

**Federal
Railroad
Administration**

**Fiscal Year 2017
Enforcement Report**

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Federal Railroad Administration Fiscal Year 2017 Enforcement Report

I. INTRODUCTION

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

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

This FY 2017 report includes the following:

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

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, 272) and chapter I, subchapter A, Hazardous Materials and Oil Transportation, and subchapter C, Hazardous Materials Regulations; 49 U.S.C. § 103; and 49 C.F.R. § 1.89.

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

**II. SUMMARY OF INSPECTIONS AND AUDITS PERFORMED,
AND ENFORCEMENT ACTIONS RECOMMENDED
IN FY 2017**

**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:	70,150
Defects:	291,114
Units:	3,317,874
Number of Observations:	307,915
Number of Reports with a Recommended Violation:	4,312
Number of Recommended Violation Defects:	12,388
Number of Inspection Days:	54,674

2. Railroads Only

Number of Inspection Reports:	64,289
Defects:	284,089
Units:	3,257,590
Number of Observations:	290,291
Number of Reports with a Recommended Violation:	3,552
Number of Recommended Violation Defects:	10,716
Number of Inspection Days:	51,886

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

1. Accident/Incident Reporting

Violation Type	Number of Recommended Violations
Accident Reporting	248

2. Grade Crossing Signal System Safety

Violation Type	Number of Recommended Violations
Grade Crossing Signal Safety	645

3. Hazardous Materials

Violation Type	Number of Recommended Violations
Hazardous Materials	2,390

4. Industrial Hygiene

Violation Type	Number of Recommended Violations
Occupational Noise Exposure	0

5. Motive Power and Equipment

Violation Type	Number of Recommended Violations
Freight Car Safety Standards	830
Locomotive Safety Standards	424
Passenger Equipment Safety Standards	44
Passenger Train Emergency Preparedness	8
Rear End Marking Devices	0
Safety Appliance Statutes and Regulations	1,476
Safety Glazing Standards	2
Steam Locomotive Inspection and Maintenance	0
All	2,733

6. Railroad Operating Practices

Violation Type	Number of Recommended Violations
Alcohol and Drug Use	207
Conductor Qualifications	19
Critical Incident Stress Plans	6
Engineer Qualifications	26
FRA Emergency Order(s)	0
Hours of Service Laws and Regulations	174
Hours of Service Record Keeping	667
Railroad Communications	21
Railroad Operating Practices	483
Railroad Operating Rules	1,742
Railroad Safety Enforcement Procedures	95

Train Horn/Quiet Zone	11
All	3,451

7. Signal and Train Control

Violation Type	Number of Recommended Violations
Signal Inspection Regulations	384
PTC System Implementation	14
All	398

8. Track

Violation Type	Number of Recommended Violations
Bridge Safety Standards	0
Bridge Worker Safety Standards	3
Roadway Worker Protection	99
Track Safety Standards	2,370
All	2,472

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

1. Class I Railroads

Number of Inspection Reports:	46,538
Defects:	208,573
Units:	2,594,211
Number of Observations:	216,133
Number of Reports with a Recommended Violation:	2,766
Number of Recommended Violation Defects:	6,717
Number of Inspection Days: ⁵	38,562

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

2. Probable Class II Railroads⁶

Number of Inspection Reports:	2,202
Defects:	8,612
Units:	173,391
Number of Observations:	10,330
Number of Reports with a Recommended Violation:	114
Number of Recommended Violation Defects:	166
Number of Inspection Days:	1,953

3. Probable Class III Railroads

Number of Inspection Reports:	15,549
Defects:	66,904
Units:	489,988
Number of Observations:	63,828
Number of Reports with a Recommended Violation:	672
Number of Recommended Violation Defects:	3,833
Number of Inspection Days:	13,391

⁶ FRA has identified seven of the eight Class I railroads based on information they filed with the Surface Transportation Board (STB) for calendar year 2016—the latest year available—regarding their annual operating revenues. See STB Web site (<http://www.stb.dot.gov>) under “All Economic Data” and then “Annual Report Financial Data.” STB requires such filings only from Class I railroads. See 49 C.F.R. § 1241.11 and Ex Parte No. 393 (Sub-No. 2), decided Oct. 28, 1988, 1988 WL 224990 (I.C.C.). Therefore, FRA identified the eighth Class I railroad, Amtrak based on FRA research of other data. Generally, Class II and III railroads are not required to report their annual operating revenues to STB. As a result, FRA identified railroads that are probably Class II and Class III railroads based on its research of railroad revenues, which does not cover commuter railroads. FRA concludes that the following railroads are probably Class II railroads: Alaska Railroad Corp.; Buffalo & Pittsburgh Railroad, Inc.; Florida East Coast Railway Co.; Indiana Rail Road Co.; Iowa Interstate Railroad, Ltd.; Montana Rail Link; Paducah & Louisville Railway Co.; Springfield Terminal Railway Co. and other regional railroads (including Boston & Maine Corp., Maine Central Railroad Co., Pan Am Southern LLC, and Portland Terminal Co.) (all held by Pan Am Railways, Inc.); Rapid City, Pierre & Eastern Railroad, Inc.; Wheeling & Lake Erie Railway Co.; and Wisconsin & Southern Railroad Co. Note that switching and terminal railroads are, by definition, Class III railroads, without regard to their annual operating revenues. 49 C.F.R. § 1201.1-1(d).

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

1. BNSF Railway Company

Number of Inspection Reports:	10,100
Defects:	46,090
Units:	561,546
Number of Observations:	47,020
Number of Reports with a Recommended Violation:	709
Number of Recommended Violation Defects:	1,413
Number of Inspection Days:	8,750

2. Canadian National Railway/Grand Trunk Corporation

Number of Inspection Reports:	2,380
Defects:	11,339
Units:	137,044
Number of Observations:	10,771
Number of Reports with a Recommended Violation:	137
Number of Recommended Violation Defects:	555
Number of Inspection Days:	2,076

3. Canadian Pacific Railway/Soo Line Railroad Company

Number of Inspection Reports:	1,622
Defects:	10,216
Units:	121,546
Number of Observations:	8,016
Number of Reports with a Recommended Violation:	136
Number of Recommended Violation Defects:	481
Number of Inspection Days:	1,444

4. CSX Transportation, Inc.

Number of Inspection Reports:	9,779
Defects:	43,058
Units:	580,283
Number of Observations:	45,601
Number of Reports with a Recommended Violation:	457
Number of Recommended Violation Defects:	1,017
Number of Inspection Days:	8,465

5. The Kansas City Southern Railway Company

Number of Inspection Reports:	1,142
Defects:	4,564
Units:	73,239
Number of Observations:	5,280
Number of Reports with a Recommended Violation:	46
Number of Recommended Violation Defects:	90
Number of Inspection Days:	1,030

6. National Railroad Passenger Corporation (Amtrak)

Number of Inspection Reports:	1,683
Defects:	2,939
Units:	19,363
Number of Observations:	6,779
Number of Reports with a Recommended Violation:	121
Number of Recommended Violation Defects:	176
Number of Inspection Days:	1,357

7. Norfolk Southern Railway Company

Number of Inspection Reports:	7,344
Defects:	37,450
Units:	461,302
Number of Observations:	35,425
Number of Reports with a Recommended Violation:	367
Number of Recommended Violation Defects:	1,358
Number of Inspection Days:	6,378

8. Union Pacific Railroad Company

Number of Inspection Reports:	12,448
Defects:	52,917
Units:	639,888
Number of Observations:	57,421
Number of Reports with a Recommended Violation:	793
Number of Recommended Violation Defects:	1,627
Number of Inspection Days:	10,760

III. SUMMARIES OF CIVIL PENALTY INITIAL ASSESSMENTS, SETTLEMENTS, AND FINAL ASSESSMENTS IN FY 2017

A. IN GENERAL⁷

Summary 1

Summary 1 provides a broad overview of penalties FRA initially assessed during FY 2017, the initial penalty assessment for cases closed during FY 2017, and the amount of the settlement or the final assessment of civil penalty. FRA has transitioned to a paperless enforcement system for most of the major railroads and under that system, to enhance the readability of the cases on the computer screen, a case includes only one violation report, and not multiple reports, as in the past.

Summary 1, below, provides the following:

- The number of violations for which FRA assessed a civil penalty in FY 2017 (through demand letters or, in hazmat cases, notices of probable violation);
- The number of violation reports that FRA declined to enforce in FY 2017 after legal review;
- The initial amount of civil penalties assessed in FY 2017 (the amount of the civil penalty specified in FRA's demand letter or, for hazmat cases, a notice of probable violation that was transmitted to a respondent (railroad, hazmat shipper, or individual that received the penalty assessment)) regardless of whether FRA closed the cases during FY 2017;
- The civil penalties FRA initially assessed (the "potential collectible amount" or "POCA" listed in Appendix A) in all cases FRA settled or otherwise closed during FY 2017 (because FRA issued an order assessing a civil penalty in a hazmat case or the respondent paid the civil penalty in full without settling with FRA); and
- The total amount of civil penalties assessed or settled during FY 2017.⁸

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

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

Summary 2

To provide more transparency, Summary 2, below, shows initial assessment information only for those cases closed during FY 2017. **All numbers in Summary 2 reflect the initial assessments that resulted in FY 2017 settlements or final assessments even though the initial assessments may have occurred in a prior fiscal year.** This summary shows (1) the difference between the initial amount of civil penalties assessed and the settlement or final assessment amount, and (2) the difference between the revised assessment amount (or what Attachment A describes as the “provable collectible amount” or “PRCA”) and the final assessment or settlement amount. The revised assessment amount is the amount FRA calculated it could legally collect after evaluating the facts of the violation.

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

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

Total number of cases with civil penalties initially assessed in FY 2017:	5,658
Total number of violations with civil penalties initially assessed in FY 2017:	8,853
Total number of violation reports declined during legal review in FY 2017:	75
Total amount of civil penalties initially assessed (POCA) for violations in cases transmitted in FY 2017:	\$31,885,453
Total amount of civil penalties initially assessed (POCA) for violations in cases finally assessed or settled in FY 2017:	\$28,977,432
Total final civil penalty assessment or settlement in FY 2017:	\$20,557,435

C. BREAKDOWN OF INITIAL ASSESSMENTS IN SUMMARY 1

1. For Each Class I Railroad Individually in FY 2017

AMTRAK

Number of cases with civil penalties initially assessed:	115
Number of violations with civil penalties initially assessed:	128
Number of violation reports declined during legal review:	1
Initial amount of civil penalty assessed:	\$428,000

BNSF RAILWAY COMPANY

Number of cases with civil penalties initially assessed:	942
Number of violations with civil penalties initially assessed:	1,633
Number of violation reports declined during legal review:	9
Initial amount of civil penalty assessed:	\$5,361,404

CANADIAN NATIONAL RAILWAY/GRAND TRUNK CORPORATION

Number of cases with civil penalties initially assessed:	164
Number of violations with civil penalties initially assessed:	366
Number of violation reports declined during legal review:	4
Initial amount of civil penalty assessed:	\$1,677,000

CANADIAN PACIFIC RAILWAY/SOO LINE RAILROAD COMPANY

Number of cases with civil penalties initially assessed:	213
Number of violations with civil penalties initially assessed:	321
Number of violation reports declined during legal review:	2
Initial amount of civil penalty assessed:	\$1,002,000

CSX TRANSPORTATION, INC.

Number of cases with civil penalties initially assessed:	814
Number of violations with civil penalties initially assessed:	1248
Number of violation reports declined during legal review:	19
Initial amount of civil penalty assessed:	\$4,115,955

THE KANSAS CITY SOUTHERN RAILWAY COMPANY

Number of cases with civil penalties initially assessed:	50
Number of violations with civil penalties initially assessed:	55
Number of violation reports declined during legal review:	0
Initial amount of civil penalty assessed:	\$212,000

NORFOLK SOUTHERN RAILWAY COMPANY

Number of cases with civil penalties initially assessed:	405
Number of violations with civil penalties initially assessed:	514
Number of violation reports declined during legal review:	2
Initial amount of civil penalty assessed:	\$1,678,000

UNION PACIFIC RAILROAD COMPANY

Number of cases with civil penalties initially assessed:	1221
Number of violations with civil penalties initially assessed:	1,676
Number of violation reports declined during legal review:	5
Initial amount of civil penalty assessed:	\$5,410,500

2. For Probable Class II Railroads in the Aggregate in FY 2017

Number of cases with civil penalties initially assessed:	98
Number of violations with civil penalties initially assessed:	144
Number of violation reports declined during legal review:	1
Initial amount of civil penalty assessed:	\$690,500

3. For Probable Class III Railroads in the Aggregate in FY 2017⁹

Number of cases with civil penalties initially assessed:	792
Number of violations with civil penalties initially assessed:	1,449
Number of violation reports declined during legal review:	24
Initial amount of civil penalty assessed:	\$5,017,910

4. For Hazmat Shippers in the Aggregate in FY 2017

Number of cases with civil penalties initially assessed:	731
Number of violations with civil penalties initially assessed:	1112
Number of violation reports declined during legal review:	5
Initial amount of civil penalty assessed:	\$5,396,684

5. For Contractors in the Aggregate in FY 2017

Number of cases with civil penalties initially assessed:	43
Number of violations with civil penalties initially assessed:	88
Number of violation reports declined during legal review:	3
Initial amount of civil penalty assessed:	\$439,000

⁹ This category may be over-inclusive as STB jurisdiction may not extend to some of the commuter railroads that FRA has listed as Class III railroads. Regardless, the “Total final civil penalty assessment or settlement in FY 2017” amount remains correct as FRA includes data from enforcement actions against regulated entities that are otherwise not subject to STB jurisdiction.

6. For other cases in the Aggregate in FY 2017¹⁰

Number of cases with civil penalties initially assessed:	70
Number of violations with civil penalties initially assessed:	119
Number of violation reports declined during legal review:	0
Initial amount of civil penalty assessed:	\$456,500

¹⁰ The category of “other cases” includes all hazardous materials civil penalty cases against respondents that are coded in FRA’s Railroad Enforcement System as contractors rather than shippers. Some entities have been classified as contractors based on criteria unrelated to the shipment of hazardous materials but perform regulated functions under hazardous materials regulations that are associated with shippers.

D. SUMMARY 2—MORE DETAILED SUMMARY OF SETTLEMENTS AND FINAL ASSESSMENTS OF CIVIL PENALTIES IN FY 2017

Total number of cases closed in FY 2017:	5,107
Total number of violations in cases closed in FY 2017:	8,068
Total initial amount of civil penalty assessed for cases closed (POCA):	\$28,977,432
Total final amount of civil penalty assessed or settlement for cases closed:	\$20,557,435
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$2,558,614
Amount of revised assessment after terminations (PRCA):	\$26,418,818
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$8,419,997
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$5,861,383

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

1. For Each Class I Railroad Individually in FY 2017

AMTRAK

Number of cases closed:	111
Number of violations in cases closed:	124
Initial amount of civil penalty assessed for cases closed (POCA):	\$411,000
Final amount of civil penalty assessed or settlement for cases closed:	\$299,400
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$26,000
Amount of revised assessment after terminations (PRCA):	\$385,000
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$111,600
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$85,600

BNSF RAILWAY COMPANY

Number of cases closed:	858
Number of violations in cases closed:	1559
Initial amount of civil penalty assessed for cases closed (POCA):	\$5,132,000
Final amount of civil penalty assessed or settlement for cases closed:	\$3,447,680
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$737,500
Amount of revised assessment after terminations (PRCA):	\$4,394,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$1,684,320
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$946,820

CANADIAN NATIONAL RAILWAY/GRAND TRUNK CORPORATION

Number of cases closed:	166
Number of violations in cases closed:	401
Initial amount of civil penalty assessed for cases closed (POCA):	\$1,782,000
Final amount of civil penalty assessed or settlement for cases closed:	\$1,008,705
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$522,500
Amount of revised assessment after terminations (PRCA):	\$1,259,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$773,295
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$250,795

CANADIAN PACIFIC RAILWAY/SOO LINE RAILROAD COMPANY

Number of cases closed:	258
Number of violations in cases closed:	337
Initial amount of civil penalty assessed for cases closed (POCA):	\$1,141,000
Final amount of civil penalty assessed or settlement for cases closed:	\$792,001
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$9,500
Amount of revised assessment after terminations (PRCA):	\$1,131,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$348,999
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$339,499

CSX TRANSPORTATION, INC.

Number of cases closed:	558
Number of violations in cases closed:	920
Initial amount of civil penalty assessed for cases closed (POCA):	\$2,955,000
Final amount of civil penalty assessed or settlement for cases closed:	\$2,030,234
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$173,000
Amount of revised assessment after terminations (PRCA):	\$2,782,000
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$924,766
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$751,766

THE KANSAS CITY SOUTHERN RAILWAY COMPANY

Number of cases closed:	64
Number of violations in cases closed:	107
Initial amount of civil penalty assessed for cases closed (POCA):	\$282,000
Final amount of civil penalty assessed or settlement for cases closed:	\$223,580
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$0
Amount of revised assessment after terminations (PRCA):	\$282,000
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$58,420
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$58,420

NORFOLK SOUTHERN RAILWAY COMPANY

Number of cases closed:	350
Number of violations in cases closed:	438
Initial amount of civil penalty assessed for cases closed (POCA):	\$1,549,500
Final amount of civil penalty assessed or settlement for cases closed:	\$1,147,294
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$89,500
Amount of revised assessment after terminations (PRCA):	\$1,460,000
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$402,206
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$312,706

UNION PACIFIC RAILROAD COMPANY

Number of cases closed:	1156
Number of violations in cases closed:	1,600
Initial amount of civil penalty assessed for cases closed (POCA):	\$5,173,500
Final amount of civil penalty assessed or settlement for cases closed:	\$3,902,882
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$104,000
Amount of revised assessment after terminations (PRCA):	\$5,069,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$1,270,618
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$1,166,618

2. For Probable Class II Railroads in the Aggregate in FY 2017

Number of cases closed:	71
Number of violations in cases closed:	105
Initial amount of civil penalty assessed for cases closed (POCA):	\$421,000
Final amount of civil penalty assessed or settlement for cases closed:	\$313,210
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$21,000
Amount of revised assessment after terminations (PRCA):	\$400,000
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$107,790
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$86,790

3. For Probable Class III Railroads in the Aggregate in FY 2017

Number of cases closed:	636
Number of violations in cases closed:	1116
Initial amount of civil penalty assessed for cases closed (POCA):	\$3,627,000
Final amount of civil penalty assessed or settlement for cases closed:	\$2,416,200
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$412,500
Amount of revised assessment after terminations (PRCA):	\$3,214,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$1,210,800
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$798,300

4. For Hazmat Shippers in the Aggregate in FY 2017

Number of cases closed:	752
Number of violations in cases closed:	1,137
Initial amount of civil penalty assessed for cases closed (POCA):	\$5,714,432
Final amount of civil penalty assessed or settlement for cases closed:	\$4,398,078
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$412,614
Amount of revised assessment after terminations (PRCA):	\$5,301,818
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$1,316,354
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$903,740

5. For Contractors in the Aggregate in FY 2017

Number of cases closed:	50
Number of violations in cases closed:	96
Initial amount of civil penalty assessed for cases closed (POCA):	\$274,000
Final amount of civil penalty assessed or settlement for cases closed:	\$205,611
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$18,000
Amount of revised assessment after terminations (PRCA):	\$256,000
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$68,389
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$50,389

6. For other cases in the Aggregate in FY 2017¹¹

Number of cases closed:	77
Number of violations in cases closed:	128
Initial amount of civil penalty assessed for cases closed (POCA):	\$515,000
Final amount of civil penalty assessed or settlement for cases closed:	\$372,560
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$32,500
Amount of revised assessment after terminations (PRCA):	\$482,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$142,440
Difference between revised assessment (PRCA) and final	

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

assessment or settlement amount for cases closed:

\$109,940

IV.ENFORCEMENT ACTIONS AGAINST INDIVIDUALS IN FY 2017

A. CIVIL PENALTY CASES AGAINST INDIVIDUALS IN THE AGGREGATE

Total number of civil penalty cases initially assessed in FY 2017:	1
Total number of violations with civil penalties initially assessed in FY 2017:	1
Total initial amount of civil penalty assessed in FY 2017:	\$2,500
Number of civil penalty cases closed in FY 2017:	0
Total number of violations in cases closed in FY 2017:	0
Total initial amount of civil penalty assessed for cases closed in FY 2017:	\$0
Total final amount of civil penalty assessed (or settlement) for cases closed in FY 2017:	\$0
Amount terminated (generally due to legal defenses presented during settlement negotiations) for cases closed in FY 2017:	\$0
Amount of revised assessment (PRCA) after terminations:	\$0

B. OTHER ENFORCEMENT ACTIONS AGAINST INDIVIDUALS IN THE AGGREGATE

Number of notices of proposed disqualification issued and served in FY 2017:	7
Number of proposed disqualification cases closed in FY 2017:	7
Number of warning letters issued by Office of Chief Counsel in FY 2017:	0
Number of warning letters issued by regional offices of FRA Office of Railroad Safety (regional warning letters) in FY 2017:	24

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

FRA was statutorily mandated¹² to commission a report by an independent consultant examining FRA’s approach to achieving industry compliance with the Federal railroad safety laws and the hazmat safety laws and their implementing regulations, and the role of civil penalties in that process. The final report, dated July 15, 2009, was entitled, “The Federal Railroad Administration’s Use of Civil Penalties in the Federal Railroad Safety Program.” This report concludes on page 13 that—

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

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

¹² Consolidated Appropriations Act, 2008 (H.R. 2764; Public Law 110-161), House Appropriations Committee Print, Division K—Transportation, Housing and Urban Development, and Related Agencies Appropriations Act, 2008, Explanatory Statement, at 2367.

safety issues), as consistently as possible across the railroad industry . . . results in a rational, effective safety program.

As the independent consultant noted, FRA has long sought to determine whether enforcement actions measurably correlate with the imposition of civil penalties and with specific safety performance improvements. Previously, FRA found that the available data permits some measurement of safety improvements in a functional area covered by an entire rule or an entire safety program. However, FRA cannot determine from the data whether detectable safety improvements are directly attributable to discrete civil penalties. Accordingly, FRA relies heavily upon the knowledge and expertise of its field inspectors who are most familiar with the unique attributes of specific railroad operations, geographic territories, facilities, and safety practices. Subjectively, their nuanced perceptions and judgments indicate that issuing civil penalties yields observable improvements in safety practices and compliance with the law. However, it is important to note that civil penalties are by no means FRA's only enforcement tool.

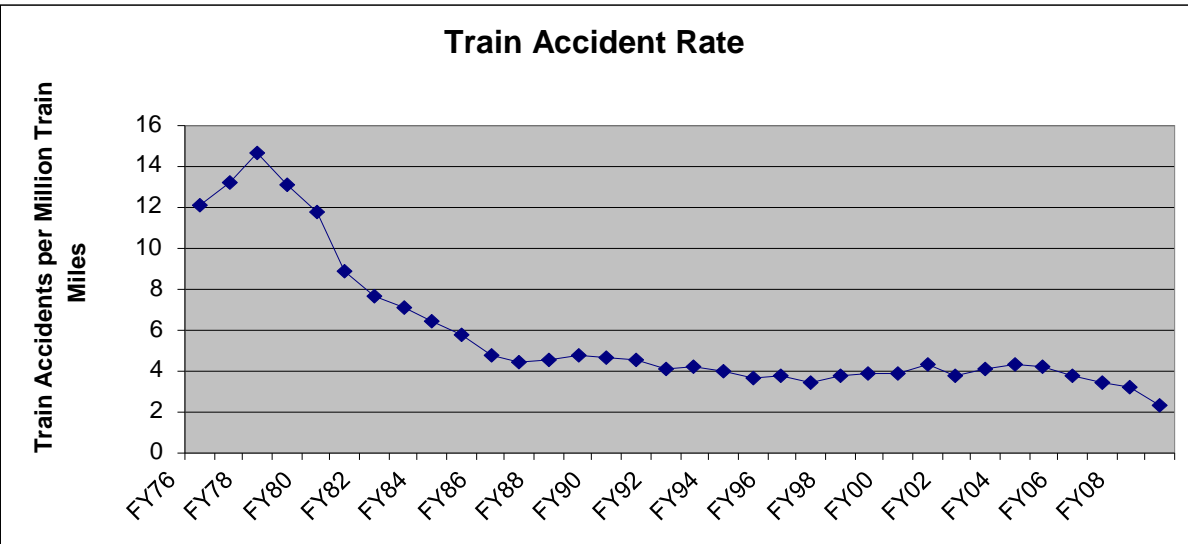
Thus, while FRA cannot precisely quantify the impact of civil penalties, it carefully monitors railroad reactions and responses to enforcement activity, and adjusts the intensity and duration of focused oversight as necessary. FRA compiles and analyzes a vast amount of data derived from reports the regulated railroads prepare and file with FRA. However, the report to Congress found that the data FRA uses to identify and track safety trends is typically developed separately from regulatory provisions that ameliorate the conditions leading to particular accident causes that have civil penalties associated with them. Results of this research found no meaningful correlation between specific accident cause codes and use of a civil penalty to enforce a specific regulatory provision, making statistically valid and reliable comparisons exceedingly difficult and statistically suspect or grossly inaccurate.

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

As stated in the independent consultant's report on page 41—

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

effective date of the rule. Nevertheless, each subject FRA regulates shows a response pattern generally similar to the graph shown below for train accident rates, which reflects the strongly positive effects of FRA's railroad safety program, including civil penalty enforcement, even though the data shown do not permit one to draw statistically valid conclusions about the precise effects of civil penalties, or other measures, in isolation. This dramatic improvement in railroad safety over the past 30 years suggests that FRA would be well advised to continue in the future to pursue the various measures and strategies that have guided its safety program in the past. As the results of this study suggest, it is the cumulative impact of these measures, one supporting and amplifying the other, that makes the difference.



VI. SUMMARY AND ANALYSIS OF OPERATING CREW CERTIFICATION CASES¹³

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

Petitions for relief filed with the LERB/OCRB in FY 2017: 116
[44 Conductor + 72 Locomotive Engineer]

Decisions issued by the LERB/OCRB in FY 2017: 106
[46 Conductor + 60 Locomotive Engineer]

Average length of time for decision in FY 2017: 285 days from the date petition filed¹⁴
(213 days from the date of the railroad's
response to the appeal to the date that a
decision was issued¹⁵)

B. ADMINISTRATIVE HEARINGS

Number of pending cases before the
Administrative Hearing Officer (AHO) as of October 1, 2016: 3

Number of requests for review
by the AHO received during FY 2017: 9

Number of cases closed by the AHO during FY 2017: ¹⁶ 4

Number of pending AHO cases as of October 1, 2017: 8

Average length of time for decision or other disposition: 7 months

C. APPEALS TO THE ADMINISTRATOR

Appeals to the Administrator from the AHO decisions filed in FY 2017: 0

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

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

¹⁵ See preceding footnote.

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

Number of Appeals Pending during FY 2017: (as of October 1, 2016, there were 5 cases pending)	5
Decisions issued by the Administrator during FY 2017:	3
Average length of time for decision issued in FY 2017: (from close of record to decision)	432 (calendar days)

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

Number of hearings requested in FY 2017:	0
Number of hearing-request cases completed in FY 2017:	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 2017:	0
Number of cases referred to the Attorney General for criminal enforcement in FY 2017:	0

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

1. On December 22, 2016, FRA entered into a three-year Compliance Agreement with Union Pacific Railroad Company (UP). The Agreement requires UP to improve the quality of its track maintenance, inspections, and training, including increased inspections on certain track and additional training and oversight of track inspectors.
2. On January 19, 2017, FRA and Southwestern Railroad, Inc. (SWRR) amended a 2015 Compliance Agreement (Agreement) between FRA and SWRR. On January 17, 2017, BNSF Railway Company (BNSF) resumed ownership and common carrier operations on the Carlsbad Division, which was previously leased to SWRR. The Agreement amendment terminated the Agreement as to the Carlsbad Division on 12:01am, January 17, 2017. All other terms and conditions of the Agreement remain in full force and effect as to SWRR and its Whitewater Division for the duration of the original three-year Agreement.

APPENDIX A
“Railroad Safety Civil Penalty Cases Closed during Fiscal Year 2017”



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


**RAILROAD SAFETY CIVIL PENALTY CASES
CLOSED DURING FISCAL YEAR 2017**

This report summarizes the disposition of all civil penalty cases for which the Federal Railroad Administration (FRA) reached an agreement to collect a civil penalty, issued an order requiring the payment of a civil penalty, or otherwise closed under the Federal railroad safety statutes and regulations and the hazardous materials transportation laws (HMT) during fiscal year 2017. FRA closed cases under most of these statutes by settlement, and under the HMT generally by final orders of assessment. An overview of FRA's Railroad Safety Enforcement Procedures is provided in 49 C.F.R. Part 209, Appendix A.

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

Railroad safety statutes (except HMT)	\$14,499,212
HMT	\$ 6,058,223
	<hr/>
Total Civil Penalties	\$ 20,577,435

FRA collected no civil penalty settlements or final assessments from individuals for alleged violations of the railroad safety laws in fiscal year 2017.


John T. Seguin
Assistant Chief Counsel for Safety

Abbreviations and Explanations of Terms Used in this Report

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

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

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

Abbreviations and Explanations of Terms Used in this Report

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

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CIS	Critical Incident Stress
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EP	Railroad Safety Enforcement
EQ	Engineer Qualifications
FCS	Freight Car Safety Standards
GC	Grade Crossing Signal Safety
GS	Safety Glazing Standards
HMT	Hazardous Materials Regulations
HS	Hours of Service Laws
HSR	Hours of Service Record Keeping
LI	Locomotive Safety Standards
PEQ	Passenger Equipment Safety Standards
REM	Rear End Marking Devices
RMM	Roadway Maintenance Machines
ROP	Railroad Operating Practices
ROR	Railroad Operating Rules
RSP	Railroad Communications
RW	Roadway Worker Protection
SA	Safety Appliance Statutes
SI	Positive Train Control
SI	Signal Inspection Regulations
TH	TRAIN HORN/QUIET ZONE
TS	Track Safety Standards

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FRA Civil Penalty Cases against Individuals
Closed in Fiscal Year 2017

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

Federal Railroad Administration
Safety Cases Closed in FY 2017

<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 2016-1(RW)	1	\$3,000	\$3,000	\$2,100	09/29/2017	
AB 2016-2(AR)	1	\$2,500	\$2,500	\$1,250	02/08/2017	
ABS 2016-1(TS)	2	\$10,000	\$10,000	\$7,300	09/29/2017	
ABS 2016-2(TS)	1	\$2,500	\$2,500	\$1,750	09/29/2017	
ABWR 2016-1(AD)	1	\$2,500	\$2,500	\$1,750	09/29/2017	
ACWR 2017-1(HS)	1	\$1,000	\$1,000	\$1,000	08/15/2017	
AERC 2017-1(FCS)	1	\$2,500	\$2,500	\$2,500	09/26/2017	
AERC 2017-2(GC)	1	\$1,000	\$1,000	\$1,000	09/26/2017	
AGR 2017-1(TS)	1	\$2,500	\$2,500	\$2,050	09/28/2017	
AGR 2017-2(LI)	1	\$2,500	\$2,500	\$2,050	09/28/2017	
AIKR 2017-1(GC)	2	\$7,500	\$7,500	\$1,300	08/15/2017	
AKMD 2016-1(TS)	2	\$7,500	\$7,500	\$6,100	09/28/2017	
AOK 2016-1(TS)	20	\$20,000	\$20,000	\$13,000	11/14/2016	
APPX 2017-1(SA)	1	\$5,000	\$5,000	\$5,000	09/25/2017	
ARR 2016-2(TS)	3	\$10,000	\$10,000	\$7,500	01/04/2017	
ARR 2016-3(EQ)	2	\$10,000	\$10,000	\$6,200	01/04/2017	
ARR 2017-1(EQ)	3	\$7,000	\$7,000	\$3,510	06/06/2017	
ARR 2017-2(GC)	1	\$2,500	\$2,500	\$1,750	09/14/2017	
ATAX 2016-1(RW)	1	\$1,000	\$1,000	\$1,000	01/11/2017	
ATK 2015-41(RW)	1	\$2,000	\$2,000	\$1,000	09/20/2017	
ATK 2016-17(TS)	1	\$5,000	\$5,000	\$4,000	09/20/2017	
ATK 2016-18(SI)	1	\$2,500	\$2,500	\$2,000	09/20/2017	
ATK 2016-19(HSR)	1	\$1,500	\$1,500	\$850	09/20/2017	
ATK 2016-20(RW)	1	\$2,000	\$0	\$0	09/20/2017	Case Terminated.
ATK 2016-21(ROR)	1	\$9,500	\$0	\$0	09/20/2017	Case Terminated.
ATK 2016-22(ROR)	1	\$9,500	\$9,500	\$4,900	09/20/2017	
ATK 2016-23(CC)	1	\$1,000	\$1,000	\$850	09/20/2017	
ATK 2016-24(RSP)	1	\$5,000	\$5,000	\$4,000	09/20/2017	
ATK 2016-25(RSP)	1	\$5,000	\$5,000	\$4,000	09/20/2017	
ATK 2016-26(PEQ)	1	\$2,500	\$2,500	\$2,000	09/20/2017	
ATK 2016-27(AD)	1	\$2,500	\$2,500	\$2,000	09/20/2017	
ATK 2016-28(RW)	2	\$2,000	\$2,000	\$1,000	09/20/2017	
ATK 2016-29(RW)	2	\$10,000	\$10,000	\$8,000	09/20/2017	
ATK 2016-30(RW)	7	\$66,000	\$66,000	\$52,800	09/20/2017	
ATK 2016-31(ROP)	1	\$7,500	\$7,500	\$5,700	09/20/2017	
ATK 2016-32(SI)	1	\$2,500	\$2,500	\$2,000	09/20/2017	
ATK 2016-33(ROP)	1	\$7,500	\$7,500	\$6,150	09/20/2017	
ATK 2016-34(HSR)	1	\$2,500	\$2,500	\$1,750	09/20/2017	
ATK 2016-35(HSR)	1	\$1,500	\$1,500	\$850	09/20/2017	
ATK 2016-36(LI)	1	\$2,500	\$2,500	\$2,000	09/20/2017	
ATK 2016-37(ROP)	1	\$5,000	\$5,000	\$4,100	09/20/2017	
ATK 2016-38(SI)	6	\$6,000	\$6,000	\$4,800	09/20/2017	
ATK 2016-39(CIS)	1	\$5,000	\$5,000	\$3,750	09/20/2017	
ATK 2016-40(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2016-41(ROR)	1	\$9,500	\$0	\$0	09/20/2017	Case Terminated.
ATK 2016-42(ROR)	1	\$9,500	\$9,500	\$7,600	09/20/2017	
ATK 2016-43(ROR)	1	\$9,500	\$9,500	\$4,900	09/20/2017	
ATK 2016-44(ROR)	1	\$9,500	\$9,500	\$4,900	09/20/2017	
ATK 2016-45(TS)	1	\$2,500	\$2,500	\$2,000	09/20/2017	

Federal Railroad Administration
Safety Cases Closed in FY 2017

<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 2016-46(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2016-47(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2016-48(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2016-49(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2016-50(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2016-51(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2016-52(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2016-53(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2016-54(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2016-55(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2016-56(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2016-57(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2016-58(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2016-59(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2016-60(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2016-61(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2016-62(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2016-63(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2016-64(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2016-65(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2016-66(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2016-67(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2016-68(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2016-69(AR)	1	\$2,500	\$0	\$0	09/20/2017	Case Terminated.
ATK 2016-70(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2016-71(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2016-72(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2016-73(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2016-74(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2016-75(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2016-76(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2016-77(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2016-78(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2016-79(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2016-80(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2016-81(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2016-82(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2016-83(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2016-84(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2016-85(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2016-86(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2016-87(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2016-88(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2016-89(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2016-90(AR)	1	\$2,500	\$0	\$0	09/20/2017	Case Terminated.
ATK 2016-91(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2016-92(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2016-93(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2016-94(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	

Federal Railroad Administration
Safety Cases Closed in FY 2017

<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 2016-95(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2016-96(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2017-1(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2017-2(PEQ)	1	\$1,000	\$1,000	\$850	09/20/2017	
ATK 2017-3(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2017-4(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2017-5(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2017-6(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2017-7(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2017-8(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2017-9(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2017-10(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2017-11(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2017-12(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2017-13(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2017-14(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2017-15(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2017-16(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2017-17(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2017-18(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2017-19(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2017-20(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2017-21(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2017-22(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2017-23(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2017-24(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2017-25(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2017-26(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2017-27(AR)	1	\$2,500	\$2,500	\$2,025	09/20/2017	
ATK 2017-28(SI)	1	\$2,500	\$2,500	\$2,000	09/20/2017	
ATK 2017-29(GC)	1	\$5,000	\$5,000	\$3,750	09/20/2017	
ATK 2017-38(SI)	1	\$1,000	\$1,000	\$1,000	09/21/2017	
ATN 2016-4(TS)	10	\$10,000	\$10,000	\$8,000	01/17/2017	
ATN 2016-5(HS)	5	\$5,000	\$5,000	\$3,250	01/17/2017	
ATN 2016-6(AD)	1	\$2,500	\$2,500	\$1,511	01/17/2017	
ATN 2016-7(AR)	1	\$2,500	\$2,500	\$1,700	01/17/2017	
ATN 2016-8(TS)	3	\$15,000	\$15,000	\$12,000	01/17/2017	
ATN 2016-9(TS)	1	\$1,000	\$1,000	\$839	01/17/2017	
ATN 2016-10(AR)	1	\$2,500	\$2,500	\$1,700	01/17/2017	
ATN 2017-1(TS)	3	\$15,000	\$15,000	\$12,000	06/22/2017	
ATN 2017-2(TS)	3	\$15,000	\$15,000	\$11,000	06/22/2017	
ATN 2017-3(TS)	8	\$32,500	\$32,500	\$20,000	06/23/2017	
ATW 2016-1(GC)	1	\$5,000	\$5,000	\$4,100	09/28/2017	
AVR 2016-1(SA)	1	\$5,000	\$5,000	\$3,000	11/03/2016	
AWRR 2017-1(SA)	1	\$2,500	\$2,500	\$1,750	09/29/2017	
BAP 2017-1(SA)	1	\$2,500	\$2,500	\$1,625	03/20/2017	
BAP 2017-2(SA)	1	\$2,500	\$2,500	\$1,625	03/20/2017	
BAYL 2016-4(LI)	2	\$5,000	\$5,000	\$3,900	09/28/2017	
BAYL 2016-5(HS)	1	\$1,000	\$1,000	\$850	09/28/2017	

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BAYL 2016-6(HS)	1	\$1,000	\$1,000	\$850	09/28/2017	
BAYL 2017-1(GC)	1	\$5,000	\$5,000	\$4,100	09/28/2017	
BB 2015-1(ROP)	1	\$7,500	\$7,500	\$4,500	03/24/2017	
BB 2015-2(TS)	1	\$5,000	\$5,000	\$3,500	03/24/2017	
BB 2016-1(GC)	1	\$2,500	\$2,500	\$1,875	03/24/2017	
BB 2016-2(SA)	1	\$5,000	\$5,000	\$4,000	03/30/2017	
BB 2016-3(SI)	2	\$2,000	\$2,000	\$1,800	03/24/2017	
BCR 2017-1(HMT)	1	\$2,000	\$2,000	\$2,000	05/08/2017	
BDW 2017-1(SA)	1	\$2,500	\$2,500	\$2,500	03/17/2017	
BDW 2017-2(ROP)	1	\$9,500	\$9,500	\$9,500	03/17/2017	
BHRR 2016-1(SA)	1	\$5,000	\$5,000	\$3,500	09/29/2017	
BHRR 2016-2(TS)	1	\$5,000	\$5,000	\$3,500	09/29/2017	
BLOL 2016-1(CC)	1	\$7,500	\$7,500	\$7,500	10/24/2016	
BLR 2014-2(TS)	1	\$2,500	\$2,500	\$1,650	07/11/2017	
BLR 2014-3(TS)	1	\$5,000	\$5,000	\$3,500	07/11/2017	
BLR 2014-6(AD)	2	\$5,000	\$5,000	\$3,000	07/11/2017	
BLR 2015-1(TS)	4	\$10,000	\$10,000	\$6,620	07/11/2017	
BLR 2015-2(EP)	1	\$1,000	\$1,000	\$650	07/11/2017	
BLR 2015-3(EP)	3	\$3,000	\$3,000	\$1,950	07/11/2017	
BLR 2016-1(ROP)	1	\$9,500	\$9,500	\$6,000	07/11/2017	
BLR 2016-2(TS)	2	\$5,000	\$5,000	\$3,300	07/11/2017	
BM 2016-1(TS)	2	\$10,000	\$10,000	\$8,200	09/29/2017	
BM 2016-2(TS)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
BM 2016-3(TS)	12	\$12,000	\$0	\$0	09/29/2017	Case Terminated.
BM 2017-1(TS)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
BM 2017-2(TS)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
BNSF 2012-37(HMT)	1	\$3,000	\$0	\$0	09/28/2017	Case Terminated.
BNSF 2013-267(SA)	1	\$2,500	\$2,500	\$2,100	09/28/2017	
BNSF 2013-485(RSP)	1	\$9,500	\$9,500	\$7,315	09/28/2017	
BNSF 2014-422(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2014-530(EQ)	1	\$5,000	\$5,000	\$4,100	09/28/2017	
BNSF 2014-678(HSR)	1	\$1,000	\$1,000	\$700	09/28/2017	
BNSF 2014-682(TS)	3	\$10,000	\$10,000	\$7,700	09/28/2017	
BNSF 2014-686(TS)	3	\$3,000	\$3,000	\$2,310	09/28/2017	
BNSF 2014-690(TS)	14	\$14,000	\$14,000	\$10,500	09/28/2017	
BNSF 2014-694(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2014-754(HS)	1	\$1,000	\$1,000	\$820	09/28/2017	
BNSF 2014-766(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2014-836(SI)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2015-62(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2015-78(ROP)	1	\$7,500	\$0	\$0	09/28/2017	Case Terminated.
BNSF 2015-92(FCS)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2015-96(LI)	1	\$2,500	\$2,500	\$1,625	09/28/2017	
BNSF 2015-108(TS)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2015-120(LI)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2015-369(HSR)	9	\$9,000	\$9,000	\$5,850	09/28/2017	
BNSF 2015-373(HSR)	9	\$9,000	\$9,000	\$5,850	09/28/2017	
BNSF 2015-436(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2015-506(TS)	1	\$1,000	\$1,000	\$770	09/28/2017	

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BNSF 2015-624(HS)	1	\$1,000	\$1,000	\$820	09/28/2017	
BNSF 2015-708(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2015-768(GC)	1	\$5,000	\$5,000	\$4,000	09/28/2017	
BNSF 2016-57(TS)	20	\$20,000	\$20,000	\$15,400	09/28/2017	
BNSF 2016-60(TS)	2	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-61(TS)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-69(AR)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2016-72(AR)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2016-90(TS)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-93(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-94(TS)	1	\$1,000	\$1,000	\$650	09/28/2017	
BNSF 2016-126(TS)	24	\$24,000	\$1,000	\$1,000	09/28/2017	Terminated Violations: 2-24.
BNSF 2016-132(AR)	4	\$10,000	\$10,000	\$7,800	09/28/2017	
BNSF 2016-141(FCS)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-165(SA)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2016-168(TS)	1	\$5,000	\$5,000	\$3,950	09/28/2017	
BNSF 2016-174(LI)	1	\$2,500	\$2,500	\$1,975	09/28/2017	
BNSF 2016-186(SA)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2016-204(TS)	4	\$15,000	\$15,000	\$11,850	09/28/2017	
BNSF 2016-207(TS)	6	\$22,500	\$22,500	\$17,325	09/28/2017	
BNSF 2016-216(AD)	6	\$15,000	\$15,000	\$11,550	09/28/2017	
BNSF 2016-219(LI)	2	\$4,000	\$4,000	\$3,080	09/28/2017	
BNSF 2016-226(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-231(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-236(LI)	1	\$2,500	\$2,500	\$2,125	09/28/2017	
BNSF 2016-237(TS)	2	\$5,000	\$5,000	\$3,950	09/28/2017	
BNSF 2016-238(HMT)	1	\$4,000	\$4,000	\$3,200	09/28/2017	
BNSF 2016-239(TS)	1	\$5,000	\$5,000	\$3,950	09/28/2017	
BNSF 2016-240(ROP)	1	\$9,500	\$5,000	\$5,000	09/28/2017	Partially Terminated Violation(s): 1.
BNSF 2016-241(ROP)	1	\$9,500	\$5,000	\$5,000	09/28/2017	Partially Terminated Violatin(s): 1.
BNSF 2016-242(ROP)	1	\$2,000	\$2,000	\$1,540	09/28/2017	
BNSF 2016-243(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-244(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-245(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-246(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-247(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-248(SA)	1	\$5,000	\$0	\$0	09/28/2017	Case Terminated.
BNSF 2016-249(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-250(SA)	1	\$5,000	\$0	\$0	09/28/2017	Case Terminated.
BNSF 2016-251(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-252(ROP)	1	\$2,000	\$2,000	\$1,540	09/28/2017	
BNSF 2016-253(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-254(TS)	1	\$1,000	\$1,000	\$850	09/28/2017	
BNSF 2016-255(ROP)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-256(ROP)	1	\$9,500	\$5,000	\$5,000	09/28/2017	Partially Terminated Violatin(s): 1.
BNSF 2016-257(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-258(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	

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BNSF 2016-259(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-260(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2017	
BNSF 2016-261(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-262(ROP)	1	\$9,500	\$0	\$0	09/28/2017	Case Terminated.
BNSF 2016-263(ROP)	2	\$15,000	\$4,000	\$4,000	09/28/2017	Partially Terminated Violation(s): 1.
BNSF 2016-264(SA)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2016-265(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-266(ROP)	1	\$7,500	\$2,000	\$2,000	09/28/2017	Partially Terminated Violatin(s): 1.
BNSF 2016-267(TS)	1	\$5,000	\$5,000	\$3,950	09/28/2017	
BNSF 2016-268(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-269(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-270(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-271(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-272(SA)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2016-273(LI)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-274(HMT)	1	\$1,000	\$1,000	\$800	09/28/2017	
BNSF 2016-275(HMT)	1	\$3,000	\$3,000	\$2,400	09/28/2017	
BNSF 2016-276(TS)	4	\$10,000	\$10,000	\$7,900	09/28/2017	
BNSF 2016-277(TS)	4	\$10,000	\$10,000	\$7,900	09/28/2017	
BNSF 2016-278(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-279(EP)	1	\$1,000	\$1,000	\$650	09/28/2017	
BNSF 2016-280(ROP)	2	\$15,000	\$4,000	\$4,000	09/28/2017	Partially Terminated Violation(s): 1, 2.
BNSF 2016-281(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-282(ROP)	1	\$9,500	\$9,500	\$7,315	09/28/2017	
BNSF 2016-283(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-284(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-285(SA)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-286(SA)	1	\$5,000	\$0	\$0	09/28/2017	Case Terminated.
BNSF 2016-287(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-288(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-289(SA)	1	\$2,500	\$2,500	\$2,100	09/28/2017	
BNSF 2016-290(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-291(TS)	2	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-292(TS)	3	\$7,500	\$7,500	\$5,850	09/28/2017	
BNSF 2016-293(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-294(AD)	2	\$10,000	\$10,000	\$8,600	09/28/2017	
BNSF 2016-295(EP)	1	\$1,000	\$1,000	\$650	09/28/2017	
BNSF 2016-296(TS)	4	\$10,000	\$10,000	\$7,900	09/28/2017	
BNSF 2016-297(ROP)	1	\$2,000	\$2,000	\$1,540	09/28/2017	
BNSF 2016-298(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-299(TS)	3	\$10,000	\$10,000	\$7,900	09/28/2017	
BNSF 2016-300(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-301(SI)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-302(FCS)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2016-303(FCS)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2016-304(FCS)	1	\$2,500	\$2,500	\$1,900	09/28/2017	
BNSF 2016-305(FCS)	1	\$2,500	\$2,500	\$1,900	09/28/2017	

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BNSF 2016-306(FCS)	1	\$2,500	\$2,500	\$1,900	09/28/2017	
BNSF 2016-307(FCS)	1	\$2,500	\$2,500	\$1,900	09/28/2017	
BNSF 2016-308(FCS)	1	\$2,500	\$2,500	\$1,900	09/28/2017	
BNSF 2016-309(FCS)	1	\$2,500	\$2,500	\$1,900	09/28/2017	
BNSF 2016-310(LI)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-311(RW)	2	\$4,500	\$0	\$0	09/28/2017	Case Terminated.
BNSF 2016-312(LI)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-313(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-314(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-315(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-316(ROP)	1	\$9,500	\$9,500	\$7,315	09/28/2017	
BNSF 2016-317(ROP)	1	\$2,000	\$2,000	\$1,540	09/28/2017	
BNSF 2016-318(TS)	2	\$7,500	\$7,500	\$5,850	09/28/2017	
BNSF 2016-319(TS)	3	\$3,000	\$3,000	\$2,310	09/28/2017	
BNSF 2016-320(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-321(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-322(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-323(ROP)	1	\$2,000	\$2,000	\$1,540	09/28/2017	
BNSF 2016-324(ROP)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-325(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-326(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-327(SA)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2016-328(SA)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2016-329(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-330(SA)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2016-331(SA)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2016-332(SA)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2016-333(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-334(SA)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2016-335(SA)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2016-336(HS)	2	\$2,000	\$2,000	\$1,540	09/28/2017	
BNSF 2016-337(HS)	2	\$2,000	\$2,000	\$1,540	09/28/2017	
BNSF 2016-339(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-340(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-341(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-342(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-343(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-344(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-345(ROP)	2	\$4,000	\$4,000	\$3,080	09/28/2017	
BNSF 2016-346(FCS)	1	\$2,500	\$2,500	\$1,900	09/28/2017	
BNSF 2016-347(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-348(SA)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2016-349(TS)	1	\$5,000	\$5,000	\$3,950	09/28/2017	
BNSF 2016-350(ROP)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-351(ROP)	1	\$9,500	\$5,000	\$5,000	09/28/2017	Partially Terminated Violation(s): 1.
BNSF 2016-352(TS)	3	\$4,500	\$4,500	\$3,500	09/28/2017	
BNSF 2016-353(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-354(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-355(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	

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BNSF 2016-356(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-357(SI)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2016-358(ROP)	1	\$2,000	\$2,000	\$1,540	09/28/2017	
BNSF 2016-359(ROP)	1	\$9,500	\$5,000	\$5,000	09/28/2017	Partially Terminated Violation(s): 1.
BNSF 2016-360(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-361(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-362(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-363(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-364(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-365(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-366(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-367(SA)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2016-368(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-369(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-370(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-371(SA)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-372(SA)	1	\$2,500	\$2,500	\$2,100	09/28/2017	
BNSF 2016-373(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-374(SA)	1	\$5,000	\$0	\$0	09/28/2017	Case Terminated.
BNSF 2016-375(SA)	1	\$2,500	\$2,500	\$2,000	09/28/2017	
BNSF 2016-376(SA)	1	\$5,000	\$5,000	\$4,000	09/28/2017	
BNSF 2016-377(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-378(LI)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-379(ROP)	1	\$9,500	\$5,000	\$5,000	09/28/2017	Partially Terminated Violation(s): 1.
BNSF 2016-380(ROP)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-381(ROP)	2	\$15,000	\$4,000	\$4,000	09/28/2017	Partially Terminated Violation(s): 1, 2.
BNSF 2016-382(ROP)	1	\$9,500	\$9,500	\$7,315	09/28/2017	
BNSF 2016-383(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-384(TS)	2	\$7,500	\$7,500	\$5,850	09/28/2017	
BNSF 2016-385(SI)	1	\$2,500	\$2,500	\$1,906	09/28/2017	
BNSF 2016-386(AR)	1	\$1,000	\$1,000	\$770	09/28/2017	
BNSF 2016-387(TS)	2	\$7,500	\$7,500	\$5,850	09/28/2017	
BNSF 2016-388(TS)	1	\$1,000	\$1,000	\$650	09/28/2017	
BNSF 2016-389(TS)	1	\$1,000	\$1,000	\$650	09/28/2017	
BNSF 2016-390(TS)	1	\$1,000	\$1,000	\$650	09/28/2017	
BNSF 2016-391(TS)	1	\$1,000	\$1,000	\$650	09/28/2017	
BNSF 2016-392(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-393(TS)	4	\$17,500	\$17,500	\$13,475	09/28/2017	
BNSF 2016-394(TS)	1	\$5,000	\$5,000	\$3,950	09/28/2017	
BNSF 2016-395(TS)	1	\$1,000	\$1,000	\$650	09/28/2017	
BNSF 2016-396(ROP)	1	\$7,500	\$2,000	\$2,000	09/28/2017	Partially Terminated Violation(s): 1.
BNSF 2016-397(ROP)	1	\$2,000	\$2,000	\$1,540	09/28/2017	
BNSF 2016-398(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-399(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-400(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-401(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-402(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	

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BNSF 2016-403(ROP)	1	\$9,500	\$9,500	\$7,315	09/28/2017	
BNSF 2016-405(ROP)	1	\$5,000	\$2,000	\$2,000	09/28/2017	Partially Terminated Violation(s): 1.
BNSF 2016-406(ROP)	1	\$7,500	\$2,000	\$2,000	09/28/2017	Partially Terminated Violation(s): 1.
BNSF 2016-407(ROP)	1	\$2,000	\$2,000	\$1,540	09/28/2017	
BNSF 2016-408(LI)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-409(LI)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-410(GC)	1	\$5,000	\$5,000	\$3,650	09/28/2017	
BNSF 2016-411(TS)	1	\$5,000	\$5,000	\$3,950	09/28/2017	
BNSF 2016-412(TS)	33	\$82,500	\$82,500	\$63,525	09/28/2017	
BNSF 2016-413(ROP)	1	\$9,500	\$9,500	\$7,505	09/28/2017	
BNSF 2016-414(ROP)	1	\$7,500	\$7,500	\$4,875	09/28/2017	
BNSF 2016-415(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-416(ROP)	1	\$7,500	\$7,500	\$5,700	09/28/2017	
BNSF 2016-417(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-418(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-419(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-420(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-421(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-422(SA)	1	\$5,000	\$0	\$0	09/28/2017	Case Terminated.
BNSF 2016-423(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-424(TS)	1	\$1,000	\$1,000	\$770	09/28/2017	
BNSF 2016-425(TS)	1	\$1,000	\$1,000	\$770	09/28/2017	
BNSF 2016-426(FCS)	1	\$5,000	\$5,000	\$3,950	09/28/2017	
BNSF 2016-427(FCS)	1	\$5,000	\$5,000	\$3,950	09/28/2017	
BNSF 2016-428(FCS)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2016-429(ROP)	1	\$7,500	\$2,000	\$2,000	09/28/2017	Partially Terminated Violation(s): 1.
BNSF 2016-430(ROP)	1	\$9,500	\$9,500	\$7,410	09/28/2017	
BNSF 2016-431(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-432(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-433(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-434(HMT)	4	\$12,000	\$5,000	\$5,000	09/28/2017	Partially Terminated Violation(s): 1.
BNSF 2016-435(HMT)	1	\$4,000	\$4,000	\$3,200	09/28/2017	
BNSF 2016-436(ROP)	1	\$9,500	\$9,500	\$7,410	09/28/2017	
BNSF 2016-437(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-438(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-439(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-440(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-441(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-442(TS)	1	\$2,000	\$2,000	\$1,540	09/28/2017	
BNSF 2016-443(ROP)	1	\$2,000	\$2,000	\$1,540	09/28/2017	
BNSF 2016-444(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-445(ROP)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-446(ROP)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-447(GC)	1	\$5,000	\$5,000	\$3,650	09/28/2017	
BNSF 2016-448(LI)	2	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-449(HMT)	1	\$7,500	\$7,500	\$6,000	09/28/2017	
BNSF 2016-450(SA)	1	\$2,500	\$2,500	\$1,950	09/28/2017	

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BNSF 2016-451(SA)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-452(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-453(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-454(SA)	1	\$5,000	\$0	\$0	09/28/2017	Case Terminated.
BNSF 2016-455(SA)	1	\$5,000	\$0	\$0	09/28/2017	Case Terminated.
BNSF 2016-456(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-457(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-458(SA)	1	\$5,000	\$0	\$0	09/28/2017	Case Terminated.
BNSF 2016-459(AR)	1	\$2,500	\$2,500	\$1,900	09/28/2017	
BNSF 2016-460(TS)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2016-461(TS)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2016-462(TS)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2016-463(TS)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2016-464(TS)	2	\$2,000	\$2,000	\$1,675	09/28/2017	
BNSF 2016-465(TS)	1	\$1,000	\$1,000	\$650	09/28/2017	
BNSF 2016-466(TS)	1	\$1,000	\$1,000	\$650	09/28/2017	
BNSF 2016-467(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-468(ROP)	1	\$2,000	\$2,000	\$1,540	09/28/2017	
BNSF 2016-469(SA)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2016-470(SA)	1	\$5,000	\$0	\$0	09/28/2017	Case Terminated.
BNSF 2016-471(SA)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-472(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-473(SA)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-474(SA)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-475(FCS)	1	\$5,000	\$5,000	\$3,950	09/28/2017	
BNSF 2016-476(ROP)	1	\$2,000	\$2,000	\$1,540	09/28/2017	
BNSF 2016-477(TS)	2	\$2,000	\$2,000	\$1,540	09/28/2017	
BNSF 2016-478(FCS)	1	\$2,500	\$2,500	\$1,900	09/28/2017	
BNSF 2016-479(FCS)	1	\$2,500	\$2,500	\$1,900	09/28/2017	
BNSF 2016-480(FCS)	1	\$2,500	\$2,500	\$1,900	09/28/2017	
BNSF 2016-481(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-482(SA)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-483(SA)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-484(SA)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2016-485(SA)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2016-486(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-487(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-488(ROP)	2	\$4,000	\$4,000	\$3,080	09/28/2017	
BNSF 2016-489(ROP)	1	\$7,500	\$2,000	\$2,000	09/28/2017	Partially Terminated Violation(s): 1.
BNSF 2016-490(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-491(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-492(ROP)	1	\$7,500	\$2,000	\$2,000	09/28/2017	Partially Terminated Violation(s): 1.
BNSF 2016-493(ROP)	1	\$2,000	\$2,000	\$1,540	09/28/2017	
BNSF 2016-494(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-495(ROP)	1	\$2,000	\$2,000	\$1,540	09/28/2017	
BNSF 2016-496(FCS)	1	\$2,500	\$2,500	\$1,900	09/28/2017	
BNSF 2016-497(TS)	2	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-498(TS)	2	\$7,500	\$7,500	\$5,775	09/28/2017	

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BNSF 2016-500(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-501(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-502(HMT)	2	\$13,500	\$13,500	\$10,395	09/28/2017	
BNSF 2016-503(FCS)	1	\$2,500	\$2,500	\$1,900	09/28/2017	
BNSF 2016-504(TS)	1	\$1,000	\$1,000	\$770	09/28/2017	
BNSF 2016-505(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-506(ROP)	6	\$12,000	\$12,000	\$9,240	09/28/2017	
BNSF 2016-507(ROP)	1	\$2,000	\$2,000	\$1,540	09/28/2017	
BNSF 2016-508(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-509(TS)	3	\$10,000	\$10,000	\$7,700	09/28/2017	
BNSF 2016-510(TS)	4	\$10,000	\$10,000	\$7,700	09/28/2017	
BNSF 2016-511(TS)	2	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-512(TS)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-513(TS)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-514(TS)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2016-515(TS)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-516(TS)	3	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-517(TS)	2	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-518(SI)	1	\$2,500	\$2,500	\$1,906	09/28/2017	
BNSF 2016-519(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-520(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-521(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-522(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-523(LI)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-524(GC)	1	\$5,000	\$5,000	\$3,650	09/28/2017	
BNSF 2016-525(LI)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-526(EP)	1	\$1,000	\$1,000	\$650	09/28/2017	
BNSF 2016-527(EP)	1	\$1,000	\$1,000	\$650	09/28/2017	
BNSF 2016-528(TS)	1	\$5,000	\$5,000	\$5,000	09/28/2017	
BNSF 2016-529(TS)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2016-530(TS)	2	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-531(TS)	4	\$10,000	\$10,000	\$7,700	09/28/2017	
BNSF 2016-532(TS)	4	\$11,000	\$11,000	\$8,470	09/28/2017	
BNSF 2016-533(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-534(TS)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-535(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-536(TS)	2	\$10,000	\$10,000	\$7,700	09/28/2017	
BNSF 2016-537(TS)	2	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-538(ROP)	1	\$7,500	\$2,000	\$2,000	09/28/2017	Partially Terminated Violation(s): 1.
BNSF 2016-539(SA)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2016-540(SA)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-541(SA)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-542(SA)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-543(SA)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2016-544(SA)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-545(SA)	1	\$10,000	\$10,000	\$7,700	09/28/2017	
BNSF 2016-546(SA)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-547(SA)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-548(SA)	1	\$2,500	\$2,500	\$1,950	09/28/2017	

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BNSF 2016-549(SA)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-550(TS)	1	\$1,000	\$1,000	\$1,000	09/28/2017	
BNSF 2016-551(TS)	3	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-552(SA)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-553(SA)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-554(SA)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-555(SA)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2016-556(ROP)	1	\$7,500	\$2,000	\$2,000	09/28/2017	Partially Terminated Violation(s): 1.
BNSF 2016-557(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-558(ROP)	1	\$7,500	\$7,500	\$6,075	09/28/2017	
BNSF 2016-559(ROP)	2	\$4,000	\$4,000	\$3,080	09/28/2017	
BNSF 2016-560(HMT)	2	\$14,000	\$14,000	\$9,800	09/28/2017	
BNSF 2016-561(HMT)	2	\$4,000	\$3,000	\$2,800	09/28/2017	Partially Terminated Violation(s): 1.
BNSF 2016-562(HMT)	1	\$6,000	\$6,000	\$4,620	09/28/2017	
BNSF 2016-563(SA)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-565(EP)	1	\$2,500	\$1,000	\$650	09/28/2017	Partially Terminated Violation(s): 1.
BNSF 2016-566(EP)	1	\$1,000	\$1,000	\$650	09/28/2017	
BNSF 2016-567(EP)	1	\$1,000	\$1,000	\$650	09/28/2017	
BNSF 2016-568(EP)	1	\$1,000	\$1,000	\$650	09/28/2017	
BNSF 2016-569(EP)	1	\$1,000	\$1,000	\$650	09/28/2017	
BNSF 2016-570(FCS)	1	\$2,500	\$2,500	\$1,900	09/28/2017	
BNSF 2016-571(HSR)	19	\$19,000	\$19,000	\$12,350	09/28/2017	
BNSF 2016-572(HSR)	18	\$18,000	\$18,000	\$11,700	09/28/2017	
BNSF 2016-574(HSR)	19	\$19,000	\$19,000	\$12,400	09/28/2017	
BNSF 2016-575(HSR)	20	\$20,000	\$20,000	\$13,000	09/28/2017	
BNSF 2016-577(HSR)	20	\$20,000	\$20,000	\$13,000	09/28/2017	
BNSF 2016-579(SA)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-580(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-581(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-582(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-583(TS)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-584(TS)	4	\$8,500	\$8,500	\$6,545	09/28/2017	
BNSF 2016-585(TS)	2	\$2,000	\$2,000	\$1,675	09/28/2017	
BNSF 2016-586(TS)	1	\$1,000	\$1,000	\$840	09/28/2017	
BNSF 2016-587(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-588(SA)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2016-590(ROP)	1	\$9,500	\$5,000	\$5,000	09/28/2017	Partially Terminated Violation(s): 1.
BNSF 2016-591(SA)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-592(SA)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-593(SA)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-594(SA)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-595(ROP)	1	\$9,500	\$9,500	\$7,315	09/28/2017	
BNSF 2016-596(SA)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2016-597(ROP)	1	\$9,500	\$9,500	\$7,315	09/28/2017	
BNSF 2016-598(SA)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-599(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-600(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	

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BNSF 2016-601(SA)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-602(SA)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2016-603(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-604(RW)	1	\$3,000	\$3,000	\$2,525	09/28/2017	
BNSF 2016-605(GC)	1	\$5,000	\$5,000	\$3,650	09/28/2017	
BNSF 2016-607(GC)	1	\$7,500	\$7,500	\$5,475	09/28/2017	
BNSF 2016-608(EP)	1	\$1,000	\$0	\$0	09/28/2017	Case Terminated.
BNSF 2016-609(ROP)	1	\$7,500	\$2,000	\$2,000	09/28/2017	Partially Terminated Violation(s): 1.
BNSF 2016-610(ROP)	1	\$2,000	\$2,000	\$1,540	09/28/2017	
BNSF 2016-611(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-613(TS)	2	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-614(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-615(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-616(TS)	2	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-618(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-619(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-620(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-621(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-622(ROP)	1	\$7,500	\$2,000	\$2,000	09/28/2017	Partially Terminated Violation(s): 1.
BNSF 2016-623(ROP)	1	\$2,000	\$2,000	\$1,540	09/28/2017	
BNSF 2016-624(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-625(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-626(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-627(ROP)	1	\$2,000	\$2,000	\$1,540	09/28/2017	
BNSF 2016-628(ROP)	2	\$15,000	\$15,000	\$11,550	09/28/2017	
BNSF 2016-629(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-630(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-631(ROP)	1	\$2,000	\$2,000	\$1,540	09/28/2017	
BNSF 2016-632(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-633(ROP)	1	\$2,000	\$2,000	\$1,540	09/28/2017	
BNSF 2016-634(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-635(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-636(SA)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-637(SA)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-638(SA)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-639(SA)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2016-640(SA)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-641(SA)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2016-642(SA)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-643(SA)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-644(SA)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-645(SA)	1	\$5,000	\$5,000	\$2,500	09/28/2017	
BNSF 2016-646(SA)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-647(ROP)	1	\$7,500	\$2,000	\$2,000	09/28/2017	Partially Terminated Violation(s): 1.
BNSF 2016-648(ROP)	2	\$15,000	\$15,000	\$11,550	09/28/2017	
BNSF 2016-649(ROP)	1	\$7,500	\$2,000	\$2,000	09/28/2017	Partially Terminated Violation(s): 1.
BNSF 2016-650(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	

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BNSF 2016-651(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-652(TS)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-653(TS)	2	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-655(SA)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-656(SA)	1	\$2,500	\$2,500	\$2,100	09/28/2017	
BNSF 2016-657(SA)	1	\$2,500	\$2,500	\$2,100	09/28/2017	
BNSF 2016-658(SA)	1	\$2,500	\$2,500	\$2,100	09/28/2017	
BNSF 2016-659(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-660(SA)	1	\$2,500	\$2,500	\$2,100	09/28/2017	
BNSF 2016-661(SA)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-662(SA)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2016-663(EP)	1	\$1,000	\$1,000	\$839	09/28/2017	
BNSF 2016-664(EP)	1	\$1,000	\$1,000	\$839	09/28/2017	
BNSF 2016-665(EP)	1	\$1,000	\$1,000	\$839	09/28/2017	
BNSF 2016-666(EP)	1	\$1,000	\$1,000	\$839	09/28/2017	
BNSF 2016-667(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-668(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-669(RSP)	1	\$5,000	\$5,000	\$4,500	09/28/2017	
BNSF 2016-670(RSP)	1	\$5,000	\$5,000	\$4,500	09/28/2017	
BNSF 2016-671(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-672(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-673(ROP)	2	\$15,000	\$15,000	\$11,550	09/28/2017	
BNSF 2016-675(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-676(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-678(EP)	1	\$1,000	\$1,000	\$839	09/28/2017	
BNSF 2016-679(EP)	1	\$1,000	\$1,000	\$839	09/28/2017	
BNSF 2016-681(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-682(FCS)	1	\$2,500	\$2,500	\$1,900	09/28/2017	
BNSF 2016-683(ROP)	2	\$4,000	\$4,000	\$3,080	09/28/2017	
BNSF 2016-684(ROP)	1	\$7,500	\$2,000	\$2,000	09/28/2017	Partially Terminated Violation(s): 1.
BNSF 2016-685(ROP)	2	\$4,000	\$4,000	\$3,000	09/28/2017	
BNSF 2016-686(ROP)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-687(ROP)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-688(ROP)	1	\$5,000	\$0	\$0	09/28/2017	Case Terminated.
BNSF 2016-689(ROP)	1	\$9,500	\$0	\$0	09/28/2017	Case Terminated.
BNSF 2016-690(ROP)	1	\$7,500	\$2,000	\$2,000	09/28/2017	Partially Terminated Violation(s): 1.
BNSF 2016-691(ROP)	1	\$7,500	\$2,000	\$2,000	09/28/2017	Partially Terminated Violation(s): 1.
BNSF 2016-692(ROP)	1	\$9,500	\$9,500	\$7,125	09/28/2017	
BNSF 2016-693(ROP)	1	\$7,500	\$7,500	\$5,625	09/28/2017	
BNSF 2016-694(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-695(ROP)	1	\$7,500	\$2,000	\$2,000	09/28/2017	Partially Terminated Violation(s): 1.
BNSF 2016-696(HMT)	7	\$56,000	\$6,000	\$5,200	09/28/2017	Partially Terminated Violation(s): 1-7.
BNSF 2016-697(SA)	1	\$2,500	\$2,500	\$2,075	09/28/2017	
BNSF 2016-698(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-699(SA)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2016-700(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	

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BNSF 2016-701(ROP)	1	\$2,000	\$2,000	\$1,675	09/28/2017	
BNSF 2016-702(ROP)	1	\$7,500	\$2,000	\$2,000	09/28/2017	Partially Terminated Violation(s): 1.
BNSF 2016-703(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-704(FCS)	1	\$5,000	\$5,000	\$3,800	09/28/2017	
BNSF 2016-705(RW)	1	\$10,000	\$10,000	\$8,000	09/28/2017	
BNSF 2016-707(HMT)	1	\$4,000	\$4,000	\$3,200	09/28/2017	
BNSF 2016-708(HMT)	2	\$9,500	\$9,500	\$7,315	09/28/2017	
BNSF 2016-709(TS)	1	\$5,000	\$5,000	\$5,000	09/28/2017	
BNSF 2016-710(HMT)	2	\$3,000	\$3,000	\$2,400	09/28/2017	
BNSF 2016-711(HMT)	1	\$1,000	\$1,000	\$650	09/28/2017	
BNSF 2016-712(RW)	1	\$3,000	\$3,000	\$2,310	09/28/2017	
BNSF 2016-713(RW)	1	\$3,000	\$3,000	\$2,525	09/28/2017	
BNSF 2016-714(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-715(GC)	1	\$5,000	\$5,000	\$3,650	09/28/2017	
BNSF 2016-716(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-717(TS)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-718(TS)	1	\$1,000	\$1,000	\$839	09/28/2017	
BNSF 2016-719(TS)	6	\$15,000	\$15,000	\$11,550	09/28/2017	
BNSF 2016-720(TS)	4	\$10,000	\$10,000	\$7,700	09/28/2017	
BNSF 2016-721(TS)	5	\$12,500	\$12,500	\$9,625	09/28/2017	
BNSF 2016-722(TS)	3	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-723(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-725(TS)	1	\$1,000	\$1,000	\$839	09/28/2017	
BNSF 2016-726(TS)	3	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-727(TS)	3	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-728(TS)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-729(TS)	1	\$1,000	\$1,000	\$839	09/28/2017	
BNSF 2016-730(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-731(TS)	3	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-732(TS)	2	\$3,500	\$3,500	\$2,695	09/28/2017	
BNSF 2016-733(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-734(TS)	5	\$5,000	\$5,000	\$4,195	09/28/2017	
BNSF 2016-735(ROP)	1	\$2,000	\$2,000	\$1,675	09/28/2017	
BNSF 2016-736(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-737(HMT)	1	\$2,000	\$2,000	\$1,625	09/28/2017	
BNSF 2016-738(HMT)	1	\$2,000	\$2,000	\$1,625	09/28/2017	
BNSF 2016-740(ROP)	1	\$7,500	\$7,500	\$7,500	09/28/2017	
BNSF 2016-741(FCS)	1	\$2,500	\$2,500	\$1,900	09/28/2017	
BNSF 2016-742(HMT)	2	\$2,000	\$2,000	\$1,625	09/28/2017	
BNSF 2016-743(SA)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2016-744(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-745(SA)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2016-746(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-747(SA)	2	\$10,000	\$10,000	\$7,800	09/28/2017	
BNSF 2016-748(SA)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2016-749(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-750(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-751(SA)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2016-752(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	

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BNSF 2016-753(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-754(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-755(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-756(SA)	1	\$5,000	\$5,000	\$3,950	09/28/2017	
BNSF 2016-757(RW)	2	\$7,000	\$7,000	\$5,460	09/28/2017	
BNSF 2016-758(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-759(ROP)	1	\$7,500	\$2,000	\$2,000	09/28/2017	Partially Terminated Violation(s): 1.
BNSF 2016-760(ROP)	1	\$7,500	\$2,000	\$2,000	09/28/2017	Partially Terminated Violation(s): 1.
BNSF 2016-761(ROP)	1	\$2,000	\$2,000	\$1,675	09/28/2017	
BNSF 2016-762(ROP)	1	\$2,000	\$2,000	\$1,675	09/28/2017	
BNSF 2016-763(SA)	1	\$5,000	\$5,000	\$3,950	09/28/2017	
BNSF 2016-764(FCS)	1	\$2,500	\$2,500	\$1,900	09/28/2017	
BNSF 2016-765(SA)	1	\$5,000	\$5,000	\$4,000	09/28/2017	
BNSF 2016-766(SA)	1	\$5,000	\$5,000	\$3,950	09/28/2017	
BNSF 2016-767(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-768(FCS)	2	\$10,000	\$5,000	\$4,800	09/28/2017	Partially Terminated Violation(s): 1.
BNSF 2016-769(ROP)	1	\$9,500	\$9,500	\$7,315	09/28/2017	
BNSF 2016-770(RMM)	2	\$10,000	\$10,000	\$7,700	09/28/2017	
BNSF 2016-771(TS)	3	\$10,000	\$10,000	\$7,700	09/28/2017	
BNSF 2016-772(TS)	2	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-773(TS)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-774(FCS)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-775(TS)	2	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-776(TS)	5	\$5,000	\$3,000	\$2,517	09/28/2017	Partially Terminated Violation(s): 1.
BNSF 2016-777(TS)	5	\$5,000	\$2,000	\$1,678	09/28/2017	Partially Terminated Violation(s): 1.
BNSF 2016-778(TS)	5	\$5,000	\$3,000	\$2,517	09/28/2017	Partially Terminated Violation(s): 1.
BNSF 2016-779(TS)	5	\$5,000	\$2,000	\$1,678	09/28/2017	Partially Terminated Violation(s): 1.
BNSF 2016-780(TS)	2	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-781(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-782(ROP)	1	\$9,500	\$9,500	\$7,315	09/28/2017	
BNSF 2016-783(ROP)	2	\$4,000	\$4,000	\$3,080	09/28/2017	
BNSF 2016-784(ROP)	2	\$15,000	\$0	\$0	09/28/2017	Case Terminated.
BNSF 2016-785(ROP)	1	\$2,000	\$2,000	\$1,675	09/28/2017	
BNSF 2016-786(ROP)	1	\$2,000	\$2,000	\$1,675	09/28/2017	
BNSF 2016-787(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-788(BW)	1	\$5,000	\$5,000	\$4,000	09/28/2017	
BNSF 2016-789(SA)	1	\$5,000	\$5,000	\$4,000	09/28/2017	
BNSF 2016-790(SA)	1	\$5,000	\$5,000	\$3,950	09/28/2017	
BNSF 2016-791(TS)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-792(TS)	4	\$10,000	\$10,000	\$7,700	09/28/2017	
BNSF 2016-793(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-794(ROP)	1	\$7,500	\$2,000	\$2,000	09/28/2017	Partially Terminated Violation(s): 1.
BNSF 2016-795(HMT)	1	\$4,500	\$4,500	\$3,650	09/28/2017	

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BNSF 2016-796(ROP)	1	\$9,500	\$9,500	\$7,315	09/28/2017	
BNSF 2016-797(TS)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-798(SI)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-799(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-800(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-801(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-802(TS)	3	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-803(TS)	1	\$2,500	\$2,500	\$2,500	09/28/2017	
BNSF 2016-804(TS)	2	\$5,000	\$5,000	\$5,000	09/28/2017	
BNSF 2016-805(TS)	2	\$2,000	\$2,000	\$1,678	09/28/2017	
BNSF 2016-806(TS)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-807(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-808(ROP)	1	\$2,000	\$2,000	\$1,675	09/28/2017	
BNSF 2016-809(TS)	1	\$1,000	\$1,000	\$839	09/28/2017	
BNSF 2016-810(TS)	3	\$3,000	\$3,000	\$2,517	09/28/2017	
BNSF 2016-811(TS)	4	\$4,000	\$4,000	\$3,356	09/28/2017	
BNSF 2016-812(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-813(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-814(SI)	1	\$1,000	\$1,000	\$839	09/28/2017	
BNSF 2016-815(TS)	1	\$2,500	\$2,500	\$2,500	09/28/2017	
BNSF 2016-816(SA)	1	\$5,000	\$5,000	\$3,950	09/28/2017	
BNSF 2016-817(SA)	1	\$2,500	\$2,500	\$1,975	09/28/2017	
BNSF 2016-818(TS)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-819(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-820(HMT)	1	\$2,500	\$2,500	\$2,025	09/28/2017	
BNSF 2016-821(ROP)	1	\$9,500	\$9,500	\$7,315	09/28/2017	
BNSF 2016-822(EP)	1	\$1,000	\$1,000	\$839	09/28/2017	
BNSF 2016-823(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-824(TS)	93	\$93,000	\$0	\$0	09/28/2017	Case Terminated.
BNSF 2016-825(TS)	11	\$27,500	\$27,500	\$21,175	09/28/2017	
BNSF 2016-827(SA)	1	\$5,000	\$5,000	\$3,950	09/28/2017	
BNSF 2016-828(GC)	1	\$5,000	\$5,000	\$4,150	09/28/2017	
BNSF 2016-829(SA)	1	\$5,000	\$5,000	\$3,950	09/28/2017	
BNSF 2016-830(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2017	
BNSF 2016-831(SA)	1	\$5,000	\$5,000	\$4,000	09/28/2017	
BNSF 2016-832(LI)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-833(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-834(ROP)	1	\$2,000	\$2,000	\$1,675	09/28/2017	
BNSF 2016-835(RW)	1	\$1,000	\$1,000	\$839	09/28/2017	
BNSF 2016-836(GC)	1	\$5,000	\$5,000	\$4,150	09/28/2017	
BNSF 2016-837(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-838(TS)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-839(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-840(TS)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-841(EP)	1	\$1,000	\$1,000	\$839	09/28/2017	
BNSF 2016-842(EP)	1	\$1,000	\$1,000	\$839	09/28/2017	
BNSF 2016-843(EP)	1	\$1,000	\$1,000	\$839	09/28/2017	
BNSF 2016-844(RW)	1	\$2,000	\$2,000	\$1,675	09/28/2017	
BNSF 2016-845(SA)	1	\$5,000	\$5,000	\$3,950	09/28/2017	

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BNSF 2016-846(SA)	1	\$5,000	\$5,000	\$3,950	09/28/2017	
BNSF 2016-847(SA)	1	\$2,500	\$2,500	\$2,075	09/28/2017	
BNSF 2016-848(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-849(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-850(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-851(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-852(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-853(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-854(ROP)	1	\$9,500	\$9,500	\$7,315	09/28/2017	
BNSF 2016-855(ROP)	1	\$7,500	\$7,500	\$5,625	09/28/2017	
BNSF 2016-856(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-857(ROP)	1	\$2,000	\$2,000	\$1,675	09/28/2017	
BNSF 2016-858(TS)	2	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-859(TS)	3	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-860(TS)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2016-861(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2016-862(TS)	4	\$17,500	\$17,500	\$13,475	09/28/2017	
BNSF 2016-864(TS)	2	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2016-865(TS)	2	\$3,500	\$3,500	\$2,765	09/28/2017	
BNSF 2016-866(TS)	1	\$1,000	\$1,000	\$850	09/28/2017	
BNSF 2016-867(TS)	1	\$2,500	\$2,500	\$1,975	09/28/2017	
BNSF 2016-868(TS)	4	\$10,000	\$10,000	\$7,900	09/28/2017	
BNSF 2016-869(TS)	1	\$10,000	\$10,000	\$10,000	09/28/2017	
BNSF 2016-870(TS)	1	\$2,500	\$2,500	\$2,125	09/28/2017	
BNSF 2016-871(SI)	1	\$2,500	\$2,500	\$1,900	09/28/2017	
BNSF 2016-872(SI)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2016-873(SI)	1	\$1,000	\$1,000	\$839	09/28/2017	
BNSF 2016-874(TS)	2	\$3,500	\$3,500	\$2,835	09/28/2017	
BNSF 2016-875(HMT)	1	\$2,000	\$2,000	\$1,625	09/28/2017	
BNSF 2016-876(FCS)	1	\$2,500	\$2,500	\$1,900	09/28/2017	
BNSF 2016-877(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-878(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-879(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-880(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2016-881(SA)	1	\$5,000	\$5,000	\$3,950	09/28/2017	
BNSF 2016-882(HMT)	1	\$2,000	\$2,000	\$1,625	09/28/2017	
BNSF 2016-883(SA)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2016-884(SA)	1	\$5,000	\$5,000	\$3,950	09/28/2017	
BNSF 2016-885(ROP)	1	\$9,500	\$9,500	\$7,315	09/28/2017	
BNSF 2016-886(ROP)	1	\$7,500	\$2,000	\$2,000	09/28/2017	Partially Terminated Violation(s): 1.
BNSF 2016-887(ROP)	1	\$2,000	\$2,000	\$1,520	09/28/2017	
BNSF 2016-888(ROP)	1	\$9,500	\$9,500	\$7,315	09/28/2017	
BNSF 2017-1(ROP)	1	\$9,500	\$9,500	\$7,315	09/28/2017	
BNSF 2017-2(ROP)	1	\$7,500	\$7,500	\$5,925	09/28/2017	
BNSF 2017-3(ROP)	1	\$7,500	\$7,500	\$5,925	09/28/2017	
BNSF 2017-4(TS)	1	\$5,000	\$5,000	\$3,950	09/28/2017	
BNSF 2017-5(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2017-6(SA)	1	\$5,000	\$5,000	\$3,950	09/28/2017	
BNSF 2017-7(SA)	1	\$2,500	\$2,500	\$1,975	09/28/2017	

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BNSF 2017-8(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2017-9(SA)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2017-10(HS)	1	\$1,000	\$1,000	\$840	09/28/2017	
BNSF 2017-11(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2017-12(TS)	1	\$5,000	\$5,000	\$3,950	09/28/2017	
BNSF 2017-13(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2017-15(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2017-16(ROP)	1	\$7,500	\$2,000	\$2,000	09/28/2017	Partially Terminated Violation(s): 1.
BNSF 2017-17(FCS)	1	\$5,000	\$5,000	\$3,800	09/28/2017	
BNSF 2017-18(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2017-19(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2017-20(TS)	1	\$2,500	\$2,500	\$1,975	09/28/2017	
BNSF 2017-21(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2017-22(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2017-23(SA)	1	\$2,500	\$2,500	\$2,175	09/28/2017	
BNSF 2017-24(SA)	1	\$5,000	\$0	\$0	09/28/2017	Case Terminated.
BNSF 2017-25(HMT)	1	\$2,000	\$2,000	\$1,625	09/28/2017	
BNSF 2017-26(FCS)	1	\$5,000	\$5,000	\$3,950	09/28/2017	
BNSF 2017-27(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2017-28(LI)	1	\$2,500	\$2,500	\$2,100	09/28/2017	
BNSF 2017-29(LI)	1	\$2,500	\$2,500	\$2,100	09/28/2017	
BNSF 2017-30(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2017-31(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2017-32(HMT)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2017-34(ROP)	1	\$7,500	\$7,500	\$5,925	09/28/2017	
BNSF 2017-35(ROP)	1	\$7,500	\$7,500	\$5,925	09/28/2017	
BNSF 2017-36(ROP)	1	\$5,000	\$5,000	\$3,950	09/28/2017	
BNSF 2017-37(ROP)	1	\$2,000	\$2,000	\$1,500	09/28/2017	
BNSF 2017-38(TS)	1	\$5,000	\$5,000	\$3,950	09/28/2017	
BNSF 2017-39(TS)	1	\$5,000	\$5,000	\$4,200	09/28/2017	
BNSF 2017-40(TS)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2017-41(HMT)	1	\$5,000	\$5,000	\$4,000	09/28/2017	
BNSF 2017-42(SI)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2017-43(FCS)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2017-44(ROP)	1	\$9,500	\$9,500	\$7,315	09/28/2017	
BNSF 2017-45(ROP)	1	\$9,500	\$9,500	\$7,315	09/28/2017	
BNSF 2017-46(ROP)	1	\$13,000	\$13,000	\$9,750	09/28/2017	
BNSF 2017-47(ROP)	1	\$7,500	\$7,500	\$5,925	09/28/2017	
BNSF 2017-48(SA)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2017-49(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2017-50(LI)	1	\$2,500	\$2,500	\$1,625	09/28/2017	
BNSF 2017-51(TS)	7	\$7,000	\$7,000	\$5,873	09/28/2017	
BNSF 2017-52(TS)	1	\$2,500	\$2,500	\$1,975	09/28/2017	
BNSF 2017-53(TS)	3	\$8,500	\$8,500	\$6,715	09/28/2017	
BNSF 2017-54(TS)	1	\$2,500	\$2,500	\$1,975	09/28/2017	
BNSF 2017-55(SI)	1	\$1,000	\$1,000	\$850	09/28/2017	
BNSF 2017-57(SI)	1	\$2,500	\$2,500	\$1,900	09/28/2017	
BNSF 2017-58(FCS)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2017-59(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	

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BNSF 2017-60(SA)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2017-61(SA)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2017-62(SA)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2017-63(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2017-64(LI)	1	\$2,500	\$2,500	\$2,100	09/28/2017	
BNSF 2017-65(LI)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2017-66(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2017-67(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2017-68(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2017-69(ROP)	1	\$2,000	\$2,000	\$1,580	09/28/2017	
BNSF 2017-70(ROP)	1	\$5,000	\$5,000	\$3,950	09/28/2017	
BNSF 2017-71(ROP)	1	\$7,500	\$0	\$0	09/28/2017	Case Terminated.
BNSF 2017-72(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2017-73(EP)	1	\$1,000	\$1,000	\$839	09/28/2017	
BNSF 2017-74(SA)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2017-75(TS)	1	\$2,500	\$2,500	\$1,975	09/28/2017	
BNSF 2017-76(ROP)	1	\$5,000	\$5,000	\$3,800	09/28/2017	
BNSF 2017-77(ROP)	1	\$2,000	\$2,000	\$1,540	09/28/2017	
BNSF 2017-78(ROP)	1	\$7,500	\$2,000	\$2,000	09/28/2017	Partially Terminated Violatin(s): 1.
BNSF 2017-79(ROP)	1	\$7,500	\$7,500	\$5,925	09/28/2017	
BNSF 2017-80(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2017-81(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2017-82(ROP)	1	\$2,000	\$2,000	\$1,580	09/28/2017	
BNSF 2017-83(TS)	1	\$1,000	\$1,000	\$1,000	09/28/2017	
BNSF 2017-84(LI)	1	\$1,500	\$1,500	\$1,170	09/28/2017	
BNSF 2017-85(TS)	51	\$255,000	\$255,000	\$196,000	09/28/2017	
BNSF 2017-86(TS)	119	\$297,500	\$85,000	\$85,000	09/28/2017	Partially Terminated Violation(s): 1-119
BNSF 2017-87(TS)	17	\$17,000	\$17,000	\$14,263	09/28/2017	
BNSF 2017-88(TS)	8	\$8,000	\$8,000	\$6,712	09/28/2017	
BNSF 2017-89(HMT)	1	\$4,000	\$4,000	\$3,200	09/28/2017	
BNSF 2017-90(SA)	1	\$5,000	\$2,500	\$2,500	09/28/2017	Partially Terminated Violation(s): 1.
BNSF 2017-91(SA)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2017-92(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2017-93(LI)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2017-94(FCS)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2017-95(SA)	1	\$5,000	\$0	\$0	09/28/2017	Case Terminated.
BNSF 2017-96(SA)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2017-97(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2017-98(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2017-99(TS)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2017-100(ROP)	1	\$7,500	\$7,500	\$5,775	09/28/2017	
BNSF 2017-101(SI)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2017-102(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2017-103(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2017-104(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2017-105(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2017-106(ROP)	1	\$5,000	\$5,000	\$3,950	09/28/2017	

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BNSF 2017-107(EP)	1	\$1,000	\$1,000	\$839	09/28/2017	
BNSF 2017-108(EP)	1	\$1,000	\$1,000	\$839	09/28/2017	
BNSF 2017-109(EP)	1	\$1,000	\$1,000	\$839	09/28/2017	
BNSF 2017-110(SA)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2017-111(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2017-112(GC)	1	\$5,000	\$5,000	\$4,200	09/28/2017	
BNSF 2017-113(ROP)	1	\$7,500	\$7,500	\$5,925	09/28/2017	
BNSF 2017-114(TS)	1	\$2,500	\$2,500	\$1,975	09/28/2017	
BNSF 2017-115(ROP)	1	\$9,500	\$9,500	\$7,505	09/28/2017	
BNSF 2017-116(ROP)	1	\$5,000	\$5,000	\$3,950	09/28/2017	
BNSF 2017-117(ROP)	1	\$5,000	\$5,000	\$3,950	09/28/2017	
BNSF 2017-118(ROP)	1	\$7,500	\$7,500	\$5,000	09/28/2017	
BNSF 2017-119(ROP)	1	\$7,500	\$7,500	\$5,925	09/28/2017	
BNSF 2017-120(ROP)	1	\$9,500	\$9,500	\$7,315	09/28/2017	
BNSF 2017-121(TS)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2017-122(TS)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2017-123(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2017-124(TS)	2	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2017-125(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2017-126(TS)	3	\$3,000	\$3,000	\$2,517	09/28/2017	
BNSF 2017-127(SA)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2017-128(SA)	1	\$2,500	\$2,500	\$2,000	09/28/2017	
BNSF 2017-129(SA)	1	\$5,000	\$5,000	\$3,250	09/28/2017	
BNSF 2017-130(SA)	1	\$5,000	\$5,000	\$3,250	09/28/2017	
BNSF 2017-131(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2017-132(SA)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2017-134(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2017-135(TS)	2	\$7,500	\$7,500	\$5,850	09/28/2017	
BNSF 2017-136(TS)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2017-137(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2017-138(TS)	2	\$7,500	\$7,500	\$5,850	09/28/2017	
BNSF 2017-139(FCS)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2017-140(FCS)	2	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2017-141(FCS)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2017-142(FCS)	7	\$17,500	\$2,500	\$2,100	09/28/2017	Terminated Violatin(s): 2, 3, 4, 5, 6, 7.
BNSF 2017-143(FCS)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2017-144(ROP)	1	\$2,000	\$2,000	\$1,540	09/28/2017	
BNSF 2017-145(ROP)	1	\$7,500	\$7,500	\$5,925	09/28/2017	
BNSF 2017-146(FCS)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2017-147(FCS)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2017-148(ROP)	1	\$2,000	\$2,000	\$1,580	09/28/2017	
BNSF 2017-149(ROP)	1	\$7,500	\$7,500	\$5,925	09/28/2017	
BNSF 2017-150(TS)	3	\$6,000	\$6,000	\$4,620	09/28/2017	
BNSF 2017-151(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2017-152(ROP)	1	\$7,500	\$7,500	\$5,925	09/28/2017	
BNSF 2017-153(ROP)	1	\$7,500	\$2,000	\$2,000	09/28/2017	Partially Terminated Violation(s): 1.
BNSF 2017-154(TS)	1	\$1,000	\$1,000	\$839	09/28/2017	
BNSF 2017-155(ROP)	1	\$7,500	\$7,500	\$5,925	09/28/2017	

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BNSF 2017-156(ROP)	1	\$9,500	\$9,500	\$7,600	09/28/2017	
BNSF 2017-157(FCS)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2017-158(FCS)	1	\$5,000	\$5,000	\$3,750	09/28/2017	
BNSF 2017-159(FCS)	1	\$5,000	\$5,000	\$3,750	09/28/2017	
BNSF 2017-160(FCS)	1	\$5,000	\$5,000	\$3,750	09/28/2017	
BNSF 2017-161(FCS)	1	\$5,000	\$5,000	\$3,750	09/28/2017	
BNSF 2017-162(FCS)	1	\$5,000	\$5,000	\$3,750	09/28/2017	
BNSF 2017-163(FCS)	1	\$5,000	\$5,000	\$3,750	09/28/2017	
BNSF 2017-164(FCS)	1	\$5,000	\$5,000	\$3,750	09/28/2017	
BNSF 2017-165(HMT)	1	\$1,000	\$1,000	\$860	09/28/2017	
BNSF 2017-166(HMT)	2	\$7,000	\$7,000	\$6,000	09/28/2017	
BNSF 2017-167(FCS)	1	\$5,000	\$5,000	\$3,750	09/28/2017	
BNSF 2017-168(FCS)	1	\$5,000	\$5,000	\$3,750	09/28/2017	
BNSF 2017-169(FCS)	1	\$5,000	\$5,000	\$3,750	09/28/2017	
BNSF 2017-170(FCS)	1	\$5,000	\$5,000	\$3,750	09/28/2017	
BNSF 2017-171(LI)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2017-173(LI)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2017-174(LI)	1	\$2,500	\$2,500	\$1,950	09/28/2017	
BNSF 2017-175(RW)	1	\$1,000	\$1,000	\$839	09/28/2017	
BNSF 2017-177(HMT)	1	\$4,000	\$4,000	\$3,200	09/28/2017	
BNSF 2017-178(SI)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
BNSF 2017-180(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2017-181(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2017-182(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2017-184(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
BNSF 2017-189(TS)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
BNSF 2017-190(TS)	2	\$5,000	\$5,000	\$3,850	09/28/2017	
BPRR 2016-1(SA)	1	\$5,000	\$5,000	\$4,100	09/28/2017	
BPRR 2016-2(SA)	1	\$5,000	\$5,000	\$4,100	09/28/2017	
BPRR 2017-1(RW)	3	\$9,000	\$9,000	\$7,200	09/28/2017	
BRC 2014-4(TS)	1	\$5,000	\$5,000	\$4,250	05/09/2017	
BRC 2014-5(SA)	2	\$7,500	\$7,500	\$5,250	05/09/2017	
BRC 2015-1(SA)	1	\$2,500	\$2,500	\$2,000	05/09/2017	
BRC 2015-2(HMT)	1	\$2,000	\$2,000	\$1,800	05/09/2017	
BRC 2015-3(TS)	64	\$73,500	\$73,500	\$48,775	05/09/2017	
BRC 2015-4(TS)	1	\$1,000	\$1,000	\$650	05/09/2017	
BRC 2015-5(FCS)	1	\$5,000	\$5,000	\$3,750	05/09/2017	
BRC 2015-6(HMT)	3	\$3,000	\$3,000	\$2,250	05/09/2017	
BRC 2016-1(HMT)	1	\$2,000	\$2,000	\$1,600	05/09/2017	
BRC 2016-2(HMT)	1	\$2,000	\$2,000	\$1,400	05/09/2017	
BRC 2016-3(SA)	1	\$2,500	\$2,500	\$1,875	05/09/2017	
BRC 2016-4(HMT)	1	\$2,000	\$2,000	\$1,600	05/09/2017	
BRC 2016-5(TS)	1	\$2,500	\$2,500	\$2,125	05/09/2017	
BRC 2017-5(SI)	2	\$8,000	\$8,000	\$5,200	09/28/2017	
BSR 2015-1(ROR)	1	\$2,500	\$2,500	\$650	06/16/2017	
BSR 2015-2(EQ)	1	\$2,500	\$2,500	\$650	06/16/2017	
BSR 2015-3(AR)	1	\$2,500	\$2,500	\$1,250	06/16/2017	
BSR 2015-4(ROR)	1	\$12,500	\$12,500	\$6,250	06/16/2017	
BVRR 2016-1(RSP)	1	\$9,500	\$9,500	\$7,000	09/29/2017	

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BVRR 2016-2(ROP)	1	\$7,500	\$7,500	\$5,000	09/29/2017	
BVRR 2017-1(ROP)	1	\$9,500	\$9,500	\$6,500	09/29/2017	
CAGY 2016-1(AD)	1	\$5,000	\$5,000	\$4,100	09/28/2017	
CCPN 2017-1(AD)	1	\$2,500	\$2,500	\$2,050	09/28/2017	
CCRL 2014-1(GC)	1	\$2,500	\$2,500	\$2,000	02/13/2017	
CCT 2016-2(ROP)	2	\$15,000	\$15,000	\$12,500	01/25/2017	
CCT 2016-3(ROR)	1	\$9,500	\$9,500	\$7,500	01/25/2017	
CCT 2016-4(ROR)	1	\$7,500	\$7,500	\$6,250	01/25/2017	
CFE 2016-1(SA)	1	\$5,000	\$5,000	\$4,100	09/28/2017	
CFE 2016-2(LI)	1	\$2,500	\$2,500	\$2,050	09/28/2017	
CFI 2016-1(HMT)	2	\$5,000	\$5,000	\$5,000	01/25/2017	
CFRC 2015-9(GC)	1	\$2,500	\$2,500	\$2,000	01/25/2017	
CFRC 2015-10(PEQ)	2	\$5,000	\$5,000	\$4,250	01/25/2017	
CFRC 2015-11(GC)	1	\$1,000	\$1,000	\$750	01/25/2017	
CFRC 2015-14(SI)	1	\$1,000	\$1,000	\$750	01/25/2017	
CFRC 2016-1(AD)	2	\$7,500	\$7,500	\$6,250	01/25/2017	
CFRC 2016-2(GC)	1	\$1,000	\$1,000	\$750	01/25/2017	
CFRC 2016-3(ROP)	1	\$7,500	\$7,500	\$6,000	01/25/2017	
CFRC 2016-4(TS)	1	\$5,000	\$5,000	\$4,250	01/25/2017	
CFRC 2016-5(ROP)	1	\$7,500	\$7,500	\$6,000	01/25/2017	
CFRC 2016-6(SI)	1	\$2,500	\$2,500	\$2,000	01/25/2017	
CFRC 2016-7(ROP)	1	\$9,500	\$9,500	\$7,500	01/25/2017	
CFRC 2016-9(EQ)	1	\$1,000	\$1,000	\$800	01/25/2017	
CFRC 2017-1(RW)	1	\$3,000	\$3,000	\$3,000	05/01/2017	
CFRC 2017-2(ROP)	1	\$7,500	\$7,500	\$7,500	05/01/2017	
CFRC 2017-3(GC)	1	\$1,000	\$1,000	\$750	06/07/2017	
CFRC 2017-4(GC)	1	\$1,000	\$1,000	\$750	06/07/2017	
CIRR 2016-1(GC)	1	\$5,000	\$5,000	\$4,100	09/28/2017	
CLC 2016-1(TS)	3	\$7,500	\$7,500	\$5,000	02/24/2017	
CLC 2016-2(TS)	1	\$2,500	\$2,500	\$1,500	02/24/2017	
CLNA 2017-1(HSR)	1	\$1,000	\$1,000	\$853	09/28/2017	
CMQX 2015-1(LI)	1	\$1,000	\$1,000	\$1,000	02/08/2017	
CMQX 2017-2(TS)	1	\$5,000	\$5,000	\$5,000	09/20/2017	
CMQX 2017-3(TS)	2	\$10,000	\$10,000	\$10,000	09/20/2017	
CMTY 2017-1(SI)	1	\$4,000	\$4,000	\$3,600	09/12/2017	
CN 2015-215(FCS)	1	\$2,500	\$2,500	\$1,975	08/23/2017	
CN 2015-216(SA)	1	\$2,500	\$2,500	\$2,000	08/23/2017	
CN 2016-1(ROP)	1	\$2,500	\$2,500	\$1,950	08/23/2017	
CN 2016-2(SA)	1	\$5,000	\$5,000	\$4,150	08/23/2017	
CN 2016-3(ROP)	1	\$2,000	\$2,000	\$1,350	08/23/2017	
CN 2016-4(ROP)	1	\$2,000	\$2,000	\$1,350	08/23/2017	
CN 2016-5(ROP)	1	\$2,000	\$2,000	\$1,370	08/23/2017	
CN 2016-6(HMT)	1	\$2,000	\$2,000	\$1,600	08/23/2017	
CN 2016-7(ROP)	1	\$9,500	\$9,500	\$7,000	08/23/2017	
CN 2016-8(ROP)	1	\$7,500	\$7,500	\$6,150	08/23/2017	
CN 2016-10(SA)	1	\$5,000	\$0	\$0	08/23/2017	Case Terminated.
CN 2016-11(SA)	1	\$5,000	\$5,000	\$4,150	08/23/2017	
CN 2016-12(HMT)	1	\$5,000	\$5,000	\$4,000	08/23/2017	
CN 2016-13(HMT)	1	\$7,500	\$7,500	\$5,700	08/23/2017	

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CN 2016-14(HMT)	1	\$2,000	\$2,000	\$1,400	08/23/2017	
CN 2016-15(ROP)	1	\$2,000	\$2,000	\$1,370	08/23/2017	
CN 2016-16(SA)	1	\$5,000	\$5,000	\$3,900	08/23/2017	
CN 2016-17(SA)	1	\$5,000	\$5,000	\$3,900	08/23/2017	
CN 2016-18(SA)	1	\$5,000	\$5,000	\$4,150	08/23/2017	
CN 2016-19(CC)	1	\$4,000	\$4,000	\$3,240	08/23/2017	
CN 2016-20(ROP)	1	\$9,500	\$9,500	\$7,200	08/23/2017	
CN 2016-21(FCS)	1	\$5,000	\$5,000	\$3,950	08/23/2017	
CN 2016-23(EQ)	1	\$5,000	\$5,000	\$4,050	08/23/2017	
CN 2016-24(ROP)	2	\$10,000	\$0	\$0	08/23/2017	Case Terminated.
CN 2016-26(HMT)	1	\$3,000	\$3,000	\$2,400	08/23/2017	
CN 2016-27(TS)	12	\$60,000	\$60,000	\$44,000	08/23/2017	
CN 2016-28(HMT)	1	\$1,000	\$1,000	\$700	08/23/2017	
CN 2016-29(SA)	1	\$5,000	\$5,000	\$4,150	08/23/2017	
CN 2016-30(SA)	1	\$2,500	\$2,500	\$2,000	08/23/2017	
CN 2016-32(SA)	1	\$2,500	\$2,500	\$1,940	08/23/2017	
CN 2016-33(SA)	1	\$2,500	\$2,500	\$1,940	08/23/2017	
CN 2016-34(SA)	1	\$2,500	\$2,500	\$1,940	08/23/2017	
CN 2016-35(HMT)	2	\$8,500	\$8,500	\$6,460	08/23/2017	
CN 2016-37(ROR)	1	\$7,500	\$7,500	\$6,000	08/23/2017	
CN 2016-38(ROR)	1	\$7,500	\$7,500	\$6,000	08/23/2017	
CN 2016-39(ROP)	1	\$9,500	\$9,500	\$8,075	08/23/2017	
CN 2016-41(ROP)	1	\$2,000	\$2,000	\$1,580	08/23/2017	
CN 2016-42(ROP)	1	\$2,000	\$2,000	\$1,580	08/23/2017	
CN 2016-43(ROP)	1	\$7,500	\$7,500	\$6,150	08/23/2017	
CN 2016-44(GC)	1	\$5,000	\$5,000	\$4,175	08/23/2017	
CN 2016-45(HMT)	50	\$375,000	\$125,000	\$108,750	08/23/2017	Partially Terminated Violation(s): 1.
CN 2016-46(HMT)	50	\$375,000	\$125,000	\$108,750	08/23/2017	Partially Terminated Violation(s): 1.
CN 2016-47(SI)	2	\$2,000	\$2,000	\$1,600	08/23/2017	
CN 2016-48(SA)	6	\$30,000	\$30,000	\$24,900	08/23/2017	
CN 2016-49(SA)	1	\$5,000	\$5,000	\$4,150	08/23/2017	
CN 2016-50(HS)	1	\$1,000	\$1,000	\$790	08/23/2017	
CN 2016-52(HMT)	1	\$4,000	\$4,000	\$3,320	08/23/2017	
CN 2016-53(HMT)	2	\$2,000	\$2,000	\$1,400	08/23/2017	
CN 2016-54(HMT)	1	\$4,000	\$4,000	\$3,240	08/23/2017	
CN 2016-55(HMT)	1	\$7,500	\$7,500	\$6,375	08/23/2017	
CN 2016-56(AD)	1	\$5,000	\$5,000	\$4,050	08/23/2017	
CN 2016-58(ROP)	1	\$2,000	\$2,000	\$1,580	08/23/2017	
CN 2016-59(HS)	1	\$1,000	\$1,000	\$790	08/23/2017	
CN 2016-60(HS)	1	\$1,000	\$1,000	\$790	08/23/2017	
CN 2016-61(HS)	1	\$1,000	\$1,000	\$790	08/23/2017	
CN 2016-62(SA)	1	\$5,000	\$5,000	\$3,250	08/23/2017	
CN 2016-63(SA)	1	\$2,500	\$2,500	\$1,950	08/23/2017	
CN 2016-64(SA)	1	\$5,000	\$5,000	\$4,150	08/23/2017	
CN 2016-65(SA)	1	\$5,000	\$5,000	\$4,150	08/23/2017	
CN 2016-66(ROP)	1	\$2,000	\$2,000	\$1,580	08/23/2017	
CN 2016-67(HMT)	1	\$4,000	\$4,000	\$3,240	08/23/2017	
CN 2016-72(ROP)	1	\$7,500	\$7,500	\$6,150	08/23/2017	

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CN 2016-73(ROP)	1	\$2,000	\$2,000	\$1,370	08/23/2017	
CN 2016-74(SA)	1	\$5,000	\$5,000	\$3,900	08/23/2017	
CN 2016-76(ROP)	1	\$7,500	\$7,500	\$6,150	08/23/2017	
CN 2016-77(AD)	1	\$2,500	\$2,500	\$2,025	08/23/2017	
CN 2016-78(AD)	2	\$5,000	\$5,000	\$3,900	08/23/2017	
CN 2016-79(AD)	24	\$24,000	\$24,000	\$18,480	08/23/2017	
CN 2016-80(AD)	12	\$12,000	\$12,000	\$9,240	08/23/2017	
CN 2016-81(AD)	1	\$2,500	\$2,500	\$1,975	08/23/2017	
CN 2016-82(AD)	25	\$25,000	\$25,000	\$19,250	08/23/2017	
CN 2016-83(FCS)	1	\$2,500	\$2,500	\$1,950	08/23/2017	
CN 2016-84(ROP)	1	\$2,000	\$2,000	\$1,370	08/23/2017	
CN 2016-85(ROP)	1	\$9,500	\$9,500	\$7,220	08/23/2017	
CN 2016-86(FCS)	1	\$5,000	\$5,000	\$3,950	08/23/2017	
CN 2016-87(TS)	1	\$5,000	\$5,000	\$4,100	08/23/2017	
CN 2016-88(TS)	4	\$20,000	\$20,000	\$16,400	08/23/2017	
CN 2016-89(ROP)	1	\$9,500	\$9,500	\$8,075	08/23/2017	
CN 2016-91(ROP)	1	\$2,000	\$2,000	\$1,370	08/23/2017	
CN 2016-92(ROP)	1	\$7,500	\$7,500	\$6,000	08/23/2017	
CN 2016-93(EP)	1	\$1,000	\$1,000	\$690	08/23/2017	
CN 2016-94(SA)	1	\$5,000	\$5,000	\$3,850	08/23/2017	
CN 2016-95(SA)	1	\$5,000	\$5,000	\$4,000	08/23/2017	
CN 2016-96(FCS)	1	\$2,500	\$2,500	\$1,950	08/23/2017	
CN 2016-97(ROP)	1	\$7,500	\$7,500	\$6,000	08/23/2017	
CN 2016-98(SA)	1	\$5,000	\$5,000	\$3,850	08/23/2017	
CN 2016-99(SA)	1	\$5,000	\$5,000	\$3,850	08/23/2017	
CN 2016-100(SA)	1	\$5,000	\$5,000	\$3,850	08/23/2017	
CN 2016-101(SA)	1	\$2,500	\$2,500	\$1,950	08/23/2017	
CN 2016-102(SA)	1	\$2,500	\$2,500	\$1,950	08/23/2017	
CN 2016-103(SA)	1	\$5,000	\$5,000	\$3,900	08/23/2017	
CN 2016-104(TS)	7	\$17,500	\$17,500	\$13,125	08/23/2017	
CN 2016-105(TS)	3	\$7,500	\$7,500	\$6,225	08/23/2017	
CN 2016-106(TS)	1	\$2,500	\$2,500	\$2,075	08/23/2017	
CN 2016-108(SA)	1	\$2,500	\$2,500	\$1,950	08/23/2017	
CN 2016-109(FCS)	1	\$5,000	\$5,000	\$3,950	08/23/2017	
CN 2016-110(SA)	1	\$5,000	\$5,000	\$3,950	08/23/2017	
CN 2016-111(SA)	1	\$2,500	\$2,500	\$1,950	08/23/2017	
CN 2016-112(HSR)	1	\$1,000	\$1,000	\$760	08/23/2017	
CN 2016-113(LI)	1	\$2,500	\$2,500	\$1,975	08/23/2017	
CN 2016-114(LI)	1	\$2,500	\$2,500	\$1,975	08/23/2017	
CN 2016-115(TS)	1	\$2,500	\$2,500	\$1,975	08/23/2017	
CN 2016-116(TS)	1	\$2,500	\$2,500	\$1,975	08/23/2017	
CN 2016-117(SA)	1	\$5,000	\$5,000	\$4,100	08/23/2017	
CN 2016-118(HS)	3	\$3,000	\$3,000	\$2,370	08/23/2017	
CN 2016-119(HS)	1	\$1,000	\$1,000	\$790	08/23/2017	
CN 2016-120(HS)	4	\$4,000	\$4,000	\$3,160	08/23/2017	
CN 2016-121(HS)	1	\$1,000	\$1,000	\$790	08/23/2017	
CN 2016-122(HS)	1	\$1,000	\$1,000	\$790	08/23/2017	
CN 2016-123(HS)	1	\$1,000	\$1,000	\$790	08/23/2017	
CN 2016-124(TS)	3	\$7,500	\$7,500	\$6,225	08/23/2017	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
CN 2016-125(ROP)	1	\$7,500	\$7,500	\$6,150	08/23/2017	
CN 2016-126(SA)	1	\$5,000	\$5,000	\$4,150	08/23/2017	
CN 2016-127(SA)	1	\$5,000	\$5,000	\$4,150	08/23/2017	
CN 2016-128(SA)	1	\$2,500	\$2,500	\$1,925	08/23/2017	
CN 2016-129(TS)	1	\$2,500	\$2,500	\$2,050	08/23/2017	
CN 2016-130(SI)	1	\$1,000	\$1,000	\$780	08/23/2017	
CN 2016-131(SI)	1	\$1,000	\$1,000	\$770	08/23/2017	
CN 2016-132(SA)	1	\$5,000	\$5,000	\$4,000	08/23/2017	
CN 2016-133(SA)	1	\$5,000	\$5,000	\$4,000	08/23/2017	
CN 2016-134(SA)	1	\$5,000	\$5,000	\$4,000	08/23/2017	
CN 2016-135(GC)	1	\$1,000	\$1,000	\$770	08/23/2017	
CN 2016-136(GC)	1	\$5,000	\$5,000	\$4,000	08/23/2017	
CN 2016-137(HMT)	1	\$1,000	\$1,000	\$700	08/23/2017	
CN 2016-138(HMT)	1	\$1,000	\$1,000	\$700	08/23/2017	
CN 2016-139(ROP)	1	\$7,500	\$7,500	\$6,125	08/23/2017	
CN 2016-140(ROP)	1	\$7,500	\$7,500	\$6,000	08/23/2017	
CN 2016-141(HMT)	2	\$10,000	\$10,000	\$7,600	08/23/2017	
CN 2016-142(HMT)	1	\$5,000	\$5,000	\$3,800	08/23/2017	
CN 2016-143(GC)	1	\$2,500	\$2,500	\$2,000	08/23/2017	
CN 2016-144(GC)	1	\$2,500	\$2,500	\$2,000	08/23/2017	
CN 2016-145(GC)	1	\$2,500	\$2,500	\$2,100	08/23/2017	
CN 2016-146(SA)	1	\$5,000	\$5,000	\$4,000	08/23/2017	
CN 2016-147(HMT)	2	\$13,500	\$13,500	\$9,450	08/23/2017	
CN 2016-148(HMT)	1	\$8,000	\$8,000	\$5,600	08/23/2017	
CN 2016-149(ROP)	1	\$7,500	\$0	\$0	08/23/2017	Case Terminated.
CN 2016-150(HS)	1	\$1,000	\$1,000	\$790	08/23/2017	
CN 2016-151(HS)	1	\$1,000	\$1,000	\$790	08/23/2017	
CN 2016-152(HS)	1	\$1,000	\$1,000	\$790	08/23/2017	
CN 2016-153(HS)	1	\$1,000	\$1,000	\$850	08/23/2017	
CN 2016-154(SA)	1	\$5,000	\$5,000	\$4,000	08/23/2017	
CN 2016-155(EP)	1	\$1,000	\$1,000	\$690	08/23/2017	
CN 2016-156(HMT)	15	\$98,000	\$98,000	\$77,420	08/23/2017	
CN 2016-157(HMT)	4	\$23,000	\$23,000	\$16,100	08/23/2017	
CN 2016-158(HMT)	3	\$17,500	\$17,500	\$12,250	08/23/2017	
CN 2016-159(CC)	1	\$4,000	\$4,000	\$3,240	08/23/2017	
CN 2016-160(TS)	8	\$8,000	\$8,000	\$6,880	08/23/2017	
CN 2016-161(HS)	1	\$1,000	\$1,000	\$790	08/23/2017	
CN 2016-162(HS)	1	\$1,000	\$1,000	\$790	08/23/2017	
CN 2016-163(HS)	1	\$1,000	\$1,000	\$790	08/23/2017	
CN 2016-164(SA)	1	\$5,000	\$5,000	\$4,150	08/23/2017	
CN 2016-165(SA)	1	\$2,500	\$2,500	\$2,075	08/23/2017	
CN 2016-166(HS)	1	\$1,000	\$1,000	\$790	08/23/2017	
CN 2016-167(HS)	1	\$1,000	\$1,000	\$790	08/23/2017	
CN 2016-168(HS)	1	\$1,000	\$1,000	\$790	08/23/2017	
CN 2016-169(SI)	1	\$1,000	\$1,000	\$850	08/23/2017	
CN 2016-170(HSR)	1	\$1,000	\$1,000	\$850	08/23/2017	
CN 2016-171(GC)	1	\$5,000	\$5,000	\$4,175	08/23/2017	
CN 2016-172(SI)	1	\$5,000	\$5,000	\$4,000	08/23/2017	
CN 2016-173(SI)	1	\$1,000	\$1,000	\$860	08/23/2017	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
CN 2016-174(SI)	1	\$5,000	\$5,000	\$4,000	08/23/2017	
CN 2016-175(SI)	1	\$1,000	\$1,000	\$860	08/23/2017	
CN 2016-176(HMT)	1	\$2,000	\$2,000	\$1,620	08/23/2017	
CN 2016-177(HMT)	8	\$60,000	\$60,000	\$47,400	08/23/2017	
CN 2016-178(HMT)	5	\$34,000	\$34,000	\$26,000	08/23/2017	
CN 2016-179(HMT)	2	\$15,000	\$15,000	\$12,300	08/23/2017	
CORP 2016-3(TS)	3	\$10,000	\$10,000	\$8,000	09/28/2017	
CORP 2016-4(TS)	1	\$5,000	\$5,000	\$4,100	09/28/2017	
CORP 2016-5(SA)	1	\$5,000	\$5,000	\$4,100	09/28/2017	
CP 2016-14(HMT)	1	\$2,000	\$2,000	\$1,400	09/30/2017	
CP 2016-47(SA)	1	\$5,000	\$5,000	\$3,210	09/30/2017	
CP 2016-48(SA)	1	\$5,000	\$5,000	\$3,210	09/30/2017	
CP 2016-49(TS)	2	\$6,000	\$6,000	\$3,150	09/30/2017	
CP 2016-50(HMT)	1	\$2,500	\$0	\$0	09/30/2017	Case Terminated.
CP 2016-51(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2017	
CP 2016-52(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2017	
CP 2016-53(FCS)	1	\$5,000	\$5,000	\$3,750	09/30/2017	
CP 2016-54(HMT)	1	\$1,000	\$1,000	\$696	09/30/2017	
CP 2016-55(HMT)	1	\$1,000	\$1,000	\$696	09/30/2017	
CP 2016-56(HMT)	1	\$1,000	\$1,000	\$696	09/30/2017	
CP 2016-57(HMT)	1	\$2,000	\$2,000	\$1,500	09/30/2017	
CP 2016-58(HMT)	2	\$10,000	\$10,000	\$7,000	09/30/2017	
CP 2016-59(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2017	
CP 2016-60(SA)	1	\$2,500	\$2,500	\$2,125	09/30/2017	
CP 2016-61(SA)	1	\$2,500	\$2,500	\$2,125	09/30/2017	
CP 2016-62(TS)	1	\$2,500	\$2,500	\$2,000	09/30/2017	
CP 2016-63(SA)	1	\$2,500	\$2,500	\$1,605	09/30/2017	
CP 2016-64(FCS)	1	\$1,000	\$1,000	\$650	09/30/2017	
CP 2016-65(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2017	
CP 2016-66(FCS)	1	\$2,500	\$2,500	\$1,739	09/30/2017	
CP 2016-67(TS)	1	\$5,000	\$5,000	\$3,478	09/30/2017	
CP 2016-68(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2017	
CP 2016-69(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2017	
CP 2016-70(LI)	1	\$2,500	\$2,500	\$1,875	09/30/2017	
CP 2016-71(ROP)	1	\$9,500	\$9,500	\$4,750	09/30/2017	
CP 2016-72(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2017	
CP 2016-73(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2017	
CP 2016-74(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2017	
CP 2016-75(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2017	
CP 2016-76(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2017	
CP 2016-77(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2017	
CP 2016-78(FCS)	1	\$5,000	\$5,000	\$3,000	09/30/2017	
CP 2016-79(HMT)	4	\$11,000	\$9,000	\$6,750	09/30/2017	Terminated Violation(s): 1.
CP 2016-80(FCS)	1	\$2,500	\$2,500	\$1,739	09/30/2017	
CP 2016-81(HMT)	1	\$2,000	\$2,000	\$1,200	09/30/2017	
CP 2016-82(HMT)	2	\$4,000	\$4,000	\$3,200	09/30/2017	
CP 2016-87(TS)	1	\$5,000	\$5,000	\$3,478	09/30/2017	
CP 2016-88(TS)	1	\$2,500	\$2,500	\$1,739	09/30/2017	
CP 2016-89(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2017	

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CP 2016-90(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2017	
CP 2016-91(SA)	9	\$22,500	\$22,500	\$15,760	09/30/2017	
CP 2016-92(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2017	
CP 2016-93(SA)	1	\$2,500	\$2,500	\$1,625	09/30/2017	
CP 2016-94(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2017	
CP 2016-95(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2017	
CP 2016-96(SA)	1	\$5,000	\$5,000	\$3,478	09/30/2017	
CP 2016-97(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2017	
CP 2016-98(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2017	
CP 2016-99(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2017	
CP 2016-100(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2017	
CP 2016-101(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2017	
CP 2016-102(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2017	
CP 2016-103(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2017	
CP 2016-104(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2017	
CP 2016-105(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2017	
CP 2016-106(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2017	
CP 2016-107(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2017	
CP 2016-108(FCS)	1	\$2,500	\$2,500	\$1,739	09/30/2017	
CP 2016-110(HMT)	1	\$5,000	\$5,000	\$3,478	09/30/2017	
CP 2016-111(HMT)	12	\$90,000	\$90,000	\$60,000	09/30/2017	
CP 2016-112(SA)	1	\$2,500	\$2,500	\$1,605	09/30/2017	
CP 2016-113(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2017	
CP 2016-114(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2017	
CP 2016-115(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2017	
CP 2016-116(FCS)	1	\$2,500	\$2,500	\$1,739	09/30/2017	
CP 2016-117(FCS)	1	\$5,000	\$5,000	\$4,000	09/30/2017	
CP 2016-118(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2017	
CP 2016-119(FCS)	1	\$5,000	\$5,000	\$3,478	09/30/2017	
CP 2016-120(ROP)	1	\$7,500	\$7,500	\$5,625	09/30/2017	
CP 2016-121(HMT)	3	\$16,500	\$16,500	\$11,750	09/30/2017	
CP 2016-122(FCS)	1	\$2,500	\$2,500	\$1,739	09/30/2017	
CP 2016-123(FCS)	1	\$2,500	\$2,500	\$1,739	09/30/2017	
CP 2016-124(HMT)	1	\$2,000	\$2,000	\$1,400	09/30/2017	
CP 2016-125(FCS)	1	\$5,000	\$5,000	\$4,000	09/30/2017	
CP 2016-126(FCS)	1	\$5,000	\$5,000	\$3,210	09/30/2017	
CP 2016-127(TS)	1	\$2,500	\$2,500	\$1,739	09/30/2017	
CP 2016-128(TS)	1	\$5,000	\$0	\$0	09/30/2017	Case Terminated.
CP 2016-129(HMT)	1	\$2,000	\$2,000	\$1,500	09/30/2017	
CP 2016-130(HMT)	1	\$4,000	\$4,000	\$3,000	09/30/2017	
CP 2016-132(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2017	
CP 2016-133(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2017	
CP 2016-134(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2017	
CP 2016-135(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2017	
CP 2016-136(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2017	
CP 2016-137(SA)	2	\$10,000	\$10,000	\$8,000	09/30/2017	
CP 2016-138(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2017	
CP 2016-139(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2017	
CP 2016-140(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2017	

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CP 2016-141(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2017	
CP 2016-142(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2017	
CP 2016-143(SA)	1	\$5,000	\$5,000	\$3,478	09/30/2017	
CP 2016-144(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2017	
CP 2016-145(SI)	1	\$1,000	\$1,000	\$650	09/30/2017	
CP 2016-146(SI)	1	\$2,500	\$2,500	\$1,750	09/30/2017	
CP 2016-147(SA)	1	\$5,000	\$5,000	\$2,500	09/30/2017	
CP 2016-148(FCS)	1	\$2,500	\$2,500	\$1,605	09/30/2017	
CP 2016-149(ROP)	1	\$9,500	\$9,500	\$8,075	09/30/2017	
CP 2016-150(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2017	
CP 2016-151(TS)	1	\$2,500	\$2,500	\$1,625	09/30/2017	
CP 2016-152(SA)	1	\$5,000	\$5,000	\$3,478	09/30/2017	
CP 2016-153(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2017	
CP 2016-154(FCS)	1	\$5,000	\$5,000	\$3,478	09/30/2017	
CP 2016-155(SA)	1	\$1,000	\$1,000	\$696	09/30/2017	
CP 2016-156(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2017	
CP 2016-157(HMT)	6	\$15,000	\$15,000	\$7,500	09/30/2017	
CP 2016-158(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2017	
CP 2016-159(HSR)	1	\$1,000	\$1,000	\$696	09/30/2017	
CP 2016-160(HSR)	1	\$1,000	\$1,000	\$696	09/30/2017	
CP 2016-161(HSR)	1	\$1,000	\$1,000	\$696	09/30/2017	
CP 2016-162(FCS)	1	\$2,500	\$2,500	\$1,605	09/30/2017	
CP 2016-163(FCS)	1	\$2,500	\$2,500	\$1,625	09/30/2017	
CP 2016-164(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2017	
CP 2016-165(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2017	
CP 2016-166(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2017	
CP 2016-168(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2017	
CP 2016-169(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2017	
CP 2016-170(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2017	
CP 2016-171(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2017	
CP 2016-172(SA)	1	\$2,500	\$2,500	\$1,739	09/30/2017	
CP 2016-173(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2017	
CP 2016-174(SA)	1	\$2,500	\$2,500	\$1,739	09/30/2017	
CP 2016-175(HMT)	1	\$2,000	\$2,000	\$1,284	09/30/2017	
CP 2016-176(ROP)	1	\$5,000	\$5,000	\$3,210	09/30/2017	
CP 2016-177(HMT)	1	\$2,000	\$2,000	\$1,391	09/30/2017	
CP 2016-178(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2017	
CP 2016-179(HSR)	1	\$1,000	\$1,000	\$696	09/30/2017	
CP 2016-180(SA)	1	\$5,000	\$5,000	\$3,478	09/30/2017	
CP 2016-181(SA)	1	\$2,500	\$2,500	\$1,625	09/30/2017	
CP 2016-182(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2017	
CP 2016-183(TS)	1	\$5,000	\$5,000	\$3,478	09/30/2017	
CP 2016-184(SA)	1	\$5,000	\$5,000	\$3,478	09/30/2017	
CP 2016-185(SA)	1	\$2,500	\$2,500	\$1,605	09/30/2017	
CP 2016-186(SA)	1	\$5,000	\$5,000	\$3,478	09/30/2017	
CP 2016-187(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2017	
CP 2016-188(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2017	
CP 2016-189(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2017	
CP 2016-190(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2017	

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CP 2016-191(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2017	
CP 2016-192(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2017	
CP 2016-193(SA)	1	\$5,000	\$5,000	\$3,478	09/30/2017	
CP 2016-194(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2017	
CP 2016-195(SA)	1	\$2,500	\$2,500	\$1,605	09/30/2017	
CP 2016-196(SA)	1	\$2,500	\$2,500	\$1,605	09/30/2017	
CP 2016-197(SA)	1	\$5,000	\$5,000	\$3,478	09/30/2017	
CP 2016-198(FCS)	1	\$2,500	\$2,500	\$1,625	09/30/2017	
CP 2016-199(SA)	1	\$5,000	\$5,000	\$3,478	09/30/2017	
CP 2016-200(SA)	1	\$2,500	\$2,500	\$1,625	09/30/2017	
CP 2016-201(SA)	1	\$5,000	\$5,000	\$3,478	09/30/2017	
CP 2016-202(LI)	1	\$2,000	\$2,000	\$1,500	09/30/2017	
CP 2016-203(LI)	1	\$2,000	\$2,000	\$1,500	09/30/2017	
CP 2016-204(LI)	1	\$2,500	\$2,500	\$2,000	09/30/2017	
CP 2016-205(LI)	1	\$2,000	\$2,000	\$1,600	09/30/2017	
CP 2016-206(TS)	2	\$5,000	\$5,000	\$3,478	09/30/2017	
CP 2016-207(TS)	3	\$12,500	\$12,500	\$8,000	09/30/2017	
CP 2016-208(TS)	2	\$2,000	\$2,000	\$1,391	09/30/2017	
CP 2016-209(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2017	
CP 2016-210(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2017	
CP 2016-211(FCS)	1	\$2,500	\$2,500	\$1,739	09/30/2017	
CP 2016-212(FCS)	1	\$5,000	\$5,000	\$3,750	09/30/2017	
CP 2016-213(SI)	1	\$5,000	\$5,000	\$3,478	09/30/2017	
CP 2016-214(TS)	1	\$2,500	\$2,500	\$1,739	09/30/2017	
CP 2016-215(SI)	1	\$1,000	\$1,000	\$839	09/30/2017	
CP 2016-218(SI)	1	\$1,000	\$1,000	\$839	09/30/2017	
CP 2016-219(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2017	
CP 2016-220(SA)	1	\$2,500	\$2,500	\$1,739	09/30/2017	
CP 2016-221(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2017	
CP 2016-222(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2017	
CP 2016-223(SA)	2	\$10,000	\$10,000	\$6,500	09/30/2017	
CP 2016-224(FCS)	1	\$2,500	\$2,500	\$1,625	09/30/2017	
CP 2016-225(ROP)	1	\$9,500	\$9,500	\$7,125	09/30/2017	
CP 2016-226(HMT)	2	\$16,000	\$16,000	\$11,200	09/30/2017	
CP 2016-227(TS)	1	\$5,000	\$5,000	\$3,478	09/30/2017	
CP 2016-228(LI)	3	\$5,500	\$5,500	\$3,551	09/30/2017	
CP 2016-229(SA)	1	\$2,500	\$2,500	\$1,739	09/30/2017	
CP 2016-230(SA)	1	\$2,500	\$2,500	\$1,625	09/30/2017	
CP 2016-231(TS)	1	\$5,000	\$5,000	\$3,478	09/30/2017	
CP 2016-232(TS)	2	\$10,000	\$10,000	\$6,956	09/30/2017	
CP 2016-233(TS)	2	\$7,500	\$7,500	\$5,217	09/30/2017	
CP 2016-234(TS)	5	\$20,000	\$20,000	\$13,912	09/30/2017	
CP 2016-235(HSR)	2	\$2,000	\$2,000	\$1,678	09/30/2017	
CP 2016-236(HSR)	2	\$2,000	\$2,000	\$1,678	09/30/2017	
CP 2016-237(ROP)	1	\$2,000	\$2,000	\$1,200	09/30/2017	
CP 2016-238(HSR)	1	\$1,000	\$1,000	\$696	09/30/2017	
CP 2016-239(HSR)	1	\$1,000	\$1,000	\$839	09/30/2017	
CP 2016-240(HSR)	1	\$1,000	\$1,000	\$800	09/30/2017	
CP 2017-1(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2017	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
CP 2017-2(SA)	1	\$2,500	\$2,500	\$1,739	09/30/2017	
CP 2017-3(SA)	1	\$2,500	\$2,500	\$1,739	09/30/2017	
CP 2017-4(LI)	1	\$5,000	\$5,000	\$3,500	09/30/2017	
CP 2017-5(LI)	1	\$5,000	\$5,000	\$3,500	09/30/2017	
CP 2017-6(LI)	1	\$5,000	\$5,000	\$3,500	09/30/2017	
CP 2017-7(TS)	1	\$5,000	\$5,000	\$3,478	09/30/2017	
CP 2017-8(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2017	
CP 2017-9(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2017	
CP 2017-10(SA)	1	\$5,000	\$5,000	\$3,478	09/30/2017	
CP 2017-11(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2017	
CP 2017-12(LI)	1	\$1,500	\$1,500	\$898	09/30/2017	
CP 2017-13(TS)	1	\$2,500	\$2,500	\$1,739	09/30/2017	
CP 2017-14(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2017	
CP 2017-15(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2017	
CP 2017-16(SA)	1	\$5,000	\$5,000	\$3,478	09/30/2017	
CP 2017-17(SA)	1	\$5,000	\$5,000	\$3,478	09/30/2017	
CP 2017-18(SA)	1	\$5,000	\$5,000	\$3,478	09/30/2017	
CP 2017-19(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2017	
CP 2017-20(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2017	
CP 2017-21(HSR)	25	\$25,000	\$25,000	\$18,000	09/30/2017	
CP 2017-22(SA)	1	\$5,000	\$5,000	\$3,478	09/30/2017	
CP 2017-23(SA)	1	\$5,000	\$5,000	\$3,210	09/30/2017	
CP 2017-24(SA)	1	\$5,000	\$5,000	\$3,478	09/30/2017	
CP 2017-25(SA)	1	\$5,000	\$5,000	\$3,000	09/30/2017	
CP 2017-26(ROP)	1	\$2,000	\$2,000	\$1,284	09/30/2017	
CP 2017-27(FCS)	1	\$2,500	\$2,500	\$1,625	09/30/2017	
CP 2017-28(AD)	1	\$2,500	\$2,500	\$1,750	09/30/2017	
CP 2017-29(AD)	1	\$2,500	\$2,500	\$1,750	09/30/2017	
CP 2017-31(AD)	1	\$5,000	\$5,000	\$3,750	09/30/2017	
CP 2017-32(HS)	1	\$1,000	\$1,000	\$696	09/30/2017	
CP 2017-33(TS)	2	\$10,000	\$10,000	\$6,955	09/30/2017	
CP 2017-34(SA)	1	\$5,000	\$5,000	\$3,478	09/30/2017	
CP 2017-35(SA)	1	\$5,000	\$5,000	\$3,478	09/30/2017	
CP 2017-36(SA)	1	\$2,500	\$2,500	\$1,739	09/30/2017	
CP 2017-37(SA)	1	\$5,000	\$5,000	\$3,478	09/30/2017	
CP 2017-38(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2017	
CP 2017-39(SA)	1	\$10,000	\$10,000	\$7,000	09/30/2017	
CP 2017-40(SA)	1	\$2,500	\$2,500	\$1,739	09/30/2017	
CP 2017-41(FCS)	1	\$5,000	\$5,000	\$3,250	09/30/2017	
CP 2017-42(FCS)	1	\$5,000	\$5,000	\$3,478	09/30/2017	
CP 2017-44(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2017	
CP 2017-45(SA)	1	\$2,500	\$2,500	\$1,739	09/30/2017	
CP 2017-46(SA)	1	\$2,500	\$2,500	\$1,739	09/30/2017	
CP 2017-53(SA)	1	\$5,000	\$5,000	\$3,478	09/30/2017	
CP 2017-54(SA)	1	\$5,000	\$5,000	\$3,478	09/30/2017	
CP 2017-55(SA)	1	\$5,000	\$5,000	\$3,478	09/30/2017	
CP 2017-56(TS)	1	\$5,000	\$5,000	\$3,478	09/30/2017	
CP 2017-57(HS)	1	\$1,000	\$1,000	\$839	09/30/2017	
CP 2017-60(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2017	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
CP 2017-66(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2017	
CP 2017-67(HS)	1	\$1,000	\$1,000	\$650	09/30/2017	
CP 2017-70(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2017	
CRL 2015-1(ROP)	1	\$7,500	\$7,500	\$5,500	06/30/2017	
CRRX 2016-1(AD)	2	\$5,000	\$5,000	\$5,000	01/25/2017	
CRSH 2016-2(SA)	1	\$5,000	\$5,000	\$3,750	09/14/2017	
CRSH 2016-3(ROP)	1	\$7,500	\$7,500	\$5,625	09/14/2017	
CRSH 2016-4(HMT)	1	\$7,500	\$5,000	\$5,000	09/14/2017	Partially Terminated Violation(s): 1.
CRSH 2016-5(SA)	1	\$2,500	\$2,500	\$2,000	09/14/2017	
CRSH 2016-8(ROP)	1	\$7,500	\$7,500	\$5,625	09/14/2017	
CRSH 2016-9(SA)	1	\$5,000	\$5,000	\$5,000	09/14/2017	
CRSH 2016-10(HSR)	1	\$1,000	\$1,000	\$1,000	09/14/2017	
CRSH 2016-11(ROP)	5	\$15,500	\$15,500	\$13,000	09/14/2017	
CRSH 2016-12(SA)	1	\$5,000	\$5,000	\$3,750	09/14/2017	
CRSH 2016-13(AD)	1	\$5,000	\$5,000	\$4,000	09/14/2017	
CRSH 2016-14(SA)	4	\$20,000	\$20,000	\$15,000	09/14/2017	
CRSH 2016-15(ROP)	2	\$15,000	\$15,000	\$11,250	09/14/2017	
CRSH 2016-16(RSP)	1	\$9,500	\$9,500	\$7,125	09/14/2017	
CRSH 2016-17(SA)	1	\$5,000	\$5,000	\$5,000	09/14/2017	
CRSH 2016-18(AD)	1	\$2,500	\$2,500	\$2,000	09/14/2017	
CRSH 2017-1(TS)	1	\$2,500	\$2,500	\$2,125	09/14/2017	
CRSH 2017-2(SA)	1	\$5,000	\$5,000	\$3,750	09/14/2017	
CRSH 2017-3(SA)	1	\$5,000	\$5,000	\$3,750	09/14/2017	
CRSH 2017-4(ROP)	5	\$13,000	\$13,000	\$10,000	09/14/2017	
CSX 2009-233(EQ)	1	\$2,500	\$0	\$0	09/28/2017	Case Terminated.
CSX 2011-174(HSR)	1	\$1,000	\$0	\$0	09/28/2017	Case Terminated.
CSX 2013-168(RW)	1	\$1,000	\$1,000	\$650	09/28/2017	
CSX 2013-195(HMT)	1	\$1,000	\$1,000	\$680	09/28/2017	
CSX 2013-277(HMT)	1	\$3,000	\$3,000	\$1,950	09/28/2017	
CSX 2013-308(TS)	1	\$1,000	\$1,000	\$750	09/28/2017	
CSX 2013-395(BW)	1	\$15,000	\$15,000	\$12,250	09/28/2017	
CSX 2014-43(HSR)	3	\$3,000	\$3,000	\$1,950	09/28/2017	
CSX 2014-157(TS)	28	\$28,000	\$28,000	\$20,500	09/28/2017	
CSX 2014-285(HMT)	4	\$22,500	\$22,500	\$17,000	09/28/2017	
CSX 2014-363(SA)	1	\$5,000	\$2,500	\$1,800	09/28/2017	Partially Terminated Violation(s): 1.
CSX 2015-230(LI)	1	\$2,500	\$2,500	\$1,750	09/28/2017	
CSX 2015-249(RW)	2	\$8,000	\$8,000	\$6,200	09/28/2017	
CSX 2015-264(GC)	1	\$1,000	\$1,000	\$680	09/28/2017	
CSX 2015-271(GC)	1	\$5,000	\$5,000	\$4,000	09/28/2017	
CSX 2015-293(TS)	1	\$5,000	\$0	\$0	09/28/2017	Case Terminated.
CSX 2015-297(TS)	1	\$2,500	\$2,500	\$1,500	09/28/2017	
CSX 2015-299(LI)	1	\$1,500	\$1,500	\$1,250	09/28/2017	
CSX 2015-305(GC)	1	\$2,500	\$2,500	\$1,750	09/28/2017	
CSX 2015-307(RW)	2	\$4,000	\$4,000	\$2,750	09/28/2017	
CSX 2015-308(SA)	1	\$5,000	\$5,000	\$3,950	09/28/2017	
CSX 2015-312(LI)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
CSX 2015-313(LI)	1	\$1,500	\$1,500	\$850	09/28/2017	
CSX 2015-316(LI)	1	\$2,000	\$2,000	\$1,440	09/28/2017	

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CSX 2015-317(LI)	1	\$1,500	\$1,500	\$1,000	09/28/2017	
CSX 2015-328(SA)	1	\$2,500	\$2,500	\$1,850	09/28/2017	
CSX 2015-329(LI)	1	\$2,500	\$2,500	\$1,750	09/28/2017	
CSX 2015-333(TS)	8	\$40,000	\$40,000	\$29,500	09/28/2017	
CSX 2015-337(TS)	1	\$2,500	\$2,500	\$1,850	09/28/2017	
CSX 2015-341(ROP)	1	\$7,500	\$7,500	\$5,675	09/28/2017	
CSX 2015-352(FCS)	1	\$2,500	\$2,500	\$1,700	09/28/2017	
CSX 2015-356(FCS)	3	\$15,000	\$5,000	\$3,600	09/28/2017	Terminated Violation(s): 2, 3.
CSX 2015-369(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2017	
CSX 2015-372(FCS)	1	\$2,500	\$2,500	\$1,750	09/28/2017	
CSX 2015-377(LI)	1	\$2,500	\$2,500	\$1,750	09/28/2017	
CSX 2015-397(TS)	1	\$5,000	\$5,000	\$3,650	09/28/2017	
CSX 2015-408(HS)	1	\$1,000	\$1,000	\$825	09/28/2017	
CSX 2015-409(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2017	
CSX 2015-412(FCS)	1	\$2,500	\$2,500	\$1,750	09/28/2017	
CSX 2015-413(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2017	
CSX 2015-415(GC)	1	\$5,000	\$5,000	\$3,750	09/28/2017	
CSX 2015-416(SA)	1	\$10,000	\$10,000	\$7,850	09/28/2017	
CSX 2015-417(FCS)	1	\$2,000	\$2,000	\$1,600	09/28/2017	
CSX 2015-421(TS)	1	\$5,000	\$5,000	\$3,100	09/28/2017	
CSX 2015-424(SA)	1	\$5,000	\$5,000	\$3,700	09/28/2017	
CSX 2015-425(SA)	1	\$5,000	\$5,000	\$3,700	09/28/2017	
CSX 2015-428(ROP)	1	\$9,500	\$9,500	\$7,300	09/28/2017	
CSX 2015-429(TS)	2	\$5,000	\$5,000	\$4,100	09/28/2017	
CSX 2015-432(SA)	1	\$2,500	\$2,500	\$1,850	09/28/2017	
CSX 2015-433(SA)	1	\$5,000	\$0	\$0	06/09/2017	Case Terminated
CSX 2015-436(SA)	1	\$2,500	\$2,500	\$1,700	09/28/2017	
CSX 2015-437(SA)	1	\$5,000	\$5,000	\$2,800	09/28/2017	
CSX 2015-440(GC)	1	\$2,500	\$2,500	\$1,750	09/28/2017	
CSX 2015-441(GC)	1	\$1,000	\$1,000	\$1,000	09/28/2017	
CSX 2015-444(ROP)	1	\$7,500	\$7,500	\$5,200	09/28/2017	
CSX 2015-445(ROP)	1	\$7,500	\$7,500	\$5,200	09/28/2017	
CSX 2015-447(TS)	14	\$24,000	\$0	\$0	01/09/2017	Case Terminated.
CSX 2015-448(SA)	1	\$5,000	\$5,000	\$2,250	09/28/2017	
CSX 2015-449(LI)	1	\$2,500	\$0	\$0	09/28/2017	Case Terminated.
CSX 2015-452(SA)	1	\$5,000	\$5,000	\$3,800	09/28/2017	
CSX 2015-453(TS)	1	\$5,000	\$5,000	\$3,200	09/28/2017	
CSX 2015-455(TS)	1	\$5,000	\$5,000	\$3,650	09/28/2017	
CSX 2015-456(TS)	1	\$5,000	\$5,000	\$3,100	09/28/2017	
CSX 2015-457(TS)	1	\$1,000	\$1,000	\$800	09/28/2017	
CSX 2015-460(TS)	1	\$1,000	\$1,000	\$780	09/28/2017	
CSX 2015-461(TS)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
CSX 2015-464(TS)	2	\$7,500	\$7,500	\$5,500	09/28/2017	
CSX 2015-465(TS)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
CSX 2015-468(CC)	1	\$7,500	\$1,000	\$1,000	09/28/2017	Partially Terminated Violation(s): 1.
CSX 2015-469(TS)	1	\$2,500	\$2,500	\$1,750	09/28/2017	
CSX 2015-472(EQ)	1	\$4,000	\$1,000	\$1,000	09/28/2017	Partially Terminated Violation(s): 1.
CSX 2015-476(SI)	13	\$13,000	\$13,000	\$9,500	09/28/2017	

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CSX 2015-480(LI)	1	\$2,500	\$2,500	\$1,750	09/28/2017	
CSX 2015-481(SA)	1	\$5,000	\$5,000	\$3,800	09/28/2017	
CSX 2016-1(FCS)	1	\$2,500	\$2,500	\$1,800	09/28/2017	
CSX 2016-4(LI)	1	\$1,500	\$1,500	\$1,050	09/28/2017	
CSX 2016-5(SI)	1	\$7,500	\$7,500	\$5,850	09/28/2017	
CSX 2016-6(SI)	1	\$5,000	\$5,000	\$3,800	09/28/2017	
CSX 2016-8(HS)	1	\$1,000	\$1,000	\$850	09/28/2017	
CSX 2016-9(HS)	1	\$1,000	\$1,000	\$850	09/28/2017	
CSX 2016-10(SA)	1	\$10,000	\$10,000	\$8,800	09/28/2017	
CSX 2016-12(SA)	1	\$2,500	\$2,500	\$1,600	09/28/2017	
CSX 2016-13(SA)	1	\$2,500	\$0	\$0	09/28/2017	Case Terminated.
CSX 2016-16(TS)	1	\$5,000	\$5,000	\$3,650	09/28/2017	
CSX 2016-19(SI)	1	\$2,500	\$2,500	\$1,550	09/28/2017	
CSX 2016-20(SI)	1	\$2,500	\$2,500	\$1,550	09/28/2017	
CSX 2016-22(SI)	1	\$2,500	\$2,500	\$1,550	09/28/2017	
CSX 2016-23(HMT)	1	\$6,000	\$6,000	\$4,350	09/28/2017	
CSX 2016-25(SA)	1	\$5,000	\$5,000	\$3,800	09/28/2017	
CSX 2016-26(SA)	1	\$5,000	\$5,000	\$3,800	09/28/2017	
CSX 2016-28(GC)	1	\$1,000	\$1,000	\$1,000	09/28/2017	
CSX 2016-29(GC)	1	\$1,000	\$1,000	\$800	09/28/2017	
CSX 2016-31(HMT)	2	\$10,000	\$10,000	\$7,300	09/28/2017	
CSX 2016-32(GC)	1	\$2,000	\$2,000	\$1,500	09/28/2017	
CSX 2016-34(GC)	2	\$4,000	\$4,000	\$2,950	09/28/2017	
CSX 2016-35(GC)	1	\$2,000	\$2,000	\$1,500	09/28/2017	
CSX 2016-37(GC)	1	\$2,000	\$2,000	\$1,500	09/28/2017	
CSX 2016-39(TS)	1	\$2,500	\$2,500	\$1,450	09/28/2017	
CSX 2016-40(LI)	1	\$2,500	\$2,500	\$1,750	09/28/2017	
CSX 2016-41(FCS)	1	\$2,500	\$2,500	\$1,800	09/28/2017	
CSX 2016-42(HSR)	2	\$2,000	\$1,000	\$1,000	09/28/2017	Terminated Violation(s): 2.
CSX 2016-43(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2017	
CSX 2016-44(SA)	1	\$5,000	\$5,000	\$3,950	09/28/2017	
CSX 2016-45(SA)	1	\$5,000	\$5,000	\$4,000	09/28/2017	
CSX 2016-46(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2017	
CSX 2016-47(HS)	4	\$4,000	\$2,000	\$2,000	09/28/2017	Partially Terminated Violation(s): 1, 2.
CSX 2016-48(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2017	
CSX 2016-49(TS)	1	\$5,000	\$5,000	\$3,650	09/28/2017	
CSX 2016-50(ROP)	1	\$7,500	\$7,500	\$5,900	09/28/2017	
CSX 2016-51(HSR)	2	\$2,000	\$2,000	\$1,550	09/28/2017	
CSX 2016-52(HSR)	2	\$2,000	\$0	\$0	09/28/2017	Case Terminated.
CSX 2016-53(ROP)	1	\$9,500	\$9,500	\$6,925	09/28/2017	
CSX 2016-54(FCS)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
CSX 2016-55(SI)	15	\$15,000	\$15,000	\$11,000	09/28/2017	
CSX 2016-56(HMT)	1	\$4,000	\$4,000	\$3,000	09/28/2017	
CSX 2016-58(TS)	1	\$5,000	\$5,000	\$3,650	09/28/2017	
CSX 2016-59(LI)	1	\$2,500	\$2,500	\$1,750	09/28/2017	
CSX 2016-60(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2017	
CSX 2016-62(HMT)	2	\$9,500	\$9,500	\$7,000	09/28/2017	
CSX 2016-63(HMT)	1	\$3,000	\$3,000	\$2,200	09/28/2017	
CSX 2016-64(GC)	1	\$2,500	\$2,500	\$1,750	09/28/2017	

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CSX 2016-65(GC)	1	\$5,000	\$5,000	\$3,700	09/28/2017	
CSX 2016-66(HSR)	1	\$1,000	\$1,000	\$800	09/28/2017	
CSX 2016-67(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2017	
CSX 2016-68(TS)	1	\$2,500	\$2,500	\$1,650	09/28/2017	
CSX 2016-69(ROP)	1	\$7,500	\$7,500	\$5,200	09/28/2017	
CSX 2016-70(LI)	1	\$2,500	\$2,500	\$1,750	09/28/2017	
CSX 2016-71(TS)	1	\$5,000	\$5,000	\$3,650	09/28/2017	
CSX 2016-72(GC)	1	\$2,500	\$2,500	\$1,925	09/28/2017	
CSX 2016-73(SI)	2	\$2,000	\$2,000	\$1,550	09/28/2017	
CSX 2016-74(SI)	1	\$1,000	\$1,000	\$830	09/28/2017	
CSX 2016-75(SA)	1	\$2,000	\$2,000	\$1,560	09/28/2017	
CSX 2016-76(SA)	1	\$2,000	\$2,000	\$1,560	09/28/2017	
CSX 2016-77(TS)	2	\$10,000	\$10,000	\$7,400	09/28/2017	
CSX 2016-78(SA)	1	\$5,000	\$5,000	\$3,800	09/28/2017	
CSX 2016-79(GC)	10	\$10,000	\$10,000	\$6,700	09/28/2017	
CSX 2016-80(GC)	1	\$5,000	\$5,000	\$3,600	09/28/2017	
CSX 2016-81(GC)	1	\$5,000	\$5,000	\$3,600	09/28/2017	
CSX 2016-82(GC)	1	\$5,000	\$5,000	\$3,600	09/28/2017	
CSX 2016-83(LI)	1	\$1,000	\$1,000	\$680	09/28/2017	
CSX 2016-85(TS)	9	\$22,500	\$22,500	\$16,600	09/28/2017	
CSX 2016-86(ROP)	1	\$9,500	\$9,500	\$6,750	09/28/2017	
CSX 2016-87(TS)	2	\$7,500	\$7,500	\$5,500	09/28/2017	
CSX 2016-88(SA)	1	\$2,500	\$2,500	\$1,850	09/28/2017	
CSX 2016-89(SA)	1	\$5,000	\$5,000	\$3,800	09/28/2017	
CSX 2016-90(SA)	1	\$5,000	\$2,500	\$2,100	09/28/2017	Partially Terminated Violation(s):
CSX 2016-91(HMT)	3	\$13,500	\$13,500	\$9,600	09/28/2017	
CSX 2016-92(HMT)	1	\$4,000	\$4,000	\$2,900	09/28/2017	
CSX 2016-93(ROP)	1	\$7,500	\$7,500	\$5,200	09/28/2017	
CSX 2016-94(ROP)	1	\$7,500	\$7,500	\$4,950	09/28/2017	
CSX 2016-95(ROP)	1	\$7,500	\$7,500	\$4,000	09/28/2017	
CSX 2016-97(SA)	1	\$2,500	\$2,500	\$1,850	09/28/2017	
CSX 2016-98(SA)	1	\$2,500	\$2,500	\$1,750	09/28/2017	
CSX 2016-99(SA)	1	\$2,500	\$2,500	\$1,850	09/28/2017	
CSX 2016-100(HS)	1	\$1,000	\$1,000	\$800	09/28/2017	
CSX 2016-101(SA)	1	\$5,000	\$5,000	\$3,800	09/28/2017	
CSX 2016-103(GC)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
CSX 2016-104(GC)	1	\$5,000	\$5,000	\$3,600	09/28/2017	
CSX 2016-105(TS)	1	\$5,000	\$5,000	\$3,650	09/28/2017	
CSX 2016-106(HMT)	3	\$17,000	\$17,000	\$12,500	09/28/2017	
CSX 2016-107(SA)	1	\$5,000	\$5,000	\$3,800	09/28/2017	
CSX 2016-108(HMT)	2	\$15,000	\$15,000	\$11,250	09/28/2017	
CSX 2016-109(FCS)	1	\$2,000	\$2,000	\$1,600	09/28/2017	
CSX 2016-111(GC)	1	\$5,000	\$5,000	\$3,600	09/28/2017	
CSX 2016-112(GC)	1	\$5,000	\$5,000	\$3,600	09/28/2017	
CSX 2016-113(GC)	1	\$5,000	\$5,000	\$3,600	09/28/2017	
CSX 2016-115(LI)	1	\$2,500	\$2,500	\$1,750	09/28/2017	
CSX 2016-116(LI)	1	\$2,500	\$2,500	\$1,825	09/28/2017	
CSX 2016-117(LI)	1	\$2,500	\$2,500	\$1,825	09/28/2017	
CSX 2016-118(TS)	1	\$5,000	\$5,000	\$3,500	09/28/2017	

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CSX 2016-119(TS)	1	\$1,000	\$1,000	\$750	09/28/2017	
CSX 2016-120(TS)	1	\$5,000	\$5,000	\$3,800	09/28/2017	
CSX 2016-122(LI)	1	\$2,500	\$2,500	\$1,750	09/28/2017	
CSX 2016-123(GC)	1	\$2,500	\$2,500	\$1,600	09/28/2017	
CSX 2016-124(GC)	1	\$1,000	\$1,000	\$650	09/28/2017	
CSX 2016-125(GC)	1	\$2,500	\$2,500	\$1,850	09/28/2017	
CSX 2016-126(GC)	1	\$5,000	\$5,000	\$3,600	09/28/2017	
CSX 2016-127(GC)	1	\$5,000	\$5,000	\$3,600	09/28/2017	
CSX 2016-128(GC)	1	\$5,000	\$5,000	\$3,600	09/28/2017	
CSX 2016-129(HMT)	1	\$5,000	\$5,000	\$3,750	09/28/2017	
CSX 2016-130(HMT)	2	\$6,000	\$6,000	\$4,500	09/28/2017	
CSX 2016-131(SA)	2	\$10,000	\$10,000	\$7,700	09/28/2017	
CSX 2016-132(SA)	1	\$5,000	\$5,000	\$3,800	09/28/2017	
CSX 2016-133(SA)	1	\$2,500	\$2,500	\$1,750	09/28/2017	
CSX 2016-134(TS)	1	\$2,500	\$2,500	\$1,900	09/28/2017	
CSX 2016-135(ROP)	1	\$7,500	\$7,500	\$5,200	09/28/2017	
CSX 2016-136(TS)	1	\$5,000	\$0	\$0	09/28/2017	Case Terminated.
CSX 2016-137(RW)	1	\$3,000	\$3,000	\$2,250	09/28/2017	
CSX 2016-138(ROP)	1	\$5,000	\$5,000	\$3,500	09/28/2017	
CSX 2016-139(SA)	1	\$2,500	\$2,500	\$1,750	09/28/2017	
CSX 2016-140(SA)	1	\$2,500	\$2,500	\$1,750	09/28/2017	
CSX 2016-141(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2017	
CSX 2016-142(ROP)	1	\$5,000	\$5,000	\$3,500	09/28/2017	
CSX 2016-143(HS)	1	\$1,000	\$1,000	\$850	09/28/2017	
CSX 2016-144(ROP)	1	\$9,500	\$9,500	\$7,300	09/28/2017	
CSX 2016-145(FCS)	1	\$2,500	\$2,500	\$1,625	09/28/2017	
CSX 2016-146(SA)	1	\$2,500	\$2,500	\$1,850	09/28/2017	
CSX 2016-147(SA)	1	\$2,500	\$2,500	\$1,550	09/28/2017	
CSX 2016-148(ROP)	1	\$7,500	\$7,500	\$5,200	09/28/2017	
CSX 2016-149(ROP)	1	\$5,000	\$5,000	\$3,750	09/28/2017	
CSX 2016-150(HMT)	1	\$5,000	\$5,000	\$3,650	09/28/2017	
CSX 2016-151(RW)	1	\$1,000	\$1,000	\$750	09/28/2017	
CSX 2016-152(SA)	1	\$5,000	\$5,000	\$3,700	09/28/2017	
CSX 2016-153(TS)	1	\$1,000	\$1,000	\$800	09/28/2017	
CSX 2016-154(ROP)	1	\$7,500	\$2,500	\$2,500	09/28/2017	Partially Terminated Violation(s): 1.
CSX 2016-155(SA)	1	\$2,500	\$2,500	\$1,550	09/28/2017	
CSX 2016-156(ROP)	1	\$7,500	\$7,500	\$5,550	09/28/2017	
CSX 2016-157(SI)	1	\$1,000	\$1,000	\$810	09/28/2017	
CSX 2016-158(LI)	1	\$2,500	\$2,500	\$1,750	09/28/2017	
CSX 2016-159(LI)	1	\$2,500	\$2,500	\$1,750	09/28/2017	
CSX 2016-160(LI)	1	\$1,000	\$1,000	\$800	09/28/2017	
CSX 2016-161(LI)	1	\$2,500	\$2,500	\$1,750	09/28/2017	
CSX 2016-162(FCS)	1	\$2,500	\$2,500	\$1,750	09/28/2017	
CSX 2016-163(FCS)	1	\$2,500	\$2,500	\$1,900	09/28/2017	
CSX 2016-164(TS)	1	\$2,500	\$2,500	\$1,750	09/28/2017	
CSX 2016-165(ROP)	1	\$7,500	\$7,500	\$5,550	09/28/2017	
CSX 2016-166(SA)	1	\$2,500	\$2,500	\$1,600	09/28/2017	
CSX 2016-167(SA)	1	\$2,500	\$2,500	\$1,600	09/28/2017	
CSX 2016-168(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2017	

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CSX 2016-169(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2017	
CSX 2016-170(SA)	1	\$10,000	\$10,000	\$7,800	09/28/2017	
CSX 2016-171(SA)	1	\$5,000	\$5,000	\$3,600	09/28/2017	
CSX 2016-172(FCS)	1	\$5,000	\$0	\$0	09/28/2017	Case Terminated.
CSX 2016-173(FCS)	1	\$2,500	\$1,000	\$1,000	09/28/2017	Partially Terminated Violation(s): 1.
CSX 2016-175(FCS)	1	\$5,000	\$5,000	\$3,400	09/28/2017	
CSX 2016-176(FCS)	1	\$2,500	\$2,500	\$1,700	09/28/2017	
CSX 2016-177(FCS)	1	\$2,500	\$2,500	\$1,800	09/28/2017	
CSX 2016-178(FCS)	1	\$2,500	\$1,000	\$900	09/28/2017	Partially Terminated Violation(s): 1.
CSX 2016-179(FCS)	1	\$2,500	\$1,000	\$900	09/28/2017	Partially Terminated Violation(s): 1.
CSX 2016-180(FCS)	1	\$5,000	\$5,000	\$3,850	09/28/2017	
CSX 2016-181(SA)	1	\$5,000	\$5,000	\$3,600	09/28/2017	
CSX 2016-182(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2017	
CSX 2016-183(SA)	1	\$2,500	\$2,500	\$1,900	09/28/2017	
CSX 2016-184(SA)	1	\$5,000	\$5,000	\$3,600	09/28/2017	
CSX 2016-185(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2017	
CSX 2016-186(SA)	1	\$5,000	\$5,000	\$3,600	09/28/2017	
CSX 2016-187(SA)	1	\$5,000	\$5,000	\$3,600	09/28/2017	
CSX 2016-188(FCS)	1	\$2,000	\$2,000	\$1,650	09/28/2017	
CSX 2016-189(HSR)	1	\$1,000	\$1,000	\$800	09/28/2017	
CSX 2016-190(GC)	1	\$2,500	\$2,500	\$1,850	09/28/2017	
CSX 2016-191(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2017	
CSX 2016-192(AD)	3	\$7,500	\$7,500	\$5,200	09/28/2017	
CSX 2016-193(AD)	1	\$5,000	\$5,000	\$3,200	09/28/2017	
CSX 2016-194(AD)	4	\$10,000	\$7,500	\$5,975	09/28/2017	Partially Terminated Violation(s): 1.
CSX 2016-196(LI)	1	\$2,500	\$2,500	\$1,750	09/28/2017	
CSX 2016-198(HMT)	1	\$2,000	\$2,000	\$1,500	09/28/2017	
CSX 2016-199(HMT)	1	\$2,000	\$2,000	\$1,500	09/28/2017	
CSX 2016-200(HMT)	1	\$5,000	\$5,000	\$3,750	09/28/2017	
CSX 2016-201(GC)	1	\$5,000	\$5,000	\$3,600	09/28/2017	
CSX 2016-203(LI)	1	\$2,500	\$2,500	\$1,750	09/28/2017	
CSX 2016-204(LI)	1	\$2,500	\$0	\$0	09/28/2017	Case Terminated.
CSX 2016-205(ROP)	4	\$8,000	\$8,000	\$4,000	09/28/2017	
CSX 2016-206(HMT)	1	\$6,000	\$6,000	\$4,400	09/28/2017	
CSX 2016-207(AR)	1	\$2,500	\$0	\$0	09/28/2017	Case Terminated.
CSX 2016-208(ROP)	1	\$7,500	\$7,500	\$5,550	09/28/2017	
CSX 2016-209(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2017	
CSX 2016-210(SA)	1	\$2,500	\$2,500	\$1,550	09/28/2017	
CSX 2016-211(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2017	
CSX 2016-212(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2017	
CSX 2016-213(SA)	1	\$2,500	\$0	\$0	09/28/2017	Case Terminated.
CSX 2016-215(SA)	1	\$2,500	\$2,500	\$1,500	09/28/2017	
CSX 2016-216(HS)	1	\$1,000	\$1,000	\$800	09/28/2017	
CSX 2016-217(HS)	1	\$1,000	\$1,000	\$800	09/28/2017	
CSX 2016-218(HS)	1	\$1,000	\$1,000	\$800	09/28/2017	
CSX 2016-219(HS)	1	\$1,000	\$1,000	\$825	09/28/2017	
CSX 2016-220(HS)	1	\$1,000	\$1,000	\$825	09/28/2017	

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CSX 2016-221(HS)	1	\$1,000	\$1,000	\$800	09/28/2017	
CSX 2016-222(HS)	1	\$1,000	\$1,000	\$800	09/28/2017	
CSX 2016-223(HS)	1	\$1,000	\$1,000	\$800	09/28/2017	
CSX 2016-224(HS)	1	\$1,000	\$1,000	\$800	09/28/2017	
CSX 2016-225(HS)	1	\$1,000	\$1,000	\$790	09/28/2017	
CSX 2016-226(HS)	1	\$1,000	\$1,000	\$790	09/28/2017	
CSX 2016-227(HS)	1	\$1,000	\$1,000	\$850	09/28/2017	
CSX 2016-228(HS)	1	\$1,000	\$1,000	\$800	09/28/2017	
CSX 2016-229(HS)	1	\$1,000	\$1,000	\$800	09/28/2017	
CSX 2016-230(FCS)	1	\$2,500	\$2,500	\$1,700	09/28/2017	
CSX 2016-231(SA)	1	\$2,500	\$2,500	\$650	09/28/2017	
CSX 2016-232(SA)	1	\$10,000	\$2,500	\$1,500	09/28/2017	Partially Terminated Violation(s): 1.
CSX 2016-233(SA)	1	\$2,500	\$2,500	\$650	09/28/2017	
CSX 2016-234(SA)	1	\$2,500	\$2,500	\$650	09/28/2017	
CSX 2016-235(SA)	1	\$2,500	\$2,500	\$650	09/28/2017	
CSX 2016-236(SA)	1	\$2,500	\$2,500	\$1,500	09/28/2017	
CSX 2016-237(SA)	1	\$2,500	\$2,500	\$1,500	09/28/2017	
CSX 2016-238(SA)	1	\$2,500	\$2,500	\$1,500	09/28/2017	
CSX 2016-239(SA)	1	\$5,000	\$5,000	\$3,750	09/28/2017	
CSX 2016-240(SA)	5	\$25,000	\$25,000	\$16,500	09/28/2017	
CSX 2016-241(SA)	1	\$5,000	\$0	\$0	09/28/2017	Case Terminatd.
CSX 2016-242(RW)	1	\$1,000	\$1,000	\$800	09/28/2017	
CSX 2016-243(HSR)	7	\$7,000	\$7,000	\$4,550	09/28/2017	
CSX 2016-244(GC)	1	\$5,000	\$5,000	\$4,300	09/28/2017	
CSX 2016-245(TS)	1	\$2,500	\$2,500	\$1,750	09/28/2017	
CSX 2016-246(ROP)	1	\$9,500	\$9,500	\$7,100	09/28/2017	
CSX 2016-247(FCS)	1	\$2,500	\$2,500	\$1,700	09/28/2017	
CSX 2016-248(FCS)	1	\$2,500	\$2,500	\$1,700	09/28/2017	
CSX 2016-249(FCS)	1	\$2,500	\$2,500	\$1,750	09/28/2017	
CSX 2016-250(FCS)	9	\$22,500	\$22,500	\$16,500	09/28/2017	
CSX 2016-251(SI)	1	\$5,000	\$5,000	\$3,400	09/28/2017	
CSX 2016-252(SA)	1	\$10,000	\$10,000	\$7,500	09/28/2017	
CSX 2016-253(SA)	1	\$2,500	\$2,500	\$1,900	09/28/2017	
CSX 2016-254(SA)	1	\$5,000	\$5,000	\$3,800	09/28/2017	
CSX 2016-255(SA)	1	\$2,500	\$2,500	\$1,500	09/28/2017	
CSX 2016-256(SA)	1	\$5,000	\$5,000	\$3,800	09/28/2017	
CSX 2016-257(ROR)	1	\$5,000	\$5,000	\$3,250	09/28/2017	
CSX 2016-258(SI)	1	\$1,000	\$1,000	\$830	09/28/2017	
CSX 2016-259(FCS)	1	\$2,500	\$2,500	\$1,800	09/28/2017	
CSX 2016-260(FCS)	2	\$5,000	\$2,500	\$1,925	09/28/2017	Terminated Violation(s): 1.
CSX 2016-261(SA)	1	\$5,000	\$5,000	\$3,800	09/28/2017	
CSX 2016-262(AR)	1	\$2,500	\$2,500	\$1,800	09/28/2017	
CSX 2016-263(AR)	1	\$2,500	\$2,500	\$1,800	09/28/2017	
CSX 2016-264(AR)	1	\$2,500	\$2,500	\$1,300	09/28/2017	
CSX 2016-265(AR)	1	\$2,500	\$2,500	\$1,800	09/28/2017	
CSX 2016-266(AR)	1	\$2,500	\$2,500	\$1,800	09/28/2017	
CSX 2016-267(AR)	1	\$1,000	\$1,000	\$680	09/28/2017	
CSX 2016-269(AR)	1	\$2,500	\$2,500	\$1,850	09/28/2017	
CSX 2016-272(AR)	1	\$1,000	\$1,000	\$680	09/28/2017	

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CSX 2016-274(AR)	1	\$1,000	\$1,000	\$720	09/28/2017	
CSX 2016-275(AR)	1	\$2,500	\$2,500	\$1,800	09/28/2017	
CSX 2016-276(AR)	1	\$1,000	\$1,000	\$680	09/28/2017	
CSX 2016-277(ROP)	1	\$9,500	\$9,500	\$7,100	09/28/2017	
CSX 2016-278(ROP)	1	\$7,500	\$7,500	\$5,800	09/28/2017	
CSX 2016-280(ROP)	1	\$7,500	\$7,500	\$5,550	09/28/2017	
CSX 2016-281(ROP)	1	\$7,500	\$7,500	\$5,800	09/28/2017	
CSX 2016-283(ROP)	1	\$7,500	\$7,500	\$5,550	09/28/2017	
CSX 2016-284(ROP)	1	\$7,500	\$7,500	\$5,500	09/28/2017	
CSX 2016-285(AR)	1	\$2,500	\$2,500	\$1,800	09/28/2017	
CSX 2016-286(ROP)	1	\$7,500	\$7,500	\$5,500	09/28/2017	
CSX 2016-287(ROP)	1	\$7,500	\$7,500	\$5,550	09/28/2017	
CSX 2016-288(TS)	1	\$5,000	\$5,000	\$3,400	09/28/2017	
CSX 2016-289(TS)	8	\$30,000	\$30,000	\$22,000	09/28/2017	
CSX 2016-290(TS)	6	\$17,500	\$17,500	\$12,150	09/28/2017	
CSX 2016-291(TS)	1	\$5,000	\$5,000	\$3,800	09/28/2017	
CSX 2016-292(TS)	1	\$2,500	\$2,500	\$1,600	09/28/2017	
CSX 2016-294(SI)	1	\$1,000	\$1,000	\$830	09/28/2017	
CSX 2016-295(AD)	1	\$2,500	\$2,500	\$1,600	09/28/2017	
CSX 2016-296(ROR)	2	\$19,000	\$19,000	\$12,000	09/28/2017	
CSX 2016-297(SA)	1	\$5,000	\$5,000	\$3,800	09/28/2017	
CSX 2016-298(SA)	1	\$5,000	\$5,000	\$3,800	09/28/2017	
CSX 2016-299(SA)	1	\$2,500	\$2,500	\$1,700	09/28/2017	
CSX 2016-300(SA)	1	\$5,000	\$5,000	\$3,800	09/28/2017	
CSX 2016-301(SA)	1	\$5,000	\$5,000	\$3,800	09/28/2017	
CSX 2016-302(HS)	1	\$1,000	\$1,000	\$800	09/28/2017	
CSX 2016-303(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2017	
CSX 2016-304(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2017	
CSX 2016-305(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2017	
CSX 2016-306(SA)	1	\$2,500	\$2,500	\$1,900	09/28/2017	
CSX 2016-308(SA)	1	\$2,500	\$2,500	\$1,600	09/28/2017	
CSX 2016-309(SA)	1	\$2,500	\$2,500	\$1,500	09/28/2017	
CSX 2016-310(SA)	1	\$2,500	\$2,500	\$1,500	09/28/2017	
CSX 2016-311(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2017	
CSX 2016-312(AR)	1	\$2,500	\$0	\$0	09/28/2017	Case Terminated.
CSX 2016-314(AR)	1	\$2,500	\$2,500	\$1,800	09/28/2017	
CSX 2016-315(TS)	1	\$5,000	\$5,000	\$3,000	09/28/2017	
CSX 2016-316(AR)	1	\$2,500	\$2,500	\$1,800	09/28/2017	
CSX 2016-317(ROP)	1	\$7,500	\$7,500	\$5,550	09/28/2017	
CSX 2016-318(ROP)	1	\$7,500	\$7,500	\$5,550	09/28/2017	
CSX 2016-319(ROP)	1	\$7,500	\$7,500	\$5,250	09/28/2017	
CSX 2016-320(ROP)	1	\$7,500	\$7,500	\$5,500	09/28/2017	
CSX 2016-321(TS)	1	\$2,500	\$2,500	\$1,700	09/28/2017	
CSX 2016-322(SA)	1	\$5,000	\$5,000	\$3,800	09/28/2017	
CSX 2016-324(FCS)	1	\$2,500	\$2,500	\$1,800	09/28/2017	
CSX 2016-325(SA)	1	\$2,500	\$2,500	\$1,500	09/28/2017	
CSX 2016-326(AR)	1	\$2,500	\$2,500	\$1,800	09/28/2017	
CSX 2016-327(SA)	1	\$5,000	\$5,000	\$3,800	09/28/2017	
CSX 2016-328(AD)	3	\$7,500	\$7,500	\$5,200	09/28/2017	

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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 2016-329(AD)	1	\$2,500	\$2,500	\$1,800	09/28/2017	
CSX 2016-332(AD)	2	\$10,000	\$0	\$0	09/28/2017	Case Terminated.
CSX 2016-333(AD)	3	\$15,000	\$15,000	\$11,500	09/28/2017	
CSX 2016-334(AD)	1	\$2,500	\$2,500	\$1,800	09/28/2017	
CSX 2016-335(AD)	1	\$2,500	\$2,500	\$1,750	09/28/2017	
CSX 2016-336(FCS)	1	\$2,500	\$2,500	\$1,800	09/28/2017	
CSX 2016-340(AR)	1	\$2,500	\$2,500	\$1,750	09/28/2017	
CSX 2016-341(AR)	1	\$2,500	\$2,500	\$1,800	09/28/2017	
CSX 2016-343(FCS)	1	\$5,000	\$5,000	\$3,600	09/28/2017	
CSX 2016-344(FCS)	1	\$2,000	\$2,000	\$1,500	09/28/2017	
CSX 2016-345(SA)	1	\$2,500	\$0	\$0	09/28/2017	Case Terminated.
CSX 2016-348(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2017	
CSX 2016-349(SA)	1	\$2,500	\$2,500	\$1,500	09/28/2017	
CSX 2016-351(TS)	1	\$2,500	\$2,500	\$1,700	09/28/2017	
CSX 2016-352(SA)	1	\$5,000	\$5,000	\$3,800	09/28/2017	
CSX 2016-353(TS)	7	\$22,500	\$22,500	\$16,500	09/28/2017	
CSX 2016-354(TS)	2	\$7,500	\$7,500	\$5,600	09/28/2017	
CSX 2016-355(FCS)	1	\$2,500	\$2,500	\$1,550	09/28/2017	
CSX 2016-356(SA)	1	\$2,000	\$2,000	\$1,500	09/28/2017	
CSX 2016-357(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2017	
CSX 2016-358(ROP)	1	\$7,500	\$7,500	\$5,250	09/28/2017	
CSX 2016-359(SI)	1	\$5,000	\$5,000	\$3,400	09/28/2017	
CSX 2016-360(FCS)	2	\$10,000	\$10,000	\$6,950	09/28/2017	
CSX 2016-361(TS)	2	\$10,000	\$10,000	\$7,700	09/28/2017	
CSX 2016-364(SI)	1	\$2,500	\$2,500	\$1,700	09/28/2017	
CSX 2016-365(FCS)	1	\$2,500	\$2,500	\$1,750	09/28/2017	
CSX 2016-366(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2017	
CSX 2016-368(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2017	
CSX 2016-369(FCS)	1	\$5,000	\$5,000	\$3,400	09/28/2017	
CSX 2016-370(FCS)	1	\$2,500	\$2,500	\$1,700	09/28/2017	
CSX 2016-371(SA)	1	\$2,500	\$2,500	\$1,500	09/28/2017	
CSX 2016-372(FCS)	1	\$2,500	\$2,500	\$1,600	09/28/2017	
CSX 2016-373(FCS)	1	\$2,500	\$2,500	\$1,650	09/28/2017	
CSX 2016-376(HS)	1	\$1,000	\$1,000	\$825	09/28/2017	
CSX 2016-377(SA)	1	\$2,500	\$2,500	\$2,000	09/28/2017	
CSX 2016-378(TS)	1	\$1,000	\$1,000	\$839	09/28/2017	
CSX 2016-379(FCS)	1	\$2,500	\$2,500	\$1,650	09/28/2017	
CSX 2016-380(SA)	1	\$5,000	\$5,000	\$3,800	09/28/2017	
CSX 2016-382(GC)	1	\$2,500	\$2,500	\$1,850	09/28/2017	
CSX 2016-383(GC)	2	\$2,000	\$2,000	\$1,560	09/28/2017	
CSX 2016-385(HSR)	1	\$1,000	\$1,000	\$710	09/28/2017	
CSX 2016-388(HSR)	2	\$2,000	\$2,000	\$1,678	09/28/2017	
CSX 2016-389(GC)	1	\$1,000	\$1,000	\$650	09/28/2017	
CSX 2016-391(GC)	1	\$5,000	\$5,000	\$3,700	09/28/2017	
CSX 2016-392(GC)	1	\$2,500	\$2,500	\$1,850	09/28/2017	
CSX 2016-394(GC)	1	\$2,500	\$2,500	\$1,500	09/28/2017	
CSX 2016-397(LI)	1	\$2,500	\$2,500	\$1,750	09/28/2017	
CSX 2016-398(EP)	1	\$1,000	\$1,000	\$760	09/28/2017	
CSX 2016-400(AD)	7	\$35,000	\$20,000	\$16,750	09/28/2017	Terminated Violation(s): 1, 3, and 4.

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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 2016-401(TS)	1	\$2,500	\$2,500	\$1,800	09/28/2017	
CSX 2016-402(TS)	3	\$6,000	\$6,000	\$3,980	09/28/2017	
CSX 2016-403(ROP)	1	\$7,500	\$7,500	\$5,500	09/28/2017	
CSX 2016-406(AR)	1	\$2,500	\$2,500	\$1,650	09/28/2017	
CSX 2016-409(HMT)	2	\$15,000	\$15,000	\$11,000	09/28/2017	
CSX 2016-410(TS)	1	\$2,500	\$2,500	\$1,600	09/28/2017	
CSX 2016-413(SA)	1	\$2,500	\$2,500	\$1,750	09/28/2017	
CSX 2016-414(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2017	
CSX 2016-415(ROP)	1	\$7,500	\$7,500	\$5,250	09/28/2017	
CSX 2016-416(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2017	
CSX 2016-418(ROP)	1	\$9,500	\$9,500	\$7,000	09/28/2017	
CSX 2016-419(SA)	1	\$5,000	\$5,000	\$3,800	09/28/2017	
CSX 2016-420(TS)	1	\$1,000	\$1,000	\$780	09/28/2017	
CSX 2016-421(TS)	1	\$2,500	\$2,500	\$1,800	09/28/2017	
CSX 2016-422(HSR)	1	\$1,000	\$1,000	\$800	09/28/2017	
CSX 2016-424(TS)	18	\$45,000	\$45,000	\$33,000	09/28/2017	
CSX 2016-425(SA)	1	\$5,000	\$5,000	\$3,800	09/28/2017	
CSX 2016-426(TH)	1	\$5,000	\$5,000	\$3,400	09/28/2017	
CSX 2016-427(TS)	1	\$2,500	\$2,500	\$1,650	09/28/2017	
CSX 2016-429(SA)	1	\$5,000	\$5,000	\$3,800	09/28/2017	
CSX 2016-430(TS)	1	\$2,500	\$2,500	\$1,600	09/28/2017	
CSX 2016-432(FCS)	1	\$2,500	\$2,500	\$1,975	09/28/2017	
CSX 2016-433(FCS)	1	\$2,500	\$2,500	\$1,650	09/28/2017	
CSX 2016-434(FCS)	1	\$2,500	\$2,500	\$1,650	09/28/2017	
CSX 2016-435(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2017	
CSX 2016-436(TS)	8	\$8,000	\$8,000	\$5,600	09/28/2017	
CSX 2016-437(ROP)	1	\$9,500	\$9,500	\$7,000	09/28/2017	
CSX 2016-440(RSP)	1	\$5,500	\$5,500	\$4,200	09/28/2017	
CSX 2016-441(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2017	
CSX 2016-442(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2017	
CSX 2016-443(SA)	1	\$5,000	\$5,000	\$3,800	09/28/2017	
CSX 2016-444(HMT)	1	\$7,500	\$7,500	\$5,400	09/28/2017	
CSX 2016-445(SA)	1	\$2,500	\$2,500	\$1,900	09/28/2017	
CSX 2016-446(SA)	1	\$2,500	\$2,500	\$1,750	09/28/2017	
CSX 2016-448(HMT)	1	\$3,000	\$3,000	\$2,300	09/28/2017	
CSX 2016-449(SA)	1	\$5,000	\$5,000	\$3,800	09/28/2017	
CSX 2016-450(SA)	1	\$5,000	\$5,000	\$3,400	09/28/2017	
CSX 2016-452(SA)	1	\$5,000	\$5,000	\$3,100	09/28/2017	
CSX 2016-453(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2017	
CSX 2016-454(SA)	1	\$5,000	\$5,000	\$3,400	09/28/2017	
CSX 2016-458(HSR)	1	\$1,000	\$1,000	\$839	09/28/2017	
CSX 2016-459(SA)	1	\$5,000	\$5,000	\$3,400	09/28/2017	
CSX 2016-460(ROP)	1	\$7,500	\$7,500	\$5,500	09/28/2017	
CSX 2016-461(FCS)	1	\$2,500	\$2,500	\$1,650	09/28/2017	
CSX 2016-462(ROP)	1	\$5,000	\$5,000	\$3,650	09/28/2017	
CSX 2016-463(ROP)	1	\$5,000	\$5,000	\$3,650	09/28/2017	
CSX 2016-464(SA)	1	\$2,500	\$2,500	\$1,900	09/28/2017	
CSX 2016-465(SA)	1	\$2,500	\$2,500	\$1,900	09/28/2017	
CSX 2016-466(AR)	1	\$2,500	\$2,500	\$1,800	09/28/2017	

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CSX 2016-468(SA)	1	\$5,000	\$5,000	\$3,400	09/28/2017	
CSX 2016-469(SA)	1	\$5,000	\$5,000	\$3,400	09/28/2017	
CSX 2016-470(SA)	1	\$2,500	\$2,500	\$1,750	09/28/2017	
CSX 2016-471(SA)	1	\$5,000	\$5,000	\$3,400	09/28/2017	
CSX 2016-472(SA)	1	\$5,000	\$5,000	\$3,400	09/28/2017	
CSX 2016-474(AR)	1	\$2,500	\$2,500	\$1,800	09/28/2017	
CSX 2016-476(AR)	1	\$2,500	\$2,500	\$1,800	09/28/2017	
CSX 2016-478(AR)	1	\$2,500	\$2,500	\$1,800	09/28/2017	
CSX 2016-482(AR)	1	\$2,500	\$2,500	\$1,800	09/28/2017	
CSX 2016-484(HSR)	3	\$3,000	\$3,000	\$2,000	09/28/2017	
CSX 2016-486(GC)	1	\$5,000	\$5,000	\$3,600	09/28/2017	
CSX 2016-488(GC)	3	\$3,000	\$3,000	\$1,950	09/28/2017	
CSX 2016-490(SA)	1	\$5,000	\$5,000	\$3,400	09/28/2017	
CSX 2016-491(SA)	1	\$5,000	\$5,000	\$3,400	09/28/2017	
CSX 2016-492(HMT)	1	\$2,000	\$2,000	\$1,550	09/28/2017	
CSX 2016-493(HMT)	2	\$10,000	\$10,000	\$7,700	09/28/2017	
CSX 2016-494(SA)	1	\$5,000	\$5,000	\$3,400	09/28/2017	
CSX 2016-495(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2017	
CSX 2016-496(SA)	1	\$2,500	\$2,500	\$1,600	09/28/2017	
CSX 2016-497(SA)	1	\$5,000	\$5,000	\$3,400	09/28/2017	
CSX 2016-498(SA)	1	\$5,000	\$5,000	\$3,400	09/28/2017	
CSX 2016-499(LI)	2	\$5,000	\$5,000	\$3,750	09/28/2017	
CSX 2016-500(TS)	1	\$5,000	\$5,000	\$3,400	09/28/2017	
CSX 2016-501(FCS)	1	\$2,500	\$2,500	\$1,800	09/28/2017	
CSX 2016-503(SI)	1	\$1,000	\$1,000	\$850	09/28/2017	
CSX 2016-504(SA)	1	\$5,000	\$5,000	\$3,400	09/28/2017	
CSX 2016-505(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2017	
CSX 2016-506(FCS)	2	\$5,000	\$5,000	\$3,450	09/28/2017	
CSX 2016-507(FCS)	1	\$2,500	\$2,500	\$1,650	09/28/2017	
CSX 2016-510(GC)	1	\$5,000	\$5,000	\$4,000	09/28/2017	
CSX 2016-511(SA)	1	\$2,500	\$2,500	\$1,700	09/28/2017	
CSX 2016-512(TS)	1	\$2,500	\$2,500	\$1,750	09/28/2017	
CSX 2016-513(HS)	2	\$2,000	\$2,000	\$1,600	09/28/2017	
CSX 2016-514(TS)	1	\$5,000	\$0	\$0	09/28/2017	Case Terminated.
CSX 2016-515(TS)	1	\$5,000	\$5,000	\$3,600	09/28/2017	
CSX 2016-516(HMT)	3	\$19,000	\$19,000	\$14,000	09/28/2017	
CSX 2016-517(SA)	1	\$5,000	\$5,000	\$3,400	09/28/2017	
CSX 2017-1(FCS)	1	\$2,500	\$2,500	\$1,650	09/28/2017	
CSX 2017-2(HS)	1	\$1,000	\$1,000	\$839	09/28/2017	
CSX 2017-3(SA)	1	\$2,500	\$2,500	\$1,500	09/28/2017	
CSX 2017-4(SA)	1	\$5,000	\$5,000	\$3,700	09/28/2017	
CSX 2017-5(ROP)	1	\$9,500	\$9,500	\$7,000	09/28/2017	
CSX 2017-6(ROP)	1	\$5,000	\$5,000	\$3,675	09/28/2017	
CSX 2017-7(HMT)	1	\$7,500	\$7,500	\$5,770	09/28/2017	
CSX 2017-8(LI)	1	\$2,500	\$2,500	\$1,900	09/28/2017	
CSX 2017-9(SA)	1	\$2,500	\$2,500	\$1,900	09/28/2017	
CSX 2017-10(ROP)	1	\$9,500	\$5,000	\$4,300	09/28/2017	Partially Terminated Violation(s): 1.
CSX 2017-11(TS)	12	\$30,000	\$30,000	\$21,500	09/28/2017	
CSX 2017-12(TS)	12	\$30,000	\$30,000	\$21,500	09/28/2017	

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CSX 2017-13(GC)	1	\$2,500	\$2,500	\$1,750	09/28/2017	
CSX 2017-14(SA)	1	\$2,500	\$2,500	\$1,500	09/28/2017	
CSX 2017-15(SA)	1	\$2,500	\$2,500	\$1,700	09/28/2017	
CSX 2017-16(SA)	1	\$2,500	\$2,500	\$1,600	09/28/2017	
CSX 2017-17(LI)	2	\$5,000	\$5,000	\$3,750	09/28/2017	
CSX 2017-18(ROP)	1	\$9,500	\$5,000	\$4,600	09/28/2017	Partially Terminated Violation(s): 1.
CSX 2017-19(AR)	1	\$1,000	\$1,000	\$850	09/28/2017	
CSX 2017-21(TS)	2	\$5,000	\$5,000	\$3,800	09/28/2017	
CSX 2017-22(SA)	1	\$5,000	\$5,000	\$3,400	09/28/2017	
CSX 2017-23(SA)	1	\$5,000	\$5,000	\$3,800	09/28/2017	
CSX 2017-25(ROP)	1	\$7,500	\$7,500	\$5,500	09/28/2017	
CSX 2017-26(TS)	118	\$289,000	\$289,000	\$226,000	09/28/2017	
CSX 2017-27(GC)	1	\$5,000	\$5,000	\$3,600	09/28/2017	
CSX 2017-28(GC)	1	\$5,000	\$5,000	\$3,600	09/28/2017	
CSX 2017-29(GC)	1	\$5,000	\$5,000	\$3,600	09/28/2017	
CSX 2017-30(GC)	1	\$5,000	\$5,000	\$3,600	09/28/2017	
CSX 2017-31(ROP)	1	\$5,000	\$0	\$0	09/28/2017	Case Terminated.
CSX 2017-33(GC)	1	\$5,000	\$0	\$0	09/28/2017	Case Terminated.
CSX 2017-34(GC)	1	\$5,000	\$5,000	\$3,600	09/28/2017	
CSX 2017-35(GC)	1	\$5,000	\$5,000	\$3,600	09/28/2017	
CSX 2017-36(GC)	1	\$5,000	\$5,000	\$3,600	09/28/2017	
CSX 2017-37(GC)	1	\$5,000	\$5,000	\$3,600	09/28/2017	
CSX 2017-39(GC)	1	\$5,000	\$5,000	\$3,600	09/28/2017	
CSX 2017-40(ROP)	1	\$7,500	\$7,500	\$5,500	09/28/2017	
CSX 2017-41(FCS)	1	\$2,500	\$2,500	\$1,750	09/28/2017	
CSX 2017-42(SA)	1	\$2,500	\$2,500	\$2,025	09/28/2017	
CSX 2017-43(SA)	1	\$2,500	\$2,500	\$1,900	09/28/2017	
CSX 2017-44(SA)	1	\$2,500	\$2,500	\$1,700	09/28/2017	
CSX 2017-45(SA)	1	\$5,000	\$5,000	\$3,400	09/28/2017	
CSX 2017-46(SA)	1	\$2,500	\$2,500	\$1,700	09/28/2017	
CSX 2017-47(LI)	1	\$5,000	\$5,000	\$3,750	09/28/2017	
CSX 2017-48(SA)	1	\$2,500	\$2,500	\$1,650	09/28/2017	
CSX 2017-49(SA)	1	\$2,500	\$2,500	\$1,550	09/28/2017	
CSX 2017-51(LI)	1	\$2,500	\$2,500	\$1,750	09/28/2017	
CSX 2017-53(SA)	1	\$5,000	\$5,000	\$3,800	09/28/2017	
CSX 2017-55(SA)	1	\$5,000	\$5,000	\$3,800	09/28/2017	
CSX 2017-57(FCS)	1	\$5,000	\$2,500	\$1,800	09/28/2017	Partially Terminated Violation(s): 1.
CSX 2017-58(SA)	1	\$5,000	\$5,000	\$3,900	09/28/2017	
CSX 2017-59(FCS)	1	\$2,500	\$2,500	\$1,600	09/28/2017	
CSX 2017-61(SA)	1	\$5,000	\$5,000	\$3,800	09/28/2017	
CSX 2017-63(SA)	1	\$5,000	\$5,000	\$3,700	09/28/2017	
CSX 2017-65(SA)	3	\$7,500	\$7,500	\$5,650	09/28/2017	
CSX 2017-67(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2017	
CSX 2017-69(LI)	1	\$2,500	\$2,500	\$2,050	09/28/2017	
CSX 2017-70(EP)	1	\$1,000	\$1,000	\$839	09/28/2017	
CSX 2017-71(RSP)	1	\$1,000	\$1,000	\$870	09/28/2017	
CVR 2016-1(SA)	2	\$10,000	\$10,000	\$8,000	06/07/2017	
CVR 2017-1(TS)	3	\$10,000	\$10,000	\$8,000	06/07/2017	

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CVSX 2017-1(GC)	5	\$5,000	\$5,000	\$5,000	09/27/2017	
CVSX 2017-2(GC)	5	\$5,000	\$5,000	\$5,000	09/27/2017	
CVSX 2017-3(GC)	5	\$5,000	\$5,000	\$5,000	09/27/2017	
CVSX 2017-4(GC)	1	\$1,000	\$1,000	\$1,000	09/27/2017	
CWA 2016-1(SA)	1	\$5,000	\$5,000	\$3,000	05/17/2017	
CWRO 2016-1(SA)	1	\$5,000	\$5,000	\$4,000	02/02/2017	
CZRY 2006-3(EO)	1	\$2,500	\$0	\$0	05/18/2017	Case Terminated.
CZRY 2007-1(HS)	1	\$1,000	\$0	\$0	05/18/2017	Case Terminated.
CZRY 2007-2(TS)	1	\$5,000	\$0	\$0	05/13/2017	Case Terminated.
CZRY 2007-3(SA)	1	\$5,000	\$0	\$0	05/18/2017	Case Terminated.
CZRY 2008-1(AD)	2	\$3,500	\$0	\$0	05/18/2017	Case Terminated.
CZRY 2008-2(GC)	1	\$2,500	\$0	\$0	05/18/2017	Case Terminated.
CZRY 2009-1(SA)	1	\$5,000	\$0	\$0	05/18/2017	Case Terminated.
CZRY 2010-1(ROP)	2	\$17,000	\$0	\$0	05/18/2017	Case Terminated.
CZRY 2010-2(GC)	1	\$2,500	\$0	\$0	05/18/2017	Case Terminated.
DGNO 2016-1(ROP)	1	\$13,000	\$13,000	\$10,000	09/28/2017	
DGNO 2016-2(GC)	1	\$5,000	\$5,000	\$4,100	09/28/2017	
DGNO 2016-3(GC)	1	\$2,500	\$2,500	\$2,050	09/28/2017	
DGNO 2016-4(TS)	3	\$7,500	\$7,500	\$6,100	09/28/2017	
DH 2016-1(FCS)	1	\$1,000	\$1,000	\$696	09/30/2017	
DH 2016-2(LI)	1	\$2,500	\$2,500	\$1,605	09/30/2017	
DH 2016-3(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2017	
DH 2016-4(SA)	1	\$2,500	\$2,500	\$1,739	09/30/2017	
DH 2016-5(FCS)	1	\$1,000	\$1,000	\$839	09/30/2017	
DH 2017-1(SA)	1	\$2,500	\$2,500	\$1,625	09/30/2017	
DH 2017-2(SA)	1	\$2,500	\$2,500	\$1,605	09/30/2017	
DLWR 2016-1(SA)	1	\$2,500	\$2,500	\$1,250	05/22/2017	
DME 2016-2(SI)	1	\$5,000	\$5,000	\$3,478	09/30/2017	
DME 2016-3(SI)	1	\$5,000	\$5,000	\$3,478	09/30/2017	
DME 2016-4(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2017	
DME 2016-5(SA)	1	\$2,500	\$2,500	\$1,739	09/30/2017	
DME 2016-6(SA)	1	\$2,500	\$2,500	\$1,739	09/30/2017	
DME 2016-7(HMT)	6	\$28,000	\$28,000	\$19,750	09/30/2017	
DME 2016-8(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2017	
DME 2016-9(FCS)	1	\$2,500	\$2,500	\$1,739	09/30/2017	
DME 2016-10(LI)	1	\$2,500	\$2,500	\$1,750	09/30/2017	
DME 2016-11(LI)	1	\$2,500	\$2,500	\$1,739	09/30/2017	
DME 2017-1(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2017	
DME 2017-2(TS)	1	\$2,500	\$2,500	\$1,250	09/30/2017	
DMVW 2017-1(HMT)	1	\$7,500	\$7,500	\$7,500	05/19/2017	
DMVW 2017-2(TS)	1	\$1,000	\$1,000	\$1,000	05/30/2017	
DN 2017-1(RW)	1	\$2,000	\$2,000	\$2,000	06/12/2017	
DSRR 2017-1(GC)	1	\$5,000	\$5,000	\$839	09/05/2017	
EBSR 2016-1(SI)	1	\$5,000	\$5,000	\$3,000	06/05/2017	
EIRR 2016-1(SA)	1	\$2,500	\$2,500	\$1,750	09/29/2017	
EIRR 2016-2(ROP)	1	\$9,500	\$9,500	\$6,500	09/29/2017	
EIRR 2017-1(ROP)	1	\$7,500	\$7,500	\$5,500	09/29/2017	
EMRY 2017-1(TS)	4	\$20,000	\$20,000	\$15,600	04/04/2017	
EVWR 2016-1(ROR)	3	\$15,000	\$15,000	\$15,000	04/27/2017	

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EVWR 2016-2(AD)	1	\$5,000	\$5,000	\$5,000	03/30/2017	
EVWR 2017-1(GC)	1	\$2,500	\$2,500	\$2,500	04/27/2017	
EWG 2016-1(GC)	1	\$2,500	\$2,500	\$1,125	02/04/2017	
FCRD 2016-1(FCS)	2	\$10,000	\$10,000	\$8,250	09/28/2017	
FWWR 2017-5(GC)	1	\$5,000	\$5,000	\$5,000	08/29/2017	
GCK 2016-1(HMT)	2	\$9,000	\$9,000	\$5,850	05/29/2017	
GCSC 2015-1(TS)	7	\$11,500	\$11,500	\$9,200	05/26/2017	
GDLK 2016-1(SI)	1	\$2,500	\$2,500	\$2,100	09/29/2017	
GDLK 2016-2(SI)	1	\$5,000	\$5,000	\$3,600	09/29/2017	
GDLK 2016-3(SI)	1	\$5,000	\$5,000	\$3,600	09/29/2017	
GFRR 2015-2(TS)	1	\$5,000	\$5,000	\$3,800	01/09/2017	
GFRR 2015-3(TS)	3	\$3,000	\$3,000	\$2,300	01/09/2017	
GLC 2015-2(ROP)	1	\$5,000	\$5,000	\$4,000	04/10/2017	
GLC 2016-4(RSP)	1	\$2,500	\$2,500	\$2,500	04/11/2017	
GNWR 2015-1(CC)	1	\$2,500	\$2,500	\$2,050	09/28/2017	
GNWR 2017-1(AR)	1	\$2,500	\$2,500	\$2,050	09/28/2017	
GNWR 2017-2(AR)	1	\$2,500	\$2,500	\$2,050	09/28/2017	
GNWR 2017-3(AR)	1	\$2,500	\$2,500	\$2,050	09/28/2017	
GNWR 2017-4(AR)	1	\$2,500	\$2,500	\$2,050	09/28/2017	
GTRA 2016-1(HMT)	1	\$2,000	\$2,000	\$1,550	11/22/2016	
GU 2015-1(SA)	2	\$10,000	\$10,000	\$6,300	05/23/2017	
GU 2015-2(CC)	1	\$1,000	\$1,000	\$700	05/23/2017	
GU 2015-3(EQ)	1	\$2,000	\$2,000	\$1,225	05/23/2017	
GU 2015-4(EQ)	1	\$2,500	\$2,500	\$1,525	05/23/2017	
GVSR 2016-1(RW)	1	\$3,000	\$3,000	\$2,500	09/28/2017	
GWR 2017-1(TS)	2	\$10,000	\$10,000	\$10,000	05/15/2017	
GWWE 2016-1(HSR)	1	\$1,000	\$1,000	\$770	09/18/2017	
GWWE 2016-2(HSR)	1	\$1,000	\$1,000	\$770	09/18/2017	
GWWE 2016-3(HSR)	1	\$1,000	\$1,000	\$770	09/18/2017	
GWWE 2017-1(HSR)	1	\$1,000	\$1,000	\$770	09/18/2017	
HERQ 2017-1(RMM)	1	\$5,000	\$5,000	\$2,850	06/23/2017	
HOG 2016-1(AD)	1	\$2,500	\$2,500	\$2,500	11/21/2016	
HRRC 2017-1(GC)	1	\$2,500	\$2,500	\$1,800	07/26/2017	
HRRC 2017-2(GC)	1	\$5,000	\$5,000	\$3,750	07/26/2017	
HRT 2016-1(ROP)	1	\$9,500	\$0	\$0	12/20/2016	Case Terminated.
HRT 2017-1(EQ)	1	\$1,000	\$1,000	\$1,000	05/01/2017	
IAIS 2016-2(GC)	2	\$3,500	\$3,500	\$3,500	11/25/2016	
IAIS 2017-1(HMT)	1	\$3,000	\$3,000	\$3,000	01/27/2017	
IANR 2017-1(GC)	1	\$2,500	\$2,500	\$2,500	03/14/2017	
IHB 2016-1(ROP)	2	\$15,000	\$15,000	\$11,750	06/05/2017	
IHB 2016-3(SA)	1	\$5,000	\$5,000	\$3,750	06/05/2017	
IHB 2016-4(SA)	1	\$2,500	\$2,500	\$1,850	06/05/2017	
IHB 2016-5(HMT)	4	\$22,000	\$22,000	\$17,000	06/05/2017	
IHB 2016-6(FCS)	1	\$5,000	\$5,000	\$4,000	06/05/2017	
IHB 2017-1(SA)	1	\$2,500	\$2,500	\$1,850	06/05/2017	
IHB 2017-2(ROP)	1	\$7,500	\$7,500	\$6,000	06/05/2017	
IHB 2017-3(SA)	2	\$10,000	\$10,000	\$7,600	06/05/2017	
IMSA 2016-1(ROP)	1	\$9,500	\$9,500	\$9,500	12/12/2016	
INRD 2016-1(CC)	1	\$4,000	\$4,000	\$3,000	02/24/2017	

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INRD 2016-2(EQ)	1	\$2,000	\$2,000	\$1,500	02/24/2017	
IOFY 2016-6(GC)	1	\$5,000	\$5,000	\$4,100	09/28/2017	
IOFY 2016-7(LI)	1	\$2,500	\$2,500	\$2,050	09/28/2017	
IOFY 2016-8(GC)	1	\$5,000	\$5,000	\$4,100	09/28/2017	
IOFY 2016-9(GC)	1	\$5,000	\$5,000	\$4,100	09/28/2017	
IOFY 2016-10(GC)	1	\$5,000	\$5,000	\$4,100	09/28/2017	
IR 2016-1(HS)	3	\$3,000	\$3,000	\$3,000	06/30/2017	
IR 2016-2(HS)	5	\$5,000	\$5,000	\$5,000	06/30/2017	
IR 2016-3(HS)	2	\$2,000	\$2,000	\$2,000	06/30/2017	
ITC 2017-1(HMT)	1	\$2,000	\$2,000	\$1,750	02/17/2017	
JAIL 2016-1(HMT)	16	\$40,000	\$40,000	\$10,000	04/12/2017	
KCS 2016-13(GC)	1	\$1,000	\$1,000	\$770	09/18/2017	
KCS 2016-14(SA)	1	\$5,000	\$5,000	\$4,300	09/18/2017	
KCS 2016-15(GC)	1	\$2,500	\$2,500	\$1,925	09/18/2017	
KCS 2016-16(HMT)	1	\$4,000	\$4,000	\$3,075	09/18/2017	
KCS 2016-17(LI)	1	\$1,000	\$1,000	\$770	09/18/2017	
KCS 2016-18(AR)	1	\$2,500	\$2,500	\$1,925	09/18/2017	
KCS 2016-19(AR)	1	\$2,500	\$2,500	\$1,925	09/18/2017	
KCS 2016-20(TS)	20	\$23,000	\$23,000	\$16,500	09/18/2017	
KCS 2016-21(SA)	1	\$5,000	\$5,000	\$4,300	09/18/2017	
KCS 2016-22(AR)	2	\$5,000	\$5,000	\$3,850	09/18/2017	
KCS 2016-23(LI)	1	\$1,500	\$1,500	\$1,150	09/18/2017	
KCS 2016-24(LI)	1	\$2,500	\$2,500	\$2,100	09/18/2017	
KCS 2016-25(LI)	1	\$2,500	\$2,500	\$2,000	09/18/2017	
KCS 2016-26(RW)	1	\$2,000	\$2,000	\$1,540	09/18/2017	
KCS 2016-27(LI)	3	\$7,500	\$7,500	\$6,300	09/18/2017	
KCS 2016-28(LI)	2	\$5,000	\$5,000	\$4,200	09/18/2017	
KCS 2016-29(LI)	2	\$5,000	\$5,000	\$4,200	09/18/2017	
KCS 2016-30(HSR)	5	\$5,000	\$5,000	\$3,850	09/18/2017	
KCS 2016-31(FCS)	1	\$2,500	\$2,500	\$2,000	09/18/2017	
KCS 2016-32(GC)	1	\$5,000	\$5,000	\$4,000	09/18/2017	
KCS 2016-33(ROP)	1	\$7,500	\$7,500	\$5,800	09/18/2017	
KCS 2016-34(TS)	9	\$22,500	\$22,500	\$15,000	09/18/2017	
KCS 2016-35(TS)	1	\$2,500	\$2,500	\$2,000	09/18/2017	
KCS 2016-36(HSR)	1	\$1,000	\$1,000	\$770	09/18/2017	
KCS 2016-37(FCS)	1	\$5,000	\$5,000	\$3,850	09/18/2017	
KCS 2016-38(FCS)	1	\$2,500	\$2,500	\$2,000	09/18/2017	
KCS 2016-39(HMT)	2	\$9,500	\$9,500	\$8,100	09/18/2017	
KCS 2016-40(REM)	1	\$5,000	\$5,000	\$4,300	09/18/2017	
KCS 2016-41(FCS)	2	\$7,500	\$7,500	\$6,000	09/18/2017	
KCS 2016-42(SA)	1	\$2,500	\$2,500	\$2,125	09/18/2017	
KCS 2016-43(SA)	1	\$5,000	\$5,000	\$4,250	09/18/2017	
KCS 2016-44(HMT)	2	\$11,500	\$11,500	\$8,900	09/18/2017	
KCS 2016-45(GC)	1	\$5,000	\$5,000	\$4,000	09/18/2017	
KCS 2016-47(FCS)	1	\$2,500	\$2,500	\$2,000	09/18/2017	
KCS 2016-48(GC)	1	\$2,500	\$2,500	\$2,150	09/18/2017	
KCS 2016-49(GC)	1	\$5,000	\$5,000	\$4,000	09/18/2017	
KCS 2016-50(SA)	1	\$5,000	\$5,000	\$4,300	09/18/2017	
KCS 2016-51(HMT)	1	\$4,000	\$4,000	\$3,075	09/18/2017	

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KCS 2016-52(GC)	1	\$5,000	\$5,000	\$4,300	09/18/2017	
KCS 2016-53(GC)	1	\$2,500	\$2,500	\$2,000	09/18/2017	
KCS 2016-54(SA)	1	\$2,500	\$2,500	\$2,000	09/18/2017	
KCS 2016-55(HMT)	1	\$4,000	\$4,000	\$3,075	09/18/2017	
KCS 2016-56(LI)	1	\$2,500	\$2,500	\$2,000	09/18/2017	
KCS 2016-57(ROP)	1	\$7,500	\$7,500	\$6,500	09/18/2017	
KCS 2017-1(CC)	1	\$4,000	\$4,000	\$3,150	09/18/2017	
KCS 2017-2(LI)	2	\$4,000	\$4,000	\$3,400	09/18/2017	
KCS 2017-3(SA)	1	\$2,500	\$2,500	\$2,000	09/18/2017	
KCS 2017-4(LI)	2	\$4,000	\$4,000	\$3,400	09/18/2017	
KCS 2017-5(SA)	1	\$2,500	\$2,500	\$2,125	09/18/2017	
KCS 2017-6(LI)	1	\$2,500	\$2,500	\$2,100	09/18/2017	
KCS 2017-7(LI)	3	\$6,500	\$6,500	\$5,500	09/18/2017	
KCS 2017-8(TS)	1	\$2,500	\$2,500	\$2,100	09/18/2017	
KCS 2017-9(ROP)	1	\$7,500	\$7,500	\$5,800	09/18/2017	
KCS 2017-10(ROP)	1	\$7,500	\$7,500	\$6,600	09/18/2017	
KCS 2017-11(AD)	1	\$2,500	\$2,500	\$1,925	09/18/2017	
KCS 2017-12(AD)	1	\$2,500	\$2,500	\$1,925	09/18/2017	
KCS 2017-13(AD)	1	\$2,500	\$2,500	\$1,925	09/18/2017	
KCS 2017-14(AD)	1	\$2,500	\$2,500	\$1,925	09/18/2017	
KCS 2017-15(AD)	1	\$2,500	\$2,500	\$1,925	09/18/2017	
KCS 2017-16(AD)	1	\$2,000	\$2,000	\$1,525	09/18/2017	
KFR 2016-1(ROP)	1	\$7,500	\$7,500	\$5,900	01/29/2017	
KO 2016-1(SA)	1	\$2,500	\$2,500	\$1,750	09/29/2017	
KO 2016-2(ROP)	1	\$4,000	\$4,000	\$2,300	09/29/2017	
KO 2016-3(ROP)	1	\$7,500	\$7,500	\$5,250	09/29/2017	
KO 2016-4(SA)	1	\$5,000	\$5,000	\$3,500	09/29/2017	
KRR 2016-1(TS)	1	\$5,000	\$5,000	\$4,100	09/28/2017	
KRR 2016-2(TS)	1	\$2,500	\$2,500	\$2,050	09/28/2017	
KRR 2016-3(RW)	1	\$2,000	\$2,000	\$1,700	09/28/2017	
KYLE 2016-1(TS)	1	\$1,000	\$1,000	\$850	09/28/2017	
LAL 2017-1(SA)	1	\$5,000	\$5,000	\$5,000	06/13/2017	
LAMX 2008-1(GC)	1	\$2,500	\$0	\$0	02/14/2017	Case Terminated.
LAMX 2016-1(GC)	1	\$5,000	\$5,000	\$4,000	02/14/2017	
LAS 2016-1(ROP)	1	\$5,000	\$5,000	\$3,700	09/29/2017	
LBWR 2015-1(TS)	6	\$14,500	\$14,500	\$10,800	09/29/2017	
LBWR 2015-2(TS)	11	\$27,000	\$27,000	\$19,000	09/29/2017	
LBWR 2015-3(ROP)	1	\$7,500	\$7,500	\$5,000	09/29/2017	
LBWR 2015-4(TS)	6	\$14,000	\$14,000	\$10,000	09/29/2017	
LBWR 2015-5(TS)	2	\$5,000	\$5,000	\$3,500	09/29/2017	
LBWR 2016-1(TS)	3	\$3,000	\$3,000	\$2,500	09/29/2017	
LBWR 2016-2(AR)	1	\$2,500	\$0	\$0	08/09/2017	Case Terminated.
LBWR 2016-3(AR)	1	\$2,500	\$0	\$0	08/09/2017	Case Terminated.
LBWR 2016-4(AR)	1	\$2,500	\$0	\$0	08/09/2017	Case Terminated.
LBWR 2016-5(TS)	1	\$5,000	\$5,000	\$3,500	09/29/2017	
LC 2007-1(SA)	2	\$5,000	\$0	\$0	04/24/2017	Case Terminated.
LC 2007-2(FCS)	1	\$1,000	\$0	\$0	04/24/2017	Case Terminated.
LC 2012-1(TS)	1	\$7,500	\$0	\$0	04/24/2017	Case Terminated.
LC 2014-1(TS)	1	\$5,000	\$5,000	\$3,000	04/26/2017	

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LCR 2006-1(TS)	1	\$5,000	\$0	\$0	04/19/2017	Case Terminated.
LCR 2006-2(AR)	1	\$5,000	\$0	\$0	04/19/2017	Case Terminated.
LCR 2006-3(HSR)	2	\$2,000	\$0	\$0	04/19/2017	Case Terminated.
LCR 2007-1(EP)	1	\$1,500	\$0	\$0	04/19/2017	Case Terminated.
LI 2014-3(SI)	1	\$1,000	\$1,000	\$700	05/22/2017	
LI 2014-7(LI)	1	\$2,500	\$2,500	\$1,375	05/22/2017	
LI 2014-8(ROP)	1	\$9,500	\$9,500	\$6,500	05/22/2017	
LI 2015-5(PEQ)	1	\$2,500	\$2,500	\$1,375	05/22/2017	
LI 2016-1(EQ)	1	\$1,000	\$1,000	\$650	05/22/2017	
LI 2016-2(PEQ)	2	\$10,000	\$10,000	\$7,000	05/22/2017	
LI 2016-3(PEQ)	2	\$10,000	\$10,000	\$7,000	05/22/2017	
LI 2016-4(TH)	1	\$1,000	\$1,000	\$700	05/22/2017	
LIRC 2017-1(SA)	1	\$2,500	\$2,500	\$2,500	03/06/2017	
LKRR 2005-1(TS)	3	\$15,000	\$0	\$0	02/13/2017	Case Terminated.
LNW 2008-1(TS)	2	\$3,500	\$0	\$0	11/17/2016	Case Terminated.
LNW 2016-1(ROP)	1	\$7,500	\$7,500	\$2,250	12/16/2016	
LSI 2016-1(SA)	2	\$10,000	\$10,000	\$10,000	12/30/2016	
LSRC 2007-2(HMT)	4	\$26,000	\$0	\$0	12/06/2016	Case Terminated.
LSRC 2010-1(HMT)	1	\$4,000	\$0	\$0	12/06/2016	Case Terminated.
LSRC 2010-2(HMT)	1	\$4,000	\$0	\$0	12/06/2016	Case Terminated.
LSRC 2010-3(SA)	1	\$5,000	\$0	\$0	12/06/2016	Case Terminated.
LSRC 2016-3(SA)	1	\$5,000	\$5,000	\$3,500	10/04/2016	
LSRC 2016-4(FCS)	1	\$2,500	\$2,500	\$1,750	12/06/2016	
MBAX 2017-1(ROR)	1	\$7,500	\$7,500	\$5,625	07/26/2017	
MBRR 2016-1(TS)	1	\$2,500	\$2,500	\$2,050	09/28/2017	
MBRR 2016-2(TS)	1	\$1,000	\$1,000	\$850	09/28/2017	
MCCP 2016-1(TS)	36	\$36,000	\$2,000	\$2,000	03/31/2017	Terminated Violation(s): 2.
MEC 2016-5(GC)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
MEC 2016-6(GC)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
MEC 2016-7(GC)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
MEC 2016-8(GC)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
MEC 2017-1(ROP)	1	\$7,500	\$7,500	\$6,300	09/29/2017	
MEC 2017-2(TS)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
MEC 2017-3(TS)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
MEC 2017-4(TS)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
MEC 2017-5(TS)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
MHWA 2016-1(SA)	1	\$5,000	\$5,000	\$2,000	04/26/2017	
MMRR 2016-1(SA)	1	\$5,000	\$5,000	\$4,100	09/28/2017	
MMT 2016-1(SA)	1	\$5,000	\$5,000	\$3,500	09/29/2017	
MNA 2016-5(FCS)	2	\$7,500	\$7,500	\$6,100	09/28/2017	
MNA 2016-6(FCS)	1	\$5,000	\$5,000	\$4,100	09/28/2017	
MNA 2016-7(FCS)	1	\$2,500	\$2,500	\$2,050	09/28/2017	
MNA 2016-8(FCS)	1	\$5,000	\$5,000	\$4,100	09/28/2017	
MNA 2016-9(FCS)	1	\$2,500	\$2,500	\$2,050	09/28/2017	
MNA 2016-10(FCS)	1	\$2,500	\$2,500	\$2,050	09/28/2017	
MNA 2016-11(SA)	1	\$5,000	\$5,000	\$4,100	09/28/2017	
MNA 2016-12(AD)	1	\$5,000	\$5,000	\$4,100	09/28/2017	
MNCW 2014-1(RW)	1	\$2,000	\$2,000	\$2,000	12/19/2016	
MNCW 2014-2(PEQ)	1	\$5,000	\$5,000	\$4,250	12/19/2016	

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MNCW 2014-3(RSP)	1	\$1,000	\$1,000	\$750	12/19/2016	
MNCW 2014-4(SI)	8	\$8,000	\$8,000	\$6,800	12/19/2016	
MNCW 2014-5(GC)	2	\$15,000	\$15,000	\$12,000	12/19/2016	
MNCW 2014-6(ROR)	6	\$52,500	\$52,500	\$42,500	12/19/2016	
MNCW 2014-7(ROP)	1	\$5,000	\$5,000	\$4,250	12/19/2016	
MNCW 2014-8(ROR)	2	\$12,000	\$12,000	\$9,600	12/19/2016	
MNCW 2014-9(TS)	2	\$10,000	\$10,000	\$8,000	12/19/2016	
MNCW 2014-10(PEQ)	1	\$2,500	\$2,500	\$2,250	12/19/2016	
MNCW 2014-11(GC)	3	\$15,000	\$15,000	\$12,000	12/19/2016	
MNCW 2014-12(GC)	3	\$12,500	\$12,500	\$10,000	12/19/2016	
MNCW 2014-13(PEQ)	1	\$5,000	\$5,000	\$4,500	12/19/2016	
MNCW 2014-14(RSP)	1	\$9,500	\$9,500	\$7,125	12/19/2016	
MNCW 2014-15(EP)	1	\$2,000	\$2,000	\$1,500	12/19/2016	
MNCW 2014-16(TS)	3	\$12,500	\$12,500	\$10,000	12/19/2016	
MNCW 2014-17(SI)	10	\$10,000	\$1,000	\$750	12/29/2016	Partially Terminated Violation(S): 1.
MNCW 2014-18(RW)	2	\$2,000	\$2,000	\$2,000	12/19/2016	
MNCW 2014-19(TS)	1	\$5,000	\$5,000	\$3,500	12/19/2016	
MNCW 2014-20(ROP)	2	\$12,500	\$12,500	\$10,625	12/19/2016	
MNCW 2014-21(CC)	1	\$2,500	\$2,500	\$2,000	12/19/2016	
MNCW 2014-22(ROP)	2	\$17,000	\$17,000	\$15,300	12/19/2016	
MNCW 2014-23(PEQ)	1	\$5,000	\$5,000	\$4,250	12/19/2016	
MNCW 2014-24(ROR)	2	\$19,000	\$19,000	\$16,150	12/19/2016	
MNCW 2014-25(AR)	1	\$2,500	\$2,500	\$2,200	12/19/2016	
MNCW 2014-26(SA)	1	\$5,000	\$5,000	\$3,500	12/19/2016	
MNCW 2015-1(HSR)	1	\$1,000	\$1,000	\$850	12/19/2016	
MNCW 2015-2(HSR)	1	\$1,000	\$1,000	\$850	12/19/2016	
MNCW 2015-3(RSP)	1	\$5,000	\$5,000	\$3,750	12/19/2016	
MNCW 2015-4(ROR)	1	\$9,500	\$9,500	\$7,600	12/19/2016	
MNCW 2015-5(ROP)	5	\$39,500	\$39,500	\$33,575	12/19/2016	
MNCW 2015-6(PEQ)	2	\$10,000	\$10,000	\$8,500	12/19/2016	
MNCW 2015-7(EQ)	1	\$1,000	\$1,000	\$750	12/19/2016	
MNCW 2015-8(RW)	1	\$3,000	\$3,000	\$3,000	12/19/2016	
MNCW 2015-9(AR)	1	\$2,500	\$2,500	\$2,200	12/19/2016	
MNCW 2015-10(AR)	1	\$2,500	\$2,500	\$2,200	12/19/2016	
MNCW 2015-11(AR)	1	\$2,500	\$2,500	\$2,200	12/19/2016	
MNCW 2015-12(AR)	1	\$2,500	\$2,500	\$1,900	12/19/2016	
MNCW 2015-13(HSR)	1	\$1,000	\$1,000	\$850	12/19/2016	
MNCW 2015-14(LI)	1	\$2,500	\$2,500	\$2,000	12/19/2016	
MNCW 2015-15(SI)	1	\$1,000	\$1,000	\$750	12/19/2016	
MNCW 2015-16(SA)	1	\$2,500	\$2,500	\$1,875	12/19/2016	
MNCW 2015-18(AR)	1	\$2,500	\$2,500	\$2,200	12/19/2016	
MNCW 2015-19(AR)	1	\$2,500	\$2,500	\$2,500	12/19/2016	
MNCW 2015-20(AR)	1	\$2,500	\$2,500	\$2,200	12/19/2016	
MNCW 2015-21(AR)	1	\$2,500	\$2,500	\$2,200	12/19/2016	
MNCW 2015-22(AR)	1	\$2,500	\$2,500	\$2,200	12/19/2016	
MNCW 2015-23(AR)	1	\$2,500	\$2,500	\$2,200	12/19/2016	
MNCW 2015-24(PEQ)	1	\$5,000	\$5,000	\$4,250	12/19/2016	
MNCW 2015-25(ROP)	1	\$7,500	\$7,500	\$5,625	12/19/2016	
MNCW 2015-34(GC)	1	\$1,000	\$0	\$0	04/19/2017	Case Terminated.

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
MNCW 2016-1(RW)	1	\$2,000	\$0	\$0	03/20/2017	Case Terminated.
MNCW 2016-11(GC)	1	\$5,000	\$0	\$0	05/08/2017	Case Terminated.
MNNR 2017-1(TS)	1	\$2,500	\$2,500	\$1,540	05/02/2017	
MNNR 2017-2(HMT)	1	\$4,000	\$4,000	\$2,560	05/02/2017	
MRL 2016-1(ROP)	1	\$9,500	\$5,000	\$5,000	03/09/2017	Partially Terminated Violation(s): 1.
MRL 2016-2(AR)	1	\$1,000	\$1,000	\$1,000	03/09/2017	
MRL 2016-3(ROP)	1	\$9,500	\$5,000	\$5,000	03/09/2017	Partially Terminated Violation(s): 1.
MRL 2016-4(TS)	4	\$10,000	\$10,000	\$7,500	03/09/2017	
MRL 2016-5(ROP)	1	\$5,000	\$5,000	\$5,000	03/09/2017	
MRL 2016-6(TS)	3	\$7,500	\$7,500	\$5,625	03/09/2017	
MRL 2016-7(ROP)	1	\$7,500	\$7,500	\$6,375	03/09/2017	
MRL 2016-8(ROP)	1	\$9,500	\$9,500	\$8,075	03/09/2017	
MRL 2016-10(SA)	1	\$5,000	\$5,000	\$4,000	03/09/2017	
MRL 2016-11(LI)	1	\$2,500	\$2,500	\$2,250	03/09/2017	
MRL 2016-12(TS)	1	\$2,500	\$2,500	\$1,875	03/09/2017	
MRL 2017-1(SA)	1	\$5,000	\$5,000	\$4,000	03/09/2017	
MRLS 2016-1(AD)	1	\$1,000	\$1,000	\$1,000	12/19/2016	
MSDR 2016-4(GC)	1	\$2,500	\$2,500	\$2,500	05/30/2017	
MSDR 2017-1(GC)	1	\$2,500	\$2,500	\$2,500	09/01/2017	
MSE 2017-1(SA)	1	\$5,000	\$5,000	\$2,500	08/03/2017	
MSN 2015-1(SA)	1	\$5,000	\$5,000	\$2,500	02/14/2017	
MUNX 2017-1(GC)	1	\$2,500	\$2,500	\$2,000	05/30/2017	
NCT 2015-1(TS)	1	\$5,000	\$5,000	\$5,000	03/13/2017	
NCT 2015-2(TS)	1	\$2,500	\$2,500	\$2,500	06/27/2017	
NCT 2015-3(TS)	1	\$2,500	\$2,500	\$2,500	06/27/2017	
NCTC 2017-1(TS)	1	\$5,000	\$5,000	\$5,000	09/05/2017	
NCVA 2016-2(EQ)	1	\$1,000	\$1,000	\$850	09/28/2017	
NECR 2016-2(SA)	1	\$2,500	\$2,500	\$2,050	09/28/2017	
NECR 2016-3(SA)	1	\$2,500	\$2,500	\$2,050	09/28/2017	
NERR 2016-1(AD)	2	\$5,000	\$5,000	\$3,000	10/14/2016	
NERR 2016-2(AD)	2	\$5,000	\$5,000	\$3,000	02/01/2017	
NHN 2017-1(SA)	1	\$5,000	\$5,000	\$2,500	09/21/2017	
NHRR 2012-1(GC)	1	\$2,500	\$2,500	\$1,250	11/16/2016	
NHRR 2015-1(GC)	5	\$5,000	\$5,000	\$3,250	11/16/2016	
NHRR 2016-1(TS)	1	\$1,000	\$1,000	\$650	09/06/2017	
NHRR 2017-1(ROR)	1	\$7,500	\$7,500	\$3,750	09/06/2017	
NICD 2016-1(SI)	1	\$2,500	\$2,500	\$1,000	02/03/2017	
NICD 2016-2(ROP)	2	\$15,000	\$15,000	\$8,650	02/03/2017	
NICD 2017-1(SI)	1	\$8,000	\$8,000	\$6,250	09/22/2017	
NICD 2017-2(TS)	1	\$5,000	\$5,000	\$2,500	09/21/2017	
NIRC 2013-7(GC)	1	\$5,000	\$5,000	\$3,750	02/10/2017	
NIRC 2014-3(ROP)	1	\$7,500	\$7,500	\$5,250	02/10/2017	
NIRC 2015-1(PEQ)	1	\$5,000	\$5,000	\$3,500	02/10/2017	
NIRC 2015-2(ROP)	2	\$15,000	\$15,000	\$10,500	02/10/2017	
NIRC 2015-3(PEQ)	1	\$5,000	\$5,000	\$3,000	02/10/2017	
NIRC 2015-4(ROP)	1	\$2,000	\$2,000	\$1,400	02/10/2017	
NIRC 2015-5(ROP)	1	\$7,500	\$0	\$0	11/02/2016	Case Terminated.
NIRC 2015-6(GC)	1	\$5,000	\$5,000	\$3,750	02/10/2017	

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NIRC 2016-1(SI)	1	\$2,500	\$2,500	\$1,750	02/10/2017	
NJTR 2017-36(PEQ)	1	\$2,500	\$0	\$0	09/19/2017	Case Terminated.
NKCR 2016-1(TS)	1	\$5,000	\$5,000	\$3,500	04/20/2017	
NMRX 2017-1(SI)	1	\$1,000	\$1,000	\$1,000	07/10/2017	
NSSX 2016-1(HMT)	1	\$2,500	\$2,500	\$1,000	10/05/2016	
NSWS 2014-1(ROP)	2	\$17,000	\$0	\$0	10/14/2016	Case Terminated.
NSWS 2016-1(SA)	1	\$5,000	\$0	\$0	10/14/2016	Case Terminated.
NTZR 2016-1(TS)	2	\$3,500	\$3,500	\$2,100	10/25/2016	
NVRR 2016-1(HSR)	1	\$1,000	\$1,000	\$839	02/09/2017	
NVRR 2016-2(GC)	1	\$2,500	\$2,500	\$1,250	02/09/2017	
NYA 2016-3(EP)	1	\$1,000	\$1,000	\$1,000	01/18/2017	
NYA 2016-4(FCS)	1	\$5,000	\$5,000	\$5,000	01/18/2017	
NYA 2017-1(FCS)	1	\$5,000	\$5,000	\$5,000	06/28/2017	
NYSW 2016-1(SA)	1	\$2,500	\$2,500	\$2,500	10/12/2016	
NYSW 2016-3(EQ)	1	\$1,000	\$1,000	\$1,000	10/12/2016	
NYSW 2016-4(EQ)	1	\$1,000	\$1,000	\$1,000	10/12/2016	
NYSW 2016-5(EQ)	2	\$2,000	\$2,000	\$2,000	10/12/2016	
NYSW 2016-6(SA)	2	\$5,000	\$5,000	\$5,000	11/02/2016	
NYSW 2016-7(ROP)	1	\$7,500	\$2,000	\$2,000	09/08/2017	Partially Terminated Violation(s): 1.
NYSW 2016-8(SA)	1	\$2,500	\$2,500	\$2,500	09/22/2017	
NYSW 2016-9(ROP)	1	\$7,500	\$2,000	\$2,000	09/08/2017	Partially Terminated Violation(s): 1.
NYSW 2016-10(LI)	1	\$2,500	\$2,500	\$2,500	01/18/2017	
NYSW 2016-11(EQ)	4	\$11,000	\$11,000	\$11,000	01/18/2017	
NYSW 2017-1(LI)	1	\$2,500	\$2,500	\$1,500	09/08/2017	
NYSW 2017-2(GC)	1	\$5,000	\$5,000	\$3,500	09/08/2017	
OUCH 2016-1(GC)	4	\$20,000	\$20,000	\$11,000	07/19/2017	
OUCH 2016-2(TS)	2	\$10,000	\$10,000	\$5,500	07/19/2017	
OUCH 2016-3(LI)	2	\$5,000	\$5,000	\$2,750	07/19/2017	
PAL 2017-1(HSR)	1	\$1,000	\$1,000	\$1,000	06/15/2017	
PAS 2016-4(TS)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
PAS 2016-5(SA)	1	\$5,000	\$5,000	\$3,900	09/29/2017	
PAS 2016-6(GC)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
PAS 2016-7(GC)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
PAS 2016-8(GC)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
PAS 2016-9(GC)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
PAS 2016-10(GC)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
PAS 2016-11(TS)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
PAS 2016-12(TS)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
PAS 2016-13(TS)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
PAS 2017-1(TS)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
PAS 2017-2(TS)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
PAS 2017-3(TS)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
PAS 2017-4(TS)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
PAS 2017-5(TS)	3	\$12,500	\$12,500	\$6,250	09/29/2017	
PAS 2017-6(TS)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
PCC 2016-1(SA)	1	\$2,500	\$2,500	\$1,750	09/29/2017	
PCMZ 2016-1(AR)	1	\$2,500	\$2,500	\$2,500	03/13/2017	
PGBX 2015-1(RW)	1	\$1,000	\$1,000	\$700	03/13/2017	

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PGR 2016-1(HMT)	2	\$10,000	\$10,000	\$6,000	03/16/2017	
PN 2015-1(GC)	3	\$4,500	\$4,500	\$2,550	09/11/2017	
PN 2017-1(GC)	1	\$5,000	\$2,500	\$1,250	09/11/2017	Partially Terminated Violation(s): 1.
PNR 2016-2(ROP)	1	\$2,000	\$2,000	\$1,400	07/25/2017	
PNRW 2017-1(GC)	1	\$2,500	\$2,500	\$1,750	09/27/2017	
PNRW 2017-2(GC)	1	\$2,500	\$2,500	\$1,750	09/27/2017	
PNRW 2017-3(GC)	1	\$5,000	\$5,000	\$4,000	09/27/2017	
PNWR 2015-19(TS)	1	\$2,000	\$2,000	\$1,700	09/28/2017	
PNWR 2015-20(TS)	1	\$5,000	\$5,000	\$4,100	09/28/2017	
PNWR 2016-4(SA)	1	\$5,000	\$5,000	\$4,100	09/28/2017	
PNWR 2016-5(SA)	1	\$2,500	\$2,500	\$2,050	09/28/2017	
PNWR 2016-6(ROP)	1	\$7,500	\$7,500	\$6,100	09/28/2017	
PNWR 2016-7(ROP)	1	\$7,500	\$0	\$0	09/28/2017	Case Terminated.
PNWR 2016-8(ROP)	1	\$7,500	\$7,500	\$6,100	09/28/2017	
PNWR 2016-9(ROP)	1	\$7,500	\$0	\$0	09/28/2017	Case Terminated.
PNWR 2016-10(SA)	1	\$2,500	\$2,500	\$2,050	09/28/2017	
PNWR 2016-11(SA)	1	\$5,000	\$5,000	\$4,100	09/28/2017	
PNWR 2016-12(SA)	1	\$5,000	\$5,000	\$4,100	09/28/2017	
PNWR 2016-13(SA)	1	\$2,500	\$2,500	\$2,050	09/28/2017	
PNWR 2016-14(ROP)	1	\$9,500	\$0	\$0	09/28/2017	Case Terminated.
PNWR 2016-15(TS)	1	\$2,500	\$2,500	\$2,050	09/28/2017	
PNWR 2016-16(SA)	1	\$2,500	\$2,500	\$2,050	09/28/2017	
PNWR 2016-17(SA)	1	\$2,500	\$2,500	\$2,050	09/28/2017	
PNWR 2017-1(SA)	1	\$2,500	\$2,500	\$1,700	09/28/2017	
PNWR 2017-2(FCS)	1	\$2,500	\$2,500	\$1,700	09/28/2017	
PNWR 2017-3(HMT)	1	\$6,000	\$6,000	\$5,000	09/28/2017	
POVA 2017-1(SA)	1	\$5,000	\$5,000	\$5,000	03/21/2017	
PSAP 2016-2(TS)	1	\$2,500	\$2,500	\$2,050	09/28/2017	
PSAP 2016-3(FCS)	1	\$5,000	\$5,000	\$4,100	09/28/2017	
PSAP 2016-4(TS)	1	\$2,500	\$2,500	\$2,050	09/28/2017	
PTRA 2013-4(ROP)	3	\$24,500	\$24,500	\$14,000	03/13/2017	
PTRA 2014-1(HMT)	3	\$15,000	\$15,000	\$10,000	03/16/2017	
PTRA 2014-2(HMT)	2	\$10,000	\$10,000	\$7,000	03/16/2017	
PTRA 2015-1(SA)	1	\$5,000	\$5,000	\$3,500	03/13/2017	
PTRA 2015-2(HMT)	1	\$3,000	\$3,000	\$2,000	03/16/2017	
PTRA 2015-3(AD)	2	\$6,000	\$6,000	\$4,200	03/13/2017	
PTRA 2015-4(SA)	1	\$5,000	\$5,000	\$3,500	03/13/2017	
PTRA 2015-5(SA)	1	\$2,500	\$2,500	\$1,750	03/13/2017	
PW 2011-17(ROR)	1	\$5,000	\$0	\$0	03/16/2017	Case Terminated.
PW 2013-2(ROR)	1	\$5,000	\$5,000	\$3,750	09/28/2017	
PW 2014-2(TS)	2	\$7,500	\$7,500	\$5,600	02/28/2017	
PW 2014-3(SA)	2	\$10,000	\$10,000	\$7,000	02/28/2017	
PW 2015-1(SA)	1	\$5,000	\$5,000	\$3,500	02/28/2017	
PW 2015-2(SA)	2	\$10,000	\$10,000	\$6,700	02/28/2017	
PW 2015-3(ROP)	1	\$2,000	\$2,000	\$1,400	02/28/2017	
PW 2015-5(TS)	1	\$5,000	\$5,000	\$4,100	09/28/2017	
PW 2015-6(AR)	1	\$2,500	\$2,500	\$1,750	02/28/2017	
PW 2015-7(SA)	1	\$5,000	\$5,000	\$3,500	02/28/2017	
PW 2015-8(TS)	4	\$4,000	\$4,000	\$3,000	02/28/2017	

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PW 2016-1(ROP)	1	\$9,500	\$9,500	\$6,500	02/28/2017	
PW 2016-2(SA)	3	\$15,000	\$15,000	\$10,500	02/28/2017	
PW 2016-3(TS)	1	\$2,500	\$2,500	\$1,800	02/28/2017	
PW 2016-4(TS)	1	\$1,000	\$1,000	\$850	09/28/2017	
PW 2016-5(TS)	1	\$2,500	\$2,500	\$1,800	02/28/2017	
PW 2016-6(SA)	1	\$5,000	\$5,000	\$3,500	02/28/2017	
PW 2017-1(GC)	5	\$25,000	\$25,000	\$12,500	09/28/2017	
PW 2017-2(GC)	4	\$20,000	\$20,000	\$10,000	09/28/2017	
PW 2017-4(GC)	1	\$5,000	\$5,000	\$4,100	09/28/2017	
QCRJ 2017-1(RW)	4	\$6,000	\$6,000	\$4,500	08/18/2017	
RJCC 2016-1(GC)	1	\$5,000	\$5,000	\$5,000	03/20/2017	
RJCP 2016-1(ROP)	1	\$5,000	\$5,000	\$5,000	04/18/2017	
RLAX 2016-1(RW)	1	\$3,000	\$3,000	\$3,000	06/12/2017	
RPRC 2016-1(GC)	1	\$5,000	\$5,000	\$3,000	01/18/2017	
RTDC 2017-43(SI)	1	\$1,000	\$1,000	\$1,000	08/24/2017	
SAPT 2017-1(AD)	1	\$2,500	\$2,500	\$2,050	09/28/2017	
SAV 2016-1(TS)	1	\$5,000	\$5,000	\$3,250	02/07/2017	
SCAX 2016-14(GC)	1	\$2,500	\$2,500	\$1,825	01/13/2017	
SCAX 2016-15(GC)	1	\$2,500	\$2,500	\$1,825	01/13/2017	
SCAX 2016-17(GC)	1	\$1,000	\$1,000	\$650	01/13/2017	
SCAX 2016-18(GC)	1	\$1,000	\$1,000	\$650	01/13/2017	
SCAX 2016-19(GC)	1	\$1,000	\$1,000	\$720	01/13/2017	
SCAX 2016-20(GC)	1	\$1,000	\$1,000	\$720	01/13/2017	
SCAX 2016-21(GC)	1	\$5,000	\$5,000	\$3,500	01/13/2017	
SCAX 2016-22(GC)	1	\$5,000	\$5,000	\$3,500	01/13/2017	
SCAX 2016-23(GC)	1	\$2,500	\$2,500	\$1,750	01/13/2017	
SCAX 2016-24(GC)	1	\$2,500	\$2,500	\$1,750	01/13/2017	
SCAX 2016-25(GC)	1	\$1,000	\$1,000	\$720	01/13/2017	
SCAX 2016-26(GC)	1	\$1,000	\$1,000	\$720	01/13/2017	
SCAX 2016-27(GC)	1	\$2,500	\$2,500	\$1,750	01/13/2017	
SCAX 2016-28(GC)	1	\$2,500	\$2,500	\$1,825	01/13/2017	
SCAX 2016-29(GC)	1	\$1,000	\$1,000	\$720	01/13/2017	
SCAX 2016-30(GC)	1	\$2,500	\$2,500	\$1,750	01/13/2017	
SCAX 2016-31(GC)	1	\$2,500	\$2,500	\$1,825	02/01/2017	
SCAX 2016-32(GC)	1	\$2,500	\$2,500	\$1,825	02/07/2017	
SCAX 2016-33(GC)	1	\$1,000	\$1,000	\$839	02/07/2017	
SCAX 2016-34(GC)	1	\$1,000	\$1,000	\$839	02/07/2017	
SCAX 2016-35(GC)	1	\$1,000	\$1,000	\$839	02/07/2017	
SCAX 2016-36(GC)	1	\$1,000	\$1,000	\$853	04/26/2017	
SCAX 2017-1(AD)	1	\$2,500	\$2,500	\$1,825	04/26/2017	
SCAX 2017-2(AD)	4	\$10,000	\$10,000	\$7,300	04/26/2017	
SCR 2017-1(SI)	1	\$1,000	\$1,000	\$853	08/14/2017	
SCXF 2017-1(AD)	1	\$5,000	\$5,000	\$5,000	05/22/2017	
SCXF 2017-2(AD)	1	\$5,000	\$5,000	\$5,000	05/22/2017	
SCXY 2016-1(RW)	1	\$3,000	\$3,000	\$3,000	11/07/2016	
SEPA 2016-3(RW)	1	\$1,000	\$1,000	\$839	01/10/2017	
SEPA 2016-4(RW)	1	\$1,000	\$1,000	\$725	01/10/2017	
SEPA 2016-5(ROP)	1	\$2,000	\$0	\$0	02/01/2017	Case Terminated.
SEPA 2016-6(SI)	1	\$2,500	\$2,500	\$1,875	02/01/2017	

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SEPA 2017-1(PEQ)	1	\$5,000	\$5,000	\$3,750	05/09/2017	
SFRV 2016-2(AD)	1	\$2,500	\$2,500	\$1,925	05/11/2017	
SFRV 2016-3(AR)	1	\$2,500	\$2,500	\$1,925	05/11/2017	
SFRV 2016-4(AR)	2	\$5,000	\$5,000	\$3,850	05/11/2017	
SFRV 2016-5(AR)	2	\$5,000	\$5,000	\$3,850	05/11/2017	
SFRV 2016-6(AR)	1	\$2,500	\$2,500	\$1,800	05/11/2017	
SFRV 2016-7(ROR)	1	\$7,500	\$7,500	\$7,500	03/07/2017	
SFRV 2017-1(SA)	1	\$7,500	\$7,500	\$7,500	03/07/2017	
SFS 2011-1(ROR)	1	\$7,500	\$0	\$0	05/31/2017	Case Terminated.
SFS 2011-3(EQ)	3	\$5,500	\$0	\$0	05/31/2017	Case Terminated.
SFS 2011-4(ROP)	1	\$7,500	\$0	\$0	05/31/2017	Case Terminated.
SFS 2011-5(TS)	1	\$1,000	\$0	\$0	05/31/2017	Case Terminated.
SFS 2012-1(GC)	1	\$1,000	\$0	\$0	05/31/2017	Case Terminated.
SFS 2012-3(TS)	2	\$3,500	\$0	\$0	05/31/2017	Case Terminated.
SFS 2012-4(EP)	1	\$1,000	\$0	\$0	05/31/2017	Case Terminated.
SFS 2012-5(EP)	1	\$1,000	\$0	\$0	05/31/2017	Case Terminated.
SJVR 2016-2(SA)	1	\$2,500	\$2,500	\$2,050	09/28/2017	
SJVR 2016-3(ROR)	1	\$2,500	\$2,500	\$2,050	09/28/2017	
SJVR 2016-4(ROP)	1	\$7,500	\$7,500	\$6,100	09/28/2017	
SJVR 2016-5(GC)	1	\$5,000	\$5,000	\$4,100	09/28/2017	
SJVR 2016-6(ROP)	1	\$7,500	\$7,500	\$6,100	09/28/2017	
SJVR 2016-7(ROR)	9	\$22,500	\$22,500	\$15,000	09/28/2017	
SJVR 2017-1(ROP)	1	\$7,500	\$7,500	\$6,100	09/28/2017	
SJVR 2017-2(SA)	1	\$5,000	\$5,000	\$4,100	09/28/2017	
SKOL 2016-4(SA)	1	\$2,500	\$2,500	\$1,750	09/29/2017	
SKOL 2016-5(SA)	1	\$5,000	\$5,000	\$3,500	09/29/2017	
SKOL 2016-6(SA)	1	\$5,000	\$5,000	\$3,500	09/29/2017	
SKOL 2016-7(SI)	1	\$5,000	\$5,000	\$3,600	09/29/2017	
SKOL 2016-8(SI)	1	\$5,000	\$5,000	\$3,600	09/29/2017	
SKOL 2016-9(SA)	1	\$2,500	\$2,500	\$1,750	09/29/2017	
SKOL 2016-10(RW)	1	\$2,000	\$2,000	\$1,575	09/29/2017	
SKOL 2016-11(TS)	1	\$5,000	\$5,000	\$3,500	09/29/2017	
SKOL 2016-12(TS)	1	\$5,000	\$5,000	\$3,500	09/29/2017	
SKOL 2016-13(TS)	3	\$15,000	\$15,000	\$10,000	09/29/2017	
SKOL 2016-14(TS)	2	\$2,000	\$2,000	\$1,700	09/29/2017	
SKOL 2016-15(TS)	1	\$2,500	\$2,500	\$1,750	09/29/2017	
SKOL 2016-16(LI)	2	\$4,000	\$4,000	\$2,800	09/29/2017	
SKOL 2016-17(LI)	1	\$2,500	\$2,500	\$1,750	09/29/2017	
SKOL 2016-18(LI)	1	\$2,500	\$2,500	\$1,750	09/29/2017	
SKOL 2016-19(RW)	2	\$5,000	\$5,000	\$3,600	09/29/2017	
SKOL 2016-20(TS)	5	\$5,000	\$5,000	\$3,500	09/29/2017	
SKOL 2016-21(TS)	2	\$5,000	\$5,000	\$3,500	09/29/2017	
SKOL 2016-22(TS)	6	\$14,000	\$14,000	\$10,000	09/29/2017	
SKOL 2016-23(TS)	6	\$15,000	\$15,000	\$10,000	09/29/2017	
SKOL 2016-24(TS)	2	\$5,000	\$5,000	\$3,500	09/29/2017	
SKOL 2016-25(SA)	1	\$2,500	\$2,500	\$1,750	09/29/2017	
SKOL 2016-26(SA)	1	\$2,500	\$2,500	\$1,750	09/29/2017	
SKOL 2016-27(SA)	1	\$2,500	\$2,500	\$2,000	09/29/2017	
SKOL 2016-28(SA)	1	\$2,500	\$2,500	\$2,000	09/29/2017	

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SKOL 2016-29(SA)	1	\$5,000	\$5,000	\$3,250	09/29/2017	
SKOL 2016-30(ROP)	1	\$7,500	\$0	\$0	09/29/2017	Cae Terminated.
SKOL 2017-1(SA)	1	\$5,000	\$5,000	\$3,250	09/29/2017	
SKOL 2017-2(TS)	3	\$12,500	\$12,500	\$8,800	09/29/2017	
SKOL 2017-3(TS)	2	\$7,500	\$7,500	\$5,300	09/29/2017	
SKOL 2017-4(TS)	2	\$3,500	\$3,500	\$2,750	09/29/2017	
SKOL 2017-5(TS)	1	\$2,500	\$2,500	\$1,750	09/29/2017	
SKOL 2017-6(TS)	1	\$2,500	\$2,500	\$1,750	09/29/2017	
SKOL 2017-7(TS)	1	\$2,500	\$2,500	\$1,750	09/29/2017	
SKOL 2017-8(TS)	1	\$5,000	\$5,000	\$3,500	09/29/2017	
SLGW 2013-1(ROP)	2	\$10,000	\$10,000	\$10,000	12/08/2016	
SLGW 2014-1(SA)	2	\$10,000	\$10,000	\$10,000	05/22/2017	
SLWC 2016-3(SA)	1	\$2,500	\$2,500	\$1,750	09/29/2017	
SLWC 2016-4(SA)	1	\$2,500	\$2,500	\$1,750	09/29/2017	
SLWC 2016-5(ROP)	1	\$9,500	\$9,500	\$6,700	09/29/2017	
SLWC 2016-6(GC)	1	\$5,000	\$5,000	\$3,500	09/29/2017	
SMRT 2016-2(EQ)	2	\$5,000	\$5,000	\$2,700	05/31/2017	
SMRT 2016-3(GC)	1	\$5,000	\$5,000	\$3,750	05/31/2017	
SMRT 2017-2(SI)	1	\$1,000	\$1,000	\$1,000	08/31/2017	
SOU 2015-293(ROP)	1	\$7,500	\$7,500	\$6,000	09/29/2017	
SOU 2016-65(SA)	1	\$5,000	\$5,000	\$3,800	09/29/2017	
SOU 2016-84(SA)	1	\$1,000	\$1,000	\$650	09/29/2017	
SOU 2016-95(TH)	1	\$5,000	\$5,000	\$4,400	09/29/2017	
SOU 2016-97(HMT)	1	\$4,000	\$4,000	\$3,200	09/29/2017	
SOU 2016-98(ROR)	1	\$9,500	\$0	\$0	09/29/2017	Case Terminated.
SOU 2016-99(ROR)	1	\$9,500	\$2,500	\$2,500	09/29/2017	Partially Terminated Violatin(s): 1.
SOU 2016-100(GC)	1	\$5,000	\$5,000	\$4,500	09/29/2017	
SOU 2016-101(GC)	1	\$2,500	\$2,500	\$2,350	09/29/2017	
SOU 2016-102(GC)	2	\$5,000	\$2,500	\$2,500	09/29/2017	Partially Terminated Violation(s): 1.
SOU 2016-103(LI)	1	\$2,500	\$2,500	\$1,850	09/29/2017	
SOU 2016-104(SA)	1	\$2,500	\$2,500	\$1,900	09/29/2017	
SOU 2016-105(SA)	1	\$5,000	\$5,000	\$3,275	09/29/2017	
SOU 2016-106(GC)	1	\$5,000	\$5,000	\$4,500	09/29/2017	
SOU 2016-107(HMT)	6	\$45,000	\$21,000	\$21,000	09/29/2017	Violations (if any) Terminated or Partially Terminated" 1-3.
SOU 2016-108(SA)	1	\$2,500	\$2,500	\$1,900	09/29/2017	
SOU 2016-109(TS)	1	\$2,500	\$2,500	\$2,325	09/29/2017	
SOU 2016-110(FCS)	1	\$5,000	\$5,000	\$3,650	09/29/2017	
SOU 2016-111(ROP)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
SOU 2016-112(FCS)	1	\$2,500	\$2,500	\$1,850	09/29/2017	
SOU 2016-113(FCS)	1	\$2,500	\$2,500	\$1,850	09/29/2017	
SOU 2016-114(FCS)	1	\$2,500	\$2,500	\$1,800	09/29/2017	
SOU 2016-115(SA)	1	\$2,500	\$2,500	\$1,900	09/29/2017	
SOU 2016-116(SA)	1	\$2,500	\$2,500	\$1,900	09/29/2017	
SOU 2016-117(SA)	1	\$2,500	\$2,500	\$1,900	09/29/2017	
SOU 2016-118(SA)	1	\$2,500	\$2,500	\$1,900	09/29/2017	
SOU 2016-120(SA)	1	\$5,000	\$5,000	\$3,800	09/29/2017	

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SOU 2016-121(SA)	1	\$5,000	\$5,000	\$3,800	09/29/2017	
SOU 2016-122(SA)	1	\$2,500	\$2,500	\$1,900	09/29/2017	
SOU 2016-125(TS)	2	\$6,000	\$6,000	\$3,900	09/29/2017	
SOU 2016-126(AR)	1	\$2,500	\$2,500	\$2,000	09/29/2017	
SOU 2016-127(SA)	1	\$5,000	\$5,000	\$3,800	09/29/2017	
SOU 2016-128(ROP)	1	\$7,500	\$7,500	\$6,600	09/29/2017	
SOU 2016-129(SA)	1	\$2,500	\$2,500	\$1,900	09/29/2017	
SOU 2016-130(GC)	1	\$5,000	\$5,000	\$4,500	09/29/2017	
SOU 2016-131(SI)	1	\$1,000	\$1,000	\$650	09/29/2017	
SOU 2016-133(LI)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
SOU 2016-134(RW)	1	\$1,000	\$1,000	\$850	09/29/2017	
SOU 2016-135(LI)	1	\$2,500	\$2,500	\$1,450	09/29/2017	
SOU 2016-136(SA)	1	\$5,000	\$5,000	\$3,800	09/29/2017	
SOU 2016-137(SA)	1	\$2,500	\$0	\$0	09/29/2017	Case Terminated.
SOU 2016-138(SA)	1	\$2,500	\$0	\$0	09/29/2017	Case Terminated.
SOU 2016-139(SA)	1	\$2,500	\$0	\$0	09/29/2017	Case Terminated.
SOU 2016-140(SA)	1	\$2,500	\$2,500	\$1,900	09/29/2017	
SOU 2016-141(SA)	1	\$5,000	\$5,000	\$4,000	09/29/2017	
SOU 2016-142(SA)	1	\$5,000	\$5,000	\$4,000	09/29/2017	
SOU 2016-143(SA)	1	\$5,000	\$5,000	\$4,000	09/29/2017	
SOU 2016-144(SA)	1	\$5,000	\$5,000	\$4,000	09/29/2017	
SOU 2016-145(SA)	1	\$2,500	\$2,500	\$1,900	09/29/2017	
SOU 2016-146(GC)	1	\$5,000	\$5,000	\$4,500	09/29/2017	
SOU 2016-147(FCS)	1	\$5,000	\$5,000	\$3,650	09/29/2017	
SOU 2016-148(SA)	1	\$5,000	\$5,000	\$3,800	09/29/2017	
SOU 2016-149(SA)	1	\$2,500	\$2,500	\$1,900	09/29/2017	
SOU 2016-150(SA)	1	\$2,500	\$2,500	\$1,900	09/29/2017	
SOU 2016-151(SA)	1	\$5,000	\$5,000	\$4,000	09/29/2017	
SOU 2016-152(SA)	1	\$5,000	\$5,000	\$3,800	09/29/2017	
SOU 2016-153(HMT)	6	\$18,000	\$13,000	\$10,400	09/29/2017	Partially Terminated Violation(s): 2.
SOU 2016-154(GC)	1	\$5,000	\$5,000	\$4,500	09/29/2017	
SOU 2016-155(GC)	1	\$5,000	\$5,000	\$3,850	09/29/2017	
SOU 2016-156(LI)	1	\$2,500	\$2,500	\$1,800	09/29/2017	
SOU 2016-157(TS)	1	\$2,500	\$2,500	\$2,150	09/29/2017	
SOU 2016-159(TS)	1	\$2,500	\$2,500	\$2,325	09/29/2017	
SOU 2016-160(GC)	1	\$5,000	\$5,000	\$4,000	09/29/2017	
SOU 2016-161(GC)	1	\$5,000	\$5,000	\$3,750	09/29/2017	
SOU 2016-162(AD)	2	\$10,000	\$10,000	\$7,500	09/29/2017	
SOU 2016-163(EP)	1	\$1,000	\$1,000	\$650	09/29/2017	
SOU 2016-164(GC)	1	\$5,000	\$5,000	\$3,600	09/29/2017	
SOU 2016-165(HSR)	1	\$1,000	\$1,000	\$775	09/29/2017	
SOU 2016-166(HSR)	1	\$1,000	\$1,000	\$775	09/29/2017	
SOU 2016-167(ROP)	1	\$2,500	\$2,500	\$1,950	09/29/2017	
SOU 2016-168(ROP)	1	\$2,000	\$2,000	\$1,600	09/29/2017	
SOU 2016-169(ROP)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
SOU 2016-170(ROP)	1	\$9,500	\$9,500	\$8,740	09/29/2017	
SOU 2016-171(ROP)	1	\$2,000	\$2,000	\$1,700	09/29/2017	
SOU 2016-172(ROP)	1	\$2,000	\$2,000	\$1,600	09/29/2017	
SOU 2016-173(AR)	1	\$1,000	\$1,000	\$650	09/29/2017	

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SOU 2016-174(ROP)	1	\$7,500	\$7,500	\$6,000	09/29/2017	
SOU 2016-175(FCS)	1	\$2,500	\$2,500	\$1,750	09/29/2017	
SOU 2016-177(SA)	1	\$5,000	\$5,000	\$4,000	09/29/2017	
SOU 2016-178(SA)	1	\$5,000	\$5,000	\$4,000	09/29/2017	
SOU 2016-179(SA)	1	\$5,000	\$5,000	\$3,800	09/29/2017	
SOU 2016-180(HS)	1	\$1,000	\$1,000	\$800	09/29/2017	
SOU 2016-181(SA)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
SOU 2016-182(AD)	1	\$5,000	\$5,000	\$3,800	09/29/2017	
SOU 2016-183(AD)	1	\$5,000	\$5,000	\$3,800	09/29/2017	
SOU 2016-184(EQ)	1	\$2,500	\$2,500	\$2,150	09/29/2017	
SOU 2016-185(TS)	1	\$1,000	\$1,000	\$880	09/29/2017	
SOU 2016-186(LI)	1	\$2,500	\$2,500	\$1,800	09/29/2017	
SOU 2016-187(HSR)	1	\$1,000	\$1,000	\$725	09/29/2017	
SOU 2016-188(FCS)	1	\$2,000	\$2,000	\$1,700	09/29/2017	
SOU 2016-189(FCS)	2	\$5,000	\$5,000	\$3,600	09/29/2017	
SOU 2016-190(ROP)	1	\$7,500	\$7,500	\$6,000	09/29/2017	
SOU 2016-191(SA)	1	\$5,000	\$5,000	\$4,000	09/29/2017	
SOU 2016-192(SA)	1	\$5,000	\$5,000	\$4,000	09/29/2017	
SOU 2016-193(SA)	1	\$2,500	\$2,500	\$1,800	09/29/2017	
SOU 2016-194(ROP)	1	\$7,500	\$7,500	\$6,000	09/29/2017	
SOU 2016-195(SI)	1	\$2,500	\$2,500	\$1,750	09/29/2017	
SOU 2016-197(ROP)	1	\$7,500	\$7,500	\$6,250	09/29/2017	
SOU 2016-198(FCS)	1	\$2,500	\$2,500	\$1,800	09/29/2017	
SOU 2016-199(SA)	1	\$5,000	\$5,000	\$4,000	09/29/2017	
SOU 2016-200(SA)	1	\$5,000	\$5,000	\$4,000	09/29/2017	
SOU 2016-201(SA)	1	\$5,000	\$5,000	\$4,000	09/29/2017	
SOU 2016-202(SA)	1	\$5,000	\$5,000	\$4,000	09/29/2017	
SOU 2016-203(SA)	1	\$5,000	\$5,000	\$4,000	09/29/2017	
SOU 2016-204(SA)	1	\$2,500	\$2,500	\$1,900	09/29/2017	
SOU 2016-205(SA)	1	\$5,000	\$5,000	\$4,000	09/29/2017	
SOU 2016-206(SA)	1	\$2,500	\$2,500	\$1,900	09/29/2017	
SOU 2016-208(SA)	1	\$5,000	\$5,000	\$3,500	09/29/2017	
SOU 2016-209(SA)	1	\$2,500	\$2,500	\$1,900	09/29/2017	
SOU 2016-210(ROP)	1	\$7,500	\$7,500	\$6,000	09/29/2017	
SOU 2016-211(SA)	1	\$5,000	\$5,000	\$4,000	09/29/2017	
SOU 2016-212(HMT)	2	\$10,000	\$10,000	\$8,200	09/29/2017	
SOU 2016-213(HMT)	1	\$6,000	\$6,000	\$4,750	09/29/2017	
SOU 2016-214(HMT)	2	\$11,500	\$9,500	\$7,000	09/29/2017	Partially Terminated Violation(s): 1.
SOU 2016-215(LI)	1	\$2,500	\$2,500	\$2,100	09/29/2017	
SOU 2016-216(SA)	1	\$2,500	\$2,500	\$1,900	09/29/2017	
SOU 2016-217(ROP)	1	\$7,500	\$7,500	\$6,000	09/29/2017	
SOU 2016-218(SA)	1	\$2,500	\$2,500	\$1,900	09/29/2017	
SOU 2016-219(SA)	1	\$2,500	\$2,500	\$1,900	09/29/2017	
SOU 2016-220(FCS)	1	\$2,500	\$2,500	\$1,800	09/29/2017	
SOU 2016-221(ROP)	1	\$5,000	\$5,000	\$3,900	09/29/2017	
SOU 2016-222(SA)	1	\$2,500	\$2,500	\$1,900	09/29/2017	
SOU 2016-223(FCS)	1	\$2,500	\$2,500	\$1,800	09/29/2017	
SOU 2016-224(SI)	1	\$2,500	\$2,500	\$1,950	09/29/2017	
SOU 2016-225(SA)	1	\$5,000	\$5,000	\$4,000	09/29/2017	

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SOU 2016-226(SI)	1	\$2,500	\$2,500	\$1,800	09/29/2017	
SOU 2016-227(FCS)	1	\$2,500	\$2,500	\$1,800	09/29/2017	
SOU 2016-228(SA)	1	\$2,500	\$2,500	\$1,900	09/29/2017	
SOU 2016-229(SA)	1	\$5,000	\$5,000	\$4,000	09/29/2017	
SOU 2016-230(SA)	1	\$2,500	\$2,500	\$1,900	09/29/2017	
SOU 2016-231(SA)	1	\$2,500	\$2,500	\$1,900	09/29/2017	
SOU 2016-232(SA)	1	\$5,000	\$5,000	\$4,050	09/29/2017	
SOU 2016-233(SA)	1	\$5,000	\$5,000	\$4,050	09/29/2017	
SOU 2016-234(SA)	1	\$5,000	\$5,000	\$4,050	09/29/2017	
SOU 2016-235(SA)	1	\$5,000	\$5,000	\$4,050	09/29/2017	
SOU 2016-236(SA)	1	\$5,000	\$5,000	\$4,050	09/29/2017	
SOU 2016-237(SA)	1	\$5,000	\$5,000	\$4,050	09/29/2017	
SOU 2016-238(HS)	1	\$1,000	\$1,000	\$775	09/29/2017	
SOU 2016-239(HS)	1	\$1,000	\$1,000	\$775	09/29/2017	
SOU 2016-241(AD)	1	\$2,500	\$2,500	\$1,900	09/29/2017	
SOU 2016-242(ROP)	1	\$7,500	\$7,500	\$5,625	09/29/2017	
SOU 2016-243(SA)	1	\$2,500	\$2,500	\$1,900	09/29/2017	
SOU 2016-244(SA)	1	\$5,000	\$5,000	\$4,000	09/29/2017	
SOU 2016-245(SA)	1	\$5,000	\$5,000	\$4,000	09/29/2017	
SOU 2016-246(SA)	1	\$5,000	\$5,000	\$4,000	09/29/2017	
SOU 2016-247(SA)	1	\$5,000	\$5,000	\$4,000	09/29/2017	
SOU 2016-248(SA)	1	\$5,000	\$5,000	\$3,900	09/29/2017	
SOU 2016-249(SA)	1	\$2,500	\$2,500	\$1,900	09/29/2017	
SOU 2016-250(SA)	1	\$2,500	\$2,500	\$1,900	09/29/2017	
SOU 2016-251(EP)	1	\$1,000	\$1,000	\$650	09/29/2017	
SOU 2016-252(EP)	1	\$1,000	\$1,000	\$650	09/29/2017	
SOU 2016-253(GC)	1	\$5,000	\$0	\$0	09/29/2017	Case Terminated.
SOU 2016-254(GC)	1	\$5,000	\$5,000	\$3,000	09/29/2017	
SOU 2016-255(RW)	1	\$1,000	\$1,000	\$850	09/29/2017	
SOU 2016-256(TS)	1	\$5,000	\$5,000	\$4,650	09/29/2017	
SOU 2016-257(TS)	1	\$5,000	\$5,000	\$4,650	09/29/2017	
SOU 2016-258(HMT)	1	\$6,000	\$0	\$0	09/29/2017	Case Terminated.
SOU 2016-259(AD)	1	\$2,500	\$2,500	\$1,900	09/29/2017	
SOU 2016-260(TS)	10	\$10,000	\$10,000	\$7,500	09/29/2017	
SOU 2016-261(LI)	1	\$5,000	\$5,000	\$4,000	09/29/2017	
SOU 2016-262(LI)	1	\$1,500	\$1,500	\$1,300	09/29/2017	
SOU 2016-263(LI)	1	\$1,000	\$1,000	\$700	09/29/2017	
SOU 2016-264(GC)	1	\$5,000	\$5,000	\$4,750	09/29/2017	
SOU 2016-265(GC)	1	\$5,000	\$5,000	\$4,750	09/29/2017	
SOU 2016-266(TS)	1	\$1,000	\$1,000	\$850	09/29/2017	
SOU 2016-267(HSR)	1	\$2,500	\$2,500	\$2,000	09/29/2017	
SOU 2016-268(LI)	1	\$2,500	\$2,500	\$1,900	09/29/2017	
SOU 2016-269(HMT)	1	\$4,000	\$4,000	\$3,300	09/29/2017	
SOU 2016-270(SA)	1	\$5,000	\$5,000	\$3,900	09/29/2017	
SOU 2016-271(SA)	1	\$5,000	\$5,000	\$3,900	09/29/2017	
SOU 2016-272(SA)	1	\$5,000	\$5,000	\$4,000	09/29/2017	
SOU 2016-273(ROP)	1	\$7,500	\$7,500	\$6,600	09/29/2017	
SOU 2016-274(FCS)	1	\$5,000	\$5,000	\$3,650	09/29/2017	
SOU 2016-275(SA)	1	\$5,000	\$5,000	\$3,900	09/29/2017	

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SOU 2016-276(SA)	1	\$5,000	\$5,000	\$3,900	09/29/2017	
SOU 2016-277(ROP)	7	\$14,000	\$14,000	\$11,000	09/29/2017	
SOU 2016-278(SA)	1	\$5,000	\$5,000	\$3,800	09/29/2017	
SOU 2016-279(SA)	1	\$5,000	\$5,000	\$3,800	09/29/2017	
SOU 2016-280(SA)	1	\$2,500	\$2,500	\$1,900	09/29/2017	
SOU 2016-281(ROP)	1	\$5,000	\$5,000	\$4,000	09/29/2017	
SOU 2016-282(FCS)	1	\$2,500	\$2,500	\$1,850	09/29/2017	
SOU 2016-283(SA)	2	\$10,000	\$10,000	\$7,600	09/29/2017	
SOU 2016-284(HMT)	1	\$2,000	\$2,000	\$2,000	09/29/2017	
SOU 2016-285(HMT)	1	\$5,000	\$5,000	\$3,900	09/29/2017	
SOU 2016-286(AD)	1	\$5,000	\$5,000	\$3,650	09/29/2017	
SOU 2016-287(AD)	1	\$5,000	\$5,000	\$3,700	09/29/2017	
SOU 2016-288(AD)	2	\$10,000	\$10,000	\$5,900	09/29/2017	
SOU 2016-289(ROP)	1	\$7,500	\$7,500	\$6,000	09/29/2017	
SOU 2016-290(SA)	1	\$5,000	\$5,000	\$4,000	09/29/2017	
SOU 2016-291(TS)	4	\$10,000	\$10,000	\$8,000	09/29/2017	
SOU 2016-292(HS)	1	\$1,000	\$1,000	\$775	09/29/2017	
SOU 2016-293(HS)	1	\$1,000	\$1,000	\$775	09/29/2017	
SOU 2016-294(HS)	1	\$1,000	\$1,000	\$775	09/29/2017	
SOU 2016-295(HS)	1	\$1,000	\$1,000	\$775	09/29/2017	
SOU 2016-296(HS)	1	\$1,000	\$1,000	\$775	09/29/2017	
SOU 2016-297(HS)	1	\$1,000	\$1,000	\$775	09/29/2017	
SOU 2016-298(HS)	1	\$1,000	\$1,000	\$775	09/29/2017	
SOU 2016-299(GC)	1	\$2,500	\$2,500	\$2,350	09/29/2017	
SOU 2016-300(LI)	1	\$2,500	\$2,500	\$1,900	09/29/2017	
SOU 2016-301(AR)	1	\$2,500	\$1,000	\$839	09/29/2017	Partially Terminated Violation(s): 1.
SOU 2016-302(AR)	1	\$2,500	\$1,000	\$839	09/29/2017	Partially Terminated Violation(s): 1.
SOU 2016-303(TS)	1	\$2,500	\$2,500	\$2,000	09/29/2017	
SOU 2016-304(RW)	3	\$10,000	\$10,000	\$8,200	09/29/2017	
SOU 2016-305(TS)	3	\$7,500	\$7,500	\$6,225	09/29/2017	
SOU 2016-306(SA)	1	\$2,500	\$2,500	\$1,900	09/29/2017	
SOU 2016-307(TS)	2	\$2,000	\$2,000	\$1,760	09/29/2017	
SOU 2016-308(TS)	2	\$5,000	\$5,000	\$3,700	09/29/2017	
SOU 2016-309(TS)	1	\$1,000	\$1,000	\$880	09/29/2017	
SOU 2016-310(TS)	1	\$2,500	\$2,500	\$1,950	09/29/2017	
SOU 2016-311(TS)	1	\$5,000	\$5,000	\$4,650	09/29/2017	
SOU 2016-312(LI)	1	\$1,000	\$1,000	\$839	09/29/2017	
SOU 2016-313(AR)	1	\$2,500	\$2,500	\$2,000	09/29/2017	
SOU 2016-314(AR)	1	\$2,500	\$2,500	\$1,700	09/29/2017	
SOU 2016-315(AR)	1	\$2,500	\$2,500	\$839	09/29/2017	
SOU 2016-316(AR)	1	\$2,500	\$2,500	\$1,700	09/29/2017	
SOU 2016-317(SA)	1	\$5,000	\$5,000	\$3,900	09/29/2017	
SOU 2016-318(SA)	1	\$5,000	\$5,000	\$3,900	09/29/2017	
SOU 2016-319(ROP)	1	\$9,500	\$9,500	\$7,500	09/29/2017	
SOU 2016-320(FCS)	1	\$2,500	\$2,500	\$1,800	09/29/2017	
SOU 2016-321(AR)	1	\$1,000	\$1,000	\$839	09/29/2017	
SOU 2016-322(TS)	1	\$1,000	\$1,000	\$880	09/29/2017	
SOU 2016-323(LI)	1	\$2,500	\$2,500	\$1,450	09/29/2017	

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SOU 2016-324(SA)	1	\$2,500	\$2,500	\$1,900	09/29/2017	
SOU 2016-325(SA)	1	\$2,500	\$0	\$0	09/29/2017	Case Terminated.
SOU 2016-326(SA)	4	\$20,000	\$20,000	\$15,400	09/29/2017	
SOU 2016-327(SA)	1	\$5,000	\$5,000	\$3,900	09/29/2017	
SOU 2016-328(SA)	1	\$5,000	\$5,000	\$3,850	09/29/2017	
SOU 2016-329(FCS)	1	\$2,500	\$2,500	\$1,800	09/29/2017	
SOU 2016-330(SA)	1	\$5,000	\$5,000	\$3,850	09/29/2017	
SOU 2016-331(SI)	1	\$2,500	\$2,500	\$1,700	09/29/2017	
SOU 2016-332(HMT)	2	\$14,000	\$14,000	\$11,250	09/29/2017	
SOU 2016-333(SA)	1	\$2,500	\$0	\$0	09/29/2017	Case Terminated.
SOU 2016-334(SA)	1	\$2,500	\$0	\$0	09/29/2017	Case Terminated.
SOU 2016-335(AR)	1	\$2,500	\$0	\$0	09/29/2017	Case Terminated.
SOU 2016-336(AR)	1	\$2,500	\$2,500	\$1,700	09/29/2017	
SOU 2016-337(SA)	1	\$2,500	\$2,500	\$1,900	09/29/2017	
SOU 2016-338(SA)	1	\$2,500	\$2,500	\$1,900	09/29/2017	
SOU 2016-339(FCS)	1	\$2,500	\$2,500	\$1,800	09/29/2017	
SOU 2016-340(FCS)	1	\$2,500	\$2,500	\$1,850	09/29/2017	
SOU 2016-341(FCS)	1	\$2,500	\$2,500	\$1,850	09/29/2017	
SOU 2016-342(FCS)	1	\$5,000	\$5,000	\$3,650	09/29/2017	
SOU 2016-343(SI)	1	\$2,500	\$2,500	\$1,700	09/29/2017	
SOU 2016-344(AR)	1	\$2,500	\$1,000	\$839	09/29/2017	Partially Terminated Violation(s): 1.
SOU 2016-345(SA)	1	\$2,500	\$2,500	\$1,925	09/29/2017	
SOU 2016-346(SA)	1	\$2,500	\$2,500	\$1,925	09/29/2017	
SOU 2016-347(SA)	1	\$2,500	\$2,500	\$2,000	09/29/2017	
SOU 2016-348(AR)	1	\$2,500	\$2,500	\$1,700	09/29/2017	
SOU 2016-349(AR)	1	\$2,500	\$2,500	\$2,000	09/29/2017	
SOU 2016-350(AR)	1	\$2,500	\$2,500	\$1,700	09/29/2017	
SOU 2016-351(AR)	1	\$2,500	\$2,500	\$2,000	09/29/2017	
SOU 2016-352(AR)	1	\$2,500	\$2,500	\$1,700	09/29/2017	
SOU 2016-353(AR)	1	\$2,500	\$2,500	\$2,000	09/29/2017	
SOU 2016-354(AR)	1	\$2,500	\$2,500	\$1,700	09/29/2017	
SOU 2016-355(AR)	1	\$2,500	\$2,500	\$1,700	09/29/2017	
SOU 2016-356(AR)	1	\$2,500	\$2,500	\$1,700	09/29/2017	
SOU 2016-357(AR)	1	\$2,500	\$2,500	\$1,700	09/29/2017	
SOU 2016-358(AR)	1	\$2,500	\$2,500	\$1,700	09/29/2017	
SOU 2016-359(AR)	1	\$2,500	\$2,500	\$1,700	09/29/2017	
SOU 2016-360(AR)	1	\$2,500	\$2,500	\$1,700	09/29/2017	
SOU 2016-361(AR)	1	\$2,500	\$2,500	\$1,700	09/29/2017	
SOU 2016-362(AR)	1	\$2,500	\$2,500	\$1,700	09/29/2017	
SOU 2016-363(AR)	1	\$2,500	\$2,500	\$1,700	09/29/2017	
SOU 2016-364(AR)	1	\$2,500	\$2,500	\$2,000	09/29/2017	
SOU 2016-365(AR)	1	\$2,500	\$2,500	\$1,600	09/29/2017	
SOU 2016-366(AR)	1	\$2,500	\$2,500	\$839	09/29/2017	
SOU 2016-367(AR)	1	\$1,000	\$1,000	\$839	09/29/2017	
SOU 2016-368(ROP)	4	\$8,000	\$8,000	\$6,400	09/29/2017	
SOU 2016-369(ROP)	1	\$7,500	\$7,500	\$6,000	09/29/2017	
SOU 2016-370(ROP)	1	\$5,000	\$5,000	\$4,000	09/29/2017	
SOU 2016-371(ROP)	1	\$7,500	\$7,500	\$6,250	09/29/2017	
SOU 2016-372(ROP)	1	\$2,000	\$2,000	\$1,575	09/29/2017	

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SOU 2016-373(ROP)	2	\$4,000	\$4,000	\$3,000	09/29/2017	
SOU 2016-374(GC)	1	\$5,000	\$5,000	\$4,000	09/29/2017	
SOU 2016-375(AD)	1	\$5,000	\$0	\$0	09/29/2017	Case Terminated.
SOU 2016-376(GC)	1	\$2,500	\$2,500	\$2,350	09/29/2017	
SOU 2016-377(GC)	1	\$5,000	\$5,000	\$4,750	09/29/2017	
SOU 2016-378(HSR)	5	\$5,000	\$5,000	\$3,900	09/29/2017	
SOU 2016-379(GC)	1	\$2,500	\$2,500	\$2,100	09/29/2017	
SOU 2016-380(AR)	1	\$2,500	\$1,000	\$839	09/29/2017	Partially Terminated Violation(s): 1.
SOU 2016-381(TS)	1	\$2,500	\$2,500	\$2,150	09/29/2017	
SOU 2016-382(GC)	1	\$5,000	\$5,000	\$4,750	09/29/2017	
SOU 2016-383(TS)	9	\$9,000	\$9,000	\$7,920	09/29/2017	
SOU 2016-384(TS)	12	\$60,000	\$60,000	\$44,500	09/29/2017	
SOU 2016-385(SA)	1	\$5,000	\$5,000	\$3,900	09/29/2017	
SOU 2016-386(SA)	1	\$5,000	\$5,000	\$3,900	09/29/2017	
SOU 2016-387(SA)	1	\$5,000	\$5,000	\$3,900	09/29/2017	
SOU 2016-388(SA)	2	\$7,500	\$7,500	\$5,550	09/29/2017	
SOU 2016-389(AR)	1	\$1,000	\$1,000	\$839	09/29/2017	
SOU 2016-390(SA)	1	\$2,500	\$2,500	\$1,925	09/29/2017	
SOU 2016-391(SA)	1	\$2,500	\$2,500	\$1,925	09/29/2017	
SOU 2016-392(SA)	1	\$2,500	\$2,500	\$1,925	09/29/2017	
SOU 2016-393(SA)	1	\$2,500	\$2,500	\$1,900	09/29/2017	
SOU 2016-394(GC)	1	\$5,000	\$5,000	\$4,750	09/29/2017	
SOU 2016-395(SA)	1	\$5,000	\$5,000	\$3,900	09/29/2017	
SOU 2016-396(SA)	1	\$5,000	\$5,000	\$3,900	09/29/2017	
SOU 2016-397(SA)	1	\$5,000	\$5,000	\$3,800	09/29/2017	
SOU 2016-398(HMT)	1	\$7,500	\$7,500	\$5,800	09/29/2017	
SOU 2016-399(SA)	1	\$2,500	\$2,500	\$1,900	09/29/2017	
SOU 2016-400(SA)	1	\$2,500	\$2,500	\$1,925	09/29/2017	
SOU 2016-401(SA)	1	\$5,000	\$5,000	\$4,000	09/29/2017	
SOU 2016-402(SA)	1	\$2,500	\$2,500	\$1,900	09/29/2017	
SOU 2016-403(GC)	1	\$5,000	\$5,000	\$3,900	09/29/2017	
SOU 2016-404(SA)	1	\$5,000	\$5,000	\$3,650	09/29/2017	
SOU 2017-1(AR)	1	\$1,000	\$1,000	\$839	09/29/2017	
SOU 2017-2(ROP)	1	\$7,500	\$7,500	\$5,700	09/29/2017	
SOU 2017-3(ROP)	1	\$7,500	\$7,500	\$5,700	09/29/2017	
SOU 2017-4(SA)	1	\$2,500	\$2,500	\$2,000	09/29/2017	
SOU 2017-5(FCS)	1	\$2,500	\$2,500	\$1,800	09/29/2017	
SOU 2017-6(LI)	1	\$2,500	\$2,500	\$1,900	09/29/2017	
SOU 2017-7(SA)	1	\$2,500	\$2,500	\$1,925	09/29/2017	
SOU 2017-8(LI)	2	\$5,000	\$5,000	\$4,000	09/29/2017	
SOU 2017-9(AR)	1	\$2,500	\$2,500	\$1,700	09/29/2017	
SOU 2017-10(AR)	1	\$2,500	\$2,500	\$1,700	09/29/2017	
SOU 2017-11(AR)	1	\$2,500	\$2,500	\$1,700	09/29/2017	
SOU 2017-12(AR)	1	\$2,500	\$2,500	\$1,700	09/29/2017	
SOU 2017-13(AR)	1	\$2,500	\$2,500	\$1,700	09/29/2017	
SOU 2017-14(LI)	1	\$1,500	\$1,500	\$1,250	09/29/2017	
SOU 2017-15(SA)	2	\$5,000	\$5,000	\$3,800	09/29/2017	
SOU 2017-16(SA)	1	\$2,500	\$2,500	\$1,925	09/29/2017	
SOU 2017-17(FCS)	1	\$2,500	\$2,500	\$1,800	09/29/2017	

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SOU 2017-18(FCS)	1	\$2,500	\$2,500	\$1,800	09/29/2017	
SOU 2017-19(SA)	1	\$5,000	\$5,000	\$3,700	09/29/2017	
SOU 2017-20(HSR)	1	\$1,000	\$1,000	\$850	09/29/2017	
SOU 2017-21(TS)	2	\$10,000	\$10,000	\$8,000	09/29/2017	
SOU 2017-22(SA)	1	\$5,000	\$5,000	\$4,000	09/29/2017	
SOU 2017-23(SA)	1	\$2,500	\$2,500	\$2,000	09/29/2017	
SOU 2017-24(SA)	1	\$2,500	\$2,500	\$1,900	09/29/2017	
SOU 2017-25(LI)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
SOU 2017-26(HMT)	9	\$66,000	\$66,000	\$53,500	09/29/2017	
SOU 2017-27(FCS)	2	\$5,000	\$5,000	\$3,650	09/29/2017	
SOU 2017-28(FCS)	1	\$2,500	\$2,500	\$1,800	09/29/2017	
SOU 2017-29(FCS)	1	\$2,500	\$2,500	\$1,850	09/29/2017	
SOU 2017-30(LI)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
SOU 2017-31(SA)	1	\$5,000	\$5,000	\$3,800	09/29/2017	
SOU 2017-32(TS)	1	\$1,000	\$1,000	\$930	09/29/2017	
SOU 2017-33(TS)	1	\$5,000	\$5,000	\$4,000	09/29/2017	
SOU 2017-45(LI)	1	\$2,500	\$2,500	\$1,900	09/29/2017	
SOU 2017-46(GC)	1	\$5,000	\$5,000	\$4,750	09/29/2017	
SOU 2017-47(HMT)	1	\$5,000	\$5,000	\$4,000	09/29/2017	
SOU 2017-48(LI)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
SOU 2017-49(LI)	1	\$2,500	\$2,500	\$1,800	09/29/2017	
SOU 2017-50(RW)	2	\$7,000	\$7,000	\$5,700	09/29/2017	
SOU 2017-51(SA)	1	\$5,000	\$5,000	\$3,900	09/29/2017	
SOU 2017-52(LI)	1	\$2,500	\$2,500	\$1,900	09/29/2017	
SOU 2017-53(ROP)	1	\$2,000	\$2,000	\$1,575	09/29/2017	
SOU 2017-54(SA)	1	\$5,000	\$5,000	\$3,900	09/29/2017	
SOU 2017-55(TS)	2	\$10,000	\$10,000	\$8,000	09/29/2017	
SOU 2017-57(LI)	1	\$2,500	\$2,500	\$1,900	09/29/2017	
SOU 2017-59(ROP)	1	\$2,000	\$2,000	\$1,575	09/29/2017	
SOU 2017-61(SA)	1	\$2,500	\$2,500	\$1,925	09/29/2017	
ST 2016-6(LI)	1	\$2,500	\$2,500	\$2,000	09/29/2017	
ST 2016-7(SA)	1	\$5,000	\$5,000	\$3,950	09/29/2017	
ST 2016-8(SA)	1	\$5,000	\$5,000	\$4,000	09/29/2017	
ST 2016-9(SA)	1	\$2,500	\$2,500	\$2,000	09/29/2017	
ST 2016-10(EQ)	1	\$2,500	\$2,500	\$1,250	09/29/2017	
ST 2016-11(SA)	1	\$5,000	\$5,000	\$4,000	09/29/2017	
ST 2017-1(LI)	1	\$2,500	\$2,500	\$2,000	09/29/2017	
ST 2017-2(LI)	1	\$2,500	\$2,500	\$2,000	09/29/2017	
ST 2017-3(LI)	1	\$2,500	\$2,500	\$2,000	09/29/2017	
SW 2015-26(CC)	1	\$4,000	\$4,000	\$2,750	01/24/2017	
SW 2015-33(EQ)	1	\$4,000	\$4,000	\$2,750	01/24/2017	
SW 2015-34(EQ)	1	\$4,000	\$4,000	\$2,900	01/24/2017	
SW 2015-35(EQ)	1	\$4,000	\$4,000	\$2,900	01/24/2017	
SW 2015-36(EQ)	1	\$4,000	\$4,000	\$2,900	01/24/2017	
SW 2016-2(ROP)	3	\$28,500	\$28,500	\$22,000	01/24/2017	
SW 2016-3(TS)	1	\$2,500	\$2,500	\$1,800	01/24/2017	
SW 2016-4(TS)	5	\$12,500	\$12,500	\$9,000	01/24/2017	
SW 2016-5(AR)	24	\$24,000	\$0	\$0	01/11/2017	Case Terminated.
SW 2016-7(AR)	2	\$2,000	\$0	\$0	01/11/2017	Case Terminated.

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
SW 2016-8(AR)	6	\$6,000	\$0	\$0	01/11/2017	Case Terminated.
SW 2016-10(AR)	3	\$7,500	\$7,500	\$5,500	01/24/2017	
SW 2016-11(CC)	1	\$6,000	\$2,500	\$2,000	01/24/2017	Partially Terminated Violation(s): 1.
SW 2016-15(GC)	1	\$1,000	\$1,000	\$650	01/24/2017	
SW 2016-17(EQ)	1	\$5,000	\$1,000	\$750	01/24/2017	Partially Terminated Violation(s): 1.
SW 2016-19(SA)	1	\$2,500	\$2,500	\$1,700	01/24/2017	
SW 2016-22(TS)	15	\$75,000	\$30,000	\$22,200	01/24/2017	Partially Terminated Violation(s): 1.
TASD 2015-1(FCS)	1	\$2,500	\$2,500	\$1,875	08/21/2017	
TIBR 2016-1(AD)	1	\$5,000	\$1,000	\$1,000	09/29/2017	Partially Terminated Violation(s): 1.
TIBR 2016-2(TS)	4	\$10,000	\$10,000	\$7,000	09/29/2017	
TIBR 2016-3(TS)	1	\$1,000	\$1,000	\$800	09/29/2017	
TIBR 2016-4(LI)	1	\$2,500	\$0	\$0	01/06/2017	Case Terminated.
TIBR 2016-5(LI)	1	\$2,500	\$0	\$0	01/06/2017	Case Terminated.
TIBR 2016-6(TS)	3	\$7,000	\$7,000	\$5,000	09/29/2017	
TIBR 2016-7(TS)	2	\$10,000	\$10,000	\$7,000	09/29/2017	
TIBR 2017-1(TS)	1	\$2,500	\$2,500	\$1,750	09/29/2017	
TMBL 2016-1(ROP)	2	\$17,000	\$17,000	\$12,750	04/06/2017	
TMBL 2016-2(SA)	1	\$2,500	\$2,500	\$1,950	04/06/2017	
TNER 2016-1(ROP)	1	\$5,000	\$5,000	\$4,100	09/28/2017	
TRE 2014-1(GC)	1	\$5,000	\$5,000	\$4,000	03/10/2017	
TRE 2017-2(GC)	1	\$5,000	\$5,000	\$5,000	09/11/2017	
TRRA 2015-3(AD)	1	\$2,500	\$2,500	\$1,875	05/31/2017	
TRRA 2015-4(AD)	4	\$20,000	\$20,000	\$15,000	05/31/2017	
TRRA 2016-1(ROP)	1	\$9,500	\$9,500	\$7,550	05/31/2017	
TRRA 2016-2(SA)	2	\$7,500	\$7,500	\$6,000	05/31/2017	
TRRA 2017-1(SA)	1	\$5,000	\$5,000	\$5,000	03/20/2017	
TRRA 2017-2(SI)	1	\$4,000	\$4,000	\$3,600	08/04/2017	
TSWS 2016-1(SA)	1	\$5,000	\$5,000	\$5,000	03/15/2017	
TTR 2016-2(ROP)	1	\$9,500	\$9,500	\$7,400	09/28/2017	
TVRM 2016-1(AD)	1	\$2,500	\$2,500	\$2,500	03/08/2017	
TXN 2016-1(TS)	1	\$2,500	\$2,500	\$1,750	09/29/2017	
TXPF 2016-1(SA)	1	\$5,000	\$5,000	\$4,000	05/30/2017	
TXR 2014-1(AD)	1	\$5,000	\$5,000	\$3,000	05/22/2017	
UFRC 2016-4(EQ)	5	\$12,500	\$12,500	\$8,000	12/14/2016	
UFRC 2017-1(RSP)	1	\$5,000	\$5,000	\$5,000	05/15/2017	
UFRC 2017-2(EQ)	1	\$1,000	\$1,000	\$650	07/12/2017	
UP 2014-447(GC)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2015-208(SA)	1	\$5,000	\$5,000	\$3,977	09/29/2017	
UP 2015-228(TS)	8	\$22,500	\$22,500	\$16,605	09/29/2017	
UP 2015-244(HSR)	1	\$1,000	\$1,000	\$650	09/29/2017	
UP 2015-249(TS)	2	\$7,500	\$7,500	\$5,535	09/29/2017	
UP 2015-261(SA)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2015-267(SA)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2015-275(SI)	1	\$1,000	\$1,000	\$787	09/29/2017	
UP 2015-279(TS)	3	\$10,000	\$10,000	\$7,380	09/29/2017	
UP 2015-285(TS)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2015-291(SA)	1	\$5,000	\$5,000	\$3,690	09/29/2017	

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UP 2015-297(TH)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2015-303(SI)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2015-314(SI)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2015-320(TS)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2015-326(SA)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2015-332(FCS)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2015-338(SA)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2015-344(SA)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2015-362(LI)	1	\$2,500	\$2,500	\$1,825	09/29/2017	
UP 2015-368(SA)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2015-374(TS)	1	\$1,000	\$1,000	\$738	09/29/2017	
UP 2015-392(SI)	1	\$2,500	\$1,000	\$820	09/29/2017	Partially Terminated Violation(s): 1.
UP 2015-398(AR)	1	\$2,500	\$2,500	\$1,886	09/29/2017	
UP 2015-404(ROP)	1	\$2,000	\$2,000	\$1,517	09/29/2017	
UP 2015-410(TS)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2015-416(TS)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2015-422(TS)	1	\$1,000	\$1,000	\$738	09/29/2017	
UP 2015-428(TS)	3	\$7,500	\$7,500	\$5,535	09/29/2017	
UP 2015-434(SA)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2015-448(TS)	10	\$25,000	\$25,000	\$18,450	09/29/2017	
UP 2015-450(TS)	20	\$50,000	\$50,000	\$36,900	09/29/2017	
UP 2015-452(HSR)	1	\$1,000	\$1,000	\$754	09/29/2017	
UP 2015-455(TS)	18	\$90,000	\$90,000	\$66,420	09/29/2017	
UP 2015-470(FCS)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2015-473(FCS)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2015-482(FCS)	1	\$5,000	\$5,000	\$3,649	09/29/2017	
UP 2015-488(LI)	1	\$1,000	\$1,000	\$820	09/29/2017	
UP 2015-506(FCS)	1	\$2,500	\$2,500	\$1,825	09/29/2017	
UP 2015-512(LI)	2	\$4,000	\$4,000	\$3,280	09/29/2017	
UP 2015-518(TS)	3	\$3,000	\$3,000	\$2,214	09/29/2017	
UP 2015-524(TS)	15	\$37,500	\$37,500	\$27,675	09/29/2017	
UP 2015-527(TS)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2015-538(TS)	8	\$40,000	\$40,000	\$29,520	09/29/2017	
UP 2015-588(EP)	1	\$1,000	\$1,000	\$738	09/29/2017	
UP 2015-593(EP)	1	\$1,000	\$0	\$0	09/29/2017	Case Terminated.
UP 2015-630(FCS)	1	\$2,500	\$2,500	\$1,825	09/29/2017	
UP 2015-640(TS)	2	\$2,000	\$2,000	\$1,476	09/29/2017	
UP 2015-648(TS)	5	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2015-652(HS)	1	\$1,000	\$1,000	\$754	09/29/2017	
UP 2015-700(FCS)	2	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2015-730(GS)	12	\$30,000	\$30,000	\$22,550	09/29/2017	
UP 2015-738(TS)	7	\$16,000	\$16,000	\$11,808	09/29/2017	
UP 2015-755(SA)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2015-788(CC)	1	\$4,000	\$4,000	\$2,952	09/29/2017	
UP 2015-793(TS)	1	\$1,000	\$1,000	\$738	09/29/2017	
UP 2015-796(TS)	1	\$1,000	\$1,000	\$738	09/29/2017	
UP 2015-797(TS)	15	\$30,000	\$30,000	\$22,140	09/29/2017	
UP 2015-799(TS)	16	\$16,000	\$16,000	\$11,808	09/29/2017	
UP 2015-800(TS)	36	\$36,000	\$36,000	\$26,568	09/29/2017	

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UP 2015-802(LI)	1	\$1,000	\$1,000	\$738	09/29/2017	
UP 2015-905(SI)	1	\$2,500	\$1,000	\$820	09/29/2017	Partially Terminated Violation(s): 1.
UP 2015-911(EQ)	1	\$4,000	\$4,000	\$2,952	09/29/2017	
UP 2016-3(SA)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-14(LI)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2016-15(LI)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2016-20(SA)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-21(SA)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-26(SA)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-27(SA)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-32(SA)	1	\$5,000	\$5,000	\$3,977	09/29/2017	
UP 2016-33(FCS)	1	\$5,000	\$5,000	\$3,649	09/29/2017	
UP 2016-38(TS)	1	\$2,500	\$2,500	\$1,968	09/29/2017	
UP 2016-39(TS)	2	\$3,500	\$3,500	\$2,583	09/29/2017	
UP 2016-44(AD)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-45(AD)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-50(HMT)	2	\$3,000	\$3,000	\$2,460	09/29/2017	
UP 2016-57(TS)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-60(TS)	2	\$2,000	\$2,000	\$1,476	09/29/2017	
UP 2016-62(TS)	2	\$2,000	\$2,000	\$1,476	09/29/2017	
UP 2016-65(TS)	2	\$10,000	\$10,000	\$7,380	09/29/2017	
UP 2016-70(TS)	1	\$2,500	\$2,500	\$1,968	09/29/2017	
UP 2016-73(RW)	1	\$3,000	\$3,000	\$2,460	09/29/2017	
UP 2016-75(SA)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-80(HMT)	1	\$2,000	\$2,000	\$1,640	09/29/2017	
UP 2016-85(ROP)	1	\$7,500	\$7,500	\$5,822	09/29/2017	
UP 2016-90(ROP)	1	\$7,500	\$7,500	\$5,740	09/29/2017	
UP 2016-95(ROP)	1	\$7,500	\$7,500	\$5,781	09/29/2017	
UP 2016-100(ROP)	1	\$7,500	\$2,000	\$1,640	09/29/2017	Partially Terminated Violation(s): 1.
UP 2016-105(ROP)	1	\$7,500	\$2,000	\$1,558	09/29/2017	Partially Terminated Violation(s): 1.
UP 2016-110(ROP)	1	\$2,000	\$2,000	\$1,517	09/29/2017	
UP 2016-113(AR)	1	\$2,500	\$2,500	\$1,886	09/29/2017	
UP 2016-115(AR)	1	\$2,500	\$2,500	\$1,886	09/29/2017	
UP 2016-120(ROP)	1	\$2,000	\$2,000	\$1,517	09/29/2017	
UP 2016-125(CC)	1	\$4,000	\$4,000	\$2,952	09/29/2017	
UP 2016-130(TS)	1	\$1,000	\$1,000	\$783	09/29/2017	
UP 2016-132(TS)	2	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-135(FCS)	1	\$2,500	\$2,500	\$1,825	09/29/2017	
UP 2016-140(ROP)	1	\$7,500	\$7,500	\$5,740	09/29/2017	
UP 2016-145(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-150(SA)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-155(SA)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-160(SA)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-165(SA)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-170(SA)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-175(GC)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-180(SA)	1	\$2,500	\$2,500	\$1,845	09/29/2017	

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UP 2016-183(CC)	1	\$4,000	\$4,000	\$3,800	09/29/2017	
UP 2016-185(ROP)	1	\$7,500	\$7,500	\$5,986	09/29/2017	
UP 2016-203(LI)	1	\$2,500	\$2,500	\$1,825	09/29/2017	
UP 2016-206(TS)	5	\$16,000	\$16,000	\$11,808	09/29/2017	
UP 2016-209(HMT)	8	\$39,500	\$39,500	\$32,390	09/29/2017	
UP 2016-215(SA)	1	\$2,500	\$2,500	\$1,942	09/29/2017	
UP 2016-221(SI)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-224(ROP)	1	\$1,000	\$1,000	\$746	09/29/2017	
UP 2016-227(SA)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-230(FCS)	2	\$5,000	\$5,000	\$3,649	09/29/2017	
UP 2016-232(SA)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-233(FCS)	1	\$5,000	\$5,000	\$3,649	09/29/2017	
UP 2016-238(SA)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-245(ROP)	1	\$2,000	\$2,000	\$1,542	09/29/2017	
UP 2016-251(ROP)	1	\$2,000	\$2,000	\$1,579	09/29/2017	
UP 2016-256(LI)	1	\$2,500	\$2,500	\$1,825	09/29/2017	
UP 2016-257(LI)	1	\$2,500	\$2,500	\$1,825	09/29/2017	
UP 2016-262(SA)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-265(SA)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-266(GC)	1	\$1,000	\$1,000	\$738	09/29/2017	
UP 2016-268(HMT)	2	\$10,000	\$10,000	\$8,200	09/29/2017	
UP 2016-271(HMT)	1	\$2,000	\$2,000	\$1,640	09/29/2017	
UP 2016-272(HMT)	7	\$35,000	\$0	\$0	12/12/2016	Case Terminated.
UP 2016-273(ROP)	1	\$2,000	\$2,000	\$1,456	09/29/2017	
UP 2016-275(ROR)	1	\$9,500	\$9,500	\$7,167	09/29/2017	
UP 2016-276(ROR)	1	\$9,500	\$9,500	\$7,167	09/29/2017	
UP 2016-277(SA)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-279(SA)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-280(SI)	1	\$1,000	\$1,000	\$787	09/29/2017	
UP 2016-281(SI)	1	\$1,000	\$1,000	\$738	09/29/2017	
UP 2016-282(SI)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-283(AD)	2	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-284(AD)	2	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-285(TS)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-286(LI)	1	\$2,500	\$2,500	\$1,722	09/29/2017	
UP 2016-287(TS)	1	\$1,000	\$1,000	\$738	09/29/2017	
UP 2016-288(FCS)	1	\$2,500	\$2,500	\$1,825	09/29/2017	
UP 2016-289(FCS)	1	\$2,500	\$2,500	\$1,825	09/29/2017	
UP 2016-290(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-291(FCS)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2016-292(FCS)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2016-293(FCS)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2016-295(FCS)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2016-296(FCS)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2016-297(FCS)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2016-298(FCS)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2016-299(LI)	1	\$2,000	\$2,000	\$1,640	09/29/2017	
UP 2016-301(LI)	1	\$1,000	\$1,000	\$738	09/29/2017	
UP 2016-302(LI)	1	\$2,500	\$2,500	\$1,825	09/29/2017	

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UP 2016-303(LI)	1	\$2,500	\$2,500	\$1,825	09/29/2017	
UP 2016-304(LI)	1	\$2,500	\$2,500	\$1,825	09/29/2017	
UP 2016-306(GC)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-307(FCS)	1	\$5,000	\$5,000	\$3,649	09/29/2017	
UP 2016-308(FCS)	1	\$2,500	\$2,500	\$1,825	09/29/2017	
UP 2016-309(FCS)	1	\$5,000	\$5,000	\$3,649	09/29/2017	
UP 2016-310(ROP)	1	\$7,500	\$7,500	\$5,863	09/29/2017	
UP 2016-311(ROP)	1	\$7,500	\$7,500	\$5,863	09/29/2017	
UP 2016-312(ROP)	1	\$7,500	\$7,500	\$5,863	09/29/2017	
UP 2016-313(ROP)	2	\$4,000	\$4,000	\$2,952	09/29/2017	
UP 2016-314(ROP)	1	\$9,500	\$9,500	\$7,380	09/29/2017	
UP 2016-315(ROP)	1	\$7,500	\$7,500	\$5,863	09/29/2017	
UP 2016-316(ROP)	1	\$2,000	\$2,000	\$1,562	09/29/2017	
UP 2016-317(LI)	1	\$2,500	\$2,500	\$1,825	09/29/2017	
UP 2016-319(GC)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-320(TS)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-321(TS)	1	\$5,000	\$5,000	\$3,977	09/29/2017	
UP 2016-322(SA)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-323(SA)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-324(SA)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-325(SA)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-326(SA)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-327(SA)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-328(SA)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-329(SA)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-330(SA)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-331(SA)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-332(RMM)	2	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2016-333(TS)	1	\$5,000	\$5,000	\$3,977	09/29/2017	
UP 2016-334(TS)	2	\$7,500	\$7,500	\$5,904	09/29/2017	
UP 2016-336(TS)	3	\$15,000	\$15,000	\$11,644	09/29/2017	
UP 2016-338(TS)	27	\$61,500	\$61,500	\$46,740	09/29/2017	
UP 2016-339(ROP)	1	\$7,500	\$7,500	\$5,822	09/29/2017	
UP 2016-340(ROP)	1	\$9,500	\$9,500	\$7,401	09/29/2017	
UP 2016-341(ROP)	1	\$9,500	\$9,500	\$7,401	09/29/2017	
UP 2016-342(ROP)	1	\$7,500	\$7,500	\$4,613	09/29/2017	
UP 2016-343(FCS)	1	\$2,000	\$2,000	\$1,558	09/29/2017	
UP 2016-344(FCS)	1	\$5,000	\$5,000	\$3,649	09/29/2017	
UP 2016-345(FCS)	1	\$5,000	\$5,000	\$3,649	09/29/2017	
UP 2016-346(SA)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-347(SA)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-348(SA)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-349(SA)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-350(SA)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-351(SA)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-352(SA)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-353(SA)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-354(HMT)	1	\$2,000	\$2,000	\$1,509	09/29/2017	
UP 2016-355(LI)	1	\$1,000	\$1,000	\$820	09/29/2017	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2016-356(LI)	1	\$1,000	\$1,000	\$820	09/29/2017	
UP 2016-357(TS)	1	\$2,500	\$2,500	\$1,968	09/29/2017	
UP 2016-362(SI)	1	\$2,500	\$1,000	\$820	09/29/2017	Partially Terminated Violations(s): 1.
UP 2016-363(TS)	1	\$5,000	\$5,000	\$4,018	09/29/2017	
UP 2016-364(ROP)	1	\$7,500	\$7,500	\$4,613	09/29/2017	
UP 2016-365(ROP)	1	\$9,500	\$9,500	\$7,401	09/29/2017	
UP 2016-366(SA)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-367(SA)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-368(SA)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-369(SA)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-370(SA)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-371(SA)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-372(SA)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-373(SA)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-374(SI)	1	\$2,500	\$2,500	\$1,968	09/29/2017	
UP 2016-375(ROP)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-376(HMT)	1	\$7,500	\$7,500	\$6,150	09/29/2017	
UP 2016-377(SA)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-378(SA)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-379(SA)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-380(SA)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-381(SA)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-382(SA)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-383(SA)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-384(SA)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-385(SA)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-386(SA)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-387(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-388(SA)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-389(SA)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-390(SA)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-391(LI)	1	\$1,000	\$1,000	\$738	09/29/2017	
UP 2016-392(HSR)	1	\$1,000	\$1,000	\$754	09/29/2017	
UP 2016-393(TS)	2	\$10,000	\$10,000	\$7,872	09/29/2017	
UP 2016-394(SI)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-395(ROP)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-396(ROP)	1	\$2,000	\$2,000	\$1,558	09/29/2017	
UP 2016-397(SA)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-398(TS)	1	\$5,000	\$5,000	\$4,059	09/29/2017	
UP 2016-399(HSR)	1	\$1,000	\$1,000	\$754	09/29/2017	
UP 2016-400(HSR)	1	\$1,000	\$1,000	\$754	09/29/2017	
UP 2016-401(HSR)	1	\$1,000	\$1,000	\$754	09/29/2017	
UP 2016-402(HSR)	1	\$1,000	\$1,000	\$754	09/29/2017	
UP 2016-403(HSR)	1	\$1,000	\$1,000	\$754	09/29/2017	
UP 2016-404(TS)	5	\$12,500	\$12,500	\$9,922	09/29/2017	
UP 2016-405(TS)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-406(HSR)	2	\$2,000	\$2,000	\$1,353	09/29/2017	
UP 2016-407(HSR)	2	\$2,000	\$2,000	\$1,358	09/29/2017	
UP 2016-408(TS)	1	\$5,000	\$5,000	\$3,936	09/29/2017	

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UP 2016-409(TS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-410(TS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-411(TS)	1	\$2,500	\$2,500	\$1,989	09/29/2017	
UP 2016-412(HMT)	1	\$7,500	\$7,500	\$6,150	09/29/2017	
UP 2016-413(TS)	1	\$2,500	\$2,500	\$1,927	09/29/2017	
UP 2016-414(ROP)	1	\$2,000	\$2,000	\$1,558	09/29/2017	
UP 2016-415(ROP)	1	\$7,500	\$7,500	\$4,613	09/29/2017	
UP 2016-416(ROP)	1	\$7,500	\$7,500	\$4,613	09/29/2017	
UP 2016-417(ROP)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-418(ROP)	1	\$7,500	\$7,500	\$4,613	09/29/2017	
UP 2016-419(ROP)	1	\$2,000	\$2,000	\$1,558	09/29/2017	
UP 2016-420(TS)	16	\$16,000	\$16,000	\$12,505	09/29/2017	
UP 2016-422(TS)	6	\$6,000	\$6,000	\$4,510	09/29/2017	
UP 2016-423(TS)	2	\$5,000	\$5,000	\$4,018	09/29/2017	
UP 2016-425(TS)	2	\$2,000	\$2,000	\$1,497	09/29/2017	
UP 2016-427(LI)	1	\$1,500	\$1,500	\$1,107	09/29/2017	
UP 2016-428(TS)	1	\$5,000	\$5,000	\$3,813	09/29/2017	
UP 2016-429(RW)	1	\$2,000	\$2,000	\$1,537	09/29/2017	
UP 2016-430(TS)	3	\$6,000	\$6,000	\$4,674	09/29/2017	
UP 2016-431(RW)	2	\$4,000	\$4,000	\$3,116	09/29/2017	
UP 2016-432(RMM)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2016-433(SI)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-434(ROP)	1	\$2,000	\$2,000	\$1,640	09/29/2017	
UP 2016-435(ROP)	1	\$7,500	\$7,500	\$4,613	09/29/2017	
UP 2016-436(SA)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-437(SA)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-438(SA)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-439(SA)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-440(ROP)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-441(SI)	1	\$5,000	\$5,000	\$3,936	09/29/2017	
UP 2016-442(SI)	1	\$2,500	\$2,500	\$1,968	09/29/2017	
UP 2016-443(SI)	1	\$2,500	\$2,500	\$1,968	09/29/2017	
UP 2016-444(ROP)	1	\$2,000	\$2,000	\$1,558	09/29/2017	
UP 2016-445(ROP)	1	\$2,000	\$2,000	\$1,558	09/29/2017	
UP 2016-446(FCS)	1	\$2,500	\$2,500	\$1,825	09/29/2017	
UP 2016-447(HS)	2	\$2,000	\$2,000	\$1,509	09/29/2017	
UP 2016-448(SA)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-449(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-450(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-451(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-452(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-453(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-454(HMT)	1	\$2,000	\$2,000	\$1,509	09/29/2017	
UP 2016-455(HMT)	1	\$2,500	\$2,500	\$1,742	09/29/2017	
UP 2016-456(TS)	1	\$2,500	\$2,500	\$1,976	09/29/2017	
UP 2016-457(ROP)	1	\$7,500	\$7,500	\$5,843	09/29/2017	
UP 2016-458(SI)	9	\$22,500	\$22,500	\$16,605	09/29/2017	
UP 2016-459(TS)	2	\$10,000	\$10,000	\$7,790	09/29/2017	
UP 2016-460(TS)	5	\$11,000	\$11,000	\$8,938	09/29/2017	

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UP 2016-461(TS)	2	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-462(SI)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-463(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-464(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-465(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-466(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-467(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-468(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-469(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-470(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-471(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-472(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-473(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-474(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-475(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-476(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-477(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-478(SA)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2016-479(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-480(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-481(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-482(HMT)	1	\$3,000	\$3,000	\$2,460	09/29/2017	
UP 2016-483(FCS)	1	\$5,000	\$5,000	\$3,649	09/29/2017	
UP 2016-484(FCS)	1	\$5,000	\$5,000	\$3,649	09/29/2017	
UP 2016-485(FCS)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2016-486(HSR)	1	\$1,000	\$1,000	\$650	09/29/2017	
UP 2016-487(LI)	1	\$2,500	\$2,500	\$1,825	09/29/2017	
UP 2016-488(LI)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2016-489(TS)	1	\$1,000	\$1,000	\$754	09/29/2017	
UP 2016-490(TS)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2016-491(TS)	1	\$1,000	\$1,000	\$853	09/29/2017	
UP 2016-492(RW)	1	\$1,000	\$1,000	\$787	09/29/2017	
UP 2016-493(GC)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-494(TS)	1	\$2,500	\$2,500	\$1,907	09/29/2017	
UP 2016-495(TS)	2	\$10,000	\$10,000	\$7,708	09/29/2017	
UP 2016-496(BW)	1	\$5,000	\$5,000	\$3,977	09/29/2017	
UP 2016-497(LI)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2016-498(SI)	1	\$5,000	\$5,000	\$3,936	09/29/2017	
UP 2016-499(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-500(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-501(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-502(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-503(TS)	1	\$5,000	\$5,000	\$3,916	09/29/2017	
UP 2016-504(TS)	1	\$5,000	\$5,000	\$3,977	09/29/2017	
UP 2016-505(TS)	1	\$2,500	\$2,500	\$1,886	09/29/2017	
UP 2016-506(TS)	4	\$15,000	\$15,000	\$11,480	09/29/2017	
UP 2016-507(TH)	1	\$1,000	\$1,000	\$738	09/29/2017	
UP 2016-508(TS)	3	\$12,500	\$12,500	\$9,348	09/29/2017	
UP 2016-509(TS)	1	\$2,500	\$2,500	\$1,845	09/29/2017	

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UP 2016-510(TS)	1	\$2,500	\$2,500	\$1,927	09/29/2017	
UP 2016-511(TS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-512(TS)	2	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-513(ROP)	1	\$2,000	\$2,000	\$1,558	09/29/2017	
UP 2016-514(HS)	2	\$2,000	\$2,000	\$1,558	09/29/2017	
UP 2016-515(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-516(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-517(ROP)	1	\$2,000	\$2,000	\$1,558	09/29/2017	
UP 2016-519(FCS)	1	\$2,500	\$2,500	\$1,825	09/29/2017	
UP 2016-520(FCS)	1	\$5,000	\$5,000	\$3,649	09/29/2017	
UP 2016-521(FCS)	1	\$5,000	\$5,000	\$3,649	09/29/2017	
UP 2016-523(FCS)	1	\$2,500	\$2,500	\$1,825	09/29/2017	
UP 2016-524(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-525(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-526(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-527(FCS)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-528(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-529(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-530(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-531(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-532(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-533(ROP)	1	\$7,500	\$7,500	\$4,613	09/29/2017	
UP 2016-534(FCS)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-535(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-536(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-537(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-538(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-539(FCS)	1	\$5,000	\$5,000	\$3,936	09/29/2017	
UP 2016-540(FCS)	1	\$2,500	\$2,500	\$1,886	09/29/2017	
UP 2016-541(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-542(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-543(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-544(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-545(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-546(FCS)	1	\$5,000	\$5,000	\$3,936	09/29/2017	
UP 2016-547(ROP)	1	\$2,000	\$0	\$0	09/29/2017	Case Terminated.
UP 2016-548(FCS)	1	\$2,500	\$2,500	\$1,927	09/29/2017	
UP 2016-549(FCS)	1	\$2,500	\$2,500	\$1,960	09/29/2017	
UP 2016-550(ROP)	1	\$7,500	\$7,500	\$5,535	09/29/2017	
UP 2016-551(ROP)	1	\$7,500	\$7,500	\$5,535	09/29/2017	
UP 2016-552(ROP)	1	\$9,500	\$9,500	\$7,401	09/29/2017	
UP 2016-553(ROP)	1	\$5,000	\$5,000	\$3,936	09/29/2017	
UP 2016-554(ROP)	1	\$9,500	\$9,500	\$7,401	09/29/2017	
UP 2016-555(FCS)	1	\$5,000	\$5,000	\$3,936	09/29/2017	
UP 2016-556(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-557(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-558(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-559(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-560(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	

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UP 2016-561(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-562(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-563(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-564(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-565(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-566(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-567(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-568(HMT)	3	\$18,500	\$18,500	\$15,170	09/29/2017	
UP 2016-569(SA)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2016-570(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-571(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-573(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-574(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-575(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-576(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-577(SA)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2016-578(SA)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2016-579(SA)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2016-580(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-581(SA)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-582(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-583(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-584(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-585(HMT)	1	\$6,000	\$6,000	\$4,920	09/29/2017	
UP 2016-586(HMT)	1	\$2,000	\$2,000	\$1,640	09/29/2017	
UP 2016-587(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-588(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-589(SA)	3	\$15,000	\$5,000	\$4,100	09/29/2017	Partially Terminated Violation(s): 1.
UP 2016-590(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-591(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-592(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-593(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-594(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-595(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-596(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-597(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-598(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-599(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-600(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-601(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-602(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-603(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-604(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-605(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-606(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-608(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-609(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-610(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-611(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	

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UP 2016-612(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-613(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-614(SA)	1	\$2,500	\$2,500	\$1,886	09/29/2017	
UP 2016-615(SA)	1	\$2,500	\$2,500	\$1,886	09/29/2017	
UP 2016-616(FCS)	1	\$2,500	\$2,500	\$1,960	09/29/2017	
UP 2016-617(FCS)	1	\$2,500	\$2,500	\$1,886	09/29/2017	
UP 2016-618(FCS)	1	\$2,500	\$2,500	\$1,907	09/29/2017	
UP 2016-619(FCS)	1	\$2,500	\$2,500	\$1,927	09/29/2017	
UP 2016-620(FCS)	1	\$2,500	\$2,500	\$1,907	09/29/2017	
UP 2016-621(FCS)	1	\$2,500	\$2,500	\$1,907	09/29/2017	
UP 2016-622(FCS)	1	\$2,500	\$2,500	\$1,866	09/29/2017	
UP 2016-623(FCS)	1	\$2,500	\$2,500	\$1,927	09/29/2017	
UP 2016-624(FCS)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-625(FCS)	1	\$2,500	\$2,500	\$1,927	09/29/2017	
UP 2016-626(FCS)	1	\$1,000	\$1,000	\$779	09/29/2017	
UP 2016-627(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-628(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-629(ROP)	1	\$2,000	\$2,000	\$1,476	09/29/2017	
UP 2016-630(SI)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-631(SI)	1	\$1,000	\$1,000	\$738	09/29/2017	
UP 2016-632(ROP)	1	\$7,500	\$7,500	\$5,535	09/29/2017	
UP 2016-633(HS)	3	\$3,000	\$3,000	\$2,337	09/29/2017	
UP 2016-634(FCS)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-636(SI)	1	\$5,000	\$5,000	\$3,936	09/29/2017	
UP 2016-637(HS)	1	\$1,000	\$1,000	\$754	09/29/2017	
UP 2016-638(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-639(FCS)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-640(FCS)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-641(FCS)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-642(FCS)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-643(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-644(FCS)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-645(FCS)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-646(SA)	1	\$2,500	\$2,500	\$1,927	09/29/2017	
UP 2016-647(SA)	1	\$2,500	\$2,500	\$1,886	09/29/2017	
UP 2016-649(TS)	2	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-650(EP)	1	\$1,000	\$1,000	\$738	09/29/2017	
UP 2016-651(FCS)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-652(FCS)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-653(SA)	1	\$5,000	\$5,000	\$3,813	09/29/2017	
UP 2016-654(SA)	1	\$5,000	\$5,000	\$3,772	09/29/2017	
UP 2016-655(SA)	1	\$5,000	\$5,000	\$3,813	09/29/2017	
UP 2016-656(ROP)	1	\$2,000	\$2,000	\$1,476	09/29/2017	
UP 2016-657(SA)	1	\$2,500	\$2,500	\$1,968	09/29/2017	
UP 2016-658(SA)	1	\$2,500	\$2,500	\$1,927	09/29/2017	
UP 2016-659(SA)	1	\$5,000	\$5,000	\$3,916	09/29/2017	
UP 2016-660(SA)	1	\$2,500	\$2,500	\$1,886	09/29/2017	
UP 2016-661(SA)	1	\$5,000	\$5,000	\$3,813	09/29/2017	
UP 2016-662(FCS)	1	\$5,000	\$5,000	\$3,690	09/29/2017	

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UP 2016-663(FCS)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-664(FCS)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-665(FCS)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-666(FCS)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-667(FCS)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-668(FCS)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-669(FCS)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-670(FCS)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-671(TS)	2	\$7,500	\$7,500	\$6,027	09/29/2017	
UP 2016-672(TS)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-673(GC)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-674(TS)	1	\$2,500	\$2,500	\$2,009	09/29/2017	
UP 2016-675(TS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-676(SA)	1	\$5,000	\$5,000	\$3,772	09/29/2017	
UP 2016-677(SA)	1	\$5,000	\$5,000	\$3,772	09/29/2017	
UP 2016-678(SA)	1	\$5,000	\$5,000	\$3,813	09/29/2017	
UP 2016-679(SA)	1	\$5,000	\$5,000	\$3,731	09/29/2017	
UP 2016-680(SA)	1	\$2,500	\$2,500	\$1,866	09/29/2017	
UP 2016-681(SA)	1	\$2,500	\$2,500	\$1,866	09/29/2017	
UP 2016-682(SA)	1	\$2,500	\$2,500	\$1,907	09/29/2017	
UP 2016-683(SA)	1	\$2,500	\$2,500	\$1,886	09/29/2017	
UP 2016-684(SA)	1	\$5,000	\$5,000	\$3,752	09/29/2017	
UP 2016-685(TS)	2	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-686(TS)	1	\$2,500	\$2,500	\$2,009	09/29/2017	
UP 2016-687(TS)	1	\$5,000	\$5,000	\$4,018	09/29/2017	
UP 2016-688(GC)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-689(TS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-690(LI)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2016-691(LI)	1	\$2,500	\$2,500	\$1,825	09/29/2017	
UP 2016-692(LI)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2016-693(TS)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-694(LI)	1	\$5,000	\$5,000	\$3,649	09/29/2017	
UP 2016-695(RMM)	1	\$5,000	\$5,000	\$3,772	09/29/2017	
UP 2016-696(AD)	2	\$5,000	\$5,000	\$3,731	09/29/2017	
UP 2016-697(GC)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-699(LI)	1	\$1,500	\$1,500	\$1,107	09/29/2017	
UP 2016-700(LI)	1	\$1,500	\$1,500	\$1,107	09/29/2017	
UP 2016-701(TS)	2	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-703(FCS)	1	\$2,000	\$2,000	\$1,476	09/29/2017	
UP 2016-705(CC)	1	\$4,000	\$4,000	\$2,460	09/29/2017	
UP 2016-706(FCS)	1	\$2,000	\$0	\$0	09/29/2017	Case Terminated.
UP 2016-707(ROP)	1	\$2,000	\$2,000	\$1,476	09/29/2017	
UP 2016-708(ROP)	1	\$7,500	\$7,500	\$5,535	09/29/2017	
UP 2016-709(FCS)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-710(FCS)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-711(ROP)	1	\$2,000	\$0	\$0	09/29/2017	Case Terminated.
UP 2016-712(SA)	1	\$5,000	\$5,000	\$4,018	09/29/2017	
UP 2016-713(SA)	1	\$5,000	\$5,000	\$4,018	09/29/2017	
UP 2016-714(SA)	1	\$5,000	\$5,000	\$3,731	09/29/2017	

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UP 2016-715(SA)	1	\$2,500	\$2,500	\$1,866	09/29/2017	
UP 2016-717(SA)	1	\$5,000	\$5,000	\$3,731	09/29/2017	
UP 2016-718(SA)	1	\$5,000	\$5,000	\$3,854	09/29/2017	
UP 2016-720(SA)	1	\$5,000	\$5,000	\$3,936	09/29/2017	
UP 2016-721(SA)	1	\$5,000	\$5,000	\$3,936	09/29/2017	
UP 2016-722(SI)	1	\$1,000	\$1,000	\$787	09/29/2017	
UP 2016-723(ROP)	1	\$2,000	\$2,000	\$1,476	09/29/2017	
UP 2016-724(SA)	1	\$2,500	\$2,500	\$1,886	09/29/2017	
UP 2016-725(SA)	1	\$2,500	\$2,500	\$1,968	09/29/2017	
UP 2016-726(SA)	1	\$5,000	\$5,000	\$3,854	09/29/2017	
UP 2016-727(SA)	1	\$2,500	\$2,500	\$1,907	09/29/2017	
UP 2016-728(SA)	1	\$2,500	\$2,500	\$1,886	09/29/2017	
UP 2016-729(SA)	1	\$2,500	\$2,500	\$1,886	09/29/2017	
UP 2016-730(SA)	1	\$2,500	\$2,500	\$1,886	09/29/2017	
UP 2016-731(SA)	1	\$2,500	\$2,500	\$1,886	09/29/2017	
UP 2016-732(SA)	1	\$2,500	\$2,500	\$1,886	09/29/2017	
UP 2016-733(FCS)	1	\$1,000	\$1,000	\$738	09/29/2017	
UP 2016-734(FCS)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-735(FCS)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-736(FCS)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-737(FCS)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-738(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-739(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-740(FCS)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-741(FCS)	1	\$2,500	\$2,500	\$1,906	09/29/2017	
UP 2016-742(FCS)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-743(SA)	1	\$5,000	\$5,000	\$3,854	09/29/2017	
UP 2016-744(SA)	1	\$2,500	\$2,500	\$1,907	09/29/2017	
UP 2016-745(ROP)	1	\$7,500	\$7,500	\$5,535	09/29/2017	
UP 2016-746(SA)	1	\$5,000	\$5,000	\$3,854	09/29/2017	
UP 2016-747(SA)	1	\$2,500	\$2,500	\$1,886	09/29/2017	
UP 2016-748(SA)	1	\$5,000	\$5,000	\$3,854	09/29/2017	
UP 2016-749(SA)	1	\$5,000	\$5,000	\$3,813	09/29/2017	
UP 2016-750(HMT)	1	\$7,500	\$7,500	\$6,150	09/29/2017	
UP 2016-751(HMT)	1	\$2,000	\$2,000	\$1,640	09/29/2017	
UP 2016-752(HMT)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2016-753(ROP)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-754(ROP)	1	\$7,500	\$7,500	\$5,535	09/29/2017	
UP 2016-755(FCS)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-756(FCS)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-758(SA)	1	\$5,000	\$5,000	\$3,834	09/29/2017	
UP 2016-759(SA)	1	\$5,000	\$5,000	\$3,813	09/29/2017	
UP 2016-760(FCS)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-761(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-762(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-763(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-765(ROP)	1	\$7,500	\$7,500	\$5,535	09/29/2017	
UP 2016-766(ROP)	1	\$7,500	\$7,500	\$5,535	09/29/2017	
UP 2016-767(ROP)	1	\$9,500	\$9,500	\$7,387	09/29/2017	

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UP 2016-768(ROP)	1	\$2,000	\$2,000	\$1,476	09/29/2017	
UP 2016-769(ROP)	1	\$2,000	\$2,000	\$1,476	09/29/2017	
UP 2016-770(ROP)	1	\$2,000	\$2,000	\$1,476	09/29/2017	
UP 2016-771(ROP)	1	\$2,000	\$2,000	\$1,476	09/29/2017	
UP 2016-772(HMT)	1	\$4,000	\$4,000	\$3,280	09/29/2017	
UP 2016-773(SA)	1	\$2,500	\$2,500	\$1,886	09/29/2017	
UP 2016-774(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-775(ROP)	1	\$7,500	\$7,500	\$5,494	09/29/2017	
UP 2016-776(ROP)	1	\$7,500	\$7,500	\$5,494	09/29/2017	
UP 2016-777(SI)	1	\$1,000	\$1,000	\$839	09/29/2017	
UP 2016-778(ROP)	1	\$9,500	\$9,500	\$6,888	09/29/2017	
UP 2016-779(SI)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-780(TS)	1	\$2,500	\$2,500	\$2,009	09/29/2017	
UP 2016-781(TS)	11	\$11,000	\$11,000	\$9,001	09/29/2017	
UP 2016-783(LI)	1	\$2,500	\$2,500	\$1,949	09/29/2017	
UP 2016-784(LI)	1	\$2,500	\$2,500	\$1,825	09/29/2017	
UP 2016-785(LI)	1	\$1,000	\$1,000	\$839	09/29/2017	
UP 2016-786(LI)	1	\$2,500	\$2,500	\$1,927	09/29/2017	
UP 2016-787(LI)	1	\$2,500	\$2,500	\$1,937	09/29/2017	
UP 2016-788(LI)	1	\$2,500	\$2,500	\$1,935	09/29/2017	
UP 2016-789(TS)	1	\$1,000	\$1,000	\$839	09/29/2017	
UP 2016-790(TS)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2016-791(TS)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2016-792(TS)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2016-793(TS)	30	\$75,000	\$75,000	\$61,500	09/29/2017	
UP 2016-794(TS)	1	\$2,500	\$2,500	\$2,031	09/29/2017	
UP 2016-795(TS)	1	\$1,000	\$1,000	\$839	09/29/2017	
UP 2016-796(TS)	1	\$2,500	\$2,500	\$1,886	09/29/2017	
UP 2016-797(TS)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2016-798(TS)	3	\$3,000	\$3,000	\$2,460	09/29/2017	
UP 2016-799(TS)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2016-800(TS)	2	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-801(TS)	1	\$1,000	\$1,000	\$820	09/29/2017	
UP 2016-802(TS)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2016-803(TS)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2016-804(TS)	7	\$27,500	\$27,500	\$22,550	09/29/2017	
UP 2016-806(TS)	2	\$10,000	\$10,000	\$7,544	09/29/2017	
UP 2016-808(TS)	5	\$15,000	\$15,000	\$12,300	09/29/2017	
UP 2016-809(TS)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2016-810(HSR)	3	\$3,000	\$3,000	\$2,337	09/29/2017	
UP 2016-811(GC)	1	\$1,000	\$1,000	\$853	09/29/2017	
UP 2016-812(TS)	2	\$7,500	\$7,500	\$6,150	09/29/2017	
UP 2016-813(TS)	3	\$10,000	\$10,000	\$8,200	09/29/2017	
UP 2016-814(TS)	2	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2016-815(RW)	1	\$2,000	\$2,000	\$1,538	09/29/2017	
UP 2016-816(TS)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2016-819(HSR)	1	\$1,000	\$1,000	\$839	09/29/2017	
UP 2016-820(RW)	1	\$1,000	\$1,000	\$820	09/29/2017	
UP 2016-821(LI)	1	\$2,500	\$2,500	\$1,960	09/29/2017	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2016-822(LI)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-824(SI)	9	\$22,500	\$22,500	\$16,605	09/29/2017	
UP 2016-825(SI)	1	\$2,500	\$2,500	\$1,968	09/29/2017	
UP 2016-826(ROP)	1	\$7,500	\$7,500	\$5,494	09/29/2017	
UP 2016-827(SA)	1	\$5,000	\$5,000	\$3,854	09/29/2017	
UP 2016-828(SA)	1	\$5,000	\$5,000	\$3,772	09/29/2017	
UP 2016-829(EP)	1	\$1,000	\$1,000	\$738	09/29/2017	
UP 2016-830(EP)	1	\$1,000	\$1,000	\$738	09/29/2017	
UP 2016-831(TS)	4	\$4,000	\$4,000	\$3,280	09/29/2017	
UP 2016-832(TS)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2016-833(HMT)	1	\$2,000	\$2,000	\$1,640	09/29/2017	
UP 2016-834(TS)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2016-835(TS)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2016-837(TS)	2	\$6,000	\$6,000	\$4,715	09/29/2017	
UP 2016-838(TS)	3	\$7,500	\$7,500	\$6,150	09/29/2017	
UP 2016-839(TS)	3	\$12,500	\$12,500	\$10,250	09/29/2017	
UP 2016-840(TS)	2	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2016-841(HMT)	2	\$10,000	\$10,000	\$7,298	09/29/2017	
UP 2016-842(HMT)	1	\$4,000	\$4,000	\$2,911	09/29/2017	
UP 2016-843(TS)	3	\$4,500	\$4,500	\$3,690	09/29/2017	
UP 2016-844(TS)	2	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2016-845(TS)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2016-846(HMT)	1	\$4,000	\$4,000	\$3,280	09/29/2017	
UP 2016-847(SA)	1	\$2,500	\$2,500	\$1,927	09/29/2017	
UP 2016-848(SA)	1	\$2,500	\$2,500	\$1,927	09/29/2017	
UP 2016-849(SA)	1	\$5,000	\$5,000	\$3,793	09/29/2017	
UP 2016-850(GC)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-851(TS)	3	\$7,500	\$7,500	\$6,150	09/29/2017	
UP 2016-852(TS)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2016-853(TS)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2016-854(TS)	2	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2016-855(TS)	2	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2016-856(TS)	2	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2016-857(TS)	2	\$50,000	\$50,000	\$41,000	09/29/2017	
UP 2016-858(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-859(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-860(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-861(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-862(FCS)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-863(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-864(FCS)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-865(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-866(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-867(FCS)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-868(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-869(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-870(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-871(FCS)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-872(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	

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UP 2016-873(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-874(FCS)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-875(SA)	1	\$5,000	\$5,000	\$3,813	09/29/2017	
UP 2016-876(SA)	1	\$2,500	\$2,500	\$1,968	09/29/2017	
UP 2016-877(SA)	1	\$2,500	\$2,500	\$1,927	09/29/2017	
UP 2016-878(GC)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-879(ROP)	1	\$5,000	\$5,000	\$3,649	09/29/2017	
UP 2016-880(LI)	1	\$2,500	\$2,500	\$1,960	09/29/2017	
UP 2016-881(LI)	1	\$2,500	\$2,500	\$1,943	09/29/2017	
UP 2016-882(TS)	1	\$1,000	\$1,000	\$853	09/29/2017	
UP 2016-883(TS)	1	\$2,500	\$2,500	\$2,017	09/29/2017	
UP 2016-884(SA)	1	\$2,500	\$2,500	\$1,927	09/29/2017	
UP 2016-885(SA)	1	\$2,500	\$2,500	\$1,927	09/29/2017	
UP 2016-886(SA)	1	\$2,500	\$2,500	\$1,886	09/29/2017	
UP 2016-887(SA)	1	\$2,500	\$2,500	\$1,968	09/29/2017	
UP 2016-888(SA)	1	\$5,000	\$5,000	\$3,977	09/29/2017	
UP 2016-889(ROP)	1	\$9,500	\$9,500	\$6,888	09/29/2017	
UP 2016-890(ROP)	1	\$9,500	\$9,500	\$6,888	09/29/2017	
UP 2016-891(ROP)	1	\$2,000	\$2,000	\$1,312	09/29/2017	
UP 2016-892(ROP)	1	\$7,500	\$7,500	\$5,494	09/29/2017	
UP 2016-893(SA)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-894(SA)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-895(SA)	1	\$5,000	\$5,000	\$3,834	09/29/2017	
UP 2016-896(SA)	1	\$5,000	\$5,000	\$3,977	09/29/2017	
UP 2016-897(SA)	1	\$5,000	\$5,000	\$3,936	09/29/2017	
UP 2016-898(HS)	2	\$2,000	\$2,000	\$1,509	09/29/2017	
UP 2016-899(HS)	2	\$2,000	\$2,000	\$1,509	09/29/2017	
UP 2016-900(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-901(SA)	1	\$5,000	\$0	\$0	09/29/2017	Case Terminated.
UP 2016-902(SA)	1	\$5,000	\$5,000	\$4,018	09/29/2017	
UP 2016-903(SA)	1	\$5,000	\$5,000	\$3,813	09/29/2017	
UP 2016-904(SA)	1	\$5,000	\$5,000	\$3,936	09/29/2017	
UP 2016-905(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-906(ROP)	1	\$7,500	\$7,500	\$5,494	09/29/2017	
UP 2016-907(ROP)	1	\$7,500	\$7,500	\$5,494	09/29/2017	
UP 2016-908(ROP)	1	\$2,000	\$2,000	\$1,312	09/29/2017	
UP 2016-909(ROR)	2	\$15,000	\$15,000	\$12,054	09/29/2017	
UP 2016-910(ROR)	2	\$19,000	\$19,000	\$15,268	09/29/2017	
UP 2016-911(SA)	1	\$2,500	\$2,500	\$1,927	09/29/2017	
UP 2016-912(SA)	1	\$5,000	\$5,000	\$3,977	09/29/2017	
UP 2016-913(SA)	1	\$5,000	\$5,000	\$3,977	09/29/2017	
UP 2016-914(SA)	1	\$5,000	\$5,000	\$4,018	09/29/2017	
UP 2016-915(SA)	1	\$5,000	\$5,000	\$3,957	09/29/2017	
UP 2016-916(LI)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-917(EQ)	1	\$5,000	\$5,000	\$3,772	09/29/2017	
UP 2016-918(FCS)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-919(ROP)	1	\$2,000	\$2,000	\$1,312	09/29/2017	
UP 2016-920(ROP)	1	\$7,500	\$7,500	\$5,494	09/29/2017	
UP 2016-921(ROP)	1	\$2,000	\$2,000	\$1,640	09/29/2017	

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UP 2016-922(TS)	8	\$25,000	\$25,000	\$20,500	09/29/2017	
UP 2016-923(TS)	3	\$6,000	\$6,000	\$4,920	09/29/2017	
UP 2016-925(TS)	2	\$7,500	\$7,500	\$6,150	09/29/2017	
UP 2016-926(TS)	2	\$2,000	\$2,000	\$1,640	09/29/2017	
UP 2016-927(TS)	1	\$1,000	\$1,000	\$839	09/29/2017	
UP 2016-928(TS)	2	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2016-929(LI)	1	\$2,500	\$2,500	\$1,886	09/29/2017	
UP 2016-930(TS)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2016-931(SA)	1	\$5,000	\$5,000	\$3,977	09/29/2017	
UP 2016-932(SA)	1	\$5,000	\$5,000	\$3,936	09/29/2017	
UP 2016-933(SA)	1	\$2,500	\$2,500	\$1,927	09/29/2017	
UP 2016-934(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-935(SA)	1	\$5,000	\$5,000	\$3,854	09/29/2017	
UP 2016-936(SA)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-937(SA)	1	\$2,500	\$2,500	\$1,804	09/29/2017	
UP 2016-938(SA)	1	\$2,500	\$2,500	\$1,804	09/29/2017	
UP 2016-939(SA)	1	\$2,500	\$2,500	\$1,804	09/29/2017	
UP 2016-940(SA)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2016-941(SA)	1	\$2,500	\$2,500	\$1,804	09/29/2017	
UP 2016-942(SA)	1	\$2,500	\$2,500	\$1,804	09/29/2017	
UP 2016-943(SA)	1	\$5,000	\$5,000	\$3,649	09/29/2017	
UP 2016-944(HMT)	1	\$9,000	\$9,000	\$7,380	09/29/2017	
UP 2016-945(SA)	1	\$5,000	\$5,000	\$3,649	09/29/2017	
UP 2016-946(SA)	1	\$2,500	\$2,500	\$1,804	09/29/2017	
UP 2016-947(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-948(FCS)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-949(CC)	1	\$1,000	\$1,000	\$853	09/29/2017	
UP 2016-950(SI)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-951(TS)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2016-952(TS)	1	\$1,000	\$1,000	\$820	09/29/2017	
UP 2016-953(TS)	2	\$3,500	\$3,500	\$2,542	09/29/2017	
UP 2016-954(TS)	3	\$7,500	\$7,500	\$6,150	09/29/2017	
UP 2016-955(TS)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2016-956(TS)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2016-957(TS)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2016-958(RW)	1	\$3,000	\$3,000	\$2,378	09/29/2017	
UP 2016-959(LI)	1	\$1,000	\$1,000	\$839	09/29/2017	
UP 2016-960(TS)	2	\$10,000	\$10,000	\$8,200	09/29/2017	
UP 2016-961(TS)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2016-962(TS)	2	\$7,500	\$7,500	\$6,150	09/29/2017	
UP 2016-963(TS)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2016-964(TS)	1	\$1,000	\$1,000	\$839	09/29/2017	
UP 2016-965(TS)	1	\$5,000	\$5,000	\$4,081	09/29/2017	
UP 2016-967(SA)	1	\$5,000	\$5,000	\$3,649	09/29/2017	
UP 2016-968(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-969(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-970(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-971(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-972(FCS)	1	\$5,000	\$5,000	\$3,895	09/29/2017	

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UP 2016-973(FCS)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-974(FCS)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-975(FCS)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-976(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-977(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-978(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-980(SA)	1	\$2,500	\$2,500	\$1,804	09/29/2017	
UP 2016-981(SA)	1	\$2,500	\$2,500	\$1,804	09/29/2017	
UP 2016-982(SA)	1	\$5,000	\$5,000	\$3,649	09/29/2017	
UP 2016-983(SA)	1	\$2,500	\$2,500	\$1,804	09/29/2017	
UP 2016-985(SA)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2016-986(SA)	1	\$2,500	\$2,500	\$1,804	09/29/2017	
UP 2016-987(SA)	1	\$2,500	\$2,500	\$1,804	09/29/2017	
UP 2016-988(SA)	1	\$5,000	\$5,000	\$3,649	09/29/2017	
UP 2016-989(SA)	1	\$2,500	\$2,500	\$1,804	09/29/2017	
UP 2016-990(CC)	1	\$4,000	\$4,000	\$2,952	09/29/2017	
UP 2016-991(TS)	2	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2016-993(TS)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2016-995(TS)	2	\$2,000	\$2,000	\$1,640	09/29/2017	
UP 2016-996(TS)	2	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2016-997(GC)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-1011(EP)	1	\$1,000	\$1,000	\$839	09/29/2017	
UP 2016-1012(SA)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2016-1014(HMT)	1	\$2,000	\$2,000	\$1,640	09/29/2017	
UP 2016-1015(SA)	1	\$5,000	\$5,000	\$3,649	09/29/2017	
UP 2016-1016(SA)	1	\$5,000	\$5,000	\$3,649	09/29/2017	
UP 2016-1017(SA)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2016-1018(SA)	1	\$5,000	\$5,000	\$3,649	09/29/2017	
UP 2016-1019(ROP)	4	\$8,000	\$8,000	\$5,248	09/29/2017	
UP 2016-1020(ROP)	1	\$7,500	\$7,500	\$5,494	09/29/2017	
UP 2016-1021(ROP)	1	\$2,000	\$2,000	\$1,312	09/29/2017	
UP 2016-1022(LI)	1	\$2,500	\$2,500	\$1,886	09/29/2017	
UP 2016-1023(SA)	1	\$2,500	\$2,500	\$1,804	09/29/2017	
UP 2016-1024(SA)	1	\$5,000	\$5,000	\$3,649	09/29/2017	
UP 2016-1025(TS)	2	\$7,500	\$7,500	\$6,150	09/29/2017	
UP 2016-1026(TS)	1	\$2,500	\$2,500	\$1,886	09/29/2017	
UP 2016-1028(HMT)	1	\$2,000	\$2,000	\$1,640	09/29/2017	
UP 2016-1029(SA)	1	\$2,500	\$2,500	\$1,804	09/29/2017	
UP 2016-1030(TS)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2016-1032(SA)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2016-1033(SA)	1	\$2,500	\$2,500	\$1,804	09/29/2017	
UP 2016-1034(SA)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2016-1035(SA)	1	\$1,000	\$1,000	\$738	09/29/2017	
UP 2016-1036(SA)	1	\$2,500	\$2,500	\$1,804	09/29/2017	
UP 2016-1037(SA)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2016-1040(TS)	1	\$5,000	\$5,000	\$3,772	09/29/2017	
UP 2016-1041(TS)	3	\$15,000	\$15,000	\$12,300	09/29/2017	
UP 2016-1042(TS)	1	\$2,500	\$2,500	\$1,886	09/29/2017	
UP 2016-1043(TS)	1	\$2,500	\$2,500	\$2,050	09/29/2017	

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UP 2016-1044(TS)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2016-1045(TS)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2016-1046(TS)	2	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2016-1047(TS)	2	\$2,000	\$2,000	\$1,834	09/29/2017	
UP 2016-1048(TS)	1	\$1,000	\$1,000	\$839	09/29/2017	
UP 2016-1049(TS)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2016-1050(EP)	1	\$1,000	\$1,000	\$853	09/29/2017	
UP 2016-1051(TS)	2	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2016-1052(TS)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2016-1054(RW)	1	\$1,000	\$1,000	\$839	09/29/2017	
UP 2016-1055(EP)	1	\$1,000	\$1,000	\$853	09/29/2017	
UP 2016-1056(EP)	1	\$1,000	\$1,000	\$839	09/29/2017	
UP 2016-1058(HS)	2	\$2,000	\$2,000	\$1,509	09/29/2017	
UP 2016-1059(SA)	1	\$5,000	\$5,000	\$3,649	09/29/2017	
UP 2016-1060(SA)	1	\$2,500	\$2,500	\$1,804	09/29/2017	
UP 2016-1061(SA)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2016-1062(SA)	2	\$10,000	\$10,000	\$7,257	09/29/2017	
UP 2016-1063(SA)	1	\$2,500	\$2,500	\$1,804	09/29/2017	
UP 2016-1064(SA)	1	\$5,000	\$5,000	\$3,649	09/29/2017	
UP 2016-1065(SA)	1	\$2,500	\$2,500	\$1,804	09/29/2017	
UP 2016-1066(LI)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-1067(TS)	2	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2016-1068(TS)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2016-1069(SA)	1	\$5,000	\$5,000	\$3,649	09/29/2017	
UP 2016-1070(GC)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-1071(GC)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2016-1072(FCS)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2016-1073(ROP)	1	\$7,500	\$7,500	\$5,494	09/29/2017	
UP 2016-1074(ROP)	1	\$7,500	\$7,500	\$5,494	09/29/2017	
UP 2016-1075(ROP)	1	\$2,000	\$2,000	\$1,312	09/29/2017	
UP 2016-1076(ROP)	1	\$7,500	\$7,500	\$5,494	09/29/2017	
UP 2016-1077(SA)	1	\$5,000	\$5,000	\$3,649	09/29/2017	
UP 2016-1078(SA)	1	\$5,000	\$5,000	\$3,649	09/29/2017	
UP 2016-1079(HMT)	1	\$5,000	\$5,000	\$3,056	09/29/2017	
UP 2016-1081(SA)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2016-1082(SA)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2016-1083(SA)	1	\$5,000	\$0	\$0	09/29/2017	Case Terminated.
UP 2016-1084(HMT)	1	\$2,000	\$2,000	\$1,640	09/29/2017	
UP 2016-1085(HMT)	1	\$2,000	\$2,000	\$1,230	09/29/2017	
UP 2016-1087(LI)	1	\$2,500	\$2,500	\$1,931	09/29/2017	
UP 2016-1088(LI)	1	\$2,500	\$2,500	\$1,804	09/29/2017	
UP 2016-1089(LI)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2016-1090(SA)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2016-1091(SA)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2016-1092(SI)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-1093(SI)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-1094(SI)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-1095(SI)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-1096(SI)	1	\$2,500	\$2,500	\$1,845	09/29/2017	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2016-1097(SI)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-1098(SI)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-1099(ROP)	1	\$9,500	\$9,500	\$6,888	09/29/2017	
UP 2016-1100(SA)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2016-1101(SA)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2016-1102(SA)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2016-1103(SA)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2016-1104(SA)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2016-1105(SA)	1	\$2,500	\$2,500	\$1,804	09/29/2017	
UP 2016-1106(SA)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2016-1107(SA)	1	\$5,000	\$5,000	\$3,649	09/29/2017	
UP 2016-1108(TS)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2016-1109(TS)	3	\$7,500	\$7,500	\$6,150	09/29/2017	
UP 2016-1111(ROP)	1	\$9,500	\$9,500	\$7,790	09/29/2017	
UP 2016-1112(SI)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-1113(SI)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-1114(SI)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-1115(SI)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-1116(SI)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-1117(SI)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-1118(SI)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2016-1119(ROP)	1	\$7,500	\$7,500	\$5,658	09/29/2017	
UP 2016-1120(SA)	1	\$2,500	\$2,500	\$1,804	09/29/2017	
UP 2017-1(LI)	1	\$2,500	\$2,500	\$1,927	09/29/2017	
UP 2017-2(LI)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2017-3(SA)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2017-4(SA)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2017-5(SA)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2017-6(SA)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2017-7(SA)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2017-8(SA)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2017-9(SA)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2017-10(SA)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2017-11(SA)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2017-12(ROP)	1	\$7,500	\$7,500	\$5,843	09/29/2017	
UP 2017-13(SA)	1	\$5,000	\$5,000	\$3,649	09/29/2017	
UP 2017-14(TS)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2017-16(SA)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2017-17(SA)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2017-18(SA)	1	\$5,000	\$5,000	\$3,649	09/29/2017	
UP 2017-19(LI)	1	\$2,500	\$2,500	\$1,927	09/29/2017	
UP 2017-20(SA)	1	\$5,000	\$5,000	\$3,649	09/29/2017	
UP 2017-21(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-22(FCS)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2017-23(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-24(FCS)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2017-25(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-26(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-27(FCS)	1	\$5,000	\$5,000	\$3,895	09/29/2017	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2017-28(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-29(HS)	1	\$1,000	\$0	\$0	09/29/2017	Case Terminated.
UP 2017-30(ROP)	1	\$7,500	\$7,500	\$5,843	09/29/2017	
UP 2017-31(HS)	3	\$3,000	\$3,000	\$2,263	09/29/2017	
UP 2017-32(ROP)	1	\$7,500	\$7,500	\$5,843	09/29/2017	
UP 2017-33(SA)	1	\$2,500	\$2,500	\$1,804	09/29/2017	
UP 2017-34(TS)	1	\$2,500	\$2,500	\$1,886	09/29/2017	
UP 2017-35(LI)	1	\$2,500	\$2,500	\$1,886	09/29/2017	
UP 2017-36(SA)	1	\$2,500	\$2,500	\$1,804	09/29/2017	
UP 2017-37(SA)	1	\$5,000	\$5,000	\$3,649	09/29/2017	
UP 2017-38(SA)	1	\$5,000	\$5,000	\$3,649	09/29/2017	
UP 2017-39(SA)	2	\$10,000	\$5,000	\$3,649	09/29/2017	Partially Terminated Violation(s): 1.
UP 2017-40(SA)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2017-41(SA)	1	\$2,500	\$2,500	\$1,804	09/29/2017	
UP 2017-42(SA)	1	\$2,000	\$2,000	\$1,517	09/29/2017	
UP 2017-43(HS)	1	\$1,000	\$1,000	\$839	09/29/2017	
UP 2017-45(FCS)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2017-46(SA)	1	\$2,500	\$2,500	\$1,804	09/29/2017	
UP 2017-47(ROP)	1	\$7,500	\$7,500	\$5,843	09/29/2017	
UP 2017-48(ROP)	1	\$7,500	\$7,500	\$5,843	09/29/2017	
UP 2017-49(ROP)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2017-51(LI)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-52(LI)	1	\$2,500	\$2,500	\$1,968	09/29/2017	
UP 2017-53(LI)	1	\$2,500	\$2,500	\$1,968	09/29/2017	
UP 2017-55(LI)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-56(LI)	1	\$2,500	\$2,500	\$1,952	09/29/2017	
UP 2017-57(EP)	1	\$1,000	\$1,000	\$839	09/29/2017	
UP 2017-60(LI)	1	\$1,500	\$1,500	\$1,169	09/29/2017	
UP 2017-61(SA)	1	\$5,000	\$5,000	\$3,649	09/29/2017	
UP 2017-62(SA)	1	\$2,500	\$2,500	\$1,804	09/29/2017	
UP 2017-63(SA)	1	\$2,500	\$2,500	\$1,804	09/29/2017	
UP 2017-65(FCS)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2017-66(SA)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2017-67(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2017-68(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2017-70(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2017-71(TS)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2017-72(HMT)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2017-73(ROP)	1	\$9,500	\$9,500	\$7,401	09/29/2017	
UP 2017-75(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2017-76(TS)	5	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2017-77(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-78(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-80(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-81(FCS)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2017-82(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-83(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-85(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-86(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	

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UP 2017-87(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-88(ROP)	1	\$2,000	\$2,000	\$1,558	09/29/2017	
UP 2017-90(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-91(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-92(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2017-93(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-95(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2017-96(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-97(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2017-98(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-100(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-101(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2017-102(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2017-103(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-105(ROP)	4	\$8,000	\$8,000	\$6,232	09/29/2017	
UP 2017-106(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-107(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2017-108(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2017-111(ROP)	1	\$9,500	\$9,500	\$7,790	09/29/2017	
UP 2017-112(ROP)	1	\$2,000	\$2,000	\$1,640	09/29/2017	
UP 2017-113(HS)	2	\$2,000	\$2,000	\$1,678	09/29/2017	
UP 2017-116(HS)	2	\$2,000	\$2,000	\$1,678	09/29/2017	
UP 2017-117(HS)	2	\$2,000	\$2,000	\$1,678	09/29/2017	
UP 2017-118(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-121(LI)	1	\$1,000	\$1,000	\$839	09/29/2017	
UP 2017-122(ROP)	1	\$2,000	\$2,000	\$1,558	09/29/2017	
UP 2017-123(HS)	2	\$2,000	\$2,000	\$1,678	09/29/2017	
UP 2017-126(LI)	1	\$2,500	\$2,500	\$1,886	09/29/2017	
UP 2017-127(ROP)	1	\$2,000	\$2,000	\$1,558	09/29/2017	
UP 2017-128(ROP)	1	\$9,500	\$5,000	\$4,100	09/29/2017	Partially Terminated Violation(s): 1.
UP 2017-142(TS)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2017-146(LI)	1	\$2,500	\$2,500	\$1,886	09/29/2017	
UP 2017-148(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2017-151(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2017-152(TS)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2017-153(LI)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-157(TS)	2	\$10,000	\$10,000	\$8,200	09/29/2017	
UP 2017-158(TS)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2017-161(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2017-162(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2017-163(TS)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2017-166(HS)	2	\$2,000	\$2,000	\$1,678	09/29/2017	
UP 2017-167(ROP)	1	\$9,500	\$9,500	\$7,401	09/29/2017	
UP 2017-168(SI)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2017-171(SI)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2017-172(ROP)	1	\$2,000	\$2,000	\$1,558	09/29/2017	
UP 2017-173(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-176(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2017-177(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	

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UP 2017-178(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-181(TS)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2017-182(LI)	1	\$1,500	\$1,500	\$1,169	09/29/2017	
UP 2017-183(LI)	1	\$2,500	\$2,500	\$1,888	09/29/2017	
UP 2017-186(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2017-187(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-188(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-191(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-192(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-193(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-196(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-198(ROP)	2	\$4,000	\$4,000	\$3,116	09/29/2017	
UP 2017-201(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2017-202(SI)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2017-203(SI)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2017-206(SI)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2017-207(SI)	1	\$2,500	\$2,500	\$1,845	09/29/2017	
UP 2017-208(SI)	1	\$2,500	\$2,500	\$1,968	09/29/2017	
UP 2017-211(ROP)	1	\$7,500	\$7,500	\$5,843	09/29/2017	
UP 2017-212(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-213(ROR)	1	\$7,500	\$7,500	\$5,843	09/29/2017	
UP 2017-216(AD)	1	\$2,500	\$2,500	\$1,927	09/29/2017	
UP 2017-217(GC)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2017-218(TS)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2017-221(HMT)	1	\$3,000	\$3,000	\$2,460	09/29/2017	
UP 2017-222(HMT)	2	\$7,000	\$7,000	\$5,084	09/29/2017	
UP 2017-223(HMT)	6	\$7,000	\$7,000	\$5,740	09/29/2017	
UP 2017-226(HS)	2	\$2,000	\$2,000	\$1,678	09/29/2017	
UP 2017-227(SA)	1	\$5,000	\$0	\$0	09/29/2017	Case Terminated.
UP 2017-228(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2017-231(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2017-232(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-233(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2017-236(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2017-237(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-238(SA)	1	\$2,500	\$0	\$0	04/20/2017	Case Terminated.
UP 2017-241(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-242(FCS)	1	\$2,500	\$2,500	\$2,009	09/29/2017	
UP 2017-243(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-246(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-247(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-248(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2017-251(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-252(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-253(TS)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2017-256(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-257(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-258(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-261(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	

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UP 2017-262(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-263(FCS)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-266(SA)	1	\$10,000	\$10,000	\$7,790	09/29/2017	
UP 2017-267(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-268(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-269(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2017-271(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2017-272(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2017-273(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2017-274(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2017-276(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2017-277(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-278(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2017-281(FCS)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2017-282(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-283(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-286(ROP)	1	\$7,500	\$2,000	\$1,640	09/29/2017	Partially Terminated Violation(s): 1/
UP 2017-287(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2017-288(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2017-291(GC)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2017-292(HS)	4	\$4,000	\$2,000	\$1,678	09/29/2017	Partially Terminated Violation(s): 1.
UP 2017-293(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-294(GC)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2017-296(LI)	1	\$2,500	\$2,500	\$1,888	09/29/2017	
UP 2017-297(LI)	1	\$2,500	\$2,500	\$1,888	09/29/2017	
UP 2017-298(RW)	1	\$1,000	\$1,000	\$853	09/29/2017	
UP 2017-301(ROP)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2017-302(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-303(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-306(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-307(ROP)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2017-308(FCS)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2017-311(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-312(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-313(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-316(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-317(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-318(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-321(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-322(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-323(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2017-326(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-327(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2017-328(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-331(ROP)	1	\$7,500	\$7,500	\$5,843	09/29/2017	
UP 2017-332(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2017-336(HSR)	1	\$1,000	\$1,000	\$854	09/29/2017	
UP 2017-337(HSR)	1	\$1,000	\$1,000	\$854	09/29/2017	

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UP 2017-340(HSR)	1	\$1,000	\$1,000	\$854	09/29/2017	
UP 2017-341(LI)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-342(LI)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-343(LI)	1	\$1,000	\$1,000	\$839	09/29/2017	
UP 2017-345(LI)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-346(TS)	1	\$5,000	\$5,000	\$4,100	09/29/2017	
UP 2017-347(TS)	1	\$2,500	\$2,500	\$2,050	09/29/2017	
UP 2017-351(RW)	1	\$2,000	\$2,000	\$1,558	09/29/2017	
UP 2017-355(LI)	1	\$2,000	\$2,000	\$1,558	09/29/2017	
UP 2017-356(LI)	1	\$1,000	\$1,000	\$839	09/29/2017	
UP 2017-357(LI)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-359(HS)	2	\$2,000	\$2,000	\$1,678	09/29/2017	
UP 2017-363(ROP)	1	\$9,500	\$9,500	\$7,401	09/29/2017	
UP 2017-364(GC)	1	\$5,000	\$5,000	\$3,690	09/29/2017	
UP 2017-368(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-369(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-373(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2017-374(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-378(SA)	1	\$5,000	\$5,000	\$3,895	09/29/2017	
UP 2017-379(SA)	1	\$2,500	\$2,500	\$1,948	09/29/2017	
UP 2017-404(CC)	1	\$1,000	\$0	\$0	07/12/2017	Case Terminated.
UTAH 2016-2(SA)	1	\$2,500	\$2,500	\$2,025	09/28/2017	
UTAH 2016-3(LI)	1	\$2,500	\$2,500	\$2,050	09/28/2017	
UTAH 2016-4(LI)	1	\$1,500	\$1,500	\$1,300	09/28/2017	
UTAH 2016-5(ROR)	1	\$9,500	\$9,500	\$7,700	09/28/2017	
UTAH 2016-6(LI)	1	\$1,000	\$1,000	\$850	09/28/2017	
UTAH 2016-7(ROR)	1	\$2,500	\$2,500	\$2,050	09/28/2017	
UTAH 2016-8(ROP)	1	\$2,500	\$2,500	\$2,050	09/28/2017	
UTAH 2017-1(ROR)	1	\$9,500	\$9,500	\$7,700	09/28/2017	
VSOR 2016-1(LI)	1	\$2,500	\$2,500	\$1,750	09/29/2017	
WATX 2016-1(AD)	1	\$1,000	\$1,000	\$700	09/29/2017	
WATX 2016-2(TS)	2	\$6,000	\$6,000	\$4,200	09/29/2017	
WATX 2017-1(FCS)	1	\$5,000	\$5,000	\$3,500	09/29/2017	
WATX 2017-2(FCS)	1	\$5,000	\$5,000	\$3,500	09/29/2017	
WBRW 2016-1(ROP)	1	\$7,500	\$7,500	\$4,500	01/24/2017	
WBRW 2017-1(HSR)	4	\$4,000	\$4,000	\$3,412	05/25/2017	
WE 2015-8(EQ)	1	\$2,500	\$2,500	\$2,500	02/14/2017	
WE 2016-4(ROP)	1	\$7,500	\$7,500	\$6,000	02/14/2017	
WE 2016-5(ROP)	5	\$45,500	\$45,500	\$35,000	02/14/2017	
WE 2016-6(ROP)	1	\$9,500	\$9,500	\$5,000	02/14/2017	
WE 2016-7(SA)	1	\$2,500	\$2,500	\$1,500	02/14/2017	
WE 2016-8(SA)	2	\$10,000	\$10,000	\$7,500	02/14/2017	
WE 2016-9(FCS)	3	\$10,000	\$10,000	\$7,000	02/14/2017	
WE 2016-10(GC)	1	\$5,000	\$5,000	\$4,500	02/14/2017	
WGSB 2016-1(AR)	1	\$2,500	\$2,500	\$2,500	10/03/2016	
WNYP 2016-6(GC)	1	\$2,500	\$2,500	\$2,500	02/21/2017	
WNYP 2016-7(SA)	1	\$5,000	\$5,000	\$3,750	05/10/2017	Missing ladder tread on hopper car (08/23/16)
WTA 2016-1(AD)	1	\$2,500	\$2,500	\$2,000	12/05/2016	Respondent called 09/29/16 asking what and where to

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WTA 2017-1(GC)	1	\$5,000	\$0	\$0	05/15/2017	send information to support small entity status; information received 10/05/16. Case Terminated.
WTNN 2016-1(AD)	1	\$2,500	\$2,500	\$1,875	12/05/2016	
XAAL 2016-1(AD)	4	\$10,000	\$10,000	\$7,500	02/14/2017	Terminated Violation(s): 2.
XAHM 2017-1(HMT)	1	\$2,000	\$2,000	\$1,200	07/25/2017	
XAIR 2016-1(HMT)	1	\$7,500	\$7,500	\$7,500	11/08/2016	Partially Terminated Violation(s): 2.
XASA 2016-1(HMT)	3	\$6,000	\$6,000	\$4,100	02/21/2017	
XASC 2017-1(GC)	1	\$2,500	\$2,500	\$2,500	06/13/2017	Partially Terminated Violation(s): 2.
XAWH 2014-1(HMT)	2	\$20,000	\$20,000	\$9,750	02/21/2017	
XAWS 2017-1(BW)	1	\$5,000	\$5,000	\$5,000	08/15/2017	Terminated Violation(s): 2.
XBAL 2017-1(HMT)	2	\$15,000	\$7,500	\$7,500	08/14/2017	
XBBR 2016-1(RW)	1	\$3,000	\$3,000	\$1,800	06/08/2017	Partially Terminated Violation(s): 2.
XBBR 2016-2(HS)	6	\$6,000	\$6,000	\$5,034	06/08/2017	
XBBR 2016-3(HSR)	13	\$13,000	\$13,000	\$10,907	06/08/2017	Partially Terminated Violation(s): 2.
XBBT 2017-1(HMT)	3	\$6,000	\$6,000	\$3,900	08/08/2017	
XBCI 2017-1(RW)	1	\$2,000	\$2,000	\$1,400	05/23/2017	Partially Terminated Violation(s): 2.
XBCP 2015-1(HMT)	1	\$15,000	\$15,000	\$12,750	02/15/2017	
XBCP 2015-2(HMT)	1	\$2,500	\$2,500	\$1,875	02/15/2017	Partially Terminated Violation(s): 2.
XBIA 2017-1(HMT)	2	\$5,000	\$5,000	\$5,000	01/23/2017	
XBLA 2016-1(RW)	1	\$2,000	\$2,000	\$2,000	07/31/2017	Partially Terminated Violation(s): 2.
XBNE 2015-1(RW)	5	\$10,000	\$4,000	\$2,750	05/16/2017	
XBNE 2015-2(RMM)	2	\$4,500	\$4,500	\$4,500	10/17/2016	Partially Terminated Violation(s): 2.
XBPE 2015-1(RW)	1	\$1,500	\$1,500	\$1,500	05/24/2017	
XBPI 2014-1(HMT)	8	\$25,000	\$25,000	\$18,000	02/15/2017	Partially Terminated Violation(s): 2.
XBPI 2015-1(HMT)	1	\$5,000	\$5,000	\$4,000	02/15/2017	
XBPI 2015-2(HMT)	1	\$5,000	\$5,000	\$3,750	02/15/2017	Partially Terminated Violation(s): 2.
XBWO 2014-1(HMT)	2	\$4,000	\$4,000	\$2,600	06/02/2017	
XBWP 2017-1(HMT)	2	\$10,000	\$10,000	\$10,000	01/18/2017	Partially Terminated Violation(s): 2.
XCBB 2016-1(HMT)	1	\$5,000	\$5,000	\$3,500	05/17/2017	
XCDL 2016-1(RW)	1	\$2,000	\$2,000	\$1,500	05/17/2017	Partially Terminated Violation(s): 2.
XCFT 2017-1(HMT)	3	\$3,000	\$3,000	\$3,000	05/01/2017	
XCHS 2016-1(HMT)	1	\$7,500	\$7,500	\$5,500	07/06/2017	Partially Terminated Violation(s): 2.
XCHS 2016-2(HMT)	2	\$10,000	\$10,000	\$8,500	07/06/2017	
XCHS 2017-1(HMT)	1	\$2,000	\$2,000	\$2,000	03/13/2017	Partially Terminated Violation(s): 2.
XCHS 2017-2(HMT)	2	\$10,000	\$10,000	\$8,500	07/06/2017	
XCOY 2017-1(HMT)	1	\$5,000	\$0	\$0	07/06/2017	Case Terminated.
XCPH 2015-1(HMT)	1	\$2,000	\$2,000	\$2,000	01/30/2017	
XCSE 2016-1(RW)	2	\$4,000	\$4,000	\$2,500	02/08/2017	Case Terminated.
XCSG 2017-1(HMT)	5	\$20,000	\$20,000	\$16,500	07/06/2017	
XCVL 2016-1(HMT)	1	\$2,000	\$2,000	\$1,600	03/15/2017	Case Terminated.
XDBS 2016-1(HSR)	2	\$2,000	\$2,000	\$1,300	04/19/2017	
XDBS 2016-2(HS)	1	\$1,000	\$1,000	\$650	04/19/2017	Case Terminated.
XDPU 2017-2(GC)	2	\$6,000	\$6,000	\$6,000	07/03/2017	
XDSA 2016-1(HMT)	1	\$10,000	\$10,000	\$7,000	05/18/2017	Case Terminated.
XEEL 2016-1(HMT)	1	\$5,000	\$5,000	\$2,800	02/07/2017	
XEID 2016-1(HMT)	1	\$2,000	\$2,000	\$1,400	12/07/2016	Case Terminated.

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XFBR 2016-1(HMT)	2	\$7,000	\$7,000	\$7,000	10/14/2016	
XFEF 2015-2(HMT)	1	\$2,000	\$2,000	\$2,000	10/14/2016	
XFEF 2016-2(HMT)	1	\$2,000	\$2,000	\$2,000	09/05/2017	
XFEF 2016-3(HMT)	1	\$2,000	\$2,000	\$2,000	09/05/2017	
XFMC 2016-3(HMT)	1	\$2,000	\$2,000	\$2,000	08/10/2017	
XFUJ 2015-1(HMT)	1	\$2,500	\$2,500	\$2,500	10/19/2016	
XGEO 2016-1(HMT)	1	\$5,000	\$5,000	\$4,400	11/22/2016	
XGON 2016-2(RW)	2	\$2,000	\$2,000	\$2,000	05/15/2017	
XGTP 2014-1(HMT)	2	\$12,500	\$12,500	\$8,750	04/20/2017	
XHOD 2016-1(HMT)	1	\$2,000	\$2,000	\$1,750	03/02/2017	
XIPH 2016-1(AR)	1	\$5,000	\$5,000	\$3,000	02/27/2017	
XJBL 2014-1(HMT)	2	\$4,000	\$4,000	\$4,000	01/18/2017	
XJJC 2015-1(RW)	1	\$5,000	\$5,000	\$2,500	11/08/2016	
XJMR 2017-1(HMT)	4	\$15,500	\$15,500	\$10,850	03/16/2017	
XJPC 2016-1(TS)	1	\$5,000	\$5,000	\$5,000	11/28/2016	
XK2P 2016-1(HMT)	1	\$10,000	\$10,000	\$5,000	10/07/2016	
XKAC 2016-1(HMT)	2	\$9,500	\$9,500	\$7,600	01/09/2017	
XLCH 2016-1(HMT)	1	\$10,000	\$10,000	\$6,000	03/30/2017	
XLHM 2016-1(GC)	1	\$2,500	\$2,500	\$1,500	01/30/2017	
XLOC 2007-1(RW)	5	\$12,000	\$0	\$0	05/04/2017	Case Terminated.
XLOV 2016-1(HMT)	1	\$5,000	\$5,000	\$2,500	11/17/2016	
XLTG 2009-1(HMT)	1	\$5,000	\$0	\$0	05/10/2017	Case Terminated.
XLTG 2015-1(HMT)	1	\$10,000	\$10,000	\$5,000	06/13/2017	
XMCQ 2017-1(HMT)	1	\$2,000	\$2,000	\$2,000	06/12/2017	
XMKW 2016-2(HMT)	1	\$10,000	\$10,000	\$6,000	11/04/2016	
XMKW 2016-3(HMT)	2	\$7,500	\$7,500	\$6,375	03/27/2017	
XMKW 2016-4(HMT)	1	\$5,000	\$5,000	\$4,250	03/10/2017	
XMKW 2017-2(HMT)	1	\$10,000	\$10,000	\$8,000	09/18/2017	
XMKW 2017-3(HMT)	1	\$5,000	\$5,000	\$3,850	09/18/2017	
XMMC 2017-1(RW)	1	\$2,000	\$2,000	\$2,000	07/10/2017	
XMMF 2017-1(HMT)	5	\$10,000	\$0	\$0	09/13/2017	Case Terminated.
XMOC 2016-1(HMT)	1	\$2,000	\$2,000	\$1,760	01/23/2017	
XMOC 2017-1(HMT)	1	\$10,000	\$10,000	\$8,000	07/12/2017	
XNCO 2013-1(HMT)	2	\$4,000	\$4,000	\$1,500	03/21/2017	
XNST 2017-1(RMM)	1	\$5,000	\$5,000	\$5,000	08/04/2017	
XOCZ 2016-1(HMT)	1	\$2,000	\$2,000	\$2,000	12/28/2016	
XOHL 2017-1(BW)	1	\$5,000	\$5,000	\$5,000	09/01/2017	
XOIC 2016-1(HMT)	1	\$5,000	\$5,000	\$3,850	03/07/2017	
XOWR 2016-1(HMT)	3	\$7,500	\$7,500	\$4,350	01/17/2017	
XPFF 2015-1(HMT)	1	\$2,000	\$2,000	\$2,000	05/31/2017	
XPMO 2015-1(HMT)	1	\$2,000	\$2,000	\$2,000	03/13/2017	
XPTH 2016-1(RW)	1	\$2,000	\$2,000	\$2,000	07/14/2017	
XRAD 2017-1(RW)	1	\$3,000	\$3,000	\$3,000	06/05/2017	
XRCC 2016-1(RW)	1	\$5,000	\$5,000	\$2,000	04/28/2017	
XRJC 2016-1(RW)	2	\$7,000	\$7,000	\$4,900	02/01/2017	
XRLE 2015-1(RW)	2	\$6,000	\$6,000	\$3,300	05/04/2017	
XRWH 2015-1(HMT)	1	\$10,000	\$5,000	\$4,000	06/26/2017	Partially Terminated Violation(s): 1.
XRWQ 2017-1(RW)	1	\$5,000	\$5,000	\$5,000	05/15/2017	
XRWT 2016-1(RW)	3	\$9,000	\$9,000	\$9,000	03/16/2017	

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XSLP 2015-1(HMT)	1	\$4,000	\$4,000	\$4,000	10/20/2016	
XSPO 2016-1(HMT)	1	\$5,000	\$5,000	\$5,000	02/08/2017	
XSSI 2016-1(HMT)	1	\$5,000	\$5,000	\$5,000	12/19/2016	
XSUG 2015-1(HMT)	1	\$2,000	\$2,000	\$2,000	10/20/2016	
XTAL 2017-1(PEQ)	1	\$1,000	\$1,000	\$1,000	06/21/2017	
XTGS 2013-1(SA)	1	\$5,000	\$5,000	\$3,900	09/26/2017	
XTGS 2013-2(ROP)	1	\$9,500	\$9,500	\$7,550	09/26/2017	
XTGS 2013-3(SA)	3	\$15,000	\$15,000	\$11,500	09/26/2017	
XTGS 2013-4(RW)	1	\$3,000	\$3,000	\$2,350	09/26/2017	
XTGS 2013-5(ROP)	2	\$15,000	\$15,000	\$11,500	09/26/2017	
XTGS 2013-6(ROR)	1	\$2,500	\$2,500	\$1,950	09/26/2017	
XTGS 2014-1(SA)	4	\$20,000	\$20,000	\$15,500	09/26/2017	
XTGS 2014-2(ROP)	1	\$9,500	\$9,500	\$7,550	09/26/2017	
XTGS 2014-3(ROP)	2	\$12,500	\$12,500	\$9,750	09/26/2017	
XTGS 2014-5(RW)	1	\$3,000	\$3,000	\$2,300	09/26/2017	
XTGS 2014-6(TS)	1	\$5,000	\$5,000	\$3,900	09/26/2017	
XTGS 2014-7(RW)	1	\$3,000	\$3,000	\$2,300	09/26/2017	
XTGS 2015-2(HS)	1	\$1,000	\$1,000	\$770	09/26/2017	
XTGS 2015-3(HSR)	2	\$2,000	\$2,000	\$1,550	09/26/2017	
XTGS 2015-4(HMT)	5	\$10,000	\$10,000	\$8,050	09/26/2017	
XTGS 2015-5(TS)	1	\$5,000	\$5,000	\$3,950	09/26/2017	
XTII 2016-1(HMT)	1	\$5,000	\$5,000	\$5,000	03/07/2017	
XVSP 2016-1(HMT)	2	\$4,000	\$4,000	\$4,000	03/03/2017	
XWCT 2016-1(HMT)	1	\$2,000	\$2,000	\$2,000	05/09/2017	
XWCT 2017-1(HMT)	1	\$2,000	\$2,000	\$2,000	05/09/2017	
XWDN 2016-1(HMT)	1	\$5,000	\$5,000	\$3,500	07/17/2017	
XWFA 2014-2(RW)	2	\$4,000	\$4,000	\$4,000	10/11/2016	
XWLF 2016-1(HMT)	1	\$10,000	\$10,000	\$7,500	05/31/2017	
XWTB 2016-1(RW)	1	\$3,000	\$3,000	\$2,250	09/12/2017	
XWTS 2017-1(HMT)	5	\$25,000	\$25,000	\$16,500	09/29/2017	
XWTS 2017-2(HMT)	1	\$5,000	\$5,000	\$3,500	09/29/2017	
XXWE 2017-1(HMT)	4	\$8,000	\$8,000	\$8,000	02/23/2017	
XYRC 2017-1(HMT)	1	\$7,500	\$7,500	\$5,000	05/30/2017	
YCR 2016-1(GC)	1	\$2,500	\$2,500	\$1,625	04/06/2017	
YRC 2016-1(GC)	1	\$1,000	\$1,000	\$850	09/28/2017	
YVRR 2015-1(ROP)	1	\$2,000	\$2,000	\$1,000	09/18/2017	
YVRR 2015-3(SA)	1	\$5,000	\$5,000	\$2,500	09/18/2017	
YVRR 2015-4(SA)	1	\$5,000	\$5,000	\$2,500	09/18/2017	
ZAAO 2016-1(HMT)	1	\$2,000	\$2,000	\$2,000	08/10/2017	
ZAAO 2017-1(HMT)	1	\$2,000	\$2,000	\$2,000	03/16/2017	
ZABE 2017-1(HMT)	5	\$25,000	\$25,000	\$25,000	06/22/2017	
ZABEQ 2016-2(HMT)	1	\$10,000	\$10,000	\$7,500	08/30/2017	
ZABS 2016-2(HMT)	1	\$2,000	\$2,000	\$1,300	12/07/2016	
ZACE 2016-1(HMT)	2	\$6,000	\$6,000	\$6,000	11/08/2016	
ZACH 2016-1(HMT)	1	\$10,000	\$10,000	\$7,200	10/25/2016	
ZACH 2016-2(HMT)	1	\$2,000	\$2,000	\$2,000	11/29/2016	
ZACR 2015-3(HMT)	1	\$5,000	\$5,000	\$3,400	12/06/2016	
ZACR 2016-1(HMT)	1	\$5,000	\$5,000	\$3,200	12/06/2016	
ZACR 2016-2(HMT)	1	\$5,000	\$5,000	\$3,200	12/06/2016	

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ZACR 2016-3(HMT)	1	\$10,000	\$0	\$0	12/06/2016	Case Terminated.
ZACR 2016-4(HMT)	1	\$1,000	\$1,000	\$500	12/06/2016	
ZACR 2017-1(HMT)	1	\$7,500	\$7,500	\$5,000	06/01/2017	
ZADL 2016-1(HMT)	8	\$20,000	\$20,000	\$13,000	03/15/2017	
ZADN 2017-1(HMT)	1	\$5,000	\$5,000	\$3,800	06/22/2017	
ZADQ 2016-1(HMT)	1	\$5,000	\$5,000	\$3,500	10/11/2016	
ZADR 2016-1(HMT)	1	\$5,000	\$5,000	\$3,600	12/06/2016	
ZADR 2017-1(HMT)	3	\$6,000	\$6,000	\$4,500	06/01/2017	
ZADR 2017-2(HMT)	2	\$4,000	\$4,000	\$3,000	06/01/2017	
ZAEO 2017-1(HMT)	2	\$7,000	\$7,000	\$7,000	07/20/2017	
ZAER 2017-1(HMT)	1	\$2,000	\$2,000	\$2,000	05/02/2017	
ZAFU 2016-1(HMT)	1	\$5,000	\$5,000	\$3,500	06/20/2017	
ZAGT 2017-1(HMT)	1	\$2,500	\$2,500	\$2,500	09/25/2017	
ZAGT 2017-2(HMT)	8	\$16,000	\$16,000	\$16,000	09/27/2017	
ZAGT 2017-3(HMT)	2	\$7,000	\$7,000	\$7,000	09/18/2017	
ZAGT 2017-4(HMT)	1	\$5,000	\$5,000	\$5,000	09/27/2017	
ZAIL 2016-2(HMT)	1	\$10,000	\$10,000	\$10,000	01/10/2017	
ZAIO 2015-1(HMT)	1	\$2,000	\$2,000	\$2,000	01/31/2017	
ZAKN 2017-1(HMT)	1	\$10,000	\$10,000	\$6,900	07/17/2017	
ZAKP 2016-1(HMT)	1	\$5,000	\$5,000	\$5,000	12/22/2016	
ZAKT 2016-1(HMT)	1	\$7,500	\$7,500	\$3,750	08/04/2017	
ZALC 2017-1(HMT)	6	\$12,000	\$12,000	\$7,680	04/04/2017	
ZALM 2016-1(HMT)	6	\$12,000	\$12,000	\$7,750	09/14/2017	
ZALN 2016-2(HMT)	1	\$10,000	\$10,000	\$10,000	01/04/2017	
ZALN 2017-1(HMT)	1	\$10,000	\$10,000	\$10,000	08/10/2017	
ZALQ 2016-3(HMT)	1	\$10,000	\$10,000	\$10,000	02/14/2017	
ZAMC 2015-4(HMT)	1	\$5,000	\$5,000	\$3,600	12/06/2016	
ZAMC 2015-5(HMT)	3	\$15,000	\$15,000	\$10,950	12/06/2016	
ZAMC 2015-6(HMT)	1	\$10,000	\$10,000	\$7,900	12/06/2016	
ZAMC 2015-7(HMT)	1	\$2,000	\$2,000	\$1,500	12/06/2016	
ZAMC 2016-1(HMT)	1	\$5,000	\$5,000	\$5,000	12/06/2016	
ZAMC 2017-1(HMT)	1	\$2,000	\$2,000	\$1,500	06/01/2017	
ZAMC 2017-2(HMT)	1	\$10,000	\$10,000	\$7,200	06/01/2017	
ZAMC 2017-3(HMT)	1	\$2,000	\$2,000	\$1,200	07/20/2017	
ZAMU 2017-1(HMT)	1	\$4,000	\$4,000	\$4,000	09/27/2017	
ZANM 2017-1(HMT)	2	\$4,000	\$4,000	\$2,720	04/04/2017	
ZAO 2017-1(HMT)	1	\$10,000	\$10,000	\$7,400	09/05/2017	
ZAOW 2017-1(HMT)	1	\$2,000	\$2,000	\$2,000	03/22/2017	
ZAPG 2017-1(HMT)	1	\$2,000	\$2,000	\$1,400	06/15/2017	
ZAPM 2016-2(HMT)	1	\$2,000	\$2,000	\$2,000	10/20/2016	
ZAPM 2017-1(HMT)	1	\$2,000	\$2,000	\$2,000	08/15/2017	
ZARG 2017-1(HMT)	1	\$5,000	\$5,000	\$5,000	07/31/2017	
ZARGR 2017-1(HMT)	1	\$10,000	\$10,000	\$7,500	08/03/2017	
ZARJ 2017-1(HMT)	1	\$5,000	\$5,000	\$3,650	08/01/2017	
ZARK 2016-2(HMT)	1	\$10,000	\$10,000	\$7,200	03/28/2017	
ZARK 2016-3(HMT)	1	\$10,000	\$10,000	\$7,500	03/28/2017	
ZASR 2017-1(HMT)	1	\$2,000	\$2,000	\$2,000	04/25/2017	
ZASR 2017-2(HMT)	1	\$5,000	\$5,000	\$3,600	08/22/2017	
ZAUL 2017-1(HMT)	1	\$10,000	\$10,000	\$7,000	08/22/2017	

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ZAUX 2017-1(HMT)	1	\$10,000	\$10,000	\$7,600	05/23/2017	
ZAUX 2017-2(HMT)	1	\$10,000	\$0	\$0	09/25/2017	Case Terminated.
ZAVX 2017-1(HMT)	1	\$10,000	\$10,000	\$7,800	07/20/2017	
ZAWO 2016-1(HMT)	1	\$2,500	\$2,500	\$2,500	08/09/2017	
ZAXI 2016-5(HMT)	1	\$5,000	\$5,000	\$3,500	01/10/2017	
ZAZT 2017-1(HMT)	2	\$3,500	\$3,500	\$3,500	07/13/2017	
ZBADG 2015-1(HMT)	1	\$10,000	\$10,000	\$10,000	02/03/2017	
ZBADG 2017-1(HMT)	1	\$5,000	\$5,000	\$5,000	01/30/2017	
ZBAH 2016-1(HMT)	1	\$2,000	\$2,000	\$2,000	06/08/2017	
ZBAS 2016-2(HMT)	1	\$10,000	\$5,000	\$5,000	09/25/2017	Partially Terminated Violation(s): 1.
ZBAS 2016-4(HMT)	1	\$10,000	\$10,000	\$10,000	02/23/2017	
ZBAS 2016-5(HMT)	2	\$12,500	\$12,500	\$12,500	01/11/2017	
ZBAS 2016-6(HMT)	1	\$10,000	\$10,000	\$10,000	01/11/2017	
ZBAS 2017-1(HMT)	4	\$20,000	\$20,000	\$20,000	06/06/2017	
ZBAS 2017-2(HMT)	1	\$5,000	\$5,000	\$5,000	05/07/2017	
ZBCU 2017-1(HMT)	1	\$2,000	\$2,000	\$1,800	06/14/2017	
ZBEA 2015-1(HMT)	1	\$5,000	\$5,000	\$4,000	06/16/2017	
ZBEO 2014-3(HMT)	2	\$10,000	\$10,000	\$9,000	05/19/2017	
ZBEP 2014-2(HMT)	1	\$10,000	\$10,000	\$10,000	05/08/2017	
ZBEP 2016-1(HMT)	1	\$2,000	\$2,000	\$2,000	05/08/2017	
ZBEX 2016-1(HMT)	2	\$4,000	\$4,000	\$4,000	12/19/2016	
ZBEX 2016-2(HMT)	1	\$2,000	\$2,000	\$2,000	12/19/2016	
ZBEX 2017-1(HMT)	2	\$4,000	\$4,000	\$4,000	03/10/2017	
ZBFM 2016-1(HMT)	1	\$2,000	\$2,000	\$2,000	04/06/2017	
ZBFR 2016-1(HMT)	2	\$4,000	\$4,000	\$4,000	10/24/2016	
ZBGL 2015-1(HMT)	4	\$20,000	\$14,000	\$8,000	06/23/2017	Partially Terminated Violation(s): 1.
ZBGL 2015-2(HMT)	1	\$5,000	\$2,000	\$1,500	05/05/2017	Partially Terminated Violation(s): 1.
ZBGL 2015-3(HMT)	3	\$22,500	\$22,500	\$9,000	06/23/2017	
ZBGR 2016-1(HMT)	1	\$7,500	\$7,500	\$7,500	05/10/2017	
ZBHS 2016-1(HMT)	1	\$2,000	\$2,000	\$1,600	06/28/2017	
ZBKA 2017-1(HMT)	3	\$15,000	\$15,000	\$12,750	06/02/2017	
ZBKL 2016-1(HMT)	1	\$5,000	\$5,000	\$5,000	04/06/2017	
ZBKO 2016-1(HMT)	1	\$10,000	\$10,000	\$8,750	05/26/2017	
ZBKO 2016-2(HMT)	1	\$5,000	\$5,000	\$4,000	05/26/2017	
ZBKT 2017-1(HMT)	2	\$4,000	\$4,000	\$4,000	05/05/2017	
ZBLK 2016-1(HMT)	1	\$10,000	\$10,000	\$9,000	06/14/2017	
ZBMA 2014-1(HMT)	1	\$10,000	\$10,000	\$8,250	06/01/2017	
ZBMA 2014-2(HMT)	1	\$5,000	\$5,000	\$4,000	06/01/2017	
ZBMA 2015-1(HMT)	1	\$10,000	\$10,000	\$9,000	06/01/2017	
ZBMA 2015-2(HMT)	1	\$10,000	\$10,000	\$9,000	06/01/2017	
ZBMA 2015-3(HMT)	1	\$10,000	\$10,000	\$9,000	06/01/2017	
ZBMI 2016-1(HMT)	1	\$7,500	\$7,500	\$7,500	07/18/2017	
ZBMI 2017-1(HMT)	1	\$5,000	\$5,000	\$5,000	03/08/2017	
ZBMI 2017-2(HMT)	2	\$10,000	\$10,000	\$10,000	07/13/2017	
ZBMR 2011-1(HMT)	2	\$8,000	\$0	\$0	05/16/2017	Case Terminated.
ZBNO 2017-1(HMT)	1	\$5,000	\$5,000	\$5,000	09/13/2017	
ZBOO 2013-1(HMT)	2	\$19,000	\$0	\$0	05/16/2017	Case Terminated.

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ZBOS 2016-1(HMT)	1	\$10,000	\$10,000	\$10,000	10/24/2016	
ZBPA 2015-1(HMT)	2	\$10,000	\$10,000	\$7,500	02/15/2017	
ZBPA 2016-1(HMT)	5	\$10,000	\$10,000	\$10,000	02/23/2017	
ZBPH 2016-1(HMT)	1	\$2,500	\$2,500	\$1,625	02/07/2017	
ZBPH 2017-1(HMT)	1	\$4,000	\$4,000	\$3,000	02/07/2017	
ZBPH 2017-2(HMT)	1	\$2,000	\$2,000	\$1,500	04/25/2017	
ZBPR 2014-1(HMT)	2	\$10,000	\$10,000	\$7,500	02/15/2017	
ZBPR 2015-1(HMT)	1	\$10,000	\$10,000	\$7,500	02/15/2017	
ZBRM 2016-1(HMT)	1	\$5,000	\$5,000	\$5,000	05/11/2017	
ZBRM 2016-2(HMT)	1	\$5,000	\$5,000	\$5,000	04/06/2017	
ZBRM 2016-3(HMT)	4	\$21,500	\$21,500	\$21,500	04/06/2017	
ZBRM 2016-4(HMT)	1	\$5,000	\$5,000	\$5,000	02/16/2017	
ZBRP 2016-1(HMT)	1	\$4,000	\$4,000	\$3,500	03/30/2017	
ZBRP 2016-2(HMT)	1	\$5,000	\$5,000	\$4,000	03/30/2017	
ZBRP 2017-1(HMT)	1	\$2,000	\$2,000	\$2,000	08/19/2017	
ZBRT 2017-1(HMT)	1	\$2,000	\$2,000	\$2,000	05/13/2017	
ZBSG 2016-1(HMT)	1	\$5,000	\$5,000	\$5,000	10/28/2016	
ZBSN 2015-3(HMT)	1	\$5,000	\$5,000	\$4,500	02/13/2017	
ZBSW 2016-1(HMT)	1	\$5,000	\$5,000	\$4,500	04/03/2017	
ZBSW 2017-1(HMT)	2	\$4,000	\$4,000	\$4,000	09/27/2017	
ZBTC 2015-1(HMT)	1	\$5,000	\$5,000	\$4,250	05/05/2017	
ZBTCL 2016-1(HMT)	1	\$2,000	\$2,000	\$2,000	06/07/2017	
ZBYC 2016-1(HMT)	2	\$4,000	\$4,000	\$4,000	04/27/2017	
ZBYT 2015-1(HMT)	1	\$2,000	\$2,000	\$1,250	06/06/2017	
ZCAO 2017-1(HMT)	1	\$2,000	\$2,000	\$2,000	07/06/2017	
ZCAO 2017-2(HMT)	2	\$4,000	\$4,000	\$4,000	09/28/2017	
ZCCF 2016-1(HMT)	1	\$5,000	\$5,000	\$4,500	03/13/2017	
ZCCM 2016-1(HMT)	1	\$7,500	\$7,500	\$6,000	02/13/2017	
ZCCM 2017-1(HMT)	1	\$2,000	\$2,000	\$2,000	09/20/2017	
ZCDL 2016-1(HMT)	1	\$5,000	\$5,000	\$5,000	01/25/2017	
ZCDS 2017-1(HMT)	2	\$9,000	\$9,000	\$7,000	01/24/2017	
ZCEE 2016-1(HMT)	1	\$5,000	\$5,000	\$5,000	02/13/2017	
ZCEE 2017-1(HMT)	1	\$10,000	\$10,000	\$7,500	05/15/2017	
ZCEF 2016-1(HMT)	1	\$10,000	\$10,000	\$7,500	03/13/2017	
ZCEJ 2011-1(HMT)	1	\$5,000	\$5,000	\$3,350	05/15/2017	
ZCELA 2016-1(HMT)	1	\$5,000	\$5,000	\$5,000	01/30/2017	
ZCELA 2016-2(HMT)	1	\$10,000	\$10,000	\$10,000	01/30/2017	
ZCELA 2017-1(HMT)	1	\$10,000	\$10,000	\$10,000	05/15/2017	
ZCELA 2017-2(HMT)	1	\$5,000	\$5,000	\$5,000	09/22/2017	
ZCFC 2016-1(HMT)	1	\$5,000	\$5,000	\$4,000	01/25/2017	
ZCFC 2016-2(HMT)	2	\$7,000	\$7,000	\$5,750	05/15/2017	
ZCFC 2016-3(HMT)	2	\$9,500	\$9,500	\$7,600	05/15/2017	
ZCFC 2017-1(HMT)	1	\$2,000	\$2,000	\$1,700	05/15/2017	
ZCFRQ 2016-1(HMT)	1	\$2,000	\$2,000	\$2,000	02/15/2017	
ZCHEV 2016-2(HMT)	6	\$15,000	\$15,000	\$12,000	11/14/2016	
ZCHEV 2017-1(HMT)	1	\$2,000	\$2,000	\$2,000	03/15/2017	
ZCHEV 2017-2(HMT)	1	\$5,000	\$5,000	\$5,000	09/20/2017	
ZCJZ 2015-1(HMT)	3	\$6,000	\$6,000	\$4,800	03/15/2017	
ZCLY 2017-1(HMT)	1	\$2,000	\$2,000	\$2,000	03/15/2017	

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ZCLY 2017-2(HMT)	1	\$2,000	\$2,000	\$2,000	03/15/2017	
ZCM2 2016-1(HMT)	1	\$5,000	\$5,000	\$4,000	03/15/2017	
ZCMA 2010-1(HMT)	1	\$4,000	\$0	\$0	06/08/2017	Case Terminated.
ZCMA 2013-1(HMT)	1	\$4,000	\$4,000	\$4,000	06/08/2017	
ZCMA 2013-2(HMT)	1	\$7,500	\$0	\$0	06/08/2017	Case Terminated.
ZCMA 2014-1(HMT)	2	\$9,000	\$0	\$0	06/16/2017	Case Terminated.
ZCMA 2015-2(HMT)	1	\$4,000	\$0	\$0	06/08/2017	Case Terminated.
ZCMA 2016-1(HMT)	3	\$12,000	\$0	\$0	06/08/2017	Case Terminated.
ZCMM 2016-1(HMT)	1	\$2,000	\$2,000	\$2,000	02/14/2017	
ZCMP 2016-1(HMT)	1	\$5,000	\$5,000	\$4,000	03/15/2017	
ZCNC 2017-1(HMT)	1	\$5,000	\$5,000	\$5,000	09/20/2017	
ZCO2 2015-1(HMT)	1	\$2,000	\$2,000	\$1,600	03/13/2017	
ZCODG 2016-1(HMT)	2	\$4,000	\$4,000	\$3,500	02/06/2017	
ZCOH 2016-1(HMT)	1	\$5,000	\$5,000	\$3,500	02/01/2017	
ZCOLA 2016-1(HMT)	1	\$2,000	\$2,000	\$2,000	01/30/2017	
ZCOO 2016-1(HMT)	1	\$5,000	\$0	\$0	03/15/2017	Case Terminated.
ZCOV 2016-1(HMT)	1	\$5,000	\$5,000	\$3,500	03/10/2017	
ZCPCL 2016-1(HMT)	4	\$20,000	\$20,000	\$16,000	03/13/2017	
ZCQU 2016-1(HMT)	1	\$4,000	\$4,000	\$2,000	05/22/2017	
ZCRQ 2016-1(HMT)	1	\$5,000	\$5,000	\$3,500	05/22/2017	
ZCRS 2015-1(HMT)	1	\$5,000	\$5,000	\$4,000	09/18/2017	
ZCRS 2016-1(HMT)	1	\$5,000	\$5,000	\$4,500	09/08/2017	
ZCRY 2016-2(HMT)	1	\$10,000	\$10,000	\$7,500	02/10/2017	
ZCSK 2016-1(HMT)	1	\$10,000	\$10,000	\$8,000	06/07/2017	
ZCSM 2016-3(HMT)	1	\$10,000	\$10,000	\$8,000	03/13/2017	
ZCSM 2016-4(HMT)	1	\$4,000	\$4,000	\$3,000	02/01/2017	
ZCSX 2017-1(SA)	1	\$5,000	\$5,000	\$3,950	09/28/2017	
ZCT 2016-1(HMT)	1	\$5,000	\$5,000	\$4,000	06/07/2017	
ZCUI 2016-1(HMT)	1	\$2,000	\$0	\$0	12/21/2016	Case Terminated.
ZCVO 2016-1(HMT)	1	\$2,500	\$2,500	\$2,000	12/07/2016	
ZCYE 2016-1(HMT)	1	\$10,000	\$10,000	\$7,750	02/15/2017	
ZDAA 2017-1(HMT)	1	\$15,000	\$15,000	\$15,000	05/26/2017	
ZDAK 2017-1(HMT)	4	\$13,500	\$13,500	\$10,800	06/14/2017	
ZDAK 2017-2(HMT)	1	\$5,000	\$5,000	\$4,000	06/14/2017	
ZDBW 2016-1(HMT)	1	\$10,000	\$10,000	\$10,000	04/30/2017	
ZDCG 2017-1(HMT)	1	\$5,000	\$5,000	\$3,750	07/11/2017	
ZDCU 2016-1(HMT)	1	\$10,000	\$10,000	\$9,000	04/27/2017	
ZDCU 2016-2(HMT)	1	\$2,000	\$0	\$0	03/15/2017	Case Terminated.
ZDCU 2016-3(HMT)	1	\$5,000	\$5,000	\$4,000	04/26/2017	
ZDCU 2016-4(HMT)	1	\$7,500	\$7,500	\$6,000	04/26/2017	
ZDCU 2017-1(HMT)	8	\$18,000	\$18,000	\$14,400	09/07/2017	
ZDCU 2017-2(HMT)	1	\$5,000	\$5,000	\$4,500	09/07/2017	
ZDCU 2017-3(HMT)	1	\$10,000	\$10,000	\$9,000	09/07/2017	
ZDCU 2017-4(HMT)	1	\$5,000	\$5,000	\$4,000	09/07/2017	
ZDCUC 2016-1(HMT)	1	\$5,000	\$5,000	\$4,000	04/26/2017	
ZDCZ 2016-1(HMT)	1	\$1,500	\$1,500	\$1,500	03/28/2017	
ZDCZ 2017-1(HMT)	1	\$3,750	\$3,750	\$3,750	03/28/2017	
ZDCZ 2017-2(HMT)	1	\$5,000	\$5,000	\$5,000	07/10/2017	
ZDDE 2015-1(HMT)	2	\$4,000	\$4,000	\$3,000	05/22/2017	

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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>
ZDDT 2016-1(HMT)	1	\$8,000	\$8,000	\$8,000	03/06/2017	
ZDF 2015-1(HMT)	4	\$25,000	\$25,000	\$18,000	05/12/2017	
ZDIQ 2016-1(HMT)	6	\$15,000	\$15,000	\$12,500	01/31/2017	
ZDIT 2016-1(HMT)	1	\$5,000	\$5,000	\$2,000	05/25/2017	
ZDKE 2016-1(HMT)	1	\$5,000	\$5,000	\$2,750	05/17/2017	
ZDNA 2017-1(HMT)	3	\$15,000	\$6,000	\$6,000	07/12/2017	Partially Terminated Violation(s): 1.
ZDPCI 2016-1(HMT)	1	\$2,000	\$2,000	\$2,000	03/08/2017	
ZDPT 2016-1(HMT)	1	\$5,000	\$5,000	\$5,000	01/12/2017	
ZDSQ 2016-1(HMT)	2	\$4,000	\$4,000	\$3,000	05/04/2017	
ZDTR 2017-1(HMT)	2	\$8,000	\$8,000	\$8,000	05/22/2017	
ZDUB 2017-1(HMT)	1	\$2,000	\$2,000	\$2,000	09/08/2017	
ZDUP 2015-1(HMT)	1	\$10,000	\$10,000	\$8,000	05/12/2017	
ZDUP 2015-2(HMT)	1	\$4,000	\$4,000	\$3,200	05/12/2017	
ZDUP 2015-4(HMT)	1	\$7,500	\$7,500	\$6,000	05/12/2017	
ZDUP 2015-6(HMT)	2	\$2,000	\$2,000	\$1,500	05/04/2017	
ZDUP 2015-7(HMT)	4	\$4,000	\$4,000	\$3,000	05/04/2017	
ZDUP 2017-1(HMT)	1	\$10,000	\$10,000	\$7,500	08/07/2017	
ZDUP 2017-2(HMT)	1	\$2,000	\$2,000	\$1,500	08/07/2017	
ZDYI 2017-1(HMT)	1	\$5,000	\$5,000	\$5,000	05/26/2017	
ZDYI 2017-2(HMT)	5	\$11,000	\$11,000	\$11,000	09/27/2017	
ZEACH 2016-2(HMT)	1	\$5,000	\$2,000	\$1,300	11/01/2016	Partially Terminated Violation(s): 1.
ZEACH 2016-5(HMT)	1	\$5,000	\$5,000	\$3,650	11/02/2016	
ZEACH 2016-6(HMT)	1	\$15,000	\$15,000	\$13,700	01/27/2017	
ZEACH 2016-7(HMT)	1	\$10,000	\$10,000	\$7,700	01/26/2017	
ZEACH 2017-1(HMT)	1	\$5,000	\$5,000	\$3,000	07/11/2017	
ZECD 2016-2(HMT)	1	\$2,000	\$2,000	\$2,000	12/07/2016	
ZEEM 2017-1(HMT)	1	\$2,000	\$2,000	\$2,000	05/22/2017	
ZEGL 2016-1(HMT)	1	\$10,000	\$10,000	\$6,350	09/12/2017	
ZEGL 2017-1(HMT)	1	\$5,000	\$5,000	\$2,500	09/12/2017	
ZEGL 2017-2(HMT)	1	\$10,000	\$10,000	\$6,350	09/12/2017	
ZEGL 2017-3(HMT)	2	\$10,000	\$10,000	\$5,000	09/12/2017	
ZEID 2017-1(HMT)	4	\$8,000	\$8,000	\$5,600	08/01/2017	
ZEKO 2017-1(HMT)	3	\$7,000	\$7,000	\$5,040	06/08/2017	
ZELEM 2016-1(HMT)	1	\$5,000	\$5,000	\$3,500	11/01/2016	
ZEMCC 2016-1(HMT)	1	\$2,000	\$2,000	\$1,360	11/02/2016	
ZEMD 2017-1(HMT)	1	\$2,000	\$2,000	\$2,000	06/22/2017	
ZENE 2016-1(HMT)	1	\$10,000	\$10,000	\$7,000	10/04/2016	
ZEOB 2017-1(HMT)	1	\$2,000	\$2,000	\$1,400	07/17/2017	
ZEOB 2017-2(HMT)	1	\$7,500	\$7,500	\$5,475	08/29/2017	
ZEOB 2017-3(HMT)	3	\$6,500	\$6,500	\$4,600	09/14/2017	
ZEOR 2016-1(HMT)	4	\$8,000	\$8,000	\$5,200	12/07/2016	
ZEPC 2016-2(HMT)	4	\$10,000	\$10,000	\$10,000	11/07/2016	
ZEQU 2016-1(HMT)	1	\$5,000	\$5,000	\$3,750	01/18/2017	
ZEQU 2016-2(HMT)	1	\$5,000	\$5,000	\$3,250	01/18/2017	
ZERS 2017-1(HMT)	2	\$4,000	\$4,000	\$2,600	08/22/2017	
ZESR 2016-1(HMT)	1	\$5,000	\$5,000	\$2,500	12/07/2016	
ZESR 2017-1(HMT)	1	\$5,000	\$5,000	\$3,400	08/09/2017	
ZETN 2016-1(HMT)	1	\$5,000	\$5,000	\$3,750	03/13/2017	

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ZEVC 2016-1(HMT)	1	\$1,000	\$1,000	\$1,000	01/17/2017	
ZEVD 2016-2(HMT)	1	\$7,500	\$7,500	\$7,500	12/06/2016	
ZEXM 2016-1(HMT)	1	\$5,000	\$5,000	\$2,500	11/23/2016	
ZEXM 2017-1(HMT)	1	\$10,000	\$10,000	\$10,000	02/14/2017	
ZEXM 2017-2(HMT)	1	\$2,000	\$2,000	\$1,500	09/14/2017	
ZFAZ 2016-1(HMT)	2	\$6,000	\$6,000	\$6,000	11/22/2016	
ZFCC 2016-1(HMT)	1	\$10,000	\$10,000	\$8,400	10/31/2016	
ZFHR 2012-1(HMT)	2	\$10,000	\$10,000	\$10,000	10/14/2016	
ZFHR 2016-1(HMT)	1	\$5,000	\$5,000	\$5,000	01/27/2017	
ZFHR 2016-2(HMT)	1	\$5,000	\$5,000	\$5,000	10/19/2016	
ZFHR 2017-1(HMT)	1	\$5,000	\$5,000	\$5,000	08/25/2017	
ZFLZ 2016-1(HMT)	1	\$10,000	\$10,000	\$10,000	08/09/2017	
ZFMC 2016-1(HMT)	2	\$6,000	\$6,000	\$6,000	11/10/2016	
ZFPC 2012-1(HMT)	4	\$13,000	\$13,000	\$6,500	11/10/2016	
ZFPC 2012-2(HMT)	1	\$5,000	\$5,000	\$2,500	11/10/2016	
ZFPC 2013-1(HMT)	2	\$10,000	\$10,000	\$5,000	11/10/2016	
ZFPC 2016-1(HMT)	1	\$5,000	\$5,000	\$3,250	11/10/2016	
ZFPC 2016-2(HMT)	1	\$12,000	\$12,000	\$10,800	08/09/2017	
ZGCL 2015-1(HMT)	1	\$5,000	\$5,000	\$3,700	04/28/2017	
ZGCL 2015-2(HMT)	1	\$5,000	\$5,000	\$3,700	04/28/2017	
ZGEO 2015-1(HMT)	1	\$5,000	\$5,000	\$3,500	04/11/2017	
ZGEP A 2015-1(HMT)	1	\$5,000	\$0	\$0	04/27/2017	Case Terminated.
ZGEP A 2015-2(HMT)	1	\$5,000	\$5,000	\$5,000	02/07/2017	
ZGEP A 2016-1(HMT)	1	\$5,000	\$5,000	\$3,000	02/07/2017	
ZGEP A 2016-2(HMT)	1	\$5,000	\$5,000	\$4,000	02/07/2017	
ZGEU 2015-1(HMT)	1	\$5,000	\$5,000	\$5,000	02/07/2017	
ZGEU 2016-1(HMT)	1	\$5,000	\$5,000	\$4,000	04/11/2017	
ZGFE 2017-1(HMT)	1	\$5,000	\$5,000	\$5,000	03/23/2017	
ZGGE 2016-1(HMT)	2	\$10,000	\$10,000	\$10,000	02/07/2017	
ZGIL 2016-1(HMT)	3	\$8,500	\$8,500	\$8,500	02/07/2017	
ZGIL 2017-1(HMT)	1	\$5,000	\$5,000	\$5,000	05/26/2017	
ZGLE 2016-1(HMT)	9	\$45,000	\$45,000	\$36,000	03/23/2017	
ZGPE 2015-2(HMT)	1	\$5,000	\$5,000	\$5,000	02/07/2017	
ZGPE 2015-3(HMT)	1	\$5,000	\$5,000	\$4,000	05/17/2017	
ZGPF 2015-2(HMT)	1	\$10,000	\$10,000	\$7,700	02/07/2017	
ZGPJ 2015-1(HMT)	1	\$10,000	\$10,000	\$8,000	03/23/2017	
ZGPJ 2016-1(HMT)	1	\$5,000	\$5,000	\$5,000	02/09/2017	
ZGRE 2016-1(HMT)	1	\$5,000	\$5,000	\$5,000	02/07/2017	
ZGRE 2016-2(HMT)	1	\$5,000	\$5,000	\$5,000	02/09/2017	
ZGSD 2015-1(HMT)	1	\$999	\$999	\$999	02/07/2017	
ZGSR 2016-1(HMT)	4	\$20,000	\$20,000	\$15,000	02/06/2017	
ZGSZ 2016-1(HMT)	4	\$20,000	\$20,000	\$20,000	04/07/2017	
ZGSZ 2016-3(HMT)	1	\$999	\$999	\$999	02/07/2017	
ZGSZ 2016-4(HMT)	1	\$5,000	\$5,000	\$5,000	02/09/2017	
ZGSZ 2016-5(HMT)	1	\$10,000	\$10,000	\$10,000	05/19/2017	
ZGSZ 2017-3(HMT)	1	\$5,000	\$5,000	\$5,000	05/15/2017	
ZGTR 2015-1(HMT)	1	\$10,000	\$10,000	\$8,000	05/18/2017	
ZGUE 2015-3(HMT)	1	\$5,000	\$5,000	\$4,000	04/10/2017	
ZHAP 2017-1(HMT)	1	\$2,000	\$2,000	\$1,825	04/26/2017	

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ZHCG 2017-1(HMT)	1	\$5,000	\$5,000	\$5,000	05/03/2017	
ZHCG 2017-2(HMT)	1	\$5,000	\$5,000	\$5,000	06/13/2017	
ZHCG 2017-3(HMT)	1	\$5,000	\$5,000	\$5,000	07/26/2017	
ZHCM 2017-1(HMT)	1	\$5,000	\$5,000	\$4,000	07/12/2017	
ZHCP 2016-3(HMT)	1	\$5,000	\$5,000	\$4,650	11/08/2016	
ZHCP 2017-1(HMT)	1	\$10,000	\$10,000	\$9,000	07/07/2017	
ZHCQ 2016-2(HMT)	1	\$2,000	\$2,000	\$1,800	11/17/2016	
ZHCQ 2017-1(HMT)	1	\$7,500	\$7,500	\$6,750	07/19/2017	
ZHEI 2016-1(HMT)	1	\$10,000	\$10,000	\$7,500	11/23/2016	
ZHEI 2016-2(HMT)	1	\$7,500	\$7,500	\$6,000	01/04/2017	
ZHET 2016-1(HMT)	2	\$20,000	\$20,000	\$15,000	03/13/2017	
ZHFR 2016-3(HMT)	2	\$10,000	\$10,000	\$10,000	01/06/2017	
ZHFR 2016-4(HMT)	2	\$10,000	\$10,000	\$10,000	01/12/2017	
ZHFR 2017-1(HMT)	4	\$25,000	\$25,000	\$25,000	08/25/2017	
ZHGN 2017-1(HMT)	2	\$4,000	\$4,000	\$4,000	09/18/2017	
ZHGQ 2016-1(HMT)	1	\$5,000	\$5,000	\$5,000	11/21/2016	
ZHGQ 2016-2(HMT)	1	\$2,000	\$2,000	\$2,000	01/09/2017	
ZHIC 2016-1(HMT)	10	\$40,000	\$8,000	\$6,000	04/12/2017	Partially Terminated Violation(s): 1.
ZHILL 2016-1(HMT)	1	\$2,000	\$2,000	\$1,650	10/24/2016	
ZHILL 2016-2(HMT)	1	\$2,000	\$2,000	\$1,650	03/02/2017	
ZHKR 2016-2(HMT)	2	\$10,000	\$10,000	\$8,900	11/17/2016	
ZHKR 2017-1(HMT)	1	\$5,000	\$5,000	\$4,250	02/09/2017	
ZHKR 2017-2(HMT)	1	\$5,000	\$5,000	\$4,250	03/07/2017	
ZHLA 2016-1(HMT)	1	\$2,500	\$0	\$0	01/24/2017	Case Terminated.
ZHLR 2016-1(HMT)	1	\$2,500	\$2,500	\$2,500	12/09/2016	
ZHMO 2016-1(HMT)	1	\$2,000	\$2,000	\$1,700	01/13/2017	
ZHNI 2011-2(HMT)	2	\$4,000	\$0	\$0	10/31/2016	Case Terminated.
ZHNI 2017-1(HMT)	1	\$2,000	\$2,000	\$2,000	06/20/2017	
ZHNI 2017-2(HMT)	1	\$5,000	\$5,000	\$4,250	07/20/2017	
ZHNI 2017-3(HMT)	1	\$5,000	\$5,000	\$5,000	07/14/2017	
ZHOY 2017-1(HMT)	1	\$10,000	\$10,000	\$8,300	06/20/2017	
ZHPR 2017-1(HMT)	1	\$7,500	\$7,500	\$7,500	07/26/2017	
ZHRI 2017-1(HMT)	2	\$5,000	\$5,000	\$5,000	05/05/2017	
ZHRM 2017-1(HMT)	8	\$16,000	\$16,000	\$14,400	02/09/2017	
ZHRS 2017-1(HMT)	1	\$5,000	\$5,000	\$4,300	05/23/2017	
ZHSA 2017-1(HMT)	1	\$5,000	\$5,000	\$4,000	05/23/2017	
ZHSL 2016-1(HMT)	3	\$6,000	\$6,000	\$6,000	11/22/2016	
ZHTE 2016-1(HMT)	2	\$19,000	\$19,000	\$18,000	12/29/2016	
ZHWK 2016-2(HMT)	1	\$4,000	\$4,000	\$4,000	11/18/2016	
ZHYC 2017-1(HMT)	1	\$5,000	\$5,000	\$5,000	01/30/2017	
ZHYR 2017-1(HMT)	1	\$5,000	\$5,000	\$2,750	07/18/2017	
ZIBO 2016-1(HMT)	3	\$15,000	\$15,000	\$12,750	02/10/2017	
ZIBO 2017-1(HMT)	1	\$5,000	\$5,000	\$5,000	05/19/2017	
ZIBO 2017-2(HMT)	1	\$2,000	\$2,000	\$1,350	09/26/2017	
ZICS 2017-1(HMT)	2	\$9,500	\$9,500	\$9,500	05/02/2017	
ZIMO 2017-1(HMT)	1	\$5,000	\$5,000	\$5,000	03/20/2017	
ZIMT 2016-1(HMT)	1	\$5,000	\$5,000	\$4,000	03/02/2017	
ZIMT 2016-2(HMT)	1	\$5,000	\$5,000	\$3,800	03/12/2017	
ZIMTB 2016-2(HMT)	1	\$2,000	\$2,000	\$2,000	01/26/2017	

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ZIMTB 2017-1(HMT)	1	\$2,000	\$2,000	\$2,000	03/27/2017	
ZINN 2017-1(HMT)	3	\$7,500	\$7,500	\$4,750	08/03/2017	
ZINTT 2015-1(HMT)	1	\$10,000	\$10,000	\$8,250	03/12/2017	
ZINTT 2015-2(HMT)	1	\$5,000	\$5,000	\$4,000	03/02/2017	
ZINTT 2015-3(HMT)	3	\$12,000	\$12,000	\$9,150	03/02/2017	
ZINTT 2015-4(HMT)	1	\$5,000	\$5,000	\$3,750	03/02/2017	
ZIOD 2016-1(HMT)	2	\$10,000	\$10,000	\$8,000	02/23/2017	
ZIOR 2016-1(HMT)	1	\$2,000	\$2,000	\$1,600	05/30/2017	
ZIOR 2017-1(HMT)	1	\$4,000	\$4,000	\$2,750	05/25/2017	
ZIP 2016-3(HMT)	1	\$10,000	\$10,000	\$8,250	01/23/2017	
ZIP 2016-4(HMT)	1	\$2,000	\$2,000	\$1,500	01/23/2017	
ZIP 2016-5(HMT)	1	\$5,000	\$5,000	\$3,700	04/05/2017	
ZIP 2017-1(HMT)	2	\$20,000	\$20,000	\$16,100	04/05/2017	
ZIP 2017-2(HMT)	3	\$9,000	\$9,000	\$7,500	06/26/2017	
ZIP 2017-3(HMT)	1	\$5,000	\$5,000	\$3,950	06/26/2017	
ZIPR 2016-1(HMT)	1	\$2,000	\$2,000	\$2,000	01/12/2017	
ZIRO 2016-1(HMT)	1	\$2,000	\$2,000	\$1,500	02/02/2017	
ZIRO 2016-2(HMT)	1	\$5,000	\$5,000	\$4,000	02/02/2017	
ZITGC 2016-1(HMT)	1	\$2,000	\$2,000	\$1,500	02/21/2017	
ZITT 2016-4(HMT)	1	\$5,000	\$5,000	\$3,850	02/17/2017	
ZITT 2016-5(HMT)	1	\$10,000	\$10,000	\$7,700	02/17/2017	
ZITT 2016-6(HMT)	1	\$10,000	\$10,000	\$7,700	02/17/2017	
ZITT 2017-1(HMT)	1	\$10,000	\$10,000	\$7,500	06/23/2017	
ZITT 2017-2(HMT)	1	\$10,000	\$10,000	\$7,500	06/23/2017	
ZITT 2017-3(HMT)	1	\$5,000	\$5,000	\$4,000	09/25/2017	
ZIWI 2017-1(HMT)	1	\$2,000	\$2,000	\$2,000	07/19/2017	
ZJBB 2016-2(HMT)	1	\$5,000	\$5,000	\$5,000	11/01/2016	
ZJBH 2016-1(HMT)	2	\$6,000	\$6,000	\$6,000	12/08/2016	
ZJBH 2016-2(HMT)	1	\$7,500	\$7,500	\$7,500	12/22/2016	
ZJCC 2015-1(HMT)	1	\$5,000	\$5,000	\$5,000	01/23/2017	
ZJHO 2017-1(HMT)	1	\$2,000	\$2,000	\$2,000	08/14/2017	
ZJRS 2016-1(HMT)	4	\$20,000	\$20,000	\$16,000	12/13/2016	
ZJRS 2016-2(HMT)	1	\$10,000	\$10,000	\$8,000	12/29/2016	
ZJRS 2017-1(HMT)	3	\$15,000	\$15,000	\$11,250	09/01/2017	
ZJTR 2016-1(HMT)	2	\$4,000	\$4,000	\$2,400	10/21/2016	
ZJVE 2015-1(HMT)	1	\$5,000	\$5,000	\$3,750	03/13/2017	
ZKAG 2014-1(HMT)	1	\$5,000	\$0	\$0	01/30/2017	Case Terminated.
ZKDM 2016-1(HMT)	1	\$5,000	\$5,000	\$3,000	10/17/2016	
ZKDM 2016-2(HMT)	1	\$2,000	\$2,000	\$1,420	01/30/2017	
ZKDM 2016-3(HMT)	1	\$2,500	\$2,500	\$1,900	01/04/2017	
ZKDM 2017-1(HMT)	1	\$5,000	\$5,000	\$3,250	03/31/2017	
ZKML 2016-2(HMT)	3	\$15,000	\$15,000	\$7,500	01/04/2017	
ZKML 2016-3(HMT)	1	\$10,000	\$10,000	\$6,800	10/12/2016	
ZKML 2016-4(HMT)	1	\$7,500	\$7,500	\$4,900	04/17/2017	
ZKML 2017-1(HMT)	1	\$7,500	\$7,500	\$5,250	08/10/2017	
ZKML 2017-2(HMT)	3	\$6,000	\$6,000	\$4,200	08/28/2017	
ZKMQ 2016-1(HMT)	3	\$12,000	\$12,000	\$9,240	01/30/2017	
ZKMQ 2016-2(HMT)	1	\$5,000	\$5,000	\$3,700	04/17/2017	
ZKPI 2016-2(BW)	1	\$1,500	\$1,500	\$1,500	01/18/2017	

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ZKPI 2017-1(HMT)	1	\$4,000	\$4,000	\$2,200	04/28/2017	
ZKPI 2017-2(HMT)	1	\$5,000	\$5,000	\$2,850	07/06/2017	
ZKUH 2016-1(HMT)	1	\$5,000	\$5,000	\$5,000	01/23/2017	
ZKYE 2016-1(HMT)	1	\$2,000	\$2,000	\$2,000	11/07/2016	
ZKYE 2017-1(HMT)	1	\$5,000	\$5,000	\$5,000	08/11/2017	
ZLAN 2007-1(HMT)	1	\$5,000	\$0	\$0	02/07/2017	Case Terminated.
ZLAN 2008-1(HMT)	1	\$5,000	\$0	\$0	02/07/2017	Case Terminated.
ZLBZ 2017-1(HMT)	1	\$10,000	\$10,000	\$10,000	06/30/2017	
ZLCE 2011-1(HMT)	3	\$15,000	\$0	\$0	05/22/2017	Case Terminated.
ZLCO 2007-1(HMT)	8	\$22,500	\$10,000	\$5,000	12/01/2016	Terminated Violation(s): 1, 2, 3, 4, 5.
ZLDE 2017-1(HMT)	5	\$18,500	\$18,500	\$11,600	06/21/2017	
ZLDI 2015-3(HMT)	2	\$154,228	\$154,228	\$150,000	03/15/2017	
ZLDI 2016-1(HMT)	1	\$77,114	\$77,114	\$75,000	03/15/2017	
ZLDI 2016-2(HMT)	1	\$10,000	\$10,000	\$7,000	10/17/2016	
ZLDI 2016-3(HMT)	1	\$10,000	\$10,000	\$7,000	12/01/2016	
ZLDI 2016-4(HMT)	2	\$154,228	\$154,228	\$150,000	03/15/2017	
ZLDR 2014-1(HMT)	1	\$5,000	\$5,000	\$3,250	04/28/2017	
ZLDR 2016-2(HMT)	3	\$15,000	\$15,000	\$8,250	04/28/2017	
ZLDR 2016-4(HMT)	1	\$5,000	\$5,000	\$4,500	04/28/2017	
ZLEV 2006-1(HMT)	2	\$12,500	\$0	\$0	08/24/2017	Case Terminated.
ZLFI 2016-1(HMT)	2	\$6,000	\$6,000	\$6,000	12/07/2016	
ZLHP 2016-1(HMT)	1	\$5,000	\$5,000	\$5,000	10/03/2016	
ZLHP 2016-2(HMT)	1	\$10,000	\$10,000	\$5,500	02/06/2017	
ZLOC 2016-1(HMT)	2	\$10,000	\$10,000	\$7,000	12/07/2016	
ZLPY 2005-1(HMT)	1	\$5,000	\$0	\$0	02/03/2017	Case Terminated.
ZLPY 2009-1(HMT)	1	\$2,000	\$0	\$0	02/03/2017	Case Terminated.
ZLQT 2008-1(HMT)	1	\$5,000	\$0	\$0	12/30/2016	Case Terminated.
ZLQT 2010-1(HMT)	1	\$2,000	\$0	\$0	12/30/2016	Case Terminated.
ZLQT 2015-1(HMT)	2	\$10,000	\$10,000	\$5,500	12/08/2016	
ZLQT 2016-1(HMT)	1	\$2,000	\$2,000	\$2,000	01/30/2017	
ZLRQ 2006-1(HMT)	1	\$7,500	\$0	\$0	10/26/2016	Case Terminated.
ZLSH 2015-1(HMT)	1	\$5,000	\$5,000	\$3,250	05/09/2017	
ZLSI 2016-1(HMT)	2	\$20,000	\$20,000	\$10,000	02/06/2017	
ZLSN 2014-1(HMT)	1	\$5,000	\$5,000	\$3,250	02/13/2017	
ZLSN 2014-2(HMT)	1	\$5,000	\$5,000	\$3,250	02/13/2017	
ZLSN 2014-3(HMT)	10	\$25,000	\$25,000	\$16,250	02/13/2017	
ZLSN 2016-1(HMT)	2	\$5,000	\$5,000	\$3,250	02/13/2017	
ZLSQ 2016-2(HMT)	1	\$2,500	\$2,500	\$1,500	02/06/2017	
ZLTL 2005-1(HMT)	2	\$10,000	\$0	\$0	05/04/2017	Case Terminated.
ZLUB 2016-2(HMT)	1	\$2,000	\$2,000	\$2,000	02/17/2017	
ZLUB 2017-1(HMT)	1	\$5,000	\$5,000	\$5,000	06/30/2017	
ZLUB 2017-2(HMT)	1	\$2,000	\$2,000	\$2,000	06/30/2017	
ZLUB 2017-3(HMT)	1	\$10,000	\$10,000	\$10,000	09/21/2017	
ZMAF 2017-1(HMT)	6	\$12,000	\$12,000	\$9,600	08/21/2017	
ZMAX 2017-1(HMT)	1	\$5,000	\$5,000	\$3,750	09/12/2017	
ZMBA 2017-1(HMT)	1	\$5,000	\$5,000	\$5,000	04/28/2017	
ZMBA 2017-2(HMT)	1	\$10,000	\$10,000	\$10,000	07/17/2017	
ZMCK 2016-1(HMT)	1	\$5,000	\$5,000	\$3,750	10/26/2016	
ZMEL 2016-1(HMT)	1	\$5,000	\$5,000	\$5,000	02/14/2017	

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ZMER 2017-1(HMT)	2	\$10,000	\$10,000	\$10,000	09/26/2017	
ZMFQ 2017-1(HMT)	1	\$1,000	\$1,000	\$1,000	03/08/2017	
ZMGD 2016-1(HMT)	1	\$4,000	\$4,000	\$3,600	12/14/2016	
ZMGL 2016-1(HMT)	1	\$5,000	\$5,000	\$3,000	02/02/2017	
ZMGL 2016-2(HMT)	1	\$10,000	\$10,000	\$9,000	02/02/2017	
ZMGS 2017-1(HMT)	1	\$10,000	\$10,000	\$8,000	06/26/2017	
ZMHO 2017-1(HMT)	1	\$5,000	\$5,000	\$5,000	09/21/2017	
ZMIP 2017-1(HMT)	2	\$5,000	\$5,000	\$5,000	08/01/2017	
ZMIR 2017-1(HMT)	1	\$2,000	\$2,000	\$2,000	09/21/2017	
ZMMM 2016-1(HMT)	1	\$5,000	\$5,000	\$5,000	12/30/2016	
ZMNP 2017-1(HMT)	1	\$5,000	\$5,000	\$4,000	05/08/2017	
ZMNP 2017-2(HMT)	1	\$5,000	\$5,000	\$4,250	08/01/2017	
ZMOP 2016-1(HMT)	1	\$5,000	\$5,000	\$4,500	02/01/2017	
ZMRE 2016-1(HMT)	1	\$10,000	\$10,000	\$6,000	11/10/2016	
ZMROC 2017-1(HMT)	1	\$2,000	\$2,000	\$2,000	06/12/2017	
ZMSA 2016-1(HMT)	2	\$10,000	\$10,000	\$9,000	03/30/2017	
ZMSA 2017-1(HMT)	3	\$15,000	\$15,000	\$13,500	03/30/2017	
ZMSW 2014-1(HMT)	1	\$2,000	\$2,000	\$1,700	01/11/2017	
ZMSW 2014-2(HMT)	1	\$2,000	\$2,000	\$1,000	02/22/2017	
ZMSW 2015-1(HMT)	1	\$2,000	\$2,000	\$1,700	01/11/2017	
ZMTE 2016-1(HMT)	1	\$5,000	\$5,000	\$5,000	01/03/2017	
ZMTE 2016-2(HMT)	2	\$4,000	\$4,000	\$4,000	01/24/2017	
ZMTE 2017-1(HMT)	2	\$4,000	\$4,000	\$4,000	06/26/2017	
ZMTE 2017-2(HMT)	1	\$2,000	\$2,000	\$2,000	09/11/2017	
ZMU 2017-1(HMT)	1	\$5,000	\$5,000	\$5,000	07/10/2017	
ZMUS 2017-1(HMT)	1	\$5,000	\$5,000	\$3,750	09/26/2017	
ZMUS 2017-2(HMT)	1	\$5,000	\$5,000	\$3,750	09/26/2017	
ZMUSK 2016-1(HMT)	1	\$2,000	\$2,000	\$2,000	11/29/2016	
ZMUSK 2017-1(HMT)	1	\$5,000	\$5,000	\$5,000	05/15/2017	
ZMWC 2015-2(HMT)	4	\$23,500	\$23,500	\$18,000	01/11/2017	
ZMYT 2017-1(HMT)	2	\$15,000	\$15,000	\$11,000	05/23/2017	
ZMYT 2017-2(HMT)	1	\$5,000	\$5,000	\$3,500	05/16/2017	
ZNALS 2017-1(HMT)	1	\$7,500	\$7,500	\$5,250	05/11/2017	
ZNAO 2016-1(HMT)	1	\$7,500	\$7,500	\$7,500	10/27/2016	
ZNAO 2016-2(HMT)	2	\$12,500	\$12,500	\$12,500	12/21/2016	
ZNBX 2016-1(HMT)	1	\$10,000	\$10,000	\$5,000	02/24/2017	
ZNCE 2009-1(HMT)	5	\$25,000	\$0	\$0	10/06/2016	Case Terminated.
ZNDM 2016-1(HMT)	1	\$5,000	\$5,000	\$5,000	01/10/2017	
ZNDM 2016-2(HMT)	2	\$4,000	\$4,000	\$4,000	11/07/2016	
ZNDM 2016-3(HMT)	1	\$2,000	\$2,000	\$2,000	12/30/2016	
ZNDP 2015-1(HMT)	1	\$2,000	\$2,000	\$2,000	10/12/2016	
ZNDX 2017-1(HMT)	1	\$2,000	\$2,000	\$2,000	03/28/2017	
ZNEP 2015-1(HMT)	9	\$18,000	\$18,000	\$12,600	10/27/2016	
ZNEP 2016-1(HMT)	1	\$5,000	\$5,000	\$3,500	10/27/2016	
ZNEP 2016-2(HMT)	1	\$1,000	\$1,000	\$750	10/27/2016	
ZNH3 2013-1(HMT)	1	\$2,000	\$2,000	\$2,000	11/22/2016	
ZNIA 2017-1(HMT)	1	\$2,000	\$2,000	\$1,200	07/19/2017	
ZNPR 2016-1(HMT)	1	\$5,000	\$5,000	\$5,000	01/31/2017	
ZNPT 2017-1(HMT)	1	\$2,000	\$2,000	\$2,000	04/18/2017	

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ZNSE 2014-2(HMT)	4	\$20,000	\$5,000	\$4,000	04/27/2017	Terminated Violation(s): 1,2,3.
ZNSE 2014-3(HMT)	1	\$10,000	\$10,000	\$8,800	11/18/2016	
ZNSE 2016-1(HMT)	2	\$10,000	\$4,000	\$4,000	11/18/2016	Partially Terminated Violation(s): 1.
ZNSE 2016-2(HMT)	1	\$10,000	\$2,000	\$2,000	11/18/2016	Partially Terminated Violation(s): 1.
ZNSE 2016-3(HMT)	1	\$10,000	\$10,000	\$8,800	11/18/2016	
ZNSE 2016-4(HMT)	1	\$10,000	\$10,000	\$8,800	11/18/2016	
ZNSE 2016-5(HMT)	1	\$10,000	\$10,000	\$8,800	11/18/2016	
ZNSE 2016-6(HMT)	1	\$2,000	\$2,000	\$1,800	11/18/2016	
ZNSE 2017-1(HMT)	1	\$2,000	\$2,000	\$2,000	05/25/2017	
ZNSL 2017-1(HMT)	1	\$2,000	\$0	\$0	09/07/2017	Case Terminated.
ZNTR 2017-1(HMT)	1	\$2,000	\$2,000	\$1,200	06/22/2017	
ZNUC 2017-1(SA)	3	\$7,500	\$7,500	\$7,500	05/12/2017	
ZNUS 2016-1(HMT)	4	\$24,000	\$20,000	\$16,000	12/02/2016	Terminated Violation(s): 1.
ZNXE 2016-1(HMT)	1	\$2,000	\$2,000	\$2,000	12/29/2016	
ZNXE 2017-1(HMT)	1	\$2,000	\$2,000	\$2,000	06/28/2017	
ZNYK 2017-1(HMT)	2	\$8,000	\$8,000	\$5,000	03/01/2017	
ZNYK 2017-2(HMT)	1	\$2,000	\$2,000	\$1,000	08/17/2017	
ZOCC 2016-3(HMT)	1	\$5,000	\$5,000	\$3,800	11/18/2016	
ZODD 2016-1(HMT)	1	\$2,500	\$2,500	\$2,100	11/08/2016	
ZOEE 2016-1(HMT)	1	\$5,000	\$5,000	\$4,250	01/24/2017	
ZOLI 2016-3(HMT)	1	\$10,000	\$10,000	\$9,000	10/07/2016	
ZOLI 2016-4(HMT)	1	\$5,000	\$5,000	\$4,250	01/23/2017	
ZOLI 2016-5(HMT)	1	\$5,000	\$5,000	\$4,250	01/23/2017	
ZOLI 2017-1(HMT)	1	\$5,000	\$5,000	\$4,400	03/08/2017	
ZOLI 2017-2(HMT)	1	\$5,000	\$5,000	\$4,500	06/15/2017	
ZOLI 2017-3(HMT)	1	\$10,000	\$10,000	\$9,000	06/27/2017	
ZOLO 2017-1(HMT)	1	\$2,000	\$2,000	\$2,000	07/18/2017	
ZORG 2016-1(HMT)	1	\$2,000	\$2,000	\$2,000	11/17/2016	
ZOTER 2016-2(HMT)	1	\$4,000	\$4,000	\$2,750	10/19/2016	
ZOTER 2016-3(HMT)	1	\$5,000	\$5,000	\$3,700	11/30/2016	
ZOTER 2017-1(HMT)	5	\$10,000	\$10,000	\$6,750	08/11/2017	
ZOTT 2016-3(HMT)	1	\$10,000	\$10,000	\$8,900	01/19/2017	
ZOTT 2017-2(HMT)	1	\$5,000	\$5,000	\$4,000	08/23/2017	
ZOXB 2017-1(HMT)	1	\$10,000	\$5,000	\$4,750	03/27/2017	Partially Terminated Violation(s): 1.
ZPAA 2016-1(HMT)	1	\$5,000	\$5,000	\$3,000	06/15/2017	
ZPAA 2016-2(HMT)	1	\$5,000	\$5,000	\$3,000	03/16/2017	
ZPAA 2016-3(HMT)	1	\$5,000	\$5,000	\$3,000	03/16/2017	
ZPAA 2017-1(HMT)	1	\$2,000	\$2,000	\$1,200	06/15/2017	
ZPBB 2016-1(HMT)	2	\$30,000	\$30,000	\$22,000	03/13/2017	
ZPBB 2016-2(HMT)	2	\$6,000	\$6,000	\$6,000	03/13/2017	
ZPBH 2016-1(HMT)	1	\$10,000	\$10,000	\$7,400	03/13/2017	
ZPCN 2015-1(HMT)	1	\$7,500	\$7,500	\$5,600	03/16/2017	
ZPCSS 2015-1(HMT)	3	\$12,500	\$12,500	\$9,400	03/16/2017	
ZPCSS 2015-2(HMT)	1	\$5,000	\$5,000	\$3,600	03/16/2017	
ZPCSS 2015-3(HMT)	1	\$5,000	\$5,000	\$3,600	03/16/2017	
ZPEA 2015-1(HMT)	1	\$5,000	\$5,000	\$3,750	03/13/2017	
ZPEC 2016-1(HMT)	1	\$5,000	\$5,000	\$5,000	03/13/2017	

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ZPG 2016-1(HMT)	1	\$5,000	\$5,000	\$3,500	03/16/2017	
ZPIL 2016-1(HMT)	5	\$25,000	\$25,000	\$16,500	03/16/2017	
ZPKG 2016-2(HMT)	1	\$5,000	\$5,000	\$5,000	03/16/2017	
ZPKG 2016-3(HMT)	3	\$6,000	\$6,000	\$6,000	03/13/2017	
ZPKG 2016-4(HMT)	1	\$5,000	\$5,000	\$5,000	02/16/2017	
ZPKG 2016-5(HMT)	2	\$20,000	\$20,000	\$20,000	02/16/2017	
ZPKG 2016-6(HMT)	1	\$10,000	\$10,000	\$10,000	02/16/2017	
ZPLP 2017-1(HMT)	1	\$2,000	\$2,000	\$2,000	06/27/2017	
ZPMS 2016-1(HMT)	1	\$5,000	\$5,000	\$3,500	03/16/2017	
ZPNA 2014-1(HMT)	1	\$2,500	\$0	\$0	03/24/2017	Case Terminated.
ZPND 2016-1(HMT)	1	\$10,000	\$10,000	\$10,000	02/03/2017	
ZPNF 2015-1(HMT)	1	\$10,000	\$10,000	\$7,300	03/16/2017	
ZPOM 2017-1(HMT)	1	\$5,000	\$5,000	\$3,000	07/13/2017	
ZPRF 2016-1(HMT)	1	\$5,000	\$5,000	\$5,000	02/08/2017	
ZPRX 2016-1(HMT)	3	\$10,000	\$10,000	\$10,000	03/13/2017	
ZPSE 2016-1(HMT)	1	\$2,000	\$2,000	\$2,000	01/26/2017	
ZPVA 2016-1(HMT)	2	\$10,000	\$10,000	\$10,000	02/13/2017	
ZPVS 2015-1(HMT)	1	\$5,000	\$5,000	\$3,500	06/22/2017	
ZPVT 2016-2(HMT)	1	\$5,000	\$5,000	\$3,500	02/24/2017	
ZPXR 2016-1(HMT)	1	\$5,000	\$5,000	\$5,000	06/07/2017	
ZPYT 2016-1(HMT)	1	\$5,000	\$5,000	\$5,000	03/13/2017	
ZQCO 2017-1(HMT)	1	\$10,000	\$10,000	\$6,500	08/11/2017	
ZQCR 2015-1(HMT)	1	\$2,000	\$2,000	\$2,000	08/18/2017	
ZQCR 2016-1(HMT)	1	\$2,000	\$2,000	\$2,000	10/26/2016	
ZQCR 2016-2(HMT)	4	\$17,000	\$17,000	\$17,000	08/18/2017	
ZQCR 2016-3(HMT)	1	\$5,000	\$5,000	\$5,000	08/18/2017	
ZQFL 2011-1(HMT)	4	\$7,000	\$0	\$0	03/27/2017	Case Terminated.
ZRAZ 2016-1(HMT)	1	\$7,500	\$7,500	\$7,500	01/20/2017	
ZRBM 2016-1(HMT)	1	\$2,000	\$0	\$0	02/21/2017	Case Terminated.
ZRCA 2015-3(HMT)	1	\$5,000	\$5,000	\$5,000	01/27/2017	
ZRCA 2016-1(HMT)	1	\$5,000	\$5,000	\$5,000	01/11/2017	
ZRCA 2016-2(HMT)	1	\$5,000	\$5,000	\$5,000	01/27/2017	
ZRCA 2016-3(HMT)	1	\$5,000	\$5,000	\$5,000	01/27/2017	
ZRCC 2016-1(HMT)	2	\$5,000	\$5,000	\$5,000	01/30/2017	
ZRCH 2016-1(HMT)	1	\$2,000	\$2,000	\$2,000	01/23/2017	
ZRCQ 2016-1(HMT)	2	\$4,000	\$4,000	\$4,000	01/31/2017	
ZRCQ 2016-2(HMT)	1	\$5,000	\$5,000	\$5,000	01/31/2017	
ZRCQ 2016-3(HMT)	1	\$10,000	\$10,000	\$10,000	01/31/2017	
ZRCQ 2016-4(HMT)	1	\$2,000	\$2,000	\$2,000	01/31/2017	
ZRDI 2016-1(HMT)	1	\$2,000	\$2,000	\$1,000	03/22/2017	
ZRDI 2016-2(HMT)	2	\$6,000	\$6,000	\$3,000	03/22/2017	
ZREBO 2015-1(HMT)	2	\$4,000	\$4,000	\$3,400	01/27/2017	
ZREBO 2016-1(HMT)	1	\$2,000	\$2,000	\$1,700	01/27/2017	
ZREG 2016-1(HMT)	1	\$2,000	\$2,000	\$2,000	01/30/2017	
ZREG 2016-2(HMT)	2	\$4,000	\$4,000	\$4,000	01/30/2017	
ZREG 2016-3(HMT)	1	\$2,000	\$2,000	\$2,000	01/30/2017	
ZREM 2016-1(HMT)	1	\$5,000	\$5,000	\$5,000	01/18/2017	
ZRHK 2015-1(HMT)	1	\$5,000	\$5,000	\$4,500	02/21/2017	
ZRKP 2015-1(HMT)	1	\$2,000	\$2,000	\$2,000	01/27/2017	

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ZRLC 2017-1(HMT)	1	\$5,000	\$5,000	\$5,000	08/17/2017	
ZRLG 2015-2(HMT)	1	\$5,000	\$5,000	\$4,500	01/18/2017	
ZRLO 2016-1(HMT)	3	\$10,000	\$10,000	\$4,000	07/05/2017	
ZRNW 2016-1(HMT)	1	\$2,000	\$2,000	\$1,300	02/01/2017	
ZRNW 2016-2(HMT)	2	\$4,000	\$4,000	\$2,600	02/01/2017	
ZRPM 2017-1(HMT)	1	\$5,000	\$5,000	\$5,000	03/20/2017	
ZRSF 2016-1(HMT)	1	\$2,000	\$2,000	\$1,900	06/05/2017	
ZRSF 2016-2(HMT)	1	\$2,000	\$2,000	\$2,000	01/18/2017	
ZRSH 2015-3(HMT)	1	\$2,000	\$2,000	\$1,000	03/27/2017	
ZRSH 2016-1(HMT)	1	\$2,000	\$2,000	\$1,000	03/27/2017	
ZRTE 2016-1(HMT)	1	\$2,000	\$2,000	\$2,000	01/18/2017	
ZRTE 2017-1(HMT)	1	\$5,000	\$5,000	\$5,000	03/03/2017	
ZSCC 2016-3(HMT)	1	\$5,000	\$5,000	\$5,000	03/07/2017	
ZSCC 2016-4(HMT)	2	\$10,000	\$10,000	\$8,750	05/10/2017	
ZSCC 2016-5(HMT)	2	\$10,000	\$10,000	\$10,000	05/09/2017	
ZSCC 2017-1(HMT)	1	\$5,000	\$5,000	\$5,000	05/09/2017	
ZSCO 2016-1(HMT)	1	\$2,000	\$2,000	\$1,600	05/12/2017	
ZSCQ 2016-1(HMT)	1	\$5,000	\$5,000	\$3,650	05/31/2017	
ZSENT 2016-1(HMT)	2	\$4,000	\$4,000	\$4,000	10/17/2016	
ZSEU 2016-1(HMT)	1	\$10,000	\$10,000	\$6,000	12/09/2016	
ZSEU 2016-2(HMT)	2	\$4,000	\$4,000	\$2,920	05/24/2017	
ZSEU 2017-1(HMT)	1	\$10,000	\$10,000	\$7,500	05/24/2017	
ZSEU 2017-2(HMT)	1	\$10,000	\$10,000	\$7,000	05/24/2017	
ZSHL 2016-1(HMT)	4	\$8,000	\$8,000	\$8,000	03/07/2017	
ZSHQ 2016-1(HMT)	1	\$10,000	\$10,000	\$7,500	05/24/2017	
ZSI 2015-2(HMT)	2	\$6,000	\$6,000	\$6,000	10/20/2016	
ZSI 2015-3(HMT)	1	\$2,000	\$2,000	\$2,000	10/20/2016	
ZSIND 2015-1(HMT)	1	\$2,000	\$2,000	\$2,000	10/20/2016	
ZSKI 2016-1(HMT)	1	\$10,000	\$10,000	\$10,000	02/13/2017	
ZSKI 2016-2(HMT)	1	\$5,000	\$5,000	\$5,000	10/25/2016	
ZSMV 2012-1(HMT)	1	\$2,000	\$0	\$0	04/20/2017	Case Terminated.
ZSMV 2016-1(HMT)	1	\$2,000	\$2,000	\$1,200	04/20/2017	
ZSNA 2016-1(HMT)	1	\$2,000	\$2,000	\$1,450	05/12/2017	
ZSNA 2016-2(HMT)	2	\$8,000	\$8,000	\$6,000	05/12/2017	
ZSNA 2016-3(HMT)	1	\$2,000	\$2,000	\$2,000	04/11/2017	
ZSNA 2017-1(HMT)	4	\$13,000	\$13,000	\$9,750	05/12/2017	
ZSNK 2013-1(HMT)	1	\$4,000	\$4,000	\$2,600	04/20/2017	
ZSNK 2013-2(HMT)	7	\$14,000	\$14,000	\$9,300	04/20/2017	
ZSNK 2016-1(HMT)	1	\$2,000	\$2,000	\$1,200	04/20/2017	
ZSNK 2016-2(HMT)	2	\$4,000	\$4,000	\$2,600	04/20/2017	
ZSNR 2016-2(HMT)	2	\$4,000	\$4,000	\$4,000	04/07/2017	
ZSOC 2016-2(HMT)	1	\$2,000	\$2,000	\$2,000	10/12/2016	
ZSOC 2016-3(HMT)	1	\$2,000	\$2,000	\$2,000	12/15/2016	
ZSOLI 2016-2(HMT)	1	\$2,000	\$2,000	\$1,450	05/19/2017	
ZSOLI 2016-3(HMT)	1	\$5,000	\$5,000	\$3,650	05/19/2017	
ZSRE 2016-1(HMT)	1	\$5,000	\$5,000	\$3,650	02/18/2017	
ZSSCO 2016-6(HMT)	1	\$5,000	\$0	\$0	10/05/2016	Case Terminated.
ZSTQ 2016-3(HMT)	1	\$10,000	\$10,000	\$7,350	02/15/2017	
ZSUC 2016-1(HMT)	1	\$5,000	\$5,000	\$3,650	02/21/2017	

Federal Railroad Administration
Safety Cases Closed in FY 2017

<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>
ZSUN 2016-1(HMT)	1	\$10,000	\$10,000	\$7,500	05/08/2017	
ZSUR 2016-1(HMT)	2	\$6,000	\$6,000	\$6,000	01/30/2017	
ZSYS 2016-1(HMT)	1	\$2,000	\$2,000	\$1,500	10/24/2016	
ZTAG 2016-1(HMT)	1	\$10,000	\$10,000	\$7,400	03/13/2017	
ZTAM 2016-1(HMT)	2	\$6,000	\$6,000	\$4,000	01/26/2017	
ZTAM 2017-1(HMT)	1	\$5,000	\$5,000	\$3,600	05/03/2017	
ZTAM 2017-2(HMT)	1	\$5,000	\$5,000	\$3,400	06/22/2017	
ZTCML 2017-2(HMT)	1	\$5,000	\$5,000	\$5,000	06/30/2017	
ZTDW 2017-1(HMT)	1	\$2,000	\$2,000	\$2,000	09/25/2017	
ZTERM 2014-2(HMT)	1	\$5,000	\$5,000	\$5,000	05/11/2017	
ZTERM 2015-3(HMT)	1	\$10,000	\$10,000	\$10,000	11/22/2016	
ZTERM 2017-2(HMT)	2	\$20,000	\$20,000	\$20,000	09/26/2017	
ZTERM 2017-3(HMT)	1	\$2,500	\$2,500	\$2,500	09/26/2017	
ZTERM 2017-4(HMT)	1	\$5,000	\$5,000	\$5,000	09/26/2017	
ZTFS 2015-1(HMT)	1	\$10,000	\$10,000	\$7,000	09/26/2017	
ZTFS 2015-2(HMT)	1	\$5,000	\$5,000	\$3,250	09/26/2017	
ZTFT 2016-2(HMT)	1	\$2,000	\$2,000	\$1,500	09/08/2017	
ZTFT 2017-1(HMT)	1	\$2,000	\$2,000	\$1,400	09/07/2017	
ZTGM 2017-1(HMT)	1	\$5,000	\$5,000	\$5,000	04/03/2017	
ZTGS 2017-1(HMT)	1	\$2,000	\$2,000	\$2,000	04/05/2017	
ZTIR 2015-1(HMT)	10	\$20,000	\$20,000	\$15,900	05/22/2017	
ZTIR 2015-2(HMT)	8	\$16,000	\$16,000	\$12,700	05/22/2017	
ZTKA 2015-1(HMT)	1	\$2,000	\$2,000	\$1,600	05/16/2017	
ZTLA 2017-2(HMT)	1	\$5,000	\$5,000	\$5,000	06/16/2017	
ZTMT 2015-2(HMT)	14	\$31,000	\$31,000	\$31,000	09/21/2017	
ZTQT 2014-4(HMT)	3	\$20,000	\$15,000	\$10,000	05/24/2017	Terminated Violation(s): 1.
ZTQT 2015-2(HMT)	21	\$105,000	\$105,000	\$52,500	05/24/2017	
ZTRF 2016-1(HMT)	1	\$2,000	\$2,000	\$2,000	11/10/2016	
ZTRSP 2016-1(HMT)	1	\$5,000	\$5,000	\$4,000	04/13/2017	
ZTSS 2016-2(HMT)	1	\$10,000	\$0	\$0	03/30/2017	Case Terminated.
ZTSS 2016-3(HMT)	1	\$10,000	\$10,000	\$10,000	04/19/2017	
ZTSS 2016-4(HMT)	1	\$5,000	\$5,000	\$5,000	07/11/2017	
ZTTM 2016-1(HMT)	1	\$5,000	\$5,000	\$3,950	05/14/2017	
ZTWR 2015-1(HMT)	1	\$4,000	\$4,000	\$2,400	09/13/2017	
ZTWR 2016-1(HMT)	2	\$4,000	\$4,000	\$2,400	09/13/2017	
ZTWR 2016-2(HMT)	1	\$2,000	\$2,000	\$1,200	09/13/2017	
ZUDG 2015-1(HMT)	1	\$10,000	\$10,000	\$6,000	11/14/2016	
ZUEC 2017-1(HMT)	1	\$2,500	\$2,500	\$1,500	03/09/2017	
ZULB 2014-1(HMT)	4	\$21,500	\$21,500	\$15,000	03/09/2017	
ZULM 2014-1(HMT)	2	\$4,000	\$4,000	\$3,000	04/27/2017	
ZULM 2014-2(HMT)	7	\$14,000	\$14,000	\$10,500	04/27/2017	
ZUMQ 2016-1(HMT)	2	\$15,000	\$5,000	\$4,000	12/21/2016	Terminated Violation(s): 2.
ZUNC 2017-1(HMT)	3	\$15,000	\$15,000	\$11,250	05/12/2017	
ZUNIV 2016-1(HMT)	1	\$2,000	\$2,000	\$2,000	01/19/2017	
ZUNIV 2016-2(HMT)	2	\$4,000	\$4,000	\$4,000	01/19/2017	
ZUNIV 2016-3(HMT)	1	\$2,000	\$2,000	\$2,000	01/19/2017	
ZUNIV 2016-4(HMT)	1	\$2,000	\$2,000	\$2,000	04/11/2017	
ZUNIV 2017-1(HMT)	1	\$5,000	\$5,000	\$5,000	04/11/2017	
ZUNIV 2017-2(HMT)	2	\$4,500	\$4,500	\$5,000	09/02/2017	

Federal Railroad Administration
Safety Cases Closed in FY 2017

<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>
ZUPS 2016-1(HMT)	2	\$10,000	\$10,000	\$7,000	08/28/2017	
ZUPS 2016-2(HMT)	4	\$22,500	\$22,500	\$22,500	05/19/2017	
ZUPS 2017-2(HMT)	1	\$7,500	\$7,500	\$7,500	07/11/2017	
ZUPT 2016-1(HMT)	1	\$2,000	\$2,000	\$2,000	12/29/2016	
ZURC 2016-1(HMT)	3	\$6,000	\$6,000	\$6,000	10/04/2016	
ZUTC 2014-1(HMT)	1	\$1,000	\$1,000	\$550	02/28/2017	
ZUTC 2014-4(HMT)	1	\$2,500	\$2,500	\$1,500	02/18/2017	
ZUTC 2015-2(HMT)	1	\$2,500	\$2,500	\$2,500	03/10/2017	
ZUTC 2015-3(HMT)	2	\$2,000	\$2,000	\$2,000	03/10/2017	
ZUTC 2016-1(HMT)	1	\$7,500	\$0	\$0	10/24/2016	Case Terminated.
ZUTC 2016-2(HMT)	1	\$5,000	\$5,000	\$5,000	01/12/2017	
ZUTC 2016-3(HMT)	1	\$10,000	\$0	\$0	02/23/2017	Case Terminated.
ZUTC 2017-1(HMT)	1	\$5,000	\$5,000	\$4,500	02/27/2017	
ZVALM 2011-2(HMT)	1	\$10,000	\$10,000	\$6,500	12/08/2016	
ZVALM 2012-2(HMT)	10	\$20,000	\$20,000	\$12,000	12/08/2016	
ZVALM 2013-1(HMT)	1	\$5,000	\$5,000	\$2,500	12/08/2016	
ZVALM 2014-1(HMT)	1	\$5,000	\$5,000	\$3,000	12/08/2016	
ZVALM 2014-2(HMT)	1	\$5,000	\$5,000	\$5,000	12/08/2016	
ZVHC 2013-1(HMT)	1	\$5,000	\$5,000	\$3,500	03/16/2017	
ZVHC 2014-1(HMT)	7	\$35,000	\$35,000	\$22,800	03/16/2017	
ZVHC 2014-2(HMT)	1	\$5,000	\$5,000	\$3,500	03/16/2017	
ZVHC 2014-3(HMT)	1	\$10,000	\$10,000	\$6,900	03/16/2017	
ZVNW 2016-1(HMT)	1	\$2,000	\$2,000	\$2,000	01/11/2017	
ZVPK 2016-1(HMT)	1	\$10,000	\$10,000	\$10,000	12/12/2016	
ZVSA 2015-2(HMT)	1	\$2,000	\$2,000	\$2,000	10/13/2016	
ZVSA 2016-1(HMT)	1	\$2,000	\$2,000	\$2,000	11/30/2016	
ZVSV 2012-1(HMT)	1	\$4,000	\$4,000	\$3,300	12/08/2016	
ZVTM 2016-1(HMT)	1	\$2,000	\$2,000	\$2,000	02/15/2017	
ZVTM 2016-2(HMT)	1	\$2,000	\$2,000	\$2,000	02/15/2017	
ZVTZ 2016-1(HMT)	1	\$5,000	\$5,000	\$5,000	02/23/2017	
ZVYE 2016-1(HMT)	1	\$10,000	\$10,000	\$7,400	03/13/2017	
ZWATC 2016-2(HMT)	1	\$5,000	\$5,000	\$3,500	09/29/2017	
ZWATC 2017-1(HMT)	1	\$2,500	\$2,500	\$1,750	09/29/2017	
ZWCO 2016-1(HMT)	2	\$4,000	\$4,000	\$4,000	11/14/2016	
ZWCO 2017-1(HMT)	4	\$8,500	\$8,500	\$3,750	09/15/2017	
ZWEC 2016-1(HMT)	2	\$5,000	\$5,000	\$5,000	03/06/2017	
ZWEC 2017-1(HMT)	1	\$5,000	\$2,000	\$2,000	05/03/2017	Partially Terminated Violation(s): 1.
ZWIE 2017-1(HMT)	1	\$2,000	\$2,000	\$2,000	05/22/2017	
ZWLC 2016-1(HMT)	1	\$7,500	\$7,500	\$6,500	11/18/2016	
ZWLC 2016-2(HMT)	4	\$35,000	\$35,000	\$30,000	04/03/2017	
ZWMS 2016-1(HMT)	1	\$5,000	\$5,000	\$3,000	10/28/2016	
ZWMS 2016-2(HMT)	1	\$77,114	\$50,000	\$40,000	05/04/2017	Partially Terminated Violation(s): 1.
ZWPCO 2016-1(HMT)	2	\$7,000	\$7,000	\$5,500	10/31/2016	
ZWPO 2016-1(HMT)	1	\$1,000	\$1,000	\$1,000	10/11/2016	
ZWPO 2016-2(HMT)	1	\$5,000	\$2,000	\$2,000	11/09/2016	Partially Terminated Violation(s): 1.
ZWPO 2017-1(HMT)	1	\$2,000	\$2,000	\$2,000	09/20/2017	
ZWPO 2017-2(HMT)	3	\$10,000	\$10,000	\$6,500	09/20/2017	

Federal Railroad Administration
Safety Cases Closed in FY 2017

<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>
ZWPQ 2017-1(HMT)	4	\$20,000	\$20,000	\$11,000	04/10/2017	
ZWRC 2017-1(HMT)	2	\$7,500	\$7,500	\$7,500	09/20/2017	
ZWRE 2015-1(HMT)	1	\$10,000	\$10,000	\$8,000	02/27/2017	
ZWRE 2016-1(HMT)	5	\$19,000	\$19,000	\$12,350	02/27/2017	
ZWRE 2016-2(HMT)	1	\$2,000	\$2,000	\$1,300	02/27/2017	
ZWRE 2016-3(HMT)	7	\$20,000	\$20,000	\$14,000	02/27/2017	
ZWRE 2016-4(HMT)	1	\$2,000	\$2,000	\$1,400	02/27/2017	
ZWRG 2016-1(HMT)	2	\$4,000	\$4,000	\$4,000	01/23/2017	
ZWRK 2016-1(HMT)	1	\$2,500	\$2,500	\$1,975	10/13/2016	
ZWRK 2017-1(HMT)	2	\$7,000	\$7,000	\$7,000	07/24/2017	
ZWRL 2017-1(HMT)	1	\$5,000	\$5,000	\$3,700	09/19/2017	
ZWRQ 2017-1(HMT)	1	\$10,000	\$10,000	\$7,400	09/12/2017	
ZWRR 2017-1(HMT)	1	\$5,000	\$5,000	\$3,000	09/08/2017	
ZWST 2016-2(HMT)	2	\$6,000	\$6,000	\$5,000	01/19/2017	
ZXTS 2015-1(HMT)	1	\$10,000	\$10,000	\$10,000	10/26/2016	
ZZPM 2017-1(HMT)	1	\$5,000	\$0	\$0	07/19/2017	Caes Terminated.
ZZTL 2016-1(HMT)	2	\$10,000	\$10,000	\$6,500	10/14/2016	
Total	8,138	\$28,977,432	\$26,418,818	\$20,557,435		

Respondent

<u>Codes</u>	<u>Respondent Names</u>
AA	Ann Arbor Railroad
AB	Akron Barberton Cluster Railway Co.
ABS	Alabama Southern Railroad
ABWR	Alabama Warrior Railway, LLC.
ACWR	ABERDEEN, CAROLINA AND WESTERN RAILROAD
AERC	ALBANY AND EASTERN RAILROAD COMPANY
AGR	Alabama & Gulf Coast Railway LLC.
AIKR	Aiken Railway Company, LLC
AKMD	ARKANSAS MIDLAND RAILROAD
AOK	ARKANSAS-OKLAHOMA RAILROAD COMPANY
APPX	Appalachian Railcar Services, Inc.
ARR	Alaska Railroad Corporation
ATAX	Balfour Beatty Rail
ATK	National Railroad Passenger Corporation
ATN	Alabama & Tennessee River Railway LLC
ATW	ATLANTIC AND WESTERN RAILWAY COMPANY
AVR	ALLEGHENY VALLEY RAILROAD CO.
AWRR	AUSTIN WESTERN RAILROAD
BAP	Rarus Railway, LLC d/b/a Butte, Anaconda & Pacific
BAYL	BAY LINE RAILROAD
BB	Buckingham Branch Railroad Company
BCR	Bay Coast Railroad
BDW	Bighorn Divide & Wyoming Railroad Inc.
BHRR	Birmingham Terminal Railway, LLC
BLOL	BLOOMER SHIPPERS CONNECTING RAILROAD CO.
BLR	Blacklands Railroad
BM	BOSTON AND MAINE CORPORATION
BNSF	BNSF RAILWAY COMPANY
BPRR	BUFFALO & PITTSBURGH RAILROAD, INC.
BRC	The Belt Railway Company of Chicago
BSR	Big Spring Rail System, Inc.
BVRR	Boise Valley Railroad, Inc.
CAGY	Columbus & Greenville Railway
CCPN	Corpus Christi Terminal Railroad
CCRL	Cleveland Commercial Railroad Company, LLC
CCT	Central California Traction Company
CFE	Chicago, Ft. Wayne & Eastern
CFI	CF Industries Sales, LLC
CFRC	CENTRAL FLORIDA RAIL CORRIDOR

Respondent

<u>Codes</u>	<u>Respondent Names</u>
CIRR	CHATTAHOOCHEE INDUSTRIAL RAILROAD
CLC	COLUMBIA & COWLITZ RAILWAY, LLC
CLNA	Carolina Coastal Railway, Inc.
CMQX	Central Maine & Quebec Railway
CMTY	Capital Metropolitan Transportation Authority
CN	Canadian National Railway Company
CORP	CENTRAL OREGON & PACIFIC RAILROAD, INC.
CP	CANADIAN PACIFIC RAILWAY
CRL	CHICAGO RAIL LINK
CRRX	CANON CITY ROYAL GORGE RAILROAD
CRSH	Consolidated Rail Corporation
CSX	CSX TRANSPORTATION, INC.
CVR	Cimarron Valley Railroad
CVSX	CUYAHOGA VALLEY SCENIC RAILWAY
CWA	CENTRAL WASHINGTON RAILROAD COMPANY
CWRO	Cleveland Works Railway Co.
CZRY	CARRIZO GORGE RAILWAY
DGNO	Dallas, Garland and Northeastern Railroad, Inc.
DH	Delaware & Hudson Railway Co., Inc.
DLWR	Depew, Lancaster and Western Railroad Co., Inc.
DME	Dakota, Minnesota & Eastern Railroad Co.
DMVW	DAKOTA MISSOURI VALLEY AND WESTERN
DN	DAKOTA NORTHERN RAILROAD, INC.
DSRR	Delta Southern Railroad Company
EBSR	East Brookfield and Spencer Railroad
EIRR	Eastern Idaho Railroad
EMRY	Eastern Maine Railway
EVWR	Evansville Western Railroad, Inc.
EWG	EASTERN WASHINGTON GATEWAY RAILROAD
FCRD	FIRST COAST RAILROAD, INC.
FWWR	FORT WORTH & WESTERN RAILROAD
GCK	Georges Creek Railway
GCSC	Gulf Coast Switching Company, LLC
GDLK	GRAND ELK RAILROAD, LLC.
GFRR	GEORGIA AND FLORIDA RAILWAY, INC.
GLC	GREAT LAKES CENTRAL RAILROAD
GNWR	GENESEE AND WYOMING RAILROAD COMPANY
GTRA	GOLDEN TRIANGLE RAILROAD, LLC
GU	Grafton and Upton Railroad

Respondent

<u>Codes</u>	<u>Respondent Names</u>
GVSR	GALVESTON RAILWAY, INC.
GWR	GREAT WESTERN RAILWAY COMPANY
GWWE	GATEWAY EASTERN RAILWAY COMPANY
HERQ	Herzog Railroad Services
HOG	HEART OF GEORGIA RAILROAD, INC.
HRRC	HOUSATONIC RAILROAD COMPANY, INC.
HRT	HARTWELL RAILROAD COMPANY
IAIS	Iowa Interstate Railroad
IANR	IOWA NORTHERN RAILWAY COMPANY
IHB	Indiana Harbor Belt Railroad Company
IMSA	Intermodal Services of America
INRD	The Indiana Rail Road Company
IORY	INDIANA & OHIO RAILWAY COMPANY
IR	ILLINOIS RAILWAY
ITC	INTERCONTINENTAL TERMINALS COMPANY, LLC
JAIL	Jackson & Lansing Railroad Company
KCS	The Kansas City Southern Railway Company
KFR	KETTLE FALLS INTERNATIONAL RAILWAY, LLC.
KO	Kansas & Oklahoma Railroad, Inc.
KRR	KIAMICHI RAILROAD CO., LLC.
KYLE	KYLE RAILROAD CO.
LAL	LIVONIA, AVON & LAKEVILLE RAILROAD CORPORATION
LAMX	LOS ANGELES COUNTY METROPOLITAN TRANS AUTHORITY
LAS	LOUISIANA SOUTHERN RAILROAD
LBWR	Lubbock & Western Railway, L.L.C.
LC	Lancaster & Chester Railroad LLC
LCR	LAKE RAILWAY
LI	LONG ISLAND RAILROAD
LIRC	LOUISVILLE & INDIANA RAILROAD COMPANY
LKRR	LITTLE KANAWHA RIVER RAIL
LNW	LOUISIANA & NORTH WEST RAILROAD COMPANY
LSI	Lake Superior & Ishpeming Railroad Company
LSRC	LAKE STATE RAILWAY COMPANY
MBAX	Massachusetts Bay Commuter Railroad Company
MBRR	Meridian & Bigbee Railroad, LLC.
MCCP	MUSKOGEE CITY-COUNTY PORT AUTHORITY
MEC	Maine Central Railroad Company
MHWA	Mohawk, Adirondack & Northern Railroad Corp.
MMRR	MID-MICHIGAN RAILROAD, INC.

Respondent

<u>Codes</u>	<u>Respondent Names</u>
MMT	Mission Mountain Railroad
MNA	MISSOURI & NORTHERN ARKANSAS RAILROAD CO., INC.
MNCW	Metro-North Commuter Railroad Company
MNNR	MINNESOTA COMMERCIAL RAILWAY
MRL	Montana Rail Link
MRLS	Mission Rail Logistic Services
MSDR	MISSISSIPPI DELTA RAILROAD
MSE	Mississippi Export Railroad Company
MSN	Meeker Southern Railroad
MUNX	San Francisco Municipal Transportation Agency
NCT	North Charleston Terminal Co.
NCTC	North County Transit Coaster
NCVA	NORTH CAROLINA & VIRGINIA RAILROAD CO., LLC
NECR	NEW ENGLAND CENTRAL RAILROAD, INC.
NERR	NASHVILLE & EASTERN RAILROAD
NHN	New Hampshire North Coast Railroad
NHRR	New Hope & Ivyland Railroad
NICD	Northern Indiana Commuter Transportation District
NIRC	Northeast Illinois Regional Commuter RR Corp.
NJTR	NEW JERSEY TRANSIT RAIL OPERATIONS
NKCR	NEBRASKA KANSAS & COLORADO RAILNET, INC.
NMRX	NEW MEXICO DEPARTMENT OF TRANSPORTATION
NSSX	NORTH SHORE SCENIC RAILROAD
NSWS	National Switching Services
NTZR	Natchez Railway, LLC
NVRR	NAPA VALLEY RAILROAD
NYA	NEW YORK AND ATLANTIC RAILWAY COMPANY
NYSW	The New York Susquehanna and Western Railway Corp.
OUCH	OUACHITA RAILROAD COMPANY
PAL	PADUCAH & LOUISVILLE RAILWAY COMPANY
PAS	Pan Am Southern LLC.
PCC	Palouse River & Coulee City Railroad Inc.
PCMZ	CALTRAIN COMMUTER RAILROAD COMPANY
PGBX	Port of Greater Baton Rouge
PGR	PROGRESSIVE RAIL, INC.
PN	Pennsylvania Northeastern Railroad
PNR	PANHANDLE NORTHERN
PNRW	Piedmont & Northern Railway
PNWR	PORTLAND AND WESTERN RAILROAD INC.

Respondent

<u>Codes</u>	<u>Respondent Names</u>
POVA	PEND OREILLE VALLEY RAILROAD, INCORPORATED
PSAP	PUGET SOUND & PACIFIC RAILROAD
PTRA	PORT TERMINAL RAILROAD ASSOCIATION
PW	PROVIDENCE AND WORCESTER RR COMPANY
QCRJ	Queen City Railroad Construction
RJCC	R.J. Corman Railroad Company/Central Kentucky Line
RJCP	R. J. Corman Railroad Company/Pennsylvania Lines
RLAX	Rail Logix Ameriport, LLC
RPRC	Richmond Pacific Railroad Corp.
RTDC	Regional Transportation District- Commuter
SAPT	SAVANNAH PORT TERMINAL RAILROAD
SAV	Sacramento Valley Railroad
SCAX	Southern California Regional Rail Authority
SCR	Central Puget Sound Regional Transit Authority
SCXF	SOUTH CENTRAL FLORIDA EXPRESS, INC.
SCXY	ST. CROIX VALLEY RAILROAD
SEPA	Southeastern Pennsylvania Transportation Authority
SFRV	South Florida Regional Transportation Authority
SFS	SANTA FE SOUTHERN RAILWAY, INC.
SJVR	San Joaquin Valley Railroad Co.
SKOL	South Kansas and Oklahoma Railroad Company
SLGW	Salt Lake, Garfield & Western Railway Company
SLWC	Stillwater Central Railroad Co., Inc.
SMRT	Sonoma Marin Area Rail Transit (SMART)
SOU	Norfolk Southern Railway Company
ST	SPRINGFIELD TERMINAL RAILWAY COMPANY
SW	Southwestern Railroad, Inc.
TASD	Terminal Railway Alabama State Docks
TIBR	Timber Rock Railroad Company, Inc.
TMBL	Tacoma Municipal Belt Line Railway
TNER	TEXAS NORTHEASTERN RAILROAD
TRE	TRINITY RAIL EXPRESS
TRRA	Terminal Railroad Association of St. Louis
TSWS	Terminal Switching Services
TTR	Talleyrand Terminal Railroad
TVRM	TVRM Tennessee Valley RR
TXN	Texas New Mexico Railway, LLC.
TXPF	Texas Pacifico Transportation, Ltd.
TXR	TEXAS ROCK CRUSHER RAILWAY CO.

Respondent

<u>Codes</u>	<u>Respondent Names</u>
UFRC	UTAH FRONTRUNNER COMMUTER RAIL
UP	Union Pacific Railroad Company
UTAH	UTAH RAILWAY COMPANY
VSOR	VICKSBURG SOUTHERN RAILROAD
WATX	WATCO Switching
WBRW	West Belt Railway LLC
WE	Wheeling & Lake Erie Railway Company
WGSB	Wabtec Global Services Houston
WNYP	WESTERN NEW YORK & PENNSYLVANIA RAILROAD
WTA	WICHITA TERMINAL ASSOCIATION
WTNN	West Tennessee Railroad LLC
XAAL	AAW- Alliance
XAHM	American Honda Motors
XAIR	Airgas Carbonic Industries, Inc.
XASA	All States Asphalt, Inc.
XASC	AMERICAN CRYSTAL SUGAR COMPANY
XAWH	Adams Warehousing LLC
XAWS	Archer Western Contractors
XBAL	Balchem Corporation
XBBR	Bombardier Mass Transit Corporation
XBBT	Transload Limited, LLC (BBTL, LLC)
XBCI	BULLOCK CONSTRUCTION, INC.
XBCP	BP Cherry Point Refinery
XBIA	Columbian Chemical Co.
XBLA	Blaine Nolker Construction, LLC
XBNE	Brink Engineering Solutions, LLC.
XBPE	B & P Enterprises
XBPI	BP Chemical, Inc.
XBWO	Big West Oil
XBWP	Boise White Paper
XCBB	Cooper Tire & Rubber
XCDL	CDL ELECTRIC COMPANY
XCFT	Cimcool Fluid Technologies
XCHS	CHS, INC.
XCOY	Coyote Logistics
XCPH	Colasphalt
XCSE	C&S Rail Services
XCSG	Certainteed Saint-Gobain
XCVL	CITY SERVICES VALCON LLC

Respondent

<u>Codes</u>	<u>Respondent Names</u>
XDBS	Diamondback Signal
XDPU	Department of Public Works, Clark County WA
XDSA	Dakota Spirit AgEnergy LLC.
XEEL	Estes Express Lines
XEID	E.I. du Pont de Nemours and Company
XFBR	Fibrant LLC
XFEF	FedEx Freight, Inc.
XFMC	FREEPORT-MCMORAN INC.
XFUJ	Fuji Hunt Photo Chemicals
XGEO	Georgia Pacific, LLC.
XGON	Gonzalez and Sons Equipment, Inc.
XGTP	Gulf Transport, LLC
XHOD	Home Depot
XIPH	Iowa Pacific Holdings, LLC.
XJBL	Jones Blair Company
XJJC	J.J. Curran-Crane Company
XJMR	Jay - Mar, Inc.
XJPC	J.A. Placek Construction Co.
XK2P	K2 Pure Solutions
XKAC	KA Steel Chemicals, Inc.
XLCH	LinPhos Chemical, Inc.
XLHM	Lockheed Martin Corporation
XLOC	L.A. COLO RAILROAD CONTRACTORS
XLOV	Loveland Products Inc.
XLTG	LANSING TRADE GROUP
XMCQ	MARTTS COMPANY
XMKW	MarkWest Hydrocarbon, L.L.C.
XMMC	Midwest Missouri Contractors
XMMF	MIDLAND MFG. CO.
XMOC	Monsanto Chemicals Co.
XNCO	NATURICH COSMETIQUE LABS, INC.
XNST	NORTH SHORE TRACK SERVICES
XOCZ	Okeelanta Corporation
XOHL	OHL Community Asphalt
XOIC	Oak International Company
XOWR	OWSA Rail Car, Inc.
XPFF	DuraFiber Technologies
XPMO	PMC Organometallics, Inc.
XPTH	Pryor Track and Hoe

Respondent

<u>Codes</u>	<u>Respondent Names</u>
XRAD	Railroad Controls Limited
XRCC	Railroad Construction Co. of South Jersey, Inc.
XRJC	R. J. Corman Construction
XRLE	RLE International
XRWH	RWE Holding Company
XRWQ	Railworks Track Services, Inc.
XRWT	RailWorks MOW, Inc.
XSLP	SAMS LP GAS
XSPO	Specialty Polymers, Inc.
XSSI	SMI Steel Db a CMC Steel
XSUG	Sugar Cane Growers Cooperative of Florida
XTAL	TALGO, INC.
XTGS	Trans-Global Solutions, Inc.
XTII	Tree Island Industries
XVSP	VERSO PAPER
XWCT	West Central Coop.
XWDN	Warren Distribution
XWFA	Western Fuels Association, Inc.
XWLF	Associated Energy Services
XWTB	W.T. Byler Company
XWTS	Watco Transportation Services
XXWE	WESCO
XYRC	YRC Freight
YCR	YCR Corp.
YRC	York Railway Company
YVRR	Yadkin Valley Railroad Co.
ZAAO	AOC LLC
ZABE	Absolute Energy
ZABEQ	Drivetrain, LLC, as Trustee
ZABS	ABF Freight System, Inc.
ZACE	Albemarle Corporation
ZACH	ASHTA CHEMICALS, INC.
ZACR	ADM CORN PROCESSING
ZADL	Alberta Diluent Terminal, Ltd.
ZADN	The Andersons Ethanol
ZADQ	Alberta Distillers Limited
ZADR	ADM Processing
ZAEO	ARLANXEO Canada Inc.
ZAER	AEROPRES CORPORATION

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZAFU	Asphalt & Fuel Supply
ZAGT	AmeriGas Propane L.P.
ZAIL	AIR LIQUIDE LARGE INDUSTRIES US LP
ZAIO	American Iron Oxide Co.
ZAKN	Akzo Nobel Functional Chemicals LLC
ZAKP	Anadarko Petroleum Corporation
ZAKT	AKTOPA LLC
ZALC	Asarco LLC
ZALM	Alliance Midstream-Benson Propane Terminal
ZALN	ALON, USA, LP
ZALQ	Air Liquide Industrial U.S. LP
ZAMC	ARCHER DANIELS MIDLAND CO.
ZAMU	ArrMaz Custom Chemicals
ZANM	Ace Completion Enhancement Services, L.P.
ZAO	Apex Oil Company, Inc.
ZAOW	Arrow Reload Systems, Inc.
ZAPG	AEP Industries Inc.
ZAPM	Ascend Performance Materials LLC
ZARG	Airgas Carbonic
ZARGR	American Refining Group, Inc.
ZARJ	Arrow Material Services
ZARK	ARKEMA, INC.
ZASR	AMERICAN SYNTHETIC RUBBER COMPANY
ZAUL	ALLIED UNIVERSAL CORPORATION
ZAUX	AUX SABLE LIQUID PRODUCTS, INC.
ZAVX	AdvanSix
ZAWO	Arch Wood Protection, Inc.
ZAXI	Axiall Corporation
ZAZT	AutoZone, Inc.
ZBADG	BADGER STATE ETHANOL
ZBAH	Baker Hughes Inc.
ZBAS	BASF CORPORATION
ZBCU	Blue Cube Operations LLC
ZBEA	Beauchan Rail Services
ZBEO	Berthold Oil Terminal
ZBEP	Buckeye Partners
ZBEX	BOREN EXPLOSIVES CO., INC.
ZBFM	Bailey Feed Mill, Inc.
ZBFR	Brandt's Fertilizer Service

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZBGL	Brenntag Great Lakes, LLC
ZBGR	Bio Gro Inc.
ZBHS	BHS Specialty Chemical Products
ZBKA	Braskem America, Inc.
ZBKL	BUCKMAN LABORATORIES
ZBKO	Bakken Oil Express LLC
ZBKT	BULKMATIC TRANSPORT COMPANY
ZBLK	Blackson Arrow
ZBMA	Bayer Material Science LLC
ZBMI	BUSHMILLS ETHANOL
ZBMR	Benchmark River & Rail Terminals
ZBNO	Blackwater New Orleans, LLC.
ZBOO	B & L Pools
ZBOS	BAE ORDNANCE SYSTEMS, INC.
ZBPA	BP America, Inc.
ZBPH	Blick's Phosphate Conversions LLC
ZBPR	BP-Husky Refinery
ZBRM	Blue Racer Midstream, LLC
ZBRP	BRENNTAG PACIFIC, INC.
ZBRT	Brasseur Transport Inc.
ZBSG	Blue Star Gas, Inc.
ZBSN	Basin Transload, LLC
ZBSW	BRENNTAG SOUTHWEST
ZBTC	BULK TRANSPORTATION COMPANY
ZBTCI	BRENNTAG CANADA, INC.
ZBYC	Bayer CropScience LP.
ZBYT	Buckeye Transfer Realty LLC
ZCAO	Cando Rail Services LTD
ZCCF	Consumer Co-Op Refiners
ZCCM	CARGILL-CORN MILLING DIVISION
ZCDL	Cardinal Ethanol, LLC
ZCDS	Chem Design
ZCEE	Centennial Energy
ZCEF	CHIEF ETHANOL FUELS
ZCEJ	CENTER ETHANOL COMPANY, LLC
ZCELA	Celanese
ZCFC	Chemours Co. FC, LLC
ZCFRQ	CFR CHEMICAL
ZCHEV	Chevron Products Company

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZCJZ	Caljet of America
ZCLY	Crystal Valley Co-Op
ZCM2	CAM2 International, LLC
ZCMA	CMA-CGM (AMERICA)
ZCMM	Camco Manufacturing, Inc.
ZCMP	CHEMICAL PRODUCTS CORPORATION
ZCNC	CHEROKEE NITROGEN
ZCO2	Chemical Solvents
ZCODG	CODY GROUP
ZCOH	Conchemco Inc.
ZCOLA	COCA COLA - USA
ZCOO	COOPERATIVE REFINING LLC
ZCOV	Covestro LLC.
ZCPCL	Chevron Phillips Chemical Company LP
ZCQU	CRT/Quadgraphics
ZCRQ	CRT
ZCRS	CARSON OIL
ZCRY	CHEMTRADE REFINERY SERVICES, INC.
ZCSK	Carbonfree Chemicals
ZCSM	Crestwood Midstream Partners LP
ZCSX	CSX INTERMODAL TERMINALS, INC.
ZCT	COLONIAL TERMINALS
ZCUI	Chevron USA, Inc.
ZCVO	Chevron Oronite
ZCYE	Cheyenne Rail Hub, LLC
ZDAA	Daikin America, Inc.
ZDAK	DAK AMERICAS LLC
ZDBW	D.B. WESTERN, INC
ZDCG	Delta Companies Group
ZDCU	The Dow Chemical Company
ZDCUC	DOW CHEMICAL CANADA INC.
ZDCZ	Deltech Corporation
ZDDE	DuPont Performance Elastomers LLC
ZDDT	DedicatedTCS, LLC
ZDF	DUPONT
ZDIQ	Daramic, LLC
ZDIT	Diamond Trucking
ZDKE	DAKOTA ETHANOL
ZDNA	Diageo Americas Supply, Inc.

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZDPCI	D P C INDUSTRIES, INC.
ZDPT	DELTECH POLYMERS CORPORATION
ZDSQ	Dupont Specialty Chemical Company
ZDTR	DOMINION TRANSMISSION, INC.
ZDUB	DU BOIS Chemicals
ZDUP	E.I. DUPONT DE NEMOURS AND COMPANY
ZDYI	DYNO NOBEL, INC.
ZEACH	EASTMAN CHEMICAL COMPANY
ZECD	EMCO CHEMICAL DISTRIBUTORS, INC.
ZEEM	Enbridge
ZEGL	Energy Logistics
ZEID	El Dupont De Nemours & Co
ZEKO	EKO Peroxide
ZELEM	Elementis Chromium Inc.
ZEMCC	ExxonMobil Corporation
ZEMD	EPIC Midstream LLC
ZENE	Energy Transport, LLC.
ZEOB	ECOLAB, Inc.
ZEOR	EOG Resources, Inc.
ZEPC	Enterprise Products Operating LLC
ZEQU	EQUISTAR CHEMICALS LP
ZERS	Eagle Railcar Services
ZESR	Eco Services Operations Corp.
ZETN	Ethanol Products
ZEVC	EVONIK CYRO LLC
ZEVD	Evonik Corporation
ZEXM	ExxonMobil Corporation
ZFAZ	FERTIZONA
ZFCC	The Chemours Company, FC LLC
ZFHR	Flint Hills Resources
ZFLZ	FLOCRYL/SNF HOLDING COMPANY
ZFMC	Tronox Alkali Wyoming Corporation
ZFPC	FORMOSA PLASTICS CO.
ZGCL	GEOCYCLE LLC
ZGEO	Geo Specialty Chemicals, Inc.
ZGEPA	Georgia Pacific Company
ZGEU	GIBSON ENERGY ULC
ZGFE	Greenfield Ethanol, Inc.
ZGGE	GOLDEN GRAIN ENERGY

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZGIL	Giles Chemical
ZGLE	Glacial Lakes Energy, LLC
ZGPE	GREEN PLAINS RENEWABLE ENERGY
ZGPF	Georgia-Pacific Chemicals LLC.
ZGPJ	Graphic Packaging International
ZGRE	GRANITE FALLS ENERGY
ZGSD	GLACIER STATE DISTRIBUTION
ZGSR	Gas Supply Resources, LLC.
ZGSZ	SGS
ZGTR	The Goodyear Tire & Rubber Co.
ZGUE	Guardian Energy
ZHAP	Haviland Products, Inc.
ZHCG	HUNTSMAN CORPORATION
ZHCM	HCH Marketing Co.
ZHCP	Heartland Corn Products
ZHCQ	Heritage-Crystal Clean, LLC
ZHEI	HEXION Inc.
ZHET	POET Biorefining-Jewell
ZHFR	HollyFrontier Refining & Marketing LLC
ZHGN	Harbach Gillan and Nixon, Inc.
ZHGQ	HUB GROUP, INC.
ZHIC	HYUNDAI INTERMODAL, INC.
ZHILL	HILL BROTHERS CHEMICAL CO.
ZHKR	Hankinson Renewable Energy
ZHLA	HAPAG - LLOYD AMERICA, INC.
ZHLR	Husky Lima Refinery
ZHMO	HAMPEL OIL DISTRIBUTORS, INC.
ZHNI	Honeywell International, Inc.
ZHOY	Holly Refining & Marketing - Tulsa LLC
ZHPR	HUNTSMAN PERFORMANCE PRODUCTS
ZHRI	Heritage Transport, LLC
ZHRM	HOLLY ENERGY PARTNERS
ZHRS	Horsehead Corporation
ZHSA	Hasa Chemical Corporation
ZHSL	Hunt Southland Refining Company
ZHTE	Host Terminals
ZHWK	Hawkins, Inc.
ZHYC	HYDRITE CHEMICAL CO.
ZHYR	Hoyer Global (USA) Inc.

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZIBO	IROQUOIS BIO-ENERGY COMPANY, LLC
ZICS	Imperial Chain Solutions
ZIMO	Imperial Oil Limited
ZIMT	International Matex Tank Terminals
ZIMTB	IMTT BAYONNE
ZINN	INEOS Oligomers USA LLC
ZINTT	International Matex Tank Terminals
ZIOD	Imperial Oil Chemical Div.
ZIOR	Innocor, Inc.
ZIP	INTERNATIONAL PAPER COMPANY
ZIPR	Zinpro Corporation
ZIRO	IRVING OIL COMPANY
ZITGC	INTERGULF CORPORATION
ZITT	INTERCONTINENTAL TERMINALS COMPANY
ZIWI	International Waxes, Inc.
ZJBB	JIM BEAM BRANDS
ZJBH	JB Hunt
ZJCC	JCI JONES CHEMICALS, INC.
ZJHO	JONES-HAMILTON COMPANY
ZJRS	J. R. SIMPLOT COMPANY
ZJTR	J. T. Russell & Sons, Inc.
ZJVE	POET Biorefining-Groton
ZKAG	KAG Ethanol Logistics
ZKDM	Kinder Morgan Energy Partners, L.P.
ZKML	Kinder Morgan Liquids Terminals, LLC
ZKMQ	Kinder Morgan
ZKPI	Koppers Inc.
ZKUH	Kuhlman Corporation
ZKYE	Keyera Corp.
ZLAN	Lanxess Inc.
ZLBZ	Lubrizol
ZLCE	LINCOLN ENERGY SOLUTIONS
ZLCO	LARSEN COOPERATIVE
ZLDE	LYONDELL CHEMICAL CO.
ZLDI	Linde North America, Inc.
ZLDR	Louis Dreyfus Company LLC
ZLEV	LEVECKE CORPORATION
ZLFI	Lamplight Farms, Inc.
ZLHP	LBC Houston

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZLOC	Lion Oil Company
ZLPY	LYONDELL PETROCHEMICAL COMPANY
ZLQT	LIQUIDS TRANSLOADING
ZLRQ	LOMITA RAIL TERMINAL
ZLSH	Lone Star NGL Hattiesburg LLC
ZLSI	Locomotive Service, Inc.
ZLSN	LONE STAR NGL MONT BELVIEU LP
ZLSQ	LeSaint Logistics
ZLTL	LIQUIDTITAN, LLC.
ZLUB	Lubrizol Corporation
ZMAF	Maverick Fuel Oil Terminal
ZMAX	METHANEX METHANOL COMPANY
ZMBA	Monument Chemical Baytown
ZMCK	Mallard Creek Polymers, Inc.
ZMEL	Monroe Energy LLC.
ZMER	Merichem Company
ZMFQ	Mosaic Fertilizer LLC
ZMGD	MGPI of Indiana, LLC
ZMGL	Magellan Pipeline Company, L.P.
ZMGS	MARTIN PRODUCT SALES, LLC
ZMHO	Monument Chemical Houston, Ltd.
ZMIP	MAERSK LINE, INC.
ZMIR	Meier's Wine Cellars
ZMMM	3-M MINNESOTA MINING & MFG. CO.
ZMNP	Marathon Petroleum Company
ZMOP	MARTIN OPERATING TERMINAL
ZMRE	Martin Resources, Inc.
ZMROC	MOBILE ROSIN OIL COMPANY, INC.
ZMSA	MOUNTAIN STATE CARBON
ZMSW	M.S. Walker, Inc.
ZMTE	Motiva Enterprises, LLC
ZMU	MUREX N.A., LTD.
ZMUS	MARYSVILLE UNDERGROUND STORAGE TERMINAL
ZMUSK	MUSKET CORPORATION
ZMWC	MeadWestvaco Corporation
ZMYT	Manly Terminal
ZNALS	Naca Logistics (RR/NALQ)
ZNAO	Nalco Champion
ZNBX	NELSON BROTHERS

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZNCE	NORTH COUNTRY ETHANOL
ZNDM	Domtar Paper Company LLC
ZNDP	NORTH DAKOTA PORT SERVICES, INC.
ZNDX	Nordex Explosives, Ltd.
ZNEP	NGL Energy Partners
ZNH3	NH-3 Services Co.
ZNIA	NIACET CORPORATION
ZNPR	Enterprise Products
ZNPT	NewPort Tank Containers Inc.
ZNSE	NUSTAR TERMINALS PARTNERS TEXAS LP
ZNSL	NGL SUPPLY COMPANY, LTD.
ZNTR	NATIONAL REFRIGERANTS, INC
ZNUC	NUCOR STEEL CORPORATION
ZNUS	NuStar Terminals Operations Partnership L.P.
ZNXE	Nexeo Solutions Company
ZNYK	NYK LINE, INC.
ZOCC	Occidental Chemical Corporation
ZODD	Double D Warehouse
ZOEE	One Earth Energy, LLC
ZOLI	OLIN CORPORATION
ZOLO	Colonial Chemical Solutions, Inc.
ZORG	ORG CHEM Group, LLC
ZOTER	ODFJELL TERMINALS (HOUSTON), INC.
ZOTT	Oiltanking Texas City L.P.
ZOXB	OXBOW Sulphur, Inc.
ZPAA	Pharmco-Aaper
ZPBB	POET Biorefining-Big Stone
ZPBH	POET Biorefining-Hudson
ZPCN	PCS NITROGEN
ZPCSS	PCS SALES (USA), INC.
ZPEA	Poet Ethanol Products-Atlantic
ZPEC	PeroxyChem
ZPG	PROCTER & GAMBLE
ZPIL	PILOT CHEMICALS
ZPKG	PACKAGING CORPORATION OF AMERICA
ZPLP	PARALLEL PRODUCTS
ZPMS	Plains Midstream Canada, LLC
ZPNA	Pembina Pipeline Corp.
ZPND	Practical Needs, Inc.

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZPNF	PCS Nitrogen Fertilizer
ZPOM	PORT OF MONTANA
ZPRF	PATRIOT RENEWABLE FUELS, LLC
ZPRX	PRAXAIR, INC.
ZPSE	Pursue Energy
ZPVA	Prinova US LLC
ZPVS	PVS Chemicals, Inc.
ZPVT	PVS TECHNOLOGIES, INC.
ZPXR	Praxair Canada, Inc.
ZPYT	Puryear Tank Lines
ZQCO	Quad County Corn Processors
ZQCR	Quality Carriers
ZQFL	Qingdao Fortune Logistics Co. Ltd.
ZRAZ	Reichold, Inc., AZUSA Plan-Bulk Storage
ZRBM	RB Manufacturing, LLC.
ZRCA	Ruetgers Canada, Inc.
ZRCC	ROWELL CHEMICAL CORP.
ZRCH	RECOCHEM
ZRCQ	REAGENT CHEMICAL & RESEARCH
ZRDI	RED RIVER SUPPLY, INC.
ZREBO	REBEL OIL COMPANY
ZREG	Renewable Energy Group
ZREM	REMET CORPORATION
ZRHK	ROHM & HAAS COMPANY
ZRKP	Rockville Propane Terminal LLC.
ZRLC	Greenwood Motor Line
ZRLG	Rail Link
ZRLO	Rail Loading Services, LLC
ZRNW	Rail Renewables, LLC
ZRPM	Renewable Product Marketing Group, LLC
ZRSF	Resolute Forest Products
ZRSH	RSI LOGISTICS, INC.
ZRTE	RED TRAIL ENERGY
ZSCC	SHELL CHEMICAL LP
ZSCO	Solae Company
ZSCQ	SOUTHERN CHEMICAL CORPORATION
ZSENT	SENTRY INDUSTRIES
ZSEU	SUNCOR ENERGY (USA), INC.
ZSHL	Shell Canada Products

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZSHQ	Shintech, Inc.
ZSI	Southern Ionics, Inc.
ZSIND	SEELER INDUSTRIES
ZSKI	Safety-Kleen Systems, Inc.
ZSMV	Somavrac, Inc.
ZSNA	Schneider National Carriers, Inc.
ZSNK	Servitank, Inc.
ZSNR	Sun Products Corporation
ZSOC	SHELL OIL COMPANY
ZSOLI	SOLUTIA, INC.
ZSRE	Suncor Energy Products, Inc.
ZSSCO	SAVAGE SERVICES CORPORATION
ZSTQ	STEPAN COMPANY
ZSUC	Superior Carriers, INC.
ZSUN	SUN CHEMICAL CORPORATION
ZSUR	SURPASS CHEMICAL COMPANY, INC.
ZSYS	SYSTECH ENVIRONMENTAL CORPORATION
ZTAG	TRENTON AGRI PRODUCTS
ZTAM	TAMINCO US, INC.
ZTCML	TECK COMINCO METALS LTD.
ZTDW	Tidewater Terminal Company
ZTERM	TESORO REFINING AND MARKETING COMPANY
ZTFS	Team Facility Services-ND, LLC
ZTFT	Transflo Terminal Services
ZTGM	Tesoro GP Midstream LLC
ZTGS	Targa Sound Terminal LLC
ZTIR	Titan Transportation Services, LLC
ZTKA	TEKNOR APEX COMPANY
ZTLA	Associated Asphalt
ZTMT	TransMontaigne Product Services, Inc.
ZTQT	Torq Transloading, Inc.
ZTRF	TRONO FUELS
ZTRSP	TROPICAL SHIPPING USA, LLC
ZTSS	Tessengerlo Kerley, Inc.
ZTTM	Tradebe Treatment and Recycling, LLC
ZTWR	TWINCO ROMAX
ZUDG	U.S. DEVELOPMENT GROUP
ZUEC	US Ecology
ZULB	UNIVERSAL LUBRICANTS, LLC.

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZULM	Valero Energy Inc.
ZUMQ	US MAGNESIUM LLC
ZUNC	Union Carbide Corporation
ZUNIV	UNIVAR USA INC.
ZUPS	UNITED PARCEL SERVICE, INC.
ZUPT	UPS FREIGHT
ZURC	UNITED REFINING COMPANY
ZUTC	UNION TANK CAR COMPANY
ZVALM	Valero Marketing and Supply Company
ZVHC	Van Hook Crude Terminal
ZVNW	Vopak Terminal North Wilmington
ZVPK	Vopak USA
ZVSA	Vopak Terminal Savannah
ZVSV	Velocity Services, LLC
ZVTM	Vopak Terminals of Canada
ZVTZ	VOPAK TERMINAL DEER PARK
ZVYE	POET Biorefining-Emmetsburg
ZWATC	Watco Companies LLC
ZWCO	Western Co-op Transport
ZWEC	Wilbur Ellis Co.
ZWIE	Western Iowa Energy LLC.
ZWLC	WESTLAKE CHEMICAL CORPORATION
ZWMS	WILLIAMS MIDSTREAM
ZWPCO	Western Petroleum Company
ZWPO	Westpoint Transportation, Inc.
ZWPQ	WATERFRONT PETROLEUM TERMINAL
ZWRC	WYOMING REFINING COMPANY
ZWRE	WESTERN REFINING COMPANY
ZWRG	W.R. GRACE & COMPANY-CONN.
ZWRK	WestRock Mill Company
ZWRL	WestRock Coated Board, LLC
ZWRQ	Wynnewood Refining Company, LLC
ZWRR	WRR Environmental
ZWST	Westway Terminal Company LLC
ZXTS	Xtreme Transloading Services, LLC
ZZPM	Predator Midstream LTD
ZZTL	Zip Truck Lines, Inc.