Association of American Railroads
Safety and Operations • Business Services
425 Third Street, SW • Washington, D.C. 20024

CIRCULAR NO. OT-57

IN EFFECT AS OF FEBRUARY 1, 2020

RULES GOVERNING REGISTRATION OF PRIVATE CARS AND CONTROLLING ENTITY CONTACT & STORAGE INFORMATION

TO THE MEMBERS:

This circular provides guidance for the registration of private cars and access to controlling entity (shipper owner or lessee) contact information and storage information. In the event this circular conflicts with the provisions of Circular OT-5 series governing car registration, this circular controls. Except as provided below, this circular does not limit the applicability of railroad tariffs, publications, and policies.

Private freight cars shall be accepted into loaded revenue service and receive loading authority from all railroads if they have been registered in Umler with a status of "Pre-Registered" or "Active," have been assigned reporting marks, and have been registered in the Railinc Private Line Contact & Storage Registry. The following information must be provided by the controlling entity (shipper owner or lessee):

- The car initial and number.
- A primary contact name, phone number and e-mail address. This contact shall be able to provide disposition for the car in the event that disposition is needed by a railroad.
- A storage location name, Freight Station Accounting Code (FSAC), the associated Standard Carrier Alpha Code (SCAC) for the serving railroad and the consignee or care of party.

Notes:

- An optional secondary contact name, phone number and e-mail address may also be provided by the controlling entity. This contact shall be able to provide disposition for the car in the event that disposition is needed by a railroad. Additional contacts can be provided at the discretion of the controlling entity.
- A *shipper owner*, for the purpose of this circular, is any person or entity that is both (i) an owner and (ii) a shipper of said private railcars. A shipper owner does not include a railcar lessor.

This registry is intended to capture and make available to appropriate parties contact and storage information.

- Railroads may query the system for cars currently in their possession.
- Controlling entities may query the system for information on cars under their control.
- Car mark owners may query the system for information on cars with their reporting mark.

Upon provision of notice, as described below, railroads may pursue the option of sending a private car to its storage location if there is no empty billing instruction (reverse routing qualifies as an empty billing instruction) or if a receiver/loader is unwilling to accept or rejects a car. The notification requirements for exercising this option follow:

- Railroad will provide notice to the controlling entity that empty disposition is needed based on the contact information on file. (Day 0)
- The controlling entity will have two full business days to respond to the notice – (12:01 am following the day of notice). (Day 1 and Day 2)
- Railroad will repeat the notice the day following the original notice. (Day 1)
- Railroad will repeat the notice the day following the original notice. (Day 2)
- If the requested disposition is not received from the controlling entity, railroad will provide notice to the car mark owner that empty disposition is needed.
- The controlling entity and the car mark owner will have one business day to respond to the notice. (Day 3)

- If empty disposition is not received the railroad may issue a 24-hour final notice to the controlling entity and to the car mark owner that the car will be moved to the storage location on file. (Day 4)
- If empty disposition is not received within 24 hours of the final notice (not tied to a business day), the railroad may route the car to the storage location on file. (Day 5)
- If a car cannot be sent to or cannot be received at the storage location provided, railroad tariffs, publications and policies shall govern.

If the equipment is not active on a fleet, the notification requirements are as follows:

- Railroad will provide notice to the car mark owner that empty disposition is needed based on the contact information on file. (Day 0)
- The car mark owner will have three full business days to respond to the notice – (12:01 am following the day of notice). (Day 1 - Day 3)
- Railroad will repeat the notice the day following the original notice. (Day 1)
- Railroad will repeat the notice the day following the original notice. (Day 2)
- Railroad will repeat the notice the day following the original notice. (Day 3)
- If empty disposition is not received the railroad may issue a 24-hour final notice to the car mark owner that since the equipment is not on a fleet, there is no storage location on file for it to be moved to and thus, railroad tariffs, publications and policies shall govern. (Day 4)
- If empty disposition is not received within 24 hours of the final notice (not tied to a business day), railroad tariffs, publications and policies shall govern. (Day 5)

If the equipment is only on a suspended fleet, the notification requirements are as follows:

- Railroad will provide notice to the controlling entity and car mark owner that empty disposition is needed based on the contact information on file. (Day 0)
- The controlling entity and car mark owner will have three full business days to respond to the notice – (12:01 am following the day of notice). (Day 1 - Day 3)
- Railroad will repeat the notice the day following the original notice. (Day 1)
- Railroad will repeat the notice the day following the original notice. (Day 2)
- Railroad will repeat the notice the day following the original notice. (Day 3)
- If empty disposition is not received the railroad may issue a 24-hour final notice to the controlling entity and to the car mark owner that the car will be moved to the storage location on file. (Day 4)
- If empty disposition is not received within 24 hours of the final notice (not tied to a business day), the railroad may route the car to the storage location on file. (Day 5)
- If a car cannot be sent to or cannot be received at the storage location provided, railroad tariffs, publications and policies shall govern.

A railroad shall not unilaterally expand the provisions of this circular.

This circular does not supersede the safety and mechanical requirements for operating a railcar.

By direction of,

Nichole Fimple
AVP Business Services/Executive Dir. Rules and Standards
Association of American Railroads

Legal Disclaimer
Any actions taken in reliance on or pursuant to this Circular are subject to Railinc's Terms of Use, as set forth in https://public.railinc.com/terms-use, and all applicable AAR rules.

Illustration of Escalation Process when Empty Disposition is Needed

Active on a Fleet

Mon.	CE Notice Day 0				
Tues.	2nd Notice Day 1	CE Notice Day 0			
Wed.	3rd Notice Day 2	2nd Notice Day 1	CE Notice Day 0		
Thur.	CMO Notice Day 3	3rd Notice Day 2	2nd Notice Day 1	CE Notice Day 0	
Fri.	Final Notice Day 4	CMO Notice Day 3	3rd Notice Day 2	2nd Notice Day 1	CE Notice Day 0
Sat.	Move Car Day 5	Weekend	Weekend	Weekend	Weekend
Sun.		Weekend	Weekend	Weekend	Weekend
Mon.		Final Notice Day 4	CMO Notice Day 3	3rd Notice Day 2	2nd Notice Day 1
Tues.		Move Car Day 5	Final Notice Day 4	CMO Notice Day 3	3rd Notice Day 2
Wed.			Move Car Day 5	Final Notice Day 4	CMO Notice Day 3
Thur.				Move Car Day 5	Final Notice Day 4
Fri.					Move Car Day 5

Mon.	Holiday	
Tues.	CE Notice Day 0	CE Notice Day 0
Wed.	2nd Notice Day 1	2nd Notice Day 1
Thur.	3rd Notice Day 2	3rd Notice Day 2
Fri.	CMO Notice Day 3	Holiday
Sat.	Final Notice Day 4	Weekend
Sun.	Move Car Day 5	Weekend
Mon.		CMO Notice Day 3
Tues.		Final Notice Day 4
Wed.		Move Car Day 5
Thur.		
Fri.		

Not Active on a Fleet

Mon.	CMO Notice Day 0				
Tues.	2nd Notice Day 1	CMO Notice Day 0			
Wed.	3rd Notice Day 2	2nd Notice Day 1	CMO Notice Day 0		
Thur.	4th Notice Day 3	3rd Notice Day 2	2nd Notice Day 1	CMO Notice Day 0	
Fri.	Final Notice Day 4	4th Notice Day 3	3rd Notice Day 2	2nd Notice Day 1	CMO Notice Day 0
Sat.	Move Car Day 5	Weekend	Weekend	Weekend	Weekend
Sun.		Weekend	Weekend	Weekend	Weekend
Mon.		Final Notice Day 4	4th Notice Day 3	3rd Notice Day 2	2nd Notice Day 1
Tues.		Move Car Day 5	Final Notice Day 4	4th Notice Day 3	3rd Notice Day 2
Wed.			Move Car Day 5	Final Notice Day 4	4th Notice Day 3
Thur.				Move Car Day 5	Final Notice Day 4
Fri.					Move Car Day 5

Mon.	Holiday	
Tues.	CMO Notice Day 0	CMO Notice Day 0
Wed.	2nd Notice Day 1	2nd Notice Day 1
Thur.	3rd Notice Day 2	3rd Notice Day 2
Fri.	4th Notice Day 3	Holiday
Sat.	Final Notice Day 4	Weekend
Sun.	Move Car Day 5	Weekend
Mon.		4th Notice Day 3
Tues.		Final Notice Day 4
Wed.		Move Car Day 5
Thur.		
Fri.		

On a Suspended Fleet

Mon.	CMO & CE Notice Day 0				
Tues.	2nd Notice Day 1	CMO & CE Notice Day 0			
Wed.	3rd Notice Day 2	2nd Notice Day 1	CMO & CE Notice Day 0		
Thur.	4th Notice Day 3	3rd Notice Day 2	2nd Notice Day 1	CMO & CE Notice Day 0	
Fri.	Final Notice Day 4	4th Notice Day 3	3rd Notice Day 2	2nd Notice Day 1	CMO & CE Notice Day 0
Sat.	Move Car Day 5	Weekend	Weekend	Weekend	Weekend
Sun.		Weekend	Weekend	Weekend	Weekend
Mon.		Final Notice Day 4	4th Notice Day 3	3rd Notice Day 2	2nd Notice Day 1
Tues.		Move Car Day 5	Final Notice Day 4	4th Notice Day 3	3rd Notice Day 2
Wed.			Move Car Day 5	Final Notice Day 4	4th Notice Day 3
Thur.				Move Car Day 5	Final Notice Day 4
Fri.					Move Car Day 5

Mon.	Holiday	
Tues.	CMO & CE Notice Day 0	CMO & CE Notice Day 0
Wed.	2nd Notice Day 1	2nd Notice Day 1
Thur.	3rd Notice Day 2	3rd Notice Day 2
Fri.	4th Notice Day 3	Holiday
Sat.	Final Notice Day 4	Weekend
Sun.	Move Car Day 5	Weekend
Mon.		4th Notice Day 3
Tues.		Final Notice Day 4
Wed.		Move Car Day 5
Thur.		
Fri.		

CE: Controlling Entity
CMO: Car Mark Owner

Holidays Include:

New Year's Day
Good Friday
Christmas Eve
Christmas Day