

**Federal
Railroad
Administration**

Fiscal Year 2011

Enforcement Report

Table of Contents

- I. Introduction
- II. Summary of Inspections and Audits Performed and of Enforcement Actions Recommended in FY 2011
 - A. Railroad Safety and Hazmat Compliance Inspections and Audits
 - 1. All Railroads and Other Entities (E.g., Hazmat Shippers) Except Individuals
 - 2. Railroads Only
 - B. Summary of Railroad Safety Violations Cited by Inspectors, by Regulatory Oversight Discipline
 - 1. Accident/Incident Reporting
 - 2. Grade Crossing Signal System Safety
 - 3. Hazardous Materials
 - 4. Motive Power and Equipment
 - 5. Railroad Operating Practices
 - 6. Signal System Safety
 - 7. Track
 - C. FRA and State Inspections of Railroads, Sorted by Railroad Type
 - 1. Class I Railroads
 - 2. Probable Class II Railroads
 - 3. Probable Class III Railroads
 - D. Inspections and Recommended Enforcement Actions, Sorted by Individual Class I Railroad
 - 1. BNSF Railway Company
 - 2. Canadian National Railway/Grand Trunk Corporation
 - 3. Canadian Pacific Railway/Soo Line Railroad Company
 - 4. CSX Transportation, Inc.
 - 5. The Kansas City Southern Railway Company
 - 6. National Railroad Passenger Corporation (Amtrak)
 - 7. Norfolk Southern Railway Company
 - 8. Union Pacific Railroad Company
- III. Civil Penalty Assessment and Settlement Summaries in FY 2011
 - A. In General
 - B. Summary 1—Brief Summary with Focus on Initial Assessments Transmitted
 - C. Breakdown of Initial Assessments in Summary 1
 - 1. For Each Class I Railroad Individually in FY 2011
 - 2. For Probable Class II Railroads in Aggregate in FY 2011
 - 3. For Probable Class III Railroads in Aggregate in FY 2011
 - 4. For Hazmat Shippers in Aggregate in FY 2011
 - 5. For Contractors in Aggregate in FY 2011
 - D. Summary 2—More Detailed Summary of Settlements and Final Assessments of Civil Penalties
 - E. Breakdown of Settlements and Final Assessments in Summary 2
 - 1. For Each Class I Railroad Individually in FY 2011

2. For Probable Class II Railroads in Aggregate in FY 2011
 3. For Probable Class III Railroads in Aggregate in FY 2011
 4. For Hazmat Shippers in Aggregate in FY 2011
 5. For Contractors in Aggregate in FY 2011
- IV. Enforcement Actions against Individuals in FY 2011
 - A. Civil Penalty Cases against Individuals in Aggregate
 - B. Other Enforcement Actions against Individuals in Aggregate
 - V. Discussion of Railroad Safety—Relationship of Inspections, Enforcement, and Accidents or Incidents
 - A. In General
 - B. 2009 Report to Congress on Use of Civil Penalties in the Federal Railroad Safety Program
 - VI. Summary and Analysis of Locomotive Engineer Certification Cases
 - A. Locomotive Engineer Review Board
 - B. Administrative Hearings
 - C. Appeals to the Administrator
 - VII. Summary and Analysis of Administrative Hearing Cases Related to Hazmat Violations or Enforcement Actions against Individuals
 - VIII. Number of Cases Referred to the Attorney General for Civil or Criminal Enforcement
 - IX. Number and Subject Matter of Compliance Orders, Emergency Orders, or Precursor Agreements

Appendix A—“Railroad Safety Civil Penalty Cases Closed during Fiscal Year 2011”

Federal Railroad Administration Fiscal Year 2011 Enforcement Report

I. INTRODUCTION

The Federal Railroad Administration (FRA) has for at least the past 26 years compiled an annual civil penalty report that summarized the disposition of all instances in which FRA settled a claim for a civil penalty for violations of Federal railroad safety and hazardous materials (hazmat) statutes, regulations, and orders or in which FRA otherwise closed a case to collect a civil penalty for such a violation.¹ By law, FRA is authorized to endeavor to enter into negotiated settlements with railroads and other entities subject to its safety jurisdiction, in order to reach agreement on the resolution of claims for civil penalties imposed for failures to comply with specific requirements designed to promote and ensure the safety of the Nation's freight and passenger railroad operations.² FRA is also authorized to issue orders assessing civil penalties for violations of the hazardous materials statutes, regulations, and orders.³

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

The following information is included in this year's report, which focuses on activity during FY 2011:

- A summary of all rail safety and hazmat compliance inspections and audits by FRA or State inspectors and enforcement actions taken by FRA;
- A summary of FRA civil penalty enforcement actions sorted by type of alleged violation and type of respondent, including railroads, shippers of hazmat (hazmat shippers), contractors, and individuals;

¹ See primarily title 49 of the United States Code, chapters 201-213 and 51, respectively (49 U.S.C. ch. 201-213 and 51, respectively), title 49 of the Code of Federal Regulations (C.F.R.), subtitle B, chapter II (parts 209-244) and chapter I, subchapter C, Hazardous Materials Regulations, respectively; 49 U.S.C. § 103; and 49 C.F.R. 1.49.

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

³ 49 U.S.C. ch. 51; 49 C.F.R. 1.49; 49 C.F.R. part 209.

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

- A discussion of the relationship between inspections and enforcement actions, and the number and rate of reportable accidents and incidents, and railroad safety;
- An analysis of locomotive engineer certification cases brought before FRA;
and
- A line-item listing of all civil penalty cases closed by FRA (at Appendix A to this report).

**II. SUMMARY OF INSPECTIONS AND AUDITS PERFORMED
AND OF ENFORCEMENT ACTIONS RECOMMENDED
IN FY 2011**

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

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

Number of Reports: 70,730
Defects: 286,350
Units: 3,431,811
Number of Observations: 304,217
Number of Reports with a Recommended Violation: 4,332
Number of Recommended Violation Defects: 8,959
Number of Inspection Days: 53,206

2. Railroads Only

Number of Reports: 65,218
Defects: 271,482
Units: 3,316,255
Number of Observations: 280,010
Number of Reports with a Recommended Violation: 3,648
Number of Recommended Violation Defects: 7,234
Number of Inspection Days: 50,474

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

1. Accident/Incident Reporting

Violation Type	Number of Recommended Violations
Accident Reports Regulations	210

2. Grade Crossing Signal System Safety

Violation Type	Number of Recommended Violations
Grade Crossing Signal Safety	319

3. Hazardous Materials

Violation Type	Number of Recommended Violations
Hazardous Materials Regulations	2,272

4. Motive Power and Equipment

Violation Type	Number of Recommended Violations
Freight Car Safety Standards	557
Locomotive Safety Standards	525
Passenger Equipment Safety Standards	70
Passenger Train Emergency Preparedness	2
Rear End Marking Devices	6
Safety Appliance Statutes and Regulations	1,705
Safety Glazing Standards	10
Steam Locomotive Inspection and Maintenance	1
All	2,876

5. Railroad Operating Practices

Violation Type	Number of Recommended Violations
Alcohol and Drug Use	56
Engineer Qualifications	145
FRA Emergency Order No. 24/26	13
Hours of Service Laws and Regulations	685
Railroad Communications	95
Railroad Operating Practices	760
Railroad Operating Rules	40
Railroad Safety Enforcement Procedures	28
Train Horn/Quiet Zone	19
All	1,841

6. Signal System Safety

Violation Type	Number of Recommended Violations
Signal Inspection Regulations	210

7. Track

Violation Type	Number of Recommended Violations
Bridge Worker Safety Standards	1
Roadway Worker Protection	139
Track Safety Standards	1,097
All	1,237

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

1. Class I Railroads

Number of Reports: 48,995
Defects: 205,033
Units: 2,695,387
Number of Observations: 215,025
Number of Reports with a Recommended Violation: 2,954
Number of Recommended Violation Defects: 5,909
Number of Inspection Days⁵: 38,735

2. Probable Class II Railroads⁶

Number of Reports: 2,134
Defects: 11,621
Units: 131,409
Number of Observations: 9,318
Number of Reports with a Recommended Violation: 101
Number of Recommended Violation Defects: 179
Number of Inspection Days: 1,848

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

⁶ FRA has identified seven of the eight Class I railroads based on their filings of information for calendar year 2010—the latest year available—(regarding their annual operating revenues) with the Surface Transportation Board (STB). See STB Web site (<http://www.stb.dot.gov>) under “All Economic Data” and then “Annual Report Financial Data.” FRA has identified the eighth Class I railroad, the National Railroad Passenger Corp. (Amtrak) based on FRA research into other data. STB requires such filings only from Class I railroads. See 49 C.F.R. 1241.11 and Ex Parte No. 393 (Sub-No. 2), decided Oct. 28, 1988, 1988 WL 224990 (I.C.C.). As a general rule, Class II and III railroads are not required to report their annual operating revenues; therefore, FRA has identified probable Class II railroads and probable Class III railroads based on its research of railroad revenues, which does not cover commuter railroads. FRA concludes that the following railroads are probably Class II railroads: Alaska Railroad Corp.; Buffalo & Pittsburgh Railroad, Inc.; Florida East Coast Railway Co.; Illinois & Midland Railroad, Inc.; Iowa Interstate Railroad, Ltd.; Missouri & Northern Arkansas Railroad; Montana Rail Link; Montreal, Maine and Atlantic Railway, Ltd.; Portland & Western Railroad, Inc.; Springfield Terminal Railway Co. and other regional railroads of Boston & Maine Corp., Maine Central Railroad Co., and Portland Terminal Co. (*all held by Pan Am Railways, Inc.*); Wheeling & Lake Erie Railway Co.; and Wisconsin & Southern Railroad Co. It should be noted that switching and terminal railroads are, by definition, classified as Class III railroads, without regard to their annual operating revenues. 49 C.F.R. 1201.1-1(d).

3. Probable Class III Railroads

Number of Reports: 14,073
Defects: 54,682
Units: 488,995
Number of Observations: 55,606
Number of Reports with a Recommended Violation: 589
Number of Recommended Violation Defects: 1,111
Number of Inspection Days: 11,849

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

1. BNSF Railway Company

Number of Violation Reports: 9,202
Defects: 41,380
Units: 478,505
Number of Observations: 39,493
Number of Reports with a Recommended Violation: 675
Number of Recommended Violation Defects: 1,357
Number of Inspection Days: 7,638

2. Canadian National Railway/Grand Trunk Corporation

Number of Violation Reports: 2,943
Defects: 11,139
Units: 182,551
Number of Observations: 12,927
Number of Reports with a Recommended Violation: 219
Number of Recommended Violation Defects: 564
Number of Inspection Days: 2,401

3. Canadian Pacific Railway/Soo Line Railroad Company

Number of Violation Reports: 1,427
Defects: 6,588
Units: 94,321
Number of Observations: 6,013
Number of Reports with a Recommended Violation: 125
Number of Recommended Violation Defects: 255
Number of Inspection Days: 1,160

4. CSX Transportation, Inc.

Number of Violation Reports: 11,064
Defects: 48,439
Units: 620,779
Number of Observations: 50,211
Number of Reports with a Recommended Violation: 503
Number of Recommended Violation Defects: 1,019
Number of Inspection Days: 9,275

5. The Kansas City Southern Railway Company

Number of Violation Reports: 1,233
Defects: 5,984
Units: 69,418
Number of Observations: 5,610
Number of Reports with a Recommended Violation: 60
Number of Recommended Violation Defects: 192
Number of Inspection Days: 1,055

6. National Railroad Passenger Corporation (Amtrak)

Number of Violation Reports: 2,038
Defects: 2,809
Units: 42,759
Number of Observations: 7,733
Number of Reports with a Recommended Violation: 113
Number of Recommended Violation Defects: 139
Number of Inspection Days: 1,581

7. Norfolk Southern Railway Company

Number of Violation Reports: 8,142
Defects: 36,892
Units: 538,609
Number of Observations: 36,525
Number of Reports with a Recommended Violation: 388
Number of Recommended Violation Defects: 755
Number of Inspection Days: 6,953

8. Union Pacific Railroad Company

Number of Violation Reports: 12,946
Defects: 51,802
Units: 668,445
Number of Observations: 56,513
Number of Reports with a Recommended Violation: 871
Number of Recommended Violation Defects: 1,628
Number of Inspection Days: 10,673

Note on Timing of FRA Inspections:

During calendar year 2011 up to November 10, FRA increased the proportion of time spent in evening, night, holiday, and weekend safety inspections by more than 36 percent over the proportion of time spent for such inspections in all of calendar year 2009. These inspections made outside of FRA inspectors' normal shift (8 a.m.-4:30 p.m.) reflect the 24-hour railroad operating environment and provide increased FRA presence during these hours.

III. CIVIL PENALTY ASSESSMENT AND SETTLEMENT SUMMARIES IN FY 2011

A. IN GENERAL⁷

Summary 1

Assessment and Settlement Summary 1, below, reflects—

- the number of violations for which civil penalties were initially assessed and violation reports were transmitted to respondents (under demand letters or, in cases under the hazmat laws, notices of probable violation) during FY 2011;
- the number of violation reports enforcement of which was declined during legal review in FY 2011;
- the initial amount of civil penalties assessed for violations during FY 2011 (i.e., the amount of the civil penalty specified in FRA’s demand letter or, for hazmat cases, a notice of probable violation that was dated sometime in FY 2011 and transmitted to a respondent) regardless of whether or not the cases were closed during FY 2011;
- the initial amount of the civil penalties assessed (which is the “potential collectible amount” or “POCA”, as listed in FRA’s traditional civil penalty report in Attachment A) in all cases that were settled or otherwise closed (e.g., by FRA’s issuance of order finally assessing a civil penalty in an HMT case or by the respondent’s paying the civil penalty in full without entering into a settlement agreement with FRA) during FY 2011; and
- the final amount of the settlement (or the final amount of the civil penalties assessed) during FY 2011.⁸

Summary 1 provides a broad overview of penalties initially assessed during FY 2011, the initial penalty assessment for cases closed during FY 2011, and the amount of the settlement or the final assessment of civil penalty, with an emphasis on the initial assessment of civil penalties.

Summary 2

To provide more transparency, Assessment and Settlement Summary 2, below, reflects initial assessment information only for those cases closed during FY 2011. **All numbers in Summary 2 reflect the initial assessments that resulted in FY 2011 settlements even though the initial assessments may have occurred in a prior fiscal year.** This summary provides the reader

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

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

with (1) the difference between the initial amount of civil penalties assessed and the settlement (or final assessment) amount, and (2) the difference between the revised assessment amount (or what Attachment A describes as the “provable collectible amount” or “PRCA”) and the final assessment or settlement amount.

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

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

Total number of cases with civil penalties initially assessed in FY 2011:	2,996
Total number of violations with civil penalties initially assessed in FY 2011:	5,937
Total number of violation reports declined during legal review in FY 2011:	703
Total initial amount of civil penalties assessed (POCA) for violations in cases transmitted in FY 2011:	\$22,753,750
Total initial amount of civil penalties assessed (POCA) for violations in cases finally assessed or settled in FY 2011:	\$22,708,000
Total final civil penalty assessment or settlement in FY 2011:	\$14,969,153

C. BREAKDOWN OF INITIAL ASSESSMENTS IN SUMMARY 1

1. For Each Class I Railroad Individually in FY 2011

BNSF RAILWAY COMPANY

Number of cases with civil penalties initially assessed:	356
Number of violations with civil penalties initially assessed:	822
Number of violation reports declined during legal review:	67
Initial amount of civil penalty assessed:	\$3,211,500

CANADIAN NATIONAL RAILWAY/GRAND TRUNK CORPORATION

Number of cases with civil penalties initially assessed:	152
Number of violations with civil penalties initially assessed:	431
Number of violation reports declined during legal review:	5
Initial amount of civil penalty assessed:	\$1,119,000

CANADIAN PACIFIC RAILWAY/SOO LINE RAILROAD COMPANY

Number of cases with civil penalties initially assessed:	87
Number of violations with civil penalties initially assessed:	157
Number of violation reports declined during legal review:	22
Initial amount of civil penalty assessed:	\$502,500

CSX TRANSPORTATION, INC.

Number of cases with civil penalties initially assessed:	392
Number of violations with civil penalties initially assessed:	799
Number of violation reports declined during legal review:	217
Initial amount of civil penalty assessed:	\$2,735,500

THE KANSAS CITY SOUTHERN RAILWAY COMPANY

Number of cases with civil penalties initially assessed:	41
Number of violations with civil penalties initially assessed:	95
Number of violation reports declined during legal review:	10
Initial amount of civil penalty assessed:	\$381,000

NATIONAL RAILROAD PASSENGER CORPORATION (AMTRAK)

Number of cases with civil penalties initially assessed:	15
Number of violations with civil penalties initially assessed:	16
Number of violation reports declined during legal review:	37
Initial amount of civil penalty assessed:	\$47,500

NORFOLK SOUTHERN RAILWAY COMPANY

Number of cases with civil penalties initially assessed:	304
Number of violations with civil penalties initially assessed:	497
Number of violation reports declined during legal review:	97
Initial amount of civil penalty assessed:	\$1,883,000

UNION PACIFIC RAILROAD COMPANY

Number of cases with civil penalties initially assessed:	539
Number of violations with civil penalties initially assessed:	1,420
Number of violation reports declined during legal review:	93
Initial amount of civil penalty assessed:	\$5,417,500

2. **For Probable Class II Railroads in Aggregate in FY 2011**

Number of cases with civil penalties initially assessed:	72
Number of violations with civil penalties initially assessed:	108
Number of violation reports declined during legal review:	51
Initial amount of civil penalty assessed:	\$420,000

3. **For Probable Class III Railroads in Aggregate in FY 2011**

Number of cases with civil penalties initially assessed:	442
Number of violations with civil penalties initially assessed:	700
Number of violation reports declined during legal review:	79
Initial amount of civil penalty assessed:	\$2,506,750

4. **For Hazmat Shippers in Aggregate in FY 2011**

Number of cases with civil penalties initially assessed:	560
Number of violations with civil penalties initially assessed:	836
Number of violation reports declined during legal review:	25
Initial amount of civil penalty assessed:	\$4,307,500

5. For Contractors in Aggregate in Fiscal Year 2011

Number of cases with civil penalties initially assessed:	36
Number of violations with civil penalties initially assessed:	56
Number of violation reports declined during legal review:	0
Initial amount of civil penalty assessed:	\$222,000

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

Total number of cases closed in FY 2011:	3,038
Total number of violations in cases closed in FY 2011:	6,211
Total initial amount of civil penalty assessed for cases closed (POCA):	\$22,708,000
Total final amount of civil penalty assessed or settlement for cases closed:	\$14,969,153
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$894,500
Amount of revised assessment after terminations (PRCA):	\$21,813,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$7,738,847
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$6,844,347

E. BREAKDOWN OF SETTLEMENTS AND FINAL ASSESSMENTS IN SUMMARY 2

1. For Each Class I Railroad Individually in FY 2011

BNSF RAILWAY COMPANY

Number of cases closed:	430
Number of violations in cases closed:	974

Initial amount of civil penalty assessed for cases closed (POCA):	\$3,599,500
Final amount of civil penalty assessed or settlement for cases closed:	\$2,293,045
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$34,000
Amount of revised assessment after terminations (PRCA):	\$3,565,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$1,306,455
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$1,272,455

CANADIAN NATIONAL RAILWAY/GRAND TRUNK CORPORATION

Number of cases closed:	119
Number of violations in cases closed:	359
Initial amount of civil penalty assessed for cases closed (POCA):	\$932,000
Final amount of civil penalty assessed or settlement for cases closed:	\$631,885
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$5,000
Amount of revised assessment after terminations (PRCA):	\$927,000
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$300,115
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$295,115

CANADIAN PACIFIC RAILWAY/SOO LINE RAILROAD COMPANY

Number of cases closed:	80
Number of violations in cases closed:	138

Initial amount of civil penalty assessed for cases closed (POCA):	\$467,000
Final amount of civil penalty assessed or settlement for cases closed:	\$299,140
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$17,500
Amount of revised assessment after terminations (PRCA):	\$449,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$167,860
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$150,360

CSX TRANSPORTATION, INC.

Number of cases closed:	370
Number of violations in cases closed:	754
Initial amount of civil penalty assessed for cases closed (POCA):	\$2,624,000
Final amount of civil penalty assessed or settlement for cases closed:	\$1,621,600
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$106,000
Amount of revised assessment after terminations (PRCA):	\$2,518,000
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$1,002,400
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$896,400

THE KANSAS CITY SOUTHERN RAILWAY COMPANY

Number of cases closed:	46
Number of violations in cases closed:	88

Initial amount of civil penalty assessed for cases closed (POCA):	\$305,500
Final amount of civil penalty assessed or settlement for cases closed:	\$203,050
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$0
Amount of revised assessment after terminations (PRCA):	\$305,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$102,450
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$102,450

NATIONAL RAILROAD PASSENGER CORPORATION (AMTRAK)

Number of cases closed:	44
Number of violations in cases closed:	89
Initial amount of civil penalty assessed for cases closed (POCA):	\$264,500
Final amount of civil penalty assessed or settlement for cases closed:	\$179,285
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$12,000
Amount of revised assessment after terminations (PRCA):	\$252,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$85,215
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$73,215

NORFOLK SOUTHERN RAILWAY COMPANY

Number of cases closed:	286
Number of violations in cases closed:	491

Initial amount of civil penalty assessed for cases closed (POCA):	\$1,810,500
Final amount of civil penalty assessed or settlement for cases closed:	\$1,160,965
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$142,000
Amount of revised assessment after terminations (PRCA):	\$1,668,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$649,535
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$507,535

UNION PACIFIC RAILROAD COMPANY

Number of cases closed:	557
Number of violations in cases closed:	1464
Initial amount of civil penalty assessed for cases closed (POCA):	\$5,099,500
Final amount of civil penalty assessed or settlement for cases closed:	\$3,350,785
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$52,500
Amount of revised assessment after terminations (PRCA):	\$5,047,000
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$1,748,715
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$1,696,215

2. For Probable Class II Railroads in Aggregate in FY 2011⁹

Number of cases closed:	125
Number of violations in cases closed:	239
Initial amount of civil penalty assessed for cases closed (POCA):	\$626,500
Final amount of civil penalty assessed or settlement for cases closed:	\$392,275
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$29,000
Amount of revised assessment after terminations (PRCA):	\$597,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$234,225
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$205,225

3. For Probable Class III Railroads in Aggregate in FY 2011

Number of cases closed:	351
Number of violations in cases closed:	651
Initial amount of civil penalty assessed for cases closed (POCA):	\$2,134,750
Final amount of civil penalty assessed or settlement for cases closed:	\$1,346,647
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$198,500
Amount of revised assessment after terminations (PRCA):	\$1,936,250
Difference between initial civil penalty assessment (POCA) and final settlement amount for cases closed:	\$788,103
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$589,603

⁹ Please note that Pan Am Railways, Inc. previously was known as the Guilford Rail System (GRS) and that Appendix A identifies two cases that were closed in FY 2011 that were incorrectly labeled under the retired code "GRS," and should have been labeled as against Springfield Terminal Railway Co.

4. For Hazmat Shippers in Aggregate in FY 2011

Number of cases closed:	593
Number of violations in cases closed:	904
Initial amount of civil penalty assessed for cases closed (POCA):	\$4,626,750
Final amount of civil penalty assessed or settlement for cases closed:	\$4,352,750
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$274,000
Amount of revised assessment after terminations (PRCA):	\$4,352,750
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$1,292,156
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$1,018,156

5. For Contractors in Aggregate in FY 2011

Number of cases closed:	37
Number of violations in cases closed:	60
Initial amount of civil penalty assessed for cases closed (POCA):	\$217,500
Final amount of civil penalty assessed or settlement for cases closed:	\$155,882
Amount terminated (generally due to legal defenses presented during settlement negotiations):	\$24,000
Amount of revised assessment after terminations (PRCA):	\$193,500
Difference between initial civil penalty assessment (POCA) and final assessment or settlement amount for cases closed:	\$61,618
Difference between revised assessment (PRCA) and final assessment or settlement amount for cases closed:	\$37,618

IV. ENFORCEMENT ACTIONS AGAINST INDIVIDUALS

A. CIVIL PENALTY CASES AGAINST INDIVIDUALS IN AGGREGATE

Total number of civil penalty cases initially assessed in FY 2011:	2
Total number of violations with civil penalties initially assessed in FY 2011:	2
Total initial amount of civil penalty assessed in FY 2011:	\$7,500
Number of civil penalty cases closed in FY 2011:	0
Total number of violations in cases closed in FY 2011:	0
Total initial amount of civil penalty assessed for cases closed in FY 2011:	\$0
Total final amount of civil penalty assessed (or settlement) for cases closed in FY 2011:	\$0
Amount terminated (generally due to legal defenses presented during settlement negotiations) for cases closed in FY 2011:	\$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 FY2011:	\$0
Difference between initial amount of civil penalty assessed (POCA) and final settlement amount for a violation in a case closed in FY 2011	\$0

B. OTHER ENFORCEMENT ACTIONS AGAINST INDIVIDUALS IN AGGREGATE

Number of notices of proposed disqualification issued and served in FY 2011:	2
Number of proposed disqualification cases closed in FY 2011:	1

Number of warning letters issued by Office of Chief Counsel in FY 2011:	1
Number of warning letters issued by regional offices of FRA Office of Railroad Safety (regional warning letters) in FY 2011:	35

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

A. IN GENERAL

As FRA pointed out in its first enforcement report under 49 U.S.C. § 20120, the agency has long sought to ascertain whether safety enforcement measures in general or the imposition of civil penalties in particular is measurably correlated with specific safety performance improvements. Previously, FRA has found that the available data permit some measurement of safety improvements in a functional area covered by an entire rule or an entire safety program; however, the data cannot be used to determine whether detectable safety improvements are directly attributable to discrete civil penalties. Accordingly, FRA relies heavily upon the knowledge and expertise of its field inspectors who are most familiar with the unique attributes of specific railroad operations, geographic territories, facilities, and safety practices. Subjectively, their nuanced perceptions and judgments indicate that the levying of civil penalties does yield observable improvements in safety practices and compliance with the law. It is important to note that civil penalties are by no means FRA's only enforcement tool.

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

In addition, isolating FRA civil penalty enforcement from the myriad other factors affecting safety outcomes, such as railroad and rail worker behavior and activity, is not possible. Examining FRA's regulatory regime demands holistic consideration. Specific regulatory provisions in combination sometimes complement one another in minimizing or preventing conditions that contribute to an accident. But the plenitude and variability of regulatory provisions obscure the effect of some and diffuse the effect of any single association that might be made.

B. 2009 REPORT TO CONGRESS ON USE OF CIVIL PENALTIES IN THE FEDERAL RAILROAD SAFETY PROGRAM

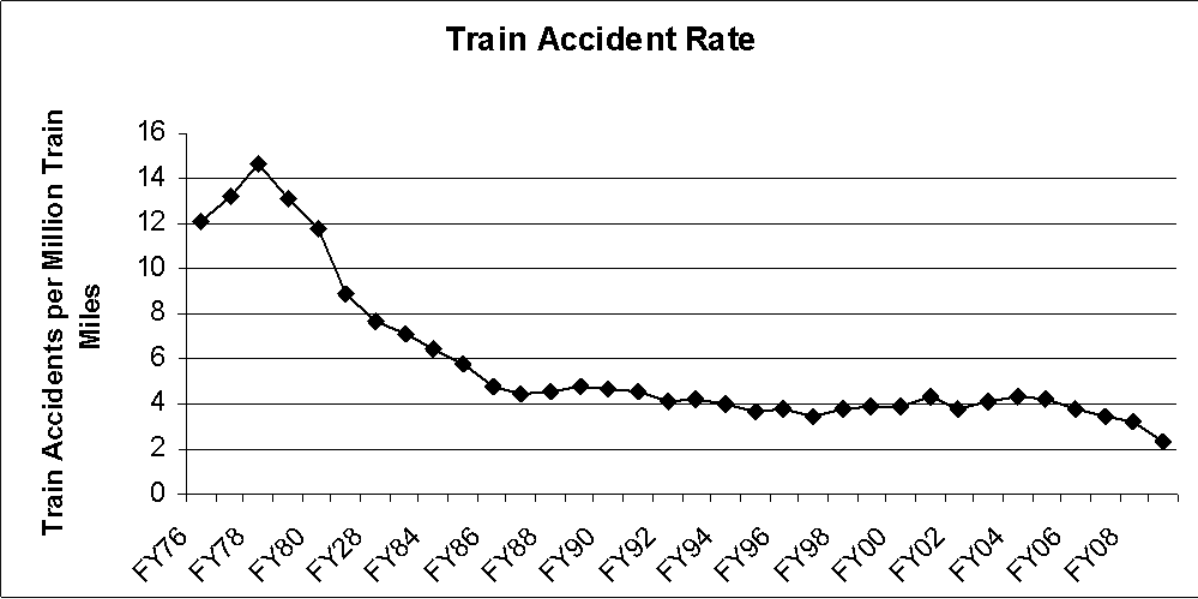
A report to Congress on "The Federal Railroad Administration's Use of Civil Penalties in the Federal Railroad Safety Program" was attached to FRA's enforcement report for FY 2009 and is referenced here because it addresses FRA's approach to achieving industry compliance with the

Federal railroad safety laws and the hazmat safety laws and their implementing regulations and the place of civil penalties in that process. This report was submitted to Congress on July 16, 2009, in response to a Congressional mandate that FRA hire an independent consultant to evaluate FRA's use of penalties as an enforcement mechanism. The report concludes that FRA's use of the statutory authority to compromise civil penalty assessments serves the purpose of compliance by ensuring that the enforcement process is proportional in those cases in which penalties are assessed.

As stated in the report,

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

Id., p. 41.



VI. SUMMARY AND ANALYSIS OF LOCOMOTIVE ENGINEER CERTIFICATION CASES

A. LOCOMOTIVE ENGINEER REVIEW BOARD (LERB)

Petitions for relief filed with the LERB in FY 2011:	47
Decisions issued by the LERB in FY 2011: (An additional 8 decisions were issued between October 1, 2011, and December 2, 2011.)	58
Average length of time for decision in FY 2011 (213 days from the date of respondents' response to the appeal)	268 days from the date petition filed

B. ADMINISTRATIVE HEARINGS

Number of pending cases before the Administrative Hearing Officer (AHO) as of October 1, 2010:	2
Number of requests for review by the AHO received during FY 2011:	6
Number of remands from the Administrator during FY 2011:	3
Number of cases closed by the AHO during FY 2011: (including stipulation or dismissal.)	6
Number of pending AHO cases as of September 30, 2011:	5
Average length of time for decision or other disposition:	11 months

C. APPEALS TO THE ADMINISTRATOR

Appeals to the Administrator from the AHO decisions filed in FY 2011:	2
Number of Appeals Pending during FY 2011: (as of October 1, 2011, there was 1 case pending)	10
Decisions issued by the Administrator during FY 2011:	9
Average length of time for decision issued in FY 2011: (from close of record to decision)	299 days

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

Number of hearings requested in FY 2011: 0
Number of hearing-request cases completed in FY 2011: 0

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

Number of cases referred to the Attorney General for civil enforcement in FY 2011: 0
Number of cases referred to the Attorney General for criminal enforcement in FY 2011: 0

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

FRA Emergency Order No. 26 established restrictions on railroad operating employees' use of cellular telephones and other distracting electronic and electrical devices. Volume 73 of the Federal Register, p. 58702 (73 Fed. Reg. 58702) (October 7, 2008). An FRA final rule published September 27, 2010, amended 49 C.F.R. Part 220 to codify most of the requirements of that emergency order, effective March 28, 2011. 75 Fed. Reg. 59580. That final rule also rescinded the emergency order effective the same date, March 28, 2011. Id.

APPENDIX A
“Railroad Safety Civil Penalty Cases Closed during Fiscal Year 2011”



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

**RAILROAD SAFETY CIVIL PENALTY CASES
CLOSED DURING FISCAL YEAR 2011**

This report summarizes the disposition of all civil penalty cases on which the Federal Railroad Administration (FRA) reached an agreement to collect, or issued an order requiring the payment of, a civil penalty during fiscal year 2011 under the Federal railroad safety statutes and regulations or in which FRA otherwise closed such a civil penalty case during fiscal year 2011. Cases were closed under most of these statutes by agreements of settlement, and under the hazardous materials transportation laws (HMT) generally by final orders of assessment. Total penalty settlements and final assessments against companies, summarized in this report, were as follows:

Railroad safety statutes (except HMT)	\$10,811,937
HMT	\$4,157,216
Total Civil Penalties	\$14,969,153

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

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

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

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



Thomas J. Herrmann
Assistant Chief Counsel for Safety

Abbreviations Used in this Report

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

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

Railroads and other respondents are identified by a code (see the legend provided at the end of this report), which appears as the letters at the beginning of the case number. Hazardous materials and emergency order cases involving shippers are identified by a case number beginning with the letter "Z". Cases involving contractors are identified by a case number beginning with the letter "X". The column labeled "POCA" shows the initial penalty assessed in the case. The column labeled "PRCA" shows the total amount of the initial assessment for alleged violations on which FRA concluded it would probably be able to sustain its burden of proof if the case were litigated. PRCA is equal to POCA, therefore, except in two situations. First, if FRA concluded that one or more of the violations initially alleged could likely not be sustained, such violations are considered terminated. Second, if FRA decided that the violation could be sustained but that the initial penalty assessment for the violation was incorrect, the penalty amount is corrected, and the violation is described as "partially terminated." Cases against individuals (who are liable for civil penalties for willful violations) are identified by the prefix "Indpen" and are listed separately. The "Comments" column shows the violation number of terminated or partially terminated violations.

FRA Civil Penalty Cases against Individuals
Closed in Fiscal Year 2011

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

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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 2011-1(TS)	1	\$2,500	\$2,500	\$1,250	07/05/2011	
ABS 2010-1(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2011	
ABS 2010-2(TS)	1	\$5,000	\$5,000	\$3,200	09/30/2011	
ABS 2010-3(RW)	1	\$3,000	\$3,000	\$2,000	09/30/2011	
ABS 2010-4(TS)	2	\$2,000	\$2,000	\$1,300	09/30/2011	
AGR 2009-1(EQ)	3	\$11,000	\$11,000	\$7,050	09/29/2011	
AGR 2009-2(SA)	1	\$5,000	\$5,000	\$3,375	09/29/2011	
AGR 2010-1(TS)	1	\$5,000	\$5,000	\$3,450	09/29/2011	
AGR 2010-2(TS)	1	\$2,500	\$2,500	\$1,750	09/29/2011	
AGR 2010-3(HMT)	1	\$4,000	\$4,000	\$2,900	09/29/2011	
AKDN 2011-1(GC)	1	\$2,500	\$2,500	\$2,500	09/08/2011	
ALS 2010-3(AR)	1	\$2,500	\$2,500	\$2,500	02/11/2011	
ALS 2010-4(AR)	1	\$2,500	\$2,500	\$2,500	03/30/2011	
ALS 2011-3(ROP)	1	\$7,500	\$7,500	\$7,500	09/02/2011	
ALS 2011-5(ROP)	1	\$7,500	\$7,500	\$7,500	09/02/2011	
AM 2010-1(GC)	2	\$2,000	\$2,000	\$1,400	03/15/2011	
AM 2010-2(HSR)	1	\$1,000	\$1,000	\$680	03/15/2011	
AM 2010-3(SA)	3	\$7,500	\$7,500	\$4,500	03/15/2011	
AM 2010-4(SA)	2	\$5,000	\$5,000	\$3,200	03/15/2011	
AM 2010-5(LI)	2	\$5,000	\$5,000	\$3,200	03/15/2011	
AOK 2010-2(SA)	1	\$2,500	\$2,500	\$2,500	11/01/2010	
AOK 2010-3(SA)	3	\$12,500	\$12,500	\$7,500	12/08/2010	
AOK 2011-1(ROP)	1	\$7,500	\$7,500	\$7,500	04/18/2011	
ARR 2010-4(TS)	2	\$2,000	\$2,000	\$2,000	12/14/2010	
ARR 2010-13(TS)	2	\$10,000	\$5,000	\$4,000	01/11/2011	Terminated Violation(s): 2.
ARR 2010-15(TS)	1	\$2,500	\$2,500	\$2,000	12/14/2010	
ARR 2010-21(HMT)	2	\$7,000	\$0	\$0	12/15/2010	Case Terminated.
ARR 2010-23(TS)	1	\$2,500	\$2,500	\$2,000	12/14/2010	
ARR 2010-24(TS)	3	\$3,000	\$3,000	\$2,000	12/17/2010	
ARR 2010-26(TS)	4	\$4,000	\$4,000	\$2,600	12/14/2010	
ARR 2011-1(GC)	1	\$5,000	\$5,000	\$3,750	06/22/2011	
ARZC 2009-1(HMT)	1	\$2,500	\$2,500	\$1,800	09/29/2011	
ASRY 2011-1(GC)	2	\$5,000	\$5,000	\$5,000	06/01/2011	
ATK 2010-11(PEQ)	1	\$5,000	\$5,000	\$3,500	09/30/2011	
ATK 2010-13(ROP)	1	\$7,500	\$7,500	\$5,475	09/30/2011	
ATK 2010-14(PEQ)	2	\$10,000	\$10,000	\$7,000	09/30/2011	
ATK 2010-15(PEQ)	2	\$10,000	\$10,000	\$7,200	09/30/2011	
ATK 2010-16(ROR)	5	\$29,500	\$29,500	\$20,060	09/30/2011	
ATK 2010-17(ROR)	2	\$19,000	\$19,000	\$12,920	09/30/2011	
ATK 2010-18(HSR)	1	\$1,000	\$1,000	\$700	09/30/2011	
ATK 2010-19(PEQ)	1	\$5,000	\$5,000	\$3,250	09/30/2011	
ATK 2010-20(HS)	5	\$5,000	\$5,000	\$3,710	09/30/2011	
ATK 2010-21(HS)	3	\$3,000	\$3,000	\$2,190	09/30/2011	
ATK 2010-22(BW)	1	\$5,000	\$5,000	\$3,750	09/30/2011	
ATK 2010-23(PEQ)	1	\$7,500	\$7,500	\$4,875	09/30/2011	
ATK 2010-24(ROP)	1	\$2,000	\$2,000	\$1,440	09/30/2011	
ATK 2010-25(SA)	1	\$2,500	\$2,500	\$1,800	09/30/2011	
ATK 2010-26(SA)	1	\$5,000	\$5,000	\$3,600	09/30/2011	
ATK 2010-28(SA)	2	\$10,000	\$10,000	\$7,200	09/30/2011	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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 2010-29(ROR)	2	\$19,000	\$19,000	\$12,920	09/30/2011	
ATK 2010-30(SA)	1	\$7,500	\$7,500	\$5,400	09/30/2011	
ATK 2010-31(EO)	1	\$2,500	\$2,500	\$1,800	09/30/2011	
ATK 2010-32(HS)	5	\$5,000	\$0	\$0	09/30/2011	Case Terminated.
ATK 2010-33(HS)	4	\$4,000	\$3,000	\$2,250	09/30/2011	Terminated Violation(s): 1.
ATK 2010-34(SI)	2	\$3,000	\$3,000	\$2,250	09/30/2011	
ATK 2010-35(HS)	5	\$5,000	\$5,000	\$3,750	09/30/2011	
ATK 2010-36(HS)	5	\$5,000	\$5,000	\$3,690	09/30/2011	
ATK 2010-37(HS)	5	\$5,000	\$5,000	\$3,700	09/30/2011	
ATK 2010-38(HS)	4	\$4,000	\$4,000	\$2,960	09/30/2011	
ATK 2010-39(HSR)	1	\$1,000	\$1,000	\$720	09/30/2011	
ATK 2010-40(HS)	5	\$5,000	\$0	\$0	09/30/2011	Case Terminated.
ATK 2010-41(HS)	2	\$2,000	\$1,000	\$730	09/30/2011	Terminated Violation(s): 2.
ATK 2010-42(PEQ)	2	\$10,000	\$10,000	\$7,350	09/30/2011	
ATK 2010-44(SA)	1	\$5,000	\$5,000	\$3,600	09/30/2011	
ATK 2010-45(PEQ)	2	\$10,000	\$10,000	\$7,200	09/30/2011	
ATK 2010-46(PEQ)	1	\$5,000	\$5,000	\$3,750	09/30/2011	
ATK 2010-49(RW)	1	\$1,000	\$1,000	\$650	09/30/2011	
ATK 2010-50(SA)	1	\$5,000	\$5,000	\$3,600	09/30/2011	
ATK 2010-51(ROP)	1	\$7,500	\$7,500	\$5,550	09/30/2011	
ATK 2010-52(LI)	1	\$2,500	\$2,500	\$1,875	09/30/2011	
ATK 2010-54(PEQ)	1	\$2,500	\$2,500	\$1,875	09/30/2011	
ATK 2011-38(RSP)	1	\$1,000	\$1,000	\$720	09/30/2011	
ATK 2011-93(LI)	1	\$2,500	\$2,500	\$1,875	09/30/2011	
ATK 2011-94(LI)	1	\$2,500	\$2,500	\$1,800	09/30/2011	
ATK 2011-96(PEQ)	1	\$5,000	\$5,000	\$3,500	09/30/2011	
ATK 2011-97(PEQ)	1	\$5,000	\$5,000	\$3,600	09/30/2011	
ATK 2011-98(ROP)	1	\$5,000	\$5,000	\$3,500	09/30/2011	
ATN 2011-1(GC)	1	\$2,500	\$2,500	\$2,500	08/19/2011	
AWRR 2010-1(EQ)	1	\$1,000	\$1,000	\$650	09/30/2011	
AZER 2008-1(TS)	2	\$5,000	\$5,000	\$3,000	05/20/2011	
AZER 2009-1(TS)	3	\$4,500	\$4,500	\$2,925	05/20/2011	
AZER 2009-2(TS)	2	\$10,000	\$10,000	\$6,500	05/20/2011	
AZER 2009-3(TS)	7	\$32,500	\$32,500	\$21,625	05/20/2011	
AZER 2009-4(EQ)	1	\$1,000	\$1,000	\$650	05/20/2011	
AZER 2009-5(SA)	1	\$5,000	\$5,000	\$3,500	05/20/2011	
AZER 2009-6(TS)	2	\$5,000	\$5,000	\$3,250	05/20/2011	
AZER 2009-7(TS)	2	\$6,000	\$6,000	\$4,400	05/20/2011	
AZER 2009-8(HSR)	1	\$1,000	\$1,000	\$650	05/20/2011	
AZER 2009-9(EQ)	2	\$2,000	\$2,000	\$1,300	05/20/2011	
AZER 2009-10(TS)	1	\$2,500	\$2,500	\$1,625	05/20/2011	
AZER 2009-11(RW)	1	\$3,000	\$3,000	\$2,100	05/20/2011	
AZER 2009-12(GC)	1	\$5,000	\$5,000	\$3,250	05/20/2011	
BAYL 2010-3(SA)	1	\$2,500	\$2,500	\$2,500	01/20/2011	
BB 2011-1(TS)	1	\$1,000	\$1,000	\$800	05/18/2011	
BB 2011-2(TS)	1	\$2,500	\$2,500	\$2,000	08/30/2011	
BDTL 2010-1(EP)	1	\$1,000	\$0	\$0	05/03/2011	Case Terminated.
BDTL 2010-2(LI)	2	\$5,000	\$5,000	\$0	05/03/2011	Case Terminated.
BDTL 2010-3(LI)	1	\$5,000	\$5,000	\$0	05/03/2011	Case Terminated.

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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>
BDTL 2010-4(LI)	1	\$2,500	\$0	\$0	05/03/2011	Case Terminated.
BDW 2010-1(TS)	4	\$10,000	\$10,000	\$7,000	10/27/2010	
BEEM 2007-1(LI)	1	\$5,000	\$5,000	\$2,500	04/20/2011	
BGCM 2007-1(AD)	1	\$5,000	\$5,000	\$4,000	02/09/2011	
BGCM 2007-2(AD)	1	\$2,000	\$2,000	\$1,600	02/09/2011	
BGCM 2010-1(TS)	1	\$1,000	\$1,000	\$1,000	01/10/2011	
BGCM 2011-1(GC)	1	\$2,500	\$2,500	\$2,500	08/24/2011	
BM 2008-1(TS)	2	\$7,500	\$7,500	\$5,175	02/10/2011	
BM 2009-2(GC)	2	\$5,000	\$5,000	\$3,500	02/10/2011	
BM 2009-3(TS)	2	\$5,000	\$5,000	\$3,750	02/10/2011	
BM 2009-4(TS)	3	\$12,500	\$12,500	\$9,125	02/10/2011	
BNG 2006-1(GC)	1	\$2,500	\$2,500	\$900	04/05/2011	
BNSF 2008-293(SA)	1	\$5,000	\$5,000	\$3,200	09/30/2011	
BNSF 2009-288(SA)	5	\$22,500	\$22,500	\$14,500	09/30/2011	
BNSF 2009-406(HS)	3	\$3,000	\$3,000	\$1,950	09/30/2011	
BNSF 2009-407(HMT)	1	\$6,000	\$6,000	\$3,950	09/30/2011	
BNSF 2009-418(HSR)	2	\$2,000	\$2,000	\$1,300	09/30/2011	
BNSF 2009-424(HSR)	1	\$1,000	\$1,000	\$650	09/30/2011	
BNSF 2009-425(SA)	2	\$10,000	\$10,000	\$6,400	09/30/2011	
BNSF 2009-426(SA)	1	\$5,000	\$5,000	\$3,200	09/30/2011	
BNSF 2009-427(HSR)	1	\$1,000	\$1,000	\$650	09/30/2011	
BNSF 2009-428(LI)	1	\$1,000	\$1,000	\$650	09/30/2011	
BNSF 2009-430(SA)	2	\$7,500	\$7,500	\$4,800	09/30/2011	
BNSF 2010-21(TS)	1	\$2,500	\$2,500	\$1,650	09/30/2011	
BNSF 2010-43(SA)	4	\$10,000	\$10,000	\$6,400	09/30/2011	
BNSF 2010-46(ROR)	1	\$5,000	\$5,000	\$3,250	09/30/2011	
BNSF 2010-47(ROP)	1	\$7,500	\$7,500	\$4,700	09/30/2011	
BNSF 2010-59(TS)	1	\$1,000	\$1,000	\$650	09/30/2011	
BNSF 2010-73(FCS)	2	\$5,000	\$5,000	\$3,100	09/30/2011	
BNSF 2010-76(SI)	2	\$2,000	\$2,000	\$1,380	09/30/2011	
BNSF 2010-88(TS)	9	\$22,500	\$22,500	\$14,625	09/30/2011	
BNSF 2010-96(TS)	4	\$9,000	\$9,000	\$5,975	09/30/2011	
BNSF 2010-103(ROP)	2	\$19,000	\$19,000	\$12,250	09/30/2011	
BNSF 2010-104(SA)	2	\$7,500	\$7,500	\$4,800	09/30/2011	
BNSF 2010-105(ROP)	1	\$9,500	\$9,500	\$6,000	09/30/2011	
BNSF 2010-106(SA)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
BNSF 2010-107(ROP)	1	\$5,000	\$5,000	\$3,100	09/30/2011	
BNSF 2010-108(FCS)	1	\$5,000	\$5,000	\$3,200	09/30/2011	
BNSF 2010-109(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
BNSF 2010-110(ROP)	2	\$15,000	\$15,000	\$9,675	09/30/2011	
BNSF 2010-111(SA)	5	\$25,000	\$25,000	\$15,650	09/30/2011	
BNSF 2010-112(SA)	4	\$20,000	\$20,000	\$12,400	09/30/2011	
BNSF 2010-113(LI)	1	\$2,500	\$2,500	\$1,625	09/30/2011	
BNSF 2010-114(SA)	2	\$5,000	\$5,000	\$3,400	09/30/2011	
BNSF 2010-115(SA)	2	\$5,000	\$5,000	\$3,275	09/30/2011	
BNSF 2010-116(SA)	2	\$10,000	\$10,000	\$6,200	09/30/2011	
BNSF 2010-117(SA)	2	\$7,500	\$7,500	\$4,800	09/30/2011	
BNSF 2010-118(ROP)	3	\$17,500	\$17,500	\$10,850	09/30/2011	
BNSF 2010-119(FCS)	2	\$10,000	\$10,000	\$6,400	09/30/2011	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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 2010-120(EO)	1	\$2,500	\$2,500	\$1,675	09/30/2011	
BNSF 2010-121(LI)	1	\$2,500	\$2,500	\$1,625	09/30/2011	
BNSF 2010-122(TS)	1	\$2,500	\$2,500	\$1,575	09/30/2011	
BNSF 2010-123(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
BNSF 2010-124(SA)	3	\$15,000	\$15,000	\$9,375	09/30/2011	
BNSF 2010-125(SA)	2	\$10,000	\$10,000	\$6,200	09/30/2011	
BNSF 2010-126(SA)	5	\$25,000	\$25,000	\$15,575	09/30/2011	
BNSF 2010-127(SA)	1	\$5,000	\$5,000	\$3,215	09/30/2011	
BNSF 2010-128(SA)	3	\$15,000	\$15,000	\$9,450	09/30/2011	
BNSF 2010-129(SA)	6	\$30,000	\$30,000	\$19,100	09/30/2011	
BNSF 2010-130(SA)	2	\$7,500	\$7,500	\$4,875	09/30/2011	
BNSF 2010-131(SA)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
BNSF 2010-132(SA)	2	\$7,500	\$7,500	\$4,800	09/30/2011	
BNSF 2010-133(SA)	2	\$5,000	\$5,000	\$3,150	09/30/2011	
BNSF 2010-134(ROP)	2	\$15,000	\$15,000	\$9,700	09/30/2011	
BNSF 2010-135(SA)	3	\$12,500	\$12,500	\$8,000	09/30/2011	
BNSF 2010-136(SA)	3	\$15,000	\$15,000	\$9,500	09/30/2011	
BNSF 2010-137(FCS)	5	\$12,500	\$12,500	\$7,850	09/30/2011	
BNSF 2010-138(SA)	2	\$5,000	\$5,000	\$3,175	09/30/2011	
BNSF 2010-139(SA)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
BNSF 2010-140(SA)	1	\$5,000	\$5,000	\$3,200	09/30/2011	
BNSF 2010-141(RSP)	2	\$10,000	\$10,000	\$6,700	09/30/2011	
BNSF 2010-142(SA)	1	\$5,000	\$5,000	\$3,200	09/30/2011	
BNSF 2010-145(AR)	5	\$11,000	\$11,000	\$7,000	09/30/2011	
BNSF 2010-146(SA)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
BNSF 2010-147(SA)	2	\$10,000	\$10,000	\$6,450	09/30/2011	
BNSF 2010-148(LI)	5	\$12,500	\$12,500	\$8,000	09/30/2011	
BNSF 2010-149(LI)	3	\$7,500	\$7,500	\$4,850	09/30/2011	
BNSF 2010-151(HSR)	2	\$2,000	\$2,000	\$1,300	09/30/2011	
BNSF 2010-152(AR)	1	\$2,500	\$2,500	\$1,625	09/30/2011	
BNSF 2010-153(TS)	1	\$1,000	\$1,000	\$650	09/30/2011	
BNSF 2010-154(TS)	1	\$2,500	\$2,500	\$1,625	09/30/2011	
BNSF 2010-155(TS)	1	\$2,500	\$2,500	\$1,625	09/30/2011	
BNSF 2010-157(TS)	1	\$2,000	\$2,000	\$1,300	09/30/2011	
BNSF 2010-158(SI)	1	\$1,000	\$1,000	\$650	09/30/2011	
BNSF 2010-159(SI)	1	\$1,000	\$1,000	\$650	09/30/2011	
BNSF 2010-160(GC)	2	\$10,000	\$10,000	\$7,000	09/30/2011	
BNSF 2010-161(GC)	1	\$2,500	\$2,500	\$1,575	09/30/2011	
BNSF 2010-162(SA)	1	\$5,000	\$5,000	\$3,150	09/30/2011	
BNSF 2010-163(SI)	1	\$1,000	\$1,000	\$675	09/30/2011	
BNSF 2010-164(SA)	2	\$5,000	\$5,000	\$3,200	09/30/2011	
BNSF 2010-165(SA)	4	\$10,000	\$10,000	\$6,400	09/30/2011	
BNSF 2010-166(FCS)	1	\$2,500	\$2,500	\$1,625	09/30/2011	
BNSF 2010-167(RW)	2	\$2,000	\$2,000	\$1,300	09/30/2011	
BNSF 2010-168(ROP)	1	\$7,500	\$7,500	\$4,850	09/30/2011	
BNSF 2010-169(SI)	1	\$1,000	\$1,000	\$650	09/30/2011	
BNSF 2010-170(ROP)	1	\$7,500	\$7,500	\$4,850	09/30/2011	
BNSF 2010-171(ROP)	1	\$7,500	\$7,500	\$4,850	09/30/2011	
BNSF 2010-172(SA)	1	\$5,000	\$5,000	\$3,150	09/30/2011	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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 2010-173(TS)	3	\$10,000	\$10,000	\$6,500	09/30/2011	
BNSF 2010-174(TS)	6	\$13,500	\$13,500	\$8,775	09/30/2011	
BNSF 2010-175(SA)	1	\$5,000	\$5,000	\$3,200	09/30/2011	
BNSF 2010-176(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2011	
BNSF 2010-177(SI)	1	\$2,500	\$2,500	\$1,700	09/30/2011	
BNSF 2010-178(ROP)	1	\$7,500	\$7,500	\$4,850	09/30/2011	
BNSF 2010-179(ROP)	1	\$7,500	\$7,500	\$5,075	09/30/2011	
BNSF 2010-180(SA)	1	\$5,000	\$5,000	\$3,200	09/30/2011	
BNSF 2010-181(SA)	3	\$7,500	\$7,500	\$4,750	09/30/2011	
BNSF 2010-182(SA)	1	\$5,000	\$5,000	\$3,000	09/30/2011	
BNSF 2010-183(SA)	1	\$5,000	\$5,000	\$3,200	09/30/2011	
BNSF 2010-184(LI)	10	\$25,000	\$25,000	\$15,400	09/30/2011	
BNSF 2010-185(LI)	1	\$2,000	\$2,000	\$1,250	09/30/2011	
BNSF 2010-186(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
BNSF 2010-187(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2011	
BNSF 2010-188(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
BNSF 2010-189(SA)	1	\$2,500	\$2,500	\$1,540	09/30/2011	
BNSF 2010-190(SA)	1	\$2,500	\$2,500	\$1,550	09/30/2011	
BNSF 2010-191(SA)	3	\$10,000	\$10,000	\$6,425	09/30/2011	
BNSF 2010-193(SA)	1	\$5,000	\$5,000	\$3,200	09/30/2011	
BNSF 2010-194(SA)	1	\$2,500	\$2,500	\$1,575	09/30/2011	
BNSF 2010-195(SA)	1	\$5,000	\$5,000	\$3,200	09/30/2011	
BNSF 2010-196(TS)	10	\$25,000	\$25,000	\$16,250	09/30/2011	
BNSF 2010-197(RSP)	1	\$1,000	\$1,000	\$650	09/30/2011	
BNSF 2010-198(LI)	10	\$25,000	\$25,000	\$16,000	09/30/2011	
BNSF 2010-199(SA)	2	\$10,000	\$10,000	\$6,500	09/30/2011	
BNSF 2010-200(SA)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
BNSF 2010-201(SA)	3	\$15,000	\$15,000	\$9,650	09/30/2011	
BNSF 2010-202(ROP)	1	\$7,500	\$7,500	\$5,050	09/30/2011	
BNSF 2010-204(ROP)	5	\$41,500	\$24,500	\$16,150	09/30/2011	Terminated Violation(s): 1, 4.
BNSF 2010-205(ROP)	5	\$39,500	\$39,500	\$25,800	09/30/2011	
BNSF 2010-206(ROP)	1	\$7,500	\$7,500	\$4,975	09/30/2011	
BNSF 2010-207(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2011	
BNSF 2010-208(SA)	1	\$5,000	\$5,000	\$3,200	09/30/2011	
BNSF 2010-209(FCS)	1	\$5,000	\$5,000	\$3,200	09/30/2011	
BNSF 2010-210(SA)	3	\$12,500	\$12,500	\$8,000	09/30/2011	
BNSF 2010-211(SA)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
BNSF 2010-212(ROP)	2	\$12,000	\$12,000	\$7,700	09/30/2011	
BNSF 2010-213(SA)	2	\$7,500	\$7,500	\$4,800	09/30/2011	
BNSF 2010-214(HMT)	1	\$4,000	\$4,000	\$2,575	09/30/2011	
BNSF 2010-215(EQ)	1	\$1,000	\$1,000	\$650	09/30/2011	
BNSF 2010-216(EP)	1	\$1,000	\$1,000	\$650	09/30/2011	
BNSF 2010-217(ROP)	1	\$7,500	\$7,500	\$4,950	09/30/2011	
BNSF 2010-218(TS)	16	\$40,000	\$40,000	\$26,000	09/30/2011	
BNSF 2010-220(RW)	1	\$1,000	\$1,000	\$650	09/30/2011	
BNSF 2010-221(HS)	2	\$2,000	\$2,000	\$1,300	09/30/2011	
BNSF 2010-222(ROP)	1	\$7,500	\$7,500	\$4,975	09/30/2011	
BNSF 2010-223(FCS)	1	\$5,000	\$5,000	\$3,500	09/30/2011	
BNSF 2010-224(TS)	4	\$9,000	\$9,000	\$5,825	09/30/2011	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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 2010-225(SA)	3	\$10,000	\$10,000	\$6,450	09/30/2011	
BNSF 2010-226(TS)	3	\$15,000	\$15,000	\$9,715	09/30/2011	
BNSF 2010-227(TS)	2	\$3,000	\$3,000	\$1,900	09/30/2011	
BNSF 2010-228(TS)	5	\$9,500	\$9,500	\$5,800	09/30/2011	
BNSF 2010-229(TS)	1	\$5,000	\$5,000	\$3,250	09/30/2011	
BNSF 2010-230(EP)	1	\$1,000	\$1,000	\$650	09/30/2011	
BNSF 2010-231(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
BNSF 2010-232(SA)	3	\$20,000	\$20,000	\$12,525	09/30/2011	
BNSF 2010-233(SA)	2	\$10,000	\$10,000	\$6,525	09/30/2011	
BNSF 2010-234(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2011	
BNSF 2010-235(ROP)	1	\$5,000	\$5,000	\$3,250	09/30/2011	
BNSF 2010-236(FCS)	1	\$5,000	\$5,000	\$3,225	09/30/2011	
BNSF 2010-237(SA)	2	\$5,000	\$5,000	\$3,250	09/30/2011	
BNSF 2010-238(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
BNSF 2010-239(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
BNSF 2010-240(TS)	4	\$17,500	\$17,500	\$11,700	09/30/2011	
BNSF 2010-241(HMT)	1	\$2,000	\$2,000	\$1,350	09/30/2011	
BNSF 2010-243(SA)	3	\$10,000	\$10,000	\$6,700	09/30/2011	
BNSF 2010-245(RW)	1	\$2,000	\$2,000	\$1,400	09/30/2011	
BNSF 2010-246(RW)	1	\$1,000	\$1,000	\$650	09/30/2011	
BNSF 2010-247(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
BNSF 2010-248(ROP)	3	\$24,500	\$24,500	\$16,475	09/30/2011	
BNSF 2010-249(GC)	1	\$7,500	\$7,500	\$5,400	09/30/2011	
BNSF 2010-250(ROP)	1	\$7,500	\$7,500	\$4,950	09/30/2011	
BNSF 2010-251(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2011	
BNSF 2010-252(TS)	3	\$10,000	\$10,000	\$6,675	09/30/2011	
BNSF 2010-253(TS)	1	\$5,000	\$5,000	\$3,250	09/30/2011	
BNSF 2010-254(HMT)	1	\$5,000	\$5,000	\$1,650	09/30/2011	
BNSF 2010-255(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2011	
BNSF 2010-256(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2011	
BNSF 2010-257(LI)	2	\$5,000	\$5,000	\$3,150	09/30/2011	
BNSF 2010-258(LI)	1	\$2,500	\$2,500	\$1,615	09/30/2011	
BNSF 2010-259(SA)	3	\$15,000	\$15,000	\$9,750	09/30/2011	
BNSF 2010-260(SA)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
BNSF 2010-261(TS)	2	\$7,500	\$7,500	\$5,075	09/30/2011	
BNSF 2010-262(TS)	1	\$5,000	\$5,000	\$3,250	09/30/2011	
BNSF 2010-263(TS)	3	\$6,000	\$6,000	\$3,875	09/30/2011	
BNSF 2010-264(TS)	2	\$5,000	\$5,000	\$3,250	09/30/2011	
BNSF 2010-265(HSR)	2	\$2,000	\$2,000	\$1,300	09/30/2011	
BNSF 2010-266(TH)	1	\$1,000	\$1,000	\$650	09/30/2011	
BNSF 2010-267(ROP)	1	\$7,500	\$7,500	\$4,480	09/30/2011	
BNSF 2010-268(ROP)	5	\$37,500	\$37,500	\$23,250	09/30/2011	
BNSF 2010-269(ROP)	3	\$22,500	\$15,000	\$9,000	09/30/2011	Terminated Violation(s): 3.
BNSF 2010-270(SA)	2	\$7,500	\$7,500	\$4,850	09/30/2011	
BNSF 2010-271(SA)	1	\$5,000	\$5,000	\$3,350	09/30/2011	
BNSF 2010-272(ROP)	1	\$7,500	\$7,500	\$6,750	09/30/2011	
BNSF 2010-273(HS)	1	\$1,000	\$1,000	\$670	09/30/2011	
BNSF 2010-274(FCS)	1	\$5,000	\$5,000	\$3,250	09/30/2011	
BNSF 2010-275(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2011	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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 2010-276(TS)	9	\$25,000	\$25,000	\$16,100	09/30/2011	
BNSF 2010-277(TS)	8	\$22,500	\$22,500	\$14,150	09/30/2011	
BNSF 2010-278(TS)	11	\$35,000	\$35,000	\$22,500	09/30/2011	
BNSF 2010-280(TS)	10	\$25,000	\$25,000	\$16,200	09/30/2011	
BNSF 2010-281(TS)	4	\$8,500	\$8,500	\$5,400	09/30/2011	
BNSF 2010-282(TS)	3	\$7,500	\$7,500	\$4,800	09/30/2011	
BNSF 2010-283(TS)	2	\$7,500	\$7,500	\$4,800	09/30/2011	
BNSF 2010-284(RSP)	1	\$5,000	\$5,000	\$3,500	09/30/2011	
BNSF 2010-285(TS)	1	\$2,500	\$2,500	\$1,550	09/30/2011	
BNSF 2010-286(SA)	1	\$5,000	\$5,000	\$3,225	09/30/2011	
BNSF 2010-287(SA)	1	\$5,000	\$5,000	\$3,135	09/30/2011	
BNSF 2010-288(SA)	2	\$10,000	\$10,000	\$6,600	09/30/2011	
BNSF 2010-289(TS)	4	\$8,000	\$8,000	\$5,060	09/30/2011	
BNSF 2010-290(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
BNSF 2010-291(TS)	6	\$9,000	\$9,000	\$5,650	09/30/2011	
BNSF 2010-292(ROP)	1	\$7,500	\$7,500	\$4,600	09/30/2011	
BNSF 2010-293(ROP)	2	\$19,000	\$19,000	\$13,100	09/30/2011	
BNSF 2010-294(SA)	1	\$5,000	\$5,000	\$3,225	09/30/2011	
BNSF 2010-295(SA)	2	\$10,000	\$10,000	\$6,500	09/30/2011	
BNSF 2010-296(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
BNSF 2010-297(ROP)	1	\$7,500	\$7,500	\$5,000	09/30/2011	
BNSF 2010-298(SA)	1	\$5,000	\$5,000	\$3,225	09/30/2011	
BNSF 2010-299(GS)	1	\$2,500	\$2,500	\$1,500	09/30/2011	
BNSF 2010-300(FCS)	4	\$15,000	\$15,000	\$9,625	09/30/2011	
BNSF 2010-301(SA)	2	\$5,000	\$5,000	\$3,425	09/30/2011	
BNSF 2010-302(LI)	2	\$2,500	\$2,500	\$1,600	09/30/2011	
BNSF 2010-303(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
BNSF 2010-304(EQ)	1	\$1,000	\$1,000	\$650	09/30/2011	
BNSF 2010-305(RSP)	1	\$1,000	\$1,000	\$650	09/30/2011	
BNSF 2010-306(GC)	3	\$11,000	\$11,000	\$7,650	09/30/2011	
BNSF 2010-307(SI)	1	\$1,000	\$1,000	\$675	09/30/2011	
BNSF 2010-308(HMT)	1	\$1,000	\$1,000	\$650	09/30/2011	
BNSF 2010-309(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
BNSF 2010-310(RW)	2	\$2,000	\$2,000	\$1,300	09/30/2011	
BNSF 2010-311(SA)	2	\$7,500	\$7,500	\$4,900	09/30/2011	
BNSF 2010-312(TS)	1	\$25,000	\$25,000	\$16,200	09/30/2011	
BNSF 2010-313(FCS)	1	\$2,500	\$2,500	\$1,575	09/30/2011	
BNSF 2010-314(TS)	3	\$3,000	\$3,000	\$1,950	09/30/2011	
BNSF 2010-315(ROP)	1	\$7,500	\$7,500	\$5,000	09/30/2011	
BNSF 2010-316(SA)	1	\$5,000	\$5,000	\$3,135	09/30/2011	
BNSF 2010-317(TS)	3	\$12,500	\$12,500	\$8,675	09/30/2011	
BNSF 2010-318(FCS)	1	\$2,500	\$2,500	\$1,625	09/30/2011	
BNSF 2010-319(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
BNSF 2010-320(SA)	1	\$5,000	\$5,000	\$3,225	09/30/2011	
BNSF 2010-321(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2011	
BNSF 2010-322(TS)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
BNSF 2010-323(FCS)	1	\$5,000	\$5,000	\$3,215	09/30/2011	
BNSF 2010-324(SA)	2	\$7,500	\$7,500	\$5,100	09/30/2011	
BNSF 2010-326(ROP)	2	\$15,000	\$15,000	\$11,300	09/30/2011	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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 2010-327(GC)	2	\$10,000	\$10,000	\$7,000	09/30/2011	
BNSF 2010-328(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
BNSF 2010-330(RW)	1	\$3,000	\$3,000	\$1,950	09/30/2011	
BNSF 2010-331(TS)	5	\$15,000	\$15,000	\$9,600	09/30/2011	
BNSF 2010-332(ROP)	3	\$24,500	\$24,500	\$15,200	09/30/2011	
BNSF 2010-334(TS)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
BNSF 2010-335(GC)	2	\$7,500	\$7,500	\$5,200	09/30/2011	
BNSF 2010-336(TS)	3	\$3,000	\$3,000	\$1,950	09/30/2011	
BNSF 2010-338(SA)	1	\$5,000	\$5,000	\$3,350	09/30/2011	
BNSF 2010-339(HMT)	9	\$54,000	\$54,000	\$33,475	09/30/2011	
BNSF 2010-340(RW)	1	\$2,000	\$2,000	\$1,350	09/30/2011	
BNSF 2010-341(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
BNSF 2010-342(SA)	2	\$10,000	\$10,000	\$6,525	09/30/2011	
BNSF 2010-343(SA)	3	\$15,000	\$15,000	\$9,750	09/30/2011	
BNSF 2010-344(SA)	1	\$5,000	\$5,000	\$3,225	09/30/2011	
BNSF 2010-345(RW)	1	\$1,000	\$1,000	\$650	09/30/2011	
BNSF 2010-346(LI)	1	\$2,500	\$2,500	\$1,580	09/30/2011	
BNSF 2010-347(TS)	6	\$21,000	\$21,000	\$13,600	09/30/2011	
BNSF 2010-348(HS)	2	\$2,000	\$2,000	\$1,350	09/30/2011	
BNSF 2010-349(ROP)	3	\$22,500	\$22,500	\$15,150	09/30/2011	
BNSF 2010-350(SA)	3	\$15,000	\$15,000	\$10,150	09/30/2011	
BNSF 2010-351(SA)	3	\$15,000	\$15,000	\$9,600	09/30/2011	
BNSF 2010-352(SA)	2	\$7,500	\$7,500	\$4,850	09/30/2011	
BNSF 2010-353(SA)	2	\$5,000	\$5,000	\$3,200	09/30/2011	
BNSF 2010-354(SA)	2	\$5,000	\$5,000	\$3,200	09/30/2011	
BNSF 2010-355(EO)	1	\$2,500	\$2,500	\$1,650	09/30/2011	
BNSF 2010-356(FCS)	1	\$2,500	\$2,500	\$1,575	09/30/2011	
BNSF 2010-357(ROP)	1	\$9,500	\$9,500	\$6,400	09/30/2011	
BNSF 2010-358(ROP)	2	\$15,000	\$15,000	\$9,700	09/30/2011	
BNSF 2010-359(TS)	2	\$7,500	\$7,500	\$4,650	09/30/2011	
BNSF 2010-360(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2011	
BNSF 2010-361(EQ)	2	\$5,000	\$5,000	\$3,250	09/30/2011	
BNSF 2010-362(RSP)	1	\$5,000	\$5,000	\$3,050	09/30/2011	
BNSF 2010-363(HMT)	1	\$7,500	\$7,500	\$4,700	09/30/2011	
BNSF 2010-364(ROP)	1	\$9,500	\$9,500	\$6,475	09/30/2011	
BNSF 2010-365(TS)	1	\$5,000	\$5,000	\$3,225	09/30/2011	
BNSF 2010-366(RW)	1	\$5,000	\$5,000	\$3,300	09/30/2011	
BNSF 2010-367(EQ)	2	\$5,000	\$5,000	\$3,250	09/30/2011	
BNSF 2010-368(SA)	3	\$15,000	\$15,000	\$9,750	09/30/2011	
BNSF 2010-370(HMT)	1	\$4,000	\$4,000	\$2,600	09/30/2011	
BNSF 2010-371(TH)	1	\$5,000	\$5,000	\$650	09/30/2011	
BNSF 2010-372(TS)	2	\$10,000	\$10,000	\$6,475	09/30/2011	
BNSF 2010-374(HMT)	3	\$8,000	\$8,000	\$5,200	09/30/2011	
BNSF 2010-375(GC)	1	\$1,000	\$1,000	\$675	09/30/2011	
BNSF 2010-377(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
BNSF 2010-378(TS)	12	\$29,500	\$29,500	\$19,375	09/30/2011	
BNSF 2010-379(TS)	1	\$5,000	\$5,000	\$3,350	09/30/2011	
BNSF 2010-381(RW)	2	\$2,000	\$2,000	\$1,300	09/30/2011	
BNSF 2010-382(TS)	9	\$17,500	\$17,500	\$11,750	09/30/2011	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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 2010-383(ROP)	4	\$34,000	\$34,000	\$21,775	09/30/2011	
BNSF 2010-385(ROP)	2	\$15,000	\$15,000	\$9,250	09/30/2011	
BNSF 2010-386(SA)	1	\$5,000	\$5,000	\$3,300	09/30/2011	
BNSF 2010-387(SA)	1	\$5,000	\$5,000	\$3,225	09/30/2011	
BNSF 2010-389(SA)	1	\$5,000	\$5,000	\$3,225	09/30/2011	
BNSF 2010-390(TS)	6	\$10,500	\$10,500	\$7,350	09/30/2011	
BNSF 2010-391(SA)	2	\$10,000	\$10,000	\$3,225	09/30/2011	
BNSF 2010-393(TS)	4	\$8,500	\$8,500	\$5,450	09/30/2011	
BNSF 2010-394(TS)	3	\$10,000	\$10,000	\$6,875	09/30/2011	
BNSF 2010-395(RW)	1	\$5,000	\$5,000	\$3,275	09/30/2011	
BNSF 2010-398(EO)	1	\$2,500	\$2,500	\$1,675	09/30/2011	
BNSF 2010-399(TS)	8	\$19,000	\$19,000	\$12,850	09/30/2011	
BNSF 2010-400(TS)	17	\$21,500	\$21,500	\$14,150	09/30/2011	
BNSF 2010-401(TS)	1	\$2,500	\$2,500	\$1,700	09/30/2011	
BNSF 2010-402(ROP)	5	\$39,500	\$39,500	\$25,850	09/30/2011	
BNSF 2010-403(ROP)	1	\$7,500	\$7,500	\$5,075	09/30/2011	
BNSF 2010-404(FCS)	1	\$2,500	\$2,500	\$1,575	09/30/2011	
BNSF 2010-405(SA)	2	\$7,500	\$7,500	\$4,875	09/30/2011	
BNSF 2010-406(SA)	2	\$10,000	\$10,000	\$6,500	09/30/2011	
BNSF 2010-407(EQ)	2	\$3,500	\$3,500	\$2,250	09/30/2011	
BNSF 2010-408(TS)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
BNSF 2010-409(TS)	24	\$31,000	\$31,000	\$20,700	09/30/2011	
BNSF 2010-410(RW)	1	\$2,000	\$2,000	\$1,300	09/30/2011	
BNSF 2010-411(HS)	5	\$5,000	\$5,000	\$3,250	09/30/2011	
BNSF 2010-413(EO)	1	\$2,500	\$2,500	\$1,675	09/30/2011	
BNSF 2010-414(SA)	3	\$15,000	\$15,000	\$9,800	09/30/2011	
BNSF 2010-415(LI)	3	\$6,000	\$6,000	\$3,900	09/30/2011	
BNSF 2010-416(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2011	
BNSF 2010-417(FCS)	1	\$5,000	\$5,000	\$3,200	09/30/2011	
BNSF 2010-418(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2011	
BNSF 2010-419(TS)	1	\$5,000	\$5,000	\$3,500	09/30/2011	
BNSF 2010-421(HS)	1	\$1,000	\$1,000	\$650	09/30/2011	
BNSF 2010-422(TS)	12	\$24,000	\$24,000	\$15,700	09/30/2011	
BNSF 2010-423(ROP)	1	\$7,500	\$7,500	\$4,775	09/30/2011	
BNSF 2010-424(TS)	7	\$8,500	\$8,500	\$5,475	09/30/2011	
BNSF 2010-425(TS)	13	\$17,000	\$17,000	\$11,200	09/30/2011	
BNSF 2010-426(SA)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
BNSF 2010-428(ROP)	3	\$24,500	\$24,500	\$15,700	09/30/2011	
BNSF 2010-429(ROP)	1	\$7,500	\$7,500	\$4,950	09/30/2011	
BNSF 2010-430(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
BNSF 2010-431(SA)	3	\$15,000	\$15,000	\$9,675	09/30/2011	
BNSF 2010-433(HMT)	1	\$7,500	\$7,500	\$4,875	09/30/2011	
BNSF 2010-434(GC)	4	\$13,500	\$13,500	\$9,275	09/30/2011	
BNSF 2010-435(SA)	3	\$10,000	\$10,000	\$6,450	09/30/2011	
BNSF 2010-436(ROP)	1	\$9,500	\$9,500	\$6,150	09/30/2011	
BNSF 2010-437(FCS)	1	\$2,500	\$2,500	\$1,575	09/30/2011	
BNSF 2010-438(SA)	1	\$5,000	\$5,000	\$3,225	09/30/2011	
BNSF 2010-439(SA)	4	\$20,000	\$20,000	\$13,000	09/30/2011	
BNSF 2010-440(LI)	1	\$2,500	\$2,500	\$1,575	09/30/2011	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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 2010-441(TS)	1	\$2,500	\$2,500	\$1,750	09/30/2011	
BNSF 2010-442(AD)	2	\$5,000	\$5,000	\$3,175	09/30/2011	
BNSF 2010-443(TS)	3	\$4,500	\$4,500	\$2,975	09/30/2011	
BNSF 2010-444(TS)	4	\$4,000	\$4,000	\$2,600	09/30/2011	
BNSF 2010-445(TS)	10	\$10,000	\$10,000	\$6,500	09/30/2011	
BNSF 2010-446(ROP)	1	\$9,500	\$9,500	\$6,650	09/30/2011	
BNSF 2010-447(ROP)	4	\$32,000	\$32,000	\$19,865	09/30/2011	
BNSF 2010-448(TS)	1	\$2,500	\$2,500	\$1,625	09/30/2011	
BNSF 2010-449(TS)	8	\$8,000	\$8,000	\$5,425	09/30/2011	
BNSF 2010-450(HMT)	1	\$5,000	\$5,000	\$3,200	09/30/2011	
BNSF 2010-451(SA)	1	\$5,000	\$5,000	\$3,225	09/30/2011	
BNSF 2010-452(ROP)	2	\$17,000	\$17,000	\$10,750	09/30/2011	
BNSF 2010-453(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2011	
BNSF 2010-454(TS)	2	\$2,000	\$2,000	\$1,300	09/30/2011	
BNSF 2010-457(TS)	3	\$10,000	\$10,000	\$6,650	09/30/2011	
BNSF 2010-458(HSR)	2	\$2,000	\$2,000	\$1,300	09/30/2011	
BNSF 2010-460(EQ)	1	\$2,500	\$2,500	\$1,615	09/30/2011	
BNSF 2010-461(SA)	2	\$7,500	\$7,500	\$4,850	09/30/2011	
BNSF 2010-462(SA)	1	\$2,500	\$2,500	\$1,625	09/30/2011	
BNSF 2011-1(ROP)	1	\$7,500	\$7,500	\$4,500	09/30/2011	
BNSF 2011-4(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2011	
BNSF 2011-6(FCS)	1	\$5,000	\$5,000	\$3,200	09/30/2011	
BNSF 2011-7(ROP)	1	\$5,000	\$5,000	\$3,250	09/30/2011	
BNSF 2011-9(SA)	1	\$5,000	\$5,000	\$3,225	09/30/2011	
BNSF 2011-10(SA)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
BNSF 2011-12(ROP)	3	\$22,000	\$22,000	\$14,100	09/30/2011	
BNSF 2011-13(ROR)	2	\$17,000	\$7,500	\$4,575	09/30/2011	Terminated Violation(s): 1.
BNSF 2011-14(GC)	2	\$10,000	\$10,000	\$7,000	09/30/2011	
BNSF 2011-15(SA)	1	\$5,000	\$5,000	\$3,225	09/30/2011	
BNSF 2011-16(SA)	1	\$5,000	\$5,000	\$3,225	09/30/2011	
BNSF 2011-17(ROP)	2	\$15,000	\$15,000	\$9,150	09/30/2011	
BNSF 2011-18(TS)	2	\$3,500	\$3,500	\$2,275	09/30/2011	
BNSF 2011-19(EO)	1	\$2,500	\$2,500	\$1,675	09/30/2011	
BNSF 2011-20(TS)	20	\$100,000	\$100,000	\$60,000	09/30/2011	
BNSF 2011-21(RSP)	1	\$2,500	\$2,500	\$1,750	09/30/2011	
BNSF 2011-22(ROP)	1	\$9,500	\$9,500	\$6,275	09/30/2011	
BNSF 2011-23(SA)	3	\$15,000	\$15,000	\$9,750	09/30/2011	
BNSF 2011-24(SA)	2	\$5,000	\$5,000	\$3,200	09/30/2011	
BNSF 2011-25(SA)	2	\$5,000	\$5,000	\$3,150	09/30/2011	
BNSF 2011-26(GS)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
BNSF 2011-27(LI)	1	\$2,500	\$2,500	\$1,625	09/30/2011	
BNSF 2011-28(TS)	1	\$1,000	\$1,000	\$650	09/30/2011	
BNSF 2011-30(HMT)	1	\$2,000	\$2,000	\$1,200	09/30/2011	
BNSF 2011-31(HMT)	3	\$15,000	\$15,000	\$9,750	09/30/2011	
BNSF 2011-32(SA)	2	\$5,000	\$5,000	\$3,225	09/30/2011	
BNSF 2011-33(SA)	2	\$10,000	\$10,000	\$6,450	09/30/2011	
BNSF 2011-34(SA)	2	\$10,000	\$10,000	\$6,450	09/30/2011	
BNSF 2011-35(SA)	2	\$7,500	\$7,500	\$4,925	09/30/2011	
BNSF 2011-36(FCS)	1	\$2,500	\$2,500	\$1,575	09/30/2011	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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 2011-37(ROP)	2	\$15,000	\$15,000	\$9,150	09/30/2011	
BNSF 2011-38(SA)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
BNSF 2011-39(TS)	4	\$12,500	\$12,500	\$7,950	09/30/2011	
BNSF 2011-41(EQ)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
BNSF 2011-43(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
BNSF 2011-45(ROP)	1	\$7,500	\$7,500	\$4,500	09/30/2011	
BNSF 2011-46(SA)	1	\$5,000	\$5,000	\$3,200	09/30/2011	
BNSF 2011-47(SA)	3	\$7,500	\$7,500	\$4,850	09/30/2011	
BNSF 2011-48(SA)	3	\$7,500	\$7,500	\$4,850	09/30/2011	
BNSF 2011-51(LI)	1	\$1,000	\$1,000	\$675	09/30/2011	
BNSF 2011-53(TS)	3	\$15,000	\$15,000	\$9,800	09/30/2011	
BNSF 2011-54(ROP)	1	\$9,500	\$9,500	\$6,275	09/30/2011	
BNSF 2011-55(SA)	3	\$15,000	\$15,000	\$9,750	09/30/2011	
BNSF 2011-56(TS)	3	\$8,000	\$8,000	\$5,150	09/30/2011	
BNSF 2011-59(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2011	
BNSF 2011-60(SA)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
BNSF 2011-61(HMT)	3	\$17,500	\$17,500	\$11,375	09/30/2011	
BNSF 2011-63(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
BNSF 2011-64(ROP)	1	\$7,500	\$7,500	\$4,500	09/30/2011	
BNSF 2011-66(ROP)	1	\$7,500	\$7,500	\$4,500	09/30/2011	
BNSF 2011-67(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2011	
BNSF 2011-68(RW)	1	\$3,000	\$3,000	\$1,975	09/30/2011	
BNSF 2011-71(RSP)	1	\$5,000	\$5,000	\$3,350	09/30/2011	
BNSF 2011-72(RSP)	1	\$5,000	\$5,000	\$3,050	09/30/2011	
BNSF 2011-74(ROP)	1	\$7,500	\$7,500	\$4,500	09/30/2011	
BNSF 2011-75(SA)	2	\$10,000	\$10,000	\$6,500	09/30/2011	
BNSF 2011-76(SA)	2	\$10,000	\$10,000	\$6,450	09/30/2011	
BNSF 2011-78(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2011	
BNSF 2011-79(FCS)	2	\$5,000	\$5,000	\$1,350	09/30/2011	
BNSF 2011-82(SA)	3	\$10,000	\$10,000	\$6,450	09/30/2011	
BNSF 2011-85(SI)	1	\$2,500	\$2,500	\$1,750	09/30/2011	
BNSF 2011-86(ROP)	3	\$22,500	\$22,500	\$13,550	09/30/2011	
BNSF 2011-89(SA)	2	\$10,000	\$10,000	\$6,450	09/30/2011	
BNSF 2011-90(ROP)	1	\$9,500	\$9,500	\$6,750	09/30/2011	
BNSF 2011-93(ROP)	1	\$7,500	\$7,500	\$4,500	09/30/2011	
BNSF 2011-94(FCS)	1	\$2,500	\$2,500	\$1,550	09/30/2011	
BNSF 2011-95(ROP)	2	\$17,000	\$17,000	\$11,250	09/30/2011	
BNSF 2011-97(SA)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
BNSF 2011-98(SA)	1	\$2,500	\$2,500	\$1,625	09/30/2011	
BNSF 2011-99(SA)	1	\$5,000	\$5,000	\$3,225	09/30/2011	
BNSF 2011-101(ROP)	4	\$30,000	\$30,000	\$18,000	09/30/2011	
BNSF 2011-105(SA)	2	\$10,000	\$10,000	\$6,450	09/30/2011	
BNSF 2011-106(ROP)	1	\$7,500	\$7,500	\$4,500	09/30/2011	
BNSF 2011-109(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2011	
BNSF 2011-110(SA)	2	\$7,500	\$7,500	\$4,875	09/30/2011	
BNSF 2011-111(FCS)	1	\$5,000	\$5,000	\$3,200	09/30/2011	
BPRR 2007-1(LI)	1	\$1,500	\$1,500	\$900	01/24/2011	
BPRR 2007-2(FCS)	1	\$2,500	\$2,500	\$1,500	01/24/2011	
BPRR 2007-3(HMT)	1	\$7,500	\$7,500	\$6,000	01/24/2011	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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>
BPRR 2008-1(GC)	1	\$5,000	\$5,000	\$3,500	01/24/2011	
BPRR 2008-3(TS)	2	\$10,000	\$10,000	\$7,000	01/24/2011	
BPRR 2008-4(SA)	1	\$2,500	\$2,500	\$2,500	01/24/2011	
BPRR 2009-1(HMT)	5	\$10,000	\$10,000	\$8,000	01/24/2011	
BPRR 2009-2(SA)	2	\$5,000	\$5,000	\$3,500	01/24/2011	
BPRR 2009-3(GC)	1	\$5,000	\$5,000	\$3,500	01/24/2011	
BPRR 2009-4(SA)	1	\$5,000	\$5,000	\$3,500	01/24/2011	
BPRR 2009-5(TS)	1	\$5,000	\$5,000	\$3,500	01/24/2011	
BPRR 2009-6(HMT)	6	\$15,000	\$15,000	\$12,000	01/24/2011	
BPRR 2010-1(AR)	1	\$2,500	\$2,500	\$1,400	01/24/2011	
BRC 2009-8(SA)	1	\$5,000	\$5,000	\$3,500	01/27/2011	
BRC 2009-9(GC)	5	\$12,500	\$12,500	\$7,500	01/27/2011	
BRC 2009-10(SI)	11	\$11,000	\$11,000	\$6,600	01/27/2011	
BRC 2009-11(SI)	3	\$21,000	\$21,000	\$12,600	01/27/2011	
BRC 2009-12(GC)	1	\$5,000	\$5,000	\$3,000	01/27/2011	
BRC 2009-13(HMT)	3	\$3,000	\$3,000	\$2,100	01/27/2011	
BRC 2009-14(HMT)	1	\$5,000	\$5,000	\$3,500	01/27/2011	
BRC 2010-1(SA)	1	\$5,000	\$5,000	\$3,500	01/27/2011	
BRC 2010-2(FCS)	3	\$7,500	\$7,500	\$5,250	01/27/2011	
BRC 2010-3(FCS)	1	\$2,500	\$2,500	\$1,750	01/27/2011	
BRG 2008-1(SA)	2	\$5,000	\$5,000	\$3,500	11/12/2010	
BRG 2009-1(SA)	1	\$5,000	\$5,000	\$3,500	11/12/2010	
BRW 2003-1(TS)	2	\$4,000	\$0	\$0	03/14/2011	Case Terminated.
BRW 2004-1(TS)	11	\$16,000	\$0	\$0	03/14/2011	Case Terminated.
BSFS 2004-1(TS)	4	\$8,000	\$8,000	\$4,000	01/06/2011	
CA 2010-1(SI)	2	\$25,000	\$25,000	\$16,250	09/29/2011	
CFE 2010-2(GC)	1	\$5,000	\$5,000	\$5,000	12/06/2010	
CFNR 2009-1(GC)	1	\$5,000	\$5,000	\$3,450	09/29/2011	
CFNR 2010-1(TS)	1	\$3,750	\$3,750	\$2,700	09/29/2011	
CN 2009-42(TS)	2	\$2,000	\$2,000	\$1,340	09/30/2011	
CN 2009-59(TS)	1	\$2,500	\$2,500	\$1,750	09/30/2011	
CN 2010-1(HMT)	1	\$2,500	\$2,500	\$1,750	09/30/2011	
CN 2010-2(HMT)	2	\$5,500	\$5,500	\$3,730	09/30/2011	
CN 2010-3(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2011	
CN 2010-4(EQ)	2	\$7,500	\$2,500	\$1,500	09/30/2011	Terminated Violation(s): 1
CN 2010-5(ROP)	2	\$15,000	\$15,000	\$10,500	09/30/2011	
CN 2010-6(SA)	4	\$17,500	\$17,500	\$11,900	09/30/2011	
CN 2010-8(SA)	4	\$20,000	\$20,000	\$13,600	09/30/2011	
CN 2010-9(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2011	
CN 2010-10(TS)	1	\$5,000	\$5,000	\$4,500	09/30/2011	
CN 2010-11(SA)	3	\$12,500	\$12,500	\$8,525	09/30/2011	
CN 2010-12(REM)	1	\$5,000	\$5,000	\$3,250	09/30/2011	
CN 2010-13(LI)	2	\$5,000	\$5,000	\$3,475	09/30/2011	
CN 2010-14(AD)	2	\$5,000	\$5,000	\$3,400	09/30/2011	
CN 2010-15(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2011	
CN 2010-16(SA)	3	\$12,500	\$12,500	\$8,725	09/30/2011	
CN 2010-17(FCS)	1	\$2,500	\$2,500	\$1,675	09/30/2011	
CN 2010-18(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2011	
CN 2010-19(SI)	1	\$1,000	\$1,000	\$700	09/30/2011	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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 2010-20(LI)	1	\$2,500	\$2,500	\$1,750	09/30/2011	
CN 2010-21(SA)	2	\$10,000	\$10,000	\$7,000	09/30/2011	
CN 2010-22(SI)	1	\$2,500	\$2,500	\$1,750	09/30/2011	
CN 2010-23(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2011	
CN 2010-24(LI)	1	\$2,500	\$2,500	\$1,700	09/30/2011	
CN 2010-25(HSR)	1	\$1,000	\$1,000	\$680	09/30/2011	
CN 2010-26(RSP)	1	\$5,000	\$5,000	\$3,250	09/30/2011	
CN 2010-27(ROP)	4	\$36,000	\$36,000	\$24,630	09/30/2011	
CN 2010-28(SA)	4	\$15,000	\$15,000	\$10,200	09/30/2011	
CN 2010-29(HMT)	2	\$9,000	\$9,000	\$6,300	09/30/2011	
CN 2010-30(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2011	
CN 2010-31(HSR)	4	\$4,000	\$4,000	\$2,600	09/30/2011	
CN 2010-32(RSP)	1	\$5,000	\$5,000	\$3,250	09/30/2011	
CN 2010-34(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2011	
CN 2010-35(TS)	1	\$1,000	\$1,000	\$750	09/30/2011	
CN 2010-36(EO)	1	\$2,500	\$2,500	\$1,750	09/30/2011	
CN 2010-37(EQ)	1	\$5,000	\$5,000	\$3,350	09/30/2011	
CN 2010-38(ROP)	1	\$9,500	\$9,500	\$6,460	09/30/2011	
CN 2010-39(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2011	
CN 2010-40(SA)	2	\$7,500	\$7,500	\$5,175	09/30/2011	
CN 2010-41(FCS)	2	\$10,000	\$10,000	\$6,500	09/30/2011	
CN 2010-42(LI)	1	\$2,500	\$2,500	\$1,700	09/30/2011	
CN 2010-45(LI)	1	\$2,500	\$2,500	\$1,700	09/30/2011	
CN 2010-46(HS)	2	\$2,000	\$2,000	\$1,400	09/30/2011	
CN 2010-47(ROP)	1	\$9,500	\$9,500	\$6,460	09/30/2011	
CN 2010-48(SA)	3	\$12,500	\$12,500	\$8,575	09/30/2011	
CN 2010-49(SA)	3	\$15,000	\$15,000	\$10,250	09/30/2011	
CN 2010-50(FCS)	2	\$7,500	\$7,500	\$4,875	09/30/2011	
CN 2010-51(ROP)	1	\$9,500	\$9,500	\$6,460	09/30/2011	
CN 2010-52(ROP)	2	\$17,000	\$17,000	\$11,560	09/30/2011	
CN 2010-53(HMT)	2	\$13,500	\$13,500	\$9,450	09/30/2011	
CN 2010-54(SA)	2	\$10,000	\$10,000	\$6,800	09/30/2011	
CN 2010-55(LI)	1	\$1,500	\$1,500	\$1,020	09/30/2011	
CN 2010-56(SA)	2	\$7,500	\$7,500	\$5,250	09/30/2011	
CN 2010-57(FCS)	1	\$5,000	\$5,000	\$3,250	09/30/2011	
CN 2010-58(SA)	2	\$10,000	\$10,000	\$6,800	09/30/2011	
CN 2010-59(HMT)	1	\$4,000	\$4,000	\$2,760	09/30/2011	
CN 2010-60(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2011	
CN 2010-61(TS)	2	\$10,000	\$10,000	\$6,900	09/30/2011	
CN 2010-62(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2011	
CN 2010-63(LI)	1	\$2,500	\$2,500	\$1,625	09/30/2011	
CN 2010-64(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2011	
CN 2010-65(FCS)	1	\$2,500	\$2,500	\$1,625	09/30/2011	
CN 2010-66(LI)	1	\$2,500	\$2,500	\$1,750	09/30/2011	
CN 2010-67(GC)	1	\$5,000	\$5,000	\$3,500	09/30/2011	
CN 2010-68(HMT)	1	\$2,000	\$2,000	\$1,400	09/30/2011	
CN 2010-69(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
CN 2010-70(ROP)	3	\$24,500	\$24,500	\$16,810	09/30/2011	
CN 2010-71(TS)	2	\$2,000	\$2,000	\$1,340	09/30/2011	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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 2010-72(TS)	32	\$32,000	\$32,000	\$21,440	09/30/2011	
CN 2010-73(LI)	1	\$5,000	\$5,000	\$3,500	09/30/2011	
CN 2010-74(FCS)	2	\$5,000	\$5,000	\$3,250	09/30/2011	
CN 2010-75(ROP)	1	\$9,500	\$9,500	\$6,460	09/30/2011	
CN 2010-76(SA)	3	\$10,000	\$10,000	\$6,900	09/30/2011	
CN 2010-77(TS)	24	\$25,000	\$25,000	\$16,770	09/30/2011	
CN 2010-78(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2011	
CN 2010-79(RW)	1	\$3,000	\$3,000	\$2,100	09/30/2011	
CN 2010-80(TS)	3	\$3,000	\$3,000	\$2,010	09/30/2011	
CN 2010-81(HS)	3	\$3,000	\$3,000	\$2,070	09/30/2011	
CN 2010-82(TS)	1	\$5,000	\$5,000	\$3,500	09/30/2011	
CN 2010-83(TS)	1	\$1,000	\$1,000	\$670	09/30/2011	
CN 2010-84(TH)	1	\$10,000	\$10,000	\$7,500	09/30/2011	
CN 2010-85(GC)	3	\$10,000	\$10,000	\$6,900	09/30/2011	
CN 2010-86(TS)	30	\$32,000	\$32,000	\$21,520	09/30/2011	
CN 2010-87(TS)	13	\$13,000	\$13,000	\$8,710	09/30/2011	
CN 2010-88(HMT)	1	\$5,000	\$5,000	\$3,500	09/30/2011	
CN 2010-89(EQ)	1	\$4,000	\$4,000	\$2,600	09/30/2011	
CN 2010-90(FCS)	5	\$25,000	\$25,000	\$16,500	09/30/2011	
CN 2010-91(SA)	2	\$10,000	\$10,000	\$6,800	09/30/2011	
CN 2010-93(TS)	23	\$23,000	\$23,000	\$15,410	09/30/2011	
CN 2010-94(SA)	2	\$10,000	\$10,000	\$6,800	09/30/2011	
CN 2010-95(LI)	2	\$5,000	\$5,000	\$3,375	09/30/2011	
CN 2010-96(ROP)	1	\$7,500	\$7,500	\$5,175	09/30/2011	
CN 2010-97(TS)	5	\$5,000	\$5,000	\$3,350	09/30/2011	
CN 2010-98(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2011	
CN 2010-99(GC)	2	\$2,000	\$2,000	\$1,380	09/30/2011	
CN 2010-100(ROP)	1	\$7,500	\$7,500	\$5,175	09/30/2011	
CN 2010-101(HMT)	1	\$2,000	\$2,000	\$1,360	09/30/2011	
CN 2010-102(TS)	16	\$16,000	\$16,000	\$10,720	09/30/2011	
CN 2010-103(TS)	1	\$2,000	\$2,000	\$1,380	09/30/2011	
CN 2010-104(TS)	6	\$6,000	\$6,000	\$4,020	09/30/2011	
CN 2010-105(TS)	7	\$8,000	\$8,000	\$5,400	09/30/2011	
CN 2010-106(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2011	
CN 2010-107(ROP)	2	\$14,500	\$14,500	\$9,710	09/30/2011	
CN 2010-108(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2011	
CN 2010-109(SA)	3	\$7,500	\$7,500	\$5,025	09/30/2011	
CN 2010-110(SA)	3	\$7,500	\$7,500	\$5,025	09/30/2011	
CN 2010-111(SA)	3	\$7,500	\$7,500	\$5,025	09/30/2011	
CN 2010-112(SA)	4	\$20,000	\$20,000	\$13,800	09/30/2011	
CN 2010-113(SA)	2	\$5,000	\$5,000	\$3,450	09/30/2011	
CN 2010-114(HS)	12	\$12,000	\$12,000	\$8,280	09/30/2011	
CORP 2008-5(SI)	1	\$5,000	\$5,000	\$550	02/23/2011	
CORP 2011-2(SA)	1	\$2,500	\$2,500	\$1,750	09/29/2011	
COSR 2009-1(HMT)	5	\$12,500	\$12,500	\$5,000	09/29/2011	
COSR 2010-1(AD)	1	\$2,500	\$2,500	\$1,750	09/29/2011	
COSR 2010-2(AR)	1	\$2,500	\$2,500	\$1,800	09/29/2011	
COSR 2010-3(SA)	1	\$5,000	\$5,000	\$3,350	09/29/2011	
CP 2009-24(AR)	1	\$2,500	\$2,500	\$1,575	09/28/2011	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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 2009-25(AR)	2	\$5,000	\$5,000	\$3,500	09/28/2011	
CP 2009-29(AR)	5	\$12,500	\$12,500	\$7,000	09/28/2011	
CP 2009-30(AR)	1	\$2,500	\$2,500	\$1,700	09/28/2011	
CP 2009-31(AR)	3	\$7,500	\$7,500	\$5,200	09/28/2011	
CP 2009-32(AR)	2	\$5,000	\$5,000	\$3,500	09/28/2011	
CP 2009-33(AR)	2	\$5,000	\$5,000	\$2,500	09/28/2011	
CP 2009-34(AR)	3	\$7,500	\$7,500	\$4,700	09/28/2011	
CP 2009-35(AR)	2	\$5,000	\$5,000	\$2,500	09/28/2011	
CP 2010-4(AR)	2	\$5,000	\$2,500	\$1,600	09/28/2011	Terminated Violation(s): 1.
CP 2010-5(AR)	1	\$2,500	\$2,500	\$1,500	09/28/2011	
CP 2010-6(AR)	1	\$2,500	\$2,500	\$1,750	09/28/2011	
CP 2010-9(SA)	2	\$7,500	\$7,500	\$5,500	09/28/2011	
CP 2010-10(SA)	2	\$7,500	\$7,500	\$5,500	09/28/2011	
CP 2010-11(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2011	
CP 2010-12(AR)	3	\$7,500	\$7,500	\$4,000	09/28/2011	
CP 2010-13(AR)	2	\$5,000	\$5,000	\$3,200	09/28/2011	
CP 2010-14(ROP)	1	\$7,500	\$7,500	\$5,700	09/28/2011	
CP 2010-15(HMT)	3	\$6,000	\$6,000	\$4,200	09/28/2011	
CP 2010-16(SA)	3	\$12,500	\$12,500	\$9,100	09/28/2011	
CP 2010-17(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2011	
CP 2010-18(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2011	
CP 2010-19(FCS)	1	\$2,500	\$2,500	\$1,800	09/28/2011	
CP 2010-20(SA)	3	\$10,000	\$10,000	\$7,300	09/28/2011	
CP 2010-21(FCS)	1	\$2,500	\$2,500	\$1,800	09/28/2011	
CP 2010-22(SA)	3	\$15,000	\$15,000	\$7,500	09/28/2011	
CP 2010-23(SA)	3	\$15,000	\$15,000	\$7,500	09/28/2011	
CP 2010-24(SA)	3	\$15,000	\$15,000	\$7,500	09/28/2011	
CP 2010-25(EQ)	1	\$4,000	\$4,000	\$2,400	09/28/2011	
CP 2010-26(SA)	1	\$5,000	\$5,000	\$3,650	09/28/2011	
CP 2010-27(HS)	2	\$2,000	\$2,000	\$1,400	09/28/2011	
CP 2010-28(RW)	1	\$1,000	\$1,000	\$700	09/28/2011	
CP 2010-29(FCS)	1	\$5,000	\$5,000	\$3,600	09/28/2011	
CP 2010-30(HS)	2	\$2,000	\$2,000	\$1,200	09/28/2011	
CP 2010-31(TH)	1	\$5,000	\$5,000	\$3,200	09/28/2011	
CP 2010-32(SA)	2	\$7,500	\$7,500	\$5,500	09/28/2011	
CP 2011-1(HMT)	1	\$7,500	\$7,500	\$5,000	09/28/2011	
CP 2011-2(ROP)	2	\$15,000	\$15,000	\$11,000	09/28/2011	
CP 2011-3(GC)	2	\$5,000	\$5,000	\$3,500	09/28/2011	
CP 2011-4(ROP)	1	\$7,500	\$7,500	\$5,500	09/28/2011	
CP 2011-5(SA)	2	\$10,000	\$10,000	\$7,300	09/28/2011	
CP 2011-6(SA)	2	\$10,000	\$10,000	\$7,300	09/28/2011	
CP 2011-7(SA)	2	\$10,000	\$10,000	\$7,300	09/28/2011	
CP 2011-8(HS)	2	\$2,000	\$2,000	\$1,325	09/28/2011	
CP 2011-9(HMT)	4	\$8,000	\$8,000	\$5,300	09/28/2011	
CP 2011-10(HMT)	1	\$1,000	\$1,000	\$750	09/28/2011	
CP 2011-11(RSP)	1	\$5,000	\$5,000	\$3,000	09/28/2011	
CP 2011-12(ROP)	1	\$7,500	\$7,500	\$5,500	09/28/2011	
CP 2011-15(HS)	3	\$3,000	\$3,000	\$2,100	09/28/2011	
CP 2011-16(FCS)	1	\$5,000	\$5,000	\$3,600	09/28/2011	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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 2011-17(AR)	2	\$5,000	\$5,000	\$3,150	09/28/2011	
CPDR 2010-1(TS)	3	\$10,000	\$10,000	\$6,200	09/29/2011	
CRL 2011-7(AR)	1	\$2,500	\$2,500	\$2,500	09/09/2011	
CRSH 2010-4(SA)	1	\$5,000	\$5,000	\$3,500	09/23/2011	
CRSH 2010-5(GC)	1	\$5,000	\$5,000	\$3,650	09/23/2011	
CRSH 2010-6(SA)	2	\$10,000	\$0	\$0	09/23/2011	Case Terminated.
CRSH 2010-7(SA)	2	\$10,000	\$5,000	\$3,500	09/23/2011	Terminated Violation(s): 1.
CRSH 2011-2(ROP)	3	\$22,000	\$22,000	\$15,150	09/23/2011	
CRSH 2011-3(SA)	2	\$10,000	\$10,000	\$7,000	09/23/2011	
CRSH 2011-4(SI)	1	\$1,000	\$1,000	\$720	09/23/2011	
CRSH 2011-5(TH)	1	\$5,000	\$5,000	\$3,600	09/23/2011	
CRSH 2011-6(TS)	5	\$13,000	\$13,000	\$9,100	09/23/2011	
CSX 2007-316(TS)	15	\$30,000	\$22,500	\$14,625	09/30/2011	Partially Terminated Violation(s): 2
CSX 2008-283(AR)	2	\$5,000	\$5,000	\$3,250	09/30/2011	
CSX 2009-14(HSR)	1	\$1,000	\$1,000	\$650	09/30/2011	
CSX 2009-255(TS)	1	\$2,500	\$2,500	\$1,625	09/30/2011	
CSX 2010-25(HMT)	2	\$5,500	\$5,500	\$3,470	09/30/2011	
CSX 2010-50(SA)	3	\$12,500	\$12,500	\$7,825	09/30/2011	
CSX 2010-54(ROP)	2	\$17,000	\$17,000	\$11,600	09/30/2011	
CSX 2010-58(SA)	4	\$10,000	\$10,000	\$6,350	09/30/2011	
CSX 2010-66(SA)	4	\$12,500	\$12,500	\$7,900	09/30/2011	
CSX 2010-70(ROP)	3	\$26,500	\$26,500	\$17,800	09/30/2011	
CSX 2010-74(ROP)	3	\$28,500	\$28,500	\$18,500	09/30/2011	
CSX 2010-77(AR)	1	\$1,000	\$1,000	\$680	09/30/2011	
CSX 2010-78(SA)	4	\$15,000	\$15,000	\$9,400	09/30/2011	
CSX 2010-81(SA)	4	\$12,500	\$12,500	\$8,000	09/30/2011	
CSX 2010-82(LI)	4	\$10,000	\$10,000	\$6,350	09/30/2011	
CSX 2010-85(GC)	3	\$15,000	\$15,000	\$10,400	09/30/2011	
CSX 2010-86(TS)	3	\$15,000	\$15,000	\$9,500	09/30/2011	
CSX 2010-88(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2011	
CSX 2010-90(TS)	2	\$10,000	\$10,000	\$6,450	09/30/2011	
CSX 2010-93(HMT)	1	\$5,000	\$5,000	\$3,160	09/30/2011	
CSX 2010-96(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2011	
CSX 2010-97(ROP)	1	\$7,500	\$7,500	\$4,850	09/30/2011	
CSX 2010-100(TS)	1	\$2,500	\$2,500	\$1,625	09/30/2011	
CSX 2010-101(GC)	2	\$7,500	\$7,500	\$5,000	09/30/2011	
CSX 2010-102(SA)	2	\$7,500	\$7,500	\$4,850	09/30/2011	
CSX 2010-103(SA)	3	\$10,000	\$10,000	\$6,300	09/30/2011	
CSX 2010-104(BW)	1	\$1,000	\$1,000	\$650	09/30/2011	
CSX 2010-105(LI)	2	\$5,000	\$5,000	\$3,200	09/30/2011	
CSX 2010-106(TS)	2	\$7,500	\$7,500	\$4,800	09/30/2011	
CSX 2010-107(TS)	6	\$22,500	\$22,500	\$14,200	09/30/2011	
CSX 2010-108(GC)	2	\$10,000	\$10,000	\$6,900	09/30/2011	
CSX 2010-109(ROR)	1	\$7,500	\$7,500	\$5,000	09/30/2011	
CSX 2010-110(FCS)	1	\$5,000	\$5,000	\$3,200	09/30/2011	
CSX 2010-111(HMT)	1	\$2,000	\$2,000	\$1,270	09/30/2011	
CSX 2010-112(LI)	2	\$3,500	\$3,500	\$2,250	09/30/2011	
CSX 2010-113(ROP)	1	\$7,500	\$7,500	\$4,900	09/30/2011	
CSX 2010-114(HSR)	5	\$5,000	\$5,000	\$3,200	09/30/2011	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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 2010-115(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2011	
CSX 2010-116(ROR)	4	\$34,000	\$34,000	\$23,500	09/30/2011	
CSX 2010-117(GC)	2	\$5,000	\$5,000	\$3,500	09/30/2011	
CSX 2010-118(HMT)	1	\$3,000	\$3,000	\$1,895	09/30/2011	
CSX 2010-119(TS)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
CSX 2010-120(TS)	5	\$22,500	\$22,500	\$14,000	09/30/2011	
CSX 2010-121(LI)	2	\$5,000	\$5,000	\$3,150	09/30/2011	
CSX 2010-122(AD)	1	\$5,000	\$5,000	\$3,100	09/30/2011	
CSX 2010-123(FCS)	5	\$14,500	\$14,500	\$9,250	09/30/2011	
CSX 2010-124(HMT)	1	\$2,000	\$2,000	\$1,270	09/30/2011	
CSX 2010-125(ROP)	3	\$22,500	\$22,500	\$15,500	09/30/2011	
CSX 2010-126(HMT)	1	\$8,000	\$8,000	\$5,060	09/30/2011	
CSX 2010-127(SA)	3	\$12,500	\$12,500	\$8,100	09/30/2011	
CSX 2010-128(SA)	3	\$10,000	\$10,000	\$6,350	09/30/2011	
CSX 2010-129(SA)	3	\$15,000	\$15,000	\$9,500	09/30/2011	
CSX 2010-130(SA)	3	\$10,000	\$10,000	\$6,400	09/30/2011	
CSX 2010-131(SA)	3	\$10,000	\$10,000	\$6,400	09/30/2011	
CSX 2010-132(TS)	2	\$6,000	\$6,000	\$3,900	09/30/2011	
CSX 2010-133(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
CSX 2010-134(AD)	1	\$2,500	\$2,500	\$1,500	09/30/2011	
CSX 2010-135(HMT)	1	\$2,000	\$2,000	\$1,270	09/30/2011	
CSX 2010-136(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
CSX 2010-137(SA)	4	\$20,000	\$20,000	\$12,900	09/30/2011	
CSX 2010-138(SA)	3	\$10,000	\$10,000	\$6,400	09/30/2011	
CSX 2010-139(SA)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
CSX 2010-140(HSR)	5	\$5,000	\$5,000	\$3,250	09/30/2011	
CSX 2010-141(HSR)	2	\$2,000	\$2,000	\$1,300	09/30/2011	
CSX 2010-143(ROP)	1	\$7,500	\$7,500	\$4,700	09/30/2011	
CSX 2010-144(HS)	1	\$1,000	\$1,000	\$650	09/30/2011	
CSX 2010-145(HS)	3	\$3,000	\$3,000	\$1,900	09/30/2011	
CSX 2010-146(HS)	2	\$2,000	\$2,000	\$1,350	09/30/2011	
CSX 2010-147(LI)	1	\$2,500	\$2,500	\$1,775	09/30/2011	
CSX 2010-148(SA)	3	\$10,000	\$10,000	\$6,350	09/30/2011	
CSX 2010-149(SA)	3	\$7,500	\$7,500	\$4,750	09/30/2011	
CSX 2010-150(TS)	1	\$5,000	\$5,000	\$3,200	09/30/2011	
CSX 2010-151(FCS)	3	\$10,000	\$10,000	\$6,400	09/30/2011	
CSX 2010-152(HMT)	4	\$26,500	\$26,500	\$16,200	09/30/2011	
CSX 2010-153(GC)	1	\$1,000	\$1,000	\$680	09/30/2011	
CSX 2010-154(SI)	2	\$7,500	\$7,500	\$4,950	09/30/2011	
CSX 2010-155(ROR)	2	\$15,000	\$0	\$0	09/30/2011	Case Terminated.
CSX 2010-156(GC)	1	\$5,000	\$5,000	\$3,300	09/30/2011	
CSX 2010-157(FCS)	2	\$7,500	\$7,500	\$4,800	09/30/2011	
CSX 2010-158(SA)	3	\$10,000	\$10,000	\$6,300	09/30/2011	
CSX 2010-159(SA)	2	\$10,000	\$10,000	\$6,300	09/30/2011	
CSX 2010-160(SA)	3	\$7,500	\$7,500	\$4,850	09/30/2011	
CSX 2010-161(RSP)	2	\$2,000	\$2,000	\$1,325	09/30/2011	
CSX 2010-162(LI)	3	\$6,500	\$6,500	\$4,150	09/30/2011	
CSX 2010-163(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
CSX 2010-164(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2011	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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 2010-165(SA)	1	\$5,000	\$5,000	\$3,200	09/30/2011	
CSX 2010-166(HS)	1	\$2,000	\$1,000	\$780	09/30/2011	Partially Terminated.
CSX 2010-167(ROR)	1	\$9,500	\$9,500	\$6,200	09/30/2011	
CSX 2010-168(ROP)	1	\$7,500	\$7,500	\$5,150	09/30/2011	
CSX 2010-169(FCS)	1	\$2,500	\$0	\$0	09/30/2011	Case Terminated.
CSX 2010-170(HMT)	1	\$5,000	\$5,000	\$3,160	09/30/2011	
CSX 2010-171(SA)	1	\$5,000	\$5,000	\$3,200	09/30/2011	
CSX 2010-173(HSR)	2	\$2,000	\$2,000	\$1,300	09/30/2011	
CSX 2010-174(TS)	4	\$8,000	\$8,000	\$5,100	09/30/2011	
CSX 2010-175(FCS)	4	\$10,000	\$0	\$0	09/30/2011	Case Terminated.
CSX 2010-176(SA)	1	\$2,500	\$2,500	\$1,575	09/30/2011	
CSX 2010-177(SI)	1	\$1,000	\$1,000	\$675	09/30/2011	
CSX 2010-178(FCS)	2	\$5,000	\$5,000	\$3,200	09/30/2011	
CSX 2010-179(SA)	2	\$7,500	\$7,500	\$4,775	09/30/2011	
CSX 2010-180(SA)	3	\$7,500	\$7,500	\$4,750	09/30/2011	
CSX 2010-183(ROR)	1	\$7,500	\$7,500	\$4,800	09/30/2011	
CSX 2010-184(TS)	3	\$15,000	\$15,000	\$9,650	09/30/2011	
CSX 2010-185(TS)	2	\$7,500	\$7,500	\$4,800	09/30/2011	
CSX 2010-186(TS)	1	\$5,000	\$5,000	\$3,200	09/30/2011	
CSX 2010-187(TS)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
CSX 2010-188(SA)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
CSX 2010-189(GC)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
CSX 2010-190(SA)	2	\$10,000	\$10,000	\$6,200	09/30/2011	
CSX 2010-191(FCS)	2	\$5,000	\$5,000	\$3,200	09/30/2011	
CSX 2010-193(LI)	2	\$4,000	\$4,000	\$2,570	09/30/2011	
CSX 2010-194(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
CSX 2010-195(ROP)	2	\$15,000	\$15,000	\$10,500	09/30/2011	
CSX 2010-196(TS)	2	\$5,000	\$5,000	\$3,200	09/30/2011	
CSX 2010-197(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
CSX 2010-198(FCS)	1	\$2,500	\$2,500	\$1,625	09/30/2011	
CSX 2010-199(HS)	1	\$1,000	\$1,000	\$650	09/30/2011	
CSX 2010-200(SA)	5	\$15,000	\$15,000	\$9,375	09/30/2011	
CSX 2010-201(SA)	2	\$10,000	\$10,000	\$6,250	09/30/2011	
CSX 2010-202(SA)	2	\$5,000	\$5,000	\$3,150	09/30/2011	
CSX 2010-203(SI)	1	\$5,000	\$5,000	\$3,200	09/30/2011	
CSX 2010-204(TS)	2	\$6,000	\$6,000	\$3,900	09/30/2011	
CSX 2010-205(SA)	1	\$5,000	\$5,000	\$3,150	09/30/2011	
CSX 2010-207(LI)	1	\$1,500	\$1,500	\$975	09/30/2011	
CSX 2010-208(SA)	1	\$5,000	\$5,000	\$3,150	09/30/2011	
CSX 2010-209(RW)	1	\$2,000	\$2,000	\$1,300	09/30/2011	
CSX 2010-211(FCS)	1	\$5,000	\$5,000	\$3,200	09/30/2011	
CSX 2010-212(SA)	3	\$7,500	\$7,500	\$4,750	09/30/2011	
CSX 2010-213(SA)	3	\$10,000	\$10,000	\$6,200	09/30/2011	
CSX 2010-214(SA)	2	\$7,500	\$7,500	\$4,775	09/30/2011	
CSX 2010-215(GC)	1	\$5,000	\$5,000	\$3,400	09/30/2011	
CSX 2010-216(ROP)	2	\$12,500	\$7,500	\$4,500	09/30/2011	Terminated Violation(s): 1.
CSX 2010-217(FCS)	7	\$17,500	\$17,500	\$11,100	09/30/2011	
CSX 2010-218(TS)	1	\$5,000	\$5,000	\$3,200	09/30/2011	
CSX 2010-219(SA)	2	\$5,000	\$5,000	\$3,150	09/30/2011	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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 2010-221(SA)	4	\$15,000	\$15,000	\$9,400	09/30/2011	
CSX 2010-222(LI)	3	\$6,500	\$6,500	\$4,150	09/30/2011	
CSX 2010-223(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
CSX 2010-224(HMT)	1	\$5,000	\$5,000	\$3,160	09/30/2011	
CSX 2010-225(SI)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
CSX 2010-226(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2011	
CSX 2010-227(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
CSX 2010-228(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
CSX 2010-229(SI)	1	\$5,000	\$5,000	\$3,200	09/30/2011	
CSX 2010-231(SA)	2	\$5,000	\$5,000	\$3,150	09/30/2011	
CSX 2010-232(SA)	1	\$5,000	\$5,000	\$3,150	09/30/2011	
CSX 2010-233(TS)	2	\$10,000	\$10,000	\$6,400	09/30/2011	
CSX 2010-234(FCS)	5	\$15,000	\$15,000	\$9,550	09/30/2011	
CSX 2010-235(SA)	1	\$5,000	\$5,000	\$3,150	09/30/2011	
CSX 2010-236(ROP)	1	\$7,500	\$7,500	\$5,200	09/30/2011	
CSX 2010-237(TS)	14	\$70,000	\$70,000	\$45,000	09/30/2011	
CSX 2010-238(AR)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
CSX 2010-239(RW)	1	\$1,000	\$1,000	\$680	09/30/2011	
CSX 2010-240(SI)	1	\$1,000	\$1,000	\$675	09/30/2011	
CSX 2010-241(SA)	1	\$5,000	\$5,000	\$3,150	09/30/2011	
CSX 2010-242(FCS)	1	\$5,000	\$5,000	\$3,200	09/30/2011	
CSX 2010-243(SA)	1	\$5,000	\$5,000	\$3,100	09/30/2011	
CSX 2010-244(FCS)	1	\$2,500	\$2,500	\$700	09/30/2011	
CSX 2010-245(TS)	14	\$70,000	\$70,000	\$45,000	09/30/2011	
CSX 2010-246(SA)	2	\$5,000	\$5,000	\$3,150	09/30/2011	
CSX 2010-247(TS)	2	\$10,000	\$10,000	\$6,400	09/30/2011	
CSX 2010-248(TS)	1	\$5,000	\$5,000	\$3,200	09/30/2011	
CSX 2010-249(ROP)	1	\$7,500	\$7,500	\$5,200	09/30/2011	
CSX 2010-250(TS)	1	\$1,000	\$1,000	\$680	09/30/2011	
CSX 2010-251(SA)	3	\$7,500	\$7,500	\$4,750	09/30/2011	
CSX 2010-252(SA)	4	\$15,000	\$15,000	\$9,350	09/30/2011	
CSX 2010-253(SA)	3	\$7,500	\$7,500	\$4,800	09/30/2011	
CSX 2010-254(RW)	1	\$1,000	\$1,000	\$680	09/30/2011	
CSX 2010-255(SI)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
CSX 2010-256(SA)	2	\$7,500	\$7,500	\$4,800	09/30/2011	
CSX 2010-257(SA)	2	\$10,000	\$10,000	\$6,400	09/30/2011	
CSX 2010-258(AR)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
CSX 2010-260(SA)	1	\$5,000	\$5,000	\$3,200	09/30/2011	
CSX 2010-261(SA)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
CSX 2010-262(AR)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
CSX 2010-263(AR)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
CSX 2010-265(AR)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
CSX 2010-267(HMT)	5	\$9,500	\$9,500	\$6,000	09/30/2011	
CSX 2010-269(FCS)	1	\$2,500	\$2,500	\$1,550	09/30/2011	
CSX 2010-270(ROP)	1	\$7,500	\$7,500	\$5,200	09/30/2011	
CSX 2010-275(AR)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
CSX 2010-276(AR)	1	\$2,500	\$2,500	\$1,000	09/30/2011	
CSX 2010-277(AR)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
CSX 2010-278(SA)	1	\$5,000	\$5,000	\$3,150	09/30/2011	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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 2010-280(FCS)	5	\$10,000	\$10,000	\$6,300	09/30/2011	
CSX 2010-281(GC)	3	\$12,500	\$12,500	\$7,800	09/30/2011	
CSX 2010-282(SI)	2	\$2,000	\$2,000	\$1,275	09/30/2011	
CSX 2010-283(TS)	1	\$5,000	\$5,000	\$3,000	09/30/2011	
CSX 2010-284(LI)	4	\$10,000	\$10,000	\$6,300	09/30/2011	
CSX 2010-285(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
CSX 2010-286(LI)	4	\$10,000	\$10,000	\$6,300	09/30/2011	
CSX 2010-287(EP)	1	\$1,000	\$1,000	\$650	09/30/2011	
CSX 2010-288(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
CSX 2010-289(LI)	2	\$5,000	\$5,000	\$3,200	09/30/2011	
CSX 2010-290(EP)	1	\$1,000	\$1,000	\$650	09/30/2011	
CSX 2010-291(SA)	3	\$12,500	\$12,500	\$7,950	09/30/2011	
CSX 2010-292(SA)	2	\$5,000	\$5,000	\$3,150	09/30/2011	
CSX 2010-293(SA)	3	\$10,000	\$10,000	\$6,400	09/30/2011	
CSX 2010-294(EQ)	1	\$1,000	\$1,000	\$680	09/30/2011	
CSX 2010-295(HS)	5	\$5,000	\$5,000	\$3,250	09/30/2011	
CSX 2010-296(HS)	1	\$1,000	\$1,000	\$650	09/30/2011	
CSX 2010-297(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
CSX 2010-298(HMT)	1	\$5,000	\$5,000	\$3,160	09/30/2011	
CSX 2010-299(SA)	2	\$5,000	\$5,000	\$3,150	09/30/2011	
CSX 2010-300(TS)	3	\$12,500	\$12,500	\$7,950	09/30/2011	
CSX 2010-301(SA)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
CSX 2010-302(TS)	9	\$18,000	\$18,000	\$11,600	09/30/2011	
CSX 2010-303(GC)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
CSX 2010-304(GC)	1	\$2,500	\$0	\$0	09/30/2011	Case Terminated.
CSX 2010-305(SI)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
CSX 2010-306(TS)	1	\$1,000	\$1,000	\$680	09/30/2011	
CSX 2010-307(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2011	
CSX 2010-309(ROR)	2	\$19,000	\$19,000	\$13,000	09/30/2011	
CSX 2010-310(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
CSX 2010-311(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
CSX 2010-312(SA)	2	\$7,500	\$7,500	\$4,800	09/30/2011	
CSX 2010-313(SA)	5	\$15,000	\$15,000	\$9,550	09/30/2011	
CSX 2010-314(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
CSX 2010-315(GC)	1	\$2,500	\$2,500	\$1,525	09/30/2011	
CSX 2010-316(ROP)	1	\$9,500	\$0	\$0	09/30/2011	Case Terminated.
CSX 2010-317(SI)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
CSX 2010-318(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
CSX 2010-319(SI)	2	\$2,000	\$2,000	\$1,275	09/30/2011	
CSX 2010-323(SA)	2	\$5,000	\$5,000	\$3,150	09/30/2011	
CSX 2010-324(SA)	2	\$5,000	\$5,000	\$3,150	09/30/2011	
CSX 2010-325(SA)	2	\$10,000	\$10,000	\$6,350	09/30/2011	
CSX 2010-326(ROR)	1	\$9,500	\$9,500	\$6,500	09/30/2011	
CSX 2010-327(GC)	1	\$5,000	\$5,000	\$3,400	09/30/2011	
CSX 2010-328(ROP)	1	\$9,500	\$9,500	\$6,500	09/30/2011	
CSX 2010-329(HMT)	2	\$7,500	\$7,500	\$4,740	09/30/2011	
CSX 2010-330(SA)	3	\$10,000	\$10,000	\$6,350	09/30/2011	
CSX 2010-331(FCS)	3	\$7,500	\$0	\$0	09/30/2011	Case Terminated.
CSX 2010-332(FCS)	2	\$5,000	\$5,000	\$3,100	09/30/2011	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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 2010-333(TS)	3	\$5,500	\$5,500	\$3,500	09/30/2011	
CSX 2010-334(HS)	5	\$5,000	\$5,000	\$3,200	09/30/2011	
CSX 2010-335(HS)	4	\$4,000	\$4,000	\$2,600	09/30/2011	
CSX 2010-336(SA)	1	\$2,500	\$2,500	\$1,575	09/30/2011	
CSX 2010-337(LI)	1	\$2,000	\$2,000	\$1,280	09/30/2011	
CSX 2010-338(RW)	1	\$1,000	\$1,000	\$680	09/30/2011	
CSX 2010-339(RW)	1	\$1,000	\$1,000	\$680	09/30/2011	
CSX 2010-340(RW)	1	\$3,000	\$3,000	\$1,900	09/30/2011	
CSX 2010-342(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
CSX 2010-343(ROP)	1	\$9,500	\$9,500	\$6,100	09/30/2011	
CSX 2010-344(SA)	3	\$7,500	\$7,500	\$4,800	09/30/2011	
CSX 2010-345(SA)	4	\$12,500	\$12,500	\$7,950	09/30/2011	
CSX 2010-346(HMT)	1	\$5,000	\$5,000	\$3,160	09/30/2011	
CSX 2010-348(SA)	2	\$5,000	\$5,000	\$3,175	09/30/2011	
CSX 2010-349(RW)	2	\$3,000	\$3,000	\$1,900	09/30/2011	
CSX 2010-350(SA)	1	\$10,000	\$10,000	\$6,350	09/30/2011	
CSX 2010-351(RW)	1	\$3,000	\$3,000	\$1,900	09/30/2011	
CSX 2010-352(RW)	1	\$1,000	\$0	\$0	09/30/2011	Case Terminated.
CSX 2010-353(EP)	3	\$3,000	\$3,000	\$2,025	09/30/2011	
CSX 2010-354(SA)	2	\$7,500	\$7,500	\$4,800	09/30/2011	
CSX 2010-357(ROP)	2	\$19,000	\$19,000	\$12,900	09/30/2011	
CSX 2010-358(HSR)	14	\$14,000	\$14,000	\$9,400	09/30/2011	
CSX 2010-359(HSR)	11	\$11,000	\$11,000	\$7,300	09/30/2011	
CSX 2010-360(HSR)	5	\$5,000	\$5,000	\$3,200	09/30/2011	
CSX 2010-361(HSR)	5	\$5,000	\$5,000	\$3,200	09/30/2011	
CSX 2010-362(HSR)	1	\$1,000	\$1,000	\$650	09/30/2011	
CSX 2010-363(AR)	1	\$1,000	\$1,000	\$680	09/30/2011	
CSX 2010-365(AR)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
CSX 2010-370(AR)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
CSX 2010-373(ROR)	1	\$2,500	\$2,500	\$1,550	09/30/2011	
CSX 2010-374(FCS)	5	\$12,500	\$12,500	\$7,750	09/30/2011	
CSX 2010-375(HMT)	3	\$9,000	\$9,000	\$5,680	09/30/2011	
CSX 2010-376(SA)	3	\$7,500	\$7,500	\$4,800	09/30/2011	
CSX 2010-377(SA)	3	\$15,000	\$15,000	\$9,600	09/30/2011	
CSX 2010-378(SA)	3	\$15,000	\$15,000	\$9,600	09/30/2011	
CSX 2010-379(TS)	3	\$15,000	\$15,000	\$9,000	09/30/2011	
CSX 2010-380(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
CSX 2010-381(EO)	1	\$5,000	\$0	\$0	09/30/2011	Case Terminated.
CSX 2010-382(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2011	
CSX 2010-384(SA)	2	\$5,000	\$5,000	\$3,250	09/30/2011	
CSX 2010-385(SA)	2	\$10,000	\$10,000	\$6,400	09/30/2011	
CSX 2010-386(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2011	
CSX 2011-1(ROP)	2	\$17,000	\$17,000	\$12,200	09/30/2011	
CSX 2011-3(FCS)	3	\$7,500	\$7,500	\$4,850	09/30/2011	
CSX 2011-4(HMT)	1	\$2,000	\$2,000	\$1,270	09/30/2011	
CSX 2011-5(SA)	2	\$7,500	\$7,500	\$4,800	09/30/2011	
CSX 2011-6(SA)	2	\$10,000	\$10,000	\$6,400	09/30/2011	
CSX 2011-7(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
CSX 2011-8(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2011	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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 2011-10(ROP)	1	\$7,500	\$7,500	\$4,900	09/30/2011	
CSX 2011-11(SA)	1	\$2,500	\$2,500	\$1,575	09/30/2011	
CSX 2011-12(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
CSX 2011-14(FCS)	2	\$7,500	\$7,500	\$4,650	09/30/2011	
CSX 2011-15(SA)	2	\$3,500	\$3,500	\$2,250	09/30/2011	
CSX 2011-16(SA)	2	\$5,000	\$5,000	\$3,250	09/30/2011	
CSX 2011-18(LI)	2	\$3,500	\$3,500	\$2,250	09/30/2011	
CSX 2011-19(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2011	
CSX 2011-20(SA)	1	\$7,500	\$7,500	\$4,800	09/30/2011	
CSX 2011-21(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
CSX 2011-22(ROP)	1	\$7,500	\$0	\$0	09/30/2011	Case Terminated.
CSX 2011-23(AD)	1	\$2,500	\$2,500	\$1,500	09/30/2011	
CSX 2011-24(EQ)	1	\$5,000	\$5,000	\$3,200	09/30/2011	
CSX 2011-25(TS)	3	\$10,000	\$10,000	\$6,500	09/30/2011	
CSX 2011-27(FCS)	2	\$5,000	\$2,500	\$1,675	09/30/2011	Terminated Violation(s): 1.
CSX 2011-28(SA)	3	\$7,500	\$7,500	\$4,800	09/30/2011	
CSX 2011-29(FCS)	2	\$5,000	\$0	\$0	09/30/2011	Case Terminated.
CSX 2011-30(TS)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
CSX 2011-33(RW)	1	\$3,000	\$3,000	\$1,900	09/30/2011	
CSX 2011-34(ROP)	1	\$7,500	\$7,500	\$4,900	09/30/2011	
CSX 2011-35(SI)	1	\$5,000	\$5,000	\$3,200	09/30/2011	
CSX 2011-36(HMT)	5	\$34,000	\$34,000	\$20,800	09/30/2011	
CSX 2011-37(LI)	3	\$7,500	\$7,500	\$4,750	09/30/2011	
CSX 2011-38(FCS)	2	\$5,000	\$5,000	\$2,800	09/30/2011	
CSX 2011-39(ROP)	2	\$15,000	\$15,000	\$10,100	09/30/2011	
CSX 2011-41(ROP)	1	\$7,500	\$7,500	\$4,725	09/30/2011	
CSX 2011-42(HMT)	1	\$5,000	\$5,000	\$3,160	09/30/2011	
CSX 2011-45(HSR)	1	\$1,000	\$1,000	\$650	09/30/2011	
CSX 2011-46(HSR)	2	\$2,000	\$2,000	\$1,300	09/30/2011	
CSX 2011-47(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
CSX 2011-49(SA)	3	\$10,000	\$10,000	\$6,400	09/30/2011	
CSX 2011-50(SA)	2	\$10,000	\$10,000	\$6,400	09/30/2011	
CSX 2011-51(FCS)	1	\$2,500	\$2,500	\$1,250	09/30/2011	
CSX 2011-53(HMT)	2	\$9,000	\$9,000	\$5,680	09/30/2011	
CSX 2011-54(HSR)	1	\$1,000	\$1,000	\$700	09/30/2011	
CSX 2011-55(SA)	5	\$12,500	\$10,000	\$6,250	09/30/2011	Terminated Violation(s): 1.
CSX 2011-57(HMT)	8	\$54,500	\$54,500	\$30,000	09/30/2011	
CSX 2011-58(TS)	1	\$5,000	\$5,000	\$3,200	09/30/2011	
CSX 2011-61(HMT)	1	\$3,000	\$3,000	\$1,895	09/30/2011	
CSX 2011-63(HMT)	2	\$8,000	\$8,000	\$5,080	09/30/2011	
CSX 2011-65(SA)	2	\$5,000	\$5,000	\$3,200	09/30/2011	
CSX 2011-67(ROP)	1	\$7,500	\$7,500	\$4,900	09/30/2011	
CSX 2011-68(SA)	2	\$7,500	\$7,500	\$4,800	09/30/2011	
CSX 2011-69(SA)	2	\$7,500	\$7,500	\$4,800	09/30/2011	
CSX 2011-70(SA)	2	\$7,500	\$7,500	\$4,800	09/30/2011	
CSX 2011-71(TS)	1	\$1,000	\$1,000	\$680	09/30/2011	
CSX 2011-73(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
CSX 2011-74(LI)	1	\$2,500	\$2,500	\$1,575	09/30/2011	
CSX 2011-75(SA)	2	\$5,000	\$5,000	\$3,200	09/30/2011	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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 2011-76(LI)	1	\$1,000	\$1,000	\$700	09/30/2011	
CSX 2011-77(RW)	1	\$3,000	\$3,000	\$1,900	09/30/2011	
CSX 2011-78(HMT)	3	\$12,000	\$12,000	\$7,580	09/30/2011	
CSX 2011-79(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
CSX 2011-80(ROP)	1	\$7,500	\$7,500	\$4,900	09/30/2011	
CSX 2011-81(FCS)	2	\$7,500	\$7,500	\$4,850	09/30/2011	
CSX 2011-82(ROP)	1	\$7,500	\$7,500	\$4,900	09/30/2011	
CSX 2011-83(GC)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
CSX 2011-84(FCS)	1	\$5,000	\$5,000	\$3,200	09/30/2011	
CSX 2011-85(SA)	1	\$5,000	\$5,000	\$3,100	09/30/2011	
CSX 2011-88(ROP)	3	\$24,500	\$7,500	\$6,300	09/30/2011	Terminated Violation(s): 1, 3.
CSX 2011-89(SA)	1	\$2,500	\$2,500	\$1,575	09/30/2011	
CSX 2011-91(TS)	1	\$2,000	\$2,000	\$1,300	09/30/2011	
CSX 2011-92(AD)	1	\$2,500	\$2,500	\$1,550	09/30/2011	
CSX 2011-93(SA)	2	\$10,000	\$10,000	\$6,350	09/30/2011	
CSX 2011-95(FCS)	2	\$5,000	\$0	\$0	09/30/2011	Case Terminated.
CSX 2011-98(SA)	1	\$2,500	\$2,500	\$1,575	09/30/2011	
CSX 2011-99(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
CSX 2011-100(SA)	2	\$5,000	\$5,000	\$3,175	09/30/2011	
CSX 2011-101(SA)	1	\$5,000	\$5,000	\$3,175	09/30/2011	
CSX 2011-102(SA)	1	\$2,500	\$2,500	\$1,575	09/30/2011	
CSX 2011-103(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
CSX 2011-104(HMT)	1	\$5,000	\$5,000	\$3,160	09/30/2011	
CSX 2011-106(SA)	1	\$10,000	\$10,000	\$6,350	09/30/2011	
CSX 2011-107(HMT)	1	\$5,000	\$5,000	\$3,160	09/30/2011	
CSX 2011-110(ROP)	2	\$17,000	\$17,000	\$11,500	09/30/2011	
CSX 2011-111(SA)	1	\$5,000	\$5,000	\$3,175	09/30/2011	
CSX 2011-114(SI)	2	\$10,000	\$10,000	\$6,450	09/30/2011	
CSX 2011-117(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
DGNO 2009-3(GC)	5	\$5,000	\$5,000	\$3,400	09/29/2011	
DGNO 2009-4(GC)	2	\$2,000	\$2,000	\$1,360	09/29/2011	
DGNO 2010-1(ROP)	1	\$7,500	\$7,500	\$4,700	09/29/2011	
DGNO 2010-2(GC)	2	\$2,000	\$2,000	\$1,360	09/29/2011	
DGNO 2010-3(ROP)	1	\$7,500	\$7,500	\$4,700	09/29/2011	
DGNO 2010-5(GC)	3	\$4,500	\$4,500	\$3,060	09/29/2011	
DGNO 2010-8(TS)	2	\$10,000	\$10,000	\$4,100	09/29/2011	
DGNO 2011-1(GC)	1	\$1,000	\$1,000	\$720	09/29/2011	
DGNO 2011-2(SA)	1	\$2,500	\$2,500	\$1,800	09/29/2011	
DH 2010-1(SA)	1	\$2,500	\$2,500	\$1,250	09/28/2011	
DH 2010-2(LI)	1	\$2,500	\$2,500	\$1,250	09/28/2011	
DH 2010-3(LI)	1	\$2,500	\$2,500	\$1,500	09/28/2011	
DH 2010-4(LI)	1	\$1,000	\$1,000	\$700	09/28/2011	
DH 2011-1(SA)	1	\$2,500	\$2,500	\$1,850	09/28/2011	
DH 2011-3(LI)	1	\$2,500	\$2,500	\$1,500	09/28/2011	
DME 2010-8(LI)	2	\$2,000	\$2,000	\$1,450	09/28/2011	
DME 2010-9(GC)	3	\$7,500	\$7,500	\$5,000	09/28/2011	
DME 2010-10(GC)	3	\$8,500	\$8,500	\$5,500	09/28/2011	
DME 2010-11(RSP)	1	\$5,000	\$5,000	\$3,000	09/28/2011	
DME 2010-12(ROP)	1	\$9,500	\$9,500	\$7,000	09/28/2011	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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>
DME 2010-13(HMT)	1	\$2,000	\$2,000	\$1,550	09/28/2011	
DME 2010-14(SA)	1	\$5,000	\$5,000	\$3,700	09/28/2011	
DME 2010-15(ROP)	2	\$15,000	\$15,000	\$10,500	09/28/2011	
DME 2010-16(FCS)	5	\$10,000	\$10,000	\$6,500	09/28/2011	
DME 2010-17(SA)	2	\$5,000	\$5,000	\$3,000	09/28/2011	
DME 2010-18(HSR)	1	\$1,000	\$1,000	\$600	09/28/2011	
DME 2010-19(ROP)	2	\$25,000	\$12,500	\$10,000	09/28/2011	Terminated Violation(s): 2.
DME 2010-20(HSR)	1	\$1,000	\$1,000	\$740	09/28/2011	
DME 2010-21(RSP)	1	\$5,000	\$5,000	\$3,000	09/28/2011	
DME 2010-22(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2011	
DME 2010-23(REM)	1	\$5,000	\$5,000	\$3,000	09/28/2011	
DME 2010-24(HS)	1	\$1,000	\$1,000	\$600	09/28/2011	
DME 2010-25(HSR)	1	\$1,000	\$1,000	\$600	09/28/2011	
DME 2010-26(SA)	1	\$5,000	\$5,000	\$3,700	09/28/2011	
DME 2010-27(GC)	2	\$5,000	\$2,500	\$1,800	09/28/2011	Partially Terminated.
DME 2011-1(HS)	1	\$1,000	\$1,000	\$600	09/28/2011	
DME 2011-2(TS)	1	\$5,000	\$5,000	\$3,750	09/28/2011	
DME 2011-3(SA)	1	\$2,500	\$2,500	\$1,850	09/28/2011	
DMVW 2010-3(ROP)	1	\$7,500	\$7,500	\$7,500	10/28/2010	
DQE 2011-1(ROP)	2	\$15,000	\$15,000	\$9,000	04/27/2011	
EJE 2010-1(FCS)	1	\$5,000	\$5,000	\$3,250	09/30/2011	
EJE 2010-2(HSR)	2	\$2,000	\$2,000	\$1,300	09/30/2011	
EJE 2010-3(HS)	2	\$2,000	\$2,000	\$1,400	09/30/2011	
EJE 2010-4(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2011	
EJE 2010-5(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2011	
EJE 2010-6(FCS)	5	\$12,500	\$12,500	\$8,125	09/30/2011	
EJE 2010-7(SA)	3	\$7,500	\$7,500	\$5,025	09/30/2011	
EJE 2010-8(SA)	3	\$7,500	\$7,500	\$5,100	09/30/2011	
ELWX 2010-1(GC)	1	\$5,000	\$5,000	\$2,500	06/16/2011	
ERAIL 2010-2(SA)	2	\$10,000	\$10,000	\$6,700	04/12/2011	
ERAIL 2011-1(ROP)	1	\$7,500	\$7,500	\$5,550	04/12/2011	
ERAIL 2011-2(SA)	1	\$5,000	\$5,000	\$3,400	04/12/2011	
ERAIL 2011-3(ROR)	3	\$15,000	\$15,000	\$9,450	08/25/2011	
ERAIL 2011-4(ROP)	2	\$12,500	\$12,500	\$7,625	04/12/2011	
ERAIL 2011-5(RSP)	1	\$1,000	\$1,000	\$700	04/12/2011	
ERAIL 2011-6(EQ)	3	\$4,000	\$4,000	\$2,800	04/12/2011	
ERAIL 2011-7(ROP)	3	\$15,000	\$15,000	\$10,200	04/12/2011	
ERAIL 2011-8(SA)	1	\$2,500	\$2,500	\$1,700	04/12/2011	
ERAIL 2011-9(SA)	1	\$5,000	\$5,000	\$3,400	04/12/2011	
ERAIL 2011-11(ROP)	3	\$17,500	\$17,500	\$10,375	08/25/2011	
ERAIL 2011-13(HMT)	3	\$22,500	\$22,500	\$15,500	04/12/2011	
ERAIL 2011-14(LI)	1	\$1,500	\$1,500	\$1,000	04/12/2011	
ERAIL 2011-15(RSP)	1	\$2,500	\$2,500	\$1,750	04/12/2011	
ERAIL 2011-16(HSR)	3	\$3,000	\$3,000	\$2,040	04/12/2011	
ERAIL 2011-17(HSR)	3	\$3,000	\$3,000	\$2,080	04/12/2011	
ERAIL 2011-18(TS)	2	\$10,000	\$10,000	\$7,000	08/25/2011	
ERAIL 2011-20(EQ)	2	\$7,500	\$7,500	\$4,125	08/26/2011	
ERAIL 2011-21(RW)	1	\$5,000	\$5,000	\$3,600	08/25/2011	
ERAIL 2011-22(EQ)	1	\$2,500	\$2,500	\$1,375	08/25/2011	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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>
EVWR 2011-1(SA)	1	\$5,000	\$5,000	\$5,000	08/29/2011	
EWG 2010-1(GC)	1	\$5,000	\$5,000	\$3,000	03/24/2011	
EWG 2010-2(HMT)	1	\$1,000	\$1,000	\$680	03/24/2011	
FCR 2010-1(ROP)	1	\$5,000	\$5,000	\$5,000	01/12/2011	
FCRD 2010-1(SA)	1	\$2,500	\$2,500	\$1,850	06/03/2011	
GC 2010-2(ROP)	1	\$7,500	\$7,500	\$4,750	03/30/2011	
GC 2011-1(ROP)	1	\$7,500	\$7,500	\$4,750	03/30/2011	
GCRX 2007-1(HSR)	1	\$1,000	\$1,000	\$1,000	05/09/2011	
GDLK 2009-1(ROP)	1	\$2,000	\$2,000	\$1,300	09/30/2011	
GFRR 2010-4(TS)	3	\$3,000	\$3,000	\$3,000	10/20/2010	
GFRR 2010-5(ROP)	1	\$9,500	\$9,500	\$9,500	10/20/2010	
GFRR 2010-6(TS)	3	\$3,000	\$3,000	\$3,000	01/13/2011	
GRNW 2008-2(AR)	5	\$12,500	\$12,500	\$7,500	09/30/2011	
GRNW 2008-3(EP)	1	\$1,000	\$1,000	\$550	09/30/2011	
GRNW 2008-4(SA)	1	\$5,000	\$5,000	\$3,150	09/30/2011	
GRNW 2009-1(SA)	1	\$5,000	\$5,000	\$3,200	09/30/2011	
GRNW 2010-2(TS)	1	\$2,500	\$2,500	\$1,650	09/30/2011	
GRS 2007-1(SI)	1	\$1,000	\$1,000	\$750	02/10/2011	
GRS 2007-2(SA)	1	\$5,000	\$5,000	\$3,100	02/10/2011	
GWR 2009-1(GC)	4	\$11,000	\$11,000	\$11,000	05/17/2011	
GWR 2010-1(GC)	2	\$5,000	\$5,000	\$5,000	05/17/2011	
GWR 2010-2(SA)	1	\$5,000	\$5,000	\$5,000	05/17/2011	
GWR 2010-3(HSR)	1	\$1,000	\$1,000	\$1,000	05/17/2011	
GWR 2011-2(AR)	1	\$2,500	\$2,500	\$2,500	08/17/2011	
HESR 2009-3(HMT)	9	\$22,500	\$22,500	\$15,500	09/29/2011	
HESR 2010-1(SA)	3	\$10,000	\$10,000	\$6,700	09/29/2011	
HESR 2010-2(ROP)	1	\$7,500	\$7,500	\$5,400	09/29/2011	
HESR 2011-1(GC)	1	\$5,000	\$5,000	\$3,350	09/29/2011	
HHRV 2009-2(SA)	1	\$5,000	\$5,000	\$2,750	06/22/2011	
HIRR 2010-1(HMT)	5	\$25,000	\$25,000	\$15,750	05/17/2011	
HPTD 2010-1(LI)	2	\$5,000	\$5,000	\$3,000	01/18/2011	
HRT 2007-1(GC)	1	\$2,500	\$2,500	\$2,500	02/18/2011	
IAIS 2010-2(GC)	1	\$5,000	\$5,000	\$4,000	03/02/2011	
IAIS 2011-1(SA)	1	\$5,000	\$5,000	\$5,000	04/11/2011	
IAIS 2011-2(FCS)	1	\$2,500	\$2,500	\$2,500	04/27/2011	
IAIS 2011-3(GC)	1	\$2,500	\$2,500	\$2,500	06/14/2011	
IAIS 2011-4(SA)	1	\$5,000	\$5,000	\$5,000	08/12/2011	
IANR 2010-1(GC)	1	\$5,000	\$5,000	\$5,000	12/07/2010	
IANR 2011-1(GC)	1	\$5,000	\$5,000	\$5,000	03/15/2011	
IANR 2011-2(FCS)	1	\$2,500	\$2,500	\$2,500	08/03/2011	
IANR 2011-3(SA)	1	\$2,500	\$2,500	\$2,500	08/03/2011	
IHB 2010-8(SA)	1	\$2,500	\$2,500	\$1,750	03/28/2011	
IHB 2010-9(EQ)	1	\$2,000	\$2,000	\$1,400	03/28/2011	
IHB 2010-10(AD)	1	\$5,000	\$5,000	\$3,500	03/28/2011	
IHB 2011-1(FCS)	1	\$2,500	\$2,500	\$1,750	03/28/2011	
IMRR 2011-1(GC)	1	\$5,000	\$5,000	\$5,000	03/04/2011	
INRD 2010-2(LI)	2	\$5,000	\$5,000	\$4,000	11/17/2010	
INRD 2010-3(SA)	1	\$15,000	\$15,000	\$8,000	11/17/2010	
INRD 2010-4(TS)	1	\$5,000	\$5,000	\$4,000	11/17/2010	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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>
INRD 2010-5(TS)	1	\$5,000	\$5,000	\$4,000	11/17/2010	
INRD 2010-6(SA)	1	\$2,500	\$2,500	\$2,000	11/17/2010	
INRD 2010-7(LI)	1	\$2,500	\$2,500	\$2,000	11/17/2010	
INRD 2011-2(LI)	2	\$5,000	\$5,000	\$5,000	06/29/2011	
IOY 2009-3(LI)	1	\$2,500	\$2,500	\$1,300	09/29/2011	
IOY 2010-3(GC)	1	\$2,500	\$2,500	\$1,750	09/29/2011	
IOY 2010-4(SI)	1	\$1,000	\$1,000	\$750	09/29/2011	
IOY 2010-5(RW)	1	\$1,000	\$1,000	\$800	09/29/2011	
IOY 2011-1(HS)	1	\$1,000	\$1,000	\$720	09/29/2011	
IOY 2011-2(HSR)	2	\$2,000	\$2,000	\$1,360	09/29/2011	
IOY 2011-3(GC)	1	\$2,500	\$2,500	\$1,800	09/29/2011	
IR 2010-1(AR)	3	\$7,500	\$7,500	\$5,500	12/02/2010	
IR 2010-2(ROP)	1	\$7,500	\$7,500	\$5,250	03/21/2011	
IR 2010-3(TS)	1	\$5,000	\$5,000	\$3,500	03/21/2011	
IR 2011-1(SA)	2	\$10,000	\$10,000	\$10,000	06/13/2011	
IR 2011-2(ROP)	1	\$9,500	\$9,500	\$7,600	08/22/2011	
IR 2011-3(SA)	1	\$2,500	\$2,500	\$2,000	08/22/2011	
IRSS 2011-1(ROP)	2	\$15,000	\$0	\$0	03/24/2011	Case Terminated.
IRSS 2011-3(HSR)	1	\$1,000	\$0	\$0	08/10/2011	Case Terminated.
ISRR 2010-1(AD)	1	\$2,500	\$2,500	\$1,750	09/29/2011	
KCS 2009-52(SA)	1	\$2,500	\$2,500	\$1,700	09/28/2011	
KCS 2010-8(TS)	2	\$5,000	\$5,000	\$3,075	09/28/2011	
KCS 2010-9(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2011	
KCS 2010-10(GS)	1	\$2,500	\$2,500	\$1,525	09/28/2011	
KCS 2010-11(LI)	2	\$3,500	\$3,500	\$2,150	09/28/2011	
KCS 2010-12(SA)	1	\$2,500	\$2,500	\$1,725	09/28/2011	
KCS 2010-19(GC)	2	\$5,000	\$5,000	\$3,350	09/28/2011	
KCS 2010-20(SA)	1	\$5,000	\$5,000	\$3,250	09/28/2011	
KCS 2010-24(TS)	3	\$12,500	\$12,500	\$8,500	09/28/2011	
KCS 2010-29(SA)	1	\$2,500	\$2,500	\$1,800	09/28/2011	
KCS 2010-30(LI)	1	\$2,000	\$2,000	\$1,250	09/28/2011	
KCS 2010-32(ROR)	1	\$7,500	\$7,500	\$4,700	09/28/2011	
KCS 2010-33(GC)	1	\$5,000	\$5,000	\$3,225	09/28/2011	
KCS 2010-34(SI)	1	\$1,000	\$1,000	\$750	09/28/2011	
KCS 2010-35(AD)	1	\$2,500	\$2,500	\$1,475	09/28/2011	
KCS 2010-36(SA)	2	\$5,000	\$5,000	\$3,725	09/28/2011	
KCS 2010-37(TS)	1	\$5,000	\$5,000	\$3,525	09/28/2011	
KCS 2010-38(FCS)	1	\$5,000	\$5,000	\$2,900	09/28/2011	
KCS 2010-39(SA)	1	\$2,500	\$2,500	\$1,575	09/28/2011	
KCS 2010-40(HMT)	1	\$2,000	\$2,000	\$900	09/28/2011	
KCS 2010-41(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2011	
KCS 2010-42(RSP)	1	\$1,000	\$1,000	\$700	09/28/2011	
KCS 2010-43(ROR)	1	\$9,500	\$9,500	\$6,700	09/28/2011	
KCS 2010-44(TS)	1	\$5,000	\$5,000	\$3,450	09/28/2011	
KCS 2010-45(SI)	1	\$2,500	\$2,500	\$1,700	09/28/2011	
KCS 2010-46(SA)	1	\$5,000	\$5,000	\$2,700	09/28/2011	
KCS 2010-48(ROP)	2	\$15,000	\$15,000	\$8,500	09/28/2011	
KCS 2010-49(TS)	30	\$82,500	\$82,500	\$58,325	09/28/2011	
KCS 2010-50(SA)	1	\$5,000	\$5,000	\$3,500	09/28/2011	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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>
KCS 2010-51(GC)	1	\$2,500	\$2,500	\$1,650	09/28/2011	
KCS 2010-52(SA)	1	\$5,000	\$5,000	\$3,250	09/28/2011	
KCS 2010-53(SA)	1	\$5,000	\$5,000	\$3,400	09/28/2011	
KCS 2010-54(SI)	1	\$5,000	\$5,000	\$3,400	09/28/2011	
KCS 2010-55(SA)	1	\$2,500	\$2,500	\$1,775	09/28/2011	
KCS 2010-56(LI)	1	\$2,500	\$2,500	\$1,650	09/28/2011	
KCS 2011-1(FCS)	1	\$2,500	\$2,500	\$1,550	09/28/2011	
KCS 2011-2(ROP)	4	\$30,000	\$30,000	\$18,300	09/28/2011	
KCS 2011-3(ROR)	1	\$9,500	\$9,500	\$6,600	09/28/2011	
KCS 2011-4(LI)	2	\$5,000	\$5,000	\$3,175	09/28/2011	
KCS 2011-5(SI)	2	\$2,000	\$2,000	\$1,400	09/28/2011	
KCS 2011-6(TS)	1	\$2,500	\$2,500	\$1,800	09/28/2011	
KCS 2011-8(RW)	1	\$1,000	\$1,000	\$700	09/28/2011	
KCS 2011-9(GC)	1	\$5,000	\$5,000	\$3,000	09/28/2011	
KCS 2011-10(ROP)	1	\$7,500	\$7,500	\$5,250	09/28/2011	
KCS 2011-11(LI)	2	\$4,000	\$4,000	\$2,550	09/28/2011	
KCS 2011-12(SA)	1	\$2,500	\$2,500	\$1,625	09/28/2011	
KRR 2010-1(SA)	1	\$5,000	\$5,000	\$3,600	09/29/2011	
KRR 2010-3(TS)	3	\$10,000	\$10,000	\$6,600	09/29/2011	
KRR 2010-4(RW)	1	\$3,000	\$3,000	\$2,190	09/29/2011	
KRR 2010-5(TS)	2	\$5,000	\$5,000	\$3,350	09/29/2011	
KRR 2010-9(TS)	1	\$5,000	\$5,000	\$3,300	09/29/2011	
KRR 2011-1(SA)	1	\$5,000	\$5,000	\$3,350	09/29/2011	
KXHR 2011-1(AR)	1	\$2,500	\$2,500	\$1,500	05/17/2011	
KXHR 2011-2(AR)	1	\$2,500	\$2,500	\$1,500	05/17/2011	
KYLE 2010-2(TS)	1	\$5,000	\$5,000	\$3,250	09/29/2011	
LAJ 2004-1(RSP)	1	\$5,000	\$5,000	\$1,250	11/02/2010	
LAJ 2004-2(LI)	2	\$4,000	\$4,000	\$1,000	11/02/2010	
LAJ 2009-1(TS)	3	\$16,500	\$16,500	\$11,750	11/02/2010	
LAJ 2009-2(RW)	1	\$3,000	\$3,000	\$1,950	11/02/2010	
LAS 2008-2(RW)	2	\$6,000	\$6,000	\$4,000	09/30/2011	
LAS 2010-1(SA)	2	\$10,000	\$10,000	\$6,400	09/30/2011	
LAS 2010-2(ROP)	3	\$22,500	\$22,500	\$15,500	09/30/2011	
LAS 2010-3(ROP)	1	\$7,500	\$7,500	\$5,000	09/30/2011	
LI 2007-1(AR)	1	\$2,500	\$2,500	\$1,000	07/21/2011	
LI 2008-1(AR)	1	\$1,000	\$1,000	\$650	07/21/2011	
LI 2008-2(AR)	3	\$7,500	\$7,500	\$5,025	07/21/2011	
LI 2008-3(AR)	1	\$2,500	\$2,500	\$1,650	07/21/2011	
LI 2008-4(AR)	8	\$20,000	\$20,000	\$13,300	07/21/2011	
LI 2008-5(AR)	8	\$20,000	\$20,000	\$13,350	07/21/2011	
LI 2008-6(AR)	1	\$2,500	\$2,500	\$1,650	07/21/2011	
LI 2008-7(AR)	6	\$15,000	\$5,000	\$3,350	07/21/2011	Terminated Violation(s): 3, 4, 5, 6.
LI 2009-1(SI)	2	\$10,000	\$10,000	\$7,050	07/21/2011	
LI 2010-3(RSP)	1	\$5,000	\$5,000	\$3,500	07/21/2011	
LI 2010-5(ROP)	1	\$5,000	\$5,000	\$3,400	07/21/2011	
MACZ 2010-1(AR)	1	\$2,500	\$2,500	\$2,000	12/08/2010	
MACZ 2010-3(AR)	1	\$2,500	\$2,500	\$1,750	12/08/2010	
MACZ 2010-4(AR)	1	\$2,500	\$2,500	\$1,750	12/08/2010	
MACZ 2010-5(AR)	1	\$2,500	\$0	\$0	12/08/2010	Case Terminated.

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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>
MEC 2006-1(TS)	1	\$5,000	\$5,000	\$3,300	02/10/2011	
MEC 2009-1(TS)	4	\$20,000	\$20,000	\$15,000	02/10/2011	
MEC 2009-2(RW)	1	\$2,500	\$2,500	\$1,750	02/10/2011	
MET 2009-1(SA)	1	\$2,500	\$2,500	\$1,500	11/08/2010	
MMA 2010-1(TS)	5	\$25,000	\$25,000	\$15,000	06/16/2011	
MMA 2010-2(SA)	1	\$5,000	\$5,000	\$3,900	01/19/2011	
MMA 2010-3(GC)	2	\$5,000	\$5,000	\$3,325	11/01/2010	
MMA 2010-4(SA)	3	\$12,500	\$12,500	\$8,000	11/01/2010	
MMA 2010-5(TS)	2	\$10,000	\$10,000	\$6,000	11/01/2010	
MMA 2010-6(ROP)	1	\$2,500	\$2,500	\$2,200	01/19/2011	
MMA 2010-7(SA)	1	\$5,000	\$5,000	\$3,600	01/19/2011	
MMA 2011-1(SA)	1	\$5,000	\$5,000	\$3,800	06/16/2011	
MMA 2011-2(SA)	1	\$2,500	\$2,500	\$1,900	06/16/2011	
MMA 2011-3(AD)	1	\$2,500	\$2,500	\$1,400	06/16/2011	
MMRR 2011-1(ROP)	1	\$9,500	\$9,500	\$6,400	09/29/2011	
MNA 2008-25(SI)	2	\$10,000	\$10,000	\$1,100	02/23/2011	
MNA 2009-8(TS)	1	\$2,500	\$2,500	\$1,750	09/29/2011	
MNA 2009-10(HMT)	1	\$7,500	\$7,500	\$4,000	09/29/2011	
MNA 2010-2(TS)	1	\$1,000	\$1,000	\$800	09/29/2011	
MNA 2010-3(HS)	1	\$1,000	\$1,000	\$700	09/29/2011	
MNA 2010-4(HS)	1	\$1,000	\$1,000	\$800	09/29/2011	
MNA 2010-7(GC)	1	\$5,000	\$5,000	\$3,000	09/29/2011	
MNA 2010-8(SA)	1	\$2,500	\$2,500	\$1,750	09/29/2011	
MNA 2010-9(SA)	1	\$2,500	\$2,500	\$1,800	09/29/2011	
MNA 2011-1(SA)	3	\$7,500	\$7,500	\$4,950	09/29/2011	
MNA 2011-2(LI)	1	\$2,500	\$2,500	\$1,750	09/29/2011	
MNRR 2007-6(TS)	10	\$10,000	\$0	\$0	01/31/2011	Case Terminated.
MNRR 2008-1(GC)	1	\$2,500	\$0	\$0	01/31/2011	Case Terminated.
MNRR 2008-2(SA)	1	\$2,500	\$0	\$0	01/31/2011	Case Terminated.
MNRR 2008-3(TS)	2	\$7,500	\$0	\$0	01/31/2011	Case Terminated.
MNRR 2008-4(SA)	1	\$10,000	\$0	\$0	01/31/2011	Case Terminated.
MNRR 2008-5(EP)	1	\$1,000	\$0	\$0	01/31/2011	Case Terminated.
MNRR 2008-6(EQ)	1	\$5,000	\$0	\$0	01/31/2011	Case Terminated.
MNRR 2008-7(SA)	1	\$2,500	\$0	\$0	01/31/2011	Case Terminated.
MNRR 2008-8(EQ)	1	\$2,500	\$0	\$0	01/31/2011	Case Terminated.
MNRR 2009-1(SA)	1	\$2,500	\$0	\$0	01/31/2011	Case Terminated.
MNRR 2009-2(SA)	4	\$20,000	\$0	\$0	01/31/2011	Case Terminated.
MNRR 2009-3(HSR)	4	\$4,000	\$0	\$0	01/31/2011	Case Terminated.
MNRR 2009-4(EQ)	1	\$2,000	\$0	\$0	01/31/2011	Case Terminated.
MNRR 2009-5(ROR)	2	\$5,000	\$0	\$0	01/31/2011	Case Terminated.
MRL 2008-8(ROR)	1	\$9,500	\$0	\$0	12/10/2010	Case Terminated.
MRL 2009-7(EO)	1	\$2,500	\$2,500	\$2,000	12/10/2010	
MRL 2009-11(HMT)	1	\$6,000	\$6,000	\$4,000	12/10/2010	
MRL 2009-12(TS)	1	\$5,000	\$5,000	\$3,000	12/10/2010	
MRL 2009-13(ROP)	1	\$2,000	\$2,000	\$1,700	12/10/2010	
MRL 2009-14(LI)	1	\$2,500	\$2,500	\$700	12/10/2010	
MRL 2009-15(SA)	1	\$7,500	\$7,500	\$6,200	12/10/2010	
MRL 2009-16(GC)	1	\$2,500	\$2,500	\$1,600	12/10/2010	
MRL 2009-17(SA)	1	\$2,500	\$2,500	\$1,500	12/10/2010	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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>
MRL 2009-19(SA)	1	\$5,000	\$5,000	\$3,000	12/10/2010	
MRL 2009-20(HSR)	1	\$1,000	\$1,000	\$650	12/10/2010	
MRL 2009-21(RW)	1	\$3,000	\$3,000	\$2,150	12/10/2010	
MRL 2009-22(HSR)	1	\$1,000	\$1,000	\$650	12/10/2010	
MRL 2009-23(SA)	1	\$5,000	\$0	\$0	12/10/2010	Case Terminated.
MRL 2010-1(ROP)	1	\$7,500	\$7,500	\$5,000	12/10/2010	
MRL 2010-2(SA)	1	\$2,500	\$2,500	\$1,700	12/10/2010	
MRL 2010-3(SI)	1	\$5,000	\$5,000	\$3,500	12/10/2010	
MRL 2010-4(HMT)	1	\$5,000	\$5,000	\$3,500	12/10/2010	
MRL 2010-5(HMT)	1	\$5,000	\$5,000	\$3,100	12/10/2010	
MRL 2010-6(HMT)	3	\$11,000	\$11,000	\$5,500	12/10/2010	
MRL 2010-8(LI)	1	\$2,500	\$2,500	\$1,400	12/10/2010	
MRL 2010-9(SA)	1	\$5,000	\$5,000	\$4,500	12/10/2010	
MRL 2010-10(SA)	1	\$5,000	\$5,000	\$3,500	12/10/2010	
MRL 2010-11(SA)	1	\$2,500	\$2,500	\$1,800	12/10/2010	
NCRC 2010-1(ROP)	1	\$5,000	\$5,000	\$4,000	12/22/2010	
NECR 2010-1(TS)	1	\$2,500	\$2,500	\$1,750	09/29/2011	
NJTR 2004-3(SI)	2	\$2,000	\$2,000	\$1,540	08/24/2011	
NJTR 2005-1(HSR)	10	\$10,000	\$10,000	\$7,400	08/24/2011	
NJTR 2005-2(ROR)	1	\$5,000	\$5,000	\$3,900	08/24/2011	
NJTR 2005-3(SI)	2	\$5,000	\$5,000	\$3,800	08/24/2011	
NJTR 2006-1(RW)	1	\$1,000	\$1,000	\$720	08/24/2011	
NJTR 2006-2(LI)	3	\$5,000	\$5,000	\$3,450	08/24/2011	
NJTR 2007-1(AD)	2	\$5,000	\$5,000	\$4,000	08/24/2011	
NJTR 2007-2(AR)	1	\$1,000	\$1,000	\$750	08/24/2011	
NJTR 2007-3(AR)	1	\$1,000	\$1,000	\$750	08/24/2011	
NJTR 2007-4(GC)	1	\$5,000	\$5,000	\$4,000	08/24/2011	
NJTR 2008-1(SI)	1	\$1,000	\$1,000	\$780	08/24/2011	
NJTR 2008-3(LI)	1	\$5,000	\$5,000	\$4,600	08/24/2011	
NJTR 2008-4(AR)	1	\$2,500	\$2,500	\$1,750	08/24/2011	
NJTR 2008-5(GC)	1	\$5,000	\$5,000	\$4,000	08/24/2011	
NJTR 2008-6(AD)	1	\$2,500	\$2,500	\$1,900	08/24/2011	
NJTR 2008-7(RW)	1	\$3,000	\$3,000	\$2,700	08/24/2011	
NJTR 2009-1(GC)	1	\$7,500	\$7,500	\$5,775	08/24/2011	
NJTR 2010-1(EO)	1	\$2,500	\$2,500	\$1,750	08/24/2011	
NMRX 2009-1(TS)	2	\$7,500	\$7,500	\$5,625	04/12/2011	
NMRX 2010-1(AR)	1	\$2,500	\$2,500	\$2,000	04/15/2011	
NMRX 2010-2(EQ)	1	\$4,000	\$4,000	\$3,200	04/15/2011	
NTZR 2010-1(AR)	1	\$2,500	\$2,500	\$1,375	03/03/2011	
NTZR 2010-2(TS)	1	\$1,000	\$1,000	\$600	03/03/2011	
NTZR 2010-3(TS)	4	\$4,000	\$4,000	\$2,400	03/03/2011	
OHIC 2008-1(TS)	1	\$7,000	\$7,000	\$550	06/06/2011	
OHIC 2008-2(HMT)	2	\$9,000	\$0	\$0	05/11/2011	Case Terminated.
OUCH 2007-1(SA)	1	\$7,500	\$7,500	\$4,250	03/31/2011	
OUCH 2009-1(TS)	2	\$7,500	\$7,500	\$4,500	03/31/2011	
OUCH 2010-1(LI)	2	\$5,000	\$5,000	\$3,250	03/31/2011	
PAL 2010-1(GC)	1	\$5,000	\$5,000	\$3,000	03/03/2011	
PAL 2010-2(TS)	1	\$5,000	\$5,000	\$5,000	02/28/2011	
PCMZ 2007-2(ROR)	5	\$25,000	\$0	\$0	05/20/2011	Case Terminated.

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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>
PCMZ 2010-1(HSR)	1	\$1,000	\$1,000	\$750	07/18/2011	
PCMZ 2010-2(SA)	1	\$5,000	\$5,000	\$3,600	07/18/2011	
PHL 2010-1(SA)	1	\$5,000	\$5,000	\$3,650	10/20/2010	
PHL 2010-2(ROP)	2	\$19,000	\$19,000	\$13,775	10/20/2010	
PHL 2010-3(RSP)	1	\$1,000	\$1,000	\$750	10/20/2010	
PHL 2010-4(SA)	1	\$5,000	\$5,000	\$3,650	10/20/2010	
PHL 2010-5(AD)	1	\$5,000	\$5,000	\$3,250	10/20/2010	
PHL 2010-6(SI)	1	\$5,000	\$0	\$0	07/08/2011	Case Terminated.
PRSX 2010-1(SA)	1	\$5,000	\$5,000	\$5,000	10/04/2010	
PSAP 2010-5(ROP)	1	\$9,500	\$9,500	\$5,975	09/29/2011	
PSAP 2010-6(SA)	1	\$5,000	\$5,000	\$2,750	09/29/2011	
PTRA 2010-1(TS)	2	\$7,500	\$7,500	\$5,652	10/20/2010	
PTRA 2010-2(LI)	1	\$2,000	\$2,000	\$1,460	10/20/2010	
PTRA 2010-3(LI)	1	\$2,000	\$2,000	\$1,460	10/20/2010	
PW 2008-3(RW)	2	\$5,000	\$5,000	\$3,550	11/09/2010	
PW 2008-4(HMT)	9	\$45,000	\$45,000	\$32,500	11/19/2010	
PW 2008-5(AD)	1	\$2,500	\$2,500	\$1,800	11/19/2010	
PW 2010-1(GC)	2	\$5,000	\$5,000	\$3,550	11/19/2010	
PW 2010-2(AD)	3	\$7,500	\$7,500	\$5,800	11/19/2010	
PW 2010-3(SA)	2	\$10,000	\$10,000	\$7,200	11/19/2010	
PW 2010-4(ROR)	1	\$7,500	\$7,500	\$5,300	11/19/2010	
PW 2010-5(TS)	2	\$5,000	\$5,000	\$3,550	11/19/2010	
PW 2010-6(TS)	3	\$7,500	\$7,500	\$5,300	11/19/2010	
PW 2010-7(TS)	1	\$2,000	\$2,000	\$1,400	11/19/2010	
RARW 2010-1(GC)	1	\$2,500	\$2,500	\$2,500	11/01/2010	
RJCC 2010-1(TS)	1	\$5,000	\$5,000	\$5,000	10/14/2010	
RJCC 2010-2(HS)	2	\$2,000	\$2,000	\$2,000	02/24/2011	
RJCP 2009-1(TS)	2	\$10,000	\$10,000	\$8,000	12/30/2010	
RJCP 2009-2(HMT)	1	\$2,000	\$2,000	\$1,600	12/21/2010	
RJCP 2011-1(GC)	1	\$5,000	\$5,000	\$5,000	05/05/2011	
RJCV 2010-1(ROP)	2	\$10,000	\$10,000	\$6,800	06/13/2011	
SCCT 2011-1(GC)	1	\$2,500	\$2,500	\$2,500	09/14/2011	
SCRF 2010-1(ROP)	1	\$5,000	\$5,000	\$3,350	09/29/2011	
SCXF 2010-1(ROR)	1	\$9,500	\$9,500	\$7,500	10/05/2010	
SCXF 2010-2(TS)	2	\$10,000	\$10,000	\$7,500	10/05/2010	
SCXF 2010-3(SA)	1	\$2,500	\$2,500	\$2,500	06/30/2011	
SCXF 2011-1(FCS)	2	\$7,500	\$7,500	\$7,500	06/30/2011	
SE 2011-1(LI)	1	\$2,500	\$2,500	\$2,500	05/11/2011	
SJVR 2010-1(SA)	1	\$5,000	\$5,000	\$3,600	09/29/2011	
SJVR 2011-1(SA)	1	\$2,500	\$2,500	\$1,700	09/29/2011	
SJVR 2011-2(GC)	2	\$5,000	\$5,000	\$3,375	09/29/2011	
SJVR 2011-3(GC)	5	\$11,000	\$11,000	\$7,200	09/29/2011	
SJVR 2011-6(GC)	2	\$7,500	\$7,500	\$5,000	09/29/2011	
SKOL 2009-6(EP)	2	\$5,000	\$2,000	\$1,450	09/30/2011	Partially Terminated Violation(s): 1, 2.
SKOL 2010-1(ROP)	1	\$5,000	\$5,000	\$3,350	09/30/2011	
SLR 2010-2(SA)	1	\$5,000	\$5,000	\$3,500	11/22/2010	
SLRG 2008-3(ROR)	1	\$5,000	\$5,000	\$3,750	05/20/2011	
SLRG 2009-3(FCS)	1	\$2,000	\$2,000	\$1,200	05/20/2011	
SLRG 2009-4(SA)	1	\$5,000	\$5,000	\$3,000	05/20/2011	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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>
SLRG 2009-5(SA)	1	\$5,000	\$5,000	\$3,250	05/20/2011	
SLRG 2009-6(TS)	1	\$5,000	\$5,000	\$3,250	05/20/2011	
SLWC 2009-2(TS)	6	\$25,000	\$25,000	\$16,500	09/30/2011	
SLWC 2009-4(TS)	9	\$18,000	\$18,000	\$11,340	09/30/2011	
SLWC 2010-1(EQ)	7	\$7,000	\$7,000	\$4,700	09/30/2011	
SOU 2009-89(AR)	1	\$2,500	\$0	\$0	09/29/2011	Case Terminated.
SOU 2009-212(HMT)	1	\$7,500	\$2,000	\$2,000	09/29/2011	Partially Terminated.
SOU 2009-213(AR)	1	\$2,500	\$2,500	\$1,750	09/29/2011	
SOU 2010-6(GC)	2	\$10,000	\$10,000	\$6,600	09/29/2011	
SOU 2010-7(HMT)	3	\$14,000	\$14,000	\$9,700	09/29/2011	
SOU 2010-28(HMT)	4	\$15,000	\$15,000	\$10,000	09/29/2011	
SOU 2010-31(TS)	4	\$15,000	\$15,000	\$10,700	09/29/2011	
SOU 2010-32(HMT)	1	\$6,000	\$6,000	\$4,050	09/29/2011	
SOU 2010-36(TS)	5	\$22,500	\$22,500	\$15,900	09/29/2011	
SOU 2010-37(TS)	4	\$17,500	\$17,500	\$12,850	09/29/2011	
SOU 2010-40(AR)	1	\$2,500	\$2,500	\$1,750	09/29/2011	
SOU 2010-43(TS)	3	\$15,000	\$15,000	\$10,600	09/29/2011	
SOU 2010-45(TS)	1	\$2,500	\$2,500	\$1,800	09/29/2011	
SOU 2010-46(HMT)	3	\$6,000	\$6,000	\$4,080	09/29/2011	
SOU 2010-47(LI)	2	\$4,000	\$4,000	\$2,800	09/29/2011	
SOU 2010-48(ROP)	1	\$7,500	\$7,500	\$5,400	09/29/2011	
SOU 2010-49(SA)	1	\$5,000	\$5,000	\$3,600	09/29/2011	
SOU 2010-50(ROP)	1	\$5,000	\$5,000	\$3,450	09/29/2011	
SOU 2010-51(FCS)	2	\$5,000	\$5,000	\$3,450	09/29/2011	
SOU 2010-53(HMT)	1	\$7,500	\$5,000	\$3,700	09/29/2011	Partially Terminated.
SOU 2010-54(LI)	1	\$2,500	\$2,500	\$1,700	09/29/2011	
SOU 2010-55(ROP)	1	\$7,500	\$7,500	\$5,300	09/29/2011	
SOU 2010-56(GC)	1	\$5,000	\$5,000	\$3,600	09/29/2011	
SOU 2010-57(ROP)	1	\$5,000	\$5,000	\$3,500	09/29/2011	
SOU 2010-58(HMT)	2	\$7,500	\$7,500	\$5,250	09/29/2011	
SOU 2010-59(FCS)	2	\$5,000	\$5,000	\$3,450	09/29/2011	
SOU 2010-60(RSP)	1	\$2,500	\$0	\$0	09/29/2011	Case Terminated.
SOU 2010-61(SA)	5	\$17,500	\$17,500	\$12,350	09/29/2011	
SOU 2010-63(SA)	5	\$22,500	\$22,500	\$14,650	09/29/2011	
SOU 2010-64(SA)	1	\$5,000	\$5,000	\$3,400	09/29/2011	
SOU 2010-65(HMT)	2	\$15,000	\$11,000	\$7,500	09/29/2011	Partially Terminated Violation(s): 1, 2.
SOU 2010-66(HMT)	3	\$18,000	\$0	\$0	09/29/2011	Case Terminated.
SOU 2010-67(SA)	1	\$2,500	\$2,500	\$1,775	09/29/2011	
SOU 2010-68(TS)	2	\$10,000	\$10,000	\$7,050	09/29/2011	
SOU 2010-69(ROP)	1	\$7,500	\$7,500	\$5,300	09/29/2011	
SOU 2010-70(HSR)	2	\$2,000	\$2,000	\$1,300	09/29/2011	
SOU 2010-71(SA)	2	\$7,500	\$7,500	\$5,250	09/29/2011	
SOU 2010-74(GS)	1	\$2,500	\$2,500	\$1,650	09/29/2011	
SOU 2010-75(RSP)	1	\$1,000	\$1,000	\$720	09/29/2011	
SOU 2010-76(SA)	2	\$10,000	\$10,000	\$7,000	09/29/2011	
SOU 2010-77(RW)	1	\$1,000	\$1,000	\$750	09/29/2011	
SOU 2010-78(LI)	1	\$2,500	\$2,500	\$1,750	09/29/2011	
SOU 2010-79(ROP)	1	\$9,500	\$9,500	\$6,550	09/29/2011	
SOU 2010-80(SA)	4	\$15,000	\$15,000	\$10,675	09/29/2011	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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 2010-81(SA)	3	\$7,500	\$7,500	\$5,250	09/29/2011	
SOU 2010-82(FCS)	1	\$2,500	\$2,500	\$1,775	09/29/2011	
SOU 2010-83(ROP)	1	\$3,000	\$0	\$0	09/29/2011	Case Terminated.
SOU 2010-84(HS)	1	\$1,000	\$1,000	\$690	09/29/2011	
SOU 2010-85(HMT)	1	\$3,000	\$3,000	\$1,825	09/29/2011	
SOU 2010-86(LI)	2	\$5,000	\$5,000	\$3,525	09/29/2011	
SOU 2010-87(ROP)	1	\$7,500	\$7,500	\$5,350	09/29/2011	
SOU 2010-88(GC)	5	\$25,000	\$25,000	\$18,150	09/29/2011	
SOU 2010-89(GC)	1	\$5,000	\$5,000	\$3,650	09/29/2011	
SOU 2010-90(SA)	1	\$5,000	\$5,000	\$3,200	09/29/2011	
SOU 2010-91(SI)	1	\$5,000	\$5,000	\$3,600	09/29/2011	
SOU 2010-92(ROP)	1	\$7,500	\$7,500	\$5,100	09/29/2011	
SOU 2010-93(TS)	2	\$6,000	\$6,000	\$4,350	09/29/2011	
SOU 2010-94(TS)	1	\$5,000	\$5,000	\$3,575	09/29/2011	
SOU 2010-95(FCS)	1	\$2,500	\$2,500	\$1,800	09/29/2011	
SOU 2010-96(GC)	3	\$7,000	\$7,000	\$5,000	09/29/2011	
SOU 2010-97(SA)	2	\$5,000	\$5,000	\$3,500	09/29/2011	
SOU 2010-98(LI)	1	\$2,500	\$2,500	\$1,775	09/29/2011	
SOU 2010-99(ROP)	2	\$8,000	\$0	\$0	09/29/2011	Case Terminated.
SOU 2010-100(SA)	1	\$2,500	\$2,500	\$1,775	09/29/2011	
SOU 2010-101(FCS)	1	\$2,500	\$2,500	\$1,650	09/29/2011	
SOU 2010-102(SA)	2	\$5,000	\$2,500	\$2,300	09/29/2011	Terminated Violation(s): 2.
SOU 2010-103(SA)	2	\$7,500	\$7,500	\$5,350	09/29/2011	
SOU 2010-104(FCS)	1	\$2,500	\$2,500	\$1,750	09/29/2011	
SOU 2010-105(TS)	1	\$5,000	\$5,000	\$3,650	09/29/2011	
SOU 2010-106(LI)	2	\$3,500	\$3,500	\$2,400	09/29/2011	
SOU 2010-107(EO)	1	\$5,000	\$5,000	\$3,650	09/29/2011	
SOU 2010-108(LI)	1	\$1,500	\$1,500	\$900	09/29/2011	
SOU 2010-109(LI)	1	\$1,000	\$1,000	\$750	09/29/2011	
SOU 2010-110(EO)	1	\$5,000	\$5,000	\$3,600	09/29/2011	
SOU 2010-111(HMT)	1	\$7,500	\$7,500	\$5,000	09/29/2011	
SOU 2010-113(FCS)	5	\$12,500	\$12,500	\$8,650	09/29/2011	
SOU 2010-114(FCS)	5	\$12,500	\$12,500	\$8,650	09/29/2011	
SOU 2010-115(FCS)	2	\$5,000	\$5,000	\$3,500	09/29/2011	
SOU 2010-116(GC)	3	\$6,000	\$6,000	\$4,150	09/29/2011	
SOU 2010-117(ROP)	1	\$9,500	\$9,500	\$6,800	09/29/2011	
SOU 2010-118(SA)	2	\$5,000	\$5,000	\$3,000	09/29/2011	
SOU 2010-119(SA)	3	\$12,500	\$12,500	\$9,000	09/29/2011	
SOU 2010-121(SA)	1	\$5,000	\$5,000	\$3,550	09/29/2011	
SOU 2010-122(FCS)	1	\$2,500	\$2,500	\$1,775	09/29/2011	
SOU 2010-123(SI)	1	\$1,000	\$1,000	\$720	09/29/2011	
SOU 2010-124(SA)	2	\$7,500	\$7,500	\$5,275	09/29/2011	
SOU 2010-125(SA)	1	\$2,500	\$2,500	\$1,500	09/29/2011	
SOU 2010-126(SA)	1	\$5,000	\$5,000	\$3,600	09/29/2011	
SOU 2010-127(FCS)	1	\$5,000	\$5,000	\$3,200	09/29/2011	
SOU 2010-128(FCS)	1	\$2,500	\$2,500	\$1,775	09/29/2011	
SOU 2010-129(ROP)	1	\$5,000	\$5,000	\$3,300	09/29/2011	
SOU 2010-130(SA)	1	\$2,500	\$2,500	\$1,850	09/29/2011	
SOU 2010-131(TS)	1	\$5,000	\$5,000	\$3,600	09/29/2011	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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 2010-132(SA)	4	\$17,500	\$17,500	\$12,500	09/29/2011	
SOU 2010-134(LI)	1	\$2,500	\$2,500	\$1,750	09/29/2011	
SOU 2010-135(LI)	1	\$2,500	\$2,500	\$1,750	09/29/2011	
SOU 2010-137(HMT)	1	\$5,000	\$5,000	\$3,700	09/29/2011	
SOU 2010-139(HMT)	4	\$9,000	\$9,000	\$6,300	09/29/2011	
SOU 2010-140(SA)	1	\$5,000	\$5,000	\$3,500	09/29/2011	
SOU 2010-142(TS)	1	\$5,000	\$5,000	\$3,600	09/29/2011	
SOU 2010-143(GC)	3	\$15,000	\$10,000	\$7,400	09/29/2011	Terminated Violation(s): 1.
SOU 2010-144(FCS)	1	\$2,500	\$2,500	\$2,000	09/29/2011	
SOU 2010-145(FCS)	3	\$7,500	\$7,500	\$3,750	09/29/2011	
SOU 2010-148(FCS)	1	\$2,500	\$0	\$0	09/29/2011	Case Terminated.
SOU 2010-149(SA)	2	\$7,500	\$7,500	\$5,250	09/29/2011	
SOU 2010-150(LI)	9	\$9,000	\$9,000	\$5,200	09/29/2011	
SOU 2010-151(LI)	2	\$5,000	\$5,000	\$3,450	09/29/2011	
SOU 2010-152(HMT)	2	\$5,000	\$5,000	\$3,200	09/29/2011	
SOU 2010-153(LI)	1	\$2,500	\$2,500	\$1,800	09/29/2011	
SOU 2010-154(FCS)	2	\$7,500	\$7,500	\$4,900	09/29/2011	
SOU 2010-155(LI)	1	\$2,500	\$2,500	\$1,750	09/29/2011	
SOU 2010-156(SA)	3	\$7,500	\$7,500	\$5,000	09/29/2011	
SOU 2010-157(SA)	2	\$7,500	\$7,500	\$5,325	09/29/2011	
SOU 2010-158(FCS)	1	\$2,500	\$2,500	\$1,750	09/29/2011	
SOU 2010-159(SA)	1	\$5,000	\$5,000	\$3,500	09/29/2011	
SOU 2010-160(GC)	1	\$5,000	\$5,000	\$3,650	09/29/2011	
SOU 2010-161(SA)	2	\$10,000	\$5,000	\$4,000	09/29/2011	Terminated Violation(s): 1.
SOU 2010-162(HMT)	1	\$5,000	\$5,000	\$3,200	09/29/2011	
SOU 2010-163(LI)	1	\$1,500	\$1,500	\$1,000	09/29/2011	
SOU 2010-164(HMT)	1	\$2,000	\$2,000	\$1,360	09/29/2011	
SOU 2010-165(FCS)	2	\$5,000	\$5,000	\$3,450	09/29/2011	
SOU 2010-166(SA)	1	\$2,500	\$2,500	\$1,800	09/29/2011	
SOU 2010-167(SA)	1	\$5,000	\$5,000	\$3,500	09/29/2011	
SOU 2010-168(RW)	1	\$3,000	\$3,000	\$1,950	09/29/2011	
SOU 2010-169(ROP)	1	\$2,500	\$2,500	\$1,700	09/29/2011	
SOU 2010-171(GC)	1	\$5,000	\$5,000	\$3,550	09/29/2011	
SOU 2010-173(LI)	1	\$1,000	\$0	\$0	09/29/2011	Case Terminated.
SOU 2010-174(LI)	1	\$2,500	\$2,500	\$1,800	09/29/2011	
SOU 2010-175(ROP)	1	\$7,500	\$7,500	\$5,200	09/29/2011	
SOU 2010-177(SA)	2	\$5,000	\$5,000	\$3,500	09/29/2011	
SOU 2010-178(SA)	1	\$2,500	\$2,500	\$1,775	09/29/2011	
SOU 2010-179(SA)	1	\$5,000	\$5,000	\$3,500	09/29/2011	
SOU 2010-180(SA)	2	\$5,000	\$5,000	\$3,500	09/29/2011	
SOU 2010-181(LI)	4	\$8,000	\$8,000	\$5,700	09/29/2011	
SOU 2010-182(SA)	1	\$2,500	\$2,500	\$1,775	09/29/2011	
SOU 2010-184(TS)	1	\$1,000	\$1,000	\$850	09/29/2011	
SOU 2010-186(SA)	3	\$15,000	\$10,000	\$7,500	09/29/2011	Terminated Violation(s): 3.
SOU 2010-187(RW)	1	\$1,000	\$1,000	\$650	09/29/2011	
SOU 2010-188(ROP)	2	\$12,500	\$12,500	\$8,450	09/29/2011	
SOU 2010-189(SI)	1	\$1,000	\$1,000	\$720	09/29/2011	
SOU 2010-190(SA)	3	\$10,000	\$10,000	\$7,150	09/29/2011	
SOU 2010-191(SA)	2	\$10,000	\$10,000	\$7,100	09/29/2011	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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 2010-192(HMT)	1	\$3,000	\$3,000	\$2,250	09/29/2011	
SOU 2010-193(AR)	1	\$2,500	\$2,500	\$1,600	09/29/2011	
SOU 2010-194(HSR)	1	\$1,000	\$1,000	\$690	09/29/2011	
SOU 2010-195(ROP)	1	\$9,500	\$0	\$0	09/29/2011	Case Terminated.
SOU 2010-196(SA)	3	\$7,500	\$7,500	\$5,250	09/29/2011	
SOU 2010-197(FCS)	1	\$2,500	\$2,500	\$1,750	09/29/2011	
SOU 2010-198(ROP)	5	\$37,500	\$37,500	\$27,000	09/29/2011	
SOU 2010-199(RW)	1	\$1,000	\$1,000	\$750	09/29/2011	
SOU 2010-200(LI)	1	\$2,500	\$2,500	\$1,700	09/29/2011	
SOU 2010-201(HMT)	7	\$30,000	\$29,000	\$20,000	09/29/2011	Terminated Violation(s): 1.
SOU 2010-202(SA)	3	\$7,500	\$7,500	\$5,325	09/29/2011	
SOU 2010-203(TS)	3	\$12,500	\$12,500	\$9,000	09/29/2011	
SOU 2010-204(TS)	1	\$25,000	\$25,000	\$17,500	09/29/2011	
SOU 2010-205(SA)	1	\$5,000	\$5,000	\$3,525	09/29/2011	
SOU 2010-206(SA)	2	\$7,500	\$7,500	\$5,250	09/29/2011	
SOU 2010-207(FCS)	2	\$5,000	\$0	\$0	09/29/2011	Case Terminated.
SOU 2010-208(SA)	2	\$10,000	\$10,000	\$7,000	09/29/2011	
SOU 2010-209(GC)	1	\$5,000	\$5,000	\$3,600	09/29/2011	
SOU 2010-210(TS)	4	\$5,500	\$5,500	\$4,000	09/29/2011	
SOU 2010-211(FCS)	1	\$2,500	\$2,500	\$1,700	09/29/2011	
SOU 2010-212(LI)	1	\$2,500	\$2,500	\$1,725	09/29/2011	
SOU 2010-213(FCS)	2	\$5,000	\$0	\$0	09/29/2011	Case Terminated.
SOU 2010-214(SA)	2	\$7,500	\$7,500	\$5,300	09/29/2011	
SOU 2010-215(HMT)	2	\$9,000	\$9,000	\$6,750	09/29/2011	
SOU 2010-216(TS)	5	\$21,000	\$21,000	\$14,750	09/29/2011	
SOU 2010-217(SI)	1	\$2,500	\$2,500	\$1,575	09/29/2011	
SOU 2010-218(FCS)	2	\$5,000	\$5,000	\$3,500	09/29/2011	
SOU 2010-221(AR)	1	\$2,500	\$2,500	\$1,800	09/29/2011	
SOU 2010-222(AR)	1	\$2,500	\$2,500	\$1,800	09/29/2011	
SOU 2010-223(AR)	1	\$2,500	\$2,500	\$1,750	09/29/2011	
SOU 2010-226(ROP)	1	\$7,500	\$7,500	\$3,900	09/29/2011	
SOU 2010-227(GC)	1	\$2,500	\$2,500	\$1,700	09/29/2011	
SOU 2010-228(TS)	2	\$10,000	\$10,000	\$7,200	09/29/2011	
SOU 2010-229(GC)	1	\$5,000	\$5,000	\$3,400	09/29/2011	
SOU 2010-230(AR)	1	\$2,500	\$2,500	\$1,775	09/29/2011	
SOU 2010-231(AR)	1	\$2,500	\$2,500	\$1,800	09/29/2011	
SOU 2010-232(AR)	1	\$2,500	\$2,500	\$1,750	09/29/2011	
SOU 2010-233(AR)	1	\$2,500	\$2,500	\$1,750	09/29/2011	
SOU 2010-234(AR)	1	\$2,500	\$2,500	\$1,725	09/29/2011	
SOU 2010-238(FCS)	2	\$5,000	\$5,000	\$3,700	09/29/2011	
SOU 2010-239(GS)	1	\$2,500	\$2,500	\$1,675	09/29/2011	
SOU 2010-240(FCS)	1	\$2,500	\$0	\$0	09/29/2011	Case Terminated.
SOU 2010-241(LI)	5	\$10,000	\$10,000	\$6,850	09/29/2011	
SOU 2010-242(EQ)	1	\$1,000	\$1,000	\$710	09/29/2011	
SOU 2010-243(SA)	2	\$5,000	\$5,000	\$3,500	09/29/2011	
SOU 2010-244(SA)	3	\$10,000	\$10,000	\$6,950	09/29/2011	
SOU 2010-245(SA)	1	\$2,500	\$2,500	\$1,700	09/29/2011	
SOU 2010-246(HS)	1	\$1,000	\$1,000	\$690	09/29/2011	
SOU 2010-247(SI)	1	\$5,000	\$5,000	\$3,650	09/29/2011	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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 2010-248(SA)	2	\$10,000	\$10,000	\$7,100	09/29/2011	
SOU 2010-249(FCS)	1	\$2,500	\$2,500	\$1,525	09/29/2011	
SOU 2010-250(SA)	3	\$7,500	\$7,500	\$5,150	09/29/2011	
SOU 2010-251(LI)	1	\$2,500	\$2,500	\$1,725	09/29/2011	
SOU 2010-252(LI)	2	\$5,000	\$5,000	\$3,550	09/29/2011	
SOU 2010-253(FCS)	1	\$2,500	\$2,500	\$1,650	09/29/2011	
SOU 2010-254(SA)	1	\$5,000	\$5,000	\$3,550	09/29/2011	
SOU 2010-255(SA)	1	\$2,500	\$2,500	\$1,800	09/29/2011	
SOU 2010-256(AR)	1	\$2,500	\$2,500	\$1,800	09/29/2011	
SOU 2010-257(AR)	1	\$2,500	\$2,500	\$1,800	09/29/2011	
SOU 2010-260(AR)	1	\$2,500	\$2,500	\$1,800	09/29/2011	
SOU 2010-261(AR)	1	\$2,500	\$2,500	\$1,800	09/29/2011	
SOU 2010-263(AR)	1	\$2,500	\$2,500	\$1,725	09/29/2011	
SOU 2010-264(AR)	1	\$2,500	\$2,500	\$1,750	09/29/2011	
SOU 2010-265(AR)	1	\$2,500	\$2,500	\$1,750	09/29/2011	
SOU 2010-268(SA)	2	\$7,500	\$7,500	\$5,200	09/29/2011	
SOU 2010-269(LI)	1	\$2,500	\$2,500	\$1,500	09/29/2011	
SOU 2010-270(SA)	2	\$10,000	\$10,000	\$7,200	09/29/2011	
SOU 2010-271(SA)	2	\$10,000	\$10,000	\$7,100	09/29/2011	
SOU 2010-272(SA)	3	\$15,000	\$15,000	\$10,600	09/29/2011	
SOU 2010-274(AR)	1	\$2,500	\$2,500	\$1,775	09/29/2011	
SOU 2010-275(RSP)	1	\$1,000	\$1,000	\$730	09/29/2011	
SOU 2010-277(AR)	1	\$2,500	\$2,500	\$1,775	09/29/2011	
SOU 2010-278(LI)	1	\$2,500	\$2,500	\$1,750	09/29/2011	
SOU 2010-279(HMT)	14	\$58,000	\$48,000	\$32,500	09/29/2011	Terminated Violation(s): 2, 8.
SOU 2010-280(SA)	1	\$5,000	\$0	\$0	09/29/2011	Case Terminated.
SOU 2010-281(GC)	1	\$5,000	\$5,000	\$3,550	09/29/2011	
SOU 2010-282(TS)	1	\$25,000	\$25,000	\$17,800	09/29/2011	
SOU 2010-283(SA)	1	\$5,000	\$5,000	\$3,550	09/29/2011	
SOU 2010-284(FCS)	1	\$2,500	\$2,500	\$1,700	09/29/2011	
SOU 2010-285(SA)	1	\$2,500	\$2,500	\$1,700	09/29/2011	
SOU 2010-287(HMT)	1	\$2,000	\$2,000	\$1,440	09/29/2011	
SOU 2010-288(HMT)	1	\$2,000	\$2,000	\$1,480	09/29/2011	
SOU 2010-289(SA)	3	\$10,000	\$10,000	\$7,100	09/29/2011	
SOU 2010-294(AR)	1	\$2,500	\$2,500	\$1,800	09/29/2011	
SOU 2010-295(FCS)	1	\$2,500	\$2,500	\$1,750	09/29/2011	
SOU 2010-296(HMT)	6	\$45,000	\$15,500	\$11,225	09/29/2011	Partially Terminated Violation(s): 2 - 5.
SOU 2010-300(AR)	2	\$5,000	\$5,000	\$3,650	09/29/2011	Terminated Violation(s): 6.
SOU 2010-302(AR)	1	\$2,500	\$2,500	\$1,750	09/29/2011	
SOU 2010-303(SA)	3	\$7,500	\$7,500	\$5,000	09/29/2011	
SOU 2010-304(SA)	3	\$7,500	\$7,500	\$5,000	09/29/2011	
SOU 2010-305(SA)	3	\$7,500	\$7,500	\$5,275	09/29/2011	
SOU 2010-307(FCS)	1	\$2,500	\$2,500	\$1,675	09/29/2011	
SOU 2010-309(TH)	1	\$5,000	\$5,000	\$3,575	09/29/2011	
SOU 2010-313(AR)	1	\$2,500	\$2,500	\$1,725	09/29/2011	
SOU 2010-315(HMT)	2	\$9,500	\$7,000	\$4,875	09/29/2011	Partially Terminated Violation(s): 1.
SOU 2010-316(LI)	1	\$2,500	\$2,500	\$1,300	09/29/2011	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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 2010-317(SA)	2	\$5,000	\$5,000	\$3,400	09/29/2011	
SOU 2010-318(AR)	1	\$2,500	\$2,500	\$1,800	09/29/2011	
SOU 2010-320(AR)	1	\$2,500	\$2,500	\$1,800	09/29/2011	
SOU 2010-321(AR)	1	\$2,500	\$2,500	\$1,800	09/29/2011	
SOU 2010-322(AD)	2	\$10,000	\$10,000	\$6,800	09/29/2011	
SOU 2011-1(ROP)	1	\$7,500	\$7,500	\$5,650	09/29/2011	
SOU 2011-2(SA)	2	\$10,000	\$5,000	\$3,350	09/29/2011	Terminated Violation(s): 2.
SOU 2011-3(FCS)	1	\$5,000	\$5,000	\$3,200	09/29/2011	
SOU 2011-5(ROP)	5	\$43,000	\$43,000	\$25,600	09/29/2011	
SOU 2011-6(ROP)	1	\$9,500	\$9,500	\$4,750	09/29/2011	
SOU 2011-7(SA)	1	\$2,500	\$2,500	\$1,750	09/29/2011	
SOU 2011-8(LI)	1	\$1,500	\$1,500	\$1,050	09/29/2011	
SOU 2011-9(LI)	1	\$2,500	\$2,500	\$1,775	09/29/2011	
SOU 2011-10(SA)	2	\$10,000	\$10,000	\$7,100	09/29/2011	
SOU 2011-11(FCS)	2	\$10,000	\$10,000	\$8,400	09/29/2011	
SOU 2011-12(ROP)	1	\$9,500	\$9,500	\$6,750	09/29/2011	
SOU 2011-14(FCS)	1	\$2,500	\$2,500	\$1,300	09/29/2011	
SOU 2011-15(SA)	2	\$5,000	\$5,000	\$3,350	09/29/2011	
SOU 2011-17(ROP)	1	\$5,000	\$5,000	\$3,700	09/29/2011	
SOU 2011-18(LI)	1	\$2,500	\$2,500	\$1,775	09/29/2011	
SOU 2011-20(ROP)	1	\$5,000	\$5,000	\$3,300	09/29/2011	
SOU 2011-21(HMT)	1	\$5,000	\$5,000	\$3,800	09/29/2011	
SOU 2011-23(SA)	1	\$5,000	\$5,000	\$3,550	09/29/2011	
SOU 2011-24(SA)	1	\$2,500	\$2,500	\$1,800	09/29/2011	
SOU 2011-26(SI)	1	\$2,500	\$2,500	\$1,800	09/29/2011	
SOU 2011-29(AR)	1	\$2,500	\$2,500	\$1,800	09/29/2011	
SOU 2011-30(AR)	1	\$2,500	\$2,500	\$1,800	09/29/2011	
SOU 2011-31(AR)	1	\$2,500	\$2,500	\$1,750	09/29/2011	
SOU 2011-32(AR)	1	\$2,500	\$2,500	\$1,750	09/29/2011	
SOU 2011-33(AR)	1	\$2,500	\$2,500	\$1,800	09/29/2011	
SOU 2011-34(AR)	1	\$2,500	\$2,500	\$1,775	09/29/2011	
SOU 2011-35(AR)	1	\$1,000	\$1,000	\$710	09/29/2011	
SOU 2011-37(EO)	1	\$2,500	\$2,500	\$1,650	09/29/2011	
SOU 2011-38(LI)	5	\$12,500	\$12,500	\$9,000	09/29/2011	
SOU 2011-40(FCS)	1	\$2,500	\$2,500	\$1,725	09/29/2011	
SOU 2011-41(FCS)	1	\$2,500	\$2,500	\$1,750	09/29/2011	
SOU 2011-43(ROP)	1	\$7,500	\$7,500	\$5,400	09/29/2011	
SOU 2011-44(HMT)	1	\$5,000	\$5,000	\$3,550	09/29/2011	
SOU 2011-46(FCS)	2	\$5,000	\$5,000	\$3,450	09/29/2011	
SOU 2011-49(HMT)	1	\$2,000	\$2,000	\$650	09/29/2011	
SOU 2011-50(ROP)	1	\$9,500	\$9,500	\$6,900	09/29/2011	
SOU 2011-52(HSR)	2	\$2,000	\$2,000	\$1,325	09/29/2011	
SOU 2011-55(SA)	1	\$2,500	\$2,500	\$1,700	09/29/2011	
SOU 2011-56(SA)	1	\$5,000	\$5,000	\$3,600	09/29/2011	
SOU 2011-58(SA)	2	\$7,500	\$7,500	\$5,400	09/29/2011	
SOU 2011-59(ROP)	1	\$2,000	\$2,000	\$1,200	09/29/2011	
SOU 2011-62(SA)	1	\$2,500	\$2,500	\$1,750	09/29/2011	
SOU 2011-67(FCS)	3	\$7,500	\$7,500	\$5,250	09/29/2011	
SS 2010-1(EQ)	1	\$1,000	\$1,000	\$800	06/30/2011	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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>
SS 2010-2(SA)	1	\$2,500	\$2,500	\$2,000	06/30/2011	
SS 2010-3(SA)	1	\$5,000	\$5,000	\$4,000	06/30/2011	
SS 2010-4(HMT)	3	\$13,000	\$13,000	\$10,000	06/30/2011	
SS 2011-1(SA)	2	\$10,000	\$10,000	\$7,000	08/18/2011	
ST 2007-1(RW)	1	\$5,000	\$5,000	\$3,500	02/10/2011	
ST 2007-2(GC)	1	\$2,500	\$2,500	\$1,900	02/10/2011	
ST 2008-1(LI)	2	\$4,000	\$4,000	\$2,900	02/10/2011	
ST 2008-2(TS)	1	\$5,000	\$5,000	\$3,800	02/10/2011	
ST 2009-1(SA)	1	\$5,000	\$5,000	\$3,600	02/10/2011	
ST 2009-2(LI)	1	\$2,500	\$2,500	\$1,800	02/10/2011	
SW 2009-1(GC)	1	\$2,500	\$2,500	\$1,625	11/30/2010	
SW 2010-1(TS)	1	\$5,000	\$5,000	\$3,250	11/30/2010	
SW 2010-2(TS)	3	\$6,000	\$6,000	\$4,500	07/13/2011	
SW 2010-3(GC)	1	\$2,500	\$2,500	\$1,800	07/13/2011	
SW 2011-1(EO)	1	\$2,500	\$2,500	\$1,750	07/13/2011	
SW 2011-2(HMT)	2	\$11,500	\$11,500	\$8,500	07/13/2011	
TASD 2010-1(ROR)	1	\$12,500	\$12,500	\$7,500	01/26/2011	
TASD 2010-2(ROR)	3	\$12,500	\$12,500	\$7,500	01/26/2011	
TCT 2011-1(TS)	1	\$2,500	\$2,500	\$1,500	09/12/2011	
TIBR 2010-1(ROP)	1	\$7,500	\$7,500	\$4,600	09/30/2011	
TMBL 2011-1(ROP)	1	\$7,500	\$7,500	\$5,500	06/21/2011	
TNMR 2008-1(LI)	4	\$10,000	\$10,000	\$6,250	05/20/2011	
TNMR 2008-2(TS)	1	\$5,000	\$5,000	\$3,500	05/20/2011	
TNMR 2008-3(GC)	1	\$2,500	\$2,500	\$1,625	05/20/2011	
TNMR 2008-4(GC)	1	\$5,000	\$5,000	\$3,250	05/20/2011	
TNMR 2009-9(TS)	2	\$5,000	\$5,000	\$3,250	05/20/2011	
TNMR 2009-10(TS)	6	\$30,000	\$30,000	\$22,500	05/20/2011	
TNMR 2009-11(TS)	4	\$20,000	\$20,000	\$15,000	05/20/2011	
TNMR 2009-12(TS)	4	\$20,000	\$20,000	\$15,000	05/20/2011	
TNMR 2009-13(TS)	2	\$10,000	\$10,000	\$7,500	05/20/2011	
TPW 2010-1(AD)	1	\$2,500	\$2,500	\$1,700	09/29/2011	
TPW 2010-2(AD)	1	\$2,500	\$2,500	\$1,700	09/29/2011	
TPW 2011-1(EQ)	1	\$2,500	\$2,500	\$1,750	09/29/2011	
TRRA 2009-1(LI)	3	\$7,500	\$7,500	\$5,250	11/11/2010	
TRRA 2011-1(AR)	1	\$2,500	\$2,500	\$2,500	06/15/2011	
TRRA 2011-4(FCS)	1	\$2,500	\$2,500	\$1,700	05/10/2011	
TSRR 2010-1(TS)	1	\$2,500	\$2,500	\$1,600	10/22/2010	
TXNW 2009-2(TS)	1	\$2,500	\$2,500	\$1,750	11/10/2010	
UCRY 2010-1(SA)	1	\$5,000	\$0	\$0	04/14/2011	Case Terminated.
UCRY 2010-2(SA)	1	\$5,000	\$0	\$0	04/14/2011	Case Terminated.
UP 2009-16(SA)	2	\$5,000	\$5,000	\$3,400	09/30/2011	
UP 2009-31(SA)	3	\$15,000	\$15,000	\$9,900	09/30/2011	
UP 2009-38(SA)	3	\$12,500	\$12,500	\$8,125	09/30/2011	
UP 2009-47(SA)	4	\$15,000	\$15,000	\$9,900	09/30/2011	
UP 2009-51(SA)	1	\$2,500	\$2,500	\$1,625	09/30/2011	
UP 2009-77(FCS)	1	\$2,500	\$2,500	\$1,625	09/30/2011	
UP 2009-111(TS)	13	\$65,000	\$65,000	\$43,450	09/30/2011	
UP 2009-150(TS)	1	\$5,000	\$5,000	\$3,250	09/30/2011	
UP 2009-397(TS)	11	\$51,000	\$51,000	\$33,150	09/30/2011	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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 2009-411(HMT)	2	\$5,000	\$2,500	\$2,000	09/30/2011	Terminated Violation(s): #2.
UP 2009-421(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2011	
UP 2009-426(TS)	1	\$5,000	\$5,000	\$3,250	09/30/2011	
UP 2009-443(SA)	1	\$5,000	\$5,000	\$3,550	09/30/2011	
UP 2009-446(FCS)	1	\$5,000	\$5,000	\$3,300	09/30/2011	
UP 2009-451(LI)	4	\$10,000	\$10,000	\$6,500	09/30/2011	
UP 2009-460(HMT)	2	\$10,000	\$10,000	\$6,700	09/30/2011	
UP 2009-461(TS)	1	\$2,500	\$2,500	\$1,775	09/30/2011	
UP 2009-471(FCS)	1	\$2,500	\$2,500	\$1,625	09/30/2011	
UP 2009-473(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2011	
UP 2009-478(HS)	3	\$3,000	\$3,000	\$1,950	09/30/2011	
UP 2009-483(SA)	2	\$10,000	\$10,000	\$6,600	09/30/2011	
UP 2009-484(RW)	1	\$1,000	\$1,000	\$650	09/30/2011	
UP 2009-485(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2011	
UP 2009-486(LI)	2	\$5,000	\$5,000	\$3,300	09/30/2011	
UP 2009-488(SA)	4	\$12,500	\$10,000	\$7,300	09/30/2011	Terminated Violation(s): 3.
UP 2009-489(SA)	1	\$2,500	\$2,500	\$1,775	09/30/2011	
UP 2010-3(SA)	3	\$7,500	\$7,500	\$4,875	09/30/2011	
UP 2010-6(TS)	2	\$10,000	\$10,000	\$6,600	09/30/2011	
UP 2010-7(TS)	9	\$45,000	\$35,000	\$24,750	09/30/2011	Terminated Violation(s): 3, 4.
UP 2010-10(TS)	2	\$3,500	\$3,500	\$2,275	09/30/2011	
UP 2010-11(HMT)	2	\$10,500	\$10,500	\$7,450	09/30/2011	
UP 2010-12(TS)	1	\$5,000	\$5,000	\$3,250	09/30/2011	
UP 2010-14(LI)	3	\$7,500	\$7,500	\$4,875	09/30/2011	
UP 2010-16(TS)	1	\$7,500	\$7,500	\$4,800	09/30/2011	
UP 2010-17(TS)	2	\$5,000	\$5,000	\$3,250	09/30/2011	
UP 2010-21(GC)	1	\$5,000	\$5,000	\$3,750	09/30/2011	
UP 2010-23(SA)	2	\$7,500	\$7,500	\$4,950	09/30/2011	
UP 2010-27(TS)	3	\$12,500	\$12,500	\$8,000	09/30/2011	
UP 2010-28(HMT)	1	\$2,000	\$2,000	\$1,350	09/30/2011	
UP 2010-32(SI)	27	\$27,000	\$27,000	\$17,550	09/30/2011	
UP 2010-33(SI)	13	\$28,000	\$28,000	\$18,200	09/30/2011	
UP 2010-36(ROP)	5	\$25,000	\$25,000	\$16,250	09/30/2011	
UP 2010-38(EP)	1	\$1,000	\$1,000	\$650	09/30/2011	
UP 2010-40(TS)	1	\$5,000	\$5,000	\$3,250	09/30/2011	
UP 2010-41(TS)	1	\$5,000	\$5,000	\$3,250	09/30/2011	
UP 2010-42(RW)	1	\$3,000	\$3,000	\$2,000	09/30/2011	
UP 2010-43(TS)	2	\$3,500	\$3,500	\$2,450	09/30/2011	
UP 2010-44(TS)	4	\$17,500	\$17,500	\$11,375	09/30/2011	
UP 2010-45(HMT)	1	\$2,000	\$2,000	\$1,350	09/30/2011	
UP 2010-46(TS)	2	\$2,000	\$2,000	\$1,400	09/30/2011	
UP 2010-47(TS)	1	\$2,500	\$2,500	\$1,750	09/30/2011	
UP 2010-48(SA)	1	\$2,500	\$2,500	\$1,625	09/30/2011	
UP 2010-49(SA)	3	\$7,500	\$7,500	\$4,950	09/30/2011	
UP 2010-50(HS)	5	\$5,000	\$5,000	\$3,300	09/30/2011	
UP 2010-52(LI)	1	\$5,000	\$5,000	\$3,400	09/30/2011	
UP 2010-53(FCS)	2	\$7,500	\$7,500	\$4,950	09/30/2011	
UP 2010-54(FCS)	1	\$5,000	\$5,000	\$3,300	09/30/2011	
UP 2010-55(GC)	4	\$12,000	\$12,000	\$8,500	09/30/2011	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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 2010-56(ROP)	1	\$7,500	\$7,500	\$4,875	09/30/2011	
UP 2010-57(ROP)	1	\$7,500	\$7,500	\$4,875	09/30/2011	
UP 2010-58(HSR)	2	\$2,000	\$2,000	\$1,300	09/30/2011	
UP 2010-59(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2011	
UP 2010-60(TS)	2	\$3,500	\$3,500	\$2,350	09/30/2011	
UP 2010-61(ROP)	2	\$15,000	\$15,000	\$9,750	09/30/2011	
UP 2010-62(TS)	15	\$37,500	\$37,500	\$24,375	09/30/2011	
UP 2010-63(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
UP 2010-64(SA)	2	\$10,000	\$10,000	\$6,800	09/30/2011	
UP 2010-65(SA)	2	\$7,500	\$7,500	\$4,950	09/30/2011	
UP 2010-66(GC)	3	\$3,000	\$3,000	\$2,100	09/30/2011	
UP 2010-67(SI)	5	\$8,000	\$8,000	\$5,200	09/30/2011	
UP 2010-68(HMT)	1	\$2,000	\$2,000	\$1,340	09/30/2011	
UP 2010-69(RW)	1	\$3,000	\$3,000	\$2,160	09/30/2011	
UP 2010-70(LI)	4	\$8,500	\$8,500	\$5,525	09/30/2011	
UP 2010-71(SI)	1	\$1,000	\$1,000	\$700	09/30/2011	
UP 2010-72(AR)	5	\$12,500	\$10,000	\$7,500	09/30/2011	Terminated Violation(s): 4.
UP 2010-73(AR)	5	\$12,500	\$7,500	\$5,625	09/30/2011	Terminated Violation(s): 4, 5.
UP 2010-74(AR)	1	\$2,500	\$2,500	\$1,000	09/30/2011	
UP 2010-75(HSR)	9	\$9,000	\$9,000	\$6,030	09/30/2011	
UP 2010-76(HSR)	15	\$15,000	\$15,000	\$9,750	09/30/2011	
UP 2010-77(ROP)	4	\$30,000	\$30,000	\$19,500	09/30/2011	
UP 2010-79(ROP)	3	\$22,500	\$22,500	\$14,000	09/30/2011	
UP 2010-80(HMT)	1	\$1,000	\$1,000	\$650	09/30/2011	
UP 2010-81(SA)	5	\$15,000	\$15,000	\$9,900	09/30/2011	
UP 2010-82(SA)	5	\$20,000	\$20,000	\$13,600	09/30/2011	
UP 2010-83(FCS)	5	\$25,000	\$25,000	\$16,000	09/30/2011	
UP 2010-84(FCS)	1	\$2,500	\$2,500	\$1,550	09/30/2011	
UP 2010-85(LI)	2	\$5,000	\$5,000	\$3,300	09/30/2011	
UP 2010-86(TS)	1	\$2,500	\$2,500	\$1,625	09/30/2011	
UP 2010-87(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2011	
UP 2010-88(SA)	2	\$10,000	\$10,000	\$6,600	09/30/2011	
UP 2010-89(ROP)	1	\$7,500	\$7,500	\$4,875	09/30/2011	
UP 2010-90(GC)	1	\$5,000	\$5,000	\$3,750	09/30/2011	
UP 2010-91(FCS)	1	\$2,500	\$2,500	\$1,650	09/30/2011	
UP 2010-92(FCS)	5	\$17,500	\$17,500	\$11,375	09/30/2011	
UP 2010-93(FCS)	5	\$20,000	\$20,000	\$13,000	09/30/2011	
UP 2010-94(FCS)	3	\$10,000	\$10,000	\$6,500	09/30/2011	
UP 2010-95(RW)	1	\$3,000	\$3,000	\$2,160	09/30/2011	
UP 2010-96(LI)	3	\$7,500	\$7,500	\$4,875	09/30/2011	
UP 2010-97(LI)	3	\$6,500	\$6,500	\$4,150	09/30/2011	
UP 2010-98(SA)	3	\$15,000	\$15,000	\$9,750	09/30/2011	
UP 2010-99(SA)	3	\$12,500	\$12,500	\$8,450	09/30/2011	
UP 2010-100(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2011	
UP 2010-102(SA)	1	\$5,000	\$5,000	\$3,500	09/30/2011	
UP 2010-103(HMT)	1	\$2,000	\$2,000	\$1,200	09/30/2011	
UP 2010-104(SA)	3	\$7,500	\$7,500	\$4,950	09/30/2011	
UP 2010-105(SA)	1	\$2,500	\$2,500	\$1,625	09/30/2011	
UP 2010-106(TS)	2	\$10,000	\$10,000	\$6,600	09/30/2011	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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 2010-107(TS)	3	\$10,000	\$10,000	\$6,600	09/30/2011	
UP 2010-108(SI)	1	\$5,000	\$5,000	\$3,500	09/30/2011	
UP 2010-109(ROP)	1	\$5,000	\$5,000	\$3,600	09/30/2011	
UP 2010-110(FCS)	4	\$12,500	\$12,500	\$8,125	09/30/2011	
UP 2010-111(TS)	2	\$7,500	\$7,500	\$4,500	09/30/2011	
UP 2010-112(RW)	1	\$3,000	\$3,000	\$2,000	09/30/2011	
UP 2010-113(SA)	3	\$10,000	\$10,000	\$6,600	09/30/2011	
UP 2010-114(SA)	3	\$10,000	\$10,000	\$6,600	09/30/2011	
UP 2010-115(SA)	3	\$12,500	\$12,500	\$8,400	09/30/2011	
UP 2010-116(LI)	1	\$1,000	\$1,000	\$650	09/30/2011	
UP 2010-117(REM)	1	\$5,000	\$5,000	\$2,750	09/30/2011	
UP 2010-118(ROP)	5	\$39,500	\$39,500	\$26,500	09/30/2011	
UP 2010-119(ROP)	1	\$9,500	\$9,500	\$6,000	09/30/2011	
UP 2010-120(SA)	3	\$10,000	\$10,000	\$6,600	09/30/2011	
UP 2010-121(SA)	2	\$5,000	\$5,000	\$3,250	09/30/2011	
UP 2010-122(SA)	4	\$17,500	\$17,500	\$12,975	09/30/2011	
UP 2010-123(SA)	2	\$5,000	\$5,000	\$3,300	09/30/2011	
UP 2010-124(ROP)	4	\$32,000	\$32,000	\$20,800	09/30/2011	
UP 2010-125(ROP)	1	\$7,500	\$7,500	\$5,900	09/30/2011	
UP 2010-126(SA)	3	\$15,000	\$15,000	\$10,050	09/30/2011	
UP 2010-127(SA)	3	\$15,000	\$15,000	\$9,750	09/30/2011	
UP 2010-128(EO)	1	\$2,500	\$2,500	\$1,550	09/30/2011	
UP 2010-129(LI)	1	\$2,500	\$2,500	\$1,625	09/30/2011	
UP 2010-130(AR)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
UP 2010-131(HSR)	1	\$1,000	\$1,000	\$650	09/30/2011	
UP 2010-132(AR)	1	\$2,500	\$2,500	\$1,550	09/30/2011	
UP 2010-133(AR)	1	\$2,500	\$2,500	\$650	09/30/2011	
UP 2010-134(HS)	3	\$3,000	\$3,000	\$2,010	09/30/2011	
UP 2010-135(TS)	2	\$6,000	\$6,000	\$3,900	09/30/2011	
UP 2010-136(RSP)	1	\$1,000	\$1,000	\$650	09/30/2011	
UP 2010-137(TS)	1	\$5,000	\$5,000	\$3,550	09/30/2011	
UP 2010-138(HMT)	1	\$7,500	\$7,500	\$4,900	09/30/2011	
UP 2010-139(TS)	2	\$2,000	\$2,000	\$1,300	09/30/2011	
UP 2010-140(GC)	5	\$18,500	\$18,500	\$13,000	09/30/2011	
UP 2010-141(GC)	1	\$5,000	\$5,000	\$3,800	09/30/2011	
UP 2010-142(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2011	
UP 2010-143(GC)	1	\$5,000	\$5,000	\$3,750	09/30/2011	
UP 2010-144(SA)	1	\$5,000	\$5,000	\$3,350	09/30/2011	
UP 2010-146(LI)	3	\$5,500	\$5,500	\$3,575	09/30/2011	
UP 2010-147(LI)	1	\$2,500	\$2,500	\$1,625	09/30/2011	
UP 2010-148(TS)	1	\$2,000	\$2,000	\$1,300	09/30/2011	
UP 2010-149(SI)	5	\$9,000	\$9,000	\$6,100	09/30/2011	
UP 2010-150(SI)	1	\$2,500	\$2,500	\$1,625	09/30/2011	
UP 2010-151(SA)	1	\$5,000	\$2,500	\$2,500	09/30/2011	Partially Terminated.
UP 2010-152(SA)	2	\$5,000	\$5,000	\$3,500	09/30/2011	
UP 2010-153(ROP)	1	\$2,000	\$2,000	\$1,560	09/30/2011	
UP 2010-154(FCS)	1	\$2,500	\$2,500	\$1,550	09/30/2011	
UP 2010-155(RW)	1	\$3,000	\$3,000	\$2,100	09/30/2011	
UP 2010-157(SI)	1	\$5,000	\$5,000	\$3,500	09/30/2011	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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 2010-158(SA)	2	\$10,000	\$10,000	\$6,600	09/30/2011	
UP 2010-159(FCS)	1	\$2,500	\$2,500	\$1,650	09/30/2011	
UP 2010-160(SA)	3	\$7,500	\$7,500	\$4,875	09/30/2011	
UP 2010-161(SA)	2	\$7,500	\$7,500	\$4,875	09/30/2011	
UP 2010-162(SA)	2	\$5,000	\$5,000	\$2,750	09/30/2011	
UP 2010-163(SA)	2	\$5,000	\$5,000	\$3,250	09/30/2011	
UP 2010-164(ROP)	2	\$7,000	\$7,000	\$4,800	09/30/2011	
UP 2010-165(SA)	1	\$5,000	\$5,000	\$3,450	09/30/2011	
UP 2010-166(SA)	2	\$5,000	\$5,000	\$3,250	09/30/2011	
UP 2010-167(SA)	3	\$10,000	\$10,000	\$6,600	09/30/2011	
UP 2010-168(SI)	5	\$12,500	\$12,500	\$8,125	09/30/2011	
UP 2010-169(FCS)	5	\$12,500	\$12,500	\$8,100	09/30/2011	
UP 2010-170(FCS)	4	\$12,500	\$12,500	\$8,125	09/30/2011	
UP 2010-171(LI)	1	\$2,500	\$2,500	\$1,400	09/30/2011	
UP 2010-172(LI)	2	\$7,500	\$7,500	\$4,875	09/30/2011	
UP 2010-173(FCS)	3	\$10,000	\$10,000	\$6,500	09/30/2011	
UP 2010-174(SA)	2	\$7,500	\$7,500	\$5,025	09/30/2011	
UP 2010-175(FCS)	2	\$5,000	\$5,000	\$3,250	09/30/2011	
UP 2010-176(SA)	8	\$40,000	\$40,000	\$31,500	09/30/2011	
UP 2010-177(SI)	4	\$4,000	\$4,000	\$2,600	09/30/2011	
UP 2010-178(SA)	3	\$7,500	\$7,500	\$4,875	09/30/2011	
UP 2010-179(SA)	2	\$5,000	\$5,000	\$3,500	09/30/2011	
UP 2010-180(SA)	2	\$5,000	\$5,000	\$3,600	09/30/2011	
UP 2010-181(HSR)	3	\$3,000	\$3,000	\$1,950	09/30/2011	
UP 2010-182(HS)	1	\$1,000	\$1,000	\$650	09/30/2011	
UP 2010-183(HSR)	1	\$1,000	\$1,000	\$650	09/30/2011	
UP 2010-184(SA)	1	\$2,500	\$2,500	\$1,690	09/30/2011	
UP 2010-185(HSR)	2	\$2,000	\$2,000	\$1,450	09/30/2011	
UP 2010-186(SA)	1	\$5,000	\$5,000	\$3,350	09/30/2011	
UP 2010-187(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2011	
UP 2010-188(ROP)	1	\$5,000	\$5,000	\$3,450	09/30/2011	
UP 2010-189(FCS)	2	\$5,000	\$5,000	\$3,300	09/30/2011	
UP 2010-190(TS)	3	\$12,500	\$12,500	\$8,125	09/30/2011	
UP 2010-191(TS)	1	\$5,000	\$5,000	\$3,250	09/30/2011	
UP 2010-192(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2011	
UP 2010-193(LI)	1	\$2,500	\$2,500	\$1,675	09/30/2011	
UP 2010-194(ROP)	2	\$19,000	\$19,000	\$13,000	09/30/2011	
UP 2010-196(HMT)	2	\$9,000	\$9,000	\$6,000	09/30/2011	
UP 2010-197(SA)	3	\$15,000	\$15,000	\$9,900	09/30/2011	
UP 2010-198(SA)	4	\$20,000	\$20,000	\$13,650	09/30/2011	
UP 2010-199(ROP)	5	\$39,500	\$39,500	\$26,500	09/30/2011	
UP 2010-200(ROP)	1	\$9,500	\$9,500	\$6,935	09/30/2011	
UP 2010-201(ROP)	2	\$10,000	\$10,000	\$7,000	09/30/2011	
UP 2010-202(SA)	1	\$5,000	\$5,000	\$3,450	09/30/2011	
UP 2010-203(LI)	1	\$2,500	\$2,500	\$1,625	09/30/2011	
UP 2010-204(RW)	1	\$1,000	\$1,000	\$650	09/30/2011	
UP 2010-205(SA)	3	\$12,500	\$12,500	\$8,125	09/30/2011	
UP 2010-206(SA)	3	\$7,500	\$7,500	\$4,875	09/30/2011	
UP 2010-207(ROP)	3	\$22,500	\$22,500	\$14,900	09/30/2011	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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 2010-208(TS)	1	\$5,000	\$5,000	\$3,500	09/30/2011	
UP 2010-209(FCS)	2	\$7,500	\$7,500	\$4,950	09/30/2011	
UP 2010-210(ROR)	1	\$5,000	\$5,000	\$3,300	09/30/2011	
UP 2010-211(EQ)	1	\$4,000	\$4,000	\$2,775	09/30/2011	
UP 2010-213(SA)	2	\$10,000	\$10,000	\$6,600	09/30/2011	
UP 2010-214(HMT)	1	\$5,000	\$5,000	\$3,250	09/30/2011	
UP 2010-215(SI)	1	\$2,500	\$2,500	\$1,625	09/30/2011	
UP 2010-216(GC)	1	\$2,500	\$2,500	\$1,875	09/30/2011	
UP 2010-217(FCS)	1	\$2,500	\$2,500	\$1,650	09/30/2011	
UP 2010-218(RSP)	2	\$3,500	\$3,500	\$2,540	09/30/2011	
UP 2010-220(TS)	2	\$5,000	\$5,000	\$3,500	09/30/2011	
UP 2010-221(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2011	
UP 2010-222(HMT)	3	\$14,000	\$14,000	\$9,250	09/30/2011	
UP 2010-224(AR)	1	\$2,500	\$2,500	\$1,500	09/30/2011	
UP 2010-225(SA)	3	\$12,500	\$12,500	\$8,125	09/30/2011	
UP 2010-226(FCS)	2	\$5,000	\$5,000	\$3,225	09/30/2011	
UP 2010-227(ROP)	1	\$7,500	\$7,500	\$5,250	09/30/2011	
UP 2010-228(TS)	5	\$18,500	\$18,500	\$12,900	09/30/2011	
UP 2010-229(SA)	3	\$7,500	\$7,500	\$4,875	09/30/2011	
UP 2010-230(SA)	3	\$7,500	\$7,500	\$4,875	09/30/2011	
UP 2010-231(SA)	3	\$10,000	\$10,000	\$6,600	09/30/2011	
UP 2010-232(LI)	5	\$12,500	\$12,500	\$7,800	09/30/2011	
UP 2010-233(TS)	2	\$7,500	\$7,500	\$4,825	09/30/2011	
UP 2010-234(TS)	11	\$15,000	\$15,000	\$9,950	09/30/2011	
UP 2010-235(TS)	3	\$4,500	\$4,500	\$2,950	09/30/2011	
UP 2010-236(TS)	1	\$5,000	\$5,000	\$3,500	09/30/2011	
UP 2010-237(TS)	2	\$3,500	\$3,500	\$2,400	09/30/2011	
UP 2010-238(ROP)	1	\$5,000	\$5,000	\$3,300	09/30/2011	
UP 2010-239(FCS)	1	\$5,000	\$5,000	\$3,250	09/30/2011	
UP 2010-240(SA)	3	\$10,000	\$10,000	\$6,600	09/30/2011	
UP 2010-241(SA)	1	\$5,000	\$5,000	\$3,600	09/30/2011	
UP 2010-242(FCS)	4	\$17,500	\$17,500	\$11,400	09/30/2011	
UP 2010-243(FCS)	1	\$2,500	\$2,500	\$1,550	09/30/2011	
UP 2010-244(ROP)	1	\$5,000	\$5,000	\$3,650	09/30/2011	
UP 2010-245(LI)	2	\$5,500	\$5,500	\$3,575	09/30/2011	
UP 2010-246(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2011	
UP 2010-247(LI)	2	\$5,000	\$5,000	\$3,300	09/30/2011	
UP 2010-248(HMT)	1	\$2,000	\$2,000	\$1,325	09/30/2011	
UP 2010-249(SA)	3	\$10,000	\$10,000	\$6,600	09/30/2011	
UP 2010-250(SA)	3	\$7,500	\$7,500	\$4,875	09/30/2011	
UP 2010-251(SA)	3	\$10,000	\$10,000	\$6,600	09/30/2011	
UP 2010-252(SA)	3	\$7,500	\$7,500	\$4,875	09/30/2011	
UP 2010-253(SA)	4	\$12,500	\$12,500	\$8,125	09/30/2011	
UP 2010-254(SA)	3	\$15,000	\$15,000	\$9,750	09/30/2011	
UP 2010-255(SA)	4	\$20,000	\$20,000	\$13,000	09/30/2011	
UP 2010-256(ROP)	1	\$5,000	\$5,000	\$3,500	09/30/2011	
UP 2010-257(FCS)	2	\$7,500	\$7,500	\$4,775	09/30/2011	
UP 2010-258(FCS)	5	\$22,000	\$22,000	\$14,300	09/30/2011	
UP 2010-259(FCS)	5	\$15,000	\$15,000	\$9,750	09/30/2011	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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 2010-260(SA)	3	\$7,500	\$7,500	\$4,875	09/30/2011	
UP 2010-261(SA)	3	\$7,500	\$7,500	\$4,875	09/30/2011	
UP 2010-262(SA)	3	\$10,000	\$10,000	\$6,600	09/30/2011	
UP 2010-263(SA)	4	\$12,500	\$12,500	\$8,125	09/30/2011	
UP 2010-264(SA)	3	\$10,000	\$10,000	\$6,600	09/30/2011	
UP 2010-265(LI)	2	\$5,000	\$5,000	\$3,400	09/30/2011	
UP 2010-266(SI)	2	\$6,000	\$6,000	\$4,150	09/30/2011	
UP 2010-267(SA)	1	\$2,500	\$2,500	\$1,625	09/30/2011	
UP 2010-268(SA)	2	\$7,500	\$7,500	\$4,875	09/30/2011	
UP 2010-269(SA)	2	\$7,500	\$7,500	\$4,875	09/30/2011	
UP 2010-270(TS)	3	\$10,000	\$10,000	\$6,600	09/30/2011	
UP 2010-271(TS)	4	\$10,000	\$10,000	\$7,500	09/30/2011	
UP 2010-273(LI)	2	\$5,000	\$5,000	\$3,300	09/30/2011	
UP 2010-274(SI)	1	\$1,000	\$1,000	\$700	09/30/2011	
UP 2010-275(FCS)	1	\$2,500	\$2,500	\$1,675	09/30/2011	
UP 2010-276(GC)	2	\$10,000	\$10,000	\$7,250	09/30/2011	
UP 2010-277(LI)	1	\$5,000	\$5,000	\$3,400	09/30/2011	
UP 2010-278(SA)	4	\$12,500	\$12,500	\$8,125	09/30/2011	
UP 2010-279(SA)	3	\$12,500	\$12,500	\$8,125	09/30/2011	
UP 2010-280(SA)	3	\$10,000	\$10,000	\$6,600	09/30/2011	
UP 2010-281(SA)	4	\$12,500	\$12,500	\$8,400	09/30/2011	
UP 2010-282(SA)	2	\$10,000	\$10,000	\$6,800	09/30/2011	
UP 2010-283(TS)	1	\$2,500	\$2,500	\$1,900	09/30/2011	
UP 2010-284(TS)	2	\$2,000	\$2,000	\$1,700	09/30/2011	
UP 2010-285(TS)	1	\$2,500	\$2,500	\$1,750	09/30/2011	
UP 2010-286(TS)	1	\$2,500	\$2,500	\$1,750	09/30/2011	
UP 2010-287(ROP)	3	\$20,000	\$20,000	\$14,000	09/30/2011	
UP 2010-288(ROP)	4	\$36,000	\$36,000	\$25,000	09/30/2011	
UP 2010-289(ROP)	8	\$60,000	\$60,000	\$39,000	09/30/2011	
UP 2010-290(ROP)	3	\$28,500	\$28,500	\$18,525	09/30/2011	
UP 2010-291(FCS)	1	\$2,500	\$2,500	\$1,700	09/30/2011	
UP 2010-292(SA)	3	\$15,000	\$15,000	\$9,950	09/30/2011	
UP 2010-293(SA)	2	\$5,000	\$5,000	\$3,575	09/30/2011	
UP 2010-294(SA)	2	\$10,000	\$10,000	\$6,700	09/30/2011	
UP 2010-295(HMT)	2	\$7,000	\$7,000	\$4,620	09/30/2011	
UP 2010-296(ROP)	1	\$9,500	\$9,500	\$6,270	09/30/2011	
UP 2010-297(HMT)	2	\$6,500	\$6,500	\$4,225	09/30/2011	
UP 2010-299(HMT)	1	\$5,000	\$5,000	\$3,250	09/30/2011	
UP 2010-300(HSR)	25	\$25,000	\$25,000	\$16,400	09/30/2011	
UP 2010-302(ROP)	1	\$5,000	\$5,000	\$3,300	09/30/2011	
UP 2010-303(GC)	1	\$5,000	\$5,000	\$3,750	09/30/2011	
UP 2010-304(HSR)	12	\$12,000	\$12,000	\$7,800	09/30/2011	
UP 2010-305(SI)	3	\$4,500	\$4,500	\$3,125	09/30/2011	
UP 2010-306(TS)	2	\$2,000	\$2,000	\$1,700	09/30/2011	
UP 2010-307(TS)	2	\$3,500	\$3,500	\$2,550	09/30/2011	
UP 2010-308(TS)	1	\$1,000	\$1,000	\$750	09/30/2011	
UP 2010-309(LI)	2	\$5,000	\$5,000	\$3,300	09/30/2011	
UP 2010-310(SI)	1	\$1,000	\$1,000	\$675	09/30/2011	
UP 2010-311(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2011	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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 2010-312(SA)	1	\$2,500	\$2,500	\$1,625	09/30/2011	
UP 2010-313(ROP)	2	\$15,000	\$15,000	\$11,250	09/30/2011	
UP 2010-314(SA)	4	\$15,000	\$15,000	\$9,900	09/30/2011	
UP 2010-315(SA)	3	\$15,000	\$15,000	\$9,900	09/30/2011	
UP 2010-316(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2011	
UP 2010-317(SA)	2	\$10,000	\$10,000	\$6,800	09/30/2011	
UP 2010-319(TS)	5	\$10,500	\$10,500	\$7,275	09/30/2011	
UP 2010-320(HMT)	1	\$7,500	\$7,500	\$5,250	09/30/2011	
UP 2010-321(SI)	3	\$6,000	\$6,000	\$4,200	09/30/2011	
UP 2010-322(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2011	
UP 2010-324(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2011	
UP 2010-325(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2011	
UP 2010-326(SA)	3	\$15,000	\$15,000	\$9,900	09/30/2011	
UP 2010-327(SA)	3	\$15,000	\$15,000	\$9,900	09/30/2011	
UP 2010-328(SA)	2	\$10,000	\$10,000	\$6,700	09/30/2011	
UP 2010-329(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2011	
UP 2010-330(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2011	
UP 2010-331(SA)	4	\$12,500	\$12,500	\$8,250	09/30/2011	
UP 2010-332(SA)	2	\$7,500	\$7,500	\$4,950	09/30/2011	
UP 2010-333(ROP)	1	\$9,500	\$9,500	\$6,175	09/30/2011	
UP 2010-334(SA)	3	\$10,000	\$10,000	\$6,600	09/30/2011	
UP 2010-335(FCS)	5	\$20,000	\$20,000	\$13,450	09/30/2011	
UP 2010-336(SA)	2	\$7,500	\$7,500	\$4,950	09/30/2011	
UP 2010-337(SA)	2	\$7,500	\$7,500	\$4,950	09/30/2011	
UP 2010-338(SA)	2	\$10,000	\$10,000	\$6,650	09/30/2011	
UP 2010-339(LI)	1	\$2,500	\$2,500	\$1,625	09/30/2011	
UP 2010-340(ROP)	1	\$5,000	\$5,000	\$3,300	09/30/2011	
UP 2010-341(FCS)	1	\$5,000	\$5,000	\$3,250	09/30/2011	
UP 2010-343(ROP)	5	\$37,500	\$37,500	\$25,000	09/30/2011	
UP 2010-344(ROP)	1	\$9,500	\$9,500	\$6,650	09/30/2011	
UP 2010-345(FCS)	2	\$5,000	\$5,000	\$3,250	09/30/2011	
UP 2010-346(SA)	12	\$30,000	\$30,000	\$20,000	09/30/2011	
UP 2010-347(HMT)	3	\$15,500	\$15,500	\$11,000	09/30/2011	
UP 2010-348(SA)	5	\$22,500	\$22,500	\$15,000	09/30/2011	
UP 2010-349(SA)	3	\$7,500	\$7,500	\$4,950	09/30/2011	
UP 2010-350(SA)	2	\$10,000	\$10,000	\$6,650	09/30/2011	
UP 2010-351(EQ)	1	\$4,000	\$0	\$0	09/30/2011	Case Terminated.
UP 2010-352(LI)	4	\$10,000	\$10,000	\$6,600	09/30/2011	
UP 2010-353(AR)	1	\$2,500	\$2,500	\$1,575	09/30/2011	
UP 2010-354(AR)	1	\$2,500	\$2,500	\$1,575	09/30/2011	
UP 2010-355(SI)	2	\$2,000	\$2,000	\$1,300	09/30/2011	
UP 2010-356(ROP)	2	\$19,000	\$19,000	\$13,680	09/30/2011	
UP 2010-357(SI)	2	\$3,500	\$3,500	\$2,475	09/30/2011	
UP 2010-359(SI)	1	\$5,000	\$5,000	\$3,350	09/30/2011	
UP 2010-360(AD)	1	\$5,000	\$0	\$0	09/30/2011	Case Terminated.
UP 2010-361(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2011	
UP 2010-362(SA)	3	\$12,500	\$12,500	\$8,350	09/30/2011	
UP 2010-363(TS)	30	\$134,500	\$134,500	\$90,000	09/30/2011	
UP 2010-365(FCS)	5	\$22,500	\$22,500	\$14,625	09/30/2011	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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 2010-366(FCS)	1	\$5,000	\$5,000	\$3,300	09/30/2011	
UP 2010-367(SI)	1	\$5,000	\$5,000	\$3,500	09/30/2011	
UP 2010-368(ROP)	1	\$7,500	\$7,500	\$4,875	09/30/2011	
UP 2010-369(ROR)	1	\$2,500	\$2,500	\$1,625	09/30/2011	
UP 2010-370(SA)	3	\$10,000	\$10,000	\$6,600	09/30/2011	
UP 2010-371(LI)	2	\$5,000	\$5,000	\$3,300	09/30/2011	
UP 2010-372(ROR)	5	\$12,500	\$12,500	\$8,175	09/30/2011	
UP 2010-374(ROP)	1	\$7,500	\$7,500	\$5,025	09/30/2011	
UP 2010-375(SA)	2	\$10,000	\$10,000	\$6,600	09/30/2011	
UP 2010-376(SA)	3	\$10,000	\$10,000	\$6,500	09/30/2011	
UP 2010-378(FCS)	5	\$12,500	\$12,500	\$8,200	09/30/2011	
UP 2010-379(FCS)	1	\$2,500	\$2,500	\$1,650	09/30/2011	
UP 2010-380(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2011	
UP 2010-381(SA)	3	\$7,500	\$7,500	\$5,050	09/30/2011	
UP 2010-382(FCS)	1	\$2,500	\$2,500	\$1,650	09/30/2011	
UP 2010-383(TS)	2	\$10,000	\$10,000	\$6,600	09/30/2011	
UP 2010-384(ROP)	5	\$41,500	\$41,500	\$27,500	09/30/2011	
UP 2010-385(ROP)	2	\$15,000	\$15,000	\$10,500	09/30/2011	
UP 2010-386(SA)	4	\$20,000	\$20,000	\$13,000	09/30/2011	
UP 2010-387(AR)	5	\$12,500	\$7,500	\$5,500	09/30/2011	Terminated Violation(s): 4, 5.
UP 2010-389(ROP)	1	\$7,500	\$7,500	\$5,100	09/30/2011	
UP 2010-390(GC)	1	\$5,000	\$5,000	\$3,750	09/30/2011	
UP 2010-391(SA)	3	\$10,000	\$10,000	\$6,600	09/30/2011	
UP 2010-392(HSR)	1	\$1,000	\$1,000	\$650	09/30/2011	
UP 2010-393(AD)	2	\$10,000	\$10,000	\$6,500	09/30/2011	
UP 2010-394(GC)	1	\$2,500	\$2,500	\$1,800	09/30/2011	
UP 2010-395(LI)	1	\$1,000	\$1,000	\$660	09/30/2011	
UP 2010-396(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
UP 2010-397(FCS)	5	\$12,500	\$12,500	\$8,000	09/30/2011	
UP 2010-398(SA)	3	\$12,500	\$12,500	\$8,125	09/30/2011	
UP 2010-399(LI)	1	\$1,500	\$1,500	\$1,050	09/30/2011	
UP 2010-400(TS)	4	\$13,500	\$13,500	\$9,000	09/30/2011	
UP 2010-401(TS)	2	\$7,500	\$7,500	\$5,000	09/30/2011	
UP 2010-402(FCS)	2	\$5,000	\$5,000	\$3,350	09/30/2011	
UP 2010-403(SI)	1	\$5,000	\$5,000	\$3,500	09/30/2011	
UP 2010-404(SA)	2	\$7,500	\$7,500	\$4,875	09/30/2011	
UP 2010-405(SA)	3	\$7,500	\$7,500	\$4,850	09/30/2011	
UP 2010-406(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2011	
UP 2010-407(SA)	4	\$10,000	\$10,000	\$6,500	09/30/2011	
UP 2010-408(SA)	2	\$7,500	\$7,500	\$4,875	09/30/2011	
UP 2010-409(LI)	1	\$5,000	\$5,000	\$3,400	09/30/2011	
UP 2010-410(TS)	2	\$5,000	\$5,000	\$3,550	09/30/2011	
UP 2010-411(TS)	1	\$5,000	\$5,000	\$3,550	09/30/2011	
UP 2010-412(RSP)	1	\$1,000	\$1,000	\$650	09/30/2011	
UP 2010-413(AR)	1	\$2,500	\$2,500	\$1,625	09/30/2011	
UP 2010-414(ROP)	3	\$22,500	\$22,500	\$14,500	09/30/2011	
UP 2010-415(SI)	1	\$1,000	\$1,000	\$730	09/30/2011	
UP 2010-416(GC)	6	\$13,500	\$13,500	\$9,150	09/30/2011	
UP 2010-417(AD)	2	\$10,000	\$0	\$0	09/30/2011	Case Terminated.

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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 2010-418(LI)	1	\$1,500	\$1,500	\$975	09/30/2011	
UP 2010-420(HSR)	5	\$5,000	\$5,000	\$3,300	09/30/2011	
UP 2010-421(RSP)	1	\$5,000	\$5,000	\$3,350	09/30/2011	
UP 2010-423(HS)	1	\$1,000	\$1,000	\$650	09/30/2011	
UP 2010-424(FCS)	1	\$2,500	\$2,500	\$1,700	09/30/2011	
UP 2010-425(TS)	1	\$5,000	\$5,000	\$3,450	09/30/2011	
UP 2010-426(SA)	3	\$7,500	\$7,500	\$4,875	09/30/2011	
UP 2010-427(SA)	2	\$7,500	\$7,500	\$4,875	09/30/2011	
UP 2010-428(SA)	1	\$5,000	\$5,000	\$3,550	09/30/2011	
UP 2010-429(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2011	
UP 2010-430(ROP)	1	\$7,500	\$7,500	\$5,400	09/30/2011	
UP 2010-431(SA)	1	\$5,000	\$5,000	\$3,250	09/30/2011	
UP 2010-432(SA)	1	\$5,000	\$5,000	\$3,750	09/30/2011	
UP 2010-434(SA)	2	\$5,000	\$5,000	\$3,550	09/30/2011	
UP 2010-435(TS)	1	\$5,000	\$5,000	\$3,400	09/30/2011	
UP 2010-436(SI)	1	\$1,000	\$1,000	\$730	09/30/2011	
UP 2010-437(TS)	8	\$32,500	\$32,500	\$22,350	09/30/2011	
UP 2010-438(LI)	2	\$3,500	\$2,500	\$1,750	09/30/2011	Terminated Violation(s): 1.
UP 2010-439(FCS)	1	\$2,500	\$2,500	\$1,550	09/30/2011	
UP 2010-441(ROP)	1	\$9,500	\$9,500	\$6,365	09/30/2011	
UP 2010-442(ROP)	4	\$32,000	\$32,000	\$21,000	09/30/2011	
UP 2010-443(SA)	2	\$10,000	\$10,000	\$6,600	09/30/2011	
UP 2010-444(SA)	2	\$10,000	\$10,000	\$6,600	09/30/2011	
UP 2010-445(SA)	3	\$20,000	\$20,000	\$13,200	09/30/2011	
UP 2010-446(SA)	1	\$5,000	\$5,000	\$3,550	09/30/2011	
UP 2010-447(RSP)	1	\$2,500	\$2,500	\$1,550	09/30/2011	
UP 2010-448(FCS)	1	\$5,000	\$5,000	\$3,200	09/30/2011	
UP 2010-449(SA)	2	\$10,000	\$10,000	\$6,750	09/30/2011	
UP 2010-450(SA)	2	\$7,500	\$7,500	\$4,875	09/30/2011	
UP 2010-451(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2011	
UP 2010-452(TS)	20	\$35,000	\$35,000	\$23,000	09/30/2011	
UP 2010-453(SI)	1	\$2,500	\$2,500	\$1,725	09/30/2011	
UP 2010-454(LI)	1	\$5,000	\$5,000	\$3,300	09/30/2011	
UP 2010-455(TS)	5	\$11,000	\$11,000	\$7,150	09/30/2011	
UP 2010-456(TS)	1	\$1,000	\$1,000	\$730	09/30/2011	
UP 2010-457(FCS)	1	\$2,500	\$2,500	\$1,550	09/30/2011	
UP 2010-458(ROP)	2	\$15,000	\$15,000	\$10,350	09/30/2011	
UP 2010-459(ROP)	4	\$32,000	\$32,000	\$20,800	09/30/2011	
UP 2010-460(TS)	1	\$5,000	\$5,000	\$3,500	09/30/2011	
UP 2010-461(SI)	7	\$11,500	\$11,500	\$7,600	09/30/2011	
UP 2010-463(SA)	3	\$7,500	\$7,500	\$4,875	09/30/2011	
UP 2010-464(ROP)	1	\$7,500	\$7,500	\$5,625	09/30/2011	
UP 2010-465(ROP)	1	\$5,000	\$5,000	\$3,300	09/30/2011	
UP 2010-466(FCS)	5	\$15,000	\$15,000	\$9,600	09/30/2011	
UP 2010-467(SA)	3	\$7,500	\$7,500	\$4,875	09/30/2011	
UP 2010-468(SA)	3	\$7,500	\$7,500	\$4,875	09/30/2011	
UP 2010-469(SA)	3	\$7,500	\$7,500	\$4,950	09/30/2011	
UP 2010-470(SA)	3	\$10,000	\$10,000	\$6,750	09/30/2011	
UP 2010-471(LI)	1	\$2,500	\$2,500	\$1,600	09/30/2011	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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 2010-472(HMT)	1	\$5,000	\$5,000	\$3,250	09/30/2011	
UP 2010-473(SA)	1	\$2,500	\$2,500	\$1,750	09/30/2011	
UP 2010-475(EQ)	1	\$2,500	\$0	\$0	09/30/2011	Case Terminated.
UP 2010-476(ROP)	1	\$7,500	\$7,500	\$4,875	09/30/2011	
UP 2010-477(FCS)	2	\$7,500	\$7,500	\$4,900	09/30/2011	
UP 2010-478(ROP)	3	\$22,500	\$22,500	\$14,500	09/30/2011	
UP 2010-479(HMT)	3	\$5,500	\$5,500	\$3,575	09/30/2011	
UP 2010-480(HMT)	2	\$4,500	\$4,500	\$3,200	09/30/2011	
UP 2010-482(SA)	2	\$5,000	\$5,000	\$3,600	09/30/2011	
UP 2010-484(SI)	2	\$5,000	\$5,000	\$3,350	09/30/2011	
UP 2010-485(GC)	2	\$10,000	\$10,000	\$7,000	09/30/2011	
UP 2010-486(HMT)	9	\$36,000	\$36,000	\$23,400	09/30/2011	
UP 2010-487(FCS)	5	\$22,500	\$22,500	\$15,000	09/30/2011	
UP 2010-488(FCS)	5	\$18,500	\$18,500	\$12,500	09/30/2011	
UP 2010-490(SA)	2	\$5,000	\$5,000	\$3,600	09/30/2011	
UP 2010-491(FCS)	5	\$20,000	\$20,000	\$12,950	09/30/2011	
UP 2010-492(SA)	2	\$5,000	\$5,000	\$3,600	09/30/2011	
UP 2010-493(SA)	2	\$10,000	\$10,000	\$6,800	09/30/2011	
UP 2010-494(SA)	1	\$2,500	\$2,500	\$1,625	09/30/2011	
UP 2010-496(FCS)	5	\$20,000	\$20,000	\$13,000	09/30/2011	
UP 2010-498(SA)	2	\$5,000	\$5,000	\$3,350	09/30/2011	
UP 2010-499(SA)	2	\$5,000	\$5,000	\$3,350	09/30/2011	
UP 2010-500(SA)	2	\$7,500	\$7,500	\$5,050	09/30/2011	
UP 2010-502(SA)	1	\$5,000	\$5,000	\$3,350	09/30/2011	
UP 2010-503(ROP)	6	\$47,000	\$47,000	\$30,550	09/30/2011	
UP 2010-505(ROP)	2	\$17,000	\$17,000	\$11,600	09/30/2011	
UP 2010-506(TS)	1	\$5,000	\$5,000	\$3,500	09/30/2011	
UP 2010-507(HMT)	1	\$2,500	\$2,500	\$1,650	09/30/2011	
UP 2010-508(LI)	8	\$20,000	\$20,000	\$13,200	09/30/2011	
UP 2010-510(ROP)	1	\$7,500	\$7,500	\$4,875	09/30/2011	
UP 2010-512(SA)	1	\$2,500	\$2,500	\$1,700	09/30/2011	
UP 2010-513(SA)	1	\$5,000	\$5,000	\$3,450	09/30/2011	
UP 2010-514(ROP)	1	\$9,500	\$9,500	\$5,225	09/30/2011	
UP 2010-515(TS)	2	\$10,000	\$10,000	\$6,800	09/30/2011	
UP 2010-516(TS)	3	\$7,500	\$7,500	\$5,050	09/30/2011	
UP 2010-517(SA)	1	\$2,500	\$2,500	\$1,725	09/30/2011	
UP 2010-520(SA)	2	\$7,500	\$7,500	\$4,950	09/30/2011	
UP 2010-521(SA)	2	\$5,000	\$5,000	\$3,575	09/30/2011	
UP 2010-523(SA)	2	\$7,500	\$7,500	\$4,950	09/30/2011	
UP 2010-524(SA)	1	\$5,000	\$5,000	\$3,400	09/30/2011	
UP 2010-526(SA)	2	\$7,500	\$7,500	\$4,900	09/30/2011	
UP 2011-2(GC)	1	\$5,000	\$5,000	\$3,800	09/30/2011	
UP 2011-3(FCS)	6	\$15,000	\$15,000	\$9,500	09/30/2011	
UP 2011-4(FCS)	3	\$7,500	\$7,500	\$4,800	09/30/2011	
UP 2011-5(TS)	3	\$8,000	\$8,000	\$5,200	09/30/2011	
UP 2011-6(ROP)	1	\$5,000	\$5,000	\$3,400	09/30/2011	
UP 2011-7(FCS)	1	\$2,500	\$2,500	\$1,600	09/30/2011	
UP 2011-8(SA)	2	\$7,500	\$7,500	\$4,900	09/30/2011	
UP 2011-9(SA)	3	\$7,500	\$7,500	\$4,900	09/30/2011	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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 2011-10(LI)	2	\$5,000	\$5,000	\$3,300	09/30/2011	
UP 2011-11(SA)	1	\$5,000	\$5,000	\$3,450	09/30/2011	
UP 2011-13(ROP)	2	\$15,000	\$15,000	\$9,750	09/30/2011	
UP 2011-14(FCS)	3	\$11,000	\$11,000	\$7,200	09/30/2011	
UP 2011-15(SI)	1	\$5,000	\$5,000	\$3,500	09/30/2011	
UP 2011-17(FCS)	2	\$5,000	\$5,000	\$3,100	09/30/2011	
UP 2011-18(GC)	1	\$5,000	\$5,000	\$3,800	09/30/2011	
UP 2011-19(ROP)	4	\$19,500	\$19,500	\$13,600	09/30/2011	
UP 2011-20(SA)	1	\$5,000	\$5,000	\$3,450	09/30/2011	
UP 2011-21(EO)	1	\$5,000	\$5,000	\$3,500	09/30/2011	
UP 2011-23(TS)	5	\$9,500	\$9,500	\$6,250	09/30/2011	
UP 2011-24(TS)	2	\$6,000	\$6,000	\$4,150	09/30/2011	
UP 2011-25(TS)	3	\$12,500	\$12,500	\$8,250	09/30/2011	
UP 2011-28(SA)	2	\$5,000	\$5,000	\$3,550	09/30/2011	
UP 2011-29(SA)	2	\$7,500	\$7,500	\$4,950	09/30/2011	
UP 2011-30(SA)	4	\$10,000	\$10,000	\$6,700	09/30/2011	
UP 2011-31(ROP)	2	\$17,000	\$17,000	\$11,600	09/30/2011	
UP 2011-33(LI)	4	\$10,000	\$10,000	\$6,750	09/30/2011	
UP 2011-34(TS)	2	\$3,500	\$3,500	\$2,250	09/30/2011	
UP 2011-35(TS)	1	\$2,500	\$2,500	\$1,725	09/30/2011	
UP 2011-36(TS)	1	\$2,500	\$2,500	\$1,675	09/30/2011	
UP 2011-38(TS)	2	\$10,000	\$10,000	\$6,750	09/30/2011	
UP 2011-39(TS)	1	\$5,000	\$5,000	\$3,400	09/30/2011	
UP 2011-42(SI)	1	\$1,000	\$1,000	\$700	09/30/2011	
UP 2011-44(SA)	2	\$5,000	\$5,000	\$3,400	09/30/2011	
UP 2011-45(SA)	2	\$5,000	\$5,000	\$3,575	09/30/2011	
UP 2011-46(SA)	2	\$5,000	\$5,000	\$3,550	09/30/2011	
UP 2011-47(FCS)	4	\$17,500	\$17,500	\$11,475	09/30/2011	
UP 2011-48(SA)	2	\$5,000	\$5,000	\$3,500	09/30/2011	
UP 2011-50(LI)	3	\$7,500	\$7,500	\$5,000	09/30/2011	
UP 2011-51(SA)	1	\$5,000	\$5,000	\$3,450	09/30/2011	
UP 2011-52(FCS)	5	\$15,000	\$15,000	\$9,775	09/30/2011	
UP 2011-53(FCS)	1	\$2,500	\$2,500	\$1,650	09/30/2011	
UP 2011-55(SA)	2	\$5,000	\$5,000	\$3,550	09/30/2011	
UP 2011-56(SA)	3	\$15,000	\$15,000	\$9,750	09/30/2011	
UP 2011-57(SA)	3	\$12,500	\$12,500	\$8,300	09/30/2011	
UP 2011-58(SA)	2	\$7,500	\$7,500	\$4,950	09/30/2011	
UP 2011-59(SA)	3	\$10,000	\$10,000	\$6,600	09/30/2011	
UP 2011-61(FCS)	2	\$7,500	\$7,500	\$4,800	09/30/2011	
UP 2011-62(SA)	2	\$5,000	\$5,000	\$3,600	09/30/2011	
UP 2011-63(SA)	2	\$5,000	\$5,000	\$3,600	09/30/2011	
UP 2011-64(SA)	2	\$7,500	\$7,500	\$4,950	09/30/2011	
UP 2011-66(ROP)	1	\$7,500	\$7,500	\$5,025	09/30/2011	
UP 2011-68(TS)	2	\$7,500	\$7,500	\$4,950	09/30/2011	
UP 2011-69(FCS)	3	\$7,500	\$7,500	\$4,800	09/30/2011	
UP 2011-70(SI)	4	\$10,000	\$10,000	\$6,750	09/30/2011	
UP 2011-72(SA)	2	\$7,500	\$7,500	\$4,950	09/30/2011	
UP 2011-73(HMT)	1	\$5,000	\$5,000	\$3,500	09/30/2011	
UP 2011-74(TS)	1	\$2,500	\$2,500	\$1,675	09/30/2011	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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 2011-75(TH)	1	\$5,000	\$5,000	\$3,250	09/30/2011	
UP 2011-77(LI)	3	\$7,500	\$7,500	\$4,875	09/30/2011	
UP 2011-84(ROP)	2	\$15,000	\$15,000	\$9,750	09/30/2011	
UP 2011-131(SA)	60	\$150,000	\$150,000	\$75,000	09/30/2011	
URR 2004-1(EQ)	1	\$2,500	\$0	\$0	05/20/2011	Case Terminated.
URR 2005-1(SA)	1	\$2,500	\$2,500	\$1,250	05/20/2011	
VSOR 2010-1(AR)	1	\$2,500	\$2,500	\$1,575	09/30/2011	
WE 2006-2(SA)	2	\$5,000	\$5,000	\$2,500	02/17/2011	
WE 2007-1(GC)	5	\$5,000	\$5,000	\$2,750	02/17/2011	
WE 2007-2(GC)	5	\$5,000	\$5,000	\$2,750	02/17/2011	
WE 2007-3(GC)	5	\$5,000	\$5,000	\$2,750	02/17/2011	
WE 2007-5(GC)	4	\$4,000	\$4,000	\$2,200	02/17/2011	
WE 2007-6(GC)	4	\$4,000	\$4,000	\$2,200	02/17/2011	
WE 2007-7(GC)	3	\$3,000	\$3,000	\$1,650	02/17/2011	
WE 2007-8(SI)	2	\$2,000	\$2,000	\$1,100	02/17/2011	
WE 2007-9(GC)	4	\$4,000	\$4,000	\$2,200	02/17/2011	
WE 2007-10(GC)	3	\$3,000	\$3,000	\$1,650	02/17/2011	
WE 2007-11(GC)	2	\$2,000	\$2,000	\$1,100	02/17/2011	
WE 2007-12(GC)	5	\$6,500	\$6,500	\$3,450	02/17/2011	
WE 2007-13(GC)	5	\$5,000	\$5,000	\$2,750	02/17/2011	
WE 2007-14(GC)	5	\$5,000	\$5,000	\$2,750	02/17/2011	
WE 2007-15(GC)	6	\$6,000	\$6,000	\$3,300	02/17/2011	
WE 2007-16(GC)	5	\$5,000	\$5,000	\$2,750	02/17/2011	
WE 2007-17(LI)	2	\$5,000	\$5,000	\$2,500	02/17/2011	
WE 2007-18(GC)	1	\$2,500	\$2,500	\$1,300	02/17/2011	
WE 2007-19(HSR)	1	\$1,000	\$1,000	\$550	02/17/2011	
WE 2008-1(GC)	2	\$10,000	\$10,000	\$6,350	02/17/2011	
WE 2008-2(GC)	1	\$1,000	\$1,000	\$630	02/17/2011	
WE 2008-3(TS)	2	\$10,000	\$10,000	\$5,500	02/17/2011	
WE 2009-1(AR)	3	\$7,500	\$7,500	\$3,850	02/17/2011	
WE 2009-2(HS)	6	\$6,000	\$6,000	\$3,300	02/17/2011	
WE 2009-3(HSR)	1	\$1,000	\$1,000	\$550	02/17/2011	
WE 2009-4(HS)	1	\$1,000	\$1,000	\$550	02/17/2011	
WE 2009-5(HS)	5	\$5,000	\$5,000	\$2,750	02/17/2011	
WE 2009-6(HS)	5	\$5,000	\$5,000	\$2,750	02/17/2011	
WE 2009-7(AR)	3	\$7,500	\$7,500	\$3,850	02/17/2011	
WE 2009-8(HS)	2	\$2,000	\$2,000	\$1,100	02/17/2011	
WE 2009-10(TS)	1	\$5,000	\$5,000	\$3,000	02/17/2011	
WE 2009-11(GC)	1	\$5,000	\$5,000	\$3,220	02/17/2011	
WE 2009-12(LI)	2	\$5,000	\$2,500	\$1,250	02/17/2011	Terminated Violation(s): 1.
WE 2010-1(TS)	2	\$10,000	\$10,000	\$6,000	02/17/2011	
WE 2010-2(GC)	1	\$1,000	\$1,000	\$650	02/17/2011	
WE 2010-3(SA)	2	\$10,000	\$10,000	\$6,000	02/17/2011	
WE 2010-4(GC)	1	\$2,500	\$2,500	\$1,250	02/17/2011	
WE 2010-5(GC)	1	\$5,000	\$5,000	\$3,250	02/17/2011	
WRRC 2008-1(TS)	8	\$8,000	\$8,000	\$6,400	12/17/2010	
WRRC 2010-1(ROP)	1	\$7,500	\$7,500	\$6,000	12/17/2010	
WTLC 2006-1(SA)	1	\$7,500	\$7,500	\$5,250	05/20/2011	
WTLC 2006-2(LI)	1	\$2,500	\$2,500	\$1,875	05/20/2011	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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>
WTLC 2006-3(LI)	1	\$2,500	\$2,500	\$1,875	05/20/2011	
WTLC 2007-1(TS)	1	\$2,500	\$2,500	\$1,875	05/20/2011	
WTLC 2007-2(TS)	6	\$6,000	\$6,000	\$4,400	05/20/2011	
WTLC 2007-3(TS)	3	\$7,000	\$7,000	\$4,550	05/20/2011	
WTLC 2009-1(TS)	1	\$5,000	\$5,000	\$3,250	05/20/2011	
WTLC 2009-2(TS)	1	\$5,000	\$5,000	\$3,250	05/20/2011	
XARD 2010-1(AD)	1	\$2,500	\$2,500	\$650	09/29/2011	
XARS 2011-1(HMT)	1	\$10,000	\$10,000	\$6,200	05/05/2011	
XATH 2011-1(HMT)	1	\$5,000	\$0	\$0	07/13/2011	Case Terminated.
XATH 2011-2(HMT)	3	\$6,000	\$6,000	\$4,300	07/21/2011	
XATH 2011-3(HMT)	1	\$2,500	\$2,500	\$2,500	09/19/2011	
XBRI 2008-1(RW)	1	\$2,000	\$2,000	\$1,600	02/15/2011	
XBRI 2009-1(RW)	3	\$7,500	\$7,500	\$6,000	02/15/2011	
XBRI 2010-1(RW)	1	\$5,000	\$5,000	\$4,000	02/15/2011	
XBTT 2009-1(HMT)	5	\$10,000	\$10,000	\$7,000	01/18/2011	
XBTT 2010-1(HMT)	1	\$5,000	\$0	\$0	12/02/2010	Case Terminated.
XCLL 2010-1(HMT)	1	\$7,500	\$7,500	\$5,250	10/27/2010	
XDAR 2011-1(RW)	1	\$5,000	\$5,000	\$2,750	06/23/2011	
XEEL 2010-1(HMT)	1	\$2,500	\$2,500	\$2,500	12/10/2010	
XEGC 2011-1(HMT)	3	\$15,000	\$15,000	\$15,000	06/23/2011	
XEGC 2011-2(HMT)	1	\$5,000	\$5,000	\$5,000	08/18/2011	
XEPM 2011-1(HMT)	1	\$2,000	\$2,000	\$2,000	01/19/2011	
XGWT 2011-1(HMT)	2	\$10,000	\$10,000	\$9,000	03/30/2011	
XGWT 2011-2(HMT)	2	\$10,000	\$10,000	\$9,000	03/30/2011	
XGWT 2011-3(HMT)	3	\$15,000	\$15,000	\$9,500	03/30/2011	
XHEW 2009-1(HMT)	1	\$2,000	\$2,000	\$2,000	03/21/2011	
XHIT 2011-1(HMT)	1	\$2,000	\$2,000	\$2,000	08/29/2011	
XHTS 2011-1(ROR)	1	\$5,000	\$0	\$0	06/27/2011	Case Terminated.
XHTT 2008-1(RW)	2	\$10,000	\$10,000	\$10,000	03/24/2011	
XHWS 2011-1(HMT)	1	\$1,000	\$0	\$0	07/05/2011	Case Terminated.
XICP 2011-1(HMT)	1	\$15,000	\$15,000	\$9,500	03/29/2011	
XIEW 2010-1(BW)	2	\$10,000	\$10,000	\$6,500	05/16/2011	
XMMP 2010-1(HMT)	1	\$2,000	\$2,000	\$2,000	03/11/2011	
XOEC 2010-1(BW)	2	\$10,000	\$10,000	\$10,000	12/22/2010	
XPDC 2006-1(RW)	2	\$5,000	\$0	\$0	09/25/2011	Case Terminated.
XPTC 2010-1(HMT)	1	\$2,000	\$2,000	\$1,500	07/11/2011	
XRCU 2009-1(HMT)	1	\$5,000	\$5,000	\$3,500	11/24/2010	
XRLB 2010-1(RW)	1	\$3,000	\$3,000	\$2,400	02/04/2011	
XRTI 2009-1(RW)	2	\$5,000	\$5,000	\$4,000	12/01/2010	
XRTP 2010-1(HMT)	1	\$4,000	\$4,000	\$4,000	11/01/2010	
XRTP 2010-2(HMT)	2	\$11,500	\$11,500	\$9,200	11/24/2010	
XRTW 2010-1(HMT)	1	\$2,000	\$2,000	\$1,600	06/23/2011	
XRUO 2010-1(HMT)	1	\$2,500	\$2,500	\$2,500	02/23/2011	
XSPR 2010-1(RW)	2	\$6,000	\$3,000	\$1,900	10/06/2010	Terminated Violation(s): 2.
XTPS 2010-1(HMT)	1	\$2,000	\$2,000	\$1,500	03/03/2011	
XTSI 2010-1(HMT)	3	\$6,000	\$6,000	\$5,982	12/20/2010	
XURW 2010-1(HMT)	2	\$12,500	\$12,500	\$8,750	01/25/2011	
XWCO 2010-1(RW)	1	\$1,000	\$1,000	\$1,000	11/12/2010	
YSVR 2010-3(AD)	1	\$2,500	\$2,500	\$1,600	09/30/2011	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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>
ZABD 2011-1(HMT)	1	\$10,000	\$10,000	\$6,500	04/11/2011	
ZABEQ 2011-1(HMT)	1	\$10,000	\$10,000	\$7,200	06/01/2011	
ZABEQ 2011-2(HMT)	1	\$5,000	\$5,000	\$3,000	08/19/2011	
ZABEQ 2011-3(HMT)	1	\$10,000	\$10,000	\$7,200	08/19/2011	
ZABEQ 2011-4(HMT)	1	\$10,000	\$0	\$0	08/10/2011	Case Terminated.
ZABW 2010-1(HMT)	2	\$4,000	\$4,000	\$2,900	10/25/2010	
ZABW 2011-1(HMT)	1	\$10,000	\$10,000	\$8,100	05/19/2011	
ZACE 2010-1(HMT)	1	\$2,000	\$2,000	\$2,000	10/04/2010	
ZACE 2011-1(HMT)	1	\$5,000	\$5,000	\$5,000	08/12/2011	
ZACJ 2011-1(HMT)	2	\$7,000	\$7,000	\$7,000	05/23/2011	
ZACQ 2010-1(HMT)	2	\$20,000	\$20,000	\$20,000	01/14/2011	
ZACR 2009-2(HMT)	1	\$10,000	\$10,000	\$7,400	02/10/2011	
ZADE 2011-1(HMT)	1	\$10,000	\$10,000	\$7,500	04/14/2011	
ZAET 2010-1(HMT)	1	\$2,500	\$0	\$0	06/23/2011	Case Terminated.
ZAEX 2007-1(HMT)	1	\$7,500	\$7,500	\$1,100	09/06/2011	
ZAFQ 2010-1(HMT)	1	\$5,000	\$5,000	\$5,000	01/22/2011	
ZAFQ 2010-2(HMT)	1	\$10,000	\$10,000	\$10,000	04/13/2011	
ZAG 2009-1(HMT)	2	\$4,000	\$4,000	\$3,300	04/21/2011	
ZAG 2011-1(HMT)	1	\$2,500	\$2,500	\$2,500	04/13/2011	
ZAGB 2011-1(HMT)	1	\$5,000	\$5,000	\$3,500	05/03/2011	
ZAGE 2010-1(HMT)	1	\$4,000	\$4,000	\$2,800	01/27/2011	
ZAGF 2011-1(HMT)	1	\$10,000	\$10,000	\$10,000	08/10/2011	
ZAGP 2010-2(HMT)	1	\$5,000	\$5,000	\$3,000	01/31/2011	
ZAGP 2011-1(HMT)	1	\$5,000	\$5,000	\$3,400	07/27/2011	
ZAGU 2011-1(HMT)	1	\$2,000	\$2,000	\$1,000	07/26/2011	
ZAHL 2010-1(HMT)	3	\$10,000	\$10,000	\$7,000	12/15/2010	
ZAHL 2010-2(HMT)	1	\$5,000	\$5,000	\$4,000	12/15/2010	
ZAIL 2010-1(HMT)	2	\$6,000	\$6,000	\$6,000	03/30/2011	
ZAIL 2011-1(HMT)	1	\$5,000	\$5,000	\$5,000	08/10/2011	
ZAJE 2010-1(HMT)	1	\$7,500	\$7,500	\$5,600	02/24/2011	
ZAJE 2011-1(HMT)	3	\$15,000	\$15,000	\$9,750	06/09/2011	
ZAKE 2011-1(HMT)	1	\$10,000	\$10,000	\$7,000	06/03/2011	
ZAKM 2010-1(HMT)	2	\$7,500	\$7,500	\$4,850	07/18/2011	
ZAKM 2010-2(HMT)	1	\$2,500	\$2,500	\$1,800	07/18/2011	
ZAKM 2011-1(HMT)	3	\$15,000	\$15,000	\$10,500	07/18/2011	
ZAKM 2011-2(HMT)	2	\$10,000	\$10,000	\$7,000	07/18/2011	
ZAKM 2011-3(HMT)	1	\$5,000	\$5,000	\$3,500	07/18/2011	
ZAKN 2010-2(HMT)	1	\$5,000	\$5,000	\$3,700	04/13/2011	
ZAKP 2010-1(HMT)	1	\$10,000	\$10,000	\$6,900	02/08/2011	
ZALN 2010-1(HMT)	1	\$5,000	\$5,000	\$3,600	10/27/2010	
ZALN 2010-2(HMT)	1	\$5,000	\$5,000	\$3,400	10/27/2010	
ZALN 2011-1(HMT)	1	\$5,000	\$5,000	\$3,600	08/02/2011	
ZALQ 2010-1(HMT)	1	\$5,000	\$5,000	\$5,000	11/09/2010	
ZALQ 2010-2(HMT)	1	\$5,000	\$5,000	\$5,000	01/31/2011	
ZALQ 2011-1(HMT)	1	\$2,000	\$2,000	\$2,000	04/26/2011	
ZALTI 2007-1(HMT)	2	\$22,500	\$0	\$0	08/03/2011	Case Terminated.
ZAMC 2009-6(HMT)	2	\$15,000	\$15,000	\$9,500	02/11/2011	
ZAMC 2009-7(HMT)	1	\$10,000	\$10,000	\$7,000	02/11/2011	
ZAMC 2010-1(HMT)	1	\$5,000	\$5,000	\$3,000	02/11/2011	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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>
ZAMC 2010-2(HMT)	1	\$2,000	\$2,000	\$1,500	02/11/2011	
ZAMC 2010-3(HMT)	1	\$5,000	\$5,000	\$3,200	02/11/2011	
ZAMK 2010-1(HMT)	1	\$10,000	\$10,000	\$3,000	09/20/2011	
ZAMRI 2009-1(HMT)	1	\$8,000	\$8,000	\$6,000	11/09/2010	
ZAMRI 2009-2(HMT)	3	\$7,500	\$7,500	\$4,000	11/09/2010	
ZAMRI 2009-3(HMT)	1	\$7,500	\$7,500	\$4,500	11/09/2010	
ZAMRI 2009-5(HMT)	1	\$7,500	\$7,500	\$4,000	11/09/2010	
ZAMU 2011-1(HMT)	1	\$10,000	\$10,000	\$10,000	09/30/2011	
ZAND 2010-1(HMT)	1	\$2,000	\$2,000	\$1,350	11/09/2010	
ZAND 2010-2(HMT)	1	\$10,000	\$10,000	\$7,100	11/09/2010	
ZAND 2010-3(HMT)	1	\$10,000	\$10,000	\$7,700	01/10/2011	
ZAPC 2011-1(HMT)	1	\$10,000	\$10,000	\$7,500	06/21/2011	
ZAPM 2011-1(HMT)	1	\$5,000	\$5,000	\$5,000	04/14/2011	
ZARCH 2010-1(HMT)	2	\$2,000	\$0	\$0	01/28/2011	Case Terminated.
ZARCI 2011-1(HMT)	1	\$7,500	\$7,500	\$5,600	06/23/2011	
ZARCI 2011-2(HMT)	1	\$5,000	\$5,000	\$3,500	06/23/2011	
ZARG 2010-1(HMT)	1	\$5,000	\$5,000	\$3,500	02/02/2011	
ZARGR 2010-1(HMT)	1	\$10,000	\$10,000	\$8,000	10/21/2010	
ZARK 2009-1(HMT)	1	\$7,500	\$7,500	\$5,300	10/08/2010	
ZARK 2010-1(HMT)	1	\$5,000	\$5,000	\$3,450	02/28/2011	
ZARK 2010-2(HMT)	1	\$5,000	\$5,000	\$3,600	02/28/2011	
ZARK 2010-3(HMT)	1	\$10,000	\$10,000	\$7,600	02/28/2011	
ZARK 2011-1(HMT)	1	\$7,500	\$7,500	\$6,000	03/22/2011	
ZARK 2011-2(HMT)	1	\$5,000	\$5,000	\$4,000	05/03/2011	
ZARK 2011-3(HMT)	2	\$4,000	\$4,000	\$2,800	07/18/2011	
ZASC 2009-2(HMT)	1	\$2,000	\$2,000	\$1,350	12/15/2010	
ZASR 2010-1(HMT)	1	\$5,000	\$5,000	\$1,600	03/22/2011	
ZATO 2010-1(HMT)	4	\$8,000	\$8,000	\$4,950	10/19/2010	
ZAUG 2011-1(HMT)	1	\$5,000	\$5,000	\$3,600	09/30/2011	
ZAUP 2010-1(HMT)	1	\$5,000	\$5,000	\$3,650	12/02/2010	
ZAUP 2010-2(HMT)	1	\$5,000	\$5,000	\$3,800	12/02/2010	
ZAUX 2010-1(HMT)	1	\$5,000	\$5,000	\$2,750	07/15/2011	
ZAUX 2011-1(HMT)	40	\$197,500	\$197,500	\$98,750	09/23/2011	
ZAWE 2011-1(HMT)	2	\$4,000	\$4,000	\$4,000	07/27/2011	
ZBAB 2006-1(HMT)	1	\$2,500	\$2,500	\$1,750	03/08/2011	
ZBAE 2007-2(HMT)	2	\$7,500	\$7,500	\$5,250	02/07/2011	
ZBAK 2009-1(HMT)	1	\$2,000	\$2,000	\$1,400	12/03/2010	
ZBAS 2010-2(HMT)	1	\$10,000	\$10,000	\$10,000	10/04/2010	
ZBAS 2010-3(HMT)	1	\$10,000	\$10,000	\$10,000	12/23/2010	
ZBAS 2010-4(HMT)	2	\$20,000	\$20,000	\$20,000	02/04/2011	
ZBAS 2010-5(HMT)	1	\$5,000	\$5,000	\$5,000	02/04/2011	
ZBAS 2011-1(HMT)	1	\$10,000	\$10,000	\$10,000	04/26/2011	
ZBAS 2011-2(HMT)	1	\$2,000	\$2,000	\$2,000	04/26/2011	
ZBAS 2011-3(HMT)	1	\$5,000	\$5,000	\$5,000	08/29/2011	
ZBAS 2011-4(HMT)	2	\$20,000	\$20,000	\$20,000	09/29/2011	
ZBB 2007-1(HMT)	1	\$5,000	\$5,000	\$4,000	03/28/2011	
ZBBA 2011-1(HMT)	1	\$2,000	\$2,000	\$2,000	04/26/2011	
ZBCL 2005-1(HMT)	4	\$20,000	\$20,000	\$10,000	12/02/2010	
ZBCL 2006-1(HMT)	1	\$5,000	\$5,000	\$3,500	12/02/2010	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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>
ZBCN 2008-1(HMT)	1	\$5,000	\$5,000	\$5,000	01/11/2011	
ZBCN 2008-2(HMT)	1	\$5,000	\$5,000	\$5,000	01/11/2011	
ZBCR 2009-1(HMT)	1	\$5,000	\$5,000	\$4,000	11/09/2010	
ZBEL 2010-2(HMT)	2	\$10,000	\$10,000	\$10,000	10/04/2010	
ZBEP 2011-1(HMT)	1	\$7,500	\$7,500	\$7,500	03/07/2011	
ZBEX 2011-1(HMT)	3	\$8,000	\$8,000	\$8,000	08/24/2011	
ZBEX 2011-2(HMT)	3	\$6,000	\$6,000	\$6,000	08/24/2011	
ZBFE 2009-1(HMT)	1	\$5,000	\$5,000	\$4,000	11/15/2010	
ZBFM 2010-1(HMT)	1	\$2,000	\$2,000	\$2,000	10/27/2010	
ZBIG 2006-1(HMT)	1	\$10,000	\$10,000	\$8,000	03/31/2011	
ZBKE 2010-1(HMT)	11	\$22,000	\$22,000	\$22,000	11/16/2010	
ZBKE 2011-1(HMT)	2	\$3,000	\$3,000	\$3,000	06/10/2011	
ZBKT 2008-1(HMT)	1	\$5,000	\$5,000	\$3,500	01/26/2011	
ZBLP 2006-1(HMT)	1	\$7,500	\$7,500	\$5,250	02/18/2011	
ZBLRL 2009-1(HMT)	2	\$8,000	\$8,000	\$5,600	11/02/2010	
ZBMA 2008-1(HMT)	1	\$10,000	\$10,000	\$7,000	02/07/2011	
ZBMA 2009-2(HMT)	1	\$10,000	\$10,000	\$7,000	02/07/2011	
ZBMA 2009-3(HMT)	1	\$8,000	\$8,000	\$2,000	02/07/2011	
ZBMA 2009-4(HMT)	1	\$10,000	\$10,000	\$7,000	02/07/2011	
ZBMA 2010-1(HMT)	1	\$10,000	\$10,000	\$7,000	02/04/2011	
ZBML 2011-1(HMT)	2	\$4,000	\$4,000	\$4,000	09/09/2011	
ZBMS 2005-2(HMT)	1	\$10,000	\$0	\$0	01/05/2011	Case Terminated.
ZBOA 2008-1(HMT)	1	\$5,000	\$5,000	\$3,500	04/06/2011	
ZBOG 2006-1(HMT)	2	\$4,000	\$4,000	\$2,800	02/01/2011	
ZBOG 2006-2(HMT)	3	\$11,000	\$11,000	\$7,700	02/02/2011	
ZBOL 2007-2(HMT)	1	\$10,000	\$10,000	\$8,000	04/07/2011	
ZBORE 2006-1(HMT)	3	\$10,000	\$0	\$0	11/19/2010	Case Terminated.
ZBORE 2009-1(HMT)	4	\$11,000	\$11,000	\$8,800	11/19/2010	
ZBPA 2010-1(HMT)	2	\$4,000	\$4,000	\$4,000	04/01/2011	
ZBPA 2010-2(HMT)	1	\$10,000	\$10,000	\$10,000	11/22/2010	
ZBPA 2010-3(HMT)	4	\$11,000	\$11,000	\$11,000	03/23/2011	
ZBPC 2008-2(HMT)	1	\$10,000	\$10,000	\$5,000	01/14/2011	
ZBPC 2011-1(HMT)	1	\$5,000	\$5,000	\$5,000	04/14/2011	
ZBPCE 2009-1(HMT)	1	\$5,000	\$5,000	\$5,000	11/30/2010	
ZBPL 2004-1(HMT)	1	\$5,000	\$5,000	\$1,000	01/21/2011	
ZBPO 2011-1(HMT)	1	\$10,000	\$10,000	\$10,000	06/09/2011	
ZBPO 2011-2(HMT)	3	\$15,000	\$15,000	\$15,000	05/23/2011	
ZBPPZ 2006-1(HMT)	1	\$2,000	\$0	\$0	01/06/2011	Case Terminated.
ZBPPZ 2011-1(HMT)	10	\$50,000	\$50,000	\$50,000	06/21/2011	
ZBPPZ 2011-2(HMT)	1	\$10,000	\$10,000	\$10,000	04/26/2011	
ZBPS 2010-1(HMT)	2	\$20,000	\$20,000	\$14,000	07/05/2011	
ZBPT 2005-1(HMT)	1	\$7,500	\$0	\$0	03/14/2011	Case Terminated.
ZBPWC 2009-1(HMT)	2	\$4,000	\$4,000	\$4,000	04/04/2011	
ZBRR 2005-1(HMT)	1	\$5,000	\$0	\$0	03/28/2011	Case Terminated.
ZBSF 2011-1(HMT)	3	\$6,000	\$6,000	\$6,000	04/26/2011	
ZBSY 2010-1(RW)	1	\$3,000	\$3,000	\$3,000	02/28/2011	
ZBTC 2006-1(HMT)	3	\$11,000	\$11,000	\$8,800	03/24/2011	
ZBTC 2010-1(HMT)	1	\$5,000	\$5,000	\$4,000	03/24/2011	
ZBTS 2005-1(HMT)	1	\$5,000	\$0	\$0	01/05/2011	Case Terminated.

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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>
ZBUL 2004-1(HMT)	1	\$5,000	\$5,000	\$1,000	01/21/2011	
ZBUL 2008-1(HMT)	2	\$4,500	\$4,500	\$3,600	01/21/2011	
ZCFF 2011-1(HMT)	1	\$5,000	\$5,000	\$3,250	05/10/2011	
ZCHY 2011-1(HMT)	1	\$5,000	\$5,000	\$5,000	09/27/2011	
ZCLX 2010-2(HMT)	1	\$10,000	\$10,000	\$7,500	11/09/2010	
ZCOG 2011-1(HMT)	1	\$10,000	\$10,000	\$10,000	04/26/2011	
ZCOU 2010-1(HMT)	3	\$15,000	\$15,000	\$15,000	01/12/2011	
ZCRY 2010-1(HMT)	1	\$15,000	\$15,000	\$7,500	11/09/2010	
ZCXT 2010-1(HMT)	1	\$2,000	\$2,000	\$1,300	02/17/2011	
ZCYT 2011-1(HMT)	1	\$5,000	\$5,000	\$5,000	06/16/2011	
ZDAK 2010-1(HMT)	2	\$4,000	\$4,000	\$3,000	02/15/2011	
ZDAN 2011-1(HMT)	1	\$10,000	\$10,000	\$8,000	09/26/2011	
ZDANT 2005-1(HMT)	1	\$2,000	\$2,000	\$1,200	05/16/2011	
ZDANT 2011-1(HMT)	1	\$7,500	\$7,500	\$5,000	05/20/2011	
ZDBW 2011-1(HMT)	2	\$9,000	\$9,000	\$9,000	09/23/2011	
ZDCM 2011-1(HMT)	1	\$5,000	\$5,000	\$5,000	06/11/2011	
ZDCO 2002-1(HMT)	1	\$5,000	\$0	\$0	05/27/2011	Case Terminated.
ZDCO 2003-1(HMT)	5	\$10,000	\$0	\$0	05/27/2011	Case Terminated.
ZDCO 2004-1(HMT)	1	\$2,000	\$0	\$0	05/27/2011	Case Terminated.
ZDCO 2005-1(HMT)	5	\$20,000	\$0	\$0	05/27/2011	Case Terminated.
ZDCPC 2004-1(HMT)	1	\$12,000	\$0	\$0	05/27/2011	Case Terminated.
ZDCS 2010-1(HMT)	1	\$2,000	\$2,000	\$1,300	12/06/2010	
ZDCS 2010-2(HMT)	1	\$5,000	\$5,000	\$3,500	12/06/2010	
ZDCS 2011-1(HMT)	1	\$10,000	\$10,000	\$8,000	09/21/2011	
ZDCU 2010-1(HMT)	2	\$10,000	\$10,000	\$8,000	02/16/2011	
ZDCU 2010-2(HMT)	2	\$10,000	\$10,000	\$8,000	02/16/2011	
ZDCU 2010-3(HMT)	1	\$5,000	\$5,000	\$2,500	02/16/2011	
ZDCU 2010-4(HMT)	1	\$10,000	\$10,000	\$8,000	02/16/2011	
ZDCU 2010-5(HMT)	1	\$5,000	\$5,000	\$4,000	02/16/2011	
ZDCU 2010-6(HMT)	2	\$20,000	\$20,000	\$16,000	02/16/2011	
ZDCUC 2005-1(HMT)	1	\$2,000	\$0	\$0	02/03/2011	Case Terminated.
ZDCUC 2005-2(HMT)	1	\$5,000	\$5,000	\$1,600	02/16/2011	
ZDCZ 2010-1(HMT)	2	\$10,000	\$10,000	\$10,000	10/05/2010	
ZDECC 2004-1(HMT)	1	\$2,000	\$0	\$0	05/27/2011	Case Terminated.
ZDEP 2010-1(HMT)	1	\$1,000	\$1,000	\$1,000	12/13/2010	
ZDF 2010-1(HMT)	1	\$15,000	\$15,000	\$10,000	12/06/2010	
ZDF 2010-2(HMT)	1	\$2,000	\$2,000	\$1,300	12/06/2010	
ZDFD 2011-1(HMT)	1	\$2,000	\$2,000	\$2,000	06/15/2011	
ZDKR 2010-1(HMT)	1	\$25,000	\$25,000	\$17,500	12/27/2010	
ZDMS 2003-1(HMT)	1	\$2,500	\$0	\$0	09/23/2011	Case Terminated.
ZDMS 2004-1(HMT)	1	\$2,500	\$0	\$0	09/23/2011	Case Terminated.
ZDMS 2005-1(HMT)	3	\$13,000	\$0	\$0	09/23/2011	Case Terminated.
ZDNA 2010-1(HMT)	2	\$4,500	\$4,500	\$2,700	02/04/2011	
ZDOE 2010-1(HMT)	2	\$12,000	\$12,000	\$9,600	03/24/2011	
ZDOE 2010-2(HMT)	2	\$20,000	\$20,000	\$16,000	03/24/2011	
ZDOW 2010-1(HMT)	1	\$2,500	\$2,500	\$1,300	01/27/2011	
ZDPC 2011-1(HMT)	1	\$2,500	\$2,500	\$2,500	07/11/2011	
ZDPCI 2010-1(HMT)	1	\$10,000	\$7,500	\$5,000	03/25/2011	Terminated Violation(s): 1.
ZDPI 2010-1(HMT)	1	\$5,000	\$5,000	\$4,000	03/25/2011	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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>
ZDPS 2005-1(HMT)	3	\$7,500	\$0	\$0	01/04/2011	Case Terminated.
ZDSP 2010-1(HMT)	1	\$10,000	\$10,000	\$5,500	12/28/2010	
ZDUP 2010-1(HMT)	1	\$5,000	\$5,000	\$5,000	12/01/2010	
ZDUP 2011-1(HMT)	1	\$7,500	\$7,500	\$5,625	09/21/2011	
ZDUP 2011-2(HMT)	3	\$15,000	\$15,000	\$10,250	09/27/2011	
ZDUP 2011-3(HMT)	1	\$2,000	\$2,000	\$1,300	09/21/2011	
ZDYI 2010-2(HMT)	4	\$8,000	\$8,000	\$6,000	02/17/2011	
ZEACH 2010-1(HMT)	1	\$10,000	\$10,000	\$7,200	03/09/2011	
ZEACH 2011-1(HMT)	1	\$2,000	\$2,000	\$1,300	03/23/2011	
ZEACH 2011-2(HMT)	1	\$5,000	\$5,000	\$3,500	04/05/2011	
ZEACH 2011-3(HMT)	1	\$2,000	\$2,000	\$1,400	05/03/2011	
ZECB 2010-1(HMT)	1	\$5,000	\$5,000	\$5,000	07/15/2011	
ZECN 2009-1(HMT)	1	\$10,000	\$10,000	\$6,900	01/04/2011	
ZECN 2010-1(HMT)	1	\$5,000	\$5,000	\$5,000	02/11/2011	
ZECT 2011-1(HMT)	1	\$5,000	\$5,000	\$2,800	06/01/2011	
ZECT 2011-2(HMT)	1	\$5,000	\$5,000	\$2,800	06/01/2011	
ZEEA 2009-2(HMT)	1	\$5,000	\$5,000	\$2,900	10/05/2010	
ZEES 2011-1(HMT)	1	\$2,000	\$2,000	\$2,000	09/08/2011	
ZEMCC 2010-1(HMT)	1	\$10,000	\$10,000	\$6,900	06/01/2011	
ZEML 2011-1(HMT)	2	\$9,000	\$9,000	\$6,100	05/03/2011	
ZEMR 2010-1(HMT)	1	\$5,000	\$5,000	\$2,500	06/01/2011	
ZENS 2011-1(HMT)	1	\$5,000	\$5,000	\$5,000	06/01/2011	
ZEOB 2010-2(HMT)	1	\$2,000	\$2,000	\$1,300	01/04/2011	
ZEOB 2011-1(HMT)	1	\$2,000	\$2,000	\$2,000	07/27/2011	
ZEOB 2011-2(HMT)	2	\$4,000	\$4,000	\$3,000	08/02/2011	
ZEPC 2010-2(HMT)	2	\$4,000	\$4,000	\$4,000	10/22/2010	
ZEPC 2010-3(HMT)	1	\$10,000	\$10,000	\$10,000	12/02/2010	
ZEPC 2010-4(HMT)	1	\$5,000	\$5,000	\$5,000	01/07/2011	
ZEPC 2011-1(HMT)	1	\$10,000	\$10,000	\$10,000	04/06/2011	
ZEPP 2011-1(HMT)	1	\$10,000	\$10,000	\$10,000	04/06/2011	
ZEQC 2011-1(HMT)	1	\$2,500	\$2,500	\$1,250	08/26/2011	
ZEQU 2011-1(HMT)	2	\$10,000	\$10,000	\$7,200	08/26/2011	
ZEVD 2011-1(HMT)	1	\$5,000	\$5,000	\$4,250	03/27/2011	
ZEVD 2011-2(HMT)	1	\$2,000	\$2,000	\$2,000	06/22/2011	
ZEVD 2011-3(HMT)	1	\$10,000	\$10,000	\$10,000	07/11/2011	
ZEVG 2011-1(HMT)	1	\$2,000	\$2,000	\$1,360	09/14/2011	
ZEXM 2011-1(HMT)	2	\$10,000	\$10,000	\$6,900	09/20/2011	
ZFBT 2011-1(HMT)	2	\$6,000	\$6,000	\$6,000	03/11/2011	
ZFIR 2010-1(HMT)	2	\$5,000	\$5,000	\$5,000	02/02/2011	
ZFLS 2011-1(HMT)	1	\$5,000	\$5,000	\$5,000	04/29/2011	
ZFLZ 2011-1(HMT)	2	\$15,000	\$15,000	\$15,000	05/26/2011	
ZFLZ 2011-2(HMT)	1	\$7,500	\$7,500	\$7,500	05/26/2011	
ZFMCI 2011-1(HMT)	1	\$2,000	\$2,000	\$2,000	05/13/2011	
ZFPC 2011-1(HMT)	3	\$12,000	\$12,000	\$12,000	04/08/2011	
ZFRZ 2010-1(HMT)	6	\$14,500	\$14,500	\$14,500	01/10/2011	
ZFTT 2011-1(HMT)	2	\$10,000	\$10,000	\$10,000	06/22/2011	
ZFUI 2011-1(HMT)	1	\$5,000	\$5,000	\$3,000	06/03/2011	
ZGATX 2008-2(HMT)	1	\$5,000	\$5,000	\$3,400	05/30/2011	
ZGATX 2009-2(HMT)	2	\$9,500	\$9,500	\$7,000	05/30/2011	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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>
ZGATX 2009-3(HMT)	1	\$2,000	\$2,000	\$1,600	05/30/2011	
ZGATX 2009-4(HMT)	1	\$5,000	\$5,000	\$3,300	05/30/2011	
ZGATX 2010-2(HMT)	1	\$2,000	\$2,000	\$1,700	08/15/2011	
ZGBA 2010-1(HMT)	1	\$5,000	\$5,000	\$3,500	01/14/2011	
ZGDB 2010-1(HMT)	1	\$15,000	\$15,000	\$1,275	02/04/2011	
ZGEP A 2010-1(HMT)	1	\$7,500	\$7,500	\$5,500	05/30/2011	
ZGMN 2010-1(HMT)	2	\$10,000	\$10,000	\$6,750	05/30/2011	
ZGMN 2011-2(HMT)	1	\$5,000	\$5,000	\$3,750	07/15/2011	
ZGPS 2008-1(HMT)	1	\$5,000	\$5,000	\$3,300	05/30/2011	
ZGPS 2009-4(HMT)	2	\$10,000	\$10,000	\$7,700	05/30/2011	
ZGPS 2010-1(HMT)	2	\$10,000	\$10,000	\$10,000	05/30/2011	
ZGPT 2010-1(HMT)	1	\$2,000	\$2,000	\$1,325	03/30/2011	
ZGTE 2010-1(HMT)	1	\$5,000	\$5,000	\$3,500	12/15/2010	
ZGWP 2010-2(HMT)	1	\$2,000	\$2,000	\$2,000	01/13/2011	
ZHAL 2008-1(HMT)	1	\$2,500	\$0	\$0	03/25/2011	Case Terminated.
ZHAR 2009-1(HMT)	1	\$5,000	\$5,000	\$3,400	02/25/2011	
ZHBF 2010-1(HMT)	1	\$7,500	\$7,500	\$3,750	07/15/2011	
ZHCH 2010-1(HMT)	1	\$2,000	\$2,000	\$2,000	01/28/2011	
ZHCQ 2010-1(HMT)	2	\$4,000	\$4,000	\$3,000	05/26/2011	
ZHERT 2010-1(HMT)	1	\$2,000	\$2,000	\$2,000	02/14/2011	
ZHFO 2010-1(HMT)	5	\$10,000	\$10,000	\$10,000	11/01/2010	
ZHGP 2010-1(HMT)	1	\$2,000	\$2,000	\$2,000	02/28/2011	
ZHIL 2010-1(HMT)	1	\$10,000	\$10,000	\$3,500	01/21/2011	
ZHILL 2008-1(HMT)	3	\$9,000	\$6,000	\$3,000	03/21/2011	Terminated Violation(s): 3
ZHKC 2009-1(HMT)	2	\$7,000	\$7,000	\$4,550	02/15/2011	
ZHKD 2010-2(HMT)	1	\$10,000	\$10,000	\$6,500	02/11/2011	
ZHLB 2010-1(HMT)	1	\$10,000	\$10,000	\$7,000	11/18/2010	
ZHLP 2010-1(HMT)	1	\$5,000	\$0	\$0	03/24/2011	Case Terminated.
ZHNI 2010-1(HMT)	2	\$4,000	\$4,000	\$4,000	02/08/2011	
ZHOI 2010-1(HMT)	1	\$5,000	\$5,000	\$5,000	02/28/2011	
ZHOI 2010-2(HMT)	1	\$4,000	\$4,000	\$4,000	02/14/2011	
ZHOI 2011-1(HMT)	2	\$4,000	\$4,000	\$4,000	03/29/2011	
ZHOLI 2009-1(HMT)	1	\$10,000	\$10,000	\$6,500	02/21/2011	
ZHOW 2009-3(HMT)	1	\$2,000	\$2,000	\$2,000	12/14/2010	
ZHPI 2009-1(HMT)	1	\$5,000	\$5,000	\$3,200	12/13/2010	
ZHPR 2010-2(HMT)	1	\$10,000	\$10,000	\$10,000	10/14/2010	
ZHRC 2004-2(HMT)	1	\$10,000	\$10,000	\$7,500	08/25/2011	
ZHRC 2010-1(HMT)	1	\$2,000	\$2,000	\$1,500	08/25/2011	
ZHRM 2010-1(HMT)	1	\$5,000	\$5,000	\$5,000	02/07/2011	
ZHSA 2009-1(HMT)	1	\$10,000	\$10,000	\$10,000	10/14/2010	
ZHSC 2007-1(HMT)	1	\$3,750	\$3,750	\$2,350	04/04/2011	
ZHSC 2008-1(HMT)	1	\$2,500	\$2,500	\$1,550	04/04/2011	
ZHSC 2008-2(HMT)	1	\$5,000	\$5,000	\$3,100	04/04/2011	
ZHSC 2008-3(HMT)	1	\$5,000	\$5,000	\$3,300	04/04/2011	
ZHSC 2009-1(HMT)	1	\$2,000	\$2,000	\$1,300	04/04/2011	
ZHSC 2009-2(HMT)	2	\$4,000	\$4,000	\$2,500	04/04/2011	
ZHSC 2009-3(HMT)	3	\$19,500	\$19,500	\$9,750	04/04/2011	
ZHSC 2010-2(HMT)	1	\$4,000	\$4,000	\$2,600	04/04/2011	
ZHSC 2010-3(HMT)	1	\$2,000	\$2,000	\$1,000	04/04/2011	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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>
ZHSC 2010-4(HMT)	1	\$5,000	\$5,000	\$1,000	04/04/2011	
ZHSC 2011-1(HMT)	5	\$18,000	\$18,000	\$11,520	04/04/2011	
ZHSE 2008-1(HMT)	12	\$24,000	\$24,000	\$12,000	06/30/2011	
ZHSL 2010-1(HMT)	1	\$10,000	\$10,000	\$10,000	02/05/2011	
ZHSX 2010-1(HMT)	1	\$5,000	\$5,000	\$3,300	04/04/2011	
ZHUD 2009-1(HMT)	1	\$5,000	\$5,000	\$5,000	03/04/2011	
ZHUNT 2010-2(HMT)	1	\$5,000	\$5,000	\$5,000	10/01/2010	
ZHWE 2010-1(HMT)	1	\$5,000	\$5,000	\$5,000	11/10/2010	
ZIBO 2011-1(HMT)	1	\$7,500	\$7,500	\$5,300	07/26/2011	
ZICL 2010-1(HMT)	1	\$5,000	\$2,000	\$1,500	01/05/2011	Partially Terminated.
ZICX 2011-1(HMT)	2	\$7,500	\$7,500	\$7,500	09/20/2011	
ZIEI 2010-1(HMT)	1	\$2,000	\$2,000	\$1,600	08/24/2011	
ZIGI 2011-1(HMT)	1	\$10,000	\$10,000	\$10,000	04/01/2011	
ZIMT 2010-1(HMT)	2	\$10,000	\$10,000	\$8,000	04/29/2011	
ZIMT 2010-2(HMT)	1	\$10,000	\$10,000	\$7,500	04/06/2011	
ZIMT 2011-1(HMT)	1	\$5,000	\$5,000	\$4,000	09/07/2011	
ZINTT 2011-1(HMT)	1	\$10,000	\$10,000	\$7,500	04/06/2011	
ZINTT 2011-2(HMT)	1	\$5,000	\$5,000	\$4,000	09/07/2011	
ZIP 2010-3(HMT)	1	\$2,000	\$2,000	\$1,500	07/20/2011	
ZIP 2011-1(HMT)	3	\$14,000	\$14,000	\$11,500	07/20/2011	
ZIPI 2010-1(HMT)	1	\$7,500	\$7,500	\$7,500	12/27/2010	
ZIRO 2010-1(HMT)	1	\$5,000	\$0	\$0	10/05/2010	Case Terminated.
ZIRO 2011-1(HMT)	3	\$30,000	\$30,000	\$23,000	06/16/2011	
ZIRO 2011-2(HMT)	1	\$5,000	\$5,000	\$5,000	09/29/2011	
ZISRV 2010-1(HMT)	2	\$10,000	\$10,000	\$5,500	12/15/2010	
ZITP 2010-1(HMT)	1	\$1,500	\$0	\$0	03/03/2011	Case Terminated.
ZITP 2010-2(HMT)	1	\$7,500	\$0	\$0	03/03/2011	Case Terminated.
ZITT 2010-2(HMT)	1	\$2,000	\$2,000	\$1,400	10/13/2010	
ZITT 2011-1(HMT)	2	\$20,000	\$20,000	\$8,000	06/29/2011	
ZITT 2011-2(HMT)	1	\$10,000	\$10,000	\$7,340	08/24/2011	
ZITT 2011-3(HMT)	2	\$20,000	\$20,000	\$14,660	08/24/2011	
ZJGI 2009-1(HMT)	2	\$7,000	\$4,000	\$1,650	12/20/2010	Partially Terminated Violation(s): 2.
ZJJW 2009-1(HMT)	1	\$5,000	\$5,000	\$3,000	02/03/2011	
ZJJW 2010-1(HMT)	1	\$2,000	\$2,000	\$1,300	02/03/2011	
ZJRS 2010-2(HMT)	1	\$1,000	\$1,000	\$600	11/08/2010	
ZJRS 2010-3(HMT)	1	\$10,000	\$0	\$0	01/31/2011	Case Terminated.
ZJRS 2010-5(HMT)	1	\$10,000	\$10,000	\$7,500	04/09/2011	
ZKKC 2010-1(HMT)	1	\$2,000	\$2,000	\$2,000	12/20/2010	
ZKKC 2011-1(HMT)	2	\$4,000	\$4,000	\$4,000	07/27/2011	
ZKMB 2010-2(HMT)	1	\$10,000	\$10,000	\$5,750	10/04/2010	
ZKMB 2010-4(HMT)	2	\$10,000	\$10,000	\$6,700	11/09/2010	
ZKMB 2011-1(HMT)	1	\$4,000	\$4,000	\$2,500	08/24/2011	
ZKMB 2011-2(HMT)	1	\$5,000	\$5,000	\$3,500	08/24/2011	
ZKMI 2010-1(HMT)	1	\$5,000	\$5,000	\$5,000	10/08/2010	
ZKMJ 2011-1(HMT)	1	\$5,000	\$5,000	\$5,000	08/10/2011	
ZKML 2009-2(HMT)	1	\$5,000	\$5,000	\$3,300	11/09/2010	
ZKMM 2011-1(HMT)	1	\$2,000	\$2,000	\$1,575	08/24/2011	
ZKPI 2010-3(HMT)	2	\$12,500	\$12,500	\$12,500	12/10/2010	
ZKPI 2010-4(HMT)	1	\$10,000	\$10,000	\$10,000	01/31/2011	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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>
ZKPI 2011-2(HMT)	1	\$10,000	\$10,000	\$10,000	03/14/2011	
ZKPI 2011-3(HMT)	1	\$10,000	\$10,000	\$10,000	03/14/2011	
ZKPI 2011-4(HMT)	1	\$1,500	\$1,500	\$1,500	06/22/2011	
ZKWS 2009-1(HMT)	1	\$7,500	\$7,500	\$3,800	08/24/2011	
ZKWS 2009-2(HMT)	3	\$15,000	\$15,000	\$10,500	08/24/2011	
ZKWS 2009-3(HMT)	1	\$2,000	\$2,000	\$1,700	08/24/2011	
ZKWS 2010-5(HMT)	1	\$12,500	\$12,500	\$8,500	02/06/2011	
ZKWS 2010-6(HMT)	1	\$5,000	\$5,000	\$2,600	02/16/2011	
ZKWS 2010-7(HMT)	1	\$10,000	\$10,000	\$7,500	02/16/2011	
ZKWS 2011-1(HMT)	1	\$10,000	\$10,000	\$7,000	08/24/2011	
ZKYE 2009-2(HMT)	1	\$2,500	\$2,500	\$2,500	07/25/2011	
ZKYE 2009-3(HMT)	3	\$6,000	\$6,000	\$6,000	07/25/2011	
ZMDI 2010-1(HMT)	1	\$1,000	\$1,000	\$1,000	10/05/2010	
ZMMM 2010-1(HMT)	2	\$6,000	\$6,000	\$6,000	03/01/2011	
ZMMPL 2011-1(HMT)	1	\$10,000	\$10,000	\$10,000	06/28/2011	
ZMNP 2011-1(HMT)	1	\$5,000	\$5,000	\$5,000	05/06/2011	
ZMNT 2011-1(HMT)	1	\$10,000	\$10,000	\$7,825	03/10/2011	
ZMRE 2010-1(HMT)	1	\$10,000	\$10,000	\$6,000	01/19/2011	
ZMRE 2011-1(HMT)	2	\$10,000	\$10,000	\$6,800	03/08/2011	
ZMUSK 2010-1(HMT)	1	\$5,000	\$5,000	\$5,000	01/27/2011	
ZMUSK 2011-1(HMT)	1	\$5,000	\$5,000	\$5,000	03/14/2011	
ZMUSK 2011-2(HMT)	1	\$5,000	\$5,000	\$5,000	07/26/2011	
ZMWC 2010-3(HMT)	2	\$10,000	\$10,000	\$6,400	06/02/2011	
ZNAL 2011-1(HMT)	1	\$5,000	\$5,000	\$3,500	09/08/2011	
ZNBS 2011-1(HMT)	1	\$5,000	\$5,000	\$5,000	05/04/2011	
ZNCN 2011-1(HMT)	4	\$17,500	\$17,500	\$12,250	09/26/2011	
ZNDK 2011-1(HMT)	1	\$5,000	\$5,000	\$3,900	07/19/2011	
ZNDM 2011-1(HMT)	1	\$7,500	\$7,500	\$7,500	06/30/2011	
ZNDM 2011-2(HMT)	1	\$5,000	\$5,000	\$5,000	08/30/2011	
ZNDP 2010-1(HMT)	2	\$6,500	\$6,500	\$6,500	12/21/2010	
ZNDP 2010-2(HMT)	1	\$5,000	\$5,000	\$5,000	02/15/2011	
ZNEN 2010-1(HMT)	1	\$5,000	\$5,000	\$3,750	04/15/2011	
ZNPA 2011-1(HMT)	1	\$5,000	\$5,000	\$5,000	06/06/2011	
ZNSE 2010-1(HMT)	3	\$11,000	\$11,000	\$11,000	02/03/2011	
ZNSR 2010-1(HMT)	1	\$15,000	\$15,000	\$10,500	09/13/2011	
ZNVL 2010-1(HMT)	1	\$7,500	\$7,500	\$5,000	03/02/2011	
ZOCC 2005-2(HMT)	1	\$5,000	\$5,000	\$2,000	12/02/2010	
ZOCC 2005-3(HMT)	1	\$5,000	\$5,000	\$2,000	12/02/2010	
ZOCC 2006-1(HMT)	1	\$5,000	\$5,000	\$2,700	12/02/2010	
ZOCC 2006-2(HMT)	1	\$15,000	\$15,000	\$7,500	12/02/2010	
ZOCC 2007-1(HMT)	1	\$5,000	\$5,000	\$2,500	12/02/2010	
ZOCC 2007-2(HMT)	2	\$10,000	\$10,000	\$5,000	12/02/2010	
ZOCC 2007-3(HMT)	3	\$25,000	\$25,000	\$14,000	12/02/2010	
ZOCC 2007-4(HMT)	1	\$10,000	\$10,000	\$5,000	12/02/2010	
ZOCC 2007-5(HMT)	1	\$5,000	\$5,000	\$2,500	12/02/2010	
ZOCC 2007-6(HMT)	1	\$5,000	\$5,000	\$2,000	12/02/2010	
ZOCC 2007-7(HMT)	1	\$5,000	\$5,000	\$2,000	12/02/2010	
ZOCC 2008-1(HMT)	2	\$10,000	\$10,000	\$4,000	12/02/2010	
ZOCC 2008-2(HMT)	1	\$5,000	\$5,000	\$2,000	12/02/2010	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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>
ZOCC 2008-3(HMT)	2	\$10,000	\$10,000	\$5,000	12/02/2010	
ZOCC 2008-4(HMT)	1	\$5,000	\$5,000	\$3,000	04/05/2011	
ZOCC 2008-5(HMT)	1	\$5,000	\$5,000	\$3,250	04/05/2011	
ZOCC 2008-6(HMT)	1	\$2,000	\$2,000	\$1,700	04/05/2011	
ZOCC 2008-7(HMT)	1	\$10,000	\$10,000	\$7,000	04/05/2011	
ZOCC 2008-8(HMT)	2	\$20,000	\$20,000	\$14,000	04/05/2011	
ZOCC 2008-9(HMT)	1	\$15,000	\$15,000	\$11,700	04/05/2011	
ZOCC 2009-1(HMT)	1	\$5,000	\$5,000	\$4,000	04/05/2011	
ZOCC 2009-2(HMT)	1	\$10,000	\$10,000	\$6,300	04/05/2011	
ZOCC 2009-3(HMT)	5	\$13,000	\$13,000	\$7,800	04/05/2011	
ZOCC 2009-4(HMT)	1	\$10,000	\$10,000	\$7,000	04/05/2011	
ZOCC 2009-5(HMT)	1	\$5,000	\$5,000	\$3,000	04/05/2011	
ZOCC 2010-1(HMT)	1	\$5,000	\$5,000	\$3,800	09/19/2011	
ZOCC 2011-1(HMT)	2	\$11,000	\$11,000	\$7,100	09/19/2011	
ZOCC 2011-2(HMT)	3	\$18,000	\$18,000	\$12,000	09/19/2011	
ZOCI 2010-1(HMT)	3	\$6,000	\$6,000	\$5,100	07/13/2011	
ZOCI 2011-1(HMT)	2	\$4,000	\$4,000	\$3,000	07/13/2011	
ZOEE 2010-1(HMT)	1	\$10,000	\$10,000	\$8,000	01/31/2011	
ZOEE 2011-1(HMT)	1	\$10,000	\$10,000	\$8,000	05/11/2011	
ZOKH 2011-1(HMT)	2	\$10,000	\$10,000	\$8,000	05/17/2011	
ZOLC 2010-1(HMT)	2	\$20,000	\$20,000	\$18,000	01/10/2011	
ZOLI 2008-1(HMT)	1	\$10,000	\$10,000	\$9,000	01/10/2011	
ZOLI 2008-2(HMT)	1	\$5,000	\$5,000	\$4,000	01/10/2011	
ZOLI 2009-2(HMT)	1	\$5,000	\$5,000	\$4,000	01/10/2011	
ZOLI 2009-3(HMT)	1	\$5,000	\$5,000	\$4,500	01/10/2011	
ZOLI 2010-1(HMT)	1	\$2,000	\$2,000	\$1,300	01/10/2011	
ZOLI 2010-2(HMT)	1	\$5,000	\$5,000	\$4,000	01/10/2011	
ZOLI 2010-3(HMT)	1	\$10,000	\$10,000	\$9,000	01/10/2011	
ZOLI 2010-4(HMT)	1	\$5,000	\$5,000	\$3,500	06/30/2011	
ZOLI 2011-1(HMT)	1	\$10,000	\$10,000	\$7,000	06/30/2011	
ZOLI 2011-2(HMT)	1	\$10,000	\$10,000	\$8,250	06/30/2011	
ZOOL 2010-1(HMT)	2	\$16,000	\$16,000	\$14,500	12/30/2010	
ZOOL 2011-1(HMT)	1	\$4,000	\$4,000	\$3,200	06/20/2011	
ZOTER 2008-1(HMT)	2	\$20,000	\$20,000	\$17,000	02/28/2011	
ZOTER 2009-3(HMT)	1	\$10,000	\$10,000	\$7,000	02/28/2011	
ZOTER 2010-1(HMT)	1	\$10,000	\$10,000	\$8,500	09/27/2011	
ZOTT 2009-2(HMT)	5	\$16,000	\$16,000	\$13,600	12/16/2010	
ZOTT 2010-1(HMT)	5	\$10,000	\$10,000	\$8,500	12/16/2010	
ZOTT 2010-2(HMT)	1	\$5,000	\$5,000	\$5,000	12/16/2010	
ZOTT 2011-1(HMT)	1	\$10,000	\$10,000	\$9,000	04/07/2011	
ZOWP 2009-1(HMT)	3	\$15,000	\$15,000	\$10,000	12/02/2010	
ZOXV 2007-1(HMT)	1	\$3,000	\$3,000	\$2,000	12/02/2010	
ZOXV 2007-2(HMT)	2	\$10,000	\$10,000	\$6,000	12/02/2010	
ZOXV 2010-1(HMT)	1	\$2,000	\$2,000	\$1,850	01/28/2011	
ZOXY 2008-1(HMT)	1	\$2,000	\$2,000	\$1,300	04/05/2011	
ZOXY 2010-1(HMT)	2	\$9,500	\$9,500	\$7,000	09/19/2011	
ZOXY 2010-2(HMT)	1	\$2,000	\$2,000	\$1,500	09/19/2011	
ZPAE 2011-1(HMT)	1	\$5,000	\$5,000	\$3,800	09/27/2011	
ZPAM 2005-1(HMT)	1	\$5,000	\$0	\$0	05/24/2011	Case Terminated.

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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>
ZPCE 2010-1(SA)	0	\$5,000	\$0	\$0	10/04/2010	Case Terminated.
ZPCE 2010-2(HSR)	0	\$1,000	\$0	\$0	10/04/2010	Case Terminated.
ZPCM 2010-1(HMT)	1	\$5,000	\$5,000	\$5,000	02/02/2011	
ZPCR 2010-1(HMT)	1	\$10,000	\$10,000	\$8,000	11/10/2010	
ZPG 2010-1(HMT)	1	\$5,000	\$5,000	\$3,650	07/12/2011	
ZPG 2011-1(HMT)	2	\$10,000	\$10,000	\$10,000	09/15/2011	
ZPGE 2010-1(HMT)	1	\$12,000	\$12,000	\$8,700	07/13/2011	
ZPJC 2009-7(HMT)	4	\$4,000	\$4,000	\$4,000	07/12/2011	
ZPJC 2010-2(HMT)	2	\$12,500	\$12,500	\$10,000	07/12/2011	
ZPJC 2010-3(HMT)	1	\$5,000	\$5,000	\$3,600	07/12/2011	
ZPKG 2010-1(HMT)	1	\$5,000	\$5,000	\$5,000	02/02/2011	
ZPKG 2011-1(HMT)	1	\$10,000	\$10,000	\$10,000	09/08/2011	
ZPLR 2011-1(HMT)	1	\$1,500	\$1,500	\$1,500	08/16/2011	
ZPPR 2010-1(HMT)	1	\$5,000	\$5,000	\$3,460	10/04/2010	
ZPRX 2009-1(HMT)	1	\$10,000	\$10,000	\$10,000	07/11/2011	
ZPRX 2010-1(HMT)	1	\$5,000	\$5,000	\$5,000	07/11/2011	
ZPRX 2010-2(HMT)	1	\$10,000	\$10,000	\$10,000	07/11/2011	
ZPRX 2010-3(HMT)	1	\$5,000	\$5,000	\$5,000	07/11/2011	
ZPRX 2011-1(HMT)	6	\$30,000	\$30,000	\$30,000	09/12/2011	
ZPRX 2011-2(HMT)	1	\$5,000	\$5,000	\$5,000	09/12/2011	
ZPRX 2011-3(HMT)	1	\$5,000	\$5,000	\$5,000	09/12/2011	
ZPRY 2011-1(HMT)	1	\$10,000	\$10,000	\$7,650	09/27/2011	
ZPTM 2010-1(HMT)	1	\$2,000	\$2,000	\$2,000	11/10/2010	
ZPTR 2011-1(HMT)	1	\$5,000	\$5,000	\$5,000	08/06/2011	
ZPTRQ 2010-2(HMT)	1	\$2,000	\$2,000	\$2,000	12/20/2010	
ZQCD 2006-1(HMT)	2	\$15,000	\$0	\$0	05/09/2011	Case Terminated.
ZQSI 2005-1(HMT)	1	\$2,000	\$0	\$0	05/05/2011	Case Terminated.
ZQTL 2005-1(HMT)	3	\$3,000	\$0	\$0	05/05/2011	Case Terminated.
ZRBL 2009-1(HMT)	2	\$4,000	\$4,000	\$2,500	12/01/2010	
ZRCA 2011-1(HMT)	1	\$1,500	\$1,500	\$1,500	06/22/2011	
ZRCC 2011-1(HMT)	1	\$5,000	\$5,000	\$5,000	09/30/2011	
ZRCH 2009-2(HMT)	2	\$15,000	\$15,000	\$8,000	02/08/2011	
ZRDI 2010-1(HMT)	8	\$60,000	\$60,000	\$45,000	08/23/2011	
ZRDI 2010-2(HMT)	1	\$1,000	\$1,000	\$750	08/23/2011	
ZRGZ 2010-1(HMT)	1	\$7,500	\$7,500	\$7,500	12/16/2010	
ZRHD 2009-1(HMT)	3	\$15,000	\$10,000	\$6,500	03/08/2011	Terminated Violation(s): 3.
ZRKT 2011-1(HMT)	1	\$2,000	\$2,000	\$1,800	08/23/2011	
ZRLS 2009-1(HMT)	1	\$7,500	\$7,500	\$5,000	12/16/2010	
ZRLZ 2009-3(HMT)	2	\$4,000	\$4,000	\$3,000	12/21/2010	
ZRLZ 2010-1(HMT)	1	\$2,000	\$2,000	\$1,500	12/21/2010	
ZRMW 2011-1(HMT)	1	\$5,000	\$5,000	\$3,000	05/12/2011	
ZRNI 2010-1(HMT)	1	\$2,000	\$2,000	\$2,000	11/01/2010	
ZRSV 2009-1(HMT)	2	\$10,000	\$4,000	\$3,800	02/07/2011	Partially Terminated Violation(s): 1, 2.
ZRTE 2010-1(HMT)	1	\$5,000	\$5,000	\$3,500	03/05/2011	
ZRUI 2010-1(HMT)	1	\$10,000	\$10,000	\$7,500	02/07/2011	
ZSAB 2010-2(HMT)	1	\$5,000	\$5,000	\$5,000	01/11/2011	
ZSAB 2010-3(HMT)	1	\$2,000	\$2,000	\$2,000	02/11/2011	
ZSASN 2010-1(HMT)	1	\$2,000	\$2,000	\$2,000	11/05/2010	
ZSCC 2011-1(HMT)	1	\$10,000	\$10,000	\$10,000	09/28/2011	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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>
ZSCT 2010-1(HMT)	1	\$2,000	\$2,000	\$1,200	04/18/2011	
ZSCT 2011-1(HMT)	1	\$2,000	\$2,000	\$1,200	04/18/2011	
ZSDF 2010-1(HMT)	1	\$2,000	\$2,000	\$2,000	10/19/2010	
ZSEU 2006-1(HMT)	1	\$10,000	\$10,000	\$7,500	05/11/2011	
ZSEU 2008-1(HMT)	1	\$10,000	\$10,000	\$7,500	05/11/2011	
ZSEU 2009-1(HMT)	1	\$5,000	\$5,000	\$3,000	05/11/2011	
ZSEU 2010-2(HMT)	1	\$10,000	\$10,000	\$7,500	05/11/2011	
ZSFI 2006-1(HMT)	1	\$5,000	\$5,000	\$4,250	06/06/2011	
ZSFI 2007-1(HMT)	1	\$10,000	\$10,000	\$7,500	06/06/2011	
ZSFQ 2005-1(HMT)	1	\$5,000	\$0	\$0	06/30/2011	Case Terminated.
ZSFS 2009-1(HMT)	3	\$13,500	\$13,500	\$9,000	04/28/2011	
ZSGW 2010-1(HMT)	3	\$12,500	\$12,500	\$7,250	10/20/2010	
ZSI 2011-1(HMT)	1	\$5,000	\$5,000	\$5,000	05/12/2011	
ZSIL 2010-1(HMT)	1	\$4,000	\$4,000	\$4,000	11/03/2010	
ZSLQ 2010-1(HMT)	1	\$1,000	\$1,000	\$1,000	01/28/2011	
ZSLU 2011-1(HMT)	2	\$12,000	\$12,000	\$7,750	06/07/2011	
ZSML 2011-1(HMT)	1	\$5,000	\$5,000	\$3,500	06/03/2011	
ZSNPR 2010-1(HMT)	1	\$7,500	\$7,500	\$4,000	04/04/2011	
ZSNR 2010-1(HMT)	1	\$2,000	\$2,000	\$2,000	01/28/2011	
ZSNTG 2010-1(HMT)	1	\$2,000	\$2,000	\$2,000	01/28/2011	
ZSRE 2010-1(HMT)	1	\$10,000	\$10,000	\$7,500	04/04/2011	
ZSTJ 2008-1(HMT)	3	\$13,500	\$4,000	\$2,000	11/02/2010	Terminated Violation(s): 1, 2.
ZSTQ 2010-2(HMT)	1	\$7,500	\$7,500	\$5,600	01/04/2011	
ZSUN 2009-1(HMT)	1	\$2,000	\$0	\$0	10/05/2010	Case Terminated.
ZSUN 2009-2(HMT)	1	\$2,000	\$2,000	\$1,600	10/05/2010	
ZSUN 2010-1(HMT)	1	\$2,000	\$2,000	\$1,600	10/05/2010	
ZSVC 2006-2(HMT)	8	\$80,000	\$80,000	\$65,000	06/06/2011	
ZSVC 2007-1(HMT)	1	\$5,000	\$5,000	\$4,250	06/06/2011	
ZSVC 2008-1(HMT)	1	\$15,000	\$15,000	\$12,500	02/15/2011	
ZSVC 2009-1(HMT)	1	\$2,000	\$2,000	\$1,600	06/06/2011	
ZSVC 2010-1(HMT)	1	\$5,000	\$5,000	\$4,000	11/03/2010	
ZSWG 2010-1(HMT)	1	\$5,000	\$5,000	\$5,000	02/11/2011	
ZSXP 2010-1(HMT)	1	\$1,000	\$1,000	\$600	10/20/2010	
ZTAC 2010-1(HMT)	1	\$2,000	\$2,000	\$2,000	11/24/2010	
ZTAM 2011-1(HMT)	2	\$5,000	\$5,000	\$5,000	06/21/2011	
ZTAM 2011-2(HMT)	1	\$1,000	\$1,000	\$1,000	08/19/2011	
ZTAU 2010-2(HMT)	4	\$8,000	\$8,000	\$5,000	02/24/2011	
ZTAU 2010-3(HMT)	3	\$6,000	\$6,000	\$3,750	02/24/2011	
ZTAU 2010-4(HMT)	1	\$18,000	\$18,000	\$11,250	02/24/2011	
ZTCM 2011-1(HMT)	1	\$5,000	\$5,000	\$5,000	04/15/2011	
ZTCX 2011-1(HMT)	1	\$2,000	\$2,000	\$1,400	09/08/2011	
ZTCZ 2010-1(HMT)	1	\$2,000	\$2,000	\$2,000	10/04/2010	
ZTDW 2010-1(HMT)	2	\$12,000	\$12,000	\$8,900	11/02/2010	
ZTER 2010-1(HMT)	1	\$7,500	\$7,500	\$5,400	10/21/2010	
ZTER 2010-2(HMT)	1	\$5,000	\$5,000	\$5,000	11/29/2010	
ZTFLO 2010-1(HMT)	1	\$5,000	\$0	\$0	03/30/2011	Case Terminated.
ZTGT 2010-1(HMT)	1	\$10,000	\$10,000	\$6,500	10/01/2010	
ZTGT 2011-1(HMT)	1	\$2,500	\$2,500	\$1,700	05/06/2011	
ZTHA 2011-1(HMT)	1	\$5,000	\$5,000	\$3,500	08/01/2011	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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>
ZTI 2011-1(HMT)	1	\$10,000	\$10,000	\$7,500	08/19/2011	
ZTI 2011-2(HMT)	3	\$9,500	\$9,500	\$9,500	08/08/2011	
ZTIF 2010-1(HMT)	1	\$10,000	\$10,000	\$8,000	01/06/2011	
ZTIF 2011-1(HMT)	1	\$2,500	\$2,500	\$2,500	04/06/2011	
ZTIF 2011-2(HMT)	1	\$3,000	\$3,000	\$3,000	08/30/2011	
ZTIL 2010-1(HMT)	1	\$10,000	\$10,000	\$8,000	03/07/2011	
ZTIL 2010-2(HMT)	1	\$10,000	\$10,000	\$8,000	03/07/2011	
ZTIL 2010-3(HMT)	1	\$15,000	\$15,000	\$12,000	03/07/2011	
ZTIQ 2011-1(HMT)	1	\$2,000	\$2,000	\$1,500	05/20/2011	
ZTLY 2007-1(HMT)	1	\$5,000	\$5,000	\$3,500	04/11/2011	
ZTMT 2011-1(HMT)	2	\$4,000	\$4,000	\$2,800	03/03/2011	
ZTNX 2009-1(HMT)	2	\$10,000	\$10,000	\$22,384	04/14/2011	This was a bankruptcy case. When liquidated FRA stock portion, the stock value was worth more than the amount at which the case was originally assessed.
ZTNX 2011-1(HMT)	1	\$7,500	\$7,500	\$7,500	06/15/2011	
ZTPC 2011-1(HMT)	1	\$10,000	\$10,000	\$7,500	03/04/2011	
ZTPE 2011-1(HMT)	1	\$5,000	\$5,000	\$5,000	09/19/2011	
ZTPU 2010-1(HMT)	1	\$10,000	\$10,000	\$7,500	03/22/2011	
ZTPU 2010-2(HMT)	1	\$10,000	\$10,000	\$7,500	03/22/2011	
ZTRE 2011-1(HMT)	1	\$3,000	\$3,000	\$3,000	04/08/2011	
ZTSS 2011-1(HMT)	1	\$7,500	\$7,500	\$7,500	03/08/2011	
ZTTS 2011-1(HMT)	5	\$10,000	\$10,000	\$6,500	05/15/2011	
ZUNIV 2010-1(HMT)	1	\$2,000	\$2,000	\$2,000	02/17/2011	
ZUNIV 2010-2(HMT)	1	\$7,500	\$7,500	\$7,500	02/17/2011	
ZUNIV 2010-4(HMT)	1	\$2,000	\$2,000	\$2,000	02/17/2011	
ZUPT 2010-1(HMT)	1	\$2,500	\$2,500	\$1,875	05/20/2011	
ZURC 2008-3(HMT)	5	\$10,000	\$10,000	\$6,800	05/03/2011	
ZURC 2009-1(HMT)	1	\$10,000	\$10,000	\$7,200	05/03/2011	
ZURC 2009-2(HMT)	1	\$5,000	\$5,000	\$3,250	05/03/2011	
ZURC 2009-3(HMT)	2	\$8,000	\$8,000	\$5,200	05/03/2011	
ZUSEP 2010-1(HMT)	1	\$5,000	\$5,000	\$5,000	01/10/2011	
ZVALR 2010-1(HMT)	0	\$5,000	\$0	\$0	05/16/2011	Case Terminated.
ZVLQ 2010-4(HMT)	0	\$2,500	\$0	\$0	05/16/2011	Case Terminated.
ZVLQ 2010-5(HMT)	0	\$5,000	\$0	\$0	05/16/2011	Case Terminated.
ZVSE 2008-3(HMT)	4	\$16,000	\$16,000	\$15,520	04/06/2011	
ZVSE 2008-4(HMT)	2	\$10,000	\$10,000	\$9,700	04/06/2011	
ZVSE 2008-5(HMT)	1	\$5,000	\$5,000	\$4,850	04/06/2011	
ZWAY 2011-1(HMT)	1	\$2,000	\$2,000	\$1,250	09/20/2011	
ZWEB 2010-2(HMT)	1	\$7,500	\$7,500	\$6,000	12/10/2010	
ZWEB 2010-3(HMT)	1	\$5,000	\$5,000	\$3,750	12/10/2010	
ZWEY 2011-1(HMT)	1	\$2,000	\$2,000	\$2,000	09/02/2011	
ZWHE 2011-1(HMT)	1	\$5,000	\$5,000	\$5,000	07/26/2011	
ZWMS 2010-1(HMT)	1	\$2,000	\$2,000	\$2,000	02/06/2011	
ZWOC 2010-1(HMT)	1	\$2,000	\$2,000	\$1,300	11/02/2010	
ZWRRCR 2008-1(HMT)	1	\$7,500	\$7,500	\$3,750	10/27/2010	
ZWRRCR 2010-1(HMT)	1	\$2,500	\$2,500	\$250	10/27/2010	
ZWRRCR 2010-2(HMT)	2	\$17,500	\$17,500	\$2,500	10/27/2010	

Federal Railroad Administration
Safety Cases Closed in FY 2011

<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>
ZWRCR 2010-3(HMT)	2	\$5,000	\$5,000	\$500	10/27/2010	
ZWRE 2011-1(HMT)	1	\$2,000	\$2,000	\$2,000	07/06/2011	
ZWST 2011-1(HMT)	1	\$10,000	\$10,000	\$10,000	03/28/2011	
ZWTQ 2010-1(HMT)	1	\$5,000	\$5,000	\$2,800	10/20/2010	
ZWVCI 2010-1(HMT)	1	\$7,500	\$7,500	\$6,400	10/18/2010	
ZXST 2010-2(HMT)	1	\$7,500	\$7,500	\$7,500	02/25/2011	
Total	6,211	\$22,708,000	\$21,813,500	\$14,969,153		

Respondent

<u>Codes</u>	<u>Respondent Names</u>
AA	ANN ARBOR RAILROAD
ABS	Alabama Southern Railroad
AGR	Alabama & Gulf Coast Railway LLC
AKDN	ACADIANA RAILWAY COMPANY
ALS	The Alton and Southern Railway Company
AM	ARKANSAS AND MISSOURI RAILROAD COMPANY
AOK	ARKANSAS-OKLAHOMA RAILROAD COMPANY
ARR	ALASKA RAILROAD CORPORATION
ARZC	ARIZONA AND CALIFORNIA RAILROAD CO.
ASRY	ASHLAND RAILWAY INC.
ATK	National Railroad Passenger Corporation
ATN	ALABAMA & TENNESSEE RIVER RAILWAY, LLC
AWRR	AUSTIN WESTERN RAILROAD
AZER	ARIZONA EASTERN RAILWAY
BAYL	BAY LINE Railroad
BB	BUCKINGHAM BRANCH RAILROAD COMPANY
BDTL	BALLARD TERMINAL RAILROAD
BDW	Bighorn Divide & Wyoming Railroad Inc.
BEEM	BEECH MOUNTAIN RAILROAD COMPANY
BGCM	BOUNTIFUL GRAIN & CRAIG MOUNTAIN
BM	BOSTON AND MAINE CORPORATION
BNG	Blackwell Northern Gateway Railroad Co.
BNSF	BNSF RAILWAY COMPANY
BPRR	BUFFALO & PITTSBURGH RAILROAD, INC.
BRC	THE BELT RAILWAY COMPANY OF CHICAGO
BRG	BROWNSVILLE & RIO GRANDE INTERNATIONAL RR
BRW	BLACK RIVER & WESTERN RAILROAD
BSFS	BIG SOUTH FORK SCENIC RAILWAY
CA	CHESAPEAKE & ALBEMARLE RAILROAD COMPANY
CFE	Chicago, Ft. Wayne & Eastern Railroad
CFNR	CALIFORNIA NORTHERN RAILROAD
CN	Canadian National Railway Company
CORP	CENTRAL OREGON & PACIFIC RAILROAD
COSR	CONNECTICUT SOUTHERN RAILROAD
CP	CANADIAN PACIFIC RAILWAY
CPDR	CAROLINA PIEDMONT DIVISION
CRL	CHICAGO RAIL LINK
CRSH	Consolidated Rail Corporation
CSX	CSX TRANSPORTATION, INC.

Respondent

<u>Codes</u>	<u>Respondent Names</u>
DGNO	Dallas, Garland and Northeastern Railroad, Inc.
DH	Delaware & Hudson Railway Co.
DME	Dakota, Minnesota & Eastern Railroad Co.
DMVW	DAKOTA MISSOURI VALLEY AND WESTERN
DQE	DEQUEEN AND EASTERN RAILROAD COMPANY
EJE	Elgin, Joliet & Eastern Railway Company
ELWX	Elkhart & Western Railroad Co.
ERAIL	ECONO-RAIL CORPORATION
EVWR	EVANSVILLE WESTERN RAILWAY, INC.
EWG	EASTERN WASHINGTON GATEWAY RAILROAD
FCR	Fulton County Railway, LLC.
FCRD	FIRST COAST RAILROAD, INC.
GC	GEORGIA CENTRAL RAILWAY
GCRX	GRAND CANYON RAILWAY
GDLK	GRAND ELK RAILROAD, LLC.
GFRR	GEORGIA AND FLORIDA RAILWAY, INC.
GRNW	Great Northwest Railroad
GRS	GUILFORD RAIL SYSTEM
GWR	GREAT WESTERN RAILWAY COMPANY
HESR	HURON & EASTERN RAILWAY
HHRV	HONDO RAILWAY LLC
HIRR	Hainesport Industrial Railroad LLC
HPTD	High Point, Thomasville, and Denton Railroad Co.
HRT	HARTWELL RAILWAY COMPANY
IAIS	Iowa Interstate Railroad
IANR	IOWA NORTHERN RAILWAY COMPANY
IHB	INDIANA HARBOR BELT RAILROAD COMPANY
IMRR	ILLINOIS & MIDLAND RAILROAD, INC.
INRD	The Indiana Rail Road Company
IORY	INDIANA AND OHIO RAILROAD
IR	ILLINOIS RAILWAY
IRSS	INDUSTRIAL RAILWAY SWITCHING AND SERVICES
ISRR	INDIANA SOUTHERN RAILROAD COMPANY
KCS	The Kansas City Southern Railway Company
KRR	KIAMICHI RAILROAD COMPANY LLC
KXHR	Knoxville & Holston River Railroad Co.
KYLE	KYLE RAILROAD COMPANY
LAJ	LOS ANGELES JUNCTION RAILWAY COMPANY
LAS	LOUISIANA SOUTHERN RAILROAD

Respondent

<u>Codes</u>	<u>Respondent Names</u>
LI	LONG ISLAND RAIL ROAD
MACZ	MARYLAND TRANSIT ADMINISTRATION
MEC	Maine Central Railroad Company
MET	Modesto and Empire Traction Company
MMA	MONTREAL, MAINE AND ATLANTIC RAILWAY, LTD.
MMRR	MID-MICHIGAN RAILROAD COMPANY
MNA	MISSOURI & NORTHERN ARKANSAS RAILROAD
MNRR	MODOC NORTHERN RAILROAD COMPANY
MRL	MONTANA RAIL LINK
NCRC	NEBRASKA CENTRAL RAILROAD COMPANY
NECR	NEW ENGLAND CENTRAL RAILROAD
NJTR	NEW JERSEY TRANSIT RAIL OPERATIONS
NMRX	NEW MEXICO DEPARTMENT OF TRANSPORTATION
NTZR	Natchez Railway LLC
OHIC	OHI-RAIL CORPORATION
OUCH	OUACHITA RAILROAD COMPANY
PAL	PADUCAH & LOUISVILLE RAILWAY COMPANY
PCMZ	CALTRAIN COMMUTER RAILROAD COMPANY
PHL	PACIFIC HARBOR LINE
PRSX	Pacific Rail Services, LLC
PSAP	PUGET SOUND AND PACIFIC RAILROAD
PTRA	PORT TERMINAL RAILROAD ASSOCIATION
PW	PROVIDENCE AND WORCESTER RR COMPANY
RARW	RARUS RAILWAY COMPANY
RJCC	RJ CORMAN RR CO./CENTRAL KENTUCKY LINES
RJCP	R.J. Corman RR Co./Pennsylvania Lines Inc.
RJCV	R.J. Corman Railroad Company/WV Line
SCCT	SANTA CLARA COUNTY TRANSIT DISTRICT
SCRF	SOUTH CAROLINA CENTRAL RAILROAD CO., INC.
SCXF	SOUTH CENTRAL FLORIDA EXPRESS INC
SE	Semo Port Railroad
SJVR	SAN JOAQUIN VALLEY RAILROAD
SKOL	South Kansas and Oklahoma Railroad Company
SLR	ST. LAWRENCE & ATLANTIC RAILROAD COMPANY
SLRG	SAN LUIS & RIO GRANDE RAILROAD
SLWC	Stillwater Central Railroad Co., Inc.
SOU	Norfolk Southern Railway Company
SS	SAND SPRINGS RAILWAY COMPANY
ST	SPRINGFIELD TERMINAL RAILWAY COMPANY

Respondent

<u>Codes</u>	<u>Respondent Names</u>
SW	SOUTHWESTERN RAILROAD
TASD	TERMINAL RAILWAY ALABAMA STATE DOCKS
TCT	TEXAS CITY TERMINAL RAILWAY COMPANY
TIBR	Timber Rock Railroad Company, Inc.
TMBL	TACOMA MUNICIPAL BELT LINE RAILWAY
TNMR	TEXAS AND NEW MEXICO RAILROAD
TPW	Toledo, Peoria and Western Railway
TRRA	TERMINAL RAILROAD ASSOCIATION OF ST. LOUIS
TSRR	TENNESSEE SOUTHERN RAILROAD COMPANY INC.
TXNW	TEXAS NORTHWESTERN RAILWAY COMPANY
UCRY	UTAH CENTRAL RAILWAY COMPANY
UP	Union Pacific Railroad Company
URR	Union Railroad Company
VSOR	VICKSBURG SOUTHERN RAILROAD
WE	WHEELING & LAKE ERIE RAILWAY COMPANY
WRRC	WESTERN RAILROAD COMPANY
WTLC	West Texas and Lubbock Railway Company
XARD	AMERICAN RAIL DISPATCHING CENTER
XARS	Alabama Railcar Services, Inc
XATH	ARC TERMINALS HOLDINGS, LLC
XBRI	BALFOUR BEATTY RAIL, INC.
XBTT	Baltimore Transload Terminal, LLC
XCLL	Carroll Co.
XDAR	DeAngelis Railroad Contractors, Inc.
XEEL	Estes Express Lines
XEGC	EVERGREEN PACKAGING CO.
XEPM	EMERALD PERFORMANCE MATERIALS
XGWT	GATEWAY TERMINALS LLC
XHEW	HUBER ENGINEERED WOODS
XHIT	Hardy Industrial Technologies
XHTS	Herzog Transit Services, Inc.
XHTT	HARSCO CORPORATION
XHWS	H.O. Weaver & Sons, Inc.
XICP	Illinois Corn Processing, LLC
XIEW	IEW Construction Group
XMMP	Martin Midstream Partners
XOEC	O'Connell Electric Company
XPDC	PRO DIRT CONSTRUCTION
XPTC	Peninsula Terminal Company

Respondent

<u>Codes</u>	<u>Respondent Names</u>
XRCU	Roser Customs
XRLB	Richard L. Brown Construction, LLC
XRTI	RTI RAILROAD SERVICES
XRTP	Re-Transportation Inc.
XRTW	RTW Terminals
XRUO	RUST-OLEUM
XSPR	SUPERIOR RAILROAD
XTPS	Transport Solutions
XTSI	TSI Terminal Systems, Inc.
XURW	UNIVERSAL RAILWAY
XWCO	West Construction Company, Inc.
YSVR	Yellowstone Valley Railroad, Inc.
ZABD	ABERDEEN ENERGY, LLC
ZABEQ	Abengoa Bioenergy Corp.
ZABW	AbitibiBowater
ZACE	Albemarle Corporation
ZACJ	AC&S INC
ZACQ	ACE ETHANOL
ZACR	ADM CORN PROCESSING
ZADE	Adkins Energy LLC
ZAET	Atlantic Terminalling, LLC
ZAEX	ALPHA EXPLOSIVES
ZAFQ	AFTON CHEMICAL
ZAG	Ash Grove Cement Company
ZAGB	ABENGOA BIOENERGY OF ILLINOIS, LLC
ZAGE	AGE Refining, Inc.
ZAGF	AGRIFOS FERTILIZER
ZAGP	AG PROCESSING INC.
ZAGU	Aggregates USA, LLC
ZAHL	Ashland, Inc.
ZAIL	AIR LIQUIDE USA LLC
ZAJE	A & J ENTERPRISES
ZAKE	ARKALON ETHANOL
ZAKM	Arkema Canada, Inc.
ZAKN	AKZO NOBEL
ZAKP	Anadarko Petroleum Corporation
ZALN	ALON, USA, LP
ZALQ	Air Liquide Industrial U.S. LP
ZALTI	ALTIVIA CORP.

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZAMC	ARCHER DANIELS MIDLAND CO.
ZAMK	AGMARK FOODS, INC.
ZAMRI	AMERICAN RAILCAR INDUSTRIES
ZAMU	ArrMaz Custom Chemicals
ZAND	THE ANDERSONS, INC.
ZAPC	Air Products and Chemicals, Inc.
ZAPM	Ascend Performance Materials LLC
ZARCH	ARCH CHEMICALS INC.
ZARCI	ARIZONA CHEMICAL INC.
ZARG	Airgas Carbonic
ZARGR	AMERICAN REFINING GROUP
ZARK	ARKEMA INC.
ZASC	ASHLAND INC.
ZASR	AMERICAN SYNTHETIC RUBBER CORP.
ZATO	Atlas Oil Company
ZAUG	AGRIUM
ZAUP	Austin Powder Company
ZAUX	AUX SABLE LIQUID PRODUCTS, INC.
ZAWE	ALASKA-WEST EXPRESS
ZBAB	BROWN, ALCANTAR & BROWN
ZBAE	BAYER MaterialScience LLC
ZBAK	BAKER PETROLITE CORPORATION
ZBAS	BASF CORPORATION
ZBB	BARTON BRANDS OF CALIFORNIA
ZBBA	Big Bend AGRI-Services, Inc.
ZBCL	Occidental Chemical Corp.
ZBCN	BP CANADA ENERGY
ZBCR	BRC RAIL CAR SERVICE COMPANY
ZBEL	Biofuel Energy Corp.
ZBEP	Buckeye Partners
ZBEX	BOREN EXPLOSIVES CO., INC.
ZBFE	BLUE FLINT ETHANOL
ZBFM	Bailey Feed Mill, Inc.
ZBIG	BIG WEST
ZBKE	BlueKnight Energy Partners
ZBKT	BULKMATIC TRANSPORT COMPANY
ZBLP	BLENPAC
ZBLRL	THE BAY LINE RAILROAD, LLC.
ZBMA	Bayer MaterialScience LLC

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZBML	BML Inc.
ZBMS	BRENNTAG MID-SOUTH, INC.
ZBOA	BOASSO AMERICA CORPORATION
ZBOG	BOC GASES
ZBOL	BOC - DIVISION OF LINDE GROUP
ZBORE	BORDEN & REMINGTON CORPORATION
ZBPA	BP America, Inc.
ZBPC	BP AMOCO
ZBPCE	B.P. PRODUCTS, NORTH AMERICA
ZBPL	BULK PLUS LOGISTICS
ZBPO	BP Oil Company
ZBPPZ	BP/AMOCO PRODUCTS
ZBPS	Boise Paper
ZBPT	BAKER PETROLITE, TAFT MANUFACTURING
ZBPWC	B.P. WEST COAST PRODUCTS
ZBRR	BRANIFF FORWARDING
ZBSF	BASF CATALYSTS
ZBSY	BAE Systems
ZBTC	BULK TRANSPORTATION COMPANY
ZBTS	BRENNTAG SOUTHEAST, INC.
ZBUL	BULK TAINER SERVICES
ZCFF	Cliff Berry, Inc.
ZCHY	CHEP Catalyst & Chemical Containers, Inc.
ZCLX	CHEMTRADE LOGISTICS
ZCOG	COGNIS
ZCOU	Country Mark
ZCRY	CHEMTRADE REFINERY SERVICES, INC.
ZCXT	CSX Transflo
ZCYT	Cytotec Industries
ZDAK	DAK AMERICAS
ZDAN	DANISCO INGREDIENTS
ZDANT	DANA TRANSPORT INC.
ZDBW	D.B. WESTERN, INC
ZDCM	DOVER CHEMICAL CORP.
ZDCO	DEGUSSA CORPORATION
ZDCPC	DIVERSIFIED CPC INTERNATIONAL, INC.
ZDCS	DUPONT CHEMICAL SOLUTIONS ENTERPRISE
ZDCU	DOW CHEMICAL COMPANY
ZDCUC	DOW CHEMICAL CANADA INC.

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZDCZ	Deltech Corporation
ZDECC	DEGUSSA ENGINEERED CARBONS CO.
ZDEP	DELTA PETROLEUM COMPANY INCORPORATED
ZDF	DUPONT
ZDFD	DHL Global
ZDKR	DELEK REFINING, LTD.
ZDMS	DYNEGY MIDSTREAM SERVICES LP
ZDNA	Diageo Americas Supply, Inc.
ZDOE	Doe Run Company
ZDOW	DOW CORNING CORPORATION
ZDPC	DIXIE PETRO-CHEM, INC.
ZDPCI	D P C INDUSTRIES, INC.
ZDPI	Dassels Petroleum, Inc.
ZDPS	DELPHI PRODUCTS & SERVICES SOLUTION
ZDSP	DIMMITT SULFUR PRODUCTS, LTD
ZDUP	E.I. DUPONT DE NEMOURS AND COMPANY
ZDYI	DYNO NOBEL, INC.
ZEACH	EASTMAN CHEMICAL COMPANY
ZECB	EES COKE BATTERY LLC
ZECN	ETHYL CORPORATION
ZECT	EAST COAST RELOAD LLC
ZEEA	E ENERGY ADAMS
ZEES	Essroc Cement Corp.
ZEMCC	EXXONMOBIL CHEMICAL COMPANY
ZEML	EMES, LLC
ZEMR	EXXON MOBIL REFINERY SUPPLY COMPANY
ZENS	ENERSUL
ZEOB	ECOLAB, Inc.
ZEPC	Enterprise Products Operating LLC
ZEPP	Enterprise Products Operating LLC
ZEQC	Equa Chlor Inc.
ZEQU	EQUISTAR CHEMICALS LP
ZEVD	EVONIK DEGUSSA CORPORATION
ZEVG	Evonik Goldschmidt Corporation
ZEXM	EXXONMOBIL
ZFBT	Florida Bulk Transfer
ZFIR	Frontier Oil Corporation
ZFLS	Frontier Logistical Services
ZFLZ	FLOCRYL/SNF HOLDING COMPANY

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZFMCI	FMC Corporation
ZFPC	FORMOSA PLASTICS CO.
ZFRZ	FRONTIER REFINING, LLC COMPANY
ZFTT	Frontier Terminal and Trading Company
ZFUI	Finnchem USA Inc
ZGATX	GATX Corporation
ZGBA	GULF BAYPORT CHEMICALS L.P.
ZGDB	GDB INTERNATIONAL INC.
ZGEPA	Georgia Pacific Company
ZGMN	GENERAL CHEMICAL CORP.
ZGPS	GRAIN PROCESSING CORP.
ZGPT	Gold Point Transportation, Inc.
ZGTE	GOLDEN TRIANGLE ENERGY
ZGWP	Gateway Terminals Partnership
ZHAL	HALL CHEMICAL COMPANY
ZHAR	Harcros Chemicals Inc.
ZHBF	H.B. Fuller Company
ZHCH	HELENA CHEMICAL COMPANY
ZHCQ	HERITAGE-CRYSTAL CLEAN, LLC.
ZHERT	HERITAGE PROPANE COMPANY
ZHFO	Houston Fuel Oil Terminal Co.
ZHGP	Heritage Propane Company
ZHIL	Hocking International Laboratories
ZHILL	HILL BROTHERS CHEMICAL CO.
ZHKC	H. KREVIT & COMPANY, INCORPORATED
ZHKD	Hawkeye Renewables LLC.
ZHLB	Heron Lake BioEnergy, LLC
ZHLP	Heartland Petroleum, LLC
ZHNI	HONEYWELL INTERNATIONAL, INC.
ZHOI	Husky Oil Operations
ZHOLI	Geocycle, LLC
ZHOW	Honeywell International, Inc.
ZHPI	HEPACO INC.
ZHPR	HUNTSMAN PERFORMANCE PRODUCTS
ZHRC	HERCULES INCORPORATED
ZHRM	HOLLY ENERGY PARTNERS
ZHSA	Hasa Chemical Corporation
ZHSC	Momentive Specialty Chemicals, Inc.
ZHSE	HIGH SIERRA ENERGY, LP

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZHSL	Hunt Southland Refining Company
ZHSX	Hexion Specialty Chemicals, Inc.
ZHUD	Sun Products Corp.
ZHUNT	HUNT REFINING COMPANY
ZHWE	Highwater Ethanol, LLC
ZIBO	IROQUOIS BIO-ENERGY COMPANY, LLC
ZICL	ICL PERFORMANCE PRODUCTS, LP
ZICX	I.P. Callison & Sons
ZIEI	ICAN Energy Co.
ZIGI	The International Group, Inc.
ZIMT	IMTT, INC.
ZINTT	INTERNATIONAL MATEX TANK TERMINALS
ZIP	INTERNATIONAL PAPER COMPANY
ZIPI	INEOS PHENOL, INC.
ZIRO	IRVING OIL COMPANY
ZISRV	INERGY SERVICES
ZITP	INTERDOM PARTNERS, LTD.
ZITT	INTERCONTINENTAL TERMINALS COMPANY
ZJGI	JENKIN-GUERIN, INC.
ZJJW	James J. Williams Bulk Service Transport
ZJRS	J.R. SIMPLOT COMPANY
ZKKC	KIK CUSTOM PRODUCTS
ZKMB	KINDER MORGAN LIQUIDS TERMINALS, LLC
ZKMI	KMCO, Inc.
ZKMJ	KMG-Bernuth
ZKML	Kinder Morgan Liquids Terminals LLC
ZKMM	KINDER MORGAN MATERIALS SERVICES, LLC
ZKPI	Koppers Inc.
ZKWS	KEMIRA WATER SOLUTIONS
ZKYE	Keyera Energy Partnership
ZMDI	Mason Dixon Intermodal
ZMMM	3-M MINNESOTA MINING & MFG. CO.
ZMMPL	Magellan Midstream Partners, LP.
ZMNP	Marathon Petroleum Company
ZMNT	MARTIN OPERATING PARTNERSHIP, LP
ZMRE	Martin Resources, Inc.
ZMUSK	MUSKET CORPORATION
ZMWC	MeadWestvaco Corporation
ZNAL	Nalco Company

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZNBS	NOBLE OIL SERVICES, INC.
ZNCN	Nebraska Corn Processing, LLC
ZNDK	NEDAK ETHANOL, LLC
ZNDM	Domtar Paper Company LLC
ZNDP	NORTH DAKOTA PORT SERVICES, INC.
ZNEN	NEBRASKA ENERGY LLC
ZNPA	NEWPAGE CORPORATION
ZNSE	NUSTAR TERMINALS OPERATIONS PARTNERSHIP, L.P.
ZNSR	NSR TECHNOLOGIES, INC.
ZNVL	Novolyte Technologies
ZOCC	Occidental Chemical Corporation
ZOCI	OCI CHEMICAL CORPORATION
ZOEE	One Earth Energy, LLC
ZOKH	ONEOK Hydrocarbon, L.P.
ZOLC	OLIN CORPORATION
ZOLI	OLIN CORPORATION
ZOOL	OOCL (USA), INC.
ZOTER	ODFJELL TERMINALS (HOUSTON), INC.
ZOTT	Oiltanking Texas City L.P.
ZOWP	Osmose Holdings, Inc.
ZOXV	OXYVINYLS, LP
ZOXY	Occidental Chemical Corporation
ZPAE	PACIFIC ETHANOL INC.
ZPAM	PAM OIL, INC.
ZPCE	PCI CHEMICALS CANADA, INC.
ZPCM	Peter Cremer Company
ZPCR	Pacific Resource Recovery
ZPG	PROCTER & GAMBLE
ZPGE	Progress Energy-Carolina, Incorporated
ZPJC	CONOCOPHILLIPS
ZPKG	PACKAGING CORPORATION OF AMERICA
ZPLR	Pelron Corp.
ZPPR	PERSTORP POLYOLS INC.
ZPRX	PRAXAIR, INC.
ZPRY	Pryor Chemical Company
ZPTM	PETROLEUM PRODUCTS CORPORATION
ZPTR	PETRO CANADA
ZPTRQ	Petra Chemical Company
ZQCD	QUADRA ENERGY CORP.

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZQSI	QUALA SYSTEMS, INC.
ZQTL	QUALITY TRANSLOAD
ZRBL	ROY BROTHERS LIQUID BULK TRANSPORTATION
ZRCA	Ruetgers Canada, Inc.
ZRCC	ROWELL CHEMICAL CORP.
ZRCH	RECOCHEM
ZRDI	RED RIVER SUPPLY, INC.
ZRGZ	RELIANT GASES
ZRHD	RHODIA, INC.
ZRKT	ROCK TENN MILL COMPANY, LLC
ZRLS	RAIL SERVICES INC.
ZRLZ	RSI LEASING
ZRMW	RENTECH ENERGY MIDWEST CORP
ZRNI	Ruetgers Nease Chemical Company, Inc.
ZRSV	RAIL SERVE
ZRTE	RED TRAIL ENERGY
ZRUI	RUBICON, INC.
ZSAB	SABIC Innovative Plastics
ZSASN	SASOL CHEMICALS NORTH AMERICA
ZSCC	SHELL CHEMICAL COMPANY
ZSCT	SOUTH COAST TERMINALS
ZSDF	Seadrift Coke LP
ZSEU	SUNCOR ENERGY (USA), INC.
ZSFI	Solvay Fluorides, Inc.
ZSFQ	SABINA FARMERS
ZSFS	S. F. Systems (Group) Ltd.
ZSGW	St. George Warehouse
ZSI	Southern Ionics Incorporated
ZSIL	Silver Eagle Refining, Inc.
ZSLQ	Sunoco Partners Marketing and Terminals LP
ZSLU	Silogram Lubricants Corporation
ZSML	SEMINOLE MURPHY LIQUIDS LLC
ZSNPR	SUNPOL RESIN AND POLYMERS
ZSNR	Sun Products Corporation
ZSNTG	Stolthaven New Orleans, LLC
ZSRE	Suncor Energy
ZSTJ	STELLA JONES
ZSTQ	STEPAN COMPANY
ZSUN	SUN CHEMICAL CORPORATION

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZSVC	SOLVAY CHEMICAL
ZSWG	SOUTHWEST GEORGIA ETHANOL, LLC
ZSXP	Shandong Xinhua Pharmaceutical I&E Co., Ltd.
ZTAC	TRUMBULL ASPHALT CO.
ZTAM	TAMINCO
ZTAU	TAUBER OIL CO.
ZTCM	Tetra Chemical, Inc.
ZTCX	Trinity Chemical Industries, Inc
ZTCZ	Torrissi and Coraluzzo
ZTDW	Tidewater Terminal Co.
ZTER	TERRA INDUSTRIES
ZTFLO	TRANSFLO CORPORATION
ZTGT	Targa Transport LLC
ZTHA	THATCHER COMPANY
ZTI	Transammonia, Inc.
ZTIF	TEMPLE-INLAND FOREST PRODUCTS, INC.
ZTIL	TERRA INTERNATIONAL
ZTIQ	TRANSCHEMICAL INC.
ZTLY	TATE & LYLE INGREDIENTS AMERICAS, INC.
ZTMT	TransMontaigne Product Services Inc.
ZTNX	TRONOX INCORPORATED
ZTPC	TPC Group
ZTPE	Texpar Energy LLC
ZTPU	TOTAL PETROCHEMICALS USA INC
ZTRE	TREMONT SUPPLY, INC.
ZTSS	Tessengerlo Kerley, Inc.
ZTTS	Trimac Transportation Central, Inc.
ZUNIV	UNIVAR USA INC.
ZUPT	UPS FREIGHT
ZURC	UNITED REFINING COMPANY
ZUSEP	U.S. ENERGY PARTNERS, LLC
ZVALR	VALERO REFINERY
ZVLQ	VALERO LP
ZVSE	VERASUN ENERGY
ZWAY	WPC Technologies, Inc.
ZWEB	WEBB CHEMICAL SERVICE CORP.
ZWEY	WEYERHAEUSER COMPANY
ZWHE	WHITE ENERGY
ZWMS	WILLIAMS MIDSTREAM

Respondent

<u>Codes</u>	<u>Respondent Names</u>
ZWOC	WHITAKER OIL COMPANY
ZWRCR	WOODWARD RAIL CAR REPAIR
ZWRE	WESTERN REFINING COMPANY
ZWST	Westway Terminal Co. LLC
ZWTQ	Wayne Transports
ZWVCI	WESTLAKE VINYL CORPORATION, INC.
ZXST	Xstrata Copper