

**Federal  
Railroad  
Administration**

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**Fiscal Year 2015  
Enforcement Report**

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# Federal Railroad Administration Fiscal Year 2015 Enforcement Report

## I. INTRODUCTION

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

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

In 2015, as part of a renewed effort to increase consequences of violations which negatively impact safety, FRA took significant steps to increase penalty amounts paid by railroads. This FY 2015 report includes the following:

- A summary of rail safety and hazmat compliance inspections and audits by FRA or State inspectors and enforcement actions recommended by FRA;
- 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, and the number and rate of reportable accidents and incidents and railroad safety;
- An analysis of locomotive engineer certification cases brought before FRA; and
- A list of civil penalty cases closed by FRA (at Appendix A to this report).

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

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

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

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

**II. SUMMARY OF INSPECTIONS AND AUDITS PERFORMED,  
AND ENFORCEMENT ACTIONS RECOMMENDED  
IN FY 2015**

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

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

Number of Inspection Reports:	63,885
Defects:	266,586
Units:	3,056,969
Number of Observations:	268,388
Number of Reports with a Recommended Violation:	3,816
Number of Recommended Violation Defects:	10,991
Number of Inspection Days:	49,315

**2. Railroads Only**

Number of Inspection Reports:	58,489
Defects:	252,475
Units:	2,990,658
Number of Observations:	251,986
Number of Reports with a Recommended Violation:	3,123
Number of Recommended Violation Defects:	9,568
Number of Inspection Days:	46,616

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

**1. Accident/Incident Reporting**

Violation Type	Number of Recommended Violations
<b>Accident Reporting</b>	76

**2. Grade Crossing Signal System Safety**

Violation Type	Number of Recommended Violations
<b>Grade Crossing Signal Safety</b>	330

### 3. Hazardous Materials

Violation Type	Number of Recommended Violations
Hazardous Materials	1,670

### 4. Industrial Hygiene

Violation Type	Number of Recommended Violations
Occupational Noise Exposure	1

### 5. Motive Power and Equipment

Violation Type	Number of Recommended Violations
Freight Car Safety Standards	376
Locomotive Safety Standards	500
Passenger Equipment Safety Standards	39
Rear End Marking Devices	2
Safety Appliance Statutes and Regulations	1,329
Safety Glazing Standards	13
Steam Locomotive Inspection and Maintenance	2
All	2,261

### 6. Railroad Operating Practices

Violation Type	Number of Recommended Violations
Alcohol and Drug Use	217
Conductor Qualifications	35
Engineer Qualifications	227
FRA Emergency Order(s)	2
Hours of Service Laws and Regulations	1,899
Railroad Communications	10
Railroad Operating Practices	557
Railroad Operating Rules	32
Railroad Safety Enforcement Procedures	88
Train Horn/Quiet Zone	9
All	3,076

**7. Signal and Train Control**

Violation Type	Number of Recommended Violations
<b>Signal Inspection Regulations</b>	285

**8. Track**

Violation Type	Number of Recommended Violations
<b>Bridge Worker Safety Standards</b>	5
<b>Roadway Worker Protection</b>	148
<b>Track Safety Standards</b>	3,200
<b>All</b>	3,353

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

**1. Class I Railroads**

Number of Inspection Reports:	42,607
Defects:	186,875
Units:	2,380,590
Number of Observations:	187,976
Number of Reports with a Recommended Violation:	2,447
Number of Recommended Violation Defects:	8,018
Number of Inspection Days: <sup>5</sup>	34,708

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

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

Number of Inspection Reports:	2,042
Defects:	9,910
Units:	151,351
Number of Observations:	8,758
Number of Reports with a Recommended Violation:	88
Number of Recommended Violation Defects:	151
Number of Inspection Days:	1,784

## 3. Probable Class III Railroads

Number of Inspection Reports:	13,840
Defects:	55,690
Units:	458,717
Number of Observations:	55,252
Number of Reports with a Recommended Violation:	588
Number of Recommended Violation Defects:	1,399
Number of Inspection Days:	11,842

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<sup>6</sup> FRA has identified seven of the eight Class I railroads based on information they filed with the Surface Transportation Board (STB) for calendar year 2014—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:	9,046
Defects:	42,132
Units:	503,381
Number of Observations:	39,073
Number of Reports with a Recommended Violation:	660
Number of Recommended Violation Defects:	2,794
Number of Inspection Days:	7,622

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

Number of Inspection Reports:	2,321
Defects:	11,588
Units:	133,673
Number of Observations:	10,033
Number of Reports with a Recommended Violation:	179
Number of Recommended Violation Defects:	1,110
Number of Inspection Days:	1,995

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

Number of Inspection Reports:	1,508
Defects:	8,478
Units:	136,555
Number of Observations:	7,146
Number of Reports with a Recommended Violation:	104
Number of Recommended Violation Defects:	201
Number of Inspection Days:	1,268

**4. CSX Transportation, Inc.**

Number of Inspection Reports:	9,118
Defects:	41,296
Units:	502,442
Number of Observations:	41,459
Number of Reports with a Recommended Violation:	307
Number of Recommended Violation Defects:	719
Number of Inspection Days:	7,823

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

Number of Inspection Reports:	1,032
Defects:	3,710
Units:	56,786
Number of Observations:	4,702
Number of Reports with a Recommended Violation:	41
Number of Recommended Violation Defects:	84
Number of Inspection Days:	895

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

Number of Inspection Reports:	1,569
Defects:	2,324
Units:	19,869
Number of Observations:	6,046
Number of Reports with a Recommended Violation:	57
Number of Recommended Violation Defects:	213
Number of Inspection Days:	1,303

**7. Norfolk Southern Railway Company**

Number of Inspection Reports:	6,701
Defects:	29,545
Units:	422,891
Number of Observations:	30,728
Number of Reports with a Recommended Violation:	280
Number of Recommended Violation Defects:	426
Number of Inspection Days:	5,828

## 8. Union Pacific Railroad Company

Number of Inspection Reports:	11,312
Defects:	47,802
Units:	604,993
Number of Observations:	48,789
Number of Reports with a Recommended Violation:	819
Number of Recommended Violation Defects:	2,471
Number of Inspection Days:	9,454

### III. SUMMARIES OF CIVIL PENALTY INITIAL ASSESSMENTS, SETTLEMENTS, AND FINAL ASSESSMENTS IN FY 2015

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

##### Summary 1

Summary 1 provides a broad overview of penalties FRA initially assessed during FY 2015, the initial penalty assessment for cases closed during FY 2015, 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 2015 (through demand letters or, in hazmat cases, notices of probable violation);
- The number of violation reports that FRA declined to enforce in FY 2015 after legal review;
- The initial amount of civil penalties assessed for violations in FY 2015 (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 2015;
- 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 2015 (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 2015.<sup>8</sup>

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

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

## Summary 2

To provide more transparency, Summary 2, below, shows initial assessment information only for those cases closed during FY 2015. **All numbers in Summary 2 reflect the initial assessments that resulted in FY 2015 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. However, this report provides the information, as required by the statute, in Assessment and Summary 2. The number of violations provides a better opportunity for standardized review and comparison than does the number of cases.

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

Total number of cases with civil penalties initially assessed in FY 2015:	4,165
Total number of violations with civil penalties initially assessed in FY 2015:	6,485
Total number of violation reports declined during legal review in FY 2015:	126
Total initial amount of civil penalties assessed (POCA) for violations in cases transmitted in FY 2015:	\$22,418,995
Total initial amount of civil penalties assessed (POCA) for violations in cases finally assessed or settled in FY 2015:	\$21,266,498
Total final civil penalty assessment or settlement in FY 2015:	\$15,088,270

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

**1. For Each Class I Railroad Individually in FY 2015**

AMTRAK

Number of cases with civil penalties initially assessed:	66
Number of violations with civil penalties initially assessed:	70
Number of violation reports declined during legal review:	19
Initial amount of civil penalty assessed:	\$260,000

BNSF RAILWAY COMPANY

Number of cases with civil penalties initially assessed:	755
Number of violations with civil penalties initially assessed:	1,139
Number of violation reports declined during legal review:	8
Initial amount of civil penalty assessed:	\$3,830,998

CANADIAN NATIONAL RAILWAY/GRAND TRUNK CORPORATION

Number of cases with civil penalties initially assessed:	220
Number of violations with civil penalties initially assessed:	471
Number of violation reports declined during legal review:	4
Initial amount of civil penalty assessed:	\$1,122,500

CANADIAN PACIFIC RAILWAY/SOO LINE RAILROAD COMPANY

Number of cases with civil penalties initially assessed:	110
Number of violations with civil penalties initially assessed:	174
Number of violation reports declined during legal review:	5
Initial amount of civil penalty assessed:	\$639,000

CSX TRANSPORTATION, INC.

Number of cases with civil penalties initially assessed:	388
Number of violations with civil penalties initially assessed:	451
Number of violation reports declined during legal review:	20
Initial amount of civil penalty assessed:	\$1,584,000

THE KANSAS CITY SOUTHERN RAILWAY COMPANY

Number of cases with civil penalties initially assessed:	39
Number of violations with civil penalties initially assessed:	49
Number of violation reports declined during legal review:	4
Initial amount of civil penalty assessed:	\$171,000

NORFOLK SOUTHERN RAILWAY COMPANY

Number of cases with civil penalties initially assessed:	311
Number of violations with civil penalties initially assessed:	341
Number of violation reports declined during legal review:	13
Initial amount of civil penalty assessed:	\$1,284,000

UNION PACIFIC RAILROAD COMPANY

Number of cases with civil penalties initially assessed:	1,057
Number of violations with civil penalties initially assessed:	1,481
Number of violation reports declined during legal review:	8
Initial amount of civil penalty assessed:	\$4,522,000

**2. For Probable Class II Railroads in the Aggregate in FY 2015**

Number of cases with civil penalties initially assessed:	96
Number of violations with civil penalties initially assessed:	175
Number of violation reports declined during legal review:	1
Initial amount of civil penalty assessed:	\$601,500

**3. For Probable Class III Railroads in the Aggregate in FY 2015<sup>9</sup>**

Number of cases with civil penalties initially assessed:	538
Number of violations with civil penalties initially assessed:	1,081
Number of violation reports declined during legal review:	24
Initial amount of civil penalty assessed:	\$3,403,998

**4. For Hazmat Shippers in the Aggregate in FY 2015**

Number of cases with civil penalties initially assessed:	524
Number of violations with civil penalties initially assessed:	944
Number of violation reports declined during legal review:	15
Initial amount of civil penalty assessed:	\$4,534,499

**5. For Contractors in the Aggregate in FY 2015**

Number of cases with civil penalties initially assessed:	61
Number of violations with civil penalties initially assessed:	109
Number of violation reports declined during legal review:	5
Initial amount of civil penalty assessed:	\$465,500

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<sup>9</sup> This category may be over-inclusive as STB jurisdiction may not extend to some of the commuter railroads that FRA has listed as Class III railroads. Regardless, the “Total final civil penalty assessment or settlement in FY 2015” 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 2015**

Total number of cases closed in FY 2015:	4,080
Total number of violations in cases closed in FY 2015:	6,348
Total initial amount of civil penalty assessed for cases closed (POCA):	\$21,266,498
Total final amount of civil penalty assessed or settlement for cases closed:	\$15,088,270
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$1,291,500
Amount of revised assessment after terminations (PRCA):	\$19,974,998
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$6,178,228
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$4,886,728



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

**1. For Each Class I Railroad Individually in FY 2015**

AMTRAK

Number of cases closed:	55
Number of violations in cases closed:	74
Initial amount of civil penalty assessed for cases closed (POCA):	\$244,000
Final amount of civil penalty assessed or settlement for cases closed:	\$156,650
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$39,000
Amount of revised assessment after terminations (PRCA):	\$205,000
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$87,350
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$48,350

BNSF RAILWAY COMPANY

Number of cases closed:	721
Number of violations in cases closed:	1,129
Initial amount of civil penalty assessed for cases closed (POCA):	\$3,747,999
Final amount of civil penalty assessed or settlement for cases closed:	\$2,850,000
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$111,500
Amount of revised assessment after terminations (PRCA):	\$3,636,499
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$897,999
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$786,499

CANADIAN NATIONAL RAILWAY/GRAND TRUNK CORPORATION

Number of cases closed:	127
Number of violations in cases closed:	653
Initial amount of civil penalty assessed for cases closed (POCA):	\$990,500
Final amount of civil penalty assessed or settlement for cases closed:	\$682,000
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$0
Amount of revised assessment after terminations (PRCA):	\$990,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$308,500
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$308,500

CANADIAN PACIFIC RAILWAY/SOO LINE RAILROAD COMPANY

Number of cases closed:	150
Number of violations in cases closed:	241
Initial amount of civil penalty assessed for cases closed (POCA):	\$899,500
Final amount of civil penalty assessed or settlement for cases closed:	\$551,400
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$250,500
Amount of revised assessment after terminations (PRCA):	\$649,000
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$348,100
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$97,600

CSX TRANSPORTATION, INC.

Number of cases closed:	423
Number of violations in cases closed:	473
Initial amount of civil penalty assessed for cases closed (POCA):	\$1,690,500
Final amount of civil penalty assessed or settlement for cases closed:	\$1,202,865
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$95,000
Amount of revised assessment after terminations (PRCA):	\$1,595,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$487,635
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$392,635

THE KANSAS CITY SOUTHERN RAILWAY COMPANY

Number of cases closed:	71
Number of violations in cases closed:	89
Initial amount of civil penalty assessed for cases closed (POCA):	\$332,500
Final amount of civil penalty assessed or settlement for cases closed:	\$213,485
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$18,000
Amount of revised assessment after terminations (PRCA):	\$314,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$119,015
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$101,015

NORFOLK SOUTHERN RAILWAY COMPANY

Number of cases closed:	316
Number of violations in cases closed:	375
Initial amount of civil penalty assessed for cases closed (POCA):	\$1,332,500
Final amount of civil penalty assessed or settlement for cases closed:	\$940,175
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$104,000
Amount of revised assessment after terminations (PRCA):	\$1,228,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$392,325
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$288,325

UNION PACIFIC RAILROAD COMPANY

Number of cases closed:	1,195
Number of violations in cases closed:	1,473
Initial amount of civil penalty assessed for cases closed (POCA):	\$4,859,000
Final amount of civil penalty assessed or settlement for cases closed:	\$3,589,000
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$137,000
Amount of revised assessment after terminations (PRCA):	\$4,722,000
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$1,270,000
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$1,133,000

**2. For Probable Class II Railroads in the Aggregate in FY 2015**

Number of cases closed:	51
Number of violations in cases closed:	90
Initial amount of civil penalty assessed for cases closed (POCA):	\$280,000
Final amount of civil penalty assessed or settlement for cases closed:	\$220,025
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$2,000
Amount of revised assessment after terminations (PRCA):	\$278,000
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$59,975
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$57,975

**3. For Probable Class III Railroads in the Aggregate in FY 2015**

Number of cases closed:	465
Number of violations in cases closed:	817
Initial amount of civil penalty assessed for cases closed (POCA):	\$2,639,999
Final amount of civil penalty assessed or settlement for cases closed:	\$1,658,140
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$211,000
Amount of revised assessment after terminations (PRCA):	\$2,428,999
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$981,859
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$770,859

**4. For Hazmat Shippers in the Aggregate in FY 2015**

Number of cases closed:	469
Number of violations in cases closed:	883
Initial amount of civil penalty assessed for cases closed (POCA):	\$4,040,000
Final amount of civil penalty assessed or settlement for cases closed:	\$2,861,680
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$321,500
Amount of revised assessment after terminations (PRCA):	\$3,718,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$1,178,320
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$856,820

**5. For Contractors in the Aggregate in FY 2015**

Number of cases closed:	37
Number of violations in cases closed:	51
Initial amount of civil penalty assessed for cases closed (POCA):	\$210,000
Final amount of civil penalty assessed or settlement for cases closed:	\$162,850
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$2,000
Amount of revised assessment after terminations (PRCA):	\$208,000
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$47,150
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$45,150

#### **IV. ENFORCEMENT ACTIONS AGAINST INDIVIDUALS IN FY 2015**

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

Total number of civil penalty cases initially assessed in FY 2015:	1
Total number of violations with civil penalties initially assessed in FY 2015:	1
Total initial amount of civil penalty assessed in FY 2015:	\$9,500
Number of civil penalty cases closed in FY 2015:	0
Total number of violations in cases closed in FY 2015:	0
Total initial amount of civil penalty assessed for cases closed in FY 2015:	\$9,500
Total final amount of civil penalty assessed (or settlement) for cases closed in FY 2015:	\$0
Amount terminated (generally due to legal defenses presented during settlement negotiations) for cases closed in FY 2015:	\$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 2015:	\$0
Difference between initial amount of civil penalty assessed (POCA) and final settlement amount for a violation in a case closed in FY 2015:	\$0



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

Number of notices of proposed disqualification issued and served in FY 2015:	0
Number of proposed disqualification cases closed in FY 2015:	0 <sup>10</sup>
Number of warning letters issued by Office of Chief Counsel in FY 2015:	0
Number of warning letters issued by regional offices of FRA Office of Railroad Safety (regional warning letters) in FY 2015:	26

**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

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<sup>10</sup> 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 in that report, 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 of civil penalties does yield observable improvements in safety practices and compliance with the law. It is important to note that civil penalties are by no means FRA's only enforcement tool.

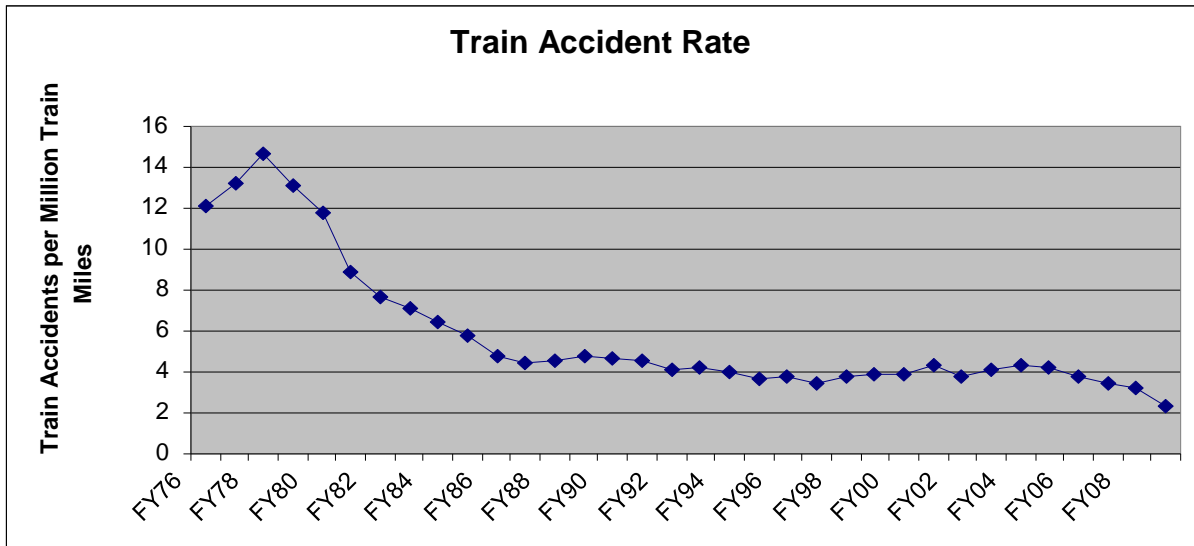
Thus, while FRA cannot precisely quantify the impact of civil penalties, it carefully monitors railroad reactions and responses to enforcement activity, and then adjusts the intensity and duration of focused oversight as necessary. FRA compiles and analyzes a vast amount of data derived from reports the regulated railroads prepare and then 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 have 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, not 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, at times, 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 CASES<sup>11</sup>**

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

Petitions for relief filed with the LERB/OCRB in FY 2015: 70  
[32 Conductor + 38 Locomotive Engineer]

Decisions issued by the LERB/OCRB in FY 2015: 54  
[23 Conductor + 31 Locomotive Engineer]

Average length of time for decision in FY 2015: 244 days from the date petition filed<sup>12</sup>  
(172 days from the date of the railroad's response to the appeal to the date that a decision was issued<sup>13</sup>)

### **B. ADMINISTRATIVE HEARINGS**

Number of pending cases before the Administrative Hearing Officer (AHO) as of October 1, 2014: 6

Number of requests for review by the AHO received during FY 2015: 4

Number of cases closed by the AHO during FY 2015:<sup>14</sup> 7

Number of pending AHO cases as of October 1, 2015: 3

Average length of time for decision or other disposition: 8 months

### **C. APPEALS TO THE ADMINISTRATOR**

Appeals to the Administrator from the AHO decisions filed in FY 2015: 1

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<sup>11</sup> FRA's Locomotive Engineer Review Board (LERB) reviews petitions for initial review of railroad decisions denying or revoking locomotive engineer certifications (49 C.F.R. part 240), while the Operating Crew Review Board (OCRB) reviews petitions for initial review of railroad decisions denying or revoking conductor certifications (49 C.F.R. part 242). Since both Boards share the same board members, FRA intends to merge the two review boards so that both crew members will have their petitions reviewed solely by the OCRB.

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

<sup>13</sup> See note 12.

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

Number of Appeals Pending during FY 2015: (as of October 1, 2014, there were 0 cases pending)	1
Decisions issued by the Administrator during FY 2015:	0
Average length of time for decision issued in FY 2015: (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 2015:	0
Number of hearing-request cases completed in FY 2015:	0 <sup>15</sup>

**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 2015:	0
Number of cases referred to the Attorney General for criminal enforcement in FY 2015:	0

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

Emergency Order No. 30 (EO 30)

On April 17, 2015, FRA issued EO 30 to require trains transporting large amounts of Class 3 flammable liquid to adhere to a 40 miles per hour maximum authorized operating speed limit in high-threat urban areas (highly populated) as defined in 49 C.F.R. § 1580.3. 80 Fed. Reg. 23321 (April 27, 2015). FRA determined that public safety compelled it to issue EO 30 based on railroad accidents involving trains transporting crude oil and ethanol and the increasing reliance on railroads to transport voluminous amounts of those hazardous materials in recent years. EO 30 applies to any train with: (1) 20 or more loaded tank cars in a continuous block, or 35 or more loaded tank cars, of Class 3 flammable liquid; and (2) at least one DOT Specification 111 (DOT-111) tank car (including those built consistent with Association of American Railroads Casualty Prevention Circular 1232) loaded with a Class 3 flammable liquid.

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<sup>15</sup> This number of hearing request cases completed in FY 2015 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 2015. On January 8, 2015, 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.

### Emergency Order No. 31 (EO 31)

On May 21, 2015, FRA issued EO 31 to require that Amtrak take actions to control passenger train speed at certain locations on main line track in the Northeast Corridor (as described by 49 U.S.C. 24905(c)(1)(A)). 80 Fed. Reg. 30534 (May 28, 2015). Under EO 31, Amtrak had to immediately implement code changes to its Automatic Train Control (ATC) System to enforce the passenger train speed limit ahead of the curve at Frankford Junction in Philadelphia, Pennsylvania, where a fatal accident occurred on May 12, 2015. Further, Amtrak also had to identify each main track curve on the Northeast Corridor where there is a significant reduction (more than 20 miles per hour) from the maximum authorized approach speed to those curves for passenger trains. Then, Amtrak had to develop and comply with an FRA-approved action plan to modify its existing ATC System or other signal systems (or take alternative operational actions) to enforce passenger train speed limits at the identified curves. Finally, Amtrak had to install additional wayside passenger train speed limit signs at appropriate locations on its Northeast Corridor right-of-way.

### Southwestern Railroad, Inc. Compliance Agreement

On September 10, 2015, Southwestern Railroad, Inc. (SWRR) entered into a three-year Compliance Agreement (Agreement) with FRA designed to ensure, enhance, track, and document SWRR's compliance with Federal railroad safety laws, regulations, and orders. The Agreement requires strict and timely documentation of compliance with the Agreement in seven major program areas, including a robust training program for all employees, supervisors, and management in those areas. The seven areas the Agreement focuses on are: (1) Track Safety Standards and Railroad Workplace Safety; (2) Bridge Safety Standards; (3) Motive Power and Equipment; (4) Operating Practices; (5) Grade Crossing Signal System Safety; (6) Control of Alcohol and Drug Use; and (7) Accident/Incident Reporting.

**APPENDIX A**  
**“Railroad Safety Civil Penalty Cases Closed during Fiscal Year 2015”**



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

**RAILROAD SAFETY CIVIL PENALTY CASES  
CLOSED DURING FISCAL YEAR 2015**

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 or the hazardous materials transportation laws (HMT) during fiscal year 2015. 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)	\$11,235,978
HMT	\$ 3,852,292
Total Civil Penalties	\$15,088,270

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:

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

FRA identifies railroads and other respondents are by a respondent code (see the legend provided at the end of this report), which appears as the letters in the case number after "FRA No. ". FRA identifies hazardous materials and emergency order cases involving shippers by a respondent code beginning with the letter "Z". FRA identifies cases involving contractors by a respondent code beginning with the letter "X". The column labeled "POCA" shows the initial penalty assessed in the case. The column labeled "PRCA" shows the total amount of the initial assessment for alleged violations that FRA concluded it would be able to sustain if the case were litigated. There are two situations when PRCA does not equal 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 2015

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

Federal Railroad Administration  
Safety Cases Closed in FY 2015

<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
AA 2014-1(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
AB 2015-1(GC)	2	\$7,500	\$7,500	\$5,100	06/12/2015	
AB 2015-2(GC)	2	\$5,000	\$5,000	\$3,400	06/12/2015	
ABWR 2015-1(AD)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
ABWR 2015-2(ROP)	1	\$7,500	\$7,500	\$5,600	09/30/2015	
ACEX 2015-1(ROP)	1	\$5,000	\$5,000	\$2,500	09/18/2015	
ADBF 2014-1(AD)	1	\$2,000	\$2,000	\$650	06/19/2015	
AGCR 2014-2(AD)	1	\$2,500	\$2,500	\$2,500	10/20/2014	
AGCR 2014-3(TS)	1	\$1,000	\$1,000	\$1,000	10/22/2014	
AGR 2014-1(TS)	1	\$1,000	\$1,000	\$800	09/25/2015	
AGR 2014-2(AD)	1	\$5,000	\$5,000	\$3,800	09/25/2015	
AGR 2014-3(TS)	2	\$6,000	\$6,000	\$4,600	09/25/2015	
ALS 2014-3(ROP)	2	\$12,000	\$12,000	\$10,000	02/06/2015	
AM 2014-3(TS)	2	\$10,000	\$10,000	\$6,200	05/05/2015	
AM 2014-4(TS)	12	\$12,000	\$12,000	\$7,800	05/05/2015	
AM 2015-1(HS)	3	\$3,000	\$3,000	\$1,950	05/05/2015	
AM 2015-2(EQ)	1	\$2,000	\$2,000	\$1,000	05/05/2015	
AM 2015-3(HSR)	1	\$1,000	\$1,000	\$650	05/05/2015	
AM 2015-4(AR)	1	\$2,500	\$2,500	\$1,250	05/05/2015	
AM 2015-5(AD)	1	\$2,500	\$2,500	\$1,250	05/05/2015	
AOK 2014-1(GC)	1	\$5,000	\$5,000	\$3,400	12/09/2014	
ARR 2014-1(TS)	4	\$4,000	\$4,000	\$2,600	05/05/2015	
ARR 2015-1(TS)	1	\$5,000	\$5,000	\$3,400	05/05/2015	
ARR 2015-2(GC)	1	\$5,000	\$5,000	\$3,600	08/04/2015	
ASRY 2014-1(GC)	2	\$2,000	\$2,000	\$2,000	03/17/2015	
ASRY 2014-2(GC)	1	\$2,500	\$2,500	\$2,500	10/21/2014	
ATAX 2014-1(TS)	1	\$5,000	\$5,000	\$3,250	10/13/2014	
ATAX 2014-2(HS)	1	\$1,000	\$1,000	\$1,000	04/28/2015	
ATK 2011-62(AR)	1	\$2,500	\$2,500	\$2,000	09/26/2015	
ATK 2011-63(AR)	1	\$2,500	\$2,500	\$2,000	09/26/2015	
ATK 2011-68(AR)	1	\$2,500	\$2,500	\$2,000	09/26/2015	
ATK 2011-70(AR)	1	\$1,000	\$1,000	\$1,000	09/26/2015	
ATK 2011-116(AR)	1	\$2,500	\$2,500	\$1,900	09/26/2015	
ATK 2013-16(HSR)	1	\$1,000	\$1,000	\$800	09/26/2015	
ATK 2014-8(GC)	1	\$5,000	\$0	\$0	09/26/2015	Case Terminated.
ATK 2014-9(GC)	1	\$5,000	\$0	\$0	09/26/2015	Case Terminated.
ATK 2014-10(GC)	1	\$5,000	\$5,000	\$3,950	09/26/2015	
ATK 2014-11(SA)	1	\$2,500	\$2,500	\$2,000	09/26/2015	
ATK 2014-12(TS)	1	\$2,500	\$2,500	\$2,000	09/26/2015	
ATK 2014-13(TS)	1	\$2,500	\$2,500	\$2,000	09/26/2015	
ATK 2014-14(RW)	1	\$3,000	\$3,000	\$2,200	09/26/2015	
ATK 2014-15(RW)	1	\$1,000	\$1,000	\$800	09/26/2015	
ATK 2014-16(RW)	1	\$2,500	\$2,500	\$1,850	09/26/2015	
ATK 2014-17(AD)	3	\$7,500	\$7,500	\$5,800	09/26/2015	
ATK 2014-18(AD)	1	\$5,000	\$5,000	\$3,800	09/26/2015	
ATK 2014-19(TS)	16	\$16,000	\$16,000	\$13,000	09/26/2015	
ATK 2014-20(RSP)	1	\$9,500	\$9,500	\$7,100	09/26/2015	
ATK 2014-21(PEQ)	1	\$5,000	\$5,000	\$3,850	09/26/2015	
ATK 2014-22(LI)	1	\$1,500	\$1,500	\$1,200	09/26/2015	

Federal Railroad Administration  
Safety Cases Closed in FY 2015

<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 2014-23(AD)	1	\$5,000	\$5,000	\$3,800	09/26/2015	
ATK 2014-24(AD)	1	\$5,000	\$0	\$0	09/26/2015	Case Terminated.
ATK 2014-25(PEQ)	1	\$2,500	\$2,500	\$1,950	09/26/2015	
ATK 2014-26(ROP)	1	\$5,000	\$5,000	\$3,800	09/26/2015	
ATK 2014-27(AD)	1	\$5,000	\$5,000	\$3,800	09/26/2015	
ATK 2014-28(RSP)	1	\$2,500	\$2,500	\$1,900	09/26/2015	
ATK 2014-29(AD)	1	\$5,000	\$5,000	\$3,750	09/26/2015	
ATK 2014-30(AD)	1	\$5,000	\$5,000	\$3,750	09/26/2015	
ATK 2014-31(AD)	1	\$2,000	\$0	\$0	09/26/2015	Case Terminated.
ATK 2014-32(TS)	3	\$7,500	\$7,500	\$6,000	09/26/2015	
ATK 2014-33(PEQ)	1	\$5,000	\$5,000	\$2,900	09/26/2015	
ATK 2014-34(ROP)	1	\$5,000	\$3,000	\$2,500	09/26/2015	Partially Terminated Violation(s): 1.
ATK 2014-35(SA)	1	\$2,500	\$2,500	\$1,850	09/26/2015	
ATK 2014-37(PEQ)	1	\$5,000	\$5,000	\$3,650	09/26/2015	
ATK 2014-38(PEQ)	1	\$25,000	\$5,000	\$3,700	09/26/2015	Partially Terminated Violation(s): 1.
ATK 2014-39(PEQ)	1	\$5,000	\$5,000	\$3,700	09/26/2015	
ATK 2014-40(ROP)	1	\$9,500	\$9,500	\$7,000	09/26/2015	
ATK 2014-41(ROP)	1	\$9,500	\$9,500	\$7,000	09/26/2015	
ATK 2014-42(AR)	1	\$2,500	\$2,500	\$1,850	09/26/2015	
ATK 2014-43(AR)	1	\$2,500	\$2,500	\$1,850	09/26/2015	
ATK 2014-44(AR)	1	\$2,500	\$2,500	\$1,950	09/26/2015	
ATK 2014-45(AR)	1	\$2,500	\$2,500	\$1,950	09/26/2015	
ATK 2014-46(AR)	1	\$2,500	\$2,500	\$1,950	09/26/2015	
ATK 2014-47(AR)	1	\$2,500	\$2,500	\$1,950	09/26/2015	
ATK 2014-48(AR)	1	\$2,500	\$2,500	\$1,950	09/26/2015	
ATK 2014-49(PEQ)	1	\$5,000	\$5,000	\$3,850	09/26/2015	
ATK 2014-50(ROP)	1	\$5,000	\$5,000	\$3,750	09/26/2015	
ATK 2014-51(PEQ)	1	\$5,000	\$5,000	\$3,850	09/26/2015	
ATK 2014-52(ROP)	1	\$5,000	\$5,000	\$3,750	09/26/2015	
ATK 2015-1(LI)	1	\$2,000	\$2,000	\$1,550	09/26/2015	
ATK 2015-2(LI)	1	\$2,000	\$2,000	\$1,550	09/26/2015	
ATK 2015-3(LI)	1	\$2,000	\$2,000	\$1,550	09/26/2015	
ATK 2015-4(LI)	1	\$2,000	\$2,000	\$1,550	09/26/2015	
ATK 2015-5(RW)	1	\$2,000	\$2,000	\$1,500	09/26/2015	
ATN 2014-1(TS)	10	\$25,000	\$25,000	\$17,500	11/03/2014	
AWRR 2014-2(FCS)	2	\$5,000	\$5,000	\$3,750	09/30/2015	
AZCR 2014-1(SA)	1	\$2,500	\$2,500	\$1,500	08/04/2015	
BB 2014-2(GC)	1	\$2,500	\$2,500	\$1,750	02/11/2015	
BCR 2014-1(GC)	1	\$2,500	\$2,500	\$1,750	01/28/2015	
BLR 2013-2(SA)	1	\$5,000	\$5,000	\$3,500	03/17/2015	
BLR 2014-1(AR)	1	\$2,500	\$2,500	\$1,750	03/17/2015	
BLR 2014-4(ROP)	1	\$7,500	\$7,500	\$5,250	03/17/2015	
BLR 2014-5(TS)	1	\$2,500	\$2,500	\$1,750	03/17/2015	
BM 2014-1(TS)	1	\$5,000	\$5,000	\$4,100	09/23/2015	
BM 2014-2(ROP)	1	\$7,500	\$7,500	\$6,000	09/23/2015	
BM 2014-3(TS)	1	\$5,000	\$5,000	\$4,200	09/23/2015	
BM 2015-1(TS)	2	\$10,000	\$10,000	\$8,500	09/23/2015	
BM 2015-2(TS)	3	\$15,000	\$15,000	\$12,800	09/23/2015	

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BM 2015-3(TS)	2	\$2,000	\$2,000	\$1,700	09/23/2015	
BNSF 2009-431(AR)	1	\$1,000	\$0	\$0	09/30/2015	Case Terminated.
BNSF 2013-41(TS)	30	\$75,000	\$60,000	\$48,000	09/30/2015	Terminated Violation(s): 5.
BNSF 2013-405(TS)	30	\$30,000	\$30,000	\$21,500	09/30/2015	
BNSF 2013-449(HS)	1	\$1,000	\$1,000	\$700	09/30/2015	
BNSF 2013-535(FCS)	4	\$10,000	\$10,000	\$7,600	09/30/2015	
BNSF 2013-593(TS)	36	\$36,000	\$27,000	\$19,000	09/30/2015	Terminated Violation(s): 1-9.
BNSF 2013-681(SA)	1	\$2,500	\$2,500	\$2,125	09/30/2015	
BNSF 2013-715(HMT)	2	\$7,000	\$7,000	\$5,400	09/30/2015	
BNSF 2013-716(HMT)	2	\$13,500	\$13,500	\$10,525	09/30/2015	
BNSF 2013-718(HMT)	1	\$2,000	\$2,000	\$1,575	09/30/2015	
BNSF 2013-719(HMT)	1	\$2,000	\$2,000	\$1,560	09/30/2015	
BNSF 2013-720(HMT)	2	\$9,000	\$9,000	\$9,000	09/30/2015	
BNSF 2014-9(EP)	1	\$999	\$999	\$750	09/30/2015	
BNSF 2014-11(ROP)	1	\$7,500	\$7,500	\$5,850	09/30/2015	
BNSF 2014-30(SA)	1	\$2,500	\$2,500	\$1,925	09/30/2015	
BNSF 2014-48(TS)	5	\$5,000	\$5,000	\$3,750	09/30/2015	
BNSF 2014-50(TS)	7	\$7,000	\$7,000	\$4,950	09/30/2015	
BNSF 2014-60(RSP)	1	\$2,500	\$2,500	\$2,025	09/30/2015	
BNSF 2014-76(ROP)	1	\$7,500	\$7,500	\$5,825	09/30/2015	
BNSF 2014-78(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2015	
BNSF 2014-92(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2015	
BNSF 2014-97(TS)	1	\$1,000	\$1,000	\$780	09/30/2015	
BNSF 2014-101(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
BNSF 2014-145(TS)	4	\$5,500	\$5,500	\$4,400	09/30/2015	
BNSF 2014-149(FCS)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-153(SA)	1	\$5,000	\$5,000	\$4,150	09/30/2015	
BNSF 2014-157(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
BNSF 2014-159(SA)	1	\$5,000	\$5,000	\$4,150	09/30/2015	
BNSF 2014-161(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2015	
BNSF 2014-165(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2015	
BNSF 2014-169(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
BNSF 2014-173(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2015	
BNSF 2014-177(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2015	
BNSF 2014-180(ROP)	1	\$2,500	\$0	\$0	09/30/2015	Case Terminated.
BNSF 2014-181(ROP)	1	\$2,000	\$2,000	\$1,550	09/30/2015	
BNSF 2014-185(SA)	1	\$2,500	\$2,500	\$2,075	09/30/2015	
BNSF 2014-186(TS)	2	\$3,500	\$3,500	\$2,645	09/30/2015	
BNSF 2014-187(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
BNSF 2014-189(GC)	1	\$5,000	\$5,000	\$4,300	09/30/2015	
BNSF 2014-191(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2015	
BNSF 2014-192(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
BNSF 2014-193(SA)	1	\$2,500	\$2,500	\$2,375	09/30/2015	
BNSF 2014-194(FCS)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
BNSF 2014-195(TS)	3	\$7,500	\$6,000	\$4,980	09/30/2015	Partially Terminated Violation(s): 1.
BNSF 2014-196(TS)	2	\$2,000	\$2,000	\$1,640	09/30/2015	
BNSF 2014-197(ROP)	1	\$7,500	\$7,500	\$5,850	09/30/2015	
BNSF 2014-198(ROP)	1	\$2,000	\$2,000	\$1,500	09/30/2015	
BNSF 2014-199(ROP)	1	\$2,000	\$2,000	\$1,600	09/30/2015	

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BNSF 2014-200(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2015	
BNSF 2014-201(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
BNSF 2014-202(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
BNSF 2014-203(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2015	
BNSF 2014-204(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2015	
BNSF 2014-205(ROP)	1	\$2,000	\$2,000	\$1,600	09/30/2015	
BNSF 2014-206(ROP)	1	\$7,500	\$7,500	\$5,850	09/30/2015	
BNSF 2014-207(LI)	1	\$2,500	\$2,500	\$1,750	09/30/2015	
BNSF 2014-208(SA)	1	\$5,000	\$0	\$0	09/30/2015	Case Terminated.
BNSF 2014-209(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
BNSF 2014-210(ROP)	1	\$5,000	\$5,000	\$4,250	09/30/2015	
BNSF 2014-211(SA)	1	\$5,000	\$5,000	\$4,150	09/30/2015	
BNSF 2014-212(SA)	1	\$5,000	\$5,000	\$4,250	09/30/2015	
BNSF 2014-213(SA)	1	\$5,000	\$5,000	\$3,600	09/30/2015	
BNSF 2014-214(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-215(SA)	1	\$5,000	\$5,000	\$4,500	09/30/2015	
BNSF 2014-216(SA)	1	\$5,000	\$5,000	\$4,150	09/30/2015	
BNSF 2014-217(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
BNSF 2014-218(AR)	1	\$2,500	\$2,500	\$1,825	09/30/2015	
BNSF 2014-219(SA)	1	\$5,000	\$5,000	\$4,150	09/30/2015	
BNSF 2014-220(LI)	1	\$1,500	\$1,500	\$1,150	09/30/2015	
BNSF 2014-221(LI)	1	\$2,500	\$2,500	\$1,825	09/30/2015	
BNSF 2014-223(TS)	1	\$2,500	\$2,500	\$2,125	09/30/2015	
BNSF 2014-224(TS)	1	\$2,500	\$2,500	\$2,125	09/30/2015	
BNSF 2014-225(SA)	1	\$2,500	\$2,500	\$2,075	09/30/2015	
BNSF 2014-226(SA)	1	\$5,000	\$5,000	\$4,150	09/30/2015	
BNSF 2014-227(SA)	1	\$5,000	\$5,000	\$4,150	09/30/2015	
BNSF 2014-228(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2015	
BNSF 2014-229(HS)	2	\$2,000	\$2,000	\$1,560	09/30/2015	
BNSF 2014-230(HS)	2	\$2,000	\$0	\$0	09/30/2015	Case Terminated.
BNSF 2014-231(HS)	2	\$2,000	\$2,000	\$1,400	09/30/2015	
BNSF 2014-232(HS)	1	\$1,000	\$1,000	\$730	09/30/2015	
BNSF 2014-233(HS)	1	\$1,000	\$1,000	\$780	09/30/2015	
BNSF 2014-234(HS)	1	\$1,000	\$1,000	\$780	09/30/2015	
BNSF 2014-235(HS)	30	\$30,000	\$30,000	\$21,900	09/30/2015	
BNSF 2014-236(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
BNSF 2014-237(LI)	1	\$2,500	\$2,500	\$1,825	09/30/2015	
BNSF 2014-238(LI)	1	\$2,500	\$2,500	\$1,925	09/30/2015	
BNSF 2014-239(FCS)	1	\$2,500	\$2,500	\$2,150	09/30/2015	
BNSF 2014-240(FCS)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-241(SI)	1	\$5,000	\$5,000	\$4,400	09/30/2015	
BNSF 2014-242(ROP)	1	\$9,500	\$9,500	\$9,500	09/30/2015	
BNSF 2014-243(ROP)	1	\$7,500	\$7,500	\$5,850	09/30/2015	
BNSF 2014-244(TS)	1	\$5,000	\$5,000	\$4,500	09/30/2015	
BNSF 2014-245(TS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
BNSF 2014-246(TS)	1	\$5,000	\$0	\$0	09/30/2015	Case Terminated.
BNSF 2014-247(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2015	
BNSF 2014-248(EP)	1	\$1,000	\$1,000	\$765	09/30/2015	
BNSF 2014-249(EP)	1	\$1,000	\$1,000	\$750	09/30/2015	



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BNSF 2014-250(EP)	1	\$1,000	\$1,000	\$750	09/30/2015	
BNSF 2014-251(EP)	1	\$1,000	\$1,000	\$755	09/30/2015	
BNSF 2014-252(ROP)	1	\$9,500	\$9,500	\$9,500	09/30/2015	
BNSF 2014-253(ROP)	1	\$7,500	\$7,500	\$5,800	09/30/2015	
BNSF 2014-254(SA)	1	\$5,000	\$5,000	\$4,150	09/30/2015	
BNSF 2014-255(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2015	
BNSF 2014-256(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2015	
BNSF 2014-259(TS)	2	\$5,000	\$5,000	\$3,850	09/30/2015	
BNSF 2014-260(FCS)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
BNSF 2014-261(FCS)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-262(FCS)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-263(ROP)	1	\$7,500	\$7,500	\$5,875	09/30/2015	
BNSF 2014-264(ROP)	1	\$7,500	\$7,500	\$5,850	09/30/2015	
BNSF 2014-265(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2015	
BNSF 2014-266(ROP)	1	\$7,500	\$7,500	\$7,500	09/30/2015	
BNSF 2014-267(TS)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
BNSF 2014-268(TS)	1	\$2,500	\$2,500	\$1,925	09/30/2015	
BNSF 2014-269(ROP)	1	\$7,500	\$7,500	\$5,930	09/30/2015	
BNSF 2014-270(ROP)	1	\$7,500	\$7,500	\$5,930	09/30/2015	
BNSF 2014-271(ROP)	2	\$15,000	\$15,000	\$11,850	09/30/2015	
BNSF 2014-272(FCS)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
BNSF 2014-273(TS)	3	\$3,000	\$3,000	\$2,420	09/30/2015	
BNSF 2014-274(TS)	1	\$5,000	\$5,000	\$3,850	09/30/2015	
BNSF 2014-275(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2015	
BNSF 2014-276(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2015	
BNSF 2014-277(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2015	
BNSF 2014-279(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2015	
BNSF 2014-280(LI)	1	\$2,500	\$2,500	\$1,750	09/30/2015	
BNSF 2014-281(GC)	1	\$5,000	\$5,000	\$4,300	09/30/2015	
BNSF 2014-285(ROP)	1	\$5,000	\$5,000	\$4,000	09/30/2015	
BNSF 2014-286(ROP)	1	\$7,500	\$7,500	\$7,000	09/30/2015	
BNSF 2014-287(ROP)	1	\$2,500	\$2,500	\$1,925	09/30/2015	
BNSF 2014-288(ROP)	1	\$2,000	\$2,000	\$1,600	09/30/2015	
BNSF 2014-289(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
BNSF 2014-290(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
BNSF 2014-291(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
BNSF 2014-292(SA)	1	\$5,000	\$5,000	\$4,150	09/30/2015	
BNSF 2014-293(ROP)	1	\$9,500	\$9,500	\$9,500	09/30/2015	
BNSF 2014-294(ROP)	1	\$9,500	\$9,500	\$9,500	09/30/2015	
BNSF 2014-295(GC)	1	\$5,000	\$5,000	\$4,650	09/30/2015	
BNSF 2014-296(GC)	1	\$1,000	\$1,000	\$825	09/30/2015	
BNSF 2014-297(FCS)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-298(FCS)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
BNSF 2014-299(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
BNSF 2014-300(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
BNSF 2014-301(SA)	1	\$5,000	\$5,000	\$3,675	09/30/2015	
BNSF 2014-302(SA)	1	\$5,000	\$5,000	\$3,675	09/30/2015	
BNSF 2014-303(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2015	
BNSF 2014-304(SA)	1	\$5,000	\$0	\$0	09/30/2015	Case Terminated.

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BNSF 2014-305(SA)	1	\$5,000	\$5,000	\$4,150	09/30/2015	
BNSF 2014-306(SA)	1	\$5,000	\$5,000	\$4,150	09/30/2015	
BNSF 2014-307(ROP)	1	\$7,500	\$7,500	\$5,900	09/30/2015	
BNSF 2014-308(ROP)	1	\$7,500	\$7,500	\$5,825	09/30/2015	
BNSF 2014-309(ROP)	1	\$5,000	\$5,000	\$3,960	09/30/2015	
BNSF 2014-310(RW)	1	\$2,000	\$0	\$0	09/30/2015	Case Terminated.
BNSF 2014-311(TS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
BNSF 2014-312(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2015	
BNSF 2014-313(SA)	1	\$5,000	\$5,000	\$4,250	09/30/2015	
BNSF 2014-314(FCS)	1	\$2,500	\$2,500	\$2,150	09/30/2015	
BNSF 2014-315(FCS)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
BNSF 2014-316(LI)	1	\$2,500	\$0	\$0	09/30/2015	Case Terminated.
BNSF 2014-317(GC)	1	\$5,000	\$5,000	\$4,350	09/30/2015	
BNSF 2014-318(TS)	4	\$10,000	\$10,000	\$9,250	09/30/2015	
BNSF 2014-319(TS)	1	\$2,500	\$2,500	\$2,000	09/30/2015	
BNSF 2014-320(TS)	1	\$1,000	\$1,000	\$900	09/30/2015	
BNSF 2014-321(TS)	1	\$2,500	\$2,500	\$1,925	09/30/2015	
BNSF 2014-322(TS)	1	\$2,500	\$2,500	\$1,925	09/30/2015	
BNSF 2014-323(TS)	1	\$2,500	\$2,500	\$1,925	09/30/2015	
BNSF 2014-324(SA)	1	\$5,000	\$5,000	\$4,125	09/30/2015	
BNSF 2014-325(SA)	1	\$2,500	\$2,500	\$1,865	09/30/2015	
BNSF 2014-326(ROP)	1	\$9,500	\$9,500	\$9,000	09/30/2015	
BNSF 2014-327(ROP)	1	\$9,500	\$9,500	\$7,350	09/30/2015	
BNSF 2014-328(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
BNSF 2014-329(SA)	1	\$5,000	\$5,000	\$4,025	09/30/2015	
BNSF 2014-330(GC)	1	\$5,000	\$5,000	\$4,300	09/30/2015	
BNSF 2014-331(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
BNSF 2014-333(HS)	3	\$3,000	\$3,000	\$2,250	09/30/2015	
BNSF 2014-334(TS)	2	\$3,500	\$3,500	\$2,695	09/30/2015	
BNSF 2014-336(TS)	7	\$18,000	\$18,000	\$15,040	09/30/2015	
BNSF 2014-337(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-339(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2015	
BNSF 2014-340(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-341(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
BNSF 2014-342(FCS)	1	\$2,500	\$2,500	\$1,810	09/30/2015	
BNSF 2014-343(RMM)	1	\$5,000	\$5,000	\$3,575	09/30/2015	
BNSF 2014-345(TS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
BNSF 2014-346(TS)	1	\$2,500	\$2,500	\$1,925	09/30/2015	
BNSF 2014-348(TS)	8	\$8,000	\$8,000	\$6,000	09/30/2015	
BNSF 2014-349(TS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
BNSF 2014-351(TS)	2	\$5,000	\$5,000	\$3,850	09/30/2015	
BNSF 2014-352(TS)	2	\$2,000	\$2,000	\$1,520	09/30/2015	
BNSF 2014-354(TS)	1	\$5,000	\$5,000	\$3,850	09/30/2015	
BNSF 2014-357(ROP)	1	\$7,500	\$7,500	\$5,900	09/30/2015	
BNSF 2014-358(ROP)	1	\$7,500	\$7,500	\$5,900	09/30/2015	
BNSF 2014-359(ROP)	4	\$8,000	\$8,000	\$6,245	09/30/2015	
BNSF 2014-360(ROP)	1	\$2,000	\$2,000	\$1,600	09/30/2015	
BNSF 2014-361(ROP)	1	\$2,000	\$2,000	\$1,600	09/30/2015	
BNSF 2014-362(FCS)	1	\$2,500	\$2,500	\$1,750	09/30/2015	

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BNSF 2014-363(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2015	
BNSF 2014-364(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
BNSF 2014-366(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
BNSF 2014-367(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
BNSF 2014-368(SA)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
BNSF 2014-369(ROP)	1	\$7,500	\$7,500	\$5,950	09/30/2015	
BNSF 2014-370(ROP)	1	\$7,500	\$7,500	\$5,915	09/30/2015	
BNSF 2014-372(ROR)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-373(ROR)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-375(GC)	1	\$5,000	\$5,000	\$4,300	09/30/2015	
BNSF 2014-376(TS)	2	\$5,000	\$5,000	\$4,900	09/30/2015	
BNSF 2014-378(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2015	
BNSF 2014-379(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
BNSF 2014-381(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2015	
BNSF 2014-382(FCS)	3	\$15,000	\$15,000	\$13,500	09/30/2015	
BNSF 2014-383(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-384(RW)	1	\$2,000	\$2,000	\$1,460	09/30/2015	
BNSF 2014-386(FCS)	1	\$2,500	\$2,500	\$1,825	09/30/2015	
BNSF 2014-387(HS)	2	\$2,000	\$2,000	\$1,400	09/30/2015	
BNSF 2014-388(FCS)	1	\$2,500	\$2,500	\$2,000	09/30/2015	
BNSF 2014-390(TS)	3	\$3,000	\$3,000	\$2,340	09/30/2015	
BNSF 2014-391(FCS)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
BNSF 2014-392(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
BNSF 2014-394(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-395(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-396(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-398(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-399(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-400(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-401(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-402(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-403(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-404(ROP)	1	\$5,000	\$5,000	\$3,925	09/30/2015	
BNSF 2014-406(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-407(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-408(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-409(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-410(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-411(SA)	1	\$5,000	\$5,000	\$3,550	09/30/2015	
BNSF 2014-413(ROP)	1	\$7,500	\$7,500	\$5,825	09/30/2015	
BNSF 2014-414(ROP)	1	\$7,500	\$7,500	\$5,915	09/30/2015	
BNSF 2014-417(ROP)	1	\$9,500	\$9,500	\$7,350	09/30/2015	
BNSF 2014-418(ROP)	1	\$9,500	\$5,000	\$4,000	09/30/2015	Partially Terminated Violation(s): 1.
BNSF 2014-419(ROP)	1	\$9,500	\$9,500	\$9,000	09/30/2015	
BNSF 2014-420(ROP)	1	\$2,000	\$2,000	\$1,600	09/30/2015	
BNSF 2014-421(ROP)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
BNSF 2014-423(SA)	1	\$1,000	\$1,000	\$750	09/30/2015	
BNSF 2014-424(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
BNSF 2014-425(SA)	1	\$5,000	\$5,000	\$3,965	09/30/2015	

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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 2014-426(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-427(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-428(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-429(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-430(RW)	1	\$3,000	\$3,000	\$2,400	09/30/2015	
BNSF 2014-431(LI)	1	\$2,500	\$2,500	\$2,250	09/30/2015	
BNSF 2014-433(TS)	1	\$1,000	\$1,000	\$800	09/30/2015	
BNSF 2014-434(TS)	6	\$13,500	\$13,500	\$10,145	09/30/2015	
BNSF 2014-435(TS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
BNSF 2014-437(TS)	1	\$1,000	\$1,000	\$770	09/30/2015	
BNSF 2014-438(TS)	2	\$5,000	\$5,000	\$3,750	09/30/2015	
BNSF 2014-439(TS)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
BNSF 2014-441(TS)	4	\$4,000	\$4,000	\$3,000	09/30/2015	
BNSF 2014-442(TS)	2	\$10,000	\$10,000	\$8,000	09/30/2015	
BNSF 2014-443(TS)	2	\$10,000	\$10,000	\$8,500	09/30/2015	
BNSF 2014-444(TS)	8	\$19,500	\$19,500	\$15,400	09/30/2015	
BNSF 2014-445(TS)	6	\$7,500	\$7,500	\$6,125	09/30/2015	
BNSF 2014-446(TS)	2	\$10,000	\$10,000	\$7,800	09/30/2015	
BNSF 2014-447(TS)	3	\$15,000	\$15,000	\$11,700	09/30/2015	
BNSF 2014-448(TS)	5	\$25,000	\$25,000	\$19,500	09/30/2015	
BNSF 2014-449(TS)	4	\$12,500	\$12,500	\$10,050	09/30/2015	
BNSF 2014-450(TS)	1	\$2,500	\$2,500	\$2,000	09/30/2015	
BNSF 2014-451(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2015	
BNSF 2014-452(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2015	
BNSF 2014-453(SA)	1	\$5,000	\$5,000	\$4,150	09/30/2015	
BNSF 2014-454(SA)	1	\$5,000	\$5,000	\$3,575	09/30/2015	
BNSF 2014-455(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2015	
BNSF 2014-456(SA)	1	\$5,000	\$5,000	\$3,375	09/30/2015	
BNSF 2014-457(SA)	2	\$7,500	\$7,500	\$5,475	09/30/2015	
BNSF 2014-458(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-459(HS)	1	\$1,000	\$1,000	\$735	09/30/2015	
BNSF 2014-460(TS)	1	\$1,000	\$1,000	\$820	09/30/2015	
BNSF 2014-461(SA)	1	\$5,000	\$5,000	\$4,500	09/30/2015	
BNSF 2014-462(SA)	1	\$5,000	\$5,000	\$4,275	09/30/2015	
BNSF 2014-463(SA)	1	\$5,000	\$5,000	\$4,500	09/30/2015	
BNSF 2014-464(TS)	1	\$2,500	\$2,500	\$1,975	09/30/2015	
BNSF 2014-465(TS)	1	\$1,000	\$1,000	\$800	09/30/2015	
BNSF 2014-466(TS)	2	\$5,000	\$5,000	\$3,850	09/30/2015	
BNSF 2014-467(TS)	1	\$2,500	\$2,500	\$1,925	09/30/2015	
BNSF 2014-468(TS)	3	\$6,000	\$6,000	\$4,620	09/30/2015	
BNSF 2014-469(TS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
BNSF 2014-470(TS)	3	\$4,500	\$4,500	\$3,425	09/30/2015	
BNSF 2014-471(SA)	2	\$10,000	\$10,000	\$7,230	09/30/2015	
BNSF 2014-472(TS)	2	\$5,000	\$5,000	\$3,800	09/30/2015	
BNSF 2014-473(TS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
BNSF 2014-474(SA)	1	\$5,000	\$5,000	\$3,525	09/30/2015	
BNSF 2014-475(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
BNSF 2014-476(SA)	1	\$5,000	\$5,000	\$4,100	09/30/2015	
BNSF 2014-479(HSR)	1	\$1,000	\$1,000	\$710	09/30/2015	

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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 2014-480(HMT)	9	\$9,000	\$9,000	\$7,125	09/30/2015	
BNSF 2014-481(HMT)	3	\$14,000	\$14,000	\$11,250	09/30/2015	
BNSF 2014-482(HMT)	2	\$13,500	\$13,500	\$12,000	09/30/2015	
BNSF 2014-483(HMT)	1	\$6,000	\$6,000	\$4,650	09/30/2015	
BNSF 2014-484(HMT)	1	\$2,000	\$2,000	\$1,560	09/30/2015	
BNSF 2014-485(HMT)	1	\$4,000	\$4,000	\$3,200	09/30/2015	
BNSF 2014-486(HMT)	5	\$36,000	\$36,000	\$27,750	09/30/2015	
BNSF 2014-487(HMT)	2	\$12,000	\$12,000	\$9,975	09/30/2015	
BNSF 2014-488(HMT)	1	\$6,000	\$6,000	\$4,625	09/30/2015	
BNSF 2014-489(HMT)	1	\$2,000	\$2,000	\$1,550	09/30/2015	
BNSF 2014-490(HMT)	1	\$6,000	\$6,000	\$4,450	09/30/2015	
BNSF 2014-491(HMT)	1	\$6,000	\$6,000	\$4,700	09/30/2015	
BNSF 2014-492(HMT)	9	\$18,000	\$18,000	\$14,350	09/30/2015	
BNSF 2014-494(HMT)	2	\$11,000	\$11,000	\$8,500	09/30/2015	
BNSF 2014-495(HMT)	8	\$16,000	\$16,000	\$12,300	09/30/2015	
BNSF 2014-496(HMT)	6	\$30,000	\$30,000	\$24,000	09/30/2015	
BNSF 2014-498(HMT)	1	\$5,000	\$0	\$0	09/30/2015	Case Terminated.
BNSF 2014-499(HMT)	1	\$8,000	\$8,000	\$8,000	09/30/2015	
BNSF 2014-500(HMT)	1	\$2,500	\$2,500	\$2,500	09/30/2015	
BNSF 2014-502(HMT)	1	\$4,000	\$4,000	\$3,050	09/30/2015	
BNSF 2014-503(HMT)	1	\$4,000	\$4,000	\$3,200	09/30/2015	
BNSF 2014-504(HMT)	1	\$10,000	\$10,000	\$8,875	09/30/2015	
BNSF 2014-505(HMT)	1	\$2,000	\$2,000	\$1,600	09/30/2015	
BNSF 2014-506(HMT)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
BNSF 2014-507(HMT)	3	\$12,000	\$4,000	\$4,000	09/30/2015	Terminated Violation(s): 2,3.
BNSF 2014-508(HMT)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
BNSF 2014-509(HMT)	1	\$4,000	\$4,000	\$3,200	09/30/2015	
BNSF 2014-510(SA)	1	\$5,000	\$5,000	\$4,300	09/30/2015	
BNSF 2014-511(GC)	1	\$5,000	\$5,000	\$4,425	09/30/2015	
BNSF 2014-512(SI)	1	\$5,000	\$5,000	\$4,625	09/30/2015	
BNSF 2014-513(ROP)	1	\$9,500	\$9,500	\$7,600	09/30/2015	
BNSF 2014-514(ROP)	1	\$9,500	\$9,500	\$9,500	09/30/2015	
BNSF 2014-515(ROP)	1	\$7,500	\$7,500	\$5,975	09/30/2015	
BNSF 2014-516(ROP)	1	\$7,500	\$7,500	\$6,050	09/30/2015	
BNSF 2014-517(ROP)	1	\$7,500	\$7,500	\$5,850	09/30/2015	
BNSF 2014-518(FCS)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
BNSF 2014-519(HMT)	1	\$5,000	\$5,000	\$3,975	09/30/2015	
BNSF 2014-520(FCS)	1	\$5,000	\$5,000	\$3,650	09/30/2015	
BNSF 2014-521(SA)	1	\$5,000	\$5,000	\$3,950	09/30/2015	
BNSF 2014-522(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2015	
BNSF 2014-523(SA)	1	\$5,000	\$0	\$0	09/30/2015	Case Terminated.
BNSF 2014-524(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2015	
BNSF 2014-525(EP)	1	\$1,000	\$1,000	\$755	09/30/2015	
BNSF 2014-526(ROP)	1	\$7,500	\$7,500	\$6,000	09/30/2015	
BNSF 2014-527(ROP)	1	\$7,500	\$7,500	\$6,000	09/30/2015	
BNSF 2014-528(ROP)	1	\$7,500	\$7,500	\$5,900	09/30/2015	
BNSF 2014-529(ROP)	1	\$9,500	\$9,500	\$9,500	09/30/2015	
BNSF 2014-531(TS)	2	\$7,500	\$7,500	\$5,700	09/30/2015	
BNSF 2014-532(SA)	1	\$5,000	\$5,000	\$4,200	09/30/2015	

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BNSF 2014-533(SA)	1	\$5,000	\$5,000	\$4,125	09/30/2015	
BNSF 2014-534(SA)	1	\$5,000	\$5,000	\$4,150	09/30/2015	
BNSF 2014-535(SA)	1	\$5,000	\$5,000	\$4,150	09/30/2015	
BNSF 2014-536(SA)	1	\$5,000	\$5,000	\$4,300	09/30/2015	
BNSF 2014-537(SA)	1	\$5,000	\$5,000	\$4,400	09/30/2015	
BNSF 2014-538(TS)	3	\$3,000	\$3,000	\$2,430	09/30/2015	
BNSF 2014-539(ROP)	1	\$9,500	\$9,500	\$7,500	09/30/2015	
BNSF 2014-540(ROP)	1	\$7,500	\$7,500	\$5,825	09/30/2015	
BNSF 2014-541(ROP)	1	\$7,500	\$7,500	\$5,815	09/30/2015	
BNSF 2014-542(ROP)	1	\$7,500	\$7,500	\$5,835	09/30/2015	
BNSF 2014-543(ROP)	1	\$7,500	\$7,500	\$5,840	09/30/2015	
BNSF 2014-544(ROP)	1	\$7,500	\$7,500	\$5,825	09/30/2015	
BNSF 2014-545(HMT)	1	\$5,000	\$0	\$0	09/30/2015	Case Terminated.
BNSF 2014-546(LI)	1	\$2,500	\$2,500	\$1,825	09/30/2015	
BNSF 2014-547(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2015	
BNSF 2014-548(SA)	1	\$5,000	\$5,000	\$3,525	09/30/2015	
BNSF 2014-549(SA)	1	\$5,000	\$5,000	\$4,220	09/30/2015	
BNSF 2014-550(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
BNSF 2014-551(SA)	1	\$5,000	\$5,000	\$4,225	09/30/2015	
BNSF 2014-553(ROP)	3	\$6,000	\$6,000	\$1,950	09/30/2015	
BNSF 2014-554(FCS)	1	\$5,000	\$5,000	\$3,650	09/30/2015	
BNSF 2014-555(FCS)	1	\$5,000	\$5,000	\$3,650	09/30/2015	
BNSF 2014-556(SA)	1	\$2,500	\$2,500	\$2,100	09/30/2015	
BNSF 2014-557(SA)	1	\$5,000	\$5,000	\$4,100	09/30/2015	
BNSF 2014-558(ROP)	1	\$2,000	\$2,000	\$650	09/30/2015	
BNSF 2014-559(TS)	4	\$5,500	\$5,500	\$4,125	09/30/2015	
BNSF 2014-560(SA)	1	\$5,000	\$5,000	\$4,100	09/30/2015	
BNSF 2014-561(SA)	1	\$5,000	\$5,000	\$4,200	09/30/2015	
BNSF 2014-562(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-563(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-564(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-565(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-566(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-567(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-568(SA)	1	\$5,000	\$5,000	\$4,200	09/30/2015	
BNSF 2014-569(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-570(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-571(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-572(FCS)	1	\$2,500	\$2,500	\$2,150	09/30/2015	
BNSF 2014-573(FCS)	1	\$5,000	\$5,000	\$3,650	09/30/2015	
BNSF 2014-574(FCS)	2	\$5,000	\$5,000	\$3,700	09/30/2015	
BNSF 2014-575(SA)	1	\$5,000	\$5,000	\$3,525	09/30/2015	
BNSF 2014-576(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2015	
BNSF 2014-577(SA)	1	\$5,000	\$5,000	\$3,525	09/30/2015	
BNSF 2014-578(SA)	1	\$1,000	\$1,000	\$730	09/30/2015	
BNSF 2014-580(SA)	1	\$5,000	\$5,000	\$3,475	09/30/2015	
BNSF 2014-581(SA)	1	\$10,000	\$10,000	\$7,300	09/30/2015	
BNSF 2014-582(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-583(SA)	1	\$5,000	\$5,000	\$3,550	09/30/2015	

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BNSF 2014-584(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-585(SA)	1	\$5,000	\$5,000	\$4,200	09/30/2015	
BNSF 2014-586(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-587(SA)	1	\$5,000	\$5,000	\$4,200	09/30/2015	
BNSF 2014-588(SA)	1	\$5,000	\$5,000	\$4,200	09/30/2015	
BNSF 2014-589(SA)	1	\$5,000	\$5,000	\$4,200	09/30/2015	
BNSF 2014-590(SA)	1	\$5,000	\$5,000	\$4,300	09/30/2015	
BNSF 2014-591(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
BNSF 2014-592(ROP)	1	\$7,500	\$7,500	\$5,825	09/30/2015	
BNSF 2014-593(ROP)	1	\$9,500	\$9,500	\$7,350	09/30/2015	
BNSF 2014-594(GC)	1	\$5,000	\$5,000	\$4,300	09/30/2015	
BNSF 2014-595(FCS)	1	\$2,500	\$2,500	\$1,825	09/30/2015	
BNSF 2014-596(SA)	1	\$5,000	\$5,000	\$3,525	09/30/2015	
BNSF 2014-597(SA)	2	\$4,500	\$4,500	\$3,515	09/30/2015	
BNSF 2014-598(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-599(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-600(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-601(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-602(TS)	1	\$1,000	\$1,000	\$765	09/30/2015	
BNSF 2014-603(TS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
BNSF 2014-604(TS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
BNSF 2014-605(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2015	
BNSF 2014-606(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-608(TH)	1	\$5,000	\$5,000	\$3,875	09/30/2015	
BNSF 2014-609(TS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
BNSF 2014-610(ROP)	1	\$7,500	\$7,500	\$5,800	09/30/2015	
BNSF 2014-611(ROP)	1	\$7,500	\$7,500	\$5,900	09/30/2015	
BNSF 2014-612(ROP)	2	\$10,000	\$10,000	\$7,850	09/30/2015	
BNSF 2014-613(ROR)	1	\$5,000	\$5,000	\$3,500	09/30/2015	
BNSF 2014-614(EP)	1	\$1,000	\$1,000	\$1,000	09/30/2015	
BNSF 2014-615(SI)	1	\$5,000	\$5,000	\$4,050	09/30/2015	
BNSF 2014-616(GC)	1	\$5,000	\$5,000	\$4,350	09/30/2015	
BNSF 2014-617(TS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
BNSF 2014-618(TS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
BNSF 2014-619(TS)	4	\$15,000	\$15,000	\$12,000	09/30/2015	
BNSF 2014-620(HS)	1	\$1,000	\$1,000	\$700	09/30/2015	
BNSF 2014-621(SA)	1	\$5,000	\$5,000	\$4,200	09/30/2015	
BNSF 2014-622(TS)	2	\$5,000	\$5,000	\$3,850	09/30/2015	
BNSF 2014-623(TS)	10	\$18,500	\$18,500	\$13,975	09/30/2015	
BNSF 2014-624(SA)	1	\$5,000	\$5,000	\$4,065	09/30/2015	
BNSF 2014-625(TS)	8	\$20,000	\$20,000	\$16,600	09/30/2015	
BNSF 2014-626(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2015	
BNSF 2014-627(ROP)	1	\$2,000	\$2,000	\$1,580	09/30/2015	
BNSF 2014-628(ROP)	1	\$7,500	\$7,500	\$5,750	09/30/2015	
BNSF 2014-629(TS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
BNSF 2014-630(TS)	3	\$7,500	\$7,500	\$5,700	09/30/2015	
BNSF 2014-631(TS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
BNSF 2014-632(SA)	1	\$5,000	\$5,000	\$3,925	09/30/2015	
BNSF 2014-633(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	

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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 2014-634(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-635 (HMT)	3	\$21,000	\$21,000	\$16,800	09/30/2015	
BNSF 2014-636(TS)	4	\$7,000	\$7,000	\$5,250	09/30/2015	
BNSF 2014-637(SA)	1	\$5,000	\$5,000	\$4,200	09/30/2015	
BNSF 2014-638(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-639(SA)	1	\$2,500	\$2,500	\$1,725	09/30/2015	
BNSF 2014-640(SA)	1	\$5,000	\$5,000	\$4,200	09/30/2015	
BNSF 2014-641(TS)	2	\$7,500	\$7,500	\$5,675	09/30/2015	
BNSF 2014-642(TS)	4	\$17,500	\$17,500	\$13,600	09/30/2015	
BNSF 2014-643(TS)	1	\$5,000	\$5,000	\$3,850	09/30/2015	
BNSF 2014-644(SA)	1	\$2,500	\$2,500	\$1,925	09/30/2015	
BNSF 2014-645(RMM)	1	\$5,000	\$5,000	\$3,650	09/30/2015	
BNSF 2014-647(HSR)	11	\$1,000	\$1,000	\$700	09/30/2015	
BNSF 2014-648(HSR)	1	\$1,000	\$1,000	\$760	09/30/2015	
BNSF 2014-649(GC)	1	\$5,000	\$5,000	\$4,200	09/30/2015	
BNSF 2014-650(GC)	1	\$5,000	\$5,000	\$4,300	09/30/2015	
BNSF 2014-651(GC)	1	\$5,000	\$5,000	\$4,300	09/30/2015	
BNSF 2014-652(SA)	1	\$5,000	\$5,000	\$4,400	09/30/2015	
BNSF 2014-653(TS)	4	\$20,000	\$20,000	\$15,500	09/30/2015	
BNSF 2014-654(TS)	3	\$7,500	\$7,500	\$5,850	09/30/2015	
BNSF 2014-655(TS)	4	\$20,000	\$20,000	\$15,500	09/30/2015	
BNSF 2014-656(TS)	2	\$10,000	\$10,000	\$7,800	09/30/2015	
BNSF 2014-657(TS)	3	\$12,500	\$12,500	\$9,750	09/30/2015	
BNSF 2014-658(TS)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
BNSF 2014-659(RW)	1	\$1,000	\$1,000	\$725	09/30/2015	
BNSF 2014-660(ROP)	1	\$7,500	\$7,500	\$5,865	09/30/2015	
BNSF 2014-661(ROP)	1	\$7,500	\$7,500	\$5,835	09/30/2015	
BNSF 2014-662(ROP)	1	\$7,500	\$7,500	\$5,835	09/30/2015	
BNSF 2014-663(FCS)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
BNSF 2014-664(FCS)	1	\$5,000	\$5,000	\$3,650	09/30/2015	
BNSF 2014-665(SA)	1	\$5,000	\$5,000	\$4,400	09/30/2015	
BNSF 2014-666(SA)	1	\$5,000	\$5,000	\$4,200	09/30/2015	
BNSF 2014-667(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2015	
BNSF 2014-668(SA)	3	\$10,000	\$10,000	\$7,470	09/30/2015	
BNSF 2014-669(ROP)	1	\$9,500	\$9,500	\$9,310	09/30/2015	
BNSF 2014-670(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-671(SA)	1	\$5,000	\$5,000	\$3,600	09/30/2015	
BNSF 2014-672(SA)	1	\$5,000	\$0	\$0	09/30/2015	Case Terminated.
BNSF 2014-673(SA)	1	\$5,000	\$0	\$0	09/30/2015	Case Terminated.
BNSF 2014-674(FCS)	1	\$5,000	\$5,000	\$3,650	09/30/2015	
BNSF 2014-675(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
BNSF 2014-676(FCS)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-677(HSR)	1	\$1,000	\$1,000	\$710	09/30/2015	
BNSF 2014-680(HSR)	1	\$1,000	\$1,000	\$780	09/30/2015	
BNSF 2014-681(GC)	1	\$5,000	\$5,000	\$4,100	09/30/2015	
BNSF 2014-683(TS)	3	\$12,500	\$12,500	\$9,650	09/30/2015	
BNSF 2014-684(TS)	12	\$12,000	\$12,000	\$9,000	09/30/2015	
BNSF 2014-685(TS)	9	\$9,000	\$9,000	\$6,650	09/30/2015	
BNSF 2014-687(TS)	1	\$1,000	\$1,000	\$725	09/30/2015	



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BNSF 2014-688(TS)	1	\$1,000	\$1,000	\$725	09/30/2015	
BNSF 2014-689(TS)	2	\$2,000	\$2,000	\$1,300	09/30/2015	
BNSF 2014-692(TS)	1	\$1,000	\$1,000	\$740	09/30/2015	
BNSF 2014-693(TS)	8	\$20,000	\$20,000	\$16,400	09/30/2015	
BNSF 2014-695(TS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
BNSF 2014-696(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2015	
BNSF 2014-697(SA)	1	\$5,000	\$5,000	\$4,200	09/30/2015	
BNSF 2014-698(ROP)	1	\$7,500	\$7,500	\$5,850	09/30/2015	
BNSF 2014-699(ROP)	1	\$2,000	\$2,000	\$1,580	09/30/2015	
BNSF 2014-700(ROP)	1	\$7,500	\$7,500	\$5,850	09/30/2015	
BNSF 2014-701(HSR)	1	\$1,000	\$1,000	\$760	09/30/2015	
BNSF 2014-702(SA)	1	\$5,000	\$5,000	\$4,200	09/30/2015	
BNSF 2014-703(SA)	1	\$5,000	\$5,000	\$4,200	09/30/2015	
BNSF 2014-704(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-705(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-706(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-707(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2015	
BNSF 2014-708(SA)	1	\$5,000	\$5,000	\$3,600	09/30/2015	
BNSF 2014-709(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-710(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-711(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-712(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-713(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-714(SA)	1	\$5,000	\$5,000	\$3,625	09/30/2015	
BNSF 2014-715(SA)	1	\$2,500	\$2,500	\$1,855	09/30/2015	
BNSF 2014-716(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2015	
BNSF 2014-717(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-718(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-719(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-720(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-721(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-722(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-723(ROP)	1	\$7,500	\$7,500	\$5,850	09/30/2015	
BNSF 2014-724(ROP)	1	\$7,500	\$7,500	\$5,835	09/30/2015	
BNSF 2014-725(ROP)	1	\$9,500	\$9,500	\$7,500	09/30/2015	
BNSF 2014-726(ROP)	1	\$7,500	\$7,500	\$5,975	09/30/2015	
BNSF 2014-727(ROP)	1	\$7,500	\$7,500	\$5,835	09/30/2015	
BNSF 2014-728(RSP)	1	\$9,500	\$9,500	\$6,900	09/30/2015	
BNSF 2014-729(SI)	2	\$2,000	\$2,000	\$1,900	09/30/2015	
BNSF 2014-731(SA)	1	\$5,000	\$5,000	\$4,245	09/30/2015	
BNSF 2014-732(SA)	1	\$2,500	\$0	\$0	09/30/2015	Case Terminated.
BNSF 2014-733(SI)	1	\$2,500	\$2,500	\$1,950	09/30/2015	
BNSF 2014-734(ROP)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
BNSF 2014-735(ROP)	1	\$7,500	\$7,500	\$5,800	09/30/2015	
BNSF 2014-736(ROP)	1	\$9,500	\$9,500	\$6,800	09/30/2015	
BNSF 2014-737(ROP)	1	\$7,500	\$7,500	\$5,825	09/30/2015	
BNSF 2014-738(ROP)	1	\$2,000	\$2,000	\$1,580	09/30/2015	
BNSF 2014-739(ROP)	2	\$10,000	\$10,000	\$6,800	09/30/2015	
BNSF 2014-740(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2015	

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BNSF 2014-741(HS)	1	\$1,000	\$1,000	\$780	09/30/2015	
BNSF 2014-742(ROP)	1	\$9,500	\$9,500	\$7,300	09/30/2015	
BNSF 2014-743(ROP)	1	\$5,000	\$5,000	\$4,000	09/30/2015	
BNSF 2014-744(SA)	1	\$5,000	\$5,000	\$4,050	09/30/2015	
BNSF 2014-745(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
BNSF 2014-746(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2015	
BNSF 2014-748(SI)	1	\$1,000	\$1,000	\$900	09/30/2015	
BNSF 2014-749(SI)	1	\$2,500	\$2,500	\$1,975	09/30/2015	
BNSF 2014-750(SA)	1	\$5,000	\$5,000	\$3,725	09/30/2015	
BNSF 2014-751(SA)	1	\$2,500	\$2,500	\$2,035	09/30/2015	
BNSF 2014-752(SA)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
BNSF 2014-753(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2015	
BNSF 2014-755(SA)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
BNSF 2014-756(ROP)	1	\$5,000	\$0	\$0	09/30/2015	Case Terminated.
BNSF 2014-757(RW)	1	\$2,000	\$2,000	\$1,600	09/30/2015	
BNSF 2014-758(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
BNSF 2014-760(FCS)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-761(FCS)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-762(FCS)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
BNSF 2014-764(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
BNSF 2014-765(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-768(ROP)	1	\$2,000	\$2,000	\$1,580	09/30/2015	
BNSF 2014-770(SA)	1	\$10,000	\$10,000	\$7,500	09/30/2015	
BNSF 2014-771(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
BNSF 2014-772(TS)	1	\$5,000	\$5,000	\$3,850	09/30/2015	
BNSF 2014-774(ROP)	1	\$7,500	\$7,500	\$5,900	09/30/2015	
BNSF 2014-775(ROP)	1	\$7,500	\$7,500	\$5,850	09/30/2015	
BNSF 2014-776(ROP)	1	\$2,000	\$2,000	\$650	09/30/2015	
BNSF 2014-778(TS)	4	\$13,500	\$13,500	\$10,625	09/30/2015	
BNSF 2014-779(LI)	1	\$2,500	\$2,500	\$1,950	09/30/2015	
BNSF 2014-780(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
BNSF 2014-782(SA)	1	\$2,500	\$2,500	\$1,925	09/30/2015	
BNSF 2014-783(SA)	2	\$10,000	\$10,000	\$7,550	09/30/2015	
BNSF 2014-784(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
BNSF 2014-786(TS)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
BNSF 2014-787(ROP)	1	\$7,500	\$7,500	\$5,850	09/30/2015	
BNSF 2014-788(ROP)	1	\$7,500	\$7,500	\$5,850	09/30/2015	
BNSF 2014-790(HMT)	3	\$16,500	\$16,500	\$13,000	09/30/2015	
BNSF 2014-791(TS)	1	\$5,000	\$5,000	\$4,300	09/30/2015	
BNSF 2014-792(TS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
BNSF 2014-795(SA)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
BNSF 2014-796(FCS)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-798(LI)	1	\$1,000	\$1,000	\$725	09/30/2015	
BNSF 2014-799(SI)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
BNSF 2014-800(TS)	2	\$5,000	\$5,000	\$3,775	09/30/2015	
BNSF 2014-802(GC)	1	\$5,000	\$5,000	\$4,300	09/30/2015	
BNSF 2014-803(FCS)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
BNSF 2014-804(FCS)	1	\$5,000	\$5,000	\$3,650	09/30/2015	
BNSF 2014-806(TS)	1	\$7,500	\$7,500	\$6,975	09/30/2015	

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BNSF 2014-807(TS)	6	\$15,000	\$15,000	\$12,000	09/30/2015	
BNSF 2014-808(TS)	2	\$5,000	\$5,000	\$4,000	09/30/2015	
BNSF 2014-810(HMT)	3	\$6,000	\$6,000	\$5,500	09/30/2015	
BNSF 2014-811(TS)	28	\$28,000	\$28,000	\$21,000	09/30/2015	
BNSF 2014-812(SA)	1	\$5,000	\$0	\$0	09/30/2015	Case Terminated.
BNSF 2014-814(ROP)	1	\$7,500	\$7,500	\$5,825	09/30/2015	
BNSF 2014-815(ROP)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
BNSF 2014-816(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
BNSF 2014-818(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2015	
BNSF 2014-819(RSP)	1	\$9,500	\$9,500	\$6,900	09/30/2015	
BNSF 2014-820(TS)	1	\$2,500	\$2,500	\$1,700	09/30/2015	
BNSF 2014-822(TS)	1	\$1,000	\$1,000	\$740	09/30/2015	
BNSF 2014-823(SI)	1	\$1,000	\$1,000	\$760	09/30/2015	
BNSF 2014-824(SI)	1	\$5,000	\$5,000	\$3,850	09/30/2015	
BNSF 2014-826(ROP)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
BNSF 2014-827(FCS)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
BNSF 2014-828(TS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
BNSF 2014-830(TS)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
BNSF 2014-831(LI)	1	\$2,500	\$2,500	\$1,750	09/30/2015	
BNSF 2014-832(LI)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2014-834(GC)	1	\$5,000	\$5,000	\$4,300	09/30/2015	
BNSF 2014-835(GC)	1	\$5,000	\$5,000	\$4,750	09/30/2015	
BNSF 2014-838(HS)	1	\$1,000	\$1,000	\$700	09/30/2015	
BNSF 2014-839(HS)	1	\$1,000	\$1,000	\$700	09/30/2015	
BNSF 2014-840(GC)	1	\$5,000	\$5,000	\$4,300	09/30/2015	
BNSF 2014-842(GC)	1	\$5,000	\$5,000	\$4,300	09/30/2015	
BNSF 2014-843(GC)	1	\$5,000	\$5,000	\$4,100	09/30/2015	
BNSF 2014-844(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
BNSF 2014-845(GC)	1	\$5,000	\$5,000	\$4,000	09/30/2015	
BNSF 2015-2(TS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
BNSF 2015-3(ROP)	1	\$7,500	\$7,500	\$5,835	09/30/2015	
BNSF 2015-6(ROP)	1	\$9,500	\$9,500	\$7,400	09/30/2015	
BNSF 2015-8(HMT)	1	\$2,000	\$2,000	\$1,500	09/30/2015	
BNSF 2015-10(ROP)	1	\$9,500	\$9,500	\$7,300	09/30/2015	
BNSF 2015-12(ROP)	1	\$5,000	\$5,000	\$4,025	09/30/2015	
BNSF 2015-14(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
BNSF 2015-15(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
BNSF 2015-16(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
BNSF 2015-18(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
BNSF 2015-20(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
BNSF 2015-22(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
BNSF 2015-24(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
BNSF 2015-26(ROP)	1	\$5,000	\$5,000	\$4,050	09/30/2015	
BNSF 2015-27(GC)	1	\$5,000	\$5,000	\$650	09/30/2015	
BNSF 2015-29(GC)	1	\$5,000	\$5,000	\$4,100	09/30/2015	
BNSF 2015-31(TS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
BNSF 2015-33(TS)	3	\$3,000	\$3,000	\$2,190	09/30/2015	
BNSF 2015-35(HMT)	5	\$5,000	\$5,000	\$3,900	09/30/2015	
BNSF 2015-37(GC)	1	\$5,000	\$5,000	\$4,100	09/30/2015	

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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 2015-39(GC)	1	\$5,000	\$5,000	\$4,700	09/30/2015	
BNSF 2015-41(GC)	1	\$2,500	\$2,500	\$2,175	09/30/2015	
BNSF 2014-43(GC)	1	\$7,500	\$7,500	\$5,835	09/30/2015	
BNSF 2015-45(FCS)	1	\$5,000	\$5,000	\$3,600	09/30/2015	
BNSF 2015-46(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
BNSF 2015-48(SI)	1	\$1,000	\$1,000	\$900	09/30/2015	
BNSF 2015-50(HMT)	1	\$5,000	\$5,000	\$5,000	09/30/2015	
BNSF 2015-52(HS)	1	\$1,000	\$1,000	\$780	09/30/2015	
BNSF 2015-54(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
BNSF 2015-56(ROP)	1	\$5,000	\$5,000	\$4,000	09/30/2015	
BNSF 2015-58(ROP)	1	\$7,500	\$7,500	\$5,825	09/30/2015	
BNSF 2015-60(GC)	1	\$5,000	\$5,000	\$4,300	09/30/2015	
BNSF 2015-61(GC)	1	\$5,000	\$5,000	\$4,100	09/30/2015	
BNSF 2015-64(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
BNSF 2015-65(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
BNSF 2015-66(TS)	4	\$4,000	\$4,000	\$2,950	09/30/2015	
BNSF 2015-68(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
BNSF 2015-69(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
BNSF 2015-70(ROP)	1	\$7,500	\$7,500	\$5,850	09/30/2015	
BNSF 2015-72(HMT)	1	\$10,000	\$10,000	\$9,000	09/30/2015	
BNSF 2015-74(TS)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
BNSF 2015-76(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
BNSF 2015-77(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
BNSF 2015-80(LI)	1	\$2,500	\$2,500	\$1,750	09/30/2015	
BNSF 2015-81(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2015	
BNSF 2015-82(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
BNSF 2015-84(TS)	1	\$1,000	\$1,000	\$725	09/30/2015	
BNSF 2015-85(TS)	2	\$2,000	\$2,000	\$1,500	09/30/2015	
BNSF 2015-89(FCS)	1	\$2,500	\$2,500	\$1,825	09/30/2015	
BNSF 2015-93(FCS)	1	\$2,500	\$2,500	\$1,825	09/30/2015	
BNSF 2015-97(LI)	1	\$2,500	\$2,500	\$1,825	09/30/2015	
BNSF 2015-100(GC)	1	\$5,000	\$5,000	\$4,100	09/30/2015	
BNSF 2015-101(GC)	1	\$5,000	\$5,000	\$4,300	09/30/2015	
BNSF 2015-104(HMT)	1	\$4,000	\$4,000	\$3,100	09/30/2015	
BNSF 2015-105(ROP)	1	\$7,500	\$7,500	\$5,575	09/30/2015	
BNSF 2015-109(TS)	1	\$5,000	\$5,000	\$4,250	09/30/2015	
BNSF 2015-112(ROP)	1	\$2,000	\$2,000	\$1,580	09/30/2015	
BNSF 2015-113(ROP)	1	\$2,000	\$2,000	\$1,580	09/30/2015	
BNSF 2015-116(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
BNSF 2015-117(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
BNSF 2015-121(RW)	1	\$3,000	\$3,000	\$2,750	09/30/2015	
BNSF 2015-123(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
BNSF 2015-125(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2015	
BNSF 2015-126(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2015	
BNSF 2015-127(TS)	1	\$2,500	\$2,500	\$1,950	09/30/2015	
BNSF 2015-128(TS)	1	\$2,500	\$2,500	\$1,925	09/30/2015	
BNSF 2015-130(LI)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2015-132(SA)	1	\$2,500	\$2,500	\$1,825	09/30/2015	
BNSF 2015-133(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	

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BNSF 2015-135(RW)	1	\$3,000	\$3,000	\$2,550	09/30/2015	
BNSF 2015-136(HMT)	2	\$5,000	\$5,000	\$4,600	09/30/2015	
BNSF 2015-137(SI)	1	\$1,000	\$1,000	\$900	09/30/2015	
BNSF 2015-138(TS)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
BNSF 2015-140(FCS)	2	\$10,000	\$5,000	\$3,550	09/30/2015	Terminated Violation(s): 1.
BNSF 2015-141(FCS)	1	\$2,500	\$2,500	\$1,825	09/30/2015	
BNSF 2015-142(ROP)	1	\$7,500	\$7,500	\$5,850	09/30/2015	
BNSF 2015-143(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
BNSF 2015-145(ROP)	1	\$7,500	\$7,500	\$5,835	09/30/2015	
BNSF 2015-146(EP)	1	\$1,000	\$1,000	\$750	09/30/2015	
BNSF 2015-148(SA)	1	\$5,000	\$0	\$0	09/30/2015	Case Terminated.
BNSF 2015-150(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2015-151(ROP)	1	\$7,500	\$7,500	\$5,835	09/30/2015	
BNSF 2015-153(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
BNSF 2015-156(TS)	2	\$7,500	\$7,500	\$5,800	09/30/2015	
BNSF 2015-158(TS)	2	\$5,000	\$5,000	\$4,000	09/30/2015	
BNSF 2015-161(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
BNSF 2015-163(FCS)	1	\$2,500	\$2,500	\$1,825	09/30/2015	
BNSF 2015-166(SA)	1	\$5,000	\$5,000	\$1,000	09/30/2015	
BNSF 2015-168(TS)	2	\$5,000	\$5,000	\$4,000	09/30/2015	
BNSF 2015-170(SI)	1	\$5,000	\$5,000	\$4,300	09/30/2015	
BNSF 2015-171(SA)	1	\$2,500	\$2,500	\$1,925	09/30/2015	
BNSF 2015-174(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
BNSF 2015-176(RW)	1	\$1,000	\$0	\$0	09/30/2015	Case Terminated.
BNSF 2015-179(SA)	1	\$2,500	\$2,500	\$2,025	09/30/2015	
BNSF 2015-183(TS)	1	\$1,000	\$1,000	\$725	09/30/2015	
BNSF 2015-185(ROP)	1	\$7,500	\$7,500	\$5,975	09/30/2015	
BNSF 2015-188(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
BNSF 2015-190(HS)	1	\$1,000	\$1,000	\$780	09/30/2015	
BNSF 2015-195(TS)	1	\$1,000	\$1,000	\$750	09/30/2015	
BNSO 2014-1(ROP)	2	\$17,000	\$17,000	\$13,250	09/30/2015	
BNSO 2014-2(PEQ)	1	\$5,000	\$5,000	\$4,150	09/30/2015	
BNSO 2014-3(ROP)	1	\$7,500	\$7,500	\$5,850	09/30/2015	
BNSO 2014-4(ROP)	1	\$9,500	\$9,500	\$7,535	09/30/2015	
BNSO 2014-5(PEQ)	1	\$5,000	\$5,000	\$3,400	09/30/2015	
BNSO 2015-1(ROP)	1	\$7,500	\$7,500	\$5,925	09/30/2015	
BOP 2014-1(CC)	1	\$10,000	\$10,000	\$8,000	04/21/2015	
BOP 2014-2(ROR)	1	\$5,000	\$5,000	\$4,000	04/21/2015	
BOP 2014-3(EQ)	3	\$6,000	\$6,000	\$4,800	04/21/2015	
BPRR 2014-2(TS)	1	\$5,000	\$5,000	\$3,750	09/25/2015	
BPRR 2014-3(TS)	1	\$2,500	\$2,500	\$1,950	09/25/2015	
BPRR 2014-4(GC)	1	\$2,500	\$2,500	\$1,950	09/25/2015	
BPRR 2014-5(GC)	1	\$5,000	\$5,000	\$3,800	09/25/2015	
BPRR 2014-6(SA)	1	\$5,000	\$5,000	\$3,800	09/25/2015	
BPRR 2014-7(SA)	1	\$2,500	\$2,500	\$1,950	09/25/2015	
BPRR 2014-8(SA)	1	\$5,000	\$5,000	\$3,800	09/25/2015	
BPRR 2014-9(SA)	1	\$5,000	\$5,000	\$3,800	09/25/2015	
BRC 2014-1(SA)	1	\$5,000	\$5,000	\$3,300	02/02/2015	
BRC 2014-2(SA)	2	\$10,000	\$10,000	\$6,500	02/02/2015	

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BRC 2014-3(TS)	2	\$6,000	\$6,000	\$4,200	02/02/2015	
BRFD 2014-1(GC)	1	\$1,000	\$1,000	\$1,000	12/08/2014	
BVRR 2014-1(TS)	4	\$20,000	\$20,000	\$15,000	09/30/2015	
CAGY 2013-2(TS)	2	\$10,000	\$10,000	\$7,400	09/25/2015	
CAGY 2014-1(AD)	1	\$2,500	\$2,500	\$1,900	09/25/2015	
CAGY 2014-2(ROP)	1	\$5,000	\$5,000	\$3,800	09/25/2015	
CAGY 2014-3(ROP)	1	\$5,000	\$5,000	\$3,800	09/25/2015	
CAGY 2014-4(TS)	1	\$5,000	\$5,000	\$3,750	09/25/2015	
CAGY 2014-5(GC)	1	\$5,000	\$5,000	\$3,750	09/25/2015	
CAGY 2014-6(GC)	1	\$2,500	\$2,500	\$2,000	09/25/2015	
CAGY 2014-7(TS)	1	\$1,000	\$1,000	\$800	09/25/2015	
CAGY 2014-8(TS)	1	\$999	\$999	\$850	09/25/2015	
CBR 2014-1(SI)	1	\$1,000	\$1,000	\$800	04/29/2015	
CC 2014-1(SA)	1	\$2,500	\$2,500	\$1,750	09/28/2015	
CC 2014-2(EP)	1	\$1,000	\$1,000	\$650	09/28/2015	
CCPN 2014-1(AR)	1	\$2,500	\$2,500	\$1,950	09/25/2015	
CCPN 2014-2(AD)	1	\$2,500	\$2,500	\$1,950	09/25/2015	
CFE 2014-1(FCS)	1	\$5,000	\$5,000	\$3,850	09/25/2015	
CFE 2014-2(LI)	1	\$1,000	\$1,000	\$850	09/25/2015	
CFNR 2014-1(TS)	1	\$1,000	\$1,000	\$800	09/25/2015	
CFNR 2014-2(TS)	4	\$7,000	\$7,000	\$5,200	09/25/2015	
CFNR 2014-3(TS)	4	\$8,500	\$8,500	\$6,300	09/25/2015	
CFNR 2014-4(TS)	7	\$10,000	\$10,000	\$7,400	09/25/2015	
CFNR 2014-5(TS)	2	\$10,000	\$10,000	\$7,400	09/25/2015	
CFNR 2014-6(TS)	2	\$5,000	\$5,000	\$3,750	09/25/2015	
CFNR 2014-7(TS)	2	\$7,000	\$7,000	\$5,200	09/25/2015	
CFNR 2014-8(TS)	11	\$11,000	\$11,000	\$7,900	09/25/2015	
CFNR 2014-9(TS)	1	\$1,000	\$1,000	\$800	09/25/2015	
CFNR 2014-10(TS)	7	\$7,000	\$7,000	\$5,300	09/25/2015	
CFNR 2014-11(TS)	2	\$2,000	\$2,000	\$1,600	09/25/2015	
CFNR 2014-12(TS)	2	\$2,000	\$2,000	\$1,600	09/25/2015	
CFNR 2014-13(TS)	7	\$8,500	\$8,500	\$6,300	09/25/2015	
CIND 2014-1(GC)	1	\$5,000	\$5,000	\$3,800	09/25/2015	
CIRY 2010-1(GC)	2	\$5,000	\$0	\$0	05/06/2015	Case Terminated.
CMEM 2012-1(SA)	1	\$5,000	\$5,000	\$4,000	04/06/2015	
CMEM 2013-1(HS)	1	\$1,000	\$1,000	\$800	04/06/2015	
CMEM 2013-2(HSR)	1	\$1,000	\$0	\$0	04/06/2015	Case Terminated.
CN 2012-111(LI)	1	\$2,500	\$2,500	\$1,750	09/28/2015	
CN 2013-102(HSR)	1	\$1,000	\$1,000	\$680	09/28/2015	
CN 2014-1(TS)	3	\$7,500	\$7,500	\$5,250	09/28/2015	
CN 2014-2(ROP)	1	\$7,500	\$7,500	\$5,250	09/28/2015	
CN 2014-3(HMT)	1	\$3,000	\$3,000	\$2,100	09/28/2015	
CN 2014-4(TS)	1	\$5,000	\$5,000	\$3,500	09/28/2015	
CN 2014-5(TS)	1	\$5,000	\$5,000	\$3,500	09/28/2015	
CN 2014-6(RSP)	1	\$5,000	\$5,000	\$3,500	09/28/2015	
CN 2014-7(ROP)	1	\$7,500	\$7,500	\$5,250	09/28/2015	
CN 2014-9(SI)	1	\$5,000	\$5,000	\$3,500	09/28/2015	
CN 2014-10(TS)	1	\$2,500	\$2,500	\$1,750	09/28/2015	
CN 2014-11(ROP)	1	\$7,500	\$7,500	\$5,250	09/28/2015	

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CN 2014-12(ROP)	1	\$2,000	\$2,000	\$1,400	09/28/2015	
CN 2014-13(ROP)	1	\$2,000	\$2,000	\$1,400	09/28/2015	
CN 2014-15(HSR)	1	\$1,000	\$1,000	\$680	09/28/2015	
CN 2014-16(HSR)	3	\$3,000	\$3,000	\$2,040	09/28/2015	
CN 2014-17(HS)	1	\$1,000	\$1,000	\$680	09/28/2015	
CN 2014-18(HS)	1	\$1,000	\$1,000	\$680	09/28/2015	
CN 2014-19(HS)	1	\$1,000	\$1,000	\$680	09/28/2015	
CN 2014-20(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2015	
CN 2014-21(SI)	1	\$2,500	\$2,500	\$1,750	09/28/2015	
CN 2014-22(LI)	1	\$2,500	\$2,500	\$1,750	09/28/2015	
CN 2014-23(HMT)	2	\$8,000	\$8,000	\$5,600	09/28/2015	
CN 2014-24(TS)	1	\$5,000	\$5,000	\$3,500	09/28/2015	
CN 2014-25(ROP)	1	\$5,000	\$5,000	\$3,500	09/28/2015	
CN 2014-26(AD)	1	\$2,500	\$2,500	\$1,750	09/28/2015	
CN 2014-28(LI)	1	\$2,500	\$2,500	\$1,750	09/28/2015	
CN 2014-29(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2015	
CN 2014-30(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2015	
CN 2014-31(HSR)	20	\$20,000	\$20,000	\$13,600	09/28/2015	
CN 2014-32(HSR)	50	\$50,000	\$50,000	\$34,000	09/28/2015	
CN 2014-33(HSR)	200	\$200,000	\$200,000	\$136,000	09/28/2015	
CN 2014-34(HSR)	4	\$4,000	\$4,000	\$2,720	09/28/2015	
CN 2014-35(HSR)	100	\$100,000	\$100,000	\$68,000	09/28/2015	
CN 2014-36(HSR)	100	\$100,000	\$100,000	\$68,000	09/28/2015	
CN 2014-37(HSR)	26	\$26,000	\$26,000	\$17,680	09/28/2015	
CN 2014-38(ROP)	1	\$2,000	\$2,000	\$1,400	09/28/2015	
CN 2014-39(ROP)	1	\$7,500	\$7,500	\$5,250	09/28/2015	
CN 2014-40(FCS)	1	\$2,000	\$2,000	\$1,400	09/28/2015	
CN 2014-41(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2015	
CN 2014-42(LI)	1	\$2,500	\$2,500	\$1,750	09/28/2015	
CN 2014-43(LI)	1	\$2,500	\$2,500	\$1,750	09/28/2015	
CN 2014-44(LI)	1	\$2,500	\$2,500	\$1,750	09/28/2015	
CN 2014-45(LI)	1	\$2,500	\$2,500	\$1,750	09/28/2015	
CN 2014-46(LI)	1	\$2,500	\$2,500	\$1,750	09/28/2015	
CN 2014-47(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2015	
CN 2014-48(ROP)	1	\$2,000	\$2,000	\$1,400	09/28/2015	
CN 2014-49(HMT)	1	\$1,000	\$1,000	\$650	09/28/2015	
CN 2014-50(HS)	1	\$1,000	\$1,000	\$680	09/28/2015	
CN 2014-51(ROP)	1	\$7,500	\$7,500	\$5,250	09/28/2015	
CN 2014-52(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2015	
CN 2014-53(SA)	1	\$2,500	\$2,500	\$1,750	09/28/2015	
CN 2014-54(ROP)	1	\$7,500	\$7,500	\$5,250	09/28/2015	
CN 2014-55(SA)	1	\$2,500	\$2,500	\$1,750	09/28/2015	
CN 2014-56(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2015	
CN 2014-57(ROP)	1	\$7,500	\$7,500	\$5,250	09/28/2015	
CN 2014-58(LI)	1	\$2,500	\$2,500	\$1,750	09/28/2015	
CN 2014-59(SI)	4	\$4,000	\$4,000	\$2,600	09/28/2015	
CN 2014-60(TS)	2	\$10,000	\$10,000	\$7,000	09/28/2015	
CN 2014-61(TS)	1	\$2,500	\$2,500	\$1,750	09/28/2015	
CN 2014-62(LI)	1	\$1,000	\$1,000	\$650	09/28/2015	

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CN 2014-63(LI)	1	\$1,500	\$1,500	\$1,050	09/28/2015	
CN 2014-64(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2015	
CN 2014-65(GC)	1	\$5,000	\$5,000	\$3,500	09/28/2015	
CN 2014-67(AR)	1	\$1,000	\$1,000	\$650	09/28/2015	
CN 2014-68(HS)	1	\$1,000	\$1,000	\$680	09/28/2015	
CN 2014-69(ROP)	1	\$1,000	\$1,000	\$650	09/28/2015	
CN 2014-70(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2015	
CN 2014-71(LI)	1	\$2,500	\$2,500	\$1,750	09/28/2015	
CN 2014-72(LI)	1	\$2,500	\$2,500	\$1,750	09/28/2015	
CN 2014-73(LI)	1	\$1,500	\$1,500	\$1,050	09/28/2015	
CN 2014-77(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2015	
CN 2014-78(LI)	1	\$2,500	\$2,500	\$1,750	09/28/2015	
CN 2014-79(HMT)	2	\$10,000	\$10,000	\$7,000	09/28/2015	
CN 2014-80(HMT)	1	\$4,000	\$4,000	\$2,800	09/28/2015	
CN 2014-81(HMT)	1	\$5,000	\$5,000	\$3,500	09/28/2015	
CN 2014-82(HMT)	1	\$2,000	\$2,000	\$1,400	09/28/2015	
CN 2014-83(TS)	2	\$2,000	\$2,000	\$1,300	09/28/2015	
CN 2014-84(TS)	1	\$2,500	\$2,500	\$1,750	09/28/2015	
CN 2014-85(RW)	1	\$5,000	\$5,000	\$3,500	09/28/2015	
CN 2014-86(TS)	2	\$2,000	\$2,000	\$1,300	09/28/2015	
CN 2014-87(RW)	1	\$3,000	\$3,000	\$2,100	09/28/2015	
CN 2014-88(HMT)	1	\$2,000	\$2,000	\$1,400	09/28/2015	
CN 2014-89(TS)	1	\$2,500	\$2,500	\$1,750	09/28/2015	
CN 2014-90(ROP)	1	\$9,500	\$9,500	\$6,650	09/28/2015	
CN 2014-91(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2015	
CN 2014-92(HS)	8	\$8,000	\$8,000	\$5,440	09/28/2015	
CN 2014-93(SA)	1	\$2,500	\$2,500	\$1,750	09/28/2015	
CN 2014-94(TS)	1	\$2,500	\$2,500	\$1,750	09/28/2015	
CN 2014-95(TS)	2	\$6,000	\$6,000	\$4,150	09/28/2015	
CN 2014-96(TS)	1	\$5,000	\$5,000	\$3,500	09/28/2015	
CN 2014-97(SA)	1	\$2,500	\$2,500	\$1,750	09/28/2015	
CN 2014-98(FCS)	1	\$2,500	\$2,500	\$1,750	09/28/2015	
CN 2014-99(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2015	
CN 2014-100(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2015	
CN 2014-101(GC)	1	\$5,000	\$5,000	\$3,500	09/28/2015	
CN 2014-102(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2015	
CN 2014-103(SI)	1	\$1,000	\$1,000	\$650	09/28/2015	
CN 2014-104(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2015	
CN 2014-105(GC)	1	\$5,000	\$5,000	\$3,500	09/28/2015	
CN 2014-106(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2015	
CN 2014-107(HMT)	1	\$5,000	\$5,000	\$3,500	09/28/2015	
CN 2014-108(TS)	2	\$7,500	\$7,500	\$5,250	09/28/2015	
CN 2014-109(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2015	
CN 2014-110(ROP)	1	\$7,500	\$7,500	\$5,250	09/28/2015	
CN 2014-111(ROP)	1	\$9,500	\$9,500	\$6,650	09/28/2015	
CN 2014-112(SA)	1	\$2,500	\$2,500	\$1,750	09/28/2015	
CN 2014-113(SA)	1	\$2,500	\$2,500	\$1,750	09/28/2015	
CN 2014-114(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2015	
CN 2014-115(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2015	



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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 2014-118(HSR)	1	\$1,000	\$1,000	\$680	09/28/2015	
CN 2014-119(HSR)	1	\$1,000	\$1,000	\$680	09/28/2015	
CN 2014-120(SA)	1	\$2,500	\$2,500	\$1,750	09/28/2015	
CN 2014-121(ROP)	1	\$2,000	\$2,000	\$1,400	09/28/2015	
CN 2014-122(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2015	
CN 2014-125(CC)	1	\$4,000	\$4,000	\$2,800	09/28/2015	
CN 2014-126(HS)	2	\$2,000	\$2,000	\$1,360	09/28/2015	
CN 2014-127(HMT)	2	\$10,000	\$10,000	\$7,000	09/28/2015	
CN 2014-128(HSR)	8	\$8,000	\$8,000	\$5,440	09/28/2015	
CN 2014-129(CC)	1	\$4,000	\$4,000	\$2,800	09/28/2015	
CN 2014-130(CC)	1	\$4,000	\$4,000	\$2,800	09/28/2015	
CN 2014-131(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2015	
CN 2014-132(FCS)	1	\$2,500	\$2,500	\$1,750	09/28/2015	
CORP 2014-1(TS)	1	\$5,000	\$5,000	\$3,850	09/25/2015	
CORP 2014-2(TS)	1	\$2,500	\$2,500	\$1,900	09/25/2015	
CORP 2014-3(TS)	1	\$5,000	\$5,000	\$3,800	09/25/2015	
CORP 2014-4(TS)	2	\$7,500	\$7,500	\$5,700	09/25/2015	
CORP 2014-5(TS)	2	\$7,500	\$7,500	\$5,700	09/25/2015	
CORP 2014-6(TS)	1	\$2,500	\$2,500	\$1,850	09/25/2015	
COSR 2014-1(SA)	1	\$2,500	\$2,500	\$1,950	09/25/2015	
CP 2014-12(FCS)	1	\$2,500	\$2,500	\$2,000	09/28/2015	
CP 2014-13(HS)	2	\$2,000	\$2,000	\$1,700	09/28/2015	
CP 2014-14(HS)	4	\$4,000	\$4,000	\$3,400	09/28/2015	
CP 2014-15(HS)	1	\$1,000	\$1,000	\$900	09/28/2015	
CP 2014-16(HS)	2	\$2,000	\$2,000	\$1,700	09/28/2015	
CP 2014-17(SA)	1	\$5,000	\$5,000	\$4,500	09/28/2015	
CP 2014-18(AR)	1	\$2,500	\$2,500	\$1,875	09/28/2015	
CP 2014-19(AR)	1	\$2,500	\$2,500	\$1,875	09/28/2015	
CP 2014-20(AR)	1	\$2,500	\$2,500	\$2,000	09/28/2015	
CP 2014-21(AR)	1	\$2,500	\$2,500	\$2,250	09/28/2015	
CP 2014-22(AR)	1	\$2,500	\$2,500	\$2,250	09/28/2015	
CP 2014-23(AR)	1	\$2,500	\$2,500	\$2,000	09/28/2015	
CP 2014-24(SA)	1	\$5,000	\$5,000	\$4,250	09/28/2015	
CP 2014-25(ROP)	1	\$9,500	\$9,500	\$9,025	09/28/2015	
CP 2014-26(FCS)	1	\$2,500	\$2,500	\$2,125	09/28/2015	
CP 2014-27(SA)	1	\$5,000	\$5,000	\$4,250	09/28/2015	
CP 2014-28(SA)	1	\$2,500	\$2,500	\$2,375	09/28/2015	
CP 2014-29(SA)	1	\$5,000	\$5,000	\$4,250	09/28/2015	
CP 2014-30(SA)	1	\$5,000	\$5,000	\$4,250	09/28/2015	
CP 2014-31(SA)	1	\$5,000	\$5,000	\$4,250	09/28/2015	
CP 2014-32(SA)	1	\$5,000	\$5,000	\$4,250	09/28/2015	
CP 2014-34(SA)	1	\$5,000	\$5,000	\$4,250	09/28/2015	
CP 2014-36(ROP)	1	\$9,500	\$9,500	\$9,025	09/28/2015	
CP 2014-37(SA)	1	\$5,000	\$5,000	\$4,750	09/28/2015	
CP 2014-38(SA)	1	\$5,000	\$5,000	\$4,000	09/28/2015	
CP 2014-39(LI)	1	\$1,000	\$1,000	\$850	09/28/2015	
CP 2014-40(SA)	1	\$2,500	\$2,500	\$2,125	09/28/2015	
CP 2014-41(SA)	1	\$5,000	\$5,000	\$4,250	09/28/2015	
CP 2014-42(LI)	1	\$1,000	\$1,000	\$800	09/28/2015	

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
CP 2014-43(SA)	1	\$5,000	\$5,000	\$4,250	09/28/2015	
CP 2014-44(CC)	1	\$2,500	\$2,500	\$2,125	09/28/2015	
CP 2014-45(TS)	1	\$2,500	\$2,500	\$2,375	09/28/2015	
CP 2014-46(SA)	1	\$5,000	\$5,000	\$4,250	09/28/2015	
CP 2014-47(SA)	1	\$5,000	\$5,000	\$4,250	09/28/2015	
CP 2014-48(HS)	1	\$1,000	\$1,000	\$900	09/28/2015	
CP 2014-49(AD)	1	\$5,000	\$5,000	\$3,750	09/28/2015	
CP 2014-50(AD)	1	\$2,500	\$2,500	\$2,125	09/28/2015	
CP 2014-51(AD)	1	\$2,500	\$2,500	\$2,125	09/28/2015	
CP 2014-52(SA)	1	\$2,500	\$2,500	\$2,125	09/28/2015	
CP 2014-53(SA)	1	\$2,500	\$2,500	\$2,250	09/28/2015	
CP 2014-54(SA)	1	\$5,000	\$5,000	\$4,250	09/28/2015	
CP 2014-55(SA)	1	\$2,500	\$2,500	\$2,125	09/28/2015	
CP 2014-56(FCS)	1	\$2,500	\$2,500	\$2,125	09/28/2015	
CP 2014-58(SA)	1	\$2,500	\$2,500	\$2,125	09/28/2015	
CP 2014-59(SA)	1	\$5,000	\$5,000	\$4,250	09/28/2015	
CP 2014-60(HS)	3	\$3,000	\$3,000	\$2,500	09/28/2015	
CP 2014-61(HS)	4	\$4,000	\$4,000	\$3,200	09/28/2015	
CP 2014-62(HS)	3	\$3,000	\$3,000	\$2,450	09/28/2015	
CP 2014-63(HS)	1	\$1,000	\$1,000	\$900	09/28/2015	
CP 2014-64(AR)	1	\$2,500	\$2,500	\$2,125	09/28/2015	
CP 2014-65(FCS)	1	\$2,000	\$2,000	\$1,400	09/28/2015	
CP 2014-66(SA)	1	\$5,000	\$5,000	\$4,250	09/28/2015	
CP 2014-67(SA)	1	\$5,000	\$5,000	\$4,250	09/28/2015	
CP 2014-68(SA)	1	\$5,000	\$5,000	\$4,500	09/28/2015	
CP 2014-69(SA)	1	\$5,000	\$5,000	\$4,500	09/28/2015	
CP 2014-70(HS)	1	\$1,000	\$1,000	\$850	09/28/2015	
CP 2014-71(HS)	1	\$1,000	\$1,000	\$850	09/28/2015	
CP 2014-72(AD)	1	\$2,500	\$2,500	\$1,625	09/28/2015	
CP 2014-73(AD)	1	\$5,000	\$5,000	\$3,250	09/28/2015	
CP 2014-74(AD)	1	\$5,000	\$5,000	\$3,250	09/28/2015	
CP 2014-75(AD)	2	\$10,000	\$10,000	\$7,500	09/28/2015	
CP 2014-76(HS)	1	\$1,000	\$1,000	\$850	09/28/2015	
CP 2014-77(HMT)	1	\$6,000	\$6,000	\$5,400	09/28/2015	
CP 2014-78(HMT)	1	\$5,000	\$5,000	\$3,500	09/28/2015	
CP 2014-80(HMT)	2	\$15,000	\$15,000	\$12,750	09/28/2015	
CP 2014-81(SA)	1	\$2,500	\$2,500	\$2,125	09/28/2015	
CP 2014-82(SA)	1	\$2,500	\$2,500	\$2,125	09/28/2015	
CP 2014-83(SA)	1	\$2,500	\$2,500	\$2,125	09/28/2015	
CP 2014-84(HS)	2	\$2,000	\$2,000	\$1,700	09/28/2015	
CP 2014-85(HS)	2	\$2,000	\$2,000	\$1,700	09/28/2015	
CP 2014-86(HS)	1	\$1,000	\$1,000	\$850	09/28/2015	
CP 2014-87(SA)	1	\$2,500	\$2,500	\$2,125	09/28/2015	
CP 2014-88(SA)	1	\$5,000	\$5,000	\$4,500	09/28/2015	
CP 2014-89(HS)	1	\$1,000	\$1,000	\$850	09/28/2015	
CP 2014-90(AD)	2	\$10,000	\$10,000	\$8,000	09/28/2015	
CP 2014-91(SA)	1	\$5,000	\$5,000	\$4,500	09/28/2015	
CP 2014-92(HMT)	2	\$15,000	\$15,000	\$12,000	09/28/2015	
CP 2014-93(TS)	30	\$75,000	\$5,000	\$5,000	09/28/2015	Terminated Violation(s): 3-30.

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CP 2014-94(TS)	6	\$15,000	\$15,000	\$12,000	09/28/2015	
CP 2014-95(GC)	1	\$5,000	\$5,000	\$4,250	09/28/2015	
CP 2014-96(ROP)	1	\$7,500	\$7,500	\$7,125	09/28/2015	
CP 2014-97(SA)	1	\$2,500	\$2,500	\$2,125	09/28/2015	
CP 2014-98(GC)	1	\$5,000	\$5,000	\$4,500	09/28/2015	
CP 2014-99(HMT)	1	\$2,000	\$2,000	\$1,600	09/28/2015	
CP 2014-101(TS)	8	\$176,000	\$10,000	\$10,000	09/28/2015	Terminated Violation(s): 1, 2. Partially Terminated Violation(s): 3, 4.
CP 2014-102(SA)	1	\$5,000	\$5,000	\$4,750	09/28/2015	
CP 2014-103(ROP)	1	\$2,000	\$2,000	\$1,800	09/28/2015	
CP 2014-104(EQ)	1	\$1,000	\$1,000	\$850	09/28/2015	
CP 2014-105(SA)	1	\$2,500	\$2,500	\$2,125	09/28/2015	
CP 2014-106(ROP)	1	\$9,500	\$9,500	\$8,750	09/28/2015	
CP 2014-107(ROP)	2	\$19,000	\$9,500	\$7,125	09/28/2015	Partially Terminated Violation(s): 1.
CP 2014-108(HS)	1	\$1,000	\$1,000	\$850	09/28/2015	
CP 2014-109(HS)	1	\$2,500	\$2,500	\$2,125	09/28/2015	
CP 2014-110(BW)	1	\$5,000	\$5,000	\$4,750	09/28/2015	
CP 2014-111(AD)	1	\$2,000	\$0	\$0	09/28/2015	Case Terminated.
CP 2014-112(AD)	1	\$2,000	\$0	\$0	09/28/2015	Case Terminated.
CP 2014-113(ROP)	1	\$2,000	\$2,000	\$1,700	09/28/2015	
CP 2014-114(GC)	1	\$5,000	\$5,000	\$4,500	09/28/2015	
CP 2015-1(FCS)	1	\$2,500	\$2,500	\$2,125	09/28/2015	
CP 2015-2(SA)	1	\$2,500	\$2,500	\$2,125	09/28/2015	
CP 2015-3(SA)	1	\$2,500	\$2,500	\$2,125	09/28/2015	
CP 2015-4(HS)	2	\$2,000	\$1,000	\$900	09/30/2015	Terminated Violation(s): 1.
CP 2015-5(HS)	1	\$1,000	\$1,000	\$900	09/28/2015	
CP 2015-6(HS)	1	\$1,000	\$1,000	\$850	09/28/2015	
CP 2015-7(HS)	1	\$1,000	\$1,000	\$850	09/28/2015	
CP 2015-8(HS)	1	\$1,000	\$1,000	\$850	09/28/2015	
CP 2015-9(HS)	1	\$1,000	\$1,000	\$850	09/28/2015	
CP 2015-10(SA)	1	\$5,000	\$5,000	\$4,750	09/28/2015	
CP 2015-11(ROP)	1	\$5,000	\$5,000	\$4,500	09/28/2015	
CP 2015-12(AD)	2	\$5,000	\$5,000	\$4,500	09/28/2015	
CP 2015-13(EO)	1	\$2,500	\$2,500	\$2,250	09/28/2015	
CP 2015-14(SA)	1	\$2,500	\$2,500	\$2,250	09/28/2015	
CP 2015-15(SA)	1	\$5,000	\$5,000	\$4,500	09/28/2015	
CP 2015-16(LI)	1	\$2,500	\$2,500	\$2,250	09/28/2015	
CP 2015-17(HMT)	2	\$5,000	\$5,000	\$4,500	09/28/2015	
CP 2015-18(HMT)	1	\$2,000	\$2,000	\$1,800	09/28/2015	
CP 2015-19(ROP)	1	\$7,500	\$7,500	\$6,500	09/28/2015	
CP 2015-20(ROP)	1	\$7,500	\$7,500	\$6,500	09/28/2015	
CP 2015-21(ROP)	1	\$2,000	\$2,000	\$1,750	09/28/2015	
CP 2015-22(ROP)	1	\$9,500	\$9,500	\$7,750	09/28/2015	
CP 2015-23(ROP)	1	\$2,000	\$2,000	\$1,700	09/28/2015	
CP 2015-24(SA)	1	\$5,000	\$5,000	\$4,000	09/28/2015	
CP 2015-25(SA)	1	\$2,500	\$2,500	\$2,000	09/28/2015	
CP 2015-26(ROP)	1	\$7,500	\$7,500	\$6,750	09/28/2015	
CP 2015-27(SA)	1	\$2,500	\$2,500	\$2,000	09/28/2015	

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CP 2015-28(ROP)	11	\$22,000	\$22,000	\$19,500	09/28/2015	
CP 2015-29(HMT)	1	\$2,000	\$2,000	\$1,700	09/28/2015	
CP 2015-30(SA)	1	\$5,000	\$5,000	\$4,750	09/28/2015	
CP 2015-31(LI)	3	\$3,000	\$3,000	\$2,550	09/28/2015	
CP 2015-32(GC)	1	\$1,000	\$1,000	\$950	09/28/2015	
CP 2015-33(HS)	1	\$1,000	\$1,000	\$850	09/28/2015	
CPDR 2014-1(TS)	1	\$5,000	\$5,000	\$3,800	09/25/2015	
CPDR 2014-2(ROP)	1	\$7,500	\$7,500	\$5,600	09/25/2015	
CPDR 2014-3(ROP)	1	\$7,500	\$7,500	\$5,700	09/25/2015	
CRSH 2014-5(GC)	1	\$5,000	\$5,000	\$4,750	07/28/2015	
CRSH 2014-6(HMT)	1	\$5,000	\$5,000	\$4,000	07/28/2015	
CRSH 2014-7(LI)	2	\$5,000	\$5,000	\$4,250	07/28/2015	
CRSH 2014-8(GC)	1	\$5,000	\$5,000	\$4,750	07/28/2015	
CRSH 2014-9(LI)	1	\$2,500	\$2,500	\$2,000	07/28/2015	
CRSH 2014-10(ROP)	1	\$7,500	\$7,500	\$7,125	07/28/2015	
CRSH 2015-1(SA)	1	\$5,000	\$5,000	\$4,250	07/28/2015	
CRSH 2015-2(ROP)	1	\$7,500	\$7,500	\$7,125	07/28/2015	
CSX 2008-276(RSP)	1	\$5,000	\$0	\$0	09/30/2015	Case Terminated.
CSX 2010-320(EO)	2	\$5,000	\$5,000	\$3,750	09/30/2015	
CSX 2012-209(LI)	2	\$5,000	\$5,000	\$3,750	09/30/2015	
CSX 2013-187(LI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2013-226(GC)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
CSX 2013-235(TS)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
CSX 2013-243(TS)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
CSX 2013-334(RW)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2013-340(RMM)	2	\$7,000	\$7,000	\$5,300	09/30/2015	
CSX 2013-343(HS)	1	\$1,000	\$1,000	\$1,000	09/30/2015	
CSX 2013-344(HSR)	1	\$2,500	\$2,500	\$2,500	09/30/2015	
CSX 2013-345(HSR)	1	\$25,000	\$25,000	\$19,000	09/30/2015	
CSX 2013-346(HSR)	1	\$5,000	\$5,000	\$5,000	09/30/2015	
CSX 2013-384(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-5(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-11(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-15(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-19(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-22(TS)	1	\$1,000	\$1,000	\$650	09/30/2015	
CSX 2014-23(TS)	1	\$5,000	\$5,000	\$3,500	09/30/2015	
CSX 2014-27(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2015	
CSX 2014-29(GC)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-31(RW)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-33(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-35(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-37(LI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-39(GC)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-41(SI)	1	\$2,500	\$2,500	\$1,500	09/30/2015	
CSX 2014-46(TS)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
CSX 2014-48(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-50(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-52(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	

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CSX 2014-54(TS)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
CSX 2014-55(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-56(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2015	
CSX 2014-58(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-59(HMT)	3	\$15,000	\$15,000	\$11,000	09/30/2015	
CSX 2014-60(HMT)	1	\$5,000	\$5,000	\$3,700	09/30/2015	
CSX 2014-62(HS)	1	\$1,000	\$1,000	\$750	09/30/2015	
CSX 2014-63(ROP)	1	\$7,500	\$7,500	\$5,475	09/30/2015	
CSX 2014-64(RSP)	1	\$5,000	\$5,000	\$3,700	09/30/2015	
CSX 2014-66(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-67(GC)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
CSX 2014-69(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-70(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-71(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-73(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-74(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-75(HMT)	1	\$2,000	\$2,000	\$1,525	09/30/2015	
CSX 2014-76(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-77(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-78(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-79(FCS)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
CSX 2014-80(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-81(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-82(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-83(HMT)	1	\$2,000	\$2,000	\$1,400	09/30/2015	
CSX 2014-84(HMT)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
CSX 2014-87(SI)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
CSX 2014-88(GC)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
CSX 2014-89(GC)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-90(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2015	
CSX 2014-91(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-92(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-93(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-94(BW)	1	\$25,000	\$25,000	\$21,000	09/30/2015	
CSX 2014-95(LI)	5	\$5,000	\$5,000	\$2,700	09/30/2015	
CSX 2014-96(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-97(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-98(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-99(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-100(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-101(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-103(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-104(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-105(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-106(HSR)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
CSX 2014-107(HSR)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
CSX 2014-108(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-110(LI)	1	\$1,500	\$1,500	\$1,125	09/30/2015	
CSX 2014-111(LI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	

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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 2014-112(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-113(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-114(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-115(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-116(HMT)	1	\$2,000	\$2,000	\$1,400	09/30/2015	
CSX 2014-117(AR)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
CSX 2014-118(HMT)	1	\$4,000	\$4,000	\$2,800	09/30/2015	
CSX 2014-119(HS)	1	\$1,000	\$1,000	\$700	09/30/2015	
CSX 2014-120(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-122(FCS)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
CSX 2014-123(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-124(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-125(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-126(SA)	1	\$5,000	\$2,500	\$2,200	09/30/2015	Partially Terminated Violation(s): 1.
CSX 2014-127(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-128(SA)	1	\$5,000	\$2,500	\$2,200	09/30/2015	Partially Terminated Violation(s): 1.
CSX 2014-129(ROP)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
CSX 2014-130(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-131(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-132(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-133(HMT)	1	\$6,000	\$6,000	\$5,000	09/30/2015	
CSX 2014-134(HMT)	3	\$13,000	\$13,000	\$9,750	09/30/2015	
CSX 2014-135(HMT)	1	\$2,000	\$2,000	\$1,600	09/30/2015	
CSX 2014-136(HMT)	1	\$5,000	\$5,000	\$3,500	09/30/2015	
CSX 2014-137(HMT)	1	\$5,000	\$5,000	\$4,050	09/30/2015	
CSX 2014-138(TS)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
CSX 2014-139(TS)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
CSX 2014-140(TS)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
CSX 2014-141(TS)	2	\$7,500	\$7,500	\$5,600	09/30/2015	
CSX 2014-142(SI)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
CSX 2014-143(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-144(SA)	1	\$5,000	\$2,500	\$2,500	09/30/2015	Partially Terminated Violation(s): 1.
CSX 2014-145(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-146(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-147(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-148(SA)	1	\$5,000	\$5,000	\$2,200	09/30/2015	
CSX 2014-149(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2015	
CSX 2014-150(LI)	1	\$3,000	\$3,000	\$2,250	09/30/2015	
CSX 2014-151(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-152(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-153(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-154(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-155(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-156(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-159(TH)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
CSX 2014-160(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-161(LI)	1	\$1,000	\$1,000	\$700	09/30/2015	

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CSX 2014-162(SI)	1	\$1,000	\$1,000	\$875	09/30/2015	
CSX 2014-163(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-164(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-165(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-166(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-167(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-168(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-169(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-170(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-171(SA)	1	\$5,000	\$2,500	\$2,200	09/30/2015	Partially Terminated Violation(s): 1.
CSX 2014-172(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-175(TS)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
CSX 2014-176(RW)	1	\$1,000	\$1,000	\$820	09/30/2015	
CSX 2014-177(RW)	1	\$1,000	\$1,000	\$800	09/30/2015	
CSX 2014-178(LI)	4	\$10,000	\$10,000	\$7,250	09/30/2015	
CSX 2014-179(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-180(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-181(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-182(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-183(LI)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
CSX 2014-184(GC)	3	\$15,000	\$15,000	\$11,550	09/30/2015	
CSX 2014-185(GC)	1	\$10,000	\$5,000	\$5,000	09/30/2015	Partially Terminated Violation(s): 1.
CSX 2014-187(SA)	1	\$5,000	\$2,500	\$2,200	09/30/2015	Partially Terminated Violation(s): 1.
CSX 2014-188(TS)	3	\$7,500	\$7,500	\$5,500	09/30/2015	
CSX 2014-189(TS)	2	\$5,000	\$5,000	\$3,250	09/30/2015	
CSX 2014-190(TS)	5	\$12,500	\$10,000	\$8,700	09/30/2015	Terminated Violation(s): 3.
CSX 2014-191(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-192(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-193(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-194(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-195(HSR)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
CSX 2014-196(HSR)	1	\$1,000	\$1,000	\$700	09/30/2015	
CSX 2014-197(HSR)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
CSX 2014-198(HSR)	1	\$1,000	\$1,000	\$700	09/30/2015	
CSX 2014-199(HSR)	1	\$1,000	\$1,000	\$700	09/30/2015	
CSX 2014-200(HSR)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
CSX 2014-201(ROP)	1	\$9,500	\$9,500	\$7,200	09/30/2015	
CSX 2014-202(SI)	1	\$1,000	\$1,000	\$875	09/30/2015	
CSX 2014-203(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2015	
CSX 2014-204(LI)	1	\$2,500	\$2,500	\$1,700	09/30/2015	
CSX 2014-205(LI)	1	\$5,000	\$5,000	\$3,500	09/30/2015	
CSX 2014-206(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-207(EP)	1	\$1,000	\$1,000	\$800	09/30/2015	
CSX 2014-208(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-209(TS)	3	\$7,500	\$0	\$0	09/30/2015	Case Terminated.
CSX 2014-211(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-212(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	

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CSX 2014-213(TS)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
CSX 2014-214(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-215(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-216(HS)	2	\$2,000	\$2,000	\$1,400	09/30/2015	
CSX 2014-217(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-218(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-219(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-220(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-221(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-222(LI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-223(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-224(SI)	1	\$2,500	\$2,500	\$1,500	09/30/2015	
CSX 2014-225(ROP)	1	\$7,500	\$7,500	\$5,700	09/30/2015	
CSX 2014-226(ROP)	1	\$7,500	\$7,500	\$5,475	09/30/2015	
CSX 2014-227(TS)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
CSX 2014-228(TS)	2	\$7,500	\$7,500	\$5,600	09/30/2015	
CSX 2014-229(TS)	1	\$5,000	\$5,000	\$3,650	09/30/2015	
CSX 2014-230(TS)	2	\$7,500	\$7,500	\$5,600	09/30/2015	
CSX 2014-231(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-232(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-233(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-235(HMT)	2	\$10,000	\$10,000	\$7,300	09/30/2015	
CSX 2014-236(HMT)	1	\$1,000	\$1,000	\$870	09/30/2015	
CSX 2014-237(HMT)	1	\$2,500	\$2,000	\$1,675	09/30/2015	Partially Terminated Violation(s): 1.
CSX 2014-238(HMT)	1	\$2,000	\$2,000	\$1,675	09/30/2015	
CSX 2014-239(HMT)	1	\$2,500	\$2,500	\$2,225	09/30/2015	
CSX 2014-240(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-241(SA)	1	\$5,000	\$2,500	\$2,200	09/30/2015	Partially Terminated Violation(s): 1.
CSX 2014-242(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-243(LI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-244(LI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-245(RW)	1	\$1,000	\$1,000	\$810	09/30/2015	
CSX 2014-246(TS)	3	\$8,500	\$8,500	\$6,200	09/30/2015	
CSX 2014-247(TS)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
CSX 2014-248(TS)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
CSX 2014-249(RSP)	1	\$9,500	\$9,500	\$7,100	09/30/2015	
CSX 2014-250(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-251(TS)	1	\$1,000	\$1,000	\$730	09/30/2015	
CSX 2014-252(RMM)	1	\$5,000	\$5,000	\$3,700	09/30/2015	
CSX 2014-253(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-254(TS)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
CSX 2014-255(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-256(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-257(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-258(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-259(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-260(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-261(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	



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CSX 2014-262	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-263(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-264(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-265(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-266(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-267(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-268(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-269(ROP)	1	\$5,000	\$0	\$0	09/30/2015	Case Terminated.
CSX 2014-270(RSP)	1	\$1,000	\$1,000	\$750	09/30/2015	
CSX 2014-271(LI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-272(LI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-273(ROP)	1	\$7,500	\$7,500	\$5,475	09/30/2015	
CSX 2014-274(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-275(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-276(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-277(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-278(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-279(TS)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
CSX 2014-280(EO)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
CSX 2014-281(LI)	1	\$2,500	\$0	\$0	09/30/2015	Case Terminated.
CSX 2014-282(SA)	1	\$5,000	\$2,500	\$2,200	09/30/2015	
CSX 2014-283(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-284(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-286(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-287(TS)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
CSX 2014-288(TS)	1	\$1,000	\$1,000	\$820	09/30/2015	
CSX 2014-289(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-290(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-291(SI)	1	\$1,000	\$1,000	\$825	09/30/2015	
CSX 2014-292(SI)	1	\$1,000	\$1,000	\$825	09/30/2015	
CSX 2014-293(SI)	1	\$2,500	\$2,500	\$1,950	09/30/2015	
CSX 2014-294(GC)	1	\$1,000	\$1,000	\$750	09/30/2015	
CSX 2014-295(GC)	1	\$1,000	\$1,000	\$850	09/30/2015	
CSX 2014-296(SI)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
CSX 2014-297(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-298(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-299(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-300(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-301(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-302(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-303(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-304(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-305(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-306(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-307(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-308(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-309(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-310(SA)	1	\$5,000	\$5,000	\$5,000	09/30/2015	
CSX 2014-311(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	

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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 2014-312	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-313(RW)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-314(LI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-315(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-316(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-317(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-318(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-319(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-320(LI)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
CSX 2014-321(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-322(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-323(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-324(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-326(LI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-327(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-328(ROP)	1	\$7,500	\$7,500	\$5,475	09/30/2015	
CSX 2014-329(ROP)	1	\$7,500	\$7,500	\$5,475	09/30/2015	
CSX 2014-330(ROP)	1	\$7,500	\$7,500	\$5,600	09/30/2015	
CSX 2014-331(ROP)	1	\$7,500	\$7,500	\$5,700	09/30/2015	
CSX 2014-332(ROP)	1	\$7,500	\$7,500	\$5,700	09/30/2015	
CSX 2014-333(ROP)	1	\$7,500	\$7,500	\$5,600	09/30/2015	
CSX 2014-334(SI)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
CSX 2014-335(TS)	1	\$2,500	\$0	\$0	09/30/2015	Case Terminated.
CSX 2014-336(TS)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
CSX 2014-337(TS)	1	\$1,000	\$1,000	\$820	09/30/2015	
CSX 2014-338(TS)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
CSX 2014-339(LI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-341(GC)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
CSX 2014-342(HMT)	1	\$4,000	\$4,000	\$3,200	09/30/2015	
CSX 2014-343(HMT)	1	\$2,000	\$2,000	\$1,780	09/30/2015	
CSX 2014-345(HMT)	2	\$10,500	\$10,500	\$7,300	09/30/2015	
CSX 2014-346(LI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-347(LI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-348(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-349(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-350(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
CSX 2014-351(HS)	1	\$1,000	\$1,000	\$700	09/30/2015	
CSX 2014-352(RW)	1	\$2,000	\$0	\$0	09/30/2015	Case Terminated.
CSX 2014-353(LI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-354(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-355(TS)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
CSX 2014-356(SI)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
CSX 2014-357(SA)	1	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-358(SA)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
CSX 2014-359(SA)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
CSX 2014-360(SA)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
CSX 2014-361(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2015	
CSX 2014-362(SA)	1	\$5,000	\$2,500	\$1,950	09/30/2015	Partially Terminated Violation(s): 1.
CSX 2014-364(HS)	1	\$1,000	\$1,000	\$700	09/30/2015	

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CSX 2014-365(SA)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
CSX 2014-366(SA)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
CSX 2014-367(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2015	
CSX 2014-368(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-369(SA)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
CSX 2014-370(SA)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
CSX 2014-371(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
CSX 2014-372(FCS)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
CSX 2014-373(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-374(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-375(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-376(FCS)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
CSX 2014-377(FCS)	2	\$3,500	\$3,500	\$2,650	09/30/2015	
CSX 2014-378(SI)	1	\$2,500	\$2,500	\$2,500	09/30/2015	
CSX 2014-379(GC)	1	\$1,000	\$1,000	\$700	09/30/2015	
CSX 2014-380(LI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-381(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-382(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-383(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-384(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2014-385(SA)	2	\$5,000	\$5,000	\$3,775	09/30/2015	
CSX 2014-386(SA)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
CSX 2014-387(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
CSX 2014-388(SA)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
CSX 2014-389(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
CSX 2014-390(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
CSX 2014-391(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
CSX 2014-392(SA)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
CSX 2014-396(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
CSX 2014-397(HS)	2	\$2,000	\$2,000	\$1,550	09/30/2015	
CSX 2014-398(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
CSX 2014-399(ROP)	1	\$7,500	\$7,500	\$5,700	09/30/2015	
CSX 2014-400(SI)	1	\$1,000	\$1,000	\$825	09/30/2015	
CSX 2014-401(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
CSX 2014-402(GC)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
CSX 2014-403(HMT)	1	\$2,000	\$2,000	\$1,700	09/30/2015	
CSX 2014-404(SI)	1	\$2,500	\$2,500	\$1,950	09/30/2015	
CSX 2014-405(SA)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
CSX 2015-1(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2015	
CSX 2015-2(AR)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
CSX 2015-4(TS)	3	\$7,500	\$7,500	\$5,600	09/30/2015	
CSX 2015-5(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
CSX 2015-6(TS)	1	\$1,000	\$1,000	\$820	09/30/2015	
CSX 2015-7(ROP)	1	\$9,500	\$9,500	\$7,200	09/30/2015	
CSX 2015-8(ROP)	1	\$7,500	\$7,500	\$5,700	09/30/2015	
CSX 2015-9(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
CSX 2015-10(HS)	1	\$1,000	\$1,000	\$700	09/30/2015	
CSX 2015-11(HS)	1	\$1,000	\$1,000	\$700	09/30/2015	
CSX 2015-12(SI)	1	\$1,000	\$1,000	\$825	09/30/2015	

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CSX 2015-13(GC)	1	\$1,000	\$1,000	\$650	09/30/2015	
CSX 2015-14(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2015	
CSX 2015-15(ROP)	1	\$1,000	\$1,000	\$775	09/30/2015	
CSX 2015-16(LI)	1	\$1,000	\$0	\$0	09/30/2015	Case Terminated.
CSX 2015-17(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
CSX 2015-18(HMT)	2	\$10,000	\$10,000	\$7,600	09/30/2015	
CSX 2015-19(SA)	1	\$5,000	\$0	\$0	09/30/2015	Case Terminated.
CSX 2015-20(SA)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
CSX 2015-21(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2015-22(HS)	1	\$1,000	\$1,000	\$700	09/30/2015	
CSX 2015-23(SA)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
CSX 2015-24(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
CSX 2015-25(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
CSX 2015-26(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
CSX 2015-27(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
CSX 2015-28(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
CSX 2015-29(RSP)	1	\$9,500	\$9,500	\$6,800	09/30/2015	
CSX 2015-30(AR)	1	\$1,000	\$1,000	\$750	09/30/2015	
CSX 2015-31(ROP)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
CSX 2015-32(LI)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
CSX 2015-33(LI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2015-34(SA)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
CSX 2015-35(TS)	1	\$2,500	\$2,500	\$2,000	09/30/2015	
CSX 2015-36(TS)	1	\$1,000	\$1,000	\$820	09/30/2015	
CSX 2015-37(TS)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
CSX 2015-38(TS)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
CSX 2015-39(TS)	3	\$3,000	\$3,000	\$2,300	09/30/2015	
CSX 2015-40(TS)	6	\$20,000	\$20,000	\$15,000	09/30/2015	
CSX 2015-41(TS)	1	\$5,000	\$0	\$0	09/30/2015	Case Terminated.
CSX 2015-42(TS)	1	\$1,000	\$1,000	\$700	09/30/2015	
CSX 2015-43(TS)	1	\$15,000	\$5,000	\$5,000	09/30/2015	Partially Terminated Violation(s): 1.
CSX 2015-44(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2015-45(RW)	1	\$3,000	\$3,000	\$2,200	09/30/2015	
CSX 2015-49(GC)	1	\$1,000	\$1,000	\$825	09/30/2015	
CSX 2015-57(ROP)	1	\$9,500	\$9,500	\$7,000	09/30/2015	
CSX 2015-58(TS)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
CSX 2015-59(TS)	1	\$1,000	\$1,000	\$750	09/30/2015	
CSX 2015-60(TS)	2	\$5,000	\$5,000	\$3,650	09/30/2015	
CSX 2015-61(TS)	1	\$5,000	\$5,000	\$3,650	09/30/2015	
CSX 2015-62(SA)	2	\$10,000	\$10,000	\$7,300	09/30/2015	
CSX 2015-63(SA)	1	\$5,000	\$5,000	\$3,600	09/30/2015	
CSX 2015-64(SA)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
CSX 2015-65(RMM)	1	\$5,000	\$0	\$0	09/30/2015	Case Terminated.
CSX 2015-66(HMT)	3	\$21,000	\$13,500	\$9,500	09/30/2015	Terminated Violation(s): 1.
CSX 2015-68(LI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2015-70(AR)	1	\$2,500	\$1,000	\$1,000	09/30/2015	Partially Terminated Violation(s): 1.
CSX 2015-72(SA)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
CSX 2015-76(SA)	1	\$2,500	\$2,500	\$1,725	09/30/2015	

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CSX 2015-78(AR)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
CSX 2015-80(AR)	1	\$2,500	\$0	\$0	09/30/2015	Case Terminated.
CSX 2015-84(AR)	1	\$2,500	\$0	\$0	09/30/2015	Case Terminated.
CSX 2015-88(AR)	1	\$2,500	\$0	\$0	09/30/2015	Case Terminated.
CSX 2015-92(SA)	1	\$10,000	\$10,000	\$7,500	09/30/2015	
CVSX 2008-1(AR)	1	\$2,500	\$0	\$0	02/12/2015	Case Terminated.
DAIR 2014-1(SA)	1	\$2,500	\$2,500	\$1,250	12/30/2014	
DGNO 2014-2(LI)	1	\$2,500	\$2,500	\$1,950	09/25/2015	
DGNO 2014-3(TS)	7	\$11,000	\$11,000	\$8,400	09/25/2015	
DGNO 2014-4(LI)	1	\$2,500	\$2,500	\$1,950	09/25/2015	
DGNO 2014-5(GC)	1	\$5,000	\$5,000	\$3,750	09/25/2015	
DH 2013-1(LI)	1	\$2,500	\$2,500	\$1,625	09/28/2015	
DH 2014-2(SA)	1	\$2,500	\$2,500	\$2,125	09/28/2015	
DH 2014-3(SA)	1	\$2,500	\$2,500	\$2,375	09/28/2015	
DME 2014-6(SA)	1	\$2,500	\$2,500	\$2,000	09/28/2015	
DME 2014-7(SA)	1	\$10,000	\$10,000	\$8,000	09/28/2015	
DME 2014-8(FCS)	10	\$20,000	\$20,000	\$15,000	09/28/2015	
DME 2014-9(SA)	1	\$5,000	\$5,000	\$4,750	09/28/2015	
DME 2014-10(SA)	1	\$5,000	\$5,000	\$4,250	09/28/2015	
DME 2014-11(SA)	1	\$2,500	\$2,500	\$2,000	09/28/2015	
DME 2014-12(HMT)	4	\$19,000	\$19,000	\$16,500	09/28/2015	
DME 2014-13(GC)	1	\$5,000	\$5,000	\$4,000	09/28/2015	
DME 2014-14(GC)	1	\$2,500	\$2,500	\$1,750	09/28/2015	
DME 2014-15(GC)	5	\$25,000	\$25,000	\$20,000	09/28/2015	
DME 2014-16(GC)	1	\$1,000	\$1,000	\$800	09/28/2015	
DME 2014-17(SA)	1	\$5,000	\$5,000	\$4,000	09/28/2015	
DME 2014-18(GC)	1	\$5,000	\$5,000	\$4,250	09/28/2015	
DME 2014-19(LI)	1	\$2,500	\$2,500	\$2,000	09/28/2015	
DME 2014-20(SA)	1	\$2,500	\$2,500	\$2,125	09/28/2015	
DME 2015-1(LI)	1	\$2,500	\$2,500	\$2,375	09/28/2015	
DSRR 2014-1(RW)	1	\$3,000	\$3,000	\$650	10/03/2014	
DSRR 2014-2(RW)	3	\$12,000	\$12,000	\$3,000	06/02/2015	
DSRR 2015-1(EQ)	1	\$2,500	\$2,500	\$650	06/02/2015	
EBRR 2014-1(AD)	1	\$1,000	\$1,000	\$1,000	03/17/2015	
EIRR 2014-3(TS)	2	\$5,000	\$5,000	\$3,750	09/30/2015	
EIRR 2015-1(TS)	1	\$1,000	\$1,000	\$850	09/30/2015	
EIRR 2015-2(TS)	1	\$2,000	\$2,000	\$1,500	09/30/2015	
EIRR 2015-3(EP)	1	\$1,000	\$1,000	\$750	09/30/2015	
EIRR 2015-4(EP)	1	\$1,000	\$1,000	\$750	09/30/2015	
ELS 2014-1(LI)	1	\$2,500	\$2,500	\$2,500	10/20/2014	
EMRY 2014-1(SA)	1	\$5,000	\$5,000	\$5,000	01/23/2015	
EMRY 2015-1(EQ)	1	\$1,000	\$1,000	\$650	06/01/2015	
ERAIL 2010-3(EO)	1	\$2,500	\$2,500	\$1,700	12/09/2014	
ESPN 2014-1(GC)	1	\$5,000	\$5,000	\$3,750	10/21/2014	
EWG 2014-1(TS)	4	\$4,000	\$4,000	\$2,800	12/03/2014	
FRRV 2014-1(AD)	4	\$12,000	\$12,000	\$8,000	05/04/2015	
FRRV 2014-2(AD)	1	\$1,000	\$1,000	\$1,000	12/18/2014	
GCRX 2013-1(GC)	1	\$5,000	\$5,000	\$4,000	03/13/2015	
GFRR 2013-1(RW)	1	\$3,000	\$3,000	\$2,400	02/02/2015	

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GFRR 2014-1(TS)	1	\$5,000	\$5,000	\$3,500	03/02/2015	
GIMY 2013-1(ROP)	1	\$9,500	\$9,500	\$7,600	01/30/2015	
GIMY 2014-1(AD)	1	\$2,500	\$2,500	\$2,000	01/30/2015	
GMR 2010-1(EO)	1	\$5,000	\$5,000	\$2,500	04/07/2015	
GMR 2010-2(ROP)	1	\$7,500	\$7,500	\$3,750	04/07/2015	
GNBC 2014-1(TS)	3	\$15,000	\$15,000	\$12,000	03/19/2015	
GNBC 2014-2(TS)	1	\$1,000	\$1,000	\$800	03/19/2015	
GRNW 2014-1(ROP)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
GRNW 2014-2(BW)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
GRNW 2015-1(ROP)	1	\$9,500	\$9,500	\$7,100	09/30/2015	
GRR 2014-1(SA)	1	\$5,000	\$5,000	\$3,600	02/05/2015	
GRYR 2013-3(SI)	1	\$2,500	\$2,500	\$2,000	04/22/2015	
GRYR 2013-4(GC)	1	\$1,000	\$1,000	\$800	04/22/2015	
GRYR 2013-5(GC)	1	\$1,000	\$1,000	\$800	04/22/2015	
GRYR 2015-1(GC)	1	\$1,000	\$1,000	\$1,000	04/24/2015	
GSWR 2014-1(AD)	1	\$5,000	\$5,000	\$3,850	09/25/2015	
GSWR 2014-2(AD)	1	\$5,000	\$5,000	\$3,750	09/25/2015	
GSWR 2014-3(TS)	2	\$6,000	\$6,000	\$4,550	09/25/2015	
GWR 2014-1(TS)	4	\$20,000	\$20,000	\$10,000	03/02/2015	
GWR 2014-2(ROP)	1	\$7,500	\$7,500	\$6,000	03/02/2015	
GWR 2015-1(TS)	2	\$10,000	\$10,000	\$7,000	03/31/2015	
GWR 2015-2(GC)	1	\$1,000	\$1,000	\$800	03/31/2015	
GWR 2015-3(GC)	1	\$5,000	\$5,000	\$3,800	09/01/2015	
HAL 2014-1(GC)	1	\$1,000	\$1,000	\$850	09/25/2015	
HAL 2014-2(GC)	1	\$5,000	\$5,000	\$3,800	09/25/2015	
HESR 2014-1(TS)	1	\$1,000	\$1,000	\$850	09/25/2015	
HPYZ 2014-1(HMT)	1	\$10,000	\$10,000	\$10,000	07/21/2015	
HRRC 2013-1(TS)	2	\$10,000	\$10,000	\$5,250	12/04/2014	
HRRC 2013-2(TS)	1	\$5,000	\$5,000	\$3,000	12/04/2014	
IAIS 2015-1(LI)	1	\$2,500	\$2,500	\$2,500	03/26/2015	
IAIS 2015-2(GC)	1	\$5,000	\$5,000	\$5,000	07/21/2015	
IAIS 2015-3(CC)	1	\$2,500	\$2,500	\$2,500	07/21/2015	
IAIS 2015-4(HSR)	2	\$2,000	\$2,000	\$2,000	07/21/2015	
IANR 2014-2(GC)	1	\$1,000	\$1,000	\$1,000	02/13/2015	
IANR 2015-1(SA)	1	\$2,500	\$2,500	\$2,500	03/18/2015	
IHB 2014-1(LI)	1	\$2,500	\$2,500	\$1,625	11/14/2014	
IHB 2014-2(SA)	1	\$2,500	\$2,500	\$1,750	11/14/2014	
IHB 2014-3(SA)	1	\$5,000	\$5,000	\$3,500	11/14/2014	
IHB 2014-4(SA)	1	\$5,000	\$5,000	\$3,500	04/23/2015	
IHB 2015-1(ROP)	1	\$7,500	\$7,500	\$5,400	08/13/2015	
INPR 2014-3(TS)	1	\$2,500	\$2,500	\$1,800	04/29/2015	
INPR 2015-1(GC)	1	\$2,500	\$2,500	\$1,800	04/29/2015	
INRD 2013-3(ROP)	1	\$9,500	\$9,500	\$6,900	10/13/2014	
IOYR 2013-6(GC)	1	\$5,000	\$5,000	\$3,800	09/25/2015	
IOYR 2014-2(GC)	1	\$2,500	\$2,500	\$1,950	09/25/2015	
IOYR 2014-3(GC)	1	\$2,500	\$2,500	\$1,950	09/25/2015	
IOYR 2014-4(GC)	1	\$2,500	\$2,500	\$1,950	09/25/2015	
IOYR 2014-5(GC)	1	\$2,500	\$2,500	\$1,950	09/25/2015	
IOYR 2014-6(GC)	1	\$1,000	\$1,000	\$850	09/25/2015	

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IORY 2014-7(SA)	1	\$5,000	\$5,000	\$3,800	09/25/2015	
IORY 2014-8(LI)	1	\$2,500	\$2,500	\$1,950	09/25/2015	
IORY 2014-9(GC)	1	\$5,000	\$5,000	\$3,800	09/25/2015	
IORY 2014-10(LI)	1	\$2,500	\$2,500	\$2,000	09/25/2015	
IR 2014-1(AR)	3	\$7,500	\$7,500	\$5,625	10/21/2014	
KAW 2015-1(RSP)	1	\$9,500	\$9,500	\$7,100	09/30/2015	
KCS 2014-11(LI)	1	\$2,500	\$2,500	\$1,650	09/10/2015	
KCS 2014-12(LI)	1	\$2,500	\$2,500	\$1,650	09/10/2015	
KCS 2014-17(LI)	1	\$2,500	\$2,500	\$1,675	09/10/2015	
KCS 2014-18(LI)	1	\$2,500	\$2,500	\$1,675	09/10/2015	
KCS 2014-19(FCS)	1	\$2,500	\$2,500	\$1,625	09/10/2015	
KCS 2014-20(TS)	1	\$5,000	\$5,000	\$3,500	09/10/2015	
KCS 2014-21(SA)	1	\$2,500	\$2,500	\$1,700	09/10/2015	
KCS 2014-22(ROP)	1	\$9,500	\$9,500	\$6,700	09/10/2015	
KCS 2014-23(SA)	1	\$2,500	\$2,500	\$1,750	09/10/2015	
KCS 2014-24(SA)	1	\$2,500	\$2,500	\$1,675	09/10/2015	
KCS 2014-25(FCS)	1	\$5,000	\$5,000	\$3,200	09/10/2015	
KCS 2014-26(AR)	1	\$2,500	\$2,500	\$1,700	09/10/2015	
KCS 2014-27(HMT)	1	\$7,500	\$7,500	\$5,300	09/10/2015	
KCS 2014-28(SI)	1	\$5,000	\$5,000	\$3,500	09/10/2015	
KCS 2014-29(ROP)	1	\$5,000	\$5,000	\$3,250	09/10/2015	
KCS 2014-30(ROP)	1	\$5,000	\$5,000	\$3,250	09/10/2015	
KCS 2014-31(AD)	1	\$2,500	\$2,500	\$1,700	09/10/2015	
KCS 2014-32(HMT)	2	\$10,000	\$10,000	\$6,500	09/10/2015	
KCS 2014-33(HMT)	1	\$7,500	\$5,000	\$3,300	09/10/2015	Partially Terminated Violation(s): 1.
KCS 2014-34(SA)	1	\$5,000	\$5,000	\$3,500	09/10/2015	
KCS 2014-35(HSR)	8	\$8,000	\$8,000	\$5,400	09/10/2015	
KCS 2014-36(ROP)	1	\$9,500	\$9,500	\$6,700	09/10/2015	
KCS 2014-37(ROP)	1	\$9,500	\$9,500	\$6,700	09/10/2015	
KCS 2014-38(ROP)	1	\$9,500	\$9,500	\$6,700	09/10/2015	
KCS 2014-39(ROP)	1	\$2,000	\$2,000	\$1,300	09/10/2015	
KCS 2014-40(ROP)	1	\$2,000	\$2,000	\$1,300	09/10/2015	
KCS 2014-41(SA)	1	\$5,000	\$5,000	\$3,450	09/10/2015	
KCS 2014-42(SA)	1	\$2,500	\$2,500	\$1,625	09/10/2015	
KCS 2014-43(SA)	1	\$2,500	\$2,500	\$1,625	09/10/2015	
KCS 2014-44(SA)	1	\$5,000	\$5,000	\$3,500	09/10/2015	
KCS 2014-45(TS)	1	\$5,000	\$5,000	\$3,500	09/10/2015	
KCS 2014-46(TS)	1	\$5,000	\$5,000	\$3,500	09/10/2015	
KCS 2014-47(SA)	1	\$5,000	\$0	\$0	09/10/2015	Case Terminated.
KCS 2014-48(SA)	1	\$2,500	\$2,500	\$1,650	09/10/2015	
KCS 2014-49(FCS)	1	\$2,500	\$2,500	\$1,625	09/10/2015	
KCS 2014-50(FCS)	1	\$5,000	\$5,000	\$3,250	09/10/2015	
KCS 2014-51(RSP)	1	\$7,500	\$7,500	\$4,875	09/10/2015	
KCS 2014-52(ROP)	1	\$9,500	\$9,500	\$6,700	09/10/2015	
KCS 2014-53(SA)	1	\$5,000	\$5,000	\$3,300	09/10/2015	
KCS 2014-54(FCS)	1	\$2,500	\$2,500	\$1,625	09/10/2015	
KCS 2014-55(FCS)	1	\$2,500	\$2,500	\$1,625	09/10/2015	
KCS 2014-56(LI)	2	\$5,000	\$5,000	\$3,250	09/10/2015	
KCS 2014-57(GC)	1	\$1,000	\$1,000	\$680	09/10/2015	

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KCS 2014-58(TH)	1	\$5,000	\$5,000	\$3,500	09/10/2015	
KCS 2014-59(TH)	1	\$5,000	\$5,000	\$3,450	09/10/2015	
KCS 2014-60(SA)	1	\$2,500	\$2,500	\$1,675	09/10/2015	
KCS 2014-61(HS)	1	\$1,000	\$1,000	\$700	09/10/2015	
KCS 2014-62(HS)	1	\$1,000	\$1,000	\$700	09/10/2015	
KCS 2014-63(HS)	1	\$1,000	\$1,000	\$700	09/10/2015	
KCS 2014-64(GC)	1	\$5,000	\$5,000	\$3,575	09/10/2015	
KCS 2014-65(FCS)	1	\$5,000	\$5,000	\$3,300	09/10/2015	
KCS 2014-66(SA)	1	\$5,000	\$5,000	\$3,350	09/10/2015	
KCS 2014-67(SA)	1	\$2,500	\$2,500	\$1,650	09/10/2015	
KCS 2014-68(LI)	2	\$4,000	\$4,000	\$2,600	09/10/2015	
KCS 2014-69(LI)	3	\$6,000	\$6,000	\$4,010	09/10/2015	
KCS 2014-70(SA)	1	\$5,000	\$5,000	\$3,500	09/10/2015	
KCS 2014-71(FCS)	1	\$2,500	\$2,500	\$1,625	09/10/2015	
KCS 2014-72(ROP)	1	\$7,500	\$7,500	\$4,900	09/10/2015	
KCS 2014-73(SA)	1	\$5,000	\$5,000	\$3,300	09/10/2015	
KCS 2015-1(HMT)	1	\$7,500	\$7,500	\$5,000	09/10/2015	
KCS 2015-2(GC)	1	\$5,000	\$5,000	\$3,575	09/10/2015	
KCS 2015-3(TS)	2	\$7,500	\$7,500	\$5,225	09/10/2015	
KCS 2015-4(ROP)	1	\$2,000	\$2,000	\$1,300	09/10/2015	
KCS 2015-5(AR)	1	\$1,000	\$1,000	\$660	09/10/2015	
KCS 2015-6(AR)	1	\$1,000	\$1,000	\$660	09/10/2015	
KCS 2015-11(GC)	1	\$5,000	\$5,000	\$3,250	09/10/2015	
KCS 2015-12(SA)	1	\$5,000	\$0	\$0	09/10/2015	Case Terminated.
KCS 2015-13(ROP)	1	\$7,500	\$2,000	\$1,300	09/10/2015	Partially Terminated Violation(s): 1.
KCS 2015-14(TS)	6	\$17,500	\$17,500	\$12,250	09/10/2015	
KCS 2015-15(SA)	1	\$2,500	\$2,500	\$1,650	09/10/2015	
KCS 2015-16(SA)	1	\$5,000	\$5,000	\$3,400	09/10/2015	
KO 2014-1(ROP)	1	\$9,500	\$9,500	\$7,100	09/30/2015	
KO 2014-2(ROP)	1	\$9,500	\$9,500	\$7,100	09/30/2015	
KO 2015-1(GC)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
KRR 2014-2(TS)	1	\$5,000	\$5,000	\$3,800	09/25/2015	
KRR 2014-3(TS)	1	\$1,000	\$1,000	\$850	09/25/2015	
KRR 2014-4(TS)	1	\$5,000	\$5,000	\$3,800	09/25/2015	
KRR 2014-5(TS)	1	\$5,000	\$5,000	\$3,800	09/25/2015	
KRR 2014-6(TS)	1	\$5,000	\$5,000	\$3,800	09/25/2015	
KRR 2014-7(EQ)	1	\$2,500	\$2,500	\$1,950	09/25/2015	
KRR 2014-8(GC)	1	\$2,500	\$2,500	\$1,950	09/25/2015	
KRR 2014-9(TS)	1	\$5,000	\$5,000	\$3,800	09/25/2015	
LAS 2014-2(AR)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
LAS 2014-3(RSP)	1	\$9,500	\$9,500	\$7,100	09/30/2015	
LAS 2014-4(EQ)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
LAS 2014-5(RSP)	1	\$9,500	\$9,500	\$7,100	09/30/2015	
LAS 2014-6(ROP)	1	\$7,500	\$7,500	\$5,600	09/30/2015	
LT 2013-1(SA)	1	\$5,000	\$5,000	\$3,650	06/23/2015	
LVRX 2013-1(ROP)	1	\$7,500	\$7,500	\$5,100	05/20/2015	
MBAX 2010-3(AR)	1	\$2,500	\$0	\$0	05/20/2015	Case Terminated.
MBAX 2011-2(AR)	1	\$2,500	\$0	\$0	05/20/2015	Case Terminated.
MBAX 2014-1(PEQ)	1	\$2,500	\$0	\$0	05/20/2015	Case Terminated.



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MBAX 2014-2(CC)	1	\$2,500	\$2,500	\$2,000	05/20/2015	
MBAX 2014-3(RW)	1	\$5,000	\$5,000	\$5,000	05/20/2015	
MBAX 2014-4(ROP)	1	\$5,000	\$5,000	\$4,000	05/20/2015	
MBAX 2014-5(ROR)	1	\$7,500	\$7,500	\$5,600	05/20/2015	
MBAX 2015-1(AR)	1	\$2,500	\$2,500	\$1,500	05/20/2015	
MBAX 2015-2(AR)	1	\$2,500	\$2,500	\$1,500	05/20/2015	
MBAX 2015-3(EQ)	1	\$2,500	\$2,500	\$1,900	05/20/2015	
MBAX 2015-4(AD)	3	\$7,000	\$7,000	\$4,500	05/20/2015	
MBAX 2015-5(AD)	3	\$7,500	\$7,500	\$6,000	05/20/2015	
MCCP 2014-1(TS)	1	\$5,000	\$5,000	\$650	02/24/2015	
MCRL 2013-1(AD)	1	\$2,500	\$0	\$0	02/12/2015	Case Terminated.
MCRL 2013-2(AD)	2	\$5,000	\$5,000	\$2,500	02/12/2015	
MCRL 2013-3(EQ)	5	\$5,000	\$5,000	\$3,250	02/12/2015	
MCRL 2014-1(TS)	1	\$2,500	\$2,500	\$1,700	02/12/2015	
MCRL 2014-2(GC)	5	\$12,500	\$12,500	\$7,000	05/26/2015	
MCRL 2014-3(GC)	5	\$12,500	\$12,500	\$7,000	05/26/2015	
MCRL 2015-1(GC)	1	\$5,000	\$5,000	\$3,250	05/26/2015	
MEC 2015-1(TS)	15	\$15,000	\$15,000	\$12,750	09/23/2015	
MHWA 2015-1(SA)	1	\$2,500	\$2,500	\$1,250	05/20/2015	
MMT 2015-1(EQ)	1	\$2,000	\$2,000	\$1,500	09/30/2015	
MMT 2015-2(EQ)	1	\$2,000	\$2,000	\$1,500	09/30/2015	
MNA 2014-1(SA)	1	\$2,500	\$2,500	\$1,950	09/25/2015	
MNA 2014-2(FCS)	1	\$2,500	\$2,500	\$1,950	09/25/2015	
MNA 2014-3(LI)	1	\$2,500	\$2,500	\$1,950	09/25/2015	
MNA 2014-4(SA)	14	\$35,000	\$2,500	\$2,500	09/25/2015	Partially Terminated Violation(s): 1.
MNA 2014-5(SA)	1	\$2,500	\$2,500	\$1,950	09/25/2015	
MNA 2014-6(SA)	1	\$5,000	\$5,000	\$3,800	09/25/2015	
MNA 2014-7(SA)	1	\$2,500	\$2,500	\$1,950	09/25/2015	
MNA 2014-8(SA)	1	\$2,500	\$2,500	\$1,950	09/25/2015	
MNA 2014-9(FCS)	1	\$2,500	\$2,500	\$1,950	09/25/2015	
MNA 2014-10(GC)	1	\$2,000	\$2,000	\$1,450	09/25/2015	
MNA 2014-11(GC)	1	\$5,000	\$5,000	\$3,800	09/25/2015	
MNA 2014-12(FCS)	1	\$5,000	\$5,000	\$3,800	09/25/2015	
MNA 2014-13(SA)	1	\$2,500	\$2,500	\$1,950	09/25/2015	
MNA 2014-14(SA)	1	\$2,500	\$2,500	\$1,950	09/25/2015	
MNA 2014-15(SA)	1	\$2,500	\$2,500	\$1,800	09/25/2015	
MNA 2014-16(SA)	1	\$5,000	\$5,000	\$3,800	09/25/2015	
MNA 2014-17(FCS)	1	\$1,000	\$1,000	\$850	09/25/2015	
MNA 2014-18(SA)	1	\$2,500	\$2,500	\$1,900	09/25/2015	
MNA 2014-19(FCS)	1	\$2,500	\$2,500	\$1,900	09/25/2015	
MNA 2014-20(SA)	1	\$2,500	\$2,500	\$1,900	09/25/2015	
MNCW 2010-5(AR)	2	\$5,000	\$0	\$0	01/30/2015	Case Terminated.
MNCW 2010-11(AR)	3	\$7,500	\$0	\$0	01/30/2015	Case Terminated.
MNR 2015-1(SA)	1	\$5,000	\$5,000	\$3,500	05/11/2015	
MSE 2014-1(HS)	1	\$1,000	\$1,000	\$1,000	10/08/2014	
MSE 2014-2(RW)	1	\$3,000	\$3,000	\$3,000	10/01/2014	
MSE 2014-3(GC)	1	\$5,000	\$5,000	\$5,000	10/08/2014	
NBER 2014-1(TS)	1	\$2,000	\$2,000	\$1,200	01/15/2015	
NCRC 2014-2(SA)	1	\$2,500	\$2,500	\$1,900	11/03/2014	

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NCTC 2015-1(PEQ)	1	\$2,500	\$2,500	\$2,500	08/06/2015	
NDW 2014-1(GC)	1	\$2,500	\$2,500	\$1,500	12/10/2014	
NECR 2013-5(EP)	1	\$1,500	\$1,500	\$1,120	09/25/2015	
NERR 2010-1(AD)	1	\$2,500	\$0	\$0	02/26/2015	Case Terminated.
NERR 2010-2(PEP)	6	\$15,000	\$0	\$0	02/26/2015	Case Terminated.
NERR 2010-3(ROP)	1	\$5,000	\$5,000	\$2,650	02/26/2015	
NERR 2010-4(TS)	3	\$15,000	\$15,000	\$7,950	02/26/2015	
NERR 2012-1(ROP)	1	\$7,500	\$7,500	\$4,100	02/26/2015	
NERR 2012-2(RW)	1	\$5,000	\$5,000	\$2,650	02/25/2015	
NERR 2012-3(TS)	1	\$5,000	\$5,000	\$2,650	02/26/2015	
NICD 2008-10(PEQ)	1	\$5,000	\$0	\$0	10/29/2014	Case Terminated.
NICD 2009-1(GC)	1	\$5,000	\$0	\$0	10/29/2014	Case Terminated.
NICD 2009-2(PEQ)	1	\$5,000	\$0	\$0	10/29/2014	Case Terminated.
NICD 2009-3(PEP)	1	\$5,000	\$0	\$0	10/29/2014	Case Terminated.
NICD 2009-4(PEP)	1	\$5,000	\$0	\$0	10/29/2014	Case Terminated.
NICD 2010-1(GC)	1	\$5,000	\$5,000	\$3,550	10/29/2014	
NICD 2011-1(ROP)	1	\$7,500	\$7,500	\$5,350	10/29/2014	
NICD 2011-2(GC)	1	\$5,000	\$5,000	\$3,550	10/29/2014	
NICD 2014-1(SA)	1	\$2,500	\$2,500	\$1,775	10/29/2014	
NICD 2014-2(LI)	1	\$2,500	\$2,500	\$1,775	10/29/2014	
NIRC 2011-1(ROP)	1	\$9,500	\$9,500	\$7,500	05/21/2015	
NIRC 2011-2(GC)	1	\$5,000	\$5,000	\$3,900	05/21/2015	
NIRC 2011-3(HS)	4	\$4,000	\$4,000	\$3,100	05/21/2015	
NIRC 2012-1(RW)	1	\$1,000	\$1,000	\$750	05/21/2015	
NIRC 2013-1(ROP)	1	\$9,500	\$9,500	\$7,500	05/21/2015	
NIRC 2013-2(SA)	1	\$5,000	\$5,000	\$3,200	05/21/2015	
NIRC 2013-3(ROP)	1	\$7,500	\$7,500	\$5,800	05/21/2015	
NIRC 2013-4(TH)	2	\$10,000	\$10,000	\$7,900	05/21/2015	
NIRC 2013-5(PEQ)	1	\$5,000	\$5,000	\$3,650	05/21/2015	
NIRC 2013-6(HS)	1	\$1,000	\$1,000	\$800	05/21/2015	
NIRC 2014-1(HSR)	44	\$44,000	\$35,000	\$24,000	05/21/2015	Terminated Violation(s): 1-9.
NIRC 2014-2(EQ)	1	\$2,500	\$2,500	\$1,900	05/21/2015	
NJTR 2014-1(SI)	1	\$2,500	\$2,500	\$1,950	06/15/2015	
NJTR 2014-2(PEQ)	2	\$10,000	\$10,000	\$7,800	06/15/2015	
NJTR 2014-3(ROP)	1	\$5,000	\$5,000	\$3,900	06/15/2015	
NJTR 2014-4(ROP)	1	\$5,000	\$5,000	\$3,900	06/15/2015	
NJTR 2014-5(ROP)	1	\$7,500	\$7,500	\$5,850	06/15/2015	
NJTR 2015-1(SI)	1	\$5,000	\$5,000	\$3,900	06/15/2015	
NJTR 2015-2(ROR)	2	\$17,000	\$17,000	\$13,260	06/15/2015	
NJTR 2015-4(ROP)	3	\$17,500	\$17,500	\$13,840	06/15/2015	
NJTR 2015-5(PEQ)	1	\$5,000	\$5,000	\$3,900	06/15/2015	
NJTR 2015-6(SA)	3	\$15,000	\$15,000	\$11,700	06/15/2015	
NKCR 2015-1(HSR)	1	\$1,000	\$1,000	\$650	04/15/2015	
NKCR 2015-2(GC)	1	\$2,500	\$2,500	\$1,875	05/05/2015	
NLR 2009-1(LI)	1	\$2,500	\$2,500	\$2,500	02/26/2015	
NMRX 2014-1(GC)	1	\$2,500	\$2,500	\$1,750	01/14/2015	
NMRX 2015-1(SI)	1	\$1,000	\$1,000	\$750	04/29/2015	
NOPB 2014-3(AR)	1	\$2,500	\$2,500	\$1,350	01/16/2015	
NOPB 2014-4(AR)	1	\$2,500	\$2,500	\$1,350	01/16/2015	

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NOPB 2014-6(SA)	1	\$5,000	\$5,000	\$5,000	12/09/2014	
NOPB 2014-7(HMT)	1	\$3,000	\$3,000	\$3,000	03/09/2015	
NYA 2012-1(ROP)	1	\$9,500	\$9,500	\$9,500	10/09/2014	
NYA 2012-2(SA)	1	\$5,000	\$5,000	\$5,000	11/05/2014	
NYSW 2013-1(SA)	1	\$5,000	\$5,000	\$3,000	06/01/2015	
NYSW 2015-1(ROP)	1	\$2,000	\$2,000	\$2,000	05/04/2015	
OHCR 2014-1(SA)	1	\$2,500	\$2,500	\$1,900	09/25/2015	
OHCR 2014-2(GC)	1	\$2,500	\$2,500	\$1,950	09/25/2015	
OHCR 2014-3(SA)	1	\$2,500	\$2,500	\$1,900	09/25/2015	
OHCR 2014-4(SA)	1	\$5,000	\$5,000	\$3,750	09/25/2015	
OSRR 2014-1(LI)	1	\$2,500	\$2,500	\$1,950	09/25/2015	
PAL 2011-1(SA)	2	\$7,500	\$7,500	\$5,000	06/24/2015	
PAL 2014-2(SI)	1	\$5,000	\$5,000	\$5,000	06/01/2015	
PAS 2014-2(TS)	1	\$5,000	\$5,000	\$4,200	09/23/2015	
PAS 2015-1(TS)	1	\$2,000	\$0	\$0	09/23/2015	Case Terminated.
PAS 2015-2(TS)	7	\$7,000	\$7,000	\$5,950	09/23/2015	
PAS 2015-3(TS)	3	\$3,000	\$3,000	\$2,550	09/23/2015	
PNWR 2014-1(TS)	1	\$1,000	\$1,000	\$850	09/25/2015	
PNWR 2014-2(TS)	1	\$5,000	\$5,000	\$3,800	09/25/2015	
PNWR 2014-3(TS)	1	\$5,000	\$5,000	\$3,800	09/25/2015	
PNWR 2014-4(EQ)	1	\$1,000	\$1,000	\$750	09/25/2015	
PSAP 2014-2(TS)	4	\$10,000	\$10,000	\$7,200	09/25/2015	
PSAP 2014-3(TS)	1	\$5,000	\$5,000	\$3,800	09/25/2015	
PSAP 2014-4(TS)	3	\$15,000	\$15,000	\$10,800	09/25/2015	
PSAP 2014-5(TS)	1	\$2,500	\$2,500	\$1,950	09/25/2015	
PSAP 2014-6(TS)	5	\$9,500	\$9,500	\$6,950	09/25/2015	
PSAP 2014-7(TS)	5	\$17,500	\$17,500	\$12,900	09/25/2015	
PSAP 2014-8(SI)	1	\$1,000	\$1,000	\$850	09/25/2015	
PSAP 2014-9(EO)	1	\$2,500	\$2,500	\$1,950	09/25/2015	
PW 2013-3(AR)	9	\$9,000	\$9,000	\$6,000	06/26/2015	
PW 2013-4(RSP)	1	\$2,500	\$2,500	\$1,750	06/26/2015	
PW 2013-5(SA)	1	\$5,000	\$5,000	\$3,500	06/26/2015	
PW 2013-6(SI)	2	\$7,500	\$7,500	\$5,000	06/26/2015	
PW 2013-7(LI)	1	\$1,000	\$1,000	\$700	06/26/2015	
PW 2013-8(SA)	1	\$2,500	\$2,500	\$1,500	06/26/2015	
PW 2013-9(ROP)	1	\$7,500	\$7,500	\$4,800	06/26/2015	
PW 2014-1(ROP)	1	\$9,500	\$9,500	\$7,100	06/26/2015	
RCPE 2015-1(HS)	1	\$1,000	\$1,000	\$1,000	06/19/2015	
RRRR 2015-1(TS)	1	\$5,000	\$5,000	\$5,000	04/09/2015	
RSIX 2011-1(HSR)	3	\$3,000	\$3,000	\$2,250	07/13/2015	
RSIX 2012-1(HS)	3	\$3,000	\$3,000	\$2,550	07/13/2015	
RSIX 2013-5(SA)	1	\$5,000	\$5,000	\$3,750	09/15/2015	
RSIX 2013-8(HS)	1	\$1,000	\$0	\$0	09/14/2015	Case Terminated.
RSIX 2014-1(HMT)	5	\$25,000	\$10,000	\$10,000	09/15/2015	Partially Terminated Violation(s): 1,2,3,4,5.
RVSC 2014-1(TS)	1	\$1,000	\$1,000	\$700	12/04/2014	
SAC 2014-1(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
SBG 2013-1(SA)	1	\$5,000	\$5,000	\$3,500	10/29/2014	
SCAX 2014-1(HSR)	1	\$1,000	\$1,000	\$650	02/02/2015	
SCAX 2014-2(GC)	2	\$5,000	\$2,500	\$650	03/16/2015	Partially Terminated Violation(s): 1.

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SCR 2014-1(AR)	1	\$2,500	\$2,500	\$1,250	02/12/2015	
SCR 2014-2(AR)	1	\$2,500	\$2,500	\$1,250	02/12/2015	
SCR 2014-3(AR)	1	\$2,500	\$2,500	\$1,250	02/12/2015	
SCX 2014-1(TS)	11	\$17,000	\$17,000	\$10,200	02/12/2015	
SCX 2014-2(GC)	1	\$2,500	\$2,500	\$1,700	05/26/2015	
SEPA 2014-10(ROR)	1	\$9,500	\$9,500	\$6,000	03/04/2015	
SEPA 2014-11(GC)	2	\$2,000	\$2,000	\$1,300	03/04/2015	
SEPA 2014-12(GC)	1	\$1,000	\$0	\$0	02/12/2015	Case Terminated.
SEPA 2014-13(SI)	1	\$5,000	\$0	\$0	03/04/2015	Case Terminated.
SEPA 2014-14(SI)	1	\$1,000	\$1,000	\$650	03/04/2015	
SEPA 2015-1(CC)	2	\$6,000	\$6,000	\$4,050	08/05/2015	
SEPA 2015-2(SI)	2	\$7,500	\$7,500	\$4,700	08/05/2015	
SEPA 2015-3(GC)	1	\$2,500	\$2,500	\$1,700	08/05/2015	
SEPA 2015-4(EQ)	1	\$1,000	\$1,000	\$650	08/05/2015	
SEPA 2015-5(ROP)	1	\$5,000	\$5,000	\$3,000	08/05/2015	
SEPA 2015-6(AD)	1	\$5,000	\$5,000	\$2,500	08/05/2015	
SEPA 2015-7(AD)	1	\$5,000	\$0	\$0	08/05/2015	Case Terminated.
SEPA 2015-9(AD)	1	\$5,000	\$5,000	\$2,500	08/05/2015	
SEPA 2015-10(AD)	1	\$5,000	\$5,000	\$2,500	08/05/2015	
SEPA 2015-11(AD)	1	\$5,000	\$5,000	\$2,500	08/05/2015	
SEPA 2015-12(AD)	1	\$2,500	\$2,500	\$1,800	08/05/2015	
SEPA 2015-13(AD)	1	\$5,000	\$5,000	\$2,500	08/05/2015	
SEPA 2015-15(SI)	1	\$1,000	\$1,000	\$650	08/05/2015	
SGLR 2009-2(SI)	1	\$1,000	\$0	\$0	01/05/2015	Case Terminated
SJVR 2011-11(GC)	1	\$2,500	\$2,500	\$1,900	09/25/2015	
SJVR 2014-1(ROP)	1	\$9,500	\$9,500	\$6,900	09/25/2015	
SKOL 2010-4(GC)	1	\$5,000	\$0	\$0	09/30/2015	Case Terminated.
SKOL 2014-3(TS)	1	\$1,000	\$1,000	\$850	09/30/2015	
SKOL 2014-4(TS)	2	\$7,500	\$7,500	\$5,600	09/30/2015	
SKOL 2014-5(TS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
SKOL 2015-1(TS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
SKOL 2015-2(TS)	2	\$5,000	\$5,000	\$3,750	09/30/2015	
SKOL 2015-3(ROP)	1	\$7,500	\$7,500	\$5,600	09/30/2015	
SKOL 2015-4(TS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
SLAL 2014-1(SA)	1	\$5,000	\$0	\$0	11/07/2014	Case Terminated.
SLRG 2012-5(TS)	2	\$10,000	\$10,000	\$7,000	02/12/2015	
SLRG 2013-1(GC)	1	\$2,500	\$2,500	\$1,250	02/12/2015	
SLRG 2013-2(GC)	1	\$2,500	\$2,500	\$1,700	02/12/2015	
SLRG 2013-3(AR)	1	\$2,500	\$2,500	\$1,700	02/12/2015	
SLRG 2013-4(AD)	3	\$7,500	\$7,500	\$6,000	02/12/2015	
SLRG 2013-5(TS)	1	\$5,000	\$5,000	\$3,500	02/12/2015	
SLRG 2013-6(TS)	1	\$5,000	\$5,000	\$3,500	02/12/2015	
SLRG 2014-1(GC)	2	\$2,000	\$2,000	\$1,300	05/26/2015	
SLRG 2014-2(GC)	1	\$2,500	\$2,500	\$1,700	05/26/2015	
SLRG 2014-3(SA)	1	\$5,000	\$5,000	\$3,000	05/26/2015	
SLRG 2014-4(GC)	1	\$2,500	\$2,500	\$1,700	05/26/2015	
SLRG 2014-5(TS)	3	\$7,000	\$7,000	\$6,550	05/26/2015	
SLRG 2015-1(TS)	3	\$8,500	\$8,500	\$5,600	05/26/2015	

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SLRG 2015-2(TS)	1	\$1,000	\$1,000	\$650	05/26/2015	
SLRG 2015-3(TS)	3	\$15,000	\$15,000	\$9,750	05/26/2015	
SLRG 2015-4(TS)	1	\$5,000	\$5,000	\$3,250	05/26/2015	
SLWC 2014-1(TS)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
SLWC 2015-1(RSP)	1	\$9,500	\$9,500	\$7,100	09/30/2015	
SMRT 2014-1(GC)	1	\$2,500	\$2,500	\$1,250	06/10/2015	
SNC 2013-1(EP)	1	\$1,000	\$1,000	\$650	02/12/2015	
SNC 2013-2(GC)	1	\$1,000	\$1,000	\$650	02/12/2015	
SNC 2013-3(ROP)	1	\$7,500	\$7,500	\$5,500	02/12/2015	
SNC 2013-4(SA)	2	\$10,000	\$10,000	\$6,400	02/12/2015	
SOU 2008-125(AD)	3	\$7,500	\$0	\$0	09/30/2015	Case Terminated.
SOU 2010-170(AR)	1	\$1,000	\$1,000	\$850	09/30/2015	
SOU 2010-183(AR)	3	\$3,000	\$3,000	\$2,200	09/30/2015	
SOU 2010-224(AR)	1	\$2,500	\$0	\$0	09/30/2015	Case Terminated.
SOU 2010-235(AR)	1	\$2,500	\$0	\$0	09/30/2015	Case Terminated.
SOU 2010-258(AR)	1	\$2,500	\$0	\$0	09/30/2015	Case Terminated.
SOU 2010-262(AR)	2	\$5,000	\$5,000	\$3,700	09/30/2015	
SOU 2010-299(AR)	1	\$2,500	\$0	\$0	09/30/2015	Case Terminated.
SOU 2011-54(AR)	1	\$2,500	\$0	\$0	09/30/2015	Case Terminated.
SOU 2011-64(AR)	10	\$25,000	\$0	\$0	09/30/2015	Case Terminated.
SOU 2011-68(AR)	1	\$2,500	\$0	\$0	09/30/2015	Case Terminated.
SOU 2011-69(AR)	1	\$2,500	\$0	\$0	09/30/2015	Case Terminated.
SOU 2011-85(AR)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
SOU 2011-136(AR)	1	\$2,500	\$0	\$0	09/30/2015	Case Terminated.
SOU 2011-222(FCS)	2	\$4,000	\$0	\$0	09/30/2015	Case Terminated.
SOU 2011-244(AR)	2	\$5,000	\$5,000	\$3,600	09/30/2015	
SOU 2011-247(AR)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
SOU 2011-289(HMT)	1	\$2,000	\$2,000	\$1,500	09/30/2015	
SOU 2011-323(AR)	1	\$1,000	\$0	\$0	09/30/2015	Case Terminated.
SOU 2012-287(AR)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
SOU 2013-170(AR)	13	\$13,000	\$13,000	\$9,400	09/30/2015	
SOU 2013-184(LI)	4	\$10,000	\$10,000	\$7,450	09/30/2015	
SOU 2013-239(AR)	1	\$1,000	\$1,000	\$900	09/30/2015	
SOU 2013-294(AR)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2013-297(ROP)	1	\$9,500	\$9,500	\$7,000	09/30/2015	
SOU 2014-3(AR)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
SOU 2014-59(EQ)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
SOU 2014-69(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2015	
SOU 2014-71(ROP)	1	\$2,000	\$2,000	\$1,550	09/30/2015	
SOU 2014-75(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2015	
SOU 2014-77(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2015	
SOU 2014-79(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2015	
SOU 2014-81(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2014-83(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2014-85(SA)	1	\$5,000	\$5,000	\$3,975	09/30/2015	
SOU 2014-87(ROP)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
SOU 2014-89(SI)	6	\$6,000	\$6,000	\$3,900	09/30/2015	
SOU 2014-91(HMT)	1	\$2,000	\$2,000	\$1,600	09/30/2015	
SOU 2014-92(LI)	1	\$1,000	\$1,000	\$875	09/30/2015	

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SOU 2014-93(TS)	1	\$5,000	\$5,000	\$3,850	09/30/2015	
SOU 2014-94(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2015	
SOU 2014-95(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2015	
SOU 2014-96(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2015	
SOU 2014-97(ROP)	1	\$9,500	\$5,000	\$4,350	09/30/2015	Partially Terminated Violation(s): 1.
SOU 2014-98(LI)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2014-99(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2014-100(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2015	
SOU 2014-101(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2015	
SOU 2014-102(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2015	
SOU 2014-103(ROP)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
SOU 2014-104(GC)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
SOU 2014-105(GC)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
SOU 2014-106(GC)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
SOU 2014-107(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2015	
SOU 2014-108(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2014-109(TS)	1	\$2,500	\$2,500	\$2,000	09/30/2015	
SOU 2014-110(TS)	2	\$2,000	\$2,000	\$1,550	09/30/2015	
SOU 2014-111(TS)	2	\$6,000	\$6,000	\$4,600	09/30/2015	
SOU 2014-112(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2014-113(SA)	1	\$5,000	\$5,000	\$3,975	09/30/2015	
SOU 2014-114(SA)	1	\$5,000	\$5,000	\$3,975	09/30/2015	
SOU 2014-115(LI)	1	\$1,500	\$1,500	\$1,225	09/30/2015	
SOU 2014-116(LI)	1	\$2,500	\$2,500	\$1,950	09/30/2015	
SOU 2014-117(LI)	3	\$7,500	\$7,500	\$5,700	09/30/2015	
SOU 2014-118(GC)	1	\$5,000	\$5,000	\$4,450	09/30/2015	
SOU 2014-119(GC)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
SOU 2014-120(GC)	1	\$5,000	\$5,000	\$4,500	09/30/2015	
SOU 2014-121(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2015	
SOU 2014-122(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2014-123(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2015	
SOU 2014-124(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2015	
SOU 2014-125(LI)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2014-126(LI)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
SOU 2014-127(LI)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2014-128(GC)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
SOU 2014-129(FCS)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
SOU 2014-130(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2014-131(HSR)	1	\$1,000	\$1,000	\$825	09/30/2015	
SOU 2014-132(HSR)	1	\$1,000	\$1,000	\$825	09/30/2015	
SOU 2014-133(HSR)	1	\$1,000	\$1,000	\$825	09/30/2015	
SOU 2014-134(LI)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2014-135(SA)	1	\$2,500	\$2,500	\$2,100	09/30/2015	
SOU 2014-136(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2015	
SOU 2014-137(SA)	2	\$7,500	\$7,500	\$5,500	09/30/2015	
SOU 2014-138(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2015	
SOU 2014-139(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2014-140(SA)	1	\$2,500	\$2,500	\$2,025	09/30/2015	
SOU 2014-141(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	

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SOU 2014-142(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2015	
SOU 2014-143(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2015	
SOU 2014-144(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2015	
SOU 2014-145(LI)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2014-146(HMT)	2	\$10,000	\$10,000	\$8,000	09/30/2015	
SOU 2014-147(HMT)	1	\$7,500	\$7,500	\$5,950	09/30/2015	
SOU 2014-148(LI)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2014-149(ROP)	1	\$7,500	\$7,500	\$5,475	09/30/2015	
SOU 2014-150(ROP)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
SOU 2014-151(ROP)	1	\$7,500	\$7,500	\$5,700	09/30/2015	
SOU 2014-152(TS)	1	\$2,500	\$2,500	\$1,975	09/30/2015	
SOU 2014-153(TS)	2	\$10,000	\$10,000	\$7,700	09/30/2015	
SOU 2014-154(ROP)	1	\$7,500	\$7,500	\$5,475	09/30/2015	
SOU 2014-155(FCS)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
SOU 2014-156(ROP)	1	\$7,500	\$7,500	\$5,475	09/30/2015	
SOU 2014-157(GC)	1	\$1,000	\$1,000	\$900	09/30/2015	
SOU 2014-158(HMT)	2	\$10,000	\$10,000	\$7,800	09/30/2015	
SOU 2014-159(HMT)	4	\$20,000	\$20,000	\$16,000	09/30/2015	
SOU 2014-160(TS)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
SOU 2014-161(TS)	1	\$1,000	\$1,000	\$900	09/30/2015	
SOU 2014-162(TS)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
SOU 2014-163(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2015	
SOU 2014-164(FCS)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
SOU 2014-165(FCS)	1	\$1,000	\$1,000	\$825	09/30/2015	
SOU 2014-166(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2015	
SOU 2014-167(ROP)	1	\$7,500	\$7,500	\$5,475	09/30/2015	
SOU 2014-168(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2014-169(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2015	
SOU 2014-170(SA)	1	\$5,000	\$5,000	\$4,100	09/30/2015	
SOU 2014-171(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2014-172(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2014-173(TS)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
SOU 2014-174(EQ)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2014-175(HSR)	1	\$1,000	\$1,000	\$825	09/30/2015	
SOU 2014-176(GC)	1	\$2,500	\$2,500	\$2,000	09/30/2015	
SOU 2014-177(SI)	1	\$1,000	\$1,000	\$900	09/30/2015	
SOU 2014-178(ROP)	1	\$7,500	\$7,500	\$5,600	09/30/2015	
SOU 2014-179(GC)	1	\$2,500	\$2,500	\$2,000	09/30/2015	
SOU 2014-180(FCS)	1	\$5,000	\$5,000	\$3,650	09/30/2015	
SOU 2014-182(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2015	
SOU 2014-183(LI)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
SOU 2014-185(REM)	1	\$5,000	\$5,000	\$4,750	09/30/2015	
SOU 2014-186(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2014-187(SA)	1	\$2,000	\$2,000	\$1,450	09/30/2015	
SOU 2014-188(SA)	1	\$10,000	\$10,000	\$8,000	09/30/2015	
SOU 2014-189(SA)	2	\$5,000	\$5,000	\$3,900	09/30/2015	
SOU 2014-190(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2015	
SOU 2014-191(SA)	1	\$2,500	\$2,500	\$2,025	09/30/2015	
SOU 2014-192(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	

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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 2014-193(HMT)	1	\$5,000	\$1,000	\$800	09/30/2015	Partially Terminated Violation(s): 1.
SOU 2014-194(ROP)	1	\$7,500	\$7,500	\$5,475	09/30/2015	
SOU 2014-195(TS)	1	\$5,000	\$5,000	\$4,500	09/30/2015	
SOU 2014-196(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2014-197(RW)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
SOU 2014-198(HMT)	1	\$4,000	\$4,000	\$3,200	09/30/2015	
SOU 2014-199(HMT)	1	\$2,000	\$2,000	\$1,400	09/30/2015	
SOU 2014-200(HMT)	1	\$4,000	\$4,000	\$3,550	09/30/2015	
SOU 2014-201(HMT)	1	\$2,000	\$2,000	\$2,000	09/30/2015	
SOU 2014-202(HMT)	2	\$13,500	\$13,500	\$10,500	09/30/2015	
SOU 2014-203(HMT)	2	\$11,500	\$11,500	\$8,600	09/30/2015	
SOU 2014-204(HMT)	1	\$2,500	\$2,500	\$2,000	09/30/2015	
SOU 2014-205(HMT)	4	\$22,000	\$22,000	\$16,900	09/30/2015	
SOU 2014-206(HSR)	1	\$1,000	\$1,000	\$800	09/30/2015	
SOU 2014-207(SA)	1	\$5,000	\$5,000	\$4,150	09/30/2015	
SOU 2014-208(LI)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
SOU 2014-209(HMT)	2	\$6,000	\$6,000	\$4,800	09/30/2015	
SOU 2014-210(SA)	1	\$2,500	\$2,500	\$1,975	09/30/2015	
SOU 2014-211(LI)	1	\$2,500	\$2,500	\$1,950	09/30/2015	
SOU 2014-212(AR)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
SOU 2014-213(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2015	
SOU 2014-214(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2015	
SOU 2014-215(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
SOU 2014-216(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2015	
SOU 2014-217(FCS)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
SOU 2014-218(FCS)	1	\$5,000	\$5,000	\$3,650	09/30/2015	
SOU 2014-219(FCS)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
SOU 2014-220(FCS)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
SOU 2014-221(ROP)	1	\$7,500	\$7,500	\$5,475	09/30/2015	
SOU 2014-222(FCS)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
SOU 2014-223(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2014-224(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2014-225(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2014-226(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2014-227(AD)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
SOU 2014-228(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2015	
SOU 2014-229(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2014-230(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2015	
SOU 2014-231(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2015	
SOU 2014-232(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2014-233(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2015	
SOU 2014-234(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2015	
SOU 2014-235(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2015	
SOU 2014-236(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2015	
SOU 2014-237(SA)	1	\$10,000	\$5,000	\$5,000	09/30/2015	Partially Terminated Violation(s): 1.
SOU 2014-239(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2014-240(LI)	1	\$2,000	\$2,000	\$1,450	09/30/2015	
SOU 2014-241(LI)	1	\$2,500	\$2,500	\$1,900	09/30/2015	



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SOU 2014-242(LI)	1	\$1,500	\$1,500	\$1,150	09/30/2015	
SOU 2014-243(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2015	
SOU 2014-244(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2015	
SOU 2014-245(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2014-246(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2015	
SOU 2014-247(ROP)	1	\$9,500	\$9,500	\$7,100	09/30/2015	
SOU 2014-248(HMT)	1	\$2,000	\$2,000	\$1,600	09/30/2015	
SOU 2014-249(ROP)	1	\$9,500	\$9,500	\$7,100	09/30/2015	
SOU 2014-250(LI)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2014-251(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2014-252(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2015	
SOU 2014-253(SA)	1	\$5,000	\$5,000	\$3,950	09/30/2015	
SOU 2014-254(FCS)	1	\$5,000	\$5,000	\$3,700	09/30/2015	
SOU 2014-255(AR)	1	\$1,000	\$1,000	\$875	09/30/2015	
SOU 2014-256(SA)	1	\$5,000	\$5,000	\$3,950	09/30/2015	
SOU 2014-257(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2014-258(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2014-259(GC)	1	\$5,000	\$5,000	\$3,950	09/30/2015	
SOU 2014-260(GC)	1	\$5,000	\$5,000	\$4,450	09/30/2015	
SOU 2014-261(LI)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
SOU 2015-1(AR)	1	\$1,000	\$1,000	\$875	09/30/2015	
SOU 2015-2(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2015	
SOU 2015-3(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2015	
SOU 2015-4(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2015	
SOU 2015-5(TS)	1	\$1,000	\$1,000	\$900	09/30/2015	
SOU 2015-6(GC)	1	\$1,000	\$1,000	\$900	09/30/2015	
SOU 2015-7(TS)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
SOU 2015-8(AR)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
SOU 2015-10(AR)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
SOU 2015-11(AR)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
SOU 2015-12(AR)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
SOU 2015-13(AR)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
SOU 2015-14(AR)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
SOU 2015-15(AR)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
SOU 2015-16(AR)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
SOU 2015-17(LI)	1	\$1,500	\$1,500	\$1,225	09/30/2015	
SOU 2015-18(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2015-19(GC)	1	\$5,000	\$5,000	\$3,950	09/30/2015	
SOU 2015-20(RMM)	1	\$5,000	\$0	\$0	09/30/2015	Case Terminated.
SOU 2015-22(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2015-23(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2015-24(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2015	
SOU 2015-25(SA)	1	\$5,000	\$5,000	\$3,975	09/30/2015	
SOU 2015-26(LI)	1	\$2,500	\$2,500	\$2,050	09/30/2015	
SOU 2015-27(AD)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
SOU 2015-28(ROP)	1	\$9,500	\$9,500	\$7,000	09/30/2015	
SOU 2015-29(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2015	
SOU 2015-30(AR)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2015-31(AR)	1	\$2,500	\$2,500	\$1,900	09/30/2015	

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SOU 2015-32(AR)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
SOU 2015-33(AR)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
SOU 2015-34(AR)	1	\$2,500	\$0	\$0	09/30/2015	Case Terminated.
SOU 2015-35(AR)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
SOU 2015-36(AR)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
SOU 2015-37(AR)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
SOU 2015-38(ROP)	1	\$9,500	\$5,000	\$4,000	09/30/2015	Partially Terminated Violation(s): 1.
SOU 2015-39(ROP)	1	\$9,500	\$9,500	\$7,100	09/30/2015	
SOU 2015-40(FCS)	1	\$5,000	\$5,000	\$3,700	09/30/2015	
SOU 2015-41(GC)	1	\$1,000	\$1,000	\$900	09/30/2015	
SOU 2015-42(EO)	1	\$2,500	\$2,500	\$2,300	09/30/2015	
SOU 2015-43(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2015-44(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2015-45(ROP)	1	\$7,500	\$7,500	\$5,475	09/30/2015	
SOU 2015-46(ROP)	1	\$7,500	\$7,500	\$5,475	09/30/2015	
SOU 2015-47(SA)	1	\$5,000	\$5,000	\$4,450	09/30/2015	
SOU 2015-48(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2015	
SOU 2015-50(TS)	1	\$1,000	\$1,000	\$900	09/30/2015	
SOU 2015-51(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2015	
SOU 2015-52(GC)	1	\$1,000	\$1,000	\$900	09/30/2015	
SOU 2015-53(GC)	1	\$1,000	\$1,000	\$900	09/30/2015	
SOU 2015-54(HMT)	1	\$4,000	\$4,000	\$4,000	09/30/2015	
SOU 2015-55(HMT)	1	\$4,000	\$4,000	\$3,250	09/30/2015	
SOU 2015-56(ROP)	1	\$2,000	\$2,000	\$1,500	09/30/2015	
SOU 2015-57(LI)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2015-58(LI)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
SOU 2015-59(GC)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
SOU 2015-60(HMT)	4	\$20,000	\$4,000	\$3,000	09/30/2015	Partially Terminated Violation(s): 1.
SOU 2015-61(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2015-62(ROP)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
SOU 2015-63(TS)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
SOU 2015-64(LI)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
SOU 2015-65(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2015-66(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2015	
SOU 2015-67(ROP)	1	\$7,500	\$7,500	\$5,475	09/30/2015	
SOU 2015-68(FCS)	2	\$5,000	\$5,000	\$3,700	09/30/2015	
SOU 2015-69(FCS)	1	\$5,000	\$5,000	\$3,700	09/30/2015	
SOU 2015-70(FCS)	2	\$10,000	\$10,000	\$7,400	09/30/2015	
SOU 2015-71(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2015-72(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2015-73(CC)	1	\$1,000	\$1,000	\$850	09/30/2015	
SOU 2015-74(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2015	
SOU 2015-75(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
SOU 2015-76(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
SOU 2015-77(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
SOU 2015-78(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
SOU 2015-79(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
SOU 2015-80(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	

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SOU 2015-81(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2015	
SOU 2015-82(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2015	
SOU 2015-83(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2015	
SOU 2015-84(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2015	
SOU 2015-85(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2015	
SOU 2015-86(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2015	
SOU 2015-87(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2015	
SOU 2015-88(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2015	
SOU 2015-89(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2015-90(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
SOU 2015-91(SA)	1	\$2,500	\$2,500	\$1,975	09/30/2015	
SOU 2015-92(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2015	
SOU 2015-93(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2015-94(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2015-95(ROP)	1	\$7,500	\$7,500	\$5,475	09/30/2015	
SOU 2015-96(ROP)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
SOU 2015-97(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2015	
SOU 2015-98(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2015	
SOU 2015-99(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2015	
SOU 2015-100(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2015	
SOU 2015-101(HSR)	1	\$1,000	\$1,000	\$825	09/30/2015	
SOU 2015-102(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2015-103(SA)	1	\$5,000	\$0	\$0	09/30/2015	Case Terminated.
SOU 2015-104(ROP)	1	\$7,500	\$7,500	\$5,475	09/30/2015	
SOU 2015-105(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2015-107(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2015-108(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2015-109(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2015-110(SA)	1	\$5,000	\$5,000	\$3,600	09/30/2015	
SOU 2015-111(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2015-113(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
SOU 2015-114(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2015	
SOU 2015-116(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2015	
SOU 2015-119(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
SRC 2009-1(GC)	1	\$2,500	\$0	\$0	10/06/2014	Case Terminated.
SS 2015-1(LI)	1	\$2,500	\$2,500	\$1,250	07/30/2015	
ST 2014-3(LI)	1	\$2,500	\$2,500	\$2,500	09/23/2015	
ST 2014-4(SA)	1	\$5,000	\$5,000	\$4,000	09/23/2015	
ST 2014-5(SA)	1	\$5,000	\$5,000	\$4,750	09/23/2015	
ST 2015-1(CC)	2	\$5,000	\$5,000	\$4,200	09/23/2015	
ST 2015-2(ROP)	1	\$7,500	\$7,500	\$6,000	09/23/2015	
ST 2015-3(ROP)	1	\$7,500	\$7,500	\$6,000	09/23/2015	
ST 2015-4(SA)	1	\$5,000	\$5,000	\$4,750	09/23/2015	
ST 2015-5(GC)	1	\$5,000	\$5,000	\$4,700	09/23/2015	
ST 2015-6(SA)	1	\$5,000	\$5,000	\$4,700	09/23/2015	
ST 2015-7(SA)	1	\$5,000	\$5,000	\$4,200	09/23/2015	
STMA 2015-1(SA)	1	\$5,000	\$5,000	\$3,000	08/05/2015	
STMA 2015-2(TS)	2	\$10,000	\$10,000	\$6,000	08/05/2015	
SW 2013-6(SA)	1	\$5,000	\$5,000	\$3,500	10/15/2014	

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SW 2014-1(SA)	2	\$10,000	\$0	\$0	10/15/2014	Case Terminated.
SW 2014-3(ROP)	5	\$37,500	\$22,500	\$15,000	10/15/2014	Terminated Violation(s): 1, 2.
SW 2014-4(ROP)	4	\$32,000	\$24,500	\$15,000	10/15/2014	Terminated Violation(s): 3.
SW 2014-5(AR)	1	\$2,500	\$2,500	\$1,800	10/15/2014	
SW 2014-6(AR)	1	\$2,500	\$2,500	\$1,800	10/15/2014	
SW 2014-7(AR)	1	\$2,500	\$2,500	\$1,800	10/15/2014	
SW 2014-8(AR)	1	\$2,500	\$2,500	\$1,800	10/15/2014	
SW 2014-9(AR)	1	\$2,500	\$2,500	\$1,800	10/15/2014	
SW 2014-10(CC)	1	\$2,500	\$2,500	\$1,700	10/15/2014	
SW 2014-11(ROP)	2	\$9,500	\$4,000	\$2,800	10/15/2014	Partially Terminated Violation(s): 1.
SW 2014-13(SA)	4	\$17,500	\$17,500	\$11,750	10/15/2014	
SW 2014-14(GC)	1	\$2,500	\$0	\$0	10/15/2014	Case Terminated.
SW 2014-26(GC)	1	\$2,500	\$0	\$0	10/15/2014	Case Terminated.
TCT 2014-1(SA)	1	\$5,000	\$5,000	\$4,000	01/23/2015	
TIBR 2014-2(TS)	10	\$28,500	\$28,500	\$21,300	09/30/2015	
TIBR 2014-3(TS)	1	\$1,000	\$1,000	\$850	09/30/2015	
TIBR 2014-4(TS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
TIBR 2014-5(TS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
TN 2014-1(SA)	1	\$5,000	\$5,000	\$3,250	06/23/2015	
TNMR 2012-2(LI)	6	\$12,000	\$12,000	\$6,300	02/12/2015	
TNMR 2014-1(TS)	2	\$5,000	\$5,000	\$3,200	05/26/2015	
TNMR 2014-2(CC)	2	\$10,000	\$10,000	\$5,000	05/26/2015	
TNMR 2014-3(CC)	2	\$7,500	\$7,500	\$3,750	05/26/2015	
TNMR 2014-4(EQ)	1	\$2,000	\$0	\$0	05/26/2015	Case Terminated.
TNMR 2015-1(ROP)	1	\$7,500	\$7,500	\$3,750	05/26/2015	
TNMR 2015-2(ROP)	1	\$7,500	\$2,000	\$1,300	05/26/2015	Partially Terminated Violation(s): 1.
TNMR 2015-3(TS)	3	\$15,000	\$15,000	\$9,750	05/26/2015	
TNMR 2015-4(TS)	1	\$1,000	\$1,000	\$650	05/26/2015	
TNMR 2015-5(LI)	2	\$4,000	\$2,500	\$1,250	05/26/2015	Terminated Violation(s): 2.
TPW 2014-1(GC)	1	\$5,000	\$5,000	\$3,800	09/25/2015	
TPW 2014-2(HMT)	1	\$2,500	\$2,500	\$2,000	09/25/2015	
TRRA 2014-1(FCS)	1	\$5,000	\$5,000	\$4,000	04/11/2015	
TRRA 2014-2(SA)	1	\$5,000	\$5,000	\$5,000	04/11/2015	
TRRA 2014-3(SA)	2	\$10,000	\$10,000	\$7,250	04/11/2015	
TSR 2013-1(LIS)	1	\$1,000	\$1,000	\$650	02/12/2015	
TSU 2014-1(TS)	1	\$5,000	\$5,000	\$2,750	10/22/2014	
TXGN 2012-1(SA)	1	\$5,000	\$5,000	\$3,425	10/22/2014	
TXGN 2012-2(EQ)	1	\$2,500	\$2,500	\$1,375	10/22/2014	
TXGN 2014-1(ROP)	1	\$2,000	\$2,000	\$2,000	10/08/2014	
TXPF 2013-1(TS)	1	\$2,000	\$2,000	\$1,350	06/05/2015	
TXPF 2014-1(AR)	1	\$1,000	\$1,000	\$650	06/05/2015	
TXPF 2014-2(ROP)	3	\$19,000	\$19,000	\$12,350	06/05/2015	
TXPF 2014-3(ROR)	1	\$5,000	\$5,000	\$3,000	06/05/2015	
TXPF 2014-4(SA)	1	\$5,000	\$5,000	\$2,500	06/05/2015	
TXPF 2014-9(TS)	14	\$14,000	\$14,000	\$14,000	04/14/2015	
TXPF 2014-10(RW)	1	\$2,000	\$2,000	\$2,000	04/14/2015	
TXPF 2014-12(TS)	4	\$10,000	\$10,000	\$10,000	04/14/2015	
TXPF 2014-13(TS)	4	\$4,000	\$4,000	\$4,000	04/14/2015	

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TXPF 2014-14(LI)	1	\$2,500	\$2,500	\$2,500	06/11/2015	
TZPR 2014-1(ROP)	1	\$5,000	\$5,000	\$3,800	09/25/2015	
UP 2009-165(LI)	2	\$3,500	\$0	\$0	09/30/2015	Case Terminated.
UP 2010-212(RW)	1	\$3,000	\$3,000	\$2,477	09/30/2015	
UP 2011-175(AR)	1	\$2,500	\$0	\$0	09/30/2015	Case Terminated.
UP 2012-305(HS)	3	\$3,000	\$3,000	\$2,280	09/30/2015	
UP 2012-367(HSR)	2	\$2,000	\$2,000	\$1,800	09/30/2015	
UP 2012-457(LI)	1	\$2,500	\$2,500	\$1,950	09/30/2015	
UP 2013-475(FCS)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
UP 2013-479(LI)	2	\$5,000	\$5,000	\$3,700	09/30/2015	
UP 2013-599(ROP)	1	\$7,500	\$7,500	\$5,600	09/30/2015	
UP 2013-620(LI)	1	\$1,000	\$1,000	\$650	09/30/2015	
UP 2013-778(HS)	1	\$25,000	\$25,000	\$19,458	09/30/2015	
UP 2013-783(HS)	3	\$3,000	\$3,000	\$2,280	09/30/2015	
UP 2013-786(HS)	1	\$1,000	\$1,000	\$761	09/30/2015	
UP 2013-807(HS)	1	\$1,000	\$1,000	\$733	09/30/2015	
UP 2013-873(ROP)	1	\$7,500	\$7,500	\$5,600	09/30/2015	
UP 2013-879(SI)	1	\$1,000	\$1,000	\$808	09/30/2015	
UP 2013-884(SA)	1	\$5,000	\$5,000	\$3,751	09/30/2015	
UP 2013-1122(SI)	1	\$2,500	\$2,500	\$1,925	09/30/2015	
UP 2013-1136(HS)	1	\$1,000	\$1,000	\$761	09/30/2015	
UP 2013-1141(FCS)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
UP 2013-1146(FCS)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
UP 2013-1151(FCS)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
UP 2013-1156(ROP)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2013-1160(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2013-1168(TS)	5	\$12,500	\$12,500	\$9,142	09/30/2015	
UP 2013-1169(TS)	3	\$7,500	\$7,500	\$5,555	09/30/2015	
UP 2013-1174(FCS)	1	\$2,500	\$0	\$0	09/30/2015	Case Terminated.
UP 2013-1187(FCS)	1	\$5,000	\$5,000	\$3,892	09/30/2015	
UP 2013-1194(ROP)	1	\$9,500	\$9,500	\$7,439	09/30/2015	
UP 2013-1207(HS)	2	\$2,000	\$2,000	\$1,518	09/30/2015	
UP 2013-1210(ROR)	1	\$20,000	\$20,000	\$14,600	09/30/2015	
UP 2013-1214(TS)	1	\$5,000	\$5,000	\$3,892	09/30/2015	
UP 2013-1224(FCS)	1	\$5,000	\$5,000	\$3,550	09/30/2015	
UP 2013-1229(FCS)	1	\$5,000	\$0	\$0	09/30/2015	Case Terminated.
UP 2013-1234(HSR)	1	\$2,500	\$2,500	\$1,781	09/30/2015	
UP 2013-1235(HSR)	1	\$1,000	\$1,000	\$761	09/30/2015	
UP 2014-2(ROP)	1	\$2,000	\$2,000	\$1,500	09/30/2015	
UP 2014-6(ROP)	1	\$2,000	\$2,000	\$1,607	09/30/2015	
UP 2014-15(LI)	1	\$2,500	\$2,500	\$1,750	09/30/2015	
UP 2014-16(ROP)	1	\$7,500	\$7,500	\$5,600	09/30/2015	
UP 2014-21(TS)	2	\$10,000	\$10,000	\$7,595	09/30/2015	
UP 2014-22(TS)	1	\$2,500	\$2,500	\$1,781	09/30/2015	
UP 2014-24(LI)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
UP 2014-26(FCS)	1	\$5,000	\$5,000	\$3,550	09/30/2015	
UP 2014-28(RSP)	1	\$5,000	\$5,000	\$3,500	09/30/2015	
UP 2014-40(TS)	5	\$11,000	\$11,000	\$8,000	09/30/2015	
UP 2014-43(LI)	1	\$2,500	\$2,500	\$1,850	09/30/2015	

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UP 2014-49(HS)	1	\$1,000	\$1,000	\$761	09/30/2015	
UP 2014-50(GC)	1	\$5,000	\$5,000	\$4,000	09/30/2015	
UP 2014-52(LI)	1	\$1,000	\$1,000	\$710	09/30/2015	
UP 2014-53(LI)	2	\$5,000	\$5,000	\$3,600	09/30/2015	
UP 2014-55(SA)	2	\$10,000	\$10,000	\$7,548	09/30/2015	
UP 2014-57(RW)	1	\$3,000	\$3,000	\$2,477	09/30/2015	
UP 2014-58(RW)	1	\$2,500	\$2,500	\$1,899	09/30/2015	
UP 2014-60(LI)	1	\$2,500	\$2,500	\$1,950	09/30/2015	
UP 2014-61(LI)	1	\$1,500	\$1,500	\$1,048	09/30/2015	
UP 2014-63(FCS)	1	\$2,500	\$2,500	\$1,775	09/30/2015	
UP 2014-64(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2014-67(SA)	1	\$2,500	\$0	\$0	09/30/2015	Case Terminated.
UP 2014-69(ROP)	1	\$7,500	\$7,500	\$5,600	09/30/2015	
UP 2014-70(LI)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
UP 2014-72(ROP)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2014-73(ROP)	1	\$2,000	\$2,000	\$1,607	09/30/2015	
UP 2014-75(ROP)	1	\$2,000	\$2,000	\$1,466	09/30/2015	
UP 2014-76(ROP)	1	\$2,000	\$2,000	\$1,466	09/30/2015	
UP 2014-78(ROP)	1	\$2,000	\$2,000	\$1,466	09/30/2015	
UP 2014-79(ROP)	1	\$2,000	\$2,000	\$1,466	09/30/2015	
UP 2014-82(SA)	1	\$5,000	\$5,000	\$3,798	09/30/2015	
UP 2014-84(LI)	1	\$2,500	\$2,500	\$1,750	09/30/2015	
UP 2014-85(LI)	1	\$2,500	\$2,500	\$1,750	09/30/2015	
UP 2014-87(TS)	1	\$2,500	\$2,500	\$1,899	09/30/2015	
UP 2014-88(SA)	1	\$5,000	\$5,000	\$3,798	09/30/2015	
UP 2014-96(FCS)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
UP 2014-97(EP)	5	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2014-99(SI)	1	\$2,000	\$1,000	\$774	09/30/2015	Partially Terminated Violation(s): 1.
UP 2014-100(FCS)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
UP 2014-103(SI)	2	\$2,000	\$2,000	\$1,500	09/30/2015	
UP 2014-104(SI)	1	\$1,000	\$1,000	\$790	09/30/2015	
UP 2014-108(SI)	1	\$2,500	\$2,500	\$1,899	09/30/2015	
UP 2014-109(GC)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2014-110(HSR)	1	\$1,000	\$1,000	\$761	09/30/2015	
UP 2014-111(HSR)	1	\$1,000	\$1,000	\$761	09/30/2015	
UP 2014-112(FCS)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
UP 2014-113(FCS)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
UP 2014-115(SA)	1	\$5,000	\$5,000	\$3,798	09/30/2015	
UP 2014-116(TS)	1	\$2,500	\$2,500	\$1,781	09/30/2015	
UP 2014-117(TS)	1	\$5,000	\$5,000	\$3,798	09/30/2015	
UP 2014-118(GC)	1	\$5,000	\$5,000	\$5,000	09/30/2015	
UP 2014-119(LI)	1	\$1,000	\$1,000	\$667	09/30/2015	
UP 2014-120(LI)	1	\$1,000	\$1,000	\$667	09/30/2015	
UP 2014-121(LI)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
UP 2014-122(TS)	2	\$2,000	\$2,000	\$1,519	09/30/2015	
UP 2014-123(TS)	1	\$2,500	\$2,500	\$1,899	09/30/2015	
UP 2014-124(FCS)	1	\$2,500	\$2,500	\$1,777	09/30/2015	
UP 2014-125(FCS)	1	\$5,000	\$5,000	\$3,650	09/30/2015	
UP 2014-126(FCS)	1	\$2,500	\$2,500	\$1,775	09/30/2015	

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UP 2014-127(FCS)	1	\$2,500	\$2,500	\$1,775	09/30/2015	
UP 2014-128(ROP)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2014-129(ROP)	1	\$9,500	\$9,500	\$7,000	09/30/2015	
UP 2014-130(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-131(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-132(SA)	1	\$5,000	\$5,000	\$3,774	09/30/2015	
UP 2014-133(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-134(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-135(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-136(SA)	1	\$5,000	\$5,000	\$3,774	09/30/2015	
UP 2014-138(HMT)	1	\$10,000	\$10,000	\$9,339	09/30/2015	
UP 2014-139(ROP)	1	\$2,000	\$2,000	\$1,466	09/30/2015	
UP 2014-140(FCS)	1	\$5,000	\$5,000	\$3,650	09/30/2015	
UP 2014-141(GC)	1	\$5,000	\$5,000	\$4,456	09/30/2015	
UP 2014-142(GC)	1	\$5,000	\$5,000	\$4,000	09/30/2015	
UP 2014-143(RW)	1	\$1,000	\$1,000	\$800	09/30/2015	
UP 2014-144(AD)	2	\$10,000	\$10,000	\$8,000	09/30/2015	
UP 2014-145(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-146(SI)	1	\$5,000	\$2,500	\$2,021	09/30/2015	Partially Terminated Violation(s): 1.
UP 2014-147(GC)	1	\$5,000	\$5,000	\$4,000	09/30/2015	
UP 2014-148(ROP)	1	\$2,000	\$2,000	\$1,466	09/30/2015	
UP 2014-149(ROP)	1	\$2,000	\$2,000	\$1,607	09/30/2015	
UP 2014-150(ROP)	1	\$7,500	\$7,500	\$5,508	09/30/2015	
UP 2014-151(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-152(SA)	1	\$5,000	\$5,000	\$3,774	09/30/2015	
UP 2014-153(SA)	1	\$2,500	\$2,500	\$1,880	09/30/2015	
UP 2014-154(SI)	1	\$1,000	\$1,000	\$799	09/30/2015	
UP 2014-155(BW)	1	\$5,000	\$5,000	\$3,798	09/30/2015	
UP 2014-156(LI)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
UP 2014-157(LI)	2	\$5,000	\$2,500	\$1,850	09/30/2015	Terminated Violation(s): 2.
UP 2014-158(LI)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
UP 2014-159(LI)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
UP 2014-160(LI)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
UP 2014-161(LI)	1	\$2,500	\$0	\$0	09/30/2015	Case Terminated.
UP 2014-162(SA)	1	\$5,000	\$5,000	\$3,774	09/30/2015	
UP 2014-163(SA)	1	\$5,000	\$5,000	\$3,774	09/30/2015	
UP 2014-164(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-165(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-166(HMT)	1	\$7,000	\$7,000	\$5,600	09/30/2015	
UP 2014-167(LI)	1	\$2,500	\$2,500	\$1,750	09/30/2015	
UP 2014-168(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-169(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-170(SA)	1	\$5,000	\$5,000	\$3,774	09/30/2015	
UP 2014-171(SA)	1	\$5,000	\$5,000	\$3,774	09/30/2015	
UP 2014-172(SA)	1	\$5,000	\$5,000	\$3,774	09/30/2015	
UP 2014-173(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2014-174(SA)	1	\$5,000	\$5,000	\$3,774	09/30/2015	
UP 2014-175 (SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-176	1	\$2,500	\$2,500	\$1,875	09/30/2015	

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UP 2014-177(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2014-178(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-179(ROP)	1	\$9,500	\$9,500	\$7,000	09/30/2015	
UP 2014-180(FCS)	1	\$2,500	\$2,500	\$1,805	09/30/2015	
UP 2014-181(FCS)	1	\$5,000	\$5,000	\$3,600	09/30/2015	
UP 2014-182(SA)	1	\$5,000	\$5,000	\$3,774	09/30/2015	
UP 2014-183(SA)	1	\$5,000	\$5,000	\$3,774	09/30/2015	
UP 2014-184(SA)	1	\$5,000	\$5,000	\$3,774	09/30/2015	
UP 2014-185(SA)	1	\$5,000	\$5,000	\$3,774	09/30/2015	
UP 2014-186(SA)	1	\$5,000	\$5,000	\$3,774	09/30/2015	
UP 2014-187(LI)	1	\$2,500	\$2,500	\$1,750	09/30/2015	
UP 2014-188(TS)	1	\$2,500	\$2,500	\$1,899	09/30/2015	
UP 2014-189(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-190(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-191(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-192(FCS)	1	\$5,000	\$5,000	\$3,700	09/30/2015	
UP 2014-193(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-194(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-196(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-198(ROP)	1	\$2,000	\$2,000	\$1,607	09/30/2015	
UP 2014-199(TS)	1	\$5,000	\$5,000	\$3,657	09/30/2015	
UP 2014-200(ROP)	1	\$2,000	\$2,000	\$1,466	09/30/2015	
UP 2014-201(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2014-202(SA)	1	\$5,000	\$5,000	\$3,774	09/30/2015	
UP 2014-203(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-204(SA)	1	\$5,000	\$5,000	\$3,774	09/30/2015	
UP 2014-205(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-206(SI)	1	\$5,000	\$5,000	\$3,850	09/30/2015	
UP 2014-207(SA)	1	\$2,500	\$0	\$0	09/30/2015	Case Terminated.
UP 2014-208(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2014-209(HS)	1	\$1,000	\$1,000	\$743	09/30/2015	
UP 2014-210(RW)	3	\$9,000	\$9,000	\$6,674	09/30/2015	
UP 2014-212(AD)	1	\$5,000	\$5,000	\$3,328	09/30/2015	
UP 2014-213(HS)	2	\$2,000	\$2,000	\$1,518	09/30/2015	
UP 2014-214(ROP)	1	\$7,500	\$7,500	\$5,600	09/30/2015	
UP 2014-215(ROP)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2014-216(ROP)	1	\$9,500	\$9,500	\$7,000	09/30/2015	
UP 2014-217(ROP)	1	\$9,500	\$9,500	\$7,200	09/30/2015	
UP 2014-218(ROP)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2014-219(HMT)	1	\$4,000	\$4,000	\$3,120	09/30/2015	
UP 2014-221(TS)	1	\$5,000	\$5,000	\$3,657	09/30/2015	
UP 2014-222(TS)	1	\$5,000	\$5,000	\$3,657	09/30/2015	
UP 2014-223(TS)	1	\$5,000	\$5,000	\$3,798	09/30/2015	
UP 2014-224(TS)	1	\$1,000	\$1,000	\$808	09/30/2015	
UP 2014-225(LI)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
UP 2014-226(LI)	1	\$1,000	\$1,000	\$650	09/30/2015	
UP 2014-227(LI)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
UP 2014-228(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2015-229(SA)	1	\$5,000	\$5,000	\$3,774	09/30/2015	



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UP 2014-230(SA)	1	\$5,000	\$5,000	\$3,774	09/30/2015	
UP 2014-231(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-232(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-233(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-234(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-235(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-236(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-237(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-238(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-239(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-240(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-241(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-242(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-243(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-244(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-245(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-246(ROP)	1	\$7,500	\$7,500	\$5,600	09/30/2015	
UP 2014-247(ROP)	1	\$2,000	\$2,000	\$1,438	09/30/2015	
UP 2014-248(HMT)	1	\$5,000	\$5,000	\$3,950	09/30/2015	
UP 2014-249(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-250(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-251(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-252(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-253(SA)	1	\$5,000	\$5,000	\$3,774	09/30/2015	
UP 2014-254(SA)	1	\$5,000	\$5,000	\$3,774	09/30/2015	
UP 2014-255(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-257(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-258(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-259(SA)	1	\$5,000	\$5,000	\$3,798	09/30/2015	
UP 2014-260(FCS)	1	\$2,500	\$2,500	\$1,825	09/30/2015	
UP 2014-261(FCS)	1	\$5,000	\$5,000	\$3,650	09/30/2015	
UP 2014-262(ROP)	1	\$7,500	\$7,500	\$5,600	09/30/2015	
UP 2014-263(LI)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
UP 2014-264(LI)	1	\$2,500	\$2,500	\$1,750	09/30/2015	
UP 2014-265(LI)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
UP 2014-266(GC)	1	\$5,000	\$5,000	\$4,456	09/30/2015	
UP 2014-267(LI)	1	\$1,500	\$1,500	\$1,150	09/30/2015	
UP 2014-268(ROP)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2014-269(HMT)	3	\$21,000	\$21,000	\$16,590	09/30/2015	
UP 2014-270(SI)	1	\$25,000	\$15,000	\$11,280	09/30/2015	Partially Terminated Violation(s): 1.
UP 2014-271(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-272(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-273(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2014-274(ROP)	1	\$2,000	\$2,000	\$1,438	09/30/2015	
UP 2014-275(TS)	2	\$10,000	\$10,000	\$7,595	09/30/2015	
UP 2014-276(SI)	1	\$5,000	\$5,000	\$3,751	09/30/2015	
UP 2014-277(FCS)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
UP 2014-278(FCS)	1	\$2,500	\$2,500	\$1,775	09/30/2015	
UP 2014-279(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	

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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 2014-280(SA)	1	\$5,000	\$5,000	\$3,774	09/30/2015	
UP 2014-281(ROP)	1	\$7,500	\$7,500	\$5,500	09/30/2015	
UP 2014-282(ROP)	1	\$9,500	\$9,500	\$7,100	09/30/2015	
UP 2014-283(FCS)	1	\$2,500	\$2,500	\$1,825	09/30/2015	
UP 2014-284(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-285(SA)	1	\$2,500	\$2,500	\$1,852	09/30/2015	
UP 2014-286(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-287(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-288(SA)	1	\$5,000	\$5,000	\$3,774	09/30/2015	
UP 2014-289(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-290(HS)	1	\$1,000	\$1,000	\$752	09/30/2015	
UP 2014-291(HS)	1	\$1,000	\$1,000	\$761	09/30/2015	
UP 2014-292(SA)	1	\$5,000	\$5,000	\$3,798	09/30/2015	
UP 2014-293(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-294(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-295(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-296(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-298(LI)	1	\$2,500	\$2,500	\$2,050	09/30/2015	
UP 2014-299(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-300(FCS)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
UP 2014-301(PEQ)	1	\$2,500	\$2,500	\$1,946	09/30/2015	
UP 2014-302(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
UP 2014-303(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-304(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-305(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-306(LI)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
UP 2014-307(HMT)	1	\$4,000	\$4,000	\$3,120	09/30/2015	
UP 2014-308(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-309(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-310(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-311(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2014-312(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-313(LI)	3	\$11,000	\$11,000	\$7,850	09/30/2015	
UP 2014-314(HSR)	1	\$1,000	\$1,000	\$761	09/30/2015	
UP 2014-315(HSR)	1	\$1,000	\$1,000	\$761	09/30/2015	
UP 2014-316(SA)	1	\$5,000	\$5,000	\$5,000	09/30/2015	
UP 2014-317(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
UP 2014-318(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2014-319(FCS)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
UP 2014-320(FCS)	1	\$2,500	\$0	\$0	09/30/2015	Case Terminated.
UP 2014-321(TS)	1	\$5,000	\$5,000	\$3,892	09/30/2015	
UP 2014-322(FCS)	1	\$5,000	\$5,000	\$3,550	09/30/2015	
UP 2014-323(FCS)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
UP 2014-324(FCS)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
UP 2014-325(ROP)	1	\$2,000	\$2,000	\$1,513	09/30/2015	
UP 2014-326(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-327(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2014-328(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2014-329(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	

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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 2014-330(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-331(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-332(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-333(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-334(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2014-335(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-336(SA)	1	\$2,500	\$2,500	\$1,899	09/30/2015	
UP 2014-337(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2014-338(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2014-339(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-340(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-341(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-342(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-343(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2014-344(LI)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
UP 2014-345(TS)	1	\$5,000	\$5,000	\$3,704	09/30/2015	
UP 2014-346(TS)	1	\$1,000	\$1,000	\$799	09/30/2015	
UP 2014-347(TS)	1	\$2,500	\$2,500	\$1,781	09/30/2015	
UP 2014-348(LI)	1	\$2,500	\$2,500	\$1,750	09/30/2015	
UP 2014-349(LI)	1	\$2,500	\$2,500	\$1,750	09/30/2015	
UP 2014-350(TS)	1	\$2,500	\$2,500	\$1,781	09/30/2015	
UP 2014-351(TS)	1	\$5,000	\$5,000	\$3,798	09/30/2015	
UP 2014-352(TS)	1	\$5,000	\$5,000	\$3,704	09/30/2015	
UP 2014-353(TS)	1	\$5,000	\$5,000	\$3,892	09/30/2015	
UP 2014-354(TS)	1	\$2,000	\$2,000	\$1,424	09/30/2015	
UP 2014-355(TS)	1	\$2,500	\$2,500	\$1,781	09/30/2015	
UP 2014-356(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-357(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-358(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-359(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-360(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2014-361(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-362(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-363(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-364(SA)	1	\$5,000	\$5,000	\$3,751	09/30/2015	
UP 2014-365(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
UP 2014-366(FCS)	1	\$2,500	\$2,500	\$1,825	09/30/2015	
UP 2014-367(FCS)	1	\$5,000	\$5,000	\$3,600	09/30/2015	
UP 2014-368(FCS)	1	\$5,000	\$5,000	\$3,600	09/30/2015	
UP 2014-369(FCS)	1	\$6,000	\$0	\$0	09/30/2015	Case Terminated.
UP 2014-370(FCS)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
UP 2014-371(FCS)	1	\$5,000	\$5,000	\$3,650	09/30/2015	
UP 2014-372(FCS)	1	\$5,000	\$0	\$0	09/30/2015	Case Terminated.
UP 2014-373(ROP)	1	\$7,500	\$7,500	\$5,500	09/30/2015	
UP 2014-374(ROP)	1	\$7,500	\$7,500	\$5,500	09/30/2015	
UP 2014-375(ROP)	1	\$9,500	\$9,500	\$6,881	09/30/2015	
UP 2014-376(ROP)	1	\$7,500	\$7,500	\$5,500	09/30/2015	
UP 2014-377(ROP)	1	\$7,500	\$7,500	\$5,625	09/30/2015	
UP 2014-378(SI)	1	\$1,000	\$1,000	\$808	09/30/2015	

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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 2014-379(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-380(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-381(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-382(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-383(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-384(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-385(FCS)	1	\$2,500	\$2,500	\$1,775	09/30/2015	
UP 2014-386(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-387(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2014-388(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2015	
UP 2014-389(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2014-390(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2014-391(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-392(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2014-393(FCS)	1	\$5,000	\$5,000	\$3,550	09/30/2015	
UP 2014-394(GC)	1	\$1,000	\$1,000	\$677	09/30/2015	
UP 2014-395(ROP)	1	\$5,000	\$5,000	\$5,000	09/30/2015	
UP 2014-396(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2014-397(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2014-398(ROP)	1	\$7,500	\$7,500	\$5,625	09/30/2015	
UP 2014-399(ROP)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2014-400(ROP)	1	\$7,500	\$7,500	\$5,625	09/30/2015	
UP 2014-401(ROP)	1	\$7,500	\$7,500	\$5,625	09/30/2015	
UP 2014-402(ROP)	1	\$7,500	\$7,500	\$5,625	09/30/2015	
UP 2014-403(FCS)	1	\$2,500	\$2,500	\$1,825	09/30/2015	
UP 2014-404(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-405(ROP)	1	\$5,000	\$5,000	\$4,000	09/30/2015	
UP 2014-406(HMT)	1	\$2,000	\$2,000	\$1,560	09/30/2015	
UP 2014-407(HMT)	2	\$12,000	\$12,000	\$9,480	09/30/2015	
UP 2014-408(TS)	1	\$2,500	\$2,500	\$1,899	09/30/2015	
UP 2014-409(TS)	2	\$2,000	\$2,000	\$1,481	09/30/2015	
UP 2014-410(TS)	1	\$2,500	\$2,500	\$1,899	09/30/2015	
UP 2014-411(TS)	2	\$7,500	\$7,500	\$5,696	09/30/2015	
UP 2014-412(TS)	1	\$5,000	\$5,000	\$3,798	09/30/2015	
UP 2014-413(TS)	4	\$12,500	\$12,500	\$9,494	09/30/2015	
UP 2014-414(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2014-415(LI)	6	\$15,000	\$15,000	\$13,019	09/30/2015	
UP 2014-416(LI)	2	\$5,000	\$5,000	\$3,700	09/30/2015	
UP 2014-417(ROP)	1	\$2,000	\$2,000	\$1,500	09/30/2015	
UP 2014-418(TS)	1	\$5,000	\$5,000	\$3,798	09/30/2015	
UP 2014-419(TS)	1	\$2,500	\$2,500	\$1,899	09/30/2015	
UP 2014-420(TS)	2	\$5,000	\$5,000	\$3,798	09/30/2015	
UP 2014-421(HMT)	1	\$2,000	\$2,000	\$1,520	09/30/2015	
UP 2014-422(HMT)	1	\$4,000	\$4,000	\$3,055	09/30/2015	
UP 2014-423(FCS)	1	\$2,500	\$2,500	\$1,775	09/30/2015	
UP 2014-424(HMT)	1	\$4,000	\$4,000	\$3,240	09/30/2015	
UP 2014-425(HS)	2	\$2,000	\$2,000	\$1,556	09/30/2015	
UP 2014-426(HS)	1	\$1,000	\$1,000	\$761	09/30/2015	
UP 2014-427(HS)	2	\$2,000	\$2,000	\$1,537	09/30/2015	

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UP 2014-428(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2014-429(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-430(SA)	1	\$5,000	\$5,000	\$5,000	09/30/2015	
UP 2014-431(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2014-432(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-433(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-434(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2014-435(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2014-436(FCS)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
UP 2014-437(TS)	1	\$2,500	\$2,500	\$1,899	09/30/2015	
UP 2014-438(TS)	1	\$1,000	\$1,000	\$733	09/30/2015	
UP 2014-439(TS)	1	\$5,000	\$5,000	\$3,798	09/30/2015	
UP 2014-440(LI)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
UP 2014-441(LI)	1	\$1,000	\$1,000	\$650	09/30/2015	
UP 2014-442(FCS)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
UP 2014-443(FCS)	1	\$2,500	\$2,500	\$1,775	09/30/2015	
UP 2014-444(TS)	1	\$2,500	\$2,500	\$1,946	09/30/2015	
UP 2014-445(TS)	2	\$10,000	\$10,000	\$7,595	09/30/2015	
UP 2014-446(TS)	1	\$2,500	\$2,500	\$1,781	09/30/2015	
UP 2014-448(ROP)	1	\$7,500	\$7,500	\$5,625	09/30/2015	
UP 2014-449(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
UP 2014-450(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
UP 2014-451(ROP)	1	\$7,500	\$7,500	\$6,000	09/30/2015	
UP 2014-452(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-453(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-454(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-455(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-456(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-457(LI)	1	\$1,000	\$1,000	\$650	09/30/2015	
UP 2014-458(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-459(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2014-460(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-461(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2014-462(FCS)	1	\$5,000	\$5,000	\$3,650	09/30/2015	
UP 2014-463(ROP)	1	\$7,500	\$7,500	\$5,625	09/30/2015	
UP 2014-464(ROP)	1	\$9,500	\$9,500	\$7,315	09/30/2015	
UP 2014-465(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2014-466(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2014-467(SA)	1	\$5,000	\$5,000	\$5,000	09/30/2015	
UP 2014-468(GC)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2014-469(GC)	1	\$5,000	\$5,000	\$4,503	09/30/2015	
UP 2014-470(ROP)	1	\$7,500	\$7,500	\$5,625	09/30/2015	
UP 2014-471(ROP)	1	\$7,500	\$7,500	\$5,625	09/30/2015	
UP 2014-472(ROP)	1	\$2,000	\$2,000	\$1,500	09/30/2015	
UP 2014-473(ROP)	1	\$7,500	\$7,500	\$5,625	09/30/2015	
UP 2014-474(ROP)	1	\$7,500	\$7,500	\$5,625	09/30/2015	
UP 2014-475(ROP)	1	\$5,000	\$5,000	\$4,000	09/30/2015	
UP 2014-476(HS)	1	\$1,000	\$1,000	\$761	09/30/2015	
UP 2014-477(HS)	1	\$1,000	\$1,000	\$761	09/30/2015	

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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 2014-478(FCS)	1	\$2,500	\$2,500	\$1,775	09/30/2015	
UP 2014-479(FCS)	1	\$5,000	\$5,000	\$3,600	09/30/2015	
UP 2014-480(FCS)	1	\$2,500	\$2,500	\$1,775	09/30/2015	
UP 2014-481(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2014-482(SA)	1	\$5,000	\$5,000	\$3,798	09/30/2015	
UP 2014-483(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-484(SA)	1	\$5,000	\$5,000	\$3,751	09/30/2015	
UP 2014-485(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-486(SA)	1	\$2,500	\$2,500	\$1,925	09/30/2015	
UP 2014-487(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2015	
UP 2014-488(HSR)	1	\$1,000	\$1,000	\$761	09/30/2015	
UP 2014-489(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-490(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2015	
UP 2014-491(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2015	
UP 2014-492(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2015	
UP 2014-493(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2015	
UP 2014-494(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2015	
UP 2014-495(SI)	1	\$2,500	\$2,500	\$1,950	09/30/2015	
UP 2014-497(ROP)	1	\$7,500	\$7,500	\$5,625	09/30/2015	
UP 2014-498(ROP)	1	\$7,500	\$7,500	\$4,875	09/30/2015	
UP 2014-499(ROP)	1	\$7,500	\$2,000	\$1,504	09/30/2015	Partially Terminated Violation(s): 1.
UP 2014-500(ROP)	4	\$8,000	\$8,000	\$6,000	09/30/2015	
UP 2014-501(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2015	
UP 2014-502(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2014-503(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-504(SA)	1	\$1,000	\$1,000	\$761	09/30/2015	
UP 2014-505(SA)	1	\$5,000	\$5,000	\$3,774	09/30/2015	
UP 2014-506(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-507(FCS)	1	\$2,500	\$2,500	\$1,825	09/30/2015	
UP 2014-508(FCS)	1	\$2,500	\$2,500	\$1,825	09/30/2015	
UP 2014-509(FCS)	1	\$2,500	\$2,500	\$1,825	09/30/2015	
UP 2014-510(FCS)	1	\$2,500	\$0	\$0	09/30/2015	Case Terminated.
UP 2014-511(SA)	1	\$2,500	\$2,500	\$1,925	09/30/2015	
UP 2014-512(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2015	
UP 2014-513(SA)	1	\$5,000	\$5,000	\$3,751	09/30/2015	
UP 2014-514(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-515(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-516(SA)	1	\$5,000	\$5,000	\$3,774	09/30/2015	
UP 2014-517(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-518(SA)	1	\$2,500	\$2,500	\$2,134	09/30/2015	
UP 2014-519(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-520(FCS)	1	\$5,000	\$5,000	\$3,550	09/30/2015	
UP 2014-523(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-524(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-525(TS)	1	\$2,500	\$2,500	\$1,781	09/30/2015	
UP 2014-526(TS)	1	\$2,500	\$2,500	\$1,828	09/30/2015	
UP 2014-527(TS)	2	\$5,000	\$5,000	\$3,563	09/30/2015	
UP 2014-528(TS)	1	\$5,000	\$5,000	\$3,798	09/30/2015	
UP 2014-529(TS)	3	\$10,000	\$10,000	\$7,595	09/30/2015	

Federal Railroad Administration  
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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 2014-530(TS)	6	\$25,000	\$25,000	\$18,753	09/30/2015	
UP 2014-531(TS)	2	\$10,000	\$10,000	\$7,500	09/30/2015	
UP 2014-532(LI)	1	\$1,000	\$1,000	\$650	09/30/2015	
UP 2014-533(LI)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
UP 2014-534(LI)	1	\$2,500	\$2,500	\$1,750	09/30/2015	
UP 2014-535(LI)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
UP 2014-536(LI)	1	\$1,500	\$1,500	\$1,150	09/30/2015	
UP 2014-537(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-538(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-539(GS)	1	\$2,500	\$2,500	\$1,946	09/30/2015	
UP 2014-540(HMT)	1	\$2,000	\$2,000	\$1,560	09/30/2015	
UP 2014-541(FCS)	1	\$5,000	\$5,000	\$3,650	09/30/2015	
UP 2014-542(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-543(TS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-544(SA)	1	\$5,000	\$5,000	\$4,115	09/30/2015	
UP 2014-545(FCS)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
UP 2014-546(HS)	2	\$2,000	\$2,000	\$1,518	09/30/2015	
UP 2014-547(HMT)	2	\$6,000	\$6,000	\$4,680	09/30/2015	
UP 2014-548(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-549(TS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-550(TS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-551(EP)	10	\$10,000	\$10,000	\$7,500	09/30/2015	
UP 2014-552(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-553(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-554(TS)	3	\$6,000	\$6,000	\$4,500	09/30/2015	
UP 2014-555(TS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-556(TS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-557(TS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-558(TS)	2	\$7,500	\$7,500	\$5,734	09/30/2015	
UP 2014-559(TS)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2014-560(TS)	3	\$10,000	\$10,000	\$7,500	09/30/2015	
UP 2014-561(ROP)	1	\$2,000	\$2,000	\$1,513	09/30/2015	
UP 2014-562(ROP)	1	\$7,500	\$7,500	\$5,625	09/30/2015	
UP 2014-563(SA)	1	\$5,000	\$5,000	\$3,774	09/30/2015	
UP 2014-564(FCS)	1	\$5,000	\$5,000	\$3,650	09/30/2015	
UP 2014-565(FCS)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
UP 2014-566(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-567(SA)	1	\$2,500	\$2,500	\$1,899	09/30/2015	
UP 2014-568(HMT)	4	\$20,000	\$0	\$0	09/30/2015	Case Terminated
UP 2014-569(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-570(SA)	1	\$1,000	\$1,000	\$761	09/30/2015	
UP 2014-571(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-572(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-573(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-574(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-575(SA)	1	\$2,500	\$2,500	\$2,034	09/30/2015	
UP 2014-576(FCS)	1	\$5,000	\$5,000	\$3,550	09/30/2015	
UP 2014-577(FCS)	1	\$2,500	\$2,500	\$1,775	09/30/2015	
UP 2014-578(FCS)	1	\$2,500	\$2,500	\$1,775	09/30/2015	

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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 2014-579(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2014-580(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2014-581(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2014-582(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2014-583(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2014-584(FCS)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2014-585(FCS)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2014-586(FCS)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2014-587(LI)	1	\$2,500	\$2,500	\$2,204	09/30/2015	
UP 2014-588(GC)	1	\$2,500	\$2,500	\$1,617	09/30/2015	
UP 2014-589(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-590(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-591(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2015	
UP 2014-592(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2014-593(LI)	3	\$10,000	\$10,000	\$7,400	09/30/2015	
UP 2014-594(LI)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
UP 2014-595(GC)	3	\$3,000	\$3,000	\$2,012	09/30/2015	
UP 2014-596(HSR)	1	\$1,000	\$1,000	\$761	09/30/2015	
UP 2014-597(HSR)	1	\$1,000	\$1,000	\$761	09/30/2015	
UP 2014-598(HSR)	1	\$1,000	\$1,000	\$761	09/30/2015	
UP 2014-599(HSR)	1	\$1,000	\$1,000	\$761	09/30/2015	
UP 2014-600(HSR)	1	\$1,000	\$1,000	\$761	09/30/2015	
UP 2014-601(HSR)	1	\$1,000	\$1,000	\$761	09/30/2015	
UP 2014-602(HSR)	1	\$1,000	\$0	\$0	09/30/2015	Case Terminated.
UP 2014-603(HSR)	1	\$1,000	\$1,000	\$761	09/30/2015	
UP 2014-604(HSR)	1	\$1,000	\$1,000	\$761	09/30/2015	
UP 2014-605(HSR)	1	\$1,000	\$1,000	\$761	09/30/2015	
UP 2014-606(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-607(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2014-608(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-609(SA)	1	\$5,000	\$5,000	\$3,751	09/30/2015	
UP 2014-610(SA)	1	\$5,000	\$5,000	\$3,751	09/30/2015	
UP 2014-611(LI)	1	\$5,000	\$5,000	\$3,600	09/30/2015	
UP 2014-612(TS)	4	\$12,500	\$12,500	\$9,400	09/30/2015	
UP 2014-613(TS)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2014-614(TS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-615(TS)	4	\$8,500	\$8,500	\$6,400	09/30/2015	
UP 2014-616(ROP)	1	\$7,500	\$7,500	\$5,625	09/30/2015	
UP 2014-617(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-618(SA)	1	\$5,000	\$5,000	\$3,850	09/30/2015	
UP 2014-619(SA)	1	\$5,000	\$5,000	\$3,751	09/30/2015	
UP 2014-620(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-621(SA)	1	\$5,000	\$5,000	\$3,751	09/30/2015	
UP 2014-622(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-623(FCS)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2014-624(FCS)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2014-625(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2014-626(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2014-627(FCS)	1	\$5,000	\$5,000	\$3,800	09/30/2015	



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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 2014-628(FCS)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2014-629(FCS)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2014-630(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-631(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-632(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-633(HS)	1	\$1,000	\$1,000	\$667	09/30/2015	
UP 2014-634(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-635(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2014-636(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2014-637(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2014-638(FCS)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2014-639(ROP)	1	\$5,000	\$5,000	\$5,000	09/30/2015	
UP 2014-640(ROP)	1	\$7,500	\$7,500	\$6,375	09/30/2015	
UP 2014-641(LI)	1	\$2,500	\$2,500	\$1,750	09/30/2015	
UP 2014-642(LI)	1	\$2,500	\$2,500	\$1,750	09/30/2015	
UP 2014-643(LI)	1	\$2,500	\$2,500	\$1,800	09/30/2015	
UP 2014-644(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-645(SA)	1	\$2,500	\$2,500	\$1,664	09/30/2015	
UP 2014-646(SA)	1	\$5,000	\$5,000	\$3,751	09/30/2015	
UP 2014-647(SA)	1	\$5,000	\$5,000	\$3,751	09/30/2015	
UP 2014-648(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2014-649(LI)	2	\$5,000	\$5,000	\$4,409	09/30/2015	
UP 2014-650(LI)	10	\$25,000	\$25,000	\$18,170	09/30/2015	
UP 2014-651(FCS)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2014-652(FCS)	1	\$2,500	\$2,500	\$1,828	09/30/2015	
UP 2014-653(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-654(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-655(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-656(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-657(SA)	1	\$5,000	\$5,000	\$3,751	09/30/2015	
UP 2014-658(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-659(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-660(SA)	1	\$5,000	\$5,000	\$3,751	09/30/2015	
UP 2014-661(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2014-662(FCS)	1	\$2,500	\$2,500	\$1,828	09/30/2015	
UP 2014-663(SI)	1	\$5,000	\$2,500	\$1,880	09/30/2015	Partially Terminated Violation(s): 1.
UP 2014-664(SA)	1	\$5,000	\$5,000	\$3,751	09/30/2015	
UP 2014-665(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-666(HS)	1	\$1,000	\$1,000	\$761	09/30/2015	
UP 2014-667(HS)	1	\$1,000	\$1,000	\$761	09/30/2015	
UP 2014-668(HS)	1	\$1,000	\$1,000	\$761	09/30/2015	
UP 2014-669(HS)	1	\$1,000	\$1,000	\$761	09/30/2015	
UP 2014-670(SA)	1	\$5,000	\$5,000	\$3,845	09/30/2015	
UP 2014-671(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-672(HS)	1	\$1,000	\$1,000	\$761	09/30/2015	
UP 2014-673(HS)	1	\$1,000	\$1,000	\$761	09/30/2015	
UP 2014-674(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-675(SA)	1	\$2,500	\$2,500	\$2,134	09/30/2015	
UP 2014-676(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	

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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 2014-677(HMT)	1	\$4,000	\$4,000	\$3,040	09/30/2015	
UP 2014-678(HMT)	1	\$4,000	\$4,000	\$3,040	09/30/2015	
UP 2014-679(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-680(SA)	1	\$5,000	\$5,000	\$3,774	09/30/2015	
UP 2014-681(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-682(LI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-683(LI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-684(RW)	1	\$1,500	\$1,500	\$1,166	09/30/2015	
UP 2014-685(LI)	1	\$1,000	\$1,000	\$770	09/30/2015	
UP 2014-686(TS)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2014-687(TS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-688(TS)	1	\$2,500	\$2,500	\$2,500	09/30/2015	
UP 2014-689(TS)	1	\$5,000	\$5,000	\$3,774	09/30/2015	
UP 2014-690(BW)	1	\$2,000	\$2,000	\$1,518	09/30/2015	
UP 2014-691(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2014-692(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2014-693(SA)	1	\$5,000	\$5,000	\$3,798	09/30/2015	
UP 2014-694(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-695(SA)	1	\$5,000	\$5,000	\$3,600	09/30/2015	
UP 2014-696(SA)	1	\$5,000	\$5,000	\$3,600	09/30/2015	
UP 2014-697(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2015	
UP 2014-698(SA)	1	\$5,000	\$5,000	\$5,000	09/30/2015	
UP 2014-699(SA)	1	\$5,000	\$5,000	\$3,600	09/30/2015	
UP 2014-700(SA)	1	\$5,000	\$5,000	\$3,600	09/30/2015	
UP 2014-701(SA)	1	\$2,500	\$2,500	\$1,654	09/30/2015	
UP 2014-702(ROP)	1	\$5,000	\$5,000	\$3,950	09/30/2015	
UP 2014-703(SI)	2	\$5,000	\$2,500	\$1,880	09/30/2015	Partially Terminated Violation(s): 1.
UP 2014-704(SI)	10	\$25,000	\$2,500	\$1,880	09/30/2015	Partially Terminated Violation(s): 1.
UP 2014-705(SI)	10	\$25,000	\$25,000	\$18,750	09/30/2015	
UP 2014-706(SI)	1	\$2,500	\$2,500	\$1,825	09/30/2015	
UP 2014-707(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-709(TS)	1	\$2,500	\$2,500	\$1,880	09/30/2015	
UP 2014-710(TS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-711(TS)	1	\$1,000	\$1,000	\$752	09/30/2015	
UP 2014-712(SA)	1	\$5,000	\$5,000	\$3,600	09/30/2015	
UP 2014-713(SA)	1	\$5,000	\$5,000	\$3,600	09/30/2015	
UP 2014-714(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2015	
UP 2014-715(SI)	1	\$5,000	\$5,000	\$4,440	09/30/2015	
UP 2014-716(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2015	
UP 2014-717(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2015	
UP 2014-718(SA)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
UP 2014-719(HS)	1	\$1,000	\$1,000	\$761	09/30/2015	
UP 2014-720(HS)	1	\$1,000	\$1,000	\$761	09/30/2015	
UP 2014-721(CC)	1	\$4,000	\$4,000	\$3,041	09/30/2015	
UP 2014-722(HS)	1	\$1,000	\$1,000	\$761	09/30/2015	
UP 2014-723(FCS)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2014-724(ROP)	1	\$7,500	\$2,000	\$1,475	09/30/2015	Partially Terminated Violation(s): 1.

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<u>FRA No.</u>	<u>No. of Violations</u>	<u>POCA</u>	<u>PRCA</u>	<u>Settlement Amount</u>	<u>Settlement Date</u>	<u>Comments</u>
UP 2014-725(ROP)	2	\$4,000	\$4,000	\$3,000	09/30/2015	
UP 2014-726(ROP)	2	\$10,000	\$10,000	\$7,500	09/30/2015	
UP 2014-727(ROP)	1	\$7,500	\$7,500	\$5,625	09/30/2015	
UP 2014-728(TS)	1	\$2,500	\$2,500	\$1,969	09/30/2015	
UP 2014-729(HSR)	1	\$1,000	\$1,000	\$761	09/30/2015	
UP 2014-730(HSR)	1	\$1,000	\$1,000	\$761	09/30/2015	
UP 2014-731(HSR)	1	\$1,000	\$1,000	\$761	09/30/2015	
UP 2014-732(HSR)	1	\$1,000	\$1,000	\$761	09/30/2015	
UP 2014-733(ROP)	1	\$2,000	\$2,000	\$1,513	09/30/2015	
UP 2014-734(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2014-735(FCS)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2014-736(FCS)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2014-737(SA)	1	\$2,500	\$2,500	\$1,734	09/30/2015	
UP 2014-738(SA)	1	\$2,500	\$2,500	\$1,687	09/30/2015	
UP 2014-739(HMT)	1	\$6,000	\$6,000	\$4,560	09/30/2015	
UP 2014-740(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-741(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-742(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-743(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-744(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-745(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-746(SI)	11	\$27,500	\$27,500	\$20,625	09/30/2015	
UP 2014-747(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-748(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-749(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-750(FCS)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2014-751(SA)	1	\$2,500	\$2,500	\$1,734	09/30/2015	
UP 2014-752(SA)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
UP 2014-753(SA)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
UP 2014-754(SA)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
UP 2014-755(SA)	1	\$5,000	\$5,000	\$3,600	09/30/2015	
UP 2014-756(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2015	
UP 2014-757(SA)	1	\$2,500	\$2,500	\$1,734	09/30/2015	
UP 2014-758(SA)	1	\$5,000	\$5,000	\$3,600	09/30/2015	
UP 2014-759(SA)	1	\$2,500	\$2,500	\$1,654	09/30/2015	
UP 2014-760(SA)	1	\$2,500	\$2,500	\$1,654	09/30/2015	
UP 2014-761(SA)	1	\$2,500	\$2,500	\$1,654	09/30/2015	
UP 2014-762(SA)	1	\$5,000	\$5,000	\$3,600	09/30/2015	
UP 2014-763(SA)	1	\$2,500	\$2,500	\$2,000	09/30/2015	
UP 2014-764(SA)	1	\$2,500	\$2,500	\$1,734	09/30/2015	
UP 2014-765(SA)	1	\$2,500	\$2,500	\$1,734	09/30/2015	
UP 2014-766(SA)	1	\$5,000	\$5,000	\$3,600	09/30/2015	
UP 2014-767(SA)	1	\$5,000	\$5,000	\$3,600	09/30/2015	
UP 2014-768(SA)	1	\$5,000	\$5,000	\$3,600	09/30/2015	
UP 2014-769(SA)	1	\$2,500	\$2,500	\$1,734	09/30/2015	
UP 2014-770(SA)	1	\$2,500	\$2,500	\$1,654	09/30/2015	
UP 2014-771(FCS)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2014-772(TS)	1	\$5,000	\$5,000	\$3,745	09/30/2015	
UP 2014-773(TS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	

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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 2014-774(TS)	2	\$5,000	\$5,000	\$3,750		
UP 2014-775(TS)	2	\$5,000	\$5,000	\$3,760		
UP 2014-776(TS)	1	\$5,000	\$5,000	\$3,850		
UP 2014-777(LI)	1	\$2,500	\$2,500	\$1,925	09/30/2015	
UP 2014-778(GC)	1	\$5,000	\$5,000	\$4,000	09/30/2015	
UP 2014-779(SA)	1	\$2,500	\$2,500	\$1,654	09/30/2015	
UP 2014-780(SA)	1	\$5,000	\$5,000	\$3,600	09/30/2015	
UP 2014-781(SA)	1	\$2,500	\$2,500	\$1,654	09/30/2015	
UP 2014-782(SA)	1	\$5,000	\$5,000	\$3,600	09/30/2015	
UP 2014-783(SI)	5	\$12,500	\$12,500	\$9,375	09/30/2015	
UP 2014-784(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-785(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-786(LI)	1	\$1,000	\$1,000	\$752	09/30/2015	
UP 2014-787(LI)	1	\$1,500	\$1,500	\$1,125	09/30/2015	
UP 2014-788(LI)	36	\$90,000	\$90,000	\$69,300	09/30/2015	
UP 2014-789(LI)	1	\$2,500	\$2,500	\$1,828	09/30/2015	
UP 2014-790(HSR)	1	\$1,000	\$1,000	\$761	09/30/2015	
UP 2014-791(ROP)	1	\$7,500	\$7,500	\$5,650	09/30/2015	
UP 2014-792(ROP)	1	\$7,500	\$7,500	\$5,649	09/30/2015	
UP 2014-793(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
UP 2014-794(SA)	1	\$2,500	\$2,500	\$1,852	09/30/2015	
UP 2014-795(SA)	1	\$5,000	\$5,000	\$3,610	09/30/2015	
UP 2014-796(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2014-797(SA)	1	\$2,500	\$2,500	\$1,781	09/30/2015	
UP 2014-798(SA)	1	\$5,000	\$5,000	\$3,600	09/30/2015	
UP 2014-799(SA)	1	\$5,000	\$5,000	\$3,600	09/30/2015	
UP 2014-800(SA)	1	\$2,500	\$2,500	\$1,734	09/30/2015	
UP 2014-802(LI)	2	\$3,500	\$3,500	\$2,637	09/30/2015	
UP 2014-803(LI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-804(TS)	1	\$1,000	\$1,000	\$750	09/30/2015	
UP 2014-805(TS)	4	\$4,000	\$4,000	\$3,000	09/30/2015	
UP 2014-806(LI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-807(TS)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2014-808(TS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-809(HMT)	2	\$8,000	\$8,000	\$6,080	09/30/2015	
UP 2014-810(HMT)	1	\$2,000	\$2,000	\$1,520	09/30/2015	
UP 2014-811(SA)	1	\$5,000	\$5,000	\$3,600	09/30/2015	
UP 2014-812(SA)	1	\$2,500	\$2,500	\$1,781	09/30/2015	
UP 2014-813(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2015	
UP 2014-814(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
UP 2014-815(SA)	1	\$2,500	\$2,500	\$1,734	09/30/2015	
UP 2014-816(SA)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
UP 2014-817(RSP)	1	\$9,500	\$9,500	\$7,229	09/30/2015	
UP 2014-818(TS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-819(TS)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2014-820(TS)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2014-821(TS)	2	\$10,000	\$10,000	\$7,500	09/30/2015	
UP 2014-822(LI)	3	\$5,500	\$5,500	\$4,125	09/30/2015	
UP 2014-823(LI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	

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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 2014-824(LI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-825(LI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-826(LI)	2	\$5,000	\$5,000	\$3,657	09/30/2015	
UP 2014-827(SA)	1	\$2,500	\$2,500	\$1,654	09/30/2015	
UP 2014-828(SA)	1	\$5,000	\$5,000	\$3,600	09/30/2015	
UP 2014-829(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2014-830(FCS)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2014-831(FCS)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2014-832(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-833(ROP)	1	\$9,500	\$9,500	\$9,500	09/30/2015	
UP 2014-834(RSP)	1	\$9,500	\$9,500	\$7,229	09/30/2015	
UP 2014-835(ROP)	1	\$9,500	\$9,500	\$7,158	09/30/2015	
UP 2014-836(ROP)	1	\$5,000	\$5,000	\$3,774	09/30/2015	
UP 2014-837(ROP)	1	\$5,000	\$5,000	\$3,774	09/30/2015	
UP 2014-838(ROP)	1	\$9,500	\$9,500	\$9,500	09/30/2015	
UP 2014-839(ROP)	1	\$7,500	\$7,500	\$5,790	09/30/2015	
UP 2014-840(ROP)	2	\$4,000	\$4,000	\$3,000	09/30/2015	
UP 2014-841(ROP)	4	\$8,000	\$8,000	\$6,163	09/30/2015	
UP 2014-842(ROP)	1	\$2,000	\$2,000	\$1,513	09/30/2015	
UP 2014-843(CC)	1	\$4,000	\$4,000	\$3,041	09/30/2015	
UP 2014-844(SA)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
UP 2014-845(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2015	
UP 2014-846(TS)	5	\$5,000	\$0	\$0	09/30/2015	Case Terminated.
UP 2014-848(TS)	2	\$2,000	\$2,000	\$1,500	09/30/2015	
UP 2014-849(LI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-850(LI)	2	\$4,000	\$4,000	\$3,000	09/30/2015	
UP 2014-851(EP)	1	\$1,000	\$1,000	\$750	09/30/2015	
UP 2014-852(EP)	1	\$1,000	\$1,000	\$750	09/30/2015	
UP 2014-853(LI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-854(EQ)	1	\$4,000	\$4,000	\$3,000	09/30/2015	
UP 2014-855(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-856(ROP)	1	\$7,500	\$7,500	\$5,884	09/30/2015	
UP 2014-857(ROP)	1	\$2,000	\$0	\$0	09/30/2015	Case Terminated.
UP 2014-858(ROP)	1	\$2,000	\$2,000	\$1,513	09/30/2015	
UP 2014-859(ROP)	2	\$4,000	\$4,000	\$3,000	09/30/2015	
UP 2014-860(ROP)	1	\$2,000	\$2,000	\$1,509	09/30/2015	
UP 2014-861(ROP)	1	\$2,000	\$2,000	\$1,509	09/30/2015	
UP 2014-862(HS)	1	\$1,000	\$1,000	\$761	09/30/2015	
UP 2014-863(HS)	1	\$1,000	\$1,000	\$761	09/30/2015	
UP 2014-864(HS)	1	\$1,000	\$1,000	\$733	09/30/2015	
UP 2014-865(SI)	2	\$5,000	\$5,000	\$3,751	09/30/2015	
UP 2014-866(SA)	1	\$5,000	\$5,000	\$4,000	09/30/2015	
UP 2014-867(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
UP 2014-868(HS)	2	\$2,000	\$2,000	\$1,499	09/30/2015	
UP 2014-869(SA)	1	\$5,000	\$5,000	\$3,600	09/30/2015	
UP 2014-870(SA)	1	\$10,000	\$10,000	\$8,000	09/30/2015	
UP 2014-871(SA)	1	\$2,500	\$2,500	\$1,734	09/30/2015	
UP 2014-872(SA)	1	\$2,500	\$2,500	\$1,734	09/30/2015	
UP 2014-873(SA)	1	\$2,500	\$2,500	\$1,734	09/30/2015	

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UP 2014-875(SA)	1	\$5,000	\$5,000	\$3,600	09/30/2015	
UP 2014-876(SA)	1	\$2,500	\$2,500	\$2,500	09/30/2015	
UP 2014-877(TS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-878(LI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-879(SA)	1	\$2,500	\$2,500	\$1,654	09/30/2015	
UP 2014-880(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2015	
UP 2014-881(SA)	1	\$5,000	\$5,000	\$1,950	09/30/2015	
UP 2014-882(SA)	1	\$5,000	\$5,000	\$3,600	09/30/2015	
UP 2014-883(SA)	1	\$5,000	\$5,000	\$3,600	09/30/2015	
UP 2014-884(ROP)	1	\$2,000	\$2,000	\$1,509	09/30/2015	
UP 2014-885(ROP)	1	\$7,500	\$7,500	\$5,790	09/30/2015	
UP 2014-886(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2014-887(FCS)	1	\$2,500	\$0	\$0	09/30/2015	Case Terminated.
UP 2014-888(FCS)	1	\$2,500	\$2,500	\$1,829	09/30/2015	
UP 2014-889(TS)	2	\$10,000	\$10,000	\$7,500	09/30/2015	
UP 2014-890(TS)	2	\$3,500	\$3,500	\$2,650	09/30/2015	
UP 2014-891(TS)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2014-892(TS)	1	\$1,000	\$1,000	\$750	09/30/2015	
UP 2014-893(RW)	1	\$1,000	\$1,000	\$1,000	09/30/2015	
UP 2014-894(TS)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2014-895(LI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-896(LI)	1	\$1,000	\$1,000	\$750	09/30/2015	
UP 2014-897(LI)	1	\$1,000	\$1,000	\$750	09/30/2015	
UP 2014-898(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2015	
UP 2014-899(SA)	2	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2014-900(SA)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2014-901(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-902(SA)	1	\$2,500	\$2,500	\$1,805	09/30/2015	
UP 2014-903(FCS)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2014-904(FCS)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2014-905(SA)	1	\$5,000	\$5,000	\$4,050	09/30/2015	
UP 2014-906(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2014-907(SA)	1	\$5,000	\$5,000	\$4,300	09/30/2015	
UP 2014-908(SI)	1	\$1,000	\$1,000	\$752	09/30/2015	
UP 2014-909(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
UP 2014-910(SI)	1	\$5,000	\$5,000	\$4,033	09/30/2015	
UP 2014-911(ROP)	1	\$2,000	\$2,000	\$1,500	09/30/2015	
UP 2014-912(TS)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2014-913(TS)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2014-914(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2015	
UP 2014-915(TS)	1	\$5,000	\$5,000	\$3,700	09/30/2015	
UP 2014-916(RW)	1	\$3,000	\$3,000	\$2,289	09/30/2015	
UP 2014-917(LI)	1	\$2,500	\$2,500	\$1,925	09/30/2015	
UP 2014-918(TS)	1	\$2,500	\$2,500	\$1,750	09/30/2015	
UP 2014-919(TS)	2	\$7,500	\$7,500	\$5,250	09/30/2015	
UP 2014-920(ROP)	1	\$7,500	\$7,500	\$5,649	09/30/2015	
UP 2014-921(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2015	
UP 2014-922(FCS)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2014-924(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2015	

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UP 2014-925(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
UP 2014-926(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
UP 2014-927(LI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-928(LI)	8	\$20,000	\$20,000	\$15,000	09/30/2015	
UP 2014-929(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2015	
UP 2014-930(SI)	5	\$12,500	\$12,500	\$9,375	09/30/2015	
UP 2014-931(SI)	10	\$25,000	\$25,000	\$18,750	09/30/2015	
UP 2014-932(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-933(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-934(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-935(SI)	5	\$12,500	\$12,500	\$9,375	09/30/2015	
UP 2014-936(TS)	1	\$7,000	\$7,000	\$5,600	09/30/2015	
UP 2014-937(TS)	3	\$7,500	\$7,500	\$5,250	09/30/2015	
UP 2014-938(TS)	2	\$10,000	\$10,000	\$7,500	09/30/2015	
UP 2014-939(TS)	1	\$1,000	\$1,000	\$733	09/30/2015	
UP 2014-940(TS)	1	\$2,500	\$2,500	\$2,000	09/30/2015	
UP 2014-941(SA)	1	\$2,500	\$2,500	\$1,852	09/30/2015	
UP 2014-942(TS)	1	\$2,000	\$2,000	\$1,480	09/30/2015	
UP 2014-943(SA)	1	\$5,000	\$5,000	\$3,657	09/30/2015	
UP 2014-944(SA)	1	\$2,500	\$2,500	\$1,852	09/30/2015	
UP 2014-945(FCS)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2014-946(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-947(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-948(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-949(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-950(ROP)	1	\$5,000	\$5,000	\$4,080	09/30/2015	
UP 2014-951(FCS)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2014-952(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2014-953(FCS)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2014-954(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2014-955(FCS)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2014-956(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2014-957(LI)	1	\$1,500	\$1,500	\$1,125	09/30/2015	
UP 2014-958(LI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-959(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-960(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2014-961(SA)	1	\$2,500	\$2,500	\$1,922	09/30/2015	
UP 2014-962(SA)	1	\$2,500	\$2,500	\$1,922	09/30/2015	
UP 2014-963(SA)	1	\$2,500	\$2,500	\$1,899	09/30/2015	
UP 2014-964(SA)	1	\$2,500	\$2,500	\$1,899	09/30/2015	
UP 2014-965(SA)	1	\$2,500	\$2,500	\$1,828	09/30/2015	
UP 2014-966(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-967(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2015	
UP 2014-968(SA)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2014-969(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-970(SA)	1	\$5,000	\$5,000	\$3,550	09/30/2015	
UP 2014-971(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-972(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-973(SA)	1	\$2,500	\$2,500	\$1,950	09/30/2015	

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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 2014-974(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-975(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-976(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-977(SA)	1	\$5,000	\$5,000	\$3,751	09/30/2015	
UP 2014-978(SA)	1	\$2,500	\$2,500	\$1,899	09/30/2015	
UP 2014-979(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-980(SA)	1	\$2,500	\$2,500	\$1,922	09/30/2015	
UP 2014-981(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2014-982(SA)	1	\$2,500	\$2,500	\$1,805	09/30/2015	
UP 2014-983(SA)	1	\$5,000	\$5,000	\$3,751	09/30/2015	
UP 2014-984(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-985(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-986(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-987(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2014-988(SA)	1	\$5,000	\$5,000	\$3,751	09/30/2015	
UP 2014-989(SA)	1	\$2,500	\$2,500	\$2,025	09/30/2015	
UP 2014-990(SA)	1	\$2,500	\$2,500	\$1,852	09/30/2015	
UP 2014-991(SA)	1	\$2,500	\$2,500	\$1,852	09/30/2015	
UP 2014-992(SA)	1	\$2,500	\$2,500	\$1,852	09/30/2015	
UP 2014-993(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2015	
UP 2014-994(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2014-995(ROP)	1	\$9,500	\$9,500	\$7,628	09/30/2015	
UP 2014-996(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2014-997(FCS)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2014-998(FCS)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2014-999(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2014-1000(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2014-1001(FCS)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2014-1002(SA)	1	\$2,500	\$2,500	\$1,852	09/30/2015	
UP 2014-1003(SA)	1	\$2,500	\$2,500	\$1,852	09/30/2015	
UP 2014-1004(SA)	1	\$2,500	\$2,500	\$1,852	09/30/2015	
UP 2014-1005(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2015	
UP 2014-1006(SA)	1	\$2,500	\$2,500	\$1,852	09/30/2015	
UP 2014-1007(SA)	1	\$2,500	\$2,500	\$1,852	09/30/2015	
UP 2014-1008(SA)	1	\$2,500	\$2,500	\$1,852	09/30/2015	
UP 2014-1009(SA)	1	\$5,000	\$5,000	\$3,657	09/30/2015	
UP 2014-1010(HMT)	4	\$30,000	\$30,000	\$23,143	09/30/2015	
UP 2014-1011(HMT)	2	\$10,000	\$10,000	\$7,600	09/30/2015	
UP 2014-1012(SA)	1	\$5,000	\$5,000	\$3,657	09/30/2015	
UP 2014-1013(SA)	1	\$2,500	\$2,500	\$1,852	09/30/2015	
UP 2014-1014(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2014-1015(FCS)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2014-1016(FCS)	2	\$5,000	\$0	\$0	09/30/2015	Case Terminated.
UP 2014-1018(TS)	1	\$1,000	\$1,000	\$686	09/30/2015	
UP 2014-1019(TS)	2	\$5,000	\$5,000	\$3,500	09/30/2015	
UP 2014-1020(LI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-1021(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-1022(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2014-1023(SA)	1	\$5,000	\$5,000	\$3,650	09/30/2015	



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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 2014-1024(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-1025(SA)	1	\$2,500	\$2,500	\$1,852	09/30/2015	
UP 2014-1026(SA)	1	\$2,500	\$2,500	\$1,858	09/30/2015	
UP 2014-1027(SA)	1	\$2,500	\$2,500	\$1,852	09/30/2015	
UP 2014-1028(SA)	1	\$2,500	\$2,500	\$1,899	09/30/2015	
UP 2014-1029(SA)	1	\$2,500	\$2,500	\$1,899	09/30/2015	
UP 2014-1030(SA)	1	\$2,500	\$2,500	\$1,899	09/30/2015	
UP 2014-1031(SA)	1	\$2,500	\$2,500	\$1,899	09/30/2015	
UP 2014-1032(SA)	1	\$2,500	\$2,500	\$1,899	09/30/2015	
UP 2014-1033(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2015	
UP 2014-1034(SA)	1	\$5,000	\$5,000	\$3,700	09/30/2015	
UP 2014-1035(SA)	1	\$2,500	\$2,500	\$1,899	09/30/2015	
UP 2014-1036(SA)	1	\$2,500	\$2,500	\$1,899	09/30/2015	
UP 2014-1037(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
UP 2014-1038(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
UP 2014-1039(SA)	1	\$2,500	\$2,500	\$1,805	09/30/2015	
UP 2014-1040(SA)	2	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2014-1041(AR)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2014-1042(AR)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2014-1043(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-1044(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-1045(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-1046(SA)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2014-1047(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2014-1048(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2014-1049(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2014-1050(FCS)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2014-1051(FCS)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2014-1052(FCS)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2014-1053(TS)	2	\$3,500	\$3,500	\$2,800	09/30/2015	
UP 2014-1054(TS)	3	\$3,000	\$3,000	\$2,220	09/30/2015	
UP 2014-1055(TS)	1	\$1,000	\$1,000	\$757	09/30/2015	
UP 2014-1056(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2015	
UP 2014-1057(TS)	1	\$1,000	\$1,000	\$710	09/30/2015	
UP 2014-1058(TS)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2014-1059(TS)	1	\$1,000	\$1,000	\$710	09/30/2015	
UP 2014-1060(TS)	1	\$1,000	\$1,000	\$1,000	09/30/2015	
UP 2014-1061(TS)	1	\$1,000	\$1,000	\$733	09/30/2015	
UP 2014-1062(LI)	1	\$1,500	\$1,500	\$1,100	09/30/2015	
UP 2014-1063(LI)	2	\$4,000	\$4,000	\$3,000	09/30/2015	
UP 2014-1064(GC)	1	\$2,500	\$2,500	\$1,922	09/30/2015	
UP 2014-1065(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2015	
UP 2014-1066(EQ)	1	\$10,000	\$10,000	\$8,000	09/30/2015	
UP 2014-1067(TS)	1	\$2,500	\$2,500	\$1,850	09/30/2015	
UP 2014-1068(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-1069(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-1070(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2014-1071(TS)	1	\$5,000	\$5,000	\$3,700	09/30/2015	
UP 2014-1072(TS)	1	\$2,500	\$2,500	\$1,750	09/30/2015	

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UP 2014-1073(LI)	1	\$2,000	\$2,000	\$1,500	09/30/2015	
UP 2014-1074(SA)	1	\$5,000	\$5,000	\$3,821	09/30/2015	
UP 2014-1075(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
UP 2014-1076(TS)	1	\$5,000	\$5,000	\$3,700	09/30/2015	
UP 2014-1077(GC)	1	\$5,000	\$5,000	\$4,000	09/30/2015	
UP 2014-1078(GC)	1	\$5,000	\$5,000	\$4,456	09/30/2015	
UP 2015-1(ROP)	1	\$7,500	\$7,500	\$5,625	09/30/2015	
UP 2015-2(ROP)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2015-3(ROP)	1	\$9,500	\$9,500	\$7,150	09/30/2015	
UP 2015-4(ROP)	1	\$9,500	\$9,500	\$9,500	09/30/2015	
UP 2015-5(ROP)	1	\$9,500	\$9,500	\$7,150	09/30/2015	
UP 2015-6(ROP)	1	\$7,500	\$7,500	\$5,649	09/30/2015	
UP 2015-7(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2015-8(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
UP 2015-9(SA)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2015-10(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2015-11(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2015-12(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2015-13(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2015-14(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2015-15(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2015-16(SA)	1	\$5,000	\$5,000	\$5,000	09/30/2015	
UP 2015-17(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2015-18(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2015-19(HMT)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
UP 2015-20(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2015-21(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
UP 2015-22(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
UP 2015-23(FCS)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2015-24(FCS)	2	\$10,000	\$10,000	\$7,500	09/30/2015	
UP 2015-25(EP)	3	\$3,000	\$3,000	\$2,250	09/30/2015	
UP 2015-26(EP)	5	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2015-27(EP)	1	\$1,000	\$1,000	\$750	09/30/2015	
UP 2015-28(LI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2015-29(LI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2015-30(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2015-31(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2015-32(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2015-33(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2015-34(SA)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2015-35(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2015-36(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2015-37(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2015-38(SA)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2015-39(FCS)	1	\$5,000	\$0	\$0	09/30/2015	Case Terminated.
UP 2015-41(TS)	1	\$5,000	\$5,000	\$3,700	09/30/2015	
UP 2015-42(PEQ)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2015-43(SA)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2015-44(GC)	1	\$5,000	\$5,000	\$4,456	09/30/2015	

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UP 2015-45(TS)	1	\$2,500	\$2,500	\$2,000	09/30/2015	
UP 2015-46(GC)	1	\$5,000	\$5,000	\$4,456	09/30/2015	
UP 2015-47(HSR)	1	\$1,000	\$1,000	\$761	09/30/2015	
UP 2015-48(HSR)	1	\$1,000	\$1,000	\$761	09/30/2015	
UP 2015-49(HSR)	2	\$2,000	\$2,000	\$1,518	09/30/2015	
UP 2015-50(HSR)	1	\$1,000	\$1,000	\$771	09/30/2015	
UP 2015-51(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2015-52(ROP)	1	\$9,500	\$9,500	\$9,500	09/30/2015	
UP 2015-53(SA)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2015-54(FCS)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2015-55(FCS)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2015-56(FCS)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2015-57(FCS)	1	\$2,500	\$0	\$0	09/30/2015	Case Terminated.
UP 2015-58(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2015-59(SA)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2015-60(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2015-62(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2015-63(FCS)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2015-64(ROP)	1	\$7,500	\$7,500	\$5,649	09/30/2015	
UP 2015-65(ROP)	1	\$7,500	\$7,500	\$5,649	09/30/2015	
UP 2015-66(TS)	8	\$40,000	\$40,000	\$30,663	09/30/2015	
UP 2015-67(TS)	2	\$4,000	\$4,000	\$3,200	09/30/2015	
UP 2015-68(TS)	2	\$4,000	\$4,000	\$3,200	09/30/2015	
UP 2015-69(LI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2015-70(LI)	1	\$2,500	\$0	\$0	09/30/2015	Case Terminated.
UP 2015-71(SA)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2015-72(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2015-73(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2015-74(SA)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2015-75(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2015-76(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2015-77(HMT)	1	\$2,000	\$2,000	\$1,520	09/30/2015	
UP 2015-78(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2015-79(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2015	
UP 2015-80(TS)	1	\$5,000	\$5,000	\$3,700	09/30/2015	
UP 2015-81(TS)	1	\$5,000	\$5,000	\$4,000	09/30/2015	
UP 2015-82(LI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2015-83(TS)	2	\$7,500	\$7,500	\$5,550	09/30/2015	
UP 2015-85(TS)	1	\$2,500	\$2,500	\$1,750	09/30/2015	
UP 2015-86(SA)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2015-87(SA)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2015-88(HS)	2	\$2,000	\$2,000	\$1,431	09/30/2015	
UP 2015-89(SA)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2015-91(HMT)	1	\$7,500	\$7,500	\$5,850	09/30/2015	
UP 2015-92(EP)	1	\$1,000	\$1,000	\$750	09/30/2015	
UP 2015-93(GC)	1	\$2,500	\$2,500	\$2,000	09/30/2015	
UP 2015-94(GC)	1	\$2,500	\$2,500	\$2,000	09/30/2015	
UP 2015-95(LI)	1	\$1,500	\$1,500	\$1,200	09/30/2015	
UP 2015-96(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	

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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 2015-97(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2015-98(FCS)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2015-99(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2015-100(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2015-101(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
UP 2015-102(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
UP 2015-104(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2015-105(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2015-106(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2015-108(ROP)	1	\$7,500	\$7,500	\$5,659	09/30/2015	
UP 2015-109(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2015-110(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2015-111(SI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2015-112(GC)	1	\$2,500	\$2,500	\$2,000	09/30/2015	
UP 2015-113(GC)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2015-114(TS)	1	\$1,000	\$1,000	\$800	09/30/2015	
UP 2015-115(TS)	2	\$7,500	\$7,500	\$5,550	09/30/2015	
UP 2015-116(TS)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
UP 2015-117(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2015-118(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2015-119(SA)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2015-120(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2015-121(SA)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2015-122(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
UP 2015-123(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2015-124(FCS)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2015-125(SA)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2015-126(SA)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2015-128(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2015-129(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2015-131(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2015-132(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2015-133(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
UP 2015-134(ROP)	1	\$7,500	\$7,500	\$7,500	09/30/2015	
UP 2015-135(EP)	1	\$1,000	\$1,000	\$750	09/30/2015	
UP 2015-136(EP)	1	\$1,000	\$1,000	\$750	09/30/2015	
UP 2015-137(RMM)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2015-138(BW)	1	\$5,000	\$5,000	\$3,797	09/30/2015	
UP 2015-139(EP)	1	\$1,000	\$1,000	\$750	09/30/2015	
UP 2015-140(TS)	2	\$5,000	\$5,000	\$3,500	09/30/2015	
UP 2015-141(TS)	2	\$5,000	\$5,000	\$3,704	09/30/2015	
UP 2015-142(TS)	4	\$4,000	\$4,000	\$2,960	09/30/2015	
UP 2015-143(TS)	4	\$4,000	\$4,000	\$2,960	09/30/2015	
UP 2015-144(TS)	1	\$1,000	\$1,000	\$743	09/30/2015	
UP 2015-145(TS)	6	\$7,500	\$7,500	\$5,550	09/30/2015	
UP 2015-146(TS)	2	\$5,000	\$5,000	\$3,500	09/30/2015	
UP 2015-147(TH)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
UP 2015-148(LI)	1	\$2,500	\$2,500	\$2,134	09/30/2015	
UP 2015-150(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	

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UP 2015-151(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2015-152(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2015-153(SA)	1	\$2,500	\$2,500	\$2,087	09/30/2015	
UP 2015-155(SA)	1	\$2,500	\$2,500	\$2,087	09/30/2015	
UP 2015-156(SA)	1	\$2,500	\$2,500	\$2,087	09/30/2015	
UP 2015-157(SA)	1	\$2,500	\$2,500	\$2,087	09/30/2015	
UP 2015-158(SA)	1	\$2,500	\$2,500	\$2,087	09/30/2015	
UP 2015-160(SA)	1	\$5,000	\$5,000	\$5,000	09/30/2015	
UP 2015-161(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2015-162(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2015-163(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2015-165(SA)	1	\$5,000	\$5,000	\$3,900	09/30/2015	
UP 2015-166(LI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2015-167(LI)	4	\$10,000	\$10,000	\$8,535	09/30/2015	
UP 2015-168(LI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2015-169(LI)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
UP 2015-170(EP)	1	\$1,000	\$1,000	\$750	09/30/2015	
UP 2015-171(GC)	1	\$2,500	\$2,500	\$1,969	09/30/2015	
UP 2015-172(TS)	1	\$2,500	\$2,500	\$1,750	09/30/2015	
UP 2015-174(SA)	1	\$2,500	\$2,500	\$1,900	09/30/2015	
UP 2015-175(SA)	1	\$5,000	\$5,000	\$3,800	09/30/2015	
URR 2013-1(SI)	1	\$1,000	\$1,000	\$750	06/23/2015	
URR 2013-2(EQ)	5	\$10,500	\$10,500	\$6,825	06/23/2015	
URR 2015-1(HS)	1	\$1,000	\$1,000	\$650	06/23/2015	
URR 2015-2(HS)	1	\$1,000	\$1,000	\$650	06/23/2015	
URR 2015-3(HS)	1	\$1,000	\$1,000	\$650	06/23/2015	
USRO 2013-1(TS)	1	\$1,000	\$1,000	\$1,000	04/22/2015	
VSOR 2014-1(SA)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
VSOR 2015-1(AD)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
VSOR 2015-2(AD)	1	\$2,500	\$2,500	\$1,875	09/30/2015	
WATX 2014-1(EQ)	1	\$2,000	\$2,000	\$1,500	09/30/2015	
WATX 2015-1(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2015	
WC 2014-1(AD)	2	\$10,000	\$10,000	\$7,000	09/28/2015	
WCRL 2013-1(GC)	1	\$2,500	\$2,500	\$1,000	12/09/2014	
WE 2014-2(SA)	3	\$12,500	\$12,500	\$7,700	04/17/2015	
WE 2014-3(SA)	2	\$7,500	\$7,500	\$4,600	04/19/2015	
WE 2014-4(GC)	1	\$5,000	\$5,000	\$3,700	04/19/2015	
WE 2015-1(GC)	2	\$10,000	\$10,000	\$7,800	04/19/2015	
WE 2015-2(LI)	3	\$7,500	\$7,500	\$4,875	04/19/2015	
WE 2015-3(SA)	1	\$5,000	\$5,000	\$3,000	04/19/2015	
WE 2015-4(SA)	2	\$10,000	\$10,000	\$6,100	04/19/2015	
WIR 2013-1(SA)	2	\$5,000	\$5,000	\$3,000	09/17/2015	
WIR 2014-1(GC)	1	\$1,000	\$0	\$0	07/08/2015	Case Terminated.
WIR 2015-1(GC)	1	\$2,500	\$2,500	\$1,800	09/17/2015	
WIR 2015-2(GC)	2	\$3,500	\$3,500	\$2,520	09/17/2015	
WNYP 2013-1(AD)	1	\$5,000	\$5,000	\$3,250	07/14/2015	
WNYP 2013-2(TS)	1	\$5,000	\$5,000	\$3,250	07/14/2015	
WSOR 2014-1(ROP)	1	\$9,500	\$9,500	\$7,100	09/30/2015	
WTLC 2013-1(TS)	2	\$7,500	\$7,500	\$5,300	02/12/2015	

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WTLC 2014-1(GC)	1	\$2,500	\$2,500	\$1,700	05/26/2015	
WTLC 2014-2(TS)	1	\$2,500	\$2,500	\$1,500	05/26/2015	
WTLC 2014-3(TS)	1	\$5,000	\$5,000	\$3,250	05/26/2015	
WTLC 2014-4(TS)	2	\$2,000	\$2,000	\$1,300	05/26/2015	
WTLC 2014-5(TS)	5	\$12,500	\$12,500	\$7,500	05/26/2015	
WW 2012-1(ROP)	1	\$9,500	\$9,500	\$1,550	01/02/2015	
XAHA 2015-1(HMT)	1	\$5,000	\$5,000	\$5,000	03/24/2015	
XAOS 2015-1(HMT)	1	\$2,000	\$2,000	\$2,000	02/24/2015	
XASA 2015-1(HMT)	3	\$15,000	\$15,000	\$9,300	04/07/2015	
XATH 2014-1(HMT)	1	\$5,000	\$5,000	\$3,000	02/05/2015	
XBAL 2015-1(HMT)	1	\$2,000	\$2,000	\$2,000	09/14/2015	
XCAI 2015-1(HMT)	1	\$5,000	\$5,000	\$5,000	06/17/2015	
XCIC 2012-1(HMT)	1	\$5,000	\$5,000	\$3,650	05/04/2015	
XCNS 2014-1(HMT)	1	\$2,000	\$2,000	\$2,000	05/07/2015	
XCRO 2014-1(HMT)	1	\$3,000	\$3,000	\$3,000	02/09/2015	
XCRP 2014-1(HMT)	1	\$2,000	\$2,000	\$2,000	02/09/2015	
XCRZ 2015-1(HMT)	1	\$2,000	\$2,000	\$2,000	05/07/2015	
XEXG 2014-1(HMT)	1	\$5,000	\$5,000	\$3,000	10/21/2014	
XEXG 2014-2(HMT)	1	\$5,000	\$5,000	\$3,000	10/21/2014	
XEXG 2015-1(HMT)	1	\$5,000	\$5,000	\$3,100	08/07/2015	
XGCB 2013-1(HMT)	1	\$5,000	\$5,000	\$2,500	03/09/2015	
XGCQ 2013-1(HMT)	1	\$7,500	\$7,500	\$7,500	03/24/2015	
XGDF 2014-1(HMT)	1	\$5,000	\$5,000	\$2,500	04/24/2015	
XGEO 2015-1(HMT)	3	\$20,000	\$20,000	\$14,600	09/03/2015	
XGEO 2015-2(HMT)	1	\$5,000	\$5,000	\$3,400	09/03/2015	
XJSW 2013-1(HMT)	1	\$2,000	\$0	\$0	06/08/2015	Case Terminated.
XMBR 2010-1(HMT)	1	\$2,000	\$0	\$0	02/24/2015	Case Terminated.
XMKW 2014-1(HMT)	2	\$10,000	\$10,000	\$6,500	12/03/2014	
XMKW 2014-2(HMT)	3	\$15,000	\$15,000	\$10,500	12/03/2014	
XMKW 2014-3(HMT)	1	\$10,000	\$10,000	\$10,000	12/09/2014	
XMKW 2015-1(HMT)	1	\$10,000	\$10,000	\$5,500	09/30/2015	
XMOC 2014-1(HMT)	1	\$5,000	\$5,000	\$5,000	12/01/2014	
XPRS 2011-1(RW)	1	\$5,000	\$5,000	\$4,000	06/04/2015	
XPRS 2012-1(HS)	1	\$1,000	\$1,000	\$700	06/09/2015	
XPRS 2012-2(HS)	2	\$2,000	\$2,000	\$1,500	06/04/2015	
XPRS 2013-1(RW)	1	\$1,000	\$1,000	\$700	06/09/2015	
XRPI 2015-1(RSP)	3	\$3,000	\$3,000	\$2,100	07/31/2015	
XSSP 2015-1(HMT)	1	\$2,000	\$2,000	\$2,000	03/12/2015	
XSTL 2014-1(HMT)	1	\$4,000	\$4,000	\$4,000	03/16/2015	
XTII 2013-1(HMT)	3	\$9,000	\$9,000	\$6,300	10/03/2014	
XUSE 2014-1(HMT)	1	\$2,000	\$2,000	\$2,000	10/16/2014	
XWFA 2014-3(AD)	1	\$1,000	\$1,000	\$1,000	02/09/2015	
XWFA 2014-4(ROP)	1	\$7,500	\$7,500	\$7,500	09/22/2015	
XWHS 2015-1(HMT)	2	\$9,000	\$9,000	\$9,000	04/01/2015	
XWLF 2014-1(HMT)	2	\$10,000	\$10,000	\$10,000	10/02/2014	
XWTS 2014-1(HMT)	2	\$4,000	\$4,000	\$2,500	09/28/2015	
XWTS 2014-2(HMT)	1	\$2,000	\$2,000	\$1,500	09/28/2015	
XWTS 2015-1(HMT)	3	\$15,000	\$15,000	\$10,000	09/28/2015	
XWTS 2015-2(HMT)	17	\$85,000	\$85,000	\$45,000	09/28/2015	

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XWTS 2015-3(HMT)	7	\$70,000	\$70,000	\$25,000	09/28/2015	
XWTS 2015-4(HMT)	7	\$70,000	\$70,000	\$20,000	09/28/2015	
ZABEQ 2014-1(HMT)	1	\$10,000	\$10,000	\$10,000	02/24/2015	
ZABO 2014-1(HMT)	1	\$2,000	\$2,000	\$1,340	01/09/2015	
ZACH 2015-1(HMT)	1	\$10,000	\$10,000	\$7,500	03/05/2015	
ZACH 2015-2(HMT)	1	\$2,000	\$2,000	\$1,400	03/12/2015	
ZADN 2014-1(HMT)	1	\$7,500	\$7,500	\$5,300	01/09/2015	
ZADR 2013-2(HMT)	2	\$10,000	\$10,000	\$6,000	12/11/2014	
ZADR 2014-1(HMT)	3	\$15,000	\$15,000	\$10,000	12/11/2014	
ZAEN 2014-4(HMT)	2	\$10,000	\$10,000	\$10,000	11/20/2014	
ZAEN 2014-5(HMT)	1	\$5,000	\$5,000	\$5,000	11/24/2014	
ZAEN 2015-1(HMT)	1	\$5,000	\$5,000	\$5,000	02/24/2015	
ZAEN 2015-2(HMT)	2	\$10,000	\$10,000	\$10,000	02/24/2015	
ZAEN 2015-3(HMT)	4	\$20,000	\$20,000	\$20,000	09/02/2015	
ZAER 2015-1(HMT)	1	\$2,000	\$2,000	\$2,000	03/11/2015	
ZAGT 2014-1(HMT)	1	\$5,000	\$0	\$0	07/30/2015	Case Terminated.
ZAKE 2014-1(HMT)	1	\$5,000	\$5,000	\$5,000	12/15/2014	
ZAKN 2014-1(HMT)	1	\$5,000	\$5,000	\$3,500	01/26/2015	
ZAKQ 2015-1(HMT)	1	\$5,000	\$5,000	\$5,000	08/21/2015	
ZAKZ 2015-1(HMT)	1	\$10,000	\$10,000	\$7,400	09/25/2015	
ZALB 2015-1(HMT)	7	\$14,000	\$14,000	\$14,000	05/13/2015	
ZALB 2015-2(HMT)	3	\$6,000	\$6,000	\$6,000	08/05/2015	
ZALN 2014-1(HMT)	2	\$10,000	\$10,000	\$7,100	02/10/2015	
ZALQ 2014-2(HMT)	1	\$10,000	\$10,000	\$10,000	11/24/2014	
ZALQ 2015-1(HMT)	1	\$10,000	\$10,000	\$10,000	04/20/2015	
ZALQ 2015-2(HMT)	1	\$10,000	\$10,000	\$10,000	07/08/2015	
ZALTS 2015-1(HMT)	1	\$5,000	\$5,000	\$3,600	04/21/2015	
ZAMC 2014-1(HMT)	2	\$4,000	\$4,000	\$2,600	12/11/2014	
ZAMRI 2014-1(HMT)	2	\$20,000	\$20,000	\$14,000	05/27/2015	
ZAMU 2014-1(HMT)	1	\$4,000	\$4,000	\$4,000	01/07/2015	
ZANT 2013-1(HMT)	2	\$20,000	\$20,000	\$15,500	10/14/2014	
ZANT 2014-1(HMT)	3	\$15,000	\$15,000	\$10,500	10/14/2014	
ZAO 2014-1(HMT)	1	\$2,000	\$2,000	\$2,000	10/20/2014	
ZAPL 2015-1(HMT)	1	\$7,500	\$7,500	\$3,800	02/23/2015	
ZAPM 2014-1(HMT)	3	\$15,000	\$15,000	\$15,000	01/07/2015	
ZAQA 2014-1(HMT)	1	\$5,000	\$5,000	\$4,000	10/20/2014	
ZARCI 2015-1(HMT)	1	\$10,000	\$10,000	\$7,300	06/18/2015	
ZARE 2015-1(HMT)	1	\$10,000	\$10,000	\$7,200	04/28/2015	
ZARE 2015-2(HMT)	1	\$2,500	\$2,500	\$1,750	06/23/2015	
ZARE 2015-3(HMT)	1	\$10,000	\$10,000	\$8,250	06/23/2015	
ZARJ 2014-2(HMT)	2	\$4,000	\$4,000	\$2,800	10/21/2014	
ZARJ 2014-3(HMT)	1	\$5,000	\$5,000	\$3,500	03/24/2015	
ZARJ 2014-4(HMT)	1	\$2,000	\$2,000	\$1,400	12/12/2014	
ZARJ 2014-5(HMT)	1	\$10,000	\$10,000	\$7,500	03/24/2015	
ZARJ 2015-1(HMT)	1	\$2,000	\$2,000	\$1,400	03/31/2015	
ZARK 2014-1(HMT)	1	\$10,000	\$10,000	\$7,300	01/27/2015	
ZARK 2015-1(HMT)	1	\$10,000	\$10,000	\$7,300	09/22/2015	
ZATO 2015-1(HMT)	1	\$2,000	\$2,000	\$2,000	06/15/2015	
ZAUG 2014-2(HMT)	1	\$2,000	\$2,000	\$1,400	01/09/2015	

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ZAXE 2015-1(HMT)	3	\$6,000	\$6,000	\$6,000	08/21/2015	
ZAXI 2014-3(HMT)	2	\$15,000	\$15,000	\$11,500	11/04/2014	
ZAXI 2014-4(HMT)	1	\$10,000	\$10,000	\$8,000	11/04/2014	
ZAXI 2014-5(HMT)	2	\$8,500	\$8,500	\$7,025	11/04/2014	
ZAXI 2014-6(HMT)	1	\$2,500	\$2,500	\$1,375	02/10/2015	
ZAXI 2014-7(HMT)	1	\$6,000	\$6,000	\$4,200	11/04/2014	
ZAXI 2014-8(HMT)	1	\$7,500	\$7,500	\$5,100	02/10/2015	
ZAXI 2014-9(HMT)	2	\$12,500	\$12,500	\$7,600	02/10/2015	
ZAXI 2014-10(HMT)	2	\$17,500	\$17,500	\$13,500	02/10/2015	
ZBAS 2014-2(HMT)	1	\$10,000	\$10,000	\$10,000	01/21/2015	
ZBAS 2015-1(HMT)	2	\$5,000	\$5,000	\$5,000	05/22/2015	
ZBCX 2014-2(HMT)	1	\$5,000	\$5,000	\$5,000	12/16/2014	
ZBDG 2015-1(HMT)	1	\$2,000	\$2,000	\$2,000	08/27/2015	
ZBEO 2014-2(HMT)	1	\$5,000	\$5,000	\$5,000	01/21/2015	
ZBEO 2014-4(HMT)	1	\$10,000	\$10,000	\$10,000	01/06/2015	
ZBEO 2015-1(HMT)	10	\$50,000	\$50,000	\$50,000	08/14/2015	
ZBEP 2015-1(HMT)	1	\$2,000	\$2,000	\$2,000	04/22/2015	
ZBEP 2015-2(HMT)	2	\$4,000	\$4,000	\$4,000	09/03/2015	
ZBMS 2014-2(HMT)	2	\$4,000	\$4,000	\$4,000	11/12/2014	
ZBMS 2014-3(HMT)	1	\$2,000	\$2,000	\$2,000	12/18/2014	
ZBOB 2014-2(HMT)	1	\$5,000	\$5,000	\$5,000	12/16/2014	
ZBSN 2014-1(HMT)	1	\$10,000	\$10,000	\$8,000	01/26/2015	
ZBSP 2013-1(HMT)	1	\$4,000	\$4,000	\$3,200	03/02/2015	
ZBSY 2014-1(HMT)	1	\$10,000	\$10,000	\$9,000	02/03/2015	
ZBTX 2014-1(HMT)	1	\$5,000	\$5,000	\$4,000	10/01/2014	
ZBTZ 2015-1(HMT)	1	\$5,000	\$5,000	\$3,000	09/30/2015	
ZCAMC 2014-1(HMT)	1	\$2,500	\$2,500	\$2,500	02/09/2015	
ZCBL 2010-1(HMT)	1	\$10,000	\$10,000	\$7,000	05/06/2015	
ZCCW 2008-1(HMT)	6	\$12,500	\$0	\$0	05/13/2015	Case Terminated.
ZCCY 2014-1(HMT)	1	\$5,000	\$5,000	\$2,500	03/16/2015	
ZCDF 2010-1(HMT)	5	\$10,000	\$10,000	\$9,000	07/01/2015	
ZCDF 2015-1(HMT)	6	\$12,000	\$12,000	\$10,000	07/01/2015	
ZCEE 2015-1(HMT)	1	\$5,000	\$5,000	\$5,000	05/07/2015	
ZCELA 2015-1(HMT)	1	\$5,000	\$5,000	\$5,000	05/07/2015	
ZCEV 2014-1(HMT)	1	\$2,000	\$2,000	\$2,000	02/09/2015	
ZCFX 2014-1(HMT)	3	\$15,000	\$15,000	\$10,500	09/28/2015	
ZCGQ 2012-1(HMT)	1	\$5,000	\$0	\$0	05/06/2015	Case Terminated.
ZCGZ 2010-1(HMT)	4	\$11,500	\$0	\$0	05/06/2015	Case Terminated.
ZCHEV 2014-1(HMT)	1	\$2,000	\$2,000	\$1,600	02/25/2015	
ZCHV 2012-1(HMT)	1	\$5,000	\$5,000	\$4,250	10/22/2014	
ZCHX 2014-1(HMT)	1	\$2,000	\$2,000	\$2,000	02/25/2015	
ZCIL 2014-1(HMT)	1	\$2,000	\$2,000	\$1,400	10/01/2014	
ZCJZ 2013-1(HMT)	1	\$2,000	\$2,000	\$1,600	03/30/2015	
ZCLQ 2015-1(HMT)	1	\$10,000	\$10,000	\$7,000	05/27/2015	
ZCLU 2014-1(HMT)	3	\$6,000	\$6,000	\$4,800	04/29/2015	
ZCLU 2014-2(HMT)	21	\$42,000	\$42,000	\$33,600	04/29/2015	
ZCLX 2014-1(HMT)	1	\$10,000	\$10,000	\$7,500	05/27/2015	
ZCMW 2014-1(HMT)	1	\$10,000	\$10,000	\$7,000	05/21/2015	
ZCO2 2013-1(HMT)	1	\$2,000	\$2,000	\$1,250	05/13/2015	



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ZCO2 2013-2(HMT)	1	\$2,000	\$2,000	\$1,450	05/13/2015	
ZCPCL 2014-2(HMT)	1	\$5,000	\$5,000	\$3,500	03/19/2015	
ZCPCL 2015-1(HMT)	1	\$10,000	\$10,000	\$7,500	03/19/2015	
ZCPN 2014-1(HMT)	1	\$5,000	\$5,000	\$5,000	05/07/2015	
ZCRB 2007-1(HMT)	1	\$2,000	\$0	\$0	04/30/2015	
ZCRB 2007-2(HMT)	1	\$2,000	\$0	\$0	04/30/2015	Case Terminated.
ZCRB 2007-3(HMT)	1	\$2,000	\$0	\$0	04/30/2015	Case Terminated.
ZCRB 2007-4(HMT)	1	\$2,000	\$0	\$0	04/30/2015	Case Terminated.
ZCRB 2007-5(HMT)	1	\$2,000	\$0	\$0	04/30/2015	Case Terminated.
ZCRB 2007-6(HMT)	1	\$2,000	\$0	\$0	04/30/2015	Case Terminated.
ZCRB 2007-7(HMT)	3	\$6,000	\$0	\$0	04/30/2015	Case Terminated.
ZCRB 2010-1(HMT)	5	\$10,000	\$0	\$0	04/30/2015	Case Terminated.
ZCRY 2012-1(HMT)	1	\$10,000	\$10,000	\$8,000	04/29/2015	
ZCRZ 2014-1(HMT)	1	\$10,000	\$10,000	\$9,000	05/11/2015	
ZCSU 2014-2(HMT)	1	\$5,000	\$5,000	\$3,500	02/02/2015	
ZCSU 2014-3(HMT)	1	\$5,000	\$5,000	\$4,000	02/02/2015	
ZCTG 2010-3(HMT)	1	\$10,000	\$10,000	\$8,000	03/30/2015	
ZCTG 2011-1(HMT)	1	\$5,000	\$5,000	\$4,000	03/30/2015	
ZCTG 2012-1(HMT)	3	\$30,000	\$30,000	\$24,000	03/30/2015	
ZCTG 2012-2(HMT)	1	\$10,000	\$10,000	\$8,000	03/30/2015	
ZCTG 2012-3(HMT)	1	\$5,000	\$5,000	\$4,000	03/30/2015	
ZCTN 2014-1(HMT)	1	\$2,000	\$2,000	\$2,000	02/09/2015	
ZCVE 2015-1(HMT)	9	\$24,500	\$24,500	\$24,500	06/18/2015	
ZCXU 2014-2(HMT)	2	\$20,000	\$20,000	\$15,000	02/25/2015	
ZCXU 2015-1(HMT)	7	\$32,000	\$32,000	\$24,000	05/21/2015	
ZCYZ 2014-1(HMT)	1	\$5,000	\$5,000	\$4,000	04/06/2015	
ZCYZ 2014-2(HMT)	1	\$5,000	\$5,000	\$4,000	04/06/2015	
ZCYZ 2014-3(HMT)	1	\$5,000	\$5,000	\$4,000	04/06/2015	
ZCYZ 2014-4(HMT)	1	\$5,000	\$5,000	\$4,000	04/06/2015	
ZDCG 2014-1(HMT)	1	\$7,500	\$7,500	\$5,000	03/18/2015	
ZDCG 2015-1(HMT)	1	\$5,000	\$5,000	\$3,500	03/18/2015	
ZDCZ 2014-1(HMT)	4	\$8,000	\$8,000	\$8,000	01/07/2015	
ZDGO 2014-1(HMT)	2	\$4,000	\$4,000	\$4,000	10/31/2014	
ZDUK 2014-1(HMT)	2	\$2,000	\$2,000	\$2,000	10/24/2014	
ZDUP 2013-1(HMT)	1	\$5,000	\$5,000	\$2,500	10/07/2014	
ZDWC 2014-1(HMT)	20	\$45,000	\$45,000	\$45,000	10/20/2014	
ZDYI 2015-1(HMT)	1	\$5,000	\$5,000	\$5,000	06/19/2015	
ZEACH 2015-1(HMT)	1	\$5,000	\$5,000	\$3,500	02/25/2015	
ZEACH 2015-2(HMT)	2	\$10,000	\$10,000	\$7,000	04/21/2015	
ZEAL 2015-1(HMT)	1	\$2,000	\$2,000	\$2,000	09/01/2015	
ZECB 2011-1(HMT)	1	\$2,000	\$2,000	\$2,000	10/20/2014	
ZECE 2014-1(HMT)	1	\$5,000	\$5,000	\$3,500	09/15/2015	
ZEEN 2015-1(HMT)	2	\$4,000	\$4,000	\$2,800	09/18/2015	
ZELM 2015-1(HMT)	1	\$2,000	\$2,000	\$2,000	06/24/2015	
ZEMB 2014-2(HMT)	1	\$5,000	\$5,000	\$3,000	06/30/2015	
ZEMCC 2014-1(HMT)	3	\$6,000	\$6,000	\$3,650	01/14/2015	
ZEMCC 2014-2(HMT)	1	\$2,000	\$2,000	\$2,000	11/19/2014	
ZEMCC 2015-1(HMT)	1	\$10,000	\$10,000	\$7,000	06/30/2015	
ZEMCC 2015-2(HMT)	1	\$5,000	\$5,000	\$3,400	07/16/2015	

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ZEMCC 2015-3(HMT)	1	\$10,000	\$10,000	\$7,100	08/19/2015	
ZEMER 2014-1(HMT)	1	\$10,000	\$10,000	\$10,000	01/07/2015	
ZENK 2014-1(HMT)	1	\$5,000	\$5,000	\$5,000	12/09/2014	
ZENK 2014-2(HMT)	1	\$3,000	\$3,000	\$3,000	10/21/2014	
ZENM 2014-1(HMT)	1	\$10,000	\$10,000	\$7,300	11/06/2014	
ZENM 2014-2(HMT)	3	\$7,500	\$7,500	\$5,100	01/09/2015	
ZENM 2015-1(HMT)	1	\$2,500	\$2,500	\$1,700	04/28/2015	
ZEOB 2015-1(HMT)	2	\$10,000	\$10,000	\$7,200	03/06/2015	
ZERV 2015-1(HMT)	1	\$5,000	\$5,000	\$5,000	04/12/2015	
ZERV 2015-2(HMT)	1	\$5,000	\$5,000	\$3,400	09/15/2015	
ZETX 2013-1(HMT)	1	\$2,000	\$2,000	\$600	03/02/2015	
ZEVD 2015-1(HMT)	1	\$5,000	\$5,000	\$5,000	05/13/2015	
ZEXM 2015-1(HMT)	1	\$5,000	\$5,000	\$3,100	06/30/2015	
ZFHR 2014-2(HMT)	1	\$2,500	\$2,500	\$2,500	10/23/2014	
ZFHR 2015-1(HMT)	1	\$10,000	\$10,000	\$10,000	07/21/2015	
ZFMP 2015-1(HMT)	1	\$7,500	\$7,500	\$4,000	03/26/2015	
ZFPC 2015-1(HMT)	1	\$15,000	\$15,000	\$15,000	09/10/2015	
ZFRQ 2014-1(HMT)	1	\$5,000	\$5,000	\$3,500	05/26/2015	
ZFRZ 2015-1(HMT)	1	\$5,000	\$5,000	\$5,000	08/28/2015	
ZFUF 2015-1(HMT)	1	\$5,000	\$5,000	\$5,000	04/08/2015	
ZGACC 2014-1(HMT)	2	\$10,000	\$10,000	\$8,000	02/04/2015	
ZGGE 2014-1(HMT)	1	\$5,000	\$5,000	\$5,000	03/16/2015	
ZGGP 2012-1(HMT)	1	\$5,000	\$5,000	\$2,500	05/15/2015	
ZGGP 2012-2(HMT)	3	\$30,000	\$30,000	\$15,000	05/15/2015	
ZGGP 2013-1(HMT)	1	\$5,000	\$5,000	\$2,500	05/15/2015	
ZGLB 2014-1(HMT)	2	\$10,000	\$10,000	\$6,500	03/25/2015	
ZGLB 2014-2(HMT)	1	\$5,000	\$5,000	\$3,500	03/25/2015	
ZGLB 2014-3(HMT)	1	\$5,000	\$5,000	\$3,500	03/25/2015	
ZGLB 2014-4(HMT)	1	\$5,000	\$5,000	\$3,500	03/25/2015	
ZGPE 2014-1(HMT)	1	\$5,000	\$5,000	\$3,500	03/31/2015	
ZGPE 2014-2(HMT)	1	\$2,500	\$2,500	\$2,500	10/21/2014	
ZGPE 2014-3(HMT)	1	\$5,000	\$5,000	\$5,000	10/06/2014	
ZGPF 2013-1(HMT)	1	\$5,000	\$5,000	\$3,500	02/03/2015	
ZGPF 2014-1(HMT)	1	\$5,000	\$5,000	\$5,000	10/20/2014	
ZGRE 2014-1(HMT)	1	\$5,000	\$5,000	\$5,000	11/21/2014	
ZGRE 2014-2(HMT)	1	\$5,000	\$5,000	\$5,000	11/21/2014	
ZGRE 2014-3(HMT)	1	\$5,000	\$5,000	\$5,000	02/05/2015	
ZGRL 2015-1(HMT)	1	\$10,000	\$10,000	\$7,800	04/24/2015	
ZGSZ 2011-3(HMT)	1	\$7,500	\$7,500	\$6,000	03/18/2015	
ZGSZ 2014-2(HMT)	1	\$10,000	\$10,000	\$7,500	11/17/2014	
ZGSZ 2014-4(HMT)	1	\$4,000	\$4,000	\$3,200	03/19/2015	
ZHAP 2015-1(HMT)	2	\$6,000	\$6,000	\$5,000	03/16/2015	
ZHAZ 2012-1(HMT)	2	\$5,000	\$5,000	\$4,300	03/16/2015	
ZHCG 2014-1(HMT)	1	\$5,000	\$5,000	\$5,000	10/30/2014	
ZHCH 2014-1(HMT)	1	\$2,000	\$2,000	\$1,700	11/20/2014	
ZHCH 2015-1(HMT)	1	\$7,500	\$7,500	\$7,500	09/21/2015	
ZHCO 2013-1(HMT)	1	\$2,000	\$2,000	\$1,700	10/10/2014	
ZHCQ 2014-1(HMT)	2	\$15,000	\$15,000	\$12,750	12/20/2014	
ZHCQ 2014-2(HMT)	1	\$5,000	\$5,000	\$4,200	12/20/2014	

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ZHCQ 2015-1(HMT)	2	\$6,500	\$6,500	\$5,200	09/30/2015	
ZHEW 2015-1(HMT)	2	\$10,000	\$10,000	\$10,000	09/29/2015	
ZHFO 2015-1(HMT)	2	\$4,000	\$4,000	\$3,300	07/01/2015	
ZHFR 2014-1(HMT)	11	\$22,000	\$22,000	\$15,950	12/04/2014	
ZHGQ 2015-1(HMT)	1	\$4,000	\$4,000	\$4,000	09/29/2015	
ZHKR 2015-1(HMT)	5	\$30,000	\$0	\$0	09/03/2015	Case Terminated.
ZHLE 2014-1(HMT)	1	\$10,000	\$10,000	\$8,100	10/30/2014	
ZHLPG 2015-1(HMT)	1	\$2,000	\$2,000	\$2,000	05/21/2015	
ZHLU 2013-1(HMT)	1	\$5,000	\$5,000	\$5,000	11/06/2014	
ZHMS 2013-1(HMT)	1	\$5,000	\$5,000	\$5,000	10/22/2014	
ZHNI 2014-1(HMT)	1	\$10,000	\$10,000	\$10,000	12/01/2014	
ZHNI 2015-1(HMT)	2	\$6,000	\$6,000	\$6,000	03/02/2015	
ZHOI 2015-1(HMT)	2	\$10,000	\$10,000	\$10,000	07/27/2015	
ZHPR 2015-1(HMT)	1	\$5,000	\$5,000	\$5,000	06/15/2015	
ZHRF 2014-1(HMT)	1	\$5,000	\$5,000	\$3,200	10/28/2014	
ZHRH 2012-1(HMT)	2	\$20,000	\$20,000	\$14,000	11/25/2014	
ZHRM 2013-2(HMT)	2	\$4,000	\$4,000	\$4,000	10/07/2014	
ZHUC 2014-1(HMT)	2	\$9,500	\$9,500	\$8,100	01/13/2015	
ZHUN 2015-1(HMT)	1	\$5,000	\$5,000	\$5,000	07/08/2015	
ZHWH 2014-1(HMT)	1	\$10,000	\$10,000	\$10,000	10/15/2014	
ZHWH 2014-2(HMT)	5	\$10,000	\$10,000	\$10,000	10/15/2014	
ZIBO 2015-1(HMT)	1	\$5,000	\$5,000	\$3,600	08/05/2015	
ZIBO 2015-2(HMT)	1	\$5,000	\$5,000	\$3,400	08/05/2015	
ZICH 2015-1(HMT)	1	\$10,000	\$10,000	\$10,000	03/02/2015	
ZIMO 2015-1(HMT)	1	\$10,000	\$10,000	\$10,000	03/17/2015	
ZIMT 2015-1(HMT)	2	\$10,000	\$10,000	\$7,500	05/19/2015	
ZIMT 2015-2(HMT)	1	\$5,000	\$5,000	\$3,700	04/28/2015	
ZINO 2015-1(HMT)	1	\$2,500	\$2,500	\$2,500	04/01/2015	
ZINTT 2014-2(HMT)	1	\$2,000	\$2,000	\$2,000	01/07/2015	
ZIP 2014-4(HMT)	1	\$2,000	\$2,000	\$1,600	10/17/2014	
ZIP 2015-1(HMT)	1	\$10,000	\$10,000	\$7,500	04/28/2015	
ZIP 2015-2(HMT)	1	\$10,000	\$0	\$0	04/24/2015	Case Terminated.
ZIRO 2014-6(HMT)	1	\$10,000	\$10,000	\$7,500	11/14/2014	
ZITT 2015-1(HMT)	3	\$27,500	\$27,500	\$20,500	04/27/2015	
ZITT 2015-2(HMT)	1	\$10,000	\$10,000	\$7,300	08/06/2015	
ZITT 2015-3(HMT)	1	\$5,000	\$5,000	\$3,600	08/06/2015	
ZITT 2015-4(HMT)	1	\$2,000	\$2,000	\$1,440	08/06/2015	
ZIVS 2014-1(HMT)	1	\$5,000	\$5,000	\$3,750	11/13/2014	
ZIVS 2015-1(HMT)	1	\$5,000	\$5,000	\$5,000	04/15/2015	
ZKDM 2014-2(HMT)	1	\$5,000	\$5,000	\$1,900	02/06/2015	
ZKDM 2015-1(HMT)	1	\$2,000	\$2,000	\$1,200	09/16/2015	
ZKFC 2014-1(HMT)	1	\$5,000	\$5,000	\$3,250	01/27/2015	
ZKML 2014-3(HMT)	1	\$2,000	\$2,000	\$1,200	01/21/2015	
ZKML 2015-1(HMT)	15	\$30,000	\$30,000	\$15,000	08/28/2015	
ZKML 2015-2(HMT)	1	\$2,000	\$2,000	\$1,300	08/07/2015	
ZKML 2015-3(HMT)	1	\$2,000	\$2,000	\$1,200	09/14/2015	
ZKMQ 2014-2(HMT)	1	\$5,000	\$5,000	\$3,250	10/21/2014	
ZKMT 2015-1(HMT)	1	\$10,000	\$10,000	\$10,000	03/09/2015	
ZKOI 2015-1(HMT)	1	\$5,000	\$5,000	\$3,150	09/22/2015	

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ZKPI 2014-2(HMT)	2	\$4,000	\$4,000	\$2,600	10/09/2014	
ZKUG 2015-1(HMT)	1	\$2,000	\$2,000	\$1,250	08/05/2015	
ZLBR 2011-1(HMT)	1	\$4,000	\$4,000	\$2,800	05/29/2015	
ZLHP 2005-1(HMT)	3	\$35,000	\$0	\$0	05/29/2015	Case Terminated.
ZLHP 2007-1(HMT)	1	\$5,000	\$0	\$0	05/29/2015	Case Terminated.
ZLHP 2015-1(HMT)	1	\$5,000	\$5,000	\$3,700	05/29/2015	
ZLON 2015-1(HMT)	1	\$2,500	\$2,500	\$2,500	05/11/2015	
ZMAX 2015-1(HMT)	15	\$60,000	\$60,000	\$30,000	06/08/2015	
ZMBL 2014-1(HMT)	1	\$2,000	\$2,000	\$2,000	12/01/2014	
ZMERL 2014-1(HMT)	1	\$10,000	\$10,000	\$8,000	10/31/2014	
ZMFQ 2014-1(HMT)	1	\$15,000	\$15,000	\$9,500	01/05/2015	
ZMFQ 2015-1(HMT)	1	\$2,000	\$2,000	\$2,000	04/30/2015	
ZMFS 2015-1(HMT)	2	\$5,000	\$5,000	\$3,000	08/04/2015	
ZMGD 2015-1(HMT)	1	\$10,000	\$10,000	\$6,500	09/30/2015	
ZMGP 2014-1(HMT)	1	\$5,000	\$5,000	\$3,000	10/31/2014	
ZMIF 2015-1(HMT)	1	\$4,000	\$4,000	\$4,000	07/08/2015	
ZMIP 2015-1(HMT)	1	\$4,000	\$0	\$0	05/14/2015	Case Terminated.
ZMJR 2015-1(HMT)	1	\$2,500	\$2,500	\$2,500	09/30/2015	
ZMKJ 2014-1(HMT)	1	\$2,000	\$2,000	\$1,000	03/02/2015	
ZMMPL 2014-1(HMT)	1	\$10,000	\$10,000	\$7,500	12/09/2014	
ZMMPL 2014-2(HMT)	1	\$2,000	\$2,000	\$2,000	12/01/2014	
ZMMT 2014-1(HMT)	1	\$10,000	\$10,000	\$3,000	02/19/2015	
ZMNB 2014-1(HMT)	2	\$5,000	\$5,000	\$5,000	12/01/2014	
ZMOB 2014-1(HMT)	8	\$40,000	\$40,000	\$22,000	12/17/2014	
ZMOM 2014-2(HMT)	2	\$4,000	\$4,000	\$2,800	01/30/2015	
ZMOM 2015-1(HMT)	1	\$5,000	\$5,000	\$3,000	07/14/2015	
ZMOR 2010-1(HMT)	2	\$4,000	\$0	\$0	02/24/2015	Case Terminated.
ZMRK 2014-1(HMT)	1	\$7,500	\$7,500	\$7,500	01/22/2015	
ZMROC 2015-1(HMT)	1	\$5,000	\$5,000	\$5,000	03/12/2015	
ZMSQ 2014-1(HMT)	1	\$4,000	\$4,000	\$2,500	06/09/2015	
ZMTE 2015-1(HMT)	1	\$2,000	\$2,000	\$2,000	03/12/2015	
ZMTE 2015-2(HMT)	26	\$39,000	\$39,000	\$30,000	06/16/2015	
ZMTE 2015-3(HMT)	1	\$10,000	\$10,000	\$10,000	08/06/2015	
ZMTT 2015-1(HMT)	1	\$10,000	\$10,000	\$7,500	02/24/2015	
ZMUSK 2014-3(HMT)	1	\$5,000	\$5,000	\$5,000	05/11/2015	
ZMUSK 2015-1(HMT)	1	\$10,000	\$10,000	\$10,000	04/13/2015	
ZMUSK 2015-2(HMT)	1	\$5,000	\$5,000	\$5,000	04/13/2015	
ZMWC 2015-1(HMT)	1	\$5,000	\$5,000	\$750	06/09/2015	
ZMWE 2011-1(HMT)	2	\$9,500	\$9,500	\$5,000	10/31/2014	
ZMWE 2011-2(HMT)	1	\$5,000	\$5,000	\$2,500	10/31/2014	
ZMYT 2014-1(HMT)	1	\$5,000	\$5,000	\$3,500	12/03/2014	
ZNAL 2015-1(HMT)	1	\$2,000	\$2,000	\$1,500	03/26/2015	
ZNBA 2010-1(HMT)	5	\$11,500	\$0	\$0	09/28/2015	Case Terminated.
ZNBA 2013-1(HMT)	2	\$3,500	\$0	\$0	09/28/2015	Case Terminated.
ZNBS 2015-1(HMT)	1	\$2,000	\$2,000	\$2,000	04/08/2015	
ZNDM 2012-1(HMT)	2	\$7,000	\$7,000	\$7,000	01/07/2015	
ZNDM 2015-1(HMT)	1	\$5,000	\$5,000	\$5,000	09/02/2015	
ZNEW 2014-1(HMT)	2	\$10,000	\$10,000	\$10,000	11/14/2014	
ZNSE 2014-1(HMT)	2	\$4,000	\$4,000	\$4,000	01/28/2015	

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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>
ZNSG 2009-1(HMT)	2	\$10,000	\$4,000	\$2,000	11/06/2014	Partially Terminated Violation(s): 1, 2.
ZNSG 2012-1(HMT)	2	\$4,000	\$4,000	\$4,000	11/06/2014	
ZNSL 2014-1(HMT)	4	\$15,500	\$15,500	\$10,100	04/01/2015	
ZNUS 2015-1(HMT)	1	\$2,000	\$2,000	\$2,000	04/15/2015	
ZNXE 2015-1(HMT)	1	\$2,000	\$2,000	\$1,400	05/05/2015	
ZOBS 2015-1(HMT)	1	\$3,000	\$3,000	\$1,950	03/10/2015	
ZOCC 2014-1(HMT)	3	\$15,000	\$15,000	\$11,250	09/04/2015	
ZOCC 2015-1(HMT)	1	\$2,000	\$2,000	\$1,400	09/04/2015	
ZOLC 2014-1(HMT)	1	\$10,000	\$10,000	\$8,600	02/03/2015	
ZOLI 2014-1(HMT)	1	\$5,000	\$5,000	\$4,150	02/03/2015	
ZOLI 2015-1(HMT)	1	\$10,000	\$10,000	\$8,900	09/14/2015	
ZOLI 2015-2(HMT)	1	\$5,000	\$5,000	\$4,350	09/14/2015	
ZOPM 2015-1(HMT)	1	\$2,500	\$2,500	\$2,500	04/01/2015	
ZOTER 2014-1(HMT)	1	\$5,000	\$5,000	\$5,000	11/14/2014	
ZOTER 2015-1(HMT)	1	\$7,500	\$7,500	\$5,500	09/30/2015	
ZOTL 2014-1(HMT)	1	\$5,000	\$5,000	\$3,250	11/21/2014	
ZOTT 2015-1(HMT)	1	\$10,000	\$10,000	\$7,000	05/18/2015	
ZOTT 2015-2(HMT)	1	\$5,000	\$5,000	\$4,250	09/10/2015	
ZOWS 2014-1(HMT)	1	\$5,000	\$5,000	\$3,000	11/12/2014	
ZOXV 2014-1(HMT)	1	\$5,000	\$5,000	\$3,400	11/03/2014	
ZOXV 2014-2(HMT)	3	\$30,000	\$30,000	\$22,500	09/04/2015	
ZPBD 2009-1(HMT)	1	\$5,000	\$5,000	\$2,500	05/13/2015	
ZPBD 2011-1(HMT)	1	\$10,000	\$10,000	\$7,000	05/13/2015	
ZPBF 2014-1(HMT)	1	\$5,000	\$5,000	\$5,000	02/12/2015	
ZPCP 2014-1(HMT)	1	\$5,000	\$5,000	\$3,700	06/02/2015	
ZPHN 2014-2(HMT)	5	\$10,000	\$10,000	\$10,000	02/13/2015	
ZPHN 2014-3(HMT)	1	\$2,000	\$2,000	\$2,000	02/13/2015	
ZPHN 2014-4(HMT)	1	\$2,500	\$2,500	\$2,500	02/13/2015	
ZPKG 2015-1(HMT)	1	\$5,000	\$5,000	\$4,000	06/02/2015	
ZPKG 2015-2(HMT)	1	\$10,000	\$10,000	\$1,000	06/02/2015	
ZPLS 2012-1(HMT)	5	\$32,500	\$32,500	\$23,000	05/25/2015	
ZPLS 2014-1(HMT)	1	\$10,000	\$10,000	\$7,000	05/25/2015	
ZPMA 2013-1(HMT)	2	\$10,000	\$10,000	\$7,000	05/25/2015	
ZPMA 2014-1(HMT)	11	\$55,000	\$55,000	\$38,500	05/25/2015	
ZPMS 2014-1(HMT)	1	\$5,000	\$5,000	\$3,500	05/25/2015	
ZPMS 2014-2(HMT)	1	\$5,000	\$5,000	\$3,500	05/25/2015	
ZPMS 2015-1(HMT)	1	\$5,000	\$5,000	\$3,500	05/25/2015	
ZPPG 2012-3(HMT)	1	\$7,500	\$7,500	\$4,500	06/02/2015	
ZPQC 2010-1(HMT)	1	\$10,000	\$0	\$0	05/20/2015	Case Terminated.
ZPRF 2014-1(HMT)	1	\$5,000	\$5,000	\$5,000	05/19/2015	
ZPRTI 2013-1(HMT)	11	\$22,000	\$22,000	\$10,000	05/26/2015	
ZPRX 2013-1(HMT)	1	\$5,000	\$5,000	\$5,000	05/12/2015	
ZPSX 2013-3(HMT)	1	\$5,000	\$5,000	\$3,500	03/20/2015	
ZPTR 2009-1(HMT)	12	\$20,000	\$0	\$0	05/29/2015	Case Terminated.
ZPVS 2014-1(HMT)	1	\$5,000	\$5,000	\$3,500	05/26/2015	
ZPVT 2010-1(HMT)	2	\$10,000	\$10,000	\$6,500	05/26/2015	
ZPVT 2010-2(HMT)	1	\$5,000	\$5,000	\$3,500	05/26/2015	
ZPVT 2011-1(HMT)	1	\$5,000	\$5,000	\$3,000	05/26/2015	
ZRCA 2014-2(HMT)	1	\$5,000	\$5,000	\$5,000	03/12/2015	

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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>
ZRCA 2015-1(HMT)	2	\$15,000	\$15,000	\$15,000	09/29/2015	
ZRKM 2014-2(HMT)	1	\$10,000	\$0	\$0	03/17/2015	Case Terminated.
ZRKM 2015-1(HMT)	1	\$10,000	\$10,000	\$7,000	03/31/2015	
ZRKT 2014-1(HMT)	1	\$2,000	\$2,000	\$1,750	12/09/2014	
ZRKT 2015-1(HMT)	1	\$1,000	\$1,000	\$850	09/28/2015	
ZRLG 2014-1(HMT)	2	\$10,000	\$10,000	\$8,000	03/26/2015	
ZRLG 2014-2(HMT)	1	\$7,500	\$7,500	\$7,000	03/26/2015	
ZRLO 2014-1(HMT)	1	\$5,000	\$5,000	\$5,000	01/15/2015	
ZRLO 2014-2(HMT)	1	\$10,000	\$10,000	\$10,000	01/15/2015	
ZRLO 2014-3(HMT)	5	\$14,000	\$14,000	\$14,000	04/01/2015	
ZRLO 2015-1(HMT)	1	\$2,000	\$2,000	\$2,000	06/03/2015	
ZRLS 2015-1(HMT)	1	\$2,000	\$0	\$0	03/26/2015	Case Terminated.
ZROM 2014-1(HMT)	2	\$9,000	\$7,500	\$6,750	07/29/2015	Terminated Violation(s): 1.
ZRRQ 2015-1(HMT)	3	\$6,000	\$6,000	\$6,000	06/16/2015	
ZRRQ 2015-2(HMT)	1	\$2,000	\$2,000	\$2,000	09/29/2015	
ZRRV 2015-1(HMT)	1	\$5,000	\$5,000	\$4,000	09/15/2015	
ZRRV 2015-2(HMT)	1	\$5,000	\$5,000	\$4,000	09/15/2015	
ZSASN 2014-1(HMT)	1	\$2,000	\$2,000	\$2,000	11/20/2014	
ZSAV 2014-1(HMT)	1	\$2,000	\$2,000	\$1,300	10/28/2014	
ZSCC 2014-1(HMT)	1	\$5,000	\$5,000	\$5,000	11/12/2014	
ZSCC 2014-2(HMT)	1	\$5,000	\$5,000	\$5,000	11/12/2014	
ZSCC 2014-3(HMT)	2	\$4,000	\$4,000	\$4,000	11/07/2014	
ZSCC 2014-4(HMT)	1	\$10,000	\$10,000	\$10,000	11/12/2014	
ZSCT 2011-2(HMT)	1	\$2,500	\$2,500	\$650	12/02/2014	
ZSCT 2014-1(HMT)	2	\$15,000	\$7,500	\$5,000	12/02/2014	Terminated Violation(s): 1.
ZSDA 2010-1(HMT)	3	\$4,500	\$0	\$0	05/14/2015	Case Terminated.
ZSDV 2010-1(HMT)	1	\$7,500	\$0	\$0	07/13/2015	Case Terminated.
ZSDZ 2014-1(HMT)	2	\$10,000	\$10,000	\$4,000	11/06/2014	
ZSED 2014-1(HMT)	1	\$2,500	\$2,000	\$1,400	10/29/2014	Partially Terminated Violation(s): 1.
ZSEU 2014-1(HMT)	1	\$10,000	\$10,000	\$7,000	10/16/2014	
ZSHL 2015-1(HMT)	1	\$10,000	\$10,000	\$6,000	03/26/2015	
ZSI 2015-1(HMT)	1	\$2,000	\$2,000	\$2,000	03/12/2015	
ZSKI 2013-1(HMT)	1	\$5,000	\$5,000	\$5,000	12/18/2014	
ZSKI 2014-1(HMT)	1	\$5,000	\$5,000	\$5,000	12/18/2014	
ZSLQ 2014-1(HMT)	2	\$4,000	\$4,000	\$2,000	12/10/2014	
ZSRZ 2014-1(HMT)	1	\$5,000	\$5,000	\$2,500	04/01/2015	
ZSSCO 2014-1(HMT)	6	\$12,000	\$12,000	\$7,800	10/28/2014	
ZSSCO 2014-2(HMT)	1	\$10,000	\$10,000	\$7,000	10/28/2014	
ZSSCO 2014-3(HMT)	4	\$21,500	\$21,500	\$14,200	01/27/2015	
ZSSCO 2014-4(HMT)	1	\$10,000	\$10,000	\$5,000	01/27/2015	
ZSSCO 2014-5(HMT)	3	\$6,000	\$6,000	\$3,600	01/27/2015	
ZSSCO 2014-7(HMT)	1	\$5,000	\$5,000	\$3,500	01/27/2015	
ZSSCO 2014-8(HMT)	2	\$10,000	\$10,000	\$7,000	01/27/2015	
ZSSCO 2014-9(HMT)	1	\$5,000	\$5,000	\$3,500	01/27/2015	
ZSSCO 2014-10(HMT)	1	\$5,000	\$5,000	\$4,000	01/27/2015	
ZSSCO 2014-11(HMT)	1	\$10,000	\$10,000	\$6,500	01/27/2015	
ZSSCO 2015-1(HMT)	1	\$2,000	\$2,000	\$1,400	04/10/2015	

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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>
ZSSCO 2015-3(HMT)	8	\$40,000	\$40,000	\$26,000	05/21/2015	
ZSSCO 2015-4(HMT)	1	\$10,000	\$10,000	\$6,500	05/21/2015	
ZSSCO 2015-5(HMT)	1	\$10,000	\$10,000	\$6,500	05/21/2015	
ZSSCO 2015-6(HMT)	2	\$20,000	\$20,000	\$12,000	05/21/2015	
ZSSCO 2015-7(SA)	1	\$5,000	\$5,000	\$3,500	05/21/2015	
ZSSCO 2015-8(SA)	1	\$5,000	\$5,000	\$3,500	05/21/2015	
ZSSCO 2015-9(HMT)	1	\$5,000	\$5,000	\$3,500	05/21/2015	
ZSSF 2010-1(HMT)	1	\$10,000	\$10,000	\$250	04/22/2015	
ZSSF 2011-1(HMT)	1	\$5,000	\$5,000	\$800	04/22/2015	
ZSSP 2014-2(HMT)	4	\$8,000	\$8,000	\$8,000	12/18/2014	
ZSST 2013-1(HMT)	1	\$10,000	\$5,000	\$3,000	05/28/2015	Partially Terminated Violation(s): 1.
ZSST 2014-1(HMT)	1	\$5,000	\$0	\$0	05/28/2015	Case Terminated.
ZSST 2014-2(HMT)	1	\$10,000	\$10,000	\$6,000	05/28/2015	
ZSST 2014-3(HMT)	3	\$15,000	\$15,000	\$10,500	05/28/2015	
ZSST 2014-4(HMT)	3	\$20,000	\$10,000	\$5,000	05/28/2015	Partially Terminated Violation(s): 2.
ZSST 2014-7(HMT)	1	\$10,000	\$10,000	\$8,000	01/22/2015	
ZSST 2014-8(HMT)	1	\$10,000	\$10,000	\$8,000	01/22/2015	
ZSST 2014-9(HMT)	4	\$35,000	\$0	\$0	06/01/2015	Case Terminated.
ZSST 2014-10(HMT)	2	\$20,000	\$10,000	\$5,000	05/28/2015	Terminated Violation: 2.
ZSST 2014-11(HMT)	6	\$35,000	\$25,000	\$12,500	05/28/2015	Terminated Violation: 1.
ZSST 2014-12(HMT)	1	\$5,000	\$5,000	\$3,000	05/28/2015	
ZSST 2014-13(HMT)	1	\$10,000	\$10,000	\$5,000	05/28/2015	
ZSST 2015-2(HMT)	1	\$10,000	\$10,000	\$5,000	05/28/2015	
ZSST 2015-5(HMT)	1	\$5,000	\$5,000	\$3,500	05/28/2015	
ZSST 2015-6(HMT)	2	\$20,000	\$20,000	\$10,000	05/28/2015	
ZSST 2015-7(HMT)	1	\$5,000	\$5,000	\$3,500	05/28/2015	
ZSST 2015-8(HMT)	2	\$20,000	\$20,000	\$10,000	05/28/2015	
ZSVR 2015-1(HMT)	10	\$20,000	\$20,000	\$11,000	04/10/2015	
ZSWC 2014-1(HMT)	1	\$5,000	\$5,000	\$2,500	11/07/2014	
ZTDE 2014-1(HMT)	4	\$16,000	\$16,000	\$16,000	10/28/2014	
ZTERM 2013-1(HMT)	3	\$15,000	\$15,000	\$15,000	10/27/2014	
ZTERM 2013-2(HMT)	1	\$5,000	\$5,000	\$5,000	10/27/2014	
ZTERM 2015-1(HMT)	4	\$20,000	\$20,000	\$20,000	05/29/2015	
ZTFG 2014-1(HMT)	1	\$2,000	\$2,000	\$2,000	03/09/2015	
ZTGT 2013-1(HMT)	1	\$10,000	\$10,000	\$7,500	10/02/2014	
ZTGT 2014-1(HMT)	1	\$10,000	\$10,000	\$7,500	10/02/2014	
ZTIL 2013-1(HMT)	1	\$15,000	\$15,000	\$11,250	10/10/2014	
ZTIM 2014-1(HMT)	3	\$9,000	\$9,000	\$9,000	09/08/2015	
ZTQT 2012-2(HMT)	1	\$10,000	\$10,000	\$10,000	01/27/2015	
ZTQT 2013-1(HMT)	11	\$70,000	\$70,000	\$53,000	01/27/2015	
ZTQT 2013-3(HMT)	1	\$10,000	\$10,000	\$7,700	01/27/2015	
ZTQT 2014-1(HMT)	5	\$25,000	\$25,000	\$18,500	01/27/2015	
ZTQT 2014-2(HMT)	1	\$10,000	\$10,000	\$7,700	01/27/2015	
ZTQT 2014-3(HMT)	1	\$5,000	\$0	\$0	01/27/2015	Case Terminated.
ZTTM 2014-1(HMT)	1	\$5,000	\$5,000	\$3,950	08/07/2015	
ZUCL 2014-1(HMT)	1	\$2,000	\$2,000	\$2,000	11/19/2014	
ZUNIV 2013-4(HMT)	1	\$2,000	\$2,000	\$1,300	02/27/2015	
ZUNIV 2014-1(HMT)	1	\$1,000	\$1,000	\$600	02/27/2015	

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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>
ZUNIV 2014-2(HMT)	3	\$20,000	\$20,000	\$13,500	02/27/2015	
ZUNIV 2015-1(HMT)	1	\$2,000	\$2,000	\$1,400	02/27/2015	
ZUPS 2014-1(HMT)	1	\$7,500	\$7,500	\$7,500	05/01/2015	
ZURC 2013-1(HMT)	1	\$5,000	\$5,000	\$3,500	05/27/2015	
ZURC 2014-1(HMT)	1	\$5,000	\$5,000	\$3,250	05/27/2015	
ZURC 2014-3(HMT)	1	\$5,000	\$5,000	\$3,500	05/27/2015	
ZURC 2014-4(HMT)	1	\$5,000	\$5,000	\$3,250	05/27/2015	
ZURC 2015-1(HMT)	1	\$5,000	\$5,000	\$3,250	05/27/2015	
ZUSOR 2013-1(HMT)	1	\$5,000	\$5,000	\$650	04/27/2015	
ZUTC 2013-2(HMT)	3	\$15,000	\$15,000	\$15,000	03/23/2015	
ZUTC 2014-3(HMT)	2	\$12,500	\$12,500	\$12,500	10/20/2014	
ZUTC 2014-5(FCS)	2	\$7,500	\$7,500	\$7,500	12/09/2014	
ZUTC 2014-6(SA)	2	\$5,000	\$5,000	\$5,000	03/09/2015	
ZVES 2014-1(HMT)	1	\$5,000	\$5,000	\$3,500	05/18/2015	
ZVES 2015-1(HMT)	1	\$5,000	\$5,000	\$3,500	05/18/2015	
ZVPK 2015-1(HMT)	1	\$2,500	\$2,500	\$2,500	03/25/2015	
ZVTM 2014-1(HMT)	5	\$10,000	\$10,000	\$10,000	01/22/2015	
ZVYE 2013-1(HMT)	1	\$5,000	\$5,000	\$3,500	05/22/2015	
ZWGP 2015-1(HMT)	1	\$5,000	\$5,000	\$5,000	02/25/2015	
ZWMO 2013-1(HMT)	6	\$12,000	\$12,000	\$5,000	11/17/2014	
ZWMS 2014-1(HMT)	1	\$10,000	\$10,000	\$6,200	06/09/2015	
ZWMS 2014-2(HMT)	1	\$10,000	\$10,000	\$6,250	06/09/2015	
ZWMS 2015-1(HMT)	2	\$5,000	\$0	\$0	06/29/2015	Case Terminated.
ZWMS 2015-2(HMT)	2	\$15,000	\$15,000	\$10,500	06/09/2015	
ZWOI 2015-1(HMT)	1	\$2,000	\$2,000	\$1,400	07/21/2015	
ZWRE 2014-1(HMT)	4	\$35,000	\$35,000	\$27,100	11/14/2014	
ZWRE 2014-2(HMT)	8	\$40,000	\$40,000	\$24,900	11/14/2014	
ZWRQ 2014-1(HMT)	1	\$10,000	\$10,000	\$7,400	09/15/2015	
ZXCP 2014-1(HMT)	1	\$10,000	\$10,000	\$8,500	03/23/2015	
ZZCP 2014-1(HMT)	2	\$20,000	\$20,000	\$17,000	03/23/2015	
ZZCP 2014-2(HMT)	3	\$30,000	\$30,000	\$25,500	03/23/2015	
<b>Total</b>	<b>6,348</b>	<b>\$21,266,498</b>	<b>\$19,974,998</b>	<b>\$15,088,270</b>		



## Respondent

<u>Codes</u>	<u>Respondent Names</u>
AA	Ann Arbor Railroad
AB	Akron Barberton Cluster Railway Co.
ABWR	Alabama Warrior Railway, LLC.
ACEX	Altamont Corridor Express Authority
ADBF	ADRIAN & BLISSFIELD RAILROAD CO.
AGCR	Alamo Gulf Coast Railroad
AGR	Alabama & Gulf Coast Railway LLC.
ALS	The Alton and Southern Railway Company
AM	Arkansas and Missouri Railroad Company
AOK	ARKANSAS-OKLAHOMA RAILROAD COMPANY
ARR	ALASKA RAILROAD CORPORATION
ASRY	ASHLAND RAILWAY INC.
ATAX	Balfour Beatty Rail
ATK	National Railroad Passenger Corporation
ATN	ALABAMA & TENNESSEE RIVER RAILWAY, LLC
AWRR	AUSTIN WESTERN RAILROAD
AZCR	Arizona Central Railroad, Incorporated
BB	BUCKINGHAM BRANCH RAILROAD COMPANY
BCR	Bay Coast Railroad
BLR	Blacklands Railroad
BM	BOSTON AND MAINE CORPORATION
BNSF	BNSF RAILWAY COMPANY
BNSO	BNSF SUBURBAN OPERATIONS
BOP	BORDER PACIFIC RAILROAD
BPRR	BUFFALO & PITTSBURGH RAILROAD, INC.
BRC	The Belt Railway Company of Chicago
BRFD	Branford Steam Railroad
BVRR	Boise Valley Railroad, Inc.
CAGY	Columbus & Greenville Railway
CBR	Coos Bay Rail Link
CC	CHICAGO, CENTRAL & PACIFIC RAILROAD COMPANY
CCPN	Corpus Christi Terminal Railroad
CFE	Chicago, Ft. Wayne & Eastern
CFNR	CALIFORNIA NORTHERN RAILROAD CO.
CIND	THE CENTRAL RAILROAD COMPANY OF INDIANA
CIRY	CENTRAL ILLINOIS RAILROAD COMPANY
CMEM	Cargill Memphis
CN	Canadian National Railway Company
CORP	CENTRAL OREGON & PACIFIC RAILROAD, INC.

## Respondent

<u>Codes</u>	<u>Respondent Names</u>
COSR	CONNECTICUT SOUTHERN RAILROAD, INC.
CP	CANADIAN PACIFIC RAILWAY
CPDR	CAROLINA PIEDMONT DIVISION
CRSH	Consolidated Rail Corporation
CSX	CSX TRANSPORTATION, INC.
CVSX	CUYAHOGA VALLEY SCENIC RAILWAY
DAIR	D & I Railroad Company
DGNO	Dallas, Garland and Northeastern Railroad, Inc.
DH	Delaware & Hudson Railway Co., Inc.
DME	Dakota, Minnesota & Eastern Railroad Co.
DSRR	Delta Southern Railroad Company
EBRR	Exel Baytown Railroad
EIRR	Eastern Idaho Railroad
ELS	ESCANABA AND LAKE SUPERIOR RAILROAD CO.
EMRY	Eastern Maine Railway
ERAIL	ECONO-RAIL CORPORATION
ESPN	East Penn Railroad LLC
EWG	EASTERN WASHINGTON GATEWAY RAILROAD
FRRV	Frontier Rail Switch Service
GCRX	Grand Canyon Railway
GFRR	GEORGIA AND FLORIDA RAILWAY, INC.
GIMY	GITM INTERMODAL YARD
GMR	Georgia Midland Railroad, Inc.
GNBC	GRAINBELT CORPORATION
GRNW	Great Northwest Railroad
GRR	GEORGETOWN RAILROAD COMPANY
GRYR	Grenada Railroad LLC d/b/a Grenada Railway
GSWR	GEORGIA SOUTHWESTERN RAILROAD DIVISION
GWR	GREAT WESTERN RAILWAY COMPANY
HAL	Hilton & Albany Railroad, Inc.
HESR	HURON & EASTERN RAILWAY COMPANY, INC.
HPYZ	Huntsman Port Neches Performance Products
HRRC	HOUSATONIC RAILROAD COMPANY, INC.
IAIS	Iowa Interstate Railroad
IANR	IOWA NORTHERN RAILWAY COMPANY
IHB	Indiana Harbor Belt Railroad Company
INPR	Idaho Northern And Pacific Railroad
INRD	The Indiana Rail Road Company
IORY	INDIANA & OHIO RAILWAY COMPANY

## Respondent

<u>Codes</u>	<u>Respondent Names</u>
IR	ILLINOIS RAILWAY
KAW	KAW River Railroad
KCS	The Kansas City Southern Railway Company
KO	Kansas & Oklahoma Railroad, Inc.
KRR	KIAMICHI RAILROAD CO., LLC.
LAS	LOUISIANA SOUTHERN RAILROAD
LT	LAKE TERMINAL RAILROAD COMPANY
LVRX	Lehigh Valley Rail Management
MBAX	Mass Bay Commuter Railroad
MCCP	MUSKOGEE CITY-COUNTY PORT AUTHORITY
MCRL	Massachusetts Coastal Railroad LLC
MEC	Maine Central Railroad Company
MHWA	Mohawk, Adirondack & Northern Railroad Corp.
MMT	Mission Mountain Railroad
MNA	MISSOURI & NORTHERN ARKANSAS RAILROAD CO., INC.
MNCW	Metro-North Commuter Railroad Company
MNR	Maine Northern Railway Company
MSE	Mississippi Export Railroad Company
NBER	NITTANY AND BALD EAGLE
NCRC	Nebraska Central Railroad Company
NCTC	North County Transit Coaster
NDW	Napoleon, Defiance & Western Railway
NECR	NEW ENGLAND CENTRAL RAILROAD, INC.
NERR	NASHVILLE & EASTERN RAILROAD
NICD	Northern Indiana Commuter Transportation District
NIRC	Northeast Illinois Regional Commuter RR Corp.
NJTR	NEW JERSEY TRANSIT RAIL OPERATIONS
NKCR	NEBRASKA KANSAS & COLORADO RAILNET, INC.
NLR	Northern Lines Railway, LLC
NMRX	NEW MEXICO DEPARTMENT OF TRANSPORTATION
NOPB	NEW ORLEANS PUBLIC BELT RAILROAD
NYA	NEW YORK AND ATLANTIC RAILWAY COMPANY
NYSW	The New York Susquehanna and Western Railway Corp.
OHCR	Ohio Central Railroad, Inc.
OSRR	Ohio Southern Railroad, Inc.
PAL	PADUCAH & LOUISVILLE RAILWAY COMPANY
PAS	Pan Am Southern LLC.
PNWR	PORTLAND AND WESTERN RAILROAD INC.
PSAP	PUGET SOUND & PACIFIC RAILROAD

## Respondent

<u>Codes</u>	<u>Respondent Names</u>
PW	PROVIDENCE AND WORCESTER RR COMPANY
RCPE	Rapid City, Pierre & Eastern Railroad, Inc.
RRRR	Rock and Rail, LLC
RSIX	RailServe, Inc.
RVSC	RIO VALLEY SWITCHING COMPANY
SAC	San Antonio Central Railroad, LLC.
SBG	Savage Bingham & Garfield Railroad Company
SCAX	Southern California Regional Rail Authority
SCR	Souder Commuter Rail
SCX	Santa Cruz and Monterey Bay Railway Co.
SEPA	Southeastern Pennsylvania Transportation Authority
SGLR	SEMINOLE GULF RAILWAY LP
SJVR	San Joaquin Valley Railroad Co.
SKOL	South Kansas and Oklahoma Railroad Company
SLAL	South Plains Lamesa Railroad, Ltd.
SLRG	SAN LUIS & RIO GRANDE RAILROAD
SLWC	Stillwater Central Railroad Co., Inc.
SMRT	Sonoma Marin Area Rail Transit (SMART)
SNC	Saratoga & North Creek Railway, LLC
SOU	Norfolk Southern Railway Company
SRC	STRASBURG RAILROAD COMPANY
SS	SAND SPRINGS RAILWAY COMPANY
ST	SPRINGFIELD TERMINAL RAILWAY COMPANY
STMA	ST. MARIES RIVER RAILROAD
SW	Southwestern Railroad, Inc.
TCT	TEXAS CITY TERMINAL RAILWAY COMPANY
TIBR	Timber Rock Railroad Company, Inc.
TN	TEXAS & NORTHERN RAILWAY COMPANY
TNMR	TEXAS & NEW MEXICO RAILWAY COMPANY T
TPW	ledo, Peoria and Western Railway Corp.
TRRA	Terminal Railroad Association of St. Louis
TSR	TEXAS STATE RAILROAD
TSU	TULSA-SAPULPA UNION RAILWAY COMPANY
TXGN	TEXAS, GONZALES & NORTHERN RAILWAY CO.
TXPF	Texas Pacifico Transportation, Ltd.
TZPR	TAZEWELL & PEORIA RAILROAD INC.
UP	Union Pacific Railroad Company
URR	Union Railroad Company
USRO	U S Rail Corp./Ohio

## Respondent

<u>Codes</u>	<u>Respondent Names</u>
VSOR	VICKSBURG SOUTHERN RAILROAD
WATX	WATCO Switching
WC	WISCONSIN CENTRAL LTD.
WCRL	West Chester RR Company
WE	Wheeling & Lake Erie Railway Company
WIR	Washington and Idaho Railway, Inc.
WNYP	WESTERN NEW YORK & PENNSYLVANIA RAILROAD
WSOR	WISCONSIN & SOUTHERN RAILROAD
WTLC	West Texas and Lubbock Railway Company
WW	WINCHESTER AND WESTERN RAILROAD COMPANY
XAHA	ACE Hardware
XAOS	Asphalt Operating Services of Chicago
XASA	All States Asphalt, Inc.
XATH	ARC TERMINALS HOLDINGS, LLC
XBAL	Balchem Corporation
XCAI	Cargill, Inc.
XCIC	Corsicana Technologies Inc.
XCNS	Celanese Ltd.
XCRO	CROSSTEX
XCRP	Crop Products Services
XCRZ	Consolidated Recycling Company
XEXG	Excel Group
XGCB	Gulf Coast Bulk Equipment, Inc.
XGCQ	GULBRANDSEN COMPANY
XGDF	GEO DRILLING FLUIDS, INC.
XGEO	Georgia Pacific, LLC.
XJSW	J S West and Company
XMBR	Mobile Railcar Cleaning D/B/A Waycross Railcar
XMKW	Markwest Energy Partners, L.P.
XMOC	Monsanto Company
XPRS	PROGRESS RAIL SERVICES CORPORATION
XRPI	Rail Pros, Inc.
XSSP	Solvay Specialty Polymers USA, LLC.
XSTL	Streamline
XTII	Tree Island Industries
XUSE	U.S. ENVIRONMENTAL SERVICES, LLC
XWFA	Western Fuels Association, Inc.
XWHS	Warehouse Services Inc.
XWLF	Assoc. Energy Ser.-Wildcat LO Facility

## Respondent

<u>Codes</u>	<u>Respondent Names</u>
XWTS	Watco Transportation Services
ZABEQ	Abengoa Bioenergy Operations, LLC
ZABO	Agribiofuels LLC
ZACH	ASHTA CHEMICALS, INC.
ZADN	The Andersons, Inc.
ZADR	Archer Daniels Midland Co.
ZAEN	Altex Energy, Ltd.
ZAER	AEROPRES CORPORATION
ZAGT	AmeriGas Propane L.P.
ZAKE	ARKALON ETHANOL
ZAKN	Akzo Nobel Functional Chemicals LLC
ZAKQ	AK Steel Corporation
ZAKZ	Akzo Nobel Chemicals, Inc.
ZALB	Albaugh, LLC
ZALN	ALON, USA, LP
ZALQ	Air Liquide Industrial U.S. LP
ZALTS	ALPHA TECHNICAL SERVICES
ZAMC	ARCHER DANIELS MIDLAND CO.
ZAMRI	AMERICAN RAILCAR INDUSTRIES
ZAMU	ArrMaz Custom Chemicals
ZANT	ANTELOPE REFINING LLC
ZAO	Apex Oil Company, Inc.
ZAPL	AMERICAN PRESIDENT LINES, LTD.
ZAPM	Ascend Performance Materials LLC
ZAQA	Aquaquim, S.A. DE C.V.
ZARCI	ARIZONA CHEMICAL INC.
ZARE	AVENTINE RENEWABLE ENERGY, INC.
ZARJ	Arrow Material Services
ZARK	ARKEMA, INC.
ZATO	Atlas Oil Company
ZAUG	Agrium
ZAXE	Axeon Specialty Products
ZAXI	Axiall Corporation
ZBAS	BASF CORPORATION
ZBCX	BCP Ingredients
ZBDG	Bioenergy Development Group, LLC.
ZBEO	Berthold Oil Terminal
ZBEP	Buckeye Partners
ZBMS	BRENNTAG MID-SOUTH, INC.

## Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZBOB	Boucher Brothers Services
ZBSN	Basin Transload, LLC
ZBSP	Bi-State Petroleum Co.
ZBSY	BAE Systems
ZBTX	BLEACHTECH LLC
ZBTZ	Bio Trans Intermodal
ZCAMC	CAMCO CHEMICAL COMPANY, INC.
ZCBL	Carbide Industries, LLC
ZCCW	BP AMOCO CHEMICAL COMPANY
ZCCY	CORAL CHEMICAL COMPANY
ZCDF	Consolidated Aviation Fueling
ZCEE	Centennial Energy
ZCELA	Celanese
ZCEV	Cenovus Energy
ZCFX	CN CargoFlo
ZCGQ	Cargois Inc.
ZCGZ	Changzhou Henglong Chemical Company LTD
ZCHEV	Chevron Products Company
ZCHV	CHEVRON CHEMICAL CO.
ZCHX	CLEAN HARBORS ENVIRONMENTAL SERVICES, INC.
ZCIL	Citilube, Inc.
ZCJZ	Caljet of America
ZCLQ	CORN LP
ZCLU	CALUMET SPECIALTY PRODUCTS PARTNERS L.P.
ZCLX	CHEMTRADE LOGISTICS
ZCMW	Chemco, Inc.
ZCO2	Chemical Solvents
ZCPCL	Chevron Phillips Chemical Company LP
ZCPN	COOPER NATURALS RESOURCES
ZCRB	CONRAD AND BISCHOFF
ZCRY	CHEMTRADE REFINERY SERVICES, INC.
ZCRZ	Cornerstone Chemical Company
ZCSU	Calumet Superior, LLC
ZCTG	Citgo Petroleum Corporation Consolidated
ZCTN	Terminal & Logistics
ZCVE	CHIPPEWA VALLEY ETHANOL COMPANY
ZCXU	Canexus Corporation
ZCYZ	CYANCO
ZDCG	Delta Companies Group

## Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZDCZ	Deltech Corporation
ZDGO	DIXIE GAS AND OIL CORPORATION
ZDUK	DUKE ENERGY
ZDUP	E.I. DUPONT DE NEMOURS AND COMPANY
ZDWC	Delaware City Refining Company LLC
ZDYI	DYNO NOBEL, INC.
ZEACH	EASTMAN CHEMICAL COMPANY
ZEAL	NRC Alaska, LLC d/b/a Emerald Alaska
ZECB	EES COKE BATTERY LLC
ZECE	ENCEE CHEMICAL SALES, INC.
ZEEN	ECO ENERGY
ZELM	Elementis Global LLC
ZEMB	ExxonMobil Oil Corporation
ZEMCC	ExxonMobil Corporation
ZEMER	EMERALD SERVICES, INC.
ZENK	EnLink Midstream
ZENM	Waskom Gas Processing Company
ZEOB	ECOLAB, Inc.
ZERV	Elbow River Marketing Ltd
ZETX	Energy Partners, LLC.
ZEVD	Evonik Corporation
ZEXM	EXXONMOBIL
ZFHR	FLINT HILLS RESOURCES
ZFMP	EAST PENN MANUFACTURING CO., INC.
ZFPC	FORMOSA PLASTICS CO.
ZFRQ	POET Biorefining-Gowrie
ZFRZ	FRONTIER REFINING, LLC COMPANY
ZFUF	FUTURE FUEL CHEMICAL COMPANY
ZGACC	GENERAL ALUM & CHEMICAL CORP.
ZGGE	GOLDEN GRAIN ENERGY
ZGGP	Golden Gate Petroleum
ZGLB	Global Companies LLC
ZGPE	GREEN PLAINS RENEWABLE ENERGY
ZGPF	GEORGIA-PACIFIC CHEMICALS LLC
ZGRE	GRANITE FALLS ENERGY
ZGRL	GOODWAY REFINING, LLC
ZGSZ	SGS
ZHAP	Haviland Products Co.
ZHAZ	Haviland Chemical



## Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZHCG	HUNTSMAN CORPORATION
ZHCH	HELENA CHEMICAL COMPANY
ZHCO	HOLLAND COMPANY, INC.
ZHCQ	Heritage-Crystal Clean, LLC
ZHEW	Huber Engineered Woods LLC
ZHFO	Houston Fuel Oil Terminal Co.
ZHFR	HollyFrontier Refining & Marketing
ZHGQ	HUB GROUP, INC.
ZHKR	Hankinson Renewable Energy
ZHLE	HOMELAND ENERGY SOLUTIONS, LLC
ZHLPG	HILGY'S LP GAS
ZHLU	Husky Lloydminster Upgrader
ZHMS	Husky Marketing and Supply Co.
ZHNI	Honeywell International, Inc.
ZHOI	Husky Oil Operations
ZHPR	HUNTSMAN PERFORMANCE PRODUCTS
ZHRF	Hartland Renewable Fuels
ZHRH	Hondo Railhead Energy, Inc.
ZHRM	HOLLY ENERGY PARTNERS
ZHUC	HELM U.S. CORPORATION
ZHUN	Huntsman Chemical Corporation
ZHWH	Honeywell International, Inc.
ZIBO	IROQUOIS BIO-ENERGY COMPANY, LLC
ZICH	INTERNATIONAL CHEMICAL COMPANY (Inter-Chem)
ZIMO	Imperial Oil Limited
ZIMT	IMTT, INC.
ZINO	INEOS OXIDE
ZINTT	International Matex Tank Terminals
ZIP	INTERNATIONAL PAPER COMPANY
ZIRO	IRVING OIL COMPANY
ZITT	INTERCONTINENTAL TERMINALS COMPANY
ZIVS	INVISTA S.A.R.L.
ZKDM	Kinder Morgan Energy Partners, L.P.
ZKFC	KOCH FERTILIZER CANADA, ULC
ZKML	Kinder Morgan Liquids Terminals, LLC
ZKMQ	Kinder Morgan
ZKMT	KMCO Port Arthur d/b/a KMTEX
ZKOI	Koch Fertilizer LLC
ZKPI	Koppers Inc.

## Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZKUG	Kugler Company LBC
ZLBR	Baton Rouge LBC
ZLHP	HOUSTON, LP
ZLON	LONZA, INC.
ZMAX	METHANEX METHANOL COMPANY
ZMBL	Montebello Brands Inc.
ZMERL	Merisol USA LLC
ZMFQ	Mosaic Fertilizer LLC
ZMFS	MID-CONTINENT FRACTIONATION AND STORAGE, LLC
ZMGD	MGPI of Indiana, LLC
ZMGP	MIDWEST GRAIN PRODUCTS, INC.
ZMIF	MIDWEST INDUSTRIAL FUELS, INC.
ZMIP	MAERSK LINE, INC.
ZMJR	Moose Jaw Refinery Partnership
ZMKJ	Mizkan Americas, Inc.
ZMMPL	Magellan Pipeline Company, L.P.
ZMMT	MICHIGAN MARINE TERMINAL
ZMNB	Magnablend, Inc.
ZMOB	Mobil Transloading Ltd.
ZMOM	Momentive Specialty Chemicals Inc.
ZMOR	MRCX Mobile Railcar Cleaning LLC d/b/a/ Waycross R
ZMRK	Maersk Line
ZMROC	MOBILE ROSIN OIL COMPANY, INC.
ZMSQ	Microchem Specialties Corporation Ltd.
ZMTE	MOTIVA ENTERPRISES, LLC
ZMTT	Midwest Terminals of Toledo International, Inc.
ZMUSK	MUSKET CORPORATION
ZMWC	MeadWestvaco Corporation
ZMWE	Midwest Renewable Energy, LLC
ZMYT	Manly Terminal
ZNAL	Nalco Company
ZNBA	Noble Americas Corp.
ZNBS	NOBLE OIL SERVICES, INC.
ZNDM	Domtar Paper Company, LLC
ZNEW	Newalta Corporation
ZNSE	NUSTAR TERMINALS PARTNERS TEXAS, L.P.
ZNSG	NORTH STAR GAS LTD, CO.
ZNSL	NGL SUPPLY COMPANY, LTD.
ZNUS	NuStar Terminals Operations Partnership L.P.

## Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZNXE	Nexeo Solutions Company
ZOBS	OWENSBORO SPECIALTY POLYMERS, INC.
ZOCC	Occidental Chemical Corporation
ZOLC	OLIN CORPORATION
ZOLI	OLIN CORPORATION
ZOPM	Optimodal, Inc.
ZOTER	ODFJELL TERMINALS (HOUSTON), INC.
ZOTL	Omnitrax Logistics Services
ZOTT	Oiltanking Texas City L.P.
ZOWS	OWS RAIL CAR, INC.
ZOXV	OxyVinyls, LP
ZPBD	POET Biorefining-Chancellor
ZPBF	PBF Energy
ZPCP	Petro Chem Processing, Inc.
ZPHN	Philadelphia Energy Solutions
ZPKG	PACKAGING CORPORATION OF AMERICA
ZPLS	PLAINS LPG SERVICES, L.P.
ZPMA	PLAINS MARKETING COMPANY
ZPMS	Plains Midstream Canada, LLC
ZPPG	Pittsburgh Plate Glass Co.
ZPQC	PQ CORPORATION
ZPRF	PATRIOT RENEWABLE FUELS, LLC
ZPRTI	PEORIA RIVER TERMINAL, INC.
ZPRX	PRAXAIR, INC.
ZPSX	Phillips 66 Company
ZPTR	PETRO CANADA
ZPVS	PVS Chemicals, Inc.
ZPVT	PVS TECHNOLOGIES, INC.
ZRCA	Ruetgers Canada, Inc.
ZRKM	Rocky Mountain Transload
ZRKT	ROCKTENN CP, LLC
ZRLG	Rail Link
ZRLO	Rail Loading Services, LLC
ZRLS	RAIL SERVICES, INC.
ZROM	Rochester Midland Corporation
ZRRQ	Road & Rail Services, Inc.
ZRRV	Railservice, Inc.
ZSASN	SASOL CHEMICALS NORTH AMERICA
ZSAV	Savage Industries

## Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZSCC	SHELL CHEMICAL LP
ZSCT	SOUTH COAST TERMINALS
ZSDA	Shandong Acid Import & Export
ZSDV	SDV USA
ZSDZ	Schenley Distillers, Inc.
ZSED	Stepan Canada, Inc.
ZSEU	SUNCOR ENERGY (USA), INC.
ZSHL	Shell Canada Products
ZSI	Southern Ionics, Inc.
ZSKI	Safety-Kleen Systems, Inc.
ZSLQ	Sunoco Logistics
ZSRZ	St. Paul Park Refining Co. LLC
ZSSCO	SAVAGE SERVICES CORPORATION
ZSSF	Savage Flexi Flow
ZSSP	Southern States Chemical
ZSST	Strobel Starostka Transfer
ZSVR	Savage CANAC Corporation
ZSWC	Sherwin-Williams Company
ZTDE	TIDAL ENERGY MARKETING INC
ZTERM	TESORO REFINING AND MARKETING CO.
ZTFG	Trafigura Terminals
ZTGT	Targa Transportation, LLC
ZTIL	TERRA INTERNATIONAL
ZTIM	Tilden Mining Company
ZTQT	Torq Transloading, Inc.
ZTTM	Tradebe Treatment and Recycling, LLC
ZUCL	UNIVAR CANADA LTD.
ZUNIV	UNIVAR USA INC.
ZUPS	UNITED PARCEL SERVICE, INC.
ZURC	UNITED REFINING COMPANY
ZUSOR	U.S. OIL AND REFINING COMPANY
ZUTC	UNION TANK CAR COMPANY
ZVES	Veolia ES Technical Solutions, L.L.C.
ZVPK	Vopak USA
ZVTM	Vopak Terminals of Canada
ZVYE	POET Biorefining-Emmetsburg
ZWGP	Woodgate Petroleum Company
ZWMO	WILLIAMS OLEFINS LLC
ZWMS	Williams Ohio Valley Midstream, LLC

Codes

Respondent Names

ZWOI

Warren Unilube Inc.

ZWRE

WESTERN REFINING COMPANY

ZWRQ

Wynnewood Refining Company, LLC

ZXCP

Crescent Point Energy

ZZCP

Crescent Point Resources, Ltd.