

**Federal
Railroad
Administration**

Fiscal Year 2012

Enforcement Report

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Federal Railroad Administration Fiscal Year 2012 Enforcement Report

I. INTRODUCTION

The Federal Railroad Administration (FRA) has for at least the past 27 years 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 By law, FRA is authorized to endeavor 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 FRA is also authorized to issue 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 2012:

- 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;

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) 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. 1.49.

² 49 U.S.C. ch. 213, and 31 U.S.C. § 3711.

³ 49 U.S.C. ch. 51; 49 C.F.R. 1.49; 49 C.F.R. part 209.

⁴ 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. These sections are codified at 49 U.S.C. §§ 20120 and 103, note, respectively.

- 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).

**II. SUMMARY OF INSPECTIONS AND AUDITS PERFORMED AND
OF ENFORCEMENT ACTIONS RECOMMENDED
IN FY 2012**

**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: 71,405
Defects: 299,607
Units: 3,080,953
Number of Observations: 293,646
Number of Reports with a Recommended Violation: 4,018
Number of Recommended Violation Defects: 15,085
Number of Inspection Days: 54,261

2. Railroads Only

Number of Inspection Reports: 65,685
Defects: 282,590
Units: 3,005,243
Number of Observations: 273,472
Number of Reports with a Recommended Violation: 3,310
Number of Recommended Violation Defects: 13,311
Number of Inspection Days: 51,302

**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	335

2. Grade Crossing Signal System Safety

Violation Type	Number of Recommended Violations
Grade Crossing Signal Safety	179

3. Hazardous Materials

Violation Type	Number of Recommended Violations
Hazardous Materials Regulations	2,151

4. Motive Power and Equipment

Violation Type	Number of Recommended Violations
Freight Car Safety Standards	494
Locomotive Safety Standards	428
Passenger Equipment Safety Standards	52
Passenger Train Emergency Preparedness	2
Rear End Marking Devices	1
Safety Appliance Statutes and Regulations	1,329
Safety Glazing Standards	4
All	2,310

5. Railroad Operating Practices

Violation Type	Number of Recommended Violations
Alcohol and Drug Use	74
Engineer Qualifications	51
Hours of Service Laws and Regulations	585
Railroad Communications	108
Railroad Operating Practices	627
Railroad Operating Rules	33
Railroad Safety Enforcement Procedures	65
Train Horn/Quiet Zone	5
All	1,548

6. Signal System Safety

Violation Type	Number of Recommended Violations
Signal Inspection Regulations	145

7. Track

Violation Type	Number of Recommended Violations
Bridge Worker Safety Standards	2
Roadway Worker Protection	74
Track Safety Standards	8,377
All	8,453

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

1. Class I Railroads

Number of Inspection Reports: 48,943
Defects: 212,155
Units: 2,453,575
Number of Observations: 206,863
Number of Reports with a Recommended Violation: 2,754
Number of Recommended Violation Defects: 11,848
Number of Inspection Days⁵: 39,181

2. Probable Class II Railroads⁶

Number of Inspection Reports: 2,183
Defects: 12,614
Units: 117,914
Number of Observations: 9,468
Number of Reports with a Recommended Violation: 58
Number of Recommended Violation Defects: 102
Number of Inspection Days: 1,855

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.

⁶ FRA has identified seven of the eight Class I railroads based on their filings of information for calendar year 2011—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.). As a general rule, 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; Montreal, Maine and Atlantic Railway, Ltd.; Portland & Western Railroad, Inc.; Springfield Terminal Railway Co. and other regional railroads of Boston & Maine Corp., Maine Central Railroad Co., and Portland Terminal Co. (all held by Pan Am Railways, Inc.); Wheeling & Lake Erie Railway Co.; and Wisconsin & Southern Railroad Co. It should be noted that switching and terminal railroads are, by definition, classified as Class III railroads, without regard to their annual operating revenues. 49 C.F.R. 1201.1-1(d).

3. Probable Class III Railroads

Number of Inspection Reports: 14,559
Defects: 57,821
Units: 433,754
Number of Observations: 57,141
Number of Reports with a Recommended Violation: 498
Number of Recommended Violation Defects: 1,361
Number of Inspection Days: 12,211

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

1. BNSF Railway Company

Number of Inspection Reports: 9,294
Defects: 49,379
Units: 421,658
Number of Observations: 37,376
Number of Reports with a Recommended Violation: 686
Number of Recommended Violation Defects: 8,012
Number of Inspection Days: 7,740

2. Canadian National Railway/Grand Trunk Corporation

Number of Inspection Reports: 2,745
Defects: 9,208
Units: 156,518
Number of Observations: 11,708
Number of Reports with a Recommended Violation: 140
Number of Recommended Violation Defects: 423
Number of Inspection Days: 2,324

3. Canadian Pacific Railway/Soo Line Railroad Company

Number of Inspection Reports: 1,251
Defects: 6,086
Units: 75,252
Number of Observations: 5,585
Number of Reports with a Recommended Violation: 56
Number of Recommended Violation Defects: 164
Number of Inspection Days: 1,096

4. CSX Transportation, Inc.

Number of Inspection Reports: 11,465
Defects: 52,107
Units: 582,127
Number of Observations: 50,463
Number of Reports with a Recommended Violation: 415
Number of Recommended Violation Defects: 705
Number of Inspection Days: 9,627

5. The Kansas City Southern Railway Company

Number of Inspection Reports: 1,342
Defects: 5,048
Units: 53,189
Number of Observations: 5,335
Number of Reports with a Recommended Violation: 88
Number of Recommended Violation Defects: 137
Number of Inspection Days: 1,105

6. National Railroad Passenger Corporation (Amtrak)

Number of Inspection Reports: 1,793
Defects: 2,109
Units: 25,937
Number of Observations: 7,380
Number of Reports with a Recommended Violation: 43
Number of Recommended Violation Defects: 60
Number of Inspection Days: 1,472

7. Norfolk Southern Railway Company

Number of Inspection Reports: 8,453
Defects: 38,650
Units: 502,879
Number of Observations: 36,169
Number of Reports with a Recommended Violation: 514
Number of Recommended Violation Defects: 672
Number of Inspection Days: 7,173

8. Union Pacific Railroad Company

Number of Inspection Reports: 12,600

Defects: 49,568

Units: 636,015

Number of Observations: 52,847

Number of Reports with a Recommended Violation: 812

Number of Recommended Violation Defects: 1,675

Number of Inspection Days: 10,408

III. CIVIL PENALTY ASSESSMENT AND SETTLEMENT SUMMARIES IN FY 2012

A. IN GENERAL⁷

Summary 1

Assessment and Settlement Summary 1, below, reflects—

- the number of violations for which civil penalties were initially assessed and violation reports were transmitted to respondents (under demand letters or, in cases under the hazmat laws, notices of probable violation) during FY 2012;
- the number of violation reports enforcement of which was declined during legal review in FY 2012;
- the initial amount of civil penalties assessed for violations during FY 2012 (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 2012 and transmitted to a respondent) regardless of whether or not the cases were closed during FY 2012;
- 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 that were settled or otherwise closed (e.g., by FRA’s issuance of order finally assessing a civil penalty in an HMT case or by the respondent’s paying the civil penalty in full without entering into a settlement agreement with FRA) during FY 2012; and
- the final amount of the settlement (or the final amount of the civil penalties assessed) during FY 2012.⁸

Summary 1 provides a broad overview of penalties initially assessed during FY 2012, the initial penalty assessment for cases closed during FY 2012, and the amount of the settlement or the final assessment of civil penalty, with an emphasis on the initial assessment of civil penalties.

Summary 2

To provide more transparency, Assessment and Settlement Summary 2, below, reflects initial assessment information only for those cases closed during FY 2012. **All numbers in Summary 2 reflect the initial assessments that resulted in FY 2012 settlements even though the initial assessments may have occurred in a prior fiscal year.** This summary provides the reader with

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 dollar in this report.

(1) the difference between the initial amount of civil penalties assessed and the settlement (or final assessment) amount, and (2) the difference between the revised assessment amount (or what 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 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 the information is provided, 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

Total number of cases with civil penalties initially assessed in FY 2012:	3,264
Total number of violations with civil penalties initially assessed in FY 2012:	6,948
Total number of violation reports declined during legal review in FY 2012:	507
Total initial amount of civil penalties assessed (POCA) for violations in cases transmitted in FY 2012:	\$25,092,500
Total initial amount of civil penalties assessed (POCA) for violations in cases finally assessed or settled in FY 2012:	\$26,666,000
Total final civil penalty assessment or settlement in FY 2012:	\$16,568,509

C. BREAKDOWN OF INITIAL ASSESSMENTS IN SUMMARY 1

1. For Each Class I Railroad Individually in FY 2012

BNSF RAILWAY COMPANY

Number of cases with civil penalties initially assessed:	458
Number of violations with civil penalties initially assessed:	1,478
Number of violation reports declined during legal review:	94
Initial amount of civil penalty assessed:	\$4,746,500

CANADIAN NATIONAL RAILWAY/GRAND TRUNK CORPORATION

Number of cases with civil penalties initially assessed:	122
Number of violations with civil penalties initially assessed:	249
Number of violation reports declined during legal review:	28
Initial amount of civil penalty assessed:	\$756,000

CANADIAN PACIFIC RAILWAY/SOO LINE RAILROAD COMPANY

Number of cases with civil penalties initially assessed:	97
Number of violations with civil penalties initially assessed:	168
Number of violation reports declined during legal review:	9
Initial amount of civil penalty assessed:	\$353,500

CSX TRANSPORTATION, INC.

Number of cases with civil penalties initially assessed:	327
Number of violations with civil penalties initially assessed:	699
Number of violation reports declined during legal review:	70
Initial amount of civil penalty assessed:	\$2,207,000

THE KANSAS CITY SOUTHERN RAILWAY COMPANY

Number of cases with civil penalties initially assessed:	81
Number of violations with civil penalties initially assessed:	179
Number of violation reports declined during legal review:	19
Initial amount of civil penalty assessed:	\$582,500

NATIONAL RAILROAD PASSENGER CORPORATION (AMTRAK)

Number of cases with civil penalties initially assessed:	112
Number of violations with civil penalties initially assessed:	127
Number of violation reports declined during legal review:	9
Initial amount of civil penalty assessed:	\$382,500

NORFOLK SOUTHERN RAILWAY COMPANY

Number of cases with civil penalties initially assessed:	259
Number of violations with civil penalties initially assessed:	462
Number of violation reports declined during legal review:	65
Initial amount of civil penalty assessed:	\$1,711,500

UNION PACIFIC RAILROAD COMPANY

Number of cases with civil penalties initially assessed: 506
Number of violations with civil penalties initially assessed: 1,347
Number of violation reports declined during legal review: 77
Initial amount of civil penalty assessed: \$5,060,500

2. For Probable Class II Railroads in Aggregate in FY 2012

Number of cases with civil penalties initially assessed: 61
Number of violations with civil penalties initially assessed: 83
Number of violation reports declined during legal review: 2
Initial amount of civil penalty assessed: \$265,000

3. For Probable Class III Railroads in Aggregate in FY 2012

Number of cases with civil penalties initially assessed: 524
Number of violations with civil penalties initially assessed: 936
Number of violation reports declined during legal review: 95
Initial amount of civil penalty assessed: \$3,278,000

4. For Hazmat Shippers in Aggregate in FY 2012

Number of cases with civil penalties initially assessed: 657
Number of violations with civil penalties initially assessed: 1,055
Number of violation reports declined during legal review: 34
Initial amount of civil penalty assessed: \$5,332,000

5. For Contractors in Aggregate in Fiscal Year 2011

Number of cases with civil penalties initially assessed:	58
Number of violations with civil penalties initially assessed:	163
Number of violation reports declined during legal review:	5
Initial amount of civil penalty assessed:	\$412,500

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

Total number of cases closed in FY 2012:	3,432
Total number of violations in cases closed in FY 2012:	7,155
Total initial amount of civil penalty assessed for cases closed (POCA):	\$26,666,000
Total final amount of civil penalty assessed or settlement for cases closed:	\$16,568,509
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$2,714,000
Amount of revised assessment after terminations (PRCA):	\$23,952,000
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$10,097,491
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$7,383,491

E. BREAKDOWN OF SETTLEMENTS AND FINAL ASSESSMENTS IN SUMMARY 2

1. For Each Class I Railroad Individually in FY 2012

BNSF RAILWAY COMPANY

Number of cases closed:	413
Number of violations in cases closed:	1,187

Initial amount of civil penalty assessed for cases closed (POCA):	\$4,151,000
Final amount of civil penalty assessed or settlement for cases closed:	\$2,585,405
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$267,500
Amount of revised assessment after terminations (PRCA):	\$3,883,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$1,565,595
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$1,298,095

CANADIAN NATIONAL RAILWAY/GRAND TRUNK CORPORATION

Number of cases closed:	140
Number of violations in cases closed:	283
Initial amount of civil penalty assessed for cases closed (POCA):	\$914,500
Final amount of civil penalty assessed or settlement for cases closed:	\$586,640
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$65,000
Amount of revised assessment after terminations (PRCA):	\$849,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$327,860
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$262,860

CANADIAN PACIFIC RAILWAY/SOO LINE RAILROAD COMPANY

Number of cases closed:	74
Number of violations in cases closed:	143

Initial amount of civil penalty assessed for cases closed (POCA):	\$375,500
Final amount of civil penalty assessed or settlement for cases closed:	\$254,065
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$2,500
Amount of revised assessment after terminations (PRCA):	\$373,000
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$121,435
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$118,935

CSX TRANSPORTATION, INC.

Number of cases closed:	358
Number of violations in cases closed:	785
Initial amount of civil penalty assessed for cases closed (POCA):	\$2,500,000
Final amount of civil penalty assessed or settlement for cases closed:	\$1,550,958
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$144,500
Amount of revised assessment after terminations (PRCA):	\$2,355,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$949,042
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$804,542

THE KANSAS CITY SOUTHERN RAILWAY COMPANY

Number of cases closed:	62
Number of violations in cases closed:	132
Initial amount of civil penalty assessed for cases closed (POCA):	\$457,000

Final amount of civil penalty assessed or settlement for cases closed:	\$296,550
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$0
Amount of revised assessment after terminations (PRCA):	\$457,000
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$160,450
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$160,450

NATIONAL RAILROAD PASSENGER CORPORATION (AMTRAK)

Number of cases closed:	64
Number of violations in cases closed:	74
Initial amount of civil penalty assessed for cases closed (POCA):	\$196,000
Final amount of civil penalty assessed or settlement for cases closed:	\$137,000
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$0
Amount of revised assessment after terminations (PRCA):	\$196,000
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$59,000
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$59,000

NORFOLK SOUTHERN RAILWAY COMPANY

Number of cases closed:	338
Number of violations in cases closed:	589
Initial amount of civil penalty assessed for cases closed (POCA):	\$2,230,000

Final amount of civil penalty assessed or settlement for cases closed:	\$1,421,595
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$95,500
Amount of revised assessment after terminations (PRCA):	\$2,134,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$808,405
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$712,905

UNION PACIFIC RAILROAD COMPANY

Number of cases closed:	538
Number of violations in cases closed:	1,467
Initial amount of civil penalty assessed for cases closed (POCA):	\$5,710,500
Final amount of civil penalty assessed or settlement for cases closed:	\$3,681,025
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$542,500
Amount of revised assessment after terminations (PRCA):	\$5,168,000
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$2,029,475
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$1,486,975

2. For Probable Class II Railroads in Aggregate in FY 2012

Number of cases closed:	68
Number of violations in cases closed:	118
Initial amount of civil penalty assessed for cases closed (POCA):	\$402,000

Final amount of civil penalty assessed or settlement for cases closed:	\$280,925
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$6,000
Amount of revised assessment after terminations (PRCA):	\$396,000
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$121,075
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$115,075

3. For Probable Class III Railroads in Aggregate in FY 2012

Number of cases closed:	682
Number of violations in cases closed:	1,252
Initial amount of civil penalty assessed for cases closed (POCA):	\$4,178,500
Final amount of civil penalty assessed or settlement for cases closed:	\$2,411,785
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$482,000
Amount of revised assessment after terminations (PRCA):	\$3,696,500
Difference between initial civil penalty assessment (POCA) and final settlement amount for cases closed:	\$1,766,715
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$1,284,715

4. For Hazmat Shippers in Aggregate in FY 2012

Number of cases closed:	655
Number of violations in cases closed:	1,036
Initial amount of civil penalty assessed for cases closed (POCA):	\$5,232,500

Final amount of civil penalty assessed or settlement for cases closed:	\$3,187,186
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$1,018,500
Amount of revised assessment after terminations (PRCA):	\$4,214,000
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$2,045,314
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$1,026,814

5. For Contractors in Aggregate in FY 2012

Number of cases closed:	40
Number of violations in cases closed:	88
Initial amount of civil penalty assessed for cases closed (POCA):	\$316,000
Final amount of civil penalty assessed or settlement for cases closed:	\$172,875
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$90,000
Amount of revised assessment after terminations (PRCA):	\$226,000
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$143,125
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$53,125

IV. ENFORCEMENT ACTIONS AGAINST INDIVIDUALS

A. CIVIL PENALTY CASES AGAINST INDIVIDUALS IN AGGREGATE

Total number of civil penalty cases initially assessed in FY 2012:	1
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Total number of violations with civil penalties initially assessed in FY 2012:	1
Total initial amount of civil penalty assessed in FY 2012:	\$1,000
Number of civil penalty cases closed in FY 2012:	1
Total number of violations in cases closed in FY 2012:	1
Total initial amount of civil penalty assessed for cases closed in FY 2012:	\$5,000
Total final amount of civil penalty assessed (or settlement) for cases closed in FY 2012:	\$650
Amount terminated (generally due to legal defenses presented during settlement negotiations) for cases closed in FY 2012:	\$0
Amount of revised assessment (PRCA) after terminations:	\$5,000
Difference between revised civil penalty assessment (PRCA) and final civil penalty assessment for cases closed in FY 2012:	\$4,350
Difference between initial amount of civil penalty assessed (POCA) and final settlement amount for a violation in a case closed in FY 2012	\$4,350

B. OTHER ENFORCEMENT ACTIONS AGAINST INDIVIDUALS IN AGGREGATE

Number of notices of proposed disqualification issued and served in FY 2012:	1
Number of proposed disqualification cases closed in FY 2012:	1
Number of warning letters issued by Office of Chief Counsel in FY 2012:	1
Number of warning letters issued by regional offices of FRA Office of Railroad Safety (regional warning letters) in FY 2012:	24

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

A. IN GENERAL

As FRA pointed out in its first enforcement report under 49 U.S.C. § 20120, the agency has long sought to ascertain whether safety enforcement measures in general or the imposition of civil penalties in particular is measurably correlated 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 cannot be used 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, we do carefully monitor railroad reactions and responses to enforcement activity, and adjust the intensity and duration of focused oversight as necessary. FRA does compile and analyze a very large universe of data derived from reports filed with FRA by the regulated railroads. Previous research has found that data 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, isolating FRA civil penalty enforcement from the myriad other factors affecting safety outcomes, such as railroad and rail worker behavior and activity, is not possible. Examining FRA's regulatory regime demands holistic consideration. Specific regulatory provisions in combination sometimes complement one another in minimizing or preventing conditions that contribute to an accident. But the plenitude and variability of regulatory provisions obscure the effect of some and diffuse the effect of any single association that might be made.

B. 2009 REPORT TO CONGRESS ON USE OF CIVIL PENALTIES IN THE FEDERAL RAILROAD SAFETY PROGRAM

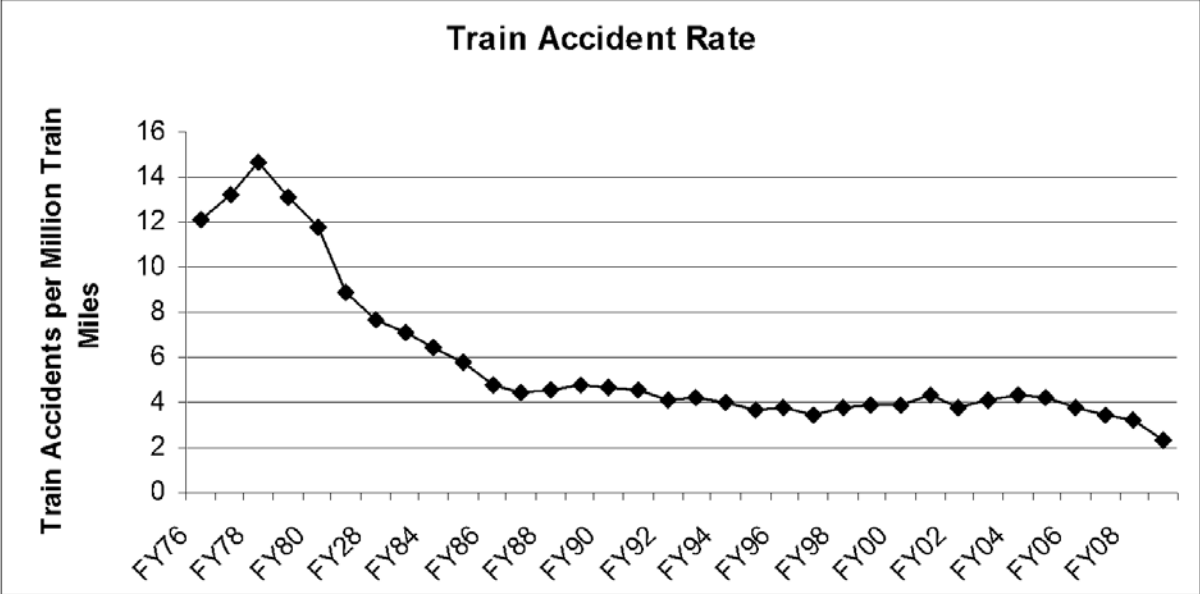
A report to Congress on "The Federal Railroad Administration's Use of Civil Penalties in the Federal Railroad Safety Program" was attached to FRA's enforcement report for FY 2009 and is referenced here because it addresses FRA's approach to achieving industry compliance with the

Federal railroad safety laws and the hazmat safety laws and their implementing regulations and the place of civil penalties in that process. This report was submitted 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 report concludes that FRA's use of the statutory authority to compromise civil penalty assessments serves the purpose of compliance by ensuring that the enforcement process is proportional in those cases in which penalties are assessed.

As stated in the report,

One 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.

Id., p. 41.



VI. SUMMARY AND ANALYSIS OF LOCOMOTIVE ENGINEER CERTIFICATION CASES

A. LOCOMOTIVE ENGINEER REVIEW BOARD (LERB)

Petitions for relief filed with the LERB in FY 2012:	59
Decisions issued by the LERB in FY 2012: (An additional 8 decisions were issued between October 1, 2011, and December 2, 2011.)	63
Average length of time for decision in FY 2012 (195 days from the date of the railroad's response to the appeal to the date a decision was issued ¹⁰)	210 days from the date petition filed ⁹

B. ADMINISTRATIVE HEARINGS

Number of pending cases before the Administrative Hearing Officer (AHO) as of October 1, 2012:	5
Number of requests for review by the AHO received during FY 2012:	5
Number of cases closed by the AHO during FY 2012: (This number includes decisions and all cases disposed of by stipulation or dismissal.)	8
Number of pending AHO cases as of September 30, 2012:	2
Average length of time for decision or other disposition:	8 months

C. APPEALS TO THE ADMINISTRATOR

Appeals to the Administrator from the AHO decisions filed in FY 2012:	1
Number of Appeals Pending during FY 2012: (as of October 1, 2011, there was 1 case pending)	2
Decisions issued by the Administrator during FY 2012:	1

⁹ This excludes any delay caused by the issuance of an interim order where one or more of the parties initially provided incomplete information.

¹⁰ *Id.*

Average length of time for decision issued in FY 2012: 862 days
(from close of record to decision)

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

Number of hearings requested in FY 2012: 0

Number of hearing-request cases completed in FY 2012: 0

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

Number of cases referred to the Attorney General for civil enforcement in FY 2012: 0

Number of cases referred to the Attorney General for criminal enforcement in FY 2012: 0

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

On June 6 FRA's Administrator issued Emergency Order No. 27, which requires that the Gulf, Colorado & San Saba Railway (GCSR), a short line railroad, immediately discontinue operation of any train or rail vehicle through a particular highway-rail grade crossing in Brady, Texas. The order was published in the Federal Register on June 12. See Volume 77 of the Federal Register, page 35108 (77 Fed. Reg. 35108). The emergency order provides that the railroad must apply for FRA approval prior to resuming any operation through the crossing. The active warning system at the crossing had been out of service for more than two years, and a number of school buses had been traversing the crossing. On July 3 the railroad filed for Chapter 11 bankruptcy protection. On August 13, the bankruptcy trustee for the reorganization of the railroad agreed voluntarily to shut down the railroad's operation on a temporary basis in light of the substandard conditions of the railroad's infrastructure. After instituting a number of repairs to its track and bridges, GCSR resumed operations on September 10. However, FRA continues to closely monitor the situation to ensure that GCSR addresses the safety issues with its track, bridges, and grade crossing signal systems.

APPENDIX A
“Railroad Safety Civil Penalty Cases Closed during Fiscal Year 2012”



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

**RAILROAD SAFETY CIVIL PENALTY CASES
CLOSED DURING FISCAL YEAR 2012**

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 2012 under the Federal railroad safety statutes and regulations or in which FRA otherwise closed such a civil penalty case during fiscal year 2012. 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)	\$12,347,593
HMT	\$4,220,916
Total Civil Penalties	<u>\$16,568,509</u>

FRA collected \$ 650 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

In aid of their efforts 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.



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 REGULATIONS
AR	ACCIDENT REPORTS REGULATIONS
BW	BRIDGE WORKER SAFETY STANDARDS
EO	FRA EMERGENCY ORDER NO. 24/26
EP	RAILROAD SAFETY ENFORCEMENT PROCEDURES
EQ	ENGINEER QUALIFICATIONS REGULATIONS
FCS	FREIGHT CAR SAFETY STANDARDS
GC	GRADE CROSSING SIGNAL SAFETY REGULATIONS
GS	SAFETY GLAZING STANDARDS
HMT	HAZARDOUS MATERIALS REGULATIONS
HS	HOURS OF SERVICE LAWS
HSR	HOURS OF SERVICE RECORD KEEPING REGULATIONS
LI	LOCOMOTIVE SAFETY STANDARDS AND STATUTES
LIS	STEAM LOCOMOTIVE SAFETY STANDARDS AND STATUTES
PEP	PASSENGER TRAIN EMERGENCY PREPAREDNESS REGULATIONS
PEQ	PASSENGER EQUIPMENT SAFETY STANDARDS
REM	REAR END MARKING DEVICES REGULATIONS
RMM	Roadway Maintenance Machines
RMM	Roadway Maintenance Machines
ROP	RAILROAD OPERATING PRACTICES
ROR	RAILROAD OPERATING RULES
RSP	RAILROAD COMMUNICATIONS REGULATIONS
RW	ROADWAY WORKER PROTECTION REGULATIONS
SA	SAFETY APPLIANCE STATUTES AND REGULATIONS
SI	SIGNAL INSPECTION REGULATIONS AND STATUTES
TH	TRAIN HORN/QUIET ZONE
TS	TRACK SAFETY STANDARDS

Railroads and other respondents are identified by a code (see the legend provided at the end of this report), which appears as the letters at the beginning of the case number. Hazardous materials and emergency order cases involving shippers are identified by a case number beginning with the letter "Z". Cases involving contractors are identified by a case number 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 2012**

<u>FRA No.</u>	<u>Initial Penalty Demanded</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>
INDPEN 2010-1	\$5,000	\$650	03/06/2012
Total	\$5,000	\$650	

Federal Railroad Administration
Safety Cases Closed in FY 2012

<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>
ABS 2011-1(AR)	1	\$2,500	\$2,500	\$1,450	09/28/2012	
ABS 2011-2(SA)	1	\$5,000	\$5,000	\$3,600	09/28/2012	
ABS 2011-3(SA)	1	\$2,500	\$2,500	\$1,550	09/28/2012	
ABS 2012-1(ROP)	1	\$9,500	\$2,000	\$2,000	09/28/2012	Partially Terminated Violation(s): 1.
ABWR 2011-1(ROP)	1	\$5,000	\$5,000	\$3,250	09/28/2012	
ADBF 2011-1(EQ)	3	\$12,500	\$12,500	\$4,500	11/17/2011	
ADBF 2012-1(LI)	1	\$5,000	\$5,000	\$2,500	02/21/2012	
AERC 2011-1(SA)	1	\$5,000	\$5,000	\$3,000	04/12/2012	
AGR 2011-1(HMT)	1	\$4,000	\$4,000	\$2,500	09/25/2012	
AGR 2011-2(SA)	1	\$5,000	\$5,000	\$3,550	09/25/2012	
AGR 2011-3(FCS)	2	\$5,000	\$5,000	\$3,550	09/25/2012	
AGR 2011-4(SA)	3	\$7,500	\$7,500	\$5,225	09/25/2012	
AGR 2011-5(HMT)	1	\$2,000	\$2,000	\$1,100	09/25/2012	
AGR 2011-6(TS)	1	\$5,000	\$5,000	\$3,500	09/25/2012	
AGR 2011-7(SA)	2	\$7,500	\$7,500	\$5,325	09/25/2012	
AGR 2011-8(SA)	1	\$5,000	\$5,000	\$3,500	09/25/2012	
AGR 2011-9(HMT)	1	\$2,000	\$2,000	\$1,420	09/25/2012	
AGR 2012-1(ROP)	1	\$5,000	\$5,000	\$3,450	09/25/2012	
AGR 2012-3(HMT)	1	\$5,000	\$5,000	\$250	09/25/2012	
ALM 2011-1(ROP)	2	\$15,000	\$15,000	\$2,500	12/06/2011	
ALM 2011-2(ROP)	2	\$15,000	\$15,000	\$2,500	12/06/2011	
ALS 2011-2(SA)	1	\$5,000	\$5,000	\$3,800	01/06/2012	
ALS 2011-4(SA)	1	\$5,000	\$5,000	\$3,800	01/06/2012	
ALS 2011-6(HS)	2	\$2,000	\$2,000	\$2,000	12/08/2011	
ALS 2011-7(HMT)	1	\$5,000	\$5,000	\$5,000	11/03/2011	
ALS 2011-8(SA)	2	\$10,000	\$10,000	\$10,000	03/30/2012	
ALS 2012-1(ROP)	1	\$7,500	\$7,500	\$7,500	06/11/2012	
ALS 2012-2(ROP)	1	\$7,500	\$7,500	\$7,500	06/13/2012	
ALS 2012-3(SA)	1	\$5,000	\$5,000	\$5,000	06/19/2012	
ALS 2012-4(SA)	1	\$5,000	\$5,000	\$5,000	09/11/2012	
APRR 2011-1(SA)	1	\$5,000	\$5,000	\$2,500	03/27/2012	
ARR 2011-2(TS)	2	\$2,000	\$2,000	\$1,300	01/03/2012	
ARR 2011-3(TS)	7	\$7,000	\$7,000	\$4,550	01/03/2012	
ARR 2011-4(GC)	1	\$2,500	\$2,500	\$1,725	01/05/2012	
ARR 2011-5(TS)	4	\$4,000	\$4,000	\$2,600	01/03/2012	
ARR 2011-6(ROP)	1	\$7,500	\$7,500	\$4,875	07/12/2012	
ARR 2012-1(GC)	1	\$1,000	\$1,000	\$650	07/12/2012	
ARR 2012-2(SA)	1	\$2,500	\$2,500	\$1,825	07/12/2012	
ATK 2010-55(SA)	1	\$5,000	\$5,000	\$3,600	08/30/2012	
ATK 2011-1(AR)	1	\$2,500	\$2,500	\$1,750	08/30/2012	
ATK 2011-6(AR)	1	\$2,500	\$2,500	\$1,750	08/30/2012	
ATK 2011-39(AR)	1	\$2,500	\$2,500	\$1,750	08/30/2012	
ATK 2011-42(AR)	1	\$2,500	\$2,500	\$1,750	08/30/2012	
ATK 2011-44(AR)	1	\$2,500	\$2,500	\$1,750	08/30/2012	
ATK 2011-45(AR)	1	\$2,500	\$2,500	\$1,750	08/30/2012	
ATK 2011-48(AR)	1	\$2,500	\$2,500	\$1,750	08/30/2012	
ATK 2011-51(AR)	1	\$2,500	\$2,500	\$1,750	08/30/2012	
ATK 2011-55(AR)	1	\$2,500	\$2,500	\$1,750	08/30/2012	
ATK 2011-57(AR)	1	\$2,500	\$2,500	\$1,750	08/30/2012	

Federal Railroad Administration
Safety Cases Closed in FY 2012

<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 2011-58(AR)	1	\$2,500	\$2,500	\$1,750	08/30/2012	
ATK 2011-59(AR)	2	\$2,500	\$2,500	\$1,750	08/30/2012	
ATK 2011-61(AR)	1	\$2,500	\$2,500	\$1,750	08/30/2012	
ATK 2011-66(AR)	1	\$2,500	\$2,500	\$1,750	08/30/2012	
ATK 2011-73(AR)	1	\$2,500	\$2,500	\$1,750	08/30/2012	
ATK 2011-76(AR)	1	\$2,500	\$2,500	\$1,750	08/30/2012	
ATK 2011-78(AR)	1	\$2,500	\$2,500	\$1,750	08/30/2012	
ATK 2011-80(AR)	1	\$2,500	\$2,500	\$1,750	08/30/2012	
ATK 2011-82(AR)	1	\$2,500	\$2,500	\$1,750	08/30/2012	
ATK 2011-85(AR)	1	\$2,500	\$2,500	\$1,750	08/30/2012	
ATK 2011-86(AR)	1	\$2,500	\$2,500	\$1,750	08/30/2012	
ATK 2011-88(AR)	1	\$2,500	\$2,500	\$1,750	08/30/2012	
ATK 2011-89(AR)	1	\$2,500	\$2,500	\$1,750	08/30/2012	
ATK 2011-90(AR)	1	\$2,500	\$2,500	\$1,750	08/30/2012	
ATK 2011-99(AR)	1	\$2,500	\$2,500	\$1,750	08/30/2012	
ATK 2011-100(AR)	1	\$2,500	\$2,500	\$1,750	08/30/2012	
ATK 2011-103(AR)	1	\$2,500	\$2,500	\$1,750	08/30/2012	
ATK 2011-109(AR)	1	\$2,500	\$2,500	\$1,750	08/30/2012	
ATK 2011-110(AR)	1	\$2,500	\$2,500	\$1,750	08/30/2012	
ATK 2011-111(AR)	1	\$2,500	\$2,500	\$1,750	08/30/2012	
ATK 2011-112(AR)	1	\$2,500	\$2,500	\$1,750	08/30/2012	
ATK 2011-113(AR)	1	\$2,500	\$2,500	\$1,750	08/30/2012	
ATK 2011-114(AR)	1	\$2,500	\$2,500	\$1,750	08/30/2012	
ATK 2011-117(EO)	1	\$7,500	\$7,500	\$5,275	08/30/2012	
ATK 2011-118(HS)	1	\$1,000	\$1,000	\$700	08/30/2012	
ATK 2011-119(SA)	2	\$5,000	\$5,000	\$3,600	08/30/2012	
ATK 2011-121(HS)	2	\$2,000	\$2,000	\$1,400	08/30/2012	
ATK 2011-122(LI)	1	\$2,500	\$2,500	\$1,725	08/30/2012	
ATK 2011-123(HS)	3	\$3,000	\$3,000	\$2,100	08/30/2012	
ATK 2011-124(PEQ)	3	\$7,500	\$7,500	\$5,400	08/30/2012	
ATK 2011-125(LI)	1	\$1,500	\$1,500	\$1,000	08/30/2012	
ATK 2011-126(ROP)	1	\$7,500	\$7,500	\$5,325	08/30/2012	
ATK 2011-127(LI)	1	\$2,500	\$2,500	\$1,725	08/30/2012	
ATK 2011-128(LI)	1	\$2,500	\$2,500	\$1,750	08/30/2012	
ATK 2011-129(RSP)	1	\$2,500	\$2,500	\$1,700	08/30/2012	
ATK 2011-130(RSP)	1	\$5,000	\$5,000	\$3,450	08/30/2012	
ATK 2011-131(LI)	1	\$1,500	\$1,500	\$1,100	08/30/2012	
ATK 2011-132(PEQ)	1	\$5,000	\$5,000	\$3,400	08/30/2012	
ATK 2011-133(PEQ)	1	\$5,000	\$5,000	\$3,450	08/30/2012	
ATK 2011-134(LI)	2	\$2,000	\$2,000	\$1,400	08/30/2012	
ATK 2011-135(PEQ)	1	\$2,500	\$2,500	\$1,350	08/30/2012	
ATK 2011-136(RW)	1	\$3,000	\$3,000	\$2,050	08/30/2012	
ATK 2011-137(LI)	1	\$1,000	\$1,000	\$700	08/30/2012	
ATK 2011-138(ROP)	1	\$5,000	\$5,000	\$3,500	08/30/2012	
ATK 2011-139(TS)	1	\$5,000	\$5,000	\$3,600	08/30/2012	
ATK 2012-1(ROP)	1	\$7,500	\$7,500	\$5,300	09/30/2012	
ATK 2012-2(HSR)	1	\$1,000	\$1,000	\$650	08/30/2012	
ATK 2012-3(HS)	1	\$1,000	\$1,000	\$700	08/30/2012	
ATK 2012-4(LI)	1	\$1,000	\$1,000	\$700	08/30/2012	

Federal Railroad Administration
Safety Cases Closed in FY 2012

<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 2012-5(PEQ)	1	\$5,000	\$5,000	\$3,550	08/30/2012	
ATK 2012-6(LI)	3	\$3,000	\$3,000	\$1,950	08/30/2012	
ATK 2012-7(PEQ)	1	\$5,000	\$5,000	\$3,550	08/30/2012	
ATK 2012-8(PEQ)	1	\$5,000	\$5,000	\$3,550	08/30/2012	
AWRR 2008-6(GC)	1	\$5,000	\$5,000	\$3,000	09/28/2012	
AWRR 2011-1(SA)	1	\$2,500	\$2,500	\$1,750	09/28/2012	
AZER 2009-13(GC)	1	\$1,000	\$1,000	\$650	07/05/2012	
AZER 2010-1(GC)	4	\$4,000	\$4,000	\$2,600	07/05/2012	
AZER 2010-2(ROP)	1	\$9,500	\$9,500	\$5,225	07/05/2012	
AZER 2010-3(LI)	1	\$2,500	\$2,500	\$1,625	07/05/2012	
AZER 2010-5(TS)	3	\$10,000	\$10,000	\$6,500	07/05/2012	
AZER 2010-6(TS)	5	\$13,000	\$13,000	\$8,450	07/05/2012	
AZER 2010-7(EQ)	1	\$2,000	\$2,000	\$1,300	07/05/2012	
AZER 2010-8(EQ)	2	\$10,000	\$10,000	\$6,500	07/05/2012	
AZER 2011-1(TS)	1	\$1,000	\$1,000	\$650	07/05/2012	
AZER 2011-2(AR)	1	\$2,500	\$2,500	\$1,625	07/05/2012	
AZER 2011-3(TS)	1	\$5,000	\$5,000	\$3,250	07/05/2012	
AZER 2011-4(ROP)	1	\$7,500	\$7,500	\$4,875	07/04/2012	
AZER 2011-5(TS)	5	\$19,500	\$19,500	\$12,675	07/05/2012	
AZER 2011-6(TS)	1	\$1,000	\$1,000	\$650	07/05/2012	
AZER 2012-1(SA)	1	\$2,500	\$2,500	\$1,625	07/05/2012	
AZER 2012-2(RMM)	1	\$10,000	\$10,000	\$6,500	07/05/2012	
AZER 2012-3(ROP)	1	\$7,500	\$7,500	\$7,500	07/19/2012	
BAYL 2010-2(HMT)	1	\$4,000	\$4,000	\$3,000	02/22/2012	
BCR 2012-1(GC)	1	\$2,500	\$2,500	\$2,500	05/02/2012	
BDTL 2006-1(TS)	1	\$5,000	\$0	\$0	03/01/2012	Case Terminated.
BJRY 2011-1(ROP)	1	\$5,000	\$5,000	\$2,500	05/04/2012	
BLOL 2012-1(AR)	1	\$2,500	\$2,500	\$2,500	09/11/2012	
BM 2009-1(TS)	2	\$10,000	\$10,000	\$7,300	09/26/2012	
BM 2010-1(RW)	1	\$2,500	\$2,500	\$1,775	09/26/2012	
BM 2011-1(TS)	2	\$7,500	\$7,500	\$5,425	09/26/2012	
BM 2012-1(RW)	1	\$3,000	\$3,000	\$2,300	09/26/2012	
BNSF 2008-24(SA)	6	\$21,000	\$21,000	\$13,550	09/28/2012	
BNSF 2008-175(RW)	1	\$15,000	\$15,000	\$5,000	09/28/2012	
BNSF 2010-54(AR)	3	\$7,500	\$7,500	\$4,850	09/28/2012	
BNSF 2010-55(AR)	3	\$6,000	\$6,000	\$3,400	09/28/2012	
BNSF 2010-56(AR)	5	\$8,000	\$8,000	\$5,250	09/28/2012	
BNSF 2010-58(AR)	2	\$3,500	\$3,500	\$2,275	09/28/2012	
BNSF 2010-64(AR)	1	\$2,500	\$2,500	\$1,325	09/28/2012	
BNSF 2010-67(AR)	1	\$2,500	\$2,500	\$1,650	09/28/2012	
BNSF 2010-71(AR)	3	\$3,000	\$3,000	\$1,950	09/28/2012	
BNSF 2010-156(ROP)	2	\$30,000	\$30,000	\$23,000	09/28/2012	
BNSF 2010-192(HMT)	4	\$11,500	\$11,500	\$7,600	09/28/2012	
BNSF 2010-242(AR)	2	\$5,000	\$5,000	\$3,200	09/28/2012	
BNSF 2010-244(AR)	2	\$3,500	\$3,500	\$2,150	09/28/2012	
BNSF 2010-325(ROP)	2	\$15,000	\$15,000	\$10,075	09/28/2012	
BNSF 2010-329(ROP)	1	\$7,500	\$7,500	\$5,050	09/28/2012	
BNSF 2010-333(SA)	2	\$10,000	\$10,000	\$6,600	09/28/2012	
BNSF 2010-337(SA)	2	\$16,000	\$16,000	\$10,800	09/28/2012	

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BNSF 2010-369(SA)	4	\$20,000	\$20,000	\$13,150	09/28/2012	
BNSF 2010-376(ROP)	2	\$15,000	\$15,000	\$9,750	09/28/2012	
BNSF 2010-380(SI)	1	\$2,500	\$2,500	\$1,745	09/28/2012	
BNSF 2010-384(ROP)	5	\$39,500	\$29,500	\$22,000	09/28/2012	Partially Terminated Violation(s): 4, 5.
BNSF 2010-392(FCS)	1	\$2,500	\$2,500	\$1,725	09/28/2012	
BNSF 2010-396(EQ)	1	\$1,000	\$1,000	\$675	09/28/2012	
BNSF 2010-397(LI)	3	\$7,500	\$7,500	\$5,000	09/28/2012	
BNSF 2010-412(SA)	3	\$12,500	\$12,500	\$8,150	09/28/2012	
BNSF 2010-420(RSP)	1	\$5,000	\$5,000	\$3,475	09/28/2012	
BNSF 2010-427(SA)	1	\$5,000	\$5,000	\$3,300	09/28/2012	
BNSF 2010-432(SA)	2	\$10,000	\$10,000	\$5,625	09/28/2012	
BNSF 2010-455(TS)	1	\$1,000	\$1,000	\$650	09/28/2012	
BNSF 2010-456(HMT)	1	\$4,000	\$4,000	\$2,650	09/28/2012	
BNSF 2011-2(GC)	1	\$5,000	\$5,000	\$3,475	09/28/2012	
BNSF 2011-5(TS)	12	\$30,000	\$30,000	\$19,600	09/28/2012	
BNSF 2011-8(SA)	2	\$10,000	\$10,000	\$6,445	09/28/2012	
BNSF 2011-42(ROP)	1	\$7,500	\$7,500	\$4,965	09/28/2012	
BNSF 2011-44(HS)	1	\$1,000	\$1,000	\$650	09/28/2012	
BNSF 2011-49(SA)	4	\$15,000	\$15,000	\$9,700	09/28/2012	
BNSF 2011-50(LI)	3	\$5,000	\$5,000	\$3,300	09/28/2012	
BNSF 2011-52(TS)	4	\$12,500	\$12,500	\$8,250	09/28/2012	
BNSF 2011-57(LI)	1	\$2,500	\$2,500	\$1,650	09/28/2012	
BNSF 2011-58(HS)	5	\$5,000	\$5,000	\$3,300	09/28/2012	
BNSF 2011-62(TS)	1	\$2,500	\$2,500	\$1,575	09/28/2012	
BNSF 2011-65(SA)	2	\$12,500	\$12,500	\$8,175	09/28/2012	
BNSF 2011-69(GC)	1	\$5,000	\$5,000	\$3,500	09/28/2012	
BNSF 2011-70(ROP)	5	\$43,500	\$34,500	\$26,000	09/28/2012	Partially Terminated Violation(s): 3, 4.
BNSF 2011-73(ROP)	4	\$34,000	\$14,000	\$14,000	09/28/2012	Partially Terminated Violation(s): 1, 2, 3, 4.
BNSF 2011-77(ROP)	2	\$15,000	\$15,000	\$9,850	09/28/2012	
BNSF 2011-80(FCS)	1	\$2,500	\$2,500	\$1,600	09/28/2012	
BNSF 2011-81(SA)	5	\$15,000	\$15,000	\$9,850	09/28/2012	
BNSF 2011-83(SA)	1	\$2,500	\$2,500	\$1,650	09/28/2012	
BNSF 2011-84(SA)	4	\$15,000	\$15,000	\$9,825	09/28/2012	
BNSF 2011-87(EQ)	2	\$2,000	\$2,000	\$1,350	09/28/2012	
BNSF 2011-88(RSP)	1	\$5,000	\$5,000	\$3,425	09/28/2012	
BNSF 2011-91(SA)	1	\$2,500	\$2,500	\$1,600	09/28/2012	
BNSF 2011-92(SI)	1	\$5,000	\$5,000	\$3,500	09/28/2012	
BNSF 2011-96(SA)	1	\$5,000	\$5,000	\$3,350	09/28/2012	
BNSF 2011-100(ROP)	5	\$37,500	\$10,000	\$10,000	09/28/2012	Partially Terminated Violation(s): 1, 2, 3, 4, 5.
BNSF 2011-102(TS)	2	\$7,500	\$7,500	\$4,900	09/28/2012	
BNSF 2011-103(TS)	17	\$33,000	\$33,000	\$21,780	09/28/2012	
BNSF 2011-104(TS)	1	\$2,500	\$2,500	\$1,600	09/28/2012	
BNSF 2011-107(SA)	3	\$12,500	\$12,500	\$8,150	09/28/2012	
BNSF 2011-108(SI)	1	\$2,500	\$2,500	\$1,745	09/28/2012	
BNSF 2011-112(LI)	2	\$3,500	\$3,500	\$2,300	09/28/2012	
BNSF 2011-113(HMT)	2	\$4,500	\$4,500	\$2,775	09/28/2012	
BNSF 2011-114(GC)	1	\$5,000	\$5,000	\$3,485	09/28/2012	

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BNSF 2011-115(TS)	2	\$5,000	\$5,000	\$3,300	09/28/2012	
BNSF 2011-116(ROP)	1	\$7,500	\$2,000	\$2,000	09/28/2012	Partially Terminated Violation(s): 1.
BNSF 2011-117(HMT)	1	\$4,000	\$4,000	\$2,650	09/28/2012	
BNSF 2011-118(FCS)	1	\$2,500	\$2,500	\$1,625	09/28/2012	
BNSF 2011-119(ROP)	2	\$19,000	\$14,500	\$11,250	09/28/2012	Partially Terminated Violation(s): 1.
BNSF 2011-120(FCS)	3	\$7,500	\$7,500	\$4,900	09/28/2012	
BNSF 2011-121(SI)	1	\$1,000	\$1,000	\$665	09/28/2012	
BNSF 2011-122(TS)	1	\$2,500	\$2,500	\$1,650	09/28/2012	
BNSF 2011-123(SA)	2	\$10,000	\$10,000	\$6,550	09/28/2012	
BNSF 2011-124(GC)	2	\$10,000	\$10,000	\$6,900	09/28/2012	
BNSF 2011-125(ROP)	2	\$17,000	\$11,500	\$8,600	09/28/2012	Partially Terminated Violation(s): 2.
BNSF 2011-126(ROP)	1	\$11,000	\$11,000	\$7,900	09/28/2012	
BNSF 2011-127(FCS)	1	\$5,000	\$5,000	\$3,275	09/28/2012	
BNSF 2011-128(SA)	1	\$5,000	\$5,000	\$3,250	09/28/2012	
BNSF 2011-129(SA)	1	\$2,500	\$2,500	\$1,600	09/28/2012	
BNSF 2011-130(ROP)	1	\$7,500	\$2,000	\$2,000	09/28/2012	Partially Terminated Violation(s): 1.
BNSF 2011-131(ROP)	1	\$7,500	\$7,500	\$4,900	09/28/2012	
BNSF 2011-132(GC)	1	\$5,000	\$5,000	\$3,475	09/28/2012	
BNSF 2011-133(TS)	2	\$3,500	\$3,500	\$2,225	09/28/2012	
BNSF 2011-134(TS)	88	\$135,000	\$135,000	\$91,750	09/28/2012	
BNSF 2011-135(TS)	9	\$27,500	\$27,500	\$18,600	09/28/2012	
BNSF 2011-136(TS)	10	\$29,000	\$29,000	\$18,750	09/28/2012	
BNSF 2011-137(TS)	2	\$5,000	\$5,000	\$3,250	09/28/2012	
BNSF 2011-138(ROP)	1	\$7,500	\$7,500	\$4,900	09/28/2012	
BNSF 2011-139(ROP)	3	\$24,500	\$24,500	\$16,300	09/28/2012	
BNSF 2011-140(TS)	1	\$5,000	\$5,000	\$3,300	09/28/2012	
BNSF 2011-141(RW)	2	\$6,000	\$6,000	\$4,075	09/28/2012	
BNSF 2011-142(EQ)	1	\$1,000	\$1,000	\$675	09/28/2012	
BNSF 2011-143(SA)	3	\$15,000	\$15,000	\$9,900	09/28/2012	
BNSF 2011-144(SA)	4	\$20,000	\$20,000	\$13,350	09/28/2012	
BNSF 2011-145(ROP)	5	\$39,500	\$35,000	\$24,800	09/28/2012	Partially Terminated Violation(s): 1.
BNSF 2011-146(ROP)	4	\$30,000	\$30,000	\$19,500	09/28/2012	
BNSF 2011-147(FCS)	2	\$5,000	\$5,000	\$3,300	09/28/2012	
BNSF 2011-148(SA)	2	\$10,000	\$10,000	\$6,600	09/28/2012	
BNSF 2011-149(SA)	1	\$2,500	\$2,500	\$1,600	09/28/2012	
BNSF 2011-150(HMT)	6	\$31,000	\$31,000	\$21,200	09/28/2012	
BNSF 2011-151(LI)	1	\$1,500	\$1,500	\$985	09/28/2012	
BNSF 2011-152(LI)	1	\$2,500	\$2,500	\$1,650	09/28/2012	
BNSF 2011-153(HMT)	2	\$7,000	\$7,000	\$4,700	09/28/2012	
BNSF 2011-154(HSR)	5	\$5,000	\$5,000	\$3,350	09/28/2012	
BNSF 2011-155(HSR)	1	\$1,000	\$1,000	\$700	09/28/2012	
BNSF 2011-156(FCS)	2	\$7,500	\$7,500	\$4,900	09/28/2012	
BNSF 2011-157(SA)	3	\$10,000	\$10,000	\$6,425	09/28/2012	
BNSF 2011-158(SA)	3	\$10,000	\$10,000	\$6,450	09/28/2012	
BNSF 2011-159(SA)	1	\$5,000	\$5,000	\$3,275	09/28/2012	
BNSF 2011-160(FCS)	1	\$2,500	\$2,500	\$1,675	09/28/2012	

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BNSF 2011-161(ROP)	3	\$22,500	\$22,500	\$14,750	09/28/2012	
BNSF 2011-162(SA)	2	\$10,000	\$10,000	\$6,475	09/28/2012	
BNSF 2011-163(SA)	2	\$10,000	\$10,000	\$6,450	09/28/2012	
BNSF 2011-164(AR)	1	\$2,500	\$2,500	\$1,600	09/28/2012	
BNSF 2011-165(HMT)	2	\$10,000	\$10,000	\$6,650	09/28/2012	
BNSF 2011-166(HMT)	5	\$25,000	\$25,000	\$16,000	09/28/2012	
BNSF 2011-167(SA)	1	\$5,000	\$5,000	\$3,325	09/28/2012	
BNSF 2011-168(TS)	15	\$67,500	\$67,500	\$45,400	09/28/2012	
BNSF 2011-169(TS)	2	\$10,000	\$10,000	\$6,500	09/28/2012	
BNSF 2011-170(ROP)	1	\$7,500	\$7,500	\$5,000	09/28/2012	
BNSF 2011-172(FCS)	1	\$2,500	\$2,500	\$1,600	09/28/2012	
BNSF 2011-173(FCS)	1	\$2,500	\$2,500	\$1,650	09/28/2012	
BNSF 2011-174(LI)	1	\$2,500	\$2,500	\$1,650	09/28/2012	
BNSF 2011-175(SA)	1	\$2,500	\$2,500	\$1,625	09/28/2012	
BNSF 2011-176(TS)	5	\$17,500	\$17,500	\$11,500	09/28/2012	
BNSF 2011-177(FCS)	1	\$2,500	\$2,500	\$1,625	09/28/2012	
BNSF 2011-178(EP)	3	\$3,000	\$3,000	\$1,965	09/28/2012	
BNSF 2011-179(LI)	1	\$2,500	\$2,500	\$1,650	09/28/2012	
BNSF 2011-180(LI)	1	\$2,500	\$2,500	\$1,650	09/28/2012	
BNSF 2011-181(GC)	1	\$5,000	\$5,000	\$3,500	09/28/2012	
BNSF 2011-182(ROP)	3	\$22,500	\$11,500	\$7,500	09/28/2012	Partially Terminated Violation(s): 2, 3.
BNSF 2011-183(TS)	17	\$20,000	\$20,000	\$13,000	09/28/2012	
BNSF 2011-184(TS)	2	\$5,000	\$5,000	\$3,250	09/28/2012	
BNSF 2011-185(TS)	2	\$7,500	\$7,500	\$4,925	09/28/2012	
BNSF 2011-186(SI)	1	\$1,000	\$1,000	\$650	09/28/2012	
BNSF 2011-187(GS)	1	\$2,500	\$2,500	\$1,600	09/28/2012	
BNSF 2011-188(TS)	2	\$10,000	\$10,000	\$7,000	09/28/2012	
BNSF 2011-189(HMT)	3	\$16,000	\$16,000	\$10,950	09/28/2012	
BNSF 2011-190(AR)	1	\$2,500	\$2,500	\$1,450	09/28/2012	
BNSF 2011-191(GC)	1	\$5,000	\$5,000	\$3,465	09/28/2012	
BNSF 2011-193(AR)	1	\$2,500	\$2,500	\$1,600	09/28/2012	
BNSF 2011-194(ROP)	1	\$7,500	\$2,000	\$2,000	09/28/2012	Partially Terminated Violation(s): 1.
BNSF 2011-195(TS)	1	\$2,500	\$2,500	\$1,600	09/28/2012	
BNSF 2011-196(SA)	2	\$10,000	\$10,000	\$6,500	09/28/2012	
BNSF 2011-197(LI)	2	\$2,000	\$2,000	\$1,300	09/28/2012	
BNSF 2011-198(LI)	1	\$2,500	\$2,500	\$1,650	09/28/2012	
BNSF 2011-199(ROR)	1	\$9,500	\$9,500	\$3,500	09/28/2012	
BNSF 2011-201(FCS)	4	\$10,000	\$10,000	\$6,600	09/28/2012	
BNSF 2011-202(ROP)	5	\$37,500	\$26,500	\$19,000	09/28/2012	Partially Terminated Violation(s): 4, 5.
BNSF 2011-203(SA)	5	\$22,500	\$22,500	\$14,600	09/28/2012	
BNSF 2011-204(ROP)	4	\$30,000	\$30,000	\$19,500	09/28/2012	
BNSF 2011-205(TS)	1	\$2,500	\$2,500	\$1,650	09/28/2012	
BNSF 2011-206(SA)	1	\$5,000	\$5,000	\$3,275	09/28/2012	
BNSF 2011-207(TS)	2	\$5,000	\$5,000	\$3,300	09/28/2012	
BNSF 2011-208(TS)	2	\$10,000	\$10,000	\$6,100	09/28/2012	
BNSF 2011-209(LI)	5	\$12,500	\$12,500	\$8,225	09/28/2012	
BNSF 2011-210(HMT)	2	\$5,000	\$5,000	\$3,325	09/28/2012	

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BNSF 2011-211(HMT)	2	\$13,500	\$13,500	\$9,300	09/28/2012	
BNSF 2011-212(SA)	1	\$2,500	\$2,500	\$1,625	09/28/2012	
BNSF 2011-213(ROP)	1	\$7,500	\$7,500	\$4,950	09/28/2012	
BNSF 2011-214(HMT)	2	\$6,000	\$6,000	\$3,900	09/28/2012	
BNSF 2011-215(HS)	4	\$4,000	\$4,000	\$2,600	09/28/2012	
BNSF 2011-216(SA)	3	\$12,500	\$12,500	\$8,150	09/28/2012	
BNSF 2011-217(FCS)	1	\$2,500	\$2,500	\$1,675	09/28/2012	
BNSF 2011-218(TS)	1	\$2,500	\$2,500	\$1,700	09/28/2012	
BNSF 2011-220(LI)	2	\$5,000	\$5,000	\$3,300	09/28/2012	
BNSF 2011-221(LI)	1	\$2,500	\$2,500	\$1,640	09/28/2012	
BNSF 2011-222(TS)	4	\$8,000	\$8,000	\$5,200	09/28/2012	
BNSF 2011-223(TS)	19	\$90,000	\$90,000	\$55,000	09/28/2012	
BNSF 2011-224(SA)	4	\$20,000	\$20,000	\$12,800	09/28/2012	
BNSF 2011-225(ROP)	4	\$32,000	\$32,000	\$19,850	09/28/2012	
BNSF 2011-226(EQ)	1	\$2,500	\$2,500	\$1,685	09/28/2012	
BNSF 2011-227(AD)	1	\$5,000	\$5,000	\$3,475	09/28/2012	
BNSF 2011-228(RW)	1	\$3,000	\$3,000	\$2,070	09/28/2012	
BNSF 2011-229(ROP)	4	\$32,000	\$21,000	\$15,800	09/28/2012	Partially Terminated Violation(s): 1, 4.
BNSF 2011-230(SA)	3	\$15,000	\$15,000	\$9,675	09/28/2012	
BNSF 2011-231(ROP)	3	\$22,500	\$22,500	\$9,500	09/28/2012	
BNSF 2011-232(SA)	1	\$2,500	\$2,500	\$1,675	09/28/2012	
BNSF 2011-233(TS)	2	\$2,000	\$2,000	\$1,300	09/28/2012	
BNSF 2011-234(GS)	1	\$2,500	\$2,500	\$1,550	09/28/2012	
BNSF 2011-235(FCS)	1	\$2,500	\$2,500	\$1,675	09/28/2012	
BNSF 2011-236(EQ)	2	\$3,500	\$3,500	\$2,360	09/28/2012	
BNSF 2011-237(SA)	2	\$5,000	\$5,000	\$3,300	09/28/2012	
BNSF 2011-238(HSR)	1	\$1,000	\$1,000	\$650	09/28/2012	
BNSF 2011-239(GC)	1	\$5,000	\$5,000	\$3,500	09/28/2012	
BNSF 2011-240(ROP)	1	\$7,500	\$7,500	\$4,925	09/28/2012	
BNSF 2011-241(SA)	1	\$5,000	\$5,000	\$3,275	09/28/2012	
BNSF 2011-242(TS)	6	\$18,500	\$18,500	\$12,025	09/28/2012	
BNSF 2011-243(ROP)	4	\$32,000	\$32,000	\$20,500	09/28/2012	
BNSF 2011-245(SA)	2	\$5,000	\$5,000	\$3,300	09/28/2012	
BNSF 2011-246(SA)	1	\$5,000	\$5,000	\$3,275	09/28/2012	
BNSF 2011-247(SA)	1	\$2,500	\$2,500	\$1,650	09/28/2012	
BNSF 2011-248(LI)	1	\$2,500	\$2,500	\$1,625	09/28/2012	
BNSF 2011-249(LI)	2	\$4,000	\$4,000	\$2,575	09/28/2012	
BNSF 2011-251(HMT)	1	\$6,000	\$6,000	\$3,900	09/28/2012	
BNSF 2011-252(SA)	3	\$10,000	\$10,000	\$6,450	09/28/2012	
BNSF 2011-253(HMT)	2	\$2,000	\$2,000	\$1,300	09/28/2012	
BNSF 2011-254(SA)	2	\$10,000	\$10,000	\$6,500	09/28/2012	
BNSF 2011-256(LI)	1	\$1,000	\$1,000	\$650	09/28/2012	
BNSF 2011-257(HMT)	2	\$5,500	\$5,500	\$3,675	09/28/2012	
BNSF 2011-258(SA)	2	\$7,500	\$7,500	\$4,975	09/28/2012	
BNSF 2011-259(HS)	1	\$1,000	\$1,000	\$650	09/28/2012	
BNSF 2011-260(FCS)	5	\$12,500	\$12,500	\$8,125	09/28/2012	
BNSF 2011-261(ROP)	5	\$43,500	\$43,500	\$28,000	09/28/2012	
BNSF 2011-262(ROP)	2	\$15,000	\$9,500	\$7,050	09/28/2012	Partially Terminated Violation(s): 2.

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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 2011-263(SA)	11	\$32,500	\$32,500	\$21,530	09/28/2012	
BNSF 2011-264(SA)	3	\$15,000	\$15,000	\$9,800	09/28/2012	
BNSF 2011-265(SA)	2	\$7,500	\$7,500	\$4,950	09/28/2012	
BNSF 2011-266(SA)	1	\$5,000	\$5,000	\$3,350	09/28/2012	
BNSF 2011-267(SA)	1	\$2,500	\$2,500	\$1,650	09/28/2012	
BNSF 2011-268(FCS)	1	\$5,000	\$5,000	\$3,250	09/28/2012	
BNSF 2011-269(SA)	1	\$2,500	\$2,500	\$1,650	09/28/2012	
BNSF 2011-270(SA)	2	\$5,000	\$5,000	\$3,350	09/28/2012	
BNSF 2011-271(HS)	1	\$1,000	\$1,000	\$665	09/28/2012	
BNSF 2011-272(HS)	7	\$7,000	\$7,000	\$4,690	09/28/2012	
BNSF 2011-273(AR)	1	\$2,500	\$2,500	\$1,600	09/28/2012	
BNSF 2011-274(GC)	1	\$2,500	\$2,500	\$1,725	09/28/2012	
BNSF 2011-275(HS)	1	\$1,000	\$1,000	\$650	09/28/2012	
BNSF 2011-276(EQ)	20	\$20,000	\$20,000	\$13,500	09/28/2012	
BNSF 2011-277(LI)	1	\$2,500	\$2,500	\$1,650	09/28/2012	
BNSF 2011-278(TS)	1	\$2,500	\$2,500	\$1,750	09/28/2012	
BNSF 2011-279(ROR)	2	\$19,000	\$19,000	\$7,000	09/28/2012	
BNSF 2011-280(SI)	1	\$5,000	\$5,000	\$3,425	09/28/2012	
BNSF 2011-281(GC)	2	\$6,000	\$6,000	\$4,225	09/28/2012	
BNSF 2011-282(ROP)	1	\$7,500	\$2,000	\$2,000	09/28/2012	Partially Terminated Violation(s): 1.
BNSF 2011-283(GS)	1	\$2,500	\$2,500	\$1,600	09/28/2012	
BNSF 2011-284(SA)	1	\$2,500	\$2,500	\$1,700	09/28/2012	
BNSF 2011-286(FCS)	2	\$5,000	\$5,000	\$3,250	09/28/2012	
BNSF 2011-287(ROP)	4	\$30,000	\$19,000	\$14,250	09/28/2012	Partially Terminated Violation(s): 1, 2.
BNSF 2011-288(ROP)	5	\$37,500	\$26,500	\$18,350	09/28/2012	Partially Terminated Violation(s): 1, 2.
BNSF 2011-289(SA)	5	\$25,000	\$25,000	\$16,300	09/28/2012	
BNSF 2011-290(SA)	5	\$25,000	\$25,000	\$16,250	09/28/2012	
BNSF 2011-291(SA)	5	\$15,000	\$15,000	\$9,650	09/28/2012	
BNSF 2011-292(ROP)	2	\$15,000	\$9,500	\$7,050	09/28/2012	Partially Terminated Violation(s): 1.
BNSF 2011-293(TS)	4	\$4,000	\$4,000	\$2,600	09/28/2012	
BNSF 2011-294(TS)	8	\$25,000	\$25,000	\$16,350	09/28/2012	
BNSF 2011-295(TS)	5	\$6,500	\$6,500	\$4,300	09/28/2012	
BNSF 2011-296(TS)	4	\$4,000	\$4,000	\$2,600	09/28/2012	
BNSF 2011-297(HMT)	1	\$5,000	\$5,000	\$3,250	09/28/2012	
BNSF 2011-298(TS)	6	\$22,500	\$22,500	\$14,650	09/28/2012	
BNSF 2011-299(TS)	6	\$20,000	\$20,000	\$13,500	09/28/2012	
BNSF 2011-300(TS)	1	\$2,500	\$2,500	\$1,685	09/28/2012	
BNSF 2011-301(TS)	5	\$15,000	\$15,000	\$10,150	09/28/2012	
BNSF 2011-302(TS)	1	\$1,000	\$1,000	\$650	09/28/2012	
BNSF 2011-303(TS)	1	\$2,500	\$2,500	\$1,685	09/28/2012	
BNSF 2011-304(TS)	2	\$7,500	\$7,500	\$5,350	09/28/2012	
BNSF 2011-305(HMT)	1	\$5,000	\$5,000	\$3,150	09/28/2012	
BNSF 2011-306(HMT)	2	\$13,000	\$13,000	\$9,250	09/28/2012	
BNSF 2011-307(SI)	1	\$5,000	\$5,000	\$3,500	09/28/2012	
BNSF 2011-308(GC)	1	\$5,000	\$5,000	\$3,450	09/28/2012	
BNSF 2011-309(TS)	5	\$22,500	\$22,500	\$14,980	09/28/2012	
BNSF 2011-310(ROP)	1	\$7,500	\$7,500	\$4,900	09/28/2012	

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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 2011-311(TS)	10	\$11,500	\$11,500	\$7,500	09/28/2012	
BNSF 2011-312(TS)	6	\$19,500	\$19,500	\$12,950	09/28/2012	
BNSF 2011-313(TS)	2	\$6,000	\$6,000	\$3,950	09/28/2012	
BNSF 2011-314(TS)	1	\$1,000	\$1,000	\$650	09/28/2012	
BNSF 2011-315(TS)	2	\$2,000	\$2,000	\$1,300	09/28/2012	
BNSF 2011-316(TS)	17	\$18,500	\$18,500	\$12,150	09/28/2012	
BNSF 2011-317(TS)	2	\$2,000	\$2,000	\$1,300	09/28/2012	
BNSF 2011-318(SI)	1	\$2,500	\$2,500	\$1,745	09/28/2012	
BNSF 2011-319(SA)	1	\$2,500	\$2,500	\$1,550	09/28/2012	
BNSF 2011-320(SA)	3	\$10,000	\$10,000	\$6,200	09/28/2012	
BNSF 2011-322(GC)	1	\$5,000	\$5,000	\$3,500	09/28/2012	
BNSF 2011-324(GS)	2	\$5,000	\$5,000	\$3,150	09/28/2012	
BNSF 2011-325(FCS)	1	\$2,500	\$2,500	\$1,650	09/28/2012	
BNSF 2011-326(SA)	1	\$2,500	\$2,500	\$1,650	09/28/2012	
BNSF 2011-327(ROP)	5	\$37,500	\$21,000	\$16,600	09/28/2012	Partially Terminated Violation(s): 2, 3, 4.
BNSF 2011-328(TS)	22	\$50,500	\$50,500	\$34,565	09/28/2012	
BNSF 2011-329(TS)	2	\$5,000	\$5,000	\$3,350	09/28/2012	
BNSF 2011-330(TS)	17	\$39,500	\$39,500	\$26,875	09/28/2012	
BNSF 2011-331(HMT)	1	\$4,000	\$4,000	\$2,550	09/28/2012	
BNSF 2011-332(HMT)	3	\$6,000	\$6,000	\$3,850	09/28/2012	
BNSF 2011-336(ROP)	1	\$7,500	\$2,000	\$2,000	09/28/2012	Partially Terminated Violation(s): 1.
BNSF 2011-337(SA)	3	\$12,500	\$12,500	\$8,300	09/28/2012	
BNSF 2011-338(HS)	1	\$1,000	\$1,000	\$650	09/28/2012	
BNSF 2011-339(SI)	2	\$6,000	\$6,000	\$4,175	09/28/2012	
BNSF 2011-340(ROP)	1	\$7,500	\$7,500	\$4,900	09/28/2012	
BNSF 2011-342(TS)	3	\$12,500	\$12,500	\$8,600	09/28/2012	
BNSF 2011-343(ROP)	1	\$9,500	\$9,500	\$6,200	09/28/2012	
BNSF 2011-344(TH)	1	\$5,000	\$5,000	\$3,325	09/28/2012	
BNSF 2011-345(FCS)	1	\$2,500	\$2,500	\$1,650	09/28/2012	
BNSF 2011-346(ROP)	1	\$9,500	\$9,500	\$6,200	09/28/2012	
BNSF 2011-347(SA)	2	\$10,000	\$10,000	\$6,450	09/28/2012	
BNSF 2011-348(SA)	4	\$15,000	\$15,000	\$9,750	09/28/2012	
BNSF 2011-349(SA)	3	\$7,500	\$7,500	\$4,975	09/28/2012	
BNSF 2011-350(ROP)	1	\$7,500	\$7,500	\$4,900	09/28/2012	
BNSF 2011-351(ROP)	2	\$17,000	\$17,000	\$11,000	09/28/2012	
BNSF 2011-353(FCS)	2	\$5,000	\$5,000	\$3,250	09/28/2012	
BNSF 2011-354(SA)	1	\$5,000	\$5,000	\$3,300	09/28/2012	
BNSF 2011-355(RSP)	1	\$9,500	\$9,500	\$6,800	09/28/2012	
BNSF 2011-356(ROP)	1	\$7,500	\$7,500	\$4,900	09/28/2012	
BNSF 2011-358(EP)	5	\$5,000	\$5,000	\$3,250	09/28/2012	
BNSF 2011-359(EP)	2	\$2,000	\$2,000	\$1,300	09/28/2012	
BNSF 2011-360(EQ)	3	\$7,500	\$7,500	\$5,060	09/28/2012	
BNSF 2011-361(EP)	3	\$3,000	\$3,000	\$1,975	09/28/2012	
BNSF 2011-362(EQ)	1	\$1,000	\$1,000	\$675	09/28/2012	
BNSF 2011-363(RW)	1	\$2,000	\$2,000	\$1,460	09/28/2012	
BNSF 2011-364(EQ)	1	\$1,000	\$1,000	\$675	09/28/2012	
BNSF 2011-365(EQ)	1	\$2,500	\$2,500	\$1,685	09/28/2012	
BNSF 2011-366(LI)	2	\$5,000	\$5,000	\$3,400	09/28/2012	

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BNSF 2011-367(HS)	2	\$2,000	\$2,000	\$1,325	09/28/2012	
BNSF 2011-368(SA)	1	\$5,000	\$5,000	\$3,300	09/28/2012	
BNSF 2011-369(ROP)	3	\$22,500	\$17,000	\$11,000	09/28/2012	Partially Terminated Violation(s): 2.
BNSF 2011-371(FCS)	1	\$2,000	\$2,000	\$1,300	09/28/2012	
BNSF 2011-372(ROP)	4	\$32,000	\$26,500	\$17,500	09/28/2012	Partially Terminated Violation(s): 4.
BNSF 2011-373(TS)	1	\$1,000	\$1,000	\$650	09/28/2012	
BNSF 2011-374(TS)	17	\$17,000	\$17,000	\$11,450	09/28/2012	
BNSF 2011-375(TS)	9	\$17,000	\$17,000	\$11,100	09/28/2012	
BNSF 2011-376(TS)	4	\$7,000	\$7,000	\$4,550	09/28/2012	
BNSF 2011-378(TS)	29	\$83,500	\$83,500	\$54,575	09/28/2012	
BNSF 2011-379(TS)	13	\$29,500	\$29,500	\$19,550	09/28/2012	
BNSF 2011-380(HS)	1	\$1,000	\$1,000	\$665	09/28/2012	
BNSF 2011-381(HMT)	1	\$2,000	\$2,000	\$1,250	09/28/2012	
BNSF 2011-382(SA)	4	\$20,000	\$20,000	\$13,000	09/28/2012	
BNSF 2011-384(SA)	2	\$10,000	\$10,000	\$6,425	09/28/2012	
BNSF 2011-385(LI)	1	\$2,500	\$2,500	\$1,650	09/28/2012	
BNSF 2011-386(EQ)	1	\$1,000	\$1,000	\$675	09/28/2012	
BNSF 2011-387(ROP)	1	\$9,500	\$5,000	\$5,000	09/28/2012	Partially Terminated Violation(s): 1.
BNSF 2011-388(EQ)	1	\$2,500	\$2,500	\$1,685	09/28/2012	
BNSF 2011-389(SA)	2	\$10,000	\$10,000	\$6,500	09/28/2012	
BNSF 2011-390(GC)	1	\$5,000	\$5,000	\$3,500	09/28/2012	
BNSF 2011-391(TS)	5	\$8,000	\$8,000	\$5,300	09/28/2012	
BNSF 2011-392(TS)	1	\$2,500	\$2,500	\$1,635	09/28/2012	
BNSF 2011-393(ROP)	1	\$7,500	\$7,500	\$5,000	09/28/2012	
BNSF 2011-394(TS)	1	\$5,000	\$5,000	\$3,300	09/28/2012	
BNSF 2011-395(TS)	5	\$8,000	\$8,000	\$5,250	09/28/2012	
BNSF 2011-396(EQ)	1	\$5,000	\$5,000	\$2,750	09/28/2012	
BNSF 2011-397(RW)	1	\$5,000	\$5,000	\$3,250	09/28/2012	
BNSF 2011-398(SA)	2	\$7,500	\$7,500	\$4,875	09/28/2012	
BNSF 2011-399(SA)	1	\$7,500	\$7,500	\$4,925	09/28/2012	
BNSF 2011-400(SA)	1	\$5,000	\$5,000	\$3,375	09/28/2012	
BNSF 2011-401(GC)	1	\$5,000	\$5,000	\$3,450	09/28/2012	
BNSF 2011-402(SI)	1	\$5,000	\$5,000	\$3,500	09/28/2012	
BNSF 2011-403(ROP)	4	\$30,000	\$24,500	\$16,500	09/28/2012	Partially Terminated Violation(s): 4.
BNSF 2011-404(ROP)	2	\$15,000	\$15,000	\$9,600	09/28/2012	
BNSF 2011-405(ROP)	1	\$7,500	\$2,000	\$2,000	09/28/2012	Partially Terminated Violation(s): 1.
BNSF 2011-406(ROP)	1	\$9,500	\$9,500	\$6,100	09/28/2012	
BNSF 2011-407(HS)	2	\$2,000	\$2,000	\$1,315	09/28/2012	
BNSF 2011-408(HMT)	1	\$7,500	\$7,500	\$4,900	09/28/2012	
BNSF 2011-410(TS)	11	\$11,000	\$11,000	\$7,200	09/28/2012	
BNSF 2011-411(RSP)	1	\$5,500	\$5,500	\$3,765	09/28/2012	
BNSF 2011-412(SA)	1	\$2,500	\$2,500	\$1,675	09/28/2012	
BNSF 2011-413(SA)	5	\$25,000	\$25,000	\$16,750	09/28/2012	
BNSF 2011-414(ROP)	1	\$7,500	\$7,500	\$4,600	09/28/2012	
BNSF 2011-415(GC)	1	\$5,000	\$5,000	\$3,500	09/28/2012	
BNSF 2011-416(ROP)	5	\$41,500	\$21,500	\$18,875	09/28/2012	Partially Terminated

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						Violation(s): 1, 2, 3, 5.
BNSF 2011-417(ROP)	1	\$7,500	\$7,500	\$5,100	09/28/2012	
BNSF 2011-418(LI)	1	\$2,500	\$2,500	\$1,650	09/28/2012	
BNSF 2011-419(LI)	1	\$2,500	\$2,500	\$1,650	09/28/2012	
BNSF 2011-420(RW)	1	\$1,000	\$1,000	\$700	09/28/2012	
BNSF 2011-421(FCS)	1	\$2,500	\$2,500	\$1,600	09/28/2012	
BNSF 2011-422(ROP)	1	\$1,000	\$1,000	\$650	09/28/2012	
BNSF 2011-423(EP)	5	\$5,000	\$5,000	\$3,300	09/28/2012	
BNSF 2011-424(EP)	1	\$1,000	\$1,000	\$650	09/28/2012	
BNSF 2011-425(SA)	1	\$5,000	\$5,000	\$3,285	09/28/2012	
BNSF 2011-426(SA)	2	\$7,500	\$7,500	\$5,050	09/28/2012	
BNSF 2011-428(TS)	1	\$1,000	\$1,000	\$650	09/28/2012	
BNSF 2011-429(HS)	1	\$1,000	\$1,000	\$650	09/28/2012	
BNSF 2011-430(LI)	1	\$2,500	\$2,500	\$1,750	09/28/2012	
BNSF 2011-432(EP)	1	\$1,000	\$1,000	\$650	09/28/2012	
BNSF 2011-433(TS)	1	\$2,500	\$2,500	\$1,635	09/28/2012	
BNSF 2011-434(SA)	5	\$19,500	\$19,500	\$13,000	09/28/2012	
BNSF 2011-435(SA)	1	\$2,500	\$2,500	\$1,675	09/28/2012	
BNSF 2011-438(TS)	7	\$17,500	\$17,500	\$11,600	09/28/2012	
BNSF 2011-439(TS)	6	\$9,000	\$9,000	\$5,900	09/28/2012	
BNSF 2011-440(TS)	6	\$9,000	\$9,000	\$5,875	09/28/2012	
BNSF 2011-441(TS)	1	\$2,500	\$2,500	\$1,635	09/28/2012	
BNSF 2011-442(AR)	1	\$2,500	\$2,500	\$1,650	09/28/2012	
BNSF 2011-444(HS)	2	\$2,000	\$2,000	\$1,315	09/28/2012	
BNSF 2011-445(RSP)	2	\$10,000	\$10,000	\$5,500	09/28/2012	
BNSF 2011-446(HS)	2	\$2,000	\$2,000	\$1,320	09/28/2012	
BNSF 2011-447(TS)	1	\$2,500	\$2,500	\$1,635	09/28/2012	
BNSF 2012-1(GC)	2	\$10,000	\$10,000	\$7,050	09/28/2012	
BNSF 2012-2(GS)	1	\$2,500	\$2,500	\$1,500	09/28/2012	
BNSF 2012-3(SI)	1	\$5,000	\$5,000	\$3,500	09/28/2012	
BNSF 2012-4(ROP)	1	\$7,500	\$7,500	\$5,400	09/28/2012	
BNSF 2012-5(ROP)	4	\$30,000	\$24,500	\$16,025	09/28/2012	Partially Terminated Violation(s): 4.
BNSF 2012-6(ROP)	2	\$17,000	\$17,000	\$10,650	09/28/2012	
BNSF 2012-7(RW)	2	\$6,000	\$6,000	\$3,950	09/28/2012	
BNSF 2012-9(SA)	1	\$5,000	\$5,000	\$3,400	09/28/2012	
BNSF 2012-10(SA)	1	\$5,000	\$5,000	\$3,300	09/28/2012	
BNSF 2012-11(SA)	4	\$15,000	\$15,000	\$10,250	09/28/2012	
BNSF 2012-12(SA)	1	\$2,500	\$2,500	\$1,675	09/28/2012	
BNSF 2012-13(ROP)	5	\$37,500	\$32,000	\$21,500	09/28/2012	Partially Terminated Violation(s): 2.
BNSF 2012-15(AR)	1	\$2,500	\$2,500	\$1,250	09/28/2012	
BNSF 2012-17(AR)	1	\$2,500	\$2,500	\$1,650	09/28/2012	
BNSF 2012-19(FCS)	1	\$2,500	\$2,500	\$1,700	09/28/2012	
BNSF 2012-20(HSR)	1	\$1,000	\$1,000	\$650	09/28/2012	
BNSF 2012-21(ROP)	3	\$24,500	\$24,500	\$15,750	09/28/2012	Partially Terminated Violation(s): 1, 2, 3.
BNSF 2012-24(TS)	10	\$26,500	\$26,500	\$17,300	09/28/2012	
BNSF 2012-27(ROP)	2	\$15,000	\$15,000	\$10,450	09/28/2012	
BNSF 2012-28(SA)	4	\$17,500	\$17,500	\$11,950	09/28/2012	

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BNSF 2012-30(SA)	1	\$5,000	\$5,000	\$3,300	09/28/2012	
BNSF 2012-31(SA)	1	\$2,500	\$2,500	\$1,750	09/28/2012	
BNSF 2012-32(ROP)	1	\$9,500	\$9,500	\$6,250	09/28/2012	
BNSF 2012-34(ROP)	1	\$9,500	\$9,500	\$6,250	09/28/2012	
BNSF 2012-36(RSP)	1	\$1,000	\$1,000	\$690	09/28/2012	
BNSF 2012-38(ROP)	3	\$22,500	\$6,000	\$6,000	09/28/2012	Partially Terminated Violation(s): 1.
BNSF 2012-39(GC)	1	\$5,000	\$5,000	\$3,500	09/28/2012	
BNSF 2012-40(SI)	1	\$2,500	\$2,500	\$1,725	09/28/2012	
BNSF 2012-42(HMT)	1	\$2,000	\$2,000	\$1,300	09/28/2012	
BNSF 2012-49(HSR)	1	\$1,000	\$1,000	\$650	09/28/2012	
BNSF 2012-50(FCS)	2	\$5,000	\$5,000	\$3,250	09/28/2012	
BNSF 2012-51(SA)	3	\$7,500	\$7,500	\$4,900	09/28/2012	
BNSF 2012-53(GS)	1	\$2,500	\$2,500	\$1,600	09/28/2012	
BNSF 2012-54(SI)	2	\$10,000	\$10,000	\$6,750	09/28/2012	
BNSF 2012-55(ROP)	3	\$17,000	\$17,000	\$11,250	09/28/2012	
BNSF 2012-61(SA)	3	\$12,500	\$12,500	\$8,250	09/28/2012	
BNSF 2012-62(HS)	1	\$1,000	\$1,000	\$650	09/28/2012	
BNSF 2012-63(FCS)	1	\$2,500	\$2,500	\$1,600	09/28/2012	
BNSF 2012-65(GC)	2	\$10,000	\$7,500	\$5,500	09/28/2012	Partially Terminated Violation(s): 2.
BNSF 2012-67(RW)	1	\$5,000	\$5,000	\$3,275	09/28/2012	
BNSF 2012-75(SA)	1	\$5,000	\$5,000	\$3,275	09/28/2012	
BRC 2011-1(EQ)	1	\$2,500	\$2,500	\$1,600	05/11/2012	
BRC 2011-2(SA)	1	\$2,500	\$2,500	\$1,750	05/11/2012	
BRC 2011-3(ROP)	1	\$9,500	\$9,500	\$6,000	05/11/2012	
BRC 2011-4(SA)	1	\$5,000	\$5,000	\$3,200	05/11/2012	
BRC 2011-5(SA)	1	\$5,000	\$5,000	\$3,200	05/11/2012	
BRC 2011-6(ROP)	1	\$7,500	\$7,500	\$5,000	05/11/2012	
BVRR 2011-1(RW)	1	\$2,000	\$2,000	\$1,200	09/28/2012	
CA 2011-1(SI)	1	\$5,000	\$5,000	\$2,900	09/25/2012	
CA 2011-2(SI)	1	\$5,000	\$5,000	\$2,900	09/25/2012	
CC 2011-1(LI)	2	\$5,000	\$5,000	\$3,250	09/06/2012	
CCPN 2011-1(SA)	2	\$5,000	\$5,000	\$5,000	10/31/2011	
CCT 2012-1(GC)	1	\$5,000	\$5,000	\$3,500	07/16/2012	
CFE 2010-1(AD)	1	\$2,500	\$2,500	\$1,300	09/25/2012	
CFE 2011-1(TS)	1	\$5,000	\$5,000	\$3,450	09/25/2012	
CFE 2011-2(ROP)	1	\$5,000	\$5,000	\$3,450	09/25/2012	
CFE 2011-3(SA)	1	\$5,000	\$5,000	\$3,550	09/25/2012	
CFE 2012-1(LI)	1	\$2,500	\$2,500	\$1,775	09/25/2012	
CFNR 2011-1(LI)	1	\$2,500	\$2,500	\$1,775	09/25/2012	
CFNR 2011-2(SA)	1	\$5,000	\$5,000	\$3,450	09/25/2012	
CIND 2011-1(GC)	1	\$2,500	\$2,500	\$1,775	09/25/2012	
CIND 2011-2(HS)	1	\$1,000	\$1,000	\$750	09/25/2012	
CIND 2011-3(GC)	1	\$5,000	\$5,000	\$3,450	09/25/2012	
CLNA 2011-2(LI)	2	\$5,000	\$5,000	\$5,000	02/22/2012	
CN 2011-1(SI)	1	\$1,000	\$1,000	\$650	09/06/2012	
CN 2011-2(FCS)	1	\$5,000	\$5,000	\$3,300	09/06/2012	
CN 2011-3(HMT)	1	\$6,000	\$6,000	\$4,200	09/06/2012	
CN 2011-4(HMT)	3	\$17,500	\$17,500	\$12,250	09/06/2012	

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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 2011-5(SA)	1	\$5,000	\$5,000	\$3,350	09/06/2012	
CN 2011-6(SA)	2	\$5,000	\$5,000	\$3,475	09/06/2012	
CN 2011-7(LI)	3	\$5,000	\$5,000	\$3,380	09/06/2012	
CN 2011-8(GC)	1	\$2,500	\$2,500	\$1,750	09/06/2012	
CN 2011-9(SI)	1	\$1,000	\$1,000	\$680	09/06/2012	
CN 2011-10(SA)	1	\$5,000	\$5,000	\$3,350	09/06/2012	
CN 2011-11(HMT)	1	\$4,000	\$4,000	\$2,800	09/06/2012	
CN 2011-12(FCS)	1	\$5,000	\$5,000	\$3,300	09/06/2012	
CN 2011-13(SA)	3	\$15,000	\$15,000	\$10,150	09/06/2012	
CN 2011-14(SA)	3	\$12,500	\$12,500	\$8,550	09/06/2012	
CN 2011-15(SA)	3	\$7,000	\$7,000	\$4,725	09/06/2012	
CN 2011-16(FCS)	1	\$5,000	\$5,000	\$3,300	09/06/2012	
CN 2011-17(EP)	1	\$1,000	\$1,000	\$650	09/06/2012	
CN 2011-18(ROP)	1	\$9,500	\$9,500	\$6,555	09/06/2012	
CN 2011-19(SA)	2	\$5,000	\$5,000	\$3,350	09/06/2012	
CN 2011-20(HMT)	1	\$7,500	\$7,500	\$5,175	09/06/2012	
CN 2011-21(HMT)	1	\$2,000	\$2,000	\$1,300	09/06/2012	
CN 2011-22(SA)	2	\$7,500	\$7,500	\$5,075	09/06/2012	
CN 2011-23(ROP)	1	\$7,500	\$7,500	\$5,025	09/06/2012	
CN 2011-24(SI)	1	\$5,000	\$5,000	\$3,500	09/06/2012	
CN 2011-25(SI)	1	\$5,000	\$5,000	\$3,500	09/06/2012	
CN 2011-26(SA)	2	\$10,000	\$10,000	\$6,700	09/06/2012	
CN 2011-27(SA)	1	\$5,000	\$5,000	\$3,350	09/06/2012	
CN 2011-28(HMT)	2	\$3,000	\$3,000	\$1,980	09/06/2012	
CN 2011-29(ROP)	1	\$7,500	\$2,000	\$2,000	09/06/2012	Partially Terminated Violation(s): 1.
CN 2011-30(HMT)	1	\$2,000	\$2,000	\$1,300	09/06/2012	
CN 2011-31(EO)	1	\$5,500	\$5,500	\$3,850	09/06/2012	
CN 2011-32(SI)	1	\$1,000	\$1,000	\$690	09/06/2012	
CN 2011-33(HMT)	3	\$11,500	\$11,500	\$7,875	09/06/2012	
CN 2011-34(HMT)	1	\$2,000	\$2,000	\$1,500	09/06/2012	
CN 2011-35(SA)	2	\$7,500	\$7,500	\$5,050	09/06/2012	
CN 2011-36(SA)	3	\$9,000	\$9,000	\$6,050	09/06/2012	
CN 2011-37(TS)	1	\$1,000	\$1,000	\$670	09/06/2012	
CN 2011-38(FCS)	3	\$7,500	\$7,500	\$4,875	09/06/2012	
CN 2011-39(LI)	2	\$6,500	\$6,500	\$4,355	09/06/2012	
CN 2011-40(ROP)	1	\$7,500	\$7,500	\$5,175	09/06/2012	
CN 2011-41(GC)	1	\$11,000	\$11,000	\$7,600	09/06/2012	
CN 2011-42(ROP)	2	\$17,000	\$17,000	\$11,730	09/06/2012	
CN 2011-43(LI)	1	\$2,500	\$2,500	\$1,625	09/06/2012	
CN 2011-44(LI)	1	\$2,500	\$2,500	\$1,600	09/06/2012	
CN 2011-45(ROP)	1	\$7,500	\$2,000	\$2,000	09/06/2012	Partially Terminated Violation(s): 1.
CN 2011-46(AR)	1	\$2,500	\$2,500	\$1,625	09/06/2012	
CN 2011-47(HMT)	4	\$20,500	\$20,500	\$14,300	09/06/2012	
CN 2011-48(SA)	1	\$5,000	\$5,000	\$3,250	09/06/2012	
CN 2011-49(GC)	1	\$5,000	\$5,000	\$3,500	09/06/2012	
CN 2011-50(HMT)	1	\$5,000	\$5,000	\$3,450	09/06/2012	
CN 2011-51(SA)	2	\$7,500	\$7,500	\$4,975	09/06/2012	
CN 2011-52(HS)	7	\$7,000	\$7,000	\$4,830	09/06/2012	

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CN 2011-53(RSP)	2	\$10,000	\$10,000	\$7,100	09/06/2012	
CN 2011-54(LI)	3	\$7,000	\$7,000	\$4,750	09/06/2012	
CN 2011-55(LI)	1	\$2,500	\$2,500	\$1,625	09/06/2012	
CN 2011-57(HMT)	3	\$11,500	\$11,500	\$8,125	09/06/2012	
CN 2011-58(HMT)	1	\$4,000	\$4,000	\$2,800	09/06/2012	
CN 2011-59(SA)	3	\$15,000	\$15,000	\$10,250	09/06/2012	
CN 2011-60(REM)	1	\$2,500	\$2,500	\$1,625	09/06/2012	
CN 2011-61(LI)	1	\$2,000	\$2,000	\$1,300	09/06/2012	
CN 2011-62(TS)	3	\$6,000	\$6,000	\$4,080	09/06/2012	
CN 2011-63(ROP)	4	\$30,000	\$19,000	\$14,200	09/06/2012	Partially Terminated Violation(s): 3, 4.
CN 2011-65(ROP)	1	\$7,500	\$7,500	\$5,175	09/06/2012	
CN 2011-66(HSR)	3	\$3,000	\$3,000	\$1,980	09/06/2012	
CN 2011-67(HMT)	1	\$2,000	\$2,000	\$1,360	09/06/2012	
CN 2011-68(LI)	1	\$2,500	\$2,500	\$1,675	09/06/2012	
CN 2011-69(HMT)	1	\$2,000	\$2,000	\$1,400	09/06/2012	
CN 2011-70(HMT)	4	\$9,000	\$9,000	\$6,350	09/06/2012	
CN 2011-71(SA)	1	\$5,000	\$5,000	\$3,350	09/06/2012	
CN 2011-72(SA)	3	\$12,500	\$12,500	\$8,425	09/06/2012	
CN 2011-73(SA)	2	\$7,500	\$7,500	\$4,975	09/06/2012	
CN 2011-74(SA)	2	\$10,000	\$10,000	\$6,700	09/06/2012	
CN 2011-75(ROP)	1	\$5,000	\$5,000	\$3,500	09/06/2012	
CN 2011-76(FCS)	3	\$7,500	\$7,500	\$4,875	09/06/2012	
CN 2011-78(AR)	3	\$6,000	\$6,000	\$3,930	09/06/2012	
CN 2011-79(FCS)	1	\$2,500	\$2,500	\$1,625	09/06/2012	
CN 2011-80(FCS)	1	\$2,500	\$2,500	\$1,625	09/06/2012	
CN 2011-81(SA)	1	\$5,000	\$5,000	\$3,350	09/06/2012	
CN 2011-82(ROP)	2	\$10,000	\$4,000	\$4,000	09/06/2012	Partially Terminated Violation(s): 1, 2.
CN 2011-83(ROP)	1	\$7,500	\$7,500	\$5,100	09/06/2012	
CN 2011-84(HS)	8	\$8,000	\$8,000	\$5,520	09/06/2012	
CN 2011-85(ROP)	2	\$14,500	\$11,500	\$8,460	09/06/2012	Violation(s) with Wrong Penalty Assessed: 1.
CN 2011-86(HSR)	1	\$1,000	\$1,000	\$670	09/06/2012	
CN 2011-87(HS)	7	\$7,000	\$7,000	\$4,830	09/06/2012	
CN 2011-88(SA)	1	\$5,000	\$5,000	\$3,350	09/06/2012	
CN 2011-89(ROP)	1	\$7,500	\$7,500	\$5,025	09/06/2012	
CN 2011-90(SA)	2	\$10,000	\$10,000	\$6,700	09/06/2012	
CN 2011-91(RW)	1	\$1,000	\$1,000	\$700	09/06/2012	
CN 2011-92(AR)	1	\$2,500	\$2,500	\$1,625	09/06/2012	
CN 2011-93(SA)	1	\$5,000	\$5,000	\$3,350	09/06/2012	
CN 2011-94(HMT)	1	\$5,000	\$5,000	\$3,450	09/06/2012	
CN 2011-95(ROP)	1	\$7,500	\$7,500	\$5,175	09/06/2012	
CN 2011-96(SA)	2	\$10,000	\$5,000	\$3,350	09/06/2012	Terminated violation(s): 1.
CN 2011-97(TS)	1	\$2,000	\$2,000	\$1,300	09/06/2012	
CN 2011-98(HS)	1	\$1,000	\$1,000	\$700	09/06/2012	
CN 2011-99(ROP)	5	\$30,000	\$15,500	\$13,025	09/06/2012	Violation(s) with Wrong Penalty Assessed: 1,3,4,5.
CN 2011-100(ROP)	3	\$15,000	\$6,000	\$6,000	09/06/2012	Partially Terminated Violation(s): 1, 2, 3.
CN 2011-101(ROP)	2	\$15,000	\$15,000	\$10,200	09/06/2012	

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CN 2011-102(ROP)	1	\$5,000	\$5,000	\$3,400	09/06/2012	
CN 2011-103(TS)	8	\$20,000	\$20,000	\$13,600	09/06/2012	
CN 2011-104(TS)	2	\$3,500	\$3,500	\$2,420	09/06/2012	
CN 2011-105(TS)	18	\$25,500	\$25,500	\$17,210	09/06/2012	
CN 2011-106(ROP)	1	\$7,500	\$7,500	\$5,175	09/06/2012	
CN 2011-107(GC)	1	\$5,000	\$5,000	\$3,500	09/06/2012	
CN 2011-108(HMT)	1	\$5,000	\$5,000	\$3,500	09/06/2012	
CN 2011-109(FCS)	2	\$7,500	\$7,500	\$4,925	09/06/2012	
CN 2011-110(TS)	2	\$5,000	\$5,000	\$3,375	09/06/2012	
CN 2011-111(SA)	1	\$2,500	\$2,500	\$1,650	09/06/2012	
CN 2011-112(SA)	4	\$15,000	\$15,000	\$10,125	09/06/2012	
CN 2011-113(SA)	1	\$2,500	\$2,500	\$1,675	09/06/2012	
CN 2011-114(REM)	1	\$5,000	\$5,000	\$3,250	09/06/2012	
CN 2011-115(FCS)	2	\$7,000	\$7,000	\$4,640	09/06/2012	
CN 2011-116(HS)	2	\$2,000	\$2,000	\$1,380	09/06/2012	
CN 2011-117(HS)	7	\$7,000	\$7,000	\$4,830	09/06/2012	
CN 2011-121(LI)	2	\$5,000	\$5,000	\$3,250	09/06/2012	
CN 2011-122(TS)	13	\$13,000	\$13,000	\$8,710	09/06/2012	
CN 2011-123(SA)	1	\$2,500	\$2,500	\$1,700	09/06/2012	
CN 2011-124(LI)	1	\$1,500	\$1,500	\$1,020	09/06/2012	
CN 2011-125(TS)	1	\$5,000	\$5,000	\$3,400	09/06/2012	
CN 2011-126(FCS)	2	\$5,000	\$5,000	\$3,250	09/06/2012	
CN 2011-131(EP)	1	\$1,000	\$1,000	\$650	09/06/2012	
CN 2011-132(GC)	1	\$2,500	\$2,500	\$1,700	09/06/2012	
CN 2011-133(HMT)	5	\$19,000	\$19,000	\$13,200	09/06/2012	
CN 2011-134(EQ)	1	\$1,000	\$1,000	\$670	09/06/2012	
CN 2011-135(GC)	1	\$5,000	\$5,000	\$3,500	09/06/2012	
CN 2011-136(AR)	1	\$1,000	\$1,000	\$670	09/06/2012	
CN 2011-137(AR)	1	\$2,500	\$2,500	\$1,750	09/06/2012	
CN 2011-138(ROP)	2	\$15,000	\$9,500	\$7,025	09/06/2012	Partially Terminated Violation(s): 2.
CN 2011-139(RW)	1	\$1,000	\$1,000	\$700	09/06/2012	
CN 2011-141(AR)	1	\$1,000	\$1,000	\$670	09/06/2012	
CN 2012-44(TS)	1	\$1,000	\$1,000	\$650	09/06/2012	
CORP 2011-1(GC)	1	\$1,000	\$1,000	\$750	09/25/2012	
CORP 2011-3(ROP)	1	\$7,500	\$7,500	\$5,000	09/25/2012	
CP 2011-18(HMT)	4	\$26,500	\$26,500	\$19,000	09/27/2012	
CP 2011-19(HS)	1	\$1,000	\$1,000	\$720	09/27/2012	
CP 2011-20(HSR)	1	\$1,000	\$1,000	\$670	09/27/2012	
CP 2011-21(HSR)	1	\$1,000	\$1,000	\$670	09/27/2012	
CP 2011-22(HSR)	1	\$1,000	\$1,000	\$650	09/27/2012	
CP 2011-23(HSR)	1	\$1,000	\$1,000	\$650	09/27/2012	
CP 2011-24(SI)	2	\$2,000	\$2,000	\$1,500	09/27/2012	
CP 2011-25(GC)	3	\$7,500	\$7,500	\$5,200	09/27/2012	
CP 2011-26(SA)	2	\$10,000	\$10,000	\$5,500	09/27/2012	
CP 2011-27(SA)	2	\$10,000	\$10,000	\$5,500	09/27/2012	
CP 2011-28(FCS)	1	\$2,500	\$2,500	\$1,850	09/27/2012	
CP 2011-29(SA)	2	\$10,000	\$10,000	\$7,400	09/27/2012	
CP 2011-30(HS)	2	\$2,000	\$2,000	\$1,415	09/27/2012	
CP 2011-31(HSR)	2	\$2,000	\$2,000	\$1,440	09/27/2012	

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CP 2011-32(HSR)	4	\$4,000	\$4,000	\$2,875	09/27/2012	
CP 2011-33(GC)	4	\$10,000	\$10,000	\$7,000	09/27/2012	
CP 2011-34(ROP)	1	\$9,500	\$9,500	\$7,200	09/27/2012	
CP 2011-35(SA)	1	\$5,000	\$5,000	\$3,700	09/27/2012	
CP 2011-36(HS)	2	\$2,000	\$2,000	\$1,415	09/27/2012	
CP 2011-37(HSR)	2	\$2,000	\$2,000	\$1,440	09/27/2012	
CP 2011-38(HMT)	3	\$12,000	\$12,000	\$6,000	09/27/2012	
CP 2011-39(SA)	4	\$15,000	\$15,000	\$9,500	09/27/2012	
CP 2011-40(HS)	2	\$2,000	\$2,000	\$1,415	09/27/2012	
CP 2011-41(HS)	1	\$1,000	\$1,000	\$720	09/27/2012	
CP 2011-42(ROP)	1	\$9,500	\$9,500	\$7,200	09/27/2012	
CP 2011-43(HMT)	2	\$6,000	\$6,000	\$4,500	09/27/2012	
CP 2011-44(SA)	1	\$2,500	\$2,500	\$1,850	09/27/2012	
CP 2011-45(HS)	4	\$4,000	\$4,000	\$2,880	09/27/2012	
CP 2011-46(HS)	5	\$5,000	\$5,000	\$3,600	09/27/2012	
CP 2011-47(HS)	4	\$4,000	\$4,000	\$2,600	09/27/2012	
CP 2011-48(HSR)	1	\$1,000	\$1,000	\$720	09/27/2012	
CP 2011-49(HS)	2	\$2,000	\$2,000	\$1,415	09/27/2012	
CP 2011-50(HSR)	1	\$1,000	\$1,000	\$720	09/27/2012	
CP 2011-51(HS)	1	\$1,000	\$1,000	\$720	09/27/2012	
CP 2011-53(FCS)	5	\$12,500	\$12,500	\$9,300	09/27/2012	
CP 2011-54(ROP)	2	\$19,000	\$19,000	\$11,500	09/27/2012	
CP 2011-55(TS)	1	\$5,000	\$5,000	\$3,700	09/27/2012	
CP 2011-56(GC)	1	\$1,000	\$1,000	\$710	09/27/2012	
CP 2011-57(AR)	1	\$2,500	\$2,500	\$1,350	09/27/2012	
CP 2011-59(AR)	1	\$2,500	\$2,500	\$1,850	09/27/2012	
CP 2011-60(AR)	1	\$2,500	\$2,500	\$1,300	09/27/2012	
CP 2011-62(AR)	1	\$2,500	\$2,500	\$1,850	09/27/2012	
CP 2011-63(HS)	11	\$11,000	\$11,000	\$7,800	09/27/2012	
CP 2011-65(AR)	1	\$2,500	\$2,500	\$1,850	09/27/2012	
CP 2011-67(AR)	1	\$2,500	\$2,500	\$1,850	09/27/2012	
CP 2011-69(SA)	1	\$5,000	\$5,000	\$3,700	09/27/2012	
CP 2011-70(SA)	3	\$10,000	\$10,000	\$7,400	09/27/2012	
CP 2011-71(AR)	1	\$2,500	\$2,500	\$1,825	09/27/2012	
CP 2011-72(AR)	1	\$2,500	\$2,500	\$1,850	09/27/2012	
CP 2011-73(AR)	1	\$2,500	\$2,500	\$1,850	09/27/2012	
CP 2011-74(AR)	1	\$2,500	\$2,500	\$1,550	09/27/2012	
CP 2011-75(AR)	1	\$2,500	\$2,500	\$1,800	09/27/2012	
CP 2011-76(AR)	1	\$2,500	\$2,500	\$1,825	09/27/2012	
CP 2011-77(AR)	1	\$2,500	\$0	\$0	09/27/2012	Case Terminated.
CP 2011-79(AR)	1	\$2,500	\$2,500	\$1,300	09/27/2012	
CP 2011-80(AR)	1	\$2,500	\$2,500	\$1,650	09/27/2012	
CP 2011-81(SA)	1	\$2,500	\$2,500	\$1,850	09/27/2012	
CP 2011-82(FCS)	1	\$2,500	\$2,500	\$1,850	09/27/2012	
CP 2011-83(HS)	4	\$4,000	\$4,000	\$2,850	09/27/2012	
CP 2011-84(AR)	1	\$2,500	\$2,500	\$1,800	09/27/2012	
CP 2011-85(AR)	1	\$2,500	\$2,500	\$1,850	09/27/2012	
CR 2008-17(HMT)	1	\$7,500	\$7,500	\$4,000	09/19/2012	
CR 2008-19(LI)	2	\$5,000	\$5,000	\$2,500	09/19/2012	

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CR 2008-20(HMT)	1	\$4,000	\$4,000	\$2,200	09/19/2012	
CRSH 2010-2(RSP)	2	\$15,000	\$15,000	\$12,500	09/19/2012	
CRSH 2010-3(ROP)	1	\$9,500	\$0	\$0	09/19/2012	Case Terminated.
CRSH 2011-1(ROP)	3	\$33,000	\$33,000	\$28,000	09/19/2012	
CRSH 2011-7(SA)	1	\$5,000	\$5,000	\$4,500	09/19/2012	
CRSH 2011-8(SA)	1	\$5,000	\$5,000	\$4,500	09/19/2012	
CRSH 2011-9(SA)	1	\$5,000	\$5,000	\$4,500	09/19/2012	
CRSH 2012-3(ROP)	1	\$9,500	\$9,500	\$8,000	09/19/2012	
CSCD 2011-1(TS)	1	\$2,500	\$2,500	\$1,700	09/25/2012	
CSCD 2011-2(TS)	2	\$3,500	\$3,500	\$2,400	09/25/2012	
CSX 2008-196(SA)	2	\$7,500	\$7,500	\$4,400	09/27/2012	
CSX 2008-261(ROP)	1	\$5,000	\$5,000	\$4,500	09/27/2012	
CSX 2009-43(LI)	1	\$2,500	\$2,500	\$1,475	09/27/2012	
CSX 2010-29(TS)	2	\$4,000	\$4,000	\$2,650	09/27/2012	
CSX 2010-46(HMT)	2	\$4,000	\$4,000	\$2,640	09/27/2012	
CSX 2010-92(ROR)	1	\$9,500	\$9,500	\$5,600	09/27/2012	
CSX 2010-172(AR)	2	\$5,000	\$5,000	\$2,250	09/27/2012	
CSX 2010-210(TS)	1	\$2,500	\$2,500	\$1,675	09/27/2012	
CSX 2010-220(SA)	2	\$10,000	\$10,000	\$6,750	09/27/2012	
CSX 2010-266(AR)	1	\$2,500	\$2,500	\$1,775	09/27/2012	
CSX 2010-272(AR)	1	\$2,500	\$2,500	\$1,725	09/27/2012	
CSX 2010-279(TS)	1	\$2,500	\$2,500	\$1,600	09/27/2012	
CSX 2010-308(AR)	1	\$2,500	\$2,500	\$1,625	09/27/2012	
CSX 2010-347(TS)	54	\$135,000	\$135,000	\$82,750	09/27/2012	
CSX 2010-366(AR)	1	\$2,500	\$0	\$0	09/27/2012	Case Terminated.
CSX 2010-367(AR)	1	\$2,500	\$0	\$0	09/27/2012	Case Terminated.
CSX 2010-369(AR)	1	\$2,500	\$2,500	\$1,675	09/27/2012	
CSX 2010-383(HSR)	1	\$1,000	\$1,000	\$650	09/27/2012	
CSX 2010-387(TS)	1	\$2,500	\$2,500	\$1,650	09/27/2012	
CSX 2011-2(SA)	2	\$10,000	\$0	\$0	09/27/2012	Case Terminated.
CSX 2011-9(ROP)	1	\$7,500	\$7,500	\$5,725	09/27/2012	
CSX 2011-13(AR)	1	\$2,500	\$2,500	\$1,550	09/27/2012	
CSX 2011-17(SA)	2	\$7,500	\$7,500	\$5,125	09/27/2012	
CSX 2011-26(TS)	12	\$30,000	\$30,000	\$19,875	09/27/2012	
CSX 2011-31(TS)	10	\$50,000	\$5,000	\$5,000	09/27/2012	Terminated Violation(s): 2.
CSX 2011-32(HSR)	4	\$4,000	\$4,000	\$2,600	09/27/2012	
CSX 2011-40(PEP)	5	\$25,000	\$25,000	\$16,250	09/27/2012	
CSX 2011-48(SA)	3	\$15,000	\$15,000	\$9,300	09/27/2012	
CSX 2011-52(LI)	1	\$2,500	\$0	\$0	09/27/2012	Case Terminated.
CSX 2011-56(GC)	1	\$2,500	\$2,500	\$1,600	09/27/2012	
CSX 2011-64(LI)	1	\$2,500	\$2,500	\$1,700	09/27/2012	
CSX 2011-72(SI)	1	\$2,500	\$2,500	\$1,625	09/27/2012	
CSX 2011-86(SA)	2	\$10,000	\$10,000	\$6,475	09/27/2012	
CSX 2011-90(TS)	1	\$1,000	\$1,000	\$650	09/27/2012	
CSX 2011-96(HSR)	1	\$1,000	\$0	\$0	09/27/2012	Case Terminated.
CSX 2011-105(HSR)	4	\$4,000	\$3,000	\$2,400	09/27/2012	Terminated Violation(s): 4.
CSX 2011-108(GC)	1	\$2,500	\$2,500	\$1,700	09/27/2012	
CSX 2011-109(SA)	1	\$5,000	\$5,000	\$3,250	09/27/2012	
CSX 2011-112(SI)	1	\$1,000	\$1,000	\$700	09/27/2012	

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CSX 2011-113(FCS)	1	\$2,500	\$2,500	\$1,700	09/27/2012	
CSX 2011-115(LI)	2	\$5,000	\$5,000	\$3,300	09/27/2012	
CSX 2011-116(FCS)	3	\$7,500	\$7,500	\$4,750	09/27/2012	
CSX 2011-118(EO)	1	\$2,500	\$2,500	\$1,550	09/27/2012	
CSX 2011-120(LI)	1	\$2,500	\$2,500	\$1,250	09/27/2012	
CSX 2011-121(GC)	1	\$2,500	\$2,500	\$1,550	09/27/2012	
CSX 2011-122(HMT)	9	\$23,500	\$23,500	\$14,900	09/27/2012	
CSX 2011-123(TS)	1	\$5,000	\$5,000	\$3,100	09/27/2012	
CSX 2011-124(HMT)	2	\$4,000	\$4,000	\$2,640	09/27/2012	
CSX 2011-125(ROP)	1	\$7,500	\$7,500	\$4,875	09/27/2012	
CSX 2011-126(SA)	1	\$5,000	\$5,000	\$3,400	09/27/2012	
CSX 2011-127(SA)	3	\$12,500	\$12,500	\$8,150	09/27/2012	
CSX 2011-128(LI)	1	\$2,500	\$2,500	\$1,700	09/27/2012	
CSX 2011-129(SI)	6	\$6,000	\$6,000	\$4,200	09/27/2012	
CSX 2011-130(PEQ)	2	\$5,000	\$5,000	\$3,350	09/27/2012	
CSX 2011-131(SA)	3	\$7,500	\$7,500	\$4,825	09/27/2012	
CSX 2011-132(LI)	2	\$3,500	\$1,000	\$700	09/27/2012	Terminated Violation(s): 1.
CSX 2011-133(SA)	1	\$2,500	\$2,500	\$1,600	09/27/2012	
CSX 2011-134(GC)	2	\$10,000	\$10,000	\$6,500	09/27/2012	
CSX 2011-135(FCS)	1	\$2,500	\$2,500	\$1,600	09/27/2012	
CSX 2011-136(HMT)	2	\$10,000	\$10,000	\$6,800	09/27/2012	
CSX 2011-137(SA)	3	\$10,000	\$10,000	\$6,575	09/27/2012	
CSX 2011-138(SA)	3	\$10,000	\$10,000	\$6,700	09/27/2012	
CSX 2011-139(HMT)	2	\$3,000	\$3,000	\$2,000	09/27/2012	
CSX 2011-140(SA)	3	\$12,500	\$12,500	\$8,175	09/27/2012	
CSX 2011-141(FCS)	1	\$2,500	\$2,500	\$1,625	09/27/2012	
CSX 2011-142(TS)	2	\$10,000	\$10,000	\$7,800	09/27/2012	
CSX 2011-145(LI)	2	\$5,000	\$5,000	\$3,000	09/27/2012	
CSX 2011-146(SA)	2	\$5,000	\$5,000	\$3,300	09/27/2012	
CSX 2011-147(LI)	2	\$5,000	\$5,000	\$3,250	09/27/2012	
CSX 2011-148(LI)	1	\$2,500	\$2,500	\$1,700	09/27/2012	
CSX 2011-149(SA)	5	\$22,500	\$22,500	\$14,375	09/27/2012	
CSX 2011-150(ROP)	2	\$17,000	\$17,000	\$11,400	09/27/2012	
CSX 2011-151(TS)	2	\$10,000	\$10,000	\$6,850	09/27/2012	
CSX 2011-152(HMT)	1	\$2,500	\$2,500	\$1,500	09/27/2012	
CSX 2011-153(HMT)	1	\$7,500	\$7,500	\$5,100	09/27/2012	
CSX 2011-154(SA)	5	\$20,000	\$20,000	\$13,475	09/27/2012	
CSX 2011-155(SA)	1	\$5,000	\$5,000	\$3,150	09/27/2012	
CSX 2011-156(TS)	4	\$13,500	\$13,500	\$9,225	09/27/2012	
CSX 2011-157(LI)	1	\$2,500	\$2,500	\$1,675	09/27/2012	
CSX 2011-158(LI)	1	\$2,500	\$2,500	\$1,525	09/27/2012	
CSX 2011-159(HMT)	1	\$2,500	\$2,500	\$1,650	09/27/2012	
CSX 2011-160(SA)	1	\$5,000	\$5,000	\$3,325	09/27/2012	
CSX 2011-161(HSR)	5	\$5,000	\$5,000	\$3,250	09/27/2012	
CSX 2011-162(HSR)	5	\$5,000	\$5,000	\$3,250	09/27/2012	
CSX 2011-163(HSR)	3	\$3,000	\$3,000	\$1,950	09/27/2012	
CSX 2011-164(SA)	2	\$10,000	\$10,000	\$6,200	09/27/2012	
CSX 2011-165(FCS)	1	\$5,000	\$5,000	\$3,250	09/27/2012	
CSX 2011-166(ROP)	1	\$7,500	\$7,500	\$4,950	09/27/2012	

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CSX 2011-167(FCS)	2	\$7,500	\$5,000	\$3,250	09/27/2012	Terminated Violation(s): 1.
CSX 2011-168(ROP)	1	\$9,500	\$5,000	\$5,000	09/27/2012	Partially Terminated Violation(s): 1.
CSX 2011-169(HMT)	3	\$20,000	\$15,500	\$12,000	09/27/2012	Partially Terminated Violation(s): 2.
CSX 2011-170(SA)	2	\$10,000	\$10,000	\$6,000	09/27/2012	
CSX 2011-171(HSR)	3	\$3,000	\$3,000	\$1,950	09/27/2012	
CSX 2011-172(HSR)	5	\$5,000	\$3,000	\$3,000	09/27/2012	Terminated Violation(s): 2, 4.
CSX 2011-175(LI)	1	\$2,500	\$2,500	\$1,675	09/27/2012	
CSX 2011-176(FCS)	1	\$2,500	\$2,500	\$1,675	09/27/2012	
CSX 2011-177(HMT)	2	\$11,000	\$11,000	\$7,000	09/27/2012	
CSX 2011-178(LI)	2	\$4,000	\$4,000	\$2,695	09/27/2012	
CSX 2011-179(LI)	1	\$2,500	\$2,500	\$1,600	09/27/2012	
CSX 2011-180(LI)	1	\$2,500	\$2,500	\$1,650	09/27/2012	
CSX 2011-181(LI)	1	\$2,500	\$2,500	\$1,475	09/27/2012	
CSX 2011-182(HS)	5	\$5,000	\$5,000	\$3,400	09/27/2012	
CSX 2011-183(HS)	5	\$5,000	\$5,000	\$3,250	09/27/2012	
CSX 2011-184(HS)	5	\$5,000	\$5,000	\$3,250	09/27/2012	
CSX 2011-185(HS)	5	\$5,000	\$5,000	\$3,250	09/27/2012	
CSX 2011-186(HS)	2	\$2,000	\$2,000	\$1,350	09/27/2012	
CSX 2011-187(HMT)	2	\$5,000	\$5,000	\$3,400	09/27/2012	
CSX 2011-188(SA)	2	\$5,000	\$5,000	\$2,750	09/27/2012	
CSX 2011-189(SA)	1	\$2,500	\$2,500	\$1,400	09/27/2012	
CSX 2011-190(SA)	2	\$5,000	\$5,000	\$3,200	09/27/2012	
CSX 2011-191(SA)	1	\$5,000	\$5,000	\$2,750	09/27/2012	
CSX 2011-192(SA)	3	\$7,500	\$7,500	\$3,850	09/27/2012	
CSX 2011-193(SA)	3	\$7,500	\$7,500	\$3,850	09/27/2012	
CSX 2011-194(ROP)	2	\$15,000	\$15,000	\$9,500	09/27/2012	
CSX 2011-195(HMT)	2	\$6,000	\$6,000	\$4,020	09/27/2012	
CSX 2011-196(RSP)	1	\$5,000	\$5,000	\$3,400	09/27/2012	
CSX 2011-197(LI)	1	\$2,500	\$2,500	\$1,625	09/27/2012	
CSX 2011-198(TS)	1	\$2,500	\$2,500	\$1,700	09/27/2012	
CSX 2011-199(SA)	2	\$10,000	\$10,000	\$5,500	09/27/2012	
CSX 2011-200(SA)	4	\$12,500	\$12,500	\$7,250	09/27/2012	
CSX 2011-201(SA)	2	\$10,000	\$10,000	\$5,000	09/27/2012	
CSX 2011-202(SA)	4	\$20,000	\$20,000	\$13,600	09/27/2012	
CSX 2011-203(SA)	4	\$12,500	\$12,500	\$8,300	09/27/2012	
CSX 2011-204(SA)	2	\$5,000	\$5,000	\$2,900	09/27/2012	
CSX 2011-205(FCS)	1	\$5,000	\$5,000	\$3,200	09/27/2012	
CSX 2011-206(ROP)	1	\$7,500	\$7,500	\$4,950	09/27/2012	
CSX 2011-207(TS)	1	\$5,000	\$5,000	\$3,400	09/27/2012	
CSX 2011-208(HS)	5	\$5,000	\$5,000	\$3,250	09/27/2012	
CSX 2011-209(HS)	5	\$5,000	\$5,000	\$3,250	09/27/2012	
CSX 2011-210(SA)	4	\$12,500	\$12,500	\$6,900	09/27/2012	
CSX 2011-211(SA)	1	\$5,000	\$5,000	\$3,400	09/27/2012	
CSX 2011-212(SI)	1	\$5,000	\$2,500	\$2,500	09/27/2012	Partially Terminated Violation(s): 1.
CSX 2011-213(ROP)	1	\$7,500	\$7,500	\$5,725	09/27/2012	
CSX 2011-214(FCS)	1	\$2,500	\$2,500	\$1,675	09/27/2012	
CSX 2011-215(SI)	1	\$2,500	\$2,500	\$2,000	09/27/2012	

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CSX 2011-216(RW)	1	\$5,000	\$5,000	\$3,400	09/27/2012	
CSX 2011-217(SA)	1	\$2,500	\$2,500	\$2,000	09/27/2012	
CSX 2011-218(TS)	1	\$2,500	\$2,500	\$1,700	09/27/2012	
CSX 2011-219(ROP)	2	\$15,000	\$7,500	\$5,325	09/27/2012	Terminated Violation(s): 2.
CSX 2011-220(SA)	2	\$10,000	\$10,000	\$6,500	09/27/2012	
CSX 2011-221(LI)	1	\$2,500	\$2,500	\$1,625	09/27/2012	
CSX 2011-222(TS)	2	\$10,000	\$10,000	\$6,850	09/27/2012	
CSX 2011-223(SA)	3	\$15,000	\$15,000	\$10,100	09/27/2012	
CSX 2011-224(RSP)	1	\$9,500	\$9,500	\$6,365	09/27/2012	
CSX 2011-225(TS)	1	\$5,000	\$5,000	\$3,400	09/27/2012	
CSX 2011-226(HS)	5	\$5,000	\$5,000	\$3,250	09/27/2012	
CSX 2011-227(HS)	2	\$2,000	\$2,000	\$1,350	09/27/2012	
CSX 2011-228(ROP)	1	\$5,000	\$0	\$0	09/27/2012	Case Terminated.
CSX 2011-229(SA)	1	\$5,000	\$5,000	\$3,000	09/27/2012	
CSX 2011-230(SA)	3	\$15,000	\$10,000	\$7,450	09/27/2012	Terminated Violation(s): 3.
CSX 2011-231(RSP)	1	\$1,000	\$1,000	\$680	09/27/2012	
CSX 2011-232(HS)	5	\$5,000	\$5,000	\$3,250	09/27/2012	
CSX 2011-233(HS)	5	\$5,000	\$5,000	\$3,250	09/27/2012	
CSX 2011-234(RSP)	1	\$5,500	\$5,500	\$3,775	09/27/2012	
CSX 2011-235(SA)	1	\$2,500	\$2,500	\$1,475	09/27/2012	
CSX 2011-236(HMT)	6	\$25,000	\$12,000	\$9,760	09/27/2012	Terminated Violation(s): 4.
CSX 2011-237(FCS)	1	\$2,500	\$2,500	\$1,600	09/27/2012	
CSX 2011-238(HS)	1	\$1,000	\$1,000	\$700	09/27/2012	
CSX 2011-239(SA)	1	\$2,500	\$2,500	\$1,700	09/27/2012	
CSX 2011-240(SA)	1	\$5,000	\$5,000	\$3,400	09/27/2012	
CSX 2011-241(FCS)	1	\$2,500	\$2,500	\$1,600	09/27/2012	
CSX 2011-242(HS)	1	\$1,000	\$1,000	\$650	09/27/2012	
CSX 2011-243(RSP)	3	\$7,500	\$7,500	\$4,950	09/27/2012	
CSX 2011-244(GC)	1	\$5,000	\$5,000	\$3,400	09/27/2012	
CSX 2011-245(GC)	1	\$5,000	\$5,000	\$3,250	09/27/2012	
CSX 2011-246(SI)	1	\$2,500	\$2,500	\$2,000	09/27/2012	
CSX 2011-247(HMT)	1	\$4,000	\$4,000	\$2,720	09/27/2012	
CSX 2011-248(LI)	2	\$5,000	\$5,000	\$2,900	09/27/2012	
CSX 2011-249(EO)	1	\$2,500	\$2,500	\$1,550	09/27/2012	
CSX 2011-250(HMT)	2	\$11,500	\$11,500	\$7,500	09/27/2012	
CSX 2011-251(TS)	2	\$2,000	\$2,000	\$1,350	09/27/2012	
CSX 2011-252(TS)	3	\$15,000	\$15,000	\$10,200	09/27/2012	
CSX 2011-253(RW)	1	\$1,000	\$1,000	\$690	09/27/2012	
CSX 2011-254(HS)	2	\$2,000	\$2,000	\$1,300	09/27/2012	
CSX 2011-255(SA)	1	\$5,000	\$5,000	\$3,400	09/27/2012	
CSX 2011-256(FCS)	3	\$7,500	\$7,500	\$5,050	09/27/2012	
CSX 2011-257(FCS)	1	\$5,000	\$5,000	\$3,250	09/27/2012	
CSX 2011-258(RSP)	1	\$1,000	\$1,000	\$650	09/27/2012	
CSX 2011-259(HS)	1	\$1,000	\$1,000	\$700	09/27/2012	
CSX 2011-260(HSR)	2	\$2,000	\$2,000	\$1,300	09/27/2012	
CSX 2011-261(HS)	2	\$2,000	\$2,000	\$1,300	09/27/2012	
CSX 2011-262(SI)	2	\$2,000	\$2,000	\$1,800	09/27/2012	
CSX 2011-263(FCS)	1	\$2,500	\$2,500	\$1,600	09/27/2012	
CSX 2011-264(SA)	1	\$2,500	\$2,500	\$1,650	09/27/2012	

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CSX 2011-265(SA)	4	\$9,500	\$9,500	\$6,335	09/27/2012	
CSX 2011-266(SA)	3	\$9,500	\$9,500	\$5,900	09/27/2012	
CSX 2011-267(ROP)	1	\$7,500	\$7,500	\$5,100	09/27/2012	
CSX 2011-268(FCS)	5	\$11,000	\$11,000	\$7,070	09/27/2012	
CSX 2011-269(ROR)	1	\$9,500	\$9,500	\$5,400	09/27/2012	
CSX 2011-270(ROP)	1	\$9,500	\$9,500	\$6,675	09/27/2012	
CSX 2011-271(HSR)	1	\$1,000	\$1,000	\$650	09/27/2012	
CSX 2011-272(TS)	1	\$1,000	\$1,000	\$700	09/27/2012	
CSX 2011-273(SA)	2	\$10,000	\$10,000	\$6,600	09/27/2012	
CSX 2011-274(LI)	4	\$10,000	\$7,500	\$5,100	09/27/2012	Terminated Violation(s): 1.
CSX 2011-275(FCS)	1	\$2,500	\$2,500	\$1,575	09/27/2012	
CSX 2011-277(RW)	2	\$5,000	\$5,000	\$3,300	09/27/2012	
CSX 2011-278(ROR)	1	\$9,500	\$9,500	\$5,850	09/27/2012	
CSX 2011-279(RSP)	2	\$2,000	\$2,000	\$1,360	09/27/2012	
CSX 2011-280(SI)	1	\$1,000	\$1,000	\$800	09/27/2012	
CSX 2011-281(SI)	2	\$5,000	\$5,000	\$3,400	09/27/2012	
CSX 2011-282(SA)	1	\$5,000	\$5,000	\$3,400	09/27/2012	
CSX 2011-283(ROP)	2	\$15,000	\$15,000	\$10,225	09/27/2012	
CSX 2011-284(ROR)	1	\$9,500	\$9,500	\$5,300	09/27/2012	
CSX 2011-285(SA)	2	\$7,500	\$7,500	\$5,100	09/27/2012	
CSX 2011-286(GC)	1	\$5,000	\$5,000	\$3,350	09/27/2012	
CSX 2011-287(ROP)	2	\$15,000	\$15,000	\$8,600	09/27/2012	
CSX 2011-288(SA)	1	\$5,000	\$5,000	\$3,400	09/27/2012	
CSX 2011-289(HMT)	2	\$15,000	\$15,000	\$10,000	09/27/2012	
CSX 2011-290(TS)	2	\$3,500	\$3,500	\$2,380	09/27/2012	
CSX 2011-291(RSP)	1	\$5,000	\$0	\$0	09/27/2012	Case Terminated.
CSX 2011-292(HSR)	1	\$1,000	\$1,000	\$650	09/27/2012	
CSX 2011-293(RSP)	1	\$5,500	\$5,500	\$3,685	09/27/2012	
CSX 2011-294(HMT)	1	\$4,000	\$4,000	\$2,775	09/27/2012	
CSX 2011-295(HMT)	1	\$2,500	\$2,500	\$1,650	09/27/2012	
CSX 2011-296(TS)	4	\$15,000	\$15,000	\$10,200	09/27/2012	
CSX 2011-297(ROP)	2	\$15,000	\$15,000	\$10,950	09/27/2012	
CSX 2011-298(SA)	1	\$5,000	\$5,000	\$3,400	09/27/2012	
CSX 2011-299(SA)	1	\$5,000	\$5,000	\$3,400	09/27/2012	
CSX 2011-300(ROP)	4	\$36,000	\$36,000	\$23,175	09/27/2012	
CSX 2011-301(SA)	3	\$15,000	\$15,000	\$9,500	09/27/2012	
CSX 2011-302(TS)	1	\$2,500	\$2,500	\$1,675	09/27/2012	
CSX 2011-303(TS)	1	\$5,000	\$5,000	\$3,400	09/27/2012	
CSX 2011-304(FCS)	1	\$2,500	\$2,500	\$1,575	09/27/2012	
CSX 2011-305(GC)	1	\$5,000	\$5,000	\$3,350	09/27/2012	
CSX 2011-306(SA)	2	\$7,500	\$7,500	\$4,875	09/27/2012	
CSX 2011-307(FCS)	1	\$2,500	\$2,500	\$1,500	09/27/2012	
CSX 2011-308(SA)	1	\$2,500	\$2,500	\$1,675	09/27/2012	
CSX 2011-309(SA)	2	\$7,500	\$7,500	\$5,100	09/27/2012	
CSX 2011-310(FCS)	1	\$2,500	\$2,500	\$1,625	09/27/2012	
CSX 2011-311(ROP)	1	\$7,500	\$0	\$0	09/27/2012	Case Terminated.
CSX 2011-312(TS)	3	\$10,000	\$10,000	\$6,750	09/27/2012	
CSX 2011-313(RSP)	1	\$1,000	\$1,000	\$650	09/27/2012	
CSX 2011-314(ROP)	1	\$7,500	\$7,500	\$3,850	09/27/2012	

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CSX 2011-315(FCS)	4	\$10,000	\$10,000	\$6,550	09/27/2012	
CSX 2011-316(SA)	2	\$7,500	\$7,500	\$5,050	09/27/2012	
CSX 2011-317(SA)	2	\$7,500	\$7,500	\$5,050	09/27/2012	
CSX 2011-318(HMT)	2	\$15,000	\$4,000	\$4,000	09/27/2012	Partially Terminated Violation(s): 1.
CSX 2011-319(GC)	1	\$2,500	\$2,500	\$1,600	09/27/2012	
CSX 2011-320(SI)	2	\$10,000	\$10,000	\$6,000	09/27/2012	
CSX 2011-321(FCS)	1	\$2,500	\$2,500	\$1,700	09/27/2012	
CSX 2011-322(ROP)	1	\$7,500	\$7,500	\$3,950	09/27/2012	
CSX 2011-323(TH)	1	\$5,000	\$5,000	\$3,000	09/27/2012	
CSX 2011-324(TS)	2	\$10,000	\$10,000	\$6,800	09/27/2012	
CSX 2011-325(ROP)	1	\$5,000	\$5,000	\$3,250	09/27/2012	
CSX 2011-326(SA)	3	\$15,000	\$15,000	\$9,000	09/27/2012	
CSX 2011-327(SA)	5	\$17,500	\$17,500	\$11,690	09/27/2012	
CSX 2011-328(SA)	5	\$12,500	\$12,500	\$8,500	09/27/2012	
CSX 2011-329(SA)	1	\$5,000	\$5,000	\$3,200	09/27/2012	
CSX 2011-330(SI)	1	\$1,000	\$1,000	\$700	09/27/2012	
CSX 2011-331(SA)	2	\$10,000	\$10,000	\$6,500	09/27/2012	
CSX 2011-332(RSP)	2	\$10,000	\$10,000	\$6,600	09/27/2012	
CSX 2011-333(TS)	1	\$5,000	\$5,000	\$3,300	09/27/2012	
CSX 2011-334(ROP)	1	\$9,500	\$9,500	\$6,400	09/27/2012	
CSX 2011-336(HMT)	3	\$15,000	\$15,000	\$10,000	09/27/2012	
CSX 2011-337(HMT)	1	\$7,500	\$7,500	\$5,225	09/27/2012	
CSX 2011-338(RW)	3	\$5,000	\$5,000	\$3,340	09/27/2012	
CSX 2011-339(LI)	5	\$12,500	\$12,500	\$8,250	09/27/2012	
CSX 2011-340(LI)	2	\$5,000	\$5,000	\$3,200	09/27/2012	
CSX 2011-341(SA)	3	\$12,500	\$12,500	\$8,000	09/27/2012	
CSX 2011-342(FCS)	1	\$2,500	\$2,500	\$1,575	09/27/2012	
CSX 2011-343(ROP)	2	\$12,500	\$12,500	\$7,625	09/27/2012	
CSX 2011-344(ROP)	1	\$9,500	\$9,500	\$6,175	09/27/2012	
CSX 2011-345(HS)	3	\$3,000	\$3,000	\$1,950	09/27/2012	
CSX 2011-346(RSP)	1	\$9,500	\$9,500	\$6,270	09/27/2012	
CSX 2011-347(GC)	1	\$5,000	\$5,000	\$3,300	09/27/2012	
CSX 2011-348(HMT)	1	\$2,500	\$2,500	\$1,750	09/27/2012	
CSX 2011-349(FCS)	3	\$7,500	\$5,000	\$3,150	09/27/2012	Terminated Violation(s): 1.
CSX 2011-350(SA)	3	\$12,500	\$12,500	\$7,975	09/27/2012	
CSX 2011-351(SA)	2	\$10,000	\$10,000	\$6,500	09/27/2012	
CSX 2011-352(LI)	1	\$1,000	\$1,000	\$690	09/27/2012	
CSX 2011-354(EQ)	1	\$1,000	\$1,000	\$650	09/27/2012	
CSX 2011-355(LI)	1	\$2,500	\$2,500	\$1,675	09/27/2012	
CSX 2011-356(SA)	2	\$7,500	\$7,500	\$5,050	09/27/2012	
CSX 2011-357(TS)	1	\$2,500	\$2,500	\$1,650	09/27/2012	
CSX 2011-358(SA)	2	\$7,500	\$7,500	\$4,675	09/27/2012	
CSX 2011-359(SA)	2	\$10,000	\$10,000	\$6,800	09/27/2012	
CSX 2011-360(HMT)	2	\$11,500	\$11,500	\$7,500	09/27/2012	
CSX 2011-361(RW)	1	\$5,000	\$5,000	\$3,500	09/27/2012	
CSX 2011-362(HSR)	5	\$5,000	\$5,000	\$3,250	09/27/2012	
CSX 2011-363(HSR)	3	\$3,000	\$3,000	\$1,950	09/27/2012	
CSX 2011-365(SA)	4	\$12,500	\$12,500	\$8,225	09/27/2012	
CSX 2011-367(ROP)	1	\$7,500	\$7,500	\$4,800	09/27/2012	

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CSX 2011-368(HMT)	1	\$2,000	\$2,000	\$1,400	09/27/2012	
CSX 2011-369(TS)	2	\$7,500	\$7,500	\$5,050	09/27/2012	
CSX 2011-370(HS)	1	\$1,000	\$1,000	\$700	09/27/2012	
CSX 2011-371(SA)	4	\$17,500	\$17,500	\$11,000	09/27/2012	
CSX 2011-372(SA)	4	\$17,500	\$17,500	\$11,500	09/27/2012	
CSX 2011-373(FCS)	1	\$2,500	\$2,500	\$1,575	09/27/2012	
CSX 2011-375(ROP)	1	\$7,500	\$7,500	\$4,800	09/27/2012	
CSX 2011-376(HMT)	2	\$9,500	\$9,500	\$6,625	09/27/2012	
CSX 2011-377(FCS)	1	\$2,500	\$2,500	\$1,575	09/27/2012	
CSX 2011-378(LI)	2	\$3,000	\$3,000	\$1,980	09/27/2012	
CSX 2011-379(LI)	1	\$2,000	\$2,000	\$1,320	09/27/2012	
CSX 2011-380(SA)	2	\$5,000	\$5,000	\$3,400	09/27/2012	
CSX 2011-381(SA)	2	\$10,000	\$7,500	\$5,525	09/27/2012	Partially Terminated Violation(s): 2.
CSX 2011-382(RSP)	1	\$1,000	\$1,000	\$700	09/27/2012	
CSX 2011-383(SA)	5	\$25,000	\$25,000	\$15,750	09/27/2012	
CSX 2011-384(HSR)	5	\$5,000	\$5,000	\$3,250	09/27/2012	
CSX 2011-385(SA)	1	\$5,000	\$5,000	\$3,400	09/27/2012	
CSX 2011-386(SA)	1	\$2,500	\$2,500	\$1,700	09/27/2012	
CSX 2011-387(HSR)	2	\$2,000	\$2,000	\$1,300	09/27/2012	
CSX 2011-388(RW)	1	\$1,000	\$1,000	\$650	09/27/2012	
CSX 2011-389(TS)	1	\$1,000	\$1,000	\$650	09/27/2012	
CSX 2011-390(HSR)	5	\$5,000	\$5,000	\$3,250	09/27/2012	
CSX 2011-391(HSR)	5	\$5,000	\$5,000	\$3,250	09/27/2012	
CSX 2011-392(HSR)	5	\$5,000	\$5,000	\$3,250	09/27/2012	
CSX 2011-393(HSR)	5	\$5,000	\$5,000	\$3,250	09/27/2012	
CSX 2011-394(HSR)	1	\$1,000	\$1,000	\$650	09/27/2012	
CSX 2011-395(SA)	1	\$5,000	\$5,000	\$2,500	09/27/2012	
CSX 2011-396(LI)	1	\$2,500	\$2,500	\$1,650	09/27/2012	
CSX 2012-1(FCS)	2	\$5,000	\$5,000	\$3,325	09/27/2012	
CSX 2012-2(FCS)	1	\$2,500	\$2,500	\$1,625	09/27/2012	
CSX 2012-3(SA)	2	\$10,000	\$10,000	\$6,600	09/27/2012	
CSX 2012-4(SA)	1	\$5,000	\$5,000	\$3,400	09/27/2012	
CSX 2012-5(TS)	1	\$1,000	\$1,000	\$650	09/27/2012	
CSX 2012-6(SI)	1	\$1,000	\$1,000	\$650	09/27/2012	
CSX 2012-7(HSR)	5	\$5,000	\$5,000	\$3,250	09/27/2012	
CSX 2012-9(EP)	1	\$1,000	\$1,000	\$690	09/27/2012	
CSX 2012-10(SA)	4	\$12,500	\$12,500	\$8,100	09/27/2012	
CSX 2012-11(TS)	5	\$18,500	\$18,500	\$12,600	09/27/2012	
CSX 2012-13(SA)	2	\$7,500	\$7,500	\$5,100	09/27/2012	
CSX 2012-14(SA)	1	\$5,000	\$5,000	\$3,350	09/27/2012	
CSX 2012-15(SA)	5	\$12,500	\$12,500	\$7,575	09/27/2012	
CSX 2012-17(SI)	2	\$6,000	\$6,000	\$4,400	09/27/2012	
CSX 2012-18(FCS)	1	\$2,500	\$2,500	\$1,475	09/27/2012	
CSX 2012-19(HS)	5	\$5,000	\$5,000	\$3,250	09/27/2012	
CSX 2012-20(RW)	1	\$2,500	\$2,500	\$1,700	09/27/2012	
CSX 2012-21(LI)	3	\$10,000	\$10,000	\$6,500	09/27/2012	
CSX 2012-22(HSR)	5	\$5,000	\$5,000	\$3,250	09/27/2012	
CSX 2012-23(HSR)	2	\$2,000	\$2,000	\$1,300	09/27/2012	
CSX 2012-25(SA)	3	\$10,000	\$10,000	\$6,300	09/27/2012	

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CSX 2012-27(HMT)	1	\$5,000	\$5,000	\$3,475	09/27/2012	
CSX 2012-28(FCS)	2	\$7,500	\$7,500	\$4,725	09/27/2012	
CSX 2012-29(LI)	4	\$8,500	\$8,500	\$5,500	09/27/2012	
CSX 2012-31(RSP)	1	\$9,500	\$9,500	\$6,500	09/27/2012	
CSX 2012-32(LI)	1	\$2,500	\$2,500	\$1,700	09/27/2012	
CSX 2012-33(LI)	1	\$2,500	\$2,500	\$1,700	09/27/2012	
CSX 2012-35(ROP)	1	\$7,500	\$7,500	\$4,800	09/27/2012	
CSX 2012-37(FCS)	1	\$2,500	\$2,500	\$1,650	09/27/2012	
CSX 2012-40(HSR)	5	\$5,000	\$5,000	\$3,250	09/27/2012	
CSX 2012-41(SA)	1	\$5,000	\$5,000	\$3,300	09/27/2012	
CSX 2012-43(FCS)	1	\$2,500	\$2,500	\$1,700	09/27/2012	
CSX 2012-44(HSR)	3	\$3,000	\$3,000	\$1,950	09/27/2012	
CSX 2012-45(TS)	3	\$15,000	\$15,000	\$8,875	09/27/2012	
CSX 2012-51(FCS)	2	\$5,000	\$5,000	\$3,275	09/27/2012	
CSX 2012-54(TS)	2	\$7,500	\$7,500	\$5,138	09/27/2012	
CSX 2012-55(BW)	1	\$25,000	\$25,000	\$18,750	09/27/2012	
CSX 2012-59(SA)	2	\$10,000	\$10,000	\$6,600	09/27/2012	
CSX 2012-62(TS)	1	\$5,000	\$5,000	\$3,400	09/27/2012	
CSX 2012-69(FCS)	1	\$5,000	\$5,000	\$2,900	09/27/2012	
CSX 2012-72(SA)	4	\$12,500	\$12,500	\$8,250	09/27/2012	
CSX 2012-76(SA)	3	\$10,000	\$10,000	\$6,300	09/27/2012	
CT 2011-1(GC)	1	\$1,000	\$1,000	\$1,000	04/16/2012	
CUOH 2009-1(LI)	1	\$1,500	\$1,500	\$750	02/23/2012	
CUOH 2010-1(TS)	1	\$5,000	\$5,000	\$2,500	02/23/2012	
CUOH 2010-2(GC)	1	\$7,500	\$7,500	\$3,750	02/23/2012	
DGNO 2009-11(TS)	5	\$25,000	\$25,000	\$16,000	09/25/2012	
DGNO 2010-6(TS)	3	\$15,000	\$15,000	\$9,350	09/25/2012	
DGNO 2010-7(GC)	4	\$8,500	\$8,500	\$5,950	09/25/2012	
DGNO 2011-4(SA)	1	\$5,000	\$5,000	\$3,450	09/25/2012	
DGNO 2011-5(SA)	1	\$5,000	\$5,000	\$3,550	09/25/2012	
DGNO 2012-1(ROP)	3	\$24,500	\$24,500	\$16,750	09/25/2012	
DGNO 2012-2(SA)	1	\$2,500	\$2,500	\$1,700	09/25/2012	
DH 2011-2(SA)	3	\$15,000	\$15,000	\$10,000	09/27/2012	
DH 2011-4(ROP)	1	\$5,000	\$5,000	\$3,700	09/27/2012	
DME 2011-4(HSR)	1	\$1,000	\$1,000	\$670	09/27/2012	
DME 2011-5(SA)	1	\$5,000	\$5,000	\$3,600	09/27/2012	
DME 2011-6(AD)	3	\$15,000	\$15,000	\$7,400	09/27/2012	
DME 2011-7(HMT)	1	\$5,000	\$5,000	\$3,800	09/27/2012	
DME 2011-8(SA)	1	\$5,000	\$5,000	\$3,600	09/27/2012	
DME 2011-9(SA)	1	\$5,000	\$5,000	\$3,600	09/27/2012	
DME 2011-10(HMT)	2	\$9,500	\$9,500	\$6,900	09/27/2012	
DME 2011-11(SA)	2	\$10,000	\$10,000	\$7,300	09/27/2012	
DME 2011-12(HSR)	5	\$5,000	\$5,000	\$3,250	09/27/2012	
DME 2011-13(HSR)	1	\$1,000	\$1,000	\$650	09/27/2012	
DME 2011-14(HSR)	3	\$3,000	\$3,000	\$1,950	09/27/2012	
DMVW 2010-2(TS)	1	\$2,500	\$2,500	\$2,000	02/09/2012	
DMVW 2011-1(TS)	5	\$12,500	\$12,500	\$10,000	02/09/2012	
DMVW 2012-1(SA)	1	\$2,500	\$2,500	\$2,500	05/02/2012	
DQE 2012-1(AD)	1	\$2,500	\$2,500	\$2,500	03/28/2012	

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DSRC 2011-1(HMT)	1	\$1,500	\$1,500	\$250	04/11/2012	
EIRR 2008-2(GC)	1	\$1,000	\$1,000	\$550	09/28/2012	
EIRR 2009-1(GC)	2	\$3,500	\$3,500	\$2,125	09/28/2012	
EIRR 2010-1(GC)	3	\$7,500	\$7,500	\$4,325	09/28/2012	
EIRR 2010-2(GC)	5	\$15,000	\$10,000	\$6,125	09/28/2012	Terminated Violation(s): 2.
EIRR 2010-3(GC)	3	\$3,000	\$3,000	\$1,965	09/28/2012	
EIRR 2010-4(GC)	3	\$7,500	\$7,500	\$4,575	09/28/2012	
EIRR 2010-5(GC)	1	\$5,000	\$5,000	\$3,150	09/28/2012	
EIRR 2011-1(GC)	5	\$22,500	\$22,500	\$15,000	09/28/2012	
EIRR 2012-1(SA)	1	\$2,500	\$2,500	\$1,325	09/28/2012	
EJE 2009-6(GC)	1	\$5,000	\$5,000	\$3,500	09/06/2012	
EJE 2011-1(FCS)	1	\$2,500	\$2,500	\$1,650	09/06/2012	
EJE 2011-2(HSR)	2	\$2,000	\$2,000	\$1,320	09/06/2012	
EJE 2011-3(SA)	1	\$2,500	\$2,500	\$1,675	09/06/2012	
EJE 2011-4(FCS)	1	\$2,500	\$2,500	\$1,675	09/06/2012	
EJE 2011-5(FCS)	1	\$5,000	\$5,000	\$3,300	09/06/2012	
EJE 2011-6(SA)	1	\$2,500	\$2,500	\$1,750	09/06/2012	
EJE 2011-7(SA)	2	\$5,000	\$5,000	\$3,425	09/06/2012	
ELS 2012-1(RSP)	1	\$9,500	\$9,500	\$6,500	05/10/2012	
ERAIL 2011-19(AD)	1	\$2,500	\$2,500	\$1,250	02/07/2012	
ERAIL 2011-23(AD)	1	\$2,500	\$2,500	\$1,250	02/07/2012	
ESWR 2011-1(EQ)	2	\$5,000	\$5,000	\$3,000	01/31/2012	
EVWR 2011-2(AR)	1	\$2,500	\$2,500	\$2,500	10/26/2011	
EWG 2011-1(AD)	1	\$5,000	\$5,000	\$2,600	11/29/2011	
FCRD 2011-2(LI)	1	\$2,500	\$2,500	\$2,500	11/18/2011	
FCRD 2011-3(SA)	1	\$5,000	\$5,000	\$5,000	12/20/2011	
GC 2010-1(AR)	1	\$2,500	\$2,500	\$1,600	05/29/2012	
GDLK 2009-2(GC)	1	\$5,000	\$5,000	\$3,150	09/28/2012	
GDLK 2011-2(GC)	1	\$5,000	\$5,000	\$3,300	09/28/2012	
GDLK 2011-3(GC)	1	\$2,500	\$2,500	\$1,750	09/28/2012	
GFRR 2011-1(LI)	1	\$2,500	\$2,500	\$2,500	10/12/2011	
GFRR 2011-2(ROP)	1	\$7,500	\$7,500	\$6,200	10/12/2011	
GFRR 2011-3(GS)	1	\$1,000	\$1,000	\$800	10/12/2011	
GFRR 2011-4(LI)	1	\$2,500	\$2,500	\$2,500	10/12/2011	
GFRR 2011-5(RW)	1	\$5,000	\$5,000	\$3,700	04/26/2012	
GFRR 2011-6(TS)	2	\$2,000	\$2,000	\$2,000	02/01/2012	
GIMY 2011-1(SA)	1	\$5,000	\$5,000	\$5,000	11/02/2011	
GITM 2011-1(SA)	1	\$2,500	\$2,500	\$1,750	05/29/2012	
GITM 2011-2(LI)	1	\$2,000	\$2,000	\$1,750	05/30/2012	
GITM 2011-3(LI)	1	\$2,500	\$2,500	\$1,750	05/30/2012	
GITM 2011-4(SA)	1	\$5,000	\$5,000	\$5,000	04/26/2012	
GNBC 2012-1(TS)	1	\$2,500	\$2,500	\$2,500	09/26/2012	
GRLW 2010-1(TS)	2	\$7,500	\$7,500	\$4,250	05/29/2012	
GRNW 2010-1(GC)	1	\$2,500	\$2,500	\$1,375	09/28/2012	
GRNW 2011-1(SI)	1	\$5,000	\$5,000	\$3,500	09/28/2012	
GRNW 2011-2(SA)	1	\$2,500	\$2,500	\$1,650	09/28/2012	
GRNW 2012-1(SI)	1	\$5,000	\$5,000	\$3,750	09/28/2012	
GRR 2010-1(SA)	3	\$7,500	\$2,500	\$1,875	05/22/2012	Terminated Violation(s): 2, 3.
GRYR 2010-1(AR)	1	\$2,500	\$2,500	\$1,250	05/09/2012	

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GRYR 2010-3(ROR)	1	\$2,500	\$2,500	\$1,250	05/09/2012	
GRYR 2012-1(GC)	1	\$2,500	\$2,500	\$1,250	05/09/2012	
GVSR 2009-1(EO)	1	\$2,500	\$2,500	\$1,650	05/30/2012	
GWR 2011-3(SA)	1	\$2,500	\$2,500	\$2,000	04/27/2012	
GWR 2011-4(LI)	1	\$2,500	\$2,500	\$2,000	05/03/2012	
GWRC 2011-1(ROP)	1	\$7,500	\$7,500	\$7,500	02/01/2012	
HESR 2011-2(SA)	1	\$5,000	\$5,000	\$3,550	09/25/2012	
HESR 2011-3(AD)	3	\$7,500	\$7,500	\$5,325	09/25/2012	
HRRC 2011-1(AD)	1	\$2,500	\$2,500	\$1,600	10/25/2011	
IAIS 2011-5(ROP)	1	\$7,500	\$7,500	\$7,500	11/07/2011	
IAIS 2012-1(LI)	1	\$2,500	\$2,500	\$2,500	05/07/2012	
IAIS 2012-2(GC)	1	\$5,000	\$5,000	\$5,000	05/14/2012	
IAIS 2012-3(SA)	1	\$5,000	\$5,000	\$5,000	08/20/2012	
IANR 2011-4(SA)	1	\$5,000	\$5,000	\$5,000	12/27/2011	
IERR 2011-1(LI)	3	\$6,000	\$6,000	\$3,600	02/22/2012	
IHB 2011-2(ROP)	1	\$7,500	\$7,500	\$4,725	12/06/2011	
IHB 2011-3(AR)	1	\$2,500	\$2,500	\$1,575	12/06/2011	
IHB 2011-4(SA)	1	\$5,000	\$5,000	\$3,150	12/06/2011	
IHB 2011-5(SA)	1	\$5,000	\$5,000	\$3,150	12/06/2011	
IHB 2011-6(SA)	2	\$10,000	\$10,000	\$6,400	12/06/2011	
IHB 2011-7(SA)	2	\$5,000	\$5,000	\$3,500	05/21/2012	
IHB 2012-1(ROR)	1	\$9,500	\$9,500	\$6,650	05/21/2012	
IHB 2012-2(LI)	2	\$5,000	\$5,000	\$3,500	05/21/2012	
IM 2012-1(EQ)	1	\$1,000	\$1,000	\$1,000	04/16/2012	
IMRR 2012-1(ROP)	1	\$7,500	\$7,500	\$7,500	08/01/2012	
IMSA 2011-1(EQ)	1	\$1,000	\$1,000	\$1,000	01/11/2012	
INRD 2011-1(LI)	1	\$5,000	\$5,000	\$5,000	04/12/2012	
INRD 2011-3(AD)	1	\$5,000	\$5,000	\$5,000	02/15/2012	
INRD 2012-2(HSR)	1	\$1,000	\$1,000	\$1,000	03/09/2012	
INRD 2012-3(TS)	1	\$5,000	\$5,000	\$3,500	07/13/2012	
IOFY 2010-1(LI)	2	\$4,000	\$4,000	\$2,800	09/25/2012	
IOFY 2010-2(GC)	1	\$2,500	\$2,500	\$1,775	09/25/2012	
IOFY 2011-4(HSR)	2	\$2,000	\$2,000	\$1,420	09/25/2012	
IOFY 2011-5(AR)	2	\$5,000	\$5,000	\$3,450	09/25/2012	
IOFY 2011-6(AD)	1	\$5,000	\$5,000	\$3,450	09/25/2012	
IOFY 2011-7(LI)	1	\$2,500	\$2,500	\$1,775	09/25/2012	
IOFY 2011-8(SA)	1	\$5,000	\$5,000	\$3,550	09/25/2012	
IOFY 2012-1(AD)	1	\$5,000	\$5,000	\$3,500	09/25/2012	
IOFY 2012-2(SA)	1	\$2,500	\$2,500	\$1,775	09/25/2012	
IOFY 2012-3(LI)	2	\$4,000	\$4,000	\$2,800	09/25/2012	
IR 2011-4(SA)	2	\$5,000	\$5,000	\$3,500	05/09/2012	
KAW 2009-2(GC)	2	\$3,500	\$2,500	\$1,500	09/28/2012	Terminated Violation(s): 1.
KCS 2010-14(AR)	11	\$27,500	\$27,500	\$16,500	09/10/2012	
KCS 2010-16(AR)	15	\$37,500	\$37,500	\$25,000	09/10/2012	
KCS 2010-28(AR)	1	\$2,500	\$2,500	\$1,625	09/10/2012	
KCS 2010-57(AR)	1	\$1,000	\$1,000	\$650	09/10/2012	
KCS 2010-61(AR)	1	\$2,500	\$2,500	\$1,700	09/10/2012	
KCS 2010-62(AR)	1	\$2,500	\$2,500	\$1,700	09/10/2012	
KCS 2010-64(AR)	1	\$2,500	\$2,500	\$1,750	09/10/2012	

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KCS 2010-65(AR)	1	\$2,500	\$2,500	\$1,500	09/10/2012	
KCS 2011-7(AR)	1	\$2,500	\$2,500	\$1,750	09/10/2012	
KCS 2011-13(HMT)	1	\$1,000	\$1,000	\$650	09/10/2012	
KCS 2011-14(HMT)	1	\$3,000	\$3,000	\$2,050	09/10/2012	
KCS 2011-15(SA)	1	\$2,500	\$2,500	\$1,750	09/10/2012	
KCS 2011-16(ROP)	1	\$7,500	\$7,500	\$5,750	09/10/2012	
KCS 2011-17(SA)	5	\$25,000	\$25,000	\$15,200	09/10/2012	
KCS 2011-18(SA)	5	\$25,000	\$25,000	\$15,000	09/10/2012	
KCS 2011-19(SA)	4	\$20,000	\$20,000	\$12,000	09/10/2012	
KCS 2011-20(SA)	3	\$10,000	\$10,000	\$6,500	09/10/2012	
KCS 2011-21(HMT)	1	\$5,000	\$5,000	\$3,500	09/10/2012	
KCS 2011-22(TS)	1	\$5,000	\$5,000	\$3,300	09/10/2012	
KCS 2011-23(TS)	1	\$5,000	\$5,000	\$3,300	09/10/2012	
KCS 2011-24(ROP)	1	\$5,000	\$5,000	\$3,500	09/10/2012	
KCS 2011-25(SA)	4	\$12,500	\$12,500	\$8,150	09/10/2012	
KCS 2011-26(ROP)	2	\$15,000	\$15,000	\$9,200	09/10/2012	
KCS 2011-28(HMT)	1	\$2,000	\$2,000	\$1,250	09/10/2012	
KCS 2011-29(TS)	14	\$23,000	\$23,000	\$15,200	09/10/2012	
KCS 2011-30(ROP)	1	\$7,500	\$7,500	\$5,350	09/10/2012	
KCS 2011-31(REM)	1	\$5,000	\$5,000	\$3,300	09/10/2012	
KCS 2011-32(HSR)	1	\$1,000	\$1,000	\$750	09/10/2012	
KCS 2011-33(ROP)	2	\$15,000	\$15,000	\$10,450	09/10/2012	
KCS 2011-34(SA)	1	\$5,000	\$5,000	\$2,750	09/10/2012	
KCS 2011-36(LI)	1	\$2,500	\$2,500	\$1,500	09/10/2012	
KCS 2011-37(ROP)	1	\$7,500	\$7,500	\$5,700	09/10/2012	
KCS 2011-38(SA)	1	\$5,000	\$5,000	\$2,500	09/10/2012	
KCS 2011-40(ROP)	1	\$7,500	\$7,500	\$5,000	09/10/2012	
KCS 2011-41(HMT)	2	\$8,000	\$8,000	\$5,200	09/10/2012	
KCS 2011-42(ROP)	1	\$7,500	\$7,500	\$5,650	09/10/2012	
KCS 2011-43(TS)	4	\$10,000	\$10,000	\$6,500	09/10/2012	
KCS 2011-44(FCS)	1	\$2,500	\$2,500	\$1,600	09/10/2012	
KCS 2011-45(SA)	3	\$10,000	\$10,000	\$6,800	09/10/2012	
KCS 2011-46(SA)	2	\$7,500	\$7,500	\$5,075	09/10/2012	
KCS 2011-47(SA)	3	\$7,500	\$7,500	\$5,175	09/10/2012	
KCS 2011-48(LI)	2	\$5,000	\$5,000	\$3,550	09/10/2012	
KCS 2011-49(SA)	2	\$10,000	\$10,000	\$7,000	09/10/2012	
KCS 2011-51(FCS)	1	\$2,500	\$2,500	\$1,750	09/10/2012	
KCS 2011-52(ROP)	1	\$9,500	\$9,500	\$6,400	09/10/2012	
KCS 2012-1(FCS)	5	\$10,000	\$10,000	\$6,600	09/10/2012	
KCS 2012-2(ROP)	1	\$7,500	\$7,500	\$4,000	09/10/2012	
KCS 2012-3(RW)	1	\$3,000	\$3,000	\$1,650	09/10/2012	
KCS 2012-4(ROP)	1	\$7,500	\$7,500	\$4,000	09/10/2012	
KCS 2012-5(SI)	1	\$1,000	\$1,000	\$650	09/10/2012	
KCS 2012-7(SA)	1	\$5,000	\$5,000	\$3,000	09/10/2012	
KCS 2012-8(LI)	1	\$2,500	\$2,500	\$1,500	09/10/2012	
KCS 2012-10(FCS)	1	\$2,000	\$2,000	\$1,300	09/10/2012	
KCS 2012-12(SI)	1	\$5,000	\$5,000	\$3,300	09/10/2012	
KCS 2012-13(SA)	1	\$5,000	\$5,000	\$3,250	09/10/2012	
KCS 2012-14(ROP)	1	\$7,500	\$7,500	\$5,400	09/10/2012	

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KCS 2012-15(TS)	1	\$5,000	\$5,000	\$3,300	09/10/2012	
KCS 2012-16(AR)	1	\$2,500	\$2,500	\$1,750	09/10/2012	
KCS 2012-17(AR)	1	\$2,500	\$2,500	\$1,500	09/10/2012	
KCS 2012-18(AR)	1	\$2,500	\$2,500	\$1,875	09/10/2012	
KCS 2012-19(AR)	1	\$2,500	\$2,500	\$1,250	09/10/2012	
KCS 2012-20(AR)	1	\$2,500	\$2,500	\$1,750	09/10/2012	
KFR 2007-1(SA)	1	\$5,000	\$5,000	\$3,500	11/21/2011	
KFR 2007-2(TS)	1	\$2,500	\$2,500	\$1,300	04/30/2012	
KFR 2008-2(SA)	1	\$5,000	\$5,000	\$2,950	11/21/2011	
KFR 2011-1(GC)	5	\$12,000	\$12,000	\$7,875	11/21/2011	
KFR 2011-2(GC)	1	\$1,000	\$1,000	\$675	11/21/2011	
KJR 2011-1(SA)	1	\$5,000	\$5,000	\$3,250	01/30/2012	
KJR 2011-2(RW)	1	\$3,000	\$3,000	\$1,950	01/30/2012	
KJRY 2003-1(AD)	1	\$2,500	\$0	\$0	05/30/2012	Case Terminated.
KJRY 2007-1(TS)	4	\$4,000	\$4,000	\$2,700	10/31/2011	
KJRY 2007-2(TS)	1	\$2,500	\$2,500	\$1,250	10/31/2011	
KJRY 2009-1(ROP)	1	\$2,000	\$2,000	\$1,050	10/31/2011	
KO 2008-6(GC)	3	\$10,000	\$10,000	\$5,500	09/28/2012	
KO 2008-9(GC)	9	\$17,500	\$17,500	\$9,500	09/28/2012	
KO 2008-11(GC)	1	\$1,000	\$1,000	\$640	09/28/2012	
KO 2008-14(GC)	1	\$2,500	\$2,500	\$1,525	09/28/2012	
KO 2008-15(GC)	4	\$8,500	\$8,500	\$4,250	09/28/2012	
KO 2008-16(GC)	1	\$1,000	\$1,000	\$610	09/28/2012	
KO 2008-17(GC)	1	\$1,000	\$1,000	\$550	09/28/2012	
KO 2009-2(GC)	1	\$5,000	\$5,000	\$3,100	09/28/2012	
KO 2010-1(GC)	1	\$5,000	\$5,000	\$3,150	09/28/2012	
KO 2010-3(RW)	1	\$1,000	\$1,000	\$750	09/28/2012	
KO 2011-1(ROP)	1	\$7,500	\$7,500	\$4,650	09/28/2012	
KO 2011-2(SA)	1	\$5,000	\$5,000	\$3,250	09/28/2012	
KO 2011-3(SA)	1	\$5,000	\$5,000	\$3,000	09/28/2012	
KO 2011-4(GC)	1	\$5,000	\$5,000	\$3,000	09/28/2012	
KO 2011-5(GC)	1	\$2,500	\$2,500	\$1,500	09/28/2012	
KO 2011-6(SA)	1	\$5,000	\$5,000	\$3,000	09/28/2012	
KO 2011-7(GC)	1	\$2,500	\$2,500	\$1,500	09/28/2012	
KO 2011-8(AR)	1	\$2,500	\$2,500	\$1,500	09/28/2012	
KRR 2010-2(TS)	4	\$4,000	\$4,000	\$2,800	09/25/2012	
KRR 2010-6(TS)	1	\$5,000	\$5,000	\$3,450	09/25/2012	
KRR 2010-7(TS)	6	\$30,000	\$30,000	\$23,000	09/25/2012	
KRR 2010-8(TS)	2	\$10,000	\$10,000	\$7,000	09/25/2012	
KRR 2011-2(ROP)	1	\$7,500	\$0	\$0	09/25/2012	Case Terminated.
KRR 2011-3(AD)	2	\$10,000	\$0	\$0	09/25/2012	Case Terminated.
KRR 2012-1(GC)	1	\$5,000	\$5,000	\$3,550	09/25/2012	
KRR 2012-2(SA)	1	\$5,000	\$5,000	\$3,550	09/25/2012	
KRR 2012-3(FCS)	1	\$2,500	\$2,500	\$1,700	09/25/2012	
KWT 2007-2(RW)	1	\$2,000	\$2,000	\$1,300	06/06/2012	
KWT 2012-1(GC)	1	\$2,500	\$2,500	\$1,800	08/01/2012	
KWT 2012-2(GC)	1	\$5,000	\$5,000	\$3,250	08/01/2012	
KXHR 2012-1(TS)	1	\$5,000	\$5,000	\$3,350	07/02/2012	
KYLE 2011-1(AD)	5	\$12,500	\$12,500	\$8,600	09/25/2012	

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KYLE 2011-2(TS)	1	\$2,500	\$2,500	\$1,700	09/25/2012	
LAS 2009-3(GC)	1	\$2,500	\$2,500	\$1,675	09/28/2012	
LAS 2011-1(SA)	2	\$10,000	\$10,000	\$6,750	09/28/2012	
LAS 2011-2(SA)	1	\$5,000	\$5,000	\$3,100	09/28/2012	
LAS 2012-1(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2012	
LI 2011-1(LI)	1	\$1,500	\$1,500	\$1,025	02/17/2012	
LRWN 2011-1(HSR)	1	\$1,000	\$1,000	\$650	04/19/2012	
LRWN 2012-1(AD)	2	\$5,000	\$5,000	\$3,400	04/19/2012	
LSI 2011-1(AR)	2	\$5,000	\$5,000	\$5,000	03/29/2012	
MAUP 2011-1(SA)	1	\$5,000	\$5,000	\$2,750	12/07/2011	
MAW 2007-1(AR)	1	\$2,500	\$0	\$0	06/05/2012	Case Terminated.
MBAX 2010-1(AD)	1	\$2,500	\$2,500	\$1,750	06/01/2012	
MBAX 2010-2(HSR)	1	\$1,000	\$1,000	\$700	06/01/2012	
MBAX 2010-6(BW)	1	\$1,000	\$1,000	\$750	06/01/2012	
MBAX 2010-7(PEQ)	3	\$7,500	\$7,500	\$5,200	06/01/2012	
MBAX 2011-3(PEP)	2	\$5,000	\$5,000	\$3,500	06/01/2012	
MBAX 2011-4(PEQ)	2	\$5,000	\$5,000	\$3,400	06/01/2012	
MBAX 2011-5(EQ)	2	\$5,000	\$5,000	\$3,000	06/01/2012	
MBAX 2011-6(AD)	1	\$5,000	\$5,000	\$3,750	06/01/2012	
MBAX 2011-7(EQ)	1	\$2,500	\$2,500	\$1,800	06/01/2012	
MBAX 2011-8(PEQ)	6	\$15,000	\$15,000	\$10,500	06/01/2012	
MBAX 2011-9(EQ)	3	\$4,500	\$3,500	\$2,250	06/01/2012	Terminated Violation(s): 2.
MBAX 2011-10(ROR)	1	\$7,500	\$7,500	\$5,000	06/01/2012	
MBAX 2011-11(PEQ)	6	\$15,000	\$15,000	\$10,000	06/01/2012	
MBAX 2011-12(PEQ)	1	\$2,500	\$2,500	\$1,750	06/01/2012	
MBAX 2011-15(ROR)	3	\$28,500	\$28,500	\$19,200	06/01/2012	
MBAX 2012-1(HSR)	3	\$3,000	\$3,000	\$2,000	06/01/2012	
MDS 2009-1(TS)	1	\$2,500	\$2,500	\$1,500	04/10/2012	
MDW 2012-1(SA)	1	\$2,500	\$2,500	\$1,375	09/10/2012	
ME 2011-1(HMT)	2	\$4,000	\$4,000	\$1,000	06/19/2012	
MEC 2010-1(TS)	2	\$10,000	\$10,000	\$7,300	09/26/2012	
MEC 2011-1(TS)	1	\$5,000	\$5,000	\$3,650	09/26/2012	
MEC 2011-2(TS)	1	\$2,500	\$2,500	\$1,800	09/26/2012	
MET 2009-1(SA)	1	\$2,500	\$2,500	\$1,500	07/11/2012	
MMT 2007-1(GC)	4	\$7,000	\$5,000	\$3,000	09/28/2012	Terminated Violation(s): 1, 2.
MMT 2008-1(GC)	5	\$9,500	\$9,500	\$4,400	09/28/2012	
MMT 2010-1(GC)	6	\$15,000	\$12,500	\$7,000	09/28/2012	Terminated Violation(s): 1.
MMT 2011-1(GC)	1	\$2,500	\$2,500	\$1,650	09/28/2012	
MMT 2012-1(GC)	1	\$5,000	\$5,000	\$3,000	09/28/2012	
MNA 2010-1(GC)	9	\$27,000	\$27,000	\$18,630	09/25/2012	
MNA 2010-5(GC)	4	\$7,000	\$7,000	\$4,970	09/25/2012	
MNA 2010-6(ROP)	2	\$15,000	\$15,000	\$8,000	09/25/2012	
MNA 2011-3(SA)	1	\$5,000	\$5,000	\$3,550	09/25/2012	
MNA 2011-4(HSR)	1	\$1,000	\$1,000	\$650	09/25/2012	
MNA 2011-5(SA)	1	\$5,000	\$5,000	\$3,500	09/25/2012	
MNA 2011-6(GC)	3	\$15,000	\$15,000	\$10,500	09/25/2012	
MNA 2011-7(HSR)	1	\$1,000	\$1,000	\$650	09/25/2012	
MNA 2011-8(GC)	4	\$4,000	\$4,000	\$2,840	09/25/2012	
MNA 2011-9(HS)	1	\$1,000	\$1,000	\$750	09/25/2012	

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MNA 2011-10(HSR)	1	\$1,000	\$1,000	\$750	09/25/2012	
MNA 2011-11(GC)	3	\$4,500	\$4,500	\$3,195	09/25/2012	
MNA 2011-12(GC)	2	\$5,000	\$5,000	\$3,550	09/25/2012	
MNA 2011-13(GC)	5	\$12,500	\$12,500	\$8,875	09/25/2012	
MNA 2012-1(GC)	2	\$2,000	\$2,000	\$1,775	09/25/2012	
MNA 2012-2(GC)	1	\$1,000	\$1,000	\$750	09/25/2012	
MNCW 2010-1(AD)	4	\$9,000	\$9,000	\$5,900	06/26/2012	
MNCW 2010-2(PEQ)	1	\$5,000	\$5,000	\$3,000	06/26/2012	
MNCW 2010-8(EO)	2	\$5,000	\$5,000	\$3,200	06/26/2012	
MNCW 2010-36(BW)	1	\$1,000	\$1,000	\$700	06/26/2012	
MNCW 2011-1(ROP)	1	\$9,500	\$9,500	\$7,500	06/27/2012	
MNCW 2011-2(PEQ)	4	\$20,000	\$20,000	\$15,000	06/26/2012	
MNCW 2011-3(ROP)	1	\$5,000	\$5,000	\$3,300	06/26/2012	
MNCW 2011-4(PEQ)	1	\$5,000	\$5,000	\$3,000	06/26/2012	
MNCW 2011-5(HSR)	1	\$1,000	\$1,000	\$700	06/26/2012	
MNCW 2011-6(PEQ)	1	\$5,000	\$5,000	\$3,000	06/26/2012	
MNCW 2011-7(ROP)	1	\$9,500	\$9,500	\$7,000	06/26/2012	
MNCW 2011-8(PEQ)	5	\$25,000	\$25,000	\$20,000	06/26/2012	
MNCW 2011-9(PEQ)	3	\$15,000	\$15,000	\$10,000	06/26/2012	
MNCW 2011-10(PEQ)	2	\$10,000	\$10,000	\$6,000	06/26/2012	
MNCW 2011-11(ROP)	1	\$7,500	\$7,500	\$5,000	06/26/2012	
MNNR 2009-1(SA)	1	\$5,000	\$5,000	\$2,500	06/25/2012	
MQT 2007-3(HSR)	1	\$1,000	\$1,000	\$650	07/09/2012	
MQT 2008-1(SI)	1	\$10,000	\$10,000	\$5,400	07/09/2012	
MQT 2011-1(RW)	1	\$10,000	\$10,000	\$7,800	07/09/2012	
MRL 2010-12(ROP)	1	\$9,500	\$9,500	\$6,700	06/01/2012	
MRL 2010-13(SA)	1	\$5,000	\$5,000	\$3,000	06/01/2012	
MRL 2011-1(ROP)	1	\$7,500	\$7,500	\$5,800	06/01/2012	
MRL 2011-2(HMT)	1	\$6,000	\$0	\$0	04/10/2012	Case Terminated.
MRL 2011-3(ROP)	1	\$7,500	\$7,500	\$6,000	06/01/2012	
MRL 2011-4(TS)	1	\$5,000	\$5,000	\$2,500	06/01/2012	
MRL 2011-5(FCS)	1	\$2,500	\$2,500	\$1,500	06/01/2012	
MRL 2011-6(SA)	1	\$5,000	\$5,000	\$2,750	06/01/2012	
MRL 2011-7(LI)	1	\$2,500	\$2,500	\$1,750	06/01/2012	
MRL 2011-8(SA)	1	\$5,000	\$5,000	\$3,900	06/01/2012	
MRL 2011-9(TS)	1	\$2,500	\$2,500	\$1,600	06/01/2012	
MRL 2011-10(HMT)	1	\$5,000	\$5,000	\$2,750	04/10/2012	
MRL 2011-11(SI)	1	\$5,000	\$5,000	\$3,200	06/01/2012	
MRL 2011-12(SA)	1	\$2,500	\$2,500	\$1,800	06/01/2012	
MRL 2012-1(FCS)	2	\$5,000	\$5,000	\$3,000	06/01/2012	
MRL 2012-2(SA)	1	\$2,500	\$2,500	\$1,250	06/01/2012	
MSE 2008-1(TS)	2	\$10,000	\$10,000	\$7,000	06/13/2012	
MSE 2011-1(HMT)	2	\$5,000	\$5,000	\$3,350	06/14/2012	
MSN 2007-1(GC)	1	\$1,000	\$0	\$0	06/05/2012	Case Terminated.
MSO 2006-1(TS)	1	\$5,000	\$0	\$0	06/05/2012	Case Terminated.
MSO 2007-1(SA)	1	\$5,000	\$0	\$0	06/05/2012	Case Terminated.
MUNX 2008-1(GC)	1	\$2,500	\$0	\$0	07/11/2012	Case Terminated.
NCIR 2012-1(TS)	3	\$6,000	\$6,000	\$6,000	05/11/2012	
NECR 2010-2(AR)	3	\$7,500	\$7,500	\$5,250	09/25/2012	

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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>
NECR 2010-3(AR)	1	\$2,500	\$2,500	\$1,775	09/25/2012	
NECR 2011-1(LI)	1	\$2,500	\$2,500	\$1,775	09/25/2012	
NECR 2012-1(ROP)	1	\$9,500	\$9,500	\$6,700	09/25/2012	
NENE 2011-1(TS)	2	\$5,000	\$5,000	\$5,000	02/16/2012	
NIRC 2008-9(EQ)	9	\$9,000	\$9,000	\$5,400	11/10/2011	
NIRC 2010-1(AR)	5	\$12,500	\$12,500	\$8,750	11/10/2011	
NIRC 2010-2(AR)	5	\$12,500	\$12,500	\$8,750	11/10/2011	
NIRC 2010-3(AR)	2	\$5,000	\$5,000	\$3,500	11/10/2011	
NIRC 2010-4(SA)	1	\$5,000	\$5,000	\$3,000	11/10/2011	
NIRC 2010-5(EO)	1	\$5,000	\$5,000	\$3,000	11/10/2011	
NIRC 2010-7(AR)	1	\$1,000	\$1,000	\$700	11/10/2011	
NIRC 2010-8(AR)	1	\$2,500	\$2,500	\$1,750	11/10/2011	
NIRC 2010-10(AR)	1	\$1,500	\$1,500	\$1,050	11/10/2011	
NIRC 2010-11(AR)	1	\$1,000	\$1,000	\$700	11/10/2011	
NIRC 2010-12(AR)	1	\$1,000	\$1,000	\$700	11/10/2011	
NJTR 2010-2(AR)	1	\$2,500	\$2,500	\$1,550	06/25/2012	
NJTR 2010-3(AR)	3	\$7,500	\$7,500	\$5,100	06/25/2012	
NJTR 2010-4(AR)	1	\$2,500	\$2,500	\$1,550	06/25/2012	
NJTR 2010-5(AR)	4	\$10,000	\$10,000	\$6,800	06/25/2012	
NJTR 2010-6(AR)	4	\$10,000	\$10,000	\$6,800	06/25/2012	
NJTR 2010-7(AR)	2	\$5,000	\$5,000	\$3,400	06/25/2012	
NJTR 2010-8(AR)	3	\$7,500	\$7,500	\$4,950	06/25/2012	
NJTR 2010-9(AR)	3	\$7,500	\$7,500	\$4,800	06/25/2012	
NJTR 2010-10(AR)	2	\$5,000	\$5,000	\$3,400	06/25/2012	
NJTR 2010-11(AR)	4	\$10,000	\$10,000	\$6,800	06/25/2012	
NJTR 2010-12(AR)	4	\$10,000	\$10,000	\$6,350	06/25/2012	
NJTR 2010-13(AR)	3	\$7,500	\$7,500	\$4,800	06/25/2012	
NJTR 2010-14(AR)	4	\$10,000	\$10,000	\$6,200	06/25/2012	
NJTR 2010-15(AR)	1	\$2,500	\$2,500	\$1,700	06/25/2012	
NJTR 2010-16(HSR)	1	\$1,000	\$1,000	\$750	06/25/2012	
NJTR 2010-20(AR)	1	\$2,500	\$2,500	\$1,550	06/25/2012	
NJTR 2010-21(AR)	1	\$2,500	\$2,500	\$1,550	06/25/2012	
NJTR 2010-22(AR)	1	\$2,500	\$2,500	\$1,550	06/25/2012	
NJTR 2010-24(AR)	1	\$2,500	\$2,500	\$1,700	06/25/2012	
NJTR 2010-27(AR)	1	\$2,500	\$2,500	\$1,550	06/25/2012	
NJTR 2010-28(AR)	1	\$2,500	\$2,500	\$1,550	06/25/2012	
NJTR 2010-31(AR)	1	\$2,500	\$2,500	\$1,700	06/25/2012	
NJTR 2010-32(AR)	1	\$2,500	\$2,500	\$1,700	06/25/2012	
NJTR 2010-34(SI)	1	\$5,000	\$5,000	\$4,000	06/25/2012	
NJTR 2011-1(ROP)	2	\$15,000	\$15,000	\$10,850	06/25/2012	
NJTR 2011-2(ROP)	2	\$10,000	\$10,000	\$7,400	06/25/2012	
NJTR 2011-3(PEQ)	1	\$5,000	\$5,000	\$3,650	06/25/2012	
NJTR 2011-6(ROR)	2	\$19,000	\$19,000	\$14,000	06/25/2012	
NJTR 2011-7(EQ)	1	\$1,000	\$1,000	\$740	06/25/2012	
NJTR 2012-1(PEQ)	1	\$5,000	\$5,000	\$3,650	06/25/2012	
NJTR 2012-2(ROP)	1	\$7,500	\$7,500	\$5,400	06/25/2012	
NJTR 2012-4(GC)	1	\$5,000	\$5,000	\$3,650	06/25/2012	
NMRX 2011-1(ROR)	3	\$14,500	\$14,500	\$10,000	01/10/2012	
NMRX 2011-2(SI)	1	\$5,000	\$5,000	\$2,000	01/10/2012	

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NMRX 2011-3(GC)	1	\$5,000	\$5,000	\$3,500	01/10/2012	
NOPB 2012-7(SA)	2	\$7,500	\$7,500	\$7,500	09/29/2012	
NPB 2006-1(FCS)	1	\$2,500	\$2,500	\$650	09/28/2012	
NPB 2008-1(SA)	1	\$5,000	\$5,000	\$2,350	09/28/2012	
NPB 2008-2(FCS)	1	\$2,500	\$2,500	\$650	09/28/2012	
NPB 2009-1(SA)	1	\$5,000	\$5,000	\$2,000	09/28/2012	
NPB 2009-2(SA)	1	\$5,000	\$5,000	\$2,350	09/28/2012	
NPB 2012-1(SI)	1	\$1,000	\$1,000	\$650	09/28/2012	
NVRR 2011-1(GC)	1	\$2,500	\$2,500	\$2,500	12/20/2011	
NYA 2007-1(AD)	1	\$2,500	\$2,500	\$1,750	10/06/2011	
NYA 2007-2(ROR)	2	\$10,000	\$10,000	\$7,000	10/06/2011	
NYA 2008-1(TS)	4	\$7,000	\$7,000	\$4,900	10/06/2011	
NYA 2008-2(RW)	2	\$5,000	\$5,000	\$3,500	10/06/2011	
NYA 2009-1(RW)	1	\$3,000	\$3,000	\$2,100	10/06/2011	
NYA 2010-1(AD)	1	\$2,500	\$2,500	\$1,750	10/06/2011	
NYSW 2005-1(LI)	2	\$3,000	\$0	\$0	12/13/2011	Case Terminated.
NYSW 2006-2(GC)	1	\$2,500	\$0	\$0	12/13/2011	Case Terminated.
NYSW 2006-3(GC)	1	\$2,500	\$0	\$0	12/13/2011	Case Terminated.
NYSW 2006-4(SI)	1	\$5,000	\$0	\$0	12/13/2011	Case Terminated.
NYSW 2006-5(HMT)	11	\$27,500	\$0	\$0	12/13/2011	Case Terminated.
NYSW 2006-7(SA)	1	\$2,500	\$0	\$0	12/13/2011	Case Terminated.
NYSW 2006-8(HMT)	1	\$15,000	\$0	\$0	12/13/2011	Case Terminated.
NYSW 2006-9(AR)	3	\$7,500	\$0	\$0	12/13/2011	Case Terminated.
NYSW 2006-10(ROR)	1	\$5,000	\$0	\$0	12/13/2011	Case Terminated.
OHCR 2009-1(TS)	1	\$2,500	\$2,500	\$1,250	02/23/2012	
OHCR 2009-2(LI)	1	\$1,500	\$1,500	\$750	02/23/2012	
OHCR 2009-3(GC)	2	\$10,000	\$10,000	\$5,000	02/23/2012	
OHCR 2009-4(TH)	1	\$5,000	\$5,000	\$2,500	05/09/2012	
OHCR 2009-5(HMT)	1	\$5,000	\$5,000	\$2,500	02/23/2012	
OHCR 2010-1(HMT)	1	\$7,500	\$0	\$0	01/20/2012	Case Terminated.
OHCR 2010-2(GC)	3	\$12,500	\$12,500	\$2,250	02/23/2012	
OHCR 2011-1(LI)	1	\$2,500	\$2,500	\$1,250	02/23/2012	
OHCR 2011-2(SA)	1	\$5,000	\$5,000	\$2,500	02/23/2012	
OHCR 2011-3(HMT)	1	\$7,500	\$7,500	\$3,750	02/23/2012	
OHCR 2011-4(SA)	1	\$2,500	\$2,500	\$1,450	05/09/2012	
OHCR 2011-5(SA)	1	\$2,500	\$2,500	\$1,250	02/23/2012	
OHCR 2011-6(GC)	1	\$5,000	\$5,000	\$2,500	02/23/2012	
OHCR 2012-1(SA)	1	\$2,500	\$2,500	\$1,250	05/09/2012	
OSRR 2010-1(GC)	1	\$2,500	\$2,500	\$1,250	02/23/2012	
PAL 2011-2(AR)	2	\$5,000	\$5,000	\$5,000	10/24/2011	
PCC 2008-4(GC)	1	\$1,000	\$1,000	\$610	09/28/2012	
PCC 2010-1(GC)	2	\$5,000	\$2,500	\$1,500	09/28/2012	Terminated Violation(s): 1.
PCC 2011-1(GC)	1	\$2,500	\$2,500	\$1,650	09/28/2012	
PCC 2011-2(SA)	1	\$5,000	\$5,000	\$3,000	09/28/2012	
PCMZ 2011-1(LI)	1	\$1,500	\$1,500	\$1,500	01/23/2012	
PCMZ 2012-2(SA)	1	\$5,000	\$5,000	\$5,000	05/04/2012	
PHL 2007-2(AR)	2	\$5,000	\$5,000	\$3,750	01/03/2012	
PHL 2011-1(ROP)	1	\$9,500	\$9,500	\$7,000	01/03/2012	
PHL 2011-2(SA)	2	\$10,000	\$10,000	\$7,200	01/03/2012	

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PLVW 2011-1(TS)	2	\$10,000	\$10,000	\$7,400	10/05/2011	
PMSW 2011-1(SA)	1	\$5,000	\$5,000	\$3,600	04/20/2012	
PNR 2011-1(GC)	7	\$17,500	\$17,500	\$12,400	03/28/2012	
PNWR 2010-1(SA)	1	\$5,000	\$5,000	\$3,500	05/16/2012	
PNWR 2011-1(FCS)	1	\$2,500	\$2,500	\$1,900	05/16/2012	
PNWR 2011-2(AR)	1	\$2,500	\$2,500	\$1,800	05/16/2012	
PNWR 2011-3(TS)	1	\$1,000	\$1,000	\$800	05/16/2012	
PNWR 2011-4(SA)	1	\$5,000	\$5,000	\$3,650	05/16/2012	
PNWR 2011-5(SA)	3	\$7,500	\$7,500	\$6,000	05/16/2012	
PNWR 2011-6(SA)	4	\$10,000	\$10,000	\$7,800	05/16/2012	
PNWR 2011-7(TS)	1	\$5,000	\$5,000	\$3,600	05/16/2012	
PNWR 2012-1(SA)	1	\$5,000	\$5,000	\$3,750	05/16/2012	
PNWR 2012-2(TS)	2	\$5,000	\$5,000	\$3,750	05/16/2012	
POHC 2011-2(GC)	2	\$2,000	\$2,000	\$1,300	05/09/2012	
POTB 2010-1(GC)	1	\$5,000	\$5,000	\$3,400	02/28/2012	
PPG 2008-1(HMT)	1	\$5,000	\$5,000	\$3,000	03/18/2012	
PSAP 2010-1(EO)	1	\$2,500	\$2,500	\$1,775	09/25/2012	
PSAP 2011-1(HMT)	4	\$30,000	\$30,000	\$20,000	09/25/2012	
PSAP 2011-2(TS)	3	\$12,500	\$12,500	\$8,875	09/25/2012	
PSAP 2011-3(TS)	4	\$4,000	\$4,000	\$2,840	09/25/2012	
PSAP 2012-1(TS)	1	\$5,000	\$5,000	\$3,550	09/25/2012	
PSAP 2012-2(TS)	3	\$6,000	\$6,000	\$4,260	09/25/2012	
PSBX 2007-1(LI)	6	\$6,000	\$6,000	\$3,900	03/18/2012	
PSBX 2007-2(SA)	1	\$5,000	\$5,000	\$2,350	03/18/2012	
PSBX 2007-3(AR)	2	\$5,000	\$5,000	\$2,350	03/18/2012	
PSBX 2007-4(HSR)	1	\$1,000	\$1,000	\$650	03/18/2012	
PSBX 2007-5(ROR)	1	\$2,500	\$2,500	\$1,200	03/18/2012	
PSBX 2007-6(RSP)	1	\$5,000	\$5,000	\$2,350	03/18/2012	
PSBX 2007-7(EQ)	1	\$2,500	\$2,500	\$1,250	03/18/2012	
PSBX 2007-8(SA)	1	\$5,000	\$5,000	\$2,400	03/18/2012	
PSBX 2007-9(HSR)	1	\$1,000	\$1,000	\$650	03/18/2012	
PSBX 2007-10(AD)	1	\$5,000	\$5,000	\$2,400	03/18/2012	
PSBX 2007-11(EQ)	1	\$5,000	\$5,000	\$2,400	03/18/2012	
PSBX 2007-12(ROR)	1	\$2,500	\$2,500	\$1,250	03/18/2012	
PSBX 2007-13(AR)	2	\$5,000	\$5,000	\$2,400	03/18/2012	
PSBX 2007-14(RSP)	1	\$5,000	\$5,000	\$2,400	03/18/2012	
PSBX 2008-1(AD)	1	\$5,000	\$5,000	\$2,400	03/18/2012	
PSBX 2008-2(RSP)	1	\$5,000	\$5,000	\$2,400	03/18/2012	
PSBX 2010-1(LI)	5	\$9,500	\$9,500	\$4,750	03/18/2012	
PSBX 2010-2(LI)	2	\$3,500	\$3,500	\$1,750	03/18/2012	
PSRR 2010-1(GC)	1	\$2,500	\$2,500	\$1,500	09/28/2012	
PSRR 2012-2(GC)	1	\$1,000	\$1,000	\$700	09/28/2012	
PTO 2012-1(HMT)	1	\$5,000	\$5,000	\$5,000	07/05/2012	
PTRA 2011-3(EQ)	2	\$2,000	\$2,000	\$2,000	02/03/2012	
PTRA 2011-4(HMT)	1	\$5,000	\$5,000	\$5,000	11/30/2011	
PW 2010-9(RW)	1	\$2,000	\$2,000	\$1,640	10/01/2011	
PW 2010-10(SA)	1	\$5,000	\$5,000	\$3,650	10/01/2011	
PW 2010-11(SA)	1	\$2,500	\$2,500	\$1,850	10/19/2011	
PW 2011-1(FCS)	1	\$2,500	\$2,500	\$1,950	10/19/2011	

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PW 2011-2(TS)	3	\$8,500	\$8,500	\$6,375	11/19/2011	
PW 2011-3(TS)	5	\$10,000	\$10,000	\$7,750	10/19/2011	
PW 2011-4(TS)	2	\$10,000	\$10,000	\$7,000	01/17/2012	
PW 2011-8(TS)	1	\$2,000	\$2,000	\$2,000	05/15/2012	
PW 2011-9(TS)	2	\$2,000	\$2,000	\$1,550	10/19/2011	
PW 2011-10(TS)	2	\$2,000	\$2,000	\$1,550	10/19/2011	
PW 2011-11(TS)	2	\$2,000	\$2,000	\$1,550	10/19/2011	
PW 2011-12(SA)	1	\$5,000	\$5,000	\$3,800	10/19/2011	
PW 2011-13(TS)	1	\$2,000	\$2,000	\$1,550	10/19/2011	
PW 2011-15(SA)	1	\$5,000	\$5,000	\$3,700	10/19/2011	
QRR 2008-1(SA)	1	\$5,000	\$5,000	\$2,500	07/08/2012	
RAIL 2011-1(HMT)	1	\$3,000	\$3,000	\$2,250	11/21/2011	
RCSS 2011-1(HMT)	3	\$17,500	\$17,500	\$10,000	09/25/2012	
RJCM 2010-1(SA)	2	\$7,500	\$7,500	\$6,800	06/22/2012	
RJCP 2012-1(HMT)	1	\$5,000	\$5,000	\$4,000	08/29/2012	
RJCW 2010-1(HMT)	1	\$7,500	\$7,500	\$5,625	05/24/2012	
RJCW 2011-1(HS)	1	\$1,000	\$1,000	\$750	11/15/2011	
RJCW 2011-2(HMT)	1	\$2,000	\$2,000	\$2,000	04/04/2012	
RPRC 2011-1(HMT)	1	\$2,000	\$2,000	\$2,000	11/09/2011	
RSIX 2011-2(HS)	3	\$3,000	\$3,000	\$3,000	10/24/2011	
SAPT 2007-1(LI)	1	\$2,500	\$0	\$0	11/10/2011	Case Terminated.
SAPT 2011-1(SA)	1	\$5,000	\$5,000	\$3,750	11/01/2011	
SASI 2006-1(GC)	4	\$7,000	\$0	\$0	11/10/2011	Case Terminated.
SBS 2006-1(HMT)	1	\$7,500	\$0	\$0	11/25/2011	Case Terminated.
SBS 2007-4(GC)	1	\$5,000	\$5,000	\$5,000	05/10/2012	Case closed in FY2008 according to OK City Record.
SBS 2010-1(SA)	4	\$12,500	\$12,500	\$12,500	05/10/2012	Case closed in FY 2011 according to OK City Record.
SBS 2010-2(SA)	1	\$2,500	\$2,500	\$1,000	05/25/2012	
SBS 2011-1(FCS)	1	\$2,500	\$2,500	\$1,000	05/25/2012	
SBS 2011-2(FCS)	1	\$2,500	\$2,500	\$1,000	05/25/2012	
SBS 2011-3(SA)	2	\$5,000	\$5,000	\$1,300	05/25/2012	
SBS 2012-1(ROP)	1	\$2,000	\$2,000	\$1,000	05/25/2012	
SCAX 2006-1(RSP)	1	\$5,000	\$0	\$0	11/10/2011	Case Terminated.
SCAX 2007-1(TS)	1	\$2,500	\$0	\$0	01/31/2012	Case Terminated.
SCAX 2008-1(GC)	1	\$5,000	\$5,000	\$2,500	03/26/2012	
SCAX 2009-1(GC)	1	\$5,000	\$5,000	\$2,500	03/26/2012	
SCAX 2009-3(ROR)	5	\$22,000	\$22,000	\$11,000	03/26/2012	
SCAX 2009-4(ROR)	3	\$24,000	\$24,000	\$12,000	03/26/2012	
SCAX 2009-5(ROR)	1	\$5,000	\$5,000	\$2,500	03/26/2012	
SCAX 2009-6(ROR)	1	\$2,500	\$2,500	\$1,250	03/26/2012	
SCAX 2009-7(ROR)	2	\$10,000	\$10,000	\$5,000	03/26/2012	
SCAX 2009-8(LI)	1	\$5,000	\$5,000	\$2,500	03/26/2012	
SCAX 2009-9(EO)	1	\$10,000	\$10,000	\$9,000	03/26/2012	
SCAX 2010-1(AR)	2	\$5,000	\$5,000	\$2,500	03/26/2012	
SCAX 2010-2(PEQ)	1	\$5,000	\$5,000	\$2,500	03/26/2012	
SCAX 2010-3(LI)	2	\$10,000	\$10,000	\$5,000	03/26/2012	
SCAX 2010-4(TS)	1	\$2,500	\$2,500	\$1,625	03/26/2012	
SCAX 2010-5(GC)	1	\$5,000	\$5,000	\$2,500	03/26/2012	
SCAX 2011-1(GC)	1	\$5,000	\$5,000	\$2,500	03/26/2012	

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SCBG 2011-1(HSR)	1	\$1,000	\$1,000	\$1,000	11/21/2011	
SCRF 2012-1(RW)	1	\$3,000	\$3,000	\$2,100	09/25/2012	
SCXF 2011-2(ROP)	1	\$7,500	\$0	\$0	01/20/2012	Case Terminated.
SCXF 2011-3(SA)	1	\$5,000	\$5,000	\$5,000	01/03/2012	
SCXF 2011-4(SA)	3	\$15,000	\$15,000	\$15,000	01/03/2012	
SCXF 2012-1(RW)	1	\$1,000	\$1,000	\$1,000	05/21/2012	
SCXF 2012-2(LI)	1	\$2,500	\$2,500	\$2,500	09/24/2012	
SCXY 2007-1(LI)	1	\$2,500	\$0	\$0	04/02/2012	Case Terminated.
SEPA 2002-5(RW)	2	\$5,000	\$0	\$0	01/12/2012	Case Terminated.
SEPA 2007-1(HS)	2	\$2,000	\$0	\$0	01/12/2012	Case Terminated.
SEPA 2007-2(HS)	9	\$9,000	\$0	\$0	01/12/2012	Case Terminated.
SEPA 2007-4(HS)	9	\$9,000	\$0	\$0	01/12/2012	Case Terminated.
SEPA 2007-5(HS)	15	\$21,000	\$0	\$0	01/12/2012	Case Terminated.
SEPA 2007-6(HS)	6	\$6,000	\$0	\$0	01/12/2012	Case Terminated.
SEPA 2007-9(RSP)	2	\$7,500	\$7,500	\$5,250	02/16/2012	
SEPA 2007-10(ROR)	3	\$15,000	\$15,000	\$10,500	02/16/2012	
SEPA 2007-12(RSP)	1	\$5,000	\$5,000	\$3,750	02/16/2012	
SEPA 2007-13(HSR)	1	\$1,000	\$1,000	\$700	02/16/2012	
SEPA 2008-1(GC)	1	\$5,000	\$5,000	\$3,500	02/16/2012	
SEPA 2008-2(AR)	1	\$1,000	\$1,000	\$700	02/16/2012	
SEPA 2008-3(HS)	6	\$6,000	\$0	\$0	01/12/2012	Case Terminated.
SEPA 2008-4(HSR)	1	\$1,000	\$0	\$0	01/25/2012	Case Terminated.
SEPA 2008-5(AR)	1	\$2,500	\$2,500	\$1,625	02/16/2012	
SEPA 2008-6(AR)	1	\$2,500	\$0	\$0	01/12/2012	Case Terminated.
SEPA 2008-7(REM)	1	\$5,000	\$5,000	\$3,750	02/16/2012	
SEPA 2008-8(AR)	1	\$2,500	\$2,500	\$1,750	02/16/2012	
SEPA 2008-9(TH)	1	\$1,000	\$1,000	\$700	02/16/2012	
SEPA 2008-10(AR)	5	\$12,500	\$10,000	\$6,500	02/16/2012	Terminated Violation(s): 5.
SEPA 2008-11(GC)	1	\$5,000	\$5,000	\$3,000	02/16/2012	
SEPA 2008-12(SI)	1	\$5,000	\$5,000	\$3,500	02/16/2012	
SEPA 2008-13(RSP)	1	\$5,000	\$5,000	\$3,500	02/16/2012	
SEPA 2008-15(AR)	1	\$2,500	\$0	\$0	06/07/2012	Case Terminated.
SEPA 2009-2(ROR)	2	\$10,000	\$10,000	\$5,000	02/16/2012	
SEPA 2009-3(RSP)	3	\$4,500	\$4,500	\$2,900	02/16/2012	
SEPA 2009-4(RSP)	2	\$5,000	\$5,000	\$3,500	10/26/2011	
SEPA 2009-5(PEP)	1	\$2,500	\$2,500	\$1,800	10/26/2011	
SEPA 2009-6(HSR)	1	\$1,000	\$1,000	\$700	02/16/2012	
SEPA 2009-7(PEQ)	1	\$2,500	\$2,500	\$1,250	02/16/2012	
SEPA 2009-8(RW)	2	\$7,000	\$7,000	\$4,800	06/07/2012	
SEPA 2009-9(SI)	1	\$5,000	\$5,000	\$3,000	02/16/2012	
SEPA 2009-10(ROP)	1	\$5,000	\$5,000	\$3,500	02/16/2012	
SEPA 2009-11(RSP)	2	\$6,000	\$6,000	\$4,000	02/16/2012	
SEPA 2009-12(RSP)	1	\$1,000	\$1,000	\$700	02/16/2012	
SEPA 2009-13(EO)	1	\$9,500	\$9,500	\$6,650	06/07/2012	
SEPA 2009-14(PEQ)	1	\$2,500	\$2,500	\$1,250	02/16/2012	
SEPA 2009-15(RSP)	2	\$7,500	\$7,500	\$4,500	02/16/2012	
SEPA 2009-16(PEQ)	2	\$3,500	\$3,500	\$2,700	10/26/2011	
SEPA 2009-17(ROP)	1	\$5,000	\$5,000	\$3,500	10/26/2011	
SEPA 2009-18(ROR)	5	\$47,500	\$47,500	\$26,000	10/26/2011	

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SEPA 2009-19(RSP)	1	\$1,000	\$1,000	\$650	10/26/2011	
SEPA 2010-1(ROP)	1	\$5,000	\$5,000	\$4,000	10/26/2011	
SEPA 2010-2(SA)	1	\$2,500	\$2,500	\$1,800	10/26/2011	
SEPA 2010-3(ROR)	1	\$9,500	\$9,500	\$6,200	10/26/2011	
SEPA 2010-4(EO)	1	\$2,500	\$2,500	\$1,750	10/26/2011	
SEPA 2010-5(PEQ)	1	\$2,500	\$2,500	\$2,000	10/26/2011	
SEPA 2010-6(ROP)	1	\$5,000	\$5,000	\$3,500	10/26/2011	
SEPA 2010-7(RSP)	2	\$10,000	\$10,000	\$6,000	10/26/2011	
SEPA 2010-8(RW)	8	\$45,000	\$45,000	\$31,500	10/26/2011	
SEPA 2010-9(PEQ)	1	\$10,000	\$10,000	\$7,000	10/26/2011	
SEPA 2010-10(ROP)	1	\$7,500	\$7,500	\$5,000	10/26/2011	
SEPA 2010-11(RW)	1	\$1,000	\$1,000	\$750	10/26/2011	
SEPA 2010-12(RSP)	1	\$5,000	\$5,000	\$3,500	10/26/2011	
SEPA 2010-13(PEQ)	1	\$2,500	\$2,500	\$2,000	10/26/2011	
SEPA 2010-14(ROP)	1	\$5,000	\$5,000	\$4,000	10/26/2011	
SEPA 2010-17(ROP)	1	\$5,000	\$5,000	\$3,000	02/16/2012	
SEPA 2011-1(REM)	1	\$5,000	\$5,000	\$3,000	02/16/2012	
SEPA 2011-2(ROP)	1	\$5,000	\$5,000	\$3,000	02/16/2012	
SEPA 2011-3(HSR)	2	\$2,000	\$2,000	\$1,300	02/16/2012	
SEPA 2011-4(ROP)	1	\$5,000	\$5,000	\$3,000	02/16/2012	
SEPA 2011-5(SI)	1	\$5,000	\$5,000	\$2,500	02/16/2012	
SEPA 2011-6(REM)	1	\$5,000	\$5,000	\$3,500	02/16/2012	
SEPA 2011-7(ROP)	1	\$5,000	\$5,000	\$3,000	02/16/2012	
SEPA 2012-1(HS)	1	\$1,000	\$1,000	\$700	02/16/2012	
SEPA 2012-2(HS)	1	\$1,000	\$1,000	\$650	06/07/2012	
SEPA 2012-3(HS)	1	\$1,000	\$1,000	\$650	06/07/2012	
SEPA 2012-4(HS)	1	\$1,000	\$1,000	\$650	06/07/2012	
SEPA 2012-5(HS)	1	\$1,000	\$1,000	\$650	06/07/2012	
SEPA 2012-6(TS)	1	\$2,500	\$2,500	\$1,250	09/07/2012	
SEPA 2012-7(ROP)	1	\$9,500	\$9,500	\$5,000	09/07/2012	
SEPA 2012-8(GC)	1	\$2,500	\$0	\$0	09/07/2012	Case Terminated.
SERA 2004-1(GC)	1	\$1,000	\$0	\$0	11/10/2011	Case Terminated.
SERA 2005-2(HMT)	1	\$7,500	\$0	\$0	11/10/2011	Case Terminated.
SERA 2006-1(HMT)	2	\$15,000	\$0	\$0	11/10/2011	Case Terminated.
SERA 2006-2(TS)	3	\$12,500	\$0	\$0	11/10/2011	Case Terminated.
SERA 2006-3(TS)	5	\$27,000	\$0	\$0	11/10/2011	Case Terminated.
SERA 2007-1(LIS)	1	\$1,000	\$0	\$0	11/10/2011	Case Terminated.
SFRV 2008-2(LI)	1	\$2,500	\$2,500	\$1,625	03/30/2012	
SFRV 2008-3(PEP)	1	\$5,000	\$5,000	\$3,250	03/30/2012	
SFRV 2009-1(ROP)	1	\$5,000	\$5,000	\$2,500	03/30/2012	
SFRV 2009-2(LI)	2	\$3,500	\$3,500	\$2,275	03/30/2012	
SFRV 2009-3(PEQ)	1	\$5,000	\$5,000	\$2,500	03/30/2012	
SFRV 2009-4(LI)	2	\$7,000	\$7,000	\$3,500	04/02/2012	
SFRV 2010-1(LI)	1	\$2,500	\$2,500	\$1,750	03/30/2012	
SFRV 2010-2(HSR)	1	\$1,000	\$1,000	\$650	03/30/2012	
SFRV 2010-3(AD)	1	\$5,000	\$5,000	\$2,500	03/30/2012	
SFRV 2011-1(ROP)	1	\$5,000	\$5,000	\$5,000	11/25/2011	
SFRV 2012-1(AD)	3	\$10,000	\$10,000	\$6,000	05/10/2012	
SFS 2004-1(TS)	18	\$34,000	\$0	\$0	11/21/2011	Case Terminated.

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SJVR 2009-6(GC)	5	\$16,000	\$16,000	\$11,360	09/25/2012	
SJVR 2011-4(GC)	1	\$2,500	\$2,500	\$1,775	09/25/2012	
SJVR 2011-5(GC)	5	\$12,000	\$12,000	\$8,300	09/25/2012	
SJVR 2011-7(ROP)	1	\$7,500	\$0	\$0	09/25/2012	Case Terminated.
SJVR 2011-8(GC)	1	\$2,500	\$2,500	\$1,775	09/25/2012	
SJVR 2011-9(GC)	1	\$5,000	\$5,000	\$3,550	09/25/2012	
SJVR 2011-10(AR)	1	\$2,500	\$2,500	\$1,775	09/25/2012	
SJVR 2012-1(GC)	1	\$1,000	\$1,000	\$750	09/25/2012	
SJVR 2012-2(ROP)	1	\$7,500	\$0	\$0	09/25/2012	Case Terminated.
SJVR 2012-3(SA)	1	\$5,000	\$0	\$0	09/25/2012	Case Terminated.
SKOL 2008-2(GC)	3	\$33,000	\$0	\$0	09/28/2012	Case Terminated.
SKOL 2008-4(GC)	1	\$1,000	\$1,000	\$625	09/28/2012	
SKOL 2009-2(GC)	1	\$2,500	\$2,500	\$1,275	09/28/2012	
SKOL 2009-3(GC)	15	\$37,500	\$32,500	\$18,250	09/28/2012	Partially Terminated Violation(s): 3, 4.
SKOL 2009-4(GC)	5	\$21,000	\$21,000	\$12,625	09/28/2012	
SKOL 2009-5(GC)	8	\$36,000	\$35,000	\$20,700	09/28/2012	Terminated Violation(s): 4.
SKOL 2009-7(GC)	3	\$15,000	\$15,000	\$9,025	09/28/2012	
SKOL 2009-8(GC)	1	\$5,000	\$5,000	\$3,000	09/28/2012	
SKOL 2009-10(GC)	1	\$5,000	\$5,000	\$3,000	09/28/2012	
SKOL 2009-11(GC)	6	\$25,000	\$25,000	\$15,100	09/28/2012	
SKOL 2010-2(GC)	1	\$5,000	\$5,000	\$3,175	09/28/2012	
SKOL 2010-3(EQ)	2	\$3,500	\$3,500	\$2,150	09/28/2012	
SKOL 2010-5(TH)	1	\$5,000	\$5,000	\$3,400	09/28/2012	
SKOL 2011-1(ROP)	1	\$7,500	\$7,500	\$4,900	09/28/2012	
SKOL 2011-2(SI)	1	\$5,000	\$5,000	\$3,650	09/28/2012	
SKOL 2011-3(ROP)	1	\$7,500	\$7,500	\$4,900	09/28/2012	
SKOL 2011-4(EQ)	5	\$15,000	\$15,000	\$9,750	09/28/2012	
SKOL 2011-5(RW)	1	\$3,000	\$3,000	\$2,300	09/28/2012	
SLAL 2007-1(TS)	1	\$2,500	\$0	\$0	11/10/2011	Case Terminated.
SLR 2008-1(GC)	1	\$5,000	\$5,000	\$2,000	01/31/2012	
SLRG 2009-1(HSR)	1	\$1,000	\$1,000	\$650	06/04/2012	
SLRG 2010-2(GC)	1	\$2,500	\$2,500	\$1,625	06/04/2012	
SLRG 2010-3(EQ)	2	\$2,000	\$2,000	\$1,300	06/04/2012	
SLRG 2011-1(TS)	1	\$5,000	\$5,000	\$3,250	06/04/2012	
SLRG 2011-3(HSR)	1	\$1,000	\$1,000	\$650	06/04/2012	
SLRG 2011-4(SA)	1	\$5,000	\$5,000	\$3,250	06/04/2012	
SLRG 2011-5(GC)	1	\$2,500	\$2,500	\$1,625	06/04/2012	
SLRG 2011-6(LI)	1	\$2,500	\$2,500	\$1,625	06/04/2012	
SLRS 2008-1(AR)	1	\$1,000	\$0	\$0	11/17/2011	Case Terminated.
SLWC 2011-1(ROP)	1	\$7,500	\$7,500	\$4,900	09/28/2012	
SM 2007-1(LI)	2	\$3,500	\$0	\$0	08/07/2012	Case Terminated.
SM 2008-1(LI)	1	\$2,500	\$0	\$0	08/30/2012	Case Terminated.
SMW 2007-1(TS)	1	\$1,000	\$0	\$0	08/07/2012	Case Terminated.
SMW 2007-3(HSR)	1	\$1,000	\$0	\$0	08/07/2012	Case Terminated.
SMW 2007-4(ROR)	1	\$5,000	\$0	\$0	08/07/2012	Case Terminated.
SMW 2010-1(EO)	2	\$5,000	\$5,000	\$2,400	01/09/2012	
SMW 2010-2(HMT)	3	\$16,000	\$16,000	\$7,600	01/09/2012	
SOM 2006-1(GC)	1	\$5,000	\$0	\$0	11/10/2011	Case Terminated.
SOU 2007-105(AR)	3	\$7,500	\$5,000	\$3,000	09/28/2012	Terminated Violation(s): 1.

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SOU 2007-110(TS)	1	\$1,000	\$1,000	\$800	09/28/2012	
SOU 2007-119(TS)	2	\$10,000	\$10,000	\$6,500	09/28/2012	
SOU 2007-183(FCS)	2	\$5,000	\$5,000	\$3,300	09/28/2012	
SOU 2007-185(LI)	5	\$11,500	\$11,500	\$7,100	09/28/2012	
SOU 2008-112(SA)	4	\$23,500	\$23,500	\$14,400	09/28/2012	
SOU 2008-158(SA)	3	\$12,500	\$12,500	\$7,850	09/28/2012	
SOU 2008-168(SA)	4	\$12,500	\$12,500	\$7,750	09/28/2012	
SOU 2008-243(SI)	2	\$3,500	\$3,500	\$2,450	09/28/2012	
SOU 2009-6(SA)	4	\$17,500	\$17,500	\$11,000	09/28/2012	
SOU 2009-28(FCS)	3	\$6,000	\$6,000	\$4,000	09/28/2012	
SOU 2009-30(FCS)	1	\$2,500	\$2,500	\$1,750	09/28/2012	
SOU 2009-40(SA)	2	\$7,500	\$7,500	\$4,800	09/28/2012	
SOU 2009-41(FCS)	2	\$5,000	\$5,000	\$3,200	09/28/2012	
SOU 2009-51(SA)	4	\$17,500	\$17,500	\$11,300	09/28/2012	
SOU 2009-60(SA)	3	\$9,500	\$9,500	\$6,150	09/28/2012	
SOU 2009-93(SA)	4	\$17,500	\$17,500	\$11,250	09/28/2012	
SOU 2009-208(HMT)	2	\$13,500	\$13,500	\$9,500	09/28/2012	
SOU 2010-25(ROP)	2	\$15,000	\$15,000	\$10,000	09/28/2012	
SOU 2010-41(ROP)	1	\$9,500	\$9,500	\$6,300	09/28/2012	
SOU 2010-120(SA)	2	\$10,000	\$10,000	\$6,500	09/28/2012	
SOU 2010-185(HSR)	1	\$1,000	\$1,000	\$725	09/28/2012	
SOU 2010-286(HMT)	2	\$5,000	\$5,000	\$3,750	09/28/2012	
SOU 2010-306(SA)	3	\$12,500	\$12,500	\$8,100	09/28/2012	
SOU 2010-314(AD)	2	\$10,000	\$10,000	\$8,500	09/28/2012	
SOU 2011-4(FCS)	2	\$5,000	\$5,000	\$3,500	09/28/2012	
SOU 2011-13(SA)	3	\$15,000	\$15,000	\$9,650	09/28/2012	
SOU 2011-16(SA)	2	\$7,500	\$7,500	\$4,450	09/28/2012	
SOU 2011-19(SA)	2	\$10,000	\$10,000	\$6,500	09/28/2012	
SOU 2011-22(AD)	1	\$2,500	\$2,500	\$1,875	09/28/2012	
SOU 2011-25(ROP)	1	\$7,500	\$7,500	\$5,150	09/28/2012	
SOU 2011-28(FCS)	1	\$2,500	\$2,500	\$1,750	09/28/2012	
SOU 2011-36(SA)	1	\$5,000	\$5,000	\$3,300	09/28/2012	
SOU 2011-39(LI)	1	\$2,500	\$2,500	\$1,800	09/28/2012	
SOU 2011-42(HMT)	1	\$3,000	\$3,000	\$2,000	09/28/2012	
SOU 2011-45(SA)	1	\$5,000	\$5,000	\$3,250	09/28/2012	
SOU 2011-47(SA)	3	\$10,000	\$10,000	\$5,700	09/28/2012	
SOU 2011-48(LI)	1	\$2,500	\$2,500	\$1,750	09/28/2012	
SOU 2011-51(SA)	1	\$5,000	\$5,000	\$3,200	09/28/2012	
SOU 2011-57(SA)	2	\$7,500	\$7,500	\$4,800	09/28/2012	
SOU 2011-60(FCS)	1	\$2,500	\$2,500	\$1,750	09/28/2012	
SOU 2011-61(HMT)	1	\$2,000	\$2,000	\$1,300	09/28/2012	
SOU 2011-63(GC)	1	\$5,000	\$5,000	\$3,500	09/28/2012	
SOU 2011-66(ROP)	1	\$9,500	\$9,500	\$6,400	09/28/2012	
SOU 2011-72(HMT)	1	\$2,000	\$2,000	\$1,300	09/28/2012	
SOU 2011-73(FCS)	1	\$2,500	\$2,500	\$1,800	09/28/2012	
SOU 2011-74(SA)	1	\$5,000	\$5,000	\$3,300	09/28/2012	
SOU 2011-75(HMT)	1	\$4,000	\$4,000	\$2,800	09/28/2012	
SOU 2011-76(HMT)	5	\$22,000	\$22,000	\$15,000	09/28/2012	
SOU 2011-77(HMT)	1	\$1,000	\$1,000	\$720	09/28/2012	

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SOU 2011-78(HMT)	1	\$7,500	\$7,500	\$4,400	09/28/2012	
SOU 2011-79(ROP)	2	\$12,500	\$7,500	\$5,000	09/28/2012	Terminated Violation(s): 1.
SOU 2011-80(SA)	1	\$5,000	\$5,000	\$3,300	09/28/2012	
SOU 2011-81(TS)	1	\$5,000	\$5,000	\$3,200	09/28/2012	
SOU 2011-82(SA)	2	\$7,500	\$7,500	\$4,800	09/28/2012	
SOU 2011-83(SA)	3	\$7,500	\$7,500	\$4,150	09/28/2012	
SOU 2011-84(FCS)	1	\$2,500	\$2,500	\$1,750	09/28/2012	
SOU 2011-86(SA)	1	\$2,500	\$2,500	\$1,850	09/28/2012	
SOU 2011-87(TS)	1	\$5,000	\$5,000	\$3,500	09/28/2012	
SOU 2011-88(SA)	1	\$2,500	\$2,500	\$1,700	09/28/2012	
SOU 2011-89(SA)	3	\$12,500	\$12,500	\$8,150	09/28/2012	
SOU 2011-90(FCS)	1	\$1,000	\$1,000	\$750	09/28/2012	
SOU 2011-91(FCS)	3	\$7,500	\$7,500	\$5,200	09/28/2012	
SOU 2011-92(SA)	1	\$2,500	\$2,500	\$1,850	09/28/2012	
SOU 2011-93(SA)	1	\$5,000	\$5,000	\$3,300	09/28/2012	
SOU 2011-94(FCS)	2	\$5,000	\$5,000	\$3,400	09/28/2012	
SOU 2011-95(SA)	2	\$7,500	\$7,500	\$4,800	09/28/2012	
SOU 2011-96(ROP)	1	\$7,500	\$7,500	\$5,200	09/28/2012	
SOU 2011-97(FCS)	1	\$5,000	\$5,000	\$3,500	09/28/2012	
SOU 2011-98(ROP)	1	\$7,500	\$2,000	\$2,000	09/28/2012	Partially Terminated Violation(s): 1.
SOU 2011-99(HMT)	2	\$9,000	\$9,000	\$6,200	09/28/2012	
SOU 2011-100(LI)	5	\$10,500	\$10,500	\$6,500	09/28/2012	
SOU 2011-101(HMT)	4	\$14,000	\$14,000	\$10,500	09/28/2012	
SOU 2011-102(LI)	1	\$2,500	\$2,500	\$1,600	09/28/2012	
SOU 2011-103(SA)	3	\$10,000	\$10,000	\$6,300	09/28/2012	
SOU 2011-104(LI)	1	\$2,500	\$2,500	\$1,750	09/28/2012	
SOU 2011-105(TS)	2	\$2,000	\$2,000	\$1,300	09/28/2012	
SOU 2011-106(FCS)	1	\$2,500	\$2,500	\$1,700	09/28/2012	
SOU 2011-107(GC)	2	\$10,000	\$10,000	\$6,850	09/28/2012	
SOU 2011-108(SI)	1	\$1,000	\$1,000	\$750	09/28/2012	
SOU 2011-109(SI)	1	\$1,000	\$1,000	\$750	09/28/2012	
SOU 2011-110(TS)	4	\$7,000	\$7,000	\$4,800	09/28/2012	
SOU 2011-111(ROP)	1	\$9,500	\$9,500	\$6,400	09/28/2012	
SOU 2011-112(SA)	1	\$5,000	\$5,000	\$3,250	09/28/2012	
SOU 2011-113(SA)	1	\$5,000	\$5,000	\$3,400	09/28/2012	
SOU 2011-114(RW)	1	\$2,500	\$2,500	\$1,800	09/28/2012	
SOU 2011-116(HMT)	1	\$2,000	\$2,000	\$1,250	09/28/2012	
SOU 2011-117(HMT)	2	\$5,000	\$5,000	\$3,500	09/28/2012	
SOU 2011-118(SA)	3	\$7,500	\$7,500	\$5,100	09/28/2012	
SOU 2011-119(ROP)	1	\$7,500	\$7,500	\$4,800	09/28/2012	
SOU 2011-120(SA)	2	\$7,500	\$7,500	\$4,900	09/28/2012	
SOU 2011-121(SA)	1	\$2,500	\$2,500	\$1,850	09/28/2012	
SOU 2011-122(LI)	1	\$2,500	\$2,500	\$1,700	09/28/2012	
SOU 2011-123(LI)	1	\$2,500	\$2,500	\$1,750	09/28/2012	
SOU 2011-124(HMT)	1	\$7,000	\$7,000	\$5,000	09/28/2012	
SOU 2011-125(LI)	1	\$2,500	\$2,500	\$1,700	09/28/2012	
SOU 2011-126(RW)	1	\$5,000	\$5,000	\$3,250	09/28/2012	
SOU 2011-127(ROP)	1	\$9,500	\$9,500	\$6,400	09/28/2012	
SOU 2011-128(SA)	1	\$5,000	\$5,000	\$3,300	09/28/2012	

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SOU 2011-131(RSP)	1	\$2,500	\$2,500	\$1,850	09/28/2012	
SOU 2011-132(FCS)	1	\$2,500	\$2,500	\$1,750	09/28/2012	
SOU 2011-133(ROP)	2	\$17,000	\$12,500	\$10,625	09/28/2012	Partially Terminated Violation(s): 1.
SOU 2011-134(SA)	2	\$10,000	\$10,000	\$6,500	09/28/2012	
SOU 2011-135(FCS)	2	\$7,500	\$7,500	\$5,000	09/28/2012	
SOU 2011-137(LI)	1	\$1,000	\$1,000	\$650	09/28/2012	
SOU 2011-138(HS)	2	\$2,000	\$2,000	\$1,300	09/28/2012	
SOU 2011-139(FCS)	1	\$2,500	\$2,500	\$1,750	09/28/2012	
SOU 2011-140(SA)	1	\$2,500	\$2,500	\$1,850	09/28/2012	
SOU 2011-141(LI)	1	\$1,500	\$1,500	\$1,000	09/28/2012	
SOU 2011-142(EO)	1	\$2,500	\$2,500	\$1,650	09/28/2012	
SOU 2011-143(HMT)	1	\$7,500	\$7,500	\$4,700	09/28/2012	
SOU 2011-144(HMT)	2	\$9,500	\$9,500	\$6,100	09/28/2012	
SOU 2011-145(EQ)	1	\$2,500	\$2,500	\$1,550	09/28/2012	
SOU 2011-146(HMT)	1	\$2,000	\$2,000	\$1,600	09/28/2012	
SOU 2011-147(ROP)	1	\$9,500	\$9,500	\$6,300	09/28/2012	
SOU 2011-148(GC)	2	\$10,000	\$10,000	\$7,000	09/28/2012	
SOU 2011-149(SA)	1	\$5,000	\$5,000	\$3,200	09/28/2012	
SOU 2011-150(SA)	1	\$2,500	\$2,500	\$1,850	09/28/2012	
SOU 2011-151(LI)	1	\$2,500	\$2,500	\$1,650	09/28/2012	
SOU 2011-152(HMT)	5	\$33,500	\$33,500	\$22,000	09/28/2012	
SOU 2011-153(ROP)	2	\$15,000	\$15,000	\$10,700	09/28/2012	
SOU 2011-154(SA)	1	\$5,000	\$5,000	\$3,200	09/28/2012	
SOU 2011-155(SA)	5	\$20,000	\$20,000	\$12,900	09/28/2012	
SOU 2011-156(SA)	1	\$5,000	\$5,000	\$3,400	09/28/2012	
SOU 2011-157(HSR)	1	\$1,000	\$1,000	\$750	09/28/2012	
SOU 2011-158(TS)	1	\$5,000	\$5,000	\$3,250	09/28/2012	
SOU 2011-159(FCS)	4	\$10,000	\$10,000	\$6,600	09/28/2012	
SOU 2011-160(TS)	1	\$2,500	\$2,500	\$1,875	09/28/2012	
SOU 2011-161(SA)	2	\$7,500	\$7,500	\$5,100	09/28/2012	
SOU 2011-162(HSR)	2	\$2,000	\$1,000	\$800	09/28/2012	Terminated Violation(s): 2.
SOU 2011-163(HS)	1	\$1,000	\$1,000	\$725	09/28/2012	
SOU 2011-164(SA)	2	\$5,000	\$5,000	\$3,400	09/28/2012	
SOU 2011-165(FCS)	3	\$7,500	\$7,500	\$5,200	09/28/2012	
SOU 2011-166(HMT)	3	\$18,500	\$18,500	\$12,500	09/28/2012	
SOU 2011-167(HMT)	1	\$4,000	\$4,000	\$2,750	09/28/2012	
SOU 2011-168(RW)	1	\$1,000	\$1,000	\$700	09/28/2012	
SOU 2011-169(HMT)	3	\$6,000	\$6,000	\$4,200	09/28/2012	
SOU 2011-170(SA)	1	\$5,000	\$5,000	\$3,300	09/28/2012	
SOU 2011-171(HMT)	2	\$10,000	\$10,000	\$7,400	09/28/2012	
SOU 2011-172(HS)	1	\$1,000	\$1,000	\$750	09/28/2012	
SOU 2011-173(FCS)	1	\$2,500	\$2,500	\$1,800	09/28/2012	
SOU 2011-174(SA)	3	\$15,000	\$15,000	\$9,900	09/28/2012	
SOU 2011-175(ROP)	1	\$7,500	\$7,500	\$5,000	09/28/2012	
SOU 2011-176(SA)	3	\$15,000	\$15,000	\$9,800	09/28/2012	
SOU 2011-177(SA)	3	\$15,000	\$15,000	\$9,600	09/28/2012	
SOU 2011-178(SA)	2	\$5,000	\$5,000	\$1,300	09/28/2012	
SOU 2011-179(SA)	1	\$5,000	\$5,000	\$3,250	09/28/2012	
SOU 2011-180(TS)	1	\$5,000	\$5,000	\$3,600	09/28/2012	

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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 2011-181(SA)	2	\$10,000	\$10,000	\$6,600	09/28/2012	
SOU 2011-182(SA)	2	\$5,000	\$5,000	\$3,200	09/28/2012	
SOU 2011-183(ROP)	4	\$40,500	\$29,000	\$25,000	09/28/2012	Partially Terminated Violation(s): 2, 3, 4.
SOU 2011-184(AD)	2	\$10,000	\$10,000	\$8,250	09/28/2012	
SOU 2011-185(LI)	2	\$3,500	\$3,500	\$2,450	09/28/2012	
SOU 2011-187(TS)	1	\$1,000	\$1,000	\$750	09/28/2012	
SOU 2011-188(ROP)	1	\$7,500	\$2,000	\$2,000	09/28/2012	Partially Terminated Violation(s): 1.
SOU 2011-189(SA)	1	\$5,000	\$5,000	\$3,400	09/28/2012	
SOU 2011-190(HMT)	1	\$5,000	\$5,000	\$3,850	09/28/2012	
SOU 2011-191(HMT)	1	\$5,000	\$5,000	\$3,000	09/28/2012	
SOU 2011-192(TS)	1	\$1,000	\$1,000	\$800	09/28/2012	
SOU 2011-193(FCS)	1	\$2,500	\$2,500	\$1,750	09/28/2012	
SOU 2011-194(ROP)	1	\$5,000	\$5,000	\$650	09/28/2012	
SOU 2011-196(EP)	1	\$1,500	\$1,500	\$900	09/28/2012	
SOU 2011-197(SA)	1	\$5,000	\$5,000	\$3,300	09/28/2012	
SOU 2011-198(SA)	1	\$5,000	\$5,000	\$3,200	09/28/2012	
SOU 2011-200(LI)	1	\$2,500	\$2,500	\$1,950	09/28/2012	
SOU 2011-201(EQ)	1	\$1,000	\$1,000	\$800	09/28/2012	
SOU 2011-202(RSP)	1	\$2,500	\$2,500	\$1,800	09/28/2012	
SOU 2011-203(SI)	3	\$15,000	\$15,000	\$1,950	09/28/2012	
SOU 2011-204(SA)	2	\$10,000	\$10,000	\$6,400	09/28/2012	
SOU 2011-205(FCS)	4	\$10,000	\$10,000	\$6,800	09/28/2012	
SOU 2011-206(FCS)	5	\$12,500	\$12,500	\$8,500	09/28/2012	
SOU 2011-207(FCS)	1	\$2,500	\$2,500	\$1,800	09/28/2012	
SOU 2011-208(FCS)	1	\$2,500	\$2,500	\$1,750	09/28/2012	
SOU 2011-209(SA)	3	\$15,000	\$15,000	\$9,700	09/28/2012	
SOU 2011-210(SA)	2	\$5,000	\$5,000	\$3,300	09/28/2012	
SOU 2011-211(SA)	2	\$5,000	\$5,000	\$3,300	09/28/2012	
SOU 2011-212(SA)	3	\$7,500	\$7,500	\$4,950	09/28/2012	
SOU 2011-213(SA)	3	\$7,500	\$7,500	\$4,800	09/28/2012	
SOU 2011-214(SA)	1	\$2,500	\$2,500	\$1,600	09/28/2012	
SOU 2011-215(HMT)	2	\$4,000	\$4,000	\$2,800	09/28/2012	
SOU 2011-216(SA)	4	\$20,000	\$20,000	\$13,500	09/28/2012	
SOU 2011-217(HMT)	1	\$7,500	\$7,500	\$5,000	09/28/2012	
SOU 2011-218(SA)	3	\$15,000	\$15,000	\$10,500	09/28/2012	
SOU 2011-219(LI)	1	\$2,500	\$2,500	\$1,850	09/28/2012	
SOU 2011-220(SA)	1	\$2,500	\$2,500	\$1,850	09/28/2012	
SOU 2011-221(SA)	3	\$10,000	\$10,000	\$6,900	09/28/2012	
SOU 2011-223(ROP)	1	\$9,500	\$5,000	\$5,000	09/28/2012	Partially Terminated Violation(s): 1.
SOU 2011-224(SI)	1	\$1,000	\$1,000	\$800	09/28/2012	
SOU 2011-225(SA)	2	\$10,000	\$10,000	\$6,200	09/28/2012	
SOU 2011-227(SA)	2	\$7,500	\$7,500	\$5,000	09/28/2012	
SOU 2011-228(SA)	1	\$5,000	\$5,000	\$3,400	09/28/2012	
SOU 2011-229(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2012	
SOU 2011-230(LI)	1	\$2,500	\$2,500	\$1,850	09/28/2012	
SOU 2011-231(LI)	3	\$7,500	\$7,500	\$4,800	09/28/2012	
SOU 2011-232(RW)	1	\$1,000	\$1,000	\$650	09/28/2012	

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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 2011-233(FCS)	1	\$2,500	\$2,500	\$1,700	09/28/2012	
SOU 2011-234(SA)	2	\$5,000	\$5,000	\$3,400	09/28/2012	
SOU 2011-235(SA)	1	\$5,000	\$5,000	\$3,450	09/28/2012	
SOU 2011-236(SA)	2	\$10,000	\$10,000	\$7,000	09/28/2012	
SOU 2011-237(SI)	1	\$5,000	\$5,000	\$3,200	09/28/2012	
SOU 2011-238(FCS)	1	\$2,500	\$2,500	\$1,800	09/28/2012	
SOU 2011-239(GC)	1	\$2,500	\$2,500	\$1,900	09/28/2012	
SOU 2011-240(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2012	
SOU 2011-241(ROP)	2	\$14,500	\$14,500	\$9,750	09/28/2012	
SOU 2011-242(SA)	4	\$12,500	\$12,500	\$9,000	09/28/2012	
SOU 2011-243(FCS)	5	\$12,500	\$12,500	\$8,500	09/28/2012	
SOU 2011-245(RSP)	2	\$3,500	\$3,500	\$2,450	09/28/2012	
SOU 2011-246(ROP)	1	\$2,000	\$2,000	\$1,400	09/28/2012	
SOU 2011-248(SA)	3	\$10,000	\$10,000	\$7,000	09/28/2012	
SOU 2011-249(FCS)	1	\$2,500	\$2,500	\$1,700	09/28/2012	
SOU 2011-250(ROP)	1	\$9,500	\$9,500	\$6,200	09/28/2012	
SOU 2011-251(SA)	3	\$15,000	\$15,000	\$10,000	09/28/2012	
SOU 2011-252(SA)	3	\$8,500	\$8,500	\$6,000	09/28/2012	
SOU 2011-253(SA)	4	\$10,000	\$10,000	\$7,000	09/28/2012	
SOU 2011-254(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2012	
SOU 2011-255(TS)	1	\$5,000	\$5,000	\$3,250	09/28/2012	
SOU 2011-256(FCS)	1	\$2,500	\$2,500	\$1,800	09/28/2012	
SOU 2011-257(SA)	3	\$7,500	\$7,500	\$5,000	09/28/2012	
SOU 2011-258(SA)	2	\$10,000	\$10,000	\$7,000	09/28/2012	
SOU 2011-259(FCS)	1	\$2,500	\$2,500	\$1,800	09/28/2012	
SOU 2011-260(TS)	1	\$2,500	\$2,500	\$1,875	09/28/2012	
SOU 2011-261(HSR)	12	\$12,000	\$12,000	\$8,000	09/28/2012	
SOU 2011-262(RSP)	1	\$1,000	\$1,000	\$700	09/28/2012	
SOU 2011-263(TS)	1	\$5,000	\$5,000	\$3,300	09/28/2012	
SOU 2011-264(ROP)	1	\$9,500	\$5,000	\$3,000	09/28/2012	Partially Terminated Violation(s): 1.
SOU 2011-265(ROR)	1	\$7,500	\$7,500	\$4,250	09/28/2012	
SOU 2011-266(FCS)	1	\$2,500	\$2,500	\$1,800	09/28/2012	
SOU 2011-267(HSR)	2	\$2,000	\$2,000	\$1,300	09/28/2012	
SOU 2011-268(SA)	1	\$5,000	\$5,000	\$3,400	09/28/2012	
SOU 2011-269(SA)	3	\$15,000	\$15,000	\$10,000	09/28/2012	
SOU 2011-270(RSP)	3	\$4,500	\$4,500	\$3,200	09/28/2012	
SOU 2011-271(TS)	2	\$7,500	\$7,500	\$4,950	09/28/2012	
SOU 2011-273(LI)	1	\$2,500	\$2,500	\$1,250	09/28/2012	
SOU 2011-274(HMT)	1	\$2,500	\$2,500	\$1,500	09/28/2012	
SOU 2011-275(LI)	1	\$2,500	\$2,500	\$1,800	09/28/2012	
SOU 2011-276(HMT)	5	\$37,500	\$37,500	\$25,000	09/28/2012	
SOU 2011-277(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2012	
SOU 2011-278(ROP)	1	\$9,500	\$9,500	\$6,450	09/28/2012	
SOU 2011-279(FCS)	1	\$2,500	\$2,500	\$1,800	09/28/2012	
SOU 2011-280(ROP)	2	\$15,000	\$15,000	\$10,800	09/28/2012	
SOU 2011-281(RSP)	1	\$9,500	\$0	\$0	09/28/2012	Case Terminated.
SOU 2011-282(AR)	1	\$2,500	\$2,500	\$1,800	09/28/2012	
SOU 2011-283(GC)	1	\$5,000	\$5,000	\$3,400	09/28/2012	
SOU 2011-284(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2012	

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SOU 2011-286(SA)	1	\$5,000	\$5,000	\$3,400	09/28/2012	
SOU 2011-287(HMT)	2	\$30,000	\$30,000	\$15,000	09/28/2012	
SOU 2011-288(LI)	2	\$5,000	\$5,000	\$3,300	09/28/2012	
SOU 2011-290(LI)	1	\$2,500	\$2,500	\$1,750	09/28/2012	
SOU 2011-291(RW)	1	\$1,000	\$1,000	\$750	09/28/2012	
SOU 2011-292(RW)	1	\$1,000	\$1,000	\$700	09/28/2012	
SOU 2011-293(RW)	1	\$2,000	\$2,000	\$1,250	09/28/2012	
SOU 2011-294(HMT)	1	\$2,000	\$2,000	\$1,250	09/28/2012	
SOU 2011-295(HMT)	1	\$2,500	\$2,500	\$1,500	09/28/2012	
SOU 2011-296(SA)	1	\$2,500	\$2,500	\$1,600	09/28/2012	
SOU 2011-297(REM)	1	\$5,000	\$5,000	\$1,000	09/28/2012	
SOU 2011-298(RSP)	1	\$2,500	\$2,500	\$1,800	09/28/2012	
SOU 2011-299(SA)	1	\$5,000	\$5,000	\$3,400	09/28/2012	
SOU 2011-300(LI)	1	\$2,500	\$2,500	\$1,600	09/28/2012	
SOU 2011-301(EQ)	1	\$1,000	\$1,000	\$650	09/28/2012	
SOU 2011-302(RW)	1	\$5,000	\$5,000	\$3,750	09/28/2012	
SOU 2011-303(SA)	1	\$2,500	\$0	\$0	09/28/2012	Case Terminated.
SOU 2011-304(SA)	3	\$10,000	\$10,000	\$6,800	09/28/2012	
SOU 2011-305(HMT)	1	\$5,000	\$5,000	\$3,250	09/28/2012	
SOU 2011-306(HMT)	1	\$7,500	\$7,500	\$5,000	09/28/2012	
SOU 2011-307(LI)	1	\$2,500	\$2,500	\$1,850	09/28/2012	
SOU 2011-308(ROP)	1	\$5,000	\$5,000	\$2,500	09/28/2012	
SOU 2011-309(FCS)	2	\$5,000	\$5,000	\$3,600	09/28/2012	
SOU 2011-310(GC)	1	\$5,000	\$5,000	\$3,400	09/28/2012	
SOU 2011-311(HMT)	4	\$15,000	\$13,000	\$9,400	09/28/2012	Partially Terminated Violation(s): 1.
SOU 2011-312(SA)	5	\$15,000	\$15,000	\$10,200	09/28/2012	
SOU 2011-313(SA)	4	\$15,000	\$15,000	\$10,000	09/28/2012	
SOU 2011-314(SA)	3	\$15,000	\$15,000	\$9,500	09/28/2012	
SOU 2011-315(SA)	2	\$10,000	\$10,000	\$6,800	09/28/2012	
SOU 2011-316(AR)	1	\$2,500	\$2,500	\$1,975	09/28/2012	
SOU 2011-317(LI)	1	\$2,500	\$2,500	\$1,750	09/28/2012	
SOU 2011-318(RSP)	1	\$5,000	\$5,000	\$3,400	09/28/2012	
SOU 2011-319(HS)	2	\$2,000	\$2,000	\$1,350	09/28/2012	
SOU 2011-320(TS)	1	\$2,500	\$2,500	\$1,750	09/28/2012	
SOU 2011-321(SA)	1	\$5,000	\$5,000	\$3,400	09/28/2012	
SOU 2011-322(HMT)	1	\$2,000	\$2,000	\$1,200	09/28/2012	
SOU 2012-1(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2012	
SOU 2012-2(FCS)	1	\$2,500	\$2,500	\$1,800	09/28/2012	
SOU 2012-3(ROP)	1	\$7,500	\$2,000	\$2,000	09/28/2012	Partially Terminated Violation(s): 1.
SOU 2012-4(ROP)	1	\$9,500	\$5,000	\$5,000	09/28/2012	Partially Terminated Violation(s): 1.
SOU 2012-5(SA)	1	\$5,000	\$5,000	\$3,450	09/28/2012	
SOU 2012-6(LI)	1	\$2,500	\$2,500	\$1,850	09/28/2012	
SOU 2012-7(SI)	2	\$3,500	\$3,500	\$2,500	09/28/2012	
SOU 2012-8(SA)	2	\$7,500	\$7,500	\$5,000	09/28/2012	
SOU 2012-9(TS)	1	\$2,500	\$2,500	\$1,725	09/28/2012	
SOU 2012-11(SA)	3	\$15,000	\$15,000	\$10,000	09/28/2012	
SOU 2012-12(SA)	3	\$12,500	\$12,500	\$8,600	09/28/2012	

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SOU 2012-13(SA)	2	\$5,000	\$5,000	\$3,200	09/28/2012	
SOU 2012-14(ROP)	1	\$9,500	\$5,000	\$4,750	09/28/2012	Partially Terminated Violation(s): 1
SOU 2012-15(HS)	5	\$5,000	\$5,000	\$3,400	09/28/2012	
SOU 2012-16(GC)	2	\$10,000	\$10,000	\$6,800	09/28/2012	
SOU 2012-17(RW)	1	\$1,000	\$1,000	\$775	09/28/2012	
SOU 2012-18(HMT)	1	\$4,000	\$4,000	\$3,200	09/28/2012	
SOU 2012-19(EP)	1	\$1,000	\$1,000	\$750	09/28/2012	
SOU 2012-20(AD)	2	\$10,000	\$0	\$0	09/28/2012	Case Terminated.
SOU 2012-21(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2012	
SOU 2012-22(AD)	2	\$10,000	\$10,000	\$7,250	09/28/2012	
SOU 2012-23(LI)	2	\$12,500	\$12,500	\$8,200	09/28/2012	
SOU 2012-24(HMT)	2	\$5,000	\$5,000	\$3,400	09/28/2012	
SOU 2012-25(SA)	2	\$7,500	\$7,500	\$5,000	09/28/2012	
SOU 2012-26(HMT)	1	\$2,500	\$0	\$0	09/28/2012	Case Terminated.
SOU 2012-27(HS)	3	\$3,000	\$3,000	\$2,000	09/28/2012	
SOU 2012-29(HS)	1	\$1,000	\$1,000	\$750	09/28/2012	
SOU 2012-31(LI)	1	\$1,000	\$1,000	\$750	09/28/2012	
SOU 2012-32(LI)	2	\$5,000	\$5,000	\$3,400	09/28/2012	
SOU 2012-33(ROP)	1	\$5,000	\$5,000	\$3,200	09/28/2012	
SOU 2012-34(ROP)	1	\$9,500	\$5,000	\$5,000	09/28/2012	Partially Terminated Violation(s): 1.
SOU 2012-35(SA)	2	\$10,000	\$10,000	\$6,700	09/28/2012	
SOU 2012-36(TS)	1	\$2,500	\$2,500	\$1,750	09/28/2012	
SOU 2012-37(TS)	1	\$2,500	\$2,500	\$1,725	09/28/2012	
SOU 2012-38(GC)	2	\$10,000	\$10,000	\$6,800	09/28/2012	
SOU 2012-39(HMT)	1	\$2,000	\$2,000	\$1,250	09/28/2012	
SOU 2012-40(SA)	2	\$10,000	\$10,000	\$7,000	09/28/2012	
SOU 2012-41(LI)	1	\$2,500	\$2,500	\$1,650	09/28/2012	
SOU 2012-42(GC)	1	\$5,000	\$5,000	\$3,500	09/28/2012	
SOU 2012-43(FCS)	1	\$5,000	\$5,000	\$3,400	09/28/2012	
SOU 2012-44(HMT)	9	\$40,500	\$35,000	\$20,675	09/28/2012	Partially Terminated Violation(s): 1.
SOU 2012-45(GC)	1	\$5,000	\$5,000	\$3,500	09/28/2012	
SOU 2012-46(LI)	1	\$2,500	\$2,500	\$1,850	09/28/2012	
SOU 2012-47(LI)	1	\$1,500	\$1,500	\$950	09/28/2012	
SOU 2012-48(LI)	2	\$5,000	\$5,000	\$3,200	09/28/2012	
SOU 2012-49(LI)	1	\$2,500	\$2,500	\$1,250	09/28/2012	
SOU 2012-51(FCS)	1	\$2,500	\$2,500	\$1,900	09/28/2012	
SOU 2012-53(ROP)	2	\$15,000	\$15,000	\$9,750	09/28/2012	
SOU 2012-54(RSP)	1	\$5,000	\$5,000	\$3,200	09/28/2012	
SOU 2012-57(ROR)	1	\$9,500	\$9,500	\$6,100	09/28/2012	
SOU 2012-60(FCS)	1	\$2,500	\$2,500	\$1,800	09/28/2012	
SOU 2012-61(SA)	3	\$12,500	\$12,500	\$8,300	09/28/2012	
SPSR 2007-1(HMT)	3	\$12,500	\$0	\$0	12/21/2011	Case Terminated.
SRC 2011-1(AR)	2	\$5,000	\$2,500	\$1,875	12/15/2011	Terminated Violation(s)#: 2.
SRNJ 2009-1(HMT)	4	\$9,000	\$9,000	\$6,700	07/19/2012	
SS 2006-1(SA)	1	\$7,500	\$0	\$0	11/10/2011	Case Terminated.
ST 2010-1(SA)	2	\$7,500	\$7,500	\$5,500	09/26/2012	

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ST 2010-2(SA)	1	\$5,000	\$5,000	\$3,650	09/26/2012	
ST 2010-3(SA)	2	\$5,000	\$5,000	\$3,575	09/26/2012	
ST 2010-4(SA)	1	\$5,000	\$5,000	\$3,700	09/26/2012	
ST 2011-1(SA)	1	\$5,000	\$5,000	\$3,550	09/26/2012	
ST 2011-2(SA)	3	\$12,500	\$12,500	\$9,300	09/26/2012	
ST 2011-3(SA)	3	\$15,000	\$15,000	\$11,100	09/26/2012	
ST 2011-4(SA)	4	\$20,000	\$20,000	\$14,500	09/26/2012	
ST 2011-5(RW)	1	\$3,000	\$3,000	\$2,100	09/26/2012	
ST 2011-6(ROP)	2	\$7,000	\$7,000	\$5,200	09/26/2012	
ST 2011-7(SA)	1	\$2,500	\$2,500	\$1,825	09/26/2012	
ST 2011-8(AD)	3	\$7,500	\$7,500	\$5,800	09/26/2012	
ST 2011-9(LI)	1	\$2,500	\$2,500	\$1,800	09/26/2012	
ST 2011-10(LI)	2	\$5,000	\$5,000	\$3,700	09/26/2012	
ST 2011-11(LI)	1	\$2,500	\$2,500	\$1,800	09/26/2012	
ST 2011-12(SA)	1	\$2,500	\$2,500	\$1,850	09/26/2012	
ST 2011-13(ROP)	1	\$9,500	\$9,500	\$6,900	09/26/2012	
ST 2012-1(ROP)	1	\$9,500	\$9,500	\$6,900	09/26/2012	
TASD 2011-1(TS)	1	\$2,500	\$2,500	\$1,750	03/06/2012	
TASD 2011-2(SA)	2	\$10,000	\$10,000	\$6,400	03/06/2012	
TASD 2011-3(HMT)	2	\$5,000	\$5,000	\$3,500	03/06/2012	
TASD 2011-4(TS)	1	\$5,000	\$5,000	\$3,250	03/06/2012	
TASD 2011-5(TS)	2	\$2,000	\$2,000	\$1,300	03/06/2012	
TCT 2011-2(ROP)	1	\$7,500	\$7,500	\$5,250	01/20/2012	
TCWR 2011-1(AR)	1	\$2,500	\$2,500	\$1,700	10/31/2011	
TCWR 2011-2(RW)	1	\$1,000	\$1,000	\$700	04/12/2012	
TIBR 2011-1(ROP)	1	\$7,500	\$7,500	\$5,400	09/28/2012	
TIBR 2011-2(SA)	1	\$5,000	\$5,000	\$3,200	09/28/2012	
TIBR 2011-3(TS)	1	\$5,000	\$5,000	\$2,750	09/28/2012	
TMBL 2011-2(LI)	1	\$1,000	\$1,000	\$700	04/27/2012	
TNMR 2009-1(TS)	1	\$2,500	\$2,500	\$1,625	07/05/2012	
TNMR 2009-2(TS)	10	\$15,500	\$15,500	\$10,075	07/05/2012	
TNMR 2009-4(TS)	2	\$10,000	\$10,000	\$6,500	07/05/2012	
TNMR 2009-6(TS)	2	\$10,000	\$10,000	\$6,500	07/05/2012	
TNMR 2009-7(TS)	3	\$6,000	\$6,000	\$3,900	07/05/2012	
TNMR 2009-8(TS)	6	\$15,000	\$15,000	\$9,750	07/05/2012	
TNMR 2010-1(TS)	7	\$35,000	\$35,000	\$17,500	07/05/2012	
TNMR 2010-2(AR)	1	\$2,500	\$2,500	\$1,625	07/05/2012	
TNMR 2011-1(GC)	1	\$5,000	\$5,000	\$3,250	07/05/2012	
TNMR 2011-2(EQ)	2	\$5,000	\$5,000	\$3,250	07/05/2012	
TNMR 2011-3(EQ)	1	\$2,500	\$2,500	\$1,625	07/05/2012	
TNMR 2012-1(ROP)	1	\$7,500	\$7,500	\$4,875	07/05/2012	
TPW 2012-1(HS)	2	\$2,000	\$2,000	\$1,420	09/25/2012	
TRC 2011-1(ROP)	2	\$10,000	\$10,000	\$10,000	12/14/2011	
TRMW 2012-1(ROP)	1	\$9,500	\$9,500	\$4,750	05/24/2012	
TRRA 2010-2(EQ)	1	\$2,500	\$2,500	\$1,750	03/21/2012	
TRRA 2010-3(AD)	1	\$5,000	\$5,000	\$3,500	03/21/2012	
TRRA 2010-4(HS)	2	\$2,000	\$2,000	\$1,300	03/21/2012	
TRRA 2010-5(ROR)	2	\$19,000	\$19,000	\$12,000	03/21/2012	
TRRA 2011-2(AR)	1	\$2,500	\$2,500	\$2,125	04/27/2012	

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TRRA 2011-5(HMT)	2	\$10,000	\$10,000	\$7,250	03/21/2012	
TRRA 2011-6(SA)	1	\$2,500	\$2,500	\$2,500	12/20/2011	
TRRA 2011-7(EQ)	3	\$3,000	\$3,000	\$2,000	04/27/2012	
TRRA 2012-1(SI)	6	\$6,000	\$6,000	\$4,000	04/27/2012	
TTR 2011-1(SA)	2	\$10,000	\$10,000	\$6,500	10/28/2011	
TTR 2011-2(SA)	1	\$5,000	\$5,000	\$5,000	03/12/2012	
TXGN 2011-1(SA)	1	\$2,500	\$2,500	\$2,500	02/10/2012	
TXNW 2011-1(TS)	3	\$7,500	\$7,500	\$4,875	06/20/2012	
UFRC 2010-1(AR)	1	\$2,500	\$2,500	\$1,500	05/01/2012	
UP 2008-63(SA)	5	\$12,500	\$12,500	\$8,500	09/26/2012	
UP 2008-133(TS)	16	\$48,000	\$48,000	\$32,900	09/26/2012	
UP 2009-70(RSP)	1	\$5,000	\$5,000	\$3,400	09/26/2012	
UP 2009-130(LI)	8	\$17,500	\$15,000	\$11,000	09/26/2012	Terminated Violation(s): 1.
UP 2009-414(SA)	1	\$5,000	\$5,000	\$3,800	09/26/2012	
UP 2010-26(TS)	2	\$5,000	\$5,000	\$3,550	09/26/2012	
UP 2010-272(ROP)	5	\$32,500	\$24,000	\$19,000	09/26/2012	Partially Terminated Violation(s): 2, 3.
UP 2010-301(SI)	11	\$30,000	\$30,000	\$20,000	09/26/2012	
UP 2010-342(ROP)	5	\$41,500	\$32,500	\$26,000	09/26/2012	Partially Terminated Violation(s): 1, 4.
UP 2010-373(ROP)	1	\$7,500	\$7,500	\$5,250	09/26/2012	
UP 2010-388(TS)	20	\$97,500	\$97,500	\$60,000	09/26/2012	
UP 2010-422(HSR)	1	\$1,000	\$0	\$0	09/26/2012	Case Terminated.
UP 2010-474(HMT)	3	\$10,500	\$10,500	\$7,000	09/26/2012	
UP 2010-481(HMT)	2	\$4,500	\$4,500	\$3,000	09/26/2012	
UP 2010-483(TH)	1	\$5,000	\$5,000	\$3,400	09/26/2012	
UP 2010-489(FCS)	4	\$17,500	\$17,500	\$11,500	09/26/2012	
UP 2010-495(FCS)	5	\$20,000	\$20,000	\$14,000	09/26/2012	
UP 2010-497(LI)	4	\$10,000	\$10,000	\$6,800	09/26/2012	
UP 2010-501(SA)	2	\$10,000	\$10,000	\$6,850	09/26/2012	
UP 2010-504(ROP)	3	\$28,500	\$19,500	\$17,000	09/26/2012	Partially Terminated Violation(s): 1, 3.
UP 2010-509(TS)	1	\$5,000	\$5,000	\$3,750	09/26/2012	
UP 2010-511(ROP)	1	\$7,500	\$7,500	\$5,250	09/26/2012	
UP 2010-518(SA)	2	\$10,000	\$10,000	\$6,850	09/26/2012	
UP 2010-519(LI)	10	\$19,500	\$19,500	\$13,000	09/26/2012	
UP 2010-522(SA)	2	\$5,000	\$5,000	\$3,900	09/26/2012	
UP 2011-1(ROP)	1	\$9,500	\$5,000	\$5,000	09/26/2012	Partially Terminated Violation(s): 1.
UP 2011-16(GC)	1	\$5,000	\$5,000	\$3,650	09/26/2012	
UP 2011-22(ROP)	4	\$31,500	\$22,000	\$16,000	09/26/2012	Terminated Violation(s): 4.
UP 2011-26(LI)	2	\$5,000	\$5,000	\$3,300	09/26/2012	
UP 2011-32(ROP)	1	\$7,500	\$7,500	\$5,200	09/26/2012	
UP 2011-37(TS)	4	\$17,500	\$17,500	\$11,500	09/26/2012	
UP 2011-43(GC)	1	\$5,000	\$5,000	\$3,650	09/26/2012	
UP 2011-49(ROP)	2	\$10,000	\$10,000	\$6,500	09/26/2012	
UP 2011-54(SA)	3	\$10,000	\$10,000	\$6,850	09/26/2012	
UP 2011-60(ROP)	1	\$7,500	\$2,000	\$2,000	09/26/2012	Partially Terminated Violation(s): 1.
UP 2011-65(SA)	3	\$7,500	\$7,500	\$5,000	09/26/2012	
UP 2011-67(HMT)	2	\$7,000	\$7,000	\$5,000	09/26/2012	

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UP 2011-71(SA)	2	\$10,000	\$10,000	\$6,850	09/26/2012	
UP 2011-76(HS)	4	\$4,000	\$4,000	\$2,600	09/26/2012	
UP 2011-78(LI)	2	\$3,500	\$3,500	\$2,475	09/26/2012	
UP 2011-79(SI)	4	\$8,500	\$8,500	\$5,300	09/26/2012	
UP 2011-80(HSR)	6	\$6,000	\$6,000	\$3,950	09/26/2012	
UP 2011-81(TS)	1	\$5,000	\$5,000	\$3,500	09/26/2012	
UP 2011-83(ROP)	1	\$5,000	\$5,000	\$3,500	09/26/2012	
UP 2011-85(TS)	5	\$25,000	\$25,000	\$17,000	09/26/2012	
UP 2011-86(AR)	1	\$2,500	\$2,500	\$1,775	09/26/2012	
UP 2011-87(HSR)	2	\$2,000	\$2,000	\$1,350	09/26/2012	
UP 2011-88(HSR)	1	\$1,000	\$1,000	\$725	09/26/2012	
UP 2011-89(AR)	1	\$2,500	\$2,500	\$1,775	09/26/2012	
UP 2011-90(TS)	2	\$7,500	\$7,500	\$5,000	09/26/2012	
UP 2011-91(SA)	1	\$5,000	\$5,000	\$3,400	09/26/2012	
UP 2011-92(LI)	1	\$2,500	\$2,500	\$1,700	09/26/2012	
UP 2011-93(EQ)	1	\$1,000	\$1,000	\$730	09/26/2012	
UP 2011-94(SA)	1	\$2,500	\$2,500	\$1,700	09/26/2012	
UP 2011-95(RSP)	1	\$1,000	\$1,000	\$770	09/26/2012	
UP 2011-96(SA)	2	\$10,000	\$10,000	\$7,650	09/26/2012	
UP 2011-97(SA)	2	\$10,000	\$10,000	\$6,850	09/26/2012	
UP 2011-98(SA)	3	\$15,000	\$15,000	\$10,000	09/26/2012	
UP 2011-99(SA)	2	\$10,000	\$10,000	\$6,850	09/26/2012	
UP 2011-100(ROP)	5	\$39,500	\$24,000	\$18,000	09/26/2012	Partially Terminated Violation(s): 2, 3, 4.
UP 2011-101(ROP)	5	\$39,500	\$24,000	\$19,000	09/26/2012	Partially Terminated Violation(s): 1, 2, 5.
UP 2011-102(ROP)	8	\$68,000	\$43,500	\$33,700	09/26/2012	Partially Terminated Violation(s): 1, 2, 3, 4, 5.
UP 2011-103(ROP)	2	\$17,000	\$7,000	\$7,000	09/26/2012	Partially Terminated Violation(s): 1, 2.
UP 2011-104(SI)	7	\$7,000	\$7,000	\$5,000	09/26/2012	
UP 2011-106(ROP)	2	\$12,500	\$7,000	\$5,100	09/26/2012	Partially Terminated Violation(s): 2.
UP 2011-107(GC)	1	\$5,000	\$5,000	\$3,650	09/26/2012	
UP 2011-108(LI)	6	\$15,000	\$15,000	\$10,000	09/26/2012	
UP 2011-109(FCS)	5	\$15,000	\$15,000	\$10,000	09/26/2012	
UP 2011-110(LI)	3	\$6,500	\$6,500	\$4,300	09/26/2012	
UP 2011-111(SI)	1	\$1,000	\$1,000	\$750	09/26/2012	
UP 2011-112(LI)	4	\$10,000	\$10,000	\$6,800	09/26/2012	
UP 2011-113(TS)	3	\$7,500	\$7,500	\$5,000	09/26/2012	
UP 2011-114(TS)	2	\$7,500	\$7,500	\$5,000	09/26/2012	
UP 2011-115(SA)	4	\$15,000	\$15,000	\$10,000	09/26/2012	
UP 2011-116(SA)	3	\$7,500	\$7,500	\$5,000	09/26/2012	
UP 2011-117(SA)	3	\$7,500	\$7,500	\$5,000	09/26/2012	
UP 2011-118(SA)	3	\$12,500	\$12,500	\$8,500	09/26/2012	
UP 2011-119(SA)	3	\$10,000	\$10,000	\$6,850	09/26/2012	
UP 2011-120(SA)	3	\$10,000	\$10,000	\$6,850	09/26/2012	
UP 2011-121(SA)	3	\$7,500	\$7,500	\$5,000	09/26/2012	
UP 2011-122(SA)	3	\$10,000	\$10,000	\$6,850	09/26/2012	
UP 2011-123(SA)	4	\$15,000	\$15,000	\$10,000	09/26/2012	
UP 2011-124(SA)	3	\$12,500	\$12,500	\$8,500	09/26/2012	

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UP 2011-125(SA)	3	\$7,500	\$7,500	\$5,000	09/26/2012	
UP 2011-126(SA)	3	\$7,500	\$7,500	\$5,000	09/26/2012	
UP 2011-127(SA)	1	\$2,500	\$2,500	\$1,900	09/26/2012	
UP 2011-128(RSP)	1	\$1,000	\$1,000	\$770	09/26/2012	
UP 2011-129(HMT)	3	\$22,500	\$22,500	\$16,500	09/26/2012	
UP 2011-130(SA)	1	\$2,500	\$2,500	\$1,950	09/26/2012	
UP 2011-132(ROP)	3	\$15,000	\$6,000	\$6,000	09/26/2012	Partially Terminated Violation(s): 1, 2, 3.
UP 2011-133(GC)	2	\$10,000	\$10,000	\$7,250	09/26/2012	
UP 2011-134(SI)	3	\$4,500	\$4,500	\$3,000	09/26/2012	
UP 2011-135(SA)	2	\$7,500	\$7,500	\$5,000	09/26/2012	
UP 2011-136(ROP)	5	\$39,500	\$35,000	\$24,000	09/26/2012	Partially Terminated Violation(s): 3.
UP 2011-137(HSR)	6	\$6,000	\$6,000	\$3,900	09/26/2012	
UP 2011-138(HMT)	1	\$6,000	\$6,000	\$4,000	09/26/2012	
UP 2011-139(HMT)	1	\$2,000	\$2,000	\$1,250	09/26/2012	
UP 2011-140(SA)	3	\$12,500	\$12,500	\$8,500	09/26/2012	
UP 2011-141(SA)	3	\$12,500	\$12,500	\$8,500	09/26/2012	
UP 2011-142(SA)	2	\$7,500	\$7,500	\$5,850	09/26/2012	
UP 2011-143(FCS)	3	\$7,500	\$7,500	\$5,650	09/26/2012	
UP 2011-144(FCS)	5	\$12,500	\$12,500	\$9,000	09/26/2012	
UP 2011-145(SA)	1	\$2,500	\$2,500	\$1,950	09/26/2012	
UP 2011-146(FCS)	1	\$5,000	\$5,000	\$3,450	09/26/2012	
UP 2011-147(HMT)	1	\$2,500	\$2,500	\$1,750	09/26/2012	
UP 2011-148(TS)	1	\$2,500	\$2,500	\$2,000	09/26/2012	
UP 2011-149(LI)	1	\$2,500	\$2,500	\$1,700	09/26/2012	
UP 2011-150(SI)	2	\$5,000	\$5,000	\$3,300	09/26/2012	
UP 2011-151(FCS)	2	\$7,500	\$7,500	\$5,850	09/26/2012	
UP 2011-152(SA)	1	\$2,500	\$2,500	\$1,700	09/26/2012	
UP 2011-153(SA)	3	\$10,000	\$10,000	\$6,300	09/26/2012	
UP 2011-154(ROP)	1	\$7,500	\$7,500	\$5,250	09/26/2012	
UP 2011-155(SI)	1	\$2,500	\$2,500	\$1,750	09/26/2012	
UP 2011-156(GC)	1	\$2,500	\$2,500	\$1,750	09/26/2012	
UP 2011-157(SA)	1	\$2,500	\$2,500	\$1,700	09/26/2012	
UP 2011-158(SA)	2	\$5,000	\$5,000	\$3,350	09/26/2012	
UP 2011-159(TS)	1	\$5,000	\$5,000	\$3,550	09/26/2012	
UP 2011-160(SA)	2	\$5,000	\$5,000	\$3,400	09/26/2012	
UP 2011-161(HS)	3	\$3,000	\$3,000	\$1,950	09/26/2012	
UP 2011-162(HSR)	4	\$4,000	\$4,000	\$2,700	09/26/2012	
UP 2011-163(SA)	3	\$15,000	\$15,000	\$10,950	09/26/2012	
UP 2011-164(SA)	3	\$15,000	\$15,000	\$10,950	09/26/2012	
UP 2011-165(SA)	2	\$10,000	\$10,000	\$6,850	09/26/2012	
UP 2011-166(SA)	2	\$10,000	\$10,000	\$6,850	09/26/2012	
UP 2011-167(GC)	1	\$5,000	\$5,000	\$3,650	09/26/2012	
UP 2011-168(FCS)	1	\$2,500	\$0	\$0	09/26/2012	Case Terminated.
UP 2011-169(SA)	3	\$12,500	\$12,500	\$8,500	09/26/2012	
UP 2011-170(SA)	2	\$7,500	\$7,500	\$5,000	09/26/2012	
UP 2011-171(ROP)	1	\$7,500	\$7,500	\$5,100	09/26/2012	
UP 2011-172(SI)	1	\$1,000	\$1,000	\$750	09/26/2012	
UP 2011-173(TS)	3	\$6,000	\$6,000	\$4,800	09/26/2012	

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UP 2011-174(SA)	1	\$5,000	\$5,000	\$3,450	09/26/2012	
UP 2011-176(AR)	1	\$2,500	\$2,500	\$1,700	09/26/2012	
UP 2011-177(AR)	1	\$2,500	\$2,500	\$1,700	09/26/2012	
UP 2011-178(SA)	3	\$7,500	\$7,500	\$5,000	09/26/2012	
UP 2011-179(HS)	2	\$2,000	\$2,000	\$1,300	09/26/2012	
UP 2011-180(AR)	1	\$2,500	\$2,500	\$1,700	09/26/2012	
UP 2011-182(AR)	1	\$1,000	\$1,000	\$710	09/26/2012	
UP 2011-183(AR)	1	\$2,500	\$0	\$0	09/26/2012	Case Terminated.
UP 2011-184(AR)	1	\$2,500	\$2,500	\$1,775	09/26/2012	
UP 2011-185(AR)	1	\$2,500	\$2,500	\$1,700	09/26/2012	
UP 2011-186(AR)	1	\$2,500	\$2,500	\$1,775	09/26/2012	
UP 2011-187(AR)	1	\$2,500	\$2,500	\$1,775	09/26/2012	
UP 2011-188(AR)	1	\$2,500	\$2,500	\$1,775	09/26/2012	
UP 2011-189(GC)	1	\$5,000	\$5,000	\$3,650	09/26/2012	
UP 2011-190(AR)	1	\$2,500	\$2,500	\$1,775	09/26/2012	
UP 2011-191(FCS)	1	\$5,000	\$5,000	\$3,400	09/26/2012	
UP 2011-192(LI)	1	\$2,500	\$2,500	\$1,700	09/26/2012	
UP 2011-193(LI)	1	\$2,500	\$2,500	\$1,700	09/26/2012	
UP 2011-194(RW)	1	\$1,000	\$1,000	\$750	09/26/2012	
UP 2011-195(LI)	6	\$13,500	\$13,500	\$9,000	09/26/2012	
UP 2011-196(TS)	3	\$10,000	\$10,000	\$6,000	09/26/2012	
UP 2011-197(TS)	4	\$11,000	\$11,000	\$7,400	09/26/2012	
UP 2011-198(HMT)	5	\$30,000	\$30,000	\$20,000	09/26/2012	
UP 2011-199(SA)	4	\$20,000	\$20,000	\$14,000	09/26/2012	
UP 2011-200(SA)	5	\$22,500	\$22,500	\$15,300	09/26/2012	
UP 2011-202(ROP)	5	\$41,500	\$20,500	\$18,000	09/26/2012	All transmitted as 5K instead of 7.5K because they were hooked, just not completely locked, EXCEPT Oniskos, because he complains of repeated failures, defects taken, and no improvement.
UP 2011-204(ROP)	5	\$41,500	\$27,000	\$23,000	09/26/2012	Partially Terminated Violation(s): 2, 3, 4, 5.
UP 2011-205(TS)	3	\$7,500	\$7,500	\$4,500	09/26/2012	Partially Terminated Violation(s): 1, 3, 4.
UP 2011-206(ROP)	1	\$9,500	\$5,000	\$5,000	09/26/2012	Partially Terminated Violation(s): 1.
UP 2011-207(SA)	5	\$20,000	\$20,000	\$13,600	09/26/2012	
UP 2011-208(SA)	3	\$15,000	\$15,000	\$10,000	09/26/2012	
UP 2011-209(TS)	2	\$2,000	\$2,000	\$1,600	09/26/2012	
UP 2011-210(FCS)	1	\$2,500	\$2,500	\$1,700	09/26/2012	
UP 2011-211(SA)	2	\$5,000	\$5,000	\$3,400	09/26/2012	
UP 2011-212(FCS)	1	\$5,000	\$5,000	\$3,400	09/26/2012	
UP 2011-213(EP)	4	\$4,000	\$4,000	\$2,600	09/26/2012	
UP 2011-214(LI)	2	\$3,500	\$3,500	\$2,500	09/26/2012	
UP 2011-215(LI)	1	\$2,500	\$2,500	\$1,700	09/26/2012	
UP 2011-217(HSR)	1	\$1,000	\$1,000	\$725	09/26/2012	
UP 2011-218(TH)	1	\$5,000	\$5,000	\$3,400	09/26/2012	
UP 2011-219(TH)	1	\$5,000	\$5,000	\$3,400	09/26/2012	

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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 2011-220(SI)	7	\$17,500	\$17,500	\$11,500	09/26/2012	
UP 2011-221(FCS)	5	\$17,500	\$17,500	\$13,000	09/26/2012	
UP 2011-222(FCS)	5	\$22,500	\$22,500	\$14,500	09/26/2012	
UP 2011-223(FCS)	5	\$25,000	\$25,000	\$16,500	09/26/2012	
UP 2011-224(FCS)	3	\$12,500	\$12,500	\$9,500	09/26/2012	
UP 2011-225(SA)	4	\$10,000	\$10,000	\$6,850	09/26/2012	
UP 2011-226(SA)	3	\$10,000	\$10,000	\$6,850	09/26/2012	
UP 2011-227(SA)	4	\$12,500	\$12,500	\$8,500	09/26/2012	
UP 2011-228(SA)	4	\$12,500	\$12,500	\$8,500	09/26/2012	
UP 2011-229(ROP)	1	\$9,500	\$9,500	\$6,700	09/26/2012	
UP 2011-230(GC)	1	\$2,500	\$2,500	\$1,700	09/26/2012	
UP 2011-232(SA)	1	\$2,500	\$2,500	\$1,875	09/26/2012	
UP 2011-233(HMT)	1	\$7,500	\$7,500	\$5,000	09/26/2012	
UP 2011-234(SA)	5	\$15,000	\$15,000	\$10,000	09/26/2012	
UP 2011-235(SA)	5	\$12,500	\$12,500	\$8,500	09/26/2012	
UP 2011-236(SA)	5	\$12,500	\$12,500	\$8,500	09/26/2012	
UP 2011-237(SA)	3	\$12,500	\$12,500	\$8,500	09/26/2012	
UP 2011-238(ROP)	4	\$34,000	\$25,000	\$20,000	09/26/2012	Partially Terminated Violation(s): 1, 2.
UP 2011-239(GC)	1	\$5,000	\$5,000	\$3,650	09/26/2012	
UP 2011-240(ROP)	1	\$9,500	\$9,500	\$6,700	09/26/2012	
UP 2011-241(FCS)	3	\$7,500	\$0	\$0	09/26/2012	Case Terminated.
UP 2011-242(RSP)	1	\$2,500	\$2,500	\$1,700	09/26/2012	
UP 2011-243(SA)	3	\$12,500	\$12,500	\$8,500	09/26/2012	
UP 2011-244(FCS)	1	\$2,500	\$2,500	\$1,700	09/26/2012	
UP 2011-245(TS)	3	\$6,500	\$6,500	\$4,600	09/26/2012	
UP 2011-246(TS)	2	\$6,000	\$6,000	\$4,800	09/26/2012	
UP 2011-247(ROP)	1	\$7,500	\$7,500	\$5,250	09/26/2012	
UP 2011-248(LI)	4	\$10,000	\$10,000	\$6,800	09/26/2012	
UP 2011-249(LI)	3	\$6,000	\$6,000	\$4,000	09/26/2012	
UP 2011-250(AR)	1	\$2,500	\$2,500	\$1,700	09/26/2012	
UP 2011-251(AR)	1	\$2,500	\$2,500	\$1,775	09/26/2012	
UP 2011-252(AR)	1	\$2,500	\$2,500	\$1,700	09/26/2012	
UP 2011-253(AR)	1	\$2,500	\$2,500	\$1,700	09/26/2012	
UP 2011-254(SA)	3	\$15,000	\$15,000	\$10,000	09/26/2012	
UP 2011-255(FCS)	3	\$12,500	\$12,500	\$9,300	09/26/2012	
UP 2011-256(ROP)	1	\$7,500	\$2,000	\$2,000	09/26/2012	Partially Terminated Violation(s): 1.
UP 2011-257(TS)	6	\$17,500	\$17,500	\$12,400	09/26/2012	
UP 2011-258(FCS)	2	\$7,500	\$7,500	\$5,750	09/26/2012	
UP 2011-259(TS)	3	\$11,000	\$11,000	\$7,500	09/26/2012	
UP 2011-260(REM)	1	\$5,000	\$5,000	\$3,600	09/26/2012	
UP 2011-261(SA)	1	\$5,000	\$5,000	\$3,400	09/26/2012	
UP 2011-262(SA)	15	\$67,500	\$67,500	\$45,900	09/26/2012	
UP 2011-263(SA)	1	\$2,500	\$2,500	\$1,800	09/26/2012	
UP 2011-264(FCS)	1	\$2,500	\$2,500	\$1,750	09/26/2012	
UP 2011-265(SI)	1	\$1,000	\$1,000	\$750	09/26/2012	
UP 2011-266(GC)	1	\$5,000	\$5,000	\$3,650	09/26/2012	
UP 2011-267(HMT)	2	\$13,500	\$13,500	\$9,000	09/26/2012	
UP 2011-268(TS)	1	\$5,000	\$5,000	\$4,000	09/26/2012	

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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 2011-269(HMT)	2	\$4,000	\$4,000	\$2,550	09/26/2012	
UP 2011-270(SA)	3	\$12,500	\$12,500	\$8,200	09/26/2012	
UP 2011-271(SA)	2	\$7,500	\$7,500	\$5,000	09/26/2012	
UP 2011-272(SA)	5	\$22,500	\$22,500	\$17,950	09/26/2012	
UP 2011-273(SA)	4	\$12,500	\$12,500	\$8,500	09/26/2012	
UP 2011-274(FCS)	2	\$5,000	\$5,000	\$3,450	09/26/2012	
UP 2011-275(SA)	4	\$10,000	\$10,000	\$6,850	09/26/2012	
UP 2011-276(SA)	4	\$10,000	\$10,000	\$6,850	09/26/2012	
UP 2011-277(HMT)	1	\$7,500	\$7,500	\$5,000	09/26/2012	
UP 2011-278(TS)	5	\$25,000	\$25,000	\$17,000	09/26/2012	
UP 2011-279(SI)	1	\$1,000	\$1,000	\$750	09/26/2012	
UP 2011-280(ROP)	5	\$32,000	\$26,500	\$18,000	09/26/2012	Partially Terminated Violation(s): 5.
UP 2011-281(ROP)	5	\$39,500	\$28,500	\$23,000	09/26/2012	Partially Terminated Violation(s): 2, 5.
UP 2011-283(ROP)	5	\$37,500	\$24,500	\$17,600	09/26/2012	Partially Terminated Violation(s): 3.
UP 2011-284(ROP)	2	\$17,000	\$12,500	\$9,500	09/26/2012	Terminated Violation(s): 4. Partially Terminated Violation(s): 2.
UP 2011-285(AR)	5	\$12,500	\$12,500	\$8,200	09/26/2012	
UP 2011-286(AR)	3	\$7,500	\$7,500	\$4,800	09/26/2012	
UP 2011-287(HS)	1	\$1,000	\$1,000	\$725	09/26/2012	
UP 2011-288(ROP)	1	\$9,500	\$5,000	\$5,000	09/26/2012	Partially Terminated Violation(s): 1.
UP 2011-289(SA)	7	\$17,500	\$17,500	\$11,900	09/26/2012	
UP 2011-291(LI)	2	\$5,000	\$5,000	\$3,400	09/26/2012	
UP 2011-292(RSP)	1	\$5,000	\$5,000	\$3,400	09/26/2012	
UP 2011-293(RW)	1	\$3,000	\$3,000	\$2,200	09/26/2012	
UP 2011-294(LI)	2	\$4,000	\$4,000	\$2,850	09/26/2012	
UP 2011-295(SA)	1	\$2,500	\$2,500	\$1,900	09/26/2012	
UP 2011-296(HMT)	5	\$21,000	\$21,000	\$15,000	09/26/2012	
UP 2011-297(SA)	2	\$7,500	\$7,500	\$5,000	09/26/2012	
UP 2011-298(ROP)	1	\$7,500	\$7,500	\$4,700	09/26/2012	
UP 2011-299(FCS)	2	\$4,500	\$4,500	\$3,500	09/26/2012	
UP 2011-300(SA)	3	\$15,000	\$15,000	\$10,000	09/26/2012	
UP 2011-301(SA)	3	\$15,000	\$15,000	\$10,000	09/26/2012	
UP 2011-302(SA)	3	\$12,500	\$12,500	\$8,500	09/26/2012	
UP 2011-303(SA)	3	\$15,000	\$15,000	\$10,000	09/26/2012	
UP 2011-304(TS)	1	\$1,000	\$0	\$0	09/26/2012	Case Terminated.
UP 2011-305(LI)	1	\$2,500	\$2,500	\$1,700	09/26/2012	
UP 2011-306(LI)	19	\$19,000	\$19,000	\$12,500	09/26/2012	
UP 2011-307(RW)	1	\$3,000	\$3,000	\$2,200	09/26/2012	
UP 2011-308(TS)	13	\$47,500	\$47,500	\$33,500	09/26/2012	
UP 2011-309(TS)	10	\$23,000	\$23,000	\$15,750	09/26/2012	
UP 2011-310(TS)	6	\$16,000	\$16,000	\$10,600	09/26/2012	
UP 2011-312(ROP)	2	\$15,000	\$15,000	\$11,000	09/26/2012	
UP 2011-313(HS)	2	\$2,000	\$2,000	\$1,400	09/26/2012	
UP 2011-314(SA)	1	\$2,500	\$2,500	\$1,950	09/26/2012	
UP 2011-317(ROP)	5	\$37,500	\$15,500	\$13,000	09/26/2012	Partially Terminated Violation(s): 1, 2, 4, 5.

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UP 2011-318(ROP)	3	\$24,500	\$14,500	\$11,500	09/26/2012	Partially Terminated Violation(s): 1, 3.
UP 2011-320(TS)	1	\$5,000	\$5,000	\$3,500	09/26/2012	
UP 2011-321(SA)	2	\$10,000	\$10,000	\$6,850	09/26/2012	
UP 2011-322(ROP)	5	\$37,500	\$32,000	\$22,000	09/26/2012	Partially Terminated Violation(s): 2.
UP 2011-323(SA)	2	\$10,000	\$10,000	\$6,850	09/26/2012	
UP 2011-324(ROP)	5	\$39,500	\$29,500	\$23,500	09/26/2012	Partially Terminated Violation(s): 2, 4.
UP 2011-325(ROP)	1	\$7,500	\$2,000	\$2,000	09/26/2012	Partially Terminated Violation(s): 1.
UP 2011-326(SA)	1	\$5,000	\$5,000	\$3,400	09/26/2012	
UP 2011-327(HS)	1	\$1,000	\$1,000	\$725	09/26/2012	
UP 2011-328(FCS)	1	\$2,500	\$2,500	\$1,800	09/26/2012	
UP 2011-329(LI)	2	\$3,500	\$3,500	\$2,500	09/26/2012	
UP 2011-330(SA)	2	\$5,000	\$5,000	\$3,400	09/26/2012	
UP 2011-331(SA)	1	\$2,500	\$2,500	\$1,750	09/26/2012	
UP 2011-332(LI)	1	\$2,500	\$2,500	\$1,700	09/26/2012	
UP 2011-333(HS)	1	\$1,000	\$1,000	\$725	09/26/2012	
UP 2011-334(HSR)	2	\$2,000	\$2,000	\$1,350	09/26/2012	
UP 2011-335(GC)	1	\$5,000	\$5,000	\$3,650	09/26/2012	
UP 2011-336(FCS)	2	\$7,500	\$7,500	\$5,700	09/26/2012	
UP 2011-337(SI)	2	\$5,000	\$5,000	\$3,300	09/26/2012	
UP 2011-338(GS)	2	\$5,000	\$5,000	\$3,500	09/26/2012	
UP 2011-339(ROP)	2	\$9,500	\$9,500	\$5,300	09/26/2012	
UP 2011-340(ROP)	1	\$9,500	\$9,500	\$6,700	09/26/2012	
UP 2011-341(FCS)	5	\$22,500	\$22,500	\$16,000	09/26/2012	
UP 2011-342(ROP)	5	\$37,500	\$15,500	\$13,000	09/26/2012	Partially Terminated Violation(s): 2, 3, 4, 5.
UP 2011-343(ROP)	5	\$41,500	\$37,000	\$26,000	09/26/2012	Partially Terminated Violation(s): 4.
UP 2011-344(ROP)	2	\$15,000	\$4,000	\$4,000	09/26/2012	Partially Terminated Violation(s): 1, 2.
UP 2011-345(ROP)	1	\$7,500	\$7,500	\$4,500	09/26/2012	
UP 2011-346(RSP)	1	\$2,500	\$2,500	\$1,800	09/26/2012	
UP 2011-347(SA)	4	\$20,000	\$20,000	\$13,600	09/26/2012	
UP 2011-348(HS)	4	\$4,000	\$4,000	\$2,800	09/26/2012	
UP 2011-349(HSR)	2	\$2,000	\$2,000	\$1,300	09/26/2012	
UP 2011-350(GC)	1	\$5,000	\$5,000	\$3,650	09/26/2012	
UP 2011-351(SI)	1	\$2,500	\$2,500	\$1,750	09/26/2012	
UP 2011-352(FCS)	1	\$2,500	\$2,500	\$1,700	09/26/2012	
UP 2011-353(SA)	2	\$10,000	\$10,000	\$6,850	09/26/2012	
UP 2011-354(SA)	3	\$7,500	\$7,500	\$5,000	09/26/2012	
UP 2011-355(SI)	1	\$1,000	\$1,000	\$750	09/26/2012	
UP 2011-356(SI)	1	\$2,500	\$2,500	\$1,750	09/26/2012	
UP 2011-357(HMT)	2	\$13,500	\$13,500	\$9,000	09/26/2012	
UP 2011-358(HMT)	1	\$4,000	\$4,000	\$2,700	09/26/2012	
UP 2011-359(LI)	1	\$1,500	\$1,500	\$1,000	09/26/2012	
UP 2011-360(SA)	1	\$2,500	\$2,500	\$1,950	09/26/2012	
UP 2011-361(FCS)	3	\$7,500	\$7,500	\$5,600	09/26/2012	
UP 2011-362(SA)	1	\$2,500	\$2,500	\$1,950	09/26/2012	
UP 2011-363(HS)	1	\$1,000	\$1,000	\$725	09/26/2012	

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UP 2011-364(HMT)	2	\$6,000	\$6,000	\$3,900	09/26/2012	
UP 2011-365(HMT)	1	\$5,000	\$5,000	\$4,100	09/26/2012	
UP 2011-366(SA)	2	\$5,000	\$5,000	\$3,400	09/26/2012	
UP 2011-367(TS)	1	\$5,000	\$5,000	\$3,500	09/26/2012	
UP 2011-368(TS)	2	\$5,000	\$5,000	\$3,500	09/26/2012	
UP 2011-369(ROP)	5	\$39,500	\$18,500	\$15,900	09/26/2012	Partially Terminated Violation(s): 1, 2, 3, 4.
UP 2011-370(ROP)	4	\$30,000	\$19,000	\$14,000	09/26/2012	Partially Terminated Violation(s): 3, 4.
UP 2011-371(ROP)	1	\$7,500	\$7,500	\$6,000	09/26/2012	
UP 2011-372(ROP)	2	\$15,000	\$9,500	\$8,100	09/26/2012	Partially Terminated Violation(s): 1.
UP 2011-373(SI)	4	\$12,500	\$12,500	\$8,300	09/26/2012	
UP 2011-374(SI)	1	\$2,500	\$2,500	\$1,800	09/26/2012	
UP 2011-375(FCS)	3	\$12,500	\$12,500	\$9,500	09/26/2012	
UP 2011-376(SA)	4	\$20,000	\$20,000	\$13,600	09/26/2012	
UP 2011-377(SA)	4	\$12,500	\$12,500	\$8,500	09/26/2012	
UP 2011-378(SA)	1	\$5,000	\$5,000	\$3,400	09/26/2012	
UP 2011-379(SA)	4	\$17,500	\$17,500	\$11,900	09/26/2012	
UP 2011-380(HMT)	3	\$8,000	\$8,000	\$5,150	09/26/2012	
UP 2011-381(SA)	2	\$5,000	\$5,000	\$3,400	09/26/2012	
UP 2011-382(SA)	2	\$5,000	\$5,000	\$3,400	09/26/2012	
UP 2011-383(SA)	2	\$5,000	\$5,000	\$3,400	09/26/2012	
UP 2011-384(ROP)	1	\$7,500	\$7,500	\$6,100	09/26/2012	
UP 2011-386(HSR)	2	\$2,000	\$2,000	\$1,400	09/26/2012	
UP 2011-387(HS)	1	\$1,000	\$1,000	\$725	09/26/2012	
UP 2011-388(RW)	2	\$5,000	\$5,000	\$3,900	09/26/2012	
UP 2011-389(LI)	7	\$17,500	\$17,500	\$11,500	09/26/2012	
UP 2011-390(LI)	1	\$2,500	\$2,500	\$1,700	09/26/2012	
UP 2011-391(AD)	1	\$5,000	\$5,000	\$3,300	09/26/2012	
UP 2011-392(TS)	1	\$5,000	\$5,000	\$4,500	09/26/2012	
UP 2011-393(SI)	1	\$5,000	\$5,000	\$3,300	09/26/2012	
UP 2011-394(SA)	1	\$2,500	\$2,500	\$1,950	09/26/2012	
UP 2011-395(TS)	2	\$10,000	\$10,000	\$7,000	09/26/2012	
UP 2011-396(SA)	1	\$5,000	\$5,000	\$3,400	09/26/2012	
UP 2011-397(SA)	1	\$5,000	\$5,000	\$3,400	09/26/2012	
UP 2011-398(FCS)	2	\$10,000	\$10,000	\$7,600	09/26/2012	
UP 2011-399(GC)	3	\$11,000	\$11,000	\$7,950	09/26/2012	
UP 2011-400(SI)	1	\$5,000	\$5,000	\$3,400	09/26/2012	
UP 2011-401(ROP)	5	\$39,500	\$18,500	\$16,400	09/26/2012	Partially Terminated Violation(s): 1, 2, 3, 4.
UP 2011-402(ROP)	2	\$17,000	\$7,000	\$7,000	09/26/2012	Partially Terminated Violation(s): 1, 2.
UP 2011-403(SA)	3	\$12,500	\$12,500	\$8,500	09/26/2012	
UP 2011-404(SA)	5	\$25,000	\$25,000	\$17,000	09/26/2012	
UP 2011-405(TS)	4	\$12,500	\$12,500	\$8,400	09/26/2012	
UP 2011-406(RSP)	1	\$1,000	\$1,000	\$780	09/26/2012	
UP 2011-407(TS)	3	\$7,500	\$7,500	\$5,100	09/26/2012	
UP 2011-408(TS)	2	\$7,500	\$7,500	\$5,100	09/26/2012	
UP 2011-409(SA)	1	\$5,000	\$5,000	\$3,400	09/26/2012	
UP 2011-410(SI)	1	\$2,500	\$2,500	\$1,780	09/26/2012	

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UP 2011-411(SA)	2	\$7,500	\$7,500	\$5,000	09/26/2012	
UP 2011-412(TS)	5	\$20,000	\$20,000	\$13,800	09/26/2012	
UP 2011-413(SA)	1	\$5,000	\$5,000	\$3,400	09/26/2012	
UP 2011-414(ROP)	5	\$37,500	\$21,000	\$18,500	09/26/2012	Partially Terminated Violation(s): 2, 4, 5.
UP 2011-415(ROP)	2	\$15,000	\$15,000	\$12,500	09/26/2012	
UP 2011-416(AR)	1	\$2,500	\$2,500	\$1,525	09/26/2012	
UP 2011-417(TS)	5	\$17,500	\$17,500	\$14,000	09/26/2012	
UP 2011-418(TS)	24	\$82,500	\$82,500	\$54,000	09/26/2012	
UP 2011-419(TS)	1	\$2,500	\$2,500	\$2,000	09/26/2012	
UP 2011-420(TS)	21	\$78,500	\$78,500	\$55,000	09/26/2012	
UP 2011-421(SI)	1	\$1,000	\$1,000	\$750	09/26/2012	
UP 2011-422(GC)	1	\$5,000	\$5,000	\$3,650	09/26/2012	
UP 2011-423(ROP)	2	\$14,500	\$10,000	\$8,800	09/26/2012	Partially Terminated Violation(s): 1.
UP 2011-424(ROP)	1	\$7,500	\$2,000	\$2,000	09/26/2012	Partially Terminated Violation(s): 1.
UP 2011-425(HMT)	4	\$21,000	\$21,000	\$15,000	09/26/2012	
UP 2011-426(SA)	1	\$5,000	\$5,000	\$3,400	09/26/2012	
UP 2011-427(SI)	6	\$6,000	\$6,000	\$4,400	09/26/2012	
UP 2011-428(FCS)	5	\$12,500	\$12,500	\$9,300	09/26/2012	
UP 2011-429(FCS)	1	\$2,500	\$2,500	\$1,750	09/26/2012	
UP 2011-430(TS)	2	\$7,500	\$7,500	\$6,000	09/26/2012	
UP 2011-431(ROP)	1	\$5,000	\$5,000	\$3,800	09/26/2012	
UP 2011-432(GS)	1	\$2,500	\$2,500	\$1,800	09/26/2012	
UP 2011-433(FCS)	5	\$15,000	\$15,000	\$10,000	09/26/2012	
UP 2011-434(FCS)	1	\$2,500	\$2,500	\$1,750	09/26/2012	
UP 2011-435(SA)	5	\$37,500	\$37,500	\$25,500	09/26/2012	
UP 2011-436(SA)	5	\$12,500	\$12,500	\$8,500	09/26/2012	
UP 2011-437(SA)	3	\$22,500	\$22,500	\$15,300	09/26/2012	
UP 2011-438(SA)	7	\$50,000	\$50,000	\$34,000	09/26/2012	
UP 2011-439(SA)	5	\$12,500	\$12,500	\$8,500	09/26/2012	
UP 2011-440(SA)	5	\$12,500	\$12,500	\$8,500	09/26/2012	
UP 2011-441(HMT)	2	\$4,000	\$4,000	\$2,600	09/26/2012	
UP 2011-442(HMT)	2	\$9,500	\$9,500	\$6,300	09/26/2012	
UP 2011-443(SA)	2	\$7,500	\$7,500	\$5,000	09/26/2012	
UP 2011-444(SA)	3	\$7,500	\$7,500	\$5,000	09/26/2012	
UP 2011-445(HMT)	1	\$2,000	\$2,000	\$1,340	09/26/2012	
UP 2011-446(SA)	1	\$7,500	\$7,500	\$5,000	09/26/2012	
UP 2011-447(SA)	1	\$2,500	\$2,500	\$1,775	09/26/2012	
UP 2011-448(ROP)	3	\$22,500	\$22,500	\$18,500	09/26/2012	
UP 2011-450(FCS)	2	\$5,000	\$5,000	\$3,300	09/26/2012	
UP 2011-451(SA)	2	\$10,000	\$10,000	\$6,850	09/26/2012	
UP 2011-452(SA)	1	\$5,000	\$5,000	\$3,400	09/26/2012	
UP 2011-453(HS)	1	\$1,000	\$1,000	\$725	09/26/2012	
UP 2011-454(RSP)	1	\$5,500	\$5,500	\$3,800	09/26/2012	
UP 2011-455(TS)	3	\$15,000	\$15,000	\$12,000	09/26/2012	
UP 2011-456(LI)	7	\$16,000	\$16,000	\$10,900	09/26/2012	
UP 2011-457(HMT)	1	\$7,500	\$7,500	\$5,100	09/26/2012	
UP 2011-458(ROP)	1	\$9,500	\$9,500	\$7,900	09/26/2012	

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UP 2011-459(FCS)	3	\$12,500	\$12,500	\$8,000	09/26/2012	
UP 2011-460(FCS)	4	\$17,500	\$17,500	\$12,000	09/26/2012	
UP 2011-461(ROP)	5	\$39,500	\$34,000	\$28,500	09/26/2012	Partially Terminated Violation(s): 5.
UP 2011-462(ROP)	5	\$35,000	\$24,000	\$19,500	09/26/2012	Partially Terminated Violation(s): 4, 5.
UP 2011-463(TS)	10	\$40,000	\$40,000	\$28,500	09/26/2012	
UP 2011-464(TS)	2	\$5,000	\$5,000	\$3,500	09/26/2012	
UP 2011-465(SA)	3	\$7,500	\$7,500	\$5,000	09/26/2012	
UP 2011-466(SA)	5	\$15,000	\$15,000	\$10,000	09/26/2012	
UP 2011-467(SA)	5	\$15,000	\$15,000	\$10,000	09/26/2012	
UP 2011-468(SA)	1	\$5,000	\$5,000	\$3,400	09/26/2012	
UP 2011-469(SA)	2	\$10,000	\$10,000	\$6,850	09/26/2012	
UP 2011-470(HMT)	1	\$2,000	\$2,000	\$1,340	09/26/2012	
UP 2011-471(LI)	2	\$5,000	\$5,000	\$3,550	09/26/2012	
UP 2011-472(LI)	1	\$2,500	\$2,500	\$1,700	09/26/2012	
UP 2011-473(EQ)	1	\$2,000	\$0	\$0	09/26/2012	Case Terminated.
UP 2011-474(EP)	2	\$5,000	\$5,000	\$3,300	09/26/2012	
UP 2011-475(EP)	2	\$3,000	\$3,000	\$1,900	09/26/2012	
UP 2011-477(LI)	2	\$4,000	\$4,000	\$2,850	09/26/2012	
UP 2011-478(EP)	1	\$1,000	\$1,000	\$740	09/26/2012	
UP 2011-479(LI)	1	\$2,500	\$2,500	\$1,700	09/26/2012	
UP 2011-480(TS)	10	\$29,000	\$29,000	\$19,500	09/26/2012	
UP 2011-481(SA)	4	\$10,000	\$10,000	\$6,850	09/26/2012	
UP 2011-482(TS)	5	\$14,500	\$14,500	\$9,700	09/26/2012	
UP 2011-483(TS)	1	\$5,000	\$5,000	\$3,800	09/26/2012	
UP 2011-484(HMT)	1	\$10,000	\$10,000	\$7,000	09/26/2012	
UP 2011-485(SI)	5	\$5,000	\$5,000	\$3,300	09/26/2012	
UP 2011-486(SI)	2	\$3,500	\$3,500	\$2,400	09/26/2012	
UP 2011-487(GC)	4	\$20,000	\$20,000	\$14,500	09/26/2012	
UP 2011-488(HMT)	1	\$2,000	\$2,000	\$1,340	09/26/2012	
UP 2011-489(SA)	1	\$5,000	\$5,000	\$3,400	09/26/2012	
UP 2011-490(TS)	8	\$20,000	\$20,000	\$13,500	09/26/2012	
UP 2011-491(ROP)	1	\$7,500	\$2,000	\$2,000	09/26/2012	Partially Terminated Violation(s): 1.
UP 2011-492(HS)	2	\$2,000	\$2,000	\$1,400	09/26/2012	
UP 2011-493(HSR)	2	\$2,000	\$2,000	\$1,350	09/26/2012	
UP 2011-494(LI)	3	\$7,500	\$7,500	\$5,000	09/26/2012	
UP 2011-495(SA)	3	\$10,000	\$10,000	\$6,850	09/26/2012	
UP 2011-496(SA)	2	\$7,500	\$7,500	\$5,000	09/26/2012	
UP 2011-497(SI)	1	\$5,000	\$5,000	\$3,300	09/26/2012	
UP 2011-498(FCS)	2	\$5,000	\$5,000	\$3,300	09/26/2012	
UP 2011-499(SA)	3	\$10,000	\$10,000	\$6,850	09/26/2012	
UP 2011-500(SA)	3	\$12,500	\$12,500	\$9,000	09/26/2012	
UP 2011-501(HMT)	3	\$6,000	\$6,000	\$3,900	09/26/2012	
UP 2011-502(ROP)	6	\$49,000	\$18,000	\$18,000	09/26/2012	Partially Terminated Violation(s): 1, 2, 3.
UP 2011-503(SA)	2	\$7,500	\$7,500	\$5,000	09/26/2012	
UP 2011-504(LI)	1	\$2,500	\$2,500	\$1,700	09/26/2012	
UP 2011-505(LI)	1	\$2,500	\$2,500	\$1,700	09/26/2012	
UP 2011-506(ROP)	5	\$39,500	\$13,000	\$13,000	09/26/2012	Partially Terminated

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UP 2011-508(SA)	5	\$25,000	\$25,000	\$17,000	09/26/2012	Violation(s): 1, 2, 3, 4, 5.	
UP 2011-509(SA)	4	\$20,000	\$20,000	\$16,000	09/26/2012		
UP 2011-510(SA)	3	\$12,500	\$12,500	\$8,500	09/26/2012		
UP 2011-511(TS)	1	\$5,000	\$5,000	\$4,000	09/26/2012		
UP 2011-512(LI)	1	\$2,500	\$2,500	\$1,700	09/26/2012		
UP 2011-513(RW)	1	\$1,000	\$1,000	\$750	09/26/2012		
UP 2011-514(LI)	1	\$2,500	\$2,500	\$1,700	09/26/2012		
UP 2011-515(LI)	1	\$2,500	\$2,500	\$1,700	09/26/2012		
UP 2011-516(LI)	1	\$2,500	\$2,500	\$1,700	09/26/2012		
UP 2011-517(SA)	4	\$12,500	\$12,500	\$8,500	09/26/2012		
UP 2011-518(SA)	4	\$10,000	\$10,000	\$6,850	09/26/2012		
UP 2011-519(SA)	4	\$15,000	\$15,000	\$10,000	09/26/2012		
UP 2011-520(SA)	2	\$10,000	\$10,000	\$6,850	09/26/2012		
UP 2011-521(LI)	4	\$10,000	\$2,500	\$1,700	09/26/2012		Partially Terminated Violation(s): 1.
UP 2011-522(LI)	8	\$19,000	\$19,000	\$12,750	09/26/2012		
UP 2011-523(SA)	2	\$10,000	\$10,000	\$6,850	09/26/2012		
UP 2011-530(TS)	9	\$13,500	\$13,500	\$9,000	09/26/2012		
UP 2011-532(AR)	1	\$2,500	\$2,500	\$1,775	09/26/2012		
UP 2011-533(AR)	1	\$2,500	\$2,500	\$1,775	09/26/2012		
UP 2012-1(ROP)	1	\$7,500	\$2,000	\$2,000	09/26/2012	Partially Terminated Violation(s): 1. Partially Terminated Violation(s): 1.	
UP 2012-2(ROP)	1	\$7,500	\$2,000	\$2,000	09/26/2012		
UP 2012-3(FCS)	5	\$25,000	\$25,000	\$16,500	09/26/2012		
UP 2012-4(FCS)	5	\$25,000	\$25,000	\$16,500	09/26/2012		
UP 2012-5(FCS)	5	\$15,000	\$15,000	\$10,500	09/26/2012		
UP 2012-6(FCS)	5	\$15,000	\$15,000	\$10,500	09/26/2012		
UP 2012-7(FCS)	4	\$10,000	\$10,000	\$7,550	09/26/2012		
UP 2012-9(FCS)	1	\$2,500	\$2,500	\$1,700	09/26/2012		
UP 2012-10(LI)	2	\$5,000	\$5,000	\$3,300	09/26/2012		
UP 2012-11(FCS)	1	\$2,500	\$2,500	\$1,750	09/26/2012		
UP 2012-12(FCS)	5	\$22,500	\$22,500	\$16,200	09/26/2012		
UP 2012-13(SA)	1	\$2,500	\$2,500	\$1,950	09/26/2012		
UP 2012-15(LI)	3	\$7,500	\$7,500	\$5,000	09/26/2012		
UP 2012-16(LI)	5	\$12,500	\$12,500	\$8,200	09/26/2012		
UP 2012-17(LI)	1	\$2,500	\$2,500	\$1,700	09/26/2012		
UP 2012-18(HMT)	1	\$4,000	\$4,000	\$2,600	09/26/2012		
UP 2012-21(FCS)	1	\$2,500	\$2,500	\$1,750	09/26/2012		
UP 2012-24(LI)	2	\$5,000	\$5,000	\$3,550	09/26/2012		
UP 2012-26(SA)	1	\$2,500	\$2,500	\$1,750	09/26/2012		
UP 2012-27(SA)	1	\$5,000	\$5,000	\$3,400	09/26/2012		
UP 2012-28(SA)	1	\$5,000	\$5,000	\$3,400	09/26/2012		
UP 2012-29(SA)	1	\$2,500	\$2,500	\$1,800	09/26/2012		
UP 2012-30(SA)	5	\$17,500	\$17,500	\$12,500	09/26/2012		
UP 2012-31(SA)	5	\$15,000	\$15,000	\$10,000	09/26/2012		
UP 2012-32(SA)	5	\$17,500	\$17,500	\$12,775	09/26/2012		
UP 2012-33(SA)	5	\$17,500	\$17,500	\$12,775	09/26/2012		
UP 2012-34(SA)	2	\$10,000	\$10,000	\$6,850	09/26/2012		

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UP 2012-35(FCS)	2	\$5,000	\$5,000	\$3,200	09/26/2012	
UP 2012-36(SA)	3	\$15,000	\$15,000	\$10,000	09/26/2012	
UP 2012-37(SA)	3	\$10,000	\$10,000	\$6,850	09/26/2012	
UP 2012-38(SA)	2	\$10,000	\$10,000	\$6,850	09/26/2012	
UP 2012-39(SI)	4	\$8,500	\$8,500	\$5,750	09/26/2012	
UP 2012-40(ROP)	1	\$7,500	\$2,000	\$2,000	09/26/2012	Partially Terminated Violation(s): 1.
UP 2012-41(ROP)	2	\$17,000	\$17,000	\$13,500	09/26/2012	
UP 2012-42(ROP)	5	\$45,500	\$40,000	\$31,000	09/26/2012	Partially Terminated Violation(s): 2.
UP 2012-43(HMT)	1	\$5,000	\$5,000	\$4,100	09/26/2012	
UP 2012-45(LI)	3	\$7,500	\$7,500	\$5,000	09/26/2012	
UP 2012-46(HSR)	3	\$3,000	\$3,000	\$2,000	09/26/2012	
UP 2012-47(HS)	1	\$1,000	\$1,000	\$725	09/26/2012	
UP 2012-49(SA)	5	\$12,500	\$12,500	\$8,500	09/26/2012	
UP 2012-50(SA)	1	\$5,000	\$5,000	\$3,400	09/26/2012	
UP 2012-51(FCS)	1	\$2,500	\$2,500	\$1,750	09/26/2012	
UP 2012-53(EQ)	1	\$5,000	\$5,000	\$3,700	09/26/2012	
UP 2012-54(FCS)	1	\$5,000	\$5,000	\$3,200	09/26/2012	
UP 2012-55(ROP)	1	\$7,500	\$2,000	\$2,000	09/26/2012	Partially Terminated Violation(s): 1.
UP 2012-57(SA)	3	\$12,500	\$12,500	\$8,500	09/26/2012	
UP 2012-58(HMT)	1	\$5,000	\$5,000	\$4,100	09/26/2012	
UP 2012-59(FCS)	5	\$12,500	\$12,500	\$8,100	09/26/2012	
UP 2012-62(ROP)	1	\$2,000	\$2,000	\$1,550	09/26/2012	
UP 2012-63(LI)	1	\$2,500	\$2,500	\$1,700	09/26/2012	
UP 2012-65(SA)	1	\$5,000	\$5,000	\$3,400	09/26/2012	
UP 2012-66(TS)	1	\$7,000	\$7,000	\$4,800	09/26/2012	
UP 2012-67(SA)	5	\$15,000	\$15,000	\$10,000	09/26/2012	
UP 2012-70(FCS)	1	\$2,500	\$2,500	\$1,750	09/26/2012	
UP 2012-71(ROP)	2	\$19,000	\$19,000	\$15,500	09/26/2012	
UP 2012-73(SA)	3	\$10,000	\$10,000	\$6,850	09/26/2012	
UP 2012-76(SA)	4	\$12,500	\$12,500	\$8,500	09/26/2012	
UP 2012-81(FCS)	1	\$2,500	\$2,500	\$1,750	09/26/2012	
VREX 2011-2(PEQ)	1	\$5,000	\$5,000	\$5,000	02/21/2012	
VREX 2011-3(PEQ)	1	\$2,500	\$2,500	\$2,500	02/24/2012	
VSOR 2011-2(SA)	1	\$5,000	\$5,000	\$3,000	09/28/2012	
VST 2009-1(GC)	1	\$5,000	\$5,000	\$650	01/10/2012	
VTCX 2002-1(LI)	7	\$15,000	\$0	\$0	01/10/2012	Case Terminated.
WCOR 2011-1(GC)	1	\$2,500	\$2,500	\$1,250	02/09/2012	
WCOR 2011-2(EQ)	1	\$2,000	\$2,000	\$1,000	02/09/2012	
WCOR 2011-3(ROR)	1	\$12,500	\$12,500	\$1,950	02/09/2012	
WCOR 2011-4(SA)	1	\$5,000	\$5,000	\$650	02/09/2012	
WCOR 2011-5(AR)	1	\$2,500	\$2,500	\$1,000	02/09/2012	
WCOR 2011-6(ROR)	1	\$7,500	\$7,500	\$650	02/09/2012	
WCOR 2011-7(EQ)	1	\$2,500	\$2,500	\$1,000	02/09/2012	
WE 2011-1(GC)	15	\$37,500	\$37,500	\$23,500	06/15/2012	
WE 2011-3(FCS)	1	\$5,000	\$5,000	\$2,750	06/15/2012	
WE 2011-4(SA)	1	\$5,000	\$5,000	\$2,750	06/15/2012	
WE 2012-1(SA)	1	\$5,000	\$5,000	\$2,750	06/15/2012	

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WE 2012-2(AR)	3	\$7,500	\$7,500	\$3,900	06/15/2012	
WE 2012-3(HS)	2	\$2,000	\$2,000	\$1,400	06/15/2012	
WNYP 2011-1(EQ)	2	\$2,000	\$2,000	\$2,000	01/24/2012	
WTLC 2010-1(ROP)	1	\$5,000	\$5,000	\$3,000	06/04/2012	
WTLC 2012-1(ROP)	2	\$15,000	\$15,000	\$9,000	06/04/2012	
WTRM 2011-1(GC)	14	\$14,000	\$14,000	\$9,100	02/23/2012	
WTRM 2011-2(GC)	10	\$25,000	\$22,500	\$5,850	02/23/2012	Terminated Violation(s): 10.
XACO 2012-1(RW)	1	\$2,000	\$2,000	\$2,000	09/26/2012	
XACO 2012-2(RW)	1	\$3,000	\$3,000	\$3,000	09/26/2012	
XAKI 2009-1(HMT)	3	\$6,000	\$6,000	\$3,900	10/18/2011	
XAME 2011-1(HMT)	1	\$5,000	\$5,000	\$3,400	01/11/2012	
XARR 2012-1(HMT)	1	\$2,500	\$2,500	\$2,500	04/27/2012	
XBRI 2007-1(RW)	4	\$8,000	\$0	\$0	04/13/2012	Case Terminated.
XCBP 2012-1(HMT)	1	\$2,000	\$2,000	\$2,000	05/07/2012	
XCRO 2012-1(HMT)	2	\$7,000	\$7,000	\$7,000	09/05/2012	
XGBR 2009-1(HMT)	1	\$10,000	\$10,000	\$7,500	05/30/2012	
XGWT 2012-1(HMT)	1	\$5,000	\$5,000	\$5,000	05/22/2012	
XHAG 2003-1(HMT)	1	\$5,000	\$0	\$0	12/21/2011	Case Terminated.
XHCC 2003-1(RW)	1	\$2,000	\$0	\$0	12/21/2011	Case Terminated.
XHCC 2003-2(RW)	2	\$5,000	\$0	\$0	12/21/2011	Case Terminated.
XHHR 2005-1(RW)	2	\$6,000	\$0	\$0	12/21/2011	Case Terminated.
XHSS 2012-1(RW)	1	\$3,000	\$3,000	\$3,000	08/01/2012	
XHTS 2011-2(ROR)	1	\$9,500	\$9,500	\$3,800	12/21/2011	
XHTS 2011-3(ROP)	1	\$7,500	\$7,500	\$4,875	12/21/2011	
XHTS 2011-4(TS)	1	\$5,000	\$5,000	\$3,500	12/21/2011	
XHZC 2011-2(TS)	1	\$5,000	\$5,000	\$3,500	12/21/2011	
XJJS 2010-1(RW)	3	\$8,500	\$8,500	\$2,500	03/21/2012	
XKSP 2011-1(HMT)	1	\$2,000	\$2,000	\$2,000	10/28/2011	
XLAS 2011-1(HMT)	1	\$7,500	\$7,500	\$4,900	04/24/2012	
XLDI 2011-1(HMT)	3	\$15,000	\$15,000	\$15,000	02/08/2012	
XLDI 2012-1(HMT)	1	\$7,500	\$7,500	\$7,500	03/05/2012	
XMLC 2008-1(HMT)	4	\$25,000	\$10,000	\$1,500	08/02/2012	Terminated Violation(s): 1,4.
XMPS 2012-1(HMT)	1	\$15,000	\$15,000	\$11,500	04/12/2012	
XPOC 2011-1(HMT)	1	\$5,000	\$5,000	\$3,500	11/21/2011	
XREL 2011-1(HMT)	1	\$4,000	\$4,000	\$4,000	10/20/2011	
XRPN 2012-1(HS)	1	\$1,000	\$1,000	\$750	05/17/2012	
XRPN 2012-2(HSR)	1	\$1,000	\$1,000	\$750	05/25/2012	
XSAF 2010-1(AD)	2	\$10,000	\$5,000	\$800	12/13/2011	Partial Termination of Violation(s): 1.
XSNJ 2008-1(TS)	20	\$50,000	\$50,000	\$50,000	03/09/2012	
XSTK 2006-1(HMT)	2	\$7,000	\$0	\$0	11/10/2011	Case Terminated.
XSTK 2007-1(HMT)	2	\$10,000	\$0	\$0	03/05/2012	Case Terminated.
XTTR 2006-1(HMT)	7	\$27,000	\$0	\$0	12/02/2011	Case Terminated.
XUCE 2009-1(HMT)	2	\$5,000	\$5,000	\$500	04/27/2012	
XURW 2011-1(HMT)	2	\$4,000	\$4,000	\$2,800	07/05/2012	
XURW 2012-2(HMT)	3	\$6,000	\$6,000	\$3,600	07/05/2012	
XWKC 2012-1(HS)	2	\$2,000	\$2,000	\$1,300	09/12/2012	
XYRC 2012-1(HMT)	1	\$5,000	\$5,000	\$5,000	06/11/2012	
YB 2011-1(SA)	1	\$5,000	\$5,000	\$2,500	02/23/2012	
YRC 2011-1(TS)	1	\$5,000	\$5,000	\$5,000	11/17/2011	

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YSVR 2010-1(GC)	4	\$10,000	\$10,000	\$5,800	09/28/2012	
YSVR 2010-2(GC)	1	\$2,500	\$2,500	\$1,600	09/28/2012	
YSVR 2010-4(TS)	2	\$7,500	\$7,500	\$5,000	09/28/2012	
YSVR 2011-1(GC)	9	\$40,000	\$40,000	\$26,000	09/28/2012	
YW 2006-1(RW)	1	\$5,000	\$0	\$0	03/15/2012	Case Terminated.
ZAACO 2012-1(HMT)	1	\$5,000	\$5,000	\$3,500	04/06/2012	
ZAAQ 2007-1(HMT)	1	\$5,000	\$0	\$0	03/23/2012	Case Terminated.
ZABC 2011-1(HMT)	1	\$10,000	\$10,000	\$7,500	11/14/2011	
ZABC 2012-1(HMT)	2	\$5,000	\$5,000	\$5,000	08/20/2012	
ZABW 2011-2(HMT)	1	\$5,000	\$5,000	\$3,500	02/21/2012	
ZACH 2011-1(HMT)	1	\$10,000	\$10,000	\$7,600	12/06/2011	
ZACR 2011-1(HMT)	1	\$10,000	\$10,000	\$7,500	12/06/2011	
ZADL 2011-1(HMT)	1	\$2,000	\$2,000	\$2,000	11/21/2011	
ZAEI 2012-1(HMT)	1	\$2,000	\$2,000	\$1,300	04/19/2012	
ZAFQ 2012-1(HMT)	1	\$10,000	\$10,000	\$7,500	06/06/2012	
ZAGF 2011-2(HMT)	3	\$30,000	\$30,000	\$24,600	03/13/2012	
ZAGN 2012-1(HMT)	1	\$2,000	\$2,000	\$1,200	08/23/2012	
ZAGP 2010-1(HMT)	4	\$30,000	\$12,500	\$9,500	11/17/2011	Terminated Violation(s): 1,3. Partially Terminated Violation(s): 4 from \$7,500 to \$5,000.
ZAGQ 2011-1(HMT)	1	\$2,500	\$2,500	\$2,500	10/25/2011	
ZAGT 2012-1(HMT)	1	\$1,000	\$1,000	\$1,000	06/05/2012	
ZAHL 2011-1(HMT)	1	\$5,000	\$5,000	\$5,000	11/16/2011	
ZAIL 2011-2(HMT)	1	\$5,000	\$5,000	\$5,000	01/17/2012	
ZAJE 2012-1(HMT)	1	\$5,000	\$5,000	\$5,000	05/30/2012	
ZAJE 2012-2(HMT)	1	\$5,000	\$5,000	\$5,000	08/30/2012	
ZAJE 2012-3(HMT)	1	\$5,000	\$5,000	\$5,000	08/30/2012	
ZAKM 2011-4(HMT)	1	\$5,000	\$5,000	\$3,400	12/15/2011	
ZAKN 2011-1(HMT)	1	\$5,000	\$5,000	\$3,600	02/07/2012	
ZAKN 2012-1(HMT)	1	\$5,000	\$5,000	\$3,000	06/13/2012	
ZAKN 2012-2(HMT)	1	\$2,000	\$2,000	\$1,450	06/14/2012	
ZAKP 2011-1(HMT)	1	\$10,000	\$10,000	\$7,000	01/10/2012	
ZALD 2011-1(HMT)	1	\$5,000	\$5,000	\$5,000	01/09/2012	
ZALN 2011-2(HMT)	1	\$2,000	\$2,000	\$1,500	10/25/2011	
ZALN 2011-3(HMT)	2	\$9,500	\$9,500	\$6,500	03/01/2012	
ZALQ 2011-2(HMT)	1	\$10,000	\$10,000	\$10,000	06/05/2012	
ZALTS 2012-1(HMT)	1	\$7,500	\$7,500	\$5,625	09/17/2012	
ZALX 2012-1(HMT)	1	\$4,000	\$4,000	\$4,000	06/15/2012	
ZAMC 2010-4(HMT)	1	\$2,000	\$2,000	\$1,150	12/06/2011	
ZAMC 2011-1(HMT)	1	\$10,000	\$10,000	\$7,400	12/06/2011	
ZAMK 2011-1(HMT)	2	\$10,000	\$10,000	\$10,000	05/21/2012	
ZAMK 2011-2(HMT)	2	\$10,000	\$10,000	\$10,000	05/26/2012	
ZAMRI 2003-1(HMT)	27	\$172,500	\$0	\$0	01/11/2012	Case Terminated.
ZAMRI 2011-1(HMT)	1	\$2,500	\$2,500	\$2,500	01/17/2012	
ZAMV 2011-1(HMT)	1	\$5,000	\$5,000	\$5,000	12/19/2011	
ZANE 2011-1(HMT)	1	\$10,000	\$10,000	\$7,200	06/05/2012	
ZANE 2011-2(HMT)	1	\$5,000	\$5,000	\$5,000	02/09/2012	
ZAO 2012-1(HMT)	1	\$2,000	\$2,000	\$1,150	06/21/2012	
ZAPM 2011-2(HMT)	3	\$6,000	\$6,000	\$6,000	02/02/2012	

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ZAPM 2012-1(HMT)	1	\$5,000	\$5,000	\$5,000	09/04/2012	
ZARCI 2011-3(HMT)	1	\$10,000	\$10,000	\$7,400	02/21/2012	
ZARCI 2012-1(HMT)	1	\$5,000	\$5,000	\$3,600	06/19/2012	
ZARCI 2012-2(HMT)	1	\$5,000	\$5,000	\$3,500	06/18/2012	
ZARE 2011-1(HMT)	3	\$22,500	\$22,500	\$15,000	03/13/2012	
ZARE 2012-1(HMT)	2	\$10,000	\$10,000	\$7,300	03/23/2012	
ZARGR 2011-1(HMT)	2	\$20,000	\$20,000	\$16,000	02/02/2012	
ZARK 2012-1(HMT)	1	\$5,000	\$5,000	\$3,250	05/15/2012	
ZARK 2012-2(HMT)	1	\$5,000	\$5,000	\$3,400	08/07/2012	
ZARK 2012-3(HMT)	1	\$7,500	\$7,500	\$5,200	09/25/2012	
ZARK 2012-4(HMT)	1	\$10,000	\$10,000	\$7,100	09/25/2012	
ZATI 2012-1(HMT)	2	\$4,000	\$4,000	\$2,710	05/22/2012	
ZATO 2012-1(HMT)	1	\$5,000	\$5,000	\$3,350	09/17/2012	
ZAUG 2011-2(HMT)	1	\$7,500	\$0	\$0	01/23/2012	Case Terminated.
ZAUL 2011-1(HMT)	1	\$2,000	\$2,000	\$1,800	10/13/2011	
ZAUX 2012-1(HMT)	2	\$10,000	\$5,000	\$3,550	04/25/2012	Terminated Violation(s): 1.
ZBAS 2011-5(HMT)	2	\$20,000	\$20,000	\$20,000	12/27/2011	
ZBAS 2011-6(HMT)	1	\$10,000	\$10,000	\$10,000	02/21/2012	
ZBAS 2012-1(HMT)	1	\$5,000	\$5,000	\$5,000	03/12/2012	
ZBAS 2012-2(HMT)	1	\$10,000	\$10,000	\$10,000	04/13/2012	
ZBAS 2012-3(HMT)	1	\$2,000	\$2,000	\$2,000	06/15/2012	
ZBASI 2010-2(HMT)	1	\$10,000	\$10,000	\$8,000	03/05/2012	
ZBBE 2008-1(HMT)	3	\$30,000	\$30,000	\$21,000	03/14/2012	
ZBCI 2010-1(HMT)	1	\$5,000	\$5,000	\$1,000	04/10/2012	
ZBKA 2012-1(HMT)	1	\$2,000	\$2,000	\$2,000	05/05/2012	
ZBKK 2012-1(HMT)	4	\$12,000	\$12,000	\$12,000	07/10/2012	
ZBKL 2010-1(HMT)	1	\$2,000	\$2,000	\$1,600	03/05/2012	
ZBMA 2011-1(HMT)	1	\$10,000	\$10,000	\$7,000	05/11/2012	
ZBMA 2011-2(HMT)	1	\$10,000	\$10,000	\$7,000	05/11/2012	
ZBMA 2011-3(HMT)	1	\$10,000	\$10,000	\$7,000	05/11/2012	
ZBMA 2011-4(HMT)	2	\$20,000	\$20,000	\$14,000	05/11/2012	
ZBMA 2011-5(HMT)	1	\$10,000	\$10,000	\$7,000	05/11/2012	
ZBMA 2011-6(HMT)	2	\$10,000	\$0	\$0	05/11/2012	Case Terminated.
ZBMA 2011-7(HMT)	1	\$10,000	\$10,000	\$7,000	05/11/2012	
ZBMS 2011-1(HMT)	1	\$2,000	\$2,000	\$1,600	03/13/2012	
ZBORE 2011-1(HMT)	1	\$2,000	\$2,000	\$1,300	11/29/2011	
ZBPA 2011-1(HMT)	1	\$7,500	\$7,500	\$5,625	02/07/2012	
ZBPC 2011-2(HMT)	2	\$10,000	\$10,000	\$6,000	10/28/2011	
ZBPPZ 2010-1(HMT)	1	\$5,000	\$0	\$0	02/22/2012	Case Terminated.
ZBPPZ 2011-4(HMT)	1	\$2,000	\$2,000	\$2,000	12/12/2011	
ZBSN 2012-1(HMT)	5	\$25,000	\$25,000	\$25,000	08/24/2012	
ZBTA 2010-1(HMT)	3	\$10,000	\$10,000	\$5,000	05/03/2012	
ZBTC 2012-1(HMT)	1	\$2,000	\$2,000	\$2,000	09/24/2012	
ZBTM 2012-1(HMT)	2	\$4,000	\$4,000	\$4,000	05/14/2012	
ZBWS 2010-1(HMT)	2	\$22,500	\$22,500	\$500	03/30/2012	
ZBYP 2011-1(HMT)	1	\$2,500	\$2,500	\$2,500	04/06/2012	
ZBYU 2010-1(HMT)	4	\$15,000	\$12,500	\$4,500	04/12/2012	Terminated Violation(s): 1.
ZBYU 2010-2(HMT)	1	\$7,500	\$7,500	\$1,500	04/12/2012	
ZCAX 2012-1(HMT)	2	\$20,000	\$20,000	\$20,000	04/02/2012	

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ZCEE 2012-3(HMT)	1	\$5,000	\$5,000	\$5,000	09/24/2012	
ZCEE 2012-4(HMT)	2	\$10,000	\$10,000	\$10,000	09/24/2012	
ZCEE 2012-5(HMT)	1	\$5,000	\$5,000	\$5,000	09/24/2012	
ZCELA 2012-2(HMT)	1	\$5,000	\$5,000	\$5,000	04/10/2012	
ZCHJ 2012-1(HMT)	1	\$1,500	\$1,500	\$1,500	03/14/2012	
ZCLX 2011-1(HMT)	1	\$10,000	\$10,000	\$7,500	08/06/2012	
ZCMQ 2012-1(HMT)	1	\$10,000	\$10,000	\$10,000	09/21/2012	
ZCNL 2011-1(HMT)	1	\$2,000	\$2,000	\$2,000	03/30/2012	
ZCOU 2012-2(HMT)	1	\$10,000	\$10,000	\$10,000	09/13/2012	
ZCRZ 2012-1(HMT)	1	\$10,000	\$10,000	\$10,000	03/22/2012	
ZCRZ 2012-2(HMT)	1	\$2,000	\$2,000	\$2,000	09/10/2012	
ZCVO 2011-1(HMT)	1	\$5,000	\$5,000	\$5,000	02/06/2012	
ZCVO 2011-2(HMT)	1	\$10,000	\$10,000	\$10,000	03/19/2012	
ZCWC 2012-1(HMT)	1	\$2,000	\$2,000	\$2,000	08/13/2012	
ZDANT 2012-1(HMT)	1	\$2,000	\$2,000	\$1,200	08/27/2012	
ZDCPC 2011-1(HMT)	3	\$3,000	\$3,000	\$2,250	01/25/2012	
ZDCU 2011-1(HMT)	1	\$5,000	\$5,000	\$4,000	10/07/2011	
ZDCU 2011-2(HMT)	1	\$2,500	\$2,500	\$2,000	10/07/2011	
ZDCU 2011-3(HMT)	1	\$5,000	\$5,000	\$4,000	10/07/2011	
ZDCU 2011-4(HMT)	1	\$5,000	\$5,000	\$4,000	10/07/2011	
ZDCU 2011-5(HMT)	1	\$2,000	\$2,000	\$1,000	10/07/2011	
ZDCU 2011-6(HMT)	1	\$5,000	\$0	\$0	11/23/2011	Case Terminated.
ZDCU 2011-7(HMT)	1	\$5,000	\$5,000	\$4,000	10/07/2011	
ZDEI 2012-1(HMT)	1	\$5,000	\$5,000	\$3,000	05/30/2012	
ZDHT 2009-1(HMT)	1	\$2,000	\$0	\$0	12/16/2011	Case Terminated.
ZDKI 2012-1(HMT)	1	\$2,000	\$2,000	\$2,000	03/26/2012	
ZDOW 2012-1(HMT)	6	\$22,500	\$22,500	\$16,500	09/10/2012	
ZDSQ 2012-1(HMT)	1	\$5,000	\$0	\$0	06/27/2012	Case Terminated.
ZDYI 2011-1(HMT)	2	\$4,000	\$4,000	\$4,000	11/08/2011	
ZEACH 2011-4(HMT)	1	\$10,000	\$0	\$0	01/09/2012	Case Terminated.
ZEACH 2011-5(HMT)	1	\$5,000	\$5,000	\$3,400	01/09/2012	
ZEACH 2011-6(HMT)	1	\$10,000	\$10,000	\$7,400	01/09/2012	
ZEACH 2011-7(HMT)	1	\$10,000	\$0	\$0	04/23/2012	Case Terminated.
ZEACH 2012-1(HMT)	1	\$5,000	\$5,000	\$3,500	04/03/2012	
ZEACH 2012-2(HMT)	1	\$5,000	\$5,000	\$3,500	05/03/2012	
ZECB 2012-1(HMT)	1	\$7,500	\$7,500	\$7,500	07/31/2012	
ZECDP 2012-1(HMT)	2	\$4,000	\$0	\$0	07/17/2012	Case Terminated.
ZECDP 2012-2(HMT)	1	\$5,000	\$5,000	\$3,600	08/20/2012	
ZEDW 2012-1(HMT)	1	\$2,000	\$2,000	\$1,200	02/28/2012	
ZEEA 2012-1(HMT)	1	\$10,000	\$10,000	\$6,800	05/15/2012	
ZEEM 2012-1(HMT)	1	\$5,000	\$5,000	\$5,000	09/21/2012	
ZEES 2011-2(HMT)	2	\$7,000	\$7,000	\$4,700	05/15/2012	
ZEGS 2011-1(HMT)	1	\$10,000	\$10,000	\$8,700	02/02/2012	
ZEGS 2011-2(HMT)	1	\$2,000	\$2,000	\$1,850	02/02/2012	
ZEJG 2011-1(HMT)	1	\$5,000	\$5,000	\$3,500	04/03/2012	
ZEMCC 2012-1(HMT)	1	\$5,000	\$5,000	\$3,400	04/17/2012	
ZEMER 2012-1(HMT)	1	\$5,000	\$5,000	\$5,000	07/09/2012	
ZEMR 2012-1(HMT)	1	\$5,000	\$5,000	\$5,000	03/02/2012	
ZENS 2012-1(HMT)	4	\$25,000	\$25,000	\$18,000	06/05/2012	

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ZEOB 2012-1(HMT)	1	\$2,500	\$2,500	\$1,800	03/01/2012	
ZEOR 2012-1(HMT)	4	\$40,000	\$40,000	\$29,200	02/21/2012	
ZEPC 2012-1(HMT)	1	\$2,000	\$2,000	\$1,500	07/19/2012	
ZEPZ 2012-1(HMT)	1	\$2,000	\$2,000	\$2,000	08/30/2012	
ZEQU 2012-1(HMT)	4	\$20,000	\$20,000	\$13,400	02/21/2012	
ZETY 2012-1(HMT)	1	\$10,000	\$10,000	\$7,100	07/18/2012	
ZEVD 2011-4(HMT)	4	\$16,000	\$16,000	\$16,000	01/30/2012	
ZEVD 2012-1(HMT)	1	\$5,000	\$5,000	\$5,000	09/11/2012	
ZEWW 2011-1(HMT)	3	\$15,000	\$15,000	\$10,500	12/16/2011	
ZEXM 2012-1(HMT)	1	\$2,000	\$2,000	\$1,150	08/08/2012	
ZFHR 2012-2(HMT)	1	\$7,500	\$7,500	\$7,500	04/24/2012	
ZFLY 2006-1(HMT)	1	\$5,000	\$2,000	\$2,000	03/14/2012	Adjusted Penalty Amount for Violation(s): 1.
ZFLY 2007-1(HMT)	2	\$4,000	\$4,000	\$4,000	03/14/2012	
ZFOT 2011-1(HMT)	1	\$5,000	\$5,000	\$5,000	01/18/2012	
ZFRI 2007-1(HMT)	1	\$5,000	\$5,000	\$2,000	11/02/2011	
ZFRI 2011-1(HMT)	2	\$22,500	\$22,500	\$11,250	11/02/2011	
ZFRZ 2011-1(HMT)	4	\$15,000	\$15,000	\$15,000	10/17/2011	
ZGACC 2010-1(HMT)	1	\$4,000	\$4,000	\$4,000	10/12/2011	
ZGBL 2009-1(HMT)	1	\$5,000	\$5,000	\$3,750	05/24/2012	
ZGCC 2011-1(HMT)	1	\$5,000	\$5,000	\$5,000	02/01/2012	
ZGCC 2012-1(HMT)	1	\$5,000	\$5,000	\$5,000	09/26/2012	
ZGCP 2011-1(HMT)	1	\$5,000	\$5,000	\$3,550	05/29/2012	
ZGEC 2010-1(HMT)	1	\$5,000	\$5,000	\$5,000	02/01/2012	
ZGEP A 2011-2(HMT)	1	\$7,500	\$7,500	\$6,250	10/06/2011	
ZGFE 2011-1(HMT)	1	\$5,000	\$5,000	\$5,000	10/18/2011	
ZGGE 2010-1(HMT)	3	\$15,000	\$15,000	\$11,250	05/22/2012	
ZGGP 2010-1(HMT)	1	\$10,000	\$10,000	\$7,500	05/29/2012	
ZGGP 2011-2(HMT)	1	\$10,000	\$10,000	\$7,500	05/29/2012	
ZGLB 2009-1(HMT)	1	\$5,000	\$0	\$0	05/24/2012	Case Terminated. Case was re-generated as ZGBL to reflect the proper shipping company, Global Companies.
ZGMN 2011-1(HMT)	1	\$5,000	\$5,000	\$3,700	05/29/2012	
ZGMN 2011-3(HMT)	1	\$5,000	\$5,000	\$3,650	05/29/2012	
ZGNX 2012-1(HMT)	1	\$10,000	\$10,000	\$8,000	07/25/2012	
ZGOT 2012-1(HMT)	1	\$4,000	\$4,000	\$4,000	04/26/2012	
ZGPE 2010-1(HMT)	1	\$7,500	\$7,500	\$5,625	05/29/2012	
ZGPE 2011-1(HMT)	1	\$5,000	\$5,000	\$3,750	05/29/2012	
ZGPE 2011-2(HMT)	1	\$7,500	\$7,500	\$6,000	05/29/2012	
ZGPE 2011-3(HMT)	1	\$7,500	\$7,500	\$6,000	05/29/2012	
ZGPE 2011-4(HMT)	1	\$5,000	\$5,000	\$5,000	02/01/2012	
ZGPE 2011-5(HMT)	1	\$5,000	\$5,000	\$4,000	05/29/2012	
ZGPE 2012-1(HMT)	2	\$10,000	\$10,000	\$10,000	05/15/2012	
ZGPF 2011-1(HMT)	1	\$7,500	\$7,500	\$5,300	04/26/2012	
ZGPJ 2012-1(HMT)	1	\$7,500	\$7,500	\$5,250	04/26/2012	
ZGPN 2012-1(HMT)	1	\$7,500	\$7,500	\$7,500	02/01/2012	
ZGPR 2012-1(HMT)	1	\$5,000	\$5,000	\$5,000	09/26/2012	
ZGSZ 2011-1(HMT)	1	\$5,000	\$5,000	\$3,450	10/26/2011	

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ZGSZ 2011-2(HMT)	2	\$10,000	\$10,000	\$6,900	11/02/2011	
ZGVS 2010-1(HMT)	4	\$20,000	\$20,000	\$15,000	05/03/2012	
ZGWP 2010-1(HMT)	1	\$2,000	\$2,000	\$1,200	05/29/2012	
ZGWP 2010-3(HMT)	1	\$2,000	\$2,000	\$1,200	05/29/2012	
ZGWQ 2010-1(HMT)	1	\$2,500	\$2,500	\$1,875	05/03/2012	
ZGXA 2010-1(HMT)	2	\$10,000	\$10,000	\$6,500	05/24/2012	
ZHAF 2012-1(HMT)	1	\$2,000	\$2,000	\$2,000	08/13/2012	
ZHCO 2005-1(HMT)	1	\$5,000	\$0	\$0	12/21/2011	Case Terminated.
ZHCO 2006-1(HMT)	1	\$2,000	\$0	\$0	12/21/2011	Case Terminated.
ZHCR 2011-1(HMT)	1	\$7,500	\$7,500	\$7,500	12/29/2011	
ZHET 2011-1(HMT)	1	\$5,000	\$5,000	\$3,700	05/10/2012	
ZHFR 2012-1(HMT)	3	\$15,000	\$15,000	\$15,000	04/23/2012	
ZHFR 2012-2(HMT)	2	\$4,000	\$4,000	\$4,000	04/23/2012	
ZHFS 2003-1(HMT)	1	\$2,000	\$0	\$0	12/21/2011	Case Terminated.
ZHINT 2004-1(HMT)	4	\$8,000	\$0	\$0	12/21/2011	Case Terminated.
ZHKD 2006-4(HMT)	1	\$5,000	\$0	\$0	12/21/2011	Case Terminated.
ZHMI 2006-1(HMT)	2	\$30,000	\$0	\$0	12/21/2011	Case Terminated.
ZHMO 2012-1(HMT)	1	\$2,000	\$2,000	\$2,000	08/01/2012	
ZHMS 2012-1(HMT)	2	\$2,000	\$2,000	\$2,000	09/20/2012	
ZHMS 2012-2(HMT)	1	\$1,000	\$1,000	\$1,000	09/20/2012	
ZHOE 2005-1(HMT)	1	\$5,000	\$0	\$0	12/21/2011	Case Terminated.
ZHOI 2011-2(HMT)	3	\$15,000	\$15,000	\$15,000	11/22/2011	
ZHPO 2006-1(HMT)	1	\$1,000	\$0	\$0	12/21/2011	Case Terminated.
ZHPO 2006-2(HMT)	1	\$7,500	\$0	\$0	12/21/2011	Case Terminated.
ZHPR 2011-1(HMT)	2	\$2,000	\$2,000	\$2,000	12/22/2011	
ZHTS 2010-2(HMT)	2	\$15,000	\$15,000	\$10,500	02/20/2012	
ZHVC 2012-1(HMT)	1	\$2,000	\$2,000	\$2,000	05/07/2012	
ZHVC 2012-2(HMT)	1	\$7,500	\$7,500	\$7,500	05/07/2012	
ZHWE 2010-2(HMT)	1	\$5,000	\$5,000	\$5,000	02/10/2012	
ZHWH 2011-1(HMT)	1	\$5,000	\$5,000	\$3,500	10/20/2011	
ZIAG 2012-1(HMT)	1	\$7,500	\$7,500	\$6,000	04/18/2012	
ZIBO 2012-1(HMT)	1	\$10,000	\$10,000	\$7,000	05/31/2012	
ZIBS 2011-1(HMT)	1	\$5,000	\$5,000	\$5,000	11/01/2011	
ZICE 2011-1(HMT)	1	\$1,000	\$1,000	\$1,000	10/17/2011	
ZICE 2011-2(HMT)	1	\$2,000	\$2,000	\$1,200	02/02/2012	
ZICH 2006-1(HMT)	7	\$35,000	\$0	\$0	12/02/2011	Case Terminated.
ZICH 2006-2(HMT)	1	\$5,000	\$0	\$0	12/02/2011	Case Terminated.
ZICH 2011-1(HMT)	1	\$5,000	\$5,000	\$3,000	11/30/2011	
ZICH 2011-2(HMT)	1	\$5,000	\$5,000	\$3,000	11/30/2011	
ZIEN 2012-1(HMT)	1	\$2,500	\$2,500	\$1,750	07/16/2012	
ZIES 2011-1(HMT)	1	\$10,000	\$10,000	\$10,000	02/15/2012	
ZIM 2012-1(HMT)	1	\$5,000	\$5,000	\$3,500	06/07/2012	
ZIMA 2011-1(HMT)	1	\$2,000	\$2,000	\$1,100	10/19/2011	
ZIMO 2012-1(HMT)	1	\$5,000	\$5,000	\$3,750	09/26/2012	
ZIMO 2012-2(HMT)	1	\$5,000	\$5,000	\$3,750	09/26/2012	
ZIMO 2012-3(HMT)	1	\$2,500	\$2,500	\$1,875	09/26/2012	
ZINTT 2011-3(HMT)	1	\$10,000	\$10,000	\$8,000	04/02/2012	
ZINTT 2012-1(HMT)	1	\$1,000	\$1,000	\$800	04/12/2012	
ZIOCO 2011-1(HMT)	1	\$5,000	\$5,000	\$4,000	11/17/2011	

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ZIOCO 2012-1(HMT)	1	\$5,000	\$5,000	\$3,750	04/12/2012	
ZIP 2011-2(HMT)	1	\$2,000	\$2,000	\$1,500	11/08/2011	
ZIP 2011-3(HMT)	1	\$2,000	\$2,000	\$2,000	12/27/2011	
ZIP 2012-1(HMT)	6	\$30,000	\$30,000	\$24,000	05/31/2012	
ZIP 2012-2(HMT)	1	\$2,000	\$2,000	\$2,000	05/11/2012	
ZIP 2012-3(HMT)	1	\$5,000	\$5,000	\$5,000	06/27/2012	
ZIPB 2011-1(HMT)	3	\$15,000	\$15,000	\$10,500	12/13/2011	
ZIPB 2011-2(HMT)	1	\$2,000	\$2,000	\$2,000	02/16/2012	
ZIPC 2012-1(HMT)	1	\$2,000	\$0	\$0	09/04/2012	Case Terminated.
ZIRO 2012-1(HMT)	2	\$7,000	\$7,000	\$6,000	07/20/2012	
ZISRV 2012-1(HMT)	1	\$10,000	\$10,000	\$3,500	07/23/2012	
ZITS 2012-1(HMT)	1	\$4,000	\$4,000	\$2,800	06/04/2012	
ZITT 2012-1(HMT)	1	\$5,000	\$5,000	\$3,500	09/27/2012	
ZIVS 2009-3(HMT)	1	\$5,000	\$5,000	\$3,625	10/17/2011	
ZIVS 2010-1(HMT)	1	\$5,000	\$5,000	\$3,625	10/17/2011	
ZIVS 2011-1(HMT)	1	\$2,000	\$2,000	\$1,250	10/17/2011	
ZIVS 2011-2(HMT)	1	\$10,000	\$10,000	\$8,000	10/17/2011	
ZIVS 2012-1(HMT)	1	\$10,000	\$10,000	\$7,500	03/28/2012	
ZJBH 2011-1(HMT)	1	\$7,500	\$7,500	\$7,500	02/08/2012	
ZJRS 2011-1(HMT)	1	\$10,000	\$10,000	\$7,000	02/28/2012	
ZJRS 2011-2(HMT)	2	\$10,000	\$10,000	\$6,000	02/28/2012	
ZJRS 2012-1(HMT)	1	\$2,000	\$2,000	\$2,000	09/12/2012	
ZJVE 2006-1(HMT)	2	\$10,000	\$0	\$0	05/16/2012	Case Terminated.
ZJVE 2011-1(HMT)	1	\$5,000	\$5,000	\$3,600	05/16/2012	
ZKAN 2006-1(HMT)	1	\$15,000	\$0	\$0	10/18/2011	Case Terminated.
ZKCCCT 2002-1(HMT)	4	\$22,500	\$0	\$0	10/18/2011	Case Terminated.
ZKDM 2011-1(HMT)	6	\$12,000	\$4,000	\$3,100	03/29/2012	Terminated Violation(s): 1.
ZKDM 2011-2(HMT)	2	\$4,000	\$4,000	\$2,800	08/21/2012	
ZKECA 2006-1(HMT)	1	\$10,000	\$0	\$0	10/18/2011	Case Terminated.
ZKEL 2009-1(HMT)	1	\$5,000	\$5,000	\$2,500	05/01/2012	
ZKEL 2011-1(HMT)	2	\$20,000	\$10,000	\$6,250	05/01/2012	Terminated Violation(s): 1.
ZKEM 2007-1(HMT)	3	\$15,000	\$0	\$0	11/14/2011	Case Terminated.
ZKEM 2008-1(HMT)	1	\$2,000	\$2,000	\$1,250	12/15/2011	
ZKEM 2010-1(HMT)	2	\$27,500	\$27,500	\$19,250	12/15/2011	
ZKFC 2009-1(HMT)	11	\$55,000	\$55,000	\$45,000	02/13/2012	
ZKING 2010-1(HMT)	1	\$2,000	\$2,000	\$1,650	12/13/2011	
ZKIR 2012-1(HMT)	1	\$2,500	\$0	\$0	06/18/2012	Case Terminated.
ZKKC 2011-2(HMT)	1	\$2,000	\$2,000	\$2,000	04/05/2012	
ZKKC 2012-1(HMT)	1	\$5,000	\$5,000	\$5,000	03/21/2012	
ZKKI 2006-1(HMT)	2	\$7,000	\$0	\$0	11/16/2011	Case Terminated.
ZKMB 2011-3(HMT)	1	\$10,000	\$10,000	\$5,500	03/29/2012	
ZKMCI 2005-1(HMT)	2	\$15,000	\$0	\$0	10/18/2011	Case Terminated.
ZKME 2008-1(HMT)	3	\$8,000	\$8,000	\$5,550	03/29/2012	
ZKME 2009-1(HMT)	1	\$5,000	\$5,000	\$4,000	03/29/2012	
ZKMI 2012-1(HMT)	1	\$2,000	\$2,000	\$2,000	03/19/2012	
ZKMI 2012-2(HMT)	1	\$5,000	\$5,000	\$5,000	04/02/2012	
ZKMJ 2012-1(HMT)	1	\$5,000	\$5,000	\$3,750	08/30/2012	
ZKMQ 2011-1(HMT)	1	\$5,000	\$5,000	\$4,000	03/29/2012	
ZKMQ 2012-1(HMT)	1	\$2,000	\$2,000	\$1,400	08/21/2012	

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ZKMQ 2012-2(HMT)	1	\$5,000	\$5,000	\$3,250	08/21/2012	
ZKMT 2010-1(HMT)	1	\$10,000	\$10,000	\$8,100	01/04/2012	
ZKMT 2010-3(HMT)	7	\$38,000	\$37,000	\$24,600	01/04/2012	Terminated Violation(s): 1.
ZKMT 2012-1(HMT)	1	\$5,000	\$5,000	\$5,000	07/30/2012	
ZKMT 2012-2(HMT)	2	\$10,500	\$10,500	\$10,500	07/30/2012	
ZKMX 2012-1(HMT)	1	\$5,000	\$2,000	\$1,750	08/02/2012	Partially Terminated Violation(s): 1.
ZKNC 2009-1(HMT)	1	\$10,000	\$10,000	\$7,000	02/13/2012	
ZKNC 2011-1(HMT)	1	\$10,000	\$10,000	\$7,000	05/14/2012	
ZKNW 2005-1(HMT)	1	\$2,000	\$0	\$0	10/18/2011	Case Terminated.
ZKOR 2008-1(HMT)	2	\$15,000	\$0	\$0	01/10/2012	Case Terminated.
ZKOR 2008-2(HMT)	1	\$2,000	\$2,000	\$1,250	02/06/2012	
ZKOR 2009-2(HMT)	2	\$8,000	\$8,000	\$4,750	02/06/2012	
ZKPI 2009-4(HMT)	2	\$20,000	\$20,000	\$15,000	11/03/2011	
ZKPI 2011-1(HMT)	1	\$3,000	\$3,000	\$1,800	11/03/2011	
ZKSI 2000-1(HMT)	2	\$15,000	\$0	\$0	10/18/2011	Case Terminated.
ZKUE 2007-1(HMT)	1	\$7,500	\$0	\$0	11/14/2011	Case Terminated.
ZKUSA 2011-1(HMT)	2	\$4,000	\$4,000	\$3,000	02/15/2012	
ZKWS 2011-2(HMT)	2	\$10,000	\$10,000	\$5,700	12/15/2011	
ZKWS 2011-3(HMT)	1	\$2,000	\$2,000	\$1,300	12/15/2011	
ZKWS 2011-4(HMT)	1	\$5,000	\$5,000	\$2,500	12/15/2011	
ZKWS 2012-1(HMT)	1	\$5,000	\$5,000	\$2,900	08/15/2012	
ZKYE 2012-1(HMT)	1	\$2,500	\$2,500	\$2,500	09/17/2012	
ZKYE 2012-2(HMT)	1	\$5,000	\$5,000	\$5,000	08/21/2012	
ZLAN 2011-1(HMT)	1	\$5,000	\$5,000	\$5,000	06/15/2012	
ZLBT 2011-1(HMT)	1	\$5,000	\$5,000	\$3,350	05/16/2012	
ZLCO 2011-1(HMT)	2	\$6,000	\$6,000	\$6,000	04/09/2012	
ZLDH 2010-1(HMT)	2	\$20,000	\$20,000	\$11,000	07/02/2012	
ZLFS 2010-1(HMT)	4	\$22,000	\$20,000	\$13,000	05/30/2012	Terminated Violation(s): 1.
ZLFZ 2010-1(HMT)	2	\$4,000	\$4,000	\$4,000	04/11/2012	
ZLHP 2011-1(HMT)	2	\$15,000	\$15,000	\$15,000	02/22/2012	
ZLOP 2011-1(HMT)	1	\$5,000	\$5,000	\$3,375	01/13/2012	
ZLSN 2012-1(HMT)	4	\$10,000	\$10,000	\$10,000	09/25/2012	
ZLTX 2011-1(HMT)	2	\$7,000	\$7,000	\$7,000	03/20/2012	
ZMAW 2008-1(HMT)	1	\$10,000	\$10,000	\$7,000	06/20/2012	
ZMCG 2010-1(HMT)	1	\$5,000	\$5,000	\$3,900	08/20/2012	
ZMCK 2011-1(HMT)	1	\$5,000	\$5,000	\$3,500	06/25/2012	
ZMCT 2008-1(HMT)	1	\$2,000	\$2,000	\$1,400	06/06/2012	
ZMEG 2011-2(HMT)	1	\$10,000	\$10,000	\$8,000	12/06/2011	
ZMER 2007-1(HMT)	1	\$10,000	\$0	\$0	06/05/2012	Case Terminated.
ZMERL 2010-1(HMT)	1	\$10,000	\$10,000	\$7,400	06/14/2012	
ZMFQ 2011-1(HMT)	2	\$2,000	\$2,000	\$1,500	09/04/2012	
ZMFQ 2011-2(HMT)	1	\$5,000	\$5,000	\$3,500	09/04/2012	
ZMGP 2012-1(HMT)	1	\$10,000	\$10,000	\$3,900	08/20/2012	
ZMGP 2012-2(HMT)	1	\$2,500	\$2,500	\$1,750	06/13/2012	
ZMGP 2012-3(HMT)	1	\$5,000	\$5,000	\$3,000	09/24/2012	
ZMGU 2012-1(HMT)	1	\$2,500	\$2,500	\$2,500	05/07/2012	
ZMIQ 2011-1(HMT)	1	\$5,000	\$5,000	\$4,200	06/29/2012	
ZMMM 2011-1(HMT)	1	\$5,000	\$5,000	\$5,000	03/15/2012	
ZMMPL 2011-2(HMT)	3	\$30,000	\$30,000	\$24,525	07/12/2012	

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ZMNB 2012-1(HMT)	1	\$2,000	\$2,000	\$1,600	04/04/2012	
ZMNE 2012-1(HMT)	2	\$4,000	\$4,000	\$4,000	06/11/2012	
ZMNP 2011-2(HMT)	1	\$2,000	\$2,000	\$2,000	03/12/2012	
ZMNS 2011-1(HMT)	7	\$52,500	\$52,500	\$10,500	07/23/2012	
ZMNT 2008-1(HMT)	1	\$10,000	\$10,000	\$8,200	06/12/2012	
ZMNT 2011-2(HMT)	1	\$10,000	\$10,000	\$7,300	06/12/2012	
ZMOM 2012-1(HMT)	1	\$10,000	\$10,000	\$7,500	05/22/2012	
ZMPG 2008-1(HMT)	1	\$5,000	\$5,000	\$2,600	03/21/2012	
ZMPS 2007-1(HMT)	1	\$2,500	\$0	\$0	07/12/2012	Case Terminated.
ZMPT 2011-1(HMT)	4	\$12,500	\$12,500	\$12,500	01/04/2012	
ZMQE 2012-1(HMT)	1	\$10,000	\$10,000	\$6,600	05/01/2012	
ZMRE 2009-1(HMT)	1	\$2,000	\$2,000	\$1,400	06/07/2012	
ZMROC 2011-1(HMT)	1	\$2,000	\$2,000	\$2,000	03/12/2012	
ZMRS 2012-1(HMT)	1	\$10,000	\$10,000	\$7,800	04/11/2012	
ZMTE 2010-1(HMT)	1	\$5,000	\$0	\$0	07/16/2012	Case Terminated.
ZMTS 2008-1(HMT)	1	\$2,000	\$2,000	\$1,000	03/19/2012	
ZMUR 2011-2(HMT)	1	\$10,000	\$10,000	\$7,500	05/23/2012	
ZMUS 2009-1(HMT)	1	\$7,500	\$7,500	\$3,800	06/20/2012	
ZMUS 2011-1(HMT)	1	\$5,000	\$5,000	\$3,400	06/20/2012	
ZMUSK 2011-3(HMT)	2	\$20,000	\$20,000	\$20,000	12/08/2011	
ZMUSK 2012-1(HMT)	1	\$5,000	\$5,000	\$5,000	05/16/2012	
ZMUSK 2012-2(HMT)	1	\$2,000	\$2,000	\$2,000	05/20/2012	
ZMUSK 2012-3(HMT)	7	\$14,000	\$14,000	\$14,000	08/06/2012	
ZMUSK 2012-4(HMT)	1	\$10,000	\$10,000	\$10,000	09/25/2012	
ZMUT 2011-1(HMT)	1	\$5,000	\$5,000	\$4,200	06/29/2012	
ZMXF 2010-1(HMT)	1	\$5,000	\$5,000	\$3,000	07/25/2012	
ZNAL 2011-2(HMT)	2	\$4,000	\$4,000	\$3,075	12/12/2011	
ZNAL 2011-3(HMT)	1	\$2,500	\$2,500	\$1,925	12/12/2011	
ZNBA 2011-1(HMT)	2	\$15,000	\$15,000	\$15,000	05/06/2012	
ZNDK 2011-2(HMT)	1	\$10,000	\$10,000	\$7,200	04/22/2012	
ZNDK 2011-3(HMT)	2	\$10,000	\$10,000	\$7,000	04/22/2012	
ZNDM 2011-3(HMT)	1	\$5,000	\$5,000	\$5,000	01/23/2012	
ZNDP 2011-1(HMT)	1	\$4,000	\$4,000	\$4,000	02/22/2012	
ZNDP 2012-1(HMT)	3	\$22,500	\$22,500	\$22,500	03/20/2012	
ZNDP 2012-2(HMT)	1	\$10,000	\$10,000	\$10,000	09/13/2012	
ZNOS 2006-1(HMT)	1	\$7,500	\$7,500	\$600	01/03/2012	
ZNOS 2006-2(HMT)	1	\$2,000	\$2,000	\$1,500	01/03/2012	
ZNOS 2007-1(HMT)	1	\$10,000	\$10,000	\$8,000	01/03/2012	
ZNOS 2008-1(HMT)	1	\$10,000	\$10,000	\$8,000	01/03/2012	
ZNOS 2008-2(HMT)	1	\$5,000	\$5,000	\$4,000	01/03/2012	
ZNOS 2009-1(HMT)	1	\$10,000	\$10,000	\$8,000	01/03/2012	
ZNOV 2012-1(HMT)	1	\$5,000	\$5,000	\$5,000	05/03/2012	
ZNPA 2011-2(HMT)	1	\$5,000	\$5,000	\$5,000	10/20/2011	
ZNSE 2012-1(HMT)	1	\$2,000	\$2,000	\$2,000	05/09/2012	
ZNSE 2012-2(HMT)	1	\$2,000	\$2,000	\$2,000	07/23/2012	
ZNSG 2011-1(HMT)	1	\$2,000	\$2,000	\$2,000	02/16/2012	
ZNSL 2011-1(HMT)	1	\$5,000	\$5,000	\$3,750	03/08/2012	
ZNUC 2005-1(HMT)	2	\$12,000	\$0	\$0	11/16/2011	Case Terminated.
ZNUC 2006-1(HMT)	1	\$7,500	\$0	\$0	11/16/2011	Case Terminated.

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ZNUC 2007-2(HMT)	1	\$5,000	\$5,000	\$4,000	11/16/2011	
ZNUC 2011-1(HMT)	1	\$5,000	\$5,000	\$4,100	11/16/2011	
ZNUC 2011-2(HMT)	3	\$6,500	\$6,500	\$5,400	11/16/2011	
ZNUS 2011-1(HMT)	1	\$2,000	\$2,000	\$2,000	01/31/2012	
ZNYT 2012-1(HMT)	1	\$2,000	\$2,000	\$2,000	05/24/2012	
ZOBC 2001-1(HMT)	1	\$15,000	\$15,000	\$474	12/20/2011	Should be \$474.14.
ZOBC 2002-1(HMT)	3	\$9,500	\$9,500	\$466	12/20/2011	IN BANKRUPTCY. Closed for \$466.73.
ZOCC 2011-3(HMT)	1	\$7,500	\$7,500	\$4,500	01/20/2012	
ZOCC 2011-4(HMT)	1	\$5,000	\$5,000	\$3,600	01/20/2012	
ZOCC 2011-5(HMT)	2	\$15,000	\$15,000	\$10,000	06/11/2012	
ZOCC 2011-6(HMT)	2	\$10,000	\$10,000	\$6,000	06/11/2012	
ZOCC 2011-7(HMT)	2	\$10,000	\$10,000	\$6,000	06/11/2012	
ZOCC 2012-1(HMT)	1	\$5,000	\$5,000	\$2,500	06/11/2012	
ZOCC 2012-2(HMT)	1	\$7,500	\$7,500	\$4,000	06/11/2012	
ZOGS 2012-1(HMT)	1	\$2,000	\$2,000	\$2,000	07/18/2012	
ZOKH 2012-1(HMT)	1	\$5,000	\$5,000	\$5,000	02/17/2012	
ZOLC 2012-1(HMT)	1	\$5,000	\$5,000	\$4,000	03/19/2012	
ZOLI 2012-1(HMT)	2	\$11,000	\$11,000	\$8,600	09/14/2012	
ZORI 2012-1(HMT)	4	\$8,000	\$8,000	\$5,600	03/28/2012	
ZORI 2012-2(HMT)	1	\$10,000	\$10,000	\$8,500	04/26/2012	
ZOTA 2008-1(HMT)	2	\$25,000	\$25,000	\$5,730	03/13/2012	Closing amounts \$2,292.12 and \$3,438.20 are stored as \$2292 and \$3,438.
ZOTA 2009-1(HMT)	1	\$5,000	\$5,000	\$1,146	03/13/2012	Closing amount \$1,146.07 is stored as \$1,146.
ZOTA 2010-1(HMT)	1	\$5,000	\$0	\$0	06/18/2012	Case Terminated.
ZOTER 2011-1(HMT)	1	\$2,000	\$2,000	\$2,000	10/20/2011	
ZOTER 2011-2(HMT)	1	\$10,000	\$10,000	\$10,000	02/01/2012	
ZOTT 2011-2(HMT)	3	\$6,000	\$6,000	\$5,100	01/03/2012	
ZOTT 2012-1(HMT)	1	\$10,000	\$10,000	\$8,400	01/30/2012	
ZOTT 2012-2(HMT)	2	\$10,000	\$5,000	\$3,000	02/23/2012	Terminated Violation(s): 1.
ZOTT 2012-3(HMT)	1	\$10,000	\$10,000	\$7,000	08/14/2012	
ZOTT 2012-4(HMT)	2	\$20,000	\$20,000	\$14,000	09/26/2012	
ZPAF 2011-1(HMT)	1	\$5,000	\$5,000	\$3,750	03/18/2012	
ZPAR 2011-1(HMT)	1	\$5,000	\$5,000	\$3,600	04/10/2012	
ZPBA 2009-1(HMT)	1	\$5,000	\$5,000	\$3,500	05/16/2012	
ZPBA 2011-1(HMT)	1	\$5,000	\$5,000	\$3,600	05/16/2012	
ZPBC 2008-4(HMT)	1	\$2,000	\$2,000	\$1,400	05/09/2012	
ZPG 2011-2(HMT)	1	\$7,500	\$7,500	\$5,625	01/18/2012	
ZPGI 2011-1(HMT)	1	\$5,000	\$5,000	\$3,900	12/19/2011	
ZPGW 2011-1(HMT)	1	\$5,000	\$5,000	\$3,750	12/27/2011	
ZPHC 2002-2(HMT)	1	\$2,500	\$0	\$0	01/18/2012	Case Terminated.
ZPHO 2011-1(HMT)	1	\$2,000	\$2,000	\$2,000	11/29/2011	
ZPHP 2012-1(HMT)	1	\$5,000	\$5,000	\$3,500	05/07/2012	
ZPJC 2012-1(HMT)	1	\$10,000	\$10,000	\$10,000	04/26/2012	
ZPKG 2012-1(HMT)	1	\$5,000	\$5,000	\$5,000	04/05/2012	
ZPNK 2011-1(HMT)	2	\$10,000	\$10,000	\$7,500	11/10/2011	
ZPNR 2011-1(HMT)	1	\$5,000	\$5,000	\$3,900	11/21/2011	
ZPOI 2003-1(HMT)	2	\$5,000	\$0	\$0	01/18/2012	Case Terminated.

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ZPPG 2009-4(HMT)	3	\$30,000	\$0	\$0	04/10/2012	Case Terminated.
ZPPG 2010-2(HMT)	2	\$10,000	\$10,000	\$6,500	03/18/2012	
ZPPG 2010-3(HMT)	1	\$5,000	\$5,000	\$3,650	03/18/2012	
ZPPG 2011-1(HMT)	1	\$6,000	\$6,000	\$4,560	03/18/2012	
ZPPG 2011-2(HMT)	1	\$10,000	\$10,000	\$7,600	03/18/2012	
ZPPG 2011-3(HMT)	1	\$10,000	\$10,000	\$8,000	03/18/2012	
ZPPG 2011-4(HMT)	2	\$10,000	\$10,000	\$7,600	03/18/2012	
ZPPG 2011-5(HMT)	1	\$5,000	\$5,000	\$3,800	03/18/2012	
ZPPG 2011-6(HMT)	1	\$15,000	\$15,000	\$10,000	03/18/2012	
ZPPG 2011-7(HMT)	1	\$10,000	\$10,000	\$6,900	03/18/2012	
ZPPG 2012-1(HMT)	1	\$5,000	\$5,000	\$3,500	03/18/2012	
ZPRF 2011-1(HMT)	1	\$5,000	\$5,000	\$3,700	11/21/2011	
ZPRX 2011-4(HMT)	1	\$10,000	\$10,000	\$10,000	01/04/2012	
ZPSCH 2004-1(HMT)	1	\$10,000	\$0	\$0	01/18/2012	Case Terminated.
ZPTRQ 2009-1(HMT)	1	\$10,000	\$10,000	\$7,200	02/28/2012	
ZPTRQ 2010-1(HMT)	1	\$2,000	\$2,000	\$1,400	02/28/2012	
ZPVB 2012-1(HMT)	1	\$5,000	\$5,000	\$5,000	06/06/2012	
ZPVR 2012-1(HMT)	2	\$10,000	\$10,000	\$7,000	04/12/2012	
ZPWC 2007-1(HMT)	1	\$4,000	\$0	\$0	03/19/2012	Case Terminated.
ZPWC 2009-1(HMT)	3	\$10,000	\$10,000	\$7,400	02/24/2012	
ZPYC 2012-1(HMT)	1	\$7,500	\$7,500	\$7,500	02/27/2012	
ZQCR 2004-1(HMT)	1	\$2,000	\$0	\$0	03/15/2012	Case Terminated.
ZQCR 2005-1(HMT)	1	\$2,000	\$0	\$0	03/15/2012	Case Terminated.
ZQCR 2006-1(HMT)	1	\$2,000	\$0	\$0	03/15/2012	Case Terminated.
ZQCR 2006-2(HMT)	1	\$2,000	\$0	\$0	03/15/2012	Case Terminated.
ZQCR 2007-1(HMT)	1	\$1,000	\$0	\$0	03/15/2012	Case Terminated.
ZQCR 2007-2(HMT)	2	\$9,000	\$9,000	\$1,000	07/18/2012	
ZQCR 2007-3(HMT)	1	\$7,500	\$7,500	\$500	07/18/2012	
ZQCR 2012-1(HMT)	1	\$2,500	\$2,500	\$2,500	08/16/2012	
ZQKS 2011-1(HMT)	1	\$5,000	\$5,000	\$4,250	07/31/2012	
ZQRS 2008-1(HMT)	8	\$35,500	\$28,000	\$2,000	06/27/2012	Terminated Violation(s): 4,5,8.
ZRAS 2012-1(HMT)	2	\$5,000	\$5,000	\$5,000	06/06/2012	
ZRCA 2011-2(HMT)	1	\$10,000	\$10,000	\$10,000	04/12/2012	
ZRCA 2012-1(HMT)	1	\$2,500	\$2,500	\$2,500	06/22/2012	
ZRCH 2011-1(HMT)	1	\$5,000	\$5,000	\$3,250	08/23/2012	
ZRCQ 2011-1(HMT)	1	\$5,000	\$5,000	\$4,250	04/23/2012	
ZRCQ 2011-2(HMT)	1	\$5,000	\$5,000	\$3,750	04/23/2012	
ZREY 2012-1(HMT)	1	\$3,000	\$3,000	\$2,250	09/27/2012	
ZRGZ 2011-1(HMT)	4	\$8,000	\$8,000	\$8,000	11/09/2011	
ZRHI 2010-1(HMT)	1	\$5,000	\$5,000	\$4,000	05/31/2012	
ZRHI 2011-1(HMT)	1	\$5,000	\$5,000	\$4,000	05/31/2012	
ZRKT 2011-2(HMT)	1	\$4,000	\$4,000	\$4,000	11/09/2011	
ZRKT 2011-3(HMT)	1	\$2,000	\$2,000	\$1,800	04/12/2012	
ZRNC 2011-1(HMT)	2	\$9,000	\$9,000	\$6,500	06/22/2012	
ZRPF 2011-1(HMT)	1	\$5,000	\$5,000	\$4,000	12/08/2011	
ZRPL 2011-1(HMT)	2	\$4,000	\$4,000	\$2,700	06/14/2012	
ZRSH 2010-1(HMT)	1	\$2,000	\$2,000	\$1,350	04/02/2012	
ZRTE 2011-1(HMT)	1	\$5,000	\$5,000	\$5,000	11/09/2011	
ZRTE 2012-1(HMT)	1	\$2,500	\$2,500	\$2,500	08/22/2012	

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ZRTF 2010-1(HMT)	1	\$2,000	\$2,000	\$1,750	05/25/2012	
ZSAB 2008-1(HMT)	6	\$12,000	\$12,000	\$6,000	04/14/2012	
ZSAB 2011-1(HMT)	1	\$5,000	\$5,000	\$3,250	05/03/2012	
ZSAM 2012-1(HMT)	1	\$5,000	\$5,000	\$3,000	09/14/2012	
ZSASN 2011-1(HMT)	2	\$11,500	\$11,500	\$11,500	11/17/2011	
ZSASN 2012-1(HMT)	2	\$7,000	\$7,000	\$7,000	02/16/2012	
ZSBL 2012-1(HMT)	1	\$5,000	\$5,000	\$2,500	02/13/2012	
ZSBR 2008-1(HMT)	1	\$7,500	\$0	\$0	08/30/2012	Case Terminated.
ZSBS 2011-1(HMT)	1	\$2,000	\$2,000	\$1,400	02/13/2012	
ZSCA 2010-2(HMT)	4	\$22,000	\$22,000	\$22,000	06/15/2012	
ZSCC 2010-5(HMT)	1	\$5,000	\$5,000	\$3,500	06/15/2012	
ZSCC 2010-6(HMT)	1	\$5,000	\$5,000	\$3,500	09/12/2012	
ZSCC 2010-7(HMT)	1	\$10,000	\$10,000	\$6,500	09/12/2012	
ZSCC 2010-8(HMT)	1	\$5,000	\$5,000	\$3,500	06/15/2012	
ZSCC 2010-9(HMT)	1	\$10,000	\$10,000	\$6,500	06/15/2012	
ZSCC 2011-2(HMT)	1	\$10,000	\$10,000	\$10,000	01/17/2012	
ZSCC 2012-1(HMT)	2	\$12,500	\$12,500	\$12,500	06/15/2012	
ZSCP 2012-1(HMT)	1	\$5,000	\$5,000	\$4,000	02/28/2012	
ZSCPI 2011-1(HMT)	1	\$10,000	\$10,000	\$7,000	02/06/2012	
ZSCT 2004-1(HMT)	1	\$5,000	\$0	\$0	11/10/2011	Case Terminated.
ZSDB 2012-1(HMT)	1	\$2,000	\$2,000	\$1,000	07/18/2012	
ZSDE 2007-1(HMT)	1	\$10,000	\$0	\$0	03/05/2012	Case Terminated.
ZSDG 2008-1(HMT)	11	\$22,000	\$22,000	\$5,000	04/02/2012	
ZSEQ 2006-1(HMT)	2	\$10,000	\$0	\$0	11/10/2011	Case Terminated.
ZSEU 2010-3(HMT)	1	\$10,000	\$10,000	\$8,000	12/14/2011	
ZSEU 2010-4(HMT)	1	\$10,000	\$10,000	\$8,000	12/14/2011	
ZSEU 2011-1(HMT)	1	\$10,000	\$10,000	\$8,000	12/14/2011	
ZSEU 2011-2(HMT)	1	\$10,000	\$10,000	\$8,000	12/14/2011	
ZSEU 2011-3(HMT)	4	\$14,000	\$14,000	\$11,200	12/14/2011	
ZSEY 2008-1(HMT)	1	\$2,500	\$2,500	\$1,900	03/23/2012	
ZSEY 2009-1(HMT)	1	\$2,500	\$0	\$0	03/20/2012	Case Terminated.
ZSFI 2011-1(HMT)	1	\$5,000	\$5,000	\$3,800	02/27/2012	
ZSGA 2003-1(HMT)	27	\$192,500	\$0	\$0	01/11/2012	Case Terminated.
ZSGU 2007-1(HMT)	1	\$5,000	\$0	\$0	03/05/2012	Case Terminated.
ZSGU 2011-1(HMT)	1	\$2,500	\$2,500	\$2,500	01/30/2012	
ZSGW 2011-1(HMT)	1	\$2,000	\$2,000	\$1,200	11/10/2011	
ZSGX 2011-1(HMT)	6	\$21,000	\$13,500	\$10,000	12/07/2011	Partially Terminated Violation(s): 2.
ZSHEL 2011-1(HMT)	1	\$2,000	\$2,000	\$2,000	06/15/2012	
ZSHEL 2012-1(HMT)	1	\$4,000	\$4,000	\$4,000	04/02/2012	
ZSHH 2011-1(HMT)	1	\$10,000	\$10,000	\$6,000	05/15/2012	
ZSHIN 2008-1(HMT)	1	\$10,000	\$10,000	\$1,250	01/30/2012	
ZSHIN 2008-2(HMT)	1	\$2,000	\$2,000	\$1,250	01/30/2012	
ZSHIN 2009-1(HMT)	1	\$2,000	\$0	\$0	03/05/2012	Case Terminated.
ZSHIN 2011-1(HMT)	1	\$2,000	\$2,000	\$1,500	10/27/2011	
ZSHL 2011-1(HMT)	3	\$6,000	\$6,000	\$6,000	10/12/2011	
ZSHL 2011-2(HMT)	2	\$4,000	\$4,000	\$4,000	10/11/2011	
ZSHL 2011-3(HMT)	1	\$7,500	\$7,500	\$7,500	06/15/2012	
ZSHL 2012-1(HMT)	1	\$5,000	\$5,000	\$5,000	03/28/2012	
ZSHQ 2011-1(HMT)	1	\$2,000	\$2,000	\$2,000	01/10/2012	

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ZSHT 2009-1(HMT)	8	\$16,000	\$16,000	\$16,000	03/20/2012	
ZSI 2011-2(HMT)	1	\$2,000	\$2,000	\$2,000	11/02/2011	
ZSIL 2009-2(HMT)	5	\$25,000	\$25,000	\$25,000	03/12/2012	
ZSIM 2007-1(HMT)	1	\$2,000	\$0	\$0	03/05/2012	Case Terminated.
ZSIND 2012-1(HMT)	2	\$3,000	\$3,000	\$3,000	03/01/2012	
ZSIQ 2012-1(HMT)	1	\$2,000	\$2,000	\$2,000	06/07/2012	
ZSIQ 2012-2(HMT)	1	\$5,000	\$5,000	\$5,000	09/17/2012	
ZSIQ 2012-3(HMT)	1	\$5,000	\$5,000	\$5,000	09/17/2012	
ZSKG 2012-1(HMT)	1	\$2,000	\$2,000	\$2,000	07/05/2012	
ZSKI 2011-1(HMT)	1	\$5,000	\$5,000	\$5,000	03/22/2012	
ZSLO 2006-1(HMT)	1	\$10,000	\$0	\$0	11/10/2011	Case Terminated.
ZSLQ 2012-1(HMT)	5	\$10,000	\$10,000	\$5,000	08/02/2012	
ZSLU 2012-1(HMT)	2	\$4,000	\$4,000	\$4,000	03/30/2012	
ZSMC 2011-1(HMT)	2	\$4,000	\$4,000	\$4,000	01/30/2012	
ZSMC 2011-2(HMT)	3	\$6,000	\$6,000	\$6,000	01/30/2012	
ZSMM 2011-1(HMT)	1	\$2,000	\$2,000	\$2,000	10/27/2011	
ZSMP 2008-1(HMT)	1	\$2,000	\$2,000	\$1,000	04/02/2012	
ZSMP 2008-2(HMT)	2	\$6,500	\$6,500	\$3,250	04/02/2012	
ZSMS 2012-1(HMT)	4	\$8,000	\$0	\$0	04/02/2012	Case Terminated.
ZSNI 2011-1(HMT)	1	\$5,000	\$5,000	\$4,000	12/02/2011	
ZSNI 2011-2(HMT)	1	\$10,000	\$10,000	\$10,000	02/16/2012	
ZSNOC 2007-1(HMT)	1	\$3,000	\$0	\$0	08/30/2012	Case Terminated.
ZSNOC 2009-1(HMT)	1	\$5,000	\$5,000	\$2,500	08/29/2012	
ZSNPR 2012-1(HMT)	1	\$5,000	\$0	\$0	09/12/2012	Case Terminated.
ZSNWO 2011-1(HMT)	1	\$5,000	\$5,000	\$5,000	10/20/2011	
ZSOC 2010-2(HMT)	1	\$10,000	\$10,000	\$5,000	06/15/2012	
ZSOC 2012-1(HMT)	1	\$2,000	\$2,000	\$2,000	06/15/2012	
ZSPB 2011-1(HMT)	2	\$15,000	\$15,000	\$15,000	04/26/2012	
ZSPX 2011-1(HMT)	1	\$2,000	\$2,000	\$1,300	01/31/2012	
ZSRR 2007-1(HMT)	2	\$10,000	\$0	\$0	11/10/2011	Case Terminated.
ZSSCO 2007-1(HMT)	1	\$10,000	\$0	\$0	02/09/2012	Case Terminated.
ZSSCO 2007-3(HMT)	1	\$5,000	\$5,000	\$2,500	02/09/2012	
ZSSCO 2010-2(HMT)	1	\$1,000	\$1,000	\$700	02/09/2012	
ZSSCO 2010-3(HMT)	2	\$4,500	\$4,500	\$2,250	02/09/2012	
ZSSCO 2011-1(HMT)	1	\$4,000	\$4,000	\$3,000	02/09/2012	
ZSSCO 2011-2(HMT)	1	\$10,000	\$10,000	\$8,000	02/09/2012	
ZSSCO 2011-3(HMT)	1	\$10,000	\$10,000	\$7,500	02/09/2012	
ZSSP 2009-1(HMT)	1	\$5,000	\$5,000	\$2,500	03/07/2012	
ZSSV 2011-1(HMT)	1	\$3,000	\$3,000	\$2,100	12/14/2011	
ZSTE 2007-1(HMT)	1	\$10,000	\$0	\$0	06/07/2012	Case Terminated.
ZSTE 2007-2(HMT)	1	\$5,000	\$0	\$0	06/07/2012	Case Terminated.
ZSTE 2010-1(HMT)	1	\$2,500	\$2,500	\$2,000	12/09/2011	
ZSTJ 2009-1(HMT)	1	\$2,500	\$2,500	\$2,500	03/22/2012	
ZSTJ 2012-1(HMT)	1	\$5,000	\$0	\$0	08/10/2012	Case Terminated.
ZSTQ 2009-1(HMT)	1	\$10,000	\$10,000	\$5,000	04/02/2012	
ZSUI 2009-1(HMT)	1	\$5,000	\$5,000	\$1,500	03/13/2012	
ZSUI 2011-1(HMT)	1	\$5,000	\$5,000	\$2,500	10/19/2011	
ZSVA 2012-1(HMT)	3	\$3,000	\$3,000	\$1,800	03/08/2012	
ZSVC 2011-1(HMT)	1	\$5,000	\$5,000	\$3,750	10/21/2011	

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ZSVC 2011-2(HMT)	1	\$2,000	\$2,000	\$2,000	02/27/2012	
ZSVC 2012-1(HMT)	1	\$5,000	\$5,000	\$2,500	09/13/2012	
ZSWR 2011-1(HMT)	1	\$6,000	\$6,000	\$4,500	11/18/2011	
ZSWR 2012-1(HMT)	1	\$2,500	\$2,500	\$1,700	05/30/2012	
ZSYS 2006-1(HMT)	1	\$2,000	\$0	\$0	11/10/2011	Case Terminated.
ZSYS 2007-1(HMT)	1	\$5,000	\$5,000	\$800	02/02/2012	
ZSYS 2008-1(HMT)	1	\$15,000	\$15,000	\$5,000	02/02/2012	
ZSYS 2011-1(HMT)	2	\$3,000	\$3,000	\$2,000	02/01/2012	
ZTAM 2012-1(HMT)	4	\$8,000	\$8,000	\$8,000	03/27/2012	
ZTBY 2011-1(HMT)	2	\$10,000	\$10,000	\$10,000	11/03/2011	
ZTCF 2011-1(HMT)	1	\$2,000	\$2,000	\$2,000	12/06/2011	
ZTCQ 2012-1(HMT)	1	\$2,000	\$2,000	\$1,300	05/25/2012	
ZTFLO 2011-1(HMT)	1	\$5,000	\$5,000	\$0	03/23/2012	Case Terminated.
ZTI 2012-1(HMT)	1	\$7,500	\$7,500	\$5,000	09/13/2012	
ZTIF 2012-1(HMT)	1	\$10,000	\$10,000	\$10,000	04/17/2012	
ZTIL 2011-1(HMT)	2	\$20,000	\$20,000	\$20,000	12/16/2011	
ZTIL 2012-1(HMT)	1	\$5,000	\$5,000	\$5,000	05/09/2012	
ZTLY 2011-1(HMT)	1	\$2,000	\$2,000	\$2,000	10/24/2011	
ZTMT 2011-2(HMT)	7	\$14,000	\$14,000	\$9,625	05/16/2012	
ZTMT 2012-1(HMT)	1	\$2,000	\$2,000	\$1,375	05/16/2012	
ZTNX 2011-2(HMT)	1	\$5,000	\$5,000	\$5,000	12/07/2011	
ZTNX 2012-1(HMT)	1	\$5,000	\$5,000	\$5,000	06/14/2012	
ZTPU 2012-1(HMT)	1	\$2,000	\$2,000	\$2,000	09/13/2012	
ZTQT 2012-1(HMT)	2	\$10,000	\$10,000	\$10,000	09/05/2012	
ZTRN 2011-1(HMT)	1	\$5,000	\$5,000	\$5,000	03/14/2012	
ZTSB 2012-1(HMT)	4	\$8,000	\$8,000	\$6,000	04/25/2012	
ZTSZ 2006-1(HMT)	2	\$7,500	\$0	\$0	12/06/2011	Case Terminated.
ZTTS 2011-2(HMT)	1	\$5,000	\$5,000	\$5,000	11/22/2011	
ZTXL 2012-1(HMT)	3	\$15,000	\$15,000	\$15,000	09/06/2012	
ZTXM 2012-1(HMT)	1	\$5,000	\$5,000	\$3,500	05/29/2012	
ZTXM 2012-2(HMT)	1	\$5,000	\$5,000	\$3,500	05/29/2012	
ZUCL 2011-1(HMT)	1	\$2,000	\$2,000	\$2,000	03/06/2012	
ZUMQ 2012-1(HMT)	1	\$10,000	\$10,000	\$7,000	02/22/2012	
ZUNC 2007-2(HMT)	1	\$10,000	\$10,000	\$8,000	02/03/2012	
ZUNC 2011-1(HMT)	1	\$5,000	\$5,000	\$3,750	02/03/2012	
ZUNIV 2010-3(HMT)	2	\$9,500	\$9,500	\$9,500	04/02/2012	
ZUNIV 2012-1(HMT)	1	\$5,000	\$5,000	\$3,000	07/30/2012	
ZUNR 2011-1(HMT)	2	\$4,000	\$4,000	\$2,300	02/28/2012	
ZUPI 2010-1(HMT)	1	\$2,000	\$2,000	\$250	04/30/2012	
ZUPZ 2010-1(HMT)	2	\$9,000	\$9,000	\$6,000	01/31/2012	
ZUPZ 2011-1(HMT)	2	\$6,000	\$6,000	\$4,000	01/31/2012	
ZUPZ 2011-2(HMT)	1	\$10,000	\$10,000	\$6,000	01/31/2012	
ZUSEP 2011-1(HMT)	2	\$20,000	\$20,000	\$20,000	01/23/2012	
ZUTC 2009-6(HMT)	5	\$32,500	\$32,500	\$19,625	09/28/2012	
ZUTC 2012-1(HMT)	1	\$8,000	\$8,000	\$6,000	09/28/2012	
ZUTC 2012-2(HMT)	2	\$7,500	\$7,500	\$4,875	09/28/2012	
ZUTC 2012-3(HMT)	1	\$7,500	\$7,500	\$5,625	09/28/2012	
ZUTN 2010-2(HMT)	1	\$2,500	\$2,500	\$1,750	09/28/2012	
ZUUS 2011-1(HMT)	1	\$7,500	\$7,500	\$4,125	07/25/2012	

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ZVFT 2011-1(HMT)	1	\$2,000	\$2,000	\$2,000	10/27/2011	
ZVGT 2011-1(HMT)	1	\$4,000	\$4,000	\$4,000	03/19/2012	
ZVIP 2008-1(HMT)	2	\$7,000	\$7,000	\$4,200	11/04/2011	
ZVIP 2011-1(HMT)	5	\$10,000	\$10,000	\$10,000	11/04/2011	
ZVNG 2010-1(HMT)	2	\$5,000	\$5,000	\$500	01/12/2012	
ZVPR 2011-1(HMT)	1	\$5,000	\$5,000	\$3,000	02/06/2012	
ZVRI 2009-1(HMT)	1	\$4,000	\$4,000	\$2,500	02/06/2012	
ZVSI 2010-1(HMT)	1	\$7,500	\$7,500	\$5,000	02/08/2012	
ZVSS 2008-1(HMT)	1	\$5,000	\$5,000	\$4,000	05/02/2012	
ZVSS 2011-1(HMT)	2	\$4,000	\$4,000	\$2,600	05/02/2012	
ZVTZ 2011-1(HMT)	1	\$7,500	\$7,500	\$6,000	02/03/2012	
ZVYE 2007-1(HMT)	1	\$1,000	\$1,000	\$750	05/16/2012	
ZWBR 2012-1(HMT)	1	\$7,500	\$7,500	\$4,000	07/18/2012	Complete lack of HMT info on shipping papers = \$7,500.
ZWCA 2006-2(HMT)	1	\$5,000	\$5,000	\$1,000	08/22/2012	
ZWCA 2012-1(HMT)	1	\$7,500	\$7,500	\$5,000	08/16/2012	
ZWEB 2012-1(HMT)	1	\$2,000	\$2,000	\$2,000	03/19/2012	
ZWET 2011-1(HMT)	2	\$15,000	\$15,000	\$8,250	09/18/2012	
ZWOC 2011-1(HMT)	1	\$2,000	\$2,000	\$1,500	01/10/2012	
ZWOC 2012-1(HMT)	1	\$1,000	\$1,000	\$650	03/08/2012	
ZWRG 2009-1(HMT)	1	\$2,000	\$2,000	\$1,200	03/06/2012	
ZWRG 2010-1(HMT)	1	\$5,000	\$5,000	\$3,750	03/06/2012	
ZWRG 2012-1(HMT)	1	\$10,000	\$10,000	\$7,500	03/06/2012	
ZWST 2011-2(HMT)	4	\$8,000	\$8,000	\$8,000	10/18/2011	
ZWTD 2011-1(HMT)	1	\$2,500	\$0	\$0	02/16/2012	Case Terminated.
ZWVCI 2011-1(HMT)	1	\$7,500	\$7,500	\$7,500	02/07/2012	
ZXST 2012-1(HMT)	3	\$15,000	\$15,000	\$12,000	08/24/2012	
ZYMP 2010-1(HMT)	1	\$2,500	\$0	\$0	08/08/2012	Case Terminated.
ZZAC 2010-1(HMT)	1	\$2,500	\$2,500	\$1,500	07/23/2012	
ZZAC 2010-2(HMT)	1	\$2,000	\$2,000	\$1,200	07/23/2012	
ZZIM 2002-1(HMT)	2	\$12,000	\$0	\$0	11/21/2011	Case Terminated.
ZZIM 2002-2(HMT)	5	\$30,000	\$0	\$0	11/21/2011	Case Terminated.
Total	7,155	\$26,666,000	\$23,952,000	\$16,568,509		

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ABS	Alabama Southern Railroad
ABWR	Alabama Warrior Railway, LLC.
ADBF	ADRIAN & BLISSFIELD RAILROAD CO.
AERC	ALBANY AND EASTERN RAILROAD COMPANY
AGR	Alabama & Gulf Coast Railway LLC
ALM	ARKANSAS LOUISIANA & MISSISSIPPI RAILROAD
ALS	The Alton and Southern Railway Company
APRR	ALBANY PORT RAILROAD CORPORATION
ARR	ALASKA RAILROAD CORPORATION
ATK	National Railroad Passenger Corporation
AWRR	AUSTIN WESTERN RAILROAD
AZER	ARIZONA EASTERN RAILWAY
BAYL	BAY LINE Railroad
BCR	Bay Coast Railroad
BDTL	BALLARD TERMINAL RAILROAD
BJRY	BURLINGTON JUNCTION RAILWAY
BLOL	BLOOMER SHIPPERS CONNECTING RAILROAD CO.
BM	BOSTON AND MAINE CORPORATION
BNSF	BNSF RAILWAY COMPANY
BRC	THE BELT RAILWAY COMPANY OF CHICAGO
BVRR	Boise Valley Railroad, Inc.
CA	CHESAPEAKE & ALBEMARLE RAILROAD COMPANY, INC.
CC	CHICAGO, CENTRAL & PACIFIC RAILROAD COMPANY
CCPN	Corpus Christi Terminal Railroad
CCT	CENTRAL CALIFORNIA TRACTION COMPANY
CFE	Chicago, Ft. Wayne & Eastern
CFNR	CALIFORNIA NORTHERN RAILROAD CO.
CIND	THE CENTRAL RAILROAD COMPANY OF INDIANA
CLNA	Carolina Coastal Railway, Inc.
CN	Canadian National Railway Company
CORP	CENTRAL OREGON & PACIFIC RAILROAD, INC.
CP	CANADIAN PACIFIC RAILWAY
CR	Consolidated Rail Corporation
CRSH	Consolidated Rail Corporation
CSCD	CASCADE AND COLUMBIA RIVER RAILROAD CO.
CSX	CSX TRANSPORTATION, INC.
CT	COLUMBIA TERMINALS RAILROAD COMPANY
CUOH	The Columbus & Ohio River Rail Road Co.
DGNO	Dallas, Garland and Northeastern Railroad, Inc.

Respondent

<u>Codes</u>	<u>Respondent Names</u>
DH	Delaware & Hudson Railway Co., Inc.
DME	Dakota, Minnesota & Eastern Railroad Co.
DMVW	DAKOTA MISSOURI VALLEY AND WESTERN
DQE	DEQUEEN AND EASTERN RAILROAD COMPANY
DSRC	DAKOTA SOUTHERN RAILWAY COMPANY
EIRR	Eastern Idaho Railroad
EJE	Elgin, Joliet & Eastern Railway Company
ELS	ESCANABA AND LAKE SUPERIOR RAILROAD CO.
ERAIL	ECONO-RAIL CORPORATION
ESWR	ESCALANTE WESTERN RAILWAY
EVWR	EVANSVILLE WESTERN RAILWAY, INC.
EWG	EASTERN WASHINGTON GATEWAY RAILROAD
FCRD	FIRST COAST RAILROAD, INC.
GC	GEORGIA CENTRAL RAILWAY
GDLK	GRAND ELK RAILROAD, LLC.
GFRR	GEORGIA AND FLORIDA RAILWAY, INC.
GIMY	GITM INTERMODAL YARD
GITM	GOLDEN ISLES TERMINAL RAILROAD
GNBC	GRAINBELT CORPORATION
GRLW	Greenville & Western Railway Company, LLC
GRNW	Great Northwest Railroad
GRR	GEORGETOWN RAILROAD COMPANY
GRYR	Grenada Railway, LLC.
GVSR	GALVESTON RAILWAY, INC.
GWR	GREAT WESTERN RAILWAY COMPANY
GWRC	GEORGIA WOODLANDS RAILROAD
HESR	HURON & EASTERN RAILWAY COMPANY, INC.
HRRC	HOUSATONIC RAILROAD COMPANY, INC.
IAIS	Iowa Interstate Railroad
IANR	IOWA NORTHERN RAILWAY COMPANY
IERR	Indiana Eastern Railroad LLC
IHB	INDIANA HARBOR BELT RAILROAD COMPANY
IM	IM Industry
IMRR	ILLINOIS & MIDLAND RAILROAD, INC.
IMSA	Intermodal Services of America
INRD	The Indiana Rail Road Company
IORY	INDIANA & OHIO RAILWAY COMPANY
IR	ILLINOIS RAILWAY
KAW	KAW River Railroad

Respondent

<u>Codes</u>	<u>Respondent Names</u>
KCS	The Kansas City Southern Railway Company
KFR	KETTLE FALLS INTERNATIONAL RAILWAY, LLC
KJR	Kiski Junction Railroad
KJRY	KEOKUK JUNCTION RAILWAY COMPANY
KO	Kansas & Oklahoma Railroad, Inc.
KRR	KIAMICHI RAILROAD CO., LLC
KWT	KWT Railway, Inc.
KXHR	Knoxville & Holston River Railroad Co.
KYLE	KYLE RAILROAD CO.
LAS	LOUISIANA SOUTHERN RAILROAD
LI	LONG ISLAND RAIL ROAD
LRWN	Little Rock & Western Railway, L.P.
LSI	Lake Superior & Ishpeming Railroad Company
MAUP	Port of Manatee
MAW	MAUMEE & WESTERN
MBAX	MASSACHUSETTS BAY COMMUTER RAILROAD
MDS	MERIDIAN SOUTHERN RAILWAY
MDW	MINNESOTA, DAKOTA AND WESTERN RAILWAY COMPANY
ME	MORRISTOWN AND ERIE RAILWAY, INCORPORATED
MEC	Maine Central Railroad Company
MET	Modesto and Empire Traction Company
MMT	Mission Mountain Railroad
MNA	MISSOURI & NORTHERN ARKANSAS RAILROAD CO., INC.
MNCW	Metro-North Commuter Railroad Company
MNNR	MINNESOTA COMMERCIAL RAILWAY
MQT	MARQUETTE RAIL, LLC
MRL	MONTANA RAIL LINK
MSE	MISSISSIPPI EXPORT RAILROAD COMPANY
MSN	Meeker Southern Railroad
MSO	MICHIGAN SOUTHERN RAILROAD
MUNX	MUNI MUNICIPAL TRANSPORTATION AGENCY
NCIR	NEW CASTLE INDUSTRIAL RAILROAD
NECR	NEW ENGLAND CENTRAL RAILROAD, INC.
NENE	NEBRASKA NORTHEASTERN RAILWAY COMPANY
NIRC	NORTHEAST ILLINOIS REGIONAL COMMUTER RAIL
NJTR	NEW JERSEY TRANSIT RAIL OPERATIONS
NMRX	NEW MEXICO DEPARTMENT OF TRANSPORTATION
NOPB	NEW ORLEANS PUBLIC BELT RAILROAD
NPB	Norfolk & Portsmouth Belt Line Railroad Company

Respondent

<u>Codes</u>	<u>Respondent Names</u>
NVRR	NAPA VALLEY RAILROAD
NYA	NEW YORK AND ATLANTIC RAILWAY COMPANY
NYSW	THE NEW YORK SUSQUEHANNA AND WESTERN RY. CORP.
OHCR	Ohio Central Railroad, Inc.
OSRR	Ohio Southern Railroad, Inc.
PAL	PADUCAH & LOUISVILLE RAILWAY COMPANY
PCC	Palouse River & Coulee City Railroad Inc.
PCMZ	CALTRAIN COMMUTER RAILROAD COMPANY
PHL	PACIFIC HARBOR LINE
PLVW	PORT OF LONGVIEW
PMSW	PLAINSMAN SWITCHING COMPANY
PNR	PANHANDLE NORTHERN
PNWR	PORTLAND AND WESTERN RAILROAD INC.
POHC	The Pittsburgh & Ohio Central Railroad Co.
POTB	PORT OF TILLAMOOK BAY RAILROAD
PPG	PITTSBURGH PLATE GLASS "OHIO"
PSAP	PUGET SOUND & PACIFIC RAILROAD
PSBX	THE PORT OF SHREVEPORT-BOSSIER
PSRR	PACIFIC SUN RAILROAD
PTO	PORTLAND TERMINAL (OREGON)
PTRA	PORT TERMINAL RAILROAD ASSOCIATION
PW	PROVIDENCE AND WORCESTER RR COMPANY
QRR	QUINCY RAILROAD COMPANY
RAIL	RAIL BRIDGE CORPORATION
RCSS	RailAmerica Contract Switching Services, Inc.
RJCM	R. J. CORMAN RAILROAD COMPANY
RJCP	R.J. Corman RR Co./Pennsylvania Lines Inc.
RJCW	R. J. Corman Railroad Company
RPRC	Richmond Pacific Railroad
RSIX	RAILSERVE, INC.
SAPT	SAVANNAH PORT TERMINAL RAILROAD
SASI	SPRIT AEROSYSTEMS
SBS	LAKE STATE RAILWAY COMPANY
SCAX	Southern California Regional Rail Authority
SCBG	SANTA CRUZ, BIG TREE & PACIFIC RAILROAD
SCRF	SOUTH CAROLINA CENTRAL RAILROAD CO., LLC
SCXF	SOUTH CENTRAL FLORIDA EXPRESS, INC.
SCXY	ST. CROIX VALLEY RAILROAD
SEPA	Southeastern Pennsylvania Transportation Authority

Respondent

<u>Codes</u>	<u>Respondent Names</u>
SERA	SIERRA NORTHERN RAILWAY COMPANY
SFRV	SOUTH FLORIDA REGIONAL TRANSPORTATION AUTHORITY
SFS	SANTA FE SOUTHERN RAILWAY, INC.
SJVR	San Joaquin Valley Railroad Co.
SKOL	South Kansas and Oklahoma Railroad Company
SLAL	SOUTH PLAINS LAMESA RR, LTD.
SLR	ST. LAWRENCE & ATLANTIC RAILROAD COMPANY
SLRG	SAN LUIS & RIO GRANDE RAILROAD
SLRS	SMS RAIL SERVICE INC.
SLWC	Stillwater Central Railroad Co., Inc.
SM	St. Mary's Railroad Company
SMW	ST. MARY'S RAILWAY WEST LLC
SOM	SOMERSET RAILROAD COMPANY
SOU	Norfolk Southern Railway Company
SPSR	SAN PEDRO RAILROAD OPERATING CO. LLC
SRC	STRASBURG RAILROAD COMPANY
SRNJ	SOUTHERN RAILROAD CO. OF NEW JERSEY
SS	SAND SPRINGS RAILWAY COMPANY
ST	SPRINGFIELD TERMINAL RAILWAY COMPANY
TASD	TERMINAL RAILWAY ALABAMA STATE DOCKS
TCT	TEXAS CITY TERMINAL RAILWAY COMPANY
TCWR	Twin Cities & Western Railroad Company
TIBR	Timber Rock Railroad Company, Inc.
TMBL	TACOMA MUNICIPAL BELT LINE RAILWAY
TNMR	TEXAS & NEW MEXICO RAILWAY COMPANY
TPW	Toledo, Peoria and Western Railway Corp.
TRC	TRONA RAILWAY COMPANY
TRMW	TACOMA RAIL
TRRA	TERMINAL RAILROAD ASSOCIATION OF ST. LOUIS
TTR	Talleyrand Terminal Railroad
TXGN	TEXAS, GONZALES & NORTHERN RAILWAY COMPANY
TXNW	TEXAS NORTHWESTERN RAILWAY COMPANY
UFRC	UTA FRONTRUNNER COMMUTER RAIL
UP	Union Pacific Railroad Company
VREX	VIRGINIA RAILWAY EXPRESS
VSOR	VICKSBURG SOUTHERN RAILROAD
VST	V&S Railway Inc D/B/A Towner Railway
VTCX	VIRGINIA AND TRUCKEE COMPANY
WCOR	Wellsboro & Corning LLC

Respondent

<u>Codes</u>	<u>Respondent Names</u>
WE	WHEELING & LAKE ERIE RAILWAY COMPANY
WNYP	WESTERN NEW YORK & PENNSYLVANIA RAILROAD
WTLC	West Texas and Lubbock Railway Company
WTRM	The Warren & Trumbull Railroad Co.
XACO	Atlas Railroad Construction Company
XAKI	AKIMA INTRADATA
XAME	AMAIZING ENERGY
XARR	ARRO
XBRI	BALFOUR BEATTY RAIL, INC.
XCBP	Collins Bioenergy Partners, LLC
XCRO	CROSSTEX
XGBR	GREENBRIER RAIL SERVICES
XGWT	GATEWAY TERMINALS LLC
XHAG	HUSKER AG LLC
XHCC	HERZOG CONSTRUCTION CORP
XHHR	H & H RAILROAD CONSTRUCTION
XHSS	H & S CONSTRUCTION RAILROAD AND SALVAGE
XHTS	Herzog Transit Services, Inc.
XHZC	Herzog Railroad Services
XJJS	J & J Salvage, Inc.
XKSP	KapStone Charleston Kraft LLC
XLAS	LEMON AG SERVICES
XLDI	Lawrenceburg Distillers Indiana LLC
XMLC	The Marlin Company, Inc.
XMPS	MARTIN PRODUCT SALES, LLC
XPOC	Pizo Operating Company, LLC
XREL	Ricoh Electronics
XRPN	RAILPLAN INTERNATIONAL INC.
XSAF	Safety & Compliance Services, Inc.
XSNJ	SOUTHERN NEW JERSEY LIGHT RAIL GROUP
XSTK	SIMPSON TACOMA KRAFT COMPANY
XTTR	TIGER TRANSPORTATION LLC
XUCE	UNIVERSAL CYLINDER EXCHANGE
XURW	UNIVERSAL RAILWAY
XWKC	Wabtec Global Services Kansas City
XYRC	YRC Freight
YB	Youngstown Belt Railroad Co.
YRC	York Railway Company
YSVR	Yellowstone Valley Railroad, Inc.

Respondent

<u>Codes</u>	<u>Respondent Names</u>
YW	YREKA WESTERN RAILROAD COMPANY
ZAACO	ADVANCED AROMATICS, L.P.
ZAAQ	ALL AMERICAN PROPANE
ZABC	ABC COKE
ZABW	AbitibiBowater
ZACH	ASHTA CHEMICALS INC.
ZACR	ADM CORN PROCESSING
ZADL	Alberta Diluent Terminal Ltd.
ZAEI	AG ENTERPRISE SUPPLY, INC.
ZAFQ	AFTON CHEMICAL
ZAGF	AGRIFOS FERTILIZER
ZAGN	ACTAGRO LLC
ZAGP	AG PROCESSING INC.
ZAGQ	Airgas Specialty Products Inc.
ZAGT	AmeriGas Propane L.P.
ZAHL	Ashland, Inc.
ZAIL	AIR LIQUIDE USA LLC
ZAJE	A & J ENTERPRISES
ZAKM	Arkema Canada, Inc.
ZAKN	Akzo Nobel Functional Chemicals LLC
ZAKP	Anadarko Petroleum Corporation
ZALD	POET Biorefining-Cloverdale
ZALN	ALON, USA, LP
ZALQ	Air Liquide Industrial U.S. LP
ZALTS	ALPHA TECHNICAL SERVICES
ZALX	Alexander Chemical Corp.
ZAMC	ARCHER DANIELS MIDLAND CO.
ZAMK	AGMARK FOODS, INC.
ZAMRI	AMERICAN RAILCAR INDUSTRIES
ZAMV	AMVAC CHEMICAL CORPORATION
ZANE	Eka Chemicals Inc.
ZAO	Apex Oil Company, Inc.
ZAPM	Ascend Performance Materials LLC
ZARCI	ARIZONA CHEMICAL INC.
ZARE	AVENTINE RENEWABLE ENERGY, INC.
ZARGR	AMERICAN REFINING GROUP
ZARK	ARKEMA INC.
ZATI	Allied Terminals, Incorporated
ZATO	Atlas Oil Company

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZAUG	AGRIUM
ZAUL	ALLIED UNIVERSAL CORPORATION
ZAUX	AUX SABLE LIQUID PRODUCTS, INC.
ZBAS	BASF CORPORATION
ZBASI	BASIC CHEMICAL SOLUTIONS
ZBBE	Bonanza Bioenergy, LLC
ZBCI	BRAINERD CHEMICAL COMPANY
ZBKA	Braskem PP Americas, Inc.
ZBKK	Bakken Transload LLC
ZBKL	BUCKMAN LABORATORIES
ZBMA	Bayer MaterialScience LLC
ZBMS	BRENNTAG MID-SOUTH, INC.
ZBORE	BORDEN & REMINGTON CORPORATION
ZBPA	BP America, Inc.
ZBPC	BP AMOCO
ZBPPZ	BP/AMOCO PRODUCTS
ZBSN	Basin Transload
ZBTA	Bio Trans Modal, LLC
ZBTC	BULK TRANSPORTATION COMPANY
ZBTM	Buckeye Terminals LLC-Macungie
ZBWS	B & W SERVICES
ZBYP	Battery Power of Ohio
ZBYU	Bayou Railcar Services, Inc.
ZCAX	Canexus Chemicals Canada LP
ZCEE	Centennial Energy
ZCELA	Celanese Ltd
ZCHJ	Chryso, Inc.
ZCLX	CHEMTRADE LOGISTICS
ZCMQ	Celanese Mexicana
ZCNL	Canal Terminal Company
ZCOU	Country Mark
ZCRZ	Cornerstone Chemical Company
ZCVO	Chevron Oronite
ZCWC	CHEM-WAY CORP.
ZDANT	DANA TRANSPORT INC.
ZDCPC	DIVERSIFIED CPC INTERNATIONAL, INC.
ZDCU	The Dow Chemical Company
ZDEI	DOUGLAS EXPLOSIVES INCORPORATED
ZDHT	Dunhill Terminals, LLC

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZDKI	D.K. INDUSTRIES ENVIRONMENTAL
ZDOW	DOW CORNING CORPORATION
ZDSQ	DUPONT SPECIALTY CHEMICAL COMPANY
ZDYI	DYNO NOBEL, INC.
ZEACH	EASTMAN CHEMICAL COMPANY
ZECB	EES COKE BATTERY LLC
ZECDP	EPCO CARBON DIOXIDE PRODUCTS
ZEDW	Edwards Oil Co.
ZEEA	E Energy Adams
ZEEM	Enbridge Energy Partners, L.P.
ZEES	Essroc Cement Corp.
ZEGS	Eagle-SWS
ZEJG	E. J. GALLO WINERY
ZEMCC	EXXONMOBIL CHEMICAL COMPANY
ZEMER	EMERALD SERVICES
ZEMR	EXXON MOBIL REFINERY SUPPLY COMPANY
ZENS	Enersul, Inc.
ZEOB	ECOLAB, Inc.
ZEOR	EOG Resources, Inc.
ZEPC	Enterprise Products Operating LLC
ZEPZ	Enterise Products
ZEQU	EQUISTAR CHEMICALS LP
ZETY	Ethyl Canada, Inc.
ZEVD	EVONIK DEGUSSA CORPORATION
ZEWW	ERCO WORLDWIDE (USA), INC.
ZEXM	EXXONMOBIL
ZFHR	FLINT HILLS RESOURCES
ZFLY	FLYING "J", INC.
ZFOT	FARSTAD OIL COMPANY
ZFRI	FRIT CAR & EQUIPMENT
ZFRZ	FRONTIER REFINING, LLC COMPANY
ZGACC	GENERAL ALUM & CHEMICAL CORP.
ZGBL	Global Companies LLC
ZGCC	GEORGIA GULF CORPORATION
ZGCP	General Chemical Performance Products, LLC
ZGEC	GENERAL ELECTRIC RAILCAR SERVICES CORPORATION
ZGEPA	Georgia Pacific Company
ZGFE	Greenfield Ethanol, Inc.
ZGGE	GOLDEN GRAIN ENERGY

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZGGP	Golden Gate Petroleum
ZGLB	GLOBAL PETROLEUM CORP.
ZGMN	GENERAL CHEMICAL CORP.
ZGNX	GEN-X Energy Group, Inc.
ZGOT	Gottson Oil & Construction
ZGPE	GREEN PLAINS RENEWABLE ENERGY
ZGPF	GEORGIA-PACIFIC CHEMICALS LLC
ZGPJ	Graphic Packaging Intl.
ZGPN	GEORGIA-PACIFIC CONSUMER PRODUCTS LLC
ZGPR	GEORGIA PACIFIC RESINS
ZGSZ	SGS
ZGVS	GENOVIQUE SPECIALTIES
ZGWP	Gateway Terminals Partnership
ZGWQ	Gary-Williams Energy Corporation, LLC.
ZGXA	GARDNER ASPHALT CORPORATION
ZHAF	HiAlta Fluids Inc.
ZHCO	HOLLAND COMPANY, INC.
ZHCR	H.C. Chandler & Son Inc.
ZHET	POET Biorefining-Jewell
ZHFR	HollyFrontier Refining & Marketing
ZHFS	HYMAN FARM SERVICES, INC.
ZHINT	HYUNDAI INTERMODAL, INC.
ZHKD	Hawkeye Renewables LLC.
ZHMI	H & M INTERNATIONAL TRANSPORTATION
ZHMO	HAMPEL OIL DISTRIBUTORS, INC.
ZHMS	Husky Marketing and Supply Co.
ZHOE	HOECHST CELANESE CORPORATION
ZHOI	Husky Oil Operations
ZHPO	HIGH-PO-CHLOR
ZHPR	HUNTSMAN PERFORMANCE PRODUCTS
ZHTS	HAWTHORNE SERVICES, INCORPORATED
ZHVC	Haverhill Chemicals LLC
ZHWE	Highwater Ethanol, LLC
ZHWH	Honeywell International, Inc.
ZIAG	Innovated Ag Services
ZIBO	IROQUOIS BIO-ENERGY COMPANY, LLC
ZIBS	INTERNATIONAL BULK SERVICES
ZICE	International Commodity Export Corporation
ZICH	INTERNATIONAL CHEMICAL COMPANY (Inter-Chem)

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZIEN	Ineos Nitriles
ZIES	INEOS
ZIM	ZIM-AMERICAN ISRAELI SHIPPING COMPANY
ZIMA	INTERPLASTIC CORPORATION
ZIMO	Imperial Oil Ltd.
ZINTT	International Matex Tank Terminals
ZIOCO	INTERSTATE OIL COMPANY
ZIP	INTERNATIONAL PAPER COMPANY
ZIPB	INNOPHOS INC
ZIPC	INTERNATIONAL PETROLEUM CORP.
ZIRO	IRVING OIL COMPANY
ZISRV	INERGY SERVICES
ZITS	INDUSTRIAL TERMINAL SYSTEMS, INC.
ZITT	INTERCONTINENTAL TERMINALS COMPANY
ZIVS	INVISTA S.A.R.L.
ZJBH	JB Hunt
ZJRS	J.R. SIMPLOT COMPANY
ZJVE	POET Biorefining-Groton
ZKAN	KANEB PIPELINE COMPANY
ZKCCT	KCC TRANSPORTATION
ZKDM	Kinder Morgan Energy Partners, L.P.
ZKECA	KEYSPAN ENERGY CANADA
ZKEL	KAAPA ETHANOL LLC
ZKEM	Kemira Chemical
ZKFC	KOCH FERTILIZER CANADA LTD
ZKING	KINGSFORD MANUFACTURING COMPANY
ZKIR	KINETIC RESOURCES (U.S.A.)
ZKKC	KIK CUSTOM PRODUCTS
ZKKI	KIK INTERNATIONAL
ZKMB	KINDER MORGAN BULK TERMINALS, INC.
ZKMCI	KEMIRON COMPANIES, INC.
ZKME	KINDER-MORGAN ENERGY PARTNERS
ZKMI	KMCO, Inc.
ZKMJ	KMG-Bernuth, Inc.
ZKMQ	KINDER MORGAN LIQUIDS TERMINALS, LLC
ZKMT	KMCO Port Arthur d/b/a KMTEX
ZKMX	KMX CHEMICAL CORPORATION
ZKNC	KOCH NITROGEN COMPANY
ZKNW	KEMIRON NORTHWEST, INC.

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZKOR	KERN OIL AND REFINING COMPANY
ZKPI	Koppers Inc.
ZKSI	KLEINSCHMIDT, INC.
ZKUE	KUEHNE COMPANY
ZKUSA	KOST USA, INC.
ZKWS	KEMIRA WATER SOLUTIONS
ZKYE	Keyera Energy Partnership
ZLAN	Lanxess Inc.
ZLBT	Linden Bulk Transportation Company, Inc .
ZLCO	LARSEN COOPERATIVE
ZLDH	LONE STAR NGL MONT BELVIEU LP
ZLFS	Lake's Farm Service
ZLFZ	Land View, Inc.
ZLHP	LBC HOUSTON, LP
ZLOP	Louisville Packaging
ZLSN	LONE STAR NGL MONT BELVIEU LP
ZLTX	Liberty Transport LLC
ZMAW	MID-AMERICA AGRI PRODUCTS WHEATLAND LLC
ZMCG	McGregor Company
ZMCK	Mallard Creek Polymers, Inc.
ZMCT	Marchem Technologies
ZMEG	Meglobal Americas, Inc.
ZMER	Merichem Company
ZMERL	Merisol USA LLC
ZMFQ	Mosaic Fertilizer LLC
ZMGP	MIDWEST GRAIN PRODUCTS, INC.
ZMGU	Meguiar's, Inc.
ZMIQ	MILLENNIUM INORGANIC CHEMICALS
ZMMM	3-M MINNESOTA MINING & MFG. CO.
ZMMPL	Magellan Midstream Partners, LP.
ZMNB	Magnablend, Inc.
ZMNE	MCNEAL PPC, INC.
ZMNP	Marathon Petroleum Company
ZMNS	MAGNUM SOLVENT, INC.
ZMNT	MARTIN OPERATING PARTNERSHIP, LP
ZMOM	Momentive
ZMPG	MGP INGREDIENTS, INC.
ZMPS	MARTIN PRODUCT SALES, LLC
ZMPT	MISSISSIPPI PHOSPHATE

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZMQE	MARQUIS ENERGY
ZMRE	Martin Resources, Inc.
ZMROC	MOBILE ROSIN OIL COMPANY
ZMRS	MONTANA REFINING COMPANY
ZMTE	MOTIVA ENTERPRISES LLC
ZMTS	MOUNTAIN STATES LPG, GAS
ZMUR	MURPHY OIL USA, INC.
ZMUS	MARYSVILLE UNDERGROUND STORAGE TERMINAL
ZMUSK	MUSKET CORPORATION
ZMUT	Millennium Specialty Chemicals
ZMXF	Mexichem Fluor, S.A. de C.V.
ZNAL	Nalco Company
ZNBA	Noble Americas Corp.
ZNDK	NEDAK ETHANOL, LLC
ZNDM	Domtar Paper Company LLC
ZNDP	NORTH DAKOTA PORT SERVICES, INC.
ZNOS	NORFALCO, INC.
ZNOV	NOVA CHEMICALS, LTD.
ZNPA	NEWPAGE CORPORATION
ZNSE	NUSTAR TERMINALS PARTNERS TEXAS, L.P.
ZNSG	NORTH STAR GAS LTD, CO.
ZNSL	NGL SUPPLY COMPANY, LTD.
ZNUC	NUCOR STEEL CORPORATION
ZNUS	NuStar Energy
ZNYT	New York Terminals
ZOBC	OLD BRIDGE CHEMICAL, INC.
ZOCC	Occidental Chemical Corporation
ZOGS	Osterman Propane LLC
ZOKH	ONEOK Hydrocarbon, L.P.
ZOLC	OLIN CORPORATION
ZOLI	OLIN CORPORATION
ZORI	ORICA USA Inc.
ZOTA	OTTER TAIL AG ENTERPRISES, LLC
ZOTER	ODFJELL TERMINALS (HOUSTON), INC.
ZOTT	Oiltanking Texas City L.P.
ZPAF	PPG ARCHITECTURAL FINISHING
ZPAR	PARSEC, INCORPORATED
ZPBA	POET Biorefining-Alexandria
ZPBC	POET Biorefining-Caro

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZPG	PROCTER & GAMBLE
ZPGI	Petrogas Inc.,
ZPGW	Pengrowth
ZPHC	PHILLIPS PETROLEUM COMPANY
ZPHO	PCS PHOSPHATE COMPANY
ZPHP	PHARMCO PRODUCTS INC.
ZPJC	CONOCOPHILLIPS
ZPKG	PACKAGING CORPORATION OF AMERICA
ZPNK	Penn A Kem
ZPNR	PENRECO CORP
ZPOI	POLYPURE INC.
ZPPG	Pittsburgh Plate Glass Co.
ZPRF	PATRIOT RENEWABLE FUELS, LLC
ZPRX	PRAXAIR, INC.
ZPSCH	PENN SPECIALTY CHEMICAL
ZPTRQ	Petra Chemical Company
ZPVB	Plainview Bio Energy
ZPVR	PVS TRANSPORTATION
ZPWC	PAN WESTERN CORPORATION
ZPYC	POLYCHEMIE INCORPORATED
ZQCR	Quality Carriers
ZQKS	Quimikao S.A. DE C.V.
ZQRS	MDG CAB Holdings, LLC d/b/a Quality Rail Services
ZRAS	Royal Adhesives & Sealants
ZRCA	Ruetgers Canada, Inc.
ZRCH	RECOCHEM
ZRCQ	REAGENT CHEMICAL & RESEARCH
ZREY	REYNOLDS METALS COMPANY
ZRGZ	RELIANT GASES
ZRHI	Rohm & Haas, Inc.
ZRKT	ROCK TENN MILL COMPANY, LLC
ZRNC	Renosol Seating
ZRPF	Rayonier Performance Fibers, LLC
ZRPL	REGAL PETROLEUM COMPANY
ZRSH	RSI LOGISTICS, INC.
ZRTE	RED TRAIL ENERGY
ZRTF	Rail Transfer Services
ZSAB	SABIC Innovative Plastics
ZSAM	Styrolution America LLC

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZSASN	SASOL CHEMICALS NORTH AMERICA
ZSBL	Sunbelt Chemicals, Inc.
ZSBR	SUPERCLEAN BRANDS, INC.
ZSBS	Seattle Bulk Shipping, Inc.
ZSCA	Shell Canada, Ltd.
ZSCC	SHELL CHEMICAL COMPANY
ZSCP	EASTMAN CHEMICAL TEXAS CITY, INC.
ZSCPI	SYNGENTA CROP PROTECTION, INC.
ZSCT	SOUTH COAST TERMINALS
ZSDB	Sands Bulk Sales Ltd. (Sands Bulk Transport)
ZSDE	STOLTHAVEN (CHICAGO), INC.
ZSDG	SUPERIOR CRUDE GATHERING, INC.
ZSEQ	SENECA ENCLAVE
ZSEU	SUNCOR ENERGY (USA), INC.
ZSEY	SPECTRA ENERGY
ZSFI	SOLVAY FLUORIDES, INC.
ZSGA	SGL ACOTEC, INC.
ZSGU	SG SOLUTIONS
ZSGW	St. George Warehouse
ZSGX	SGL Carbon Corporation
ZSHEL	SHELL
ZSHH	Stolthaven Houston, Inc.
ZSHIN	Savage Safe Handling
ZSHL	Shell Canada Products
ZSHQ	Shintech, Inc.
ZSHT	Shore Terminals, LLC
ZSI	Southern Ionics Incorporated
ZSIL	Silver Eagle Refining, Inc.
ZSIM	STANDARD IRON AND METAL CO. INC.
ZSIND	SEELER INDUSTRIES
ZSIQ	SI Group, Inc.
ZSKG	Skagit Farmers Supply
ZSKI	SAFETY-KLEEN SYSTEMS, INC.
ZSLO	SLOSS INDUSTRIES
ZSLQ	Sunoco Logistics
ZSLU	Silogram Lubricants Corporation
ZSMC	Scott Petroleum Corporation
ZSMM	Sims Metal
ZSMP	SIMONS PETROLEUM INC.

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZSMS	Smitty Supply, Inc.
ZSNI	STOLT NIELSEN COMPANY
ZSNOC	SUNOCO CHEMICALS
ZSNPR	SUNPOL RESIN AND POLYMERS
ZSNWO	STOLTHAVEN (NEW ORLEANS), LLC
ZSOC	SHELL OIL COMPANY
ZSPB	SUNOCO Partners Butane Blending, LLC
ZSPX	Sappi Cloquet LLC
ZSRR	SOUTHSIDE RIVER RAIL CORP.
ZSSCO	SAVAGE SERVICES CORPORATION
ZSSP	Southern States Chemical
ZSSV	Spearing Service L.P.
ZSTE	STEPAN CHEMICAL COMPANY
ZSTJ	STELLA-JONES CORPORATION
ZSTQ	STEPAN COMPANY
ZSUI	SUNOCO INC. (R&M)
ZSVA	Savannah Acid Plant LLC
ZSVC	SOLVAY CHEMICALS, INC
ZSWR	SINCLAIR WYOMING REFINING CO.
ZSYS	SYSTECH ENVIRONMENTAL CORPORATION
ZTAM	TAMINCO
ZTBY	TERRACE BAY PULP INC.
ZTCF	Tricor Refining, LLC
ZTCQ	THIRD COAST TERMINALS
ZTFLO	TRANSFLO CORPORATION
ZTI	Transammonia, Inc.
ZTIF	TEMPLE-INLAND FOREST PRODUCTS, INC.
ZTIL	TERRA INTERNATIONAL
ZTLY	TATE & LYLE INGREDIENTS AMERICAS, INC.
ZTMT	TransMontaigne Product Services Inc.
ZTNX	TRONOX INCORPORATED
ZTPU	TOTAL PETROCHEMICALS USA INC
ZTQT	Torq Transloading Inc.
ZTRN	TERRA NITROGEN CORPORATION
ZTSB	Tiger-SUL Products, LLC
ZTSZ	Techsol Chemical Co.
ZTTS	Trimac Transportation Services, Inc.
ZTXL	TEXON LP
ZTXM	TEXMARK CHEMICALS

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZUCL	UNIVAR CANADA LTD.
ZUMQ	US MAGNESIUM LLC
ZUNC	Union Carbide Corporation
ZUNIV	UNIVAR USA INC.
ZUNR	United Rail Service, Inc.
ZUPI	USS-POSCO Industries
ZUPZ	United Petroleum Transports, Inc.
ZUSEP	U.S. ENERGY PARTNERS, LLC
ZUTC	UNION TANK CAR COMPANY
ZUTN	Union Tank Car Corporation
ZUUS	UTi, United States, Inc.
ZVFT	VFT CANADA, INC.
ZVGT	VAN-G TRUCKING, INC.
ZVIP	V-1 Propane
ZVNG	Vanguard Synfuels
ZVPR	VP Racing Fuels
ZVRI	Virginal International Terminal, Inc.
ZVSI	Vertellus Agriculture & Nutrition Specialties LLC
ZVSS	VEOLIA ES INDUSTRIAL SERVICES, INC.
ZVTZ	VOPAK TERMINAL DEER PARK
ZVYE	POET Biorefining-Emmetsburg
ZWBR	Waste By Rail
ZWCA	WESTLAKE CA. AND O CORPORATION
ZWEB	WEBB CHEMICAL SERVICE CORP.
ZWET	Wyoming Ethanol, LLC
ZWOC	WHITAKER OIL COMPANY
ZWRG	W.R. GRACE & COMPANY-CONN.
ZWST	Westway Terminal Co. LLC
ZWTD	World Trade Distribution Inc.
ZWVCI	WESTLAKE VINYLs CORPORATION, INC.
ZXST	Xstrata Copper
ZYMP	YENKIN MAJESTIC
ZZAC	ZACLON, INC.
ZZIM	ZIM CONTAINER SERVICE