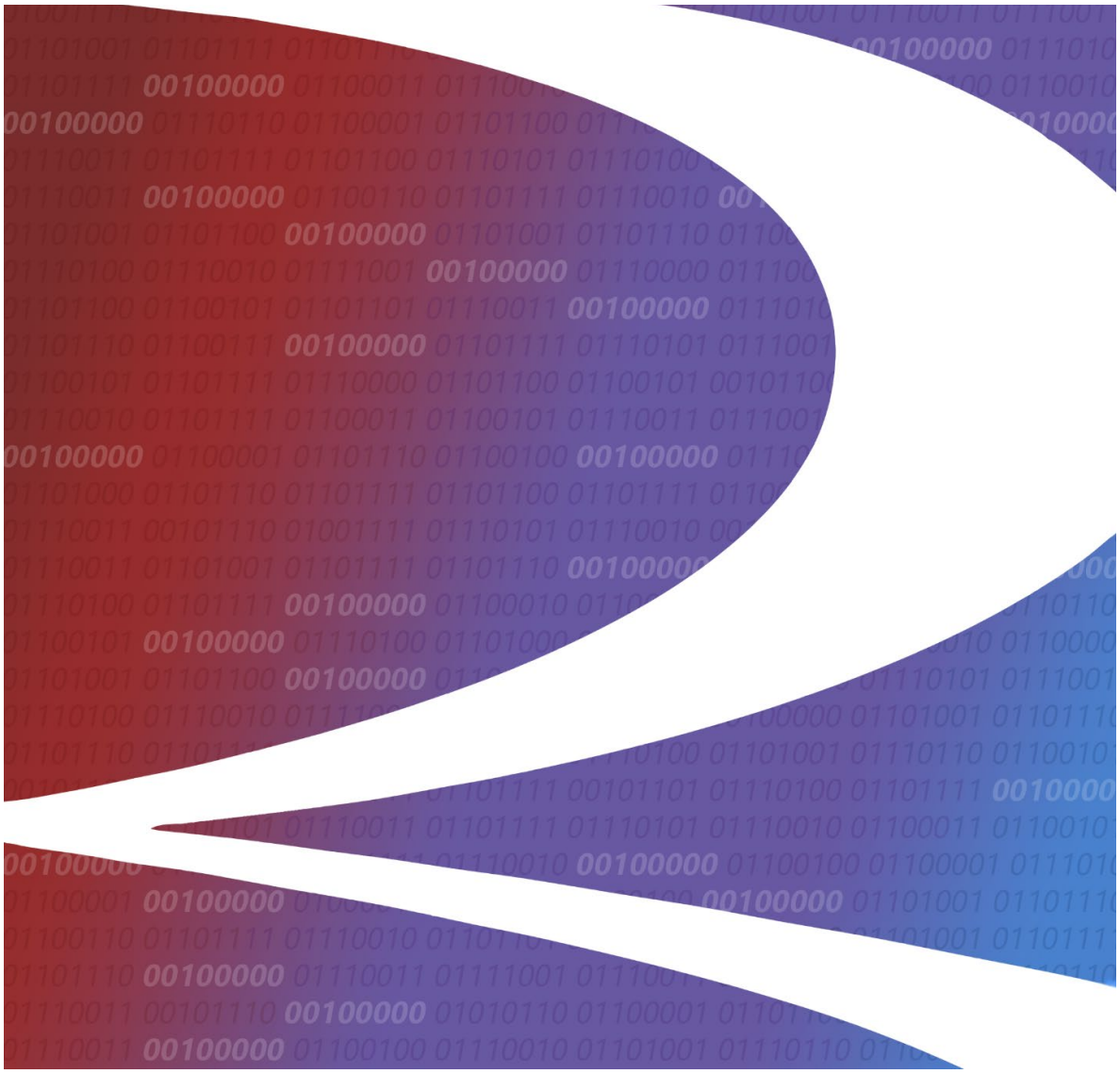


Guide for Railroads

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The purpose of this document is to provide useful information about rules and standards promulgated by the AAR and services provided by AAR and its two subsidiaries, Railinc and MxV Rail. Occasional reference is made to governmental rules and requirements. These references are incidental and for the purpose of background information only. They are not meant as advice on, or descriptions of legal obligations. For such information, the reader should consult a qualified attorney.

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I. INTRODUCTION

A. About The Guide

This high-level document is designed to introduce new and existing railroads to valuable information for operating as a part of the North American railroad system. Each section in this document describes the uses and requirements of an application or process, outlines Railinc's role and, where applicable, the various rules and procedures prescribed by the Association of American Railroads (AAR), Surface Transportation Board (STB), and National Motor Freight Traffic Association (NMFTA).

The management of many of these applications/processes is handled by different disciplines in different locations.

- The AAR, located in Washington, D.C., is responsible for the promulgation and interpretation of Car Service/Car Hire Rules and Interchange Rules.

- MxV Rail, located in Pueblo, Colorado, is responsible for the development and testing of new and existing freight and passenger equipment technology.

- Railinc, located in Cary, North Carolina, is the leading provider of information technology development and related services to the North American Railroad Industry. TransmetriQ® is a Railinc brand that leverages direct access to the most accurate, up-to-date rail data with an experienced rail industry team to deliver freight rail insights that make managing rail operations easier.

In addition, AAR has contracted with Railinc and MxV Rail to provide administrative support as wholly owned subsidiary companies of the AAR.

Directories are available to assist in locating the publications and the functional contacts referenced in each section. They contain titles, addresses, telephone/fax numbers and websites. The acronyms and terms that are mentioned throughout this booklet and used in the industry are defined in the glossaries.

B. New Railroads

As a new railroad, you should have already contacted the U.S. Department of Transportation (US DOT), Surface Transportation Board (STB), or the government agency in Canada or Mexico responsible for granting your railroad operating authority and ensuring that your company will have common carrier status.

Companies operating within the United States will find initial filing requirements for STB approval to operate in the STB booklet *So You Want to Start a Small Railroad*. This can be downloaded from the Repository & Open Science Access Portal. Seek Rail Customer and Public Assistance online or contact by calling the nationwide toll-free telephone number at (866) 254-1792, fax at (202) 245-0463, and email at rcpa@stb.gov.

C. Assignment of Reporting Marks and Railway Accounting Rule 260 Code

One of the important functions managed by AAR is the assignment of the Standard Carrier Alpha Code (SCAC) which consists of two to four alpha characters, and the Railway Accounting Rule 260 Code which consists of 3 numeric digits. **A SCAC throughout this document will be referred to as a Reporting Mark or Car Initials**. The reporting mark is used in conjunction with the Railway Accounting Rule 260 Code as a company's identification for various tariff and accounting applications. The reporting mark is stenciled on its equipment. The requirements for the assignment of all railroad reporting marks are outlined in *Circular Letter OT-5.*

D. Reporting Marks for Rail Equipment

A reporting mark is assigned to a railroad upon receipt of authority issued by the Surface Transportation Board (STB), or the Certificate of Fitness issued by the Canadian Authority, or the Concession issued by the Mexican Government and a signed interchange agreement.

Only one reporting mark is assigned to a railroad. This is a requirement of the NMFTA that is empowered by the STB to administer the assignment of reporting marks for all modes of transportation. Carriers that were merged and/or assigned equipment marks prior to the STB's transfer of responsibility to NMFTA may retain those reporting marks as equipment identifiers only.

The applicant is to provide a brief outline of its operations and/or adoption notice identifying stations, junction points and railroad(s) that will be its interchange partner(s).

To register for a mark, launch the online onboarding application on Railinc.com.

For more information, contact Railinc's Customer Success Center at csc@railinc.com or (877) 724-5462.

E. Reporting Marks for Trailers and Containers

Railroads that have executed an AAR Interchange Agreement and have been assigned a reporting mark and an Accounting Rule 260 Code are eligible to apply for a reporting mark consisting of four alpha characters ending in "Z" for trailers and "U" for containers.

The applicant is required to certify that it has a serviceable Trailer-On-Flat-Car/Container-On-Flat-Car (TOFC/COFC) facility and can accept trailers, containers and chassis delivered on flat cars in train service. Such certification must be available prior to the assignment of the reporting mark.

A copy of the AAR TOFC/COFC Interchange Agreement – Trailer-On-Flat-Car/Container-On-Flat-Car (TOFC/COFC) Service and the Trailer/Container Service and Reporting Agreement will be forwarded to the requesting trailer/container owner for execution. The reporting mark will not be assigned until the executed AAR TOFC/COFC Interchange Agreement is received.

To register for a mark, launch the online onboarding application on Railinc.com.

For additional information go to https://nmfta.org/scac/ or contact Railinc's Customer Success Center at csc@railinc.com or (877) 724-5462.

Applicants requesting the assignment of a reporting mark for **containers** must submit their request to:

National Motor Freight Traffic Association, Inc., Agent
1001 North Fairfax, Suite 600
Alexandria, VA 22314
Telephone: (703) 838-1810, Fax: (703) 683-6296
Email: SCAC@nmfta.org
Web Site: www.nmfta.org

Applicants requesting the assignment of a reporting mark for **trailers** should contact Railinc's Customer Success Center at csc@railinc.com or (877) 724-5462.

II. INDUSTRY OPERATING REQUIREMENTS

AAR Safety and Operations staff manages the freight car Interchange Agreements and associated rules and standards. Railroads and private car owners subscribe to the AAR Interchange Agreement. The Interchange Agreement promotes railroad safety and efficient interchange. This agreement is a contractual arrangement by which the parties signing agree to abide by the AAR Rules of Interchange.

The AAR Interchange Rules for freight cars are contained in two manuals: the *Field Manual of AAR Interchange Rules* and the *Office Manual of AAR Interchange Rules*. All railroads and private car owners should have copies of the interchange rules that govern the mechanical requirements for freight cars. The *Field Manual* is required to be on hand at all railroad freight car repair facilities and affiliated contract shops. Other required publications are listed in Rule 1 of the *Field Manual*.

Manual of Standards & Recommendations Practices can be reviewed at https://aarpublications.com/msrp.html. A complete list of publications is available for ordering at http://aarpublications.com/ or by calling (877) 999-8824 or emailing store@aar.com.

The Circular Letters issued, which are notifications for interim rule changes or administrative correspondence, are available by subscription at https://www.aar.org/circulars. Online copies of many circulars are maintained by Railinc on Railinc.com at AAR Operating-Transportation (OT-Circulars).

A. AAR Interchange Rule 88 Procedure

The sale of freight cars is governed by Rule 88 in the *Office Manual of AAR Interchange Rules*. All cars sold must meet the current inspection requirements of Rule 88 in the Field Manual. The buyer and seller must jointly certify that the cars meet all interchange requirements. An administrative fee is assessed for approval and handling of the Rule 88 forms.

For information regarding Interchange Rules, contact AAR, Safety and Operations at (202) 639-2100 and ask for Interchange Rules.

B. Repair Facility Requirements

Any railroad or contract shop that operates a repair facility must contact AAR Safety and Operations when the shop starts operation to have company and location marks assigned. The AAR performs routine inspections at these shops to ensure all repairs are made in compliance with the Interchange Rules. There is a charge for routine inspections performed at contract shops and nonmember railroad facilities.

Prior to machining or reconditioning freight car components for interchange service, a railroad that operates a repair facility must be certified by the AAR. These shops must be inspected prior to certification; there is a fee assessed to nonmembers of the AAR to cover the cost of inspections. Lists of all certified shops are published to the railroad industry via AAR Safety and Operations Circular Letters.

For information regarding repair facility requirements, go to https://www.aar.com/standards/Equipment-Engineering.php or contact the Equipment Engineering Committee at EEC@aar.com or call (719) 584-0750 and ask for EEC.

C. Automatic Equipment Identification

The *Interchange Rules* and the *Manual of Standards and Recommended Practices* prescribe the requirements for the placement on railcars and equipment of Automatic Equipment Identification (AEI) transponders. The transponders/tags are radio frequency devices that transmit the equipment's identity (mark and number) and other pertinent information applicable to each equipment type to wayside readers.

All equipment moving in rail service is required to be equipped with two transponders that are on the A and B ends. End of Train (EOT) Telemetry devices are equipped with one AEI transponder. The specifications for application and programming of internal information are provided in the *Manual of Standards and Recommended Practices*, Section L, Mechanical Standard S-918. AAR *Interchange Rules* provide for the general rules and repairs and applicable billing codes and conditions.

Note: Per Field Manual Rule 63, a car being restenciled must have its transponders replaced or reprogrammed. In order for equipment to have transponders programmed, they must be registered in the Umler file.

For information regarding the Automatic Equipment Identification, contact AEI@aar.com or call (719) 584-0750 and ask for AEI.

D. AAR Railway Accounting Rules

The *AAR Railway Accounting Rules (RAR)* are designed to provide guidance and regulation related to the waybilling and settlement of interline rail shipments via the Interline Settlement System (ISS), Switching Settlement Data Exchange (SSDX), Car Hire Data Exchange (CHDX) and the Railroad Clearinghouse (RCH).

The sections of the RAR include:

- General Mandatory Rules
- Freight Mandatory Rules
- Interline Switching Mandatory Rules
- Overcharge Mandatory Rules
- Railway Accounting Rules Acronyms and Definitions
- Railway Accounting Rules Forms for Freight and Overcharge Rules
- Miscellaneous Railway Accounting Rules
- Mandatory Arbitration Rules
- Railroad Clearinghouse Settlement Regulations

E. Railway Accounting Rule 260

Freight Mandatory Rule 260 (FMR 260) requires that all freight stations be recorded in the Centralized Station Master (CSM) and all railroads must use the FSAC number published in the Official Railroad Station List (OPSL 6000-series). RAR 260 states, in part, "all authorized freight stations and related station data elements must be registered in the CSM." All active stations and their associated FSACs are published in the Official Railroad Station List (OPSL 6000-series).

A copy of the Centralized Station Master Questionnaire is sent to new railroads to obtain necessary information about that railroad to fulfill various IRF data and data maintenance requirements.

For information regarding RAR 260 or to obtain the necessary forms contact Railinc's Customer Success Center at csc@railinc.com or (877) 724-5462 and ask for Rail Data Standards or CSM.

For more information about Railway Accounting Rules, see https://public.railinc.com/products-services/railway-accounting-rules.

F. Additional Services

Other services offered by AAR Safety and Operations include:

Dispute Resolution – Resolution of disputes involving the AAR Mechanical Interchange Rules is under the authority of the AAR Arbitration and Rules Working Committee. Parties wishing to have a dispute addressed may mail a petition describing the dispute to the Executive Director, Rules & Standards.

For information regarding resolution of disputes, contact AAR, Safety and Operations at (202) 639-2100 and ask for Rules & Standards Dispute Resolution.

Rebuilding, structural modification, and extending the service life of freight cars – These are governed by Office Manual Rule 88 of the AAR Mechanical Interchange Rules. An application must be submitted to the Chief, Technical Standards for approval. A sample of cars in the program must be inspected and there are fees depending on the nature of the application.

For information regarding Rule 88 programs for freight cars, contact Rule88@aar.com or call (719) 584-0750 and ask for EEC. See https://www.aar.com/standards/Equipment-Engineering.php for more information.

The AAR administers a Comprehensive Quality Assurance Program. See https://www.aar.com/standards/qa.php for more information. The following activities are under the scope of the program:

Exhibit 1. Quality Assurance Components List

New Components	Reconditioned Components
• Roller Bearings • Brake Shoes • Roller Bearing Grease • Coupler Bodies & Knuckle • Yokes • Truck Side Frames • Truck Bolsters • Truck Springs • Body Center Plates • Draft Gears • Cushioning Devices • Wheels and Axles • Air Brakes Valves • Air Brake Hoses/Hose Assemblers • Brake Beams • Hand Brakes • Tank and Freight Car Manufacturer • Locomotive Manufacture • AEI Transponders	• Roller Bearings • Coupler Bodies & Yokes • Truck Bolsters • Truck Side Frames • Draft Gears • Cushioning Devices • Wheels and Axles • Roller Bearing Mounting • Air Brake Valves • Brake Beams • Hand Brakes • Freight Car Repairs (Rule 88 & Heavy) • Tank Car Repair Shops • Locomotive Components

Loading Open Top Cars—The Open Top Loading Rules Committee maintains the set of rules governing the loading of commodities in open top cars. For information regarding the rules of loading open top cars, contact otlr@aar.com or call (719) 584-0750 and ask for OTLR. See https://www.aar.com/standards/OpenTop.php for more information.

Freight Car Builder Certification—The Equipment Engineering Committee must certify freight car builders. For information regarding certification of freight car builders, contact EEC@aar.com or call (719) 584-0750 and ask for EEC.

Tank Car Construction/Repair Certifications—The AAR Tank Car Committee approves all tank car construction facilities, repair facilities and all certificates of construction for tank cars. For information regarding tank cars, contact AAR, Safety and Operations at (202) 639-2100 and ask for Tank Car/HazMat.

Supplier Quality Assurance Specifications—The Quality Assurance Working Committee maintains the specifications for quality assurance to provide confidence that suppliers meet requirements for the applicable standards. See https://www.aar.com/standards/qa.php for more information. For information regarding specifications, contact qa@aar.com or call (719) 584-0750 and ask for QAC.

III. EQUIPMENT MANAGEMENT/ASSET UTILIZATION

The AAR provides equipment management/asset utilization services to those railroads that are signatories to the AAR Car Service and Car Hire Agreement.

The AAR also acts as agent for individual rail carriers to issue embargo and reroute orders for railroads.

The complete AAR Code of Car Service and Car Hire Rules are available in *AAR Circular No. OT-10* published on the Railinc website.

A. Registration of Equipment

Railinc maintains the Umler® file, a database of rail equipment information. Umler contains the physical characteristics, transportation management and pool assignments of nearly every piece of rail equipment in North America. That's over two million pieces of equipment—rail cars, trailers, containers, chassis, locomotives and end-of-train devices—and all with less than 1% error. This information is used in distributing equipment, planning routes, determining power requirements, reporting air brake testing and in Automatic Equipment Identification (AEI) management. For additional information about Umler, go to the Umler section in this document and the Umler page on Railinc.com at https://public.railinc.com/products-services/umler-system.

B. Disposition of Empty General Service or Unassigned Railroad-Owned Cars—SCO 90

The AAR Special Car Order 90 (SCO 90) is maintained in recognition of the need to move empty indirect connection railroad-owned freight cars to the home railroad. SCO 90 handling reduces the time, car hire, and transportation costs involved in moving empty cars that have been reloaded one or more times.

Automatic outlets are being maintained and periodically adjusted for indirect connection ownerships across most Class I and II rail carriers. Several short line and terminal switch carriers have been provided outlets or receipt obligations if they are the only rail connection of another carrier that owns or leases applicable rail cars. In the case of terminal switch carriers, outlets are provided if they connect with more than one carrier and the direction of empty cars towards home rails is a factor.

See Special Car Order 90 for information on Railinc's web application for SCO 90.

For information, contact Railinc's Customer Success Center at csc@railinc.com (type "SCO 90" in the Subject line) or call (877) 724-5462 and ask for SCO 90.

C. Special Equipped and General Service Freight Cars, Railroad Marked or Privately Marked, Covered by AAR Car Service Directives

Railroad marked and privately marked cars (designated by a railroad shown in the lessee field in the Umler file) subject to AAR Car Service Directives (CSD) should not be placed for loading without permission of the railroad which has placed its car or a controlled car into assignment. It is the responsibility of each railroad to educate its shippers, consignees and car distribution forces on the handling of freight cars covered by AAR Car Service Rules, Orders and Directives.

Car Service Directives CSD 145, CSD 150, CSD 175 and CSD 435 are standing directives for handling of empty freight cars that are assigned for specific shippers, commodity or agent pool assignments or for freight cars that are unassigned. In the case of CSD 175, this directive governs the return of applicable freight cars to the car controlling railroad for lease termination of shop program work.

AAR Car Service Directives are the responsibility of the AAR Equipment Assets Committee. References to the Code of Car Service Rules and Interpretations – Freight, are published in *AAR Circular No. OT-10*.

For more information, contact Railinc's Customer Success Center at csc@railinc.com (type "OT-10" in the Subject line) or call (877) 724-5462 and ask for OT-10.

D. Embargoes and Reroutes

The AAR provides two procedures for controlling freight traffic when situations temporary in nature occur on a railroad. AAR Circular TD-1 defines the issuance of an embargo and AAR Circular TD-2 defines the issuance of a reroute order. AAR Circular TD-1 and AAR Circular TD-2 are published in *AAR Circular No. OT-10*. Embargoes can be issued electronically by designated railroad embargo officers through the use of the AAR Embargo and Permit System by following the instructions at https://embargo.railinc.com/#/home.

Definition excerpted from **AAR Embargo Circular TD-1**:

> A. An embargo is a method of controlling traffic movements when, in the judgment of the serving railroad, an actual or threatened Physical or Operational Impairment, *of a temporary nature*, warrant restrictions against such movements.
>
> B. For the purpose of this Circular, "Traffic" is defined as loaded and revenue empty freight cars, trailers and/or containers. This shall include carrier and privately owned or leased freight cars, trailers and/or containers.

Definition excerpted from **AAR Reroute Circular TD-2**:

> A reroute is a temporary method of moving loaded freight cars via an alternate route when either all or a part of a railroad is disabled and that railroad, due to circumstances beyond its control, cannot move the cars per the shipper's instructions. Prior to initiating rerouting of loaded cars to connecting lines, the disabled railroad must obtain concurrence of the railroad or railroads that will participate in the rerouting of the cars. A

reroute order may be issued by the AAR on behalf of a railroad in accordance with Title 49 Code of Federal Regulations, Section 1034.1.

For information regarding embargoes and reroutes, see the Embargo page on Railinc.com at https://public.railinc.com/products-services/aar-embargo-system or contact Railinc's Customer Success Center at csc@railinc.com or (877) 724-5462 and ask for Embargoes.

E. National Car Grade System

Two criteria are used for the grading of the interior condition of box and gondola cars covered under *AAR Field Manual*, Interchange Rule 1, Section 6, Car Classification.

The first criterion requires a physical inspection of empty box and gondola cars when on shop repair, Data Interchange (EDI) are requested to report their inspections using AAR Car Grade Inspection upgrade or clean out tracks to determine the car's grade in accordance with Rule 1 and reporting to the TRAIN II System per Interchange Rule 93. For carriers that cannot report via Electronic Format 46, see *AAR Circular OT-34*.

The second criterion uses waybill information reported to the TRAIN II System to identify any cars transporting municipal garbage waste that is assigned the STCC 4029114. This information generates the Car Grade W in the TRAIN II System and Transportation Code G in Umler. These codes indicate that the car is contaminated, and this condition prevails for the life of the car. Shipments that are reported with potential contaminants or toxic substances with Standard Transportation Commodity Codes listed in AAR Car Service Rule 14 (in *AAR Circular OT-10*) generate a Car Grade of K. The K grade can only be removed by physical inspection and reporting to TRAIN II.

Covered Hopper cars that are loaded with specific ruminant protein commodities as defined in the Appendix to AAR Car Service Rule 14 – *Contaminating Commodities* will generate a Car Grade of N and a Transportation Code of G when reported via waybill to the Railinc TRAIN II System. Refer to AAR Car Service Rule 14 for additional information.

IV. DAMAGE PREVENTION

Damage Prevention and Loading Services (DP&LS), part of MxV Rail within the AAR, organizes and implements programs for safe transportation and prevention of loss and damage to all commodities shipped by rail, and provides support to railroads in the interline settlement of freight claims.

A. Damage Prevention and Loading Services

DP&LS functions include testing and evaluation of closed boxcar, open top, and intermodal loading methods and associated bracing materials and products. An engineering resource function is provided to railroads, shippers and suppliers in this effort. Successful loading methods are published in various DP&LS publications including: *Closed Car Loading Standards*, *Intermodal Loading Guide*, *Open Top Loading Rules*, *Best Practices Loading Guide for Roll Paper*, and the *Multi-Level Manual*.

The DP&LS staff is available to conduct field programs to evaluate performance in Motor Vehicle Handling Operations through Quality Review programs. These programs evaluate equipment maintenance, operations/equipment placement, and personnel performance in the handling, loading and/or unloading, and securement of motor vehicles. Onsite training in all areas of vehicle handling is provided during Quality Reviews.

Many training programs are developed to assist in education involving established loading methods and procedures. These programs are often "How-To" instructional aids based on railroad and customer needs. More than 30 programs are available on various damage prevention and loading topics.

DP&LS maintains and publishes Freight Claim Rules. These rules provide for: (1) the prompt and lawful settlement of freight claims with claimants; and (2) the prompt and equitable apportionment among carriers of amounts paid in the settlement of freight claims. DP&LS also administers a freight claim arbitration program to settle interline disputes. Industry freight claim statistics are also monitored to measure industry performance and trends. This statistical data helps provide guidance in directing damage prevention efforts.

B. Damage Prevention and Freight Claims

Membership in the AAR's DP&FC is available to representatives of rail carriers with authority to adjust freight claims for loss or damage or relief claims involving refused, unclaimed, short or damaged freight, and to representatives of rail carriers charged with authority for damage prevention issues. Membership may be:

- **Full Membership**—All full member railroads of the Association of American Railroads (AAR), including AAR Special Canadian and Mexican Member Roads.

- **Special Membership**—Railroads (other than Class I railroads) which are not Full Members of the AAR.

Membership requires that a written agreement (Standard Form No. DPFC-18 or No. DPFC-19) be executed and filed with DP&LS. This agreement stipulates that the carrier will observe the Rules of Order, the Principles and Practices, and the Freight Claim Rules as published in the *DP&FC Rule Book*.

For information regarding **Membership, Freight Claim Rules and overall DP&LS services**, email dpls_fax@aar.com or send fax to:

MxV Rail
ATTN: MxV Rail – **Membership/Loading**
350 Keeler Parkway
Pueblo, CO 81001
Fax: (719) 584-0775

For information regarding **Motor Vehicle issues, Field Programs, Training programs**, email: dpls_fax@aar.com or send fax to:

MxV Rail
ATTN: MxV Rail – **Training**
350 Keeler Parkway
Pueblo, CO 81001
Fax: (719) 584-0775

For information regarding **testing, loading methods and products, and related services**, email dpls_fax@aar.com or send fax to:

MxV Rail
ATTN: MxV Rail - **Engineering**
350 Keeler Parkway
Pueblo, CO 81001
Fax: (719) 584-0775

V. RAILINC EQUIPMENT CHARACTERISTICS SERVICES

Equipment Characteristics Services refers to Railinc products that focus on physical rolling stock, such as railcars and locomotives. Products within this category relate to rail equipment operated in interchange service, which may include rail equipment characteristics, pooling and distribution of empty rail equipment, and rail equipment health information.

Key products in this category include:

- Umler
- Component Tracking
- Equipment Advisory System

A. Umler

- Registration of Equipment

- Data quality is very important to Railinc. Our goal is to have an error-free Umler file. Equipment owners can log into Umler and see a list of the initial and number of equipment with conflicts on their homepage.

- Railinc hosts the FindUs.Rail application for use in contacting parties to the rail industry. This includes equipment owners. Equipment owners should request access to FindUs.Rail through Railinc.com to view their contact information and keep it updated.

- The *Umler Data Specification Manual* provides the data requirements and input formats to register equipment into the Umler system and is needed when registering equipment using Umler.

Umler allows users to report car management information associated to the pooling of equipment (creating Pool Headers and assigning/unassigning equipment to pools) and assign User Transportation Codes. It also allows repair shops and equipment owners to report Air Brake Tests, the applications of retro-reflective material, and Car Grades. Equipment owners may also report various locomotive inspections (U.S. Federal Railroad Administration [FRA], Quarter, Annual, etc.), Autorack certifications, and door lubrication events.

In addition, the Umler system allows equipment owners and their agents to query Umler equipment information, equipment notices and the Umler transaction log which identifies transactional changes to the equipment.

In order for repair shops to report updates or query the Umler system, the shop must obtain a Shop ID from Railinc. To obtain a Shop ID, contact the Railinc Customer Success Center at (877) 724-5462 or csc@railinc.com and request an application for a Shop ID.

If you have not registered as a customer of the Umler System, go to Railinc.com, click on **Customer Login** in the top right. Select the **Create an account now** link below the login form and follow the registration process to sign up for an SSO ID and request access to Umler.

For more information about Umler, see https://public.railinc.com/products-services/umler-system or contact Railinc's Customer Success Center at csc@railinc.com or (877) 724-5462 and ask for the Umler system.

B. Component Tracking

Component Tracking, formerly known as CEPM, is a web-based application that captures data for railcar equipment components. This data includes reporting on wheel repairs, validating railcar component existence, incorporating mileage information, and providing visibility into the current and past health status of rail equipment.

The first phase focused on wheelsets. This included centralizing the registration of wheelset component details and identifying the application of wheelset components, including AAR and non-AAR repairs. Other phases have added the ability to register and identify component associations for bolsters, sideframes and couplers, brake values and slack adjusters.

Users can:

- Register components in advance using Railinc's Umler Component Registry
- Report the application of components via Railinc's Umler, Car Repair Billing (CRB), and Equipment Health Maintenance System (EHMS) applications

The Component Registry operates as a part of the Umler system. Each user must have an SSO ID and be authorized to use Umler.

For more information about Component Tracking, see https://public.railinc.com/products-services/component-tracking or contact Railinc's Customer Success Center at csc@railinc.com or (877) 724-5462 and ask for Component Tracking.

C. Equipment Advisory System

The Equipment Advisory System supports several of the core Early Warning functions, such as using advisories, identifying equipment subject to the advisory and reporting inspections and repairs. In addition, the Equipment Advisory System expands its scope by adding new advisory types as well as other improvements to the Early Warning system.

For information about Early Warning, see https://public.railinc.com/products-services/equipment-advisory-system or contact Railinc's Customer Success Center at csc@railinc.com or (877) 724-5462 and ask for the Early Warning System.

VI. RAILINC ASSET HEALTH

Asset Health Strategic Initiative (AHSI) is a multi-year, multi-phase railroad industry program that applies information technology solutions and processes to address the rail industry's asset health challenges. This program seeks to reduce mechanical service interruptions, improve the quality of railcar inspections, and increase railyard and repair shop efficiency, resulting in significant safety improvements and cost savings over the life of the program.

Asset Health Data Summaries give customers a concise view of equipment health data collected by wayside detectors. These summaries enable insights into equipment health and help railroads, car owners and other industry participants make better maintenance planning and repair decisions.

Key products in this category include:

- Car Repair Billing – Billing Repair Card (BRC)
- Locomotive Repair Billing (LRB)
- Damaged and Defective Car Tracking (DDCT)
- Equipment Health Management System (EHMS)
- Equipment Health View (EHV)
- Mechanical Reference Repository (MRR)

A. Car Repair Billing – Billing Repair Card (BRC)

1. CRB System

Car Repair Billing (CRB) is Railinc's system for managing invoices of car repairs. The Car Repair Billing system has two different methods for submitting invoices: Car Repair Billing Data Exchange (CRBDX) and the Billing Repair Card (BRC) interface.

The web-based Billing Repair Card (BRC) system is designed for small repair facilities and users who are not partnering with a car repair software vendor. With the BRC, users can enter and price railcar repairs, participate in Data Exchange and create paper invoicing. The BRC interfaces with Railinc's Car Repair Billing (CRB) system, ensuring accuracy and efficiency—up front.

Before a BRC can be priced, all fields must be populated, and all basic edits must be passed. It will then either be priced successfully or returned with errors. Errors must be corrected and resubmitted before a BRC can be invoiced or sent for Data Exchange.

A successfully priced BRC can be gathered with other BRCs for a particular car owner and assigned a common invoice number. Once invoiced, these BRCs are sent to Railinc's Data Exchange and made available for users to access electronically on a monthly basis.

For information, see the Car Repair Billing and Billing Repair Card page on Railinc.com at https://public.railinc.com/products-services/car-repair-billing or contact Railinc's Customer Success Center at csc@railinc.com or (877) 724-5462 and ask for Car Repair Billing.

2. Car Repair Billing Data Exchange (CRBDX)

The Car Repair Billing Data Exchange (CRBDX) provides participating rail carriers and private repair shops the means to forward to Railinc a single file representing all billing information related to labor and materials used in connection with the repair of freight cars. Subscribing rail or private freight car owners receive one file representing car repair dollar amounts owed to rail carriers and private repair shops that performed repair services to their equipment. The data content presented via the CRBDX is published in the *Car Repair Billing Procedures Manual*.

New participants/subscribers must submit written participation notification to Railinc no later than the first day of the month during which repairs will be performed, or equipment placed into service.

For information, see the Car Repair Billing Data Exchange section on Railinc.com at https://public.railinc.com/products-services/car-repair-billing#car-repair-billing-data-exchange or contact Railinc's Customer Success Center at csc@railinc.com or (877) 724-5462 and ask for CRBDX.

B. Locomotive Repair Billing (LRB)

The Locomotive Repair Billing (LRB) system is a web-based application that provides a centralized system for users to price, report, approve, invoice, and distribute repairs on locomotives. As a single source of data, it reduces the administrative costs associated with the current manual billing process which require manual intervention to acquire data for each customer.

LRB is the central and official industry source for pricing repairs—ensuring consistent pricing by averaging repair costs among customers using an online survey process. LRB allows automated approval requests to be sent for repairs entered or sent to Railinc via the web or MQ to allow Class 1 Railroads to electronically price, validate, and request approvals for locomotive repairs.

For information contact Railinc's Customer Success Center at csc@railinc.com or (877) 724-5462 and ask for LRB.

C. Damaged and Defective Car Tracking (DDCT)

The Damaged and Defective Car Tracking System (DDCT) is a web-based application that allows freight car owners and railroads to exchange information on defective and damaged freight cars. Damaged cars are handled in accordance with Rule 107 and defective cars are handled in accordance with Rules 1 and 108 of the American Association of Railroads (AAR) Field Manual of the Interchange Rules. Rule 95 is used for any damaged equipment that can be returned to service.

DDCT interfaces with Umler, the Event Repository (TRAIN/EDI) and the Liability Continuity System (LCS). DDCT also interfaces with IRF Web to assist users in finding correct Standard Point Location Codes (SPLCs).

DDCT interfaces with Railinc's Early Warning (EW) system. When a DDCT incident is created, the car is placed on a Maintenance Advisory (MA) letter that corresponds to the rule number used in creating the incident. The MA letter advises the railroad, car owner or repair facility that a defect exists for the unit. When cars reach an end state in DDCT, the cars are automatically removed from the respective MA letter. Cars can be added to the DDCT-specific Maintenance Advisory letters only through the DDCT system—cars cannot be added or removed through Early Warning.

For information, see the DDCT web page on Railinc.com at https://public.railinc.com/products-services/damaged-and-defective-car-tracking or contact Railinc's Customer Success Center at csc@railinc.com or (877) 724-5462 and ask for DDCT.

D. Equipment Health Management System (EHMS)

Railinc's EHMS leverages proven industry-wide information systems to support the rail industry when repairs are needed.

Railinc's EHMS provides the means to manage and communicate the massive amounts of data coming from the wayside detectors in support of damage prevention and rail transportation safety. In partnership with MxV Rail, EHMS scrubs, stores, and distributes information about equipment to rail carriers, car owners and other interested parties. The system takes alert data from various types of wayside detectors, including: Wheel Impact Load Detectors (WILD), Truck Hunting Detectors (THD), Acoustic Bearing Detectors (ABD), Hot Bearing Detectors (HBD), Wheel Temperature Detectors (WTD), and Truck Performance Detectors (TPDG & TPDL).

EHMS manages the communication of this information to all equipment owners and provides the mechanism for reporting repairs, completing the cycle. Other interested parties such as private contract shops can profit from this wealth of data.

For information, see the EHMS page on Railinc.com at https://public.railinc.com/products-services/equipment-health-management-system or contact Railinc's Customer Success Center at csc@railinc.com or (877) 724-5462 and ask for EHMS.

E. Equipment Health View (EHV)

Equipment Health View (EHV) is a web-based application accessed through the Equipment Health Management System (EHMS) application. It consolidates equipment information from Railinc's Umler, Damaged and Defective Car Tracking (DDCT), and Early Warning systems, as well as information from the Event Repository regarding mileage.

Equipment Health View enables authorized users to enter an Equipment ID and view the following information for that piece of equipment:

- A subset of Umler data
- Early Warnings status

- Alert status
- Damaged and defective status
- Mileage information
- Inspection status
- Mapped location status

For information, see the EHV page on Railinc.com at https://public.railinc.com/products-services/equipment-health-view or contact Railinc's Customer Success Center at csc@railinc.com or (877) 724-5462 and ask for Equipment Health View.

VII. RAILINC ASSET UTILIZATION AND COMPENSATION SERVICES

Asset Utilization and Compensation Services refers to Railinc products and services that focus on the management of payments for use of physical rolling stock, such as railcars and locomotives. Products within this category relate to the health of rail equipment operated in interchange service, which may include rail equipment characteristics, pooling and distribution of empty rail equipment, and rail equipment health information.

Key products in this category include:

- Car Accounting Self-Service (CASS)
- Car Hire Rate Negotiation Self Service (CHRNSS)
- Car Hire Accounting Rate Master (CHARM)
- Car Hire Data Exchange (CHDX)
- Liability Continuity System (LCS)
- Loading Authority (OT-5)
- Transfer of Liability (TOL) system
- Tank Car Mileage Equalization (TME)
- Rail Asset Management Process-Exception Disposition (RAMP-ED)
- Special Car Order 90 (SCO 90)

A. Car Hire Deprescription, CHARM, and CHRNSS

Car hire is compensation to be paid by a user to an owner for use of a rail car. Car hire rates are negotiated between users and owners. This negotiation process is referred to as deprescription.

Car Hire Rate Negotiation Self-Service (CHRNSS) is an application that enables users to participate in negotiations related to car hire which is compensation paid by a user to an owner for the use of a railcar, and records rate agreements in the CHARM file. All rail carriers and equipment owners, or their respective agents, who wish to participate in the CHARM file, will use this system. This is the exclusive process by which rates may be recorded in the CHARM file. The rates contained in these customized files are confidential to each owner and user. CHARM contains rates effective for the current month and will be updated each subsequent month, with the appropriate de-prescribed or prescribed rates effective for the month.

For a freight car to be part of the deprescription negotiation process in CHRNSS, it must be registered in the Umler System. All deprescribed cars have a default rate, i.e., a rate that will apply in the absence of an agreement between the owner and user (see Rule 1, H, Code of Car Hire Rules and Interpretations - Freight, in *AAR Circular OT-10*). Once a default rate is applied to a car, it remains in effect until changed as a result of negotiation or arbitration. Default rates are determined as follows:

1. A car built or rebuilt before January 1, 1994, that is (voluntarily) deprescribed and no negotiated or arbitrated rate exists, the last rate in effect will remain as the default rate until changed by negotiation or arbitration. Any car that was previously under the prescribed system and was voluntarily deprescribed, the last prescribed rate in effect will now be the car's default rate.

2. A car built/rebuilt/OT-37 after January 1, 1994 (automatically deprescribed) will have a rate equal to the lowest negotiated positive rate in effect for that car type at the end of the previous quarter (prior to equipment registration in Umler). If no positive negotiated rate exists, the car will have the lowest prescribed rate for the car type at the end of the previous quarter.
3. Default rates that are determined by car type (cars built after January 1, 1994 are automatically deprescribed) will be based on a four-position Equipment Type Code. First, a search is made for negotiated rates using all four characters of the car equipment code. If no negotiated rate exists, a search is made using the first three characters of the car type code. This process is repeated using the first two characters, then only the first character until a negotiated rate is found. Default rate tables by equipment type are created quarterly.

For information, see the Car Hire web pages on Railinc.com at https://public.railinc.com/products-services/car-hire or contact Railinc's Customer Success Center at csc@railinc.com or (877) 724-5462 and ask about deprescription.

B. Car Hire Data Exchange

The Car Hire Data Exchange (CHDX) provides participating rail carriers the means to forward to Railinc a single file representing all compensation (payables) owed to all freight car and trailer/container owners whose equipment was used. Subscribing rail or private equipment owners receive one file representing compensation (receivables) due them based upon usage by the participating rail carriers. The information presented via CHDX and the types of equipment compensation records are published in the *Car Hire Data Exchange User Guide*.

New participants/subscribers must submit written participation notification to Railinc no later than the first day of the month during which allowances will be incurred or accrued.

For information, see the CHDX page on Railinc.com at https://public.railinc.com/products-services/car-hire#car-hire-data-exchange or contact Railinc's Customer Success Center at csc@railinc.com or (877) 724-5462 and ask about CHDX.

C. Liability Continuity System (LCS)

The Liability Continuity System (LCS) is the official interchange record for car hire settlement. Based on data supplied to TRAIN II, LCS analyzes event data to establish continuity. When records are illogical or missing, LCS creates official interchanges for liability time and interchange location based on industry default rules. The default rules are only used if the two interchange partners have not reported the same interpretation of the interchange activity. The official information is transmitted to all relevant parties (i.e., equipment owners, users, and agents for the equipment owners and/or users). Barring agreement to do otherwise, parties are required to use LCS-verified and created interchange records to calculate car hire liability.

For information, contact Railinc's Customer Success Center at csc@railinc.com or (877) 724-5462 and ask about LCS.

D. Car Hire Rule 5 Transfer of Liability

Terminal and switching carriers moving loaded and empty cars per AAR Code of Car Hire Rules and Interpretations– Freight, Car Hire Rule 5, are subject to Car Hire Transfer of Liability (TOL). Switching hours are limited to a maximum of 120 hours in terminal switch service and 24 hours in intermediate switch service, unless a specific number of hours have been agreed to by the roads performing switching service and their connecting carriers.

Car Hire Rule 5 switching services cover:

> **T (TERMINAL)**—An Agreement covering Terminal Switching Service hours performed for another railroad.
>
> **I (INTERMEDIATE)**—An Agreement covering Intermediate Switching Service hours received from another railroad.

For information, see the *Car Hire Rule 5 Update Request Guide* or contact Railinc's Customer Success Center at csc@railinc.com or (877) 724-5462.

E. Tank Car Mileage Equalization

Tank Car Mileage Equalization (TME) is a system of accounting that entails the aggregate reporting of loaded and empty private tank car miles. Mileage is collected and reported by rail carriers, processed by Railinc for the AAR, and then distributed to the railroads and private tank car owners on a monthly basis in a format called the National Tank Car Equalization Register. Should the empty mileage accumulated by any tank car owner exceed the loaded mileage during the same calendar year by more than six percent, such excess empty mileage must be paid by the tank car owner to the AAR at a rate to be determined yearly. This money (minus the administration fee) is then distributed to those railroads whose handling of empty tank cars exceeded their loaded handling by more than six percent. This process was set forth by the ICC's decision in Ex Parte 328. The rules and regulations for mileage equalization are codified in the Tariff RIC 6007 series https://public.railinc.com/resources/national-tariffs/ric-6007-o.

For information regarding tank car mileage equalization, contact Railinc's Customer Success Center at csc@railinc.com or (877) 724-5462.

F. Special Car Order 90 (SCO 90)

SCO 90 is a web-based application that assists with the maintenance of Special Car Order 90 (in *AAR Circular OT-10*). SCO 90 was approved by the AAR, Equipment Assets Committee (EAC) and the AAR, Safety and Operations Management Committee (SOMC) in recognition of the need to efficiently move surplus empty, indirect-connection, and railroad-owned freight cars to the home railroad without incurring the time, car hire, and transportation costs involved in reverse route to home rails when cars have had multiple loaded cycles.

Predetermined interchange locations (outlets) are designated in advance and periodically adjusted by the AAR for the empty movement of indirect connection ownerships across Class I and II rail carriers. Short line and belt line carriers can be designated as participants in SCO 90 (specific interchange locations) for delivering or receiving railroad marked freight cars if they are the only rail connection of another carrier.

Railinc generates a series of quarterly reports reflecting all SCO 90 movements by participating carriers. The system allows users to download reports in both PDF and CSV formats.

For information about SCO 90, contact Railinc's Customer Success Center at csc@railinc.com or (877) 724-5462.

VIII. RAILINC INTERLINE OPERATIONS & EXCEPTIONS SERVICES

Interline Operations & Exceptions Systems refers to Railinc products that focus on the transmission of electronic messages within the rail community, and the maintenance of the rail Industry Reference Files (IRFs). IRFs allow for a consistent and standardized means of communication among railroads. Railinc maintains the North American railroad industry's official code tables.

Key products in this category include:

- Customer Identification File (CIF)
- Industry Reference Files (stations, junctions, routes, commodities, etc.)
- Embargoes
- Forward & Store (FnS)
- Freight Loss Data Exchange (FLDX)
- Rate EDI Network (REN)
- Switching Settlement Data Exchange (SSDX)

A. Customer Identification File (CIF)

The Customer Identification File (CIF) is a web-based application that contains the name, physical and mailing addresses, corporate parent identification, and a unique identification code for each location of a transportation carrier customer. The identification code is used in exchanges of shipment information to accurately identify transportation company customers and customer locations.

CIF facilitates business transactions by providing accurately matched incoming documents to customer files and improving the quality of customer information on bills of lading, waybills, and other documents. It also improves the quality of pricing information and the rating process. A carrier's system can use CIF codes to identify all locations to which a price and other contract terms apply, to provide accurate delivery instructions to a specific location, and improve shipment reservation, booking, and equipment ordering processes.

For information, see the Customer Identification File page on Railinc.com at https://public.railinc.com/products-services/customer-identification-file-cif or contact Railinc's Customer Success Center at csc@railinc.com or (877) 724-5462 and ask for CIF.

B. Industry Reference Files (IRFs)

Industry Reference Files (IRFs) are databases that Railinc maintains for Railroad industry use. These databases can be accessed individually, and they also provide lookup and validation information for a wide variety of Railinc applications. IRFs support industry-wide initiatives such as Interline Settlement System (ISS), Rate EDI Network (REN), and Interline Service Management (ISM), as well as legacy interline and internal carrier systems**.**

1. MARK Road Register

The MARK Road Register is a registration file that contains NMFTA Standard Carrier Alpha Codes (SCAC), railroad reporting marks (to include TOFC/COFC), and private corporate equipment provider marks.

All railroads, new or those already operating, and all private corporate equipment providers, must be registered in the MARK Road Register. The MARK Road Register contains information such as the Accounting Rule 260 number, operational Effective Date, Expiration Date (if applicable), Owner Mark and all sub-marks of the railroad SCAC and Railroad Type. This information flows to and interacts with all other Industry Reference Files.

Railinc files and applications are referenced by the MARK Road Register. The MARK Road Register supplies equipment mark data to Umler. Equipment marks must be registered in the MARK Road Register for Steelroads to supply tracing on equipment. Railroad reporting mark information must be in the MARK Road Register for use in the "Official Railroad Station List."

To request new railroad reporting marks or private corporate equipment marks for the United States, Canada and/or Mexico, contact Railinc's Customer Success Center at csc@railinc.com or (877) 724-5462. For mark registering, see the Mark Register page on Railinc.com at https://public.railinc.com/resources/mark-register and the Railinc Onboarding page at https://sso.railinc.com/onboard/#/.

2. Centralized Station Master (CSM)

Centralized Station Master (CSM) is a geographic location file which contains data about rail and motor carrier points for North America and international areas. This file is primarily used by railroads to help plan freight movements from origin to destination in an efficient and timely manner.

CSM rail station records are uniquely identified by combination of the Standard Carrier Alpha Code (SCAC) field and the Freight Station Accounting Code (FSAC) field. They can also be identified (not uniquely) by their respective Standard Point Location Code (SPLC). CSM station records must be added to the Centralized Station Master file before data can be added to other IRFs such as Junction Interchange, Junction Settlement, and Route. Systems that depend on this data include ISS, REN, Serving Carrier Reciprocal Switch (SCRS), Umler, and Embargoes.

For new railroads needing to have their stations added to this file, a copy of an adoption notice, or a listing of stations should be provided to Railinc to be keyed into Railinc's CSM database, and broadcast to all parties receiving EDI 431 transactions. The adoption notice or station listing

should be given to the OPSL Issuing Officer to be printed in the "Official Railroad Station List," (OPSL), along with railroad, note, and interchange information.

Changes to records in this file are accomplished by expire/add pair transactions. Abandoned or eliminated points are sent as expired transactions and new stations/points are sent as added transactions. CSM data can be submitted to Railinc via EDI, email, or on the hard copy CSM AD 101 form.

For information, see the Centralized Station Master page on Railinc.com at https://public.railinc.com/resources/centralized-station-master.

To request new SPLC assignments for the United States, Canada and/or Mexico, contact Railinc's Customer Success Center at csc@railinc.com or (877) 724-5462.

3. Junction Interchange File (JUNC)

The Junction Interchange File (JUNC) is the basis for identification of inter-carrier activities. This file contains records for each junction abbreviation and pairs of reporting marks that interchange at that junction.

A 3- to 5-character alpha junction abbreviation is assigned to stations where various types of interchanges can occur between railroads and/or other parties. See *Junction Interchange Update Request Form and Instruction Guide* for explanation of interchange types. The IRF Junction Interchange File and assignment of the junction abbreviations are maintained by Railinc.

Interchange locations only exist upon agreement of the roads involved. It is required that both interchanging roads submit a concurring signed request to add/alter this table. Use the *Junction Interchange Update Request Form and Instruction Guide* to complete this task.

For information or to obtain interchange forms, see the Junction Interchange File page on Railinc.com at https://public.railinc.com/resources/junction-interchange-file or contact Railinc's Customer Success Center at csc@railinc.com or (877) 724-5462.

4. Standard Transportation Commodity Code (STCC)

The *Standard Transportation Commodity Code* (STCC) and the *Directory of Hazardous Materials (HazMat) Shipping Descriptions* are Railinc Publications containing specific product (STCC) and HazMat information used on waybills and other shipping documents. This information is arranged both numerically and alphabetically. Industry Reference Files (IRFs) are the only industry-accepted version of the North American railroad industry's official code tables.

The STCC publication is available in electronic format (PDF and as a .txt file). The STCC file also contains cross-references to the International Harmonized System codes, Standard Industrial Classification (SIC) codes, and International Standard Industrial Classification (ISIC) codes. A subscription to the STCC publication includes a master copy issued annually and a monthly supplement.

The HAZMAT publication is available in .txt file format only and may be purchased through the Association of American Railroads (AAR) by visiting their website at https://www.aar.org/boe/.

For information regarding STCC, see the STCC page on Railinc.com at https://public.railinc.com/resources/standard-transportation-commodity-code or contact Railinc's Customer Success Center at csc@railinc.com or (877) 724-5462 and ask for STCC.

For information regarding Hazardous Materials Shipping Descriptions, see https://www.aar.org/boe.

5. Junction Settlement Agreement

A junction settlement railroad does NOT participate in normal waybilling and interline settlement arrangements but may be a party to the price negotiations. A junction settlement railroad's division of revenue is received through an agreed arrangement with a connecting interline settlement carrier.

Railway Accounting Rules - Freight Mandatory Rule 6 states, "The junction settlement arrangement for waybill preparation and settlement is an accepted practice between many short line carriers and their major connecting carriers. The Railway Accounting Rules have no interest in or control over those proprietary arrangements. The involvement of another interline carrier in the movement, however, necessitates standard procedures for waybilling, handling the waybill and interline settlement."

Interline Settlement System® (ISS) is the centralized process for the rail industry used to negotiate and agree upon for the sharing of revenue generated for a movement when two or more roads are involved in the shipment route. ISS is the accepted industry standard method by which the rail industry settles interline freight revenues via Electronic Data Interchange (EDI). ISS maintains a table comprised of each junction settlement carrier and the major connecting interline settlement carrier responsible for their messages, settlements and funds transfers. ISS does not send messages or funds transfer notices to junction settlement carriers except upon advice of their major connecting interline settlement carrier. As junction settlement arrangements are established, it is the responsibility of the major connecting interline settlement carrier to keep this ISS table current.

For questions about the Junction Settlement Form contact Railinc's Customer Success Center at csc@railinc.com or (877) 724-5462 and ask for Junction Settlement.

6. Official Railroad Station List (OPSL 6000 Series)

The *Official Railroad Station List (OPSL)* is distributed as a formal tariff and legal source of virtually all geographic data required to support railroad prices in North America (i.e., specific locations, switch limits, National Rate Basis points, etc.). Contained as part of the Centralized Station Master (CSM) and Industry Reference File (IRF), OPSL Station Names and Numbers are assigned to billing points referenced in carrier contracts, circulars, letter quotes, and tariffs. Required in REN, OPSL data is also one method (along with shipment conditions, customer, and commodity) used to establish and manage group prices. The OPSL also contains data about railroads, station notes (that delineate what services will or will not be provided at specific carrier locations) and revenue interchange points derived from the Junction Interchange IRF.

The OPSL book is issued annually on January 1st and supplemented twice a month for twelve months. For any given OPSL cycle, there is one main book and typically 24 supplements.

Supplements are issued on the 1st and 15th of each month and contain all changes reported relating to railroads, stations, notes, and interchanges. To manage the number of supplements in effect, several supplements may be consolidated to create one.

In order to be listed in the OPSL, a railroad needs a valid reporting mark registered through the AAR and contained in the Reporting Mark IRF (see Section 0). Also required is a list of stations or an adoption notice with appropriate SPLC, FSAC, and OPSL numbers assigned. This station information is provided as input into the CSM and IRF. Notes stating waybill addresses, services provided, etc., should be furnished with the station information.

For information, see the Official Railroad Station List/OPSL page on Railinc.com at https://public.railinc.com/resources/official-railroad-station-list or contact Railinc's Customer Success Center at csc@railinc.com or (877) 724-5462 and ask for OPSL.

7. Serving Carrier/Reciprocal Switch (SCRS)

The Serving Carrier/Reciprocal Switch (SCRS) application allows carriers to update and retrieve information about customers, serving carriers, and reciprocal switch charges in real time. As one of the IRF systems, SCRS is the foundation for all inter- and intra-industry communication. In conjunction with ISS and REN, SCRS ensures that switch charges are applied correctly. SCRS allows short line partners access to information without Class I intervention. This system facilitates easier short line and terminal carrier participation for Class I carriers.

For information, see the Serving Carrier/Reciprocal Switch page on Railinc.com at https://public.railinc.com/products-services/serving-carrierreciprocal-switch or contact Railinc's Customer Success Center at csc@railinc.com or (877) 724-5462 and ask for SCRS.

C. Embargo System

Refer to Embargoes and Reroutes.

D. Forward & Store (FnS)

The Forward & Store (FnS) System was developed to facilitate more timely notification of oncoming traffic to roads participating in interline rail movements. It receives EDI (417) Waybill, (417) Waybill Corrections/ Diversions, and (421) Trip plan transactions (messages) from origin carrier and (858) Bill of Lading (Shipment information) transactions (messages) from Inland Steel and forwards them to appropriate destinations. This system sends acknowledgement of receipt (997) to the message sending carrier, and if the message contains error(s), it also sends an error message to the message sending carrier. One GS to GE message may contain multiple individual ST to SE messages. If there are individual rejectable message(s) and acceptable message(s) in a given transaction, the system will reject only the rejectable message(s) (997 syntax or 824 application error) and forwards the acceptable messages(s) accordingly.

For information contact Railinc's Customer Success Center at csc@railinc.com or (877) 724-5462 and ask for Forward & Store.

E. Freight Loss Data Exchange (FLDX)

Railinc provides a clearinghouse for processing a variety of rail equipment accounting information. These clearinghouse applications are known as data exchanges. A data exchange allows an individual railroad to consolidate, and forward to Railinc, a single file related to a specific rail accounting function. Railinc merges the submissions of numerous rail carriers and then forwards complete consolidated files to equipment owners (rail and private). The synergies of a data exchange system eliminate the requirement to send/receive information between numerous companies, producing significant cost savings for all participants.

The Freight Loss Data Exchange (FLDX) is the exchange of assessments by railroads responding to customers claims for freight loss and damage. The terminating carrier pays the claim and then looks to fellow roads that shared in the haul to repay for portions of the claim. FLDX data is also used by the AAR in freight loss and damage prevention analysis. Carriers can submit and receive files via FTP transmissions. FLDX is usually processed and produced between the 9th and 12th of every month.

For information, see the FLDX page on Railinc.com at https://public.railinc.com/products-services/freight-loss-data-exchange or contact Railinc's Customer Success Center at csc@railinc.com or (877) 724-5462 and ask for FLDX.

F. Rate EDI Network (REN)

The Rate EDI Network (REN) is the price management system for the North American Railroads. It allows price (rate and division) information, in a standard format to be distributed among participating carriers, with appropriate safeguards and restrictions. This application distributes tariffs, circulars, letter quotes, and contracts. Heavy use of Industry Reference Files and security ensures only accurate price data is sent to the intended recipient. Prices may be grouped according to commodity, customer, geography or shipment conditions. There are specific forms to be completed and forwarded to Railinc for REN participation.

For information and necessary forms, see the REN page on Railinc.com at https://public.railinc.com/products-services/rate-edi-network or contact Railinc's Customer Success Center at csc@railinc.com or (877) 724-5462 and ask for REN.

G. Switching Settlements Data Exchange (SSDX)

The Switching Settlement Data Exchange (SSDX) allows participating railroads the opportunity to exchange receivable switching data in an electronic format, and to subsequently settle switching receivables on a net-net basis through the XI.A.2 administered by Railinc. SSDX uses Railinc's data facilities as a clearinghouse on a monthly basis. Instructions are contained in the *SSDX User Guide*.

For information, see the SSDX page on Railinc.com at https://public.railinc.com/products-services/switching-settlements-data-exchange or contact Railinc's Customer Success Center at csc@railinc.com or (877) 724-5462 and ask for SSDX.

IX. RAILINC MESSAGING SERVICE

In addition to message switching services, Railinc Messaging Service is the central hub that moves millions of inbound and outbound transactions daily between railroads and their trading partners and through Railinc applications such as Umler, RailSight, Interline Settlement System, Forward and Store, and the Damaged and Defective Car Tracking system. Railinc also maintains communication interfaces to other value-added networks and many individual trading partners.

Detailed information on establishing data services can be obtained by contacting Railinc's Customer Success Center. Customer service is available 24 hours a day, 7 days a week, to assist in message research or message retransmission.

A. Message Switch

Railinc operates one of North America's largest electronic commerce networks supporting the railroad industry's computer-to-computer system for document exchange. Over 4.5 million EDI messages are switched through the network each day between trading partners. Messages sent through the network include, but are not limited to Bills of Lading, Waybills, Advance Consists, Freight Bills, Purchase Orders and Invoices.

Access to the Railinc Network is supported by:

FTP Services: VPN, SSL, Push Options
Frame Relay: 1.536 Mbps – T1 (Dedicated Line)

B. Electronic Data Interchange (EDI)

Electronic Data Interchange (EDI) is the exchange of routine business transactions in a B2B format built to ANSI X-12 standards including eXtensible Markup Language (XML) schemas developed under the Context Inspired Component Architecture (CICA) or approved proprietary datasets. Railinc coordinates EDI and XML standard setting activities and initiatives for the railroad industry with the responsible business process owners. Railinc maintains all railroad industry-related EDI Guidelines including:

- Rail EDI Guidelines (version specific rail transaction sets)
- Rate EDI Network Guidelines
- Interline Service Management (ISM) EDI Guidelines
- *Interline Settlement System Front Matter User Manual* (EDI Guidelines)
- Industry Reference Files (IRFs) EDI Guidelines
- Serving Carrier & Reciprocal Switch (SCRS) EDI Guidelines

For information on electronic data interchange transactions, XML schemas and their use, contact Railinc's Customer Success Center at csc@railinc.com (type "EDI" on the subject line) or call (877) 724-5462 and ask for EDI.

X. RAILINC TRACING

Railinc tracing products focus on the movement of freight on the rails. This starts with transmission of the freight's shipping documents, continues with the tracking of freight movement from one location to another, and concludes with the revenue settlement process resulting from interline transfers of freight.

Key tracing products in this category include:

- TRAIN II (Event Repository)
- TransmetriQ® Platform
- RailSight®
- Steelroads®
- TRAIN II System Tracing
- TRAIN II Queries

A. TRAIN II Functions (Railinc Event Repository)

The TeleRail Automated Information Network (TRAIN II) System is the application through which the interchange and movement of railroad rolling stock within the United States, Canada, and Mexico is reported to Railinc and analyzed for a variety of industry uses. It is an evolving system, on several occasions having been expanded to incorporate the changing variety of railroad and intermodal operational activities that occur to freight rolling stock, trailers, and containers. The TRAIN II System provides physical location information of rail equipment based on event, waybill, trip plan, and interchange data reported by North American railroads. This reporting enhances railroad planning and operational requirements, and equipment inventory awareness for private equipment owners, and is an informational tool for railroad customers.

1. System Use

The TRAIN II System supports car management, car hire, and tracing activities. The primary uses of the system are:

1) Car Hire Settlement—Junction advices created by the Liability Continuity System (LCS) are considered official under AAR Car Hire Rules. See Liability Continuity System.
2) Special Car Orders—Analysis indicates how a carrier should home route empty surplus foreign general service boxes and gondolas. Results are distributed via Umler as transportation codes.
3) Car Grading—Accepts physical inspections and performs analysis for 'K' and 'W' commodities reported in waybills on boxcars to apply car grade update and distribute car grade notification.
4) Car Service Data—Monitors ownership online and assists in analysis of directive compliance.

5) Equipment Tracing—Location, status, and last commodity information are available via various tracing methodologies—some are automatically distributed to car owners and lessees at the individual unit level, some distribution is based upon a profile, while others are demand-activated. See TRAIN II System Tracing.

6) Online Queries—Railroads, equipment owners, and shippers may query the system. Available TRAIN II queries include: Rejections by Shipper, Home Route, Last 10 Event Records, Last Location, Waybill and Movement, Last 3 Empty Interchanges, Last 3 Commodities, 47 Movement Records, and Last Commodity and/or Car Grade. See TRAIN II Queries.

7) Equipment History—Monthly history of all movement events, waybills, and trip plans to facilitate trend analysis, evaluate data quality reporting, and process End of Train accounting.

8) Car Hire Transfer of Liability—TRAIN II has accepted car hire liability transfer information for intermediate and terminal switches (Car Hire Rule 5), as well as transfer of liability because the receiving carrier is unable to physically receive equipment at interchange (Car Hire Rule 15). See Car Hire Rule 5 Transfer of Liability.

9) Haulage—Accepts haulage indicator and converts records to make events look like those on the haulage movement carrier are on the haulage rights carrier.

2. Reporting Requirements

To support industry activities and to ensure proper handling, carriers are encouraged to report the following data to the TRAIN II System:

Movement/Status Events:

- Release
- Pull from Patron Siding
- Interchanges (delivery, receipt, one railroad reports)
- Passing Events (in transit arrivals, departures, boundary crossings–if boundary crossing is applicable)
- Arrival at Destination
- Actual and Constructive Placements
- Bad Order with Reason Code
- Ramp/De-ramp relating conveying flat car to trailer/container

Waybills (417 and TRAIN06 used):
Local, interline, empty should be reported prior to pulling equipment from customer siding.

Trip Plans (421):
Estimated time-of-arrival (ETA) is furnished for local and interline shipments using the appropriate transaction set purpose codes.

For information regarding the TRAIN II System, contact Railinc's Customer Success Center at csc@railinc.com or (877) 724-5462 and ask for TRAIN II.

B. TransmetriQ Platform

The TransmetriQ Platform is a rail management application powered by Railinc that enables shippers, private car owners (PCO's), and railroads to answer important questions and gain intelligent insights related to their shipments and railcar fleets.

The TransmetriQ Platform is data-driven, and TransmetriQ customers have the option to purchase shipment data and/or asset data. Shipment data includes information such as event information from the Railinc Event Repository and equipment characteristics from Railinc's Umler® system. Asset data includes information such as equipment health information from Railinc's EHMS and damaged and defective equipment information from Railinc's DDCT system. TransmetriQ Platform users have different capabilities depending on the type(s) of data that is available.

Shipment users can track rail equipment and view equipment status. Status information is captured in events, which are recorded at pre-defined changes in status and location. The TransmetriQ Platform's core functionality enables users to configure metrics known as insights and view information about the equipment specified in these insights.

Asset users can view maintenance details and fleet information relating to the overall health of users' fleets of rail cars. Status information is captured in equipment repositories and is made available through insights.

All users can view detailed status and equipment information in graphical and table format as well as see a piece of equipment's last location on a map. All users can also schedule insight snapshots known as summaries to run automatically.

The TransmetriQ Platform is comprised of a main dashboard along with a wide range of add-on application modules, including:

- **Demurrage** enables users with access to shipment data to track demurrage information and terminal activity for their terminal locations.
- **Bill of Lading** enables shippers and other entities to create electronic Bills of Lading.
- **Rate & Route** enables shippers to store, manage, and look up rates for rail shipments.
- **Reporting & Analytics** enables shippers and other entities to view reports on TransmetriQ Platform data.
- **Alerts & Notifications** enables users to create alerts based on virtually any parameter so that they are notified when the value of a specified parameter meets a certain criterion.
- **Lease Management** enables lessors (e.g., car owners) and lessees with access to asset data to define, track, and maintain their lease programs.

- **Repair Management** enables users to locate, select, and communicate with repair shops while tracking repair progress on their fleet of equipment.

- **Maintenance Programs** enables users with access to asset data to create, track, and store maintenance program information for their fleet of railcars.

For more information, refer to www.TransmetriQ.com, email TransmetriQ_Support@railinc.com, or contact Railinc's Customer Success Center at csc@railinc.com or (877) 724-5462 and ask for TransmetriQ.

C. RailSight

Targeting the needs of equipment owners and those in the shipping community, RailSight is a suite of applications designed to delivery rail shipment and equipment management data through a flexible framework. It monitors over 11 million railcar and intermodal equipment movements each day across more than 600 rail carriers throughout the United States, Canada, and Mexico. By providing accurate, up-to-date information from a single, reliable source, RailSight saves time and money by increasing visibility, enabling the tracking of shipments and equipment as they move by rail from start to finish.

The RailSight suite is comprised of the following components:

- **RailSight Track & Trace** distributes detailed, near real-time reports of events for fleets of equipment, defined either by the user or dynamically based on a set of waybill and equipment characteristic parameters.

- **RailSight Demand Trace** allows users to perform current traces as well as historical traces through a web-based interface.

- **RailSight API Services** enables system-to-system communication through Restful API messages to minimize the manual efforts for customers.

- **RailSight Webhook** is an output method for RailSight Track & Trace that proactively pushes event information to customers in JSON format via API.

For more information, refer to www.TransmetriQ.com, email RailSight_Support@railinc.com, or contact the Railinc Customer Success Center at csc@railinc.com or (877) 724-5462 and ask for RailSight.

D. Steelroads Equipment

The Steelroads website provides the convenience of simplifying transportation business transactions and the ability to locate shipments in a timely manner. Steelroads Equipment Trace is the rail industry's web-based application for allowing sponsored rail customers to view car movements and save that discrete list of cars for later tracing. Customers are able to trace their shipments via the rail industry's centralized database to extract shipment location information from over 520 railroads in North America.

To subscribe to Steelroads, customers must be sponsored by a participating railroad. Current sponsors are listed below. If you have any questions regarding eligibility or would like additional information, contact a participating railroad.

Exhibit 2. Steelroads Sponsor Contacts

Railway Sponsors	Phone
BNSF Railway Co.	888-428-2673
CSX Transportation	800-334-4256
Canadian National Railways	800-361-0198
Canadian Pacific Kansas City	877-277-3227
Florida East Coast Railway Co.	800-824-2330
Norfolk Southern Railway Co.	800-235-5551
Union Pacific Railroad Co.	800-872-1045
Railinc Corporation	877-724-5462

To register for your personal user ID and password for Steelroads, visit the website at https://www.steelroads.com/. Any railroad may become a sponsoring carrier for Steelroads. For information, see the Steelroads page on Railinc.com at https://public.railinc.com/products-services/steelroads or contact Railinc's Customer Success Center at csc@railinc.com or (877) 724-5462 and ask for Steelroads.

E. TRAIN II System Tracing

Information reported to the Event Repository/TRAIN II consisting of rail operational activities, may be obtained on a subscription basis in the form of Railinc's legacy formats - **TRAIN76** for rail carriers in the waybill route or **TRAIN80** messages for equipment owners.

TRAIN80 messages include Movement, Boundary Crossing, and Last Commodity information reported to freight equipment. Interchange events are not included in TRAIN80. TRAIN80 will be created and distributed based upon Equipment Initial, Umler Owner Mark, Umler Lessee Mark, and Railroad Pool Operator Mark. The *TRAIN II User Manual* describes the information that is included in TRAIN80 Messages.

TRAIN76 messages consist of all rail operational activities (including Interchange events) reported to freight equipment. TRAIN76 may be created and distributed based upon one or more select waybill elements (e.g., Origin Road, Destination Road, Origin Station, Load/Empty status or traditional TRAIN80 criteria). The *TRAIN II User Manual* describes information that is included in TRAIN76 Messages.

For further information regarding TRAIN76 and TRAIN80, contact Railinc's Customer Success Center at csc@railinc.com or (877) 724-5462 and ask for TRAIN Tracing.

F. TRAIN II Queries

The TRAIN II database permits railroads and equipment owners to inquire and receive electronically a current status of both their loaded and empty equipment from origin to destination.

Following is a summary of the TRAIN II QUERY87 messages:

Exhibit 3. TRAIN II QUERY87 Messages

Query87	Description
Q10	Rejection by Shipper
Q11	Interchange (Home Route)
Q12	Last Ten Events
Q13	Last Location
Q14	Waybill and Movement
Q15	Empty Interchanges
Q16	Last Three Commodities
Q17	All Movement Records (up to 46 events)
Q18	Last Commodity and/or Car Grade
Q19	Umler Car Data
Q20	Umler Weight and Capacity
Q21	Rate Information
Q22	Full Umler Data
Q23	Rate Information including LCS Car Date
Q30	Last Location, Original ETA and Current ETA
Q41	LCS Interchanges (Last 3 months)
Q47	No Longer Available
Q57	All Movements and Interchanges in Event Repository

Note: The replies for query sub-type 41 are returned as SWRPY00.

For information regarding the TRAIN II System, contact Railinc's Customer Success Center at csc@railinc.com or (877) 724-5462 and ask for TRAIN II.

XI. RAILINC AAR SERVICES

Railinc AAR Services includes:

- Revenue Accounting
  - Interline Settlement System (ISS)
  - Railroad Clearinghouse (RCH)
- Waybill Sample

A. Revenue Accounting

Data Exchange Systems—Railinc provides a clearinghouse for processing a variety of rail equipment accounting information. These clearinghouse applications are known as data exchanges. A data exchange allows an individual railroad to consolidate and forward to Railinc a single file related to a specific rail accounting function. Railinc merges the submissions of numerous rail carriers and then forwards complete consolidated files to equipment owners (rail and private). The synergies of a data exchange system eliminate the requirement to send/receive information between numerous companies, producing significant cost savings for all participants.

1. Interline Settlement System

The Interline Settlement System (ISS) provides the rail industry a method to settle interline revenues via EDI. ISS was designed to streamline past industry practices and significantly increase the efficiency and overall quality of interline settlements. Participation in ISS also requires participation in RCH.

ISS provides the industry with a means to identify waybill errors before they result in settlement disputes. Through EDI messaging, the system will distribute revenue waybills, including rates and divisions to all roads involved in the waybill route, and provide a mechanism for them to concur prior to the settlement of that waybill.

ISS determines the required interline fund transfers daily, if any, by computing each railroad's net debtor/creditor position from qualified, settled waybills. These calculations are reported to each railroad two business days in advance of any required funds transfer, to allow a review period. Funds are transferred through the Railroad Clearinghouse.

To be an ISS participant, there are specific forms that must be completed and forwarded to Railinc. To obtain these forms or for information regarding ISS, see the ISS page on Railinc.com at https://public.railinc.com/products-services/interline-settlement-system or contact Railinc's Customer Success Center at csc@railinc.com or (877) 724-5462 and ask for ISS.

2. Railroad Clearinghouse

The Railroad Clearinghouse (RCH) is a centralized process for administering and transferring funds among railroads. The RCH process uses a central bank to handle settlements through either Electronic Funds Transfer (EFT) or Automated Clearinghouse (ACH) on a net/net basis. The Clearinghouse uses the EFT process to release funds to the creditors of the settlement process.

Wells Fargo Bank located in San Francisco, CA is the central bank and Railinc (as authorized by the AAR) serves as the RCH Administrator. "Railroad Clearinghouse (RCH) Settlement Regulations" (available in the *Railway Accounting Rules*) govern the process by which railroads exchange funds to settle interline waybills (ISSP), Car Hire (CHDX), and Switching Settlement (SSDX) monthly on a net/net basis.

All railroads that participate in ISS are required to belong to the Railroad Clearinghouse. Canadian as well as U.S. funds are transferred through the RCH for ISSP and SSDX. ISS determines the monies one railroad owes to other roads as a result of interline settlements. Based on ISS timing rules, records are settled each day. The settlement records contain a funds transfer date on which monies are scheduled to be transferred from debtor railroads to creditor railroads. These daily records are accumulated for a monthly funds transfer on a railroad-to-railroad basis.

ISS Clearinghouse participants can retrieve the Funds Transfer Reports indicating their net/net position with other railroads in the Clearinghouse on the first business day of the month. On the second business day, debtor railroads wire funds to the Clearinghouse Bank and the Bank wires funds to creditor accounts. Debtors pay in a single lump sum and creditors receive their funds in a single lump sum.

Participation in RCH for the CHDX participants is not mandatory, however, it is recommended. The RCH system determines the monies one railroad owes to other roads as a result of information received from the Car Hire Data Exchange (CHDX) system. Based on Car Hire timing rules, records are settled monthly. These records are accumulated for a monthly funds transfer on a railroad-to-railroad basis.

CHDX Clearinghouse participants can retrieve the Funds Transfer Reports indicating their net/net position with other railroads in the Clearinghouse normally on the 20th of the month. This date fluctuates but the net/net reports should be available one day prior to the Funds Transfer date. On the Funds Transfer Date (normally between the 21st and 23rd of the month), debtor railroads wire funds to the Clearinghouse Bank (by 11:30 AM ET) and the Clearinghouse Administrators authorize the Bank to release funds to creditor accounts (between 2:00 PM and 5:30 PM on the Funds Transfer date (depending on the timing of receipt of incoming wire transfers). Debtors pay in a single lump sum and creditors receive their funds in a single lump sum.

Participation in RCH for the SSDX participants is not mandatory, however, it is recommended. The RCH system determines the monies one railroad owes to other roads as a result of information received from the Switching Settlement Data Exchange (SSDX) system. Based on Switching Settlement timing rules, records are settled monthly. These records are accumulated for a monthly funds transfer on a railroad-to-railroad basis.

SSDX Clearinghouse participants can retrieve the Funds Transfer Reports indicating their net/net position with other railroads in the Clearinghouse normally on the 25th of the month. This date fluctuates but the net/net reports should be available one day prior to the Funds Transfer date. On the Funds Transfer Date (normally between the 26th and 29th of the month), debtor railroads wire funds to the Clearinghouse Bank (by 11:30 AM ET) and the Clearinghouse Administrators authorize the Bank to release funds to creditor accounts (between 2:00 PM and 5:30 PM on the

Funds Transfer date (depending on the timing of receipt of incoming wire transfers). Debtors pay in a single lump sum and creditors receive their funds in a single lump sum.

For carriers seeking to commence participation in the RCH settlement processes, a completed Credit Application is required. The RCH Administrator reviews the credit application and the results of the credit investigation to determine approval or rejection of participation for the carrier. Participating railroads sign an RCH Trust Subscription agreement, which delineates the responsibilities of both the railroad and the AAR/Railinc. Railroads then provide basic information to the RCH regarding the account to which monies are to be sent and, if necessary, notify their bank to send money to the RCH Bank on a monthly basis.

In order to join the Railroad Clearinghouse, a railroad must notify the RCH Administrator five business days before a settlement, provide a signed Credit Application and executed RCH Trust Subscription Agreement, and furnish payment setup instructions. Railroads wishing to join RCH are sent the following documents:

1. The Railroad Clearinghouse Credit Application

2. The Railroad Clearinghouse Trust Subscription Agreement (**Note:** revenues in this agreement are defined as meaning the same as gross freight revenues in the AAR Bylaws)

3. Instructions for sending a Fed-wire and a Swift-wire (for Canadian dollar payments)

4. Payment setup instructions to be filled out and returned to the RCH

To obtain the necessary forms, contact RCH@railinc.com.

For more information, see the Railroad Clearinghouse page on Railinc.com at https://public.railinc.com/products-services/railroad-clearinghouse or contact Railinc's Customer Success Center at csc@railinc.com or (877) 724-5462 and ask for RCH.

B. Annual STB Carload Waybill Sample

Railinc processes the Annual Carload Waybill Sample under contract to the FRA and the STB. The STB requires participation in the Carload Waybill Sample by any railroad that performs its own waybilling and has terminated at least 4,500 carloads or five percent of the traffic in one state during any one of the preceding three years. Although new carriers beginning operations have no traffic history, the STB uses the number of carloads terminated on the property under the previous owner during the last calendar year of operations. Railroads that do not perform their own waybilling are not required to report a Sample.

The importance of the Waybill Sample cannot be overstated, as it is used annually to calculate STB's productivity adjustment for the Rail Cost Adjustment Factor (RCAF). For this and other reasons, the inclusion of all eligible railroads and the accuracy of their data are of significant importance to the participating railroads, the STB and the AAR.

If your railroad meets the STB's reporting criteria, your waybill sample should be submitted on a monthly or quarterly basis. The frequency of waybill sample submission is based upon the

number of sampled waybills to be submitted each year. Railroads that expect to submit fewer than 1,000 waybills per year should indicate that quarterly samples would be submitted.

The samples must be provided to Railinc's Business Services Division within 30 days following the end of the accounting period, according to the timetable in Exhibit 4.

Exhibit 4. Timetable for Waybill Samples

More Than 1,000		Fewer Than 1,000	
Accounting Period	**Monthly Date Due**	**Accounting Period**	**Monthly Date Due**
January	February 28/29	First Quarter	April 30
February	March 31	Second Quarter	July 31
March	April 30	Third Quarter	October 31
April	May 31	Fourth Quarter	January 31
May	June 30		
June	July 31		
July	August 31		
August	September 30		
September	October 31		
October	November 30		
November	December 31		
December	January 31		

All railroads are required to furnish the STB with information necessary to determine their waybill reporting obligations. Completing the Waybill Sample Reporting Questionnaire fulfills these requirements.

For information regarding the Annual Carload Waybill Sample, contact Railinc's Customer Success Center at csc@railinc.com or (877) 724-5462 and ask for Waybills.

XII. RAILINC ENTERPRISE SERVICES

Enterprise Services consists of applications that gather information about our customers to be used by our products and services. These include:

- FindUs.Rail
- Letters of Authorization (LOA)
- Single Sign-On (SSO)
- Customer Success Center (CSC)

A. FindUs.Rail

FindUs.Rail is a web-based centralized database that enables users to review and manage their company's contact information helping railroad departments, private car owners and leasing companies stay connected. FindUs.Rail users can query contacts and agency relationships for industry functions and roles. Several Railinc applications use the information from FindUs.Rail to send email notifications and display customer contacts. Entering company contact information into FindUs.Rail is mandated by AAR Interchange Rule 114.

With FindUs.Rail, contacts are organized under various categories, each managed by Company Administrators. Administrators can add, update and delete contacts for the categories they manage. Users are able to query contacts, agency relationships for a category and the MARK parent relationship. The Railinc Application Administrator is responsible for adding and removing categories.

For information, see the FindUs.Rail web page at https://public.railinc.com/products-services/findusrail or contact Railinc's Customer Success Center at csc@railinc.com or (877) 724-5462 and ask for FindUs.Rail.

B. Letter of Authorization (LOA)

A Letter of Authorization (LOA) grants permission to an organization to receive another company's confidential data. In accordance with Railinc's data access policy, these authorizations are necessary to ensure confidentiality and to meet specific regulatory requirements of the rail industry.

Railinc's LOA application makes it easier for companies that need access to another company's data to:

- Submit LOAs for approval
- Manage LOAs already submitted and implemented
- Update, renew or revoke LOAs on file

Railinc Letter of Authorization Policy—Railinc's LOA policy prevents data disclosures that are unauthorized or that are inconsistent with applicable legal requirements. The policy requires companies to grant data access to:

- Submit an LOA with an effective term of 3 years or less

- Submit a new LOA before an existing LOA expires to ensure uninterrupted data flow
- Affirm the validity of LOAs each year or face a cessation of data

Access LOA Application Through Railinc Single Sign-On--You must have a Railinc Single Sign-On (SSO) account to access the LOA application. If you need additional information on creating a Railinc SSO account, please view our Quick Guide for Accessing SSO.

For information, see the LOA page on Railinc.com at https://public.railinc.com/products-services/letter-of-authorization or contact Railinc's Customer Success Center at csc@railinc.com or (877) 724-5462 and ask for LOA.

C. Single Sign-On (SSO)

The Single Sign-On (SSO) system provides a common user registration process and a central repository for customer information, authentication, and authorization solutions for most Railinc web applications. Each customer employs a single user ID and password to access most web applications.

When logging into SSO you will be taken to the Launch Pad, a dashboard-like interface that allows users to access their applications. From the Launch Pad, users can also make inquiries, report issues, and view both open and closed cases.

For information about SSO, contact Railinc's Customer Success Center at csc@railinc.com or (877) 724-5462 and ask about SSO.

D. Railinc Customer Success Center

Railinc's Customer Success Center (CSC) is the first point of contact for our customers. To assist customers, CSC representatives may ask for the following information: mailbox, mark, user ID, type of message, car number and initial, control number, and/or purchase order number.

Note: All of these items may not be needed depending on the type of research or service request.

The Customer Success Center can also assist customers in the following areas:

- Researching and retransmitting lost messages/data
- Verifying that systems in question are operational
- Resetting passwords
- Assisting with Data Exchange Systems
- Answering connectivity questions
- Handling FTP communication problems
- Establishing network services
- Providing Railinc Publications

Railinc CSC operates 24/7 (twenty-four hours a day/seven days a week). The mission of the CSC is to provide supportive, personalized service for Railinc customers, including the rail industry.

To report problems, concerns, and/or other questions, contact the CSC at (877) 724-5462 or csc@railinc.com. You may also leave a voicemail with your name, telephone number, and brief description of the problem, and a CSC representative will return your call.

XIII. PUBLICATIONS

Numerous publications can be ordered to assist customers with their daily operations. These publications are valuable tools for problem solving or answering questions that may arise during startup. Depending on the publication, it may be ordered from AAR, Railinc, or MxV Rail.

For information about technology, freight claims, and damage prevention publications, contact Railinc at (877) 724-5462.

- For statistics, policy, and general information, contact AAR at (202) 639-2100 or email publications@aar.com.
- For research projects, safety and operating rules, mechanical standards and hazardous materials transportation, contact MxV Rail at (877) 999-8824.

Publications that have been referenced in this document are listed below and may be obtained by contacting the Railinc Customer Success Center at csc@railinc.com or (877) 724-5462.

A. Railinc

11000 Weston Parkway, Suite 200
Cary, NC 27513
Main Phone: (919) 651-5000, FAX (919) 651-5405
Customer Success Center: (877) 724-5462
Email: csc@railinc.com
Website: www.railinc.com
Railinc publications: https://public.railinc.com/products-services/publications

- *AAR Railway Accounting Rules*
  - Railway Accounting Rules (Interline Settlement System Rules)
  - ISS Railroad Clearinghouse (RCH Settlement Regulations)
- *Automated Manifest Systems (AMS) Customs EDI Guidelines*
- *Car Repair Billing Procedures Manual*
- *Directory of Freight Accounting Offices and Overcharge Claims*
- *Directory of Hazardous Materials Shipping Descriptions*
- "Industry Reference Files (IRFs) EDI Guidelines"
- "Interline Service Management (ISM) EDI Guidelines"
- "Interline Settlement System User's Manual (EDI Guidelines)"
- "Intermodal Securement Video"
- *Official Railroad Station List (OPSL 6000-Series)"*
- "Public Use Waybill Data"
- "Rail EDI Guidelines" (version specific rail transaction sets)
- "Rate EDI Network Guidelines"
- *Standard Transportation Commodity Codes (Tariff STCC 6001-Series)*
- *User Guide for the Surface Transportation Board Waybill Sample*

B. MxV Rail

350 Keeler Parkway
Pueblo, CO 81001
Phone: (719) 584-0750
Fax: (719) 584-0711
Email: publications@aar.com
Website: https://www.mxvrail.com/

- *AAR TOFC/COFC Interchange Rules*
- *Field Manual of AAR Interchange Rules*
- *Office Manual of AAR Interchange Rules*
- *Manual of Standards and Recommended Practices*
- *SOP for Intermodal Securement*
- *Standard M-930-98, Closed VAN Containers for Domestic Intermodal Service*
- *Standard M-931-99, Trailers for Intermodal Service*

C. Association of American Railroads - AAR

425 Third St. SW, Suite 1000
Washington, DC 20024
Phone: (202) 639-2100
Email: publications@aar.com
AAR Website: www.aar.org
Publications: http://aarpublications.com

XIV. GLOSSARIES

A. Glossary of Acronyms

AAR	Association of American Railroads
ABT	Air Brake Test
AEI	Automatic Equipment Identification transponder
ASLRRA	American Short Line and Regional Railroad Association
BRC	Billing Repair Card
CAD	Car Assistance Directive
CHARM	Car Hire Accounting Rate Master
CHDX	Car Hire Data Exchange
CHRNSS	Car Hire Rate Negotiation Self-Service
CLM	Car Location Message
COFC	Container-On-Flat-Car
CQD	Car Quota Directive
CRB	Car Repair Billing
CRBX	Car Repair Billing Exchange
CRD	Car Relocation Directive
CSM	Centralized Station Master
DP&FC	Damage Prevention and Freight Claims Section
DP&LS	Damage Prevention and Loading Services
EAC	Equipment Availability Clearinghouse
EDI	Electronic Data Interchange
ETC	Equipment Type Code
FSAC	Freight Station Accounting Code
HazMat	Hazardous Materials (abbreviated reference)
ICC	Interstate Commerce Commission
IRF	Industry Reference File
ISS	Interline Settlement System
NetREDI	Internet Rail Electronic Data Interchange
NMFTA	National Motor Freight Traffic Association
NRMS	National Rate Management System
OPSL	*Official Railroad Station List* (formerly known as the "Open and Prepay_Station List")
PRDB	Price Data Base
RAIL-CARDS	RAIL Car Accounting Rate Distribution System
RAR	Railway Accounting Rules
RCAF	Rail Cost Adjustment Factor
RCH	Railroad Clearinghouse
R-EDI	Rail Electronic Data Interchange
REN	Rate EDI Network
SCAC	Standard Carrier Alpha Code
SCO	Special Car Order
SCRS	Serving Carrier Reciprocal Switch
SPLC	Standard Point Location Code
SSDX	Switching Settlements Data Exchange
STB	Surface Transportation Board
STCC	Standard Transportation Commodity Code
TOFC	Trailer-On-Flat-Car
TRAIN	Tele Rail Automated Information Network
UDSM	Umler Data Specification Manual
Umler	Umler System

B. Glossary of Terms

AAR Interchange Agreement—Contract under which subscribers agree to abide by the Code of Rules governing the equipment, condition, and repair of freight cars used in interchange service.

Adoption Notice—A legal document regulated by the STB, by which one railroad puts forth its granted authority to acquire track, stations, rates, etc., of another railroad.

Single Car Air Brake Test (ABT)—All freight cars and maintenance of way equipment must have air brake tests performed in accordance with AAR, Interchange Rule 3.

ASLRRA—The American Short Line and Regional Railroad Association represents its members in their relationships with major railroads and government. It monitors and analyzes legislative and regulatory initiatives, files comments on behalf of its members, testifies before Congressional committees and educates Congress and other government agencies on the unique role of small railroads. It also develops model programs for federally mandated procedures such as random alcohol and drug testing, engineer certification and environmental regulations.

Automatic Equipment Identification (AEI)—Radio frequency devices that contain the unit's initial and number and other pertinent information about a piece of tagged equipment, which is read by wayside readers.

Bid & Offer—The process by which rates, dates, and any other conditions related to car hire are negotiated between an equipment user and an equipment owner. (The mechanism for car hire rate negotiation.)

Car Assistance Directive—A directive issued by the AAR that restricts the reloading of a specific railroad's general service rail cars based on car service region as defined in *AAR Circular No. OT-10*.

Car Grade—For applicable box car and gondola freight cars as defined in AAR Interchange Rule 1, a car grade defines the physical interior condition or box car door condition upon inspection by railroad mechanical personnel. Car grading processes are referenced in *AAR Circular No. OT-10*, Car Service Rule 14 – Contaminating Commodities and *AAR Circular No. OT-34, Procedures for Inspecting and Reporting Equipment for the AAR Car Grade System*.

Car Hire Rules—A set of rules which govern the processes and procedures for payment for the use of railroad marked freight cars and appurtenances (auto-rack superstructures) by all common carrier railroads, except as provided in Appendix 'B' of the rules that are referenced in *AAR Circular No. OT-10*.

Car Service Directive—Standing directive(s) issued by the AAR that govern the assignment and use of specially equipped freight cars to specific shippers, commodity use, or general railroad agent locations. Car Service Directives are defined in *AAR Circular No. OT-10*.

Car Service Rules—A set of rules maintained by the AAR for the handling of railroad-marked freight cars moving in interline revenue service.

CHARM—Car Hire Accounting Rate Master is a file that contains all car hire rates currently in effect for each individual piece of equipment.

Circular OT-5 Series—A circular issued by the AAR that consists of rules governing the assignment of reporting marks and mechanical designations.

Default Rate—A rate applied to market rate equipment (deprescribed) in the absence of rate established by agreement of the owner and user.

Demurrage—A charge for the detention of a rail car beyond the time allowed for loading/unloading.

Deprescription—A U.S. Surface Transportation Board order creating a market-based system for Car Hire for railroad marked equipment to allow car owners and car users to negotiate car hire rates for car use.

Equipment Type Code—Alpha/numeric code used to designate a specific type of equipment and its attributes.

Negotiated Rate—A Car Hire Rate that is agreed upon between equipment owners and users.

NMFTA—National Motor Freight Traffic Association is an independent agency (empowered by the STB) that is responsible for the assignment of station SPLC numbers and SCACs/Marks.

Prescribed Rate Car—A railroad-marked car carrying a rate calculated per ICC formula.

Rail Cost Adjustment Factor (RCAF)—A factor based on the changes in the forecasted All-Inclusive Index by which railroads may virtually automatically raise their rates to recover inflationary cost increases. The procedures for determining the RCAF are set forth in STB Ex Parte No. 290 (Sub-No. 2) proceeding.

RAR 260 Code—Railway Accounting Rule 260 Code consists of 3 numeric digits and is assigned with all new railroad reporting marks as a reference code for accounting applications.

Reporting Mark—A Railroad SCAC or equipment mark that is stenciled on owners and lessee equipment.

SCAC—A Standard Carrier Alpha Code consists of 2-4 alpha characters used as company identifiers for railroads, as well as private companies.

Special Car Orders—Orders issued by the AAR governing use and handling of railroad-marked freight cars superseding AAR Car Service Rules – Freight.

STB—Surface Transportation Board is a U.S. government agency that approves all operating authority for new railroads.

TOFC/COFC Interchange Agreement—An AAR interchange agreement that addresses the condition of trailers and containers in interchange service for the safe interchange of this equipment.

TRAIN®—TeleRail Automated Information Network keeps track of the physical location of equipment. Railroads report location and status information to the TRAIN® System.

Umler® (formerly known as EMIS)—An electronic file for North American and international equipment used in North American rail service. It contains over 2 million units used in rail and over the road service. Data elements identify internal and external dimensions, all capacities and all weight information for freight cars, trailers and containers. It is used to identify the assignment of equipment, query and update equipment, and plan routes.

Umler Data Specification Manual (UDSM)—Manual containing all the appropriate formats and instructions for registering equipment in the Umler file.