5,000	\$5,000	\$3,400	09/30/2014	
SOU 2013-325(RSP)	1	\$5,000	\$5,000	\$3,400	09/30/2014	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
SOU 2013-326(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2013-327(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2013-328(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2014	
SOU 2013-329(LI)	1	\$2,500	\$2,500	\$1,625	09/30/2014	
SOU 2013-330(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2013-331(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2013-332(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2013-333(LI)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
SOU 2014-1(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2014-2(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2014-4(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2014	
SOU 2014-5(SA)	1	\$2,500	\$2,500	\$1,700	09/29/2014	
SOU 2014-6(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2014-7(SA)	1	\$2,500	\$2,500	\$1,700	09/29/2014	
SOU 2014-8(SA)	1	\$2,500	\$2,500	\$1,700	09/29/2014	
SOU 2014-9(SA)	1	\$2,500	\$2,500	\$1,700	09/29/2014	
SOU 2014-10(SA)	1	\$2,500	\$2,500	\$1,700	09/29/2014	
SOU 2014-11(FCS)	1	\$2,500	\$2,500	\$1,600	09/29/2014	
SOU 2014-12(ROP)	1	\$7,500	\$7,500	\$5,450	09/30/2014	
SOU 2014-13(GC)	1	\$5,000	\$5,000	\$3,475	09/29/2014	
SOU 2014-14(LI)	1	\$2,500	\$2,500	\$1,675	09/30/2014	
SOU 2014-15(TS)	1	\$5,000	\$5,000	\$3,200	09/29/2014	
SOU 2014-16(SA)	1	\$2,500	\$2,500	\$1,700	09/29/2014	
SOU 2014-17(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2014-18(LI)	1	\$2,500	\$2,500	\$1,625	09/30/2014	
SOU 2014-19(AR)	1	\$2,500	\$2,500	\$1,400	09/29/2014	
SOU 2014-21(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
SOU 2014-22(ROR)	1	\$7,500	\$7,500	\$5,225	09/29/2014	
SOU 2014-23(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2014	
SOU 2014-24(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2014	
SOU 2014-25(LI)	1	\$1,500	\$1,500	\$1,050	09/30/2014	
SOU 2014-26(GC)	1	\$2,500	\$2,500	\$1,700	09/29/2014	
SOU 2014-27(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2014-28(SA)	1	\$5,000	\$5,000	\$3,400	09/29/2014	
SOU 2014-29(SA)	1	\$2,500	\$2,500	\$1,700	09/29/2014	
SOU 2014-30(SA)	1	\$2,500	\$2,500	\$1,700	09/29/2014	
SOU 2014-31(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2014-32(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2014-33(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2014-34(ROP)	1	\$7,500	\$7,500	\$5,100	09/30/2014	
SOU 2014-35(RMM)	1	\$5,000	\$5,000	\$3,300	09/30/2014	
SOU 2014-36(RMM)	1	\$5,000	\$5,000	\$3,300	09/30/2014	
SOU 2014-37(HMT)	2	\$10,000	\$10,000	\$5,500	09/30/2014	
SOU 2014-38(HMT)	4	\$9,000	\$9,000	\$5,650	09/30/2014	
SOU 2014-39(SA)	1	\$5,000	\$5,000	\$3,400	09/29/2014	
SOU 2014-40(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2014-41(ROP)	1	\$7,500	\$0	\$0	09/30/2014	Case Terminated.
SOU 2014-42(GC)	1	\$5,000	\$5,000	\$3,600	09/29/2014	
SOU 2014-43(GC)	1	\$5,000	\$5,000	\$3,600	09/29/2014	

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SOU 2014-44(GC)	1	\$2,500	\$2,500	\$1,700	09/29/2014	
SOU 2014-45(GC)	1	\$5,000	\$5,000	\$3,500	09/29/2014	
SOU 2014-46(AD)	4	\$20,000	\$0	\$0	09/29/2014	Case Terminated.
SOU 2014-47(SA)	1	\$2,500	\$2,500	\$1,700	09/29/2014	
SOU 2014-48(SA)	1	\$2,500	\$2,500	\$1,700	09/29/2014	
SOU 2014-49(ROP)	1	\$9,500	\$9,500	\$6,650	09/30/2014	
SOU 2014-50(ROP)	1	\$7,500	\$0	\$0	09/30/2014	Case Terminated.
SOU 2014-51(ROP)	1	\$7,500	\$7,500	\$5,100	09/30/2014	
SOU 2014-52(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2014-53(GS)	1	\$2,500	\$2,500	\$1,775	09/30/2014	
SOU 2014-54(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2014	
SOU 2014-55(HMT)	2	\$9,500	\$9,500	\$6,350	09/30/2014	
SOU 2014-56(HMT)	1	\$2,000	\$2,000	\$1,425	09/30/2014	
SOU 2014-57(HMT)	1	\$7,500	\$7,500	\$4,850	09/30/2014	
SOU 2014-58(HMT)	1	\$4,000	\$4,000	\$2,750	09/30/2014	
SOU 2014-60(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2014-61(SA)	1	\$2,500	\$2,500	\$1,800	09/29/2014	
SOU 2014-62(SA)	1	\$2,500	\$2,500	\$1,800	09/29/2014	
SOU 2014-63(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2014-64(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2014-65(ROP)	1	\$7,500	\$7,500	\$5,100	09/30/2014	
SOU 2014-66(TS)	1	\$1,000	\$1,000	\$650	09/29/2014	
SOU 2014-68(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2014	
SOU 2014-70(SA)	1	\$2,500	\$0	\$0	09/29/2014	Case Terminated.
SOU 2014-74(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2014-76(SA)	1	\$2,500	\$2,500	\$1,700	09/29/2014	
SOU 2014-78(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2014-80(FCS)	1	\$5,000	\$5,000	\$3,500	09/29/2014	
SOU 2014-82(SA)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
SOU 2014-84(HS)	1	\$1,000	\$1,000	\$825	09/30/2014	
SOU 2014-86(LI)	1	\$1,500	\$1,500	\$1,050	09/30/2014	
SOU 2014-88(FCS)	1	\$2,500	\$2,500	\$1,600	09/29/2014	
SOU 2014-90(HMT)	2	\$10,000	\$10,000	\$6,500	09/30/2014	
SRN 2009-1(SA)	1	\$5,000	\$0	\$0	07/14/2014	Case Terminated.
SRN 2010-1(TS)	6	\$19,500	\$0	\$0	07/14/2014	Case Terminated.
ST 2013-8(AR)	1	\$2,500	\$2,500	\$1,750	09/29/2014	
ST 2013-9(ROP)	2	\$14,500	\$14,500	\$10,500	09/29/2014	
ST 2013-10(SA)	1	\$5,000	\$5,000	\$3,800	09/29/2014	
ST 2013-11(SA)	3	\$15,000	\$15,000	\$11,200	09/29/2014	
ST 2013-12(ROP)	1	\$7,500	\$7,500	\$5,500	09/29/2014	
ST 2013-13(SA)	2	\$10,000	\$10,000	\$7,100	09/29/2014	
ST 2013-14(SA)	1	\$5,000	\$5,000	\$3,700	09/29/2014	
ST 2014-1(SA)	1	\$5,000	\$5,000	\$3,700	09/29/2014	
ST 2014-2(SA)	1	\$5,000	\$5,000	\$3,700	09/29/2014	
SW 2013-5(ROP)	1	\$5,000	\$5,000	\$5,000	03/06/2014	
TIBR 2014-1(ROP)	1	\$5,000	\$5,000	\$2,900	09/29/2014	
TNHR 2006-1(TS)	2	\$2,000	\$0	\$0	09/30/2014	Case Terminated.
TRC 2013-1(GC)	1	\$2,500	\$2,500	\$2,500	08/24/2014	
TRRA 2013-2(SI)	1	\$5,000	\$5,000	\$3,250	08/22/2014	

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TRRA 2013-3(SI)	1	\$1,000	\$1,000	\$750	08/22/2014	
TRRA 2013-4(SA)	1	\$5,000	\$5,000	\$3,400	08/22/2014	
TRRA 2013-5(ROP)	1	\$9,500	\$9,500	\$6,650	08/22/2014	
TRRA 2013-6(SI)	3	\$3,000	\$3,000	\$2,100	08/22/2014	
TRRA 2013-7(SA)	1	\$2,500	\$2,500	\$1,875	08/22/2014	
TRRA 2013-8(SA)	1	\$10,000	\$10,000	\$7,200	08/22/2014	
TRRA 2013-9(HS)	2	\$2,000	\$2,000	\$1,400	08/22/2014	
TRRA 2013-10(SA)	1	\$2,500	\$2,500	\$1,700	08/22/2014	
TRRA 2013-11(SA)	4	\$17,500	\$17,500	\$11,375	08/22/2014	
TXNW 2013-1(HMT)	1	\$5,000	\$5,000	\$3,500	09/26/2014	
UCRY 2012-1(HMT)	1	\$2,500	\$2,500	\$1,625	05/30/2014	
UP 2009-490(TS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2011-181(AR)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2012-14(ROP)	5	\$26,500	\$26,500	\$18,500	09/30/2014	
UP 2012-22(ROP)	5	\$23,000	\$23,000	\$16,000	09/30/2014	
UP 2012-230(TS)	12	\$47,500	\$47,500	\$33,300	09/30/2014	
UP 2012-234(SA)	5	\$22,500	\$22,500	\$16,000	09/30/2014	
UP 2012-248(TS)	6	\$20,000	\$20,000	\$14,000	09/30/2014	
UP 2012-259(TS)	5	\$25,000	\$25,000	\$17,400	09/30/2014	
UP 2012-277(TS)	2	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2012-285(TS)	2	\$7,000	\$7,000	\$4,900	09/30/2014	
UP 2012-294(ROP)	5	\$23,000	\$23,000	\$16,000	09/30/2014	
UP 2012-302(TS)	26	\$66,500	\$66,500	\$46,500	09/30/2014	
UP 2012-383(TS)	2	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2012-406(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2012-456(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2012-460(HSR)	1	\$1,000	\$1,000	\$720	09/30/2014	
UP 2012-479(TS)	2	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2012-480(SA)	1	\$1,000	\$1,000	\$720	09/30/2014	
UP 2012-481(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2014	
UP 2012-482(TS)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2012-483(TS)	1	\$1,000	\$1,000	\$770	09/30/2014	
UP 2012-485(TS)	1	\$1,000	\$1,000	\$770	09/30/2014	
UP 2012-488(TS)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-14(TS)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-17(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-57(LI)	1	\$1,000	\$1,000	\$770	09/30/2014	
UP 2013-64(TS)	6	\$15,000	\$15,000	\$10,500	09/30/2014	
UP 2013-65(TS)	1	\$1,000	\$1,000	\$770	09/30/2014	
UP 2013-68(TS)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-73(ROP)	1	\$7,500	\$2,000	\$1,560	09/30/2014	Partially Terminated Violation(s): 1.
UP 2013-75(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-80(ROP)	1	\$9,500	\$9,500	\$6,650	09/30/2014	
UP 2013-83(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-85(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-88(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-90(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-93(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-95(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	

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UP 2013-98(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-100(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-103(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-105(ROP)	1	\$7,500	\$2,000	\$1,560	09/30/2014	Partially Terminated Violation(s): 1.
UP 2013-108(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-110(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-111(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-112(SA)	1	\$2,500	\$2,500	\$1,500	09/30/2014	
UP 2013-113(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-115(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-116(SA)	1	\$2,500	\$0	\$0	09/30/2014	Case Terminated.
UP 2013-117(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-118(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-120(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-121(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-122(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-123(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-125(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-126(ROP)	1	\$7,500	\$2,000	\$1,560	09/30/2014	Partially Terminated Violation(s): 1.
UP 2013-127(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-128(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-130(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-131(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-149(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-150(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-151(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-153(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-154(SI)	3	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-155(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-156(GC)	1	\$1,000	\$1,000	\$720	09/30/2014	
UP 2013-157(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-160(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-161(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-164(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-165(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-166(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-169(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-170(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-171(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-174(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-175(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-176(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-177(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-178(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-179(HMT)	1	\$2,000	\$2,000	\$1,380	09/30/2014	
UP 2013-180(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-181(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-182(ROP)	1	\$5,000	\$5,000	\$3,500	09/30/2014	

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UP 2013-183(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-184(FCS)	1	\$11,000	\$11,000	\$7,665	09/30/2014	
UP 2013-185(SI)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-186(ROP)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-187(ROP)	1	\$7,500	\$2,000	\$1,560	09/30/2014	Partially Terminated Violation(s): 1.
UP 2013-188(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-189(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-190(ROP)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-191(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-192(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-193(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-194(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-195(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-196(ROP)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-197(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-198(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-199(SI)	1	\$1,000	\$1,000	\$720	09/30/2014	
UP 2013-200(SI)	1	\$1,000	\$1,000	\$720	09/30/2014	
UP 2013-201(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-202(FCS)	1	\$6,000	\$0	\$0	09/30/2014	Case Terminated.
UP 2013-203(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-204(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-205(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-206(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-207(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-208(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-209(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-210(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-211(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-212(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-213(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-214(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-215(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-216(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-217(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-218(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-219(ROP)	1	\$9,500	\$9,500	\$6,650	09/30/2014	
UP 2013-220(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-221(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-222(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-223(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-224(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-225(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-226(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-227(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-228(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-229(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-230(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-231(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	

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UP 2013-232(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-233(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-234(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-235(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-236(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-237(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-238(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-239(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-240(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-241(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-242(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-243(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-244(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-245(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-246(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-247(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-248(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-249(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-250(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-251(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-252(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-253(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-254(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-255(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-256(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-257(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-258(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-259(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-260(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-262(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-263(LI)	1	\$1,000	\$1,000	\$770	09/30/2014	
UP 2013-264(LI)	2	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-265(LI)	1	\$1,000	\$1,000	\$770	09/30/2014	
UP 2013-266(LI)	2	\$3,500	\$3,500	\$2,450	09/30/2014	
UP 2013-267(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-268(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-269(LI)	2	\$22,000	\$22,000	\$15,500	09/30/2014	
UP 2013-270(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-271(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-272(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-273(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-274(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-275(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-276(LI)	2	\$4,500	\$4,500	\$3,150	09/30/2014	
UP 2013-277(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-278(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-279(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-281(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-282(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2014	

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UP 2013-283(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-284(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-285(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-286(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-287(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-288(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-289(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-290(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-291(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-292(HMT)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-293(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-294(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-295(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-296(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-297(SA)	1	\$1,000	\$1,000	\$720	09/30/2014	
UP 2013-298(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-299(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-300(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-301(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-302(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-303(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-304(ROP)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-305(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-306(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-307(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-308(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-309(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-310(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-311(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-312(ROP)	1	\$9,500	\$9,500	\$6,650	09/30/2014	
UP 2013-313(SI)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-314(SI)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-315(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-316(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-317(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-318(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-319(ROP)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-320(ROP)	4	\$8,000	\$8,000	\$5,600	09/30/2014	
UP 2013-321(ROP)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-322(SI)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-323(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-324(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-325(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-326(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-327(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-328(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-329(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-330(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-331(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2013-332(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-333(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-334(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-335(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-336(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-337(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-338(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-339(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-340(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-341(HMT)	1	\$6,000	\$6,000	\$4,200	09/30/2014	
UP 2013-342(LI)	1	\$1,000	\$1,000	\$770	09/30/2014	
UP 2013-343(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-344(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-345(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-346(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-347(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-348(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-349(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-350(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-351(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-352(SA)	1	\$2,000	\$2,000	\$1,200	09/30/2014	
UP 2013-353(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-354(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-355(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-356(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-357(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-358(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-359(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-360(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-361(SA)	2	\$10,000	\$10,000	\$7,200	09/30/2014	
UP 2013-363(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-364(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-365(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-366(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-367(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-368(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-369(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-370(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-371(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-372(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-373(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-374(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-375(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-376(ROP)	4	\$8,000	\$8,000	\$5,650	09/30/2014	
UP 2013-377(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-378(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-379(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-380(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-381(LI)	1	\$1,000	\$1,000	\$770	09/30/2014	

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UP 2013-382(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-383(LI)	2	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-384(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-385(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-387(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-388(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-389(LI)	4	\$10,000	\$10,000	\$7,000	09/30/2014	
UP 2013-390(LI)	2	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-391(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-392(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-393(LI)	1	\$1,000	\$1,000	\$770	09/30/2014	
UP 2013-394(LI)	1	\$1,000	\$1,000	\$770	09/30/2014	
UP 2013-395(LI)	1	\$1,000	\$1,000	\$770	09/30/2014	
UP 2013-396(LI)	1	\$1,000	\$1,000	\$770	09/30/2014	
UP 2013-397(LI)	1	\$1,000	\$1,000	\$770	09/30/2014	
UP 2013-398(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-399(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-400(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-401(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-402(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-403(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-404(HMT)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-405(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-406(ROP)	8	\$16,000	\$16,000	\$11,200	09/30/2014	
UP 2013-407(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-408(ROP)	1	\$9,500	\$9,500	\$6,650	09/30/2014	
UP 2013-409(HMT)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-410(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-411(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-412(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-413(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-414(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-415(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-416(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-417(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-418(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-419(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-420(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-421(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-422(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-423(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-424(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-425(ROP)	1	\$9,500	\$9,500	\$6,650	09/30/2014	
UP 2013-426(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-427(FCS)	8	\$20,000	\$2,500	\$2,125	09/30/2014	Partially Terminated Violation(s): 1.
UP 2013-428(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-429(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-430(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-431(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2014	

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UP 2013-432(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-433(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-434(HSR)	2	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-435(HSR)	3	\$3,000	\$2,000	\$1,800	09/30/2014	Partially Terminated Violation(s): 1.
UP 2013-436(HSR)	5	\$5,000	\$2,000	\$2,000	09/30/2014	Partially Terminated Violation(s): 1.
UP 2013-437(LI)	1	\$1,000	\$1,000	\$770	09/30/2014	
UP 2013-438(EP)	1	\$1,000	\$1,000	\$730	09/30/2014	
UP 2013-439(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-441(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-442(SI)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-443(SI)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-444(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-445(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-446(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-447(SA)	2	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-448(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-449(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-450(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-451(ROP)	1	\$5,000	\$0	\$0	09/30/2014	Case Terminated.
UP 2013-452(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-453(ROP)	1	\$9,500	\$9,500	\$6,650	09/30/2014	
UP 2013-454(ROP)	1	\$9,500	\$9,500	\$6,650	09/30/2014	
UP 2013-455(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-456(ROP)	1	\$9,500	\$9,500	\$6,650	09/30/2014	
UP 2013-457(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-458(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-459(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-460(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-461(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-462(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-463(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-464(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-465(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-466(ROP)	2	\$4,000	\$4,000	\$2,800	09/30/2014	
UP 2013-467(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-468(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-469(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-470(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-471(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-472(ROP)	1	\$7,500	\$2,000	\$1,600	09/30/2014	Partially Terminated Violation(s): 1.
UP 2013-474(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-476(EQ)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-477(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-478(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-480(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-482(EQ)	1	\$2,500	\$0	\$0	09/30/2014	Case Terminated.
UP 2013-483(EQ)	1	\$2,500	\$0	\$0	09/30/2014	Case Terminated.

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UP 2013-484(EQ)	1	\$2,500	\$0	\$0	09/30/2014	Case Terminated.
UP 2013-485(EQ)	1	\$2,500	\$0	\$0	09/30/2014	Case Terminated.
UP 2013-486(EQ)	1	\$2,500	\$0	\$0	09/30/2014	Case Terminated.
UP 2013-487(EQ)	1	\$2,500	\$0	\$0	09/30/2014	Case Terminated.
UP 2013-488(EQ)	1	\$2,500	\$0	\$0	09/30/2014	Case Terminated.
UP 2013-489(EQ)	1	\$2,500	\$0	\$0	09/30/2014	Case Terminated.
UP 2013-490(EQ)	1	\$2,500	\$0	\$0	09/30/2014	Case Terminated.
UP 2013-491(EQ)	1	\$2,500	\$0	\$0	09/30/2014	Case Terminated.
UP 2013-492(EQ)	1	\$2,500	\$0	\$0	09/30/2014	Case Terminated.
UP 2013-493(HSR)	2	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-494(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-495(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-496(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-497(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-498(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-499(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-500(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-501(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-502(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-503(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-504(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-505(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-506(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-507(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-508(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-509(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-510(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-511(ROP)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-512(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-513(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-514(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-515(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-516(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-517(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-518(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-519(HMT)	1	\$2,000	\$2,000	\$1,380	09/30/2014	
UP 2013-520(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-521(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-522(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-523(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-524(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-525(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-526(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-527(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-528(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-529(LI)	1	\$1,000	\$1,000	\$770	09/30/2014	
UP 2013-530(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-531(ROP)	1	\$9,500	\$9,500	\$6,650	09/30/2014	
UP 2013-532(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2013-533(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-534(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-535(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-536(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-537(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-538(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-539(LI)	1	\$1,000	\$1,000	\$770	09/30/2014	
UP 2013-540(LI)	1	\$1,000	\$1,000	\$770	09/30/2014	
UP 2013-541(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-542(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-543(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-544(SI)	1	\$1,000	\$1,000	\$720	09/30/2014	
UP 2013-545(SA)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-546(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-547(LI)	1	\$1,000	\$1,000	\$770	09/30/2014	
UP 2013-548(LI)	1	\$1,000	\$1,000	\$770	09/30/2014	
UP 2013-549(GC)	4	\$20,000	\$20,000	\$14,000	09/30/2014	
UP 2013-550(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-551(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-552(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-553(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-554(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-555(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-556(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-557(SI)	7	\$17,500	\$17,500	\$12,000	09/30/2014	
UP 2013-558(SI)	1	\$1,000	\$1,000	\$720	09/30/2014	
UP 2013-559(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-560(HSR)	2	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-561(LI)	1	\$1,000	\$1,000	\$770	09/30/2014	
UP 2013-562(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-563(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-564(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-565(SA)	2	\$10,000	\$10,000	\$7,400	09/30/2014	
UP 2013-566(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-567(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-568(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-569(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-570(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-571(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-572(ROP)	2	\$10,000	\$10,000	\$7,000	09/30/2014	
UP 2013-573(ROP)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-574(ROP)	1	\$9,500	\$9,500	\$6,650	09/30/2014	
UP 2013-575(SI)	4	\$10,000	\$10,000	\$6,800	09/30/2014	
UP 2013-576(HMT)	2	\$10,000	\$10,000	\$7,000	09/30/2014	
UP 2013-577(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-578(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-579(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-580(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-581(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2013-582(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-583(ROP)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-584(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-585(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-586(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-587(ROP)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-588(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-589(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-590(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-591(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-592(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-593(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-594(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-595(SA)	2	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-596(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-597(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-598(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-600(ROP)	1	\$7,500	\$2,000	\$1,600	09/30/2014	Partially Terminated Violation(s): 1.
UP 2013-601(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-602(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-603(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-604(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-605(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-606(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-607(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-608(FCS)	1	\$2,500	\$0	\$0	09/30/2014	Case Terminated.
UP 2013-609(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-610(LI)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-611(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-612(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-613(LI)	3	\$6,500	\$6,500	\$4,550	09/30/2014	
UP 2013-614(LI)	3	\$6,500	\$6,500	\$4,550	09/30/2014	
UP 2013-615(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-616(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-617(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-618(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-619(LI)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-621(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-622(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-623(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-624(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-625(LI)	1	\$1,500	\$1,500	\$1,075	09/30/2014	
UP 2013-626(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-627(RW)	1	\$1,500	\$1,500	\$1,050	09/30/2014	
UP 2013-628(LI)	1	\$1,500	\$1,500	\$1,075	09/30/2014	
UP 2013-629(HSR)	2	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-630(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-631(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-632(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	

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UP 2013-633(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-634(ROP)	2	\$15,000	\$15,000	\$10,500	09/30/2014	
UP 2013-635(ROP)	1	\$7,500	\$2,000	\$1,600	09/30/2014	Partially Terminated Violation(s): 1.
UP 2013-636(SI)	1	\$1,000	\$1,000	\$720	09/30/2014	
UP 2013-637(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-638(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-639(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-640(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-641(SI)	1	\$5,000	\$1,000	\$800	09/30/2014	Partially Terminated Violation(s): 1.
UP 2013-642(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-643(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-644(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-645(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-646(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-647(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-648(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-649(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-650(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-651(HMT)	1	\$2,000	\$2,000	\$1,380	09/30/2014	
UP 2013-652(HMT)	1	\$2,000	\$2,000	\$1,380	09/30/2014	
UP 2013-653(RW)	1	\$1,000	\$1,000	\$730	09/30/2014	
UP 2013-654(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-655(SI)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-656(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-657(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-658(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-659(HSR)	2	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-660(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-661(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-662(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-663(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-664(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-665(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-666(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-667(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-668(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-669(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-670(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-671(HMT)	2	\$7,000	\$7,000	\$3,900	09/30/2014	
UP 2013-672(HMT)	1	\$10,000	\$10,000	\$7,000	09/30/2014	
UP 2013-673(HMT)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-674(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-675(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-676(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-677(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-678(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-679(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-680(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	

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UP 2013-681(SI)	1	\$1,000	\$1,000	\$720	09/30/2014	
UP 2013-682(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-683(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-684(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-685(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-686(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-687(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-688(SI)	1	\$2,500	\$1,000	\$800	09/30/2014	Partially Terminated Violation(s): 1.
UP 2013-689(SI)	1	\$2,500	\$1,000	\$800	09/30/2014	Partially Terminated Violation(s): 1.
UP 2013-690(SI)	1	\$1,000	\$1,000	\$720	09/30/2014	
UP 2013-691(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-692(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-693(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-694(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-695(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-696(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-697(HMT)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-698(HMT)	1	\$4,000	\$4,000	\$2,800	09/30/2014	
UP 2013-699(HMT)	1	\$4,000	\$4,000	\$2,800	09/30/2014	
UP 2013-700(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-701(EP)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-702(HMT)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-704(HSR)	1	\$1,000	\$1,000	\$720	09/30/2014	
UP 2013-706(SI)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-707(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-708(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-709(TS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-710(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-711(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-712(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-713(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-714(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-715(TS)	2	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-716(TS)	2	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-717(TS)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-718(TS)	4	\$4,000	\$4,000	\$2,800	09/30/2014	
UP 2013-719(TS)	3	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-720(TS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-721(TS)	2	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-722(TS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-723(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-724(TS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-725(TS)	1	\$1,000	\$1,000	\$770	09/30/2014	
UP 2013-726(AR)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-727(AR)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-728(AR)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-730(AR)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-731(TS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	

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UP 2013-732(TS)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-733(TS)	2	\$10,000	\$10,000	\$7,000	09/30/2014	
UP 2013-734(TS)	2	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-735(TS)	1	\$1,000	\$1,000	\$770	09/30/2014	
UP 2013-736(TS)	1	\$1,000	\$1,000	\$770	09/30/2014	
UP 2013-737(TS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-738(TS)	1	\$1,000	\$1,000	\$770	09/30/2014	
UP 2013-739(TS)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-740(TS)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-741(TS)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-742(TS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-743(TS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-744(TS)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-745(TS)	1	\$1,000	\$1,000	\$770	09/30/2014	
UP 2013-746(TS)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-747(TS)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-748(TS)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-749(TS)	1	\$1,000	\$1,000	\$770	09/30/2014	
UP 2013-750(TS)	1	\$1,000	\$1,000	\$770	09/30/2014	
UP 2013-751(TS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-752(TS)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-753(TS)	1	\$1,000	\$1,000	\$770	09/30/2014	
UP 2013-754(TS)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-755(TS)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-756(TS)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-757(TS)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-758(TS)	1	\$1,000	\$1,000	\$770	09/30/2014	
UP 2013-759(TS)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-760(HS)	1	\$1,000	\$1,000	\$720	09/30/2014	
UP 2013-761(AR)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-762(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-763(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-764(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-765(LI)	5	\$11,000	\$11,000	\$7,700	09/30/2014	
UP 2013-766(TS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-767(TS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-768(TS)	2	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-769(TS)	5	\$12,500	\$12,500	\$8,800	09/30/2014	
UP 2013-770(TS)	13	\$65,000	\$65,000	\$45,800	09/30/2014	
UP 2013-771(TS)	5	\$12,500	\$12,500	\$8,700	09/30/2014	
UP 2013-772(TS)	1	\$1,000	\$1,000	\$770	09/30/2014	
UP 2013-773(TS)	4	\$10,000	\$10,000	\$7,000	09/30/2014	
UP 2013-774(AR)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-775(AR)	1	\$2,500	\$0	\$0	09/30/2014	Case Terminated.
UP 2013-776(AR)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-777(AR)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-779(HS)	1	\$25,000	\$25,000	\$17,000	09/30/2014	
UP 2013-780(HS)	1	\$25,000	\$25,000	\$17,000	09/30/2014	
UP 2013-781(HS)	1	\$25,000	\$25,000	\$17,000	09/30/2014	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2013-782(HS)	1	\$25,000	\$25,000	\$17,000	09/30/2014	
UP 2013-784(HS)	1	\$1,000	\$1,000	\$720	09/30/2014	
UP 2013-785(HS)	1	\$1,000	\$1,000	\$720	09/30/2014	
UP 2013-787(HS)	1	\$1,000	\$1,000	\$720	09/30/2014	
UP 2013-788(HS)	1	\$1,000	\$1,000	\$720	09/30/2014	
UP 2013-789(HS)	1	\$1,000	\$1,000	\$720	09/30/2014	
UP 2013-790(TS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-791(RSP)	1	\$1,000	\$1,000	\$720	09/30/2014	
UP 2013-792(TS)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-793(TS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-794(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-795(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-796(SA)	1	\$5,000	\$5,000	\$3,000	09/30/2014	
UP 2013-797(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-798(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-799(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-800(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-801(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-802(ROP)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-803(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-804(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-805(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-806(HS)	1	\$1,000	\$1,000	\$720	09/30/2014	
UP 2013-808(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-809(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-810(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-811(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-812(HMT)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-813(TS)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-814(TS)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-815(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-816(ROP)	1	\$9,500	\$5,000	\$4,000	09/30/2014	Partially Terminated Violation(s): 1.
UP 2013-817(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-818(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-819(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-820(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-821(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-822(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-823(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-824(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-825(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-826(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-827(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-828(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-829(TS)	2	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-830(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-831(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-832(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-833(ROP)	1	\$9,500	\$9,500	\$6,650	09/30/2014	

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UP 2013-834(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-835(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-836(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-837(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-838(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-839(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-840(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-841(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-842(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-843(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-844(ROP)	1	\$9,500	\$9,500	\$6,650	09/30/2014	
UP 2013-845(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-846(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-847(SI)	1	\$1,000	\$1,000	\$720	09/30/2014	
UP 2013-848(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-849(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-850(LI)	2	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-851(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-852(ROP)	1	\$9,500	\$9,500	\$6,650	09/30/2014	
UP 2013-853(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-854(TS)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-855(TS)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-856(TS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-857(HSR)	1	\$1,000	\$1,000	\$720	09/30/2014	
UP 2013-858(HSR)	1	\$1,000	\$1,000	\$720	09/30/2014	
UP 2013-859(HMT)	2	\$4,000	\$4,000	\$2,800	09/30/2014	
UP 2013-860(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-861(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-862(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-863(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-864(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-865(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-866(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-867(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-868(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-869(TS)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-870(HMT)	1	\$7,500	\$7,500	\$5,300	09/30/2014	
UP 2013-871(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-872(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-874(SA)	1	\$7,500	\$7,500	\$5,300	09/30/2014	
UP 2013-875(LI)	8	\$8,000	\$8,000	\$5,600	09/30/2014	
UP 2013-876(LI)	1	\$1,000	\$1,000	\$770	09/30/2014	
UP 2013-877(SI)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-878(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-880(HSR)	1	\$1,000	\$1,000	\$720	09/30/2014	
UP 2013-881(HSR)	1	\$1,000	\$1,000	\$720	09/30/2014	
UP 2013-882(HSR)	1	\$1,000	\$1,000	\$720	09/30/2014	
UP 2013-883(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-885(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	

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UP 2013-886(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-887(ROP)	1	\$9,500	\$9,500	\$6,650	09/30/2014	
UP 2013-888(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-889(SI)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-890(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-891(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-892(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-893(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-894(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-895(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-896(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-897(HMT)	1	\$4,000	\$4,000	\$2,800	09/30/2014	
UP 2013-898(HMT)	1	\$4,000	\$4,000	\$2,800	09/30/2014	
UP 2013-899(SI)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-900(TS)	3	\$12,500	\$12,500	\$8,800	09/30/2014	
UP 2013-901(TS)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-902(TS)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-903(TS)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-904(TS)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-905(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-906(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-907(LI)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-908(LI)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-909(LI)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-910(LI)	1	\$2,000	\$2,000	\$1,350	09/30/2014	
UP 2013-911(LI)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-912(LI)	5	\$12,500	\$12,500	\$8,250	09/30/2014	
UP 2013-913(GC)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-914(GC)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-915(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-916(GC)	2	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-917(ROP)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-918(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-919(ROP)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-920(ROP)	1	\$7,500	\$7,500	\$5,300	09/30/2014	
UP 2013-921(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-922(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-923(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-924(ROP)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-925(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-926(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-927(REM)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-928(TS)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-929(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-930(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-931(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-932(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-933(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-934(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	

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UP 2013-935(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-936(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-937(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-938(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-939(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-940(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-941(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-942(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-943(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-944(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-945(ROP)	1	\$9,500	\$5,000	\$4,000	09/30/2014	Partially Terminated Violation(s): 1.
UP 2013-946(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-947(ROP)	1	\$7,500	\$0	\$0	09/30/2014	Case Terminated.
UP 2013-948(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-949(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-950(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-951(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-952(GC)	1	\$1,000	\$1,000	\$720	09/30/2014	
UP 2013-953(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-954(LI)	3	\$7,500	\$7,500	\$5,200	09/30/2014	
UP 2013-955(LI)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-956(AD)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
UP 2013-957(LI)	4	\$10,000	\$10,000	\$6,730	09/30/2014	
UP 2013-958(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-959(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-960(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-961(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-962(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-963(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-964(SI)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-965(SI)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-966(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-967(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-968(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-969(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-970(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-971(TS)	2	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-972(TS)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-973(TS)	3	\$6,000	\$6,000	\$4,200	09/30/2014	
UP 2013-974(TS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-975(TS)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-976(TS)	2	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-977(HS)	1	\$1,000	\$1,000	\$720	09/30/2014	
UP 2013-978(HS)	1	\$1,000	\$1,000	\$720	09/30/2014	
UP 2013-979(HS)	1	\$1,000	\$1,000	\$720	09/30/2014	
UP 2013-980(HS)	1	\$1,000	\$1,000	\$720	09/30/2014	
UP 2013-981(HS)	1	\$1,000	\$1,000	\$720	09/30/2014	
UP 2013-982(HS)	1	\$1,000	\$1,000	\$720	09/30/2014	
UP 2013-983(HS)	1	\$1,000	\$1,000	\$720	09/30/2014	

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UP 2013-984(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-985(LI)	1	\$1,000	\$1,000	\$720	09/30/2014	
UP 2013-986(TS)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-987(TS)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-988(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-989(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-990(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-991(ROP)	1	\$7,500	\$0	\$0	09/30/2014	Case Terminated.
UP 2013-992(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-993(ROP)	1	\$9,500	\$9,500	\$6,650	09/30/2014	
UP 2013-994(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-995(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-996(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-997(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-998(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-999(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1000(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-1001(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1002(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1003(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-1004(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-1005(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1006(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-1007(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-1008(HMT)	1	\$4,000	\$4,000	\$2,800	09/30/2014	
UP 2013-1009(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1010(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1011(SA)	1	\$10,000	\$10,000	\$7,000	09/30/2014	
UP 2013-1012(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-1013(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-1014(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-1015(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-1016(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-1017(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-1018(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1019(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-1020(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1021(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1022(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-1023(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-1024(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1025(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-1026(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1027(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1028(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1029(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1030(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1031(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1032(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2013-1033(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1034(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1035(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1036(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1037(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1038(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1039(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1040(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1041(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1042(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1043(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1044(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1045(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1046(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1047(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1048(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1049(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-1050(ROP)	2	\$4,000	\$4,000	\$2,800	09/30/2014	
UP 2013-1051(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-1052(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1053(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1054(TS)	1	\$1,000	\$1,000	\$770	09/30/2014	
UP 2013-1055(TS)	1	\$1,000	\$1,000	\$770	09/30/2014	
UP 2013-1056(TS)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-1057(TS)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-1058(TS)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-1059(TS)	31	\$77,500	\$77,500	\$54,000	09/30/2014	
UP 2013-1060(TS)	2	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-1061(TS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1062(TS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1063(TS)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-1064(TS)	7	\$17,500	\$17,500	\$12,200	09/30/2014	
UP 2013-1065(TS)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-1066(RSP)	1	\$9,500	\$9,500	\$6,700	09/30/2014	
UP 2013-1067(HMT)	1	\$7,500	\$7,500	\$5,300	09/30/2014	
UP 2013-1068(SI)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1069(ROP)	1	\$9,500	\$9,500	\$6,650	09/30/2014	
UP 2013-1070(RW)	1	\$1,000	\$1,000	\$730	09/30/2014	
UP 2013-1071(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1072(LI)	2	\$4,000	\$4,000	\$2,800	09/30/2014	
UP 2013-1073(LI)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1074(LI)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1075(LI)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1076(LI)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1077(LI)	2	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1078(HSR)	1	\$1,000	\$1,000	\$720	09/30/2014	
UP 2013-1079(LI)	1	\$1,000	\$1,000	\$720	09/30/2014	
UP 2013-1080(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1081(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	

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UP 2013-1082(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1083(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1084(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-1085(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-1086(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-1087(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-1088(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-1089(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-1090(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1092(SA)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-1093(TS)	2	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-1094(TS)	2	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1095(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1096(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1097(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1098(HMT)	6	\$41,500	\$41,500	\$29,000	09/30/2014	
UP 2013-1099(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1100(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-1101(SI)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1102(SI)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1103(SI)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1104(SI)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1105(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1106(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1107(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-1108(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-1109(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-1110(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-1111(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-1112(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-1113(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-1114(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-1115(SI)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1116(SI)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1117(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1118(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-1119(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-1120(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-1121(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-1123(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1124(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-1125(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-1126(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1127(HMT)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1128(LI)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1129(LI)	1	\$2,500	\$0	\$0	09/30/2014	Case Terminated.
UP 2013-1130(LI)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1131(LI)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1132(GC)	1	\$2,500	\$2,500	\$1,750	09/30/2014	

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UP 2013-1133(RW)	1	\$3,000	\$3,000	\$2,100	09/30/2014	
UP 2013-1134(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1135(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1137(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1138(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-1139(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1140(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1142(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1143(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1144(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1145(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1147(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1148(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1149(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1150(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1152(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1153(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1154(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-1155(ROP)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1157(ROP)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1158(SI)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1159(SI)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1161(SI)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1162(SI)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1163(TS)	2	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1164(TS)	1	\$1,000	\$1,000	\$770	09/30/2014	
UP 2013-1165(TS)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-1166(TS)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2013-1167(TS)	2	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1170(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1171(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1172(FCS)	1	\$2,500	\$0	\$0	09/30/2014	Case Terminated.
UP 2013-1173(FCS)	1	\$2,500	\$0	\$0	09/30/2014	Case Terminated.
UP 2013-1175(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1176(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1177(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-1178(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-1179(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-1180(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2014	
UP 2013-1181(HMT)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-1182(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1183(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1184(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1185(ROP)	1	\$9,500	\$9,500	\$6,650	09/30/2014	
UP 2013-1186(FCS)	1	\$5,000	\$0	\$0	09/30/2014	Case Terminated.
UP 2013-1188(HMT)	2	\$12,500	\$12,500	\$8,900	09/30/2014	
UP 2013-1189(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1190(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1191(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2014	

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UP 2013-1192(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1193(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1195(ROP)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1196(ROP)	1	\$9,500	\$9,500	\$6,650	09/30/2014	
UP 2013-1197(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1198(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1199(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1200(SI)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1201(SI)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1202(SI)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1203(SI)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1204(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1205(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2013-1206(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1208(HS)	2	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2013-1209(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1211(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1212(RMM)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1213(EP)	1	\$1,000	\$1,000	\$730	09/30/2014	
UP 2013-1215(TS)	2	\$10,000	\$10,000	\$7,000	09/30/2014	
UP 2013-1216(TS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1217(LI)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1218(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1219(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1220(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1221(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1222(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1223(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1225(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1226(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1227(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1228(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1230(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1231(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2013-1232(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2013-1233(LI)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2014-1(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2014-3(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2014-4(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2014	
UP 2014-5(LI)	2	\$3,500	\$3,500	\$2,400	09/30/2014	
UP 2014-7(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2014-8(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2014-9(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2014-10(HMT)	2	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2014-11(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2014-12(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2014-13(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2014-14(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2014-18(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	

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UP 2014-19(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2014-20(TS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2014-23(TS)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2014-25(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2014-27(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2014-29(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2014-30(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2014-31(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2014-32(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2014-33(SI)	1	\$1,000	\$1,000	\$720	09/30/2014	
UP 2014-34(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2014-35(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2014-36(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2014-37(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2014-38(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2014-39(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2014-41(TS)	1	\$1,000	\$1,000	\$770	09/30/2014	
UP 2014-42(LI)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2014-44(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2014-45(TS)	1	\$2,500	\$2,500	\$1,760	09/30/2014	
UP 2014-48(SI)	15	\$15,000	\$15,000	\$10,000	09/30/2014	
UP 2014-51(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2014-54(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2014-56(HMT)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2014-59(TS)	3	\$15,000	\$15,000	\$10,500	09/30/2014	
UP 2014-62(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2014-65(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2014-66(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2014-68(ROP)	3	\$22,500	\$7,500	\$6,000	09/30/2014	Partially Terminated Violation(s): 1.
UP 2014-71(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2014-74(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2014-77(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2014	
UP 2014-80(RSP)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2014-81(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2014-83(LI)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2014-86(LI)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
UP 2014-98(EP)	5	\$5,000	\$5,000	\$3,500	09/30/2014	
UP 2014-114(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2014	
USRP 2010-1(HMT)	1	\$5,000	\$5,000	\$270	05/27/2014	
UTAH 2013-1(ROP)	2	\$15,000	\$15,000	\$9,750	09/30/2014	
WATX 2013-2(EQ)	1	\$2,500	\$2,500	\$1,425	09/29/2014	
WE 2013-2(HS)	1	\$1,000	\$1,000	\$650	05/08/2014	
WE 2013-3(SA)	1	\$5,000	\$5,000	\$3,125	05/08/2014	
WE 2013-4(SA)	1	\$5,000	\$5,000	\$3,125	05/08/2014	
WE 2014-1(RSP)	2	\$2,000	\$2,000	\$1,300	05/08/2014	
WGSB 2014-1(AR)	1	\$2,500	\$2,500	\$2,500	03/19/2014	
WGSB 2014-2(AR)	1	\$2,500	\$2,500	\$2,500	03/20/2014	
WGSB 2014-3(AR)	1	\$2,500	\$2,500	\$2,500	03/20/2014	
WRRC 2013-1(SA)	1	\$5,000	\$5,000	\$5,000	10/21/2013	

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WSOR 2013-1(ROP)	1	\$9,500	\$9,500	\$6,000	09/29/2014	
WSOR 2013-2(GC)	1	\$5,000	\$5,000	\$2,800	09/29/2014	
WTNN 2013-1(SA)	1	\$5,000	\$5,000	\$3,750	11/18/2013	
WWRC 2013-1(GC)	1	\$1,000	\$1,000	\$650	01/03/2014	
XA1R 2013-1(RW)	1	\$5,000	\$5,000	\$2,900	06/16/2014	
XACS 2014-1(HMT)	1	\$4,000	\$4,000	\$2,900	06/19/2014	
XAWS 2013-1(RW)	1	\$2,000	\$2,000	\$2,000	12/18/2013	
XBPK 2008-1(HMT)	4	\$16,500	\$0	\$0	05/21/2014	Case Terminated.
XBRI 2013-1(RW)	1	\$5,000	\$5,000	\$5,000	12/12/2013	
XCCB 2010-1(HMT)	2	\$10,000	\$10,000	\$5,250	05/30/2014	
XCCB 2010-2(HMT)	1	\$10,000	\$10,000	\$7,220	05/30/2014	
XCCB 2012-1(HMT)	1	\$2,000	\$2,000	\$1,250	05/30/2014	
XCDL 2007-1(RW)	1	\$3,000	\$3,000	\$2,750	06/25/2014	
XCDL 2010-1(RW)	1	\$3,000	\$3,000	\$2,750	06/25/2014	
XCDL 2012-1(HSR)	3	\$3,000	\$3,000	\$2,550	06/25/2014	
XCDL 2012-2(HS)	1	\$1,000	\$0	\$0	06/25/2014	Case Terminated.
XCEC 2005-1(RW)	1	\$2,500	\$0	\$0	04/23/2014	Case Terminated.
XCGS 2007-1(HMT)	1	\$7,500	\$0	\$0	04/23/2014	Case Terminated.
XCHS 2011-1(HMT)	2	\$4,000	\$4,000	\$3,200	06/23/2014	
XCHS 2011-2(HMT)	2	\$10,000	\$10,000	\$8,500	06/23/2014	
XCHS 2012-1(HMT)	1	\$5,000	\$5,000	\$4,000	06/23/2014	
XCIH 2013-1(HMT)	2	\$6,000	\$6,000	\$4,000	05/05/2014	
XCIT 2010-1(HMT)	1	\$5,000	\$5,000	\$3,500	06/25/2014	
XCPO 2009-1(HMT)	1	\$5,000	\$5,000	\$4,000	04/17/2014	
XCRG 2009-1(RW)	2	\$8,000	\$0	\$0	04/23/2014	Case Terminated.
XCRO 2013-1(HMT)	1	\$5,000	\$5,000	\$3,000	06/06/2014	
XCRO 2013-2(HMT)	1	\$5,000	\$5,000	\$3,000	06/06/2014	
XCRO 2013-3(HMT)	1	\$5,000	\$5,000	\$3,500	12/30/2013	
XCRSV 2006-1(TS)	1	\$3,000	\$0	\$0	04/23/2014	Case Terminated.
XCSH 2012-1(HMT)	1	\$5,000	\$5,000	\$4,000	04/21/2014	
XCSH 2013-1(HMT)	2	\$10,000	\$10,000	\$7,500	04/21/2014	
XCWP 2011-1(HMT)	1	\$5,000	\$5,000	\$4,000	04/07/2014	
XGAS 2013-1(HMT)	1	\$5,000	\$5,000	\$5,000	01/17/2014	
XGBR 2013-1(HMT)	1	\$2,000	\$2,000	\$2,000	01/17/2014	
XGCQ 2013-2(HMT)	1	\$5,000	\$5,000	\$5,000	01/17/2014	
XGLN 2010-2(HMT)	1	\$7,500	\$0	\$0	04/30/2014	Case Terminated.
XGTI 2008-1(HMT)	1	\$4,000	\$0	\$0	03/27/2014	Case Terminated.
XITS 2013-1(HMT)	1	\$5,000	\$5,000	\$2,500	11/14/2013	
XMEC 2013-1(RW)	3	\$6,500	\$6,500	\$6,500	12/11/2013	
XMKW 2013-1(GC)	1	\$5,000	\$5,000	\$4,000	11/01/2013	
XMKW 2013-2(HMT)	1	\$2,500	\$2,500	\$2,500	12/30/2013	
XMPM 2014-1(HMT)	1	\$5,000	\$5,000	\$3,000	04/16/2014	
XOTM 2014-1(RW)	1	\$1,500	\$1,500	\$900	09/16/2014	
XPNS 2008-1(RW)	2	\$10,000	\$0	\$0	05/21/2014	Case Terminated.
XRJZ 2013-1(RW)	1	\$3,000	\$3,000	\$3,000	01/06/2014	
XRRP 2013-1(RW)	1	\$3,000	\$3,000	\$2,550	10/24/2013	
XRWT 2013-1(RMM)	1	\$5,000	\$5,000	\$1,000	07/07/2014	
XUSE 2012-1(HMT)	1	\$10,000	\$10,000	\$6,500	05/27/2014	
XWEL 2013-1(RW)	1	\$3,000	\$3,000	\$1,000	03/17/2014	

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ZABEQ 2014-1(HMT)	1	\$5,000	\$5,000	\$5,000	06/10/2014	
ZACH 2014-1(HMT)	1	\$10,000	\$10,000	\$7,300	03/10/2014	
ZACQ 2013-1(HMT)	1	\$10,000	\$10,000	\$7,300	11/19/2013	
ZACR 2012-4(HMT)	1	\$10,000	\$10,000	\$7,000	10/21/2013	
ZADQ 2013-1(HMT)	2	\$10,000	\$10,000	\$10,000	07/02/2014	
ZADR 2013-1(HMT)	1	\$5,000	\$5,000	\$3,600	10/21/2013	
ZAEN 2013-6(HMT)	1	\$10,000	\$10,000	\$10,000	10/23/2013	
ZAEN 2013-7(HMT)	1	\$10,000	\$10,000	\$10,000	11/14/2013	
ZAEN 2013-8(HMT)	1	\$10,000	\$10,000	\$10,000	01/07/2014	
ZAEN 2013-9(HMT)	1	\$10,000	\$10,000	\$10,000	01/07/2014	
ZAEN 2014-1(HMT)	4	\$19,000	\$19,000	\$19,000	06/10/2014	
ZAEN 2014-2(HMT)	2	\$10,000	\$10,000	\$10,000	07/17/2014	
ZAEN 2014-3(HMT)	4	\$20,000	\$20,000	\$20,000	09/03/2014	
ZAFQ 2013-2(HMT)	1	\$2,000	\$2,000	\$2,000	12/11/2013	
ZAG 2013-1(HMT)	1	\$5,000	\$5,000	\$3,800	03/03/2014	
ZAGT 2013-1(HMT)	1	\$2,000	\$2,000	\$1,400	01/22/2014	
ZAIA 2014-1(HMT)	1	\$5,000	\$5,000	\$3,200	03/10/2014	
ZAIL 2014-1(HMT)	1	\$5,000	\$5,000	\$5,000	06/10/2014	
ZAIL 2014-2(HMT)	1	\$10,000	\$10,000	\$10,000	07/02/2014	
ZAJU 2013-1(HMT)	1	\$2,000	\$2,000	\$2,000	11/01/2013	
ZAKM 2013-1(HMT)	1	\$5,000	\$5,000	\$3,400	01/29/2014	
ZAKP 2013-1(HMT)	1	\$2,500	\$2,500	\$2,500	12/10/2013	
ZALQ 2014-1(HMT)	1	\$2,500	\$2,500	\$2,500	04/30/2014	
ZALTS 2011-1(HMT)	3	\$3,000	\$3,000	\$3,000	07/20/2014	
ZAMC 2013-1(HMT)	1	\$5,000	\$5,000	\$2,600	11/12/2013	
ZAMC 2013-2(HMT)	1	\$10,000	\$10,000	\$7,000	11/12/2013	
ZAMC 2013-3(HMT)	1	\$10,000	\$10,000	\$7,000	11/12/2013	
ZAMC 2013-4(HMT)	1	\$5,000	\$5,000	\$3,250	11/12/2013	
ZAMC 2013-5(HMT)	1	\$10,000	\$10,000	\$7,500	11/12/2013	
ZAMRI 2012-1(HMT)	4	\$32,500	\$12,500	\$9,000	03/26/2014	Terminated Violation(s): 1, 3.
ZAOI 2013-1(HMT)	1	\$10,000	\$10,000	\$10,000	09/04/2014	
ZAQA 2013-1(HMT)	1	\$5,000	\$5,000	\$3,500	12/17/2013	
ZARCI 2013-2(HMT)	1	\$5,000	\$5,000	\$3,600	01/28/2014	
ZARGR 2014-1(HMT)	1	\$5,000	\$5,000	\$5,000	09/19/2014	
ZARJ 2013-1(HMT)	7	\$14,000	\$14,000	\$9,600	01/14/2014	
ZARJ 2014-1(HMT)	2	\$4,000	\$4,000	\$2,800	04/29/2014	
ZARO 2014-1(HMT)	5	\$10,000	\$10,000	\$6,800	09/24/2014	
ZARO 2014-2(HMT)	5	\$10,000	\$10,000	\$6,800	09/24/2014	
ZASC 2014-1(HMT)	1	\$7,500	\$7,500	\$5,700	05/13/2014	
ZASK 2014-1(HMT)	1	\$7,500	\$7,500	\$6,000	04/01/2014	
ZAUG 2014-1(HMT)	1	\$2,000	\$2,000	\$1,440	08/12/2014	
ZAUX 2014-1(HMT)	1	\$5,000	\$5,000	\$5,000	07/02/2014	
ZAXI 2014-1(HMT)	1	\$2,000	\$2,000	\$1,500	04/14/2014	
ZAXI 2014-2(HMT)	2	\$17,500	\$17,500	\$12,200	07/22/2014	
ZBACI 2005-1(HMT)	1	\$2,500	\$0	\$0	05/21/2014	Case Terminated.
ZBAE 2012-1(HMT)	1	\$10,000	\$10,000	\$9,000	02/17/2014	
ZBAS 2012-4(HMT)	2	\$9,500	\$9,500	\$7,125	03/19/2014	
ZBAS 2013-6(HMT)	1	\$10,000	\$10,000	\$9,000	02/12/2014	
ZBAS 2014-1(HMT)	1	\$5,000	\$5,000	\$5,000	09/19/2014	

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ZBEF 2012-1(HMT)	1	\$2,000	\$2,000	\$1,600	03/28/2014	
ZBEO 2014-1(HMT)	2	\$10,000	\$10,000	\$10,000	06/03/2014	
ZBEP 2012-1(HMT)	1	\$5,000	\$5,000	\$4,000	02/18/2014	
ZBEP 2014-1(HMT)	10	\$50,000	\$50,000	\$50,000	09/26/2014	
ZBFS 2012-1(HMT)	5	\$25,000	\$25,000	\$20,000	02/18/2014	
ZBGL 2014-1(HMT)	1	\$7,500	\$0	\$0	06/18/2014	Case Terminated.
ZBGW 2007-1(HMT)	2	\$10,000	\$0	\$0	05/21/2014	Case Terminated.
ZBIO 2007-1(HMT)	2	\$6,000	\$0	\$0	05/21/2014	Case Terminated.
ZBKO 2013-1(HMT)	6	\$60,000	\$60,000	\$48,000	05/29/2014	
ZBKO 2013-2(HMT)	3	\$30,000	\$30,000	\$21,600	04/25/2014	
ZBMS 2014-1(HMT)	1	\$5,000	\$5,000	\$5,000	09/16/2014	
ZBOB 2014-1(HMT)	1	\$5,000	\$5,000	\$5,000	06/27/2014	
ZBOH 2013-1(HMT)	1	\$10,000	\$10,000	\$8,000	02/05/2014	
ZBORE 2013-1(HMT)	1	\$2,000	\$2,000	\$1,600	02/04/2014	
ZBPA 2012-1(HMT)	1	\$2,000	\$2,000	\$1,600	10/30/2013	
ZBPA 2014-1(HMT)	1	\$10,000	\$10,000	\$7,500	08/14/2014	
ZBPC 2013-1(HMT)	1	\$10,000	\$10,000	\$9,000	10/30/2013	
ZBPO 2013-1(HMT)	1	\$10,000	\$10,000	\$9,000	10/30/2013	
ZBPO 2013-2(HMT)	1	\$2,500	\$2,500	\$2,500	03/13/2014	
ZBPWC 2014-1(HMT)	3	\$6,000	\$6,000	\$4,800	05/14/2014	
ZBSF 2013-4(HMT)	4	\$8,000	\$8,000	\$8,000	11/05/2013	
ZBSF 2013-5(HMT)	2	\$4,000	\$4,000	\$4,000	11/06/2013	
ZBSF 2013-6(HMT)	3	\$6,000	\$6,000	\$6,000	11/06/2013	
ZBTM 2013-1(HMT)	1	\$2,000	\$2,000	\$1,600	02/05/2014	
ZBTS 2012-1(HMT)	2	\$10,000	\$10,000	\$7,000	03/25/2014	
ZBTS 2013-1(HMT)	1	\$2,000	\$2,000	\$1,600	03/25/2014	
ZBTZ 2013-1(HMT)	3	\$11,000	\$11,000	\$7,150	02/24/2014	
ZBUI 2014-1(HMT)	1	\$5,000	\$5,000	\$5,000	08/28/2014	
ZBWI 2006-1(HMT)	1	\$15,000	\$0	\$0	05/21/2014	Case Terminated.
ZBWI 2007-1(HMT)	1	\$10,000	\$0	\$0	05/21/2014	Case Terminated.
ZBYU 2012-1(HMT)	1	\$2,500	\$2,500	\$2,000	02/12/2014	
ZCACT 2004-3(HMT)	4	\$8,000	\$0	\$0	04/23/2014	Case Terminated.
ZCAL 2013-1(HMT)	1	\$10,000	\$10,000	\$7,500	05/05/2014	
ZCAM 2005-1(HMT)	1	\$10,000	\$0	\$0	04/23/2014	Case Terminated.
ZCAX 2013-2(HMT)	2	\$10,000	\$10,000	\$8,000	05/07/2014	
ZCAX 2013-3(HMT)	2	\$20,000	\$20,000	\$16,000	05/07/2014	
ZCBM 2006-1(HMT)	1	\$4,000	\$0	\$0	04/23/2014	Case Terminated.
ZCBS 2006-1(HMT)	1	\$2,500	\$0	\$0	04/23/2014	Case Terminated.
ZCCB 2007-1(HMT)	1	\$7,500	\$0	\$0	05/01/2014	Case Terminated.
ZCCB 2012-1(HMT)	1	\$10,000	\$10,000	\$9,000	05/01/2014	
ZCCM 2008-2(HMT)	4	\$20,000	\$20,000	\$20,000	05/12/2014	
ZCCN 2011-1(HMT)	1	\$5,000	\$5,000	\$3,500	05/05/2014	
ZCCY 2007-1(HMT)	1	\$10,000	\$0	\$0	04/23/2014	Case Terminated.
ZCDA 2010-1(HMT)	1	\$2,000	\$2,000	\$1,600	07/23/2014	
ZCDL 2011-1(HMT)	2	\$20,000	\$20,000	\$14,000	05/12/2014	
ZCDL 2013-1(HMT)	1	\$10,000	\$10,000	\$6,000	05/12/2014	
ZCDQ 2008-1(HMT)	1	\$5,000	\$0	\$0	04/23/2014	Case Terminated.
ZCEB 2007-1(HMT)	2	\$10,000	\$0	\$0	04/24/2014	Case Terminated.
ZCEE 2010-1(HMT)	3	\$6,000	\$6,000	\$4,800	05/07/2014	

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ZCEE 2012-1(HMT)	4	\$20,000	\$20,000	\$16,000	05/07/2014	
ZCEE 2012-2(HMT)	1	\$2,500	\$2,500	\$2,000	05/07/2014	
ZCEF 2010-1(HMT)	1	\$10,000	\$10,000	\$8,000	04/16/2014	
ZCEF 2011-1(HMT)	1	\$5,000	\$5,000	\$4,500	04/17/2014	
ZCEH 2007-1(HMT)	1	\$2,500	\$0	\$0	04/24/2014	Case Terminated.
ZCEH 2008-1(HMT)	1	\$2,000	\$0	\$0	04/24/2014	Case Terminated.
ZCEH 2008-2(HMT)	4	\$15,000	\$0	\$0	04/24/2014	Case Terminated.
ZCELA 2008-1(HMT)	1	\$5,000	\$0	\$0	04/17/2014	Case Terminated.
ZCELA 2009-3(HMT)	1	\$7,500	\$7,500	\$6,000	04/17/2014	
ZCELA 2012-1(HMT)	1	\$10,000	\$10,000	\$8,000	04/17/2014	
ZCELA 2013-1(HMT)	1	\$10,000	\$10,000	\$8,000	04/17/2014	
ZCENX 2008-1(HMT)	1	\$10,000	\$10,000	\$8,500	06/23/2014	
ZCENX 2008-2(HMT)	1	\$10,000	\$10,000	\$8,500	06/23/2014	
ZCENX 2008-3(HMT)	1	\$10,000	\$10,000	\$8,500	06/23/2014	
ZCENX 2010-1(HMT)	1	\$10,000	\$10,000	\$8,500	06/23/2014	
ZCES 2007-1(HMT)	1	\$10,000	\$0	\$0	05/28/2014	Case Terminated.
ZCES 2007-2(HMT)	1	\$7,500	\$0	\$0	05/28/2014	Case Terminated.
ZCES 2007-3(HMT)	1	\$4,000	\$0	\$0	05/28/2014	Case Terminated.
ZCES 2011-1(HMT)	1	\$10,000	\$10,000	\$9,000	05/29/2014	
ZCEY 2012-1(HMT)	2	\$15,000	\$15,000	\$10,000	05/12/2014	
ZCEY 2013-1(HMT)	3	\$20,000	\$20,000	\$15,000	05/12/2014	
ZCEY 2013-2(HMT)	1	\$10,000	\$10,000	\$7,500	05/12/2014	
ZCFP 2010-1(HMT)	3	\$6,000	\$6,000	\$4,800	04/17/2014	
ZCFQ 2006-1(HMT)	1	\$2,000	\$0	\$0	04/24/2014	Case Terminated.
ZCFS 2008-1(HMT)	1	\$2,000	\$0	\$0	04/24/2014	Case Terminated.
ZCFV 2009-1(HMT)	3	\$12,500	\$0	\$0	04/09/2014	Case Terminated.
ZCFX 2009-2(HMT)	1	\$5,000	\$0	\$0	08/31/2014	Case Terminated.
ZCFX 2011-1(HMT)	6	\$23,000	\$23,000	\$15,770	08/31/2014	
ZCFX 2011-2(HMT)	2	\$20,000	\$20,000	\$14,000	08/31/2014	
ZCFX 2012-1(HMT)	5	\$10,000	\$10,000	\$6,900	08/31/2014	
ZCFX 2012-2(HMT)	2	\$10,000	\$10,000	\$6,800	08/31/2014	
ZCGL 2005-1(HMT)	1	\$5,000	\$5,000	\$1,000	05/06/2014	
ZCGL 2008-1(HMT)	3	\$12,000	\$12,000	\$3,000	05/06/2014	
ZCGL 2010-1(HMT)	1	\$10,000	\$10,000	\$7,250	05/06/2014	
ZCHB 2005-1(HMT)	1	\$2,000	\$0	\$0	05/28/2014	Case Terminated.
ZCHJ 2014-1(HMT)	1	\$7,500	\$7,500	\$7,500	04/14/2014	
ZCHQ 2006-1(HMT)	2	\$2,000	\$0	\$0	07/28/2014	Case Terminated.
ZCHQ 2007-1(HMT)	2	\$7,000	\$0	\$0	07/28/2014	Case Terminated.
ZCHQ 2007-2(HMT)	3	\$30,000	\$0	\$0	07/28/2014	Case Terminated.
ZCHQ 2008-1(HMT)	1	\$15,000	\$0	\$0	07/28/2014	Case Terminated.
ZCHQ 2008-2(HMT)	2	\$20,000	\$0	\$0	07/28/2014	Case Terminated.
ZCHQ 2008-3(HMT)	1	\$10,000	\$0	\$0	07/28/2014	Case Terminated.
ZCHQ 2009-1(HMT)	1	\$5,000	\$5,000	\$2,500	07/28/2014	
ZCHQ 2010-1(HMT)	1	\$2,000	\$0	\$0	05/12/2014	Case Terminated.
ZCHQ 2010-2(HMT)	1	\$2,000	\$0	\$0	05/12/2014	Case Terminated.
ZCHQ 2010-3(HMT)	1	\$10,000	\$10,000	\$6,500	07/28/2014	
ZCHQ 2010-4(HMT)	1	\$10,000	\$10,000	\$7,000	07/28/2014	
ZCHQ 2011-1(HMT)	1	\$10,000	\$10,000	\$7,000	07/28/2014	
ZCHQ 2012-1(HMT)	2	\$10,000	\$10,000	\$5,000	07/28/2014	

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ZCHQ 2013-1(HMT)	1	\$10,000	\$10,000	\$7,000	07/28/2014	
ZCHQ 2013-2(HMT)	1	\$10,000	\$10,000	\$7,000	07/28/2014	
ZCHS 2004-1(HMT)	1	\$15,000	\$0	\$0	05/28/2014	Case Terminated.
ZCHS 2006-2(HMT)	1	\$7,500	\$0	\$0	05/28/2014	Case Terminated.
ZCHS 2007-1(HMT)	1	\$10,000	\$0	\$0	05/28/2014	Case Terminated.
ZCHS 2007-2(HMT)	2	\$15,000	\$0	\$0	05/28/2014	Case Terminated.
ZCHS 2009-1(HMT)	1	\$2,000	\$0	\$0	05/28/2014	Case Terminated.
ZCHS 2013-1(HMT)	1	\$5,000	\$5,000	\$5,000	05/29/2014	
ZCHT 2006-1(HMT)	1	\$2,000	\$0	\$0	05/01/2014	Case Terminated.
ZCHV 2007-1(HMT)	2	\$4,500	\$4,500	\$4,500	05/20/2014	
ZCHV 2009-1(HMT)	1	\$10,000	\$10,000	\$7,500	07/15/2014	
ZCHX 2007-1(HMT)	1	\$5,000	\$0	\$0	05/28/2014	Case Terminated.
ZCHX 2008-1(HMT)	1	\$5,000	\$0	\$0	05/28/2014	Case Terminated.
ZCHX 2009-1(HMT)	1	\$5,000	\$0	\$0	05/28/2014	Case Terminated.
ZCHX 2010-2(HMT)	3	\$9,500	\$8,000	\$8,000	05/29/2014	Terminated Violation(s): 3.
ZCHX 2010-3(HMT)	1	\$5,000	\$5,000	\$4,500	05/29/2014	
ZCHX 2010-4(HMT)	1	\$5,000	\$5,000	\$4,500	05/29/2014	
ZCHX 2011-1(HMT)	1	\$5,000	\$5,000	\$5,000	05/29/2014	
ZCII 2009-1(HMT)	1	\$2,000	\$0	\$0	05/05/2014	Case Terminated.
ZCIT 2007-1(HMT)	4	\$15,000	\$0	\$0	05/05/2014	Case Terminated.
ZLCI 2007-1(HMT)	2	\$10,000	\$0	\$0	05/05/2014	Case Terminated.
ZCLG 2008-1(HMT)	2	\$10,000	\$0	\$0	05/07/2014	Case Terminated.
ZCLP 2008-1(HMT)	1	\$10,000	\$0	\$0	05/07/2014	Case Terminated.
ZCLX 2012-1(HMT)	1	\$5,000	\$5,000	\$4,000	05/12/2014	
ZCLX 2013-1(HMT)	1	\$10,000	\$10,000	\$8,000	05/12/2014	
ZCMC 2008-1(HMT)	6	\$24,500	\$0	\$0	05/07/2014	Case Terminated.
ZCMM 2014-1(HMT)	1	\$2,000	\$2,000	\$2,000	07/08/2014	
ZCMP 2007-1(HMT)	1	\$5,000	\$0	\$0	05/07/2014	Case Terminated.
ZCMT 2006-1(HMT)	1	\$2,000	\$0	\$0	05/08/2014	Case Terminated.
ZCNI 2002-2(HMT)	1	\$5,000	\$0	\$0	05/08/2014	Case Terminated.
ZCNM 2007-1(HMT)	3	\$11,000	\$0	\$0	05/08/2014	Case Terminated.
ZCNM 2008-1(HMT)	2	\$20,000	\$0	\$0	05/08/2014	Case Terminated.
ZCNS 2005-2(HMT)	1	\$7,500	\$0	\$0	05/08/2014	Case Terminated.
ZCNS 2006-1(HMT)	1	\$5,000	\$0	\$0	05/08/2014	Case Terminated.
ZCOH 2010-1(HMT)	1	\$5,000	\$5,000	\$3,500	05/14/2014	
ZCOH 2010-2(HMT)	1	\$7,500	\$7,500	\$5,000	05/14/2014	
ZCOLD 2005-1(HMT)	5	\$17,000	\$0	\$0	05/14/2014	Case Terminated.
ZCONL 2011-1(HMT)	4	\$16,000	\$16,000	\$11,350	07/17/2014	
ZCONL 2011-2(HMT)	1	\$5,000	\$5,000	\$3,650	07/17/2014	
ZCORN 2007-1(HMT)	6	\$13,500	\$0	\$0	05/14/2014	Case Terminated.
ZCOU 2012-1(HMT)	1	\$10,000	\$10,000	\$8,000	04/21/2014	
ZCOX 2007-1(HMT)	1	\$5,000	\$0	\$0	05/14/2014	Case Terminated.
ZCOX 2008-1(HMT)	2	\$4,000	\$0	\$0	05/14/2014	Case Terminated.
ZCPCL 2014-1(HMT)	1	\$5,000	\$5,000	\$4,000	05/13/2014	
ZCPG 2006-1(HMT)	1	\$5,000	\$0	\$0	05/15/2014	Case Terminated.
ZCPG 2007-1(HMT)	2	\$11,500	\$0	\$0	05/12/2014	Case Terminated.
ZCPG 2009-1(HMT)	2	\$10,000	\$10,000	\$9,000	05/15/2014	
ZCPR 2006-1(HMT)	1	\$15,000	\$0	\$0	05/12/2014	Case Terminated.
ZCPR 2007-1(HMT)	1	\$7,500	\$0	\$0	05/12/2014	Case Terminated.

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ZCPR 2008-1(HMT)	1	\$10,000	\$0	\$0	05/12/2014	Case Terminated.
ZCPSI 2007-1(HMT)	1	\$2,000	\$0	\$0	05/12/2014	Case Terminated.
ZCRC 2012-1(HMT)	1	\$5,000	\$5,000	\$4,000	05/08/2014	
ZCRD 2007-1(HMT)	1	\$2,000	\$0	\$0	05/22/2014	Case Terminated.
ZCRD 2007-2(HMT)	1	\$5,000	\$0	\$0	05/22/2014	Case Terminated.
ZCRD 2013-1(HMT)	1	\$2,500	\$2,500	\$1,800	05/22/2014	
ZCRP 2008-1(HMT)	1	\$5,000	\$0	\$0	05/12/2014	Case Terminated.
ZCSP 2010-1(HMT)	1	\$5,000	\$0	\$0	05/20/2014	Case Terminated.
ZCSPI 2006-2(HMT)	1	\$5,000	\$0	\$0	05/12/2014	Case Terminated.
ZCSU 2012-1(HMT)	1	\$10,000	\$10,000	\$7,250	04/14/2014	
ZCSU 2013-4(HMT)	3	\$8,500	\$8,500	\$5,000	05/14/2014	
ZCSU 2014-1(HMT)	8	\$34,000	\$34,000	\$22,000	05/14/2014	
ZCSX 2008-1(HMT)	2	\$9,000	\$0	\$0	09/30/2014	Case Terminated.
ZCSX 2009-1(SA)	1	\$5,000	\$5,000	\$2,800	09/30/2014	
ZCSX 2010-1(HMT)	1	\$7,500	\$7,500	\$5,025	09/30/2014	
ZCSX 2011-1(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2014	
ZCSX 2013-135(FCS)	1	\$2,500	\$2,500	\$1,650	09/30/2014	
ZCSX 2013-148(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2014	
ZCSX 2013-307(SA)	1	\$5,000	\$5,000	\$3,350	09/30/2014	
ZCSX 2013-324(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2014	
ZCT 2008-1(HMT)	1	\$10,000	\$0	\$0	07/16/2014	Case Terminated.
ZCT 2008-2(HMT)	1	\$2,000	\$0	\$0	07/16/2014	Case Terminated.
ZCT 2009-1(HMT)	1	\$1,000	\$0	\$0	07/16/2014	Case Terminated.
ZCT 2009-2(HMT)	2	\$12,000	\$0	\$0	07/06/2014	Case Terminated.
ZCT 2009-3(HMT)	1	\$10,000	\$10,000	\$10,000	07/16/2014	
ZCT 2010-1(HMT)	1	\$10,000	\$10,000	\$10,000	07/16/2014	
ZCT 2011-1(HMT)	1	\$5,000	\$5,000	\$5,000	07/16/2014	
ZCT 2013-1(HMT)	1	\$5,000	\$0	\$0	07/16/2014	Case Terminated.
ZCTC 2006-1(HMT)	1	\$10,000	\$0	\$0	05/12/2014	Case Terminated.
ZCTC 2007-1(HMT)	1	\$10,000	\$0	\$0	05/12/2014	Case Terminated.
ZCTC 2007-2(HMT)	1	\$10,000	\$0	\$0	05/12/2014	Case Terminated.
ZCTC 2008-1(HMT)	1	\$10,000	\$0	\$0	05/12/2014	Case Terminated.
ZCTD 2012-1(HMT)	3	\$10,000	\$10,000	\$8,000	04/17/2014	
ZCTN 2013-1(HMT)	2	\$4,000	\$4,000	\$4,000	05/13/2014	
ZCTU 2010-1(HMT)	1	\$2,500	\$0	\$0	02/27/2014	Case Terminated.
ZCTU 2011-1(HMT)	1	\$10,000	\$0	\$0	02/27/2014	Case Terminated.
ZCTU 2011-2(HMT)	1	\$10,000	\$10,000	\$5,000	06/04/2014	
ZCTX 2007-1(HMT)	1	\$2,000	\$0	\$0	05/15/2014	Case Terminated.
ZCUL 2006-1(HMT)	1	\$4,000	\$0	\$0	05/15/2014	Case Terminated.
ZCUL 2011-1(HMT)	3	\$6,000	\$6,000	\$4,000	06/02/2014	
ZCVE 2014-1(HMT)	1	\$5,000	\$5,000	\$5,000	07/16/2014	
ZCVN 2011-1(HMT)	1	\$5,000	\$5,000	\$4,000	05/01/2014	
ZCVO 2010-1(HMT)	1	\$10,000	\$0	\$0	06/02/2014	Case Terminated.
ZCVO 2012-1(HMT)	1	\$10,000	\$10,000	\$8,000	07/16/2014	
ZCVO 2012-2(HMT)	1	\$5,000	\$5,000	\$4,000	07/16/2014	
ZCVO 2012-3(HMT)	2	\$10,000	\$10,000	\$8,000	07/16/2014	
ZCVO 2013-1(HMT)	1	\$2,000	\$2,000	\$1,600	07/16/2014	
ZCWHP 2005-1(HMT)	3	\$6,000	\$0	\$0	05/15/2014	Case Terminated.

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ZCWT 2010-1(HMT)	1	\$5,000	\$5,000	\$2,000	05/05/2014	
ZCWT 2014-1(HMT)	1	\$2,000	\$2,000	\$2,000	07/23/2014	
ZCXD 2006-1(HMT)	1	\$2,000	\$0	\$0	05/15/2014	Case Terminated.
ZCXD 2008-1(HMT)	1	\$2,000	\$0	\$0	05/15/2014	Case Terminated.
ZCXU 2014-1(HMT)	3	\$30,000	\$30,000	\$22,500	07/23/2014	
ZDBW 2014-1(HMT)	1	\$5,000	\$5,000	\$5,000	04/09/2014	
ZDCS 2013-1(HMT)	1	\$2,000	\$2,000	\$1,250	05/30/2014	
ZDCU 2013-1(HMT)	1	\$2,000	\$2,000	\$1,500	02/05/2014	
ZDCU 2013-3(HMT)	2	\$17,500	\$17,500	\$14,000	02/05/2014	
ZDCU 2013-4(HMT)	1	\$10,000	\$10,000	\$8,000	02/05/2014	
ZDGC 2013-2(HMT)	1	\$10,000	\$10,000	\$6,500	07/07/2014	
ZDGC 2014-1(HMT)	1	\$5,000	\$5,000	\$3,250	07/07/2014	
ZDKE 2013-1(HMT)	1	\$5,000	\$5,000	\$2,750	01/08/2014	
ZDKE 2014-1(HMT)	1	\$10,000	\$10,000	\$6,400	06/18/2014	
ZDKI 2013-1(HMT)	1	\$5,000	\$5,000	\$3,000	01/31/2014	
ZDMX 2013-2(HMT)	2	\$4,000	\$0	\$0	03/21/2014	Case Terminated.
ZDSM 2013-1(HMT)	1	\$5,000	\$5,000	\$4,000	02/24/2014	
ZDTLP 2013-2(HMT)	1	\$5,000	\$5,000	\$3,750	11/14/2013	
ZDTR 2013-1(HMT)	1	\$10,000	\$10,000	\$7,500	08/06/2014	
ZDUP 2012-2(HMT)	4	\$8,000	\$8,000	\$6,000	05/30/2014	
ZDWC 2013-1(HMT)	1	\$5,000	\$5,000	\$3,250	05/02/2014	
ZDWC 2013-2(HMT)	1	\$2,000	\$2,000	\$1,300	05/02/2014	
ZDYI 2013-1(HMT)	1	\$10,000	\$10,000	\$8,000	12/03/2013	
ZEACH 2013-1(HMT)	1	\$10,000	\$10,000	\$7,300	02/18/2014	
ZEACH 2013-2(HMT)	1	\$10,000	\$10,000	\$7,500	02/18/2014	
ZEACH 2013-3(HMT)	1	\$5,000	\$2,000	\$1,500	02/18/2014	Partially Terminated Violation(s): 1.
ZEACH 2014-1(HMT)	1	\$5,000	\$5,000	\$3,500	04/29/2014	
ZEACH 2014-2(HMT)	1	\$4,000	\$4,000	\$2,800	04/29/2014	
ZECT 2013-1(HMT)	2	\$4,000	\$4,000	\$4,000	11/15/2013	
ZEDC 2014-1(HMT)	1	\$10,000	\$10,000	\$7,500	05/15/2014	
ZEEG 2013-1(HMT)	2	\$10,000	\$10,000	\$8,000	12/13/2013	
ZEEM 2013-1(HMT)	1	\$5,000	\$5,000	\$4,000	01/22/2014	
ZEEM 2013-2(HMT)	1	\$5,000	\$5,000	\$5,000	01/07/2014	
ZEEM 2013-3(HMT)	1	\$10,000	\$10,000	\$7,500	02/04/2014	
ZEGR 2013-1(HMT)	1	\$2,000	\$2,000	\$2,000	11/05/2013	
ZELEM 2013-1(HMT)	4	\$8,000	\$8,000	\$5,760	12/10/2013	
ZEMB 2014-1(HMT)	1	\$10,000	\$10,000	\$7,500	04/15/2014	
ZENP 2013-1(HMT)	1	\$2,000	\$0	\$0	11/14/2013	Case Terminated.
ZEOB 2013-2(HMT)	1	\$1,000	\$1,000	\$670	10/23/2013	
ZEOB 2014-1(HMT)	1	\$7,500	\$7,500	\$5,625	02/26/2014	
ZEOR 2014-1(HMT)	1	\$10,000	\$10,000	\$7,300	03/18/2014	
ZEOR 2014-2(HMT)	3	\$15,000	\$15,000	\$12,750	05/15/2014	
ZEPC 2014-1(HMT)	2	\$5,000	\$5,000	\$5,000	02/04/2014	
ZEQU 2013-2(HMT)	1	\$5,000	\$5,000	\$3,500	12/19/2013	
ZERV 2013-2(HMT)	1	\$4,000	\$4,000	\$4,000	01/23/2014	
ZERV 2014-1(HMT)	2	\$20,000	\$20,000	\$20,000	04/29/2014	
ZEVC 2014-1(HMT)	1	\$5,000	\$5,000	\$5,000	07/11/2014	
ZEVD 2013-1(HMT)	1	\$5,000	\$5,000	\$5,000	10/30/2013	
ZEXM 2012-2(TS)	1	\$5,000	\$5,000	\$650	03/03/2014	

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ZEXM 2013-1(HMT)	2	\$20,000	\$20,000	\$14,900	02/04/2014	
ZFCE 2013-2(HMT)	1	\$5,000	\$5,000	\$5,000	05/29/2014	
ZFHR 2013-4(HMT)	2	\$12,500	\$12,500	\$12,500	10/18/2013	
ZFHR 2013-5(HMT)	1	\$5,000	\$5,000	\$5,000	10/18/2013	
ZFRQ 2011-1(HMT)	1	\$10,000	\$10,000	\$6,500	06/03/2014	
ZGACC 2012-1(HMT)	1	\$5,000	\$5,000	\$4,000	03/25/2014	
ZGAL 2013-1(HMT)	1	\$5,000	\$5,000	\$4,000	03/26/2014	
ZGAN 2012-1(HMT)	2	\$3,000	\$3,000	\$2,400	03/25/2014	
ZGATX 2009-1(HMT)	1	\$10,000	\$0	\$0	03/27/2014	Case Terminated.
ZGFL 2013-1(HMT)	1	\$10,000	\$10,000	\$8,000	05/12/2014	
ZGLB 2013-1(HMT)	1	\$5,000	\$5,000	\$4,000	05/21/2014	
ZGLQ 2013-1(HMT)	2	\$10,000	\$10,000	\$8,000	03/25/2014	
ZGMN 2000-1(HMT)	2	\$4,000	\$0	\$0	03/27/2014	Case Terminated.
ZGMN 2001-1(HMT)	2	\$10,999	\$0	\$0	03/27/2014	Case Terminated.
ZGMN 2012-1(HMT)	1	\$5,000	\$5,000	\$3,500	05/23/2014	
ZGNI 1999-1(HMT)	5	\$10,000	\$0	\$0	03/27/2014	Case Terminated.
ZGPJ 2012-2(HMT)	1	\$5,000	\$5,000	\$4,000	03/25/2014	
ZGRAY 2003-1(HMT)	1	\$5,000	\$0	\$0	03/27/2014	Case Terminated.
ZGRAY 2005-1(HMT)	1	\$5,000	\$0	\$0	03/27/2014	Case Terminated.
ZGSR 2013-1(HMT)	1	\$2,500	\$2,500	\$1,700	04/28/2014	
ZGSZ 2013-1(HMT)	1	\$7,500	\$7,500	\$5,750	04/30/2014	
ZGSZ 2013-2(HMT)	1	\$7,500	\$7,500	\$5,750	04/30/2014	
ZGSZ 2013-3(HMT)	1	\$5,000	\$0	\$0	04/30/2014	Case Terminated.
ZGZC 2011-1(HMT)	1	\$5,000	\$5,000	\$4,000	05/07/2014	
ZHAR 2013-1(HMT)	1	\$3,000	\$3,000	\$3,000	12/09/2013	
ZHES 2005-2(HMT)	2	\$10,500	\$0	\$0	03/07/2014	
ZHET 2014-1(HMT)	1	\$5,000	\$5,000	\$5,000	09/05/2014	
ZHFO 2012-1(HMT)	2	\$4,500	\$4,500	\$3,750	10/23/2013	
ZHNI 2013-2(HMT)	2	\$7,000	\$7,000	\$7,000	10/17/2013	
ZHPA 2013-1(HMT)	1	\$2,500	\$2,500	\$2,500	12/30/2013	
ZHPA 2013-2(HMT)	2	\$10,000	\$10,000	\$8,500	11/07/2013	
ZHSL 2013-2(HMT)	10	\$20,000	\$20,000	\$20,000	01/09/2014	
ZHUNT 2013-1(HMT)	3	\$6,000	\$6,000	\$5,100	09/26/2014	
ZIEN 2013-1(HMT)	1	\$5,000	\$5,000	\$3,750	11/14/2013	
ZIM 2014-1(HMT)	1	\$5,000	\$0	\$0	05/02/2014	Case Terminated.
ZIMA 2013-1(HMT)	1	\$5,000	\$5,000	\$2,500	11/14/2013	
ZIMO 2014-1(HMT)	1	\$10,000	\$0	\$0	05/02/2014	Case Terminated.
ZIMO 2014-2(HMT)	1	\$2,000	\$2,000	\$1,500	09/08/2014	
ZIMT 2014-1(HMT)	2	\$10,000	\$10,000	\$7,200	05/12/2014	
ZIMTB 2013-1(HMT)	1	\$5,000	\$5,000	\$5,000	01/24/2014	
ZINS 2013-1(HMT)	1	\$2,500	\$2,500	\$2,500	11/13/2013	
ZINS 2014-1(SA)	1	\$5,000	\$5,000	\$3,500	03/20/2014	
ZINS 2014-2(SA)	1	\$5,000	\$5,000	\$3,600	03/20/2014	
ZINS 2014-3(ROP)	1	\$7,500	\$7,500	\$4,875	05/12/2014	
ZINTT 2014-1(HMT)	1	\$4,000	\$4,000	\$3,000	08/21/2014	
ZIOCO 2014-1(HMT)	1	\$5,000	\$5,000	\$3,750	04/24/2014	
ZIOF 2014-1(AD)	1	\$2,500	\$2,500	\$1,875	08/14/2014	
ZIP 2013-2(HMT)	1	\$10,000	\$10,000	\$8,000	11/19/2013	
ZIP 2014-1(HMT)	4	\$8,000	\$8,000	\$6,400	04/08/2014	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
ZIP 2014-2(HMT)	1	\$5,000	\$5,000	\$4,000	04/08/2014	
ZIP 2014-3(HMT)	1	\$5,000	\$5,000	\$4,000	06/10/2014	
ZIPB 2014-1(HMT)	1	\$2,000	\$2,000	\$2,000	04/10/2014	
ZIPB 2014-2(HMT)	3	\$12,000	\$12,000	\$8,400	05/27/2014	
ZIPI 2013-1(HMT)	1	\$10,000	\$10,000	\$8,000	10/31/2013	
ZIRO 2013-4(HMT)	1	\$10,000	\$10,000	\$10,000	10/22/2013	
ZIRO 2014-1(HMT)	1	\$10,000	\$10,000	\$7,500	05/06/2014	
ZIRO 2014-2(HMT)	3	\$6,000	\$6,000	\$4,500	05/06/2014	
ZIRO 2014-3(HMT)	1	\$4,000	\$4,000	\$4,000	05/15/2014	
ZIRO 2014-4(HMT)	2	\$25,000	\$25,000	\$19,500	05/15/2014	
ZIRO 2014-5(HMT)	4	\$10,000	\$10,000	\$7,500	05/15/2014	
ZISG 2013-1(HMT)	1	\$4,000	\$4,000	\$4,000	11/13/2013	
ZITGC 2013-1(HMT)	1	\$2,000	\$2,000	\$2,000	02/03/2014	
ZITT 2014-1(HMT)	1	\$10,000	\$10,000	\$7,250	03/31/2014	
ZITX 2014-1(HMT)	2	\$15,000	\$15,000	\$10,800	05/30/2014	
ZJRS 2012-2(HMT)	1	\$10,000	\$10,000	\$6,500	05/06/2014	
ZJRS 2012-3(HMT)	1	\$2,000	\$2,000	\$1,200	05/06/2014	
ZJRS 2012-4(HMT)	1	\$5,000	\$5,000	\$3,000	05/06/2014	
ZJRS 2013-1(HMT)	1	\$2,500	\$2,500	\$2,500	03/06/2014	
ZJVE 2013-1(HMT)	2	\$3,500	\$3,500	\$2,500	04/25/2014	
ZKDM 2014-1(HMT)	1	\$2,000	\$2,000	\$1,300	06/11/2014	
ZKEL 2013-1(HMT)	1	\$10,000	\$10,000	\$5,000	02/25/2014	
ZKME 2014-1(HMT)	1	\$2,000	\$0	\$0	07/28/2014	Case Terminated.
ZKML 2013-4(HMT)	1	\$10,000	\$10,000	\$5,000	02/26/2014	
ZKML 2013-5(HMT)	1	\$10,000	\$10,000	\$6,500	03/03/2014	
ZKML 2014-1(HMT)	2	\$7,000	\$7,000	\$4,550	05/16/2014	
ZKML 2014-2(HMT)	1	\$2,000	\$2,000	\$1,260	08/12/2014	
ZKMQ 2014-1(HMT)	1	\$5,000	\$5,000	\$3,100	09/22/2014	
ZKOR 2013-1(HMT)	3	\$6,000	\$6,000	\$4,000	09/30/2014	
ZKOR 2014-1(HMT)	3	\$6,000	\$6,000	\$4,000	09/30/2014	
ZKPI 2014-1(HMT)	1	\$5,000	\$5,000	\$3,000	06/02/2014	
ZLAM 2013-1(HMT)	1	\$2,000	\$2,000	\$1,300	05/30/2014	
ZLQT 2013-1(HMT)	1	\$10,000	\$10,000	\$10,000	01/28/2014	
ZLUB 2013-3(HMT)	1	\$10,000	\$10,000	\$6,700	05/30/2014	
ZLUB 2013-4(HMT)	2	\$4,000	\$4,000	\$4,000	12/31/2013	
ZMED 2013-1(HMT)	1	\$5,000	\$5,000	\$3,000	05/28/2014	
ZMGD 2013-1(HMT)	1	\$2,000	\$2,000	\$1,400	01/08/2014	
ZMGD 2014-1(HMT)	1	\$5,000	\$5,000	\$3,000	05/15/2014	
ZMIP 2013-1(HMT)	5	\$22,000	\$22,000	\$13,200	12/26/2013	
ZMNS 2014-1(HMT)	2	\$6,000	\$6,000	\$6,000	07/10/2014	
ZMOM 2013-1(HMT)	1	\$10,000	\$10,000	\$6,000	06/04/2014	
ZMOM 2014-1(HMT)	1	\$5,000	\$5,000	\$3,500	09/30/2014	
ZMTT 2014-1(HMT)	4	\$8,000	\$8,000	\$8,000	09/04/2014	
ZMTT 2014-2(HMT)	3	\$8,000	\$8,000	\$8,000	08/20/2014	
ZMUSK 2013-2(HMT)	1	\$5,000	\$5,000	\$5,000	10/18/2013	
ZMUSK 2013-3(HMT)	2	\$10,000	\$10,000	\$10,000	10/18/2013	
ZMUSK 2014-1(HMT)	1	\$5,000	\$5,000	\$5,000	02/07/2014	
ZMUSK 2014-2(HMT)	1	\$5,000	\$5,000	\$5,000	08/28/2014	
ZNAL 2014-1(HMT)	1	\$5,000	\$5,000	\$3,750	04/17/2014	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
ZNBS 2013-1(HMT)	1	\$10,000	\$10,000	\$7,500	04/09/2014	
ZNCL 2013-1(HMT)	1	\$2,000	\$2,000	\$2,000	10/28/2013	
ZNDM 2014-1(HMT)	4	\$8,000	\$8,000	\$8,000	06/12/2014	
ZNSE 2007-1(HMT)	1	\$5,000	\$0	\$0	04/21/2014	Case Terminated.
ZNSE 2007-2(HMT)	2	\$17,500	\$0	\$0	04/21/2014	Case Terminated.
ZNSE 2007-3(HMT)	1	\$5,000	\$0	\$0	04/21/2014	Case Terminated.
ZNSE 2008-2(HMT)	1	\$7,500	\$0	\$0	04/21/2014	Case Terminated.
ZNSE 2009-2(HMT)	1	\$7,500	\$7,500	\$3,750	04/21/2014	
ZNSE 2010-2(HMT)	2	\$10,000	\$10,000	\$5,000	04/21/2014	
ZNSE 2013-1(HMT)	11	\$20,500	\$20,500	\$13,000	05/29/2014	
ZOEC 2014-1(HMT)	1	\$2,000	\$2,000	\$2,000	09/10/2014	
ZOKH 2014-1(HMT)	1	\$5,000	\$5,000	\$5,000	07/17/2014	
ZOKH 2014-2(HMT)	1	\$10,000	\$10,000	\$7,250	05/02/2014	
ZOLI 2013-3(HMT)	1	\$7,500	\$7,500	\$6,000	12/18/2013	
ZOMP 2014-1(HMT)	1	\$2,000	\$2,000	\$2,000	08/25/2014	
ZOTT 2013-2(HMT)	1	\$5,000	\$5,000	\$3,400	10/23/2013	
ZOXV 2013-2(HMT)	1	\$5,000	\$5,000	\$3,100	01/02/2014	
ZPBO 2011-1(HMT)	2	\$20,000	\$10,000	\$7,500	04/28/2014	Terminated Violation(s): 1.
ZPBO 2012-1(HMT)	2	\$20,000	\$0	\$0	06/20/2014	Case Terminated.
ZPBO 2013-1(HMT)	1	\$2,500	\$2,500	\$2,000	04/28/2014	
ZPCM 2013-1(HMT)	4	\$20,000	\$20,000	\$8,000	11/26/2013	
ZPDY 2014-1(HMT)	1	\$5,000	\$5,000	\$5,000	04/08/2014	
ZPEK 2013-1(HMT)	2	\$10,000	\$10,000	\$10,000	10/08/2013	
ZPEK 2013-2(HMT)	1	\$5,000	\$5,000	\$5,000	02/03/2014	
ZPEK 2013-3(HMT)	2	\$10,000	\$10,000	\$10,000	02/03/2014	
ZPES 2013-1(HMT)	1	\$5,000	\$5,000	\$5,000	01/10/2014	
ZPFP 2013-2(HMT)	2	\$20,000	\$20,000	\$20,000	10/08/2013	
ZPHN 2014-1(HMT)	4	\$20,000	\$20,000	\$20,000	05/16/2014	
ZPNF 2013-1(HMT)	1	\$5,000	\$5,000	\$3,400	06/17/2014	
ZPRP 2009-1(HMT)	1	\$2,000	\$0	\$0	05/21/2014	Case Terminated.
ZPVS 2012-1(HMT)	1	\$5,000	\$5,000	\$3,500	04/28/2014	
ZPVS 2013-1(HMT)	1	\$5,000	\$5,000	\$3,500	04/28/2014	
ZPVS 2013-2(HMT)	1	\$7,500	\$7,500	\$5,300	04/28/2014	
ZPWP 2013-1(HMT)	1	\$5,000	\$5,000	\$3,500	06/03/2014	
ZQGM 2014-1(HMT)	1	\$10,000	\$10,000	\$10,000	02/19/2014	
ZRAY 2011-1(HMT)	1	\$2,000	\$2,000	\$1,700	02/06/2014	
ZRCA 2012-3(HMT)	1	\$2,500	\$2,500	\$2,500	10/29/2013	
ZRCA 2012-4(HMT)	2	\$10,000	\$10,000	\$10,000	10/29/2013	
ZRCA 2013-1(HMT)	1	\$5,000	\$5,000	\$5,000	10/29/2013	
ZRCA 2014-1(HMT)	1	\$10,000	\$10,000	\$10,000	09/25/2014	
ZRCQ 2014-1(HMT)	3	\$10,000	\$10,000	\$8,500	04/03/2014	
ZRCY 2013-1(HMT)	7	\$17,500	\$17,500	\$17,500	11/12/2013	
ZRCZ 2013-1(HMT)	1	\$2,000	\$2,000	\$1,700	10/23/2013	
ZRHD 2011-1(HMT)	1	\$10,000	\$10,000	\$9,000	03/05/2014	
ZRHD 2013-1(HMT)	5	\$25,000	\$22,000	\$17,500	11/26/2013	Partially Terminated Violation(s): 5.
ZRKM 2014-1(HMT)	3	\$15,000	\$15,000	\$8,250	07/30/2014	
ZRLC 2013-1(HMT)	1	\$7,500	\$7,500	\$7,500	10/31/2013	
ZRLI 2014-1(HMT)	1	\$10,000	\$0	\$0	09/11/2014	Case Terminated.
ZRLP 2014-1(HMT)	1	\$5,000	\$5,000	\$4,000	04/03/2014	

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ZRNS 2011-1(HMT)	1	\$2,000	\$2,000	\$2,000	10/02/2013	
ZRNS 2011-2(HMT)	1	\$2,000	\$2,000	\$2,000	10/02/2013	
ZRPL 2012-1(HMT)	2	\$4,000	\$4,000	\$3,000	01/06/2014	
ZRPM 2013-1(HMT)	2	\$10,000	\$10,000	\$6,000	11/08/2013	
ZRPM 2013-2(HMT)	1	\$7,500	\$7,500	\$6,750	10/25/2013	
ZRST 2011-1(HMT)	1	\$10,000	\$10,000	\$8,000	10/29/2013	
ZRTL 2011-1(HMT)	2	\$4,000	\$4,000	\$3,000	11/15/2013	
ZRVM 2012-1(HMT)	1	\$5,000	\$5,000	\$3,500	11/06/2013	
ZSASN 2013-1(HMT)	1	\$5,000	\$5,000	\$2,800	07/17/2014	
ZSASN 2013-2(HMT)	1	\$10,000	\$10,000	\$5,000	11/11/2013	
ZSASN 2013-3(HMT)	1	\$10,000	\$10,000	\$6,500	07/17/2014	
ZSCT 2009-1(HMT)	1	\$5,000	\$0	\$0	07/17/2014	Case Terminated.
ZSET 2013-1(HMT)	1	\$5,000	\$5,000	\$5,000	03/24/2014	
ZSEU 2012-1(HMT)	1	\$10,000	\$10,000	\$5,000	12/18/2013	
ZSEU 2012-2(HMT)	1	\$10,000	\$10,000	\$5,000	12/18/2013	
ZSEU 2013-1(HMT)	1	\$4,000	\$4,000	\$2,000	12/18/2013	
ZSEU 2013-2(HMT)	10	\$25,000	\$25,000	\$15,000	12/18/2013	
ZSHIN 2013-1(HMT)	1	\$5,000	\$5,000	\$5,000	11/11/2013	
ZSHL 2014-1(HMT)	4	\$8,000	\$8,000	\$8,000	07/30/2014	
ZSHQ 2011-2(HMT)	1	\$5,000	\$5,000	\$2,800	07/30/2014	
ZSHQ 2014-1(HMT)	1	\$5,000	\$5,000	\$2,800	07/30/2014	
ZSIND 2013-1(HMT)	1	\$5,000	\$5,000	\$5,000	11/11/2013	
ZSKI 2013-2(HMT)	1	\$2,000	\$2,000	\$2,000	12/21/2013	
ZSMZ 2014-1(HMT)	1	\$3,750	\$3,750	\$2,750	08/26/2014	
ZSNR 2009-1(HMT)	1	\$7,500	\$0	\$0	07/14/2014	Case Terminated.
ZSRA 2010-1(HMT)	1	\$10,000	\$0	\$0	07/14/2014	Case Terminated.
ZSRE 2013-1(HMT)	1	\$5,000	\$5,000	\$2,700	06/12/2014	
ZSSCO 2013-5(HMT)	3	\$6,500	\$6,500	\$4,000	02/07/2014	
ZSSCO 2013-6(HMT)	1	\$10,000	\$10,000	\$6,000	02/07/2014	
ZSSCO 2013-7(HMT)	1	\$10,000	\$10,000	\$5,500	02/07/2014	
ZSSF 2013-1(HMT)	2	\$10,000	\$0	\$0	07/14/2014	Case Terminated.
ZSSF 2013-2(HMT)	2	\$10,000	\$0	\$0	07/14/2014	Case Terminated.
ZSSP 2014-1(HMT)	3	\$3,000	\$3,000	\$3,000	07/17/2014	
ZSST 2013-2(HMT)	1	\$5,000	\$5,000	\$3,500	10/21/2013	
ZSTI 2009-1(HMT)	1	\$5,000	\$0	\$0	07/14/2014	Case Terminated.
ZSUA 2014-1(HMT)	1	\$2,000	\$2,000	\$2,000	07/28/2014	
ZSWR 2013-1(HMT)	1	\$3,000	\$3,000	\$1,700	11/01/2013	
ZTAM 2013-1(HMT)	1	\$10,000	\$10,000	\$7,500	09/30/2014	
ZTDL 2014-1(HMT)	1	\$10,000	\$10,000	\$10,000	08/20/2014	
ZTERM 2014-1(HMT)	1	\$2,000	\$2,000	\$2,000	08/25/2014	
ZTLY 2013-1(HMT)	1	\$2,000	\$2,000	\$2,000	08/27/2014	
ZTTL 2014-1(HMT)	2	\$4,000	\$4,000	\$4,000	08/11/2014	
ZUCL 2010-1(HMT)	2	\$4,000	\$4,000	\$3,200	05/30/2014	
ZULM 2012-1(HMT)	1	\$5,000	\$5,000	\$4,000	05/26/2014	
ZUMQ 2013-1(HMT)	1	\$5,000	\$5,000	\$3,500	01/21/2014	
ZUNA 2010-1(HMT)	1	\$10,000	\$10,000	\$8,000	07/03/2014	
ZUNC 2010-1(HMT)	1	\$10,000	\$10,000	\$8,000	05/22/2014	
ZUNC 2010-2(HMT)	1	\$7,500	\$7,500	\$5,250	05/22/2014	
ZUNC 2012-1(HMT)	1	\$5,000	\$5,000	\$3,500	05/22/2014	

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ZUNC 2013-1(HMT)	1	\$10,000	\$10,000	\$7,500	05/22/2014	
ZUNIV 2013-3(HMT)	1	\$4,000	\$4,000	\$4,000	01/06/2014	
ZUNT 2013-1(HMT)	1	\$2,000	\$2,000	\$1,200	12/03/2013	
ZUOC 2013-1(HMT)	6	\$12,000	\$12,000	\$8,400	01/23/2014	
ZUPT 2012-1(HMT)	1	\$7,500	\$0	\$0	10/28/2013	Case Terminated.
ZUPT 2012-2(HMT)	1	\$15,000	\$15,000	\$9,750	10/28/2013	
ZUPT 2012-3(HMT)	1	\$7,500	\$5,000	\$3,250	10/28/2013	Partially Terminated Violation(s): 1.
ZUPT 2012-4(HMT)	1	\$7,500	\$7,500	\$4,875	10/28/2013	
ZUPT 2012-5(HMT)	1	\$7,500	\$7,500	\$4,875	10/28/2013	
ZUPT 2013-1(HMT)	1	\$7,500	\$5,000	\$4,875	10/28/2013	Partially Terminated Violation(s): 1.
ZVGP 2013-1(HMT)	6	\$12,000	\$12,000	\$12,000	01/31/2014	
ZVGT 2013-1(HMT)	1	\$2,000	\$2,000	\$2,000	05/30/2014	
ZWATC 2013-2(HMT)	2	\$12,000	\$12,000	\$6,200	09/29/2014	
ZWATC 2014-1(HMT)	1	\$10,000	\$10,000	\$6,300	09/29/2014	
ZWATC 2014-2(HMT)	2	\$4,000	\$4,000	\$2,500	09/29/2014	
ZWCA 2014-1(HMT)	1	\$5,000	\$5,000	\$3,750	05/28/2014	
ZWIQ 2013-1(HMT)	1	\$5,000	\$5,000	\$5,000	01/27/2014	
ZWOK 2013-1(HMT)	1	\$10,000	\$10,000	\$2,500	01/16/2014	
ZWSY 2011-1(HMT)	1	\$10,000	\$0	\$0	01/02/2014	Case Terminated.
ZWTS 2013-1(HMT)	1	\$5,000	\$5,000	\$3,300	09/29/2014	
ZWTS 2013-2(HMT)	2	\$7,500	\$7,500	\$4,750	09/29/2014	
ZWTS 2013-3(HMT)	1	\$2,500	\$2,500	\$1,450	09/29/2014	
ZYET 2007-1(HMT)	1	\$5,000	\$0	\$0	01/24/2014	Case Terminated.
ZYET 2008-1(HMT)	1	\$7,500	\$7,500	\$4,000	01/24/2014	
ZYET 2008-2(HMT)	1	\$5,000	\$5,000	\$2,500	01/24/2014	
ZYET 2010-1(HMT)	1	\$10,000	\$10,000	\$6,000	01/24/2014	
ZZCP 2013-1(HMT)	1	\$10,000	\$10,000	\$10,000	02/04/2014	
ZZCP 2013-2(HMT)	1	\$5,000	\$5,000	\$5,000	02/04/2014	
ZZCS 2013-1(HMT)	1	\$2,500	\$2,500	\$2,500	03/17/2014	
ZZEF 2014-1(HMT)	1	\$5,000	\$5,000	\$5,000	02/27/2014	
Total	5,550	\$21,103,249	\$19,383,750	\$13,467,735		

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ABWR	Alabama Warrior Railway, LLC.
ADBF	ADRIAN & BLISSFIELD RAILROAD CO.
AGCR	Alamo Gulf Coast Railroad
AGR	Alabama & Gulf Coast Railway LLC.
AKMD	ARKANSAS MIDLAND RAILROAD
ALM	ARKANSAS LOUISIANA & MISSISSIPPI RAILROAD
ALS	The Alton and Southern Railway Company
AM	Arkansas and Missouri Railroad Company
ARR	ALASKA RAILROAD CORPORATION
ATK	National Railroad Passenger Corporation
ATN	ALABAMA & TENNESSEE RIVER RAILWAY, LLC
AVR	ALLEGHENY VALLEY RAILROAD CO.
AWRR	AUSTIN WESTERN RAILROAD
BB	BUCKINGHAM BRANCH RAILROAD COMPANY
BDTL	BALLARD TERMINAL RAILROAD
BGCM	BOUNTIFUL GRAIN & CRAIG MOUNTAIN
BLR	Blacklands Railroad
BM	BOSTON AND MAINE CORPORATION
BNG	Blackwell Northern Gateway Railroad Co.
BNSF	BNSF RAILWAY COMPANY
BNSO	BNSF SUBURBAN OPERATIONS
BOP	BORDER PACIFIC RAILROAD
BPRR	BUFFALO & PITTSBURGH RAILROAD, INC.
BRC	THE BELT RAILWAY COMPANY OF CHICAGO
BT	BIRMINGHAM TERMINAL COMPANY
BVRR	Boise Valley Railroad, Inc.
CARS	CAROLINA SOUTHERN RAILROAD COMPANY
CBCX	Columbia Business Center
CBRW	Columbia Basin Railroad Company, INC.
CC	CHICAGO, CENTRAL & PACIFIC RAILROAD COMPANY
CCRL	Cleveland Commercial Railroad Company LLC
CCT	CENTRAL CALIFORNIA TRACTION COMPANY
CFE	Chicago, Ft. Wayne & Eastern
CFI	CF INDUSTRIES, INC.
CFNR	CALIFORNIA NORTHERN RAILROAD CO.
CFRC	CENTRAL FLORIDA RAIL CORRIDOR
CGIV	CARGILL INCORPORATED GOSCNA
CIC	Cedar Rapids and Iowa City Railway Company
CIND	THE CENTRAL RAILROAD COMPANY OF INDIANA

Respondent

<u>Codes</u>	<u>Respondent Names</u>
CKIN	CHESAPEAKE AND INDIANA RAILROAD CO. INC.
CLC	COLUMBIA & COWLITZ RAILWAY COMPANY
CLNA	Carolina Coastal Railway, Inc.
CLP	CLARENDON AND PITTSFORD RAILROAD CO.
CMC	CMC RAILROAD INC.
CMR	CENTRAL MIDLAND RAILWAY
CMTY	Capital Metropolitan Transportation Authority
CN	Canadian National Railway Company
COSR	CONNECTICUT SOUTHERN RAILROAD, INC.
CP	CANADIAN PACIFIC RAILWAY
CRL	CHICAGO RAIL LINK
CRRX	CANON CITY ROYAL GORGE RAILROAD
CRSH	Consolidated Rail Corporation
CS	COLORADO AND SOUTHERN RAILWAY
CSGQ	COLORADO SWEET GOLD
CSS	CHICAGO SOUTHSORE & SOUTH BEND RAILROAD
CSX	CSX TRANSPORTATION, INC.
CTM	Chicago Terminal Railroad
CTN	CANTON RAILROAD COMPANY
CTRR	CLOQUET TERMINAL RR CO INC
CTSR	CUMBRES AND TOLTEC SCENIC RAILROAD
CW	COLORADO & WYOMING RAILWAY COMPANY
CWA	CENTRAL WASHINGTON RAILROAD COMPANY
CWRO	Cleveland Works Railway Co.
CWRY	COMMONWEALTH RAILWAY, INCORPORATED
DGNO	Dallas, Garland and Northeastern Railroad, Inc.
DH	Delaware & Hudson Railway Co., Inc.
DL	DELAWARE LACKWANNA RAILROAD
DME	Dakota, Minnesota & Eastern Railroad Co.
DRIR	DENVER ROCK ISLAND RAILROAD
DSRR	Delta Southern Railroad Company
EERZ	ELLIS & EASTERN RAILROAD
EIRC	EASTERN ILLINOIS RAILROAD COMPANY
EIRR	Eastern Idaho Railroad
ELS	ESCANABA AND LAKE SUPERIOR RAILROAD CO.
EMRY	Eastern Maine Railway
EWG	EASTERN WASHINGTON GATEWAY RAILROAD
FCRD	FIRST COAST RAILROAD, INC.
FEC	Florida East Coast Railway LLC

Respondent

<u>Codes</u>	<u>Respondent Names</u>
FSR	FORT SMITH RAILROAD COMPANY
GDLK	GRAND ELK RAILROAD, LLC.
GITM	GOLDEN ISLES TERMINAL RAILROAD
GLC	GREAT LAKES CENTRAL RAILROAD
GRNW	Great Northwest Railroad
GRYR	Grenada Railway, LLC.
GSWR	GEORGIA SOUTHWESTERN RAILROAD DIVISION
GTRR	GT Rail, Inc.
GWR	GREAT WESTERN RAILWAY COMPANY
IAIS	Iowa Interstate Railroad
IANR	IOWA NORTHERN RAILWAY COMPANY
IHB	Indiana Harbor Belt Railroad Company
INPR	Idaho Northern And Pacific Railroad
INRD	The Indiana Rail Road Company
IORY	INDIANA & OHIO RAILWAY COMPANY
JAIL	Jackson & Lansing Railroad Company
KBSR	KANKAKEE, BEAVERVILLE AND SOUTHERN RR. CO.
KCS	The Kansas City Southern Railway Company
KCT	KANSAS CITY TERMINAL RAILWAY COMPANY
KO	Kansas & Oklahoma Railroad, Inc.
KRR	KIAMICHI RAILROAD CO., LLC.
LAJ	LOS ANGELES JUNCTION RAILWAY COMPANY
LAS	LOUISIANA SOUTHERN RAILROAD
LI	LONG ISLAND RAILROAD
MACZ	MARYLAND TRANSIT ADMINISTRATION
MBAX	Mass Bay Commuter Railroad
MBCR	MASSACHUSETTS BAY COMMUTER RAILROAD COMPANY, LLC
MBTA	MASSACHUSETTS BAY TRANSIT AUTHORITY
MEC	Maine Central Railroad Company
MNA	MISSOURI & NORTHERN ARKANSAS RAILROAD CO., INC.
MNCW	Metro-North Commuter Railroad Company
MNJ	Middletown & New Jersey Railroad, LLC.
MNR	Maine Northern Railway Company
MRL	Montana Rail Link
MSN	Meeker Southern Railroad
NCRC	Nebraska Central Railroad Company
NECR	NEW ENGLAND CENTRAL RAILROAD, INC.
NHN	New Hampshire North Coast Railroad
NJTR	NEW JERSEY TRANSIT RAIL OPERATIONS

Respondent

<u>Codes</u>	<u>Respondent Names</u>
NOPB	NEW ORLEANS PUBLIC BELT RAILROAD
NOW	Northern Ohio & Western Railway, LTD.
NVRR	NAPA VALLEY RAILROAD
NVWT	NAPA VALLEY WINE TRAIN
NYA	NEW YORK AND ATLANTIC RAILWAY COMPANY
OPPX	Omaha Public Power District
PAS	Pan Am Southern LLC.
PATH	Port Authority Trans-Hudson Corporation
PCMZ	CALTRAIN COMMUTER RAILROAD COMPANY
PNWR	PORTLAND AND WESTERN RAILROAD INC.
PSAN	PORT SAN ANTONIO
PSAP	PUGET SOUND & PACIFIC RAILROAD
PTO	PORTLAND TERMINAL (OREGON)
RBMN	Reading Blue Mountain & Northern Railroad Company
RJCM	R. J. CORMAN RAILROAD COMPANY
RJCP	R. J. Corman RR Co./Pennsylvania Lines, Inc.
RSIX	RailServe, Inc.
SAPT	SAVANNAH PORT TERMINAL RAILROAD
SCAX	Southern California Regional Rail Authority
SCIH	SOUTH CHICAGO & INDIANA HARBOR RAILWAY
SDIY	SAN DIEGO & IMPERIAL VALLEY RAILROAD CO., INC.
SEPA	Southeastern Pennsylvania Transportation Authority
SFRV	South Florida Regional Transportation Authority
SFS	SANTA FE SOUTHERN RAILWAY, INC.
SKOL	South Kansas and Oklahoma Railroad Company
SLOI	ST. LOUIS, IRON MOUNTAIN, & SOUTHERN
SM	St. Mary's Railroad Company
SOU	Norfolk Southern Railway Company
SRN	SABINE RIVER & NORTHERN RAILROAD COMPANY
ST	SPRINGFIELD TERMINAL RAILWAY COMPANY
SW	Southwestern Railroad, Inc.
TIBR	Timber Rock Railroad Company, Inc.
TNHR	Three Notch Railway, LLC
TRC	TRONA RAILWAY COMPANY
TRRA	TERMINAL RAILROAD ASSOCIATION OF ST. LOUIS
TXNW	TEXAS NORTHWESTERN RAILWAY COMPANY
UCRY	UTAH CENTRAL RAILWAY COMPANY
UP	Union Pacific Railroad Company
USRP	U.S. Rail Corporation

Respondent

<u>Codes</u>	<u>Respondent Names</u>
UTAH	UTAH RAILWAY COMPANY
WATX	WATCO Switching
WE	WHEELING & LAKE ERIE RAILWAY COMPANY
WGSB	Wabtec Global Services Houston
WRRB	WESTERN RAILROAD COMPANY
WSOR	WISCONSIN & SOUTHERN RAILROAD
WTNN	WEST TENNESSEE RAILROAD CORPORATION
WWRC	WILMINGTON AND WESTERN RAILROAD
XA1R	A-1 Railway Services
XACS	American Chemical Service, Inc.
XAWS	Archer Western Contractors
XBPK	BEAVER PACKAGING & CRATING, INC.
XBRI	BALFOUR BEATTY RAIL, INC.
XCCB	Coal City Cob
XCDL	CDL ELECTRIC COMPANY
XCEC	COLLINS ELECTRIC CO.
XCGS	CARGILL SWEETNERS NORTH AMERICA
XCHS	CHS, INC.
XCIH	ChemSolv Inc.
XCIT	CIT Rail
XCPO	Corn Products
XCRG	CENTRAL RAILGROUP CONSTRUCTION SERVICES, LLC
XCRO	CROSSTEX
XCRSV	COOPER RAIL SERVICES INC.
XCSH	CARESTREAM HEALTH
XCWP	CLEARWATER PAPER CORP.
XGAS	GERDAU AMERISTEEL SAYREVILLE
XGBR	GREENBRIER RAIL SERVICES
XGCQ	GULBRANDSEN COMPANY
XGLN	GLNX CORPORATION
XGTI	GEP TEK INC
XITS	ITS Technologies and Logistics
XMEC	Miller Electric Company
XMKW	Markwest Energy Partners, L.P.
XMPM	MOMENTIVE PERFORMANCE MATERIALS, INC.
XOTM	On-Track Maintenance and Construction
XPNS	PIONEER SAND COMPANY INC.
XRJZ	RJ Zavoral Contractor
XRRP	RAILROAD PROTECTIVE SERVICES, INC.

Respondent

<u>Codes</u>	<u>Respondent Names</u>
XRWT	Railworks MOW, Inc.
XUSE	U.S. ENVIRONMENTAL SERVICES, LLC
XWEL	W.E.L. Inc.
ZABEQ	Abengoa Bioenergy Corp.
ZACH	ASHTA CHEMICALS INC.
ZACQ	ACE ETHANOL LLC
ZACR	ADM CORN PROCESSING
ZADQ	Alberta Distillers Limited
ZADR	Archer Daniels Midland Co.
ZAEN	Altex Energy, Ltd.
ZAFQ	Afton Chemical Corporation
ZAG	Ash Grove Cement Company
ZAGT	AmeriGas Propane L.P.
ZAIA	The Andersons, Inc.
ZAIL	AIR LIQUIDE USA LLC
ZAJU	Adjuvants Unlimited, Inc.
ZAKM	Arkema Canada, Inc.
ZAKP	Anadarko Petroleum Corporation
ZALQ	Air Liquide Industrial U.S. LP
ZALTS	ALPHA TECHNICAL SERVICES
ZAMC	ARCHER DANIELS MIDLAND CO.
ZAMRI	AMERICAN RAILCAR INDUSTRIES
ZAOI	Astra Oil Company
ZAQA	Aquaquim, S.A. DE C.V.
ZARCI	ARIZONA CHEMICAL INC.
ZARGR	AMERICAN REFINING GROUP
ZARJ	Arrow Material Services
ZARO	ARROW MATERIAL SERVICES
ZASC	ASHLAND INC.
ZASK	ASK Chemicals LP
ZAUG	Agrium
ZAUX	AUX SABLE LIQUID PRODUCTS, INC.
ZAXI	Axiall Corporation
ZBACI	BAY AREA CONTAINER, INC.
ZBAE	BAYER MaterialScience LLC
ZBAS	BASF CORPORATION
ZBEF	BUCKEYE FLORIDA
ZBEO	Berthold Oil Terminal
ZBEP	Buckeye Partners

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZBFS	Barcas Field Services, LLC.
ZBGL	Brenntag Great Lakes, LLC.
ZBGW	BIG WEST OF CALIFORNIA
ZBIO	BIO-LAB INC.
ZBKO	Bakken Oil Express LLC
ZBMS	BRENNTAG MID-SOUTH, INC.
ZBOB	Boucher Brothers Services
ZBOH	Bohan Rail Express
ZBORE	BORDEN & REMINGTON CORPORATION
ZBPA	BP America, Inc.
ZBPC	BP AMOCO
ZBPO	BP Oil Company
ZBPWC	B.P. WEST COAST PRODUCTS
ZBSF	BASF CATALYSTS
ZBTM	Buckeye Terminals LLC-Macungie
ZBTS	BRENNTAG SOUTHEAST, INC.
ZBTZ	Bio Trans Intermodal
ZBUI	Buckeye International, Inc.
ZBWI	BOWATER, INC.
ZBYU	Bayou Railcar Services, Inc.
ZCACT	CELANESE ACETATE
ZCAL	CALCO SHIP AGENCY INC.
ZCAM	CALIFORNIA AMMONIA COMPANY
ZCAX	Canexus Corporation
ZCBM	CROWN BATTERY MANUFACTURING COMPANY INC
ZCBS	CBSL TRANSPORTATION SERVICES
ZCCB	CARTER CHAMBERS LLC
ZCCM	CARGILL-CORN MILLING DIVISION
ZCCN	Clearon Corporaton
ZCCY	CORAL CHEMICAL COMPANY
ZCDA	Canada Colors & Chemicals LTD.
ZCDL	Cardinal Ethanol, LLC
ZCDQ	CROSSROADS CARRIERS
ZCEB	CLEAN HARBORS OF BRAINTREE, INC.
ZCEE	Centennial Energy
ZCEF	CHIEF ETHANOL FUELS
ZCEH	CENEX HARVEST STATES
ZCELA	Celanese
ZCENX	CENEX CORPORATION

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZCES	CLEAN HARBORS SAN JOSE, LLC
ZCEY	Cetane Energy LLC
ZCFP	Central Florida Pipeline Co.
ZCFQ	CONAGRA/CROMPMATE FERTILIZER COMPANY
ZCFS	C.F. Industries
ZCFV	Coffeyville Resources Nitrogen Fertilizers, LLC
ZCFX	CN CargoFlo
ZCGL	Cargill Incorporated
ZCHB	CLEAN HARBORS OF BALTIMORE
ZCHJ	Chryso, Inc.
ZCHQ	CORNHUSKER ENERGY LEXINGTON LLC
ZCHS	CLEAN HARBORS SERVICES, INC.
ZCHT	Chemical Transfer Company
ZCHV	CHEVRON CHEMICAL CO.
ZCHX	CLEAN HARBORS ENVIRONMENTAL SERVICES, INC.
ZCII	COLONIAL OIL INDUSTRIES
ZCIT	CITY TRANSFER INC
ZCLCI	CELANESE CANADA INC.
ZCLG	CHEM LOGIX
ZCLP	CELANESE PAMPA LTD PLANT
ZCLX	CHEMTRADE LOGISTICS
ZCMC	CROWLEY MARITIME CORP.
ZCMM	Camco Manufacturing, Inc.
ZCMP	CHEMICAL PRODUCTS CORPORATION
ZCMT	COMET CHEMICAL COMPANY, LTD.
ZCNI	CONOCO, INCORPORATED
ZCNM	C&N MARKETING COMPANIES
ZCNS	COSCO NORTH AMERICA
ZCOH	Conchemco Inc.
ZCOLD	COLDIRON FUEL STORAGE
ZCONL	CONTINENTAL CARBON COMPANY
ZCORN	CORN PLUS
ZCOU	Country Mark
ZCOX	CLOROX COMPANY
ZCPCL	Chevron Phillips Chemical Company LP
ZCPG	CONTAINER PORT GROUP
ZCPR	CITGO PETROLEUM CORP.
ZCPSI	CROP PRODUCTION SERVICE, INC.
ZCRC	LION COPOLYMER

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZCRD	Colorado Interstate Gas
ZCRP	CARPENTER COMPANY
ZCSP	CHEVROLET S & B PLANT
ZCSPI	CHEMICAL SPECIALTIES, INC.
ZCSU	Calumet Superior, LLC
ZCSX	CSX INTERMODAL TERMINALS, INC.
ZCT	COLONIAL TERMINALS
ZCTC	CHEMSERVE TERMINAL CO.
ZCTD	Central Crude
ZCTN	Consolidated Terminal & Logistics
ZCTU	CHEMTURA
ZCTX	CALTRAX INC
ZCUL	CUL MAC INDUSTRIES
ZCVE	CHIPPEWA VALLEY ETHANOL COMPANY
ZCVN	CHEVRON PIPE LINE COMPANY
ZCVO	Chevron Oronite
ZCWHP	COWHOUSE PARTNERS, L.L.C.
ZCWT	Crowley Tar Company
ZCXD	CHEMICAL SOLVENTS, INC.
ZCXU	Canexus Corporation
ZDBW	D.B. WESTERN, INC
ZDCS	DUPONT CHEMICAL SOLUTIONS ENTERPRISE
ZDCU	The Dow Chemical Company
ZDGC	Diageo Canada, Inc.
ZDKE	DAKOTA ETHANOL
ZDKI	D/K ENVIRONMENTAL
ZDMX	DuPont de Mexico S.A. de C.V
ZDSM	DSM Chemicals North America, Inc.
ZDTLP	DELTA TRADING LP
ZDTR	DOMINION TRANSMISSION, INC.
ZDUP	E.I. DUPONT DE NEMOURS AND COMPANY
ZDWC	Delaware City Refining Company LLC
ZDYI	DYNO NOBEL, INC.
ZEACH	EASTMAN CHEMICAL COMPANY
ZECT	EAST COAST RELOAD LLC
ZEDC	EL DORADO CHEMICAL COMPANY
ZEEG	Enserco Energy LLC
ZEEM	Enbridge
ZEGR	Evergreen Transport, Inc.

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZELEM	Elementis Chromium Inc.
ZEMB	ExxonMobil Pipeline Company
ZENP	ENERGY PARTNERS
ZEOB	ECOLAB, Inc.
ZEOR	EOG Resources, Inc.
ZEPC	Enterprise Products Operating LLC
ZEQU	EQUISTAR CHEMICALS LP
ZERV	Elbow River Marketing Ltd
ZEVC	EVONIK CYRO LLC
ZEVD	Evonik Corporation
ZEXM	EXXONMOBIL
ZFCE	FCC ENVIRONMENTAL
ZFHR	FLINT HILLS RESOURCES
ZFRQ	POET Biorefining-Gowrie
ZGACC	GENERAL ALUM & CHEMICAL CORP.
ZGAL	Green America Recycling, LLC
ZGAN	Global Partners LP
ZGATX	GATX Corporation
ZGFL	GAVILON FERTILIZER, LLC.
ZGLB	GLOBAL PETROLEUM CORP.
ZGLQ	Global Companies
ZGMN	GENERAL CHEMICAL CORP.
ZGNI	THE GNI GROUP, INC.
ZGPJ	Graphic Packaging Intl.
ZGRAY	Gray Oil Company
ZGSR	Gas Supply Resources, LLC.
ZGSZ	SGS
ZGZC	Guangdong Zhongcheng Chemicals Inc., Ltd.
ZHAR	Harcros Chemicals Inc.
ZHES	HERITAGE ENVIRONMENTAL SERVICES, INC.
ZHET	POET Biorefining-Jewell
ZHFO	Houston Fuel Oil Terminal Co.
ZHNI	Honeywell International Inc.
ZHPA	Hiland Partners
ZHSL	Hunt Southland Refining Company
ZHUNT	HUNT REFINING COMPANY
ZIEN	Ineos Nitriles
ZIM	ZIM-AMERICAN ISRAELI SHIPPING COMPANY
ZIMA	INTERPLASTIC CORPORATION

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZIMO	Imperial Oil Limited
ZIMT	IMTT, INC.
ZIMTB	IMTT BAYONNE
ZINS	ITS Technologies & Logistics, LLC.
ZINTT	International Matex Tank Terminals
ZIOCO	INTERSTATE OIL COMPANY
ZIOF	Ineos Olefins Polymers USA
ZIP	INTERNATIONAL PAPER COMPANY
ZIPB	INNOPHOS INC
ZIPI	INEOS PHENOL, INC.
ZIRO	IRVING OIL COMPANY
ZISG	Ice Service Group Inc.
ZITGC	INTERGULF CORPORATION
ZITT	INTERCONTINENTAL TERMINALS COMPANY
ZITX	Itero Energy
ZJRS	J. R. SIMPLOT COMPANY
ZJVE	POET Biorefining-Groton
ZKDM	Kinder Morgan Energy Partners, L.P.
ZKEL	KAAPA ETHANOL LLC
ZKME	KINDER MORGAN ENERGY PARTNERS
ZKML	Kinder Morgan Liquids Terminals, LLC
ZKMQ	Kinder Morgan Terminal, Inc.
ZKOR	KERN OIL AND REFINING COMPANY
ZKPI	Koppers Inc.
ZLAM	LUBRIZOL Advanced Materials, Inc.
ZLQT	LIQUIDS TRANSLOADING
ZLUB	Lubrizol Corporation
ZMED	MEDITERRANEAN SHIPPING COMPANY (USA), INC.
ZMGD	MGPI of Indiana, LLC
ZMIP	MAERSK LINE INC.
ZMNS	MAGNUM SOLVENT, INC.
ZMOM	Momentive Specialty Chemicals Inc.
ZMTT	Midwest Terminals of Toledo International, Inc.
ZMUSK	MUSKET CORPORATION
ZNAL	Nalco Company
ZNBS	NOBLE OIL SERVICES, INC.
ZNCL	Nu Chem LTD.
ZNDM	Domtar Paper Company LLC
ZNSE	NUSTAR TERMINALS PARTNERS TEXAS, L.P.

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZOEC	Orion Engineered Carbons LLC
ZOKH	ONEOK Hydrocarbon, L.P.
ZOLI	OLIN CORPORATION
ZOMP	OMEGA PARTNERS
ZOTT	Oiltanking Texas City L.P.
ZOXV	OxyVinyls, LP
ZPBO	POET BIOREFINING-Mitchell
ZPCM	Peter Cremer Company
ZPDY	Polydyne, Inc.
ZPEK	Pacer Energy Marketing, LLC
ZPES	Petroleum Solutions Inc.
ZPFP	PENFORD PRODUCTS
ZPHN	Philadelphia Energy Solutions
ZPNF	PCS Nitrogen Fertilizer
ZPRP	PRAIRIE PRIDE, INC.
ZPVS	PVS Chemicals, Inc.
ZPWP	Pathway Polymers
ZQGM	QEP Field Services
ZRAY	RAYONIER, INC.
ZRCA	Ruetgers Canada, Inc.
ZRCQ	REAGENT CHEMICAL & RESEARCH
ZRCY	Reichhold Industries, Inc.
ZRCZ	ROBERTS CHEMICAL CO., INC.
ZRHD	RHODIA, INC.
ZRKM	Rocky Mountain Transload
ZRLC	Greenwood Motor Line
ZRLI	Rail Logistics Company, Inc.
ZRLP	Rancho LPG Holdings LLC
ZRNS	Renessenz LLC
ZRPL	REGAL PETROLEUM COMPANY
ZRPM	Renewable Product Marketing Group
ZRST	RST INDUSTRIES, LTD
ZRTL	RAIL AND TRANSLOAD INC
ZRVM	Revett Minerals - Troy Mine Inc.
ZSASN	SASOL CHEMICALS NORTH AMERICA
ZSCT	SOUTH COAST TERMINALS
ZSET	STERLING ETHANOL LLC
ZSEU	SUNCOR ENERGY (USA), INC.
ZSHIN	Savage Safe Handling

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZSHL	Shell Canada Products
ZSHQ	Shintech, Inc.
ZSIND	SEELER INDUSTRIES
ZSKI	Safety-Kleen Systems, Inc.
ZSMZ	SAIA Motor Freight Line, LLC
ZSNR	Sun Products Corporation
ZSRA	SAFETY RAILWAY SERVICE
ZSRE	Suncor Energy Products, Inc.
ZSSCO	SAVAGE SERVICES CORPORATION
ZSSF	Savage Flexi Flow
ZSSP	Southern States Chemical
ZSST	Strobel Starostka Transfer
ZSTI	STARTEX, INC.
ZSUA	Superior Carriers
ZSWR	SINCLAIR WYOMING REFINING CO.
ZTAM	TAMINCO US INC.
ZTDL	TDC LLC
ZTERM	TESORO REFINING AND MARKETING CO.
ZTLY	TATE & LYLE INGREDIENTS AMERICAS, INC.
ZTTL	Titan Lansing Transloading, LLC
ZUCL	UNIVAR CANADA LTD.
ZULM	Ultramar, Ltd.
ZUMQ	US MAGNESIUM LLC
ZUNA	UNOCAL
ZUNC	Union Carbide Corporation
ZUNIV	UNIVAR USA INC.
ZUNT	UNITED SUPPLIERS, INC.
ZUOC	Union Oil Company of California
ZUPT	UPS FREIGHT
ZVGP	Vopak Terminal Galena Park, Inc.
ZVGT	VAN-G LOGISTICS
ZWATC	Watco Companies LLC
ZWCA	WESTLAKE CA. AND O CORPORATION
ZWIQ	Williams Energy Co.
ZWOK	WestOK Logistics, LLC
ZWSY	Westlake Styrene Corp.
ZWTS	Watco Transportation Services
ZYET	Yuma Ethanol, LLC
ZZCP	Crescent Point Resources, Ltd.

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZZCS	Calumet Specialty Products Partners, LP
ZZEF	Zeeland Farm Services, Inc.