

**Federal
Railroad
Administration**

**Fiscal Year 2022
Enforcement Report**

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Federal Railroad Administration Fiscal Year 2022 Enforcement Report

I. INTRODUCTION

For several decades, the Federal Railroad Administration (FRA) has compiled an annual civil penalty report summarizing the civil penalty claims for violations of Federal railroad safety and hazardous materials (hazmat) statutes, regulations, and orders FRA has closed.¹ As authorized by law, FRA issues orders assessing civil penalties for violations of the hazardous materials statutes, regulations, and orders.² Also, as authorized by law, FRA negotiates settlements with railroads and other entities subject to its safety jurisdiction to resolve claims for civil penalties imposed for failures to comply with specific requirements that promote and ensure the safety of the Nation's freight and passenger railroad operations.³

Pursuant to the Rail Safety Improvement Act of 2008, FRA expanded the enforcement report to include more information about FRA's safety enforcement activities.⁴ FRA intends to make the enforcement report, with the additional information, available each year by December 31 for the preceding fiscal year (FY) (i.e., October 1 through September 30).

This 2022 report includes the following:

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

¹ See primarily title 49 of the United States Code, chapters 201-213 and 51, respectively (49 U.S.C. ch. 201-213 and 51, respectively); title 49 of the Code of Federal Regulations (C.F.R.), subtitle B, chapter II (parts 209-244, 270-272) and chapter I, subchapter A, Hazardous Materials and Oil Transportation, and subchapter C, Hazardous Materials Regulations; 49 U.S.C. § 103; and 49 C.F.R. § 1.89.

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

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

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

**II. SUMMARY OF INSPECTIONS AND AUDITS PERFORMED,
AND ENFORCEMENT ACTIONS RECOMMENDED IN FY 2022**

**A. RAILROAD SAFETY AND HAZMAT COMPLIANCE INSPECTIONS AND
AUDITS**

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

Number Of Inspection Reports:	63,948
Defects:	233,057
Units:	2,509,694
Number of Observations:	289,511
Number of Reports with Recommended Violation Defects:	3,477
Number of Recommended Violation Defects:	8,876
Number of Inspection Days:	51,081

2. Railroads Only

Number Of Inspection Reports:	57,223
Defects:	220,028
Units:	2,438,924
Number of Observations:	268,935
Number of Reports with Recommended Violation Defects:	2,771
Number of Recommended Violation Defects:	7,841
Number of Inspection Days:	47,558

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

1. Accident/Incident Reporting

Violation Type	Number of Recommended Violations
Accident Reporting	21

2. Grade Crossing Signal System Safety

Violation Type	Number of Recommended Violations
Grade Crossing Signal Safety	214

3. Hazardous Materials

Violation Type	Number of Recommended Violations
Hazardous Materials	3,775

4. Industrial Hygiene

Violation Type	Number of Recommended Violations
Occupational Noise Exposure	0

5. Motive Power and Equipment

Violation Type	Number of Recommended Violations
Freight Car Safety Standards	374
Locomotive Safety Standards	495
Passenger Equipment Safety Standards	5
Passenger Train Emergency Preparedness	0
Rear End Marking Devices	2
Safety Appliance Statutes and Regulations	1,647
Safety Glazing Standards	1
Steam Locomotive Inspection and Maintenance	1
All	2,525

6. Railroad Operating Practices

Violation Type	Number of Recommended Violations
Alcohol and Drug Use	243
Conductor Qualifications	27
Critical Incident Stress Plans	4
Engineer Qualifications	62
FRA Emergency Order(s)	0
Hours of Service Laws and Regulations	747
Hours of Service Recordkeeping	99
Railroad Communications	19

Railroad Operating Practices	316
Railroad Operating Rules	4
Railroad Safety Enforcement Procedures	18
Train Horn/Quiet Zone	89
All	1,628

7. Signal and Train Control

Violation Type	Number of Recommended Violations
Signal Inspection Regulations	76

8. Track

Violation Type	Number of Recommended Violations
Bridge Safety Standards	81
Bridge Worker Safety Standards	1
Roadway Worker Protection	131
Track Safety Standards	424
All	637

9. Safety Management Systems

Violation Type	Number of Recommended Violations
System Safety Program	0

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

1. Class I Railroads

Number Of Inspection Reports:	41,465
Defects:	163,025
Units:	1,931,931
Number of Observations:	200,492
Number of Reports with Recommended Violation Defects:	2,411
Number of Recommended Violation Defects:	7,176
Number of Inspection Days: ⁵	35,346

2. Probable Class II Railroads⁶

Number Of Inspection Reports:	2,044
Defects:	8,124
Units:	118,909
Number of Observations:	10,114
Number of Reports with Recommended Violation Defects:	59
Number of Recommended Violation Defects:	84
Number of Inspection Days:	1,824

3. Probable Class III Railroads

Number Of Inspection Reports:	13,714
Defects:	48,879
Units:	388,084
Number of Observations:	58,329
Number of Reports with Recommended Violation Defects:	301
Number of Recommended Violation Defects:	581
Number of Inspection Days:	12,037

⁵ The total number of inspection days for Class I Railroads in II.C.1 of this report is less than the sum of all the individual Class I railroads' inspection days cited in II.D.1-8 of this report because FRA inspectors may visit more than one Class I railroad in a day. The same is true for the total number of inspection days for railroads FRA believes are Class II and Class III railroads. See note six for an explanation regarding FRA's determination of Class I, Class II and Class III railroads.

⁶ FRA has identified seven of the eight Class I railroads based on information they filed with the Surface Transportation Board (STB) for calendar year 2021—the latest full year available—regarding their annual operating revenues. See STB Web site (<http://www.stb.dot.gov>) under <https://prod.stb.gov/reports-data/economic-data/annual-report-financial-data/>, which provides a list of railroads that have filed such information by year. STB requires such filings only from Class I railroads. See 49 C.F.R. § 1241.11 and Ex Parte No. 393 (Sub-No. 2), decided Oct. 28, 1988, 1988 WL 224990 (I.C.C.). Therefore, FRA identified the eighth Class I railroad, Amtrak, based on FRA research of other data. Generally, Class II and III railroads are not required to report their annual operating revenues to STB. As a result, FRA identified railroads that are probably Class II and Class III railroads based on its research of railroad revenues, which does not cover commuter railroads. FRA concludes that the following railroads are probably Class II railroads: Alaska Railroad Corp.; Buffalo & Pittsburgh Railroad, Inc.; Florida East Coast Railway Co.; Indiana Rail Road Co.; Iowa Interstate Railroad, Ltd.; Montana Rail Link; Paducah & Louisville Railway Co.; Springfield Terminal Railway Co. and other regional railroads (including Boston & Maine Corp., Maine Central Railroad Co., Pan Am Southern LLC, and Portland Terminal Co.); Rapid City, Pierre & Eastern Railroad, Inc.; Wheeling & Lake Erie Railway Co.; and Wisconsin & Southern Railroad Co. Note that switching and terminal railroads are, by definition, Class III railroads, without regard to their annual operating revenues. 49 C.F.R. § 1201.1-1(d).

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

1. BNSF Railway Company

Number of Inspection Reports:	8,515
Defects:	31,241
Units:	377,987
Number of Observations:	39,358
Number of Reports with Recommended Violation Defects:	467
Number of Recommended Violation Defects:	919
Number of Inspection Days:	7,452

2. Canadian National Railway/Grand Trunk Corporation

Number of Inspection Reports:	1,775
Defects:	8,522
Units:	83,516
Number of Observations:	8,880
Number of Reports with Recommended Violation Defects:	91
Number of Recommended Violation Defects:	241
Number of Inspection Days:	1,590

3. Canadian Pacific Railway/Soo Line Railroad Company

Number of Inspection Reports:	1,204
Defects:	6,170
Units:	70,306
Number of Observations:	6,111
Number of Reports with Recommended Violation Defects:	62
Number of Recommended Violation Defects:	174
Number of Inspection Days:	1,072

4. CSX Transportation, Inc.

Number of Inspection Reports:	7,983
Defects:	31,597
Units:	402,813
Number of Observations:	39,374
Number of Reports with Recommended Violation Defects:	363
Number of Recommended Violation Defects:	3,044
Number of Inspection Days:	7,143

5. The Kansas City Southern Railway Company

Number of Inspection Reports:	1,037
Defects:	3,847
Units:	63,888
Number of Observations:	5,162
Number of Reports with Recommended Violation Defects:	27
Number of Recommended Violation Defects:	82
Number of Inspection Days:	931

6. National Railroad Passenger Corporation (Amtrak)

Number of Inspection Reports:	1,555
Defects:	3,060
Units:	18,831
Number of Observations:	7,927
Number of Reports with Recommended Violation Defects:	23
Number of Recommended Violation Defects:	35
Number of Inspection Days:	1,220

7. Norfolk Southern Railway Company

Number of Inspection Reports:	8,011
Defects:	38,180
Units:	383,124
Number of Observations:	39,623
Number of Reports with Recommended Violation Defects:	606
Number of Recommended Violation Defects:	1,229
Number of Inspection Days:	7,124

8. Union Pacific Railroad Company

Number of Inspection Reports:	11,385
Defects:	40,408
Units:	531,466
Number of Observations:	54,057
Number of Reports with Recommended Violation Defects:	772
Number of Recommended Violation Defects:	1,452
Number of Inspection Days:	10,055

III. SUMMARIES OF CIVIL PENALTY INITIAL ASSESSMENTS, SETTLEMENTS, AND FINAL ASSESSMENTS IN FY 2022

A. IN GENERAL⁷

Summary 1

Summary 1 provides a broad overview of penalties FRA initially assessed during FY 2022, the initial penalty assessment for cases closed during FY 2022 and the amount of the settlement or the final assessment of civil penalty. FRA has transitioned to a paperless enforcement system, and under that system, a case includes only one violation report, and not multiple reports, as in the past.

Summary 1, below, provides the following:

- The number of violations for which FRA assessed a civil penalty in FY 2022 (through demand letters or, in hazmat cases, notices of probable violation);
- The number of violation reports that FRA declined to enforce in FY 2022 after legal review;
- The initial amount of civil penalties assessed in FY 2022 (the amount of the civil penalty specified in FRA’s demand letter or, for hazmat cases, a notice of probable violation that was transmitted to a respondent (i.e., railroad, hazmat shipper, contractor, or individual that received the penalty assessment)) regardless of whether FRA closed the cases during FY 2022;
- The civil penalties FRA initially assessed (the “potential collectible amount” or “POCA” listed in in Appendix A) in all cases FRA settled or otherwise closed during FY 2022; and
- The total amount of civil penalties assessed or settled during FY 2022.⁸

Summary 2

To provide more transparency, Summary 2, below, shows initial assessment information only for those cases closed during FY 2022. **All numbers in Summary 2 reflect the initial assessments that resulted in FY 2022 settlements or final assessments even though the initial assessments may have occurred in a prior fiscal year.** This summary shows (1) the difference between the initial amount of civil penalties assessed and the settlement or final assessment amount, and (2) the difference between the revised assessment amount (or what Appendix A describes as the “provable collectible amount” or “PRCA”) and the final assessment or settlement amount. The revised assessment amount is the amount FRA calculated it could legally collect after evaluating the facts of the violation.

Caveat: The number of violation reports in a single case may range from one to five or more, depending on a number of factors, and a single violation report may allege one or more violations. Therefore, the number of cases with civil penalties initially assessed or settled or finally assessed during a specific period cannot be used for a realistic comparison. This report provides the information, as required by the statute, in Summary 1 and Summary 2. However,

⁷ The totals in this section exclude civil penalties against individuals. Those are addressed in section IV.A. of this report.

⁸ In this report, FRA rounded settlement amounts to the nearest whole dollar.

the number of violations provides a better opportunity for standardized review and comparison than does the number of cases.

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

Total number of cases with civil penalties initially assessed in FY 2022:	4,530
Total number of violations with civil penalties initially assessed in FY 2022:	4,777
Total number of violation reports declined during legal review in FY 2022:	20
Total amount of civil penalties initially assessed (POCA) for violations in cases transmitted in FY 2022:	\$21,592,126
Total amount of civil penalties initially assessed (POCA) for violations in cases finally assessed or settled in FY 2022:	\$19,816,042
Total final civil penalty assessment or settlement in FY 2022:	\$14,152,533

C. BREAKDOWN OF INITIAL ASSESSMENTS IN SUMMARY 1⁹

1. For Each Class I Railroad Individually in FY 2022

AMTRAK

Number of cases with civil penalties initially assessed:	12
Number of violations with civil penalties initially assessed:	12
Number of violation reports declined during legal review:	0
Initial amount of civil penalty assessed:	\$38,000

BNSF RAILWAY COMPANY

Number of cases with civil penalties initially assessed:	595
Number of violations with civil penalties initially assessed:	611
Number of violation reports declined during legal review:	4
Initial amount of civil penalty assessed:	\$2,237,500

⁹ The individual subtotals in this section may not correspond to the aggregate totals in Summary 1 due to non-specific categorization of certain cases.

CANADIAN NATIONAL RAILWAY/GRAND TRUNK CORPORATION

Number of cases with civil penalties initially assessed:	116
Number of violations with civil penalties initially assessed:	117
Number of violation reports declined during legal review:	0
Initial amount of civil penalty assessed:	\$416,500

CANADIAN PACIFIC RAILWAY/SOO LINE RAILROAD COMPANY

Number of cases with civil penalties initially assessed:	80
Number of violations with civil penalties initially assessed:	81
Number of violation reports declined during legal review:	0
Initial amount of civil penalty assessed:	\$559,000

CSX TRANSPORTATION, INC.

Number of cases with civil penalties initially assessed:	420
Number of violations with civil penalties initially assessed:	427
Number of violation reports declined during legal review:	7
Initial amount of civil penalty assessed:	\$2,103,818

THE KANSAS CITY SOUTHERN RAILWAY COMPANY

Number of cases with civil penalties initially assessed:	57
Number of violations with civil penalties initially assessed:	57
Number of violation reports declined during legal review:	2
Initial amount of civil penalty assessed:	\$224,000

NORFOLK SOUTHERN RAILWAY COMPANY

Number of cases with civil penalties initially assessed:	474
Number of violations with civil penalties initially assessed:	493
Number of violation reports declined during legal review:	2
Initial amount of civil penalty assessed:	\$2,207,500

UNION PACIFIC RAILROAD COMPANY

Number of cases with civil penalties initially assessed:	1,367
Number of violations with civil penalties initially assessed:	1,403
Number of violation reports declined during legal review:	2
Initial amount of civil penalty assessed:	\$5,743,250

2. For Probable Class II Railroads in the Aggregate in FY 2022

Number of cases with civil penalties initially assessed:	69
Number of violations with civil penalties initially assessed:	70
Number of violation reports declined during legal review:	0
Initial amount of civil penalty assessed:	\$397,000

3. For Probable Class III Railroads in the Aggregate in FY 2022¹⁰

Number of cases with civil penalties initially assessed:	394
Number of violations with civil penalties initially assessed:	429
Number of violation reports declined during legal review:	3
Initial amount of civil penalty assessed:	\$1,915,000

¹⁰ This category may be over-inclusive as STB jurisdiction may not extend to some of the commuter railroads that FRA has listed as Class III railroads. Regardless, the “Total final civil penalty assessment or settlement in FY 2022” amount remains correct as FRA includes data from enforcement actions against regulated entities that are otherwise not subject to STB jurisdiction.

4. For Hazmat Shippers in the Aggregate in FY 2022

Number of cases with civil penalties initially assessed:	796
Number of violations with civil penalties initially assessed:	890
Number of violation reports declined during legal review:	2
Initial amount of civil penalty assessed:	\$4,846,000

5. For Contractors in the Aggregate in FY 2022

Number of cases with civil penalties initially assessed:	57
Number of violations with civil penalties initially assessed:	65
Number of violation reports declined during legal review:	1
Initial amount of civil penalty assessed:	\$346,500

6. For Other Cases in the Aggregate in FY 2022¹¹

Number of cases with civil penalties initially assessed:	38
Number of violations with civil penalties initially assessed:	47
Number of violation reports declined during legal review:	1
Initial amount of civil penalty assessed:	\$178,058

¹¹ The category of “other cases” includes all hazardous materials civil penalty cases against respondents that are coded in FRA’s railroad enforcement system as contractors rather than shippers. Some entities have been classified as contractors based on criteria unrelated to the shipment of hazardous materials but perform functions under hazardous materials regulations that are associated with shippers.

D. SUMMARY 2—MORE DETAILED SUMMARY OF SETTLEMENTS AND FINAL ASSESSMENTS OF CIVIL PENALTIES IN FY 2022

Number of cases closed:	4,107
Number of violations in cases closed:	4,353
Initial amount of civil penalty assessed for cases closed (POCA):	\$19,816,042
Final amount of civil penalty assessed or settlement for cases closed:	\$14,152,533
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$940,955
Amount of revised assessment after terminations (PRCA):	\$18,875,087
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$5,663,509
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$4,722,554

E. BREAKDOWN OF SETTLEMENTS AND FINAL ASSESSMENTS IN SUMMARY 2¹²

1. For Each Class I Railroad Individually in FY 2022

AMTRAK

Number of cases closed:	13
Number of violations in cases closed:	13
Initial amount of civil penalty assessed for cases closed (POCA):	\$44,500
Final amount of civil penalty assessed or settlement for cases closed:	\$34,800
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$0
Amount of revised assessment after terminations (PRCA):	\$44,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$9,700

¹² The individual subtotals in this section may not correspond to the aggregate totals in Summary 2 due to non-specific categorization of certain cases.

Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$9,700
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BNSF RAILWAY COMPANY

Number of cases closed:	544
Number of violations in cases closed:	557
Initial amount of civil penalty assessed for cases closed (POCA):	\$2,024,500
Final amount of civil penalty assessed or settlement for cases closed:	\$1,483,967
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$46,000
Amount of revised assessment after terminations (PRCA):	\$1,978,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$540,533
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$494,533

CANADIAN NATIONAL RAILWAY/GRAND TRUNK CORPORATION

Number of cases closed:	100
Number of violations in cases closed:	101
Initial amount of civil penalty assessed for cases closed (POCA):	\$368,500
Final amount of civil penalty assessed or settlement for cases closed:	\$266,262
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$6,000
Amount of revised assessment after terminations (PRCA):	\$362,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$102,238
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$96,238

CANADIAN PACIFIC RAILWAY/SOO LINE RAILROAD COMPANY

Number of cases closed:	64
Number of violations in cases closed:	64
Initial amount of civil penalty assessed for cases closed (POCA):	\$328,500
Final amount of civil penalty assessed or settlement for cases closed:	\$227,900
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$0
Amount of revised assessment after terminations (PRCA):	\$328,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$100,600
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$100,600

CSX TRANSPORTATION, INC.

Number of cases closed:	395
Number of violations in cases closed:	414
Initial amount of civil penalty assessed for cases closed (POCA):	\$1,960,096
Final amount of civil penalty assessed or settlement for cases closed:	\$1,385,810
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$61,500
Amount of revised assessment after terminations (PRCA):	\$1,898,596
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$574,286
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$512,786

THE KANSAS CITY SOUTHERN RAILWAY COMPANY

Number of cases closed:	19
Number of violations in cases closed:	20
Initial amount of civil penalty assessed for cases closed (POCA):	\$75,500
Final amount of civil penalty assessed or settlement for cases closed:	\$54,025
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$5,000
Amount of revised assessment after terminations (PRCA):	\$70,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$21,475
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$16,475

NORFOLK SOUTHERN RAILWAY COMPANY

Number of cases closed:	416
Number of violations in cases closed:	423
Initial amount of civil penalty assessed for cases closed (POCA):	\$1,995,500
Final amount of civil penalty assessed or settlement for cases closed:	\$1,420,785
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$21,000
Amount of revised assessment after terminations (PRCA):	\$1,974,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$574,715
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$553,715

UNION PACIFIC RAILROAD COMPANY

Number of cases closed:	1,288
Number of violations in cases closed:	1,332
Initial amount of civil penalty assessed for cases closed (POCA):	\$5,420,248
Final amount of civil penalty assessed or settlement for cases closed:	\$3,913,736
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$30,000
Amount of revised assessment after terminations (PRCA):	\$5,390,248
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$1,506,512
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$1,476,512

2. For Probable Class II Railroads in the Aggregate in FY 2022

Number of cases closed:	82
Number of violations in cases closed:	83
Initial amount of civil penalty assessed for cases closed (POCA):	\$410,500
Final amount of civil penalty assessed or settlement for cases closed:	\$280,390
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$39,000
Amount of revised assessment after terminations (PRCA):	\$371,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$130,110
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$91,110

3. For Probable Class III Railroads in the Aggregate in FY 2022

Number of cases closed:	402
Number of violations in cases closed:	467

Initial amount of civil penalty assessed for cases closed (POCA):	\$2,175,455
Final amount of civil penalty assessed or settlement for cases closed:	\$1,225,145
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$534,455
Amount of revised assessment after terminations (PRCA):	\$2,162,955
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$950,310
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$415,895

4. For Hazmat Shippers in the Aggregate in FY 2022

Number of cases closed:	630
Number of violations in cases closed:	697
Initial amount of civil penalty assessed for cases closed (POCA):	\$3,992,743
Final amount of civil penalty assessed or settlement for cases closed:	\$3,216,792
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$145,000
Amount of revised assessment after terminations (PRCA):	\$3,847,743
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$775,951
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$630,951

5. For Contractors in the Aggregate in FY 2022

Number of cases closed:	16
Number of violations in cases closed:	19
Initial amount of civil penalty assessed for cases closed (POCA):	\$51,500
Final amount of civil penalty assessed or settlement for cases closed:	\$39,000
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$3,000

Amount of revised assessment after terminations (PRCA):	\$48,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$12,500
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$9,500

6. For Other Cases in the Aggregate in FY 2022¹³

Number of cases closed:	61
Number of violations in cases closed:	76
Initial amount of civil penalty assessed for cases closed (POCA):	\$687,500
Final amount of civil penalty assessed or settlement for cases closed:	\$420,650
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$25,000
Amount of revised assessment after terminations (PRCA):	\$662,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$266,850
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$241,850

¹³ The category of “other cases” includes all hazardous materials civil penalty cases against respondents that are coded in FRA’s railroad enforcement system as contractors rather than shippers. Some entities have been classified as contractors based on criteria unrelated to the shipment of hazardous materials but perform functions under hazardous materials regulations that are associated with shippers.

IV. ENFORCEMENT ACTIONS AGAINST INDIVIDUALS IN FY 2022

A. CIVIL PENALTY CASES AGAINST INDIVIDUALS IN THE AGGREGATE

Total number of civil penalty cases initially assessed in FY 2022:	0
Total number of violations with civil penalties initially assessed in FY 2022:	0
Total initial amount of civil penalty assessed in FY 2022:	\$0
Number of civil penalty cases closed in FY 2022:	0
Total number of violations in cases closed in FY 2022:	0
Total initial amount of civil penalty assessed for cases closed in FY 2022:	\$0
Total final amount of civil penalty assessed (or settlement) for cases closed in FY 2022:	\$0
Amount terminated (generally due to legal defenses presented during settlement negotiations) for cases closed in FY 2022:	\$0
Amount of revised assessment (PRCA) after terminations:	\$0
Difference between revised civil penalty assessment (PRCA) and final civil penalty assessment for cases closed in FY 2022:	\$0
Difference between initial amount of civil penalty assessed (POCA) and final settlement amount for a violation in a case closed in FY 2022:	\$0

B. OTHER ENFORCEMENT ACTIONS AGAINST INDIVIDUALS IN THE AGGREGATE

Number of notices of proposed disqualification issued and served in FY 2022:	10
Number of proposed disqualification cases closed in FY 2022:	8
Number of warning letters issued by Office of the Chief Counsel in FY 2022:	1

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

In 2008, FRA was statutorily mandated to commission a report by an independent consultant examining FRA’s approach to achieving industry compliance with the Federal railroad safety laws and the hazmat transportation safety laws and their implementing regulations, and the role of civil penalties in that process.¹⁴ The final report, dated July 15, 2009, was entitled, “The Federal Railroad Administration’s Use of Civil Penalties in the Federal Railroad Safety Program.” This report concludes on page 13 that—

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

FRA’s exercise of the statutory authority to compromise civil penalty assessments serves the purpose of encouraging compliance by ensuring that the enforcement process is proportional in those cases [in which FRA assesses penalties]. [Using] the enforcement hand, seen (as in the case of civil penalty assessments) or unseen (as during FRA inspectors’ daily interactions with railroad personnel regarding safety issues), as consistently as possible across the railroad industry . . . results in a rational, effective safety program.

As the independent consultant noted, FRA has long sought to determine whether enforcement actions measurably correlate with the imposition of civil penalties and with specific safety performance improvements. While the available data permits some measurement of safety improvements in a functional area covered by an entire rule or an entire safety program, the data cannot be used to determine whether detectable safety improvements are directly attributable to discrete civil penalties.¹⁵ 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 issuing civil penalties yields observable improvements in safety practices and compliance with the law. However, it is important to note that civil penalties are not FRA’s only enforcement tool.

Thus, while FRA cannot precisely quantify the impact of civil penalties, it carefully monitors railroad reactions and responses to enforcement activity, and adjusts the intensity and duration of focused oversight as necessary. FRA compiles and analyzes a vast amount of data derived from reports the regulated railroads prepare and file with FRA. However, the independent consultant’s report submitted to Congress found that the data FRA uses to identify and track safety trends is typically developed separately from regulatory provisions that ameliorate the conditions leading to particular accident causes that have civil penalties associated with them. Results of this

¹⁴ Consolidated Appropriations Act, 2008 (H.R. 2764; Public Law 110-161), House Appropriations Committee Print, Division K—Transportation, Housing and Urban Development, and Related Agencies Appropriations Act, 2008, Explanatory Statement, at 2367.

¹⁵ The Federal Railroad Administration’s Use of Civil Penalties in the Federal Railroad Safety Program (July 15, 2009) at 40-41.

research found no meaningful correlation between specific accident cause codes and use of a civil penalty to enforce a specific regulatory provision, making statistically valid and reliable comparisons exceedingly difficult and statistically suspect or grossly inaccurate.

In addition, examining FRA's civil penalty enforcement in a vacuum, without considering the numerous other factors influencing positive safety outcomes, such as railroad management and individual rail worker behavior and activity, is not possible. One must consider FRA's regulatory regime as a whole instead of as its component parts. Specific regulatory provisions can complement one another to minimize or prevent conditions that contribute to an accident. However, the complexity of the regulatory scheme may conceal the magnitude of any one regulatory provision's contribution to the positive safety outcome. As stated in the independent consultant's report on page 41—

[o]ne fruitful way to take a holistic view of the effects of the safety program is to look at accident rates over the long term. Rates, which are normalized by million train miles traveled, more reliably indicate the true state of railroad safety than do raw accident numbers. As FRA began to promulgate the first versions of major rules such as track safety standards and power brakes in the 1970's, the adverse trend in railroad safety was slowed and then sharply reversed. There are few sharp lines of demarcation because railroads and shippers often began to modify their behavior during the rulemaking process; a new safety rule typically takes effect a considerable time after it is issued; and enforcement can occur only after the effective date of the rule.

VI. SUMMARY AND ANALYSIS OF OPERATING CREW CERTIFICATION CASES

A. OPERATING CREW REVIEW BOARD (OCRB)

Petitions for relief filed with the OCRB in FY 2022: [16 Conductor + 19 Locomotive Engineer]	35
Decisions issued by the OCRB in FY 2022: [8 Conductor + 10 Locomotive Engineer] [5 Conductor + 2 Locomotive Engineer petitions were withdrawn]	18
Average length of time for decision in FY 2022:	317 days from the date petition filed ¹⁶ (184 days from the date of the railroad's response to the appeal to the date that a decision was issued ¹⁷)

B. ADMINISTRATIVE HEARINGS

Number of pending cases before the Administrative Hearing Officer (AHO) as of October 1, 2021:	1
Number of requests for review by the AHO received during FY 2022:	1
Number of cases closed by the AHO during FY 2022: ¹⁸	0
Number of pending AHO cases as of October 1, 2022:	2
Average length of time for decision or other disposition:	N/A

C. APPEALS TO THE ADMINISTRATOR

Appeals to the Administrator from the AHO decisions filed in FY 2022:	0
Number of Appeals Pending during FY 2022: (as of October 1, 2022, there were 2 cases pending)	2
Decisions issued by the Administrator during FY 2022:	0
Average length of time for decision issued in FY 2022: (from close of record to decision)	N/A

¹⁶ The OCRB endeavors to render a decision on each petition within 180 days from the date that the railroad's response is received or from the date upon which the railroad's response period has lapsed, which equates to 240 days from the date the petition is filed. This excludes any delay issuing an interim order may cause, where one or more of the parties initially provided incomplete information. Due to requests granted through emergency waivers, each railroad is allowed an additional 60 days to file its response, and thus the OCRB's goals for rendering a decision during most of this period equate to 300 days from the date the petition is filed.

¹⁷ See preceding footnote.

¹⁸ The number of cases the AHO closed includes cases closed by decision, stipulation, or dismissal.

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

Number of hearings requested in FY 2022: 2

Number of hearing-request cases completed in FY 2022: 1

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

Number of cases referred to the Attorney General for civil enforcement in FY 2022: 0

Number of cases referred to the Attorney General for criminal enforcement in FY 2022: 0

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

FRA issued no compliance orders, emergency orders, or precursor agreements in FY 2022.

APPENDIX A
“Railroad Safety Civil Penalty Cases Closed during Fiscal Year
2022”

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

**RAILROAD SAFETY CIVIL PENALTY CASES
CLOSED DURING FISCAL YEAR 2022**

This report summarizes the disposition of all civil penalty cases for which the Federal Railroad Administration (FRA) reached an agreement to collect a civil penalty, issued an order requiring the payment of a civil penalty, or otherwise closed under the Federal railroad safety statutes and regulations the hazardous materials transportation laws (HMT) during fiscal year 2022. FRA closed cases under most of these statutes by settlement, and under the HMT generally by final orders of assessment. Total penalty settlements and final assessments against companies, summarized in this report, were as follows:

Railroad safety statutes (except HMT)	\$9,470,107
HMT	\$4,682,426
	<hr/>
Total Civil Penalties	\$14,152,533

FRA collected no civil penalty settlements or final assessments from individuals for alleged violations of the railroad safety laws.

The Federal Railroad Safety Statutes and Regulations

In the 1890s, Congress began regulating the railroad industry for safety purposes by enacting narrowly drawn laws to deal with discrete rail safety issues such as safety appliances and locomotive inspection. Having determined the need for more comprehensive regulation, Congress enacted the Federal Railroad Safety Act of 1970 (FRSA), which granted rulemaking authority over "all areas of railroad safety . . ." FRA has exercised this authority by issuing a wide variety of rail safety regulations. See Parts 209 through 244, 270 through 272, and 299 of Title 49 of the Code of Federal Regulations. Civil penalties are an important means of enforcing those regulations and the safety statutes.

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

The Civil Penalty Process

To promote safety compliance, FRA inspectors and participating States submit reports alleging violations of Federal safety and HMT laws and regulations to the Office of Safety Law of the Office of the Chief Counsel. This Office reviews the reports for legal sufficiency, aggregates those of one type containing one or more alleged violations into a single case, assesses a penalty for each alleged violation, and transmits the case to the railroad, shipper, individual, or other entity in a penalty demand letter or, if an HMT case, a Notice of Probable Violation. After a respondent in such a case has conducted its own investigation, and unless the respondent pays the full amount of the initial assessment, negotiations are held, during which the respondent presents defenses or arguments for mitigation and offers of settlement or final assessment are exchanged. In these negotiations, FRA focuses on applying the statutory assessment criteria to the facts of each case. When an agreement is reached, payment is generally due within 30 days of its execution. A more detailed statement of this process and FRA's enforcement policies are included in 49 CFR Part 209, Appendix A. Where settlement cannot be reached, FRA may refer cases to the Department of Justice for litigation. The Attorney General, with FRA's active participation, may bring suit to enforce the penalty assessed in the appropriate Federal court.

HMT cases are normally concluded by FRA issuing an order of assessment predicated on a finding of a knowing violation. If an HMT case is not resolved informally, a respondent may request a formal hearing on FRA's allegations before a hearing officer designated by the Chief Counsel and then appeal an adverse decision to the Administrator of FRA before judicial litigation.

FRA ordinarily closes the vast majority of its civil penalty cases without need for litigation, consistent with the rail safety statutory scheme that promotes compromise based on specified settlement criteria. The negotiation process takes into account the strengths and weaknesses of each case and the overall goals of the safety program. We believe that collection of these penalties, while just one of many compliance tools FRA uses, contributes significantly to improving regulatory compliance and achieving safety program goals.

John T. Seguin
Assistant Chief Counsel for Safety

Abbreviations and Explanations of Terms Used in this Report

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

AD	Alcohol and Drug Use
AR	Accident Reports Regulations
BSS	Bridge Safety Standards
BW	Bridge Worker Safety Standards
CC	Conductor Certification Regulations
CIS	Critical Incident Stress
EP	Railroad Safety Enforcement
EQ	Engineer Qualifications
FCS	Freight Car Safety Standards
GC	Grade Crossing Signal Safety
GS	Safety Glazing Standards
HMT	Hazardous Materials Regulations
HS	Hours of Service Laws
HSR	Hours of Service Record Keeping
LI	Locomotive Safety Standards
PEP	Passenger Train Emergency Preparedness
PEQ	Passenger Equipment Safety Standards
RMM	Roadway Maintenance Machines
ROP	Railroad Operating Practices
ROR	Railroad Operating Rules
RSP	Railroad Standard Procedures
RW	Roadway Worker Protection
SA	Safety Appliance Statutes
SI	Signal Inspection Regulations and Positive Train Control
TH	Train Horn/Quiet Zone
TS	Track Safety Standards

FRA identifies railroads and other respondents by a respondent code (see the legend provided at the end of this report), which appears as the letters in the case number after "FRA No.". FRA identifies hazardous materials and emergency order cases involving shippers by a respondent code beginning with the letter "Z". FRA identifies cases involving contractors by a respondent code beginning with the letter "X".

The column labeled "POCA" shows the initial penalty assessed in the case. The column labeled "PRCA" shows the total amount of the initial assessment for alleged violations that FRA concluded it would be able to sustain if the case were litigated. There are two situations when PRCA does not equal POCA. The first would be if FRA concluded one or more of the violations initially alleged could likely not be sustained. FRA considers such violations "terminated." The second would be if FRA determined the violation could be sustained but the initial penalty assessment for the violation was incorrect. For such cases, FRA corrects the penalty amount and the violations are considered "partially terminated."

Cases against individuals (who are liable for civil penalties for willful violations) are identified by the prefix "Indpen" and are listed separately. The "Comments" column shows the violation number of terminated or partially terminated violations.

**FRA Civil Penalty Cases against Individuals
Closed in Fiscal Year 2022**

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

Federal Railroad Administration
Safety Cases Closed in FY 2022

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
3MCZ 2020-001(HMT)	2	\$4,000	\$4,000	\$3,000	3/8/2022	
3MCZ 2020-002(HMT)	1	\$2,000	\$2,000	\$1,500	3/8/2022	
3MCZ 2021-001(HMT)	1	\$2,000	\$2,000	\$900	3/10/2022	
ABCX 2021-001(HMT)	1	\$2,500	\$2,500	\$2,500	3/18/2022	
AGR 2019-002(HSR)	1	\$2,000	\$2,000	\$1,500	9/28/2022	
AGR 2021-004(HMT)	1	\$10,000	\$10,000	\$7,800	9/28/2022	
AGR 2021-005(HMT)	1	\$5,000	\$5,000	\$4,000	9/28/2022	
AGR 2021-006(SA)	1	\$2,500	\$2,500	\$1,800	9/28/2022	
AKDN 2020-001(AD)	1	\$2,500	\$2,500	\$2,500	11/19/2021	
AKDN 2021-001(BSS)	1	\$9,500	\$9,500	\$9,500	8/29/2022	
ALE 2021-011(RSP)	1	\$9,500	\$9,500	\$8,075	12/2/2021	
ALE 2021-012(ROP)	1	\$7,500	\$7,500	\$6,375	12/2/2021	
ALE 2022-001(RW)	7	\$20,000	\$20,000	\$15,000	4/8/2022	
ALS 2020-017(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
ALS 2020-019(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
ALS 2020-021(HS)	1	\$1,000	\$1,000	\$892	9/30/2022	
ALS 2020-023(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
ALS 2020-024(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
ALS 2020-025(HS)	1	\$1,000	\$1,000	\$892	9/30/2022	
ALS 2020-026(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
ALS 2020-027(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
ALS 2020-028(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
ALS 2021-001(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
ALS 2021-002(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
ALS 2021-003(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
ALS 2021-004(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
ALS 2021-005(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
ALS 2021-006(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
ALS 2021-007(LI)	1	\$1,500	\$1,500	\$1,080	9/30/2022	
ALS 2021-009(AD)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
ALS 2021-010(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
ALS 2021-012(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
ALS 2021-013(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
ALS 2022-004(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
ALS 2022-006(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
AM 2021-002(EQ)	1	\$2,500	\$2,500	\$1,368	12/1/2021	
AM 2021-003(EQ)	1	\$2,500	\$2,500	\$1,368	12/1/2021	
AM 2021-004(EQ)	1	\$2,500	\$2,500	\$1,369	12/1/2021	
AM 2021-005(EQ)	1	\$1,000	\$1,000	\$920	12/1/2021	
AM 2021-006(EQ)	1	\$1,000	\$1,000	\$920	12/1/2021	
AM 2021-007(CC)	1	\$15,000	\$15,000	\$8,250	12/1/2021	
AM 2021-008(CC)	1	\$10,000	\$10,000	\$5,500	12/1/2021	
AM 2021-009(FCS)	1	\$5,000	\$5,000	\$2,500	11/9/2021	
AM 2022-001(ROP)	1	\$2,000	\$2,000	\$1,000	8/1/2022	
AM 2022-002(ROP)	1	\$7,500	\$7,500	\$3,750	8/1/2022	
AR 2021-001(AD)	1	\$2,500	\$2,500	\$2,500	12/9/2021	
ATK 2021-004(RW)	1	\$3,000	\$3,000	\$2,300	9/28/2022	
ATK 2021-005(RW)	1	\$2,000	\$2,000	\$1,600	9/28/2022	
ATK 2021-006(ROP)	1	\$7,500	\$7,500	\$5,850	9/28/2022	
ATK 2021-007(HSR)	1	\$1,000	\$1,000	\$950	9/28/2022	
ATK 2021-008(HSR)	1	\$1,000	\$1,000	\$950	9/28/2022	
ATK 2021-009(RW)	1	\$3,000	\$3,000	\$2,300	9/28/2022	
ATK 2021-010(SA)	1	\$2,500	\$2,500	\$1,950	9/28/2022	
ATK 2021-011(ROP)	1	\$7,500	\$7,500	\$5,800	9/28/2022	
ATK 2022-001(ROP)	1	\$7,500	\$7,500	\$5,800	9/28/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
ATK 2022-002(ROP)	1	\$5,000	\$5,000	\$3,900	9/28/2022	
ATK 2022-003(HS)	1	\$1,500	\$1,500	\$1,200	9/28/2022	
ATK 2022-004(HS)	1	\$1,500	\$1,500	\$1,200	9/28/2022	
ATK 2022-005(LI)	1	\$1,500	\$1,500	\$1,000	9/28/2022	
ATLQ 2022-001(HMT)	1	\$2,000	\$2,000	\$2,000	9/9/2022	
ATLR 2021-001(TS)	1	\$7,000	\$7,000	\$908	1/17/2022	
ATN 2021-001(RMM)	1	\$10,000	\$10,000	\$6,500	5/9/2022	
ATN 2022-001(TS)	1	\$1,000	\$1,000	\$919	5/9/2022	
ATN 2022-002(TS)	3	\$3,000	\$3,000	\$2,757	4/4/2022	
ATN 2022-003(TS)	1	\$5,000	\$5,000	\$3,150	4/4/2022	
ATN 2022-004(ROP)	1	\$2,000	\$2,000	\$1,260	4/4/2022	
AWRR 2021-001(TS)	2	\$7,500	\$7,500	\$5,000	9/29/2022	
AZCR 2020-001(SA)	1	\$5,000	\$5,000	\$3,000	11/5/2021	
AZER 2021-003(SA)	1	\$2,500	\$2,500	\$1,750	9/28/2022	
BB 2021-001(TS)	1	\$2,500	\$2,500	\$1,500	2/15/2022	
BDRV 2019-001(AD)	1	\$2,500	\$2,500	\$1,900	4/18/2022	
BDRV 2019-002(AD)	1	\$3,000	\$3,000	\$2,250	4/18/2022	
BDW 2021-001(HMT)	1	\$5,000	\$5,000	\$3,500	2/23/2022	
BHTQ 2020-001(HMT)	1	\$10,000	\$10,000	\$10,000	4/29/2022	
BIP 2021-001(HMT)	4	\$33,500	\$33,500	\$20,000	3/23/2022	
BIP 2021-002(HMT)	2	\$9,000	\$9,000	\$7,500	3/23/2022	
BJRY 2020-001(AD)	1	\$5,000	\$5,000	\$5,000	3/8/2022	
BLU 2021-002(GC)	1	\$2,500	\$2,500	\$2,000	9/29/2022	
BM 2021-001(GC)	1	\$5,000	\$5,000	\$4,000	9/27/2022	
BM 2021-002(TS)	1	\$5,000	\$5,000	\$4,250	9/27/2022	
BM 2022-001(TS)	1	\$5,000	\$5,000	\$4,250	9/27/2022	
BNSF 2017-639(HSR)	1	\$1,000	\$1,000	\$853	9/30/2022	
BNSF 2017-710(HSR)	1	\$1,000	\$1,000	\$853	9/30/2022	
BNSF 2018-439(ROP)	1	\$2,000	\$2,000	\$1,460	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
BNSF 2018-647(AD)	1	\$17,500	\$17,500	\$6,650	9/30/2022	
BNSF 2018-654(AD)	1	\$2,500	\$2,500	\$950	9/30/2022	
BNSF 2018-655(AD)	1	\$2,500	\$2,500	\$950	9/30/2022	
BNSF 2018-659(AD)	1	\$2,500	\$2,500	\$950	9/30/2022	
BNSF 2019-061(AD)	1	\$10,000	\$10,000	\$3,800	9/30/2022	
BNSF 2019-065(AD)	1	\$5,000	\$5,000	\$1,900	9/30/2022	
BNSF 2019-081(AD)	1	\$5,000	\$5,000	\$1,900	9/30/2022	
BNSF 2019-085(AD)	1	\$7,500	\$7,500	\$2,850	9/30/2022	
BNSF 2019-089(AD)	1	\$2,500	\$2,500	\$950	9/30/2022	
BNSF 2019-093(AD)	1	\$5,000	\$5,000	\$1,900	9/30/2022	
BNSF 2019-378(HMT)	2	\$10,000	\$10,000	\$7,300	9/30/2022	
BNSF 2019-433(HMT)	1	\$25,000	\$25,000	\$25,000	9/30/2022	
BNSF 2019-483(AR)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2019-488(AR)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2019-512(AR)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2019-547(HMT)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2020-012(EP)	1	\$1,000	\$1,000	\$892	9/30/2022	
BNSF 2020-047(HMT)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2020-052(HMT)	1	\$4,000	\$4,000	\$2,920	9/30/2022	
BNSF 2020-057(HMT)	1	\$7,500	\$7,500	\$5,475	9/30/2022	
BNSF 2020-077(AR)	1	\$1,000	\$1,000	\$1,000	9/30/2022	
BNSF 2020-102(HMT)	1	\$7,500	\$7,500	\$5,475	9/30/2022	
BNSF 2020-142(HMT)	1	\$5,000	\$5,000	\$3,825	9/30/2022	
BNSF 2020-157(LI)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2020-167(ROP)	1	\$2,000	\$2,000	\$1,460	9/30/2022	
BNSF 2020-172(RW)	1	\$6,000	\$6,000	\$4,380	9/30/2022	
BNSF 2020-182(TS)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2020-192(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2020-197(TS)	1	\$2,500	\$2,500	\$1,913	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
BNSF 2020-202(LI)	2	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2020-207(ROP)	1	\$9,500	\$9,500	\$6,935	9/30/2022	
BNSF 2020-222(ROP)	1	\$7,500	\$7,500	\$5,475	9/30/2022	
BNSF 2020-227(LI)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2020-242(FCS)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2020-252(ROP)	1	\$2,000	\$2,000	\$1,460	9/30/2022	
BNSF 2020-267(TS)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2020-287(ROP)	1	\$2,000	\$2,000	\$1,460	9/30/2022	
BNSF 2020-307(TS)	1	\$7,500	\$7,500	\$5,738	9/30/2022	
BNSF 2020-318(HMT)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2020-322(HMT)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2020-327(RW)	1	\$3,000	\$3,000	\$2,280	9/30/2022	
BNSF 2020-328(RW)	1	\$3,000	\$3,000	\$2,280	9/30/2022	
BNSF 2020-337(ROP)	1	\$9,500	\$9,500	\$6,935	9/30/2022	
BNSF 2020-342(ROP)	1	\$2,000	\$2,000	\$1,460	9/30/2022	
BNSF 2020-361(FCS)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2020-371(AR)	1	\$1,000	\$1,000	\$1,000	9/30/2022	
BNSF 2020-374(ROP)	1	\$7,500	\$7,500	\$5,475	9/30/2022	
BNSF 2020-377(ROP)	1	\$7,500	\$7,500	\$6,350	9/30/2022	
BNSF 2020-389(HMT)	1	\$3,500	\$3,500	\$2,555	9/30/2022	
BNSF 2020-390(ROP)	1	\$9,500	\$9,500	\$6,935	9/30/2022	
BNSF 2020-391(ROP)	1	\$5,000	\$0	\$0	9/30/2022	Case Terminated
BNSF 2020-393(FCS)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2020-396(HS)	1	\$2,000	\$2,000	\$1,784	9/30/2022	
BNSF 2020-399(ROP)	1	\$9,500	\$9,500	\$6,935	9/30/2022	
BNSF 2020-401(ROP)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2020-404(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2020-405(LI)	1	\$1,000	\$1,000	\$892	9/30/2022	
BNSF 2020-406(ROP)	1	\$7,500	\$7,500	\$3,750	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
BNSF 2020-410(LI)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2020-411(LI)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2020-420(ROP)	1	\$2,000	\$2,000	\$1,460	9/30/2022	
BNSF 2020-425(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2020-426(GC)	1	\$5,000	\$5,000	\$4,000	9/30/2022	
BNSF 2020-430(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2020-431(LI)	1	\$1,500	\$1,500	\$1,095	9/30/2022	
BNSF 2020-435(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2020-436(RW)	1	\$2,000	\$2,000	\$1,460	9/30/2022	
BNSF 2020-439(RSP)	1	\$1,000	\$1,000	\$892	9/30/2022	
BNSF 2020-443(CC)	1	\$7,500	\$7,500	\$5,475	9/30/2022	
BNSF 2020-444(TS)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2020-449(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2020-454(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2020-459(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2020-464(FCS)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2020-469(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2020-474(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2020-480(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-001(HMT)	1	\$2,000	\$2,000	\$1,460	9/30/2022	
BNSF 2021-005(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-006(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-010(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-011(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-015(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-016(LI)	1	\$1,000	\$1,000	\$892	9/30/2022	
BNSF 2021-020(ROP)	1	\$2,000	\$2,000	\$1,460	9/30/2022	
BNSF 2021-021(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-025(ROP)	1	\$2,000	\$2,000	\$1,460	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
BNSF 2021-026(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-030(HS)	1	\$2,000	\$2,000	\$1,784	9/30/2022	
BNSF 2021-031(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-034(TS)	2	\$6,000	\$6,000	\$4,542	9/30/2022	
BNSF 2021-035(TS)	1	\$2,500	\$2,500	\$1,913	9/30/2022	
BNSF 2021-036(FCS)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-040(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-041(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-044(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-046(LI)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-049(ROP)	1	\$2,000	\$2,000	\$1,460	9/30/2022	
BNSF 2021-050(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-051(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-054(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-055(LI)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-056(LI)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-059(ROP)	1	\$2,000	\$2,000	\$1,460	9/30/2022	
BNSF 2021-060(HS)	1	\$1,000	\$1,000	\$908	9/30/2022	
BNSF 2021-061(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
BNSF 2021-064(TS)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-065(HS)	1	\$2,000	\$2,000	\$1,784	9/30/2022	
BNSF 2021-066(HSR)	1	\$2,000	\$2,000	\$1,784	9/30/2022	
BNSF 2021-069(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-070(HMT)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-071(LI)	1	\$1,000	\$1,000	\$892	9/30/2022	
BNSF 2021-074(GC)	1	\$5,000	\$5,000	\$4,000	9/30/2022	
BNSF 2021-075(SI)	1	\$5,000	\$5,000	\$4,000	9/30/2022	
BNSF 2021-076(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-079(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
BNSF 2021-080(FCS)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-084(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-085(LI)	1	\$1,000	\$1,000	\$892	9/30/2022	
BNSF 2021-086(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-089(LI)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-090(LI)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-091(ROP)	1	\$2,000	\$2,000	\$1,460	9/30/2022	
BNSF 2021-093(LI)	1	\$10,000	\$5,000	\$5,000	9/30/2022	Terminated Violations: 1
BNSF 2021-094(TS)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-097(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-098(SA)	1	\$10,000	\$10,000	\$7,300	9/30/2022	
BNSF 2021-099(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-102(HS)	1	\$2,000	\$2,000	\$1,784	9/30/2022	
BNSF 2021-103(HS)	1	\$2,000	\$2,000	\$1,784	9/30/2022	
BNSF 2021-104(ROP)	1	\$7,500	\$7,500	\$5,475	9/30/2022	
BNSF 2021-107(LI)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-109(ROP)	1	\$2,000	\$2,000	\$1,460	9/30/2022	
BNSF 2021-110(FCS)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-112(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-113(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-115(HS)	1	\$2,000	\$2,000	\$1,784	9/30/2022	
BNSF 2021-118(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-119(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-121(HS)	1	\$1,000	\$1,000	\$908	9/30/2022	
BNSF 2021-123(HS)	1	\$1,000	\$1,000	\$908	9/30/2022	
BNSF 2021-125(HS)	1	\$1,000	\$1,000	\$908	9/30/2022	
BNSF 2021-126(HS)	1	\$1,000	\$1,000	\$908	9/30/2022	
BNSF 2021-127(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
BNSF 2021-128(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
BNSF 2021-129(HS)	1	\$1,000	\$1,000	\$908	9/30/2022	
BNSF 2021-130(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
BNSF 2021-131(HS)	2	\$2,000	\$2,000	\$1,816	9/30/2022	
BNSF 2021-132(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-133(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-135(HS)	1	\$1,000	\$1,000	\$908	9/30/2022	
BNSF 2021-136(HS)	1	\$1,000	\$1,000	\$892	9/30/2022	
BNSF 2021-137(HS)	1	\$1,000	\$1,000	\$908	9/30/2022	
BNSF 2021-140(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
BNSF 2021-141(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
BNSF 2021-142(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-145(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
BNSF 2021-146(HSR)	1	\$2,000	\$2,000	\$1,784	9/30/2022	
BNSF 2021-147(HS)	1	\$1,000	\$1,000	\$908	9/30/2022	
BNSF 2021-150(HS)	1	\$1,000	\$1,000	\$908	9/30/2022	
BNSF 2021-151(HS)	1	\$1,000	\$1,000	\$892	9/30/2022	
BNSF 2021-152(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
BNSF 2021-154(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-155(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-156(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-157(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-158(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
BNSF 2021-159(GC)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-160(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-161(ROP)	1	\$7,500	\$7,500	\$5,475	9/30/2022	
BNSF 2021-162(HS)	1	\$2,000	\$2,000	\$1,784	9/30/2022	
BNSF 2021-163(ROP)	1	\$2,000	\$2,000	\$1,460	9/30/2022	
BNSF 2021-164(ROP)	1	\$7,500	\$7,500	\$5,475	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
BNSF 2021-165(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-166(LI)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-167(LI)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-168(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-171(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-172(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-173(HS)	1	\$1,000	\$1,000	\$908	9/30/2022	
BNSF 2021-174(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
BNSF 2021-175(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
BNSF 2021-176(HSR)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
BNSF 2021-177(LI)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-178(ROP)	1	\$7,500	\$7,500	\$908	9/30/2022	
BNSF 2021-179(ROP)	1	\$7,500	\$7,500	\$5,475	9/30/2022	
BNSF 2021-180(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
BNSF 2021-181(HMT)	1	\$2,000	\$2,000	\$1,460	9/30/2022	
BNSF 2021-182(TS)	1	\$1,000	\$1,000	\$908	9/30/2022	
BNSF 2021-183(ROP)	1	\$2,000	\$2,000	\$1,460	9/30/2022	
BNSF 2021-184(FCS)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-185(LI)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-186(LI)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-187(FCS)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-188(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-190(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
BNSF 2021-192(RSP)	1	\$9,500	\$5,500	\$4,750	9/30/2022	Terminated Violations: 1
BNSF 2021-193(ROP)	1	\$9,500	\$9,500	\$6,935	9/30/2022	
BNSF 2021-194(LI)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-195(HMT)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-196(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
BNSF 2021-197(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-198(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
BNSF 2021-199(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
BNSF 2021-200(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
BNSF 2021-201(HMT)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-202(FCS)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-203(SA)	1	\$7,500	\$7,500	\$5,475	9/30/2022	
BNSF 2021-204(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-205(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-206(RW)	1	\$3,000	\$3,000	\$2,280	9/30/2022	
BNSF 2021-207(TS)	1	\$3,000	\$3,000	\$2,724	9/30/2022	
BNSF 2021-209(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-210(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
BNSF 2021-211(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
BNSF 2021-212(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
BNSF 2021-213(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-214(TS)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-215(TS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
BNSF 2021-216(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2021-217(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-218(FCS)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-219(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-220(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-221(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
BNSF 2021-222(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
BNSF 2021-223(HSR)	1	\$4,000	\$4,000	\$3,632	9/30/2022	
BNSF 2021-224(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-225(HMT)	1	\$2,000	\$2,000	\$1,460	9/30/2022	
BNSF 2021-226(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
BNSF 2021-227(LI)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-228(ROP)	1	\$4,000	\$4,000	\$2,920	9/30/2022	
BNSF 2021-229(TH)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-230(HS)	1	\$3,000	\$3,000	\$2,757	9/30/2022	
BNSF 2021-231(ROP)	1	\$7,500	\$7,500	\$5,475	9/30/2022	
BNSF 2021-232(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-233(TS)	1	\$2,500	\$2,500	\$1,913	9/30/2022	
BNSF 2021-234(TS)	1	\$2,500	\$2,500	\$1,913	9/30/2022	
BNSF 2021-235(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-236(HS)	1	\$3,000	\$3,000	\$2,757	9/30/2022	
BNSF 2021-237(ROP)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-238(LI)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-239(FCS)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-240(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2021-241(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2021-242(TS)	1	\$12,000	\$12,000	\$11,028	9/30/2022	
BNSF 2021-243(ROP)	1	\$7,500	\$7,500	\$5,475	9/30/2022	
BNSF 2021-244(ROP)	1	\$7,500	\$7,500	\$5,475	9/30/2022	
BNSF 2021-245(TS)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-246(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-247(GC)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-248(TS)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-249(ROP)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-250(TS)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-251(FCS)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-252(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-254(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-255(ROP)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-256(LI)	1	\$2,500	\$2,500	\$1,825	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
BNSF 2021-257(LI)	2	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-258(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2021-259(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2021-261(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2021-262(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2021-263(ROP)	1	\$7,500	\$7,500	\$5,475	9/30/2022	
BNSF 2021-264(ROP)	1	\$9,500	\$9,500	\$6,935	9/30/2022	
BNSF 2021-265(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2021-266(ROP)	1	\$9,500	\$9,500	\$6,935	9/30/2022	
BNSF 2021-267(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2021-268(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-269(TS)	1	\$10,000	\$10,000	\$7,300	9/30/2022	
BNSF 2021-270(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-271(ROP)	1	\$2,000	\$2,000	\$1,460	9/30/2022	
BNSF 2021-272(TS)	2	\$7,500	\$5,000	\$3,650	9/30/2022	
BNSF 2021-273(LI)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-274(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-275(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2021-276(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2021-277(TS)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-278(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2021-280(LI)	1	\$1,500	\$1,500	\$1,095	9/30/2022	
BNSF 2021-281(LI)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-282(LI)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-284(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2021-285(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-286(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-287(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-288(TS)	3	\$12,500	\$12,500	\$9,125	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
BNSF 2021-289(FCS)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-290(TS)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-291(TS)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
BNSF 2021-292(TS)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-293(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-294(TS)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-295(TS)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-296(LI)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-297(LI)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-299(ROP)	1	\$2,000	\$2,000	\$1,460	9/30/2022	
BNSF 2021-300(SI)	1	\$1,000	\$1,000	\$919	9/30/2022	
BNSF 2021-301(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-302(ROP)	1	\$9,500	\$9,500	\$6,935	9/30/2022	
BNSF 2021-303(ROP)	1	\$7,500	\$7,500	\$5,475	9/30/2022	
BNSF 2021-304(HMT)	1	\$2,000	\$2,000	\$1,460	9/30/2022	
BNSF 2021-305(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
BNSF 2021-306(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
BNSF 2021-307(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
BNSF 2021-308(HS)	1	\$2,000	\$2,000	\$1,784	9/30/2022	
BNSF 2021-309(ROP)	1	\$9,500	\$9,500	\$6,935	9/30/2022	
BNSF 2021-310(ROP)	1	\$7,500	\$7,500	\$5,475	9/30/2022	
BNSF 2021-311(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2021-312(HSR)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2021-313(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2021-314(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2021-315(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
BNSF 2021-316(ROP)	1	\$7,500	\$7,500	\$5,475	9/30/2022	
BNSF 2021-317(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2021-318(ROP)	1	\$7,500	\$7,500	\$5,475	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
BNSF 2021-319(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2021-320(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2021-321(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-322(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-323(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2021-324(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2021-325(TS)	1	\$10,000	\$10,000	\$7,300	9/30/2022	
BNSF 2021-326(ROP)	1	\$9,500	\$9,500	\$6,935	9/30/2022	
BNSF 2021-327(TS)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-328(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2021-329(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-330(FCS)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-331(FCS)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-332(FCS)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-333(FCS)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-334(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-335(TS)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-336(TS)	1	\$2,500	\$2,500	\$1,913	9/30/2022	
BNSF 2021-337(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2021-338(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-339(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2021-340(HS)	1	\$1,000	\$1,000	\$919	9/30/2022	
BNSF 2021-341(HSR)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2021-342(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2021-343(LI)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-344(FCS)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-345(FCS)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-346(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	

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BNSF 2021-347(SA)	1	\$5,000	\$2,500	\$2,500	9/30/2022	Terminated Violations: 1
BNSF 2021-348(SA)	1	\$9,500	\$0	\$0	9/30/2022	Case Terminated
BNSF 2021-349(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-350(ROP)	1	\$9,500	\$9,500	\$6,935	9/30/2022	
BNSF 2021-351(LI)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-352(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2021-354(HS)	1	\$1,000	\$0	\$0	9/30/2022	Case Terminated
BNSF 2021-355(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-356(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-357(TS)	1	\$1,000	\$1,000	\$919	9/30/2022	
BNSF 2021-358(LI)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-359(ROP)	1	\$7,500	\$7,500	\$5,475	9/30/2022	
BNSF 2021-360(AR)	1	\$1,000	\$1,000	\$1,000	9/30/2022	
BNSF 2021-364(SA)	1	\$5,000	\$5,000	\$5,000	9/30/2022	
BNSF 2021-365(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-366(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-367(LI)	1	\$2,000	\$2,000	\$1,460	9/30/2022	
BNSF 2021-368(ROP)	1	\$7,500	\$7,500	\$5,475	9/30/2022	
BNSF 2021-369(ROP)	1	\$7,500	\$7,500	\$5,475	9/30/2022	
BNSF 2021-370(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-371(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-373(ROP)	1	\$2,000	\$2,000	\$1,460	9/30/2022	
BNSF 2021-374(ROP)	1	\$2,000	\$2,000	\$1,460	9/30/2022	
BNSF 2021-375(FCS)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-376(SA)	1	\$5,000	\$5,000	\$3,825	9/30/2022	
BNSF 2021-377(SA)	1	\$5,000	\$5,000	\$3,825	9/30/2022	
BNSF 2021-378(FCS)	1	\$5,000	\$5,000	\$3,650	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
BNSF 2021-379(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-380(FCS)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-381(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-382(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-383(TS)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-384(TS)	3	\$8,500	\$8,500	\$6,205	9/30/2022	
BNSF 2021-385(TS)	2	\$7,500	\$7,500	\$5,475	9/30/2022	
BNSF 2021-387(ROP)	1	\$2,000	\$2,000	\$1,460	9/30/2022	
BNSF 2021-388(ROP)	1	\$2,000	\$2,000	\$1,460	9/30/2022	
BNSF 2021-389(LI)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-390(LI)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-391(HS)	1	\$1,000	\$1,000	\$919	9/30/2022	
BNSF 2021-392(ROP)	1	\$15,000	\$15,000	\$10,950	9/30/2022	
BNSF 2021-393(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2021-394(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2021-395(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2021-396(HSR)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2021-397(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2021-398(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2021-399(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-400(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2021-401(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2021-403(FCS)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-404(FCS)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-405(FCS)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-406(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-407(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-408(FCS)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-409(FCS)	1	\$2,500	\$2,500	\$1,825	9/30/2022	

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BNSF 2021-410(ROP)	1	\$9,500	\$9,500	\$6,935	9/30/2022	
BNSF 2021-411(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-412(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2021-413(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-414(SI)	1	\$1,000	\$1,000	\$919	9/30/2022	
BNSF 2021-415(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2021-416(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-417(ROP)	1	\$2,000	\$2,000	\$1,460	9/30/2022	
BNSF 2021-418(ROP)	1	\$2,000	\$2,000	\$1,460	9/30/2022	
BNSF 2021-419(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2021-422(ROP)	1	\$7,500	\$7,500	\$5,475	9/30/2022	
BNSF 2021-423(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2021-424(ROP)	1	\$7,500	\$7,500	\$5,475	9/30/2022	
BNSF 2022-001(ROP)	1	\$2,000	\$2,000	\$1,460	9/30/2022	
BNSF 2022-002(ROP)	1	\$2,000	\$2,000	\$1,000	9/30/2022	
BNSF 2022-003(SA)	1	\$10,000	\$10,000	\$7,300	9/30/2022	
BNSF 2022-004(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2022-005(TS)	1	\$5,000	\$5,000	\$3,825	9/30/2022	
BNSF 2022-006(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2022-007(TS)	1	\$20,000	\$20,000	\$14,600	9/30/2022	
BNSF 2022-008(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2022-009(RW)	1	\$1,500	\$1,500	\$1,140	9/30/2022	
BNSF 2022-010(TS)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2022-012(ROP)	1	\$2,000	\$2,000	\$1,460	9/30/2022	
BNSF 2022-013(SI)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2022-014(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2022-015(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2022-016(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2022-017(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	

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BNSF 2022-018(LI)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2022-019(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2022-020(FCS)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2022-021(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2022-022(RSP)	1	\$9,500	\$5,500	\$4,750	9/30/2022	Terminated Violations: 1
BNSF 2022-023(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2022-024(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2022-025(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2022-026(HSR)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2022-027(ROP)	1	\$7,500	\$7,500	\$5,475	9/30/2022	
BNSF 2022-028(HSR)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2022-029(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2022-030(TS)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2022-031(TS)	1	\$1,000	\$1,000	\$919	9/30/2022	
BNSF 2022-032(TS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2022-033(HS)	1	\$1,000	\$1,000	\$919	9/30/2022	
BNSF 2022-034(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2022-035(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2022-037(HS)	1	\$3,000	\$3,000	\$2,757	9/30/2022	
BNSF 2022-038(HS)	1	\$1,000	\$1,000	\$919	9/30/2022	
BNSF 2022-039(FCS)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2022-040(ROP)	1	\$7,500	\$7,500	\$5,475	9/30/2022	
BNSF 2022-042(AD)	1	\$10,000	\$10,000	\$8,000	9/30/2022	
BNSF 2022-043(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2022-044(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2022-045(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2022-046(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2022-047(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
BNSF 2022-049(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2022-050(FCS)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2022-051(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2022-052(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2022-053(LI)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2022-054(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2022-055(FCS)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2022-056(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2022-057(FCS)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2022-058(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2022-059(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2022-060(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2022-061(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2022-062(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2022-063(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2022-064(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2022-065(LI)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2022-066(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2022-067(HMT)	2	\$13,500	\$13,500	\$9,855	9/30/2022	
BNSF 2022-068(FCS)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2022-069(LI)	1	\$2,000	\$2,000	\$1,460	9/30/2022	
BNSF 2022-070(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2022-071(LI)	1	\$2,000	\$2,000	\$1,460	9/30/2022	
BNSF 2022-074(FCS)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2022-075(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2022-076(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2022-077(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2022-078(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2022-080(FCS)	1	\$5,000	\$5,000	\$3,650	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
BNSF 2022-081(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2022-082(FCS)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2022-083(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2022-084(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2022-085(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2022-086(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2022-087(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2022-088(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2022-089(FCS)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2022-090(RSP)	1	\$9,500	\$5,500	\$4,750	9/30/2022	Terminated Violations: 1
BNSF 2022-091(ROP)	1	\$9,500	\$9,500	\$6,935	9/30/2022	
BNSF 2022-092(LI)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2022-098(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2022-099(ROP)	1	\$2,000	\$2,000	\$1,460	9/30/2022	
BNSF 2022-100(ROP)	1	\$2,000	\$2,000	\$1,460	9/30/2022	
BNSF 2022-101(ROP)	1	\$2,000	\$2,000	\$1,460	9/30/2022	
BNSF 2022-102(ROP)	1	\$2,000	\$2,000	\$1,460	9/30/2022	
BNSF 2022-103(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2022-105(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2022-106(FCS)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2022-107(ROP)	1	\$2,000	\$2,000	\$1,460	9/30/2022	
BNSF 2022-108(EQ)	1	\$1,000	\$0	\$0	9/30/2022	Case Terminated
BNSF 2022-110(EQ)	1	\$2,500	\$2,500	\$1,500	9/30/2022	
BNSF 2022-111(EQ)	1	\$7,500	\$0	\$0	9/30/2022	Case Terminated
BNSF 2022-112(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2022-114(TS)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2022-115(TS)	1	\$4,000	\$4,000	\$2,920	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
BNSF 2022-116(TS)	2	\$10,000	\$10,000	\$7,650	9/30/2022	
BNSF 2022-118(FCS)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2022-119(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2022-120(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2022-122(LI)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2022-124(TS)	1	\$2,500	\$2,500	\$1,500	9/30/2022	
BNSF 2022-126(LI)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2022-127(TS)	1	\$2,000	\$2,000	\$1,835	9/30/2022	
BNSF 2022-130(LI)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2022-131(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2022-134(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2022-136(TS)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSF 2022-137(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2022-138(HS)	1	\$2,000	\$2,000	\$1,825	9/30/2022	
BNSF 2022-139(HS)	1	\$3,000	\$3,000	\$2,757	9/30/2022	
BNSF 2022-141(HS)	1	\$3,000	\$3,000	\$2,757	9/30/2022	
BNSF 2022-142(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2022-143(HS)	1	\$3,000	\$3,000	\$2,757	9/30/2022	
BNSF 2022-144(HS)	1	\$1,000	\$1,000	\$919	9/30/2022	
BNSF 2022-145(ROP)	1	\$2,000	\$2,000	\$2,000	9/30/2022	
BNSF 2022-146(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2022-147(TS)	1	\$1,000	\$1,000	\$919	9/30/2022	
BNSF 2022-148(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
BNSF 2022-149(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2022-150(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
BNSF 2022-151(HS)	1	\$3,000	\$3,000	\$2,757	9/30/2022	
BNSF 2022-152(LI)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
BNSO 2020-004(AD)	1	\$10,000	\$10,000	\$8,000	9/30/2022	
BOCH 2021-001(HMT)	1	\$10,000	\$10,000	\$7,500	2/14/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
BPRR 2021-001(AD)	1	\$10,000	\$10,000	\$8,000	9/28/2022	
BRC 2019-024(AD)	1	\$2,500	\$2,500	\$1,850	4/25/2022	
BRC 2019-025(AD)	1	\$2,500	\$2,500	\$1,850	4/25/2022	
BRC 2019-026(AD)	1	\$2,500	\$2,500	\$1,850	4/25/2022	
BRC 2019-028(AD)	1	\$2,500	\$2,500	\$1,850	4/25/2022	
BRC 2020-016(FCS)	1	\$2,500	\$2,500	\$1,850	4/25/2022	
BRC 2020-017(SA)	1	\$2,500	\$2,500	\$1,850	4/25/2022	
BRC 2020-018(SA)	1	\$2,500	\$2,500	\$1,850	4/25/2022	
BRC 2020-019(FCS)	1	\$2,500	\$2,500	\$1,850	4/25/2022	
BRC 2020-020(SA)	1	\$2,500	\$2,500	\$1,850	4/25/2022	
BRC 2020-021(FCS)	1	\$2,500	\$2,500	\$1,850	4/25/2022	
BRC 2020-022(SA)	1	\$2,500	\$2,500	\$1,850	4/25/2022	
BRC 2020-023(SA)	1	\$2,500	\$2,500	\$1,850	4/25/2022	
BRC 2020-024(SA)	1	\$2,500	\$2,500	\$1,850	4/25/2022	
BRC 2020-025(HMT)	1	\$5,000	\$5,000	\$4,500	4/25/2022	
BRC 2020-026(FCS)	1	\$2,500	\$2,500	\$1,850	4/25/2022	
BRC 2020-027(SA)	1	\$2,500	\$2,500	\$2,000	4/25/2022	
BRC 2020-028(SA)	1	\$2,500	\$2,500	\$2,000	4/25/2022	
BRC 2020-029(SA)	1	\$2,500	\$2,500	\$1,850	4/25/2022	
BRC 2020-030(SA)	1	\$2,500	\$2,500	\$1,850	4/25/2022	
BRC 2020-034(SA)	1	\$2,500	\$2,500	\$1,850	4/25/2022	
BRC 2020-050(SA)	1	\$2,500	\$2,500	\$1,850	4/25/2022	
BRC 2020-051(SA)	1	\$2,500	\$2,500	\$1,850	4/25/2022	
BRC 2020-052(SA)	1	\$2,500	\$2,500	\$1,850	4/25/2022	
BRC 2020-053(SA)	1	\$5,000	\$5,000	\$3,500	4/25/2022	
BRC 2020-054(SA)	1	\$2,500	\$2,500	\$1,850	4/25/2022	
BRC 2020-055(SA)	1	\$2,500	\$2,500	\$1,850	4/25/2022	
BRC 2020-056(SA)	1	\$5,000	\$5,000	\$3,500	4/25/2022	
BRC 2020-057(SA)	1	\$2,500	\$2,500	\$1,850	4/25/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
BRC 2020-058(SA)	1	\$5,000	\$5,000	\$3,700	4/25/2022	
BRC 2020-059(SA)	1	\$2,500	\$2,500	\$2,000	4/25/2022	
BRC 2020-060(SA)	1	\$2,500	\$2,500	\$1,850	4/25/2022	
BRC 2020-061(SA)	1	\$2,500	\$2,500	\$1,850	4/25/2022	
BRC 2020-062(FCS)	1	\$2,500	\$2,500	\$1,850	4/25/2022	
BRC 2020-063(FCS)	1	\$2,500	\$2,500	\$1,850	4/25/2022	
BRC 2020-064(SA)	1	\$2,500	\$2,500	\$1,850	4/25/2022	
BRC 2020-065(SA)	1	\$5,000	\$5,000	\$3,500	4/25/2022	
BRC 2020-066(FCS)	1	\$2,500	\$2,500	\$1,850	4/25/2022	
BRC 2020-067(SA)	1	\$2,500	\$2,500	\$2,000	4/25/2022	
BRC 2020-068(SA)	1	\$5,000	\$5,000	\$3,700	4/25/2022	
BRC 2020-069(FCS)	1	\$2,500	\$2,500	\$1,850	4/25/2022	
BRC 2020-070(FCS)	1	\$2,500	\$2,500	\$1,850	4/25/2022	
BRC 2020-071(SA)	1	\$2,500	\$2,500	\$1,850	4/25/2022	
BRC 2020-072(SA)	1	\$2,500	\$2,500	\$1,850	4/25/2022	
BRC 2020-073(SA)	1	\$2,500	\$2,500	\$1,850	4/25/2022	
BRC 2020-074(SA)	1	\$2,500	\$2,500	\$1,850	4/25/2022	
BRC 2020-075(FCS)	1	\$2,500	\$2,500	\$1,850	4/25/2022	
BRC 2020-076(FCS)	1	\$5,000	\$5,000	\$3,700	4/25/2022	
BRC 2020-077(SA)	1	\$2,500	\$2,500	\$1,850	4/25/2022	
BRC 2020-078(SA)	1	\$2,500	\$2,500	\$1,850	4/25/2022	
BRC 2020-079(SA)	1	\$2,500	\$2,500	\$1,850	4/25/2022	
BRC 2020-080(SA)	1	\$2,500	\$2,500	\$1,850	4/25/2022	
BRC 2021-001(FCS)	1	\$2,500	\$2,500	\$1,850	4/25/2022	
BRC 2021-002(SA)	1	\$5,000	\$5,000	\$3,600	4/25/2022	
BRC 2021-003(HMT)	3	\$14,500	\$14,500	\$11,000	4/25/2022	
BRC 2021-004(ROP)	1	\$9,500	\$9,500	\$7,000	4/25/2022	
BRC 2021-005(ROP)	1	\$9,500	\$9,500	\$7,000	4/25/2022	
BRC 2021-006(SA)	1	\$5,000	\$5,000	\$3,700	4/25/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
BRC 2021-007(SA)	1	\$2,500	\$2,500	\$1,850	4/25/2022	
BRC 2021-008(SA)	1	\$5,000	\$5,000	\$4,050	4/25/2022	
BRC 2021-009(SA)	1	\$2,500	\$2,500	\$1,850	4/25/2022	
BRC 2021-010(SA)	1	\$5,000	\$5,000	\$3,700	4/25/2022	
BRC 2022-006(SA)	1	\$2,500	\$2,500	\$1,900	8/30/2022	
BRPZ 2020-001(HMT)	1	\$10,000	\$10,000	\$8,500	3/2/2022	
CA 2021-001(SI)	1	\$5,000	\$5,000	\$3,900	9/28/2022	
CAGY 2021-001(SA)	1	\$5,000	\$5,000	\$3,850	9/28/2022	
CAGY 2021-002(SA)	1	\$5,000	\$5,000	\$3,850	9/28/2022	
CAGY 2021-003(SA)	1	\$5,000	\$5,000	\$3,850	9/28/2022	
CAGY 2021-004(SA)	1	\$5,000	\$5,000	\$3,850	9/28/2022	
CAMD 2022-001(AD)	1	\$2,500	\$2,500	\$2,000	3/23/2022	
CBR 2022-001(SA)	1	\$5,000	\$0	\$0	3/22/2022	Case Terminated
CBRW 2022-001(TS)	1	\$2,500	\$2,500	\$2,000	9/7/2022	
CCET 2022-001(GC)	1	\$2,500	\$2,500	\$2,000	9/7/2022	
CCT 2021-006(ROP)	1	\$9,500	\$9,500	\$7,500	10/15/2021	
CERA 2021-001(AD)	1	\$5,000	\$5,000	\$3,750	9/28/2022	
CFE 2007-002(EQ)	3	\$7,500	\$0	\$0	5/1/2022	Case Terminated
CFI 2021-001(HMT)	1	\$5,000	\$5,000	\$4,000	2/1/2022	
CFI 2021-002(HMT)	1	\$5,000	\$5,000	\$4,000	1/31/2022	
CFI 2021-003(HMT)	1	\$10,000	\$10,000	\$7,500	1/31/2022	
CFI 2022-001(HMT)	1	\$2,500	\$2,500	\$2,000	3/17/2022	
CFNR 2021-001(ROP)	1	\$9,500	\$9,500	\$7,300	9/28/2022	
CFRC 2021-001(CIS)	1	\$10,000	\$10,000	\$7,500	11/2/2021	
CFRC 2021-002(AD)	1	\$15,000	\$15,000	\$15,000	10/12/2021	
CFRC 2021-003(AD)	1	\$2,500	\$2,500	\$2,500	10/12/2021	
CKIN 2021-001(TS)	1	\$2,000	\$2,000	\$1,750	12/10/2021	
CN 2021-001(SA)	1	\$5,000	\$5,000	\$3,650	8/10/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
CN 2021-002(LI)	1	\$2,500	\$2,500	\$1,800	8/10/2022	
CN 2021-003(SA)	1	\$2,500	\$2,500	\$1,850	8/10/2022	
CN 2021-004(SA)	1	\$2,500	\$2,500	\$1,875	8/10/2022	
CN 2021-005(SA)	1	\$2,500	\$2,500	\$1,850	8/10/2022	
CN 2021-006(SA)	1	\$2,500	\$2,500	\$1,825	8/10/2022	
CN 2021-007(SA)	1	\$2,500	\$2,500	\$1,750	8/10/2022	
CN 2021-008(FCS)	1	\$2,500	\$2,500	\$1,650	8/10/2022	
CN 2021-009(FCS)	1	\$2,500	\$2,500	\$1,800	8/10/2022	
CN 2021-010(SA)	1	\$5,000	\$5,000	\$3,750	8/10/2022	
CN 2021-011(FCS)	1	\$2,500	\$2,500	\$1,800	8/10/2022	
CN 2021-012(SA)	1	\$2,500	\$2,500	\$1,825	8/10/2022	
CN 2021-013(SA)	1	\$2,500	\$2,500	\$1,800	8/10/2022	
CN 2021-014(SA)	1	\$2,500	\$2,500	\$1,825	8/10/2022	
CN 2021-015(HMT)	1	\$2,000	\$2,000	\$1,520	8/10/2022	
CN 2021-016(TS)	1	\$5,000	\$5,000	\$4,000	8/10/2022	
CN 2021-017(SA)	1	\$2,500	\$2,500	\$1,700	8/10/2022	
CN 2021-018(SA)	1	\$2,500	\$2,500	\$1,900	8/10/2022	
CN 2021-019(SA)	1	\$2,500	\$2,500	\$1,825	8/10/2022	
CN 2021-020(LI)	1	\$2,500	\$2,500	\$1,575	8/10/2022	
CN 2021-021(SA)	1	\$2,500	\$2,500	\$1,825	8/10/2022	
CN 2021-022(FCS)	1	\$2,500	\$2,500	\$1,775	8/10/2022	
CN 2021-023(LI)	1	\$2,500	\$2,500	\$1,850	8/10/2022	
CN 2021-024(SA)	1	\$5,000	\$5,000	\$3,350	8/10/2022	
CN 2021-025(FCS)	1	\$2,000	\$2,000	\$1,440	8/10/2022	
CN 2021-026(SA)	1	\$5,000	\$5,000	\$3,750	8/10/2022	
CN 2021-027(SA)	1	\$2,500	\$2,500	\$1,650	8/10/2022	
CN 2021-028(SA)	1	\$2,500	\$2,500	\$1,875	8/10/2022	
CN 2021-029(LI)	1	\$2,500	\$2,500	\$1,725	8/10/2022	
CN 2021-030(LI)	1	\$1,500	\$1,500	\$1,080	8/10/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
CN 2021-031(ROP)	1	\$7,500	\$7,500	\$6,000	8/10/2022	
CN 2021-032(SA)	1	\$5,000	\$0	\$0	8/10/2022	Case Terminated
CN 2021-033(SA)	1	\$2,500	\$2,500	\$1,725	8/10/2022	
CN 2021-034(LI)	1	\$2,500	\$2,500	\$1,825	8/10/2022	
CN 2021-035(ROP)	1	\$7,500	\$7,500	\$5,700	8/10/2022	
CN 2021-036(ROP)	1	\$7,500	\$7,500	\$5,625	8/10/2022	
CN 2021-037(SA)	1	\$2,500	\$2,500	\$1,825	8/10/2022	
CN 2021-038(SA)	1	\$5,000	\$5,000	\$3,700	8/10/2022	
CN 2021-039(SA)	1	\$2,500	\$2,500	\$1,725	8/10/2022	
CN 2021-040(SA)	1	\$2,500	\$2,500	\$1,825	8/10/2022	
CN 2021-041(SA)	1	\$5,000	\$5,000	\$3,700	8/10/2022	
CN 2021-042(LI)	1	\$2,500	\$2,500	\$1,850	8/10/2022	
CN 2021-043(SA)	1	\$5,000	\$5,000	\$3,750	8/10/2022	
CN 2021-044(ROP)	1	\$7,500	\$7,500	\$5,475	8/10/2022	
CN 2021-045(LI)	1	\$2,500	\$2,500	\$1,725	8/10/2022	
CN 2021-046(SA)	1	\$2,500	\$2,500	\$1,875	8/10/2022	
CN 2021-047(SA)	1	\$2,500	\$2,500	\$1,675	8/10/2022	
CN 2021-048(SA)	1	\$5,000	\$5,000	\$3,350	8/10/2022	
CN 2021-049(SA)	1	\$2,500	\$2,500	\$1,825	8/10/2022	
CN 2021-050(HMT)	2	\$19,000	\$19,000	\$15,200	8/10/2022	
CN 2021-051(HMT)	1	\$1,000	\$1,000	\$750	8/10/2022	
CN 2021-052(SA)	1	\$5,000	\$5,000	\$3,750	8/10/2022	
CN 2021-053(TS)	1	\$2,500	\$2,500	\$1,725	8/10/2022	
CN 2021-054(TS)	1	\$2,500	\$2,500	\$1,725	8/10/2022	
CN 2021-055(SA)	1	\$5,000	\$5,000	\$3,750	8/10/2022	
CN 2021-056(HSR)	1	\$1,000	\$0	\$0	8/10/2022	Case Terminated
CN 2021-057(HMT)	1	\$7,500	\$7,500	\$6,000	8/10/2022	
CN 2021-058(FCS)	1	\$2,500	\$2,500	\$1,750	8/10/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
CN 2021-059(SA)	1	\$5,000	\$5,000	\$3,700	8/10/2022	
CN 2021-060(SA)	1	\$2,500	\$2,500	\$1,825	8/10/2022	
CN 2021-061(SA)	1	\$5,000	\$5,000	\$3,750	8/10/2022	
CN 2021-062(FCS)	1	\$2,500	\$2,500	\$1,825	8/10/2022	
CN 2021-063(SA)	1	\$5,000	\$5,000	\$3,750	8/10/2022	
CN 2021-064(TS)	1	\$1,000	\$1,000	\$919	8/10/2022	
CN 2021-065(AR)	1	\$2,500	\$2,500	\$1,825	8/10/2022	
CN 2021-066(AR)	1	\$2,500	\$2,500	\$1,875	8/10/2022	
CN 2021-067(FCS)	1	\$2,500	\$2,500	\$1,800	8/10/2022	
CN 2021-068(SA)	1	\$2,500	\$2,500	\$1,825	8/10/2022	
CN 2021-069(HMT)	1	\$4,000	\$4,000	\$3,040	8/10/2022	
CN 2021-070(AD)	1	\$5,000	\$5,000	\$3,700	8/10/2022	
CN 2021-071(AD)	1	\$5,000	\$5,000	\$3,650	8/10/2022	
CN 2021-072(SA)	1	\$2,500	\$2,500	\$1,650	8/10/2022	
CN 2021-073(SA)	1	\$5,000	\$5,000	\$3,650	8/10/2022	
CN 2021-074(SA)	1	\$2,500	\$2,500	\$1,825	8/10/2022	
CN 2021-075(SA)	1	\$2,500	\$2,500	\$1,675	8/10/2022	
CN 2021-076(SA)	1	\$2,500	\$2,500	\$1,675	8/10/2022	
CN 2021-077(FCS)	1	\$2,500	\$2,500	\$1,800	8/10/2022	
CN 2021-078(SA)	1	\$2,500	\$2,500	\$1,725	8/10/2022	
CN 2021-079(AD)	1	\$5,000	\$5,000	\$3,800	8/10/2022	
CN 2021-080(SA)	1	\$2,500	\$2,500	\$1,725	8/10/2022	
CN 2021-081(SA)	1	\$5,000	\$5,000	\$3,350	8/10/2022	
CN 2021-082(AD)	1	\$5,000	\$5,000	\$3,800	8/10/2022	
CN 2021-083(AD)	1	\$5,000	\$5,000	\$3,650	8/10/2022	
CN 2021-084(AD)	1	\$15,000	\$15,000	\$11,100	8/10/2022	
CN 2021-085(AD)	1	\$2,500	\$2,500	\$1,825	8/10/2022	
CN 2021-086(AD)	1	\$5,000	\$5,000	\$3,250	8/10/2022	
CN 2021-087(SA)	1	\$5,000	\$5,000	\$3,350	8/10/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
CN 2021-088(SA)	1	\$2,500	\$2,500	\$1,650	8/10/2022	
CN 2021-089(LI)	1	\$2,500	\$2,500	\$1,825	8/10/2022	
CN 2021-090(SA)	1	\$2,500	\$2,500	\$1,725	8/10/2022	
CN 2021-091(AD)	1	\$2,500	\$2,500	\$1,900	8/10/2022	
CN 2021-092(HSR)	1	\$2,000	\$2,000	\$1,838	8/10/2022	
CN 2021-093(ROP)	1	\$7,500	\$7,500	\$5,700	8/10/2022	
CN 2021-094(SA)	1	\$2,500	\$2,500	\$1,825	8/10/2022	
CN 2021-095(FCS)	1	\$5,000	\$5,000	\$3,650	8/10/2022	
CN 2021-096(SA)	1	\$2,500	\$2,500	\$1,875	8/10/2022	
CN 2021-097(SA)	1	\$2,500	\$2,500	\$1,825	8/10/2022	
CN 2021-098(SA)	1	\$2,500	\$2,500	\$1,825	8/10/2022	
CN 2021-099(SA)	1	\$5,000	\$5,000	\$3,750	8/10/2022	
CN 2021-100(LI)	1	\$2,500	\$2,500	\$1,825	8/10/2022	
CORP 2021-001(GC)	1	\$1,000	\$1,000	\$950	9/28/2022	
CP 2021-024(SA)	1	\$2,500	\$2,500	\$1,650	9/30/2022	
CP 2021-025(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
CP 2021-027(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
CP 2021-028(FCS)	1	\$2,500	\$2,500	\$1,500	9/30/2022	
CP 2021-029(SA)	1	\$5,000	\$5,000	\$3,125	9/30/2022	
CP 2021-030(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2022	
CP 2021-031(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
CP 2021-032(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2022	
CP 2021-033(SA)	1	\$2,500	\$2,500	\$1,650	9/30/2022	
CP 2021-034(SA)	1	\$2,500	\$2,500	\$1,675	9/30/2022	
CP 2021-035(SA)	1	\$5,000	\$5,000	\$3,575	9/30/2022	
CP 2021-036(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
CP 2021-037(SA)	1	\$5,000	\$5,000	\$3,350	9/30/2022	
CP 2021-038(SA)	1	\$2,500	\$2,500	\$1,900	9/30/2022	
CP 2021-039(SA)	1	\$2,500	\$2,500	\$1,550	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
CP 2021-040(SA)	1	\$5,000	\$5,000	\$3,250	9/30/2022	
CP 2021-041(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
CP 2021-043(RW)	1	\$3,000	\$3,000	\$2,200	9/30/2022	
CP 2021-044(SA)	1	\$5,000	\$5,000	\$3,200	9/30/2022	
CP 2021-045(SA)	1	\$2,500	\$2,500	\$1,525	9/30/2022	
CP 2021-046(SA)	1	\$2,500	\$2,500	\$1,600	9/30/2022	
CP 2021-047(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2022	
CP 2021-048(FCS)	1	\$2,500	\$2,500	\$1,950	9/30/2022	
CP 2021-049(HMT)	1	\$6,000	\$6,000	\$4,300	9/30/2022	
CP 2021-050(HMT)	1	\$5,000	\$5,000	\$3,050	9/30/2022	
CP 2021-051(SA)	1	\$2,500	\$2,500	\$1,625	9/30/2022	
CP 2021-052(SA)	1	\$2,500	\$2,500	\$1,775	9/30/2022	
CP 2021-053(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
CP 2021-054(SA)	1	\$2,500	\$2,500	\$1,725	9/30/2022	
CP 2021-055(FCS)	1	\$5,000	\$5,000	\$3,300	9/30/2022	
CP 2021-056(SA)	1	\$2,500	\$2,500	\$1,950	9/30/2022	
CP 2021-057(SA)	1	\$5,000	\$5,000	\$3,150	9/30/2022	
CP 2021-058(SA)	1	\$2,500	\$2,500	\$1,550	9/30/2022	
CP 2021-059(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
CP 2021-060(AR)	1	\$2,500	\$2,500	\$1,625	9/30/2022	
CP 2021-061(FCS)	1	\$2,500	\$2,500	\$1,950	9/30/2022	
CP 2021-062(SA)	1	\$5,000	\$5,000	\$3,300	9/30/2022	
CP 2021-063(LI)	1	\$2,500	\$2,500	\$1,700	9/30/2022	
CP 2021-064(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
CP 2021-065(SA)	1	\$2,500	\$2,500	\$1,900	9/30/2022	
CP 2021-066(SA)	1	\$2,500	\$2,500	\$1,650	9/30/2022	
CP 2021-067(SA)	1	\$2,500	\$2,500	\$1,550	9/30/2022	
CP 2021-068(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
CP 2021-069(LI)	1	\$2,500	\$2,500	\$1,550	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
CP 2021-070(TS)	1	\$2,500	\$2,500	\$1,725	9/30/2022	
CP 2021-071(AD)	1	\$10,000	\$10,000	\$7,000	9/30/2022	
CP 2021-072(FCS)	1	\$2,500	\$2,500	\$1,550	9/30/2022	
CP 2021-073(SA)	1	\$5,000	\$5,000	\$3,400	9/30/2022	
CP 2021-074(FCS)	1	\$5,000	\$5,000	\$3,250	9/30/2022	
CP 2021-075(FCS)	1	\$5,000	\$5,000	\$3,250	9/30/2022	
CP 2021-076(FCS)	1	\$5,000	\$5,000	\$3,300	9/30/2022	
CP 2021-077(SA)	1	\$2,500	\$2,500	\$1,550	9/30/2022	
CP 2021-078(EQ)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
CP 2021-079(SA)	1	\$15,000	\$15,000	\$11,700	9/30/2022	
CP 2022-001(TS)	1	\$5,000	\$5,000	\$3,250	9/30/2022	
CP 2022-002(FCS)	1	\$5,000	\$5,000	\$3,350	9/30/2022	
CP 2022-003(HMT)	1	\$2,500	\$2,500	\$1,750	9/30/2022	
CP 2022-004(SA)	1	\$5,000	\$5,000	\$3,400	9/30/2022	
CP 2022-005(HMT)	1	\$20,000	\$20,000	\$14,200	9/30/2022	
CP 2022-006(LI)	1	\$1,000	\$1,000	\$950	9/30/2022	
CP 2022-007(HMT)	1	\$40,000	\$40,000	\$28,500	9/30/2022	
CP 2022-008(HMT)	1	\$40,000	\$40,000	\$28,500	9/30/2022	
CP 2022-009(FCS)	1	\$6,000	\$6,000	\$3,900	9/30/2022	
CP 2022-010(SA)	1	\$5,000	\$5,000	\$3,250	9/30/2022	
CRL 2020-001(HMT)	1	\$7,500	\$7,500	\$6,000	8/31/2022	
CRL 2021-001(ROP)	1	\$7,500	\$7,500	\$6,250	8/31/2022	
CRSM 2021-007(LI)	1	\$2,500	\$2,500	\$1,950	9/13/2022	
CRSM 2021-011(SA)	1	\$5,000	\$5,000	\$3,750	9/13/2022	
CRSM 2021-012(SA)	1	\$5,000	\$5,000	\$3,750	9/13/2022	
CRSM 2021-013(SA)	1	\$5,000	\$5,000	\$4,000	9/13/2022	
CRSM 2021-014(SA)	1	\$10,000	\$10,000	\$8,000	9/13/2022	
CRSM 2021-015(ROP)	1	\$7,500	\$7,500	\$5,200	9/13/2022	
CRSM 2021-016(RW)	1	\$3,000	\$3,000	\$2,340	9/13/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
CRSM 2022-001(SA)	1	\$5,000	\$5,000	\$3,000	9/13/2022	
CRSM 2022-002(SA)	1	\$5,000	\$5,000	\$4,250	9/13/2022	
CRSM 2022-003(SA)	1	\$5,000	\$5,000	\$4,250	9/13/2022	
CRSM 2022-004(ROP)	1	\$9,500	\$9,500	\$5,750	9/13/2022	
CRSM 2022-005(SA)	1	\$5,000	\$5,000	\$4,250	9/13/2022	
CRSM 2022-006(SA)	1	\$5,000	\$5,000	\$4,250	9/13/2022	
CRSM 2022-007(SA)	1	\$5,000	\$5,000	\$4,300	9/13/2022	
CRSM 2022-008(SA)	1	\$2,500	\$2,500	\$2,100	9/13/2022	
CRSM 2022-009(HMT)	1	\$2,000	\$2,000	\$1,800	9/13/2022	
CRSM 2022-010(HSR)	1	\$1,000	\$1,000	\$919	9/13/2022	
CRSM 2022-011(HS)	1	\$2,000	\$2,000	\$1,838	9/13/2022	
CRSM 2022-012(HS)	1	\$2,000	\$2,000	\$1,838	9/13/2022	
CRSM 2022-013(ROP)	1	\$9,500	\$9,500	\$7,500	9/13/2022	
CRSM 2022-014(SA)	1	\$5,000	\$5,000	\$4,250	9/13/2022	
CSCD 2021-001(TS)	1	\$1,500	\$1,500	\$1,100	9/28/2022	
CSX 2017-323(LI)	1	\$1,500	\$0	\$0	9/29/2022	Case Terminated
CSX 2018-179(SI)	1	\$1,000	\$1,000	\$853	9/29/2022	
CSX 2018-308(ROP)	1	\$27,904	\$27,904	\$20,416	9/29/2022	
CSX 2018-338(TS)	2	\$5,000	\$5,000	\$3,650	9/29/2022	
CSX 2019-202(SA)	1	\$10,000	\$10,000	\$7,000	9/29/2022	
CSX 2019-244(GC)	1	\$5,000	\$5,000	\$3,650	9/29/2022	
CSX 2020-043(CIS)	1	\$5,000	\$5,000	\$3,650	9/29/2022	
CSX 2020-231(SA)	1	\$10,000	\$10,000	\$7,091	9/29/2022	
CSX 2020-374(SA)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2020-448(RSP)	1	\$9,500	\$9,500	\$6,900	9/29/2022	
CSX 2020-449(SA)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-023(SA)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-026(TS)	1	\$60,000	\$60,000	\$42,718	9/29/2022	
CSX 2021-044(SA)	1	\$5,000	\$5,000	\$3,560	9/29/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
CSX 2021-048(SA)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-052(SA)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-053(ROP)	1	\$7,500	\$7,500	\$5,500	9/29/2022	
CSX 2021-054(SA)	1	\$5,000	\$5,000	\$3,560	9/29/2022	
CSX 2021-055(SA)	1	\$5,000	\$5,000	\$3,560	9/29/2022	
CSX 2021-056(SA)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-057(SA)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-058(SA)	1	\$5,000	\$5,000	\$3,560	9/29/2022	
CSX 2021-059(GC)	1	\$5,000	\$5,000	\$3,650	9/29/2022	
CSX 2021-060(HMT)	1	\$2,000	\$2,000	\$1,460	9/29/2022	
CSX 2021-061(SA)	1	\$5,000	\$5,000	\$3,560	9/29/2022	
CSX 2021-062(LI)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-063(SA)	1	\$5,000	\$5,000	\$3,560	9/29/2022	
CSX 2021-064(SI)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-065(SA)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-066(SA)	1	\$5,000	\$5,000	\$3,560	9/29/2022	
CSX 2021-067(SA)	1	\$5,000	\$5,000	\$3,560	9/29/2022	
CSX 2021-070(SA)	1	\$5,000	\$5,000	\$3,560	9/29/2022	
CSX 2021-071(SA)	1	\$5,000	\$5,000	\$3,560	9/29/2022	
CSX 2021-072(SI)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-073(SA)	1	\$5,000	\$5,000	\$3,560	9/29/2022	
CSX 2021-074(FCS)	1	\$2,500	\$2,500	\$1,825	9/29/2022	
CSX 2021-075(HMT)	1	\$5,000	\$5,000	\$3,561	9/29/2022	
CSX 2021-076(SA)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-077(HMT)	1	\$7,000	\$7,000	\$5,100	9/29/2022	
CSX 2021-079(SA)	1	\$5,000	\$5,000	\$3,560	9/29/2022	
CSX 2021-080(SA)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-081(TS)	1	\$1,000	\$1,000	\$908	9/29/2022	
CSX 2021-082(SI)	1	\$5,000	\$5,000	\$3,600	9/29/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
CSX 2021-083(TS)	1	\$1,000	\$1,000	\$892	9/29/2022	
CSX 2021-084(TS)	1	\$29,192	\$29,192	\$22,478	9/29/2022	
CSX 2021-085(SA)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-087(LI)	1	\$2,000	\$2,000	\$1,440	9/29/2022	
CSX 2021-088(ROP)	1	\$15,000	\$15,000	\$11,000	9/29/2022	
CSX 2021-089(ROP)	1	\$9,500	\$9,500	\$6,900	9/29/2022	
CSX 2021-090(ROP)	1	\$9,500	\$9,500	\$6,900	9/29/2022	
CSX 2021-091(SA)	1	\$5,000	\$5,000	\$3,560	9/29/2022	
CSX 2021-092(LI)	1	\$1,000	\$1,000	\$908	9/29/2022	
CSX 2021-093(SA)	1	\$5,000	\$5,000	\$3,560	9/29/2022	
CSX 2021-094(SA)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-095(SA)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-096(LI)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-097(LI)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-098(SA)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-099(SA)	1	\$5,000	\$5,000	\$3,560	9/29/2022	
CSX 2021-100(HMT)	1	\$7,000	\$7,000	\$5,100	9/29/2022	
CSX 2021-101(HMT)	1	\$7,000	\$7,000	\$5,100	9/29/2022	
CSX 2021-102(AR)	1	\$1,000	\$1,000	\$892	9/29/2022	
CSX 2021-103(ROP)	1	\$9,500	\$9,500	\$6,900	9/29/2022	
CSX 2021-105(GC)	1	\$5,000	\$5,000	\$3,650	9/29/2022	
CSX 2021-106(LI)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-107(TS)	1	\$1,000	\$1,000	\$908	9/29/2022	
CSX 2021-108(GC)	1	\$5,000	\$5,000	\$3,650	9/29/2022	
CSX 2021-109(FCS)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2021-110(TS)	2	\$5,000	\$5,000	\$3,650	9/29/2022	
CSX 2021-111(TS)	6	\$6,000	\$6,000	\$5,448	9/29/2022	
CSX 2021-112(ROP)	1	\$9,500	\$9,500	\$6,900	9/29/2022	
CSX 2021-122(SA)	1	\$5,000	\$5,000	\$3,560	9/29/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
CSX 2021-123(SA)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-124(SA)	1	\$5,000	\$5,000	\$3,560	9/29/2022	
CSX 2021-125(ROP)	1	\$5,000	\$5,000	\$3,650	9/29/2022	
CSX 2021-126(SA)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-127(LI)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-128(SA)	1	\$10,000	\$10,000	\$7,300	9/29/2022	
CSX 2021-129(FCS)	1	\$2,500	\$2,500	\$1,825	9/29/2022	
CSX 2021-130(FCS)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-131(SA)	1	\$2,500	\$2,500	\$1,825	9/29/2022	
CSX 2021-132(SA)	1	\$2,500	\$2,500	\$1,825	9/29/2022	
CSX 2021-133(LI)	1	\$2,000	\$2,000	\$1,460	9/29/2022	
CSX 2021-134(SA)	1	\$2,500	\$2,500	\$1,825	9/29/2022	
CSX 2021-137(SI)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-138(SA)	2	\$10,000	\$10,000	\$7,300	9/29/2022	
CSX 2021-139(SA)	1	\$5,000	\$5,000	\$3,650	9/29/2022	
CSX 2021-140(SA)	1	\$5,000	\$5,000	\$3,650	9/29/2022	
CSX 2021-141(SA)	1	\$2,500	\$2,500	\$1,825	9/29/2022	
CSX 2021-142(SA)	1	\$2,500	\$2,500	\$1,825	9/29/2022	
CSX 2021-143(HMT)	1	\$6,000	\$6,000	\$4,380	9/29/2022	
CSX 2021-144(SA)	1	\$5,000	\$5,000	\$3,650	9/29/2022	
CSX 2021-145(SA)	1	\$5,000	\$5,000	\$3,650	9/29/2022	
CSX 2021-146(GC)	1	\$5,000	\$5,000	\$3,650	9/29/2022	
CSX 2021-147(GC)	1	\$1,000	\$1,000	\$919	9/29/2022	
CSX 2021-148(GC)	1	\$1,000	\$1,000	\$919	9/29/2022	
CSX 2021-150(SA)	1	\$5,000	\$5,000	\$3,650	9/29/2022	
CSX 2021-151(HMT)	2	\$13,000	\$13,000	\$9,490	9/29/2022	
CSX 2021-152(HMT)	1	\$5,000	\$5,000	\$3,560	9/29/2022	
CSX 2021-153(GC)	1	\$5,000	\$5,000	\$3,650	9/29/2022	
CSX 2021-154(FCS)	1	\$5,000	\$5,000	\$3,600	9/29/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
CSX 2021-155(FCS)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-156(SA)	1	\$2,500	\$2,500	\$1,825	9/29/2022	
CSX 2021-157(LI)	1	\$1,000	\$1,000	\$908	9/29/2022	
CSX 2021-158(SA)	1	\$10,000	\$10,000	\$7,300	9/29/2022	
CSX 2021-159(FCS)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2021-161(SA)	1	\$2,500	\$2,500	\$1,825	9/29/2022	
CSX 2021-162(SA)	1	\$2,500	\$2,500	\$1,825	9/29/2022	
CSX 2021-163(SA)	1	\$5,000	\$5,000	\$3,650	9/29/2022	
CSX 2021-164(LI)	1	\$2,000	\$2,000	\$1,460	9/29/2022	
CSX 2021-165(AD)	1	\$2,500	\$2,500	\$1,820	9/29/2022	
CSX 2021-166(AD)	1	\$2,500	\$2,500	\$1,820	9/29/2022	
CSX 2021-167(AD)	1	\$2,500	\$2,500	\$1,820	9/29/2022	
CSX 2021-168(AD)	1	\$2,500	\$2,500	\$1,820	9/29/2022	
CSX 2021-169(AD)	1	\$2,500	\$2,500	\$1,820	9/29/2022	
CSX 2021-170(AD)	1	\$2,500	\$2,500	\$1,820	9/29/2022	
CSX 2021-171(AD)	1	\$2,500	\$2,500	\$1,820	9/29/2022	
CSX 2021-172(AD)	1	\$2,500	\$2,500	\$1,820	9/29/2022	
CSX 2021-173(AD)	1	\$2,500	\$2,500	\$1,820	9/29/2022	
CSX 2021-174(AD)	1	\$5,000	\$5,000	\$3,610	9/29/2022	
CSX 2021-175(AD)	1	\$5,000	\$5,000	\$3,610	9/29/2022	
CSX 2021-176(AD)	1	\$5,000	\$5,000	\$3,610	9/29/2022	
CSX 2021-177(AD)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2021-178(SA)	1	\$5,000	\$5,000	\$3,650	9/29/2022	
CSX 2021-181(GC)	1	\$2,500	\$2,500	\$1,825	9/29/2022	
CSX 2021-182(HMT)	1	\$1,000	\$1,000	\$919	9/29/2022	
CSX 2021-183(HMT)	1	\$7,500	\$7,500	\$5,475	9/29/2022	
CSX 2021-184(AD)	1	\$2,500	\$2,500	\$1,820	9/29/2022	
CSX 2021-185(AD)	1	\$2,500	\$2,500	\$1,820	9/29/2022	
CSX 2021-186(AD)	1	\$2,500	\$2,500	\$1,820	9/29/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
CSX 2021-187(AD)	1	\$2,500	\$2,500	\$1,820	9/29/2022	
CSX 2021-188(AD)	1	\$2,500	\$2,500	\$1,820	9/29/2022	
CSX 2021-189(AD)	1	\$2,500	\$2,500	\$1,820	9/29/2022	
CSX 2021-190(AD)	1	\$2,500	\$2,500	\$1,820	9/29/2022	
CSX 2021-191(AD)	1	\$2,500	\$2,500	\$1,820	9/29/2022	
CSX 2021-192(SA)	1	\$2,500	\$2,500	\$1,825	9/29/2022	
CSX 2021-193(AD)	1	\$2,500	\$2,500	\$1,820	9/29/2022	
CSX 2021-194(FCS)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-195(AD)	1	\$2,500	\$2,500	\$1,820	9/29/2022	
CSX 2021-196(AD)	1	\$2,500	\$2,500	\$1,820	9/29/2022	
CSX 2021-197(AD)	1	\$2,500	\$2,500	\$1,820	9/29/2022	
CSX 2021-198(AD)	1	\$2,500	\$2,500	\$1,820	9/29/2022	
CSX 2021-199(AD)	1	\$2,500	\$2,500	\$1,820	9/29/2022	
CSX 2021-200(SA)	1	\$2,500	\$2,500	\$1,825	9/29/2022	
CSX 2021-201(FCS)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2021-202(SA)	1	\$5,000	\$5,000	\$3,650	9/29/2022	
CSX 2021-203(SA)	1	\$2,500	\$2,500	\$1,825	9/29/2022	
CSX 2021-204(LI)	1	\$3,000	\$3,000	\$2,190	9/29/2022	
CSX 2021-205(SA)	1	\$2,500	\$2,500	\$1,825	9/29/2022	
CSX 2021-206(FCS)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-207(SA)	1	\$5,000	\$5,000	\$3,650	9/29/2022	
CSX 2021-208(HMT)	2	\$7,500	\$7,500	\$5,475	9/29/2022	
CSX 2021-209(AD)	1	\$2,500	\$2,500	\$1,820	9/29/2022	
CSX 2021-210(SA)	1	\$5,000	\$5,000	\$3,650	9/29/2022	
CSX 2021-211(AD)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-212(AD)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2021-213(AD)	1	\$2,500	\$0	\$0	9/29/2022	Case Terminated
CSX 2021-214(AD)	1	\$10,000	\$10,000	\$7,200	9/29/2022	
CSX 2021-215(LI)	1	\$2,500	\$2,500	\$1,825	9/29/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
CSX 2021-216(SA)	1	\$2,500	\$2,500	\$1,825	9/29/2022	
CSX 2021-217(ROP)	1	\$7,500	\$7,500	\$5,475	9/29/2022	
CSX 2021-218(ROP)	1	\$9,500	\$9,500	\$6,935	9/29/2022	
CSX 2021-219(SA)	1	\$2,500	\$2,500	\$1,825	9/29/2022	
CSX 2021-220(LI)	1	\$10,000	\$10,000	\$7,000	9/29/2022	
CSX 2021-221(SA)	1	\$5,000	\$5,000	\$3,650	9/29/2022	
CSX 2021-222(GC)	1	\$5,000	\$5,000	\$3,650	9/29/2022	
CSX 2021-223(SA)	1	\$5,000	\$5,000	\$3,650	9/29/2022	
CSX 2021-224(SA)	1	\$2,500	\$2,500	\$1,825	9/29/2022	
CSX 2021-225(LI)	1	\$2,000	\$2,000	\$1,460	9/29/2022	
CSX 2021-226(AD)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-227(AD)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-229(EQ)	1	\$7,500	\$7,500	\$5,435	9/29/2022	
CSX 2021-230(CC)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2021-231(CC)	1	\$7,500	\$7,500	\$5,435	9/29/2022	
CSX 2021-232(LI)	1	\$2,500	\$2,500	\$1,825	9/29/2022	
CSX 2021-233(LI)	1	\$2,500	\$2,500	\$1,825	9/29/2022	
CSX 2021-234(SA)	1	\$5,000	\$5,000	\$3,650	9/29/2022	
CSX 2021-235(ROP)	1	\$9,500	\$9,500	\$6,935	9/29/2022	
CSX 2021-237(EQ)	1	\$7,500	\$7,500	\$5,435	9/29/2022	
CSX 2021-241(SA)	1	\$5,000	\$5,000	\$3,650	9/29/2022	
CSX 2021-242(TS)	1	\$5,000	\$5,000	\$3,650	9/29/2022	
CSX 2021-243(TS)	1	\$5,000	\$5,000	\$3,650	9/29/2022	
CSX 2021-244(AD)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-245(AD)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2021-246(AD)	1	\$5,000	\$0	\$0	9/29/2022	Case Terminated
CSX 2021-247(AD)	1	\$5,000	\$0	\$0	9/29/2022	Case Terminated
CSX 2021-248(AD)	1	\$5,000	\$5,000	\$3,600	9/29/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
CSX 2021-249(AD)	1	\$20,000	\$20,000	\$14,400	9/29/2022	
CSX 2021-250(AD)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-251(AD)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-252(AD)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2021-253(SA)	1	\$2,500	\$2,500	\$1,825	9/29/2022	
CSX 2021-254(SA)	1	\$5,000	\$5,000	\$3,650	9/29/2022	
CSX 2021-255(SA)	1	\$10,000	\$10,000	\$7,200	9/29/2022	
CSX 2021-256(FCS)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-258(ROP)	1	\$9,500	\$9,500	\$6,935	9/29/2022	
CSX 2021-259(GC)	1	\$5,000	\$5,000	\$3,650	9/29/2022	
CSX 2021-260(TS)	1	\$2,500	\$2,500	\$1,825	9/29/2022	
CSX 2021-262(SI)	1	\$1,000	\$1,000	\$908	9/29/2022	
CSX 2021-263(RW)	1	\$3,000	\$3,000	\$2,190	9/29/2022	
CSX 2021-264(ROP)	1	\$7,500	\$7,500	\$5,475	9/29/2022	
CSX 2021-265(SA)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-266(SA)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-267(SA)	1	\$10,000	\$10,000	\$7,200	9/29/2022	
CSX 2021-268(SA)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2021-269(SA)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-270(FCS)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-271(SA)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2021-272(SA)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-273(FCS)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-274(FCS)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-275(SA)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-276(SA)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2021-277(SA)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2021-278(AD)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-279(AD)	1	\$2,500	\$2,500	\$1,800	9/29/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
CSX 2021-280(AD)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-281(LI)	1	\$2,000	\$2,000	\$1,460	9/29/2022	
CSX 2021-282(SA)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-283(AD)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-284(AD)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-285(AD)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-286(SA)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-287(HMT)	1	\$7,000	\$7,000	\$5,100	9/29/2022	
CSX 2021-288(SA)	6	\$37,500	\$5,000	\$4,600	9/29/2022	Terminated Violations: 1
CSX 2021-289(SA)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2021-290(AD)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-291(AD)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-292(AD)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-293(AD)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2021-294(AD)	1	\$10,000	\$10,000	\$7,200	9/29/2022	
CSX 2021-295(SA)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-296(AD)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-297(ROP)	1	\$9,500	\$9,500	\$6,935	9/29/2022	
CSX 2021-299(ROP)	1	\$9,500	\$9,500	\$6,935	9/29/2022	
CSX 2021-300(AD)	1	\$10,000	\$10,000	\$7,200	9/29/2022	
CSX 2021-302(SA)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-303(SA)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-304(SA)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-305(TS)	1	\$2,500	\$2,500	\$1,825	9/29/2022	
CSX 2021-306(LI)	1	\$1,000	\$1,000	\$919	9/29/2022	
CSX 2021-307(LI)	1	\$2,000	\$2,000	\$1,450	9/29/2022	
CSX 2021-308(SA)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2021-309(GC)	1	\$2,500	\$2,500	\$1,800	9/29/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
CSX 2021-310(ROP)	1	\$7,500	\$7,500	\$5,475	9/29/2022	
CSX 2021-311(GC)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-312(SA)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2021-313(GC)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-314(GC)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-315(AD)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-316(GC)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2021-317(GC)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-318(GC)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-319(GC)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2021-320(GC)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2021-321(GC)	1	\$2,500	\$2,500	\$1,825	9/29/2022	
CSX 2021-322(GC)	1	\$2,500	\$2,500	\$1,825	9/29/2022	
CSX 2021-323(GC)	1	\$2,500	\$2,500	\$1,825	9/29/2022	
CSX 2021-324(GC)	1	\$5,000	\$5,000	\$3,650	9/29/2022	
CSX 2021-325(GC)	1	\$2,500	\$2,500	\$1,825	9/29/2022	
CSX 2021-326(GC)	1	\$2,500	\$2,500	\$1,825	9/29/2022	
CSX 2021-327(SA)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2021-328(FCS)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-329(SA)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-330(LI)	1	\$2,500	\$2,500	\$1,825	9/29/2022	
CSX 2021-331(SA)	1	\$2,000	\$2,000	\$1,440	9/29/2022	
CSX 2021-332(SA)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2021-333(SA)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2021-334(GC)	1	\$2,500	\$2,500	\$1,825	9/29/2022	
CSX 2021-335(GC)	1	\$2,500	\$2,500	\$1,825	9/29/2022	
CSX 2021-336(GC)	1	\$2,500	\$2,500	\$1,825	9/29/2022	
CSX 2021-337(GC)	1	\$2,500	\$2,500	\$1,825	9/29/2022	
CSX 2021-338(GC)	1	\$2,500	\$2,500	\$1,825	9/29/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
CSX 2021-339(GC)	1	\$2,500	\$2,500	\$1,825	9/29/2022	
CSX 2021-340(GC)	1	\$7,500	\$7,500	\$5,475	9/29/2022	
CSX 2021-341(GC)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-342(GC)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-343(GC)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-344(SI)	1	\$5,000	\$5,000	\$4,524	9/29/2022	
CSX 2021-345(SI)	1	\$1,000	\$1,000	\$908	9/29/2022	
CSX 2021-346(SI)	1	\$1,000	\$1,000	\$919	9/29/2022	
CSX 2021-347(SI)	1	\$1,000	\$1,000	\$919	9/29/2022	
CSX 2021-348(SI)	1	\$3,000	\$3,000	\$2,757	9/29/2022	
CSX 2021-349(SI)	1	\$1,000	\$1,000	\$919	9/29/2022	
CSX 2021-350(SI)	1	\$1,000	\$1,000	\$908	9/29/2022	
CSX 2021-351(SI)	1	\$1,000	\$1,000	\$908	9/29/2022	
CSX 2021-352(SI)	1	\$3,000	\$3,000	\$2,724	9/29/2022	
CSX 2021-353(ROP)	1	\$5,000	\$5,000	\$3,650	9/29/2022	
CSX 2021-354(AR)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-356(SA)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2021-358(GC)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2021-359(SA)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2021-360(EQ)	1	\$18,000	\$18,000	\$16,542	9/29/2022	
CSX 2021-361(SA)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2021-362(SA)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-364(HMT)	1	\$7,500	\$7,500	\$5,475	9/29/2022	
CSX 2021-365(HMT)	2	\$28,500	\$28,500	\$20,805	9/29/2022	
CSX 2021-366(ROP)	1	\$7,500	\$7,500	\$5,475	9/29/2022	
CSX 2021-367(SI)	1	\$2,500	\$2,500	\$1,750	9/29/2022	
CSX 2021-368(TS)	1	\$2,500	\$2,500	\$1,825	9/29/2022	
CSX 2021-369(SA)	1	\$10,000	\$5,000	\$3,925	9/29/2022	Terminated Violations: 1

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
CSX 2021-370(TS)	2	\$3,500	\$3,500	\$2,555	9/29/2022	
CSX 2021-372(LI)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2021-373(RSP)	1	\$9,500	\$9,500	\$6,900	9/29/2022	
CSX 2021-374(SA)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2021-375(FCS)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-376(ROP)	1	\$9,500	\$9,500	\$6,935	9/29/2022	
CSX 2021-377(HMT)	2	\$43,500	\$43,500	\$31,755	9/29/2022	
CSX 2021-379(GC)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2021-380(SA)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2021-382(LI)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-383(SA)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-384(SA)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-386(SA)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2021-387(SA)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2021-388(LI)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-389(SA)	1	\$2,500	\$2,500	\$1,827	9/29/2022	
CSX 2021-390(SA)	1	\$2,500	\$2,500	\$1,825	9/29/2022	
CSX 2021-391(ROR)	1	\$7,500	\$7,500	\$5,025	9/29/2022	
CSX 2021-392(ROP)	1	\$9,500	\$9,500	\$6,935	9/29/2022	
CSX 2021-394(ROP)	1	\$7,500	\$7,500	\$5,475	9/29/2022	
CSX 2021-396(ROP)	1	\$7,500	\$0	\$0	9/29/2022	Case Terminated
CSX 2021-399(ROP)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2021-400(SA)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2021-402(RSP)	1	\$5,500	\$5,500	\$4,000	9/29/2022	
CSX 2021-403(TS)	1	\$2,500	\$2,500	\$1,825	9/29/2022	
CSX 2021-404(TS)	1	\$2,500	\$2,500	\$1,825	9/29/2022	
CSX 2021-405(SA)	1	\$2,500	\$2,500	\$1,825	9/29/2022	
CSX 2021-408(SA)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2021-410(ROR)	1	\$19,000	\$19,000	\$13,870	9/29/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
CSX 2021-411(ROR)	1	\$19,000	\$19,000	\$13,750	9/29/2022	
CSX 2021-412(SA)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2021-413(AR)	1	\$2,500	\$0	\$0	9/29/2022	Case Terminated
CSX 2021-414(ROP)	1	\$2,000	\$2,000	\$1,440	9/29/2022	
CSX 2021-415(SA)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2021-416(LI)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-417(CC)	1	\$22,500	\$22,500	\$16,500	9/29/2022	
CSX 2021-418(ROP)	1	\$9,500	\$9,500	\$6,840	9/29/2022	
CSX 2021-419(SA)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2021-420(SA)	1	\$15,000	\$15,000	\$11,000	9/29/2022	
CSX 2021-422(SA)	1	\$10,000	\$10,000	\$7,300	9/29/2022	
CSX 2021-423(SI)	1	\$2,500	\$2,500	\$1,750	9/29/2022	
CSX 2021-424(GC)	1	\$1,000	\$1,000	\$919	9/29/2022	
CSX 2021-425(LI)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2021-426(FCS)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2022-002(SA)	1	\$2,500	\$2,500	\$1,825	9/29/2022	
CSX 2022-003(SA)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2022-004(SA)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2022-006(SA)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2022-011(SA)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2022-012(SA)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2022-013(SA)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2022-014(SA)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2022-016(HMT)	2	\$5,000	\$5,000	\$3,560	9/29/2022	
CSX 2022-017(SA)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2022-018(HMT)	1	\$6,000	\$6,000	\$4,380	9/29/2022	
CSX 2022-019(LI)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2022-021(SA)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2022-022(SA)	1	\$2,500	\$2,500	\$1,800	9/29/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
CSX 2022-023(SA)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2022-024(SA)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2022-026(ROP)	1	\$7,500	\$7,500	\$5,435	9/29/2022	
CSX 2022-027(SA)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2022-028(SA)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2022-029(ROR)	1	\$15,000	\$15,000	\$11,000	9/29/2022	
CSX 2022-031(ROP)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2022-032(ROP)	1	\$9,500	\$9,500	\$6,840	9/29/2022	
CSX 2022-033(EQ)	1	\$7,500	\$7,500	\$5,435	9/29/2022	
CSX 2022-036(SA)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2022-037(SA)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2022-038(SA)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2022-039(SA)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2022-041(SA)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2022-042(GC)	1	\$1,000	\$1,000	\$919	9/29/2022	
CSX 2022-043(GC)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2022-044(GC)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2022-046(GC)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2022-047(GC)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2022-048(SI)	1	\$2,500	\$2,500	\$1,750	9/29/2022	
CSX 2022-049(SA)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2022-050(CIS)	1	\$10,000	\$10,000	\$6,800	9/29/2022	
CSX 2022-051(CIS)	1	\$10,000	\$10,000	\$6,800	9/29/2022	
CSX 2022-052(SA)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2022-053(ROP)	1	\$7,500	\$7,500	\$5,436	9/29/2022	
CSX 2022-056(FCS)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2022-057(FCS)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2022-059(HMT)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2022-060(FCS)	1	\$5,000	\$5,000	\$3,600	9/29/2022	

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CSX 2022-061(HMT)	1	\$6,000	\$6,000	\$4,380	9/29/2022	
CSX 2022-062(ROP)	1	\$7,500	\$7,500	\$5,436	9/29/2022	
CSX 2022-064(SA)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2022-065(SA)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CSX 2022-066(SA)	1	\$2,500	\$2,500	\$1,800	9/29/2022	
CSX 2022-068(ROP)	1	\$9,500	\$9,500	\$6,840	9/29/2022	
CSX 2022-069(SA)	1	\$5,000	\$5,000	\$3,600	9/29/2022	
CUOH 2021-001(HMT)	1	\$20,000	\$20,000	\$14,000	9/28/2022	
CW 2021-001(CC)	1	\$5,000	\$5,000	\$5,000	1/26/2022	
CW 2021-002(AD)	1	\$5,000	\$5,000	\$5,000	1/25/2022	
CW 2021-003(CC)	1	\$2,500	\$2,500	\$2,500	1/26/2022	
DCR 2021-001(RSP)	1	\$9,500	\$0	\$0	3/22/2022	Case Terminated
DCTA 2020-001(AD)	1	\$5,000	\$5,000	\$3,750	11/23/2021	
DCTA 2021-001(TS)	1	\$5,000	\$5,000	\$3,750	11/23/2021	
DENZ 2021-001(HMT)	1	\$4,000	\$4,000	\$2,500	11/2/2021	
DRIR 2021-001(AD)	1	\$2,500	\$2,500	\$892	3/15/2022	
EARY 2021-001(ROP)	1	\$7,500	\$7,500	\$5,400	9/28/2022	
ELWX 2021-001(LI)	1	\$2,500	\$2,500	\$2,500	4/15/2022	
EMRY 2021-002(EQ)	1	\$2,500	\$2,500	\$1,750	8/17/2022	
ERSZ 2021-001(HMT)	1	\$5,000	\$5,000	\$3,400	9/6/2022	
ERSZ 2021-002(HMT)	1	\$6,000	\$6,000	\$4,380	9/6/2022	
FCR 2022-001(RMM)	1	\$5,000	\$5,000	\$3,500	8/31/2022	
FEC 2016-004(GC)	1	\$2,500	\$0	\$0	9/30/2022	Case Terminated
FEC 2016-005(GC)	1	\$5,000	\$0	\$0	9/30/2022	Case Terminated
FEC 2016-008(AR)	1	\$2,500	\$0	\$0	9/30/2022	Case Terminated
FEC 2016-009(AR)	1	\$1,000	\$0	\$0	9/30/2022	Case Terminated
FEC 2020-009(ROP)	1	\$9,500	\$9,500	\$7,000	4/7/2022	

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FEC 2020-010(LI)	1	\$1,500	\$1,500	\$1,200	4/7/2022	
FEC 2021-001(HSR)	1	\$1,000	\$1,000	\$920	4/7/2022	
FEC 2021-002(HSR)	1	\$2,500	\$2,500	\$1,500	4/7/2022	
FEC 2021-003(SA)	1	\$5,000	\$5,000	\$3,000	4/7/2022	
FEC 2021-004(HS)	1	\$1,000	\$1,000	\$920	4/7/2022	
FEC 2021-005(HS)	1	\$1,000	\$1,000	\$920	4/7/2022	
FEC 2021-006(HS)	1	\$1,000	\$1,000	\$920	4/7/2022	
FEC 2021-007(HSR)	1	\$1,000	\$1,000	\$920	4/7/2022	
FEC 2021-008(HS)	1	\$1,000	\$1,000	\$920	4/7/2022	
FEC 2021-009(HSR)	1	\$1,000	\$1,000	\$920	4/7/2022	
FEC 2021-010(GC)	1	\$1,000	\$1,000	\$920	4/7/2022	
FEC 2021-011(GC)	1	\$1,000	\$1,000	\$920	4/7/2022	
FEC 2021-012(GC)	1	\$1,000	\$1,000	\$920	4/7/2022	
FEC 2021-013(GC)	1	\$1,000	\$1,000	\$920	4/7/2022	
FEC 2021-014(GC)	1	\$1,000	\$1,000	\$920	4/7/2022	
FEC 2021-015(GC)	1	\$1,000	\$1,000	\$920	4/7/2022	
FEC 2021-016(HSR)	1	\$1,000	\$1,000	\$920	4/7/2022	
FEC 2021-017(HSR)	1	\$1,000	\$1,000	\$920	4/7/2022	
FEC 2021-018(ROP)	1	\$9,500	\$9,500	\$7,000	4/7/2022	
FEC 2021-019(HSR)	1	\$2,500	\$2,500	\$1,500	4/7/2022	
FEC 2021-020(HSR)	1	\$9,000	\$9,000	\$8,030	4/7/2022	
FEC 2021-021(ROP)	1	\$9,500	\$9,500	\$7,000	4/7/2022	
FEC 2021-022(SA)	1	\$5,000	\$5,000	\$2,750	4/7/2022	
FEC 2021-023(AD)	1	\$2,500	\$2,500	\$1,500	4/7/2022	
FEC 2021-024(SA)	1	\$5,000	\$5,000	\$2,800	4/7/2022	
FEC 2021-025(SI)	1	\$1,000	\$1,000	\$920	4/7/2022	
FEC 2021-026(ROP)	1	\$9,500	\$9,500	\$7,000	4/7/2022	
FEC 2021-027(SA)	1	\$5,000	\$5,000	\$3,900	9/30/2022	
FEC 2021-028(ROP)	1	\$9,500	\$9,500	\$7,000	9/30/2022	

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FEC 2021-029(SA)	1	\$5,000	\$5,000	\$3,900	9/30/2022	
FEC 2022-001(SA)	1	\$5,000	\$5,000	\$3,900	9/30/2022	
FEC 2022-002(SA)	1	\$5,000	\$5,000	\$3,900	9/30/2022	
FEC 2022-003(SA)	1	\$5,000	\$5,000	\$3,900	9/30/2022	
FEC 2022-004(HMT)	1	\$25,000	\$25,000	\$12,250	9/30/2022	
FEC 2022-005(HMT)	2	\$8,000	\$8,000	\$7,000	9/30/2022	
FEC 2022-006(ROP)	1	\$5,000	\$5,000	\$3,900	9/30/2022	
FEC 2022-007(HMT)	1	\$2,000	\$2,000	\$1,700	9/30/2022	
FEC 2022-008(SA)	1	\$5,000	\$5,000	\$3,900	9/30/2022	
FEC 2022-009(SA)	1	\$5,000	\$5,000	\$3,900	9/30/2022	
FEC 2022-010(GC)	1	\$5,000	\$5,000	\$3,900	9/30/2022	
FEC 2022-011(GC)	1	\$5,000	\$5,000	\$4,000	9/30/2022	
FGA 2020-002(LI)	1	\$2,500	\$2,500	\$1,250	5/6/2022	
FGA 2020-003(LI)	2	\$3,500	\$3,500	\$2,142	5/6/2022	
FGA 2020-004(LI)	1	\$2,500	\$2,500	\$1,250	5/6/2022	
FGA 2020-005(LI)	1	\$2,500	\$2,500	\$1,250	5/6/2022	
FGA 2020-007(LI)	1	\$2,500	\$2,500	\$1,250	5/6/2022	
FGA 2020-008(LI)	1	\$2,500	\$2,500	\$1,250	5/6/2022	
FGA 2020-009(LI)	1	\$2,500	\$2,500	\$1,250	5/6/2022	
FGA 2020-010(SA)	1	\$5,000	\$0	\$0	5/6/2022	Case Terminated
FGA 2020-011(LI)	1	\$2,500	\$2,500	\$1,250	5/6/2022	
FGA 2020-013(LI)	1	\$2,500	\$2,500	\$1,400	5/6/2022	
FGA 2020-014(LI)	1	\$2,500	\$2,500	\$1,400	5/6/2022	
FGA 2020-015(LI)	1	\$2,500	\$2,500	\$1,250	5/6/2022	
FGA 2020-016(LI)	1	\$2,500	\$2,500	\$1,250	5/6/2022	
FGA 2020-017(LI)	1	\$2,500	\$2,500	\$1,250	5/6/2022	
FGA 2020-018(LI)	1	\$2,500	\$2,500	\$1,250	5/6/2022	
FGA 2021-002(ROP)	1	\$5,000	\$5,000	\$2,500	5/6/2022	

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FSR 2004-001(TS)	4	\$12,500	\$0	\$0	6/29/2022	Case Terminated
FSR 2014-002(RW)	1	\$3,000	\$3,000	\$2,250	6/29/2022	
FSR 2015-001(TS)	1	\$5,000	\$5,000	\$4,250	6/29/2022	
FSR 2015-002(GC)	1	\$5,000	\$5,000	\$4,500	6/19/2022	
FSR 2016-001(TS)	2	\$12,000	\$12,000	\$8,500	8/29/2022	
FSR 2017-001(RW)	1	\$2,000	\$2,000	\$1,400	6/29/2022	
GC 2022-001(LI)	1	\$2,500	\$2,500	\$1,800	9/28/2022	
GFRR 2021-001(TS)	1	\$5,000	\$5,000	\$4,000	8/31/2022	
GLCT 2022-001(LI)	1	\$2,500	\$2,500	\$2,500	6/16/2022	
GNWR 2016-001(ROP)	1	\$9,500	\$0	\$0	9/28/2022	Case Terminated
GRNW 2022-001(SA)	1	\$2,500	\$2,500	\$2,000	9/29/2022	
GRYY 2015-001(HMT)	1	\$6,000	\$0	\$0	3/4/2022	Case Terminated
GS 2020-002(TS)	1	\$5,000	\$5,000	\$4,250	8/29/2022	
GSWY 2017-001(GC)	2	\$10,000	\$0	\$0	9/28/2022	Case Terminated
GSWY 2017-002(LI)	1	\$2,500	\$0	\$0	9/28/2022	Case Terminated
GSWY 2019-001(GC)	5	\$5,000	\$0	\$0	9/28/2022	Case Terminated
GSWY 2019-002(GC)	1	\$1,500	\$0	\$0	9/28/2022	Case Terminated
GWR 2019-002(TS)	1	\$5,000	\$5,000	\$3,400	10/6/2021	
GWR 2020-001(TS)	1	\$5,000	\$5,000	\$3,400	10/6/2021	
HAR 2021-001(HMT)	1	\$4,000	\$4,000	\$4,000	7/21/2022	
HRT 2020-002(RW)	3	\$7,000	\$7,000	\$3,500	9/23/2022	
IHB 2021-008(EQ)	2	\$33,000	\$33,000	\$24,300	5/2/2022	
IHB 2021-009(EQ)	1	\$35,000	\$30,000	\$24,000	11/16/2021	Terminated Violations: 1
IHB 2021-012(CC)	1	\$2,000	\$2,000	\$1,816	11/16/2021	
IHB 2021-015(EQ)	1	\$2,000	\$2,000	\$1,800	11/8/2021	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
IHB 2021-017(SA)	1	\$2,500	\$2,500	\$1,875	11/5/2021	
IHB 2021-019(EQ)	1	\$5,000	\$5,000	\$3,700	5/2/2022	
IHB 2021-020(FCS)	1	\$2,500	\$2,500	\$1,800	5/2/2022	
IHB 2022-001(SA)	1	\$5,000	\$5,000	\$3,600	5/12/2022	
IHB 2022-002(FCS)	1	\$2,500	\$2,500	\$1,900	5/2/2022	
IHB 2022-003(SA)	1	\$2,500	\$2,500	\$1,900	5/2/2022	
IHB 2022-004(SA)	1	\$2,500	\$2,500	\$1,900	5/2/2022	
IHB 2022-005(LI)	1	\$1,500	\$1,500	\$1,100	5/2/2022	
IHTR 2021-001(TS)	4	\$8,000	\$3,000	\$3,000	10/28/2021	
IMRR 2020-001(EQ)	1	\$2,500	\$0	\$0	9/28/2022	Case Terminated
IMRR 2020-004(EQ)	1	\$2,500	\$0	\$0	9/28/2022	Case Terminated
IN 2020-001(AD)	1	\$7,500	\$2,500	\$2,500	11/19/2021	Terminated Violations: 1
INPR 2021-001(SA)	1	\$5,000	\$5,000	\$4,000	11/30/2021	
INTD 2022-001(HMT)	1	\$5,000	\$5,000	\$5,000	3/8/2022	
IORY 2021-001(HSR)	1	\$1,500	\$1,500	\$1,150	9/28/2022	
IORY 2021-002(ROP)	1	\$9,500	\$9,500	\$6,650	9/28/2022	
IORY 2021-003(TS)	1	\$1,000	\$1,000	\$950	9/28/2022	
IR 2020-010(LI)	1	\$2,500	\$2,500	\$1,500	8/31/2022	
IR 2021-001(LI)	1	\$2,500	\$2,500	\$1,500	8/31/2022	
KCS 2020-036(SA)	1	\$5,000	\$5,000	\$3,500	7/11/2022	
KCS 2021-005(SA)	1	\$5,000	\$5,000	\$3,750	7/11/2022	
KCS 2021-019(HMT)	1	\$2,500	\$2,500	\$1,625	7/11/2022	
KCS 2021-020(SA)	1	\$2,500	\$0	\$0	7/11/2022	Case Terminated
KCS 2021-021(SA)	1	\$2,500	\$0	\$0	7/11/2022	Case Terminated
KCS 2021-022(SA)	1	\$2,500	\$2,500	\$2,000	7/11/2022	
KCS 2021-023(SA)	1	\$2,500	\$2,500	\$2,000	7/11/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
KCS 2021-024(SA)	1	\$2,500	\$2,500	\$1,700	7/11/2022	
KCS 2021-025(SA)	1	\$5,000	\$5,000	\$3,750	7/11/2022	
KCS 2021-026(LI)	1	\$2,500	\$2,500	\$2,000	7/11/2022	
KCS 2021-027(HMT)	2	\$6,000	\$6,000	\$4,500	7/11/2022	
KCS 2021-028(SA)	1	\$2,500	\$2,500	\$1,700	7/11/2022	
KCS 2021-029(SA)	1	\$2,500	\$2,500	\$2,000	7/11/2022	
KCS 2021-030(SI)	1	\$5,000	\$5,000	\$4,000	7/11/2022	
KCS 2021-031(SA)	1	\$2,500	\$2,500	\$2,000	7/11/2022	
KCS 2021-033(SA)	1	\$5,000	\$5,000	\$3,500	7/11/2022	
KCS 2022-001(RW)	1	\$1,500	\$1,500	\$1,500	7/11/2022	
KCS 2022-002(ROP)	1	\$13,000	\$13,000	\$11,000	7/11/2022	
KCS 2022-003(SA)	1	\$5,000	\$5,000	\$3,500	7/11/2022	
KJRY 2020-001(SA)	1	\$2,500	\$2,500	\$1,750	6/20/2022	
KJRY 2021-001(ROP)	1	\$5,000	\$5,000	\$4,250	6/29/2022	
KJRY 2021-002(TS)	1	\$5,000	\$5,000	\$4,250	6/29/2022	
KJRY 2022-001(ROP)	1	\$7,500	\$7,500	\$6,375	6/29/2022	
KNWA 2021-001(AD)	1	\$2,500	\$2,500	\$1,750	9/29/2022	
KRR 2021-002(TS)	1	\$5,000	\$5,000	\$3,000	9/28/2022	
KRR 2021-003(TS)	3	\$7,500	\$7,500	\$4,500	9/28/2022	
KRR 2021-004(TS)	1	\$2,500	\$2,500	\$1,500	9/28/2022	
KRR 2021-005(TS)	2	\$7,500	\$7,500	\$4,500	9/28/2022	
KRR 2021-006(ROP)	1	\$9,500	\$9,500	\$7,000	9/28/2022	
KRR 2021-007(SA)	1	\$5,000	\$5,000	\$3,900	9/28/2022	
KRSV 2021-001(CC)	1	\$1,000	\$1,000	\$1,000	1/31/2022	
KYLE 2021-001(RW)	1	\$5,000	\$5,000	\$3,800	9/28/2022	
KYLE 2021-002(TS)	1	\$1,000	\$1,000	\$950	9/28/2022	
LECQ 2020-001(HMT)	2	\$12,500	\$12,500	\$12,500	5/18/2022	
LI 2019-001(RSP)	1	\$5,000	\$0	\$0	1/31/2022	Case Terminated
LI 2019-002(SI)	1	\$1,000	\$1,000	\$870	2/4/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
LI 2020-001(SI)	1	\$2,500	\$2,500	\$1,625	2/4/2022	
LRY 2016-001(TS)	5	\$35,000	\$0	\$0	2/1/2022	Case Terminated
LRY 2016-002(TS)	6	\$46,500	\$0	\$0	2/1/2022	Case Terminated
LRY 2016-003(GC)	1	\$1,000	\$0	\$0	2/1/2022	Case Terminated
LRY 2016-004(GC)	1	\$2,500	\$0	\$0	2/1/2022	Case Terminated
LRY 2016-005(ROP)	3	\$28,500	\$0	\$0	2/1/2022	Case Terminated
LRY 2016-006(SA)	1	\$5,000	\$0	\$0	2/1/2022	Case Terminated
LRY 2016-007(TS)	1	\$5,000	\$0	\$0	2/1/2022	Case Terminated
LRY 2016-008(RW)	1	\$1,000	\$0	\$0	2/1/2022	Case Terminated
LRY 2016-009(HMT)	1	\$17,500	\$0	\$0	2/1/2022	Case Terminated
LRY 2017-001(GC)	1	\$1,000	\$0	\$0	2/1/2022	Case Terminated
LRY 2017-002(SA)	1	\$5,000	\$0	\$0	2/1/2022	Case Terminated
LRY 2017-003(ROP)	1	\$7,500	\$0	\$0	2/1/2022	Case Terminated
LRY 2017-004(FCS)	1	\$5,000	\$0	\$0	2/1/2022	Case Terminated
LRY 2017-006(LI)	1	\$2,500	\$0	\$0	2/1/2022	Case Terminated
LRY 2017-007(TS)	2	\$2,000	\$0	\$0	2/1/2022	Case Terminated
LRY 2017-008(RW)	1	\$2,000	\$0	\$0	2/1/2022	Case Terminated
LRY 2017-009(RMM)	1	\$2,500	\$0	\$0	2/1/2022	Case Terminated
LRY 2017-010(HSR)	1	\$27,455	\$0	\$0	2/1/2022	Case Terminated
LRY 2017-011(FCS)	1	\$5,000	\$0	\$0	2/1/2022	Case Terminated
LRY 2017-012(ROP)	2	\$37,500	\$0	\$0	2/1/2022	Case Terminated

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
LRY 2017-013(SA)	3	\$15,000	\$0	\$0	2/1/2022	Case Terminated
LRY 2017-014(AR)	1	\$2,500	\$0	\$0	2/1/2022	Case Terminated
LRY 2017-015(HMT)	1	\$17,500	\$0	\$0	2/1/2022	Case Terminated
LRY 2018-001(AR)	1	\$2,500	\$0	\$0	2/1/2022	Case Terminated
LS 2021-002(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
MACZ 2019-001(SA)	1	\$2,500	\$2,500	\$2,000	3/7/2022	
MACZ 2020-001(AR)	1	\$2,500	\$2,500	\$2,300	3/7/2022	
MACZ 2021-001(ROP)	1	\$2,000	\$2,000	\$1,500	3/7/2022	
MACZ 2021-002(PEQ)	1	\$10,000	\$10,000	\$8,000	3/7/2022	
MALI 2022-001(HMT)	1	\$10,000	\$10,000	\$7,500	5/11/2022	
MBTA 2018-056(ROR)	1	\$9,500	\$9,500	\$8,075	10/15/2021	
MBTA 2019-010(RW)	1	\$3,000	\$3,000	\$2,400	10/15/2021	
MBTA 2019-011(PEQ)	1	\$5,000	\$5,000	\$4,000	10/15/2021	
MBTA 2019-028(TS)	1	\$5,000	\$5,000	\$4,250	10/15/2021	
MBTA 2020-001(HSR)	1	\$1,000	\$1,000	\$900	10/15/2021	
MBTA 2020-002(PEQ)	1	\$5,000	\$5,000	\$4,000	10/15/2021	
MBTA 2020-003(AR)	1	\$1,000	\$1,000	\$1,000	10/15/2021	
MBTA 2020-004(RW)	1	\$3,000	\$3,000	\$2,400	10/15/2021	
MBTA 2020-005(PEQ)	1	\$5,000	\$5,000	\$4,000	10/15/2021	
MBTA 2020-006(HSR)	1	\$1,000	\$1,000	\$900	10/15/2021	
MBTA 2020-007(PEQ)	1	\$5,000	\$5,000	\$4,000	10/15/2021	
MBTA 2020-008(PEQ)	1	\$5,000	\$5,000	\$4,250	10/15/2021	
MBTA 2020-009(PEQ)	1	\$5,000	\$5,000	\$4,000	10/15/2021	
MBTA 2020-010(TS)	1	\$5,000	\$5,000	\$4,250	10/15/2021	
MBTA 2020-011(PEQ)	1	\$15,000	\$15,000	\$7,500	10/15/2021	
MBTA 2020-012(ROP)	1	\$5,000	\$5,000	\$4,000	10/15/2021	
MBTA 2020-013(PEQ)	1	\$15,000	\$15,000	\$7,500	10/15/2021	

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MBTA 2020-014(PEQ)	1	\$15,000	\$15,000	\$7,500	10/15/2021	
MBTA 2020-015(RSP)	1	\$9,500	\$9,500	\$8,550	10/15/2021	
MBTA 2020-016(HS)	1	\$1,000	\$1,000	\$900	10/15/2021	
MBTA 2020-017(TS)	1	\$5,000	\$5,000	\$4,250	10/15/2021	
MBTA 2020-018(HS)	1	\$1,000	\$1,000	\$900	10/15/2021	
MBTA 2020-019(PEQ)	1	\$5,000	\$5,000	\$4,000	10/15/2021	
MBTA 2020-020(PEQ)	1	\$5,000	\$5,000	\$4,000	10/15/2021	
MBTA 2021-001(PEQ)	1	\$5,000	\$5,000	\$4,000	10/15/2021	
MBTA 2021-002(RW)	1	\$3,000	\$3,000	\$2,190	5/31/2022	
MBTA 2021-003(RW)	1	\$3,000	\$3,000	\$2,190	5/31/2022	
MBTA 2021-004(RW)	1	\$3,000	\$3,000	\$2,190	5/31/2022	
MBTA 2021-005(TS)	1	\$5,000	\$5,000	\$3,650	5/31/2022	
MBTA 2021-006(TS)	1	\$10,000	\$10,000	\$7,300	5/31/2022	
MBTA 2022-001(RW)	1	\$3,000	\$3,000	\$2,190	5/31/2022	
MBTA 2022-002(AD)	1	\$2,500	\$2,500	\$1,825	5/31/2022	
MBTA 2022-003(AD)	1	\$15,000	\$15,000	\$10,950	5/31/2022	
MBTA 2022-004(AD)	1	\$5,000	\$5,000	\$3,650	5/31/2022	
MBTA 2022-005(AD)	1	\$2,500	\$2,500	\$1,825	5/31/2022	
MBTA 2022-006(AD)	1	\$2,500	\$2,500	\$1,825	5/31/2022	
MBTA 2022-007(CC)	1	\$2,500	\$2,500	\$1,850	5/31/2022	
MBTA 2022-008(AD)	1	\$2,500	\$2,500	\$1,800	5/31/2022	
MBTA 2022-009(AD)	1	\$5,000	\$5,000	\$3,650	5/31/2022	
MBTA 2022-010(AD)	1	\$2,500	\$2,500	\$1,825	5/31/2022	
MBTA 2022-011(AD)	1	\$2,500	\$2,500	\$1,825	5/31/2022	
MBTA 2022-012(AD)	1	\$2,500	\$2,500	\$1,825	5/31/2022	
MBTA 2022-013(AD)	1	\$2,500	\$2,500	\$1,825	5/31/2022	
MBTA 2022-014(AD)	1	\$12,500	\$12,500	\$9,125	5/31/2022	
MBTA 2022-015(ROP)	1	\$5,000	\$5,000	\$3,650	5/31/2022	
MBTA 2022-016(RW)	1	\$1,500	\$1,500	\$1,095	5/31/2022	

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MDDE 2020-001(GC)	1	\$5,000	\$5,000	\$3,250	3/2/2022	
MDS 2022-001(TS)	1	\$5,000	\$5,000	\$3,500	8/29/2022	
MEC 2022-001(TS)	1	\$5,000	\$5,000	\$4,250	9/27/2022	
MEC 2022-002(TS)	1	\$5,000	\$5,000	\$4,250	9/27/2022	
MMRR 2021-001(AD)	1	\$5,000	\$5,000	\$3,800	9/28/2022	
MNA 2021-004(CC)	1	\$7,500	\$0	\$0	9/28/2022	Case Terminated
MNA 2021-005(EQ)	1	\$7,500	\$0	\$0	9/28/2022	Case Terminated
MNCW 2020-001(TS)	1	\$5,000	\$5,000	\$4,000	11/9/2021	
MNCW 2020-002(TS)	1	\$5,000	\$5,000	\$2,500	11/9/2021	
MNCW 2020-003(TS)	1	\$5,000	\$5,000	\$4,000	11/9/2021	
MNCW 2020-004(ROP)	1	\$7,500	\$7,500	\$6,375	11/9/2021	
MNCW 2020-005(SA)	1	\$5,000	\$5,000	\$4,000	11/9/2021	
MNCW 2021-001(RSP)	1	\$5,000	\$5,000	\$4,750	11/9/2021	
MNCW 2021-002(PEQ)	1	\$5,000	\$5,000	\$4,000	11/9/2021	
MNCW 2021-003(PEQ)	1	\$5,000	\$5,000	\$3,600	8/17/2022	
MNCW 2021-004(ROP)	1	\$7,500	\$15,000	\$5,475	8/17/2022	
MNCW 2021-005(RSP)	1	\$9,500	\$9,500	\$6,650	8/17/2022	
MNCW 2021-006(ROP)	1	\$7,500	\$7,500	\$5,475	8/17/2022	
MNCW 2021-007(RW)	1	\$3,000	\$3,000	\$2,100	8/17/2022	
MNCW 2021-008(RW)	1	\$5,000	\$5,000	\$3,650	8/17/2022	
MNCW 2021-009(BW)	1	\$5,000	\$5,000	\$3,650	8/17/2022	
MNCW 2021-010(TS)	1	\$5,000	\$5,000	\$3,500	8/17/2022	
MNCW 2021-011(RSP)	1	\$1,000	\$1,000	\$919	8/17/2022	
MNCW 2021-012(ROP)	1	\$7,500	\$7,500	\$5,475	8/17/2022	
MNN 2020-001(SA)	1	\$5,000	\$5,000	\$5,000	3/2/2022	
MNN 2020-002(SA)	1	\$2,500	\$2,500	\$2,500	3/2/2022	
MNR 2021-001(EQ)	1	\$5,000	\$5,000	\$3,500	5/20/2022	
MRL 2021-003(TS)	1	\$5,000	\$5,000	\$2,500	5/27/2022	

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MRL 2021-004(EQ)	1	\$2,500	\$2,500	\$1,875	5/27/2022	
MRL 2021-005(EQ)	1	\$2,500	\$2,500	\$1,875	5/27/2022	
MRL 2021-006(TS)	1	\$5,000	\$5,000	\$2,500	5/27/2022	
MRL 2021-007(TS)	1	\$5,000	\$5,000	\$2,500	5/27/2022	
MRL 2021-008(ROR)	1	\$9,500	\$0	\$0	5/27/2022	Case Terminated
MRL 2021-009(ROR)	1	\$9,500	\$9,500	\$7,125	5/27/2022	
MRL 2021-010(ROR)	1	\$9,500	\$9,500	\$7,125	5/27/2022	
MRL 2021-011(EQ)	1	\$12,000	\$12,000	\$8,880	5/27/2022	
MRL 2021-012(EQ)	1	\$3,000	\$3,000	\$2,250	5/27/2022	
MRL 2021-013(CC)	1	\$2,500	\$2,500	\$1,750	5/27/2022	
MRL 2021-014(SA)	1	\$5,000	\$5,000	\$3,750	5/27/2022	
MRL 2021-015(SA)	1	\$5,000	\$5,000	\$3,750	5/27/2022	
MRL 2021-016(SA)	1	\$2,500	\$2,500	\$1,875	5/27/2022	
MRL 2021-017(SA)	1	\$5,000	\$5,000	\$3,750	5/27/2022	
MRL 2021-018(ROR)	1	\$9,500	\$9,500	\$7,125	5/27/2022	
MRL 2022-001(ROR)	1	\$2,500	\$2,500	\$1,875	5/27/2022	
NBER 2021-001(SA)	1	\$5,000	\$5,000	\$919	12/10/2021	
NCIQ 2020-001(HMT)	1	\$2,000	\$2,000	\$2,000	1/21/2022	
NCIR 2020-001(BSS)	1	\$10,000	\$10,000	\$3,568	12/10/2021	
NCTC 2020-001(EQ)	1	\$2,000	\$2,000	\$2,000	1/27/2022	
NCTC 2021-001(EQ)	1	\$5,000	\$5,000	\$5,000	1/27/2022	
NDW 2020-001(RW)	1	\$3,000	\$3,000	\$3,000	10/5/2021	
NERR 2020-002(GC)	1	\$5,000	\$5,000	\$5,000	10/29/2021	
NKCR 2019-001(TS)	1	\$2,500	\$2,500	\$2,000	8/31/2022	
NKCR 2019-002(TS)	1	\$2,500	\$2,500	\$2,000	8/31/2022	
NKCR 2019-003(ROP)	1	\$7,500	\$7,500	\$6,250	8/31/2022	
NKCR 2019-004(AD)	1	\$5,000	\$5,000	\$3,000	8/31/2022	
NKCR 2022-001(GC)	1	\$2,500	\$2,500	\$2,000	8/31/2022	
NMQQ 2019-001(HMT)	1	\$2,000	\$2,000	\$2,000	10/5/2021	

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NMQQ 2020-001(HMT)	1	\$2,000	\$2,000	\$2,000	10/5/2021	
NOPB 2020-001(TS)	2	\$22,500	\$12,500	\$7,500	12/8/2021	Terminated Violations: 1
NSR 2020-001(HSR)	1	\$1,000	\$1,000	\$892	8/31/2022	
NYSW 2019-001(AD)	1	\$2,500	\$2,500	\$870	12/7/2021	
NYSW 2020-001(SA)	1	\$2,500	\$2,500	\$1,625	12/7/2021	
NYSW 2020-002(SA)	1	\$5,000	\$5,000	\$3,250	12/7/2021	
OERR 2020-003(SA)	1	\$5,000	\$5,000	\$2,500	9/27/2022	
OPR 2013-001(TS)	1	\$7,000	\$0	\$0	6/21/2022	Case Terminated
OPR 2013-002(TS)	1	\$5,000	\$0	\$0	6/21/2022	Case Terminated
OPR 2017-001(BSS)	3	\$7,500	\$0	\$0	6/21/2022	Case Terminated
OPR 2017-003(EQ)	1	\$1,000	\$0	\$0	6/21/2022	Case Terminated
PAS 2021-002(ROP)	1	\$7,500	\$7,500	\$6,900	9/27/2022	
PCC 2021-001(AD)	1	\$10,000	\$10,000	\$7,500	9/29/2022	
PCN 2021-001(TS)	14	\$34,500	\$34,500	\$19,000	9/28/2022	
PNR 2022-003(TS)	1	\$2,500	\$2,500	\$2,000	8/31/2022	
PNWR 2021-004(SA)	1	\$5,000	\$5,000	\$4,000	9/28/2022	
PNWR 2021-005(GC)	1	\$5,000	\$5,000	\$4,000	9/28/2022	
PNWR 2021-006(TS)	1	\$2,500	\$2,500	\$1,850	9/28/2022	
PNWR 2022-001(TS)	1	\$7,000	\$7,000	\$5,600	9/28/2022	
PSAP 2021-002(TS)	1	\$5,000	\$5,000	\$3,900	9/28/2022	
PSAP 2021-003(TS)	1	\$1,000	\$1,000	\$1,000	9/28/2022	
PSAP 2022-001(TS)	1	\$5,000	\$5,000	\$3,750	9/28/2022	
PTO 2021-001(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
PTO 2021-002(TS)	2	\$5,000	\$5,000	\$3,600	9/30/2022	
PW 2021-002(AR)	1	\$2,500	\$2,500	\$1,950	9/28/2022	
PW 2021-003(AR)	1	\$2,500	\$2,500	\$2,000	9/28/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
PW 2021-004(ROP)	1	\$7,500	\$7,500	\$5,900	9/28/2022	
RCPE 2021-001(TS)	1	\$5,000	\$5,000	\$3,750	9/28/2022	
RCPE 2021-002(AD)	1	\$10,000	\$10,000	\$8,000	9/28/2022	
RJCC 2021-001(AD)	1	\$2,500	\$2,500	\$2,500	7/5/2022	
RJCC 2021-002(AD)	1	\$2,500	\$2,500	\$2,500	7/5/2022	
RJCC 2022-001(AD)	1	\$5,000	\$5,000	\$5,000	7/5/2022	
SBG 2020-001(AD)	1	\$2,500	\$2,500	\$1,875	5/13/2022	
SCAX 2021-001(PEQ)	1	\$5,000	\$5,000	\$3,250	4/4/2022	
SJVR 2021-001(ROP)	1	\$7,500	\$7,500	\$6,000	9/28/2022	
SJVR 2021-002(TS)	1	\$2,500	\$2,500	\$2,000	9/28/2022	
SKOL 2021-001(TS)	1	\$5,000	\$5,000	\$3,500	9/29/2022	
SMRT 2018-001(GC)	1	\$2,500	\$2,500	\$1,250	8/8/2022	
SMRT 2018-003(SI)	1	\$10,000	\$0	\$0	4/12/2022	Case Terminated
SMRT 2019-001(ROR)	1	\$5,000	\$5,000	\$3,750	8/8/2022	
SMRT 2019-003(PEP)	1	\$2,500	\$2,500	\$1,800	8/8/2022	
SMRT 2019-004(PEP)	1	\$2,500	\$0	\$0	8/8/2022	Case Terminated
SMRT 2019-005(ROR)	1	\$9,500	\$9,500	\$6,200	8/8/2022	
SMRT 2019-006(GC)	1	\$5,000	\$5,000	\$3,900	8/8/2022	
SMRT 2019-007(SI)	1	\$10,000	\$0	\$0	8/8/2022	Case Terminated
SNY 2021-002(TS)	1	\$2,500	\$2,500	\$2,500	5/17/2022	
SOU 2020-015(HSR)	1	\$30,000	\$30,000	\$13,380	9/30/2022	
SOU 2020-040(HSR)	1	\$15,000	\$15,000	\$13,380	9/30/2022	
SOU 2020-071(AD)	1	\$10,000	\$10,000	\$7,200	9/30/2022	
SOU 2020-085(HSR)	1	\$12,000	\$12,000	\$10,704	9/30/2022	
SOU 2020-092(AD)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
SOU 2020-122(AD)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
SOU 2020-137(AD)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
SOU 2020-146(AD)	1	\$2,500	\$2,500	\$1,800	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
SOU 2020-149(AD)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
SOU 2020-170(AD)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
SOU 2020-187(HSR)	1	\$1,000	\$1,000	\$892	9/30/2022	
SOU 2020-237(SA)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2020-242(HSR)	1	\$6,000	\$6,000	\$2,676	9/30/2022	
SOU 2020-422(AR)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
SOU 2020-425(AR)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
SOU 2020-436(TS)	1	\$2,500	\$2,500	\$1,750	9/30/2022	
SOU 2020-439(ROP)	1	\$7,500	\$7,500	\$5,625	9/30/2022	
SOU 2020-451(AR)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
SOU 2020-454(AR)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
SOU 2020-460(ROP)	1	\$9,500	\$9,500	\$7,125	9/30/2022	
SOU 2020-472(ROP)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2020-475(RW)	1	\$1,000	\$1,000	\$892	9/30/2022	
SOU 2020-484(HMT)	1	\$5,000	\$5,000	\$3,575	9/30/2022	
SOU 2020-495(SA)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2020-496(FCS)	1	\$2,000	\$2,000	\$1,650	9/30/2022	
SOU 2020-499(LI)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2020-502(SA)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2020-505(SA)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2020-507(SA)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2020-508(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2022	
SOU 2020-511(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
SOU 2020-514(HMT)	1	\$2,000	\$2,000	\$1,500	9/30/2022	
SOU 2020-517(FCS)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2020-520(TS)	1	\$5,000	\$5,000	\$3,750	9/30/2022	
SOU 2020-523(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2022	
SOU 2020-526(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2022	
SOU 2020-529(SA)	1	\$2,500	\$2,500	\$1,850	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
SOU 2020-532(LI)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2020-535(SA)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2020-538(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2020-541(ROP)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2020-544(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
SOU 2020-547(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
SOU 2020-548(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
SOU 2020-550(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
SOU 2020-553(SA)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2020-559(FCS)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2020-562(CIS)	1	\$10,000	\$10,000	\$7,100	9/30/2022	
SOU 2020-565(FCS)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2020-568(ROP)	1	\$2,000	\$2,000	\$1,450	9/30/2022	
SOU 2020-573(AR)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
SOU 2021-001(LI)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2021-004(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2021-007(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
SOU 2021-010(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
SOU 2021-013(ROP)	1	\$2,000	\$2,000	\$1,450	9/30/2022	
SOU 2021-016(FCS)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-019(RW)	1	\$2,000	\$2,000	\$1,600	9/30/2022	
SOU 2021-022(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
SOU 2021-025(HMT)	1	\$2,000	\$2,000	\$1,500	9/30/2022	
SOU 2021-028(HMT)	1	\$5,000	\$5,000	\$3,900	9/30/2022	
SOU 2021-031(LI)	1	\$4,000	\$4,000	\$2,900	9/30/2022	
SOU 2021-034(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2021-037(SA)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-040(SA)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-046(AR)	1	\$2,500	\$2,500	\$1,800	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
SOU 2021-049(ROP)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2021-052(ROP)	1	\$10,000	\$10,000	\$7,500	9/30/2022	
SOU 2021-055(ROP)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2021-056(ROP)	1	\$9,500	\$9,500	\$7,125	9/30/2022	
SOU 2021-058(FCS)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-059(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
SOU 2021-061(ROP)	1	\$9,500	\$9,500	\$7,125	9/30/2022	
SOU 2021-062(ROP)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2021-064(SA)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-065(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2021-067(ROP)	1	\$2,000	\$2,000	\$1,500	9/30/2022	
SOU 2021-068(ROP)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2021-070(FCS)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-071(LI)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-073(SA)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-074(SA)	1	\$2,500	\$2,500	\$1,875	9/30/2022	
SOU 2021-076(LI)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2021-077(ROP)	1	\$7,500	\$7,500	\$5,625	9/30/2022	
SOU 2021-079(SA)	1	\$2,500	\$2,500	\$1,875	9/30/2022	
SOU 2021-080(HMT)	3	\$19,500	\$19,500	\$13,350	9/30/2022	
SOU 2021-085(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2021-086(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2021-088(FCS)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-089(FCS)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-091(SA)	1	\$10,000	\$10,000	\$7,500	9/30/2022	
SOU 2021-092(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2022	
SOU 2021-094(GC)	1	\$5,000	\$5,000	\$3,750	9/30/2022	
SOU 2021-095(SI)	1	\$2,500	\$2,500	\$1,750	9/30/2022	
SOU 2021-097(SA)	1	\$2,500	\$2,500	\$1,850	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
SOU 2021-098(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2021-099(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2021-102(HS)	1	\$2,000	\$2,000	\$1,784	9/30/2022	
SOU 2021-103(ROP)	1	\$2,000	\$2,000	\$1,450	9/30/2022	
SOU 2021-104(HMT)	1	\$10,000	\$10,000	\$7,100	9/30/2022	
SOU 2021-105(HMT)	1	\$6,000	\$6,000	\$4,375	9/30/2022	
SOU 2021-107(ROP)	1	\$2,000	\$2,000	\$1,575	9/30/2022	
SOU 2021-108(CC)	1	\$4,000	\$4,000	\$2,900	9/30/2022	
SOU 2021-110(SA)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-111(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2022	
SOU 2021-112(HSR)	1	\$5,000	\$5,000	\$4,540	9/30/2022	
SOU 2021-115(HSR)	1	\$1,000	\$1,000	\$908	9/30/2022	
SOU 2021-116(FCS)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-118(LI)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-119(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2022	
SOU 2021-121(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2022	
SOU 2021-122(GC)	1	\$1,000	\$1,000	\$908	9/30/2022	
SOU 2021-123(FCS)	1	\$5,000	\$5,000	\$3,700	9/30/2022	
SOU 2021-124(FCS)	1	\$6,000	\$2,500	\$1,050	9/30/2022	Terminated Violations: 1
SOU 2021-126(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2022	
SOU 2021-127(SA)	1	\$10,000	\$10,000	\$7,000	9/30/2022	
SOU 2021-128(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2022	
SOU 2021-129(SA)	1	\$10,000	\$10,000	\$7,000	9/30/2022	
SOU 2021-131(SA)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-132(HMT)	1	\$4,000	\$4,000	\$2,850	9/30/2022	
SOU 2021-134(FCS)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-135(SA)	1	\$10,000	\$10,000	\$7,000	9/30/2022	
SOU 2021-136(SA)	1	\$2,500	\$2,500	\$1,850	9/30/2022	

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SOU 2021-137(FCS)	1	\$5,000	\$5,000	\$3,700	9/30/2022	
SOU 2021-138(SA)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-139(SA)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-140(SA)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-141(SA)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-143(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
SOU 2021-144(LI)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-145(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
SOU 2021-146(ROP)	1	\$7,500	\$7,500	\$5,625	9/30/2022	
SOU 2021-147(ROP)	1	\$7,500	\$7,500	\$5,500	9/30/2022	
SOU 2021-148(TS)	1	\$2,500	\$2,500	\$1,950	9/30/2022	
SOU 2021-149(TS)	1	\$10,000	\$10,000	\$7,800	9/30/2022	
SOU 2021-150(TS)	1	\$1,000	\$1,000	\$908	9/30/2022	
SOU 2021-151(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2021-152(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2021-153(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2021-154(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2021-156(GC)	1	\$3,000	\$3,000	\$2,724	9/30/2022	
SOU 2021-157(SA)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-158(SA)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-159(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
SOU 2021-160(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
SOU 2021-161(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
SOU 2021-162(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
SOU 2021-164(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
SOU 2021-165(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
SOU 2021-166(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
SOU 2021-167(ROP)	1	\$7,500	\$7,500	\$5,625	9/30/2022	
SOU 2021-168(ROP)	1	\$2,000	\$2,000	\$1,700	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
SOU 2021-169(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
SOU 2021-170(ROP)	1	\$7,500	\$7,500	\$5,625	9/30/2022	
SOU 2021-171(ROP)	1	\$19,000	\$19,000	\$14,250	9/30/2022	
SOU 2021-172(ROP)	1	\$6,000	\$6,000	\$4,750	9/30/2022	
SOU 2021-173(ROP)	1	\$7,500	\$7,500	\$5,625	9/30/2022	
SOU 2021-174(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
SOU 2021-175(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
SOU 2021-176(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
SOU 2021-177(LI)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-178(LI)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-179(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
SOU 2021-180(SA)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-181(TS)	1	\$5,000	\$5,000	\$3,900	9/30/2022	
SOU 2021-182(HMT)	2	\$7,000	\$7,000	\$4,950	9/30/2022	
SOU 2021-183(ROP)	1	\$7,500	\$7,500	\$5,625	9/30/2022	
SOU 2021-184(ROP)	1	\$7,500	\$7,500	\$5,625	9/30/2022	
SOU 2021-185(SA)	1	\$2,500	\$2,500	\$1,875	9/30/2022	
SOU 2021-186(ROP)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2021-187(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
SOU 2021-188(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2021-189(ROP)	1	\$9,500	\$9,500	\$7,125	9/30/2022	
SOU 2021-191(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
SOU 2021-192(GC)	1	\$1,000	\$1,000	\$908	9/30/2022	
SOU 2021-194(GC)	1	\$1,000	\$1,000	\$908	9/30/2022	
SOU 2021-195(HS)	1	\$1,000	\$1,000	\$892	9/30/2022	
SOU 2021-196(SA)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-197(SA)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-198(GC)	1	\$5,000	\$5,000	\$900	9/30/2022	
SOU 2021-199(SA)	1	\$2,500	\$2,500	\$1,850	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
SOU 2021-200(SA)	1	\$2,500	\$2,500	\$1,750	9/30/2022	
SOU 2021-201(SA)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-202(SA)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-203(SA)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-204(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2021-205(GC)	1	\$5,000	\$5,000	\$3,750	9/30/2022	
SOU 2021-208(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
SOU 2021-209(LI)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-210(LI)	1	\$1,500	\$1,500	\$1,150	9/30/2022	
SOU 2021-211(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
SOU 2021-212(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
SOU 2021-213(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
SOU 2021-214(SA)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-216(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2021-217(LI)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-219(SA)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-222(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2021-223(ROP)	2	\$19,000	\$19,000	\$14,250	9/30/2022	
SOU 2021-225(LI)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-226(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
SOU 2021-228(FCS)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-229(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2021-231(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2021-232(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
SOU 2021-234(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2021-235(LI)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-237(ROP)	1	\$5,000	\$0	\$0	9/30/2022	Case Terminated
SOU 2021-238(ROP)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2021-240(ROP)	1	\$5,000	\$5,000	\$3,500	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
SOU 2021-243(CC)	1	\$7,500	\$7,500	\$5,300	9/30/2022	
SOU 2021-244(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
SOU 2021-246(HMT)	2	\$7,000	\$7,000	\$4,950	9/30/2022	
SOU 2021-247(HSR)	1	\$1,000	\$1,000	\$908	9/30/2022	
SOU 2021-249(SA)	1	\$2,500	\$2,500	\$1,875	9/30/2022	
SOU 2021-250(GC)	1	\$5,000	\$5,000	\$3,750	9/30/2022	
SOU 2021-252(GC)	1	\$5,000	\$0	\$0	9/30/2022	Case Terminated
SOU 2021-253(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2021-255(HMT)	1	\$2,000	\$2,000	\$1,300	9/30/2022	
SOU 2021-256(LI)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-258(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
SOU 2021-259(SA)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-261(SA)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-262(SA)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-264(SA)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-267(ROP)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2021-268(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
SOU 2021-270(ROP)	1	\$9,500	\$9,500	\$7,125	9/30/2022	
SOU 2021-271(ROP)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2021-273(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
SOU 2021-274(ROP)	1	\$5,000	\$5,000	\$3,950	9/30/2022	
SOU 2021-276(HS)	1	\$1,000	\$1,000	\$892	9/30/2022	
SOU 2021-279(HS)	1	\$1,000	\$1,000	\$892	9/30/2022	
SOU 2021-282(ROP)	1	\$7,500	\$7,500	\$5,625	9/30/2022	
SOU 2021-285(LI)	1	\$3,000	\$3,000	\$2,300	9/30/2022	
SOU 2021-286(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
SOU 2021-287(ROP)	1	\$9,500	\$9,500	\$7,125	9/30/2022	
SOU 2021-288(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
SOU 2021-289(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
SOU 2021-290(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
SOU 2021-291(GC)	1	\$5,000	\$5,000	\$3,750	9/30/2022	
SOU 2021-294(HMT)	2	\$12,500	\$12,500	\$8,850	9/30/2022	
SOU 2021-297(HMT)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
SOU 2021-298(LI)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2021-299(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2021-300(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2021-301(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
SOU 2021-303(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2021-304(SA)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-305(SA)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-306(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2021-307(ROP)	1	\$7,500	\$7,500	\$5,625	9/30/2022	
SOU 2021-308(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
SOU 2021-309(FCS)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-310(SA)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-311(FCS)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-312(FCS)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-313(LI)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2021-315(ROP)	1	\$9,500	\$9,500	\$2,250	9/30/2022	
SOU 2021-316(SA)	1	\$10,000	\$10,000	\$7,200	9/30/2022	
SOU 2021-318(CC)	1	\$7,500	\$7,500	\$5,300	9/30/2022	
SOU 2021-321(SI)	1	\$1,000	\$1,000	\$908	9/30/2022	
SOU 2021-323(ROP)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2021-324(ROP)	1	\$5,000	\$5,000	\$3,800	9/30/2022	
SOU 2021-327(RW)	1	\$3,000	\$3,000	\$2,500	9/30/2022	
SOU 2021-328(SA)	1	\$2,500	\$2,500	\$1,250	9/30/2022	
SOU 2021-330(ROP)	1	\$2,000	\$2,000	\$1,450	9/30/2022	
SOU 2021-331(HSR)	1	\$5,000	\$5,000	\$4,460	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
SOU 2021-333(HS)	1	\$1,000	\$1,000	\$892	9/30/2022	
SOU 2021-334(HS)	1	\$1,000	\$1,000	\$892	9/30/2022	
SOU 2021-336(HS)	1	\$1,000	\$1,000	\$892	9/30/2022	
SOU 2021-339(SA)	1	\$5,000	\$5,000	\$3,750	9/30/2022	
SOU 2021-340(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
SOU 2021-342(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
SOU 2021-343(GC)	1	\$5,000	\$5,000	\$3,900	9/30/2022	
SOU 2021-345(GC)	1	\$5,000	\$5,000	\$3,900	9/30/2022	
SOU 2021-346(GC)	1	\$2,500	\$2,500	\$1,750	9/30/2022	
SOU 2021-348(HSR)	1	\$1,000	\$1,000	\$919	9/30/2022	
SOU 2021-349(SA)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-351(HSR)	1	\$1,000	\$1,000	\$908	9/30/2022	
SOU 2021-352(SA)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-354(ROP)	1	\$9,500	\$9,500	\$919	9/30/2022	
SOU 2021-355(ROP)	1	\$7,500	\$7,500	\$5,625	9/30/2022	
SOU 2021-357(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
SOU 2021-358(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
SOU 2021-360(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
SOU 2021-362(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2022	
SOU 2021-364(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2022	
SOU 2021-365(FCS)	1	\$6,000	\$6,000	\$4,000	9/30/2022	
SOU 2021-368(TS)	1	\$5,000	\$5,000	\$4,000	9/30/2022	
SOU 2021-371(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
SOU 2021-374(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
SOU 2021-377(ROP)	1	\$9,500	\$9,500	\$7,125	9/30/2022	
SOU 2021-378(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
SOU 2021-380(SA)	1	\$5,000	\$5,000	\$3,650	9/30/2022	
SOU 2021-381(LI)	1	\$2,000	\$2,000	\$1,600	9/30/2022	
SOU 2021-383(ROP)	1	\$2,000	\$2,000	\$1,550	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
SOU 2021-384(ROP)	1	\$7,500	\$7,500	\$5,625	9/30/2022	
SOU 2021-386(ROP)	1	\$7,500	\$7,500	\$5,625	9/30/2022	
SOU 2021-387(SA)	1	\$10,000	\$10,000	\$7,500	9/30/2022	
SOU 2021-389(SA)	1	\$15,000	\$15,000	\$10,850	9/30/2022	
SOU 2021-390(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2022	
SOU 2021-392(ROP)	1	\$20,000	\$20,000	\$13,000	9/30/2022	
SOU 2021-395(ROP)	1	\$5,000	\$0	\$0	9/30/2022	Case Terminated
SOU 2021-396(SA)	1	\$10,000	\$10,000	\$7,500	9/30/2022	
SOU 2021-398(ROP)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2021-401(ROP)	1	\$15,000	\$15,000	\$9,750	9/30/2022	
SOU 2021-402(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
SOU 2021-404(SA)	1	\$20,000	\$20,000	\$14,400	9/30/2022	
SOU 2021-405(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2022	
SOU 2021-407(HMT)	1	\$3,000	\$3,000	\$2,175	9/30/2022	
SOU 2021-408(ROP)	1	\$7,500	\$7,500	\$5,625	9/30/2022	
SOU 2021-410(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
SOU 2021-411(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
SOU 2021-413(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2021-414(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
SOU 2021-416(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
SOU 2021-417(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
SOU 2021-419(FCS)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
SOU 2021-422(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
SOU 2021-423(LI)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-425(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
SOU 2021-428(LI)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-429(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
SOU 2021-431(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
SOU 2021-432(HMT)	1	\$7,500	\$7,500	\$5,150	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
SOU 2021-434(HSR)	1	\$1,000	\$1,000	\$919	9/30/2022	
SOU 2021-437(LI)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-438(TS)	1	\$5,000	\$2,500	\$919	9/30/2022	Terminated Violations: 1
SOU 2021-440(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
SOU 2021-441(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2022	
SOU 2021-443(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2021-444(ROP)	1	\$8,000	\$8,000	\$5,500	9/30/2022	
SOU 2021-446(ROP)	1	\$5,000	\$5,000	\$3,750	9/30/2022	
SOU 2021-447(HS)	1	\$1,000	\$1,000	\$919	9/30/2022	
SOU 2021-449(LI)	1	\$7,500	\$7,500	\$5,250	9/30/2022	
SOU 2021-450(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2022	
SOU 2021-451(LI)	2	\$7,500	\$7,500	\$5,250	9/30/2022	
SOU 2021-452(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
SOU 2021-455(HMT)	1	\$2,000	\$2,000	\$1,400	9/30/2022	
SOU 2021-456(FCS)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
SOU 2021-458(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2022	
SOU 2021-461(RSP)	1	\$9,500	\$9,500	\$7,125	9/30/2022	
SOU 2021-462(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2022	
SOU 2021-464(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2021-465(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2021-467(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2021-468(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
SOU 2021-470(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
SOU 2021-473(ROP)	1	\$9,500	\$9,500	\$7,125	9/30/2022	
SOU 2021-474(ROP)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2021-476(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2021-477(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2022	
SOU 2021-479(HMT)	1	\$2,000	\$2,000	\$1,500	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
SOU 2021-482(TS)	1	\$5,000	\$5,000	\$4,100	9/30/2022	
SOU 2021-486(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
SOU 2021-490(LI)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-494(LI)	1	\$7,500	\$7,500	\$5,250	9/30/2022	
SOU 2021-496(ROP)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2021-498(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
SOU 2021-499(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2022	
SOU 2021-500(ROP)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2021-502(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2022	
SOU 2021-506(ROP)	1	\$7,500	\$7,500	\$5,625	9/30/2022	
SOU 2021-510(LI)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-514(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
SOU 2021-518(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2022	
SOU 2021-522(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
SOU 2021-534(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
SOU 2021-538(ROP)	1	\$9,500	\$9,500	\$7,125	9/30/2022	
SOU 2021-542(SA)	1	\$25,000	\$25,000	\$17,750	9/30/2022	
SOU 2021-543(ROP)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2021-546(ROP)	1	\$11,000	\$11,000	\$8,250	9/30/2022	
SOU 2021-550(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
SOU 2021-554(LI)	1	\$7,500	\$7,500	\$5,250	9/30/2022	
SOU 2021-555(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2021-556(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
SOU 2021-558(HSR)	1	\$1,000	\$1,000	\$919	9/30/2022	
SOU 2021-560(GC)	1	\$2,500	\$2,500	\$1,900	9/30/2022	
SOU 2021-562(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
SOU 2021-564(LI)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2021-566(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2022-001(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
SOU 2022-004(ROP)	1	\$7,500	\$7,500	\$5,625	9/30/2022	
SOU 2022-006(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
SOU 2022-008(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2022-009(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2022-010(FCS)	1	\$5,000	\$5,000	\$3,700	9/30/2022	
SOU 2022-012(FCS)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2022-013(FCS)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2022-016(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
SOU 2022-025(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
SOU 2022-029(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2022-032(LI)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2022-033(SA)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2022-036(SI)	1	\$2,500	\$2,500	\$1,700	9/30/2022	
SOU 2022-038(LI)	1	\$20,000	\$20,000	\$12,850	9/30/2022	
SOU 2022-040(ROP)	1	\$9,500	\$9,500	\$7,125	9/30/2022	
SOU 2022-044(ROP)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2022-045(ROP)	1	\$5,000	\$5,000	\$3,500	9/30/2022	
SOU 2022-048(ROP)	1	\$7,500	\$7,500	\$5,625	9/30/2022	
SOU 2022-052(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2022	
SOU 2022-056(ROP)	1	\$7,500	\$7,500	\$5,625	9/30/2022	
SOU 2022-060(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2022	
SOU 2022-061(ROP)	1	\$2,000	\$2,000	\$1,550	9/30/2022	
SOU 2022-064(SA)	1	\$2,500	\$2,500	\$1,500	9/30/2022	
SOU 2022-065(ROP)	1	\$5,000	\$5,000	\$3,700	9/30/2022	
SOU 2022-068(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
SOU 2022-069(CC)	1	\$1,000	\$1,000	\$919	9/30/2022	
SOU 2022-072(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2022	
SOU 2022-074(LI)	1	\$2,500	\$2,500	\$1,850	9/30/2022	
SOU 2022-076(GC)	1	\$5,000	\$5,000	\$3,750	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
SOU 2022-080(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
SOU 2022-081(SA)	1	\$2,500	\$2,500	\$1,825	9/30/2022	
SOU 2022-084(RSP)	1	\$5,500	\$5,500	\$4,300	9/30/2022	
SOU 2022-091(SA)	1	\$5,000	\$5,000	\$3,800	9/30/2022	
ST 2021-003(RSP)	1	\$17,000	\$17,000	\$12,000	9/27/2022	
ST 2021-004(ROP)	1	\$7,500	\$7,500	\$6,800	9/27/2022	
ST 2021-005(ROP)	1	\$9,500	\$5,000	\$5,000	9/27/2022	Terminated Violations: 1
ST 2021-006(AR)	1	\$2,500	\$2,500	\$2,000	9/27/2022	
ST 2021-007(AR)	1	\$2,500	\$2,500	\$2,000	9/27/2022	
ST 2022-001(ROP)	1	\$9,500	\$5,000	\$5,000	9/27/2022	Terminated Violations: 1
ST 2022-002(RW)	1	\$5,000	\$5,000	\$4,500	9/27/2022	
ST 2022-003(RW)	1	\$5,000	\$5,000	\$4,500	9/27/2022	
ST 2022-004(HS)	1	\$1,000	\$1,000	\$980	9/27/2022	
ST 2022-005(HSR)	1	\$1,000	\$1,000	\$980	9/27/2022	
ST 2022-006(ROP)	1	\$9,500	\$5,000	\$5,000	9/27/2022	Terminated Violations: 1
ST 2022-007(ROP)	1	\$9,500	\$5,000	\$5,000	9/27/2022	Terminated Violations: 1
ST 2022-008(SA)	1	\$5,000	\$5,000	\$4,200	9/27/2022	
STE 2019-001(GC)	1	\$1,000	\$1,000	\$870	8/31/2022	
STE 2019-002(ROP)	1	\$5,000	\$5,000	\$4,000	8/31/2022	
STE 2019-003(SA)	1	\$5,000	\$5,000	\$4,000	8/31/2022	
SUOC 2022-001(HMT)	1	\$2,000	\$2,000	\$2,000	3/7/2022	
TCWR 2017-001(HMT)	2	\$39,000	\$0	\$0	3/31/2022	Case Terminated
TMBL 2022-001(HMT)	1	\$5,000	\$5,000	\$3,000	5/12/2022	
TPW 2021-001(SA)	1	\$2,500	\$2,500	\$2,000	9/28/2022	
TRRA 2019-001(TS)	1	\$5,000	\$5,000	\$5,000	5/2/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
TRRA 2019-002(HMT)	1	\$5,000	\$5,000	\$5,000	5/2/2022	
TRRA 2019-003(SA)	1	\$2,500	\$2,500	\$2,500	5/2/2022	
TRRA 2020-001(TS)	1	\$5,000	\$5,000	\$5,000	5/2/2022	
TRRA 2020-002(ROP)	1	\$7,500	\$7,500	\$7,500	5/2/2022	
TRRA 2020-003(FCS)	1	\$5,000	\$5,000	\$5,000	5/2/2022	
TRRA 2020-004(SA)	1	\$2,500	\$2,500	\$2,500	5/2/2022	
TRRA 2020-005(SA)	1	\$5,000	\$5,000	\$5,000	5/2/2022	
TRRA 2021-001(RW)	1	\$1,500	\$1,500	\$1,500	5/2/2022	
TRRA 2021-002(AD)	1	\$2,500	\$2,500	\$2,500	5/2/2022	
TRRA 2022-001(SA)	1	\$5,000	\$5,000	\$5,000	5/2/2022	
TTXJ 2021-002(SA)	1	\$2,500	\$2,500	\$2,500	4/18/2022	
TXPF 2019-001(TS)	1	\$5,000	\$5,000	\$3,750	6/28/2022	
TXPF 2019-002(TS)	1	\$5,000	\$5,000	\$3,750	6/28/2022	
TXPF 2019-003(TS)	1	\$5,000	\$5,000	\$3,750	6/28/2022	
TXPF 2019-004(AD)	1	\$2,500	\$2,500	\$1,875	6/28/2022	
TXPF 2019-005(AD)	1	\$2,500	\$2,500	\$1,875	6/28/2022	
UMP 2021-001(GC)	1	\$2,500	\$2,500	\$2,500	2/23/2022	
UMP 2021-002(GC)	1	\$5,000	\$5,000	\$5,000	2/23/2022	
UP 2017-050(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2017-210(SI)	1	\$1,000	\$1,000	\$853	9/30/2022	
UP 2017-593(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2019-1093(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2019-1138(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2019-126(GC)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2019-403(AR)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2019-408(AR)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2019-635(HS)	1	\$1,000	\$1,000	\$870	9/30/2022	
UP 2019-705(GS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2019-794(HSR)	1	\$1,000	\$1,000	\$870	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2019-855(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2019-973(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1002(RW)	2	\$8,000	\$8,000	\$5,760	9/30/2022	
UP 2020-1003(TS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1004(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-1005(HMT)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-1008(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-1009(HMT)	1	\$7,000	\$7,000	\$5,040	9/30/2022	
UP 2020-1010(GC)	1	\$1,000	\$1,000	\$892	9/30/2022	
UP 2020-1013(GC)	1	\$1,000	\$1,000	\$892	9/30/2022	
UP 2020-1017(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1018(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1019(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1022(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-1023(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1024(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1027(ROP)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1028(HMT)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2020-1029(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-1032(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2020-1033(HS)	1	\$3,000	\$3,000	\$2,676	9/30/2022	
UP 2020-1034(ROP)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2020-1037(SA)	1	\$20,000	\$20,000	\$14,400	9/30/2022	
UP 2020-1038(ROP)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2020-1039(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-1042(ROP)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2020-1043(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2020-1044(HSR)	1	\$1,000	\$1,000	\$892	9/30/2022	
UP 2020-1047(HMT)	1	\$4,000	\$4,000	\$2,880	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2020-1048(GC)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-1049(FCS)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-1052(ROP)	1	\$6,000	\$6,000	\$4,320	9/30/2022	
UP 2020-1053(ROP)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2020-1054(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-1056(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1057(ROP)	1	\$9,500	\$9,500	\$6,840	9/30/2022	
UP 2020-1058(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1060(HSR)	2	\$2,000	\$2,000	\$1,784	9/30/2022	
UP 2020-1061(HSR)	1	\$3,000	\$3,000	\$2,676	9/30/2022	
UP 2020-1062(HSR)	1	\$2,000	\$2,000	\$1,784	9/30/2022	
UP 2020-1063(HSR)	1	\$1,000	\$1,000	\$892	9/30/2022	
UP 2020-1066(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-1067(ROP)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-1068(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1071(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1072(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1073(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1076(SA)	5	\$25,000	\$25,000	\$18,000	9/30/2022	
UP 2020-1077(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-1078(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-108(GC)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-1081(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1082(LI)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2020-1083(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1086(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1087(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1088(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1091(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2020-1092(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1093(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1096(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1097(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1098(SA)	2	\$10,000	\$10,000	\$7,200	9/30/2022	
UP 2020-1101(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1102(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1103(ROP)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2020-1106(ROP)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-1107(ROP)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2020-1108(TS)	1	\$1,000	\$1,000	\$892	9/30/2022	
UP 2020-1111(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-1115(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1116(EP)	1	\$1,000	\$1,000	\$892	9/30/2022	
UP 2020-1120(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1121(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1122(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1125(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1126(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1127(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1128(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1129(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-1130(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1132(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-1133(EP)	1	\$1,000	\$1,000	\$892	9/30/2022	
UP 2020-1134(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-1137(EP)	1	\$1,000	\$1,000	\$892	9/30/2022	
UP 2020-1138(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-1141(HMT)	1	\$1,000	\$1,000	\$705	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2020-1142(HMT)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2020-1143(HMT)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2020-1146(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-1147(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1148(TS)	3	\$15,000	\$15,000	\$10,800	9/30/2022	
UP 2020-1151(SA)	1	\$15,000	\$15,000	\$10,800	9/30/2022	
UP 2020-1152(TS)	2	\$7,000	\$7,000	\$5,040	9/30/2022	
UP 2020-1153(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-1156(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2020-1157(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2020-1158(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1161(ROP)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2020-1162(HSR)	1	\$1,000	\$1,000	\$892	9/30/2022	
UP 2020-1163(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2020-1166(ROP)	1	\$9,500	\$9,500	\$6,840	9/30/2022	
UP 2020-1167(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-1168(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1171(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1172(TS)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-1173(LI)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2020-1175(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-1176(TS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1177(HMT)	1	\$10,000	\$10,000	\$7,200	9/30/2022	
UP 2020-1178(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-1180(HS)	1	\$3,000	\$3,000	\$2,676	9/30/2022	
UP 2020-1181(ROP)	1	\$4,000	\$4,000	\$2,880	9/30/2022	
UP 2020-1182(HMT)	2	\$12,500	\$12,500	\$9,000	9/30/2022	
UP 2020-1185(HMT)	1	\$4,000	\$4,000	\$2,880	9/30/2022	
UP 2020-1186(HS)	1	\$2,000	\$2,000	\$1,784	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2020-1189(HMT)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2020-1190(HMT)	1	\$15,000	\$15,000	\$10,800	9/30/2022	
UP 2020-1191(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-1194(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1195(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-1196(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1199(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1200(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-1201(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1204(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-1205(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1206(FCS)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-1209(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1210(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1211(HMT)	1	\$1,000	\$1,000	\$600	9/30/2022	
UP 2020-1215(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1216(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1221(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1222(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1223(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1226(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1227(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1228(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-1234(GC)	1	\$1,000	\$1,000	\$892	9/30/2022	
UP 2020-174(GC)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-241(GC)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-245(GC)	1	\$5,000	\$5,000	\$3,000	9/30/2022	
UP 2020-246(GC)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-250(GC)	1	\$5,000	\$5,000	\$3,600	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2020-251(GC)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-255(ROR)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2020-260(ROR)	1	\$9,500	\$9,500	\$5,700	9/30/2022	
UP 2020-262(ROR)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2020-265(HS)	1	\$2,000	\$2,000	\$1,784	9/30/2022	
UP 2020-270(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-271(GC)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-272(GC)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-275(GC)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-276(GC)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-280(GC)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-281(GC)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-289(LI)	1	\$15,000	\$15,000	\$9,750	9/30/2022	
UP 2020-294(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-299(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-304(FCS)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-313(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-318(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-323(ROP)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-328(LI)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2020-333(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-337(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-389(SI)	1	\$1,000	\$1,000	\$893	9/30/2022	
UP 2020-392(HS)	1	\$1,000	\$1,000	\$892	9/30/2022	
UP 2020-397(RSP)	1	\$9,500	\$9,500	\$6,840	9/30/2022	
UP 2020-402(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-407(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-412(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-417(HS)	1	\$1,000	\$1,000	\$892	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2020-422(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-427(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-437(FCS)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-442(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-451(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-456(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-461(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-466(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-477(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-482(HS)	1	\$2,000	\$2,000	\$1,784	9/30/2022	
UP 2020-487(RW)	1	\$3,000	\$3,000	\$2,160	9/30/2022	
UP 2020-489(ROP)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-492(ROP)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2020-499(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-504(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-509(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-514(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-519(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-524(ROP)	1	\$9,500	\$9,500	\$6,840	9/30/2022	
UP 2020-529(ROP)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-534(ROP)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2020-539(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-544(ROP)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2020-549(TS)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-554(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-559(LI)	1	\$25,000	\$25,000	\$16,250	9/30/2022	
UP 2020-567(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-572(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-577(ROP)	1	\$9,500	\$9,500	\$6,840	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2020-582(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2020-587(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-592(TS)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-597(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-602(ROP)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-607(LI)	1	\$1,000	\$1,000	\$892	9/30/2022	
UP 2020-612(TS)	1	\$2,500	\$0	\$0	9/30/2022	Case Terminated
UP 2020-614(HMT)	1	\$4,000	\$4,000	\$2,880	9/30/2022	
UP 2020-617(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-622(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-624(LI)	1	\$1,000	\$1,000	\$892	9/30/2022	
UP 2020-627(FCS)	5	\$25,000	\$25,000	\$18,000	9/30/2022	
UP 2020-629(FCS)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-630(ROP)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2020-632(ROP)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2020-637(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-639(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-644(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-649(FCS)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-654(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-659(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-674(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-689(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2020-692(TS)	1	\$1,000	\$1,000	\$892	9/30/2022	
UP 2020-697(TS)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-699(HS)	1	\$2,000	\$2,000	\$1,784	9/30/2022	
UP 2020-700(HS)	2	\$2,000	\$2,000	\$1,784	9/30/2022	
UP 2020-702(HS)	1	\$2,000	\$2,000	\$1,784	9/30/2022	
UP 2020-707(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2020-712(ROP)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2020-717(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-722(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-724(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-729(ROP)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2020-846(HS)	1	\$1,000	\$1,000	\$892	9/30/2022	
UP 2020-874(HS)	1	\$1,000	\$1,000	\$892	9/30/2022	
UP 2020-882(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-887(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-892(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-897(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-902(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2020-907(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-912(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-917(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-926(SA)	5	\$25,000	\$25,000	\$16,890	9/30/2022	
UP 2020-931(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-936(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-941(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-946(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-950(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-955(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-960(ROP)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2020-965(LI)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2020-970(SA)	1	\$10,000	\$10,000	\$7,200	9/30/2022	
UP 2020-973(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2020-978(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-983(ROP)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2020-988(FCS)	1	\$5,000	\$5,000	\$3,600	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2020-993(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2020-998(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2020-999(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-001(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-002(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-003(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-006(ROP)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2021-007(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-010(ROP)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2021-011(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-012(ROP)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2021-015(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2021-016(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-017(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-020(HMT)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-021(HMT)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2021-022(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-025(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-026(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-027(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-030(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-031(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-032(HMT)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-035(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-036(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-037(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-040(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-041(SA)	1	\$2,500	\$2,500	\$1,500	9/30/2022	
UP 2021-042(SA)	1	\$2,500	\$2,500	\$1,250	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2021-045(FCS)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-046(SA)	1	\$2,500	\$2,500	\$1,500	9/30/2022	
UP 2021-047(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-050(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-051(RW)	1	\$15,000	\$15,000	\$10,800	9/30/2022	
UP 2021-052(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-055(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-056(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-057(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-060(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-061(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-062(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-063(LI)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2021-066(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-067(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-068(ROP)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2021-072(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-073(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-076(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-077(ROP)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-078(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-081(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-082(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-083(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-086(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-087(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-088(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-089(GC)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-092(TS)	1	\$5,000	\$5,000	\$3,600	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2021-093(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-096(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-097(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-098(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-1000(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-1002(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-1003(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-1004(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-1006(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-1008(HS)	1	\$1,000	\$1,000	\$919	9/30/2022	
UP 2021-1009(HS)	1	\$1,000	\$1,000	\$919	9/30/2022	
UP 2021-101(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-1010(HS)	1	\$1,000	\$1,000	\$919	9/30/2022	
UP 2021-1012(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
UP 2021-1013(HS)	1	\$2,000	\$2,000	\$1,840	9/30/2022	
UP 2021-1014(HS)	1	\$2,000	\$2,000	\$1,840	9/30/2022	
UP 2021-1015(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-1016(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-1018(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-1019(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-102(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-1020(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-1022(EP)	1	\$1,000	\$1,000	\$919	9/30/2022	
UP 2021-1023(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-1024(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-1026(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-1027(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-1028(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-103(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2021-1030(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-1032(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-1033(HS)	1	\$1,000	\$1,000	\$920	9/30/2022	
UP 2021-1034(HS)	1	\$1,000	\$1,000	\$920	9/30/2022	
UP 2021-1036(HS)	1	\$2,000	\$2,000	\$1,840	9/30/2022	
UP 2021-1037(HS)	1	\$2,000	\$2,000	\$1,840	9/30/2022	
UP 2021-1038(HS)	1	\$3,000	\$3,000	\$2,760	9/30/2022	
UP 2021-1040(HS)	1	\$2,000	\$2,000	\$1,840	9/30/2022	
UP 2021-1041(HS)	1	\$2,000	\$2,000	\$1,840	9/30/2022	
UP 2021-1042(HS)	1	\$2,000	\$2,000	\$1,840	9/30/2022	
UP 2021-1044(GC)	1	\$20,000	\$20,000	\$13,000	9/30/2022	
UP 2021-1046(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-1047(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-1048(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-1050(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-1052(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-1054(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-1055(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-1056(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-1058(FCS)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-106(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-1060(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-1062(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-1064(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-1066(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-107(FCS)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-108(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-111(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-112(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2021-113(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-116(REM)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-117(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-118(LI)	1	\$1,000	\$1,000	\$908	9/30/2022	
UP 2021-121(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-122(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-123(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-126(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-127(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-128(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-131(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-132(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2021-133(ROP)	1	\$9,500	\$9,500	\$6,840	9/30/2022	
UP 2021-134(HS)	1	\$2,000	\$2,000	\$1,784	9/30/2022	
UP 2021-135(EP)	1	\$1,000	\$1,000	\$892	9/30/2022	
UP 2021-136(EP)	1	\$1,000	\$1,000	\$892	9/30/2022	
UP 2021-139(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-140(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-141(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-144(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-145(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-146(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-149(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-150(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-151(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-155(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-156(GC)	1	\$15,000	\$15,000	\$9,000	9/30/2022	
UP 2021-159(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-160(GC)	1	\$1,000	\$1,000	\$892	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2021-161(SA)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2021-165(GC)	1	\$10,000	\$10,000	\$7,200	9/30/2022	
UP 2021-166(GC)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-169(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-170(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-171(SA)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2021-174(GC)	1	\$20,000	\$20,000	\$13,000	9/30/2022	
UP 2021-175(GC)	1	\$10,000	\$10,000	\$7,200	9/30/2022	
UP 2021-178(GC)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-179(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-180(GC)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-181(GC)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-184(GC)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-185(HMT)	2	\$22,500	\$22,500	\$16,200	9/30/2022	
UP 2021-188(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-189(FCS)	1	\$2,500	\$2,500	\$1,500	9/30/2022	
UP 2021-190(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-194(TS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-195(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-198(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-199(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-200(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-203(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-204(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-205(SA)	1	\$20,000	\$20,000	\$14,400	9/30/2022	
UP 2021-208(ROP)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2021-209(ROP)	1	\$9,500	\$9,500	\$6,840	9/30/2022	
UP 2021-210(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-213(ROP)	1	\$4,000	\$4,000	\$2,880	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2021-215(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-218(ROR)	1	\$9,500	\$9,500	\$6,840	9/30/2022	
UP 2021-220(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-222(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-223(ROP)	1	\$9,500	\$9,500	\$6,840	9/30/2022	
UP 2021-224(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-226(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
UP 2021-228(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
UP 2021-230(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
UP 2021-231(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
UP 2021-233(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-235(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-237(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-238(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-240(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-242(TS)	1	\$1,000	\$1,000	\$908	9/30/2022	
UP 2021-243(GC)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-245(GC)	1	\$20,000	\$20,000	\$13,000	9/30/2022	
UP 2021-246(GC)	1	\$15,000	\$15,000	\$10,800	9/30/2022	
UP 2021-247(GC)	1	\$10,000	\$10,000	\$7,200	9/30/2022	
UP 2021-248(GC)	1	\$25,000	\$25,000	\$16,250	9/30/2022	
UP 2021-250(HS)	1	\$1,000	\$1,000	\$908	9/30/2022	
UP 2021-252(HSR)	1	\$1,000	\$1,000	\$908	9/30/2022	
UP 2021-253(HMT)	2	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-256(GC)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-258(HS)	1	\$1,000	\$1,000	\$908	9/30/2022	
UP 2021-260(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-262(ROP)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2021-263(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2021-265(HS)	1	\$1,000	\$1,000	\$892	9/30/2022	
UP 2021-266(HS)	1	\$1,000	\$1,000	\$892	9/30/2022	
UP 2021-267(HS)	1	\$1,000	\$1,000	\$892	9/30/2022	
UP 2021-268(HS)	1	\$1,000	\$1,000	\$892	9/30/2022	
UP 2021-270(HS)	1	\$1,000	\$1,000	\$892	9/30/2022	
UP 2021-272(CC)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-273(HMT)	2	\$78,000	\$78,000	\$56,160	9/30/2022	
UP 2021-274(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-275(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
UP 2021-278(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-279(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-280(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-283(HS)	1	\$1,000	\$1,000	\$908	9/30/2022	
UP 2021-284(TS)	1	\$1,000	\$1,000	\$908	9/30/2022	
UP 2021-285(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-286(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-289(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-290(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-291(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
UP 2021-292(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
UP 2021-293(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
UP 2021-294(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
UP 2021-295(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
UP 2021-297(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-298(SI)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-299(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
UP 2021-300(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
UP 2021-301(HMT)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2021-302(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2021-303(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-304(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-305(HMT)	1	\$4,000	\$4,000	\$2,880	9/30/2022	
UP 2021-306(SA)	1	\$10,000	\$10,000	\$7,200	9/30/2022	
UP 2021-307(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-308(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-309(ROP)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2021-310(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-311(ROP)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2021-312(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-313(ROP)	1	\$6,000	\$6,000	\$4,320	9/30/2022	
UP 2021-314(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-315(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-316(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-317(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-318(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-319(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-320(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-321(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-322(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
UP 2021-323(TS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-324(HMT)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2021-325(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
UP 2021-326(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-327(SA)	1	\$10,000	\$10,000	\$7,200	9/30/2022	
UP 2021-328(ROP)	1	\$9,500	\$9,500	\$6,840	9/30/2022	
UP 2021-329(ROP)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2021-330(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2021-331(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2021-332(HMT)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-333(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
UP 2021-334(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
UP 2021-335(HMT)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2021-336(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-337(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-338(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-339(SA)	1	\$10,000	\$10,000	\$7,200	9/30/2022	
UP 2021-340(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-341(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-342(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-343(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-344(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-345(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-346(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-347(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-348(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-349(FCS)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-350(LI)	1	\$1,500	\$1,500	\$1,080	9/30/2022	
UP 2021-351(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-352(SA)	1	\$1,000	\$1,000	\$908	9/30/2022	
UP 2021-353(EP)	1	\$1,000	\$1,000	\$892	9/30/2022	
UP 2021-354(EP)	1	\$1,000	\$1,000	\$892	9/30/2022	
UP 2021-355(EP)	1	\$1,000	\$1,000	\$892	9/30/2022	
UP 2021-356(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-357(ROP)	1	\$10,000	\$10,000	\$7,200	9/30/2022	
UP 2021-358(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
UP 2021-359(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
UP 2021-360(FCS)	1	\$5,000	\$5,000	\$3,600	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2021-361(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-362(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
UP 2021-363(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-364(FCS)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-365(SI)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-366(FCS)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-367(SI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-368(HMT)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2021-369(HMT)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2021-370(HMT)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-371(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
UP 2021-372(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2021-373(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
UP 2021-374(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2021-375(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-377(HMT)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2021-378(TS)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-379(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
UP 2021-380(HSR)	1	\$1,000	\$1,000	\$908	9/30/2022	
UP 2021-381(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-382(HSR)	1	\$1,000	\$1,000	\$908	9/30/2022	
UP 2021-383(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-384(HMT)	2	\$13,500	\$13,500	\$9,720	9/30/2022	
UP 2021-385(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-386(EP)	1	\$1,000	\$1,000	\$892	9/30/2022	
UP 2021-387(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-388(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-389(FCS)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-390(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2021-391(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-392(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-393(LI)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2021-394(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-395(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-396(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-397(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-398(HMT)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2021-399(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2021-401(HSR)	1	\$1,000	\$1,000	\$908	9/30/2022	
UP 2021-402(TS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-403(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
UP 2021-404(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-405(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-406(LI)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2021-407(LI)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2021-408(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-410(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
UP 2021-411(HSR)	1	\$1,000	\$1,000	\$908	9/30/2022	
UP 2021-413(HMT)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-414(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-415(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-416(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-417(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-418(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-419(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-420(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-421(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-422(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2021-423(SI)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-424(SI)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-425(SI)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-426(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2021-427(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-428(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2021-429(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
UP 2021-430(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-431(LI)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-432(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-433(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-434(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-435(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-436(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-437(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-438(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-440(TS)	1	\$1,000	\$1,000	\$908	9/30/2022	
UP 2021-441(ROP)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2021-442(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-443(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-444(FCS)	1	\$2,500	\$2,500	\$1,500	9/30/2022	
UP 2021-445(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-446(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-447(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2021-448(ROP)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2021-449(ROP)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2021-450(TS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-451(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-452(HSR)	1	\$1,000	\$1,000	\$908	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2021-453(HMT)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2021-454(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-455(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-456(HMT)	1	\$40,000	\$40,000	\$28,800	9/30/2022	
UP 2021-457(HMT)	1	\$10,000	\$10,000	\$6,000	9/30/2022	
UP 2021-458(HMT)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2021-459(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-460(HMT)	2	\$71,000	\$71,000	\$51,120	9/30/2022	
UP 2021-461(TS)	1	\$1,000	\$1,000	\$908	9/30/2022	
UP 2021-462(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-463(ROP)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2021-464(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
UP 2021-465(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
UP 2021-466(HS)	2	\$2,000	\$2,000	\$1,816	9/30/2022	
UP 2021-467(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
UP 2021-468(SA)	1	\$10,000	\$10,000	\$7,200	9/30/2022	
UP 2021-469(HSR)	1	\$4,000	\$4,000	\$3,632	9/30/2022	
UP 2021-470(ROP)	1	\$7,500	\$7,500	\$4,000	9/30/2022	
UP 2021-471(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
UP 2021-472(HMT)	1	\$6,000	\$6,000	\$4,320	9/30/2022	
UP 2021-473(HMT)	1	\$3,000	\$3,000	\$2,160	9/30/2022	
UP 2021-474(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-475(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-476(TS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-477(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-478(ROP)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2021-479(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-480(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-481(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2021-482(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-483(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-484(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-485(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-486(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-487(FCS)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-488(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-489(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-490(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-491(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-492(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-493(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-494(HMT)	3	\$18,500	\$18,500	\$13,320	9/30/2022	
UP 2021-495(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2021-496(TS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-497(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-498(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-499(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-500(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-502(LI)	1	\$1,500	\$1,500	\$1,080	9/30/2022	
UP 2021-503(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-504(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-505(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-506(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-507(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-508(SA)	1	\$2,500	\$2,500	\$1,500	9/30/2022	
UP 2021-509(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-510(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-511(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2021-512(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-513(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-514(ROP)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-515(ROP)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2021-516(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-517(ROP)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2021-518(HSR)	1	\$15,000	\$15,000	\$13,620	9/30/2022	
UP 2021-519(HSR)	1	\$5,000	\$5,000	\$4,540	9/30/2022	
UP 2021-520(HSR)	1	\$6,000	\$6,000	\$5,448	9/30/2022	
UP 2021-522(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
UP 2021-523(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
UP 2021-526(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2021-527(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-528(ROP)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2021-529(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2021-530(GC)	1	\$5,000	\$5,000	\$3,000	9/30/2022	
UP 2021-531(TS)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-532(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-533(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-534(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-535(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-536(TS)	1	\$1,000	\$1,000	\$919	9/30/2022	
UP 2021-537(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-538(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-539(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-540(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-541(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-542(TS)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-543(AR)	1	\$2,500	\$2,500	\$1,800	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2021-544(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-546(HMT)	2	\$19,000	\$19,000	\$13,680	9/30/2022	
UP 2021-547(HMT)	1	\$6,000	\$6,000	\$4,320	9/30/2022	
UP 2021-548(HMT)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2021-549(SI)	1	\$1,000	\$1,000	\$908	9/30/2022	
UP 2021-550(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-551(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-552(SI)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-553(HMT)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2021-554(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-555(SA)	1	\$2,500	\$2,500	\$1,500	9/30/2022	
UP 2021-556(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-557(HMT)	1	\$999	\$999	\$999	9/30/2022	
UP 2021-558(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-559(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-560(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-561(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-562(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2021-563(SA)	1	\$5,000	\$5,000	\$3,000	9/30/2022	
UP 2021-564(TS)	1	\$1,000	\$1,000	\$908	9/30/2022	
UP 2021-565(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-566(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-567(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-568(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-569(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-570(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-571(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-572(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-573(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2021-574(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-575(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-576(SA)	1	\$10,000	\$10,000	\$7,200	9/30/2022	
UP 2021-577(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-578(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-579(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-580(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-581(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-582(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-583(SA)	1	\$2,500	\$2,500	\$1,500	9/30/2022	
UP 2021-584(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-585(ROP)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2021-586(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2021-587(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-588(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
UP 2021-589(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-590(SA)	1	\$10,000	\$10,000	\$7,200	9/30/2022	
UP 2021-591(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
UP 2021-592(ROP)	1	\$9,500	\$9,500	\$6,840	9/30/2022	
UP 2021-593(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
UP 2021-594(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	
UP 2021-595(EQ)	1	\$7,500	\$0	\$0	9/30/2022	Case Terminated
UP 2021-596(RW)	1	\$3,000	\$3,000	\$2,160	9/30/2022	
UP 2021-597(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
UP 2021-598(SA)	1	\$20,000	\$20,000	\$14,400	9/30/2022	
UP 2021-600(HSR)	1	\$3,000	\$3,000	\$2,724	9/30/2022	
UP 2021-601(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-602(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-603(HS)	1	\$2,000	\$2,000	\$1,816	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2021-604(HSR)	1	\$1,000	\$1,000	\$919	9/30/2022	
UP 2021-605(SA)	1	\$5,000	\$5,000	\$3,000	9/30/2022	
UP 2021-606(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-608(ROP)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2021-610(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-611(HMT)	1	\$6,000	\$6,000	\$4,320	9/30/2022	
UP 2021-612(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-613(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-614(FCS)	1	\$2,500	\$2,500	\$1,500	9/30/2022	
UP 2021-615(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-616(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-617(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-618(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
UP 2021-619(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-620(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-621(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-622(TS)	2	\$5,999	\$5,999	\$4,320	9/30/2022	
UP 2021-623(TS)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-625(FCS)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-626(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-627(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-628(TS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-629(TS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-630(ROP)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2021-631(ROP)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-632(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-633(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-634(FCS)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-635(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2021-636(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-637(SA)	2	\$15,000	\$15,000	\$9,000	9/30/2022	
UP 2021-638(SA)	1	\$10,000	\$10,000	\$7,200	9/30/2022	
UP 2021-639(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-640(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-641(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-643(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-645(HMT)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2021-646(SI)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-647(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-648(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-649(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-650(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-651(HMT)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-652(HMT)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2021-654(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-655(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-656(SA)	1	\$10,000	\$10,000	\$6,000	9/30/2022	
UP 2021-657(LI)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2021-659(LI)	1	\$4,000	\$4,000	\$2,880	9/30/2022	
UP 2021-660(TS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-661(AR)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-662(HMT)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2021-665(AR)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-666(AR)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-667(AR)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-669(HMT)	1	\$4,000	\$4,000	\$2,880	9/30/2022	
UP 2021-670(HMT)	1	\$4,000	\$4,000	\$2,880	9/30/2022	
UP 2021-671(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2021-672(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-673(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-674(FCS)	1	\$2,500	\$2,500	\$1,500	9/30/2022	
UP 2021-675(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-676(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-677(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-678(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-679(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-680(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-681(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-682(HMT)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2021-683(HMT)	1	\$4,000	\$4,000	\$2,880	9/30/2022	
UP 2021-685(HMT)	1	\$20,000	\$20,000	\$14,400	9/30/2022	
UP 2021-686(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-687(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-688(HMT)	1	\$4,000	\$4,000	\$2,880	9/30/2022	
UP 2021-689(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-690(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-691(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-692(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-693(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-694(FCS)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-695(HMT)	1	\$6,000	\$6,000	\$4,320	9/30/2022	
UP 2021-696(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-697(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-698(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-699(HMT)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-701(RW)	1	\$4,500	\$4,500	\$3,240	9/30/2022	
UP 2021-703(HMT)	1	\$7,500	\$7,500	\$5,400	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2021-706(SA)	1	\$10,000	\$10,000	\$7,200	9/30/2022	
UP 2021-708(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-709(HMT)	2	\$51,000	\$51,000	\$36,720	9/30/2022	
UP 2021-710(TS)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-711(TS)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-712(TS)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-714(FCS)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-715(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-716(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-718(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-719(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-720(HMT)	2	\$12,500	\$12,500	\$9,000	9/30/2022	
UP 2021-722(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-723(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-724(HMT)	1	\$4,000	\$4,000	\$2,880	9/30/2022	
UP 2021-726(LI)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2021-727(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-728(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-731(HMT)	1	\$6,000	\$6,000	\$4,320	9/30/2022	
UP 2021-732(HMT)	1	\$3,000	\$3,000	\$2,160	9/30/2022	
UP 2021-734(TS)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-735(HMT)	1	\$6,000	\$6,000	\$4,320	9/30/2022	
UP 2021-736(HS)	1	\$1,000	\$1,000	\$919	9/30/2022	
UP 2021-738(GC)	1	\$25,000	\$25,000	\$16,250	9/30/2022	
UP 2021-739(TS)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2021-741(GC)	1	\$20,000	\$20,000	\$13,000	9/30/2022	
UP 2021-742(GC)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-743(GC)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-745(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	

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UP 2021-746(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-747(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-749(HSR)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
UP 2021-750(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-751(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-753(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-754(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
UP 2021-755(SA)	1	\$15,000	\$15,000	\$10,800	9/30/2022	
UP 2021-757(HMT)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2021-758(SI)	1	\$1,000	\$1,000	\$908	9/30/2022	
UP 2021-759(GC)	1	\$10,000	\$10,000	\$7,200	9/30/2022	
UP 2021-761(TS)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-762(TS)	1	\$8,000	\$8,000	\$4,800	9/30/2022	
UP 2021-763(GC)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-765(SI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-766(GC)	1	\$15,000	\$10,000	\$9,750	9/30/2022	Terminated Violations: 1
UP 2021-767(GC)	1	\$10,000	\$10,000	\$7,200	9/30/2022	
UP 2021-769(GC)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-770(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2021-771(TS)	3	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2021-773(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-774(SA)	1	\$2,500	\$2,500	\$1,500	9/30/2022	
UP 2021-775(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
UP 2021-777(HS)	1	\$1,000	\$1,000	\$919	9/30/2022	
UP 2021-778(HMT)	1	\$6,000	\$6,000	\$4,320	9/30/2022	
UP 2021-779(HMT)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-781(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-782(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	

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UP 2021-783(HSR)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
UP 2021-785(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
UP 2021-786(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
UP 2021-787(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
UP 2021-789(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2021-790(ROP)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2021-791(RW)	1	\$4,000	\$4,000	\$2,880	9/30/2022	
UP 2021-793(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
UP 2021-794(HSR)	1	\$1,000	\$1,000	\$919	9/30/2022	
UP 2021-795(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
UP 2021-797(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-798(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
UP 2021-799(HMT)	2	\$6,000	\$6,000	\$4,320	9/30/2022	
UP 2021-801(HS)	1	\$1,000	\$1,000	\$919	9/30/2022	
UP 2021-802(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
UP 2021-803(CC)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-805(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
UP 2021-806(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-807(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
UP 2021-809(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-810(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
UP 2021-811(AR)	1	\$1,000	\$1,000	\$919	9/30/2022	
UP 2021-813(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
UP 2021-814(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
UP 2021-815(HS)	1	\$1,000	\$1,000	\$919	9/30/2022	
UP 2021-817(HSR)	1	\$1,000	\$1,000	\$919	9/30/2022	
UP 2021-818(HS)	1	\$1,000	\$1,000	\$919	9/30/2022	
UP 2021-819(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-821(LI)	1	\$2,000	\$2,000	\$1,440	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2021-822(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-823(RSP)	1	\$9,500	\$9,500	\$6,840	9/30/2022	
UP 2021-825(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-826(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-827(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-829(HS)	1	\$1,000	\$1,000	\$908	9/30/2022	
UP 2021-830(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2021-831(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
UP 2021-833(HS)	1	\$1,000	\$1,000	\$919	9/30/2022	
UP 2021-834(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-835(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2021-837(HSR)	1	\$1,000	\$1,000	\$919	9/30/2022	
UP 2021-838(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
UP 2021-839(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
UP 2021-841(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
UP 2021-842(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
UP 2021-843(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
UP 2021-845(HSR)	1	\$1,000	\$1,000	\$919	9/30/2022	
UP 2021-846(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
UP 2021-847(HMT)	1	\$7,000	\$7,000	\$5,040	9/30/2022	
UP 2021-849(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2021-850(TS)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-851(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
UP 2021-853(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
UP 2021-854(HMT)	1	\$2,000	\$2,000	\$1,200	9/30/2022	
UP 2021-855(ROP)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-857(FCS)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-858(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-859(ROP)	1	\$2,000	\$2,000	\$1,440	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2021-861(SI)	1	\$20,000	\$20,000	\$14,400	9/30/2022	
UP 2021-862(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-863(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-865(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-866(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
UP 2021-867(HS)	1	\$1,000	\$1,000	\$919	9/30/2022	
UP 2021-869(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
UP 2021-871(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
UP 2021-873(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
UP 2021-874(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-875(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-877(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-878(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-879(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-881(ROP)	1	\$9,500	\$9,500	\$6,840	9/30/2022	
UP 2021-882(TS)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-883(FCS)	1	\$2,500	\$2,500	\$1,625	9/30/2022	
UP 2021-885(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-886(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-887(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-889(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-890(HMT)	1	\$20,000	\$20,000	\$14,400	9/30/2022	
UP 2021-891(HMT)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2021-893(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-894(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-895(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-896(LI)	2	\$4,000	\$4,000	\$2,880	9/30/2022	
UP 2021-898(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-899(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2021-900(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-902(RW)	2	\$3,500	\$3,500	\$2,520	9/30/2022	
UP 2021-903(TS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-904(HMT)	2	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2021-906(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-907(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-908(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-909(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-910(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-911(FCS)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-912(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-914(RW)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2021-915(TS)	1	\$29,192	\$29,192	\$14,596	9/30/2022	
UP 2021-916(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-918(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2021-919(ROP)	1	\$30,058	\$30,058	\$18,035	9/30/2022	
UP 2021-920(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-922(TH)	1	\$15,000	\$0	\$0	9/30/2022	Case Terminated
UP 2021-923(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-924(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-926(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-927(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-928(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-930(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-931(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-932(ROP)	1	\$9,500	\$9,500	\$6,840	9/30/2022	
UP 2021-933(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-934(SA)	1	\$15,000	\$15,000	\$10,800	9/30/2022	
UP 2021-935(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2021-936(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-938(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2021-939(ROP)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2021-940(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-941(ROP)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-942(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-943(ROP)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2021-945(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2021-946(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-947(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-949(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-950(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
UP 2021-952(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-953(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-954(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-956(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-957(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-958(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-960(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-961(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-962(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-963(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-964(TS)	3	\$14,500	\$14,500	\$7,250	9/30/2022	
UP 2021-966(ROP)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2021-968(ROP)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-970(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-971(TS)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-972(TS)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-974(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2021-977(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
UP 2021-978(HS)	1	\$1,000	\$1,000	\$919	9/30/2022	
UP 2021-980(HS)	1	\$3,000	\$3,000	\$2,757	9/30/2022	
UP 2021-981(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
UP 2021-982(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-983(HS)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
UP 2021-984(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-986(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-987(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-988(HS)	1	\$1,000	\$1,000	\$919	9/30/2022	
UP 2021-989(HS)	1	\$1,000	\$1,000	\$919	9/30/2022	
UP 2021-990(HS)	1	\$1,000	\$1,000	\$919	9/30/2022	
UP 2021-991(HS)	1	\$1,000	\$1,000	\$919	9/30/2022	
UP 2021-992(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-994(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-995(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-996(FCS)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2021-998(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2021-999(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-002(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-003(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2022-005(HS)	1	\$2,000	\$2,000	\$1,960	9/30/2022	
UP 2022-007(SA)	1	\$20,000	\$20,000	\$14,400	9/30/2022	
UP 2022-008(HMT)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2022-010(HMT)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2022-012(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-014(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2022-016(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-018(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2022-020(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-022(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2022-024(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-026(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-028(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2022-030(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-032(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-034(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2022-036(HS)	1	\$2,000	\$2,000	\$1,960	9/30/2022	
UP 2022-038(HSR)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
UP 2022-040(HS)	1	\$2,000	\$2,000	\$1,960	9/30/2022	
UP 2022-042(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2022-044(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2022-046(TS)	2	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2022-048(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2022-050(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2022-052(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-054(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-056(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-058(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-060(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-062(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-064(HS)	1	\$2,000	\$2,000	\$1,960	9/30/2022	
UP 2022-066(HMT)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2022-068(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-070(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2022-072(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-074(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2022-076(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2022-078(HS)	1	\$2,000	\$2,000	\$1,960	9/30/2022	
UP 2022-080(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-082(HSR)	1	\$1,000	\$1,000	\$919	9/30/2022	
UP 2022-084(ROP)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2022-085(HS)	1	\$2,000	\$2,000	\$1,960	9/30/2022	
UP 2022-086(HS)	1	\$2,000	\$2,000	\$1,960	9/30/2022	
UP 2022-088(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2022-090(HS)	1	\$2,000	\$2,000	\$1,960	9/30/2022	
UP 2022-092(HS)	1	\$2,000	\$2,000	\$1,960	9/30/2022	
UP 2022-093(HS)	1	\$2,000	\$2,000	\$1,960	9/30/2022	
UP 2022-096(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-098(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-100(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-102(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-104(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-106(ROP)	1	\$9,500	\$9,500	\$6,840	9/30/2022	
UP 2022-108(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-110(FCS)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2022-112(HSR)	1	\$1,000	\$1,000	\$919	9/30/2022	
UP 2022-114(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2022-116(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-118(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2022-120(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2022-122(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-124(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2022-126(HMT)	2	\$10,500	\$10,500	\$7,560	9/30/2022	
UP 2022-128(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-130(HMT)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2022-132(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2022-134(LI)	1	\$1,000	\$1,000	\$980	9/30/2022	
UP 2022-136(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-138(LI)	1	\$1,500	\$1,500	\$990	9/30/2022	
UP 2022-140(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2022-142(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-144(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-146(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-148(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-150(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-152(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-154(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2022-156(ROP)	1	\$9,500	\$9,500	\$6,840	9/30/2022	
UP 2022-158(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2022-160(FCS)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2022-162(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-164(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2022-166(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-170(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-172(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-174(FCS)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2022-176(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-178(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-180(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-182(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2022-184(HMT)	2	\$13,500	\$13,500	\$9,720	9/30/2022	
UP 2022-186(ROP)	1	\$7,500	\$7,500	\$4,500	9/30/2022	
UP 2022-188(RW)	1	\$4,000	\$4,000	\$2,880	9/30/2022	
UP 2022-189(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-191(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2022-193(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-195(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-197(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-199(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-201(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-203(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-204(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-206(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-208(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-210(HS)	1	\$2,000	\$2,000	\$1,960	9/30/2022	
UP 2022-212(SA)	1	\$10,000	\$10,000	\$7,200	9/30/2022	
UP 2022-214(SA)	1	\$10,000	\$10,000	\$7,200	9/30/2022	
UP 2022-216(HMT)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2022-218(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-220(TS)	1	\$5,000	\$5,000	\$2,500	9/30/2022	
UP 2022-222(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-224(HMT)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2022-226(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-228(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-230(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-232(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2022-234(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-236(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-238(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-240(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-241(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2022-243(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-245(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2022-247(LI)	1	\$1,500	\$1,500	\$990	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2022-249(ROP)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2022-250(HS)	1	\$1,000	\$1,000	\$980	9/30/2022	
UP 2022-251(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-253(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2022-255(HS)	1	\$2,000	\$2,000	\$1,960	9/30/2022	
UP 2022-257(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2022-259(HS)	1	\$2,000	\$2,000	\$1,960	9/30/2022	
UP 2022-261(HS)	1	\$2,000	\$2,000	\$1,960	9/30/2022	
UP 2022-263(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2022-265(HS)	1	\$2,000	\$2,000	\$1,960	9/30/2022	
UP 2022-266(HS)	1	\$1,000	\$1,000	\$980	9/30/2022	
UP 2022-267(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-269(HS)	1	\$2,000	\$2,000	\$1,960	9/30/2022	
UP 2022-271(ROP)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2022-273(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-275(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-277(ROP)	1	\$9,500	\$9,500	\$6,840	9/30/2022	
UP 2022-279(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2022-281(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-283(GC)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-285(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2022-287(HS)	1	\$1,000	\$1,000	\$980	9/30/2022	
UP 2022-289(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2022-290(HS)	1	\$1,000	\$1,000	\$980	9/30/2022	
UP 2022-291(HS)	1	\$1,000	\$1,000	\$980	9/30/2022	
UP 2022-293(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2022-295(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2022-299(LI)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-301(HMT)	1	\$2,000	\$2,000	\$1,440	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2022-303(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-305(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-307(FCS)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2022-309(FCS)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-313(SA)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2022-315(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-317(HS)	1	\$2,000	\$2,000	\$1,960	9/30/2022	
UP 2022-319(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-321(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-323(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-325(HS)	1	\$2,000	\$2,000	\$1,960	9/30/2022	
UP 2022-326(HS)	1	\$2,000	\$2,000	\$1,960	9/30/2022	
UP 2022-327(ROP)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2022-329(HS)	1	\$2,000	\$2,000	\$1,960	9/30/2022	
UP 2022-333(HS)	1	\$2,000	\$2,000	\$1,960	9/30/2022	
UP 2022-334(HS)	1	\$3,000	\$3,000	\$2,940	9/30/2022	
UP 2022-335(HSR)	1	\$3,000	\$3,000	\$2,724	9/30/2022	
UP 2022-337(HS)	1	\$3,000	\$3,000	\$2,940	9/30/2022	
UP 2022-339(SA)	1	\$10,000	\$10,000	\$7,200	9/30/2022	
UP 2022-341(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-343(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-345(HMT)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2022-347(HMT)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
UP 2022-349(FCS)	1	\$5,000	\$5,000	\$3,600	9/30/2022	
UP 2022-351(ROP)	1	\$7,500	\$7,500	\$5,400	9/30/2022	
UP 2022-353(HSR)	1	\$2,000	\$2,000	\$1,838	9/30/2022	
UP 2022-355(LI)	1	\$3,000	\$3,000	\$2,940	9/30/2022	
UP 2022-356(SA)	1	\$2,500	\$2,500	\$1,800	9/30/2022	
UP 2022-358(SA)	1	\$10,000	\$10,000	\$7,200	9/30/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2022-360(SA)	1	\$15,000	\$15,000	\$10,800	9/30/2022	
UP 2022-362(HMT)	1	\$2,000	\$2,000	\$1,440	9/30/2022	
VCY 2021-001(ROP)	1	\$9,500	\$9,500	\$7,600	9/28/2022	
VSOR 2022-001(TS)	1	\$5,000	\$5,000	\$3,500	9/29/2022	
WATX 2021-001(LI)	1	\$2,500	\$2,500	\$1,700	9/29/2022	
WATX 2021-002(TS)	1	\$2,500	\$2,500	\$1,700	9/29/2022	
WATX 2021-003(TS)	4	\$14,500	\$14,500	\$10,000	9/29/2022	
WCLQ 2021-001(RW)	1	\$1,500	\$1,500	\$1,500	3/11/2022	
WE 2021-001(AD)	1	\$2,500	\$2,500	\$2,500	2/23/2022	
WGNS 2016-001(TS)	3	\$25,000	\$0	\$0	3/18/2022	Case Terminated
WGNS 2016-002(EP)	1	\$4,000	\$0	\$0	3/18/2022	Case Terminated
WGNS 2016-003(HMT)	1	\$2,000	\$0	\$0	3/18/2022	Case Terminated
WGSB 2020-001(GC)	1	\$5,000	\$5,000	\$5,000	2/2/2022	
WINV 2020-001(BSS)	1	\$12,500	\$12,500	\$9,250	10/22/2021	
WIR 2015-003(TS)	3	\$8,500	\$0	\$0	3/18/2022	Case Terminated
WIR 2016-001(ROP)	1	\$7,500	\$0	\$0	3/18/2022	Case Terminated
WIR 2016-002(ROP)	1	\$2,000	\$0	\$0	3/18/2022	Case Terminated
WIR 2016-003(CC)	1	\$5,000	\$0	\$0	3/18/2022	Case Terminated
WIR 2016-004(EQ)	1	\$7,500	\$0	\$0	3/18/2022	Case Terminated
WIR 2016-005(EQ)	1	\$2,500	\$0	\$0	3/18/2022	Case Terminated
WIR 2016-006(EQ)	1	\$2,500	\$0	\$0	3/18/2022	Case Terminated
WIR 2016-007(EQ)	1	\$3,000	\$0	\$0	3/18/2022	Case Terminated
WIR 2016-008(TS)	1	\$2,500	\$0	\$0	3/18/2022	Case Terminated
WIR 2017-001(ROP)	1	\$5,000	\$0	\$0	3/18/2022	Case Terminated

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
WIR 2017-002(SA)	3	\$7,500	\$0	\$0	3/23/2022	Case Terminated
WMSR 2022-001(LIS)	1	\$1,500	\$1,500	\$1,500	7/18/2022	
WSS 2021-001(SA)	1	\$2,500	\$2,500	\$1,650	2/15/2022	
WSS 2021-002(FCS)	1	\$2,500	\$2,500	\$1,650	2/15/2022	
WSS 2021-003(FCS)	1	\$2,500	\$2,500	\$1,650	2/15/2022	
WSS 2021-004(FCS)	1	\$2,500	\$2,500	\$1,650	2/15/2022	
WSS 2021-005(FCS)	1	\$2,500	\$2,500	\$1,650	2/15/2022	
WTRY 2021-001(LI)	1	\$2,500	\$2,500	\$1,900	9/28/2022	
WZIR 2021-001(HMT)	1	\$5,000	\$5,000	\$4,300	1/5/2022	
XADI 2021-001(RW)	1	\$3,000	\$3,000	\$3,000	3/9/2022	
XAIT 2021-001(HMT)	1	\$15,000	\$0	\$0	2/8/2022	Case Terminated
XAPQ 2021-001(HMT)	1	\$2,500	\$2,500	\$1,875	4/18/2022	
XAPZ 2022-001(HMT)	1	\$2,000	\$2,000	\$2,000	8/29/2022	
XBCP 2019-001(HMT)	1	\$5,000	\$5,000	\$5,000	5/23/2022	
XBLW 2020-001(HMT)	1	\$4,000	\$4,000	\$3,600	3/22/2022	
XBLW 2020-002(HMT)	1	\$10,000	\$10,000	\$8,000	3/22/2022	
XBLW 2020-003(HMT)	1	\$4,000	\$4,000	\$3,400	3/22/2022	
XBML 2018-001(BW)	1	\$2,500	\$2,500	\$2,500	3/31/2022	
XBRR 2020-001(HMT)	1	\$2,000	\$2,000	\$2,000	8/2/2022	
XBUZ 2021-001(HMT)	1	\$7,500	\$7,500	\$5,500	4/29/2022	
XBWP 2022-001(HMT)	1	\$2,000	\$2,000	\$2,000	9/6/2022	
XCAI 2021-001(TS)	3	\$4,000	\$4,000	\$3,000	7/26/2022	
XCAI 2021-002(HMT)	1	\$10,000	\$10,000	\$7,500	3/28/2022	
XCDL 2021-002(RW)	1	\$2,000	\$2,000	\$2,000	3/21/2022	
XCDL 2022-001(RW)	1	\$1,500	\$1,500	\$1,000	6/9/2022	
XCHS 2022-001(HMT)	1	\$5,000	\$5,000	\$4,000	7/21/2022	
XCHS 2022-002(HMT)	1	\$2,000	\$2,000	\$2,000	9/6/2022	
XCHW 2020-001(HMT)	1	\$10,000	\$10,000	\$7,250	11/19/2021	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
XCIH 2020-001(HMT)	2	\$15,000	\$15,000	\$10,000	1/3/2022	
XCPT 2021-001(HMT)	1	\$5,000	\$5,000	\$4,000	12/2/2021	
XCSE 2022-001(RW)	1	\$10,000	\$10,000	\$6,000	3/22/2022	
XEEL 2021-002(HMT)	1	\$7,500	\$7,500	\$7,500	10/1/2021	
XEEL 2022-001(HMT)	1	\$5,000	\$5,000	\$5,000	3/9/2022	
XELI 2021-001(HMT)	3	\$8,000	\$8,000	\$4,800	10/1/2021	
XFEF 2022-002(HMT)	1	\$2,500	\$2,500	\$2,500	8/17/2022	
XGEO 2021-001(HMT)	1	\$5,000	\$5,000	\$5,000	1/20/2022	
XGEO 2022-001(HMT)	1	\$5,000	\$5,000	\$5,000	2/25/2022	
XGEO 2022-002(HMT)	1	\$5,000	\$5,000	\$5,000	5/26/2022	
XHJV 2021-001(GC)	1	\$1,000	\$1,000	\$1,000	8/19/2022	
XKHM 2021-003(HMT)	1	\$5,000	\$5,000	\$5,000	3/22/2022	
XKHM 2021-004(HMT)	1	\$5,000	\$5,000	\$5,000	1/31/2022	
XLSS 2020-001(HMT)	1	\$2,000	\$2,000	\$2,000	10/14/2021	
XMAZ 2021-001(HSR)	1	\$1,000	\$1,000	\$1,000	8/9/2022	
XMHC 2021-001(RW)	1	\$5,000	\$5,000	\$3,500	5/17/2022	
XMKW 2021-002(HMT)	1	\$5,000	\$5,000	\$3,500	5/19/2022	
XMNE 2022-001(RMM)	1	\$2,500	\$2,500	\$2,500	9/26/2022	
XMPI 2021-001(HMT)	1	\$5,000	\$5,000	\$4,000	7/20/2022	
XMPM 2021-001(HMT)	1	\$7,500	\$7,500	\$5,625	8/17/2022	
XMWY 2021-001(RW)	2	\$5,000	\$5,000	\$2,500	5/16/2022	
XNAZ 2021-001(HMT)	6	\$27,500	\$27,500	\$27,500	11/12/2021	
XNRL 2022-001(RW)	1	\$3,000	\$3,000	\$3,000	2/18/2022	
XONE 2018-001(HMT)	2	\$6,500	\$6,500	\$4,400	1/31/2022	
XONE 2018-002(HMT)	1	\$7,500	\$7,500	\$5,000	1/11/2022	
XONE 2021-001(HMT)	1	\$4,000	\$4,000	\$2,700	1/31/2022	
XONE 2022-001(HMT)	1	\$2,000	\$2,000	\$1,800	2/14/2022	
XRLC 2022-001(RMM)	1	\$2,500	\$2,500	\$2,500	8/12/2022	
XROA 2020-001(HMT)	1	\$10,000	\$10,000	\$7,750	6/2/2022	

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XROA 2020-002(HMT)	1	\$5,000	\$5,000	\$3,500	6/2/2022	
XROA 2021-001(HMT)	1	\$5,000	\$5,000	\$3,500	6/2/2022	
XRPN 2021-001(AD)	1	\$2,500	\$2,500	\$2,500	5/31/2022	
XRWC 2021-001(RW)	1	\$3,000	\$3,000	\$3,000	5/19/2022	
XSNA 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	10/29/2021	
XSNA 2022-002(HMT)	1	\$5,000	\$5,000	\$3,500	8/4/2022	
XSSX 2020-001(HMT)	1	\$5,000	\$5,000	\$3,500	5/13/2022	
XSSX 2020-002(HMT)	1	\$2,000	\$2,000	\$1,450	5/13/2022	
XSSX 2020-003(HMT)	1	\$6,000	\$6,000	\$4,350	5/13/2022	
XSSX 2020-004(HMT)	1	\$2,000	\$2,000	\$1,400	5/13/2022	
XSSX 2020-005(HMT)	1	\$2,000	\$2,000	\$1,450	5/13/2022	
XTQU 2021-002(HMT)	3	\$10,000	\$10,000	\$10,000	4/18/2022	
XTRC 2020-001(HMT)	1	\$10,000	\$10,000	\$7,000	6/24/2022	
XTRC 2021-001(HMT)	1	\$2,000	\$2,000	\$1,500	6/24/2022	
XTRN 2019-001(HMT)	4	\$225,000	\$215,000	\$60,750	5/13/2022	
XTRN 2019-002(HMT)	2	\$102,500	\$102,500	\$71,850	5/13/2022	
XTRN 2019-003(HMT)	1	\$10,000	\$10,000	\$7,000	5/13/2022	
XTSS 2021-001(HMT)	1	\$5,000	\$5,000	\$4,000	5/9/2022	
XTSS 2022-001(HMT)	1	\$5,000	\$5,000	\$4,000	5/9/2022	
XTSY 2016-001(RW)	1	\$3,000	\$0	\$0	4/19/2022	Case Terminated
XTWE 2021-001(HMT)	1	\$15,000	\$15,000	\$11,000	5/9/2022	
XWCM 2020-001(HMT)	1	\$15,000	\$15,000	\$15,000	9/29/2022	
XWCT 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	3/7/2022	
XWVT 2020-001(HMT)	1	\$5,000	\$5,000	\$3,700	11/5/2021	
XZTH 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	10/29/2021	
XZTH 2022-001(HMT)	1	\$2,000	\$2,000	\$2,000	8/17/2022	
YSRR 2019-001(GC)	1	\$1,000	\$1,000	\$870	2/16/2022	
YSRR 2019-002(GC)	1	\$1,000	\$1,000	\$870	2/16/2022	
YSRR 2019-003(GC)	1	\$5,000	\$5,000	\$870	2/16/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
YSRR 2020-001(TS)	1	\$5,000	\$5,000	\$2,500	2/16/2022	
YSRR 2020-002(TS)	1	\$5,000	\$5,000	\$2,500	2/16/2022	
ZAAO 2021-003(HMT)	2	\$6,000	\$6,000	\$6,000	11/15/2021	
ZAAO 2022-001(HMT)	1	\$2,000	\$2,000	\$2,000	8/5/2022	
ZABC 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	4/14/2022	
ZACH 2021-003(HMT)	1	\$5,000	\$5,000	\$3,500	11/1/2021	
ZACH 2022-001(HMT)	1	\$5,000	\$5,000	\$3,500	3/15/2022	
ZACH 2022-002(HMT)	1	\$10,000	\$10,000	\$8,300	3/29/2022	
ZACH 2022-003(HMT)	1	\$5,000	\$5,000	\$3,500	5/17/2022	
ZACH 2022-004(HMT)	2	\$10,000	\$10,000	\$7,300	9/22/2022	
ZADL 2021-001(HMT)	1	\$5,000	\$5,000	\$5,000	11/30/2021	
ZADL 2022-001(HMT)	1	\$2,000	\$2,000	\$2,000	5/10/2022	
ZAEF 2020-001(HMT)	1	\$10,000	\$10,000	\$8,000	5/19/2022	
ZAEN 2022-001(HMT)	1	\$20,000	\$20,000	\$13,900	9/7/2022	
ZAFF 2021-001(HMT)	1	\$2,000	\$2,000	\$1,440	4/14/2022	
ZAFF 2022-001(HMT)	1	\$2,000	\$2,000	\$1,440	4/14/2022	
ZAGT 2021-001(HMT)	1	\$4,000	\$4,000	\$4,000	11/19/2021	
ZAHL 2020-001(HMT)	1	\$2,000	\$2,000	\$1,300	11/9/2021	
ZALN 2021-003(HMT)	1	\$2,000	\$2,000	\$1,400	1/6/2022	
ZALN 2021-004(HMT)	1	\$5,000	\$5,000	\$3,400	1/6/2022	
ZALN 2021-005(HMT)	1	\$5,000	\$5,000	\$4,200	1/6/2022	
ZALQ 2021-001(HMT)	1	\$10,000	\$10,000	\$10,000	4/5/2022	
ZALTI 2021-001(HMT)	1	\$5,000	\$5,000	\$1,980	1/21/2022	
ZALTI 2021-002(HMT)	1	\$5,000	\$5,000	\$2,950	1/21/2022	
ZALTS 2022-001(HMT)	1	\$2,000	\$2,000	\$1,400	9/20/2022	
ZAMC 2022-001(HMT)	1	\$5,000	\$5,000	\$3,250	2/17/2022	
ZAND 2021-002(HMT)	1	\$2,000	\$2,000	\$1,400	11/3/2021	
ZANN 2020-002(HMT)	1	\$2,000	\$2,000	\$1,400	11/3/2021	
ZAPC 2021-001(HMT)	2	\$9,000	\$9,000	\$9,000	12/17/2021	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
ZAPM 2021-003(HMT)	1	\$5,000	\$5,000	\$5,000	10/29/2021	
ZAPM 2021-004(HMT)	1	\$5,000	\$2,000	\$1,440	2/10/2022	Terminated Violations: 1
ZAPM 2021-005(HMT)	1	\$5,000	\$5,000	\$4,100	2/10/2022	
ZARG 2021-001(HMT)	1	\$5,000	\$5,000	\$5,000	11/5/2021	
ZARK 2022-001(HMT)	1	\$10,000	\$10,000	\$8,200	3/28/2022	
ZASY 2022-001(HMT)	1	\$5,000	\$5,000	\$5,000	4/5/2022	
ZATP 2022-001(HMT)	1	\$2,000	\$2,000	\$2,000	7/5/2022	
ZAUL 2020-001(HMT)	1	\$2,000	\$2,000	\$1,500	1/20/2022	
ZAUL 2020-002(HMT)	1	\$4,000	\$4,000	\$2,880	1/20/2022	
ZAUM 2022-001(HMT)	1	\$5,000	\$5,000	\$5,000	9/13/2022	
ZAXI 2021-003(HMT)	1	\$2,500	\$2,500	\$1,800	2/28/2022	
ZAXI 2022-001(HMT)	1	\$2,500	\$2,500	\$1,650	2/28/2022	
ZBADG 2020-001 (HMT)	1	\$5,000	\$5,000	\$4,250	5/17/2022	
ZBADG 2021-001 (HMT)	1	\$10,000	\$10,000	\$8,500	5/17/2022	
ZBAH 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	6/6/2022	
ZBAH 2022-001(HMT)	1	\$2,000	\$2,000	\$2,000	6/6/2022	
ZBAK 2020-001(HMT)	1	\$5,000	\$5,000	\$5,000	2/3/2022	
ZBAN 2022-001(HMT)	1	\$2,000	\$2,000	\$2,000	8/30/2022	
ZBAS 2020-001(HMT)	1	\$2,000	\$2,000	\$2,000	6/10/2022	
ZBAS 2020-002(HMT)	1	\$5,000	\$5,000	\$5,000	6/10/2022	
ZBAS 2020-003(HMT)	1	\$2,000	\$2,000	\$2,000	6/10/2022	
ZBAS 2020-004(HMT)	1	\$10,000	\$10,000	\$10,000	6/10/2022	
ZBAS 2020-005(HMT)	2	\$6,000	\$6,000	\$6,000	6/10/2022	
ZBAS 2020-006(HMT)	1	\$4,000	\$4,000	\$4,000	6/10/2022	
ZBAS 2020-007(HMT)	1	\$2,000	\$2,000	\$2,000	6/10/2022	
ZBAS 2021-001(HMT)	1	\$5,000	\$5,000	\$5,000	6/10/2022	
ZBAS 2021-002(HMT)	1	\$10,000	\$10,000	\$10,000	6/10/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
ZBAS 2021-003(HMT)	1	\$10,000	\$10,000	\$10,000	6/10/2022	
ZBAS 2021-004(HMT)	1	\$10,000	\$10,000	\$10,000	6/10/2022	
ZBAS 2022-001(HMT)	2	\$4,000	\$4,000	\$4,000	6/10/2022	
ZBAS 2022-002(HMT)	1	\$5,000	\$5,000	\$5,000	8/24/2022	
ZBBR 2018-001(HMT)	1	\$2,000	\$2,000	\$1,800	2/9/2022	
ZBCC 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	1/27/2022	
ZBCU 2020-001(HMT)	1	\$5,000	\$5,000	\$5,000	4/5/2022	
ZBCU 2020-002(HMT)	1	\$5,000	\$5,000	\$5,000	4/5/2022	
ZBCU 2021-001(HMT)	1	\$5,000	\$5,000	\$5,000	4/5/2022	
ZBCU 2021-002(HMT)	1	\$10,000	\$10,000	\$10,000	4/5/2022	
ZBCZ 2020-001(HMT)	1	\$2,000	\$2,000	\$2,000	2/28/2022	
ZBEP 2020-001(HMT)	1	\$2,500	\$2,500	\$2,500	2/24/2022	
ZBET 2020-001(HMT)	1	\$5,000	\$5,000	\$4,000	5/23/2022	
ZBFM 2020-001(HMT)	2	\$6,000	\$6,000	\$6,000	4/5/2022	
ZBFM 2020-002(HMT)	1	\$2,000	\$2,000	\$2,000	4/5/2022	
ZBGL 2020-001(HMT)	1	\$2,000	\$2,000	\$2,000	2/23/2022	
ZBGL 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	2/23/2022	
ZBGL 2021-002(HMT)	1	\$2,000	\$2,000	\$2,000	4/18/2022	
ZBJG 2020-001(HMT)	1	\$2,000	\$2,000	\$1,500	8/10/2022	
ZBJM 2022-001(HMT)	1	\$2,000	\$2,000	\$1,500	6/10/2022	
ZBKA 2022-001(HMT)	1	\$5,000	\$5,000	\$5,000	8/24/2022	
ZBKH 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	9/7/2022	
ZBLQ 2020-001(HMT)	1	\$5,000	\$5,000	\$5,000	1/27/2022	
ZBMI 2020-001(HMT)	1	\$5,000	\$5,000	\$5,000	5/23/2022	
ZBMI 2020-002(HMT)	1	\$5,000	\$5,000	\$5,000	5/23/2022	
ZBMQ 2020-001(HMT)	1	\$2,000	\$2,000	\$2,000	5/25/2022	
ZBMQ 2020-002(HMT)	1	\$2,000	\$2,000	\$2,000	6/6/2022	
ZBMQ 2020-003(HMT)	1	\$2,000	\$2,000	\$2,000	6/6/2022	
ZBMQ 2021-001(HMT)	1	\$3,000	\$3,000	\$3,000	3/9/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
ZBMQ 2022-001(HMT)	1	\$2,000	\$2,000	\$2,000	8/3/2022	
ZBMS 2019-001(HMT)	1	\$5,000	\$5,000	\$5,000	5/17/2022	
ZBMS 2019-002(HMT)	1	\$2,000	\$2,000	\$2,000	5/2/2022	
ZBMS 2020-001(HMT)	1	\$2,000	\$2,000	\$2,000	5/2/2022	
ZBMS 2022-001(HMT)	2	\$6,000	\$6,000	\$6,000	5/2/2022	
ZBMS 2022-002(HMT)	1	\$5,000	\$5,000	\$5,000	9/29/2022	
ZBMX 2020-001(HMT)	1	\$6,000	\$6,000	\$4,800	2/25/2022	
ZBMX 2020-002(HMT)	1	\$2,000	\$2,000	\$1,500	2/25/2022	
ZBORE 2020-001(HMT)	1	\$2,000	\$2,000	\$2,000	5/25/2022	
ZBOS 2021-001(HMT)	1	\$10,000	\$10,000	\$7,000	9/13/2022	
ZBOW 2022-001(HMT)	1	\$5,000	\$5,000	\$3,000	9/28/2022	
ZBPA 2021-001(HMT)	1	\$2,500	\$2,500	\$2,500	1/18/2022	
ZBPN 2020-003(HMT)	1	\$10,000	\$10,000	\$10,000	2/15/2022	
ZBPN 2020-004(HMT)	1	\$5,000	\$5,000	\$5,000	2/14/2022	
ZBPN 2021-001(HMT)	1	\$15,000	\$15,000	\$15,000	2/15/2022	
ZBPN 2021-002(HMT)	1	\$10,000	\$10,000	\$10,000	2/15/2022	
ZBPN 2021-003(HMT)	1	\$15,000	\$15,000	\$15,000	2/15/2022	
ZBPN 2022-001(HMT)	1	\$10,000	\$10,000	\$10,000	5/26/2022	
ZBPN 2022-002(HMT)	1	\$2,000	\$2,000	\$2,000	4/1/2022	
ZBPN 2022-003(HMT)	1	\$1,000	\$1,000	\$1,000	8/24/2022	
ZBPR 2021-001(HMT)	1	\$5,000	\$5,000	\$5,000	3/2/2022	
ZBRM 2021-001(HMT)	1	\$10,000	\$10,000	\$10,000	3/8/2022	
ZBRP 2020-001(HMT)	1	\$2,000	\$2,000	\$1,650	2/4/2022	
ZBRP 2020-002(HMT)	1	\$6,000	\$6,000	\$5,000	2/4/2022	
ZBRP 2020-003(HMT)	1	\$2,000	\$2,000	\$2,000	1/21/2022	
ZBRP 2020-004(HMT)	2	\$8,000	\$8,000	\$6,500	2/4/2022	
ZBRP 2022-001(HMT)	1	\$2,000	\$2,000	\$1,750	7/21/2022	
ZBSG 2021-001(HMT)	1	\$5,000	\$5,000	\$5,000	8/24/2022	
ZBSN 2020-001(HMT)	1	\$2,000	\$2,000	\$1,600	6/7/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
ZBTN 2020-001(HMT)	1	\$5,000	\$5,000	\$4,500	9/6/2022	
ZBUT 2022-001(HMT)	1	\$5,000	\$5,000	\$5,000	8/4/2022	
ZBUT 2022-002(HMT)	1	\$10,000	\$10,000	\$10,000	8/4/2022	
ZBVD 2020-001(HMT)	1	\$5,000	\$5,000	\$5,000	7/26/2022	
ZBWC 2021-001(HMT)	1	\$5,000	\$5,000	\$4,000	3/8/2022	
ZBYC 2020-001(HMT)	2	\$7,000	\$7,000	\$5,000	6/21/2022	
ZCAO 2021-001(HMT)	1	\$4,000	\$4,000	\$4,000	3/9/2022	
ZCAO 2022-001(HMT)	1	\$5,000	\$5,000	\$5,000	2/23/2022	
ZCCF 2021-003(HMT)	1	\$5,000	\$5,000	\$5,000	12/6/2021	
ZCCM 2022-001(HMT)	1	\$5,000	\$5,000	\$4,000	7/25/2022	
ZCDY 2022-001(HMT)	1	\$2,000	\$2,000	\$2,000	4/5/2022	
ZCEF 2021-001(HMT)	1	\$10,000	\$10,000	\$8,000	10/7/2021	
ZCEF 2021-002(HMT)	2	\$26,000	\$26,000	\$20,800	4/18/2022	
ZCEF 2022-001(HMT)	1	\$5,000	\$5,000	\$4,000	7/21/2022	
ZCELA 2022-001(HMT)	1	\$5,000	\$5,000	\$5,000	2/3/2022	
ZCFC 2021-001(HMT)	1	\$10,000	\$10,000	\$7,000	5/26/2022	
ZCFC 2021-002(HMT)	1	\$5,000	\$5,000	\$4,000	11/4/2021	
ZCFC 2021-003(HMT)	1	\$10,000	\$10,000	\$8,000	11/3/2021	
ZCFC 2021-004(HMT)	1	\$6,000	\$6,000	\$4,200	4/27/2022	
ZCFC 2022-001(HMT)	1	\$10,000	\$10,000	\$8,000	4/27/2022	
ZCFRQ 2020-001(HMT)	1	\$4,000	\$4,000	\$4,000	10/4/2021	
ZCFRQ 2020-002(HMT)	1	\$2,000	\$2,000	\$2,000	10/4/2021	
ZCFX 2022-001(HMT)	1	\$2,000	\$2,000	\$2,000	8/10/2022	
ZCGR 2021-001(HMT)	1	\$2,000	\$2,000	\$1,500	10/1/2021	
ZCHEV 2022-001 (HMT)	1	\$10,000	\$10,000	\$7,500	2/2/2022	
ZCHEV 2022-002 (HMT)	2	\$5,000	\$5,000	\$3,750	2/15/2022	
ZCHEV 2022-003 (HMT)	1	\$2,000	\$2,000	\$2,000	4/5/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
ZCHEV 2022-004 (HMT)	1	\$4,000	\$4,000	\$3,000	9/27/2022	
ZCHF 2022-001(HMT)	1	\$4,000	\$4,000	\$3,000	6/13/2022	
ZCHP 2021-001(HMT)	1	\$10,000	\$10,000	\$10,000	9/8/2022	
ZCHP 2022-001(HMT)	1	\$10,000	\$10,000	\$10,000	9/8/2022	
ZCHS 2019-001(HMT)	1	\$2,000	\$0	\$0	10/13/2021	Case Terminated
ZCHX 2018-004(HMT)	1	\$10,000	\$0	\$0	10/13/2021	Case Terminated
ZCHX 2018-005(HMT)	1	\$5,000	\$0	\$0	10/13/2021	Case Terminated
ZCHX 2020-001(HMT)	1	\$5,000	\$5,000	\$3,750	11/19/2021	
ZCHX 2022-001(HMT)	2	\$10,000	\$0	\$0	6/9/2022	Case Terminated
ZCJZ 2022-001(HMT)	1	\$2,000	\$2,000	\$2,000	4/17/2022	
ZCJZ 2022-002(HMT)	1	\$2,000	\$2,000	\$2,000	8/3/2022	
ZCLI 2022-001(HMT)	1	\$4,000	\$4,000	\$4,000	9/7/2022	
ZCLO 2021-001(HMT)	1	\$4,000	\$4,000	\$3,000	10/28/2021	
ZCLO 2022-001(HMT)	1	\$5,000	\$5,000	\$4,000	9/28/2022	
ZCLS 2022-001(HMT)	1	\$1,000	\$1,000	\$1,000	8/31/2022	
ZCLX 2022-001(HMT)	1	\$5,000	\$5,000	\$3,500	8/31/2022	
ZCMA 2021-001(HMT)	2	\$19,500	\$19,500	\$15,750	10/1/2021	
ZCME 2020-002(HMT)	1	\$5,000	\$5,000	\$4,000	10/4/2021	
ZCME 2020-003(HMT)	1	\$5,000	\$5,000	\$4,000	10/4/2021	
ZCME 2020-004(HMT)	1	\$10,000	\$10,000	\$8,250	10/4/2021	
ZCME 2021-002(HMT)	1	\$5,000	\$5,000	\$4,000	10/4/2021	
ZCME 2022-001(HMT)	1	\$10,000	\$10,000	\$8,000	5/26/2022	
ZCNO 2022-001(HMT)	1	\$10,000	\$10,000	\$8,000	5/9/2022	
ZCNO 2022-002(HMT)	1	\$2,000	\$2,000	\$2,000	5/18/2022	
ZCNS 2021-001(HMT)	1	\$16,000	\$16,000	\$16,000	12/3/2021	
ZCPN 2021-001(HMT)	1	\$5,000	\$5,000	\$5,000	8/2/2022	
ZCPR 2022-001(HMT)	1	\$5,000	\$5,000	\$4,000	8/9/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
ZCPR 2022-002(HMT)	1	\$2,000	\$2,000	\$2,000	8/31/2022	
ZCRB 2021-001(HMT)	1	\$6,000	\$6,000	\$6,000	5/25/2022	
ZCRS 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	11/8/2021	
ZCRS 2022-001(HMT)	1	\$10,000	\$10,000	\$7,000	8/31/2022	
ZCSF 2022-001(HMT)	2	\$6,000	\$6,000	\$6,000	5/25/2022	
ZCT 2021-002(HMT)	1	\$5,000	\$5,000	\$5,000	12/2/2021	
ZCT 2022-001(HMT)	1	\$4,000	\$4,000	\$4,000	9/12/2022	
ZCT 2022-002(HMT)	1	\$2,000	\$2,000	\$2,000	9/12/2022	
ZCT 2022-003(HMT)	1	\$5,000	\$5,000	\$5,000	9/12/2022	
ZCT 2022-004(HMT)	1	\$5,000	\$5,000	\$5,000	9/12/2022	
ZCUC 2022-001(HMT)	2	\$7,000	\$7,000	\$7,000	3/9/2022	
ZCUL 2022-001(HMT)	1	\$8,000	\$8,000	\$6,000	7/12/2022	
ZCUL 2022-002(HMT)	2	\$8,000	\$8,000	\$6,400	7/12/2022	
ZCUT 2020-001(HMT)	1	\$2,000	\$2,000	\$1,500	12/6/2021	
ZDAA 2020-001(HMT)	1	\$10,000	\$10,000	\$10,000	12/7/2021	
ZDAR 2020-001(HMT)	1	\$2,000	\$2,000	\$1,500	10/28/2021	
ZDBS 2020-001(HMT)	1	\$5,000	\$5,000	\$5,000	11/5/2021	
ZDCG 2020-001(HMT)	1	\$2,000	\$2,000	\$2,000	10/29/2021	
ZDCG 2021-001(HMT)	1	\$5,000	\$5,000	\$5,000	3/11/2022	
ZDCPC 2022-001(HMT)	1	\$5,000	\$5,000	\$3,500	9/19/2022	
ZDCU 2021-003(HMT)	1	\$1,000	\$1,000	\$800	3/31/2022	
ZDCU 2021-004(HMT)	1	\$5,000	\$5,000	\$4,000	1/12/2022	
ZDGT 2022-001(HMT)	1	\$2,000	\$2,000	\$1,100	9/1/2022	
ZDKR 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	12/7/2021	
ZDLZ 2021-001(HMT)	1	\$2,500	\$2,500	\$2,500	11/18/2021	
ZDMR 2021-001(HMT)	1	\$5,000	\$5,000	\$3,500	10/12/2021	
ZDNA 2020-001(HMT)	1	\$2,000	\$2,000	\$2,000	10/14/2021	
ZDRC 2021-001(RW)	1	\$3,000	\$3,000	\$3,000	12/22/2021	
ZDRY 2021-001(HMT)	1	\$2,000	\$2,000	\$1,500	12/15/2021	

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ZDRY 2021-002(HMT)	1	\$2,000	\$2,000	\$1,500	12/15/2021	
ZDSP 2021-001(HMT)	1	\$10,000	\$10,000	\$5,000	10/28/2021	
ZDTLP 2021-001(HMT)	1	\$2,000	\$2,000	\$1,500	11/4/2021	
ZDTLP 2021-002(HMT)	1	\$10,000	\$10,000	\$7,500	11/4/2021	
ZDUS 2021-001(HMT)	1	\$30,000	\$30,000	\$21,100	5/26/2022	
ZDYI 2021-003(HMT)	1	\$5,000	\$5,000	\$5,000	11/15/2021	
ZDYI 2022-001(HMT)	1	\$5,000	\$5,000	\$5,000	3/15/2022	
ZDYI 2022-002(HMT)	1	\$5,000	\$5,000	\$5,000	2/24/2022	
ZEACH 2021-004 (HMT)	1	\$5,000	\$5,000	\$3,500	1/7/2022	
ZEACH 2022-001 (HMT)	1	\$5,000	\$5,000	\$3,500	2/25/2022	
ZEACH 2022-002 (HMT)	1	\$2,500	\$2,500	\$1,750	2/22/2022	
ZEACH 2022-003 (HMT)	1	\$10,000	\$10,000	\$8,100	1/25/2022	
ZEACH 2022-004 (HMT)	1	\$2,000	\$2,000	\$1,440	2/8/2022	
ZEACH 2022-005 (HMT)	1	\$5,000	\$5,000	\$3,450	2/8/2022	
ZEACH 2022-006 (HMT)	1	\$5,000	\$5,000	\$3,600	5/23/2022	
ZEAV 2020-001(HMT)	1	\$20,000	\$20,000	\$15,800	11/9/2021	
ZEDC 2021-002(HMT)	2	\$4,000	\$4,000	\$2,600	11/3/2021	
ZEDC 2021-004(HMT)	1	\$2,000	\$2,000	\$1,400	2/16/2022	
ZEDC 2022-002(HMT)	1	\$4,000	\$4,000	\$2,800	7/28/2022	
ZEDC 2022-003(HMT)	3	\$6,000	\$6,000	\$4,200	7/28/2022	
ZEEY 2022-001(HMT)	1	\$5,000	\$5,000	\$4,250	6/21/2022	
ZELEM 2021-002 (HMT)	1	\$10,000	\$10,000	\$10,000	8/5/2022	
ZELEM 2021-003 (HMT)	1	\$5,000	\$5,000	\$5,000	8/5/2022	
ZELM 2021-001(HMT)	1	\$2,000	\$2,000	\$1,200	11/17/2021	
ZEMER 2022-001 (HMT)	2	\$6,000	\$6,000	\$4,460	8/10/2022	

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ZENS 2022-001(HMT)	1	\$10,000	\$10,000	\$8,300	9/8/2022	
ZEPC 2022-001(HMT)	1	\$10,000	\$10,000	\$8,500	5/6/2022	
ZEPC 2022-002(HMT)	1	\$2,000	\$2,000	\$1,460	6/2/2022	
ZEQU 2021-001(HMT)	1	\$10,000	\$10,000	\$7,000	2/23/2022	
ZEQU 2021-002(HMT)	1	\$5,000	\$5,000	\$4,000	10/7/2021	
ZEQU 2022-001(HMT)	1	\$10,000	\$10,000	\$7,900	8/2/2022	
ZEQU 2022-002(HMT)	1	\$2,500	\$2,500	\$1,750	9/19/2022	
ZEQU 2022-003(HMT)	1	\$10,000	\$10,000	\$8,000	9/19/2022	
ZERS 2020-001(HMT)	2	\$15,000	\$15,000	\$10,200	12/8/2021	
ZERS 2020-002(HMT)	1	\$81,993	\$81,993	\$60,800	12/8/2021	
ZERS 2022-001(HMT)	1	\$7,500	\$7,500	\$5,250	9/4/2022	
ZERV 2022-001(HMT)	1	\$5,000	\$5,000	\$3,500	6/27/2022	
ZESR 2021-002(HMT)	2	\$10,000	\$10,000	\$6,450	11/1/2021	
ZESR 2021-003(HMT)	1	\$5,000	\$5,000	\$3,500	9/9/2022	
ZESR 2022-001(HMT)	1	\$2,000	\$2,000	\$1,400	9/9/2022	
ZESR 2022-002(HMT)	1	\$5,000	\$5,000	\$3,600	9/9/2022	
ZESR 2022-003(HMT)	1	\$2,000	\$2,000	\$1,440	9/9/2022	
ZETS 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	4/9/2022	
ZEVD 2021-002(HMT)	1	\$7,500	\$7,500	\$6,375	4/28/2022	
ZEVD 2021-003(HMT)	1	\$5,000	\$5,000	\$3,700	4/15/2022	
ZEVD 2022-001(HMT)	1	\$5,000	\$5,000	\$3,800	4/14/2022	
ZEVD 2022-002(HMT)	1	\$5,000	\$5,000	\$4,000	6/6/2022	
ZFGC 2020-002(HMT)	2	\$6,000	\$6,000	\$4,200	3/4/2022	
ZFOT 2022-001(HMT)	2	\$6,000	\$6,000	\$6,000	4/12/2022	
ZFXI 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	3/22/2022	
ZFXI 2021-002(HMT)	1	\$2,000	\$2,000	\$2,000	3/22/2022	
ZFXI 2022-001(HMT)	1	\$4,000	\$4,000	\$4,000	3/22/2022	
ZGBL 2021-001(HMT)	1	\$5,000	\$5,000	\$3,600	5/23/2022	
ZGCL 2020-002(HMT)	1	\$5,000	\$5,000	\$3,450	5/25/2022	

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ZGCL 2020-003(HMT)	1	\$5,000	\$5,000	\$3,450	5/25/2022	
ZGCL 2021-001(HMT)	1	\$5,000	\$5,000	\$3,450	5/25/2022	
ZGCL 2021-002(HMT)	1	\$5,000	\$5,000	\$3,450	5/25/2022	
ZGEO 2020-001(HMT)	1	\$5,000	\$5,000	\$3,250	5/25/2022	
ZGEO 2020-002(HMT)	1	\$5,000	\$5,000	\$2,750	5/25/2022	
ZGEO 2021-001(HMT)	1	\$10,000	\$10,000	\$7,000	5/25/2022	
ZGEU 2020-001(HMT)	1	\$5,000	\$5,000	\$3,500	5/25/2022	
ZGEU 2022-001(HMT)	1	\$10,000	\$10,000	\$8,000	5/25/2022	
ZGFC 2021-001(HMT)	1	\$5,000	\$5,000	\$5,000	1/19/2022	
ZGFL 2021-001(HMT)	1	\$5,000	\$5,000	\$3,750	5/25/2022	
ZGFL 2021-002(HMT)	1	\$5,000	\$5,000	\$3,750	5/25/2022	
ZGFV 2019-001(HMT)	2	\$14,000	\$0	\$0	5/26/2022	Case Terminated
ZGFV 2021-001(HMT)	1	\$10,000	\$10,000	\$10,000	5/26/2022	
ZGGP 2016-001(HMT)	1	\$10,000	\$0	\$0	5/2/2022	Case Terminated
ZGGP 2016-002(HMT)	1	\$5,000	\$0	\$0	5/2/2022	Case Terminated
ZGGP 2016-003(HMT)	2	\$7,000	\$0	\$0	5/2/2022	Case Terminated
ZGIL 2020-002(HMT)	1	\$5,000	\$5,000	\$3,750	5/27/2022	
ZGIL 2020-003(HMT)	1	\$5,000	\$5,000	\$3,750	5/27/2022	
ZGLY 2020-001(HMT)	2	\$9,000	\$9,000	\$6,500	5/19/2022	
ZGPE 2021-001(HMT)	1	\$5,000	\$5,000	\$3,500	5/26/2022	
ZGPE 2021-002(HMT)	1	\$10,000	\$10,000	\$7,500	5/26/2022	
ZGPE 2022-001(HMT)	1	\$5,000	\$5,000	\$4,000	5/26/2022	
ZGPJ 2020-001(HMT)	2	\$15,000	\$15,000	\$15,000	1/20/2022	
ZGPJ 2021-001(HMT)	1	\$5,000	\$5,000	\$5,000	5/23/2022	
ZGPS 2020-001(HMT)	1	\$5,000	\$5,000	\$3,500	5/25/2022	
ZGPS 2021-001(HMT)	1	\$10,000	\$10,000	\$7,000	5/25/2022	
ZGPS 2021-002(HMT)	1	\$5,000	\$5,000	\$3,500	5/25/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
ZGPS 2022-001(HMT)	1	\$5,000	\$5,000	\$3,500	5/25/2022	
ZGTR 2020-001(HMT)	1	\$10,000	\$10,000	\$7,750	5/30/2022	
ZGTR 2021-001(HMT)	1	\$10,000	\$10,000	\$7,750	5/30/2022	
ZHC 2020-001(HMT)	1	\$2,000	\$2,000	\$2,000	7/21/2022	
ZHC 2020-002(HMT)	1	\$2,000	\$2,000	\$2,000	7/15/2022	
ZHC 2022-001(HMT)	1	\$2,000	\$2,000	\$2,000	7/21/2022	
ZHCG 2019-002(HMT)	1	\$10,000	\$10,000	\$10,000	8/5/2022	
ZHCG 2020-001(HMT)	1	\$2,000	\$2,000	\$2,000	8/5/2022	
ZHDR 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	8/19/2022	
ZHEI 2020-002(HMT)	1	\$2,000	\$2,000	\$2,000	8/12/2022	
ZHEI 2020-003(HMT)	1	\$5,000	\$5,000	\$2,500	7/26/2022	
ZHEI 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	8/12/2022	
ZHFO 2019-002(HMT)	1	\$2,000	\$2,000	\$1,000	8/8/2022	
ZHFP 2019-001(HMT)	1	\$6,000	\$6,000	\$3,000	8/25/2022	
ZHMS 2020-001(HMT)	1	\$7,500	\$7,500	\$7,500	8/5/2022	
ZHMS 2020-002(HMT)	1	\$40,000	\$40,000	\$40,000	8/5/2022	
ZHMS 2020-003(HMT)	1	\$2,000	\$2,000	\$2,000	8/12/2022	
ZHPQ 2019-001(HMT)	1	\$20,000	\$0	\$0	7/28/2022	Case Terminated
ZHTP 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	7/15/2022	
ZHTZ 2019-001(HMT)	2	\$6,000	\$6,000	\$6,000	7/15/2022	
ZHTZ 2021-001(HMT)	2	\$7,000	\$7,000	\$7,000	7/15/2022	
ZHTZ 2022-001(HMT)	1	\$4,000	\$4,000	\$4,000	7/15/2022	
ZHUE 2019-001(HMT)	1	\$5,000	\$5,000	\$5,000	8/5/2022	
ZICP 2022-001(HMT)	1	\$2,500	\$2,500	\$2,500	2/7/2022	
ZIEN 2022-001(HMT)	1	\$5,000	\$5,000	\$5,000	3/2/2022	
ZIES 2019-002(HMT)	1	\$5,000	\$5,000	\$5,000	11/16/2021	
ZIES 2019-003(HMT)	1	\$5,000	\$5,000	\$5,000	11/16/2021	
ZIES 2021-003(HMT)	1	\$5,000	\$5,000	\$5,000	12/1/2021	
ZIFF 2022-001(HMT)	1	\$10,000	\$10,000	\$5,000	5/12/2022	

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ZIMA 2021-002(HMT)	1	\$2,000	\$2,000	\$1,500	10/5/2021	
ZIMA 2022-001(HMT)	1	\$2,500	\$2,500	\$1,500	5/20/2022	
ZIMO 2022-001(HMT)	2	\$10,000	\$10,000	\$10,000	3/9/2022	
ZIMTB 2020-002(HMT)	1	\$5,000	\$5,000	\$5,000	10/7/2021	
ZIMTB 2020-003(HMT)	1	\$1,000	\$1,000	\$1,000	11/12/2021	
ZIMTB 2021-001(HMT)	1	\$5,000	\$5,000	\$5,000	10/7/2021	
ZINTT 2021-002(HMT)	1	\$2,000	\$2,000	\$2,000	10/4/2021	
ZINTT 2022-001(HMT)	1	\$10,000	\$10,000	\$6,375	5/13/2022	
ZINTT 2022-002(HMT)	1	\$10,000	\$10,000	\$6,375	5/13/2022	
ZINTT 2022-003(HMT)	1	\$22,000	\$22,000	\$17,600	4/18/2022	
ZIOR 2020-001(HMT)	1	\$4,000	\$4,000	\$4,000	10/15/2021	
ZIP 2021-011(HMT)	1	\$2,000	\$2,000	\$1,500	10/13/2021	
ZIP 2021-012(HMT)	1	\$2,000	\$2,000	\$1,500	10/21/2021	
ZIPA 2021-002(HMT)	2	\$6,000	\$6,000	\$4,500	10/5/2021	
ZIPI 2022-001(HMT)	1	\$10,000	\$10,000	\$10,000	4/7/2022	
ZIPI 2022-002(HMT)	1	\$5,000	\$5,000	\$5,000	6/22/2022	
ZISY 2022-001(HMT)	1	\$10,000	\$10,000	\$10,000	9/15/2022	
ZITF 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	11/3/2021	
ZITT 2021-004(HMT)	1	\$5,000	\$5,000	\$3,500	2/10/2022	
ZITT 2021-005(HMT)	1	\$10,000	\$10,000	\$7,000	2/10/2022	
ZITT 2021-006(HMT)	1	\$5,000	\$5,000	\$3,500	2/10/2022	
ZITT 2021-007(HMT)	1	\$10,000	\$10,000	\$7,000	2/10/2022	
ZIVS 2021-002(HMT)	1	\$2,000	\$2,000	\$2,000	10/25/2021	
ZIVX 2022-001(HMT)	1	\$5,000	\$5,000	\$5,000	3/17/2022	
ZJBH 2020-001(HMT)	1	\$4,000	\$4,000	\$2,800	3/29/2022	
ZJBH 2020-002(HMT)	1	\$4,000	\$4,000	\$2,800	3/29/2022	
ZJBH 2020-003(HMT)	1	\$3,000	\$3,000	\$2,100	3/29/2022	
ZJBH 2021-001(HMT)	1	\$5,000	\$5,000	\$3,500	3/29/2022	
ZKAT 2020-001(HMT)	1	\$10,000	\$10,000	\$7,500	5/17/2022	

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ZKFC 2022-001(HMT)	1	\$5,000	\$5,000	\$5,000	2/8/2022	
ZKMB 2021-001(HMT)	1	\$7,500	\$7,500	\$5,000	1/24/2022	
ZKMB 2021-004(HMT)	1	\$2,000	\$2,000	\$1,400	1/24/2022	
ZKMB 2022-001(HMT)	1	\$5,000	\$5,000	\$3,500	2/22/2022	
ZKME 2021-001(HMT)	1	\$10,000	\$10,000	\$7,000	2/22/2022	
ZKMQ 2020-002(HMT)	1	\$10,000	\$10,000	\$8,000	3/1/2022	
ZKMTC 2020-001 (HMT)	1	\$2,000	\$2,000	\$1,500	2/2/2022	
ZKOI 2021-001(HMT)	1	\$5,000	\$5,000	\$3,750	1/26/2022	
ZKPI 2022-001(HMT)	1	\$10,000	\$10,000	\$10,000	6/1/2022	
ZKRA 2021-001(HMT)	1	\$2,000	\$2,000	\$1,500	2/22/2022	
ZKRA 2021-002(HMT)	1	\$5,000	\$5,000	\$4,000	2/22/2022	
ZKRA 2021-003(HMT)	1	\$5,000	\$5,000	\$4,000	2/22/2022	
ZKRA 2021-004(HMT)	1	\$2,000	\$2,000	\$1,500	2/22/2022	
ZKRA 2021-005(HMT)	2	\$15,000	\$15,000	\$11,250	2/22/2022	
ZKRA 2021-006(HMT)	1	\$7,500	\$7,500	\$5,600	2/22/2022	
ZKTS 2020-001(HMT)	1	\$2,000	\$2,000	\$2,000	1/28/2022	
ZKTS 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	6/1/2022	
ZKWS 2021-001(HMT)	2	\$8,000	\$8,000	\$8,000	10/26/2021	
ZKWX 2020-001(HMT)	1	\$7,500	\$7,500	\$7,500	1/25/2022	
ZLON 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	2/27/2022	
ZLUB 2022-001(HMT)	1	\$5,000	\$5,000	\$5,000	8/5/2022	
ZMAH 2021-001(HMT)	2	\$9,500	\$9,500	\$9,500	4/18/2022	
ZMAIT 2020-001(HMT)	3	\$13,000	\$13,000	\$9,490	3/15/2022	
ZMAS 2020-001(HMT)	1	\$4,000	\$4,000	\$4,000	3/17/2022	
ZMAX 2020-001(HMT)	1	\$5,000	\$5,000	\$5,000	3/17/2022	
ZMAX 2021-001(HMT)	1	\$5,000	\$5,000	\$5,000	4/12/2022	
ZMED 2021-001(HMT)	1	\$5,000	\$5,000	\$4,000	9/30/2022	
ZMED 2021-002(HMT)	3	\$15,000	\$15,000	\$12,300	9/30/2022	
ZMED 2022-001(HMT)	1	\$4,000	\$4,000	\$3,200	9/30/2022	

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ZMEI 2020-001(HMT)	1	\$10,000	\$10,000	\$7,000	4/20/2022	
ZMEI 2021-001(HMT)	1	\$5,000	\$5,000	\$3,500	4/22/2022	
ZMEI 2021-002(HMT)	1	\$5,000	\$5,000	\$3,500	4/20/2022	
ZMEI 2021-003(HMT)	1	\$7,500	\$7,500	\$5,250	4/20/2022	
ZMEZ 2020-001(HMT)	1	\$5,000	\$5,000	\$3,750	3/28/2022	
ZMFQ 2020-001(HMT)	1	\$2,000	\$2,000	\$1,800	10/18/2021	
ZMFQ 2020-002(HMT)	1	\$2,000	\$2,000	\$1,800	10/18/2021	
ZMFQ 2020-003(HMT)	1	\$6,000	\$6,000	\$5,400	10/18/2021	
ZMFQ 2020-004(HMT)	1	\$40,000	\$40,000	\$36,000	10/18/2021	
ZMFQ 2020-005(HMT)	1	\$50,000	\$50,000	\$45,000	10/18/2021	
ZMFQ 2020-006(HMT)	1	\$45,000	\$45,000	\$40,500	10/18/2021	
ZMFQ 2020-007(HMT)	1	\$2,000	\$2,000	\$1,800	10/18/2021	
ZMFQ 2021-001(HMT)	1	\$4,000	\$4,000	\$3,600	10/18/2021	
ZMFQ 2021-002(HMT)	1	\$6,000	\$6,000	\$4,500	5/11/2022	
ZMFQ 2021-003(HMT)	1	\$1,000	\$1,000	\$926	5/11/2022	
ZMFQ 2022-001(HMT)	1	\$1,000	\$1,000	\$926	5/11/2022	
ZMFQ 2022-002(HMT)	1	\$10,000	\$10,000	\$7,400	7/11/2022	
ZMGG 2022-001(HMT)	2	\$11,500	\$11,500	\$11,500	5/26/2022	
ZMGP 2020-001(HMT)	1	\$5,000	\$5,000	\$3,750	3/24/2022	
ZMGP 2020-002(HMT)	1	\$10,000	\$10,000	\$7,500	3/24/2022	
ZMGP 2020-003(HMT)	1	\$5,000	\$5,000	\$3,750	3/24/2022	
ZMGP 2020-004(HMT)	1	\$5,000	\$5,000	\$3,750	3/24/2022	
ZMGP 2021-001(HMT)	1	\$5,000	\$5,000	\$3,750	3/24/2022	
ZMGP 2021-002(HMT)	1	\$5,000	\$5,000	\$3,750	3/24/2022	
ZMGP 2021-003(HMT)	1	\$5,000	\$5,000	\$3,750	3/24/2022	
ZMGP 2021-004(HMT)	1	\$5,000	\$5,000	\$3,750	3/24/2022	
ZMHO 2020-001(HMT)	1	\$10,000	\$10,000	\$10,000	2/18/2022	
ZMHO 2021-001(HMT)	1	\$5,000	\$5,000	\$5,000	4/15/2022	
ZMHO 2021-002(HMT)	1	\$5,000	\$5,000	\$5,000	4/15/2022	

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ZMHX 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	4/15/2022	
ZMIP 2020-001(HMT)	1	\$7,500	\$7,500	\$7,500	3/4/2022	
ZMIP 2021-001(HMT)	2	\$16,000	\$16,000	\$16,000	5/16/2022	
ZMKY 2020-001(HMT)	1	\$10,000	\$10,000	\$10,000	1/26/2022	
ZMLB 2020-001(HMT)	1	\$5,000	\$5,000	\$3,250	3/29/2022	
ZMLP 2020-001(HMT)	2	\$6,000	\$6,000	\$6,000	3/14/2022	
ZMMM 2020-001(HMT)	1	\$2,000	\$2,000	\$1,400	4/22/2022	
ZMMM 2020-002(HMT)	1	\$2,000	\$2,000	\$1,400	4/22/2022	
ZMNP 2020-005(HMT)	1	\$5,000	\$5,000	\$3,700	5/27/2022	
ZMNP 2020-006(HMT)	1	\$2,000	\$2,000	\$1,480	5/27/2022	
ZMNP 2021-001(HMT)	1	\$2,500	\$2,500	\$1,850	5/27/2022	
ZMNP 2021-002(HMT)	1	\$4,000	\$4,000	\$2,960	5/27/2022	
ZMNP 2021-003(HMT)	1	\$5,000	\$5,000	\$3,500	5/27/2022	
ZMNP 2021-004(HMT)	1	\$20,000	\$20,000	\$14,000	5/27/2022	
ZMNP 2021-005(HMT)	1	\$5,000	\$5,000	\$3,700	5/27/2022	
ZMNP 2021-006(HMT)	1	\$4,000	\$4,000	\$2,960	5/27/2022	
ZMNP 2021-007(HMT)	1	\$10,000	\$10,000	\$7,900	5/27/2022	
ZMNP 2022-001(HMT)	1	\$2,000	\$2,000	\$1,480	5/27/2022	
ZMNT 2020-001(HMT)	1	\$10,000	\$10,000	\$7,400	5/26/2022	
ZMNZ 2021-002(HMT)	3	\$11,000	\$11,000	\$11,000	9/21/2022	
ZMNZ 2022-001(HMT)	1	\$2,000	\$2,000	\$2,000	9/21/2022	
ZMNZ 2022-002(HMT)	1	\$10,000	\$10,000	\$10,000	8/18/2022	
ZMPM 2022-001(HMT)	1	\$2,000	\$2,000	\$2,000	4/11/2022	
ZMQE 2022-001(HMT)	1	\$5,000	\$5,000	\$5,000	5/18/2022	
ZMQE 2022-002(HMT)	1	\$5,000	\$5,000	\$5,000	5/24/2022	
ZMRC 2017-001(HMT)	1	\$10,000	\$10,000	\$3,000	3/29/2022	
ZMROC 2022-001 (HMT)	1	\$2,000	\$2,000	\$2,000	5/16/2022	
ZMSW 2020-001(HMT)	1	\$2,000	\$2,000	\$1,600	4/6/2022	
ZMTE 2020-001(HMT)	1	\$10,000	\$10,000	\$10,000	2/7/2022	

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ZMTE 2021-001(HMT)	1	\$5,000	\$5,000	\$3,800	11/18/2021	
ZMTE 2022-001(HMT)	1	\$24,000	\$24,000	\$24,000	5/26/2022	
ZMTE 2022-002(HMT)	1	\$5,000	\$5,000	\$3,750	8/16/2022	
ZMTT 2020-001(HMT)	2	\$25,000	\$25,000	\$19,750	3/2/2022	
ZMTZ 2022-001(HMT)	1	\$10,000	\$10,000	\$7,000	8/17/2022	
ZMUN 2020-001(HMT)	1	\$5,000	\$5,000	\$5,000	4/13/2022	
ZMUN 2020-002(HMT)	2	\$15,000	\$15,000	\$11,000	4/19/2022	
ZMUSK 2021-001 (HMT)	2	\$3,000	\$3,000	\$3,000	5/4/2022	
ZMUSK 2022-001 (HMT)	1	\$2,000	\$2,000	\$2,000	5/4/2022	
ZMUSK 2022-002 (HMT)	1	\$5,000	\$5,000	\$5,000	8/23/2022	
ZMXC 2020-001(HMT)	1	\$5,000	\$5,000	\$4,200	5/11/2022	
ZMXF 2019-001(HMT)	1	\$5,000	\$5,000	\$5,000	3/1/2022	
ZMXF 2020-001(HMT)	1	\$1,000	\$1,000	\$1,000	3/1/2022	
ZMXF 2021-001(HMT)	1	\$5,000	\$5,000	\$3,500	5/19/2022	
ZMXM 2022-001(HMT)	1	\$2,000	\$2,000	\$1,400	5/17/2022	
ZNA 2021-001(HMT)	1	\$2,000	\$2,000	\$1,000	3/14/2022	
ZNAO 2019-001(HMT)	1	\$5,000	\$5,000	\$5,000	11/18/2021	
ZNBX 2020-001(HMT)	1	\$4,000	\$4,000	\$2,000	11/19/2021	
ZNBX 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	11/19/2021	
ZNCN 2021-001(HMT)	1	\$10,000	\$10,000	\$10,000	1/21/2022	
ZNCS 2021-001(HMT)	1	\$5,000	\$5,000	\$5,000	10/14/2021	
ZNGE 2020-001(HMT)	1	\$15,000	\$15,000	\$15,000	10/29/2021	
ZNGE 2021-001(HMT)	1	\$10,000	\$10,000	\$10,000	4/28/2022	
ZNGE 2021-002(HMT)	1	\$5,000	\$5,000	\$5,000	4/28/2022	
ZNIC 2021-001(HMT)	1	\$5,000	\$5,000	\$5,000	10/29/2021	
ZNTN 2020-001(HMT)	1	\$5,000	\$0	\$0	11/18/2021	Case Terminated
ZNTN 2020-002(HMT)	1	\$10,000	\$10,000	\$8,000	11/19/2021	

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ZNTN 2020-003(HMT)	1	\$16,000	\$16,000	\$10,400	11/19/2021	
ZNTN 2021-001(HMT)	1	\$10,000	\$10,000	\$8,000	11/19/2021	
ZNTN 2021-002(HMT)	2	\$6,000	\$0	\$0	11/29/2021	Case Terminated
ZNTN 2021-004(HMT)	1	\$2,000	\$2,000	\$1,300	11/19/2021	
ZNUS 2021-001(HMT)	1	\$32,000	\$0	\$0	12/6/2021	Case Terminated
ZNYN 2020-001(HMT)	1	\$5,000	\$5,000	\$3,000	4/8/2022	
ZNYN 2020-002(HMT)	1	\$5,000	\$5,000	\$3,000	4/12/2022	
ZNYN 2020-003(HMT)	1	\$5,000	\$5,000	\$3,000	4/12/2022	
ZNYN 2021-001(HMT)	1	\$10,000	\$10,000	\$8,000	4/14/2022	
ZNYN 2021-002(HMT)	1	\$2,000	\$2,000	\$1,200	4/14/2022	
ZNYN 2021-004(HMT)	1	\$10,000	\$10,000	\$8,000	4/12/2022	
ZOCC 2017-005(HMT)	1	\$5,000	\$5,000	\$2,750	8/3/2022	
ZOCC 2018-003(HMT)	1	\$10,000	\$10,000	\$7,000	8/3/2022	
ZOCC 2018-004(HMT)	1	\$5,000	\$5,000	\$3,500	8/3/2022	
ZODY 2021-001(HMT)	1	\$4,000	\$4,000	\$4,000	8/5/2022	
ZODY 2022-001(HMT)	2	\$6,000	\$6,000	\$6,000	8/5/2022	
ZOEE 2021-001(HMT)	1	\$4,000	\$4,000	\$4,000	9/9/2022	
ZOEE 2021-002(HMT)	1	\$10,000	\$10,000	\$10,000	9/9/2022	
ZOEE 2022-001(HMT)	1	\$5,000	\$5,000	\$5,000	9/9/2022	
ZOIL 2018-001(HMT)	1	\$5,000	\$5,000	\$2,500	9/28/2022	
ZOIL 2019-001(HMT)	1	\$2,500	\$2,500	\$1,250	9/28/2022	
ZOIL 2020-001(HMT)	1	\$10,000	\$10,000	\$7,700	9/28/2022	
ZOIL 2020-002(HMT)	1	\$5,000	\$5,000	\$3,300	9/28/2022	
ZOIL 2020-003(HMT)	1	\$5,000	\$5,000	\$3,350	9/28/2022	
ZOIL 2022-001(HMT)	1	\$5,000	\$5,000	\$4,100	9/28/2022	
ZOLI 2019-012(HMT)	1	\$25,000	\$25,000	\$19,800	8/15/2022	
ZOLI 2019-013(HMT)	1	\$25,000	\$25,000	\$19,800	8/15/2022	
ZOLI 2020-004(HMT)	1	\$10,000	\$10,000	\$10,000	8/11/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
ZOLI 2020-005(HMT)	1	\$2,000	\$2,000	\$2,000	8/11/2022	
ZOLI 2020-007(HMT)	1	\$5,000	\$5,000	\$5,000	8/11/2022	
ZOLI 2021-001(HMT)	1	\$5,000	\$5,000	\$5,000	8/11/2022	
ZOLI 2021-002(HMT)	1	\$5,000	\$5,000	\$5,000	8/11/2022	
ZOLI 2021-003(HMT)	1	\$5,000	\$5,000	\$5,000	8/11/2022	
ZOLI 2021-004(HMT)	1	\$5,000	\$5,000	\$5,000	8/11/2022	
ZOLI 2021-005(HMT)	1	\$5,000	\$5,000	\$5,000	8/11/2022	
ZOLI 2021-006(HMT)	1	\$5,000	\$5,000	\$5,000	8/11/2022	
ZOLI 2022-001(HMT)	1	\$5,000	\$5,000	\$5,000	8/11/2022	
ZOLI 2022-002(HMT)	1	\$5,000	\$5,000	\$5,000	8/11/2022	
ZOLI 2022-004(HMT)	1	\$5,000	\$5,000	\$5,000	8/19/2022	
ZOLI 2022-005(HMT)	1	\$5,000	\$5,000	\$5,000	8/24/2022	
ZOTT 2021-001(HMT)	1	\$5,000	\$5,000	\$3,500	7/15/2022	
ZOTT 2021-002(HMT)	1	\$5,000	\$5,000	\$3,500	7/15/2022	
ZOTT 2021-003(HMT)	1	\$5,000	\$5,000	\$3,500	7/15/2022	
ZOTT 2022-001(HMT)	1	\$5,000	\$5,000	\$4,000	7/15/2022	
ZOUS 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	8/22/2022	
ZOXV 2018-001(HMT)	1	\$2,500	\$2,500	\$1,625	9/1/2022	
ZOXV 2018-002(HMT)	1	\$10,000	\$10,000	\$7,700	9/1/2022	
ZOXV 2018-003(HMT)	1	\$5,000	\$5,000	\$3,400	9/1/2022	
ZOXV 2019-001(HMT)	1	\$10,000	\$10,000	\$8,100	9/1/2022	
ZOXV 2019-002(HMT)	1	\$5,000	\$5,000	\$3,450	9/1/2022	
ZOXV 2021-002(TS)	1	\$1,000	\$1,000	\$1,000	10/29/2021	
ZPBN 2021-001(HMT)	1	\$5,000	\$5,000	\$3,700	5/12/2022	
ZPBX 2022-001(HMT)	1	\$5,000	\$5,000	\$3,800	8/25/2022	
ZPCU 2020-001(HMT)	1	\$5,000	\$5,000	\$5,000	8/11/2022	
ZPCU 2021-002(HMT)	3	\$9,000	\$9,000	\$9,000	9/1/2022	
ZPGQ 2021-001(HMT)	1	\$5,000	\$5,000	\$5,000	1/20/2022	
ZPIL 2021-001(HMT)	1	\$5,000	\$5,000	\$5,000	9/1/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
ZPKG 2020-001(HMT)	1	\$5,000	\$5,000	\$5,000	7/26/2022	
ZPKG 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	8/5/2022	
ZPLD 2020-002(HMT)	1	\$2,000	\$2,000	\$2,000	7/14/2022	
ZPLD 2020-003(HMT)	1	\$10,000	\$10,000	\$10,000	7/14/2022	
ZPNA 2020-001(HMT)	1	\$5,000	\$5,000	\$5,000	9/1/2022	
ZQCR 2021-001(HMT)	1	\$2,000	\$2,000	\$1,400	12/29/2021	
ZQUC 2020-001(HMT)	1	\$5,000	\$5,000	\$3,300	1/20/2022	
ZRCH 2021-001(HMT)	1	\$4,000	\$4,000	\$4,000	7/11/2022	
ZREBO 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	7/6/2022	
ZRHI 2021-001(HMT)	1	\$5,000	\$5,000	\$4,000	12/2/2021	
ZRIO 2022-001(HMT)	1	\$8,750	\$8,750	\$7,500	3/3/2022	
ZRLT 2021-001(HMT)	1	\$5,000	\$5,000	\$5,000	9/23/2022	
ZRLT 2021-002(HMT)	1	\$2,500	\$2,500	\$2,500	9/23/2022	
ZRNW 2021-001(HMT)	2	\$4,000	\$4,000	\$2,000	9/21/2022	
ZRNW 2022-001(HMT)	2	\$4,000	\$4,000	\$2,000	9/21/2022	
ZRPF 2022-001(HMT)	1	\$4,000	\$4,000	\$2,750	4/21/2022	
ZRPM 2022-001(HMT)	1	\$5,000	\$5,000	\$5,000	3/30/2022	
ZRPM 2022-002(HMT)	1	\$5,000	\$5,000	\$5,000	5/3/2022	
ZRRQ 2022-001(SA)	1	\$2,500	\$2,500	\$1,750	2/23/2022	
ZRRQ 2022-002(SA)	1	\$2,500	\$2,500	\$1,750	2/23/2022	
ZRSNL 2021-001(HMT)	1	\$10,000	\$10,000	\$7,750	11/10/2021	
ZSAV 2021-002(HMT)	2	\$4,000	\$0	\$0	4/6/2022	Case Terminated
ZSFU 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	11/5/2021	
ZSGG 2019-001(HMT)	1	\$4,000	\$4,000	\$3,000	3/29/2022	
ZSHEL 2022-001(HMT)	1	\$7,500	\$7,500	\$7,500	5/2/2022	
ZSHL 2021-001(HMT)	2	\$10,000	\$10,000	\$10,000	8/9/2022	
ZSHL 2022-001(HMT)	1	\$4,000	\$4,000	\$4,000	6/13/2022	
ZSIN 2016-001(HMT)	1	\$5,000	\$5,000	\$2,500	4/22/2022	
ZSIN 2019-001(HMT)	1	\$6,000	\$6,000	\$3,600	4/22/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
ZSNA 2020-002(HMT)	1	\$7,500	\$7,500	\$6,375	5/27/2022	
ZSNA 2021-001(HMT)	1	\$15,000	\$15,000	\$10,800	5/27/2022	
ZSNA 2021-002(HMT)	1	\$7,500	\$7,500	\$5,400	5/27/2022	
ZSOC 2022-001(HMT)	1	\$2,000	\$2,000	\$2,000	8/16/2022	
ZSOLI 2022-002(HMT)	1	\$2,000	\$2,000	\$1,400	8/26/2022	
ZSSCO 2020-001(HMT)	1	\$10,000	\$10,000	\$7,000	5/13/2022	
ZSSCO 2020-002(HMT)	1	\$10,000	\$10,000	\$7,000	5/13/2022	
ZSSCO 2020-003(HMT)	1	\$5,000	\$5,000	\$3,250	5/13/2022	
ZSSCO 2020-004(HMT)	1	\$5,000	\$5,000	\$3,500	5/13/2022	
ZSSCO 2020-005(HMT)	1	\$2,000	\$2,000	\$1,400	5/13/2022	
ZSSCO 2020-006(HMT)	1	\$5,000	\$5,000	\$3,500	5/13/2022	
ZSSCO 2020-007(HMT)	1	\$10,000	\$10,000	\$7,500	5/13/2022	
ZSSCO 2021-001(HMT)	1	\$5,000	\$5,000	\$3,250	5/13/2022	
ZSSCO 2021-002(HMT)	1	\$10,000	\$5,000	\$3,500	5/13/2022	Terminated Violations: 1
ZSTQ 2020-002(HMT)	1	\$5,000	\$5,000	\$5,000	2/8/2022	
ZSTQ 2021-003(HMT)	1	\$5,000	\$5,000	\$5,000	2/18/2022	
ZSTQ 2021-004(HMT)	1	\$10,000	\$10,000	\$10,000	2/18/2022	
ZSTQ 2021-005(HMT)	1	\$2,000	\$2,000	\$2,000	4/25/2022	
ZSTQ 2022-001(HMT)	1	\$10,000	\$10,000	\$10,000	2/18/2022	
ZSTQ 2022-006(HMT)	1	\$5,000	\$5,000	\$5,000	8/11/2022	
ZSWR 2017-001(HMT)	1	\$5,000	\$5,000	\$2,500	4/22/2022	
ZSWR 2019-003(HMT)	1	\$6,000	\$6,000	\$3,600	4/22/2022	
ZSWR 2019-004(HMT)	1	\$10,000	\$10,000	\$6,000	4/22/2022	
ZSWR 2019-005(HMT)	1	\$5,000	\$5,000	\$3,000	4/22/2022	
ZTCML 2021-001 (HMT)	1	\$15,000	\$15,000	\$15,000	3/8/2022	
ZTCML 2022-001 (HMT)	1	\$2,500	\$2,500	\$2,500	6/1/2022	
ZTEG 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	10/5/2021	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
ZTEI 2021-001(HMT)	1	\$2,000	\$2,000	\$1,200	10/27/2021	
ZTFF 2021-002(HMT)	1	\$2,500	\$2,500	\$1,600	2/8/2022	
ZTFF 2021-003(HMT)	2	\$10,000	\$10,000	\$6,500	2/8/2022	
ZTFF 2021-004(HMT)	1	\$4,000	\$4,000	\$3,250	2/8/2022	
ZTFF 2021-005(HMT)	1	\$8,000	\$8,000	\$6,000	5/20/2022	
ZTKA 2022-001(HMT)	1	\$2,000	\$2,000	\$2,000	5/18/2022	
ZTME 2021-001(HMT)	1	\$10,000	\$10,000	\$10,000	2/25/2022	
ZTRSP 2021-001(HMT)	1	\$5,000	\$5,000	\$3,500	10/29/2021	
ZTRSP 2021-002(HMT)	1	\$5,000	\$5,000	\$3,500	10/29/2021	
ZTRSP 2021-003(HMT)	1	\$5,000	\$5,000	\$3,500	10/29/2021	
ZTSE 2022-001(HMT)	1	\$2,000	\$2,000	\$2,000	8/12/2022	
ZTSS 2022-001(HMT)	1	\$1,000	\$1,000	\$1,000	6/1/2022	
ZTSS 2022-002(HMT)	1	\$5,000	\$5,000	\$3,500	8/16/2022	
ZTXM 2021-001(HMT)	1	\$5,000	\$5,000	\$3,000	1/27/2022	
ZTXM 2022-001(HMT)	1	\$5,000	\$5,000	\$4,000	3/4/2022	
ZTXM 2022-002(HMT)	1	\$5,000	\$5,000	\$3,500	5/18/2022	
ZUCL 2021-002(HMT)	1	\$2,000	\$2,000	\$1,600	1/13/2022	
ZUEC 2021-001(HMT)	1	\$5,000	\$5,000	\$3,600	4/21/2022	
ZUNIV 2021-003(HMT)	2	\$4,000	\$4,000	\$3,100	10/19/2021	
ZUNIV 2022-001(HMT)	2	\$7,000	\$7,000	\$5,320	7/26/2022	
ZUNIV 2022-002(HMT)	1	\$2,000	\$2,000	\$1,520	9/27/2022	
ZUPS 2021-002(HMT)	1	\$5,000	\$5,000	\$5,000	10/18/2021	
ZUSA 2020-001(HMT)	1	\$2,000	\$2,000	\$2,000	3/31/2022	
ZUSA 2022-001(HMT)	1	\$5,000	\$5,000	\$5,000	9/27/2022	
ZUSN 2022-001(HMT)	1	\$5,000	\$5,000	\$5,000	9/13/2022	
ZUSO 2022-001(HMT)	1	\$5,000	\$0	\$0	4/5/2022	Case Terminated
ZUSOR 2022-001(HMT)	1	\$5,000	\$5,000	\$5,000	5/4/2022	
ZUTC 2021-002(HMT)	1	\$10,000	\$10,000	\$10,000	10/6/2021	
ZUTC 2021-003(HMT)	1	\$10,000	\$10,000	\$10,000	3/22/2022	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
ZUTC 2021-004(SA)	1	\$2,500	\$2,500	\$2,500	12/10/2021	
ZUTC 2021-005(HMT)	1	\$2,000	\$2,000	\$2,000	2/15/2022	
ZVCP 2021-001(HMT)	1	\$15,000	\$15,000	\$9,000	11/15/2021	
ZVLA 2021-001(HMT)	1	\$5,000	\$5,000	\$5,000	2/11/2022	
ZWAO 2021-001(HMT)	1	\$20,000	\$20,000	\$11,500	9/29/2022	
ZWBZ 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	1/31/2022	
ZWHT 2021-001(HMT)	1	\$10,000	\$10,000	\$10,000	12/9/2021	
ZWLC 2021-001(HMT)	2	\$7,000	\$7,000	\$5,900	6/6/2022	
ZWLC 2022-001(HMT)	1	\$5,000	\$5,000	\$4,250	6/6/2022	
ZWLC 2022-002(HMT)	1	\$5,000	\$5,000	\$4,400	6/28/2022	
ZWLC 2022-003(HMT)	1	\$15,000	\$15,000	\$13,500	9/15/2022	
ZWLC 2022-004(HMT)	1	\$5,000	\$5,000	\$4,000	9/15/2022	
ZWLT 2020-001(HMT)	1	\$2,000	\$2,000	\$2,000	10/11/2021	
ZWOC 2021-001(HMT)	1	\$2,000	\$2,000	\$2,000	10/29/2021	
ZWOC 2021-002(HMT)	1	\$2,000	\$2,000	\$2,000	10/29/2021	
ZWRK 2022-001(HMT)	1	\$5,000	\$5,000	\$3,750	4/12/2022	
ZWRK 2022-002(HMT)	1	\$2,000	\$2,000	\$1,100	8/9/2022	
ZWRV 2022-001(HMT)	1	\$2,000	\$2,000	\$2,000	5/18/2022	
ZWRV 2022-002(HMT)	1	\$4,000	\$4,000	\$4,000	9/9/2022	
ZWTN 2022-001(HMT)	1	\$5,000	\$5,000	\$4,000	9/29/2022	
ZWTN 2022-002(HMT)	1	\$5,000	\$5,000	\$4,000	9/29/2022	
ZXCL 2021-001(HMT)	1	\$2,000	\$0	\$0	10/25/2021	Case Terminated
ZXCO 2022-001(HMT)	1	\$5,000	\$5,000	\$5,000	8/9/2022	
ZXMC 2021-001(HMT)	1	\$10,000	\$10,000	\$7,000	5/31/2022	
ZXMC 2022-001(HMT)	2	\$20,000	\$20,000	\$10,000	5/31/2022	
ZXMC 2022-002(HMT)	1	\$2,000	\$2,000	\$1,400	7/27/2022	
ZYET 2022-001(HMT)	1	\$10,000	\$10,000	\$10,000	6/7/2022	
ZZAC 2021-002(HMT)	2	\$15,000	\$15,000	\$9,000	11/1/2021	
ZZAL 2021-001(HMT)	1	\$6,000	\$6,000	\$4,200	10/7/2021	

<u>FRA Number</u>	<u>No. Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
ZZAR 2020-002(HMT)	2	\$17,500	\$17,500	\$13,825	11/3/2021	
ZZWM 2022-001(HMT)	1	\$7,500	\$7,500	\$7,500	2/25/2022	
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Total:	4,353	\$19,816,042	\$18,875,087	\$14,152,533		

<u>Codes</u>	<u>Respondent Names</u>
3MCZ	3m Company
ABCX	ABC Railway Inc.
AGR	Alabama & Gulf Coast Railway Llc.
AKDN	Acadiana Railway Company
ALE	Alabama Export Railroad
ALS	The Alton And Southern Railway Company
AM	Arkansas And Missouri Railroad Company
AR	Aberdeen And Rockfish Railroad Company
ATK	National Railroad Passenger Corporation
ATLQ	ATLAS ROOFING CORPORATION
ATLR	Atlantic Railways
ATN	Alabama & Tennessee River Railway Llc
AWRR	Austin Western Railroad
AZCR	Arizona Central Railroad, Incorporated
AZER	Arizona Eastern Railway
BB	Buckingham Branch Railroad Company
BDRV	Belvidere & Delaware River Railway
BDW	Bighorn Divide & Wyoming Railroad Inc.
BHTQ	Baker Petrolite LLC
BIP	Belpre Industrial Parkersburg Railroad
BJRY	Burlington Junction Railway
BLU	Blue Ridge Southern Railroad, LLC
BM	Boston And Maine Corporation
BNSF	BNSF Railway Company
BNSO	Bnsf Suburban Operations
BOCH	Border Chemical Company
BPRR	Buffalo & Pittsburgh Railroad, Inc.
BRC	The Belt Railway Company Of Chicago
BRPZ	British Petroleum Chemical
CA	Chesapeake & Albemarle Railroad Company, Inc.
CAGY	Columbus & Greenville Railway
CAMD	Camden & Southern Railroad
CBR	Coos Bay Rail Line
CBRW	Columbia Basin Railroad Company, Inc.
CCET	Cincinnati East Terminal Rwy

CCT	Central California Traction Company
CERA	Central Railroad Company Of Indianapolis
CFE	Chicago, Ft. Wayne & Eastern
CFI	CF Industries Sales, LLC
CFNR	California Northern Railroad Co.
CFRC	Central Florida Rail Corridor
CKIN	Chesapeake And Indiana Railroad Co. Inc.
CN	Canadian National Railway Company
CORP	Central Oregon & Pacific Railroad, Inc.
CP	Canadian Pacific Railway
CRL	Chicago Rail Link
CRSM	Consolidated Rail Corporation
CSCD	Cascade And Columbia River Railroad Co.
CSX	CSX Transportation Inc.
CUOH	The Columbus & Ohio River RailRoad Co.
CW	Colorado & Wyoming Railway Company
DCR	Delmarva Central Railroad
DCTA	Denton County Transportation Authority
DENZ	DPC Enterprises, L.P.
DRIR	Denver Rock Island Railroad
EARY	Eastern Alabama Railway, Llc
ELWX	Elkhart & Western Railroad Co., Llc
EMRY	Eastern Maine Railway
ERSZ	E.R. Snell Contractor Inc.
FCR	Fulton County Railway, Llc.
FEC	Florida East Coast Railway
FGA	Florida Gulf & Atlantic Railroad Llc
FSR	Fort Smith Railroad Company
GC	Georgia Central Railway
GFRR	Georgia And Florida Railway, Llc.
GLCT	Global Container Terminals
GNWR	Genesee And Wyoming Railroad Company
GRNW	Great Northwest Railroad, LLC
GRYY	Grenada Railway Llc
GS	Georgia Southern Railway Company
GSWY	Gitm Savannah Wharf Yard
GWR	Great Western Railway Of Colorado, LLC

HAR	Har Cros Chemicals Inc
HRT	Hartwell Railroad Company
IHB	Indiana Harbor Belt Railroad Company
IHTR	Iron Horse Terminals
IMRR	Illinois & Midland Railroad, Inc.
IN	Indiana Northeastern Railroad Company
INPR	Idaho Northern And Pacific Railroad
INTD	INTERDOM INC.
IORY	Indiana & Ohio Railway Company
IR	Illinois Railway, LLC
KCS	The Kansas City Southern Railway Company
KJRY	Keokuk Junction Railway Company
KNWA	Kanawha River Railroad
KRR	Kiamichi Railroad Co., Llc.
KRSV	Keolis Rail Services Virginia, LLC
KYLE	KYLE Railroad Co.
LECQ	Lehigh Cement
LI	Long Island Railroad
LRY	LRY Llc
LS	Longview Switching Company
MACZ	Maryland Transit Administration
MALI	Malincrodt Chemical Company
MBTA	Massachusetts Bay Transportation Authority
MDDE	Maryland And Delaware Railroad Company
MDS	Meridian Southern Railway
MEC	Maine Central Railroad Company
MMRR	Mid-Michigan Railroad, Inc.
MNA	Missouri & Northern Arkansas Railroad Co., Inc.
MNCW	Metro-North Commuter Railroad Company
MNN	Minnesota Northern Railway
MNR	Maine Northern Railway Company
MRL	Montana Rail Link
NBER	Nittany And Bald Eagle
NCIQ	Nova Chemicals, Inc.
NCIR	New Castle Industrial Railroad
NCTC	North County Transit Coaster
NDW	Napoleon, Defiance & Western Railway

NERR	Nashville & Eastern Railroad
NKCR	Nebraska, Kansas & Colorado Railway, LLC
NMQQ	Nutrimentos Minerales Sa De Sv
NOPB	New Orleans Public Belt Railroad Commission for the Port of New Orleans
NSR	Newburgh & South Shore Railroad
NYSW	The New York Susquehanna And Western Railway Corp.
OERR	Oregon Eastern Railroad
OPR	Oregon Pacific Railroad
PAS	Pan Am Southern Llc.
PCC	Palouse River & Coulee City Railroad, LLC
PCN	Point Comfort & Northern Railway Co.
PNR	Panhandle Northern
PNWR	Portland And Western Railroad Inc.
PSAP	Puget Sound & Pacific Railroad
PTO	Portland Terminal Railroad Company
PW	Providence And Worcester Rr Company
RCPE	Rapid City, Pierre & Eastern Railroad, Inc.
RJCC	R. J. Corman Railroad Company/Central Kentucky Lines
SBG	Savage Bingham & Garfield Railroad Company
SCAX	Southern California Regional Rail Authority
SJVR	San Joaquin Valley Railroad Co.
SKOL	South Kansas And Oklahoma Railroad Company
SMRT	Sonoma Marin Area Rail Transit
SNY	SMS Rail Lines
SOU	Norfolk Southern Railway Company
ST	Springfield Terminal Railway Company
STE	Stockton Terminal And Eastern Railroad
SUOC	Superior Oil Company, Inc.
TCWR	Twin Cities & Western Railroad Company
TMBL	Tacoma Municipal Belt Line Railway
TPW	Toledo, Peoria And Western Railway Corp.
TRRA	Terminal Railroad Association of St. Louis
TTXJ	TTX Company
TXPF	Texas Pacifico Transportation, Ltd.
UMP	Upper Merion & Plymouth Railroad Company
UP	Union Pacific Railroad Company

VCY	Ventura County Railroad Company
VSOR	Vicksburg Southern Railroad
WATX	Watco Switching
WCLQ	WALSH CONSTRUCTION COMPANY II, LLC
WE	Wheeling & Lake Erie Railway Company
WGNS	Wisconsin Great Northern Railroad, Inc.
WGSB	Wabtec Global Services Houston
WINV	Wisconsin Northern Railroad
WIR	Washington and Idaho Railway, Inc.
WMSR	Western Maryland Scenic Railroad
WSS	Winston-Salem Southbound Railway
WTRY	Wilmington Terminal Railroad Inc.
WZIR	WESTERN ZIRCONIUM
XADI	American Demolition Inc.
XAIT	American Industrial Transport, Inc
XAPQ	Appalachian Railcar Services
XAPZ	Apache Railway Company
XBCP	BP Cherry Point Refinery
XBLW	Blackwater Terminal Harvey
XBML	Bottom Line Company
XBRR	Brown And Root
XBUZ	Buzzi Unicem
XBWP	Boise White Paper
XCAI	Cargill, Inc.
XCDL	CDL Electric Company
XCHS	CHS, Inc.
XCHW	Clean Harbors Wichita, LLC
XCIH	Chemsolv Inc.
XCPT	Center Point Terminal Company
XCSE	C&S Rail Services
XEEL	Estes Express Lines
XELI	Elite Comfort Solutions
XFEF	Fedex Freight, Inc.
XGEO	Georgia Pacific, Llc.
XHJV	HWR , A JOINT VENTURE
XKHM	Koch Methanol, LLC
XLSS	Lone Star Specialties Llc

XMAZ	Bombardier Transportation Marc O+M
XMHC	Musselman & Hall Contractors LLC.
XMKW	Markwest Hydrocarbon, L.L.C.
XMNE	MORAN ENVIRONMENTAL RECOVERY, LLC
XMPI	Mapei Corporation
XMPM	Momentive Performance Materials, Inc.
XMWY	Maintenance Of Way Construction Services
XNAZ	NAZDAR COMPANY
XNRL	National Railroad Safety Services, Inc.
XONE	Ocean Network Express
XRLC	Railroad Consultants
XROA	Rrr Tank Properties, Llc
XRPN	Railplan International Inc.
XRWC	Right Of Way Consulting
XSNA	Sazerac North America
XSSX	Savage Services
XTQU	Tarquin Acid LLC
XTRC	Torrance Refining Company
XTRN	Trinity Rail
XTSS	Turner Specialty Services, LLC
XTSY	TCR Rail Systems
XTWE	TWIN EAGLE
XWCM	Watco Companies Mechanical Services
XWCT	West Central Distribution, LLC
XWVT	Van Wert Terminal LLC
XZTH	Zenith Energy Terminals
YSRR	Youngstown & Southeastern Railroad
ZAAO	Aoc Llc
ZABC	Abc Coke
ZACH	Ashta Chemicals, Inc.
ZADL	Alberta Diluent Terminal, Ltd.
ZAEF	Attis Ethanol Fulton Llc
ZAEN	Altex Energy, Ltd.
ZAFF	Affinity Chemical Llc
ZAGT	Amerigas Propane L.P.
ZAHL	AOC, LLC
ZALN	Alon, USA, Lp

ZALQ	Airgas, An Air Liquide Company
ZALTI	Altivia Petrochemicals, Llc
ZALTS	Alpha Technical Services
ZAMC	Archer Daniels Midland Co.
ZAND	The Andersons, Inc.
ZANN	The Andersons
ZAPC	Air Products Manufacturing Corp.
ZAPM	Ascend Performance Materials Llc
ZARG	Airgas Carbonic
ZARK	Arkema, Inc.
ZASY	Americas Styrenics
ZATP	Allen's Transport Ltd.
ZAUL	Allied Universal Corporation
ZAUM	Austin Master Services Llc
ZAXI	Westlake Chemicals & Vinyl's LLC
ZBADG	Badger State Ethanol
ZBAH	Baker Hughes Holdings LLC
ZBAK	Baker Petrolite Corporation
ZBAN	Bulk Trans, Inc.
ZBAS	BASF Corporation
ZBBR	Barton Brands Inc.
ZBCC	Belle Chemical Company
ZBCU	Blue Cube Operations LLC - Olin Chlor Alkali Logistics, Inc.
ZBCZ	Birla Carbon Usa Inc.
ZBEP	Buckeye Partners, LP
ZBET	Bartow Ethanol Of Florida L.C.
ZBFM	Bailey Feed Mill, Inc.
ZBGL	Brenntag Great Lakes, Llc
ZBJG	B&J Group Inc.
ZBJM	Benjamin Moore Co.1
ZBKA	Braskem America, Inc.
ZBKH	Brookhaven Rail Terminal
ZBLQ	Blossman Gas
ZBMI	Bushmills Ethanol
ZBMQ	Bitumar Inc.
ZBMS	Brenntag Mid-South, Inc.
ZBMX	Bulkmatic De Mexico

ZBORE	Borden & Remington Corporation
ZBOS	BAE Ordnance Systems, Inc.
ZBOW	Brown Forman Distillers Corporation
ZBPA	BP America, Inc.
ZBPN	BP Products North America, Inc.
ZBPR	BP Husky Refining
ZBRM	Blue Racer Midstream, LLC
ZBRP	Brenntag Pacific, Inc.
ZBSG	Blue Star Gas, Inc.
ZBSN	Basin Transload, LLC
ZBTN	Brenntag Northeast
ZBUT	Biourja Trading Llc
ZBVD	Black Velvet Distilling Company
ZBWC	Bwc Terminals
ZBYC	Bayer Cropscience LP
ZCAO	Cando Rail Services Ltd.
ZCCF	Consumer Co-Op Refiners
ZCCM	Cargill-Corn Milling Division
ZCDY	Cody Group Inc.
ZCEF	Chief Ethanol Fuels
ZCELA	Celanese
ZCFC	Chemours Co. Fc, LLC
ZCFRQ	CFR Chemicals
ZCFX	CN CargoFlo
ZCGR	Casa Grande Plant Food Company
ZCHEV	Chevron Products Company
ZCHF	Chemical South Transport
ZCHP	Championx
ZCHS	Clean Harbors Services, Inc.
ZCHX	Clean Harbors Environmental Services, Inc.
ZCJZ	Caljet Of America
ZCLI	Continental Intermodal Group
ZCLO	Carload Connection
ZCLS	Crowley Liner Services Inc.
ZCLX	Chemtrade Logistics Inc.
ZCMA	CMA CGM
ZCME	Calumet Montana Refining, LLC

ZCNO	BWC Terminals LLC
ZCNS	Cosco North America
ZCPN	Cooper Naturals Resources
ZCPR	Citgo Petroleum Corp.
ZCRB	Conrad & Bischoff
ZCRS	Carson Oil
ZCSF	Chemical Systems Of Florida, Inc.
ZCT	Colonial Terminals
ZCUC	Carlisle Construction Materials, LLC
ZCUL	Cul Mac Industries
ZCUT	Calumet Refining, LLC
ZDAA	Daikin America, Inc.
ZDAR	Dart Polymers
ZDBS	Deans Bulk Services Zdbs
ZDCG	Delta Companies Group
ZDCPC	Diversified CPC International, Inc.
ZDCU	The Dow Chemical Company
ZDGT	Dakota Gold Transfer
ZDKR	Delek Refining, Ltd.
ZDLZ	DeLong Company, Inc.
ZDMR	Adm Railcar Repair
ZDNA	Diageo Americas Supply, Inc.
ZDRC	Delta Railroad Construction Inc.
ZDRY	American Dry Ice Corporation
ZDSP	Dimmitt Sulfur Products, Ltd.
ZDTLP	Delta Trading LP
ZDUS	Delek US
ZDYI	Dyno Nobel, Inc.
ZEACH	Eastman Chemical Company
ZEAV	Epic Aviation Llc
ZEDC	El Dorado Chemical Company
ZEEY	Eco-Energy Stone Mountain Rail Terminal
ZELEM	Elementis Chromium Inc.
ZELM	Elementis Global Llc
ZEMER	Emerald Services, Inc.
ZENS	Enersul, Inc.
ZEPC	Enterprise Products Operating Llc

ZEQU	Equistar Chemicals Lp
ZERS	Eagle Railcar Services
ZERV	Elbow River Marketing Ltd
ZESR	Eco Services Operations Corp.
ZETS	Enviro Tech Chemical Services, Inc.
ZEVD	Evonik Corporation
ZFGC	Ferrell Gas, Inc.
ZFOT	Farstad Oil Company
ZFXI	Fxi, Incorporated
ZGBL	Global Companies Llc
ZGCL	Geocycle Llc
ZGEO	Geo Specialty Chemicals, Inc.
ZGEU	Gibson Energy Llc
ZGFC	Greenenergy Fuels Canada Inc.
ZGFL	Gavilon Fertilizer, Llc.
ZGFV	Gfl Environmental Inc.
ZGGP	Golden Gate Petroleum
ZGIL	Giles Chemical
ZGLY	Glycerin Traders
ZGPE	Green Plains Logistics
ZGPJ	Graphic Packaging International
ZGPS	Grain Processing Corporation
ZGTR	The Goodyear Tire & Rubber Co.
ZHC	Henkel Corporation
ZHCG	Huntsman Corporation
ZHDR	Hood River Distillers
ZHEI	Hexion Inc.
ZHFO	Houston Fuel Oil Terminal Co.
ZHFP	Hartland Fuel Products
ZHMS	Husky Marketing And Supply Co.
ZHPQ	Harms Pacific
ZHTP	HTP ENERGY
ZHTZ	Heniff Transportation Systems, Llc
ZHUE	Husky Energy, Inc.
ZICP	Ineos Composites US LLC
ZIEN	Ineos Nitriles
ZIES	Ineos Olefins & Polymers USA

ZIFF	International Flavors & Fragrances
ZIMA	Interplastic Corporation
ZIMO	Imperial Oil Limited
ZIMTB	IMTT Bayonne
ZINTT	International Matex Tank Terminals
ZIOR	FXI, Inc
ZIP	International Paper Company
ZIPA	ICL Industrial Products America Inc.
ZIPI	Ineos Phenol, Inc.
ZISY	Ineos Styrolution America LLC
ZITF	Itafos Conda Llc
ZITT	Intercontinental Terminals Company
ZIVS	INV Management Services, LLC
ZIVX	Indorama Ventures Xylenes & PTA LLC
ZJBH	Jb Hunt
ZKAT	Kane Transport, Inc.
ZKFC	Koch Fertilizer Canada, LLC
ZKMB	Kinder Morgan Bulk Terminals, Inc.
ZKME	Kinder Morgan Energy Partners
ZKMQ	Kinder Morgan
ZKMTC	Kitchenman Terminal Company
ZKOI	Koch Fertilizer Enid, LLC
ZKPI	Koppers Inc.
ZKRA	Kraton Corporation
ZKTS	Kellerstrass
ZKWS	Kemira Water Solutions
ZKWX	Kintetsu World Express
ZLON	Lonza, Inc.
ZLUB	Lubrizol Corporation
ZMAH	McAsphalt Industries Limited
ZMAIT	Matson Intermodal
ZMAS	Mc Asphalt Industries Ltd.
ZMAX	Methanex Methanol Company
ZMED	Mediterranean Shipping Company
ZMEI	Mp Environmental Services, Inc.
ZMEZ	Midstream Energy Partners
ZMFQ	Mosaic Fertilizer Llc

ZMGG	Morrow County Grain Growers, Inc
ZMGP	Mgp Ingredients, Inc.
ZMHO	Monument Chemical Houston, Ltd.
ZMHX	Mhx
ZMIP	Maersk Line, Inc.
ZMKY	Monument Chemical Kentucky, Llc.
ZMLB	MPLX, G&P Law
ZMLP	Millennia Productions
ZMMM	3-M Minnesota Mining & Mfg. Co.
ZMNP	Marathon Petroleum Company
ZMNT	Martin Operating Partnership Lp
ZMNZ	Meser North America, Inc.
ZMPM	Michigan Paving & Materials Company
ZMQE	Marquis Energy, Llc
ZMRC	Martin Transport, Inc.
ZMROC	Mobile Rosin Oil Company, Inc.
ZMSW	M.S. Walker, Inc.
ZMTE	Motiva Enterprises Llc
ZMTT	Midwest Terminals Of Toledo International, Inc.
ZMTZ	Midstream Texas Operating Llc
ZMUN	The Mundy Company
ZMUSK	Musket Corporation
ZMXC	Mexicana De Cobre Sa De Cv Rr/Co
ZMXF	Mexichem Fluor, S.A. De C.V.
ZMXM	Maxam Us, Llc
ZNA	Na Industries
ZNAO	Nalco Champion
ZNBX	Nelson Brothers
ZNCN	Nebraska Corn Processing, Llc
ZNCS	Nease Corporation
ZNGE	Nugen Energy Llc
ZNIC	New-Indy Catawba Llc
ZNTN	Nutrien
ZNUS	Nustar Terminals Operations Partnership L.P.
ZNYN	Nouryon
ZOCC	Occidental Chemical Corporation
ZODY	Odyssey Manufacturing Co.

ZOEE	One Earth Energy, Llc
ZOIL	Oiltanking
ZOLI	Olin Corporation
ZOTT	Oiltanking Texas City L.P.
ZOUS	Southern State Chemical Inc.
ZOXV	Oxyvinyls, Lp
ZPBN	Poet Biorefining-North Manchester
ZPBX	Poet Biorefining-Marion
ZPCU	Polynt Composites Usa, Inc.
ZPGQ	Georgia Pacific Corp.
ZPIL	Pilot Chemicals
ZPKG	Packaging Corporation Of America
ZPLD	PI Developments
ZPNA	Pembina Pipeline Corp.
ZQCR	Quality Carriers
ZQUC	Quaker Houghton
ZRCH	Recochem
ZREBO	Rebel Oil Company
ZRHI	Rohm & Haas, Inc.
ZRIO	Rio Tinto
ZRLT	R & L Transportation
ZRNW	Rail Renewables, Llc
ZRPF	Rayonier Performance Fibers, Llc
ZRPM	Renewable Product Marketing Group, Llc
ZRRQ	Road & Rail Services, Inc.
ZRSNL	Resinall Corp.
ZSAV	Savage Industries
ZSFU	Swift Fuels LLC
ZSGG	STG Logistics
ZSHEL	Shell Chemicals Canada
ZSHL	Shell Canada Products
ZSIN	Sinclair Oil Corporation
ZSNA	Schneider National Carriers, Inc.
ZSOC	Shell Oil Company
ZSOLI	Solutia, Inc.
ZSSCO	Savage Services Corporation
ZSTQ	Stepan Company

ZSWR	Sinclair Wyoming Refining Company
ZTCML	Teck Cominco Metals Ltd.
ZTEG	Triest AG Group, Inc.
ZTEI	Terroco Industries
ZTFF	TForce Freight
ZTKA	Teknor Apex Company
ZTME	Tidewater Midstream & Infrastructure
ZTRSP	Tropical Shipping USA, LLC
ZTSE	Twin States Engineering & Chemicals
ZTSS	Tessengerlo Kerley, Inc.
ZTXM	Texmark Chemicals
ZUCL	Univar Canada Ltd.
ZUEC	US Ecology
ZUNIV	Univar Solutions Inc.
ZUPS	United Parcel Service, Inc.
ZUSA	Airgas USA
ZUSN	US Nitrogen
ZUSO	U.S. Venture, Inc.
ZUSOR	U.S. Oil And Refining Company
ZUTC	Union Tank Car Company
ZVCP	Vantage Corn Processors LLC
ZVLA	Vopak Terminal Los Angeles
ZWAO	Watco Terminal And Port Services
ZWBZ	Wiebe Transport
ZWHT	Whitecap Resources
ZWLC	Westlake Corporation
ZWLT	Wolf Lake Terminals, Inc.
ZWOC	Whitaker Oil Company
ZWRK	WestRock Mill Company
ZWRV	Twin Rivers Paper Company
ZWTN	Watco Transloading, LLC
ZXCL	CLARIOS, LLC
ZXCO	COMO Oil of Florida
ZXMC	MITSUBISHI CHEMICAL AMERICA
ZYET	Yuma Ethanol, LLC
ZZAC	Zaclon, Inc.
ZZAL	A&R Logistics Inc.

ZZAR The Andersons, Inc.
ZZWM Waste Management