

**Federal
Railroad
Administration**

**Fiscal Year 2016
Enforcement Report**

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Federal Railroad Administration Fiscal Year 2016 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.

In 2016, for a second year in a row, as part of a continued effort to increase consequences of violations which negatively impact safety, FRA took significant steps to increase penalty amounts paid by railroads. This FY 2016 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 2016**

**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:	68,337
Defects:	293,558
Units:	3,096,326
Number of Observations:	291,765
Number of Reports with a Recommended Violation:	4,240
Number of Recommended Violation Defects:	11,879
Number of Inspection Days:	52,998

2. Railroads Only

Number of Inspection Reports:	62,407
Defects:	280,205
Units:	3,029,770
Number of Observations:	273,522
Number of Reports with a Recommended Violation:	3,473
Number of Recommended Violation Defects:	10,534
Number of Inspection Days:	50,073

**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	220

2. Grade Crossing Signal System Safety

Violation Type	Number of Recommended Violations
Grade Crossing Signal Safety	1,240

3. Hazardous Materials

Violation Type	Number of Recommended Violations
Hazardous Materials	1,880

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	573
Locomotive Safety Standards	297
Passenger Equipment Safety Standards	93
Passenger Train Emergency Preparedness	9
Rear End Marking Devices	2
Safety Appliance Statutes and Regulations	1,398
Safety Glazing Standards	2
Steam Locomotive Inspection and Maintenance	0
All	2,374

6. Railroad Operating Practices

Violation Type	Number of Recommended Violations
Alcohol and Drug Use	211
Conductor Qualifications	26
Critical Incident Stress Plans	1
Engineer Qualifications	49
FRA Emergency Order(s)	0
Hours of Service Laws and Regulations	124
Hours of Service Record Keeping	234
Railroad Communications	21
Railroad Operating Practices	624
Railroad Operating Rules	234
Railroad Safety Enforcement Procedures	49

Train Horn/Quiet Zone	10
All	1,583

7. Signal and Train Control

Violation Type	Number of Recommended Violations
Signal Inspection Regulations	319

8. Track

Violation Type	Number of Recommended Violations
Bridge Safety Standards	5
Bridge Worker Safety Standards	9
Roadway Worker Protection	184
Track Safety Standards	4,060
All	4,258

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

1. Class I Railroads

Number of Inspection Reports:	45,095
Defects:	204,001
Units:	2,410,387
Number of Observations:	201,944
Number of Reports with a Recommended Violation:	2,577
Number of Recommended Violation Defects:	7,598
Number of Inspection Days: ⁵	37,048

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:	2,211
Defects:	10,981
Units:	165,808
Number of Observations:	10,338
Number of Reports with a Recommended Violation:	94
Number of Recommended Violation Defects:	140
Number of Inspection Days:	1,986

3. Probable Class III Railroads

Number of Inspection Reports:	15,101
Defects:	65,223
Units:	453,575
Number of Observations:	61,240
Number of Reports with a Recommended Violation:	802
Number of Recommended Violation Defects:	2,796
Number of Inspection Days:	12,936

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 2015—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.; Iowa Interstate Railroad, Ltd.; Montana Rail Link; Paducah & Louisville Railway Co.; Portland & Western Railroad, Inc.; 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:	9,593
Defects:	45,703
Units:	540,063
Number of Observations:	43,214
Number of Reports with a Recommended Violation:	662
Number of Recommended Violation Defects:	1,426
Number of Inspection Days:	8,251

2. Canadian National Railway/Grand Trunk Corporation

Number of Inspection Reports:	2,277
Defects:	10,828
Units:	120,920
Number of Observations:	10,377
Number of Reports with a Recommended Violation:	144
Number of Recommended Violation Defects:	608
Number of Inspection Days:	2,028

3. Canadian Pacific Railway/Soo Line Railroad Company

Number of Inspection Reports:	1,998
Defects:	11,913
Units:	156,011
Number of Observations:	9,191
Number of Reports with a Recommended Violation:	197
Number of Recommended Violation Defects:	539
Number of Inspection Days:	1,646

4. CSX Transportation, Inc.

Number of Inspection Reports:	9,594
Defects:	41,398
Units:	513,870
Number of Observations:	43,237
Number of Reports with a Recommended Violation:	396
Number of Recommended Violation Defects:	1,067
Number of Inspection Days:	8,113

5. The Kansas City Southern Railway Company

Number of Inspection Reports:	1,146
Defects:	5,382
Units:	65,677
Number of Observations:	4,915
Number of Reports with a Recommended Violation:	37
Number of Recommended Violation Defects:	89
Number of Inspection Days:	1,006

6. National Railroad Passenger Corporation (Amtrak)

Number of Inspection Reports:	1,693
Defects:	1,922
Units:	18,392
Number of Observations:	6,415
Number of Reports with a Recommended Violation:	40
Number of Recommended Violation Defects:	66
Number of Inspection Days:	1,459

7. Norfolk Southern Railway Company

Number of Inspection Reports:	7,045
Defects:	33,233
Units:	394,011
Number of Observations:	32,136
Number of Reports with a Recommended Violation:	311
Number of Recommended Violation Defects:	524
Number of Inspection Days:	6,029

8. Union Pacific Railroad Company

Number of Inspection Reports:	11,749
Defects:	53,622
Units:	601,443
Number of Observations:	52,459
Number of Reports with a Recommended Violation:	790
Number of Recommended Violation Defects:	3,279
Number of Inspection Days:	10,050

III. SUMMARIES OF CIVIL PENALTY INITIAL ASSESSMENTS, SETTLEMENTS, AND FINAL ASSESSMENTS IN FY 2016

A. IN GENERAL⁷

Summary 1

Summary 1 provides a broad overview of penalties FRA initially assessed during FY 2016, the initial penalty assessment for cases closed during FY 2016, 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 2016 (through demand letters or, in hazmat cases, notices of probable violation);
- The number of violation reports that FRA declined to enforce in FY 2016 after legal review;
- The initial amount of civil penalties assessed for violations in FY 2016 (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 2016;
- 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 2016 (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 2016.⁸

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 2016. **All numbers in Summary 2 reflect the initial assessments that resulted in FY 2016 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 2016:	4,369
Total number of violations with civil penalties initially assessed in FY 2016:	6,556
Total number of violation reports declined during legal review in FY 2016:	81
Total initial amount of civil penalties assessed (POCA) for violations in cases transmitted in FY 2016:	\$23,181,993
Total initial amount of civil penalties assessed (POCA) for violations in cases finally assessed or settled in FY 2016:	\$21,487,994
Total final civil penalty assessment or settlement in FY 2016:	\$15,753,581

C. BREAKDOWN OF INITIAL ASSESSMENTS IN SUMMARY 1

1. For Each Class I Railroad Individually in FY 2016

AMTRAK

Number of cases with civil penalties initially assessed:	44
Number of violations with civil penalties initially assessed:	144
Number of violation reports declined during legal review:	0
Initial amount of civil penalty assessed:	\$237,499

BNSF RAILWAY COMPANY

Number of cases with civil penalties initially assessed:	937
Number of violations with civil penalties initially assessed:	1,511
Number of violation reports declined during legal review:	20
Initial amount of civil penalty assessed:	\$5,190,999

CANADIAN NATIONAL RAILWAY/GRAND TRUNK CORPORATION

Number of cases with civil penalties initially assessed:	134
Number of violations with civil penalties initially assessed:	238
Number of violation reports declined during legal review:	12
Initial amount of civil penalty assessed:	\$699,750

CANADIAN PACIFIC RAILWAY/SOO LINE RAILROAD COMPANY

Number of cases with civil penalties initially assessed:	207
Number of violations with civil penalties initially assessed:	296
Number of violation reports declined during legal review:	6
Initial amount of civil penalty assessed:	\$1,038,000

CSX TRANSPORTATION, INC.

Number of cases with civil penalties initially assessed:	345
Number of violations with civil penalties initially assessed:	458
Number of violation reports declined during legal review:	2
Initial amount of civil penalty assessed:	\$1,613,500

THE KANSAS CITY SOUTHERN RAILWAY COMPANY

Number of cases with civil penalties initially assessed:	54
Number of violations with civil penalties initially assessed:	94
Number of violation reports declined during legal review:	0
Initial amount of civil penalty assessed:	\$244,500

NORFOLK SOUTHERN RAILWAY COMPANY

Number of cases with civil penalties initially assessed:	407
Number of violations with civil penalties initially assessed:	479
Number of violation reports declined during legal review:	14
Initial amount of civil penalty assessed:	\$1,717,250

UNION PACIFIC RAILROAD COMPANY

Number of cases with civil penalties initially assessed:	848
Number of violations with civil penalties initially assessed:	1,078
Number of violation reports declined during legal review:	6
Initial amount of civil penalty assessed:	\$3,607,500

2. For Probable Class II Railroads in the Aggregate in FY 2016

Number of cases with civil penalties initially assessed:	74
Number of violations with civil penalties initially assessed:	101
Number of violation reports declined during legal review:	0
Initial amount of civil penalty assessed:	\$427,500

3. For Probable Class III Railroads in the Aggregate in FY 2016⁹

Number of cases with civil penalties initially assessed:	654
Number of violations with civil penalties initially assessed:	1,097
Number of violation reports declined during legal review:	15
Initial amount of civil penalty assessed:	\$3,642,499

4. For Hazmat Shippers in the Aggregate in FY 2016

Number of cases with civil penalties initially assessed:	598
Number of violations with civil penalties initially assessed:	964
Number of violation reports declined during legal review:	4
Initial amount of civil penalty assessed:	\$4,388,497

5. For Contractors in the Aggregate in FY 2016

Number of cases with civil penalties initially assessed:	67
Number of violations with civil penalties initially assessed:	96
Number of violation reports declined during legal review:	2
Initial amount of civil penalty assessed:	\$374,499

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 2016” amount remains correct as FRA includes data from enforcement actions against regulated entities that are otherwise not subject to STB jurisdiction.

D. SUMMARY 2—MORE DETAILED SUMMARY OF SETTLEMENTS AND FINAL ASSESSMENTS OF CIVIL PENALTIES IN FY 2016

Total number of cases closed in FY 2016:	4,137
Total number of violations in cases closed in FY 2016:	6,268
Total initial amount of civil penalty assessed for cases closed (POCA):	\$21,487,994
Total final amount of civil penalty assessed or settlement for cases closed:	\$15,753,581
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$1,504,500
Amount of revised assessment after terminations (PRCA):	\$19,983,494
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$5,734,413
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$4,229,913

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

1. For Each Class I Railroad Individually in FY 2016

AMTRAK

Number of cases closed:	60
Number of violations in cases closed:	161
Initial amount of civil penalty assessed for cases closed (POCA):	\$286,500
Final amount of civil penalty assessed or settlement for cases closed:	\$154,580
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$90,000
Amount of revised assessment after terminations (PRCA):	\$196,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$131,920
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$41,920

BNSF RAILWAY COMPANY

Number of cases closed:	886
Number of violations in cases closed:	1349
Initial amount of civil penalty assessed for cases closed (POCA):	\$4,612,998
Final amount of civil penalty assessed or settlement for cases closed:	\$3,376,140
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$414,500
Amount of revised assessment after terminations (PRCA):	\$4,198,498
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$1,236,858
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$822,358

CANADIAN NATIONAL RAILWAY/GRAND TRUNK CORPORATION

Number of cases closed:	221
Number of violations in cases closed:	468
Initial amount of civil penalty assessed for cases closed (POCA):	\$1,101,750
Final amount of civil penalty assessed or settlement for cases closed:	\$832,545
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$58,500
Amount of revised assessment after terminations (PRCA):	\$1,043,250
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$269,205
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$210,705

CANADIAN PACIFIC RAILWAY/SOO LINE RAILROAD COMPANY

Number of cases closed:	135
Number of violations in cases closed:	198
Initial amount of civil penalty assessed for cases closed (POCA):	\$629,500
Final amount of civil penalty assessed or settlement for cases closed:	\$448,975
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$50,000
Amount of revised assessment after terminations (PRCA):	\$579,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$180,525
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$130,525

CSX TRANSPORTATION, INC.

Number of cases closed:	358
Number of violations in cases closed:	452
Initial amount of civil penalty assessed for cases closed (POCA):	\$1,591,000
Final amount of civil penalty assessed or settlement for cases closed:	\$1,187,785
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$103,500
Amount of revised assessment after terminations (PRCA):	\$1,487,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$403,215
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$299,715

THE KANSAS CITY SOUTHERN RAILWAY COMPANY

Number of cases closed:	34
Number of violations in cases closed:	37
Initial amount of civil penalty assessed for cases closed (POCA):	\$135,000
Final amount of civil penalty assessed or settlement for cases closed:	\$98,565
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$12,500
Amount of revised assessment after terminations (PRCA):	\$122,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$36,435
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$23,935

NORFOLK SOUTHERN RAILWAY COMPANY

Number of cases closed:	352
Number of violations in cases closed:	415
Initial amount of civil penalty assessed for cases closed (POCA):	\$1,470,750
Final amount of civil penalty assessed or settlement for cases closed:	\$1,151,910
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$17,000
Amount of revised assessment after terminations (PRCA):	\$1,453,750
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$318,840
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$301,840

UNION PACIFIC RAILROAD COMPANY

Number of cases closed:	872
Number of violations in cases closed:	1,222
Initial amount of civil penalty assessed for cases closed (POCA):	\$3,856,000
Final amount of civil penalty assessed or settlement for cases closed:	\$2,967,748
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$87,000
Amount of revised assessment after terminations (PRCA):	\$3,769,000
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$888,252
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$801,252

2. For Probable Class II Railroads in the Aggregate in FY 2016

Number of cases closed:	98
Number of violations in cases closed:	136
Initial amount of civil penalty assessed for cases closed (POCA):	\$564,500
Final amount of civil penalty assessed or settlement for cases closed:	\$435,525
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$29,000
Amount of revised assessment after terminations (PRCA):	\$535,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$128,975
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$99,975

3. For Probable Class III Railroads in the Aggregate in FY 2016

Number of cases closed:	552
Number of violations in cases closed:	919
Initial amount of civil penalty assessed for cases closed (POCA):	\$3,045,998
Final amount of civil penalty assessed or settlement for cases closed:	\$1,977,870
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$304,000
Amount of revised assessment after terminations (PRCA):	\$2,741,998
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$1,068,128
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$764,128

4. For Hazmat Shippers in the Aggregate in FY 2016

Number of cases closed:	513
Number of violations in cases closed:	815
Initial amount of civil penalty assessed for cases closed (POCA):	\$3,826,998
Final amount of civil penalty assessed or settlement for cases closed:	\$2,863,838
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$310,000
Amount of revised assessment after terminations (PRCA):	\$3,516,998
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$963,160
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$653,160

5. For Contractors in the Aggregate in FY 2016

Number of cases closed:	56
Number of violations in cases closed:	96
Initial amount of civil penalty assessed for cases closed (POCA):	\$367,000
Final amount of civil penalty assessed or settlement for cases closed:	\$258,100
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$28,500
Amount of revised assessment after terminations (PRCA):	\$338,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$108,900
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$80,400

IV. ENFORCEMENT ACTIONS AGAINST INDIVIDUALS IN FY 2016

A. CIVIL PENALTY CASES AGAINST INDIVIDUALS IN THE AGGREGATE

Total number of civil penalty cases initially assessed in FY 2016:	0
Total number of violations with civil penalties initially assessed in FY 2016:	0
Total initial amount of civil penalty assessed in FY 2016:	\$0
Number of civil penalty cases closed in FY 2016:	0
Total number of violations in cases closed in FY 2016:	0
Total initial amount of civil penalty assessed for cases closed in FY 2016:	\$0
Total final amount of civil penalty assessed (or settlement) for cases closed in FY 2016:	\$0
Amount terminated (generally due to legal defenses presented during settlement negotiations) for cases closed in FY 2016:	\$0
Amount of revised assessment (PRCA) after terminations:	\$0
Difference between revised civil penalty assessment (PRCA) and final civil penalty assessment for cases closed in FY 2016:	\$0
Difference between initial amount of civil penalty assessed (POCA) and final settlement amount for a violation in a case closed in FY 2016:	\$0

B. OTHER ENFORCEMENT ACTIONS AGAINST INDIVIDUALS IN THE AGGREGATE

Number of notices of proposed disqualification issued and served in FY 2016:	1
Number of proposed disqualification cases closed in FY 2016:	0 ¹⁰
Number of warning letters issued by Office of Chief Counsel in FY 2016:	0
Number of warning letters issued by regional offices of FRA Office of Railroad Safety (regional warning letters) in FY 2016:	16

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

A July 15, 2009 statutorily mandated report commissioned by FRA entitled, “The Federal Railroad Administration’s Use of Civil Penalties in the Federal Railroad Safety Program,” addresses FRA’s approach to achieving industry compliance with the Federal railroad safety laws and the hazmat safety laws and their implementing regulations, and the role of civil penalties in that process. FRA submitted a copy of that report, with the agency’s comments, to Congress on July 16, 2009, in response to a Congressional mandate that FRA hire an independent consultant to evaluate FRA’s use of penalties as an enforcement mechanism. The independent consultant’s 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

¹⁰ But see footnote 15 below.

(as during FRA inspectors' daily interactions with railroad personnel regarding safety issues), as consistently as possible across the railroad industry . . . results in a rational, effective safety program.

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

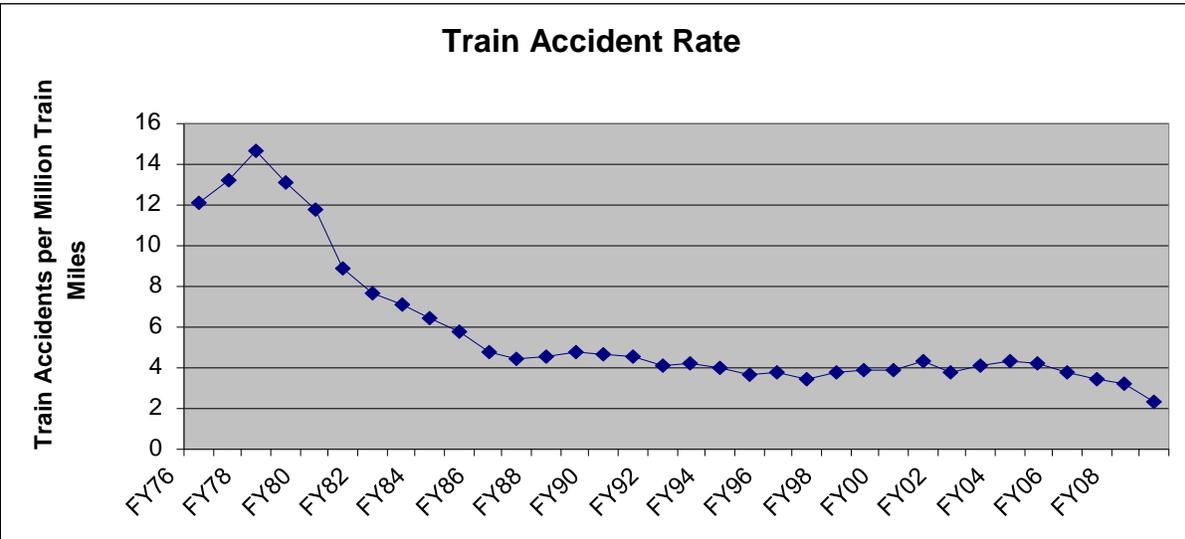
Thus, while FRA cannot precisely quantify the impact of civil penalties, it carefully monitors railroad reactions and responses to enforcement activity, and adjusts the intensity and duration of focused oversight as necessary. FRA compiles and analyzes a vast amount of data derived from reports the regulated 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 CASES¹¹

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

Petitions for relief filed with the LERB/OCRB in FY 2016: 89
[41 Conductor + 48 Locomotive Engineer]

Decisions issued by the LERB/OCRB in FY 2016: 51
[19 Conductor + 32 Locomotive Engineer]

Average length of time for decision in FY 2016: 312 days from the date petition filed¹²
(231 days from the date of the railroad's
response to the appeal to the date that a
decision was issued¹³)

B. ADMINISTRATIVE HEARINGS

Number of pending cases before the
Administrative Hearing Officer (AHO) as of October 1, 2014: 3

Number of requests for review
by the AHO received during FY 2016: 4

Number of cases closed by the AHO during FY 2016:¹⁴ 4

Number of pending AHO cases as of October 1, 2016: 3

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 2016: 3

¹¹ 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.

¹² This excludes any delay issuing an interim order caused, where one or more of the parties initially provided incomplete information.

¹³ See note 12.

¹⁴ This number of cases the AHO closed includes cases closed by decision, stipulation, or dismissal.

Number of Appeals Pending during FY 2016: (as of October 1, 2015, there were 0 cases pending)	5
Decisions issued by the Administrator during FY 2016:	0
Average length of time for decision issued in FY 2016: (from close of record to decision)	N/A (calendar days)

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

Number of hearings requested in FY 2016:	0
Number of hearing-request cases completed in FY 2016:	0 ¹⁵

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 2016:	0
Number of cases referred to the Attorney General for criminal enforcement in FY 2016:	0

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

FRA did not issue any Emergency Orders or Compliance Orders, or enter into any Compliance Agreements during FY 2016.

¹⁵ This number of hearing request cases completed in FY 2016 reflects a disqualification case, FRA No. DISQUAL 2010-1, which the AHO decided in FY 2014, but was subsequently appealed in FY 2014, and remanded on a single issue in FY 2016. On January 8, 2016, the AHO decided the case in favor of FRA. The individual against whom the case was brought appealed that decision, and the case is currently pending before the Administrator.

APPENDIX A
“Railroad Safety Civil Penalty Cases Closed during Fiscal Year 2016”



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

**RAILROAD SAFETY CIVIL PENALTY CASES
CLOSED DURING FISCAL YEAR 2016**

This report summarizes the disposition of all civil penalty cases for which the Federal Railroad Administration (FRA) reached an agreement to collect a civil penalty, issued an order requiring the payment of a civil penalty, or otherwise closed under the Federal railroad safety statutes and regulations the hazardous materials transportation laws (HMT) during fiscal year 2016. FRA closed cases under most of these statutes by settlement, and under the HMT generally by final orders of assessment. Total penalty settlements and final assessments against companies, summarized in this report, were as follows:

Railroad safety statutes (except HMT)	\$11,810,298
HMT	\$ 3,943,283
Total Civil Penalties	<u>\$15,753,581</u>

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

The Federal Railroad Safety Statutes and Regulations

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

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

The Civil Penalty Process

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

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

decision to the Administrator of FRA before judicial litigation.

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



John T. Seguin
Assistant Chief Counsel for Safety

Abbreviations and Explanations of Terms Used in this Report

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

AD	Alcohol and Drug Use
AR	Accident Reports Regulations
BW	Bridge Worker Safety Standards
CC	Conductor Certification Regulations
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
PEP	Passenger Train Emergency Preparedness
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	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.

FRA Civil Penalty Cases against Individuals
Closed in Fiscal Year 2016

<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 2016

<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>
AB 2016-1(GC)	1	\$2,500	\$2,500	\$1,750	06/01/2016	
ABS 2015-1(TS)	1	\$5,000	\$5,000	\$3,800	09/26/2016	
ADCX 2015-1(AD)	3	\$7,500	\$7,500	\$3,900	03/23/2016	
AERC 2016-1(ROP)	1	\$7,500	\$7,500	\$7,500	07/07/2016	
AGR 2015-1(LI)	1	\$2,500	\$2,500	\$1,950	09/27/2016	
AGR 2015-2(ROP)	1	\$7,500	\$7,500	\$5,850	09/27/2016	
AGR 2015-3(SA)	1	\$5,000	\$5,000	\$3,900	09/27/2016	
AGR 2015-4(ROP)	1	\$9,500	\$9,500	\$7,410	09/27/2016	
AGR 2015-5(SA)	1	\$2,500	\$2,500	\$1,950	09/27/2016	
AGR 2015-6(HMT)	1	\$5,000	\$5,000	\$3,900	09/27/2016	
AGR 2015-7(SA)	1	\$5,000	\$5,000	\$3,850	09/27/2016	
AGR 2015-8(FCS)	1	\$5,000	\$5,000	\$3,850	09/27/2016	
AGR 2015-9(SA)	1	\$2,500	\$2,500	\$1,925	09/27/2016	
AGR 2015-10(FCS)	1	\$2,500	\$2,500	\$1,950	09/27/2016	
AGR 2015-11(FCS)	1	\$2,500	\$2,500	\$1,900	09/27/2016	
AGR 2016-1(GC)	1	\$5,000	\$5,000	\$3,900	09/27/2016	
AGR 2016-2(FCS)	1	\$2,500	\$2,500	\$1,900	09/27/2016	
AGR 2016-3(SA)	1	\$5,000	\$5,000	\$3,900	09/27/2016	
ALS 2014-4(ROP)	1	\$7,500	\$7,500	\$6,000	09/30/2016	
ARR 2016-1(SA)	2	\$10,000	\$10,000	\$5,750	06/01/2016	
ATK 2015-6(SI)	2	\$5,000	\$5,000	\$4,000	09/22/2016	
ATK 2015-7(SI)	2	\$5,000	\$5,000	\$4,000	09/22/2016	
ATK 2015-8(AD)	1	\$5,000	\$5,000	\$3,900	09/22/2016	
ATK 2015-9(AD)	1	\$5,000	\$5,000	\$3,900	09/22/2016	
ATK 2015-10(AD)	1	\$5,000	\$5,000	\$3,900	09/22/2016	
ATK 2015-11(PEQ)	1	\$2,500	\$2,500	\$1,950	09/22/2016	
ATK 2015-12(ROP)	1	\$7,500	\$7,500	\$5,850	09/22/2016	
ATK 2015-13(PEQ)	1	\$5,000	\$5,000	\$3,900	09/22/2016	
ATK 2015-14(RW)	1	\$5,000	\$5,000	\$3,900	09/22/2016	
ATK 2015-15(RW)	1	\$1,500	\$1,500	\$1,170	09/22/2016	
ATK 2015-16(SI)	1	\$5,000	\$5,000	\$4,000	09/22/2016	
ATK 2015-17(RSP)	1	\$9,500	\$9,500	\$7,410	09/22/2016	
ATK 2015-18(SI)	1	\$1,000	\$1,000	\$800	09/22/2016	
ATK 2015-19(SI)	1	\$1,000	\$1,000	\$800	09/22/2016	
ATK 2015-20(SI)	1	\$1,000	\$1,000	\$800	09/22/2016	
ATK 2015-21(SI)	1	\$1,000	\$1,000	\$800	09/22/2016	
ATK 2015-22(SI)	1	\$1,000	\$1,000	\$800	09/22/2016	
ATK 2015-23(SI)	1	\$1,000	\$1,000	\$800	09/22/2016	
ATK 2015-24(SI)	1	\$1,000	\$1,000	\$800	09/22/2016	
ATK 2015-25(GC)	1	\$2,500	\$2,500	\$1,950	09/22/2016	
ATK 2015-26(GC)	1	\$2,500	\$2,500	\$1,950	09/22/2016	
ATK 2015-28(ROP)	1	\$5,000	\$5,000	\$3,900	09/22/2016	
ATK 2015-29(PEQ)	1	\$5,000	\$5,000	\$3,900	09/22/2016	
ATK 2015-30(PEQ)	1	\$2,500	\$2,500	\$1,900	09/22/2016	
ATK 2015-31(PEQ)	1	\$2,500	\$2,500	\$1,950	09/22/2016	
ATK 2015-32(PEQ)	1	\$5,000	\$5,000	\$3,900	09/22/2016	
ATK 2015-33(SI)	1	\$5,000	\$5,000	\$4,000	09/22/2016	
ATK 2015-34(SI)	1	\$2,500	\$2,500	\$1,900	09/22/2016	
ATK 2015-35(RW)	1	\$5,000	\$5,000	\$3,900	09/22/2016	

Federal Railroad Administration
Safety Cases Closed in FY 2016

<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 2015-36(SI)	1	\$2,500	\$2,500	\$1,975	09/22/2016	
ATK 2015-37(SI)	1	\$2,500	\$2,500	\$1,975	09/22/2016	
ATK 2015-38(SI)	1	\$2,500	\$2,500	\$1,975	09/22/2016	
ATK 2015-39(PEQ)	1	\$5,000	\$5,000	\$4,100	09/22/2016	
ATK 2015-40(PEQ)	1	\$5,000	\$5,000	\$4,100	09/22/2016	
ATK 2015-42(AR)	1	\$2,500	\$2,500	\$1,975	09/22/2016	
ATK 2015-43(AR)	1	\$2,500	\$2,500	\$1,975	09/22/2016	
ATK 2015-44(ROP)	1	\$5,000	\$5,000	\$3,900	09/22/2016	
ATK 2015-45(AR)	1	\$2,500	\$2,500	\$1,975	09/22/2016	
ATK 2015-46(AR)	1	\$2,500	\$2,500	\$2,000	09/22/2016	
ATK 2015-47(AR)	1	\$2,500	\$2,500	\$1,975	09/22/2016	
ATK 2015-48(SI)	1	\$2,500	\$2,500	\$1,850	09/22/2016	
ATK 2015-49(SI)	1	\$2,500	\$2,500	\$1,975	09/22/2016	
ATK 2015-50(RW)	1	\$3,000	\$3,000	\$2,340	09/22/2016	
ATK 2015-51(PEQ)	1	\$2,500	\$2,500	\$1,950	09/22/2016	
ATK 2016-1(TS)	1	\$2,500	\$2,500	\$2,000	09/22/2016	
ATK 2016-2(SI)	1	\$2,500	\$2,500	\$1,975	09/22/2016	
ATK 2016-3(SI)	1	\$2,500	\$2,500	\$1,975	09/22/2016	
ATK 2016-4(SI)	1	\$2,500	\$2,500	\$1,975	09/22/2016	
ATK 2016-5(RW)	1	\$3,000	\$3,000	\$2,340	09/22/2016	
ATK 2016-6(SI)	1	\$1,000	\$1,000	\$800	09/22/2016	
ATK 2016-7(RW)	1	\$3,000	\$3,000	\$2,340	09/22/2016	
ATK 2016-8(TS)	1	\$2,500	\$2,500	\$1,850	09/22/2016	
ATK 2016-9(SI)	1	\$2,500	\$2,500	\$1,975	09/22/2016	
ATK 2016-10(SI)	1	\$2,500	\$2,500	\$1,975	09/22/2016	
ATK 2016-11(SI)	1	\$2,500	\$2,500	\$1,975	09/22/2016	
ATK 2016-12(LI)	1	\$2,500	\$2,500	\$1,900	09/22/2016	
ATK 2016-13(TS)	1	\$2,500	\$2,500	\$2,000	09/22/2016	
ATK 2016-14(PEQ)	1	\$2,500	\$2,500	\$1,950	09/22/2016	
ATK 2016-15(HSR)	1	\$1,000	\$1,000	\$780	09/22/2016	
ATK 2016-16(HSR)	100	\$100,000	\$10,000	\$8,000	09/22/2016	Partially Terminated Violation(s): 1.
ATN 2015-1(TS)	11	\$24,500	\$24,500	\$16,800	10/28/2015	
ATN 2015-2(ROP)	2	\$15,000	\$15,000	\$10,200	10/18/2015	
ATN 2015-3(TS)	20	\$50,000	\$50,000	\$35,000	10/18/2015	
ATN 2015-4(TS)	3	\$10,000	\$10,000	\$6,750	10/18/2015	
ATN 2016-1(TS)	3	\$7,500	\$7,500	\$6,000	06/08/2016	
ATN 2016-2(TS)	5	\$21,000	\$21,000	\$16,800	06/08/2016	
ATN 2016-3(TS)	4	\$4,000	\$4,000	\$3,200	06/08/2016	
AWRR 2016-1(SA)	1	\$2,500	\$2,500	\$1,900	09/26/2016	
AWRR 2016-2(SA)	1	\$2,500	\$2,500	\$1,900	09/26/2016	
AWRR 2016-3(SA)	1	\$2,500	\$2,500	\$1,900	09/26/2016	
AZCR 2015-1(FCS)	1	\$5,000	\$5,000	\$3,150	11/23/2015	
AZCR 2015-2(SA)	1	\$2,500	\$2,500	\$1,575	01/07/2016	
BAYL 2015-1(LI)	1	\$2,500	\$2,500	\$1,950	09/27/2016	
BAYL 2015-2(ROP)	1	\$7,500	\$7,500	\$5,850	09/27/2016	
BAYL 2015-3(ROP)	1	\$7,500	\$7,500	\$5,850	09/27/2016	
BAYL 2015-4(HSR)	1	\$1,000	\$1,000	\$800	09/27/2016	
BAYL 2015-5(HSR)	1	\$1,000	\$1,000	\$800	09/27/2016	
BAYL 2015-6(ROP)	1	\$2,000	\$2,000	\$1,560	09/27/2016	

Federal Railroad Administration
Safety Cases Closed in FY 2016

<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>
BAYL 2015-7(ROP)	1	\$2,000	\$2,000	\$1,560	09/27/2016	
BAYL 2016-1(SA)	1	\$5,000	\$5,000	\$3,900	09/27/2016	
BAYL 2016-2(SA)	1	\$5,000	\$5,000	\$3,900	09/27/2016	
BAYL 2016-3(SA)	1	\$2,500	\$2,500	\$1,950	09/27/2016	
BHRR 2015-1(AD)	3	\$10,000	\$10,000	\$7,600	09/26/2016	
BHRR 2015-2(ROP)	1	\$7,500	\$7,500	\$5,700	09/26/2016	
BLOL 2016-2(EQ)	1	\$5,000	\$5,000	\$5,000	05/27/2016	
BM 2015-4(GC)	1	\$5,000	\$5,000	\$4,000	09/29/2016	
BM 2015-5(GC)	1	\$5,000	\$0	\$0	09/29/2016	Case Terminated.
BM 2015-6(TS)	1	\$2,500	\$2,500	\$2,200	09/29/2016	
BM 2015-7(RW)	1	\$2,000	\$2,000	\$1,750	09/29/2016	
BNSF 2009-222(LI)	13	\$13,000	\$0	\$0	09/30/2016	Case Terminated.
BNSF 2009-364(HMT)	1	\$3,000	\$0	\$0	09/30/2016	Case Terminated.
BNSF 2010-373(SA)	1	\$5,000	\$0	\$0	09/30/2016	Case Terminated.
BNSF 2011-40(LI)	2	\$5,000	\$0	\$0	09/30/2016	Case Terminated.
BNSF 2011-334(RSP)	1	\$5,000	\$0	\$0	09/30/2016	Case Terminated.
BNSF 2011-352(GC)	7	\$35,000	\$0	\$0	09/30/2016	Case Terminated.
BNSF 2011-370(GC)	1	\$5,000	\$0	\$0	09/30/2016	Case Terminated.
BNSF 2012-77(EQ)	1	\$5,000	\$0	\$0	09/30/2016	Case Terminated.
BNSF 2012-246(RSP)	1	\$9,500	\$9,500	\$7,800	09/30/2016	
BNSF 2012-345(TS)	15	\$21,000	\$21,000	\$15,750	09/30/2016	
BNSF 2012-371(HMT)	2	\$6,500	\$6,500	\$5,000	09/30/2016	
BNSF 2013-185(RSP)	1	\$1,000	\$1,000	\$830	09/30/2016	
BNSF 2013-202(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2013-276(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
BNSF 2013-342(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2013-530(ROP)	1	\$9,500	\$9,500	\$7,500	09/30/2016	
BNSF 2013-556(RSP)	1	\$9,500	\$9,500	\$7,600	09/30/2016	
BNSF 2013-607(EP)	3	\$3,000	\$3,000	\$2,400	09/30/2016	
BNSF 2013-696(LI)	1	\$2,500	\$2,500	\$2,050	09/30/2016	
BNSF 2013-717(HMT)	2	\$9,500	\$9,500	\$7,500	09/30/2016	
BNSF 2013-721(HMT)	1	\$5,000	\$5,000	\$4,500	09/30/2016	
BNSF 2014-42(AR)	1	\$1,000	\$0	\$0	09/30/2016	Case Terminated.
BNSF 2014-152(ROR)	1	\$9,500	\$0	\$0	09/30/2016	Case Terminated.
BNSF 2014-188(HSR)	1	\$1,000	\$1,000	\$780	09/30/2016	
BNSF 2014-257(TS)	10	\$10,000	\$10,000	\$7,800	09/30/2016	
BNSF 2014-278(HS)	1	\$1,000	\$1,000	\$800	09/30/2016	
BNSF 2014-283(EO)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2014-284(EO)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2014-332(SA)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
BNSF 2014-335(TS)	2	\$7,500	\$7,500	\$6,100	09/30/2016	
BNSF 2014-338(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2014-344(TS)	3	\$8,500	\$8,500	\$6,900	09/30/2016	
BNSF 2014-347(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2014-350(TS)	2	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2014-353(TS)	3	\$6,000	\$6,000	\$4,700	09/30/2016	
BNSF 2014-356(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2014-365(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2014-371(ROR)	1	\$2,500	\$2,500	\$2,050	09/30/2016	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
BNSF 2014-374(ROR)	1	\$2,500	\$2,500	\$2,050	09/30/2016	
BNSF 2014-380(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2014-385(RW)	1	\$2,000	\$2,000	\$1,600	09/30/2016	
BNSF 2014-389(LI)	1	\$2,500	\$2,500	\$2,050	09/30/2016	
BNSF 2014-393(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2014-397(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2014-405(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2014-412(ROP)	1	\$9,500	\$9,500	\$7,500	09/30/2016	
BNSF 2014-415(RSP)	1	\$9,500	\$9,500	\$7,600	09/30/2016	
BNSF 2014-416(ROP)	1	\$9,500	\$9,500	\$7,500	09/30/2016	
BNSF 2014-432(TS)	2	\$3,500	\$3,500	\$2,750	09/30/2016	
BNSF 2014-436(TS)	1	\$1,000	\$1,000	\$790	09/30/2016	
BNSF 2014-440(TS)	3	\$8,500	\$8,500	\$6,800	09/30/2016	
BNSF 2014-552(TS)	2	\$2,000	\$2,000	\$1,500	09/30/2016	
BNSF 2014-759(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
BNSF 2014-763(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2014-767(FCS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2014-769(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2014-773(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2014-777(TS)	4	\$8,500	\$8,500	\$6,800	09/30/2016	
BNSF 2014-781(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2014-785(ROP)	1	\$9,500	\$9,500	\$7,500	09/30/2016	
BNSF 2014-789(ROP)	1	\$9,500	\$9,500	\$7,500	09/30/2016	
BNSF 2014-793(ROP)	1	\$7,500	\$7,500	\$6,500	09/30/2016	
BNSF 2014-797(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
BNSF 2014-801(TS)	1	\$1,000	\$1,000	\$770	09/30/2016	
BNSF 2014-805(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2014-809(TS)	2	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2014-813(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2014-817(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
BNSF 2014-821(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2014-825(ROP)	1	\$2,000	\$2,000	\$1,600	09/30/2016	
BNSF 2014-829(TS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
BNSF 2014-833(GC)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
BNSF 2014-837(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2014-841(TS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
BNSF 2015-1(TS)	2	\$2,000	\$2,000	\$1,600	09/30/2016	
BNSF 2015-5(ROP)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-9(HMT)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-11(TS)	1	\$1,000	\$1,000	\$800	09/30/2016	
BNSF 2015-13(ROP)	4	\$8,000	\$8,000	\$6,350	09/30/2016	
BNSF 2015-17(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-19(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-21(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-23(HS)	2	\$2,000	\$2,000	\$1,600	09/30/2016	
BNSF 2015-25(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-28(RMM)	2	\$10,000	\$10,000	\$7,800	09/30/2016	
BNSF 2015-30(TS)	4	\$5,500	\$5,500	\$4,200	09/30/2016	
BNSF 2015-32(TS)	2	\$2,000	\$2,000	\$1,600	09/30/2016	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
BNSF 2015-34(TS)	9	\$9,000	\$9,000	\$6,750	09/30/2016	
BNSF 2015-36(SI)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-38(GC)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
BNSF 2015-40(GC)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-42(TS)	3	\$15,000	\$15,000	\$12,000	09/30/2016	
BNSF 2015-44(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
BNSF 2015-47(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-49(HMT)	2	\$5,000	\$5,000	\$4,500	09/30/2016	
BNSF 2015-51(ROP)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-55(ROP)	1	\$7,500	\$7,500	\$6,400	09/30/2016	
BNSF 2015-57(HMT)	2	\$8,000	\$8,000	\$7,100	09/30/2016	
BNSF 2015-59(FCS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-63(SA)	1	\$2,000	\$2,000	\$1,550	09/30/2016	
BNSF 2015-67(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-71(ROP)	1	\$5,000	\$5,000	\$3,700	09/30/2016	
BNSF 2015-73(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-75(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-79(ROP)	1	\$7,500	\$7,500	\$6,200	09/30/2016	
BNSF 2015-83(TS)	1	\$1,000	\$1,000	\$800	09/30/2016	
BNSF 2015-86(TS)	3	\$12,500	\$12,500	\$9,800	09/30/2016	
BNSF 2015-87(HMT)	1	\$2,000	\$2,000	\$1,650	09/30/2016	
BNSF 2015-90(ROP)	1	\$9,500	\$9,500	\$7,500	09/30/2016	
BNSF 2015-91(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
BNSF 2015-94(LI)	1	\$2,500	\$2,500	\$2,050	09/30/2016	
BNSF 2015-95(LI)	1	\$2,500	\$2,500	\$1,850	09/30/2016	
BNSF 2015-98(LI)	1	\$2,500	\$2,500	\$2,050	09/30/2016	
BNSF 2015-99(GC)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
BNSF 2015-102(GC)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-106(HMT)	1	\$3,000	\$3,000	\$2,500	09/30/2016	
BNSF 2015-107(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-110(ROP)	1	\$2,000	\$2,000	\$1,600	09/30/2016	
BNSF 2015-111(ROP)	1	\$2,000	\$2,000	\$1,600	09/30/2016	
BNSF 2015-114(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-115(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-118(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-119(LI)	1	\$2,500	\$2,500	\$1,850	09/30/2016	
BNSF 2015-122(HMT)	1	\$2,000	\$2,000	\$1,650	09/30/2016	
BNSF 2015-124(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-129(HS)	2	\$2,000	\$0	\$0	09/30/2016	Case Terminated.
BNSF 2015-134(RW)	1	\$2,000	\$2,000	\$1,600	09/30/2016	
BNSF 2015-139(TS)	12	\$60,000	\$60,000	\$48,000	09/30/2016	
BNSF 2015-144(SA)	2	\$10,000	\$10,000	\$7,800	09/30/2016	
BNSF 2015-147(EP)	1	\$999	\$999	\$800	09/30/2016	
BNSF 2015-149(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-152(HMT)	1	\$2,000	\$2,000	\$1,650	09/30/2016	
BNSF 2015-154(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-155(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-157(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-159(LI)	1	\$1,500	\$1,500	\$1,250	09/30/2016	

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BNSF 2015-160(TS)	8	\$20,000	\$20,000	\$16,000	09/30/2016	
BNSF 2015-162(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-164(LI)	1	\$2,500	\$2,500	\$2,050	09/30/2016	
BNSF 2015-165(LI)	1	\$2,500	\$2,500	\$2,050	09/30/2016	
BNSF 2015-167(TS)	2	\$10,000	\$10,000	\$8,000	09/30/2016	
BNSF 2015-169(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-172(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-175(GS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-177(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-178(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-180(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-181(ROP)	1	\$7,500	\$7,500	\$5,400	09/30/2016	
BNSF 2015-182(TS)	1	\$1,000	\$1,000	\$800	09/30/2016	
BNSF 2015-184(EP)	1	\$1,000	\$1,000	\$800	09/30/2016	
BNSF 2015-186(ROP)	1	\$9,500	\$9,500	\$7,500	09/30/2016	
BNSF 2015-187(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
BNSF 2015-189(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-191(TS)	2	\$10,000	\$10,000	\$7,800	09/30/2016	
BNSF 2015-192(TS)	2	\$3,500	\$3,500	\$2,695	09/30/2016	
BNSF 2015-193(HMT)	2	\$9,500	\$9,500	\$8,500	09/30/2016	
BNSF 2015-194(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-196(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-197(ROP)	1	\$9,500	\$9,500	\$7,500	09/30/2016	
BNSF 2015-198(ROP)	1	\$2,000	\$2,000	\$1,600	09/30/2016	
BNSF 2015-199(SI)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
BNSF 2015-200(TS)	4	\$10,000	\$10,000	\$8,000	09/30/2016	
BNSF 2015-201(LI)	1	\$2,500	\$2,500	\$1,850	09/30/2016	
BNSF 2015-202(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-203(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-204(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-205(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-206(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-207(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-208(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-209(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-210(RMM)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-211(RW)	2	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-212(ROP)	1	\$9,500	\$9,500	\$7,200	09/30/2016	
BNSF 2015-213(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-214(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-215(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-216(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
BNSF 2015-217(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
BNSF 2015-219(ROP)	1	\$7,500	\$7,500	\$6,500	09/30/2016	
BNSF 2015-220(ROP)	1	\$7,500	\$7,500	\$6,500	09/30/2016	
BNSF 2015-221(SI)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-222(HMT)	1	\$4,000	\$4,000	\$3,500	09/30/2016	
BNSF 2015-223(AR)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
BNSF 2015-224(ROP)	1	\$9,500	\$9,500	\$7,500	09/30/2016	

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BNSF 2015-225(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-226(TS)	1	\$1,000	\$1,000	\$800	09/30/2016	
BNSF 2015-227(HMT)	1	\$6,000	\$6,000	\$5,300	09/30/2016	
BNSF 2015-228(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-229(LI)	1	\$2,500	\$2,500	\$2,050	09/30/2016	
BNSF 2015-230(ROP)	1	\$5,000	\$5,000	\$4,200	09/30/2016	
BNSF 2015-231(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
BNSF 2015-232(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-233(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-234(LI)	1	\$2,500	\$2,500	\$2,050	09/30/2016	
BNSF 2015-235(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-236(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-237(ROP)	1	\$9,500	\$9,500	\$7,600	09/30/2016	
BNSF 2015-238(ROP)	1	\$9,500	\$9,500	\$7,800	09/30/2016	
BNSF 2015-240(ROP)	1	\$7,500	\$7,500	\$6,000	09/30/2016	
BNSF 2015-241(ROP)	1	\$9,500	\$5,000	\$5,000	09/30/2016	Partially Terminated Violation(s): 1.
BNSF 2015-242(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-243(TS)	12	\$30,000	\$30,000	\$24,000	09/30/2016	
BNSF 2015-244(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-245(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
BNSF 2015-246(LI)	1	\$2,500	\$2,500	\$2,050	09/30/2016	
BNSF 2015-247(ROP)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
BNSF 2015-248(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
BNSF 2015-249(SA)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
BNSF 2015-250(TS)	2	\$10,000	\$10,000	\$7,800	09/30/2016	
BNSF 2015-251(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-252(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-253(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-254(FCS)	2	\$10,000	\$10,000	\$8,400	09/30/2016	
BNSF 2015-255(SA)	1	\$5,000	\$5,000	\$4,200	09/30/2016	
BNSF 2015-256(SA)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
BNSF 2015-257(SA)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
BNSF 2015-258(SA)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
BNSF 2015-259(SA)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
BNSF 2015-260(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-261(CC)	1	\$1,000	\$1,000	\$800	09/30/2016	
BNSF 2015-262(SA)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
BNSF 2015-263(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-264(SA)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
BNSF 2015-265(GC)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
BNSF 2015-266(EP)	1	\$1,000	\$1,000	\$800	09/30/2016	
BNSF 2015-267(LI)	1	\$2,000	\$2,000	\$1,600	09/30/2016	
BNSF 2015-268(FCS)	1	\$2,500	\$2,500	\$1,850	09/30/2016	
BNSF 2015-269(ROP)	1	\$2,000	\$2,000	\$1,600	09/30/2016	
BNSF 2015-270(ROP)	1	\$2,000	\$2,000	\$1,600	09/30/2016	
BNSF 2015-271(ROP)	1	\$7,500	\$7,500	\$6,000	09/30/2016	
BNSF 2015-272(ROP)	1	\$2,000	\$2,000	\$1,600	09/30/2016	
BNSF 2015-273(ROP)	1	\$7,500	\$7,500	\$6,000	09/30/2016	
BNSF 2015-274(ROP)	1	\$7,500	\$7,500	\$6,000	09/30/2016	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
BNSF 2015-275(HMT)	2	\$11,500	\$11,500	\$9,000	09/30/2016	
BNSF 2015-276(SA)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
BNSF 2015-277(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2016	
BNSF 2015-278(SA)	1	\$2,500	\$2,500	\$2,100	09/30/2016	
BNSF 2015-279(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
BNSF 2015-280(SA)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
BNSF 2015-281(ROP)	1	\$7,500	\$7,500	\$6,000	09/30/2016	
BNSF 2015-282(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-283(FCS)	2	\$5,000	\$5,000	\$3,900	09/30/2016	
BNSF 2015-284(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
BNSF 2015-285(FCS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
BNSF 2015-286(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-287(ROP)	4	\$8,000	\$8,000	\$6,400	09/30/2016	
BNSF 2015-288(FCS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-289(FCS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-290(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-291(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-292(SA)	1	\$5,000	\$5,000	\$4,300	09/30/2016	
BNSF 2015-293(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
BNSF 2015-294(TS)	2	\$7,500	\$7,500	\$6,000	09/30/2016	
BNSF 2015-295(TS)	1	\$2,500	\$0	\$0	09/30/2016	Case Terminated.
BNSF 2015-296(TS)	2	\$7,500	\$7,500	\$6,000	09/30/2016	
BNSF 2015-297(SA)	1	\$5,000	\$5,000	\$4,200	09/30/2016	
BNSF 2015-298(ROP)	2	\$4,000	\$4,000	\$3,200	09/30/2016	
BNSF 2015-299(LI)	1	\$2,500	\$2,500	\$1,850	09/30/2016	
BNSF 2015-300(GC)	1	\$2,500	\$2,500	\$2,050	09/30/2016	
BNSF 2015-301(SA)	1	\$2,500	\$2,500	\$2,100	09/30/2016	
BNSF 2015-302(SA)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
BNSF 2015-303(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
BNSF 2015-304(SA)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
BNSF 2015-305(SA)	1	\$2,500	\$2,500	\$2,100	09/30/2016	
BNSF 2015-306(GC)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-307(HMT)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-308(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
BNSF 2015-309(HMT)	4	\$20,000	\$20,000	\$17,000	09/30/2016	
BNSF 2015-310(TS)	3	\$4,500	\$4,500	\$4,000	09/30/2016	
BNSF 2015-311(TS)	3	\$7,500	\$7,500	\$6,000	09/30/2016	
BNSF 2015-312(SA)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
BNSF 2015-313(TS)	4	\$10,000	\$10,000	\$7,800	09/30/2016	
BNSF 2015-314(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-315(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-316(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-317(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-318(RMM)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
BNSF 2015-319(TS)	2	\$6,000	\$6,000	\$4,700	09/30/2016	
BNSF 2015-320(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-321(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-322(ROP)	1	\$7,500	\$7,500	\$6,000	09/30/2016	
BNSF 2015-323(SA)	1	\$5,000	\$5,000	\$4,100	09/30/2016	

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BNSF 2015-324(SA)	1	\$2,500	\$2,500	\$2,100	09/30/2016	
BNSF 2015-325(EQ)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-326(LI)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
BNSF 2015-327(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2016	
BNSF 2015-329(LI)	1	\$2,000	\$2,000	\$1,600	09/30/2016	
BNSF 2015-330(RW)	1	\$3,000	\$3,000	\$2,500	09/30/2016	
BNSF 2015-331(ROP)	1	\$2,000	\$2,000	\$1,600	09/30/2016	
BNSF 2015-332(ROP)	1	\$2,000	\$2,000	\$1,600	09/30/2016	
BNSF 2015-333(ROP)	1	\$2,000	\$2,000	\$1,600	09/30/2016	
BNSF 2015-334(ROP)	1	\$9,500	\$9,500	\$7,600	09/30/2016	
BNSF 2015-335(ROP)	1	\$7,500	\$7,500	\$6,000	09/30/2016	
BNSF 2015-336(ROP)	1	\$7,500	\$7,500	\$6,000	09/30/2016	
BNSF 2015-337(ROP)	1	\$7,500	\$7,500	\$6,000	09/30/2016	
BNSF 2015-338(TS)	4	\$4,000	\$4,000	\$3,000	09/30/2016	
BNSF 2015-339(TS)	19	\$19,000	\$19,000	\$14,250	09/30/2016	
BNSF 2015-340(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-341(TS)	15	\$15,000	\$15,000	\$11,250	09/30/2016	
BNSF 2015-342(TS)	13	\$13,000	\$13,000	\$9,750	09/30/2016	
BNSF 2015-343(TS)	17	\$17,000	\$17,000	\$12,750	09/30/2016	
BNSF 2015-344(TS)	8	\$8,000	\$8,000	\$6,000	09/30/2016	
BNSF 2015-345(TS)	4	\$4,000	\$4,000	\$3,000	09/30/2016	
BNSF 2015-346(LI)	1	\$2,500	\$2,500	\$1,850	09/30/2016	
BNSF 2015-347(LI)	1	\$2,500	\$2,500	\$1,850	09/30/2016	
BNSF 2015-348(RW)	1	\$2,000	\$2,000	\$2,000	09/30/2016	
BNSF 2015-349(GC)	3	\$3,000	\$3,000	\$2,550	09/30/2016	
BNSF 2015-350(TS)	2	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-351(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-352(FCS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-353(ROP)	1	\$7,500	\$7,500	\$6,000	09/30/2016	
BNSF 2015-354(ROP)	1	\$7,500	\$7,500	\$6,000	09/30/2016	
BNSF 2015-355(TS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
BNSF 2015-356(SA)	1	\$5,000	\$5,000	\$4,200	09/30/2016	
BNSF 2015-357(SA)	1	\$5,000	\$5,000	\$4,200	09/30/2016	
BNSF 2015-358(SA)	1	\$5,000	\$5,000	\$4,200	09/30/2016	
BNSF 2015-359(SA)	1	\$2,500	\$2,500	\$2,100	09/30/2016	
BNSF 2015-360(SA)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
BNSF 2015-361(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
BNSF 2015-362(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
BNSF 2015-363(HS)	2	\$2,000	\$2,000	\$1,500	09/30/2016	
BNSF 2015-364(SA)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
BNSF 2015-365(HS)	1	\$1,000	\$1,000	\$800	09/30/2016	
BNSF 2015-366(ROP)	1	\$9,500	\$9,500	\$7,600	09/30/2016	
BNSF 2015-367(TS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
BNSF 2015-368(SA)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
BNSF 2015-377(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
BNSF 2015-378(TS)	2	\$7,500	\$7,500	\$6,000	09/30/2016	
BNSF 2015-379(LI)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
BNSF 2015-380(SA)	1	\$2,500	\$2,500	\$2,100	09/30/2016	
BNSF 2015-381(SA)	1	\$5,000	\$5,000	\$4,100	09/30/2016	

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BNSF 2015-382(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
BNSF 2015-383(SA)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
BNSF 2015-384(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
BNSF 2015-385(HMT)	2	\$2,000	\$2,000	\$1,600	09/30/2016	
BNSF 2015-386(ROP)	1	\$9,500	\$9,500	\$7,600	09/30/2016	
BNSF 2015-387(TS)	2	\$7,500	\$7,500	\$6,000	09/30/2016	
BNSF 2015-388(ROP)	1	\$7,500	\$7,500	\$6,000	09/30/2016	
BNSF 2015-389(SA)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
BNSF 2015-390(SA)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
BNSF 2015-391(HS)	1	\$1,000	\$1,000	\$800	09/30/2016	
BNSF 2015-393(LI)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
BNSF 2015-394(AD)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
BNSF 2015-396(AD)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
BNSF 2015-397(AD)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
BNSF 2015-398(ROP)	1	\$7,500	\$7,500	\$6,000	09/30/2016	
BNSF 2015-399(TS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
BNSF 2015-400(REM)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
BNSF 2015-401(RW)	2	\$4,000	\$4,000	\$3,200	09/30/2016	
BNSF 2015-402(ROP)	1	\$7,500	\$7,500	\$6,000	09/30/2016	
BNSF 2015-403(ROP)	1	\$7,500	\$7,500	\$6,000	09/30/2016	
BNSF 2015-405(TS)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
BNSF 2015-406(TS)	17	\$72,500	\$72,500	\$64,000	09/30/2016	
BNSF 2015-407(TS)	2	\$2,000	\$2,000	\$1,700	09/30/2016	
BNSF 2015-408(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
BNSF 2015-409(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
BNSF 2015-410(FCS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
BNSF 2015-411(ROP)	1	\$7,500	\$7,500	\$6,000	09/30/2016	
BNSF 2015-412(ROP)	1	\$7,500	\$7,500	\$6,000	09/30/2016	
BNSF 2015-413(ROP)	1	\$7,500	\$7,500	\$6,000	09/30/2016	
BNSF 2015-415(GC)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
BNSF 2015-416(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
BNSF 2015-417(SA)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
BNSF 2015-418(SA)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
BNSF 2015-419(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
BNSF 2015-420(SA)	1	\$5,000	\$5,000	\$2,500	09/30/2016	
BNSF 2015-421(SA)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
BNSF 2015-422(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-423(LI)	1	\$1,000	\$1,000	\$800	09/30/2016	
BNSF 2015-424(LI)	1	\$2,500	\$2,500	\$1,850	09/30/2016	
BNSF 2015-425(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
BNSF 2015-426(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-427(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-428(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-429(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
BNSF 2015-430(FCS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
BNSF 2015-431(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
BNSF 2015-432(FCS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
BNSF 2015-433(SI)	1	\$1,000	\$1,000	\$800	09/30/2016	
BNSF 2015-434(GC)	1	\$5,000	\$5,000	\$4,100	09/30/2016	

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BNSF 2015-435(TS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
BNSF 2015-437(SI)	1	\$1,000	\$1,000	\$800	09/30/2016	
BNSF 2015-438(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-439(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
BNSF 2015-440(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-441(FCS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
BNSF 2015-442(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
BNSF 2015-443(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
BNSF 2015-444(FCS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-445(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
BNSF 2015-446(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
BNSF 2015-447(TS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
BNSF 2015-448(TS)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
BNSF 2015-449(TS)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
BNSF 2015-450(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
BNSF 2015-451(LI)	2	\$5,000	\$5,000	\$4,200	09/30/2016	
BNSF 2015-452(GC)	1	\$2,500	\$2,500	\$2,100	09/30/2016	
BNSF 2015-453(LI)	4	\$10,000	\$10,000	\$7,900	09/30/2016	
BNSF 2015-454(LI)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
BNSF 2015-455(TS)	2	\$5,000	\$5,000	\$4,100	09/30/2016	
BNSF 2015-456(LI)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
BNSF 2015-457(TS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
BNSF 2015-458(TS)	1	\$2,500	\$2,500	\$2,100	09/30/2016	
BNSF 2015-459(TS)	1	\$2,500	\$2,500	\$2,100	09/30/2016	
BNSF 2015-460(TS)	1	\$1,000	\$1,000	\$800	09/30/2016	
BNSF 2015-461(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-462(HMT)	1	\$5,000	\$5,000	\$4,400	09/30/2016	
BNSF 2015-463(GC)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-464(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
BNSF 2015-465(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
BNSF 2015-466(SA)	2	\$10,000	\$10,000	\$7,800	09/30/2016	
BNSF 2015-467(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-468(SI)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-469(SI)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-470(ROP)	1	\$9,500	\$9,500	\$7,600	09/30/2016	
BNSF 2015-471(RW)	1	\$1,000	\$0	\$0	09/30/2016	Case Terminated.
BNSF 2015-472(GC)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
BNSF 2015-473(GC)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
BNSF 2015-474(GC)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
BNSF 2015-475(GC)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
BNSF 2015-476(GC)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
BNSF 2015-477(GC)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
BNSF 2015-478(GC)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
BNSF 2015-479(ROP)	1	\$9,500	\$9,500	\$8,200	09/30/2016	
BNSF 2015-480(HMT)	1	\$5,000	\$5,000	\$4,400	09/30/2016	
BNSF 2015-481(HMT)	1	\$5,000	\$5,000	\$4,400	09/30/2016	
BNSF 2015-482(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-483(FCS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-484(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	

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BNSF 2015-485(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
BNSF 2015-486(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-487(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-488(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-489(RW)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-490(LI)	1	\$1,000	\$1,000	\$775	09/30/2016	
BNSF 2015-491(LI)	1	\$1,500	\$1,500	\$1,150	09/30/2016	
BNSF 2015-492(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-493(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-494(LI)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
BNSF 2015-495(ROP)	1	\$7,500	\$7,500	\$6,200	09/30/2016	
BNSF 2015-496(ROP)	1	\$2,000	\$2,000	\$1,600	09/30/2016	
BNSF 2015-497(ROP)	1	\$9,500	\$6,000	\$6,000	09/30/2016	Partially Terminated Violation(s): 1.
BNSF 2015-498(ROP)	1	\$7,500	\$7,500	\$6,000	09/30/2016	
BNSF 2015-499(ROP)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-500(ROP)	1	\$9,500	\$9,500	\$7,600	09/30/2016	
BNSF 2015-501(ROP)	1	\$7,500	\$7,500	\$6,500	09/30/2016	
BNSF 2015-502(ROP)	1	\$9,500	\$9,500	\$7,600	09/30/2016	
BNSF 2015-503(ROP)	1	\$7,500	\$2,000	\$2,000	09/30/2016	Partially Terminated Violation(s): 1.
BNSF 2015-504(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-505(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-507(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-508(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-509(TS)	2	\$7,500	\$7,500	\$5,800	09/30/2016	
BNSF 2015-510(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-511(HMT)	1	\$4,000	\$4,000	\$3,500	09/30/2016	
BNSF 2015-512(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
BNSF 2015-513(TS)	2	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-514(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-516(EP)	1	\$1,000	\$1,000	\$800	09/30/2016	
BNSF 2015-517(EP)	1	\$2,500	\$2,500	\$2,050	09/30/2016	
BNSF 2015-518(ROP)	1	\$7,500	\$2,000	\$2,000	09/30/2016	Partially Terminated Violation(s): 1.
BNSF 2015-519(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
BNSF 2015-520(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
BNSF 2015-521(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
BNSF 2015-522(RMM)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-523(GC)	1	\$1,000	\$1,000	\$850	09/30/2016	
BNSF 2015-524(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-525(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-526(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-527(SA)	1	\$5,000	\$5,000	\$4,200	09/30/2016	
BNSF 2015-528(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-529(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-530(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-531(SA)	1	\$5,000	\$5,000	\$4,200	09/30/2016	
BNSF 2015-532(SA)	1	\$5,000	\$5,000	\$4,200	09/30/2016	
BNSF 2015-533(SA)	1	\$5,000	\$5,000	\$4,200	09/30/2016	

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BNSF 2015-534(SA)	1	\$5,000	\$5,000	\$4,200	09/30/2016	
BNSF 2015-535(SA)	1	\$5,000	\$5,000	\$4,200	09/30/2016	
BNSF 2015-536(SA)	1	\$5,000	\$5,000	\$4,200	09/30/2016	
BNSF 2015-537(SA)	1	\$5,000	\$5,000	\$4,200	09/30/2016	
BNSF 2015-538(SA)	1	\$5,000	\$5,000	\$4,200	09/30/2016	
BNSF 2015-539(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-540(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-541(SA)	1	\$2,000	\$2,000	\$1,600	09/30/2016	
BNSF 2015-542(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-543(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-544(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-545(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-546(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-547(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-548(TS)	2	\$7,500	\$7,500	\$5,800	09/30/2016	
BNSF 2015-549(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-550(SI)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-551(SI)	1	\$5,000	\$5,000	\$3,750	09/30/2016	
BNSF 2015-553(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
BNSF 2015-554(LI)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
BNSF 2015-555(LI)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
BNSF 2015-556(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
BNSF 2015-557(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-558(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-559(AD)	3	\$7,500	\$7,500	\$6,100	09/30/2016	
BNSF 2015-560(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-561(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-562(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-563(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-564(HMT)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-565(TS)	1	\$1,000	\$1,000	\$750	09/30/2016	
BNSF 2015-566(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-567(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-568(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-569(ROP)	1	\$7,500	\$7,500	\$6,000	09/30/2016	
BNSF 2015-570(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-572(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-573(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-575(FCS)	6	\$30,000	\$25,000	\$19,000	09/30/2016	Partially Terminated Violation(s): 1.
BNSF 2015-576(FCS)	6	\$25,000	\$25,000	\$20,500	09/30/2016	
BNSF 2015-577(FCS)	5	\$25,000	\$25,000	\$20,500	09/30/2016	
BNSF 2015-578(RW)	1	\$2,000	\$2,000	\$1,675	09/30/2016	
BNSF 2015-579(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-580(FCS)	2	\$5,000	\$5,000	\$4,100	09/30/2016	
BNSF 2015-581(FCS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
BNSF 2015-582(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-583(TS)	3	\$3,000	\$3,000	\$2,300	09/30/2016	
BNSF 2015-584(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-585(ROP)	1	\$7,500	\$7,500	\$6,000	09/30/2016	

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BNSF 2015-586(ROP)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-587(LI)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
BNSF 2015-588(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-589(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-590(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-591(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-592(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-593(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-594(SA)	1	\$5,000	\$5,000	\$3,800	09/30/2016	
BNSF 2015-595(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
BNSF 2015-596(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-597(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-598(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-599(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-600(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-601(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-602(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-603(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-604(FCS)	5	\$25,000	\$25,000	\$20,500	09/30/2016	
BNSF 2015-605(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-606(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-607(TS)	7	\$17,500	\$17,500	\$14,000	09/30/2016	
BNSF 2015-609(ROP)	1	\$7,500	\$7,500	\$6,000	09/30/2016	
BNSF 2015-610(ROP)	1	\$7,500	\$7,500	\$6,000	09/30/2016	
BNSF 2015-611(ROP)	1	\$7,500	\$7,500	\$6,000	09/30/2016	
BNSF 2015-612(LI)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
BNSF 2015-613(LI)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
BNSF 2015-614(LI)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
BNSF 2015-615(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-616(GC)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-617(SI)	1	\$1,000	\$1,000	\$800	09/30/2016	
BNSF 2015-618(SI)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-619(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-620(FCS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
BNSF 2015-621(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-622(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-623(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-625(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-626(LI)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
BNSF 2015-627(FCS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
BNSF 2015-628(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-629(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-630(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-631(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-632(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-633(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-634(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-635(FCS)	1	\$2,500	\$2,500	\$2,500	09/30/2016	
BNSF 2015-636(FCS)	1	\$2,500	\$2,500	\$2,050	09/30/2016	

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BNSF 2015-638(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-639(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
BNSF 2015-640(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-641(LI)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
BNSF 2015-642(LI)	1	\$2,500	\$0	\$0	09/30/2016	Case Terminated.
BNSF 2015-643(TH)	1	\$5,000	\$0	\$0	09/30/2016	Case Terminated.
BNSF 2015-644(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-645(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-646(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-647(RW)	1	\$5,000	\$5,000	\$4,400	09/30/2016	
BNSF 2015-648(RMM)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-649(RW)	1	\$1,000	\$1,000	\$850	09/30/2016	
BNSF 2015-651(TS)	6	\$15,000	\$15,000	\$12,000	09/30/2016	
BNSF 2015-653(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-654(ROP)	1	\$7,500	\$7,500	\$6,000	09/30/2016	
BNSF 2015-655(ROP)	1	\$2,000	\$2,000	\$1,600	09/30/2016	
BNSF 2015-656(HMT)	1	\$2,000	\$2,000	\$1,650	09/30/2016	
BNSF 2015-657(HMT)	1	\$2,000	\$2,000	\$1,650	09/30/2016	
BNSF 2015-658(GC)	1	\$2,500	\$2,500	\$2,100	09/30/2016	
BNSF 2015-659(HMT)	1	\$2,000	\$2,000	\$1,650	09/30/2016	
BNSF 2015-660(HMT)	1	\$5,000	\$5,000	\$4,300	09/30/2016	
BNSF 2015-661(FCS)	1	\$5,000	\$5,000	\$4,050	09/30/2016	
BNSF 2015-662(FCS)	1	\$5,000	\$5,000	\$4,150	09/30/2016	
BNSF 2015-663(TS)	1	\$1,000	\$1,000	\$800	09/30/2016	
BNSF 2015-664(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-665(SA)	1	\$10,000	\$10,000	\$7,500	09/30/2016	
BNSF 2015-666(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-667(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-668(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-669(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-670(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-671(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-672(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-673(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-674(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-675(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-676(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-677(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
BNSF 2015-678(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-679(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-680(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-681(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-682(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-683(ROP)	1	\$7,500	\$7,500	\$6,000	09/30/2016	
BNSF 2015-684(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
BNSF 2015-685(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-686(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-687(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-688(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	

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BNSF 2015-689(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-690(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-691(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-692(LI)	1	\$1,000	\$1,000	\$800	09/30/2016	
BNSF 2015-693(LI)	1	\$1,000	\$1,000	\$800	09/30/2016	
BNSF 2015-694(LI)	1	\$1,000	\$1,000	\$800	09/30/2016	
BNSF 2015-695(LI)	1	\$1,000	\$1,000	\$800	09/30/2016	
BNSF 2015-696(HMT)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-697(HMT)	4	\$20,000	\$0	\$0	09/30/2016	Case Terminated.
BNSF 2015-698(ROP)	1	\$9,500	\$9,500	\$7,600	09/30/2016	
BNSF 2015-699(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-700(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-701(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-702(TS)	2	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-704(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-705(TS)	5	\$11,000	\$11,000	\$9,000	09/30/2016	
BNSF 2015-706(HMT)	3	\$18,000	\$18,000	\$14,400	09/30/2016	
BNSF 2015-707(HMT)	1	\$2,000	\$2,000	\$1,650	09/30/2016	
BNSF 2015-709(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-710(EP)	1	\$999	\$999	\$800	09/30/2016	
BNSF 2015-711(HMT)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
BNSF 2015-712(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-713(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-714(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
BNSF 2015-715(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-716(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-717(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-718(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-719(EP)	1	\$1,000	\$1,000	\$800	09/30/2016	
BNSF 2015-720(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-721(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-722(ROP)	1	\$7,500	\$7,500	\$6,000	09/30/2016	
BNSF 2015-723(ROP)	1	\$9,500	\$0	\$0	09/30/2016	Case Terminated.
BNSF 2015-724(ROP)	1	\$9,500	\$9,500	\$7,800	09/30/2016	
BNSF 2015-725(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
BNSF 2015-726(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-727(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-728(HS)	1	\$1,000	\$1,000	\$780	09/30/2016	
BNSF 2015-729(EP)	1	\$1,000	\$1,000	\$800	09/30/2016	
BNSF 2015-730(EP)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
BNSF 2015-731(HSR)	1	\$1,000	\$1,000	\$780	09/30/2016	
BNSF 2015-732(ROP)	1	\$9,500	\$9,500	\$7,700	09/30/2016	
BNSF 2015-733(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-734(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-737(FCS)	1	\$2,500	\$2,500	\$2,050	09/30/2016	
BNSF 2015-740(TS)	1	\$1,000	\$1,000	\$800	09/30/2016	
BNSF 2015-741(SI)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-742(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-743(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	

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BNSF 2015-744(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
BNSF 2015-745(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-746(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-747(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-748(HMT)	5	\$32,000	\$32,000	\$26,240	09/30/2016	
BNSF 2015-749(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-750(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-751(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-752(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-753(TS)	3	\$7,500	\$7,500	\$6,200	09/30/2016	
BNSF 2015-754(TS)	4	\$10,000	\$10,000	\$7,900	09/30/2016	
BNSF 2015-755(TS)	8	\$8,000	\$8,000	\$7,000	09/30/2016	
BNSF 2015-756(TS)	3	\$15,000	\$15,000	\$12,000	09/30/2016	
BNSF 2015-757(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2015-758(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-759(SA)	1	\$7,500	\$7,500	\$6,000	09/30/2016	
BNSF 2015-760(SA)	1	\$2,500	\$2,500	\$1,850	09/30/2016	
BNSF 2015-761(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-762(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
BNSF 2015-763(FCS)	1	\$2,500	\$2,500	\$2,050	09/30/2016	
BNSF 2015-764(FCS)	1	\$2,500	\$2,500	\$2,050	09/30/2016	
BNSF 2015-765(GC)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2015-767(AD)	2	\$5,000	\$5,000	\$3,950	09/30/2016	
BNSF 2016-1(TS)	2	\$10,000	\$10,000	\$8,000	09/30/2016	
BNSF 2016-2(TS)	9	\$9,000	\$9,000	\$8,000	09/30/2016	
BNSF 2016-3(TS)	1	\$5,000	\$5,000	\$4,200	09/30/2016	
BNSF 2016-4(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2016-5(AR)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
BNSF 2016-6(AR)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
BNSF 2016-7(TS)	2	\$2,000	\$2,000	\$1,550	09/30/2016	
BNSF 2016-9(FCS)	1	\$2,500	\$2,500	\$2,050	09/30/2016	
BNSF 2016-12(FCS)	1	\$2,500	\$2,500	\$2,050	09/30/2016	
BNSF 2016-15(FCS)	1	\$2,500	\$2,500	\$2,050	09/30/2016	
BNSF 2016-18(FCS)	1	\$2,500	\$2,500	\$2,050	09/30/2016	
BNSF 2016-21(FCS)	1	\$2,500	\$2,500	\$2,050	09/30/2016	
BNSF 2016-24(FCS)	1	\$2,500	\$2,500	\$2,050	09/30/2016	
BNSF 2016-25(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2016-26(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2016-27(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2016-28(GC)	1	\$2,500	\$2,500	\$2,150	09/30/2016	
BNSF 2016-29(GC)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
BNSF 2016-30(EP)	1	\$1,000	\$1,000	\$800	09/30/2016	
BNSF 2016-31(FCS)	1	\$2,500	\$2,500	\$2,050	09/30/2016	
BNSF 2016-32(FCS)	1	\$2,500	\$2,500	\$2,050	09/30/2016	
BNSF 2016-33(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2016-34(SA)	2	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2016-35(ROP)	1	\$7,500	\$7,500	\$6,400	09/30/2016	
BNSF 2016-36(FCS)	1	\$5,000	\$5,000	\$4,150	09/30/2016	
BNSF 2016-37(TS)	2	\$10,000	\$10,000	\$8,000	09/30/2016	

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BNSF 2016-38(TS)	1	\$1,000	\$1,000	\$750	09/30/2016	
BNSF 2016-39(TS)	2	\$2,000	\$2,000	\$1,550	09/30/2016	
BNSF 2016-40(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2016-41(RMM)	2	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2016-42(RW)	1	\$2,000	\$2,000	\$1,600	09/30/2016	
BNSF 2016-43(LI)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
BNSF 2016-44(TS)	2	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2016-45(TS)	2	\$10,000	\$10,000	\$7,800	09/30/2016	
BNSF 2016-46(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2016-47(TS)	2	\$10,000	\$10,000	\$7,800	09/30/2016	
BNSF 2016-49(ROP)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2016-50(ROP)	1	\$2,000	\$2,000	\$1,600	09/30/2016	
BNSF 2016-51(ROP)	1	\$7,500	\$7,500	\$6,600	09/30/2016	
BNSF 2016-52(ROP)	1	\$2,000	\$2,000	\$1,500	09/30/2016	
BNSF 2016-53(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
BNSF 2016-54(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
BNSF 2016-55(TS)	1	\$1,000	\$1,000	\$750	09/30/2016	
BNSF 2016-58(TS)	3	\$3,000	\$3,000	\$2,200	09/30/2016	
BNSF 2016-59(TS)	4	\$5,500	\$5,500	\$4,400	09/30/2016	
BNSF 2016-62(HMT)	1	\$3,000	\$3,000	\$2,400	09/30/2016	
BNSF 2016-63(HMT)	1	\$4,000	\$4,000	\$3,300	09/30/2016	
BNSF 2016-64(ROP)	1	\$7,500	\$7,500	\$6,500	09/30/2016	
BNSF 2016-65(ROP)	1	\$7,500	\$7,500	\$6,500	09/30/2016	
BNSF 2016-66(ROP)	1	\$7,500	\$7,500	\$6,500	09/30/2016	
BNSF 2016-67(ROP)	1	\$7,500	\$7,500	\$6,500	09/30/2016	
BNSF 2016-74(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2016-75(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2016	
BNSF 2016-76(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2016	
BNSF 2016-77(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2016	
BNSF 2016-78(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2016	
BNSF 2016-79(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2016	
BNSF 2016-80(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2016	
BNSF 2016-81(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2016-82(ROP)	3	\$6,000	\$6,000	\$4,900	09/30/2016	
BNSF 2016-83(SA)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
BNSF 2016-84(ROP)	1	\$7,500	\$7,500	\$6,650	09/30/2016	
BNSF 2016-85(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2016-86(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2016-87(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2016-88(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2016-89(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
BNSF 2016-91(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2016-92(TS)	1	\$1,000	\$1,000	\$750	09/30/2016	
BNSF 2016-95(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2016-96(HMT)	1	\$1,000	\$1,000	\$750	09/30/2016	
BNSF 2016-97(HMT)	1	\$2,000	\$2,000	\$1,650	09/30/2016	
BNSF 2016-98(FCS)	5	\$25,000	\$25,000	\$21,000	09/30/2016	
BNSF 2016-99(HMT)	1	\$6,000	\$6,000	\$4,800	09/30/2016	
BNSF 2016-100(HMT)	1	\$2,000	\$2,000	\$1,700	09/30/2016	

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BNSF 2016-101(ROP)	1	\$2,000	\$2,000	\$1,650	09/30/2016	
BNSF 2016-102(ROP)	1	\$9,500	\$9,500	\$7,600	09/30/2016	
BNSF 2016-103(ROP)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2016-104(ROP)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2016-105(ROP)	1	\$9,500	\$9,500	\$7,800	09/30/2016	
BNSF 2016-106(ROP)	6	\$12,000	\$12,000	\$9,400	09/30/2016	
BNSF 2016-108(ROP)	1	\$7,500	\$7,500	\$6,300	09/30/2016	
BNSF 2016-109(ROP)	1	\$7,500	\$7,500	\$6,300	09/30/2016	
BNSF 2016-110(ROP)	1	\$7,500	\$7,500	\$6,300	09/30/2016	
BNSF 2016-111(ROP)	1	\$7,500	\$7,500	\$6,200	09/30/2016	
BNSF 2016-112(ROP)	1	\$2,000	\$2,000	\$1,650	09/30/2016	
BNSF 2016-113(ROP)	1	\$7,500	\$7,500	\$6,300	09/30/2016	
BNSF 2016-114(ROP)	1	\$7,500	\$2,000	\$2,000	09/30/2016	Partially Terminated Violation(s): 1.
BNSF 2016-115(ROP)	3	\$12,000	\$12,000	\$9,500	09/30/2016	
BNSF 2016-116(ROP)	1	\$7,500	\$7,500	\$6,000	09/30/2016	
BNSF 2016-117(ROP)	1	\$7,500	\$7,500	\$6,100	09/30/2016	
BNSF 2016-118(ROP)	1	\$7,500	\$7,500	\$6,300	09/30/2016	
BNSF 2016-119(ROP)	1	\$7,500	\$7,500	\$6,300	09/30/2016	
BNSF 2016-120(ROP)	1	\$7,500	\$2,000	\$2,000	09/30/2016	Partially Terminated Violation(s): 1.
BNSF 2016-121(ROP)	2	\$4,000	\$4,000	\$3,000	09/30/2016	
BNSF 2016-122(ROP)	1	\$9,500	\$9,500	\$7,800	09/30/2016	
BNSF 2016-123(ROP)	7	\$52,500	\$14,000	\$14,000	09/30/2016	Partially Terminated Violation(s): 1.
BNSF 2016-124(ROP)	1	\$2,000	\$2,000	\$1,650	09/30/2016	
BNSF 2016-125(TS)	1	\$1,000	\$1,000	\$750	09/30/2016	
BNSF 2016-127(ROP)	1	\$2,000	\$2,000	\$1,650	09/30/2016	
BNSF 2016-128(ROP)	1	\$2,000	\$2,000	\$1,650	09/30/2016	
BNSF 2016-129(ROP)	1	\$7,500	\$2,000	\$2,000	09/30/2016	Partially Terminated Violation(s): 1.
BNSF 2016-130(ROP)	2	\$4,000	\$4,000	\$3,000	09/30/2016	
BNSF 2016-133(HSR)	5	\$5,000	\$5,000	\$3,900	09/30/2016	
BNSF 2016-135(FCS)	1	\$2,500	\$2,500	\$2,050	09/30/2016	
BNSF 2016-138(FCS)	1	\$2,500	\$2,500	\$2,050	09/30/2016	
BNSF 2016-139(FCS)	1	\$5,000	\$5,000	\$4,150	09/30/2016	
BNSF 2016-140(FCS)	1	\$5,000	\$5,000	\$4,150	09/30/2016	
BNSF 2016-142(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2016-143(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2016-144(ROP)	1	\$7,500	\$2,000	\$2,000	09/30/2016	Partially Terminated Violation(s): 1.
BNSF 2016-145(ROP)	1	\$7,500	\$7,500	\$6,000	09/30/2016	
BNSF 2016-146(AD)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2016-147(LI)	1	\$1,500	\$1,500	\$1,150	09/30/2016	
BNSF 2016-148(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2016-149(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2016-150(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2016-151(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2016-152(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2016-153(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2016-154(SA)	1	\$7,500	\$7,500	\$5,625	09/30/2016	

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BNSF 2016-155(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2016-156(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2016-157(SA)	2	\$10,000	\$10,000	\$7,500	09/30/2016	
BNSF 2016-158(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
BNSF 2016-159(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2016-160(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2016-161(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2016-162(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2016-163(HS)	1	\$1,000	\$1,000	\$800	09/30/2016	
BNSF 2016-164(HS)	1	\$1,000	\$1,000	\$800	09/30/2016	
BNSF 2016-166(ROP)	1	\$7,500	\$7,500	\$6,300	09/30/2016	
BNSF 2016-169(HMT)	4	\$20,000	\$20,000	\$16,000	09/30/2016	
BNSF 2016-170(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2016-171(HMT)	2	\$4,000	\$4,000	\$3,300	09/30/2016	
BNSF 2016-173(ROP)	1	\$7,500	\$7,500	\$6,300	09/30/2016	
BNSF 2016-175(FCS)	1	\$2,500	\$2,500	\$2,050	09/30/2016	
BNSF 2016-176(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
BNSF 2016-177(LI)	1	\$1,500	\$1,500	\$1,150	09/30/2016	
BNSF 2016-178(HMT)	1	\$1,000	\$1,000	\$750	09/30/2016	
BNSF 2016-179(ROP)	1	\$2,000	\$2,000	\$1,650	09/30/2016	
BNSF 2016-180(ROP)	1	\$7,500	\$2,000	\$2,000	09/30/2016	Partially Terminated Violation(s): 1.
BNSF 2016-181(LI)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
BNSF 2016-182(LI)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
BNSF 2016-183(LI)	1	\$1,500	\$1,500	\$1,150	09/30/2016	
BNSF 2016-184(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2016-185(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2016-187(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2016-188(ROP)	1	\$2,000	\$2,000	\$1,650	09/30/2016	
BNSF 2016-189(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2016-190(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2016-191(TS)	1	\$1,000	\$1,000	\$750	09/30/2016	
BNSF 2016-192(TS)	1	\$1,000	\$1,000	\$750	09/30/2016	
BNSF 2016-193(TS)	1	\$1,000	\$1,000	\$750	09/30/2016	
BNSF 2016-194(TS)	1	\$1,000	\$1,000	\$750	09/30/2016	
BNSF 2016-195(TS)	1	\$1,000	\$1,000	\$750	09/30/2016	
BNSF 2016-196(TS)	1	\$1,000	\$1,000	\$750	09/30/2016	
BNSF 2016-197(TS)	1	\$1,000	\$1,000	\$750	09/30/2016	
BNSF 2016-198(TS)	1	\$1,000	\$1,000	\$750	09/30/2016	
BNSF 2016-199(TS)	1	\$1,000	\$1,000	\$750	09/30/2016	
BNSF 2016-200(TS)	1	\$1,000	\$1,000	\$750	09/30/2016	
BNSF 2016-201(TS)	1	\$1,000	\$1,000	\$750	09/30/2016	
BNSF 2016-202(TS)	1	\$1,000	\$1,000	\$750	09/30/2016	
BNSF 2016-203(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2016-205(TS)	5	\$12,500	\$12,500	\$8,500	09/30/2016	
BNSF 2016-206(TS)	4	\$15,000	\$15,000	\$10,200	09/30/2016	
BNSF 2016-208(TS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
BNSF 2016-209(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2016-210(ROP)	1	\$7,500	\$2,000	\$2,000	09/30/2016	Partially Terminated Violation(s): 1.

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BNSF 2016-211(ROP)	1	\$2,000	\$2,000	\$1,650	09/30/2016	
BNSF 2016-212(ROP)	1	\$2,000	\$2,000	\$1,650	09/30/2016	
BNSF 2016-213(ROP)	1	\$7,500	\$7,500	\$6,300	09/30/2016	
BNSF 2016-214(AD)	31	\$77,500	\$2,500	\$2,500	09/30/2016	Partially Terminated Violation(s): 1.
BNSF 2016-215(AD)	23	\$57,500	\$2,500	\$2,500	09/30/2016	Partially Terminated Violation(s): 1.
BNSF 2016-217(AD)	9	\$22,500	\$22,500	\$18,000	09/30/2016	
BNSF 2016-218(AD)	25	\$62,500	\$2,500	\$2,500	09/30/2016	Partially Terminated Violation(s): 1.
BNSF 2016-220(LI)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
BNSF 2016-222(AD)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
BNSF 2016-223(AD)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
BNSF 2016-224(SA)	2	\$10,000	\$10,000	\$7,700	09/30/2016	
BNSF 2016-225(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2016-227(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
BNSF 2016-228(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
BNSF 2016-229(HMT)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2016-230(TS)	2	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSF 2016-232(ROP)	3	\$6,000	\$6,000	\$4,800	09/30/2016	
BNSF 2016-233(ROP)	3	\$6,000	\$6,000	\$4,800	09/30/2016	
BNSF 2016-234(ROP)	1	\$1,000	\$1,000	\$750	09/30/2016	
BNSF 2016-235(ROP)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
BNSO 2015-2(ROP)	1	\$7,500	\$7,500	\$6,300	09/30/2016	
BPRR 2015-1(FCS)	1	\$5,000	\$5,000	\$3,900	09/27/2016	
CA 2015-1(GC)	1	\$2,500	\$2,500	\$1,950	09/27/2016	
CAGY 2015-1(TS)	1	\$2,500	\$2,500	\$1,950	09/27/2016	
CAGY 2015-2(TS)	1	\$2,500	\$2,500	\$1,950	09/27/2016	
CAGY 2015-3(LI)	1	\$2,500	\$2,500	\$1,950	09/27/2016	
CARS 2015-1(TS)	1	\$5,000	\$5,000	\$5,000	05/06/2016	
CBR 2015-1(SI)	1	\$2,500	\$2,500	\$2,000	03/11/2016	
CC 2015-1(SA)	1	\$5,000	\$5,000	\$4,075	09/27/2016	
CCPN 2015-1(ROR)	1	\$2,500	\$2,500	\$1,950	09/27/2016	
CCPN 2015-2(ROR)	1	\$2,500	\$2,500	\$1,950	09/27/2016	
CCRL 2015-1(GC)	1	\$2,500	\$2,500	\$2,500	02/08/2016	
CCT 2016-1(SA)	1	\$5,000	\$5,000	\$3,250	03/23/2016	
CFE 2015-1(SA)	1	\$5,000	\$5,000	\$3,900	09/27/2016	
CFI 2012-2(HMT)	1	\$2,500	\$2,500	\$2,000	02/22/2016	
CFI 2014-1(HMT)	2	\$10,000	\$10,000	\$8,000	02/22/2016	
CFI 2015-1(HMT)	1	\$5,000	\$5,000	\$4,250	02/22/2016	
CFNR 2015-1(TS)	7	\$10,000	\$10,000	\$7,800	09/27/2016	
CFNR 2015-2(TS)	2	\$3,500	\$3,500	\$2,730	09/27/2016	
CFNR 2015-3(TS)	1	\$1,000	\$1,000	\$800	09/27/2016	
CFNR 2015-4(TS)	1	\$1,000	\$1,000	\$800	09/27/2016	
CFNR 2015-5(TS)	1	\$5,000	\$5,000	\$3,950	09/27/2016	
CFNR 2015-6(TS)	4	\$5,500	\$5,500	\$4,290	09/27/2016	
CFRC 2014-2(EQ)	1	\$5,000	\$5,000	\$3,750	03/11/2016	
CFRC 2014-3(SI)	5	\$20,000	\$20,000	\$14,750	03/11/2016	
CFRC 2014-4(SI)	1	\$2,500	\$2,500	\$1,875	11/02/2015	
CFRC 2014-5(GC)	1	\$2,500	\$2,500	\$2,000	11/02/2015	

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CFRC 2014-6(SI)	3	\$8,500	\$8,500	\$8,400	03/11/2016	
CFRC 2015-1(ROR)	2	\$10,000	\$10,000	\$10,000	10/22/2015	
CFRC 2015-2(SI)	4	\$10,000	\$10,000	\$8,750	11/02/2015	
CFRC 2015-3(SA)	2	\$5,000	\$5,000	\$3,250	11/02/2015	
CFRC 2015-4(GC)	1	\$5,000	\$5,000	\$3,750	11/02/2015	
CFRC 2015-5(GC)	1	\$5,000	\$5,000	\$3,250	03/14/2016	
CFRC 2015-6(GC)	1	\$5,000	\$5,000	\$5,000	10/22/2015	
CFRC 2015-7(AD)	1	\$2,500	\$2,500	\$1,800	11/02/2015	
CFRC 2015-8(AD)	1	\$5,000	\$5,000	\$3,250	11/02/2015	
CFRC 2015-12(GC)	2	\$7,500	\$7,500	\$6,250	03/21/2016	
CFRC 2015-13(SI)	1	\$5,000	\$5,000	\$4,000	03/21/2016	
CGIV 2016-1(AR)	1	\$2,500	\$2,500	\$2,500	09/21/2016	
CLNA 2015-1(TS)	1	\$2,500	\$2,500	\$2,250	10/19/2015	
CLNA 2015-2(TS)	1	\$5,000	\$5,000	\$4,250	10/19/2015	
CLNA 2015-3(FCS)	1	\$5,000	\$5,000	\$3,500	10/19/2015	
CN 2015-1(CC)	1	\$4,000	\$4,000	\$3,250	09/27/2016	
CN 2015-2(SA)	1	\$2,500	\$2,500	\$1,940	09/27/2016	
CN 2015-3(SA)	1	\$2,500	\$2,500	\$1,940	09/27/2016	
CN 2015-4(LI)	1	\$1,500	\$1,500	\$1,155	09/27/2016	
CN 2015-5(RW)	1	\$1,000	\$0	\$0	09/27/2016	Case Terminated.
CN 2015-6(TS)	3	\$3,000	\$3,000	\$2,520	09/27/2016	
CN 2015-7(TS)	1	\$1,000	\$1,000	\$790	09/27/2016	
CN 2015-8(TS)	1	\$2,500	\$2,500	\$2,075	09/27/2016	
CN 2015-9(TS)	1	\$2,500	\$2,500	\$2,075	09/27/2016	
CN 2015-10(TS)	6	\$6,000	\$6,000	\$4,800	09/27/2016	
CN 2015-11(TS)	1	\$2,500	\$2,500	\$2,075	09/27/2016	
CN 2015-12(TS)	1	\$1,000	\$1,000	\$800	09/27/2016	
CN 2015-13(TS)	2	\$5,000	\$5,000	\$4,150	09/27/2016	
CN 2015-14(ROP)	1	\$9,500	\$9,500	\$8,075	09/27/2016	
CN 2015-15(ROP)	1	\$2,000	\$2,000	\$1,370	09/27/2016	
CN 2015-16(ROP)	1	\$5,000	\$5,000	\$4,100	09/27/2016	
CN 2015-17(ROP)	1	\$9,500	\$0	\$0	09/27/2016	Case Terminated.
CN 2015-18(ROP)	1	\$9,500	\$9,500	\$7,410	09/27/2016	
CN 2015-19(SA)	1	\$5,000	\$5,000	\$4,075	09/27/2016	
CN 2015-20(SA)	1	\$5,000	\$5,000	\$4,075	09/27/2016	
CN 2015-21(SA)	1	\$5,000	\$5,000	\$4,075	09/27/2016	
CN 2015-22(SA)	1	\$5,000	\$5,000	\$4,075	09/27/2016	
CN 2015-23(SA)	1	\$5,000	\$5,000	\$4,075	09/27/2016	
CN 2015-24(SI)	1	\$1,000	\$1,000	\$710	09/27/2016	
CN 2015-25(HMT)	1	\$2,000	\$2,000	\$1,590	09/27/2016	
CN 2015-26(HS)	1	\$1,000	\$1,000	\$790	09/27/2016	
CN 2015-27(HS)	1	\$1,000	\$1,000	\$790	09/27/2016	
CN 2015-28(HMT)	1	\$4,000	\$4,000	\$3,250	09/27/2016	
CN 2015-29(TS)	1	\$2,500	\$2,500	\$2,100	09/27/2016	
CN 2015-30(ROP)	1	\$2,000	\$2,000	\$1,640	09/27/2016	
CN 2015-31(ROP)	1	\$9,500	\$9,500	\$8,075	09/27/2016	
CN 2015-32(ROP)	1	\$2,000	\$2,000	\$1,370	09/27/2016	
CN 2015-33(SA)	1	\$5,000	\$5,000	\$4,000	09/27/2016	
CN 2015-34(ROP)	1	\$2,000	\$2,000	\$1,370	09/27/2016	

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CN 2015-36(ROP)	1	\$2,000	\$2,000	\$1,370	09/27/2016	
CN 2015-37(ROP)	1	\$2,000	\$2,000	\$1,370	09/27/2016	
CN 2015-38(ROP)	1	\$2,000	\$2,000	\$1,370	09/27/2016	
CN 2015-39(ROP)	1	\$2,000	\$2,000	\$1,370	09/27/2016	
CN 2015-40(HSR)	1	\$1,000	\$1,000	\$760	09/27/2016	
CN 2015-41(HSR)	1	\$1,000	\$1,000	\$760	09/27/2016	
CN 2015-42(SI)	1	\$1,000	\$1,000	\$710	09/27/2016	
CN 2015-43(SI)	1	\$1,000	\$1,000	\$710	09/27/2016	
CN 2015-44(SA)	1	\$5,000	\$5,000	\$4,075	09/27/2016	
CN 2015-45(SA)	1	\$5,000	\$5,000	\$4,000	09/27/2016	
CN 2015-46(AD)	2	\$10,000	\$10,000	\$7,600	09/27/2016	
CN 2015-47(ROP)	1	\$7,500	\$7,500	\$6,150	09/27/2016	
CN 2015-48(TS)	1	\$2,500	\$2,500	\$2,075	09/27/2016	
CN 2015-49(TS)	1	\$5,000	\$5,000	\$4,100	09/27/2016	
CN 2015-50(TS)	6	\$30,000	\$30,000	\$24,250	09/27/2016	
CN 2015-51(SA)	1	\$2,500	\$2,500	\$1,940	09/27/2016	
CN 2015-52(HMT)	1	\$4,000	\$4,000	\$3,250	09/27/2016	
CN 2015-53(HMT)	3	\$19,000	\$19,000	\$15,390	09/27/2016	
CN 2015-54(HMT)	1	\$2,000	\$2,000	\$1,540	09/27/2016	
CN 2015-55(HMT)	2	\$2,000	\$2,000	\$1,520	09/27/2016	
CN 2015-56(HS)	6	\$6,000	\$6,000	\$4,740	09/27/2016	
CN 2015-57(HS)	6	\$6,000	\$6,000	\$4,740	09/27/2016	
CN 2015-58(HSR)	1	\$1,000	\$1,000	\$750	09/27/2016	
CN 2015-59(HSR)	1	\$1,000	\$1,000	\$750	09/27/2016	
CN 2015-60(TS)	3	\$7,500	\$7,500	\$6,225	09/27/2016	
CN 2015-61(SA)	1	\$2,500	\$2,500	\$1,925	09/27/2016	
CN 2015-62(LI)	1	\$2,500	\$2,500	\$1,975	09/27/2016	
CN 2015-63(LI)	2	\$5,000	\$5,000	\$3,900	09/27/2016	
CN 2015-64(HMT)	1	\$8,000	\$8,000	\$6,480	09/27/2016	
CN 2015-65(HMT)	1	\$2,000	\$1,000	\$700	09/27/2016	Partially Terminated Violation(s): 1.
CN 2015-66(SA)	1	\$2,500	\$2,500	\$1,940	09/27/2016	
CN 2015-67(HSR)	1	\$1,000	\$1,000	\$750	09/27/2016	
CN 2015-68(SA)	1	\$5,000	\$5,000	\$4,075	09/27/2016	
CN 2015-69(SA)	1	\$2,500	\$2,500	\$2,000	09/27/2016	
CN 2015-70(HS)	1	\$1,000	\$1,000	\$790	09/27/2016	
CN 2015-71(FCS)	1	\$2,500	\$2,500	\$1,975	09/27/2016	
CN 2015-72(FCS)	1	\$2,500	\$2,500	\$1,950	09/27/2016	
CN 2015-73(FCS)	1	\$2,500	\$2,500	\$1,950	09/27/2016	
CN 2015-74(FCS)	1	\$2,500	\$2,500	\$1,950	09/27/2016	
CN 2015-75(FCS)	1	\$2,500	\$2,500	\$1,950	09/27/2016	
CN 2015-76(FCS)	1	\$2,500	\$2,500	\$1,950	09/27/2016	
CN 2015-77(TS)	3	\$15,000	\$15,000	\$12,600	09/27/2016	
CN 2015-78(HMT)	1	\$3,000	\$3,000	\$2,425	09/27/2016	
CN 2015-79(HMT)	1	\$2,000	\$2,000	\$1,625	09/27/2016	
CN 2015-80(AR)	1	\$1,000	\$1,000	\$750	09/27/2016	
CN 2015-81(HS)	1	\$1,000	\$1,000	\$790	09/27/2016	
CN 2015-82(HS)	1	\$1,000	\$1,000	\$790	09/27/2016	
CN 2015-83(HMT)	2	\$12,500	\$7,500	\$6,100	09/27/2016	Terminated Violation(s): 1.
CN 2015-84(HSR)	1	\$1,000	\$1,000	\$750	09/27/2016	

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CN 2015-85(SA)	1	\$5,000	\$5,000	\$4,075	09/27/2016	
CN 2015-86(SA)	1	\$5,000	\$5,000	\$4,075	09/27/2016	
CN 2015-87(SA)	1	\$5,000	\$5,000	\$4,075	09/27/2016	
CN 2015-88(EQ)	6	\$6,000	\$6,000	\$4,825	09/27/2016	
CN 2015-89(EQ)	3	\$3,000	\$3,000	\$2,400	09/27/2016	
CN 2015-90(EQ)	5	\$5,000	\$5,000	\$4,000	09/27/2016	
CN 2015-91(EQ)	10	\$10,000	\$10,000	\$8,000	09/27/2016	
CN 2015-92(EQ)	24	\$24,000	\$24,000	\$19,300	09/27/2016	
CN 2015-93(EQ)	9	\$9,000	\$9,000	\$7,190	09/27/2016	
CN 2015-94(EQ)	34	\$34,000	\$34,000	\$27,300	09/27/2016	
CN 2015-95(EQ)	15	\$15,000	\$15,000	\$12,000	09/27/2016	
CN 2015-96(EQ)	2	\$2,000	\$2,000	\$1,600	09/27/2016	
CN 2015-97(EQ)	1	\$1,000	\$1,000	\$800	09/27/2016	
CN 2015-98(EQ)	5	\$5,000	\$5,000	\$4,000	09/27/2016	
CN 2015-99(EQ)	4	\$4,000	\$4,000	\$3,200	09/27/2016	
CN 2015-100(EQ)	3	\$3,000	\$3,000	\$2,400	09/27/2016	
CN 2015-101(EQ)	1	\$1,000	\$1,000	\$800	09/27/2016	
CN 2015-102(EQ)	1	\$1,000	\$1,000	\$800	09/27/2016	
CN 2015-103(EQ)	1	\$1,000	\$1,000	\$800	09/27/2016	
CN 2015-104(EQ)	1	\$1,000	\$1,000	\$800	09/27/2016	
CN 2015-105(SA)	1	\$2,500	\$2,500	\$2,000	09/27/2016	
CN 2015-106(TS)	1	\$2,500	\$2,500	\$2,075	09/27/2016	
CN 2015-107(EQ)	7	\$7,000	\$7,000	\$5,575	09/27/2016	
CN 2015-108(EQ)	3	\$3,000	\$3,000	\$2,450	09/27/2016	
CN 2015-109(EQ)	1	\$1,000	\$1,000	\$800	09/27/2016	
CN 2015-110(EQ)	1	\$1,000	\$1,000	\$800	09/27/2016	
CN 2015-111(EQ)	3	\$3,000	\$3,000	\$2,425	09/27/2016	
CN 2015-112(EQ)	5	\$5,000	\$5,000	\$4,000	09/27/2016	
CN 2015-113(EQ)	1	\$1,000	\$1,000	\$800	09/27/2016	
CN 2015-114(CC)	1	\$2,000	\$2,000	\$1,620	09/27/2016	
CN 2015-115(LI)	1	\$2,500	\$2,500	\$1,950	09/27/2016	
CN 2015-116(HMT)	4	\$24,500	\$24,500	\$20,090	09/27/2016	
CN 2015-117(HMT)	1	\$2,000	\$2,000	\$1,620	09/27/2016	
CN 2015-118(HMT)	1	\$3,000	\$3,000	\$2,425	09/27/2016	
CN 2015-119(HMT)	1	\$2,000	\$2,000	\$1,625	09/27/2016	
CN 2015-120(TS)	1	\$5,000	\$5,000	\$3,850	09/27/2016	
CN 2015-121(TS)	1	\$5,000	\$5,000	\$3,850	09/27/2016	
CN 2015-122(SI)	1	\$2,500	\$2,500	\$2,050	09/27/2016	
CN 2015-123(ROP)	2	\$15,000	\$15,000	\$12,300	09/27/2016	
CN 2015-124(TS)	1	\$5,000	\$5,000	\$3,850	09/27/2016	
CN 2015-125(EQ)	1	\$1,000	\$1,000	\$800	09/27/2016	
CN 2015-126(EQ)	1	\$1,000	\$1,000	\$800	09/27/2016	
CN 2015-127(ROP)	1	\$7,500	\$7,500	\$6,150	09/27/2016	
CN 2015-128(AR)	1	\$2,500	\$2,500	\$1,875	09/27/2016	
CN 2015-129(CC)	1	\$1,000	\$1,000	\$700	09/27/2016	
CN 2015-130(SA)	1	\$5,000	\$5,000	\$4,000	09/27/2016	
CN 2015-131(SA)	1	\$2,500	\$2,500	\$1,940	09/27/2016	
CN 2015-132(SA)	1	\$2,500	\$2,500	\$1,940	09/27/2016	
CN 2015-133(EQ)	29	\$29,000	\$29,000	\$23,300	09/27/2016	

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CN 2015-134(TS)	2	\$7,500	\$7,500	\$6,225	09/27/2016	
CN 2015-135(TS)	3	\$10,000	\$10,000	\$8,300	09/27/2016	
CN 2015-136(EQ)	2	\$5,000	\$5,000	\$4,015	09/27/2016	
CN 2015-137(HMT)	16	\$32,000	\$32,000	\$23,500	09/27/2016	
CN 2015-138(HSR)	1	\$1,000	\$1,000	\$750	09/27/2016	
CN 2015-139(ROP)	1	\$7,500	\$7,500	\$4,900	09/27/2016	
CN 2015-140(AR)	1	\$1,000	\$1,000	\$750	09/27/2016	
CN 2015-141(HMT)	1	\$2,000	\$2,000	\$1,625	09/27/2016	
CN 2015-142(TS)	1	\$2,500	\$2,500	\$2,075	09/27/2016	
CN 2015-143(AD)	2	\$10,000	\$0	\$0	09/27/2016	Case Terminated.
CN 2015-144(AD)	2	\$10,000	\$10,000	\$7,600	09/27/2016	
CN 2015-145(AD)	1	\$5,000	\$5,000	\$3,800	09/27/2016	
CN 2015-146(AD)	1	\$5,000	\$5,000	\$3,800	09/27/2016	
CN 2015-147(HSR)	6	\$6,000	\$6,000	\$4,560	09/27/2016	
CN 2015-148(LI)	1	\$1,500	\$1,500	\$1,185	09/27/2016	
CN 2015-149(HS)	1	\$1,000	\$1,000	\$780	09/27/2016	
CN 2015-150(EP)	1	\$1,000	\$1,000	\$730	09/27/2016	
CN 2015-151(LI)	1	\$2,500	\$2,500	\$1,975	09/27/2016	
CN 2015-152(LI)	3	\$7,500	\$7,500	\$5,775	09/27/2016	
CN 2015-153(LI)	1	\$2,500	\$2,500	\$1,950	09/27/2016	
CN 2015-154(TS)	3	\$15,000	\$10,000	\$8,300	09/27/2016	Partially Terminated Violation(s): 2, 3.
CN 2015-155(TS)	1	\$1,000	\$1,000	\$830	09/27/2016	
CN 2015-156(CC)	1	\$4,000	\$4,000	\$3,230	09/27/2016	
CN 2015-157(SA)	4	\$20,000	\$20,000	\$16,600	09/27/2016	
CN 2015-158(SA)	1	\$5,000	\$5,000	\$4,150	09/27/2016	
CN 2015-159(TS)	3	\$10,000	\$10,000	\$8,300	09/27/2016	
CN 2015-160(TS)	6	\$22,500	\$22,500	\$18,675	09/27/2016	
CN 2015-161(EP)	1	\$1,000	\$1,000	\$730	09/27/2016	
CN 2015-162(GC)	1	\$5,000	\$5,000	\$4,175	09/27/2016	
CN 2015-163(HMT)	7	\$47,000	\$47,000	\$38,000	09/27/2016	
CN 2015-164(HMT)	2	\$4,000	\$4,000	\$3,225	09/27/2016	
CN 2015-165(AD)	1	\$2,500	\$2,500	\$1,950	09/27/2016	
CN 2015-166(LI)	1	\$2,500	\$2,500	\$1,925	09/27/2016	
CN 2015-167(AD)	1	\$2,000	\$2,000	\$1,560	09/27/2016	
CN 2015-168(HMT)	1	\$1,000	\$1,000	\$700	09/27/2016	
CN 2015-169(TS)	2	\$7,500	\$7,500	\$6,225	09/27/2016	
CN 2015-170(TS)	1	\$2,500	\$2,500	\$2,075	09/27/2016	
CN 2015-171(TS)	3	\$15,000	\$15,000	\$12,300	09/27/2016	
CN 2015-172(HSR)	1	\$1,000	\$1,000	\$680	09/27/2016	
CN 2015-173(LI)	1	\$1,500	\$1,500	\$1,140	09/27/2016	
CN 2015-174(LI)	3	\$7,500	\$7,500	\$5,700	09/27/2016	
CN 2015-175(LI)	1	\$2,500	\$2,500	\$1,975	09/27/2016	
CN 2015-176(SA)	1	\$5,000	\$5,000	\$4,075	09/27/2016	
CN 2015-177(SA)	1	\$2,500	\$2,500	\$2,000	09/27/2016	
CN 2015-178(SA)	1	\$2,500	\$2,500	\$2,000	09/27/2016	
CN 2015-179(SA)	1	\$2,500	\$2,500	\$2,000	09/27/2016	
CN 2015-180(SA)	1	\$2,500	\$2,500	\$1,940	09/27/2016	
CN 2015-181(SA)	1	\$2,500	\$2,500	\$1,900	09/27/2016	
CN 2015-182(LI)	1	\$2,500	\$0	\$0	09/27/2016	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>
CN 2015-183(LI)	1	\$2,500	\$2,500	\$1,975	09/27/2016	
CN 2015-184(LI)	2	\$5,000	\$5,000	\$3,800	09/27/2016	
CN 2015-185(ROP)	1	\$7,500	\$0	\$0	09/27/2016	Case Terminated.
CN 2015-186(SA)	1	\$5,000	\$5,000	\$3,800	09/27/2016	
CN 2015-187(SA)	1	\$2,500	\$2,500	\$1,940	09/27/2016	
CN 2015-188(SA)	1	\$2,500	\$2,500	\$1,940	09/27/2016	
CN 2015-189(SA)	1	\$5,000	\$5,000	\$4,150	09/27/2016	
CN 2015-190(SA)	1	\$2,500	\$2,500	\$1,940	09/27/2016	
CN 2015-191(TS)	3	\$15,000	\$15,000	\$11,550	09/27/2016	
CN 2015-192(FCS)	1	\$2,500	\$2,500	\$1,975	09/27/2016	
CN 2015-193(AD)	1	\$5,000	\$5,000	\$3,850	09/27/2016	
CN 2015-194(AD)	1	\$5,000	\$5,000	\$3,850	09/27/2016	
CN 2015-195(SA)	1	\$5,000	\$5,000	\$4,100	09/27/2016	
CN 2015-196(TS)	1	\$3,750	\$3,750	\$3,125	09/27/2016	
CN 2015-197(AD)	1	\$2,500	\$2,500	\$2,025	09/27/2016	
CN 2015-198(HMT)	1	\$3,000	\$3,000	\$2,425	09/27/2016	
CN 2015-199(RW)	6	\$12,000	\$0	\$0	09/27/2016	Case Terminated.
CN 2015-200(SA)	1	\$2,500	\$2,500	\$2,025	09/27/2016	
CN 2015-201(AD)	1	\$5,000	\$0	\$0	09/27/2016	Case Terminated.
CN 2015-202(SA)	1	\$2,500	\$2,500	\$1,940	09/27/2016	
CN 2015-203(SA)	1	\$2,500	\$2,500	\$1,940	09/27/2016	
CN 2015-204(SA)	1	\$5,000	\$5,000	\$3,900	09/27/2016	
CN 2015-205(SA)	1	\$2,500	\$2,500	\$1,940	09/27/2016	
CN 2015-206(SA)	1	\$2,500	\$2,500	\$1,940	09/27/2016	
CN 2015-207(SA)	1	\$2,500	\$2,500	\$1,940	09/27/2016	
CN 2015-208(TS)	1	\$2,500	\$2,500	\$2,075	09/27/2016	
CN 2015-209(SA)	1	\$5,000	\$5,000	\$4,150	09/27/2016	
CN 2015-210(ROP)	1	\$2,000	\$2,000	\$1,370	09/27/2016	
CN 2015-211(HMT)	1	\$2,000	\$2,000	\$1,625	09/27/2016	
CN 2015-212(HMT)	1	\$4,000	\$4,000	\$3,240	09/27/2016	
CN 2015-213(ROP)	1	\$2,000	\$2,000	\$1,370	09/27/2016	
CN 2015-214(ROP)	1	\$2,000	\$2,000	\$1,370	09/27/2016	
CN 2015-217(HMT)	1	\$4,000	\$4,000	\$3,250	09/27/2016	
CN 2015-218(HMT)	1	\$5,000	\$5,000	\$4,000	09/27/2016	
CN 2015-219(TS)	1	\$2,500	\$2,500	\$2,075	09/27/2016	
CN 2015-220(TS)	1	\$1,000	\$1,000	\$840	09/27/2016	
CN 2015-221(TS)	1	\$2,500	\$2,500	\$2,075	09/27/2016	
CN 2015-222(SA)	1	\$2,500	\$2,500	\$2,075	09/27/2016	
CN 2015-223(SA)	1	\$2,500	\$2,500	\$1,940	09/27/2016	
CORP 2014-7(TS)	1	\$5,000	\$5,000	\$3,950	09/27/2016	
CORP 2014-8(TS)	1	\$5,000	\$5,000	\$3,950	09/27/2016	
CORP 2014-9(TS)	1	\$5,000	\$5,000	\$3,950	09/27/2016	
CORP 2015-1(LI)	1	\$2,500	\$2,500	\$1,950	09/27/2016	
CORP 2015-2(TS)	1	\$2,500	\$2,500	\$1,950	09/27/2016	
CORP 2016-1(TS)	1	\$5,000	\$5,000	\$3,900	09/27/2016	
CORP 2016-2(LI)	1	\$2,500	\$2,500	\$1,950	09/27/2016	
CP 2015-34(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
CP 2015-35(HS)	1	\$1,000	\$1,000	\$700	09/30/2016	
CP 2015-36(HS)	1	\$1,000	\$1,000	\$700	09/30/2016	

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CP 2015-38(HS)	1	\$1,000	\$1,000	\$700	09/30/2016	
CP 2015-39(HS)	1	\$1,000	\$1,000	\$700	09/30/2016	
CP 2015-40(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
CP 2015-41(SI)	1	\$5,000	\$5,000	\$3,500	09/30/2016	
CP 2015-42(SA)	1	\$2,500	\$2,500	\$1,850	09/30/2016	
CP 2015-43(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2016	
CP 2015-44(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2016	
CP 2015-45(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2016	
CP 2015-46(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2016	
CP 2015-47(HS)	1	\$1,000	\$1,000	\$700	09/30/2016	
CP 2015-48(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2016	
CP 2015-49(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2016	
CP 2015-50(ROP)	1	\$7,500	\$7,500	\$6,250	09/30/2016	
CP 2015-51(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2016	
CP 2015-52(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2016	
CP 2015-53(HS)	1	\$1,000	\$1,000	\$700	09/30/2016	
CP 2015-54(HS)	1	\$1,000	\$1,000	\$750	09/30/2016	
CP 2015-55(AD)	2	\$5,000	\$5,000	\$4,250	09/30/2016	
CP 2015-56(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2016	
CP 2015-57(HMT)	1	\$5,000	\$5,000	\$3,750	09/30/2016	
CP 2015-58(HMT)	1	\$2,000	\$2,000	\$1,600	09/30/2016	
CP 2015-59(HMT)	1	\$1,500	\$1,500	\$1,250	09/30/2016	
CP 2015-60(TS)	3	\$7,500	\$7,500	\$6,500	09/30/2016	
CP 2015-61(TS)	1	\$5,000	\$5,000	\$4,200	09/30/2016	
CP 2015-62(GC)	1	\$1,000	\$1,000	\$700	09/30/2016	
CP 2015-63(HS)	1	\$1,000	\$1,000	\$700	09/30/2016	
CP 2015-64(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2016	
CP 2015-65(SA)	1	\$2,500	\$2,500	\$1,850	09/30/2016	
CP 2015-66(HS)	1	\$1,000	\$1,000	\$700	09/30/2016	
CP 2015-67(HS)	1	\$1,000	\$1,000	\$700	09/30/2016	
CP 2015-68(SA)	1	\$2,500	\$2,500	\$1,850	09/30/2016	
CP 2015-69(SA)	1	\$2,500	\$2,500	\$1,850	09/30/2016	
CP 2015-70(ROP)	1	\$7,500	\$7,500	\$5,500	09/30/2016	
CP 2015-71(GC)	1	\$5,000	\$5,000	\$3,750	09/30/2016	
CP 2015-72(HMT)	1	\$4,000	\$4,000	\$3,250	09/30/2016	
CP 2015-73(TS)	1	\$2,500	\$2,500	\$1,750	09/30/2016	
CP 2015-74(TS)	2	\$5,000	\$5,000	\$4,250	09/30/2016	
CP 2015-75(TS)	3	\$7,500	\$7,500	\$5,850	09/30/2016	
CP 2015-76(ROP)	1	\$5,000	\$5,000	\$3,750	09/30/2016	
CP 2015-77(TS)	1	\$1,000	\$1,000	\$775	09/30/2016	
CP 2015-78(TS)	2	\$4,000	\$4,000	\$3,200	09/30/2016	
CP 2015-79(TS)	1	\$5,000	\$0	\$0	09/30/2016	Case Terminated.
CP 2015-80(TS)	2	\$10,000	\$10,000	\$8,000	09/30/2016	
CP 2015-81(TS)	2	\$7,500	\$7,500	\$5,500	09/30/2016	
CP 2015-82(SA)	1	\$5,000	\$5,000	\$4,250	09/30/2016	
CP 2015-83(ROP)	1	\$7,500	\$7,500	\$5,850	09/30/2016	
CP 2015-84(AR)	1	\$2,500	\$2,500	\$1,750	09/30/2016	
CP 2015-85(AR)	1	\$2,500	\$2,500	\$1,750	09/30/2016	
CP 2015-86(AR)	1	\$2,500	\$2,500	\$1,750	09/30/2016	

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CP 2015-87(AR)	1	\$2,500	\$2,500	\$1,750	09/30/2016	
CP 2015-88(AR)	1	\$2,500	\$2,500	\$1,750	09/30/2016	
CP 2015-89(SA)	5	\$25,000	\$25,000	\$18,750	09/30/2016	
CP 2015-90(TS)	1	\$5,000	\$5,000	\$3,825	09/30/2016	
CP 2015-91(HMT)	1	\$2,000	\$2,000	\$1,600	09/30/2016	
CP 2015-92(EP)	1	\$1,000	\$1,000	\$700	09/30/2016	
CP 2015-93(EP)	1	\$1,000	\$1,000	\$700	09/30/2016	
CP 2015-94(EP)	1	\$1,000	\$1,000	\$700	09/30/2016	
CP 2015-95(EP)	1	\$1,000	\$1,000	\$700	09/30/2016	
CP 2015-96(EP)	1	\$1,000	\$1,000	\$700	09/30/2016	
CP 2015-97(TS)	2	\$5,000	\$5,000	\$4,000	09/30/2016	
CP 2015-98(TS)	1	\$5,000	\$5,000	\$3,875	09/30/2016	
CP 2015-99(HMT)	1	\$5,000	\$5,000	\$3,650	09/30/2016	
CP 2015-100(ROP)	1	\$7,500	\$7,500	\$6,250	09/30/2016	
CP 2015-101(ROP)	1	\$7,500	\$7,500	\$6,250	09/30/2016	
CP 2015-102(TS)	1	\$1,000	\$1,000	\$700	09/30/2016	
CP 2015-103(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2016	
CP 2016-1(TS)	2	\$7,500	\$7,500	\$5,675	09/30/2016	
CP 2016-2(TS)	2	\$6,000	\$6,000	\$4,550	09/30/2016	
CP 2016-3(HMT)	2	\$4,000	\$4,000	\$3,000	09/30/2016	
CP 2016-4(HS)	1	\$1,000	\$1,000	\$700	09/30/2016	
CP 2016-5(HS)	1	\$1,000	\$1,000	\$700	09/30/2016	
CP 2016-6(TS)	1	\$5,000	\$5,000	\$4,350	09/30/2016	
CP 2016-7(TS)	1	\$5,000	\$5,000	\$3,750	09/30/2016	
CP 2016-8(TS)	2	\$10,000	\$10,000	\$7,500	09/30/2016	
CP 2016-9(TS)	2	\$10,000	\$10,000	\$7,500	09/30/2016	
CP 2016-10(HMT)	2	\$12,500	\$12,500	\$9,350	09/30/2016	
CP 2016-11(HMT)	1	\$2,000	\$2,000	\$1,500	09/30/2016	
CP 2016-12(HMT)	1	\$7,000	\$7,000	\$6,000	09/30/2016	
CP 2016-13(TS)	2	\$10,000	\$10,000	\$8,500	09/30/2016	
CP 2016-15(HMT)	10	\$25,000	\$25,000	\$19,500	09/30/2016	
CP 2016-16(SA)	1	\$5,000	\$5,000	\$4,250	09/30/2016	
CP 2016-17(SA)	1	\$5,000	\$5,000	\$4,250	09/30/2016	
CP 2016-18(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
CP 2016-19(SA)	1	\$2,500	\$2,500	\$2,150	09/30/2016	
CP 2016-20(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2016	
CP 2016-21(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2016	
CP 2016-22(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2016	
CP 2016-23(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2016	
CP 2016-24(TS)	1	\$2,000	\$2,000	\$1,520	09/30/2016	
CP 2016-25(HS)	1	\$1,000	\$1,000	\$700	09/30/2016	
CP 2016-26(HS)	1	\$1,000	\$1,000	\$700	09/30/2016	
CP 2016-27(HMT)	13	\$32,500	\$0	\$0	09/30/2016	Case Terminated.
CP 2016-28(HMT)	5	\$12,500	\$0	\$0	09/30/2016	Case Terminated.
CP 2016-29(HMT)	14	\$69,000	\$69,000	\$57,050	09/30/2016	
CP 2016-30(HS)	1	\$1,000	\$1,000	\$700	09/30/2016	
CP 2016-31(HS)	1	\$1,000	\$1,000	\$700	09/30/2016	
CP 2016-32(TS)	3	\$3,000	\$3,000	\$2,550	09/30/2016	
CP 2016-33(FCS)	1	\$2,500	\$2,500	\$1,850	09/30/2016	

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CP 2016-34(FCS)	1	\$2,500	\$2,500	\$1,850	09/30/2016	
CP 2016-35(EP)	1	\$1,000	\$1,000	\$700	09/30/2016	
CP 2016-36(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
CP 2016-37(SA)	1	\$2,500	\$2,500	\$1,850	09/30/2016	
CP 2016-38(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
CP 2016-39(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
CP 2016-40(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
CP 2016-41(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
CP 2016-42(FCS)	1	\$2,000	\$2,000	\$1,400	09/30/2016	
CP 2016-43(HMT)	1	\$7,500	\$7,500	\$6,000	09/30/2016	
CP 2016-44(ROP)	1	\$2,000	\$2,000	\$1,500	09/30/2016	
CP 2016-45(ROP)	1	\$2,000	\$2,000	\$1,490	09/30/2016	
CP 2016-46(ROP)	1	\$2,000	\$2,000	\$1,490	09/30/2016	
CPR 2015-1(GC)	1	\$1,000	\$1,000	\$650	02/24/2016	
CRL 2014-2(ROP)	1	\$9,500	\$0	\$0	02/26/2016	Case Terminated.
CRSH 2015-3(LI)	1	\$2,500	\$2,500	\$2,050	04/25/2016	
CRSH 2015-4(ROP)	1	\$2,000	\$2,000	\$1,800	04/25/2016	
CRSH 2015-5(EO)	1	\$2,500	\$2,500	\$2,050	04/25/2016	
CRSH 2015-6(SA)	1	\$5,000	\$5,000	\$4,750	04/25/2016	
CRSH 2016-1(RW)	1	\$2,000	\$2,000	\$1,900	04/25/2016	
CSS 2014-1(AD)	8	\$20,000	\$20,000	\$14,500	02/26/2016	
CSS 2015-1(HMT)	1	\$5,000	\$5,000	\$4,250	03/03/2016	
CSX 2014-158(TS)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
CSX 2014-173(TS)	2	\$10,000	\$10,000	\$7,700	09/30/2016	
CSX 2014-174(TS)	1	\$1,000	\$1,000	\$800	09/30/2016	
CSX 2014-234(HMT)	4	\$28,500	\$28,500	\$21,945	09/30/2016	
CSX 2014-325(HMT)	3	\$7,500	\$7,500	\$5,750	09/30/2016	
CSX 2014-344(HMT)	3	\$14,500	\$8,500	\$8,000	09/30/2016	Partially Terminated Violation(s): 2.
CSX 2014-393(SA)	1	\$2,500	\$2,500	\$1,775	09/30/2016	
CSX 2015-67(ROP)	1	\$9,500	\$9,500	\$7,500	09/30/2016	
CSX 2015-69(AR)	1	\$2,500	\$0	\$0	09/30/2016	Case Terminated.
CSX 2015-71(FCS)	1	\$2,500	\$2,500	\$1,925	09/30/2016	
CSX 2015-73(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
CSX 2015-74(SA)	1	\$2,500	\$2,500	\$1,990	09/30/2016	
CSX 2015-75(SA)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
CSX 2015-77(AR)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
CSX 2015-79(AR)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
CSX 2015-81(AR)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
CSX 2015-82(AR)	1	\$2,500	\$2,500	\$1,925	09/30/2016	
CSX 2015-83(AR)	1	\$2,500	\$0	\$0	09/30/2016	Case Terminated.
CSX 2015-85(AR)	1	\$2,500	\$0	\$0	09/30/2016	Case Terminated.
CSX 2015-86(AR)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
CSX 2015-87(AR)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
CSX 2015-89(SA)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
CSX 2015-91(LI)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
CSX 2015-93(SI)	1	\$2,500	\$2,500	\$2,125	09/30/2016	
CSX 2015-94(LI)	1	\$1,000	\$1,000	\$900	09/30/2016	
CSX 2015-95(SA)	1	\$2,500	\$0	\$0	09/30/2016	Case Terminated.
CSX 2015-96(TS)	8	\$20,000	\$20,000	\$15,500	09/30/2016	

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CSX 2015-97(FCS)	1	\$2,500	\$2,500	\$2,100	09/30/2016	
CSX 2015-98(TS)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
CSX 2015-99(TS)	2	\$7,500	\$7,500	\$5,800	09/30/2016	
CSX 2015-100(LI)	1	\$1,500	\$1,500	\$1,175	09/30/2016	
CSX 2015-101(SA)	1	\$2,500	\$2,500	\$1,990	09/30/2016	
CSX 2015-102(SA)	1	\$2,500	\$2,500	\$1,725	09/30/2016	
CSX 2015-103(SA)	1	\$2,500	\$2,500	\$2,050	09/30/2016	
CSX 2015-104(SA)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
CSX 2015-105(SA)	1	\$5,000	\$2,500	\$1,925	09/30/2016	Partially Terminated Violation(s): 1.
CSX 2015-106(SA)	1	\$2,500	\$2,500	\$1,925	09/30/2016	
CSX 2015-107(SA)	1	\$5,000	\$2,500	\$2,100	09/30/2016	Partially Terminated Violation(s): 1.
CSX 2015-108(HSR)	1	\$1,000	\$1,000	\$820	09/30/2016	
CSX 2015-109(TS)	1	\$2,000	\$1,000	\$800	09/30/2016	Partially Terminated Violation(s): 1.
CSX 2015-110(TS)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
CSX 2015-111(FCS)	5	\$25,000	\$25,000	\$19,250	09/30/2016	
CSX 2015-112(ROP)	1	\$9,500	\$9,500	\$7,500	09/30/2016	
CSX 2015-113(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
CSX 2015-114(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
CSX 2015-115(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2016	
CSX 2015-116(ROP)	1	\$7,500	\$7,500	\$5,770	09/30/2016	
CSX 2015-118(TS)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
CSX 2015-119(AR)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
CSX 2015-120(AR)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
CSX 2015-121(AR)	1	\$1,000	\$1,000	\$790	09/30/2016	
CSX 2015-122(AR)	1	\$1,000	\$1,000	\$790	09/30/2016	
CSX 2015-123(AR)	1	\$2,500	\$1,000	\$800	09/30/2016	Partially Terminated Violation(s): 1.
CSX 2015-124(SA)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
CSX 2015-125(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2016	
CSX 2015-126(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
CSX 2015-127(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
CSX 2015-128(SI)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
CSX 2015-129(EQ)	1	\$1,000	\$1,000	\$750	09/30/2016	
CSX 2015-130(HSR)	5	\$5,000	\$5,000	\$3,850	09/30/2016	
CSX 2015-131(FCS)	1	\$2,500	\$2,500	\$1,925	09/30/2016	
CSX 2015-132(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2016	
CSX 2015-133(TS)	2	\$10,000	\$10,000	\$8,800	09/30/2016	
CSX 2015-134(TS)	2	\$7,500	\$7,500	\$5,800	09/30/2016	
CSX 2015-135(SA)	1	\$5,000	\$5,000	\$3,825	09/30/2016	
CSX 2015-136(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
CSX 2015-137(SA)	1	\$5,000	\$5,000	\$3,825	09/30/2016	
CSX 2015-138(LI)	1	\$1,500	\$0	\$0	09/30/2016	Case Terminated.
CSX 2015-139(LI)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
CSX 2015-140(LI)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
CSX 2015-141(HSR)	1	\$1,000	\$1,000	\$790	09/30/2016	
CSX 2015-142(GC)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
CSX 2015-143(GC)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
CSX 2015-144(LI)	1	\$2,500	\$2,500	\$1,850	09/30/2016	

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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 2015-145(TS)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
CSX 2015-146(ROP)	1	\$9,500	\$9,500	\$7,500	09/30/2016	
CSX 2015-147(TS)	1	\$5,000	\$5,000	\$4,600	09/30/2016	
CSX 2015-148(TS)	9	\$45,000	\$45,000	\$39,600	09/30/2016	
CSX 2015-149(ROP)	1	\$9,500	\$9,500	\$7,500	09/30/2016	
CSX 2015-150(ROP)	1	\$7,500	\$7,500	\$6,750	09/30/2016	
CSX 2015-151(LI)	1	\$2,500	\$2,500	\$1,750	09/30/2016	
CSX 2015-152(LI)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
CSX 2015-153(LI)	1	\$1,500	\$1,500	\$1,250	09/30/2016	
CSX 2015-154(TS)	2	\$7,500	\$7,500	\$5,775	09/30/2016	
CSX 2015-155(TS)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
CSX 2015-156(TS)	4	\$20,000	\$20,000	\$16,000	09/30/2016	
CSX 2015-157(ROP)	1	\$7,500	\$7,500	\$5,775	09/30/2016	
CSX 2015-158(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
CSX 2015-159(GC)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
CSX 2015-160(FCS)	1	\$2,500	\$2,500	\$1,925	09/30/2016	
CSX 2015-161(FCS)	1	\$2,500	\$2,500	\$1,925	09/30/2016	
CSX 2015-162(FCS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
CSX 2015-163(SA)	1	\$2,500	\$2,500	\$1,625	09/30/2016	
CSX 2015-164(SA)	1	\$2,500	\$2,500	\$1,925	09/30/2016	
CSX 2015-165(SA)	1	\$2,500	\$2,500	\$1,990	09/30/2016	
CSX 2015-166(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
CSX 2015-167(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
CSX 2015-168(SA)	1	\$2,500	\$2,500	\$2,250	09/30/2016	
CSX 2015-169(SA)	1	\$2,500	\$2,500	\$1,990	09/30/2016	
CSX 2015-170(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
CSX 2015-171(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2016	
CSX 2015-172(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
CSX 2015-173(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
CSX 2015-174(SA)	1	\$5,000	\$2,500	\$2,000	09/30/2016	Partially Terminated Violation(s): 1.
CSX 2015-175(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
CSX 2015-176(SA)	1	\$5,000	\$0	\$0	09/30/2016	Case Terminated.
CSX 2015-177(SA)	1	\$5,000	\$5,000	\$4,400	09/30/2016	
CSX 2015-178(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
CSX 2015-179(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
CSX 2015-180(SA)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
CSX 2015-181(SA)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
CSX 2015-182(SA)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
CSX 2015-183(SA)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
CSX 2015-184(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
CSX 2015-185(LI)	1	\$2,500	\$2,500	\$1,925	09/30/2016	
CSX 2015-186(LI)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
CSX 2015-187(LI)	1	\$2,500	\$2,500	\$1,925	09/30/2016	
CSX 2015-190(FCS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
CSX 2015-191(FCS)	1	\$2,500	\$2,500	\$1,250	09/30/2016	
CSX 2015-192(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2016	
CSX 2015-193(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
CSX 2015-194(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
CSX 2015-195(FCS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	

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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 2015-196(FCS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
CSX 2015-197(FCS)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
CSX 2015-198(FCS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
CSX 2015-199(FCS)	1	\$5,000	\$5,000	\$3,800	09/30/2016	
CSX 2015-200(FCS)	1	\$2,500	\$2,500	\$1,925	09/30/2016	
CSX 2015-201(FCS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
CSX 2015-202(TS)	1	\$5,000	\$0	\$0	09/30/2016	Case Terminated.
CSX 2015-204(HMT)	1	\$5,000	\$5,000	\$3,825	09/30/2016	
CSX 2015-205(HMT)	1	\$1,000	\$1,000	\$700	09/30/2016	
CSX 2015-206(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
CSX 2015-207(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
CSX 2015-208(ROP)	1	\$7,500	\$7,500	\$5,775	09/30/2016	
CSX 2015-209(SI)	1	\$2,500	\$2,500	\$2,500	09/30/2016	
CSX 2015-210(TS)	1	\$25,000	\$25,000	\$25,000	09/30/2016	
CSX 2015-211(LI)	1	\$2,500	\$0	\$0	09/30/2016	Case Terminated.
CSX 2015-212(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
CSX 2015-213(SA)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
CSX 2015-214(HS)	2	\$2,000	\$2,000	\$1,900	09/30/2016	
CSX 2015-215(LI)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
CSX 2015-216(SA)	1	\$5,000	\$5,000	\$4,400	09/30/2016	
CSX 2015-217(LI)	1	\$2,500	\$2,500	\$1,925	09/30/2016	
CSX 2015-218(ROP)	1	\$7,500	\$7,500	\$5,775	09/30/2016	
CSX 2015-219(SA)	1	\$5,000	\$5,000	\$4,400	09/30/2016	
CSX 2015-220(TS)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
CSX 2015-221(TS)	1	\$1,000	\$1,000	\$820	09/30/2016	
CSX 2015-222(LI)	1	\$1,500	\$1,500	\$1,210	09/30/2016	
CSX 2015-223(RW)	1	\$1,000	\$1,000	\$800	09/30/2016	
CSX 2015-224(GC)	3	\$15,000	\$0	\$0	09/30/2016	Case Terminated.
CSX 2015-225(LI)	1	\$1,500	\$1,500	\$1,210	09/30/2016	
CSX 2015-226(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
CSX 2015-227(SA)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
CSX 2015-228(SA)	1	\$2,500	\$2,500	\$2,200	09/30/2016	
CSX 2015-229(SA)	1	\$2,500	\$2,500	\$2,200	09/30/2016	
CSX 2015-231(RW)	3	\$7,000	\$5,000	\$4,000	09/30/2016	Terminated Violation(s): 3.
CSX 2015-232(SA)	1	\$2,500	\$2,500	\$1,925	09/30/2016	
CSX 2015-233(TS)	4	\$4,000	\$4,000	\$3,150	09/30/2016	
CSX 2015-234(TS)	4	\$10,000	\$10,000	\$8,800	09/30/2016	
CSX 2015-235(FCS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
CSX 2015-236(FCS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
CSX 2015-237(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
CSX 2015-238(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
CSX 2015-239(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
CSX 2015-240(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
CSX 2015-241(SA)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
CSX 2015-242(SA)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
CSX 2015-243(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
CSX 2015-244(LI)	1	\$1,500	\$1,500	\$1,175	09/30/2016	
CSX 2015-245(LI)	1	\$2,500	\$2,500	\$1,990	09/30/2016	
CSX 2015-246(LI)	1	\$1,500	\$1,500	\$1,175	09/30/2016	

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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 2015-247(ROP)	1	\$7,500	\$7,500	\$5,950	09/30/2016	
CSX 2015-248(HMT)	1	\$3,500	\$3,500	\$2,790	09/30/2016	
CSX 2015-250(SA)	1	\$5,000	\$5,000	\$4,400	09/30/2016	
CSX 2015-251(SA)	1	\$2,500	\$0	\$0	09/30/2016	Case Terminated.
CSX 2015-252(HMT)	1	\$3,000	\$3,000	\$2,300	09/30/2016	
CSX 2015-253(HMT)	1	\$6,000	\$6,000	\$4,800	09/30/2016	
CSX 2015-254(LI)	1	\$2,500	\$2,500	\$1,625	09/30/2016	
CSX 2015-255(TS)	2	\$7,500	\$7,500	\$6,600	09/30/2016	
CSX 2015-256(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
CSX 2015-257(TS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
CSX 2015-258(TS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
CSX 2015-259(TS)	2	\$3,500	\$3,500	\$2,750	09/30/2016	
CSX 2015-260(GC)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
CSX 2015-261(GC)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
CSX 2015-262(GC)	1	\$2,500	\$2,500	\$2,500	09/30/2016	
CSX 2015-263(GC)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
CSX 2015-265(GC)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
CSX 2015-266(GC)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
CSX 2015-267(GC)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
CSX 2015-268(GC)	1	\$5,000	\$0	\$0	09/30/2016	Case Terminated.
CSX 2015-269(GC)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
CSX 2015-270(GC)	1	\$2,500	\$2,500	\$2,200	09/30/2016	
CSX 2015-272(SA)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
CSX 2015-273(SA)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
CSX 2015-274(SA)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
CSX 2015-275(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
CSX 2015-276(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2016	
CSX 2015-277(SA)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
CSX 2015-278(RW)	1	\$2,000	\$2,000	\$1,725	09/30/2016	
CSX 2015-279(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
CSX 2015-280(SA)	1	\$5,000	\$5,000	\$4,400	09/30/2016	
CSX 2015-281(TS)	2	\$7,500	\$7,500	\$5,775	09/30/2016	
CSX 2015-282(FCS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
CSX 2015-283(TS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
CSX 2015-284(ROP)	1	\$9,500	\$9,500	\$8,200	09/30/2016	
CSX 2015-285(SA)	1	\$5,000	\$5,000	\$4,400	09/30/2016	
CSX 2015-286(LI)	1	\$2,500	\$2,500	\$2,100	09/30/2016	
CSX 2015-287(TS)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
CSX 2015-288(GC)	1	\$2,500	\$2,500	\$2,200	09/30/2016	
CSX 2015-289(SA)	1	\$5,000	\$5,000	\$4,400	09/30/2016	
CSX 2015-290(HMT)	1	\$4,000	\$4,000	\$3,100	09/30/2016	
CSX 2015-291(HMT)	2	\$10,000	\$10,000	\$7,900	09/30/2016	
CSX 2015-292(TS)	1	\$5,000	\$5,000	\$3,975	09/30/2016	
CSX 2015-294(SA)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
CSX 2015-295(SA)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
CSX 2015-296(FCS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
CSX 2015-298(TS)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
CSX 2015-300(SA)	1	\$5,000	\$5,000	\$4,400	09/30/2016	
CSX 2015-301(SA)	1	\$2,500	\$0	\$0	09/30/2016	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>
CSX 2015-302(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
CSX 2015-303(TS)	1	\$2,500	\$2,500	\$1,925	09/30/2016	
CSX 2015-304(TS)	1	\$5,000	\$5,000	\$3,990	09/30/2016	
CSX 2015-306(LI)	1	\$2,500	\$2,500	\$1,750	09/30/2016	
CSX 2015-309(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
CSX 2015-310(LI)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
CSX 2015-311(LI)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
CSX 2015-314(LI)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
CSX 2015-315(LI)	1	\$5,000	\$5,000	\$4,400	09/30/2016	
CSX 2015-318(LI)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
CSX 2015-319(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
CSX 2015-320(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
CSX 2015-321(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
CSX 2015-322(SA)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
CSX 2015-323(SA)	1	\$5,000	\$0	\$0	09/30/2016	Case Terminated.
CSX 2015-324(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
CSX 2015-325(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
CSX 2015-326(SA)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
CSX 2015-327(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
CSX 2015-330(LI)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
CSX 2015-331(TS)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
CSX 2015-332(TS)	1	\$2,500	\$2,500	\$1,875	09/30/2016	
CSX 2015-334(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
CSX 2015-335(TS)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
CSX 2015-336(TS)	1	\$2,500	\$2,500	\$1,925	09/30/2016	
CSX 2015-338(TS)	3	\$7,500	\$7,500	\$5,900	09/30/2016	
CSX 2015-339(HMT)	1	\$3,000	\$3,000	\$2,310	09/30/2016	
CSX 2015-340(HMT)	1	\$4,000	\$4,000	\$3,080	09/30/2016	
CSX 2015-342(ROP)	1	\$25,000	\$15,000	\$12,500	09/30/2016	Partially Terminated Violation(s): 1.
CSX 2015-343(TS)	10	\$10,000	\$10,000	\$7,200	09/30/2016	
CSX 2015-344(TS)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
CSX 2015-345(FCS)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
CSX 2015-346(FCS)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
CSX 2015-347(FCS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
CSX 2015-348(FCS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
CSX 2015-349(FCS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
CSX 2015-350(FCS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
CSX 2015-351(FCS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
CSX 2015-353(FCS)	1	\$2,500	\$2,500	\$1,925	09/30/2016	
CSX 2015-354(FCS)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
CSX 2015-355(FCS)	1	\$2,500	\$0	\$0	09/30/2016	Case Terminated.
CSX 2015-357(FCS)	1	\$5,000	\$5,000	\$3,750	09/30/2016	
CSX 2015-358(FCS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
CSX 2015-359(FCS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
CSX 2015-360(FCS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
CSX 2015-361(FCS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
CSX 2015-362(FCS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
CSX 2015-363(FCS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
CSX 2015-364(FCS)	1	\$2,500	\$2,500	\$1,925	09/30/2016	

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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 2015-365(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
CSX 2015-366(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
CSX 2015-367(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
CSX 2015-368(SA)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
CSX 2015-370(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
CSX 2015-371(SA)	1	\$2,500	\$2,500	\$1,925	09/30/2016	
CSX 2015-373(FCS)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
CSX 2015-374(TS)	1	\$2,500	\$2,500	\$1,925	09/30/2016	
CSX 2015-375(LI)	1	\$5,000	\$2,500	\$2,000	09/30/2016	Partially Terminated Violation(s): 1.
CSX 2015-376(LI)	1	\$3,500	\$3,500	\$2,775	09/30/2016	
CSX 2015-378(TS)	1	\$2,500	\$2,500	\$2,300	09/30/2016	
CSX 2015-379(LI)	1	\$1,500	\$1,500	\$1,200	09/30/2016	
CSX 2015-380(LI)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
CSX 2015-381(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2016	
CSX 2015-382(SA)	1	\$10,000	\$10,000	\$8,000	09/30/2016	
CSX 2015-383(SA)	1	\$5,000	\$5,000	\$3,800	09/30/2016	
CSX 2015-384(FCS)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
CSX 2015-385(FCS)	1	\$2,000	\$2,000	\$1,540	09/30/2016	
CSX 2015-386(ROP)	1	\$9,500	\$9,500	\$8,100	09/30/2016	
CSX 2015-387(TS)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
CSX 2015-388(TS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
CSX 2015-389(SA)	1	\$5,000	\$5,000	\$3,800	09/30/2016	
CSX 2015-390(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
CSX 2015-391(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
CSX 2015-392(FCS)	1	\$2,500	\$2,500	\$1,925	09/30/2016	
CSX 2015-393(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
CSX 2015-394(HMT)	3	\$7,000	\$7,000	\$5,500	09/30/2016	
CSX 2015-395(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
CSX 2015-398(TS)	1	\$2,500	\$2,500	\$1,925	09/30/2016	
CSX 2015-399(HMT)	1	\$5,000	\$2,000	\$1,575	09/30/2016	Partially Terminated Violation(s): 1.
CSX 2015-400(HMT)	2	\$12,000	\$9,000	\$7,100	09/30/2016	Partially Terminated Violation(s): 1.
CSX 2015-401(SA)	1	\$2,500	\$2,500	\$1,925	09/30/2016	
CSX 2015-402(SA)	1	\$2,500	\$1,000	\$650	09/30/2016	Partially Terminated Violation(s): 1.
CSX 2015-403(SA)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
CSX 2015-404(GC)	1	\$2,500	\$2,500	\$2,200	09/30/2016	
CSX 2015-405(GC)	1	\$1,000	\$1,000	\$800	09/30/2016	
CSX 2015-406(GC)	1	\$5,000	\$5,000	\$4,400	09/30/2016	
CSX 2015-407(HS)	1	\$1,000	\$1,000	\$850	09/30/2016	
CSX 2015-410(GC)	1	\$5,000	\$5,000	\$4,400	09/30/2016	
CSX 2015-411(GC)	1	\$5,000	\$5,000	\$4,400	09/30/2016	
CSX 2015-414(FCS)	1	\$2,500	\$2,500	\$1,925	09/30/2016	
CSX 2015-418(SA)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
CSX 2015-419(LI)	2	\$5,000	\$5,000	\$4,125	09/30/2016	
CSX 2015-422(ROP)	1	\$7,500	\$7,500	\$5,500	09/30/2016	
CSX 2015-423(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
CSX 2015-426(TS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
CSX 2015-427(ROP)	1	\$9,500	\$9,500	\$7,315	09/30/2016	

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CSX 2015-430(TS)	1	\$2,500	\$2,500	\$1,925	09/30/2016	
CSX 2015-431(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
CSX 2015-434(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
CSX 2015-435(SA)	1	\$2,500	\$2,500	\$1,990	09/30/2016	
CSX 2015-438(GC)	1	\$1,000	\$1,000	\$775	09/30/2016	
CSX 2015-439(GC)	1	\$1,000	\$1,000	\$775	09/30/2016	
CSX 2015-442(SI)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
CSX 2015-443(SI)	1	\$2,500	\$2,500	\$1,925	09/30/2016	
CSX 2015-446(FCS)	1	\$2,500	\$2,500	\$1,925	09/30/2016	
CSX 2015-450(GC)	1	\$5,000	\$5,000	\$4,400	09/30/2016	
CSX 2015-451(TS)	2	\$10,000	\$10,000	\$10,000	09/30/2016	
CSX 2015-454(TS)	1	\$5,000	\$5,000	\$3,975	09/30/2016	
CSX 2015-458(GC)	1	\$1,000	\$1,000	\$750	09/30/2016	
CSX 2015-459(TS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
CSX 2015-462(TS)	1	\$2,500	\$2,500	\$1,925	09/30/2016	
CSX 2015-463(TS)	1	\$1,000	\$1,000	\$750	09/30/2016	
CSX 2015-466(SA)	2	\$5,000	\$5,000	\$3,850	09/30/2016	
CSX 2015-467(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
CSX 2015-470(LI)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
CSX 2015-471(GC)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
CSX 2015-473(TS)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
CSX 2015-474(SI)	5	\$5,000	\$5,000	\$3,500	09/30/2016	
CSX 2015-475(SI)	7	\$7,000	\$7,000	\$4,900	09/30/2016	
CSX 2015-477(TS)	6	\$15,000	\$15,000	\$12,100	09/30/2016	
CSX 2015-478(TS)	1	\$5,000	\$5,000	\$4,085	09/30/2016	
CSX 2015-479(GC)	1	\$2,500	\$2,500	\$1,825	09/30/2016	
CSX 2016-2(FCS)	1	\$2,500	\$2,500	\$2,100	09/30/2016	
CSX 2016-3(ROP)	1	\$7,500	\$7,500	\$5,900	09/30/2016	
CSX 2016-7(ROP)	1	\$7,500	\$7,500	\$5,900	09/30/2016	
CSX 2016-11(SA)	1	\$2,500	\$2,500	\$2,100	09/30/2016	
CSX 2016-14(TS)	4	\$12,500	\$7,500	\$6,000	09/30/2016	Terminated Violation(s): 2, 3.
CSX 2016-15(HSR)	1	\$1,000	\$1,000	\$790	09/30/2016	
CSX 2016-17(TS)	2	\$10,000	\$10,000	\$7,950	09/30/2016	
CSX 2016-18(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
CSX 2016-21(SI)	1	\$2,500	\$2,500	\$2,025	09/30/2016	
CSX 2016-24(SI)	1	\$2,500	\$2,500	\$2,200	09/30/2016	
CSX 2016-27(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2016	
CSX 2016-30(SA)	1	\$2,500	\$2,500	\$1,925	09/30/2016	
CSX 2016-33(GC)	1	\$2,000	\$1,000	\$650	09/30/2016	Partially Terminated Violation(s): 1.
CSX 2016-36(GC)	3	\$6,000	\$3,000	\$2,300	09/30/2016	Partially Terminated Violation(s): 1.
CSX 2016-38(TS)	4	\$4,000	\$4,000	\$2,900	09/30/2016	
CTM 2016-1(AR)	1	\$2,500	\$2,500	\$1,500	03/18/2016	
CTM 2016-2(AR)	1	\$2,500	\$2,500	\$1,500	03/18/2016	
CTM 2016-3(AR)	1	\$2,500	\$2,500	\$1,500	03/18/2016	
CTM 2016-4(AR)	1	\$2,500	\$2,500	\$1,500	03/18/2016	
CTM 2016-5(AR)	1	\$2,500	\$2,500	\$1,500	03/18/2016	
CTM 2016-6(AR)	1	\$2,500	\$2,500	\$1,500	03/18/2016	
CTM 2016-7(AR)	1	\$2,500	\$2,500	\$1,500	03/18/2016	

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CTM 2016-8(AR)	1	\$2,500	\$2,500	\$1,500	03/18/2016	
CTM 2016-9(AR)	1	\$2,500	\$2,500	\$1,500	03/18/2016	
CTM 2016-10(AR)	1	\$2,500	\$2,500	\$1,500	03/18/2016	
CVR 2013-1(LI)	1	\$2,500	\$2,500	\$2,500	04/04/2016	
CVR 2014-1(SA)	1	\$2,500	\$2,500	\$2,000	04/04/2016	
CVR 2014-2(ROP)	1	\$5,000	\$5,000	\$4,000	04/04/2016	
CVR 2014-3(ROR)	1	\$7,500	\$7,500	\$6,000	04/04/2016	
CVR 2014-4(TS)	3	\$8,500	\$8,500	\$6,800	04/04/2016	
CVR 2014-5(TS)	1	\$5,000	\$5,000	\$4,000	04/04/2016	
CWRO 2015-1(SA)	1	\$5,000	\$5,000	\$4,000	02/26/2016	
CWRO 2015-2(LI)	1	\$2,500	\$2,500	\$2,500	02/26/2016	
DGNO 2015-1(TS)	3	\$10,000	\$10,000	\$7,800	09/27/2016	
DGNO 2015-2(TS)	1	\$5,000	\$5,000	\$3,950	09/27/2016	
DGNO 2015-3(TS)	2	\$5,000	\$5,000	\$3,950	09/27/2016	
DGNO 2015-4(AD)	1	\$1,000	\$1,000	\$780	09/27/2016	
DGNO 2015-5(AD)	1	\$5,000	\$5,000	\$3,900	09/27/2016	
DGNO 2015-6(SA)	1	\$5,000	\$5,000	\$3,900	09/27/2016	
DH 2015-1(LI)	1	\$2,500	\$2,500	\$1,850	09/30/2016	
DH 2015-2(HS)	1	\$1,000	\$1,000	\$750	09/30/2016	
DH 2015-3(HS)	1	\$1,000	\$1,000	\$750	09/30/2016	
DH 2015-4(HS)	1	\$1,000	\$1,000	\$700	09/30/2016	
DH 2015-5(HS)	1	\$1,000	\$1,000	\$700	09/30/2016	
DH 2015-6(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2016	
DH 2015-7(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2016	
DH 2015-8(LI)	1	\$1,000	\$1,000	\$650	09/30/2016	
DME 2015-2(TS)	2	\$7,500	\$7,500	\$5,250	09/30/2016	
DME 2015-3(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2016	
DME 2015-4(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2016	
DME 2015-5(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2016	
DME 2015-6(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2016	
DME 2015-7(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2016	
DME 2015-8(RW)	1	\$5,000	\$5,000	\$3,750	09/30/2016	
DME 2015-9(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
DME 2015-10(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
DME 2015-11(TS)	2	\$10,000	\$10,000	\$8,500	09/30/2016	
DME 2015-12(TS)	1	\$5,000	\$5,000	\$3,750	09/30/2016	
DME 2015-13(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2016	
DME 2016-1(SI)	1	\$2,500	\$2,500	\$1,750	09/30/2016	
DMVW 2016-1(TH)	1	\$5,000	\$5,000	\$5,000	06/09/2016	
EIRR 2015-5(TS)	2	\$10,000	\$10,000	\$7,600	09/26/2016	
EIRR 2015-6(TS)	1	\$1,000	\$1,000	\$770	09/26/2016	
EIRR 2015-7(GC)	1	\$5,000	\$5,000	\$3,750	09/26/2016	
ESFR 2015-1(GC)	1	\$2,500	\$2,500	\$1,500	01/13/2016	
ETRY 2015-1(ROP)	1	\$7,500	\$7,500	\$5,850	09/27/2016	
EWG 2014-3(RW)	1	\$1,500	\$1,500	\$750	05/09/2016	
EWG 2015-1(GC)	2	\$5,000	\$5,000	\$2,500	05/09/2016	
FWRW 2015-5(ROP)	1	\$7,500	\$7,500	\$7,500	09/14/2016	
FWRW 2016-1(BW)	1	\$5,000	\$5,000	\$5,000	09/20/2016	
GLC 2015-1(LI)	1	\$2,500	\$2,500	\$2,000	05/10/2016	

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GMRC 2015-1(GC)	1	\$2,500	\$2,500	\$1,900	05/24/2016	
GRNW 2016-1(CC)	1	\$1,000	\$1,000	\$770	09/26/2016	
HRRC 2015-1(TS)	1	\$2,500	\$2,500	\$2,500	01/28/2016	
IAIS 2015-5(GC)	1	\$5,000	\$5,000	\$5,000	10/01/2015	
IAIS 2016-1(HMT)	1	\$2,000	\$2,000	\$2,000	04/29/2016	
IAIS 2016-3(HSR)	1	\$1,000	\$1,000	\$1,000	08/26/2016	
IHB 2015-2(HMT)	1	\$6,000	\$6,000	\$4,500	05/02/2016	
IHB 2015-3(SA)	1	\$5,000	\$5,000	\$3,750	05/27/2016	
IHB 2015-4(FCS)	1	\$5,000	\$5,000	\$3,250	05/31/2016	
IHB 2016-2(SA)	1	\$5,000	\$5,000	\$3,250	07/05/2016	
INRD 2015-1(AR)	1	\$1,000	\$1,000	\$900	03/29/2016	
IOFY 2015-1(LI)	1	\$2,500	\$2,500	\$1,950	09/27/2016	
IOFY 2015-2(SI)	1	\$5,000	\$5,000	\$3,900	09/27/2016	
IOFY 2015-3(TS)	1	\$1,000	\$1,000	\$800	09/27/2016	
IOFY 2015-4(TS)	1	\$2,500	\$2,500	\$1,975	09/27/2016	
IOFY 2015-5(SA)	1	\$2,500	\$2,500	\$1,950	09/27/2016	
IOFY 2016-1(FCS)	1	\$2,500	\$2,500	\$1,950	09/27/2016	
IOFY 2016-2(SA)	1	\$2,500	\$2,500	\$1,950	09/27/2016	
IOFY 2016-3(SA)	1	\$2,500	\$2,500	\$1,950	09/27/2016	
IOFY 2016-4(SA)	1	\$2,500	\$2,500	\$1,950	09/27/2016	
IOFY 2016-5(SI)	1	\$2,500	\$2,500	\$1,950	09/27/2016	
ISRR 2015-1(SA)	1	\$2,500	\$2,500	\$1,950	09/27/2016	
ISRR 2015-2(SA)	1	\$2,500	\$2,500	\$1,950	09/27/2016	
KCS 2015-9(SA)	1	\$5,000	\$5,000	\$4,150	07/26/2016	
KCS 2015-10(GC)	1	\$2,500	\$2,500	\$1,850	07/26/2016	
KCS 2015-17(HSR)	1	\$1,000	\$1,000	\$790	07/26/2016	
KCS 2015-18(HSR)	1	\$2,500	\$2,500	\$1,900	07/26/2016	
KCS 2015-19(SI)	1	\$2,500	\$2,500	\$2,150	07/26/2016	
KCS 2015-20(EP)	1	\$1,000	\$1,000	\$730	07/26/2016	
KCS 2015-21(FCS)	1	\$5,000	\$5,000	\$3,900	07/26/2016	
KCS 2015-22(FCS)	1	\$2,500	\$2,500	\$1,975	07/26/2016	
KCS 2015-23(RW)	1	\$3,000	\$3,000	\$2,100	07/26/2016	
KCS 2015-24(RSP)	1	\$5,000	\$5,000	\$3,900	07/26/2016	
KCS 2015-25(SA)	1	\$2,500	\$2,500	\$2,000	07/26/2016	
KCS 2015-26(SA)	1	\$5,000	\$5,000	\$4,075	07/26/2016	
KCS 2015-27(SA)	1	\$5,000	\$5,000	\$4,050	07/26/2016	
KCS 2015-28(HMT)	2	\$11,500	\$11,500	\$9,660	07/26/2016	
KCS 2015-29(HS)	1	\$1,000	\$1,000	\$780	07/26/2016	
KCS 2015-30(SA)	1	\$5,000	\$5,000	\$4,050	07/26/2016	
KCS 2015-31(FCS)	1	\$2,500	\$0	\$0	07/26/2016	Case Terminated.
KCS 2015-32(FCS)	1	\$5,000	\$0	\$0	07/26/2016	Case Terminated.
KCS 2015-33(SA)	1	\$2,500	\$2,500	\$1,940	07/26/2016	
KCS 2015-34(SA)	1	\$2,500	\$2,500	\$1,950	07/26/2016	
KCS 2015-35(SA)	1	\$2,500	\$2,500	\$1,950	07/26/2016	
KCS 2015-36(SA)	2	\$7,500	\$7,500	\$6,150	07/26/2016	
KCS 2016-1(RMM)	1	\$5,000	\$5,000	\$3,650	07/26/2016	
KCS 2016-2(FCS)	1	\$5,000	\$0	\$0	07/26/2016	Case Terminated.
KCS 2016-3(TS)	1	\$2,500	\$2,500	\$2,090	07/26/2016	
KCS 2016-4(TS)	2	\$7,500	\$7,500	\$6,300	07/26/2016	

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KCS 2016-5(TS)	1	\$2,500	\$2,500	\$2,025	07/26/2016	
KCS 2016-6(SA)	1	\$5,000	\$5,000	\$4,150	07/26/2016	
KCS 2016-7(GC)	1	\$5,000	\$5,000	\$4,175	07/26/2016	
KCS 2016-8(GC)	1	\$5,000	\$5,000	\$4,150	07/26/2016	
KCS 2016-9(FCS)	1	\$5,000	\$5,000	\$3,900	07/26/2016	
KCS 2016-10(FCS)	1	\$2,500	\$2,500	\$1,925	07/26/2016	
KCS 2016-11(SA)	1	\$5,000	\$5,000	\$4,100	07/26/2016	
KCS 2016-12(GC)	1	\$2,500	\$2,500	\$2,050	07/26/2016	
KFR 2015-1(ROP)	2	\$17,000	\$17,000	\$12,500	11/19/2015	
KRR 2015-1(AD)	1	\$1,000	\$1,000	\$780	09/27/2016	
LAS 2015-1(SA)	1	\$5,000	\$5,000	\$3,900	09/26/2016	
LCR 2010-1(LI)	1	\$1,500	\$1,500	\$1,200	05/04/2016	
LI 2012-6(AR)	1	\$2,500	\$0	\$0	05/26/2016	Case terminated.
LI 2014-1(PEQ)	1	\$5,000	\$5,000	\$3,250	05/05/2016	
LI 2014-2(PEQ)	1	\$5,000	\$5,000	\$4,000	05/05/2016	
LI 2014-4(PEQ)	1	\$5,000	\$5,000	\$3,250	05/05/2016	
LI 2014-6(LI)	1	\$2,500	\$2,500	\$1,625	05/05/2016	
LI 2014-9(SI)	1	\$1,000	\$1,000	\$850	05/05/2016	
LI 2015-1(ROR)	1	\$7,500	\$7,500	\$4,125	05/05/2016	
LI 2015-2(TH)	1	\$1,000	\$1,000	\$650	05/05/2016	
LI 2015-3(TH)	1	\$1,000	\$1,000	\$650	05/05/2016	
LI 2015-4(PEQ)	1	\$1,000	\$1,000	\$750	05/05/2016	
LIRC 2012-1(GC)	5	\$25,000	\$25,000	\$22,500	04/28/2016	
LIRC 2012-2(EQ)	2	\$5,000	\$5,000	\$4,250	04/28/2016	
LIRC 2012-3(GC)	1	\$5,000	\$5,000	\$4,500	04/28/2016	
LIRC 2013-1(SA)	1	\$5,000	\$5,000	\$4,000	04/28/2016	
LIRC 2013-2(SA)	1	\$5,000	\$5,000	\$4,000	04/28/2016	
LIRC 2013-3(TS)	1	\$5,000	\$5,000	\$4,000	04/28/2016	
LIRC 2014-1(AR)	1	\$2,500	\$2,500	\$2,500	06/17/2016	
LIRC 2014-2(SA)	1	\$2,500	\$2,500	\$2,500	06/17/2016	
LIRC 2014-3(FCS)	2	\$5,000	\$5,000	\$5,000	06/17/2016	
LNW 2014-1(EQ)	1	\$2,500	\$2,500	\$1,750	05/20/2016	
LRWN 2015-1(AD)	1	\$2,500	\$2,500	\$1,925	09/27/2016	
LS 2007-1(AR)	2	\$5,000	\$0	\$0	05/26/2016	Case terminated.
LS 2008-1(SA)	1	\$5,000	\$0	\$0	05/26/2016	Case terminated.
LS 2008-2(TS)	1	\$5,000	\$0	\$0	05/26/2016	Case terminated.
LS 2008-3(SA)	1	\$5,000	\$0	\$0	05/26/2016	Case terminated.
LS 2008-4(HMT)	1	\$1,500	\$0	\$0	05/26/2016	Case terminated.
LS 2009-1(SA)	1	\$5,000	\$0	\$0	05/26/2016	Case terminated.
LS 2009-2(SA)	1	\$5,000	\$0	\$0	05/26/2016	Case terminated.
LS 2009-3(AR)	1	\$2,500	\$0	\$0	05/26/2016	Case terminated.
LS 2010-1(TS)	1	\$5,000	\$0	\$0	05/26/2016	Case terminated.
LS 2011-1(TS)	1	\$2,500	\$0	\$0	05/26/2016	Case terminated.
LS 2011-2(ROP)	1	\$7,500	\$0	\$0	05/26/2016	Case terminated.
LS 2013-1(CC)	2	\$4,000	\$4,000	\$2,800	07/05/2016	
LS 2015-1(SA)	1	\$5,000	\$5,000	\$4,000	07/05/2016	
LS 2015-2(ROP)	1	\$7,500	\$7,500	\$6,000	07/05/2016	
LS 2015-3(SA)	1	\$5,000	\$5,000	\$4,000	07/05/2016	
LSIZ 2015-1(RW)	10	\$16,500	\$16,500	\$8,250	06/13/2016	

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LSRC 2014-1(SA)	2	\$5,000	\$5,000	\$3,700	07/08/2016	
LSRC 2015-1(HS)	1	\$1,000	\$1,000	\$650	07/08/2016	
LSRC 2016-1(SA)	1	\$5,000	\$5,000	\$3,500	07/08/2016	
LSRC 2016-2(SA)	1	\$5,000	\$5,000	\$3,750	07/19/2016	
LVR 2014-1(HMT)	25	\$125,000	\$125,000	\$56,250	08/08/2016	
LVR 2009-1(GC)	1	\$5,000	\$0	\$0	06/26/2016	Case Terminated.
MCCP 2015-1(SA)	1	\$5,000	\$5,000	\$2,500	10/20/2015	
MCRL 2015-2(GC)	1	\$1,000	\$1,000	\$650	03/18/2016	
MCRL 2015-3(ROP)	1	\$9,500	\$9,500	\$6,100	03/18/2016	
MCRL 2016-1(AR)	2	\$5,000	\$5,000	\$3,000	03/28/2016	
MCRL 2016-2(AR)	1	\$2,500	\$2,500	\$1,500	03/28/2016	
MEC 2015-2(TS)	1	\$1,000	\$1,000	\$880	09/29/2016	
MEC 2015-3(TS)	1	\$5,000	\$5,000	\$4,350	09/29/2016	
MEC 2015-4(TS)	7	\$17,500	\$17,500	\$15,500	09/29/2016	
MEC 2015-5(TS)	1	\$5,000	\$5,000	\$4,400	09/29/2016	
MEC 2015-6(TS)	1	\$5,000	\$5,000	\$4,350	09/29/2016	
MEC 2015-7(TS)	3	\$15,000	\$15,000	\$13,000	09/29/2016	
MEC 2016-1(TS)	1	\$5,000	\$5,000	\$4,350	09/29/2016	
MEC 2016-2(TS)	1	\$5,000	\$5,000	\$4,350	09/29/2016	
MEC 2016-3(TS)	2	\$10,000	\$10,000	\$8,700	09/29/2016	
MEC 2016-4(TS)	2	\$10,000	\$10,000	\$8,750	09/29/2016	
MET 2016-1(GC)	1	\$1,000	\$1,000	\$1,000	05/10/2016	
MH 2016-1(SA)	1	\$2,500	\$2,500	\$1,700	03/18/2016	
MH 2016-3(AR)	1	\$2,500	\$2,500	\$1,500	03/18/2016	
MH 2016-4(AR)	1	\$2,500	\$2,500	\$1,500	03/18/2016	
MH 2016-5(AR)	1	\$2,500	\$2,500	\$1,500	03/18/2016	
MH 2016-6(AR)	1	\$2,500	\$2,500	\$1,500	03/18/2016	
MH 2016-7(AR)	1	\$2,500	\$2,500	\$1,500	03/18/2016	
MH 2016-8(AR)	1	\$2,500	\$2,500	\$1,500	03/18/2016	
MNA 2015-1(SA)	1	\$5,000	\$5,000	\$3,900	09/27/2016	
MNA 2015-2(SA)	1	\$999	\$999	\$780	09/27/2016	
MNA 2015-3(FCS)	1	\$5,000	\$5,000	\$3,900	09/27/2016	
MNA 2015-4(FCS)	1	\$2,500	\$2,500	\$1,950	09/27/2016	
MNA 2015-5(SA)	1	\$2,500	\$2,500	\$1,950	09/27/2016	
MNA 2015-6(LI)	2	\$4,000	\$4,000	\$3,200	09/27/2016	
MNA 2015-7(ROP)	1	\$9,500	\$9,500	\$7,410	09/27/2016	
MNA 2016-1(SA)	1	\$5,000	\$5,000	\$3,900	09/27/2016	
MNA 2016-2(SA)	1	\$2,500	\$2,500	\$1,950	09/27/2016	
MNA 2016-3(SA)	1	\$2,500	\$2,500	\$1,925	09/27/2016	
MNA 2016-4(FCS)	1	\$5,000	\$5,000	\$3,900	09/27/2016	
MNBR 2015-1(TS)	1	\$5,000	\$5,000	\$3,850	09/27/2016	
MNBR 2016-1(TS)	3	\$15,000	\$15,000	\$11,550	09/27/2016	
MNNR 2015-1(HMT)	1	\$5,000	\$5,000	\$3,000	05/24/2016	
MNR 2015-2(AD)	7	\$17,500	\$7,500	\$6,000	09/19/2016	Partially Terminated Violation(s): 1,3.
MNR 2016-1(AD)	2	\$5,000	\$5,000	\$3,000	09/19/2016	
MQT 2015-1(SA)	1	\$2,500	\$2,500	\$1,950	09/27/2016	
MRA 2016-1(AR)	1	\$2,500	\$2,500	\$1,500	03/18/2016	
MRA 2016-2(AR)	1	\$2,500	\$2,500	\$1,500	03/18/2016	
MRA 2016-3(AR)	1	\$2,500	\$2,500	\$1,500	03/18/2016	

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MRA 2016-4(AR)	1	\$2,500	\$2,500	\$1,500	03/18/2016	
MRA 2016-5(AR)	1	\$2,500	\$2,500	\$1,500	03/18/2016	
MRL 2013-3(TS)	1	\$5,000	\$5,000	\$4,500	09/30/2016	
MRL 2013-4(SA)	1	\$5,000	\$5,000	\$4,400	09/30/2016	
MRL 2013-5(CC)	1	\$5,000	\$5,000	\$4,500	09/30/2016	
MRL 2013-6(CC)	1	\$2,500	\$2,500	\$2,250	09/30/2016	
MRL 2013-7(ROP)	1	\$9,500	\$9,500	\$7,600	09/30/2016	
MRL 2014-1(SA)	1	\$5,000	\$5,000	\$4,400	09/30/2016	
MRL 2014-2(ROP)	1	\$9,500	\$9,500	\$9,000	09/30/2016	
MRL 2014-3(CC)	1	\$5,000	\$5,000	\$4,500	09/30/2016	
MRL 2014-4(ROP)	1	\$9,500	\$9,500	\$9,000	09/30/2016	
MRL 2014-5(SA)	1	\$2,500	\$2,500	\$2,250	09/30/2016	
MRL 2014-6(HS)	1	\$1,000	\$1,000	\$900	09/30/2016	
MRL 2015-1(LI)	1	\$2,500	\$2,500	\$2,250	09/30/2016	
MRL 2015-2(ROP)	1	\$2,000	\$2,000	\$2,000	09/30/2016	
MRL 2015-3(SA)	1	\$5,000	\$5,000	\$4,500	09/30/2016	
MRL 2015-4(TS)	6	\$13,000	\$13,000	\$11,500	09/30/2016	
MRL 2015-5(ROP)	1	\$9,500	\$0	\$0	01/20/2016	Case Terminated.
MRL 2015-6(SA)	1	\$5,000	\$5,000	\$4,400	09/30/2016	
MRL 2015-7(AR)	1	\$1,000	\$1,000	\$1,000	09/30/2016	
MRL 2015-8(ROP)	3	\$28,500	\$28,500	\$25,400	09/30/2016	
MRL 2015-9(SA)	1	\$5,000	\$5,000	\$4,400	09/30/2016	
MRL 2015-10(SA)	2	\$10,000	\$10,000	\$8,800	09/30/2016	
MRL 2015-11(SA)	1	\$5,000	\$5,000	\$4,400	09/30/2016	
MRL 2015-12(ROP)	1	\$9,500	\$9,500	\$9,000	09/30/2016	
MRL 2015-13(AD)	1	\$2,000	\$2,000	\$1,800	09/30/2016	
MRL 2015-14(AD)	1	\$5,000	\$5,000	\$4,500	09/30/2016	
MRL 2015-15(AD)	1	\$5,000	\$5,000	\$5,000	09/30/2016	
NAUG 2013-1(AR)	1	\$2,500	\$2,500	\$1,250	04/24/2016	
NCTC 2015-2(AR)	1	\$2,500	\$2,500	\$2,500	12/11/2015	
NCTC 2016-1(EQ)	1	\$1,000	\$1,000	\$1,000	03/29/2016	
NCTS 2015-1(TS)	1	\$1,000	\$1,000	\$1,000	01/08/2016	
NCVA 2015-1(GC)	1	\$2,500	\$2,500	\$1,950	09/27/2016	
NCVA 2015-2(GC)	1	\$2,500	\$2,500	\$1,950	09/27/2016	
NCVA 2015-3(GC)	1	\$5,000	\$5,000	\$3,900	09/27/2016	
NCVA 2016-1(GC)	1	\$5,000	\$5,000	\$3,900	09/27/2016	
NCYR 2008-1(LI)	1	\$1,500	\$0	\$0	06/20/2016	Case Terminated.
NDW 2015-1(TS)	3	\$15,000	\$15,000	\$9,500	04/21/2016	
NDW 2015-2(TS)	1	\$5,000	\$5,000	\$2,750	04/21/2016	
NDW 2015-3(TS)	1	\$7,000	\$7,000	\$4,500	04/21/2016	
NECR 2016-1(RSP)	1	\$9,500	\$9,500	\$7,410	09/27/2016	
NERR 2015-1(TS)	3	\$15,000	\$15,000	\$9,000	05/18/2016	
NERR 2015-2(TS)	1	\$2,500	\$2,500	\$1,500	05/26/2016	
NICD 2014-3(PEQ)	2	\$10,000	\$10,000	\$6,000	05/12/2016	
NICD 2014-4(LI)	2	\$5,000	\$5,000	\$3,000	05/12/2016	
NLA 2013-1(SA)	1	\$2,500	\$2,500	\$2,500	08/19/2016	
NLR 2015-1(HMT)	1	\$1,500	\$1,500	\$1,500	10/09/2015	
NMRX 2015-2(GC)	1	\$5,000	\$5,000	\$3,750	11/03/2015	
NTRY 2008-1(SA)	2	\$5,000	\$0	\$0	06/20/2016	Case Terminated.

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NTRY 2009-1(AR)	3	\$7,500	\$0	\$0	06/20/2016	Case Terminated.
NTRY 2010-1(SA)	2	\$10,000	\$0	\$0	06/20/2016	Case Terminated.
NTRY 2010-2(SA)	1	\$2,500	\$0	\$0	06/20/2016	Case Terminated.
NTZR 2012-1(TS)	2	\$7,500	\$7,500	\$6,000	10/05/2015	
NTZR 2014-1(TS)	2	\$10,000	\$10,000	\$8,000	10/05/2015	
NTZR 2014-2(TS)	1	\$5,000	\$5,000	\$4,000	10/05/2015	
NTZR 2015-1(TS)	7	\$31,000	\$31,000	\$24,800	10/05/2015	
NYA 2015-1(HSR)	1	\$1,000	\$1,000	\$1,000	03/04/2016	
NYA 2015-2(EQ)	1	\$5,000	\$5,000	\$5,000	03/04/2016	
NYA 2015-3(EQ)	1	\$5,000	\$5,000	\$5,000	03/04/2016	
NYA 2016-1(CC)	1	\$2,500	\$2,500	\$1,750	08/31/2016	
NYA 2016-2(EQ)	1	\$1,000	\$1,000	\$1,000	07/25/2016	
NYSW 2015-2(SA)	1	\$2,500	\$2,500	\$2,500	05/06/2016	
NYSW 2016-2(CC)	1	\$2,500	\$2,500	\$2,500	08/23/2016	
OERR 2015-1(TS)	1	\$5,000	\$5,000	\$4,100	02/23/2016	
OERR 2016-1(SA)	1	\$2,500	\$2,500	\$1,900	07/12/2016	
OHCR 2015-1(SA)	1	\$5,000	\$5,000	\$3,900	09/27/2016	
OHCR 2015-2(SA)	1	\$2,500	\$2,500	\$1,950	09/27/2016	
OHCR 2016-1(SA)	1	\$2,500	\$0	\$0	09/27/2016	Case Terminated.
OHCR 2016-2(SA)	1	\$2,500	\$2,500	\$1,950	09/27/2016	
OSRR 2015-1(GC)	1	\$1,000	\$1,000	\$780	09/27/2016	
OSRR 2015-2(GC)	1	\$2,500	\$2,500	\$1,950	09/27/2016	
PAL 2014-1(HMT)	1	\$4,000	\$4,000	\$2,700	04/12/2016	
PAL 2016-1(TS)	1	\$5,000	\$5,000	\$3,800	04/12/2016	
PAS 2015-4(TS)	3	\$3,000	\$3,000	\$2,700	09/29/2016	
PAS 2015-5(TS)	6	\$6,000	\$6,000	\$5,000	09/29/2016	
PAS 2016-1(TS)	1	\$5,000	\$5,000	\$4,350	09/29/2016	
PAS 2016-2(TS)	1	\$5,000	\$5,000	\$4,350	09/29/2016	
PAS 2016-3(HMT)	1	\$2,000	\$2,000	\$1,650	09/29/2016	
PBR 2010-1(SA)	2	\$5,000	\$0	\$0	04/05/2016	Case Terminated.
PBR 2011-1(AR)	1	\$2,500	\$0	\$0	04/05/2016	Case Terminated.
PBR 2011-2(AR)	1	\$2,500	\$0	\$0	04/05/2016	Case Terminated.
PCC 2015-1(TS)	2	\$5,000	\$5,000	\$3,800	09/26/2016	
PCC 2015-2(TS)	1	\$5,000	\$5,000	\$3,800	09/26/2016	
PCC 2015-3(RMM)	3	\$15,000	\$0	\$0	09/26/2016	Case Terminated.
PCC 2015-4(TS)	1	\$2,500	\$2,500	\$1,900	09/26/2016	
PGR 2014-1(AR)	1	\$2,500	\$2,500	\$1,750	04/05/2016	
PGR 2014-2(AR)	1	\$2,500	\$2,500	\$1,750	04/05/2016	
PGR 2014-3(AR)	1	\$2,500	\$2,500	\$1,750	04/05/2016	
PGR 2014-4(AR)	1	\$2,500	\$2,500	\$1,750	04/05/2016	
PGR 2014-5(SA)	1	\$5,000	\$5,000	\$2,700	04/05/2016	
PNR 2014-1(ROP)	1	\$9,500	\$9,500	\$7,600	04/11/2016	
PNR 2015-1(ROP)	1	\$2,000	\$2,000	\$1,400	04/11/2016	
PNR 2016-1(ROP)	1	\$7,500	\$7,500	\$5,500	04/11/2016	
PNWR 2015-1(SA)	1	\$5,000	\$5,000	\$3,900	09/27/2016	
PNWR 2015-2(SA)	1	\$2,500	\$2,500	\$1,950	09/27/2016	
PNWR 2015-3(GC)	1	\$5,000	\$5,000	\$3,700	09/27/2016	
PNWR 2015-4(TS)	1	\$2,500	\$2,500	\$1,900	09/27/2016	
PNWR 2015-5(TS)	2	\$10,000	\$10,000	\$7,500	09/27/2016	

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PNWR 2015-6(GC)	1	\$5,000	\$5,000	\$3,700	09/27/2016	
PNWR 2015-7(SA)	1	\$2,500	\$2,500	\$1,875	09/27/2016	
PNWR 2015-8(SA)	1	\$5,000	\$5,000	\$3,675	09/27/2016	
PNWR 2015-9(FCS)	1	\$2,500	\$2,500	\$1,950	09/27/2016	
PNWR 2015-10(SA)	1	\$5,000	\$5,000	\$3,900	09/27/2016	
PNWR 2015-11(SA)	1	\$2,500	\$2,500	\$1,925	09/27/2016	
PNWR 2015-12(ROP)	1	\$7,500	\$7,500	\$5,850	09/27/2016	
PNWR 2015-13(ROP)	1	\$7,500	\$7,500	\$5,850	09/27/2016	
PNWR 2015-14(ROP)	1	\$9,500	\$0	\$0	09/27/2016	Case Terminated.
PNWR 2015-15(ROP)	1	\$7,500	\$7,500	\$5,850	09/27/2016	
PNWR 2015-16(ROP)	1	\$7,500	\$7,500	\$5,850	09/27/2016	
PNWR 2015-17(ROP)	1	\$7,500	\$7,500	\$5,850	09/27/2016	
PNWR 2015-18(ROP)	1	\$7,500	\$7,500	\$5,850	09/27/2016	
PNWR 2016-1(RW)	1	\$5,000	\$0	\$0	09/27/2016	Case Terminated.
PNWR 2016-2(ROP)	1	\$7,500	\$7,500	\$5,850	09/27/2016	
PNWR 2016-3(SA)	1	\$2,500	\$2,500	\$1,950	09/27/2016	
PSAP 2015-1(SA)	1	\$2,500	\$2,500	\$1,950	09/27/2016	
PSAP 2015-2(SI)	1	\$2,500	\$2,500	\$1,950	09/27/2016	
PSAP 2016-1(HS)	1	\$1,000	\$1,000	\$800	09/27/2016	
RJCC 2015-1(HS)	1	\$1,000	\$1,000	\$1,000	10/23/2015	
RJCL 2015-1(GC)	2	\$5,000	\$5,000	\$4,000	12/10/2015	
RNA 2015-1(TS)	1	\$5,000	\$5,000	\$3,000	05/09/2016	
RPP 2014-1(AD)	1	\$1,000	\$1,000	\$650	03/18/2016	
RPP 2016-1(AR)	3	\$7,500	\$7,500	\$4,500	03/18/2016	
RPP 2016-2(AR)	2	\$5,000	\$5,000	\$3,000	03/18/2016	
RPP 2016-3(AR)	1	\$2,500	\$2,500	\$1,500	03/18/2016	
RSR 2016-1(LI)	1	\$2,500	\$2,500	\$1,950	09/27/2016	
RSR 2016-2(LI)	1	\$1,500	\$1,500	\$1,170	09/27/2016	
RWSI 2014-1(RW)	1	\$3,000	\$3,000	\$3,000	10/08/2015	
RWSI 2015-1(ROP)	1	\$7,500	\$7,500	\$6,000	02/23/2016	
SB 2015-1(FCS)	1	\$2,500	\$2,500	\$1,950	09/27/2016	
SB 2015-2(FCS)	1	\$2,500	\$2,500	\$1,950	09/27/2016	
SB 2015-3(SA)	1	\$5,000	\$5,000	\$3,900	09/27/2016	
SCAX 2015-1(SI)	1	\$1,000	\$1,000	\$650	11/30/2015	
SCAX 2015-2(SI)	5	\$5,000	\$5,000	\$3,250	11/30/2015	
SCAX 2015-3(SI)	1	\$1,000	\$1,000	\$650	11/30/2015	
SCAX 2015-4(SI)	1	\$1,000	\$1,000	\$650	11/30/2015	
SCAX 2015-5(SI)	1	\$1,000	\$1,000	\$650	11/30/2015	
SCAX 2016-1(ROP)	1	\$5,000	\$5,000	\$3,500	05/09/2016	
SCAX 2016-2(GC)	1	\$1,000	\$1,000	\$650	05/09/2016	
SCAX 2016-3(GC)	1	\$1,000	\$1,000	\$650	05/09/2016	
SCAX 2016-4(GC)	1	\$1,000	\$1,000	\$650	05/09/2016	
SCAX 2016-5(ROR)	5	\$47,500	\$0	\$0	07/21/2016	Case Terminated.
SCAX 2016-8(ROR)	5	\$47,500	\$0	\$0	07/21/2016	Case Terminated.
SCAX 2016-9(ROR)	5	\$37,500	\$37,500	\$25,000	05/09/2016	
SCAX 2016-10(ROR)	1	\$9,500	\$0	\$0	07/21/2016	Case Terminated.
SCAX 2016-11(ROR)	1	\$7,500	\$0	\$0	07/21/2016	Case Terminated.
SCAX 2016-12(PEQ)	1	\$2,500	\$2,500	\$1,725	06/07/2016	
SCAX 2016-13(SI)	1	\$1,000	\$1,000	\$650	06/07/2016	

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SCAX 2016-16(GC)	1	\$2,500	\$2,500	\$1,850	09/21/2016	
SCBG 2013-1(RSP)	1	\$5,000	\$0	\$0	10/05/2015	Case Terminated.
SCCT 2016-1(GC)	1	\$2,500	\$2,500	\$2,500	07/12/2016	
SCCT 2016-2(GC)	1	\$2,500	\$2,500	\$2,500	07/12/2016	
SCX 2016-1(AR)	2	\$5,000	\$5,000	\$3,000	03/18/2016	
SCX 2016-2(AR)	3	\$7,500	\$7,500	\$4,500	03/18/2016	
SCXF 2015-1(LI)	1	\$2,500	\$2,500	\$1,500	03/30/2016	
SCXF 2015-2(LI)	1	\$2,500	\$2,500	\$1,500	03/30/2016	
SCXF 2016-1(TS)	1	\$5,000	\$5,000	\$5,000	07/21/2016	
SDTI 2016-1(RW)	1	\$2,000	\$2,000	\$2,000	05/11/2016	
SEPA 2014-4(PEP)	1	\$5,000	\$0	\$0	10/07/2015	Case Terminated.
SEPA 2015-8(LI)	1	\$2,500	\$2,500	\$1,500	10/07/2015	
SEPA 2015-14(SI)	1	\$1,000	\$1,000	\$650	10/07/2015	
SEPA 2015-16(RW)	1	\$5,000	\$5,000	\$3,400	03/03/2016	
SEPA 2015-17(AR)	1	\$2,500	\$2,500	\$1,700	03/03/2016	
SEPA 2015-18(AR)	1	\$2,500	\$2,500	\$1,700	03/03/2016	
SEPA 2015-19(AR)	1	\$2,500	\$2,500	\$1,700	03/03/2016	
SEPA 2015-20(AR)	1	\$2,500	\$2,500	\$1,700	03/03/2016	
SEPA 2016-1(EQ)	1	\$1,000	\$0	\$0	06/06/2016	Case terminated.
SEPA 2016-2(RW)	1	\$3,000	\$3,000	\$2,000	06/06/2016	
SFRV 2015-1(AD)	1	\$5,000	\$5,000	\$3,400	11/23/2015	
SFRV 2015-2(AD)	5	\$12,500	\$12,500	\$9,000	11/23/2015	
SFRV 2015-3(AD)	4	\$12,500	\$12,500	\$8,900	11/23/2015	
SJVR 2015-1(LI)	1	\$2,500	\$2,500	\$1,950	09/27/2016	
SJVR 2015-2(LI)	1	\$2,500	\$2,500	\$1,950	09/27/2016	
SJVR 2015-3(LI)	1	\$2,500	\$2,500	\$1,950	09/27/2016	
SJVR 2016-1(ROP)	1	\$7,500	\$7,500	\$5,925	09/27/2016	
SKOL 2015-5(RW)	5	\$10,000	\$10,000	\$7,600	09/26/2016	
SKOL 2015-6(TS)	1	\$1,000	\$1,000	\$760	09/26/2016	
SKOL 2015-7(TS)	1	\$5,000	\$5,000	\$3,900	09/26/2016	
SKOL 2015-8(TS)	1	\$5,000	\$5,000	\$3,850	09/26/2016	
SKOL 2015-9(TS)	2	\$7,500	\$7,500	\$5,700	09/26/2016	
SKOL 2015-10(HS)	1	\$1,000	\$1,000	\$780	09/26/2016	
SKOL 2016-1(TS)	1	\$1,000	\$1,000	\$760	09/26/2016	
SKOL 2016-2(TS)	1	\$1,000	\$1,000	\$760	09/26/2016	
SKOL 2016-3(GC)	1	\$5,000	\$5,000	\$3,750	09/26/2016	
SLC 2011-1(SA)	1	\$5,000	\$0	\$0	05/18/2016	Case Terminated.
SLGW 2016-1(ROP)	2	\$9,500	\$9,500	\$9,500	05/11/2016	
SLR 2015-1(TS)	3	\$3,000	\$3,000	\$2,340	09/27/2016	
SLRG 2015-5(TS)	4	\$20,000	\$20,000	\$14,000	03/18/2016	
SLRG 2015-6(GC)	1	\$5,000	\$0	\$0	03/18/2016	Case Terminated.
SLRG 2015-7(TS)	1	\$5,000	\$5,000	\$3,500	03/18/2016	
SLRG 2016-1(AR)	1	\$2,500	\$2,500	\$1,500	03/28/2016	
SLRG 2016-2(AR)	1	\$2,500	\$2,500	\$1,500	03/28/2016	
SLRG 2016-3(AR)	1	\$2,500	\$2,500	\$1,500	03/28/2016	
SLRG 2016-4(AR)	1	\$2,500	\$2,500	\$1,500	03/28/2016	
SLRG 2016-5(AR)	1	\$2,500	\$2,500	\$1,500	03/28/2016	
SLRG 2016-6(AR)	1	\$2,500	\$2,500	\$1,500	03/28/2016	
SLRG 2016-7(AR)	1	\$2,500	\$2,500	\$1,500	03/28/2016	

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SLRG 2016-8(AR)	1	\$2,500	\$2,500	\$1,500	03/28/2016	
SLRG 2016-9(AR)	1	\$2,500	\$2,500	\$1,500	03/28/2016	
SLRG 2016-10(AR)	1	\$2,500	\$2,500	\$1,500	03/28/2016	
SLRG 2016-11(AR)	1	\$2,500	\$2,500	\$1,500	03/28/2016	
SLRG 2016-12(AR)	1	\$2,500	\$2,500	\$1,500	03/28/2016	
SLRG 2016-13(AR)	1	\$2,500	\$2,500	\$1,500	03/28/2016	
SLRG 2016-14(AR)	1	\$2,500	\$2,500	\$1,500	03/28/2016	
SLRG 2016-15(AR)	1	\$2,500	\$2,500	\$1,500	03/28/2016	
SLWC 2016-1(TS)	3	\$3,000	\$3,000	\$2,300	09/26/2016	
SLWC 2016-2(TS)	9	\$19,500	\$19,500	\$14,700	09/26/2016	
SM 2015-1(RSP)	1	\$9,500	\$9,500	\$5,100	11/23/2015	
SMRT 2016-1(CC)	2	\$8,000	\$0	\$0	03/31/2016	Case Terminated.
SNC 2015-1(PEQ)	1	\$2,500	\$2,500	\$1,700	03/18/2016	
SNC 2016-1(AR)	3	\$7,500	\$7,500	\$4,500	03/30/2016	
SNC 2016-2(AR)	2	\$5,000	\$5,000	\$3,000	03/30/2016	
SNC 2016-3(AR)	1	\$2,500	\$2,500	\$1,500	03/30/2016	
SNC 2016-4(AR)	1	\$2,500	\$2,500	\$1,500	03/30/2016	
SOU 2015-9(AR)	1	\$2,500	\$2,500	\$1,850	09/30/2016	
SOU 2015-106(SA)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
SOU 2015-112(LI)	1	\$2,500	\$2,500	\$1,650	09/30/2016	
SOU 2015-115(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
SOU 2015-117(LI)	2	\$5,000	\$5,000	\$3,850	09/30/2016	
SOU 2015-118(LI)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
SOU 2015-120(SA)	1	\$2,000	\$2,000	\$1,340	09/30/2016	
SOU 2015-121(LI)	1	\$1,000	\$1,000	\$740	09/30/2016	
SOU 2015-122(LI)	1	\$2,500	\$2,500	\$1,800	09/30/2016	
SOU 2015-123(LI)	1	\$2,500	\$2,500	\$2,100	09/30/2016	
SOU 2015-124(ROP)	1	\$9,500	\$9,500	\$7,600	09/30/2016	
SOU 2015-125(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
SOU 2015-126(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
SOU 2015-127(SA)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
SOU 2015-128(SI)	1	\$1,000	\$1,000	\$870	09/30/2016	
SOU 2015-129(SA)	1	\$5,000	\$5,000	\$3,925	09/30/2016	
SOU 2015-130(SA)	1	\$5,000	\$5,000	\$4,450	09/30/2016	
SOU 2015-131(TS)	1	\$5,000	\$5,000	\$4,550	09/30/2016	
SOU 2015-132(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2016	
SOU 2015-133(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
SOU 2015-134(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2016	
SOU 2015-135(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
SOU 2015-136(SA)	1	\$7,500	\$2,500	\$2,100	09/30/2016	Partially Terminated Violation(s): 1.
SOU 2015-137(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
SOU 2015-138(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
SOU 2015-139(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
SOU 2015-140(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
SOU 2015-141(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
SOU 2015-142(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
SOU 2015-143(FCS)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
SOU 2015-144(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
SOU 2015-145(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2016	

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SOU 2015-146(ROP)	1	\$2,000	\$2,000	\$1,575	09/30/2016	
SOU 2015-147(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
SOU 2015-148(SA)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
SOU 2015-149(SA)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
SOU 2015-150(SA)	1	\$2,500	\$2,500	\$1,600	09/30/2016	
SOU 2015-151(SA)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
SOU 2015-152(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
SOU 2015-153(SA)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
SOU 2015-154(SA)	1	\$5,000	\$5,000	\$4,200	09/30/2016	
SOU 2015-155(LI)	1	\$2,500	\$2,500	\$2,340	09/30/2016	
SOU 2015-156(LI)	1	\$1,500	\$1,500	\$1,140	09/30/2016	
SOU 2015-157(LI)	1	\$1,500	\$1,500	\$1,120	09/30/2016	
SOU 2015-158(LI)	1	\$2,500	\$2,500	\$1,850	09/30/2016	
SOU 2015-159(LI)	1	\$2,500	\$2,500	\$2,350	09/30/2016	
SOU 2015-160(LI)	1	\$2,500	\$2,500	\$1,800	09/30/2016	
SOU 2015-161(LI)	1	\$2,500	\$2,500	\$2,225	09/30/2016	
SOU 2015-162(GC)	1	\$5,000	\$5,000	\$4,350	09/30/2016	
SOU 2015-163(LI)	1	\$2,500	\$2,500	\$2,150	09/30/2016	
SOU 2015-164(LI)	1	\$2,500	\$2,500	\$2,225	09/30/2016	
SOU 2015-165(LI)	1	\$2,500	\$2,500	\$2,225	09/30/2016	
SOU 2015-166(LI)	1	\$2,500	\$2,500	\$1,925	09/30/2016	
SOU 2015-167(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2016	
SOU 2015-168(FCS)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
SOU 2015-169(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2016	
SOU 2015-170(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
SOU 2015-171(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
SOU 2015-172(SA)	1	\$5,000	\$5,000	\$4,175	09/30/2016	
SOU 2015-173(CC)	1	\$1,000	\$1,000	\$795	09/30/2016	
SOU 2015-174(BW)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
SOU 2015-175(SA)	1	\$2,500	\$2,500	\$2,200	09/30/2016	
SOU 2015-176(CC)	1	\$7,500	\$7,500	\$6,100	09/30/2016	
SOU 2015-177(FCS)	1	\$5,000	\$5,000	\$3,800	09/30/2016	
SOU 2015-179(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
SOU 2015-180(TS)	1	\$5,000	\$5,000	\$4,350	09/30/2016	
SOU 2015-182(SA)	2	\$10,000	\$10,000	\$8,100	09/30/2016	
SOU 2015-183(ROP)	1	\$7,500	\$7,500	\$5,775	09/30/2016	
SOU 2015-184(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
SOU 2015-185(SA)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
SOU 2015-186(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
SOU 2015-187(SA)	1	\$5,000	\$5,000	\$4,050	09/30/2016	
SOU 2015-188(SA)	1	\$5,000	\$5,000	\$4,050	09/30/2016	
SOU 2015-189(ROP)	1	\$7,500	\$7,500	\$5,600	09/30/2016	
SOU 2015-190(TS)	1	\$5,000	\$5,000	\$4,350	09/30/2016	
SOU 2015-191(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2016	
SOU 2015-192(FCS)	1	\$5,000	\$5,000	\$3,800	09/30/2016	
SOU 2015-193(ROP)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
SOU 2015-194(ROP)	2	\$10,000	\$10,000	\$8,000	09/30/2016	
SOU 2015-195(HMT)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
SOU 2015-196(TS)	2	\$2,000	\$2,000	\$1,500	09/30/2016	

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SOU 2015-197(SA)	1	\$5,000	\$5,000	\$3,875	09/30/2016	
SOU 2015-198(SA)	2	\$10,000	\$10,000	\$7,700	09/30/2016	
SOU 2015-199(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
SOU 2015-200(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
SOU 2015-201(SA)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
SOU 2015-202(SA)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
SOU 2015-203(RMM)	1	\$5,000	\$5,000	\$4,250	09/30/2016	
SOU 2015-204(TS)	1	\$5,000	\$5,000	\$4,350	09/30/2016	
SOU 2015-205(HMT)	1	\$2,000	\$2,000	\$1,640	09/30/2016	
SOU 2015-206(HMT)	1	\$5,000	\$5,000	\$4,400	09/30/2016	
SOU 2015-207(RW)	1	\$1,000	\$1,000	\$810	09/30/2016	
SOU 2015-208(LI)	1	\$2,500	\$2,500	\$1,800	09/30/2016	
SOU 2015-209(SA)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
SOU 2015-210(ROP)	1	\$9,500	\$9,500	\$8,000	09/30/2016	
SOU 2015-211(ROP)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
SOU 2015-212(ROP)	1	\$9,500	\$9,500	\$8,000	09/30/2016	
SOU 2015-213(AR)	1	\$2,500	\$2,500	\$1,850	09/30/2016	
SOU 2015-214(AR)	1	\$2,500	\$2,500	\$1,850	09/30/2016	
SOU 2015-215(ROP)	1	\$7,500	\$7,500	\$5,775	09/30/2016	
SOU 2015-216(HMT)	2	\$2,000	\$2,000	\$1,400	09/30/2016	
SOU 2015-217(FCS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
SOU 2015-218(ROP)	1	\$7,500	\$7,500	\$5,775	09/30/2016	
SOU 2015-219(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
SOU 2015-220(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
SOU 2015-221(TS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
SOU 2015-222(TS)	1	\$5,000	\$5,000	\$4,350	09/30/2016	
SOU 2015-223(HMT)	1	\$7,500	\$7,500	\$6,250	09/30/2016	
SOU 2015-224(SI)	1	\$2,500	\$2,500	\$1,625	09/30/2016	
SOU 2015-225(SA)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
SOU 2015-226(SA)	1	\$2,500	\$2,500	\$2,100	09/30/2016	
SOU 2015-227(HMT)	5	\$18,000	\$18,000	\$13,450	09/30/2016	
SOU 2015-228(HMT)	1	\$7,500	\$7,500	\$6,000	09/30/2016	
SOU 2015-229(ROP)	1	\$9,500	\$9,500	\$7,600	09/30/2016	
SOU 2015-230(HMT)	1	\$6,000	\$6,000	\$4,850	09/30/2016	
SOU 2015-231(HMT)	1	\$2,000	\$2,000	\$1,500	09/30/2016	
SOU 2015-232(HMT)	1	\$4,000	\$4,000	\$3,450	09/30/2016	
SOU 2015-233(HMT)	1	\$7,500	\$7,500	\$6,000	09/30/2016	
SOU 2015-234(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
SOU 2015-235(ROP)	1	\$7,500	\$7,500	\$5,775	09/30/2016	
SOU 2015-236(SA)	1	\$5,000	\$5,000	\$3,925	09/30/2016	
SOU 2015-237(SA)	1	\$5,000	\$5,000	\$4,425	09/30/2016	
SOU 2015-238(TS)	1	\$1,000	\$1,000	\$800	09/30/2016	
SOU 2015-239(HMT)	2	\$4,000	\$4,000	\$2,875	09/30/2016	
SOU 2015-240(HMT)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
SOU 2015-241(SA)	1	\$5,000	\$5,000	\$4,050	09/30/2016	
SOU 2015-242(GC)	1	\$5,000	\$5,000	\$4,350	09/30/2016	
SOU 2015-243(TS)	1	\$1,000	\$1,000	\$875	09/30/2016	
SOU 2015-244(TS)	3	\$3,000	\$3,000	\$2,250	09/30/2016	
SOU 2015-245(LI)	1	\$2,500	\$2,500	\$1,800	09/30/2016	

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SOU 2015-246(LI)	1	\$2,500	\$2,500	\$1,925	09/30/2016	
SOU 2015-247(LI)	1	\$2,500	\$2,500	\$1,925	09/30/2016	
SOU 2015-248(LI)	1	\$2,500	\$2,500	\$1,925	09/30/2016	
SOU 2015-249(LI)	1	\$2,000	\$2,000	\$1,630	09/30/2016	
SOU 2015-250(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
SOU 2015-251(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
SOU 2015-252(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
SOU 2015-253(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
SOU 2015-254(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
SOU 2015-255(ROP)	1	\$2,000	\$2,000	\$1,575	09/30/2016	
SOU 2015-256(ROP)	1	\$7,500	\$0	\$0	09/30/2016	Case Terminated.
SOU 2015-257(ROP)	1	\$9,500	\$9,500	\$7,600	09/30/2016	
SOU 2015-258(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2016	
SOU 2015-259(FCS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
SOU 2015-261(FCS)	1	\$5,000	\$5,000	\$3,750	09/30/2016	
SOU 2015-262(LI)	1	\$2,500	\$2,500	\$1,925	09/30/2016	
SOU 2015-263(FCS)	2	\$5,000	\$5,000	\$3,800	09/30/2016	
SOU 2015-264(FCS)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
SOU 2015-265(FCS)	1	\$5,000	\$5,000	\$3,800	09/30/2016	
SOU 2015-266(LI)	1	\$2,500	\$2,500	\$1,925	09/30/2016	
SOU 2015-267(LI)	2	\$5,000	\$5,000	\$3,700	09/30/2016	
SOU 2015-268(SA)	4	\$20,000	\$20,000	\$16,200	09/30/2016	
SOU 2015-269(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2016	
SOU 2015-270(TS)	1	\$2,500	\$2,500	\$2,075	09/30/2016	
SOU 2015-271(AD)	2	\$5,000	\$5,000	\$3,850	09/30/2016	
SOU 2015-272(HMT)	2	\$11,000	\$11,000	\$8,800	09/30/2016	
SOU 2015-273(LI)	1	\$1,500	\$1,500	\$1,175	09/30/2016	
SOU 2015-274(LI)	1	\$2,500	\$2,500	\$1,925	09/30/2016	
SOU 2015-275(LI)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
SOU 2015-276(LI)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
SOU 2015-278(LI)	1	\$5,000	\$5,000	\$4,550	09/30/2016	
SOU 2015-279(LI)	1	\$2,500	\$2,500	\$1,925	09/30/2016	
SOU 2015-280(LI)	1	\$1,500	\$1,500	\$1,100	09/30/2016	
SOU 2015-281(LI)	1	\$1,500	\$1,500	\$1,100	09/30/2016	
SOU 2015-282(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
SOU 2015-283(SA)	2	\$10,000	\$10,000	\$7,700	09/30/2016	
SOU 2015-284(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
SOU 2015-285(SA)	2	\$5,000	\$5,000	\$3,650	09/30/2016	
SOU 2015-286(SA)	1	\$2,500	\$2,500	\$1,925	09/30/2016	
SOU 2015-287(SA)	1	\$2,500	\$2,500	\$1,925	09/30/2016	
SOU 2015-288(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
SOU 2015-289(FCS)	1	\$2,500	\$2,500	\$1,925	09/30/2016	
SOU 2015-290(HMT)	2	\$11,000	\$11,000	\$9,700	09/30/2016	
SOU 2015-291(HMT)	1	\$5,000	\$5,000	\$3,975	09/30/2016	
SOU 2015-292(SA)	1	\$5,000	\$5,000	\$4,300	09/30/2016	
SOU 2015-294(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
SOU 2015-295(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
SOU 2015-296(SI)	1	\$1,000	\$1,000	\$870	09/30/2016	
SOU 2015-297(TS)	5	\$5,000	\$5,000	\$3,500	09/30/2016	

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SOU 2015-298(TS)	1	\$2,500	\$2,500	\$1,800	09/30/2016	
SOU 2015-299(TS)	1	\$5,000	\$5,000	\$4,350	09/30/2016	
SOU 2015-300(TS)	2	\$10,000	\$10,000	\$8,700	09/30/2016	
SOU 2015-301(RW)	1	\$1,000	\$1,000	\$810	09/30/2016	
SOU 2015-302(HS)	1	\$1,000	\$1,000	\$850	09/30/2016	
SOU 2015-303(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
SOU 2015-304(SA)	1	\$5,000	\$5,000	\$4,150	09/30/2016	
SOU 2015-305(SA)	1	\$5,000	\$5,000	\$4,200	09/30/2016	
SOU 2015-306(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
SOU 2015-307(SA)	1	\$5,000	\$5,000	\$3,800	09/30/2016	
SOU 2015-308(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2016	
SOU 2015-309(SA)	1	\$5,000	\$5,000	\$3,800	09/30/2016	
SOU 2015-310(LI)	3	\$6,500	\$6,500	\$4,850	09/30/2016	
SOU 2015-311(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
SOU 2015-312(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
SOU 2015-313(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
SOU 2015-314(FCS)	1	\$2,500	\$2,500	\$1,925	09/30/2016	
SOU 2015-315(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
SOU 2015-316(FCS)	1	\$5,000	\$5,000	\$3,750	09/30/2016	
SOU 2015-317(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
SOU 2015-318(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
SOU 2015-319(HMT)	1	\$6,000	\$6,000	\$5,000	09/30/2016	
SOU 2015-320(SA)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
SOU 2015-321(SI)	1	\$2,500	\$2,500	\$2,100	09/30/2016	
SOU 2015-322(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
SOU 2015-323(SI)	1	\$1,000	\$1,000	\$925	09/30/2016	
SOU 2015-324(ROP)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
SOU 2015-325(GC)	1	\$5,000	\$5,000	\$4,350	09/30/2016	
SOU 2015-326(RW)	3	\$8,500	\$8,500	\$7,910	09/30/2016	
SOU 2015-328(ROP)	1	\$2,000	\$2,000	\$1,500	09/30/2016	
SOU 2015-329(ROP)	1	\$2,000	\$0	\$0	09/30/2016	Case Terminated.
SOU 2015-330(ROP)	1	\$7,500	\$7,500	\$3,750	09/30/2016	
SOU 2015-331(SI)	1	\$2,500	\$2,500	\$2,100	09/30/2016	
SOU 2015-332(ROP)	1	\$5,000	\$5,000	\$3,750	09/30/2016	
SOU 2015-333(SA)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
SOU 2015-334(SA)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
SOU 2015-335(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
SOU 2015-336(SA)	1	\$2,500	\$2,500	\$2,050	09/30/2016	
SOU 2015-337(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
SOU 2015-338(SA)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
SOU 2015-339(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
SOU 2015-340(SA)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
SOU 2015-341(ROP)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
SOU 2015-342(TS)	5	\$12,500	\$12,500	\$9,000	09/30/2016	
SOU 2015-343(SA)	4	\$10,000	\$10,000	\$7,300	09/30/2016	
SOU 2015-345(SA)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
SOU 2015-346(TS)	2	\$15,000	\$15,000	\$12,800	09/30/2016	
SOU 2015-347(HMT)	1	\$4,000	\$4,000	\$3,200	09/30/2016	
SOU 2015-348(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
SOU 2015-349(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2016	
SOU 2015-350(TS)	1	\$3,750	\$3,750	\$2,850	09/30/2016	
SOU 2015-351(TS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
SOU 2015-360(FCS)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
SOU 2015-361(TS)	1	\$5,000	\$5,000	\$4,300	09/30/2016	
SOU 2015-362(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
SOU 2015-363(SA)	1	\$5,000	\$5,000	\$3,800	09/30/2016	
SOU 2015-364(CC)	1	\$1,000	\$1,000	\$795	09/30/2016	
SOU 2015-365(LI)	1	\$2,500	\$2,500	\$1,760	09/30/2016	
SOU 2015-366(TS)	2	\$7,500	\$7,500	\$5,700	09/30/2016	
SOU 2015-367(TS)	1	\$1,000	\$1,000	\$800	09/30/2016	
SOU 2015-368(TS)	1	\$7,500	\$7,500	\$5,900	09/30/2016	
SOU 2015-369(HMT)	1	\$2,000	\$2,000	\$1,350	09/30/2016	
SOU 2015-370(HMT)	1	\$2,500	\$2,500	\$2,500	09/30/2016	
SOU 2015-371(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
SOU 2015-372(FCS)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
SOU 2015-373(GC)	1	\$2,500	\$2,500	\$2,175	09/30/2016	
SOU 2015-374(GC)	1	\$5,000	\$5,000	\$4,350	09/30/2016	
SOU 2015-375(SA)	1	\$5,000	\$5,000	\$3,800	09/30/2016	
SOU 2015-376(ROP)	1	\$7,500	\$7,500	\$5,775	09/30/2016	
SOU 2015-377(ROR)	1	\$9,500	\$9,500	\$7,325	09/30/2016	
SOU 2015-378(SI)	1	\$2,500	\$2,500	\$2,100	09/30/2016	
SOU 2015-379(SA)	2	\$10,000	\$10,000	\$8,200	09/30/2016	
SOU 2015-380(ROP)	1	\$2,000	\$2,000	\$1,500	09/30/2016	
SOU 2015-381(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
SOU 2015-382(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2016	
SOU 2015-383(SA)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
SOU 2015-384(SA)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
SOU 2015-385(SA)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
SOU 2015-386(SA)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
SOU 2015-387(SA)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
SOU 2015-388(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2016	
SOU 2015-389(HMT)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
SOU 2016-1(SA)	1	\$2,500	\$2,500	\$1,850	09/30/2016	
SOU 2016-2(FCS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
SOU 2016-3(ROP)	1	\$3,000	\$3,000	\$2,325	09/30/2016	
SOU 2016-4(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
SOU 2016-5(LI)	1	\$1,000	\$1,000	\$740	09/30/2016	
SOU 2016-6(LI)	1	\$2,500	\$2,500	\$1,925	09/30/2016	
SOU 2016-7(LI)	2	\$5,000	\$5,000	\$3,725	09/30/2016	
SOU 2016-8(LI)	1	\$2,500	\$2,500	\$1,925	09/30/2016	
SOU 2016-9(FCS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
SOU 2016-10(HMT)	1	\$2,500	\$2,500	\$1,800	09/30/2016	
SOU 2016-11(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2016	
SOU 2016-12(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
SOU 2016-13(SA)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
SOU 2016-14(SA)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
SOU 2016-15(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
SOU 2016-16(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	

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SOU 2016-17(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
SOU 2016-18(SA)	1	\$5,000	\$5,000	\$4,300	09/30/2016	
SOU 2016-19(BW)	1	\$2,500	\$2,500	\$2,025	09/30/2016	
SOU 2016-20(TS)	1	\$1,000	\$1,000	\$825	09/30/2016	
SOU 2016-21(TS)	1	\$1,000	\$1,000	\$775	09/30/2016	
SOU 2016-22(TS)	1	\$1,000	\$1,000	\$825	09/30/2016	
SOU 2016-23(HMT)	6	\$15,000	\$15,000	\$10,800	09/30/2016	
SOU 2016-24(HMT)	1	\$2,000	\$2,000	\$1,600	09/30/2016	
SOU 2016-25(TS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
SOU 2016-26(LI)	1	\$2,500	\$2,500	\$1,925	09/30/2016	
SOU 2016-27(GC)	1	\$5,000	\$5,000	\$4,350	09/30/2016	
SOU 2016-28(HMT)	1	\$2,500	\$2,500	\$1,850	09/30/2016	
SOU 2016-29(BW)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
SOU 2016-30(HMT)	1	\$2,000	\$2,000	\$1,600	09/30/2016	
SOU 2016-31(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
SOU 2016-32(TS)	1	\$1,000	\$1,000	\$775	09/30/2016	
SOU 2016-33(TS)	1	\$1,000	\$1,000	\$775	09/30/2016	
SOU 2016-34(TS)	2	\$2,000	\$2,000	\$1,500	09/30/2016	
SOU 2016-35(ROP)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
SOU 2016-36(SA)	1	\$5,000	\$5,000	\$4,200	09/30/2016	
SOU 2016-37(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
SOU 2016-38(TS)	1	\$1,000	\$1,000	\$800	09/30/2016	
SOU 2016-39(RW)	1	\$3,000	\$3,000	\$3,000	09/30/2016	
SOU 2016-40(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
SOU 2016-41(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
SOU 2016-42(HMT)	1	\$2,000	\$2,000	\$1,550	09/30/2016	
SOU 2016-43(AD)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
SOU 2016-44(HMT)	1	\$5,000	\$5,000	\$4,350	09/30/2016	
SOU 2016-45(TS)	3	\$7,500	\$7,500	\$5,850	09/30/2016	
SOU 2016-46(RW)	1	\$3,000	\$3,000	\$2,425	09/30/2016	
SOU 2016-47(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
SOU 2016-48(LI)	1	\$2,500	\$2,500	\$1,800	09/30/2016	
SOU 2016-49(TS)	3	\$11,000	\$11,000	\$9,450	09/30/2016	
SOU 2016-50(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
SOU 2016-51(GC)	1	\$5,000	\$5,000	\$4,350	09/30/2016	
SOU 2016-52(TS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
SOU 2016-53(TS)	1	\$1,000	\$1,000	\$770	09/30/2016	
SOU 2016-54(GC)	1	\$1,000	\$1,000	\$850	09/30/2016	
SOU 2016-55(SI)	1	\$1,000	\$1,000	\$870	09/30/2016	
SOU 2016-56(ROP)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
SOU 2016-57(ROP)	6	\$12,000	\$12,000	\$8,950	09/30/2016	
SOU 2016-58(ROP)	6	\$12,000	\$12,000	\$8,950	09/30/2016	
SOU 2016-59(AR)	1	\$2,500	\$0	\$0	09/30/2016	Case Terminated.
SOU 2016-60(ROP)	1	\$2,000	\$2,000	\$1,500	09/30/2016	
SOU 2016-61(SA)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
SOU 2016-62(ROP)	1	\$7,500	\$7,500	\$5,850	09/30/2016	
SOU 2016-63(ROP)	1	\$7,500	\$7,500	\$5,775	09/30/2016	
SOU 2016-64(FCS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
SOU 2016-66(SA)	1	\$5,000	\$5,000	\$4,100	09/30/2016	

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SOU 2016-67(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
SOU 2016-68(SA)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
SOU 2016-69(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
SOU 2016-70(ROP)	1	\$9,500	\$9,500	\$7,600	09/30/2016	
SOU 2016-71(SA)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
SOU 2016-72(HS)	1	\$1,000	\$1,000	\$795	09/30/2016	
SOU 2016-73(HS)	1	\$1,000	\$1,000	\$795	09/30/2016	
SOU 2016-74(HS)	1	\$1,000	\$1,000	\$810	09/30/2016	
SOU 2016-75(HS)	1	\$1,000	\$1,000	\$810	09/30/2016	
SOU 2016-76(ROP)	1	\$9,500	\$9,500	\$7,600	09/30/2016	
SOU 2016-77(SA)	1	\$5,000	\$5,000	\$4,200	09/30/2016	
SOU 2016-78(TS)	1	\$5,000	\$5,000	\$4,350	09/30/2016	
SOU 2016-79(SI)	1	\$1,000	\$1,000	\$885	09/30/2016	
SOU 2016-80(TS)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
SOU 2016-81(HSR)	1	\$1,000	\$1,000	\$875	09/30/2016	
SOU 2016-83(LI)	1	\$2,500	\$2,500	\$1,800	09/30/2016	
SOU 2016-85(SA)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
SOU 2016-86(SA)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
SOU 2016-87(HS)	1	\$1,000	\$1,000	\$810	09/30/2016	
SOU 2016-89(SA)	1	\$5,000	\$5,000	\$4,200	09/30/2016	
SOU 2016-90(HSR)	1	\$1,000	\$1,000	\$790	09/30/2016	
SOU 2016-91(HSR)	1	\$1,000	\$1,000	\$790	09/30/2016	
SOU 2016-92(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
SOU 2016-93(ROP)	1	\$7,500	\$7,500	\$5,850	09/30/2016	
SOU 2016-94(RMM)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
SOU 2016-96(LI)	1	\$2,500	\$2,500	\$1,925	09/30/2016	
ST 2015-8(SA)	1	\$5,000	\$5,000	\$4,000	09/29/2016	
ST 2015-9(SA)	1	\$5,000	\$5,000	\$4,000	09/29/2016	
ST 2015-10(AR)	1	\$2,500	\$2,500	\$2,000	09/29/2016	
ST 2015-11(AR)	1	\$2,500	\$2,500	\$2,000	09/29/2016	
ST 2015-12(SA)	1	\$5,000	\$5,000	\$4,000	09/29/2016	
ST 2015-13(SA)	1	\$5,000	\$5,000	\$4,000	09/29/2016	
ST 2015-14(SA)	1	\$5,000	\$5,000	\$4,000	09/29/2016	
ST 2016-1(SA)	1	\$5,000	\$5,000	\$4,200	09/29/2016	
ST 2016-2(SA)	1	\$5,000	\$5,000	\$3,950	09/29/2016	
ST 2016-3(SA)	1	\$5,000	\$5,000	\$4,100	09/29/2016	
ST 2016-4(SA)	1	\$5,000	\$5,000	\$4,100	09/29/2016	
ST 2016-5(GC)	1	\$5,000	\$5,000	\$4,200	09/29/2016	
SW 2013-7(EQ)	1	\$1,000	\$1,000	\$650	11/10/2015	
SW 2014-2(ROR)	2	\$15,000	\$15,000	\$10,500	11/10/2015	
SW 2014-12(EQ)	1	\$2,500	\$2,500	\$1,800	11/10/2015	
SW 2014-15(CC)	1	\$2,500	\$2,500	\$1,800	11/10/2015	
SW 2014-16(TS)	7	\$17,500	\$17,500	\$12,600	11/10/2015	
SW 2014-17(ROP)	1	\$7,500	\$7,500	\$5,250	11/10/2015	
SW 2014-19(TS)	6	\$27,500	\$27,500	\$21,800	11/10/2015	
SW 2014-20(TS)	2	\$10,000	\$10,000	\$7,000	11/10/2015	
SW 2014-21(ROP)	1	\$2,000	\$2,000	\$1,600	11/10/2015	
SW 2014-22(TS)	2	\$10,000	\$10,000	\$7,000	11/10/2015	
SW 2014-23(GC)	3	\$7,500	\$7,500	\$5,250	11/10/2015	

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SW 2014-24(ROP)	1	\$2,000	\$2,000	\$1,600	11/10/2015	
SW 2014-25(TS)	1	\$2,500	\$2,500	\$1,800	11/10/2015	
SW 2014-27(AR)	1	\$2,500	\$2,500	\$1,800	11/10/2015	
SW 2014-28(ROP)	1	\$7,500	\$7,500	\$5,250	11/10/2015	
SW 2014-29(ROP)	2	\$15,000	\$15,000	\$10,500	11/10/2015	
SW 2014-30(ROR)	1	\$7,500	\$7,500	\$5,250	11/10/2015	
SW 2014-31(TS)	20	\$50,000	\$50,000	\$37,500	11/10/2015	
SW 2014-32(TS)	6	\$6,000	\$6,000	\$3,900	11/10/2015	
SW 2014-33(TS)	4	\$10,000	\$10,000	\$7,200	11/10/2015	
SW 2014-34(TS)	8	\$14,000	\$14,000	\$9,900	11/10/2015	
SW 2014-35(TS)	13	\$17,500	\$17,500	\$11,000	11/10/2015	
SW 2014-36(LI)	5	\$12,500	\$12,500	\$9,700	11/10/2015	
SW 2014-37(EQ)	5	\$17,000	\$17,000	\$12,400	11/10/2015	
SW 2014-38(RW)	1	\$3,000	\$3,000	\$2,000	11/10/2015	
SW 2014-39(EP)	1	\$1,000	\$1,000	\$650	11/10/2015	
SW 2014-40(EQ)	3	\$11,000	\$11,000	\$7,650	11/10/2015	
SW 2014-41(GC)	5	\$17,500	\$17,500	\$12,400	11/10/2015	
SW 2014-42(EQ)	1	\$2,500	\$2,500	\$1,800	11/10/2015	
SW 2014-43(SA)	2	\$10,000	\$10,000	\$6,000	11/10/2015	
SW 2014-44(CC)	5	\$5,000	\$5,000	\$3,250	11/10/2015	
SW 2014-45(ROP)	2	\$15,000	\$11,250	\$9,950	11/10/2015	Partially Terminated Violation(s): 1.
SW 2014-46(ROP)	1	\$7,500	\$7,500	\$5,250	11/10/2015	
SW 2014-47(EP)	1	\$1,000	\$1,000	\$650	11/10/2015	
SW 2014-48(TS)	2	\$4,000	\$4,000	\$3,200	11/10/2015	
SW 2014-49(GC)	10	\$25,000	\$25,000	\$18,950	11/10/2015	
SW 2014-50(TS)	1	\$2,500	\$2,500	\$1,800	11/10/2015	
SW 2014-51(EQ)	3	\$3,000	\$3,000	\$3,000	11/10/2015	
SW 2014-52(EQ)	3	\$3,000	\$3,000	\$3,000	11/10/2015	
SW 2014-53(ROP)	1	\$7,500	\$3,750	\$3,750	11/10/2015	Partially Terminated Violation(s): 1.
SW 2015-15(ROP)	1	\$7,500	\$7,500	\$5,500	03/18/2016	
SW 2015-16(ROP)	1	\$7,500	\$7,500	\$5,500	03/18/2016	
SW 2015-17(CC)	1	\$2,500	\$2,500	\$1,800	03/18/2016	
SW 2015-18(TS)	4	\$20,000	\$20,000	\$14,000	03/18/2016	
SW 2015-19(AD)	1	\$2,500	\$2,500	\$2,000	03/18/2016	
SW 2015-20(AD)	1	\$2,500	\$2,500	\$2,000	03/18/2016	
SW 2015-21(AD)	1	\$2,500	\$2,500	\$2,000	03/18/2016	
SW 2015-22(AD)	1	\$2,500	\$2,500	\$2,000	03/18/2016	
SW 2015-23(LI)	1	\$2,000	\$2,000	\$1,500	03/18/2016	
SW 2015-24(CC)	1	\$2,500	\$2,500	\$1,500	03/18/2016	
SW 2015-25(CC)	1	\$2,500	\$2,500	\$1,500	03/18/2016	
SW 2015-27(LI)	1	\$2,500	\$2,500	\$1,700	03/18/2016	
SW 2015-28(LI)	1	\$2,500	\$2,500	\$1,700	03/18/2016	
SW 2015-29(LI)	2	\$5,000	\$5,000	\$3,300	03/18/2016	
SW 2015-30(EQ)	1	\$1,000	\$1,000	\$650	03/18/2016	
SW 2015-31(EQ)	1	\$1,000	\$1,000	\$650	03/18/2016	
SW 2015-32(EQ)	1	\$1,000	\$1,000	\$650	03/18/2016	
SW 2015-37(HS)	1	\$1,000	\$1,000	\$650	03/18/2016	
SW 2015-38(HS)	1	\$1,000	\$1,000	\$650	03/18/2016	

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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 2015-39(GC)	1	\$2,500	\$2,500	\$1,650	03/18/2016	
SW 2015-40(CC)	1	\$2,500	\$2,500	\$1,250	03/18/2016	
SW 2015-41(AD)	1	\$10,000	\$0	\$0	03/18/2016	Case Terminated.
SW 2015-42(EQ)	1	\$5,000	\$5,000	\$2,500	03/18/2016	
SW 2015-43(AR)	3	\$7,500	\$7,500	\$3,750	03/18/2016	
SW 2015-44(AR)	8	\$20,000	\$20,000	\$10,000	03/18/2016	
SW 2015-45(GC)	1	\$5,000	\$5,000	\$3,300	03/18/2016	
SW 2015-46(HSR)	1	\$1,000	\$1,000	\$650	03/18/2016	
SW 2015-47(HSR)	1	\$1,000	\$1,000	\$650	03/18/2016	
SW 2015-48(HS)	1	\$1,000	\$0	\$0	03/18/2016	Case Terminated.
SW 2015-49(HS)	1	\$1,000	\$1,000	\$650	03/18/2016	
SW 2016-1(CC)	2	\$5,000	\$5,000	\$2,500	03/18/2016	
TIBR 2015-1(TS)	1	\$5,000	\$5,000	\$3,800	09/26/2016	
TIBR 2015-2(TS)	2	\$3,499	\$3,499	\$2,700	09/26/2016	
TMBL 2013-1(EQ)	1	\$2,500	\$2,500	\$2,050	05/03/2016	
TMBL 2013-2(HMT)	1	\$2,000	\$2,000	\$1,550	05/06/2016	
TMBL 2013-3(TS)	1	\$2,500	\$2,500	\$2,075	05/06/2016	
TMBL 2014-1(SA)	1	\$5,000	\$5,000	\$4,000	05/06/2016	
TMBL 2014-2(SA)	2	\$5,000	\$5,000	\$4,050	05/06/2016	
TMBL 2015-1(ROP)	1	\$7,500	\$7,500	\$5,600	05/06/2016	
TMBL 2015-2(SA)	1	\$5,000	\$5,000	\$4,000	05/06/2016	
TMBL 2015-3(SA)	1	\$5,000	\$5,000	\$3,950	05/06/2016	
TMBL 2015-4(SA)	1	\$5,000	\$5,000	\$4,000	05/06/2016	
TMBL 2015-5(EQ)	1	\$5,000	\$5,000	\$4,050	05/06/2016	
TMBL 2015-6(SA)	1	\$5,000	\$5,000	\$3,900	05/06/2016	
TNMR 2015-6(AD)	1	\$2,500	\$2,500	\$1,625	03/18/2016	
TNMR 2015-7(AD)	1	\$5,000	\$5,000	\$3,250	03/18/2016	
TNMR 2015-8(AD)	1	\$2,500	\$2,500	\$1,625	03/18/2016	
TNMR 2015-9(AD)	1	\$5,000	\$5,000	\$3,250	03/18/2016	
TNMR 2015-10(AD)	1	\$5,000	\$5,000	\$3,250	03/18/2016	
TNMR 2015-11(AD)	1	\$5,000	\$5,000	\$3,250	03/18/2016	
TNMR 2015-12(AD)	1	\$5,000	\$5,000	\$3,250	03/18/2016	
TNMR 2016-1(AR)	3	\$7,500	\$7,500	\$4,500	03/18/2016	
TNMR 2016-2(AR)	2	\$5,000	\$5,000	\$3,000	03/28/2016	
TNMR 2016-3(AR)	1	\$2,500	\$2,500	\$1,500	03/18/2016	
TNMR 2016-4(AR)	1	\$2,500	\$2,500	\$1,500	03/18/2016	
TNMR 2016-5(AR)	1	\$2,500	\$2,500	\$1,500	03/18/2016	
TNMR 2016-6(AR)	1	\$2,500	\$2,500	\$1,500	03/18/2016	
TNMR 2016-7(AR)	1	\$2,500	\$2,500	\$1,500	03/18/2016	
TNMR 2016-8(AR)	1	\$2,500	\$2,500	\$1,500	03/18/2016	
TNMR 2016-9(AR)	1	\$2,500	\$2,500	\$1,500	03/18/2016	
TNMR 2016-10(AR)	1	\$2,500	\$2,500	\$1,500	03/18/2016	
TNMR 2016-11(AR)	1	\$2,500	\$2,500	\$1,500	03/18/2016	
TNMR 2016-12(AR)	1	\$2,500	\$2,500	\$1,500	03/18/2016	
TNMR 2016-13(AR)	1	\$2,500	\$2,500	\$1,500	03/18/2016	
TNMR 2016-14(AR)	1	\$2,500	\$2,500	\$1,500	03/18/2016	
TNMR 2016-15(AR)	1	\$2,500	\$2,500	\$1,500	03/18/2016	
TNMR 2016-16(AR)	1	\$2,500	\$2,500	\$1,500	03/18/2016	
TRMW 2014-1(SA)	1	\$5,000	\$5,000	\$4,000	05/06/2016	

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TRRA 2015-1(ROP)	1	\$7,500	\$7,500	\$6,700	02/04/2016	
TRRA 2015-5(SI)	2	\$2,000	\$2,000	\$1,700	02/04/2016	
TRRA 2015-6(ROP)	1	\$5,000	\$5,000	\$3,800	02/04/2016	
TTR 2016-1(GC)	1	\$1,000	\$1,000	\$780	09/27/2016	
TXN 2015-1(AD)	3	\$6,000	\$6,000	\$4,750	09/26/2016	
TXPF 2014-6(AD)	4	\$11,000	\$11,000	\$8,750	04/12/2016	
TXPF 2014-7(TS)	3	\$3,000	\$3,000	\$2,400	04/12/2016	
TXPF 2014-8(RW)	2	\$6,000	\$6,000	\$4,800	04/12/2016	
TXPF 2014-11(TS)	9	\$32,500	\$32,500	\$25,600	04/12/2016	
UFRC 2015-1(RW)	1	\$3,000	\$3,000	\$2,500	04/01/2016	
UFRC 2015-2(ROP)	1	\$7,500	\$7,500	\$5,300	04/01/2016	
UP 2014-195(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2014-256(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2014-847(TS)	22	\$22,000	\$22,000	\$17,250	09/30/2016	
UP 2014-1017(TS)	26	\$65,000	\$65,000	\$51,000	09/30/2016	
UP 2015-84(RW)	1	\$2,000	\$2,000	\$2,000	09/30/2016	
UP 2015-103(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-127(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2015-130(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-149(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-154(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-159(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-164(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2015-173(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2015-176(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2015-177(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-178(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-179(SI)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
UP 2015-180(SI)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
UP 2015-181(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-182(TS)	1	\$1,000	\$1,000	\$780	09/30/2016	
UP 2015-183(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-184(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-185(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-186(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-187(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2015-188(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2015-189(EP)	1	\$1,000	\$1,000	\$775	09/30/2016	
UP 2015-190(EP)	1	\$1,000	\$1,000	\$775	09/30/2016	
UP 2015-191(LI)	1	\$2,500	\$2,500	\$1,955	09/30/2016	
UP 2015-192(LI)	1	\$2,500	\$2,500	\$1,955	09/30/2016	
UP 2015-193(LI)	1	\$2,500	\$2,500	\$1,955	09/30/2016	
UP 2015-194(EP)	1	\$1,000	\$1,000	\$775	09/30/2016	
UP 2015-195(FCS)	1	\$1,000	\$1,000	\$765	09/30/2016	
UP 2015-196(FCS)	1	\$2,500	\$2,500	\$1,912	09/30/2016	
UP 2015-197(FCS)	1	\$5,000	\$5,000	\$3,910	09/30/2016	
UP 2015-198(FCS)	1	\$5,000	\$5,000	\$3,612	09/30/2016	
UP 2015-199(FCS)	1	\$5,000	\$5,000	\$3,910	09/30/2016	
UP 2015-200(ROP)	1	\$5,000	\$5,000	\$4,050	09/30/2016	

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UP 2015-201(ROP)	1	\$9,500	\$9,500	\$7,500	09/30/2016	
UP 2015-202(LI)	1	\$2,500	\$2,500	\$1,955	09/30/2016	
UP 2015-203(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-204(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2015-205(FCS)	1	\$2,500	\$0	\$0	09/30/2016	Case Terminated.
UP 2015-206(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2015-207(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2015-209(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-210(LI)	2	\$5,000	\$5,000	\$3,910	09/30/2016	
UP 2015-211(TS)	2	\$2,000	\$2,000	\$1,575	09/30/2016	
UP 2015-212(TS)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2015-213(LI)	1	\$1,500	\$1,500	\$1,275	09/30/2016	
UP 2015-214(LI)	1	\$2,500	\$2,500	\$2,125	09/30/2016	
UP 2015-215(LI)	1	\$2,500	\$2,500	\$1,955	09/30/2016	
UP 2015-216(LI)	1	\$2,500	\$2,500	\$1,955	09/30/2016	
UP 2015-217(ROP)	1	\$9,500	\$9,500	\$7,100	09/30/2016	
UP 2015-218(ROP)	1	\$7,500	\$7,500	\$5,675	09/30/2016	
UP 2015-219(ROP)	1	\$7,500	\$2,000	\$1,590	09/30/2016	Partially Terminated Violation(s): 1.
UP 2015-220(ROP)	1	\$2,500	\$2,000	\$1,590	09/30/2016	Partially Terminated Violation(s): 1.
UP 2015-221(ROP)	1	\$7,500	\$7,500	\$5,675	09/30/2016	
UP 2015-222(ROP)	2	\$4,000	\$4,000	\$3,100	09/30/2016	
UP 2015-223(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2015-224(SA)	1	\$5,000	\$5,000	\$3,925	09/30/2016	
UP 2015-225(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2015-226(SI)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
UP 2015-227(RW)	1	\$3,000	\$3,000	\$2,300	09/30/2016	
UP 2015-229(TS)	1	\$1,000	\$1,000	\$800	09/30/2016	
UP 2015-230(TS)	2	\$7,500	\$7,500	\$5,850	09/30/2016	
UP 2015-231(TS)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2015-232(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-233(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-234(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-235(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-236(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-237(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2015-238(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-239(ROP)	1	\$7,500	\$7,500	\$6,000	09/30/2016	
UP 2015-240(SA)	1	\$2,500	\$2,500	\$1,955	09/30/2016	
UP 2015-241(SA)	2	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2015-242(HSR)	1	\$1,000	\$1,000	\$765	09/30/2016	
UP 2015-243(HSR)	2	\$2,000	\$2,000	\$1,530	09/30/2016	
UP 2015-245(SI)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
UP 2015-246(TS)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2015-247(TS)	2	\$2,000	\$2,000	\$1,575	09/30/2016	
UP 2015-248(GC)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2015-250(LI)	1	\$2,500	\$2,500	\$1,955	09/30/2016	
UP 2015-251(LI)	1	\$5,000	\$5,000	\$4,500	09/30/2016	
UP 2015-252(LI)	1	\$2,500	\$2,500	\$1,700	09/30/2016	

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UP 2015-253(EP)	7	\$7,000	\$7,000	\$5,450	09/30/2016	
UP 2015-254(TS)	5	\$5,000	\$5,000	\$3,925	09/30/2016	
UP 2015-255(FCS)	1	\$2,500	\$2,500	\$2,125	09/30/2016	
UP 2015-256(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2015-257(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2015-258(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-259(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-260(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-262(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-263(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-264(SA)	1	\$5,000	\$5,000	\$3,895	09/30/2016	
UP 2015-265(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-268(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-269(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-270(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-271(ROP)	1	\$9,500	\$9,500	\$7,100	09/30/2016	
UP 2015-272(RSP)	1	\$9,500	\$9,500	\$7,500	09/30/2016	
UP 2015-273(ROP)	1	\$7,500	\$7,500	\$5,675	09/30/2016	
UP 2015-274(ROP)	1	\$7,500	\$7,500	\$5,675	09/30/2016	
UP 2015-276(TS)	2	\$2,000	\$2,000	\$1,575	09/30/2016	
UP 2015-277(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-278(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-280(TS)	11	\$32,500	\$32,500	\$25,500	09/30/2016	
UP 2015-281(TS)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2015-282(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-283(LI)	1	\$2,500	\$2,500	\$1,700	09/30/2016	
UP 2015-284(TS)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2015-286(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-287(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-288(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-289(ROP)	1	\$7,500	\$7,500	\$5,850	09/30/2016	
UP 2015-290(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2015-292(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2015-293(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-294(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2015-295(FCS)	1	\$5,000	\$5,000	\$3,740	09/30/2016	
UP 2015-296(TS)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2015-298(SA)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
UP 2015-299(SA)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
UP 2015-300(HSR)	1	\$1,000	\$1,000	\$850	09/30/2016	
UP 2015-301(SI)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
UP 2015-302(SI)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
UP 2015-304(SI)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
UP 2015-305(SI)	1	\$1,000	\$1,000	\$800	09/30/2016	
UP 2015-306(SA)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
UP 2015-307(SA)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
UP 2015-309(HS)	3	\$3,000	\$3,000	\$2,040	09/30/2016	
UP 2015-310(LI)	1	\$1,500	\$1,500	\$1,150	09/30/2016	
UP 2015-311(EP)	1	\$1,000	\$1,000	\$775	09/30/2016	

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UP 2015-312(LI)	1	\$2,000	\$2,000	\$1,550	09/30/2016	
UP 2015-313(SI)	1	\$2,500	\$2,500	\$2,050	09/30/2016	
UP 2015-315(FCS)	1	\$2,500	\$2,500	\$1,912	09/30/2016	
UP 2015-316(HMT)	1	\$6,000	\$6,000	\$4,685	09/30/2016	
UP 2015-317(SA)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
UP 2015-318(SA)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
UP 2015-319(ROP)	1	\$7,500	\$2,000	\$1,590	09/30/2016	Partially Terminated Violation(s): 1.
UP 2015-321(AR)	1	\$2,500	\$2,500	\$1,930	09/30/2016	
UP 2015-322(TS)	4	\$4,000	\$4,000	\$3,125	09/30/2016	
UP 2015-323(TH)	1	\$5,000	\$5,000	\$4,050	09/30/2016	
UP 2015-324(SA)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
UP 2015-325(SA)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
UP 2015-327(SA)	1	\$2,500	\$2,500	\$2,050	09/30/2016	
UP 2015-328(SA)	1	\$10,000	\$10,000	\$7,900	09/30/2016	
UP 2015-329(TS)	1	\$1,000	\$1,000	\$785	09/30/2016	
UP 2015-330(LI)	1	\$2,500	\$2,500	\$1,955	09/30/2016	
UP 2015-331(FCS)	1	\$5,000	\$5,000	\$3,740	09/30/2016	
UP 2015-333(ROP)	1	\$7,500	\$7,500	\$5,675	09/30/2016	
UP 2015-334(SA)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
UP 2015-335(SA)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
UP 2015-336(SA)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
UP 2015-337(SA)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
UP 2015-339(SA)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
UP 2015-340(SA)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
UP 2015-341(SA)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
UP 2015-342(SA)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
UP 2015-343(SA)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
UP 2015-345(SA)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
UP 2015-346(SA)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
UP 2015-347(SA)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
UP 2015-348(SA)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
UP 2015-349(SA)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
UP 2015-351(TS)	31	\$35,500	\$35,500	\$28,000	09/30/2016	
UP 2015-352(TS)	6	\$15,000	\$15,000	\$11,625	09/30/2016	
UP 2015-353(TS)	3	\$6,000	\$6,000	\$4,650	09/30/2016	
UP 2015-354(TS)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
UP 2015-355(TS)	2	\$10,000	\$10,000	\$8,000	09/30/2016	
UP 2015-356(SA)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
UP 2015-357(SA)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
UP 2015-358(SA)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
UP 2015-359(SA)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
UP 2015-360(SA)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
UP 2015-361(SA)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
UP 2015-363(FCS)	5	\$10,000	\$10,000	\$7,862	09/30/2016	
UP 2015-364(SA)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
UP 2015-365(SA)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
UP 2015-366(SA)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
UP 2015-367(SA)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
UP 2015-369(SA)	1	\$2,500	\$2,500	\$1,975	09/30/2016	

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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 2015-370(HMT)	1	\$2,000	\$2,000	\$1,560	09/30/2016	
UP 2015-371(GC)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2015-372(TS)	9	\$9,000	\$9,000	\$7,000	09/30/2016	
UP 2015-373(TS)	2	\$5,000	\$5,000	\$4,000	09/30/2016	
UP 2015-375(FCS)	1	\$5,000	\$5,000	\$3,825	09/30/2016	
UP 2015-376(FCS)	1	\$2,500	\$2,500	\$1,870	09/30/2016	
UP 2015-377(EP)	1	\$1,000	\$1,000	\$775	09/30/2016	
UP 2015-378(LI)	1	\$1,500	\$1,500	\$1,150	09/30/2016	
UP 2015-379(LI)	1	\$2,500	\$2,500	\$1,955	09/30/2016	
UP 2015-380(HMT)	2	\$10,000	\$10,000	\$7,800	09/30/2016	
UP 2015-381(SA)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
UP 2015-382(SA)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
UP 2015-383(ROP)	1	\$7,500	\$7,500	\$6,375	09/30/2016	
UP 2015-384(ROP)	1	\$9,500	\$9,500	\$7,225	09/30/2016	
UP 2015-385(ROP)	4	\$30,000	\$8,000	\$6,800	09/30/2016	Partially Terminated Violation(s): 1, 2, 3, 4.
UP 2015-387(ROP)	1	\$7,500	\$2,000	\$1,700	09/30/2016	Partially Terminated Violation(s): 1.
UP 2015-388(ROP)	1	\$2,000	\$2,000	\$1,572	09/30/2016	
UP 2015-389(SA)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
UP 2015-390(SI)	1	\$1,000	\$1,000	\$825	09/30/2016	
UP 2015-391(AR)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
UP 2015-393(SI)	1	\$2,500	\$1,000	\$850	09/30/2016	Partially Terminated Violation(s): 1.
UP 2015-394(ROP)	1	\$7,500	\$7,500	\$5,525	09/30/2016	
UP 2015-395(ROP)	1	\$2,500	\$2,000	\$1,700	09/30/2016	Partially Terminated Violation(s): 1.
UP 2015-396(AR)	1	\$2,500	\$2,500	\$1,325	09/30/2016	
UP 2015-399(ROP)	1	\$7,500	\$2,000	\$1,700	09/30/2016	Partially Terminated Violation(s): 1.
UP 2015-400(HSR)	1	\$1,000	\$1,000	\$800	09/30/2016	
UP 2015-401(SI)	1	\$2,500	\$2,500	\$2,050	09/30/2016	
UP 2015-402(ROP)	1	\$5,000	\$5,000	\$4,037	09/30/2016	
UP 2015-403(ROP)	1	\$5,000	\$5,000	\$3,825	09/30/2016	
UP 2015-405(ROP)	1	\$5,000	\$5,000	\$4,037	09/30/2016	
UP 2015-406(ROP)	2	\$15,000	\$15,000	\$11,475	09/30/2016	
UP 2015-407(ROP)	1	\$7,500	\$7,500	\$5,950	09/30/2016	
UP 2015-408(ROP)	1	\$2,000	\$2,000	\$1,487	09/30/2016	
UP 2015-409(FCS)	1	\$5,000	\$5,000	\$3,825	09/30/2016	
UP 2015-411(TS)	2	\$10,000	\$10,000	\$7,950	09/30/2016	
UP 2015-412(TS)	2	\$7,500	\$7,500	\$6,000	09/30/2016	
UP 2015-413(LI)	1	\$2,500	\$2,500	\$1,955	09/30/2016	
UP 2015-414(LI)	1	\$2,000	\$2,000	\$1,530	09/30/2016	
UP 2015-415(LI)	1	\$2,500	\$2,500	\$1,955	09/30/2016	
UP 2015-417(TS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
UP 2015-418(TS)	2	\$5,000	\$5,000	\$4,000	09/30/2016	
UP 2015-419(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
UP 2015-420(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
UP 2015-421(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
UP 2015-423(LI)	1	\$2,500	\$2,500	\$1,997	09/30/2016	
UP 2015-424(LI)	2	\$5,000	\$5,000	\$4,250	09/30/2016	

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UP 2015-425(LI)	4	\$10,000	\$10,000	\$7,600	09/30/2016	
UP 2015-426(LI)	1	\$2,500	\$2,500	\$1,997	09/30/2016	
UP 2015-427(TS)	15	\$15,000	\$15,000	\$11,850	09/30/2016	
UP 2015-429(TS)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
UP 2015-430(TS)	2	\$2,000	\$2,000	\$1,580	09/30/2016	
UP 2015-431(RW)	1	\$3,000	\$3,000	\$2,300	09/30/2016	
UP 2015-432(ROP)	1	\$5,000	\$5,000	\$3,782	09/30/2016	
UP 2015-433(HMT)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2015-435(SA)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
UP 2015-436(SA)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
UP 2015-437(SA)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
UP 2015-438(SA)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
UP 2015-439(SA)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
UP 2015-441(SA)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
UP 2015-442(SA)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
UP 2015-443(SA)	3	\$7,500	\$5,000	\$4,250	09/30/2016	Partially Terminated Violation(s): 2.
UP 2015-444(SA)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
UP 2015-445(SA)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
UP 2015-446(HMT)	1	\$2,000	\$2,000	\$1,560	09/30/2016	
UP 2015-447(SA)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
UP 2015-449(LI)	1	\$2,500	\$2,500	\$1,850	09/30/2016	
UP 2015-451(TS)	24	\$60,000	\$60,000	\$46,800	09/30/2016	
UP 2015-453(HMT)	2	\$10,500	\$10,500	\$8,250	09/30/2016	
UP 2015-454(HMT)	1	\$4,000	\$4,000	\$3,125	09/30/2016	
UP 2015-456(FCS)	1	\$5,000	\$5,000	\$3,740	09/30/2016	
UP 2015-457(FCS)	1	\$5,000	\$5,000	\$3,740	09/30/2016	
UP 2015-458(FCS)	1	\$5,000	\$5,000	\$3,825	09/30/2016	
UP 2015-459(FCS)	1	\$5,000	\$5,000	\$3,825	09/30/2016	
UP 2015-460(FCS)	1	\$2,500	\$2,500	\$1,997	09/30/2016	
UP 2015-461(FCS)	1	\$2,500	\$2,500	\$1,912	09/30/2016	
UP 2015-462(FCS)	1	\$5,000	\$5,000	\$4,037	09/30/2016	
UP 2015-463(FCS)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
UP 2015-464(FCS)	1	\$5,000	\$5,000	\$3,720	09/30/2016	
UP 2015-465(FCS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
UP 2015-466(FCS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
UP 2015-467(FCS)	1	\$5,000	\$5,000	\$3,720	09/30/2016	
UP 2015-468(FCS)	1	\$5,000	\$5,000	\$3,720	09/30/2016	
UP 2015-469(FCS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
UP 2015-471(FCS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
UP 2015-472(FCS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
UP 2015-474(FCS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
UP 2015-475(FCS)	1	\$5,000	\$5,000	\$3,720	09/30/2016	
UP 2015-476(FCS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
UP 2015-477(FCS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
UP 2015-478(FCS)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
UP 2015-479(FCS)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
UP 2015-480(FCS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
UP 2015-481(FCS)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
UP 2015-483(FCS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	

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UP 2015-484(FCS)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
UP 2015-485(ROP)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2015-486(GC)	1	\$5,000	\$5,000	\$3,600	09/30/2016	
UP 2015-487(GC)	1	\$5,000	\$5,000	\$3,600	09/30/2016	
UP 2015-489(LI)	1	\$1,500	\$1,500	\$1,105	09/30/2016	
UP 2015-490(SA)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
UP 2015-491(SA)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
UP 2015-492(SA)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
UP 2015-493(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2015-494(SA)	1	\$5,000	\$5,000	\$4,350	09/30/2016	
UP 2015-495(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-496(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-497(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2015-498(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-499(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2015-500(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-501(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2015-502(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2015-503(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2015-504(HMT)	1	\$3,000	\$3,000	\$2,350	09/30/2016	
UP 2015-505(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2015-507(FCS)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
UP 2015-508(TS)	1	\$1,000	\$1,000	\$800	09/30/2016	
UP 2015-509(TS)	2	\$7,500	\$7,500	\$6,000	09/30/2016	
UP 2015-510(TS)	4	\$17,500	\$17,500	\$14,000	09/30/2016	
UP 2015-511(GC)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2015-513(LI)	1	\$1,500	\$1,500	\$1,147	09/30/2016	
UP 2015-515(TS)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
UP 2015-516(TS)	4	\$4,000	\$4,000	\$3,160	09/30/2016	
UP 2015-517(TS)	1	\$1,000	\$1,000	\$825	09/30/2016	
UP 2015-519(TS)	6	\$6,000	\$6,000	\$4,750	09/30/2016	
UP 2015-520(TS)	4	\$4,000	\$4,000	\$3,160	09/30/2016	
UP 2015-521(TS)	1	\$1,000	\$1,000	\$810	09/30/2016	
UP 2015-522(TS)	2	\$2,000	\$2,000	\$1,540	09/30/2016	
UP 2015-523(TS)	1	\$1,000	\$1,000	\$680	09/30/2016	
UP 2015-525(TS)	3	\$3,000	\$3,000	\$2,140	09/30/2016	
UP 2015-526(TS)	3	\$10,000	\$10,000	\$8,600	09/30/2016	
UP 2015-528(FCS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
UP 2015-529(FCS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-530(FCS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-531(FCS)	1	\$5,000	\$5,000	\$3,895	09/30/2016	
UP 2015-532(FCS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-533(FCS)	3	\$7,500	\$2,500	\$2,125	09/30/2016	Partially Terminated Violation(s): 1.
UP 2015-534(FCS)	1	\$5,000	\$5,000	\$3,895	09/30/2016	
UP 2015-535(FCS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-536(ROP)	1	\$7,500	\$7,500	\$5,855	09/30/2016	
UP 2015-537(LI)	1	\$1,500	\$1,500	\$1,147	09/30/2016	
UP 2015-539(TS)	1	\$1,000	\$1,000	\$765	09/30/2016	
UP 2015-540(ROP)	1	\$9,500	\$9,500	\$7,425	09/30/2016	

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UP 2015-541(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-542(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2016	
UP 2015-543(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-544(SA)	2	\$10,000	\$10,000	\$8,300	09/30/2016	
UP 2015-545(SA)	8	\$25,000	\$25,000	\$17,500	09/30/2016	
UP 2015-546(FCS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-547(FCS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-548(FCS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-549(SI)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
UP 2015-550(SI)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
UP 2015-551(SI)	1	\$1,000	\$1,000	\$800	09/30/2016	
UP 2015-552(SI)	1	\$1,000	\$1,000	\$800	09/30/2016	
UP 2015-553(FCS)	1	\$5,000	\$5,000	\$3,895	09/30/2016	
UP 2015-554(FCS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-555(LI)	1	\$1,000	\$1,000	\$850	09/30/2016	
UP 2015-556(GC)	1	\$5,000	\$5,000	\$4,500	09/30/2016	
UP 2015-557(LI)	1	\$2,500	\$2,500	\$1,700	09/30/2016	
UP 2015-558(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2016	
UP 2015-559(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2016	
UP 2015-560(FCS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-561(FCS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-562(FCS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-563(ROP)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2015-564(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2016	
UP 2015-565(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2016	
UP 2015-566(SA)	1	\$2,500	\$2,500	\$2,200	09/30/2016	
UP 2015-567(SA)	1	\$5,000	\$5,000	\$4,200	09/30/2016	
UP 2015-568(TS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
UP 2015-569(TS)	2	\$7,500	\$7,500	\$6,050	09/30/2016	
UP 2015-570(TS)	2	\$7,500	\$7,500	\$6,050	09/30/2016	
UP 2015-571(RMM)	1	\$5,000	\$5,000	\$3,500	09/30/2016	
UP 2015-572(TS)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
UP 2015-573(TS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
UP 2015-574(SI)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
UP 2015-575(SI)	1	\$1,000	\$1,000	\$825	09/30/2016	
UP 2015-576(FCS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-577(FCS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-578(FCS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-579(FCS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-580(FCS)	1	\$5,000	\$5,000	\$3,895	09/30/2016	
UP 2015-581(FCS)	1	\$5,000	\$5,000	\$3,895	09/30/2016	
UP 2015-582(FCS)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2015-583(FCS)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2015-584(FCS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-585(FCS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-586(FCS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-587(FCS)	1	\$5,000	\$5,000	\$3,612	09/30/2016	
UP 2015-589(EP)	1	\$1,000	\$0	\$0	09/30/2016	Case Terminated.
UP 2015-590(EP)	1	\$1,000	\$0	\$0	09/30/2016	Case Terminated.

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UP 2015-591(EP)	1	\$1,000	\$0	\$0	09/30/2016	Case Terminated.
UP 2015-592(EP)	1	\$1,000	\$0	\$0	09/30/2016	Case Terminated.
UP 2015-594(EP)	1	\$1,000	\$0	\$0	09/30/2016	Case Terminated.
UP 2015-595(EP)	1	\$1,000	\$0	\$0	09/30/2016	Case Terminated.
UP 2015-596(LI)	1	\$5,000	\$5,000	\$4,250	09/30/2016	
UP 2015-597(TS)	3	\$15,000	\$15,000	\$12,000	09/30/2016	
UP 2015-598(TS)	4	\$16,000	\$16,000	\$13,000	09/30/2016	
UP 2015-599(TS)	1	\$1,000	\$1,000	\$765	09/30/2016	
UP 2015-600(TS)	2	\$5,000	\$5,000	\$4,100	09/30/2016	
UP 2015-601(TS)	1	\$1,000	\$1,000	\$680	09/30/2016	
UP 2015-602(TS)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
UP 2015-603(SA)	1	\$5,000	\$5,000	\$4,400	09/30/2016	
UP 2015-604(SA)	1	\$2,500	\$2,500	\$2,200	09/30/2016	
UP 2015-605(SA)	1	\$5,000	\$5,000	\$4,400	09/30/2016	
UP 2015-606(SA)	1	\$5,000	\$5,000	\$4,400	09/30/2016	
UP 2015-607(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2015-608(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-609(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2016	
UP 2015-610(SA)	1	\$5,000	\$5,000	\$3,600	09/30/2016	
UP 2015-611(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2016	
UP 2015-612(SA)	1	\$2,500	\$2,500	\$2,200	09/30/2016	
UP 2015-613(SA)	1	\$2,500	\$2,500	\$2,200	09/30/2016	
UP 2015-614(SA)	1	\$2,500	\$2,500	\$2,200	09/30/2016	
UP 2015-615(SA)	1	\$2,500	\$2,500	\$2,200	09/30/2016	
UP 2015-616(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-617(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-618(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-619(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2015-620(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2016	
UP 2015-621(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2016	
UP 2015-622(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2015-623(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2015-624(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2015-625(TS)	1	\$5,000	\$5,000	\$4,100	09/30/2016	
UP 2015-626(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2016	
UP 2015-627(TS)	2	\$3,500	\$3,500	\$2,900	09/30/2016	
UP 2015-628(LI)	1	\$2,500	\$2,500	\$1,955	09/30/2016	
UP 2015-629(FCS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-631(FCS)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2015-632(GC)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2015-633(SA)	1	\$2,500	\$2,500	\$2,200	09/30/2016	
UP 2015-634(SA)	1	\$2,500	\$2,500	\$2,200	09/30/2016	
UP 2015-635(TS)	1	\$2,000	\$2,000	\$1,600	09/30/2016	
UP 2015-636(TS)	1	\$1,000	\$1,000	\$800	09/30/2016	
UP 2015-637(TS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
UP 2015-638(TS)	1	\$1,000	\$1,000	\$800	09/30/2016	
UP 2015-639(TS)	1	\$1,000	\$1,000	\$680	09/30/2016	
UP 2015-641(TS)	2	\$2,000	\$2,000	\$1,360	09/30/2016	
UP 2015-642(TS)	2	\$7,500	\$7,500	\$6,100	09/30/2016	

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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 2015-643(TS)	2	\$2,000	\$2,000	\$1,600	09/30/2016	
UP 2015-644(TS)	2	\$2,000	\$2,000	\$1,500	09/30/2016	
UP 2015-645(TS)	6	\$6,000	\$0	\$0	09/30/2016	Case Terminated.
UP 2015-646(TS)	4	\$4,000	\$4,000	\$2,990	09/30/2016	
UP 2015-647(TS)	12	\$12,000	\$12,000	\$9,000	09/30/2016	
UP 2015-649(HS)	1	\$1,000	\$1,000	\$705	09/30/2016	
UP 2015-650(HS)	2	\$2,000	\$2,000	\$1,510	09/30/2016	
UP 2015-651(HS)	1	\$1,000	\$1,000	\$755	09/30/2016	
UP 2015-653(SA)	1	\$5,000	\$5,000	\$4,400	09/30/2016	
UP 2015-654(SA)	1	\$2,500	\$2,500	\$2,200	09/30/2016	
UP 2015-655(FCS)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2015-656(ROP)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2015-657(ROP)	1	\$7,500	\$2,000	\$1,800	09/30/2016	Partially Terminated Violation(s): 1.
UP 2015-658(ROP)	1	\$2,000	\$2,000	\$1,560	09/30/2016	
UP 2015-659(ROP)	1	\$2,000	\$2,000	\$1,560	09/30/2016	
UP 2015-660(SA)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
UP 2015-661(FCS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-662(LI)	1	\$2,500	\$2,500	\$2,040	09/30/2016	
UP 2015-663(FCS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-664(FCS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-665(ROP)	1	\$2,000	\$2,000	\$1,560	09/30/2016	
UP 2015-666(LI)	1	\$1,500	\$1,500	\$1,105	09/30/2016	
UP 2015-667(TH)	1	\$5,000	\$5,000	\$4,050	09/30/2016	
UP 2015-668(TS)	1	\$5,000	\$5,000	\$3,920	09/30/2016	
UP 2015-669(LI)	1	\$1,000	\$1,000	\$765	09/30/2016	
UP 2015-670(TS)	1	\$5,000	\$5,000	\$3,920	09/30/2016	
UP 2015-671(SA)	1	\$5,000	\$5,000	\$3,825	09/30/2016	
UP 2015-672(SA)	1	\$5,000	\$5,000	\$3,825	09/30/2016	
UP 2015-673(SA)	1	\$5,000	\$5,000	\$3,952	09/30/2016	
UP 2015-674(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2016	
UP 2015-675(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2016	
UP 2015-676(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2016	
UP 2015-677(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2016	
UP 2015-678(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2016	
UP 2015-679(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2016	
UP 2015-680(SA)	1	\$5,000	\$5,000	\$3,800	09/30/2016	
UP 2015-681(SA)	1	\$5,000	\$5,000	\$4,165	09/30/2016	
UP 2015-682(SA)	1	\$2,500	\$2,500	\$1,912	09/30/2016	
UP 2015-683(SA)	1	\$2,500	\$2,500	\$1,955	09/30/2016	
UP 2015-684(SA)	1	\$5,000	\$5,000	\$3,825	09/30/2016	
UP 2015-685(SA)	1	\$5,000	\$5,000	\$3,740	09/30/2016	
UP 2015-686(SA)	1	\$5,000	\$5,000	\$3,740	09/30/2016	
UP 2015-687(SA)	1	\$5,000	\$5,000	\$4,250	09/30/2016	
UP 2015-688(SA)	1	\$5,000	\$5,000	\$3,825	09/30/2016	
UP 2015-689(SA)	1	\$2,500	\$2,500	\$1,870	09/30/2016	
UP 2015-690(SA)	1	\$5,000	\$5,000	\$3,782	09/30/2016	
UP 2015-691(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2016	
UP 2015-692(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2016	
UP 2015-693(FCS)	1	\$2,500	\$2,500	\$2,200	09/30/2016	

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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 2015-694(FCS)	1	\$2,500	\$2,500	\$2,200	09/30/2016	
UP 2015-695(FCS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-696(FCS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-697(FCS)	1	\$2,500	\$2,500	\$2,200	09/30/2016	
UP 2015-699(SA)	1	\$5,000	\$5,000	\$3,825	09/30/2016	
UP 2015-701(LI)	1	\$2,500	\$2,500	\$1,870	09/30/2016	
UP 2015-702(SA)	1	\$2,500	\$2,500	\$2,125	09/30/2016	
UP 2015-703(TS)	2	\$7,500	\$7,500	\$5,850	09/30/2016	
UP 2015-704(TS)	2	\$5,000	\$5,000	\$4,000	09/30/2016	
UP 2015-705(TS)	11	\$23,000	\$23,000	\$18,500	09/30/2016	
UP 2015-706(TS)	3	\$10,000	\$10,000	\$8,000	09/30/2016	
UP 2015-707(TS)	1	\$5,000	\$5,000	\$3,920	09/30/2016	
UP 2015-708(TS)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
UP 2015-709(TS)	2	\$10,000	\$10,000	\$8,100	09/30/2016	
UP 2015-710(TS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
UP 2015-711(TS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
UP 2015-712(ROP)	1	\$7,500	\$7,500	\$5,850	09/30/2016	
UP 2015-713(SA)	1	\$2,500	\$2,500	\$2,125	09/30/2016	
UP 2015-714(SI)	1	\$5,000	\$0	\$0	09/30/2016	Case Terminated.
UP 2015-715(SI)	1	\$1,000	\$1,000	\$750	09/30/2016	
UP 2015-716(FCS)	1	\$2,500	\$2,500	\$2,200	09/30/2016	
UP 2015-717(ROP)	1	\$7,500	\$7,500	\$5,850	09/30/2016	
UP 2015-718(RW)	1	\$1,000	\$1,000	\$775	09/30/2016	
UP 2015-719(RW)	1	\$2,000	\$2,000	\$1,530	09/30/2016	
UP 2015-720(RW)	1	\$1,000	\$1,000	\$775	09/30/2016	
UP 2015-722(SA)	1	\$2,500	\$2,500	\$1,912	09/30/2016	
UP 2015-723(SA)	1	\$5,000	\$5,000	\$3,910	09/30/2016	
UP 2015-724(SA)	1	\$2,500	\$2,500	\$2,125	09/30/2016	
UP 2015-725(SA)	1	\$5,000	\$5,000	\$3,995	09/30/2016	
UP 2015-726(ROP)	1	\$7,500	\$7,500	\$5,850	09/30/2016	
UP 2015-727(ROP)	1	\$2,000	\$2,000	\$1,565	09/30/2016	
UP 2015-728(TS)	1	\$5,000	\$5,000	\$3,920	09/30/2016	
UP 2015-729(TS)	2	\$10,000	\$10,000	\$8,000	09/30/2016	
UP 2015-731(LI)	1	\$2,500	\$2,500	\$1,875	09/30/2016	
UP 2015-732(SA)	1	\$2,500	\$2,500	\$1,912	09/30/2016	
UP 2015-733(SA)	1	\$5,000	\$5,000	\$3,612	09/30/2016	
UP 2015-734(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2016	
UP 2015-735(FCS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-736(CC)	1	\$1,000	\$1,000	\$670	09/30/2016	
UP 2015-737(LI)	1	\$2,500	\$2,500	\$1,870	09/30/2016	
UP 2015-739(TS)	1	\$5,000	\$5,000	\$3,920	09/30/2016	
UP 2015-740(FCS)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2015-741(FCS)	1	\$2,500	\$2,500	\$1,849	09/30/2016	
UP 2015-742(FCS)	1	\$2,500	\$2,500	\$1,950	09/30/2016	
UP 2015-743(TS)	1	\$1,000	\$1,000	\$770	09/30/2016	
UP 2015-744(HMT)	1	\$2,000	\$0	\$0	09/30/2016	Case Terminated.
UP 2015-745(SA)	1	\$5,000	\$5,000	\$4,037	09/30/2016	
UP 2015-746(SA)	1	\$2,500	\$2,500	\$1,850	09/30/2016	
UP 2015-747(SA)	1	\$2,500	\$2,500	\$1,912	09/30/2016	

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UP 2015-748(SA)	1	\$2,500	\$2,500	\$1,850	09/30/2016	
UP 2015-749(SA)	1	\$2,500	\$2,500	\$2,082	09/30/2016	
UP 2015-750(FCS)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
UP 2015-751(FCS)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
UP 2015-752(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
UP 2015-753(TS)	1	\$1,000	\$1,000	\$800	09/30/2016	
UP 2015-754(FCS)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
UP 2015-756(SA)	1	\$2,500	\$2,500	\$1,870	09/30/2016	
UP 2015-757(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2016	
UP 2015-758(SA)	1	\$5,000	\$5,000	\$3,782	09/30/2016	
UP 2015-759(HMT)	1	\$2,000	\$2,000	\$1,560	09/30/2016	
UP 2015-760(LI)	1	\$2,000	\$2,000	\$1,360	09/30/2016	
UP 2015-761(EP)	1	\$1,000	\$1,000	\$775	09/30/2016	
UP 2015-762(EP)	1	\$1,000	\$1,000	\$775	09/30/2016	
UP 2015-763(EP)	1	\$1,000	\$1,000	\$775	09/30/2016	
UP 2015-764(EP)	1	\$1,000	\$1,000	\$786	09/30/2016	
UP 2015-765(EP)	1	\$1,000	\$0	\$0	09/30/2016	Case Terminated.
UP 2015-766(EP)	1	\$1,000	\$0	\$0	09/30/2016	Case Terminated.
UP 2015-767(LI)	1	\$2,000	\$2,000	\$1,700	09/30/2016	
UP 2015-768(LI)	1	\$2,000	\$2,000	\$1,700	09/30/2016	
UP 2015-769(LI)	1	\$2,000	\$2,000	\$1,700	09/30/2016	
UP 2015-770(TS)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
UP 2015-771(TS)	1	\$2,500	\$2,500	\$1,960	09/30/2016	
UP 2015-772(FCS)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
UP 2015-773(FCS)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
UP 2015-774(FCS)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
UP 2015-775(FCS)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
UP 2015-776(SA)	1	\$5,000	\$5,000	\$3,825	09/30/2016	
UP 2015-777(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2016	
UP 2015-778(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2016	
UP 2015-779(TS)	1	\$5,000	\$5,000	\$3,850	09/30/2016	
UP 2015-780(LI)	1	\$2,500	\$2,500	\$2,125	09/30/2016	
UP 2015-781(SA)	1	\$2,500	\$2,500	\$2,125	09/30/2016	
UP 2015-782(TS)	1	\$5,000	\$5,000	\$4,250	09/30/2016	
UP 2015-783(TS)	3	\$7,500	\$7,500	\$6,400	09/30/2016	
UP 2015-784(TS)	1	\$5,000	\$5,000	\$4,250	09/30/2016	
UP 2015-785(TS)	1	\$5,000	\$5,000	\$4,250	09/30/2016	
UP 2015-786(ROP)	1	\$9,500	\$9,500	\$7,425	09/30/2016	
UP 2015-787(FCS)	1	\$2,500	\$2,500	\$2,050	09/30/2016	
UP 2015-789(FCS)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
UP 2015-790(FCS)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
UP 2015-791(FCS)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
UP 2015-792(RW)	2	\$6,000	\$6,000	\$4,600	09/30/2016	
UP 2015-794(TS)	1	\$1,000	\$1,000	\$765	09/30/2016	
UP 2015-795(TS)	1	\$1,000	\$1,000	\$850	09/30/2016	
UP 2015-798(TS)	1	\$1,000	\$1,000	\$850	09/30/2016	
UP 2015-801(TS)	1	\$5,000	\$5,000	\$3,800	09/30/2016	
UP 2015-803(SA)	1	\$5,000	\$5,000	\$3,800	09/30/2016	
UP 2015-804(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2016	

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UP 2015-805(SA)	1	\$2,500	\$2,500	\$1,912	09/30/2016	
UP 2015-806(SA)	1	\$5,000	\$5,000	\$4,207	09/30/2016	
UP 2015-807(SA)	1	\$1,000	\$1,000	\$750	09/30/2016	
UP 2015-808(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2016	
UP 2015-809(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2016	
UP 2015-810(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2016	
UP 2015-811(SA)	1	\$5,000	\$5,000	\$3,655	09/30/2016	
UP 2015-812(SA)	1	\$2,500	\$2,500	\$1,870	09/30/2016	
UP 2015-813(SA)	1	\$2,500	\$2,500	\$1,657	09/30/2016	
UP 2015-814(SA)	1	\$2,500	\$2,500	\$1,870	09/30/2016	
UP 2015-815(SA)	1	\$5,000	\$5,000	\$3,740	09/30/2016	
UP 2015-816(SA)	1	\$2,500	\$2,500	\$1,657	09/30/2016	
UP 2015-817(SA)	1	\$2,500	\$2,500	\$1,657	09/30/2016	
UP 2015-818(SA)	1	\$2,500	\$2,500	\$1,870	09/30/2016	
UP 2015-819(SA)	1	\$5,000	\$5,000	\$3,655	09/30/2016	
UP 2015-820(SA)	1	\$5,000	\$5,000	\$3,740	09/30/2016	
UP 2015-821(SA)	1	\$2,500	\$2,500	\$1,870	09/30/2016	
UP 2015-822(HMT)	1	\$2,000	\$2,000	\$1,560	09/30/2016	
UP 2015-823(TS)	1	\$1,000	\$1,000	\$765	09/30/2016	
UP 2015-825(TS)	1	\$5,000	\$5,000	\$3,782	09/30/2016	
UP 2015-826(LI)	1	\$2,500	\$2,500	\$1,870	09/30/2016	
UP 2015-827(LI)	1	\$2,500	\$2,500	\$1,870	09/30/2016	
UP 2015-829(FCS)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
UP 2015-830(FCS)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
UP 2015-831(FCS)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
UP 2015-832(TS)	4	\$10,000	\$10,000	\$7,862	09/30/2016	
UP 2015-833(HMT)	1	\$4,000	\$4,000	\$3,125	09/30/2016	
UP 2015-835(TS)	1	\$5,000	\$5,000	\$3,800	09/30/2016	
UP 2015-836(TS)	1	\$5,000	\$5,000	\$4,250	09/30/2016	
UP 2015-837(FCS)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
UP 2015-838(HMT)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
UP 2015-839(HMT)	1	\$4,000	\$4,000	\$3,160	09/30/2016	
UP 2015-840(SA)	1	\$2,500	\$2,500	\$1,870	09/30/2016	
UP 2015-841(GC)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2015-842(LI)	1	\$2,500	\$2,500	\$1,827	09/30/2016	
UP 2015-843(GC)	1	\$5,000	\$5,000	\$4,250	09/30/2016	
UP 2015-844(SA)	1	\$5,000	\$5,000	\$4,250	09/30/2016	
UP 2015-845(SA)	1	\$5,000	\$5,000	\$3,740	09/30/2016	
UP 2015-846(SA)	1	\$2,500	\$2,500	\$2,125	09/30/2016	
UP 2015-847(SA)	1	\$2,500	\$2,500	\$2,125	09/30/2016	
UP 2015-848(SA)	1	\$2,500	\$2,500	\$1,870	09/30/2016	
UP 2015-849(SA)	1	\$2,500	\$2,500	\$2,125	09/30/2016	
UP 2015-850(SA)	1	\$2,500	\$2,500	\$2,125	09/30/2016	
UP 2015-851(SA)	1	\$2,500	\$2,500	\$2,125	09/30/2016	
UP 2015-852(SA)	1	\$5,000	\$5,000	\$3,740	09/30/2016	
UP 2015-853(SA)	1	\$2,500	\$2,500	\$1,870	09/30/2016	
UP 2015-855(SA)	1	\$2,500	\$2,500	\$1,870	09/30/2016	
UP 2015-856(SA)	1	\$2,500	\$2,500	\$1,870	09/30/2016	
UP 2015-857(LI)	1	\$1,000	\$1,000	\$765	09/30/2016	

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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 2015-858(TS)	2	\$6,000	\$6,000	\$4,675	09/30/2016	
UP 2015-859(FCS)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
UP 2015-860(FCS)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
UP 2015-861(TS)	1	\$2,500	\$2,500	\$1,912	09/30/2016	
UP 2015-862(SA)	1	\$2,500	\$2,500	\$1,870	09/30/2016	
UP 2015-863(SA)	1	\$2,500	\$2,500	\$1,870	09/30/2016	
UP 2015-864(SA)	1	\$2,500	\$2,500	\$1,870	09/30/2016	
UP 2015-865(SA)	1	\$5,000	\$5,000	\$3,740	09/30/2016	
UP 2015-866(SA)	1	\$2,500	\$2,500	\$1,870	09/30/2016	
UP 2015-867(RW)	1	\$2,000	\$2,000	\$2,000	09/30/2016	
UP 2015-868(TS)	6	\$15,000	\$15,000	\$12,342	09/30/2016	
UP 2015-869(FCS)	1	\$6,000	\$6,000	\$4,800	09/30/2016	
UP 2015-870(FCS)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
UP 2015-871(FCS)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
UP 2015-872(SI)	1	\$1,000	\$1,000	\$750	09/30/2016	
UP 2015-873(FCS)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
UP 2015-874(FCS)	1	\$5,000	\$5,000	\$3,782	09/30/2016	
UP 2015-875(FCS)	8	\$16,000	\$16,000	\$11,262	09/30/2016	
UP 2015-876(FCS)	1	\$2,500	\$2,500	\$1,870	09/30/2016	
UP 2015-877(FCS)	1	\$2,500	\$2,500	\$1,870	09/30/2016	
UP 2015-878(FCS)	1	\$5,000	\$5,000	\$3,485	09/30/2016	
UP 2015-879(FCS)	1	\$2,500	\$2,500	\$1,870	09/30/2016	
UP 2015-880(FCS)	1	\$2,500	\$2,500	\$1,870	09/30/2016	
UP 2015-881(FCS)	1	\$5,000	\$5,000	\$3,782	09/30/2016	
UP 2015-883(ROP)	1	\$9,500	\$9,500	\$7,425	09/30/2016	
UP 2015-884(ROP)	2	\$4,000	\$4,000	\$3,125	09/30/2016	
UP 2015-885(ROP)	1	\$9,500	\$9,500	\$8,000	09/30/2016	
UP 2015-886(SA)	1	\$2,500	\$2,500	\$1,870	09/30/2016	
UP 2015-887(SA)	1	\$5,000	\$5,000	\$3,740	09/30/2016	
UP 2015-888(SA)	1	\$2,500	\$2,500	\$1,870	09/30/2016	
UP 2015-889(SA)	1	\$5,000	\$5,000	\$4,250	09/30/2016	
UP 2015-890(SA)	1	\$5,000	\$5,000	\$3,740	09/30/2016	
UP 2015-891(SA)	1	\$5,000	\$5,000	\$3,740	09/30/2016	
UP 2015-892(SA)	1	\$2,500	\$2,500	\$1,870	09/30/2016	
UP 2015-893(SA)	1	\$2,500	\$2,500	\$1,870	09/30/2016	
UP 2015-894(SA)	1	\$5,000	\$5,000	\$4,250	09/30/2016	
UP 2015-895(SA)	1	\$2,500	\$2,500	\$2,125	09/30/2016	
UP 2015-896(SA)	1	\$5,000	\$5,000	\$4,250	09/30/2016	
UP 2015-897(SA)	1	\$5,000	\$5,000	\$4,250	09/30/2016	
UP 2015-898(HS)	3	\$3,000	\$3,000	\$2,275	09/30/2016	
UP 2015-899(LI)	1	\$2,500	\$2,500	\$1,870	09/30/2016	
UP 2015-900(GC)	1	\$5,000	\$5,000	\$3,782	09/30/2016	
UP 2015-901(TS)	1	\$5,000	\$5,000	\$4,037	09/30/2016	
UP 2015-902(LI)	1	\$2,500	\$2,500	\$2,125	09/30/2016	
UP 2015-903(ROP)	1	\$7,500	\$7,500	\$6,200	09/30/2016	
UP 2015-904(ROR)	1	\$9,500	\$9,500	\$6,650	09/30/2016	
UP 2015-906(LI)	1	\$2,500	\$2,500	\$1,870	09/30/2016	
UP 2015-907(SA)	1	\$5,000	\$5,000	\$3,655	09/30/2016	
UP 2015-908(SA)	1	\$5,000	\$5,000	\$3,655	09/30/2016	

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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 2015-909(GC)	1	\$5,000	\$5,000	\$3,782	09/30/2016	
UP 2015-910(TS)	1	\$1,000	\$1,000	\$750	09/30/2016	
UP 2015-912(SA)	1	\$2,500	\$2,500	\$1,870	09/30/2016	
UP 2015-913(FCS)	1	\$2,500	\$2,500	\$1,870	09/30/2016	
UP 2015-914(TS)	1	\$2,500	\$2,500	\$2,125	09/30/2016	
UP 2016-1(SI)	1	\$2,500	\$2,500	\$2,125	09/30/2016	
UP 2016-2(SI)	1	\$1,000	\$1,000	\$850	09/30/2016	
UP 2016-4(SA)	1	\$2,500	\$2,500	\$1,870	09/30/2016	
UP 2016-5(TS)	1	\$2,500	\$2,500	\$2,125	09/30/2016	
UP 2016-6(GC)	1	\$5,000	\$5,000	\$3,697	09/30/2016	
UP 2016-7(TS)	1	\$2,500	\$2,500	\$2,125	09/30/2016	
UP 2016-8(SA)	1	\$5,000	\$5,000	\$4,250	09/30/2016	
UP 2016-9(SA)	1	\$5,000	\$5,000	\$4,250	09/30/2016	
UP 2016-10(SA)	1	\$5,000	\$5,000	\$4,250	09/30/2016	
UP 2016-11(SA)	1	\$5,000	\$5,000	\$4,250	09/30/2016	
UP 2016-12(SA)	1	\$5,000	\$5,000	\$4,250	09/30/2016	
UP 2016-13(LI)	1	\$1,000	\$1,000	\$765	09/30/2016	
UP 2016-16(LI)	1	\$2,500	\$2,500	\$2,125	09/30/2016	
UP 2016-17(SA)	1	\$5,000	\$5,000	\$3,570	09/30/2016	
UP 2016-18(SA)	1	\$5,000	\$5,000	\$3,697	09/30/2016	
UP 2016-19(SA)	1	\$2,500	\$2,500	\$1,920	09/30/2016	
UP 2016-22(SA)	1	\$2,500	\$2,500	\$1,920	09/30/2016	
UP 2016-23(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2016-24(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2016	
UP 2016-25(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
UP 2016-28(HMT)	1	\$2,000	\$2,000	\$1,580	09/30/2016	
UP 2016-29(SA)	1	\$10,000	\$10,000	\$8,000	09/30/2016	
UP 2016-30(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2016-31(SA)	1	\$2,500	\$2,500	\$1,920	09/30/2016	
UP 2016-34(FCS)	1	\$5,000	\$5,000	\$4,250	09/30/2016	
UP 2016-35(ROP)	1	\$9,500	\$9,500	\$7,500	09/30/2016	
UP 2016-36(ROP)	1	\$2,000	\$2,000	\$1,600	09/30/2016	
UP 2016-37(ROP)	1	\$7,500	\$7,500	\$5,850	09/30/2016	
UP 2016-40(GC)	1	\$5,000	\$5,000	\$3,782	09/30/2016	
UP 2016-41(LI)	1	\$2,500	\$2,500	\$1,870	09/30/2016	
UP 2016-42(TS)	2	\$5,000	\$5,000	\$4,250	09/30/2016	
UP 2016-43(RW)	1	\$1,000	\$1,000	\$800	09/30/2016	
UP 2016-46(RW)	3	\$4,500	\$4,500	\$3,600	09/30/2016	
UP 2016-47(FCS)	1	\$5,000	\$5,000	\$3,782	09/30/2016	
UP 2016-48(FCS)	1	\$2,500	\$2,500	\$1,870	09/30/2016	
UP 2016-49(ROP)	1	\$2,500	\$2,500	\$2,100	09/30/2016	
UP 2016-51(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2016-52(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
UP 2016-53(ROP)	1	\$2,000	\$2,000	\$1,550	09/30/2016	
UP 2016-54(GC)	1	\$5,000	\$5,000	\$3,697	09/30/2016	
UP 2016-58(TS)	2	\$2,000	\$2,000	\$1,700	09/30/2016	
UP 2016-59(TS)	9	\$9,000	\$9,000	\$7,225	09/30/2016	
UP 2016-64(TS)	4	\$4,000	\$4,000	\$3,187	09/30/2016	
UP 2016-66(TS)	2	\$10,000	\$10,000	\$8,500	09/30/2016	

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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 2016-67(TS)	2	\$10,000	\$10,000	\$8,500	09/30/2016	
UP 2016-68(TS)	3	\$12,500	\$12,500	\$9,775	09/30/2016	
UP 2016-69(TS)	4	\$20,000	\$20,000	\$17,000	09/30/2016	
UP 2016-71(TS)	3	\$10,000	\$10,000	\$8,500	09/30/2016	
UP 2016-72(TS)	1	\$5,000	\$5,000	\$3,570	09/30/2016	
UP 2016-74(TS)	1	\$5,000	\$5,000	\$3,697	09/30/2016	
UP 2016-76(SA)	1	\$2,500	\$2,500	\$1,960	09/30/2016	
UP 2016-77(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2016-78(SA)	1	\$2,500	\$2,500	\$1,960	09/30/2016	
UP 2016-79(HMT)	1	\$3,000	\$3,000	\$2,370	09/30/2016	
UP 2016-81(HMT)	1	\$2,000	\$2,000	\$1,580	09/30/2016	
UP 2016-82(FCS)	1	\$2,500	\$2,500	\$1,870	09/30/2016	
UP 2016-83(HMT)	1	\$7,500	\$7,500	\$5,925	09/30/2016	
UP 2016-84(ROP)	1	\$7,500	\$7,500	\$6,200	09/30/2016	
UP 2016-86(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2016	
UP 2016-87(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2016	
UP 2016-88(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2016	
UP 2016-89(ROP)	7	\$17,500	\$17,500	\$14,350	09/30/2016	
UP 2016-91(ROP)	1	\$7,500	\$7,500	\$6,200	09/30/2016	
UP 2016-92(ROP)	2	\$4,000	\$4,000	\$3,250	09/30/2016	
UP 2016-93(ROP)	1	\$9,500	\$9,500	\$7,800	09/30/2016	
UP 2016-94(ROP)	1	\$7,500	\$7,500	\$6,200	09/30/2016	
UP 2016-96(ROP)	1	\$7,500	\$7,500	\$6,000	09/30/2016	
UP 2016-97(ROP)	1	\$2,000	\$2,000	\$1,560	09/30/2016	
UP 2016-98(ROP)	1	\$2,000	\$2,000	\$1,560	09/30/2016	
UP 2016-99(ROP)	1	\$2,500	\$2,000	\$1,700	09/30/2016	Partially Terminated Violation(s): 1.
UP 2016-101(ROP)	1	\$7,500	\$7,500	\$5,925	09/30/2016	
UP 2016-102(ROP)	1	\$7,500	\$7,500	\$5,925	09/30/2016	
UP 2016-103(ROP)	1	\$7,500	\$7,500	\$5,925	09/30/2016	
UP 2016-104(ROP)	2	\$5,000	\$4,000	\$3,120	09/30/2016	Partially Terminated Violation(s): 1.
UP 2016-106(ROP)	1	\$9,500	\$9,500	\$7,600	09/30/2016	
UP 2016-107(ROP)	1	\$7,500	\$7,500	\$6,000	09/30/2016	
UP 2016-108(ROP)	2	\$4,000	\$4,000	\$3,120	09/30/2016	
UP 2016-109(ROP)	1	\$7,500	\$7,500	\$6,000	09/30/2016	
UP 2016-111(ROP)	3	\$22,500	\$22,500	\$17,775	09/30/2016	
UP 2016-112(ROP)	1	\$7,500	\$7,500	\$6,000	09/30/2016	
UP 2016-114(AR)	1	\$2,500	\$2,500	\$1,930	09/30/2016	
UP 2016-116(AR)	1	\$2,500	\$2,500	\$1,975	09/30/2016	
UP 2016-117(AR)	1	\$2,500	\$0	\$0	09/30/2016	Case Terminated.
UP 2016-118(ROP)	1	\$2,000	\$2,000	\$1,560	09/30/2016	
UP 2016-119(ROP)	1	\$2,500	\$2,500	\$1,870	09/30/2016	
UP 2016-121(ROP)	1	\$2,000	\$2,000	\$1,487	09/30/2016	
UP 2016-122(ROP)	4	\$8,000	\$8,000	\$5,440	09/30/2016	
UP 2016-123(ROP)	1	\$2,000	\$2,000	\$1,487	09/30/2016	
UP 2016-124(CC)	1	\$4,000	\$4,000	\$3,100	09/30/2016	
UP 2016-126(TS)	2	\$5,000	\$5,000	\$4,250	09/30/2016	
UP 2016-127(TS)	3	\$7,500	\$7,500	\$6,375	09/30/2016	
UP 2016-128(TS)	7	\$17,500	\$17,500	\$14,875	09/30/2016	

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UP 2016-129(TS)	1	\$2,500	\$2,500	\$2,125	09/30/2016	
UP 2016-131(TS)	1	\$2,500	\$2,500	\$2,125	09/30/2016	
UP 2016-133(TS)	1	\$5,000	\$5,000	\$4,250	09/30/2016	
UP 2016-134(LI)	1	\$1,000	\$1,000	\$722	09/30/2016	
UP 2016-137(FCS)	1	\$5,000	\$5,000	\$3,782	09/30/2016	
UP 2016-138(FCS)	1	\$5,000	\$5,000	\$3,782	09/30/2016	
UP 2016-139(ROP)	1	\$2,000	\$2,000	\$1,487	09/30/2016	
UP 2016-141(ROP)	1	\$7,500	\$7,500	\$5,610	09/30/2016	
UP 2016-142(ROP)	1	\$7,500	\$7,500	\$6,375	09/30/2016	
UP 2016-144(SA)	1	\$25,000	\$25,000	\$25,000	09/30/2016	
UP 2016-146(SA)	1	\$2,500	\$2,500	\$1,980	09/30/2016	
UP 2016-147(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
UP 2016-148(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
UP 2016-149(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
UP 2016-151(SA)	1	\$2,500	\$2,500	\$1,960	09/30/2016	
UP 2016-152(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2016-153(SA)	1	\$2,500	\$2,500	\$1,960	09/30/2016	
UP 2016-154(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2016-156(HS)	3	\$3,000	\$3,000	\$2,275	09/30/2016	
UP 2016-157(HS)	2	\$2,000	\$2,000	\$1,510	09/30/2016	
UP 2016-158(HS)	1	\$1,000	\$1,000	\$755	09/30/2016	
UP 2016-159(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2016-161(HMT)	1	\$5,000	\$5,000	\$3,950	09/30/2016	
UP 2016-162(SA)	1	\$2,500	\$2,500	\$1,920	09/30/2016	
UP 2016-163(ROP)	1	\$2,000	\$2,000	\$1,487	09/30/2016	
UP 2016-164(ROR)	1	\$9,500	\$9,500	\$7,225	09/30/2016	
UP 2016-166(SI)	1	\$2,500	\$2,500	\$2,125	09/30/2016	
UP 2016-167(SI)	1	\$2,500	\$2,500	\$1,890	09/30/2016	
UP 2016-168(SA)	1	\$2,500	\$2,500	\$1,960	09/30/2016	
UP 2016-169(SA)	1	\$2,500	\$2,500	\$1,960	09/30/2016	
UP 2016-171(SA)	1	\$2,500	\$2,500	\$1,920	09/30/2016	
UP 2016-172(SA)	1	\$2,500	\$2,500	\$1,960	09/30/2016	
UP 2016-173(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2016-174(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2016-176(GC)	1	\$5,000	\$5,000	\$3,697	09/30/2016	
UP 2016-177(ROP)	1	\$5,000	\$5,000	\$3,740	09/30/2016	
UP 2016-178(TS)	2	\$5,000	\$5,000	\$4,250	09/30/2016	
UP 2016-179(TS)	1	\$2,500	\$2,500	\$1,870	09/30/2016	
UP 2016-181(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
UP 2016-182(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
UP 2016-184(ROP)	1	\$7,500	\$7,500	\$5,610	09/30/2016	
UP 2016-186(ROP)	1	\$7,500	\$7,500	\$5,355	09/30/2016	
UP 2016-187(SI)	1	\$1,000	\$1,000	\$743	09/30/2016	
UP 2016-188(FCS)	1	\$5,000	\$5,000	\$3,782	09/30/2016	
UP 2016-189(FCS)	1	\$5,000	\$5,000	\$3,782	09/30/2016	
UP 2016-190(TS)	1	\$5,000	\$5,000	\$4,250	09/30/2016	
UP 2016-192(TS)	3	\$3,000	\$3,000	\$2,550	09/30/2016	
UP 2016-193(TS)	1	\$1,000	\$1,000	\$680	09/30/2016	
UP 2016-195(TS)	1	\$2,500	\$2,500	\$2,125	09/30/2016	

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UP 2016-196(TS)	1	\$5,000	\$5,000	\$3,400	09/30/2016	
UP 2016-198(RW)	1	\$10,000	\$10,000	\$9,215	09/30/2016	
UP 2016-199(TS)	4	\$10,000	\$10,000	\$7,395	09/30/2016	
UP 2016-200(TS)	1	\$2,500	\$2,500	\$1,870	09/30/2016	
UP 2016-201(TS)	4	\$12,500	\$12,500	\$10,625	09/30/2016	
UP 2016-202(TS)	1	\$5,000	\$5,000	\$3,570	09/30/2016	
UP 2016-204(TS)	2	\$7,500	\$7,500	\$6,375	09/30/2016	
UP 2016-205(TS)	1	\$2,500	\$2,500	\$2,125	09/30/2016	
UP 2016-207(TS)	1	\$2,500	\$2,500	\$2,125	09/30/2016	
UP 2016-208(TS)	2	\$5,000	\$5,000	\$3,697	09/30/2016	
UP 2016-210(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
UP 2016-211(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
UP 2016-212(SA)	1	\$2,500	\$2,500	\$1,920	09/30/2016	
UP 2016-213(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2016-214(SA)	1	\$2,500	\$2,500	\$1,920	09/30/2016	
UP 2016-216(TS)	2	\$5,000	\$5,000	\$4,250	09/30/2016	
UP 2016-217(SI)	1	\$2,500	\$2,500	\$2,125	09/30/2016	
UP 2016-219(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2016	
UP 2016-220(SI)	1	\$1,000	\$1,000	\$760	09/30/2016	
UP 2016-222(GC)	1	\$2,500	\$2,500	\$1,870	09/30/2016	
UP 2016-223(ROP)	1	\$2,000	\$2,000	\$1,402	09/30/2016	
UP 2016-225(ROP)	1	\$7,500	\$7,500	\$5,610	09/30/2016	
UP 2016-226(TS)	1	\$5,000	\$5,000	\$3,697	09/30/2016	
UP 2016-228(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
UP 2016-229(HS)	1	\$1,000	\$1,000	\$755	09/30/2016	
UP 2016-231(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
UP 2016-234(HMT)	2	\$4,000	\$4,000	\$3,160	09/30/2016	
UP 2016-235(HS)	2	\$2,000	\$2,000	\$1,510	09/30/2016	
UP 2016-236(HS)	2	\$2,000	\$2,000	\$1,450	09/30/2016	
UP 2016-237(SA)	1	\$2,500	\$2,500	\$1,920	09/30/2016	
UP 2016-239(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
UP 2016-240(SA)	1	\$2,500	\$2,500	\$1,980	09/30/2016	
UP 2016-241(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
UP 2016-242(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2016-243(ROP)	1	\$7,500	\$7,500	\$5,652	09/30/2016	
UP 2016-246(FCS)	1	\$2,500	\$2,500	\$1,870	09/30/2016	
UP 2016-247(FCS)	1	\$2,500	\$2,500	\$1,870	09/30/2016	
UP 2016-248(SA)	1	\$5,000	\$5,000	\$3,910	09/30/2016	
UP 2016-249(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
UP 2016-252(SI)	1	\$1,000	\$1,000	\$850	09/30/2016	
UP 2016-253(HMT)	1	\$2,000	\$2,000	\$1,580	09/30/2016	
UP 2016-254(SA)	2	\$5,000	\$5,000	\$3,900	09/30/2016	
UP 2016-255(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
UP 2016-258(LI)	1	\$2,500	\$2,500	\$1,827	09/30/2016	
UP 2016-259(FCS)	1	\$2,500	\$2,500	\$1,870	09/30/2016	
UP 2016-260(FCS)	1	\$2,500	\$2,500	\$1,870	09/30/2016	
UP 2016-261(SA)	1	\$2,500	\$2,500	\$1,980	09/30/2016	
UP 2016-263(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
UP 2016-264(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	

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UP 2016-267(LI)	1	\$2,500	\$2,500	\$1,870	09/30/2016	
UP 2016-269(HMT)	1	\$2,000	\$2,000	\$1,580	09/30/2016	
UP 2016-270(HMT)	1	\$2,000	\$2,000	\$1,580	09/30/2016	
UP 2016-274(ROP)	1	\$2,000	\$2,000	\$1,700	09/30/2016	
UP 2016-278(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2016	
UTAH 2016-1(LI)	1	\$1,500	\$1,500	\$1,185	09/27/2016	
VCY 2015-1(LI)	1	\$2,500	\$2,500	\$1,975	09/27/2016	
WACR 2009-1(HMT)	2	\$5,000	\$0	\$0	10/27/2015	Case Terminated.
WACR 2015-1(TS)	1	\$2,500	\$2,500	\$1,250	01/11/2016	
WATX 2015-2(TS)	3	\$10,000	\$10,000	\$7,600	09/26/2016	
WE 2015-5(ROP)	1	\$5,000	\$5,000	\$4,000	03/29/2016	
WE 2015-6(SA)	3	\$15,000	\$15,000	\$9,000	03/29/2016	
WE 2015-7(AD)	2	\$10,000	\$10,000	\$5,000	03/29/2016	
WE 2015-9(GC)	1	\$5,000	\$5,000	\$3,750	03/29/2016	
WE 2015-10(FCS)	1	\$5,000	\$5,000	\$3,000	03/29/2016	
WE 2015-11(SA)	2	\$10,000	\$10,000	\$7,200	03/29/2016	
WE 2015-12(LI)	1	\$1,500	\$1,500	\$750	03/29/2016	
WE 2015-13(HMT)	8	\$8,000	\$8,000	\$4,400	03/29/2016	
WE 2016-1(ROP)	1	\$7,500	\$7,500	\$5,250	03/29/2016	
WE 2016-2(SA)	1	\$5,000	\$5,000	\$3,500	03/29/2016	
WE 2016-3(HSR)	1	\$1,000	\$1,000	\$650	03/29/2016	
WGNS 2014-1(TS)	1	\$5,000	\$5,000	\$3,000	10/01/2015	
WGNS 2014-2(LI)	1	\$2,500	\$2,500	\$1,250	10/01/2015	
WGNS 2015-1(CC)	1	\$7,500	\$7,500	\$4,500	10/01/2015	
WGNS 2015-2(SA)	1	\$5,000	\$5,000	\$3,000	10/01/2015	
WGNS 2015-3(EQ)	1	\$1,000	\$1,000	\$650	10/01/2015	
WGNS 2015-4(TH)	1	\$5,000	\$5,000	\$3,150	10/01/2015	
WGNS 2015-5(SA)	1	\$5,000	\$5,000	\$3,050	10/01/2015	
WGSB 2014-4(AD)	1	\$5,000	\$5,000	\$3,600	10/01/2015	
WGSB 2014-5(AD)	1	\$2,500	\$2,500	\$1,800	10/01/2015	
WNYP 2016-1(AR)	1	\$2,500	\$2,500	\$2,500	03/31/2016	
WNYP 2016-2(AR)	1	\$2,500	\$2,500	\$2,500	03/23/2016	
WNYP 2016-3(AR)	1	\$2,500	\$2,500	\$2,500	03/23/2016	
WNYP 2016-4(AR)	1	\$2,500	\$2,500	\$2,500	03/23/2016	
WNYP 2016-5(AR)	1	\$2,500	\$2,500	\$2,500	03/30/2016	
WSGQ 2015-1(HMT)	3	\$30,000	\$30,000	\$22,500	11/13/2015	
WSOR 2015-1(HMT)	1	\$1,000	\$1,000	\$770	09/26/2016	
WSOR 2016-1(ROR)	1	\$5,000	\$5,000	\$3,800	09/26/2016	
WTLC 2015-1(ROP)	1	\$7,500	\$7,500	\$5,250	03/18/2016	
WTLC 2015-2(TS)	1	\$2,500	\$2,500	\$1,750	03/18/2016	
WTLC 2015-3(TS)	1	\$5,000	\$5,000	\$3,500	03/18/2016	
WTLC 2015-4(TS)	3	\$7,500	\$7,500	\$5,250	03/18/2016	
WTLC 2015-5(AD)	1	\$2,500	\$2,500	\$1,625	03/18/2016	
WTLC 2015-6(AD)	1	\$5,000	\$5,000	\$3,250	03/18/2016	
WTLC 2015-7(AD)	1	\$5,000	\$5,000	\$3,250	03/18/2016	
WTLC 2015-9(AD)	1	\$1,000	\$1,000	\$650	03/18/2016	
WTLC 2015-10(TS)	1	\$1,000	\$1,000	\$650	03/18/2016	
WTLC 2015-11(TS)	2	\$7,500	\$7,500	\$5,250	03/18/2016	
WTLC 2015-12(TS)	3	\$15,000	\$15,000	\$10,500	03/18/2016	

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WTLC 2015-13(TS)	7	\$22,500	\$22,500	\$15,750	03/18/2016	
WTLC 2015-14(TS)	1	\$2,500	\$2,500	\$1,750	03/18/2016	
WTLC 2015-15(TS)	2	\$7,500	\$7,500	\$5,250	03/18/2016	
WTLC 2015-16(AD)	1	\$5,000	\$5,000	\$3,500	03/18/2016	
WTLC 2016-1(AR)	3	\$7,500	\$7,500	\$4,500	03/18/2016	
WTLC 2016-2(AR)	2	\$5,000	\$5,000	\$3,000	03/18/2016	
WTLC 2016-3(AR)	1	\$2,500	\$2,500	\$1,500	03/18/2016	
WTLC 2016-4(AR)	1	\$2,500	\$2,500	\$1,500	03/18/2016	
WTLC 2016-5(AR)	1	\$2,500	\$2,500	\$1,500	03/18/2016	
WTLC 2016-6(AR)	1	\$2,500	\$2,500	\$1,500	03/18/2016	
WTRY 2015-1(GC)	1	\$1,000	\$1,000	\$780	09/27/2016	
WVR 2015-1(ROP)	2	\$11,500	\$2,000	\$1,200	01/08/2016	Terminated Violation(s): 1
XAPU 2016-1(RW)	1	\$2,000	\$2,000	\$2,000	02/19/2016	
XATH 2015-1(HMT)	1	\$2,000	\$2,000	\$1,200	03/22/2016	
XATH 2016-1(HMT)	2	\$4,000	\$0	\$0	03/21/2016	Case Terminated.
XCAI 2016-1(HMT)	1	\$5,000	\$5,000	\$3,750	09/21/2016	
XCBR 2015-1(HMT)	1	\$2,000	\$2,000	\$2,000	03/11/2016	
XCDE 2014-1(HMT)	1	\$2,000	\$2,000	\$1,500	03/17/2016	
XCDL 2015-1(GC)	1	\$5,000	\$5,000	\$3,500	03/11/2016	
XCGS 2015-1(HMT)	3	\$6,000	\$6,000	\$6,000	02/08/2016	
XCNS 2015-1(HMT)	1	\$2,000	\$2,000	\$2,000	02/08/2016	
XCOO 2015-1(HMT)	1	\$10,000	\$10,000	\$9,000	10/19/2015	
XCUS 2015-1(HMT)	1	\$2,000	\$2,000	\$2,000	02/08/2016	
XCWW 2015-1(TS)	2	\$10,000	\$10,000	\$5,300	03/07/2016	
XCWW 2015-2(RW)	1	\$2,000	\$2,000	\$1,200	03/07/2016	
XEEL 2015-1(HMT)	1	\$2,500	\$2,500	\$2,500	03/16/2016	
XEPM 2015-1(HMT)	1	\$2,000	\$2,000	\$2,000	03/29/2016	
XFEF 2015-1(HMT)	1	\$7,500	\$7,500	\$7,500	11/20/2015	
XFEF 2016-1(HMT)	4	\$16,000	\$16,000	\$16,000	09/21/2016	
XGEO 2015-3(HMT)	1	\$5,000	\$5,000	\$5,000	11/10/2015	
XJML 2012-1(HMT)	1	\$10,000	\$10,000	\$6,000	09/30/2016	
XJPC 2015-1(RW)	1	\$3,000	\$3,000	\$3,000	02/23/2016	
XLSS 2014-1(HMT)	3	\$6,000	\$6,000	\$6,000	06/07/2016	
XMKW 2015-2(HMT)	1	\$10,000	\$10,000	\$7,500	11/22/2015	
XMKW 2015-3(HMT)	2	\$7,500	\$7,500	\$6,000	08/18/2016	
XMKW 2016-1(HMT)	1	\$10,000	\$10,000	\$6,800	04/20/2016	
XMMC 2015-1(RW)	1	\$2,000	\$2,000	\$2,000	10/22/2015	
XMOC 2015-1(HMT)	2	\$4,000	\$4,000	\$3,000	12/22/2015	
XMRR 2015-1(HMT)	1	\$10,000	\$10,000	\$10,000	11/23/2015	
XNEX 2015-1(HMT)	3	\$15,000	\$15,000	\$15,000	05/05/2016	
XNEX 2015-2(HMT)	4	\$4,000	\$4,000	\$4,000	05/05/2016	
XNEX 2015-3(HMT)	5	\$7,000	\$7,000	\$7,000	05/05/2016	
XNSD 2015-1(HMT)	1	\$2,000	\$2,000	\$2,000	09/08/2016	
XOCR 2015-1(RW)	7	\$18,000	\$18,000	\$16,250	10/23/2015	
XPIE 2015-1(HMT)	1	\$2,000	\$2,000	\$2,000	04/06/2016	
XPKR 2014-1(HMT)	2	\$5,000	\$5,000	\$3,000	04/26/2016	
XPKR 2014-2(HMT)	4	\$40,000	\$40,000	\$8,000	04/26/2016	
XQMC 2016-1(RW)	1	\$5,000	\$0	\$0	09/15/2016	Case Terminated.
XQUE 2016-1(BW)	2	\$10,000	\$10,000	\$10,000	07/15/2016	

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XSNJ 2011-1(AR)	2	\$5,000	\$0	\$0	12/02/2015	Case Terminated.
XSNJ 2012-1(AR)	1	\$2,500	\$0	\$0	12/02/2015	Case Terminated.
XSNJ 2012-2(ROR)	1	\$7,500	\$0	\$0	12/02/2015	Case Terminated.
XSNJ 2014-1(SI)	1	\$1,000	\$1,000	\$650	12/02/2015	
XSNJ 2015-1(EQ)	1	\$1,000	\$1,000	\$650	12/02/2015	
XSNJ 2015-2(EQ)	1	\$2,500	\$0	\$0	12/02/2015	Case Terminated.
XSPO 2012-1(HMT)	1	\$2,000	\$2,000	\$1,200	11/10/2015	
XSPO 2015-1(HMT)	2	\$4,000	\$4,000	\$2,800	11/09/2015	
XSSP 2016-1(HMT)	1	\$2,000	\$2,000	\$2,000	09/19/2016	
XSTC 2015-1(HMT)	1	\$10,000	\$10,000	\$6,000	05/02/2016	
XTRG 2014-1(HMT)	1	\$7,500	\$7,500	\$7,500	03/05/2016	
XUSC 2016-1(HMT)	1	\$2,000	\$2,000	\$1,200	04/20/2016	
XWAI 2015-1(HMT)	1	\$2,000	\$2,000	\$2,000	09/29/2016	
XWEG 2009-1(RW)	1	\$2,000	\$0	\$0	10/26/2015	Case Terminated.
XWPL 2014-1(HMT)	1	\$5,000	\$5,000	\$3,500	04/01/2016	
XWTB 2014-1(RW)	1	\$3,000	\$3,000	\$1,600	02/01/2016	
XWTS 2015-5(HMT)	8	\$40,000	\$40,000	\$30,000	09/26/2016	
ZAAO 2015-1(HMT)	1	\$5,000	\$5,000	\$3,750	04/12/2016	
ZABS 2016-1(HMT)	1	\$2,500	\$2,500	\$1,800	06/01/2016	
ZACH 2015-3(HMT)	1	\$15,000	\$15,000	\$12,000	12/02/2015	
ZACR 2015-1(HMT)	12	\$45,000	\$15,000	\$10,500	11/02/2015	Terminated Violation(s): 2.
ZACR 2015-2(HMT)	1	\$5,000	\$5,000	\$3,500	11/02/2015	
ZADN 2016-1(HMT)	1	\$5,000	\$5,000	\$3,500	09/22/2016	
ZADR 2014-2(HMT)	1	\$25,000	\$25,000	\$18,000	11/02/2015	
ZADR 2015-1(HMT)	4	\$8,000	\$8,000	\$4,000	11/02/2015	
ZAEN 2015-4(HMT)	1	\$5,000	\$5,000	\$5,000	10/07/2015	
ZAEN 2015-5(HMT)	3	\$15,000	\$15,000	\$15,000	10/07/2015	
ZAEN 2015-6(HMT)	1	\$5,000	\$5,000	\$5,000	10/07/2015	
ZAEN 2015-7(HMT)	2	\$2,000	\$2,000	\$2,000	12/15/2015	
ZAEN 2016-1(HMT)	1	\$5,000	\$5,000	\$5,000	03/04/2016	
ZAER 2016-1(HMT)	1	\$5,000	\$5,000	\$5,000	04/26/2016	
ZAFF 2015-1(HMT)	1	\$2,000	\$2,000	\$1,300	10/13/2015	
ZAGB 2015-1(HMT)	2	\$10,000	\$10,000	\$10,000	12/02/2015	
ZAGT 2015-1(HMT)	2	\$7,000	\$7,000	\$5,150	10/22/2015	
ZAGT 2016-1(HMT)	1	\$2,000	\$2,000	\$2,000	07/26/2016	
ZAIL 2016-1(HMT)	1	\$4,000	\$4,000	\$4,000	04/07/2016	
ZAKN 2015-1(HMT)	2	\$10,000	\$10,000	\$7,000	11/13/2015	
ZAKN 2016-1(HMT)	2	\$20,000	\$20,000	\$14,000	09/22/2016	
ZALC 2016-1(HMT)	1	\$10,000	\$10,000	\$7,600	04/15/2016	
ZALC 2016-2(HMT)	1	\$4,000	\$4,000	\$4,000	04/05/2016	
ZALN 2015-1(HMT)	2	\$20,000	\$20,000	\$14,000	03/02/2016	
ZALN 2015-2(HMT)	1	\$10,000	\$10,000	\$7,200	03/02/2016	
ZALN 2016-1(HMT)	1	\$2,000	\$2,000	\$2,000	06/28/2016	
ZALQ 2015-3(HMT)	1	\$2,000	\$2,000	\$2,000	04/07/2016	
ZALQ 2016-1(HMT)	1	\$2,500	\$2,500	\$2,500	03/29/2016	
ZALQ 2016-2(HMT)	1	\$10,000	\$10,000	\$10,000	07/22/2016	
ZALX 2016-1(HMT)	1	\$2,000	\$2,000	\$1,500	05/12/2016	
ZAMC 2015-1(HMT)	1	\$10,000	\$10,000	\$7,700	11/02/2015	
ZAMC 2015-2(HMT)	4	\$20,000	\$20,000	\$14,000	11/02/2015	

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ZAMC 2015-3(HMT)	1	\$5,000	\$5,000	\$3,500	11/02/2015	
ZAMU 2015-1(HMT)	2	\$10,000	\$10,000	\$10,000	04/07/2016	
ZAMU 2015-2(HMT)	1	\$2,000	\$2,000	\$2,000	03/29/2016	
ZAND 2015-1(HMT)	3	\$12,000	\$12,000	\$8,100	01/08/2016	
ZAND 2016-1(HMT)	1	\$4,000	\$4,000	\$2,800	06/22/2016	
ZANE 2016-1(HMT)	1	\$5,000	\$5,000	\$3,600	09/22/2016	
ZANP 2016-1(HMT)	2	\$4,000	\$4,000	\$2,800	05/17/2016	
ZAOC 2015-1(HMT)	2	\$4,000	\$4,000	\$2,600	01/14/2016	
ZAPI 2016-1(HMT)	1	\$2,000	\$2,000	\$2,000	07/22/2016	
ZAPM 2016-1(HMT)	1	\$5,000	\$5,000	\$5,000	08/19/2016	
ZARCI 2015-2(HMT)	1	\$5,000	\$5,000	\$3,500	10/13/2015	
ZARCI 2015-3(HMT)	1	\$2,000	\$2,000	\$1,400	02/05/2016	
ZARE 2016-1(HMT)	1	\$5,000	\$5,000	\$3,500	04/29/2016	
ZARGR 2016-1(HMT)	1	\$10,000	\$10,000	\$7,500	08/25/2016	
ZARJ 2015-2(HMT)	2	\$4,000	\$4,000	\$2,800	01/11/2016	
ZARJ 2015-3(HMT)	1	\$4,000	\$4,000	\$2,800	02/23/2016	
ZARK 2015-2(HMT)	1	\$10,000	\$10,000	\$7,100	10/14/2015	
ZARK 2016-1(HMT)	1	\$2,000	\$2,000	\$1,350	04/01/2016	
ZASR 2015-1(HMT)	1	\$2,000	\$2,000	\$2,000	03/29/2016	
ZASY 2016-1(HMT)	1	\$10,000	\$10,000	\$7,400	07/13/2016	
ZATO 2015-2(HMT)	1	\$2,000	\$2,000	\$1,400	04/12/2016	
ZATU 2016-1(HMT)	1	\$5,000	\$5,000	\$250	03/14/2016	
ZAUG 2015-1(HMT)	1	\$4,000	\$4,000	\$2,900	01/13/2016	
ZAUG 2015-2(HMT)	1	\$2,000	\$2,000	\$1,400	02/05/2016	
ZAUH 2015-1(HMT)	1	\$10,000	\$10,000	\$7,600	09/01/2016	
ZAUL 2015-1(HMT)	1	\$5,000	\$5,000	\$3,700	12/02/2015	
ZAXE 2015-2(HMT)	7	\$14,000	\$14,000	\$10,250	04/28/2016	
ZAXE 2015-3(HMT)	11	\$22,000	\$22,000	\$22,000	03/15/2016	
ZAXI 2015-1(HMT)	1	\$5,000	\$5,000	\$3,500	04/01/2016	
ZAXI 2016-1(HMT)	1	\$5,000	\$5,000	\$3,500	06/01/2016	
ZAXI 2016-2(HMT)	1	\$10,000	\$10,000	\$7,400	06/01/2016	
ZAXI 2016-3(HMT)	1	\$5,000	\$5,000	\$3,500	08/23/2016	
ZAXI 2016-4(HMT)	1	\$7,500	\$7,500	\$4,875	08/23/2016	
ZBAS 2015-2(HMT)	1	\$5,000	\$5,000	\$5,000	12/23/2015	
ZBAS 2016-1(HMT)	1	\$5,000	\$5,000	\$5,000	03/11/2016	
ZBAS 2016-3(HMT)	1	\$5,000	\$5,000	\$5,000	04/21/2016	
ZBCP 2014-1(HMT)	1	\$10,000	\$10,000	\$6,250	12/11/2015	
ZBCP 2015-1(HMT)	1	\$10,000	\$10,000	\$6,250	12/11/2015	
ZBEP 2015-3(HMT)	1	\$2,000	\$2,000	\$2,000	11/17/2015	
ZBKK 2016-1(HMT)	1	\$10,000	\$10,000	\$7,000	04/27/2016	
ZBKO 2014-1(HMT)	4	\$15,000	\$15,000	\$11,250	11/04/2015	
ZBKO 2014-2(HMT)	2	\$12,000	\$12,000	\$9,100	11/04/2015	
ZBKO 2015-1(HMT)	1	\$10,000	\$10,000	\$7,500	11/04/2015	
ZBKO 2015-2(HMT)	1	\$10,000	\$10,000	\$8,000	10/12/2015	
ZBKO 2015-3(HMT)	2	\$7,000	\$5,000	\$5,000	11/20/2015	Terminated Violation(s): 1.
ZBKO 2015-4(HMT)	1	\$5,000	\$5,000	\$4,000	11/20/2015	
ZBRM 2015-1(HMT)	15	\$75,000	\$75,000	\$60,000	12/22/2015	
ZBSN 2015-1(HMT)	4	\$20,000	\$20,000	\$16,500	11/23/2015	
ZBSN 2015-2(HMT)	1	\$5,000	\$5,000	\$5,000	11/23/2015	

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ZBTZ 2015-2(HMT)	3	\$6,000	\$6,000	\$4,500	11/25/2015	
ZBTZ 2015-3(HMT)	2	\$10,000	\$4,000	\$3,000	01/05/2016	Partially Terminated Violation(s): 1.
ZCALC 2016-1(HMT)	1	\$5,000	\$5,000	\$5,000	05/04/2016	
ZCBK 2015-1(HMT)	1	\$5,000	\$5,000	\$3,500	03/10/2016	
ZCCM 2015-1(HMT)	1	\$5,000	\$5,000	\$5,000	02/08/2016	
ZCDL 2015-1(HMT)	1	\$10,000	\$10,000	\$8,000	03/17/2016	
ZCEF 2015-1(HMT)	1	\$5,000	\$5,000	\$3,500	03/07/2016	
ZCEH 2016-1(HMT)	1	\$4,000	\$4,000	\$3,000	09/07/2016	
ZCEY 2014-1(HMT)	2	\$10,000	\$10,000	\$9,000	03/09/2016	
ZCEY 2015-1(HMT)	1	\$5,000	\$5,000	\$4,500	03/09/2016	
ZCFC 2015-1(HMT)	1	\$5,000	\$5,000	\$3,500	03/17/2016	
ZCFER 2009-1(AD)	2	\$10,000	\$0	\$0	09/27/2016	Case Terminated.
ZCFER 2009-2(TS)	1	\$5,000	\$0	\$0	09/27/2016	Case Terminated.
ZCGB 2015-1(HMT)	1	\$2,000	\$2,000	\$2,000	02/08/2016	
ZCHEV 2015-1(HMT)	1	\$5,000	\$5,000	\$4,000	03/07/2016	
ZCHV 2014-1(HMT)	1	\$5,000	\$5,000	\$3,500	03/11/2016	
ZCHY 2016-1(HMT)	1	\$5,000	\$5,000	\$5,000	03/28/2016	
ZCIE 2015-1(HMT)	2	\$7,000	\$7,000	\$7,000	02/08/2016	
ZCIE 2015-2(HMT)	1	\$5,000	\$5,000	\$5,000	02/08/2016	
ZCLAR 2015-1(HMT)	1	\$5,000	\$5,000	\$5,000	02/08/2016	
ZCLX 2015-2(HMT)	1	\$5,000	\$5,000	\$3,750	09/09/2016	
ZCLX 2015-3(HMT)	1	\$5,000	\$5,000	\$3,750	09/09/2016	
ZCLX 2016-1(HMT)	1	\$4,000	\$4,000	\$3,500	09/09/2016	
ZCM2 2015-1(HMT)	1	\$2,000	\$2,000	\$2,000	03/11/2016	
ZCME 2015-1(HMT)	1	\$5,000	\$5,000	\$4,000	04/14/2016	
ZCMU 2016-1(HMT)	1	\$4,000	\$4,000	\$4,000	05/23/2016	
ZCNC 2015-1(HMT)	3	\$15,000	\$15,000	\$15,000	04/06/2016	
ZCNL 2015-1(HMT)	1	\$2,000	\$2,000	\$2,000	02/08/2016	
ZCNL 2015-2(HMT)	1	\$5,000	\$5,000	\$5,000	02/08/2016	
ZCRI 2016-1(HMT)	2	\$15,000	\$15,000	\$11,500	04/18/2016	
ZCRP 2016-1(HMT)	2	\$5,000	\$5,000	\$5,000	04/07/2016	
ZCRY 2016-1(HMT)	1	\$15,000	\$15,000	\$12,500	02/24/2016	
ZCSM 2015-1(HMT)	2	\$10,000	\$10,000	\$9,000	02/03/2016	
ZCSM 2015-2(HMT)	1	\$5,000	\$5,000	\$5,000	02/03/2016	
ZCSM 2016-1(HMT)	1	\$10,000	\$10,000	\$7,000	04/04/2016	
ZCSM 2016-2(HMT)	3	\$12,000	\$12,000	\$12,000	06/06/2016	
ZCSU 2015-1(HMT)	1	\$5,000	\$5,000	\$4,000	04/14/2016	
ZCTG 2015-1(HMT)	1	\$10,000	\$10,000	\$9,000	04/25/2016	
ZCTG 2015-2(HMT)	1	\$10,000	\$10,000	\$9,000	04/25/2016	
ZCTG 2015-3(HMT)	2	\$10,000	\$10,000	\$7,500	04/25/2016	
ZCTG 2015-4(HMT)	1	\$5,000	\$5,000	\$4,000	04/24/2016	
ZCXU 2016-1(HMT)	1	\$10,000	\$10,000	\$7,500	03/21/2016	
ZDAC 2015-1(HMT)	1	\$5,000	\$5,000	\$5,000	03/03/2016	
ZDAS 2015-1(HMT)	1	\$5,000	\$5,000	\$3,750	01/12/2016	
ZDCN 2015-1(HMT)	1	\$2,000	\$2,000	\$2,000	02/10/2016	
ZDCU 2014-1(HMT)	1	\$5,000	\$5,000	\$3,750	01/12/2016	
ZDCU 2014-2(HMT)	1	\$5,000	\$5,000	\$4,500	01/12/2016	
ZDCU 2014-3(HMT)	3	\$15,000	\$15,000	\$11,250	01/12/2016	
ZDCU 2015-1(HMT)	2	\$10,000	\$10,000	\$8,750	01/12/2016	

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ZDCU 2015-2(HMT)	1	\$5,000	\$5,000	\$4,000	01/12/2016	
ZDET 2015-1(HMT)	1	\$10,000	\$10,000	\$8,000	01/07/2016	
ZDGC 2016-1(HMT)	1	\$2,000	\$2,000	\$2,000	08/15/2016	
ZDGC 2016-2(HMT)	1	\$2,000	\$2,000	\$2,000	08/15/2016	
ZDPM 2015-1(HMT)	1	\$5,000	\$5,000	\$4,500	05/10/2016	
ZDUP 2015-5(HMT)	1	\$5,000	\$5,000	\$4,000	05/10/2016	
ZDVY 2015-1(HMT)	1	\$2,000	\$2,000	\$2,000	03/23/2016	
ZEACH 2015-3(HMT)	2	\$2,000	\$2,000	\$1,200	10/13/2015	
ZEACH 2015-4(HMT)	1	\$10,000	\$10,000	\$7,500	10/20/2015	
ZEACH 2015-5(HMT)	1	\$2,000	\$2,000	\$1,300	10/20/2015	
ZEACH 2015-6(HMT)	1	\$5,000	\$5,000	\$3,400	10/20/2015	
ZEACH 2016-1(HMT)	3	\$7,000	\$7,000	\$4,800	04/07/2016	
ZEACH 2016-3(HMT)	1	\$2,000	\$2,000	\$1,400	07/19/2016	
ZEACH 2016-4(HMT)	1	\$2,500	\$2,500	\$1,700	07/18/2016	
ZEAV 2015-1(HMT)	1	\$7,500	\$7,500	\$3,750	04/12/2016	
ZEBO 2016-1(HMT)	1	\$5,000	\$5,000	\$5,000	09/20/2016	
ZECB 2015-1(HMT)	2	\$10,000	\$10,000	\$10,000	10/30/2015	
ZECD 2016-1(HMT)	1	\$2,000	\$2,000	\$1,300	04/21/2016	
ZEEA 2016-1(HMT)	2	\$9,000	\$9,000	\$4,950	04/05/2016	
ZEEN 2015-2(HMT)	6	\$18,000	\$18,000	\$13,100	01/20/2016	
ZEES 2012-1(HMT)	2	\$3,000	\$0	\$0	02/01/2016	Case Terminated.
ZEGI 2010-1(HMT)	1	\$2,500	\$0	\$0	10/26/2015	Case Terminated.
ZEKC 2016-1(HMT)	1	\$2,000	\$2,000	\$2,000	08/05/2016	
ZEKO 2015-1(HMT)	2	\$10,000	\$10,000	\$7,000	07/19/2016	
ZEMB 2016-1(HMT)	1	\$5,000	\$5,000	\$5,000	03/18/2016	
ZEMCC 2015-4(HMT)	1	\$5,000	\$0	\$0	02/24/2016	Case Terminated.
ZEMCC 2016-2(HMT)	1	\$10,000	\$10,000	\$7,600	08/25/2016	
ZEME 2016-1(HMT)	1	\$10,000	\$10,000	\$7,300	03/29/2016	
ZEMER 2015-1(HMT)	1	\$5,000	\$5,000	\$5,000	12/10/2015	
ZEMER 2015-2(HMT)	1	\$10,000	\$10,000	\$10,000	12/23/2015	
ZEMR 2016-1(HMT)	2	\$14,000	\$14,000	\$14,000	03/18/2016	
ZEMZ 2015-1(HMT)	2	\$5,000	\$5,000	\$3,000	01/13/2016	
ZENS 2015-1(HMT)	3	\$15,000	\$15,000	\$10,800	10/16/2015	
ZEOB 2016-1(HMT)	2	\$4,000	\$4,000	\$2,800	02/25/2016	
ZEOB 2016-2(HMT)	1	\$5,000	\$5,000	\$3,600	08/05/2016	
ZEPC 2015-1(HMT)	1	\$5,000	\$5,000	\$5,000	10/13/2015	
ZEPC 2015-2(HMT)	2	\$5,000	\$5,000	\$5,000	12/23/2015	
ZEPC 2016-1(HMT)	1	\$10,000	\$10,000	\$10,000	03/22/2016	
ZEQU 2015-1(HMT)	1	\$5,000	\$5,000	\$3,850	01/08/2016	
ZEQU 2015-2(HMT)	2	\$7,000	\$7,000	\$4,900	01/08/2016	
ZEQU 2015-3(HMT)	1	\$5,000	\$5,000	\$3,500	01/08/2016	
ZERV 2015-3(HMT)	3	\$25,000	\$25,000	\$18,800	10/13/2015	
ZERV 2015-4(HMT)	1	\$5,000	\$5,000	\$3,000	08/05/2016	
ZERV 2016-1(HMT)	2	\$4,000	\$4,000	\$4,000	06/20/2016	
ZERV 2016-2(HMT)	1	\$5,000	\$5,000	\$5,000	07/22/2016	
ZERV 2016-3(HMT)	4	\$10,000	\$10,000	\$6,600	08/23/2016	
ZETT 2015-1(HMT)	1	\$2,000	\$2,000	\$600	05/13/2016	
ZEVD 2016-1(HMT)	1	\$2,000	\$2,000	\$2,000	05/13/2016	
ZEVI 2015-1(HMT)	1	\$5,000	\$5,000	\$5,000	03/17/2016	

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ZEVI 2016-1(HMT)	1	\$5,000	\$5,000	\$5,000	05/12/2016	
ZFGC 2016-1(HMT)	1	\$5,000	\$5,000	\$3,800	09/16/2016	
ZFPC 2014-1(HMT)	1	\$5,000	\$5,000	\$5,000	10/05/2015	
ZFRZ 2016-1(HMT)	4	\$17,000	\$17,000	\$17,000	09/16/2016	
ZFSI 2016-1(HMT)	1	\$5,000	\$5,000	\$4,000	09/14/2016	
ZFXI 2016-1(HMT)	1	\$5,000	\$5,000	\$4,000	09/19/2016	
ZGLQ 2014-1(HMT)	2	\$10,000	\$10,000	\$8,000	05/30/2016	
ZGLQ 2014-2(HMT)	1	\$5,000	\$5,000	\$4,000	05/30/2016	
ZGPE 2015-1(HMT)	1	\$5,000	\$5,000	\$4,000	05/10/2016	
ZGPF 2015-1(HMT)	1	\$5,000	\$5,000	\$5,000	11/10/2015	
ZGPS 2014-1(HMT)	2	\$5,000	\$5,000	\$4,000	05/19/2016	
ZGPS 2015-1(HMT)	1	\$5,000	\$5,000	\$5,000	05/20/2016	
ZGSZ 2014-1(HMT)	1	\$10,000	\$10,000	\$3,500	05/02/2016	
ZGSZ 2014-3(HMT)	1	\$5,000	\$5,000	\$3,500	05/02/2016	
ZGSZ 2014-5(HMT)	1	\$7,500	\$7,500	\$6,000	01/07/2016	
ZGSZ 2014-6(HMT)	1	\$5,000	\$5,000	\$5,000	05/02/2016	
ZGSZ 2015-1(HMT)	1	\$10,000	\$10,000	\$10,000	05/09/2016	
ZGSZ 2015-2(HMT)	1	\$7,500	\$7,500	\$6,000	05/09/2016	
ZGSZ 2015-3(HMT)	1	\$5,000	\$5,000	\$3,500	05/02/2016	
ZGTP 2015-1(HMT)	2	\$15,000	\$15,000	\$15,000	05/10/2016	
ZGUE 2015-1(HMT)	1	\$5,000	\$5,000	\$3,550	05/04/2016	
ZGUE 2015-2(HMT)	2	\$7,500	\$7,500	\$5,350	05/04/2016	
ZHAR 2016-1(HMT)	1	\$2,000	\$2,000	\$2,000	09/29/2016	
ZHC 2015-1(HMT)	1	\$2,500	\$2,500	\$2,500	01/12/2016	
ZHCG 2015-1(HMT)	1	\$5,000	\$5,000	\$5,000	12/09/2015	
ZHCG 2016-1(HMT)	1	\$5,000	\$5,000	\$5,000	04/16/2016	
ZHCP 2016-1(HMT)	2	\$10,000	\$10,000	\$8,500	02/26/2016	
ZHCP 2016-2(HMT)	5	\$10,000	\$10,000	\$9,000	06/13/2016	
ZHCQ 2016-1(HMT)	1	\$5,000	\$5,000	\$4,000	04/12/2016	
ZHDR 2015-1(HMT)	1	\$2,000	\$2,000	\$1,700	01/19/2016	
ZHEI 2015-1(HMT)	1	\$2,000	\$2,000	\$1,750	11/02/2015	
ZHEI 2015-2(HMT)	1	\$5,000	\$5,000	\$3,850	11/23/2015	
ZHEO 2015-1(HMT)	2	\$10,000	\$10,000	\$7,500	02/12/2016	
ZHFO 2016-1(HMT)	2	\$4,000	\$4,000	\$3,600	08/22/2016	
ZHFO 2016-2(HMT)	1	\$2,000	\$2,000	\$1,800	08/22/2016	
ZHFR 2015-1(HMT)	1	\$5,000	\$5,000	\$5,000	12/04/2015	
ZHFR 2015-2(HMT)	4	\$40,000	\$40,000	\$32,000	03/24/2016	
ZHFR 2016-1(HMT)	1	\$10,000	\$10,000	\$8,650	07/27/2016	
ZHFR 2016-2(HMT)	1	\$5,000	\$5,000	\$5,000	06/03/2016	
ZHGM 2011-1(HMT)	1	\$2,000	\$0	\$0	01/07/2016	Case Terminated.
ZHGS 2013-1(HMT)	1	\$2,000	\$0	\$0	01/07/2016	Case Terminated.
ZHKR 2015-2(HMT)	1	\$5,000	\$5,000	\$3,950	11/24/2015	
ZHKR 2016-1(HMT)	1	\$5,000	\$5,000	\$4,750	08/11/2016	
ZHLPG 2016-1(HMT)	4	\$19,500	\$4,000	\$3,500	06/23/2016	Terminated Violation(s): 1. Partially Terminated Violation(s): 2.
ZHMS 2016-1(HMT)	1	\$5,000	\$5,000	\$5,000	09/19/2016	
ZHMT 2015-1(HMT)	1	\$5,000	\$5,000	\$5,000	02/25/2016	
ZHNI 2015-2(HMT)	1	\$15,000	\$15,000	\$14,300	11/05/2015	
ZHNI 2016-1(HMT)	1	\$5,000	\$5,000	\$5,000	02/29/2016	

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ZHNI 2016-2(HMT)	1	\$5,000	\$5,000	\$5,000	04/20/2016	
ZHPCO 2015-1(HMT)	1	\$10,000	\$10,000	\$10,000	10/14/2015	
ZHPR 2015-2(HMT)	1	\$5,000	\$5,000	\$5,000	01/08/2016	
ZHRM 2015-1(HMT)	2	\$8,000	\$8,000	\$8,000	02/02/2016	
ZHRS 2016-1(HMT)	1	\$5,000	\$5,000	\$4,500	08/15/2016	
ZHSE 2014-1(HMT)	3	\$20,000	\$20,000	\$20,000	01/06/2016	
ZHSL 2015-1(HMT)	12	\$24,000	\$24,000	\$21,000	11/02/2015	
ZHUN 2015-2(HMT)	1	\$5,000	\$5,000	\$5,000	10/07/2015	
ZHUNT 2015-1(HMT)	5	\$10,000	\$10,000	\$8,750	11/02/2015	
ZHUS 2016-1(HMT)	1	\$10,000	\$10,000	\$8,700	07/07/2016	
ZHWH 2016-1(HMT)	1	\$5,000	\$5,000	\$5,000	04/04/2016	
ZHWH 2016-2(HMT)	1	\$5,000	\$5,000	\$5,000	08/23/2016	
ZHWK 2016-1(HMT)	3	\$11,000	\$11,000	\$8,000	04/04/2016	
ZHWS 2015-1(HMT)	2	\$4,000	\$4,000	\$3,350	11/19/2015	
ZHWS 2015-2(HMT)	2	\$4,000	\$4,000	\$3,350	11/19/2015	
ZHYC 2015-1(HMT)	1	\$2,000	\$2,000	\$2,000	10/07/2015	
ZHYC 2016-1(HMT)	1	\$10,000	\$10,000	\$10,000	03/28/2016	
ZHYC 2016-2(HMT)	1	\$2,000	\$2,000	\$2,000	08/15/2016	
ZICL 2015-1(HMT)	1	\$2,000	\$2,000	\$1,000	05/06/2016	
ZIMA 2016-1(HMT)	4	\$14,000	\$14,000	\$6,500	09/15/2016	
ZIMTB 2015-1(HMT)	1	\$10,000	\$10,000	\$8,000	03/29/2016	
ZIMTB 2015-2(HMT)	1	\$10,000	\$10,000	\$8,000	03/29/2016	
ZIMTB 2016-1(HMT)	1	\$5,000	\$5,000	\$3,500	05/31/2016	
ZINS 2016-1(SA)	1	\$5,000	\$5,000	\$2,500	06/08/2016	
ZIP 2015-3(HMT)	1	\$10,000	\$10,000	\$8,500	02/09/2016	
ZIP 2016-1(HMT)	7	\$17,000	\$17,000	\$13,500	06/29/2016	
ZIP 2016-2(HMT)	1	\$10,000	\$10,000	\$7,000	06/29/2016	
ZIPB 2015-1(HMT)	2	\$7,000	\$7,000	\$7,000	04/29/2016	
ZIPI 2015-1(HMT)	1	\$5,000	\$5,000	\$5,000	10/28/2015	
ZIPI 2016-1(HMT)	1	\$2,000	\$0	\$0	06/20/2016	Case Terminated.
ZIRO 2015-1(HMT)	3	\$6,000	\$6,000	\$6,000	01/29/2016	
ZITT 2015-5(HMT)	1	\$10,000	\$10,000	\$6,500	04/18/2016	
ZITT 2016-1(HMT)	1	\$10,000	\$10,000	\$7,000	04/18/2016	
ZITT 2016-2(HMT)	1	\$5,000	\$5,000	\$3,500	04/18/2016	
ZITT 2016-3(HMT)	1	\$5,000	\$5,000	\$3,500	05/27/2016	
ZIVS 2015-2(HMT)	1	\$5,000	\$5,000	\$5,000	10/13/2015	
ZJBB 2012-1(HMT)	1	\$5,000	\$5,000	\$3,250	10/20/2015	
ZJBB 2015-1(HMT)	1	\$2,000	\$2,000	\$2,000	12/21/2015	
ZJBB 2015-2(HMT)	1	\$2,000	\$2,000	\$2,000	04/29/2016	
ZJBB 2016-1(HMT)	1	\$5,000	\$5,000	\$5,000	06/14/2016	
ZJBH 2015-1(HMT)	2	\$8,000	\$8,000	\$8,000	11/05/2015	
ZJFS 2011-1(HMT)	1	\$5,000	\$0	\$0	08/30/2016	Case Terminated.
ZJHH 2015-1(HMT)	1	\$5,000	\$5,000	\$5,000	01/04/2016	
ZJIT 2011-1(HMT)	1	\$5,000	\$5,000	\$2,000	06/21/2016	
ZJMH 2011-1(HMT)	2	\$4,000	\$0	\$0	03/10/2016	Case Terminated.
ZJRS 2015-1(HMT)	2	\$10,000	\$10,000	\$8,000	06/21/2016	
ZJRS 2015-2(HMT)	1	\$5,000	\$5,000	\$4,000	06/21/2016	
ZJRS 2015-3(HMT)	1	\$5,000	\$5,000	\$4,000	06/21/2016	
ZJRS 2015-4(HMT)	3	\$6,000	\$6,000	\$4,200	06/21/2016	

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ZJRS 2015-5(HMT)	1	\$2,000	\$2,000	\$1,500	06/21/2016	
ZKDM 2015-2(HMT)	1	\$10,000	\$10,000	\$7,000	03/31/2016	
ZKEM 2015-1(HMT)	1	\$5,000	\$5,000	\$2,500	03/08/2016	
ZKML 2015-4(HMT)	2	\$4,000	\$4,000	\$2,400	11/17/2015	
ZKML 2015-5(HMT)	1	\$5,000	\$5,000	\$3,250	02/23/2016	
ZKML 2015-6(HMT)	1	\$2,000	\$2,000	\$1,300	02/23/2016	
ZKML 2016-1(HMT)	1	\$2,000	\$2,000	\$2,000	07/22/2016	
ZKMQ 2015-1(HMT)	1	\$5,000	\$5,000	\$3,000	02/29/2016	
ZKMT 2015-2(HMT)	1	\$5,000	\$5,000	\$5,000	03/01/2016	
ZKPI 2015-1(HMT)	1	\$5,000	\$5,000	\$2,750	02/19/2016	
ZKPI 2015-2(HMT)	1	\$2,000	\$2,000	\$1,000	02/19/2016	
ZKPI 2016-1(HMT)	1	\$5,000	\$5,000	\$3,250	04/25/2016	
ZKUR 2015-1(HMT)	1	\$5,000	\$5,000	\$5,000	12/29/2015	
ZKWS 2014-1(HMT)	2	\$7,000	\$7,000	\$2,900	03/25/2016	
ZKWS 2016-1(HMT)	1	\$5,000	\$5,000	\$3,200	08/04/2016	
ZKWS 2016-2(HMT)	1	\$5,000	\$5,000	\$3,550	08/04/2016	
ZLBZ 2016-1(HMT)	1	\$10,000	\$10,000	\$8,500	08/22/2016	
ZLCS 2014-1(HMT)	1	\$5,000	\$5,000	\$5,000	06/21/2016	
ZLDE 2015-1(HMT)	1	\$5,000	\$5,000	\$3,600	04/13/2016	
ZLDE 2015-2(HMT)	1	\$10,000	\$10,000	\$8,000	04/13/2016	
ZLDE 2015-4(HMT)	1	\$5,000	\$5,000	\$3,500	07/06/2016	
ZLDE 2016-1(HMT)	1	\$10,000	\$10,000	\$7,000	07/06/2016	
ZLDI 2009-1(HMT)	3	\$6,000	\$0	\$0	04/21/2016	Case Terminated.
ZLDI 2009-2(HMT)	1	\$2,500	\$0	\$0	04/21/2016	Case Terminated.
ZLDI 2010-1(HMT)	1	\$4,000	\$0	\$0	04/21/2016	Case Terminated.
ZLDI 2011-1(HMT)	2	\$10,000	\$0	\$0	04/21/2016	Case Terminated.
ZLDI 2011-2(HMT)	1	\$10,000	\$0	\$0	04/21/2016	Case Terminated.
ZLDI 2011-3(HMT)	1	\$2,000	\$2,000	\$1,375	04/21/2016	
ZLDI 2012-1(HMT)	1	\$5,000	\$5,000	\$3,550	04/21/2016	
ZLDI 2012-2(HMT)	2	\$10,000	\$10,000	\$7,100	04/21/2016	
ZLDI 2012-3(HMT)	1	\$2,500	\$2,500	\$1,700	04/21/2016	
ZLDI 2013-1(HMT)	9	\$45,000	\$45,000	\$35,910	04/21/2016	
ZLDI 2013-2(HMT)	17	\$85,000	\$85,000	\$67,830	04/21/2016	
ZLDI 2013-3(HMT)	1	\$10,000	\$10,000	\$7,750	04/21/2016	
ZLDI 2014-1(HMT)	2	\$6,000	\$6,000	\$4,000	04/21/2016	
ZLDI 2015-1(HMT)	1	\$5,000	\$5,000	\$3,750	04/21/2016	
ZLDI 2015-2(HMT)	6	\$26,500	\$26,500	\$17,900	04/21/2016	
ZLDR 2008-1(HMT)	3	\$15,000	\$0	\$0	05/25/2016	Case Terminated.
ZLDR 2009-1(HMT)	2	\$4,500	\$0	\$0	05/25/2016	Case Terminated.
ZLDR 2010-1(HMT)	1	\$5,000	\$0	\$0	05/25/2016	Case Terminated.
ZLDR 2011-1(HMT)	1	\$5,000	\$0	\$0	05/25/2016	Case Terminated.
ZLDR 2016-1(HMT)	1	\$2,500	\$2,500	\$1,625	09/23/2016	
ZLDR 2016-3(HMT)	1	\$10,000	\$10,000	\$6,000	09/30/2016	
ZLHP 2014-1(HMT)	1	\$5,000	\$5,000	\$5,000	06/27/2016	
ZLHP 2015-2(HMT)	1	\$5,000	\$5,000	\$4,250	04/13/2016	
ZLLA 2014-1(HMT)	1	\$10,000	\$10,000	\$8,000	06/15/2016	
ZLLA 2016-1(HMT)	1	\$5,000	\$5,000	\$4,000	06/15/2016	
ZLOC 2011-1(HMT)	1	\$10,000	\$10,000	\$7,750	02/24/2016	
ZLOC 2014-1(HMT)	2	\$10,000	\$10,000	\$6,900	02/24/2016	

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ZLOC 2015-1(HMT)	1	\$10,000	\$10,000	\$7,750	02/24/2016	
ZLOC 2015-2(HMT)	1	\$5,000	\$5,000	\$3,400	02/24/2016	
ZLOC 2015-3(HMT)	1	\$5,000	\$5,000	\$3,450	02/24/2016	
ZLON 2008-1(HMT)	1	\$2,500	\$0	\$0	08/22/2016	Case Terminated.
ZLON 2013-1(HMT)	1	\$5,000	\$5,000	\$3,750	08/22/2016	
ZLON 2014-1(HMT)	1	\$10,000	\$10,000	\$8,500	08/22/2016	
ZLOX 2006-1(HMT)	1	\$15,000	\$0	\$0	07/27/2016	Case Terminated.
ZLOX 2007-1(HMT)	1	\$5,000	\$0	\$0	07/27/2016	Case Terminated.
ZLSP 2010-1(HMT)	1	\$5,000	\$5,000	\$3,750	04/13/2016	
ZLSQ 2016-1(HMT)	1	\$2,500	\$2,500	\$1,500	08/30/2016	
ZLUB 2014-1(HMT)	1	\$10,000	\$10,000	\$10,000	06/01/2016	
ZLUB 2015-1(HMT)	1	\$10,000	\$10,000	\$10,000	06/01/2016	
ZLUB 2016-1(HMT)	4	\$5,000	\$5,000	\$5,000	06/01/2016	
ZLUIN 2013-1(HMT)	1	\$2,000	\$2,000	\$2,000	08/29/2016	
ZLUIN 2015-1(HMT)	1	\$10,000	\$10,000	\$7,000	07/18/2016	
ZLWE 2007-1(HMT)	2	\$10,000	\$0	\$0	07/11/2016	Case Terminated.
ZLWE 2011-1(HMT)	1	\$10,000	\$10,000	\$7,800	05/18/2016	
ZLWE 2015-1(HMT)	2	\$12,500	\$12,500	\$9,400	08/29/2016	
ZLWE 2016-1(HMT)	1	\$10,000	\$10,000	\$8,200	09/30/2016	
ZMCG 2015-1(HMT)	1	\$10,000	\$10,000	\$7,500	11/23/2015	
ZMCL 2015-1(HMT)	1	\$2,000	\$2,000	\$2,000	01/06/2016	
ZMFQ 2015-2(HMT)	1	\$5,000	\$5,000	\$5,000	11/17/2015	
ZMFQ 2015-3(HMT)	1	\$10,000	\$10,000	\$7,500	09/27/2016	
ZMFQ 2016-1(HMT)	4	\$8,000	\$8,000	\$6,000	09/27/2016	
ZMFQ 2016-2(HMT)	1	\$2,000	\$2,000	\$1,500	09/27/2016	
ZMIR 2015-1(HMT)	1	\$2,000	\$2,000	\$1,000	11/02/2015	
ZMIR 2015-2(HMT)	1	\$5,000	\$5,000	\$2,500	01/06/2016	
ZMMPL 2015-1(HMT)	1	\$2,000	\$2,000	\$1,000	12/22/2015	
ZMMPL 2016-1(HMT)	3	\$12,000	\$12,000	\$12,000	05/17/2016	
ZMNP 2016-1(HMT)	1	\$2,000	\$2,000	\$1,300	06/07/2016	
ZMTE 2015-4(HMT)	6	\$30,000	\$30,000	\$30,000	10/16/2015	
ZMVM 2015-1(HMT)	2	\$5,000	\$5,000	\$5,000	08/17/2016	
ZMWE 2016-1(HMT)	1	\$5,000	\$5,000	\$5,000	06/22/2016	
ZMXC 2016-1(HMT)	1	\$10,000	\$10,000	\$7,700	07/29/2016	
ZNAL 2009-1(HMT)	1	\$2,000	\$0	\$0	08/22/2016	Case Terminated.
ZNCN 2016-1(HMT)	1	\$5,000	\$5,000	\$5,000	04/29/2016	
ZNCN 2016-2(HMT)	1	\$10,000	\$10,000	\$10,000	06/14/2016	
ZNDM 2015-2(HMT)	1	\$2,000	\$2,000	\$2,000	05/23/2016	
ZNFC 2009-1(HMT)	2	\$10,000	\$10,000	\$6,000	06/02/2016	
ZNGL 2013-1(HMT)	1	\$2,500	\$2,500	\$2,500	11/25/2015	
ZNGL 2014-1(HMT)	1	\$7,500	\$7,500	\$7,500	11/25/2015	
ZNGL 2014-2(HMT)	1	\$2,500	\$2,500	\$2,500	11/25/2015	
ZNIN 2016-1(HMT)	1	\$2,000	\$2,000	\$1,400	06/14/2016	
ZNJP 2010-1(HMT)	1	\$2,000	\$0	\$0	08/22/2016	Case Terminated.
ZNOGC 2009-1(LI)	1	\$5,000	\$5,000	\$3,000	04/20/2016	
ZNOS 2015-1(HMT)	1	\$5,000	\$5,000	\$5,000	10/07/2015	
ZNRA 2005-1(HMT)	1	\$15,000	\$0	\$0	06/30/2016	Case Terminated.
ZNSI 2010-1(HMT)	1	\$5,000	\$0	\$0	09/20/2016	Case Terminated.
ZNST 2015-1(HMT)	1	\$10,000	\$10,000	\$7,500	03/10/2016	

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ZNTH 2014-1(HMT)	1	\$2,500	\$2,500	\$1,250	07/12/2016	
ZNUC 2012-1(HMT)	1	\$5,000	\$5,000	\$3,750	08/24/2016	
ZNUC 2013-1(HMT)	2	\$10,000	\$10,000	\$6,000	08/24/2016	
ZNWC 2016-1(HMT)	4	\$10,000	\$10,000	\$10,000	05/26/2016	
ZNXE 2015-2(HMT)	1	\$2,000	\$2,000	\$1,400	10/29/2015	
ZNYP 2008-1(HMT)	2	\$15,000	\$0	\$0	06/09/2016	Case Terminated.
ZNYP 2014-1(HMT)	4	\$20,000	\$20,000	\$12,000	06/22/2016	
ZNYT 2008-1(HMT)	2	\$7,500	\$7,500	\$5,250	05/31/2016	
ZOBC 2016-1(HMT)	1	\$2,500	\$0	\$0	06/09/2016	Case Terminated.
ZOCC 2015-2(HMT)	2	\$10,000	\$10,000	\$7,700	12/01/2015	
ZOCC 2015-3(HMT)	1	\$5,000	\$5,000	\$3,850	12/01/2015	
ZOCC 2016-1(HMT)	1	\$5,000	\$5,000	\$3,850	07/12/2016	
ZOCC 2016-2(HMT)	3	\$15,000	\$15,000	\$11,550	07/12/2016	
ZOCI 2016-1(HMT)	2	\$4,000	\$4,000	\$2,800	05/12/2016	
ZOLI 2015-3(HMT)	1	\$5,000	\$5,000	\$4,350	10/22/2015	
ZOLI 2015-4(HMT)	1	\$10,000	\$10,000	\$9,000	01/12/2016	
ZOLI 2016-1(HMT)	4	\$20,000	\$20,000	\$17,400	04/11/2016	
ZOLI 2016-2(HMT)	1	\$5,000	\$5,000	\$4,500	07/12/2016	
ZOMP 2016-1(HMT)	4	\$8,000	\$8,000	\$8,000	07/22/2016	
ZOTER 2015-2(HMT)	1	\$5,000	\$5,000	\$4,750	12/21/2015	
ZOTER 2016-1(HMT)	1	\$10,000	\$10,000	\$8,500	06/20/2016	
ZOTT 2015-3(HMT)	1	\$5,000	\$5,000	\$5,000	04/26/2016	
ZOTT 2016-1(HMT)	4	\$8,000	\$8,000	\$8,000	04/17/2016	
ZOTT 2016-2(HMT)	1	\$2,000	\$2,000	\$2,000	07/08/2016	
ZOXB 2016-1(HMT)	1	\$10,000	\$10,000	\$9,000	09/19/2016	
ZOXM 2015-1(HMT)	1	\$10,000	\$10,000	\$10,000	12/14/2015	
ZOXV 2016-1(HMT)	3	\$30,000	\$30,000	\$23,700	07/12/2016	
ZPAE 2015-1(HMT)	1	\$5,000	\$5,000	\$3,500	04/04/2016	
ZPBL 2015-1(HMT)	1	\$5,000	\$5,000	\$3,600	04/13/2016	
ZPEF 2015-1(HMT)	1	\$5,000	\$5,000	\$3,350	04/05/2016	
ZPEF 2015-2(HMT)	1	\$5,000	\$5,000	\$3,350	04/05/2016	
ZPFP 2015-1(HMT)	1	\$5,000	\$5,000	\$5,000	04/05/2016	
ZPG 2015-1(HMT)	1	\$5,000	\$5,000	\$3,600	04/11/2016	
ZPG 2015-2(HMT)	1	\$5,000	\$5,000	\$3,600	04/11/2016	
ZPGA 2015-1(HMT)	1	\$4,000	\$4,000	\$2,800	04/22/2016	
ZPIL 2015-1(HMT)	1	\$999	\$999	\$999	12/31/2015	
ZPKG 2016-1(HMT)	1	\$10,000	\$10,000	\$7,600	04/21/2016	
ZPLE 2016-1(HMT)	1	\$1,500	\$1,500	\$1,500	03/23/2016	
ZPNK 2016-1(HMT)	2	\$10,000	\$10,000	\$10,000	04/15/2016	
ZPTM 2015-1(HMT)	1	\$5,000	\$5,000	\$5,000	04/05/2016	
ZPVT 2016-1(HMT)	1	\$5,000	\$5,000	\$3,500	04/03/2016	
ZQCH 2015-1(HMT)	1	\$2,000	\$2,000	\$1,350	03/31/2016	
ZQCR 2015-2(HMT)	1	\$2,000	\$2,000	\$2,000	01/19/2016	
ZQTL 2015-1(HMT)	1	\$2,000	\$2,000	\$2,000	12/07/2015	
ZRAY 2015-1(HMT)	2	\$4,000	\$4,000	\$4,000	11/05/2015	
ZRCA 2015-2(HMT)	1	\$5,000	\$5,000	\$5,000	04/26/2016	
ZRCH 2015-1(HMT)	1	\$2,000	\$2,000	\$2,000	11/16/2015	
ZRCQ 2015-1(HMT)	1	\$10,000	\$10,000	\$10,000	11/03/2015	
ZRCY 2015-1(HMT)	1	\$2,000	\$2,000	\$1,500	11/20/2015	

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ZRCZ 2015-1(HMT)	1	\$2,000	\$2,000	\$2,000	10/21/2015	
ZRHK 2014-1(HMT)	2	\$12,000	\$12,000	\$10,300	01/19/2016	
ZRLG 2015-1(HMT)	1	\$10,000	\$10,000	\$9,000	05/24/2016	
ZRLO 2015-2(HMT)	1	\$10,000	\$10,000	\$10,000	04/26/2016	
ZRSF 2015-1(HMT)	1	\$2,000	\$2,000	\$1,700	12/14/2015	
ZRSF 2015-2(HMT)	1	\$10,000	\$10,000	\$9,500	12/14/2015	
ZRSF 2015-3(HMT)	3	\$15,000	\$6,000	\$6,000	12/14/2015	Partially Terminated Violation(s): 1, 2, 3.
ZRSH 2015-1(HMT)	1	\$4,000	\$4,000	\$2,400	10/06/2015	
ZRSH 2015-2(HMT)	1	\$2,500	\$0	\$0	05/20/2016	Case Terminated.
ZRTE 2015-1(HMT)	1	\$5,000	\$5,000	\$5,000	05/09/2016	
ZRUD 2015-1(HMT)	1	\$2,000	\$2,000	\$2,000	11/25/2015	
ZSAB 2015-1(HMT)	1	\$5,000	\$5,000	\$3,350	10/12/2015	
ZSASN 2015-1(HMT)	1	\$5,000	\$5,000	\$3,100	04/04/2016	
ZSAX 2011-1(HMT)	1	\$5,000	\$0	\$0	10/05/2015	Case Terminated.
ZSBL 2015-1(HMT)	1	\$4,000	\$4,000	\$4,000	01/06/2016	
ZSCY 2010-1(HMT)	1	\$5,000	\$0	\$0	10/05/2015	Case Terminated.
ZSDL 2010-1(HMT)	1	\$2,000	\$0	\$0	10/05/2015	Case Terminated.
ZSEAL 2011-1(HMT)	1	\$10,000	\$0	\$0	05/10/2016	Case Terminated.
ZSEU 2015-1(HMT)	1	\$10,000	\$10,000	\$5,500	12/14/2015	
ZSGH 2011-1(HMT)	2	\$6,000	\$0	\$0	05/11/2016	Case Terminated.
ZSHH 2016-1(HMT)	1	\$10,000	\$10,000	\$6,500	07/02/2016	
ZSLE 2015-1(HMT)	1	\$5,000	\$5,000	\$5,000	03/03/2016	
ZSLE 2016-1(HMT)	2	\$10,000	\$10,000	\$10,000	03/03/2016	
ZSLY 2014-1(HMT)	1	\$5,000	\$5,000	\$2,800	01/07/2016	
ZSLY 2014-2(HMT)	2	\$4,000	\$4,000	\$2,000	01/07/2016	
ZSME 2016-2(HMT)	1	\$2,000	\$2,000	\$2,000	03/23/2016	
ZSME 2016-3(HMT)	1	\$2,000	\$2,000	\$2,000	03/28/2016	
ZSMW 2011-1(HMT)	2	\$6,000	\$0	\$0	05/10/2016	Case Terminated.
ZSMW 2011-2(HMT)	3	\$7,000	\$0	\$0	05/10/2016	Case Terminated.
ZSNR 2011-1(HMT)	1	\$2,000	\$0	\$0	12/02/2015	Case Terminated.
ZSOLI 2016-1(HMT)	1	\$2,000	\$2,000	\$1,300	07/02/2016	
ZSSCO 2015-10(HMT)	1	\$10,000	\$10,000	\$7,100	04/04/2016	
ZSSCO 2015-11(HMT)	1	\$5,000	\$5,000	\$3,200	04/04/2016	
ZSSCO 2015-12(HMT)	1	\$5,000	\$2,000	\$1,300	04/04/2016	Partially Terminated Violation(s): 1.
ZSSCO 2015-13(HMT)	1	\$2,000	\$2,000	\$1,300	04/04/2016	
ZSTJ 2015-1(HMT)	1	\$2,000	\$2,000	\$2,000	03/23/2016	
ZSTQ 2015-1(HMT)	1	\$5,000	\$5,000	\$3,500	11/12/2015	
ZSTQ 2016-1(HMT)	3	\$15,000	\$15,000	\$9,900	07/21/2016	
ZSTQ 2016-2(HMT)	1	\$5,000	\$5,000	\$3,400	07/21/2016	
ZSVC 2014-1(HMT)	1	\$10,000	\$10,000	\$6,800	01/07/2016	
ZSVC 2014-2(HMT)	1	\$5,000	\$5,000	\$2,500	12/30/2015	
ZSVC 2016-1(HMT)	1	\$5,000	\$5,000	\$3,400	07/21/2016	
ZSWR 2015-1(HMT)	3	\$10,000	\$10,000	\$6,900	03/03/2016	
ZTAM 2015-1(HMT)	1	\$5,000	\$5,000	\$3,950	04/01/2016	
ZTERM 2016-1(HMT)	1	\$10,000	\$10,000	\$10,000	04/27/2016	
ZTLY 2016-1(HMT)	2	\$4,000	\$4,000	\$4,000	03/09/2016	

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ZTNX 2015-1(HMT)	1	\$2,000	\$2,000	\$2,000	04/07/2016	
ZTNX 2015-2(HMT)	1	\$5,000	\$5,000	\$5,000	05/06/2016	
ZTPC 2015-1(HMT)	1	\$10,000	\$10,000	\$7,975	04/11/2016	
ZTQT 2015-1(HMT)	1	\$10,000	\$10,000	\$10,000	04/04/2016	
ZTRSP 2015-1(HMT)	1	\$4,000	\$4,000	\$4,000	04/07/2016	
ZTSO 2015-1(HMT)	1	\$2,000	\$2,000	\$1,400	04/14/2016	
ZTSS 2016-1(HMT)	1	\$2,000	\$2,000	\$2,000	05/03/2016	
ZULM 2014-3(HMT)	1	\$2,000	\$2,000	\$1,300	03/11/2016	
ZUNC 2016-1(HMT)	1	\$5,000	\$5,000	\$3,900	09/29/2016	
ZUNIV 2015-2(HMT)	1	\$5,000	\$5,000	\$5,000	03/15/2016	
ZUNT 2016-1(HMT)	4	\$10,000	\$10,000	\$6,500	05/25/2016	
ZUPL 2016-1(HMT)	1	\$4,000	\$4,000	\$2,700	05/03/2016	
ZURC 2015-2(HMT)	2	\$4,000	\$4,000	\$4,000	02/17/2016	
ZUSO 2015-1(HMT)	1	\$2,000	\$2,000	\$2,000	03/01/2016	
ZUSO 2016-1(HMT)	1	\$2,000	\$2,000	\$2,000	03/15/2016	
ZUTC 2015-1(HMT)	2	\$20,000	\$20,000	\$20,000	03/01/2016	
ZVPR 2015-1(HMT)	1	\$5,000	\$5,000	\$3,000	11/19/2015	
ZVSA 2015-1(HMT)	1	\$10,000	\$10,000	\$10,000	11/30/2015	
ZWATC 2015-1(HMT)	1	\$10,000	\$10,000	\$7,800	09/26/2016	
ZWATC 2016-1(HMT)	1	\$2,000	\$2,000	\$1,550	09/26/2016	
ZWCA 2015-1(HMT)	1	\$6,000	\$6,000	\$4,800	10/27/2015	
ZWEY 2016-1(HMT)	1	\$3,000	\$3,000	\$2,500	08/08/2016	
ZWEY 2016-2(HMT)	1	\$10,000	\$10,000	\$8,000	08/16/2016	
ZWEY 2016-3(HMT)	5	\$13,000	\$13,000	\$11,000	09/02/2016	
ZWHE 2016-1(HMT)	2	\$20,000	\$20,000	\$20,000	09/15/2016	
ZWMS 2015-3(HMT)	1	\$10,000	\$10,000	\$7,500	10/27/2015	
ZWRB 2015-1(HMT)	1	\$10,000	\$10,000	\$8,000	10/01/2015	
ZWST 2015-1(HMT)	3	\$20,000	\$20,000	\$20,000	01/21/2016	
ZWST 2016-1(HMT)	2	\$6,000	\$6,000	\$5,500	08/04/2016	
ZWTE 2016-1(HMT)	1	\$999	\$999	\$999	09/15/2016	
ZWYO 2015-1(HMT)	1	\$5,000	\$5,000	\$3,600	10/16/2015	
ZYUS 2015-1(HMT)	1	\$5,000	\$5,000	\$5,000	03/23/2016	
ZZCS 2014-1(HMT)	12	\$60,000	\$60,000	\$48,000	03/30/2016	
ZZCS 2014-2(HMT)	1	\$5,000	\$5,000	\$4,000	03/30/2016	
ZZCS 2014-3(HMT)	1	\$5,000	\$5,000	\$4,000	03/30/2016	
ZZCT 2016-1(HMT)	1	\$4,000	\$4,000	\$4,000	03/04/2016	
ZZCT 2016-2(HMT)	1	\$4,000	\$4,000	\$4,000	06/30/2016	
ZZCT 2016-3(HMT)	1	\$4,000	\$4,000	\$4,000	09/13/2016	
ZZGC 2010-1(HMT)	2	\$6,500	\$0	\$0	01/22/2016	Case Terminated.
ZZPM 2014-1(HMT)	6	\$30,000	\$30,000	\$19,000	03/02/2016	
ZZPM 2014-2(HMT)	4	\$20,000	\$20,000	\$12,800	03/02/2016	
ZZPM 2014-3(HMT)	1	\$5,000	\$5,000	\$3,200	03/02/2016	
ZZPM 2015-1(HMT)	2	\$10,000	\$0	\$0	03/02/2016	Case Terminated.
ZZYT 2011-1(HMT)	2	\$6,000	\$0	\$0	05/11/2016	Case Terminated.
Total	6,268	\$21,487,994	\$19,983,494	\$15,753,581		

Respondent

<u>Codes</u>	<u>Respondent Names</u>
AB	Akron Barberton Cluster Railway Co.
ABS	Alabama Southern Railroad
ADCX	Adirondack Scenic Railroad
AERC	ALBANY AND EASTERN RAILROAD COMPANY
AGR	Alabama & Gulf Coast Railway LLC.
ALS	The Alton and Southern Railway Company
ARR	Alaska Railroad Corporation
ATK	National Railroad Passenger Corporation
ATN	Alabama & Tennessee River Railway LLC
AWRR	AUSTIN WESTERN RAILROAD
AZCR	Arizona Central Railroad, Incorporated
BAYL	BAY LINE RAILROAD
BHRR	Birmingham Terminal Railway, LLC
BLOL	BLOOMER SHIPPERS CONNECTING RAILROAD CO.
BM	BOSTON AND MAINE CORPORATION
BNSF	BNSF RAILWAY COMPANY
BNSO	BNSF SUBURBAN OPERATIONS
BPRR	BUFFALO & PITTSBURGH RAILROAD, INC.
CA	CHESAPEAKE & ALBEMARLE RAILROAD COMPANY, INC.
CAGY	Columbus & Greenville Railway
CARS	CAROLINA SOUTHERN RAILROAD COMPANY
CBR	Coos Bay Rail Link
CC	CHICAGO, CENTRAL & PACIFIC RAILROAD COMPANY
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
CFNR	CALIFORNIA NORTHERN RAILROAD CO.
CFRC	CENTRAL FLORIDA RAIL CORRIDOR
CGIV	CARGILL INCORPORATED GOSCNA
CLNA	Carolina Coastal Railway, Inc.
CN	Canadian National Railway Company
CORP	CENTRAL OREGON & PACIFIC RAILROAD, INC.
CP	CANADIAN PACIFIC RAILWAY
CPR	CaterParrott Railnet, LLC
CRL	CHICAGO RAIL LINK
CRSH	Consolidated Rail Corporation
CSS	CHICAGO SOUTHSHORE & SOUTH BEND RAILROAD

Respondent

<u>Codes</u>	<u>Respondent Names</u>
CSX	CSX TRANSPORTATION, INC.
CTM	Chicago Terminal Railroad
CVR	Cimarron Valley Railroad
CWRO	Cleveland Works Railway Co.
DGNO	Dallas, Garland and Northeastern Railroad, Inc.
DH	Delaware & Hudson Railway Co., Inc.
DME	Dakota, Minnesota & Eastern Railroad Co.
DMVW	DAKOTA MISSOURI VALLEY AND WESTERN
EIRR	Eastern Idaho Railroad
ESFR	Eastside Freight Railroad
ENTRY	EAST TENNESSEE RAILWAY L.P.
EWG	EASTERN WASHINGTON GATEWAY RAILROAD
FWWR	FORT WORTH & WESTERN RAILROAD
GLC	GREAT LAKES CENTRAL RAILROAD
GMRC	GREEN MOUNTAIN RAILROAD CORPORATION
GRNW	Great Northwest Railroad
HRRC	HOUSATONIC RAILROAD COMPANY, INC.
IAIS	Iowa Interstate Railroad
IHB	Indiana Harbor Belt Railroad Company
INRD	The Indiana Rail Road Company
IORY	INDIANA & OHIO RAILWAY COMPANY
ISRR	INDIANA SOUTHERN RAILROAD, LLC
KCS	The Kansas City Southern Railway Company
KFR	KETTLE FALLS INTERNATIONAL RAILWAY, LLC.
KRR	KIAMICHI RAILROAD CO., LLC.
LAS	LOUISIANA SOUTHERN RAILROAD
LCR	LAKE RAILWAY
LI	LONG ISLAND RAILROAD
LIRC	LOUISVILLE & INDIANA RAILROAD COMPANY
LNW	LOUISIANA & NORTH WEST RAILROAD COMPANY
LRWN	Little Rock & Western Railway, L.P.
LS	Longview Switching
LSIZ	Lone Star Railroad Contractors, Inc.
LSRC	LAKE STATE RAILWAY COMPANY
LVR	Landisville Railroad, LLC
LVRR	LYCOMING VALLEY RAILROAD
MCCP	MUSKOGEE CITY-COUNTY PORT AUTHORITY
MCRL	Massachusetts Coastal Railroad LLC
MEC	Maine Central Railroad Company

Respondent

<u>Codes</u>	<u>Respondent Names</u>
MET	Modesto and Empire Traction Company
MH	MOUNT HOOD RAILWAY COMPANY
MNA	MISSOURI & NORTHERN ARKANSAS RAILROAD CO., INC.
MNBR	M & B RAILROAD, LLC
MNNR	MINNESOTA COMMERCIAL RAILWAY
MNR	Maine Northern Railway Company
MQT	MARQUETTE RAIL, LLC.
MRA	Mineral Range Inc.
MRL	Montana Rail Link
NAUG	NAUGATUCK
NCTC	North County Transit Coaster
NCTS	North County Transit Sprinter
NCVA	NORTH CAROLINA & VIRGINIA RAILROAD CO., LLC
NCYR	NASH COUNTY RAILROAD
NDW	Napoleon, Defiance & Western Railway
NECR	NEW ENGLAND CENTRAL RAILROAD, INC.
NERR	NASHVILLE & EASTERN RAILROAD
NICD	Northern Indiana Commuter Transportation District
NLA	North Louisiana & Arkansas Railroad
NLR	Northern Lines Railway, LLC
NMRX	NEW MEXICO DEPARTMENT OF TRANSPORTATION
NTRY	Nimishillen and Tuscarawas Railway Company
NTZR	Natchez Railway, LLC
NYA	NEW YORK AND ATLANTIC RAILWAY COMPANY
NYSW	The New York Susquehanna and Western Railway Corp.
OERR	Oregon Eastern Railroad
OHCR	Ohio Central Railroad, Inc.
OSRR	Ohio Southern Railroad, Inc.
PAL	PADUCAH & LOUISVILLE RAILWAY COMPANY
PAS	Pan Am Southern LLC.
PBR	PATAPSCO & BACK RIVERS RAILROAD COMPANY
PCC	Palouse River & Coulee City Railroad Inc.
PGR	PROGRESSIVE RAIL, INC.
PNR	PANHANDLE NORTHERN
PNWR	PORTLAND AND WESTERN RAILROAD INC.
PSAP	PUGET SOUND & PACIFIC RAILROAD
RJCC	R.J. Corman RR Co./Central Kentucky Lines
RJCL	R.J. CORMAN RAILROAD COMPANY/CLEVELAND
RNA	Ripley & New Albany Railroad Company

Respondent

<u>Codes</u>	<u>Respondent Names</u>
RPP	Rusk, Palestine, & Pacific Railroad, LLC.
RSR	ROCHESTER AND SOUTHERN RAILROAD, INC.
RWSI	RailWorks Track Systems, Inc.
SB	SOUTH BUFFALO RAILWAY COMPANY
SCAX	Southern California Regional Rail Authority
SCBG	SANTA CRUZ, BIG TREE & PACIFIC RAILROAD
SCCT	SANTA CLARA COUNTY TRANSIT DISTRICT
SCX	Santa Cruz and Monterey Bay Railway Co.
SCXF	SOUTH CENTRAL FLORIDA EXPRESS, INC.
SDTI	SAN DIEGO METROPOLITAN TRANSIT SYSTEM
SEPA	Southeastern Pennsylvania Transportation Authority
SFRV	South Florida Regional Transportation Authority
SJVR	San Joaquin Valley Railroad Co.
SKOL	South Kansas and Oklahoma Railroad Company
SLC	SAN LUIS CENTRAL RAILROAD COMPANY
SLGW	Salt Lake, Garfield & Western Railway Company
SLR	ST. LAWRENCE & ATLANTIC RAILROAD COMPANY
SLRG	SAN LUIS & RIO GRANDE RAILROAD
SLWC	Stillwater Central Railroad Co., Inc.
SM	St. Mary's Railroad Company
SMRT	Sonoma Marin Area Rail Transit (SMART)
SNC	Saratoga & North Creek Railway, LLC
SOU	Norfolk Southern Railway Company
ST	SPRINGFIELD TERMINAL RAILWAY COMPANY
SW	Southwestern Railroad, Inc.
TIBR	Timber Rock Railroad Company, Inc.
TMBL	Tacoma Municipal Belt Line Railway
TNMR	TEXAS & NEW MEXICO RAILWAY COMPANY
TRMW	Tacoma Rail
TRRA	Terminal Railroad Association of St. Louis
TTR	Talleyrand Terminal Railroad
TXN	Texas New Mexico Railway, LLC.
TXPF	Texas Pacifico Transportation, Ltd.
UFRC	UTAH FRONTRUNNER COMMUTER RAIL
UP	Union Pacific Railroad Company
UTAH	UTAH RAILWAY COMPANY
VCY	Ventura County Railroad Company
WACR	Washington County Railroad Corporation
WATX	WATCO Switching

Respondent

<u>Codes</u>	<u>Respondent Names</u>
WE	Wheeling & Lake Erie Railway Company
WGNS	Wisconsin Great Northern Railroad, Inc.
WGSB	Wabtec Global Services Houston
WNYP	WESTERN NEW YORK & PENNSYLVANIA RAILROAD
WSGQ	Waste Solutions Group, Inc.
WSOR	WISCONSIN & SOUTHERN RAILROAD
WTLC	West Texas and Lubbock Railway Company
WTRY	WILMINGTON TERMINAL RAILROAD INC.
WVR	Willamette Valley Railway Company
XAPU	A-Plus Construction Services Corporation
XATH	ARC TERMINALS HOLDINGS, LLC
XCAI	Cargill, Inc.
XCBR	Constellation Brands Inc.
XCDE	Colloids De Mexico
XCDL	CDL ELECTRIC COMPANY
XCGS	CARGILL SWEETNERS NORTH AMERICA
XCNS	Celanese Ltd.
XCOO	Connacher Oil & Gas
XCUS	Cristal USA., Inc.
XCWW	CW&W CONTRACTORS
XEEL	Estes Express Lines
XEPM	EMERALD PERFORMANCE MATERIALS
XFEF	FedEx Freight, Inc.
XGEO	Georgia Pacific, LLC.
XJML	JOBE MATERIALS, LP
XJPC	J.A. Placek Construction Co.
XLSS	Lone Star Specialties LLC
XMKW	MarkWest Hydrocarbon, Inc.
XMMC	Midwest Missouri Contractors
XMOC	Monsanto Chemicals Co.
XMRR	Midwest Railcar Repair, Inc.
XNEX	Nexen Energy ULC
XNSD	New South Distribution
XOCR	Orange Crush, LLC
XPIE	PT Industrial Electric Co.
XPKR	PROKAR, INC.
XQMC	Quality Metals Corp.
XQUE	Quesenbury Construction
XSNJ	SOUTHERN NEW JERSEY LIGHT RAIL GROUP, LLC

Respondent

<u>Codes</u>	<u>Respondent Names</u>
XSP0	Specialty Polymers, Inc.
XSSP	Solvay Specialty Polymers USA, LLC.
XSTC	Schiber Trucking Co.
XTRG	TRINITY RAIL GROUP, INC.
XUSC	Unipex Solutions Canada Inc.
XWAI	Wilsonart International
XWEG	WOOD ENERGY GROUP, INC.
XWPL	Woodland Pulp LLC
XWTB	W.T.Byler Company
XWTS	Watco Transportation Services
ZAAO	AOC LLC
ZABS	ABF Freight System, Inc.
ZACH	ASHTA CHEMICALS, INC.
ZACR	ADM CORN PROCESSING
ZADN	The Andersons, Inc.
ZADR	ADM Processing
ZAEN	Altex Energy, Ltd.
ZAER	AEROPRES CORPORATION
ZAFF	Affinity Chemical LLC
ZAGB	Abengoa Bioenergy Corporation
ZAGT	AmeriGas Propane L.P.
ZAIL	AIR LIQUIDE USA LLC
ZAKN	Akzo Nobel Functional Chemicals LLC
ZALC	Asarco LLC
ZALN	ALON, USA, LP
ZALQ	Air Liquide Industrial U.S. LP
ZALX	Alexander Chemical Corp.
ZAMC	ARCHER DANIELS MIDLAND CO.
ZAMU	ArrMaz Custom Chemicals
ZAND	THE ANDERSONS, INC.
ZANE	Akzo Nobel Pulp and Performance Chemicals, Inc.
ZANP	Arizona Petroleum Products
ZAOC	Allied Petrochemical LLC
ZAPI	Appvion, Inc.
ZAPM	Ascend Performance Materials LLC
ZARCI	ARIZONA CHEMICAL INC.
ZARE	AVENTINE RENEWABLE ENERGY, INC.
ZARGR	American Refining Group, Inc.
ZARJ	Arrow Material Services

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZARK	ARKEMA, INC.
ZASR	AMERICAN SYNTHETIC RUBBER COMPANY
ZASY	Americas Styrenics
ZATO	Atlas Oil Company
ZATU	American Petroleum Environmental Services Inc.
ZAUG	Agrium
ZAUH	Accutrans In-Plant Services, LLC
ZAUL	ALLIED UNIVERSAL CORPORATION
ZAXE	Axeon Specialty Products
ZAXI	Axiall Corporation
ZBAS	BASF CORPORATION
ZBCP	BOISE WHITE PAPER
ZBEP	Buckeye Partners
ZBKK	Bakken Transload LLC
ZBKO	Bakken Oil Express LLC
ZBRM	Blue Racer Midstream, LLC
ZBSN	Basin Transload, LLC
ZBTZ	Bio Trans Intermodal
ZCALC	CALABRIAN CORP.
ZCBK	C&C Bulk Liquid Transfer, Inc.
ZCCM	CARGILL-CORN MILLING DIVISION
ZCDL	Cardinal Ethanol, LLC
ZCEF	CHIEF ETHANOL FUELS
ZCEH	CENEX HARVEST STATES
ZCEY	Cetane Energy LLC
ZCFC	Chemours Co. FC, LLC
ZCFER	CHICAGO, FT. WAYNE & EASTERN RAILROAD
ZCGB	CONSOLIDATED GRAIN AND BARGE COMPANY
ZCHEV	Chevron Products Company
ZCHV	Chevron Phillips Chemical Company LP
ZCHY	CHEP Catalyst & Chemical Containers, Inc.
ZCIE	CENTRAL INDIANA ETHANOL
ZCLAR	CLARIANT CORPORATION
ZCLX	CHEMTRADE LOGISTICS
ZCM2	CAM2 International, LLC
ZCME	Calumet Montana Refining, LLC
ZCMU	Como Lube and Supplies
ZCNC	CHEROKEE NITROGEN
ZCNL	Canal Terminal Company

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZCRI	Cristal
ZCRP	CARPENTER COMPANY
ZCRY	CHEMTRADE REFINERY SERVICES, INC.
ZCSM	Crestwood Midstream Partners LP
ZCSU	Calumet Superior, LLC
ZCTG	Citgo Petroleum Corporation
ZCXU	Canexus Corporation
ZDAC	Dana Container Inc.
ZDAS	Dow Agrosiences LLC.
ZDCN	Deltech Resin Company
ZDCU	The Dow Chemical Company
ZDET	DIDION ETHANOL
ZDGC	Diageo Canada, Inc.
ZDPM	DCP MIDSTREAM
ZDUP	E.I. DUPONT DE NEMOURS AND COMPANY
ZDVY	Discovery Producer Services
ZEACH	EASTMAN CHEMICAL COMPANY
ZEAV	Epic Aviation LLC
ZEBO	E-Bond Epoxies, Inc.
ZECB	EES COKE BATTERY LLC
ZECD	EMCO CHEMICAL DISTRIBUTORS, INC.
ZEEA	E Energy Adams
ZEEN	ECO ENERGY
ZEES	Essroc Cement Corp.
ZEGI	Everok Group International Forwarding Co., Ltd.
ZEKC	EASTMAN KODAK COMPANY
ZEKO	EKO Peroxide
ZEMB	ExxonMobil Oil Corporation
ZEMCC	ExxonMobil Corporation
ZEME	Emerald Performance Materials
ZEMER	EMERALD SERVICES, INC.
ZEMR	ExxonMobil Oil Corporation
ZEMZ	ExxonMobil Chemical
ZENS	Enersul, Inc.
ZEOB	ECOLAB, Inc.
ZEPC	Enterprise Products Operating LLC
ZEQU	EQUISTAR CHEMICALS LP
ZERV	Elbow River Marketing Ltd
ZETT	Endeavor Tank & Transport LLC

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZEVD	Evonik Corporation
ZEVI	Evonik Corporation
ZFGC	FERRELL GAS, INC.
ZFPC	FORMOSA PLASTICS CO.
ZFRZ	Holly Frontier El Dorado Refining LLC
ZFSI	FSTI Chemical
ZFXI	FXI
ZGLQ	Global Companies
ZGPE	GREEN PLAINS RENEWABLE ENERGY
ZGPF	Georgia-Pacific Chemicals LLC.
ZGPS	GRAIN PROCESSING CORP.
ZGSZ	SGS
ZGTP	Global Tungsten & Powders
ZGUE	Guardian Energy
ZHAR	Harcros Chemicals Inc.
ZHC	HENKEL CORPORATION
ZHCG	HUNTSMAN CORPORATION
ZHCP	Heartland Corn Products
ZHCQ	Heritage-Crystal Clean, LLC
ZHDR	Hood River Distillers
ZHEI	HEXION Inc.
ZHEO	Hess Oil Company
ZHFO	Houston Fuel Oil Terminal Co.
ZHFR	HollyFrontier Refining & Marketing LLC
ZHGM	Hebi Grand Magnesium Co., Ltd.
ZHGS	Haskins Gas Service, Inc.
ZHKR	Hankinson Renewable Energy
ZHLPG	HILGY'S LP GAS
ZHMS	Husky Marketing and Supply Co.
ZHMT	Harmattan Gas Processing LP
ZHNI	Honeywell International, Inc.
ZHPCO	HUNTSMAN PETROCHEMICAL CORP.
ZHPR	HUNTSMAN PERFORMANCE PRODUCTS
ZHRM	HOLLY ENERGY PARTNERS
ZHRS	Horsehead Corporation
ZHSE	HIGH SIERRA ENERGY, LP
ZHSL	Hunt Southland Refining Company
ZHUN	Huntsman Chemical Corporation
ZHUNT	HUNT REFINING COMPANY

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZHUS	Husker Ag Marketing, Inc.
ZHWH	Honeywell International, Inc.
ZHWK	Hawkins, Inc.
ZHWS	Hiram Walker & Sons, Inc.
ZHYC	HYDRITE CHEMICAL CO.
ZICL	ICL PERFORMANCE PRODUCTS, LP
ZIMA	INTERPLASTIC CORPORATION
ZIMTB	IMTT BAYONNE
ZINS	ITS Technologies & Logistics, LLC.
ZIP	INTERNATIONAL PAPER COMPANY
ZIPB	INNOPHOS INC
ZIPI	INEOS PHENOL, INC.
ZIRO	IRVING OIL COMPANY
ZITT	INTERCONTINENTAL TERMINALS COMPANY
ZIVS	INVISTA S.A.R.L.
ZJBB	JIM BEAM BRANDS
ZJBH	JB Hunt
ZJFS	Jacobs Field Service North America, Inc.
ZJHH	Johann Haltermann, LTD
ZJIT	JIT TERMINALS, INC.
ZJMH	J.M.HUBER CORPORATION
ZJRS	J. R. SIMPLOT COMPANY
ZKDM	Kinder Morgan Energy Partners, L.P.
ZKEM	Kemira Water Solutions
ZKML	Kinder Morgan Liquids Terminals, LLC
ZKMQ	Kinder Morgan
ZKMT	KMCO Port Arthur d/b/a KMTEX
ZKPI	Koppers Inc.
ZKUR	Kuraray America, Inc.
ZKWS	KEMIRA WATER SOLUTIONS
ZLBZ	Lubrizol
ZLCS	LAMBERTI CHEMICAL SPECIALTIES
ZLDE	LYONDELL CHEMICAL CO.
ZLDI	Linde North America, Inc.
ZLDR	Louis Dreyfus Company LLC
ZLHP	LBC Houston
ZLLA	LINCOLNLAND AGRI-ENERGY, LLC
ZLOC	Lion Oil Company
ZLON	LONZA, INC.

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZLOX	LOGISTIX
ZLSP	LITTLE SIOUX CORN PROCESSORS
ZLSQ	LeSaint Logistics
ZLUB	Lubrizol Corporation
ZLUIN	LUCITE INTERNATIONAL
ZLWE	LINCOLNWAY ENERGY, LLC
ZMCG	McGregor Company
ZMCL	Michelin North America
ZMFQ	Mosaic Fertilizer LLC
ZMIR	Meier's Wine Cellars
ZMMPL	Magellan Pipeline Company, L.P.
ZMNP	Marathon Petroleum Company
ZMTE	MOTIVA ENTERPRISES, LLC
ZMVM	Mount Vernon Mills, Inc.
ZMWE	Midwest Renewable Energy, LLC
ZMXC	Mexicana De Cobre Sa De CV RR/Co
ZNAL	Nalco Company
ZNCN	Nebraska Corn Processing, LLC
ZNDM	Domtar Paper Company, LLC
ZNFC	NUTRA-FLO CO.
ZNGL	NGL Supply Wholesale, LLC
ZNIN	Neier, Inc.
ZNJP	Navajo Processing
ZNOGC	NEW ORLEANS GULF COAST RAILROAD
ZNOS	NORFALCO, INC.
ZNRA	NORAC COMPANY INC.
ZNSI	NORFOLK SOUTHERN INTERMODAL
ZNST	NGL Supply Terminal Co.
ZNTH	North Shore Mining
ZNUC	NUCOR STEEL CORPORATION
ZNWC	NEW Cooperative, Inc.
ZNXE	Nexeo Solutions Company
ZNYP	Formosa Plastics Corporation
ZNYT	New York Terminals
ZOBC	OLD BRIDGE CHEMICAL, INC.
ZOCC	Occidental Chemical Corporation
ZOCI	OCI Peroxygens
ZOLI	OLIN CORPORATION
ZOMP	OMEGA PARTNERS, LLC

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZOTER	ODFJELL TERMINALS (HOUSTON), INC.
ZOTT	Oiltanking Texas City L.P.
ZOXB	OXBOW Sulphur, Inc.
ZOXM	Oxiteno Mexico
ZOXV	OxyVinyls, LP
ZPAE	PACIFIC ETHANOL INC.
ZPBL	Perry Brothers Oil Company, Inc.
ZPEF	Petroleum Fuel and Terminal Company
ZPFP	PENFORD PRODUCTS
ZPG	PROCTER & GAMBLE
ZPGA	Parker Gas Co., Inc.
ZPIL	PILOT CHEMICALS
ZPKG	PACKAGING CORPORATION OF AMERICA
ZPLE	PLASTICS ENGINEERING
ZPNK	Penn A Kem
ZPTM	PETROLEUM PRODUCTS CORPORATION
ZPVT	PVS TECHNOLOGIES, INC.
ZQCH	Quadra Chemicals, Ltd.
ZQCR	Quality Carriers
ZQTL	QUALITY TRANSLOAD
ZRAY	RAYONIER, INC.
ZRCA	Ruetgers Canada, Inc.
ZRCH	RECOCHEM
ZRCQ	REAGENT CHEMICAL & RESEARCH
ZRCY	Reichhold LLC 2
ZRCZ	ROBERTS CHEMICAL CO., INC.
ZRHK	ROHM & HAAS COMPANY
ZRLG	Rail Link
ZRLO	Rail Loading Services, LLC
ZRSF	Resolute Forest Products
ZRSH	RSI LOGISTICS, INC.
ZRTE	RED TRAIL ENERGY
ZRUD	Rud Oil
ZSAB	SABIC Innovative Plastics
ZSASN	SASOL CHEMICALS NORTH AMERICA
ZSAX	Shanghai Alpha Express, Ltd.
ZSBL	Sunbelt Chemicals, Inc.
ZSCY	SIERRA CHEMICAL COMPANY
ZSDL	Shanghai Di Long International Trade Co., Ltd.

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZSEAL	SEABOARD CONTAINER CLEANING LLC
ZSEU	SUNCOR ENERGY (USA), INC.
ZSGH	Shanghai Shenhong Jinhui Co., Ltd.
ZSHH	Stolthaven Houston, Inc.
ZSLE	SIouxLAND ETHANOL
ZSLY	SOLVAY USA, INCORPORATED
ZSME	Sanimax Energy, Inc.
ZSMW	Shanghai Milky Way Int'l Logistics Co., Ltd.
ZSNR	Sun Products Corporation
ZSOLI	SOLUTIA, INC.
ZSSCO	SAVAGE SERVICES CORPORATION
ZSTJ	STELLA-JONES CORPORATION
ZSTQ	STEPAN COMPANY
ZSVC	SOLVAY CHEMICALS, INC
ZSWR	SINCLAIR WYOMING REFINING CO.
ZTAM	TAMINCO US, INC.
ZTERM	TESORO REFINING AND MARKETING COMPANY
ZTLY	TATE & LYLE INGREDIENTS AMERICAS, INC.
ZTNX	TRONOX INCORPORATED
ZTPC	TPC Group
ZTQT	Torq Transloading, Inc.
ZTRSP	TROPICAL SHIPPING USA, LLC
ZTSO	Transloading Solutions LLC
ZTSS	Tessengerlo Kerley, Inc.
ZULM	Valero Energy Inc.
ZUNC	Union Carbide Corporation
ZUNIV	UNIVAR USA INC.
ZUNT	UNITED SUPPLIERS, INC.
ZUPL	United Prairie, LLC.
ZURC	UNITED REFINING COMPANY
ZUSO	U.S. Venture, Inc.
ZUTC	UNION TANK CAR COMPANY
ZVPR	VP Racing Fuels
ZVSA	Vopak Terminal Savannah
ZWATC	Watco Companies LLC
ZWCA	WESTLAKE CA. AND O CORPORATION
ZWEY	Weyerhaeuser NR Company
ZWHE	White Energy
ZWMS	Williams Ohio Valley Midstream, LLC

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZWRB	WRB Refining, LLC
ZWST	Westway Terminal Company LLC
ZWTE	Water Tech Inc.
ZWYO	Wyoming Operating Company, LLC.
ZYUS	Yusen Logistics (Americas), Inc.
ZZCS	Calumet Specialty Products Partners, LP
ZZCT	CTI, Inc.
ZZGC	Zibo Guangtong Chemical Lmt. Co.
ZZPM	Predator Midstream LTD
ZZYT	Zhejiang Yongtai Technology Company, Ltd