

**Federal
Railroad
Administration**

**Fiscal
Year
2010**

Enforcement Report

Table of Contents

- I. Introduction
- II. Summary of Inspections and Audits Performed and of Enforcement Actions Recommended--FY 2010
 - A. Railroad Safety and Hazmat Compliance Inspections and Audits
 - 1. All Railroads and Other Entities (E.g., Hazmat Shippers), Except Individuals
 - 2. Railroads Only
 - B. Summary of Railroad Safety Violations Cited by Inspectors, by Regulatory Oversight Discipline
 - 1. Accident/Incident Reporting
 - 2. Grade Crossing Signal System Safety
 - 3. Hazardous Materials
 - 4. Motive Power and Equipment
 - 5. Railroad Operating Practices
 - 6. Signal System Safety
 - 7. Track
 - C. FRA and State Inspections of Railroads, Sorted by Railroad Type
 - 1. Class I Railroads
 - 2. Probable Class II Railroads
 - 3. Probable Class III Railroads
 - 4. Other Railroads
 - D. Inspections and Recommended Enforcement Actions, Sorted by Individual Class I Railroad
 - 1. BNSF Railway Company
 - 2. Canadian National Railway/Grand Trunk Corporation
 - 3. Canadian Pacific Railway/Soo Line Railroad Company
 - 4. CSX Transportation, Inc.
 - 5. The Kansas City Southern Railway Company
 - 6. National Railroad Passenger Corporation (Amtrak)
 - 7. Norfolk Southern Railway Company
 - 8. Union Pacific Railroad Company
- III. Civil Penalty Assessment and Settlement Summaries—FY 2010
 - A. In General
 - B. Summary 1—Brief Summary with Focus on Initial Assessments Transmitted
 - C. Summary 1—Breakdown
 - 1. For Each Class I Railroad Individually
 - 2. For Probable Class II Railroads in Aggregate
 - 3. For Probable Class III Railroads in Aggregate

4. For Hazmat Shippers in Aggregate
5. For Contractors in Aggregate
- D. Summary 2—More Detailed Summary of Settlements and Final Assessments of Civil Penalties
- E. Summary 2—Breakdown
 1. For Each Class I Railroad
 2. For Probable Class II Railroads in Aggregate
 3. For Probable Class III Railroads in Aggregate
 4. For Hazmat Shippers in Aggregate
 5. For Contractors in Aggregate

IV. Enforcement Actions against Individuals

- A. Civil Penalty Cases against Individuals in Aggregate
- B. Other Enforcement Actions against Individuals in Aggregate

V. Discussion of Railroad Safety—Relationship between Inspections, Enforcement, and Accidents or Incidents

- A. In General
- B. 2009 Report to Congress on Use of Civil Penalties in the Federal Railroad Safety Program

VI. Summary and Analysis of Locomotive Engineer Certification Cases

- A. Locomotive Engineer Review Board
- B. Administrative Hearings
- C. Appeals to the Administrator

VII. Summary and Analysis of Administrative Hearing Cases Related to Hazmat Violations or Enforcement Actions against Individuals

VIII. Number of Cases Referred to the Attorney General for Civil or Criminal Enforcement

IX. Number and Subject Matter of Compliance Orders, Emergency Orders, or Precursor Agreements

Appendix A—“Railroad Safety Civil Penalty Cases Closed during Fiscal Year 2010”

Federal Railroad Administration Fiscal Year 2010 Enforcement Report

I. INTRODUCTION

The Federal Railroad Administration (FRA) has for the past 25 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 2010:

- 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), and title 49 of the Code of Federal Regulations (C.F.R.), subtitle B, chapter II (parts 209-244) and chapter I, subchapter C, Hazardous Materials Regulations, respectively.

² 49 U.S.C. ch. 213, and 31 U.S.C. § 3711; 49 U.S.C. § 103; 49 C.F.R. 1.49.

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--FY 2010

A. RAILROAD SAFETY AND HAZMAT COMPLIANCE INSPECTIONS AND AUDITS

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

Number of Reports: 68,195
Defects: 260,377
Units: 3,357,995
Number of Observations: 291,548
Number of Reports with a Recommended Violation: 3,922
Number of Recommended Violation Defects: 8,114
Number of Inspection days: 50,637

2. Railroads Only

Number of Reports: 63,195
Defects: 247,147
Units: 3,240,607
Number of Observations: 269,053
Number of Reports with a Recommended Violation: 3,302
Number of Recommended Violation Defects: 6,681
Number of Inspection days: 48,187

**B. SUMMARY OF RAILROAD SAFETY VIOLATIONS
 BY REGULATORY OVERSIGHT DISCIPLINE**

1. Accident/Incident Reporting

Violation Type	Number of Recommended Violations
Accident Reports Regulations	526

2. Grade Crossing Signal System Safety

Violation Type	Number of Recommended Violations
Grade Crossing Signal Safety	329

3. Hazardous Materials

Violation Type	Number of Recommended Violations
Hazardous Materials Regulations	2,345

4. Motive Power and Equipment

Violation Type	Number of Recommended Violations
Freight Car Safety Standards	493
Locomotive Safety Standards	500
Passenger Equipment Safety Standards	60
Passenger Train Emergency Preparedness	5
Rear End Marking Devices	6
Safety Appliance Statutes and Regulations	1,484
Safety Glazing Standards	6
All	2,554

5. Railroad Operating Practices

Violation Type	Number of Recommended Violations
Alcohol and Drug Use	33
Engineer Qualifications	78
FRA Emergency Order No. 24/26	32
Hours of Service Laws and Regulations	277
Railroad Communications	77
Railroad Operating Practices	485
Railroad Operating Rules	90
Railroad Safety Enforcement Procedures	15
Train Horn/Quiet Zone	6
All	1,093

6. Signal System Safety

Violation Type	Number of Recommended Violations
Signal Inspection Regulations	164

7. Track

Violation Type	Number of Recommended Violations
Bridge Worker Safety Standards	5
Roadway Worker Protection	87
Track Safety Standards	1,011
All	1,103

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

1. Class I Railroads

Number of Reports: 47,519
Defects: 187,569
Units: 2,663,483
Number of Observations: 207,618
Number of Reports with a Recommended Violation: 2,620
Number of Recommended Violation Defects: 5,118
Number of Inspection days: 37,192

2. Probable Class II Railroads⁵

Number of Reports: 1,492
Defects: 5,857
Units: 96,666
Number of Observations: 6,433
Number of Reports with a Recommended Violation: 58
Number of Recommended Violation Defects: 85
Number of Inspection days: 1,282

3. Probable Class III Railroads

Number of Reports: 19,184
Defects: 66,951
Units: 597,846
Number of Observations: 77,497
Number of Reports with a Recommended Violation: 1,244
Number of Recommended Violation Defects: 2,911
Number of Inspection days: 15,376

⁵ FRA has identified seven of the eight Class I railroads based on their filings of information for calendar year 2009—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 CFR 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, using data on freight railroads only. FRA concludes that the following railroads are probably Class II railroads: Alaska Railroad Corp.; Buffalo & Pittsburgh Railroad, Inc.; Florida East Coast Ry. Co.; Illinois & Midland Railroad, Inc.; Iowa Interstate Railroad, Ltd.; Missouri & Northern Arkansas Railroad; Montana Rail Link; Montreal, Maine and Atlantic Railway, Ltd.; Portland & Western Railroad, Inc.; Springfield Terminal Ry. Co.; Wheeling & Lake Erie Ry. Co.; and Wisconsin & Southern Railroad. 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 CFR 1201.1-1(d).

4. Other Railroads⁶

Number of Violation Reports: 0
Defects: 0
Units: 0
Number of Observations: 0
Number of Reports with a Recommended Violation: 0
Number of Recommended Violation Defects: 0
Number of Inspection days: 0

D. INSPECTION AND ENFORCEMENT ACTIONS, SORTED BY INDIVIDUAL CLASS I RAILROAD

1. BNSF Railway Company

Number of Violation Reports: 9,250
Defects: 39,042
Units: 495,025
Number of Observations: 39,649
Number of Reports with a Recommended Violation: 575
Number of Recommended Violation Defects: 1,153
Number of Inspection Days: 7,526

2. Canadian National Railway/Grand Trunk Corporation

Number of Violation Reports: 2,583
Defects: 9,817
Units: 160,454
Number of Observations: 11,246
Number of Reports with a Recommended Violation: 156
Number of Recommended Violation Defects: 364
Number of Inspection Days: 2,102

⁶ “Other Railroads” are not regulated by the STB and not classified as Class I, II, or III. See Napa Valley Wine Train, Inc.—Pet. for Declaratory Order (1991) 7 I.C.C.2d 954, in which the Interstate Commerce Commission, the predecessor of the STB, held that the Wine Train’s passenger operations were intrastate and not subject to its jurisdiction.

3. Canadian Pacific Railway/Soo Line Railroad Company

Number of Violation Reports: 1,157
Defects: 4,944
Units: 89,432
Number of Observations: 5,230
Number of Reports with a Recommended Violation: 50
Number of Recommended Violation Defects: 123
Number of Inspection Days: 993

4. CSX Transportation, Inc.

Number of Violation Reports: 10,902
Defects: 44,986
Units: 606,447
Number of Observations: 48,151
Number of Reports with a Recommended Violation: 450
Number of Recommended Violation Defects: 837
Number of Inspection Days: 9,062

5. The Kansas City Southern Railway Company

Number of Violation Reports: 1,157
Defects: 5,769
Units: 63,726
Number of Observations: 4,930
Number of Reports with a Recommended Violation: 87
Number of Recommended Violation Defects: 186
Number of Inspection Days: 947

6. National Railroad Passenger Corporation (Amtrak)

Number of Violation Reports: 1,991
Defects: 2,298
Units: 43,867
Number of Observations: 8,070
Number of Reports with a Recommended Violation: 78
Number of Recommended Violation Defects: 89
Number of Inspection Days: 1,586

7. Norfolk Southern Railway Company

Number of Violation Reports: 7,564
Defects: 33,313
Units: 521,330
Number of Observations: 34,086
Number of Reports with a Recommended Violation: 384
Number of Recommended Violation Defects: 732
Number of Inspection Days: 6

8. Union Pacific Railroad Company

Number of Violation Reports: 12,915
Defects: 47,400
Units: 683,202
Number of Observations: 56,256
Number of Reports with a Recommended Violation: 840
Number of Recommended Violation Defects: 1,634
Number of Inspection Days: 10,463

Note on Timing of FRA Inspections:

During calendar year 2010 to November 10, FRA increased the proportion of time spent in evening, night, and weekend safety inspections by more than 50 percent over the proportion of time spent for such inspections in all of calendar year 2009. These inspections made outside of FRA inspectors' normal shift (8 a.m.-4:30 p.m.) reflect the 24-hour railroad operating environment and provide increased FRA presence during these hours. FRA began collecting this information in calendar year 2009, continues to do so, and may be able to provide comparative information on a fiscal year basis in the enforcement report for FY 2011.

III. CIVIL PENALTY ASSESSMENT AND SETTLEMENT SUMMARIES--FY 2010

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 HMT cases, notices of probable violation) during FY 2010;
- the number of violation reports enforcement of which was declined during legal review in FY 2010;
- the initial amount of civil penalties assessed for violations during FY 2010 (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 2010 and transmitted to a respondent) regardless of whether or not the cases were closed during FY 2010;
- 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 at 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 2010; and
- the final amount of the settlement (or the final amount of the civil penalties assessed) during FY 2010.

Summary 1 provides a broad overview of penalties initially assessed during FY 2010, the initial penalty assessment for cases closed during FY 2010, 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 2010. **All numbers in Summary**

⁷ The grand totals in Summary 1 and 2 include numbers for respondents not classified as Class I, II, or III railroads nor shippers nor contractors (e.g., intrastate tourist railroads, such as the Napa Valley Wine Train). The grand totals exclude civil penalties against individuals, which are addressed at IV.A. of this report.

2 reflect the initial assessments that resulted in FY 2010 settlements even though the initial assessments may have occurred in a prior fiscal year. This summary provides the reader with (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 2010:	2,979
Total number of violations with civil penalties initially assessed in FY 2010:	6,313
Total number of violation reports declined during legal review in FY 2010:	16
Total initial amount of civil penalties assessed (POCA) for violations in cases transmitted in FY 2010:	\$22,944,500
Total initial amount of civil penalties assessed (POCA) for violations in cases finally assessed or settled in FY 2010:	\$22,260,500
Total final civil penalty assessment or settlement in FY 2010:	\$14,515,770

C. BREAKDOWN OF SUMMARY 1

1. For Each Class I Railroad Individually

BNSF RAILWAY COMPANY

Number of cases with civil penalties initially assessed:	464
Number of violations with civil penalties initially assessed:	1,031
Number of violation reports declined during legal review:	3
Initial amount of civil penalty assessed:	\$3,589,000

CANADIAN NATIONAL RAILWAY/GRAND TRUNK CORPORATION

Number of cases with civil penalties initially assessed:	117
Number of violations with civil penalties initially assessed:	212
Number of violation reports declined during legal review:	0
Initial amount of civil penalty assessed:	\$843,500

CANADIAN PACIFIC RAILWAY/SOO LINE RAILROAD COMPANY

Number of cases with civil penalties initially assessed:	51
Number of violations with civil penalties initially assessed:	81
Number of violation reports declined during legal review:	0
Initial amount of civil penalty assessed:	\$306,500

CSX TRANSPORTATION, INC.

Number of cases with civil penalties initially assessed:	336
Number of violations with civil penalties initially assessed:	712
Number of violation reports declined during legal review:	2
Initial amount of civil penalty assessed:	\$2,566,500

THE KANSAS CITY SOUTHERN RAILWAY COMPANY

Number of cases with civil penalties initially assessed:	50
Number of violations with civil penalties initially assessed:	76
Number of violation reports declined during legal review:	1
Initial amount of civil penalty assessed:	\$231,500

NATIONAL RAILROAD PASSENGER CORPORATION (AMTRAK)

Number of cases with civil penalties initially assessed:	55
Number of violations with civil penalties initially assessed:	117
Number of violation reports declined during legal review:	0
Initial amount of civil penalty assessed:	\$314,000

NORFOLK SOUTHERN RAILWAY COMPANY

Number of cases with civil penalties initially assessed:	271
Number of violations with civil penalties initially assessed:	571
Number of violation reports declined during legal review:	1
Initial amount of civil penalty assessed:	\$1,936,000

UNION PACIFIC RAILROAD COMPANY

Number of cases with civil penalties initially assessed:	507
Number of violations with civil penalties initially assessed:	1,578
Number of violation reports declined during legal review:	3
Initial amount of civil penalty assessed:	\$5,589,000

2. Probable Class II Railroads in Aggregate

Number of cases with civil penalties initially assessed:	60
Number of violations with civil penalties initially assessed:	109
Number of violation reports declined during legal review:	0
Initial amount of civil penalty assessed:	\$323,000

3. For Probable Class III Railroads in Aggregate

Number of cases with civil penalties initially assessed:	436
Number of violations with civil penalties initially assessed:	848
Number of violation reports declined during legal review:	4
Initial amount of civil penalty assessed:	\$2,853,000

4. For Other Railroads in Aggregate (Neither Class I, II, nor III)

Number of cases with civil penalties initially assessed:	1
Number of violations with civil penalties initially assessed:	2
Number of violation reports declined during legal review:	0
Initial amount of civil penalty assessed:	\$2,000

5. For Hazmat Shippers in Aggregate

Number of cases with civil penalties initially assessed:	595
Number of violations with civil penalties initially assessed:	895
Number of violation reports declined during legal review:	2
Initial amount of civil penalty assessed:	\$4,127,500

6. For Contractors in Aggregate

Number of cases with civil penalties initially assessed:	36
Number of violations with civil penalties initially assessed:	81
Number of violation reports declined during legal review:	0
Initial amount of civil penalty assessed:	\$263,000

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

Number of cases closed:	2,753
Number of violations in cases closed:	6,837
Total initial amount of civil penalty assessed for cases closed (POCA):	\$22,260,500
Total final amount of civil penalty assessed or settlement for cases closed:	\$14,515,770
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$1,072,000
Amount of revised assessment after terminations (PRCA):	\$21,188,500
Difference between initial civil penalty assessment and final assessment or settlement amount for cases closed:	\$7,744,730
Difference between revised assessment and final assessment or settlement amount for cases closed:	\$6,672,730

E. SUMMARY 2 BREAKDOWN

1. For Each Class I Railroad Individually

BNSF RAILWAY COMPANY

Number of cases closed:	420
Number of violations in cases closed:	1,054
Initial amount of civil penalty assessed for cases closed (POCA):	\$3,238,000
Final amount of civil penalty assessed or settlement for cases closed:	\$2,066,500
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$34,500
Amount of revised assessment after terminations (PRCA):	\$3,203,500
Difference between initial civil penalty assessment and final assessment or settlement amount for cases closed:	\$1,171,500
Difference between revised assessment and final assessment or settlement amount for cases closed:	\$1,137,000

CANADIAN NATIONAL RAILWAY/GRAND TRUNK CORPORATION

Number of cases closed:	140
Number of violations in cases closed:	292
Initial amount of civil penalty assessed for cases closed (POCA):	\$1,001,500
Final amount of civil penalty assessed or settlement for cases closed:	\$678,345
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$4,000
Amount of revised assessment after terminations (PRCA):	\$997,500
Difference between initial civil penalty assessment and final assessment or settlement amount for cases closed:	\$323,155
Difference between revised assessment and final assessment or settlement amount for cases closed:	\$319,155

CANADIAN PACIFIC RAILWAY/SOO LINE RAILROAD COMPANY

Number of cases closed:	41
Number of violations in cases closed:	54
Initial amount of civil penalty assessed for cases closed (POCA):	\$201,000
Final amount of civil penalty assessed or settlement for cases closed:	\$134,390
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$0
Amount of revised assessment after terminations (PRCA):	\$201,000
Difference between initial civil penalty assessment and final assessment or settlement amount for cases closed:	\$66,610
Difference between revised assessment and final assessment or settlement amount for cases closed:	\$66,610

CSX TRANSPORTATION, INC.

Number of cases closed:	303
Number of violations in cases closed:	819
Initial amount of civil penalty assessed for cases closed (POCA):	\$2,620,000
Final amount of civil penalty assessed or settlement for cases closed:	\$1,597,780
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$102,500
Amount of revised assessment after terminations (PRCA):	\$2,517,500
Difference between initial civil penalty assessment and final assessment or settlement amount for cases closed:	\$1,022,220
Difference between revised assessment and final assessment or settlement amount for cases closed:	\$919,720

THE KANSAS CITY SOUTHERN RAILWAY COMPANY

Number of cases closed:	44
Number of violations in cases closed:	80
Initial amount of civil penalty assessed for cases closed (POCA):	\$241,500
Final amount of civil penalty assessed or settlement for cases closed:	\$158,600
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$6,500
Amount of revised assessment after terminations (PRCA):	\$235,000
Difference between initial civil penalty assessment and final assessment or settlement amount for cases closed:	\$82,900
Difference between revised assessment and final assessment or settlement amount for cases closed:	\$76,400

NATIONAL RAILROAD PASSENGER CORPORATION (AMTRAK)

Number of cases closed:	145
Number of violations in cases closed:	497
Initial amount of civil penalty assessed for cases closed (POCA):	\$1,170,500
Final amount of civil penalty assessed or settlement for cases closed:	\$797,775
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$74,500
Amount of revised assessment after terminations (PRCA):	\$1,096,000
Difference between initial civil penalty assessment and final assessment or settlement amount for cases closed:	\$372,725
Difference between revised assessment and final assessment or settlement amount for cases closed:	\$298,225

NORFOLK SOUTHERN RAILWAY COMPANY

Number of cases closed:	259
Number of violations in cases closed:	688
Initial amount of civil penalty assessed for cases closed (POCA):	\$2,142,000
Final amount of civil penalty assessed or settlement for cases closed:	\$1,334,005
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$251,000
Amount of revised assessment after terminations (PRCA):	\$1,891,000
Difference between initial civil penalty assessment and final assessment or settlement amount for cases closed:	\$807,995
Difference between revised assessment and final assessment or settlement amount for cases closed:	\$556,995

UNION PACIFIC RAILROAD COMPANY

Number of cases closed:	442
Number of violations in cases closed:	1602
Initial amount of civil penalty assessed for cases closed (POCA):	\$5,152,000
Final amount of civil penalty assessed or settlement for cases closed:	\$3,250,930
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$284,500
Amount of revised assessment after terminations (PRCA):	\$4,867,500
Difference between initial civil penalty assessment and final assessment or settlement amount for cases closed:	\$1,901,070
Difference between revised assessment and final assessment or settlement amount for cases closed:	\$1,616,570

2. For Probable Class II Railroads in Aggregate

Number of cases closed:	53
Number of violations in cases closed:	102
Initial amount of civil penalty assessed for cases closed (POCA):	\$270,000
Final amount of civil penalty assessed or settlement for cases closed:	\$177,295
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$13,000
Amount of revised assessment after terminations (PRCA):	\$257,000
Difference between initial civil penalty assessment and final assessment or settlement amount for cases closed:	\$92,705
Difference between revised assessment and final assessment or settlement amount for cases closed:	\$79,705

C. For Probable Class III Railroads in Aggregate

Number of cases closed:	381
Number of violations in cases closed:	782
Initial amount of civil penalty assessed for cases closed (POCA):	\$2,503,500
Final amount of civil penalty assessed or settlement for cases closed:	\$1,596,175
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$83,000
Amount of revised assessment after terminations (PRCA):	\$2,420,500
Difference between initial civil penalty assessment and final settlement amount for cases closed:	\$907,325
Difference between revised assessment and final assessment or settlement amount for cases closed:	\$824,325

D. For Other Railroads in Aggregate (Neither Class I, II, nor III)

Number of cases closed:	0
Number of violations in cases closed:	not applicable (n/a)
Initial amount of civil penalty assessed for cases closed (POCA):	n/a
Final amount of civil penalty assessed or settlement for cases closed:	n/a
Amount terminated (generally due to legal defenses presented during settlement negotiations):	n/a
Amount of revised assessment after terminations (PRCA):	n/a
Difference between initial civil penalty assessment and final assessment or settlement amount for cases closed:	n/a
Difference between revised assessment and final assessment or settlement amount for cases closed:	n/a

E. For Hazmat Shippers in Aggregate

Number of cases closed:	504
Number of violations in cases closed:	829
Initial amount of civil penalty assessed for cases closed (POCA):	\$3,618,000
Final amount of civil penalty assessed or settlement for cases closed:	\$2,633,175
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$218,500
Amount of revised assessment after terminations (PRCA):	\$3,399,500
Difference between initial civil penalty assessment and final assessment or settlement amount for cases closed:	\$984,825
Difference between revised assessment and final assessment or settlement amount for cases closed:	\$766,325

F. For Contractors in Aggregate

Number of cases closed:	21
Number of violations in cases closed:	38
Initial amount of civil penalty assessed for cases closed (POCA):	\$102,500
Final amount of civil penalty assessed or settlement for cases closed:	\$90,800
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$0
Amount of revised assessment after terminations (PRCA):	\$102,500
Difference between initial civil penalty assessment and final assessment or settlement amount for cases closed:	\$11,700
Difference between revised assessment and final assessment or settlement amount for cases closed:	\$11,700

IV. ENFORCEMENT ACTIONS AGAINST INDIVIDUALS

A. CIVIL PENALTY CASES AGAINST INDIVIDUALS IN AGGREGATE

Total number of civil penalty cases initially assessed in FY 2010:	4
Total number of violations with civil penalties initially assessed in FY 2010:	4
Total initial amount of civil penalty assessed in FY 2010:	\$21,000
Number of civil penalty cases closed in FY 2010:	3
Total number of violations in cases closed in FY 2010:	3
Total initial amount of civil penalty assessed for cases closed in FY 2010:	\$9,500
Total final amount of civil penalty assessed (or settlement) for cases closed in FY 2010:	\$5,150
Amount terminated (generally due to legal defenses presented during settlement negotiations) for cases closed in FY 2010:	\$0
Amount of revised assessment after terminations (PRCA):	\$9,500
Difference between revised civil penalty assessment and final civil penalty assessment for cases closed in FY2010:	\$4,350
Difference between initial amount of civil penalty assessed and final settlement amount for a violation in a case closed in FY 2010	\$4,350

B. OTHER ENFORCEMENT ACTIONS AGAINST INDIVIDUALS IN AGGREGATE

Number of notices of proposed disqualification issued and served in FY 2010:	3
Number of proposed disqualification cases closed in FY 2010:	3

Number of warning letters issued by Office of Chief Counsel in FY 2010:	3
Number of warning letters issued by regional offices of FRA Office of Railroad Safety (regional warning letters) in FY 2010:	69

V. DISCUSSION OF RAILROAD SAFETY-- THE RELATIONSHIP BETWEEN 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 fines, 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

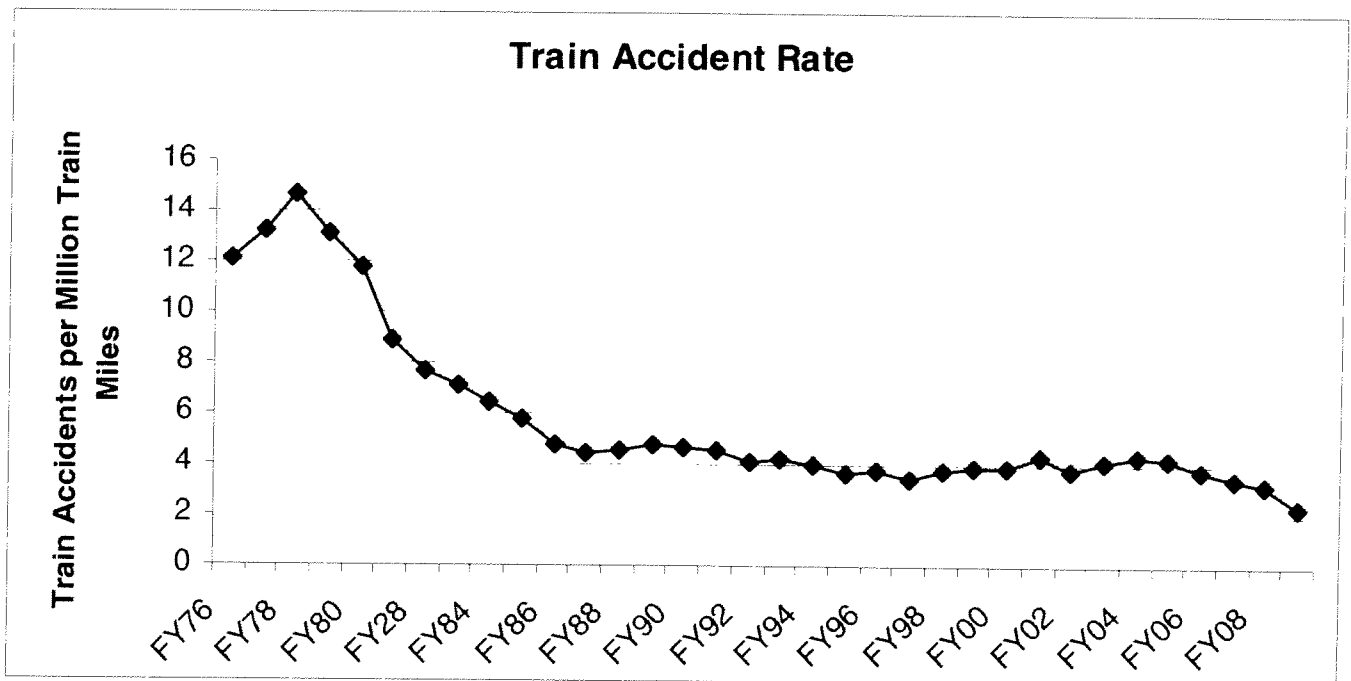
A report to Congress on "The Federal Railroad Administration's Use of Civil Penalties in the Federal Railroad Safety Program" was attached to FRA's enforcement report for FY 2009 and is referenced here because it addresses FRA's approach to achieving industry compliance with the Federal railroad safety laws and the hazardous materials transportation 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--	47
Decisions issued by the LERB-- (An additional 13 decisions were issued between October 1, 2010, and December 2, 2010.)	69
Average length of time for decision--	318 days from the date petition filed (274 days from the date of respondents' response to the appeal)

B. ADMINISTRATIVE HEARINGS

Number of pending cases before the Administrative Hearing Officer (AHO) as of October 1, 2009--	34
Number of requests for review by the AHO received during FY 2010--	2
Number of cases closed by the AHO during FY 2010-- (This number includes decisions and all cases disposed of by stipulation or dismissal.)	34
Number of pending AHO cases as of September 30, 2010--	2
Average length of time for decision-- (Note that this figure is reduced from the 18-month average for FY 2009. This rate is anticipated to continue being reduced. Cases are no longer held in abeyance, and the backlog has been eliminated.)	12 months

C. APPEALS TO THE ADMINISTRATOR

Appeals to the Administrator from the AHO's decision filed in FY 2010--	5
Number of Appeals Pending during FY 2010--	8
Decisions issued by the Administrator during FY 2010--	1
Average length of time for decision issued in FY 2010 (from close of record to decision)--	299 days

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

Number of hearings requested--	0
Number of hearing-request cases completed--	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--	0
Number of cases referred to the Attorney General for criminal enforcement--	0

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

FRA Emergency Order No. 26 establishes restrictions on railroad operating employees' use of cellular telephones and other distracting electronic and electrical devices. Volume 73 of the Federal Register, p. 58702 (73 Fed. Reg. 58702) (October 7, 2008). An FRA final rule published September 27, 2010, amends 49 C.F.R. Part 220 to codify most of the requirements of that emergency order, effective March 28, 2011. 75 Fed. Reg. 59580. That final rule also rescinds the emergency order effective the same date, March 28, 2011. Id.

APPENDIX A--"Railroad Safety Civil Penalty Cases Closed during Fiscal Year 2010"



Federal Railroad Administration
OFFICE OF CHIEF COUNSEL
Safety Law Division

**RAILROAD SAFETY CIVIL PENALTY CASES
CLOSED DURING FISCAL YEAR 2010**

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 2010 under the Federal railroad safety statutes and regulations. Cases were closed under most of these statutes by agreements of settlement, and under the hazardous materials transportation laws (HMT) generally by final orders of assessment. Total penalty settlements and final assessments against companies, summarized in this report, were as follows:

Railroad safety statutes (except HMT)	\$10,125,465
HMT	\$4,390,305
Total Civil Penalties	\$14,515,770

FRA collected \$ 5,150 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 Federal Railroad Administrator 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.

Michael T. Haley
Deputy Chief Counsel

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
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), 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 2010

<u>FRA No.</u>	<u>Initial Penalty Demanded</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>
INDPEN 2005-05	\$3,500	\$3,500	06/14/2010
INDPEN 2010-3	\$5,000	\$650	05/14/2010
INDPEN 2010-2	\$1,000	\$1,000	03/18/2010
Total	\$9,500	\$5,150	

Federal Railroad Administration
Safety Cases Closed in FY 2010

<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
AA 2010-1(SA)	1	\$5,000	\$5,000	\$2,500	09/28/2010	
AA 2010-2(SI)	1	\$1,000	\$1,000	\$650	09/28/2010	
ABS 2009-1(TS)	9	\$27,500	\$27,500	\$17,625	09/30/2010	
ACWR 2009-1(FCS)	2	\$7,500	\$7,500	\$5,000	03/11/2010	
AGC 2007-2(TS)	1	\$5,000	\$5,000	\$3,500	11/10/2009	
AGC 2007-3(HMT)	1	\$2,000	\$2,000	\$1,390	11/10/2009	
AGC 2008-1(FCS)	1	\$2,500	\$2,500	\$1,600	11/10/2009	
AGC 2008-2(SA)	1	\$2,500	\$2,500	\$1,600	11/10/2009	
AGC 2008-3(FCS)	1	\$2,500	\$2,500	\$1,600	11/10/2009	
AGC 2008-4(SA)	2	\$10,000	\$10,000	\$6,500	09/30/2010	
AGCR 2009-1(SA)	1	\$5,000	\$5,000	\$3,450	12/16/2009	
ALS 2008-1(AR)	2	\$5,000	\$2,500	\$2,500	12/01/2009	Terminated Violation(s)#: 2
ALS 2010-1(AR)	1	\$2,500	\$2,500	\$2,500	06/11/2010	
ALS 2010-2(LI)	1	\$1,000	\$1,000	\$1,000	05/25/2010	
AN 2009-1(EO)	1	\$2,500	\$2,500	\$2,500	11/16/2009	
AOK 2009-3(AD)	1	\$2,000	\$2,000	\$2,000	12/16/2009	
AOK 2010-1(SA)	1	\$5,000	\$5,000	\$3,200	08/02/2010	
ARR 2008-7(TS)	2	\$2,000	\$2,000	\$1,300	06/30/2010	
ARR 2008-8(TS)	3	\$3,000	\$3,000	\$1,950	06/30/2010	
ARR 2008-9(TS)	3	\$3,000	\$3,000	\$1,950	06/30/2010	
ARR 2008-10(TS)	2	\$2,000	\$2,000	\$1,300	06/30/2010	
ARR 2008-11(TS)	3	\$8,500	\$8,500	\$8,150	06/30/2010	
ARR 2009-1(SA)	1	\$2,500	\$2,500	\$1,250	06/30/2010	
ARR 2009-2(SA)	3	\$7,500	\$7,500	\$3,750	06/30/2010	
ARR 2009-3(SA)	3	\$7,500	\$7,500	\$3,750	06/30/2010	
ARR 2009-4(AR)	1	\$2,500	\$2,500	\$1,750	06/30/2010	
ARR 2009-5(ROP)	2	\$15,000	\$15,000	\$8,250	06/30/2010	
ARR 2009-6(AR)	1	\$2,500	\$2,500	\$1,750	06/30/2010	
ARR 2009-7(RSP)	2	\$10,000	\$10,000	\$6,500	06/30/2010	
ARR 2009-8(HS)	1	\$1,000	\$1,000	\$720	06/30/2010	
ARR 2010-1(GC)	1	\$5,000	\$5,000	\$4,000	06/30/2010	
ARR 2010-2(TS)	6	\$6,000	\$6,000	\$3,900	06/30/2010	
ARR 2010-3(TS)	4	\$4,000	\$4,000	\$2,600	06/30/2010	
ARR 2010-10(TS)	2	\$2,000	\$2,000	\$2,000	06/30/2010	
ARR 2010-20(AR)	1	\$1,000	\$1,000	\$700	06/30/2010	
ATK 2007-27(HS)	2	\$2,000	\$2,000	\$1,450	10/05/2009	
ATK 2007-28(AD)	3	\$11,000	\$11,000	\$7,500	10/05/2009	
ATK 2007-30(RW)	1	\$5,000	\$5,000	\$4,000	10/05/2009	
ATK 2007-33(RSP)	1	\$5,000	\$5,000	\$3,900	10/05/2009	
ATK 2007-34(PEQ)	1	\$5,000	\$5,000	\$3,500	10/05/2009	
ATK 2008-1(LI)	5	\$5,000	\$5,000	\$3,250	10/05/2009	
ATK 2008-2(PEQ)	5	\$12,500	\$12,500	\$8,750	10/05/2009	
ATK 2008-3(HSR)	1	\$1,000	\$1,000	\$700	10/05/2009	
ATK 2008-6(LI)	1	\$2,500	\$2,500	\$1,650	10/05/2009	
ATK 2008-7(HS)	1	\$1,000	\$1,000	\$700	10/05/2009	
ATK 2008-8(HS)	1	\$1,000	\$1,000	\$700	10/05/2009	
ATK 2008-9(AR)	10	\$25,000	\$17,500	\$13,125	10/05/2009	Terminated Violation(s): 4, 7, 10.
ATK 2008-10(AR)	4	\$10,000	\$5,000	\$4,000	10/05/2009	Terminated Violation(s): 2, 4
ATK 2008-11(RW)	2	\$5,000	\$5,000	\$3,900	10/05/2009	

Federal Railroad Administration
Safety Cases Closed in FY 2010

<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 2008-12(AR)	10	\$25,000	\$20,000	\$14,750	10/05/2009	Terminated Violation(s): 5,9
ATK 2008-13(AR)	5	\$12,500	\$10,000	\$7,500	10/05/2009	Terminated Violation(s): 3
ATK 2008-14(LI)	1	\$2,500	\$2,500	\$1,650	10/05/2009	
ATK 2008-15(PEQ)	1	\$5,000	\$5,000	\$3,500	10/05/2009	
ATK 2008-16(HS)	1	\$1,000	\$1,000	\$550	10/05/2009	
ATK 2008-17(AR)	8	\$20,000	\$17,500	\$13,175	10/05/2009	Terminated Violation(s): 6
ATK 2008-18(AR)	4	\$10,000	\$10,000	\$7,500	10/05/2009	
ATK 2008-19(AR)	8	\$20,000	\$20,000	\$15,000	10/05/2009	
ATK 2008-20(AR)	5	\$12,500	\$12,500	\$9,000	10/05/2009	
ATK 2008-21(HS)	10	\$10,000	\$10,000	\$6,750	10/05/2009	
ATK 2008-22(AR)	10	\$25,000	\$22,500	\$16,625	10/05/2009	Terminated Violation(s): 5
ATK 2008-23(AR)	6	\$15,000	\$12,500	\$9,375	10/05/2009	
ATK 2008-24(SI)	2	\$5,000	\$5,000	\$3,300	10/05/2009	
ATK 2008-25(HS)	1	\$1,000	\$1,000	\$700	10/05/2009	
ATK 2008-26(HS)	10	\$10,000	\$10,000	\$6,700	10/05/2009	
ATK 2008-27(PEQ)	1	\$2,500	\$2,500	\$1,875	10/05/2009	
ATK 2008-28(RW)	1	\$5,000	\$5,000	\$3,750	10/05/2009	
ATK 2008-29(TH)	1	\$5,000	\$5,000	\$3,300	10/05/2009	
ATK 2008-30(HS)	1	\$1,000	\$1,000	\$650	10/05/2009	
ATK 2008-31(SA)	8	\$40,000	\$40,000	\$30,000	10/05/2009	
ATK 2008-32(HS)	8	\$8,000	\$8,000	\$6,000	10/05/2009	
ATK 2008-33(SA)	1	\$5,000	\$5,000	\$3,500	10/05/2009	
ATK 2008-34(EQ)	5	\$30,000	\$30,000	\$22,500	10/05/2009	
ATK 2008-36(RW)	1	\$15,000	\$15,000	\$11,700	10/05/2009	
ATK 2008-37(AR)	9	\$22,500	\$22,500	\$17,025	10/05/2009	
ATK 2008-38(AR)	5	\$12,500	\$12,500	\$8,875	10/05/2009	
ATK 2008-39(AR)	7	\$17,500	\$15,000	\$11,300	10/05/2009	Terminated Violation(s): 1
ATK 2008-40(AR)	2	\$5,000	\$5,000	\$3,750	10/05/2009	
ATK 2008-41(SA)	1	\$2,500	\$2,500	\$1,750	10/05/2009	
ATK 2008-42(HS)	4	\$4,000	\$4,000	\$3,000	10/05/2009	
ATK 2008-43(HSR)	3	\$3,000	\$3,000	\$2,100	10/05/2009	
ATK 2008-44(AR)	5	\$12,500	\$12,500	\$9,675	10/05/2009	
ATK 2008-45(AR)	5	\$12,500	\$7,500	\$5,125	10/05/2009	Terminated Violation(s): 2, 3
ATK 2008-46(AR)	2	\$5,000	\$0	\$0	10/05/2009	Case Terminated.
ATK 2008-47(AR)	8	\$20,000	\$17,500	\$12,300	10/05/2009	Terminated Violation(s): 3
ATK 2008-49(AR)	10	\$25,000	\$22,500	\$16,675	10/05/2009	Terminated Violation(s): 7
ATK 2008-50(AR)	10	\$25,000	\$20,000	\$15,000	10/05/2009	Terminated Violation(s): 1, 2
ATK 2008-51(AR)	1	\$2,500	\$2,500	\$1,875	10/05/2009	
ATK 2008-52(AR)	9	\$22,500	\$15,000	\$11,950	10/05/2009	Terminated Violation(s): 4, 6, 7
ATK 2008-53(AR)	5	\$12,500	\$12,500	\$9,300	10/05/2009	
ATK 2008-54(TS)	2	\$10,000	\$10,000	\$6,500	10/05/2009	
ATK 2008-55(HS)	10	\$10,000	\$2,000	\$1,400	10/05/2009	Terminated Violation(s): 1 - 8
ATK 2008-56(HS)	10	\$10,000	\$7,000	\$4,900	10/05/2009	Terminated Violation(s): 1, 2, 3
ATK 2008-57(HS)	3	\$3,000	\$2,000	\$1,400	10/05/2009	Terminated Violation(s): 1
ATK 2008-58(RSP)	1	\$2,500	\$2,500	\$1,750	10/05/2009	
ATK 2008-59(RW)	1	\$1,000	\$1,000	\$750	10/05/2009	
ATK 2008-60(ROR)	1	\$10,000	\$10,000	\$5,000	10/05/2009	
ATK 2008-61(EQ)	1	\$2,500	\$2,500	\$1,800	10/05/2009	

Federal Railroad Administration
Safety Cases Closed in FY 2010

<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 2008-63(AR)	10	\$25,000	\$25,000	\$17,125	10/05/2009	
ATK 2008-64(AR)	6	\$15,000	\$15,000	\$11,000	10/05/2009	
ATK 2008-65(ROP)	1	\$2,000	\$2,000	\$1,500	10/05/2009	
ATK 2008-66(PEQ)	1	\$5,000	\$5,000	\$3,750	10/05/2009	
ATK 2008-67(HS)	3	\$3,000	\$3,000	\$2,250	09/02/2010	
ATK 2008-68(HSR)	1	\$1,000	\$1,000	\$700	10/05/2009	
ATK 2008-70(AR)	1	\$2,500	\$2,500	\$2,125	10/05/2009	
ATK 2009-1(HSR)	17	\$17,000	\$17,000	\$12,750	09/02/2010	
ATK 2009-2(AR)	5	\$12,500	\$7,500	\$5,625	10/05/2009	Terminated Violation(s): 2, 5
ATK 2009-3(AR)	4	\$10,000	\$10,000	\$7,000	10/05/2009	
ATK 2009-4(LI)	1	\$2,000	\$2,000	\$1,400	10/05/2009	
ATK 2009-6(AR)	5	\$12,500	\$12,500	\$9,050	10/05/2009	
ATK 2009-7(ROP)	1	\$5,000	\$5,000	\$3,500	10/05/2009	
ATK 2009-8(EP)	1	\$1,000	\$1,000	\$750	10/05/2009	
ATK 2009-9(ROR)	2	\$15,000	\$15,000	\$11,250	10/05/2009	
ATK 2009-10(AR)	5	\$12,500	\$12,500	\$9,050	10/05/2009	
ATK 2009-11(LI)	1	\$1,000	\$1,000	\$750	09/02/2010	
ATK 2009-12(RW)	2	\$37,000	\$37,000	\$28,000	10/05/2009	
ATK 2009-13(GC)	1	\$5,000	\$5,000	\$3,500	10/05/2009	
ATK 2009-14(SI)	1	\$2,500	\$2,500	\$1,875	09/02/2010	
ATK 2009-15(AR)	5	\$12,500	\$12,500	\$8,750	09/02/2010	
ATK 2009-16(AR)	5	\$12,500	\$12,500	\$8,750	09/02/2010	
ATK 2009-17(PEQ)	1	\$5,000	\$5,000	\$3,750	09/02/2010	
ATK 2009-18(AR)	5	\$12,500	\$12,500	\$8,750	09/02/2010	
ATK 2009-19(AR)	6	\$15,000	\$15,000	\$10,500	09/02/2010	
ATK 2009-20(AR)	4	\$10,000	\$10,000	\$7,000	09/02/2010	
ATK 2009-22(PEQ)	2	\$12,500	\$12,500	\$9,375	09/02/2010	
ATK 2009-23(PEQ)	1	\$2,500	\$2,500	\$1,875	09/02/2010	
ATK 2009-24(AR)	5	\$12,500	\$12,500	\$8,750	09/02/2010	
ATK 2009-25(AR)	5	\$12,500	\$12,500	\$8,750	09/02/2010	
ATK 2009-26(HS)	5	\$5,000	\$5,000	\$3,750	09/02/2010	
ATK 2009-27(HS)	5	\$5,000	\$5,000	\$3,750	09/02/2010	
ATK 2009-28(HS)	3	\$3,000	\$3,000	\$2,250	09/02/2010	
ATK 2009-29(AR)	5	\$12,500	\$12,500	\$8,750	09/02/2010	
ATK 2009-31(ROP)	1	\$5,000	\$5,000	\$3,500	09/02/2010	
ATK 2009-32(HS)	3	\$3,000	\$3,000	\$2,250	09/02/2010	
ATK 2009-33(SI)	2	\$3,500	\$3,500	\$2,450	09/02/2010	
ATK 2009-34(HS)	3	\$3,000	\$3,000	\$2,250	09/02/2010	
ATK 2009-35(HS)	3	\$3,000	\$3,000	\$2,250	09/02/2010	
ATK 2009-36(HS)	4	\$4,000	\$4,000	\$3,000	09/02/2010	
ATK 2009-37(HS)	3	\$3,000	\$3,000	\$2,250	09/02/2010	
ATK 2009-38(HS)	5	\$5,000	\$5,000	\$3,750	09/02/2010	
ATK 2009-39(ROP)	1	\$5,000	\$5,000	\$3,300	09/02/2010	
ATK 2009-40(SA)	1	\$5,000	\$5,000	\$3,500	09/02/2010	
ATK 2009-41(HS)	5	\$5,000	\$5,000	\$3,750	09/02/2010	
ATK 2009-42(HS)	2	\$2,000	\$2,000	\$1,500	09/02/2010	
ATK 2009-43(HSR)	1	\$1,000	\$1,000	\$750	09/02/2010	
ATK 2009-44(LI)	1	\$2,500	\$2,500	\$1,875	09/02/2010	
ATK 2009-45(PEQ)	1	\$10,000	\$10,000	\$7,500	09/02/2010	

Federal Railroad Administration
Safety Cases Closed in FY 2010

<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 2009-46(PEQ)	1	\$2,500	\$2,500	\$1,625	09/02/2010	
ATK 2009-47(PEQ)	2	\$20,000	\$20,000	\$15,000	09/02/2010	
ATK 2009-48(GS)	4	\$4,000	\$4,000	\$3,000	09/02/2010	
ATK 2009-49(GC)	1	\$1,000	\$1,000	\$750	09/02/2010	
ATK 2009-50(AR)	3	\$7,500	\$7,500	\$5,250	09/02/2010	
ATK 2009-51(AR)	1	\$2,500	\$2,500	\$1,750	09/02/2010	
ATK 2009-52(EQ)	1	\$1,000	\$1,000	\$750	09/02/2010	
ATK 2009-53(LI)	4	\$4,000	\$4,000	\$2,800	09/02/2010	
ATK 2009-54(SI)	1	\$2,500	\$2,500	\$1,750	09/02/2010	
ATK 2009-55(HS)	5	\$5,000	\$5,000	\$3,750	09/02/2010	
ATK 2009-56(HS)	3	\$3,000	\$3,000	\$2,250	09/02/2010	
ATK 2009-57(SI)	6	\$13,500	\$13,500	\$10,800	09/02/2010	
ATK 2009-58(PEQ)	2	\$5,000	\$5,000	\$3,500	09/02/2010	
ATK 2009-59(ROR)	1	\$2,500	\$2,500	\$1,750	09/02/2010	
ATK 2009-60(SI)	1	\$2,500	\$2,500	\$1,750	09/02/2010	
ATK 2009-61(GC)	1	\$5,000	\$5,000	\$3,500	09/02/2010	
ATK 2009-62(HSR)	1	\$1,000	\$1,000	\$750	09/02/2010	
ATK 2009-63(HS)	1	\$1,000	\$1,000	\$750	09/02/2010	
ATK 2009-64(ROR)	1	\$5,000	\$5,000	\$3,500	09/02/2010	
ATK 2009-65(ROR)	1	\$7,500	\$7,500	\$5,625	09/02/2010	
ATK 2009-66(SA)	1	\$5,000	\$5,000	\$3,000	09/02/2010	
ATK 2009-67(HS)	1	\$1,000	\$1,000	\$750	09/02/2010	
ATK 2009-68(PEQ)	1	\$5,000	\$5,000	\$3,750	09/02/2010	
ATK 2009-69(EO)	1	\$2,500	\$2,500	\$1,500	09/02/2010	
ATK 2010-1(HS)	1	\$1,000	\$1,000	\$750	09/02/2010	
ATK 2010-2(SI)	1	\$2,500	\$2,500	\$1,625	09/02/2010	
ATK 2010-3(EQ)	4	\$16,000	\$16,000	\$12,000	09/02/2010	
ATK 2010-4(EO)	1	\$2,500	\$2,500	\$1,500	09/02/2010	
ATK 2010-5(HS)	4	\$4,000	\$4,000	\$3,000	09/02/2010	
ATK 2010-6(HS)	5	\$5,000	\$5,000	\$3,750	09/02/2010	
ATK 2010-7(HS)	5	\$5,000	\$5,000	\$3,750	09/02/2010	
ATK 2010-8(HS)	5	\$5,000	\$5,000	\$3,750	09/02/2010	
ATK 2010-9(ROP)	1	\$5,000	\$5,000	\$3,300	09/02/2010	
ATK 2010-10(PEQ)	1	\$5,000	\$5,000	\$3,500	09/02/2010	
ATN 2009-1(ROP)	2	\$5,000	\$5,000	\$3,700	02/18/2010	
ATN 2009-2(AR)	1	\$2,500	\$2,500	\$1,800	03/02/2010	
ATN 2010-1(EO)	2	\$12,500	\$12,500	\$11,250	03/11/2010	
AVR 2010-1(HMT)	1	\$1,500	\$1,500	\$1,500	07/27/2010	
AWRR 2008-3(SA)	3	\$7,500	\$7,500	\$5,250	09/30/2010	
AWRR 2008-4(SA)	3	\$7,500	\$7,500	\$5,500	09/30/2010	
AWRR 2009-1(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2010	
AZCR 2010-1(EQ)	1	\$2,500	\$2,500	\$1,000	07/01/2010	
AZCR 2010-2(AR)	1	\$2,500	\$2,500	\$1,000	07/01/2010	
BAYL 2010-1(TS)	1	\$1,000	\$1,000	\$1,000	04/19/2010	
BB 2009-1(SA)	2	\$10,000	\$10,000	\$5,800	10/19/2009	
BB 2010-2(ROP)	1	\$7,500	\$7,500	\$5,250	08/25/2010	
BDRV 2003-1(TS)	1	\$2,000	\$0	\$0	02/26/2010	Terminated Violation(s): 1
BDW 2009-1(GC)	1	\$5,000	\$5,000	\$3,250	12/14/2009	
BNSF 2007-32(PEP)	1	\$5,000	\$5,000	\$3,250	09/30/2010	

Federal Railroad Administration
Safety Cases Closed in FY 2010

<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 2008-47(TS)	1	\$5,000	\$5,000	\$3,400	09/30/2010	
BNSF 2008-52(SA)	1	\$5,000	\$5,000	\$3,225	09/30/2010	
BNSF 2008-69(SA)	3	\$15,000	\$15,000	\$9,750	09/30/2010	
BNSF 2008-123(RSP)	2	\$6,000	\$6,000	\$4,150	09/30/2010	
BNSF 2008-163(TS)	4	\$13,500	\$13,500	\$8,750	09/30/2010	
BNSF 2008-174(TS)	1	\$7,500	\$7,500	\$5,250	09/30/2010	
BNSF 2008-194(LI)	9	\$9,000	\$9,000	\$5,500	09/30/2010	
BNSF 2008-199(HMT)	1	\$2,000	\$2,000	\$1,300	09/30/2010	
BNSF 2008-210(HMT)	1	\$2,000	\$2,000	\$1,300	09/30/2010	
BNSF 2008-211(SA)	2	\$10,000	\$10,000	\$6,500	09/30/2010	
BNSF 2008-212(RW)	5	\$9,000	\$9,000	\$5,950	09/30/2010	
BNSF 2008-215(TS)	2	\$7,500	\$7,500	\$4,875	09/30/2010	
BNSF 2008-223(TS)	7	\$8,500	\$8,500	\$5,525	09/30/2010	
BNSF 2008-232(TS)	6	\$6,000	\$6,000	\$3,900	09/30/2010	
BNSF 2008-233(SA)	3	\$12,500	\$12,500	\$7,975	09/30/2010	
BNSF 2008-236(SI)	2	\$2,000	\$2,000	\$1,300	09/30/2010	
BNSF 2008-240(RW)	1	\$2,000	\$2,000	\$1,400	09/30/2010	
BNSF 2008-244(SA)	3	\$12,000	\$12,000	\$7,510	09/30/2010	
BNSF 2008-248(HSR)	2	\$2,000	\$2,000	\$1,300	09/30/2010	
BNSF 2008-255(GC)	3	\$3,000	\$3,000	\$2,100	09/30/2010	
BNSF 2008-258(TS)	10	\$27,500	\$27,500	\$17,950	09/30/2010	
BNSF 2008-261(TS)	1	\$5,000	\$5,000	\$3,250	09/30/2010	
BNSF 2008-263(HMT)	2	\$10,000	\$10,000	\$5,500	09/30/2010	
BNSF 2008-265(RW)	1	\$5,000	\$5,000	\$3,250	09/30/2010	
BNSF 2008-268(TS)	32	\$77,000	\$77,000	\$48,650	09/30/2010	
BNSF 2008-269(HSR)	2	\$2,000	\$2,000	\$1,300	09/30/2010	
BNSF 2008-273(TS)	3	\$12,500	\$12,500	\$8,050	09/30/2010	
BNSF 2008-275(ROP)	2	\$5,000	\$0	\$0	09/30/2010	Case Terminated.
BNSF 2008-277(GC)	3	\$12,500	\$12,500	\$8,600	09/30/2010	
BNSF 2008-279(SA)	4	\$20,000	\$20,000	\$13,000	09/30/2010	
BNSF 2008-283(RW)	6	\$19,500	\$19,500	\$12,950	09/30/2010	
BNSF 2008-288(SI)	4	\$4,000	\$4,000	\$2,800	09/30/2010	
BNSF 2008-292(FCS)	1	\$2,500	\$2,500	\$1,525	09/30/2010	
BNSF 2009-4(FCS)	1	\$5,000	\$5,000	\$3,100	09/30/2010	
BNSF 2009-7(FCS)	1	\$2,500	\$2,500	\$1,625	09/30/2010	
BNSF 2009-10(FCS)	1	\$2,500	\$2,500	\$1,050	09/30/2010	
BNSF 2009-13(GC)	4	\$20,000	\$20,000	\$14,000	09/30/2010	
BNSF 2009-16(HMT)	1	\$5,000	\$5,000	\$3,300	09/30/2010	
BNSF 2009-18(HMT)	1	\$2,000	\$2,000	\$1,200	09/30/2010	
BNSF 2009-22(HMT)	1	\$2,000	\$2,000	\$1,300	09/30/2010	
BNSF 2009-23(HMT)	1	\$5,000	\$5,000	\$3,300	09/30/2010	
BNSF 2009-29(ROP)	1	\$9,500	\$9,500	\$6,450	09/30/2010	
BNSF 2009-42(RW)	1	\$5,000	\$5,000	\$3,750	09/30/2010	
BNSF 2009-44(TS)	2	\$10,000	\$10,000	\$6,875	09/30/2010	
BNSF 2009-49(FCS)	3	\$10,000	\$10,000	\$6,525	09/30/2010	
BNSF 2009-52(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2010	
BNSF 2009-53(SA)	3	\$15,000	\$15,000	\$9,750	09/30/2010	
BNSF 2009-57(TS)	11	\$17,000	\$17,000	\$10,450	09/30/2010	
BNSF 2009-58(TS)	2	\$10,000	\$10,000	\$6,800	09/30/2010	

Federal Railroad Administration
Safety Cases Closed in FY 2010

<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 2009-61(LI)	6	\$7,500	\$7,500	\$4,825	09/30/2010	
BNSF 2009-62(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2010	
BNSF 2009-63(ROR)	3	\$26,500	\$26,500	\$13,925	09/30/2010	
BNSF 2009-65(HMT)	1	\$5,000	\$5,000	\$3,200	09/30/2010	
BNSF 2009-66(AR)	4	\$10,000	\$10,000	\$5,375	09/30/2010	
BNSF 2009-67(HS)	1	\$1,000	\$1,000	\$650	09/30/2010	
BNSF 2009-68(HMT)	1	\$1,000	\$1,000	\$250	09/30/2010	
BNSF 2009-70(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2010	
BNSF 2009-72(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2010	
BNSF 2009-73(HS)	3	\$3,000	\$3,000	\$1,950	09/30/2010	
BNSF 2009-74(SA)	2	\$7,500	\$7,500	\$5,075	09/30/2010	
BNSF 2009-76(EP)	2	\$2,000	\$2,000	\$1,225	09/30/2010	
BNSF 2009-77(ROP)	1	\$5,000	\$5,000	\$3,100	09/30/2010	
BNSF 2009-78(ROR)	1	\$9,500	\$9,500	\$5,150	09/30/2010	
BNSF 2009-79(ROP)	1	\$5,000	\$5,000	\$3,550	09/30/2010	
BNSF 2009-80(ROR)	1	\$5,000	\$5,000	\$3,200	09/30/2010	
BNSF 2009-81(FCS)	1	\$2,500	\$2,500	\$1,625	09/30/2010	
BNSF 2009-82(ROR)	2	\$19,000	\$19,000	\$10,500	09/30/2010	
BNSF 2009-83(HSR)	1	\$1,000	\$1,000	\$675	09/30/2010	
BNSF 2009-86(FCS)	4	\$12,500	\$12,500	\$8,250	09/30/2010	
BNSF 2009-87(SA)	5	\$27,500	\$27,500	\$18,100	09/30/2010	
BNSF 2009-88(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2010	
BNSF 2009-89(HMT)	1	\$4,000	\$4,000	\$2,500	09/30/2010	
BNSF 2009-90(HMT)	1	\$2,000	\$2,000	\$1,350	09/30/2010	
BNSF 2009-91(HMT)	1	\$6,000	\$6,000	\$3,950	09/30/2010	
BNSF 2009-92(HMT)	1	\$1,000	\$1,000	\$600	09/30/2010	
BNSF 2009-93(ROR)	1	\$2,500	\$2,500	\$1,725	09/30/2010	
BNSF 2009-94(TS)	7	\$35,000	\$35,000	\$22,500	09/30/2010	
BNSF 2009-95(RSP)	4	\$12,000	\$12,000	\$7,500	09/30/2010	
BNSF 2009-96(HMT)	1	\$2,500	\$2,500	\$1,500	09/30/2010	
BNSF 2009-97(HMT)	1	\$2,500	\$2,500	\$1,500	09/30/2010	
BNSF 2009-98(HMT)	1	\$2,500	\$2,500	\$1,500	09/30/2010	
BNSF 2009-99(HMT)	1	\$2,500	\$2,500	\$1,500	09/30/2010	
BNSF 2009-100(HMT)	1	\$5,000	\$2,500	\$1,500	09/30/2010	Partial Termination: 1 from \$5,000 to \$2,500.
BNSF 2009-101(RSP)	2	\$2,000	\$2,000	\$1,350	09/30/2010	
BNSF 2009-102(TS)	2	\$10,000	\$10,000	\$6,400	09/30/2010	
BNSF 2009-103(TS)	3	\$15,000	\$15,000	\$9,650	09/30/2010	
BNSF 2009-104(TS)	1	\$5,000	\$5,000	\$3,400	09/30/2010	
BNSF 2009-105(TS)	1	\$5,000	\$5,000	\$3,400	09/30/2010	
BNSF 2009-106(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2010	
BNSF 2009-107(FCS)	2	\$7,500	\$7,500	\$5,000	09/30/2010	
BNSF 2009-108(GC)	2	\$2,000	\$2,000	\$1,525	09/30/2010	
BNSF 2009-109(TS)	2	\$3,500	\$3,500	\$2,350	09/30/2010	
BNSF 2009-110(SA)	3	\$12,500	\$12,500	\$7,150	09/30/2010	
BNSF 2009-111(FCS)	1	\$5,000	\$5,000	\$3,250	09/30/2010	
BNSF 2009-112(SA)	6	\$30,000	\$30,000	\$19,500	09/30/2010	
BNSF 2009-113(SI)	1	\$5,000	\$5,000	\$3,500	09/30/2010	
BNSF 2009-116(RW)	1	\$3,000	\$3,000	\$2,050	09/30/2010	
BNSF 2009-171(TS)	1	\$5,000	\$5,000	\$3,300	09/30/2010	

Federal Railroad Administration
Safety Cases Closed in FY 2010

<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 2009-172(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2010	
BNSF 2009-173(TS)	4	\$20,000	\$20,000	\$12,950	09/30/2010	
BNSF 2009-174(TS)	4	\$15,000	\$15,000	\$10,150	09/30/2010	
BNSF 2009-175(TS)	2	\$7,500	\$7,500	\$5,000	09/30/2010	
BNSF 2009-176(RSP)	1	\$1,000	\$1,000	\$650	09/30/2010	
BNSF 2009-177(REM)	1	\$5,000	\$5,000	\$3,350	09/30/2010	
BNSF 2009-178(FCS)	2	\$7,500	\$7,500	\$4,950	09/30/2010	
BNSF 2009-179(GC)	12	\$12,000	\$12,000	\$8,640	09/30/2010	
BNSF 2009-180(FCS)	3	\$7,500	\$7,500	\$4,950	09/30/2010	
BNSF 2009-181(TS)	1	\$2,500	\$2,500	\$1,650	09/30/2010	
BNSF 2009-182(TS)	3	\$7,500	\$7,500	\$4,775	09/30/2010	
BNSF 2009-183(SA)	3	\$10,000	\$10,000	\$6,500	09/30/2010	
BNSF 2009-184(SA)	2	\$5,000	\$5,000	\$3,075	09/30/2010	
BNSF 2009-185(SA)	1	\$2,500	\$2,500	\$650	09/30/2010	
BNSF 2009-188(SA)	4	\$20,000	\$10,000	\$7,500	09/30/2010	Terminated Violation(s): 3, 4.
BNSF 2009-190(LI)	2	\$5,000	\$5,000	\$3,200	09/30/2010	
BNSF 2009-191(RW)	1	\$1,000	\$1,000	\$650	09/30/2010	
BNSF 2009-192(RW)	1	\$5,000	\$5,000	\$3,500	09/30/2010	
BNSF 2009-193(RW)	1	\$1,000	\$1,000	\$650	09/30/2010	
BNSF 2009-194(RW)	1	\$1,000	\$1,000	\$650	09/30/2010	
BNSF 2009-195(LI)	2	\$3,500	\$3,500	\$2,050	09/30/2010	
BNSF 2009-196(FCS)	1	\$5,000	\$5,000	\$3,100	09/30/2010	
BNSF 2009-197(LI)	45	\$45,000	\$45,000	\$27,000	09/30/2010	
BNSF 2009-198(TS)	1	\$5,000	\$5,000	\$3,250	09/30/2010	
BNSF 2009-199(ROP)	1	\$7,500	\$0	\$0	09/30/2010	Case Terminated.
BNSF 2009-200(HSR)	4	\$4,000	\$4,000	\$2,600	09/30/2010	
BNSF 2009-201(SA)	3	\$12,500	\$12,500	\$8,000	09/30/2010	
BNSF 2009-202(SA)	1	\$2,500	\$2,500	\$1,625	09/30/2010	
BNSF 2009-203(LI)	3	\$7,500	\$7,500	\$4,950	09/30/2010	
BNSF 2009-204(TS)	14	\$35,000	\$35,000	\$22,750	09/30/2010	
BNSF 2009-205(HMT)	1	\$2,500	\$2,500	\$1,350	09/30/2010	
BNSF 2009-206(HMT)	1	\$6,000	\$6,000	\$3,950	09/30/2010	
BNSF 2009-207(TS)	3	\$21,000	\$21,000	\$13,850	09/30/2010	
BNSF 2009-208(SA)	5	\$25,000	\$25,000	\$16,250	09/30/2010	
BNSF 2009-209(SA)	4	\$20,000	\$20,000	\$13,000	09/30/2010	
BNSF 2009-210(HMT)	1	\$7,500	\$7,500	\$4,800	09/30/2010	
BNSF 2009-211(AR)	2	\$5,000	\$5,000	\$3,125	09/30/2010	
BNSF 2009-212(GC)	2	\$7,500	\$7,500	\$5,000	09/30/2010	
BNSF 2009-213(SI)	1	\$1,000	\$1,000	\$650	09/30/2010	
BNSF 2009-214(SA)	2	\$10,000	\$10,000	\$6,400	09/30/2010	
BNSF 2009-215(SA)	5	\$25,000	\$25,000	\$16,350	09/30/2010	
BNSF 2009-216(SA)	1	\$5,000	\$5,000	\$3,000	09/30/2010	
BNSF 2009-217(ROP)	1	\$9,500	\$9,500	\$6,800	09/30/2010	
BNSF 2009-218(HS)	2	\$2,000	\$2,000	\$1,300	09/30/2010	
BNSF 2009-219(AR)	1	\$2,500	\$2,500	\$1,250	09/30/2010	
BNSF 2009-220(EP)	1	\$1,000	\$1,000	\$650	09/30/2010	
BNSF 2009-221(AD)	2	\$5,000	\$5,000	\$3,250	09/30/2010	
BNSF 2009-223(RW)	1	\$1,000	\$1,000	\$650	09/30/2010	
BNSF 2009-224(LI)	3	\$7,000	\$7,000	\$4,500	09/30/2010	

Federal Railroad Administration
Safety Cases Closed in FY 2010

<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 2009-225(GC)	3	\$7,000	\$7,000	\$4,600	09/30/2010	
BNSF 2009-226(GC)	2	\$3,500	\$3,500	\$2,275	09/30/2010	
BNSF 2009-227(SA)	2	\$10,000	\$10,000	\$6,500	09/30/2010	
BNSF 2009-228(SA)	1	\$5,000	\$5,000	\$3,000	09/30/2010	
BNSF 2009-229(SA)	1	\$2,500	\$2,500	\$1,550	09/30/2010	
BNSF 2009-230(SA)	4	\$10,000	\$10,000	\$5,800	09/30/2010	
BNSF 2009-231(SA)	4	\$10,000	\$10,000	\$5,875	09/30/2010	
BNSF 2009-232(SA)	4	\$17,500	\$17,500	\$11,125	09/30/2010	
BNSF 2009-233(FCS)	5	\$15,000	\$15,000	\$10,250	09/30/2010	
BNSF 2009-234(FCS)	1	\$5,000	\$5,000	\$3,250	09/30/2010	
BNSF 2009-235(SI)	2	\$7,500	\$7,500	\$5,250	09/30/2010	
BNSF 2009-236(FCS)	1	\$2,500	\$2,500	\$1,625	09/30/2010	
BNSF 2009-237(SA)	2	\$7,500	\$7,500	\$5,000	09/30/2010	
BNSF 2009-238(FCS)	1	\$2,500	\$2,500	\$1,525	09/30/2010	
BNSF 2009-239(TS)	2	\$7,000	\$7,000	\$4,925	09/30/2010	
BNSF 2009-240(ROP)	1	\$9,500	\$9,500	\$6,000	09/30/2010	
BNSF 2009-241(TS)	1	\$2,500	\$2,500	\$1,575	09/30/2010	
BNSF 2009-243(HMT)	1	\$1,000	\$0	\$0	09/30/2010	Case Terminated.
BNSF 2009-244(AR)	1	\$2,500	\$2,500	\$1,575	09/30/2010	
BNSF 2009-245(SA)	1	\$2,500	\$2,500	\$1,600	09/30/2010	
BNSF 2009-246(LI)	3	\$7,500	\$7,500	\$4,700	09/30/2010	
BNSF 2009-247(LI)	1	\$5,000	\$5,000	\$3,275	09/30/2010	
BNSF 2009-248(TS)	2	\$7,500	\$7,500	\$4,675	09/30/2010	
BNSF 2009-249(SA)	1	\$5,000	\$5,000	\$3,150	09/30/2010	
BNSF 2009-250(SA)	1	\$5,000	\$5,000	\$3,100	09/30/2010	
BNSF 2009-251(TS)	1	\$2,500	\$2,500	\$1,625	09/30/2010	
BNSF 2009-252(TS)	3	\$11,000	\$11,000	\$7,150	09/30/2010	
BNSF 2009-253(HMT)	1	\$2,500	\$2,500	\$1,350	09/30/2010	
BNSF 2009-254(TS)	3	\$6,000	\$6,000	\$3,950	09/30/2010	
BNSF 2009-255(TS)	1	\$2,500	\$2,500	\$1,625	09/30/2010	
BNSF 2009-256(FCS)	2	\$5,000	\$5,000	\$3,250	09/30/2010	
BNSF 2009-257(FCS)	3	\$7,500	\$7,500	\$4,500	09/30/2010	
BNSF 2009-258(SA)	3	\$10,000	\$10,000	\$6,525	09/30/2010	
BNSF 2009-259(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2010	
BNSF 2009-260(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2010	
BNSF 2009-262(HSR)	1	\$1,000	\$1,000	\$650	09/30/2010	
BNSF 2009-263(GC)	1	\$2,500	\$2,500	\$1,700	09/30/2010	
BNSF 2009-264(ROP)	1	\$7,500	\$7,500	\$4,725	09/30/2010	
BNSF 2009-265(SI)	2	\$3,500	\$3,500	\$2,450	09/30/2010	
BNSF 2009-266(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2010	
BNSF 2009-267(SI)	3	\$3,000	\$3,000	\$1,950	09/30/2010	
BNSF 2009-268(HSR)	3	\$3,000	\$3,000	\$1,950	09/30/2010	
BNSF 2009-269(SA)	4	\$15,000	\$15,000	\$9,575	09/30/2010	
BNSF 2009-270(SA)	3	\$12,500	\$12,500	\$8,400	09/30/2010	
BNSF 2009-271(SA)	4	\$17,500	\$17,500	\$11,475	09/30/2010	
BNSF 2009-272(SA)	4	\$15,000	\$15,000	\$9,800	09/30/2010	
BNSF 2009-273(HSR)	2	\$2,000	\$2,000	\$1,300	09/30/2010	
BNSF 2009-274(HS)	3	\$3,000	\$3,000	\$1,950	09/30/2010	
BNSF 2009-275(SA)	5	\$25,000	\$25,000	\$16,000	09/30/2010	

Federal Railroad Administration
Safety Cases Closed in FY 2010

<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 2009-276(HS)	1	\$1,000	\$1,000	\$650	09/30/2010	
BNSF 2009-277(AD)	1	\$5,000	\$5,000	\$3,250	09/30/2010	
BNSF 2009-278(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2010	
BNSF 2009-279(LI)	1	\$2,500	\$2,500	\$1,375	09/30/2010	
BNSF 2009-280(EQ)	1	\$5,000	\$5,000	\$3,250	09/30/2010	
BNSF 2009-281(FCS)	1	\$2,500	\$2,500	\$1,450	09/30/2010	
BNSF 2009-282(TS)	1	\$5,000	\$5,000	\$3,250	09/30/2010	
BNSF 2009-283(HS)	4	\$4,000	\$4,000	\$2,600	09/30/2010	
BNSF 2009-284(SA)	4	\$12,500	\$12,500	\$8,750	09/30/2010	
BNSF 2009-285(SA)	5	\$22,500	\$22,500	\$15,600	09/30/2010	
BNSF 2009-286(ROP)	1	\$7,500	\$7,500	\$4,800	09/30/2010	
BNSF 2009-287(FCS)	1	\$5,000	\$5,000	\$3,300	09/30/2010	
BNSF 2009-289(SA)	3	\$10,000	\$10,000	\$6,750	09/30/2010	
BNSF 2009-290(SA)	1	\$2,500	\$2,500	\$650	09/30/2010	
BNSF 2009-291(LI)	1	\$2,500	\$2,500	\$1,575	09/30/2010	
BNSF 2009-292(GS)	1	\$2,500	\$2,500	\$1,600	09/30/2010	
BNSF 2009-293(FCS)	2	\$5,000	\$5,000	\$3,225	09/30/2010	
BNSF 2009-294(RW)	1	\$2,500	\$2,500	\$1,700	09/30/2010	
BNSF 2009-295(FCS)	1	\$2,500	\$2,500	\$1,550	09/30/2010	
BNSF 2009-296(RW)	1	\$2,000	\$2,000	\$1,400	09/30/2010	
BNSF 2009-297(SA)	4	\$10,000	\$10,000	\$6,250	09/30/2010	
BNSF 2009-298(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2010	
BNSF 2009-299(RSP)	3	\$15,000	\$15,000	\$9,350	09/30/2010	
BNSF 2009-300(RSP)	2	\$10,000	\$10,000	\$6,250	09/30/2010	
BNSF 2009-301(TS)	5	\$25,000	\$25,000	\$15,900	09/30/2010	
BNSF 2009-302(TS)	8	\$25,500	\$25,500	\$16,150	09/30/2010	
BNSF 2009-303(TS)	2	\$5,000	\$5,000	\$3,250	09/30/2010	
BNSF 2009-304(SA)	2	\$7,500	\$7,500	\$4,925	09/30/2010	
BNSF 2009-305(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2010	
BNSF 2009-306(SA)	3	\$10,000	\$10,000	\$6,500	09/30/2010	
BNSF 2009-307(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2010	
BNSF 2009-308(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2010	
BNSF 2009-309(SA)	5	\$22,500	\$22,500	\$14,500	09/30/2010	
BNSF 2009-310(GC)	1	\$2,500	\$2,500	\$1,700	09/30/2010	
BNSF 2009-311(SA)	2	\$7,500	\$7,500	\$4,850	09/30/2010	
BNSF 2009-312(TS)	1	\$5,000	\$5,000	\$3,250	09/30/2010	
BNSF 2009-313(SA)	1	\$2,500	\$2,500	\$1,600	09/30/2010	
BNSF 2009-314(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2010	
BNSF 2009-315(HS)	1	\$1,000	\$1,000	\$650	09/30/2010	
BNSF 2009-316(LI)	1	\$2,500	\$2,500	\$1,525	09/30/2010	
BNSF 2009-317(LI)	1	\$2,500	\$2,500	\$1,525	09/30/2010	
BNSF 2009-318(TS)	2	\$10,000	\$10,000	\$6,500	09/30/2010	
BNSF 2009-319(RSP)	1	\$5,000	\$5,000	\$3,150	09/30/2010	
BNSF 2009-320(TS)	3	\$15,000	\$15,000	\$9,750	09/30/2010	
BNSF 2009-322(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2010	
BNSF 2009-323(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2010	
BNSF 2009-324(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2010	
BNSF 2009-325(TS)	1	\$5,000	\$5,000	\$3,500	09/30/2010	
BNSF 2009-326(RSP)	1	\$5,000	\$5,000	\$2,700	09/30/2010	

Federal Railroad Administration
Safety Cases Closed in FY 2010

<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 2009-327(SA)	2	\$10,000	\$10,000	\$6,550	09/30/2010	
BNSF 2009-328(TS)	1	\$2,500	\$2,500	\$1,625	09/30/2010	
BNSF 2009-329(SA)	2	\$10,000	\$10,000	\$6,400	09/30/2010	
BNSF 2009-332(LI)	1	\$2,500	\$2,500	\$1,500	09/30/2010	
BNSF 2009-333(SA)	1	\$2,500	\$2,500	\$650	09/30/2010	
BNSF 2009-334(ROP)	5	\$37,500	\$37,500	\$23,900	09/30/2010	
BNSF 2009-335(TS)	1	\$5,000	\$5,000	\$3,400	09/30/2010	
BNSF 2009-336(TS)	1	\$1,000	\$1,000	\$700	09/30/2010	
BNSF 2009-337(TS)	1	\$2,500	\$2,500	\$1,700	09/30/2010	
BNSF 2009-338(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2010	
BNSF 2009-339(SA)	2	\$7,500	\$7,500	\$4,900	09/30/2010	
BNSF 2009-340(RW)	1	\$1,000	\$1,000	\$650	09/30/2010	
BNSF 2009-341(HSR)	1	\$1,000	\$1,000	\$650	09/30/2010	
BNSF 2009-342(HMT)	2	\$12,000	\$12,000	\$7,900	09/30/2010	
BNSF 2009-343(HMT)	1	\$6,000	\$6,000	\$2,700	09/30/2010	
BNSF 2009-344(HMT)	6	\$41,500	\$41,500	\$24,900	09/30/2010	
BNSF 2009-345(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2010	
BNSF 2009-346(GC)	2	\$10,000	\$10,000	\$7,050	09/30/2010	
BNSF 2009-347(HMT)	1	\$4,000	\$4,000	\$2,400	09/30/2010	
BNSF 2009-348(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2010	
BNSF 2009-349(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2010	
BNSF 2009-350(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2010	
BNSF 2009-351(TS)	2	\$7,500	\$7,500	\$4,925	09/30/2010	
BNSF 2009-352(TS)	5	\$17,500	\$17,500	\$11,800	09/30/2010	
BNSF 2009-353(TS)	3	\$10,000	\$10,000	\$7,000	09/30/2010	
BNSF 2009-354(SA)	3	\$10,000	\$10,000	\$6,000	09/30/2010	
BNSF 2009-355(SA)	2	\$10,000	\$10,000	\$6,350	09/30/2010	
BNSF 2009-356(SA)	1	\$2,500	\$2,500	\$1,500	09/30/2010	
BNSF 2009-357(FCS)	2	\$10,000	\$10,000	\$6,600	09/30/2010	
BNSF 2009-358(ROP)	1	\$9,500	\$9,500	\$6,300	09/30/2010	
BNSF 2009-359(TS)	4	\$12,500	\$12,500	\$8,050	09/30/2010	
BNSF 2009-360(TS)	1	\$5,000	\$5,000	\$3,250	09/30/2010	
BNSF 2009-361(TS)	4	\$12,500	\$12,500	\$8,375	09/30/2010	
BNSF 2009-362(TS)	6	\$15,000	\$15,000	\$10,500	09/30/2010	
BNSF 2009-363(TS)	3	\$12,500	\$12,500	\$8,100	09/30/2010	
BNSF 2009-365(HMT)	2	\$11,500	\$11,500	\$7,550	09/30/2010	
BNSF 2009-366(ROP)	3	\$22,500	\$22,500	\$14,200	09/30/2010	
BNSF 2009-367(SA)	3	\$12,500	\$12,500	\$7,875	09/30/2010	
BNSF 2009-368(RSP)	2	\$3,500	\$3,500	\$1,575	09/30/2010	
BNSF 2009-369(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2010	
BNSF 2009-370(LI)	1	\$2,500	\$2,500	\$1,450	09/30/2010	
BNSF 2009-371(SA)	3	\$12,500	\$12,500	\$8,250	09/30/2010	
BNSF 2009-372(SA)	1	\$5,000	\$5,000	\$3,050	09/30/2010	
BNSF 2009-373(ROP)	1	\$7,500	\$7,500	\$5,000	09/30/2010	
BNSF 2009-374(GC)	3	\$15,000	\$15,000	\$10,500	09/30/2010	
BNSF 2009-375(ROP)	3	\$20,000	\$20,000	\$12,000	09/30/2010	
BNSF 2009-376(TS)	1	\$5,000	\$5,000	\$3,400	09/30/2010	
BNSF 2009-377(TS)	2	\$6,000	\$6,000	\$3,700	09/30/2010	
BNSF 2009-378(TS)	2	\$5,000	\$5,000	\$3,350	09/30/2010	

Federal Railroad Administration
Safety Cases Closed in FY 2010

<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 2009-379(TS)	10	\$11,500	\$11,500	\$7,545	09/30/2010	
BNSF 2009-380(TS)	1	\$2,500	\$2,500	\$1,675	09/30/2010	
BNSF 2009-381(HS)	3	\$3,000	\$3,000	\$1,950	09/30/2010	
BNSF 2009-382(HS)	1	\$1,000	\$1,000	\$650	09/30/2010	
BNSF 2009-383(HS)	2	\$2,000	\$2,000	\$1,300	09/30/2010	
BNSF 2009-384(HSR)	5	\$5,000	\$5,000	\$3,250	09/30/2010	
BNSF 2009-385(HSR)	6	\$6,000	\$6,000	\$3,900	09/30/2010	
BNSF 2009-386(HMT)	1	\$3,000	\$3,000	\$2,100	09/30/2010	
BNSF 2009-387(TS)	2	\$3,500	\$3,500	\$2,325	09/30/2010	
BNSF 2009-388(TS)	1	\$5,000	\$5,000	\$3,100	09/30/2010	
BNSF 2009-389(TS)	6	\$22,500	\$22,500	\$14,500	09/30/2010	
BNSF 2009-390(TS)	2	\$10,000	\$10,000	\$6,500	09/30/2010	
BNSF 2009-391(EO)	2	\$5,000	\$2,500	\$1,675	09/30/2010	Terminated Violation(s): 2.
BNSF 2009-392(ROP)	1	\$9,500	\$9,500	\$6,300	09/30/2010	
BNSF 2009-393(SA)	1	\$5,000	\$5,000	\$3,050	09/30/2010	
BNSF 2009-394(FCS)	2	\$5,000	\$5,000	\$3,150	09/30/2010	
BNSF 2009-395(TS)	1	\$1,000	\$1,000	\$650	09/30/2010	
BNSF 2009-396(SA)	3	\$10,000	\$10,000	\$6,800	09/30/2010	
BNSF 2009-397(SA)	3	\$15,000	\$15,000	\$9,800	09/30/2010	
BNSF 2009-398(SA)	1	\$5,000	\$5,000	\$3,275	09/30/2010	
BNSF 2009-399(ROP)	3	\$24,500	\$24,500	\$16,000	09/30/2010	
BNSF 2009-400(LI)	2	\$5,000	\$5,000	\$3,250	09/30/2010	
BNSF 2009-401(RW)	3	\$3,000	\$2,000	\$1,375	09/30/2010	Terminated Violation(s): 1.
BNSF 2009-402(TS)	11	\$11,000	\$11,000	\$7,700	09/30/2010	
BNSF 2009-404(TS)	3	\$3,000	\$3,000	\$2,100	09/30/2010	
BNSF 2009-405(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2010	
BNSF 2009-408(HMT)	1	\$2,000	\$2,000	\$875	09/30/2010	
BNSF 2009-409(LI)	3	\$7,500	\$7,500	\$4,750	09/30/2010	
BNSF 2009-410(RW)	3	\$5,000	\$5,000	\$3,400	09/30/2010	
BNSF 2009-411(EP)	1	\$1,000	\$1,000	\$650	09/30/2010	
BNSF 2009-412(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2010	
BNSF 2009-413(SA)	3	\$7,500	\$7,500	\$4,950	09/30/2010	
BNSF 2009-414(SA)	1	\$2,500	\$2,500	\$1,500	09/30/2010	
BNSF 2009-415(EP)	4	\$4,000	\$4,000	\$2,600	09/30/2010	
BNSF 2009-417(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2010	
BNSF 2009-419(LI)	1	\$2,500	\$2,500	\$1,575	09/30/2010	
BNSF 2009-420(HMT)	1	\$4,000	\$4,000	\$2,600	09/30/2010	
BNSF 2009-421(HS)	1	\$1,000	\$1,000	\$650	09/30/2010	
BNSF 2009-422(EO)	3	\$7,500	\$5,000	\$3,350	09/30/2010	Terminated Violation(s): 1.
BNSF 2009-423(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2010	
BNSF 2010-1(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2010	
BNSF 2010-2(ROP)	1	\$7,500	\$7,500	\$4,650	09/30/2010	
BNSF 2010-3(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2010	
BNSF 2010-4(SA)	1	\$5,000	\$5,000	\$2,750	09/30/2010	
BNSF 2010-5(ROP)	2	\$15,000	\$15,000	\$9,500	09/30/2010	
BNSF 2010-6(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2010	
BNSF 2010-7(TS)	1	\$2,500	\$2,500	\$1,600	09/30/2010	
BNSF 2010-8(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2010	
BNSF 2010-9(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2010	

Federal Railroad Administration
Safety Cases Closed in FY 2010

<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 2010-10(TS)	9	\$35,000	\$35,000	\$23,800	09/30/2010	
BNSF 2010-11(TS)	1	\$2,500	\$2,500	\$1,600	09/30/2010	
BNSF 2010-12(TS)	3	\$7,500	\$7,500	\$4,975	09/30/2010	
BNSF 2010-13(TS)	2	\$7,500	\$7,500	\$4,925	09/30/2010	
BNSF 2010-14(TS)	3	\$15,000	\$15,000	\$9,450	09/30/2010	
BNSF 2010-15(TS)	4	\$10,000	\$10,000	\$6,500	09/30/2010	
BNSF 2010-16(TS)	3	\$7,500	\$7,500	\$5,025	09/30/2010	
BNSF 2010-17(TS)	2	\$10,000	\$10,000	\$6,500	09/30/2010	
BNSF 2010-18(LI)	4	\$8,500	\$8,500	\$5,350	09/30/2010	
BNSF 2010-19(TS)	3	\$12,500	\$12,500	\$7,700	09/30/2010	
BNSF 2010-20(TS)	9	\$9,000	\$9,000	\$6,030	09/30/2010	
BNSF 2010-23(RW)	1	\$1,000	\$1,000	\$650	09/30/2010	
BNSF 2010-24(TS)	10	\$10,000	\$10,000	\$6,700	09/30/2010	
BNSF 2010-25(TS)	2	\$7,500	\$7,500	\$5,100	09/30/2010	
BNSF 2010-26(TS)	6	\$17,500	\$17,500	\$11,475	09/30/2010	
BNSF 2010-27(TS)	3	\$10,000	\$10,000	\$6,350	09/30/2010	
BNSF 2010-28(TS)	2	\$3,500	\$3,500	\$2,300	09/30/2010	
BNSF 2010-29(TS)	2	\$3,500	\$3,500	\$2,275	09/30/2010	
BNSF 2010-30(TS)	6	\$22,500	\$22,500	\$14,150	09/30/2010	
BNSF 2010-31(TS)	4	\$9,500	\$9,500	\$6,150	09/30/2010	
BNSF 2010-32(TS)	2	\$7,500	\$7,500	\$4,625	09/30/2010	
BNSF 2010-33(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2010	
BNSF 2010-34(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2010	
BNSF 2010-35(ROP)	1	\$7,500	\$7,500	\$4,775	09/30/2010	
BNSF 2010-36(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2010	
BNSF 2010-37(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2010	
BNSF 2010-38(SA)	2	\$10,000	\$10,000	\$6,500	09/30/2010	
BNSF 2010-39(EQ)	1	\$2,500	\$0	\$0	09/30/2010	Case Terminated.
BNSF 2010-40(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2010	
BNSF 2010-41(TS)	2	\$10,000	\$10,000	\$6,250	09/30/2010	
BNSF 2010-42(SA)	2	\$7,500	\$7,500	\$4,825	09/30/2010	
BNSF 2010-44(SA)	1	\$5,000	\$5,000	\$3,150	09/30/2010	
BNSF 2010-45(GC)	1	\$2,500	\$2,500	\$1,700	09/30/2010	
BNSF 2010-48(HSR)	5	\$5,000	\$5,000	\$3,250	09/30/2010	
BNSF 2010-49(HSR)	1	\$1,000	\$1,000	\$650	09/30/2010	
BNSF 2010-50(HMT)	1	\$6,000	\$6,000	\$3,975	09/30/2010	
BNSF 2010-51(GC)	2	\$7,500	\$7,500	\$5,250	09/30/2010	
BNSF 2010-52(HMT)	3	\$11,000	\$11,000	\$6,850	09/30/2010	
BNSF 2010-53(HMT)	2	\$11,000	\$11,000	\$7,450	09/30/2010	
BNSF 2010-57(HMT)	1	\$6,000	\$6,000	\$4,000	09/30/2010	
BNSF 2010-60(TS)	4	\$4,000	\$4,000	\$2,650	09/30/2010	
BNSF 2010-61(TS)	3	\$10,000	\$10,000	\$6,500	09/30/2010	
BNSF 2010-62(TS)	3	\$6,000	\$6,000	\$4,000	09/30/2010	
BNSF 2010-63(EO)	1	\$2,500	\$2,500	\$1,625	09/30/2010	
BNSF 2010-65(TS)	3	\$12,500	\$12,500	\$7,650	09/30/2010	
BNSF 2010-66(TS)	1	\$1,000	\$1,000	\$650	09/30/2010	
BNSF 2010-68(SA)	2	\$7,500	\$7,500	\$4,975	09/30/2010	
BNSF 2010-69(RW)	1	\$2,000	\$2,000	\$1,400	09/30/2010	
BNSF 2010-72(HMT)	2	\$9,000	\$9,000	\$5,600	09/30/2010	

Federal Railroad Administration
Safety Cases Closed in FY 2010

<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 2010-74(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2010	
BNSF 2010-77(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2010	
BNSF 2010-78(GC)	1	\$2,500	\$2,500	\$1,700	09/30/2010	
BNSF 2010-79(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2010	
BNSF 2010-80(TS)	1	\$5,000	\$5,000	\$3,075	09/30/2010	
BNSF 2010-81(TS)	5	\$5,000	\$5,000	\$3,250	09/30/2010	
BNSF 2010-82(TS)	5	\$22,500	\$22,500	\$13,750	09/30/2010	
BNSF 2010-83(TS)	5	\$5,000	\$5,000	\$3,250	09/30/2010	
BNSF 2010-84(TS)	11	\$11,000	\$11,000	\$7,150	09/30/2010	
BNSF 2010-85(TS)	13	\$13,000	\$13,000	\$8,550	09/30/2010	
BNSF 2010-86(TS)	2	\$7,500	\$7,500	\$4,650	09/30/2010	
BNSF 2010-87(ROP)	1	\$7,500	\$7,500	\$4,700	09/30/2010	
BNSF 2010-89(TS)	3	\$7,500	\$7,500	\$4,875	09/30/2010	
BNSF 2010-90(TS)	2	\$7,500	\$7,500	\$5,150	09/30/2010	
BNSF 2010-91(TS)	3	\$3,000	\$3,000	\$2,100	09/30/2010	
BNSF 2010-92(TS)	3	\$12,500	\$12,500	\$8,250	09/30/2010	
BNSF 2010-93(TS)	3	\$12,500	\$12,500	\$8,050	09/30/2010	
BNSF 2010-94(LI)	1	\$2,500	\$2,500	\$1,550	09/30/2010	
BNSF 2010-95(TS)	3	\$7,500	\$7,500	\$4,925	09/30/2010	
BNSF 2010-97(TS)	3	\$7,500	\$7,500	\$5,000	09/30/2010	
BNSF 2010-98(TS)	10	\$10,000	\$10,000	\$6,850	09/30/2010	
BNSF 2010-99(SA)	1	\$5,000	\$5,000	\$3,100	09/30/2010	
BNSF 2010-100(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2010	
BNSF 2010-101(GC)	1	\$2,500	\$2,500	\$1,750	09/30/2010	
BNSF 2010-102(TS)	2	\$5,000	\$5,000	\$3,200	09/30/2010	
BNSO 2009-1(HSR)	6	\$6,000	\$6,000	\$3,900	09/30/2010	
BNSO 2010-2(AR)	2	\$5,000	\$5,000	\$2,700	09/30/2010	
BRC 2007-6(HMT)	1	\$5,000	\$5,000	\$3,250	01/28/2010	
BRC 2007-7(FCS)	1	\$2,500	\$2,500	\$1,600	01/28/2010	
BRC 2008-1(LI)	1	\$2,500	\$2,500	\$1,500	01/28/2010	
BRC 2009-1(SA)	1	\$5,000	\$5,000	\$3,250	01/28/2010	
BRC 2009-2(HMT)	3	\$19,000	\$19,000	\$11,000	01/28/2010	
BRC 2009-3(HMT)	4	\$8,000	\$8,000	\$4,500	01/28/2010	
BRC 2009-4(AR)	6	\$6,000	\$6,000	\$3,500	01/28/2010	
BRC 2009-5(AR)	1	\$2,500	\$2,500	\$1,500	01/28/2010	
BRC 2009-6(SA)	2	\$10,000	\$10,000	\$6,400	01/28/2010	
BRC 2009-7(AR)	4	\$9,000	\$9,000	\$5,800	01/28/2010	
CARR 2009-3(TS)	10	\$10,000	\$10,000	\$6,300	09/30/2010	
CC 2009-1(LI)	1	\$2,500	\$2,500	\$1,750	09/30/2010	
CCPN 2009-1(SA)	1	\$5,000	\$5,000	\$3,500	01/11/2010	
CCRA 2009-1(GC)	1	\$2,500	\$2,500	\$1,500	10/20/2009	
CCRA 2010-1(HMT)	1	\$1,500	\$1,500	\$1,500	04/22/2010	
CFNR 2008-1(GC)	1	\$5,000	\$5,000	\$3,500	10/21/2009	
CFNR 2008-2(FCS)	1	\$5,000	\$5,000	\$3,600	10/21/2009	
CFNR 2008-3(SA)	3	\$7,500	\$7,500	\$5,250	10/21/2009	
CHW 2008-1(FCS)	4	\$10,000	\$10,000	\$7,200	09/29/2010	
CHW 2009-1(SA)	1	\$10,000	\$10,000	\$7,000	09/29/2010	
CMTY 2008-1(GC)	1	\$5,000	\$5,000	\$5,000	01/28/2010	
CMTY 2008-2(ROR)	3	\$10,000	\$10,000	\$10,000	01/28/2010	

Federal Railroad Administration
Safety Cases Closed in FY 2010

<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>
CMTY 2008-3(GC)	1	\$5,000	\$5,000	\$5,000	01/28/2010	
CMTY 2008-4(AR)	1	\$5,000	\$0	\$0	03/01/2010	
CMTY 2009-1(EQ)	3	\$7,500	\$7,500	\$7,500	01/28/2010	
CMTY 2009-2(GC)	1	\$2,500	\$2,500	\$2,500	01/28/2010	
CMTY 2009-3(SI)	1	\$5,000	\$5,000	\$5,000	01/28/2010	
CMTY 2009-4(GC)	1	\$5,000	\$5,000	\$5,000	01/28/2010	
CMTY 2010-1(HMT)	1	\$2,500	\$2,500	\$2,500	01/28/2010	
CN 2006-84(AR)	4	\$10,000	\$10,000	\$6,250	09/30/2010	
CN 2007-54(AR)	1	\$1,000	\$1,000	\$700	09/30/2010	
CN 2008-48(HMT)	3	\$14,000	\$14,000	\$9,700	09/30/2010	
CN 2009-1(SA)	3	\$12,500	\$12,500	\$8,550	09/30/2010	
CN 2009-2(FCS)	1	\$2,500	\$2,500	\$1,625	09/30/2010	
CN 2009-3(TS)	2	\$3,500	\$3,500	\$2,415	09/30/2010	
CN 2009-4(HS)	10	\$10,000	\$10,000	\$7,100	09/30/2010	
CN 2009-5(SA)	3	\$15,000	\$15,000	\$10,200	09/30/2010	
CN 2009-6(SA)	3	\$12,500	\$12,500	\$8,550	09/30/2010	
CN 2009-7(EP)	1	\$1,000	\$1,000	\$600	09/30/2010	
CN 2009-8(SI)	1	\$1,000	\$1,000	\$680	09/30/2010	
CN 2009-9(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2010	
CN 2009-10(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2010	
CN 2009-11(HS)	2	\$2,000	\$2,000	\$1,340	09/30/2010	
CN 2009-12(HSR)	1	\$1,000	\$1,000	\$650	09/30/2010	
CN 2009-13(RW)	1	\$5,000	\$5,000	\$3,500	09/30/2010	
CN 2009-14(LI)	1	\$2,500	\$2,500	\$1,625	09/30/2010	
CN 2009-15(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2010	
CN 2009-16(FCS)	1	\$5,000	\$5,000	\$3,250	09/30/2010	
CN 2009-17(SA)	4	\$12,500	\$12,500	\$8,500	09/30/2010	
CN 2009-18(SA)	4	\$12,500	\$12,500	\$8,700	09/30/2010	
CN 2009-19(TS)	1	\$2,500	\$2,500	\$1,700	09/30/2010	
CN 2009-20(HMT)	3	\$9,500	\$9,500	\$6,875	09/30/2010	
CN 2009-22(SA)	3	\$15,000	\$15,000	\$10,300	09/30/2010	
CN 2009-23(SA)	4	\$17,500	\$17,500	\$11,900	09/30/2010	
CN 2009-24(HMT)	3	\$11,000	\$11,000	\$8,050	09/30/2010	
CN 2009-25(FCS)	1	\$5,000	\$5,000	\$3,250	09/30/2010	
CN 2009-26(HS)	2	\$2,000	\$2,000	\$1,340	09/30/2010	
CN 2009-27(LI)	6	\$15,000	\$15,000	\$10,125	09/30/2010	
CN 2009-28(FCS)	2	\$10,000	\$10,000	\$6,700	09/30/2010	
CN 2009-29(SA)	2	\$10,000	\$10,000	\$6,800	09/30/2010	
CN 2009-31(HMT)	2	\$8,000	\$8,000	\$5,200	09/30/2010	
CN 2009-32(HS)	2	\$2,000	\$2,000	\$1,300	09/30/2010	
CN 2009-33(ROR)	1	\$5,000	\$5,000	\$3,500	09/30/2010	
CN 2009-34(SI)	1	\$1,000	\$1,000	\$700	09/30/2010	
CN 2009-35(FCS)	2	\$7,500	\$7,500	\$4,875	09/30/2010	
CN 2009-36(SA)	3	\$10,000	\$10,000	\$6,875	09/30/2010	
CN 2009-37(HMT)	3	\$15,000	\$15,000	\$10,800	09/30/2010	
CN 2009-38(SI)	1	\$2,500	\$2,500	\$1,700	09/30/2010	
CN 2009-39(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2010	
CN 2009-40(TS)	2	\$2,000	\$2,000	\$1,320	09/30/2010	
CN 2009-41(TS)	2	\$2,000	\$2,000	\$1,320	09/30/2010	

Federal Railroad Administration
Safety Cases Closed in FY 2010

<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 2009-43(HMT)	2	\$4,500	\$4,500	\$3,200	09/30/2010	
CN 2009-44(TS)	1	\$5,000	\$5,000	\$3,400	09/30/2010	
CN 2009-45(SA)	2	\$7,500	\$7,500	\$5,200	09/30/2010	
CN 2009-46(RW)	1	\$1,000	\$1,000	\$650	09/30/2010	
CN 2009-47(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2010	
CN 2009-48(ROP)	1	\$7,500	\$7,500	\$5,025	09/30/2010	
CN 2009-49(GC)	1	\$5,000	\$5,000	\$3,400	09/30/2010	
CN 2009-50(TS)	1	\$5,000	\$5,000	\$3,300	09/30/2010	
CN 2009-51(ROR)	2	\$17,000	\$17,000	\$11,335	09/30/2010	
CN 2009-52(REM)	1	\$2,500	\$2,500	\$1,625	09/30/2010	
CN 2009-53(HMT)	11	\$32,000	\$32,000	\$22,550	09/30/2010	
CN 2009-54(FCS)	1	\$2,500	\$2,500	\$1,625	09/30/2010	
CN 2009-55(ROP)	1	\$5,000	\$5,000	\$3,600	09/30/2010	
CN 2009-56(SA)	2	\$4,000	\$4,000	\$2,600	09/30/2010	
CN 2009-57(HMT)	6	\$43,500	\$43,500	\$30,450	09/30/2010	
CN 2009-58(LI)	1	\$2,500	\$2,500	\$1,750	09/30/2010	
CN 2009-60(RW)	1	\$1,000	\$1,000	\$650	09/30/2010	
CN 2009-61(FCS)	1	\$2,000	\$2,000	\$1,340	09/30/2010	
CN 2009-62(ROR)	1	\$9,500	\$9,500	\$6,175	09/30/2010	
CN 2009-63(SA)	2	\$10,000	\$10,000	\$6,900	09/30/2010	
CN 2009-64(AR)	5	\$12,500	\$12,500	\$7,875	09/30/2010	
CN 2009-65(HMT)	2	\$13,500	\$13,500	\$9,450	09/30/2010	
CN 2009-66(AR)	1	\$1,000	\$1,000	\$700	09/30/2010	
CN 2009-67(ROP)	1	\$5,000	\$5,000	\$3,400	09/30/2010	
CN 2009-68(AR)	2	\$5,000	\$5,000	\$2,875	09/30/2010	
CN 2009-69(GC)	5	\$9,500	\$9,500	\$6,650	09/30/2010	
CN 2009-70(HSR)	1	\$1,000	\$1,000	\$650	09/30/2010	
CN 2009-72(AR)	5	\$12,500	\$12,500	\$8,250	09/30/2010	
CN 2009-73(AR)	2	\$5,000	\$5,000	\$3,375	09/30/2010	
CN 2009-74(SI)	6	\$12,000	\$12,000	\$8,360	09/30/2010	
CN 2009-75(GC)	6	\$7,500	\$7,500	\$5,150	09/30/2010	
CN 2009-76(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2010	
CN 2009-77(FCS)	1	\$5,000	\$5,000	\$3,250	09/30/2010	
CN 2009-78(TS)	2	\$10,000	\$10,000	\$6,750	09/30/2010	
CN 2009-79(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2010	
CN 2009-80(SA)	3	\$15,000	\$15,000	\$10,200	09/30/2010	
CN 2009-81(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2010	
CN 2009-82(LI)	1	\$1,500	\$1,500	\$1,050	09/30/2010	
CN 2009-83(LI)	1	\$2,500	\$2,500	\$1,625	09/30/2010	
CN 2009-84(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2010	
CN 2009-85(FCS)	2	\$5,000	\$5,000	\$3,250	09/30/2010	
CN 2009-86(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2010	
CN 2009-87(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2010	
CN 2009-88(SA)	2	\$10,000	\$10,000	\$6,800	09/30/2010	
CN 2009-89(SA)	2	\$7,500	\$7,500	\$5,150	09/30/2010	
CN 2009-90(RW)	1	\$2,000	\$2,000	\$1,300	09/30/2010	
CN 2009-91(RW)	1	\$1,000	\$1,000	\$650	09/30/2010	
CN 2009-93(TS)	1	\$5,000	\$5,000	\$3,450	09/30/2010	
CN 2009-95(AR)	4	\$10,000	\$10,000	\$5,750	09/30/2010	

Federal Railroad Administration
Safety Cases Closed in FY 2010

<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 2009-96(RW)	1	\$5,000	\$5,000	\$3,500	09/30/2010	
CN 2009-97(HMT)	1	\$2,000	\$2,000	\$1,340	09/30/2010	
CN 2009-98(ROR)	1	\$9,500	\$9,500	\$6,460	09/30/2010	
CN 2009-99(HMT)	3	\$10,500	\$10,500	\$7,350	09/30/2010	
CN 2009-100(SA)	3	\$15,000	\$15,000	\$10,100	09/30/2010	
CN 2009-101(SA)	3	\$12,500	\$12,500	\$8,750	09/30/2010	
CN 2009-102(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2010	
CN 2009-103(TS)	2	\$7,500	\$7,500	\$5,100	09/30/2010	
CN 2009-104(AR)	4	\$10,000	\$10,000	\$6,625	09/30/2010	
CN 2009-105(AR)	1	\$2,500	\$2,500	\$1,625	09/30/2010	
CN 2009-106(HSR)	1	\$1,000	\$1,000	\$670	09/30/2010	
CN 2009-107(SA)	2	\$5,000	\$5,000	\$3,375	09/30/2010	
CN 2009-108(HS)	1	\$1,000	\$1,000	\$700	09/30/2010	
CN 2009-109(SA)	1	\$2,500	\$2,500	\$1,675	09/30/2010	
CN 2009-110(SA)	2	\$10,000	\$10,000	\$6,900	09/30/2010	
CN 2009-111(AD)	1	\$2,000	\$2,000	\$1,360	09/30/2010	
CN 2009-113(SA)	2	\$7,500	\$7,500	\$5,100	09/30/2010	
CN 2009-114(ROP)	2	\$19,000	\$19,000	\$12,540	09/30/2010	
CN 2009-115(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2010	
CN 2009-116(TS)	1	\$2,500	\$2,500	\$1,700	09/30/2010	
CN 2009-117(ROP)	3	\$28,500	\$28,500	\$19,095	09/30/2010	
CN 2009-118(SA)	2	\$10,000	\$10,000	\$6,800	09/30/2010	
CN 2009-119(LI)	2	\$4,000	\$4,000	\$2,800	09/30/2010	
CN 2009-120(RW)	1	\$2,000	\$2,000	\$1,300	09/30/2010	
CN 2009-121(HMT)	4	\$14,000	\$14,000	\$9,730	09/30/2010	
CN 2009-122(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2010	
CN 2009-123(ROP)	1	\$9,500	\$9,500	\$6,270	09/30/2010	
CN 2009-125(TS)	4	\$11,000	\$11,000	\$7,700	09/30/2010	
CN 2009-126(LI)	9	\$21,000	\$21,000	\$14,280	09/30/2010	
CN 2009-127(HSR)	1	\$1,000	\$1,000	\$650	09/30/2010	
CN 2009-128(ROR)	1	\$5,000	\$5,000	\$3,350	09/30/2010	
CN 2009-129(EQ)	1	\$4,000	\$0	\$0	09/30/2010	Case Terminated.
CN 2009-131(SA)	3	\$15,000	\$15,000	\$10,200	09/30/2010	
CN 2009-132(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2010	
CN 2009-133(AR)	1	\$2,500	\$2,500	\$1,500	09/30/2010	
CN 2009-134(SA)	1	\$10,000	\$10,000	\$7,000	09/30/2010	
CNYX 2010-1(SA)	1	\$5,000	\$5,000	\$5,000	07/21/2010	
CORP 2006-8(RSP)	5	\$12,500	\$12,500	\$7,875	02/01/2010	
CORP 2007-14(SI)	1	\$5,000	\$5,000	\$3,600	02/11/2010	
CORP 2008-4(TS)	1	\$5,000	\$5,000	\$3,000	11/10/2009	
CORP 2009-1(SA)	1	\$2,500	\$2,500	\$1,675	09/30/2010	
CORP 2009-2(SA)	1	\$2,500	\$2,500	\$1,675	09/30/2010	
CORP 2009-3(AD)	1	\$2,500	\$2,500	\$1,800	09/30/2010	
CP 2009-6(FCS)	2	\$5,000	\$5,000	\$3,600	09/27/2010	
CP 2009-7(HMT)	1	\$2,500	\$2,500	\$1,750	09/27/2010	
CP 2009-8(HMT)	1	\$5,000	\$5,000	\$4,000	09/27/2010	
CP 2009-9(TH)	1	\$5,000	\$5,000	\$3,500	09/27/2010	
CP 2009-10(TS)	2	\$7,500	\$7,500	\$5,600	09/27/2010	
CP 2009-11(GC)	1	\$2,500	\$2,500	\$1,800	09/27/2010	

Federal Railroad Administration
Safety Cases Closed in FY 2010

<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
CP 2009-12(FCS)	1	\$2,500	\$2,500	\$1,750	09/27/2010	
CP 2009-13(SA)	2	\$7,500	\$7,500	\$5,250	09/27/2010	
CP 2009-14(SA)	2	\$7,500	\$7,500	\$5,250	09/27/2010	
CP 2009-15(SA)	1	\$5,000	\$5,000	\$3,500	09/27/2010	
CP 2009-16(TS)	2	\$10,000	\$10,000	\$7,500	09/27/2010	
CP 2009-17(SA)	1	\$2,500	\$2,500	\$1,775	09/27/2010	
CP 2009-18(FCS)	1	\$5,000	\$5,000	\$3,600	09/27/2010	
CP 2009-19(SA)	1	\$2,500	\$2,500	\$1,775	09/27/2010	
CP 2009-20(LI)	1	\$2,500	\$2,500	\$1,800	09/27/2010	
CP 2009-21(EO)	1	\$2,500	\$2,500	\$2,000	09/27/2010	
CP 2009-22(TS)	1	\$5,000	\$5,000	\$3,750	09/27/2010	
CP 2009-23(SA)	2	\$5,000	\$5,000	\$3,550	09/27/2010	
CP 2009-27(HMT)	1	\$5,000	\$5,000	\$3,800	09/27/2010	
CP 2009-28(EQ)	2	\$5,000	\$5,000	\$1,300	09/27/2010	
CP 2010-1(TS)	1	\$5,000	\$5,000	\$3,700	09/27/2010	
CP 2010-2(SA)	1	\$2,500	\$2,500	\$1,775	09/27/2010	
CP 2010-3(RSP)	1	\$5,000	\$5,000	\$3,500	09/27/2010	
CP 2010-7(ROP)	1	\$7,500	\$7,500	\$5,400	09/27/2010	
CPDR 2007-1(LI)	2	\$3,500	\$3,500	\$2,550	09/30/2010	
CPDR 2009-1(TS)	1	\$2,500	\$2,500	\$1,800	09/30/2010	
CR 2009-7(RSP)	1	\$5,000	\$5,000	\$3,500	09/30/2010	
CR 2009-8(SI)	1	\$1,000	\$1,000	\$700	09/30/2010	
CR 2009-9(SA)	1	\$5,000	\$5,000	\$3,000	09/30/2010	
CR 2009-10(HS)	4	\$4,000	\$4,000	\$2,400	09/30/2010	
CR 2009-11(HSR)	1	\$1,000	\$1,000	\$1,000	09/30/2010	
CR 2009-12(RSP)	3	\$8,500	\$8,500	\$5,950	09/30/2010	
CR 2009-13(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2010	
CR 2009-14(EQ)	1	\$5,000	\$5,000	\$3,500	09/30/2010	
CR 2009-15(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2010	
CR 2010-2(SA)	6	\$30,000	\$10,000	\$7,000	09/30/2010	Partial Termination: 1 from \$40,00 to \$10,000.
CR 2010-7(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2010	
CRSM 2009-1(RSP)	1	\$5,000	\$5,000	\$2,500	09/30/2010	
CRSM 2009-2(SA)	1	\$2,500	\$2,500	\$2,500	09/30/2010	
CRSM 2009-3(TS)	1	\$5,000	\$5,000	\$3,500	09/30/2010	
CRSM 2009-4(AR)	1	\$1,000	\$1,000	\$700	09/30/2010	
CSCD 2007-1(TS)	1	\$5,000	\$5,000	\$3,450	11/10/2009	
CSCD 2008-3(SA)	1	\$5,000	\$5,000	\$3,200	11/10/2009	
CSCD 2008-4(SA)	1	\$5,000	\$5,000	\$3,350	09/30/2010	
CSX 2007-281(SA)	8	\$20,000	\$20,000	\$12,800	09/30/2010	
CSX 2007-323(LI)	3	\$6,000	\$6,000	\$3,925	09/30/2010	
CSX 2007-355(GC)	2	\$5,000	\$5,000	\$3,150	09/30/2010	
CSX 2007-418(HMT)	6	\$27,000	\$27,000	\$17,050	09/30/2010	
CSX 2008-1(SA)	9	\$40,000	\$40,000	\$21,125	09/30/2010	
CSX 2008-126(AR)	7	\$17,500	\$17,500	\$11,900	09/30/2010	
CSX 2008-145(FCS)	9	\$25,000	\$25,000	\$16,300	09/30/2010	
CSX 2008-148(SA)	5	\$22,500	\$22,500	\$14,700	09/30/2010	
CSX 2008-162(SA)	4	\$10,000	\$10,000	\$6,400	09/30/2010	
CSX 2008-194(SI)	2	\$3,500	\$2,000	\$1,275	09/30/2010	Partial Termination: 1 from \$2,500 to \$1,000.

Federal Railroad Administration
Safety Cases Closed in FY 2010

<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
CSX 2008-207(SA)	3	\$12,500	\$12,500	\$8,250	09/30/2010	
CSX 2008-239(AD)	1	\$2,000	\$2,000	\$1,400	09/30/2010	
CSX 2008-273(LI)	5	\$14,000	\$14,000	\$9,100	09/30/2010	
CSX 2009-29(SA)	4	\$17,500	\$17,500	\$11,550	09/30/2010	
CSX 2009-48(HS)	5	\$5,000	\$5,000	\$3,250	09/30/2010	
CSX 2009-49(HS)	5	\$5,000	\$5,000	\$3,250	09/30/2010	
CSX 2009-52(SA)	5	\$20,000	\$20,000	\$12,750	09/30/2010	
CSX 2009-55(HS)	5	\$5,000	\$5,000	\$3,250	09/30/2010	
CSX 2009-56(HS)	3	\$3,000	\$3,000	\$1,925	09/30/2010	
CSX 2009-58(GC)	1	\$5,000	\$5,000	\$3,150	09/30/2010	
CSX 2009-61(TS)	6	\$26,000	\$26,000	\$16,750	09/30/2010	
CSX 2009-65(SI)	1	\$1,000	\$1,000	\$680	09/30/2010	
CSX 2009-66(HS)	5	\$5,000	\$5,000	\$3,250	09/30/2010	
CSX 2009-67(HS)	5	\$5,000	\$5,000	\$3,250	09/30/2010	
CSX 2009-68(HS)	5	\$5,000	\$5,000	\$3,250	09/30/2010	
CSX 2009-69(HS)	5	\$5,000	\$5,000	\$3,250	09/30/2010	
CSX 2009-70(HS)	5	\$5,000	\$5,000	\$3,250	09/30/2010	
CSX 2009-71(HS)	5	\$5,000	\$5,000	\$3,250	09/30/2010	
CSX 2009-72(HS)	5	\$5,000	\$5,000	\$3,250	09/30/2010	
CSX 2009-73(HS)	5	\$5,000	\$5,000	\$3,250	09/30/2010	
CSX 2009-74(HS)	5	\$5,000	\$5,000	\$3,250	09/30/2010	
CSX 2009-75(HS)	5	\$5,000	\$5,000	\$3,250	09/30/2010	
CSX 2009-76(HS)	5	\$5,000	\$5,000	\$3,250	09/30/2010	
CSX 2009-83(FCS)	3	\$8,500	\$8,500	\$5,550	09/30/2010	
CSX 2009-85(SA)	3	\$12,500	\$12,500	\$7,975	09/30/2010	
CSX 2009-87(SA)	3	\$12,500	\$12,500	\$8,250	09/30/2010	
CSX 2009-92(FCS)	3	\$7,500	\$7,500	\$4,875	09/30/2010	
CSX 2009-94(TS)	11	\$26,000	\$26,000	\$17,050	09/30/2010	
CSX 2009-96(SA)	4	\$15,000	\$15,000	\$9,650	09/30/2010	
CSX 2009-99(SA)	5	\$20,000	\$20,000	\$12,900	09/30/2010	
CSX 2009-103(SA)	4	\$15,000	\$15,000	\$9,650	09/30/2010	
CSX 2009-104(SA)	3	\$12,500	\$12,500	\$8,125	09/30/2010	
CSX 2009-105(HMT)	2	\$12,500	\$12,500	\$7,880	09/30/2010	
CSX 2009-106(ROP)	4	\$30,000	\$30,000	\$19,450	09/30/2010	
CSX 2009-107(HMT)	6	\$41,500	\$41,500	\$25,780	09/30/2010	
CSX 2009-108(TS)	3	\$8,500	\$8,500	\$5,400	09/30/2010	
CSX 2009-109(TS)	4	\$15,000	\$15,000	\$9,525	09/30/2010	
CSX 2009-110(TS)	1	\$5,000	\$5,000	\$3,150	09/30/2010	
CSX 2009-111(SI)	1	\$1,000	\$1,000	\$680	09/30/2010	
CSX 2009-112(HMT)	4	\$10,000	\$10,000	\$6,300	09/30/2010	
CSX 2009-113(SA)	2	\$5,000	\$5,000	\$3,200	09/30/2010	
CSX 2009-114(ROP)	1	\$9,500	\$9,500	\$6,900	09/30/2010	
CSX 2009-115(HMT)	16	\$58,500	\$58,500	\$36,880	09/30/2010	
CSX 2009-116(HMT)	4	\$18,000	\$18,000	\$11,350	09/30/2010	
CSX 2009-117(SI)	1	\$1,000	\$1,000	\$670	09/30/2010	
CSX 2009-118(SA)	2	\$5,000	\$5,000	\$3,250	09/30/2010	
CSX 2009-119(SA)	3	\$22,500	\$15,000	\$9,850	09/30/2010	Partial Termination of Violation(s): 1 from \$10,000 to \$5,000 and 2 from \$7,500 to \$5,000.

Federal Railroad Administration
Safety Cases Closed in FY 2010

<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
CSX 2009-120(TS)	2	\$3,500	\$3,500	\$2,225	09/30/2010	
CSX 2009-121(TS)	2	\$3,500	\$3,500	\$2,275	09/30/2010	
CSX 2009-122(SI)	2	\$2,000	\$2,000	\$1,300	09/30/2010	
CSX 2009-123(FCS)	3	\$20,000	\$20,000	\$9,800	09/30/2010	
CSX 2009-124(HMT)	1	\$2,000	\$2,000	\$1,250	09/30/2010	
CSX 2009-125(SA)	1	\$2,500	\$2,500	\$1,625	09/30/2010	
CSX 2009-126(HMT)	2	\$12,500	\$12,500	\$7,880	09/30/2010	
CSX 2009-127(SA)	6	\$20,000	\$20,000	\$12,900	09/30/2010	
CSX 2009-128(SA)	5	\$25,000	\$25,000	\$15,875	09/30/2010	
CSX 2009-129(LI)	1	\$2,500	\$2,500	\$1,700	09/30/2010	
CSX 2009-130(LI)	3	\$7,500	\$5,000	\$3,300	09/30/2010	Terminated Violation(s): 1
CSX 2009-131(LI)	1	\$2,500	\$2,500	\$650	09/30/2010	
CSX 2009-132(RW)	2	\$3,000	\$3,000	\$1,950	09/30/2010	
CSX 2009-133(EP)	1	\$1,000	\$1,000	\$650	09/30/2010	
CSX 2009-134(AD)	2	\$5,000	\$5,000	\$3,200	09/30/2010	
CSX 2009-135(FCS)	5	\$17,500	\$12,500	\$8,100	09/30/2010	Terminated Violation(s): 2.
CSX 2009-136(HMT)	1	\$4,000	\$4,000	\$2,500	09/30/2010	
CSX 2009-137(SA)	5	\$12,500	\$12,500	\$8,000	09/30/2010	
CSX 2009-138(SA)	5	\$20,000	\$20,000	\$13,000	09/30/2010	
CSX 2009-139(SA)	5	\$17,500	\$17,500	\$11,550	09/30/2010	
CSX 2009-140(FCS)	1	\$5,000	\$5,000	\$3,250	09/30/2010	
CSX 2009-141(HMT)	16	\$40,000	\$40,000	\$24,600	09/30/2010	
CSX 2009-142(TS)	1	\$5,000	\$5,000	\$3,000	09/30/2010	
CSX 2009-143(TS)	2	\$6,000	\$6,000	\$3,800	09/30/2010	
CSX 2009-144(SA)	1	\$5,000	\$5,000	\$3,550	09/30/2010	
CSX 2009-145(GC)	2	\$10,000	\$7,500	\$4,750	09/30/2010	Partial Termination: 2 from \$5,000 to \$2,500.
CSX 2009-146(FCS)	1	\$2,500	\$2,500	\$1,700	09/30/2010	
CSX 2009-147(SA)	1	\$2,500	\$2,500	\$1,600	09/30/2010	
CSX 2009-148(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2010	
CSX 2009-149(TS)	3	\$11,000	\$11,000	\$6,900	09/30/2010	
CSX 2009-150(GC)	4	\$4,000	\$4,000	\$2,600	09/30/2010	
CSX 2009-151(GC)	1	\$5,000	\$5,000	\$3,150	09/30/2010	
CSX 2009-152(SI)	1	\$2,500	\$2,500	\$1,625	09/30/2010	
CSX 2009-153(SA)	1	\$2,500	\$2,500	\$1,600	09/30/2010	
CSX 2009-154(SA)	4	\$10,000	\$10,000	\$6,375	09/30/2010	
CSX 2009-155(SA)	5	\$20,000	\$20,000	\$12,800	09/30/2010	
CSX 2009-156(SI)	2	\$3,500	\$2,500	\$1,580	09/30/2010	Terminated Violation(s): 1.
CSX 2009-157(HSR)	1	\$1,000	\$1,000	\$700	09/30/2010	
CSX 2009-158(HMT)	1	\$2,000	\$2,000	\$1,250	09/30/2010	
CSX 2009-159(SA)	2	\$5,000	\$5,000	\$3,250	09/30/2010	
CSX 2009-160(HSR)	4	\$4,000	\$4,000	\$2,600	09/30/2010	
CSX 2009-161(EP)	1	\$1,000	\$1,000	\$660	09/30/2010	
CSX 2009-162(LI)	2	\$5,000	\$5,000	\$3,250	09/30/2010	
CSX 2009-163(LI)	1	\$2,500	\$2,500	\$1,700	09/30/2010	
CSX 2009-164(EQ)	3	\$3,000	\$3,000	\$1,890	09/30/2010	
CSX 2009-165(EQ)	4	\$4,000	\$4,000	\$2,520	09/30/2010	
CSX 2009-166(EQ)	5	\$5,000	\$5,000	\$3,150	09/30/2010	
CSX 2009-167(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2010	
CSX 2009-168(ROP)	1	\$2,500	\$2,500	\$1,250	09/30/2010	

Federal Railroad Administration
Safety Cases Closed in FY 2010

<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
CSX 2009-169(SA)	3	\$15,000	\$15,000	\$9,750	09/30/2010	
CSX 2009-170(RSP)	2	\$2,000	\$2,000	\$1,320	09/30/2010	
CSX 2009-171(ROP)	1	\$7,500	\$7,500	\$4,800	09/30/2010	
CSX 2009-172(HMT)	7	\$52,500	\$0	\$0	09/30/2010	Case Terminated.
CSX 2009-173(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2010	
CSX 2009-174(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2010	
CSX 2009-175(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2010	
CSX 2009-176(AD)	1	\$5,000	\$5,000	\$3,250	09/30/2010	
CSX 2009-177(LI)	2	\$5,000	\$5,000	\$3,250	09/30/2010	
CSX 2009-178(EQ)	1	\$1,000	\$1,000	\$650	09/30/2010	
CSX 2009-179(GC)	1	\$2,500	\$2,500	\$1,550	09/30/2010	
CSX 2009-181(SI)	1	\$1,000	\$1,000	\$680	09/30/2010	
CSX 2009-182(HMT)	1	\$2,000	\$2,000	\$1,250	09/30/2010	
CSX 2009-183(ROP)	2	\$17,000	\$17,000	\$9,950	09/30/2010	
CSX 2009-184(SA)	5	\$22,500	\$22,500	\$14,850	09/30/2010	
CSX 2009-186(SA)	2	\$7,500	\$7,500	\$4,800	09/30/2010	
CSX 2009-187(TS)	1	\$5,000	\$5,000	\$3,150	09/30/2010	
CSX 2009-189(EO)	1	\$5,000	\$5,000	\$3,200	09/30/2010	
CSX 2009-190(ROP)	1	\$7,500	\$7,500	\$3,750	09/30/2010	
CSX 2009-191(SA)	3	\$12,500	\$12,500	\$8,100	09/30/2010	
CSX 2009-192(SA)	4	\$17,500	\$17,500	\$11,400	09/30/2010	
CSX 2009-193(SA)	1	\$5,000	\$5,000	\$3,275	09/30/2010	
CSX 2009-194(FCS)	2	\$5,000	\$5,000	\$3,250	09/30/2010	
CSX 2009-195(LI)	1	\$1,000	\$1,000	\$680	09/30/2010	
CSX 2009-196(SA)	1	\$2,500	\$2,500	\$1,650	09/30/2010	
CSX 2009-197(SA)	1	\$2,500	\$2,500	\$1,650	09/30/2010	
CSX 2009-198(GC)	2	\$10,000	\$10,000	\$6,300	09/30/2010	
CSX 2009-199(ROP)	3	\$20,000	\$20,000	\$11,625	09/30/2010	
CSX 2009-200(FCS)	3	\$7,500	\$7,500	\$4,850	09/30/2010	
CSX 2009-201(HMT)	1	\$5,000	\$5,000	\$3,200	09/30/2010	
CSX 2009-202(HMT)	2	\$7,000	\$7,000	\$4,430	09/30/2010	
CSX 2009-203(LI)	2	\$5,000	\$5,000	\$3,200	09/30/2010	
CSX 2009-204(SA)	1	\$2,500	\$2,500	\$1,650	09/30/2010	
CSX 2009-205(TS)	1	\$5,000	\$5,000	\$3,150	09/30/2010	
CSX 2009-206(HMT)	1	\$5,000	\$5,000	\$3,200	09/30/2010	
CSX 2009-207(GC)	1	\$5,000	\$5,000	\$3,150	09/30/2010	
CSX 2009-208(GC)	2	\$10,000	\$10,000	\$6,300	09/30/2010	
CSX 2009-209(FCS)	6	\$13,500	\$13,500	\$8,200	09/30/2010	
CSX 2009-210(TS)	1	\$1,000	\$1,000	\$650	09/30/2010	
CSX 2009-211(SA)	2	\$10,000	\$5,000	\$3,250	09/30/2010	Terminated Violation(s): 1.
CSX 2009-212(SA)	2	\$5,000	\$5,000	\$3,000	09/30/2010	
CSX 2009-213(SA)	6	\$27,500	\$27,500	\$20,000	09/30/2010	
CSX 2009-214(SA)	3	\$7,500	\$7,500	\$4,700	09/30/2010	
CSX 2009-215(SA)	3	\$12,500	\$12,500	\$7,300	09/30/2010	
CSX 2009-216(SA)	4	\$20,000	\$20,000	\$13,000	09/30/2010	
CSX 2009-217(SA)	2	\$7,500	\$7,500	\$4,400	09/30/2010	
CSX 2009-218(LI)	6	\$12,000	\$12,000	\$7,500	09/30/2010	
CSX 2009-220(HS)	1	\$1,000	\$1,000	\$700	09/30/2010	
CSX 2009-221(ROP)	1	\$7,500	\$7,500	\$4,725	09/30/2010	

Federal Railroad Administration
Safety Cases Closed in FY 2010

<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
CSX 2009-222(SA)	1	\$2,500	\$2,500	\$1,550	09/30/2010	
CSX 2009-223(SA)	3	\$15,000	\$15,000	\$8,000	09/30/2010	
CSX 2009-224(SA)	1	\$5,000	\$5,000	\$3,200	09/30/2010	
CSX 2009-225(AR)	2	\$5,000	\$2,500	\$1,250	09/30/2010	Terminated Violation(s): 2.
CSX 2009-226(SA)	2	\$10,000	\$10,000	\$3,000	09/30/2010	
CSX 2009-227(HMT)	4	\$10,500	\$10,500	\$6,300	09/30/2010	
CSX 2009-228(SI)	3	\$8,500	\$6,000	\$3,850	09/30/2010	Partial Termination: 3 from \$5,000 to \$2,500.
CSX 2009-229(ROP)	1	\$7,500	\$7,500	\$4,800	09/30/2010	
CSX 2009-230(ROP)	1	\$7,500	\$7,500	\$4,800	09/30/2010	
CSX 2009-231(RW)	3	\$9,000	\$9,000	\$5,800	09/30/2010	
CSX 2009-232(LI)	1	\$1,000	\$1,000	\$680	09/30/2010	
CSX 2009-234(ROP)	1	\$9,500	\$9,500	\$5,850	09/30/2010	
CSX 2009-235(SA)	3	\$10,000	\$10,000	\$6,350	09/30/2010	
CSX 2009-236(FCS)	3	\$7,500	\$7,500	\$4,700	09/30/2010	
CSX 2009-237(SI)	1	\$2,500	\$2,500	\$1,575	09/30/2010	
CSX 2009-238(ROP)	2	\$4,000	\$4,000	\$2,600	09/30/2010	
CSX 2009-240(FCS)	3	\$7,500	\$5,000	\$3,300	09/30/2010	Terminated Violation(s): 1.
CSX 2009-241(TS)	1	\$5,000	\$5,000	\$3,150	09/30/2010	
CSX 2009-242(SA)	3	\$15,000	\$15,000	\$10,300	09/30/2010	
CSX 2009-243(SA)	3	\$17,500	\$17,500	\$11,000	09/30/2010	
CSX 2009-244(TS)	2	\$7,500	\$7,500	\$4,850	09/30/2010	
CSX 2009-245(ROP)	2	\$19,000	\$19,000	\$12,750	09/30/2010	
CSX 2009-246(FCS)	1	\$5,000	\$5,000	\$3,400	09/30/2010	
CSX 2009-247(SA)	4	\$10,000	\$10,000	\$6,400	09/30/2010	
CSX 2009-248(SA)	4	\$12,500	\$12,500	\$8,300	09/30/2010	
CSX 2009-249(SA)	3	\$7,500	\$7,500	\$4,600	09/30/2010	
CSX 2009-250(SA)	3	\$10,000	\$10,000	\$6,800	09/30/2010	
CSX 2009-251(LI)	3	\$6,500	\$6,500	\$4,000	09/30/2010	
CSX 2009-253(LI)	5	\$12,500	\$12,500	\$7,825	09/30/2010	
CSX 2009-254(TS)	2	\$2,000	\$2,000	\$1,400	09/30/2010	
CSX 2009-256(GC)	1	\$5,000	\$5,000	\$3,150	09/30/2010	
CSX 2009-257(GC)	1	\$1,000	\$1,000	\$670	09/30/2010	
CSX 2009-258(FCS)	2	\$5,000	\$5,000	\$3,250	09/30/2010	
CSX 2009-259(SA)	3	\$10,000	\$10,000	\$5,500	09/30/2010	
CSX 2009-260(SA)	3	\$10,000	\$10,000	\$6,200	09/30/2010	
CSX 2009-261(RSP)	1	\$5,000	\$5,000	\$3,250	09/30/2010	
CSX 2009-262(TS)	1	\$2,500	\$2,500	\$1,750	09/30/2010	
CSX 2009-263(LI)	3	\$6,500	\$6,500	\$4,200	09/30/2010	
CSX 2009-264(SA)	2	\$10,000	\$10,000	\$6,400	09/30/2010	
CSX 2009-265(TS)	2	\$10,000	\$10,000	\$6,350	09/30/2010	
CSX 2009-266(TS)	1	\$5,000	\$5,000	\$3,150	09/30/2010	
CSX 2009-267(ROP)	2	\$15,000	\$15,000	\$9,600	09/30/2010	
CSX 2009-268(FCS)	1	\$5,000	\$5,000	\$3,300	09/30/2010	
CSX 2009-269(ROP)	1	\$9,500	\$9,500	\$6,125	09/30/2010	
CSX 2009-270(HMT)	1	\$2,000	\$2,000	\$1,300	09/30/2010	
CSX 2009-271(SA)	3	\$10,000	\$10,000	\$6,300	09/30/2010	
CSX 2009-272(SA)	3	\$15,000	\$15,000	\$8,800	09/30/2010	
CSX 2009-273(SA)	2	\$10,000	\$10,000	\$6,700	09/30/2010	
CSX 2009-274(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2010	

Federal Railroad Administration
Safety Cases Closed in FY 2010

<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
CSX 2009-275(FCS)	5	\$10,500	\$10,500	\$6,000	09/30/2010	
CSX 2009-276(FCS)	3	\$6,000	\$6,000	\$3,500	09/30/2010	
CSX 2009-277(FCS)	1	\$5,000	\$5,000	\$3,300	09/30/2010	
CSX 2009-278(HMT)	2	\$4,500	\$4,500	\$2,880	09/30/2010	
CSX 2009-279(TS)	1	\$5,000	\$5,000	\$3,150	09/30/2010	
CSX 2009-280(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2010	
CSX 2009-281(FCS)	5	\$12,500	\$12,500	\$6,600	09/30/2010	
CSX 2009-282(HMT)	4	\$9,000	\$9,000	\$5,680	09/30/2010	
CSX 2009-283(SA)	3	\$12,500	\$12,500	\$7,700	09/30/2010	
CSX 2009-284(HMT)	4	\$13,000	\$13,000	\$8,200	09/30/2010	
CSX 2009-286(EQ)	1	\$2,500	\$2,500	\$1,600	09/30/2010	
CSX 2009-287(HSR)	1	\$1,000	\$1,000	\$700	09/30/2010	
CSX 2009-288(HS)	1	\$1,000	\$1,000	\$700	09/30/2010	
CSX 2009-289(HSR)	1	\$1,000	\$1,000	\$700	09/30/2010	
CSX 2010-1(TS)	2	\$10,000	\$10,000	\$6,350	09/30/2010	
CSX 2010-2(ROP)	1	\$7,500	\$7,500	\$4,850	09/30/2010	
CSX 2010-3(LI)	1	\$2,500	\$2,500	\$1,700	09/30/2010	
CSX 2010-4(HMT)	3	\$12,000	\$12,000	\$7,570	09/30/2010	
CSX 2010-5(SA)	2	\$7,500	\$7,500	\$4,700	09/30/2010	
CSX 2010-6(SI)	1	\$2,500	\$2,500	\$1,650	09/30/2010	
CSX 2010-7(SA)	3	\$7,500	\$7,500	\$4,700	09/30/2010	
CSX 2010-8(TS)	1	\$5,000	\$5,000	\$3,150	09/30/2010	
CSX 2010-9(SI)	1	\$2,500	\$2,500	\$1,600	09/30/2010	
CSX 2010-10(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2010	
CSX 2010-11(SA)	3	\$15,000	\$15,000	\$9,700	09/30/2010	
CSX 2010-12(SA)	1	\$5,000	\$5,000	\$3,150	09/30/2010	
CSX 2010-13(EQ)	5	\$20,000	\$20,000	\$12,900	09/30/2010	
CSX 2010-14(FCS)	5	\$15,000	\$15,000	\$9,800	09/30/2010	
CSX 2010-15(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2010	
CSX 2010-17(ROP)	1	\$7,500	\$7,500	\$4,850	09/30/2010	
CSX 2010-18(SA)	4	\$15,000	\$15,000	\$9,800	09/30/2010	
CSX 2010-19(SA)	3	\$10,000	\$10,000	\$6,300	09/30/2010	
CSX 2010-20(SA)	3	\$12,500	\$12,500	\$7,900	09/30/2010	
CSX 2010-21(SA)	2	\$10,000	\$10,000	\$7,000	09/30/2010	
CSX 2010-22(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2010	
CSX 2010-23(HMT)	1	\$1,000	\$1,000	\$625	09/30/2010	
CSX 2010-24(ROP)	1	\$7,500	\$7,500	\$4,800	09/30/2010	
CSX 2010-26(EO)	1	\$2,500	\$2,500	\$1,600	09/30/2010	
CSX 2010-27(RW)	1	\$1,000	\$1,000	\$700	09/30/2010	
CSX 2010-28(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2010	
CSX 2010-30(TS)	1	\$5,000	\$5,000	\$3,150	09/30/2010	
CSX 2010-31(TS)	16	\$16,000	\$16,000	\$10,400	09/30/2010	
CSX 2010-32(HS)	1	\$1,000	\$0	\$0	09/30/2010	Case Terminated.
CSX 2010-33(HSR)	1	\$1,000	\$1,000	\$700	09/30/2010	
CSX 2010-34(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2010	
CSX 2010-35(GC)	2	\$7,500	\$7,500	\$4,800	09/30/2010	
CSX 2010-36(HMT)	3	\$15,500	\$15,500	\$9,770	09/30/2010	
CSX 2010-37(ROP)	2	\$9,500	\$9,500	\$6,000	09/30/2010	
CSX 2010-38(SA)	4	\$15,000	\$15,000	\$10,000	09/30/2010	

Federal Railroad Administration
Safety Cases Closed in FY 2010

<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
CSX 2010-39(SA)	3	\$12,500	\$12,500	\$8,100	09/30/2010	
CSX 2010-40(SA)	2	\$7,500	\$7,500	\$4,900	09/30/2010	
CSX 2010-41(TS)	1	\$2,500	\$2,500	\$1,550	09/30/2010	
CSX 2010-42(LI)	1	\$2,500	\$2,500	\$1,550	09/30/2010	
CSX 2010-43(RW)	1	\$1,500	\$1,500	\$995	09/30/2010	
CSX 2010-45(TS)	1	\$5,000	\$5,000	\$3,150	09/30/2010	
CSX 2010-46(HMT)	2	\$4,000	\$4,000	\$2,500	09/30/2010	
CSX 2010-47(TS)	3	\$7,000	\$7,000	\$4,700	09/30/2010	
CSX 2010-48(TS)	2	\$7,500	\$7,500	\$4,600	09/30/2010	
CSX 2010-49(TS)	2	\$2,000	\$2,000	\$1,300	09/30/2010	
CSX 2010-51(ROP)	1	\$9,500	\$9,500	\$6,000	09/30/2010	
CSX 2010-52(SA)	2	\$15,000	\$15,000	\$9,000	09/30/2010	
CSX 2010-53(HMT)	4	\$18,500	\$18,500	\$11,660	09/30/2010	
CSX 2010-55(RSP)	1	\$2,500	\$2,500	\$1,700	09/30/2010	
CSX 2010-56(LI)	2	\$7,500	\$7,500	\$4,700	09/30/2010	
CSX 2010-57(SA)	4	\$10,000	\$10,000	\$6,400	09/30/2010	
CSX 2010-59(HMT)	5	\$32,500	\$31,500	\$19,850	09/30/2010	Terminated Violation(s): 1.
CSX 2010-60(SA)	1	\$5,000	\$5,000	\$2,900	09/30/2010	
CSX 2010-61(HSR)	8	\$8,000	\$8,000	\$5,200	09/30/2010	
CSX 2010-62(TS)	1	\$1,000	\$1,000	\$650	09/30/2010	
CSX 2010-63(TS)	3	\$10,000	\$10,000	\$6,350	09/30/2010	
CSX 2010-64(SA)	2	\$10,000	\$10,000	\$6,400	09/30/2010	
CSX 2010-65(SA)	4	\$10,000	\$10,000	\$6,500	09/30/2010	
CSX 2010-67(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2010	
CSX 2010-69(LI)	2	\$3,500	\$3,500	\$2,200	09/30/2010	
CSX 2010-71(HMT)	2	\$7,000	\$7,000	\$4,430	09/30/2010	
CSX 2010-72(SA)	1	\$5,000	\$5,000	\$3,200	09/30/2010	
CSX 2010-73(ROR)	1	\$9,500	\$0	\$0	09/30/2010	Case Terminated.
CSX 2010-75(SA)	2	\$7,500	\$7,500	\$4,800	09/30/2010	
CSX 2010-76(FCS)	2	\$5,000	\$5,000	\$3,100	09/30/2010	
CSX 2010-79(SA)	5	\$15,000	\$15,000	\$9,700	09/30/2010	
CSX 2010-80(SA)	5	\$15,000	\$15,000	\$9,700	09/30/2010	
CSX 2010-83(SA)	1	\$5,000	\$5,000	\$3,100	09/30/2010	
CSX 2010-84(GC)	4	\$4,000	\$4,000	\$2,500	09/30/2010	
CSX 2010-89(SA)	1	\$5,000	\$5,000	\$3,100	09/30/2010	
CSX 2010-91(GC)	1	\$2,500	\$2,500	\$1,600	09/30/2010	
CSX 2010-94(SA)	2	\$10,000	\$5,000	\$3,200	09/30/2010	Terminated Violation(s): 1.
CSX 2010-98(LI)	1	\$1,000	\$0	\$0	09/30/2010	Case Terminated.
CSX 2010-99(EQ)	1	\$1,000	\$1,000	\$650	09/30/2010	
CW 2009-1(AD)	1	\$2,500	\$2,500	\$2,500	12/10/2009	
CW 2009-2(AD)	1	\$2,500	\$2,500	\$2,500	12/10/2009	
DAIR 2008-1(GC)	1	\$5,000	\$5,000	\$3,750	12/15/2009	
DGNO 2009-1(GC)	1	\$5,000	\$5,000	\$3,000	09/30/2010	
DGNO 2009-2(SA)	1	\$2,500	\$2,500	\$1,675	09/30/2010	
DGNO 2009-5(FCS)	1	\$2,500	\$2,500	\$1,675	09/30/2010	
DGNO 2009-6(TS)	3	\$12,500	\$12,500	\$8,050	09/30/2010	
DGNO 2009-7(LI)	1	\$2,500	\$2,500	\$1,800	09/30/2010	
DGNO 2009-8(GC)	2	\$5,000	\$5,000	\$2,950	09/30/2010	
DGNO 2009-9(TS)	4	\$8,000	\$8,000	\$5,150	09/30/2010	

Federal Railroad Administration
Safety Cases Closed in FY 2010

<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>
DGNO 2009-10(GC)	10	\$25,000	\$0	\$0	09/30/2010	Case Terminated.
DH 2009-1(LI)	1	\$2,500	\$2,500	\$1,750	09/27/2010	
DH 2009-2(SA)	1	\$2,500	\$2,500	\$1,750	09/27/2010	
DME 2009-11(AD)	2	\$2,000	\$2,000	\$1,300	09/27/2010	
DME 2009-12(SA)	1	\$5,000	\$5,000	\$3,017	09/27/2010	
DME 2009-13(TS)	2	\$10,000	\$10,000	\$6,205	09/27/2010	
DME 2009-14(LI)	1	\$2,500	\$2,500	\$1,509	09/27/2010	
DME 2009-15(GC)	1	\$2,500	\$2,500	\$1,487	09/27/2010	
DME 2009-16(GC)	1	\$1,000	\$1,000	\$680	09/27/2010	
DME 2009-17(SA)	1	\$2,500	\$2,500	\$1,509	09/27/2010	
DME 2009-18(SA)	1	\$5,000	\$5,000	\$3,018	09/27/2010	
DME 2010-1(TS)	1	\$5,000	\$5,000	\$3,145	09/27/2010	
DME 2010-2(SA)	3	\$12,500	\$12,500	\$7,565	09/27/2010	
DME 2010-3(ROP)	1	\$9,500	\$9,500	\$5,695	09/27/2010	
DME 2010-4(GC)	1	\$1,000	\$1,000	\$680	09/27/2010	
DME 2010-5(SI)	1	\$2,500	\$2,500	\$1,700	09/27/2010	
DME 2010-6(SA)	2	\$10,000	\$10,000	\$6,035	09/27/2010	
DME 2010-7(TS)	2	\$10,000	\$10,000	\$6,120	09/27/2010	
DMVW 2009-2(SA)	1	\$5,000	\$5,000	\$5,000	02/11/2010	
DMVW 2009-3(RW)	1	\$2,000	\$2,000	\$2,000	02/11/2010	
DMVW 2010-1(TS)	2	\$7,500	\$7,500	\$7,500	03/19/2010	
DN 2008-1(AR)	1	\$2,500	\$2,500	\$550	01/20/2010	
DN 2009-1(TH)	1	\$5,000	\$5,000	\$2,500	01/22/2010	
EARY 2008-1(TS)	1	\$2,500	\$2,500	\$1,875	12/22/2009	
EIRR 2007-5(TS)	1	\$1,000	\$1,000	\$650	09/30/2010	
EIRR 2008-1(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2010	
EIRR 2008-3(HMT)	1	\$5,000	\$5,000	\$2,750	09/30/2010	
EJE 2008-1(FCS)	1	\$2,500	\$2,500	\$1,700	02/05/2010	
EJE 2008-2(SA)	1	\$2,500	\$2,500	\$1,700	02/05/2010	
EJE 2008-3(LI)	1	\$2,500	\$2,500	\$1,700	02/05/2010	
EJE 2009-1(SA)	1	\$2,500	\$2,500	\$1,700	02/05/2010	
EJE 2009-2(SA)	1	\$2,500	\$2,500	\$1,700	02/05/2010	
EJE 2009-7(SA)	2	\$5,000	\$5,000	\$3,350	09/30/2010	
EJE 2009-8(SA)	3	\$7,500	\$7,500	\$5,025	09/30/2010	
EJE 2009-9(SA)	1	\$2,500	\$2,500	\$1,675	09/30/2010	
EJE 2009-10(AR)	5	\$9,500	\$9,500	\$6,250	09/30/2010	
EJE 2009-11(SA)	2	\$5,000	\$5,000	\$3,350	09/30/2010	
EJE 2009-12(SA)	3	\$15,000	\$15,000	\$10,200	09/30/2010	
EJE 2009-13(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2010	
ERAIL 2010-1(SA)	1	\$5,000	\$5,000	\$5,000	05/26/2010	
ESPN 2010-1(HMT)	2	\$9,500	\$9,500	\$6,200	06/25/2010	
EWG 2009-1(TS)	1	\$5,000	\$5,000	\$3,400	04/26/2010	
EWG 2009-2(TS)	1	\$2,500	\$2,500	\$1,700	04/26/2010	
FEVR 2007-1(AR)	1	\$2,500	\$2,500	\$550	04/12/2010	
FEVR 2009-1(LI)	1	\$2,500	\$2,500	\$650	04/12/2010	
GATX 2009-1(HMT)	2	\$15,000	\$15,000	\$10,500	12/10/2009	
GCSR 2006-1(SA)	1	\$7,500	\$7,500	\$2,750	02/24/2010	
GCSR 2007-1(LI)	15	\$20,000	\$20,000	\$8,000	03/05/2010	
GCSR 2007-2(SA)	1	\$7,500	\$7,500	\$2,750	02/24/2010	

Federal Railroad Administration
Safety Cases Closed in FY 2010

<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>
GCSR 2007-3(GC)	4	\$13,500	\$13,500	\$5,500	02/24/2010	
GCSR 2007-4(GC)	2	\$5,000	\$5,000	\$2,000	03/05/2010	
GCSR 2007-5(GC)	3	\$8,500	\$8,500	\$3,750	02/24/2010	
GCSR 2007-6(EQ)	2	\$4,500	\$4,500	\$1,750	02/24/2010	
GCSR 2007-7(ROR)	1	\$5,000	\$5,000	\$1,750	02/24/2010	
GCSR 2007-8(TS)	36	\$36,000	\$36,000	\$15,000	03/05/2010	
GCSR 2007-9(RW)	1	\$10,000	\$10,000	\$3,500	02/24/2010	
GCSR 2007-10(LI)	9	\$24,000	\$24,000	\$9,000	02/24/2010	
GCSR 2007-11(AR)	1	\$2,500	\$2,500	\$750	02/24/2010	
GCSR 2007-12(HSR)	1	\$1,000	\$1,000	\$750	02/24/2010	
GCSR 2007-13(SA)	1	\$7,500	\$7,500	\$2,750	02/24/2010	
GCW 2008-1(GC)	1	\$1,000	\$1,000	\$650	11/04/2009	
GETY 2008-1(GC)	1	\$5,000	\$5,000	\$2,500	11/04/2009	
GETY 2008-2(HSR)	1	\$1,000	\$1,000	\$650	11/04/2009	
GFRR 2010-1(LI)	1	\$2,500	\$2,500	\$2,500	09/02/2010	
GFRR 2010-2(TS)	1	\$5,000	\$5,000	\$5,000	09/02/2010	
GFRR 2010-3(TS)	1	\$1,000	\$1,000	\$1,000	09/02/2010	
GITM 2008-1(HMT)	1	\$5,000	\$5,000	\$3,500	04/12/2010	
GMRC 2007-1(SA)	3	\$15,000	\$15,000	\$7,500	12/08/2009	
GMRC 2009-1(HMT)	2	\$11,500	\$0	\$0	11/30/2009	Case Terminated.
GNBC 2007-1(SA)	1	\$7,500	\$7,500	\$4,000	10/28/2009	
GNBC 2008-1(AR)	3	\$7,500	\$7,500	\$4,600	10/28/2009	
GNRR 2010-1(SA)	1	\$5,000	\$5,000	\$5,000	09/07/2010	
GRVV 2007-1(LIS)	2	\$10,000	\$10,000	\$2,000	01/13/2010	
HESR 2009-1(EO)	1	\$2,500	\$2,500	\$1,500	09/30/2010	
HESR 2009-2(SA)	1	\$5,000	\$5,000	\$3,100	09/30/2010	
HESR 2009-4(SA)	1	\$2,500	\$2,500	\$1,550	09/30/2010	
IAIS 2009-1(GC)	1	\$1,000	\$1,000	\$650	01/20/2010	
IAIS 2009-4(ROP)	3	\$28,500	\$28,500	\$20,425	01/20/2010	
IAIS 2009-5(EQ)	2	\$2,000	\$0	\$0	01/20/2010	Case Terminated.
IAIS 2010-1(GC)	1	\$1,000	\$1,000	\$1,000	03/08/2010	
IANR 2009-1(SI)	2	\$2,000	\$2,000	\$1,100	01/15/2010	
IANR 2009-2(GC)	1	\$5,000	\$5,000	\$2,750	01/15/2010	
IHB 2008-3(SI)	1	\$5,000	\$5,000	\$3,750	12/01/2009	
IHB 2008-4(SA)	1	\$5,000	\$5,000	\$3,750	12/01/2009	
IHB 2008-6(AD)	1	\$2,500	\$2,500	\$1,875	12/01/2009	
IHB 2008-7(HSR)	4	\$4,000	\$4,000	\$2,400	12/01/2009	
IHB 2008-8(ROR)	1	\$5,000	\$5,000	\$3,000	12/01/2009	
IHB 2009-1(ROR)	4	\$20,000	\$20,000	\$12,000	12/01/2009	
IHB 2009-2(SA)	1	\$5,000	\$5,000	\$3,750	12/01/2009	
IHB 2009-3(GC)	1	\$5,000	\$5,000	\$3,750	12/01/2009	
IHB 2009-4(SI)	1	\$2,500	\$2,500	\$1,750	12/01/2009	
IHB 2009-5(SA)	2	\$7,500	\$7,500	\$5,625	12/01/2009	
IHB 2009-6(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2010	
IHB 2010-1(SA)	2	\$7,500	\$7,500	\$5,250	09/28/2010	
IHB 2010-2(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2010	
IHB 2010-3(AR)	8	\$20,000	\$20,000	\$14,000	09/28/2010	
IHB 2010-4(SA)	2	\$10,000	\$10,000	\$7,000	09/28/2010	
IHB 2010-5(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2010	

Federal Railroad Administration
Safety Cases Closed in FY 2010

<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>
IHB 2010-6(AR)	5	\$12,500	\$12,500	\$8,750	09/28/2010	
IHB 2010-7(AR)	1	\$2,500	\$2,500	\$1,750	09/28/2010	
IMRR 2010-1(SA)	1	\$5,000	\$5,000	\$5,000	05/12/2010	
IN 2008-1(EQ)	2	\$7,500	\$5,000	\$1,250	01/05/2010	
INRD 2008-8(AD)	1	\$2,500	\$2,500	\$2,500	11/05/2009	
INRD 2009-1(TS)	1	\$5,000	\$5,000	\$3,000	11/04/2009	
INRD 2009-2(LI)	8	\$17,500	\$17,500	\$11,375	12/03/2009	
INRD 2009-3(SA)	1	\$2,500	\$2,500	\$1,375	12/03/2009	
INRD 2009-4(SA)	3	\$7,500	\$7,500	\$6,500	01/27/2010	
INRD 2009-5(SA)	4	\$20,000	\$20,000	\$10,000	01/27/2010	
INRD 2010-1(TS)	2	\$10,000	\$10,000	\$7,500	06/22/2010	
IOY 2009-1(GC)	1	\$2,500	\$2,500	\$1,500	09/30/2010	
IOY 2009-2(LI)	1	\$1,500	\$1,500	\$1,050	09/30/2010	
IR 2009-1(SA)	2	\$10,000	\$10,000	\$7,000	02/03/2010	
IR 2009-2(ROP)	1	\$9,500	\$9,500	\$6,500	02/03/2010	
IR 2009-3(TS)	3	\$15,000	\$15,000	\$15,000	02/03/2010	
IRSS 2009-1(AR)	4	\$20,000	\$20,000	\$2,200	03/04/2010	
KAW 2008-1(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2010	
KAW 2009-1(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2010	
KAW 2009-3(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2010	
KCS 2009-11(RW)	2	\$5,000	\$5,000	\$3,500	09/30/2010	
KCS 2009-15(LI)	2	\$2,500	\$2,500	\$1,750	09/30/2010	
KCS 2009-16(REM)	1	\$5,000	\$5,000	\$3,500	09/30/2010	
KCS 2009-17(SA)	2	\$10,000	\$10,000	\$6,300	09/30/2010	
KCS 2009-18(TS)	1	\$5,000	\$5,000	\$3,500	09/30/2010	
KCS 2009-19(TS)	3	\$4,500	\$4,500	\$3,250	09/30/2010	
KCS 2009-20(AD)	1	\$5,000	\$5,000	\$3,500	09/30/2010	
KCS 2009-21(SA)	3	\$10,000	\$10,000	\$6,300	09/30/2010	
KCS 2009-22(GC)	1	\$5,000	\$5,000	\$3,750	09/30/2010	
KCS 2009-23(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2010	
KCS 2009-24(TS)	3	\$11,000	\$11,000	\$7,400	09/30/2010	
KCS 2009-26(HMT)	2	\$8,000	\$8,000	\$5,200	09/30/2010	
KCS 2009-27(GC)	2	\$6,000	\$6,000	\$3,900	09/30/2010	
KCS 2009-28(SA)	2	\$7,500	\$7,500	\$5,500	09/30/2010	
KCS 2009-29(SA)	2	\$7,500	\$7,500	\$5,200	09/30/2010	
KCS 2009-30(GC)	2	\$5,000	\$5,000	\$3,700	09/30/2010	
KCS 2009-31(TS)	3	\$7,000	\$7,000	\$4,700	09/30/2010	
KCS 2009-32(TS)	1	\$5,000	\$5,000	\$3,200	09/30/2010	
KCS 2009-33(FCS)	1	\$2,500	\$2,500	\$1,700	09/30/2010	
KCS 2009-34(TS)	9	\$18,500	\$18,500	\$12,500	09/30/2010	
KCS 2009-35(SA)	1	\$2,500	\$2,500	\$1,850	09/30/2010	
KCS 2009-36(AR)	2	\$7,500	\$5,000	\$3,000	09/30/2010	Terminated Violation(s): 2
KCS 2009-37(LI)	1	\$2,500	\$2,500	\$1,750	09/30/2010	
KCS 2009-38(LI)	1	\$2,500	\$2,500	\$1,700	09/30/2010	
KCS 2009-39(AR)	1	\$2,500	\$2,500	\$1,300	09/30/2010	
KCS 2009-40(LI)	1	\$1,500	\$1,500	\$1,100	09/30/2010	
KCS 2009-41(HMT)	1	\$2,000	\$2,000	\$1,300	09/30/2010	
KCS 2009-42(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2010	
KCS 2009-43(FCS)	1	\$2,500	\$2,500	\$1,500	09/30/2010	

Federal Railroad Administration
Safety Cases Closed in FY 2010

<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>
KCS 2009-44(AR)	2	\$5,000	\$5,000	\$3,400	09/30/2010	
KCS 2009-45(GC)	1	\$1,000	\$1,000	\$600	09/30/2010	
KCS 2009-46(E0)	1	\$5,000	\$5,000	\$3,000	09/30/2010	
KCS 2009-47(SA)	2	\$10,000	\$10,000	\$6,700	09/30/2010	
KCS 2009-48(ROP)	1	\$7,500	\$7,500	\$5,400	09/30/2010	
KCS 2009-49(FCS)	1	\$5,000	\$5,000	\$3,000	09/30/2010	
KCS 2009-50(TS)	8	\$8,000	\$8,000	\$5,400	09/30/2010	
KCS 2009-51(ROP)	1	\$5,000	\$5,000	\$3,400	09/30/2010	
KCS 2010-1(TS)	1	\$1,000	\$1,000	\$600	09/30/2010	
KCS 2010-2(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2010	
KCS 2010-3(SA)	2	\$5,000	\$5,000	\$3,600	09/30/2010	
KCS 2010-4(ROP)	1	\$5,000	\$5,000	\$3,500	09/30/2010	
KCS 2010-5(HMT)	2	\$9,000	\$9,000	\$6,000	09/30/2010	
KCS 2010-6(HMT)	1	\$4,000	\$0	\$0	09/30/2010	Case Terminated.
KCS 2010-7(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2010	
KO 2008-3(AR)	1	\$2,500	\$2,500	\$1,625	09/30/2010	
KO 2008-7(RW)	1	\$1,000	\$1,000	\$700	09/30/2010	
KO 2008-8(TH)	1	\$5,000	\$5,000	\$3,500	09/30/2010	
KO 2008-10(TH)	1	\$5,000	\$5,000	\$3,500	09/30/2010	
KO 2008-12(SA)	4	\$20,000	\$20,000	\$13,000	09/30/2010	
KO 2008-13(AR)	2	\$5,000	\$5,000	\$3,250	09/30/2010	
KO 2009-1(SA)	2	\$10,000	\$10,000	\$6,500	09/30/2010	
KO 2009-3(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2010	
KO 2009-4(AR)	2	\$5,000	\$5,000	\$3,250	09/30/2010	
KO 2009-5(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2010	
KO 2009-6(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2010	
KRR 2009-1(TS)	1	\$5,000	\$5,000	\$3,600	09/30/2010	
KRR 2009-2(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2010	
KRR 2009-3(TS)	3	\$15,000	\$15,000	\$9,300	09/30/2010	
KRR 2009-4(TS)	13	\$32,000	\$32,000	\$19,840	09/30/2010	
KRR 2009-5(TS)	19	\$38,000	\$38,000	\$23,560	09/30/2010	
KRR 2009-6(TS)	3	\$12,500	\$12,500	\$7,750	09/30/2010	
KYLE 2006-2(TS)	6	\$18,000	\$18,000	\$12,240	12/22/2009	
LAL 2009-1(AR)	1	\$1,000	\$1,000	\$1,000	11/30/2009	
LAS 2008-1(AD)	6	\$15,000	\$15,000	\$10,000	09/30/2010	
LAS 2008-3(AD)	2	\$5,000	\$5,000	\$3,500	09/30/2010	
LAS 2009-1(SA)	1	\$2,500	\$2,500	\$1,625	09/30/2010	
LAS 2009-2(LI)	2	\$5,000	\$5,000	\$3,250	09/30/2010	
LDRR 2009-1(HMT)	1	\$5,000	\$5,000	\$2,000	01/22/2010	
LDRR 2009-2(TS)	3	\$7,000	\$7,000	\$7,000	02/03/2010	
LSRC 2009-1(AD)	1	\$2,500	\$2,500	\$2,500	12/16/2009	
MBAX 2007-5(RSP)	1	\$2,500	\$2,500	\$1,500	02/02/2010	
MBAX 2008-1(SI)	4	\$64,000	\$64,000	\$39,000	09/16/2010	
MBAX 2008-2(SA)	1	\$5,000	\$0	\$0	02/02/2010	Case Terminated.
MBAX 2008-3(TS)	1	\$2,500	\$2,500	\$1,250	02/02/2010	
MBAX 2008-5(TS)	2	\$5,000	\$5,000	\$3,750	02/02/2010	
MBAX 2008-6(PEQ)	1	\$2,500	\$2,500	\$1,800	02/02/2010	
MBAX 2008-7(ROP)	2	\$10,000	\$10,000	\$6,000	02/02/2010	
MBAX 2008-10(LI)	1	\$1,500	\$1,500	\$1,000	02/02/2010	

Federal Railroad Administration
Safety Cases Closed in FY 2010

<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>
MBAX 2008-15(PEQ)	3	\$7,500	\$7,500	\$5,000	02/02/2010	
MBAX 2008-16(AD)	1	\$5,000	\$5,000	\$3,750	02/02/2010	
MBAX 2009-2(PEQ)	1	\$5,000	\$5,000	\$3,750	02/02/2010	
MBAX 2009-3(SI)	1	\$5,000	\$5,000	\$3,750	02/02/2010	
MBAX 2009-4(LI)	2	\$5,000	\$5,000	\$3,000	02/02/2010	
MBAX 2009-5(PEP)	1	\$2,000	\$2,000	\$1,250	02/02/2010	
MBAX 2009-6(SI)	1	\$5,000	\$5,000	\$3,200	02/02/2010	
MBAX 2009-7(AR)	5	\$12,500	\$12,500	\$7,000	02/02/2010	
MBAX 2009-8(AR)	2	\$5,000	\$5,000	\$3,000	02/02/2010	
MBTA 2008-2(LI)	1	\$1,500	\$0	\$0	02/02/2010	Case Terminated.
MMT 2008-2(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2010	
MNA 2006-8(TS)	1	\$2,500	\$2,500	\$1,800	10/28/2009	
MNA 2008-9(SA)	2	\$10,000	\$5,000	\$2,500	09/30/2010	Terminated Violation(s): 2.
MNA 2008-11(AR)	1	\$2,500	\$2,500	\$1,250	09/30/2010	
MNA 2008-12(SA)	2	\$5,000	\$5,000	\$3,100	09/30/2010	
MNA 2008-14(LI)	1	\$1,000	\$1,000	\$700	09/30/2010	
MNA 2008-15(FCS)	1	\$5,000	\$5,000	\$3,100	09/30/2010	
MNA 2008-16(SA)	4	\$10,000	\$7,500	\$3,750	09/30/2010	Terminated Violation(s): 3.
MNA 2008-17(SA)	3	\$7,500	\$7,500	\$5,125	09/30/2010	
MNA 2008-18(SA)	4	\$10,000	\$10,000	\$7,000	09/30/2010	
MNA 2008-19(SA)	2	\$5,000	\$5,000	\$3,500	09/30/2010	
MNA 2008-20(LI)	1	\$1,500	\$1,500	\$975	09/30/2010	
MNA 2008-21(TS)	1	\$5,000	\$5,000	\$3,000	09/30/2010	
MNA 2008-22(GC)	2	\$5,000	\$5,000	\$3,350	09/30/2010	
MNA 2008-23(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2010	
MNA 2008-24(GC)	8	\$23,000	\$23,000	\$16,930	09/30/2010	
MNA 2008-26(GC)	1	\$1,000	\$1,000	\$670	09/30/2010	
MNA 2009-1(GC)	1	\$2,500	\$2,500	\$1,675	09/30/2010	
MNA 2009-2(SI)	1	\$1,000	\$0	\$0	09/30/2010	Case Terminated.
MNA 2009-3(AR)	1	\$2,500	\$2,500	\$1,500	09/30/2010	
MNA 2009-4(SA)	3	\$10,000	\$10,000	\$6,350	09/30/2010	
MNA 2009-5(GC)	2	\$7,500	\$7,500	\$5,200	09/30/2010	
MNA 2009-6(GC)	1	\$1,000	\$1,000	\$750	09/30/2010	
MNA 2009-7(SA)	1	\$2,500	\$2,500	\$2,500	11/10/2009	
MNA 2009-9(GC)	1	\$1,000	\$1,000	\$650	09/30/2010	
MNCW 2009-4(ROR)	3	\$17,500	\$17,500	\$10,000	01/20/2010	
MNCW 2009-5(ROR)	4	\$22,500	\$22,500	\$13,000	01/20/2010	
MNCW 2009-6(RSP)	1	\$2,500	\$2,500	\$2,000	01/20/2010	
NCRC 2009-1(FCS)	1	\$5,000	\$5,000	\$3,750	02/26/2010	
NCRC 2009-2(SA)	4	\$10,000	\$10,000	\$7,500	02/26/2010	
NCRC 2009-3(SA)	4	\$20,000	\$20,000	\$15,000	02/26/2010	
NCRC 2009-4(SA)	3	\$12,500	\$12,500	\$9,375	02/26/2010	
NECR 2006-1(AD)	1	\$2,500	\$2,500	\$1,750	10/22/2009	
NECR 2009-1(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2010	
NECR 2009-2(TS)	3	\$8,500	\$8,500	\$6,200	09/30/2010	
NIRC 2009-5(AR)	5	\$12,500	\$12,500	\$8,750	01/29/2010	
NIRC 2009-6(AR)	5	\$12,500	\$12,500	\$8,750	01/29/2010	
NIRC 2009-7(AR)	5	\$12,500	\$12,500	\$8,750	01/29/2010	
NIRC 2009-9(AR)	5	\$12,500	\$12,500	\$8,750	01/29/2010	

Federal Railroad Administration
Safety Cases Closed in FY 2010

<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>
NIRC 2009-10(AR)	5	\$12,500	\$12,500	\$8,750	01/29/2010	
NIRC 2009-11(AR)	5	\$12,500	\$12,500	\$8,750	01/29/2010	
NIRC 2009-12(AR)	5	\$12,500	\$12,500	\$8,750	01/29/2010	
NIRC 2009-13(AR)	5	\$12,500	\$12,500	\$8,750	01/29/2010	
NIRC 2009-14(AR)	5	\$12,500	\$12,500	\$8,750	01/29/2010	
NIRC 2009-15(AR)	4	\$10,000	\$10,000	\$8,750	01/29/2010	
NIRC 2009-16(AR)	5	\$12,500	\$12,500	\$8,750	01/29/2010	
NIRC 2009-17(AR)	5	\$12,500	\$12,500	\$8,750	01/29/2010	
NIRC 2009-18(AR)	5	\$12,500	\$12,500	\$8,750	01/29/2010	
NIRC 2009-19(AR)	5	\$12,500	\$12,500	\$8,750	01/29/2010	
NIRC 2009-20(AR)	5	\$12,500	\$12,500	\$8,750	01/29/2010	
NIRC 2009-21(AR)	5	\$12,500	\$12,500	\$8,750	01/29/2010	
NIRC 2009-22(AR)	1	\$2,500	\$2,500	\$1,750	01/29/2010	
NIRC 2009-23(AR)	1	\$5,000	\$5,000	\$2,500	01/29/2010	
NIRC 2009-24(AR)	1	\$2,500	\$2,500	\$1,750	01/29/2010	
NIRC 2009-25(AR)	2	\$5,000	\$5,000	\$3,500	01/29/2010	
NLR 2010-1(TS)	1	\$2,500	\$2,500	\$1,625	09/15/2010	
NSS 2009-1(HMT)	1	\$1,500	\$1,500	\$1,200	03/23/2010	
PAL 2009-1(ROP)	1	\$7,500	\$7,500	\$5,900	02/05/2010	
PATH 2009-1(HSR)	1	\$1,000	\$1,000	\$870	11/17/2009	
PCC 2008-1(AR)	1	\$2,500	\$2,500	\$1,700	09/30/2010	
PCC 2008-3(AR)	1	\$2,500	\$2,500	\$1,750	09/30/2010	
PCC 2008-5(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2010	
PCC 2008-6(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2010	
PCC 2009-1(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2010	
PCC 2009-2(SA)	2	\$5,000	\$5,000	\$3,500	09/30/2010	
PCJX 2009-1(SA)	1	\$5,000	\$5,000	\$3,650	02/05/2010	
PGR 2009-1(TS)	1	\$2,500	\$2,500	\$1,600	03/24/2010	
PGR 2009-2(AD)	1	\$2,500	\$2,500	\$1,700	03/24/2010	
PHL 2008-1(SA)	2	\$10,000	\$10,000	\$8,300	12/20/2009	
PHL 2009-1(EO)	1	\$2,500	\$2,500	\$1,475	03/05/2010	
PLVW 2009-1(TS)	1	\$1,000	\$1,000	\$720	02/05/2010	
PNR 2008-1(RW)	1	\$1,000	\$1,000	\$750	02/05/2010	
PNR 2009-1(SA)	1	\$2,500	\$2,500	\$2,000	02/05/2010	
PNWR 2008-9(SA)	1	\$2,500	\$2,500	\$1,800	11/10/2009	
POTB 2006-6(ROP)	1	\$5,000	\$5,000	\$2,250	02/16/2010	
POTB 2007-1(LI)	1	\$2,500	\$2,500	\$1,100	02/16/2010	
POTB 2008-1(GC)	2	\$5,000	\$5,000	\$2,500	02/16/2010	
PSAP 2007-2(TS)	1	\$1,000	\$1,000	\$740	10/30/2009	
PSAP 2007-4(GC)	1	\$2,500	\$2,500	\$1,800	10/21/2009	
PSAP 2008-1(TS)	1	\$2,500	\$2,500	\$1,750	10/21/2009	
PSAP 2008-2(HSR)	1	\$1,000	\$1,000	\$630	10/21/2009	
PSAP 2008-3(HS)	1	\$2,000	\$2,000	\$650	10/21/2009	
PSAP 2008-5(TS)	1	\$2,500	\$2,500	\$1,800	10/21/2009	
PSAP 2009-1(HMT)	1	\$2,500	\$2,500	\$1,700	09/30/2010	
PSAP 2009-2(AD)	1	\$2,500	\$2,500	\$1,500	09/30/2010	
PSAP 2009-3(SA)	2	\$5,000	\$5,000	\$3,350	09/30/2010	
PSRR 2008-1(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2010	
PT 2009-1(RW)	1	\$2,000	\$2,000	\$1,380	01/07/2010	

Federal Railroad Administration
Safety Cases Closed in FY 2010

<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>
PTRA 2008-4(HMT)	2	\$9,000	\$9,000	\$9,000	02/05/2010	
PTRA 2008-8(SA)	2	\$5,000	\$5,000	\$3,800	04/05/2010	
PTRA 2009-1(HMT)	1	\$5,000	\$5,000	\$3,700	04/05/2010	
PTRA 2009-2(HMT)	1	\$4,000	\$4,000	\$3,000	02/05/2010	
PTRA 2009-3(AD)	1	\$5,000	\$5,000	\$3,700	02/05/2010	
PTRA 2009-4(ROP)	2	\$15,000	\$15,000	\$11,700	02/05/2010	
PTRA 2009-5(RW)	1	\$3,000	\$3,000	\$2,100	02/05/2010	
PW 2009-1(SA)	1	\$5,000	\$5,000	\$5,000	10/21/2009	
RAMX 2007-1(GC)	1	\$1,000	\$1,000	\$760	11/10/2009	
RAMX 2007-2(GC)	1	\$1,000	\$1,000	\$760	11/10/2009	
REGI 2009-1(HMT)	1	\$5,000	\$5,000	\$2,750	10/16/2009	
RJCC 2008-1(FCS)	1	\$2,500	\$2,500	\$1,750	11/17/2009	
RJCC 2008-2(SA)	2	\$5,000	\$5,000	\$3,650	11/17/2009	
RJCC 2009-1(SA)	2	\$5,000	\$5,000	\$3,550	11/17/2009	
RJCM 2009-1(FCS)	1	\$2,500	\$2,500	\$1,825	11/17/2009	
RJCM 2009-2(SA)	2	\$10,000	\$10,000	\$5,150	11/17/2009	
RJCM 2009-3(SA)	1	\$5,000	\$5,000	\$4,250	11/17/2009	
RJCV 2009-1(LI)	1	\$1,000	\$1,000	\$725	11/17/2009	
RSR 2007-1(SA)	1	\$5,000	\$5,000	\$3,250	10/27/2009	
SCRF 2007-1(GC)	1	\$5,000	\$5,000	\$3,500	11/10/2009	
SCRF 2008-1(AR)	3	\$7,500	\$7,500	\$3,550	09/30/2010	
SCRF 2008-2(TS)	2	\$10,000	\$10,000	\$6,400	11/10/2009	
SCRF 2009-1(FCS)	1	\$2,000	\$2,000	\$1,300	09/30/2010	
SCRF 2009-2(SA)	1	\$5,000	\$5,000	\$3,000	09/30/2010	
SCXF 2009-1(SA)	1	\$2,500	\$2,500	\$2,500	10/20/2009	
SDIY 2009-1(SA)	1	\$5,000	\$5,000	\$3,000	09/30/2010	
SDNX 2009-1(GC)	1	\$1,000	\$1,000	\$1,000	12/23/2009	
SDTI 2009-1(TS)	1	\$5,000	\$5,000	\$5,000	12/30/2009	
SERA 2009-3(HMT)	1	\$2,500	\$2,500	\$1,000	03/16/2010	
SJVR 2005-2(TS)	2	\$10,000	\$10,000	\$6,500	10/28/2009	
SJVR 2005-3(TS)	5	\$25,000	\$25,000	\$17,500	10/22/2009	
SJVR 2005-4(TS)	5	\$25,000	\$25,000	\$17,500	10/22/2009	
SJVR 2005-5(SA)	4	\$20,000	\$20,000	\$11,000	11/09/2009	
SJVR 2005-9(SA)	3	\$15,000	\$15,000	\$8,450	11/09/2009	
SJVR 2005-11(TS)	6	\$15,000	\$15,000	\$9,500	10/28/2009	
SJVR 2005-12(SA)	5	\$22,500	\$22,500	\$14,000	11/09/2009	
SJVR 2006-5(SA)	1	\$5,000	\$5,000	\$3,150	11/09/2009	
SJVR 2008-1(SA)	1	\$2,500	\$2,500	\$1,600	02/01/2010	
SJVR 2008-3(GC)	1	\$2,500	\$2,500	\$2,000	10/22/2009	
SJVR 2009-1(GC)	4	\$16,000	\$16,000	\$11,050	09/30/2010	
SJVR 2009-2(GC)	2	\$7,500	\$7,500	\$5,225	09/30/2010	
SJVR 2009-3(GC)	3	\$10,000	\$7,500	\$5,125	09/30/2010	Partial Termination: 1 from \$5,000 to \$2,500.
SJVR 2009-4(RW)	1	\$1,000	\$1,000	\$650	09/30/2010	
SJVR 2009-5(GC)	1	\$2,500	\$2,500	\$1,625	09/30/2010	
SKOL 2007-7(TS)	1	\$2,500	\$2,500	\$1,700	09/30/2010	
SKOL 2008-3(TS)	1	\$2,500	\$2,500	\$1,625	09/30/2010	
SKOL 2008-5(TS)	6	\$30,000	\$30,000	\$19,500	09/30/2010	
SKOL 2008-6(TS)	2	\$5,000	\$5,000	\$3,625	09/30/2010	
SKOL 2008-7(RW)	1	\$5,000	\$5,000	\$3,400	09/30/2010	

Federal Railroad Administration
Safety Cases Closed in FY 2010

<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>
SKOL 2009-1(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2010	
SKOL 2009-9(TS)	13	\$32,500	\$32,500	\$22,750	09/30/2010	
SLR 2010-1(SA)	1	\$2,500	\$2,500	\$1,750	07/29/2010	
SLWC 2007-3(TS)	6	\$8,000	\$8,000	\$5,600	09/30/2010	
SLWC 2007-6(TS)	1	\$1,000	\$1,000	\$700	09/30/2010	
SLWC 2007-7(TS)	1	\$2,500	\$2,500	\$1,750	09/30/2010	
SLWC 2008-1(TS)	1	\$5,000	\$5,000	\$3,750	09/30/2010	
SLWC 2009-1(HMT)	1	\$4,000	\$4,000	\$2,750	09/30/2010	
SLWC 2009-3(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2010	
SMV 2008-1(SA)	1	\$5,000	\$5,000	\$2,700	03/02/2010	
SOU 2007-198(AR)	10	\$25,000	\$25,000	\$17,600	09/29/2010	
SOU 2008-61(SI)	1	\$5,000	\$5,000	\$3,750	09/29/2010	
SOU 2008-137(AR)	4	\$10,000	\$7,500	\$5,325	09/29/2010	Terminated Violation(s): 2.
SOU 2008-141(AR)	5	\$12,500	\$5,000	\$3,700	09/29/2010	Terminated Violation(s): 1,2,3.
SOU 2008-198(HMT)	7	\$30,000	\$26,000	\$16,750	09/29/2010	Terminated Violation(s): 5
SOU 2008-206(AR)	5	\$12,500	\$12,500	\$9,275	09/29/2010	
SOU 2008-216(SI)	23	\$23,000	\$23,000	\$17,480	09/29/2010	
SOU 2008-218(GC)	2	\$2,000	\$2,000	\$1,460	09/29/2010	
SOU 2008-223(GC)	9	\$9,000	\$9,000	\$6,570	09/29/2010	
SOU 2008-229(AR)	2	\$3,500	\$3,500	\$2,480	09/29/2010	
SOU 2008-230(TH)	1	\$5,000	\$5,000	\$3,600	09/29/2010	
SOU 2008-231(SI)	3	\$3,000	\$3,000	\$2,280	09/29/2010	
SOU 2008-235(GC)	8	\$20,000	\$20,000	\$14,600	09/29/2010	
SOU 2008-241(HMT)	9	\$53,000	\$13,500	\$7,750	09/29/2010	Terminated Violation(s): 3, 4, 5, 6, 7, 8.
SOU 2008-245(SA)	3	\$7,500	\$7,500	\$5,700	09/29/2010	
SOU 2008-247(AR)	4	\$10,000	\$10,000	\$7,500	09/29/2010	
SOU 2008-249(AR)	5	\$11,000	\$11,000	\$7,815	09/29/2010	
SOU 2008-257(SI)	1	\$1,000	\$1,000	\$750	09/29/2010	
SOU 2008-259(SI)	4	\$5,500	\$5,500	\$3,970	09/29/2010	
SOU 2008-262(AR)	8	\$20,000	\$15,000	\$10,775	09/29/2010	Terminated Violation(s): 2, 3.
SOU 2008-263(AR)	5	\$12,500	\$12,500	\$9,225	09/29/2010	
SOU 2008-266(FCS)	5	\$12,500	\$0	\$0	09/29/2010	Case Terminated.
SOU 2008-268(LI)	5	\$8,000	\$8,000	\$6,000	09/29/2010	
SOU 2008-269(HMT)	4	\$20,000	\$16,000	\$9,500	09/29/2010	Terminated Violation(s): 2
SOU 2008-272(SA)	4	\$20,000	\$20,000	\$15,200	09/29/2010	
SOU 2008-273(LI)	5	\$5,000	\$5,000	\$3,750	09/29/2010	
SOU 2008-276(AR)	4	\$10,000	\$10,000	\$7,275	09/29/2010	
SOU 2008-278(FCS)	1	\$2,500	\$2,500	\$1,800	09/29/2010	
SOU 2008-279(FCS)	7	\$17,500	\$17,500	\$12,500	09/29/2010	
SOU 2008-281(SA)	4	\$12,500	\$12,500	\$9,125	09/29/2010	
SOU 2008-283(EP)	2	\$5,000	\$2,000	\$1,500	09/29/2010	Partial Termination: 1, 2 from \$2,500 to \$1,000.
SOU 2008-292(LI)	1	\$2,500	\$2,500	\$1,875	09/29/2010	
SOU 2009-2(FCS)	1	\$2,500	\$2,500	\$1,850	09/29/2010	
SOU 2009-4(HMT)	2	\$9,000	\$5,000	\$3,750	09/29/2010	Terminated Violation(s): 2.
SOU 2009-5(HSR)	1	\$1,000	\$1,000	\$650	09/29/2010	
SOU 2009-7(SA)	2	\$5,000	\$5,000	\$3,700	09/29/2010	
SOU 2009-8(BW)	1	\$1,000	\$1,000	\$710	09/29/2010	

Federal Railroad Administration
Safety Cases Closed in FY 2010

<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 2009-9(LI)	2	\$3,500	\$3,500	\$2,350	09/29/2010	
SOU 2009-10(HMT)	5	\$18,000	\$16,000	\$10,250	09/29/2010	Partial Termination: 1 from \$6,000 to \$4,000.
SOU 2009-11(SA)	5	\$12,500	\$12,500	\$8,250	09/29/2010	
SOU 2009-12(SA)	4	\$12,500	\$12,500	\$8,750	09/29/2010	
SOU 2009-13(SA)	5	\$12,500	\$12,500	\$8,250	09/29/2010	
SOU 2009-14(SA)	5	\$12,500	\$12,500	\$8,250	09/29/2010	
SOU 2009-15(SA)	4	\$10,000	\$10,000	\$6,750	09/29/2010	
SOU 2009-16(SA)	4	\$10,000	\$10,000	\$6,750	09/29/2010	
SOU 2009-17(SA)	4	\$15,000	\$10,000	\$7,400	09/29/2010	Terminated Violation(s): 1.
SOU 2009-18(SA)	4	\$12,500	\$12,500	\$9,000	09/29/2010	
SOU 2009-19(LI)	1	\$2,500	\$2,500	\$1,750	09/29/2010	
SOU 2009-20(HMT)	4	\$17,000	\$10,000	\$6,500	09/29/2010	Terminated Violation(s): 3, 4.
SOU 2009-21(SA)	2	\$5,000	\$5,000	\$3,350	09/29/2010	
SOU 2009-22(TS)	1	\$2,500	\$2,500	\$1,850	09/29/2010	
SOU 2009-23(HMT)	6	\$27,000	\$15,000	\$9,850	09/29/2010	Terminated Violation(s): 1, 3, 4.
SOU 2009-24(AR)	1	\$2,500	\$2,500	\$1,300	09/29/2010	
SOU 2009-25(HSR)	1	\$1,000	\$1,000	\$720	09/29/2010	
SOU 2009-26(AR)	1	\$2,500	\$0	\$0	09/29/2010	Case Terminated.
SOU 2009-27(FCS)	3	\$6,000	\$5,000	\$3,500	09/29/2010	Terminated Violation(s): 1.
SOU 2009-29(FCS)	3	\$3,000	\$0	\$0	09/29/2010	Case Terminated.
SOU 2009-31(LI)	3	\$7,500	\$7,500	\$5,250	09/29/2010	
SOU 2009-32(HMT)	5	\$26,000	\$26,000	\$17,800	09/29/2010	
SOU 2009-33(SA)	5	\$20,000	\$20,000	\$14,975	09/29/2010	
SOU 2009-34(ROR)	1	\$5,000	\$5,000	\$3,650	09/29/2010	
SOU 2009-35(SI)	1	\$1,000	\$1,000	\$750	09/29/2010	
SOU 2009-36(SA)	3	\$7,500	\$7,500	\$5,475	09/29/2010	
SOU 2009-37(SA)	3	\$12,500	\$12,500	\$9,000	09/29/2010	
SOU 2009-38(FCS)	4	\$10,000	\$10,000	\$6,950	09/29/2010	
SOU 2009-39(LI)	4	\$9,000	\$9,000	\$6,750	09/29/2010	
SOU 2009-42(GC)	1	\$5,000	\$5,000	\$3,750	09/29/2010	
SOU 2009-43(LI)	3	\$3,000	\$3,000	\$2,250	09/29/2010	
SOU 2009-44(HMT)	2	\$16,000	\$12,000	\$7,500	09/29/2010	Partial Termination: 1, 2 from \$8,000 to \$6,000.
SOU 2009-45(SI)	1	\$1,000	\$1,000	\$740	09/29/2010	
SOU 2009-46(SA)	4	\$10,000	\$10,000	\$7,200	09/29/2010	
SOU 2009-47(RW)	1	\$1,000	\$1,000	\$720	09/29/2010	
SOU 2009-48(LI)	1	\$2,500	\$2,500	\$1,750	09/29/2010	
SOU 2009-49(FCS)	6	\$13,000	\$13,000	\$7,500	09/29/2010	
SOU 2009-50(ROP)	1	\$2,000	\$2,000	\$1,500	09/29/2010	
SOU 2009-52(SA)	10	\$100,000	\$80,000	\$45,000	09/29/2010	Terminated Violation(s): 2.
SOU 2009-53(SA)	3	\$7,500	\$7,500	\$5,100	09/29/2010	
SOU 2009-54(GC)	1	\$2,500	\$2,500	\$1,875	09/29/2010	
SOU 2009-55(TS)	2	\$7,500	\$7,500	\$5,825	09/29/2010	
SOU 2009-56(RSP)	1	\$2,500	\$0	\$0	09/29/2010	Case Terminated.
SOU 2009-57(FCS)	3	\$6,000	\$4,000	\$2,100	09/29/2010	Terminated Violation(s): 3.
SOU 2009-58(TS)	1	\$2,000	\$2,000	\$1,420	09/29/2010	
SOU 2009-59(SA)	3	\$10,000	\$10,000	\$6,600	09/29/2010	
SOU 2009-61(SA)	4	\$10,000	\$10,000	\$7,150	09/29/2010	

Federal Railroad Administration
Safety Cases Closed in FY 2010

<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 2009-62(LI)	8	\$19,000	\$19,000	\$13,125	09/29/2010	
SOU 2009-63(HMT)	6	\$22,500	\$22,500	\$14,500	09/29/2010	
SOU 2009-64(AR)	1	\$1,000	\$1,000	\$740	09/29/2010	
SOU 2009-65(SA)	2	\$7,500	\$7,500	\$5,350	09/29/2010	
SOU 2009-66(SI)	2	\$2,000	\$2,000	\$1,480	09/29/2010	
SOU 2009-67(FCS)	2	\$7,500	\$7,500	\$6,000	09/29/2010	
SOU 2009-68(SI)	1	\$1,000	\$1,000	\$720	09/29/2010	
SOU 2009-69(SA)	3	\$10,000	\$10,000	\$7,150	09/29/2010	
SOU 2009-70(HMT)	2	\$5,000	\$5,000	\$3,450	09/29/2010	
SOU 2009-71(SI)	1	\$1,000	\$1,000	\$740	09/29/2010	
SOU 2009-72(LI)	1	\$2,500	\$2,500	\$1,750	09/29/2010	
SOU 2009-73(RSP)	1	\$1,000	\$1,000	\$730	09/29/2010	
SOU 2009-74(SA)	5	\$15,000	\$15,000	\$10,725	09/29/2010	
SOU 2009-75(SI)	1	\$1,000	\$1,000	\$750	09/29/2010	
SOU 2009-76(FCS)	5	\$12,500	\$12,500	\$8,750	09/29/2010	
SOU 2009-77(FCS)	3	\$7,500	\$7,500	\$5,250	09/29/2010	
SOU 2009-78(SA)	5	\$12,500	\$12,500	\$8,875	09/29/2010	
SOU 2009-79(SA)	5	\$12,500	\$12,500	\$9,025	09/29/2010	
SOU 2009-80(SA)	3	\$15,000	\$7,500	\$5,550	09/29/2010	Partial Termination: 1, 2, 3 from \$5,000 to \$2,500
SOU 2009-81(SA)	2	\$5,000	\$5,000	\$3,575	09/29/2010	
SOU 2009-82(GC)	1	\$5,000	\$5,000	\$3,800	09/29/2010	
SOU 2009-83(SI)	4	\$5,500	\$5,500	\$4,050	09/29/2010	
SOU 2009-84(FCS)	1	\$2,500	\$2,500	\$1,750	09/29/2010	
SOU 2009-85(GC)	1	\$5,000	\$5,000	\$3,800	09/29/2010	
SOU 2009-86(FCS)	1	\$2,500	\$2,500	\$2,000	09/29/2010	
SOU 2009-87(SA)	1	\$5,000	\$5,000	\$3,650	09/29/2010	
SOU 2009-88(HMT)	4	\$24,500	\$24,500	\$16,250	09/29/2010	
SOU 2009-90(SA)	2	\$7,500	\$7,500	\$5,500	09/29/2010	
SOU 2009-91(SA)	2	\$7,500	\$7,500	\$5,350	09/29/2010	
SOU 2009-92(SI)	1	\$2,500	\$0	\$0	09/29/2010	Case Terminated.
SOU 2009-94(FCS)	1	\$2,500	\$2,500	\$2,000	09/29/2010	
SOU 2009-95(ROP)	1	\$7,500	\$7,500	\$5,475	09/29/2010	
SOU 2009-96(AD)	1	\$1,000	\$1,000	\$710	09/29/2010	
SOU 2009-97(EQ)	1	\$10,000	\$10,000	\$7,200	09/29/2010	
SOU 2009-98(LI)	1	\$2,500	\$2,500	\$2,000	09/29/2010	
SOU 2009-99(RW)	1	\$1,000	\$1,000	\$720	09/29/2010	
SOU 2009-100(LI)	1	\$2,500	\$2,500	\$1,750	09/29/2010	
SOU 2009-101(GC)	3	\$7,000	\$7,000	\$5,250	09/29/2010	
SOU 2009-102(RW)	1	\$1,000	\$1,000	\$730	09/29/2010	
SOU 2009-103(SI)	1	\$1,000	\$1,000	\$730	09/29/2010	
SOU 2009-104(ROP)	1	\$7,500	\$7,500	\$5,325	09/29/2010	
SOU 2009-105(SA)	1	\$2,500	\$2,500	\$1,850	09/29/2010	
SOU 2009-106(SA)	1	\$2,500	\$2,500	\$1,800	09/29/2010	
SOU 2009-107(SA)	2	\$7,500	\$7,500	\$5,250	09/29/2010	
SOU 2009-108(SA)	1	\$2,500	\$2,500	\$1,850	09/29/2010	
SOU 2009-109(SA)	1	\$5,000	\$5,000	\$3,700	09/29/2010	
SOU 2009-110(TS)	1	\$5,000	\$5,000	\$3,650	09/29/2010	
SOU 2009-111(FCS)	1	\$2,500	\$2,500	\$1,875	09/29/2010	
SOU 2009-112(SA)	4	\$15,000	\$15,000	\$10,725	09/29/2010	

Federal Railroad Administration
Safety Cases Closed in FY 2010

<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 2009-113(SA)	1	\$5,000	\$5,000	\$3,900	09/29/2010	
SOU 2009-114(SA)	3	\$10,000	\$10,000	\$7,250	09/29/2010	
SOU 2009-115(HMT)	5	\$29,000	\$27,000	\$18,000	09/29/2010	Partial Termination: 1 from \$8,000 to \$6,000.
SOU 2009-116(HMT)	8	\$43,000	\$33,500	\$24,800	09/29/2010	Partial Termination: 1 from \$6,000 to \$4,000, 4-6 from \$7,500 to \$5,000.
SOU 2009-117(FCS)	1	\$2,500	\$2,500	\$1,750	09/29/2010	
SOU 2009-118(HMT)	1	\$6,000	\$4,000	\$2,650	09/29/2010	Partial Termination: 1 from \$6,000 to \$4,000
SOU 2009-119(HSR)	2	\$2,000	\$1,000	\$650	09/29/2010	Terminated Violation(s): 1.
SOU 2009-120(GC)	1	\$5,000	\$5,000	\$3,900	09/29/2010	
SOU 2009-121(SI)	1	\$2,500	\$2,500	\$1,825	09/29/2010	
SOU 2009-122(FCS)	3	\$10,000	\$10,000	\$7,750	09/29/2010	
SOU 2009-123(SA)	3	\$12,500	\$12,500	\$9,150	09/29/2010	
SOU 2009-124(RSP)	2	\$7,500	\$7,500	\$5,475	09/29/2010	
SOU 2009-125(FCS)	1	\$2,500	\$2,500	\$1,750	09/29/2010	
SOU 2009-126(SA)	2	\$5,000	\$5,000	\$3,650	09/29/2010	
SOU 2009-127(HSR)	6	\$6,000	\$6,000	\$4,500	09/29/2010	
SOU 2009-128(LI)	1	\$1,500	\$1,500	\$1,125	09/29/2010	
SOU 2009-129(HSR)	1	\$1,000	\$1,000	\$730	09/29/2010	
SOU 2009-130(RSP)	1	\$1,000	\$1,000	\$720	09/29/2010	
SOU 2009-131(TS)	1	\$5,000	\$5,000	\$3,750	09/29/2010	
SOU 2009-132(SA)	1	\$2,500	\$2,500	\$1,800	09/29/2010	
SOU 2009-133(FCS)	3	\$7,500	\$7,500	\$5,250	09/29/2010	
SOU 2009-134(SA)	1	\$5,000	\$5,000	\$3,650	09/29/2010	
SOU 2009-135(FCS)	4	\$10,000	\$10,000	\$7,300	09/29/2010	
SOU 2009-136(HS)	1	\$1,000	\$1,000	\$780	09/29/2010	
SOU 2009-137(LI)	2	\$3,500	\$3,500	\$2,500	09/29/2010	
SOU 2009-138(LI)	2	\$5,000	\$5,000	\$3,500	09/29/2010	
SOU 2009-139(SA)	1	\$2,500	\$2,500	\$1,800	09/29/2010	
SOU 2009-140(SA)	1	\$2,500	\$2,500	\$1,800	09/29/2010	
SOU 2009-141(SA)	2	\$7,500	\$7,500	\$5,325	09/29/2010	
SOU 2009-142(SA)	1	\$2,500	\$2,500	\$1,850	09/29/2010	
SOU 2009-143(SA)	1	\$2,500	\$2,500	\$1,800	09/29/2010	
SOU 2009-144(SA)	3	\$7,500	\$7,500	\$5,400	09/29/2010	
SOU 2009-145(SA)	3	\$10,000	\$10,000	\$7,175	09/29/2010	
SOU 2009-146(SA)	1	\$5,000	\$5,000	\$3,600	09/29/2010	
SOU 2009-147(SI)	1	\$2,500	\$0	\$0	09/29/2010	Case Terminated.
SOU 2009-148(HMT)	5	\$35,000	\$8,000	\$5,920	09/29/2010	Terminated Violation(s): 2, 3. Partial Termination: 1 from \$6,000 to \$4,000, 4 and 5 from \$7,500 to \$2,000.
SOU 2009-149(LI)	1	\$2,000	\$2,000	\$1,600	09/29/2010	
SOU 2009-150(HMT)	2	\$15,000	\$10,000	\$8,300	09/29/2010	Partial Termination: 1 and 2 from \$7,500 to \$5,000.
SOU 2009-151(GC)	5	\$25,000	\$20,000	\$14,520	09/29/2010	Terminated Violation(s): 4.
SOU 2009-152(FCS)	2	\$5,000	\$5,000	\$4,250	09/29/2010	
SOU 2009-153(TH)	1	\$5,000	\$5,000	\$3,500	09/29/2010	
SOU 2009-155(HMT)	3	\$16,000	\$16,000	\$10,300	09/29/2010	
SOU 2009-156(LI)	1	\$2,500	\$2,500	\$1,750	09/29/2010	

Federal Railroad Administration
Safety Cases Closed in FY 2010

<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 2009-158(LI)	1	\$2,500	\$2,500	\$1,750	09/29/2010	
SOU 2009-159(LI)	2	\$3,500	\$3,500	\$2,625	09/29/2010	
SOU 2009-162(SA)	4	\$8,000	\$3,000	\$3,000	09/29/2010	Terminated Violation(s): 4.
SOU 2009-163(SA)	4	\$12,500	\$3,000	\$3,000	09/29/2010	Terminated Violation(s): 2.
SOU 2009-164(SA)	5	\$17,500	\$17,500	\$11,900	09/29/2010	
SOU 2009-165(SA)	3	\$7,500	\$7,500	\$5,475	09/29/2010	
SOU 2009-166(SA)	1	\$2,500	\$2,500	\$1,850	09/29/2010	
SOU 2009-168(ROP)	1	\$7,500	\$7,500	\$5,475	09/29/2010	
SOU 2009-169(SA)	1	\$2,500	\$2,500	\$1,850	09/29/2010	
SOU 2009-170(LI)	1	\$2,500	\$2,500	\$1,750	09/29/2010	
SOU 2009-171(HMT)	2	\$10,000	\$10,000	\$6,250	09/29/2010	
SOU 2009-172(HMT)	5	\$10,000	\$10,000	\$6,500	09/29/2010	
SOU 2009-173(GC)	1	\$2,500	\$2,500	\$1,850	09/29/2010	
SOU 2009-174(SA)	3	\$10,000	\$10,000	\$7,100	09/29/2010	
SOU 2009-175(SA)	3	\$15,000	\$15,000	\$10,700	09/29/2010	
SOU 2009-176(ROP)	3	\$19,000	\$19,000	\$13,815	09/29/2010	
SOU 2009-177(SA)	5	\$20,000	\$15,000	\$10,300	09/29/2010	Terminated Violation(s): 4.
SOU 2009-178(SA)	1	\$2,500	\$2,500	\$1,625	09/29/2010	
SOU 2009-179(RSP)	2	\$2,000	\$2,000	\$1,400	09/29/2010	
SOU 2009-180(SA)	1	\$5,000	\$5,000	\$3,500	09/29/2010	
SOU 2009-181(SA)	1	\$2,500	\$2,500	\$1,750	09/29/2010	
SOU 2009-182(SA)	1	\$5,000	\$5,000	\$3,600	09/29/2010	
SOU 2009-183(LI)	1	\$1,000	\$1,000	\$750	09/29/2010	
SOU 2009-184(SI)	1	\$5,000	\$5,000	\$3,600	09/29/2010	
SOU 2009-185(FCS)	1	\$2,500	\$2,500	\$2,000	09/29/2010	
SOU 2009-186(SA)	1	\$2,500	\$2,500	\$1,800	09/29/2010	
SOU 2009-187(SA)	1	\$2,500	\$2,500	\$1,750	09/29/2010	
SOU 2009-188(LI)	7	\$16,500	\$16,500	\$11,700	09/29/2010	
SOU 2009-189(SI)	1	\$1,000	\$1,000	\$720	09/29/2010	
SOU 2009-190(SA)	3	\$15,000	\$10,000	\$7,200	09/29/2010	Terminated Violation(s): 2.
SOU 2009-191(RSP)	3	\$3,000	\$3,000	\$2,190	09/29/2010	
SOU 2009-192(SI)	1	\$1,000	\$1,000	\$720	09/29/2010	
SOU 2009-193(SA)	1	\$2,500	\$2,500	\$1,750	09/29/2010	
SOU 2009-194(SA)	1	\$5,000	\$5,000	\$3,450	09/29/2010	
SOU 2009-195(HMT)	3	\$10,000	\$10,000	\$7,250	09/29/2010	
SOU 2009-196(SA)	1	\$2,500	\$2,500	\$1,750	09/29/2010	
SOU 2009-197(HMT)	6	\$19,000	\$19,000	\$12,500	09/29/2010	
SOU 2009-198(LI)	1	\$2,500	\$2,500	\$1,750	09/29/2010	
SOU 2009-199(HMT)	1	\$7,500	\$7,500	\$7,500	09/29/2010	
SOU 2009-200(LI)	2	\$5,000	\$5,000	\$3,000	09/29/2010	
SOU 2009-201(FCS)	1	\$2,500	\$2,500	\$1,750	09/29/2010	
SOU 2009-202(FCS)	5	\$12,500	\$12,500	\$8,600	09/29/2010	
SOU 2009-203(SA)	3	\$10,000	\$10,000	\$7,200	09/29/2010	
SOU 2009-204(FCS)	3	\$7,500	\$7,500	\$5,250	09/29/2010	
SOU 2009-205(SA)	4	\$15,000	\$15,000	\$10,750	09/29/2010	
SOU 2009-206(SA)	2	\$5,000	\$5,000	\$3,500	09/29/2010	
SOU 2009-207(LI)	1	\$2,500	\$2,500	\$1,750	09/29/2010	
SOU 2009-209(ROP)	1	\$5,000	\$5,000	\$3,700	09/29/2010	
SOU 2009-210(ROR)	1	\$5,000	\$5,000	\$3,550	09/29/2010	

Federal Railroad Administration
Safety Cases Closed in FY 2010

<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 2010-1(LI)	1	\$2,500	\$2,500	\$1,750	09/29/2010	
SOU 2010-2(EQ)	1	\$1,000	\$1,000	\$680	09/29/2010	
SOU 2010-3(SA)	3	\$10,000	\$10,000	\$7,100	09/29/2010	
SOU 2010-4(SA)	3	\$7,500	\$7,500	\$5,250	09/29/2010	
SOU 2010-5(LI)	1	\$2,500	\$2,500	\$2,000	09/29/2010	
SOU 2010-8(SA)	1	\$2,500	\$2,500	\$1,750	09/29/2010	
SOU 2010-9(GC)	1	\$5,000	\$5,000	\$3,750	09/29/2010	
SOU 2010-10(LI)	1	\$2,500	\$2,500	\$1,750	09/29/2010	
SOU 2010-11(LI)	1	\$2,500	\$2,500	\$1,750	09/29/2010	
SOU 2010-12(SA)	4	\$17,500	\$12,500	\$8,925	09/29/2010	Terminated Violation(s): 4.
SOU 2010-13(SA)	2	\$10,000	\$10,000	\$7,100	09/29/2010	
SOU 2010-14(ROP)	2	\$14,500	\$14,500	\$10,200	09/29/2010	
SOU 2010-15(REM)	1	\$5,000	\$5,000	\$3,600	09/29/2010	
SOU 2010-16(SI)	1	\$5,000	\$5,000	\$3,650	09/29/2010	
SOU 2010-17(HMT)	15	\$36,000	\$27,500	\$20,350	09/29/2010	Partial Termination: 1 from \$22,000 to \$16,000. Terminated Violation(s): 3.
SOU 2010-18(LI)	1	\$2,500	\$2,500	\$1,875	09/29/2010	
SOU 2010-19(LI)	1	\$1,000	\$1,000	\$650	09/29/2010	
SOU 2010-20(HMT)	2	\$4,000	\$4,000	\$4,000	09/29/2010	
SOU 2010-21(HSR)	1	\$1,000	\$0	\$0	09/29/2010	Case Terminated.
SOU 2010-23(GC)	1	\$5,000	\$5,000	\$3,750	09/29/2010	
SOU 2010-24(FCS)	2	\$4,500	\$4,500	\$3,600	09/29/2010	
SOU 2010-26(SA)	3	\$7,500	\$7,500	\$5,400	09/29/2010	
SOU 2010-27(SA)	3	\$17,500	\$12,500	\$8,800	09/29/2010	Terminated Violation(s): 1.
SOU 2010-29(RW)	1	\$1,000	\$1,000	\$670	09/29/2010	
SOU 2010-30(TS)	4	\$20,000	\$20,000	\$14,800	09/29/2010	
SOU 2010-33(SA)	1	\$2,500	\$2,500	\$1,750	09/29/2010	
SOU 2010-34(SA)	1	\$2,500	\$2,500	\$1,725	09/29/2010	
SOU 2010-35(SA)	1	\$5,000	\$5,000	\$3,550	09/29/2010	
SOU 2010-38(LI)	4	\$8,000	\$8,000	\$5,850	09/29/2010	
SOU 2010-39(GS)	4	\$10,000	\$10,000	\$8,000	09/29/2010	
SOU 2010-42(GC)	1	\$5,000	\$5,000	\$2,850	09/29/2010	
SOU 2010-44(SA)	2	\$5,000	\$5,000	\$3,525	09/29/2010	
SS 2008-1(SA)	1	\$5,000	\$5,000	\$2,500	05/11/2010	
SSCX 2009-1(TS)	1	\$2,000	\$2,000	\$1,100	02/24/2010	
SW 2009-2(TS)	1	\$5,000	\$5,000	\$3,250	03/22/2010	
TASD 2008-5(SA)	2	\$7,500	\$7,500	\$5,500	01/27/2010	
TASD 2008-6(AR)	1	\$2,500	\$2,500	\$1,750	04/08/2010	
TASD 2009-1(TS)	2	\$10,000	\$10,000	\$7,000	04/08/2010	
TASD 2009-2(AD)	1	\$5,000	\$5,000	\$4,000	04/08/2010	
TASD 2009-3(EQ)	1	\$2,500	\$2,500	\$1,750	04/08/2010	
TASD 2009-4(TS)	1	\$5,000	\$5,000	\$3,500	04/08/2010	
TASD 2009-5(SA)	1	\$5,000	\$5,000	\$3,500	04/08/2010	
TASD 2009-6(ROP)	2	\$17,000	\$17,000	\$10,200	04/08/2010	
TASD 2009-7(SA)	3	\$7,500	\$7,500	\$5,250	04/08/2010	
TCWR 2009-1(AR)	1	\$2,500	\$2,500	\$1,800	11/04/2009	
TCWR 2009-2(AR)	3	\$7,500	\$7,500	\$3,750	06/15/2010	
TIBR 2009-1(EO)	1	\$2,500	\$2,500	\$1,750	09/30/2010	
TMBL 2009-1(SA)	1	\$2,500	\$2,500	\$875	11/04/2009	

Federal Railroad Administration
Safety Cases Closed in FY 2010

<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>
TMBL 2009-2(SA)	1	\$5,000	\$5,000	\$3,750	11/04/2009	
TMEV 2010-1(SI)	1	\$2,500	\$2,500	\$2,500	02/02/2010	
TNMR 2006-2(AR)	1	\$2,500	\$2,500	\$1,850	12/10/2009	
TNMR 2007-2(TS)	2	\$3,500	\$3,500	\$2,915	12/10/2009	
TNMR 2007-3(RW)	1	\$4,000	\$4,000	\$2,800	12/10/2009	
TNMR 2007-4(TS)	1	\$1,000	\$1,000	\$700	12/10/2009	
TNMR 2007-5(GC)	1	\$1,000	\$1,000	\$700	12/10/2009	
TOE 2010-1(ROP)	1	\$2,000	\$2,000	\$2,000	06/22/2010	
TPW 2006-1(GC)	1	\$2,500	\$2,500	\$1,500	09/30/2010	
TPW 2006-2(AR)	1	\$2,500	\$2,500	\$1,800	09/30/2010	
TPW 2009-1(ROP)	2	\$11,500	\$11,500	\$7,820	09/30/2010	
TRRA 2009-2(SA)	1	\$5,000	\$5,000	\$3,750	12/15/2009	
TRRA 2009-3(FCS)	5	\$12,500	\$12,500	\$9,000	12/15/2009	
TRRA 2009-4(FCS)	1	\$2,500	\$2,500	\$2,500	12/15/2009	
TRRA 2009-5(ROP)	1	\$5,000	\$5,000	\$3,750	12/15/2009	
TRRA 2009-6(HSR)	1	\$1,000	\$1,000	\$1,000	11/04/2009	
TRRA 2009-7(ROP)	1	\$5,000	\$5,000	\$5,000	01/22/2010	
TRRA 2010-1(FCS)	1	\$5,000	\$5,000	\$3,750	04/08/2010	
UP 2007-327(RW)	1	\$10,000	\$10,000	\$8,500	09/29/2010	
UP 2007-444(HMT)	271	\$1,152,500	\$952,500	\$565,000	09/29/2010	Terminated Violation(s): 1 and Partial Termination: 212- 271 from \$855,500 to \$655,500.
UP 2008-23(SI)	11	\$27,500	\$27,500	\$18,700	09/29/2010	
UP 2008-216(PEP)	1	\$1,000	\$1,000	\$650	09/29/2010	
UP 2008-251(HMT)	2	\$4,000	\$4,000	\$2,600	09/29/2010	
UP 2008-429(AR)	1	\$2,500	\$2,500	\$1,000	09/29/2010	
UP 2008-434(TS)	5	\$9,000	\$9,000	\$5,940	09/29/2010	
UP 2008-454(HMT)	54	\$135,000	\$135,000	\$89,000	09/29/2010	
UP 2008-467(SA)	6	\$22,500	\$22,500	\$15,000	09/29/2010	
UP 2009-5(FCS)	4	\$12,500	\$12,500	\$8,000	09/29/2010	
UP 2009-9(TS)	10	\$50,000	\$50,000	\$37,000	09/29/2010	
UP 2009-18(TS)	4	\$5,500	\$5,500	\$3,700	09/29/2010	
UP 2009-21(GC)	1	\$5,000	\$5,000	\$3,600	09/29/2010	
UP 2009-24(HMT)	3	\$18,500	\$13,500	\$9,625	09/29/2010	Terminated Violation(s): 1.
UP 2009-27(TS)	2	\$7,500	\$7,500	\$4,950	09/29/2010	
UP 2009-30(SA)	3	\$10,000	\$10,000	\$7,100	09/29/2010	
UP 2009-33(RSP)	1	\$2,500	\$2,500	\$2,050	09/29/2010	
UP 2009-48(AD)	3	\$15,000	\$0	\$0	09/29/2010	Case Terminated.
UP 2009-49(LI)	4	\$8,500	\$8,500	\$5,950	09/29/2010	
UP 2009-52(TS)	2	\$10,000	\$10,000	\$6,800	09/29/2010	
UP 2009-53(SA)	2	\$5,000	\$5,000	\$3,650	09/29/2010	
UP 2009-54(LI)	1	\$1,000	\$1,000	\$650	09/29/2010	
UP 2009-55(SA)	4	\$12,500	\$12,500	\$9,125	09/29/2010	
UP 2009-56(SA)	4	\$10,000	\$10,000	\$6,500	09/29/2010	
UP 2009-57(FCS)	4	\$17,500	\$17,500	\$11,675	09/29/2010	
UP 2009-58(GC)	5	\$14,500	\$14,500	\$9,860	09/29/2010	
UP 2009-59(SI)	2	\$10,000	\$10,000	\$7,000	09/29/2010	
UP 2009-60(FCS)	5	\$20,000	\$20,000	\$12,925	09/29/2010	
UP 2009-61(SA)	4	\$15,000	\$15,000	\$10,200	09/29/2010	

Federal Railroad Administration
Safety Cases Closed in FY 2010

<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 2009-62(SA)	4	\$12,500	\$12,500	\$9,125	09/29/2010	
UP 2009-63(SA)	4	\$15,000	\$15,000	\$10,950	09/29/2010	
UP 2009-64(HMT)	5	\$16,500	\$16,500	\$10,750	09/29/2010	
UP 2009-65(FCS)	5	\$20,000	\$20,000	\$13,375	09/29/2010	
UP 2009-66(SI)	4	\$64,000	\$64,000	\$43,520	09/29/2010	
UP 2009-67(GC)	1	\$5,000	\$5,000	\$3,600	09/29/2010	
UP 2009-68(LI)	4	\$10,500	\$10,500	\$7,140	09/29/2010	
UP 2009-69(HMT)	1	\$2,000	\$2,000	\$1,440	09/29/2010	
UP 2009-71(TS)	4	\$8,500	\$8,500	\$5,940	09/29/2010	
UP 2009-72(TS)	2	\$7,500	\$7,500	\$5,100	09/29/2010	
UP 2009-73(HMT)	1	\$5,000	\$5,000	\$3,300	09/29/2010	
UP 2009-74(SA)	1	\$2,500	\$2,500	\$1,875	09/29/2010	
UP 2009-75(SA)	3	\$10,000	\$10,000	\$6,800	09/29/2010	
UP 2009-76(SA)	4	\$10,000	\$10,000	\$7,000	09/29/2010	
UP 2009-78(ROP)	2	\$10,000	\$10,000	\$6,400	09/29/2010	
UP 2009-79(GC)	1	\$5,000	\$5,000	\$3,400	09/29/2010	
UP 2009-80(FCS)	3	\$7,500	\$7,500	\$4,825	09/29/2010	
UP 2009-81(TS)	2	\$6,000	\$6,000	\$4,080	09/29/2010	
UP 2009-82(SA)	1	\$5,000	\$5,000	\$3,900	09/29/2010	
UP 2009-83(AR)	5	\$12,500	\$12,500	\$7,600	09/29/2010	
UP 2009-84(AR)	1	\$2,500	\$0	\$0	09/29/2010	Case Terminated.
UP 2009-85(AR)	5	\$12,500	\$12,500	\$7,700	09/29/2010	
UP 2009-86(PEP)	1	\$2,500	\$2,500	\$1,750	09/29/2010	
UP 2009-87(LI)	5	\$12,500	\$12,500	\$8,750	09/29/2010	
UP 2009-88(LI)	5	\$12,500	\$12,500	\$8,750	09/29/2010	
UP 2009-90(SA)	2	\$5,000	\$5,000	\$3,850	09/29/2010	
UP 2009-91(EQ)	69	\$69,000	\$69,000	\$46,920	09/29/2010	
UP 2009-92(GC)	1	\$5,000	\$5,000	\$2,500	09/29/2010	
UP 2009-93(ROP)	1	\$9,500	\$9,500	\$7,500	09/29/2010	
UP 2009-94(HSR)	12	\$12,000	\$12,000	\$7,800	09/29/2010	
UP 2009-95(AR)	4	\$10,000	\$10,000	\$6,150	09/29/2010	
UP 2009-96(AR)	1	\$2,500	\$2,500	\$1,650	09/29/2010	
UP 2009-97(GC)	5	\$13,000	\$13,000	\$8,840	09/29/2010	
UP 2009-98(GC)	1	\$5,000	\$5,000	\$3,600	09/29/2010	
UP 2009-99(SI)	2	\$3,500	\$3,500	\$2,380	09/29/2010	
UP 2009-100(FCS)	3	\$7,500	\$5,000	\$3,375	09/29/2010	Terminated Violation(s): 1.
UP 2009-101(SA)	2	\$5,000	\$5,000	\$3,650	09/29/2010	
UP 2009-102(HMT)	2	\$8,000	\$8,000	\$5,360	09/29/2010	
UP 2009-103(SA)	6	\$22,500	\$22,500	\$15,000	09/29/2010	
UP 2009-104(SA)	6	\$20,000	\$20,000	\$14,600	09/29/2010	
UP 2009-105(SA)	6	\$22,500	\$22,500	\$15,000	09/29/2010	
UP 2009-106(AR)	5	\$12,500	\$12,500	\$7,450	09/29/2010	
UP 2009-107(FCS)	1	\$2,500	\$2,500	\$1,600	09/29/2010	
UP 2009-108(HMT)	1	\$6,000	\$6,000	\$3,900	09/29/2010	
UP 2009-109(GC)	1	\$1,000	\$1,000	\$680	09/29/2010	
UP 2009-110(HMT)	2	\$6,500	\$6,500	\$4,175	09/29/2010	
UP 2009-112(HMT)	3	\$13,000	\$13,000	\$9,150	09/29/2010	
UP 2009-113(HMT)	1	\$6,000	\$6,000	\$4,500	09/29/2010	
UP 2009-114(HMT)	1	\$2,500	\$2,500	\$1,700	09/29/2010	

Federal Railroad Administration
Safety Cases Closed in FY 2010

<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 2009-115(TS)	3	\$10,000	\$10,000	\$6,900	09/29/2010	
UP 2009-116(RW)	1	\$2,000	\$2,000	\$1,340	09/29/2010	
UP 2009-117(TS)	1	\$2,500	\$2,500	\$1,700	09/29/2010	
UP 2009-118(HMT)	4	\$20,000	\$17,500	\$14,100	09/29/2010	Terminated Violation(s): 4.
UP 2009-119(SI)	3	\$7,000	\$7,000	\$5,100	09/29/2010	
UP 2009-120(FCS)	2	\$5,000	\$5,000	\$3,350	09/29/2010	
UP 2009-121(GC)	3	\$15,000	\$15,000	\$10,950	09/29/2010	
UP 2009-122(TS)	3	\$12,500	\$12,500	\$8,550	09/29/2010	
UP 2009-123(TS)	1	\$1,000	\$1,000	\$680	09/29/2010	
UP 2009-124(SA)	1	\$2,500	\$2,500	\$1,700	09/29/2010	
UP 2009-125(SA)	4	\$17,500	\$17,500	\$12,000	09/29/2010	
UP 2009-126(SA)	4	\$17,500	\$17,500	\$12,000	09/29/2010	
UP 2009-127(SI)	2	\$6,000	\$6,000	\$4,200	09/29/2010	
UP 2009-128(LI)	5	\$12,500	\$12,500	\$8,750	09/29/2010	
UP 2009-129(LI)	8	\$16,500	\$16,500	\$11,715	09/29/2010	
UP 2009-131(EQ)	3	\$4,500	\$4,500	\$3,150	09/29/2010	
UP 2009-132(SA)	3	\$12,500	\$12,500	\$8,500	09/29/2010	
UP 2009-133(EP)	1	\$1,000	\$1,000	\$700	09/29/2010	
UP 2009-134(TS)	1	\$16,000	\$16,000	\$11,800	09/29/2010	
UP 2009-135(SA)	2	\$5,000	\$5,000	\$2,900	09/29/2010	
UP 2009-136(TS)	1	\$5,000	\$5,000	\$3,400	09/29/2010	
UP 2009-137(SA)	5	\$12,500	\$12,500	\$8,875	09/29/2010	
UP 2009-138(SA)	5	\$20,000	\$15,000	\$13,200	09/29/2010	Partial Termination: 1 and 2 from \$5,000 to \$2,500.
UP 2009-139(TS)	15	\$75,000	\$75,000	\$51,100	09/29/2010	
UP 2009-140(SA)	1	\$5,000	\$5,000	\$3,400	09/29/2010	
UP 2009-141(TS)	7	\$31,000	\$31,000	\$21,080	09/29/2010	
UP 2009-142(TS)	4	\$15,000	\$15,000	\$11,000	09/29/2010	
UP 2009-143(TS)	2	\$10,000	\$10,000	\$6,800	09/29/2010	
UP 2009-144(FCS)	1	\$5,000	\$5,000	\$3,350	09/29/2010	
UP 2009-145(FCS)	1	\$2,000	\$2,000	\$1,500	09/29/2010	
UP 2009-146(SI)	3	\$4,500	\$4,500	\$3,175	09/29/2010	
UP 2009-147(GC)	1	\$5,000	\$5,000	\$3,600	09/29/2010	
UP 2009-148(FCS)	1	\$5,000	\$5,000	\$3,450	09/29/2010	
UP 2009-149(TS)	1	\$5,000	\$5,000	\$3,500	09/29/2010	
UP 2009-151(SA)	3	\$10,000	\$10,000	\$6,950	09/29/2010	
UP 2009-152(SA)	4	\$10,000	\$10,000	\$6,950	09/29/2010	
UP 2009-153(SA)	1	\$5,000	\$5,000	\$3,400	09/29/2010	
UP 2009-154(GC)	1	\$2,500	\$2,500	\$1,875	09/29/2010	
UP 2009-155(SI)	1	\$2,500	\$2,500	\$1,700	09/29/2010	
UP 2009-156(FCS)	2	\$7,500	\$7,500	\$4,900	09/29/2010	
UP 2009-157(SA)	1	\$5,000	\$5,000	\$3,500	09/29/2010	
UP 2009-158(SA)	1	\$5,000	\$5,000	\$3,950	09/29/2010	
UP 2009-159(SA)	1	\$5,000	\$5,000	\$3,500	09/29/2010	
UP 2009-161(SI)	1	\$1,000	\$1,000	\$680	09/29/2010	
UP 2009-162(ROP)	1	\$5,000	\$5,000	\$2,900	09/29/2010	
UP 2009-163(FCS)	1	\$2,500	\$2,500	\$1,750	09/29/2010	
UP 2009-164(LI)	2	\$5,000	\$5,000	\$3,600	09/29/2010	
UP 2009-166(TS)	2	\$7,500	\$7,500	\$4,950	09/29/2010	
UP 2009-167(RW)	1	\$1,000	\$1,000	\$750	09/29/2010	

Federal Railroad Administration
Safety Cases Closed in FY 2010

<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 2009-168(LI)	4	\$7,500	\$7,500	\$5,250	09/29/2010	
UP 2009-169(LI)	3	\$3,000	\$3,000	\$2,010	09/29/2010	
UP 2009-170(SA)	1	\$2,500	\$2,500	\$1,875	09/29/2010	
UP 2009-172(HMT)	2	\$7,000	\$7,000	\$4,900	09/29/2010	
UP 2009-173(SA)	1	\$2,500	\$2,500	\$1,825	09/29/2010	
UP 2009-174(TS)	10	\$10,000	\$10,000	\$6,500	09/29/2010	
UP 2009-175(TS)	2	\$10,000	\$10,000	\$6,800	09/29/2010	
UP 2009-176(GC)	1	\$5,000	\$5,000	\$3,500	09/29/2010	
UP 2009-177(SI)	2	\$5,000	\$5,000	\$3,500	09/29/2010	
UP 2009-178(HMT)	1	\$3,000	\$3,000	\$2,300	09/29/2010	
UP 2009-179(SA)	4	\$17,500	\$17,500	\$12,425	09/29/2010	
UP 2009-180(SA)	4	\$17,500	\$17,500	\$12,675	09/29/2010	
UP 2009-181(SA)	4	\$20,000	\$20,000	\$14,300	09/29/2010	
UP 2009-182(SA)	3	\$12,500	\$12,500	\$8,250	09/29/2010	
UP 2009-183(AR)	2	\$5,000	\$5,000	\$3,300	09/29/2010	
UP 2009-184(AR)	5	\$12,500	\$12,500	\$7,550	09/29/2010	
UP 2009-185(AR)	2	\$5,000	\$5,000	\$2,750	09/29/2010	
UP 2009-186(AR)	2	\$5,000	\$5,000	\$3,100	09/29/2010	
UP 2009-187(FCS)	5	\$21,000	\$21,000	\$13,500	09/29/2010	
UP 2009-188(FCS)	1	\$5,000	\$5,000	\$3,600	09/29/2010	
UP 2009-189(SA)	5	\$15,000	\$15,000	\$10,325	09/29/2010	
UP 2009-190(SA)	3	\$12,500	\$12,500	\$8,975	09/29/2010	
UP 2009-191(SA)	3	\$10,000	\$10,000	\$6,600	09/29/2010	
UP 2009-192(SA)	5	\$17,500	\$17,500	\$12,750	09/29/2010	
UP 2009-193(SA)	5	\$15,000	\$15,000	\$10,250	09/29/2010	
UP 2009-194(SA)	5	\$17,500	\$17,500	\$12,000	09/29/2010	
UP 2009-195(SA)	1	\$2,500	\$2,500	\$1,825	09/29/2010	
UP 2009-196(SA)	1	\$2,500	\$2,500	\$1,825	09/29/2010	
UP 2009-197(SA)	1	\$5,000	\$5,000	\$3,400	09/29/2010	
UP 2009-198(TS)	2	\$7,500	\$7,500	\$4,800	09/29/2010	
UP 2009-199(TS)	7	\$27,000	\$27,000	\$18,500	09/29/2010	
UP 2009-200(TS)	4	\$15,000	\$15,000	\$10,750	09/29/2010	
UP 2009-201(TS)	1	\$2,500	\$2,500	\$1,775	09/29/2010	
UP 2009-203(SA)	2	\$5,000	\$5,000	\$3,400	09/29/2010	
UP 2009-204(RSP)	1	\$5,000	\$5,000	\$3,350	09/29/2010	
UP 2009-205(SA)	5	\$17,500	\$17,500	\$11,750	09/29/2010	
UP 2009-206(SA)	6	\$15,000	\$15,000	\$10,675	09/29/2010	
UP 2009-207(SA)	2	\$7,500	\$7,500	\$4,950	09/29/2010	
UP 2009-208(SA)	4	\$15,000	\$15,000	\$10,675	09/29/2010	
UP 2009-209(HMT)	1	\$6,000	\$6,000	\$4,600	09/29/2010	
UP 2009-210(FCS)	3	\$12,500	\$12,500	\$8,275	09/29/2010	
UP 2009-211(SA)	4	\$10,000	\$10,000	\$6,600	09/29/2010	
UP 2009-212(SA)	4	\$12,500	\$12,500	\$8,250	09/29/2010	
UP 2009-213(SA)	2	\$7,500	\$7,500	\$5,325	09/29/2010	
UP 2009-214(FCS)	1	\$5,000	\$5,000	\$3,200	09/29/2010	
UP 2009-215(FCS)	2	\$5,000	\$5,000	\$3,500	09/29/2010	
UP 2009-216(HMT)	7	\$7,000	\$7,000	\$4,800	09/29/2010	
UP 2009-217(HMT)	10	\$20,000	\$20,000	\$12,300	09/29/2010	
UP 2009-218(FCS)	3	\$15,000	\$15,000	\$9,800	09/29/2010	

Federal Railroad Administration
Safety Cases Closed in FY 2010

<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 2009-219(SA)	2	\$5,000	\$5,000	\$3,650	09/29/2010	
UP 2009-220(FCS)	1	\$2,500	\$2,500	\$1,750	09/29/2010	
UP 2009-221(GC)	1	\$5,000	\$5,000	\$3,500	09/29/2010	
UP 2009-222(SA)	1	\$2,500	\$2,500	\$1,775	09/29/2010	
UP 2009-223(SI)	1	\$5,000	\$5,000	\$3,500	09/29/2010	
UP 2009-224(GC)	1	\$5,000	\$5,000	\$3,450	09/29/2010	
UP 2009-225(HMT)	2	\$11,500	\$11,500	\$9,500	09/29/2010	
UP 2009-227(HSR)	3	\$3,000	\$3,000	\$2,000	09/29/2010	
UP 2009-228(TS)	1	\$2,500	\$2,500	\$1,775	09/29/2010	
UP 2009-230(HMT)	1	\$4,000	\$4,000	\$2,750	09/29/2010	
UP 2009-231(HMT)	1	\$6,000	\$0	\$0	09/29/2010	Case Terminated.
UP 2009-232(HMT)	5	\$15,000	\$15,000	\$9,850	09/29/2010	
UP 2009-233(TS)	1	\$5,000	\$5,000	\$3,300	09/29/2010	
UP 2009-234(HMT)	2	\$6,000	\$6,000	\$4,000	09/29/2010	
UP 2009-235(HMT)	1	\$4,000	\$4,000	\$2,700	09/29/2010	
UP 2009-236(SA)	2	\$5,000	\$5,000	\$3,475	09/29/2010	
UP 2009-237(SA)	4	\$10,000	\$10,000	\$6,600	09/29/2010	
UP 2009-238(SA)	4	\$12,500	\$12,500	\$8,250	09/29/2010	
UP 2009-239(FCS)	1	\$2,500	\$2,500	\$1,750	09/29/2010	
UP 2009-240(FCS)	2	\$5,000	\$5,000	\$3,200	09/29/2010	
UP 2009-241(SA)	3	\$7,500	\$7,500	\$5,250	09/29/2010	
UP 2009-242(HMT)	2	\$13,500	\$13,500	\$9,000	09/29/2010	
UP 2009-243(EQ)	22	\$22,000	\$21,000	\$14,700	09/29/2010	Terminated Violation(s): 7.
UP 2009-244(LI)	4	\$8,000	\$8,000	\$5,440	09/29/2010	
UP 2009-245(LI)	1	\$2,500	\$2,500	\$1,825	09/29/2010	
UP 2009-246(LI)	5	\$12,000	\$12,000	\$8,150	09/29/2010	
UP 2009-247(EQ)	28	\$47,500	\$47,500	\$32,150	09/29/2010	
UP 2009-248(LI)	5	\$9,500	\$9,500	\$6,460	09/29/2010	
UP 2009-250(SA)	1	\$2,500	\$2,500	\$1,825	09/29/2010	
UP 2009-251(GC)	1	\$2,500	\$2,500	\$1,875	09/29/2010	
UP 2009-252(SA)	1	\$5,000	\$5,000	\$3,650	09/29/2010	
UP 2009-253(SA)	1	\$2,500	\$2,500	\$1,875	09/29/2010	
UP 2009-254(FCS)	6	\$15,000	\$15,000	\$10,375	09/29/2010	
UP 2009-255(GC)	1	\$5,000	\$5,000	\$3,500	09/29/2010	
UP 2009-256(ROP)	1	\$7,500	\$7,500	\$5,100	09/29/2010	
UP 2009-257(EQ)	3	\$3,000	\$3,000	\$2,100	09/29/2010	
UP 2009-258(LI)	1	\$2,500	\$2,500	\$1,700	09/29/2010	
UP 2009-259(SI)	4	\$4,000	\$4,000	\$2,800	09/29/2010	
UP 2009-260(GC)	2	\$6,000	\$6,000	\$4,080	09/29/2010	
UP 2009-261(SA)	5	\$22,500	\$22,500	\$15,000	09/29/2010	
UP 2009-262(SA)	5	\$15,000	\$15,000	\$10,950	09/29/2010	
UP 2009-263(SA)	3	\$10,000	\$10,000	\$6,800	09/29/2010	
UP 2009-264(SA)	4	\$12,500	\$12,500	\$8,500	09/29/2010	
UP 2009-265(RW)	2	\$3,000	\$1,000	\$750	09/29/2010	Terminated Violation(s): 1.
UP 2009-266(LI)	1	\$2,500	\$2,500	\$1,825	09/29/2010	
UP 2009-267(SA)	3	\$10,000	\$10,000	\$6,900	09/29/2010	
UP 2009-268(TS)	4	\$17,500	\$17,500	\$11,900	09/29/2010	
UP 2009-269(TS)	2	\$5,000	\$5,000	\$3,300	09/29/2010	
UP 2009-270(AR)	3	\$7,500	\$0	\$0	09/29/2010	Case Terminated.

Federal Railroad Administration
Safety Cases Closed in FY 2010

<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 2009-271(SI)	6	\$6,000	\$6,000	\$4,175	09/29/2010	
UP 2009-272(SA)	3	\$12,500	\$12,500	\$8,500	09/29/2010	
UP 2009-273(SA)	3	\$10,000	\$10,000	\$6,900	09/29/2010	
UP 2009-274(RW)	2	\$6,000	\$6,000	\$4,500	09/29/2010	
UP 2009-275(EP)	2	\$2,000	\$2,000	\$1,350	09/29/2010	
UP 2009-276(LI)	1	\$1,500	\$1,500	\$1,110	09/29/2010	
UP 2009-277(LI)	1	\$2,500	\$2,500	\$1,700	09/29/2010	
UP 2009-278(RW)	1	\$1,000	\$1,000	\$750	09/29/2010	
UP 2009-279(LI)	1	\$2,500	\$2,500	\$1,850	09/29/2010	
UP 2009-280(LI)	1	\$2,500	\$2,500	\$1,125	09/29/2010	
UP 2009-281(TS)	5	\$12,500	\$12,500	\$6,750	09/29/2010	
UP 2009-282(TS)	1	\$5,000	\$5,000	\$3,250	09/29/2010	
UP 2009-283(TS)	1	\$1,000	\$1,000	\$700	09/29/2010	
UP 2009-284(SA)	1	\$2,500	\$2,500	\$1,825	09/29/2010	
UP 2009-285(TS)	4	\$8,500	\$8,500	\$6,000	09/29/2010	
UP 2009-286(HMT)	1	\$2,000	\$2,000	\$1,450	09/29/2010	
UP 2009-287(TS)	2	\$2,000	\$2,000	\$1,360	09/29/2010	
UP 2009-288(TS)	2	\$5,000	\$5,000	\$3,250	09/29/2010	
UP 2009-289(SA)	4	\$10,000	\$10,000	\$6,800	09/29/2010	
UP 2009-290(SA)	1	\$2,500	\$2,500	\$1,825	09/29/2010	
UP 2009-291(TS)	1	\$5,000	\$5,000	\$3,250	09/29/2010	
UP 2009-292(ROP)	1	\$5,000	\$5,000	\$3,400	09/29/2010	
UP 2009-293(FCS)	3	\$10,000	\$10,000	\$6,250	09/29/2010	
UP 2009-294(TS)	2	\$6,000	\$6,000	\$3,950	09/29/2010	
UP 2009-295(LI)	1	\$2,500	\$2,500	\$1,875	09/29/2010	
UP 2009-296(SA)	5	\$15,000	\$15,000	\$10,300	09/29/2010	
UP 2009-297(SA)	4	\$12,500	\$12,500	\$7,625	09/29/2010	
UP 2009-298(SA)	5	\$22,500	\$22,500	\$15,300	09/29/2010	
UP 2009-299(FCS)	1	\$5,000	\$5,000	\$3,200	09/29/2010	
UP 2009-300(ROP)	1	\$9,500	\$9,500	\$7,500	09/29/2010	
UP 2009-301(SA)	5	\$25,000	\$25,000	\$17,000	09/29/2010	
UP 2009-302(SA)	5	\$27,500	\$27,500	\$18,950	09/29/2010	
UP 2009-303(SA)	4	\$20,000	\$20,000	\$14,000	09/29/2010	
UP 2009-304(RW)	1	\$1,000	\$1,000	\$750	09/29/2010	
UP 2009-305(LI)	3	\$7,500	\$7,500	\$5,175	09/29/2010	
UP 2009-306(LI)	2	\$4,000	\$4,000	\$2,920	09/29/2010	
UP 2009-307(EO)	1	\$7,500	\$7,500	\$6,000	09/29/2010	
UP 2009-308(TS)	1	\$5,000	\$5,000	\$3,500	09/29/2010	
UP 2009-309(TS)	1	\$1,000	\$1,000	\$700	09/29/2010	
UP 2009-310(RW)	1	\$1,000	\$1,000	\$750	09/29/2010	
UP 2009-311(SA)	1	\$5,000	\$5,000	\$3,500	09/29/2010	
UP 2009-312(SI)	1	\$2,500	\$2,500	\$1,700	09/29/2010	
UP 2009-313(TS)	1	\$5,000	\$5,000	\$3,400	09/29/2010	
UP 2009-314(RSP)	1	\$5,000	\$5,000	\$3,500	09/29/2010	
UP 2009-315(EQ)	4	\$4,000	\$4,000	\$2,680	09/29/2010	
UP 2009-316(FCS)	1	\$2,500	\$2,500	\$1,750	09/29/2010	
UP 2009-317(FCS)	1	\$5,000	\$5,000	\$3,200	09/29/2010	
UP 2009-318(SA)	2	\$7,500	\$7,500	\$4,950	09/29/2010	
UP 2009-319(GC)	5	\$5,000	\$5,000	\$3,400	09/29/2010	

Federal Railroad Administration
Safety Cases Closed in FY 2010

<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 2009-320(SI)	1	\$1,000	\$1,000	\$680	09/29/2010	
UP 2009-321(SA)	2	\$10,000	\$10,000	\$6,600	09/29/2010	
UP 2009-322(HSR)	11	\$11,000	\$11,000	\$7,300	09/29/2010	
UP 2009-323(SA)	3	\$15,000	\$15,000	\$10,000	09/29/2010	
UP 2009-324(SA)	2	\$10,000	\$10,000	\$6,000	09/29/2010	
UP 2009-325(HMT)	2	\$10,000	\$10,000	\$7,500	09/29/2010	
UP 2009-326(FCS)	1	\$2,500	\$2,500	\$1,700	09/29/2010	
UP 2009-327(SA)	3	\$10,000	\$10,000	\$6,500	09/29/2010	
UP 2009-328(SA)	1	\$2,500	\$2,500	\$1,700	09/29/2010	
UP 2009-329(SI)	2	\$6,000	\$6,000	\$4,200	09/29/2010	
UP 2009-330(SI)	1	\$1,000	\$1,000	\$680	09/29/2010	
UP 2009-331(SA)	1	\$5,000	\$5,000	\$3,500	09/29/2010	
UP 2009-332(LI)	1	\$2,500	\$2,500	\$1,825	09/29/2010	
UP 2009-333(EO)	2	\$5,000	\$5,000	\$3,500	09/29/2010	
UP 2009-334(ROP)	2	\$15,000	\$15,000	\$9,900	09/29/2010	
UP 2009-335(GC)	1	\$5,000	\$5,000	\$3,400	09/29/2010	
UP 2009-336(AR)	2	\$5,000	\$5,000	\$3,000	09/29/2010	
UP 2009-337(EO)	1	\$2,500	\$2,500	\$1,975	09/29/2010	
UP 2009-338(LI)	2	\$4,000	\$4,000	\$2,920	09/29/2010	
UP 2009-339(TS)	1	\$5,000	\$5,000	\$3,400	09/29/2010	
UP 2009-340(HMT)	1	\$2,000	\$2,000	\$1,300	09/29/2010	
UP 2009-341(FCS)	1	\$2,500	\$2,500	\$1,725	09/29/2010	
UP 2009-342(SA)	2	\$7,500	\$7,500	\$5,300	09/29/2010	
UP 2009-343(SA)	1	\$2,500	\$2,500	\$1,725	09/29/2010	
UP 2009-344(FCS)	5	\$12,500	\$12,500	\$8,000	09/29/2010	
UP 2009-345(SA)	4	\$12,500	\$12,500	\$8,750	09/29/2010	
UP 2009-346(SA)	4	\$20,000	\$20,000	\$13,600	09/29/2010	
UP 2009-347(SA)	4	\$17,500	\$11,000	\$7,825	09/29/2010	Partial Termination: 3 from \$5,000 to \$1,000, 4 from \$5,000 to \$2,500.
UP 2009-348(TS)	15	\$15,000	\$15,000	\$10,200	09/29/2010	
UP 2009-349(TS)	5	\$15,000	\$15,000	\$10,950	09/29/2010	
UP 2009-350(TS)	9	\$13,000	\$13,000	\$8,840	09/29/2010	
UP 2009-351(TS)	5	\$5,000	\$5,000	\$3,375	09/29/2010	
UP 2009-352(SA)	1	\$2,500	\$2,500	\$1,750	09/29/2010	
UP 2009-353(SA)	1	\$5,000	\$5,000	\$3,200	09/29/2010	
UP 2009-354(SA)	1	\$5,000	\$5,000	\$3,200	09/29/2010	
UP 2009-355(LI)	1	\$2,500	\$2,500	\$1,825	09/29/2010	
UP 2009-356(LI)	4	\$10,000	\$10,000	\$6,500	09/29/2010	
UP 2009-357(ROP)	2	\$19,000	\$9,500	\$8,900	09/29/2010	Terminated Violation(s): 1.
UP 2009-358(SI)	3	\$3,000	\$3,000	\$2,030	09/29/2010	
UP 2009-359(SA)	1	\$5,000	\$5,000	\$3,200	09/29/2010	
UP 2009-360(SA)	1	\$2,500	\$2,500	\$1,750	09/29/2010	
UP 2009-361(EO)	1	\$2,500	\$2,500	\$1,825	09/29/2010	
UP 2009-362(ROP)	2	\$19,000	\$19,000	\$14,000	09/29/2010	
UP 2009-363(LI)	1	\$2,500	\$2,500	\$1,125	09/29/2010	
UP 2009-364(RW)	1	\$3,000	\$3,000	\$2,250	09/29/2010	
UP 2009-365(HMT)	2	\$7,000	\$7,000	\$4,700	09/29/2010	
UP 2009-366(FCS)	1	\$2,500	\$2,500	\$1,750	09/29/2010	
UP 2009-367(EP)	2	\$2,000	\$2,000	\$1,350	09/29/2010	

Federal Railroad Administration
Safety Cases Closed in FY 2010

<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 2009-368(LI)	1	\$2,500	\$2,500	\$1,875	09/29/2010	
UP 2009-369(SI)	7	\$7,000	\$7,000	\$4,750	09/29/2010	
UP 2009-370(GC)	1	\$2,500	\$2,500	\$1,800	09/29/2010	
UP 2009-371(FCS)	3	\$10,000	\$10,000	\$6,500	09/29/2010	
UP 2009-372(TS)	1	\$5,000	\$5,000	\$3,400	09/29/2010	
UP 2009-373(SA)	4	\$10,000	\$10,000	\$6,800	09/29/2010	
UP 2009-374(SA)	4	\$12,500	\$12,500	\$8,500	09/29/2010	
UP 2009-375(SA)	3	\$7,500	\$7,500	\$5,000	09/29/2010	
UP 2009-376(SA)	3	\$10,000	\$10,000	\$6,600	09/29/2010	
UP 2009-377(FCS)	1	\$2,500	\$2,500	\$1,700	09/29/2010	
UP 2009-378(SA)	5	\$17,500	\$17,500	\$11,750	09/29/2010	
UP 2009-379(SA)	1	\$5,000	\$5,000	\$3,500	09/29/2010	
UP 2009-380(SA)	5	\$12,500	\$12,500	\$8,250	09/29/2010	
UP 2009-381(SA)	1	\$5,000	\$5,000	\$3,500	09/29/2010	
UP 2009-383(TS)	1	\$5,000	\$5,000	\$3,400	09/29/2010	
UP 2009-384(ROP)	1	\$9,500	\$0	\$0	09/29/2010	Case Terminated.
UP 2009-385(SA)	2	\$10,000	\$10,000	\$6,900	09/29/2010	
UP 2009-386(SA)	4	\$22,500	\$22,500	\$15,200	09/29/2010	
UP 2009-387(SA)	5	\$17,500	\$17,500	\$12,000	09/29/2010	
UP 2009-388(SA)	1	\$5,000	\$5,000	\$3,200	09/29/2010	
UP 2009-389(SA)	3	\$15,000	\$15,000	\$10,000	09/29/2010	
UP 2009-390(SA)	3	\$15,000	\$15,000	\$10,000	09/29/2010	
UP 2009-391(SA)	3	\$10,000	\$10,000	\$6,900	09/29/2010	
UP 2009-392(SA)	3	\$7,500	\$7,500	\$5,175	09/29/2010	
UP 2009-393(SA)	2	\$5,000	\$5,000	\$3,425	09/29/2010	
UP 2009-394(TS)	3	\$11,000	\$11,000	\$7,650	09/29/2010	
UP 2009-395(TS)	13	\$13,000	\$13,000	\$8,840	09/29/2010	
UP 2009-396(TS)	3	\$12,500	\$12,500	\$8,675	09/29/2010	
UP 2009-398(LI)	8	\$23,500	\$23,500	\$15,580	09/29/2010	
UP 2009-399(LI)	2	\$5,000	\$5,000	\$3,650	09/29/2010	
UP 2009-400(SA)	5	\$12,500	\$12,500	\$8,500	09/29/2010	
UP 2009-401(SA)	5	\$12,500	\$12,500	\$8,500	09/29/2010	
UP 2009-402(SA)	5	\$12,500	\$12,500	\$8,500	09/29/2010	
UP 2009-403(LI)	1	\$2,500	\$2,500	\$1,875	09/29/2010	
UP 2009-404(RW)	1	\$1,000	\$1,000	\$750	09/29/2010	
UP 2009-405(LI)	1	\$2,500	\$2,500	\$1,825	09/29/2010	
UP 2009-406(ROP)	5	\$39,500	\$39,500	\$28,000	09/29/2010	
UP 2009-407(ROP)	2	\$15,000	\$15,000	\$10,500	09/29/2010	
UP 2009-408(SA)	3	\$15,000	\$15,000	\$10,650	09/29/2010	
UP 2009-409(HMT)	3	\$20,000	\$20,000	\$12,500	09/29/2010	
UP 2009-410(HMT)	3	\$13,000	\$13,000	\$9,000	09/29/2010	
UP 2009-412(HMT)	2	\$4,000	\$4,000	\$2,300	09/29/2010	
UP 2009-415(SI)	1	\$5,000	\$5,000	\$3,750	09/29/2010	
UP 2009-416(SA)	4	\$10,000	\$10,000	\$6,750	09/29/2010	
UP 2009-417(GC)	2	\$10,000	\$10,000	\$7,000	09/29/2010	
UP 2009-418(FCS)	1	\$5,000	\$5,000	\$3,400	09/29/2010	
UP 2009-419(SA)	1	\$2,500	\$2,500	\$1,700	09/29/2010	
UP 2009-420(SA)	1	\$2,000	\$2,000	\$1,350	09/29/2010	
UP 2009-422(HS)	7	\$7,000	\$7,000	\$4,600	09/29/2010	

Federal Railroad Administration
Safety Cases Closed in FY 2010

<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 2009-424(TS)	1	\$2,500	\$0	\$0	09/29/2010	Case Terminated.
UP 2009-425(TS)	4	\$20,000	\$20,000	\$13,600	09/29/2010	
UP 2009-427(SA)	1	\$5,000	\$5,000	\$3,450	09/29/2010	
UP 2009-429(RW)	1	\$1,000	\$1,000	\$750	09/29/2010	
UP 2009-430(SA)	1	\$2,500	\$2,500	\$1,750	09/29/2010	
UP 2009-431(LI)	2	\$2,000	\$2,000	\$1,480	09/29/2010	
UP 2009-432(SA)	3	\$10,000	\$10,000	\$6,750	09/29/2010	
UP 2009-433(HMT)	1	\$2,000	\$2,000	\$1,400	09/29/2010	
UP 2009-434(TS)	3	\$15,000	\$15,000	\$10,500	09/29/2010	
UP 2009-435(HMT)	2	\$4,000	\$4,000	\$2,400	09/29/2010	
UP 2009-436(SA)	2	\$7,500	\$7,500	\$5,175	09/29/2010	
UP 2009-437(SA)	2	\$7,500	\$7,500	\$5,100	09/29/2010	
UP 2009-439(SA)	3	\$7,500	\$7,500	\$4,725	09/29/2010	
UP 2009-440(SA)	2	\$7,500	\$7,500	\$5,175	09/29/2010	
UP 2009-441(SA)	4	\$10,000	\$10,000	\$6,825	09/29/2010	
UP 2009-442(SA)	1	\$5,000	\$5,000	\$3,450	09/29/2010	
UP 2009-444(ROP)	1	\$7,500	\$7,500	\$5,250	09/29/2010	
UP 2009-445(SI)	1	\$5,000	\$5,000	\$3,750	09/29/2010	
UP 2009-447(LI)	6	\$7,500	\$7,500	\$5,325	09/29/2010	
UP 2009-448(EP)	1	\$1,000	\$1,000	\$700	09/29/2010	
UP 2009-449(AD)	1	\$2,500	\$2,500	\$1,500	09/29/2010	
UP 2009-450(LI)	4	\$7,500	\$7,500	\$5,100	09/29/2010	
UP 2009-452(TS)	11	\$55,000	\$55,000	\$37,400	09/29/2010	
UP 2009-453(LI)	1	\$2,500	\$2,500	\$1,825	09/29/2010	
UP 2009-454(RW)	1	\$1,000	\$1,000	\$750	09/29/2010	
UP 2009-455(ROP)	1	\$7,500	\$7,500	\$5,250	09/29/2010	
UP 2009-456(AR)	1	\$2,500	\$2,500	\$1,500	09/29/2010	
UP 2009-457(SA)	2	\$10,000	\$10,000	\$6,750	09/29/2010	
UP 2009-458(SA)	1	\$2,500	\$2,500	\$1,575	09/29/2010	
UP 2009-459(HSR)	3	\$3,000	\$3,000	\$2,000	09/29/2010	
UP 2009-462(SA)	3	\$12,500	\$12,500	\$8,000	09/29/2010	
UP 2009-463(LI)	1	\$2,500	\$2,500	\$1,875	09/29/2010	
UP 2009-464(SA)	3	\$12,500	\$12,500	\$9,150	09/29/2010	
UP 2009-465(RW)	3	\$9,000	\$4,000	\$2,680	09/29/2010	Terminated Violation(s): 2.
UP 2009-466(SA)	2	\$7,500	\$7,500	\$5,175	09/29/2010	
UP 2009-467(SA)	4	\$12,500	\$12,500	\$8,625	09/29/2010	
UP 2009-468(FCS)	2	\$10,000	\$10,000	\$6,600	09/29/2010	
UP 2009-469(LI)	1	\$3,500	\$3,500	\$2,520	09/29/2010	
UP 2009-472(SA)	1	\$2,500	\$2,500	\$1,750	09/29/2010	
UP 2009-474(SA)	2	\$5,000	\$5,000	\$3,425	09/29/2010	
UP 2009-475(LI)	1	\$5,000	\$5,000	\$3,200	09/29/2010	
UP 2009-476(SA)	5	\$12,500	\$12,500	\$8,575	09/29/2010	
UP 2009-477(SA)	2	\$5,000	\$5,000	\$3,425	09/29/2010	
UP 2009-479(EO)	3	\$7,500	\$7,500	\$5,000	09/29/2010	
UP 2009-480(FCS)	1	\$5,000	\$5,000	\$3,200	09/29/2010	
UP 2009-481(FCS)	1	\$5,000	\$5,000	\$3,200	09/29/2010	
UP 2009-482(SA)	1	\$2,500	\$2,500	\$1,750	09/29/2010	
UP 2010-1(ROP)	1	\$7,500	\$7,500	\$5,250	09/29/2010	
UP 2010-2(SI)	1	\$2,500	\$2,500	\$1,700	09/29/2010	

Federal Railroad Administration
Safety Cases Closed in FY 2010

<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 2010-4(TS)	1	\$1,000	\$1,000	\$700	09/29/2010	
UP 2010-5(FCS)	1	\$5,000	\$5,000	\$3,200	09/29/2010	
UP 2010-8(TS)	1	\$2,500	\$2,500	\$1,775	09/29/2010	
UP 2010-9(TS)	2	\$5,000	\$5,000	\$3,350	09/29/2010	
UP 2010-13(FCS)	4	\$10,000	\$10,000	\$7,750	09/29/2010	
UP 2010-15(TS)	1	\$2,500	\$2,500	\$1,750	09/29/2010	
UP 2010-18(TS)	1	\$2,500	\$2,500	\$1,775	09/29/2010	
UP 2010-19(SA)	2	\$10,000	\$10,000	\$6,800	09/29/2010	
UP 2010-20(SA)	2	\$10,000	\$10,000	\$6,800	09/29/2010	
UP 2010-22(SA)	2	\$7,500	\$7,500	\$5,175	09/29/2010	
UP 2010-24(ROP)	1	\$7,500	\$7,500	\$5,025	09/29/2010	
UP 2010-25(SA)	1	\$2,500	\$2,500	\$1,825	09/29/2010	
UP 2010-29(SA)	2	\$5,000	\$5,000	\$3,650	09/29/2010	
UP 2010-30(SA)	1	\$5,000	\$5,000	\$3,550	09/29/2010	
UP 2010-31(SI)	5	\$5,000	\$5,000	\$3,400	09/29/2010	
UP 2010-34(GC)	3	\$11,000	\$11,000	\$7,650	09/29/2010	
UP 2010-35(ROP)	1	\$7,500	\$7,500	\$5,250	09/29/2010	
UP 2010-37(ROP)	1	\$7,500	\$7,500	\$5,250	09/29/2010	
UP 2010-39(RW)	1	\$2,000	\$2,000	\$1,400	09/29/2010	
UTAH 2009-1(SA)	1	\$2,500	\$2,500	\$2,500	12/28/2009	
UTAX 2009-1(RW)	4	\$12,000	\$12,000	\$5,150	03/17/2010	
VREX 2007-1(LI)	2	\$5,000	\$5,000	\$3,500	04/27/2010	
VREX 2007-2(AR)	1	\$1,500	\$1,500	\$1,000	04/27/2010	
VREX 2007-3(LI)	1	\$2,500	\$2,500	\$1,875	04/27/2010	
VREX 2008-2(PEQ)	1	\$7,500	\$7,500	\$5,625	04/27/2010	
VREX 2008-3(LI)	1	\$2,500	\$2,500	\$1,750	04/27/2010	
WNYP 2009-2(TS)	1	\$2,000	\$2,000	\$2,000	11/20/2009	
WSOR 2006-1(HMT)	1	\$3,000	\$3,000	\$1,850	01/26/2010	
WSOR 2008-1(AR)	2	\$5,000	\$2,500	\$1,375	01/27/2010	Terminated Violation(s): 1
WSOR 2008-2(SA)	1	\$2,500	\$2,500	\$2,500	01/06/2010	
WSOR 2009-1(GC)	1	\$5,000	\$5,000	\$5,000	12/14/2009	
WSOR 2009-2(SA)	1	\$5,000	\$5,000	\$5,000	12/07/2009	
WVC 2007-1(AD)	2	\$10,000	\$2,000	\$1,300	09/30/2010	Partially Terminated Violation(s): 1, 2.
WVC 2008-1(EQ)	1	\$5,000	\$5,000	\$3,500	09/30/2010	
WVC 2008-2(AD)	1	\$2,500	\$2,500	\$550	09/30/2010	
WVC 2008-3(HSR)	3	\$3,000	\$3,000	\$1,650	09/30/2010	
XBBT 2010-1(HMT)	7	\$17,000	\$17,000	\$17,000	08/18/2010	
XCBP 2010-1(HMT)	3	\$6,000	\$6,000	\$6,000	07/09/2010	
XCHS 2010-1(HMT)	3	\$6,000	\$6,000	\$6,000	07/20/2010	
XCRO 2010-1(HMT)	2	\$4,000	\$4,000	\$4,000	03/18/2010	
XCSK 2010-1(HMT)	1	\$2,000	\$2,000	\$1,280	09/30/2010	
XCSK 2010-2(HMT)	1	\$2,000	\$2,000	\$1,280	09/30/2010	
XGAT 2008-1(SA)	1	\$5,000	\$5,000	\$3,500	12/10/2009	
XGEI 2010-1(HMT)	1	\$4,000	\$4,000	\$4,000	04/12/2010	
XGPT 2010-1(RW)	1	\$2,000	\$2,000	\$2,000	04/12/2010	
XHIN 2009-1(RW)	1	\$3,000	\$3,000	\$3,000	12/02/2009	
XLSS 2009-1(HMT)	1	\$2,000	\$2,000	\$2,000	01/07/2010	
XPRS 2009-2(HMT)	1	\$10,000	\$10,000	\$10,000	08/16/2010	
XRLI 2008-1(HMT)	1	\$2,000	\$2,000	\$1,500	11/02/2009	

Federal Railroad Administration
Safety Cases Closed in FY 2010

<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>
XRTI 2008-1(RW)	1	\$2,000	\$2,000	\$1,500	11/04/2009	
XSKC 2010-1(HMT)	1	\$5,000	\$5,000	\$3,500	08/18/2010	
XSPT 2009-1(HMT)	1	\$5,000	\$5,000	\$3,800	10/25/2009	
XSWF 2009-1(HMT)	1	\$1,000	\$1,000	\$700	11/18/2009	
XSWI 2010-1(HMT)	2	\$7,500	\$7,500	\$7,500	03/25/2010	
XTAR 2009-1(RW)	2	\$4,000	\$4,000	\$4,000	04/12/2010	
XVBI 2009-1(HMT)	2	\$4,000	\$4,000	\$2,800	04/06/2010	
XVPI 2010-1(RW)	1	\$1,000	\$1,000	\$1,000	06/28/2010	
XVSP 2010-1(HMT)	1	\$2,000	\$2,000	\$2,000	09/20/2010	
XWNR 2009-1(HMT)	4	\$10,000	\$10,000	\$5,000	01/12/2010	
YKR 2009-1(GC)	1	\$1,000	\$1,000	\$1,000	12/22/2009	
YSVR 2009-1(AR)	3	\$7,500	\$7,500	\$5,250	09/30/2010	
YSVR 2009-2(EO)	1	\$2,500	\$2,500	\$1,850	09/30/2010	
ZABE 2009-1(HMT)	1	\$5,000	\$5,000	\$5,000	07/27/2010	
ZABEQ 2009-1(HMT)	3	\$15,000	\$15,000	\$15,000	05/27/2010	
ZABEQ 2009-2(HMT)	1	\$2,000	\$2,000	\$2,000	05/27/2010	
ZABI 2009-1(HMT)	1	\$10,000	\$10,000	\$7,800	03/04/2010	
ZABW 2009-1(HMT)	4	\$8,000	\$8,000	\$7,000	03/23/2010	
ZACR 2009-1(HMT)	1	\$2,000	\$2,000	\$1,200	02/04/2010	
ZADE 2010-1(HMT)	1	\$5,000	\$5,000	\$3,500	02/26/2010	
ZAEL 2010-1(HMT)	1	\$5,000	\$5,000	\$3,500	09/23/2010	
ZAEQ 2010-1(HMT)	1	\$4,000	\$4,000	\$4,000	09/21/2010	
ZAET 2009-1(HMT)	8	\$16,000	\$16,000	\$11,200	03/29/2010	
ZAGQ 2010-1(HMT)	2	\$4,000	\$0	\$0	09/10/2010	Case Terminated.
ZAGT 2010-1(HMT)	1	\$2,000	\$2,000	\$2,000	09/10/2010	
ZAIL 2009-1(HMT)	2	\$5,000	\$5,000	\$5,000	02/18/2010	
ZAKE 2009-1(HMT)	1	\$5,000	\$5,000	\$3,400	10/23/2009	
ZAKN 2010-1(HMT)	1	\$5,000	\$5,000	\$3,400	06/22/2010	
ZALF 2010-1(HMT)	2	\$4,000	\$4,000	\$2,600	04/01/2010	
ZALN 2009-1(HMT)	2	\$15,000	\$15,000	\$11,200	03/22/2010	
ZALN 2009-2(HMT)	1	\$5,000	\$5,000	\$3,400	03/16/2010	
ZALQ 2009-2(HMT)	2	\$10,000	\$10,000	\$10,000	02/17/2010	
ZAMC 2008-4(HMT)	5	\$21,000	\$20,000	\$12,000	02/04/2010	
ZAMC 2008-6(HMT)	2	\$20,000	\$20,000	\$14,000	02/04/2010	
ZAMC 2008-7(HMT)	1	\$10,000	\$10,000	\$7,000	02/04/2010	
ZAMC 2008-8(HMT)	1	\$10,000	\$10,000	\$7,000	02/04/2010	
ZAMC 2008-9(HMT)	1	\$10,000	\$10,000	\$7,000	02/04/2010	
ZAMC 2008-10(HMT)	1	\$5,000	\$5,000	\$3,000	02/04/2010	
ZAMC 2009-1(HMT)	2	\$8,000	\$8,000	\$4,000	02/04/2010	
ZAMC 2009-2(HMT)	1	\$10,000	\$10,000	\$7,000	02/04/2010	
ZAMC 2009-3(HMT)	1	\$2,000	\$2,000	\$1,200	02/04/2010	
ZAMC 2009-4(HMT)	1	\$5,000	\$5,000	\$3,000	02/04/2010	
ZAMC 2009-5(HMT)	1	\$5,000	\$5,000	\$3,000	02/04/2010	
ZANE 2009-1(HMT)	1	\$5,000	\$5,000	\$5,000	03/17/2010	
ZAO 2009-1(HMT)	4	\$8,000	\$8,000	\$5,360	02/16/2010	
ZAPC 2010-1(HMT)	1	\$5,000	\$5,000	\$3,500	06/17/2010	
ZAPF 2009-1(HMT)	3	\$6,000	\$6,000	\$4,000	02/22/2010	
ZAPY 2009-1(HMT)	1	\$5,000	\$0	\$0	06/08/2010	Case Terminated.
ZAQU 2010-1(HMT)	1	\$2,000	\$2,000	\$1,350	05/07/2010	

Federal Railroad Administration
Safety Cases Closed in FY 2010

<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>
ZARCI 2009-1(HMT)	1	\$5,000	\$5,000	\$3,400	04/20/2010	
ZARCI 2010-1(HMT)	1	\$5,000	\$5,000	\$3,500	07/09/2010	
ZARE 2009-2(HMT)	1	\$2,500	\$2,500	\$2,500	09/09/2010	
ZARP 2009-1(HMT)	4	\$8,000	\$8,000	\$5,000	02/04/2010	
ZARQ 2010-1(HMT)	2	\$4,000	\$4,000	\$4,000	07/16/2010	
ZART 2010-1(HMT)	1	\$5,000	\$5,000	\$5,000	06/22/2010	
ZASY 2009-1(HMT)	1	\$10,000	\$10,000	\$7,000	05/06/2010	
ZAUI 2009-4(HMT)	1	\$4,000	\$0	\$0	03/03/2010	
ZAUI 2009-5(HMT)	1	\$7,500	\$7,500	\$5,300	03/10/2010	
ZAUI 2010-1(HMT)	1	\$5,000	\$5,000	\$3,500	06/29/2010	
ZBAR 2009-2(HMT)	1	\$2,000	\$2,000	\$1,400	11/30/2009	
ZBAS 2008-4(HMT)	1	\$5,000	\$5,000	\$3,400	01/05/2010	
ZBAS 2009-2(HMT)	1	\$2,000	\$2,000	\$2,000	12/29/2009	
ZBAS 2009-3(HMT)	1	\$10,000	\$10,000	\$10,000	03/11/2010	
ZBAS 2010-1(HMT)	2	\$4,000	\$4,000	\$4,000	06/23/2010	
ZBASI 2010-1(HMT)	1	\$10,000	\$10,000	\$10,000	03/24/2010	
ZBDW 2006-1(HMT)	1	\$2,000	\$2,000	\$1,000	12/29/2009	
ZBEL 2010-1(HMT)	1	\$5,000	\$5,000	\$5,000	06/24/2010	
ZBEP 2009-1(HMT)	2	\$4,000	\$4,000	\$4,000	10/16/2009	
ZBFE 2007-1(HMT)	3	\$15,000	\$15,000	\$8,200	03/08/2010	
ZBFE 2008-1(HMT)	1	\$10,000	\$10,000	\$6,000	03/08/2010	
ZBFL 2010-1(HMT)	1	\$10,000	\$10,000	\$10,000	09/16/2010	
ZBKT 2010-1(HMT)	1	\$5,000	\$5,000	\$4,000	07/23/2010	
ZBMS 2009-1(HMT)	1	\$2,000	\$2,000	\$2,000	10/16/2009	
ZBPA 2009-1(HMT)	5	\$10,000	\$10,000	\$10,000	02/17/2010	
ZBPA 2009-2(HMT)	2	\$2,000	\$2,000	\$2,000	03/01/2010	
ZBPE 2006-1(HMT)	1	\$5,000	\$5,000	\$5,000	11/24/2009	
ZBPE 2007-1(HMT)	1	\$5,000	\$0	\$0	10/26/2009	Case Terminated.
ZBPE 2008-1(HMT)	1	\$2,500	\$2,500	\$1,700	11/24/2009	
ZBPO 2009-1(HMT)	1	\$3,000	\$3,000	\$3,000	02/17/2010	
ZBPQ 2010-1(HMT)	1	\$5,000	\$5,000	\$5,000	06/03/2010	
ZBPS 2009-1(HMT)	1	\$5,000	\$5,000	\$5,000	03/10/2010	
ZBPWC 2006-2(HMT)	1	\$2,500	\$2,500	\$2,500	12/18/2009	
ZBRF 2008-1(HMT)	1	\$2,000	\$2,000	\$1,400	03/18/2010	
ZBSF 2009-1(HMT)	1	\$2,000	\$2,000	\$2,000	12/29/2009	
ZBTR 2010-1(HMT)	2	\$4,000	\$4,000	\$3,000	06/25/2010	
ZBVD 2006-1(HMT)	1	\$5,000	\$5,000	\$3,000	06/17/2010	
ZBVD 2009-1(HMT)	1	\$5,000	\$5,000	\$3,500	06/17/2010	
ZBYC 2007-1(HMT)	3	\$7,000	\$7,000	\$7,000	08/03/2010	
ZCALC 2007-1(HMT)	1	\$10,000	\$10,000	\$6,500	01/25/2010	
ZCALC 2008-1(HMT)	1	\$5,000	\$5,000	\$3,000	01/25/2010	
ZCALC 2008-2(HMT)	1	\$5,000	\$5,000	\$3,000	01/25/2010	
ZCALC 2008-3(HMT)	1	\$5,000	\$5,000	\$3,000	01/25/2010	
ZCAX 2010-1(HMT)	2	\$10,000	\$10,000	\$10,000	07/09/2010	
ZCCM 2009-1(HMT)	1	\$10,000	\$10,000	\$10,000	01/26/2010	
ZCCM 2010-1(HMT)	1	\$10,000	\$10,000	\$10,000	07/09/2010	
ZCEE 2009-1(HMT)	1	\$5,000	\$5,000	\$3,750	01/19/2010	
ZCFX 2009-1(HMT)	1	\$2,000	\$2,000	\$2,000	10/28/2009	
ZCHEV 2009-2(HMT)	2	\$9,000	\$9,000	\$6,480	01/28/2010	

Federal Railroad Administration
Safety Cases Closed in FY 2010

<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>
ZCHEV 2010-1(HMT)	2	\$4,000	\$4,000	\$2,800	08/19/2010	
ZCHX 2009-3(HMT)	1	\$7,500	\$7,500	\$7,500	01/08/2010	
ZCHX 2009-4(HMT)	1	\$5,000	\$5,000	\$5,000	01/08/2010	
ZCLU 2009-1(HMT)	1	\$7,500	\$7,500	\$5,625	01/22/2010	
ZCLU 2009-2(HMT)	1	\$10,000	\$10,000	\$7,500	01/11/2010	
ZCLU 2010-2(HMT)	1	\$10,000	\$10,000	\$7,000	08/20/2010	
ZCLX 2009-1(HMT)	1	\$5,000	\$5,000	\$3,750	10/30/2009	
ZCLX 2009-2(HMT)	2	\$4,000	\$4,000	\$2,800	06/11/2010	
ZCLX 2010-1(HMT)	1	\$2,000	\$2,000	\$1,400	09/02/2010	
ZCMA 2009-1(HMT)	2	\$5,000	\$5,000	\$5,000	11/12/2009	
ZCNC 2009-1(HMT)	2	\$6,000	\$6,000	\$4,500	01/05/2010	
ZCNC 2009-2(HMT)	1	\$10,000	\$10,000	\$7,500	01/19/2010	
ZCOG 2010-1(HMT)	2	\$10,000	\$10,000	\$10,000	06/22/2010	
ZCOG 2010-2(HMT)	1	\$2,000	\$2,000	\$2,000	07/20/2010	
ZCOU 2009-2(HMT)	1	\$5,000	\$5,000	\$5,000	01/19/2010	
ZCOU 2009-3(HMT)	2	\$10,000	\$10,000	\$10,000	02/24/2010	
ZCPCL 2007-2(HMT)	1	\$10,000	\$10,000	\$7,500	02/16/2010	
ZCPCL 2009-2(HMT)	2	\$12,500	\$12,500	\$8,000	02/16/2010	
ZCPCL 2009-3(HMT)	1	\$5,000	\$5,000	\$3,600	02/16/2010	
ZCPCL 2010-1(HMT)	1	\$5,000	\$5,000	\$3,750	08/19/2010	
ZCRS 2010-1(HMT)	1	\$2,000	\$2,000	\$1,600	08/02/2010	
ZCRS 2010-2(HMT)	1	\$2,000	\$2,000	\$1,400	08/02/2010	
ZCTG 2010-1(HMT)	1	\$10,000	\$10,000	\$10,000	07/20/2010	
ZCTG 2010-2(HMT)	3	\$15,000	\$15,000	\$15,000	07/20/2010	
ZCUI 2009-3(HMT)	1	\$5,000	\$5,000	\$3,600	01/28/2010	
ZCYZ 2009-1(HMT)	1	\$2,500	\$2,500	\$2,500	12/10/2009	
ZDBW 2008-1(HMT)	1	\$5,000	\$5,000	\$1,000	04/28/2010	
ZDCM 2010-1(HMT)	1	\$2,000	\$2,000	\$2,000	03/18/2010	
ZDCS 2008-1(HMT)	6	\$12,000	\$12,000	\$9,600	10/05/2009	
ZDCS 2008-2(HMT)	1	\$7,500	\$7,500	\$6,000	10/05/2009	
ZDEL 2009-1(HMT)	1	\$2,000	\$0	\$0	11/12/2009	Case Terminated.
ZDEL 2010-1(HMT)	1	\$2,000	\$2,000	\$2,000	08/24/2010	
ZDEP 2008-1(HMT)	2	\$7,000	\$7,000	\$5,600	12/08/2009	
ZDF 2008-1(HMT)	1	\$5,000	\$5,000	\$4,000	10/05/2009	
ZDF 2009-2(HMT)	1	\$10,000	\$10,000	\$8,000	10/05/2009	
ZDF 2009-3(HMT)	1	\$5,000	\$5,000	\$3,750	03/08/2010	
ZDGO 2008-1(HMT)	5	\$14,500	\$14,500	\$7,975	01/07/2010	
ZDGS 2003-1(HMT)	2	\$4,000	\$0	\$0	05/04/2010	Case Terminated.
ZDIC 2008-1(HMT)	1	\$2,000	\$2,000	\$1,500	03/26/2010	
ZDIC 2009-1(HMT)	1	\$2,000	\$2,000	\$2,000	02/10/2010	
ZDPCI 2007-1(HMT)	2	\$5,000	\$5,000	\$4,000	12/23/2009	
ZDPCI 2008-1(HMT)	1	\$2,000	\$2,000	\$1,600	12/23/2009	
ZDTI 2010-1(HMT)	2	\$2,000	\$2,000	\$2,000	07/21/2010	
ZDTR 2009-1(HMT)	2	\$13,000	\$13,000	\$8,450	04/21/2010	
ZDUK 2005-1(HMT)	1	\$2,500	\$0	\$0	04/27/2010	Case Terminated.
ZDUK 2009-1(HMT)	1	\$2,500	\$2,500	\$2,500	02/16/2010	
ZDUP 2007-2(HMT)	2	\$4,000	\$4,000	\$3,200	10/05/2009	
ZDUP 2007-3(HMT)	2	\$7,000	\$7,000	\$5,600	10/05/2009	
ZDUP 2008-1(HMT)	2	\$12,500	\$12,500	\$10,000	10/05/2009	

Federal Railroad Administration
Safety Cases Closed in FY 2010

<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>
ZDUP 2008-2(HMT)	1	\$2,000	\$2,000	\$1,600	10/05/2009	
ZDUP 2009-2(HMT)	1	\$2,000	\$2,000	\$1,500	03/08/2010	
ZDXI 2010-1(HMT)	1	\$10,000	\$10,000	\$8,000	04/12/2010	
ZDYI 2007-1(HMT)	1	\$10,000	\$10,000	\$8,000	12/15/2009	
ZDYI 2007-2(HMT)	1	\$10,000	\$10,000	\$8,000	12/15/2009	
ZDYI 2009-1(HMT)	1	\$7,500	\$7,500	\$6,000	12/15/2009	
ZDYI 2010-1(HMT)	2	\$8,500	\$8,500	\$5,375	04/28/2010	
ZEACH 2009-4(HMT)	1	\$5,000	\$5,000	\$3,750	10/22/2009	
ZEACH 2009-5(HMT)	1	\$2,000	\$2,000	\$1,350	11/23/2009	
ZECB 2009-1(HMT)	2	\$4,000	\$4,000	\$4,000	06/03/2010	
ZECDP 2010-1(HMT)	1	\$10,000	\$10,000	\$7,900	03/29/2010	
ZECDP 2010-2(HMT)	1	\$2,000	\$0	\$0	03/29/2010	
ZEKAC 2010-1(HMT)	1	\$5,000	\$5,000	\$5,000	08/17/2010	
ZEMCC 2009-4(HMT)	1	\$5,000	\$5,000	\$3,450	12/11/2009	
ZENI 2010-1(HMT)	2	\$11,000	\$11,000	\$11,000	08/17/2010	
ZEOB 2010-1(HMT)	1	\$2,000	\$2,000	\$1,260	08/23/2010	
ZEPC 2009-6(HMT)	1	\$5,000	\$5,000	\$5,000	01/05/2010	
ZEPC 2009-7(HMT)	2	\$5,000	\$5,000	\$5,000	01/25/2010	
ZEPC 2010-1(HMT)	1	\$5,000	\$5,000	\$5,000	06/09/2010	
ZEPS 2010-1(HMT)	1	\$2,000	\$2,000	\$2,000	04/23/2010	
ZEVO 2009-1(HMT)	1	\$7,500	\$7,500	\$7,500	12/21/2009	
ZEWW 2009-1(HMT)	1	\$10,000	\$10,000	\$7,200	10/14/2009	
ZEWW 2009-3(HMT)	1	\$10,000	\$10,000	\$7,600	11/02/2009	
ZEXM 2008-2(HMT)	2	\$4,000	\$0	\$0	10/26/2009	Case Terminated
ZEXM 2009-1(HMT)	1	\$2,500	\$2,500	\$1,500	01/14/2010	
ZFPC 2009-1(HMT)	1	\$5,000	\$5,000	\$5,000	01/28/2010	
ZFPC 2010-1(HMT)	1	\$10,000	\$10,000	\$10,000	09/29/2010	
ZFRZ 2006-1(HMT)	1	\$5,000	\$5,000	\$3,000	03/08/2010	
ZFRZ 2008-1(HMT)	16	\$35,000	\$35,000	\$32,000	03/08/2010	
ZFRZ 2009-1(HMT)	2	\$15,000	\$15,000	\$15,000	12/07/2009	
ZFUF 2010-1(HMT)	1	\$5,000	\$5,000	\$5,000	03/18/2010	
ZGAG 2009-1(HMT)	1	\$7,500	\$7,500	\$5,250	04/12/2010	
ZGATX 2008-1(HMT)	1	\$10,000	\$0	\$0	12/08/2009	Case Terminated.
ZGATX 2010-1(HMT)	3	\$12,000	\$12,000	\$8,400	08/25/2010	
ZGCC 2010-1(HMT)	1	\$5,000	\$5,000	\$3,500	08/20/2010	
ZGDB 2007-1(HMT)	2	\$15,000	\$15,000	\$7,000	12/15/2009	
ZGET 2008-1(HMT)	1	\$5,000	\$5,000	\$3,800	12/10/2009	
ZGET 2010-1(HMT)	1	\$5,000	\$5,000	\$3,000	08/20/2010	
ZGGE 2008-1(HMT)	1	\$5,000	\$5,000	\$5,000	08/20/2010	
ZGGE 2008-2(HMT)	2	\$10,000	\$10,000	\$10,000	08/20/2010	
ZGGE 2008-3(HMT)	1	\$10,000	\$10,000	\$10,000	08/20/2010	
ZGGE 2009-1(HMT)	1	\$5,000	\$5,000	\$5,000	08/20/2010	
ZGMN 2006-1(HMT)	2	\$4,000	\$4,000	\$2,000	11/03/2009	
ZGMN 2006-2(HMT)	2	\$10,000	\$10,000	\$5,000	11/03/2009	
ZGMN 2009-1(HMT)	1	\$7,500	\$7,500	\$5,250	04/12/2010	
ZGPA 2009-1(HMT)	1	\$5,000	\$5,000	\$4,000	04/12/2010	
ZGPA 2010-1(HMT)	1	\$7,500	\$7,500	\$5,000	04/12/2010	
ZGPA 2010-2(HMT)	1	\$7,500	\$7,500	\$5,000	04/12/2010	
ZGPJ 2009-1(HMT)	1	\$2,000	\$2,000	\$2,000	01/13/2010	

Federal Railroad Administration
Safety Cases Closed in FY 2010

<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>
ZGRC 2007-2(HMT)	1	\$2,000	\$2,000	\$2,000	12/10/2009	
ZGRZ 2009-1(HMT)	1	\$5,000	\$5,000	\$3,400	04/12/2010	
ZGTE 2008-1(HMT)	1	\$10,000	\$10,000	\$7,100	12/15/2009	
ZGUN 2005-1(HMT)	2	\$15,000	\$15,000	\$4,500	11/04/2009	
ZHCH 2009-1(HMT)	1	\$7,500	\$7,500	\$7,500	11/10/2009	
ZHES 2009-1(HMT)	1	\$10,000	\$10,000	\$7,500	03/04/2010	
ZHKD 2009-2(HMT)	3	\$15,000	\$15,000	\$11,525	11/13/2009	
ZHKD 2010-1(HMT)	1	\$5,000	\$5,000	\$5,000	07/27/2010	
ZHNI 2009-1(HMT)	7	\$41,500	\$41,500	\$26,105	11/17/2009	
ZHOW 2009-1(HMT)	2	\$15,000	\$15,000	\$10,800	04/22/2010	
ZHOW 2009-2(HMT)	1	\$2,000	\$2,000	\$2,000	12/07/2009	
ZHOW 2010-1(HMT)	1	\$5,000	\$5,000	\$5,000	04/05/2010	
ZHOW 2010-2(HMT)	1	\$5,000	\$5,000	\$5,000	04/13/2010	
ZHPR 2010-1(HMT)	1	\$10,000	\$10,000	\$10,000	08/16/2010	
ZHRM 2009-1(HMT)	2	\$5,000	\$5,000	\$5,000	12/10/2009	
ZHSA 2009-2(HMT)	5	\$10,000	\$10,000	\$10,000	07/27/2010	
ZHSC 2010-1(HMT)	1	\$2,000	\$2,000	\$2,000	02/25/2010	
ZHTS 2010-1(HMT)	1	\$10,000	\$0	\$0	04/02/2010	Case Terminated.
ZHUE 2009-1(HMT)	4	\$10,000	\$10,000	\$10,000	12/07/2009	
ZHUE 2009-2(HMT)	1	\$5,000	\$5,000	\$5,000	12/29/2009	
ZHUE 2010-1(HMT)	1	\$7,500	\$7,500	\$7,500	08/16/2010	
ZHUN 2009-1(HMT)	1	\$5,000	\$5,000	\$5,000	02/12/2010	
ZHUNT 2009-1(HMT)	2	\$4,000	\$4,000	\$4,000	02/12/2010	
ZHUNT 2009-2(HMT)	1	\$7,500	\$7,500	\$7,500	02/12/2010	
ZHUNT 2010-1(HMT)	3	\$15,000	\$15,000	\$15,000	08/16/2010	
ZIBE 2009-1(HMT)	2	\$10,000	\$10,000	\$6,500	11/10/2009	
ZIBO 2009-1(HMT)	1	\$10,000	\$10,000	\$7,000	12/03/2009	
ZICE 2008-1(HMT)	3	\$12,000	\$12,000	\$12,000	12/30/2009	
ZICE 2010-1(HMT)	6	\$6,000	\$6,000	\$6,000	05/03/2010	
ZICE 2010-2(HMT)	2	\$7,000	\$7,000	\$7,000	05/17/2010	
ZICH 2008-1(HMT)	3	\$10,000	\$10,000	\$5,600	02/19/2010	
ZICM 2009-1(HMT)	1	\$7,500	\$7,500	\$5,500	12/18/2009	
ZICM 2010-1(HMT)	2	\$4,000	\$4,000	\$2,800	08/06/2010	
ZICN 2010-1(HMT)	1	\$1,000	\$1,000	\$600	05/27/2010	
ZIDM 2009-1(HMT)	1	\$2,000	\$2,000	\$1,500	12/19/2009	
ZIES 2006-1(HMT)	1	\$7,500	\$7,500	\$6,000	11/16/2009	
ZIES 2007-1(HMT)	1	\$10,000	\$10,000	\$8,000	11/16/2009	
ZIFA 2010-1(HMT)	1	\$2,500	\$2,500	\$1,400	02/23/2010	
ZIFF 2010-1(HMT)	1	\$10,000	\$10,000	\$5,000	04/29/2010	
ZIGM 2009-1(HMT)	1	\$5,000	\$5,000	\$3,000	03/09/2010	
ZIHC 2008-1(HMT)	1	\$50,000	\$0	\$0	01/13/2010	
ZIM 2010-1(HMT)	3	\$12,000	\$12,000	\$8,400	08/06/2010	
ZINO 2009-1(HMT)	1	\$5,000	\$5,000	\$5,000	11/10/2009	
ZINS 2009-1(HMT)	1	\$1,000	\$1,000	\$1,000	01/19/2010	
ZINTT 2008-2(HMT)	1	\$10,000	\$10,000	\$8,000	12/03/2009	
ZINTT 2009-1(HMT)	1	\$5,000	\$5,000	\$3,400	12/03/2009	
ZINTT 2009-2(HMT)	1	\$10,000	\$10,000	\$8,000	12/03/2009	
ZINTT 2009-3(HMT)	1	\$3,000	\$3,000	\$2,040	12/03/2009	
ZINTT 2009-4(HMT)	2	\$25,000	\$25,000	\$18,200	12/03/2009	

Federal Railroad Administration
Safety Cases Closed in FY 2010

<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>
ZIOL 2009-1(HMT)	1	\$10,000	\$10,000	\$10,000	04/23/2010	
ZIP 2009-1(HMT)	2	\$4,000	\$4,000	\$2,450	01/11/2010	
ZIP 2009-2(HMT)	1	\$2,000	\$2,000	\$1,225	01/11/2010	
ZIP 2009-3(HMT)	1	\$2,000	\$2,000	\$1,225	01/11/2010	
ZIP 2009-4(HMT)	1	\$5,000	\$5,000	\$5,000	01/11/2010	
ZIP 2009-5(HMT)	1	\$10,000	\$10,000	\$8,500	09/18/2010	
ZIP 2010-1(HMT)	1	\$2,000	\$2,000	\$1,500	09/18/2010	
ZIP 2010-2(HMT)	3	\$6,000	\$6,000	\$4,400	09/18/2010	
ZIPI 2009-1(HMT)	1	\$2,000	\$2,000	\$1,500	01/21/2010	
ZIPI 2009-2(HMT)	1	\$5,000	\$5,000	\$5,000	01/26/2010	
ZIRM 2008-1(HMT)	1	\$2,500	\$0	\$0	01/26/2010	
ZIRO 2009-1(HMT)	1	\$5,000	\$5,000	\$3,750	01/13/2010	
ZIRO 2009-2(HMT)	1	\$2,000	\$2,000	\$1,500	01/13/2010	
ZISC 2007-1(HMT)	3	\$19,000	\$9,000	\$6,100	12/21/2009	Partially Terminated Violation: 1, Terminated Violation: 2
ZIST 2010-1(HMT)	2	\$4,000	\$4,000	\$4,000	03/15/2010	
ZITT 2010-1(HMT)	2	\$10,000	\$10,000	\$6,500	06/08/2010	
ZIVS 2009-1(HMT)	2	\$25,000	\$25,000	\$20,000	08/22/2010	
ZIVS 2009-2(HMT)	1	\$2,000	\$2,000	\$1,100	08/22/2010	
ZIWI 2009-1(HMT)	1	\$2,000	\$2,000	\$2,000	11/17/2009	
ZJGO 2009-1(HMT)	1	\$5,000	\$5,000	\$5,000	08/03/2010	
ZJHH 2009-1(HMT)	1	\$5,000	\$5,000	\$3,700	11/17/2009	
ZJRS 2007-1(HMT)	1	\$2,000	\$2,000	\$1,500	11/04/2009	
ZJRS 2008-2(HMT)	1	\$10,000	\$10,000	\$8,000	11/04/2009	
ZJRS 2008-3(HMT)	1	\$5,000	\$5,000	\$3,500	11/04/2009	
ZJRS 2008-4(HMT)	2	\$13,000	\$13,000	\$10,000	11/04/2009	
ZJRS 2009-1(HMT)	1	\$7,500	\$7,500	\$7,500	10/08/2009	
ZJRS 2009-2(HMT)	1	\$7,500	\$7,500	\$7,500	10/07/2009	
ZJRS 2009-3(HMT)	2	\$7,000	\$7,000	\$7,000	10/07/2009	
ZJRS 2009-4(HMT)	1	\$10,000	\$10,000	\$7,500	12/29/2009	
ZJRS 2009-5(HMT)	1	\$10,000	\$10,000	\$7,000	08/03/2010	
ZJRS 2010-1(HMT)	1	\$10,000	\$10,000	\$7,500	08/03/2010	
ZJRS 2010-4(HMT)	15	\$15,000	\$15,000	\$10,000	08/03/2010	
ZKENC 2009-1(HMT)	1	\$10,000	\$10,000	\$10,000	01/22/2010	
ZKMB 2007-2(HMT)	1	\$2,000	\$2,000	\$2,000	11/17/2009	
ZKMB 2007-3(HMT)	1	\$2,000	\$2,000	\$2,000	11/17/2009	
ZKMB 2009-1(HMT)	1	\$2,000	\$2,000	\$1,690	11/17/2009	
ZKMB 2010-1(HMT)	1	\$5,000	\$5,000	\$3,000	05/21/2010	
ZKMB 2010-3(HMT)	1	\$2,000	\$2,000	\$1,500	07/07/2010	
ZKML 2008-5(HMT)	1	\$5,000	\$5,000	\$4,525	02/28/2010	
ZKML 2008-6(HMT)	2	\$9,000	\$9,000	\$7,600	11/17/2009	
ZKML 2008-7(HMT)	1	\$5,000	\$5,000	\$4,220	11/17/2009	
ZKML 2009-1(HMT)	2	\$10,000	\$10,000	\$8,445	11/17/2009	
ZKML 2010-1(HMT)	1	\$10,000	\$0	\$0	09/29/2010	Case Terminated.
ZKMM 2009-1(HMT)	2	\$4,000	\$4,000	\$3,380	11/17/2009	
ZKMM 2009-2(HMT)	1	\$2,000	\$2,000	\$1,690	11/17/2009	
ZKMQ 2008-1(HMT)	1	\$5,000	\$5,000	\$5,000	11/17/2009	
ZKMQ 2008-2(HMT)	1	\$10,000	\$10,000	\$8,800	11/17/2009	
ZKMQ 2008-3(HMT)	4	\$8,000	\$8,000	\$6,755	11/17/2009	

Federal Railroad Administration
Safety Cases Closed in FY 2010

<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>
ZKMQ 2009-1(HMT)	1	\$5,000	\$5,000	\$4,220	11/17/2009	
ZKMQ 2009-2(HMT)	1	\$7,500	\$7,500	\$7,500	06/11/2010	
ZKMT 2010-2(HMT)	1	\$3,000	\$3,000	\$3,000	03/17/2010	
ZKNC 2007-1(HMT)	1	\$5,000	\$5,000	\$2,825	01/18/2010	
ZKNC 2009-2(HMT)	1	\$5,000	\$5,000	\$3,300	11/16/2009	
ZKPI 2009-3(HMT)	4	\$8,000	\$8,000	\$8,000	11/16/2009	
ZKPI 2009-5(HMT)	2	\$10,000	\$10,000	\$10,000	02/25/2010	
ZKPI 2010-1(HMT)	2	\$7,000	\$7,000	\$7,000	07/27/2010	
ZKPI 2010-2(HMT)	2	\$10,000	\$10,000	\$10,000	09/29/2010	
ZKSAQ 2010-1(HMT)	1	\$4,000	\$4,000	\$4,000	03/17/2010	
ZKWS 2010-1(HMT)	1	\$2,500	\$2,500	\$1,700	08/31/2010	
ZKWS 2010-2(HMT)	2	\$4,000	\$4,000	\$2,600	08/31/2010	
ZKWS 2010-3(HMT)	3	\$15,000	\$15,000	\$9,600	08/31/2010	
ZKWS 2010-4(HMT)	2	\$4,000	\$4,000	\$2,600	08/31/2010	
ZLAN 2009-1(HMT)	1	\$5,000	\$5,000	\$5,000	11/05/2009	
ZLES 2008-1(HMT)	1	\$4,000	\$0	\$0	01/22/2010	Case Terminated.
ZLOC 2009-1(HMT)	1	\$5,000	\$5,000	\$5,000	12/26/2009	
ZLSP 2009-1(HMT)	1	\$5,000	\$5,000	\$5,000	12/23/2009	
ZMAR 2009-1(HMT)	1	\$5,000	\$5,000	\$3,875	02/17/2010	
ZMER 2009-1(HMT)	3	\$6,000	\$6,000	\$5,000	11/12/2009	
ZMFQ 2008-1(HMT)	1	\$2,000	\$2,000	\$2,000	11/30/2009	
ZMFQ 2009-1(HMT)	1	\$10,000	\$10,000	\$10,000	10/06/2009	
ZMFQ 2009-2(HMT)	1	\$5,000	\$5,000	\$5,000	01/26/2010	
ZMGC 2009-1(HMT)	4	\$25,000	\$25,000	\$12,500	12/17/2009	
ZMGL 2008-1(HMT)	1	\$5,000	\$5,000	\$3,200	11/18/2009	
ZMKJ 2010-1(HMT)	2	\$10,000	\$10,000	\$7,875	03/18/2010	
ZMMPL 2008-2(HMT)	1	\$5,000	\$5,000	\$3,200	11/18/2009	
ZMMPL 2009-1(HMT)	1	\$10,000	\$10,000	\$7,500	11/18/2009	
ZMMPL 2009-2(HMT)	1	\$10,000	\$10,000	\$7,500	11/18/2009	
ZMNN 2009-1(HMT)	2	\$6,000	\$6,000	\$4,000	12/23/2009	
ZMNP 2008-1(HMT)	1	\$2,500	\$2,500	\$1,500	11/06/2009	
ZMNP 2009-1(HMT)	2	\$10,000	\$10,000	\$7,000	11/06/2009	
ZMNP 2009-2(HMT)	7	\$14,000	\$14,000	\$8,500	11/06/2009	
ZMNP 2009-3(HMT)	1	\$2,000	\$2,000	\$2,000	11/06/2009	
ZMNS 2010-1(HMT)	2	\$3,000	\$3,000	\$1,800	06/21/2010	
ZMOT 2009-1(HMT)	1	\$10,000	\$10,000	\$7,500	11/06/2009	
ZMOT 2010-1(HMT)	1	\$5,000	\$5,000	\$5,000	06/10/2010	
ZMTE 2008-1(SA)	2	\$5,000	\$0	\$0	11/20/2009	Case Terminated.
ZMTE 2009-1(HMT)	1	\$4,000	\$4,000	\$2,400	12/18/2009	
ZMWC 2010-1(HMT)	3	\$6,000	\$6,000	\$3,000	03/16/2010	
ZMWC 2010-2(HMT)	2	\$12,500	\$12,500	\$9,000	03/16/2010	
ZNCAS 2010-1(HMT)	4	\$12,000	\$12,000	\$12,000	08/18/2010	
ZNEC 2010-1(HMT)	1	\$10,000	\$10,000	\$7,500	04/29/2010	
ZNFC 2009-2(HMT)	1	\$10,000	\$10,000	\$7,000	01/15/2010	
ZNLI 2010-1(HMT)	2	\$7,000	\$7,000	\$4,900	06/24/2010	
ZNPA 2010-1(HMT)	1	\$2,000	\$2,000	\$2,000	09/13/2010	
ZNRC 2009-1(HMT)	1	\$10,000	\$10,000	\$10,000	12/22/2009	
ZNYR 2009-2(HMT)	1	\$5,000	\$5,000	\$5,000	01/21/2010	
ZOCF 2006-1(HMT)	1	\$3,000	\$3,000	\$1,800	01/22/2010	

Federal Railroad Administration
Safety Cases Closed in FY 2010

<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>
ZODI 2008-1(HMT)	1	\$2,000	\$2,000	\$1,250	01/19/2010	
ZOGL 2010-1(HMT)	1	\$5,000	\$5,000	\$5,000	09/27/2010	
ZOLI 2008-3(HMT)	1	\$7,500	\$7,500	\$5,000	01/26/2010	
ZOLI 2008-4(HMT)	1	\$10,000	\$10,000	\$7,000	01/26/2010	
ZOLI 2009-1(HMT)	1	\$5,000	\$5,000	\$3,000	01/26/2010	
ZOPM 2010-1(HMT)	2	\$8,000	\$8,000	\$8,000	05/19/2010	
ZORI 2008-1(HMT)	1	\$10,000	\$10,000	\$6,800	01/12/2010	
ZOSI 2007-1(HMT)	1	\$10,000	\$10,000	\$7,000	01/08/2010	
ZOTER 2009-1(HMT)	3	\$6,000	\$6,000	\$6,000	11/03/2009	
ZOTER 2009-2(HMT)	1	\$5,000	\$5,000	\$5,000	11/03/2009	
ZOTT 2009-1(HMT)	1	\$2,000	\$2,000	\$2,000	11/02/2009	
ZOWS 2008-1(HMT)	2	\$4,000	\$4,000	\$2,400	01/14/2010	
ZPANA 2004-1(HMT)	1	\$7,500	\$7,500	\$3,750	12/09/2009	
ZPCM 2009-1(HMT)	1	\$2,000	\$2,000	\$2,000	12/16/2009	
ZPCN 2010-1(HMT)	1	\$1,000	\$1,000	\$1,000	08/17/2010	
ZPCSS 2009-1(HMT)	1	\$10,000	\$10,000	\$7,300	01/19/2010	
ZPEL 2008-1(HMT)	1	\$5,000	\$5,000	\$5,000	02/05/2010	
ZPG 2008-3(HMT)	2	\$9,000	\$9,000	\$6,890	02/05/2010	
ZPG 2009-1(HMT)	1	\$10,000	\$10,000	\$7,950	02/05/2010	
ZPG 2009-2(HMT)	2	\$13,000	\$13,000	\$13,000	12/17/2009	
ZPG 2009-3(HMT)	1	\$10,000	\$10,000	\$10,000	12/17/2009	
ZPGI 2009-1(HMT)	1	\$2,000	\$2,000	\$2,000	11/10/2009	
ZPIL 2009-1(HMT)	1	\$7,500	\$7,500	\$4,875	12/15/2009	
ZPIL 2009-2(HMT)	1	\$10,000	\$10,000	\$7,500	12/15/2009	
ZPIL 2010-1(HMT)	1	\$5,000	\$5,000	\$5,000	08/16/2010	
ZPJC 2009-1(HMT)	2	\$14,000	\$14,000	\$11,400	04/05/2010	
ZPJC 2009-2(HMT)	2	\$7,500	\$7,500	\$6,100	04/05/2010	
ZPJC 2009-3(HMT)	4	\$10,000	\$10,000	\$7,900	04/05/2010	
ZPJC 2009-4(HMT)	1	\$2,500	\$2,500	\$2,500	02/05/2010	
ZPJC 2009-5(HMT)	1	\$5,000	\$5,000	\$4,000	04/05/2010	
ZPJC 2009-6(HMT)	1	\$5,000	\$5,000	\$5,000	04/05/2010	
ZPJC 2010-1(HMT)	1	\$5,000	\$5,000	\$5,000	08/16/2010	
ZPMA 2009-1(HMT)	1	\$2,500	\$2,500	\$1,800	04/05/2010	
ZPMA 2009-2(HMT)	1	\$8,000	\$8,000	\$6,240	04/05/2010	
ZPMA 2009-3(HMT)	1	\$5,000	\$5,000	\$4,000	04/05/2010	
ZPMQ 2009-1(HMT)	1	\$5,000	\$5,000	\$3,750	01/19/2010	
ZPOM 2009-1(HMT)	1	\$5,000	\$5,000	\$3,500	01/21/2010	
ZPON 2005-1(HMT)	3	\$17,500	\$0	\$0	04/23/2010	Case Terminated.
ZPOTS 2008-1(HMT)	1	\$10,000	\$10,000	\$7,500	01/19/2010	
ZPPG 2007-3(HMT)	1	\$7,500	\$7,500	\$5,550	04/01/2010	
ZPPG 2008-1(HMT)	2	\$10,000	\$10,000	\$7,300	04/01/2010	
ZPPG 2008-2(HMT)	1	\$10,000	\$10,000	\$5,600	04/01/2010	
ZPPG 2008-3(HMT)	2	\$5,000	\$5,000	\$3,750	04/01/2010	
ZPPG 2009-1(HMT)	11	\$15,000	\$5,000	\$500	04/01/2010	Terminated Violations:1-10
ZPPG 2009-2(HMT)	2	\$12,500	\$0	\$0	04/01/2010	Case Terminated.
ZPPG 2009-3(HMT)	2	\$4,000	\$4,000	\$2,950	04/01/2010	
ZPPG 2009-5(HMT)	2	\$9,500	\$9,500	\$7,200	04/02/2010	
ZPPG 2009-6(HMT)	3	\$7,500	\$7,500	\$5,400	04/02/2010	
ZPRTI 2005-1(HMT)	3	\$5,500	\$0	\$0	04/22/2010	Case Terminated.

Federal Railroad Administration
Safety Cases Closed in FY 2010

<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>
ZPSE 2009-1(HMT)	1	\$1,000	\$1,000	\$1,000	01/07/2010	
ZPSRI 2004-1(HMT)	2	\$20,000	\$0	\$0	11/07/2009	Case Terminated.
ZPTE 2009-1(HMT)	1	\$5,000	\$5,000	\$5,000	08/20/2010	
ZPYC 2009-1(HMT)	3	\$6,000	\$6,000	\$6,000	01/10/2010	
ZRCY 2010-1(HMT)	1	\$1,000	\$1,000	\$1,000	08/12/2010	
ZRFE 2008-1(HMT)	3	\$15,000	\$15,000	\$8,000	11/02/2009	
ZRID 2010-1(HMT)	1	\$2,000	\$2,000	\$2,000	09/28/2010	
ZRMA 2009-1(HMT)	1	\$2,000	\$2,000	\$1,500	01/19/2010	
ZSAB 2009-1(HMT)	2	\$12,500	\$12,500	\$12,500	02/04/2010	
ZSAB 2010-1(HMT)	2	\$4,000	\$4,000	\$3,000	07/13/2010	
ZSAV 2008-1(HMT)	1	\$2,000	\$2,000	\$2,000	03/08/2010	
ZSBG 2009-1(HMT)	1	\$7,500	\$7,500	\$5,000	01/04/2010	
ZSBP 2010-1(HMT)	2	\$10,000	\$10,000	\$6,000	08/16/2010	
ZSBS 2010-1(HMT)	1	\$5,000	\$5,000	\$3,000	08/09/2010	
ZSCA 2008-1(HMT)	1	\$5,000	\$5,000	\$5,000	08/16/2010	
ZSCA 2009-1(HMT)	1	\$2,500	\$2,500	\$2,500	08/16/2010	
ZSCA 2010-1(HMT)	2	\$15,000	\$15,000	\$15,000	02/23/2010	
ZSCC 2007-1(HMT)	1	\$10,000	\$10,000	\$6,000	08/16/2010	
ZSCC 2007-2(HMT)	2	\$17,500	\$17,500	\$12,000	08/16/2010	
ZSCC 2007-3(HMT)	1	\$2,000	\$2,000	\$1,250	08/16/2010	
ZSCC 2008-1(HMT)	1	\$10,000	\$10,000	\$7,000	08/16/2010	
ZSCC 2008-3(HMT)	1	\$7,500	\$7,500	\$4,000	08/16/2010	
ZSCC 2008-4(HMT)	2	\$17,500	\$17,500	\$11,000	08/16/2010	
ZSCC 2009-1(HMT)	1	\$5,000	\$5,000	\$3,500	08/16/2010	
ZSCC 2009-2(HMT)	3	\$14,000	\$14,000	\$10,000	08/16/2010	
ZSCC 2009-3(HMT)	1	\$5,000	\$5,000	\$3,500	08/16/2010	
ZSCC 2010-1(HMT)	1	\$10,000	\$10,000	\$7,000	08/16/2010	
ZSCC 2010-2(HMT)	2	\$10,000	\$10,000	\$7,500	08/16/2010	
ZSCC 2010-3(HMT)	1	\$10,000	\$10,000	\$8,000	08/16/2010	
ZSCC 2010-4(HMT)	1	\$5,000	\$5,000	\$4,000	08/16/2010	
ZSDR 2010-1(HMT)	5	\$10,000	\$10,000	\$4,200	07/21/2010	
ZSDR 2010-2(HMT)	4	\$8,000	\$8,000	\$3,300	07/21/2010	
ZSDX 2010-1(HMT)	1	\$2,000	\$2,000	\$1,300	06/18/2010	
ZSEJ 2008-1(HMT)	1	\$2,000	\$2,000	\$2,000	08/16/2010	
ZSEU 2010-1(HMT)	1	\$10,000	\$10,000	\$7,000	05/04/2010	
ZSGQ 2010-1(HMT)	1	\$5,000	\$5,000	\$4,000	04/15/2010	
ZSI 2009-1(HMT)	3	\$11,000	\$11,000	\$11,000	02/01/2010	
ZSIN 2008-2(HMT)	1	\$10,000	\$10,000	\$8,000	05/03/2010	
ZSIN 2009-1(HMT)	1	\$10,000	\$10,000	\$8,000	04/26/2010	
ZSIN 2009-2(HMT)	1	\$10,000	\$10,000	\$7,500	05/03/2010	
ZSLQ 2008-1(HMT)	1	\$10,000	\$10,000	\$7,500	03/18/2010	
ZSMS 2010-1(HMT)	2	\$4,000	\$4,000	\$4,000	08/16/2010	
ZSMT 2009-1(HMT)	1	\$2,000	\$2,000	\$2,000	01/26/2010	
ZSNA 2010-1(HMT)	2	\$10,000	\$10,000	\$4,000	09/15/2010	
ZSNI 2006-1(HMT)	2	\$10,000	\$10,000	\$5,500	10/13/2009	
ZSNI 2006-2(HMT)	20	\$20,000	\$20,000	\$12,000	10/13/2009	
ZSNWO 2009-1(HMT)	1	\$2,000	\$2,000	\$2,000	04/19/2010	
ZSOC 2004-3(HMT)	1	\$2,000	\$0	\$0	08/16/2010	Case Terminated.
ZSOC 2004-4(HMT)	2	\$4,000	\$0	\$0	08/16/2010	Case Terminated.

Federal Railroad Administration
Safety Cases Closed in FY 2010

<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>
ZSOC 2005-1(HMT)	1	\$4,000	\$4,000	\$2,250	08/16/2010	
ZSOC 2008-1(HMT)	1	\$5,000	\$5,000	\$5,000	08/16/2010	
ZSOC 2010-1(HMT)	1	\$10,000	\$10,000	\$7,000	08/16/2010	
ZSPY 2010-1(HMT)	1	\$2,000	\$2,000	\$750	07/21/2010	
ZSR 2010-1(HMT)	1	\$2,000	\$2,000	\$1,400	06/09/2010	
ZSSCO 2008-1(HMT)	1	\$2,000	\$2,000	\$2,000	12/03/2009	
ZSSCO 2009-1(HMT)	9	\$18,000	\$18,000	\$18,000	12/03/2009	
ZSSCO 2009-2(HMT)	4	\$8,000	\$8,000	\$8,000	12/03/2009	
ZSSCO 2010-1(HMT)	1	\$1,000	\$1,000	\$1,000	03/12/2010	
ZSSP 2010-1(HMT)	1	\$10,000	\$5,000	\$3,500	07/22/2010	Partially Terminated Violation(s): 1.
ZSTQ 2008-2(HMT)	1	\$10,000	\$10,000	\$6,500	05/24/2010	
ZSTQ 2009-2(HMT)	1	\$5,000	\$5,000	\$3,750	05/24/2010	
ZSUI 2008-1(HMT)	1	\$2,000	\$2,000	\$1,600	07/21/2010	
ZSUI 2008-2(HMT)	1	\$2,000	\$2,000	\$1,600	07/21/2010	
ZSUI 2008-3(HMT)	3	\$15,000	\$15,000	\$11,000	06/14/2010	
ZSUI 2010-1(HMT)	2	\$20,000	\$20,000	\$16,000	06/08/2010	
ZSVC 2009-2(HMT)	1	\$5,000	\$5,000	\$5,000	05/26/2010	
ZSWR 2009-1(HMT)	1	\$10,000	\$10,000	\$8,000	01/13/2010	
ZSWR 2010-1(HMT)	3	\$6,000	\$6,000	\$4,500	02/16/2010	
ZSWR 2010-2(HMT)	1	\$2,000	\$2,000	\$1,200	02/16/2010	
ZTAU 2009-2(HMT)	5	\$25,000	\$25,000	\$20,000	02/17/2010	
ZTAU 2009-3(HMT)	5	\$10,000	\$10,000	\$10,000	02/05/2010	
ZTAU 2010-1(HMT)	3	\$25,000	\$25,000	\$21,250	05/11/2010	
ZTCML 2009-1(HMT)	1	\$15,000	\$15,000	\$11,700	02/01/2010	
ZTDL 2010-1(HMT)	3	\$11,000	\$11,000	\$8,250	07/01/2010	
ZTERM 2009-2(HMT)	1	\$7,500	\$7,500	\$7,500	01/11/2010	
ZTERM 2010-1(HMT)	1	\$5,000	\$5,000	\$3,500	02/23/2010	
ZTERM 2010-2(HMT)	2	\$10,000	\$10,000	\$10,000	05/21/2010	
ZTGO 2005-1(HMT)	3	\$6,000	\$6,000	\$4,800	01/22/2010	
ZTHA 2009-1(HMT)	3	\$15,000	\$15,000	\$9,000	02/17/2010	
ZTHA 2009-2(HMT)	1	\$2,000	\$2,000	\$1,300	02/17/2010	
ZTI 2010-1(HMT)	1	\$5,000	\$5,000	\$3,500	04/27/2010	
ZTIF 2008-1(HMT)	1	\$5,000	\$5,000	\$5,000	07/21/2010	
ZTIF 2009-1(HMT)	3	\$6,000	\$6,000	\$6,000	07/21/2010	
ZTLY 2008-1(HMT)	1	\$2,000	\$2,000	\$1,500	01/22/2010	
ZTMS 2008-1(HMT)	1	\$5,000	\$5,000	\$3,500	12/15/2009	
ZTMS 2009-1(HMT)	1	\$10,000	\$10,000	\$7,700	12/15/2009	
ZTNX 2009-2(HMT)	2	\$7,000	\$7,000	\$5,250	05/07/2010	
ZTPQ 2009-1(HMT)	1	\$5,000	\$5,000	\$3,750	07/14/2010	
ZTRH 2009-2(HMT)	1	\$5,000	\$5,000	\$5,000	03/04/2010	
ZTRH 2010-1(HMT)	1	\$2,000	\$2,000	\$1,500	09/09/2010	
ZTRN 2010-1(HMT)	1	\$5,000	\$5,000	\$3,500	02/24/2010	
ZTRSP 2009-1(HMT)	2	\$10,000	\$5,000	\$4,250	06/08/2010	Terminated Violation(s): 2
ZTTCM 2009-1(HMT)	7	\$17,500	\$17,500	\$10,500	02/19/2010	
ZTTCM 2009-2(HMT)	1	\$5,000	\$5,000	\$3,400	02/19/2010	
ZTTE 2010-1(HMT)	1	\$7,500	\$7,500	\$4,500	09/16/2010	
ZTXL 2009-1(HMT)	1	\$5,000	\$5,000	\$4,000	05/11/2010	
ZTXM 2008-1(HMT)	1	\$10,000	\$10,000	\$6,500	12/17/2009	
ZTXM 2009-1(HMT)	1	\$10,000	\$10,000	\$6,500	06/17/2010	

Federal Railroad Administration
Safety Cases Closed in FY 2010

<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>
ZUET 2007-1(HMT)	3	\$10,000	\$10,000	\$5,450	01/13/2010	
ZUET 2008-1(HMT)	1	\$10,000	\$10,000	\$7,200	01/13/2010	
ZUNIV 2009-1(HMT)	1	\$5,000	\$5,000	\$5,000	03/31/2010	
ZUTC 2009-5(HMT)	1	\$2,000	\$2,000	\$2,000	04/05/2010	
ZVES 2009-2(HMT)	1	\$10,000	\$10,000	\$7,500	04/07/2010	
ZVLQ 2010-1(HMT)	1	\$2,000	\$0	\$0	05/07/2010	Case Terminated.
ZVLS 2010-1(HMT)	1	\$2,000	\$2,000	\$1,000	04/27/2010	
ZVMC 2002-2(HMT)	3	\$25,000	\$25,000	\$6,250	09/17/2010	
ZVMC 2003-1(HMT)	1	\$5,000	\$5,000	\$1,250	09/17/2010	
ZVMC 2003-2(HMT)	1	\$2,000	\$2,000	\$500	09/17/2010	
ZVMC 2003-3(HMT)	1	\$7,500	\$7,500	\$1,875	09/17/2010	
ZVMC 2003-4(HMT)	1	\$10,000	\$10,000	\$2,500	09/17/2010	
ZVMC 2004-1(HMT)	2	\$10,000	\$10,000	\$2,500	09/17/2010	
ZVMC 2005-1(HMT)	1	\$3,000	\$3,000	\$750	09/17/2010	
ZVMC 2005-2(HMT)	1	\$5,000	\$5,000	\$1,250	09/17/2010	
ZVMC 2005-3(HMT)	1	\$5,000	\$5,000	\$1,250	09/17/2010	
ZVTG 2010-1(HMT)	1	\$2,500	\$2,500	\$2,500	09/17/2010	
ZWEB 2010-1(HMT)	1	\$4,000	\$4,000	\$3,000	04/28/2010	
ZWEY 2008-1(HMT)	1	\$5,000	\$5,000	\$5,000	11/18/2009	
ZWEY 2009-1(HMT)	1	\$2,000	\$2,000	\$2,000	10/30/2009	
ZWOI 2009-1(HMT)	2	\$8,000	\$8,000	\$4,250	03/10/2010	
ZWRE 2010-1(HMT)	1	\$5,000	\$5,000	\$3,500	09/27/2010	
ZWRE 2010-2(HMT)	1	\$2,500	\$2,500	\$1,500	09/27/2010	
ZWRQ 2010-1(HMT)	1	\$5,000	\$5,000	\$5,000	05/28/2010	
ZWTR 2009-1(HMT)	1	\$2,000	\$2,000	\$2,000	12/17/2009	
ZWVCI 2009-1(HMT)	1	\$7,500	\$7,500	\$3,500	12/08/2009	
ZWWE 2009-1(HMT)	1	\$10,000	\$10,000	\$10,000	10/30/2009	
ZWWE 2010-1(HMT)	1	\$10,000	\$10,000	\$10,000	04/30/2010	
Total	6,837	\$22,260,500	\$21,188,500	\$14,515,770		

Respondent

<u>Codes</u>	<u>Respondent Names</u>
AA	ANN ARBOR RAILROAD
ABS	Alabama Southern Railroad
ACWR	ABERDEEN, CAROLINA AND WESTERN RAILROAD
AGC	ALABAMA & GULF COAST RAILWAY, LLC.
AGCR	Alamo Gulf Coast Railroad
ALS	The Alton and Southern Railway Company
AN	APALACHICOLA NORTHERN RAILROAD COMPANY
AOK	ARKANSAS-OKLAHOMA RAILROAD COMPANY
ARR	ALASKA RAILROAD CORPORATION
ATK	National Railroad Passenger Corporation
ATN	ALABAMA & TENNESSEE RIVER RAILWAY, LLC
AVR	ALLEGHENY VALLEY RAILROAD CO.
AWRR	AUSTIN WESTERN RAILROAD
AZCR	ARIZONA CENTRAL RAILROAD, INCORPORATED
BAYL	BAY LINE RR
BB	BUCKINGHAM BRANCH RAILROAD COMPANY
BDRV	BELVIDERE & DELAWARE RIVER RAILWAY
BDW	Bighorn Divide & Wyoming Railroad Inc.
BNSF	BNSF RAILWAY COMPANY
BNSO	BNSF SUBURBAN OPERATIONS
BRC	THE BELT RAILWAY COMPANY OF CHICAGO
CARR	CARROLLTON RAILROAD
CC	CHICAGO, CENTRAL & PACIFIC RAILROAD COMPANY
CCPN	CORPUS CHRISTI TERMINAL RAILROAD
CCRA	CAMP CHASE RAILROAD CORP.
CFNR	CALIFORNIA NORTHERN RAILROAD
CHW	CHESAPEAKE WESTERN RAILWAY
CMTY	Capital Metropolitan Transportation Authority
CN	Canadian National Railway Company
CNYX	Conrad Yelvington Railroad
CORP	CENTRAL OREGON & PACIFIC RAILROAD
CP	CANADIAN PACIFIC RAILWAY
CPDR	CAROLINA PIEDMONT DIVISION
CR	Consolidated Rail Corporation
CRSM	Consolidated Rail Corporation
CSCD	CASCADE AND COLUMBIA RIVER
CSX	CSX TRANSPORTATION, INC.
CW	COLORADO & WYOMING RAILWAY COMPANY
DAIR	D & I RAILROAD COMPANY

Respondent

<u>Codes</u>	<u>Respondent Names</u>
DGNO	Dallas, Garland and Northeastern Railroad, Inc.
DH	Delaware & Hudson Railway Co.
DME	Dakota, Minnesota & Eastern Railroad Co.
DMVW	DAKOTA MISSOURI VALLEY AND WESTERN
DN	DAKOTA NORTHERN RAILROAD INC
EARY	EASTERN ALABAMA RAILWAY
EIRR	Eastern Idaho Railroad
EJE	Elgin, Joliet & Eastern Railway Company
ERAIL	ECONO-RAIL CORPORATION
ESPN	East Penn Railroad LLC
EWG	EASTERN WASHINGTON GATEWAY RAILROAD
FEVR	FREMONT AND ELKHORN VALLEY RAILROAD
GATX	GATX Rail Corporation
GCSR	Gulf, Colorado & San Saba Railway
GCW	GARDEN CITY WESTERN RAILWAY COMPANY
GETY	GETTYSBURG RAILROAD COMPANY
GFRR	GEORGIA AND FLORIDA RAILWAY, INC.
GITM	GOLDEN ISLES TERMINAL RAILROAD
GMRC	GREEN MOUNTAIN RAILROAD CORPORATION
GNBC	GRAINBELT CORPORATION
GNRR	GEORGIA NORTHEASTERN RAILROAD COMPANY
GRVV	Grapevine Vintage Railroad
HESR	HURON & EASTERN RAILWAY
IAIS	Iowa Interstate Railroad
IANR	IOWA NORTHERN RAILWAY COMPANY
IHB	INDIANA HARBOR BELT RAILROAD COMPANY
IMRR	ILLINOIS & MIDLAND RAILROAD, INC.
IN	INDIANA NORTHEASTERN RAILROAD COMPANY
INRD	The Indiana Rail Road Company
IORY	INDIANA AND OHIO RAILROAD
IR	ILLINOIS RAILNET
IRSS	INDUSTRIAL RAILWAY SWITCHING AND SERVICES
KAW	KAW River Railroad
KCS	The Kansas City Southern Railway Company
KO	Kansas & Oklahoma Railroad, Inc.
KRR	KIAMICHI RAILROAD COMPANY LLC
KYLE	KYLE RAILROAD COMPANY
LAL	LIVONIA, AVON & LAKEVILLE RAILROAD CORPORATION
LAS	LOUISIANA SOUTHERN RAILROAD

Respondent

<u>Codes</u>	<u>Respondent Names</u>
LDRR	LOUISIANA & DELTA RAILROAD
LSRC	LAKE STATE RAILWAY COMPANY
MBAX	MASSACHUSETTS BAY COMMUTER RAILROAD
MBTA	MASSACHUSETTS BAY TRANSIT AUTHORITY
MMT	Mission Mountain Railroad
MNA	MISSOURI & NORTHERN ARKANSAS RAILROAD
MNCW	Metro-North Commuter Railroad Company
NCRC	NEBRASKA CENTRAL RAILROAD CO.
NECR	NEW ENGLAND CENTRAL RAILROAD
NIRC	NORTHEAST ILLINOIS REGIONAL COMMUTER RAIL
NLR	Northern Lines Railway, LLC
NSS	NEWBURGH & SOUTH SHORE RAILROAD
PAL	PADUCAH & LOUISVILLE RAILWAY COMPANY
PATH	Port Authority Trans-Hudson Corporation
PCC	Palouse River & Coulee City Railroad Inc.
PCJX	PENINSULA CORRIDOR JOINT POWERS BOARD
PGR	PROGRESSIVE RAIL, INC.
PHL	PACIFIC HARBOR LINE
PLVW	PORT OF LONGVIEW
PNR	PANHANDLE NORTHERN
PNWR	PORTLAND AND WESTERN RAILROAD INC.
POTB	PORT OF TILLAMOOK BAY RAILROAD
PSAP	PUGET SOUND AND PACIFIC RAILROAD
PSRR	PACIFIC SUN RAILROAD
PT	PENINSULA TERMINAL COMPANY
PTRA	PORT TERMINAL RAILROAD ASSOCIATION
PW	PROVIDENCE AND WORCESTER RR COMPANY
RAMX	RailAmerica, Ltd.
REGI	Regional Enterprises Inc.
RJCC	RJ CORMAN RR CO./CENTRAL KENTUCKY LINES
RJCM	R. J. CORMAN RAILROAD COMPANY
RJCV	R.J. Corman Railroad Company / WV Line
RSR	ROCHESTER AND SOUTHERN RAILROAD, INC.
SCRF	SOUTH CAROLINA CENTRAL RAILROAD CO., INC.
SCXF	SOUTH CENTRAL FLORIDA EXPRESS INC.
SDIY	SAN DIEGO & IMPERIAL VALLEY
SDNX	SAN DIEGO NORTHERN RAILWAY
SDTI	SAN DIEGO TROLLEY, INCORPORATED
SERA	SIERRA NORTHERN RAILWAY COMPANY

Respondent

<u>Codes</u>	<u>Respondent Names</u>
SJVR	SAN JOAQUIN VALLEY RAILROAD
SKOL	South Kansas and Oklahoma Railroad Company
SLR	ST. LAWRENCE & ATLANTIC RAILROAD COMPANY
SLWC	Stillwater Central Railroad Co., Inc.
SMV	SANTA MARIA VALLEY RAILROAD COMPANY
SOU	Norfolk Southern Railway Company
SS	SAND SPRINGS RAILWAY COMPANY
SSCX	Southern Switching Company
SW	SOUTHWESTERN RAILROAD
TASD	TERMINAL RAILWAY ALABAMA STATE DOCKS
TCWR	TWIN CITIES & WESTERN RAILROAD CO.
TIBR	Timber Rock Railroad Company, Inc.
TMBL	TACOMA MUNICIPAL BELT LINE RAILWAY
TMEV	Tri-Met Westside Express Service
TNMR	TEXAS AND NEW MEXICO RAILROAD
TOE	TEXAS, OKLAHOMA AND EASTERN RAILROAD COMPANY
TPW	Toledo, Peoria and Western Railway
TRRA	TERMINAL RAILROAD ASSOCIATION OF ST. LOUIS
UP	Union Pacific Railroad Company
UTAH	UTAH RAILWAY COMPANY
UTAX	UTAH TRANSIT AUTHORITY
VREX	VIRGINIA RAILWAY EXPRESS
WNYP	WESTERN NEW YORK & PENNSYLVANIA RAILROAD
WSOR	WISCONSIN & SOUTHERN RAILROAD
WVC	WEST VIRGINIA CENTRAL RAILROAD
XBBT	BBTL, LLC
XCBP	Collins Bioenergy Partners, LLC
XCHS	CHS, INC.
XCRO	CROSSTEX
XCSK	CSX Transportation Storekeeper
XGAT	GATX RAIL
XGEI	GULFMARK ENERGY, INC
XGPT	Green Power Technology
XHIN	Hinkle Contracting Corporation
XLSS	Lone Star Specialties LLC
XPRS	PROGRESS RAIL SERVICES CORPORATION
XRLI	RELOAD INC.
XRTI	RTI RAILROAD SERVICES
XSKC	Sika Corporation

Respondent

<u>Codes</u>	<u>Respondent Names</u>
XSPY	SUPR TERMINAL, LLC
XSWF	Southwest Freight
XSWI	SEVERSTAL WHEELING, INC.
XTAR	Tarragon
XVBI	Vance Brothers, Inc.
XVPI	VORST PAVING, INC.
XVSP	VERSO PAPER
XWNR	Western Nevada Trucking
YKR	YORKRAIL, INC.
YSVR	Yellowstone Valley Railroad, Inc.
ZABE	Absolute Energy
ZABEQ	Abengoa Bioenergy Corp.
ZABI	ABITIBI-CONSOLIDATED COMPANY OF CANADA
ZABW	AbitibiBowater
ZACR	ADM CORN PROCESSING
ZADE	Adkins Energy LLC
ZAEL	AGRI ENERGY, LLC
ZAEQ	ALCHEMIE EUROPE LTD.
ZAET	Atlantic Terminalling, LLC
ZAGQ	Airgas Specialty Products Inc.
ZAGT	AMERIGAS
ZAIL	AIR LIQUIDE AMERICA CORP
ZAKE	ARKALON ETHANOL
ZAKN	AKZO NOBEL
ZALF	Alta Fuels
ZALN	ALON, USA, LP
ZALQ	Air Liquide Industrial U.S. LP
ZAMC	ARCHER DANIELS MIDLAND CO.
ZANE	AKZO NOBEL EKA CHEMICALS, INC.
ZAO	Apex Oil Company, Inc.
ZAPC	AIR PRODUCTS AND CHEMICAL, INC.
ZAPF	ALPINE PLANT FOOD
ZAPY	AMERICAN POLYMERS, INC.
ZAQU	Ashland Aqualon Functional Ingredients
ZARCI	ARIZONA CHEMICAL INC.
ZARE	AVENTINE RENEWABLE ENERGY, INC.
ZARP	ADM RIVER PORT
ZARQ	ALABAMA RIVER PULP COMPANY, INC.
ZART	Avon Remediation Team (C/O Geosyntec Consultants)

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZASY	Americas Styrenics
ZAUI	AGRIUM U.S. INC.
ZBAR	Barton Solvent Inc.
ZBAS	BASF CORPORATION
ZBASI	BASIC CHEMICAL SOLUTIONS
ZBDW	BIGHORN, DIVIDE, & WYOMING
ZBEL	Biofuel Energy Corp.
ZBEP	Buckeye Partners
ZBFE	BLUE FLINT ETHANOL
ZBFL	Buffalo Lake Energy
ZBKT	BULKMATIC TRANSPORT COMPANY
ZBMS	BRENNTAG MID-SOUTH, INC.
ZBPA	BP America, Inc.
ZBPE	BEAR PAW ENERGY, INC.
ZBPO	BP Oil Company
ZBPQ	BLUE RIDGE PAPER PRODUCTS, INC
ZBPS	Boise Paper
ZBPWC	B.P. WEST COAST PRODUCTS
ZBRF	Britz-Simplot Grower Solutions
ZBSF	BASF CATALYSTS
ZBTR	BTB Refining
ZBVD	BLACK VELVET DISTILLING COMPANY
ZBYC	Bayer CropScience LP
ZCALC	CALABRIAN CORP.
ZCAX	Canexus Chemicals Canada LP
ZCCM	CARGILL-CORN MILLING DIVISION
ZCEE	Centennial Energy
ZCFX	CN CargoFlo
ZCHEV	CHEVRON PRODUCTS
ZCHX	CLEAN HARBORS ENVIRONMENTAL SERVICES, INC.
ZCLU	CALUMET LUBRICANT COMPANY
ZCLX	CHEMTRADE LOGISTICS
ZCMA	CMA-CGM (AMERICA)
ZCNC	CHEROKEE NITROGEN
ZCOG	COGNIS
ZCOU	Country Mark
ZCPCL	CHEVRON PHILLIPS CHEMICAL, LLP.
ZCRS	CARSON OIL
ZCTG	CITGO

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZCUI	Chevron USA, Inc.
ZCYZ	CYANCO
ZDBW	D.B. WESTERN, INC
ZDCM	DOVER CHEMICAL CORP.
ZDCS	DUPONT CHEMICAL SOLUTIONS ENTERPRISE
ZDEL	DELTA CHEMICAL CORP.
ZDEP	DELTA PETROLEUM COMPANY INCORPORATED
ZDF	DUPONT
ZDGO	DIXIE GAS AND OIL CORPORATION
ZDGS	DIAGEO GLOBAL SUPPLY
ZDIC	DIXIE CHEMICAL COMPANY
ZDPCI	D P C INDUSTRIES, INC.
ZDTI	Domtar
ZDTR	DOMINION TRANSMISSION, INC.
ZDUK	DUKE ENERGY
ZDUP	E.I. DUPONT DE NEMOURS AND COMPANY
ZDXI	DXI Industries
ZDYI	DYNO NOBEL, INC.
ZEACH	EASTMAN CHEMICAL COMPANY
ZECB	EES COKE BATTERY LLC
ZECDP	EPCO CARBON DIOXIDE PRODUCTS
ZEKAC	EKA CHEMICALS
ZEMCC	EXXONMOBIL CHEMICAL COMPANY
ZENI	ENERCHEM INTERNATIONAL, INC.
ZEOB	ECOLAB
ZEPC	Enterprise Products Operating LLC
ZEPS	EPCO South
ZEVO	EVERGREEN OIL
ZEWW	ERCO WORLDWIDE (USA), INC.
ZEXM	EXXON MOBIL
ZFPC	FORMOSA PLASTICS CO.
ZFRZ	FRONTIER EL DORADO REFINING COMPANY
ZFUF	FUTURE FUEL CHEMICAL COMPANY
ZGAG	Gage Products Company
ZGATX	GATX Corporation
ZGCC	GEORGIA GULF CORPORATION
ZGDB	GDB INTERNATIONAL INC.
ZGET	GLOBAL ETHANOL SERVICES
ZGGE	GOLDEN GRAIN ENERGY

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZGMN	GENERAL CHEMICAL CORP.
ZGPA	Georgia-Pacific Corporation
ZGPJ	Graphic Packaging Intl/
ZGRC	GIANT REFINING COMPANY
ZGRZ	Grainger
ZGTE	GOLDEN TRIANGLE ENERGY
ZGUN	GUNDERSON MIDWEST RAILCAR SERVICE
ZHCH	HELENA CHEMICAL COMPANY
ZHES	HERITAGE ENVIRONMENTAL SERVICES
ZHKD	Hawkeye Renewables LLC.
ZHNI	HONEYWELL INTERNATIONAL
ZHOW	Honeywell International, Inc.
ZHPR	HUNTSMAN PERFORMANCE PRODUCTS
ZHRM	HOLLY ENERGY PARTNERS
ZHSA	Hasa Chemical Corporation
ZHSC	HEXION SPECIALTY CHEMICALS, INC.
ZHTS	HAWTHORNE SERVICES, INCORPORATED
ZHUE	Husky Energy Marketing, Inc.
ZHUN	Huntsman Chemical Corporation
ZHUNT	HUNT REFINING COMPANY
ZIBE	INDIANA BIO-ENERGY, LLC
ZIBO	IROQUOIS BIO-ENERGY COMPANY, LLC
ZICE	International Commodity Export Corporation
ZICH	INTERNATIONAL CHEMICAL COMPANY (Inter-Chem)
ZICM	INDUSTRIAL CHEMICALS INC.
ZICN	IMTT - Channahon
ZIDM	INDUSTRIAS MONFEL, S.A. DE C.V.
ZIES	INEOS
ZIFA	Ineos Fluor Americas LLC
ZIFF	International Flavors & Fragrances
ZIGM	INERGY MIDSTREAM LLC
ZIHC	IHARA CHEMICAL INDUSTRY CO., LTD
ZIM	ZIM-AMERICAN ISRAELI SHIPPING COMPANY
ZINO	INEOS OXIDE
ZINS	ITS Technologies & Logistics, LLC.
ZINTT	INTERNATIONAL MATEX TANK TERMINALS
ZIOL	IRVING OIL LTD.
ZIP	INTERNATIONAL PAPER COMPANY
ZIPI	INEOS PHENOL, INC.

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZIRM	INTERMODAL RAMP MANAGEMENT
ZIRO	IRVING OIL COMPANY
ZISC	INDSPEC CHEMICAL CORPORATION
ZIST	Interstate Chemical Co.
ZITT	INTERCONTINENTAL TERMINALS COMPANY
ZIVS	INVISTA S.A.R.L.
ZIWI	International Waxes, Inc.
ZJGO	James Group of Ohio
ZJHH	Johann Haltermann, LTD
ZJRS	J.R. SIMPLOT COMPANY
ZKENC	KENNECOTT UTAH COPPER
ZKMB	KINDER MORGAN LIQUIDS TERMINALS, LLC
ZKML	Kinder Morgan Liquid Terminals, LLC (Inactive Code
ZKMM	KINDER MORGAN MATERIALS SERVICES, LLC
ZKMQ	KINDER MORGAN TERMINALS
ZKMT	KMTEX
ZKNC	KOCH NITROGEN COMPANY
ZKPI	KOPPERS, INC.
ZKSAQ	KAO SPECIALTIES AMERICAS
ZKWS	KEMIRA WATER SOLUTIONS
ZLAN	LANZESS CORPORATION
ZLES	LESCHACO, INC.
ZLOC	Lion Oil Company
ZLSP	LITTLE SIOUX CORN PROCESSORS
ZMAR	MARSULEX, INC.
ZMER	Merichem Company
ZMFQ	MOSAIC FERTILIZER LLC
ZMGC	Mitsubishi Gas Chemical America, Inc.
ZMGL	Magellan Pipeline Company, L.P.
ZMKJ	Mizkan Americas, Inc.
ZMMPL	Magellan Midstream Partners, LP.
ZMNN	Mann Chemical LLC
ZMNP	Marathon Petroleum Company
ZMNS	MAGNUM SOLVENT, INC.
ZMOT	MARATHON OIL COMPANY
ZMTE	MOTIVA ENTERPRISES LLC
ZMWC	MeadWestvaco Corporation
ZNCAS	NACHURS-ALPINE SOLUTIONS
ZNEC	NEW ENERGY COMPANY OF INDIANA

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZNFC	NUTRA-FLO CHEMICAL CO.
ZNLI	NYK Logistics, Inc.
ZNPA	NEWPAGE CORPORATION
ZNRC	NAVAJO REFINING COMPANY
ZNYR	NYRSTAR CLARKSVILLE, INC.
ZOCF	OWENS CORNING FIBERGLASS CORPORATION
ZODI	ODOM INDUSTRIES INC.
ZOGL	Organics Limited
ZOLI	OLIN CORPORATION
ZOPM	Optimodal, Inc.
ZORI	ORICA USA
ZOSI	OMNOVA SOLUTIONS INC.
ZOTER	ODFJELL TERMINALS
ZOTT	Oil tanking Texas City L.P.
ZOWS	OWS RAIL CAR, INC.
ZPANA	PANALPINAN INC., FMC #375
ZPCM	Peter Cremer Company
ZPCN	PCS NITROGEN
ZPCSS	PCS SALES (USA) INC.
ZPEL	PROVIDENT ENERGY LTD.
ZPG	PROCTER & GAMBLE
ZPGI	Petrogas Inc.,
ZPIL	PILOT CHEMICALS
ZPJC	CONOCOPHILLIPS
ZPMA	PLAINS MARKETING CO.
ZPMQ	PIONEER AMERICAS INC
ZPOM	PORT OF MONTANA
ZPON	P & O NEDLOY, LTD.
ZPOTS	POTASH CORPORATION
ZPPG	PPG INDUSTRIES, INC.
ZPRTI	PEORIA RIVER TERMINAL, INC.
ZPSE	Pursue Energy
ZPSRI	PETRO SOURCE RESOURCES, INC.
ZPTE	Plantinum Ethanol LLC
ZPYC	POLYCHEMIE INCORPORATED
ZRCY	Reichhold, Inc.
ZRFE	REDFIELD ENERGY
ZRID	IMCO Recycling of Idaho, Inc.
ZRMA	INTERMODAL RAIL MANAGEMENT

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZSAB	SABIC Innovative Plastics
ZSAV	SAVAGE INDUSTRIES
ZSBG	Sheboygan Paint Company
ZSBP	SUBURBAN PROPANE
ZSBS	Seattle Bulk Rail Station, Inc.
ZSCA	Shell Canada, Ltd.
ZSCC	SHELL CHEMICAL COMPANY
ZSDR	Sound Refining
ZSDX	SOUTH DAKOTA WHEAT GROWERS ASSOCIATION
ZSEJ	SHARP ENERGY, INC.
ZSEU	SUNCOR ENERGY (USA), INC.
ZSGQ	Schagrín Gas
ZSI	SOUTHERN IONICS
ZSIN	SINCLAIR OIL CORPORATION
ZSLQ	Sunoco Partners Marketing and Terminals LP
ZSMS	Smitty Supply, Inc.
ZSMT	Seaman Timber Company Inc.
ZSNA	Schneider National, Inc.
ZSNI	STOLT NIELSEN COMPANY
ZSNWO	STOLTHAVEN (NEW ORLEANS), LLC
ZSOC	SHELL OIL COMPANY
ZSPY	Specialty Oil
ZSR	Sid Richardson Carbon & Energy Company
ZSSCO	SAVAGE SERVICES CORPORATION
ZSSP	Southern States Chemical
ZSTQ	STEPAN COMPANY
ZSUI	SUNOCO INC. (R&M)
ZSVC	SOLVAY CHEMICAL
ZSWR	SINCLAIR WYOMING REFINING CO.
ZTAU	TAUBER OIL CO.
ZTCML	TECK COMINCO METALS LTD.
ZTDL	TDC LLC
ZTERM	TESORO REFINING AND MARKETING CO.
ZTGO	TEXAS GAS AND OIL LTD.
ZTHA	THATCHER COMPANY
ZTI	Transammonia, Inc.
ZTIF	TEMPLE-INLAND FOREST PRODUCTS, INC.
ZTLY	TATE & LYLE INGREDIENTS INC.
ZTMS	TARGA MIDSTREAM SERVICES

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZTNX	TRONOX LLC
ZTPQ	TRANSPLASTICS
ZTRH	Truck-Rail Handling, Inc.
ZTRN	TERRA NITROGEN
ZTRSP	TROPICAL SHIPPING
ZTTCM	TEXANA TANK CAR MANUFACTURING, LTD.
ZTTE	TOTEM OCEAN TRAILER EXPRESS
ZTXL	TEXON LP
ZTXM	TEXMARK CHEMICALS
ZUET	UNITED ETHANOL LLC
ZUNIV	UNIVAR USA INC.
ZUTC	UNION TANK CAR COMPANY
ZVES	Veolia ES Technical Solutions, L..L.C.
ZVLQ	VALERO LP
ZVLS	VLS Recovery
ZVMC	VULCAN CHEMICALS
ZVTG	VOTG North America, Inc.
ZWEB	WEBB CHEMICAL SERVICE CORP.
ZWEY	WEYERHAEUSER COMPANY
ZWOI	Warren Oil Company Inc.
ZWRE	WESTERN REFINING COMPANY
ZWRQ	Wynnewood Refinery Co.
ZWTR	Westway Trading Company
ZWVCI	WESTLAKE VINYLs CORPORATION, INC.
ZWWE	WESTERN WISCONSIN ENERGY, LLC