

**Federal
Railroad
Administration**

Fiscal Year 2013

Enforcement Report

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Federal Railroad Administration Fiscal Year 2013 Enforcement Report

I. INTRODUCTION

The Federal Railroad Administration (FRA) has for at least the past 28 years compiled an annual civil penalty report that summarized the disposition of all instances in which FRA settled a claim for a civil penalty for violations of Federal railroad safety and hazardous materials (hazmat) statutes, regulations, and orders or in which FRA otherwise closed a case to collect a civil penalty for such a violation.¹ By law, FRA is authorized to endeavor to enter into negotiated settlements with railroads and other entities subject to its safety jurisdiction, in order to reach agreement on the resolution of claims for civil penalties imposed for failures to comply with specific requirements designed to promote and ensure the safety of the Nation's freight and passenger railroad operations.² FRA is also authorized to issue orders assessing civil penalties for violations of the hazardous materials statutes, regulations, and orders.³

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

The following information is included in this year's report, which focuses on activity during FY 2013:

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

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

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

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

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

**II. SUMMARY OF INSPECTIONS AND AUDITS PERFORMED AND
OF ENFORCEMENT ACTIONS RECOMMENDED
IN FY 2013**

**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: 69,377
Defects: 280,858
Units: 2,986,468
Number of Observations: 285,706
Number of Reports with a Recommended Violation: 3,546
Number of Recommended Violation Defects: 7,577
Number of Inspection Days: 52,788

2. Railroads Only

Number of Inspection Reports: 63,852
Defects: 266,510
Units: 2,928,657
Number of Observations: 268,502
Number of Reports with a Recommended Violation: 2,962
Number of Recommended Violation Defects: 6,137
Number of Inspection Days: 50,071

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

1. Accident/Incident Reporting

Violation Type	Number of Recommended Violations
Accident Reports Regulations	414

2. Grade Crossing Signal System Safety

Violation Type	Number of Recommended Violations
Grade Crossing Signal Safety	128

3. Hazardous Materials

Violation Type	Number of Recommended Violations
Hazardous Materials Regulations	1,744

4. Industrial Hygiene

Violation Type	Number of Recommended Violations
Occupational Noise Exposure	1

5. Motive Power and Equipment

Violation Type	Number of Recommended Violations
Freight Car Safety Standards	681
Locomotive Safety Standards	554
Passenger Equipment Safety Standards	43
Passenger Train Emergency Preparedness	0
Rear End Marking Devices	2
Safety Appliance Statutes and Regulations	1,405
Safety Glazing Standards	2
Steam Locomotive Inspection and Maintenance	1
All	2,688

6. Railroad Operating Practices

Violation Type	Number of Recommended Violations
Alcohol and Drug Use	49
Conductor Qualifications	14
Engineer Qualifications	87
Hours of Service Laws and Regulations	648
Railroad Communications	104
Railroad Operating Practices	630
Railroad Operating Rules	33
Railroad Safety Enforcement Procedures	35
Train Horn/Quiet Zone	3
All	1,603

7. Signal System Safety

Violation Type	Number of Recommended Violations
Signal Inspection Regulations	135

8. Track

Violation Type	Number of Recommended Violations
Bridge Worker Safety Standards	1
Roadway Worker Protection	87
Track Safety Standards	946
All	1,034

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

1. Class I Railroads

Number of Inspection Reports: 47,393
Defects: 198,315
Units: 2,362,675
Number of Observations: 202,535
Number of Reports with a Recommended Violation: 2,472
Number of Recommended Violation Defects: 5,254
Number of Inspection Days⁵: 38,017

2. Probable Class II Railroads⁶

Number of Inspection Reports: 2,296
Defects: 12,913
Units: 135,656
Number of Observations: 9,968
Number of Reports with a Recommended Violation: 76
Number of Recommended Violation Defects: 140
Number of Inspection Days: 1,905

⁵ The total number of inspection days for Class I Railroads in II.C.1 of this report is less than the sum of all of the individual Class I railroads' inspection days cited in II.D.1-8 of this report. This difference is because FRA inspectors may visit more than one Class I railroad in a day. The same is true for the total number of inspection days for probable Class II and probable Class III railroads.

⁶ FRA has identified seven of the eight Class I railroads based on their filings of information for calendar year 2012—the latest year available (regarding their annual operating revenues) with the Surface Transportation Board (STB). See STB Web site (<http://www.stb.dot.gov>) under “All Economic Data” and then “Annual Report Financial Data.” FRA has identified the eighth Class I railroad, the National Railroad Passenger Corp. (Amtrak) based on FRA research into other data. STB requires such filings only from Class I railroads. See 49 C.F.R. 1241.11 and Ex Parte No. 393 (Sub-No. 2), decided Oct. 28, 1988, 1988 WL 224990 (I.C.C.). As a general rule, Class II and III railroads are not required to report their annual operating revenues; therefore, FRA has identified probable Class II railroads and probable Class III railroads based on its research of railroad revenues, which does not cover commuter railroads. FRA concludes that the following railroads are probably Class II railroads: Alaska Railroad Corp.; Buffalo & Pittsburgh Railroad, Inc.; Florida East Coast Railway Co.; Iowa Interstate Railroad, Ltd.; Montana Rail Link; Montreal, Maine and Atlantic Railway, Ltd.; Portland & Western Railroad, Inc.; Springfield Terminal Railway Co. and other regional railroads of Boston & Maine Corp., Maine Central Railroad Co., and Portland Terminal Co. (*all held by Pan Am Railways, Inc.*); Wheeling & Lake Erie Railway Co.; and Wisconsin & Southern Railroad Co. It should be noted that switching and terminal railroads are, by definition, classified as Class III railroads, without regard to their annual operating revenues. 49 C.F.R. 1201.1-1(d).

3. Probable Class III Railroads

Number of Inspection Reports: 14,170
Defects: 55,323
Units: 430,361
Number of Observations: 56,051
Number of Reports with a Recommended Violation: 416
Number of Recommended Violation Defects: 746
Number of Inspection Days: 12,077

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

1. BNSF Railway Company

Number of Inspection Reports: 8,642
Defects: 37,260
Units: 434,062
Number of Observations: 35,623
Number of Reports with a Recommended Violation: 584
Number of Recommended Violation Defects: 1,169
Number of Inspection Days: 7,402

2. Canadian National Railway/Grand Trunk Corporation

Number of Inspection Reports: 2,772
Defects: 12,714
Units: 138,795
Number of Observations: 11,560
Number of Reports with a Recommended Violation: 191
Number of Recommended Violation Defects: 858
Number of Inspection Days: 2,357

3. Canadian Pacific Railway/Soo Line Railroad Company

Number of Inspection Reports: 1,261
Defects: 5,740
Units: 83,540
Number of Observations: 5,368
Number of Reports with a Recommended Violation: 112
Number of Recommended Violation Defects: 291
Number of Inspection Days: 1,050

4. CSX Transportation, Inc.

Number of Inspection Reports: 11,158
Defects: 48,722
Units: 588,348
Number of Observations: 50,012
Number of Reports with a Recommended Violation: 337
Number of Recommended Violation Defects: 610
Number of Inspection Days: 9,314

5. The Kansas City Southern Railway Company

Number of Inspection Reports: 1,189
Defects: 4,537
Units: 57,030
Number of Observations: 5,115
Number of Reports with a Recommended Violation: 43
Number of Recommended Violation Defects: 84
Number of Inspection Days: 1,079

6. National Railroad Passenger Corporation (Amtrak)

Number of Inspection Reports: 1,708
Defects: 2,205
Units: 20,830
Number of Observations: 6,627
Number of Reports with a Recommended Violation: 58
Number of Recommended Violation Defects: 75
Number of Inspection Days: 1,425

7. Norfolk Southern Railway Company

Number of Inspection Reports: 7,856
Defects: 35,191
Units: 454,266
Number of Observations: 34,356
Number of Reports with a Recommended Violation: 340
Number of Recommended Violation Defects: 756
Number of Inspection Days: 6,631

8. Union Pacific Railroad Company

Number of Inspection Reports: 12,807

Defects: 51,946

Units: 615,804

Number of Observations: 53,874

Number of Reports with a Recommended Violation: 807

Number of Recommended Violation Defects: 1,411

Number of Inspection Days: 10,670

III. CIVIL PENALTY ASSESSMENT AND SETTLEMENT SUMMARIES IN FY 2013

A. IN GENERAL⁷

Summary 1

Assessment and Settlement Summary 1, below, reflects—

- the number of violations for which civil penalties were initially assessed and violation reports were transmitted to respondents (under demand letters or, in cases under the hazmat laws, notices of probable violation) during FY 2013;
- the number of violation reports for which enforcement was declined during legal review in FY 2013;
- the initial amount of civil penalties assessed for violations during FY 2013 (i.e., the amount of the civil penalty specified in FRA’s demand letter or, for hazmat cases, a notice of probable violation that was dated sometime in FY 2013 and transmitted to a respondent) regardless of whether or not the cases were closed during FY 2013;
- the initial amount of the civil penalties assessed (which is the “potential collectible amount” or “POCA,” as listed in FRA’s traditional civil penalty report in Attachment A) in all cases that were settled or otherwise closed (e.g., by FRA’s issuance of an order assessing a civil penalty in a hazmat case or by the respondent’s paying of the civil penalty in full without entering into a settlement agreement with FRA) during FY 2013; and
- the final amount of the settlement (or the final amount of the civil penalties assessed) during FY 2013.⁸

Summary 1 provides a broad overview of penalties initially assessed during FY 2013, the initial penalty assessment for cases closed during FY 2013, and the amount of the settlement or the final assessment of civil penalty, with an emphasis on the initial assessment of civil penalties. FRA has transitioned to a paperless enforcement system for most of the major railroads, and under that system, in order to enhance the readability of the cases on the computer screen, a case is comprised of only violation report, and not multiple reports as in the past.

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

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

Summary 2

To provide more transparency, Assessment and Settlement Summary 2, below, reflects initial assessment information only for those cases closed during FY 2013. **All numbers in Summary 2 reflect the initial assessments that resulted in FY 2013 settlements even though the initial assessments may have occurred in a prior fiscal year.** This summary provides the reader with (1) the difference between the initial amount of civil penalties assessed and the settlement (or final assessment) amount, and (2) the difference between the revised assessment amount (or what Attachment A describes as the “provable collectible amount” or “PRCA”) and the final assessment or settlement amount.

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

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

Total number of cases with civil penalties initially assessed in FY 2013:	3,602
Total number of violations with civil penalties initially assessed in FY 2013:	5,441
Total number of violation reports declined during legal review in FY 2013:	367
Total initial amount of civil penalties assessed (POCA) for violations in cases transmitted in FY 2013:	\$20,527,499
Total initial amount of civil penalties assessed (POCA) for violations in cases finally assessed or settled in FY 2013:	\$22,382,999
Total final civil penalty assessment or settlement in FY 2013:	\$13,919,119

C. BREAKDOWN OF INITIAL ASSESSMENTS IN SUMMARY 1

1. For Each Class I Railroad Individually in FY 2013

BNSF RAILWAY COMPANY

Number of cases with civil penalties initially assessed:	398
Number of violations with civil penalties initially assessed:	696
Number of violation reports declined during legal review:	19
Initial amount of civil penalty assessed:	\$2,500,000

CANADIAN NATIONAL RAILWAY/GRAND TRUNK CORPORATION

Number of cases with civil penalties initially assessed:	168
Number of violations with civil penalties initially assessed:	285
Number of violation reports declined during legal review:	22
Initial amount of civil penalty assessed:	\$796,000

CANADIAN PACIFIC RAILWAY/SOO LINE RAILROAD COMPANY

Number of cases with civil penalties initially assessed:	72
Number of violations with civil penalties initially assessed:	136
Number of violation reports declined during legal review:	8
Initial amount of civil penalty assessed:	\$509,000

CSX TRANSPORTATION, INC.

Number of cases with civil penalties initially assessed:	389
Number of violations with civil penalties initially assessed:	511
Number of violation reports declined during legal review:	34
Initial amount of civil penalty assessed:	\$1,762,500

THE KANSAS CITY SOUTHERN RAILWAY COMPANY

Number of cases with civil penalties initially assessed:	57
Number of violations with civil penalties initially assessed:	83
Number of violation reports declined during legal review:	9
Initial amount of civil penalty assessed:	\$334,000

NATIONAL RAILROAD PASSENGER CORPORATION (AMTRAK)

Number of cases with civil penalties initially assessed:	59
Number of violations with civil penalties initially assessed:	71
Number of violation reports declined during legal review:	33
Initial amount of civil penalty assessed:	\$212,500

NORFOLK SOUTHERN RAILWAY COMPANY

Number of cases with civil penalties initially assessed:	318
Number of violations with civil penalties initially assessed:	436
Number of violation reports declined during legal review:	136
Initial amount of civil penalty assessed:	\$1,691,500

UNION PACIFIC RAILROAD COMPANY

Number of cases with civil penalties initially assessed:	1,069
Number of violations with civil penalties initially assessed:	1,459
Number of violation reports declined during legal review:	23
Initial amount of civil penalty assessed:	\$5,362,500

2. For Probable Class II Railroads in Aggregate in FY 2013

Number of cases with civil penalties initially assessed:	61
Number of violations with civil penalties initially assessed:	121
Number of violation reports declined during legal review:	4
Initial amount of civil penalty assessed:	\$361,000

3. For Probable Class III Railroads in Aggregate in FY 2013

Number of cases with civil penalties initially assessed:	420
Number of violations with civil penalties initially assessed:	729
Number of violation reports declined during legal review:	46
Initial amount of civil penalty assessed:	\$2,877,500

4. For Hazmat Shippers in Aggregate in FY 2013

Number of cases with civil penalties initially assessed:	528
Number of violations with civil penalties initially assessed:	831
Number of violation reports declined during legal review:	24
Initial amount of civil penalty assessed:	\$3,786,999

5. For Contractors in Aggregate in Fiscal Year 2013

Number of cases with civil penalties initially assessed:	63
Number of violations with civil penalties initially assessed:	83
Number of violation reports declined during legal review:	9
Initial amount of civil penalty assessed:	\$334,000

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

Total number of cases closed in FY 2013:	3,152
Total number of violations in cases closed in FY 2013:	6,124
Total initial amount of civil penalty assessed for cases closed (POCA):	\$22,382,999
Total final amount of civil penalty assessed or settlement for cases closed:	\$13,919,119
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$2,050,000
Amount of revised assessment after terminations (PRCA):	\$20,332,999
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$8,463,880
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$6,413,880

E. BREAKDOWN OF SETTLEMENTS AND FINAL ASSESSMENTS IN SUMMARY 2

1. For Each Class I Railroad Individually in FY 2013

BNSF RAILWAY COMPANY

Number of cases closed:	370
Number of violations in cases closed:	1,037

Initial amount of civil penalty assessed for cases closed (POCA):	\$3,552,500
Final amount of civil penalty assessed or settlement for cases closed:	\$2,292,010
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$36,000
Amount of revised assessment after terminations (PRCA):	\$3,516,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$1,260,490
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$1,224,490

CANADIAN NATIONAL RAILWAY/GRAND TRUNK CORPORATION

Number of cases closed:	116
Number of violations in cases closed:	241
Initial amount of civil penalty assessed for cases closed (POCA):	\$693,500
Final amount of civil penalty assessed or settlement for cases closed:	\$460,305
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$13,000
Amount of revised assessment after terminations (PRCA):	\$680,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$233,195
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$220,195

CANADIAN PACIFIC RAILWAY/SOO LINE RAILROAD COMPANY

Number of cases closed:	105
Number of violations in cases closed:	208

Initial amount of civil penalty assessed for cases closed (POCA):	\$616,000
Final amount of civil penalty assessed or settlement for cases closed:	\$410,950
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$23,500
Amount of revised assessment after terminations (PRCA):	\$592,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$205,050
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$181,550

CSX TRANSPORTATION, INC.

Number of cases closed:	313
Number of violations in cases closed:	610
Initial amount of civil penalty assessed for cases closed (POCA):	\$1,882,500
Final amount of civil penalty assessed or settlement for cases closed:	\$1,182,970
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$80,500
Amount of revised assessment after terminations (PRCA):	\$1,802,000
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$699,530
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$619,030

THE KANSAS CITY SOUTHERN RAILWAY COMPANY

Number of cases closed:	73
Number of violations in cases closed:	129

Initial amount of civil penalty assessed for cases closed (POCA):	\$475,500
Final amount of civil penalty assessed or settlement for cases closed:	\$305,340
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$11,500
Amount of revised assessment after terminations (PRCA):	\$464,000
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$170,160
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$158,660

NATIONAL RAILROAD PASSENGER CORPORATION (AMTRAK)

Number of cases closed:	78
Number of violations in cases closed:	92
Initial amount of civil penalty assessed for cases closed (POCA):	\$308,500
Final amount of civil penalty assessed or settlement for cases closed:	\$215,600
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$0
Amount of revised assessment after terminations (PRCA):	\$308,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$92,900
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$92,900

NORFOLK SOUTHERN RAILWAY COMPANY

Number of cases closed:	250
Number of violations in cases closed:	428

Initial amount of civil penalty assessed for cases closed (POCA):	\$1,565,000
Final amount of civil penalty assessed or settlement for cases closed:	\$993,060
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$34,500
Amount of revised assessment after terminations (PRCA):	\$1,530,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$571,940
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$537,440

UNION PACIFIC RAILROAD COMPANY

Number of cases closed:	531
Number of violations in cases closed:	1,123
Initial amount of civil penalty assessed for cases closed (POCA):	\$4,218,500
Final amount of civil penalty assessed or settlement for cases closed:	\$2,787,700
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$270,000
Amount of revised assessment after terminations (PRCA):	\$3,948,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$1,430,800
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$1,160,800

2. For Probable Class II Railroads in Aggregate in FY 2013

Number of cases closed:	32
Number of violations in cases closed:	53

Initial amount of civil penalty assessed for cases closed (POCA):	\$129,000
Final amount of civil penalty assessed or settlement for cases closed:	\$95,050
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$0
Amount of revised assessment after terminations (PRCA):	\$129,000
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$33,950
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$33,950

3. For Probable Class III Railroads in Aggregate in FY 2013

Number of cases closed:	538
Number of violations in cases closed:	999
Initial amount of civil penalty assessed for cases closed (POCA):	\$3,379,500
Final amount of civil penalty assessed or settlement for cases closed:	\$1,704,865
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$671,500
Amount of revised assessment after terminations (PRCA):	\$2,708,000
Difference between initial civil penalty assessment (POCA) and final settlement amount for cases closed:	\$1,674,635
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$1,003,135

4. For Hazmat Shippers in Aggregate in FY 2013

Number of cases closed:	690
Number of violations in cases closed:	1,126
Initial amount of civil penalty assessed for cases closed (POCA):	\$5,218,999

Final amount of civil penalty assessed or settlement for cases closed:	\$3,271,994
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$839,000
Amount of revised assessment after terminations (PRCA):	\$4,379,999
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$1,947,005
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$1,108,005

5. For Contractors in Aggregate in FY 2013

Number of cases closed:	51
Number of violations in cases closed:	72
Initial amount of civil penalty assessed for cases closed (POCA):	\$327,000
Final amount of civil penalty assessed or settlement for cases closed:	\$199,275
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$54,000
Amount of revised assessment after terminations (PRCA):	\$273,000
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$127,725
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$73,725

IV. ENFORCEMENT ACTIONS AGAINST INDIVIDUALS

A. CIVIL PENALTY CASES AGAINST INDIVIDUALS IN AGGREGATE

Total number of civil penalty cases initially assessed in FY 2013:	1
Total number of violations with civil penalties initially assessed in FY 2013:	1
Total initial amount of civil penalty assessed in FY 2013:	\$3,000
Number of civil penalty cases closed in FY 2013:	1
Total number of violations in cases closed in FY 2013:	1
Total initial amount of civil penalty assessed for cases closed in FY 2013:	\$3,000
Total final amount of civil penalty assessed (or settlement) for cases closed in FY 2013:	\$2,500
Amount terminated (generally due to legal defenses presented during settlement negotiations) for cases closed in FY 2013:	\$0
Amount of revised assessment (PRCA) after terminations:	\$3,000
Difference between revised civil penalty assessment (PRCA) and final civil penalty assessment for cases closed in FY 2013:	\$500
Difference between initial amount of civil penalty assessed (POCA) and final settlement amount for a violation in a case closed in FY 2013	\$500

B. OTHER ENFORCEMENT ACTIONS AGAINST INDIVIDUALS IN AGGREGATE

Number of notices of proposed disqualification issued and served in FY 2013:	1
Number of proposed disqualification cases closed in FY 2013:	1
Number of warning letters issued by Office of	

Chief Counsel in FY 2013:	3
Number of warning letters issued by regional offices of FRA Office of Railroad Safety (regional warning letters) in FY 2013:	22

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

A report to Congress on “The Federal Railroad Administration’s Use of Civil Penalties in the Federal Railroad Safety Program” was attached to FRA’s first enforcement report under 49 U.S.C. § 20120 and is referenced here because it addresses FRA’s approach to achieving industry compliance with the Federal railroad safety laws and the hazmat safety laws and their implementing regulations and the place of civil penalties in that process. This report was submitted to Congress on July 16, 2009, in response to a Congressional mandate that FRA hire an independent consultant to evaluate FRA’s use of penalties as an enforcement mechanism. The report concludes that FRA’s use of the statutory authority to compromise civil penalty assessments serves the purpose of compliance by ensuring that the enforcement process is proportional in those cases in which penalties are assessed.

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

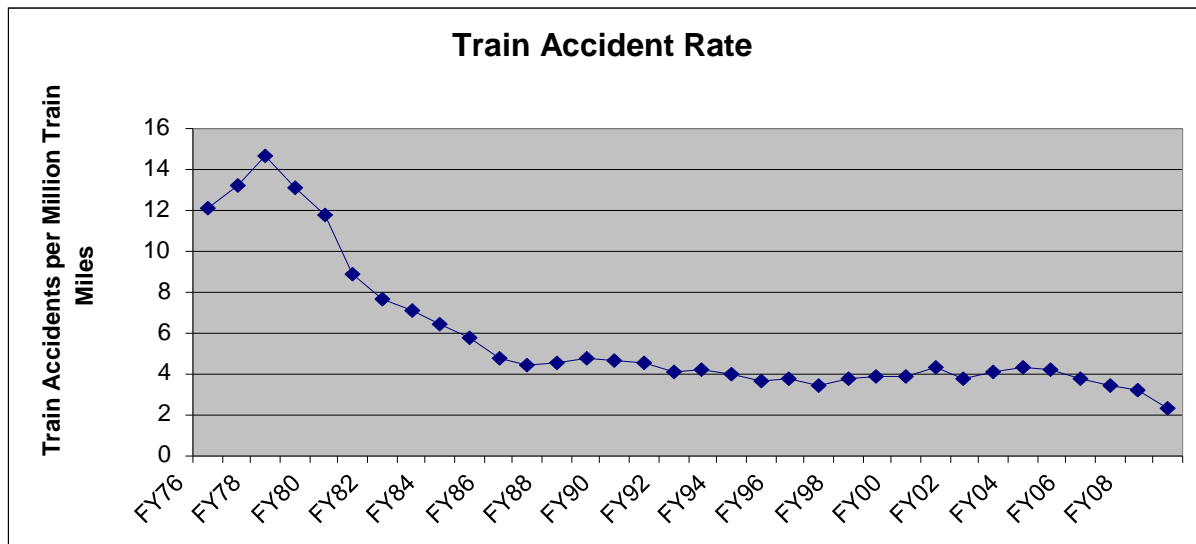
Thus while FRA cannot precisely quantify the impact of civil penalties, we do carefully monitor railroad reactions and responses to enforcement activity, and adjust the intensity and duration of focused oversight as necessary. FRA does compile and analyze a vast amount of data derived from reports filed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

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

As stated in the report,

One fruitful way to take a holistic view of the effects of the safety program is to look at accident rates over the long term. Rates, which are normalized by million train miles traveled, more reliably indicate the true state of railroad safety than do raw accident numbers. As FRA began to promulgate the first versions of major rules such as track safety standards and power brakes in the 1970's, the adverse trend in railroad safety was slowed and then sharply reversed. There are few sharp lines of demarcation because railroads and shippers often began to modify their behavior during the rulemaking process; a new safety rule typically takes effect a considerable time after it is issued; and enforcement can occur only after the effective date of the rule. Nevertheless, each subject FRA regulates shows a response pattern generally similar to the graph shown below for train accident rates, which reflects the strongly positive effects of FRA's railroad safety program, including civil penalty enforcement, even though the data shown do not permit one to draw statistically valid conclusions about the precise effects of civil penalties, or other measures, in isolation. This dramatic improvement in railroad safety over the past 30 years suggests that FRA would be well advised to continue in the future to pursue the various measures and strategies that have guided its safety program in the past. As the results of this study suggest, it is the cumulative impact of these measures, one supporting and amplifying the other, that makes the difference.

Id., p. 41.



VI. SUMMARY AND ANALYSIS OF OPERATING CREW CERTIFICATION CASES⁹

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

Petitions for relief filed with the LERB/OCRB in FY 2013: [23 Conductor + 46 Locomotive Engineer]	69
Decisions issued by the LERB/OCRB in FY 2013: [5 Conductor + 41 Locomotive Engineer]	46
Average length of time for decision in FY 2013:	152 days from the date petition filed ¹⁰ (138 days from the date of the railroad's response to the appeal to the date a decision was issued ¹¹)

B. ADMINISTRATIVE HEARINGS

Number of pending cases before the Administrative Hearing Officer (AHO) as of October 1, 2012:	1
Number of requests for review by the AHO received during FY 2013:	3
Number of cases closed by the AHO during FY 2013 ¹² :	2
Number of pending AHO cases as of October 1, 2013:	3
Average length of time for decision or other disposition:	8 months

⁹ FRA has a single body that reviews railroad decisions under 49 CFR parts 240 and 242 for locomotive engineers and conductors, which has two different facets operating under two different names depending on the type of case. Currently the “Locomotive Engineer Review Board” (LERB) reviews petitions for initial review of railroad decisions to deny or revoke certifications concerning only locomotive engineers, while the “Operating Crew Review Board” (OCRB) reviews petitions for initial review of railroad decisions to deny or revoke certifications concerning only conductors. FRA intends to merge the two review boards so that both crew members will have their petitions reviewed solely by the OCRB, and thus intends to sunset the name “Locomotive Engineer Review Board.”

¹⁰ This excludes any delay caused by the issuance of an interim order where one or more of the parties initially provided incomplete information.

¹¹ Id.

¹² This number includes decisions and all cases disposed of by stipulation or dismissal.

C. APPEALS TO THE ADMINISTRATOR

Appeals to the Administrator from the AHO decisions filed in FY 2013:	1
Number of Appeals Pending during FY 2013: (as of October 1, 2012, there was 1 case pending)	2
Decisions issued by the Administrator during FY 2013:	2
Average length of time for decision issued in FY 2013: (from close of record to decision)	125.5 days

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

Number of hearings requested in FY 2013:	1
Number of hearing-request cases completed in FY 2013:	0

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

Number of cases referred to the Attorney General for civil enforcement in FY 2013:	0
Number of cases referred to the Attorney General for criminal enforcement in FY 2013:	0

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

In light of the July 6, 2013, derailment in Lac-Mégantic, Quebec, Canada, FRA's Administrator issued Emergency Order No. 28 (Order) on August 2, 2013, which requires railroads to undertake a number of immediate actions to ensure that certain unattended trains or vehicles¹³ in the United States are properly secured against unintended movement and that certain trains or vehicles are not left unattended unless certain conditions are met. The Order also includes communication requirements. The Order was published in the Federal Register on August 7. See Volume 78 of the Federal Register, page 48128 (78 Fed. Reg. 48128). The Order prohibits railroads from leaving trains or vehicles transporting certain hazardous materials unattended unless the railroad develops, adopts, and complies with a plan that outlines specific locations and circumstances

¹³ A vehicle, as defined in 49 U.S.C. § 20301, "means a car, locomotive, tender, or similar vehicle."

where such trains or vehicles may be left unattended and providing sufficient safety justification for any such allowance. Additionally, railroads that develop and adopt plans allowing the identified trains and vehicles to be left unattended are required to develop processes for the securement of those trains or vehicles on mainline track or mainline siding outside of a yard or terminal, containing minimum mandated securement and communication requirements. Further, railroads are required to review and verify, and adjust, as necessary, existing procedures and processes related to the number of hand brakes to be set on all unattended trains and vehicles and ensure the means of verifying that number is appropriate; implement operating rules and practices requiring the discussion of securement for any job that will impact or require the securement of any train or vehicle in the course of the work being performed; and develop procedures to ensure that a qualified railroad employee inspects all equipment that any emergency responder has been on, under, or between, for proper securement, before the train or vehicle is left unattended.

APPENDIX A
“Railroad Safety Civil Penalty Cases Closed during Fiscal Year 2013”



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

**RAILROAD SAFETY CIVIL PENALTY CASES
CLOSED DURING FISCAL YEAR 2013**

This report summarizes the disposition of all civil penalty cases on which the Federal Railroad Administration (FRA) reached an agreement to collect, or issued an order requiring the payment of, a civil penalty during fiscal year 2013 under the Federal railroad safety statutes and regulations or in which FRA otherwise closed such a civil penalty case during fiscal year 2013. Cases were closed under most of these statutes by agreements of settlement, and under the hazardous materials transportation laws (HMT) generally by final orders of assessment. Total penalty settlements and final assessments against companies, summarized in this report, were as follows:

Railroad safety statutes (except HMT)	\$9,582,945
HMT	\$4,336,174
Total Civil Penalties	<u>\$13,919,119</u>

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

The Federal Railroad Safety Statutes and Regulations

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

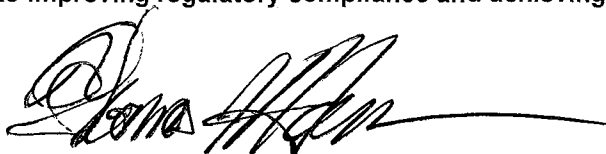
In 1975, the Hazardous Materials Transportation Act (HMTA) added civil penalties to the criminal penalties already available for hazardous materials violations. HMTA regulations, although issued by the Department of Transportation's (DOT's) Pipeline and Hazardous Materials Safety Administration, are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

The Civil Penalty Process

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

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

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

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

Thomas J. Herrmann
Assistant Chief Counsel for Safety

Abbreviations Used in this Report

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

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

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

**FRA Civil Penalty Cases against Individuals
Closed in Fiscal Year 2013**

<u>FRA No.</u>	<u>Initial Penalty Demanded</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>
INDPEN 2012-2	\$3,000	\$2,500	04/18/2013
Total	\$3,000	\$2,500	

Federal Railroad Administration
Safety Cases Closed in FY 2013

<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
AA 2012-1(GC)	1	\$5,000	\$5,000	\$2,500	10/09/2012	
AA 2012-2(AD)	1	\$5,000	\$5,000	\$2,600	01/25/2013	
ABS 2012-2(ROP)	3	\$11,500	\$11,500	\$7,500	09/27/2013	
AERC 2012-1(TS)	1	\$2,500	\$2,500	\$2,500	02/11/2013	
AGR 2012-2(LI)	1	\$1,500	\$1,500	\$1,020	09/30/2013	
AGR 2012-4(SA)	3	\$15,000	\$15,000	\$10,200	09/30/2013	
AGR 2012-5(SA)	1	\$2,500	\$2,500	\$1,725	09/30/2013	
AGR 2012-6(HMT)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
ALS 2011-1(ROP)	1	\$5,000	\$5,000	\$3,000	11/01/2012	
ALS 2012-5(ROP)	1	\$7,500	\$7,500	\$5,200	02/26/2013	
ALS 2013-1(ROP)	1	\$7,500	\$0	\$0	05/15/2013	Case Terminated.
ALS 2013-2(SA)	1	\$2,500	\$2,500	\$2,500	05/22/2013	
ALS 2013-3(SA)	1	\$5,000	\$0	\$0	06/07/2013	Case Terminated.
ALS 2013-4(LI)	1	\$1,000	\$1,000	\$1,000	05/28/2013	
ALS 2013-5(LI)	1	\$1,000	\$1,000	\$1,000	05/22/2013	
AM 2012-1(ROP)	1	\$2,000	\$2,000	\$1,500	07/29/2013	
AO 2012-1(ROP)	1	\$5,000	\$5,000	\$5,000	11/15/2012	
AOK 2013-1(AD)	1	\$2,500	\$0	\$0	09/19/2013	Case Terminated.
ARR 2012-3(TS)	7	\$7,000	\$7,000	\$4,550	01/22/2013	
ARR 2012-4(TS)	2	\$2,000	\$2,000	\$1,300	01/22/2013	
ARR 2012-5(TS)	7	\$7,000	\$7,000	\$4,550	01/22/2013	
ARR 2012-6(TS)	3	\$3,000	\$3,000	\$1,950	01/22/2013	
ARR 2012-7(AR)	1	\$1,000	\$1,000	\$650	01/22/2013	
ARR 2012-8(TS)	2	\$2,000	\$2,000	\$1,300	01/22/2013	
ATK 2010-53(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2013	
ATK 2011-7(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2013	
ATK 2011-8(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2013	
ATK 2011-10(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2013	
ATK 2011-11(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2013	
ATK 2011-12(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2013	
ATK 2011-13(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2013	
ATK 2011-14(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2013	
ATK 2011-16(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2013	
ATK 2011-18(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2013	
ATK 2011-19(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2013	
ATK 2011-25(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2013	
ATK 2011-26(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2013	
ATK 2011-28(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2013	
ATK 2011-29(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2013	
ATK 2011-30(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2013	
ATK 2011-31(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2013	
ATK 2011-33(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2013	
ATK 2011-34(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2013	
ATK 2011-36(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2013	
ATK 2011-37(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2013	
ATK 2011-41(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2013	
ATK 2011-46(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2013	
ATK 2011-47(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2013	
ATK 2011-50(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2013	

Federal Railroad Administration
Safety Cases Closed in FY 2013

<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
ATK 2011-53(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2013	
ATK 2011-60(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2013	
ATK 2011-64(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2013	
ATK 2011-65(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2013	
ATK 2011-71(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2013	
ATK 2011-72(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2013	
ATK 2011-77(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2013	
ATK 2011-95(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2013	
ATK 2011-101(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2013	
ATK 2011-104(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2013	
ATK 2012-9(PEQ)	2	\$10,000	\$10,000	\$6,900	08/28/2013	
ATK 2012-10(SI)	1	\$5,000	\$5,000	\$3,400	08/28/2013	
ATK 2012-11(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2013	
ATK 2012-12(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2013	
ATK 2012-13(SA)	1	\$5,000	\$5,000	\$3,250	08/28/2013	
ATK 2012-14(HSR)	2	\$2,000	\$2,000	\$1,400	08/28/2013	
ATK 2012-15(HSR)	1	\$1,000	\$1,000	\$650	08/28/2013	
ATK 2012-16(SA)	2	\$10,000	\$10,000	\$7,000	08/28/2013	
ATK 2012-17(ROP)	2	\$15,000	\$15,000	\$10,600	08/28/2013	
ATK 2012-18(PEQ)	2	\$10,000	\$10,000	\$6,900	08/28/2013	
ATK 2012-19(LI)	1	\$2,500	\$2,500	\$1,725	08/28/2013	
ATK 2012-20(PEQ)	1	\$5,000	\$5,000	\$3,500	08/28/2013	
ATK 2012-21(ROP)	1	\$9,500	\$9,500	\$6,800	08/28/2013	
ATK 2012-22(SI)	1	\$5,000	\$5,000	\$3,300	08/28/2013	
ATK 2012-23(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2013	
ATK 2012-24(PEQ)	2	\$10,000	\$10,000	\$7,000	08/28/2013	
ATK 2012-25(ROP)	1	\$9,500	\$9,500	\$6,800	08/28/2013	
ATK 2012-26(SI)	4	\$4,000	\$4,000	\$2,800	08/28/2013	
ATK 2012-27(ROP)	2	\$19,000	\$19,000	\$13,200	08/28/2013	
ATK 2012-28(RSP)	1	\$2,500	\$2,500	\$1,700	08/28/2013	
ATK 2012-29(RSP)	1	\$9,500	\$9,500	\$6,700	08/28/2013	
ATK 2012-30(RSP)	1	\$9,500	\$9,500	\$6,700	08/28/2013	
ATK 2012-31(RSP)	1	\$1,000	\$1,000	\$700	08/28/2013	
ATK 2012-32(HS)	1	\$1,000	\$1,000	\$700	08/28/2013	
ATK 2012-33(HSR)	1	\$1,000	\$1,000	\$650	08/28/2013	
ATK 2012-34(HSR)	3	\$3,000	\$3,000	\$2,100	08/28/2013	
ATK 2012-35(ROP)	2	\$19,000	\$19,000	\$13,400	08/28/2013	
ATK 2012-36(SI)	1	\$5,000	\$5,000	\$3,600	08/28/2013	
ATK 2012-37(LI)	1	\$2,500	\$2,500	\$1,725	08/28/2013	
ATK 2013-1(LI)	1	\$2,500	\$2,500	\$1,750	08/28/2013	
ATK 2013-2(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2013	
ATK 2013-3(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2013	
ATK 2013-4(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2013	
ATK 2013-5(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2013	
ATK 2013-6(PEQ)	1	\$2,500	\$2,500	\$1,700	08/28/2013	
ATK 2013-7(HS)	2	\$2,000	\$2,000	\$1,400	08/28/2013	
ATK 2013-8(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2013	
ATK 2013-9(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2013	
ATK 2013-10(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2013	

Federal Railroad Administration
Safety Cases Closed in FY 2013

<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
ATK 2013-11(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2013	
ATK 2013-12(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2013	
ATK 2013-13(PEQ)	1	\$5,000	\$5,000	\$3,550	08/28/2013	
ATK 2013-14(AR)	1	\$2,500	\$2,500	\$1,750	08/28/2013	
AUT 2012-1(RSP)	1	\$9,500	\$9,500	\$5,000	01/08/2013	
AVR 2012-1(SA)	1	\$5,000	\$5,000	\$5,000	01/06/2013	
AWRR 2013-1(ROP)	2	\$15,000	\$15,000	\$9,250	09/27/2013	
AWRR 2013-2(SA)	3	\$10,000	\$10,000	\$6,750	09/27/2013	
AWRR 2013-3(SA)	3	\$10,000	\$10,000	\$6,750	09/27/2013	
BAYL 2012-1(AD)	2	\$5,000	\$5,000	\$4,000	04/08/2013	
BAYL 2012-2(AD)	1	\$2,500	\$2,500	\$2,000	04/08/2013	
BAYL 2012-3(SA)	1	\$5,000	\$5,000	\$4,000	05/09/2013	
BB 2011-3(TS)	8	\$20,000	\$20,000	\$13,200	04/30/2013	
BB 2012-1(TS)	2	\$7,500	\$7,500	\$5,000	04/30/2013	
BDRV 2013-1(EQ)	1	\$1,000	\$1,000	\$1,000	08/26/2013	
BHWY 2010-1(GC)	4	\$8,500	\$8,500	\$3,800	04/26/2013	
BHWY 2010-2(HSR)	1	\$1,000	\$1,000	\$650	04/26/2013	
BHWY 2010-3(EP)	2	\$2,000	\$2,000	\$1,300	04/26/2013	
BLR 2011-1(ROP)	1	\$7,500	\$7,500	\$650	05/21/2013	
BLR 2011-2(SA)	1	\$2,500	\$2,500	\$2,000	05/21/2013	
BLR 2012-1(ROP)	2	\$15,000	\$4,000	\$1,300	05/21/2013	Partially Terminated Violation(s): 1, 2.
BLR 2012-2(ROP)	1	\$9,500	\$9,500	\$2,500	05/21/2013	
BLR 2012-3(ROP)	1	\$7,500	\$7,500	\$2,000	05/21/2013	
BLR 2012-4(SA)	2	\$10,000	\$10,000	\$1,300	05/21/2013	
BLR 2012-5(SA)	2	\$5,000	\$5,000	\$1,300	05/21/2013	
BM 2012-2(GC)	1	\$1,000	\$1,000	\$750	09/27/2013	
BM 2012-3(RW)	1	\$3,000	\$3,000	\$2,350	09/27/2013	
BNSF 2009-85(ROR)	1	\$2,500	\$2,500	\$1,425	09/30/2013	
BNSF 2011-200(SA)	4	\$17,500	\$17,500	\$11,200	09/30/2013	
BNSF 2011-335(ROP)	1	\$12,500	\$12,500	\$8,750	09/30/2013	
BNSF 2011-341(FCS)	1	\$5,000	\$5,000	\$3,235	09/30/2013	
BNSF 2011-357(LI)	4	\$8,500	\$8,500	\$5,485	09/30/2013	
BNSF 2011-377(TS)	55	\$91,000	\$91,000	\$58,900	09/30/2013	
BNSF 2011-383(SA)	2	\$5,000	\$5,000	\$3,350	09/30/2013	
BNSF 2011-409(TS)	2	\$22,000	\$22,000	\$14,100	09/30/2013	
BNSF 2011-427(TS)	38	\$47,500	\$47,500	\$31,350	09/30/2013	
BNSF 2011-431(TS)	14	\$29,000	\$29,000	\$19,450	09/30/2013	
BNSF 2011-436(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2013	
BNSF 2012-8(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2013	
BNSF 2012-14(AR)	1	\$2,500	\$2,500	\$1,500	09/30/2013	
BNSF 2012-16(AR)	1	\$1,000	\$1,000	\$650	09/30/2013	
BNSF 2012-18(SA)	9	\$42,500	\$42,500	\$27,300	09/30/2013	
BNSF 2012-23(AR)	1	\$2,500	\$2,500	\$1,575	09/30/2013	
BNSF 2012-25(HMT)	1	\$3,000	\$3,000	\$2,000	09/30/2013	
BNSF 2012-26(LI)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
BNSF 2012-29(SA)	3	\$15,000	\$15,000	\$9,750	09/30/2013	
BNSF 2012-33(LI)	1	\$2,500	\$2,500	\$1,565	09/30/2013	
BNSF 2012-35(SA)	4	\$20,000	\$20,000	\$13,200	09/30/2013	
BNSF 2012-41(SA)	1	\$2,500	\$2,500	\$1,600	09/30/2013	

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BNSF 2012-43(HMT)	4	\$23,000	\$23,000	\$15,250	09/30/2013	
BNSF 2012-45(HMT)	2	\$5,000	\$5,000	\$3,325	09/30/2013	
BNSF 2012-47(HSR)	1	\$1,000	\$1,000	\$650	09/30/2013	
BNSF 2012-48(LI)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
BNSF 2012-52(SA)	3	\$12,500	\$12,500	\$8,200	09/30/2013	
BNSF 2012-56(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2013	
BNSF 2012-57(TS)	9	\$19,500	\$19,500	\$12,725	09/30/2013	
BNSF 2012-58(TS)	2	\$5,000	\$5,000	\$3,300	09/30/2013	
BNSF 2012-59(HS)	1	\$1,000	\$1,000	\$650	09/30/2013	
BNSF 2012-60(HSR)	3	\$3,000	\$3,000	\$1,950	09/30/2013	
BNSF 2012-64(RW)	1	\$3,000	\$3,000	\$2,000	09/30/2013	
BNSF 2012-66(GC)	1	\$5,000	\$5,000	\$3,300	09/30/2013	
BNSF 2012-68(TS)	7	\$11,000	\$11,000	\$7,200	09/30/2013	
BNSF 2012-69(AR)	1	\$1,000	\$1,000	\$675	09/30/2013	
BNSF 2012-70(HMT)	1	\$2,500	\$2,500	\$1,575	09/30/2013	
BNSF 2012-71(TS)	2	\$5,000	\$5,000	\$3,300	09/30/2013	
BNSF 2012-72(SI)	1	\$5,000	\$5,000	\$3,450	09/30/2013	
BNSF 2012-73(TS)	3	\$7,500	\$7,500	\$4,900	09/30/2013	
BNSF 2012-74(SA)	3	\$15,000	\$15,000	\$9,800	09/30/2013	
BNSF 2012-76(TS)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
BNSF 2012-78(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2013	
BNSF 2012-79(ROP)	5	\$36,000	\$36,000	\$23,500	09/30/2013	
BNSF 2012-80(ROP)	3	\$24,500	\$24,500	\$15,900	09/30/2013	
BNSF 2012-81(FCS)	2	\$10,000	\$10,000	\$6,400	09/30/2013	
BNSF 2012-82(SA)	5	\$17,500	\$17,500	\$11,300	09/30/2013	
BNSF 2012-83(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2013	
BNSF 2012-84(ROP)	1	\$5,000	\$5,000	\$3,275	09/30/2013	
BNSF 2012-85(FCS)	2	\$7,500	\$5,000	\$3,265	09/30/2013	Terminated Violation(s): 2.
BNSF 2012-86(ROP)	5	\$37,500	\$37,500	\$23,750	09/30/2013	
BNSF 2012-87(TS)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
BNSF 2012-88(HMT)	2	\$4,500	\$2,500	\$1,600	09/30/2013	Terminated Violation(s): 2.
BNSF 2012-89(RW)	1	\$2,500	\$2,500	\$1,650	09/30/2013	
BNSF 2012-90(ROP)	1	\$7,500	\$7,500	\$4,875	09/30/2013	
BNSF 2012-91(SA)	4	\$20,000	\$20,000	\$12,900	09/30/2013	
BNSF 2012-92(SA)	1	\$5,000	\$5,000	\$3,200	09/30/2013	
BNSF 2012-93(SA)	1	\$2,500	\$2,500	\$1,625	09/30/2013	
BNSF 2012-94(HSR)	2	\$2,000	\$2,000	\$1,300	09/30/2013	
BNSF 2012-95(TS)	18	\$49,500	\$49,500	\$32,725	09/30/2013	
BNSF 2012-96(TS)	19	\$39,500	\$39,500	\$26,050	09/30/2013	
BNSF 2012-97(TS)	1	\$5,000	\$5,000	\$3,300	09/30/2013	
BNSF 2012-98(TS)	1	\$5,000	\$5,000	\$3,300	09/30/2013	
BNSF 2012-99(TS)	10	\$21,000	\$21,000	\$13,700	09/30/2013	
BNSF 2012-100(TS)	1	\$2,500	\$2,500	\$1,650	09/30/2013	
BNSF 2012-101(TS)	2	\$7,500	\$7,500	\$4,850	09/30/2013	
BNSF 2012-102(TS)	10	\$23,000	\$23,000	\$15,180	09/30/2013	
BNSF 2012-103(HS)	1	\$1,000	\$1,000	\$650	09/30/2013	
BNSF 2012-104(SA)	1	\$5,000	\$5,000	\$3,200	09/30/2013	
BNSF 2012-105(LI)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
BNSF 2012-106(TS)	4	\$15,000	\$15,000	\$9,975	09/30/2013	

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BNSF 2012-107(TS)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
BNSF 2012-108(FCS)	1	\$5,000	\$5,000	\$3,175	09/30/2013	
BNSF 2012-109(HS)	1	\$1,000	\$1,000	\$650	09/30/2013	
BNSF 2012-110(HS)	1	\$1,000	\$1,000	\$650	09/30/2013	
BNSF 2012-111(HS)	1	\$1,000	\$1,000	\$650	09/30/2013	
BNSF 2012-112(HS)	1	\$1,000	\$1,000	\$650	09/30/2013	
BNSF 2012-114(HS)	1	\$1,000	\$1,000	\$650	09/30/2013	
BNSF 2012-115(HS)	1	\$1,000	\$1,000	\$650	09/30/2013	
BNSF 2012-116(HS)	1	\$1,000	\$1,000	\$650	09/30/2013	
BNSF 2012-117(HS)	1	\$1,000	\$1,000	\$650	09/30/2013	
BNSF 2012-119(AR)	1	\$1,000	\$1,000	\$650	09/30/2013	
BNSF 2012-120(AR)	1	\$2,500	\$2,500	\$1,600	09/30/2013	
BNSF 2012-121(FCS)	1	\$2,500	\$2,500	\$1,605	09/30/2013	
BNSF 2012-122(ROP)	5	\$41,500	\$36,000	\$24,150	09/30/2013	Partially Terminated Violation(s): 4.
BNSF 2012-123(SA)	1	\$2,500	\$2,500	\$1,575	09/30/2013	
BNSF 2012-124(SA)	1	\$2,500	\$2,500	\$1,600	09/30/2013	
BNSF 2012-125(SA)	1	\$5,000	\$5,000	\$3,205	09/30/2013	
BNSF 2012-126(LI)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
BNSF 2012-127(SA)	1	\$5,000	\$5,000	\$3,205	09/30/2013	
BNSF 2012-128(HMT)	1	\$2,000	\$2,000	\$1,325	09/30/2013	
BNSF 2012-129(TS)	12	\$12,000	\$12,000	\$7,980	09/30/2013	
BNSF 2012-130(TS)	6	\$17,000	\$17,000	\$11,215	09/30/2013	
BNSF 2012-131(ROP)	1	\$9,500	\$9,500	\$6,200	09/30/2013	
BNSF 2012-132(SI)	1	\$5,000	\$5,000	\$3,425	09/30/2013	
BNSF 2012-133(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2013	
BNSF 2012-147(SA)	4	\$20,000	\$20,000	\$13,100	09/30/2013	
BNSF 2012-148(SA)	2	\$6,000	\$6,000	\$3,950	09/30/2013	
BNSF 2012-150(FCS)	1	\$5,000	\$5,000	\$3,225	09/30/2013	
BNSF 2012-151(ROP)	3	\$22,500	\$22,500	\$14,500	09/30/2013	
BNSF 2012-152(FCS)	2	\$5,000	\$5,000	\$3,275	09/30/2013	
BNSF 2012-153(ROP)	1	\$7,500	\$7,500	\$4,775	09/30/2013	
BNSF 2012-154(SA)	2	\$7,500	\$7,500	\$4,875	09/30/2013	
BNSF 2012-155(SA)	2	\$10,000	\$10,000	\$6,500	09/30/2013	
BNSF 2012-156(ROP)	1	\$9,500	\$9,500	\$6,175	09/30/2013	
BNSF 2012-157(ROP)	1	\$7,500	\$7,500	\$5,050	09/30/2013	
BNSF 2012-158(SA)	4	\$20,000	\$20,000	\$12,900	09/30/2013	
BNSF 2012-160(TS)	2	\$7,500	\$7,500	\$4,950	09/30/2013	
BNSF 2012-161(TS)	1	\$2,500	\$2,500	\$1,600	09/30/2013	
BNSF 2012-162(TS)	2	\$5,000	\$5,000	\$3,200	09/30/2013	
BNSF 2012-163(TS)	5	\$5,000	\$5,000	\$3,300	09/30/2013	
BNSF 2012-164(TS)	1	\$2,500	\$2,500	\$1,650	09/30/2013	
BNSF 2012-165(TS)	2	\$5,000	\$5,000	\$3,250	09/30/2013	
BNSF 2012-166(HSR)	10	\$10,000	\$10,000	\$6,500	09/30/2013	
BNSF 2012-167(FCS)	2	\$5,000	\$5,000	\$3,300	09/30/2013	
BNSF 2012-168(SA)	1	\$2,500	\$2,500	\$1,615	09/30/2013	
BNSF 2012-169(TS)	7	\$21,000	\$21,000	\$13,875	09/30/2013	
BNSF 2012-170(TS)	4	\$12,500	\$12,500	\$8,100	09/30/2013	
BNSF 2012-171(TS)	3	\$6,000	\$6,000	\$3,925	09/30/2013	
BNSF 2012-172(TS)	6	\$9,000	\$9,000	\$5,850	09/30/2013	

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BNSF 2012-173(TS)	10	\$11,500	\$11,500	\$7,550	09/30/2013	
BNSF 2012-175(GC)	3	\$15,000	\$15,000	\$10,150	09/30/2013	
BNSF 2012-176(AD)	1	\$2,500	\$2,500	\$1,575	09/30/2013	
BNSF 2012-177(TS)	1	\$1,000	\$1,000	\$650	09/30/2013	
BNSF 2012-178(TS)	1	\$5,000	\$5,000	\$3,300	09/30/2013	
BNSF 2012-179(ROP)	2	\$19,000	\$19,000	\$12,450	09/30/2013	
BNSF 2012-180(SI)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
BNSF 2012-181(TS)	3	\$5,500	\$5,500	\$3,650	09/30/2013	
BNSF 2012-182(HMT)	1	\$2,500	\$2,500	\$1,600	09/30/2013	
BNSF 2012-183(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2013	
BNSF 2012-184(SA)	5	\$20,000	\$20,000	\$12,920	09/30/2013	
BNSF 2012-185(SA)	4	\$20,000	\$15,000	\$9,800	09/30/2013	Terminated Violation(s): 1.
BNSF 2012-186(ROP)	5	\$27,000	\$27,000	\$17,500	09/30/2013	
BNSF 2012-187(FCS)	1	\$5,000	\$5,000	\$3,265	09/30/2013	
BNSF 2012-188(SI)	1	\$5,000	\$5,000	\$3,100	09/30/2013	
BNSF 2012-189(TS)	1	\$7,000	\$7,000	\$4,775	09/30/2013	
BNSF 2012-190(TS)	1	\$1,000	\$1,000	\$650	09/30/2013	
BNSF 2012-191(HMT)	1	\$6,000	\$6,000	\$3,900	09/30/2013	
BNSF 2012-192(LI)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
BNSF 2012-193(SA)	4	\$20,000	\$20,000	\$12,955	09/30/2013	
BNSF 2012-194(SA)	8	\$37,500	\$37,500	\$24,050	09/30/2013	
BNSF 2012-195(SA)	1	\$5,000	\$5,000	\$3,200	09/30/2013	
BNSF 2012-196(ROP)	3	\$22,500	\$17,000	\$11,250	09/30/2013	Partially Terminated Violation(s): 3.
BNSF 2012-197(HSR)	1	\$1,000	\$1,000	\$650	09/30/2013	
BNSF 2012-198(ROP)	4	\$24,500	\$24,500	\$15,900	09/30/2013	
BNSF 2012-199(FCS)	2	\$5,000	\$5,000	\$3,300	09/30/2013	
BNSF 2012-200(SA)	5	\$12,500	\$12,500	\$8,150	09/30/2013	
BNSF 2012-201(SA)	5	\$20,000	\$20,000	\$12,975	09/30/2013	
BNSF 2012-202(SA)	6	\$25,000	\$25,000	\$16,400	09/30/2013	
BNSF 2012-203(SA)	3	\$12,500	\$12,500	\$8,125	09/30/2013	
BNSF 2012-205(EQ)	1	\$2,000	\$2,000	\$1,350	09/30/2013	
BNSF 2012-206(SA)	2	\$7,500	\$7,500	\$4,925	09/30/2013	
BNSF 2012-207(EP)	2	\$2,000	\$2,000	\$1,300	09/30/2013	
BNSF 2012-208(LI)	6	\$14,000	\$14,000	\$9,175	09/30/2013	
BNSF 2012-209(RW)	1	\$1,500	\$1,500	\$995	09/30/2013	
BNSF 2012-210(ROR)	2	\$19,000	\$19,000	\$11,000	09/30/2013	
BNSF 2012-211(ROP)	2	\$17,000	\$17,000	\$11,000	09/30/2013	
BNSF 2012-213(TS)	9	\$19,500	\$19,500	\$12,870	09/30/2013	
BNSF 2012-214(TS)	10	\$26,500	\$26,500	\$17,525	09/30/2013	
BNSF 2012-215(TS)	4	\$5,500	\$5,500	\$3,650	09/30/2013	
BNSF 2012-216(HS)	2	\$2,000	\$2,000	\$1,300	09/30/2013	
BNSF 2012-217(SA)	5	\$20,000	\$20,000	\$13,000	09/30/2013	
BNSF 2012-218(ROP)	4	\$21,000	\$21,000	\$13,425	09/30/2013	
BNSF 2012-219(SA)	3	\$12,500	\$12,500	\$8,150	09/30/2013	
BNSF 2012-220(SA)	2	\$10,000	\$10,000	\$6,550	09/30/2013	
BNSF 2012-221(TS)	2	\$5,000	\$5,000	\$3,300	09/30/2013	
BNSF 2012-222(TS)	4	\$10,500	\$10,500	\$6,950	09/30/2013	
BNSF 2012-223(TS)	2	\$5,000	\$5,000	\$3,200	09/30/2013	
BNSF 2012-224(TS)	2	\$5,000	\$5,000	\$3,250	09/30/2013	

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BNSF 2012-225(TS)	4	\$5,500	\$5,500	\$3,600	09/30/2013	
BNSF 2012-226(HMT)	3	\$14,000	\$14,000	\$9,500	09/30/2013	
BNSF 2012-227(FCS)	1	\$2,500	\$2,500	\$1,675	09/30/2013	
BNSF 2012-228(FCS)	3	\$10,000	\$10,000	\$6,450	09/30/2013	
BNSF 2012-229(ROP)	5	\$29,500	\$29,500	\$18,850	09/30/2013	
BNSF 2012-230(ROP)	3	\$15,000	\$15,000	\$9,400	09/30/2013	
BNSF 2012-231(SA)	5	\$25,000	\$25,000	\$16,075	09/30/2013	
BNSF 2012-232(SA)	2	\$10,000	\$10,000	\$6,425	09/30/2013	
BNSF 2012-233(SA)	2	\$7,500	\$7,500	\$4,950	09/30/2013	
BNSF 2012-234(SA)	4	\$12,500	\$12,500	\$8,150	09/30/2013	
BNSF 2012-235(RSP)	1	\$1,000	\$1,000	\$680	09/30/2013	
BNSF 2012-236(TS)	4	\$15,000	\$15,000	\$9,800	09/30/2013	
BNSF 2012-237(TS)	3	\$7,000	\$7,000	\$4,600	09/30/2013	
BNSF 2012-238(SA)	1	\$5,000	\$5,000	\$3,200	09/30/2013	
BNSF 2012-239(TS)	3	\$7,500	\$7,500	\$4,775	09/30/2013	
BNSF 2012-240(LI)	2	\$5,000	\$5,000	\$3,215	09/30/2013	
BNSF 2012-241(ROP)	5	\$39,500	\$39,500	\$25,650	09/30/2013	
BNSF 2012-242(ROP)	5	\$32,000	\$32,000	\$20,150	09/30/2013	
BNSF 2012-243(ROP)	3	\$12,000	\$12,000	\$7,700	09/30/2013	
BNSF 2012-244(SA)	4	\$20,000	\$20,000	\$12,835	09/30/2013	
BNSF 2012-245(SA)	3	\$12,500	\$12,500	\$8,125	09/30/2013	
BNSF 2012-247(HMT)	3	\$7,000	\$7,000	\$4,650	09/30/2013	
BNSF 2012-248(HS)	2	\$2,000	\$1,000	\$650	09/30/2013	Partially Terminated Violation(s): 1.
BNSF 2012-249(TS)	4	\$10,000	\$10,000	\$6,400	09/30/2013	
BNSF 2012-250(SA)	1	\$2,500	\$2,500	\$1,625	09/30/2013	
BNSF 2012-251(TS)	1	\$1,000	\$1,000	\$650	09/30/2013	
BNSF 2012-252(TS)	1	\$2,500	\$2,500	\$1,650	09/30/2013	
BNSF 2012-253(RW)	2	\$2,500	\$2,500	\$1,680	09/30/2013	
BNSF 2012-254(RW)	1	\$2,000	\$2,000	\$1,400	09/30/2013	
BNSF 2012-255(ROP)	1	\$7,500	\$7,500	\$4,975	09/30/2013	
BNSF 2012-256(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2013	
BNSF 2012-257(LI)	1	\$2,500	\$2,500	\$1,675	09/30/2013	
BNSF 2012-258(GC)	1	\$1,000	\$1,000	\$710	09/30/2013	
BNSF 2012-259(HMT)	3	\$4,000	\$4,000	\$2,600	09/30/2013	
BNSF 2012-260(TS)	1	\$2,500	\$2,500	\$1,625	09/30/2013	
BNSF 2012-261(TS)	1	\$2,500	\$2,500	\$1,625	09/30/2013	
BNSF 2012-262(SA)	4	\$12,500	\$12,500	\$8,175	09/30/2013	
BNSF 2012-263(SA)	1	\$2,500	\$2,500	\$1,630	09/30/2013	
BNSF 2012-264(SI)	1	\$5,000	\$5,000	\$3,385	09/30/2013	
BNSF 2012-265(TS)	7	\$7,000	\$7,000	\$4,600	09/30/2013	
BNSF 2012-266(FCS)	3	\$12,500	\$12,500	\$8,100	09/30/2013	
BNSF 2012-267(FCS)	1	\$5,000	\$5,000	\$3,265	09/30/2013	
BNSF 2012-268(HMT)	1	\$4,000	\$4,000	\$2,600	09/30/2013	
BNSF 2012-269(HMT)	2	\$7,000	\$7,000	\$4,575	09/30/2013	
BNSF 2012-270(HMT)	1	\$7,500	\$7,500	\$4,835	09/30/2013	
BNSF 2012-271(HMT)	1	\$2,000	\$2,000	\$1,300	09/30/2013	
BNSF 2012-272(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2013	
BNSF 2012-273(EQ)	5	\$10,000	\$10,000	\$6,575	09/30/2013	
BNSF 2012-275(HMT)	4	\$7,000	\$7,000	\$4,570	09/30/2013	

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BNSF 2012-276(FCS)	1	\$5,000	\$5,000	\$3,265	09/30/2013	
BNSF 2012-277(ROP)	5	\$38,500	\$38,500	\$24,500	09/30/2013	
BNSF 2012-278(GC)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
BNSF 2012-279(HMT)	2	\$5,500	\$5,500	\$3,600	09/30/2013	
BNSF 2012-280(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2013	
BNSF 2012-281(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2013	
BNSF 2012-282(SA)	3	\$12,500	\$12,500	\$8,075	09/30/2013	
BNSF 2012-283(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2013	
BNSF 2012-284(ROP)	1	\$7,500	\$7,500	\$4,875	09/30/2013	
BNSF 2012-285(SI)	1	\$5,000	\$5,000	\$3,450	09/30/2013	
BNSF 2012-286(SA)	4	\$20,000	\$20,000	\$13,050	09/30/2013	
BNSF 2012-287(SA)	2	\$10,000	\$10,000	\$6,525	09/30/2013	
BNSF 2012-288(SA)	3	\$7,500	\$7,500	\$4,875	09/30/2013	
BNSF 2012-289(ROP)	4	\$19,500	\$19,500	\$12,750	09/30/2013	
BNSF 2012-290(ROP)	5	\$37,500	\$37,500	\$24,500	09/30/2013	
BNSF 2012-291(ROR)	1	\$2,500	\$2,500	\$1,600	09/30/2013	
BNSF 2012-292(TS)	14	\$22,500	\$22,500	\$14,650	09/30/2013	
BNSF 2012-293(RW)	1	\$1,000	\$1,000	\$680	09/30/2013	
BNSF 2012-294(TS)	5	\$15,000	\$15,000	\$9,850	09/30/2013	
BNSF 2012-295(EP)	1	\$1,000	\$1,000	\$650	09/30/2013	
BNSF 2012-296(TS)	3	\$3,000	\$3,000	\$1,950	09/30/2013	
BNSF 2012-297(TS)	2	\$5,000	\$5,000	\$3,300	09/30/2013	
BNSF 2012-298(HMT)	1	\$8,000	\$8,000	\$5,300	09/30/2013	
BNSF 2012-299(EP)	7	\$7,000	\$7,000	\$4,550	09/30/2013	
BNSF 2012-300(GC)	3	\$15,000	\$15,000	\$10,275	09/30/2013	
BNSF 2012-302(ROP)	1	\$7,500	\$7,500	\$4,875	09/30/2013	
BNSF 2012-303(RW)	1	\$5,000	\$5,000	\$3,275	09/30/2013	
BNSF 2012-304(TS)	10	\$13,000	\$13,000	\$8,925	09/30/2013	
BNSF 2012-305(TS)	5	\$15,000	\$15,000	\$9,600	09/30/2013	
BNSF 2012-306(HMT)	1	\$2,000	\$2,000	\$1,300	09/30/2013	
BNSF 2012-307(SA)	2	\$10,000	\$10,000	\$6,600	09/30/2013	
BNSF 2012-308(SA)	1	\$5,000	\$5,000	\$3,225	09/30/2013	
BNSF 2012-309(TS)	1	\$2,500	\$2,500	\$1,625	09/30/2013	
BNSF 2012-310(TS)	4	\$10,000	\$10,000	\$7,000	09/30/2013	
BNSF 2012-311(ROP)	2	\$15,000	\$15,000	\$9,850	09/30/2013	
BNSF 2012-312(SI)	1	\$5,000	\$5,000	\$3,425	09/30/2013	
BNSF 2012-313(ROP)	1	\$5,000	\$5,000	\$3,225	09/30/2013	
BNSF 2012-314(SA)	3	\$7,500	\$7,500	\$4,825	09/30/2013	
BNSF 2012-315(TS)	2	\$7,500	\$7,500	\$4,975	09/30/2013	
BNSF 2012-316(GC)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
BNSF 2012-317(RW)	2	\$7,000	\$7,000	\$4,900	09/30/2013	
BNSF 2012-318(EP)	1	\$1,000	\$1,000	\$650	09/30/2013	
BNSF 2012-319(TS)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
BNSF 2012-320(SA)	1	\$2,500	\$2,500	\$1,650	09/30/2013	
BNSF 2012-321(ROP)	2	\$15,000	\$15,000	\$10,100	09/30/2013	
BNSF 2012-322(ROP)	2	\$15,000	\$15,000	\$9,575	09/30/2013	
BNSF 2012-323(ROR)	1	\$9,500	\$9,500	\$6,250	09/30/2013	
BNSF 2012-324(EP)	1	\$1,000	\$1,000	\$650	09/30/2013	
BNSF 2012-325(GC)	1	\$5,000	\$5,000	\$3,375	09/30/2013	

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BNSF 2012-326(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2013	
BNSF 2012-327(LI)	2	\$5,000	\$5,000	\$3,205	09/30/2013	
BNSF 2012-328(SA)	1	\$5,000	\$5,000	\$3,200	09/30/2013	
BNSF 2012-329(SA)	1	\$2,500	\$2,500	\$1,650	09/30/2013	
BNSF 2012-330(RSP)	2	\$2,000	\$2,000	\$1,375	09/30/2013	
BNSF 2012-331(HMT)	1	\$7,000	\$7,000	\$4,900	09/30/2013	
BNSF 2012-332(TS)	5	\$9,500	\$9,500	\$6,450	09/30/2013	
BNSF 2012-333(SI)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
BNSF 2012-334(HMT)	1	\$5,000	\$0	\$0	09/30/2013	Case Terminated.
BNSF 2012-335(TS)	2	\$2,000	\$2,000	\$1,300	09/30/2013	
BNSF 2012-336(GC)	1	\$5,000	\$5,000	\$3,380	09/30/2013	
BNSF 2012-337(SA)	4	\$20,000	\$20,000	\$13,150	09/30/2013	
BNSF 2012-338(SI)	1	\$2,500	\$2,500	\$1,715	09/30/2013	
BNSF 2012-339(SI)	1	\$5,000	\$5,000	\$2,825	09/30/2013	
BNSF 2012-340(ROP)	5	\$34,500	\$34,500	\$22,500	09/30/2013	
BNSF 2012-341(ROP)	1	\$7,500	\$7,500	\$4,925	09/30/2013	
BNSF 2012-342(HSR)	2	\$2,000	\$2,000	\$1,300	09/30/2013	
BNSF 2012-343(SA)	1	\$2,500	\$2,500	\$1,650	09/30/2013	
BNSF 2012-344(HMT)	1	\$2,000	\$2,000	\$1,095	09/30/2013	
BNSF 2012-346(TS)	1	\$2,500	\$2,500	\$1,650	09/30/2013	
BNSF 2012-347(TS)	3	\$15,000	\$15,000	\$9,900	09/30/2013	
BNSF 2012-348(TS)	2	\$2,000	\$2,000	\$1,425	09/30/2013	
BNSF 2012-350(FCS)	3	\$15,000	\$15,000	\$9,675	09/30/2013	
BNSF 2012-351(ROP)	5	\$23,500	\$23,500	\$15,175	09/30/2013	
BNSF 2012-352(ROP)	5	\$21,500	\$21,500	\$13,700	09/30/2013	
BNSF 2012-353(ROP)	2	\$15,000	\$15,000	\$9,675	09/30/2013	
BNSF 2012-354(ROP)	1	\$2,000	\$2,000	\$1,275	09/30/2013	
BNSF 2012-355(SA)	4	\$20,000	\$20,000	\$13,100	09/30/2013	
BNSF 2012-356(FCS)	2	\$10,000	\$10,000	\$6,450	09/30/2013	
BNSF 2012-357(SA)	3	\$15,000	\$15,000	\$9,850	09/30/2013	
BNSF 2012-358(ROP)	5	\$23,000	\$23,000	\$14,800	09/30/2013	
BNSF 2012-359(ROP)	5	\$34,000	\$34,000	\$21,875	09/30/2013	
BNSF 2012-360(ROP)	3	\$17,000	\$17,000	\$10,850	09/30/2013	
BNSF 2012-361(SA)	5	\$25,000	\$25,000	\$16,325	09/30/2013	
BNSF 2012-362(SA)	5	\$12,500	\$12,500	\$8,135	09/30/2013	
BNSF 2012-363(SA)	1	\$5,000	\$5,000	\$3,275	09/30/2013	
BNSF 2012-364(SA)	3	\$7,500	\$7,500	\$4,725	09/30/2013	
BNSF 2012-365(GC)	1	\$5,000	\$5,000	\$3,380	09/30/2013	
BNSF 2012-366(GC)	1	\$5,000	\$5,000	\$3,375	09/30/2013	
BNSF 2012-367(SI)	1	\$5,000	\$5,000	\$3,450	09/30/2013	
BNSF 2012-368(ROP)	1	\$7,500	\$7,500	\$4,875	09/30/2013	
BNSF 2012-369(GC)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
BNSF 2012-370(GC)	1	\$5,000	\$5,000	\$3,375	09/30/2013	
BNSF 2012-373(TS)	1	\$5,000	\$5,000	\$3,300	09/30/2013	
BNSF 2012-374(TS)	1	\$2,500	\$2,500	\$1,600	09/30/2013	
BNSF 2012-375(LI)	1	\$1,000	\$1,000	\$650	09/30/2013	
BNSF 2013-1(TS)	10	\$10,000	\$10,000	\$6,500	09/30/2013	
BNSF 2013-2(ROP)	1	\$5,000	\$5,000	\$3,250	09/30/2013	
BNSF 2013-3(SI)	1	\$2,500	\$2,500	\$1,700	09/30/2013	

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BNSF 2013-4(SA)	1	\$2,500	\$2,500	\$1,600	09/30/2013	
BNSF 2013-5(EQ)	1	\$1,000	\$1,000	\$690	09/30/2013	
BNSF 2013-6(EQ)	1	\$2,500	\$2,500	\$1,675	09/30/2013	
BNSF 2013-7(EQ)	1	\$2,500	\$2,500	\$1,675	09/30/2013	
BNSF 2013-8(LI)	1	\$1,500	\$1,500	\$850	09/30/2013	
BNSF 2013-9(LI)	1	\$1,000	\$1,000	\$650	09/30/2013	
BNSF 2013-10(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2013	
BNSF 2013-11(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2013	
BNSF 2013-12(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2013	
BNSF 2013-13(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2013	
BNSF 2013-14(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2013	
BNSF 2013-15(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2013	
BNSF 2013-16(TS)	3	\$8,500	\$8,500	\$5,575	09/30/2013	
BNSF 2013-17(AR)	1	\$2,500	\$2,500	\$1,550	09/30/2013	
BNSF 2013-18(SA)	5	\$25,000	\$25,000	\$16,300	09/30/2013	
BNSF 2013-19(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2013	
BNSF 2013-20(SA)	5	\$22,500	\$22,500	\$14,500	09/30/2013	
BNSF 2013-21(SA)	5	\$17,500	\$17,500	\$11,400	09/30/2013	
BNSF 2013-22(SA)	1	\$2,500	\$2,500	\$1,625	09/30/2013	
BNSF 2013-23(SA)	4	\$15,000	\$15,000	\$9,600	09/30/2013	
BNSF 2013-24(LI)	2	\$5,000	\$5,000	\$3,250	09/30/2013	
BNSF 2013-25(EP)	1	\$1,000	\$1,000	\$650	09/30/2013	
BNSF 2013-26(GC)	1	\$5,000	\$5,000	\$3,380	09/30/2013	
BNSF 2013-27(EP)	1	\$1,000	\$1,000	\$650	09/30/2013	
BNSF 2013-29(TS)	1	\$2,500	\$2,500	\$1,750	09/30/2013	
BNSF 2013-30(ROP)	5	\$37,500	\$37,500	\$24,150	09/30/2013	
BNSF 2013-31(ROP)	4	\$24,500	\$24,500	\$15,950	09/30/2013	
BNSF 2013-32(ROP)	5	\$26,500	\$26,500	\$17,050	09/30/2013	
BNSF 2013-33(ROP)	4	\$36,000	\$26,500	\$17,500	09/30/2013	Terminated Violation(s): 4.
BNSF 2013-34(ROP)	1	\$9,500	\$9,500	\$6,125	09/30/2013	
BNSF 2013-35(ROP)	4	\$24,500	\$24,500	\$15,700	09/30/2013	
BNSF 2013-36(ROP)	2	\$12,500	\$12,500	\$8,000	09/30/2013	
BNSF 2013-37(ROP)	1	\$7,500	\$7,500	\$4,850	09/30/2013	
BNSF 2013-38(ROP)	1	\$7,500	\$7,500	\$4,825	09/30/2013	
BNSF 2013-43(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2013	
BNSF 2013-44(ROP)	2	\$17,000	\$17,000	\$9,750	09/30/2013	
BNSF 2013-45(SA)	2	\$7,500	\$7,500	\$4,950	09/30/2013	
BNSF 2013-47(GC)	1	\$1,000	\$1,000	\$715	09/30/2013	
BNSF 2013-48(HSR)	1	\$1,000	\$1,000	\$650	09/30/2013	
BNSF 2013-49(SA)	3	\$12,500	\$12,500	\$8,150	09/30/2013	
BNSF 2013-50(HS)	2	\$2,000	\$2,000	\$1,300	09/30/2013	
BNSF 2013-52(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2013	
BNSF 2013-53(SA)	5	\$20,000	\$20,000	\$12,600	09/30/2013	
BNSF 2013-54(ROP)	3	\$24,500	\$24,500	\$15,800	09/30/2013	
BNSF 2013-55(TS)	10	\$16,000	\$16,000	\$11,080	09/30/2013	
BNSF 2013-57(FCS)	1	\$5,000	\$5,000	\$3,275	09/30/2013	
BNSF 2013-58(FCS)	1	\$2,500	\$2,500	\$1,650	09/30/2013	
BNSF 2013-59(FCS)	1	\$2,500	\$2,500	\$1,650	09/30/2013	
BNSF 2013-60(SA)	3	\$10,000	\$10,000	\$6,550	09/30/2013	

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BNSF 2013-61(SA)	3	\$12,500	\$12,500	\$8,100	09/30/2013	
BNSF 2013-62(TS)	1	\$2,500	\$2,500	\$1,625	09/30/2013	
BNSF 2013-63(HS)	1	\$1,000	\$1,000	\$650	09/30/2013	
BNSF 2013-66(ROP)	1	\$7,500	\$7,500	\$4,875	09/30/2013	
BNSF 2013-70(HS)	1	\$1,000	\$1,000	\$650	09/30/2013	
BPRR 2011-1(SI)	1	\$2,500	\$2,500	\$1,750	04/02/2013	
BPRR 2011-2(SA)	1	\$5,000	\$5,000	\$4,000	04/02/2013	
BPRR 2012-1(ROP)	1	\$9,500	\$9,500	\$6,650	04/04/2013	
BPRR 2012-2(ROP)	1	\$9,500	\$9,500	\$6,650	04/02/2013	
BPRR 2012-3(SI)	1	\$5,000	\$5,000	\$4,000	04/02/2013	
BPRR 2012-4(TS)	15	\$30,000	\$30,000	\$15,000	09/30/2013	
BRC 2012-1(SA)	1	\$2,500	\$2,500	\$1,600	04/16/2013	
BRC 2012-2(SA)	1	\$5,000	\$5,000	\$3,200	04/16/2013	
BRC 2012-3(HMT)	2	\$10,000	\$10,000	\$6,400	04/16/2013	
BRC 2012-4(SA)	1	\$5,000	\$5,000	\$3,200	04/16/2013	
BRC 2012-5(SA)	1	\$5,000	\$5,000	\$3,200	04/16/2013	
BRS 2012-1(SA)	3	\$7,500	\$7,500	\$4,500	09/27/2013	
BRS 2013-1(LI)	1	\$2,500	\$2,500	\$1,750	09/27/2013	
CAGY 2007-1(TS)	1	\$5,000	\$5,000	\$2,500	05/28/2013	
CAGY 2010-1(SA)	1	\$5,000	\$5,000	\$3,600	05/28/2013	
CAGY 2011-1(GC)	1	\$2,500	\$2,500	\$1,800	05/28/2013	
CAGY 2012-1(SA)	1	\$5,000	\$5,000	\$3,500	05/29/2013	
CAGY 2013-1(HMT)	1	\$6,000	\$6,000	\$4,200	05/28/2013	
CC 2012-1(TS)	4	\$17,500	\$17,500	\$11,875	08/29/2013	
CCPN 2012-1(AD)	1	\$2,500	\$2,500	\$1,800	08/12/2013	
CCPN 2013-1(SA)	1	\$2,500	\$2,500	\$1,750	08/12/2013	
CCPN 2013-2(ROP)	1	\$9,500	\$9,500	\$6,650	08/12/2013	
CCPN 2013-3(TS)	3	\$12,500	\$12,500	\$8,750	08/12/2013	
CCPN 2013-4(EQ)	1	\$2,500	\$2,500	\$1,800	08/12/2013	
CCRR 2012-1(EQ)	1	\$5,000	\$5,000	\$3,500	03/07/2013	
CEOH 2006-1(TS)	2	\$2,000	\$2,000	\$1,100	05/28/2013	
CEOH 2012-1(SA)	1	\$5,000	\$5,000	\$2,400	05/28/2013	
CFNR 2012-1(ROP)	2	\$9,000	\$9,000	\$6,300	09/30/2013	
CFRC 2012-1(GC)	1	\$2,500	\$2,500	\$2,500	12/14/2012	
CFRC 2012-2(GC)	1	\$5,000	\$5,000	\$5,000	12/14/2012	
CFRC 2012-3(GC)	1	\$5,000	\$5,000	\$5,000	12/14/2012	
CFRC 2013-3(ROP)	1	\$7,500	\$7,500	\$7,500	07/11/2013	
CFRC 2013-4(ROP)	1	\$7,500	\$7,500	\$7,500	09/25/2013	
CGIV 2013-1(EQ)	1	\$1,000	\$1,000	\$1,000	09/16/2013	
CHAT 2006-1(TS)	2	\$2,000	\$2,000	\$1,100	05/28/2013	
CHAT 2006-2(SA)	1	\$5,000	\$5,000	\$2,400	05/28/2013	
CIC 2007-1(GC)	1	\$1,000	\$1,000	\$550	06/13/2013	
CIC 2008-1(HMT)	2	\$10,000	\$10,000	\$6,500	06/13/2013	
CIC 2008-2(GC)	2	\$6,000	\$6,000	\$3,800	06/13/2013	
CIC 2012-1(GC)	1	\$5,000	\$5,000	\$3,600	06/13/2013	
CIC 2013-1(ROP)	1	\$5,000	\$5,000	\$3,600	05/23/2013	
CIND 2012-1(LI)	1	\$2,500	\$2,500	\$1,725	09/30/2013	
CIND 2013-1(SI)	1	\$1,000	\$1,000	\$750	09/30/2013	
CN 2011-120(RW)	1	\$3,000	\$3,000	\$2,070	08/29/2013	

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CN 2012-1(HMT)	1	\$5,000	\$5,000	\$3,450	08/29/2013	
CN 2012-2(HMT)	2	\$8,000	\$8,000	\$5,600	08/29/2013	
CN 2012-3(LI)	1	\$2,500	\$2,500	\$1,700	08/29/2013	
CN 2012-4(SA)	1	\$2,500	\$2,500	\$1,675	08/29/2013	
CN 2012-5(TS)	2	\$3,500	\$3,500	\$2,295	08/29/2013	
CN 2012-6(ROP)	2	\$12,500	\$7,000	\$5,400	08/29/2013	Partially Terminated Violation(s): 1.
CN 2012-7(SA)	1	\$5,000	\$5,000	\$3,400	08/29/2013	
CN 2012-8(SA)	1	\$5,000	\$5,000	\$3,350	08/29/2013	
CN 2012-9(ROP)	1	\$5,000	\$5,000	\$3,400	08/29/2013	
CN 2012-10(HS)	5	\$5,000	\$5,000	\$3,450	08/29/2013	
CN 2012-11(HS)	5	\$5,000	\$5,000	\$3,450	08/29/2013	
CN 2012-12(HS)	3	\$3,000	\$3,000	\$2,070	08/29/2013	
CN 2012-13(HS)	1	\$1,000	\$1,000	\$690	08/29/2013	
CN 2012-14(SA)	5	\$22,500	\$22,500	\$15,325	08/29/2013	
CN 2012-15(FCS)	5	\$12,000	\$12,000	\$7,935	08/29/2013	
CN 2012-16(FCS)	4	\$12,500	\$12,500	\$8,200	08/29/2013	
CN 2012-17(HMT)	3	\$12,500	\$12,500	\$8,820	08/29/2013	
CN 2012-18(TS)	1	\$1,000	\$1,000	\$690	08/29/2013	
CN 2012-19(HSR)	4	\$4,000	\$4,000	\$2,720	08/29/2013	
CN 2012-20(FCS)	1	\$2,500	\$2,500	\$1,650	08/29/2013	
CN 2012-21(SA)	1	\$2,500	\$2,500	\$1,700	08/29/2013	
CN 2012-22(FCS)	2	\$7,500	\$7,500	\$4,875	08/29/2013	
CN 2012-23(SA)	2	\$7,500	\$7,500	\$5,150	08/29/2013	
CN 2012-24(LI)	1	\$2,500	\$2,500	\$1,700	08/29/2013	
CN 2012-25(HMT)	1	\$4,000	\$4,000	\$2,800	08/29/2013	
CN 2012-26(SA)	2	\$10,000	\$10,000	\$6,750	08/29/2013	
CN 2012-27(LI)	1	\$2,500	\$2,500	\$1,625	08/29/2013	
CN 2012-28(HS)	1	\$1,000	\$1,000	\$690	08/29/2013	
CN 2012-29(HS)	1	\$1,000	\$1,000	\$690	08/29/2013	
CN 2012-30(SA)	2	\$7,500	\$7,500	\$5,025	08/29/2013	
CN 2012-31(LI)	2	\$5,000	\$5,000	\$3,250	08/29/2013	
CN 2012-32(SI)	3	\$7,000	\$7,000	\$4,860	08/29/2013	
CN 2012-33(SA)	1	\$5,000	\$5,000	\$3,400	08/29/2013	
CN 2012-34(LI)	1	\$2,500	\$2,500	\$1,625	08/29/2013	
CN 2012-35(FCS)	2	\$5,000	\$5,000	\$3,250	08/29/2013	
CN 2012-36(SA)	1	\$5,000	\$5,000	\$3,350	08/29/2013	
CN 2012-37(HMT)	1	\$5,000	\$5,000	\$3,450	08/29/2013	
CN 2012-38(SI)	1	\$2,500	\$2,500	\$1,750	08/29/2013	
CN 2012-39(SA)	1	\$5,000	\$5,000	\$3,400	08/29/2013	
CN 2012-40(LI)	1	\$2,500	\$2,500	\$1,650	08/29/2013	
CN 2012-41(ROP)	1	\$7,500	\$7,500	\$5,100	08/29/2013	
CN 2012-42(SA)	1	\$5,000	\$5,000	\$3,400	08/29/2013	
CN 2012-43(GC)	1	\$1,000	\$1,000	\$700	08/29/2013	
CN 2012-45(SI)	1	\$1,000	\$1,000	\$700	08/29/2013	
CN 2012-46(FCS)	1	\$2,500	\$2,500	\$1,625	08/29/2013	
CN 2012-47(SI)	1	\$1,000	\$1,000	\$700	08/29/2013	
CN 2012-48(HMT)	4	\$20,000	\$20,000	\$13,600	08/29/2013	
CN 2012-49(FCS)	1	\$2,500	\$2,500	\$1,625	08/29/2013	
CN 2012-50(SA)	3	\$15,000	\$15,000	\$10,200	08/29/2013	

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CN 2012-51(SA)	4	\$10,000	\$10,000	\$6,400	08/29/2013	
CN 2012-52(LI)	2	\$5,000	\$5,000	\$3,250	08/29/2013	
CN 2012-53(ROP)	1	\$7,500	\$2,000	\$2,000	08/29/2013	Partially Terminated Violation(s): 1.
CN 2012-54(TS)	1	\$2,500	\$2,500	\$1,700	08/29/2013	
CN 2012-55(ROP)	1	\$9,500	\$9,500	\$6,650	08/29/2013	
CN 2012-56(SA)	1	\$2,500	\$2,500	\$1,675	08/29/2013	
CN 2012-57(ROP)	3	\$28,500	\$28,500	\$19,095	08/29/2013	
CN 2012-58(FCS)	1	\$2,500	\$2,500	\$1,575	08/29/2013	
CN 2012-60(TS)	1	\$5,000	\$5,000	\$3,350	08/29/2013	
CN 2012-61(SA)	4	\$10,000	\$10,000	\$6,500	08/29/2013	
CN 2012-62(FCS)	1	\$2,500	\$2,500	\$1,675	08/29/2013	
CN 2012-63(TS)	4	\$4,000	\$4,000	\$2,720	08/29/2013	
CN 2012-64(HMT)	1	\$2,000	\$2,000	\$1,400	08/29/2013	
CN 2012-65(TS)	1	\$2,500	\$2,500	\$1,700	08/29/2013	
CN 2012-66(LI)	2	\$4,000	\$4,000	\$2,615	08/29/2013	
CN 2012-67(EQ)	1	\$1,000	\$1,000	\$680	08/29/2013	
CN 2012-68(HMT)	2	\$8,000	\$8,000	\$5,720	08/29/2013	
CN 2012-69(ROP)	1	\$2,000	\$2,000	\$1,360	08/29/2013	
CN 2012-70(SA)	1	\$5,000	\$5,000	\$3,400	08/29/2013	
CN 2012-71(LI)	5	\$6,500	\$6,500	\$4,370	08/29/2013	
CN 2012-72(LI)	1	\$2,500	\$2,500	\$1,625	08/29/2013	
CN 2012-73(TS)	49	\$53,000	\$53,000	\$34,450	08/29/2013	
CN 2012-74(GC)	1	\$5,000	\$5,000	\$3,500	08/29/2013	
CN 2012-75(SA)	1	\$5,000	\$5,000	\$3,400	08/29/2013	
CN 2012-76(HMT)	3	\$24,000	\$24,000	\$16,800	08/29/2013	
CN 2012-77(FCS)	1	\$5,000	\$5,000	\$3,300	08/29/2013	
CN 2012-78(ROP)	1	\$7,500	\$7,500	\$5,175	08/29/2013	
CN 2012-79(TS)	4	\$8,500	\$7,500	\$4,950	08/29/2013	Terminated Violation(s): 1.
CN 2012-80(SA)	1	\$2,500	\$2,500	\$1,700	08/29/2013	
CN 2012-81(SI)	1	\$1,000	\$1,000	\$690	08/29/2013	
CN 2012-82(ROP)	1	\$9,500	\$9,500	\$6,460	08/29/2013	
CN 2012-83(ROP)	1	\$7,500	\$7,500	\$5,250	08/29/2013	
CN 2012-84(SA)	1	\$5,000	\$5,000	\$3,350	08/29/2013	
CN 2012-85(SA)	1	\$2,500	\$2,500	\$1,675	08/29/2013	
CN 2012-86(RSP)	2	\$11,000	\$11,000	\$7,480	08/29/2013	
CN 2012-87(TS)	1	\$2,500	\$2,500	\$1,700	08/29/2013	
CN 2012-88(HS)	3	\$3,000	\$3,000	\$2,090	08/29/2013	
CN 2012-89(SA)	1	\$5,000	\$5,000	\$3,350	08/29/2013	
CN 2012-90(FCS)	1	\$2,500	\$2,500	\$1,625	08/29/2013	
CN 2012-91(ROP)	1	\$2,000	\$2,000	\$1,340	08/29/2013	
CN 2012-92(LI)	1	\$1,000	\$0	\$0	08/29/2013	Case Terminated.
CN 2012-93(EQ)	1	\$5,000	\$5,000	\$3,250	08/29/2013	
CN 2012-94(GC)	1	\$5,000	\$5,000	\$3,500	08/29/2013	
CN 2012-95(LI)	1	\$2,500	\$2,500	\$1,675	08/29/2013	
CN 2012-96(ROP)	1	\$7,500	\$7,500	\$5,025	08/29/2013	
CN 2012-97(ROP)	1	\$5,000	\$5,000	\$3,250	08/29/2013	
CN 2012-98(FCS)	1	\$5,000	\$5,000	\$3,300	08/29/2013	
CN 2012-99(ROP)	1	\$7,500	\$7,500	\$5,025	08/29/2013	
CN 2012-100(SA)	2	\$5,000	\$5,000	\$3,200	08/29/2013	

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CN 2012-101(ROP)	1	\$7,500	\$7,500	\$5,100	08/29/2013	
CN 2012-102(HMT)	1	\$1,000	\$1,000	\$680	08/29/2013	
CN 2012-103(SA)	1	\$5,000	\$5,000	\$3,350	08/29/2013	
CN 2012-104(ROP)	2	\$7,000	\$7,000	\$4,740	08/29/2013	
CN 2012-105(SA)	1	\$5,000	\$5,000	\$3,400	08/29/2013	
CN 2012-106(GC)	1	\$5,000	\$5,000	\$3,500	08/29/2013	
CN 2012-107(LI)	1	\$2,500	\$2,500	\$1,675	08/29/2013	
CN 2012-108(HS)	4	\$4,000	\$4,000	\$2,760	08/29/2013	
CN 2012-109(HS)	1	\$1,000	\$1,000	\$670	08/29/2013	
CNYK 2012-1(GC)	1	\$5,000	\$5,000	\$3,750	10/03/2012	
CORP 2012-1(SI)	1	\$1,000	\$1,000	\$750	09/30/2013	
CORP 2012-2(HSR)	3	\$3,000	\$3,000	\$2,100	09/30/2013	
CP 2008-15(SA)	2	\$10,000	\$0	\$0	09/27/2013	Case Terminated.
CP 2008-16(FCS)	2	\$6,000	\$0	\$0	09/27/2013	Case Terminated.
CP 2008-18(HMT)	1	\$7,500	\$0	\$0	09/27/2013	Case Terminated.
CP 2009-26(TS)	1	\$5,000	\$5,000	\$2,750	09/27/2013	
CP 2011-52(AR)	2	\$5,000	\$5,000	\$3,500	09/27/2013	
CP 2011-58(AR)	1	\$2,500	\$2,500	\$1,750	09/27/2013	
CP 2011-61(AR)	1	\$2,500	\$2,500	\$1,750	09/27/2013	
CP 2011-66(AR)	1	\$2,500	\$2,500	\$1,750	09/27/2013	
CP 2011-68(AR)	1	\$2,500	\$2,500	\$1,750	09/27/2013	
CP 2011-78(AR)	1	\$2,500	\$2,500	\$1,750	09/27/2013	
CP 2011-86(AR)	5	\$12,500	\$12,500	\$8,750	09/27/2013	
CP 2011-87(AR)	1	\$2,500	\$2,500	\$1,750	09/27/2013	
CP 2011-88(HS)	1	\$1,000	\$1,000	\$700	09/27/2013	
CP 2011-89(HMT)	3	\$3,000	\$3,000	\$2,100	09/27/2013	
CP 2012-1(HS)	5	\$5,000	\$5,000	\$3,500	09/27/2013	
CP 2012-2(HS)	2	\$2,000	\$2,000	\$1,400	09/27/2013	
CP 2012-3(HS)	5	\$5,000	\$5,000	\$3,500	09/27/2013	
CP 2012-4(HS)	5	\$5,000	\$5,000	\$3,500	09/27/2013	
CP 2012-5(HS)	3	\$3,000	\$3,000	\$2,100	09/27/2013	
CP 2012-6(HS)	5	\$5,000	\$5,000	\$3,500	09/27/2013	
CP 2012-7(FCS)	3	\$7,500	\$7,500	\$5,250	09/27/2013	
CP 2012-8(SA)	1	\$5,000	\$5,000	\$3,500	09/27/2013	
CP 2012-9(LI)	1	\$2,500	\$2,500	\$1,750	09/27/2013	
CP 2012-10(SA)	1	\$5,000	\$5,000	\$3,600	09/27/2013	
CP 2012-11(HS)	1	\$1,000	\$1,000	\$700	09/27/2013	
CP 2012-12(HS)	1	\$1,000	\$1,000	\$700	09/27/2013	
CP 2012-13(HS)	1	\$1,000	\$1,000	\$700	09/27/2013	
CP 2012-14(HS)	1	\$1,000	\$1,000	\$700	09/27/2013	
CP 2012-15(HS)	1	\$1,000	\$1,000	\$700	09/27/2013	
CP 2012-16(HS)	1	\$1,000	\$1,000	\$700	09/27/2013	
CP 2012-17(HS)	1	\$1,000	\$1,000	\$700	09/27/2013	
CP 2012-18(HS)	1	\$1,000	\$1,000	\$700	09/27/2013	
CP 2012-19(HS)	1	\$1,000	\$1,000	\$700	09/27/2013	
CP 2012-20(HS)	1	\$1,000	\$1,000	\$700	09/27/2013	
CP 2012-21(HS)	1	\$1,000	\$1,000	\$700	09/27/2013	
CP 2012-22(HS)	1	\$1,000	\$1,000	\$700	09/27/2013	
CP 2012-23(HS)	1	\$1,000	\$1,000	\$700	09/27/2013	

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CP 2012-24(HS)	1	\$1,000	\$1,000	\$700	09/27/2013	
CP 2012-25(SA)	2	\$5,000	\$5,000	\$3,750	09/27/2013	
CP 2012-26(HS)	1	\$1,000	\$1,000	\$700	09/27/2013	
CP 2012-27(HS)	1	\$1,000	\$1,000	\$700	09/27/2013	
CP 2012-28(HS)	1	\$1,000	\$1,000	\$700	09/27/2013	
CP 2012-29(HS)	1	\$1,000	\$1,000	\$700	09/27/2013	
CP 2012-30(HS)	1	\$1,000	\$1,000	\$700	09/27/2013	
CP 2012-31(HS)	1	\$1,000	\$1,000	\$700	09/27/2013	
CP 2012-32(HS)	1	\$1,000	\$1,000	\$700	09/27/2013	
CP 2012-33(HS)	1	\$1,000	\$1,000	\$700	09/27/2013	
CP 2012-34(HMT)	1	\$5,000	\$5,000	\$3,300	09/27/2013	
CP 2012-35(SA)	1	\$2,500	\$2,500	\$1,750	09/27/2013	
CP 2012-36(FCS)	1	\$2,500	\$2,500	\$1,750	09/27/2013	
CP 2012-37(FCS)	1	\$5,000	\$5,000	\$3,500	09/27/2013	
CP 2012-38(SA)	3	\$12,500	\$12,500	\$8,500	09/27/2013	
CP 2012-39(SA)	2	\$10,000	\$10,000	\$7,000	09/27/2013	
CP 2012-40(LI)	1	\$2,500	\$2,500	\$1,750	09/27/2013	
CP 2012-41(SA)	1	\$5,000	\$5,000	\$3,500	09/27/2013	
CP 2012-42(HSR)	1	\$2,500	\$2,500	\$1,750	09/27/2013	
CP 2012-43(SA)	1	\$2,500	\$2,500	\$1,750	09/27/2013	
CP 2012-44(FCS)	1	\$5,000	\$5,000	\$3,500	09/27/2013	
CP 2012-45(HSR)	1	\$1,000	\$1,000	\$700	09/27/2013	
CP 2012-46(HS)	2	\$2,000	\$2,000	\$1,400	09/27/2013	
CP 2012-47(TS)	1	\$5,000	\$5,000	\$3,500	09/27/2013	
CP 2012-48(LI)	1	\$1,000	\$1,000	\$700	09/27/2013	
CP 2012-49(HSR)	2	\$2,000	\$2,000	\$1,400	09/27/2013	
CP 2012-50(HMT)	40	\$200,000	\$200,000	\$140,000	09/27/2013	
CP 2012-51(FCS)	1	\$2,500	\$2,500	\$1,750	09/27/2013	
CP 2012-52(HSR)	5	\$5,000	\$5,000	\$3,500	09/27/2013	
CP 2012-53(HMT)	1	\$6,000	\$6,000	\$4,000	09/27/2013	
CP 2012-54(HS)	1	\$1,000	\$1,000	\$700	09/27/2013	
CP 2012-55(HMT)	1	\$5,000	\$5,000	\$3,000	09/27/2013	
CP 2012-56(ROP)	1	\$9,500	\$9,500	\$6,700	09/27/2013	
CP 2012-57(FCS)	1	\$5,000	\$5,000	\$3,500	09/27/2013	
CP 2012-58(HSR)	2	\$2,000	\$2,000	\$1,400	09/27/2013	
CP 2012-59(SA)	3	\$12,500	\$12,500	\$7,500	09/27/2013	
CP 2012-60(FCS)	2	\$10,000	\$10,000	\$6,700	09/27/2013	
CP 2012-61(TS)	1	\$5,000	\$5,000	\$3,800	09/27/2013	
CP 2012-62(HS)	8	\$8,000	\$8,000	\$5,300	09/27/2013	
CP 2012-63(HS)	4	\$4,000	\$4,000	\$2,800	09/27/2013	
CP 2013-1(FCS)	1	\$2,500	\$2,500	\$1,750	09/27/2013	
CP 2013-2(FCS)	1	\$2,500	\$2,500	\$1,750	09/27/2013	
CP 2013-3(ROP)	1	\$9,500	\$9,500	\$6,700	09/27/2013	
CP 2013-4(SA)	1	\$2,500	\$2,500	\$1,750	09/27/2013	
CP 2013-5(SA)	1	\$5,000	\$5,000	\$3,300	09/27/2013	
CP 2013-6(SA)	1	\$5,000	\$5,000	\$3,300	09/27/2013	
CP 2013-7(SA)	1	\$10,000	\$10,000	\$7,000	09/27/2013	
CP 2013-8(HSR)	1	\$1,000	\$1,000	\$700	09/27/2013	
CP 2013-9(AR)	1	\$2,500	\$2,500	\$1,750	09/27/2013	

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CP 2013-10(HMT)	3	\$9,000	\$9,000	\$6,300	09/27/2013	
CP 2013-11(SA)	1	\$2,500	\$2,500	\$1,750	09/27/2013	
CP 2013-12(RW)	1	\$3,000	\$3,000	\$2,250	09/27/2013	
CP 2013-13(FCS)	1	\$2,500	\$2,500	\$1,750	09/27/2013	
CP 2013-14(SI)	1	\$1,000	\$1,000	\$700	09/27/2013	
CP 2013-15(HMT)	2	\$9,500	\$9,500	\$6,500	09/27/2013	
CP 2013-16(ROP)	1	\$9,500	\$9,500	\$6,800	09/27/2013	
CPDR 2013-1(TS)	2	\$3,000	\$3,000	\$2,100	09/30/2013	
CRSH 2012-1(SA)	1	\$5,000	\$5,000	\$4,250	07/16/2013	
CRSH 2012-2(HMT)	1	\$3,000	\$3,000	\$3,000	07/16/2013	
CRSH 2012-4(GC)	1	\$5,000	\$5,000	\$4,000	07/16/2013	
CRSH 2012-5(ROP)	2	\$19,000	\$19,000	\$12,350	07/16/2013	
CRSH 2012-6(SA)	4	\$20,000	\$20,000	\$13,000	07/16/2013	
CRSH 2012-7(ROP)	1	\$9,500	\$9,500	\$6,175	07/16/2013	
CRSH 2012-8(ROP)	1	\$9,500	\$9,500	\$8,075	07/16/2013	
CRSH 2012-9(HMT)	1	\$5,000	\$5,000	\$4,500	07/16/2013	
CRSH 2012-10(SA)	1	\$5,000	\$5,000	\$4,250	07/16/2013	
CRSH 2013-1(SA)	3	\$15,000	\$15,000	\$9,750	07/16/2013	
CRSH 2013-2(ROP)	1	\$9,500	\$9,500	\$6,175	07/16/2013	
CRSH 2013-3(SA)	5	\$25,000	\$25,000	\$18,250	07/16/2013	
CSX 2008-267(HMT)	3	\$12,500	\$0	\$0	09/27/2013	Case Terminated.
CSX 2009-5(SA)	3	\$12,500	\$12,500	\$7,800	09/27/2013	
CSX 2009-50(HMT)	6	\$18,000	\$18,000	\$11,650	09/27/2013	
CSX 2009-89(SA)	2	\$7,500	\$7,500	\$4,825	09/27/2013	
CSX 2009-180(ROP)	3	\$15,000	\$15,000	\$9,600	09/27/2013	
CSX 2009-239(SA)	4	\$12,500	\$12,500	\$8,100	09/27/2013	
CSX 2010-44(LI)	1	\$2,500	\$2,500	\$1,675	09/27/2013	
CSX 2010-87(SA)	3	\$10,000	\$10,000	\$6,500	09/27/2013	
CSX 2010-182(SI)	1	\$2,500	\$2,500	\$1,725	09/27/2013	
CSX 2010-271(AR)	1	\$2,500	\$2,500	\$1,675	09/27/2013	
CSX 2010-356(SA)	3	\$15,000	\$15,000	\$9,800	09/27/2013	
CSX 2010-388(HMT)	1	\$5,000	\$5,000	\$3,250	09/27/2013	
CSX 2011-97(HSR)	1	\$1,000	\$1,000	\$650	09/27/2013	
CSX 2011-276(LI)	1	\$1,500	\$1,500	\$1,025	09/27/2013	
CSX 2011-364(HS)	5	\$5,000	\$5,000	\$3,400	09/27/2013	
CSX 2012-8(HSR)	4	\$4,000	\$4,000	\$2,675	09/27/2013	
CSX 2012-12(SA)	1	\$2,500	\$2,500	\$1,650	09/27/2013	
CSX 2012-16(SA)	4	\$10,000	\$10,000	\$6,300	09/27/2013	
CSX 2012-24(LI)	1	\$1,000	\$1,000	\$680	09/27/2013	
CSX 2012-26(SA)	1	\$5,000	\$5,000	\$3,200	09/27/2013	
CSX 2012-30(GC)	2	\$10,000	\$10,000	\$6,950	09/27/2013	
CSX 2012-38(SA)	3	\$7,500	\$7,500	\$4,800	09/27/2013	
CSX 2012-39(SA)	4	\$10,000	\$10,000	\$6,650	09/27/2013	
CSX 2012-42(SA)	1	\$2,500	\$2,500	\$1,600	09/27/2013	
CSX 2012-46(SA)	2	\$5,000	\$5,000	\$3,175	09/27/2013	
CSX 2012-48(HSR)	3	\$6,000	\$6,000	\$3,975	09/27/2013	
CSX 2012-50(TS)	1	\$1,000	\$1,000	\$675	09/27/2013	
CSX 2012-52(SA)	4	\$15,000	\$15,000	\$9,450	09/27/2013	
CSX 2012-53(AR)	2	\$5,000	\$2,500	\$1,750	09/27/2013	Terminated Violation(s): 1.

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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 2012-56(RW)	2	\$6,000	\$6,000	\$4,000	09/27/2013	
CSX 2012-57(EP)	2	\$2,000	\$2,000	\$1,330	09/27/2013	
CSX 2012-58(LI)	1	\$1,000	\$1,000	\$680	09/27/2013	
CSX 2012-60(SA)	1	\$5,000	\$5,000	\$3,200	09/27/2013	
CSX 2012-61(FCS)	1	\$2,500	\$2,500	\$1,675	09/27/2013	
CSX 2012-65(HS)	1	\$1,000	\$1,000	\$650	09/27/2013	
CSX 2012-66(LI)	1	\$2,500	\$2,500	\$1,650	09/27/2013	
CSX 2012-67(HSR)	5	\$9,500	\$9,500	\$6,100	09/27/2013	
CSX 2012-68(HSR)	5	\$6,500	\$6,500	\$4,225	09/27/2013	
CSX 2012-70(SA)	2	\$5,000	\$5,000	\$2,500	09/27/2013	
CSX 2012-71(SA)	4	\$10,000	\$10,000	\$5,000	09/27/2013	
CSX 2012-73(SA)	2	\$7,500	\$7,500	\$4,800	09/27/2013	
CSX 2012-74(FCS)	1	\$2,000	\$2,000	\$1,000	09/27/2013	
CSX 2012-75(SA)	2	\$7,500	\$7,500	\$5,025	09/27/2013	
CSX 2012-77(HMT)	1	\$2,000	\$2,000	\$1,350	09/27/2013	
CSX 2012-78(LI)	1	\$2,500	\$2,500	\$1,650	09/27/2013	
CSX 2012-79(HS)	1	\$1,000	\$1,000	\$650	09/27/2013	
CSX 2012-80(FCS)	2	\$5,000	\$5,000	\$3,375	09/27/2013	
CSX 2012-81(SA)	5	\$12,500	\$12,500	\$8,250	09/27/2013	
CSX 2012-82(SA)	1	\$5,000	\$5,000	\$3,450	09/27/2013	
CSX 2012-83(HMT)	1	\$3,000	\$3,000	\$2,025	09/27/2013	
CSX 2012-84(HMT)	2	\$10,000	\$10,000	\$5,000	09/27/2013	
CSX 2012-85(FCS)	2	\$5,000	\$5,000	\$3,225	09/27/2013	
CSX 2012-86(SA)	4	\$15,000	\$15,000	\$10,025	09/27/2013	
CSX 2012-87(HSR)	2	\$2,000	\$2,000	\$1,360	09/27/2013	
CSX 2012-88(LI)	1	\$2,500	\$2,500	\$1,650	09/27/2013	
CSX 2012-89(FCS)	2	\$5,000	\$5,000	\$3,300	09/27/2013	
CSX 2012-90(FCS)	1	\$2,500	\$2,500	\$1,675	09/27/2013	
CSX 2012-91(GC)	1	\$5,000	\$5,000	\$3,475	09/27/2013	
CSX 2012-92(SA)	4	\$15,000	\$15,000	\$9,800	09/27/2013	
CSX 2012-93(SA)	2	\$7,500	\$7,500	\$5,100	09/27/2013	
CSX 2012-94(SA)	2	\$7,500	\$7,500	\$4,900	09/27/2013	
CSX 2012-95(SI)	9	\$9,000	\$9,000	\$6,000	09/27/2013	
CSX 2012-96(LI)	1	\$2,500	\$2,500	\$1,675	09/27/2013	
CSX 2012-97(HS)	1	\$1,000	\$1,000	\$650	09/27/2013	
CSX 2012-98(SA)	4	\$12,500	\$12,500	\$8,125	09/27/2013	
CSX 2012-99(SI)	1	\$1,000	\$1,000	\$760	09/27/2013	
CSX 2012-100(SI)	1	\$1,000	\$1,000	\$650	09/27/2013	
CSX 2012-102(HSR)	2	\$2,000	\$2,000	\$1,360	09/27/2013	
CSX 2012-103(SA)	1	\$2,500	\$2,500	\$1,675	09/27/2013	
CSX 2012-104(LI)	1	\$2,500	\$2,500	\$1,500	09/27/2013	
CSX 2012-105(GC)	1	\$5,000	\$5,000	\$3,475	09/27/2013	
CSX 2012-106(RW)	2	\$10,000	\$5,000	\$3,000	09/27/2013	Terminated Violation(s): 1.
CSX 2012-107(TS)	1	\$2,500	\$2,500	\$1,650	09/27/2013	
CSX 2012-108(RSP)	1	\$1,000	\$1,000	\$650	09/27/2013	
CSX 2012-109(SA)	1	\$5,000	\$5,000	\$3,375	09/27/2013	
CSX 2012-110(SA)	2	\$7,500	\$7,500	\$4,875	09/27/2013	
CSX 2012-111(HSR)	3	\$6,000	\$6,000	\$4,000	09/27/2013	
CSX 2012-112(ROP)	1	\$2,000	\$2,000	\$1,300	09/27/2013	

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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 2012-113(ROP)	1	\$7,500	\$7,500	\$4,800	09/27/2013	
CSX 2012-114(FCS)	2	\$5,000	\$5,000	\$3,350	09/27/2013	
CSX 2012-115(LI)	1	\$1,000	\$1,000	\$650	09/27/2013	
CSX 2012-116(SA)	3	\$12,500	\$12,500	\$8,150	09/27/2013	
CSX 2012-117(SA)	1	\$5,000	\$5,000	\$3,275	09/27/2013	
CSX 2012-118(SA)	1	\$2,500	\$2,500	\$1,650	09/27/2013	
CSX 2012-119(SA)	1	\$2,500	\$2,500	\$1,675	09/27/2013	
CSX 2012-120(ROP)	1	\$2,000	\$2,000	\$1,300	09/27/2013	
CSX 2012-121(FCS)	1	\$5,000	\$5,000	\$3,225	09/27/2013	
CSX 2012-122(SI)	1	\$1,000	\$1,000	\$650	09/27/2013	
CSX 2012-123(AR)	1	\$2,500	\$2,500	\$1,625	09/27/2013	
CSX 2012-124(TS)	2	\$10,000	\$10,000	\$6,825	09/27/2013	
CSX 2012-125(RSP)	1	\$1,000	\$1,000	\$650	09/27/2013	
CSX 2012-126(TS)	3	\$7,500	\$7,500	\$4,950	09/27/2013	
CSX 2012-127(FCS)	1	\$2,500	\$2,500	\$1,575	09/27/2013	
CSX 2012-128(SA)	1	\$2,000	\$2,000	\$1,375	09/27/2013	
CSX 2012-129(LI)	1	\$2,500	\$2,500	\$1,650	09/27/2013	
CSX 2012-130(SA)	5	\$25,000	\$25,000	\$16,825	09/27/2013	
CSX 2012-131(TS)	18	\$18,000	\$5,000	\$5,000	09/27/2013	Partially Terminated Violation(s): 1 (violation 6-18 were terminated.)
CSX 2012-132(ROP)	1	\$7,500	\$7,500	\$4,750	09/27/2013	
CSX 2012-133(SA)	1	\$2,500	\$2,500	\$1,675	09/27/2013	
CSX 2012-134(SA)	2	\$10,000	\$10,000	\$6,500	09/27/2013	
CSX 2012-135(TS)	1	\$5,000	\$5,000	\$3,400	09/27/2013	
CSX 2012-136(LI)	2	\$3,500	\$3,500	\$2,325	09/27/2013	
CSX 2012-137(FCS)	1	\$5,000	\$5,000	\$3,225	09/27/2013	
CSX 2012-138(SA)	3	\$15,000	\$15,000	\$9,800	09/27/2013	
CSX 2012-139(ROP)	1	\$7,500	\$7,500	\$4,750	09/27/2013	
CSX 2012-140(ROP)	1	\$7,500	\$7,500	\$4,750	09/27/2013	
CSX 2012-141(FCS)	2	\$5,000	\$5,000	\$3,350	09/27/2013	
CSX 2012-142(SA)	2	\$10,000	\$10,000	\$6,700	09/27/2013	
CSX 2012-143(SA)	1	\$2,500	\$2,500	\$1,325	09/27/2013	
CSX 2012-144(RSP)	2	\$2,000	\$2,000	\$1,330	09/27/2013	
CSX 2012-145(HMT)	1	\$2,500	\$2,500	\$1,775	09/27/2013	
CSX 2012-146(GC)	1	\$1,000	\$1,000	\$650	09/27/2013	
CSX 2012-147(HMT)	1	\$2,000	\$2,000	\$1,450	09/27/2013	
CSX 2012-148(ROP)	3	\$22,500	\$22,500	\$14,200	09/27/2013	
CSX 2012-149(FCS)	2	\$7,500	\$7,500	\$4,800	09/27/2013	
CSX 2012-150(TS)	3	\$12,500	\$12,500	\$8,625	09/27/2013	
CSX 2012-151(AR)	1	\$2,500	\$2,500	\$1,625	09/27/2013	
CSX 2012-152(SA)	1	\$5,000	\$5,000	\$3,350	09/27/2013	
CSX 2012-153(HS)	1	\$1,000	\$1,000	\$650	09/27/2013	
CSX 2012-154(TS)	1	\$2,500	\$2,500	\$1,400	09/27/2013	
CSX 2012-155(SA)	1	\$5,000	\$5,000	\$3,000	09/27/2013	
CSX 2012-156(TH)	1	\$5,000	\$5,000	\$3,200	09/27/2013	
CSX 2012-157(LI)	1	\$2,500	\$2,500	\$1,675	09/27/2013	
CSX 2012-158(HSR)	51	\$51,000	\$51,000	\$33,150	09/27/2013	
CSX 2012-159(ROP)	3	\$20,000	\$20,000	\$13,950	09/27/2013	
CSX 2012-160(HMT)	3	\$22,500	\$22,500	\$14,375	09/27/2013	

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CSX 2012-161(TS)	1	\$2,500	\$2,500	\$1,600	09/27/2013	
CSX 2012-162(TS)	19	\$95,000	\$95,000	\$52,625	09/27/2013	
CSX 2012-163(TS)	1	\$1,000	\$1,000	\$685	09/27/2013	
CSX 2012-164(SA)	4	\$14,000	\$14,000	\$9,550	09/27/2013	
CSX 2012-166(SA)	5	\$17,500	\$17,500	\$11,675	09/27/2013	
CSX 2012-167(ROP)	1	\$9,500	\$9,500	\$6,600	09/27/2013	
CSX 2012-168(HMT)	1	\$7,500	\$7,500	\$4,850	09/27/2013	
CSX 2012-169(SA)	1	\$2,500	\$2,500	\$1,700	09/27/2013	
CSX 2012-171(SA)	1	\$2,500	\$2,500	\$1,650	09/27/2013	
CSX 2012-172(SA)	1	\$5,000	\$5,000	\$3,450	09/27/2013	
CSX 2012-173(SA)	1	\$2,500	\$2,500	\$1,675	09/27/2013	
CSX 2012-174(LI)	1	\$2,500	\$2,500	\$1,650	09/27/2013	
CSX 2012-175(HMT)	1	\$4,000	\$4,000	\$2,575	09/27/2013	
CSX 2012-176(TS)	1	\$5,000	\$5,000	\$3,350	09/27/2013	
CSX 2012-177(SA)	3	\$10,000	\$10,000	\$6,575	09/27/2013	
CSX 2012-178(SA)	5	\$20,000	\$20,000	\$12,850	09/27/2013	
CSX 2012-179(HMT)	1	\$2,000	\$2,000	\$1,440	09/27/2013	
CSX 2012-180(FCS)	2	\$5,000	\$5,000	\$3,100	09/27/2013	
CSX 2012-181(ROP)	2	\$17,000	\$9,500	\$6,850	09/27/2013	Terminated Violation(s): 2.
CSX 2012-182(FCS)	2	\$5,000	\$5,000	\$3,425	09/27/2013	
CSX 2012-183(LI)	1	\$2,500	\$2,500	\$1,675	09/27/2013	
CSX 2012-184(AR)	1	\$5,000	\$5,000	\$3,300	09/27/2013	
CSX 2012-185(AR)	1	\$2,500	\$2,500	\$1,675	09/27/2013	
CSX 2012-186(TS)	1	\$5,000	\$5,000	\$3,350	09/27/2013	
CSX 2012-187(HMT)	5	\$20,000	\$20,000	\$13,700	09/27/2013	
CSX 2012-188(SI)	1	\$1,000	\$1,000	\$650	09/27/2013	
CSX 2012-189(AR)	1	\$2,500	\$2,500	\$1,625	09/27/2013	
CSX 2012-190(HS)	2	\$2,000	\$2,000	\$1,330	09/27/2013	
CSX 2012-191(TS)	2	\$5,000	\$5,000	\$3,200	09/27/2013	
CSX 2012-192(GC)	1	\$5,000	\$5,000	\$3,475	09/27/2013	
CSX 2012-193(ROP)	1	\$9,500	\$9,500	\$6,450	09/27/2013	
CSX 2012-194(HMT)	2	\$7,000	\$7,000	\$4,625	09/27/2013	
CSX 2012-195(FCS)	3	\$7,500	\$7,500	\$4,800	09/27/2013	
CSX 2012-196(SA)	1	\$5,000	\$5,000	\$3,275	09/27/2013	
CSX 2012-197(SA)	4	\$10,000	\$10,000	\$6,475	09/27/2013	
CSX 2012-198(SA)	1	\$5,000	\$5,000	\$3,275	09/27/2013	
CSX 2012-199(LI)	3	\$7,500	\$7,500	\$4,500	09/27/2013	
CSX 2012-201(TH)	1	\$5,000	\$5,000	\$3,200	09/27/2013	
CSX 2012-202(SA)	1	\$2,500	\$2,500	\$1,625	09/27/2013	
CSX 2012-203(SA)	1	\$2,500	\$2,500	\$1,650	09/27/2013	
CSX 2012-204(FCS)	1	\$5,000	\$5,000	\$3,125	09/27/2013	
CSX 2012-205(HMT)	2	\$12,000	\$10,000	\$7,100	09/27/2013	Partially Terminated Violation(s): 2.
CSX 2012-206(ROP)	1	\$7,500	\$7,500	\$4,950	09/27/2013	
CSX 2012-207(LI)	1	\$2,500	\$2,500	\$1,675	09/27/2013	
CSX 2012-210(TS)	2	\$3,500	\$3,500	\$2,250	09/27/2013	
CSX 2012-211(SI)	1	\$1,000	\$1,000	\$735	09/27/2013	
CSX 2012-212(FCS)	1	\$2,500	\$2,500	\$1,700	09/27/2013	
CSX 2012-213(SA)	2	\$5,000	\$5,000	\$3,150	09/27/2013	
CSX 2012-214(SA)	3	\$7,500	\$7,500	\$4,675	09/27/2013	

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CSX 2012-215(SA)	1	\$2,500	\$2,500	\$1,650	09/27/2013	
CSX 2012-216(AR)	1	\$2,500	\$2,500	\$1,625	09/27/2013	
CSX 2012-217(AR)	1	\$2,500	\$2,500	\$1,625	09/27/2013	
CSX 2012-218(RW)	2	\$5,000	\$5,000	\$3,475	09/27/2013	
CSX 2012-219(FCS)	1	\$2,500	\$2,500	\$1,575	09/27/2013	
CSX 2012-220(SI)	4	\$7,000	\$7,000	\$5,025	09/27/2013	
CSX 2012-221(SA)	1	\$5,000	\$5,000	\$3,275	09/27/2013	
CSX 2012-222(SA)	1	\$5,000	\$5,000	\$3,250	09/27/2013	
CSX 2012-223(RSP)	1	\$2,500	\$2,500	\$1,250	09/27/2013	
CSX 2012-224(AR)	1	\$2,500	\$2,500	\$1,625	09/27/2013	
CSX 2012-225(AR)	1	\$2,500	\$2,500	\$1,625	09/27/2013	
CSX 2012-226(AR)	1	\$2,500	\$2,500	\$1,625	09/27/2013	
CSX 2012-227(AR)	1	\$2,500	\$2,500	\$1,625	09/27/2013	
CSX 2012-228(LI)	1	\$2,500	\$2,500	\$1,725	09/27/2013	
CSX 2012-229(LI)	1	\$2,000	\$2,000	\$1,350	09/27/2013	
CSX 2012-230(SA)	1	\$2,500	\$2,500	\$1,600	09/27/2013	
CSX 2012-231(SA)	1	\$5,000	\$5,000	\$3,175	09/27/2013	
CSX 2012-232(TS)	3	\$11,000	\$11,000	\$7,350	09/27/2013	
CSX 2012-233(ROP)	1	\$7,500	\$7,500	\$4,875	09/27/2013	
CSX 2012-234(SA)	4	\$17,500	\$17,500	\$11,400	09/27/2013	
CSX 2012-235(SA)	1	\$5,000	\$5,000	\$3,275	09/27/2013	
CSX 2012-236(HMT)	2	\$3,000	\$2,000	\$1,300	09/27/2013	Partially Terminated Violation(s): 1.
CSX 2012-237(ROP)	1	\$9,500	\$9,500	\$6,175	09/27/2013	
CSX 2012-238(AR)	1	\$2,500	\$2,500	\$1,575	09/27/2013	
CSX 2012-239(HMT)	5	\$19,500	\$19,500	\$13,725	09/27/2013	
CSX 2012-240(AR)	1	\$2,500	\$2,500	\$1,625	09/27/2013	
CSX 2012-241(AR)	1	\$2,500	\$2,500	\$1,575	09/27/2013	
CSX 2012-242(AR)	1	\$2,500	\$2,500	\$1,625	09/27/2013	
CSX 2012-243(LI)	1	\$1,000	\$1,000	\$690	09/27/2013	
CSX 2012-244(SA)	5	\$17,500	\$17,500	\$11,550	09/27/2013	
CSX 2012-245(SA)	1	\$2,500	\$2,500	\$1,625	09/27/2013	
CSX 2012-246(ROP)	1	\$2,500	\$2,500	\$1,675	09/27/2013	
CSX 2012-247(SI)	1	\$2,500	\$2,500	\$1,800	09/27/2013	
CSX 2012-248(HMT)	1	\$2,000	\$2,000	\$1,400	09/27/2013	
CSX 2012-249(SA)	1	\$5,000	\$5,000	\$3,150	09/27/2013	
CSX 2012-250(SA)	1	\$2,500	\$2,500	\$1,625	09/27/2013	
CSX 2012-251(AR)	1	\$2,500	\$2,500	\$1,625	09/27/2013	
CSX 2012-252(AR)	1	\$2,500	\$2,500	\$1,675	09/27/2013	
CSX 2012-253(AR)	1	\$2,500	\$0	\$0	09/27/2013	Case Terminated.
CSX 2012-255(SA)	1	\$2,500	\$2,500	\$1,650	09/27/2013	
CSX 2012-256(SA)	1	\$2,500	\$2,500	\$1,625	09/27/2013	
CSX 2012-257(HMT)	1	\$3,000	\$3,000	\$1,875	09/27/2013	
CSX 2012-258(LI)	1	\$1,000	\$1,000	\$670	09/27/2013	
CSX 2012-259(TS)	2	\$3,500	\$3,500	\$2,300	09/27/2013	
CSX 2012-260(LI)	1	\$2,500	\$2,500	\$1,625	09/27/2013	
CSX 2012-261(HS)	1	\$1,000	\$1,000	\$650	09/27/2013	
CSX 2012-262(SA)	3	\$15,000	\$15,000	\$10,000	09/27/2013	
CSX 2012-263(HS)	5	\$5,000	\$5,000	\$3,400	09/27/2013	
CSX 2012-264(SI)	2	\$5,000	\$5,000	\$3,175	09/27/2013	

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CSX 2012-265(HMT)	1	\$6,000	\$6,000	\$4,225	09/27/2013	
CSX 2012-266(SI)	1	\$5,000	\$5,000	\$3,175	09/27/2013	
CSX 2012-267(HMT)	3	\$20,000	\$20,000	\$14,000	09/27/2013	
CSX 2012-268(FCS)	1	\$2,500	\$2,500	\$1,575	09/27/2013	
CSX 2012-270(TS)	1	\$5,000	\$5,000	\$3,350	09/27/2013	
CSX 2012-271(LI)	2	\$4,500	\$4,500	\$2,950	09/27/2013	
CSX 2012-272(SA)	2	\$5,000	\$5,000	\$3,250	09/27/2013	
CSX 2012-273(HMT)	1	\$10,000	\$5,000	\$3,475	09/27/2013	Partially Terminated Violation(s): 1.
CSX 2012-274(FCS)	1	\$5,000	\$5,000	\$3,225	09/27/2013	
CSX 2012-275(EQ)	1	\$5,000	\$5,000	\$3,275	09/27/2013	
CSX 2012-276(LI)	2	\$5,000	\$5,000	\$3,350	09/27/2013	
CSX 2012-277(GC)	2	\$10,000	\$10,000	\$6,950	09/27/2013	
CSX 2012-278(LI)	2	\$5,000	\$5,000	\$3,225	09/27/2013	
CSX 2012-279(SA)	1	\$5,000	\$5,000	\$3,275	09/27/2013	
CSX 2012-280(FCS)	4	\$10,000	\$7,500	\$4,750	09/27/2013	Terminated Violation(s): 3.
CSX 2012-281(ROP)	1	\$9,500	\$9,500	\$6,275	09/27/2013	
CSX 2012-282(ROP)	1	\$9,500	\$9,500	\$6,450	09/27/2013	
CSX 2012-283(FCS)	1	\$2,500	\$2,500	\$1,575	09/27/2013	
CSX 2012-284(SA)	4	\$12,500	\$12,500	\$8,100	09/27/2013	
CSX 2012-285(SA)	3	\$12,500	\$12,500	\$8,450	09/27/2013	
CSX 2012-286(SA)	1	\$2,500	\$2,500	\$1,625	09/27/2013	
CSX 2012-289(LI)	2	\$5,000	\$5,000	\$3,350	09/27/2013	
CSX 2012-290(SA)	1	\$2,500	\$2,500	\$1,625	09/27/2013	
CSX 2012-292(LI)	1	\$2,500	\$2,500	\$1,600	09/27/2013	
CSX 2012-293(FCS)	2	\$5,000	\$5,000	\$3,150	09/27/2013	
CSX 2012-294(HMT)	6	\$36,000	\$36,000	\$24,800	09/27/2013	
CSX 2012-295(SA)	1	\$5,000	\$5,000	\$3,275	09/27/2013	
CSX 2012-296(LI)	1	\$1,500	\$1,500	\$1,020	09/27/2013	
CSX 2012-297(HSR)	3	\$3,000	\$3,000	\$2,000	09/27/2013	
CSX 2012-298(FCS)	1	\$2,500	\$2,500	\$1,575	09/27/2013	
CSX 2012-299(HMT)	1	\$2,000	\$2,000	\$1,320	09/27/2013	
CSX 2012-300(SA)	1	\$5,000	\$5,000	\$3,275	09/27/2013	
CSX 2012-301(HSR)	1	\$1,000	\$1,000	\$700	09/27/2013	
CSX 2012-302(PEQ)	1	\$5,000	\$5,000	\$3,200	09/27/2013	
CSX 2012-303(FCS)	1	\$2,500	\$2,500	\$1,575	09/27/2013	
CSX 2012-304(FCS)	1	\$2,500	\$2,500	\$1,575	09/27/2013	
CSX 2012-305(SA)	2	\$10,000	\$10,000	\$6,525	09/27/2013	
CSX 2012-306(SA)	1	\$2,500	\$2,500	\$1,675	09/27/2013	
CSX 2012-307(TS)	2	\$10,000	\$10,000	\$6,950	09/27/2013	
CSX 2012-308(HS)	1	\$1,000	\$1,000	\$650	09/27/2013	
CSX 2013-1(FCS)	1	\$2,500	\$0	\$0	09/27/2013	Case Terminated.
CSX 2013-2(FCS)	1	\$2,500	\$0	\$0	09/27/2013	Case Terminated.
CSX 2013-3(FCS)	1	\$2,500	\$0	\$0	09/27/2013	Case Terminated.
CSX 2013-4(FCS)	1	\$2,500	\$0	\$0	09/27/2013	Case Terminated.
CSX 2013-5(FCS)	1	\$2,500	\$2,500	\$1,625	09/27/2013	
CSX 2013-6(ROP)	1	\$15,000	\$15,000	\$10,050	09/27/2013	
CSX 2013-7(HMT)	5	\$5,000	\$0	\$0	09/27/2013	Case Terminated.
CSX 2013-8(HMT)	1	\$5,000	\$5,000	\$3,550	09/27/2013	
CSX 2013-9(SA)	1	\$5,000	\$5,000	\$3,275	09/27/2013	

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CSX 2013-10(SA)	1	\$2,500	\$2,500	\$1,650	09/27/2013	
CSX 2013-11(SA)	1	\$2,500	\$2,500	\$1,650	09/27/2013	
CSX 2013-12(SA)	1	\$2,500	\$2,500	\$1,650	09/27/2013	
CSX 2013-13(SA)	1	\$5,000	\$5,000	\$3,175	09/27/2013	
CSX 2013-14(SA)	1	\$2,500	\$2,500	\$1,650	09/27/2013	
CSX 2013-15(SA)	1	\$2,500	\$2,500	\$1,575	09/27/2013	
CSX 2013-16(SA)	1	\$2,500	\$2,500	\$1,675	09/27/2013	
CSX 2013-17(SA)	1	\$2,500	\$2,500	\$1,675	09/27/2013	
CSX 2013-18(SA)	1	\$2,500	\$2,500	\$1,650	09/27/2013	
CSX 2013-20(LI)	3	\$10,000	\$10,000	\$6,520	09/27/2013	
CSX 2013-21(GC)	1	\$2,500	\$2,500	\$1,675	09/27/2013	
CSX 2013-22(LI)	1	\$2,500	\$2,500	\$1,725	09/27/2013	
CSX 2013-23(TS)	1	\$1,000	\$1,000	\$685	09/27/2013	
CSX 2013-24(SA)	1	\$5,000	\$5,000	\$3,275	09/27/2013	
CSX 2013-25(HSR)	2	\$2,000	\$2,000	\$1,300	09/27/2013	
CSX 2013-26(ROR)	1	\$9,500	\$0	\$0	09/27/2013	Case Terminated.
CSX 2013-27(SA)	1	\$5,000	\$5,000	\$3,275	09/27/2013	
CSX 2013-28(SA)	1	\$2,500	\$2,500	\$1,625	09/27/2013	
CSX 2013-29(SA)	1	\$5,000	\$5,000	\$3,400	09/27/2013	
CSX 2013-30(SA)	1	\$5,000	\$5,000	\$3,275	09/27/2013	
CSX 2013-31(SA)	1	\$5,000	\$5,000	\$3,375	09/27/2013	
CSX 2013-32(SA)	2	\$10,000	\$10,000	\$6,525	09/27/2013	
CSX 2013-33(GC)	1	\$2,500	\$2,500	\$1,725	09/27/2013	
CSX 2013-34(SA)	1	\$5,000	\$5,000	\$3,325	09/27/2013	
CSX 2013-36(LI)	1	\$1,500	\$1,500	\$990	09/27/2013	
CSX 2013-37(TS)	1	\$5,000	\$5,000	\$3,350	09/27/2013	
CSX 2013-38(TS)	1	\$5,000	\$5,000	\$3,300	09/27/2013	
CSX 2013-40(SA)	1	\$5,000	\$5,000	\$3,275	09/27/2013	
CSX 2013-41(TS)	1	\$1,000	\$1,000	\$685	09/27/2013	
CSX 2013-54(SI)	1	\$2,500	\$2,500	\$1,625	09/27/2013	
CSX 2013-56(SI)	1	\$1,000	\$1,000	\$650	09/27/2013	
CSX 2013-62(SA)	1	\$5,000	\$5,000	\$3,250	09/27/2013	
CSX 2013-66(SA)	1	\$2,500	\$2,500	\$1,725	09/27/2013	
CUOH 2012-1(GC)	1	\$5,000	\$5,000	\$3,250	09/13/2013	
CUOH 2013-1(SA)	1	\$5,000	\$5,000	\$3,200	09/13/2013	
CUOH 2013-2(GC)	2	\$7,500	\$7,500	\$3,750	09/13/2013	
CUOH 2013-3(SA)	1	\$5,000	\$5,000	\$3,300	09/13/2013	
CVSX 2012-1(AR)	1	\$1,000	\$1,000	\$1,000	02/04/2013	
DGNO 2010-4(TS)	6	\$30,000	\$30,000	\$20,100	09/30/2013	
DGNO 2011-3(GC)	4	\$12,000	\$12,000	\$8,400	09/30/2013	
DGNO 2013-1(SA)	2	\$7,500	\$7,500	\$5,250	09/30/2013	
DGNO 2013-2(EP)	1	\$1,500	\$1,500	\$1,020	09/30/2013	
DGNO 2013-3(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2013	
DGNO 2013-4(TS)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
DH 2012-1(HS)	1	\$1,000	\$1,000	\$700	09/27/2013	
DH 2012-2(HS)	1	\$1,000	\$1,000	\$700	09/27/2013	
DH 2012-3(HS)	1	\$1,000	\$1,000	\$700	09/27/2013	
DH 2012-4(SA)	1	\$2,500	\$2,500	\$1,900	09/27/2013	
DH 2012-5(ROP)	1	\$9,500	\$9,500	\$6,000	09/27/2013	

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DH 2012-6(LI)	1	\$2,500	\$2,500	\$1,750	09/27/2013	
DH 2013-3(SA)	1	\$5,000	\$5,000	\$3,000	09/27/2013	
DL 2012-1(HS)	1	\$1,000	\$1,000	\$650	02/13/2013	
DME 2012-1(SA)	6	\$15,000	\$15,000	\$10,500	09/27/2013	
DME 2012-2(SA)	1	\$5,000	\$5,000	\$3,600	09/27/2013	
DME 2012-3(SA)	1	\$5,000	\$5,000	\$3,600	09/27/2013	
DME 2012-4(SA)	3	\$7,500	\$7,500	\$5,500	09/27/2013	
DME 2013-1(SA)	1	\$5,000	\$5,000	\$3,500	09/27/2013	
DMVW 2013-1(SA)	1	\$2,500	\$2,500	\$2,500	07/22/2013	
EIRR 2012-2(GC)	1	\$1,000	\$1,000	\$700	09/27/2013	
EIRR 2012-3(SA)	1	\$5,000	\$5,000	\$3,000	09/27/2013	
EIRR 2012-4(GC)	4	\$23,500	\$15,000	\$10,000	09/27/2013	Terminated Violation(s): 4. Partially Terminated Violation(s): 1,2,3.
EIRR 2012-5(GC)	3	\$12,500	\$10,000	\$7,000	09/27/2013	Terminated Violation(s): 2.
EJE 2012-1(SA)	1	\$5,000	\$5,000	\$3,350	08/29/2013	
EJE 2012-2(ROP)	1	\$2,000	\$2,000	\$1,360	08/29/2013	
EJE 2012-3(FCS)	1	\$2,500	\$2,500	\$1,625	08/29/2013	
EJE 2012-4(SA)	2	\$10,000	\$10,000	\$6,750	08/29/2013	
EJE 2012-5(SA)	1	\$5,000	\$5,000	\$3,350	08/29/2013	
EJE 2012-6(LI)	1	\$1,000	\$1,000	\$670	08/29/2013	
EJE 2012-7(GC)	1	\$5,000	\$5,000	\$3,500	08/29/2013	
ELWX 2012-1(RW)	1	\$1,500	\$1,500	\$1,500	12/04/2012	
ESFR 2011-1(EQ)	1	\$1,000	\$1,000	\$650	09/03/2013	
FCEN 2011-1(ROP)	1	\$5,000	\$5,000	\$3,300	02/22/2013	
FCEN 2011-2(SA)	2	\$10,000	\$10,000	\$6,800	02/22/2013	
FCEN 2012-1(FCS)	1	\$2,500	\$2,500	\$1,800	02/22/2013	
FCEN 2013-1(AD)	1	\$2,500	\$2,500	\$1,800	02/22/2013	
FCRD 2008-1(LI)	1	\$2,500	\$2,500	\$1,800	09/12/2013	
FCRD 2010-2(SA)	1	\$5,000	\$5,000	\$5,000	05/23/2013	
FCRD 2011-1(FCS)	1	\$2,500	\$2,500	\$1,800	09/12/2013	
FCRD 2013-1(RSP)	1	\$5,500	\$5,500	\$3,600	09/12/2013	
FMRC 2008-1(HSR)	1	\$1,000	\$0	\$0	05/14/2013	Case Terminated.
GATX 2011-1(HMT)	1	\$10,000	\$10,000	\$8,000	04/26/2013	
GATX 2011-2(HMT)	1	\$7,500	\$7,500	\$6,000	04/26/2013	
GC 2011-2(TH)	1	\$5,000	\$5,000	\$3,800	05/29/2013	
GC 2012-1(FCS)	1	\$2,500	\$2,500	\$2,000	02/25/2013	
GET 2013-1(GC)	1	\$5,000	\$5,000	\$5,000	05/29/2013	
GMRC 2011-1(SA)	1	\$5,000	\$5,000	\$3,000	04/26/2013	
GRNW 2012-2(HMT)	10	\$20,000	\$20,000	\$12,500	09/27/2013	
GRW 2010-1(EQ)	2	\$7,000	\$7,000	\$4,200	05/24/2013	
GRW 2010-2(EQ)	1	\$2,500	\$2,500	\$1,500	05/24/2013	
GRW 2012-1(AD)	1	\$2,500	\$2,500	\$1,500	05/24/2013	
GWR 2012-1(GC)	4	\$4,000	\$4,000	\$3,200	08/15/2013	
HESR 2013-1(LI)	1	\$2,500	\$2,500	\$1,725	09/30/2013	
HHRV 2009-1(SA)	1	\$5,000	\$5,000	\$4,000	07/31/2013	
HRRC 2011-2(TS)	1	\$1,000	\$1,000	\$800	09/30/2013	
HVMV 2011-1(ROP)	1	\$5,000	\$5,000	\$3,000	06/27/2013	
IAIS 2013-1(SA)	1	\$5,000	\$5,000	\$5,000	06/14/2013	
IERR 2013-1(HMT)	3	\$7,500	\$7,500	\$5,300	08/30/2013	

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IHB 2012-3(SA)	3	\$7,500	\$7,500	\$5,250	05/23/2013	
IHB 2012-4(SA)	2	\$10,000	\$10,000	\$7,000	05/23/2013	
IHB 2012-5(SA)	1	\$2,500	\$2,500	\$1,750	05/23/2013	
IHB 2013-1(SA)	1	\$2,500	\$2,500	\$1,750	05/23/2013	
IHB 2013-2(SA)	1	\$5,000	\$5,000	\$3,500	05/23/2013	
INRD 2012-1(HS)	1	\$1,000	\$1,000	\$1,000	05/20/2013	
INRD 2012-4(EQ)	1	\$2,500	\$0	\$0	05/20/2013	Case Terminated.
INRD 2013-1(SA)	1	\$5,000	\$5,000	\$3,250	05/20/2013	
INRD 2013-2(SA)	1	\$2,500	\$2,500	\$2,500	05/20/2013	
IOY 2012-4(TS)	1	\$2,500	\$2,500	\$1,725	09/30/2013	
IOY 2012-5(SA)	2	\$7,500	\$7,500	\$5,250	09/30/2013	
IOY 2012-6(SA)	1	\$2,500	\$2,500	\$1,725	09/30/2013	
IOY 2012-7(SA)	1	\$5,000	\$5,000	\$3,450	09/30/2013	
IOY 2012-8(SA)	1	\$5,000	\$5,000	\$3,450	09/30/2013	
IOY 2012-9(HS)	1	\$1,000	\$1,000	\$750	09/30/2013	
IOY 2012-10(HSR)	1	\$1,000	\$1,000	\$750	09/30/2013	
IOY 2013-1(SA)	1	\$2,500	\$2,500	\$1,725	09/30/2013	
KAW 2013-1(ROP)	1	\$5,000	\$5,000	\$3,000	09/27/2013	
KCS 2010-13(AR)	1	\$2,500	\$2,500	\$1,950	09/25/2013	
KCS 2010-15(AR)	15	\$40,000	\$40,000	\$23,550	09/25/2013	
KCS 2010-17(AR)	6	\$17,500	\$15,000	\$9,375	09/25/2013	Partially Terminated Violation(s): 2.
KCS 2010-23(AR)	10	\$25,000	\$25,000	\$10,000	09/25/2013	
KCS 2010-26(AR)	3	\$7,500	\$7,500	\$5,000	09/25/2013	
KCS 2010-60(AR)	1	\$2,500	\$2,500	\$1,775	09/25/2013	
KCS 2010-66(AR)	1	\$2,500	\$2,500	\$1,775	09/25/2013	
KCS 2010-68(AR)	1	\$2,500	\$2,500	\$1,775	09/25/2013	
KCS 2011-50(AR)	1	\$1,000	\$1,000	\$750	09/25/2013	
KCS 2012-9(SA)	1	\$5,000	\$5,000	\$3,350	09/25/2013	
KCS 2012-11(LI)	1	\$2,500	\$2,500	\$1,650	09/25/2013	
KCS 2012-21(SA)	1	\$2,500	\$2,500	\$1,675	09/25/2013	
KCS 2012-22(ROP)	1	\$7,500	\$7,500	\$5,250	09/25/2013	
KCS 2012-23(AR)	1	\$2,500	\$2,500	\$1,500	09/25/2013	
KCS 2012-24(AR)	2	\$5,000	\$5,000	\$3,100	09/25/2013	
KCS 2012-25(AR)	1	\$2,500	\$2,500	\$1,550	09/25/2013	
KCS 2012-26(AR)	1	\$2,500	\$2,500	\$1,550	09/25/2013	
KCS 2012-27(AR)	1	\$2,500	\$2,500	\$1,425	09/25/2013	
KCS 2012-28(AR)	1	\$2,500	\$2,500	\$1,425	09/25/2013	
KCS 2012-29(AR)	1	\$2,500	\$2,500	\$1,125	09/25/2013	
KCS 2012-30(AR)	1	\$1,000	\$0	\$0	09/25/2013	Case Terminated.
KCS 2012-31(SA)	1	\$5,000	\$5,000	\$3,500	09/25/2013	
KCS 2012-33(SA)	2	\$5,000	\$5,000	\$3,500	09/25/2013	
KCS 2012-34(GC)	1	\$5,000	\$5,000	\$3,450	09/25/2013	
KCS 2012-35(LI)	1	\$2,500	\$0	\$0	09/25/2013	Case Terminated.
KCS 2012-36(ROP)	2	\$19,000	\$19,000	\$11,400	09/25/2013	
KCS 2012-37(ROP)	1	\$7,500	\$7,500	\$5,250	09/25/2013	
KCS 2012-38(SA)	1	\$5,000	\$5,000	\$3,900	09/25/2013	
KCS 2012-39(SA)	1	\$5,000	\$5,000	\$3,900	09/25/2013	
KCS 2012-40(SA)	1	\$5,000	\$5,000	\$3,500	09/25/2013	
KCS 2012-41(TS)	1	\$5,000	\$5,000	\$3,350	09/25/2013	

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KCS 2012-42(ROP)	5	\$39,500	\$34,000	\$26,000	09/25/2013	Partially Terminated Violation(s): 1.
KCS 2012-43(ROP)	2	\$17,000	\$17,000	\$13,090	09/25/2013	
KCS 2012-44(RSP)	3	\$20,000	\$20,000	\$13,950	09/25/2013	
KCS 2012-45(TS)	1	\$5,000	\$5,000	\$3,750	09/25/2013	
KCS 2012-46(SA)	1	\$2,500	\$2,500	\$1,650	09/25/2013	
KCS 2012-47(SA)	3	\$10,000	\$10,000	\$6,800	09/25/2013	
KCS 2012-48(RW)	1	\$3,000	\$3,000	\$2,100	09/25/2013	
KCS 2012-49(GC)	2	\$2,000	\$2,000	\$1,750	09/25/2013	
KCS 2012-50(LI)	4	\$10,000	\$10,000	\$7,000	09/25/2013	
KCS 2012-52(GS)	1	\$2,500	\$2,500	\$1,700	09/25/2013	
KCS 2012-53(HMT)	1	\$2,000	\$2,000	\$1,350	09/25/2013	
KCS 2012-54(SA)	1	\$2,500	\$2,500	\$1,675	09/25/2013	
KCS 2012-55(HMT)	1	\$6,000	\$6,000	\$4,300	09/25/2013	
KCS 2012-56(AR)	1	\$2,500	\$2,500	\$1,675	09/25/2013	
KCS 2012-57(AR)	1	\$2,500	\$2,500	\$1,500	09/25/2013	
KCS 2012-58(AR)	1	\$2,500	\$2,500	\$1,575	09/25/2013	
KCS 2012-59(AR)	1	\$2,500	\$2,500	\$1,550	09/25/2013	
KCS 2012-60(AR)	1	\$2,500	\$2,500	\$1,550	09/25/2013	
KCS 2012-61(AR)	1	\$2,500	\$2,500	\$1,500	09/25/2013	
KCS 2012-62(AR)	1	\$2,500	\$2,500	\$1,500	09/25/2013	
KCS 2012-63(RSP)	1	\$9,500	\$9,500	\$5,600	09/25/2013	
KCS 2012-64(AR)	1	\$2,500	\$2,500	\$1,950	09/25/2013	
KCS 2012-65(AR)	1	\$2,500	\$2,500	\$1,950	09/25/2013	
KCS 2012-66(HMT)	1	\$2,000	\$2,000	\$1,600	09/25/2013	
KCS 2012-67(ROP)	1	\$9,500	\$9,500	\$6,100	09/25/2013	
KCS 2012-68(HMT)	4	\$14,000	\$14,000	\$6,000	09/25/2013	
KCS 2012-69(ROP)	1	\$9,500	\$9,500	\$6,900	09/25/2013	
KCS 2012-70(SA)	1	\$10,000	\$10,000	\$7,200	09/25/2013	
KCS 2013-1(LI)	1	\$2,500	\$2,500	\$1,500	09/25/2013	
KCS 2013-2(SA)	3	\$12,500	\$12,500	\$9,600	09/25/2013	
KCS 2013-3(LI)	2	\$2,500	\$2,500	\$1,525	09/25/2013	
KCS 2013-4(EO)	1	\$2,500	\$2,500	\$1,500	09/25/2013	
KCS 2013-5(GC)	1	\$5,000	\$5,000	\$3,450	09/25/2013	
KCS 2013-6(ROP)	1	\$7,500	\$7,500	\$5,250	09/25/2013	
KCS 2013-7(AR)	1	\$2,500	\$2,500	\$1,625	09/25/2013	
KCS 2013-8(AR)	1	\$2,500	\$2,500	\$1,625	09/25/2013	
KCS 2013-9(SI)	1	\$1,000	\$1,000	\$800	09/25/2013	
KCS 2013-10(ROP)	1	\$7,500	\$7,500	\$5,250	09/25/2013	
KCS 2013-11(HMT)	5	\$5,000	\$5,000	\$3,000	09/25/2013	
KCS 2013-12(TS)	1	\$7,500	\$7,500	\$5,550	09/25/2013	
KCS 2013-13(SA)	1	\$5,000	\$5,000	\$4,000	09/25/2013	
KCS 2013-14(ROP)	1	\$9,500	\$9,500	\$6,100	09/25/2013	
KFR 2012-1(TS)	1	\$5,000	\$5,000	\$4,000	01/07/2013	
KFR 2012-2(HSR)	1	\$1,000	\$1,000	\$750	01/22/2013	
KFR 2012-3(GC)	5	\$6,500	\$6,500	\$4,875	01/22/2013	
KNOR 2013-1(TS)	1	\$5,000	\$5,000	\$2,500	06/10/2013	
KO 2010-2(GC)	10	\$15,500	\$12,500	\$8,000	09/27/2013	Partially Terminated Violation(s): 2. Case Terminated.
KO 2012-1(GC)	1	\$1,000	\$0	\$0	09/27/2013	

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KO 2012-2(SA)	1	\$2,500	\$2,500	\$1,900	09/27/2013	
KO 2012-3(GC)	1	\$5,000	\$5,000	\$3,400	09/27/2013	
KO 2012-4(HMT)	2	\$4,000	\$4,000	\$2,500	09/27/2013	
KO 2013-1(HMT)	1	\$7,500	\$7,500	\$5,300	09/27/2013	
KRR 2012-4(TS)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
KRR 2012-5(TS)	3	\$3,000	\$3,000	\$2,100	09/30/2013	
KRSV 2012-1(ROP)	1	\$5,000	\$5,000	\$3,100	04/15/2013	
KXHR 2013-1(LIS)	1	\$1,500	\$1,500	\$975	05/23/2013	
KYLE 2010-1(TS)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
KYLE 2012-1(SA)	1	\$2,500	\$2,500	\$1,725	09/30/2013	
LAS 2012-2(ROP)	1	\$7,500	\$7,500	\$5,000	09/27/2013	
LI 2010-4(ROP)	2	\$19,000	\$19,000	\$11,800	03/26/2013	
LI 2010-6(AR)	1	\$2,500	\$0	\$0	03/26/2013	Case Terminated.
LI 2012-1(PEQ)	1	\$5,000	\$5,000	\$3,225	03/26/2013	
LI 2012-2(ROR)	1	\$9,500	\$9,500	\$6,200	03/26/2013	
LI 2012-3(ROP)	1	\$1,000	\$1,000	\$650	03/26/2013	
LI 2012-4(AR)	1	\$1,000	\$1,000	\$650	03/26/2013	
LI 2012-5(PEQ)	2	\$10,000	\$10,000	\$6,450	03/26/2013	
LSRC 2013-1(SI)	1	\$1,000	\$1,000	\$1,000	02/24/2013	
MACZ 2010-2(AR)	1	\$2,500	\$0	\$0	03/05/2013	Case Terminated.
MACZ 2012-1(SI)	1	\$1,000	\$1,000	\$900	03/29/2013	
MAW 2009-1(TS)	1	\$5,000	\$5,000	\$1,000	05/31/2013	
MAW 2009-2(TS)	1	\$5,000	\$5,000	\$1,000	05/31/2013	
MAW 2010-1(HMT)	4	\$20,000	\$20,000	\$4,000	05/31/2013	
MAW 2010-2(TS)	2	\$10,000	\$10,000	\$4,000	05/31/2013	
MAW 2010-3(TS)	1	\$5,000	\$5,000	\$2,000	05/31/2013	
MAW 2010-4(LI)	1	\$2,500	\$2,500	\$1,000	05/31/2013	
MAW 2010-5(TS)	1	\$5,000	\$5,000	\$1,000	05/31/2013	
MAW 2010-6(TS)	1	\$5,000	\$5,000	\$1,000	05/31/2013	
MAW 2011-1(TS)	1	\$5,000	\$5,000	\$1,000	05/31/2013	
MAW 2011-2(TS)	1	\$5,000	\$5,000	\$1,000	05/31/2013	
MAW 2011-3(TS)	1	\$5,000	\$5,000	\$1,000	05/31/2013	
MAW 2011-4(TS)	1	\$5,000	\$5,000	\$1,000	05/31/2013	
MAW 2012-1(TS)	2	\$10,000	\$10,000	\$2,000	05/31/2013	
MAW 2012-2(TS)	1	\$5,000	\$5,000	\$1,000	05/31/2013	
MAW 2012-3(TS)	1	\$5,000	\$5,000	\$1,000	05/31/2013	
MDS 2012-1(GC)	1	\$5,000	\$0	\$0	08/15/2013	Case Terminated.
MEC 2012-1(TS)	1	\$5,000	\$5,000	\$4,000	09/27/2013	
MEC 2012-2(TS)	1	\$5,000	\$5,000	\$4,200	09/27/2013	
MEC 2013-1(TS)	1	\$5,000	\$5,000	\$3,900	09/27/2013	
MEC 2013-2(TS)	3	\$15,000	\$15,000	\$11,800	09/27/2013	
MET 2011-1(SA)	1	\$5,000	\$5,000	\$3,500	04/01/2013	
MJ 2008-1(SA)	1	\$5,000	\$5,000	\$3,000	05/06/2013	
MMA 2011-4(SA)	1	\$2,500	\$2,500	\$1,750	10/05/2012	
MMA 2012-1(SA)	1	\$5,000	\$5,000	\$2,500	01/09/2013	
MNA 2012-3(SA)	2	\$5,000	\$5,000	\$3,450	09/30/2013	
MNA 2012-4(AR)	2	\$5,000	\$5,000	\$3,450	09/30/2013	
MNA 2012-5(SA)	1	\$5,000	\$5,000	\$3,450	09/30/2013	
MNA 2012-6(AR)	1	\$2,500	\$2,500	\$1,725	09/30/2013	

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MNA 2012-7(ROP)	1	\$9,500	\$9,500	\$6,650	09/30/2013	
MNBR 2010-1(TS)	1	\$5,000	\$5,000	\$2,500	09/30/2013	
MNBR 2010-2(TS)	1	\$5,000	\$5,000	\$2,500	09/30/2013	
MNR 2013-1(SA)	1	\$5,000	\$0	\$0	03/08/2013	Case Terminated.
MPLI 2010-1(RW)	1	\$1,000	\$1,000	\$650	10/09/2012	
MQT 2008-2(LI)	2	\$5,000	\$0	\$0	02/19/2013	Case Terminated.
MSN 2009-2(LI)	1	\$2,500	\$0	\$0	10/26/2012	Case Terminated.
MSN 2010-1(LI)	1	\$5,000	\$0	\$0	10/26/2012	Case Terminated.
MSN 2010-3(LI)	1	\$5,000	\$0	\$0	10/26/2012	Case Terminated.
MSN 2010-4(LI)	1	\$5,000	\$0	\$0	10/26/2012	Case Terminated.
MSN 2010-5(LI)	1	\$5,000	\$0	\$0	10/26/2012	Case Terminated.
MSN 2011-2(LI)	1	\$2,500	\$0	\$0	10/26/2012	Case Terminated.
MSTR 2013-1(HMT)	3	\$3,000	\$3,000	\$2,100	09/30/2013	
MVP 2008-1(LI)	2	\$5,000	\$0	\$0	10/04/2012	Case Terminated.
MVP 2008-2(ROR)	2	\$10,000	\$0	\$0	10/04/2012	Case Terminated.
MVP 2008-3(HSR)	1	\$1,000	\$0	\$0	10/04/2012	Case Terminated.
MVP 2008-4(SA)	2	\$7,500	\$0	\$0	10/04/2012	Case Terminated.
NAUG 2008-1(EQ)	7	\$17,000	\$17,000	\$5,495	04/02/2013	
NCRC 2008-1(FCS)	1	\$2,500	\$2,500	\$2,500	04/02/2013	
NECR 2013-1(HMT)	3	\$3,000	\$3,000	\$2,100	09/30/2013	
NECR 2013-2(GC)	1	\$5,000	\$5,000	\$3,450	09/30/2013	
NECR 2013-3(SA)	1	\$5,000	\$5,000	\$3,450	09/30/2013	
NECX 2006-1(AD)	1	\$5,000	\$0	\$0	05/13/2013	Case Terminated.
NEGS 2006-1(HMT)	3	\$12,500	\$0	\$0	05/13/2013	Case Terminated.
NERR 2003-1(AR)	1	\$2,500	\$0	\$0	05/13/2013	Case Terminated.
NERR 2003-2(AD)	4	\$22,500	\$0	\$0	05/13/2013	Case Terminated.
NERR 2003-3(EQ)	12	\$12,000	\$0	\$0	05/13/2013	Case Terminated.
NERR 2003-4(ROR)	1	\$2,500	\$0	\$0	05/13/2013	Case Terminated.
NERR 2003-5(ROR)	1	\$5,000	\$0	\$0	05/13/2013	Case Terminated.
NERR 2003-6(TS)	2	\$7,500	\$0	\$0	05/13/2013	Case Terminated.
NERR 2003-7(HS)	3	\$3,000	\$0	\$0	05/13/2013	Case Terminated.
NERR 2004-1(RW)	1	\$2,000	\$0	\$0	05/13/2013	Case Terminated.
NERR 2005-1(HSR)	2	\$6,000	\$0	\$0	05/13/2013	Case Terminated.
NERR 2006-1(TS)	1	\$2,500	\$0	\$0	05/13/2013	Case Terminated.
NERR 2006-2(GC)	1	\$2,500	\$0	\$0	05/13/2013	Case Terminated.
NERR 2006-3(GC)	1	\$5,000	\$0	\$0	05/13/2013	Case Terminated.
NERR 2006-4(SA)	1	\$5,000	\$0	\$0	05/13/2013	Case Terminated.
NERR 2006-5(LI)	2	\$2,000	\$0	\$0	05/13/2013	Case Terminated.
NERR 2006-6(FCS)	1	\$2,500	\$0	\$0	05/13/2013	Case Terminated.
NERR 2007-2(AR)	1	\$1,000	\$0	\$0	10/26/2012	Case Terminated.
NHIR 2007-1(AD)	3	\$6,500	\$0	\$0	05/13/2013	Case Terminated.
NHN 2006-1(GC)	2	\$7,500	\$7,500	\$4,750	12/26/2012	
NHN 2008-1(SA)	1	\$2,500	\$2,500	\$1,750	12/26/2012	
NHN 2012-1(SA)	1	\$5,000	\$5,000	\$3,500	12/26/2012	
NICD 2004-1(SI)	1	\$5,000	\$0	\$0	05/09/2013	Case Terminated.
NICD 2005-1(PEP)	1	\$4,000	\$0	\$0	05/09/2013	Case Terminated.
NICD 2005-2(PEP)	1	\$5,000	\$0	\$0	05/09/2013	Case Terminated.
NICD 2006-1(SI)	1	\$5,000	\$0	\$0	05/09/2013	Case Terminated.
NICD 2006-2(AR)	6	\$15,000	\$0	\$0	05/09/2013	Case Terminated.

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NICD 2007-1(AR)	1	\$2,500	\$0	\$0	05/09/2013	Case Terminated.
NICD 2007-2(EQ)	30	\$30,000	\$0	\$0	05/09/2013	Case Terminated.
NICD 2007-3(GC)	1	\$5,000	\$0	\$0	05/09/2013	Case Terminated.
NICD 2007-4(GC)	8	\$8,000	\$0	\$0	05/09/2013	Case Terminated.
NICD 2007-5(GC)	1	\$1,000	\$0	\$0	05/09/2013	Case Terminated.
NICD 2008-1(LI)	1	\$2,500	\$0	\$0	05/09/2013	Case Terminated.
NICD 2008-2(RW)	6	\$6,000	\$0	\$0	05/09/2013	Case Terminated.
NICD 2008-3(LI)	1	\$2,500	\$0	\$0	05/09/2013	Case Terminated.
NICD 2008-4(ROR)	1	\$5,000	\$0	\$0	05/09/2013	Case Terminated.
NICD 2008-5(AR)	1	\$2,500	\$0	\$0	05/09/2013	Case Terminated.
NICD 2008-6(PEP)	2	\$6,500	\$0	\$0	05/09/2013	Case Terminated.
NICD 2008-7(ROP)	3	\$15,000	\$0	\$0	05/13/2013	Case Terminated.
NICD 2008-8(EQ)	1	\$2,500	\$0	\$0	05/09/2013	Case Terminated.
NJTR 2011-5(AR)	1	\$2,500	\$2,500	\$1,250	09/24/2013	
NJTR 2012-3(PEQ)	5	\$27,000	\$27,000	\$19,000	09/24/2013	
NJTR 2012-5(PEQ)	1	\$5,000	\$5,000	\$3,500	09/24/2013	
NJTR 2012-6(AD)	1	\$5,000	\$5,000	\$3,500	09/24/2013	
NJTR 2012-7(PEQ)	2	\$10,000	\$10,000	\$7,100	09/24/2013	
NJTR 2012-8(ROP)	5	\$32,000	\$32,000	\$22,750	09/24/2013	
NJTR 2012-9(ROP)	3	\$22,500	\$22,500	\$16,000	09/24/2013	
NJTR 2012-10(SA)	1	\$5,000	\$5,000	\$3,500	09/24/2013	
NJTR 2012-11(AD)	5	\$25,000	\$25,000	\$17,500	09/24/2013	
NJTR 2012-12(AD)	11	\$27,500	\$27,500	\$19,250	09/24/2013	
NJTR 2012-13(AD)	13	\$37,500	\$37,500	\$26,250	09/24/2013	
NJTR 2012-14(PEQ)	1	\$5,000	\$5,000	\$3,550	09/24/2013	
NJTR 2013-1(HS)	2	\$2,000	\$2,000	\$1,450	09/24/2013	
NJTR 2013-2(PEQ)	1	\$5,000	\$5,000	\$3,550	09/24/2013	
NJTR 2013-3(ROP)	1	\$9,500	\$9,500	\$6,700	09/24/2013	
NJTR 2013-4(ROP)	4	\$34,000	\$34,000	\$24,000	09/24/2013	
NJTR 2013-5(ROP)	1	\$9,500	\$9,500	\$6,725	09/24/2013	
NJTR 2013-6(PEQ)	1	\$5,000	\$5,000	\$3,550	09/24/2013	
NKCR 2012-1(SA)	1	\$2,500	\$2,500	\$2,500	11/02/2012	
NKCR 2012-2(TS)	1	\$2,500	\$2,500	\$1,875	04/02/2013	
NMRX 2012-1(TS)	12	\$12,000	\$12,000	\$9,350	11/16/2012	
NPR 2005-1(GC)	1	\$11,000	\$0	\$0	05/13/2013	Case Terminated.
NPR 2006-1(GC)	1	\$5,000	\$0	\$0	05/13/2013	Case Terminated.
NPR 2006-2(GC)	1	\$2,500	\$0	\$0	05/13/2013	Case Terminated.
NVRR 2005-1(TS)	2	\$3,000	\$0	\$0	05/13/2013	Case Terminated.
NVRR 2005-2(RW)	1	\$2,500	\$0	\$0	05/13/2013	Case Terminated.
NVRR 2005-3(RW)	1	\$5,000	\$0	\$0	05/13/2013	Case Terminated.
NVRR 2005-4(BW)	1	\$5,000	\$0	\$0	05/13/2013	Case Terminated.
NVWT 2007-1(GC)	1	\$1,000	\$0	\$0	10/24/2012	Case Terminated.
NWR 2005-1(SA)	1	\$5,000	\$0	\$0	05/13/2013	Case Terminated.
NYA 2013-1(ROP)	2	\$17,000	\$17,000	\$17,000	05/21/2013	
NYA 2013-2(SA)	1	\$5,000	\$5,000	\$5,000	05/21/2013	
NYA 2013-3(ROP)	1	\$7,500	\$7,500	\$5,000	07/18/2013	
NYCH 2004-1(LI)	1	\$5,000	\$0	\$0	05/13/2013	Case Terminated.
NYSW 2007-1(AD)	2	\$3,500	\$3,500	\$2,450	10/03/2012	
NYSW 2007-2(AD)	1	\$2,500	\$2,500	\$1,750	10/03/2012	

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NYSW 2008-1(GC)	1	\$5,000	\$5,000	\$4,000	10/03/2012	
NYSW 2011-1(SA)	1	\$2,500	\$2,500	\$1,750	10/03/2012	
NYSW 2012-1(GC)	1	\$5,000	\$5,000	\$3,750	10/03/2012	
OHCR 2010-3(HMT)	1	\$5,000	\$5,000	\$3,200	09/13/2013	
OPR 2008-1(TS)	1	\$5,000	\$0	\$0	02/11/2013	Case Terminated.
OPR 2008-2(TS)	1	\$5,000	\$0	\$0	07/24/2013	Case Terminated.
PAL 2012-1(TS)	1	\$5,000	\$5,000	\$5,000	12/21/2012	
PAL 2012-2(TS)	1	\$5,000	\$5,000	\$5,000	12/28/2012	
PAL 2013-1(TS)	1	\$5,000	\$5,000	\$5,000	09/03/2013	
PAS 2012-1(TS)	1	\$1,000	\$1,000	\$750	09/27/2013	
PAS 2013-1(TS)	1	\$1,000	\$1,000	\$750	09/27/2013	
PAS 2013-2(TS)	1	\$5,000	\$5,000	\$3,900	09/27/2013	
PBR 2002-1(ROP)	1	\$11,000	\$0	\$0	03/20/2013	Case Terminated.
PBR 2007-1(AR)	2	\$5,000	\$0	\$0	03/27/2013	Case Terminated.
PCC 2012-1(GC)	2	\$7,500	\$7,500	\$5,000	09/27/2013	
PNR 2011-2(ROP)	1	\$7,500	\$7,500	\$5,700	05/30/2013	
PNR 2013-1(HMT)	1	\$7,500	\$7,500	\$2,000	05/30/2013	
PNWR 2012-3(TS)	2	\$5,000	\$5,000	\$3,750	05/24/2013	
PNWR 2012-4(FCS)	1	\$2,500	\$2,500	\$1,750	05/24/2013	
PNWR 2012-5(TS)	1	\$2,500	\$2,500	\$1,625	05/24/2013	
PNWR 2012-6(TS)	2	\$5,000	\$5,000	\$3,500	05/24/2013	
PNWR 2012-7(TS)	1	\$2,500	\$2,500	\$1,800	05/24/2013	
POHC 2011-1(LI)	4	\$10,000	\$10,000	\$7,100	09/13/2013	
PSAP 2010-2(EO)	1	\$2,500	\$2,500	\$1,675	09/30/2013	
PSAP 2010-3(AR)	1	\$2,500	\$2,500	\$1,675	09/30/2013	
PSAP 2010-4(AR)	1	\$2,500	\$2,500	\$1,675	09/30/2013	
PSAP 2012-3(TS)	1	\$2,500	\$2,500	\$1,675	09/30/2013	
PSAP 2012-4(TS)	2	\$10,000	\$0	\$0	09/30/2013	Case Terminated.
PSAP 2012-5(ROP)	1	\$9,500	\$9,500	\$6,650	09/30/2013	
PSAP 2012-6(TS)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
PSAP 2012-7(RW)	1	\$3,000	\$3,000	\$2,100	09/30/2013	
PSAP 2012-8(TS)	11	\$33,500	\$33,500	\$22,780	09/30/2013	
PSBX 2013-1(SA)	1	\$5,000	\$5,000	\$3,500	05/31/2013	
PSRR 2012-1(HSR)	1	\$1,000	\$1,000	\$700	09/27/2013	
PTO 2013-2(SA)	1	\$5,000	\$5,000	\$5,000	09/11/2013	
PW 2011-14(ROR)	2	\$10,000	\$10,000	\$7,600	05/31/2013	
PW 2011-16(EQ)	2	\$4,500	\$4,500	\$3,500	11/05/2012	
PW 2011-18(AD)	2	\$7,500	\$7,500	\$6,000	11/05/2012	
PW 2011-19(AD)	1	\$2,500	\$2,500	\$2,000	11/05/2012	
PW 2012-1(TS)	2	\$2,000	\$2,000	\$1,500	11/05/2012	
PW 2012-2(SA)	1	\$5,000	\$5,000	\$3,800	05/29/2013	
PW 2013-1(GC)	1	\$2,500	\$2,500	\$1,800	05/29/2013	
RAIL 2011-2(HMT)	1	\$4,000	\$0	\$0	09/19/2013	Case Terminated.
RAIL 2013-1(HMT)	2	\$9,000	\$0	\$0	09/19/2013	Case Terminated.
RBMN 2012-4(TS)	6	\$6,000	\$0	\$0	05/01/2013	Case Terminated.
RBMN 2012-5(EP)	1	\$1,000	\$0	\$0	05/01/2013	Case Terminated.
RJCC 2012-1(GC)	1	\$5,000	\$5,000	\$4,000	11/06/2012	
RJCC 2013-1(AD)	1	\$5,000	\$5,000	\$4,500	07/24/2013	
RJCC 2013-2(AD)	2	\$5,000	\$5,000	\$4,250	07/24/2013	

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RJCC 2013-3(AD)	2	\$2,000	\$2,000	\$1,700	07/24/2013	
RJCC 2013-4(AD)	5	\$12,500	\$12,500	\$11,250	07/24/2013	
RJCP 2012-2(TS)	2	\$5,000	\$5,000	\$5,000	10/23/2012	
RLIX 2013-1(HS)	1	\$1,000	\$1,000	\$850	04/18/2013	
RPRC 2012-1(SA)	1	\$5,000	\$5,000	\$4,000	09/20/2013	
RPRC 2012-2(ROP)	2	\$15,000	\$15,000	\$9,750	09/20/2013	
RSIX 2007-1(TS)	1	\$5,000	\$0	\$0	05/29/2013	Case Terminated.
SB 2010-1(FCS)	1	\$2,500	\$2,500	\$1,250	09/30/2013	
SB 2010-2(SA)	1	\$2,500	\$2,500	\$1,250	09/30/2013	
SB 2012-1(SA)	2	\$10,000	\$10,000	\$5,000	09/30/2013	
SBS 2012-2(SA)	1	\$2,500	\$2,500	\$1,750	10/16/2012	
SBS 2013-1(SA)	1	\$10,000	\$0	\$0	03/27/2013	Case Terminated.
SCAX 2012-1(AR)	1	\$1,000	\$1,000	\$650	04/09/2013	
SCAX 2013-1(AR)	1	\$2,500	\$2,500	\$650	04/09/2013	
SCCT 2012-1(GC)	1	\$5,000	\$5,000	\$5,000	03/04/2013	
SCS 2012-1(AD)	1	\$2,500	\$2,500	\$1,250	04/16/2013	
SCXY 2007-2(SA)	1	\$5,000	\$0	\$0	10/18/2012	Case Terminated.
SCXY 2009-1(LI)	1	\$2,500	\$0	\$0	10/12/2012	Case Terminated.
SDNX 2013-1(GC)	1	\$2,500	\$0	\$0	04/15/2013	Case Terminated.
SDTI 2013-1(GC)	2	\$5,000	\$5,000	\$5,000	05/22/2013	
SEPA 2012-9(SI)	1	\$2,500	\$2,500	\$1,625	03/11/2013	
SEPA 2012-10(SI)	1	\$5,000	\$5,000	\$3,250	03/11/2013	
SEPA 2012-11(GC)	2	\$2,000	\$2,000	\$1,300	03/11/2013	
SEPA 2013-1(AD)	1	\$2,500	\$2,500	\$1,250	03/11/2013	
SEPA 2013-2(RSP)	1	\$5,000	\$5,000	\$2,500	09/26/2013	
SEPA 2013-3(RSP)	1	\$5,000	\$5,000	\$2,500	09/26/2013	
SEPA 2013-4(AD)	1	\$2,500	\$2,500	\$1,600	09/26/2013	
SEPA 2013-5(EQ)	2	\$2,000	\$2,000	\$1,300	09/26/2013	
SERA 2005-3(SA)	1	\$5,000	\$0	\$0	03/26/2013	Case Terminated.
SERA 2008-1(TS)	1	\$2,500	\$0	\$0	03/01/2013	Case Terminated.
SERA 2008-2(TS)	2	\$6,000	\$0	\$0	03/01/2013	Case Terminated.
SERA 2008-3(TS)	3	\$6,000	\$0	\$0	03/01/2013	Case Terminated.
SERA 2008-4(TS)	1	\$1,000	\$0	\$0	03/01/2013	Case Terminated.
SERA 2008-5(TS)	1	\$1,000	\$0	\$0	05/29/2013	Case Terminated.
SERA 2008-6(RW)	1	\$1,000	\$0	\$0	05/29/2013	Case Terminated.
SERA 2009-1(RW)	1	\$2,000	\$0	\$0	05/29/2013	Case Terminated.
SERA 2009-2(HMT)	1	\$2,000	\$0	\$0	05/29/2013	Case Terminated.
SERA 2011-1(TS)	1	\$2,500	\$0	\$0	05/29/2013	Case Terminated.
SERA 2011-2(GC)	1	\$2,500	\$2,500	\$650	11/19/2012	
SERA 2011-3(TS)	2	\$5,000	\$0	\$0	05/29/2013	Case Terminated.
SERA 2012-1(GC)	1	\$2,500	\$0	\$0	05/29/2013	Case Terminated.
SFRV 2012-2(AD)	1	\$1,000	\$1,000	\$650	11/14/2012	
SFRV 2012-3(ROP)	1	\$9,500	\$9,500	\$6,000	11/14/2012	
SFRV 2012-4(AR)	1	\$2,500	\$2,500	\$1,400	11/14/2012	
SFRV 2012-5(AR)	1	\$2,500	\$2,500	\$1,250	11/14/2012	
SFRV 2012-6(AR)	1	\$2,500	\$0	\$0	11/14/2012	Case Terminated.
SFRV 2012-7(LI)	1	\$2,500	\$2,500	\$1,500	11/14/2012	
SFRV 2012-8(ROP)	1	\$9,500	\$9,500	\$6,000	11/14/2012	
SFRV 2012-9(LI)	2	\$3,000	\$3,000	\$1,800	11/14/2012	

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SGLR 2009-1(SI)	2	\$3,500	\$0	\$0	04/04/2013	Case Terminated.
SGLR 2011-2(ROP)	1	\$9,500	\$0	\$0	04/04/2013	Case Terminated.
SGLR 2011-3(SA)	1	\$5,000	\$0	\$0	04/04/2013	Case Terminated.
SGLR 2011-4(ROP)	1	\$7,500	\$0	\$0	04/04/2013	Case Terminated.
SGLR 2011-5(SA)	1	\$2,500	\$0	\$0	04/04/2013	Case Terminated.
SGLR 2011-6(RSP)	1	\$5,000	\$0	\$0	04/04/2013	Case Terminated.
SGLR 2011-7(ROP)	1	\$7,500	\$0	\$0	04/04/2013	Case Terminated.
SGLR 2011-8(SA)	1	\$5,000	\$0	\$0	04/04/2013	Case Terminated.
SJVR 2010-2(GC)	2	\$5,000	\$5,000	\$3,450	09/30/2013	
SJVR 2012-4(GC)	4	\$9,500	\$9,500	\$6,650	09/30/2013	
SJVR 2013-1(GC)	1	\$2,500	\$2,500	\$1,725	09/30/2013	
SJVR 2013-2(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2013	
SKOL 2013-1(RW)	1	\$3,000	\$3,000	\$1,500	09/27/2013	
SKOL 2013-2(LI)	1	\$5,000	\$5,000	\$3,200	09/27/2013	
SKOL 2013-3(ROP)	1	\$7,500	\$7,500	\$5,000	09/27/2013	
SKOL 2013-4(RSP)	1	\$9,500	\$9,500	\$6,500	09/27/2013	
SLGG 2008-1(SA)	1	\$5,000	\$0	\$0	02/27/2013	Case Terminated.
SLR 2013-1(TS)	2	\$10,000	\$0	\$0	04/09/2013	Case Terminated.
SLRG 2008-4(AD)	2	\$6,000	\$6,000	\$3,150	11/21/2012	
SLRG 2008-6(AD)	4	\$11,000	\$11,000	\$5,650	11/21/2012	
SLRG 2008-7(AR)	2	\$5,000	\$5,000	\$2,500	11/21/2012	
SLRG 2008-8(TS)	3	\$3,000	\$3,000	\$1,950	11/21/2012	
SLRG 2008-9(AD)	7	\$22,500	\$22,500	\$11,250	11/21/2012	
SLRG 2010-1(GC)	5	\$12,000	\$12,000	\$6,300	11/21/2012	
SLRG 2011-2(TS)	2	\$10,000	\$10,000	\$6,500	11/21/2012	
SLRG 2012-1(GC)	2	\$5,000	\$5,000	\$3,250	11/21/2012	
SLRG 2012-2(ROP)	1	\$5,000	\$5,000	\$3,250	11/21/2012	
SLRG 2012-3(HMT)	2	\$9,500	\$9,500	\$6,650	11/21/2012	
SLRG 2012-4(TS)	2	\$7,000	\$7,000	\$4,550	11/21/2012	
SLWC 2012-1(SA)	1	\$5,000	\$5,000	\$3,400	09/27/2013	
SLWC 2013-1(ROP)	1	\$7,500	\$7,500	\$5,000	09/27/2013	
SLWC 2013-2(SA)	1	\$5,000	\$5,000	\$3,400	09/27/2013	
SMA 2009-1(SA)	2	\$5,000	\$0	\$0	02/25/2013	Case Terminated.
SMV 2009-1(GC)	1	\$2,500	\$2,500	\$1,565	05/08/2013	
SMV 2010-1(GC)	3	\$8,500	\$8,500	\$5,310	05/08/2013	
SMV 2010-2(TS)	2	\$5,000	\$5,000	\$3,125	05/08/2013	
SMW 2008-3(AR)	1	\$2,500	\$0	\$0	02/27/2013	Case Terminated.
SNC 2012-1(GC)	2	\$7,500	\$7,500	\$4,875	11/21/2012	
SOU 2008-236(SA)	1	\$1,000	\$1,000	\$750	09/30/2013	
SOU 2008-248(AR)	4	\$10,000	\$10,000	\$5,750	09/30/2013	
SOU 2009-157(HMT)	1	\$2,000	\$2,000	\$1,000	09/30/2013	
SOU 2010-62(ROP)	3	\$26,500	\$26,500	\$17,800	09/30/2013	
SOU 2010-172(ROP)	2	\$17,000	\$17,000	\$12,600	09/30/2013	
SOU 2011-285(SA)	4	\$20,000	\$20,000	\$10,000	09/30/2013	
SOU 2012-10(HS)	2	\$2,000	\$2,000	\$1,400	09/30/2013	
SOU 2012-28(HS)	1	\$1,000	\$1,000	\$750	09/30/2013	
SOU 2012-30(HSR)	3	\$3,000	\$3,000	\$2,010	09/30/2013	
SOU 2012-50(HMT)	1	\$6,000	\$4,000	\$3,400	09/30/2013	Partially Terminated Violation(s): 1.
SOU 2012-52(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2013	

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SOU 2012-55(SA)	3	\$10,000	\$10,000	\$6,500	09/30/2013	
SOU 2012-56(SA)	1	\$5,000	\$5,000	\$3,350	09/30/2013	
SOU 2012-58(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2013	
SOU 2012-59(RSP)	15	\$37,500	\$37,500	\$21,850	09/30/2013	
SOU 2012-62(SA)	3	\$10,000	\$10,000	\$6,500	09/30/2013	
SOU 2012-63(HMT)	3	\$19,000	\$11,500	\$4,750	09/30/2013	Terminated Violation(s): 3.
SOU 2012-64(FCS)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
SOU 2012-65(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2013	
SOU 2012-66(SA)	2	\$10,000	\$10,000	\$6,400	09/30/2013	
SOU 2012-67(SA)	2	\$10,000	\$10,000	\$6,400	09/30/2013	
SOU 2012-68(SA)	3	\$15,000	\$15,000	\$9,700	09/30/2013	
SOU 2012-69(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
SOU 2012-70(GC)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
SOU 2012-71(FCS)	3	\$10,000	\$10,000	\$6,500	09/30/2013	
SOU 2012-72(GC)	1	\$1,000	\$1,000	\$725	09/30/2013	
SOU 2012-73(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
SOU 2012-74(ROR)	1	\$5,000	\$0	\$0	09/30/2013	Case Terminated.
SOU 2012-75(FCS)	1	\$5,000	\$5,000	\$3,300	09/30/2013	
SOU 2012-76(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2013	
SOU 2012-77(GC)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
SOU 2012-78(SA)	1	\$5,000	\$5,000	\$3,000	09/30/2013	
SOU 2012-79(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
SOU 2012-80(ROP)	2	\$12,500	\$12,500	\$6,300	09/30/2013	
SOU 2012-81(TS)	1	\$1,000	\$1,000	\$700	09/30/2013	
SOU 2012-82(ROP)	1	\$7,500	\$7,500	\$4,850	09/30/2013	
SOU 2012-83(HS)	1	\$1,000	\$1,000	\$750	09/30/2013	
SOU 2012-84(FCS)	5	\$15,000	\$15,000	\$10,000	09/30/2013	
SOU 2012-85(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2013	
SOU 2012-86(SA)	3	\$10,000	\$10,000	\$5,600	09/30/2013	
SOU 2012-87(LI)	1	\$2,500	\$2,500	\$1,650	09/30/2013	
SOU 2012-88(HMT)	2	\$10,000	\$10,000	\$6,500	09/30/2013	
SOU 2012-89(FCS)	3	\$7,500	\$7,500	\$4,800	09/30/2013	
SOU 2012-90(SA)	2	\$10,000	\$5,000	\$4,650	09/30/2013	Terminated Violation(s): 2.
SOU 2012-91(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2013	
SOU 2012-92(HS)	1	\$1,000	\$1,000	\$650	09/30/2013	
SOU 2012-93(HS)	1	\$1,000	\$1,000	\$650	09/30/2013	
SOU 2012-94(HS)	1	\$1,000	\$1,000	\$650	09/30/2013	
SOU 2012-95(HS)	1	\$1,000	\$1,000	\$650	09/30/2013	
SOU 2012-96(RSP)	1	\$1,000	\$1,000	\$650	09/30/2013	
SOU 2012-97(HMT)	1	\$7,500	\$7,500	\$5,000	09/30/2013	
SOU 2012-98(LI)	4	\$7,000	\$7,000	\$5,300	09/30/2013	
SOU 2012-99(HSR)	1	\$1,000	\$1,000	\$700	09/30/2013	
SOU 2012-100(FCS)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
SOU 2012-101(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2013	
SOU 2012-102(HS)	1	\$1,000	\$1,000	\$650	09/30/2013	
SOU 2012-103(HS)	1	\$1,000	\$1,000	\$650	09/30/2013	
SOU 2012-104(SA)	2	\$7,500	\$7,500	\$4,900	09/30/2013	
SOU 2012-106(HMT)	3	\$12,000	\$12,000	\$7,250	09/30/2013	
SOU 2012-107(HMT)	1	\$4,000	\$4,000	\$2,600	09/30/2013	

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SOU 2012-108(HSR)	1	\$1,000	\$1,000	\$700	09/30/2013	
SOU 2012-109(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2013	
SOU 2012-110(SA)	2	\$10,000	\$10,000	\$6,500	09/30/2013	
SOU 2012-111(FCS)	1	\$5,000	\$5,000	\$3,300	09/30/2013	
SOU 2012-112(ROP)	1	\$5,000	\$5,000	\$3,200	09/30/2013	
SOU 2012-113(SA)	4	\$12,500	\$12,500	\$8,000	09/30/2013	
SOU 2012-114(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
SOU 2012-115(TH)	1	\$5,000	\$5,000	\$3,500	09/30/2013	
SOU 2012-117(GC)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
SOU 2012-118(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2013	
SOU 2012-119(FCS)	2	\$5,000	\$5,000	\$3,400	09/30/2013	
SOU 2012-120(SA)	5	\$22,500	\$22,500	\$14,000	09/30/2013	
SOU 2012-121(SA)	2	\$7,500	\$7,500	\$5,000	09/30/2013	
SOU 2012-122(SA)	3	\$15,000	\$15,000	\$9,750	09/30/2013	
SOU 2012-123(GC)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
SOU 2012-124(RW)	1	\$1,000	\$1,000	\$725	09/30/2013	
SOU 2012-125(LI)	1	\$2,500	\$2,500	\$1,500	09/30/2013	
SOU 2012-126(ROP)	2	\$12,500	\$12,500	\$8,000	09/30/2013	
SOU 2012-127(SA)	2	\$10,000	\$10,000	\$6,500	09/30/2013	
SOU 2012-128(ROP)	1	\$5,000	\$5,000	\$3,250	09/30/2013	
SOU 2012-129(FCS)	2	\$5,000	\$5,000	\$3,200	09/30/2013	
SOU 2012-130(HMT)	1	\$1,000	\$1,000	\$750	09/30/2013	
SOU 2012-131(FCS)	3	\$7,500	\$7,500	\$4,800	09/30/2013	
SOU 2012-132(ROP)	1	\$5,000	\$5,000	\$3,500	09/30/2013	
SOU 2012-133(TS)	2	\$10,000	\$10,000	\$6,400	09/30/2013	
SOU 2012-134(SA)	5	\$20,000	\$20,000	\$12,500	09/30/2013	
SOU 2012-135(ROP)	1	\$5,000	\$5,000	\$3,200	09/30/2013	
SOU 2012-136(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2013	
SOU 2012-137(SA)	3	\$7,500	\$7,500	\$4,600	09/30/2013	
SOU 2012-138(SA)	4	\$15,000	\$15,000	\$9,000	09/30/2013	
SOU 2012-139(SA)	2	\$10,000	\$10,000	\$6,450	09/30/2013	
SOU 2012-140(FCS)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
SOU 2012-141(FCS)	3	\$7,500	\$7,500	\$4,700	09/30/2013	
SOU 2012-142(FCS)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
SOU 2012-143(HMT)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
SOU 2012-144(SA)	2	\$7,500	\$7,500	\$4,800	09/30/2013	
SOU 2012-145(FCS)	3	\$7,500	\$7,500	\$4,800	09/30/2013	
SOU 2012-146(EQ)	1	\$1,000	\$1,000	\$725	09/30/2013	
SOU 2012-147(ROP)	1	\$5,000	\$5,000	\$2,750	09/30/2013	
SOU 2012-148(SA)	2	\$7,500	\$7,500	\$5,000	09/30/2013	
SOU 2012-149(RW)	1	\$3,000	\$3,000	\$2,100	09/30/2013	
SOU 2012-150(SA)	1	\$2,500	\$2,500	\$1,600	09/30/2013	
SOU 2012-151(FCS)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
SOU 2012-152(HMT)	2	\$9,500	\$9,500	\$6,250	09/30/2013	
SOU 2012-153(RW)	1	\$3,000	\$3,000	\$650	09/30/2013	
SOU 2012-154(LI)	2	\$5,000	\$5,000	\$3,100	09/30/2013	
SOU 2012-155(GC)	1	\$2,500	\$2,500	\$1,500	09/30/2013	
SOU 2012-156(HMT)	1	\$6,000	\$4,000	\$2,500	09/30/2013	Partially Terminated Violation(s): 1.
SOU 2012-157(SA)	3	\$15,000	\$15,000	\$8,700	09/30/2013	

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SOU 2012-158(SA)	4	\$17,500	\$17,500	\$11,500	09/30/2013	
SOU 2012-159(SA)	2	\$7,500	\$7,500	\$5,200	09/30/2013	
SOU 2012-160(LI)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
SOU 2012-161(HMT)	1	\$5,000	\$5,000	\$3,525	09/30/2013	
SOU 2012-162(FCS)	4	\$10,000	\$10,000	\$6,500	09/30/2013	
SOU 2012-163(SA)	4	\$12,500	\$12,500	\$8,300	09/30/2013	
SOU 2012-164(SA)	2	\$7,500	\$7,500	\$5,000	09/30/2013	
SOU 2012-165(SA)	2	\$5,000	\$5,000	\$3,200	09/30/2013	
SOU 2012-166(HMT)	4	\$23,500	\$23,500	\$15,500	09/30/2013	
SOU 2012-167(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2013	
SOU 2012-168(GC)	1	\$2,500	\$2,500	\$1,750	09/30/2013	
SOU 2012-169(ROP)	1	\$9,500	\$9,500	\$6,100	09/30/2013	
SOU 2012-170(ROP)	1	\$7,500	\$7,500	\$4,900	09/30/2013	
SOU 2012-171(GS)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
SOU 2012-172(HMT)	6	\$26,000	\$26,000	\$17,500	09/30/2013	
SOU 2012-173(ROP)	1	\$7,500	\$7,500	\$4,900	09/30/2013	
SOU 2012-174(ROP)	1	\$7,500	\$0	\$0	09/30/2013	Case Terminated.
SOU 2012-181(RW)	1	\$3,000	\$3,000	\$2,100	09/30/2013	
SOU 2012-182(TS)	1	\$1,000	\$1,000	\$650	09/30/2013	
SOU 2012-183(TS)	2	\$10,000	\$10,000	\$6,400	09/30/2013	
SOU 2012-184(HMT)	4	\$20,000	\$20,000	\$13,850	09/30/2013	
SOU 2012-185(SA)	1	\$5,000	\$5,000	\$3,600	09/30/2013	
SOU 2012-186(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2013	
SOU 2012-187(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2013	
SOU 2012-201(ROP)	1	\$7,500	\$7,500	\$3,000	09/30/2013	
SOU 2012-212(LI)	1	\$2,500	\$2,500	\$1,500	09/30/2013	
SOU 2012-214(ROP)	1	\$7,500	\$7,500	\$5,000	09/30/2013	
SOU 2012-215(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2013	
SOU 2012-216(TS)	1	\$5,000	\$5,000	\$3,300	09/30/2013	
SOU 2012-217(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2013	
SOU 2012-222(ROP)	1	\$7,500	\$7,500	\$5,000	09/30/2013	
SOU 2012-223(ROP)	1	\$9,500	\$9,500	\$6,200	09/30/2013	
SOU 2012-224(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
SOU 2012-235(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2013	
SOU 2012-236(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2013	
SOU 2012-237(HMT)	2	\$9,500	\$9,500	\$6,000	09/30/2013	
SOU 2012-238(GC)	3	\$12,500	\$12,500	\$8,400	09/30/2013	
SOU 2012-241(TS)	1	\$5,000	\$5,000	\$3,200	09/30/2013	
SOU 2012-242(SA)	2	\$10,000	\$10,000	\$7,000	09/30/2013	
SOU 2012-243(HMT)	7	\$14,000	\$14,000	\$9,150	09/30/2013	
SOU 2012-244(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2013	
SOU 2012-245(SA)	2	\$10,000	\$10,000	\$6,800	09/30/2013	
SOU 2012-246(FCS)	1	\$5,000	\$5,000	\$3,300	09/30/2013	
SOU 2012-247(ROP)	1	\$5,000	\$5,000	\$3,300	09/30/2013	
SOU 2012-248(SA)	3	\$15,000	\$15,000	\$9,700	09/30/2013	
SOU 2012-249(SA)	4	\$10,000	\$10,000	\$6,400	09/30/2013	
SOU 2012-251(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2013	
SOU 2012-252(HMT)	4	\$26,500	\$26,500	\$16,000	09/30/2013	
SOU 2012-253(SA)	1	\$2,500	\$2,500	\$1,600	09/30/2013	

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SOU 2012-254(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
SOU 2012-265(LI)	1	\$2,500	\$2,500	\$1,500	09/30/2013	
SOU 2012-266(AD)	3	\$7,500	\$7,500	\$5,000	09/30/2013	
SOU 2012-267(HMT)	2	\$4,000	\$4,000	\$2,900	09/30/2013	
SOU 2012-268(FCS)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
SOU 2012-274(SA)	1	\$2,500	\$2,500	\$1,600	09/30/2013	
SOU 2012-275(SA)	4	\$15,000	\$15,000	\$10,000	09/30/2013	
SOU 2012-276(ROP)	1	\$1,000	\$1,000	\$650	09/30/2013	
SOU 2012-277(LI)	1	\$2,500	\$2,500	\$1,650	09/30/2013	
SOU 2012-278(FCS)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
SOU 2012-279(SI)	1	\$1,000	\$1,000	\$650	09/30/2013	
SOU 2012-280(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2013	
SOU 2012-281(SA)	2	\$7,500	\$7,500	\$5,000	09/30/2013	
SOU 2012-297(SI)	1	\$1,000	\$1,000	\$650	09/30/2013	
SOU 2012-298(GC)	2	\$6,000	\$6,000	\$4,250	09/30/2013	
SOU 2012-300(HSR)	6	\$6,000	\$6,000	\$3,900	09/30/2013	
SOU 2012-301(SA)	4	\$20,000	\$20,000	\$14,250	09/30/2013	
SOU 2012-302(LI)	1	\$2,500	\$2,500	\$1,500	09/30/2013	
SOU 2012-303(HMT)	4	\$22,500	\$17,000	\$12,000	09/30/2013	Partially Terminated Violation(s): 4.
SOU 2012-304(ROP)	1	\$2,000	\$2,000	\$1,300	09/30/2013	
SOU 2012-305(HMT)	2	\$9,500	\$9,500	\$6,100	09/30/2013	
SOU 2012-320(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2013	
SOU 2012-356(RSP)	1	\$2,500	\$2,500	\$1,750	09/30/2013	
SOU 2012-358(TS)	1	\$1,000	\$1,000	\$650	09/30/2013	
SOU 2012-371(LI)	2	\$5,000	\$5,000	\$3,300	09/30/2013	
SOU 2013-1(RSP)	1	\$1,000	\$1,000	\$750	09/30/2013	
SOU 2013-2(LI)	1	\$2,000	\$2,000	\$1,500	09/30/2013	
SOU 2013-3(FCS)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
SOU 2013-4(FCS)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
SOU 2013-5(SA)	1	\$2,500	\$2,500	\$1,600	09/30/2013	
SOU 2013-6(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2013	
SOU 2013-7(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
SOU 2013-8(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
SOU 2013-9(LI)	5	\$11,500	\$11,500	\$7,600	09/30/2013	
SOU 2013-10(RW)	1	\$1,000	\$1,000	\$650	09/30/2013	
SOU 2013-11(HMT)	4	\$11,000	\$11,000	\$7,250	09/30/2013	
SOU 2013-13(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
SOU 2013-14(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
SOU 2013-15(ROP)	2	\$15,000	\$15,000	\$9,800	09/30/2013	
SOU 2013-16(ROP)	2	\$2,000	\$2,000	\$1,300	09/30/2013	
SOU 2013-17(HS)	1	\$1,000	\$1,000	\$750	09/30/2013	
SOU 2013-19(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2013	
SOU 2013-20(TS)	1	\$1,000	\$1,000	\$700	09/30/2013	
SOU 2013-21(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2013	
SOU 2013-22(GC)	1	\$5,000	\$5,000	\$3,000	09/30/2013	
SOU 2013-23(FCS)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
SOU 2013-24(FCS)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
SOU 2013-25(FCS)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
SOU 2013-26(FCS)	1	\$2,500	\$2,500	\$1,700	09/30/2013	

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SOU 2013-27(TS)	4	\$16,000	\$16,000	\$10,000	09/30/2013	
SOU 2013-28(TS)	1	\$5,000	\$5,000	\$3,250	09/30/2013	
SOU 2013-29(TS)	8	\$33,500	\$33,500	\$21,175	09/30/2013	
SOU 2013-30(FCS)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
SOU 2013-31(ROP)	1	\$7,500	\$7,500	\$4,875	09/30/2013	
SOU 2013-32(FCS)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
SOU 2013-33(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2013	
SOU 2013-34(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2013	
SOU 2013-35(TS)	1	\$5,000	\$5,000	\$3,250	09/30/2013	
SOU 2013-36(ROP)	1	\$9,500	\$9,500	\$6,250	09/30/2013	
SOU 2013-37(LI)	3	\$7,500	\$7,500	\$4,800	09/30/2013	
SOU 2013-38(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2013	
SOU 2013-39(SA)	1	\$5,000	\$5,000	\$3,600	09/30/2013	
SOU 2013-40(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2013	
SOU 2013-41(FCS)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
SOU 2013-42(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2013	
SOU 2013-43(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2013	
SOU 2013-44(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2013	
SOU 2013-45(ROP)	1	\$7,500	\$7,500	\$4,800	09/30/2013	
SOU 2013-46(HS)	1	\$1,000	\$1,000	\$650	09/30/2013	
SOU 2013-47(HS)	1	\$1,000	\$1,000	\$650	09/30/2013	
SOU 2013-48(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2013	
SOU 2013-49(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2013	
SOU 2013-50(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2013	
SOU 2013-51(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
SOU 2013-52(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2013	
SOU 2013-53(LI)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
SOU 2013-54(GC)	1	\$2,500	\$2,500	\$900	09/30/2013	
SOU 2013-55(LI)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
SOU 2013-56(LI)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
SOU 2013-58(HMT)	1	\$2,000	\$2,000	\$1,250	09/30/2013	
SOU 2013-59(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2013	
SOU 2013-62(SA)	1	\$5,000	\$5,000	\$3,200	09/30/2013	
SOU 2013-63(SA)	1	\$5,000	\$5,000	\$3,450	09/30/2013	
SOU 2013-65(ROP)	1	\$2,000	\$2,000	\$1,300	09/30/2013	
SOU 2013-66(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2013	
SOU 2013-68(ROP)	1	\$2,000	\$2,000	\$1,300	09/30/2013	
SOU 2013-69(FCS)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
SOU 2013-71(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2013	
SOU 2013-74(HSR)	1	\$1,000	\$1,000	\$700	09/30/2013	
SOU 2013-75(HSR)	1	\$2,500	\$2,500	\$1,500	09/30/2013	
SOU 2013-77(HSR)	1	\$1,000	\$1,000	\$750	09/30/2013	
SOU 2013-78(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2013	
SS 2013-1(SA)	1	\$2,500	\$2,500	\$2,500	09/16/2013	
SS 2013-2(ROP)	1	\$7,500	\$7,500	\$7,500	09/16/2013	
ST 2012-2(SA)	1	\$5,000	\$5,000	\$3,500	09/27/2013	
ST 2012-3(GC)	1	\$5,000	\$5,000	\$4,000	09/27/2013	
ST 2012-4(HS)	1	\$1,000	\$1,000	\$750	09/27/2013	
ST 2012-5(HS)	1	\$1,000	\$1,000	\$750	09/27/2013	

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ST 2013-2(AR)	1	\$2,500	\$2,500	\$1,750	09/27/2013	
ST 2013-3(HSR)	1	\$1,000	\$1,000	\$750	09/27/2013	
ST 2013-5(HS)	2	\$2,000	\$2,000	\$1,400	09/27/2013	
ST 2013-6(SA)	1	\$2,500	\$2,500	\$1,900	09/27/2013	
ST 2013-7(SA)	1	\$10,000	\$10,000	\$7,800	09/27/2013	
STE 2008-1(TS)	1	\$2,500	\$0	\$0	02/27/2013	Case Terminated.
STMA 2008-2(SA)	1	\$5,000	\$0	\$0	02/27/2013	Case Terminated.
SW 2011-3(ROR)	2	\$17,000	\$17,000	\$9,400	06/03/2013	
SW 2011-4(AR)	1	\$2,500	\$2,500	\$1,600	06/03/2013	
SW 2011-5(AR)	1	\$2,500	\$2,500	\$1,600	06/03/2013	
SW 2011-6(EQ)	3	\$7,500	\$7,500	\$4,500	06/03/2013	
SW 2011-7(AD)	3	\$7,500	\$7,500	\$4,500	06/03/2013	
SW 2011-8(AD)	1	\$5,000	\$5,000	\$3,000	06/03/2013	
SW 2011-9(AR)	1	\$1,000	\$1,000	\$650	06/03/2013	
SW 2011-10(AR)	2	\$3,500	\$3,500	\$2,150	06/03/2013	
SW 2012-1(ROP)	1	\$7,500	\$7,500	\$5,000	06/03/2013	
SW 2012-3(AD)	2	\$10,000	\$7,500	\$5,000	06/03/2013	Partially Terminated Violation(s): 2.
SW 2012-4(ROP)	1	\$7,500	\$7,500	\$5,200	06/03/2013	
SW 2012-5(TS)	3	\$9,500	\$9,500	\$6,300	06/03/2013	
SW 2012-6(ROP)	1	\$7,500	\$7,500	\$5,200	06/03/2013	
SW 2012-7(ROP)	1	\$7,500	\$0	\$0	06/03/2013	Case Terminated.
SW 2013-1(ROP)	1	\$7,500	\$7,500	\$4,500	06/03/2013	
SW 2013-2(SA)	1	\$5,000	\$5,000	\$3,200	06/03/2013	
SW 2013-3(RSP)	2	\$10,500	\$10,500	\$7,650	06/03/2013	
SW 2013-4(ROP)	1	\$7,500	\$7,500	\$5,000	06/03/2013	
SWP 2012-1(LI)	1	\$2,500	\$2,500	\$1,250	05/13/2013	
SWP 2013-2(HMT)	1	\$1,500	\$1,500	\$800	05/13/2013	
TCT 2011-3(RW)	3	\$6,000	\$6,000	\$4,500	01/08/2013	
TCT 2012-1(LI)	1	\$2,500	\$2,500	\$2,500	02/27/2013	
TIBR 2012-1(SA)	1	\$5,000	\$0	\$0	09/27/2013	Case Terminated.
TIBR 2012-2(GC)	1	\$5,000	\$5,000	\$3,400	09/27/2013	
TIBR 2012-3(SA)	1	\$5,000	\$5,000	\$3,400	09/27/2013	
TIBR 2013-1(HMT)	2	\$4,000	\$4,000	\$2,700	09/27/2013	
TIBR 2013-2(ROP)	1	\$7,500	\$7,500	\$5,000	09/27/2013	
TIBR 2013-3(TS)	1	\$5,000	\$5,000	\$3,400	09/27/2013	
TMBL 2012-1(TS)	1	\$1,000	\$1,000	\$650	05/30/2013	
TMBL 2012-2(TS)	1	\$2,500	\$2,500	\$1,700	05/30/2013	
TMBL 2012-3(TS)	4	\$11,000	\$11,000	\$6,500	05/30/2013	
TN 2011-1(SA)	1	\$5,000	\$5,000	\$3,250	06/28/2013	
TN 2012-1(SA)	1	\$2,500	\$2,500	\$1,500	06/28/2013	
TRMW 2012-2(TS)	1	\$1,000	\$1,000	\$650	05/30/2013	
TRRA 2012-2(BW)	1	\$25,000	\$25,000	\$25,000	11/02/2012	
TXPF 2012-1(ROP)	1	\$9,500	\$9,500	\$5,500	03/11/2013	
TXPF 2012-2(ROR)	1	\$5,000	\$5,000	\$2,900	03/11/2013	
TXPF 2012-3(EQ)	1	\$5,000	\$5,000	\$2,900	03/11/2013	
TXPF 2012-4(AR)	2	\$3,500	\$3,500	\$1,900	03/11/2013	
TXPF 2012-5(RSP)	1	\$9,500	\$9,500	\$5,500	03/11/2013	
TXPF 2012-6(ROP)	1	\$7,500	\$7,500	\$5,150	03/11/2013	
TXPF 2012-7(AD)	1	\$5,000	\$5,000	\$2,900	03/11/2013	

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TXPF 2012-8(RW)	4	\$14,000	\$14,000	\$8,000	03/11/2013	
TXPF 2012-10(TS)	1	\$5,000	\$5,000	\$3,150	03/11/2013	
UFRC 2009-1(ROR)	1	\$9,500	\$9,500	\$4,250	11/16/2012	
UP 2009-11(TS)	15	\$24,000	\$24,000	\$18,500	09/30/2013	
UP 2009-226(SA)	2	\$10,000	\$10,000	\$7,000	09/30/2013	
UP 2009-413(HMT)	1	\$5,000	\$5,000	\$3,350	09/30/2013	
UP 2009-423(HMT)	1	\$5,000	\$5,000	\$3,350	09/30/2013	
UP 2009-428(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2009-491(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2010-101(HMT)	4	\$28,500	\$28,500	\$19,000	09/30/2013	
UP 2010-145(EQ)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2010-195(HMT)	1	\$2,000	\$2,000	\$1,400	09/30/2013	
UP 2010-219(HMT)	11	\$64,500	\$64,500	\$42,500	09/30/2013	
UP 2010-377(FCS)	2	\$7,500	\$7,500	\$4,875	09/30/2013	
UP 2010-433(SA)	2	\$7,500	\$7,500	\$5,400	09/30/2013	
UP 2010-440(ROP)	4	\$22,500	\$22,500	\$16,200	09/30/2013	
UP 2010-462(SA)	3	\$10,000	\$10,000	\$7,000	09/30/2013	
UP 2011-41(ROP)	1	\$7,500	\$7,500	\$5,200	09/30/2013	
UP 2011-201(SA)	5	\$25,000	\$25,000	\$17,000	09/30/2013	
UP 2011-282(ROP)	5	\$32,000	\$24,500	\$17,700	09/30/2013	Partially Terminated Violation(s): 1,5.
UP 2011-311(TS)	7	\$16,500	\$16,500	\$12,500	09/30/2013	
UP 2011-315(SA)	2	\$7,500	\$7,500	\$5,300	09/30/2013	
UP 2011-316(SA)	4	\$20,000	\$20,000	\$15,500	09/30/2013	
UP 2011-385(TS)	1	\$1,000	\$1,000	\$900	09/30/2013	
UP 2011-449(GC)	7	\$35,000	\$35,000	\$24,250	09/30/2013	
UP 2011-507(SA)	4	\$20,000	\$20,000	\$15,050	09/30/2013	
UP 2011-531(TS)	5	\$20,000	\$20,000	\$15,000	09/30/2013	
UP 2012-8(ROP)	3	\$20,000	\$14,500	\$11,600	09/30/2013	Partially Terminated Violation(s): 1.
UP 2012-20(HMT)	5	\$25,000	\$25,000	\$16,500	09/30/2013	
UP 2012-25(SA)	2	\$7,500	\$7,500	\$5,400	09/30/2013	
UP 2012-44(LI)	1	\$1,000	\$1,000	\$775	09/30/2013	
UP 2012-48(HS)	1	\$1,000	\$1,000	\$775	09/30/2013	
UP 2012-52(HSR)	3	\$4,500	\$4,500	\$2,925	09/30/2013	
UP 2012-56(TS)	3	\$7,500	\$7,500	\$5,400	09/30/2013	
UP 2012-60(FCS)	5	\$17,500	\$17,500	\$11,500	09/30/2013	
UP 2012-61(FCS)	4	\$10,000	\$10,000	\$6,600	09/30/2013	
UP 2012-64(SA)	2	\$10,000	\$10,000	\$7,500	09/30/2013	
UP 2012-68(LI)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
UP 2012-69(LI)	3	\$7,500	\$7,500	\$5,300	09/30/2013	
UP 2012-72(SI)	2	\$2,000	\$2,000	\$1,500	09/30/2013	
UP 2012-74(SA)	3	\$10,000	\$10,000	\$7,500	09/30/2013	
UP 2012-75(SA)	4	\$12,500	\$12,500	\$8,700	09/30/2013	
UP 2012-77(HMT)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2012-78(FCS)	1	\$5,000	\$5,000	\$3,300	09/30/2013	
UP 2012-79(FCS)	5	\$22,500	\$22,500	\$15,100	09/30/2013	
UP 2012-80(SI)	3	\$7,500	\$7,500	\$5,400	09/30/2013	
UP 2012-82(HMT)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
UP 2012-83(FCS)	3	\$7,500	\$7,500	\$4,875	09/30/2013	

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UP 2012-84(SI)	1	\$1,000	\$1,000	\$850	09/30/2013	
UP 2012-85(SA)	4	\$11,000	\$11,000	\$8,500	09/30/2013	
UP 2012-86(SA)	5	\$15,000	\$15,000	\$10,500	09/30/2013	
UP 2012-87(FCS)	1	\$2,500	\$2,500	\$1,650	09/30/2013	
UP 2012-88(SI)	1	\$1,000	\$1,000	\$850	09/30/2013	
UP 2012-89(ROP)	4	\$30,000	\$19,000	\$14,820	09/30/2013	Partially Terminated Violation(s): 3, 4.
UP 2012-90(LI)	2	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2012-91(TS)	7	\$18,500	\$18,500	\$13,500	09/30/2013	
UP 2012-92(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2013	
UP 2012-93(FCS)	1	\$5,000	\$5,000	\$3,300	09/30/2013	
UP 2012-94(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2013	
UP 2012-95(ROP)	1	\$7,500	\$7,500	\$5,200	09/30/2013	
UP 2012-96(SI)	1	\$1,000	\$1,000	\$850	09/30/2013	
UP 2012-97(SA)	2	\$3,500	\$3,500	\$2,200	09/30/2013	
UP 2012-98(HMT)	1	\$2,500	\$2,500	\$1,650	09/30/2013	
UP 2012-99(GC)	2	\$10,000	\$10,000	\$7,000	09/30/2013	
UP 2012-100(SI)	5	\$8,000	\$8,000	\$5,800	09/30/2013	
UP 2012-101(SI)	3	\$4,500	\$4,500	\$3,400	09/30/2013	
UP 2012-102(TS)	2	\$10,000	\$10,000	\$7,400	09/30/2013	
UP 2012-103(FCS)	1	\$2,500	\$2,500	\$1,650	09/30/2013	
UP 2012-104(FCS)	5	\$20,000	\$20,000	\$14,000	09/30/2013	
UP 2012-105(FCS)	5	\$17,500	\$17,500	\$11,550	09/30/2013	
UP 2012-106(FCS)	2	\$10,000	\$10,000	\$6,600	09/30/2013	
UP 2012-107(SA)	5	\$22,500	\$22,500	\$15,000	09/30/2013	
UP 2012-108(TS)	3	\$12,500	\$12,500	\$9,100	09/30/2013	
UP 2012-109(ROP)	2	\$11,500	\$11,500	\$7,475	09/30/2013	
UP 2012-110(SI)	1	\$1,000	\$1,000	\$850	09/30/2013	
UP 2012-111(SA)	2	\$10,000	\$10,000	\$7,400	09/30/2013	
UP 2012-112(LI)	1	\$1,000	\$1,000	\$775	09/30/2013	
UP 2012-113(FCS)	1	\$2,500	\$2,500	\$1,650	09/30/2013	
UP 2012-114(HMT)	1	\$5,000	\$5,000	\$3,300	09/30/2013	
UP 2012-115(HMT)	5	\$33,500	\$33,500	\$22,100	09/30/2013	
UP 2012-116(HMT)	1	\$4,000	\$4,000	\$2,700	09/30/2013	
UP 2012-117(HMT)	1	\$5,000	\$5,000	\$3,500	09/30/2013	
UP 2012-118(ROP)	1	\$7,500	\$7,500	\$5,100	09/30/2013	
UP 2012-119(ROP)	5	\$15,500	\$15,500	\$10,500	09/30/2013	
UP 2012-120(ROP)	4	\$14,000	\$14,000	\$9,250	09/30/2013	
UP 2012-121(FCS)	2	\$7,500	\$7,500	\$5,050	09/30/2013	
UP 2012-122(RW)	2	\$10,000	\$10,000	\$7,200	09/30/2013	
UP 2012-123(SA)	5	\$15,000	\$15,000	\$10,500	09/30/2013	
UP 2012-124(SA)	5	\$20,000	\$20,000	\$15,200	09/30/2013	
UP 2012-125(SA)	5	\$22,500	\$22,500	\$15,000	09/30/2013	
UP 2012-126(SA)	4	\$12,500	\$12,500	\$8,800	09/30/2013	
UP 2012-127(FCS)	5	\$20,000	\$20,000	\$13,700	09/30/2013	
UP 2012-128(FCS)	4	\$12,500	\$12,500	\$8,600	09/30/2013	
UP 2012-129(HMT)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
UP 2012-130(LI)	2	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2012-131(RW)	1	\$2,000	\$2,000	\$1,500	09/30/2013	
UP 2012-132(TS)	1	\$2,500	\$2,500	\$2,000	09/30/2013	

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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 2012-133(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
UP 2012-134(TS)	2	\$6,000	\$6,000	\$4,800	09/30/2013	
UP 2012-135(HSR)	3	\$4,500	\$4,500	\$2,925	09/30/2013	
UP 2012-136(LI)	1	\$1,000	\$1,000	\$775	09/30/2013	
UP 2012-137(TS)	1	\$2,500	\$2,500	\$2,000	09/30/2013	
UP 2012-138(ROP)	2	\$19,000	\$14,500	\$11,500	09/30/2013	Partially Terminated Violation(s): 1.
UP 2012-139(ROP)	5	\$43,500	\$30,000	\$20,500	09/30/2013	Partially Terminated Violation(s): 1, 3, 4.
UP 2012-140(SA)	3	\$12,500	\$12,500	\$8,800	09/30/2013	
UP 2012-141(SA)	2	\$7,500	\$7,500	\$5,400	09/30/2013	
UP 2012-142(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
UP 2012-143(FCS)	1	\$2,500	\$2,500	\$1,650	09/30/2013	
UP 2012-144(ROP)	1	\$9,500	\$9,500	\$5,800	09/30/2013	
UP 2012-145(HMT)	1	\$4,000	\$4,000	\$2,550	09/30/2013	
UP 2012-146(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2012-147(HSR)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
UP 2012-148(FCS)	1	\$5,000	\$5,000	\$3,300	09/30/2013	
UP 2012-149(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2012-150(SI)	3	\$4,500	\$4,500	\$3,400	09/30/2013	
UP 2012-151(SA)	5	\$16,000	\$16,000	\$11,250	09/30/2013	
UP 2012-152(ROP)	3	\$24,500	\$9,000	\$7,650	09/30/2013	Partially Terminated Violation(s): 1, 2, 3.
UP 2012-153(FCS)	3	\$7,500	\$7,500	\$4,875	09/30/2013	
UP 2012-154(FCS)	1	\$2,500	\$2,500	\$1,650	09/30/2013	
UP 2012-155(SI)	2	\$2,000	\$2,000	\$1,500	09/30/2013	
UP 2012-156(TS)	1	\$2,500	\$2,500	\$2,000	09/30/2013	
UP 2012-157(FCS)	3	\$12,500	\$12,500	\$8,600	09/30/2013	
UP 2012-158(FCS)	1	\$5,000	\$5,000	\$3,300	09/30/2013	
UP 2012-159(ROP)	2	\$14,500	\$14,500	\$9,575	09/30/2013	
UP 2012-160(SI)	6	\$6,000	\$6,000	\$4,300	09/30/2013	
UP 2012-161(SA)	3	\$10,000	\$10,000	\$7,400	09/30/2013	
UP 2012-162(SA)	3	\$7,500	\$7,500	\$5,400	09/30/2013	
UP 2012-163(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2012-164(SA)	4	\$12,500	\$12,500	\$8,500	09/30/2013	
UP 2012-165(TS)	1	\$2,500	\$2,500	\$2,000	09/30/2013	
UP 2012-166(GC)	1	\$1,000	\$1,000	\$750	09/30/2013	
UP 2012-167(LI)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
UP 2012-168(LI)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
UP 2012-169(HSR)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
UP 2012-170(SI)	1	\$1,000	\$1,000	\$850	09/30/2013	
UP 2012-171(FCS)	2	\$7,500	\$7,500	\$4,875	09/30/2013	
UP 2012-172(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2013	
UP 2012-173(SA)	9	\$45,000	\$45,000	\$32,000	09/30/2013	
UP 2012-174(SA)	2	\$10,000	\$10,000	\$7,200	09/30/2013	
UP 2012-175(LI)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
UP 2012-177(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2012-178(FCS)	2	\$5,000	\$5,000	\$3,300	09/30/2013	
UP 2012-179(FCS)	1	\$2,500	\$2,500	\$1,650	09/30/2013	
UP 2012-180(FCS)	3	\$7,500	\$7,500	\$4,875	09/30/2013	

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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 2012-181(SI)	9	\$12,000	\$12,000	\$8,500	09/30/2013	
UP 2012-182(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2013	
UP 2012-183(ROP)	1	\$9,500	\$9,500	\$6,500	09/30/2013	
UP 2012-184(SA)	4	\$20,000	\$20,000	\$15,000	09/30/2013	
UP 2012-185(SA)	3	\$7,500	\$7,500	\$5,100	09/30/2013	
UP 2012-186(TS)	1	\$1,000	\$1,000	\$900	09/30/2013	
UP 2012-187(RSP)	1	\$5,000	\$5,000	\$3,300	09/30/2013	
UP 2012-188(FCS)	1	\$2,500	\$2,500	\$1,650	09/30/2013	
UP 2012-189(LI)	1	\$1,500	\$1,500	\$1,200	09/30/2013	
UP 2012-190(RW)	1	\$3,000	\$3,000	\$2,100	09/30/2013	
UP 2012-191(LI)	1	\$1,000	\$1,000	\$775	09/30/2013	
UP 2012-193(GC)	4	\$20,000	\$20,000	\$14,000	09/30/2013	
UP 2012-194(ROP)	1	\$9,500	\$9,500	\$6,175	09/30/2013	
UP 2012-195(TS)	3	\$8,500	\$8,500	\$6,800	09/30/2013	
UP 2012-196(ROP)	2	\$9,500	\$9,500	\$6,800	09/30/2013	
UP 2012-197(ROP)	3	\$14,500	\$14,500	\$9,425	09/30/2013	
UP 2012-198(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2012-199(SA)	5	\$25,000	\$25,000	\$16,500	09/30/2013	
UP 2012-200(SA)	4	\$17,500	\$17,500	\$12,000	09/30/2013	
UP 2012-201(SA)	2	\$7,500	\$7,500	\$5,300	09/30/2013	
UP 2012-202(ROP)	5	\$41,500	\$21,500	\$16,770	09/30/2013	Partially Terminated Violation(s): 1, 2, 3, 5.
UP 2012-203(ROP)	2	\$15,000	\$4,000	\$3,400	09/30/2013	Partially Terminated Violation(s): 1, 2.
UP 2012-204(GC)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2012-205(FCS)	5	\$17,500	\$15,000	\$11,000	09/30/2013	Terminated Violation(s): 1.
UP 2012-206(FCS)	1	\$2,500	\$2,500	\$1,650	09/30/2013	
UP 2012-207(TS)	2	\$6,000	\$1,000	\$1,000	09/30/2013	Terminated Violation(s): 2.
UP 2012-208(AR)	2	\$3,500	\$3,500	\$2,300	09/30/2013	
UP 2012-209(HS)	2	\$2,000	\$2,000	\$1,400	09/30/2013	
UP 2012-210(RW)	2	\$4,000	\$4,000	\$2,600	09/30/2013	
UP 2012-211(GC)	1	\$1,000	\$1,000	\$750	09/30/2013	
UP 2012-212(EQ)	1	\$2,500	\$2,500	\$1,790	09/30/2013	
UP 2012-213(HSR)	1	\$1,000	\$1,000	\$700	09/30/2013	
UP 2012-214(FCS)	5	\$12,500	\$12,500	\$8,250	09/30/2013	
UP 2012-215(FCS)	1	\$2,500	\$2,500	\$1,650	09/30/2013	
UP 2012-216(SA)	4	\$15,000	\$15,000	\$10,500	09/30/2013	
UP 2012-217(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
UP 2012-218(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
UP 2012-219(RW)	1	\$3,000	\$3,000	\$2,100	09/30/2013	
UP 2012-220(ROP)	1	\$7,500	\$7,500	\$4,875	09/30/2013	
UP 2012-221(HMT)	1	\$1,000	\$1,000	\$725	09/30/2013	
UP 2012-222(FCS)	1	\$2,500	\$2,500	\$1,650	09/30/2013	
UP 2012-223(FCS)	2	\$5,000	\$5,000	\$3,300	09/30/2013	
UP 2012-224(ROP)	5	\$24,500	\$24,500	\$16,200	09/30/2013	
UP 2012-225(ROP)	5	\$21,000	\$21,000	\$13,900	09/30/2013	
UP 2012-226(ROP)	1	\$9,500	\$9,500	\$6,300	09/30/2013	
UP 2012-227(SA)	5	\$20,000	\$20,000	\$15,000	09/30/2013	
UP 2012-228(SA)	5	\$12,500	\$12,500	\$8,800	09/30/2013	
UP 2012-229(SA)	5	\$17,500	\$17,500	\$12,500	09/30/2013	

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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 2012-231(SA)	4	\$12,500	\$12,500	\$8,800	09/30/2013	
UP 2012-232(SA)	5	\$15,000	\$15,000	\$10,800	09/30/2013	
UP 2012-233(SA)	9	\$27,500	\$27,500	\$19,000	09/30/2013	
UP 2012-235(HMT)	1	\$2,000	\$2,000	\$1,300	09/30/2013	
UP 2012-236(HMT)	1	\$2,000	\$2,000	\$1,300	09/30/2013	
UP 2012-237(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2012-238(GC)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2012-239(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2012-240(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
UP 2012-241(RW)	1	\$1,500	\$1,500	\$1,100	09/30/2013	
UP 2012-242(LI)	16	\$40,000	\$17,500	\$17,500	09/30/2013	Partially Terminated Violation(s): 3.
UP 2012-243(LI)	2	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2012-244(LI)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
UP 2012-245(HSR)	2	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2012-246(LI)	1	\$2,000	\$2,000	\$1,600	09/30/2013	
UP 2012-247(TS)	13	\$35,000	\$35,000	\$28,000	09/30/2013	
UP 2012-249(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2012-250(HMT)	1	\$6,000	\$6,000	\$3,800	09/30/2013	
UP 2012-251(ROP)	3	\$11,500	\$11,500	\$7,475	09/30/2013	
UP 2012-252(SA)	3	\$15,000	\$15,000	\$10,500	09/30/2013	
UP 2012-253(HSR)	4	\$4,000	\$4,000	\$2,900	09/30/2013	
UP 2012-254(SA)	5	\$20,000	\$20,000	\$14,880	09/30/2013	
UP 2012-255(SA)	2	\$7,500	\$7,500	\$5,500	09/30/2013	
UP 2012-256(ROP)	1	\$9,500	\$5,000	\$3,400	09/30/2013	Partially Terminated Violation(s): 1.
UP 2012-257(FCS)	4	\$10,000	\$10,000	\$6,600	09/30/2013	
UP 2012-258(ROP)	1	\$7,500	\$7,500	\$5,300	09/30/2013	
UP 2012-260(HMT)	1	\$5,000	\$0	\$0	09/30/2013	Case Terminated.
UP 2012-261(LI)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
UP 2012-262(ROP)	1	\$7,500	\$7,500	\$5,300	09/30/2013	
UP 2012-263(ROP)	1	\$7,500	\$2,000	\$1,400	09/30/2013	Partially Terminated Violation(s): 1.
UP 2012-264(ROP)	3	\$12,000	\$12,000	\$7,800	09/30/2013	
UP 2012-265(FCS)	5	\$20,000	\$20,000	\$13,200	09/30/2013	
UP 2012-266(FCS)	1	\$5,000	\$5,000	\$3,300	09/30/2013	
UP 2012-267(SA)	5	\$12,500	\$12,500	\$8,800	09/30/2013	
UP 2012-268(SA)	2	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2012-269(SA)	4	\$17,500	\$12,500	\$8,600	09/30/2013	Terminated Violation(s): 4.
UP 2012-270(SA)	3	\$7,500	\$7,500	\$4,800	09/30/2013	
UP 2012-271(SA)	6	\$19,500	\$19,500	\$14,000	09/30/2013	
UP 2012-272(FCS)	1	\$2,500	\$2,500	\$1,650	09/30/2013	
UP 2012-273(LI)	2	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2012-274(LI)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
UP 2012-275(LI)	2	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2012-276(LI)	13	\$31,000	\$11,000	\$11,000	09/30/2013	Partially Terminated Violation(s): 1,2,3,5.
UP 2012-278(TS)	16	\$64,500	\$64,500	\$47,000	09/30/2013	
UP 2012-279(TS)	1	\$2,000	\$2,000	\$1,600	09/30/2013	
UP 2012-280(FCS)	1	\$2,500	\$0	\$0	09/30/2013	Case Terminated.
UP 2012-281(TS)	4	\$4,000	\$4,000	\$3,200	09/30/2013	

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UP 2012-282(TS)	22	\$55,000	\$55,000	\$42,000	09/30/2013	
UP 2012-283(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2012-284(HMT)	1	\$5,000	\$5,000	\$3,800	09/30/2013	
UP 2012-286(LI)	1	\$1,500	\$1,500	\$1,050	09/30/2013	
UP 2012-287(LI)	3	\$7,500	\$7,500	\$5,300	09/30/2013	
UP 2012-288(EP)	1	\$1,000	\$1,000	\$700	09/30/2013	
UP 2012-289(LI)	1	\$2,500	\$2,500	\$1,750	09/30/2013	
UP 2012-290(LI)	1	\$2,500	\$2,500	\$1,750	09/30/2013	
UP 2012-291(ROP)	4	\$30,000	\$13,500	\$9,000	09/30/2013	Partially Terminated Violation(s): 1, 2, 3.
UP 2012-292(ROP)	5	\$37,000	\$37,000	\$25,000	09/30/2013	
UP 2012-293(ROP)	5	\$10,000	\$10,000	\$6,500	09/30/2013	
UP 2012-295(ROP)	1	\$9,500	\$9,500	\$6,300	09/30/2013	
UP 2012-296(FCS)	1	\$2,500	\$2,500	\$1,650	09/30/2013	
UP 2012-297(ROP)	1	\$5,000	\$5,000	\$3,450	09/30/2013	
UP 2012-298(SA)	5	\$20,000	\$20,000	\$15,000	09/30/2013	
UP 2012-299(SA)	5	\$15,000	\$15,000	\$10,200	09/30/2013	
UP 2012-300(SA)	4	\$17,500	\$17,500	\$12,025	09/30/2013	
UP 2012-301(TS)	3	\$12,500	\$12,500	\$10,000	09/30/2013	
UP 2012-303(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2013	
UP 2012-304(TS)	3	\$15,000	\$15,000	\$12,000	09/30/2013	
UP 2012-306(SA)	2	\$7,500	\$7,500	\$5,300	09/30/2013	
UP 2012-307(HMT)	2	\$10,000	\$10,000	\$7,000	09/30/2013	
UP 2012-308(SI)	2	\$2,000	\$2,000	\$1,500	09/30/2013	
UP 2012-309(TS)	1	\$2,500	\$2,500	\$2,000	09/30/2013	
UP 2012-310(LI)	5	\$10,500	\$10,500	\$7,500	09/30/2013	
UP 2012-311(LI)	1	\$2,500	\$2,500	\$1,750	09/30/2013	
UP 2012-312(RW)	2	\$6,000	\$6,000	\$3,900	09/30/2013	
UP 2012-313(ROP)	2	\$19,000	\$19,000	\$12,500	09/30/2013	
UP 2012-314(SA)	4	\$12,500	\$12,500	\$8,900	09/30/2013	
UP 2012-315(RSP)	1	\$1,000	\$1,000	\$700	09/30/2013	
UP 2012-316(GC)	1	\$2,500	\$2,500	\$1,775	09/30/2013	
UP 2012-317(HMT)	1	\$2,000	\$2,000	\$1,300	09/30/2013	
UP 2012-318(FCS)	1	\$2,500	\$2,500	\$1,650	09/30/2013	
UP 2012-319(SA)	3	\$10,000	\$5,000	\$3,400	09/30/2013	Terminated Violation(s): 1.
UP 2012-320(HMT)	1	\$2,000	\$2,000	\$1,300	09/30/2013	
UP 2012-321(TS)	2	\$10,000	\$10,000	\$6,800	09/30/2013	
UP 2012-322(LI)	1	\$2,500	\$2,500	\$1,750	09/30/2013	
UP 2012-323(GC)	2	\$52,500	\$52,500	\$39,000	09/30/2013	
UP 2012-324(HSR)	2	\$2,000	\$2,000	\$1,300	09/30/2013	
UP 2012-325(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2013	
UP 2012-326(ROP)	2	\$15,000	\$15,000	\$11,250	09/30/2013	
UP 2012-327(SI)	2	\$6,000	\$6,000	\$4,300	09/30/2013	
UP 2012-328(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2013	
UP 2012-329(ROP)	2	\$19,000	\$19,000	\$12,500	09/30/2013	
UP 2012-330(SI)	2	\$6,000	\$6,000	\$4,300	09/30/2013	
UP 2012-331(FCS)	3	\$7,500	\$7,500	\$4,875	09/30/2013	
UP 2012-332(LI)	3	\$7,500	\$7,500	\$5,300	09/30/2013	
UP 2012-333(HMT)	1	\$4,000	\$4,000	\$2,700	09/30/2013	
UP 2012-334(SA)	4	\$15,000	\$15,000	\$10,200	09/30/2013	

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UP 2012-335(SA)	3	\$12,500	\$10,000	\$7,250	09/30/2013	Terminated Violation(s): 3.
UP 2012-336(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2012-337(ROP)	2	\$9,500	\$9,500	\$6,200	09/30/2013	
UP 2012-338(SA)	4	\$12,500	\$12,500	\$8,900	09/30/2013	
UP 2012-339(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2012-340(SA)	2	\$10,000	\$10,000	\$7,150	09/30/2013	
UP 2012-341(SA)	1	\$5,000	\$5,000	\$3,450	09/30/2013	
UP 2012-342(ROP)	2	\$15,000	\$9,500	\$7,315	09/30/2013	Partially Terminated Violation(s): 2.
UP 2012-343(HMT)	1	\$5,000	\$5,000	\$3,300	09/30/2013	
UP 2012-344(GC)	2	\$3,500	\$3,500	\$2,450	09/30/2013	
UP 2012-345(TS)	3	\$10,000	\$10,000	\$8,000	09/30/2013	
UP 2012-346(TS)	16	\$45,000	\$45,000	\$33,000	09/30/2013	
UP 2012-347(TS)	1	\$2,500	\$2,500	\$1,750	09/30/2013	
UP 2012-348(LI)	6	\$15,000	\$5,000	\$3,500	09/30/2013	Terminated Violation(s): 3,4,5,6.
UP 2012-349(GC)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2012-350(SA)	1	\$5,000	\$5,000	\$3,450	09/30/2013	
UP 2012-351(ROP)	2	\$14,500	\$14,500	\$9,425	09/30/2013	
UP 2012-352(SA)	4	\$17,500	\$17,500	\$12,025	09/30/2013	
UP 2012-353(SA)	3	\$15,000	\$15,000	\$10,050	09/30/2013	
UP 2012-354(FCS)	2	\$7,500	\$7,500	\$4,875	09/30/2013	
UP 2012-355(ROP)	1	\$7,500	\$7,500	\$5,100	09/30/2013	
UP 2012-356(SI)	12	\$16,500	\$16,500	\$12,500	09/30/2013	
UP 2012-357(FCS)	2	\$5,000	\$5,000	\$3,300	09/30/2013	
UP 2012-358(ROP)	2	\$10,000	\$10,000	\$7,700	09/30/2013	
UP 2012-359(ROP)	2	\$14,500	\$10,000	\$7,450	09/30/2013	Partially Terminated Violation(s): 2.
UP 2012-360(FCS)	5	\$20,000	\$20,000	\$13,200	09/30/2013	
UP 2012-361(FCS)	2	\$7,500	\$7,500	\$4,950	09/30/2013	
UP 2012-362(SI)	1	\$2,500	\$2,500	\$1,900	09/30/2013	
UP 2012-363(SA)	4	\$15,000	\$15,000	\$10,050	09/30/2013	
UP 2012-364(LI)	1	\$2,500	\$2,500	\$1,750	09/30/2013	
UP 2012-365(GC)	2	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2012-366(LI)	1	\$2,500	\$2,500	\$1,750	09/30/2013	
UP 2012-368(LI)	1	\$1,000	\$1,000	\$800	09/30/2013	
UP 2012-369(SA)	5	\$17,500	\$17,500	\$12,025	09/30/2013	
UP 2012-370(SA)	3	\$12,500	\$12,500	\$8,900	09/30/2013	
UP 2012-371(SI)	3	\$7,500	\$7,500	\$5,400	09/30/2013	
UP 2012-372(ROP)	2	\$11,500	\$11,500	\$7,600	09/30/2013	
UP 2012-373(FCS)	1	\$2,500	\$2,500	\$1,650	09/30/2013	
UP 2012-374(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
UP 2012-375(SA)	2	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2012-376(TS)	6	\$30,000	\$30,000	\$21,000	09/30/2013	
UP 2012-377(SA)	3	\$15,000	\$15,000	\$10,200	09/30/2013	
UP 2012-378(ROP)	1	\$7,500	\$7,500	\$5,400	09/30/2013	
UP 2012-379(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2013	
UP 2012-380(ROP)	1	\$7,500	\$7,500	\$6,000	09/30/2013	
UP 2012-381(FCS)	1	\$2,500	\$2,500	\$1,650	09/30/2013	
UP 2012-382(SI)	1	\$1,000	\$1,000	\$850	09/30/2013	

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UP 2012-384(ROP)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2012-385(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2013	
UP 2012-386(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2013	
UP 2012-387(ROP)	1	\$7,500	\$2,000	\$1,700	09/30/2013	Partially Terminated Violation(s): 1.
UP 2012-388(ROP)	1	\$7,500	\$7,500	\$5,200	09/30/2013	
UP 2012-389(ROP)	1	\$7,500	\$7,500	\$5,400	09/30/2013	
UP 2012-390(ROP)	1	\$9,500	\$5,000	\$3,400	09/30/2013	Partially Terminated Violation(s): 1.
UP 2012-391(ROP)	1	\$7,500	\$2,000	\$1,400	09/30/2013	Partially Terminated Violation(s): 1.
UP 2012-392(ROP)	1	\$9,500	\$9,500	\$6,200	09/30/2013	
UP 2012-393(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2013	
UP 2012-394(ROP)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2012-395(ROP)	1	\$9,500	\$5,000	\$3,400	09/30/2013	Partially Terminated Violation(s): 1.
UP 2012-396(FCS)	1	\$5,000	\$5,000	\$3,300	09/30/2013	
UP 2012-397(FCS)	1	\$5,000	\$5,000	\$3,300	09/30/2013	
UP 2012-398(FCS)	1	\$2,500	\$2,500	\$1,650	09/30/2013	
UP 2012-399(FCS)	1	\$5,000	\$5,000	\$3,300	09/30/2013	
UP 2012-400(FCS)	1	\$5,000	\$5,000	\$3,300	09/30/2013	
UP 2012-401(FCS)	1	\$5,000	\$5,000	\$3,300	09/30/2013	
UP 2012-402(FCS)	1	\$2,500	\$2,500	\$1,650	09/30/2013	
UP 2012-403(FCS)	1	\$2,500	\$2,500	\$1,650	09/30/2013	
UP 2012-404(FCS)	1	\$5,000	\$5,000	\$3,300	09/30/2013	
UP 2012-405(FCS)	1	\$2,500	\$2,500	\$1,650	09/30/2013	
UP 2012-407(FCS)	1	\$2,500	\$2,500	\$1,650	09/30/2013	
UP 2012-408(FCS)	1	\$2,500	\$2,500	\$1,650	09/30/2013	
UP 2012-409(SI)	1	\$5,000	\$5,000	\$3,500	09/30/2013	
UP 2012-410(ROP)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2012-411(ROP)	1	\$5,000	\$5,000	\$3,300	09/30/2013	
UP 2012-412(ROP)	1	\$7,500	\$7,500	\$4,950	09/30/2013	
UP 2012-413(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
UP 2012-414(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2012-415(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
UP 2012-416(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
UP 2012-417(SA)	1	\$5,000	\$5,000	\$3,450	09/30/2013	
UP 2012-418(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
UP 2012-419(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
UP 2012-420(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
UP 2012-421(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2012-422(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2012-423(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
UP 2012-424(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2012-425(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2013	
UP 2012-426(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
UP 2012-427(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2012-428(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2012-429(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2012-430(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2012-431(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	

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UP 2012-432(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2013	
UP 2012-433(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2012-434(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2012-435(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2012-436(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2013	
UP 2012-437(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
UP 2012-438(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2012-439(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
UP 2012-440(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
UP 2012-441(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
UP 2012-442(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2012-443(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2012-444(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
UP 2012-445(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2012-446(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2012-447(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2012-448(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2012-449(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
UP 2012-450(ROP)	1	\$5,000	\$5,000	\$4,000	09/30/2013	
UP 2012-451(SI)	2	\$5,000	\$5,000	\$3,500	09/30/2013	
UP 2012-452(TS)	1	\$2,000	\$2,000	\$1,600	09/30/2013	
UP 2012-453(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2013	
UP 2012-454(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2013	
UP 2012-455(HMT)	2	\$13,500	\$13,500	\$8,900	09/30/2013	
UP 2012-459(HSR)	1	\$1,000	\$1,000	\$700	09/30/2013	
UP 2012-461(HSR)	2	\$2,000	\$2,000	\$1,300	09/30/2013	
UP 2012-462(GC)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2012-463(RW)	1	\$3,000	\$3,000	\$2,100	09/30/2013	
UP 2012-465(GC)	1	\$1,000	\$1,000	\$750	09/30/2013	
UP 2012-466(HSR)	1	\$1,000	\$1,000	\$700	09/30/2013	
UP 2012-467(LI)	2	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2012-468(LI)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
UP 2012-469(LI)	1	\$2,500	\$2,500	\$1,750	09/30/2013	
UP 2012-470(HSR)	1	\$1,000	\$1,000	\$700	09/30/2013	
UP 2012-471(HSR)	1	\$1,000	\$1,000	\$700	09/30/2013	
UP 2012-472(HMT)	1	\$2,000	\$2,000	\$1,300	09/30/2013	
UP 2012-473(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2013	
UP 2012-474(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2013	
UP 2012-475(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2013	
UP 2012-476(TS)	3	\$7,500	\$7,500	\$6,000	09/30/2013	
UP 2012-477(LI)	1	\$2,500	\$2,500	\$1,750	09/30/2013	
UP 2012-478(RSP)	1	\$5,000	\$5,000	\$3,450	09/30/2013	
UP 2012-484(TS)	1	\$2,500	\$0	\$0	09/26/2013	Case Terminated.
UP 2012-486(EQ)	1	\$1,000	\$1,000	\$725	09/30/2013	
UP 2012-487(EQ)	1	\$1,000	\$1,000	\$725	09/30/2013	
UP 2013-1(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2013	
UP 2013-2(ROP)	5	\$37,500	\$37,500	\$24,750	09/30/2013	
UP 2013-3(ROP)	1	\$9,500	\$5,000	\$4,500	09/30/2013	Partially Terminated Violation(s): 1.
UP 2013-4(ROP)	1	\$9,500	\$5,000	\$4,500	09/30/2013	Partially Terminated

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UP 2013-6(FCS)	1	\$5,000	\$0	\$0	09/30/2013	Violation(s): 1. Case Terminated.
UP 2013-7(ROP)	1	\$2,000	\$2,000	\$1,650	09/30/2013	
UP 2013-8(ROP)	1	\$7,500	\$2,000	\$2,000	09/30/2013	Partially Terminated Violation(s): 1.
UP 2013-9(HMT)	1	\$7,500	\$7,500	\$5,000	09/30/2013	
UP 2013-10(ROP)	1	\$9,500	\$9,500	\$6,300	09/30/2013	
UP 2013-11(ROP)	1	\$7,500	\$2,000	\$2,000	09/30/2013	Partially Teraminated Violation(s): 1.
UP 2013-12(FCS)	1	\$2,500	\$2,500	\$1,650	09/30/2013	
UP 2013-13(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2013-15(TS)	5	\$12,500	\$12,500	\$9,500	09/30/2013	
UP 2013-16(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2013	
UP 2013-18(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2013-19(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2013-20(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2013-21(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2013-22(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2013	
UP 2013-23(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2013	
UP 2013-24(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2013	
UP 2013-25(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2013	
UP 2013-26(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2013	
UP 2013-27(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2013	
UP 2013-28(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2013	
UP 2013-29(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2013-30(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2013-31(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2013-32(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
UP 2013-33(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2013-34(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2013-35(SA)	4	\$10,000	\$10,000	\$7,100	09/30/2013	
UP 2013-36(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2013-37(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2013	
UP 2013-38(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2013-39(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2013-40(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2013	
UP 2013-41(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2013-42(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
UP 2013-43(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2013-44(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2013	
UP 2013-45(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2013-46(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2013-47(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2013	
UP 2013-48(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2013	
UP 2013-49(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2013-50(HMT)	1	\$3,000	\$3,000	\$1,950	09/30/2013	
UP 2013-51(HMT)	1	\$5,000	\$5,000	\$3,300	09/30/2013	
UP 2013-52(HMT)	1	\$8,000	\$8,000	\$5,800	09/30/2013	
UP 2013-54(LI)	1	\$2,500	\$2,500	\$1,750	09/30/2013	
UP 2013-55(LI)	1	\$2,500	\$2,500	\$1,750	09/30/2013	

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UP 2013-56(LI)	2	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2013-58(RW)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2013-59(LI)	3	\$7,500	\$2,500	\$2,500	09/30/2013	Partially Terminated Violation(s): 1.
UP 2013-60(LI)	1	\$1,000	\$1,000	\$800	09/30/2013	
UP 2013-61(LI)	1	\$2,500	\$2,500	\$1,800	09/30/2013	
UP 2013-62(LI)	1	\$2,500	\$2,500	\$1,800	09/30/2013	
UP 2013-66(TS)	1	\$2,500	\$2,500	\$2,000	09/30/2013	
UP 2013-67(TS)	2	\$5,000	\$5,000	\$4,000	09/30/2013	
UP 2013-69(TS)	1	\$2,500	\$2,500	\$2,000	09/30/2013	
UP 2013-70(TS)	2	\$2,000	\$2,000	\$1,600	09/30/2013	
UP 2013-71(TS)	2	\$5,000	\$5,000	\$4,000	09/30/2013	
UP 2013-72(TS)	1	\$2,500	\$2,500	\$2,000	09/30/2013	
UP 2013-74(ROP)	1	\$7,500	\$7,500	\$5,500	09/30/2013	
UP 2013-76(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2013	
UP 2013-77(ROP)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2013-79(ROP)	1	\$7,500	\$7,500	\$5,200	09/30/2013	
UP 2013-81(ROP)	1	\$7,500	\$7,500	\$5,200	09/30/2013	
UP 2013-82(ROP)	1	\$7,500	\$7,500	\$5,200	09/30/2013	
UP 2013-84(ROP)	1	\$7,500	\$7,500	\$5,200	09/30/2013	
UP 2013-86(ROP)	1	\$7,500	\$7,500	\$5,200	09/30/2013	
UP 2013-87(ROP)	1	\$7,500	\$7,500	\$5,200	09/30/2013	
UP 2013-89(ROP)	1	\$7,500	\$7,500	\$5,200	09/30/2013	
UP 2013-91(ROP)	1	\$7,500	\$7,500	\$5,200	09/30/2013	
UP 2013-92(ROP)	1	\$7,500	\$7,500	\$5,200	09/30/2013	
UP 2013-94(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2013	
UP 2013-96(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2013	
UP 2013-97(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2013	
UP 2013-99(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2013	
UP 2013-101(ROP)	1	\$7,500	\$7,500	\$5,200	09/30/2013	
UP 2013-102(ROP)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2013-104(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2013	
UP 2013-106(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2013	
UP 2013-107(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2013	
UP 2013-109(ROP)	1	\$9,500	\$9,500	\$6,175	09/30/2013	
UP 2013-114(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2013	
UP 2013-119(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2013	
UP 2013-124(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2013	
UP 2013-129(ROP)	1	\$2,000	\$2,000	\$1,400	09/30/2013	
UP 2013-152(FCS)	1	\$5,000	\$5,000	\$3,300	09/30/2013	
UP 2013-158(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2013	
UP 2013-162(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2013	
UP 2013-163(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
UP 2013-167(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2013	
UP 2013-168(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2013-172(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
UP 2013-173(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2013	
URR 2009-1(AR)	1	\$2,500	\$0	\$0	06/28/2013	Case Terminated.
URR 2009-2(AR)	1	\$2,500	\$0	\$0	06/28/2013	Case Terminated.
URR 2009-3(AR)	2	\$5,000	\$5,000	\$2,500	06/28/2013	

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URR 2012-1(TS)	1	\$5,000	\$5,000	\$3,250	06/28/2013	
USRI 2008-1(GC)	1	\$2,500	\$0	\$0	08/08/2013	Case Terminated.
USRO 2010-1(TS)	41	\$41,000	\$41,000	\$26,650	08/08/2013	
USRO 2011-1(GC)	5	\$12,500	\$12,500	\$3,250	08/08/2013	
USRO 2011-2(GC)	5	\$12,500	\$12,500	\$3,250	08/08/2013	
USRO 2011-3(GC)	7	\$17,500	\$17,500	\$4,550	08/08/2013	
USRO 2011-4(GC)	2	\$5,000	\$5,000	\$1,300	08/08/2013	
USRO 2011-5(GC)	6	\$15,000	\$15,000	\$3,900	08/08/2013	
USRO 2011-6(GC)	5	\$12,500	\$12,500	\$3,250	08/08/2013	
USRO 2011-7(GC)	2	\$5,000	\$5,000	\$1,300	08/08/2013	
USRV 2008-1(LI)	4	\$8,500	\$0	\$0	08/08/2013	Case Terminated.
USRV 2008-2(GC)	3	\$7,500	\$0	\$0	08/08/2013	Case Terminated.
USRV 2008-3(GC)	5	\$12,500	\$0	\$0	08/08/2013	Case Terminated.
USRV 2008-4(GC)	5	\$11,000	\$0	\$0	08/08/2013	Case Terminated.
USRV 2008-5(GC)	5	\$12,500	\$0	\$0	08/08/2013	Case Terminated.
USRV 2008-6(GC)	5	\$12,500	\$0	\$0	08/08/2013	Case Terminated.
USRV 2009-1(GC)	1	\$2,500	\$2,500	\$550	08/08/2013	
UTAH 2011-1(SA)	1	\$5,000	\$5,000	\$2,500	05/03/2013	
UTAH 2011-2(ROP)	1	\$7,500	\$7,500	\$4,500	05/03/2013	
UTAH 2011-3(ROP)	2	\$15,000	\$15,000	\$7,500	05/03/2013	
UTAH 2012-1(HMT)	1	\$2,500	\$2,500	\$1,625	05/03/2013	
UTAX 2007-1(RW)	1	\$3,000	\$0	\$0	04/05/2013	Case Terminated.
UTAX 2008-1(RW)	1	\$3,000	\$3,000	\$550	04/05/2013	
UTAX 2008-2(TS)	2	\$15,000	\$15,000	\$6,000	04/05/2013	
UTAX 2008-3(GC)	1	\$5,000	\$5,000	\$2,000	04/05/2013	
VR 2011-1(SA)	1	\$5,000	\$5,000	\$3,000	06/05/2013	
VR 2011-2(SA)	1	\$5,000	\$5,000	\$3,500	06/05/2013	
VR 2013-1(SA)	1	\$5,000	\$5,000	\$3,000	06/12/2013	
VREE 2012-1(LI)	1	\$2,500	\$2,500	\$650	06/21/2013	
VSOR 2011-1(SA)	1	\$5,000	\$5,000	\$3,200	09/27/2013	
WAKS 2005-1(AR)	1	\$2,500	\$0	\$0	01/29/2013	Case Terminated.
WAKS 2008-1(AR)	2	\$5,000	\$0	\$0	01/29/2013	Case Terminated.
WAKS 2010-1(AR)	1	\$2,500	\$2,500	\$650	01/30/2013	
WATX 2013-1(ROP)	1	\$9,500	\$9,500	\$6,500	09/27/2013	
WBCR 2010-1(TS)	1	\$5,000	\$5,000	\$2,500	08/20/2013	
WCOR 2013-1(SA)	1	\$2,500	\$2,500	\$1,725	09/30/2013	
WE 2012-4(SA)	2	\$7,500	\$7,500	\$5,250	05/29/2013	
WE 2012-5(HMT)	1	\$6,000	\$6,000	\$5,000	05/24/2013	
WE 2012-6(HS)	1	\$1,000	\$1,000	\$800	05/24/2013	
WE 2012-7(HS)	1	\$1,000	\$1,000	\$800	05/24/2013	
WE 2012-8(LI)	1	\$2,500	\$2,500	\$1,725	05/24/2013	
WE 2013-1(LI)	2	\$5,000	\$5,000	\$3,425	05/24/2013	
WGCR 2006-1(TS)	2	\$2,000	\$0	\$0	05/31/2013	Case Terminated.
WINV 2013-1(SA)	1	\$5,000	\$5,000	\$2,175	03/19/2013	
WIRV 2007-1(HSR)	1	\$1,000	\$0	\$0	12/20/2012	Case Terminated
WIRV 2007-2(HSR)	1	\$1,000	\$0	\$0	12/20/2012	Case Terminated.
WIRV 2007-3(AD)	1	\$5,000	\$5,000	\$3,000	12/20/2012	
WIRV 2007-4(AD)	1	\$2,000	\$2,000	\$600	12/20/2012	
WIRV 2008-1(TS)	3	\$12,500	\$12,500	\$7,900	12/20/2012	

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WIRV 2008-2(TS)	3	\$7,500	\$7,500	\$4,750	12/20/2012	
WIRV 2009-1(ROP)	1	\$7,500	\$7,500	\$4,750	12/20/2012	
WNYP 2005-1(GC)	1	\$2,500	\$0	\$0	10/02/2012	Case Terminated.
WNYP 2007-1(TS)	1	\$2,500	\$2,500	\$600	10/02/2012	
WNYP 2009-1(TS)	3	\$15,000	\$15,000	\$3,200	10/02/2012	
WNYP 2009-3(TS)	1	\$5,000	\$5,000	\$1,200	10/02/2012	
WPRR 2007-1(SA)	1	\$2,500	\$0	\$0	05/31/2013	Case Terminated.
WPRR 2007-2(SA)	1	\$2,500	\$0	\$0	05/31/2013	Case Terminated.
WSOR 2009-3(GC)	1	\$5,000	\$5,000	\$3,500	09/27/2013	
WSOR 2012-1(SA)	1	\$2,500	\$2,500	\$1,400	09/27/2013	
WTA 2008-1(GC)	1	\$5,000	\$5,000	\$2,500	06/13/2013	
WTA 2008-2(GC)	1	\$5,000	\$5,000	\$2,500	06/13/2013	
WTA 2009-1(SA)	1	\$5,000	\$5,000	\$650	06/13/2013	
WTA 2010-1(GC)	1	\$5,000	\$5,000	\$2,750	06/13/2013	
WTA 2010-2(SA)	1	\$5,000	\$5,000	\$2,500	06/13/2013	
WTA 2012-1(SA)	2	\$10,000	\$5,000	\$2,750	06/13/2013	Terminated Violation(s): 1.
WTA 2012-2(ROP)	2	\$17,000	\$17,000	\$8,350	06/13/2013	
WTNN 2006-1(SA)	1	\$2,500	\$0	\$0	05/31/2013	Case Terminated.
WTNN 2006-2(FCS)	1	\$2,500	\$0	\$0	05/31/2013	Case Terminated.
WTNN 2011-1(ROP)	1	\$7,500	\$7,500	\$5,625	12/19/2012	
WVR 2012-1(TS)	1	\$7,000	\$7,000	\$2,500	01/14/2013	
WW 2008-1(RSP)	1	\$1,000	\$1,000	\$550	04/02/2013	
XATH 2013-1(HMT)	1	\$2,000	\$2,000	\$1,400	08/08/2013	
XAWH 2013-1(HMT)	1	\$10,000	\$10,000	\$6,900	02/22/2013	
XAWH 2013-2(HMT)	1	\$5,000	\$5,000	\$3,000	05/15/2013	
XCEA 2012-1(HMT)	1	\$5,000	\$5,000	\$3,500	05/29/2013	
XCRO 2012-2(HMT)	3	\$9,000	\$9,000	\$9,000	02/08/2013	
XCRQ 2013-1(HMT)	3	\$6,000	\$6,000	\$6,000	02/04/2013	
XCRQ 2013-2(HMT)	1	\$5,000	\$5,000	\$5,000	05/13/2013	
XDCT 2012-1(HMT)	1	\$5,000	\$5,000	\$5,000	10/16/2012	
XDPU 2013-1(GC)	1	\$1,000	\$1,000	\$1,000	09/06/2013	
XDYN 2012-1(SA)	3	\$7,500	\$7,500	\$3,750	01/08/2013	
XEEN 2013-1(HMT)	3	\$11,000	\$11,000	\$7,700	05/28/2013	
XFEF 2012-1(HMT)	2	\$6,000	\$6,000	\$6,000	10/15/2012	
XHNT 2008-1(RW)	1	\$10,000	\$10,000	\$8,625	01/15/2013	
XICP 2012-1(HMT)	1	\$5,000	\$5,000	\$4,000	11/06/2012	
XICP 2013-1(HMT)	1	\$15,000	\$0	\$0	02/26/2013	Case Terminated.
XJEI 2012-1(HMT)	1	\$2,000	\$2,000	\$2,000	11/28/2012	
XLDI 2013-1(HMT)	1	\$5,000	\$5,000	\$5,000	02/25/2013	
XLOR 2012-1(RW)	1	\$5,000	\$5,000	\$5,000	02/11/2013	
XLPF 2012-1(HMT)	2	\$4,000	\$4,000	\$2,800	04/23/2013	
XLPQ 2012-1(HMT)	2	\$17,500	\$17,500	\$9,500	03/18/2013	
XMPS 2010-1(HMT)	1	\$10,000	\$10,000	\$8,000	02/12/2013	
XMRS 2010-1(HMT)	1	\$5,000	\$5,000	\$4,500	03/22/2013	
XNAC 2007-1(HMT)	3	\$17,500	\$0	\$0	10/24/2012	Case Terminated.
XNBP 2007-1(HMT)	1	\$2,500	\$0	\$0	02/14/2013	Case Terminated.
XPAZ 2012-1(HMT)	1	\$5,000	\$5,000	\$5,000	11/19/2012	
XPGF 2001-1(RW)	1	\$5,000	\$0	\$0	05/30/2013	Case Terminated.
XPKR 2013-1(HMT)	2	\$10,000	\$10,000	\$6,000	05/30/2013	

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XPMC 2012-1(HMT)	1	\$10,000	\$10,000	\$7,800	04/22/2013	
XPMC 2012-2(HMT)	3	\$15,000	\$15,000	\$9,900	04/24/2013	
XPMC 2012-3(HMT)	1	\$5,000	\$5,000	\$3,200	04/22/2013	
XPTC 2011-1(HMT)	1	\$2,000	\$2,000	\$1,400	05/30/2013	
XROA 2012-1(HMT)	2	\$3,500	\$3,500	\$3,500	12/05/2012	
XRRT 2013-1(HSR)	1	\$1,000	\$1,000	\$1,000	08/05/2013	
XRTM 2013-1(AR)	1	\$1,000	\$1,000	\$1,000	04/18/2013	
XRWC 2008-1(RW)	1	\$2,000	\$2,000	\$1,000	04/23/2013	
XRWC 2009-1(RW)	1	\$5,000	\$5,000	\$2,500	04/23/2013	
XRWQ 2013-1(TS)	1	\$5,000	\$5,000	\$5,000	09/13/2013	
XSDR 2013-1(HMT)	1	\$5,000	\$5,000	\$3,000	03/04/2013	
XSGC 2013-1(HMT)	1	\$5,000	\$5,000	\$3,000	02/26/2013	
XSLA 2013-1(HMT)	2	\$7,000	\$7,000	\$4,000	07/09/2013	
XTWK 2012-1(RW)	1	\$5,000	\$5,000	\$5,000	11/19/2012	
XURW 2012-3(HMT)	2	\$8,000	\$8,000	\$4,000	05/31/2013	
XUSD 2010-1(HMT)	2	\$10,000	\$10,000	\$7,200	05/13/2013	
XUSD 2012-1(HMT)	1	\$5,000	\$0	\$0	05/13/2013	Case Terminated.
XUSD 2012-2(HMT)	1	\$10,000	\$10,000	\$6,500	05/13/2013	
XVAL 2013-1(HMT)	1	\$2,000	\$2,000	\$2,000	04/01/2013	
XWCR 2008-1(RW)	2	\$5,000	\$0	\$0	06/04/2013	Case Terminated.
XWGZ 2013-1(HMT)	1	\$2,500	\$2,500	\$2,500	06/18/2013	
XWNC 2008-1(HMT)	1	\$15,000	\$15,000	\$3,500	04/08/2013	
XWSV 2006-1(HMT)	1	\$2,000	\$0	\$0	05/31/2013	Case Terminated.
XWYC 2011-1(HMT)	1	\$2,000	\$0	\$0	12/19/2012	Case Terminated.
XYRC 2013-1(HMT)	1	\$5,000	\$5,000	\$5,000	06/05/2013	
YARR 2012-1(GC)	1	\$5,000	\$5,000	\$3,200	09/13/2013	
YSVR 2012-1(GC)	5	\$20,000	\$20,000	\$13,000	09/27/2013	
ZABS 2012-1(HMT)	1	\$2,500	\$2,500	\$1,750	10/02/2012	
ZACE 2012-1(HMT)	1	\$5,000	\$5,000	\$5,000	11/15/2012	
ZACE 2012-2(HMT)	1	\$2,000	\$2,000	\$2,000	12/12/2012	
ZACE 2013-1(HMT)	1	\$1,500	\$1,500	\$1,500	06/03/2013	
ZACR 2011-2(HMT)	2	\$15,000	\$15,000	\$9,500	12/12/2012	
ZACR 2012-1(HMT)	2	\$20,000	\$20,000	\$14,100	12/12/2012	
ZACR 2012-2(HMT)	1	\$10,000	\$10,000	\$7,500	12/12/2012	
ZACR 2012-3(HMT)	1	\$10,000	\$10,000	\$7,500	12/12/2012	
ZADB 2012-1(HMT)	1	\$7,500	\$7,500	\$7,500	10/30/2012	
ZADI 2013-1(HMT)	4	\$8,000	\$8,000	\$5,600	06/18/2013	
ZADQ 2012-1(HMT)	1	\$5,000	\$5,000	\$5,000	12/12/2012	
ZADR 2012-1(HMT)	2	\$4,000	\$4,000	\$2,500	12/12/2012	
ZAEN 2012-1(HMT)	4	\$12,000	\$12,000	\$12,000	10/01/2012	
ZAEN 2012-2(HMT)	3	\$6,000	\$6,000	\$6,000	02/14/2013	
ZAEN 2013-1(HMT)	5	\$25,000	\$25,000	\$25,000	03/06/2013	
ZAEN 2013-2(HMT)	1	\$5,000	\$5,000	\$5,000	03/06/2013	
ZAEN 2013-3(HMT)	1	\$5,000	\$5,000	\$5,000	03/18/2013	
ZAEN 2013-4(HMT)	1	\$2,000	\$2,000	\$2,000	06/04/2013	
ZAEN 2013-5(HMT)	1	\$5,000	\$5,000	\$5,000	07/15/2013	
ZAER 2013-1(HMT)	1	\$2,500	\$2,500	\$1,750	08/20/2013	
ZAFQ 2013-1(HMT)	1	\$5,000	\$5,000	\$3,500	09/04/2013	
ZAGA 2012-1(HMT)	1	\$2,000	\$2,000	\$1,400	10/23/2012	

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ZAGE 2013-1(HMT)	1	\$4,000	\$0	\$0	03/07/2013	Case Terminated.
ZAGF 2012-1(HMT)	1	\$10,000	\$10,000	\$7,500	10/03/2012	
ZAIA 2013-1(HMT)	1	\$5,000	\$5,000	\$3,400	08/06/2013	
ZAIL 2012-1(HMT)	1	\$2,000	\$2,000	\$2,000	11/07/2012	
ZAIN 2013-1(HMT)	1	\$5,000	\$5,000	\$5,000	03/26/2013	
ZAJE 2012-4(HMT)	1	\$10,000	\$10,000	\$7,700	10/16/2012	
ZAKQ 2013-1(HMT)	1	\$5,000	\$5,000	\$5,000	03/20/2013	
ZALN 2012-1(HMT)	4	\$20,000	\$20,000	\$14,800	10/19/2012	
ZALN 2012-2(HMT)	1	\$5,000	\$5,000	\$3,500	10/19/2012	
ZALQ 2012-1(HMT)	1	\$7,500	\$7,500	\$7,500	02/28/2013	
ZAMC 2012-1(HMT)	1	\$5,000	\$5,000	\$3,400	12/12/2012	
ZAMM 2012-1(HMT)	1	\$4,000	\$4,000	\$4,000	01/17/2013	
ZAMP 2011-1(HMT)	1	\$2,000	\$2,000	\$1,300	09/06/2013	
ZAMU 2012-1(HMT)	1	\$10,000	\$10,000	\$10,000	10/10/2012	
ZAMU 2013-1(HMT)	1	\$10,000	\$10,000	\$10,000	02/28/2013	
ZAND 2013-1(HMT)	1	\$5,000	\$5,000	\$3,400	05/17/2013	
ZANE 2013-1(HMT)	1	\$2,000	\$2,000	\$1,200	07/12/2013	
ZAOL 2011-1(HMT)	1	\$5,000	\$0	\$0	08/27/2013	Case Terminated.
ZAOW 2013-1(HMT)	1	\$10,000	\$10,000	\$6,900	07/15/2013	
ZAPC 2012-1(HMT)	1	\$2,000	\$2,000	\$2,000	11/06/2012	
ZAPC 2013-1(HMT)	1	\$2,000	\$2,000	\$2,000	04/30/2013	
ZAPL 2013-1(HMT)	1	\$2,000	\$2,000	\$1,300	09/06/2013	
ZAPV 2012-1(HMT)	1	\$10,000	\$10,000	\$5,100	04/02/2013	
ZAPX 2011-1(HMT)	1	\$5,000	\$5,000	\$3,600	01/15/2013	
ZAPX 2012-1(HMT)	1	\$5,000	\$5,000	\$2,500	01/15/2013	
ZARCH 2013-1(HMT)	3	\$6,000	\$6,000	\$4,200	09/10/2013	
ZARCI 2012-3(HMT)	1	\$5,000	\$5,000	\$3,500	01/22/2013	
ZARCI 2013-1(HMT)	1	\$5,000	\$5,000	\$3,500	05/03/2013	
ZARK 2013-1(HMT)	1	\$5,000	\$5,000	\$3,250	03/14/2013	
ZARK 2013-2(HMT)	1	\$7,500	\$7,500	\$4,725	03/14/2013	
ZARK 2013-3(HMT)	1	\$5,000	\$5,000	\$3,500	09/20/2013	
ZASY 2013-1(HMT)	1	\$10,000	\$10,000	\$7,200	08/19/2013	
ZATO 2012-2(HMT)	2	\$20,000	\$20,000	\$14,000	04/04/2013	
ZATO 2012-3(HMT)	1	\$5,000	\$5,000	\$3,200	04/04/2013	
ZATO 2012-4(HMT)	1	\$5,000	\$5,000	\$3,200	04/04/2013	
ZAUI 2013-1(HMT)	1	\$5,000	\$5,000	\$3,500	09/06/2013	
ZAUL 2011-2(HMT)	1	\$10,000	\$10,000	\$7,700	10/01/2012	
ZAUL 2012-1(HMT)	1	\$5,000	\$5,000	\$5,000	10/01/2012	
ZAWO 2012-1(HMT)	1	\$2,000	\$2,000	\$2,000	10/02/2012	
ZAXI 2010-1(HMT)	2	\$5,000	\$5,000	\$2,750	05/31/2013	
ZAXI 2012-1(HMT)	1	\$5,000	\$5,000	\$3,750	05/31/2013	
ZAXI 2013-1(HMT)	3	\$22,500	\$22,500	\$17,000	05/31/2013	
ZAXI 2013-2(HMT)	1	\$5,000	\$5,000	\$3,500	05/31/2013	
ZBAK 2011-1(HMT)	1	\$2,000	\$2,000	\$1,600	04/05/2013	
ZBAS 2012-5(HMT)	2	\$10,000	\$10,000	\$10,000	03/26/2013	
ZBAS 2013-1(HMT)	1	\$2,000	\$2,000	\$2,000	03/26/2013	
ZBAS 2013-2(HMT)	1	\$5,000	\$5,000	\$5,000	05/16/2013	
ZBAS 2013-3(HMT)	1	\$2,000	\$2,000	\$2,000	05/15/2013	
ZBAS 2013-4(HMT)	1	\$15,000	\$15,000	\$15,000	06/05/2013	

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ZBAS 2013-5(HMT)	2	\$4,000	\$4,000	\$4,000	09/25/2013	
ZBCB 2010-1(HMT)	1	\$2,000	\$2,000	\$1,600	05/03/2013	
ZBCB 2011-1(HMT)	3	\$6,000	\$6,000	\$4,800	05/03/2013	
ZBEI 2012-1(HMT)	1	\$5,000	\$5,000	\$5,000	03/04/2013	
ZBEL 2012-1(HMT)	5	\$30,000	\$30,000	\$16,000	05/07/2013	
ZBEY 2011-1(HMT)	3	\$22,500	\$22,500	\$10,000	05/21/2013	
ZBFE 2011-1(HMT)	2	\$10,000	\$5,000	\$3,500	12/06/2012	Terminated Violation(s): 2.
ZBKO 2012-1(HMT)	1	\$10,000	\$10,000	\$5,000	05/08/2013	
ZBKO 2012-2(HMT)	1	\$10,000	\$10,000	\$7,500	05/08/2013	
ZBMA 2011-8(HMT)	2	\$20,000	\$20,000	\$16,000	04/01/2013	
ZBMA 2012-1(HMT)	1	\$2,000	\$2,000	\$1,600	04/01/2013	
ZBORE 2012-1(HMT)	1	\$2,000	\$2,000	\$1,600	12/06/2012	
ZBOW 2012-1(HMT)	1	\$2,000	\$2,000	\$2,000	01/28/2013	
ZBRP 2005-1(HMT)	1	\$2,000	\$0	\$0	03/20/2013	Case Terminated.
ZBRP 2008-1(HMT)	1	\$5,000	\$5,000	\$1,600	03/20/2013	
ZBRP 2010-1(HMT)	1	\$2,000	\$2,000	\$1,600	03/20/2013	
ZBRQ 2012-1(HMT)	1	\$10,000	\$10,000	\$9,000	04/25/2013	
ZBRZ 2011-1(HMT)	4	\$10,000	\$10,000	\$1,800	04/03/2013	
ZBSF 2013-1(HMT)	2	\$4,000	\$4,000	\$4,000	05/15/2013	
ZBSF 2013-2(HMT)	1	\$2,000	\$2,000	\$2,000	05/15/2013	
ZBSF 2013-3(HMT)	3	\$6,000	\$6,000	\$6,000	05/15/2013	
ZBSN 2013-1(HMT)	9	\$37,500	\$37,500	\$30,000	06/03/2013	
ZBSW 2011-1(HMT)	1	\$2,000	\$2,000	\$1,600	03/14/2013	
ZBTA 2011-1(HMT)	2	\$6,000	\$6,000	\$4,800	04/18/2013	
ZBTN 2013-1(HMT)	1	\$2,000	\$2,000	\$1,500	09/09/2013	
ZBTS 2011-1(HMT)	1	\$2,000	\$2,000	\$1,600	04/17/2013	
ZBUK 2012-1(HMT)	1	\$2,000	\$2,000	\$2,000	11/06/2012	
ZBUT 2013-1(HMT)	1	\$10,000	\$10,000	\$4,000	04/26/2013	
ZBVD 2013-1(HMT)	1	\$7,500	\$7,500	\$7,500	09/05/2013	
ZBWS 2011-1(HMT)	2	\$9,500	\$9,500	\$6,650	05/14/2013	
ZCACT 2013-1(HMT)	1	\$2,000	\$2,000	\$2,000	05/13/2013	
ZCALC 2013-1(HMT)	1	\$5,000	\$5,000	\$5,000	05/28/2013	
ZCAX 2012-2(HMT)	3	\$15,000	\$15,000	\$15,000	03/11/2013	
ZCAX 2012-3(HMT)	2	\$14,000	\$14,000	\$14,000	03/11/2013	
ZCAX 2012-4(HMT)	1	\$2,000	\$2,000	\$2,000	03/11/2013	
ZCAX 2013-1(HMT)	1	\$5,000	\$5,000	\$5,000	05/13/2013	
ZCBM 2013-1(HMT)	1	\$1,000	\$1,000	\$1,000	05/07/2013	
ZCBP 2012-1(HMT)	1	\$2,000	\$2,000	\$2,000	10/15/2012	
ZCGL 2013-1(HMT)	1	\$5,000	\$5,000	\$3,650	05/23/2013	
ZCHEV 2011-1(HMT)	1	\$5,000	\$5,000	\$3,650	07/02/2013	
ZCHEV 2013-1(HMT)	1	\$10,000	\$10,000	\$7,300	07/02/2013	
ZCHEV 2013-2(HMT)	1	\$2,000	\$2,000	\$2,000	07/29/2013	
ZCIE 2013-1(HMT)	2	\$10,000	\$10,000	\$10,000	09/05/2013	
ZCLAR 2012-1(HMT)	2	\$9,000	\$9,000	\$9,000	02/04/2013	
ZCLU 2010-1(HMT)	1	\$5,000	\$5,000	\$3,000	05/10/2013	
ZCLU 2010-3(HMT)	1	\$10,000	\$10,000	\$7,000	05/10/2013	
ZCLU 2010-4(HMT)	1	\$5,000	\$5,000	\$3,200	05/10/2013	
ZCLU 2010-5(HMT)	2	\$4,000	\$4,000	\$3,000	05/10/2013	
ZCLU 2010-6(HMT)	1	\$10,000	\$10,000	\$7,000	05/10/2013	

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ZCLU 2011-1(HMT)	3	\$15,000	\$15,000	\$10,200	05/10/2013	
ZCLU 2011-2(HMT)	1	\$5,000	\$5,000	\$3,200	05/10/2013	
ZCLU 2011-3(HMT)	1	\$10,000	\$10,000	\$7,000	05/10/2013	
ZCLU 2013-1(HMT)	3	\$6,000	\$6,000	\$4,000	05/10/2013	
ZCLU 2013-2(HMT)	1	\$10,000	\$10,000	\$6,800	07/22/2013	
ZCLU 2013-3(HMT)	1	\$5,000	\$5,000	\$3,200	07/22/2013	
ZCMT 2012-1(HMT)	1	\$5,000	\$5,000	\$5,000	02/04/2013	
ZCNC 2012-1(HMT)	1	\$5,000	\$5,000	\$5,000	02/04/2013	
ZCNC 2013-1(HMT)	1	\$5,000	\$5,000	\$5,000	09/03/2013	
ZCPCL 2009-1(HMT)	1	\$5,000	\$5,000	\$3,600	07/12/2013	
ZCPCL 2010-2(HMT)	1	\$5,000	\$5,000	\$3,600	05/13/2013	
ZCPCL 2011-1(HMT)	1	\$2,000	\$2,000	\$1,400	05/13/2013	
ZCPCL 2011-2(HMT)	1	\$2,000	\$2,000	\$1,400	05/13/2013	
ZCSU 2013-1(HMT)	3	\$11,000	\$11,000	\$11,000	05/13/2013	
ZCSU 2013-2(HMT)	1	\$10,000	\$10,000	\$10,000	05/13/2013	
ZCXU 2013-1(HMT)	2	\$10,000	\$10,000	\$10,000	06/17/2013	
ZCYZ 2012-1(HMT)	1	\$5,000	\$5,000	\$5,000	02/14/2013	
ZDAA 2012-1(HMT)	12	\$20,500	\$20,500	\$20,500	01/07/2013	
ZDAK 2012-1(HMT)	4	\$8,000	\$8,000	\$6,000	12/17/2012	
ZDANT 2013-1(HMT)	1	\$2,000	\$2,000	\$1,300	03/20/2013	
ZDANT 2013-2(HMT)	1	\$2,000	\$2,000	\$1,100	03/20/2013	
ZDAS 2012-1(HMT)	1	\$5,000	\$5,000	\$4,000	02/20/2013	
ZDBW 2013-1(HMT)	1	\$10,000	\$10,000	\$4,500	07/18/2013	
ZDCL 2013-1(HMT)	1	\$7,500	\$7,500	\$5,000	05/08/2013	
ZDCL 2013-2(HMT)	1	\$7,500	\$7,500	\$5,000	05/08/2013	
ZDCN 2012-1(HMT)	2	\$8,000	\$8,000	\$4,000	11/19/2012	
ZDCPC 2012-1(HMT)	1	\$10,000	\$10,000	\$7,500	11/12/2012	
ZDCS 2012-1(HMT)	2	\$15,000	\$0	\$0	11/30/2012	Case Terminated.
ZDCU 2012-1(HMT)	1	\$10,000	\$10,000	\$7,500	02/20/2013	
ZDCU 2012-2(HMT)	1	\$5,000	\$5,000	\$4,000	02/20/2013	
ZDCU 2012-3(HMT)	1	\$2,000	\$2,000	\$1,500	02/20/2013	
ZDCU 2012-4(HMT)	1	\$2,000	\$2,000	\$1,500	02/20/2013	
ZDCU 2013-2(HMT)	1	\$2,000	\$0	\$0	05/14/2013	Case Terminated.
ZDF 2012-1(HMT)	1	\$2,000	\$2,000	\$1,500	12/06/2012	
ZDGA 2012-1(HMT)	1	\$10,000	\$10,000	\$7,500	01/15/2013	
ZDGC 2012-1(HMT)	1	\$2,000	\$2,000	\$1,500	02/27/2013	
ZDGC 2013-1(HMT)	1	\$10,000	\$10,000	\$7,500	06/24/2013	
ZDKE 2012-1(HMT)	1	\$2,000	\$0	\$0	11/26/2012	Case Terminated.
ZDKR 2013-1(HMT)	1	\$10,000	\$10,000	\$10,000	03/22/2013	
ZDKR 2013-2(HMT)	1	\$10,000	\$10,000	\$10,000	05/07/2013	
ZDLT 2013-1(HMT)	5	\$10,000	\$10,000	\$6,250	05/20/2013	
ZDNC 2011-1(HMT)	30	\$75,000	\$75,000	\$30,000	12/06/2012	
ZDOW 2013-1(HMT)	1	\$10,000	\$10,000	\$6,500	05/06/2013	
ZDRY 2012-1(HMT)	6	\$12,000	\$12,000	\$1,500	02/06/2013	
ZDRY 2013-1(HMT)	1	\$2,000	\$2,000	\$1,000	04/22/2013	
ZDTI 2012-1(HMT)	1	\$2,000	\$2,000	\$2,000	02/25/2013	
ZDTLP 2013-1(HMT)	1	\$2,000	\$2,000	\$2,000	03/25/2013	
ZDTR 2012-1(HMT)	1	\$5,000	\$5,000	\$5,000	01/10/2013	
ZDUP 2011-4(HMT)	4	\$16,000	\$16,000	\$12,000	12/06/2012	

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ZDUP 2012-1(HMT)	2	\$4,000	\$4,000	\$3,000	12/06/2012	
ZDWC 2012-1(HMT)	2	\$10,000	\$10,000	\$6,500	06/24/2013	
ZDYI 2012-1(HMT)	1	\$10,000	\$10,000	\$8,000	01/03/2013	
ZECB 2012-2(HMT)	1	\$10,000	\$10,000	\$10,000	10/05/2012	
ZECN 2013-1(HMT)	1	\$5,000	\$5,000	\$3,500	03/14/2013	
ZEDC 2013-1(HMT)	1	\$5,000	\$5,000	\$5,000	03/26/2013	
ZEJG 2012-1(HMT)	2	\$4,000	\$4,000	\$4,000	12/19/2012	
ZEJG 2013-1(HMT)	4	\$8,000	\$8,000	\$8,000	07/08/2013	
ZEMB 2012-1(HMT)	1	\$5,000	\$5,000	\$3,500	06/03/2013	
ZEMB 2012-2(HMT)	1	\$2,000	\$2,000	\$1,200	06/03/2013	
ZEMCC 2012-2(HMT)	1	\$5,000	\$5,000	\$2,950	10/11/2012	
ZEMCC 2012-3(HMT)	1	\$5,000	\$5,000	\$3,300	10/02/2012	
ZEMCC 2012-4(HMT)	2	\$2,000	\$2,000	\$2,000	02/01/2013	
ZEMCC 2013-1(HMT)	1	\$2,500	\$2,500	\$2,500	07/08/2013	
ZEOB 2013-1(HMT)	1	\$2,000	\$2,000	\$1,400	07/16/2013	
ZEOR 2013-1(HMT)	1	\$5,000	\$5,000	\$5,000	02/19/2013	
ZEOR 2013-2(HMT)	1	\$5,000	\$5,000	\$5,000	02/19/2013	
ZEPC 2012-2(HMT)	2	\$4,000	\$4,000	\$4,000	02/12/2013	
ZEPC 2013-1(HMT)	1	\$2,000	\$2,000	\$2,000	04/29/2013	
ZEPC 2013-2(HMT)	1	\$10,000	\$10,000	\$10,000	06/14/2013	
ZEPC 2013-3(HMT)	1	\$10,000	\$10,000	\$10,000	09/03/2013	
ZEQU 2012-2(HMT)	1	\$5,000	\$5,000	\$3,700	01/13/2013	
ZEQU 2012-3(HMT)	1	\$5,000	\$5,000	\$3,500	01/31/2013	
ZEQU 2012-4(HMT)	1	\$5,000	\$5,000	\$3,500	08/20/2013	
ZEQU 2013-1(HMT)	1	\$5,000	\$5,000	\$3,300	08/20/2013	
ZERI 2013-1(HMT)	1	\$5,000	\$5,000	\$3,600	09/26/2013	
ZERV 2013-1(HMT)	1	\$2,500	\$0	\$0	05/01/2013	Case Terminated.
ZERX 2012-1(HMT)	1	\$2,000	\$2,000	\$1,400	10/20/2012	
ZEWW 2013-1(HMT)	1	\$5,000	\$5,000	\$3,500	09/17/2013	
ZEZZ 2012-1(HMT)	1	\$2,500	\$2,500	\$2,500	03/05/2013	
ZFCL 2013-1(HMT)	1	\$5,000	\$5,000	\$5,000	09/12/2013	
ZFHR 2012-5(HMT)	3	\$15,000	\$15,000	\$15,000	03/07/2013	
ZFHR 2013-1(HMT)	1	\$5,000	\$5,000	\$5,000	04/25/2013	
ZFHR 2013-2(HMT)	1	\$2,500	\$2,500	\$2,500	07/18/2013	
ZFIE 2012-1(HMT)	1	\$5,000	\$5,000	\$3,200	11/05/2012	
ZFRQ 2007-1(HMT)	1	\$5,000	\$0	\$0	05/30/2013	Case Terminated.
ZGATX 2012-1(HMT)	1	\$7,500	\$7,500	\$6,000	04/26/2013	
ZGAV 2012-1(HMT)	1	\$5,000	\$5,000	\$4,000	05/06/2013	
ZGAV 2012-2(HMT)	1	\$7,500	\$7,500	\$6,000	05/06/2013	
ZGCC 2012-2(HMT)	1	\$7,500	\$7,500	\$7,500	02/21/2013	
ZGCL 2012-1(HMT)	1	\$7,500	\$7,500	\$6,000	04/26/2013	
ZGCL 2012-2(HMT)	1	\$7,500	\$0	\$0	04/26/2013	Case Terminated.
ZGEO 2011-1(HMT)	1	\$7,500	\$7,500	\$6,000	05/29/2013	
ZGEO 2011-2(HMT)	1	\$7,500	\$7,500	\$6,000	05/29/2013	
ZGEO 2012-1(HMT)	1	\$2,500	\$2,500	\$2,000	05/29/2013	
ZGEP A 2011-1(HMT)	1	\$7,500	\$7,500	\$5,500	05/08/2013	
ZGEP A 2013-1(HMT)	1	\$5,000	\$5,000	\$4,500	05/08/2013	
ZGEP A 2013-2(HMT)	1	\$7,500	\$7,500	\$6,000	05/29/2013	
ZGEU 2012-1(HMT)	1	\$5,000	\$5,000	\$3,700	05/27/2013	

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ZGIP 2010-1(HMT)	1	\$5,000	\$5,000	\$3,700	05/27/2013	
ZGLE 2010-1(HMT)	1	\$5,000	\$5,000	\$3,750	05/29/2013	
ZGLE 2012-1(HMT)	1	\$5,000	\$5,000	\$3,750	05/08/2013	
ZGLE 2013-1(HMT)	1	\$5,000	\$5,000	\$5,000	09/13/2013	
ZGLM 2012-1(HMT)	1	\$4,000	\$4,000	\$4,000	11/19/2012	
ZGPS 2011-1(HMT)	1	\$7,500	\$7,500	\$5,250	05/03/2013	
ZGPS 2012-1(HMT)	1	\$10,000	\$10,000	\$7,000	05/24/2013	
ZGPS 2013-1(HMT)	1	\$5,000	\$5,000	\$3,400	05/24/2013	
ZGRR 2012-1(HMT)	1	\$5,000	\$5,000	\$3,000	04/26/2013	
ZGSZ 2012-1(HMT)	1	\$5,000	\$5,000	\$5,000	02/14/2013	
ZGSZ 2012-2(HMT)	1	\$5,000	\$0	\$0	03/11/2013	Case Terminated.
ZGSZ 2013-4(HMT)	1	\$5,000	\$5,000	\$5,000	05/01/2013	
ZGSZ 2013-5(HMT)	1	\$5,000	\$5,000	\$5,000	05/01/2013	
ZGTM 2011-1(HMT)	1	\$2,500	\$2,500	\$2,000	05/08/2013	
ZGTR 2011-1(HMT)	1	\$5,000	\$5,000	\$4,000	05/29/2013	
ZHCG 2013-1(HMT)	2	\$10,000	\$10,000	\$10,000	04/04/2013	
ZHCP 2012-1(HMT)	1	\$5,000	\$5,000	\$3,800	07/11/2013	
ZHCQ 2011-1(HMT)	2	\$14,000	\$14,000	\$10,250	08/05/2013	
ZHCQ 2012-1(HMT)	5	\$26,000	\$26,000	\$20,000	08/05/2013	
ZHCQ 2012-2(HMT)	2	\$12,500	\$12,500	\$9,300	08/05/2013	
ZHCQ 2012-3(HMT)	2	\$10,000	\$10,000	\$7,500	08/05/2013	
ZHCQ 2012-4(HMT)	1	\$5,000	\$5,000	\$3,500	08/05/2013	
ZHCQ 2012-5(HMT)	1	\$10,000	\$10,000	\$8,500	08/05/2013	
ZHCQ 2012-6(HMT)	2	\$15,000	\$15,000	\$12,000	08/05/2013	
ZHCQ 2013-1(HMT)	4	\$18,500	\$18,500	\$14,000	08/05/2013	
ZHCQ 2013-2(HMT)	2	\$10,000	\$10,000	\$7,000	08/05/2013	
ZHCQ 2013-3(HMT)	1	\$2,500	\$2,500	\$1,750	08/05/2013	
ZHCQ 2013-4(HMT)	1	\$5,000	\$5,000	\$4,000	09/26/2013	
ZHET 2012-1(HMT)	1	\$5,000	\$5,000	\$3,700	05/30/2013	
ZHFO 2013-1(HMT)	2	\$15,000	\$15,000	\$11,500	08/19/2013	
ZHFR 2013-1(HMT)	1	\$2,000	\$2,000	\$2,000	07/17/2013	
ZHFR 2013-2(HMT)	2	\$4,500	\$4,500	\$4,500	09/16/2013	
ZHGL 2013-1(HMT)	1	\$5,000	\$0	\$0	04/24/2013	Case Terminated.
ZHKD 2009-3(HMT)	2	\$10,000	\$10,000	\$8,500	05/28/2013	
ZHLA 2009-1(HMT)	1	\$7,500	\$7,500	\$6,400	05/24/2013	
ZHLLC 2011-1(HMT)	2	\$10,000	\$10,000	\$8,000	09/18/2013	
ZHMI 2008-1(HMT)	1	\$3,000	\$3,000	\$2,400	03/06/2013	
ZHNI 2011-1(HMT)	1	\$10,000	\$10,000	\$9,000	06/27/2013	
ZHNI 2012-1(HMT)	1	\$5,000	\$5,000	\$5,000	11/15/2012	
ZHNI 2013-1(HMT)	5	\$10,000	\$10,000	\$10,000	09/16/2013	
ZHOI 2013-1(HMT)	1	\$5,000	\$5,000	\$5,000	09/26/2013	
ZHRM 2013-1(HMT)	1	\$5,000	\$5,000	\$5,000	04/09/2013	
ZHSL 2013-1(HMT)	2	\$10,000	\$10,000	\$10,000	04/26/2013	
ZHUD 2008-2(HMT)	1	\$2,000	\$2,000	\$2,000	03/11/2013	
ZHUNT 2012-1(HMT)	1	\$10,000	\$10,000	\$7,500	07/08/2013	
ZHUT 2012-1(HMT)	1	\$5,000	\$5,000	\$5,000	03/01/2013	
ZHVC 2012-3(HMT)	1	\$7,500	\$7,500	\$7,500	11/30/2012	
ZHWH 2009-1(HMT)	4	\$8,000	\$8,000	\$5,000	06/27/2013	
ZIBS 2012-1(HMT)	1	\$1,000	\$1,000	\$1,000	11/20/2012	

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ZIDA 2012-1(HMT)	1	\$5,000	\$5,000	\$3,000	12/27/2012	
ZIDS 2010-1(HMT)	1	\$4,000	\$4,000	\$2,000	05/08/2013	
ZIDY 2013-1(HMT)	2	\$4,000	\$4,000	\$4,000	08/26/2013	
ZIES 2012-1(HMT)	2	\$4,000	\$4,000	\$2,800	01/21/2013	
ZIGM 2013-1(HMT)	1	\$5,000	\$0	\$0	08/22/2013	Case Terminated.
ZIMO 2012-4(HMT)	1	\$10,000	\$10,000	\$10,000	12/21/2012	
ZINTT 2012-2(HMT)	3	\$15,000	\$15,000	\$12,000	11/01/2012	
ZIOD 2012-1(HMT)	1	\$5,000	\$5,000	\$3,800	02/28/2013	
ZIOL 2013-1(HMT)	1	\$2,000	\$2,000	\$1,500	09/25/2013	
ZIOL 2013-2(HMT)	1	\$2,000	\$2,000	\$1,500	09/25/2013	
ZIOW 2007-2(HMT)	11	\$55,000	\$0	\$0	05/30/2013	Case Terminated.
ZIOW 2011-1(HMT)	1	\$10,000	\$10,000	\$9,000	05/28/2013	
ZIP 2012-4(HMT)	3	\$4,000	\$4,000	\$4,000	02/08/2013	
ZIP 2013-1(HMT)	1	\$5,000	\$5,000	\$4,000	09/03/2013	
ZIPB 2013-1(HMT)	1	\$2,000	\$2,000	\$2,000	09/04/2013	
ZIRO 2012-2(HMT)	4	\$40,000	\$40,000	\$29,000	10/17/2012	
ZIRO 2012-3(HMT)	6	\$12,500	\$12,500	\$9,400	01/11/2013	
ZIRO 2012-4(HMT)	6	\$12,000	\$12,000	\$9,000	01/11/2013	
ZIRO 2013-1(HMT)	1	\$10,000	\$10,000	\$8,500	09/25/2013	
ZIRO 2013-2(HMT)	1	\$2,000	\$2,000	\$1,500	09/25/2013	
ZIRO 2013-3(HMT)	1	\$2,000	\$2,000	\$1,500	09/25/2013	
ZISRV 2012-2(HMT)	1	\$5,000	\$5,000	\$4,000	02/14/2013	
ZITT 2013-1(HMT)	2	\$12,000	\$12,000	\$9,300	03/13/2013	
ZITX 2013-1(HMT)	6	\$60,000	\$60,000	\$9,750	09/27/2013	
ZJHO 2012-1(HMT)	1	\$2,000	\$2,000	\$2,000	12/18/2012	
ZJLM 2008-1(HMT)	1	\$10,000	\$0	\$0	12/10/2012	Case Terminated.
ZJPC 2012-1(HMT)	1	\$2,000	\$2,000	\$1,300	12/21/2012	
ZJXN 2012-1(HMT)	1	\$10,000	\$10,000	\$10,000	11/19/2012	
ZKEL 2012-1(HMT)	1	\$10,000	\$10,000	\$5,000	01/18/2013	
ZKFC 2012-1(HMT)	1	\$7,500	\$7,500	\$6,000	03/15/2013	
ZKML 2013-1(HMT)	1	\$2,000	\$2,000	\$1,500	08/01/2013	
ZKML 2013-2(HMT)	1	\$2,000	\$2,000	\$1,500	08/01/2013	
ZKML 2013-3(HMT)	1	\$2,000	\$2,000	\$2,000	08/26/2013	
ZKMM 2012-1(HMT)	1	\$2,000	\$2,000	\$1,600	10/30/2012	
ZKMM 2012-2(HMT)	1	\$7,500	\$7,500	\$6,000	10/30/2012	
ZKMM 2012-3(HMT)	1	\$5,000	\$5,000	\$4,000	10/30/2012	
ZKMM 2012-4(HMT)	2	\$8,000	\$8,000	\$6,400	01/28/2013	
ZKMQ 2012-3(HMT)	1	\$2,000	\$2,000	\$1,600	10/30/2012	
ZKMQ 2012-4(HMT)	1	\$5,000	\$5,000	\$3,500	10/30/2012	
ZKMQ 2012-5(HMT)	1	\$5,000	\$5,000	\$4,000	03/01/2013	
ZKMQ 2012-6(HMT)	2	\$4,000	\$4,000	\$3,000	04/26/2013	
ZKOR 2009-1(HMT)	4	\$14,500	\$14,500	\$4,000	09/09/2013	
ZKPI 2012-1(HMT)	3	\$15,000	\$10,000	\$6,800	01/18/2013	Terminated Violation(s): 2.
ZKPI 2013-1(HMT)	1	\$5,000	\$5,000	\$3,200	03/25/2013	
ZKPI 2013-2(HMT)	1	\$7,500	\$7,500	\$5,000	07/19/2013	
ZLAN 2013-1(HMT)	2	\$4,500	\$4,500	\$4,500	05/29/2013	
ZLDE 2006-1(HMT)	2	\$20,000	\$0	\$0	04/16/2013	Case Terminated.
ZLDE 2007-1(HMT)	1	\$5,000	\$0	\$0	04/16/2013	Case Terminated.
ZLDE 2007-2(HMT)	2	\$7,000	\$0	\$0	04/16/2013	Case Terminated.

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ZLDE 2010-1(HMT)	1	\$10,000	\$10,000	\$6,700	04/16/2013	
ZLDE 2010-2(HMT)	1	\$10,000	\$10,000	\$6,300	04/16/2013	
ZLDE 2011-1(HMT)	1	\$10,000	\$10,000	\$6,700	04/16/2013	
ZLDE 2011-2(HMT)	1	\$5,000	\$5,000	\$3,300	04/16/2013	
ZLDE 2012-1(HMT)	1	\$10,000	\$10,000	\$6,300	04/16/2013	
ZLDE 2012-2(HMT)	1	\$5,000	\$5,000	\$3,250	04/16/2013	
ZLDE 2012-3(HMT)	1	\$10,000	\$10,000	\$6,500	04/16/2013	
ZLDE 2013-1(HMT)	1	\$5,000	\$5,000	\$3,250	05/30/2013	
ZLFI 2009-1(HMT)	1	\$2,000	\$2,000	\$1,300	05/13/2013	
ZLGL 2012-1(HMT)	3	\$7,500	\$7,500	\$4,800	10/22/2012	
ZLGL 2013-1(HMT)	1	\$4,000	\$4,000	\$2,750	09/04/2013	
ZLOU 2012-1(HMT)	1	\$1,500	\$1,500	\$1,500	03/01/2013	
ZLQT 2012-1(HMT)	1	\$2,000	\$2,000	\$1,350	04/03/2013	
ZLUB 2009-1(HMT)	1	\$10,000	\$10,000	\$6,500	05/28/2013	
ZLUB 2009-3(HMT)	1	\$2,000	\$2,000	\$1,300	05/28/2013	
ZLUB 2009-4(HMT)	1	\$5,000	\$5,000	\$3,250	05/28/2013	
ZLUB 2011-1(HMT)	1	\$10,000	\$10,000	\$6,700	05/28/2013	
ZLUB 2011-2(HMT)	1	\$10,000	\$10,000	\$6,700	05/28/2013	
ZLUB 2011-3(HMT)	1	\$10,000	\$10,000	\$6,700	05/28/2013	
ZLUB 2011-4(HMT)	1	\$10,000	\$10,000	\$6,700	05/28/2013	
ZLUB 2012-1(HMT)	2	\$4,000	\$4,000	\$2,700	05/28/2013	
ZLUB 2013-1(HMT)	1	\$10,000	\$10,000	\$6,700	05/28/2013	
ZLUB 2013-2(HMT)	1	\$5,000	\$5,000	\$3,250	05/28/2013	
ZMAI 2001-1(HMT)	3	\$12,000	\$0	\$0	05/31/2013	Case Terminated.
ZMCO 2007-1(HMT)	1	\$15,000	\$0	\$0	05/31/2013	Case Terminated.
ZMDI 2012-1(HMT)	1	\$2,000	\$2,000	\$1,000	03/21/2013	
ZMDX 2013-1(HMT)	1	\$2,000	\$2,000	\$1,600	03/12/2013	
ZMDX 2013-2(HMT)	3	\$10,000	\$10,000	\$8,000	06/14/2013	
ZMED 2010-1(HMT)	2	\$8,000	\$8,000	\$6,400	05/30/2013	
ZMEG 2011-1(HMT)	1	\$5,000	\$5,000	\$4,000	02/21/2013	
ZMEG 2012-1(HMT)	1	\$5,000	\$5,000	\$3,500	11/20/2012	
ZMFQ 2012-1(HMT)	2	\$4,000	\$4,000	\$4,000	03/26/2013	
ZMFQ 2013-1(HMT)	1	\$2,000	\$2,000	\$1,400	08/14/2013	
ZMIO 2008-1(HMT)	1	\$10,000	\$0	\$0	02/28/2013	Case Terminated.
ZMIO 2008-2(HMT)	1	\$1,000	\$1,000	\$650	01/25/2013	
ZMIO 2009-1(HMT)	1	\$5,000	\$5,000	\$3,450	01/11/2013	
ZMIO 2011-1(HMT)	1	\$5,000	\$5,000	\$3,450	01/11/2013	
ZMIR 2012-1(HMT)	1	\$5,000	\$5,000	\$3,500	02/26/2013	
ZMMM 2012-1(HMT)	1	\$2,000	\$2,000	\$2,000	02/12/2013	
ZMNB 2013-1(HMT)	1	\$10,000	\$10,000	\$6,500	07/01/2013	
ZMNP 2013-1(HMT)	1	\$5,000	\$5,000	\$4,000	05/31/2013	
ZMOR 2012-1(HMT)	1	\$2,000	\$2,000	\$2,000	05/20/2013	
ZMOSK 2008-1(HMT)	2	\$8,000	\$0	\$0	05/07/2013	Case Terminated.
ZMPA 2011-1(HMT)	5	\$10,000	\$10,000	\$8,500	02/27/2013	
ZMPT 2008-2(HMT)	2	\$5,000	\$5,000	\$3,000	02/27/2013	
ZMPT 2011-2(HMT)	1	\$10,000	\$10,000	\$8,500	02/27/2013	
ZMQE 2012-2(HMT)	2	\$10,000	\$10,000	\$8,000	04/29/2013	
ZMTE 2011-1(HMT)	5	\$10,000	\$10,000	\$7,000	01/25/2013	
ZMTE 2011-2(HMT)	2	\$4,000	\$4,000	\$2,800	01/25/2013	

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ZMTE 2011-3(HMT)	1	\$2,000	\$2,000	\$1,400	01/25/2013	
ZMTE 2012-1(HMT)	1	\$5,000	\$0	\$0	01/25/2013	Case Terminated.
ZMTE 2012-2(HMT)	2	\$4,000	\$4,000	\$2,800	01/25/2013	
ZMTE 2012-3(HMT)	1	\$2,000	\$2,000	\$1,200	01/25/2013	
ZMTE 2012-4(HMT)	1	\$10,000	\$10,000	\$7,500	01/25/2013	
ZMTE 2012-5(HMT)	7	\$19,000	\$19,000	\$19,000	01/07/2013	
ZMTE 2012-6(HMT)	1	\$10,000	\$10,000	\$10,000	02/11/2013	
ZMTE 2013-1(HMT)	4	\$8,000	\$8,000	\$8,000	04/01/2013	
ZMTE 2013-2(HMT)	2	\$4,000	\$4,000	\$3,000	03/21/2013	
ZMTQ 2008-1(RW)	1	\$2,000	\$0	\$0	10/10/2012	Case Terminated.
ZMU 2013-1(HMT)	1	\$2,000	\$0	\$0	07/08/2013	Case Terminated.
ZMUR 2011-1(HMT)	4	\$16,000	\$10,000	\$10,000	04/01/2013	Terminated Violation(s): 1.
ZMUSK 2012-5(HMT)	1	\$5,000	\$5,000	\$5,000	01/06/2013	
ZMUSK 2013-1(HMT)	1	\$5,000	\$5,000	\$5,000	08/12/2013	
ZMWC 2011-1(HMT)	2	\$7,000	\$7,000	\$4,600	05/14/2013	
ZMWC 2011-2(HMT)	1	\$10,000	\$10,000	\$7,000	05/14/2013	
ZMWV 2009-1(HMT)	1	\$7,500	\$0	\$0	03/13/2013	Case Terminated.
ZMWV 2011-1(TS)	1	\$5,000	\$5,000	\$3,000	04/16/2013	
ZMWV 2012-1(HMT)	1	\$10,000	\$10,000	\$8,500	05/14/2013	
ZMYT 2010-1(HMT)	1	\$5,000	\$5,000	\$2,500	05/24/2013	
ZMYT 2011-1(HMT)	1	\$7,500	\$7,500	\$3,750	05/24/2013	
ZNA 2012-1(HMT)	1	\$2,000	\$2,000	\$2,000	10/02/2012	
ZNAL 2012-1(HMT)	1	\$10,000	\$10,000	\$8,000	12/13/2012	
ZNBX 2009-1(HMT)	1	\$5,000	\$0	\$0	05/21/2013	Case Terminated.
ZNCAS 2011-1(HMT)	1	\$10,000	\$10,000	\$6,000	03/19/2013	
ZNCH 2006-1(HMT)	1	\$2,500	\$0	\$0	05/13/2013	Case Terminated.
ZNCP 2004-1(HMT)	1	\$5,000	\$0	\$0	05/21/2013	Case Terminated.
ZNCPI 2003-1(HMT)	1	\$5,000	\$0	\$0	05/21/2013	Case Terminated.
ZNCR 2007-1(HMT)	1	\$10,000	\$0	\$0	05/21/2013	Case Terminated.
ZNDM 2013-1(HMT)	1	\$2,000	\$2,000	\$2,000	05/01/2013	
ZNEW 2012-1(HMT)	1	\$5,000	\$5,000	\$4,995	12/03/2012	
ZNGL 2012-1(HMT)	1	\$2,500	\$2,500	\$2,500	01/02/2013	
ZNIP 2004-1(HMT)	2	\$17,500	\$0	\$0	05/21/2013	Case Terminated.
ZNMU 2008-1(HMT)	1	\$10,000	\$10,000	\$7,500	12/07/2012	
ZNMU 2009-1(HMT)	1	\$10,000	\$10,000	\$7,500	12/07/2012	
ZNOS 2013-1(HMT)	1	\$5,000	\$5,000	\$5,000	03/19/2013	
ZNOV 2009-1(HMT)	1	\$10,000	\$0	\$0	05/21/2013	Case Terminated.
ZNOV 2012-2(HMT)	3	\$5,000	\$5,000	\$5,000	10/17/2012	
ZNOVI 2004-1(HMT)	1	\$15,000	\$0	\$0	05/13/2013	Case Terminated.
ZNOVI 2004-2(HMT)	2	\$4,000	\$0	\$0	05/13/2013	Case Terminated.
ZNOVI 2004-3(HMT)	1	\$5,000	\$0	\$0	05/13/2013	Case Terminated.
ZNRC 2004-1(HMT)	1	\$10,000	\$0	\$0	05/13/2013	Case Terminated.
ZNRC 2005-1(HMT)	1	\$5,000	\$0	\$0	05/13/2013	Case Terminated.
ZNRC 2006-1(HMT)	2	\$10,000	\$0	\$0	05/13/2013	Case Terminated.
ZNRCI 2006-1(HMT)	1	\$7,500	\$0	\$0	05/21/2013	Case Terminated.
ZNRCI 2006-2(HMT)	1	\$7,500	\$0	\$0	05/21/2013	Case Terminated.
ZNSI 2004-1(HMT)	2	\$3,000	\$0	\$0	05/13/2013	Case Terminated.
ZNSI 2005-1(HMT)	2	\$7,000	\$0	\$0	05/13/2013	Case Terminated.
ZNSL 2003-1(HMT)	2	\$5,000	\$0	\$0	05/13/2013	Case Terminated.

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ZNSQ 2006-1(HMT)	3	\$3,000	\$0	\$0	05/21/2013	Case Terminated.
ZNTR 2005-1(HMT)	2	\$7,000	\$0	\$0	05/13/2013	Case Terminated.
ZNTR 2006-1(HMT)	1	\$5,000	\$0	\$0	05/21/2013	Case Terminated.
ZNUS 2012-1(HMT)	1	\$10,000	\$10,000	\$6,800	11/15/2012	
ZNUS 2013-1(HMT)	1	\$2,500	\$2,500	\$2,500	05/28/2013	
ZNUS 2013-2(HMT)	1	\$2,000	\$2,000	\$2,000	09/30/2013	
ZNXE 2012-1(HMT)	1	\$5,000	\$5,000	\$3,850	05/01/2013	
ZNXE 2012-2(HMT)	2	\$5,000	\$5,000	\$3,900	05/01/2013	
ZNYT 2007-1(HMT)	2	\$6,000	\$0	\$0	05/21/2013	Case Terminated.
ZNYT 2012-2(HMT)	2	\$4,000	\$4,000	\$4,000	10/22/2012	
ZNYT 2013-1(HMT)	2	\$8,000	\$8,000	\$8,000	04/29/2013	
ZNYT 2013-2(HMT)	1	\$5,000	\$5,000	\$5,000	04/29/2013	
ZOCC 2009-6(HMT)	1	\$10,000	\$10,000	\$5,800	01/28/2013	
ZOCC 2012-3(HMT)	1	\$5,000	\$5,000	\$3,100	01/28/2013	
ZOCC 2012-4(HMT)	1	\$5,000	\$5,000	\$3,100	01/28/2013	
ZOCC 2012-5(HMT)	1	\$4,000	\$4,000	\$3,000	01/28/2013	
ZOCC 2012-6(HMT)	1	\$5,000	\$5,000	\$3,100	01/28/2013	
ZOCC 2013-1(HMT)	1	\$5,000	\$5,000	\$3,100	07/26/2013	
ZOCC 2013-2(HMT)	3	\$30,000	\$30,000	\$20,400	07/26/2013	
ZOCC 2013-3(HMT)	1	\$5,000	\$0	\$0	03/20/2013	Case Terminated.
ZOCC 2013-4(HMT)	1	\$5,000	\$5,000	\$3,100	08/26/2013	
ZOCC 2013-5(HMT)	1	\$1,000	\$1,000	\$675	08/26/2013	
ZOEE 2012-1(HMT)	2	\$10,000	\$10,000	\$8,000	12/28/2012	
ZOEE 2013-1(HMT)	5	\$30,000	\$30,000	\$23,600	04/15/2013	
ZOEE 2013-2(HMT)	1	\$5,000	\$5,000	\$4,000	05/23/2013	
ZOLI 2013-1(HMT)	1	\$5,000	\$5,000	\$4,000	04/02/2013	
ZOLI 2013-2(HMT)	1	\$5,000	\$5,000	\$4,500	04/29/2013	
ZOME 2013-1(HMT)	1	\$1,000	\$1,000	\$1,000	03/20/2013	
ZORI 2013-1(HMT)	2	\$4,000	\$4,000	\$4,000	05/02/2013	
ZORM 2013-1(HMT)	1	\$5,000	\$5,000	\$3,300	08/29/2013	
ZORR 2011-1(HMT)	1	\$5,000	\$5,000	\$2,750	05/28/2013	
ZOTER 2013-1(HMT)	1	\$2,000	\$2,000	\$2,000	05/14/2013	
ZOTT 2012-5(HMT)	1	\$5,000	\$5,000	\$3,400	12/04/2012	
ZOTT 2013-1(HMT)	1	\$5,000	\$5,000	\$3,000	02/14/2013	
ZOWC 2012-1(HMT)	1	\$4,000	\$4,000	\$3,200	01/24/2013	
ZOWP 2013-1(RW)	1	\$2,000	\$2,000	\$1,600	05/29/2013	
ZOXV 2013-1(HMT)	1	\$5,000	\$5,000	\$3,500	08/26/2013	
ZPBB 2013-1(HMT)	3	\$15,000	\$15,000	\$11,300	06/03/2013	
ZPBH 2008-3(HMT)	1	\$5,000	\$5,000	\$3,700	05/14/2013	
ZPBH 2011-1(HMT)	1	\$10,000	\$10,000	\$8,000	05/14/2013	
ZPBH 2011-2(HMT)	1	\$5,000	\$5,000	\$3,900	05/14/2013	
ZPBH 2011-4(HMT)	1	\$10,000	\$10,000	\$8,000	05/14/2013	
ZPBH 2012-1(HMT)	1	\$2,500	\$2,500	\$1,900	05/14/2013	
ZPBH 2012-2(HMT)	1	\$10,000	\$10,000	\$7,500	05/31/2013	
ZPBH 2012-3(HMT)	1	\$10,000	\$10,000	\$7,000	05/31/2013	
ZPBH 2012-4(HMT)	1	\$5,000	\$5,000	\$3,500	05/31/2013	
ZPBQ 2008-1(HMT)	4	\$25,000	\$0	\$0	05/12/2013	Case Terminated.
ZPBQ 2008-5(HMT)	2	\$10,000	\$10,000	\$7,400	05/12/2013	
ZPBQ 2008-8(HMT)	1	\$5,000	\$5,000	\$3,700	05/12/2013	

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ZPBQ 2008-9(HMT)	1	\$5,000	\$5,000	\$3,700	05/12/2013	
ZPBQ 2009-1(HMT)	4	\$20,000	\$20,000	\$15,000	05/12/2013	
ZPBQ 2011-1(HMT)	2	\$15,000	\$15,000	\$12,000	05/12/2013	
ZPBQ 2011-2(HMT)	1	\$10,000	\$10,000	\$7,500	05/12/2013	
ZPCSS 2010-1(HMT)	1	\$7,500	\$7,500	\$5,600	05/24/2013	
ZPCSS 2010-2(HMT)	1	\$5,000	\$5,000	\$3,500	05/24/2013	
ZPCSS 2011-1(HMT)	1	\$5,000	\$5,000	\$3,700	05/24/2013	
ZPEK 2012-1(HMT)	1	\$5,000	\$5,000	\$5,000	10/23/2012	
ZPEK 2012-2(HMT)	1	\$5,000	\$5,000	\$5,000	02/25/2013	
ZPEL 2013-1(HMT)	1	\$10,000	\$10,000	\$10,000	04/21/2013	
ZPEL 2013-2(HMT)	1	\$5,000	\$5,000	\$5,000	04/21/2013	
ZPFA 2010-2(HMT)	4	\$17,000	\$0	\$0	05/13/2013	Case Terminated.
ZPFP 2011-1(HMT)	1	\$10,000	\$10,000	\$7,800	05/28/2013	
ZPFP 2012-1(HMT)	2	\$17,500	\$17,500	\$13,400	05/28/2013	
ZPFP 2012-2(HMT)	1	\$10,000	\$10,000	\$7,800	05/28/2013	
ZPFP 2012-3(HMT)	1	\$10,000	\$10,000	\$7,800	05/28/2013	
ZPFP 2013-1(HMT)	1	\$7,500	\$7,500	\$7,500	06/04/2013	
ZPFW 2010-1(HMT)	1	\$7,500	\$7,500	\$5,500	05/29/2013	
ZPG 2013-1(HMT)	2	\$10,000	\$10,000	\$10,000	05/01/2013	
ZPGI 2012-1(HMT)	2	\$10,000	\$10,000	\$7,800	05/17/2013	
ZPGI 2013-1(HMT)	1	\$2,500	\$2,500	\$2,500	05/03/2013	
ZPHO 2010-1(HMT)	1	\$10,000	\$10,000	\$7,800	05/24/2013	
ZPHP 2013-1(HMT)	3	\$15,000	\$15,000	\$10,000	05/31/2013	
ZPLP 2011-1(HMT)	1	\$2,000	\$2,000	\$2,000	05/14/2013	
ZPLP 2013-1(HMT)	1	\$5,000	\$5,000	\$5,000	05/14/2013	
ZPLS 2008-1(HMT)	1	\$5,000	\$0	\$0	05/31/2013	Case Terminated.
ZPLS 2009-1(HMT)	1	\$2,500	\$2,500	\$1,750	05/31/2013	
ZPMS 2012-1(HMT)	1	\$5,000	\$5,000	\$3,500	05/30/2013	
ZPND 2012-1(HMT)	2	\$6,000	\$6,000	\$6,000	11/28/2012	
ZPNF 2010-1(HMT)	1	\$5,000	\$5,000	\$3,500	05/24/2013	
ZPNF 2010-2(HMT)	1	\$10,000	\$10,000	\$7,800	05/24/2013	
ZPNF 2010-3(HMT)	1	\$10,000	\$10,000	\$7,800	05/24/2013	
ZPOW 2012-1(HMT)	1	\$10,000	\$10,000	\$7,500	05/28/2013	
ZPPG 2010-1(HMT)	2	\$5,000	\$0	\$0	05/15/2013	Case Terminated.
ZPPG 2012-2(HMT)	1	\$5,000	\$0	\$0	05/15/2013	Case Terminated.
ZPTE 2011-1(HMT)	1	\$5,000	\$5,000	\$5,000	05/21/2013	
ZPXC 2012-1(HMT)	1	\$5,000	\$5,000	\$2,900	05/31/2013	
ZPXR 2013-1(HMT)	1	\$5,000	\$5,000	\$3,500	04/24/2013	
ZQCP 2008-1(HMT)	1	\$2,000	\$0	\$0	04/05/2013	Case Terminated.
ZRBW 2013-1(HMT)	1	\$2,000	\$2,000	\$2,000	07/29/2013	
ZRCA 2012-2(HMT)	5	\$19,000	\$19,000	\$19,000	10/22/2012	
ZRCQ 2011-3(HMT)	1	\$10,000	\$10,000	\$10,000	04/26/2013	
ZRCQ 2013-1(HMT)	1	\$5,000	\$5,000	\$4,500	04/26/2013	
ZRCQ 2013-2(HMT)	1	\$10,000	\$10,000	\$10,000	09/05/2013	
ZRCQ 2013-3(HMT)	1	\$5,000	\$5,000	\$5,000	09/05/2013	
ZRDI 2012-1(HMT)	6	\$30,000	\$30,000	\$30,000	10/01/2012	
ZREM 2013-1(HMT)	1	\$2,000	\$2,000	\$2,000	08/19/2013	
ZRHQ 2013-1(HMT)	1	\$2,000	\$2,000	\$2,000	04/29/2013	
ZRKT 2013-1(HMT)	1	\$15,000	\$15,000	\$11,250	09/05/2013	

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ZRLC 2012-1(HMT)	1	\$999	\$999	\$999	11/09/2012	
ZRLO 2013-1(HMT)	1	\$5,000	\$5,000	\$5,000	09/09/2013	
ZRMZ 2010-1(HMT)	1	\$5,000	\$5,000	\$5,000	02/26/2013	
ZRNS 2013-1(HMT)	1	\$2,000	\$2,000	\$2,000	07/23/2013	
ZRSH 2012-1(HMT)	1	\$10,000	\$10,000	\$6,000	09/18/2013	
ZRSH 2012-2(HMT)	1	\$2,000	\$2,000	\$1,400	09/18/2013	
ZRTN 2012-1(HMT)	3	\$6,000	\$6,000	\$6,000	02/15/2013	
ZSAB 2012-1(HMT)	1	\$2,000	\$2,000	\$1,200	12/04/2012	
ZSCC 2010-10(HMT)	3	\$25,000	\$25,000	\$17,500	09/10/2013	
ZSCC 2012-2(HMT)	3	\$15,000	\$15,000	\$15,000	11/21/2012	
ZSCC 2012-3(HMT)	1	\$10,000	\$0	\$0	12/04/2012	Case Terminated.
ZSCC 2013-1(HMT)	2	\$15,000	\$15,000	\$12,000	04/15/2013	
ZSCC 2013-2(HMT)	2	\$12,500	\$12,500	\$8,750	05/16/2013	
ZSCC 2013-3(HMT)	1	\$5,000	\$5,000	\$5,000	09/16/2013	
ZSCC 2013-4(HMT)	1	\$5,000	\$5,000	\$5,000	09/26/2013	
ZSCPI 2008-1(HMT)	2	\$10,000	\$0	\$0	02/25/2013	Case Terminated.
ZSDI 2012-1(HMT)	1	\$5,000	\$5,000	\$2,500	10/17/2012	
ZSDI 2012-2(HMT)	1	\$5,000	\$5,000	\$2,500	10/17/2012	
ZSEU 2011-4(HMT)	6	\$32,000	\$32,000	\$22,900	06/17/2013	
ZSFI 2009-1(HMT)	1	\$5,000	\$5,000	\$2,500	10/16/2012	
ZSGQ 2013-1(HMT)	2	\$4,000	\$4,000	\$2,000	02/21/2013	
ZSHI 2012-1(HMT)	1	\$2,000	\$2,000	\$2,000	10/11/2012	
ZSHI 2013-1(HMT)	1	\$2,000	\$0	\$0	04/16/2013	Case Terminated.
ZSHL 2012-2(HMT)	11	\$27,500	\$27,500	\$27,500	10/24/2012	
ZSHL 2012-3(HMT)	2	\$10,000	\$10,000	\$10,000	02/04/2013	
ZSI 2012-1(HMT)	1	\$10,000	\$10,000	\$10,000	10/11/2012	
ZSIMP 2008-1(HMT)	1	\$5,000	\$0	\$0	02/25/2013	Case Terminated.
ZSLG 2013-1(HMT)	1	\$2,000	\$2,000	\$2,000	05/01/2013	
ZSLI 2008-1(HMT)	1	\$7,500	\$0	\$0	02/25/2013	Case Terminated.
ZSLQ 2012-2(HMT)	1	\$5,000	\$5,000	\$3,000	11/05/2012	
ZSLQ 2012-3(HMT)	1	\$2,500	\$2,500	\$1,900	02/01/2013	
ZSMS 2013-1(HMT)	1	\$8,000	\$8,000	\$5,600	08/10/2013	
ZSNWO 2008-1(HMT)	1	\$5,000	\$0	\$0	03/26/2013	Case Terminated.
ZSOLI 2009-1(HMT)	1	\$2,000	\$2,000	\$1,500	03/26/2013	
ZSOLI 2012-1(HMT)	1	\$2,000	\$2,000	\$1,250	03/26/2013	
ZSOT 2008-1(HMT)	1	\$7,500	\$0	\$0	10/15/2012	Case Terminated.
ZSPH 2013-1(HMT)	2	\$4,000	\$4,000	\$2,000	03/04/2013	
ZSRM 2013-1(HMT)	1	\$5,000	\$5,000	\$2,500	02/20/2013	
ZSSCO 2012-1(HMT)	1	\$10,000	\$10,000	\$7,000	10/16/2012	
ZSSCO 2012-2(HMT)	1	\$10,000	\$10,000	\$7,000	10/16/2012	
ZSSCO 2012-3(HMT)	1	\$5,000	\$5,000	\$3,400	10/16/2012	
ZSSCO 2012-4(HMT)	1	\$10,000	\$0	\$0	06/07/2013	Case Terminated.
ZSSCO 2013-2(HMT)	1	\$10,000	\$10,000	\$6,000	08/19/2013	
ZSSCO 2013-3(HMT)	1	\$2,000	\$2,000	\$2,000	08/10/2013	
ZSSCO 2013-4(HMT)	6	\$30,000	\$30,000	\$17,500	08/23/2013	
ZSSN 2008-1(HMT)	1	\$2,000	\$0	\$0	02/27/2013	Case Terminated.
ZSSP 2013-1(HMT)	1	\$5,000	\$5,000	\$3,000	05/07/2013	
ZSTE 2009-1(HMT)	1	\$2,000	\$2,000	\$800	06/07/2013	
ZSTE 2013-1(HMT)	1	\$5,000	\$5,000	\$2,650	04/26/2013	

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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>
ZSTQ 2013-1(HMT)	1	\$2,000	\$2,000	\$1,100	05/16/2013	
ZSTQ 2013-2(HMT)	1	\$5,000	\$5,000	\$3,300	08/29/2013	
ZSUB 2013-1(HMT)	1	\$2,000	\$2,000	\$1,400	03/21/2013	
ZSUI 2013-1(HMT)	1	\$5,000	\$5,000	\$2,500	03/19/2013	
ZSVM 2008-1(HMT)	5	\$10,000	\$0	\$0	02/27/2013	Case Terminated.
ZSXT 2008-1(HMT)	1	\$10,000	\$0	\$0	02/25/2013	Case Terminated.
ZTAM 2012-2(HMT)	1	\$1,000	\$1,000	\$1,000	10/23/2012	
ZTCQ 2013-1(HMT)	1	\$2,000	\$2,000	\$2,000	09/03/2013	
ZTCZ 2012-1(HMT)	1	\$2,000	\$2,000	\$1,300	09/26/2013	
ZTDL 2013-1(HMT)	1	\$7,500	\$7,500	\$7,500	09/12/2013	
ZTEY 2012-1(HMT)	1	\$2,000	\$2,000	\$2,000	12/17/2012	
ZTGT 2012-1(HMT)	1	\$2,000	\$2,000	\$1,300	01/31/2013	
ZTHS 2012-1(HMT)	1	\$1,000	\$0	\$0	01/28/2013	Case Terminated.
ZTIT 2012-1(HMT)	1	\$1,500	\$1,500	\$1,500	11/19/2012	
ZTLY 2012-1(HMT)	1	\$2,000	\$2,000	\$2,000	09/13/2013	
ZTQT 2012-3(HMT)	1	\$5,000	\$5,000	\$5,000	09/13/2013	
ZTQT 2012-4(HMT)	1	\$2,000	\$2,000	\$2,000	09/13/2013	
ZTQT 2013-2(HMT)	1	\$5,000	\$5,000	\$5,000	09/13/2013	
ZTRG 2012-1(HMT)	1	\$5,000	\$5,000	\$5,000	12/03/2012	
ZTRN 2012-1(HMT)	1	\$10,000	\$10,000	\$10,000	10/31/2012	
ZTSS 2013-1(HMT)	1	\$5,000	\$5,000	\$5,000	09/23/2013	
ZTTS 2012-1(HMT)	1	\$2,000	\$2,000	\$1,350	11/01/2012	
ZTTS 2012-2(HMT)	1	\$2,000	\$2,000	\$1,350	11/01/2012	
ZUBE 2008-1(HMT)	1	\$10,000	\$0	\$0	03/05/2013	Case Terminated.
ZUBE 2008-2(HMT)	1	\$5,000	\$0	\$0	03/05/2013	Case Terminated.
ZUBI 2006-1(HMT)	1	\$10,000	\$0	\$0	05/31/2013	Case Terminated.
ZUBI 2006-2(HMT)	1	\$10,000	\$0	\$0	05/31/2013	Case Terminated.
ZUDG 2006-1(HMT)	10	\$22,000	\$6,000	\$1,100	11/08/2012	Terminated Violation(s): 1, 2, 4, 5, 7, 8, 9, 10.
ZUDG 2007-1(HMT)	1	\$5,000	\$5,000	\$2,500	10/10/2012	
ZUDG 2008-1(HMT)	6	\$12,000	\$12,000	\$6,000	10/10/2012	
ZUED 2009-1(HMT)	4	\$8,000	\$2,000	\$250	04/05/2013	Terminated Violation(s): 2, 3, 4.
ZUHP 2009-1(HMT)	1	\$2,000	\$2,000	\$1,600	05/16/2013	
ZULM 2005-2(HMT)	1	\$5,000	\$0	\$0	11/09/2012	Case Terminated.
ZULM 2007-1(HMT)	1	\$5,000	\$0	\$0	11/09/2012	Case Terminated.
ZULM 2011-1(HMT)	1	\$5,000	\$5,000	\$5,000	10/12/2012	
ZULM 2011-2(HMT)	2	\$20,000	\$20,000	\$20,000	10/12/2012	
ZUNIV 2013-1(HMT)	1	\$2,000	\$2,000	\$1,300	05/10/2013	
ZUNIV 2013-2(HMT)	1	\$10,000	\$10,000	\$7,500	05/10/2013	
ZUNR 2008-1(HMT)	3	\$6,000	\$6,000	\$1,000	02/13/2013	
ZUNT 2008-2(HMT)	2	\$10,000	\$0	\$0	05/31/2013	Case Terminated.
ZUPS 2006-1(HMT)	1	\$15,000	\$0	\$0	06/05/2013	Case Terminated.
ZUPS 2008-1(HMT)	2	\$5,000	\$5,000	\$666	06/05/2013	
ZUPS 2008-2(HMT)	1	\$2,500	\$2,500	\$334	06/05/2013	
ZUPS 2010-1(HMT)	1	\$7,500	\$7,500	\$1,000	06/05/2013	
ZURC 2008-1(HMT)	1	\$2,000	\$2,000	\$600	05/01/2013	
ZURC 2008-2(HMT)	1	\$10,000	\$10,000	\$3,000	05/01/2013	
ZURC 2011-1(HMT)	2	\$6,000	\$6,000	\$4,500	05/01/2013	
ZURC 2012-1(HMT)	3	\$15,000	\$15,000	\$11,250	05/01/2013	

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ZUSEP 2009-1(HMT)	2	\$10,000	\$10,000	\$10,000	05/23/2013	
ZUSEP 2010-2(HMT)	1	\$10,000	\$10,000	\$10,000	05/23/2013	
ZUSF 2005-1(HMT)	3	\$6,000	\$0	\$0	05/31/2013	Case Terminated.
ZUSG 2007-1(HMT)	1	\$2,000	\$0	\$0	05/31/2013	Case Terminated.
ZUSNQ 2004-1(HMT)	1	\$7,500	\$0	\$0	05/31/2013	Case Terminated.
ZUSNQ 2006-1(HMT)	2	\$20,000	\$0	\$0	05/31/2013	Case Terminated.
ZUST 2010-1(HMT)	3	\$20,000	\$20,000	\$12,500	06/28/2013	
ZUTC 2009-1(HMT)	3	\$7,500	\$2,500	\$1,000	05/08/2013	Terminated Violation(s): 1, 2.
ZUTC 2010-1(HMT)	1	\$10,000	\$0	\$0	05/08/2013	Case Terminated.
ZUTC 2010-2(HMT)	1	\$7,500	\$7,500	\$2,500	05/08/2013	
ZUTC 2011-1(HMT)	2	\$15,000	\$15,000	\$7,500	10/12/2012	
ZUTC 2012-4(HMT)	5	\$32,500	\$22,500	\$11,450	05/08/2013	Terminated Violation(s): 4.
ZUTC 2012-5(HMT)	13	\$32,500	\$32,500	\$16,750	05/08/2013	
ZUTC 2012-6(HMT)	1	\$2,500	\$2,500	\$250	05/08/2013	
ZVES 2007-1(HMT)	1	\$7,500	\$7,500	\$6,000	05/10/2013	
ZVES 2008-1(HMT)	1	\$10,000	\$10,000	\$3,500	05/10/2013	
ZVES 2008-2(HMT)	1	\$10,000	\$10,000	\$7,500	05/10/2013	
ZVES 2009-1(HMT)	1	\$2,000	\$2,000	\$1,500	05/10/2013	
ZVES 2011-1(HMT)	1	\$5,000	\$5,000	\$3,500	05/10/2013	
ZVES 2013-1(HMT)	1	\$2,000	\$2,000	\$1,500	05/10/2013	
ZVES 2013-2(HMT)	2	\$4,000	\$4,000	\$3,000	05/10/2013	
ZVIT 2013-1(HMT)	1	\$1,500	\$1,500	\$1,500	06/05/2013	
ZVLC 2003-1(HMT)	4	\$11,000	\$0	\$0	11/08/2012	Case Terminated.
ZVPA 2011-1(HMT)	2	\$11,500	\$11,500	\$11,500	04/01/2013	
ZVPA 2012-1(HMT)	1	\$10,000	\$10,000	\$10,000	11/20/2012	
ZVPR 2012-1(HMT)	1	\$5,000	\$5,000	\$5,000	03/28/2013	
ZVTC 2006-1(HMT)	11	\$22,000	\$0	\$0	11/08/2012	Case Terminated.
ZVTC 2007-1(HMT)	1	\$5,000	\$0	\$0	11/08/2012	Case Terminated.
ZVTC 2008-1(HMT)	1	\$2,000	\$2,000	\$1,000	11/08/2012	
ZVTC 2010-1(HMT)	1	\$2,000	\$2,000	\$1,000	11/08/2012	
ZVTZ 2013-1(HMT)	6	\$12,000	\$12,000	\$12,000	02/13/2013	
ZWAL 2012-1(HMT)	1	\$2,500	\$2,500	\$1,750	02/26/2013	
ZWATC 2010-1(HMT)	2	\$20,000	\$20,000	\$11,500	01/08/2013	
ZWATC 2011-1(HMT)	4	\$32,500	\$32,500	\$18,300	01/08/2013	
ZWATC 2012-1(HMT)	1	\$7,500	\$7,500	\$5,200	09/27/2013	
ZWATC 2013-1(HMT)	1	\$10,000	\$10,000	\$6,000	09/27/2013	
ZWAY 2012-1(HMT)	1	\$5,000	\$5,000	\$2,600	06/05/2013	
ZWBM 2005-1(HMT)	1	\$2,000	\$0	\$0	05/31/2013	Case Terminated.
ZWCM 2011-1(HMT)	2	\$4,000	\$4,000	\$2,500	12/05/2012	
ZWDB 2013-1(HMT)	1	\$2,000	\$2,000	\$1,000	08/30/2013	
ZWER 2006-1(HMT)	1	\$5,000	\$0	\$0	05/31/2013	Case Terminated.
ZWER 2006-2(HMT)	1	\$6,000	\$0	\$0	05/31/2013	Case Terminated.
ZWER 2013-1(HMT)	1	\$2,000	\$2,000	\$1,500	08/02/2013	
ZWERZ 2006-1(HMT)	1	\$5,000	\$0	\$0	06/05/2013	Case Terminated.
ZWEY 2008-2(HMT)	1	\$5,000	\$5,000	\$2,000	07/16/2013	
ZWHE 2009-1(HMT)	1	\$10,000	\$10,000	\$10,000	05/30/2013	
ZWHE 2011-2(HMT)	1	\$5,000	\$5,000	\$5,000	06/04/2013	
ZWIL 2012-1(HMT)	1	\$1,500	\$1,500	\$1,500	01/30/2013	
ZWLC 2009-1(HMT)	1	\$2,000	\$0	\$0	02/19/2013	Case Terminated.

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ZWLC 2009-2(HMT)	1	\$2,000	\$0	\$0	02/19/2013	Case Terminated.
ZWLC 2009-3(HMT)	1	\$10,000	\$10,000	\$7,500	02/19/2013	
ZWLC 2013-1(HMT)	1	\$2,000	\$2,000	\$2,000	02/28/2013	
ZWLT 2008-1(HMT)	1	\$5,000	\$2,000	\$2,000	07/13/2013	
ZWMS 2012-1(HMT)	2	\$15,000	\$15,000	\$8,250	10/12/2012	
ZWNV 2011-1(HMT)	1	\$4,000	\$4,000	\$4,000	04/18/2013	
ZWPCO 2010-1(HMT)	1	\$2,000	\$2,000	\$1,000	12/12/2012	
ZWPCO 2012-1(HMT)	12	\$60,000	\$60,000	\$34,400	12/12/2012	
ZWPCO 2013-1(HMT)	1	\$10,000	\$10,000	\$5,900	08/13/2013	
ZWPE 2005-1(HMT)	1	\$2,000	\$0	\$0	11/16/2012	Case Terminated.
ZWPE 2007-1(HMT)	1	\$10,000	\$10,000	\$5,500	11/16/2012	
ZWPE 2012-1(HMT)	1	\$10,000	\$0	\$0	11/16/2012	Case Terminated.
ZWPO 2008-2(HMT)	4	\$8,000	\$8,000	\$3,000	05/13/2013	
ZWPQ 2008-1(HMT)	11	\$16,500	\$3,000	\$1,000	04/29/2013	Terminated Violation(s): 1 - 9.
ZWRB 2010-1(HMT)	2	\$5,000	\$5,000	\$3,500	02/21/2013	
ZWRB 2011-1(HMT)	1	\$5,000	\$0	\$0	02/21/2013	Case Terminated.
ZWRB 2012-1(HMT)	2	\$12,500	\$12,500	\$10,500	02/21/2013	
ZWRB 2013-1(HMT)	1	\$5,000	\$5,000	\$4,000	06/03/2013	
ZWRC 2012-1(HMT)	1	\$7,500	\$7,500	\$7,500	11/27/2012	
ZWRE 2008-1(HMT)	2	\$15,500	\$15,500	\$3,850	06/05/2013	
ZWRE 2008-2(HMT)	2	\$16,000	\$16,000	\$4,000	06/05/2013	
ZWRE 2008-3(HMT)	2	\$20,000	\$20,000	\$12,150	06/05/2013	
ZWRG 2012-2(HMT)	1	\$2,000	\$2,000	\$1,500	12/21/2012	
ZWST 2008-1(HMT)	1	\$10,000	\$10,000	\$5,000	11/05/2012	
ZWST 2009-1(HMT)	1	\$5,000	\$5,000	\$2,500	11/05/2012	
ZWST 2013-1(HMT)	1	\$10,000	\$10,000	\$10,000	07/12/2013	
ZWST 2013-2(HMT)	1	\$10,000	\$10,000	\$10,000	08/28/2013	
ZWTP 2006-1(HMT)	4	\$20,000	\$0	\$0	05/31/2013	Case Terminated.
ZWTP 2007-1(HMT)	1	\$5,000	\$0	\$0	05/31/2013	Case Terminated.
ZWTP 2007-2(HMT)	3	\$19,500	\$0	\$0	05/31/2013	Case Terminated.
ZWTP 2007-3(HMT)	1	\$5,000	\$0	\$0	05/31/2013	Case Terminated.
ZWTS 2011-1(HMT)	1	\$10,000	\$0	\$0	09/27/2013	Case Terminated.
Total	6,124	\$22,382,999	\$20,332,999	\$13,919,119		

Respondent

<u>Codes</u>	<u>Respondent Names</u>
AA	ANN ARBOR RAILROAD
ABS	Alabama Southern Railroad
AERC	ALBANY AND EASTERN RAILROAD COMPANY
AGR	Alabama & Gulf Coast Railway LLC.
ALS	The Alton and Southern Railway Company
AM	ARKANSAS AND MISSOURI RAILROAD COMPANY
AO	Appalachian & Ohio Railroad, Inc.
AOK	ARKANSAS-OKLAHOMA RAILROAD COMPANY
ARR	ALASKA RAILROAD CORPORATION
ATK	National Railroad Passenger Corporation
AUT	Autauga Northern Railroad LLC
AVR	ALLEGHENY VALLEY RAILROAD CO.
AWRR	AUSTIN WESTERN RAILROAD
BAYL	BAY LINE RAILROAD
BB	BUCKINGHAM BRANCH RAILROAD COMPANY
BDRV	BELVIDERE & DELAWARE RIVER RAILWAY
BHWY	BOOTHILL & WESTERN RAILWAY COMPANY
BLR	Blacklands Railroad
BM	BOSTON AND MAINE CORPORATION
BNSF	BNSF RAILWAY COMPANY
BPRR	BUFFALO & PITTSBURGH RAILROAD, INC.
BRC	THE BELT RAILWAY COMPANY OF CHICAGO
BRS	BATON ROUGE SOUTHERN RAILROAD
CAGY	Columbus & Greenville Railway
CC	CHICAGO, CENTRAL & PACIFIC RAILROAD COMPANY
CCPN	Corpus Christi Terminal Railroad
CCRR	Claremont Concord Railroad Corporation
CEOH	Conecuh Valley Railway
CFNR	CALIFORNIA NORTHERN RAILROAD CO.
CFRC	CENTRAL FLORIDA RAIL CORRIDOR
CGIV	CARGILL INCORPORATED GOSCNA
CHAT	Chattahoochee Bay Railway
CIC	Cedar Rapids and Iowa City Railway Company
CIND	THE CENTRAL RAILROAD COMPANY OF INDIANA
CN	Canadian National Railway Company
CNYK	CENTRAL NEW YORK RAILROAD CORPORATION
CORP	CENTRAL OREGON & PACIFIC RAILROAD, INC.
CP	CANADIAN PACIFIC RAILWAY
CPDR	CAROLINA PIEDMONT DIVISION

Respondent

<u>Codes</u>	<u>Respondent Names</u>
CRSH	Consolidated Rail Corporation
CSX	CSX TRANSPORTATION, INC.
CUOH	The Columbus & Ohio River Rail Road Co.
CVSX	CUYAHOGA VALLEY SCENIC RAILWAY
DGNO	Dallas, Garland and Northeastern Railroad, Inc.
DH	Delaware & Hudson Railway Co., Inc.
DL	DELAWARE LACKWANNA RAILROAD
DME	Dakota, Minnesota & Eastern Railroad Co.
DMVW	DAKOTA MISSOURI VALLEY AND WESTERN
EIRR	Eastern Idaho Railroad
EJE	Elgin, Joliet & Eastern Railway Company
ELWX	Elkhart & Western Railroad Co.
ESFR	Eastside Freight Railroad
FCEN	FLORIDA CENTRAL RAILROAD CO.
FCRD	FIRST COAST RAILROAD, INC.
FMRC	FARMRAIL CORPORATION
GATX	GATX Rail Corporation
GC	GEORGIA CENTRAL RAILWAY
GET	Gettysburg and Northern Railroad
GMRC	GREEN MOUNTAIN RAILROAD CORPORATION
GRNW	Great Northwest Railroad
GRW	GARY RAILWAY COMPANY
GWR	GREAT WESTERN RAILWAY COMPANY
HESR	HURON & EASTERN RAILWAY COMPANY, INC.
HHRV	HONDO RAILWAY LLC
HRRC	HOUSATONIC RAILROAD COMPANY, INC.
HVMV	Hoosier Valley Railroad Museum
IAIS	Iowa Interstate Railroad
IERR	Indiana Eastern Railroad LLC
IHB	INDIANA HARBOR BELT RAILROAD COMPANY
INRD	The Indiana Rail Road Company
IORY	INDIANA & OHIO RAILWAY COMPANY
KAW	KAW River Railroad
KCS	The Kansas City Southern Railway Company
KFR	KETTLE FALLS INTERNATIONAL RAILWAY, LLC.
KNOR	KLAMATH NORTHERN RAILWAY COMPANY
KO	Kansas & Oklahoma Railroad, Inc.
KRR	KIAMICHI RAILROAD CO., LLC.
KRSV	Keolis Rail Services Virginia, LLC

Respondent

<u>Codes</u>	<u>Respondent Names</u>
KXHR	Knoxville & Holston River Railroad Co.
KYLE	KYLE RAILROAD CO.
LAS	LOUISIANA SOUTHERN RAILROAD
LI	LONG ISLAND RAIL ROAD
LSRC	LAKE STATE RAILWAY COMPANY
MACZ	MARYLAND TRANSIT ADMINISTRATION
MAW	MAUMEE & WESTERN
MDS	MERIDIAN SOUTHERN RAILWAY
MEC	Maine Central Railroad Company
MET	Modesto and Empire Traction Company
MJ	MANUFACTURERS' JUNCTION RAILWAY LLC
MMA	MONTREAL, MAINE AND ATLANTIC RAILWAY, LTD.
MNA	MISSOURI & NORTHERN ARKANSAS RAILROAD CO., INC.
MNBR	M & B RAILROAD, LLC
MNR	Maine Northern Railway Company
MPLI	Minnesota Prairie Lines, Inc.
MQT	MARQUETTE RAIL, LLC.
MSN	Meeker Southern Railroad
MSTR	MASSENA TERMINAL RAILROAD COMPANY
MVP	MISSOURI VALLEY PARK RAILROAD CORP.
NAUG	NAUGATUCK
NCRC	NEBRASKA CENTRAL RAILROAD COMPANY
NECR	NEW ENGLAND CENTRAL RAILROAD, INC.
NECX	NEBRASKA CENTRAL RAILROAD
NEGS	NEW ENGLAND SOUTHERN RAILROAD CO., INC.
NERR	NASHVILLE & EASTERN RAILROAD
NHIR	NEW HOPE AND IVYLAND RAILROAD COMPANY
NHN	NEW HAMPSHIRE NORTH COAST RAILROAD
NICD	NORTHERN INDIANA COMMUTER TRANSPORTATION DISTRICT
NJTR	NEW JERSEY TRANSIT RAIL OPERATIONS
NKCR	NEBRASKA KANSAS & COLORADO RAILNET INC.
NMRX	NEW MEXICO DEPARTMENT OF TRANSPORTATION
NPR	NORTHERN PLAINS RAILROAD
NVRR	NAPA VALLEY RAILROAD
NVWT	NAPA VALLEY WINE TRAIN
NWR	NASHVILLE AND WESTERN RAILROAD CORP.
NYA	NEW YORK AND ATLANTIC RAILWAY COMPANY
NYCH	NEW YORK CROSS HARBOR RAILROAD TERMINAL CORP.
NYSW	THE NEW YORK SUSQUEHANNA AND WESTERN RY. CORP.

Respondent

<u>Codes</u>	<u>Respondent Names</u>
OHCR	Ohio Central Railroad, Inc.
OPR	OREGON PACIFIC RAILROAD
PAL	PADUCAH & LOUISVILLE RAILWAY COMPANY
PAS	Pan Am Southern, LLC.
PBR	PATAPSCO & BACK RIVERS RAILROAD COMPANY
PCC	Palouse River & Coulee City Railroad Inc.
PNR	PANHANDLE NORTHERN
PNWR	PORTLAND AND WESTERN RAILROAD INC.
POHC	The Pittsburgh & Ohio Central Railroad Co.
PSAP	PUGET SOUND & PACIFIC RAILROAD
PSBX	CADDO-BOSSIER PARISHES PORT COMMISSION
PSRR	PACIFIC SUN RAILROAD
PTO	PORTLAND TERMINAL (OREGON)
PW	PROVIDENCE AND WORCESTER RR COMPANY
RAIL	RAIL BRIDGE CORPORATION
RBMN	READING BLUE MOUNTAIN & NORTHERN RAILROAD
RJCC	RJ CORMAN RR CO./CENTRAL KENTUCKY LINES
RJCP	R.J. Corman RR Co./Pennsylvania Lines Inc.
RLIX	Rail Link, Inc.
RPRC	Richmond Pacific Railroad
RSIX	RailServe, INC.
SB	SOUTH BUFFALO RAILWAY COMPANY
SBS	LAKE STATE RAILWAY COMPANY
SCAX	Southern California Regional Rail Authority
SCCT	SANTA CLARA COUNTY TRANSIT DISTRICT
SCS	Squaw Creek Southern Railroad, Inc.
SCXY	ST. CROIX VALLEY RAILROAD
SDNX	SAN DIEGO NORTHERN RAILWAY
SDTI	SAN DIEGO METROPOLITAN TRANSIT SYSTEM
SEPA	Southeastern Pennsylvania Transportation Authority
SERA	SIERRA NORTHERN RAILWAY COMPANY
SFRV	SOUTH FLORIDA REGIONAL TRANSPORTATION AUTHORITY
SGLR	SEMINOLE GULF RAILROAD
SJVR	San Joaquin Valley Railroad Co.
SKOL	South Kansas and Oklahoma Railroad Company
SLGG	SYDNEY AND LOWE RAILROAD INC.
SLR	ST. LAWRENCE & ATLANTIC RAILROAD COMPANY
SLRG	SAN LUIS & RIO GRANDE RAILROAD
SLWC	Stillwater Central Railroad Co., Inc.

Respondent

<u>Codes</u>	<u>Respondent Names</u>
SMA	SAN MANUEL/ARIZONA RAILROAD CO.
SMV	SANTA MARIA VALLEY RAILROAD COMPANY
SMW	ST. MARY'S RAILWAY WEST LLC.
SNC	Saratoga & North Creek Railway, LLC
SOU	Norfolk Southern Railway Company
SS	SAND SPRINGS RAILWAY COMPANY
ST	SPRINGFIELD TERMINAL RAILWAY COMPANY
STE	STOCKTON TERMINAL AND EASTERN RAILROAD
STMA	ST. MARIES RIVER RAILROAD COMPANY
SW	SOUTHWESTERN RAILROAD, INC.
SWP	SOUTHWEST PENNSYLVANIA RAILROAD
TCT	TEXAS CITY TERMINAL RAILWAY COMPANY
TIBR	Timber Rock Railroad Company, Inc.
TMBL	TACOMA MUNICIPAL BELT LINE RAILWAY
TN	TEXAS & NORTHERN RAILWAY COMPANY
TRMW	TACOMA RAIL
TRRA	TERMINAL RAILROAD ASSOCIATION OF ST. LOUIS
TXPF	TEXAS PACIFICO TRANSPORTATION, LTD.
UFRC	UTA FRONTRUNNER COMMUTER RAIL
UP	Union Pacific Railroad Company
URR	Union Railroad Company
USRI	U S RAIL CORPORATION/NATIONAL STARCH
USRO	U S Rail Corp./Ohio
USRV	US RAIL CORPORATION
UTAH	UTAH RAILWAY COMPANY
UTAX	UTAH TRANSIT AUTHORITY
VR	Valdosta Railway, L.P.
VREE	VREELAND RAIL, LLC
VSOR	VICKSBURG SOUTHERN RAILROAD
WAKS	WANNAMAKERS, KEMPTON AND SOUTHERN
WATX	WATCO Switching
WBCR	WABASH CENTRAL RAILROAD CORPORATION
WCOR	Wellsboro & Corning LLC.
WE	WHEELING & LAKE ERIE RAILWAY COMPANY
WGCR	Wiregrass Central Railway, LLC
WINV	WISCONSIN NORTHERN RAILROAD
WIRV	WASHINGTON AND IDAHO RAILWAY
WNYP	WESTERN NEW YORK & PENNSYLVANIA RAILROAD
WPRR	WILLIAMETTE AND PACIFIC RAILROAD, INC.

Respondent

<u>Codes</u>	<u>Respondent Names</u>
WSOR	WISCONSIN & SOUTHERN RAILROAD
WTA	WICHITA TERMINAL ASSOCIATION
WTNN	WEST TENNESSEE RAILROAD CORPORATION
WVR	WILLIAMETE VALLEY RAILWAY COMPANY
WW	WINCHESTER AND WESTERN RAILROAD COMPANY
XATH	ARC TERMINALS HOLDINGS, LLC
XAWH	Adams Warehousing LLC
XCEA	Century Aluminum
XCRO	CROSSTEX
XCRQ	CRYOTECH
XDCT	Danchem Technologies Inc.
XDPU	Department of Public Works, Clark County WA
XDYN	Dynamic Railroad Consulting
XEEN	Enserco Energy LLC.
XFEF	FedEx Freight, Inc.
XHNT	HNTB Corporation
XICP	Illinois Corn Processing, LLC
XJEI	JEBRO, INC.
XLDI	Lawrenceburg Distillers Indiana LLC
XLOR	LORAM RAIL GRINDING COMPANY
XLPF	Land O'Lakes Purina Feed, LLC
XLPQ	LUKE PAPER COMPANY
XMPS	MARTIN PRODUCT SALES, LLC
XMRS	MAURER & SCOTT SALES, Inc.
XNBP	NATIONAL BY-PRODUCTS
XPAZ	Purac America
XPGF	PETE GRIFFIN
XPKR	PROKAR INC.
XPMC	PPL Martins Creek
XPTC	Peninsula Terminal Company
XROA	RRR Tank Properties, LLC
XRRT	Railroad Traffic Control
XRTM	Rail Term
XRWC	Right Of Way Consulting
XRWQ	RAILWORKS COMPANY
XSDR	Steel Dust Recycling
XSGC	Scoular Company
XSLA	SL Alabama, LLC
XTWK	Trac-Work, Inc.

Respondent

<u>Codes</u>	<u>Respondent Names</u>
XURW	UNIVERSAL RAILWAY
XUSD	West Colton Rail Terminal, LLC
XVAL	Valvoline Oil Company
XWCR	WEST COAST RAILROAD
XWGZ	Wenner Gas Company
XWNC	Western Convenience Stores Inc.
XWSV	W. SILVER, INC.
XWYC	Waycross Recycling
XYRC	YRC Freight
YARR	The Youngstown & Austintown Railroad, Inc.
YSVR	Yellowstone Valley Railroad, Inc.
ZABS	ABF Freight System, Inc.
ZACE	Albemarle Corporation
ZACR	ADM CORN PROCESSING
ZADB	Advanced Bioenergy
ZADI	ARM-DAT, INC.
ZADQ	Alberta Distillers Limited
ZADR	Archer Daniels Midland Co.
ZAEN	Altex Energy Ltd.
ZAER	AEROPRES CORPORATION
ZAFQ	Afton Chemical Corporation
ZAGA	Airgas Carbonic
ZAGE	AGE Refining, Inc.
ZAGF	AGRIFOS FERTILIZER
ZAIA	The Andersons, Inc.
ZAIL	AIR LIQUIDE USA LLC
ZAIN	Arclin
ZAJE	A & J ENTERPRISES
ZAKQ	AK Steel
ZALN	ALON, USA, LP
ZALQ	Air Liquide Industrial U.S. LP
ZAMC	ARCHER DANIELS MIDLAND CO.
ZAMM	ALUMINUM COMPANY OF AMERICA
ZAMP	American President Lines, Ltd.
ZAMU	ArrMaz Custom Chemicals
ZAND	THE ANDERSONS, INC.
ZANE	Akzo Nobel Coatings Inc.
ZAOL	Aaron Oil Company
ZAOW	Arrow Reload Systems Inc.

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZAPC	Air Products Manufacturing Corp.
ZAPL	AMERICAN PRESIDENT LINES LTD.
ZAPV	Allstate Power Vac
ZAPX	Apex Oil Company
ZARCH	ARCH CHEMICALS INC.
ZARCI	ARIZONA CHEMICAL INC.
ZARK	ARKEMA INC.
ZASY	Americas Styrenics
ZATO	Atlas Oil Company
ZAUI	AGRIUM U.S. INC.
ZAUL	ALLIED UNIVERSAL CORPORATION
ZAWO	Arch Wood Protection, Inc.
ZAXI	Axiall Corporation
ZBAK	BAKER PETROLITE CORPORATION
ZBAS	BASF CORPORATION
ZBCB	Bossier City Bioenergy Partners
ZBEI	BARTON ENTERPRISES
ZBEL	Biofuel Energy Corp.
ZBEY	Beacon Energy Corp
ZBFE	BLUE FLINT ETHANOL
ZBKO	Bakken Oil Express LLC.
ZBMA	Bayer MaterialScience LLC
ZBORE	BORDEN & REMINGTON CORPORATION
ZBOW	Brown Forman Distillers Corporation
ZBRP	BRENNTAG PACIFIC, INC.
ZBRQ	BIG RIVER RESOURCES
ZBRZ	Big River Zinc Corporation
ZBSF	BASF CATALYSTS
ZBSN	Basin Transload
ZBSW	BRENNTAG SOUTHWEST
ZBTA	Bio Trans Modal, LLC
ZBTN	Brenntag Northeast
ZBTS	BRENNTAG SOUTHEAST, INC.
ZBUK	Buckeye Technologies
ZBUT	BioUrja Trading LLC
ZBVD	BLACK VELVET DISTILLING COMPANY
ZBWS	B & W SERVICES
ZCACT	CELANESE ACETATE
ZCALC	CALABRIAN CORP.

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZCAX	Canexus Corporation
ZCBM	CROWN BATTERY MANUFACTURING COMPANY INC
ZCBP	Collins Bioenergy Partners, LLC
ZCGL	Cargill Incorporated
ZCHEV	Chevron Products Company
ZCIE	CENTRAL INDIANA ETHANOL
ZCLAR	CLARIANT CORPORATION
ZCLU	CALUMET SPECIALTY PRODUCTS PARTNERS L.P.
ZCMT	COMET CHEMICAL COMPANY, LTD.
ZCNC	CHEROKEE NITROGEN
ZCPCL	Chevron Phillips Chemical Company LP
ZCSU	Calumet Superior, LLC
ZCXU	Canexus Corporation
ZCYZ	CYANCO
ZDAA	Daikin America, Inc.
ZDAK	DAK AMERICAS
ZDANT	DANA TRANSPORT INC.
ZDAS	Dow Agrosiences LLC.
ZDBW	D.B. WESTERN, INC
ZDCL	Diversey, Inc.
ZDCN	Deltech Resin Company
ZDCPC	DIVERSIFIED CPC INTERNATIONAL, INC.
ZDCS	DUPONT CHEMICAL SOLUTIONS ENTERPRISE
ZDCU	The Dow Chemical Company
ZDF	DUPONT
ZDGA	DEVON GAS SERVICES
ZDGC	Diageo Canada, Inc.
ZDKE	DAKOTA ETHANOL
ZDKR	DELEK REFINING, LTD.
ZDLT	DELTA TERMINAL SERVICES LLC
ZDNC	Dana Railcare
ZDOW	DOW CORNING CORPORATION
ZDRY	American Dry Ice Corporation
ZDTI	Domtar
ZDTLP	DELTA TRADING LP
ZDTR	DOMINION TRANSMISSION, INC.
ZDUP	E.I. DUPONT DE NEMOURS AND COMPANY
ZDWC	Delaware City Refining Company LLC
ZDYI	DYNO NOBEL, INC.

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZECB	EES COKE BATTERY LLC
ZECN	ETHYL CORPORATION
ZEDC	EL DORADO CHEMICAL CO.
ZEJG	E. J. GALLO WINERY
ZEMB	ExxonMobil Pipeline Company
ZEMCC	Exxon Mobil Corporation
ZEOB	ECOLAB, Inc.
ZEOR	EOG Resources, Inc.
ZEPC	Enterprise Products Operating LLC
ZEQU	EQUISTAR CHEMICALS LP
ZERI	Ergon Inc.
ZERV	Elbow River Resources
ZERX	EnergySolutions, LLC
ZEWW	ERCO WORLDWIDE (USA), INC.
ZEZZ	EMULSICOAT, INC.
ZFCL	FEDERATED COOPERATIVES, LTD.
ZFHR	FLINT HILLS RESOURCES
ZFIE	First Energy
ZFRQ	POET Biorefining-Gowrie
ZGATX	GATX Corporation
ZGAV	Gavilon, LLC.
ZGCC	GEORGIA GULF CORPORATION
ZGCL	GEOCYCLE LLC
ZGEO	GEO SPECIALITY CHEMICALS
ZGEPA	Georgia Pacific Company
ZGEU	GIBSON ENERGY ULC
ZGIP	GIBSON ENERGY LTD.
ZGLE	Glacial Lakes Energy, LLC
ZGLM	Glencore Limited
ZGPS	GRAIN PROCESSING CORP.
ZGRR	GIANT RESOURCE RECOVERY CO., INC.
ZGSZ	SGS
ZGTM	Gladieux Trading & Marketing Company L.P.
ZGTR	The Goodyear Tire & Rubber Co.
ZHCG	HUNTSMAN CORPORATION
ZHCP	Heartland Corn Products
ZHCQ	Heritage-Crystal Clean, LLC
ZHET	POET Biorefining-Jewell
ZHFO	Houston Fuel Oil Terminal Co.

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZHFR	HollyFrontier Refining & Marketing
ZHGL	Hawkeye Gold, LLC
ZHKD	Hawkeye Renewables LLC.
ZHLA	HAPAG - LLOYD AMERICA, INC.
ZHLLC	HORIZON LINES, LLC.
ZHMI	H & M INTERNATIONAL TRANSPORTATION
ZHNI	Honeywell International Inc.
ZHOI	Husky Oil Operations
ZHRM	HOLLY ENERGY PARTNERS
ZHSL	Hunt Southland Refining Company
ZHUD	Sun Products Corp.
ZHUNT	HUNT REFINING COMPANY
ZHUT	HUNTSMAN INTERNATIONAL LLC
ZHVC	Haverhill Chemicals LLC
ZHWH	Honeywell International, Inc.
ZIBS	INTERNATIONAL BULK SERVICES
ZIDA	Idaho County Propane - ICP, Inc.
ZIDS	Industrial Service Oil Company, Inc.
ZIDY	Interdynamics Inc.
ZIES	INEOS
ZIGM	INERGY MIDSTREAM LLC
ZIMO	Imperial Oil Ltd.
ZINTT	International Matex Tank Terminals
ZIOD	Imperial Oil Chemical Div.
ZIOL	IRVING OIL LTD.
ZIOW	POET Biorefining-Hanlontown
ZIP	INTERNATIONAL PAPER COMPANY
ZIPB	INNOPHOS INC
ZIRO	IRVING OIL COMPANY
ZISRV	INERGY SERVICES
ZITT	INTERCONTINENTAL TERMINALS COMPANY
ZITX	Itero Energy
ZJHO	JONES HAMILTON COMPANY
ZJLM	JLM INDUSTRIES
ZJPC	John Pryor Company
ZJXN	JX Nippon Chemical Texas Inc.
ZKEL	KAAPA ETHANOL LLC
ZKFC	KOCH FERTILIZER CANADA, ULC
ZKML	Kinder Morgan Liquids Terminals, LLC

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZKMM	KINDER MORGAN MATERIALS SERVICES, LLC
ZKMQ	Kinder Morgan Terminal, Inc.
ZKOR	KERN OIL AND REFINING COMPANY
ZKPI	Koppers Inc.
ZLAN	Lanxess Inc.
ZLDE	LYONDELL CHEMICAL CO.
ZLFI	Lamplight Farms, Inc.
ZLGL	Logibio Louisiana LLC
ZLOU	Louis Dreyfus Claypool Holdings, LLC.
ZLQT	LIQUIDS TRANSLOADING
ZLUB	Lubrizol Corporation
ZMAI	MATLACK, INC.
ZMCO	MERCK & CO., INC.
ZMDI	Mason Dixon Intermodal
ZMDX	Mode Transportation
ZMED	MEDITERRANEAN SHIPPING COMPANY (USA), INC.
ZMEG	Meglobal Americas, Inc.
ZMFQ	Mosaic Fertilizer LLC
ZMIO	Imperial Oil Limited
ZMIR	Meiers Wine Cellar
ZMMM	3-M MINNESOTA MINING & MFG. CO.
ZMNB	Magnablend, Inc.
ZMNP	Marathon Petroleum Company
ZMOR	MRCX Mobile Railcar Cleaning LLC d/b/a/ Waycross R
ZMOSK	MITSUI O.S.K. LINES
ZMPA	PLAINS MARKETING CO.
ZMPT	MISSISSIPPI PHOSPHATES CORPORATION
ZMQE	MARQUIS ENERGY
ZMTE	MOTIVA ENTERPRISES LLC
ZMTQ	MIDWEST TRACK
ZMU	MUREX N.A. LTD
ZMUR	MURPHY OIL USA, INC.
ZMUSK	MUSKET CORPORATION
ZMWC	MeadWestvaco Corporation
ZMWV	MEADWESTVACO TEXAS, LP
ZMYT	Manly Terminal
ZNA	NA INDUSTRIES
ZNAL	Nalco Company
ZNBX	NATIONAL BY-PRODUCTS

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZNCAS	NACHURS-ALPINE SOLUTIONS
ZNCH	NA-CHURS PLANT FOOD CO.
ZNCP	NORTH CENTRAL PETROLEUM
ZNCPI	NELSONITE CHEMICAL PRODUCTS, INC.
ZNCR	NATIONAL COOPERATIVE REFINERY ASSOCIATES
ZNDM	Domtar Paper Company LLC
ZNEW	Newalta Corp.
ZNGL	NGL Supply Wholesale, LLC
ZNIP	NECHES INDUSTRIAL PARK, INC.
ZNMU	Plains Marketing LP
ZNOS	NORFALCO, INC.
ZNOV	NOVA CHEMICALS, LTD.
ZNOVI	NOVEON INCORPORATED
ZNRC	NAVAJO REFINING COMPANY
ZNRCI	NATIONAL RAIL CAR INC.
ZNSI	NORFOLK SOUTHERN INTERMODAL
ZNSL	NGL SUPPLY COMPANY, LTD.
ZNSQ	North Shore Mining
ZNTR	NATIONAL REFRIGERANT
ZNUS	NuStar Energy
ZNXE	Nexeo Solutions Co.
ZNYT	New York Terminals
ZOCC	Occidental Chemical Corporation
ZOEE	One Earth Energy, LLC
ZOLI	OLIN CORPORATION
ZOME	OMI Environmental Solutions
ZORI	ORICA USA Inc.
ZORM	Oneok Rockies Midstream LLC
ZORR	Oil Re-Refining Company, Inc.
ZOTER	ODFJELL TERMINALS (HOUSTON), INC.
ZOTT	Oiltanking Texas City L.P.
ZOWC	Owens Corning Roofing and Asphalt LLC
ZOWP	Osmose Holdings, Inc.
ZOXV	OxyVinyls, LP
ZPBB	POET Biorefining-Big Stone
ZPBH	POET Biorefining-Hudson
ZPBQ	POET Biorefining-Coon Rapids
ZPCSS	PCS SALES (USA) INC.
ZPEK	Pacer Energy Marketing, LLC

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZPEL	PROVIDENT ENERGY LTD.
ZPFA	PACIFIC ATLANTIC TERMINALS
ZPFP	PENFORD PRODUCTS
ZPFW	Pacific West LLC
ZPG	PROCTER & GAMBLE
ZPGI	Petrogas Inc.,
ZPHO	PCS PHOSPHATE COMPANY
ZPHP	PHARMCO PRODUCTS INC.
ZPLP	PARALLEL PRODUCTS
ZPLS	PLAINS LPG SERVICES, L.P.
ZPMS	Plains Midstream Canada, LLC.
ZPND	Practical Needs, Inc.
ZPNF	PCS Nitrogen Fertilizer
ZPOW	Power Energy Partners LP
ZPPG	Pittsburgh Plate Glass Co.
ZPTE	Platinum Ethanol LLC.
ZPXC	Phoenix Chemical Company
ZPXR	Praxair Canada Inc.
ZQCP	Quimica Pima S.A. de C.V.
ZRBW	ROBERTSON BONDED WAREHOUSE INCORPORATED
ZRCA	Ruetgers Canada, Inc.
ZRCQ	REAGENT CHEMICAL & RESEARCH
ZRDI	RED RIVER SUPPLY, INC.
ZREM	REMET CORPORATION
ZRHQ	Rymes Propane
ZRKT	ROCKTENN CP, LLC
ZRLC	Greenwood Motor Line
ZRLO	Rail Loading Services, LLC.
ZRMZ	ROYAL MANUFACTURING CO.
ZRNS	Renessenz LLC
ZRSH	RSI LOGISTICS, INC.
ZRTN	RailTran LLC.
ZSAB	SABIC Innovative Plastics
ZSCC	SHELL CHEMICAL LP
ZSCPI	SYNGENTA CROP PROTECTION, INC.
ZSDI	STEEL DYNAMICS INCORPORATED
ZSEU	SUNCOR ENERGY (USA), INC.
ZSFI	SOLVAY FLUORIDES, INC.
ZSGQ	Schagrin Gas

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZSHI	Shield Packaging Company
ZSHL	Shell Canada Products
ZSI	Southern Ionics Incorporated
ZSIMP	SIMPLOT COMPANY
ZSLG	SANDHILL GROUP LLC
ZSLI	SOLUTIA, INC.
ZSLQ	Sunoco Logistics
ZSMS	Smitty's Supply, Inc.
ZSNWO	STOLTHAVEN (NEW ORLEANS), LLC
ZSOLI	SOLUTIA, INC.
ZSOT	SHIPCO TRANSPORT INC.
ZSPH	SPI Pharma, Inc.
ZSRM	SUN REFINING & MARKETING
ZSSCO	SAVAGE SERVICES CORPORATION
ZSSN	SMALL AND SONS OIL COMPANY
ZSSP	Southern States Chemical
ZSTE	STEPAN COMPANY
ZSTQ	STEPAN COMPANY
ZSUB	SUBURBAN PROPANE, LP
ZSUI	SUNOCO INC. (R&M)
ZSVM	SEARLES VALLEY MINERALS
ZSXT	SIOUX TANK LINE, INC
ZTAM	TAMINCO
ZTCQ	THIRD COAST TERMINALS
ZTCZ	Samuel Coraluzzo Co., Inc.-Torrissi Transport
ZTDL	TDC LLC
ZTEY	TAC ENERGY
ZTGT	Targa Transportation, LLC
ZTHS	Thermo Fisher Scientific Inc.
ZTIT	TEXAS INTERNATIONAL TERMINALS
ZTLY	TATE & LYLE INGREDIENTS AMERICAS, INC.
ZTQT	Torq Transloading Inc.
ZTRG	Toledo Refining Company LLC
ZTRN	TERRA NITROGEN CORPORATION
ZTSS	Tessengerlo Kerley, Inc.
ZTTS	Trimac Transportation Services, Inc.
ZUBE	US BIOENERGY
ZUBI	UNITED BIO ENERGY FUELS
ZUDG	U.S. DEVELOPMENT GROUP

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZUED	UNITED ENERGY DISTRIBUTORS
ZUHP	UNILEVER HOME & PERSONAL CARE - USA
ZULM	Ultramar, Inc.
ZUNIV	UNIVAR USA INC.
ZUNR	United Rail Service, Inc.
ZUNT	UNITED SUPPLIERS, INC.
ZUPS	UNITED PARCEL SERVICE, INC.
ZURC	UNITED REFINING COMPANY
ZUSEP	U.S. ENERGY PARTNERS, LLC
ZUSF	US FILTER RECOVERY SERVICE
ZUSG	UNITED STATES GYPSUM CO.
ZUSNQ	US XPRESS INC.
ZUST	UNITED STATES STEEL CORPORATION
ZUTC	UNION TANK CAR COMPANY
ZVES	Veolia ES Technical Solutions, L.L.C.
ZVIT	Vitol Inc.
ZVLC	VENTURA LESBRO COMPANY
ZVPA	Vopak North America
ZVPR	VP Racing Fuels
ZVTC	VENTURA TRANSFER COMPANY
ZVTZ	VOPAK TERMINAL DEER PARK
ZWAL	Walmart
ZWATC	Watco Companies LLC
ZWAY	WPC Technologies, Inc.
ZWBM	W. M. BARR AND COMPANY
ZWCM	WEGO Chemical & Mineral Corp.
ZWDB	Western Dubuque Biodiesel LLC.
ZWER	WILLIAMS ENERGY SERVICE
ZWERZ	WESTERN REFINING COMPANY
ZWEY	Weyerhaeuser NR Company
ZWHE	White Energy
ZWIL	Watseka Interstate LLC
ZWLC	WESTLAKE CHEMICAL CORPORATION
ZWLT	WOLF LAKE TERMINALS, INC.
ZWMS	WILLIAMS MIDSTREAM
ZWNV	Weavertown Environmental Group
ZWPCO	WESTERN PETROLEUM COMPANY
ZWPE	WESTERN PLAINS ENERGY, LLC.
ZWPO	WESTPOINT TRANSPORTATION, Inc.

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZWPQ	WATERFRONT PETROLEUM TERMINAL
ZWRB	WRB Refining, LLC
ZWRC	WYOMING REFINING COMPANY
ZWRE	WESTERN REFINING COMPANY
ZWRG	W.R. GRACE & COMPANY-CONN.
ZWST	Westway Terminal Co. LLC
ZWTP	WITTIG TRANSPORT INC.
ZWTS	Watco Transportation Services