

**Federal  
Railroad  
Administration**

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**Fiscal Year 2018  
Enforcement Report**

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Appendix A—“Railroad Safety Civil Penalty Cases Closed during Fiscal Year 2018”

# Federal Railroad Administration Fiscal Year 2018 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.<sup>1</sup> 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.<sup>2</sup> Also, as authorized by law, FRA issues orders assessing civil penalties for violations of the hazardous materials statutes, regulations, and orders.<sup>3</sup>

In April 2010, FRA posted an expanded enforcement report pursuant to 49 U.S.C. § 20120 on FRA's Web site (<http://www.fra.dot.gov>) to include more information.<sup>4</sup> FRA intends to make this additional safety enforcement information available each year by December 31 for the preceding fiscal year (FY), October 1 through September 30.

This FY 2018 report includes the following:

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

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

<sup>2</sup> 49 U.S.C. ch. 213, and 31 U.S.C. § 3711.

<sup>3</sup> 49 U.S.C. ch. 51; 49 C.F.R. § 1.89; 49 C.F.R. part 209.

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

**II. SUMMARY OF INSPECTIONS AND AUDITS PERFORMED,  
AND ENFORCEMENT ACTIONS RECOMMENDED  
IN FY 2018**

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

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

Number of Inspection Reports:	71,569
Defects:	280,607
Units:	3,288,361
Number of Observations:	315,660
Number of Reports with a Recommended Violation:	3,968
Number of Recommended Violation Defects:	9,940
Number of Inspection Days:	56,057

**2. Railroads Only**

Number of Inspection Reports:	65,417
Defects:	270,717
Units:	3,230,794
Number of Observations:	297,224
Number of Reports with a Recommended Violation:	3,137
Number of Recommended Violation Defects:	7,294
Number of Inspection Days:	53,253

**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
<b>Accident Reporting</b>	322

**2. Grade Crossing Signal System Safety**

Violation Type	Number of Recommended Violations
<b>Grade Crossing Signal Safety</b>	308

**3. Hazardous Materials**

Violation Type	Number of Recommended Violations
<b>Hazardous Materials</b>	3,026

#### 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	629
Locomotive Safety Standards	457
Passenger Equipment Safety Standards	29
Passenger Train Emergency Preparedness	5
Rear End Marking Devices	1
Safety Appliance Statutes and Regulations	1,539
Safety Glazing Standards	0
Steam Locomotive Inspection and Maintenance	0
All	2,660

#### 6. Railroad Operating Practices

Violation Type	Number of Recommended Violations
Alcohol and Drug Use	316
Conductor Qualifications	83
Critical Incident Stress Plans	1
Engineer Qualifications	99
FRA Emergency Order(s)	0
Hours of Service Laws and Regulations	192
Hours of Service Record Keeping	210
Railroad Communications	9
Railroad Operating Practices	404
Railroad Operating Rules	514
Railroad Safety Enforcement Procedures	9
Train Horn/Quiet Zone	4
All	1,841

**7. Signal and Train Control**

Violation Type	Number of Recommended Violations
<b>Signal Inspection Regulations</b>	118
<b>PTC System Implementation</b>	13
<b>All</b>	131

**8. Track**

Violation Type	Number of Recommended Violations
<b>Bridge Safety Standards</b>	7
<b>Bridge Worker Safety Standards</b>	19
<b>Roadway Worker Protection</b>	74
<b>Track Safety Standards</b>	1,552
<b>All</b>	1,652

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

**1. Class I Railroads**

Number of Inspection Reports:	47,659
Defects:	202,100
Units:	2,576,138
Number of Observations:	222,502
Number of Reports with a Recommended Violation:	2,490
Number of Recommended Violation Defects:	5,669
Number of Inspection Days: <sup>5</sup>	39,859

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<sup>5</sup> 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.

## 2. Probable Class II Railroads<sup>6</sup>

Number of Inspection Reports:	1,957
Defects:	7,489
Units:	155,949
Number of Observations:	9,280
Number of Reports with a Recommended Violation:	48
Number of Recommended Violation Defects:	71
Number of Inspection Days:	1,784

## 3. Probable Class III Railroads

Number of Inspection Reports:	15,801
Defects:	61,128
Units:	498,707
Number of Observations:	65,442
Number of Reports with a Recommended Violation:	599
Number of Recommended Violation Defects:	1,554
Number of Inspection Days:	13,679

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<sup>6</sup> FRA has identified seven of the eight Class I railroads based on information they filed with the Surface Transportation Board (STB) for calendar year 2017—the latest year available—regarding their annual operating revenues. See STB Web site (<http://www.stb.dot.gov>) under “All Economic Data” and then “Annual Report Financial Data.” STB requires such filings only from Class I railroads. See 49 C.F.R. § 1241.11 and Ex Parte No. 393 (Sub-No. 2), decided Oct. 28, 1988, 1988 WL 224990 (I.C.C.). 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.) (all held by Pan Am Railways, Inc.); 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:	10,131
Defects:	43,279
Units:	578,516
Number of Observations:	47,889
Number of Reports with a Recommended Violation:	512
Number of Recommended Violation Defects:	1,328
Number of Inspection Days:	8,752

**2. Canadian National Railway/Grand Trunk Corporation**

Number of Inspection Reports:	2,440
Defects:	9,396
Units:	132,835
Number of Observations:	11,263
Number of Reports with a Recommended Violation:	152
Number of Recommended Violation Defects:	304
Number of Inspection Days:	2,153

**3. Canadian Pacific Railway/Soo Line Railroad Company**

Number of Inspection Reports:	1,696
Defects:	9,612
Units:	130,086
Number of Observations:	8,450
Number of Reports with a Recommended Violation:	88
Number of Recommended Violation Defects:	119
Number of Inspection Days:	1,508

**4. CSX Transportation, Inc.**

Number of Inspection Reports:	9,495
Defects:	42,618
Units:	529,377
Number of Observations:	44,642
Number of Reports with a Recommended Violation:	419
Number of Recommended Violation Defects:	916
Number of Inspection Days:	8,321

**5. The Kansas City Southern Railway Company**

Number of Inspection Reports:	1,347
Defects:	5,756
Units:	77,916
Number of Observations:	6,435
Number of Reports with a Recommended Violation:	36
Number of Recommended Violation Defects:	62
Number of Inspection Days:	1,173

**6. National Railroad Passenger Corporation (Amtrak)**

Number of Inspection Reports:	1,873
Defects:	2,613
Units:	21,416
Number of Observations:	7,569
Number of Reports with a Recommended Violation:	60
Number of Recommended Violation Defects:	181
Number of Inspection Days:	1,564

**7. Norfolk Southern Railway Company**

Number of Inspection Reports:	7,539
Defects:	38,776
Units:	474,715
Number of Observations:	36,314
Number of Reports with a Recommended Violation:	412
Number of Recommended Violation Defects:	877
Number of Inspection Days:	6,601

## 8. Union Pacific Railroad Company

Number of Inspection Reports:	13,138
Defects:	50,050
Units:	631,277
Number of Observations:	59,940
Number of Reports with a Recommended Violation:	811
Number of Recommended Violation Defects:	1,882
Number of Inspection Days:	11,429

### III. SUMMARIES OF CIVIL PENALTY INITIAL ASSESSMENTS, SETTLEMENTS, AND FINAL ASSESSMENTS IN FY 2018

#### A. IN GENERAL<sup>7</sup>

##### Summary 1

Summary 1 provides a broad overview of penalties FRA initially assessed during FY 2018, the initial penalty assessment for cases closed during FY 2018, and the amount of the settlement or the final assessment of civil penalty. FRA has transitioned to a paperless enforcement system for most of the major railroads and under that system, to enhance the readability of the cases on the computer screen, a case includes only one violation report, and not multiple reports, as in the past.

Summary 1, below, provides the following:

- The number of violations for which FRA assessed a civil penalty in FY 2018 (through demand letters or, in hazmat cases, notices of probable violation);
- The number of violation reports that FRA declined to enforce in FY 2018 after legal review;
- The initial amount of civil penalties assessed in FY 2018 (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 (railroad, hazmat shipper, or individual that received the penalty assessment)) regardless of whether FRA closed the cases during FY 2018;
- The civil penalties FRA initially assessed (the "potential collectible amount" or "POCA" listed in Appendix A) in all cases FRA settled or otherwise closed during FY 2018 (because FRA issued an order assessing a civil penalty in a hazmat case or the respondent paid the civil penalty in full without settling with FRA); and
- The total amount of civil penalties assessed or settled during FY 2018.<sup>8</sup>

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

<sup>8</sup> In this report, FRA rounded settlement amounts to the nearest whole dollar.

## Summary 2

To provide more transparency, Summary 2, below, shows initial assessment information only for those cases closed during FY 2018. **All numbers in Summary 2 reflect the initial assessments that resulted in FY 2018 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 Attachment 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 ranges 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 Assessment and Summary 2. However, 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 2018:	4,567
Total number of violations with civil penalties initially assessed in FY 2018:	6,225
Total number of violation reports declined during legal review in FY 2018:	325
Total amount of civil penalties initially assessed (POCA) for violations in cases transmitted in FY 2018:	\$22,474,257
Total amount of civil penalties initially assessed (POCA) for violations in cases finally assessed or settled in FY 2018:	\$25,270,025
Total final civil penalty assessment or settlement in FY 2018:	\$17,686,116

**C. BREAKDOWN OF INITIAL ASSESSMENTS IN SUMMARY 1**

**1. For Each Class I Railroad Individually in FY 2018**

AMTRAK

Number of cases with civil penalties initially assessed:	65
Number of violations with civil penalties initially assessed:	90
Number of violation reports declined during legal review:	12
Initial amount of civil penalty assessed:	\$334,403

BNSF RAILWAY COMPANY

Number of cases with civil penalties initially assessed:	702
Number of violations with civil penalties initially assessed:	971
Number of violation reports declined during legal review:	51
Initial amount of civil penalty assessed:	\$3,170,904

CANADIAN NATIONAL RAILWAY/GRAND TRUNK CORPORATION

Number of cases with civil penalties initially assessed:	193
Number of violations with civil penalties initially assessed:	234
Number of violation reports declined during legal review:	27
Initial amount of civil penalty assessed:	\$766,904

CANADIAN PACIFIC RAILWAY/SOO LINE RAILROAD COMPANY

Number of cases with civil penalties initially assessed:	96
Number of violations with civil penalties initially assessed:	113
Number of violation reports declined during legal review:	25
Initial amount of civil penalty assessed:	\$396,404

CSX TRANSPORTATION, INC.

Number of cases with civil penalties initially assessed:	491
Number of violations with civil penalties initially assessed:	654
Number of violation reports declined during legal review:	39
Initial amount of civil penalty assessed:	\$2,155,000

THE KANSAS CITY SOUTHERN RAILWAY COMPANY

Number of cases with civil penalties initially assessed:	48
Number of violations with civil penalties initially assessed:	54
Number of violation reports declined during legal review:	7
Initial amount of civil penalty assessed:	\$210,904

NORFOLK SOUTHERN RAILWAY COMPANY

Number of cases with civil penalties initially assessed:	504
Number of violations with civil penalties initially assessed:	595
Number of violation reports declined during legal review:	35
Initial amount of civil penalty assessed:	\$2,164,000

UNION PACIFIC RAILROAD COMPANY

Number of cases with civil penalties initially assessed:	1,022
Number of violations with civil penalties initially assessed:	1,383
Number of violation reports declined during legal review:	81
Initial amount of civil penalty assessed:	\$4,474,007

**2. For Probable Class II Railroads in the Aggregate in FY 2018**

Number of cases with civil penalties initially assessed:	109
Number of violations with civil penalties initially assessed:	143
Number of violation reports declined during legal review:	6
Initial amount of civil penalty assessed:	\$553,500

**3. For Probable Class III Railroads in the Aggregate in FY 2018<sup>9</sup>**

Number of cases with civil penalties initially assessed:	585
Number of violations with civil penalties initially assessed:	870
Number of violation reports declined during legal review:	31
Initial amount of civil penalty assessed:	\$3,487,732

**4. For Hazmat Shippers in the Aggregate in FY 2018**

Number of cases with civil penalties initially assessed:	688
Number of violations with civil penalties initially assessed:	1,034
Number of violation reports declined during legal review:	7
Initial amount of civil penalty assessed:	\$4,430,499

**5. For Contractors in the Aggregate in FY 2018**

Number of cases with civil penalties initially assessed:	14
Number of violations with civil penalties initially assessed:	17
Number of violation reports declined during legal review:	4
Initial amount of civil penalty assessed:	\$50,000

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<sup>9</sup> 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 2018” amount remains correct as FRA includes data from enforcement actions against regulated entities that are otherwise not subject to STB jurisdiction.

**6. For other cases in the Aggregate in FY 2018<sup>10</sup>**

Number of cases with civil penalties initially assessed:	50
Number of violations with civil penalties initially assessed:	67
Number of violation reports declined during legal review:	0
Initial amount of civil penalty assessed:	\$280,000

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<sup>10</sup> 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 2018**

Total number of cases closed in FY 2017:	5,027
Total number of violations in cases closed in FY 2017:	7,157
Total initial amount of civil penalty assessed for cases closed (POCA):	\$25,270,025
Total final amount of civil penalty assessed or settlement for cases closed:	\$17,686,116
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$1,840,500
Amount of revised assessment after terminations (PRCA):	\$23,429,525
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$7,583,909
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$5,743,409

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

**1. For Each Class I Railroad Individually in FY 2018**

AMTRAK

Number of cases closed:	42
Number of violations in cases closed:	43
Initial amount of civil penalty assessed for cases closed (POCA):	\$129,500
Final amount of civil penalty assessed or settlement for cases closed:	\$90,645
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$9,500
Amount of revised assessment after terminations (PRCA):	\$120,000
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$38,855
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$29,355

BNSF RAILWAY COMPANY

Number of cases closed:	840
Number of violations in cases closed:	1,200
Initial amount of civil penalty assessed for cases closed (POCA):	\$4,000,500
Final amount of civil penalty assessed or settlement for cases closed:	\$2,748,053
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$245,500
Amount of revised assessment after terminations (PRCA):	\$3,746,000
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$1,252,447
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$997,947

CANADIAN NATIONAL RAILWAY/GRAND TRUNK CORPORATION

Number of cases closed:	143
Number of violations in cases closed:	226
Initial amount of civil penalty assessed for cases closed (POCA):	\$667,500
Final amount of civil penalty assessed or settlement for cases closed:	\$470,585
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$20,000
Amount of revised assessment after terminations (PRCA):	\$647,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$196,915
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$176,915

CANADIAN PACIFIC RAILWAY/SOO LINE RAILROAD COMPANY

Number of cases closed:	125
Number of violations in cases closed:	200
Initial amount of civil penalty assessed for cases closed (POCA):	\$630,500
Final amount of civil penalty assessed or settlement for cases closed:	\$421,000
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$20,000
Amount of revised assessment after terminations (PRCA):	\$610,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$209,500
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$189,500

CSX TRANSPORTATION, INC.

Number of cases closed:	679
Number of violations in cases closed:	927
Initial amount of civil penalty assessed for cases closed (POCA):	\$3,134,455
Final amount of civil penalty assessed or settlement for cases closed:	\$2,290,466
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$114,500
Amount of revised assessment after terminations (PRCA):	\$3,019,955
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$843,989
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$729,489

THE KANSAS CITY SOUTHERN RAILWAY COMPANY

Number of cases closed:	55
Number of violations in cases closed:	58
Initial amount of civil penalty assessed for cases closed (POCA):	\$231,000
Final amount of civil penalty assessed or settlement for cases closed:	\$165,830
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$0
Amount of revised assessment after terminations (PRCA):	\$231,000
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$65,170
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$65,170

NORFOLK SOUTHERN RAILWAY COMPANY

Number of cases closed:	468
Number of violations in cases closed:	557
Initial amount of civil penalty assessed for cases closed (POCA):	\$1,854,500
Final amount of civil penalty assessed or settlement for cases closed:	\$1,336,278
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$68,500
Amount of revised assessment after terminations (PRCA):	\$1,786,000
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$518,222
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$449,722

UNION PACIFIC RAILROAD COMPANY

Number of cases closed:	1,057
Number of violations in cases closed:	1,300
Initial amount of civil penalty assessed for cases closed (POCA):	\$4,303,404
Final amount of civil penalty assessed or settlement for cases closed:	\$3,175,113
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$59,000
Amount of revised assessment after terminations (PRCA):	\$4,244,404
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$1,128,291
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$1,069,291

**2. For Probable Class II Railroads in the Aggregate in FY 2018**

Number of cases closed:	90
Number of violations in cases closed:	122
Initial amount of civil penalty assessed for cases closed (POCA):	\$466,500
Final amount of civil penalty assessed or settlement for cases closed:	\$376,651
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$1,000
Amount of revised assessment after terminations (PRCA):	\$465,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$89,849
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$88,849

**3. For Probable Class III Railroads in the Aggregate in FY 2018**

Number of cases closed:	789
Number of violations in cases closed:	1,358
Initial amount of civil penalty assessed for cases closed (POCA):	\$4,977,167
Final amount of civil penalty assessed or settlement for cases closed:	\$3,240,461
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$538,500
Amount of revised assessment after terminations (PRCA):	\$4,438,667
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$1,736,706
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$1,198,206

**4. For Hazmat Shippers in the Aggregate in FY 2018**

Number of cases closed:	647
Number of violations in cases closed:	948
Initial amount of civil penalty assessed for cases closed (POCA):	\$4,248,999
Final amount of civil penalty assessed or settlement for cases closed:	\$3,090,734
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$465,000
Amount of revised assessment after terminations (PRCA):	\$3,783,999
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$1,158,265
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$693,265

**5. For Contractors in the Aggregate in FY 2018**

Number of cases closed:	44
Number of violations in cases closed:	142
Initial amount of civil penalty assessed for cases closed (POCA):	\$336,500
Final amount of civil penalty assessed or settlement for cases closed:	\$68,050
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$251,500
Amount of revised assessment after terminations (PRCA):	\$85,000
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$268,450
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$16,950

**6. For other cases in the Aggregate in FY 2018<sup>11</sup>**

Number of cases closed:	48
Number of violations in cases closed:	76
Initial amount of civil penalty assessed for cases closed (POCA):	\$289,500
Final amount of civil penalty assessed or settlement for cases closed:	\$212,250
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$38,500
Amount of revised assessment after terminations (PRCA):	\$251,000
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$77,250
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$38,750

**IV. ENFORCEMENT ACTIONS AGAINST INDIVIDUALS IN FY 2018**

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<sup>11</sup> 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.



**A. CIVIL PENALTY CASES AGAINST INDIVIDUALS IN THE AGGREGATE**

Total number of civil penalty cases initially assessed in FY 2018:	1
Total number of violations with civil penalties initially assessed in FY 2018:	1
Total initial amount of civil penalty assessed in FY 2018:	\$2,500
Number of civil penalty cases closed in FY 2018:	2
Total number of violations in cases closed in FY 2018:	2
Total initial amount of civil penalty assessed for cases closed in FY 2018:	\$5,000
Total final amount of civil penalty assessed (or settlement) for cases closed in FY 2018:	\$2,500
Amount terminated (generally due to legal defenses presented during settlement negotiations) for cases closed in FY 2018:	\$0
Amount of revised assessment (PRCA) after terminations:	\$5,000
Difference between revised civil penalty assessment (PRCA) and final civil penalty assessment for cases closed in FY 2018:	\$2,500
Difference between initial amount of civil penalty assessed (POCA) and final settlement amount for a violation in a case closed in FY 2018:	\$2,500

**B. OTHER ENFORCEMENT ACTIONS AGAINST INDIVIDUALS IN THE AGGREGATE**

Number of notices of proposed disqualification issued and served in FY 2018:	1
Number of proposed disqualification cases closed in FY 2018:	6
Number of warning letters issued by Office of Chief Counsel in FY 2018:	0
Number of warning letters issued by regional offices of FRA Office of Railroad Safety (regional warning letters) in FY 2018:	23

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

FRA was statutorily mandated<sup>12</sup> 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 safety laws and their implementing regulations, and the role of civil penalties in that process. 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. Previously, FRA found that the available data permits some measurement of safety improvements in a functional area covered by an entire rule or an entire safety program. However, FRA cannot determine from the data whether detectable safety improvements are directly attributable to discrete civil penalties. Accordingly, FRA relies heavily upon the knowledge and expertise of its field inspectors who are most familiar with the unique attributes of specific railroad operations, geographic territories, facilities, and safety practices. Subjectively, their nuanced perceptions and judgments indicate that issuing civil penalties yields observable improvements in safety practices and compliance with the law. However, it is important to note that civil penalties are by no means FRA’s only enforcement tool.

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<sup>12</sup> 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.

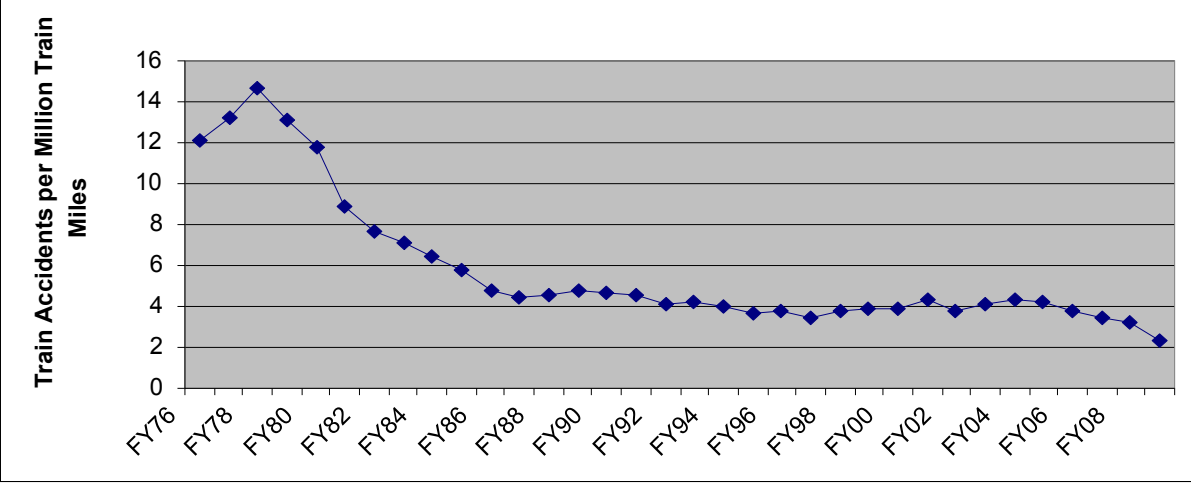
Thus, while FRA cannot precisely quantify the impact of civil penalties, it carefully monitors railroad reactions and responses to enforcement activity, and adjusts the intensity and duration of focused oversight as necessary. FRA compiles and analyzes a vast amount of data derived from reports the regulated railroads prepare and file with FRA. However, the report 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 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. Nevertheless, each subject FRA regulates shows a response pattern generally similar to the graph shown below for train accident rates, which reflects the strongly positive effects of FRA's railroad safety program, including civil penalty enforcement, even though the data shown do not permit one to draw statistically valid conclusions about the precise effects of civil penalties, or other measures, in isolation. This dramatic improvement in railroad safety over the past 30 years suggests that FRA would be well advised to continue in the future to pursue the various measures and strategies that have guided its safety program in the past. As the results of this study suggest, it is the cumulative impact of these measures, one supporting and amplifying the other, that makes the difference.

### Train Accident Rate



## **VI. SUMMARY AND ANALYSIS OF OPERATING CREW CERTIFICATION CASES<sup>13</sup>**

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

Petitions for relief filed with the LERB/OCRB in FY 2018: [27 Conductor + 39 Locomotive Engineer]	66
Decisions issued by the LERB/OCRB in FY 2018: [37 Conductor + 52 Locomotive Engineer]	89
Average length of time for decision in FY 2018:	283 days from the date petition filed <sup>14</sup> (179 days from the date of the railroad's response to the appeal to the date that a decision was issued <sup>15</sup> )

### **B. ADMINISTRATIVE HEARINGS**

Number of pending cases before the Administrative Hearing Officer (AHO) as of October 1, 2017:	6
Number of requests for review by the AHO received during FY 2018:	11
Number of cases closed by the AHO during FY 2018: <sup>16</sup>	2
Number of pending AHO cases as of October 1, 2018:	15
Average length of time for decision or other disposition:	12 months

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<sup>13</sup> FRA's Locomotive Engineer Review Board (LERB) reviews petitions for initial review of railroad decisions denying or revoking locomotive engineer certifications (49 C.F.R. part 240), while the Operating Crew Review Board (OCRB) reviews petitions for initial review of railroad decisions denying or revoking conductor certifications (49 C.F.R. part 242). Since both Boards share the same board members, FRA intends to merge the two review boards so that both crew members will have their petitions reviewed solely by the OCRB.

<sup>14</sup> This excludes any delay issuing an interim order caused, where one or more of the parties initially provided incomplete information.

<sup>15</sup> See preceding footnote.

<sup>16</sup> This number of cases the AHO closed includes cases closed by decision, stipulation, or dismissal.

**C. APPEALS TO THE ADMINISTRATOR**

Appeals to the Administrator from the AHO decisions filed in FY 2018:	2
Number of Appeals Pending during FY 2018: (as of October 1, 2017, there were 2 cases pending)	4
Decisions issued by the Administrator during FY 2018:	0
Average length of time for decision issued in FY 2018: (from close of record to decision)	N/A (calendar days)

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

Number of hearings requested in FY 2018:	4
Number of hearing-request cases completed in FY 2018:	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 2018:	0
Number of cases referred to the Attorney General for criminal enforcement in FY 2018:	0

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

During FY 2018, FRA did not issue any compliance or emergency orders, or enter into any precursor agreements.

**APPENDIX A**  
**“Railroad Safety Civil Penalty Cases Closed during Fiscal Year 2018”**





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


**RAILROAD SAFETY CIVIL PENALTY CASES  
CLOSED DURING FISCAL YEAR 2018**

This report summarizes the disposition of all civil penalty cases for which the Federal Railroad Administration (FRA) reached an agreement to collect a civil penalty, issued an order requiring the payment of a civil penalty, or otherwise closed under the Federal railroad safety statutes and regulations, and the hazardous materials transportation laws (HMT) during fiscal year 2018. FRA closed cases under most of these statutes by settlement, and under the HMT generally by final orders of assessment. An overview of FRA's Railroad Safety Enforcement procedures is provided in 49 C.F.R. Part 209, Appendix A.

Total penalty settlements and final assessments against companies, summarized in this report, were as follows:

Railroad safety statutes (except HMT)	\$12,970,356
HMT	\$ 4,715,760
Total Civil Penalties	\$17,686,116

FRA collected \$2,500 in civil penalty settlements or final assessments from individuals for alleged violations of the railroad safety laws in fiscal year 2018.

  
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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:

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

FRA identifies railroads and other respondents are by a respondent code (see the legend provided at the end of this report), which appears as the letters in the case number after "FRA No. ". FRA identifies hazardous materials and emergency order cases involving shippers by a respondent code beginning with the letter "Z". FRA identifies cases involving contractors by a respondent code beginning with the letter "X". The column labeled "POCA" shows the initial penalty assessed in the case. The column labeled "PRCA" shows the total amount of the initial assessment for alleged violations that FRA concluded it would be able to sustain if the case were litigated. There are two situations when PRCA does not equal to POCA. First, would be if FRA concluded one or more of the violations initially alleged could likely not be sustained. FRA considers such violations terminated. Second, would be if FRA decided the violation could be sustained but the initial penalty assessment for the violation was incorrect. For such cases, FRA corrects the penalty amount and the violation is considered "partially terminated." Cases against individuals (who are liable for civil penalties for willful violations) are identified by the prefix "Indpen" and are listed separately. The "Comments" column shows the violation number of terminated or partially terminated violations.

**FRA Civil Penalty Cases against Individuals  
Closed in Fiscal Year 2018**

<u>FRA No.</u>	<u>Initial Penalty Demanded</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>
INDPEN 2016-1	\$2,500	\$1,250	11/21/2017
INDPEN 2017-2	\$2,500	\$1,250	04/12/2018
Total	\$5,000	\$2,500	

Federal Railroad Administration  
Safety Cases Closed in FY 2018

<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
ABS 2017-1(ROP)	1	\$7,500	\$2,000	\$2,000	09/24/2018	Partially Terminated Violation(s): 1.
ABS 2017-2(AR)	1	\$2,500	\$2,500	\$1,750	09/24/2018	
ACWR 2017-2(GC)	1	\$2,500	\$2,500	\$2,500	11/14/2017	
ADCX 2017-1(CC)	1	\$2,500	\$2,500	\$2,500	10/17/2017	
ADCX 2017-2(EQ)	1	\$1,000	\$1,000	\$1,000	10/17/2017	
AERC 2018-1(HS)	2	\$2,000	\$2,000	\$2,000	04/24/2018	
AGR 2017-3(AD)	1	\$2,500	\$2,500	\$1,950	09/27/2018	
AGR 2017-4(SA)	1	\$2,500	\$2,500	\$1,950	09/27/2018	
AGR 2017-5(FCS)	1	\$2,500	\$2,500	\$1,950	09/27/2018	
AGR 2017-6(GC)	1	\$1,000	\$1,000	\$900	09/27/2018	
AGR 2017-7(AD)	1	\$5,000	\$5,000	\$3,950	09/27/2018	
AIKR 2017-2(TS)	1	\$2,500	\$2,500	\$853	01/04/2018	
AIKR 2017-3(TS)	1	\$1,000	\$1,000	\$853	01/04/2018	
ALAB 2017-1(GC)	5	\$6,500	\$5,500	\$4,059	08/01/2018	Terminated violation(s): 2.
AM 2018-1(GC)	1	\$5,000	\$5,000	\$3,350	03/01/2018	
AM 2018-2(TS)	1	\$5,000	\$5,000	\$3,250	03/01/2018	
APRR 2018-1(ROP)	1	\$7,500	\$7,500	\$4,500	08/16/2018	
ARR 2017-3(ROP)	1	\$7,500	\$7,500	\$5,700	01/09/2018	
ARR 2018-1(HMT)	1	\$7,500	\$7,500	\$5,900	06/21/2018	
ASRY 2017-1(HMT)	2	\$5,000	\$5,000	\$3,500	10/29/2017	
ATAK 2017-1(TS)	1	\$1,000	\$1,000	\$1,000	12/05/2017	
ATAK 2017-30(PEQ)	1	\$5,000	\$5,000	\$3,900	09/27/2018	
ATAK 2017-31(LI)	1	\$2,500	\$2,500	\$1,950	09/27/2018	
ATAK 2017-32(ROP)	1	\$9,500	\$9,500	\$6,800	09/27/2018	
ATAK 2017-33(CC)	1	\$2,500	\$2,500	\$1,900	09/27/2018	
ATAK 2017-34(ROR)	1	\$9,500	\$9,500	\$5,700	09/27/2018	
ATAK 2017-35(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2018	
ATAK 2017-36(ROP)	1	\$9,500	\$0	\$0	09/27/2018	Case Terminated.
ATAK 2017-37(TS)	1	\$2,500	\$2,500	\$1,950	09/27/2018	
ATAK 2017-39(GC)	1	\$5,000	\$5,000	\$4,000	09/27/2018	
ATAK 2017-40(TS)	1	\$5,000	\$5,000	\$3,900	09/27/2018	
ATAK 2017-41(RW)	1	\$1,500	\$1,500	\$1,200	09/27/2018	
ATAK 2017-42(AD)	1	\$2,500	\$2,500	\$1,900	09/27/2018	
ATAK 2017-43(TH)	1	\$5,000	\$5,000	\$3,600	09/27/2018	
ATAK 2017-44(RW)	1	\$3,000	\$3,000	\$2,100	09/27/2018	
ATAK 2017-45(SI)	1	\$2,500	\$2,500	\$2,000	09/27/2018	
ATAK 2017-46(TS)	2	\$7,500	\$7,500	\$5,850	09/27/2018	
ATAK 2017-47(TS)	1	\$2,500	\$2,500	\$1,950	09/27/2018	
ATAK 2017-48(PEQ)	1	\$2,500	\$2,500	\$1,950	09/27/2018	
ATAK 2017-49(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2018	
ATAK 2017-50(PEQ)	1	\$2,500	\$2,500	\$1,950	09/27/2018	
ATAK 2017-51(SI)	1	\$2,500	\$2,500	\$1,625	09/27/2018	
ATAK 2017-52(HSR)	1	\$1,000	\$1,000	\$900	09/27/2018	
ATAK 2017-53(CC)	1	\$1,000	\$1,000	\$860	09/27/2018	
ATAK 2017-54(LI)	1	\$2,500	\$2,500	\$1,950	09/27/2018	
ATAK 2017-55(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2018	
ATAK 2017-56(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2018	
ATAK 2017-57(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2018	
ATAK 2017-58(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2018	

Federal Railroad Administration  
Safety Cases Closed in FY 2018

<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
ATK 2017-59(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2018	
ATK 2017-60(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2018	
ATK 2017-61(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2018	
ATK 2017-62(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2018	
ATK 2017-63(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2018	
ATK 2017-64(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2018	
ATK 2017-65(AR)	1	\$2,500	\$2,500	\$1,900	09/27/2018	
ATK 2017-66(AR)	1	\$1,000	\$1,000	\$860	09/27/2018	
ATK 2017-67(HSR)	1	\$1,000	\$1,000	\$900	09/27/2018	
ATK 2017-68(LI)	1	\$2,500	\$2,500	\$1,950	09/27/2018	
ATK 2018-1(HSR)	1	\$1,000	\$1,000	\$900	09/27/2018	
ATK 2018-2(HSR)	1	\$1,000	\$1,000	\$900	09/27/2018	
ATK 2018-3(HSR)	1	\$1,000	\$1,000	\$900	09/27/2018	
ATK 2018-4(RW)	1	\$2,000	\$2,000	\$1,600	09/27/2018	
ATN 2017-4(AD)	1	\$2,500	\$2,500	\$1,700	03/29/2018	
ATN 2017-5(GC)	1	\$5,000	\$5,000	\$3,700	03/29/2018	
ATN 2018-1(TS)	2	\$5,000	\$5,000	\$3,500	03/29/2018	
AVR 2017-1(ROP)	1	\$2,000	\$2,000	\$1,100	10/17/2017	
AWRR 2017-2(SA)	1	\$2,500	\$2,500	\$1,750	09/24/2018	
BAP 2017-3(SA)	1	\$5,000	\$5,000	\$2,500	11/14/2017	
BAP 2017-4(SA)	1	\$5,000	\$5,000	\$2,500	11/14/2017	
BB 2017-1(AR)	1	\$1,000	\$1,000	\$853	10/20/2017	
BB 2018-1(TS)	1	\$2,500	\$2,500	\$1,625	04/05/2018	
BBAY 2016-1(AD)	1	\$5,000	\$5,000	\$3,200	09/24/2018	
BJRY 2017-1(AD)	1	\$5,000	\$5,000	\$3,750	12/08/2017	
BJRY 2017-2(AD)	1	\$2,500	\$2,500	\$1,875	12/08/2017	
BJRY 2017-3(AD)	1	\$2,500	\$2,500	\$1,875	12/08/2017	
BML 2017-1(TS)	1	\$2,500	\$2,500	\$1,500	12/21/2017	
BNSF 2012-159(SA)	1	\$10,000	\$0	\$0	09/28/2018	Case Terminated.
BNSF 2012-376(RSP)	1	\$5,500	\$0	\$0	09/28/2018	Case Terminated.
BNSF 2012-377(RSP)	1	\$9,500	\$0	\$0	11/16/2017	Case Terminated.
BNSF 2013-505(LI)	1	\$2,500	\$0	\$0	09/28/2018	Case Terminated.
BNSF 2014-39(TS)	1	\$1,000	\$1,000	\$785	09/28/2018	
BNSF 2014-87(LI)	1	\$2,500	\$2,500	\$1,900	09/28/2018	
BNSF 2014-102(TS)	1	\$5,000	\$5,000	\$3,600	09/28/2018	
BNSF 2014-183(LI)	1	\$1,000	\$1,000	\$750	09/28/2018	
BNSF 2014-258(TS)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
BNSF 2014-282(EO)	1	\$22,000	\$2,500	\$2,500	09/28/2018	Partially Terminated Violation(s): 1.
BNSF 2014-377(TS)	3	\$7,500	\$7,500	\$5,400	09/28/2018	
BNSF 2014-501(HMT)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2014-579(SA)	1	\$1,000	\$1,000	\$785	09/28/2018	
BNSF 2014-607(LI)	1	\$1,000	\$1,000	\$750	09/28/2018	
BNSF 2014-747(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
BNSF 2015-88(HMT)	1	\$2,000	\$2,000	\$1,475	09/28/2018	
BNSF 2015-173(HS)	1	\$1,000	\$1,000	\$853	09/28/2018	
BNSF 2015-328(ROP)	1	\$2,000	\$2,000	\$1,450	09/28/2018	
BNSF 2015-372(HSR)	9	\$9,000	\$0	\$0	09/28/2018	Case Terminated.
BNSF 2015-395(AD)	1	\$2,500	\$2,500	\$2,000	09/28/2018	
BNSF 2015-404(TS)	6	\$17,000	\$17,000	\$12,240	09/28/2018	

Federal Railroad Administration  
Safety Cases Closed in FY 2018

<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
BNSF 2015-414(RW)	1	\$25,000	\$25,000	\$20,500	09/28/2018	
BNSF 2015-515(LI)	3	\$12,000	\$12,000	\$9,300	09/28/2018	
BNSF 2015-552(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2015-571(HMT)	1	\$1,500	\$1,500	\$1,100	09/28/2018	
BNSF 2015-574(HMT)	1	\$2,000	\$2,000	\$1,450	09/28/2018	
BNSF 2015-608(TS)	10	\$25,000	\$25,000	\$18,000	09/28/2018	
BNSF 2015-637(LI)	1	\$2,500	\$2,500	\$1,900	09/28/2018	
BNSF 2015-650(TS)	8	\$20,000	\$20,000	\$14,400	09/28/2018	
BNSF 2015-652(TS)	2	\$2,000	\$2,000	\$1,740	09/28/2018	
BNSF 2015-703(TS)	1	\$5,000	\$5,000	\$3,600	09/28/2018	
BNSF 2016-48(TS)	8	\$22,500	\$22,500	\$16,200	09/28/2018	
BNSF 2016-56(TS)	2	\$5,000	\$5,000	\$3,600	09/28/2018	
BNSF 2016-68(AR)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
BNSF 2016-70(AR)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
BNSF 2016-71(AR)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
BNSF 2016-73(AR)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
BNSF 2016-107(ROP)	1	\$7,500	\$7,500	\$5,400	09/28/2018	
BNSF 2016-131(AR)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
BNSF 2016-167(FCS)	1	\$2,000	\$2,000	\$1,500	09/28/2018	
BNSF 2016-172(RW)	1	\$15,000	\$15,000	\$12,200	09/28/2018	
BNSF 2016-221(RMM)	2	\$10,000	\$10,000	\$7,000	09/28/2018	
BNSF 2016-338(TS)	34	\$34,000	\$0	\$0	09/28/2018	Case Terminated.
BNSF 2016-499(TS)	24	\$60,000	\$60,000	\$43,000	09/28/2018	
BNSF 2016-564(HMT)	2	\$7,000	\$7,000	\$5,200	09/28/2018	
BNSF 2016-576(HSR)	18	\$18,000	\$0	\$0	09/28/2018	Case Terminated.
BNSF 2016-589(HMT)	1	\$2,000	\$2,000	\$1,475	09/28/2018	
BNSF 2016-606(EQ)	1	\$1,000	\$1,000	\$853	09/28/2018	
BNSF 2016-612(TS)	6	\$22,500	\$22,500	\$16,200	09/28/2018	
BNSF 2016-617(TS)	5	\$6,500	\$6,500	\$4,700	09/28/2018	
BNSF 2016-654(HMT)	1	\$2,000	\$2,000	\$1,475	09/28/2018	
BNSF 2016-674(HMT)	1	\$3,000	\$3,000	\$2,200	09/28/2018	
BNSF 2016-677(EP)	1	\$1,000	\$1,000	\$853	09/28/2018	
BNSF 2016-680(EP)	1	\$1,000	\$1,000	\$853	09/28/2018	
BNSF 2016-706(REM)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2016-724(HMT)	1	\$2,000	\$2,000	\$1,475	09/28/2018	
BNSF 2016-739(HMT)	1	\$20,000	\$20,000	\$14,500	09/28/2018	
BNSF 2016-826(TS)	7	\$17,500	\$17,500	\$12,600	09/28/2018	
BNSF 2016-863(TS)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
BNSF 2017-14(HMT)	3	\$18,500	\$18,500	\$13,500	09/28/2018	
BNSF 2017-33(HMT)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-133(TS)	2	\$7,500	\$7,500	\$5,400	09/28/2018	
BNSF 2017-179(HS)	2	\$2,000	\$2,000	\$1,678	09/28/2018	
BNSF 2017-183(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
BNSF 2017-185(SI)	1	\$1,000	\$1,000	\$853	09/28/2018	
BNSF 2017-186(SI)	1	\$1,000	\$1,000	\$853	09/28/2018	
BNSF 2017-187(HMT)	1	\$2,000	\$2,000	\$1,450	09/28/2018	
BNSF 2017-188(HMT)	1	\$2,000	\$2,000	\$1,450	09/28/2018	
BNSF 2017-191(TS)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
BNSF 2017-192(TS)	1	\$5,000	\$5,000	\$3,600	09/28/2018	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
BNSF 2017-193(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-194(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-195(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-196(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
BNSF 2017-198(TS)	2	\$7,500	\$7,500	\$5,400	09/28/2018	
BNSF 2017-199(TS)	3	\$12,500	\$12,500	\$9,075	09/28/2018	
BNSF 2017-200(ROP)	1	\$7,500	\$7,500	\$5,400	09/28/2018	
BNSF 2017-201(ROP)	1	\$7,500	\$7,500	\$5,450	09/28/2018	
BNSF 2017-202(ROP)	1	\$7,500	\$7,500	\$5,450	09/28/2018	
BNSF 2017-203(ROP)	1	\$7,500	\$7,500	\$5,450	09/28/2018	
BNSF 2017-204(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-205(ROP)	1	\$7,500	\$7,500	\$5,450	09/28/2018	
BNSF 2017-206(ROP)	1	\$2,000	\$2,000	\$1,440	09/28/2018	
BNSF 2017-207(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-208(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
BNSF 2017-209(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
BNSF 2017-210(SA)	1	\$5,000	\$5,000	\$3,600	09/28/2018	
BNSF 2017-211(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-212(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
BNSF 2017-213(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-214(SI)	1	\$5,000	\$5,000	\$3,675	09/28/2018	
BNSF 2017-215(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-216(ROP)	2	\$4,000	\$4,000	\$2,900	09/28/2018	
BNSF 2017-217(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-218(SA)	1	\$5,000	\$5,000	\$3,350	09/28/2018	
BNSF 2017-219(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-220(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-221(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-222(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-223(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-224(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-225(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-226(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-227(LI)	2	\$3,500	\$3,500	\$2,725	09/28/2018	
BNSF 2017-228(LI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-229(LI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-230(LI)	1	\$2,500	\$2,500	\$1,900	09/28/2018	
BNSF 2017-231(LI)	1	\$2,500	\$2,500	\$853	09/28/2018	
BNSF 2017-232(LI)	1	\$2,500	\$2,500	\$853	09/28/2018	
BNSF 2017-233(LI)	1	\$2,500	\$2,500	\$1,900	09/28/2018	
BNSF 2017-234(RW)	1	\$2,000	\$2,000	\$1,450	09/28/2018	
BNSF 2017-235(GC)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-236(LI)	1	\$2,500	\$2,500	\$1,900	09/28/2018	
BNSF 2017-237(HS)	2	\$2,000	\$2,000	\$1,706	09/28/2018	
BNSF 2017-238(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-239(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-240(ROP)	1	\$7,500	\$7,500	\$5,450	09/28/2018	
BNSF 2017-241(ROP)	1	\$7,500	\$7,500	\$5,450	09/28/2018	
BNSF 2017-242(ROP)	1	\$7,500	\$7,500	\$5,450	09/28/2018	



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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
BNSF 2017-243(ROP)	1	\$7,500	\$2,000	\$2,000	09/28/2018	Partially Terminated Violation(s): 1.
BNSF 2017-244(TS)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
BNSF 2017-245(TS)	1	\$2,500	\$2,500	\$1,800	09/28/2018	Case Terminated.
BNSF 2017-246(ROP)	1	\$9,500	\$0	\$0	09/28/2018	
BNSF 2017-247(ROP)	1	\$7,500	\$7,500	\$5,450	09/28/2018	Partially Terminated Violation(s): 1.
BNSF 2017-248(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-249(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	Partially Terminated Violation(s): 1.
BNSF 2017-250(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-251(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	Partially Terminated Violation(s): 1.
BNSF 2017-252(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-253(ROP)	1	\$9,500	\$9,500	\$6,900	09/28/2018	Partially Terminated Violation(s): 1.
BNSF 2017-254(ROP)	1	\$9,500	\$5,000	\$4,100	09/28/2018	
BNSF 2017-255(ROP)	1	\$9,500	\$5,000	\$5,000	09/28/2018	Partially Terminated Violation(s): 1.
BNSF 2017-256(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	Partially Terminated Violation(s): 1.
BNSF 2017-257(TS)	1	\$5,000	\$5,000	\$3,600	09/28/2018	
BNSF 2017-258(TS)	3	\$7,500	\$7,500	\$5,400	09/28/2018	Partially Terminated Violation(s): 1.
BNSF 2017-259(LI)	1	\$2,500	\$2,500	\$1,900	09/28/2018	
BNSF 2017-260(LI)	1	\$2,500	\$2,500	\$853	09/28/2018	Partially Terminated Violation(s): 1.
BNSF 2017-261(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-262(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	Partially Terminated Violation(s): 1.
BNSF 2017-263(HS)	1	\$1,000	\$1,000	\$853	09/28/2018	
BNSF 2017-264(TS)	1	\$2,500	\$2,500	\$1,975	09/28/2018	Partially Terminated Violation(s): 1.
BNSF 2017-265(TS)	1	\$5,000	\$5,000	\$3,600	09/28/2018	
BNSF 2017-266(ROP)	1	\$9,500	\$9,500	\$6,900	09/28/2018	Partially Terminated Violation(s): 1.
BNSF 2017-267(ROP)	1	\$7,500	\$7,500	\$5,500	09/28/2018	
BNSF 2017-268(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	Partially Terminated Violation(s): 1.
BNSF 2017-269(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-270(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	Partially Terminated Violation(s): 1.
BNSF 2017-271(FCS)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
BNSF 2017-272(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	Partially Terminated Violation(s): 1.
BNSF 2017-273(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-274(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	Partially Terminated Violation(s): 1.
BNSF 2017-275(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-276(SA)	1	\$5,000	\$5,000	\$3,600	09/28/2018	Partially Terminated Violation(s): 1.
BNSF 2017-277(SA)	1	\$5,000	\$5,000	\$3,600	09/28/2018	
BNSF 2017-278(GC)	1	\$5,000	\$5,000	\$3,700	09/28/2018	Partially Terminated Violation(s): 1.
BNSF 2017-279(SA)	1	\$5,000	\$5,000	\$3,600	09/28/2018	
BNSF 2017-280(SA)	1	\$5,000	\$5,000	\$3,600	09/28/2018	Partially Terminated Violation(s): 1.
BNSF 2017-281(SA)	1	\$5,000	\$5,000	\$3,600	09/28/2018	
BNSF 2017-282(SA)	1	\$5,000	\$5,000	\$3,600	09/28/2018	Partially Terminated Violation(s): 1.
BNSF 2017-283(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-284(TS)	4	\$4,000	\$4,000	\$3,412	09/28/2018	Partially Terminated Violation(s): 1.
BNSF 2017-285(ROP)	1	\$7,500	\$7,500	\$5,500	09/28/2018	
BNSF 2017-286(ROP)	1	\$7,500	\$7,500	\$5,500	09/28/2018	Partially Terminated Violation(s): 1.
BNSF 2017-287(ROP)	1	\$7,500	\$7,500	\$5,475	09/28/2018	
BNSF 2017-288(SI)	1	\$1,000	\$1,000	\$853	09/28/2018	Partially Terminated Violation(s): 1.
BNSF 2017-289(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	

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BNSF 2017-290(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-291(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-292(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-293(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-294(ROR)	1	\$7,500	\$7,500	\$5,500	09/28/2018	
BNSF 2017-295(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-296(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-297(ROP)	1	\$9,500	\$5,000	\$5,000	09/28/2018	Partially Terminated Violation(s): 1.
BNSF 2017-298(TS)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
BNSF 2017-299(TS)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
BNSF 2017-300(RW)	1	\$1,000	\$1,000	\$853	09/28/2018	
BNSF 2017-301(RW)	1	\$2,000	\$2,000	\$1,450	09/28/2018	
BNSF 2017-302(TS)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
BNSF 2017-303(TS)	2	\$10,000	\$10,000	\$7,200	09/28/2018	
BNSF 2017-304(TS)	1	\$1,000	\$1,000	\$853	09/28/2018	
BNSF 2017-305(TS)	2	\$7,500	\$7,500	\$5,400	09/28/2018	
BNSF 2017-306(HMT)	1	\$2,000	\$2,000	\$1,450	09/28/2018	
BNSF 2017-307(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-308(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-309(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-310(FCS)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
BNSF 2017-311(FCS)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
BNSF 2017-312(ROP)	1	\$7,500	\$7,500	\$5,850	09/28/2018	
BNSF 2017-313(FCS)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
BNSF 2017-314(TS)	4	\$4,000	\$4,000	\$3,412	09/28/2018	
BNSF 2017-315(TS)	2	\$7,500	\$7,500	\$5,400	09/28/2018	
BNSF 2017-316(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-317(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-318(FCS)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
BNSF 2017-319(SA)	1	\$5,000	\$0	\$0	09/28/2018	Case Terminated.
BNSF 2017-320(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
BNSF 2017-321(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-322(SA)	2	\$4,000	\$4,000	\$2,920	09/28/2018	
BNSF 2017-323(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-324(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-325(TS)	2	\$7,500	\$7,500	\$5,400	09/28/2018	
BNSF 2017-326(TS)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
BNSF 2017-327(TS)	1	\$1,000	\$1,000	\$853	09/28/2018	
BNSF 2017-328(TS)	2	\$2,000	\$2,000	\$1,706	09/28/2018	
BNSF 2017-329(TS)	1	\$1,000	\$1,000	\$853	09/28/2018	
BNSF 2017-330(TS)	1	\$5,000	\$5,000	\$3,600	09/28/2018	
BNSF 2017-331(TS)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
BNSF 2017-332(TS)	1	\$1,000	\$1,000	\$853	09/28/2018	
BNSF 2017-333(TS)	1	\$5,000	\$5,000	\$3,600	09/28/2018	
BNSF 2017-334(TS)	2	\$7,500	\$7,500	\$5,400	09/28/2018	
BNSF 2017-335(ROP)	1	\$2,000	\$2,000	\$1,450	09/28/2018	
BNSF 2017-336(ROP)	1	\$2,000	\$2,000	\$1,450	09/28/2018	
BNSF 2017-337(TS)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
BNSF 2017-338(TS)	2	\$7,500	\$7,500	\$5,400	09/28/2018	

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BNSF 2017-339(TS)	64	\$64,000	\$0	\$0	09/28/2018	Case Terminated.
BNSF 2017-340(TS)	1	\$2,500	\$2,500	\$2,125	09/28/2018	
BNSF 2017-341(FCS)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
BNSF 2017-342(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-343(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-344(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-345(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-346(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-347(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-348(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-349(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-350(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-351(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-352(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-353(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-354(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-355(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-356(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-357(ROP)	1	\$7,500	\$4,000	\$3,840	09/28/2018	Partially Terminated Violation(s): 1.
BNSF 2017-358(ROP)	1	\$2,000	\$2,000	\$1,450	09/28/2018	
BNSF 2017-359(RW)	1	\$1,000	\$1,000	\$853	09/28/2018	
BNSF 2017-360(RW)	1	\$2,000	\$2,000	\$1,450	09/28/2018	
BNSF 2017-361(LI)	1	\$2,500	\$2,500	\$1,900	09/28/2018	
BNSF 2017-362(RMM)	2	\$5,000	\$5,000	\$3,500	09/28/2018	
BNSF 2017-363(LI)	1	\$1,500	\$1,500	\$1,140	09/28/2018	
BNSF 2017-364(GC)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-365(LI)	1	\$2,500	\$2,500	\$1,900	09/28/2018	
BNSF 2017-366(GC)	1	\$1,000	\$1,000	\$853	09/28/2018	
BNSF 2017-367(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-368(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-369(SI)	1	\$5,000	\$5,000	\$3,675	09/28/2018	
BNSF 2017-370(ROP)	1	\$2,000	\$2,000	\$1,450	09/28/2018	
BNSF 2017-371(ROP)	1	\$7,500	\$7,500	\$5,500	09/28/2018	
BNSF 2017-372(ROP)	1	\$9,500	\$9,500	\$6,900	09/28/2018	
BNSF 2017-373(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-374(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-375(AD)	2	\$10,000	\$10,000	\$7,500	09/28/2018	
BNSF 2017-376(AD)	2	\$10,000	\$10,000	\$8,000	09/28/2018	
BNSF 2017-377(SI)	1	\$7,500	\$7,500	\$5,550	09/28/2018	
BNSF 2017-378(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-379(HMT)	1	\$2,000	\$0	\$0	09/28/2018	Case Terminated.
BNSF 2017-380(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-381(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-382(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-383(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-384(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-385(TS)	1	\$1,000	\$1,000	\$853	09/28/2018	
BNSF 2017-386(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
BNSF 2017-387(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-388(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
BNSF 2017-389(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
BNSF 2017-390(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
BNSF 2017-391(HS)	1	\$1,000	\$1,000	\$853	09/28/2018	
BNSF 2017-392(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-393(ROP)	1	\$7,500	\$7,500	\$5,500	09/28/2018	
BNSF 2017-394(ROP)	1	\$7,500	\$7,500	\$5,475	09/28/2018	
BNSF 2017-395(ROP)	1	\$2,000	\$2,000	\$1,460	09/28/2018	
BNSF 2017-396(ROP)	1	\$2,000	\$2,000	\$1,460	09/28/2018	
BNSF 2017-397(ROP)	1	\$2,000	\$2,000	\$1,460	09/28/2018	
BNSF 2017-398(ROP)	1	\$2,000	\$2,000	\$1,460	09/28/2018	
BNSF 2017-399(ROP)	1	\$2,000	\$2,000	\$1,460	09/28/2018	
BNSF 2017-400(ROP)	1	\$7,500	\$7,500	\$5,500	09/28/2018	
BNSF 2017-401(TS)	4	\$15,000	\$15,000	\$10,800	09/28/2018	
BNSF 2017-402(TS)	11	\$42,500	\$42,500	\$30,600	09/28/2018	
BNSF 2017-403(TS)	2	\$7,500	\$7,500	\$5,400	09/28/2018	
BNSF 2017-404(TS)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
BNSF 2017-405(TS)	2	\$2,000	\$2,000	\$1,706	09/28/2018	
BNSF 2017-406(GC)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-407(GC)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-408(RW)	1	\$3,000	\$3,000	\$2,175	09/28/2018	
BNSF 2017-409(RW)	1	\$3,000	\$3,000	\$2,175	09/28/2018	
BNSF 2017-410(ROP)	1	\$7,500	\$7,500	\$5,500	09/28/2018	
BNSF 2017-411(HMT)	3	\$15,000	\$15,000	\$10,800	09/28/2018	
BNSF 2017-412(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-413(FCS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-414(LI)	1	\$2,500	\$1,000	\$853	09/28/2018	Partially Terminated Violation(s): 1.
BNSF 2017-415(FCS)	2	\$10,000	\$10,000	\$7,450	09/28/2018	
BNSF 2017-416(ROP)	1	\$7,500	\$7,500	\$5,500	09/28/2018	
BNSF 2017-417(ROP)	1	\$2,000	\$2,000	\$1,460	09/28/2018	
BNSF 2017-418(TS)	1	\$5,000	\$5,000	\$3,600	09/28/2018	
BNSF 2017-419(ROP)	1	\$7,500	\$7,500	\$5,500	09/28/2018	
BNSF 2017-421(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-422(HSR)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
BNSF 2017-423(ROP)	1	\$7,500	\$7,500	\$5,500	09/28/2018	
BNSF 2017-424(ROP)	1	\$9,500	\$9,500	\$6,900	09/28/2018	
BNSF 2017-425(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-426(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-427(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-428(FCS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-429(FCS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-430(FCS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-431(FCS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-432(ROP)	2	\$4,000	\$4,000	\$2,900	09/28/2018	
BNSF 2017-433(ROP)	1	\$9,500	\$9,500	\$6,900	09/28/2018	
BNSF 2017-434(FCS)	3	\$7,500	\$7,500	\$5,000	09/28/2018	
BNSF 2017-435(ROP)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
BNSF 2017-436(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
BNSF 2017-437(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-438(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-439(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-440(TS)	3	\$4,500	\$4,500	\$3,250	09/28/2018	
BNSF 2017-441(TS)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
BNSF 2017-442(ROP)	1	\$9,500	\$9,500	\$6,900	09/28/2018	
BNSF 2017-443(LI)	1	\$1,500	\$1,500	\$1,140	09/28/2018	
BNSF 2017-444(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-445(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-446(FCS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-447(FCS)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-448(FCS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-449(ROP)	1	\$2,000	\$2,000	\$1,460	09/28/2018	
BNSF 2017-450(ROP)	1	\$2,000	\$2,000	\$1,460	09/28/2018	
BNSF 2017-451(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-452(ROP)	1	\$7,500	\$7,500	\$5,500	09/28/2018	
BNSF 2017-453(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-454(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-455(RW)	1	\$2,000	\$2,000	\$1,450	09/28/2018	
BNSF 2017-456(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-457(TS)	1	\$5,000	\$5,000	\$3,600	09/28/2018	
BNSF 2017-458(GC)	1	\$2,500	\$2,500	\$1,900	09/28/2018	
BNSF 2017-459(ROP)	1	\$1,000	\$1,000	\$853	09/28/2018	
BNSF 2017-460(TS)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
BNSF 2017-461(TS)	2	\$10,000	\$10,000	\$7,200	09/28/2018	
BNSF 2017-462(TS)	2	\$5,000	\$5,000	\$3,600	09/28/2018	
BNSF 2017-463(TS)	2	\$5,000	\$5,000	\$3,600	09/28/2018	
BNSF 2017-464(TS)	2	\$7,500	\$7,500	\$5,400	09/28/2018	
BNSF 2017-465(TS)	2	\$5,000	\$5,000	\$3,600	09/28/2018	
BNSF 2017-466(TS)	1	\$5,000	\$5,000	\$3,600	09/28/2018	
BNSF 2017-467(TS)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
BNSF 2017-468(TS)	1	\$5,000	\$5,000	\$3,600	09/28/2018	
BNSF 2017-469(TS)	1	\$5,000	\$5,000	\$3,600	09/28/2018	
BNSF 2017-470(ROP)	1	\$9,500	\$9,500	\$6,900	09/28/2018	
BNSF 2017-471(ROP)	1	\$7,500	\$7,500	\$5,500	09/28/2018	
BNSF 2017-472(ROP)	1	\$2,000	\$2,000	\$1,450	09/28/2018	
BNSF 2017-474(SA)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-475(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-476(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-477(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-478(FCS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-479(TS)	1	\$5,000	\$5,000	\$3,600	09/28/2018	
BNSF 2017-480(ROP)	1	\$7,500	\$7,500	\$5,500	09/28/2018	
BNSF 2017-481(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-482(FCS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-483(LI)	1	\$2,500	\$2,500	\$1,900	09/28/2018	
BNSF 2017-484(HS)	2	\$2,000	\$2,000	\$1,706	09/28/2018	
BNSF 2017-486(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-487(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	

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BNSF 2017-488(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-489(FCS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-490(FCS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-491(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-492(TS)	1	\$5,000	\$5,000	\$3,600	09/28/2018	
BNSF 2017-493(FCS)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-494(ROP)	1	\$7,500	\$7,500	\$5,500	09/28/2018	
BNSF 2017-495(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
BNSF 2017-496(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
BNSF 2017-497(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-498(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-499(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-500(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-501(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-502(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-503(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-504(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-505(HMT)	3	\$14,000	\$14,000	\$10,250	09/28/2018	
BNSF 2017-506(TS)	1	\$5,000	\$5,000	\$3,600	09/28/2018	
BNSF 2017-507(TS)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
BNSF 2017-508(LI)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-509(TS)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
BNSF 2017-510(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-511(EP)	1	\$1,000	\$1,000	\$853	09/28/2018	
BNSF 2017-512(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-513(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-514(ROP)	1	\$7,500	\$7,500	\$5,500	09/28/2018	
BNSF 2017-515(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-516(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-517(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-518(FCS)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-519(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-520(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-521(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-522(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-523(SA)	3	\$12,500	\$12,500	\$9,250	09/28/2018	
BNSF 2017-524(ROP)	1	\$7,500	\$7,500	\$5,500	09/28/2018	
BNSF 2017-525(ROP)	1	\$7,500	\$7,500	\$5,800	09/28/2018	
BNSF 2017-526(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-527(LI)	1	\$2,500	\$2,500	\$1,900	09/28/2018	
BNSF 2017-528(LI)	1	\$2,500	\$2,500	\$1,900	09/28/2018	
BNSF 2017-529(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-530(ROP)	1	\$7,500	\$7,500	\$5,500	09/28/2018	
BNSF 2017-531(EQ)	3	\$7,500	\$7,500	\$5,400	09/28/2018	
BNSF 2017-532(EP)	1	\$1,000	\$1,000	\$853	09/28/2018	
BNSF 2017-533(EP)	1	\$1,000	\$1,000	\$853	09/28/2018	
BNSF 2017-534(CC)	2	\$2,000	\$2,000	\$1,750	09/28/2018	
BNSF 2017-535(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-536(TS)	2	\$5,000	\$5,000	\$3,600	09/28/2018	

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BNSF 2017-537(TS)	3	\$7,500	\$7,500	\$5,400	09/28/2018	
BNSF 2017-538(TS)	1	\$5,000	\$5,000	\$3,600	09/28/2018	
BNSF 2017-539(TS)	1	\$1,000	\$1,000	\$853	09/28/2018	
BNSF 2017-540(TS)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
BNSF 2017-541(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-542(EP)	1	\$1,000	\$1,000	\$853	09/28/2018	
BNSF 2017-543(FCS)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-544(HMT)	4	\$20,000	\$20,000	\$14,500	09/28/2018	
BNSF 2017-545(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-546(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
BNSF 2017-547(SA)	1	\$5,000	\$5,000	\$3,600	09/28/2018	
BNSF 2017-548(SA)	1	\$2,500	\$2,500	\$2,000	09/28/2018	
BNSF 2017-549(SA)	1	\$5,000	\$5,000	\$2,500	09/28/2018	
BNSF 2017-550(SA)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-551(ROP)	1	\$2,000	\$2,000	\$1,450	09/28/2018	
BNSF 2017-552(ROP)	1	\$2,000	\$2,000	\$1,450	09/28/2018	
BNSF 2017-553(ROP)	1	\$7,500	\$7,500	\$5,450	09/28/2018	
BNSF 2017-554(ROP)	1	\$2,000	\$2,000	\$1,450	09/28/2018	
BNSF 2017-555(ROP)	1	\$7,500	\$7,500	\$5,400	09/28/2018	
BNSF 2017-556(SA)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-557(SA)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-558(SA)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-559(SA)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-560(SA)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-561(SA)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-562(TS)	3	\$12,500	\$12,500	\$9,000	09/28/2018	
BNSF 2017-563(SA)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-564(SA)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-565(GC)	1	\$2,500	\$2,500	\$1,900	09/28/2018	
BNSF 2017-566(GC)	1	\$1,000	\$1,000	\$853	09/28/2018	
BNSF 2017-567(TS)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
BNSF 2017-568(GC)	1	\$1,000	\$1,000	\$853	09/28/2018	
BNSF 2017-569(ROP)	1	\$2,000	\$2,000	\$1,450	09/28/2018	
BNSF 2017-570(SA)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-571(SA)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-572(LI)	1	\$2,500	\$2,500	\$853	09/28/2018	
BNSF 2017-573(LI)	1	\$2,500	\$2,500	\$1,900	09/28/2018	
BNSF 2017-574(LI)	1	\$2,500	\$2,500	\$1,900	09/28/2018	
BNSF 2017-575(SA)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-576(SA)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-577(SA)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-578(SA)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-579(SA)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-580(FCS)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-581(FCS)	1	\$2,500	\$2,500	\$1,500	09/28/2018	
BNSF 2017-582(ROP)	1	\$2,000	\$2,000	\$1,450	09/28/2018	
BNSF 2017-583(GC)	1	\$1,000	\$1,000	\$853	09/28/2018	
BNSF 2017-584(EQ)	1	\$1,000	\$1,000	\$853	09/28/2018	
BNSF 2017-585(SA)	1	\$5,000	\$5,000	\$3,700	09/28/2018	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
BNSF 2017-586(ROP)	1	\$2,000	\$2,000	\$1,430	09/28/2018	
BNSF 2017-587(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-588(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-589(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-590(SA)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-591(TS)	3	\$15,000	\$15,000	\$10,800	09/28/2018	
BNSF 2017-592(TS)	1	\$5,000	\$5,000	\$3,600	09/28/2018	
BNSF 2017-593(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-594(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-595(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-596(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-597(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-598(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-599(ROP)	1	\$2,000	\$2,000	\$1,450	09/28/2018	
BNSF 2017-600(TS)	1	\$5,000	\$5,000	\$3,600	09/28/2018	
BNSF 2017-601(TS)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
BNSF 2017-602(HMT)	1	\$7,500	\$7,500	\$5,400	09/28/2018	
BNSF 2017-603(HMT)	1	\$2,000	\$2,000	\$1,450	09/28/2018	
BNSF 2017-604(SA)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-605(SA)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-606(HMT)	2	\$7,000	\$7,000	\$5,100	09/28/2018	
BNSF 2017-607(SA)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-608(RW)	1	\$3,000	\$3,000	\$2,175	09/28/2018	
BNSF 2017-609(HMT)	2	\$11,500	\$11,500	\$8,400	09/28/2018	
BNSF 2017-610(LI)	1	\$2,500	\$2,500	\$1,900	09/28/2018	
BNSF 2017-611(TS)	2	\$7,500	\$7,500	\$5,400	09/28/2018	
BNSF 2017-612(TS)	3	\$8,500	\$8,500	\$6,125	09/28/2018	
BNSF 2017-613(TS)	1	\$1,000	\$1,000	\$853	09/28/2018	
BNSF 2017-614(ROP)	1	\$7,500	\$7,500	\$5,400	09/28/2018	
BNSF 2017-615(TS)	2	\$5,000	\$5,000	\$3,600	09/28/2018	
BNSF 2017-616(TS)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
BNSF 2017-617(TS)	2	\$7,000	\$7,000	\$5,050	09/28/2018	
BNSF 2017-618(TS)	1	\$1,000	\$1,000	\$853	09/28/2018	
BNSF 2017-619(ROP)	1	\$2,000	\$2,000	\$1,450	09/28/2018	
BNSF 2017-620(ROP)	1	\$7,500	\$7,500	\$5,400	09/28/2018	
BNSF 2017-621(ROP)	1	\$9,500	\$9,500	\$6,800	09/28/2018	
BNSF 2017-622(SA)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-623(GC)	1	\$2,500	\$2,500	\$1,900	09/28/2018	
BNSF 2017-624(HMT)	1	\$7,500	\$7,500	\$5,400	09/28/2018	
BNSF 2017-625(ROP)	1	\$7,500	\$7,500	\$5,400	09/28/2018	
BNSF 2017-626(TS)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
BNSF 2017-627(TS)	3	\$7,500	\$7,500	\$5,400	09/28/2018	
BNSF 2017-628(ROP)	1	\$7,500	\$7,500	\$5,400	09/28/2018	
BNSF 2017-629(SA)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-630(TS)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
BNSF 2017-631(TS)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
BNSF 2017-632(TS)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
BNSF 2017-633(SA)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-634(SA)	1	\$5,000	\$5,000	\$3,700	09/28/2018	



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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
BNSF 2017-635(RW)	1	\$2,000	\$2,000	\$1,450	09/28/2018	
BNSF 2017-636(HSR)	1	\$1,000	\$1,000	\$853	09/28/2018	
BNSF 2017-637(HSR)	1	\$1,000	\$1,000	\$853	09/28/2018	
BNSF 2017-638(HSR)	1	\$1,000	\$1,000	\$853	09/28/2018	
BNSF 2017-641(HSR)	1	\$1,000	\$1,000	\$853	09/28/2018	
BNSF 2017-642(TS)	3	\$6,000	\$6,000	\$4,325	09/28/2018	
BNSF 2017-643(TS)	1	\$1,000	\$1,000	\$853	09/28/2018	
BNSF 2017-644(TS)	20	\$20,000	\$11,000	\$11,000	09/28/2018	Partially Terminated Violation(s): 1.
BNSF 2017-645(TS)	1	\$1,000	\$1,000	\$853	09/28/2018	
BNSF 2017-646(TS)	3	\$3,000	\$3,000	\$2,559	09/28/2018	
BNSF 2017-647(TS)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
BNSF 2017-648(TS)	3	\$10,000	\$10,000	\$7,200	09/28/2018	
BNSF 2017-649(TS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-650(TS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-651(TS)	2	\$7,500	\$7,500	\$5,500	09/28/2018	
BNSF 2017-652(TS)	2	\$6,000	\$6,000	\$4,400	09/28/2018	
BNSF 2017-653(ROP)	1	\$7,500	\$7,500	\$3,750	09/28/2018	
BNSF 2017-654(ROP)	1	\$7,500	\$7,500	\$3,750	09/28/2018	
BNSF 2017-655(ROP)	1	\$7,500	\$7,500	\$3,750	09/28/2018	
BNSF 2017-656(FCS)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-657(ROP)	1	\$7,500	\$7,500	\$5,500	09/28/2018	
BNSF 2017-658(ROP)	1	\$5,000	\$5,000	\$3,500	09/28/2018	
BNSF 2017-659(SA)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-660(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-661(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-662(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-663(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-664(FCS)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-665(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-666(SA)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-667(SA)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-668(SA)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-669(SA)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-670(SA)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-671(SA)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-672(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-673(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-674(ROP)	1	\$7,500	\$7,500	\$5,500	09/28/2018	
BNSF 2017-675(ROP)	1	\$7,500	\$7,500	\$5,500	09/28/2018	
BNSF 2017-676(AR)	1	\$2,500	\$2,500	\$1,250	09/28/2018	
BNSF 2017-677(SA)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-678(SA)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-679(FCS)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-680(SA)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-681(SA)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-682(SA)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-683(SA)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-684(HS)	2	\$2,000	\$2,000	\$1,706	09/28/2018	
BNSF 2017-685(ROP)	1	\$9,500	\$9,500	\$7,000	09/28/2018	

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BNSF 2017-686(SA)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-687(SA)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-688(ROP)	2	\$4,000	\$4,000	\$2,950	09/28/2018	
BNSF 2017-689(SA)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-690(SA)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-691(SA)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-692(SA)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-693(SA)	1	\$5,000	\$5,000	\$2,900	09/28/2018	
BNSF 2017-694(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-695(SA)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-696(SA)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-697(ROP)	1	\$2,000	\$2,000	\$1,450	09/28/2018	
BNSF 2017-698(GC)	2	\$10,000	\$10,000	\$7,400	09/28/2018	
BNSF 2017-699(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-700(TS)	1	\$2,500	\$2,500	\$1,750	09/28/2018	
BNSF 2017-701(SA)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-702(SA)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-703(SA)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-704(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-705(SA)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-706(HS)	1	\$1,000	\$1,000	\$853	09/28/2018	
BNSF 2017-707(HS)	1	\$1,000	\$1,000	\$853	09/28/2018	
BNSF 2017-708(HS)	1	\$1,000	\$1,000	\$853	09/28/2018	
BNSF 2017-711(HSR)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
BNSF 2017-712(LI)	1	\$2,500	\$2,500	\$1,900	09/28/2018	
BNSF 2017-713(ROP)	1	\$7,500	\$7,500	\$5,850	09/28/2018	
BNSF 2017-714(FCS)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-715(SA)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-716(SA)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-717(ROP)	1	\$2,000	\$2,000	\$1,450	09/28/2018	
BNSF 2017-718(ROP)	1	\$7,500	\$7,500	\$5,400	09/28/2018	
BNSF 2017-719(ROP)	1	\$4,000	\$4,000	\$2,900	09/28/2018	
BNSF 2017-720(ROP)	1	\$7,500	\$7,500	\$5,500	09/28/2018	
BNSF 2017-721(ROP)	3	\$6,000	\$6,000	\$4,400	09/28/2018	
BNSF 2017-722(ROP)	1	\$9,500	\$9,500	\$6,800	09/28/2018	
BNSF 2017-723(LI)	1	\$2,500	\$2,500	\$1,900	09/28/2018	
BNSF 2017-724(ROP)	1	\$7,500	\$7,500	\$5,400	09/28/2018	
BNSF 2017-725(SA)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-726(SA)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-727(TS)	1	\$2,500	\$2,500	\$1,750	09/28/2018	
BNSF 2017-728(TS)	1	\$5,000	\$5,000	\$4,000	09/28/2018	
BNSF 2017-729(TS)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-730(ROP)	1	\$7,500	\$2,000	\$2,000	09/28/2018	Partially Terminated Violation(s): 1.
BNSF 2017-731(SA)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-732(RW)	1	\$1,000	\$1,000	\$853	09/28/2018	
BNSF 2017-733(TS)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
BNSF 2017-734(TS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-735(TS)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-736(TS)	1	\$1,000	\$1,000	\$853	09/28/2018	

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BNSF 2017-737(HMT)	1	\$7,500	\$7,500	\$5,250	09/28/2018	
BNSF 2017-738(SA)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-739(ROP)	1	\$7,500	\$7,500	\$5,400	09/28/2018	
BNSF 2017-740(GC)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-741(GC)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-742(TS)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-743(ROP)	1	\$9,500	\$9,500	\$6,800	09/28/2018	
BNSF 2017-744(ROP)	1	\$7,500	\$7,500	\$5,400	09/28/2018	
BNSF 2017-745(ROP)	1	\$7,500	\$7,500	\$5,400	09/28/2018	
BNSF 2017-750(HMT)	1	\$2,000	\$2,000	\$1,475	09/28/2018	
BNSF 2017-754(LI)	1	\$2,000	\$2,000	\$1,545	09/28/2018	
BNSF 2017-755(LI)	1	\$2,500	\$2,500	\$1,900	09/28/2018	
BNSF 2017-756(SA)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-757(SA)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-758(SA)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-759(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-760(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-761(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-762(HMT)	2	\$13,500	\$13,500	\$9,800	09/28/2018	
BNSF 2017-764(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-765(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-766(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-767(TS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-768(TS)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-769(TS)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-770(TS)	4	\$10,000	\$10,000	\$7,200	09/28/2018	
BNSF 2017-771(TS)	1	\$5,000	\$5,000	\$3,900	09/28/2018	
BNSF 2017-772(TS)	1	\$1,000	\$1,000	\$853	09/28/2018	
BNSF 2017-773(TS)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-774(TS)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-775(TS)	1	\$1,000	\$1,000	\$853	09/28/2018	
BNSF 2017-776(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-777(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-778(GC)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-779(GC)	1	\$5,000	\$5,000	\$3,000	09/28/2018	
BNSF 2017-780(TS)	2	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-781(TS)	11	\$11,000	\$5,000	\$5,000	09/28/2018	Partially Terminated Violation(s): 1.
BNSF 2017-782(TS)	2	\$7,500	\$7,500	\$5,500	09/28/2018	
BNSF 2017-783(TS)	2	\$3,500	\$3,500	\$2,700	09/28/2018	
BNSF 2017-784(TS)	2	\$7,500	\$7,500	\$5,500	09/28/2018	
BNSF 2017-785(FCS)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-786(AR)	1	\$1,000	\$1,000	\$853	09/28/2018	
BNSF 2017-787(AR)	4	\$10,000	\$10,000	\$7,500	09/28/2018	
BNSF 2017-788(AR)	4	\$10,000	\$10,000	\$7,500	09/28/2018	
BNSF 2017-789(SI)	1	\$1,000	\$1,000	\$853	09/28/2018	
BNSF 2017-790(SI)	1	\$5,000	\$5,000	\$3,675	09/28/2018	
BNSF 2017-791(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-792(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-793(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	

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BNSF 2017-794(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-795(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-796(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-797(ROP)	3	\$22,500	\$22,500	\$15,000	09/28/2018	
BNSF 2017-798(RW)	1	\$3,000	\$3,000	\$2,175	09/28/2018	
BNSF 2017-799(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-800(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-801(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-802(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-803(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2017-804(GC)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2017-805(GC)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-806(ROP)	1	\$7,500	\$7,500	\$5,000	09/28/2018	
BNSF 2017-807(ROP)	1	\$7,500	\$7,500	\$5,400	09/28/2018	
BNSF 2017-808(TS)	2	\$7,500	\$7,500	\$5,500	09/28/2018	
BNSF 2017-809(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-810(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-811(TS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2017-812(HS)	2	\$2,000	\$2,000	\$1,706	09/28/2018	
BNSF 2017-813(HS)	1	\$1,000	\$1,000	\$853	09/28/2018	
BNSF 2017-814(HMT)	2	\$4,000	\$0	\$0	09/28/2018	Case Terminated.
BNSF 2017-815(HMT)	1	\$7,500	\$7,500	\$5,450	09/28/2018	
BNSF 2017-816(LI)	1	\$5,000	\$5,000	\$3,800	09/28/2018	
BNSF 2017-817(LI)	1	\$2,500	\$2,500	\$1,775	09/28/2018	
BNSF 2017-818(RW)	1	\$1,500	\$1,500	\$1,100	09/28/2018	
BNSF 2017-819(ROP)	1	\$2,000	\$2,000	\$1,430	09/28/2018	
BNSF 2017-820(ROP)	1	\$2,000	\$2,000	\$1,430	09/28/2018	
BNSF 2017-821(HMT)	5	\$11,000	\$11,000	\$7,920	09/28/2018	
BNSF 2017-822(HMT)	1	\$3,000	\$3,000	\$2,200	09/28/2018	
BNSF 2017-823(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-824(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2017-825(LI)	1	\$2,500	\$2,500	\$1,900	09/28/2018	
BNSF 2018-1(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2018-2(SA)	1	\$5,000	\$0	\$0	09/28/2018	Case Terminated.
BNSF 2018-3(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2018-4(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2018-5(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2018-6(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2018-7(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2018-8(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2018-9(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2018-10(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2018-11(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2018-12(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2018-13(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2018-14(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
BNSF 2018-15(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2018-16(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2018-17(SA)	1	\$5,000	\$5,000	\$3,600	09/28/2018	

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BNSF 2018-18(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
BNSF 2018-19(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
BNSF 2018-20(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
BNSF 2018-21(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2018-22(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2018-23(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2018-24(ROP)	3	\$6,000	\$6,000	\$4,300	09/28/2018	
BNSF 2018-25(TS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2018-26(TS)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2018-27(TS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2018-28(TS)	2	\$10,000	\$10,000	\$7,200	09/28/2018	
BNSF 2018-29(TS)	1	\$1,000	\$1,000	\$853	09/28/2018	
BNSF 2018-30(TS)	1	\$1,000	\$1,000	\$853	09/28/2018	
BNSF 2018-31(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2018-32(HMT)	1	\$5,000	\$5,000	\$3,600	09/28/2018	
BNSF 2018-33(ROP)	1	\$7,500	\$7,500	\$5,400	09/28/2018	
BNSF 2018-34(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2018-35(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2018-36(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2018-37(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2018-38(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2018-39(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2018-40(LI)	1	\$2,500	\$2,500	\$1,900	09/28/2018	
BNSF 2018-41(HS)	2	\$2,000	\$2,000	\$1,706	09/28/2018	
BNSF 2018-42(TS)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2018-43(TS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2018-44(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2018-45(ROP)	1	\$2,000	\$2,000	\$1,430	09/28/2018	
BNSF 2018-46(AR)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
BNSF 2018-47(GC)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2018-48(LI)	1	\$2,500	\$2,500	\$1,900	09/28/2018	
BNSF 2018-49(GC)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2018-50(LI)	1	\$2,500	\$2,500	\$1,775	09/28/2018	
BNSF 2018-51(ROP)	1	\$7,500	\$7,500	\$5,400	09/28/2018	
BNSF 2018-52(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2018-53(HMT)	1	\$6,000	\$6,000	\$4,320	09/28/2018	
BNSF 2018-54(HMT)	1	\$5,000	\$5,000	\$3,600	09/28/2018	
BNSF 2018-55(HMT)	1	\$2,000	\$2,000	\$1,450	09/28/2018	
BNSF 2018-56(HS)	2	\$2,000	\$2,000	\$1,706	09/28/2018	
BNSF 2018-57(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2018-58(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2018-59(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2018-60(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2018-61(LI)	1	\$2,500	\$2,500	\$1,900	09/28/2018	
BNSF 2018-62(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2018-63(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2018-64(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2018-65(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2018-66(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	

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BNSF 2018-67(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2018-68(FCS)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2018-69(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2018-70(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2018-71(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2018-72(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2018-73(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2018-74(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2018-75(HMT)	1	\$5,000	\$0	\$0	09/28/2018	Case Terminated.
BNSF 2018-76(LI)	1	\$2,500	\$2,500	\$1,900	09/28/2018	
BNSF 2018-77(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2018-78(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2018-79(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2018-80(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2018-81(ROP)	1	\$7,500	\$7,500	\$5,400	09/28/2018	
BNSF 2018-82(TS)	2	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2018-83(LI)	1	\$2,500	\$2,500	\$1,900	09/28/2018	
BNSF 2018-84(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2018-85(TS)	2	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2018-86(EP)	1	\$1,000	\$1,000	\$853	09/28/2018	
BNSF 2018-87(EP)	1	\$1,000	\$1,000	\$853	09/28/2018	
BNSF 2018-88(TS)	1	\$1,000	\$1,000	\$853	09/28/2018	
BNSF 2018-89(TS)	3	\$12,500	\$12,500	\$9,000	09/28/2018	
BNSF 2018-90(TS)	1	\$2,500	\$2,500	\$1,650	09/28/2018	
BNSF 2018-91(TS)	1	\$5,000	\$5,000	\$3,600	09/28/2018	
BNSF 2018-92(FCS)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2018-93(TS)	7	\$20,000	\$20,000	\$14,600	09/28/2018	
BNSF 2018-94(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2018-95(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2018-96(FCS)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2018-97(ROP)	1	\$2,000	\$2,000	\$1,430	09/28/2018	
BNSF 2018-98(AR)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
BNSF 2018-99(AR)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
BNSF 2018-100(AR)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
BNSF 2018-101(AR)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
BNSF 2018-102(AR)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
BNSF 2018-103(AR)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
BNSF 2018-104(HMT)	1	\$5,000	\$5,000	\$3,600	09/28/2018	
BNSF 2018-105(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2018-106(HMT)	1	\$7,500	\$7,500	\$5,400	09/28/2018	
BNSF 2018-108(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2018-109(LI)	1	\$1,500	\$1,500	\$1,140	09/28/2018	
BNSF 2018-110(GC)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2018-111(HSR)	1	\$1,000	\$1,000	\$853	09/28/2018	
BNSF 2018-112(HMT)	1	\$2,000	\$2,000	\$1,170	09/28/2018	
BNSF 2018-113(SI)	1	\$5,000	\$5,000	\$3,675	09/28/2018	
BNSF 2018-114(ROP)	1	\$2,000	\$2,000	\$1,430	09/28/2018	
BNSF 2018-115(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2018-116(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	

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BNSF 2018-117(FCS)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2018-118(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2018-119(HMT)	1	\$5,000	\$5,000	\$3,600	09/28/2018	
BNSF 2018-120(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2018-121(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2018-122(HSR)	1	\$1,000	\$1,000	\$853	09/28/2018	
BNSF 2018-123(TS)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2018-124(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2018-125(ROP)	1	\$2,000	\$2,000	\$1,430	09/28/2018	
BNSF 2018-126(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2018-128(HMT)	1	\$5,000	\$0	\$0	09/28/2018	Case Terminated.
BNSF 2018-129(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2018-130(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2018-131(ROP)	1	\$5,000	\$5,000	\$3,600	09/28/2018	
BNSF 2018-132(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2018-133(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2018-134(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2018-135(SA)	1	\$2,500	\$0	\$0	09/28/2018	Case Terminated.
BNSF 2018-136(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2018-137(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2018-138(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
BNSF 2018-139(SA)	1	\$5,000	\$5,000	\$3,660	09/28/2018	
BNSF 2018-140(TS)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2018-141(TS)	1	\$1,000	\$1,000	\$853	09/28/2018	
BNSF 2018-142(ROP)	1	\$9,500	\$9,500	\$6,800	09/28/2018	
BNSF 2018-143(ROP)	2	\$4,000	\$4,000	\$2,875	09/28/2018	
BNSF 2018-145(FCS)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2018-146(TS)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSF 2018-147(ROP)	1	\$7,500	\$7,500	\$5,400	09/28/2018	
BNSF 2018-150(SA)	1	\$5,000	\$5,000	\$3,600	09/28/2018	
BNSF 2018-151(SA)	1	\$5,000	\$5,000	\$3,600	09/28/2018	
BNSF 2018-154(SI)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
BNSF 2018-155(GC)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
BNSO 2015-3(ROP)	1	\$25,000	\$25,000	\$18,750	09/28/2018	
BNSO 2017-1(PEQ)	1	\$5,000	\$5,000	\$3,900	09/28/2018	
BNSO 2017-2(ROP)	1	\$5,000	\$5,000	\$3,600	09/28/2018	
BPRR 2017-2(SI)	1	\$1,000	\$1,000	\$900	09/27/2018	
BPRR 2017-3(SI)	1	\$1,000	\$1,000	\$900	09/27/2018	
BPRR 2017-4(SI)	1	\$1,000	\$1,000	\$900	09/27/2018	
BPRR 2017-5(SI)	1	\$1,000	\$1,000	\$900	09/27/2018	
BPRR 2017-6(SI)	1	\$1,000	\$1,000	\$900	09/27/2018	
BPRR 2017-7(SA)	1	\$2,500	\$2,500	\$1,950	09/27/2018	
BRC 2017-1(SA)	2	\$10,000	\$10,000	\$7,400	01/11/2018	
BRC 2017-2(SA)	1	\$5,000	\$5,000	\$2,500	01/11/2018	
BRC 2017-3(SA)	3	\$12,500	\$12,500	\$9,250	01/11/2018	
BRC 2017-4(HMT)	45	\$182,000	\$152,000	\$94,750	05/23/2018	Partially Terminated Violation(s): 2.
BRC 2017-6(ROP)	1	\$7,500	\$7,500	\$4,875	01/11/2018	
BRC 2017-7(HS)	1	\$1,000	\$1,000	\$853	01/11/2018	
BRC 2017-8(HMT)	1	\$1,000	\$1,000	\$700	05/23/2018	

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BRC 2017-9(HMT)	1	\$1,000	\$1,000	\$700	05/23/2018	
BRC 2017-10(ROP)	1	\$9,500	\$9,500	\$6,650	05/23/2018	
BRSR 2017-1(ROP)	1	\$7,500	\$2,000	\$2,000	09/24/2018	Partially Terminated Violation(s): 1.
BRSR 2017-2(RW)	1	\$2,000	\$2,000	\$1,400	09/24/2018	
BVRR 2018-1(SA)	1	\$2,500	\$2,500	\$1,750	09/24/2018	
CAGY 2017-1(AD)	4	\$10,000	\$10,000	\$7,600	09/27/2018	
CAGY 2017-2(AD)	1	\$5,000	\$5,000	\$3,950	09/27/2018	
CBCX 2016-1(TS)	1	\$1,000	\$1,000	\$1,000	01/12/2018	
CBR 2016-2(TS)	2	\$10,000	\$10,000	\$8,500	10/30/2017	
CBR 2016-3(RW)	2	\$7,000	\$7,000	\$5,500	10/30/2017	
CBR 2017-1(REF)	1	\$5,000	\$5,000	\$4,000	10/30/2017	
CBR 2017-2(LI)	3	\$7,500	\$7,500	\$7,500	10/30/2017	
CBR 2017-3(AR)	1	\$2,500	\$2,500	\$2,500	10/30/2017	
CBR 2017-4(ROP)	1	\$7,500	\$7,500	\$5,750	10/30/2017	
CBR 2017-5(ROP)	1	\$9,500	\$9,500	\$6,000	10/30/2017	
CC 2017-1(ROP)	1	\$5,000	\$5,000	\$3,750	08/17/2018	
CC 2017-2(TS)	1	\$5,000	\$5,000	\$3,600	08/17/2018	
CC 2017-3(TS)	1	\$2,500	\$2,500	\$1,800	08/17/2018	
CC 2017-4(TS)	2	\$7,500	\$7,500	\$5,600	08/17/2018	
CC 2017-5(TS)	1	\$2,500	\$2,500	\$1,800	08/17/2018	
CC 2017-6(TS)	1	\$2,000	\$2,000	\$1,400	08/17/2018	
CCHA 2017-1(AD)	1	\$5,000	\$5,000	\$3,950	09/27/2018	
CERA 2017-1(SA)	1	\$5,000	\$5,000	\$3,600	09/27/2018	
CFNR 2017-1(LI)	1	\$2,500	\$2,500	\$1,950	09/27/2018	
CFRC 2016-8(GC)	9	\$22,500	\$22,500	\$19,987	11/08/2017	
CFRC 2016-10(GC)	1	\$2,500	\$2,500	\$2,000	11/08/2017	
CFRC 2016-11(GC)	1	\$1,000	\$1,000	\$800	11/08/2017	
CFRC 2016-12(ROR)	1	\$2,500	\$2,500	\$2,000	11/08/2017	
CFRC 2017-5(TS)	2	\$10,000	\$10,000	\$9,000	11/08/2017	
CFRC 2017-6(GC)	4	\$15,000	\$15,000	\$12,000	11/08/2017	
CFRC 2017-7(EP)	1	\$1,000	\$1,000	\$853	11/08/2017	
CFRC 2017-8(GC)	4	\$5,500	\$5,500	\$4,400	11/08/2017	
CFRC 2017-9(ROR)	3	\$28,500	\$19,000	\$15,200	11/08/2017	Terminated Violation(s): 2.
CFRC 2017-10(ROR)	1	\$9,500	\$9,500	\$7,500	11/08/2017	
CFRC 2018-1(SI)	1	\$2,500	\$2,500	\$2,000	03/15/2018	
CFRC 2018-2(GC)	1	\$1,000	\$1,000	\$853	03/15/2018	
CFRC 2018-3(SI)	1	\$5,000	\$5,000	\$4,125	05/30/2018	
CFRC 2018-4(SI)	1	\$27,904	\$27,904	\$26,250	08/17/2018	
CIC 2017-1(SA)	1	\$5,000	\$5,000	\$4,000	04/20/2018	
CKIN 2014-2(SA)	1	\$5,000	\$5,000	\$3,000	02/07/2018	
CLC 2017-1(SA)	2	\$10,000	\$10,000	\$5,000	11/14/2017	
CMEM 2017-1(SA)	1	\$5,000	\$5,000	\$5,000	04/12/2018	
CMQX 2017-1(TS)	2	\$10,000	\$10,000	\$10,000	02/26/2018	
CMR 2017-1(TS)	2	\$5,000	\$5,000	\$3,750	02/05/2018	
CMR 2017-2(TS)	1	\$2,500	\$2,500	\$1,750	02/05/2018	
CMR 2017-3(TS)	2	\$7,500	\$7,500	\$5,250	02/05/2018	
CMR 2017-4(TS)	5	\$18,500	\$18,500	\$15,000	02/05/2018	
CMR 2017-5(TS)	2	\$7,500	\$7,500	\$4,250	02/05/2018	
CMR 2017-6(TS)	4	\$12,500	\$12,500	\$10,000	04/26/2018	



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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
CMR 2018-1(TS)	1	\$5,000	\$5,000	\$4,000	05/07/2018	
CMR 2018-2(TS)	3	\$10,000	\$10,000	\$8,000	05/07/2018	
CMTY 2018-1(SI)	1	\$27,904	\$27,904	\$25,113	08/01/2018	
CN 2015-224(HSR)	15	\$15,000	\$15,000	\$12,900	08/17/2018	
CN 2017-2(SA)	1	\$2,500	\$2,500	\$1,650	08/17/2018	
CN 2017-3(SA)	2	\$5,000	\$5,000	\$3,350	08/17/2018	
CN 2017-4(SA)	1	\$2,500	\$2,500	\$1,650	08/17/2018	
CN 2017-5(SA)	1	\$5,000	\$5,000	\$3,250	08/17/2018	
CN 2017-6(SA)	1	\$2,500	\$2,500	\$1,650	08/17/2018	
CN 2017-7(TS)	4	\$20,000	\$20,000	\$14,500	08/17/2018	
CN 2017-8(FCS)	1	\$2,500	\$2,500	\$1,700	08/17/2018	
CN 2017-9(LI)	1	\$1,500	\$1,500	\$990	08/17/2018	
CN 2017-10(LI)	1	\$2,500	\$2,500	\$1,650	08/17/2018	
CN 2017-11(SA)	1	\$2,500	\$2,500	\$1,650	08/17/2018	
CN 2017-12(SA)	1	\$2,500	\$2,500	\$1,825	08/17/2018	
CN 2017-13(FCS)	1	\$5,000	\$5,000	\$3,500	08/17/2018	
CN 2017-14(SI)	3	\$3,000	\$3,000	\$2,010	08/17/2018	
CN 2017-15(GC)	1	\$2,500	\$2,500	\$1,850	08/17/2018	
CN 2017-16(GC)	1	\$2,500	\$2,500	\$1,850	08/17/2018	
CN 2017-17(GC)	1	\$2,500	\$2,500	\$1,850	08/17/2018	
CN 2017-18(HSR)	1	\$1,000	\$1,000	\$670	08/17/2018	
CN 2017-19(GC)	1	\$5,000	\$5,000	\$3,700	08/17/2018	
CN 2017-20(LI)	1	\$2,500	\$2,500	\$1,700	08/17/2018	
CN 2017-21(LI)	7	\$8,500	\$8,500	\$6,970	08/17/2018	
CN 2017-22(HMT)	6	\$12,000	\$12,000	\$8,500	08/17/2018	
CN 2017-23(ROP)	1	\$9,500	\$9,500	\$7,000	08/17/2018	
CN 2017-24(GC)	1	\$2,500	\$2,500	\$1,850	08/17/2018	
CN 2017-25(HS)	1	\$1,000	\$1,000	\$850	08/17/2018	
CN 2017-26(HS)	1	\$1,000	\$1,000	\$850	08/17/2018	
CN 2017-27(LI)	1	\$2,500	\$2,500	\$1,650	08/17/2018	
CN 2017-28(TS)	1	\$1,000	\$1,000	\$850	08/17/2018	
CN 2017-29(SI)	1	\$1,000	\$1,000	\$850	08/17/2018	
CN 2017-30(LI)	1	\$1,500	\$1,500	\$990	08/17/2018	
CN 2017-31(GC)	1	\$5,000	\$5,000	\$3,700	08/17/2018	
CN 2017-32(GC)	1	\$1,000	\$1,000	\$730	08/17/2018	
CN 2017-33(TS)	1	\$5,000	\$5,000	\$3,600	08/17/2018	
CN 2017-34(TS)	1	\$1,000	\$1,000	\$850	08/17/2018	
CN 2017-35(TS)	1	\$5,000	\$5,000	\$3,650	08/17/2018	
CN 2017-36(SI)	1	\$1,000	\$1,000	\$850	08/17/2018	
CN 2017-37(HMT)	1	\$1,000	\$1,000	\$680	08/17/2018	
CN 2017-38(HMT)	2	\$10,500	\$10,500	\$7,950	08/17/2018	
CN 2017-39(SA)	1	\$5,000	\$5,000	\$3,250	08/17/2018	
CN 2017-40(SA)	1	\$5,000	\$5,000	\$3,700	08/17/2018	
CN 2017-41(GC)	1	\$2,500	\$2,500	\$1,850	08/17/2018	
CN 2017-42(TS)	5	\$20,000	\$20,000	\$14,100	08/17/2018	
CN 2017-43(HMT)	1	\$7,500	\$7,500	\$5,690	08/17/2018	
CN 2017-44(SA)	1	\$5,000	\$5,000	\$3,250	08/17/2018	
CN 2017-45(LI)	1	\$1,500	\$1,500	\$1,010	08/17/2018	
CN 2017-46(SA)	1	\$2,500	\$2,500	\$1,650	08/17/2018	

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CN 2017-47(HS)	1	\$1,000	\$1,000	\$850	08/17/2018	
CN 2017-48(HS)	1	\$1,000	\$1,000	\$850	08/17/2018	
CN 2017-49(HMT)	1	\$4,000	\$4,000	\$2,970	08/17/2018	
CN 2017-50(SA)	2	\$10,000	\$10,000	\$7,100	08/17/2018	
CN 2017-51(AD)	1	\$2,500	\$2,500	\$1,675	08/17/2018	
CN 2017-52(AD)	1	\$5,000	\$5,000	\$3,550	08/17/2018	
CN 2017-53(FCS)	1	\$2,500	\$2,500	\$1,750	08/17/2018	
CN 2017-54(SA)	1	\$2,500	\$2,500	\$1,625	08/17/2018	
CN 2017-55(HMT)	1	\$4,000	\$4,000	\$2,840	08/17/2018	
CN 2017-56(ROP)	1	\$2,000	\$2,000	\$1,500	08/17/2018	
CN 2017-57(SA)	1	\$2,500	\$2,500	\$1,825	08/17/2018	
CN 2017-58(TS)	15	\$15,000	\$15,000	\$12,900	08/17/2018	
CN 2017-59(SA)	1	\$5,000	\$5,000	\$3,250	08/17/2018	
CN 2017-60(LI)	1	\$2,500	\$2,500	\$1,650	08/17/2018	
CN 2017-61(HS)	1	\$1,000	\$1,000	\$870	08/17/2018	
CN 2017-62(HS)	1	\$1,000	\$1,000	\$870	08/17/2018	
CN 2017-63(HS)	1	\$1,000	\$1,000	\$870	08/17/2018	
CN 2017-64(LI)	1	\$2,500	\$2,500	\$1,650	08/17/2018	
CN 2017-65(LI)	1	\$5,000	\$5,000	\$3,450	08/17/2018	
CN 2017-66(SA)	1	\$5,000	\$5,000	\$3,250	08/17/2018	
CN 2017-67(SA)	1	\$5,000	\$5,000	\$3,200	08/17/2018	
CN 2017-68(HS)	1	\$1,000	\$1,000	\$870	08/17/2018	
CN 2017-69(HS)	1	\$1,000	\$1,000	\$870	08/17/2018	
CN 2017-70(HS)	1	\$1,000	\$1,000	\$870	08/17/2018	
CN 2017-71(SA)	1	\$2,500	\$2,500	\$1,575	08/17/2018	
CN 2017-72(SA)	1	\$5,000	\$5,000	\$3,325	08/17/2018	
CN 2017-73(AR)	1	\$2,500	\$2,500	\$1,700	08/17/2018	
CN 2017-74(FCS)	1	\$2,500	\$2,500	\$1,700	08/17/2018	
CN 2017-75(FCS)	1	\$2,500	\$2,500	\$1,750	08/17/2018	
CN 2017-76(ROP)	1	\$2,000	\$2,000	\$1,560	08/17/2018	
CN 2017-77(SA)	1	\$5,000	\$5,000	\$3,250	08/17/2018	
CN 2017-78(HMT)	1	\$4,000	\$4,000	\$2,970	08/17/2018	
CN 2017-79(HMT)	1	\$4,000	\$4,000	\$2,900	08/17/2018	
CN 2017-80(HMT)	1	\$4,000	\$4,000	\$2,900	08/17/2018	
CN 2017-81(HMT)	1	\$4,000	\$4,000	\$2,970	08/17/2018	
CN 2017-82(HMT)	2	\$11,500	\$11,500	\$8,500	08/17/2018	
CN 2017-83(HMT)	9	\$45,000	\$45,000	\$34,000	08/17/2018	
CN 2017-84(SA)	1	\$5,000	\$5,000	\$3,700	08/17/2018	
CN 2017-85(TS)	1	\$2,500	\$2,500	\$1,775	08/17/2018	
CN 2017-86(HMT)	1	\$5,000	\$5,000	\$3,750	08/17/2018	
CN 2017-87(SA)	1	\$5,000	\$5,000	\$3,700	08/17/2018	
CN 2017-88(SA)	1	\$2,500	\$2,500	\$1,625	08/17/2018	
CN 2017-89(SA)	1	\$5,000	\$5,000	\$3,325	08/17/2018	
CN 2017-90(SA)	1	\$2,500	\$2,500	\$1,650	08/17/2018	
CN 2017-91(SA)	1	\$5,000	\$5,000	\$3,325	08/17/2018	
CN 2017-92(AD)	1	\$5,000	\$0	\$0	08/17/2018	Case Terminated.
CN 2017-93(SA)	1	\$2,500	\$2,500	\$1,550	08/17/2018	
CN 2017-94(SA)	1	\$5,000	\$5,000	\$3,700	08/17/2018	
CN 2017-95(ROP)	1	\$9,500	\$9,500	\$7,000	08/17/2018	

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CN 2017-96(SA)	1	\$2,500	\$2,500	\$1,650	08/17/2018	
CN 2017-97(FCS)	1	\$2,500	\$2,500	\$1,650	08/17/2018	
CN 2017-98(SA)	1	\$5,000	\$5,000	\$3,250	08/17/2018	
CN 2017-99(LI)	1	\$1,500	\$1,500	\$1,010	08/17/2018	
CN 2017-100(AD)	1	\$1,000	\$1,000	\$870	08/17/2018	
CN 2017-101(SA)	4	\$20,000	\$20,000	\$14,100	08/17/2018	
CN 2017-102(SA)	2	\$7,500	\$7,500	\$5,350	08/17/2018	
CN 2017-103(HMT)	1	\$5,000	\$5,000	\$3,750	08/17/2018	
CN 2017-104(TS)	1	\$2,500	\$2,500	\$1,750	08/17/2018	
CN 2017-105(TS)	1	\$2,500	\$2,500	\$1,750	08/17/2018	
CN 2017-106(SA)	1	\$5,000	\$5,000	\$3,325	08/17/2018	
CN 2017-107(TS)	1	\$2,500	\$2,500	\$1,750	08/17/2018	
CN 2017-108(TS)	1	\$1,000	\$1,000	\$860	08/17/2018	
CN 2017-109(TS)	1	\$2,500	\$2,500	\$1,800	08/17/2018	
CN 2017-110(HMT)	1	\$1,000	\$1,000	\$680	08/17/2018	
CN 2017-111(HMT)	5	\$25,000	\$25,000	\$18,950	08/17/2018	
CN 2017-112(SA)	1	\$5,000	\$5,000	\$3,700	08/17/2018	
CN 2017-113(SA)	1	\$5,000	\$5,000	\$3,700	08/17/2018	
CN 2017-114(EQ)	1	\$2,500	\$2,500	\$1,825	08/17/2018	
CN 2017-115(FCS)	1	\$2,500	\$2,500	\$1,700	08/17/2018	
CN 2017-116(TS)	1	\$2,500	\$2,500	\$1,750	08/17/2018	
CN 2017-117(SA)	1	\$5,000	\$5,000	\$3,700	08/17/2018	
CN 2017-118(SA)	2	\$10,000	\$10,000	\$7,400	08/17/2018	
CN 2017-119(SA)	1	\$10,000	\$0	\$0	08/17/2018	Case Terminated.
CN 2017-120(SA)	1	\$5,000	\$5,000	\$3,700	08/17/2018	
CN 2017-121(SA)	1	\$2,500	\$2,500	\$1,750	08/17/2018	
CN 2017-122(TS)	12	\$12,000	\$12,000	\$10,320	08/17/2018	
CN 2017-123(SA)	1	\$5,000	\$5,000	\$3,250	08/17/2018	
CN 2017-124(SA)	1	\$2,500	\$2,500	\$1,625	08/17/2018	
CN 2017-125(SA)	1	\$5,000	\$5,000	\$3,700	08/17/2018	
CN 2017-126(SA)	1	\$2,500	\$2,500	\$1,650	08/17/2018	
CN 2017-127(SA)	1	\$2,500	\$2,500	\$1,625	08/17/2018	
CN 2017-128(SA)	1	\$2,500	\$2,500	\$1,625	08/17/2018	
CN 2017-129(SA)	1	\$2,500	\$2,500	\$1,625	08/17/2018	
CN 2017-130(SA)	1	\$2,500	\$2,500	\$1,625	08/17/2018	
CN 2017-131(SA)	1	\$5,000	\$5,000	\$3,700	08/17/2018	
CN 2017-132(SA)	1	\$5,000	\$5,000	\$3,700	08/17/2018	
CN 2017-133(TS)	2	\$5,000	\$5,000	\$3,550	08/17/2018	
CN 2017-134(TS)	2	\$5,000	\$5,000	\$3,550	08/17/2018	
CN 2017-135(SA)	1	\$2,500	\$2,500	\$1,650	08/17/2018	
CN 2017-136(SA)	1	\$2,500	\$2,500	\$1,650	08/17/2018	
CN 2018-116(SA)	1	\$5,000	\$0	\$0	08/27/2018	Case Terminated.
COP 2017-1(RW)	1	\$2,500	\$2,500	\$2,000	01/12/2018	
CORP 2017-1(TS)	2	\$10,000	\$10,000	\$7,000	09/27/2018	
CORP 2017-2(TS)	2	\$2,000	\$2,000	\$1,800	09/27/2018	
CORP 2017-3(SA)	1	\$5,000	\$5,000	\$3,950	09/27/2018	
CORP 2017-4(LI)	1	\$2,500	\$2,500	\$1,950	09/27/2018	
CORP 2017-5(SA)	1	\$5,000	\$5,000	\$3,950	09/27/2018	
CORP 2017-6(TS)	1	\$5,000	\$5,000	\$3,950	09/27/2018	

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CORP 2017-7(SA)	1	\$2,500	\$2,500	\$1,950	09/27/2018	
CORP 2017-8(SA)	1	\$5,000	\$5,000	\$3,950	09/27/2018	
CORP 2017-9(SA)	1	\$2,500	\$2,500	\$1,950	09/27/2018	
CORP 2017-10(FCS)	1	\$5,000	\$5,000	\$3,950	09/27/2018	
CORP 2018-2(SA)	1	\$5,000	\$5,000	\$3,600	09/27/2018	
CORP 2018-3(FCS)	1	\$2,500	\$2,500	\$1,950	09/27/2018	
CORP 2018-4(TS)	1	\$5,000	\$5,000	\$3,950	09/27/2018	
CP 2016-216(SA)	10	\$25,000	\$25,000	\$17,500	09/28/2018	
CP 2016-217(SA)	10	\$25,000	\$25,000	\$17,500	09/28/2018	
CP 2016-241(SA)	1	\$5,000	\$0	\$0	09/28/2018	Case Terminated.
CP 2017-61(SA)	1	\$2,500	\$2,500	\$1,625	09/28/2018	
CP 2017-62(SA)	1	\$2,500	\$2,500	\$1,625	09/28/2018	
CP 2017-63(SA)	1	\$2,500	\$2,500	\$1,625	09/28/2018	
CP 2017-64(SA)	1	\$2,500	\$2,500	\$1,625	09/28/2018	
CP 2017-65(SA)	1	\$2,500	\$2,500	\$1,625	09/28/2018	
CP 2017-68(SA)	1	\$2,500	\$2,500	\$1,625	09/28/2018	
CP 2017-69(SA)	1	\$5,000	\$5,000	\$3,250	09/28/2018	
CP 2017-71(HMT)	1	\$3,000	\$3,000	\$2,100	09/28/2018	
CP 2017-72(TS)	1	\$5,000	\$5,000	\$3,250	09/28/2018	
CP 2017-73(SA)	1	\$2,500	\$2,500	\$1,750	09/28/2018	
CP 2017-74(ROP)	1	\$7,500	\$7,500	\$5,000	09/28/2018	
CP 2017-75(ROP)	1	\$9,500	\$9,500	\$6,650	09/28/2018	
CP 2017-76(SA)	1	\$2,500	\$2,500	\$1,750	09/28/2018	
CP 2017-77(SA)	1	\$2,500	\$2,500	\$1,750	09/28/2018	
CP 2017-78(SA)	1	\$2,500	\$2,500	\$1,625	09/28/2018	
CP 2017-79(TS)	1	\$5,000	\$5,000	\$3,600	09/28/2018	
CP 2017-80(SA)	1	\$5,000	\$0	\$0	09/28/2018	Case Terminated.
CP 2017-81(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2018	
CP 2017-82(ROP)	1	\$2,000	\$2,000	\$1,225	09/28/2018	
CP 2017-84(HMT)	5	\$12,500	\$12,500	\$8,500	09/28/2018	
CP 2017-85(HMT)	7	\$17,500	\$17,500	\$11,850	09/28/2018	
CP 2017-86(EP)	1	\$1,000	\$1,000	\$853	09/28/2018	
CP 2017-87(SA)	1	\$2,500	\$2,500	\$1,750	09/28/2018	
CP 2017-88(SA)	1	\$5,000	\$5,000	\$3,325	09/28/2018	
CP 2017-89(ROP)	6	\$12,000	\$12,000	\$8,500	09/28/2018	
CP 2017-90(SA)	1	\$5,000	\$5,000	\$3,150	09/28/2018	
CP 2017-91(FCS)	1	\$2,500	\$0	\$0	09/28/2018	Case Terminated.
CP 2017-92(FCS)	1	\$5,000	\$5,000	\$3,400	09/28/2018	
CP 2017-93(FCS)	1	\$5,000	\$5,000	\$3,150	09/28/2018	
CP 2017-94(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
CP 2017-95(SA)	1	\$5,000	\$5,000	\$3,850	09/28/2018	
CP 2017-96(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2018	
CP 2017-97(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2018	
CP 2017-98(FCS)	1	\$2,500	\$0	\$0	09/28/2018	Case Terminated.
CP 2017-99(FCS)	1	\$2,500	\$2,500	\$1,650	09/28/2018	
CP 2017-100(SA)	1	\$5,000	\$5,000	\$3,600	09/28/2018	
CP 2017-101(SA)	1	\$5,000	\$5,000	\$3,600	09/28/2018	
CP 2017-102(TS)	1	\$5,000	\$5,000	\$3,250	09/28/2018	
CP 2017-103(LI)	1	\$1,000	\$1,000	\$853	09/28/2018	

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CP 2017-104(FCS)	1	\$2,500	\$2,500	\$1,700	09/28/2018	
CP 2017-105(FCS)	1	\$5,000	\$0	\$0	09/28/2018	Case Terminated.
CP 2017-107(HSR)	1	\$1,000	\$1,000	\$853	09/28/2018	
CP 2017-108(SA)	1	\$5,000	\$5,000	\$3,350	09/28/2018	
CP 2017-109(SI)	1	\$5,000	\$5,000	\$3,500	09/28/2018	
CP 2017-110(FCS)	1	\$2,000	\$2,000	\$1,400	09/28/2018	
CP 2017-112(HMT)	7	\$31,000	\$31,000	\$19,000	09/28/2018	
CP 2017-113(SA)	1	\$2,500	\$2,500	\$1,650	09/28/2018	
CP 2017-114(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
CP 2017-115(SA)	1	\$2,500	\$2,500	\$1,750	09/28/2018	
CP 2017-117(HS)	1	\$1,000	\$1,000	\$853	09/28/2018	
CP 2017-118(FCS)	1	\$2,500	\$2,500	\$1,750	09/28/2018	
CP 2017-119(HMT)	1	\$1,000	\$1,000	\$853	09/28/2018	
CP 2017-120(HMT)	2	\$7,000	\$7,000	\$5,000	09/28/2018	
CP 2017-121(HS)	1	\$1,000	\$1,000	\$853	09/28/2018	
CP 2017-122(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
CP 2017-123(SA)	1	\$5,000	\$5,000	\$2,750	09/28/2018	
CP 2017-124(HMT)	2	\$10,000	\$10,000	\$7,000	09/28/2018	
CP 2017-125(TS)	1	\$5,000	\$5,000	\$3,250	09/28/2018	
CP 2017-126(HMT)	16	\$40,000	\$40,000	\$26,500	09/28/2018	
CP 2017-128(TS)	1	\$2,500	\$2,500	\$1,625	09/28/2018	
CP 2017-129(AR)	1	\$2,500	\$2,500	\$1,700	09/28/2018	
CP 2017-130(TS)	1	\$5,000	\$5,000	\$3,400	09/28/2018	
CP 2017-131(AR)	1	\$2,500	\$2,500	\$1,700	09/28/2018	
CP 2017-132(ROP)	1	\$7,500	\$7,500	\$5,700	09/28/2018	
CP 2017-133(TS)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
CP 2017-134(TS)	1	\$2,000	\$2,000	\$1,400	09/28/2018	
CP 2017-135(SA)	1	\$5,000	\$5,000	\$3,200	09/28/2018	
CP 2017-136(SA)	1	\$5,000	\$5,000	\$3,175	09/28/2018	
CP 2017-137(SA)	1	\$2,500	\$2,500	\$1,750	09/28/2018	
CP 2017-138(SA)	1	\$2,500	\$2,500	\$1,700	09/28/2018	
CP 2017-148(FCS)	1	\$5,000	\$5,000	\$3,500	09/28/2018	
CP 2017-149(ROP)	1	\$2,000	\$2,000	\$1,400	09/28/2018	
CP 2017-150(GC)	1	\$1,000	\$1,000	\$853	09/28/2018	
CP 2017-151(TS)	7	\$7,000	\$7,000	\$5,100	09/28/2018	
CP 2017-152(EP)	1	\$1,000	\$1,000	\$853	09/28/2018	
CP 2017-153(SA)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
CP 2017-154(FCS)	1	\$2,500	\$2,500	\$1,700	09/28/2018	
CP 2017-155(AD)	1	\$5,000	\$5,000	\$3,300	09/28/2018	
CP 2017-156(AD)	1	\$2,500	\$2,500	\$1,650	09/28/2018	
CP 2017-157(HMT)	1	\$8,000	\$8,000	\$5,900	09/28/2018	
CP 2017-158(HMT)	1	\$2,000	\$2,000	\$1,440	09/28/2018	
CP 2017-159(AD)	2	\$10,000	\$10,000	\$7,000	09/28/2018	
CP 2017-160(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2018	
CP 2017-161(SA)	1	\$2,500	\$2,500	\$1,775	09/28/2018	
CP 2017-162(HMT)	1	\$7,500	\$7,500	\$5,500	09/28/2018	
CP 2017-163(TS)	1	\$2,500	\$2,500	\$1,700	09/28/2018	
CP 2017-164(AD)	2	\$5,000	\$5,000	\$3,650	09/28/2018	
CP 2017-165(AD)	2	\$5,000	\$5,000	\$3,400	09/28/2018	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
CP 2017-166(AD)	2	\$5,000	\$5,000	\$3,375	09/28/2018	
CP 2017-167(AD)	1	\$5,000	\$5,000	\$3,450	09/28/2018	
CP 2017-168(AD)	2	\$5,000	\$5,000	\$3,450	09/28/2018	
CP 2017-169(AD)	1	\$2,500	\$2,500	\$1,675	09/28/2018	
CP 2017-170(SA)	1	\$5,000	\$5,000	\$3,350	09/28/2018	
CP 2017-171(SA)	1	\$2,500	\$2,500	\$1,675	09/28/2018	
CP 2017-172(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2018	
CP 2017-173(AD)	2	\$5,000	\$5,000	\$3,400	09/28/2018	
CP 2017-174(AD)	2	\$5,000	\$5,000	\$3,427	09/28/2018	
CP 2017-175(AD)	2	\$5,000	\$5,000	\$3,250	09/28/2018	
CP 2017-176(AD)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
CP 2017-177(TS)	1	\$1,000	\$1,000	\$853	09/28/2018	
CP 2017-178(SA)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
CP 2017-179(SA)	1	\$2,500	\$2,500	\$1,500	09/28/2018	
CP 2017-180(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
CP 2017-181(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2018	
CP 2018-1(LI)	1	\$1,000	\$1,000	\$853	09/28/2018	
CP 2018-2(SA)	1	\$2,500	\$2,500	\$2,000	09/28/2018	
CP 2018-3(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
CP 2018-4(HMT)	2	\$10,000	\$10,000	\$7,250	09/28/2018	
CP 2018-5(FCS)	1	\$2,500	\$2,500	\$1,525	09/28/2018	
CP 2018-6(HMT)	1	\$2,000	\$2,000	\$1,400	09/28/2018	
CP 2018-7(FCS)	1	\$2,500	\$2,500	\$1,625	09/28/2018	
CP 2018-8(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2018	
CP 2018-9(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2018	
CP 2018-10(GC)	1	\$5,000	\$5,000	\$3,250	09/28/2018	
CP 2018-11(GC)	1	\$1,000	\$1,000	\$853	09/28/2018	
CP 2018-12(HMT)	4	\$10,000	\$10,000	\$7,250	09/28/2018	
CP 2018-13(SA)	1	\$5,000	\$5,000	\$3,300	09/28/2018	
CP 2018-15(TS)	2	\$5,000	\$5,000	\$3,600	09/28/2018	
CP 2018-16(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
CP 2018-17(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2018	
CRL 2014-1(HMT)	5	\$12,500	\$12,500	\$8,500	12/20/2017	
CRL 2017-2(ROP)	1	\$9,500	\$9,500	\$7,600	03/01/2018	
CRL 2017-3(ROP)	1	\$9,500	\$9,500	\$7,600	03/01/2018	
CRSH 2016-6(ROP)	1	\$7,500	\$2,000	\$1,750	08/03/2018	Partially Terminated Violation(s): 1.
CRSH 2017-5(AR)	1	\$2,500	\$2,500	\$1,900	08/03/2018	
CRSH 2017-6(RW)	1	\$3,000	\$3,000	\$2,400	08/03/2018	
CRSH 2017-7(SA)	1	\$2,500	\$2,500	\$2,150	08/03/2018	
CRSH 2017-8(ROP)	1	\$7,500	\$7,500	\$6,000	08/03/2018	
CRSH 2017-9(ROP)	4	\$8,000	\$6,000	\$5,025	08/03/2018	Partially Terminated Violation(s): 1.
CRSH 2017-10(ROP)	1	\$7,500	\$7,500	\$6,450	08/03/2018	
CRSH 2017-11(TS)	1	\$2,500	\$2,500	\$2,050	08/03/2018	
CRSH 2018-1(SA)	1	\$5,000	\$5,000	\$4,250	08/03/2018	
CRSH 2018-2(ROP)	1	\$7,500	\$7,500	\$6,350	08/03/2018	
CRSH 2018-3(SA)	1	\$5,000	\$5,000	\$4,250	08/03/2018	
CSCD 2017-1(GC)	1	\$5,000	\$5,000	\$3,950	09/27/2018	
CSX 2014-85(HMT)	1	\$6,000	\$6,000	\$4,500	09/26/2018	

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CSX 2014-121(SA)	1	\$5,000	\$5,000	\$3,500	09/26/2018	
CSX 2015-3(AR)	1	\$2,500	\$2,500	\$1,908	09/26/2018	
CSX 2015-420(HMT)	1	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2016-57(ROP)	1	\$7,500	\$7,500	\$5,722	09/26/2018	
CSX 2016-61(GC)	2	\$10,000	\$5,000	\$4,000	09/26/2018	Partially Terminated Violation(s): 1, 2.
CSX 2016-84(LI)	1	\$1,000	\$1,000	\$839	09/26/2018	
CSX 2016-96(SI)	1	\$1,000	\$1,000	\$839	09/26/2018	
CSX 2016-102(HSR)	2	\$2,000	\$2,000	\$1,678	09/26/2018	
CSX 2016-110(FCS)	1	\$2,500	\$2,500	\$1,750	09/26/2018	
CSX 2016-114(GC)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2016-121(SI)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2016-174(ROP)	1	\$2,000	\$2,000	\$1,300	09/26/2018	
CSX 2016-197(LI)	1	\$1,500	\$1,500	\$1,150	09/26/2018	
CSX 2016-202(GC)	1	\$5,000	\$5,000	\$3,800	09/26/2018	
CSX 2016-271(AR)	1	\$1,000	\$1,000	\$920	09/26/2018	
CSX 2016-273(AR)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2016-279(HMT)	6	\$36,500	\$36,500	\$27,300	09/26/2018	
CSX 2016-282(ROP)	1	\$7,500	\$7,500	\$5,572	09/26/2018	
CSX 2016-307(SA)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2016-323(FCS)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2016-330(AD)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2016-331(AD)	4	\$10,000	\$10,000	\$7,500	09/26/2018	
CSX 2016-338(AR)	1	\$2,500	\$2,500	\$1,750	09/26/2018	
CSX 2016-339(AR)	1	\$2,500	\$2,500	\$1,750	09/26/2018	
CSX 2016-342(AR)	1	\$2,500	\$2,500	\$1,908	09/26/2018	
CSX 2016-346(SA)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2016-347(SA)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2016-350(SA)	1	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2016-362(SA)	1	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2016-363(RSP)	1	\$9,500	\$9,500	\$6,400	09/26/2018	
CSX 2016-367(SA)	1	\$5,000	\$5,000	\$3,250	09/26/2018	
CSX 2016-374(HMT)	11	\$11,000	\$11,000	\$8,250	09/26/2018	
CSX 2016-375(HS)	1	\$1,000	\$1,000	\$839	09/26/2018	
CSX 2016-381(GC)	1	\$5,000	\$5,000	\$3,800	09/26/2018	
CSX 2016-384(HSR)	1	\$1,000	\$1,000	\$839	09/26/2018	
CSX 2016-386(HSR)	1	\$1,000	\$1,000	\$839	09/26/2018	
CSX 2016-387(EQ)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2016-393(GC)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2016-395(GC)	1	\$2,500	\$2,500	\$1,925	09/26/2018	
CSX 2016-396(LI)	2	\$2,000	\$2,000	\$1,400	09/26/2018	
CSX 2016-399(GC)	1	\$2,500	\$2,500	\$1,850	09/26/2018	
CSX 2016-404(AR)	1	\$2,500	\$2,500	\$1,908	09/26/2018	
CSX 2016-405(AR)	1	\$2,500	\$2,500	\$1,908	09/26/2018	
CSX 2016-407(AR)	1	\$2,500	\$2,500	\$1,908	09/26/2018	
CSX 2016-408(AR)	1	\$2,500	\$2,500	\$1,908	09/26/2018	
CSX 2016-411(HMT)	1	\$15,000	\$15,000	\$11,250	09/26/2018	
CSX 2016-412(HMT)	8	\$54,000	\$54,000	\$40,400	09/26/2018	
CSX 2016-417(HSR)	1	\$1,000	\$1,000	\$839	09/26/2018	
CSX 2016-423(RW)	2	\$5,000	\$5,000	\$3,750	09/26/2018	

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CSX 2016-428(TS)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2016-431(SI)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2016-439(HMT)	1	\$7,500	\$7,500	\$5,625	09/26/2018	
CSX 2016-447(HMT)	1	\$3,000	\$3,000	\$2,370	09/26/2018	
CSX 2016-451(HS)	2	\$2,000	\$2,000	\$1,678	09/26/2018	
CSX 2016-455(LI)	1	\$2,000	\$2,000	\$1,450	09/26/2018	
CSX 2016-457(RW)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2016-467(ROP)	1	\$5,000	\$5,000	\$3,715	09/26/2018	
CSX 2016-473(AR)	1	\$2,500	\$2,500	\$1,908	09/26/2018	
CSX 2016-475(AR)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2016-477(AR)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2016-479(AR)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2016-480(AR)	1	\$2,500	\$2,500	\$1,825	09/26/2018	
CSX 2016-481(AR)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2016-483(AR)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2016-485(GC)	1	\$5,000	\$5,000	\$3,900	09/26/2018	
CSX 2016-487(GC)	1	\$2,500	\$2,500	\$1,825	09/26/2018	
CSX 2016-489(TS)	1	\$27,455	\$27,455	\$19,750	09/26/2018	
CSX 2016-502(HMT)	1	\$2,000	\$2,000	\$1,580	09/26/2018	
CSX 2016-508(HS)	2	\$2,000	\$2,000	\$1,678	09/26/2018	
CSX 2016-509(HMT)	10	\$75,000	\$75,000	\$56,098	09/26/2018	
CSX 2017-20(EP)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2017-24(TS)	7	\$35,000	\$35,000	\$25,500	09/26/2018	
CSX 2017-32(GC)	1	\$2,500	\$2,500	\$1,825	09/26/2018	
CSX 2017-38(GC)	1	\$2,500	\$2,500	\$1,850	09/26/2018	
CSX 2017-50(LI)	1	\$2,500	\$2,500	\$1,800	09/26/2018	
CSX 2017-54(SA)	1	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2017-56(LI)	1	\$2,000	\$2,000	\$1,200	09/26/2018	
CSX 2017-60(SA)	1	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2017-62(SA)	1	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2017-66(SA)	1	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2017-68(LI)	1	\$2,500	\$2,500	\$1,775	09/26/2018	
CSX 2017-72(SA)	1	\$5,000	\$5,000	\$3,650	09/26/2018	
CSX 2017-73(ROP)	1	\$7,500	\$7,500	\$5,572	09/26/2018	
CSX 2017-74(SA)	1	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2017-75(SA)	1	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2017-76(SA)	1	\$2,500	\$2,500	\$1,850	09/26/2018	
CSX 2017-77(SA)	1	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2017-78(SA)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2017-79(SA)	1	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2017-80(SA)	1	\$2,500	\$2,500	\$1,850	09/26/2018	
CSX 2017-81(SA)	1	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2017-82(LI)	1	\$2,500	\$2,500	\$1,600	09/26/2018	
CSX 2017-83(FCS)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2017-84(FCS)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2017-85(HSR)	2	\$2,000	\$2,000	\$1,678	09/26/2018	
CSX 2017-86(TS)	1	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2017-87(TS)	1	\$1,000	\$1,000	\$839	09/26/2018	
CSX 2017-88(TS)	3	\$7,500	\$7,500	\$5,600	09/26/2018	



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CSX 2017-89(HMT)	1	\$2,000	\$2,000	\$1,450	09/26/2018	
CSX 2017-90(FCS)	1	\$5,000	\$5,000	\$3,650	09/26/2018	
CSX 2017-91(ROP)	1	\$7,500	\$1,000	\$839	09/26/2018	Partially Terminated Violation(s): 1.
CSX 2017-92(SI)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2017-93(SA)	1	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2017-94(SA)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2017-95(SA)	1	\$2,500	\$2,500	\$1,800	09/26/2018	
CSX 2017-96(TS)	3	\$3,000	\$3,000	\$2,225	09/26/2018	
CSX 2017-97(TS)	3	\$10,000	\$10,000	\$7,500	09/26/2018	
CSX 2017-98(EP)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2017-99(TS)	6	\$15,000	\$15,000	\$10,684	09/26/2018	
CSX 2017-100(TS)	1	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2017-101(SA)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2017-102(SA)	1	\$2,500	\$2,500	\$1,775	09/26/2018	
CSX 2017-103(ROP)	1	\$9,500	\$9,500	\$7,125	09/26/2018	
CSX 2017-104(SA)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2017-105(HMT)	2	\$10,000	\$10,000	\$7,200	09/26/2018	
CSX 2017-106(HMT)	2	\$15,000	\$15,000	\$11,000	09/26/2018	
CSX 2017-107(GC)	5	\$25,000	\$25,000	\$19,000	09/26/2018	
CSX 2017-108(RW)	1	\$3,000	\$3,000	\$2,275	09/26/2018	
CSX 2017-109(TS)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2017-110(TS)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2017-112(GC)	1	\$1,000	\$1,000	\$839	09/26/2018	
CSX 2017-113(GC)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2017-114(LI)	1	\$1,500	\$1,500	\$1,150	09/26/2018	
CSX 2017-115(LI)	1	\$1,000	\$1,000	\$839	09/26/2018	
CSX 2017-116(GC)	1	\$5,000	\$5,000	\$3,800	09/26/2018	
CSX 2017-117(TS)	1	\$1,000	\$1,000	\$839	09/26/2018	
CSX 2017-118(SI)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2017-119(SI)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2017-120(SI)	1	\$1,000	\$1,000	\$839	09/26/2018	
CSX 2017-121(SI)	1	\$1,000	\$1,000	\$839	09/26/2018	
CSX 2017-122(SI)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2017-123(SI)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2017-124(SA)	1	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2017-125(SA)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2017-127(SA)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2017-128(HS)	2	\$2,000	\$2,000	\$1,678	09/26/2018	
CSX 2017-129(SA)	1	\$5,000	\$5,000	\$3,550	09/26/2018	
CSX 2017-130(SA)	1	\$2,500	\$2,000	\$1,550	09/26/2018	Partially Terminated Violation(s): 1.
CSX 2017-131(SA)	1	\$5,000	\$5,000	\$3,650	09/26/2018	
CSX 2017-132(SA)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2017-133(SA)	1	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2017-134(FCS)	1	\$5,000	\$5,000	\$3,650	09/26/2018	
CSX 2017-135(FCS)	2	\$5,000	\$2,500	\$2,500	09/26/2018	Partially Terminated Violation(s): 1.
CSX 2017-136(SA)	1	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2017-137(SA)	1	\$2,500	\$2,500	\$1,875	09/26/2018	

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CSX 2017-138(SA)	1	\$5,000	\$2,500	\$2,000	09/26/2018	Partially Terminated Violation(s): 1.
CSX 2017-139(SA)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2017-140(SA)	1	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2017-141(SA)	1	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2017-142(SA)	1	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2017-143(SA)	1	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2017-144(SA)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2017-145(FCS)	1	\$2,500	\$2,500	\$1,800	09/26/2018	
CSX 2017-146(FCS)	1	\$2,500	\$2,500	\$1,800	09/26/2018	
CSX 2017-147(FCS)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2017-148(SA)	1	\$5,000	\$5,000	\$3,550	09/26/2018	
CSX 2017-149(SA)	1	\$5,000	\$5,000	\$3,500	09/26/2018	
CSX 2017-150(SA)	1	\$5,000	\$5,000	\$3,550	09/26/2018	
CSX 2017-151(HS)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2017-153(SA)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2017-154(GC)	1	\$5,000	\$5,000	\$3,800	09/26/2018	
CSX 2017-155(GC)	1	\$5,000	\$5,000	\$3,850	09/26/2018	
CSX 2017-156(LI)	1	\$2,500	\$2,500	\$1,850	09/26/2018	
CSX 2017-157(LI)	3	\$7,500	\$5,000	\$4,000	09/26/2018	Terminated Violation(s): 1.
CSX 2017-158(LI)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2017-159(LI)	3	\$7,500	\$7,500	\$5,650	09/26/2018	
CSX 2017-160(LI)	1	\$2,500	\$2,500	\$1,775	09/26/2018	
CSX 2017-161(LI)	1	\$2,500	\$2,500	\$1,775	09/26/2018	
CSX 2017-162(LI)	1	\$2,500	\$2,500	\$1,850	09/26/2018	
CSX 2017-163(LI)	2	\$4,000	\$4,000	\$2,975	09/26/2018	
CSX 2017-164(HMT)	1	\$4,000	\$4,000	\$3,075	09/26/2018	
CSX 2017-165(SA)	1	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2017-166(SA)	1	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2017-167(TS)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2017-168(SA)	1	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2017-169(SA)	1	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2017-170(RW)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2017-171(ROP)	1	\$7,500	\$7,500	\$5,722	09/26/2018	
CSX 2017-172(FCS)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2017-173(SA)	1	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2017-174(SA)	1	\$2,500	\$2,500	\$1,775	09/26/2018	
CSX 2017-175(SA)	1	\$2,500	\$2,500	\$1,775	09/26/2018	
CSX 2017-176(SA)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2017-177(SA)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2017-178(SA)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2017-179(SA)	1	\$2,500	\$2,500	\$1,775	09/26/2018	
CSX 2017-180(SA)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2017-181(SA)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2017-182(SA)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2017-183(FCS)	1	\$5,000	\$5,000	\$3,650	09/26/2018	
CSX 2017-184(SA)	1	\$5,000	\$5,000	\$3,550	09/26/2018	
CSX 2017-185(GC)	1	\$2,500	\$2,500	\$1,850	09/26/2018	
CSX 2017-186(HSR)	2	\$2,000	\$2,000	\$1,706	09/26/2018	
CSX 2017-187(GC)	1	\$5,000	\$5,000	\$3,850	09/26/2018	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
CSX 2017-188(ROP)	1	\$9,500	\$9,500	\$7,239	09/26/2018	
CSX 2017-189(TS)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2017-190(ROP)	1	\$9,500	\$9,500	\$7,239	09/26/2018	
CSX 2017-191(HMT)	1	\$7,500	\$7,500	\$5,600	09/26/2018	
CSX 2017-192(SA)	1	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2017-193(HMT)	1	\$4,000	\$4,000	\$3,075	09/26/2018	
CSX 2017-194(SA)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2017-195(SA)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2017-196(SA)	1	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2017-197(GC)	1	\$5,000	\$5,000	\$3,900	09/26/2018	
CSX 2017-198(GC)	1	\$5,000	\$5,000	\$3,900	09/26/2018	
CSX 2017-199(GC)	1	\$5,000	\$5,000	\$3,800	09/26/2018	
CSX 2017-200(GC)	1	\$1,000	\$0	\$0	09/26/2018	Case Terminated.
CSX 2017-201(GC)	1	\$5,000	\$5,000	\$3,800	09/26/2018	
CSX 2017-202(SA)	1	\$2,500	\$0	\$0	09/26/2018	Case Terminated.
CSX 2017-203(HMT)	1	\$5,000	\$5,000	\$3,850	09/26/2018	
CSX 2017-204(FCS)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2017-205(SA)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2017-207(SA)	1	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2017-208(SA)	1	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2017-209(FCS)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2017-210(FCS)	1	\$5,000	\$5,000	\$3,700	09/26/2018	
CSX 2017-211(FCS)	1	\$5,000	\$0	\$0	09/26/2018	Case Terminated.
CSX 2017-212(SA)	1	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2017-213(SA)	1	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2017-214(SA)	1	\$2,500	\$2,500	\$1,775	09/26/2018	
CSX 2017-215(SA)	1	\$2,500	\$2,500	\$1,775	09/26/2018	
CSX 2017-216(SA)	1	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2017-217(SA)	1	\$5,000	\$5,000	\$3,550	09/26/2018	
CSX 2017-218(SA)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2017-219(TS)	1	\$2,500	\$2,500	\$1,825	09/26/2018	
CSX 2017-220(TS)	2	\$7,500	\$7,500	\$5,300	09/26/2018	
CSX 2017-221(TS)	1	\$2,500	\$2,500	\$1,800	09/26/2018	
CSX 2017-222(TS)	1	\$2,500	\$2,500	\$1,750	09/26/2018	
CSX 2017-223(TS)	2	\$5,000	\$5,000	\$3,550	09/26/2018	
CSX 2017-224(TS)	1	\$2,500	\$2,500	\$1,775	09/26/2018	
CSX 2017-225(RMM)	1	\$5,000	\$5,000	\$3,800	09/26/2018	
CSX 2017-226(RW)	1	\$2,000	\$2,000	\$1,450	09/26/2018	
CSX 2017-227(GC)	1	\$5,000	\$5,000	\$3,800	09/26/2018	
CSX 2017-228(TS)	1	\$2,500	\$2,500	\$1,775	09/26/2018	
CSX 2017-229(LI)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2017-230(TS)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2017-231(LI)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2017-232(TS)	2	\$7,500	\$7,500	\$5,750	09/26/2018	
CSX 2017-233(TS)	3	\$7,500	\$7,500	\$5,600	09/26/2018	
CSX 2017-234(TS)	2	\$7,500	\$7,500	\$5,300	09/26/2018	
CSX 2017-235(TS)	2	\$5,000	\$5,000	\$3,500	09/26/2018	
CSX 2017-236(HS)	4	\$4,000	\$2,000	\$1,706	09/26/2018	Partially Terminated Violation(s): 1.
CSX 2017-237(HS)	2	\$2,000	\$2,000	\$1,706	09/26/2018	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
CSX 2017-238(SA)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2017-239(SA)	1	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2017-240(SA)	1	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2017-241(SA)	1	\$2,500	\$2,500	\$1,850	09/26/2018	
CSX 2017-242(SA)	1	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2017-243(SA)	1	\$5,000	\$5,000	\$3,700	09/26/2018	
CSX 2017-244(FCS)	1	\$5,000	\$5,000	\$3,700	09/26/2018	
CSX 2017-245(ROP)	1	\$7,500	\$7,500	\$5,723	09/26/2018	
CSX 2017-246(SA)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2017-247(SA)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2017-248(FCS)	1	\$2,500	\$2,500	\$1,850	09/26/2018	
CSX 2017-249(SA)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2017-250(SA)	1	\$5,000	\$5,000	\$3,700	09/26/2018	
CSX 2017-251(SA)	1	\$5,000	\$5,000	\$3,700	09/26/2018	
CSX 2017-252(SA)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2017-253(ROP)	1	\$7,500	\$7,500	\$5,800	09/26/2018	
CSX 2017-254(SA)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2017-256(TS)	1	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2017-257(ROP)	1	\$2,000	\$2,000	\$1,550	09/26/2018	
CSX 2017-258(TS)	1	\$5,000	\$5,000	\$3,600	09/26/2018	
CSX 2017-259(SA)	1	\$5,000	\$5,000	\$3,800	09/26/2018	
CSX 2017-260(SA)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2017-261(SA)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2017-262(SA)	1	\$5,000	\$5,000	\$3,800	09/26/2018	
CSX 2017-263(ROP)	1	\$5,000	\$5,000	\$3,900	09/26/2018	
CSX 2017-264(ROP)	1	\$5,000	\$5,000	\$3,900	09/26/2018	
CSX 2017-265(TS)	5	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2017-266(TS)	5	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2017-267(SA)	1	\$5,000	\$5,000	\$3,800	09/26/2018	
CSX 2017-268(LI)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2017-269(SA)	1	\$5,000	\$5,000	\$3,800	09/26/2018	
CSX 2017-270(SA)	1	\$5,000	\$5,000	\$3,800	09/26/2018	
CSX 2017-271(SA)	1	\$7,500	\$7,500	\$7,200	09/26/2018	
CSX 2017-272(SA)	1	\$2,500	\$2,500	\$1,850	09/26/2018	
CSX 2017-273(SA)	1	\$5,000	\$5,000	\$4,800	09/26/2018	
CSX 2017-274(SA)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2017-275(SA)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2017-276(LI)	2	\$5,000	\$5,000	\$3,765	09/26/2018	
CSX 2017-277(TS)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2017-278(SA)	1	\$5,000	\$5,000	\$3,800	09/26/2018	
CSX 2017-279(SA)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2017-280(SA)	1	\$5,000	\$5,000	\$3,700	09/26/2018	
CSX 2017-281(SA)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2017-282(SI)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2017-283(GC)	1	\$5,000	\$2,500	\$2,300	09/26/2018	Partially Terminated Violation(s): 1.
CSX 2017-284(GC)	1	\$5,000	\$2,500	\$2,100	09/26/2018	Partially Terminated Violation(s): 1.
CSX 2017-285(GC)	1	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2017-286(ROP)	1	\$9,500	\$9,500	\$6,850	09/26/2018	

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CSX 2017-287(ROP)	1	\$9,500	\$9,500	\$6,850	09/26/2018	
CSX 2017-288(HMT)	3	\$22,500	\$22,500	\$16,500	09/26/2018	
CSX 2017-289(TS)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2017-290(TS)	1	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2017-291(SA)	1	\$5,000	\$5,000	\$3,800	09/26/2018	
CSX 2017-292(SA)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2017-293(SA)	1	\$5,000	\$5,000	\$3,800	09/26/2018	
CSX 2017-294(FCS)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2017-295(FCS)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2017-296(SA)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2017-297(AR)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2017-298(AR)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2017-299(TS)	3	\$10,000	\$10,000	\$7,500	09/26/2018	
CSX 2017-300(GC)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2017-301(GC)	1	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2017-302(GC)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2017-303(GC)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2017-304(GC)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2017-305(GC)	1	\$5,000	\$5,000	\$3,915	09/26/2018	
CSX 2017-306(GC)	1	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2017-307(TS)	1	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2017-310(TS)	1	\$2,500	\$2,500	\$1,902	09/26/2018	
CSX 2017-311(TS)	2	\$5,000	\$5,000	\$3,815	09/26/2018	
CSX 2017-312(LI)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2017-313(TS)	1	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2017-314(TS)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2017-315(TS)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2017-316(LI)	1	\$5,000	\$5,000	\$3,815	09/26/2018	
CSX 2017-317(SA)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2017-318(SA)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2017-319(SA)	1	\$5,000	\$5,000	\$3,800	09/26/2018	
CSX 2017-320(SA)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2017-321(ROP)	1	\$7,500	\$7,500	\$5,675	09/26/2018	
CSX 2017-322(SA)	1	\$5,000	\$5,000	\$3,800	09/26/2018	
CSX 2017-324(SA)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2017-325(SA)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2017-326(TS)	2	\$5,000	\$5,000	\$3,765	09/26/2018	
CSX 2017-327(SA)	1	\$5,000	\$5,000	\$3,800	09/26/2018	
CSX 2017-328(FCS)	2	\$10,000	\$5,000	\$4,100	09/26/2018	Partially Terminated Violation(s): 1.
CSX 2017-329(SA)	1	\$5,000	\$5,000	\$3,800	09/26/2018	
CSX 2017-330(SA)	1	\$5,000	\$5,000	\$3,800	09/26/2018	
CSX 2017-331(SA)	1	\$5,000	\$5,000	\$3,800	09/26/2018	
CSX 2017-333(SA)	1	\$5,000	\$5,000	\$3,800	09/26/2018	
CSX 2017-334(FCS)	2	\$10,000	\$5,000	\$4,100	09/26/2018	Partially Terminated Violation(s): 1.
CSX 2017-335(FCS)	1	\$2,500	\$2,500	\$1,800	09/26/2018	
CSX 2017-336(SA)	1	\$5,000	\$5,000	\$3,600	09/26/2018	
CSX 2017-337(LI)	1	\$2,500	\$2,500	\$1,882	09/26/2018	
CSX 2017-338(HMT)	1	\$6,000	\$6,000	\$4,500	09/26/2018	

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CSX 2017-339(HMT)	1	\$4,000	\$4,000	\$3,075	09/26/2018	
CSX 2017-340(LI)	1	\$5,000	\$5,000	\$3,915	09/26/2018	
CSX 2017-341(HMT)	1	\$6,000	\$6,000	\$4,500	09/26/2018	
CSX 2017-342(ROP)	1	\$7,500	\$0	\$0	09/26/2018	Case Terminated.
CSX 2017-343(TS)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2017-344(TH)	1	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2017-345(HMT)	3	\$13,000	\$13,000	\$9,500	09/26/2018	
CSX 2017-346(HMT)	1	\$2,500	\$2,500	\$1,850	09/26/2018	
CSX 2017-347(HMT)	5	\$12,500	\$12,500	\$9,250	09/26/2018	
CSX 2017-348(HMT)	3	\$7,500	\$7,500	\$5,000	09/26/2018	
CSX 2017-349(HMT)	1	\$7,500	\$7,500	\$5,500	09/26/2018	
CSX 2017-350(HMT)	1	\$6,000	\$6,000	\$4,625	09/26/2018	
CSX 2017-351(LI)	1	\$2,500	\$2,500	\$1,883	09/26/2018	
CSX 2017-352(LI)	1	\$5,000	\$5,000	\$3,765	09/26/2018	
CSX 2017-353(SA)	1	\$5,000	\$5,000	\$4,900	09/26/2018	
CSX 2017-354(SA)	1	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2017-355(SA)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2017-356(SA)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2017-357(SA)	1	\$5,000	\$5,000	\$3,800	09/26/2018	
CSX 2017-358(LI)	1	\$2,500	\$2,500	\$1,882	09/26/2018	
CSX 2017-359(LI)	1	\$2,500	\$2,500	\$1,883	09/26/2018	
CSX 2017-360(SA)	2	\$5,000	\$5,000	\$3,800	09/26/2018	
CSX 2017-361(AR)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2017-362(ROP)	1	\$2,000	\$2,000	\$1,500	09/26/2018	
CSX 2017-363(ROP)	1	\$7,500	\$7,500	\$5,700	09/26/2018	
CSX 2017-364(SA)	1	\$5,000	\$5,000	\$3,800	09/26/2018	
CSX 2017-365(SA)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2017-366(HS)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2017-367(FCS)	1	\$6,000	\$6,000	\$4,500	09/26/2018	
CSX 2017-368(HMT)	6	\$15,000	\$15,000	\$11,600	09/26/2018	
CSX 2017-369(HMT)	1	\$2,500	\$2,500	\$1,850	09/26/2018	
CSX 2017-370(HMT)	8	\$20,000	\$20,000	\$14,650	09/26/2018	
CSX 2017-371(SA)	1	\$5,000	\$5,000	\$3,800	09/26/2018	
CSX 2017-372(FCS)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2017-373(LI)	3	\$7,500	\$7,500	\$5,670	09/26/2018	
CSX 2017-374(HSR)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2017-375(HS)	2	\$2,000	\$0	\$0	09/26/2018	Case Terminated.
CSX 2017-376(SA)	1	\$10,000	\$10,000	\$9,600	09/26/2018	
CSX 2017-377(HS)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2017-378(HS)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2017-379(HS)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2017-380(HS)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2017-381(HS)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2017-382(HS)	1	\$1,000	\$0	\$0	09/26/2018	Case Terminated.
CSX 2017-383(HS)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2017-384(SI)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2017-385(TS)	1	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2017-386(HSR)	4	\$4,000	\$4,000	\$3,412	09/26/2018	
CSX 2017-387(HS)	1	\$1,000	\$1,000	\$853	09/26/2018	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
CSX 2017-388(HS)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2017-389(SA)	1	\$5,000	\$5,000	\$3,700	09/26/2018	
CSX 2017-390(HS)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2017-391(HS)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2017-392(HS)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2017-393(HS)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2017-394(HS)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2017-395(HS)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2017-396(GC)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2017-397(SA)	1	\$5,000	\$5,000	\$3,700	09/26/2018	
CSX 2017-398(AR)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2017-399(TS)	1	\$5,000	\$5,000	\$3,915	09/26/2018	
CSX 2017-400(GC)	1	\$5,000	\$5,000	\$3,869	09/26/2018	
CSX 2017-401(FCS)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2017-402(SI)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2017-403(SA)	1	\$5,000	\$5,000	\$3,700	09/26/2018	
CSX 2017-404(SA)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2017-405(LI)	1	\$2,500	\$2,500	\$1,882	09/26/2018	
CSX 2017-406(HMT)	1	\$2,500	\$2,500	\$1,850	09/26/2018	
CSX 2017-407(LI)	1	\$2,500	\$2,500	\$1,883	09/26/2018	
CSX 2017-408(EQ)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2017-410(ROP)	1	\$7,500	\$7,500	\$5,700	09/26/2018	
CSX 2017-411(FCS)	1	\$2,000	\$2,000	\$1,450	09/26/2018	
CSX 2017-412(RSP)	1	\$9,500	\$9,500	\$5,500	09/26/2018	
CSX 2017-413(RSP)	1	\$9,500	\$9,500	\$7,100	09/26/2018	
CSX 2017-414(ROP)	1	\$7,500	\$7,500	\$5,700	09/26/2018	
CSX 2017-415(HSR)	3	\$3,000	\$3,000	\$2,559	09/26/2018	
CSX 2017-416(HMT)	2	\$8,500	\$8,500	\$6,300	09/26/2018	
CSX 2017-417(SA)	1	\$5,000	\$5,000	\$3,700	09/26/2018	
CSX 2017-418(SA)	1	\$5,000	\$5,000	\$3,700	09/26/2018	
CSX 2017-419(SA)	1	\$5,000	\$5,000	\$3,700	09/26/2018	
CSX 2017-420(HMT)	1	\$8,000	\$8,000	\$5,950	09/26/2018	
CSX 2017-421(SA)	1	\$5,000	\$5,000	\$3,700	09/26/2018	
CSX 2017-422(SA)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2017-423(SA)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2017-424(SI)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2017-425(SA)	1	\$5,000	\$5,000	\$3,700	09/26/2018	
CSX 2017-426(HMT)	5	\$15,000	\$15,000	\$11,200	09/26/2018	
CSX 2017-427(HMT)	4	\$21,500	\$21,500	\$16,100	09/26/2018	
CSX 2017-428(HMT)	1	\$2,000	\$2,000	\$1,550	09/26/2018	
CSX 2017-429(HMT)	4	\$8,000	\$8,000	\$6,000	09/26/2018	
CSX 2017-430(GC)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2017-431(GC)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2017-432(GC)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2017-433(SA)	2	\$10,000	\$10,000	\$7,600	09/26/2018	
CSX 2017-434(SA)	1	\$5,000	\$5,000	\$3,700	09/26/2018	
CSX 2017-435(SI)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2017-436(SI)	1	\$2,500	\$2,500	\$1,800	09/26/2018	
CSX 2017-437(SA)	1	\$5,000	\$5,000	\$3,700	09/26/2018	

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CSX 2017-438(ROP)	1	\$9,500	\$9,500	\$6,850	09/26/2018	
CSX 2017-439(SA)	2	\$5,000	\$5,000	\$3,700	09/26/2018	
CSX 2017-440(HS)	3	\$3,000	\$3,000	\$2,559	09/26/2018	
CSX 2017-441(SA)	1	\$5,000	\$5,000	\$3,700	09/26/2018	
CSX 2017-442(SA)	1	\$2,500	\$0	\$0	09/26/2018	Case Terminated.
CSX 2017-443(SA)	1	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2017-444(SA)	1	\$5,000	\$5,000	\$3,700	09/26/2018	
CSX 2017-445(SA)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2017-446(ROP)	1	\$9,500	\$9,500	\$6,900	09/26/2018	
CSX 2017-447(FCS)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2017-449(FCS)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2017-450(FCS)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2017-451(FCS)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2017-452(FCS)	1	\$2,500	\$2,500	\$1,925	09/26/2018	
CSX 2017-453(ROP)	1	\$7,500	\$7,500	\$5,800	09/26/2018	
CSX 2017-454(GC)	1	\$2,500	\$2,500	\$1,880	09/26/2018	
CSX 2017-455(GC)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2017-456(GC)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2017-457(GC)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2017-458(GC)	1	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2017-459(GC)	1	\$2,500	\$2,500	\$1,880	09/26/2018	
CSX 2017-460(GC)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2017-461(AD)	2	\$10,000	\$10,000	\$7,500	09/26/2018	
CSX 2017-462(LI)	2	\$5,000	\$5,000	\$3,765	09/26/2018	
CSX 2017-463(LI)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2017-464(GC)	1	\$2,500	\$2,500	\$1,880	09/26/2018	
CSX 2017-465(GC)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2017-466(GC)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2017-467(LI)	6	\$13,500	\$13,500	\$10,300	09/26/2018	
CSX 2017-468(LI)	1	\$2,500	\$2,500	\$1,940	09/26/2018	
CSX 2017-469(SA)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2017-470(SI)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2017-471(SA)	1	\$5,000	\$5,000	\$3,700	09/26/2018	
CSX 2017-472(SA)	1	\$5,000	\$5,000	\$3,700	09/26/2018	
CSX 2017-473(FCS)	1	\$2,500	\$2,500	\$1,925	09/26/2018	
CSX 2017-474(SA)	2	\$5,000	\$5,000	\$3,700	09/26/2018	
CSX 2017-475(GC)	1	\$5,000	\$5,000	\$3,869	09/26/2018	
CSX 2017-476(SA)	1	\$12,500	\$12,500	\$9,400	09/26/2018	
CSX 2017-477(SA)	1	\$25,000	\$25,000	\$18,500	09/26/2018	
CSX 2017-478(SA)	1	\$5,000	\$5,000	\$3,700	09/26/2018	
CSX 2017-480(SA)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2017-481(SA)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2017-483(SA)	2	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2017-484(SA)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2017-485(SA)	1	\$2,500	\$2,500	\$1,907	09/26/2018	
CSX 2017-486(SA)	1	\$5,000	\$5,000	\$3,815	09/26/2018	
CSX 2017-487(LI)	1	\$2,500	\$2,500	\$1,940	09/26/2018	
CSX 2017-488(FCS)	1	\$2,500	\$2,500	\$1,925	09/26/2018	
CSX 2017-489(FCS)	1	\$2,500	\$2,500	\$1,925	09/26/2018	



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CSX 2017-490(FCS)	1	\$5,000	\$5,000	\$3,900	09/26/2018	
CSX 2017-491(FCS)	1	\$2,000	\$2,000	\$1,575	09/26/2018	
CSX 2017-493(FCS)	1	\$5,000	\$5,000	\$3,800	09/26/2018	
CSX 2017-494(FCS)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2017-495(FCS)	1	\$5,000	\$5,000	\$3,858	09/26/2018	
CSX 2017-496(FCS)	1	\$5,000	\$5,000	\$3,900	09/26/2018	
CSX 2017-497(FCS)	1	\$5,000	\$5,000	\$3,900	09/26/2018	
CSX 2017-498(FCS)	1	\$2,000	\$2,000	\$1,575	09/26/2018	
CSX 2017-499(SA)	1	\$2,500	\$2,500	\$1,908	09/26/2018	
CSX 2017-500(SA)	1	\$2,000	\$2,000	\$1,400	09/26/2018	
CSX 2017-501(FCS)	1	\$2,000	\$2,000	\$1,575	09/26/2018	
CSX 2017-502(FCS)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2017-503(FCS)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2017-504(FCS)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2017-505(SA)	1	\$2,500	\$2,500	\$1,907	09/26/2018	
CSX 2017-506(HMT)	1	\$2,500	\$2,500	\$1,950	09/26/2018	
CSX 2017-507(FCS)	8	\$16,000	\$2,000	\$1,600	09/26/2018	Partially Terminated Violation(s): 1.
CSX 2017-508(FCS)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2017-509(FCS)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2017-510(FCS)	1	\$2,500	\$2,500	\$1,883	09/26/2018	
CSX 2017-511(ROP)	1	\$7,500	\$7,500	\$5,600	09/26/2018	
CSX 2017-512(SA)	1	\$5,000	\$5,000	\$3,815	09/26/2018	
CSX 2017-513(LI)	5	\$11,500	\$11,500	\$9,000	09/26/2018	
CSX 2017-514(FCS)	2	\$4,000	\$2,000	\$1,800	09/26/2018	Partially Terminated Violation(s): 1.
CSX 2017-515(FCS)	1	\$2,500	\$0	\$0	09/26/2018	Case Terminated.
CSX 2017-516(FCS)	1	\$5,000	\$0	\$0	09/26/2018	Case Terminated.
CSX 2017-517(SA)	1	\$5,000	\$5,000	\$3,815	09/26/2018	
CSX 2017-518(SA)	1	\$5,000	\$5,000	\$3,815	09/26/2018	
CSX 2017-519(SA)	1	\$5,000	\$5,000	\$3,815	09/26/2018	
CSX 2017-520(SA)	1	\$5,000	\$5,000	\$3,815	09/26/2018	
CSX 2017-521(SA)	1	\$2,500	\$2,500	\$1,908	09/26/2018	
CSX 2017-522(SA)	1	\$2,500	\$2,500	\$1,907	09/26/2018	
CSX 2017-523(FCS)	1	\$2,500	\$2,500	\$1,883	09/26/2018	
CSX 2017-524(FCS)	1	\$5,000	\$5,000	\$3,765	09/26/2018	
CSX 2017-525(FCS)	1	\$2,000	\$2,000	\$1,560	09/26/2018	
CSX 2017-526(FCS)	1	\$2,500	\$2,500	\$1,883	09/26/2018	
CSX 2017-527(SA)	1	\$2,500	\$2,500	\$1,908	09/26/2018	
CSX 2017-528(SA)	1	\$5,000	\$5,000	\$3,815	09/26/2018	
CSX 2017-529(SA)	1	\$2,500	\$2,500	\$1,907	09/26/2018	
CSX 2017-530(HMT)	1	\$5,000	\$5,000	\$3,800	09/26/2018	
CSX 2017-531(HS)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2017-532(SA)	1	\$5,000	\$5,000	\$3,815	09/26/2018	
CSX 2017-533(SA)	1	\$2,500	\$2,500	\$1,908	09/26/2018	
CSX 2017-534(FCS)	1	\$2,500	\$2,500	\$1,882	09/26/2018	
CSX 2017-535(FCS)	2	\$10,000	\$10,000	\$7,530	09/26/2018	
CSX 2017-536(FCS)	1	\$2,500	\$2,500	\$1,883	09/26/2018	
CSX 2017-537(SA)	1	\$5,000	\$5,000	\$3,815	09/26/2018	
CSX 2017-538(SA)	1	\$2,500	\$2,500	\$1,908	09/26/2018	

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CSX 2017-539(FCS)	1	\$2,500	\$2,500	\$1,882	09/26/2018	
CSX 2017-540(FCS)	1	\$2,000	\$0	\$0	09/26/2018	Case Terminated.
CSX 2017-541(FCS)	1	\$2,500	\$2,500	\$1,883	09/26/2018	
CSX 2017-542(FCS)	1	\$2,500	\$0	\$0	09/26/2018	Case Terminated.
CSX 2017-543(SA)	1	\$5,000	\$5,000	\$3,815	09/26/2018	
CSX 2017-544(SA)	1	\$2,500	\$2,500	\$1,907	09/26/2018	
CSX 2017-545(SA)	1	\$2,500	\$0	\$0	09/26/2018	Case Terminated.
CSX 2017-546(SA)	1	\$2,500	\$0	\$0	09/26/2018	Case Terminated.
CSX 2017-547(FCS)	2	\$5,000	\$5,000	\$3,765	09/26/2018	
CSX 2017-548(FCS)	1	\$5,000	\$5,000	\$3,765	09/26/2018	
CSX 2017-549(SA)	1	\$5,000	\$5,000	\$3,915	09/26/2018	
CSX 2017-550(ROP)	1	\$9,500	\$9,500	\$7,100	09/26/2018	
CSX 2017-551(SA)	1	\$2,500	\$2,500	\$1,908	09/26/2018	
CSX 2017-552(GC)	1	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2017-553(LI)	1	\$2,500	\$2,500	\$1,940	09/26/2018	
CSX 2017-554(LI)	1	\$2,500	\$2,500	\$1,940	09/26/2018	
CSX 2017-555(RW)	1	\$2,000	\$2,000	\$1,450	09/26/2018	
CSX 2017-556(SA)	1	\$5,000	\$5,000	\$3,915	09/26/2018	
CSX 2017-557(FCS)	1	\$2,500	\$2,500	\$1,883	09/26/2018	
CSX 2017-558(SA)	1	\$5,000	\$5,000	\$3,815	09/26/2018	
CSX 2017-559(ROP)	1	\$7,500	\$7,500	\$5,600	09/26/2018	
CSX 2017-560(SA)	1	\$5,000	\$5,000	\$3,915	09/26/2018	
CSX 2017-561(HSR)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2017-562(ROP)	1	\$7,500	\$7,500	\$5,700	09/26/2018	
CSX 2017-563(SA)	1	\$5,000	\$5,000	\$3,815	09/26/2018	
CSX 2017-564(SA)	1	\$5,000	\$5,000	\$3,815	09/26/2018	
CSX 2017-565(SA)	1	\$5,000	\$5,000	\$3,815	09/26/2018	
CSX 2017-566(EP)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2017-567(SA)	1	\$2,500	\$2,500	\$1,907	09/26/2018	
CSX 2017-568(SA)	1	\$5,000	\$5,000	\$3,815	09/26/2018	
CSX 2017-569(SA)	1	\$5,000	\$5,000	\$3,815	09/26/2018	
CSX 2017-570(FCS)	1	\$2,500	\$2,500	\$1,883	09/26/2018	
CSX 2017-571(FCS)	1	\$2,500	\$2,500	\$1,883	09/26/2018	
CSX 2017-572(FCS)	1	\$2,500	\$2,500	\$1,882	09/26/2018	
CSX 2017-585(HMT)	1	\$7,500	\$7,500	\$5,600	09/26/2018	
CSX 2017-586(HMT)	1	\$5,000	\$5,000	\$3,950	09/26/2018	
CSX 2017-587(HS)	2	\$2,000	\$2,000	\$1,706	09/26/2018	
CSX 2017-588(HS)	2	\$2,000	\$2,000	\$1,706	09/26/2018	
CSX 2017-589(HS)	2	\$2,000	\$2,000	\$1,706	09/26/2018	
CSX 2017-590(HMT)	3	\$14,500	\$14,500	\$11,000	09/26/2018	
CSX 2017-591(SA)	1	\$5,000	\$0	\$0	09/26/2018	Case Terminated.
CSX 2017-592(LI)	1	\$2,500	\$2,500	\$1,940	09/26/2018	
CSX 2017-593(EQ)	1	\$5,000	\$4,000	\$3,300	09/26/2018	Partially Terminated Violation(s): 1.
CSX 2017-594(EQ)	1	\$4,000	\$4,000	\$3,100	09/26/2018	
CSX 2017-595(SA)	1	\$2,500	\$2,500	\$1,908	09/26/2018	
CSX 2017-596(SA)	1	\$2,500	\$2,500	\$1,907	09/26/2018	
CSX 2017-597(SA)	1	\$2,500	\$2,500	\$1,908	09/26/2018	
CSX 2017-598(SA)	1	\$5,000	\$5,000	\$3,815	09/26/2018	
CSX 2017-599(SA)	1	\$5,000	\$5,000	\$3,915	09/26/2018	

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CSX 2017-600(SA)	1	\$5,000	\$5,000	\$3,915	09/26/2018	
CSX 2017-601(SA)	1	\$5,000	\$5,000	\$3,915	09/26/2018	
CSX 2017-602(SA)	1	\$5,000	\$5,000	\$3,915	09/26/2018	
CSX 2017-603(EQ)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2017-604(HS)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2017-605(SA)	1	\$2,500	\$2,500	\$1,908	09/26/2018	
CSX 2017-606(ROP)	1	\$7,500	\$7,500	\$5,700	09/26/2018	
CSX 2017-607(SA)	1	\$2,500	\$2,500	\$1,907	09/26/2018	
CSX 2017-608(SA)	1	\$2,500	\$2,500	\$1,908	09/26/2018	
CSX 2017-609(TS)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2017-610(HMT)	8	\$56,500	\$56,500	\$42,400	09/26/2018	
CSX 2017-611(HMT)	1	\$3,000	\$3,000	\$2,375	09/26/2018	
CSX 2018-1(FCS)	1	\$5,000	\$5,000	\$3,765	09/26/2018	
CSX 2018-2(ROP)	1	\$7,500	\$7,500	\$5,300	09/26/2018	
CSX 2018-3(ROP)	1	\$7,500	\$7,500	\$5,300	09/26/2018	
CSX 2018-4(SA)	1	\$5,000	\$5,000	\$3,815	09/26/2018	
CSX 2018-5(SA)	4	\$10,000	\$10,000	\$7,630	09/26/2018	
CSX 2018-6(SA)	1	\$2,500	\$2,500	\$1,907	09/26/2018	
CSX 2018-7(LI)	3	\$7,500	\$7,500	\$5,710	09/26/2018	
CSX 2018-8(LI)	1	\$2,500	\$2,500	\$1,925	09/26/2018	
CSX 2018-9(LI)	3	\$7,500	\$7,500	\$5,800	09/26/2018	
CSX 2018-10(LI)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2018-11(LI)	1	\$2,500	\$2,500	\$1,925	09/26/2018	
CSX 2018-12(LI)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2018-13(SA)	1	\$5,000	\$5,000	\$3,915	09/26/2018	
CSX 2018-14(SA)	1	\$2,500	\$2,500	\$1,908	09/26/2018	
CSX 2018-15(HMT)	1	\$6,000	\$6,000	\$4,500	09/26/2018	
CSX 2018-16(SA)	1	\$5,000	\$5,000	\$3,815	09/26/2018	
CSX 2018-17(TS)	1	\$25,000	\$25,000	\$18,750	09/26/2018	
CSX 2018-18(SA)	1	\$2,500	\$2,500	\$1,908	09/26/2018	
CSX 2018-19(SA)	1	\$2,500	\$2,500	\$1,907	09/26/2018	
CSX 2018-34(SA)	1	\$5,000	\$5,000	\$3,815	09/26/2018	
CSX 2018-35(SA)	1	\$2,500	\$2,500	\$1,908	09/26/2018	
CSX 2018-54(SI)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2018-58(LI)	1	\$2,500	\$2,500	\$1,925	09/26/2018	
CSX 2018-59(TS)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2018-60(HS)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2018-61(SA)	1	\$5,000	\$5,000	\$3,915	09/26/2018	
CSX 2018-62(HS)	26	\$26,000	\$26,000	\$22,178	09/26/2018	
CSX 2018-63(RW)	1	\$2,000	\$2,000	\$1,525	09/26/2018	
CSX 2018-64(TS)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2018-65(TS)	3	\$7,500	\$7,500	\$5,600	09/26/2018	
CSX 2018-66(TS)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2018-68(TS)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2018-69(ROP)	1	\$7,500	\$7,500	\$5,700	09/26/2018	
CSX 2018-71(TS)	1	\$2,500	\$2,500	\$1,907	09/26/2018	
CSX 2018-72(ROP)	1	\$7,500	\$7,500	\$5,300	09/26/2018	
CSX 2018-73(ROP)	1	\$7,500	\$2,000	\$2,000	09/26/2018	Partially Terminated Violation(s): 1.
CSX 2018-74(SI)	1	\$2,500	\$2,500	\$1,900	09/26/2018	

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CSX 2018-76(TS)	23	\$23,000	\$23,000	\$19,619	09/26/2018	
CSX 2018-77(ROP)	1	\$9,500	\$9,500	\$7,100	09/26/2018	
CSX 2018-78(TS)	4	\$4,000	\$4,000	\$3,412	09/26/2018	
CSX 2018-80(HSR)	6	\$6,000	\$6,000	\$5,118	09/26/2018	
CSX 2018-82(TS)	1	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2018-83(SA)	1	\$2,500	\$2,500	\$1,908	09/26/2018	
CSX 2018-84(SA)	1	\$2,500	\$2,500	\$1,907	09/26/2018	
CSX 2018-85(SA)	1	\$5,000	\$5,000	\$3,915	09/26/2018	
CSX 2018-86(SA)	1	\$5,000	\$5,000	\$3,815	09/26/2018	
CSX 2018-87(SA)	1	\$5,000	\$5,000	\$3,915	09/26/2018	
CSX 2018-88(SA)	1	\$5,000	\$5,000	\$3,915	09/26/2018	
CSX 2018-89(SA)	1	\$5,000	\$5,000	\$3,915	09/26/2018	
CSX 2018-90(SA)	1	\$2,500	\$2,500	\$1,907	09/26/2018	
CSX 2018-91(EQ)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2018-93(FCS)	1	\$5,000	\$5,000	\$3,765	09/26/2018	
CSX 2018-94(SA)	1	\$2,500	\$2,500	\$1,908	09/26/2018	
CSX 2018-95(SA)	1	\$2,500	\$2,500	\$1,907	09/26/2018	
CSX 2018-97(HMT)	1	\$7,500	\$7,500	\$5,600	09/26/2018	
CSX 2018-98(ROP)	1	\$9,500	\$5,000	\$4,600	09/26/2018	Partially Terminated Violation(s): 1.
CSX 2018-99(LI)	1	\$2,500	\$2,500	\$1,940	09/26/2018	
CSX 2018-101(SA)	1	\$5,000	\$5,000	\$3,915	09/26/2018	
CSX 2018-102(SA)	1	\$5,000	\$5,000	\$3,815	09/26/2018	
CSX 2018-103(TS)	1	\$2,500	\$2,500	\$1,875	09/26/2018	
CSX 2018-105(RW)	1	\$5,000	\$5,000	\$3,900	09/26/2018	
CSX 2018-106(LI)	1	\$1,500	\$1,500	\$1,150	09/26/2018	
CSX 2018-107(SA)	1	\$5,000	\$5,000	\$3,815	09/26/2018	
CSX 2018-109(SA)	1	\$2,500	\$2,500	\$1,907	09/26/2018	
CSX 2018-110(SA)	2	\$5,000	\$5,000	\$3,815	09/26/2018	
CSX 2018-111(SA)	1	\$2,500	\$2,500	\$1,907	09/26/2018	
CSX 2018-114(SA)	1	\$5,000	\$5,000	\$3,815	09/26/2018	
CSX 2018-115(SA)	1	\$2,500	\$2,500	\$1,908	09/26/2018	
CSX 2018-117(SA)	1	\$2,500	\$2,500	\$1,907	09/26/2018	
CSX 2018-118(SA)	1	\$2,500	\$2,500	\$1,908	09/26/2018	
CSX 2018-119(SA)	1	\$5,000	\$5,000	\$3,815	09/26/2018	
CSX 2018-121(FCS)	1	\$2,500	\$2,500	\$1,883	09/26/2018	
CSX 2018-122(LI)	1	\$1,000	\$1,000	\$875	09/26/2018	
CSX 2018-123(LI)	3	\$7,500	\$7,500	\$5,600	09/26/2018	
CSX 2018-125(ROP)	1	\$7,500	\$7,500	\$5,750	09/26/2018	
CSX 2018-126(HSR)	1	\$1,000	\$1,000	\$853	09/26/2018	
CSX 2018-127(TS)	1	\$5,000	\$5,000	\$3,750	09/26/2018	
CSX 2018-129(ROP)	1	\$7,500	\$0	\$0	09/26/2018	Case Terminated.
CSX 2018-130(SI)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CSX 2018-131(ROP)	1	\$7,500	\$7,500	\$5,600	09/26/2018	
CSX 2018-134(AR)	1	\$2,500	\$2,500	\$1,900	09/26/2018	
CTM 2016-11(AR)	1	\$2,500	\$2,500	\$1,500	04/25/2018	
CTM 2016-12(AR)	1	\$2,500	\$2,500	\$1,500	04/25/2018	
CTN 2016-1(AR)	1	\$2,500	\$2,500	\$1,700	12/20/2017	
CTN 2017-1(ROP)	1	\$9,500	\$9,500	\$8,000	12/20/2017	
CTRR 2017-1(SA)	1	\$5,000	\$5,000	\$5,000	10/25/2017	

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CVR 2017-2(SA)	1	\$5,000	\$5,000	\$4,000	01/31/2018	
CVR 2017-3(TS)	1	\$2,500	\$2,500	\$1,500	01/31/2018	
CVR 2017-4(TS)	1	\$5,000	\$5,000	\$4,000	01/31/2018	
CVR 2017-5(TS)	1	\$5,000	\$5,000	\$4,000	01/31/2018	
CVR 2017-6(TS)	1	\$2,500	\$2,500	\$1,500	01/31/2018	
CVR 2017-7(TS)	3	\$12,500	\$12,500	\$10,000	01/31/2018	
CWRO 2017-1(AR)	1	\$2,500	\$2,500	\$2,500	07/09/2018	
CWRO 2018-1(AD)	1	\$5,000	\$5,000	\$5,000	07/09/2018	
DCR 2017-1(GC)	1	\$5,000	\$5,000	\$2,500	10/13/2017	
DEAD 2017-1(HMT)	1	\$5,000	\$5,000	\$5,000	07/09/2018	
DGNO 2017-1(TS)	1	\$5,000	\$5,000	\$3,950	09/27/2018	
DGNO 2017-2(TS)	1	\$2,500	\$2,500	\$1,950	09/27/2018	
DME 2017-3(SA)	1	\$2,500	\$2,500	\$1,700	09/28/2018	
DME 2017-4(TS)	1	\$2,500	\$2,500	\$1,750	09/28/2018	
DMVW 2018-1(TS)	1	\$5,000	\$5,000	\$5,000	02/14/2018	
DMVW 2018-2(ROP)	1	\$7,500	\$0	\$0	04/26/2018	Case Terminated.
DQE 2016-1(GC)	1	\$2,500	\$2,500	\$1,750	11/14/2017	
DR 2016-1(TS)	2	\$5,000	\$5,000	\$5,000	06/18/2018	
DR 2016-3(GC)	1	\$5,000	\$5,000	\$5,000	06/18/2018	
DR 2016-4(RMM)	1	\$2,500	\$2,500	\$2,500	06/18/2018	
DR 2018-1(RW)	1	\$2,000	\$2,000	\$2,000	06/18/2018	
DR 2018-2(TS)	2	\$2,000	\$2,000	\$2,000	05/15/2018	
DSC 2018-1(SA)	1	\$2,500	\$2,500	\$2,500	05/10/2018	
DSRC 2017-1(HMT)	1	\$2,500	\$2,500	\$2,500	05/30/2018	
DSRC 2017-2(AR)	1	\$1,000	\$1,000	\$1,000	05/30/2018	
DSRC 2017-4(EQ)	1	\$1,000	\$1,000	\$1,000	05/30/2018	
EDW 2018-1(HMT)	1	\$7,500	\$7,500	\$2,000	05/16/2018	
EEC 2017-1(AR)	1	\$2,500	\$2,500	\$650	11/14/2017	
EIRR 2018-1(REM)	1	\$5,000	\$5,000	\$3,250	09/24/2018	
EIRR 2018-2(TS)	2	\$5,000	\$5,000	\$3,250	09/24/2018	
ELS 2017-1(HS)	2	\$2,000	\$0	\$0	05/30/2018	Case Terminated.
ELS 2018-1(ROP)	1	\$9,500	\$0	\$0	07/11/2018	Case Terminated.
EMRY 2017-2(EQ)	1	\$2,500	\$2,500	\$1,500	10/17/2017	
EMRY 2017-3(TS)	1	\$5,000	\$5,000	\$3,050	04/17/2018	
ESPN 2017-1(TS)	1	\$5,000	\$5,000	\$5,000	10/19/2017	
EWG 2017-1(GC)	2	\$3,500	\$3,500	\$2,103	04/17/2018	
EWG 2017-2(GC)	1	\$2,500	\$2,500	\$1,250	04/17/2018	
EWG 2018-1(SA)	1	\$5,000	\$5,000	\$2,500	04/17/2018	
EWG 2018-2(SA)	1	\$5,000	\$5,000	\$2,500	04/17/2018	
FCEN 2013-2(LI)	2	\$3,000	\$3,000	\$1,300	02/28/2018	
FCEN 2017-1(ROP)	1	\$2,000	\$2,000	\$1,400	02/28/2018	
FCEN 2017-2(AD)	2	\$5,000	\$5,000	\$3,500	02/28/2018	
FCEN 2017-3(SA)	1	\$2,500	\$2,500	\$1,800	02/28/2018	
FCR 2013-1(LI)	1	\$1,500	\$1,500	\$750	01/10/2018	
FCR 2017-1(ROP)	1	\$7,500	\$7,500	\$6,000	01/10/2018	
FCR 2017-2(ROP)	1	\$7,500	\$7,500	\$6,000	01/10/2018	
FCR 2017-3(AD)	7	\$35,000	\$35,000	\$28,000	01/10/2018	
FCTY 2008-1(AD)	1	\$5,000	\$0	\$0	05/08/2018	Case Terminated.
FMWX 2011-1(GC)	1	\$2,500	\$0	\$0	03/28/2018	Case Terminated.

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FNOR 2007-1(GC)	1	\$5,000	\$0	\$0	03/27/2018	Case Terminated.
FWWR 2004-1(TS)	2	\$5,000	\$0	\$0	01/04/2018	Case Terminated.
FWWR 2004-2(TS)	1	\$2,500	\$0	\$0	01/04/2018	Case Terminated.
FWWR 2009-1(GC)	1	\$2,500	\$0	\$0	01/04/2018	Case Terminated.
FWWR 2009-2(TS)	1	\$5,000	\$0	\$0	01/04/2018	Case Terminated.
FWWR 2010-1(TS)	1	\$5,000	\$0	\$0	01/04/2018	Case Terminated.
FWWR 2010-2(TS)	1	\$5,000	\$0	\$0	01/04/2018	Case Terminated.
FWWR 2011-1(TS)	1	\$5,000	\$0	\$0	01/04/2018	Case Terminated.
FWWR 2011-2(SA)	1	\$2,500	\$0	\$0	01/04/2018	Case Terminated.
FWWR 2012-1(SA)	2	\$5,000	\$0	\$0	01/04/2018	Case Terminated.
FWWR 2012-2(SA)	1	\$2,500	\$0	\$0	01/04/2018	Case Terminated.
FWWR 2012-3(SA)	2	\$10,000	\$0	\$0	01/04/2018	Case Terminated.
FWWR 2012-4(SA)	3	\$12,500	\$0	\$0	01/04/2018	Case Terminated.
FWWR 2012-5(SA)	2	\$5,000	\$0	\$0	01/04/2018	Case Terminated.
FWWR 2013-1(AD)	1	\$5,000	\$0	\$0	01/04/2018	Case Terminated.
FWWR 2014-1(AR)	1	\$2,500	\$2,500	\$1,750	03/15/2018	
FWWR 2014-2(TS)	1	\$1,000	\$1,000	\$700	03/15/2018	
FWWR 2014-3(SA)	1	\$5,000	\$5,000	\$3,500	03/15/2018	
FWWR 2014-4(TS)	1	\$5,000	\$5,000	\$3,500	03/15/2018	
FWWR 2014-5(GC)	1	\$2,500	\$2,500	\$1,750	03/15/2018	
FWWR 2014-6(TS)	3	\$3,000	\$3,000	\$2,100	03/15/2018	
FWWR 2014-7(TS)	2	\$10,000	\$10,000	\$7,000	03/15/2018	
FWWR 2014-8(EP)	1	\$1,000	\$1,000	\$700	03/15/2018	
FWWR 2015-1(TS)	11	\$27,500	\$27,500	\$19,250	03/15/2018	
FWWR 2015-2(LI)	1	\$2,500	\$2,500	\$1,750	03/15/2018	
FWWR 2015-3(TS)	1	\$2,500	\$2,500	\$1,750	03/15/2018	
FWWR 2015-4(TS)	1	\$5,000	\$5,000	\$3,500	03/15/2018	
FWWR 2015-6(TS)	2	\$10,000	\$10,000	\$7,000	03/15/2018	
FWWR 2016-2(TS)	1	\$5,000	\$5,000	\$3,500	03/15/2018	
FWWR 2016-3(ROP)	2	\$15,000	\$15,000	\$10,500	03/15/2018	
FWWR 2016-4(TS)	3	\$15,000	\$15,000	\$10,500	03/15/2018	
FWWR 2017-1(GC)	5	\$25,000	\$25,000	\$10,000	03/15/2018	
FWWR 2017-2(GC)	5	\$25,000	\$25,000	\$10,000	03/15/2018	
FWWR 2017-3(GC)	5	\$25,000	\$25,000	\$10,000	03/15/2018	
FWWR 2017-4(GC)	1	\$5,000	\$5,000	\$2,000	03/15/2018	
FWWR 2017-6(ROP)	1	\$7,500	\$7,500	\$5,250	03/15/2018	
GCSR 2010-1(RW)	1	\$3,000	\$0	\$0	05/21/2018	Case Terminated.
GCSR 2011-1(ROR)	4	\$15,000	\$0	\$0	05/21/2018	Case Terminated.
GCSR 2011-2(ROP)	3	\$24,500	\$0	\$0	05/21/2018	Case Terminated.
GCSR 2011-3(AR)	1	\$2,500	\$0	\$0	05/21/2018	Case Terminated.
GCSR 2011-4(HSR)	1	\$1,000	\$0	\$0	05/21/2018	Case Terminated.
GCSR 2011-5(RSP)	1	\$9,500	\$0	\$0	05/21/2018	Case Terminated.
GCSR 2011-6(RSP)	1	\$9,500	\$0	\$0	05/21/2018	Case Terminated.
GCSR 2012-1(LI)	2	\$5,000	\$0	\$0	05/21/2018	Case Terminated.
GCSR 2012-2(GC)	1	\$1,000	\$0	\$0	05/21/2018	Case Terminated.
GCSR 2012-3(SA)	1	\$5,000	\$0	\$0	05/21/2018	Case Terminated.
GCSR 2012-4(ROR)	1	\$5,000	\$0	\$0	05/21/2018	Case Terminated.
GCSR 2012-5(EQ)	3	\$4,500	\$0	\$0	05/21/2018	Case Terminated.
GCSR 2012-6(GC)	1	\$2,500	\$0	\$0	05/21/2018	Case Terminated.

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GCSR 2012-8(TS)	4	\$4,000	\$0	\$0	05/21/2018	Case Terminated.
GCSR 2012-9(LI)	1	\$5,000	\$0	\$0	05/21/2018	Case Terminated.
GCSR 2012-10(EQ)	1	\$1,000	\$0	\$0	05/21/2018	Case Terminated.
GCSR 2012-11(ROR)	1	\$7,500	\$0	\$0	05/21/2018	Case Terminated.
GCSR 2012-12(HSR)	2	\$2,000	\$0	\$0	05/21/2018	Case Terminated.
GCSR 2012-13(HSR)	1	\$1,000	\$0	\$0	05/21/2018	Case Terminated.
GCSR 2013-1(LI)	2	\$10,000	\$0	\$0	05/21/2018	Case Terminated.
GDLK 2017-1(SA)	1	\$5,000	\$5,000	\$3,900	09/24/2018	
GFRR 2015-1(HMT)	4	\$13,000	\$13,000	\$10,400	03/13/2018	
GFRR 2015-5(TS)	1	\$1,000	\$1,000	\$853	03/28/2018	
GFRR 2015-6(TS)	1	\$1,000	\$1,000	\$853	03/28/2018	
GFRR 2015-7(TS)	1	\$2,500	\$2,500	\$1,625	03/28/2018	
GFRR 2015-8(TS)	1	\$1,000	\$1,000	\$853	03/28/2018	
GFRR 2017-1(SI)	3	\$3,000	\$3,000	\$1,950	03/13/2018	
GFRR 2017-2(SI)	3	\$3,000	\$3,000	\$1,950	03/13/2018	
GFRR 2017-3(AD)	2	\$10,000	\$10,000	\$8,000	03/13/2018	
GFRR 2017-4(AD)	2	\$5,000	\$0	\$0	03/13/2018	Case Terminated.
GFRR 2017-5(AD)	2	\$5,000	\$5,000	\$4,000	03/13/2018	
GFRR 2017-6(GC)	1	\$5,000	\$5,000	\$4,000	03/28/2018	
GFRR 2017-7(TS)	1	\$5,000	\$5,000	\$3,500	03/28/2018	
GLC 2016-1(ROP)	1	\$7,500	\$7,500	\$5,250	04/11/2018	
GLC 2016-2(ROP)	1	\$7,500	\$7,500	\$5,250	04/11/2018	
GLC 2016-3(SA)	1	\$5,000	\$5,000	\$3,500	04/11/2018	
GLC 2017-1(SA)	1	\$5,000	\$5,000	\$3,000	04/11/2018	
GMRC 2016-1(AR)	1	\$2,500	\$2,500	\$1,650	04/03/2018	
GNBC 2016-1(SA)	1	\$5,000	\$5,000	\$3,500	04/05/2018	
GNRL 2010-1(TS)	3	\$6,000	\$0	\$0	05/21/2018	Caes Terminated.
GNRR 2017-1(BW)	2	\$10,000	\$10,000	\$5,000	11/14/2017	
GNRR 2017-2(AD)	6	\$15,000	\$2,500	\$2,500	11/14/2017	Partially Terminated Violation(s): 2-5.
GNWR 2017-5(AD)	1	\$2,500	\$2,500	\$1,950	09/27/2018	
GRNW 2017-1(EQ)	1	\$2,000	\$2,000	\$1,250	09/24/2018	
GRNW 2017-2(SI)	1	\$2,500	\$2,500	\$2,000	09/24/2018	
GRYR 2015-2(HMT)	1	\$6,000	\$0	\$0	03/26/2018	Case Terminated.
GRYR 2016-1(GC)	1	\$1,000	\$1,000	\$750	04/25/2018	
GRYR 2016-2(GC)	1	\$5,000	\$5,000	\$3,600	04/25/2018	
GRYR 2017-1(HS)	1	\$1,000	\$1,000	\$750	04/25/2018	
GRYR 2017-2(GC)	5	\$12,500	\$12,500	\$9,000	04/25/2018	
GRYR 2017-3(GC)	5	\$12,500	\$12,500	\$9,000	04/25/2018	
GRYR 2017-4(GC)	4	\$10,000	\$10,000	\$7,200	04/25/2018	
GRYR 2017-5(GC)	11	\$27,500	\$27,500	\$19,800	04/25/2018	
GRYR 2017-6(GC)	4	\$10,000	\$10,000	\$7,200	04/25/2018	
GRYR 2017-7(GC)	1	\$2,500	\$2,500	\$1,800	04/25/2018	
GRYR 2017-8(GC)	1	\$5,000	\$5,000	\$3,600	04/25/2018	
GS 2017-1(GC)	5	\$16,000	\$16,000	\$9,600	04/18/2018	
GS 2017-2(GC)	4	\$5,500	\$5,500	\$3,575	04/18/2018	
GS 2017-3(HSR)	2	\$2,000	\$2,000	\$1,500	04/18/2018	
GS 2017-4(TS)	1	\$5,000	\$5,000	\$3,500	04/18/2018	
GS 2017-5(TS)	1	\$5,000	\$5,000	\$3,500	04/18/2018	
GSM 2015-1(GC)	1	\$2,500	\$2,500	\$1,500	04/10/2018	

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GTRA 2017-1(AD)	1	\$2,500	\$2,500	\$1,750	11/14/2017	
GWR 2018-1(TS)	1	\$5,000	\$5,000	\$3,750	03/29/2018	
GWWL 2014-1(SA)	1	\$5,000	\$0	\$0	03/01/2018	Case Terminated.
GWWL 2014-2(ROP)	2	\$11,500	\$0	\$0	03/01/2018	Case Terminated.
HERQ 2017-2(RW)	3	\$9,000	\$9,000	\$6,750	03/15/2018	
HRRC 2018-1(TS)	1	\$5,000	\$5,000	\$3,500	05/10/2018	
IAIS 2018-1(ROP)	1	\$5,000	\$5,000	\$5,000	07/20/2018	
IAIS 2018-2(HMT)	2	\$5,000	\$5,000	\$5,000	08/18/2018	
IHB 2017-4(HMT)	1	\$2,000	\$2,000	\$2,000	11/06/2017	
IHB 2017-5(SA)	1	\$2,500	\$2,500	\$1,750	11/06/2017	
INRD 2017-1(HMT)	1	\$2,500	\$2,500	\$2,000	06/04/2018	
INRD 2018-1(GC)	1	\$5,000	\$5,000	\$5,000	07/03/2018	
IORY 2017-1(ROP)	1	\$7,500	\$7,500	\$5,700	09/27/2018	
IORY 2017-2(GC)	1	\$2,500	\$2,500	\$1,450	09/27/2018	
IORY 2018-1(ROP)	1	\$7,500	\$7,500	\$5,700	09/27/2018	
JCIV 2018-1(TS)	1	\$1,000	\$1,000	\$1,000	09/14/2018	
KCS 2017-17(ROP)	1	\$7,500	\$7,500	\$5,000	08/01/2018	
KCS 2017-18(AR)	1	\$1,000	\$1,000	\$850	08/01/2018	
KCS 2017-19(GC)	1	\$5,000	\$5,000	\$3,500	08/01/2018	
KCS 2017-20(SA)	1	\$5,000	\$5,000	\$4,000	08/01/2018	
KCS 2017-21(FCS)	1	\$2,500	\$2,500	\$2,000	08/01/2018	
KCS 2017-22(TS)	1	\$5,000	\$5,000	\$3,750	08/01/2018	
KCS 2017-23(LI)	1	\$2,500	\$2,500	\$2,500	08/01/2018	
KCS 2017-24(EQ)	1	\$2,500	\$2,500	\$1,950	08/01/2018	
KCS 2017-25(SA)	1	\$5,000	\$5,000	\$3,500	08/01/2018	
KCS 2017-26(SA)	1	\$5,000	\$5,000	\$3,500	08/01/2018	
KCS 2017-27(ROP)	1	\$7,500	\$7,500	\$5,000	08/01/2018	
KCS 2017-28(SA)	1	\$5,000	\$5,000	\$3,500	08/01/2018	
KCS 2017-29(SA)	1	\$5,000	\$5,000	\$3,500	08/01/2018	
KCS 2017-30(ROP)	1	\$7,500	\$7,500	\$5,000	08/01/2018	
KCS 2017-31(SA)	1	\$5,000	\$5,000	\$3,300	08/01/2018	
KCS 2017-32(TS)	1	\$5,000	\$5,000	\$3,500	08/01/2018	
KCS 2017-33(GC)	1	\$5,000	\$5,000	\$3,750	08/01/2018	
KCS 2017-34(SA)	1	\$5,000	\$5,000	\$1,000	08/01/2018	
KCS 2017-35(FCS)	1	\$5,000	\$5,000	\$3,250	08/01/2018	
KCS 2017-36(SA)	1	\$2,500	\$2,500	\$1,750	08/01/2018	
KCS 2017-37(TS)	1	\$2,500	\$2,500	\$1,750	08/01/2018	
KCS 2017-38(SA)	1	\$5,000	\$5,000	\$5,000	08/01/2018	
KCS 2017-39(ROP)	1	\$7,500	\$7,500	\$5,000	08/01/2018	
KCS 2017-40(FCS)	2	\$5,000	\$5,000	\$3,000	08/01/2018	
KCS 2017-41(SA)	2	\$7,500	\$7,500	\$5,000	08/01/2018	
KCS 2017-42(TS)	1	\$5,000	\$5,000	\$3,000	08/01/2018	
KCS 2017-43(HS)	1	\$1,000	\$1,000	\$875	08/01/2018	
KCS 2017-44(FCS)	1	\$2,500	\$2,500	\$2,500	08/01/2018	
KCS 2017-45(SA)	1	\$2,500	\$2,500	\$2,500	08/01/2018	
KCS 2017-46(HMT)	1	\$3,000	\$3,000	\$2,500	08/01/2018	
KCS 2017-47(FCS)	1	\$2,500	\$2,500	\$2,000	08/01/2018	
KCS 2017-48(FCS)	2	\$10,000	\$10,000	\$6,500	08/01/2018	
KCS 2017-49(ROP)	1	\$7,500	\$7,500	\$4,800	08/01/2018	



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KCS 2017-50(FCS)	1	\$2,500	\$2,500	\$2,000	08/01/2018	
KCS 2017-51(GC)	1	\$2,500	\$2,500	\$2,500	08/01/2018	
KCS 2017-52(GC)	1	\$5,000	\$5,000	\$3,750	08/01/2018	
KCS 2017-53(LI)	1	\$2,500	\$2,500	\$2,500	08/01/2018	
KCS 2017-54(SA)	1	\$5,000	\$5,000	\$3,500	08/01/2018	
KCS 2017-55(SA)	1	\$2,500	\$2,500	\$2,000	08/01/2018	
KCS 2017-56(SA)	1	\$2,500	\$2,500	\$2,000	08/01/2018	
KCS 2017-57(AD)	1	\$2,500	\$2,500	\$2,500	08/01/2018	
KCS 2017-58(AD)	1	\$1,000	\$1,000	\$850	08/01/2018	
KCS 2018-1(ROP)	1	\$7,500	\$7,500	\$5,000	08/01/2018	
KCS 2018-2(SA)	1	\$5,000	\$5,000	\$3,500	08/01/2018	
KCS 2018-3(FCS)	1	\$2,500	\$2,500	\$1,800	08/01/2018	
KCS 2018-4(FCS)	1	\$2,500	\$2,500	\$1,800	08/01/2018	
KCS 2018-5(FCS)	1	\$2,500	\$2,500	\$1,800	08/01/2018	
KCS 2018-6(SA)	1	\$2,500	\$2,500	\$1,750	08/01/2018	
KCS 2018-7(SA)	1	\$5,000	\$5,000	\$3,350	08/01/2018	
KCS 2018-8(SA)	1	\$5,000	\$5,000	\$3,000	08/01/2018	
KCS 2018-9(SA)	1	\$2,500	\$2,500	\$1,750	08/01/2018	
KCS 2018-10(FCS)	1	\$5,000	\$5,000	\$3,555	08/01/2018	
KCS 2018-11(FCS)	1	\$2,500	\$2,500	\$1,800	08/01/2018	
KCS 2018-12(SA)	1	\$5,000	\$5,000	\$4,100	08/01/2018	
KCS 2018-13(SA)	1	\$2,500	\$2,500	\$2,500	08/01/2018	
KCT 2017-1(AD)	1	\$2,500	\$2,500	\$2,500	02/23/2018	
KCT 2018-1(SI)	1	\$27,904	\$27,904	\$23,718	08/22/2018	
KFR 2017-1(EQ)	1	\$2,000	\$0	\$0	12/01/2017	Case Terminated.
KFR 2017-2(AR)	1	\$2,500	\$2,500	\$2,000	01/31/2018	
KFR 2017-3(ROP)	1	\$7,500	\$7,500	\$6,000	12/01/2017	
KFR 2017-4(AR)	1	\$1,000	\$1,000	\$853	12/01/2017	
KJRY 2017-1(BSS)	2	\$8,000	\$8,000	\$6,000	05/18/2018	
KNOR 2017-1(TS)	1	\$5,000	\$5,000	\$5,000	05/04/2018	
KNWA 2017-2(HMT)	1	\$1,000	\$1,000	\$900	09/24/2018	
KRR 2017-1(TS)	1	\$1,000	\$1,000	\$900	09/27/2018	
KRR 2017-2(RW)	2	\$5,000	\$5,000	\$3,950	09/27/2018	
KYLE 2017-1(TS)	1	\$5,000	\$5,000	\$3,950	09/27/2018	
KYLE 2017-2(TS)	1	\$5,000	\$5,000	\$3,950	09/27/2018	
KYLE 2017-3(TS)	1	\$2,500	\$2,500	\$1,900	09/27/2018	
LAJ 2017-1(LI)	1	\$2,500	\$2,500	\$1,900	09/28/2018	
LAJ 2018-1(AR)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
LBWR 2017-1(RW)	1	\$2,000	\$2,000	\$1,400	09/24/2018	
LBWR 2017-2(TS)	3	\$12,500	\$12,500	\$9,000	09/24/2018	
LBWR 2017-3(FCS)	1	\$2,500	\$2,500	\$1,750	09/24/2018	
LBWR 2017-4(TS)	1	\$2,500	\$2,500	\$1,750	09/24/2018	
LI 2017-1(ROR)	1	\$9,500	\$9,500	\$5,500	06/08/2018	
LI 2017-2(ROR)	1	\$9,500	\$9,500	\$5,500	06/08/2018	
LI 2017-3(ROR)	1	\$9,500	\$9,500	\$5,500	06/08/2018	
LI 2017-4(SI)	1	\$2,500	\$2,500	\$1,500	06/08/2018	
LI 2017-5(RW)	1	\$2,000	\$2,000	\$1,250	06/08/2018	
LSRC 2017-1(ROP)	1	\$9,500	\$9,500	\$6,000	11/13/2017	
LSRC 2018-1(GC)	1	\$5,000	\$5,000	\$3,000	06/08/2018	

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LVRR 2017-1(SA)	1	\$5,000	\$5,000	\$2,750	11/30/2017	
MACZ 2013-1(SI)	1	\$5,000	\$5,000	\$4,250	10/24/2017	
MACZ 2013-3(LI)	1	\$1,500	\$1,500	\$1,275	10/24/2017	
MACZ 2013-4(LI)	2	\$5,000	\$5,000	\$4,000	10/24/2017	
MACZ 2013-5(LI)	1	\$2,500	\$2,500	\$2,000	10/24/2017	
MACZ 2013-6(PEQ)	2	\$7,500	\$7,500	\$6,375	10/24/2017	
MACZ 2014-1(PEQ)	1	\$5,000	\$5,000	\$4,250	10/24/2017	
MACZ 2014-2(LI)	1	\$2,500	\$2,500	\$2,125	10/24/2017	
MACZ 2014-3(SI)	1	\$5,000	\$5,000	\$4,250	10/24/2017	
MACZ 2014-4(PEQ)	4	\$10,000	\$7,500	\$6,375	10/24/2017	Terminated Violation(s): 3.
MACZ 2015-1(SI)	1	\$5,000	\$5,000	\$4,150	10/24/2017	
MACZ 2015-2(PEQ)	1	\$5,000	\$5,000	\$4,000	10/24/2017	
MACZ 2015-3(AR)	1	\$2,500	\$2,500	\$1,875	10/24/2017	
MACZ 2015-4(AR)	1	\$2,500	\$2,500	\$1,875	10/24/2017	
MACZ 2015-5(PEQ)	1	\$5,000	\$5,000	\$4,000	10/24/2017	
MACZ 2015-6(PEQ)	1	\$5,000	\$5,000	\$4,150	10/24/2017	
MACZ 2015-7(PEQ)	2	\$10,000	\$5,000	\$5,000	10/24/2017	Partially Terminated Violation(s): 1, 2.
MACZ 2015-8(ROP)	1	\$9,500	\$9,500	\$8,550	10/24/2017	
MACZ 2015-9(SI)	1	\$2,500	\$2,500	\$2,247	10/24/2017	
MACZ 2015-10(LI)	1	\$2,500	\$2,500	\$2,125	10/24/2017	
MACZ 2015-11(EP)	1	\$1,000	\$1,000	\$850	10/24/2017	
MACZ 2016-1(EP)	1	\$1,000	\$1,000	\$950	10/24/2017	
MACZ 2016-2(PEQ)	1	\$2,500	\$2,500	\$2,125	10/24/2017	
MACZ 2016-3(EQ)	1	\$2,500	\$1,000	\$1,000	10/24/2017	Partially Terminated Violation(s): 1.
MACZ 2016-4(AD)	2	\$10,000	\$10,000	\$8,500	10/24/2017	
MACZ 2016-5(AD)	1	\$2,500	\$2,500	\$2,250	10/24/2017	
MACZ 2016-6(AD)	2	\$5,000	\$5,000	\$4,250	10/24/2017	
MACZ 2017-1(PEQ)	2	\$5,000	\$5,000	\$4,250	10/24/2017	
MACZ 2017-2(SI)	1	\$1,000	\$1,000	\$853	10/24/2017	
MACZ 2017-3(ROP)	1	\$9,500	\$9,500	\$7,125	10/24/2017	
MACZ 2017-4(SI)	1	\$4,000	\$4,000	\$2,800	02/20/2018	
MBRR 2017-1(TS)	1	\$5,000	\$5,000	\$3,950	09/27/2018	
MBTA 2015-1(AR)	1	\$1,000	\$1,000	\$750	11/30/2017	
MBTA 2015-2(ROP)	1	\$5,000	\$5,000	\$3,750	11/30/2017	
MBTA 2015-3(PEQ)	2	\$5,000	\$5,000	\$3,750	11/30/2017	
MBTA 2015-4(LI)	1	\$2,500	\$2,500	\$1,875	11/30/2017	
MBTA 2015-5(TS)	4	\$10,000	\$10,000	\$7,500	11/30/2017	
MBTA 2016-1(PEQ)	1	\$2,500	\$2,500	\$1,875	11/30/2017	
MBTA 2016-2(AD)	1	\$5,000	\$5,000	\$3,750	11/30/2017	
MBTA 2016-3(AD)	1	\$5,000	\$5,000	\$3,750	11/30/2017	
MBTA 2016-4(AD)	2	\$10,000	\$10,000	\$7,500	11/30/2017	
MBTA 2016-5(PEQ)	3	\$17,500	\$17,500	\$13,125	11/30/2017	
MBTA 2016-6(AR)	1	\$2,500	\$2,500	\$1,875	11/30/2017	
MBTA 2016-7(PEQ)	2	\$10,000	\$10,000	\$7,500	11/30/2017	
MBTA 2016-8(ROP)	1	\$7,500	\$7,500	\$5,625	11/30/2017	
MBTA 2016-9(PEQ)	2	\$7,500	\$7,500	\$5,625	11/30/2017	
MBTA 2016-10(PEQ)	1	\$2,500	\$2,500	\$1,875	11/30/2017	
MBTA 2017-1(TS)	12	\$12,000	\$12,000	\$10,068	11/30/2017	

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MBTA 2017-2(RW)	1	\$3,000	\$3,000	\$2,250	11/30/2017	
MBTA 2017-3(PEQ)	3	\$20,000	\$20,000	\$13,932	11/30/2017	
MBTA 2017-4(SI)	1	\$5,000	\$5,000	\$3,750	11/30/2017	
MBTA 2017-5(GC)	1	\$5,000	\$5,000	\$3,750	11/30/2017	
MBTA 2017-6(LI)	1	\$27,455	\$27,455	\$20,591	11/30/2017	
MBTA 2017-7(PEQ)	4	\$32,500	\$32,500	\$24,375	11/30/2017	
MBTA 2017-8(PEQ)	1	\$15,000	\$15,000	\$11,250	11/30/2017	
MBTA 2017-9(PEQ)	1	\$2,500	\$2,500	\$1,875	11/30/2017	
MBTA 2017-10(PEQ)	2	\$10,000	\$10,000	\$7,500	11/30/2017	
MBTA 2017-11(ROR)	1	\$7,500	\$7,500	\$7,125	11/30/2017	
MBTA 2017-12(ROR)	1	\$7,500	\$7,500	\$5,625	11/30/2017	
MBTA 2017-13(ROR)	1	\$9,500	\$9,500	\$7,125	11/30/2017	
MBTA 2017-14(ROR)	1	\$9,500	\$9,500	\$7,125	11/30/2017	
MBTA 2017-15(ROR)	1	\$9,500	\$9,500	\$7,125	11/30/2017	
MBTA 2017-16(ROR)	1	\$12,000	\$12,000	\$9,000	11/30/2017	
MBTA 2017-17(ROR)	1	\$9,500	\$9,500	\$7,125	11/30/2017	
MBTA 2017-18(ROR)	1	\$12,000	\$12,000	\$9,000	11/30/2017	
MBTA 2017-19(ROR)	1	\$9,500	\$9,500	\$7,125	11/30/2017	
MBTA 2017-20(ROR)	1	\$7,500	\$7,500	\$5,625	11/30/2017	
MBTA 2017-21(ROR)	1	\$9,500	\$9,500	\$7,125	11/30/2017	
MBTA 2017-22(PEQ)	1	\$2,500	\$2,500	\$1,875	11/30/2017	
MBTA 2017-23(PEQ)	1	\$15,000	\$15,000	\$11,250	11/30/2017	
MBTA 2017-24(ROR)	1	\$9,500	\$9,500	\$7,125	11/30/2017	
MBTA 2017-25(ROR)	1	\$9,500	\$9,500	\$7,125	11/30/2017	
MBTA 2017-26(ROR)	1	\$9,500	\$9,500	\$7,125	11/30/2017	
MCRL 2015-4(GC)	1	\$2,500	\$2,500	\$1,800	04/25/2018	
MCRL 2016-3(AR)	1	\$2,500	\$2,500	\$1,500	04/25/2018	
MCRL 2016-4(AR)	1	\$2,500	\$2,500	\$1,500	04/25/2018	
MCRL 2017-1(GC)	1	\$5,000	\$5,000	\$3,600	04/25/2018	
MDDE 2018-1(GC)	1	\$5,000	\$5,000	\$3,000	02/26/2018	
MDS 2017-1(CC)	1	\$2,000	\$2,000	\$2,000	01/02/2018	
MEC 2017-6(TS)	1	\$5,000	\$5,000	\$4,250	09/11/2018	
MEC 2017-7(TS)	1	\$5,000	\$5,000	\$3,800	09/11/2018	
MEC 2017-8(TS)	1	\$5,000	\$5,000	\$3,800	09/11/2018	
MEC 2017-9(TS)	1	\$5,000	\$5,000	\$4,250	09/11/2018	
MEC 2017-10(TS)	1	\$5,000	\$5,000	\$5,000	09/11/2018	
MEC 2017-11(TS)	1	\$5,000	\$5,000	\$5,000	09/11/2018	
MEC 2017-12(TS)	1	\$5,000	\$5,000	\$5,000	09/11/2018	
MEC 2017-13(TS)	1	\$5,000	\$5,000	\$5,000	09/11/2018	
MEC 2017-14(TS)	1	\$5,000	\$5,000	\$3,250	09/11/2018	
MEC 2017-15(TS)	1	\$5,000	\$5,000	\$3,250	09/11/2018	
MEC 2017-16(TS)	1	\$5,000	\$5,000	\$3,800	09/11/2018	
MH 2016-9(AR)	1	\$2,500	\$2,500	\$1,500	04/25/2018	
MH 2016-10(TS)	1	\$2,500	\$2,500	\$1,800	04/25/2018	
MH 2017-1(SA)	1	\$4,000	\$4,000	\$2,900	04/25/2018	
MH 2018-1(TS)	1	\$5,000	\$5,000	\$3,800	04/25/2018	
MH 2018-2(TS)	1	\$5,000	\$5,000	\$3,800	04/25/2018	
MH 2018-3(TS)	2	\$10,000	\$10,000	\$7,600	04/25/2018	
MH 2018-4(TS)	1	\$5,000	\$5,000	\$3,800	04/25/2018	

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MNA 2017-1(GC)	1	\$2,500	\$2,500	\$1,950	09/27/2018	
MNBR 2017-1(TS)	1	\$5,000	\$5,000	\$3,950	09/27/2018	
MNBR 2018-1(TS)	2	\$10,000	\$10,000	\$7,600	09/27/2018	
MNBR 2018-2(TS)	1	\$5,000	\$5,000	\$3,950	09/27/2018	
MNBR 2018-3(TS)	4	\$16,000	\$16,000	\$12,300	09/27/2018	
MNBR 2018-4(TS)	1	\$1,000	\$1,000	\$900	09/27/2018	
MNBR 2018-5(TS)	1	\$1,000	\$1,000	\$900	09/27/2018	
MNCW 2014-27(PEQ)	1	\$5,000	\$5,000	\$4,250	10/23/2017	
MNCW 2014-28(AR)	1	\$2,500	\$2,500	\$2,125	10/23/2017	
MNCW 2015-26(RW)	1	\$2,000	\$2,000	\$1,700	10/23/2017	
MNCW 2015-27(RW)	1	\$2,000	\$2,000	\$1,700	10/23/2017	
MNCW 2015-28(GC)	1	\$5,000	\$5,000	\$4,250	10/23/2017	
MNCW 2015-29(SA)	1	\$5,000	\$5,000	\$4,250	10/23/2017	
MNCW 2015-30(RW)	1	\$3,000	\$3,000	\$2,550	10/23/2017	
MNCW 2015-31(GC)	1	\$1,000	\$1,000	\$900	10/23/2017	
MNCW 2015-32(GC)	1	\$1,000	\$1,000	\$900	10/23/2017	
MNCW 2015-33(GC)	1	\$1,000	\$1,000	\$900	10/23/2017	
MNCW 2015-35(BW)	1	\$5,000	\$5,000	\$4,500	10/23/2017	
MNCW 2015-36(AR)	1	\$2,500	\$2,500	\$2,125	10/23/2017	
MNCW 2015-37(AR)	1	\$2,500	\$2,500	\$2,125	10/23/2017	
MNCW 2015-38(TS)	2	\$5,000	\$5,000	\$4,500	10/23/2017	
MNCW 2015-39(TS)	1	\$5,000	\$5,000	\$4,250	10/23/2017	
MNCW 2015-40(TS)	1	\$5,000	\$5,000	\$4,250	10/23/2017	
MNCW 2015-41(TS)	1	\$5,000	\$5,000	\$4,250	10/23/2017	
MNCW 2015-42(TS)	1	\$2,000	\$2,000	\$1,700	10/23/2017	
MNCW 2015-43(TS)	1	\$5,000	\$5,000	\$4,250	10/23/2017	
MNCW 2015-44(ROR)	1	\$9,500	\$9,500	\$8,075	10/23/2017	
MNCW 2015-45(ROR)	1	\$9,500	\$9,500	\$8,075	10/23/2017	
MNCW 2015-46(ROR)	1	\$7,500	\$0	\$0	10/23/2017	Case Terminated.
MNCW 2015-47(ROR)	1	\$7,500	\$7,500	\$6,375	10/23/2017	
MNCW 2015-48(ROP)	1	\$7,500	\$7,500	\$6,375	10/23/2017	
MNCW 2015-49(ROP)	1	\$5,000	\$5,000	\$4,500	10/23/2017	
MNCW 2015-50(ROP)	1	\$9,500	\$9,500	\$8,075	10/23/2017	
MNCW 2015-51(PEQ)	1	\$2,500	\$2,500	\$2,125	10/23/2017	
MNCW 2015-52(RW)	1	\$3,000	\$3,000	\$2,550	10/23/2017	
MNCW 2016-2(ROP)	1	\$7,500	\$7,500	\$6,375	10/23/2017	
MNCW 2016-3(AD)	6	\$30,000	\$30,000	\$23,100	10/23/2017	
MNCW 2016-4(AD)	1	\$2,500	\$2,500	\$2,125	10/23/2017	
MNCW 2016-5(AD)	2	\$5,000	\$2,500	\$2,500	10/23/2017	Partially Terminated Violation(s): 1.
MNCW 2016-6(AD)	2	\$5,000	\$2,500	\$2,500	10/23/2017	Partially Terminated Violation(s): 1.
MNCW 2016-7(AD)	2	\$5,000	\$2,500	\$2,500	10/23/2017	Partially Terminated Violation(s): 1.
MNCW 2016-8(AD)	2	\$5,000	\$2,500	\$2,500	10/23/2017	Partially Terminated Violation(s): 1.
MNCW 2016-9(AD)	2	\$5,000	\$2,500	\$2,500	10/23/2017	Partially Terminated Violation(s): 1.
MNCW 2016-10(AD)	2	\$5,000	\$2,500	\$2,500	10/23/2017	Partially Terminated Violation(s): 1.
MNCW 2016-12(HSR)	1	\$1,000	\$1,000	\$900	10/23/2017	

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MNCW 2016-13(ROP)	1	\$7,500	\$7,500	\$6,375	10/23/2017	
MNCW 2016-14(ROP)	1	\$7,500	\$7,500	\$6,375	10/23/2017	
MNCW 2016-15(SA)	1	\$2,500	\$2,500	\$2,125	10/23/2017	
MNCW 2016-16(AD)	1	\$5,000	\$5,000	\$5,000	10/23/2017	
MNCW 2016-17(AD)	1	\$5,000	\$5,000	\$4,250	10/23/2017	
MNCW 2016-18(AD)	1	\$5,000	\$5,000	\$4,250	10/23/2017	
MNCW 2016-19(AD)	1	\$5,000	\$5,000	\$4,250	10/23/2017	
MNCW 2016-20(AD)	1	\$5,000	\$5,000	\$4,250	10/23/2017	
MNCW 2016-21(AD)	1	\$5,000	\$5,000	\$4,250	10/23/2017	
MNCW 2016-22(AD)	1	\$2,500	\$2,500	\$2,125	10/23/2017	
MNCW 2016-23(AD)	1	\$2,500	\$2,500	\$2,125	10/23/2017	
MNCW 2016-24(AD)	1	\$2,500	\$2,500	\$2,125	10/23/2017	
MNCW 2016-25(AD)	1	\$2,500	\$2,500	\$2,125	10/23/2017	
MNCW 2016-26(AD)	1	\$2,500	\$2,500	\$2,125	10/23/2017	
MNCW 2016-27(AD)	1	\$2,500	\$2,500	\$2,125	10/23/2017	
MNCW 2016-28(AD)	1	\$2,500	\$2,500	\$2,125	10/23/2017	
MNCW 2016-29(AD)	1	\$2,500	\$2,500	\$2,125	10/23/2017	
MNCW 2016-30(AD)	1	\$2,500	\$2,500	\$2,125	10/23/2017	
MNCW 2016-31(AD)	1	\$2,500	\$2,500	\$2,125	10/23/2017	
MNCW 2016-32(AD)	1	\$2,500	\$2,500	\$2,125	10/23/2017	
MNCW 2016-33(AD)	1	\$2,500	\$2,500	\$2,125	10/23/2017	
MNCW 2016-34(AD)	2	\$5,000	\$5,000	\$4,250	10/23/2017	
MNCW 2016-35(AD)	1	\$2,500	\$2,500	\$2,125	10/23/2017	
MNCW 2016-36(AD)	1	\$2,500	\$2,500	\$2,125	10/23/2017	
MNCW 2016-37(AD)	1	\$2,500	\$2,500	\$2,125	10/23/2017	
MNCW 2016-38(AD)	1	\$2,500	\$2,500	\$2,125	10/23/2017	
MNCW 2016-39(AD)	2	\$5,000	\$5,000	\$4,250	10/23/2017	
MNCW 2016-40(AD)	1	\$2,500	\$2,500	\$2,125	10/23/2017	
MNCW 2016-41(AD)	1	\$2,500	\$2,500	\$2,125	10/23/2017	
MNCW 2016-42(AD)	2	\$5,000	\$5,000	\$4,250	10/23/2017	
MNCW 2016-43(AD)	1	\$2,500	\$2,500	\$2,125	10/23/2017	
MNCW 2016-44(AD)	1	\$2,500	\$2,500	\$2,125	10/23/2017	
MNCW 2016-45(AD)	1	\$2,500	\$2,500	\$2,125	10/23/2017	
MNCW 2016-46(AD)	1	\$2,500	\$2,500	\$2,125	10/23/2017	
MNCW 2016-47(AD)	1	\$2,500	\$2,500	\$2,125	10/23/2017	
MNCW 2016-48(AD)	1	\$2,500	\$2,500	\$2,125	10/23/2017	
MNCW 2016-49(AD)	1	\$2,500	\$2,500	\$2,125	10/23/2017	
MNCW 2016-50(AD)	1	\$2,500	\$2,500	\$2,250	10/23/2017	
MNCW 2016-51(AD)	1	\$2,500	\$2,500	\$2,125	10/23/2017	
MNCW 2016-52(AD)	1	\$5,000	\$5,000	\$4,500	10/23/2017	
MNCW 2016-53(AD)	1	\$5,000	\$5,000	\$4,500	10/23/2017	
MNCW 2016-54(AD)	1	\$5,000	\$5,000	\$4,500	10/23/2017	
MNCW 2016-55(AD)	1	\$5,000	\$5,000	\$4,500	10/23/2017	
MNCW 2016-56(AD)	1	\$5,000	\$5,000	\$4,500	10/23/2017	
MNCW 2016-57(AD)	1	\$5,000	\$5,000	\$4,500	10/23/2017	
MNCW 2016-58(ROP)	1	\$7,500	\$7,500	\$6,375	10/23/2017	
MNCW 2016-59(GS)	3	\$7,500	\$2,500	\$2,500	10/23/2017	Partially Terminated Violation(s): 1.
MNCW 2016-60(GS)	1	\$2,500	\$2,500	\$2,500	10/23/2017	
MNNR 2017-3(HMT)	8	\$35,000	\$35,000	\$26,250	12/13/2017	

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MNR 2017-1(ROP)	1	\$9,500	\$9,500	\$7,600	10/02/2017	
MOR 2018-1(LI)	1	\$1,000	\$1,000	\$853	04/16/2018	
MRA 2016-6(AR)	1	\$2,500	\$2,500	\$1,500	04/25/2018	
MRL 2017-2(SA)	1	\$5,000	\$5,000	\$4,000	05/31/2018	
MRL 2017-3(SA)	2	\$10,000	\$10,000	\$8,500	05/31/2018	
MRL 2017-4(FCS)	5	\$20,000	\$20,000	\$16,250	05/31/2018	
MRL 2017-5(FCS)	3	\$12,500	\$12,500	\$10,125	05/31/2018	
MRL 2017-6(AR)	1	\$1,000	\$1,000	\$853	05/31/2018	
MRL 2017-7(SA)	2	\$10,000	\$10,000	\$8,500	05/31/2018	
MRL 2017-8(HS)	1	\$1,000	\$1,000	\$853	05/31/2018	
MRL 2017-9(FCS)	1	\$5,000	\$5,000	\$4,000	05/31/2018	
MRL 2017-10(TS)	2	\$5,000	\$5,000	\$4,250	05/31/2018	
MRL 2017-11(GC)	1	\$5,000	\$5,000	\$4,250	05/31/2018	
MRL 2017-12(GC)	1	\$5,000	\$5,000	\$4,250	05/31/2018	
MRL 2017-13(LI)	1	\$2,500	\$2,500	\$2,125	05/31/2018	
MRL 2017-14(SA)	1	\$2,500	\$2,500	\$2,125	05/31/2018	
MRL 2017-15(SA)	1	\$5,000	\$5,000	\$4,250	05/31/2018	
MRL 2017-16(RSP)	1	\$5,000	\$5,000	\$4,250	05/31/2018	
MRL 2017-18(SA)	1	\$5,000	\$5,000	\$4,250	05/31/2018	
MRL 2017-19(AR)	1	\$2,500	\$2,500	\$2,125	05/31/2018	
MRL 2017-20(EP)	1	\$1,000	\$0	\$0	05/31/2018	Case Terminated.
MRL 2017-21(TS)	1	\$2,500	\$2,500	\$2,125	05/31/2018	
MRL 2017-22(SA)	1	\$2,500	\$2,500	\$2,125	05/31/2018	
MRL 2018-1(TS)	10	\$22,500	\$22,500	\$19,125	05/31/2018	
MRL 2018-2(LI)	3	\$7,500	\$7,500	\$5,625	05/31/2018	
MRL 2018-3(SA)	4	\$17,500	\$17,500	\$14,875	05/31/2018	
MRL 2018-4(FCS)	4	\$10,000	\$10,000	\$7,500	05/31/2018	
MSDR 2016-1(CC)	1	\$10,000	\$10,000	\$8,000	05/22/2018	
MSDR 2016-2(ROR)	1	\$7,500	\$7,500	\$6,000	05/22/2018	
MSDR 2016-3(EQ)	1	\$5,000	\$5,000	\$5,000	05/22/2018	
NCTC 2018-1(PEQ)	1	\$5,000	\$5,000	\$5,000	05/15/2018	
NCVA 2017-1(HMT)	1	\$5,000	\$5,000	\$3,950	09/27/2018	
NCVA 2017-2(GC)	1	\$5,000	\$5,000	\$3,950	09/27/2018	
NCVA 2017-3(GC)	1	\$5,000	\$5,000	\$3,950	09/27/2018	
NECR 2017-1(SA)	1	\$2,500	\$2,500	\$1,950	09/27/2018	
NERR 2017-1(SI)	5	\$20,000	\$20,000	\$10,500	12/01/2017	
NHN 2018-1(TS)	1	\$5,000	\$5,000	\$2,500	02/07/2018	
NHRR 2017-2(AD)	1	\$2,500	\$2,500	\$1,250	07/06/2018	
NJTR 2015-3(TS)	2	\$7,000	\$7,000	\$5,000	12/08/2017	
NJTR 2015-7(EQ)	1	\$1,000	\$1,000	\$700	12/08/2017	
NJTR 2015-8(GC)	1	\$5,000	\$5,000	\$3,650	12/08/2017	
NJTR 2015-9(ROP)	1	\$7,500	\$7,500	\$5,250	12/08/2017	
NJTR 2015-10(CC)	1	\$2,000	\$2,000	\$1,400	12/08/2017	
NJTR 2015-11(PEQ)	1	\$2,500	\$2,500	\$1,250	12/08/2017	
NJTR 2015-12(ROP)	1	\$7,500	\$7,500	\$5,250	12/08/2017	
NJTR 2015-13(ROP)	1	\$7,500	\$7,500	\$5,250	12/08/2017	
NJTR 2015-14(AR)	1	\$2,500	\$2,500	\$1,900	12/08/2017	
NJTR 2016-1(PEQ)	5	\$25,000	\$25,000	\$17,800	12/08/2017	
NJTR 2016-2(PEQ)	1	\$5,000	\$5,000	\$3,550	12/08/2017	

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NJTR 2016-3(ROP)	2	\$17,000	\$11,500	\$11,500	12/08/2017	Partially Terminated Violation(s): 1.
NJTR 2016-5(SA)	2	\$7,500	\$7,500	\$5,400	12/08/2017	
NJTR 2016-6(HSR)	20	\$20,000	\$20,000	\$14,600	12/08/2017	
NJTR 2016-7(PEQ)	2	\$10,000	\$10,000	\$7,100	12/08/2017	
NJTR 2016-8(ROP)	2	\$17,000	\$7,000	\$7,000	12/08/2017	
NJTR 2016-9(CC)	1	\$1,000	\$1,000	\$700	12/08/2017	Partially Terminated Violation(s): 1, 2.
NJTR 2016-10(CC)	2	\$2,000	\$2,000	\$1,400	12/08/2017	
NJTR 2016-11(PEQ)	1	\$5,000	\$5,000	\$3,600	12/08/2017	
NJTR 2016-12(ROP)	1	\$9,500	\$9,500	\$6,650	12/08/2017	
NJTR 2016-13(ROP)	6	\$33,500	\$33,500	\$23,450	12/08/2017	
NJTR 2016-14(PEQ)	1	\$2,500	\$2,500	\$1,800	12/08/2017	
NJTR 2016-15(RSP)	1	\$9,500	\$9,500	\$7,000	12/08/2017	
NJTR 2016-16(PEQ)	1	\$5,000	\$5,000	\$3,600	12/08/2017	
NJTR 2016-17(ROP)	4	\$32,000	\$32,000	\$22,400	12/08/2017	
NJTR 2016-18(SA)	1	\$5,000	\$5,000	\$3,600	12/08/2017	
NJTR 2016-21(PEQ)	2	\$10,000	\$10,000	\$7,100	12/08/2017	
NJTR 2016-22(ROP)	1	\$2,000	\$2,000	\$1,400	12/08/2017	
NJTR 2016-23(TH)	1	\$1,000	\$1,000	\$839	12/08/2017	
NJTR 2017-18(RW)	3	\$12,000	\$12,000	\$10,000	12/08/2017	
NJTR 2017-20(PEQ)	1	\$5,000	\$5,000	\$3,550	12/08/2017	
NJTR 2017-21(PEQ)	1	\$5,000	\$5,000	\$3,550	12/08/2017	
NJTR 2017-22(PEQ)	1	\$5,000	\$5,000	\$3,550	12/08/2017	
NJTR 2017-23(RSP)	1	\$9,500	\$9,500	\$7,000	12/08/2017	
NJTR 2017-25(RW)	1	\$3,000	\$3,000	\$2,300	12/08/2017	
NJTR 2017-26(TH)	1	\$1,000	\$1,000	\$853	12/08/2017	
NJTR 2017-27(LI)	1	\$1,000	\$1,000	\$853	12/08/2017	
NJTR 2017-28(SI)	1	\$16,000	\$16,000	\$12,000	12/08/2017	
NJTR 2017-33(PEQ)	1	\$5,000	\$5,000	\$3,549	12/08/2017	
NJTR 2017-34(TH)	1	\$1,000	\$1,000	\$853	12/08/2017	
NJTR 2017-35(PEQ)	1	\$2,500	\$2,500	\$1,850	12/08/2017	
NJTR 2017-37(PEQ)	1	\$2,500	\$2,500	\$1,850	12/08/2017	
NJTR 2017-38(SA)	1	\$5,000	\$5,000	\$3,600	12/08/2017	
NJTR 2017-39(ROP)	1	\$7,500	\$7,500	\$5,250	12/08/2017	
NJTR 2017-41(TH)	1	\$1,000	\$1,000	\$853	12/08/2017	
NKCR 2017-1(GC)	1	\$2,500	\$2,500	\$2,000	02/02/2018	
NMRX 2018-1(AD)	1	\$2,500	\$2,500	\$1,750	02/27/2018	
NOGC 2018-1(ROP)	1	\$5,000	\$5,000	\$2,500	07/23/2018	
NOPB 2018-1(SA)	1	\$5,000	\$5,000	\$2,500	04/30/2018	
NOPB 2018-2(SA)	2	\$10,000	\$10,000	\$5,000	04/30/2018	
NOPB 2018-3(HMT)	2	\$4,000	\$4,000	\$2,400	04/30/2018	
NOPB 2018-4(ROP)	5	\$17,500	\$17,500	\$8,750	04/30/2018	
NOPB 2018-5(ROR)	3	\$28,500	\$28,500	\$14,250	04/30/2018	
NOPB 2018-6(SA)	1	\$2,500	\$2,500	\$1,500	04/30/2018	
NOPB 2018-7(HMT)	1	\$2,000	\$2,000	\$1,000	08/16/2018	
NPB 2017-1(HMT)	6	\$32,500	\$32,500	\$12,000	10/04/2017	
NPB 2017-2(ROP)	1	\$7,500	\$7,500	\$3,750	10/04/2017	
NPB 2017-3(SA)	1	\$5,000	\$5,000	\$2,500	10/04/2017	
NSCR 2017-1(SI)	1	\$1,000	\$1,000	\$853	02/21/2018	

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NYA 2017-2(FCS)	1	\$5,000	\$5,000	\$5,000	07/12/2018	
NYA 2017-3(FCS)	1	\$5,000	\$5,000	\$5,000	07/10/2018	
NYSW 2017-3(SA)	1	\$5,000	\$5,000	\$3,000	07/02/2018	
NYSW 2017-4(SA)	1	\$2,500	\$2,500	\$2,000	07/02/2018	
NYSW 2017-5(SA)	1	\$5,000	\$5,000	\$3,000	07/02/2018	
NYSW 2018-1(SA)	1	\$2,500	\$2,500	\$1,750	07/02/2018	
NYSW 2018-2(LI)	1	\$2,500	\$2,500	\$1,750	07/02/2018	
OCTL 2016-1(GC)	4	\$10,000	\$0	\$0	05/14/2018	Case Terminated.
OCTL 2017-1(GC)	2	\$5,000	\$5,000	\$2,500	05/14/2018	
OCTL 2017-2(GC)	3	\$6,000	\$6,000	\$3,375	05/14/2018	
OCTL 2017-3(GC)	1	\$2,500	\$2,500	\$1,500	05/14/2018	
OERR 2017-1(SA)	1	\$5,000	\$5,000	\$3,250	02/15/2018	
OHCR 2017-1(SA)	1	\$2,500	\$2,500	\$1,950	09/27/2018	
OHCR 2017-2(SA)	1	\$2,500	\$2,500	\$1,950	09/27/2018	
OHIO 2018-1(HMT)	1	\$2,000	\$2,000	\$1,275	07/26/2018	
OMTX 2017-1(AD)	3	\$10,000	\$10,000	\$8,000	02/20/2018	
OMTX 2017-2(AD)	3	\$7,500	\$7,500	\$6,000	02/20/2018	
PAL 2018-1(ROR)	3	\$26,500	\$26,500	\$15,900	05/11/2018	
PAS 2017-7(TS)	1	\$5,000	\$5,000	\$3,800	09/11/2018	
PAS 2017-8(TS)	2	\$2,000	\$2,000	\$1,850	09/11/2018	
PAS 2017-9(TS)	1	\$1,000	\$1,000	\$1,000	09/11/2018	
PAS 2017-10(SA)	1	\$5,000	\$5,000	\$3,750	09/11/2018	
PAS 2017-11(TS)	1	\$5,000	\$5,000	\$4,500	09/11/2018	
PAS 2018-1(SA)	1	\$5,000	\$5,000	\$4,500	09/11/2018	
PAS 2018-2(TS)	1	\$1,000	\$1,000	\$1,000	09/11/2018	
PAS 2018-3(TS)	1	\$1,000	\$1,000	\$1,000	09/11/2018	
PAS 2018-4(TS)	1	\$5,000	\$5,000	\$3,800	09/11/2018	
PAS 2018-5(TS)	1	\$1,000	\$1,000	\$1,000	09/11/2018	
PAS 2018-6(TS)	1	\$5,000	\$5,000	\$3,800	09/11/2018	
PAS 2018-7(LI)	1	\$2,500	\$2,500	\$1,850	09/11/2018	
PCC 2017-1(SA)	1	\$5,000	\$5,000	\$3,900	09/24/2018	
PCJX 2012-1(SI)	1	\$1,000	\$0	\$0	05/31/2018	Case Terminated.
PCJX 2015-1(GC)	1	\$5,000	\$5,000	\$3,750	05/31/2018	
PCJX 2016-1(SI)	2	\$6,000	\$6,000	\$4,750	05/31/2018	
PCJX 2018-1(ROP)	1	\$7,500	\$7,500	\$5,250	05/31/2018	
PNWR 2017-4(SA)	1	\$5,000	\$5,000	\$4,000	09/27/2018	
PNWR 2017-5(ROP)	1	\$9,500	\$9,500	\$7,410	09/27/2018	
PNWR 2017-6(ROP)	1	\$7,500	\$7,500	\$5,700	09/27/2018	
PNWR 2017-7(TS)	2	\$3,500	\$3,500	\$2,660	09/27/2018	
PNWR 2017-8(LI)	1	\$2,500	\$2,500	\$1,975	09/27/2018	
PNWR 2017-9(SA)	1	\$2,500	\$2,500	\$1,975	09/27/2018	
PNWR 2017-10(SA)	1	\$5,000	\$5,000	\$4,000	09/27/2018	
PNWR 2017-11(SA)	1	\$5,000	\$5,000	\$4,000	09/27/2018	
PNWR 2017-12(SA)	1	\$5,000	\$5,000	\$4,000	09/27/2018	
PNWR 2017-13(FCS)	1	\$5,000	\$5,000	\$4,000	09/27/2018	
PNWR 2017-14(FCS)	1	\$5,000	\$5,000	\$4,000	09/27/2018	
PNWR 2017-15(FCS)	1	\$5,000	\$5,000	\$4,000	09/27/2018	
PNWR 2017-16(SA)	1	\$5,000	\$5,000	\$4,000	09/27/2018	
PNWR 2017-17(SA)	1	\$5,000	\$5,000	\$4,000	09/27/2018	



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PNWR 2017-18(ROP)	1	\$2,000	\$2,000	\$1,600	09/27/2018	
PNWR 2017-19(SA)	1	\$5,000	\$5,000	\$4,000	09/27/2018	
PNWR 2018-1(ROP)	1	\$7,500	\$7,500	\$5,700	09/27/2018	
PNWR 2018-2(SA)	1	\$2,500	\$2,500	\$1,975	09/27/2018	
PNWR 2018-3(SA)	1	\$2,500	\$2,500	\$1,975	09/27/2018	
PR 2015-1(AD)	1	\$2,500	\$2,500	\$1,000	08/20/2018	
PR 2016-1(SA)	4	\$20,000	\$20,000	\$4,000	08/20/2018	
PR 2016-2(AD)	1	\$2,500	\$2,500	\$1,000	08/20/2018	
PR 2018-1(ROP)	1	\$2,000	\$0	\$0	08/20/2018	Case Terminated.
PSRM 2016-1(AD)	26	\$65,000	\$0	\$0	11/02/2017	Case Terminated.
PW 2017-3(TS)	39	\$87,000	\$87,000	\$55,310	09/27/2018	
PW 2017-5(LI)	1	\$2,500	\$2,500	\$1,900	09/27/2018	
PW 2017-6(TH)	1	\$5,000	\$5,000	\$3,950	09/27/2018	
PW 2017-7(ROP)	1	\$7,500	\$7,500	\$5,700	09/27/2018	
PW 2018-1(LI)	1	\$2,500	\$2,500	\$1,950	09/27/2018	
PW 2018-2(LI)	1	\$2,500	\$2,500	\$1,950	09/27/2018	
RJCP 2017-1(AR)	1	\$2,500	\$2,500	\$2,125	04/17/2018	
RJCP 2017-2(AR)	1	\$2,500	\$2,500	\$2,125	04/17/2018	
RJCP 2017-3(AR)	1	\$2,500	\$2,500	\$2,125	04/17/2018	
RJCP 2017-4(RW)	1	\$3,000	\$3,000	\$2,550	04/17/2018	
SAPT 2017-2(AD)	1	\$2,500	\$2,500	\$1,950	09/27/2018	
SAPT 2017-3(AD)	1	\$2,500	\$2,500	\$1,950	09/27/2018	
SBG 2016-1(HMT)	1	\$2,500	\$2,500	\$1,800	04/02/2018	
SBG 2016-2(HMT)	2	\$5,000	\$5,000	\$3,500	04/02/2018	
SCAX 2017-3(AR)	1	\$2,500	\$2,500	\$1,500	11/16/2017	
SCAX 2017-4(AR)	1	\$1,000	\$1,000	\$853	12/08/2017	
SCAX 2017-5(ROP)	1	\$7,500	\$7,500	\$5,100	12/08/2017	
SCAX 2017-6(HS)	1	\$1,000	\$1,000	\$853	12/08/2017	
SCAX 2017-7(ROR)	1	\$7,500	\$7,500	\$5,400	12/08/2017	
SCAX 2017-8(ROR)	1	\$7,500	\$7,500	\$5,625	01/29/2018	
SCAX 2017-9(ROR)	1	\$9,500	\$9,500	\$7,125	01/29/2018	
SCAX 2017-10(RSP)	1	\$9,500	\$9,500	\$6,175	01/29/2018	
SCAX 2018-1(PEQ)	1	\$1,000	\$1,000	\$853	04/18/2018	
SCAX 2018-2(TS)	1	\$2,500	\$2,500	\$1,750	05/02/2018	
SCAX 2018-3(LI)	1	\$2,500	\$2,500	\$1,750	05/24/2018	
SCAX 2018-4(PEQ)	1	\$2,500	\$2,500	\$1,875	09/18/2018	
SCCT 2017-1(GC)	1	\$2,500	\$2,500	\$2,500	05/23/2018	
SCIH 2017-1(AD)	1	\$2,500	\$2,500	\$1,625	04/20/2018	
SCX 2016-3(AR)	1	\$2,500	\$2,500	\$1,500	04/25/2018	
SCX 2017-1(TS)	11	\$11,000	\$11,000	\$9,900	04/25/2018	
SCX 2017-2(TS)	12	\$84,000	\$84,000	\$55,200	04/25/2018	
SCX 2017-3(RMM)	1	\$2,000	\$2,000	\$1,300	04/25/2018	
SDTI 2017-1(GC)	1	\$2,500	\$2,500	\$2,500	05/23/2018	
SEPA 2017-2(SI)	1	\$1,000	\$1,000	\$853	11/13/2017	
SEPA 2017-3(RW)	1	\$5,000	\$5,000	\$4,250	12/21/2017	
SEPA 2018-1(ROP)	1	\$2,000	\$2,000	\$1,500	04/20/2018	
SEPA 2018-3(GC)	1	\$5,000	\$5,000	\$3,750	08/01/2018	
SFRV 2015-4(GC)	1	\$5,000	\$5,000	\$5,000	05/18/2018	
SFRV 2016-1(TS)	1	\$2,500	\$2,500	\$1,700	05/18/2018	

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SFRV 2017-2(GC)	1	\$5,000	\$5,000	\$5,000	05/18/2018	
SFRV 2017-3(TS)	1	\$5,000	\$5,000	\$3,500	05/18/2018	
SFRV 2017-4(GC)	1	\$5,000	\$5,000	\$5,000	05/18/2018	
SFRV 2018-1(TS)	1	\$2,500	\$2,500	\$1,750	05/18/2018	
SGSC 2017-1(AD)	1	\$2,500	\$2,500	\$2,500	01/22/2018	
SIRS 2016-1(SA)	1	\$5,000	\$5,000	\$3,500	05/24/2018	
SIRS 2016-2(SA)	1	\$5,000	\$5,000	\$3,400	05/24/2018	
SIRS 2016-3(LI)	1	\$2,500	\$2,500	\$1,675	05/24/2018	
SIRS 2016-4(LI)	1	\$2,500	\$2,500	\$1,675	05/24/2018	
SIRS 2016-5(ROP)	1	\$7,500	\$7,500	\$4,500	05/24/2018	
SJVR 2017-3(SA)	1	\$5,000	\$5,000	\$3,950	09/27/2018	
SJVR 2018-1(SA)	1	\$5,000	\$5,000	\$3,950	09/27/2018	
SKOL 2017-9(RW)	1	\$2,000	\$2,000	\$1,400	09/24/2018	
SKOL 2017-10(TS)	8	\$8,000	\$8,000	\$6,880	09/24/2018	
SKOL 2017-11(TS)	3	\$3,000	\$3,000	\$2,850	09/24/2018	
SKOL 2017-12(TS)	1	\$1,000	\$1,000	\$950	09/24/2018	
SKOL 2017-13(TS)	2	\$5,000	\$5,000	\$3,250	09/24/2018	
SKOL 2017-14(TS)	1	\$5,000	\$5,000	\$3,250	09/24/2018	
SKOL 2017-15(TS)	2	\$10,000	\$10,000	\$7,000	09/24/2018	
SKOL 2017-16(SA)	1	\$5,000	\$5,000	\$3,750	09/24/2018	
SKOL 2017-17(FCS)	1	\$5,000	\$5,000	\$3,200	09/24/2018	
SKOL 2017-18(TS)	1	\$5,000	\$5,000	\$3,250	09/24/2018	
SKOL 2017-19(TS)	1	\$5,000	\$5,000	\$3,500	09/24/2018	
SKOL 2017-20(TS)	1	\$1,000	\$1,000	\$950	09/24/2018	
SKOL 2017-21(TS)	1	\$2,500	\$2,500	\$1,750	09/24/2018	
SKOL 2017-22(TS)	2	\$7,500	\$7,500	\$5,500	09/24/2018	
SKOL 2018-1(GC)	1	\$5,000	\$5,000	\$3,500	09/24/2018	
SKOL 2018-2(TS)	1	\$5,000	\$5,000	\$3,500	09/24/2018	
SLC 2017-1(TS)	1	\$5,000	\$5,000	\$3,250	05/03/2018	
SLC 2017-2(TS)	1	\$2,500	\$2,500	\$1,625	05/03/2018	
SLC 2017-3(TS)	1	\$5,000	\$5,000	\$3,400	05/03/2018	
SLGW 2017-1(SA)	1	\$5,000	\$5,000	\$5,000	09/12/2018	
SLGW 2017-2(ROP)	1	\$9,500	\$9,500	\$5,000	09/12/2018	
SLGW 2017-3(SA)	1	\$5,000	\$5,000	\$5,000	09/12/2018	
SLGW 2017-4(ROP)	1	\$9,500	\$9,500	\$9,500	09/12/2018	
SLR 2017-1(AR)	3	\$7,500	\$7,500	\$5,400	09/27/2018	
SLRG 2016-16(GC)	1	\$5,000	\$5,000	\$3,500	04/25/2018	
SLRG 2016-17(GC)	1	\$5,000	\$5,000	\$3,500	04/25/2018	
SLRG 2017-1(GC)	1	\$2,500	\$2,500	\$1,800	04/25/2018	
SLRG 2017-2(GC)	1	\$2,500	\$2,500	\$1,800	04/25/2018	
SLRG 2017-3(TS)	2	\$7,500	\$7,500	\$5,600	04/25/2018	
SLRG 2017-4(GC)	1	\$5,000	\$5,000	\$3,500	04/25/2018	
SLRG 2017-5(GC)	12	\$12,000	\$12,000	\$10,800	04/25/2018	
SLRG 2017-6(GC)	1	\$1,000	\$1,000	\$900	04/25/2018	
SLRG 2017-7(GC)	5	\$25,000	\$2,500	\$2,500	04/25/2018	Partially Terminated Violation(s): 1.
SLRG 2017-8(GC)	10	\$25,000	\$25,000	\$18,000	04/25/2018	
SLRG 2017-9(GC)	10	\$25,000	\$25,000	\$18,000	04/25/2018	
SLRG 2017-10(GC)	10	\$25,000	\$25,000	\$18,000	04/25/2018	
SLRG 2017-11(GC)	10	\$25,000	\$25,000	\$18,000	04/25/2018	

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SLRG 2017-12(TS)	6	\$9,000	\$9,000	\$6,800	04/25/2018	
SLRG 2017-13(HSR)	1	\$1,000	\$1,000	\$920	04/25/2018	
SLRG 2017-14(TS)	1	\$5,000	\$5,000	\$3,800	04/25/2018	
SLRG 2017-15(TS)	1	\$2,500	\$2,500	\$1,800	04/25/2018	
SLRG 2017-16(TS)	1	\$5,000	\$5,000	\$3,950	04/25/2018	
SLRG 2017-17(TS)	1	\$2,500	\$2,500	\$1,800	04/25/2018	
SLRG 2018-1(GC)	1	\$1,000	\$1,000	\$920	04/25/2018	
SLRG 2018-2(GC)	1	\$1,000	\$1,000	\$900	04/25/2018	
SLRG 2018-3(GC)	12	\$12,000	\$12,000	\$10,800	04/25/2018	
SLRG 2018-4(TS)	1	\$5,000	\$5,000	\$3,750	04/25/2018	
SLRG 2018-5(TS)	3	\$15,000	\$15,000	\$11,400	04/25/2018	
SLRG 2018-6(TS)	10	\$25,000	\$25,000	\$18,000	04/25/2018	
SLWC 2017-1(SA)	1	\$10,000	\$10,000	\$8,000	09/24/2018	
SLWC 2017-2(LI)	1	\$2,500	\$2,500	\$1,800	09/24/2018	
SLWC 2017-3(LI)	1	\$2,500	\$2,500	\$2,000	09/24/2018	
SLWC 2017-4(LI)	1	\$2,500	\$2,500	\$2,000	09/24/2018	
SLWC 2017-5(TS)	1	\$5,000	\$5,000	\$3,500	09/24/2018	
SLWC 2017-6(TS)	1	\$1,000	\$1,000	\$950	09/24/2018	
SLWC 2017-7(TS)	3	\$6,000	\$6,000	\$4,275	09/24/2018	
SLWC 2017-8(TS)	1	\$2,500	\$2,500	\$1,750	09/24/2018	
SLWC 2017-9(TS)	2	\$5,000	\$5,000	\$3,250	09/24/2018	
SM 2017-1(GC)	1	\$1,000	\$1,000	\$1,000	05/21/2018	
SMRT 2017-1(GC)	1	\$2,500	\$2,500	\$2,500	05/23/2018	
SMRT 2017-3(GC)	2	\$3,500	\$3,500	\$3,500	05/23/2018	
SMRT 2018-2(GC)	1	\$2,500	\$2,500	\$2,500	02/08/2018	
SNC 2016-5(SA)	1	\$5,000	\$5,000	\$3,650	04/25/2018	
SOU 2014-181(FCS)	1	\$2,500	\$2,500	\$1,325	09/28/2018	
SOU 2014-238(FCS)	2	\$4,000	\$4,000	\$2,700	09/28/2018	
SOU 2017-34(GC)	1	\$2,500	\$2,500	\$839	09/28/2018	
SOU 2017-35(GC)	1	\$2,500	\$2,500	\$839	09/28/2018	
SOU 2017-36(GC)	1	\$2,500	\$2,500	\$839	09/28/2018	
SOU 2017-37(GC)	1	\$2,500	\$2,500	\$839	09/28/2018	
SOU 2017-38(GC)	1	\$2,500	\$2,500	\$839	09/28/2018	
SOU 2017-39(GC)	1	\$2,500	\$2,500	\$839	09/28/2018	
SOU 2017-40(GC)	1	\$2,500	\$2,500	\$839	09/28/2018	
SOU 2017-41(GC)	1	\$2,500	\$2,500	\$839	09/28/2018	
SOU 2017-42(GC)	1	\$2,500	\$2,500	\$839	09/28/2018	
SOU 2017-43(GC)	1	\$2,500	\$2,500	\$839	09/28/2018	
SOU 2017-44(GC)	1	\$2,500	\$2,500	\$839	09/28/2018	
SOU 2017-56(LI)	4	\$4,000	\$4,000	\$3,356	09/28/2018	
SOU 2017-58(TS)	2	\$5,000	\$5,000	\$3,900	09/28/2018	
SOU 2017-60(TS)	1	\$2,500	\$2,500	\$1,950	09/28/2018	
SOU 2017-62(RW)	1	\$5,000	\$5,000	\$5,000	09/28/2018	
SOU 2017-63(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2018	
SOU 2017-64(AR)	1	\$1,000	\$1,000	\$875	09/28/2018	
SOU 2017-65(EP)	1	\$1,000	\$1,000	\$875	09/28/2018	
SOU 2017-66(HMT)	3	\$15,000	\$15,000	\$11,250	09/28/2018	
SOU 2017-67(SI)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
SOU 2017-68(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2018	

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SOU 2017-69(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-70(FCS)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
SOU 2017-71(FCS)	2	\$5,000	\$5,000	\$3,500	09/28/2018	
SOU 2017-72(FCS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-73(FCS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-74(TS)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
SOU 2017-75(TS)	3	\$6,000	\$6,000	\$4,650	09/28/2018	
SOU 2017-76(TS)	3	\$10,000	\$10,000	\$7,500	09/28/2018	
SOU 2017-77(LI)	1	\$2,500	\$2,500	\$1,700	09/28/2018	
SOU 2017-78(LI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-79(TS)	1	\$1,000	\$1,000	\$839	09/28/2018	
SOU 2017-80(FCS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-81(FCS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-82(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
SOU 2017-83(SA)	1	\$5,000	\$5,000	\$3,550	09/28/2018	
SOU 2017-84(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2018	
SOU 2017-85(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2018	
SOU 2017-86(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2018	
SOU 2017-87(ROP)	1	\$7,500	\$7,500	\$5,700	09/28/2018	
SOU 2017-88(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
SOU 2017-89(SA)	1	\$5,000	\$5,000	\$3,550	09/28/2018	
SOU 2017-90(AR)	1	\$1,000	\$1,000	\$875	09/28/2018	
SOU 2017-91(AR)	1	\$2,500	\$1,000	\$853	09/28/2018	Partially Terminated Violation(s): 1.
SOU 2017-92(ROP)	1	\$7,500	\$7,500	\$6,225	09/28/2018	
SOU 2017-93(FCS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-94(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-95(ROP)	1	\$5,000	\$5,000	\$4,250	09/28/2018	
SOU 2017-96(SA)	2	\$7,500	\$7,500	\$5,175	09/28/2018	
SOU 2017-97(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2018	
SOU 2017-98(AR)	1	\$1,000	\$1,000	\$875	09/28/2018	
SOU 2017-99(AR)	1	\$2,500	\$1,000	\$875	09/28/2018	Partially Terminated Violation(s): 1.
SOU 2017-100(AR)	1	\$1,000	\$1,000	\$875	09/28/2018	
SOU 2017-102(AR)	1	\$1,000	\$1,000	\$875	09/28/2018	
SOU 2017-103(ROP)	1	\$2,000	\$2,000	\$1,650	09/28/2018	
SOU 2017-104(HS)	1	\$1,000	\$1,000	\$853	09/28/2018	
SOU 2017-105(HS)	1	\$1,000	\$1,000	\$853	09/28/2018	
SOU 2017-106(HS)	1	\$1,000	\$1,000	\$853	09/28/2018	
SOU 2017-107(HS)	1	\$1,000	\$1,000	\$853	09/28/2018	
SOU 2017-108(AR)	1	\$1,000	\$1,000	\$875	09/28/2018	
SOU 2017-109(ROP)	1	\$5,000	\$5,000	\$4,150	09/28/2018	
SOU 2017-110(RW)	1	\$5,000	\$5,000	\$4,500	09/28/2018	
SOU 2017-111(TS)	2	\$6,000	\$6,000	\$4,650	09/28/2018	
SOU 2017-113(LI)	1	\$2,500	\$2,500	\$1,375	09/28/2018	
SOU 2017-114(LI)	1	\$2,500	\$2,500	\$1,700	09/28/2018	
SOU 2017-115(HMT)	1	\$1,000	\$1,000	\$750	09/28/2018	
SOU 2017-116(HMT)	1	\$4,000	\$4,000	\$2,550	09/28/2018	
SOU 2017-117(TS)	1	\$5,000	\$5,000	\$4,000	09/28/2018	
SOU 2017-118(HS)	1	\$1,000	\$1,000	\$853	09/28/2018	

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SOU 2017-119(AR)	1	\$2,500	\$1,000	\$875	09/28/2018	Partially Terminated Violation(s): 1.
SOU 2017-120(AR)	1	\$1,000	\$1,000	\$875	09/28/2018	
SOU 2017-121(ROP)	1	\$5,000	\$5,000	\$4,050	09/28/2018	
SOU 2017-122(AR)	1	\$1,000	\$1,000	\$853	09/28/2018	
SOU 2017-123(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2018	
SOU 2017-124(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-125(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-126(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-127(ROP)	1	\$7,500	\$7,500	\$5,850	09/28/2018	
SOU 2017-128(LI)	1	\$2,500	\$2,500	\$1,700	09/28/2018	
SOU 2017-129(ROP)	1	\$5,000	\$5,000	\$4,050	09/28/2018	
SOU 2017-130(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-131(SA)	2	\$5,000	\$5,000	\$3,400	09/28/2018	
SOU 2017-132(AR)	1	\$1,000	\$1,000	\$875	09/28/2018	
SOU 2017-133(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2018	
SOU 2017-134(SA)	1	\$2,500	\$2,500	\$1,775	09/28/2018	
SOU 2017-135(AR)	1	\$2,500	\$1,000	\$875	09/28/2018	Partially Terminated Violation(s): 1.
SOU 2017-136(SA)	1	\$5,000	\$5,000	\$3,600	09/28/2018	
SOU 2017-137(AR)	1	\$1,000	\$1,000	\$853	09/28/2018	
SOU 2017-138(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
SOU 2017-139(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
SOU 2017-140(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
SOU 2017-141(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
SOU 2017-142(FCS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-143(SA)	1	\$10,000	\$10,000	\$7,250	09/28/2018	
SOU 2017-144(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
SOU 2017-145(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
SOU 2017-146(AR)	1	\$1,000	\$1,000	\$853	09/28/2018	
SOU 2017-147(AR)	1	\$1,000	\$1,000	\$853	09/28/2018	
SOU 2017-148(AR)	1	\$1,000	\$1,000	\$853	09/28/2018	
SOU 2017-149(ROP)	1	\$5,000	\$5,000	\$4,050	09/28/2018	
SOU 2017-150(FCS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-151(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2018	
SOU 2017-152(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2018	
SOU 2017-153(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2018	
SOU 2017-154(ROP)	1	\$7,500	\$7,500	\$6,000	09/28/2018	
SOU 2017-155(ROP)	1	\$7,500	\$7,500	\$6,225	09/28/2018	
SOU 2017-157(TS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-158(GC)	1	\$5,000	\$5,000	\$4,100	09/28/2018	
SOU 2017-159(GC)	1	\$5,000	\$5,000	\$4,100	09/28/2018	
SOU 2017-160(RW)	1	\$3,000	\$3,000	\$2,725	09/28/2018	
SOU 2017-161(HMT)	1	\$5,000	\$5,000	\$4,000	09/28/2018	
SOU 2017-162(LI)	3	\$10,000	\$10,000	\$6,900	09/28/2018	
SOU 2017-163(TS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-164(GC)	1	\$1,000	\$1,000	\$853	09/28/2018	
SOU 2017-165(GC)	1	\$2,500	\$2,500	\$2,175	09/28/2018	
SOU 2017-166(RW)	1	\$1,000	\$1,000	\$853	09/28/2018	
SOU 2017-167(GC)	1	\$5,000	\$5,000	\$4,250	09/28/2018	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
SOU 2017-168(TS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
SOU 2017-169(LI)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
SOU 2017-170(LI)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
SOU 2017-171(TS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
SOU 2017-172(TS)	2	\$5,000	\$5,000	\$3,750	09/28/2018	
SOU 2017-173(TS)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
SOU 2017-174(TS)	2	\$6,000	\$6,000	\$4,550	09/28/2018	
SOU 2017-175(HS)	1	\$1,000	\$1,000	\$853	09/28/2018	
SOU 2017-176(HS)	1	\$1,000	\$1,000	\$853	09/28/2018	
SOU 2017-177(HS)	1	\$1,000	\$1,000	\$853	09/28/2018	
SOU 2017-178(HS)	1	\$1,000	\$1,000	\$853	09/28/2018	
SOU 2017-179(HS)	1	\$1,000	\$1,000	\$853	09/28/2018	
SOU 2017-180(HS)	1	\$1,000	\$1,000	\$853	09/28/2018	
SOU 2017-181(HMT)	1	\$1,000	\$1,000	\$500	09/28/2018	
SOU 2017-182(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
SOU 2017-184(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2018	
SOU 2017-185(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2018	
SOU 2017-186(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-187(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-188(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
SOU 2017-189(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
SOU 2017-190(FCS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-191(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2018	
SOU 2017-192(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2018	
SOU 2017-193(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2018	
SOU 2017-194(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-195(FCS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-196(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-197(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
SOU 2017-198(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
SOU 2017-199(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
SOU 2017-200(GC)	1	\$2,500	\$2,500	\$2,175	09/28/2018	
SOU 2017-201(ROP)	1	\$2,000	\$2,000	\$1,700	09/28/2018	
SOU 2017-202(TS)	1	\$2,500	\$2,500	\$2,000	09/28/2018	
SOU 2017-203(TS)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
SOU 2017-204(FCS)	1	\$5,000	\$5,000	\$3,450	09/28/2018	
SOU 2017-205(TS)	20	\$37,000	\$37,000	\$27,000	09/28/2018	
SOU 2017-206(TS)	2	\$2,000	\$2,000	\$1,550	09/28/2018	
SOU 2017-207(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
SOU 2017-208(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-209(FCS)	1	\$5,000	\$5,000	\$3,400	09/28/2018	
SOU 2017-210(FCS)	1	\$5,000	\$0	\$0	09/28/2018	Case Terminated.
SOU 2017-211(LI)	2	\$4,000	\$4,000	\$2,625	09/28/2018	
SOU 2017-212(LI)	1	\$2,500	\$2,500	\$1,950	09/28/2018	
SOU 2017-213(LI)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
SOU 2017-214(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2018	
SOU 2017-215(SI)	1	\$1,000	\$1,000	\$950	09/28/2018	
SOU 2017-216(ROP)	1	\$7,500	\$7,500	\$6,375	09/28/2018	
SOU 2017-217(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
SOU 2017-218(SA)	1	\$2,500	\$2,500	\$1,700	09/28/2018	
SOU 2017-219(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
SOU 2017-220(LI)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
SOU 2017-221(LI)	1	\$2,500	\$2,500	\$1,950	09/28/2018	
SOU 2017-222(LI)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
SOU 2017-223(LI)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
SOU 2017-224(HMT)	1	\$6,000	\$6,000	\$4,600	09/28/2018	
SOU 2017-225(HMT)	1	\$2,000	\$2,000	\$1,625	09/28/2018	
SOU 2017-226(LI)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
SOU 2017-227(TS)	1	\$5,000	\$5,000	\$3,900	09/28/2018	
SOU 2017-228(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2018	
SOU 2017-229(LI)	3	\$4,500	\$4,500	\$3,456	09/28/2018	
SOU 2017-230(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
SOU 2017-231(SI)	1	\$1,000	\$1,000	\$950	09/28/2018	
SOU 2017-232(FCS)	1	\$5,000	\$5,000	\$3,425	09/28/2018	
SOU 2017-233(FCS)	1	\$2,500	\$2,500	\$1,900	09/28/2018	
SOU 2017-234(ROP)	1	\$2,000	\$0	\$0	09/28/2018	Case Terminated.
SOU 2017-235(SA)	1	\$5,000	\$5,000	\$5,000	09/28/2018	
SOU 2017-236(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
SOU 2017-237(ROP)	1	\$5,000	\$5,000	\$4,250	09/28/2018	
SOU 2017-238(ROP)	1	\$5,000	\$5,000	\$4,250	09/28/2018	
SOU 2017-239(AR)	1	\$1,000	\$1,000	\$853	09/28/2018	
SOU 2017-240(ROP)	1	\$9,500	\$9,500	\$7,950	09/28/2018	
SOU 2017-241(ROP)	1	\$9,500	\$9,500	\$7,950	09/28/2018	
SOU 2017-242(AR)	1	\$1,000	\$0	\$0	09/28/2018	Case Terminated.
SOU 2017-243(CC)	1	\$1,000	\$1,000	\$875	09/28/2018	
SOU 2017-244(TS)	1	\$5,000	\$5,000	\$3,800	09/28/2018	
SOU 2017-245(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2018	
SOU 2017-246(TS)	1	\$5,000	\$5,000	\$3,900	09/28/2018	
SOU 2017-247(SA)	5	\$20,000	\$20,000	\$13,800	09/28/2018	
SOU 2017-248(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
SOU 2017-249(SA)	1	\$5,000	\$5,000	\$3,550	09/28/2018	
SOU 2017-250(FCS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-251(FCS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-252(HMT)	2	\$7,000	\$7,000	\$5,275	09/28/2018	
SOU 2017-253(LI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-254(GC)	6	\$30,000	\$10,000	\$10,000	09/28/2018	Partially Terminated Violation(s): 1.
SOU 2017-255(LI)	1	\$2,500	\$2,500	\$2,050	09/28/2018	
SOU 2017-256(TS)	1	\$2,500	\$2,500	\$2,000	09/28/2018	
SOU 2017-257(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-258(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-259(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
SOU 2017-260(HMT)	4	\$26,500	\$26,500	\$19,700	09/28/2018	
SOU 2017-261(LI)	1	\$2,500	\$2,500	\$1,700	09/28/2018	
SOU 2017-262(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2018	
SOU 2017-263(LI)	1	\$1,500	\$1,500	\$1,200	09/28/2018	
SOU 2017-264(LI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-265(SA)	1	\$2,500	\$2,500	\$1,775	09/28/2018	
SOU 2017-266(RW)	1	\$2,000	\$2,000	\$853	09/28/2018	

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SOU 2017-267(TS)	1	\$2,500	\$2,500	\$2,000	09/28/2018	
SOU 2017-268(TS)	1	\$5,000	\$5,000	\$3,900	09/28/2018	
SOU 2017-269(LI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-270(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-271(SA)	3	\$12,500	\$12,500	\$9,375	09/28/2018	
SOU 2017-272(SA)	1	\$2,500	\$2,500	\$2,050	09/28/2018	
SOU 2017-273(HMT)	1	\$3,000	\$3,000	\$1,725	09/28/2018	
SOU 2017-274(TS)	2	\$5,000	\$5,000	\$3,900	09/28/2018	
SOU 2017-275(HMT)	1	\$3,000	\$3,000	\$1,725	09/28/2018	
SOU 2017-276(SI)	1	\$2,500	\$2,500	\$1,950	09/28/2018	
SOU 2017-277(SA)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
SOU 2017-278(TS)	1	\$2,500	\$2,500	\$2,000	09/28/2018	
SOU 2017-279(TS)	1	\$2,500	\$2,500	\$2,000	09/28/2018	
SOU 2017-280(TS)	1	\$2,500	\$2,500	\$2,000	09/28/2018	
SOU 2017-281(HMT)	1	\$5,000	\$5,000	\$4,000	09/28/2018	
SOU 2017-282(GC)	1	\$1,000	\$1,000	\$853	09/28/2018	
SOU 2017-283(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-284(SA)	1	\$5,000	\$2,500	\$2,000	09/28/2018	Partially Terminated Violation(s): 1.
SOU 2017-285(SA)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
SOU 2017-286(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-287(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2018	
SOU 2017-288(LI)	1	\$2,500	\$2,500	\$1,700	09/28/2018	
SOU 2017-289(AR)	1	\$1,000	\$1,000	\$853	09/28/2018	
SOU 2017-290(AR)	1	\$2,000	\$2,000	\$853	09/28/2018	
SOU 2017-291(AR)	1	\$1,000	\$1,000	\$853	09/28/2018	
SOU 2017-292(AR)	1	\$2,000	\$2,000	\$853	09/28/2018	
SOU 2017-293(AR)	1	\$1,000	\$1,000	\$853	09/28/2018	
SOU 2017-294(ROP)	1	\$9,500	\$0	\$0	09/28/2018	Case Terminated.
SOU 2017-295(SA)	1	\$5,000	\$2,500	\$1,900	09/28/2018	Partially Terminated Violation(s): 1.
SOU 2017-296(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
SOU 2017-297(SI)	1	\$2,500	\$2,500	\$1,950	09/28/2018	
SOU 2017-298(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
SOU 2017-299(TS)	1	\$2,500	\$2,500	\$2,050	09/28/2018	
SOU 2017-300(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
SOU 2017-301(FCS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-302(RW)	1	\$2,000	\$2,000	\$1,600	09/28/2018	
SOU 2017-303(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-304(TS)	1	\$2,500	\$2,500	\$2,050	09/28/2018	
SOU 2017-305(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-306(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
SOU 2017-307(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
SOU 2017-308(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
SOU 2017-309(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-310(TS)	1	\$5,000	\$5,000	\$3,800	09/28/2018	
SOU 2017-311(SI)	1	\$1,000	\$1,000	\$900	09/28/2018	
SOU 2017-312(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
SOU 2017-313(HMT)	1	\$4,000	\$4,000	\$2,900	09/28/2018	
SOU 2017-314(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	



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SOU 2017-315(LI)	1	\$2,500	\$2,500	\$1,950	09/28/2018	
SOU 2017-316(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
SOU 2017-317(SA)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
SOU 2017-318(SI)	1	\$2,500	\$2,500	\$1,950	09/28/2018	
SOU 2017-319(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
SOU 2017-320(EQ)	1	\$4,000	\$4,000	\$3,100	09/28/2018	
SOU 2017-321(SA)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
SOU 2017-322(ROP)	1	\$5,000	\$5,000	\$4,150	09/28/2018	
SOU 2017-323(AD)	1	\$2,500	\$2,500	\$1,475	09/28/2018	
SOU 2017-324(AD)	1	\$1,000	\$1,000	\$875	09/28/2018	
SOU 2017-325(SI)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
SOU 2017-326(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-327(FCS)	1	\$5,000	\$5,000	\$3,425	09/28/2018	
SOU 2017-328(ROP)	1	\$7,500	\$7,500	\$6,375	09/28/2018	
SOU 2017-329(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
SOU 2017-330(GC)	1	\$5,000	\$5,000	\$4,000	09/28/2018	
SOU 2017-331(GC)	1	\$5,000	\$5,000	\$4,350	09/28/2018	
SOU 2017-332(SI)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
SOU 2017-333(SA)	2	\$10,000	\$10,000	\$7,000	09/28/2018	
SOU 2017-334(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
SOU 2017-335(SA)	1	\$5,000	\$5,000	\$3,200	09/28/2018	
SOU 2017-336(FCS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-337(FCS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-338(LI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-339(LI)	2	\$5,000	\$5,000	\$3,550	09/28/2018	
SOU 2017-340(LI)	4	\$10,000	\$7,500	\$4,850	09/28/2018	Partially Terminated Violation(s): 3.
SOU 2017-341(LI)	1	\$2,500	\$2,500	\$2,050	09/28/2018	
SOU 2017-342(GC)	1	\$5,000	\$5,000	\$4,100	09/28/2018	
SOU 2017-343(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-344(FCS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-345(FCS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-346(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
SOU 2017-347(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-348(LI)	1	\$2,500	\$2,500	\$2,050	09/28/2018	
SOU 2017-349(LI)	1	\$2,500	\$2,500	\$1,900	09/28/2018	
SOU 2017-350(GC)	1	\$5,000	\$5,000	\$4,250	09/28/2018	
SOU 2017-351(GC)	1	\$5,000	\$5,000	\$4,250	09/28/2018	
SOU 2017-352(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-353(ROP)	2	\$10,000	\$10,000	\$7,800	09/28/2018	
SOU 2017-354(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
SOU 2017-355(SA)	4	\$20,000	\$20,000	\$14,200	09/28/2018	
SOU 2017-356(FCS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-357(FCS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-358(LI)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
SOU 2017-359(LI)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
SOU 2017-360(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-361(FCS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-362(LI)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
SOU 2017-363(LI)	1	\$2,500	\$2,500	\$1,800	09/28/2018	

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SOU 2017-364(ROP)	1	\$9,500	\$9,500	\$8,075	09/28/2018	
SOU 2017-365(LI)	1	\$2,500	\$2,500	\$2,050	09/28/2018	
SOU 2017-366(FCS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-367(FCS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-368(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-369(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-370(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-371(SA)	1	\$5,000	\$0	\$0	09/28/2018	Case Terminated.
SOU 2017-372(SA)	1	\$2,500	\$2,500	\$1,700	09/28/2018	
SOU 2017-373(HMT)	4	\$26,500	\$26,500	\$19,650	09/28/2018	
SOU 2017-374(HMT)	1	\$4,000	\$4,000	\$4,000	09/28/2018	
SOU 2017-375(GC)	1	\$5,000	\$5,000	\$4,750	09/28/2018	
SOU 2017-376(GC)	1	\$5,000	\$0	\$0	09/28/2018	Case Terminated.
SOU 2017-377(TS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-378(TS)	2	\$5,000	\$5,000	\$3,900	09/28/2018	
SOU 2017-379(TS)	3	\$7,500	\$7,500	\$5,625	09/28/2018	
SOU 2017-380(LI)	1	\$2,500	\$2,500	\$1,575	09/28/2018	
SOU 2017-381(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-382(ROP)	1	\$2,000	\$2,000	\$1,650	09/28/2018	
SOU 2017-383(ROP)	1	\$2,000	\$2,000	\$1,650	09/28/2018	
SOU 2017-384(ROP)	2	\$4,000	\$4,000	\$3,200	09/28/2018	
SOU 2017-385(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
SOU 2017-386(HMT)	1	\$2,000	\$2,000	\$1,650	09/28/2018	
SOU 2017-387(SA)	1	\$5,000	\$5,000	\$3,550	09/28/2018	
SOU 2017-388(AD)	1	\$2,500	\$2,500	\$1,750	09/28/2018	
SOU 2017-389(LI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-390(GC)	1	\$1,000	\$1,000	\$853	09/28/2018	
SOU 2017-391(ROP)	1	\$7,500	\$7,500	\$5,850	09/28/2018	
SOU 2017-392(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
SOU 2017-393(ROP)	1	\$7,500	\$7,500	\$5,850	09/28/2018	
SOU 2017-394(HSR)	1	\$1,000	\$1,000	\$853	09/28/2018	
SOU 2017-395(AR)	1	\$1,000	\$1,000	\$875	09/28/2018	
SOU 2017-396(HS)	1	\$1,000	\$1,000	\$853	09/28/2018	
SOU 2017-397(SA)	1	\$5,000	\$5,000	\$3,550	09/28/2018	
SOU 2017-398(LI)	1	\$2,500	\$2,500	\$1,650	09/28/2018	
SOU 2017-399(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-400(HMT)	2	\$12,500	\$12,500	\$7,450	09/28/2018	
SOU 2017-401(ROP)	1	\$7,500	\$7,500	\$6,375	09/28/2018	
SOU 2017-402(FCS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-403(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
SOU 2017-404(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-405(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
SOU 2017-406(FCS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2017-407(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2018-1(FCS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2018-2(AR)	1	\$1,000	\$1,000	\$875	09/28/2018	
SOU 2018-3(AR)	1	\$1,000	\$1,000	\$875	09/28/2018	
SOU 2018-4(ROP)	1	\$7,500	\$7,500	\$6,225	09/28/2018	
SOU 2018-5(ROP)	1	\$5,000	\$5,000	\$4,150	09/28/2018	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
SOU 2018-6(FCS)	1	\$5,000	\$5,000	\$3,425	09/28/2018	
SOU 2018-7(SA)	1	\$5,000	\$5,000	\$3,550	09/28/2018	
SOU 2018-8(SA)	1	\$5,000	\$5,000	\$3,550	09/28/2018	
SOU 2018-9(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
SOU 2018-10(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
SOU 2018-11(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
SOU 2018-12(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
SOU 2018-13(LI)	1	\$2,500	\$2,500	\$2,050	09/28/2018	
SOU 2018-14(LI)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
SOU 2018-15(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
SOU 2018-16(SA)	1	\$2,500	\$2,500	\$1,900	09/28/2018	
SOU 2018-17(SA)	1	\$5,000	\$5,000	\$3,400	09/28/2018	
SOU 2018-18(LI)	1	\$1,500	\$1,500	\$900	09/28/2018	
SOU 2018-19(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2018-20(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
SOU 2018-21(AR)	1	\$1,000	\$1,000	\$853	09/28/2018	
SOU 2018-22(FCS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2018-23(LI)	1	\$1,000	\$1,000	\$853	09/28/2018	
SOU 2018-24(LI)	1	\$2,500	\$2,500	\$1,900	09/28/2018	
SOU 2018-25(SA)	2	\$5,000	\$0	\$0	09/28/2018	Case Terminated.
SOU 2018-26(SA)	1	\$5,000	\$5,000	\$3,700	09/28/2018	
SOU 2018-27(TS)	1	\$2,500	\$2,500	\$2,050	09/28/2018	
SOU 2018-28(GC)	1	\$5,000	\$5,000	\$4,150	09/28/2018	
SOU 2018-29(ROP)	1	\$7,500	\$7,500	\$6,375	09/28/2018	
SOU 2018-30(HMT)	2	\$15,000	\$15,000	\$11,700	09/28/2018	
SOU 2018-31(HMT)	1	\$2,000	\$2,000	\$1,550	09/28/2018	
SOU 2018-32(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
SOU 2018-33(SA)	1	\$5,000	\$5,000	\$3,450	09/28/2018	
SOU 2018-34(LI)	2	\$5,000	\$5,000	\$3,550	09/28/2018	
SOU 2018-35(LI)	2	\$5,000	\$5,000	\$3,900	09/28/2018	
SOU 2018-36(LI)	2	\$5,000	\$5,000	\$3,550	09/28/2018	
SOU 2018-37(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
SOU 2018-38(FCS)	1	\$2,500	\$2,500	\$1,850	09/28/2018	
SOU 2018-39(HS)	1	\$1,000	\$1,000	\$853	09/28/2018	
SOU 2018-40(HS)	1	\$1,000	\$1,000	\$853	09/28/2018	
SOU 2018-41(HS)	1	\$1,000	\$1,000	\$853	09/28/2018	
SOU 2018-42(HS)	1	\$1,000	\$1,000	\$853	09/28/2018	
SOU 2018-43(HS)	1	\$1,000	\$1,000	\$853	09/28/2018	
SOU 2018-44(ROP)	1	\$2,000	\$2,000	\$1,650	09/28/2018	
SOU 2018-45(AR)	1	\$1,000	\$1,000	\$875	09/28/2018	
SOU 2018-46(HS)	1	\$1,000	\$1,000	\$853	09/28/2018	
SOU 2018-47(HS)	1	\$1,000	\$1,000	\$853	09/28/2018	
SOU 2018-48(ROP)	1	\$3,000	\$3,000	\$2,700	09/28/2018	
SOU 2018-49(FCS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2018-50(FCS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2018-51(FCS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2018-52(FCS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2018-53(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
SOU 2018-54(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	

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SOU 2018-55(SA)	1	\$5,000	\$5,000	\$3,450	09/28/2018	
SOU 2018-56(SA)	1	\$5,000	\$5,000	\$3,450	09/28/2018	
SOU 2018-57(SA)	1	\$5,000	\$5,000	\$3,450	09/28/2018	
SOU 2018-58(HSR)	1	\$1,000	\$1,000	\$853	09/28/2018	
SOU 2018-59(LI)	1	\$2,500	\$2,500	\$1,950	09/28/2018	
SOU 2018-60(SI)	1	\$5,000	\$5,000	\$3,600	09/28/2018	
SOU 2018-61(ROP)	1	\$7,500	\$7,500	\$6,375	09/28/2018	
SOU 2018-62(SA)	1	\$5,000	\$5,000	\$3,550	09/28/2018	
SOU 2018-63(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
SOU 2018-64(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2018-65(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2018-66(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2018-67(SA)	2	\$7,500	\$7,500	\$5,275	09/28/2018	
SOU 2018-68(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2018-69(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
SOU 2018-70(SA)	1	\$5,000	\$5,000	\$3,525	09/28/2018	
SOU 2018-71(FCS)	1	\$5,000	\$5,000	\$3,425	09/28/2018	
SOU 2018-72(SA)	1	\$5,000	\$5,000	\$3,550	09/28/2018	
SOU 2018-73(SA)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2018-74(SA)	1	\$5,000	\$5,000	\$3,550	09/28/2018	
SOU 2018-75(SI)	1	\$2,500	\$2,500	\$1,950	09/28/2018	
SOU 2018-76(ROP)	3	\$15,000	\$15,000	\$12,450	09/28/2018	
SOU 2018-77(ROR)	2	\$19,000	\$19,000	\$15,200	09/28/2018	
SOU 2018-78(LI)	1	\$2,500	\$2,500	\$1,950	09/28/2018	
SOU 2018-79(HMT)	2	\$4,000	\$4,000	\$2,750	09/28/2018	
SOU 2018-80(LI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2018-81(EP)	1	\$1,000	\$1,000	\$853	09/28/2018	
SOU 2018-82(LI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2018-83(ROP)	4	\$8,000	\$8,000	\$6,225	09/28/2018	
SOU 2018-84(FCS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2018-85(SA)	1	\$2,500	\$2,500	\$1,900	09/28/2018	
SOU 2018-86(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
SOU 2018-88(TS)	1	\$2,500	\$0	\$0	09/28/2018	Case Terminated.
SOU 2018-89(TS)	2	\$10,000	\$10,000	\$7,500	09/28/2018	
SOU 2018-90(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
SOU 2018-91(FCS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
SOU 2018-92(LI)	1	\$2,500	\$2,500	\$1,950	09/28/2018	
SOU 2018-93(SI)	1	\$2,500	\$2,500	\$1,950	09/28/2018	
SOU 2018-94(LI)	1	\$2,500	\$2,500	\$1,950	09/28/2018	
SOU 2018-95(TS)	1	\$5,000	\$5,000	\$3,900	09/28/2018	
SOU 2018-96(TS)	1	\$5,000	\$5,000	\$4,150	09/28/2018	
SOU 2018-97(FCS)	1	\$2,500	\$2,500	\$1,900	09/28/2018	
SOU 2018-98(ROP)	1	\$2,000	\$2,000	\$1,650	09/28/2018	
SOU 2018-99(HMT)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
SOU 2018-100(SA)	1	\$2,500	\$2,500	\$2,050	09/28/2018	
SOU 2018-101(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
SOU 2018-103(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
SOU 2018-104(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
SOU 2018-105(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	

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SOU 2018-106(GC)	1	\$5,000	\$5,000	\$4,150	09/28/2018	
SOU 2018-107(LI)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
SOU 2018-108(LI)	1	\$2,000	\$2,000	\$1,650	09/28/2018	
SOU 2018-109(HMT)	1	\$5,000	\$5,000	\$2,650	09/28/2018	
SOU 2018-110(RSP)	1	\$9,500	\$9,500	\$8,550	09/28/2018	
SOU 2018-111(GC)	1	\$5,000	\$5,000	\$4,350	09/28/2018	
SOU 2018-112(GC)	1	\$2,500	\$2,500	\$2,225	09/28/2018	
SRN 2017-1(SA)	1	\$5,000	\$5,000	\$5,000	05/23/2018	
SS 2016-1(TS)	3	\$3,000	\$3,000	\$1,950	02/08/2018	
SS 2016-2(RW)	1	\$3,000	\$3,000	\$2,400	02/08/2018	
SS 2016-3(TS)	2	\$2,000	\$2,000	\$1,300	02/08/2018	
ST 2017-4(SA)	1	\$5,000	\$5,000	\$4,500	09/11/2018	
ST 2017-5(ROP)	1	\$7,500	\$7,500	\$6,500	09/11/2018	
ST 2017-6(LI)	1	\$2,500	\$2,500	\$1,850	09/11/2018	
ST 2017-7(SA)	1	\$5,000	\$5,000	\$3,850	09/11/2018	
ST 2017-8(AD)	1	\$5,000	\$5,000	\$4,000	09/11/2018	
ST 2017-9(AD)	1	\$2,500	\$2,500	\$2,000	09/11/2018	
ST 2017-10(SA)	1	\$5,000	\$5,000	\$3,850	09/11/2018	
ST 2018-1(RSP)	1	\$5,000	\$5,000	\$3,750	09/11/2018	
ST 2018-2(SA)	1	\$5,000	\$5,000	\$3,850	09/11/2018	
ST 2018-3(SA)	1	\$2,500	\$2,500	\$1,925	09/11/2018	
STE 2018-1(HSR)	1	\$1,000	\$1,000	\$853	09/18/2018	
SW 2016-18(HSR)	1	\$1,000	\$1,000	\$650	04/23/2018	
SW 2016-20(HS)	3	\$3,000	\$3,000	\$1,950	04/23/2018	
SW 2016-21(HS)	1	\$1,000	\$1,000	\$650	04/23/2018	
SW 2016-23(ROP)	1	\$2,000	\$2,000	\$1,400	04/23/2018	
SW 2016-24(ROP)	1	\$2,000	\$2,000	\$1,400	04/23/2018	
SW 2016-25(ROP)	1	\$7,500	\$7,500	\$5,250	04/23/2018	
SW 2016-26(ROR)	5	\$47,500	\$47,500	\$30,875	04/23/2018	
SW 2016-27(ROP)	1	\$7,500	\$7,500	\$4,875	04/23/2018	
SW 2016-28(SA)	1	\$5,000	\$5,000	\$3,500	04/23/2018	
SW 2016-29(HMT)	1	\$5,000	\$5,000	\$3,500	04/23/2018	
SW 2016-30(AR)	1	\$1,000	\$1,000	\$839	04/23/2018	
SW 2016-31(AR)	1	\$1,000	\$1,000	\$839	04/23/2018	
SW 2016-32(HMT)	1	\$7,500	\$7,500	\$5,250	04/23/2018	
SW 2016-33(TS)	4	\$4,000	\$4,000	\$3,356	04/23/2018	
SW 2016-34(TS)	2	\$5,000	\$5,000	\$3,000	04/23/2018	
SYSI 2017-1(LI)	1	\$2,500	\$2,500	\$1,625	05/24/2018	
TASD 2011-6(RW)	1	\$3,000	\$0	\$0	01/25/2018	Case Terminated.
TASD 2012-1(SA)	1	\$5,000	\$0	\$0	01/25/2018	Case Terminated.
TASD 2012-2(SA)	3	\$15,000	\$0	\$0	01/25/2018	Case Terminated.
TASD 2012-3(SA)	4	\$10,000	\$0	\$0	01/25/2018	Case Terminated.
TASD 2012-4(AD)	2	\$7,500	\$0	\$0	01/25/2018	Case Terminated.
TASD 2015-2(SA)	2	\$10,000	\$10,000	\$7,000	01/24/2018	
TASD 2017-1(TS)	1	\$2,500	\$2,500	\$2,200	01/24/2018	
TASD 2017-2(SA)	1	\$5,000	\$2,500	\$2,500	01/24/2018	Partially Terminated
TASD 2017-3(SA)	1	\$7,500	\$5,000	\$5,000	01/24/2018	Violation(s): 1. Partially Terminated
TASD 2017-4(ROP)	1	\$7,500	\$7,500	\$4,500	01/24/2018	Violation(s): 1.

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TIBR 2017-2(TS)	2	\$7,500	\$7,500	\$5,000	09/24/2018	
TMBL 2017-1(SA)	3	\$12,500	\$12,500	\$7,400	10/03/2017	
TMBL 2017-2(FCS)	1	\$2,500	\$2,500	\$1,400	10/03/2017	
TMBL 2017-3(SA)	2	\$10,000	\$10,000	\$6,850	10/03/2017	
TMBL 2017-4(SA)	1	\$2,500	\$2,500	\$1,350	10/03/2017	
TMBL 2017-5(SA)	2	\$7,500	\$5,000	\$2,500	05/01/2018	Terminated Violation(s): 1.
TMBL 2017-6(SA)	1	\$2,500	\$2,500	\$1,250	05/01/2018	
TMBL 2017-7(FCS)	1	\$2,500	\$2,500	\$1,250	05/01/2018	
TMBL 2017-8(FCS)	1	\$5,000	\$5,000	\$2,500	05/01/2018	
TMBL 2017-9(FCS)	1	\$5,000	\$5,000	\$2,500	05/01/2018	
TMBL 2017-10(FCS)	1	\$5,000	\$5,000	\$2,500	05/01/2018	
TNMR 2015-13(AR)	1	\$1,000	\$0	\$0	03/26/2018	Case Terminated.
TNMR 2015-14(TS)	1	\$5,000	\$0	\$0	03/26/2018	Case Terminated.
TNMR 2015-15(TS)	1	\$2,500	\$0	\$0	03/26/2018	Case Terminated.
TNMR 2016-17(AR)	1	\$2,500	\$2,500	\$1,500	04/25/2018	
TPW 2018-1(LI)	1	\$2,500	\$2,500	\$1,950	09/27/2018	
TPW 2018-2(LI)	1	\$2,500	\$2,500	\$1,950	09/27/2018	
TRC 2016-1(GC)	1	\$1,000	\$1,000	\$1,000	03/29/2018	
TRMW 2018-1(ROP)	1	\$7,500	\$7,500	\$3,750	05/01/2018	
TRRA 2013-1(SA)	3	\$10,000	\$10,000	\$7,000	11/17/2017	
TRRA 2014-4(GC)	1	\$5,000	\$5,000	\$4,000	11/17/2017	
TRRA 2014-5(GC)	1	\$2,500	\$2,500	\$2,000	11/17/2017	
TRRA 2015-2(AD)	1	\$5,000	\$5,000	\$3,000	01/31/2018	
TRRA 2017-3(ROP)	1	\$7,500	\$7,500	\$5,500	11/17/2017	
TRRA 2018-1(FCS)	1	\$5,000	\$5,000	\$3,000	05/03/2018	
TRRA 2018-2(FCS)	1	\$5,000	\$5,000	\$3,000	05/03/2018	
TRRA 2018-3(EQ)	1	\$2,500	\$2,500	\$2,500	05/14/2018	
TRRA 2018-4(FCS)	1	\$2,500	\$2,500	\$2,500	08/24/2018	
TRRA 2018-5(AD)	1	\$2,500	\$2,500	\$2,500	08/16/2018	
TSR 2016-1(AR)	1	\$2,500	\$2,500	\$1,500	04/25/2018	
TSRR 2011-1(TS)	2	\$10,000	\$10,000	\$1,300	11/14/2017	
TSRR 2012-1(TS)	1	\$5,000	\$5,000	\$650	11/14/2017	
TSWS 2017-1(SA)	1	\$5,000	\$5,000	\$5,000	01/12/2018	
TXN 2015-2(AR)	1	\$1,000	\$1,000	\$900	09/24/2018	
TXN 2015-3(TS)	1	\$5,000	\$5,000	\$3,000	09/24/2018	
TXN 2015-4(TS)	1	\$2,500	\$2,500	\$1,900	09/24/2018	
TXN 2018-1(ROP)	1	\$7,500	\$7,500	\$4,750	09/24/2018	
TXN 2018-2(GC)	1	\$2,500	\$2,500	\$2,000	09/24/2018	
TXNW 2018-1(HMT)	1	\$5,000	\$5,000	\$3,250	08/24/2018	
UFRC 2017-5(SI)	2	\$2,000	\$2,000	\$2,000	12/12/2017	
UFRC 2017-6(AD)	2	\$5,000	\$5,000	\$3,500	01/11/2018	
UFRC 2017-7(GC)	1	\$2,500	\$2,500	\$2,500	03/20/2018	
UP 2015-266(TS)	1	\$7,000	\$7,000	\$5,110	09/28/2018	
UP 2015-350(EP)	1	\$1,000	\$1,000	\$650	09/28/2018	
UP 2015-386(ROP)	1	\$7,500	\$0	\$0	09/28/2018	Case Terminated.
UP 2016-63(TS)	10	\$10,000	\$10,000	\$7,500	09/28/2018	
UP 2016-305(GC)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2016-426(TS)	5	\$12,500	\$12,500	\$9,375	09/28/2018	
UP 2016-719(SA)	1	\$5,000	\$0	\$0	09/28/2018	Case Terminated.

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2016-757(SA)	10	\$25,000	\$25,000	\$18,750	09/28/2018	
UP 2016-817(EQ)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2016-823(SI)	8	\$20,000	\$20,000	\$15,400	09/28/2018	
UP 2016-984(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2016-1080(GC)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2016-1110(HMT)	10	\$75,000	\$75,000	\$56,250	09/28/2018	
UP 2017-15(TS)	3	\$15,000	\$15,000	\$10,950	09/28/2018	
UP 2017-44(HMT)	1	\$7,500	\$7,500	\$6,000	09/28/2018	
UP 2017-54(LI)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-59(TS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-64(FCS)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-69(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-74(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-79(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-84(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-89(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-94(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-99(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-104(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-109(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-110(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-114(HS)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-115(HS)	2	\$2,000	\$2,000	\$1,706	09/28/2018	
UP 2017-119(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-120(EP)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-124(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-125(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-129(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-130(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-134(TS)	16	\$40,000	\$40,000	\$32,000	09/28/2018	
UP 2017-139(TS)	10	\$10,000	\$10,000	\$8,000	09/28/2018	
UP 2017-140(TS)	3	\$7,500	\$7,500	\$5,625	09/28/2018	
UP 2017-144(RW)	2	\$4,000	\$4,000	\$3,000	09/28/2018	
UP 2017-149(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-150(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-154(TS)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-155(TS)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-159(TS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-160(ROP)	1	\$9,500	\$9,500	\$7,005	09/28/2018	
UP 2017-164(GC)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-165(HS)	2	\$2,000	\$2,000	\$1,706	09/28/2018	
UP 2017-169(SI)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-170(SI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2017-174(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-175(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-179(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-184(LI)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-185(LI)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-189(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2017-190(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-194(FCS)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-195(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-199(ROP)	1	\$2,000	\$2,000	\$1,455	09/28/2018	
UP 2017-200(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-204(SI)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-205(SI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2017-209(SI)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-214(TS)	3	\$7,500	\$7,500	\$5,625	09/28/2018	
UP 2017-215(TS)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-219(GC)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-220(HMT)	1	\$2,000	\$2,000	\$1,500	09/28/2018	
UP 2017-224(HMT)	1	\$2,000	\$2,000	\$1,500	09/28/2018	
UP 2017-225(HS)	2	\$2,000	\$2,000	\$1,706	09/28/2018	
UP 2017-229(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-230(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-234(HS)	2	\$5,000	\$0	\$0	09/28/2018	Case Terminated.
UP 2017-235(SA)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-239(HMT)	1	\$2,000	\$2,000	\$1,500	09/28/2018	
UP 2017-240(HMT)	1	\$2,000	\$2,000	\$1,500	09/28/2018	
UP 2017-244(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-245(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-249(LI)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-250(HMT)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-254(TS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-255(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-259(AR)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-260(ROP)	1	\$7,500	\$7,500	\$5,525	09/28/2018	
UP 2017-264(ROP)	1	\$2,000	\$2,000	\$1,250	09/28/2018	
UP 2017-265(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-270(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-275(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-279(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-280(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-284(HS)	1	\$1,000	\$0	\$0	09/28/2018	Case Terminated.
UP 2017-285(ROR)	1	\$9,500	\$9,500	\$6,650	09/28/2018	
UP 2017-289(TS)	2	\$7,500	\$7,500	\$5,625	09/28/2018	
UP 2017-290(GC)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-295(TS)	8	\$16,000	\$16,000	\$12,000	09/28/2018	
UP 2017-299(ROP)	1	\$7,500	\$7,500	\$5,525	09/28/2018	
UP 2017-300(ROP)	1	\$9,500	\$9,500	\$7,005	09/28/2018	
UP 2017-304(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-305(HMT)	1	\$4,000	\$4,000	\$3,000	09/28/2018	
UP 2017-309(FCS)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-310(ROP)	2	\$4,000	\$4,000	\$2,500	09/28/2018	
UP 2017-314(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-315(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-319(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-320(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	



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UP 2017-324(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-325(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-329(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-330(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-333(GC)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-334(HSR)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-335(GC)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-338(HSR)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-339(HSR)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-344(LI)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-348(TS)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-349(TS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-352(TS)	2	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-353(TS)	2	\$7,500	\$7,500	\$5,625	09/28/2018	
UP 2017-354(RW)	1	\$2,000	\$2,000	\$1,500	09/28/2018	
UP 2017-358(TS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-360(AR)	3	\$7,500	\$7,500	\$5,325	09/28/2018	
UP 2017-361(AR)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-365(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-366(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-367(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-370(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-371(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-372(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-375(HS)	1	\$1,000	\$0	\$0	09/28/2018	Case Terminated.
UP 2017-376(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-377(ROR)	1	\$9,500	\$9,500	\$6,650	09/28/2018	
UP 2017-380(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-381(EP)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-382(TS)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-383(ROP)	1	\$7,500	\$7,500	\$5,525	09/28/2018	
UP 2017-384(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-385(ROP)	1	\$2,000	\$2,000	\$1,455	09/28/2018	
UP 2017-386(HMT)	1	\$7,500	\$7,500	\$5,625	09/28/2018	
UP 2017-387(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-388(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-389(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-390(CC)	1	\$4,000	\$4,000	\$3,000	09/28/2018	
UP 2017-391(CC)	1	\$4,000	\$4,000	\$3,000	09/28/2018	
UP 2017-392(CC)	1	\$4,000	\$4,000	\$3,000	09/28/2018	
UP 2017-393(CC)	1	\$4,000	\$4,000	\$3,000	09/28/2018	
UP 2017-394(CC)	1	\$4,000	\$4,000	\$3,000	09/28/2018	
UP 2017-395(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-396(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-397(SI)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-398(SI)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-399(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-400(TS)	2	\$10,000	\$10,000	\$7,500	09/28/2018	
UP 2017-401(TS)	1	\$5,000	\$5,000	\$3,750	09/28/2018	

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UP 2017-402(TS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-403(TS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-405(ROP)	1	\$9,500	\$9,500	\$7,125	09/28/2018	
UP 2017-406(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-408(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-409(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-411(SA)	1	\$10,000	\$10,000	\$7,500	09/28/2018	
UP 2017-412(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-413(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-414(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-415(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-416(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-417(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-418(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-419(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-420(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-421(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-422(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-423(HS)	2	\$2,000	\$2,000	\$1,706	09/28/2018	
UP 2017-424(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-425(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-426(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-427(ROP)	1	\$7,500	\$7,500	\$5,525	09/28/2018	
UP 2017-428(ROP)	1	\$2,000	\$2,000	\$1,455	09/28/2018	
UP 2017-429(ROP)	1	\$7,500	\$7,500	\$5,525	09/28/2018	
UP 2017-430(ROP)	1	\$2,000	\$2,000	\$1,455	09/28/2018	
UP 2017-431(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-432(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-433(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-435(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-436(ROP)	1	\$7,500	\$7,500	\$5,525	09/28/2018	
UP 2017-437(ROP)	1	\$9,500	\$9,500	\$7,005	09/28/2018	
UP 2017-438(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-439(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-440(HSR)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-441(TS)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-442(LI)	1	\$2,000	\$2,000	\$1,500	09/28/2018	
UP 2017-443(LI)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-444(LI)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-445(TS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2017-446(LI)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-447(LI)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-448(RW)	1	\$2,000	\$2,000	\$1,500	09/28/2018	
UP 2017-449(TS)	1	\$5,000	\$5,000	\$3,500	09/28/2018	
UP 2017-450(TS)	2	\$10,000	\$10,000	\$7,300	09/28/2018	
UP 2017-451(LI)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-452(LI)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-454(GC)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-455(GC)	1	\$5,000	\$5,000	\$3,750	09/28/2018	

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UP 2017-456(GC)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-457(GC)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-458(TS)	11	\$35,000	\$35,000	\$28,000	09/28/2018	
UP 2017-459(GC)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-460(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-461(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-462(ROP)	1	\$9,500	\$9,500	\$7,125	09/28/2018	
UP 2017-463(HMT)	1	\$2,000	\$2,000	\$1,500	09/28/2018	
UP 2017-464(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-465(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-466(ROP)	1	\$2,000	\$2,000	\$1,455	09/28/2018	
UP 2017-467(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-468(ROP)	1	\$7,500	\$7,500	\$5,525	09/28/2018	
UP 2017-469(LI)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-470(LI)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-471(LI)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-472(RW)	2	\$4,500	\$4,500	\$3,375	09/28/2018	
UP 2017-473(TS)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2017-474(TS)	2	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2017-475(RW)	1	\$3,000	\$3,000	\$2,195	09/28/2018	
UP 2017-476(TS)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2017-477(LI)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-478(GC)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-479(GC)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-480(TS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2017-481(TS)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-482(HMT)	2	\$6,000	\$6,000	\$4,500	09/28/2018	
UP 2017-483(GC)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-484(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-485(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-486(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-487(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-488(FCS)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-489(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-490(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-491(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-492(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-493(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-494(ROP)	1	\$9,500	\$9,500	\$7,005	09/28/2018	
UP 2017-495(ROP)	1	\$9,500	\$9,500	\$7,125	09/28/2018	
UP 2017-496(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-497(LI)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-498(LI)	1	\$2,500	\$2,500	\$1,772	09/28/2018	
UP 2017-499(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-500(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-501(ROP)	1	\$2,000	\$2,000	\$1,455	09/28/2018	
UP 2017-502(ROP)	1	\$2,000	\$2,000	\$1,455	09/28/2018	
UP 2017-503(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-504(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2017-505(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-506(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-507(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-508(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-509(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-510(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-511(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-512(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-513(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-514(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-515(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-516(HMT)	1	\$4,000	\$4,000	\$3,000	09/28/2018	
UP 2017-517(HMT)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-518(ROP)	1	\$7,500	\$7,500	\$5,525	09/28/2018	
UP 2017-519(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-520(LI)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-521(LI)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-522(LI)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-523(LI)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-524(AD)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-525(TS)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2017-526(EP)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-527(EP)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-528(EP)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-529(EP)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-530(EP)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-531(EP)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-533(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-534(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-535(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-536(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-537(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-538(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-539(FCS)	1	\$2,500	\$2,500	\$1,600	09/28/2018	
UP 2017-540(FCS)	1	\$2,500	\$2,500	\$1,600	09/28/2018	
UP 2017-541(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-542(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-543(FCS)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-544(FCS)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-545(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-546(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-547(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-548(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-549(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-550(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-551(ROP)	1	\$5,000	\$5,000	\$3,675	09/28/2018	
UP 2017-552(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-554(LI)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-555(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2017-556(SA)	1	\$2,500	\$2,500	\$2,500	09/28/2018	
UP 2017-557(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-558(HMT)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-559(LI)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-560(LI)	1	\$2,500	\$2,500	\$1,250	09/28/2018	
UP 2017-561(TS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2017-562(TS)	2	\$10,000	\$10,000	\$7,300	09/28/2018	
UP 2017-563(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-564(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-565(FCS)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-566(FCS)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-567(LI)	1	\$1,500	\$1,500	\$1,125	09/28/2018	
UP 2017-568(TS)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2017-569(TS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2017-570(ROP)	1	\$2,000	\$2,000	\$1,455	09/28/2018	
UP 2017-571(ROP)	1	\$2,000	\$2,000	\$1,500	09/28/2018	
UP 2017-572(ROP)	1	\$7,500	\$7,500	\$5,625	09/28/2018	
UP 2017-573(TS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2017-574(LI)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-575(TH)	1	\$5,000	\$5,000	\$3,594	09/28/2018	
UP 2017-576(TS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2017-577(AR)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-578(ROP)	1	\$2,000	\$2,000	\$1,500	09/28/2018	
UP 2017-579(ROP)	1	\$2,000	\$2,000	\$1,500	09/28/2018	
UP 2017-580(ROP)	1	\$9,500	\$5,000	\$5,000	09/28/2018	Partially Terminated Violation(s): 1.
UP 2017-581(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-582(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-583(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-584(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-585(SA)	1	\$5,000	\$5,000	\$3,200	09/28/2018	
UP 2017-586(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-587(HMT)	1	\$15,000	\$15,000	\$11,250	09/28/2018	
UP 2017-588(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-589(TS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2017-590(TS)	1	\$2,500	\$2,500	\$1,725	09/28/2018	
UP 2017-591(TS)	2	\$5,000	\$5,000	\$3,500	09/28/2018	
UP 2017-592(RW)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-594(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-595(HMT)	1	\$7,500	\$7,500	\$5,625	09/28/2018	
UP 2017-596(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-597(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-598(HMT)	2	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-599(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-600(LI)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-601(TS)	1	\$2,500	\$2,500	\$2,250	09/28/2018	
UP 2017-602(TS)	1	\$2,500	\$2,500	\$1,500	09/28/2018	
UP 2017-603(AR)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-604(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-605(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	

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UP 2017-606(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-607(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-608(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-609(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-610(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-611(FCS)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-612(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-613(ROP)	1	\$2,000	\$2,000	\$1,500	09/28/2018	
UP 2017-614(HSR)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-615(HSR)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-616(LI)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-617(HSR)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-618(HS)	2	\$2,000	\$2,000	\$1,706	09/28/2018	
UP 2017-619(HS)	2	\$2,000	\$2,000	\$1,706	09/28/2018	
UP 2017-620(HS)	2	\$2,000	\$2,000	\$1,706	09/28/2018	
UP 2017-622(HS)	2	\$2,000	\$0	\$0	09/28/2018	Case Terminated.
UP 2017-623(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-624(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-625(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-626(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-627(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-628(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-629(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-630(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-631(HMT)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-632(SA)	1	\$2,500	\$2,500	\$2,000	09/28/2018	
UP 2017-633(SA)	1	\$2,500	\$2,500	\$2,000	09/28/2018	
UP 2017-634(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-635(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-636(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-637(ROP)	1	\$9,500	\$5,000	\$4,500	09/28/2018	Partially Terminated Violation(s): 1.
UP 2017-638(ROP)	1	\$2,000	\$2,000	\$1,500	09/28/2018	
UP 2017-639(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-640(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-641(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-642(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-643(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-644(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-645(SA)	1	\$5,000	\$5,000	\$4,000	09/28/2018	
UP 2017-646(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-647(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-648(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-649(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-650(SA)	1	\$5,000	\$5,000	\$3,200	09/28/2018	
UP 2017-651(SA)	1	\$2,500	\$2,500	\$1,600	09/28/2018	
UP 2017-652(SA)	1	\$5,000	\$5,000	\$3,200	09/28/2018	
UP 2017-653(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-654(FCS)	1	\$2,500	\$2,500	\$1,725	09/28/2018	
UP 2017-655(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	

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UP 2017-656(FCS)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-657(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-658(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-659(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-660(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-661(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-662(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-663(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-664(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-665(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-666(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-667(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-668(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-669(FCS)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-670(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-671(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-672(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-673(FCS)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-674(FCS)	1	\$2,500	\$2,500	\$1,725	09/28/2018	
UP 2017-675(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-677(SI)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-678(SI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2017-679(LI)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-681(SI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2017-682(SI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2017-683(TS)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2017-684(TS)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2017-685(TS)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-686(SI)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-687(ROP)	1	\$7,500	\$7,500	\$5,625	09/28/2018	
UP 2017-688(AR)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-689(ROP)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-690(LI)	1	\$1,500	\$1,500	\$1,125	09/28/2018	
UP 2017-692(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-693(SA)	1	\$2,500	\$0	\$0	09/28/2018	Case Terminated.
UP 2017-694(SA)	2	\$5,000	\$5,000	\$3,250	09/28/2018	
UP 2017-695(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-696(SA)	1	\$2,500	\$2,500	\$2,000	09/28/2018	
UP 2017-697(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-698(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-699(LI)	1	\$2,000	\$2,000	\$1,500	09/28/2018	
UP 2017-700(LI)	1	\$2,000	\$2,000	\$1,500	09/28/2018	
UP 2017-701(TS)	2	\$10,000	\$10,000	\$8,000	09/28/2018	
UP 2017-702(FCS)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-703(HMT)	2	\$11,500	\$11,500	\$8,625	09/28/2018	
UP 2017-704(RW)	1	\$3,000	\$3,000	\$2,195	09/28/2018	
UP 2017-705(HMT)	3	\$14,500	\$14,500	\$10,500	09/28/2018	
UP 2017-706(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-707(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	

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UP 2017-708(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-709(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-710(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-711(SA)	1	\$2,500	\$2,500	\$1,725	09/28/2018	
UP 2017-712(SI)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-713(SI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2017-714(SI)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-715(SI)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-716(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-717(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-718(ROP)	1	\$7,500	\$7,500	\$5,625	09/28/2018	
UP 2017-719(TS)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2017-720(LI)	1	\$1,500	\$1,500	\$1,125	09/28/2018	
UP 2017-721(TS)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2017-722(LI)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-723(TS)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-724(TS)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-725(LI)	1	\$2,000	\$2,000	\$1,500	09/28/2018	
UP 2017-726(LI)	1	\$2,000	\$2,000	\$1,500	09/28/2018	
UP 2017-727(LI)	1	\$2,000	\$2,000	\$1,500	09/28/2018	
UP 2017-728(LI)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-729(FCS)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-730(ROP)	1	\$2,000	\$2,000	\$1,500	09/28/2018	
UP 2017-731(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-732(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-734(RMM)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-735(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-736(ROP)	1	\$2,000	\$2,000	\$1,500	09/28/2018	
UP 2017-737(ROP)	1	\$2,000	\$2,000	\$1,500	09/28/2018	
UP 2017-738(ROP)	1	\$2,000	\$2,000	\$1,500	09/28/2018	
UP 2017-739(ROP)	1	\$9,500	\$9,500	\$7,125	09/28/2018	
UP 2017-740(LI)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-741(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-742(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-743(SA)	1	\$5,000	\$2,500	\$2,500	09/28/2018	Partially Terminated Violation(s): 1.
UP 2017-744(FCS)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-745(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-746(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-748(SI)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-749(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-750(ROP)	1	\$7,500	\$7,500	\$4,500	09/28/2018	
UP 2017-751(ROP)	1	\$9,500	\$5,000	\$4,500	09/28/2018	Partially Terminated Violation(s): 1.
UP 2017-752(HSR)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-753(TS)	2	\$7,500	\$7,500	\$5,625	09/28/2018	
UP 2017-754(LI)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-755(TS)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-756(HS)	2	\$2,000	\$2,000	\$1,706	09/28/2018	
UP 2017-758(LI)	1	\$2,500	\$2,500	\$1,875	09/28/2018	



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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2017-759(LI)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-760(FCS)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-761(TS)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-762(HS)	2	\$2,000	\$2,000	\$1,706	09/28/2018	
UP 2017-763(EQ)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-764(LI)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-765(LI)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-766(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-767(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-768(SA)	1	\$5,000	\$5,000	\$4,000	09/28/2018	
UP 2017-769(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-770(HS)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-771(SI)	12	\$12,000	\$12,000	\$8,400	09/28/2018	
UP 2017-773(LI)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-774(TH)	1	\$5,000	\$5,000	\$3,595	09/28/2018	
UP 2017-775(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-776(ROP)	1	\$7,500	\$7,500	\$5,625	09/28/2018	
UP 2017-777(TS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-778(LI)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-779(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-780(ROP)	1	\$7,500	\$2,000	\$1,400	09/28/2018	Partially Terminated Violation(s): 1.
UP 2017-781(ROP)	1	\$2,000	\$2,000	\$1,500	09/28/2018	
UP 2017-782(ROP)	1	\$2,000	\$2,000	\$1,400	09/28/2018	
UP 2017-783(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-784(SA)	2	\$5,000	\$5,000	\$4,500	09/28/2018	
UP 2017-785(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-786(FCS)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-787(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-788(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-789(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-790(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-791(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-792(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-793(SA)	2	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-794(LI)	2	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-795(LI)	2	\$3,500	\$3,500	\$2,625	09/28/2018	
UP 2017-796(LI)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-797(LI)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-798(LI)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-799(ROP)	1	\$7,500	\$7,500	\$4,500	09/28/2018	
UP 2017-800(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-801(HMT)	1	\$2,000	\$2,000	\$1,500	09/28/2018	
UP 2017-802(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-803(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-804(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-805(LI)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-806(HMT)	1	\$2,000	\$2,000	\$1,500	09/28/2018	
UP 2017-807(HMT)	1	\$4,000	\$4,000	\$3,000	09/28/2018	
UP 2017-808(GC)	1	\$5,000	\$5,000	\$3,750	09/28/2018	

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UP 2017-809(GC)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-810(SA)	1	\$5,000	\$5,000	\$2,700	09/28/2018	
UP 2017-811(ROP)	1	\$7,500	\$7,500	\$5,625	09/28/2018	
UP 2017-813(ROP)	1	\$2,000	\$2,000	\$1,500	09/28/2018	
UP 2017-814(ROP)	1	\$2,000	\$2,000	\$1,500	09/28/2018	
UP 2017-815(AR)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-816(TS)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-818(TS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-819(TS)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-820(HSR)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-821(HSR)	2	\$2,000	\$2,000	\$1,706	09/28/2018	
UP 2017-823(HSR)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-824(HSR)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-825(SI)	1	\$2,500	\$2,500	\$1,250	09/28/2018	
UP 2017-826(SI)	1	\$2,500	\$2,500	\$1,250	09/28/2018	
UP 2017-829(HMT)	1	\$5,000	\$5,000	\$3,800	09/28/2018	
UP 2017-830(SI)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-831(TS)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-832(ROP)	1	\$7,500	\$7,500	\$5,625	09/28/2018	
UP 2017-833(HMT)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-834(HMT)	2	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-835(TS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-836(HMT)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-837(SA)	1	\$5,000	\$2,500	\$2,500	09/28/2018	Partially Terminated Violation(s): 1.
UP 2017-838(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-839(SA)	1	\$5,000	\$2,500	\$2,500	09/28/2018	Partially Terminated Violation(s): 1.
UP 2017-840(FCS)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-841(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-842(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-843(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-844(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-845(LI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2017-846(TS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-847(TS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-848(TS)	2	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-849(GC)	1	\$5,000	\$5,000	\$853	09/28/2018	
UP 2017-850(SA)	1	\$5,000	\$5,000	\$4,500	09/28/2018	
UP 2017-851(LI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2017-852(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-853(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-854(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-855(TS)	2	\$7,500	\$7,500	\$5,625	09/28/2018	
UP 2017-856(TS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-857(TS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-859(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-860(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-861(ROP)	1	\$7,500	\$7,500	\$5,625	09/28/2018	
UP 2017-862(ROP)	1	\$2,000	\$2,000	\$1,500	09/28/2018	

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UP 2017-863(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-864(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-865(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-866(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-867(FCS)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-868(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-869(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-870(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-871(FCS)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-872(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-873(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-874(TS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-875(HMT)	6	\$26,000	\$26,000	\$20,000	09/28/2018	
UP 2017-876(HMT)	3	\$6,000	\$6,000	\$4,800	09/28/2018	
UP 2017-878(TS)	9	\$9,000	\$9,000	\$7,680	09/28/2018	
UP 2017-879(ROP)	1	\$7,500	\$7,500	\$5,625	09/28/2018	
UP 2017-881(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-882(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-883(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-884(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-885(HS)	2	\$2,000	\$0	\$0	09/28/2018	Case Terminated.
UP 2017-886(HS)	2	\$2,000	\$2,000	\$1,706	09/28/2018	
UP 2017-887(HS)	2	\$2,000	\$2,000	\$1,706	09/28/2018	
UP 2017-888(HS)	3	\$3,000	\$3,000	\$2,559	09/28/2018	
UP 2017-890(HS)	2	\$2,000	\$2,000	\$1,706	09/28/2018	
UP 2017-891(ROP)	1	\$7,500	\$7,500	\$5,625	09/28/2018	
UP 2017-892(FCS)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-893(ROP)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-895(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-896(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-897(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-898(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-899(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-900(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-901(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-902(LI)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-903(SI)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-904(RSP)	1	\$9,500	\$9,500	\$7,125	09/28/2018	
UP 2017-905(LI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2017-906(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-907(ROP)	1	\$7,500	\$7,500	\$5,625	09/28/2018	
UP 2017-908(SA)	1	\$5,000	\$5,000	\$2,125	09/28/2018	
UP 2017-909(LI)	1	\$2,500	\$2,500	\$1,450	09/28/2018	
UP 2017-911(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-912(SI)	1	\$2,500	\$2,500	\$1,750	09/28/2018	
UP 2017-913(SI)	1	\$2,500	\$2,500	\$1,750	09/28/2018	
UP 2017-914(ROP)	1	\$7,500	\$7,500	\$5,625	09/28/2018	
UP 2017-915(ROP)	1	\$2,000	\$2,000	\$1,500	09/28/2018	
UP 2017-916(ROP)	1	\$2,000	\$2,000	\$1,500	09/28/2018	

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UP 2017-917(SI)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-918(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-919(LI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2017-920(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-921(ROP)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-922(ROP)	1	\$2,000	\$2,000	\$1,500	09/28/2018	
UP 2017-923(ROP)	1	\$7,500	\$7,500	\$5,625	09/28/2018	
UP 2017-924(ROP)	1	\$9,500	\$5,000	\$5,000	09/28/2018	Partially Terminated Violation(s): 1.
UP 2017-925(TS)	6	\$30,000	\$30,000	\$22,500	09/28/2018	
UP 2017-926(TS)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-927(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-928(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-929(SI)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-930(SI)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-931(ROP)	1	\$2,000	\$2,000	\$1,500	09/28/2018	
UP 2017-932(ROP)	1	\$2,000	\$2,000	\$1,500	09/28/2018	
UP 2017-933(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-934(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-935(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-936(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-937(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-938(HSR)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-939(LI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2017-940(HSR)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-941(HSR)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-942(HSR)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-943(HSR)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-944(HSR)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-945(HSR)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-946(HSR)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-947(HSR)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-948(HSR)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-949(LI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2017-950(EP)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-951(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-952(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-953(SI)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-954(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-955(ROP)	1	\$9,500	\$9,500	\$7,125	09/28/2018	
UP 2017-956(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-957(TS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-958(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-959(HMT)	1	\$4,000	\$4,000	\$3,000	09/28/2018	
UP 2017-960(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-961(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-962(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-963(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-964(CC)	1	\$4,000	\$4,000	\$3,000	09/28/2018	
UP 2017-965(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	

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UP 2017-966(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-967(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-968(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-969(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-970(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-971(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-972(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-973(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-974(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-975(EP)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-976(EP)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-977(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-978(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-979(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-980(LI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2017-981(LI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2017-982(GC)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-983(TS)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-984(FCS)	1	\$2,500	\$2,500	\$1,775	09/28/2018	
UP 2017-985(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-986(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-987(FCS)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-988(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-989(FCS)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-990(EQ)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-991(LI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2017-992(LI)	1	\$2,500	\$2,500	\$1,450	09/28/2018	
UP 2017-993(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-994(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-995(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-997(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-998(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-999(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-1000(GC)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-1001(ROP)	1	\$2,000	\$2,000	\$1,500	09/28/2018	
UP 2017-1002(CC)	1	\$4,000	\$4,000	\$3,000	09/28/2018	
UP 2017-1003(ROP)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-1004(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-1005(SA)	1	\$10,000	\$10,000	\$7,000	09/28/2018	
UP 2017-1006(SA)	1	\$10,000	\$10,000	\$7,000	09/28/2018	
UP 2017-1007(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-1008(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-1009(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-1010(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-1011(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-1012(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-1013(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-1014(LI)	1	\$1,500	\$1,500	\$1,085	09/28/2018	
UP 2017-1015(LI)	1	\$1,500	\$1,500	\$1,085	09/28/2018	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2017-1016(LI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2017-1017(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-1018(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-1019(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-1020(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-1022(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-1023(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-1024(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-1025(SA)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-1026(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-1027(FCS)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-1028(LI)	1	\$2,500	\$2,500	\$1,450	09/28/2018	
UP 2017-1029(LI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2017-1030(LI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2017-1031(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-1032(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-1033(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-1034(FCS)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-1035(ROP)	1	\$2,000	\$2,000	\$1,500	09/28/2018	
UP 2017-1036(ROP)	1	\$7,500	\$7,500	\$5,625	09/28/2018	
UP 2017-1037(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-1038(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-1039(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-1040(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-1042(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-1043(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-1044(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-1045(GC)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-1047(TS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-1048(TS)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-1049(TS)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-1050(TS)	12	\$16,500	\$16,500	\$12,375	09/28/2018	
UP 2017-1051(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-1052(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-1053(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-1054(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-1055(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-1056(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-1057(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-1058(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2017-1059(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-1060(TS)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-1061(LI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2017-1062(LI)	2	\$5,000	\$5,000	\$3,675	09/28/2018	
UP 2017-1063(LI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2017-1064(LI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2017-1065(LI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2017-1066(LI)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2017-1067(TS)	1	\$5,000	\$5,000	\$3,650	09/28/2018	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2017-1068(ROP)	1	\$7,500	\$7,500	\$5,625	09/28/2018	
UP 2017-1069(ROP)	1	\$2,000	\$2,000	\$1,500	09/28/2018	
UP 2017-1070(ROP)	1	\$2,000	\$2,000	\$1,500	09/28/2018	
UP 2017-1071(ROP)	1	\$2,000	\$2,000	\$1,500	09/28/2018	
UP 2017-1072(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-1073(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-1074(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-1076(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-1077(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-1078(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-1079(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2017-1080(HMT)	1	\$7,000	\$7,000	\$5,250	09/28/2018	
UP 2018-1(HMT)	1	\$2,000	\$2,000	\$1,500	09/28/2018	
UP 2018-2(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2018-3(LI)	1	\$1,500	\$1,500	\$1,085	09/28/2018	
UP 2018-4(LI)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2018-5(LI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2018-6(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2018-7(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2018-8(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2018-9(SI)	1	\$2,500	\$2,500	\$1,750	09/28/2018	
UP 2018-10(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2018-11(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2018-12(LI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2018-13(TS)	2	\$7,500	\$7,500	\$5,500	09/28/2018	
UP 2018-14(ROP)	1	\$2,000	\$2,000	\$1,500	09/28/2018	
UP 2018-15(ROP)	1	\$2,000	\$2,000	\$1,500	09/28/2018	
UP 2018-17(SA)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2018-18(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2018-19(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-21(TS)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-22(RW)	1	\$3,000	\$3,000	\$2,250	09/28/2018	
UP 2018-23(TS)	5	\$5,000	\$5,000	\$4,265	09/28/2018	
UP 2018-24(ROP)	1	\$2,000	\$2,000	\$1,500	09/28/2018	
UP 2018-25(ROP)	1	\$7,500	\$7,500	\$5,625	09/28/2018	
UP 2018-26(ROP)	1	\$2,000	\$2,000	\$1,500	09/28/2018	
UP 2018-27(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-28(ROP)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2018-29(TS)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-31(LI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2018-32(LI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2018-33(LI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2018-34(ROP)	1	\$2,000	\$2,000	\$1,500	09/28/2018	
UP 2018-35(ROP)	1	\$2,000	\$2,000	\$1,500	09/28/2018	
UP 2018-37(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
UP 2018-38(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-39(SA)	4	\$17,500	\$17,500	\$12,900	09/28/2018	
UP 2018-40(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-41(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2018-42(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2018-43(HMT)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2018-44(ROP)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2018-45(ROP)	1	\$7,500	\$7,500	\$5,625	09/28/2018	
UP 2018-47(ROP)	1	\$2,000	\$2,000	\$1,500	09/28/2018	
UP 2018-48(HS)	2	\$2,000	\$2,000	\$1,706	09/28/2018	
UP 2018-49(HS)	4	\$4,000	\$2,000	\$1,706	09/28/2018	Partially Terminated Violation(s): 1.
UP 2018-50(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-52(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
UP 2018-53(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-54(ROP)	1	\$7,500	\$7,500	\$5,625	09/28/2018	
UP 2018-55(LI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2018-57(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-58(HS)	2	\$2,000	\$2,000	\$1,706	09/28/2018	
UP 2018-59(AR)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2018-60(LI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2018-62(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
UP 2018-63(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-64(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2018-65(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2018-67(EQ)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2018-68(TS)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2018-69(LI)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2018-70(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2018-72(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-73(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-74(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
UP 2018-75(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
UP 2018-77(HMT)	3	\$14,000	\$14,000	\$10,500	09/28/2018	
UP 2018-78(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
UP 2018-79(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-80(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-82(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
UP 2018-83(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
UP 2018-84(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-85(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-87(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-88(LI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2018-89(LI)	1	\$1,500	\$1,500	\$1,085	09/28/2018	
UP 2018-90(LI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2018-92(LI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2018-93(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
UP 2018-94(FCS)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2018-95(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-97(FCS)	3	\$6,000	\$6,000	\$4,500	09/28/2018	
UP 2018-98(LI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2018-99(LI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2018-102(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
UP 2018-103(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	



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UP 2018-104(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
UP 2018-105(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
UP 2018-107(HMT)	1	\$4,000	\$4,000	\$3,000	09/28/2018	
UP 2018-108(HMT)	1	\$7,500	\$7,500	\$5,650	09/28/2018	
UP 2018-109(HMT)	1	\$7,500	\$7,500	\$5,650	09/28/2018	
UP 2018-112(SI)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2018-113(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2018-114(HMT)	1	\$4,000	\$4,000	\$3,000	09/28/2018	
UP 2018-117(CC)	1	\$4,000	\$4,000	\$3,000	09/28/2018	
UP 2018-118(TS)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
UP 2018-119(TS)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2018-120(TS)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
UP 2018-122(TS)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
UP 2018-124(FCS)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2018-127(FCS)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2018-128(TS)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
UP 2018-129(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
UP 2018-130(TS)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-132(AR)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2018-134(FCS)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2018-135(ROP)	1	\$2,000	\$2,000	\$1,400	09/28/2018	
UP 2018-137(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-138(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-139(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-140(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
UP 2018-142(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
UP 2018-144(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
UP 2018-145(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
UP 2018-147(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2018-149(FCS)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2018-150(LI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2018-152(SI)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2018-153(SI)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2018-154(ROP)	1	\$2,000	\$2,000	\$1,500	09/28/2018	
UP 2018-155(HMT)	1	\$4,000	\$4,000	\$3,000	09/28/2018	
UP 2018-157(TS)	10	\$14,500	\$14,500	\$10,680	09/28/2018	
UP 2018-159(LI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2018-160(LI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2018-162(ROP)	1	\$7,500	\$7,500	\$5,625	09/28/2018	
UP 2018-164(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
UP 2018-165(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-167(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
UP 2018-168(ROP)	1	\$9,500	\$9,500	\$6,655	09/28/2018	
UP 2018-169(ROP)	1	\$5,000	\$5,000	\$3,000	09/28/2018	
UP 2018-170(ROP)	1	\$2,000	\$2,000	\$1,500	09/28/2018	
UP 2018-172(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2018-173(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
UP 2018-174(ROP)	1	\$7,500	\$7,500	\$5,250	09/28/2018	
UP 2018-176(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2018-177(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
UP 2018-178(SA)	2	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-179(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
UP 2018-181(LI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2018-182(TS)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-183(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-184(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-186(ROP)	1	\$2,000	\$2,000	\$1,500	09/28/2018	
UP 2018-187(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-188(LI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2018-189(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-191(HS)	2	\$2,000	\$2,000	\$1,706	09/28/2018	
UP 2018-192(HS)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2018-193(HMT)	2	\$10,000	\$10,000	\$7,500	09/28/2018	
UP 2018-196(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-197(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-198(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-199(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-201(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-202(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-203(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-206(ROP)	1	\$2,000	\$2,000	\$853	09/28/2018	
UP 2018-207(ROP)	1	\$2,000	\$2,000	\$1,400	09/28/2018	
UP 2018-208(FCS)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2018-209(ROP)	1	\$7,500	\$7,500	\$5,625	09/28/2018	
UP 2018-211(CC)	1	\$4,000	\$4,000	\$3,000	09/28/2018	
UP 2018-212(ROP)	1	\$7,500	\$7,500	\$5,625	09/28/2018	
UP 2018-213(ROP)	1	\$7,500	\$7,500	\$5,625	09/28/2018	
UP 2018-214(ROP)	1	\$7,500	\$7,500	\$5,625	09/28/2018	
UP 2018-216(HMT)	1	\$7,500	\$7,500	\$5,650	09/28/2018	
UP 2018-217(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
UP 2018-218(SA)	1	\$10,000	\$10,000	\$7,350	09/28/2018	
UP 2018-219(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-221(TS)	4	\$15,000	\$15,000	\$11,050	09/28/2018	
UP 2018-222(LI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2018-224(LI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2018-225(TS)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
UP 2018-226(SI)	1	\$2,500	\$2,500	\$1,500	09/28/2018	
UP 2018-227(SI)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2018-229(GC)	1	\$5,000	\$5,000	\$4,000	09/28/2018	
UP 2018-230(LI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2018-231(LI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2018-232(LI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2018-234(TS)	2	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-235(TS)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
UP 2018-236(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
UP 2018-237(HMT)	1	\$2,000	\$2,000	\$1,500	09/28/2018	
UP 2018-239(ROP)	1	\$9,500	\$9,500	\$6,650	09/28/2018	
UP 2018-240(ROP)	1	\$7,500	\$7,500	\$5,625	09/28/2018	

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UP 2018-241(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-242(SA)	1	\$10,000	\$10,000	\$7,350	09/28/2018	
UP 2018-244(CC)	1	\$4,000	\$4,000	\$3,000	09/28/2018	
UP 2018-245(CC)	1	\$4,000	\$4,000	\$3,000	09/28/2018	
UP 2018-246(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2018-247(CC)	1	\$4,000	\$4,000	\$3,000	09/28/2018	
UP 2018-249(CC)	1	\$4,000	\$4,000	\$3,000	09/28/2018	
UP 2018-250(ROP)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2018-251(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2018-252(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2018-254(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2018-255(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2018-256(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2018-257(SI)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2018-258(TS)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
UP 2018-259(TS)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
UP 2018-260(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-262(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-263(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-264(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-265(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-267(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-268(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
UP 2018-269(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
UP 2018-270(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
UP 2018-272(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-273(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
UP 2018-274(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-275(SA)	1	\$5,000	\$5,000	\$4,000	09/28/2018	
UP 2018-277(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
UP 2018-278(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
UP 2018-279(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
UP 2018-280(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
UP 2018-282(ROP)	1	\$9,500	\$9,500	\$6,655	09/28/2018	
UP 2018-283(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-284(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-285(HMT)	1	\$7,500	\$7,500	\$5,650	09/28/2018	
UP 2018-287(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
UP 2018-290(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
UP 2018-291(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
UP 2018-292(FCS)	1	\$2,500	\$2,500	\$1,875	09/28/2018	
UP 2018-295(HMT)	1	\$7,000	\$7,000	\$5,250	09/28/2018	
UP 2018-296(SI)	1	\$2,500	\$2,500	\$1,750	09/28/2018	
UP 2018-297(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-300(TS)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
UP 2018-301(HSR)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2018-302(HSR)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2018-305(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
UP 2018-306(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	

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UP 2018-307(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
UP 2018-310(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2018	
UP 2018-311(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-312(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-315(FCS)	1	\$5,000	\$5,000	\$3,750	09/28/2018	
UP 2018-316(ROP)	1	\$2,000	\$2,000	\$1,500	09/28/2018	
UP 2018-317(ROP)	1	\$2,000	\$2,000	\$1,500	09/28/2018	
UP 2018-320(ROP)	1	\$7,500	\$7,500	\$5,625	09/28/2018	
UP 2018-321(TS)	2	\$7,500	\$7,500	\$5,500	09/28/2018	
UP 2018-322(TS)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-327(TS)	7	\$17,500	\$17,500	\$12,900	09/28/2018	
UP 2018-330(TS)	3	\$15,000	\$15,000	\$11,050	09/28/2018	
UP 2018-331(LI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2018-334(LI)	1	\$2,500	\$2,500	\$1,825	09/28/2018	
UP 2018-336(TS)	22	\$44,000	\$44,000	\$31,895	09/28/2018	
UP 2018-339(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-340(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2018	
UP 2018-344(HS)	1	\$1,000	\$1,000	\$853	09/28/2018	
UP 2018-346(HS)	3	\$3,000	\$3,000	\$2,559	09/28/2018	
UP 2018-349(HS)	3	\$3,000	\$3,000	\$2,559	09/28/2018	
UP 2018-351(HS)	2	\$2,000	\$2,000	\$1,706	09/28/2018	
UP 2018-354(HS)	2	\$2,000	\$2,000	\$1,706	09/28/2018	
UP 2018-474(SI)	1	\$27,904	\$27,904	\$25,113	08/24/2018	
VR 2018-1(ROP)	1	\$2,000	\$2,000	\$1,600	09/27/2018	
VSOR 2017-1(AR)	1	\$2,500	\$2,500	\$1,750	09/24/2018	
WATX 2017-3(SA)	1	\$2,500	\$2,500	\$1,750	09/24/2018	
WATX 2017-4(GC)	1	\$5,000	\$5,000	\$3,250	09/24/2018	
WATX 2017-5(SA)	1	\$2,500	\$2,500	\$1,500	09/24/2018	
WATX 2017-6(SA)	1	\$2,500	\$2,500	\$1,500	09/24/2018	
WE 2017-2(RW)	1	\$1,000	\$1,000	\$925	02/27/2018	
WE 2017-3(AD)	2	\$5,000	\$5,000	\$4,000	02/27/2018	
WE 2017-4(ROR)	1	\$7,500	\$7,500	\$6,150	02/27/2018	
WHIR 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	09/07/2018	
WNYP 2018-1(HMT)	1	\$2,000	\$2,000	\$1,200	08/28/2018	
WPRR 2017-1(SA)	1	\$5,000	\$5,000	\$3,950	09/27/2018	
WPRR 2017-2(SA)	1	\$5,000	\$5,000	\$3,950	09/27/2018	
WSS 2017-1(AD)	1	\$2,500	\$2,500	\$1,900	05/29/2018	
WTJR 2018-1(SA)	1	\$5,000	\$5,000	\$4,000	03/05/2018	
WTLC 2015-19(AD)	1	\$2,500	\$2,500	\$1,800	04/25/2018	
WTLC 2016-7(AR)	1	\$2,500	\$2,500	\$1,500	04/25/2018	
WTLC 2016-8(AR)	1	\$2,500	\$2,500	\$1,500	04/25/2018	
WTLC 2016-9(AR)	1	\$2,500	\$2,500	\$1,500	04/25/2018	
WVC 2017-1(ROR)	1	\$7,500	\$7,500	\$5,000	10/31/2017	
WW 2018-1(FCS)	1	\$2,500	\$2,500	\$1,300	05/23/2018	
XAHM 2018-1(HMT)	1	\$2,000	\$2,000	\$1,300	05/03/2018	
XAIR 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	04/17/2018	
XAMA 2017-1(SA)	1	\$5,000	\$5,000	\$3,500	02/13/2018	
XAMA 2017-2(SA)	1	\$5,000	\$5,000	\$3,000	02/13/2018	
XAWS 2017-2(BW)	1	\$2,500	\$2,500	\$2,500	05/01/2018	

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XAWS 2018-1(BW)	1	\$2,500	\$2,500	\$2,500	09/27/2018	
XBBR 2018-1(HSR)	1	\$1,000	\$1,000	\$1,000	03/27/2018	
XBBR 2018-2(HS)	1	\$1,000	\$1,000	\$1,000	03/27/2018	
XBCP 2017-1(SA)	1	\$2,500	\$2,500	\$1,250	12/08/2017	
XBRI 2018-1(GC)	1	\$2,500	\$0	\$0	03/28/2018	Case Terminated.
XCAI 2018-1(HMT)	5	\$25,000	\$25,000	\$25,000	06/04/2018	
XCAI 2018-2(HMT)	2	\$10,000	\$10,000	\$10,000	05/16/2018	
XCHS 2017-3(HMT)	1	\$2,000	\$2,000	\$1,650	05/07/2018	
XCHS 2017-4(HMT)	1	\$2,000	\$2,000	\$1,650	05/07/2018	
XCIH 2017-1(HMT)	2	\$5,000	\$5,000	\$3,700	04/18/2018	
XCIH 2018-1(HMT)	1	\$2,000	\$2,000	\$1,800	04/18/2018	
XCPT 2015-1(HMT)	1	\$2,000	\$2,000	\$1,500	05/04/2018	
XCPT 2016-1(HMT)	1	\$2,000	\$2,000	\$1,500	05/14/2018	
XCPT 2016-2(HMT)	1	\$2,000	\$2,000	\$1,500	05/14/2018	
XCPT 2017-1(HMT)	2	\$10,000	\$10,000	\$8,000	05/14/2018	
XCPT 2018-1(HMT)	2	\$4,000	\$4,000	\$3,000	08/16/2018	
XCRB 2016-1(RW)	2	\$6,000	\$0	\$0	01/12/2018	Case Terminated.
XCSG 2017-2(HMT)	1	\$2,000	\$2,000	\$2,000	10/11/2017	
XCSK 2016-1(HMT)	3	\$12,000	\$12,000	\$9,000	09/26/2018	
XCSK 2017-1(HMT)	1	\$5,000	\$5,000	\$3,800	09/26/2018	
XCVA 2017-1(HMT)	1	\$5,000	\$5,000	\$5,000	01/12/2018	
XCWW 2017-1(RMM)	1	\$5,000	\$5,000	\$3,500	01/12/2018	
XDOO 2016-1(HMT)	3	\$22,500	\$9,500	\$5,875	06/18/2018	Partially Terminated Violation(s): 1, 2.
XDOO 2016-2(HMT)	4	\$15,000	\$15,000	\$7,125	06/18/2018	
XFBR 2016-2(HMT)	4	\$8,000	\$8,000	\$8,000	08/18/2018	
XFLD 2010-1(HMT)	1	\$7,500	\$0	\$0	05/08/2018	Case Terminated.
XFLD 2017-1(HMT)	1	\$7,500	\$7,500	\$7,500	12/04/2017	
XFMC 2016-4(HMT)	2	\$4,000	\$4,000	\$4,000	12/15/2017	
XFMC 2017-1(HMT)	1	\$5,000	\$5,000	\$5,000	12/04/2017	
XFUJ 2018-1(HMT)	4	\$4,000	\$4,000	\$4,000	07/26/2018	
XGEI 2017-1(HMT)	1	\$5,000	\$5,000	\$4,000	05/10/2018	
XGEO 2017-1(HMT)	2	\$15,000	\$15,000	\$12,000	04/03/2018	
XGEO 2018-1(HMT)	1	\$5,000	\$5,000	\$3,250	04/03/2018	
XGEO 2018-2(HMT)	1	\$5,000	\$5,000	\$3,250	04/03/2018	
XGLK 2017-1(HMT)	1	\$7,500	\$7,500	\$4,600	05/30/2018	
XHLL 2017-1(RW)	3	\$7,000	\$7,000	\$5,700	01/22/2018	
XICB 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	07/19/2018	
XLCS 2016-1(RW)	2	\$5,000	\$5,000	\$3,000	10/23/2017	
XLOV 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	02/28/2018	
XLTC 2017-1(HMT)	1	\$2,500	\$2,500	\$2,500	02/08/2018	
XMAG 2017-1(HMT)	1	\$5,000	\$0	\$0	09/27/2018	Case Terminated.
XMAG 2017-2(HMT)	2	\$3,500	\$0	\$0	09/27/2018	Case Terminated.
XMDA 2017-1(HMT)	5	\$10,000	\$10,000	\$10,000	10/31/2017	
XMKW 2017-5(HMT)	1	\$5,000	\$5,000	\$4,000	10/12/2017	
XMKW 2017-6(HMT)	1	\$10,000	\$10,000	\$8,000	01/15/2018	
XMKW 2018-1(HMT)	1	\$5,000	\$5,000	\$3,850	06/14/2018	
XMKW 2018-2(HMT)	1	\$10,000	\$10,000	\$8,000	08/17/2018	
XMPM 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	04/09/2018	
XMSW 2017-1(HMT)	1	\$5,000	\$5,000	\$5,000	10/10/2017	

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XMVM 2018-1(HMT)	2	\$20,000	\$20,000	\$15,000	02/22/2018	
XNSD 2017-1(HMT)	1	\$2,000	\$2,000	\$2,000	01/03/2018	
XQDI 2018-1(HMT)	1	\$2,000	\$0	\$0	01/25/2018	Case Terminated.
XRJC 2016-2(RW)	4	\$21,000	\$21,000	\$16,500	12/18/2017	
XRMA 2016-1(HMT)	2	\$4,000	\$4,000	\$3,000	12/15/2017	
XRNN 2018-1(HMT)	1	\$2,000	\$2,000	\$1,800	08/29/2018	
XRPI 2018-1(RW)	1	\$5,000	\$5,000	\$5,000	06/11/2018	
XRRP 2017-1(RW)	1	\$5,000	\$5,000	\$5,000	05/31/2018	
XSBK 2017-1(HMT)	1	\$5,000	\$5,000	\$5,000	05/23/2018	
XSER 2017-1(HMT)	1	\$5,000	\$5,000	\$5,000	05/29/2018	
XSNJ 2017-1(AR)	2	\$5,000	\$5,000	\$5,000	05/23/2018	
XSRS 2015-1(TS)	1	\$25,000	\$0	\$0	05/14/2018	Case Terminated.
XSSP 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	03/16/2018	
XSTH 2017-1(HMT)	1	\$2,500	\$2,500	\$2,500	05/29/2018	
XTEC 2013-1(HMT)	1	\$7,500	\$0	\$0	12/06/2017	Case Terminated.
XTGS 2011-1(AD)	2	\$5,000	\$0	\$0	11/01/2017	Case Terminated.
XTGS 2011-2(TS)	10	\$10,000	\$0	\$0	11/01/2017	Case Terminated.
XTGS 2011-3(TS)	3	\$3,000	\$0	\$0	11/01/2017	Case Terminated.
XTGS 2011-4(RW)	13	\$38,500	\$0	\$0	11/01/2017	Case Terminated.
XTGS 2011-5(AD)	2	\$5,000	\$0	\$0	11/01/2017	Case Terminated.
XTGS 2011-6(EO)	1	\$2,500	\$0	\$0	11/01/2017	Case Terminated.
XTGS 2011-7(HMT)	1	\$2,500	\$0	\$0	11/01/2017	Case Terminated.
XTGS 2011-8(TS)	4	\$4,000	\$0	\$0	11/01/2017	Case Terminated.
XTGS 2011-9(RW)	6	\$16,500	\$0	\$0	11/01/2017	Case Terminated.
XTGS 2011-10(TS)	4	\$4,000	\$0	\$0	11/01/2017	Case Terminated.
XTGS 2011-11(HS)	33	\$33,000	\$0	\$0	11/01/2017	Case Terminated.
XTGS 2011-12(ROP)	1	\$9,500	\$0	\$0	11/01/2017	Case Terminated.
XTGS 2011-13(SA)	1	\$5,000	\$0	\$0	11/01/2017	Case Terminated.
XTGS 2011-15(TS)	10	\$10,000	\$0	\$0	11/01/2017	Case Terminated.
XTGS 2011-16(RSP)	1	\$1,000	\$0	\$0	11/01/2017	Case Terminated.
XTGS 2011-17(EQ)	2	\$6,000	\$0	\$0	11/01/2017	Case Terminated.
XTGS 2012-1(ROP)	1	\$7,500	\$0	\$0	11/01/2017	Case Terminated.
XTGS 2012-2(HMT)	1	\$7,500	\$0	\$0	11/01/2017	Case Terminated.
XTGS 2012-3(HMT)	1	\$2,500	\$0	\$0	11/01/2017	Case Terminated.
XTGS 2012-4(RW)	2	\$6,000	\$0	\$0	11/01/2017	Case Terminated.
XTGS 2012-5(TS)	11	\$19,500	\$0	\$0	11/01/2017	Case Terminated.
XTGS 2012-6(SA)	1	\$5,000	\$0	\$0	11/01/2017	Case Terminated.
XTGS 2012-7(ROP)	1	\$2,000	\$0	\$0	11/01/2017	Case Terminated.
XTGS 2012-8(SA)	2	\$10,000	\$0	\$0	12/22/2017	Case Terminated.
XTGS 2012-9(SA)	1	\$2,500	\$0	\$0	11/01/2017	Case Terminated.
YVRR 2015-2(LI)	2	\$5,000	\$5,000	\$2,500	10/18/2017	
ZAAO 2017-2(HMT)	1	\$2,000	\$2,000	\$1,460	03/01/2018	
ZAAO 2017-3(HMT)	1	\$2,000	\$2,000	\$1,460	03/01/2018	
ZABC 2018-1(HMT)	2	\$7,500	\$7,500	\$7,500	04/24/2018	
ZABS 2018-1(HMT)	1	\$4,000	\$4,000	\$2,800	06/14/2018	
ZACR 2017-2(HMT)	1	\$5,000	\$5,000	\$3,600	11/30/2017	
ZACR 2018-1(HMT)	1	\$5,000	\$5,000	\$3,000	03/22/2018	
ZACR 2018-2(HMT)	1	\$5,000	\$5,000	\$3,000	03/28/2018	
ZACR 2018-3(HMT)	2	\$10,000	\$10,000	\$6,500	06/19/2018	

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ZACR 2018-5(HMT)	1	\$5,000	\$5,000	\$3,500	09/28/2018	
ZADN 2017-2(HMT)	1	\$10,000	\$10,000	\$8,000	11/21/2017	
ZADN 2018-1(HMT)	1	\$5,000	\$5,000	\$3,400	02/12/2018	
ZAEM 2018-1(HMT)	3	\$6,000	\$6,000	\$4,200	04/05/2018	
ZAEN 2018-1(HMT)	1	\$5,000	\$5,000	\$5,000	03/29/2018	
ZAEO 2018-1(HMT)	1	\$10,000	\$10,000	\$10,000	04/19/2018	
ZAEX 2017-1(HMT)	1	\$5,000	\$5,000	\$2,050	04/24/2018	
ZAFQ 2017-1(HMT)	1	\$10,000	\$10,000	\$8,000	03/27/2018	
ZAFQ 2017-2(HMT)	1	\$10,000	\$10,000	\$4,000	03/27/2018	
ZAFQ 2017-3(HMT)	1	\$5,000	\$5,000	\$2,000	03/27/2018	
ZAG 2017-1(HMT)	1	\$5,000	\$0	\$0	03/14/2018	Case Terminated.
ZAG 2017-2(HMT)	1	\$5,000	\$5,000	\$4,150	03/13/2018	
ZAGA 2018-1(HMT)	4	\$20,000	\$20,000	\$20,000	06/27/2018	
ZAGP 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	04/30/2018	
ZAGT 2018-1(HMT)	1	\$2,500	\$2,500	\$2,500	06/14/2018	
ZAHL 2017-1(HMT)	1	\$5,000	\$5,000	\$5,000	01/04/2018	
ZAHL 2018-1(HMT)	5	\$12,000	\$12,000	\$12,000	02/15/2018	
ZAID 2016-1(HMT)	1	\$10,000	\$10,000	\$6,200	05/29/2018	
ZAIV 2018-1(HMT)	1	\$5,000	\$5,000	\$3,900	05/01/2018	
ZAKN 2017-2(HMT)	2	\$10,000	\$10,000	\$7,100	01/04/2018	
ZAKN 2017-3(HMT)	1	\$10,000	\$10,000	\$8,000	04/30/2018	
ZAKN 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	09/11/2018	
ZALA 2017-1(HMT)	1	\$2,000	\$2,000	\$1,300	10/10/2017	
ZALG 2018-1(HMT)	1	\$2,000	\$0	\$0	05/23/2018	Case Terminated.
ZALQ 2018-1(HMT)	1	\$10,000	\$10,000	\$10,000	06/05/2018	
ZALTI 2017-1(HMT)	1	\$5,000	\$5,000	\$900	05/31/2018	
ZALTI 2017-2(HMT)	1	\$10,000	\$5,000	\$900	05/31/2018	Partially Terminated Violation(s): 1. Case Terminated.
ZAMC 2017-4(HMT)	1	\$5,000	\$0	\$0	01/16/2018	
ZAMC 2018-1(HMT)	2	\$10,000	\$10,000	\$7,000	02/01/2018	
ZAMC 2018-2(HMT)	1	\$2,000	\$2,000	\$1,300	05/22/2018	
ZAMC 2018-3(HMT)	1	\$2,000	\$2,000	\$1,300	07/05/2018	
ZAMC 2018-4(HMT)	1	\$5,000	\$5,000	\$3,350	09/04/2018	
ZAMRI 2018-1(HMT)	1	\$10,000	\$10,000	\$10,000	09/28/2018	
ZAMV 2017-1(HMT)	1	\$5,000	\$5,000	\$5,000	11/09/2017	
ZAND 2017-1(HMT)	1	\$5,000	\$5,000	\$2,800	02/12/2018	
ZAND 2017-2(HMT)	3	\$6,000	\$6,000	\$6,000	10/05/2017	
ZAND 2017-3(HMT)	2	\$10,000	\$10,000	\$7,000	11/21/2017	
ZAND 2017-4(HMT)	2	\$7,000	\$7,000	\$3,500	11/21/2017	
ZAND 2017-5(HMT)	1	\$10,000	\$10,000	\$7,800	11/21/2017	
ZAND 2018-1(HMT)	2	\$15,000	\$15,000	\$11,250	07/12/2018	
ZAPM 2017-2(HMT)	2	\$4,500	\$4,500	\$5,000	01/23/2018	
ZAPM 2018-1(HMT)	3	\$6,000	\$6,000	\$6,000	01/23/2018	
ZAPM 2018-2(HMT)	3	\$15,000	\$15,000	\$15,000	08/18/2018	
ZARGR 2017-2(HMT)	1	\$5,000	\$5,000	\$3,650	11/09/2017	
ZARJ 2017-2(HMT)	1	\$2,000	\$2,000	\$1,400	02/01/2018	
ZARJ 2017-3(HMT)	1	\$2,000	\$2,000	\$1,300	02/01/2018	
ZARK 2017-1(HMT)	1	\$10,000	\$10,000	\$10,000	10/29/2017	
ZASR 2017-3(HMT)	1	\$2,000	\$2,000	\$2,000	11/30/2017	
ZASR 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	04/03/2018	

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ZASY 2017-1(HMT)	1	\$2,000	\$2,000	\$1,400	10/26/2017	
ZAUL 2018-1(HMT)	1	\$2,000	\$2,000	\$1,300	06/28/2018	
ZAVX 2018-1(HMT)	1	\$5,000	\$5,000	\$3,600	06/05/2018	
ZAXI 2017-1(HMT)	1	\$2,000	\$2,000	\$1,360	11/28/2017	
ZAXI 2018-1(HMT)	2	\$7,500	\$7,500	\$5,250	04/10/2018	
ZAXI 2018-2(HMT)	1	\$5,000	\$5,000	\$3,500	05/22/2018	
ZAXI 2018-3(HMT)	1	\$5,000	\$5,000	\$3,100	05/22/2018	
ZBAC 2018-1(HMT)	2	\$15,000	\$15,000	\$7,500	03/28/2018	
ZBADG 2017-2(HMT)	1	\$5,000	\$5,000	\$5,000	01/08/2018	
ZBAK 2017-1(HMT)	1	\$2,500	\$2,500	\$2,500	03/05/2018	
ZBAN 2015-1(HMT)	2	\$10,000	\$10,000	\$5,000	10/18/2017	
ZBAN 2016-1(HMT)	1	\$10,000	\$10,000	\$8,750	10/18/2017	
ZBAN 2016-2(HMT)	4	\$20,000	\$20,000	\$14,000	10/18/2017	
ZBAS 2017-3(HMT)	1	\$5,000	\$5,000	\$5,000	10/12/2017	
ZBAS 2017-4(HMT)	3	\$9,000	\$9,000	\$9,000	11/29/2017	
ZBAS 2017-5(HMT)	1	\$2,000	\$2,000	\$2,000	01/10/2018	
ZBAS 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	04/14/2018	
ZBAS 2018-2(HMT)	1	\$5,000	\$5,000	\$5,000	05/02/2018	
ZBAS 2018-3(HMT)	1	\$5,000	\$5,000	\$5,000	08/16/2018	
ZBCU 2017-2(HMT)	1	\$10,000	\$10,000	\$8,500	11/20/2017	
ZBEP 2017-1(HMT)	1	\$7,500	\$7,500	\$7,000	01/18/2018	
ZBEP 2017-2(HMT)	2	\$7,000	\$7,000	\$6,250	01/18/2018	
ZBEP 2018-1(HMT)	1	\$10,000	\$10,000	\$10,000	02/06/2018	
ZBEP 2018-2(HMT)	1	\$5,000	\$5,000	\$5,000	05/22/2018	
ZBEP 2018-3(HMT)	1	\$2,500	\$2,500	\$2,500	06/12/2018	
ZBGL 2018-1(HMT)	1	\$5,000	\$5,000	\$2,500	03/09/2018	
ZBHM 2018-1(HMT)	1	\$7,500	\$7,500	\$6,000	04/09/2018	
ZBMR 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	09/24/2018	
ZBMS 2017-1(HMT)	1	\$2,000	\$2,000	\$2,000	10/30/2017	
ZBMS 2017-2(HMT)	1	\$2,000	\$2,000	\$2,000	12/29/2017	
ZBMS 2017-3(HMT)	1	\$2,000	\$2,000	\$2,000	12/29/2017	
ZBMS 2018-1(HMT)	2	\$4,000	\$4,000	\$4,000	01/19/2018	
ZBRM 2017-1(HMT)	1	\$10,000	\$10,000	\$10,000	11/30/2017	
ZBRM 2018-1(HMT)	1	\$5,000	\$5,000	\$5,000	09/17/2018	
ZBRP 2018-1(HMT)	1	\$2,000	\$2,000	\$1,600	08/21/2018	
ZBRY 2018-1(HMT)	1	\$5,000	\$5,000	\$2,800	04/03/2018	
ZBSN 2017-1(HMT)	1	\$10,000	\$10,000	\$8,500	11/02/2017	
ZBTA 2017-1(HMT)	1	\$2,000	\$2,000	\$1,500	03/06/2018	
ZBTC 2017-1(HMT)	3	\$14,500	\$14,500	\$8,000	11/17/2017	
ZBTM 2018-1(HMT)	2	\$4,000	\$4,000	\$4,000	04/23/2018	
ZBUT 2018-1(HMT)	1	\$1,000	\$1,000	\$1,000	09/25/2018	
ZBWW 2018-1(HMT)	1	\$2,000	\$2,000	\$1,300	09/18/2018	
ZBYS 2018-1(HMT)	2	\$6,000	\$6,000	\$4,000	06/19/2018	
ZCAB 2017-1(HMT)	1	\$5,000	\$5,000	\$5,000	10/25/2017	
ZCAM 2016-1(HMT)	1	\$7,500	\$7,500	\$5,250	05/09/2018	
ZCAU 2017-1(HMT)	1	\$2,000	\$2,000	\$1,500	05/09/2018	
ZCBK 2016-1(HMT)	1	\$5,000	\$5,000	\$3,250	05/09/2018	
ZCCF 2017-1(HMT)	2	\$9,000	\$9,000	\$9,000	01/03/2018	
ZCCM 2017-2(HMT)	1	\$5,000	\$5,000	\$5,000	01/03/2018	



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ZCCN 2018-2(HMT)	2	\$4,000	\$4,000	\$4,000	05/09/2018	
ZCDA 2016-1(HMT)	1	\$2,000	\$2,000	\$2,000	01/10/2018	
ZCDY 2017-1(HMT)	2	\$4,000	\$4,000	\$3,000	12/21/2017	
ZCEE 2017-2(HMT)	1	\$5,000	\$5,000	\$5,000	10/25/2017	
ZCEF 2018-2(HMT)	1	\$999	\$999	\$999	05/07/2018	
ZCELA 2017-3(HMT)	1	\$5,000	\$5,000	\$5,000	12/04/2017	
ZCFC 2017-4(HMT)	1	\$2,000	\$2,000	\$1,600	05/07/2018	
ZCHX 2018-1(HMT)	1	\$10,000	\$10,000	\$10,000	02/07/2018	
ZCHY 2017-1(HMT)	1	\$2,500	\$2,500	\$2,500	03/09/2018	
ZCIE 2017-1(HMT)	1	\$5,000	\$5,000	\$5,000	03/14/2018	
ZCJZ 2017-1(HMT)	4	\$8,000	\$8,000	\$6,400	01/12/2018	
ZCLQ 2016-1(HMT)	2	\$10,000	\$10,000	\$7,500	05/31/2018	
ZCLX 2017-1(HMT)	3	\$22,500	\$22,500	\$17,500	01/17/2018	
ZCLX 2017-2(HMT)	1	\$2,000	\$2,000	\$1,500	05/04/2018	
ZCMA 2015-1(HMT)	1	\$4,000	\$4,000	\$3,000	10/17/2017	
ZCMA 2017-1(HMT)	1	\$4,000	\$0	\$0	01/12/2018	Case Terminated.
ZCME 2016-1(HMT)	1	\$5,000	\$5,000	\$4,000	05/07/2018	
ZCME 2017-1(HMT)	1	\$5,000	\$5,000	\$4,000	05/07/2018	
ZCMP 2017-1(HMT)	1	\$5,000	\$5,000	\$4,000	01/12/2018	
ZCNC 2017-2(HMT)	1	\$5,000	\$5,000	\$4,000	12/28/2017	
ZCNL 2017-1(HMT)	1	\$2,000	\$2,000	\$1,600	02/05/2018	
ZCNL 2017-2(HMT)	1	\$10,000	\$10,000	\$7,500	02/05/2018	
ZCORN 2016-1(HMT)	1	\$2,000	\$2,000	\$1,500	12/28/2017	
ZCOV 2017-1(HMT)	1	\$5,000	\$5,000	\$3,500	05/16/2018	
ZCOY 2017-1(HMT)	1	\$2,000	\$2,000	\$2,000	12/04/2017	
ZCPSI 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	05/02/2018	
ZCRY 2017-1(HMT)	1	\$10,000	\$10,000	\$8,000	01/10/2018	
ZCRY 2018-2(HMT)	2	\$15,000	\$15,000	\$12,500	05/02/2018	
ZCRZ 2017-1(HMT)	1	\$10,000	\$10,000	\$8,000	01/12/2018	
ZCSF 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	07/09/2018	
ZCSPI 2017-1(HMT)	2	\$20,000	\$20,000	\$16,000	01/10/2018	
ZCT 2018-2(HMT)	1	\$2,000	\$2,000	\$2,000	07/09/2018	
ZCUI 2016-2(HMT)	2	\$6,500	\$6,500	\$5,200	03/14/2018	
ZCUI 2018-1(HMT)	1	\$5,000	\$5,000	\$5,000	05/04/2018	
ZCYS 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	02/28/2018	
ZDAK 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	06/12/2018	
ZDCM 2017-1(HMT)	1	\$5,000	\$5,000	\$3,500	03/20/2018	
ZDCU 2017-5(HMT)	1	\$5,000	\$5,000	\$4,000	01/23/2018	
ZDCU 2018-1(HMT)	1	\$2,000	\$2,000	\$1,600	07/03/2018	
ZDCU 2018-2(HMT)	1	\$5,000	\$5,000	\$4,000	07/12/2018	
ZDET 2017-1(HMT)	1	\$5,000	\$5,000	\$4,000	01/19/2018	
ZDKR 2018-1(HMT)	1	\$15,000	\$0	\$0	04/25/2018	Case Terminated.
ZDMX 2014-1(HMT)	2	\$4,000	\$4,000	\$3,000	11/17/2017	
ZDNA 2016-1(HMT)	1	\$5,000	\$5,000	\$3,250	09/12/2018	
ZDNA 2016-2(HMT)	3	\$15,000	\$15,000	\$9,750	09/12/2018	
ZDNA 2016-3(HMT)	2	\$10,000	\$10,000	\$6,500	09/12/2018	
ZDNA 2017-1(HMT)	3	\$15,000	\$6,000	\$4,500	09/12/2018	Partially Terminated Violation(s): 1.
ZDPM 2017-1(HMT)	2	\$12,500	\$5,000	\$4,500	01/25/2018	Terminated Violation(s): 2.
ZDSP 2018-1(HMT)	1	\$10,000	\$10,000	\$4,000	05/21/2018	

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ZDUB 2017-2(HMT)	1	\$2,000	\$2,000	\$2,000	10/11/2017	
ZDUK 2018-1(HMT)	2	\$3,000	\$3,000	\$3,000	08/01/2018	
ZDUP 2017-3(HMT)	1	\$5,000	\$5,000	\$3,750	12/05/2017	
ZDUP 2018-1(HMT)	2	\$7,000	\$7,000	\$7,000	06/14/2018	
ZDUP 2018-2(HMT)	2	\$8,000	\$8,000	\$5,000	06/01/2018	
ZDYI 2017-3(HMT)	2	\$4,000	\$4,000	\$4,000	03/29/2018	
ZDYI 2017-4(HMT)	1	\$2,000	\$2,000	\$2,000	12/29/2017	
ZDYI 2018-1(HMT)	2	\$10,000	\$10,000	\$10,000	03/26/2018	
ZDYI 2018-2(HMT)	1	\$5,000	\$5,000	\$5,000	04/10/2018	
ZEACH 2018-1(HMT)	1	\$2,000	\$2,000	\$1,360	04/17/2018	
ZEACH 2018-2(HMT)	3	\$6,000	\$6,000	\$4,200	07/10/2018	
ZECD 2018-1(HMT)	1	\$2,000	\$2,000	\$1,400	03/20/2018	
ZECD 2018-2(HMT)	1	\$5,000	\$5,000	\$3,950	06/26/2018	
ZECDP 2017-1(HMT)	6	\$30,000	\$30,000	\$30,000	10/12/2017	
ZECQ 2017-1(HMT)	1	\$7,500	\$7,500	\$5,475	01/04/2018	
ZEJO 2018-1(HMT)	1	\$10,000	\$10,000	\$8,100	08/09/2018	
ZEME 2018-1(HMT)	1	\$5,000	\$5,000	\$5,000	07/03/2018	
ZEMER 2018-1(HMT)	1	\$5,000	\$5,000	\$5,000	06/28/2018	
ZEMT 2018-1(HMT)	1	\$5,000	\$5,000	\$5,000	09/25/2018	
ZENK 2017-1(HMT)	3	\$7,500	\$7,500	\$7,500	10/12/2017	
ZEPC 2017-1(HMT)	1	\$5,000	\$5,000	\$5,000	10/02/2017	
ZEPG 2017-1(HMT)	1	\$2,000	\$2,000	\$2,000	11/02/2017	
ZEPZ 2017-1(HMT)	1	\$5,000	\$5,000	\$5,000	10/24/2017	
ZEQU 2017-1(HMT)	1	\$10,000	\$10,000	\$7,700	10/31/2017	
ZESG 2018-1(HMT)	1	\$5,000	\$5,000	\$4,000	03/05/2018	
ZESG 2018-2(HMT)	1	\$5,000	\$5,000	\$4,000	03/20/2018	
ZESR 2017-2(HMT)	1	\$10,000	\$10,000	\$8,200	01/04/2018	
ZETT 2018-1(HMT)	1	\$5,000	\$5,000	\$3,500	02/27/2018	
ZEVC 2018-1(HMT)	1	\$5,000	\$5,000	\$5,000	08/16/2018	
ZEVD 2017-1(HMT)	1	\$2,000	\$2,000	\$1,360	11/30/2017	
ZFAL 2011-1(HMT)	2	\$10,000	\$0	\$0	03/27/2018	Case Terminated.
ZFAS 2017-1(HMT)	1	\$5,000	\$5,000	\$4,000	02/13/2018	
ZFBB 2009-1(HMT)	3	\$14,500	\$0	\$0	03/27/2018	Case Terminated.
ZFBI 2006-2(HMT)	2	\$10,000	\$0	\$0	03/27/2018	Case Terminated.
ZFCQ 2009-1(HMT)	1	\$2,000	\$0	\$0	03/27/2018	Case Terminated.
ZFEQ 2010-1(HMT)	3	\$15,000	\$0	\$0	03/27/2018	Case Terminated.
ZFFP 2010-1(HMT)	1	\$7,500	\$0	\$0	03/27/2018	Case Terminated.
ZFGC 2014-1(HMT)	1	\$4,000	\$4,000	\$3,500	08/21/2018	
ZFGC 2017-2(HMT)	1	\$5,000	\$5,000	\$4,000	08/21/2018	
ZFGC 2018-1(HMT)	1	\$5,000	\$5,000	\$4,000	04/19/2018	
ZFHR 2014-1(HMT)	1	\$5,000	\$5,000	\$3,500	08/22/2018	
ZFHR 2016-3(HMT)	1	\$5,000	\$5,000	\$5,000	12/05/2017	
ZFHR 2018-1(HMT)	2	\$10,000	\$10,000	\$8,500	08/21/2018	
ZFIC 2010-1(HMT)	1	\$5,000	\$0	\$0	03/27/2018	Case Terminated.
ZFIC 2010-2(HMT)	1	\$7,500	\$0	\$0	03/27/2018	Case Terminated.
ZFIT 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	09/04/2018	
ZFIT 2018-2(HMT)	1	\$2,000	\$2,000	\$2,000	05/05/2018	
ZFKP 2018-1(HMT)	1	\$5,000	\$5,000	\$4,000	04/25/2018	
ZFLS 2017-1(HMT)	1	\$2,000	\$2,000	\$1,500	11/06/2017	

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ZFLS 2017-2(HMT)	2	\$4,000	\$4,000	\$4,000	02/08/2018	
ZFMB 2017-1(HMT)	1	\$4,000	\$4,000	\$4,000	12/12/2017	
ZFMJ 2008-1(HMT)	1	\$10,000	\$0	\$0	03/28/2018	Case Terminated.
ZFNS 2011-1(HMT)	4	\$8,000	\$0	\$0	03/28/2018	Case Terminated.
ZFON 2013-1(HMT)	1	\$5,000	\$0	\$0	03/28/2018	Case Terminated.
ZFOR 2017-1(HMT)	4	\$20,000	\$20,000	\$20,000	11/29/2017	
ZFOR 2018-1(HMT)	1	\$7,500	\$7,500	\$5,000	09/18/2018	
ZFOT 2010-1(HMT)	3	\$8,000	\$0	\$0	03/27/2018	Case Terminated.
ZFPC 2018-1(HMT)	1	\$5,000	\$5,000	\$3,250	04/09/2018	
ZFPI 2007-1(HMT)	1	\$5,000	\$0	\$0	05/08/2018	Case Terminated.
ZFRR 2007-1(HMT)	2	\$15,000	\$0	\$0	03/28/2018	Case Terminated.
ZFSQ 2007-1(HMT)	1	\$5,000	\$0	\$0	05/08/2018	Case Terminated.
ZFTP 2006-1(HMT)	1	\$5,000	\$0	\$0	03/27/2018	Case Terminated.
ZFUR 2010-1(HMT)	1	\$5,000	\$0	\$0	03/27/2018	Case Terminated.
ZFVP 2017-1(HMT)	1	\$5,000	\$5,000	\$4,000	09/27/2018	
ZFXI 2016-2(HMT)	1	\$2,000	\$2,000	\$1,600	01/22/2018	
ZGDB 2016-1(HMT)	1	\$10,000	\$10,000	\$5,000	05/24/2018	
ZGDE 2015-1(HMT)	1	\$5,000	\$5,000	\$3,250	03/23/2018	
ZGEO 2016-1(HMT)	1	\$5,000	\$5,000	\$3,500	05/30/2018	
ZGEP A 2016-3(HMT)	1	\$10,000	\$10,000	\$8,000	04/03/2018	
ZGEP A 2016-4(HMT)	2	\$10,000	\$10,000	\$6,000	04/03/2018	
ZGEP A 2017-1(HMT)	1	\$5,000	\$5,000	\$3,000	04/03/2018	
ZGEP A 2018-1(HMT)	3	\$20,000	\$20,000	\$15,500	04/03/2018	
ZGEP A 2018-2(HMT)	1	\$5,000	\$5,000	\$3,250	05/21/2018	
ZGEU 2016-3(HMT)	1	\$5,000	\$5,000	\$2,900	05/16/2018	
ZGEU 2017-1(HMT)	1	\$10,000	\$10,000	\$7,500	05/16/2018	
ZGEU 2018-1(HMT)	1	\$10,000	\$10,000	\$7,500	05/16/2018	
ZGFE 2017-2(HMT)	2	\$10,000	\$10,000	\$6,900	04/11/2018	
ZGFE 2017-3(HMT)	1	\$5,000	\$5,000	\$3,500	04/11/2018	
ZGPE 2016-1(HMT)	1	\$10,000	\$10,000	\$7,000	05/09/2018	
ZGPE 2017-1(HMT)	1	\$10,000	\$10,000	\$7,000	05/09/2018	
ZGPF 2017-1(HMT)	1	\$5,000	\$5,000	\$3,000	04/03/2018	
ZGPF 2017-2(HMT)	1	\$2,000	\$2,000	\$2,000	12/07/2017	
ZGSR 2017-1(HMT)	1	\$10,000	\$10,000	\$6,000	07/02/2018	
ZGSZ 2016-2(HMT)	1	\$5,000	\$5,000	\$4,000	04/04/2018	
ZGSZ 2017-1(HMT)	2	\$10,000	\$10,000	\$10,000	04/04/2018	
ZGSZ 2017-2(HMT)	1	\$5,000	\$5,000	\$5,000	03/22/2018	
ZGSZ 2017-4(HMT)	1	\$10,000	\$10,000	\$10,000	03/28/2018	
ZGSZ 2017-5(HMT)	1	\$7,500	\$7,500	\$7,500	04/04/2018	
ZGUS 2016-1(HMT)	1	\$10,000	\$10,000	\$7,500	05/16/2018	
ZHAR 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	03/26/2018	
ZHAR 2018-2(HMT)	2	\$4,000	\$4,000	\$4,000	06/01/2018	
ZHCG 2017-4(HMT)	1	\$5,000	\$5,000	\$5,000	01/31/2018	
ZHCG 2018-1(HMT)	1	\$5,000	\$5,000	\$5,000	06/05/2018	
ZHCG 2018-2(HMT)	1	\$5,000	\$5,000	\$5,000	05/14/2018	
ZHCG 2018-3(HMT)	1	\$5,000	\$5,000	\$5,000	06/14/2018	
ZHCH 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	08/22/2018	
ZHCM 2018-1(HMT)	1	\$5,000	\$5,000	\$3,250	05/31/2018	
ZHEI 2017-1(HMT)	1	\$10,000	\$5,000	\$4,500	02/01/2018	Partially Terminated Violation(s): 1.

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ZHEI 2018-1(HMT)	2	\$4,000	\$4,000	\$3,200	03/28/2018	
ZHEI 2018-2(HMT)	2	\$4,000	\$4,000	\$3,000	06/05/2018	
ZHEI 2018-3(HMT)	1	\$2,000	\$2,000	\$1,700	07/02/2018	
ZHFA 2017-1(HMT)	1	\$5,000	\$5,000	\$5,000	10/25/2017	
ZHFR 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	06/06/2018	
ZHFR 2018-2(HMT)	6	\$30,000	\$30,000	\$30,000	06/05/2018	
ZHLA 2017-1(HMT)	1	\$2,500	\$0	\$0	01/29/2018	Case Terminated.
ZHLR 2018-1(HMT)	8	\$34,000	\$34,000	\$34,000	05/21/2018	
ZHMS 2017-1(HMT)	2	\$10,000	\$10,000	\$10,000	12/07/2017	
ZHNI 2017-4(HMT)	1	\$2,000	\$2,000	\$1,500	01/02/2018	
ZHNI 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	07/03/2018	
ZHNI 2018-2(HMT)	1	\$4,500	\$4,500	\$3,750	07/18/2018	
ZHRM 2018-1(HMT)	1	\$2,000	\$2,000	\$1,250	07/18/2018	
ZHUN 2018-1(HMT)	1	\$5,000	\$5,000	\$5,000	05/25/2018	
ZHWS 2017-1(HMT)	1	\$2,000	\$2,000	\$1,250	01/18/2018	
ZHYC 2018-1(HMT)	6	\$45,000	\$7,500	\$6,000	07/10/2018	Partially Terminated Violation(s): 1.
ZIEL 2018-1(HMT)	1	\$2,500	\$2,500	\$2,500	09/24/2018	
ZIML 2017-1(HMT)	1	\$5,000	\$5,000	\$3,475	10/27/2017	
ZIP 2017-4(HMT)	4	\$8,000	\$8,000	\$6,000	10/27/2017	
ZIP 2017-5(HMT)	1	\$2,000	\$2,000	\$2,000	10/06/2017	
ZIRO 2017-1(HMT)	1	\$5,000	\$5,000	\$5,000	11/28/2017	
ZIRO 2017-2(HMT)	1	\$2,000	\$2,000	\$2,000	11/28/2017	
ZIRR 2013-1(HMT)	1	\$5,000	\$0	\$0	05/30/2018	Case Terminated.
ZIRR 2013-2(HMT)	5	\$25,000	\$0	\$0	05/30/2018	Case Terminated.
ZITH 2018-1(HMT)	1	\$4,000	\$4,000	\$4,000	09/10/2018	
ZIVE 2017-1(HMT)	1	\$5,000	\$5,000	\$5,000	06/04/2018	
ZIWI 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	07/26/2018	
ZIWT 2017-1(HMT)	1	\$2,500	\$2,500	\$2,500	08/28/2018	
ZJCC 2016-1(HMT)	1	\$2,000	\$2,000	\$1,000	10/04/2017	
ZJCC 2016-2(HMT)	1	\$5,000	\$5,000	\$4,000	10/04/2017	
ZJCC 2017-1(HMT)	1	\$15,000	\$15,000	\$12,000	10/04/2017	
ZJMA 2017-1(HMT)	1	\$1,000	\$1,000	\$650	11/09/2017	
ZJRS 2017-2(HMT)	2	\$20,000	\$20,000	\$14,000	10/10/2017	
ZJRS 2017-3(HMT)	1	\$5,000	\$5,000	\$3,000	01/16/2018	
ZJRS 2018-1(HMT)	1	\$5,000	\$5,000	\$2,500	02/21/2018	
ZJRS 2018-2(HMT)	1	\$10,000	\$10,000	\$8,000	03/20/2018	
ZJRS 2018-3(HMT)	1	\$5,000	\$5,000	\$3,000	04/11/2018	
ZJRS 2018-4(HMT)	1	\$5,000	\$5,000	\$3,000	04/11/2018	
ZJRS 2018-5(HMT)	1	\$2,000	\$2,000	\$1,500	05/09/2018	
ZJRS 2018-6(HMT)	1	\$2,000	\$2,000	\$1,300	08/16/2018	
ZKAE 2018-1(HMT)	2	\$10,000	\$10,000	\$10,000	02/15/2018	
ZKAT 2016-1(HMT)	1	\$4,000	\$4,000	\$4,000	05/10/2018	
ZKDM 2017-2(HMT)	1	\$5,000	\$5,000	\$2,500	03/05/2018	
ZKDM 2017-3(HMT)	1	\$10,000	\$10,000	\$6,500	03/05/2018	
ZKEL 2017-1(HMT)	1	\$5,000	\$5,000	\$3,500	05/04/2018	
ZKEM 2017-1(HMT)	2	\$10,000	\$10,000	\$10,000	04/18/2018	
ZKEN 2017-1(HMT)	1	\$10,000	\$7,500	\$7,500	05/07/2018	Partially Terminated Violation(s): 1.
ZKKC 2016-1(HMT)	1	\$10,000	\$10,000	\$8,000	05/16/2018	

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ZKML 2017-3(HMT)	1	\$2,000	\$2,000	\$1,500	01/08/2018	
ZKML 2017-4(HMT)	1	\$2,000	\$2,000	\$1,300	01/08/2018	
ZKML 2018-1(HMT)	1	\$2,000	\$2,000	\$1,750	06/06/2018	
ZKML 2018-2(HMT)	1	\$2,000	\$2,000	\$1,400	07/09/2018	
ZKML 2018-3(HMT)	1	\$2,000	\$2,000	\$2,000	05/02/2018	
ZKML 2018-4(HMT)	1	\$5,000	\$5,000	\$4,500	07/09/2018	
ZKML 2018-5(HMT)	1	\$2,000	\$2,000	\$1,400	07/09/2018	
ZKMQ 2017-1(HMT)	1	\$5,000	\$5,000	\$2,750	03/06/2018	
ZKMQ 2018-1(HMT)	1	\$5,000	\$5,000	\$2,750	03/06/2018	
ZKOR 2015-1(HMT)	1	\$2,000	\$2,000	\$1,200	05/04/2018	
ZKOR 2016-1(HMT)	1	\$10,000	\$10,000	\$8,000	05/04/2018	
ZKOR 2016-2(HMT)	1	\$2,000	\$2,000	\$1,500	05/04/2018	
ZKPI 2017-3(HMT)	2	\$10,000	\$10,000	\$6,000	12/18/2017	
ZKRA 2018-1(HMT)	2	\$7,000	\$7,000	\$5,600	05/22/2018	
ZKTS 2017-1(HMT)	1	\$2,000	\$2,000	\$1,500	04/20/2018	
ZKWS 2017-1(HMT)	1	\$1,000	\$1,000	\$1,000	04/18/2018	
ZKWS 2017-2(HMT)	1	\$5,000	\$5,000	\$3,000	12/05/2017	
ZKWS 2017-3(HMT)	1	\$5,000	\$5,000	\$3,000	12/05/2017	
ZKYE 2015-1(HMT)	3	\$6,000	\$6,000	\$6,000	06/06/2018	
ZLAS 2018-1(HMT)	1	\$2,000	\$2,000	\$1,000	02/22/2018	
ZLDE 2017-3(HMT)	1	\$10,000	\$10,000	\$7,500	05/14/2018	
ZLDE 2018-1(HMT)	1	\$2,000	\$2,000	\$1,300	03/08/2018	
ZLDE 2018-2(HMT)	2	\$4,500	\$4,500	\$3,300	03/08/2018	
ZLDI 2017-1(HMT)	1	\$5,000	\$5,000	\$3,500	10/23/2017	
ZLDI 2017-2(HMT)	1	\$2,000	\$2,000	\$1,400	12/18/2017	
ZLDI 2018-1(HMT)	1	\$2,000	\$2,000	\$1,400	02/12/2018	
ZLDI 2018-2(HMT)	2	\$10,000	\$10,000	\$7,000	03/05/2018	
ZLDR 2017-1(HMT)	1	\$10,000	\$10,000	\$6,000	02/09/2018	
ZLEA 2017-1(HMT)	7	\$23,000	\$23,000	\$23,000	01/08/2018	
ZLGD 2018-1(HMT)	1	\$5,000	\$5,000	\$5,000	07/31/2018	
ZLHP 2018-1(HMT)	1	\$5,000	\$5,000	\$5,000	06/05/2018	
ZLSH 2017-1(HMT)	1	\$5,000	\$5,000	\$3,250	12/18/2017	
ZLUB 2017-4(HMT)	1	\$5,000	\$5,000	\$5,000	12/21/2017	
ZLUB 2018-1(HMT)	1	\$10,000	\$10,000	\$10,000	05/08/2018	
ZLUIN 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	07/17/2018	
ZLUIN 2018-2(HMT)	1	\$5,000	\$5,000	\$3,000	09/14/2018	
ZLWD 2003-1(HMT)	1	\$2,000	\$0	\$0	12/04/2017	Case Terminated.
ZMAF 2017-2(HMT)	4	\$8,000	\$8,000	\$6,400	10/03/2017	
ZMAF 2017-3(HMT)	7	\$14,000	\$14,000	\$11,200	11/28/2017	
ZMAX 2017-2(HMT)	1	\$5,000	\$5,000	\$5,000	11/29/2017	
ZMAX 2018-1(HMT)	1	\$5,000	\$5,000	\$5,000	04/11/2018	
ZMFQ 2017-2(HMT)	2	\$3,000	\$3,000	\$3,000	11/14/2017	
ZMFQ 2017-3(HMT)	1	\$2,000	\$2,000	\$1,500	02/02/2018	
ZMFQ 2017-4(HMT)	4	\$8,000	\$8,000	\$6,400	02/02/2018	
ZMFQ 2018-1(HMT)	1	\$10,000	\$0	\$0	06/21/2018	Case Terminated.
ZMFQ 2018-2(HMT)	2	\$4,000	\$4,000	\$4,000	05/18/2018	
ZMGP 2017-1(HMT)	1	\$5,000	\$5,000	\$3,900	10/17/2017	
ZMGP 2017-2(HMT)	2	\$8,000	\$8,000	\$6,240	12/19/2017	
ZMGP 2018-1(HMT)	1	\$5,000	\$5,000	\$3,900	03/26/2018	

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ZMHO 2017-2(HMT)	1	\$5,000	\$5,000	\$5,000	02/26/2018	
ZMIP 2017-2(HMT)	1	\$2,500	\$2,500	\$2,500	02/22/2018	
ZMIP 2018-1(HMT)	4	\$10,000	\$10,000	\$10,000	02/22/2018	
ZMIP 2018-2(HMT)	4	\$10,000	\$10,000	\$10,000	09/06/2018	
ZMKJ 2018-1(HMT)	1	\$2,000	\$2,000	\$1,250	05/03/2018	
ZMNE 2017-1(HMT)	1	\$2,000	\$2,000	\$1,600	01/04/2018	
ZMNP 2017-3(HMT)	1	\$2,000	\$2,000	\$2,000	12/05/2017	
ZMNP 2017-4(HMT)	1	\$5,000	\$5,000	\$4,000	12/05/2017	
ZMNP 2017-5(HMT)	2	\$20,000	\$10,000	\$10,000	04/23/2018	Partially Terminated Violation(s): 1.
ZMNP 2018-1(HMT)	1	\$2,500	\$2,500	\$2,500	03/07/2018	
ZMNT 2018-1(HMT)	1	\$5,000	\$5,000	\$5,000	02/20/2018	
ZMNX 2018-1(HMT)	1	\$7,500	\$0	\$0	02/27/2018	Case Terminated.
ZMQE 2017-1(HMT)	1	\$5,000	\$5,000	\$4,000	10/03/2017	
ZMQE 2018-1(HMT)	3	\$15,000	\$15,000	\$15,000	03/20/2018	
ZMRK 2018-1(HMT)	1	\$4,000	\$4,000	\$4,000	09/06/2018	
ZMSL 2018-1(HMT)	1	\$4,000	\$4,000	\$3,200	04/05/2018	
ZMTE 2017-3(HMT)	1	\$2,000	\$2,000	\$2,000	01/10/2018	
ZMTE 2018-1(HMT)	2	\$4,000	\$4,000	\$4,000	03/28/2018	
ZMTE 2018-2(HMT)	5	\$10,000	\$0	\$0	05/29/2018	Case Terminated.
ZMTE 2018-3(HMT)	2	\$4,000	\$4,000	\$4,000	05/09/2018	
ZMTE 2018-4(HMT)	4	\$8,000	\$8,000	\$8,000	05/09/2018	
ZMTE 2018-5(HMT)	2	\$4,000	\$4,000	\$4,000	05/30/2018	
ZMTE 2018-6(HMT)	1	\$2,000	\$2,000	\$2,000	08/10/2018	
ZMTE 2018-7(HMT)	2	\$10,000	\$4,000	\$4,000	08/15/2018	Partially Terminated Violation(s): 1.
ZMTR 2018-1(HMT)	1	\$5,000	\$5,000	\$5,000	04/17/2018	
ZMUN 2017-1(HMT)	2	\$6,000	\$6,000	\$6,000	12/12/2017	
ZMUN 2018-1(HMT)	1	\$10,000	\$10,000	\$8,000	04/25/2018	
ZMUSK 2017-2(HMT)	1	\$2,000	\$2,000	\$2,000	12/20/2017	
ZMWE 2017-1(HMT)	1	\$10,000	\$10,000	\$10,000	02/26/2018	
ZNAL 2017-1(HMT)	1	\$2,000	\$2,000	\$1,400	01/25/2018	
ZNAL 2017-2(HMT)	2	\$10,000	\$10,000	\$7,000	01/25/2018	
ZNBA 2017-1(HMT)	2	\$10,000	\$10,000	\$6,500	10/12/2017	
ZNBA 2017-2(HMT)	1	\$5,000	\$5,000	\$3,500	11/21/2017	
ZNBA 2017-3(HMT)	1	\$1,000	\$1,000	\$700	11/06/2017	
ZNBX 2018-1(HMT)	2	\$4,000	\$4,000	\$2,800	05/16/2018	
ZNCS 2017-1(HMT)	1	\$2,000	\$2,000	\$2,000	06/18/2018	
ZNDM 2017-1(HMT)	2	\$12,000	\$12,000	\$12,000	11/28/2017	
ZNDM 2018-1(HMT)	1	\$10,000	\$10,000	\$10,000	03/01/2018	
ZNDM 2018-2(HMT)	1	\$2,000	\$2,000	\$2,000	09/12/2018	
ZNGE 2017-1(HMT)	1	\$500	\$500	\$500	12/27/2017	
ZNGE 2018-1(HMT)	4	\$20,000	\$20,000	\$12,000	02/08/2018	
ZNGL 2017-1(HMT)	1	\$2,000	\$2,000	\$2,000	10/03/2017	
ZNPT 2018-1(HMT)	5	\$20,000	\$2,500	\$2,500	06/07/2018	Terminated Violation(s): 1, 2, 4.
ZNSL 2017-2(HMT)	1	\$4,000	\$0	\$0	01/30/2018	Case Terminated.
ZNSL 2017-3(HMT)	1	\$2,000	\$2,000	\$2,000	01/11/2018	
ZNSS 2016-1(HMT)	1	\$2,000	\$2,000	\$1,000	06/06/2018	
ZNXE 2017-2(HMT)	1	\$5,000	\$5,000	\$5,000	04/05/2018	

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ZNXE 2017-3(HMT)	1	\$2,500	\$2,500	\$2,500	12/18/2017	
ZNXE 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	04/05/2018	
ZOBC 2017-1(HMT)	1	\$5,000	\$5,000	\$5,000	12/27/2017	
ZOCC 2016-4(HMT)	1	\$6,000	\$6,000	\$4,920	02/14/2018	
ZOCC 2016-5(HMT)	1	\$5,000	\$5,000	\$3,850	02/14/2018	
ZOCC 2016-6(HMT)	1	\$5,000	\$5,000	\$3,850	02/14/2018	
ZOCC 2017-1(HMT)	1	\$10,000	\$10,000	\$8,000	05/08/2018	
ZOCC 2017-2(HMT)	1	\$5,000	\$5,000	\$3,500	05/08/2018	
ZOCC 2017-3(HMT)	2	\$10,000	\$10,000	\$7,000	05/08/2018	
ZOCC 2017-4(HMT)	2	\$10,000	\$10,000	\$7,000	05/08/2018	
ZOCC 2018-1(HMT)	1	\$5,000	\$5,000	\$4,000	09/18/2018	
ZOCC 2018-2(HMT)	1	\$5,000	\$5,000	\$3,500	09/18/2018	
ZOEE 2018-1(HMT)	1	\$10,000	\$10,000	\$8,500	06/04/2018	
ZOKH 2018-1(HMT)	1	\$5,000	\$5,000	\$5,000	06/08/2018	
ZOLI 2017-4(HMT)	1	\$7,500	\$7,500	\$6,375	12/12/2017	
ZOLI 2017-5(HMT)	1	\$5,000	\$5,000	\$3,250	01/22/2018	
ZOLI 2018-1(HMT)	2	\$10,000	\$10,000	\$7,000	04/26/2018	
ZOLI 2018-2(HMT)	1	\$10,000	\$10,000	\$8,500	05/24/2018	
ZOLI 2018-3(HMT)	2	\$7,000	\$7,000	\$5,600	05/24/2018	
ZOLI 2018-4(HMT)	1	\$10,000	\$10,000	\$8,500	05/24/2018	
ZOLI 2018-5(HMT)	4	\$18,000	\$18,000	\$13,500	05/24/2018	
ZOLI 2018-6(HMT)	1	\$5,000	\$5,000	\$3,750	05/24/2018	
ZOLI 2018-7(HMT)	1	\$5,000	\$5,000	\$4,000	06/28/2018	
ZOLI 2018-8(HMT)	1	\$6,000	\$6,000	\$4,500	08/10/2018	
ZOLI 2018-9(HMT)	1	\$5,000	\$5,000	\$3,750	09/10/2018	
ZOLI 2018-10(HMT)	2	\$10,000	\$10,000	\$8,000	09/18/2018	
ZOMP 2017-1(HMT)	1	\$5,000	\$5,000	\$3,750	01/05/2018	
ZONB 2017-1(HMT)	1	\$8,000	\$8,000	\$4,000	11/22/2017	
ZONG 2018-1(HMT)	3	\$4,500	\$4,500	\$4,500	05/31/2018	
ZOTER 2017-2(HMT)	1	\$11,000	\$11,000	\$7,000	02/14/2018	
ZOTER 2018-1(HMT)	1	\$10,000	\$10,000	\$8,000	06/05/2018	
ZOTER 2018-2(HMT)	1	\$2,000	\$2,000	\$1,000	06/05/2018	
ZOTER 2018-3(HMT)	1	\$10,000	\$10,000	\$7,000	07/11/2018	
ZOTT 2017-1(HMT)	2	\$7,000	\$7,000	\$5,850	10/16/2017	
ZOTT 2018-1(HMT)	1	\$5,000	\$5,000	\$4,000	09/05/2018	
ZPAE 2016-2(HMT)	1	\$5,000	\$5,000	\$4,000	10/09/2017	
ZPAE 2017-1(HMT)	1	\$5,000	\$2,000	\$2,000	10/09/2017	Partially Terminated Violation(s): 1.
ZPAE 2017-2(HMT)	1	\$5,000	\$5,000	\$5,000	10/09/2017	
ZPCSI 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	04/18/2018	
ZPCSS 2017-1(HMT)	1	\$5,000	\$5,000	\$3,750	05/21/2018	
ZPCSS 2018-1(HMT)	2	\$10,000	\$10,000	\$7,000	05/21/2018	
ZPCSS 2018-2(HMT)	1	\$5,000	\$5,000	\$3,750	05/21/2018	
ZPCU 2018-1(HMT)	1	\$5,000	\$5,000	\$5,000	09/11/2018	
ZPGW 2015-1(HMT)	1	\$6,000	\$6,000	\$6,000	04/10/2018	
ZPHO 2016-1(HMT)	2	\$10,000	\$10,000	\$7,500	05/21/2018	
ZPLA 2018-1(HMT)	1	\$10,000	\$10,000	\$10,000	03/14/2018	
ZPLA 2018-2(HMT)	1	\$2,000	\$2,000	\$2,000	04/18/2018	
ZPLS 2017-2(HMT)	1	\$5,000	\$5,000	\$4,000	11/17/2017	
ZPME 2017-1(HMT)	1	\$5,000	\$5,000	\$5,000	11/13/2017	

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ZPME 2017-2(HMT)	1	\$5,000	\$5,000	\$5,000	10/20/2017	
ZPMS 2016-5(HMT)	1	\$10,000	\$10,000	\$8,500	11/17/2017	
ZPNF 2017-1(HMT)	1	\$10,000	\$10,000	\$8,500	05/21/2018	
ZPNF 2017-2(HMT)	1	\$7,500	\$7,500	\$6,000	05/21/2018	
ZPNQ 2017-1(HMT)	1	\$2,000	\$2,000	\$2,000	01/03/2018	
ZPOL 2017-1(HMT)	1	\$2,000	\$2,000	\$1,000	10/12/2017	
ZPOTS 2017-1(HMT)	1	\$5,000	\$5,000	\$3,750	05/21/2018	
ZPOTS 2018-1(HMT)	1	\$5,000	\$5,000	\$3,750	05/21/2018	
ZPPJ 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	01/23/2018	
ZPRG 2009-1(HMT)	1	\$2,500	\$2,500	\$1,000	05/31/2018	
ZPRX 2018-1(HMT)	1	\$5,000	\$5,000	\$4,250	06/07/2018	
ZPRX 2018-2(HMT)	1	\$10,000	\$10,000	\$8,500	06/07/2018	
ZPVS 2018-1(HMT)	1	\$2,000	\$2,000	\$1,500	09/12/2018	
ZPVS 2018-2(HMT)	1	\$5,000	\$5,000	\$4,250	09/12/2018	
ZQTL 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	04/30/2018	
ZRAI 2017-1(HMT)	1	\$2,000	\$2,000	\$2,000	11/30/2017	
ZRAS 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	07/26/2018	
ZRBA 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	05/15/2018	
ZRCA 2017-1(HMT)	1	\$2,000	\$2,000	\$2,000	12/20/2017	
ZRCA 2017-2(HMT)	1	\$7,500	\$7,500	\$7,500	02/21/2018	
ZRCA 2017-3(HMT)	3	\$15,000	\$15,000	\$15,000	02/21/2018	
ZRFC 2018-1(HMT)	1	\$2,500	\$2,500	\$2,500	06/15/2018	
ZRFC 2018-2(HMT)	2	\$10,000	\$10,000	\$10,000	08/24/2018	
ZRKM 2017-1(HMT)	1	\$10,000	\$10,000	\$7,000	05/04/2018	
ZRKP 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	06/25/2018	
ZRLG 2018-1(HMT)	2	\$5,000	\$5,000	\$4,500	08/30/2018	
ZRPM 2017-2(HMT)	4	\$30,000	\$30,000	\$30,000	12/15/2017	
ZRSH 2017-1(HMT)	1	\$7,500	\$7,500	\$5,500	05/14/2018	
ZRSO 2018-1(HMT)	2	\$4,000	\$4,000	\$4,000	03/28/2018	
ZRTLS 2017-1(HMT)	1	\$2,000	\$2,000	\$2,000	03/12/2018	
ZRTLS 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	03/12/2018	
ZRVI 2016-1(HMT)	1	\$2,000	\$2,000	\$1,000	11/28/2017	
ZRVI 2017-1(HMT)	1	\$2,000	\$2,000	\$1,000	11/28/2017	
ZSAB 2018-1(HMT)	1	\$2,000	\$2,000	\$1,400	04/24/2018	
ZSAM 2017-1(HMT)	1	\$2,000	\$2,000	\$2,000	01/03/2018	
ZSAM 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	03/13/2018	
ZSASN 2017-1(HMT)	1	\$5,000	\$5,000	\$5,000	05/21/2018	
ZSASN 2017-2(HMT)	1	\$5,000	\$5,000	\$5,000	01/17/2018	
ZSASN 2018-1(HMT)	1	\$5,000	\$5,000	\$5,000	02/28/2018	
ZSCC 2015-1(HMT)	1	\$5,000	\$5,000	\$5,000	03/16/2018	
ZSCC 2016-1(HMT)	1	\$5,000	\$5,000	\$5,000	03/16/2018	
ZSCC 2016-2(HMT)	1	\$10,000	\$10,000	\$10,000	03/16/2018	
ZSCC 2017-2(HMT)	1	\$10,000	\$10,000	\$10,000	03/16/2018	
ZSCC 2017-3(HMT)	1	\$10,000	\$10,000	\$10,000	03/16/2018	
ZSCC 2018-1(HMT)	1	\$5,000	\$5,000	\$5,000	05/29/2018	
ZSCC 2018-2(HMT)	1	\$5,000	\$5,000	\$5,000	05/29/2018	
ZSCC 2018-3(HMT)	1	\$10,000	\$10,000	\$10,000	05/29/2018	
ZSCC 2018-4(HMT)	1	\$15,000	\$15,000	\$15,000	05/29/2018	
ZSHEL 2017-1(HMT)	1	\$12,500	\$12,500	\$12,500	03/16/2018	



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ZSHEL 2017-2(HMT)	1	\$2,000	\$2,000	\$2,000	03/16/2018	
ZSHEL 2017-3(HMT)	1	\$5,000	\$1,000	\$1,000	03/16/2018	Partially Terminated Violation(s): 1.
ZSHIN 2018-1(HMT)	1	\$5,000	\$5,000	\$5,000	04/09/2018	
ZSHL 2015-2(HMT)	1	\$3,500	\$3,500	\$3,500	03/16/2018	
ZSI 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	02/26/2018	
ZSIND 2017-1(HMT)	1	\$10,000	\$2,000	\$1,600	01/24/2018	Partially Terminated Violation(s): 1.
ZSIQ 2016-1(HMT)	1	\$2,000	\$2,000	\$2,000	05/21/2018	
ZSIQ 2017-1(HMT)	1	\$5,000	\$5,000	\$5,000	05/22/2018	
ZSIQ 2018-1(HMT)	2	\$6,000	\$6,000	\$6,000	04/25/2018	
ZSKE 2018-1(HMT)	1	\$5,000	\$5,000	\$2,500	05/21/2018	
ZSKE 2018-2(HMT)	1	\$2,000	\$2,000	\$1,000	05/21/2018	
ZSKI 2017-1(HMT)	1	\$5,000	\$5,000	\$5,000	05/21/2018	
ZSKS 2017-1(HMT)	1	\$2,000	\$2,000	\$2,000	05/23/2018	
ZSLH 2017-1(HMT)	1	\$2,000	\$2,000	\$2,000	04/06/2018	
ZSLH 2018-2(HMT)	2	\$4,000	\$4,000	\$4,000	05/18/2018	
ZSMC 2017-1(HMT)	2	\$6,000	\$6,000	\$6,000	05/21/2018	
ZSMZ 2018-1(HMT)	5	\$32,500	\$25,000	\$17,500	05/25/2018	Partially Terminated Violation(s): 2.
ZSNA 2018-1(HMT)	1	\$5,000	\$5,000	\$5,000	05/21/2018	
ZSNG 2018-1(HMT)	1	\$4,000	\$4,000	\$4,000	02/27/2018	
ZSOC 2016-1(HMT)	1	\$5,000	\$5,000	\$5,000	03/16/2018	
ZSOC 2017-1(HMT)	1	\$5,000	\$5,000	\$5,000	03/16/2018	
ZSOC 2018-1(HMT)	5	\$10,000	\$10,000	\$10,000	03/16/2018	
ZSOLI 2018-1(HMT)	1	\$2,000	\$2,000	\$1,400	06/21/2018	
ZSRE 2014-1(HMT)	4	\$8,000	\$8,000	\$6,400	05/03/2018	
ZSRE 2014-2(HMT)	2	\$4,000	\$4,000	\$3,200	05/29/2018	
ZSRE 2014-3(HMT)	3	\$15,000	\$15,000	\$12,000	05/30/2018	
ZSRE 2017-1(HMT)	1	\$2,000	\$2,000	\$2,000	05/14/2018	
ZSRE 2017-2(HMT)	1	\$10,000	\$10,000	\$10,000	05/14/2018	
ZSRE 2017-3(HMT)	2	\$15,000	\$15,000	\$15,000	05/14/2018	
ZSRE 2018-1(HMT)	1	\$5,000	\$5,000	\$3,000	05/24/2018	
ZSRZ 2017-1(HMT)	3	\$6,000	\$6,000	\$6,000	04/11/2018	
ZSRZ 2018-1(HMT)	3	\$20,000	\$20,000	\$20,000	04/11/2018	
ZSSCO 2015-14(HMT)	2	\$10,000	\$10,000	\$6,800	04/02/2018	
ZSSCO 2016-1(HMT)	1	\$2,000	\$2,000	\$1,300	04/02/2018	
ZSSCO 2016-2(HMT)	2	\$10,000	\$10,000	\$7,000	04/02/2018	
ZSSCO 2016-3(HMT)	1	\$5,000	\$5,000	\$3,500	04/02/2018	
ZSSCO 2016-4(HMT)	1	\$5,000	\$5,000	\$3,500	04/02/2018	
ZSSCO 2016-5(HMT)	1	\$5,000	\$5,000	\$3,500	04/02/2018	
ZSSCO 2016-7(HMT)	2	\$15,000	\$15,000	\$10,700	04/02/2018	
ZSSCO 2016-8(HMT)	2	\$10,000	\$10,000	\$7,000	04/02/2018	
ZSSCO 2017-1(HMT)	1	\$5,000	\$5,000	\$3,500	04/02/2018	
ZSSCO 2017-2(HMT)	1	\$5,000	\$5,000	\$3,500	04/02/2018	
ZSSCO 2017-3(HMT)	1	\$2,000	\$2,000	\$1,300	04/02/2018	
ZSSCO 2018-1(HMT)	1	\$2,000	\$2,000	\$1,300	04/02/2018	
ZSSQ 2018-1(HMT)	2	\$4,000	\$4,000	\$2,800	09/28/2018	
ZSUF 2017-1(HMT)	3	\$9,000	\$9,000	\$5,850	05/21/2018	
ZSVC 2017-1(HMT)	1	\$5,000	\$5,000	\$3,500	05/21/2018	

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ZSXL 2017-1(HMT)	1	\$10,000	\$10,000	\$7,000	05/21/2018	
ZSYM 2017-1(HMT)	1	\$5,000	\$5,000	\$5,000	05/22/2018	
ZSYM 2017-2(HMT)	3	\$6,000	\$6,000	\$6,000	01/10/2018	
ZSYM 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	05/07/2018	
ZTCML 2017-1(HMT)	1	\$7,500	\$7,500	\$7,500	04/09/2018	
ZTCZ 2017-1(HMT)	1	\$10,000	\$10,000	\$8,000	11/06/2017	
ZTCZ 2017-2(HMT)	1	\$5,000	\$5,000	\$3,000	11/06/2017	
ZTDL 2013-2(HMT)	2	\$4,000	\$0	\$0	09/26/2018	Case Terminated.
ZTDL 2018-1(HMT)	1	\$5,000	\$5,000	\$5,000	09/25/2018	
ZTERM 2018-1(HMT)	1	\$5,000	\$5,000	\$5,000	04/19/2018	
ZTIL 2016-1(HMT)	1	\$1,000	\$1,000	\$1,000	03/20/2018	
ZTIM 2017-1(HMT)	1	\$4,000	\$4,000	\$4,000	04/09/2018	
ZTLY 2017-1(HMT)	1	\$2,000	\$2,000	\$1,600	10/06/2017	
ZTLY 2017-2(HMT)	11	\$27,000	\$27,000	\$18,000	01/12/2018	
ZTLY 2017-3(HMT)	1	\$2,000	\$2,000	\$1,500	01/12/2018	
ZTMT 2015-1(HMT)	1	\$10,000	\$10,000	\$7,000	01/09/2018	
ZTMT 2016-1(HMT)	1	\$2,000	\$2,000	\$1,600	01/09/2018	
ZTMT 2017-1(HMT)	2	\$17,500	\$17,500	\$11,000	01/09/2018	
ZTPE 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	04/04/2018	
ZTRG 2013-1(HMT)	1	\$4,000	\$4,000	\$2,000	12/27/2017	
ZTRG 2014-1(HMT)	1	\$10,000	\$10,000	\$8,000	12/27/2017	
ZTRG 2015-1(HMT)	1	\$10,000	\$10,000	\$7,500	12/27/2017	
ZTRG 2015-2(HMT)	1	\$5,000	\$5,000	\$3,250	12/27/2017	
ZTRG 2016-1(HMT)	1	\$5,000	\$5,000	\$3,000	12/27/2017	
ZTRG 2016-2(HMT)	5	\$25,000	\$25,000	\$15,000	12/27/2017	
ZTRG 2016-3(HMT)	1	\$10,000	\$10,000	\$8,000	12/27/2017	
ZTRG 2016-4(HMT)	1	\$5,000	\$5,000	\$3,000	12/27/2017	
ZTRG 2017-1(HMT)	1	\$10,000	\$10,000	\$7,750	12/27/2017	
ZTRG 2017-2(HMT)	1	\$10,000	\$10,000	\$7,500	12/27/2017	
ZTRSP 2005-1(HMT)	1	\$2,500	\$0	\$0	01/03/2018	Case Terminated.
ZTRSP 2012-1(HMT)	1	\$5,000	\$0	\$0	01/03/2018	Case Terminated.
ZTRSP 2014-1(HMT)	1	\$10,000	\$10,000	\$7,500	12/29/2017	
ZTRSP 2017-1(HMT)	1	\$5,000	\$5,000	\$3,750	12/29/2017	
ZTRSP 2018-1(HMT)	2	\$4,000	\$4,000	\$4,000	08/21/2018	
ZTSS 2017-1(HMT)	2	\$4,000	\$4,000	\$4,000	12/06/2017	
ZTTM 2017-1(HMT)	1	\$5,000	\$5,000	\$3,250	09/04/2018	
ZTTM 2017-2(HMT)	1	\$5,000	\$5,000	\$3,000	09/04/2018	
ZTTP 2017-1(HMT)	1	\$7,500	\$7,500	\$7,500	12/07/2017	
ZTUI 2012-1(HMT)	2	\$15,000	\$0	\$0	12/13/2017	Case Terminated.
ZTUI 2014-1(HMT)	1	\$10,000	\$10,000	\$8,000	12/13/2017	
ZTYR 2017-1(HMT)	1	\$2,500	\$2,500	\$2,500	04/09/2018	
ZUCL 2017-1(HMT)	1	\$2,000	\$2,000	\$1,200	11/28/2017	
ZUNC 2018-1(HMT)	1	\$1,000	\$1,000	\$650	02/08/2018	
ZUPZ 2018-1(HMT)	1	\$1,000	\$1,000	\$1,000	02/07/2018	
ZURC 2018-1(HMT)	1	\$4,000	\$4,000	\$4,000	02/01/2018	
ZURC 2018-2(HMT)	1	\$5,000	\$5,000	\$5,000	05/10/2018	
ZURC 2018-3(HMT)	1	\$5,000	\$5,000	\$5,000	08/01/2018	
ZUSEP 2018-1(HMT)	2	\$15,000	\$15,000	\$15,000	03/14/2018	
ZUTC 2013-1(HMT)	2	\$15,000	\$0	\$0	12/12/2017	Case Terminated.

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ZUTC 2017-2(HMT)	5	\$5,000	\$5,000	\$5,000	10/23/2017	
ZUTC 2017-4(HMT)	1	\$5,000	\$5,000	\$5,000	05/09/2018	
ZUTC 2017-5(HMT)	1	\$10,000	\$10,000	\$10,000	12/27/2017	
ZUTC 2017-6(HMT)	1	\$10,000	\$10,000	\$10,000	12/15/2017	
ZUTC 2018-1(HMT)	1	\$10,000	\$10,000	\$10,000	05/29/2018	
ZVALM 2010-1(HMT)	1	\$2,000	\$2,000	\$1,000	05/31/2018	
ZVALM 2010-2(HMT)	3	\$12,500	\$12,500	\$6,000	05/31/2018	
ZVALM 2011-1(HMT)	7	\$35,000	\$35,000	\$17,000	05/31/2018	
ZVALM 2012-1(HMT)	1	\$2,500	\$2,500	\$1,200	05/31/2018	
ZVALM 2012-3(HMT)	2	\$15,000	\$15,000	\$7,000	05/31/2018	
ZVCL 2014-1(HMT)	1	\$10,000	\$10,000	\$8,000	11/17/2017	
ZVCL 2017-1(HMT)	1	\$5,000	\$5,000	\$3,000	11/17/2017	
ZVES 2016-1(HMT)	1	\$5,000	\$5,000	\$3,250	11/13/2017	
ZVES 2017-1(HMT)	1	\$5,000	\$5,000	\$3,500	11/13/2017	
ZVES 2017-2(HMT)	1	\$5,000	\$5,000	\$4,750	11/13/2017	
ZVGT 2010-1(HMT)	1	\$4,000	\$0	\$0	10/06/2017	Case Terminated.
ZVGT 2010-2(HMT)	1	\$5,000	\$0	\$0	10/06/2017	Case Terminated.
ZVGT 2017-1(HMT)	6	\$18,500	\$18,500	\$12,500	10/06/2017	
ZVLQ 2010-2(HMT)	3	\$6,000	\$6,000	\$3,000	05/31/2018	
ZVLQ 2010-3(HMT)	1	\$5,000	\$5,000	\$2,000	05/31/2018	
ZVPK 2010-2(HMT)	1	\$5,000	\$0	\$0	01/27/2018	Case Terminated.
ZVRI 2016-1(HMT)	6	\$24,000	\$24,000	\$12,500	11/16/2017	
ZVSA 2017-1(HMT)	1	\$3,000	\$3,000	\$3,000	02/20/2018	
ZVSC 2017-1(HMT)	1	\$2,000	\$2,000	\$1,200	05/31/2018	
ZVSE 2008-2(HMT)	1	\$7,500	\$0	\$0	10/13/2017	Case Terminated.
ZVSI 2015-1(HMT)	1	\$5,000	\$0	\$0	10/27/2017	Case Terminated.
ZVSW 2017-1(HMT)	2	\$20,000	\$20,000	\$20,000	10/11/2017	
ZVTM 2017-1(HMT)	2	\$4,000	\$4,000	\$4,000	10/11/2017	
ZVTM 2017-2(HMT)	1	\$2,000	\$2,000	\$2,000	02/28/2018	
ZVTZ 2013-2(HMT)	1	\$10,000	\$0	\$0	01/27/2018	Case Terminated.
ZVTZ 2014-1(HMT)	1	\$5,000	\$5,000	\$3,000	01/11/2018	
ZVTZ 2015-1(HMT)	1	\$5,000	\$5,000	\$4,000	01/11/2018	
ZVTZ 2017-1(HMT)	3	\$6,000	\$6,000	\$6,000	10/11/2017	
ZVUS 2012-1(HMT)	2	\$4,000	\$4,000	\$4,000	10/26/2017	
ZVUS 2016-1(HMT)	1	\$3,000	\$3,000	\$3,000	10/26/2017	
ZWDB 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	07/17/2018	
ZWEB 2018-1(HMT)	1	\$2,000	\$2,000	\$1,650	08/30/2018	
ZWEN 2014-1(HMT)	1	\$15,000	\$0	\$0	12/28/2017	Case Terminated.
ZWHS 2018-1(HMT)	1	\$5,000	\$5,000	\$4,250	04/03/2018	
ZWLL 2018-1(HMT)	1	\$5,000	\$0	\$0	05/01/2018	Case Terminated.
ZWLL 2018-2(HMT)	1	\$10,000	\$10,000	\$7,000	05/18/2018	
ZWLT 2017-1(HMT)	1	\$2,000	\$2,000	\$1,500	01/18/2018	
ZWMS 2017-1(HMT)	1	\$5,000	\$5,000	\$3,500	02/06/2018	
ZWPCO 2017-1(HMT)	1	\$2,000	\$2,000	\$1,650	02/13/2018	
ZWRB 2017-1(HMT)	1	\$10,000	\$10,000	\$9,000	04/06/2018	
ZWRC 2017-2(HMT)	1	\$10,000	\$10,000	\$10,000	12/08/2017	
ZWRE 2018-1(HMT)	1	\$10,000	\$10,000	\$7,500	05/07/2018	
ZWSA 2018-1(HMT)	2	\$8,000	\$8,000	\$4,900	06/05/2018	
ZZAR 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	07/03/2018	

**Federal Railroad Administration**  
**Safety Cases Closed in FY 2018**

<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
ZZBT 2018-1(HMT)	7	\$14,000	\$14,000	\$7,000	05/14/2018	
ZZBT 2018-2(HMT)	5	\$10,000	\$10,000	\$5,000	05/14/2018	
ZZCT 2018-1(HMT)	1	\$2,000	\$2,000	\$2,000	05/15/2018	
ZZIE 2018-1(HMT)	4	\$14,000	\$4,000	\$2,400	05/30/2018	Terminated Violation(s): 1.
ZZPR 2018-1(HMT)	2	\$5,000	\$5,000	\$5,000	05/29/2018	
ZZSG 2018-1(HMT)	2	\$15,000	\$15,000	\$9,000	09/19/2018	
<b>Total</b>	<b>7,157</b>	<b>\$25,270,025</b>	<b>\$23,429,525</b>	<b>\$17,686,116</b>		

**Respondent**

<u>Codes</u>	<u>Respondent Names</u>
ABS	Alabama Southern Railroad
ACWR	ABERDEEN, CAROLINA AND WESTERN RAILROAD
ADCX	Adirondack Scenic Railroad
AERC	ALBANY AND EASTERN RAILROAD COMPANY
AGR	Alabama & Gulf Coast Railway LLC.
AIKR	Aiken Railway Company, LLC
ALAB	ALABAMA RAILROAD CO.
AM	Arkansas and Missouri Railroad Company
APRR	ALBANY PORT RAILROAD CORPORATION
ARR	Alaska Railroad Corporation
ASRY	ASHLAND RAILWAY INC.
ATAX	Balfour Beatty Rail
ATK	National Railroad Passenger Corporation
ATN	Alabama & Tennessee River Railway LLC
AVR	ALLEGHENY VALLEY RAILROAD CO.
AWRR	AUSTIN WESTERN RAILROAD
BAP	Rarus Railway, LLC d/b/a Butte, Anaconda & Pacific
BB	Buckingham Branch Railroad Company
BBAY	Bogalusa Bayou Railroad LLC
BJRY	BURLINGTON JUNCTION RAILWAY
BML	BELFAST & MOOSEHEAD LAKE PRESERVATION SOCIETY
BNSF	BNSF RAILWAY COMPANY
BNSO	BNSF SUBURBAN OPERATIONS
BPRR	BUFFALO & PITTSBURGH RAILROAD, INC.
BRC	The Belt Railway Company of Chicago
BRSR	BATON ROUGE SOUTHERN RAILROAD
BVRR	Boise Valley Railroad, LLC
CAGY	Columbus & Greenville Railway
CBCX	Columbia Business Center
CBR	Coos Bay Rail Line
CC	CHICAGO, CENTRAL & PACIFIC RAILROAD COMPANY
CCHA	Columbus & Chattahoochee Railroad, Inc.
CERA	CENTRAL RAILROAD COMPANY OF INDIANAPOLIS
CFNR	CALIFORNIA NORTHERN RAILROAD CO.
CFRC	CENTRAL FLORIDA RAIL CORRIDOR
CIC	Cedar Rapids and Iowa City Railway Company
CKIN	CHESAPEAKE AND INDIANA RAILROAD CO. INC.
CLC	COLUMBIA & COWLITZ RAILWAY, LLC
CMEM	Cargill Memphis

**Respondent**

<u>Codes</u>	<u>Respondent Names</u>
CMQX	Central Maine & Quebec Railway
CMR	CENTRAL MIDLAND RAILWAY
CMTY	Capital Metropolitan Transportation Authority
CN	Canadian National Railway Company
COP	City of Prineville Railway
CORP	CENTRAL OREGON & PACIFIC RAILROAD, INC.
CP	CANADIAN PACIFIC RAILWAY
CRL	CHICAGO RAIL LINK
CRSH	Consolidated Rail Corporation
CSCD	CASCADE AND COLUMBIA RIVER RAILROAD CO.
CSX	CSX TRANSPORTATION, INC.
CTM	Chicago Terminal Railroad
CTN	CANTON RAILROAD COMPANY
CTRR	CLOQUET TERMINAL RR CO INC
CVR	Cimarron Valley Railroad
CWRO	Cleveland Works Railway Co.
DCR	Delmarva Central Railroad
DEAD	DEAD RIVER COMPANY
DGNO	Dallas, Garland and Northeastern Railroad, Inc.
DME	Dakota, Minnesota & Eastern Railroad Co.
DMVW	DAKOTA MISSOURI VALLEY AND WESTERN
DQE	DEQUEEN AND EASTERN RAILROAD, LLC
DR	DARDANELLE & RUSSELLVILLE RAILROAD
DSC	Drake Switching Company, LLC.
DSRC	DAKOTA SOUTHERN RAILWAY COMPANY
EDW	EL DORADO & WESSON RAILWAY CO.
EEC	EAST ERIE COMMERCIAL RAILROAD
EIRR	Eastern Idaho Railroad, LLC
ELS	ESCANABA AND LAKE SUPERIOR RAILROAD CO.
EMRY	Eastern Maine Railway
ESPN	East Penn Railroad LLC
EWG	EASTERN WASHINGTON GATEWAY RAILROAD
FCEN	FLORIDA CENTRAL RAILROAD CO.
FCR	Fulton County Railway, LLC.
FCTY	FULTON COUNTY RAILROAD
FMWX	FILLMORE AND WESTERN RAILWAY
FNOR	FLORIDA NORTHERN RAILROAD COMPANY INC.
FWWR	FORT WORTH & WESTERN RAILROAD
GCSR	Gulf, Colorado & San Saba Railway

**Respondent**

<u>Codes</u>	<u>Respondent Names</u>
<b>GDLK</b>	<b>GRAND ELK RAILROAD, LLC.</b>
<b>GFRR</b>	<b>GEORGIA AND FLORIDA RAILWAY, INC.</b>
<b>GLC</b>	<b>GREAT LAKES CENTRAL RAILROAD</b>
<b>GMRC</b>	<b>GREEN MOUNTAIN RAILROAD CORPORATION</b>
<b>GNBC</b>	<b>GRAINBELT CORPORATION</b>
<b>GNRL</b>	<b>GNP RAILWAY INC.</b>
<b>GNRR</b>	<b>GEORGIA NORTHEASTERN RAILROAD COMPANY, LLC</b>
<b>GNWR</b>	<b>GENESEE AND WYOMING RAILROAD COMPANY</b>
<b>GRNW</b>	<b>Great Northwest Railroad, LLC</b>
<b>GRYR</b>	<b>Grenada Railroad, LLC</b>
<b>GS</b>	<b>Georgia Southern Railway Company</b>
<b>GSM</b>	<b>GREAT SMOKEY MOUNTAIN RAILWAY</b>
<b>GTRA</b>	<b>GOLDEN TRIANGLE RAILROAD, LLC</b>
<b>GWR</b>	<b>GREAT WESTERN RAILWAY COMPANY</b>
<b>GWWL</b>	<b>Genesis Worldwide Logistics LLC</b>
<b>HERQ</b>	<b>Herzog Railraod Services</b>
<b>HRRC</b>	<b>HOUSATONIC RAILROAD COMPANY, INC.</b>
<b>IAIS</b>	<b>Iowa Interstate Railroad</b>
<b>IHB</b>	<b>Indiana Harbor Belt Railroad Company</b>
<b>INRD</b>	<b>The Indiana Rail Road Company</b>
<b>IORY</b>	<b>INDIANA &amp; OHIO RAILWAY COMPANY</b>
<b>JCIV</b>	<b>Jacintoport International LLC</b>
<b>KCS</b>	<b>The Kansas City Southern Railway Company</b>
<b>KCT</b>	<b>KANSAS CITY TERMINAL RAILWAY COMPANY</b>
<b>KFR</b>	<b>KETTLE FALLS INTERNATIONAL RAILWAY, LLC.</b>
<b>KJRY</b>	<b>KEOKUK JUNCTION RAILWAY COMPANY</b>
<b>KNOR</b>	<b>KLAMATH NORTHERN RAILWAY COMPANY</b>
<b>KNWA</b>	<b>Kanawha River Railroad</b>
<b>KRR</b>	<b>KIAMICHI RAILROAD CO., LLC.</b>
<b>KYLE</b>	<b>KYLE RAILROAD CO.</b>
<b>LAJ</b>	<b>LOS ANGELES JUNCTION RAILWAY COMPANY</b>
<b>LBWR</b>	<b>Lubbock &amp; Western Railway, L.L.C.</b>
<b>LI</b>	<b>LONG ISLAND RAILROAD</b>
<b>LSRC</b>	<b>LAKE STATE RAILWAY COMPANY</b>
<b>LVRR</b>	<b>LYCOMING VALLEY RAILROAD</b>
<b>MACZ</b>	<b>MARYLAND TRANSIT ADMINISTRATION</b>
<b>MBRR</b>	<b>Meridian &amp; Bigbee Railroad, LLC.</b>
<b>MBTA</b>	<b>Massachusetts Bay Transportation Authority</b>
<b>MCRL</b>	<b>Massachusetts Coastal Railroad LLC</b>

**Respondent**

<u>Codes</u>	<u>Respondent Names</u>
MDDE	MARYLAND AND DELAWARE RAILROAD COMPANY
MDS	MERIDIAN SOUTHERN RAILWAY
MEC	Maine Central Railroad Company
MH	MOUNT HOOD RAILWAY COMPANY
MNA	MISSOURI & NORTHERN ARKANSAS RAILROAD CO., INC.
MNBR	Meridian and Bigbee Railroad, LLC
MNCW	Metro-North Commuter Railroad Company
MNNR	MINNESOTA COMMERCIAL RAILWAY
MNR	Maine Northern Railway Company
MOR	MOR, LLC.
MRA	Mineral Range Inc.
MRL	Montana Rail Link
MSDR	MISSISSIPPI DELTA RAILROAD
NCTC	North County Transit Coaster
NCVA	NORTH CAROLINA & VIRGINIA RAILROAD CO., LLC
NECR	NEW ENGLAND CENTRAL RAILROAD, INC.
NERR	NASHVILLE & EASTERN RAILROAD
NHN	New Hampshire North Coast Railroad
NHRR	New Hope & Ivyland Railroad
NJTR	NEW JERSEY TRANSIT RAIL OPERATIONS
NKCR	NEBRASKA KANSAS & COLORADO RAILNET, INC.
NMRX	NEW MEXICO DEPARTMENT OF TRANSPORTATION
NOGC	NEW ORLEANS & GULF COAST RAILWAY CO., INC.
NOPB	NEW ORLEANS PUBLIC BELT RAILROAD CORP
NPB	Norfolk & Portsmouth Belt Line Railroad Company
NSCR	NORTHSTAR COMMUTER RAIL
NYA	NEW YORK AND ATLANTIC RAILWAY COMPANY
NYSW	The New York Susquehanna and Western Railway Corp.
OCTL	OIL CREEK & TITUSVILLE LINES, INC.
OERR	Oregon Eastern Railroad
OHCR	Ohio Central Railroad, Inc.
OHIO	Ohio Terminal Railway Co.
OMTX	OmniTRAX Inc.
PAL	PADUCAH & LOUISVILLE RAILWAY COMPANY
PAS	Pan Am Southern LLC.
PCC	Palouse River & Coulee City Railroad, LLC
PCJX	PENINSULA CORRIDOR JOINT POWERS BOARD
PNWR	PORTLAND AND WESTERN RAILROAD INC.
PR	Palmetto Railroad



**Respondent**

<u>Codes</u>	<u>Respondent Names</u>
PSRM	PACIFIC SOUTHWEST RAILWAY MUSEUM
PW	PROVIDENCE AND WORCESTER RR COMPANY
RJCP	R. J. Corman Railroad Company/Pennsylvania Lines
SAPT	SAVANNAH PORT TERMINAL RAILROAD
SBG	Savage Bingham & Garfield Railroad Company
SCAX	Southern California Regional Rail Authority
SCCT	SANTA CLARA COUNTY TRANSIT DISTRICT
SCIH	SOUTH CHICAGO & INDIANA HARBOR RAILWAY
SCX	Santa Cruz and Monterey Bay Railway Co.
SDTI	SAN DIEGO METROPOLITAN TRANSIT SYSTEM
SEPA	Southeastern Pennsylvania Transportation Authority
SFRV	South Florida Regional Transportation Authority
SGSC	SGS Petroleum Service Corporation
SIRS	Savage Industrial Rail Services, Inc.
SJVR	San Joaquin Valley Railroad Co.
SKOL	South Kansas and Oklahoma Railroad Company
SLC	San Luis Central Railroad Company
SLGW	Salt Lake, Garfield & Western Railway Company
SLR	ST. LAWRENCE & ATLANTIC RAILROAD COMPANY
SLRG	SAN LUIS & RIO GRANDE RAILROAD
SLWC	Stillwater Central Railroad Company, LLC
SM	St. Mary's Railroad Company
SMRT	Sonoma Marin Area Rail Transit (SMART)
SNC	Saratoga & North Creek Railway, LLC
SOU	Norfolk Southern Railway Company
SRN	SABINE RIVER & NORTHERN RAILROAD COMPANY
SS	SAND SPRINGS RAILWAY COMPANY
ST	SPRINGFIELD TERMINAL RAILWAY COMPANY
STE	STOCKTON TERMINAL AND EASTERN RAILROAD
SW	Southwestern Railroad, Inc.
SYSI	SAVAGE YARD SERVICES INC
TASD	Terminal Railway Alabama State Docks
TIBR	Timberrock Railroad Company, LLC
TMBL	Tacoma Municipal Belt Line Railway
TNMR	TEXAS & NEW MEXICO RAILWAY COMPANY
TPW	Toledo, Peoria and Western Railway Corp.
TRC	TRONA RAILWAY COMPANY
TRMW	Tacoma Rail
TRRA	Terminal Railroad Association of St. Louis

**Respondent**

<u>Codes</u>	<u>Respondent Names</u>
TSR	TEXAS STATE RAILROAD
TSRR	TENNESSEE SOUTHERN RAILROAD COMPANY, LLC
TSWS	Terminal Switching Services
TXN	Texas New Mexico Railway, LLC.
TXNW	TEXAS NORTHWESTERN RAILWAY COMPANY
UFRC	UTAH FRONTRUNNER COMMUTER RAIL
UP	Union Pacific Railroad Company
VR	Valdosta Railway, L.P.
VSOR	VICKSBURG SOUTHERN RAILROAD
WATX	WATCO Switching
WE	Wheeling & Lake Erie Railway Company
WHIR	Whirlpool Corporation
WNYP	WESTERN NEW YORK & PENNSYLVANIA RAILROAD
WPRR	WILLIAMETTE AND PACIFIC RAILROAD, INC.
WSS	WINSTON-SALEM SOUTHBOUND RAILWAY
WTJR	WICHITA, TILLMAN AND JACKSON RY. CO., INC.
WTLC	West Texas and Lubbock Railway Company
WVC	WEST VIRGINIA CENTRAL RAILROAD
WW	WINCHESTER AND WESTERN RAILROAD COMPANY
XAHM	American Honda Motors
XAIR	Airgas Carbonic Industries, Inc.
XAMA	American Auto Works, LLC
XAWS	Archer Western Contractors
XBBR	Bombardier Mass Transit Corporation
XBCP	BP Cherry Point Refinery
XBRI	BALFOUR BEATTY RAIL, INC.
XCAI	Cargill, Inc.
XCHS	CHS, INC.
XCIH	Chemsolv Inc.
XCPT	Center Point Terminal Company
XCRB	Colo Railroad Builders
XCSG	Certainteed Saint-Gobain
XCSK	CSX Transportation Storekeeper
XCVA	CEVA Logistics
XCWW	CW&W CONTRACTORS
XDOO	Dooleys Petroleum Inc.
XFBR	Fibrant LLC
XFLD	Florida Distillers Company
XFMC	FREEPORT-MCMORAN INC.

**Respondent**

<b><u>Codes</u></b>	<b><u>Respondent Names</u></b>
<b>XFUJ</b>	<b>Fuji Hunt Photo Chemicals</b>
<b>XGEI</b>	<b>GULFMARK ENERGY, INC.</b>
<b>XGEO</b>	<b>Georgia Pacific, LLC.</b>
<b>XGLK</b>	<b>Great Lakes Water Authority</b>
<b>XHLL</b>	<b>Holland LP</b>
<b>XICB</b>	<b>INCOBRASA INDUSTRIES, LTD</b>
<b>XLCS</b>	<b>Lamberts Cable Splicing Company, LLC.</b>
<b>XLOV</b>	<b>Loveland Products Inc.</b>
<b>XLTC</b>	<b>Lambent Technologies Corporation</b>
<b>XMAG</b>	<b>Matheson Gas Company</b>
<b>XMDA</b>	<b>Midland Asphalt Materials Inc.</b>
<b>XMKW</b>	<b>MarkWest Hydrocarbon, L.L.C.</b>
<b>XMPM</b>	<b>MOMENTIVE PERFORMANCE MATERIALS, INC.</b>
<b>XMSW</b>	<b>MI SWACO</b>
<b>XMVM</b>	<b>McKenzie Valve &amp; Machining Co.</b>
<b>XNSD</b>	<b>New South Distribution, Inc.</b>
<b>XQDI</b>	<b>Quality Distribution Inc.</b>
<b>XRJC</b>	<b>R. J. Corman Construction</b>
<b>XRMA</b>	<b>Rocky Mountain Agronomics, Inc.</b>
<b>XRNN</b>	<b>Roadrunner Transportation</b>
<b>XRPI</b>	<b>Rail Pros, Inc.</b>
<b>XRRP</b>	<b>Railroad Protective Services, Inc.</b>
<b>XSBK</b>	<b>Superior Bulk Logistics, Inc.</b>
<b>XSER</b>	<b>Sem Minerals</b>
<b>XSNJ</b>	<b>SOUTHERN NEW JERSEY LIGHT RAIL GROUP, LLC</b>
<b>XSRS</b>	<b>Sperry Rail Service (SPRQ)</b>
<b>XSSP</b>	<b>Solvay Specialty Polymers USA LLC</b>
<b>XSTH</b>	<b>Sawtooth NGL Caverns</b>
<b>XTEC</b>	<b>Techno Adhesives Company</b>
<b>XTGS</b>	<b>Trans-Global Solutions, Inc.</b>
<b>YVRR</b>	<b>Yadkin Valley Railroad Co.</b>
<b>ZAAO</b>	<b>AOC LLC</b>
<b>ZABC</b>	<b>ABC COKE</b>
<b>ZABS</b>	<b>ABF Freight System, Inc.</b>
<b>ZACR</b>	<b>ADM CORN PROCESSING</b>
<b>ZADN</b>	<b>THE ANDERSONS, INC.</b>
<b>ZAEM</b>	<b>Agri-Empresa Transload &amp; Storage, LLC</b>
<b>ZAEN</b>	<b>Altex Energy, Ltd.</b>
<b>ZAEO</b>	<b>ARLANXEO Canada Inc.</b>

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZAEX	ALPHA EXPLOSIVES
ZAFQ	Afton Chemical Corporation
ZAG	Ash Grove Cement Company
ZAGA	Airgas Carbonic
ZAGP	AG PROCESSING INC.
ZAGT	AmeriGas Propane L.P.
ZAHL	Ashland, Inc.
ZAID	Austin Industries, Inc.
ZAIV	Addivant
ZAKN	Akzo Nobel Functional Chemicals LLC
ZALA	ALON ASPHALT
ZALG	Amalgamated Sugar Company
ZALQ	Airgas, an Air Liquide Company
ZALTI	Altivia Petrochemicals, LLC
ZAMC	ARCHER DANIELS MIDLAND CO.
ZAMRI	AMERICAN RAILCAR INDUSTRIES
ZAMV	AMVAC CHEMICAL CORPORATION
ZAND	THE ANDERSONS, INC.
ZAPM	Ascend Performance Materials LLC
ZARGR	American Refining Group, Inc.
ZARJ	Arrow Material Services
ZARK	ARKEMA, INC.
ZASR	AMERICAN SYNTHETIC RUBBER COMPANY
ZASY	Americas Styrenics
ZAUL	ALLIED UNIVERSAL CORPORATION
ZAVX	AdvanSix
ZAXI	Axiall Corporation
ZBAC	Base, Inc.
ZBADG	BADGER STATE ETHANOL
ZBAK	BAKER PETROLITE CORPORATION
ZBAN	Bulk Trans, Inc.
ZBAS	BASF CORPORATION
ZBCU	Blue Cube Operations LLC - Olin Chlor Alkali Logis
ZBEP	Buckeye Partners
ZBGL	Brenntag Great Lakes, LLC
ZBHM	BHS Specialty Chemical Products
ZBMR	Benchmark River & Rail Terminals
ZBMS	BRENNTAG MID-SOUTH, INC.
ZBRM	Blue Racer Midstream, LLC

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZBRP	BRENNTAG PACIFIC, INC.
ZBRY	Berryman Chemical, Inc.
ZBSN	Basin Transload, LLC
ZBTA	Bio Trans Modal, LLC
ZBTC	BULK TRANSPORTATION COMPANY
ZBTM	Buckeye Terminals LLC-Macungie
ZBUT	BioUrja Trading LLC
ZBWW	BUTTONWILLOW WAREHOUSE COMPANY
ZBYS	Battery Solutions
ZCAB	CABOT CORP.
ZCAM	CALIFORNIA AMMONIA COMPANY
ZCAU	Carbellus, LLC.
ZCBK	C&C Bulk Liquid Transfer, Inc.
ZCCF	Consumer Co-Op Refiners
ZCCM	CARGILL-CORN MILLING DIVISION
ZCCN	Clearon Corporaton
ZCDA	Canada Colors & Chemicals LTD.
ZCDY	Cody Group Inc.
ZCEE	Centennial Energy
ZCEF	CHIEF ETHANOL FUELS
ZCELA	Celanese
ZCFC	Chemours Co. FC, LLC
ZCHX	CLEAN HARBORS ENVIRONMENTAL SERVICES, INC.
ZCHY	Catalyst & Chemical Containers, Inc.
ZCIE	CENTRAL INDIANA ETHANOL
ZCJZ	Caljet of America
ZCLQ	CORN LP
ZCLX	CHEMTRADE LOGISTICS
ZCMA	CMA-CGM (AMERICA)
ZCME	Calumet Montana Refining, LLC
ZCMP	CHEMICAL PRODUCTS CORPORATION
ZCNC	CHEROKEE NITROGEN
ZCNL	Canal Terminal Company
ZCORN	CORN PLUS
ZCOV	Covestro LLC.
ZCOY	Coastal Energy Corporation
ZCPSI	CROP PRODUCTION SERVICE, INC.
ZCRY	CHEMTRADE REFINERY SERVICES, INC.
ZCRZ	Cornerstone Chemical Company

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZCSF	Chemical Systems of Florida, Inc.
ZCSPI	CHEMICAL SPECIALTIES, INC.
ZCT	COLONIAL TERMINALS
ZCUI	Chevron USA, Inc.
ZCYS	Cornerstone Systems (CTSQ)
ZDAK	DAK AMERICAS LLC
ZDCM	DOVER CHEMICAL CORP.
ZDCU	The Dow Chemical Company
ZDET	DIDION ETHANOL
ZDKR	DELEK REFINING, LTD.
ZDMX	DuPont de Mexico S.A. de C.V
ZDNA	Diageo Americas Supply, Inc.
ZDPM	DCP MIDSTREAM
ZDSP	DIMMITT SULFUR PRODUCTS, LTD
ZDUB	DU BOIS Chemicals
ZDUK	DUKE ENERGY
ZDUP	E.I. DUPONT DE NEMOURS AND COMPANY
ZDYI	DYNO NOBEL, INC.
ZEACH	EASTMAN CHEMICAL COMPANY
ZECD	EMCO CHEMICAL DISTRIBUTORS, INC.
ZECDP	EPCO CARBON DIOXIDE PRODUCTS
ZECQ	E & C Chemicals, Inc
ZEJO	Exxon Mobil-Joliet Refinery
ZEME	Emerald Performance Materials
ZEMER	EMERALD SERVICES, INC.
ZEMT	Emerald Transformer
ZENK	EnLink Midstream
ZEPC	Enterprise Products Operating LLC
ZEPG	EASTERN PROPANE GAS, INC.
ZEPZ	Enterprise Products Operating LLC
ZEQU	EQUISTAR CHEMICALS LP
ZESG	Energy Services Group, Inc.
ZESR	Eco Services Operations Corp.
ZETT	Endeavor Tank & Transport LLC
ZEVC	EVONIK CYRO LLC
ZEVD	Evonik Corporation
ZFAL	Forbo Adhesives LLC
ZFAS	Fort Amanda Specialities LLC
ZFBB	FIREBIRD BULK CARRIERS, INC.

**Respondent**

<u>Codes</u>	<u>Respondent Names</u>
ZFBI	FALCON BRIDGE LIMITED
ZFCQ	FMC CORPORATION - HYDROGEN PEROXIDE DIVISION
ZFEQ	Feed Energy Company
ZFFP	FLEXIBLE FOAM PRODUCTS
ZFGC	FERRELL GAS, INC.
ZFHR	Flint Hills Resources
ZFIC	Flint Group North America
ZFIT	Fortron Industries
ZFKP	Foremark Performance Chemical
ZFLS	Frontier Logistical Services
ZFMB	Flambeau River Papers
ZFMJ	FMC, INDUSTRIES
ZFNS	FNS, INC.
ZFON	Fonbrai Inc.
ZFOR	HollyFrontier El Dorado Refining LLC
ZFOT	FARSTAD OIL COMPANY
ZFPC	FORMOSA PLASTICS CO.
ZFPI	FOAMEX PRODUCTS INC.
ZFRR	FRONT RANGE ENERGY LLC
ZFSQ	Quimica Fluor S.A. de C.V.
ZFTP	FERTILIZANTES TEPEYAC/PRODUCTORA DEFERTILIZANTES
ZFUR	First Union Rail Corporation
ZFVP	First Virginia Propane, Inc.
ZFXI	FXI
ZGDB	GDB INTERNATIONAL, INC.
ZGDE	Garmi Del Norte, S.A. DE C.V.
ZGEO	Geo Specialty Chemicals, Inc.
ZGEPA	Georgia Pacific Company
ZGEU	GIBSON ENERGY LLC
ZGFE	Greenfield Ethanol, Inc.
ZGPE	Green Plains, Inc.
ZGPF	Georgia-Pacific Chemicals LLC.
ZGSR	Gas Supply Resources, LLC.
ZGSZ	SGS North America, Inc., Petroleum Service Corp.
ZGUS	GELITA USA
ZHAR	Harcros Chemicals Inc.
ZHCG	HUNTSMAN CORPORATION
ZHCH	HELENA CHEMICAL COMPANY
ZHCM	HCH Marketing Co.

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZHEI	HEXION Inc.
ZHFA	HollyFrontier Cheyenne Refining
ZHFR	HollyFrontier Refining & Marketing LLC
ZHLA	HAPAG - LLOYD AMERICA, INC.
ZHLR	Husky Lima Refinery
ZHMS	Husky Marketing and Supply Co.
ZHNI	Honeywell International, Inc.
ZHRM	HOLLY ENERGY PARTNERS
ZHUN	Huntsman Chemical Corporation
ZHWS	Hiram Walker & Sons, Inc.
ZHYC	HYDRITE CHEMICAL CO.
ZIEL	Chemco Ireland Limited
ZIML	IMTT - Lemont
ZIP	INTERNATIONAL PAPER COMPANY
ZIRO	IRVING OIL COMPANY
ZIRR	Ironedge Resources
ZITH	Interstate Chemical Inc.
ZIVE	Indorama Ventures
ZIWI	International Waxes, Inc.
ZIWT	Infiltrator Water Technologies
ZJCC	JCI JONES CHEMICALS, INC.
ZJMA	Johns Manville
ZJRS	J. R. SIMPLOT COMPANY
ZKAE	Kappa Ethanol
ZKAT	Kane Transport
ZKDM	Kinder Morgan Energy Partners, L.P.
ZKEL	KAAPA ETHANOL LLC
ZKEM	Kemira Water Solutions
ZKEN	KENNECOTT CORP.
ZKKC	KIK Custom Products, Inc.
ZKML	Kinder Morgan Liquids Terminals, LLC
ZKMQ	Kinder Morgan
ZKOR	KERN OIL AND REFINING COMPANY
ZKPI	Koppers Inc.
ZKRA	KRATON
ZKTS	KELLERSTRASS
ZKWS	KEMIRA WATER SOLUTIONS
ZKYE	Keyera Corp.
ZLAS	LOUISIANA SPECIALTY PRODUCTS, INCORPORATED



Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZLDE	LYONDELL CHEMICAL CO.
ZLDI	Linde North America, Inc.
ZLDR	Louis Dreyfus Company LLC
ZLEA	LaCrosse Solutions
ZLGD	Legend LLC
ZLHP	LBC Houston
ZLSH	Lone Star NGL Hattiesburg LLC
ZLUB	Lubrizol Corporation
ZLUIN	LUCITE INTERNATIONAL
ZLWD	LWD INCORPORATED
ZMAF	Maverick Fuel Oil Terminal
ZMAX	METHANEX METHANOL COMPANY
ZMFQ	Mosaic Fertilizer LLC
ZMGP	MGP Ingredients, Inc.
ZMHO	Monument Chemical Houston, Ltd.
ZMIP	MAERSK LINE, INC.
ZMKJ	Mizkan Americas, Inc.
ZMNE	McNeil PPC, Inc.
ZMNP	Marathon Petroleum Company
ZMNT	MARTIN OPERATING PARTNERSHIP LP
ZMNX	Maintex, Inc.
ZMQE	MARQUIS ENERGY, LLC
ZMRK	Maersk Line
ZMSL	MicroSource LLC
ZMTE	Motiva Enterprises LLC
ZMTR	MONTANA RESOURCES
ZMUN	The Mundy Companies
ZMUSK	MUSKET CORPORATION
ZMWE	Midwest Renewable Energy, LLC
ZNAL	Nalco Company
ZNBA	Noble Americas Corporation
ZNBX	NELSON BROTHERS
ZNCS	Nease Corporation
ZNDM	Domtar Paper Company LLC
ZNGE	NuGen Energy LLC
ZNGL	NGL Supply Wholesale, LLC
ZNPT	NewPort Tank Containers, Inc.
ZNSL	NGL SUPPLY COMPANY, LTD.
ZNSS	Northern Star Cooperative Service

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZNXE	Nexeo Solutions Company
ZOBC	OLD BRIDGE CHEMICAL, INC.
ZOCC	Occidental Chemical Corporation
ZOEE	One Earth Energy, LLC
ZOKH	ONEOK Hydrocarbon, L.P.
ZOLI	OLIN CORPORATION
ZOMP	OMEGA PARTNERS, LLC
ZONB	O'NEILL VINTNERS & DISTILLERS
ZONG	Conagra
ZOTER	ODFJELL TERMINALS (HOUSTON), INC.
ZOTT	Oiltanking Texas City L.P.
ZPAE	PACIFIC ETHANOL, INC.
ZPCSI	P-C Sales & Services, Inc.
ZPCSS	PCS SALES (USA), INC.
ZPCU	Polynt Composites USA, Inc.
ZPGW	Pengrowth Energy Corporation
ZPHO	PCS PHOSPHATE COMPANY
ZPLA	PINE LAKE CORN PROCESSORS
ZPLS	PLAINS LPG SERVICES LP
ZPME	Plymouth Energy
ZPMS	Plains Midstream Canada, LLC
ZPNF	PCS Nitrogen Fertilizer
ZPNQ	PENCCO, Inc.
ZPOL	POOLE CHEMICAL CO.
ZPOTS	POTASH CORPORATION
ZPPJ	Pro Petroleum Incorporated
ZPRG	PREMCOR REFINING GROUP INC.
ZPRX	PRAXAIR, INC.
ZPVS	PVS Chemicals, Inc.
ZQTL	QUALITY TRANSLOAD
ZRAI	Rainy Lake Oil
ZRAS	Royal Adhesives & Sealants
ZRBA	RB Manufacturing - Hillsborough
ZRCA	Ruetgers Canada, Inc.
ZRFC	Superior Refining Company
ZRKM	Rocky Mountain Transload
ZRKP	Rockville Propane Terminal LLC.
ZRLG	Rail Link
ZRPM	Renewable Product Marketing Group, LLC

**Respondent**

<b><u>Codes</u></b>	<b><u>Respondent Names</u></b>
ZRSH	RSI LOGISTICS, INC.
ZRSO	Rail Solutions LLC
ZRTL	RAIL TERMINAL SERVICES
ZRVI	Servichem, Inc.
ZSAB	SABIC Innovative Plastics
ZSAM	Styrolution America LLC
ZSASN	SASOL CHEMICALS NORTH AMERICA
ZSCC	SHELL CHEMICAL LP
ZSHEL	SHELL CHEMICALS CANADA
ZSHIN	Savage Safe Handling
ZSHL	Shell Canada Products
ZSI	Southern Ionics, Inc.
ZSIND	SEELER INDUSTRIES
ZSIQ	SI Group, Inc.
ZSKE	Snake River Petroleum LLC
ZSKI	Safety-Kleen Systems, Inc.
ZSKS	Sekisui Chemical Company
ZSLH	Splash Products, Inc.
ZSMC	Scott Petroleum Corporation
ZSMZ	SAIA Motor Freight Line LLC
ZSNA	Schneider National Carriers, Inc.
ZSNG	Sun Gas Corporation
ZSOC	SHELL OIL COMPANY
ZSOLI	SOLUTIA, INC.
ZSRE	Suncor Energy Products, Inc.
ZSRZ	St. Paul Park Refining Co. LLC
ZSSCO	SAVAGE SERVICES CORPORATION
ZSSQ	ED Staub & Sons
ZSUF	Suffolk Solutions Inc.
ZSVC	SOLVAY CHEMICALS, INC.
ZSXL	Siouxland Energy and Livestock Cooperative
ZSYM	Symrise
ZTCML	TECK COMINCO METALS LTD.
ZTCZ	Samuel Coraluzzo Co., Inc.-Torrissi Transport
ZTDL	TDC LLC
ZTERM	TESORO REFINING AND MARKETING COMPANY
ZTIL	TERRA INTERNATIONAL
ZTIM	Tilden Mining Company
ZTLY	TATE & LYLE INGREDIENTS AMERICAS, INC.

**Respondent**

<b><u>Codes</u></b>	<b><u>Respondent Names</u></b>
ZTMT	TransMontaigne Product Services, Inc.
ZTPE	Texpar Energy LLC
ZTRG	Toledo Refining Company LLC
ZTRSP	TROPICAL SHIPPING USA, LLC
ZTSS	Tessengerlo Kerley, Inc.
ZTTM	Tradebe Treatment and Recycling, LLC
ZTTP	Tristar Transload PNW, Inc.
ZTUI	Turner Industries, LLC
ZTYR	TYREE OIL
ZUCL	UNIVAR CANADA LTD.
ZUNC	Union Carbide Corporation
ZUPZ	United Petroleum Transports, Inc.
ZURC	UNITED REFINING COMPANY
ZUSEP	U.S. ENERGY PARTNERS, LLC
ZUTC	UNION TANK CAR COMPANY
ZVALM	Valero Marketing and Supply Company
ZVCL	Vale Canada Limited
ZVES	Veolia ES Technical Solutions, L.L.C.
ZVGT	VAN-G LOGISTICS
ZVLQ	VALERO LP
ZVPK	Vopak USA
ZVRI	Virginia International Terminals, Inc.
ZVSA	Vopak Terminal Savannah
ZVSC	Valley Solvents & Chemicals
ZVSE	VERASUN ENERGY
ZVSI	Vertellus Agriculture & Nutrition Specialties LLC
ZVSW	Vopak Terminal South Wilmington
ZVTM	Vopak Terminals of Canada
ZVTZ	VOPAK TERMINAL DEER PARK
ZVUS	Viscofan USA, Inc.
ZWDB	Western Dubuque Biodiesel LLC
ZWEB	WEBB CHEMICAL SERVICE CORP.
ZWEN	Walter Energy
ZWHS	White Springs Agricultural Chemicals
ZWLL	The Williams Companies, Inc.
ZWLT	WOLF LAKE TERMINALS, INC.
ZWMS	WILLIAMS MIDSTREAM
ZWPCO	Western Petroleum Company
ZWRB	WRB Refining, LLC

**Respondent**

<u>Codes</u>	<u>Respondent Names</u>
ZWRC	WYOMING REFINING COMPANY
ZWRE	WESTERN REFINING COMPANY
ZWSA	WESTWOOD SHIPPING LINES, INC.
ZZAR	The Andersons, Inc.
ZZBT	Bulk Transfer, LLC.
ZZCT	CTI, Inc.
ZZIE	Ziegler Chemicals & Minerals Corp.
ZZPR	Prestone Products
ZZSG	Solar Gas, Inc.