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| Report Date | Agency Reviewed / Investigated                   | Title  | Type                      | Location    |
|-------------|--|--|---------------------------|-------------|
| 05/24/2013  | Amtrak (National Railroad Passenger Corporation) | Semiannual Report to Congress #47  | Semiannual Report         | Agency-Wide |
| 11/25/2013  | Amtrak (National Railroad Passenger Corporation) | Semiannual Report to Congress #48  | Semiannual Report         | Agency-Wide |
| 05/27/2014  | Amtrak (National Railroad Passenger Corporation) | Semiannual Report to Congress #49  | Semiannual Report         | Agency-Wide |
| 11/19/2014  | Amtrak (National Railroad Passenger Corporation) | Semiannual Report to Congress #50  | Semiannual Report         | Agency-Wide |
| 05/26/2015  | Amtrak (National Railroad Passenger Corporation) | Semiannual Report to Congress #51  | Semiannual Report         | Agency-Wide |
| 09/30/2015  | Amtrak (National Railroad Passenger Corporation) | Top Management and Performance Challenges--Fiscal Year 2016 and Beyond   | Top Management Challenges | Agency-Wide |
| 10/13/2015  | Amtrak (National Railroad Passenger Corporation) | THEFT OF COPPER CABLE  | Investigation             | IL, US      |
| 10/13/2015  | Amtrak (National Railroad Passenger Corporation) | UNQUALIFIED CONTRACTOR EMPLOYEE  | Investigation             | CT, US      |
| 10/16/2015  | Amtrak (National Railroad Passenger Corporation) | Asset Management: Observations on Vehicle Fleet Management   | Audit                     | Agency-Wide |
| 11/12/2015  | Amtrak (National Railroad Passenger Corporation) | Semiannual Report to Congress #52  | Semiannual Report         | Agency-Wide |
| 11/24/2015  | Amtrak (National Railroad Passenger Corporation) | FRAUD AND FORGERY  | Investigation             | IL, US      |
| 12/16/2015  | Amtrak (National Railroad Passenger Corporation) | Governance: Alignment with Best Practices Could Improve Project Management Office Implementation                                     | Audit                     | Agency-Wide |
| 01/06/2016  | Amtrak (National Railroad Passenger Corporation) | TIME & ATTENDANCE FRAUD  | Investigation             | MA, US      |
| 01/06/2016  | Amtrak (National Railroad Passenger Corporation) | LARCENY  | Investigation             | CT, US      |
| 02/01/2016  | Amtrak (National Railroad Passenger Corporation) | Asset Management: Additional Actions Can Help Reduce Significant Risks Associated with Long-Distance Passenger Car Procurement       | Audit                     | Agency-Wide |
| 02/04/2016  | Amtrak (National Railroad Passenger Corporation) | Governance: Quality Control Review of the Independent Audit of Amtrak's Consolidated Financial Statements for Fiscal Year Ended 2014 | Audit                     | Agency-Wide |
| 02/19/2016  | Amtrak (National Railroad Passenger Corporation) | Asset Management: Observations on New Jersey High-Speed Rail Improvement Program (NJ HSRIP) Vehicle Management                       | Audit                     | Agency-Wide |
| 02/23/2016  | Amtrak (National Railroad Passenger Corporation) | FUEL CARD FRAUD  | Investigation             | DE, US      |
| 04/08/2016  | Amtrak (National Railroad Passenger Corporation) | EMPLOYEE THEFT   | Investigation             | IL, US      |
| 04/08/2016  | Amtrak (National Railroad Passenger Corporation) | VIOLATION OF AMTRAK LEAVE POLICY   | Investigation             | DC, US      |
| 04/08/2016  | Amtrak (National Railroad Passenger Corporation) | VIOLATION OF AMTRAK POLICY   | Investigation             | DC, US      |
| 04/08/2016  | Amtrak (National Railroad Passenger Corporation) | COMPUTER MISUSE  | Investigation             | DC, US      |
| 04/08/2016  | Amtrak (National Railroad Passenger Corporation) | STAGED CAR COLLISION IN TRAIN ACCIDENT   | Investigation             | SC, US      |
| 04/14/2016  | Amtrak (National Railroad Passenger Corporation) | FAILURE TO DISCLOSE VIOLENT CRIMINAL HISTORY   | Investigation             | WA, US      |
| 04/15/2016  | Amtrak (National Railroad Passenger Corporation) | COMPUTER MISUSE (2)  | Investigation             | DC, US      |
| 05/18/2016  | Amtrak (National Railroad Passenger Corporation) | Governance: Quality Control Review of Amtrak's Single Audit for Fiscal Year 2014   | Audit                     | Agency-Wide |

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| 05/19/2016  | Amtrak (National Railroad Passenger Corporation) | Semiannual Report to Congress #53   | Semiannual Report | Agency-Wide |
| 05/20/2016  | Amtrak (National Railroad Passenger Corporation) | RELOCATION EXPENSE FRAUD  | Investigation     | IL, US      |
| 06/18/2016  | Amtrak (National Railroad Passenger Corporation) | Acquisition and Procurement: Adequate Competition for Most Contracts Awarded Under Americans with Disabilities Act Program but Procurement Policies Could be Improved | Audit             | Agency-Wide |
| 07/15/2016  | Amtrak (National Railroad Passenger Corporation) | Governance: Controls to Avoid Duplicate Medical Payments of Agreement Employees Appear Generally Effective, but Some Payment Errors Still Occur                       | Audit             | Agency-Wide |
| 08/09/2016  | Amtrak (National Railroad Passenger Corporation) | Information Technology: Progress Made Installing Video Surveillance Systems, But Coverage and Performance Could Be Improved   | Audit             | Agency-Wide |
| 09/07/2016  | Amtrak (National Railroad Passenger Corporation) | Train Operations: Adopting Leading Practices Could Improve Passenger Boarding Experience  | Audit             | Agency-Wide |
| 09/20/2016  | Amtrak (National Railroad Passenger Corporation) | COMPUTER MISUSE: VIEWING SEXUALLY EXPLICIT MATERIAL   | Investigation     | DC, US      |
| 09/21/2016  | Amtrak (National Railroad Passenger Corporation) | EMPLOYEE THEFT (2)  | Investigation     | IL, US      |
| 09/21/2016  | Amtrak (National Railroad Passenger Corporation) | VIOLATION OF AMTRAK POLICIES  | Investigation     | MI, US      |
| 09/29/2016  | Amtrak (National Railroad Passenger Corporation) | VIOLATION OF AMTRAK POLICY (2)  | Investigation     | CA, US      |
| 09/29/2016  | Amtrak (National Railroad Passenger Corporation) | Governance: Quality Control Review of the Independent Audit of Amtrak's Consolidated Financial Statements for Fiscal Year Ended 2015                                  | Audit             | Agency-Wide |
| 09/30/2016  | Amtrak (National Railroad Passenger Corporation) | Acquisition and Procurement: Opportunities Exist to Improve Management of Technical Support Services Contracts  | Audit             | Agency-Wide |
| 10/06/2016  | Amtrak (National Railroad Passenger Corporation) | Safety and Security: Progress Made in Implementing Positive Train Control, but Additional Actions Needed to Ensure Timely Completion of Remaining Tasks               | Audit             | Agency-Wide |
| 10/13/2016  | Amtrak (National Railroad Passenger Corporation) | VIOLATION OF CORPORATE POLICY BY YARD ENGINEER  | Investigation     | NY, US      |
| 10/21/2016  | Amtrak (National Railroad Passenger Corporation) | FALSIFICATION OF RECORDS  | Investigation     | IL, US      |
| 10/21/2016  | Amtrak (National Railroad Passenger Corporation) | FORGERY   | Investigation     | IN, US      |
| 10/21/2016  | Amtrak (National Railroad Passenger Corporation) | FUEL CARD MISUSE (2)  | Investigation     | MD, US      |
| 10/21/2016  | Amtrak (National Railroad Passenger Corporation) | PORNOGRAPHY   | Investigation     | PA, US      |
| 10/21/2016  | Amtrak (National Railroad Passenger Corporation) | VIOLATION OF AMTRAK OPERATING RULES   | Investigation     | MI, US      |
| 10/21/2016  | Amtrak (National Railroad Passenger Corporation) | THEFT OF AMTRAK PROPERTY (2)  | Investigation     | IL, US      |
| 11/22/2016  | Amtrak (National Railroad Passenger Corporation) | Semiannual Report to Congress #54   | Semiannual Report | Agency-Wide |
| 11/29/2016  | Amtrak (National Railroad Passenger Corporation) | VIOLATION OF AMTRAK ETHICS POLICY   | Investigation     | DE, US      |
| 12/06/2016  | Amtrak (National Railroad Passenger Corporation) | VIOLATION OF CORPORATE POLICY BY AMTRAK MANAGER   | Investigation     | DC, US      |
| 12/09/2016  | Amtrak (National Railroad Passenger Corporation) | FUEL CARD MISUSE (3)  | Investigation     | MD, US      |

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|-------------|--|---|---------------------------|-------------|
| 12/09/2016  | Amtrak (National Railroad Passenger Corporation) | THEFT OF AMTRAK PROPERTY  | Investigation             | IL, US      |
| 12/14/2016  | Amtrak (National Railroad Passenger Corporation) | Acquisition and Procurement: Adopting Additional Leading Practices to Manage the Baltimore Penn Station Redevelopment Could Help Mitigate Project Risks | Audit                     | Agency-Wide |
| 12/21/2016  | Amtrak (National Railroad Passenger Corporation) | CONTRACTOR BACKGROUND CHECKS  | Investigation             | CA, US      |
| 12/22/2016  | Amtrak (National Railroad Passenger Corporation) | RULES AND SIGNALS TESTS   | Investigation             | PA, US      |
| 01/09/2017  | Amtrak (National Railroad Passenger Corporation) | VIOLATION OF AMTRAK STANDARDS OF EXCELLENCE   | Investigation             | IL, US      |
| 01/09/2017  | Amtrak (National Railroad Passenger Corporation) | UNAUTHORIZED LEAVE OF ABSENCE/FORGERY   | Investigation             | IL, US      |
| 01/10/2017  | Amtrak (National Railroad Passenger Corporation) | Governance: Quality Control Review of Amtrak's Single Audit for Fiscal Year 2015  | Audit                     | Agency-Wide |
| 01/13/2017  | Amtrak (National Railroad Passenger Corporation) | TWO EMPLOYEES TERMINATED AND EIGHT OTHERS SUSPENDED FOR VIOLATIONS OF AMTRAK POLICIES   | Investigation             | MI, US      |
| 01/17/2017  | Amtrak (National Railroad Passenger Corporation) | Governance: Addressing Remaining Shortcomings Would Lead to a Budget Development Process More Fully Aligned with Leading Practices                      | Audit                     | Agency-Wide |
| 02/03/2017  | Amtrak (National Railroad Passenger Corporation) | Acquisition and Procurement: Improved Management and Oversight of GE Diesel Locomotive Service Contract Could Lead to Savings                           | Audit                     | Agency-Wide |
| 02/07/2017  | Amtrak (National Railroad Passenger Corporation) | FUEL CARD MISUSE  | Investigation             | CT, US      |
| 02/22/2017  | Amtrak (National Railroad Passenger Corporation) | Acquisition and Procurement: Master Services Agreements Are Not Strategically Managed, and Award and Oversight Processes Can Be Improved                | Audit                     | Agency-Wide |
| 03/02/2017  | Amtrak (National Railroad Passenger Corporation) | Train Operations: On-Time Performance Reporting Generally Accurate; Additional Actions Could Enhance Delay Reporting                                    | Audit                     | Agency-Wide |
| 03/03/2017  | Amtrak (National Railroad Passenger Corporation) | CONFLICT OF INTEREST  | Investigation             | DC, US      |
| 03/27/2017  | Amtrak (National Railroad Passenger Corporation) | VIOLATION OF AMTRAK EMPLOYEE RAIL PASS  | Investigation             | PA, US      |
| 03/27/2017  | Amtrak (National Railroad Passenger Corporation) | Governance: Quality Control Review of the Independent Audit of Amtrak's Consolidated Financial Statements for Fiscal Year Ended 2016                    | Audit                     | Agency-Wide |
| 03/29/2017  | Amtrak (National Railroad Passenger Corporation) | Top Management and Performance Challenges - Fiscal Years 2017 and 2018  | Top Management Challenges | Agency-Wide |
| 03/30/2017  | Amtrak (National Railroad Passenger Corporation) | CONFLICT OF INTEREST (2)  | Investigation             | NY, US      |
| 04/07/2017  | Amtrak (National Railroad Passenger Corporation) | VIOLATION OF THE SEX OFFENDER REGISTRATION ACT  | Investigation             | IL, US      |
| 04/07/2017  | Amtrak (National Railroad Passenger Corporation) | FALSIFICATION OF SAFETY-RELATED DOCUMENTS, OBSTRUCTION AND RETALIATION  | Investigation             | IL, US      |
| 04/07/2017  | Amtrak (National Railroad Passenger Corporation) | THEFT AND MISUSE OF COMPANY RESOURCES   | Investigation             | MI, US      |
| 05/11/2017  | Amtrak (National Railroad Passenger Corporation) | FALSIFICATION OF SAFETY-RELATED DOCUMENTS   | Investigation             | IL, US      |
| 05/16/2017  | Amtrak (National Railroad Passenger Corporation) | Semiannual Report to Congress #55   | Semiannual Report         | Agency-Wide |
| 05/17/2017  | Amtrak (National Railroad Passenger Corporation) | VIOLATION OF COMPANY POLICIES   | Investigation             | IL, US      |
| 05/17/2017  | Amtrak (National Railroad Passenger Corporation) | THEFT OF COMPANY PROPERTY   | Investigation             | IL, US      |

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| 05/19/2017  | Amtrak (National Railroad Passenger Corporation) | VIOLATION OF COMPANY POLICY   | Investigation     | MA, US      |
| 06/05/2017  | Amtrak (National Railroad Passenger Corporation) | TIME AND ATTENDANCE FRAUD   | Investigation     | NY, US      |
| 06/08/2017  | Amtrak (National Railroad Passenger Corporation) | TIME AND ATTENDANCE FRAUD (2)   | Investigation     | NJ, US      |
| 06/15/2017  | Amtrak (National Railroad Passenger Corporation) | Governance: Opportunities Exist to Strengthen Controls to Ensure that Utility Accounts Are Deactivated After Real Estate Transactions | Audit             | Agency-Wide |
| 06/19/2017  | Amtrak (National Railroad Passenger Corporation) | Information Technology: Operations Foundation Program—Restructuring Could Help Control Costs and Limit Risks                          | Audit             | Agency-Wide |
| 06/21/2017  | Amtrak (National Railroad Passenger Corporation) | MANAGEMENT RESTATEMENT OF POLICY  | Investigation     | IL, US      |
| 06/22/2017  | Amtrak (National Railroad Passenger Corporation) | VIOLATION OF AMTRAK EMPLOYEE RAIL PASS (2)  | Investigation     | NJ, US      |
| 06/26/2017  | Amtrak (National Railroad Passenger Corporation) | Governance: Better Adherence to Leading Practices for Ethics Programs Could Reduce Company Risks                                      | Audit             | Agency-Wide |
| 06/27/2017  | Amtrak (National Railroad Passenger Corporation) | TERMINATION FOR FAILURE TO DISCLOSE CRIMINAL HISTORY  | Investigation     | NC, US      |
| 07/17/2017  | Amtrak (National Railroad Passenger Corporation) | GUILTY PLEA - POSSESSION WITH INTENT TO DISTRIBUTE COCAINE  | Investigation     | IL, US      |
| 07/17/2017  | Amtrak (National Railroad Passenger Corporation) | VIOLATION OF COMPANY POLICIES - THEFT   | Investigation     | IN, US      |
| 07/27/2017  | Amtrak (National Railroad Passenger Corporation) | TERMINATION FOR FAILURE TO DISCLOSE CRIMINAL HISTORY  | Investigation     | CA, US      |
| 08/01/2017  | Amtrak (National Railroad Passenger Corporation) | TIME AND ATTENDANCE FRAUD   | Investigation     | Agency-Wide |
| 08/09/2017  | Amtrak (National Railroad Passenger Corporation) | TERMINATION FOR FAILURE TO DISCLOSE CRIMINAL CONVICTIONS  | Investigation     | CA, US      |
| 08/14/2017  | Amtrak (National Railroad Passenger Corporation) | ACQUISITION AND PROCUREMENT: Improved Management of Diesel Fuel Program Could Lead to Cost Savings                                    | Audit             | Agency-Wide |
| 08/15/2017  | Amtrak (National Railroad Passenger Corporation) | Human Resources: Additional Actions Needed to Improve Controls on Incentive Awards  | Audit             | Agency-Wide |
| 08/17/2017  | Amtrak (National Railroad Passenger Corporation) | GOVERNANCE: Quality Control Review of Amtrak's Single Audit for Fiscal Year 2016  | Audit             | Agency-Wide |
| 10/10/2017  | Amtrak (National Railroad Passenger Corporation) | Employee Terminated for Violation of Policies   | Investigation     | FL, US      |
| 10/26/2017  | Amtrak (National Railroad Passenger Corporation) | INFORMATION TECHNOLOGY: Improving Security of Publicly Accessible Websites Could Help Limit Cyber Risk                                | Audit             | Agency-Wide |
| 10/26/2017  | Amtrak (National Railroad Passenger Corporation) | CONVICTION FOR THEFT OF AMTRAK PROPERTY   | Investigation     | IL, US      |
| 11/01/2017  | Amtrak (National Railroad Passenger Corporation) | Employee Sentenced for Distribution of Drugs  | Investigation     | PA, US      |
| 11/16/2017  | Amtrak (National Railroad Passenger Corporation) | Train Operations: The Acela Express 2021 Program Faces Oversight Weaknesses and Schedule Risks  | Audit             | Agency-Wide |
| 11/27/2017  | Amtrak (National Railroad Passenger Corporation) | Semiannual Report to Congress #56 (April 1, 2017 to September 30, 2017)   | Semiannual Report | Agency-Wide |
| 01/01/2018  | Amtrak (National Railroad Passenger Corporation) | Violation of Ethical Conduct and Conflict of Interest Policy  | Investigation     | Agency-Wide |
| 01/18/2018  | Amtrak (National Railroad Passenger Corporation) | Former Employee Sentenced for Theft of Government Funds   | Investigation     | IN, US      |
| 01/30/2018  | Amtrak (National Railroad Passenger Corporation) | EMPLOYEE DISMISSED IN CORRUPTION CASE INVOLVING CONSTRUCTION SUPPLY VENDOR  | Investigation     | NJ, US      |

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| 02/14/2018  | Amtrak (National Railroad Passenger Corporation) | Employee Terminated for Failing to Properly Document and Secure Cash  | Investigation     | IL, US      |
| 02/22/2018  | Amtrak (National Railroad Passenger Corporation) | Acquisition and Procurement: Contracts Included Key Provisions to Reduce Risks, but the Company Lacks an Efficient and Effective Contract Management System | Audit             | Agency-Wide |
| 02/27/2018  | Amtrak (National Railroad Passenger Corporation) | Former Employee Sentenced for False Statements to Amtrak OIG Agents in Investigation of Contract Steering   | Investigation     | IL, US      |
| 02/28/2018  | Amtrak (National Railroad Passenger Corporation) | Four Employees Resign for Theft of Cash   | Investigation     | CA, US      |
| 03/12/2018  | Amtrak (National Railroad Passenger Corporation) | Governance: Quality Control Review of the Independent Audit of Amtrak's Consolidated Financial Statements for Fiscal Year Ended 2017                        | Audit             | Agency-Wide |
| 03/14/2018  | Amtrak (National Railroad Passenger Corporation) | GOVERNANCE: Opportunities to Improve Controls over Medical Claim Payments   | Audit             | Agency-Wide |
| 03/20/2018  | Amtrak (National Railroad Passenger Corporation) | Employees Terminated for Unauthorized Release of Passenger Information  | Investigation     | Agency-Wide |
| 03/26/2018  | Amtrak (National Railroad Passenger Corporation) | Employee Terminated From Employment for Theft of Amtrak Property  | Investigation     | IL, US      |
| 03/26/2018  | Amtrak (National Railroad Passenger Corporation) | Employees Terminated, Suspended After Violating Company Policies  | Investigation     | NJ, US      |
| 03/27/2018  | Amtrak (National Railroad Passenger Corporation) | Employee Suspended for Inappropriate Social Media Post  | Investigation     | MD, US      |
| 03/27/2018  | Amtrak (National Railroad Passenger Corporation) | Yard Engineer Resigns After Failing to Report Criminal History  | Investigation     | DC, US      |
| 04/05/2018  | Amtrak (National Railroad Passenger Corporation) | Employee Resigns for Theft of Cash  | Investigation     | CA, US      |
| 04/16/2018  | Amtrak (National Railroad Passenger Corporation) | Train Operations: Opportunities to Reduce the Cost of Rebuilding and Manufacturing Components at Maintenance Facilities                                     | Audit             | Agency-Wide |
| 04/19/2018  | Amtrak (National Railroad Passenger Corporation) | Amtrak Contracting Officer Pleads Guilty in \$7.6M Bribery Scheme   | Investigation     | PA, US      |
| 04/24/2018  | Amtrak (National Railroad Passenger Corporation) | Safety and Security: Longstanding Physical Security Vulnerabilities in Philadelphia Pose Risks  | Audit             | Agency-Wide |
| 04/25/2018  | Amtrak (National Railroad Passenger Corporation) | Three Employees Terminated For Using Improperly Obtained Parking Passes   | Investigation     | IL, US      |
| 05/01/2018  | Amtrak (National Railroad Passenger Corporation) | Report of Potential Conflict of Interest in Partnership Agreement   | Investigation     | Agency-Wide |
| 05/01/2018  | Amtrak (National Railroad Passenger Corporation) | Semiannual Report to Congress #57 (October 1, 2017 to March 31, 2018)   | Semiannual Report | Agency-Wide |
| 05/11/2018  | Amtrak (National Railroad Passenger Corporation) | Security Consulting Firm ABSG Consulting, Inc., Agrees to Pay \$650,000 to Resolve False Claims Action  | Investigation     | Agency-Wide |
| 05/24/2018  | Amtrak (National Railroad Passenger Corporation) | Supervisor Terminated for Time and Attendance Fraud   | Investigation     | NJ, US      |
| 06/13/2018  | Amtrak (National Railroad Passenger Corporation) | Employee Suspended for Violating Company Policy   | Investigation     | Agency-Wide |
| 06/18/2018  | Amtrak (National Railroad Passenger Corporation) | Employee Terminated for Failure to Report Drug Conviction   | Investigation     | PA, US      |
| 06/22/2018  | Amtrak (National Railroad Passenger Corporation) | Employee Terminated for Violation of Company Policy   | Investigation     | CA, US      |
| 07/24/2018  | Amtrak (National Railroad Passenger Corporation) | Asset Management: Better Schedules, Cost Estimates, and Project Management Could Help Mitigate Risks to Washington Union Station Projects                   | Audit             | Agency-Wide |
| 07/25/2018  | Amtrak (National Railroad Passenger Corporation) | Governance: Quality Control Review of Amtrak's Single Audit for Fiscal Year 2017  | Audit             | Agency-Wide |



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| 08/14/2018  | Amtrak (National Railroad Passenger Corporation) | One Employee Terminated, Another Resigned for Improper Acceptance of Gifts  | Investigation             | IL, US      |
| 08/29/2018  | Amtrak (National Railroad Passenger Corporation) | Employee Terminated for Theft of Company Funds  | Investigation             | IL, US      |
| 09/04/2018  | Amtrak (National Railroad Passenger Corporation) | Employee Prosecuted For Stealing Customer Credit Card Numbers   | Investigation             | PA, US      |
| 09/09/2018  | Amtrak (National Railroad Passenger Corporation) | Employee Counseled for Providing Written Endorsement of a Company Vendor  | Investigation             | IL, US      |
| 09/10/2018  | Amtrak (National Railroad Passenger Corporation) | Information Technology: Opportunities Exist to Improve the Company's Ability to Restore IT Services After a Disruption  | Audit                     | Agency-Wide |
| 09/28/2018  | Amtrak (National Railroad Passenger Corporation) | Top Management and Performance Challenges - Fiscal Years 2019 and 2020  | Top Management Challenges | Agency-Wide |
| 11/01/2018  | Amtrak (National Railroad Passenger Corporation) | Human Resources: Background Checks Process Has Improved, but Some Inefficiencies and Gaps Persist   | Audit                     | Agency-Wide |
| 11/07/2018  | Amtrak (National Railroad Passenger Corporation) | Employees Disciplined for Time Card Fraud   | Investigation             | MD, US      |
| 11/07/2018  | Amtrak (National Railroad Passenger Corporation) | Train Operations: Opportunities to Reduce the Cost of Servicing and Inspecting Trainsets  | Audit                     | Agency-Wide |
| 11/15/2018  | Amtrak (National Railroad Passenger Corporation) | Semiannual Report to Congress #58 (April 1, 2017 to September 30, 2018)   | Semiannual Report         | Agency-Wide |
| 12/04/2018  | Amtrak (National Railroad Passenger Corporation) | Employee Resigns After Admission to Theft From Employee Fund  | Investigation             | CA, US      |
| 12/20/2018  | Amtrak (National Railroad Passenger Corporation) | Employee Resigns When Questioned About Falsified Document   | Investigation             | NY, US      |
| 01/22/2019  | Amtrak (National Railroad Passenger Corporation) | Amtrak Contracting Officer Sentenced in \$7.6M Contract Steering Scheme   | Investigation             | Agency-Wide |
| 02/05/2019  | Amtrak (National Railroad Passenger Corporation) | Vendor's Employees Plead Guilty in \$7.6M Contract Steering Scheme  | Investigation             | DE, US      |
| 02/05/2019  | Amtrak (National Railroad Passenger Corporation) | Employees Disciplined For Passenger Travel Policy Violations  | Investigation             | Agency-Wide |
| 02/06/2019  | Amtrak (National Railroad Passenger Corporation) | Train Operations: Opportunities Exist to Improve Private Railcar Management and Business Practices  | Audit                     | Agency-Wide |
| 02/06/2019  | Amtrak (National Railroad Passenger Corporation) | Employees Disciplined for Misuse of Amtrak Computers  | Investigation             | Agency-Wide |
| 02/09/2019  | Amtrak (National Railroad Passenger Corporation) | Employee Terminated for Violation of Company Policy and Amtrak Vendor Suspended   | Investigation             | CA, US      |
| 02/12/2019  | Amtrak (National Railroad Passenger Corporation) | Employees Resign After Pleading Guilty for Timekeeping Fraud  | Investigation             | DC, US      |
| 02/25/2019  | Amtrak (National Railroad Passenger Corporation) | Employee Terminated for Violation of Company Policies   | Investigation             | CA, US      |
| 02/25/2019  | Amtrak (National Railroad Passenger Corporation) | Former Employee Pleads Guilty for Stealing Ticket Funds   | Investigation             | CA, US      |
| 03/04/2019  | Amtrak (National Railroad Passenger Corporation) | Acquisition and Procurement: Weaknesses in Contract Oversight Pose Financial, Operational, and Legal Risks  | Audit                     | Agency-Wide |
| 03/13/2019  | Amtrak (National Railroad Passenger Corporation) | Safety and Security: Opportunities to Improve the Effectiveness of Controls for Detecting Drug- and Alcohol-Related Issues of Employees in Safety-Sensitive Positions | Audit                     | Agency-Wide |
| 03/15/2019  | Amtrak (National Railroad Passenger Corporation) | Employee Terminated for Sabotage, Receipt of Illegitimate Overtime Pay  | Investigation             | CA, US      |
| 03/29/2019  | Amtrak (National Railroad Passenger Corporation) | Real Property: Improving Management Processes Could Reduce Costs and Generate Additional Revenues   | Audit                     | Agency-Wide |

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| 05/02/2019  | Amtrak (National Railroad Passenger Corporation) | Governance: Quality Control Review of the Independent Audit of Amtrak's Consolidated Financial Statements for Fiscal Year Ended 2018   | Audit             |             |
| 05/13/2019  | Amtrak (National Railroad Passenger Corporation) | Semiannual Report to Congress #59 (October 1, 2018 to March 31, 2019)  | Semiannual Report | Agency-Wide |
| 05/17/2019  | Amtrak (National Railroad Passenger Corporation) | Former Employee Enters Into The Veteran's Treatment Court Program and Ordered to Pay Restitution for Theft of Funds                    | Investigation     | IL, US      |
| 05/23/2019  | Amtrak (National Railroad Passenger Corporation) | Employee Terminated for Violation of Company Policy  | Investigation     | IL, US      |
| 06/28/2019  | Amtrak (National Railroad Passenger Corporation) | Medical Services Provider Pleads Guilty to Health Care Fraud   | Investigation     | PA, US      |
| 06/28/2019  | Amtrak (National Railroad Passenger Corporation) | Employee Terminated for Violation of Company Policies  | Investigation     | CA, US      |
| 07/01/2019  | Amtrak (National Railroad Passenger Corporation) | Program Manager Terminated For Travel Pass Fraud   | Investigation     | DC, US      |
| 07/05/2019  | Amtrak (National Railroad Passenger Corporation) | Employee Resigns After Admission of Engaging in Outside Employment While on FMLA Leave   | Investigation     | IL, US      |
| 07/09/2019  | Amtrak (National Railroad Passenger Corporation) | Information Technology: Improving Cybersecurity and Resiliency of Train Control Systems Could Reduce Vulnerabilities                   | Audit             | Agency-Wide |
| 07/09/2019  | Amtrak (National Railroad Passenger Corporation) | Two Employees Terminated for Violation of Company Policy   | Investigation     | IL, US      |
| 07/10/2019  | Amtrak (National Railroad Passenger Corporation) | Electrician Resigns for Conducting Side Jobs During Amtrak Shifts  | Investigation     | RI, US      |
| 07/19/2019  | Amtrak (National Railroad Passenger Corporation) | Former Employee Sentenced for Distribution of Drugs  | Investigation     | PA, US      |
| 07/22/2019  | Amtrak (National Railroad Passenger Corporation) | Safety and Security: Physical Security Vulnerabilities at Washington Union Station and Ivy City Yard                                   | Audit             | Agency-Wide |
| 07/23/2019  | Amtrak (National Railroad Passenger Corporation) | Florida Residents Plead Guilty to Healthcare Fraud   | Investigation     | FL, US      |
| 07/25/2019  | Amtrak (National Railroad Passenger Corporation) | Asset Management: Improved Inventory Practices Could Help the Company Better Manage its Maintenance-of-Way and Rolling Stock Equipment | Audit             | Agency-Wide |
| 08/02/2019  | Amtrak (National Railroad Passenger Corporation) | GOVERNANCE: Quality Control Review of Amtrak's Single Audit for Fiscal Year 2018   | Audit             | Agency-Wide |
| 09/03/2019  | Amtrak (National Railroad Passenger Corporation) | Train Operations: Rightsizing Workforce and Using It More Flexibly Could Reduce Costs at Preventative Maintenance Facilities           | Audit             | Agency-Wide |
| 09/05/2019  | Amtrak (National Railroad Passenger Corporation) | Three Employees Terminated for Violation of Company Policies, Receiving Unauthorized Pay   | Investigation     | CA, US      |
| 09/26/2019  | Amtrak (National Railroad Passenger Corporation) | SCHEME TO DEFRAUD AMTRAK RESULTS IN GUILTY PLEA AND FORFEITURE   | Investigation     | MI, US      |
| 09/30/2019  | Amtrak (National Railroad Passenger Corporation) | Governance: Improving Controls Over the Use of Procurement Cards Could Better Ensure Compliance and Limit Potential Misuse             | Audit             | Agency-Wide |
| 10/06/2019  | Amtrak (National Railroad Passenger Corporation) | Former Road Mechanic Ineligible for Rehire After Engaging in Outside Work During Amtrak Shifts   | Investigation     | RI, US      |
| 10/10/2019  | Amtrak (National Railroad Passenger Corporation) | New York Resident Pleads Guilty in Amtrak Evoucher Scam  | Investigation     | NY, US      |
| 10/14/2019  | Amtrak (National Railroad Passenger Corporation) | Train Operations: Better Estimates Needed of the Financial Impacts of Poor On-Time Performance   | Audit             | Agency-Wide |
| 10/22/2019  | Amtrak (National Railroad Passenger Corporation) | Marketer Pleads Guilty in Illegal Kickback Scheme  | Investigation     | UT, US      |

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| Report Date | Agency Reviewed / Investigated                   | Title  | Type              | Location    |
|-------------|--|--|-------------------|-------------|
| 10/25/2019  | Amtrak (National Railroad Passenger Corporation) | GOVERNANCE: Better Management of Reimbursable Projects Could Help the Company Consider Benefits and Recover its Costs                | Audit             | Agency-Wide |
| 10/28/2019  | Amtrak (National Railroad Passenger Corporation) | Former Program Manager Convicted for Travel Pass Fraud   | Investigation     | DC, US      |
| 10/28/2019  | Amtrak (National Railroad Passenger Corporation) | EMPLOYEE TERMINATED FOR VIOLATION OF COMPANY POLICY  | Investigation     | LA, US      |
| 11/18/2019  | Amtrak (National Railroad Passenger Corporation) | Semiannual Report to Congress #60 (April 1, 2019 to September 30, 2019)  | Semiannual Report | Agency-Wide |
| 11/18/2019  | Amtrak (National Railroad Passenger Corporation) | SUPERVISOR RESIGNS AFTER INVESTIGATION DISCLOSES EMPLOYEE ABUSES AND THEFT OF PROPERTY   | Investigation     | Agency-Wide |
| 11/18/2019  | Amtrak (National Railroad Passenger Corporation) | NEW YORK RESIDENT PLEADS GUILTY IN AMTRAK EVOUCHER SCAM  | Investigation     | NY, US      |
| 11/20/2019  | Amtrak (National Railroad Passenger Corporation) | ALPHA PAINTING & CONSTRUCTION COMPANY SENTENCED IN MULTI-MILLION DOLLAR FRAUD SCHEME   | Investigation     | Agency-Wide |
| 12/04/2019  | Amtrak (National Railroad Passenger Corporation) | New York Resident Pleads Guilty to Falsifying Applicant's Pre-Employment Drug Test Results   | Investigation     | NY, US      |
| 12/10/2019  | Amtrak (National Railroad Passenger Corporation) | Governance: Stronger Controls Would Help Identify Fraudulent Medical Claims Sooner and Limit Losses                                  | Audit             | Agency-Wide |
| 12/11/2019  | Amtrak (National Railroad Passenger Corporation) | Employee Terminated for Providing False and Misleading Information Related to an Injury Claim  | Investigation     | MI, US      |
| 12/18/2019  | Amtrak (National Railroad Passenger Corporation) | Employee Terminated for Violation of Company Policy Related to Health Care Fraud Scheme  | Investigation     | CA, US      |
| 01/07/2020  | Amtrak (National Railroad Passenger Corporation) | Reservation Sales Agent Terminated for Submitting Falsified Medical Leave Documentation  | Investigation     | PA, US      |
| 01/16/2020  | Amtrak (National Railroad Passenger Corporation) | Three Employees Terminated, Two Resign for Violation of Company Policy Related to a Medical Fraud Scheme                             | Investigation     | IL, US      |
| 01/17/2020  | Amtrak (National Railroad Passenger Corporation) | Scheme to Defraud Amtrak Results in Guilty Plea  | Investigation     | IL, US      |
| 01/21/2020  | Amtrak (National Railroad Passenger Corporation) | Employee Terminated for Soliciting Money, Accepting Gifts from Contractor; Another Reprimanded for Misuse of Company Property        | Investigation     | CA, US      |
| 01/21/2020  | Amtrak (National Railroad Passenger Corporation) | Train Operations: Acela 21 Program Continues to Face Significant Risk of Delays, Warranting More Contingency Planning                | Audit             | Agency-Wide |
| 01/22/2020  | Amtrak (National Railroad Passenger Corporation) | Safety and Security: Addressing Security Weaknesses and Operational Impacts of Amtrak Express is Critical to the Program's Future    | Audit             | Agency-Wide |
| 01/23/2020  | Amtrak (National Railroad Passenger Corporation) | Employee Terminated for Failure to Report a Criminal Conviction  | Investigation     | CA, US      |
| 02/03/2020  | Amtrak (National Railroad Passenger Corporation) | Governance: Quality Control Review of the Independent Audit of Amtrak's Consolidated Financial Statements for Fiscal Year Ended 2019 | Audit             | Agency-Wide |
| 02/16/2020  | Amtrak (National Railroad Passenger Corporation) | Twenty-One Employees Counseled for Receipt of Differential Pay to Which They Were Not Entitled                                       | Investigation     | Agency-Wide |
| 02/20/2020  | Amtrak (National Railroad Passenger Corporation) | New York Resident Pleads Guilty in Amtrak Evoucher Scam  | Investigation     | NY, US      |
| 03/13/2020  | Amtrak (National Railroad Passenger Corporation) | Employee Sentenced to Three Years Probation, Ordered to Pay \$34,030 Restitution for Theft   | Investigation     | CA, US      |
| 03/16/2020  | Amtrak (National Railroad Passenger Corporation) | Computer Tech Uses Amtrak Resources and Company Time to Conduct Travel Agency Business   | Investigation     | DE, US      |
| 03/16/2020  | Amtrak (National Railroad Passenger Corporation) | Employee Terminated for Inappropriate Use of Leave   | Investigation     | IL, US      |
| 03/17/2020  | Amtrak (National Railroad Passenger Corporation) | Asset Management: More Effective Management of Vehicle Fleet Would Improve Safety and Reduce Costs                                   | Audit             | Agency-Wide |



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| Report Date | Agency Reviewed / Investigated                   | Title  | Type              | Location    |
|-------------|--|--|-------------------|-------------|
| 04/14/2020  | Amtrak (National Railroad Passenger Corporation) | Employee Resigns After Engaging in Outside Employment While on FMLA Leave  | Investigation     | IL, US      |
| 04/15/2020  | Amtrak (National Railroad Passenger Corporation) | Governance: Improved Procurement Practices Could Help Ensure Lowest Prices for Materials and Maximum Savings                                     | Audit             | Agency-Wide |
| 04/23/2020  | Amtrak (National Railroad Passenger Corporation) | Manager Counseled for Violating Company Policy   | Investigation     | Agency-Wide |
| 04/23/2020  | Amtrak (National Railroad Passenger Corporation) | Employee Terminated for Violating Conflict of Interest Policy  | Investigation     | DC, US      |
| 04/24/2020  | Amtrak (National Railroad Passenger Corporation) | Observations on Risks to the Acela 21 Information Technology Program Element   | Other             | Agency-Wide |
| 05/01/2020  | Amtrak (National Railroad Passenger Corporation) | Amtrak Officials Counseled for Inappropriate Use of Company Email  | Investigation     | DC, US      |
| 05/06/2020  | Amtrak (National Railroad Passenger Corporation) | Employee Retires After Disabling Dash Cam System in Company Assigned Vehicle   | Investigation     | Agency-Wide |
| 05/08/2020  | Amtrak (National Railroad Passenger Corporation) | Information Technology: Mobile Device Security Needs to Improve to Better Protect Company Data from Compromise                                   | Audit             | Agency-Wide |
| 05/11/2020  | Amtrak (National Railroad Passenger Corporation) | One Employee Terminated, One Resigns From the Company for Unauthorized Entry and Theft   | Investigation     | IN, US      |
| 05/19/2020  | Amtrak (National Railroad Passenger Corporation) | Employee Terminated for Failure to Report Arrests, Convictions and Inappropriate Use of Leave  | Investigation     | IN, US      |
| 05/22/2020  | Amtrak (National Railroad Passenger Corporation) | Assistant Passenger Conductor Fired for Using Stolen Identification to Gain Employment   | Investigation     | DC, US      |
| 05/27/2020  | Amtrak (National Railroad Passenger Corporation) | Semiannual Report to Congress #61 (October 1, 2019 to March 31, 2020)  | Semiannual Report | Agency-Wide |
| 06/02/2020  | Amtrak (National Railroad Passenger Corporation) | FORMER CONTRACTOR VIOLATED POLICY BY WRONGFULLY UPLOADING SENSITIVE AND PROPRIETARY COMPANY DATA   | Investigation     | Agency-Wide |
| 06/15/2020  | Amtrak (National Railroad Passenger Corporation) | Employee Terminated for Providing False Information on Employment Application and Being Dishonest with Investigators                             | Investigation     | MI, US      |
| 06/18/2020  | Amtrak (National Railroad Passenger Corporation) | Employee Terminated and Another Reprimanded for Misuse of Company Vehicle  | Investigation     | IL, US      |
| 06/18/2020  | Amtrak (National Railroad Passenger Corporation) | Machinist Resigns After Violating Company Policy on Pornography  | Investigation     | NY, US      |
| 06/18/2020  | Amtrak (National Railroad Passenger Corporation) | Employee Terminated for Failure to Report Arrests and Convictions  | Investigation     | LA, US      |
| 06/23/2020  | Amtrak (National Railroad Passenger Corporation) | Three Employees Terminated for Allowing a Doctor to Fraudulently Bill Amtrak's Health Plan   | Investigation     | CA, US      |
| 06/25/2020  | Amtrak (National Railroad Passenger Corporation) | Five Individuals Plead Guilty to Health Insurance Fraud Scheme, Sentenced to Prison, Ordered to Pay \$62,836 Restitution                         | Investigation     | CA, US      |
| 07/01/2020  | Amtrak (National Railroad Passenger Corporation) | Governance: Quality Control Review of Amtrak's Single Audit for Fiscal Year 2019   | Audit             | Agency-Wide |
| 07/01/2020  | Amtrak (National Railroad Passenger Corporation) | Safety and Security: Management of the Police Department Has Recently Improved, but Foundational Decisions Are Needed on its Role and Priorities | Audit             | Agency-Wide |
| 07/08/2020  | Amtrak (National Railroad Passenger Corporation) | Medical Services Provider Sentenced for Health Care Fraud  | Investigation     | PA, US      |
| 07/09/2020  | Amtrak (National Railroad Passenger Corporation) | Four Employees Terminated, One Retires For Participating a Medical Fraud Scheme  | Investigation     | IL, US      |
| 07/17/2020  | Amtrak (National Railroad Passenger Corporation) | Employee Pleads Guilty to Theft of Property, Sentenced to One Year Probation, Ordered to Pay \$56,297 Restitution                                | Investigation     | IN, US      |

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| Report Date | Agency Reviewed / Investigated                   | Title  | Type              | Location    |
|-------------|--|--|-------------------|-------------|
| 07/20/2020  | Amtrak (National Railroad Passenger Corporation) | Employee Terminated for Theft of Funds from Credit Cards of Amtrak Customers   | Investigation     | NV, US      |
| 08/05/2020  | Amtrak (National Railroad Passenger Corporation) | Governance: Observations on Amtrak's Use of CARES Act Funds  | Audit             | Agency-Wide |
| 08/17/2020  | Amtrak (National Railroad Passenger Corporation) | Governance: Early Planning and Oversight Deficiencies Led to Initial Program Failures and Continued Risks to the Moynihan Train Hall Program | Audit             | NY, US      |
| 08/31/2020  | Amtrak (National Railroad Passenger Corporation) | Doctor Sentenced to 27 Months in Prison in Health Care Insurance Fraud Scheme  | Investigation     | CA, US      |
| 09/09/2020  | Amtrak (National Railroad Passenger Corporation) | MARKETER PLEADS GUILTY TO ILLEGAL REMUNERATIONS RELATED TO HEALTH CARE FRAUD   | Investigation     | Agency-Wide |
| 09/09/2020  | Amtrak (National Railroad Passenger Corporation) | DOCTOR PLEADS GUILTY IN HEALTH CARE INSURANCE FRAUD SCHEME   | Investigation     | Agency-Wide |
| 09/14/2020  | Amtrak (National Railroad Passenger Corporation) | Governance: More Effective Planning and Coordination of Track Outages Would Help Achieve a State of Good Repair                              | Audit             | Agency-Wide |
| 09/15/2020  | Amtrak (National Railroad Passenger Corporation) | Employee Terminated for Engaging in Outside Employment While on Sick Leave and Leave for Union Business.                                     | Investigation     | IN, US      |
| 09/22/2020  | Amtrak (National Railroad Passenger Corporation) | Mechanical Inspector Resigns After Posting Offensive Images on Social Media  | Investigation     | IN, US      |
| 10/02/2020  | Amtrak (National Railroad Passenger Corporation) | Safety and Security: The Company Can Take Steps to Evaluate Its Current Safety Culture   | Audit             | Agency-Wide |
| 10/05/2020  | Amtrak (National Railroad Passenger Corporation) | Medical Marketer Sentenced to Two Years' Probation in Health Care Fraud Scheme   | Investigation     | CA, US      |
| 10/06/2020  | Amtrak (National Railroad Passenger Corporation) | Illinois Man Sentenced to 18 Months in Prison for Amtrak Ticket Fraud Scheme   | Investigation     | IL, US      |
| 10/14/2020  | Amtrak (National Railroad Passenger Corporation) | Employee Terminated for Violation of Company Policy Related to a Medical Fraud Scheme  | Investigation     | IL, US      |
| 10/26/2020  | Amtrak (National Railroad Passenger Corporation) | New York Resident Sentenced for Role in Falsified Pre-Employment Drug Test   | Investigation     | NY, US      |
| 10/27/2020  | Amtrak (National Railroad Passenger Corporation) | Safety and Security: Expanded Random Drug Testing Could Help Further Detect and Deter Prescription Opioid Misuse                             | Audit             | Agency-Wide |
| 10/28/2020  | Amtrak (National Railroad Passenger Corporation) | Employee Terminated for Violation of Company Policy for Leaving Work Post for Extended Periods of Time                                       | Investigation     | ND, US      |
| 11/03/2020  | Amtrak (National Railroad Passenger Corporation) | Employee Terminated for Stealing Customer Property from Lost and Found   | Investigation     | IL, US      |
| 11/03/2020  | Amtrak (National Railroad Passenger Corporation) | Employee Terminated for Failing to Report Arrest and Conviction While Employed by the Company  | Investigation     | IL, US      |
| 11/03/2020  | Amtrak (National Railroad Passenger Corporation) | Illinois Chiropractor Pleads Guilty to Health Care Fraud   | Investigation     | IL, US      |
| 11/10/2020  | Amtrak (National Railroad Passenger Corporation) | Employee Resigns from Company While Under Investigation  | Investigation     | IL, US      |
| 11/12/2020  | Amtrak (National Railroad Passenger Corporation) | New York Resident Sentenced in Amtrak Evoucher Scam  | Investigation     | NY, US      |
| 11/12/2020  | Amtrak (National Railroad Passenger Corporation) | Employee Terminated for Driving a Company-Owned Vehicle Without a Valid Driver's License   | Investigation     | WA, US      |
| 11/23/2020  | Amtrak (National Railroad Passenger Corporation) | Employee Terminated for Failing to Report Arrest, Convictions  | Investigation     | IL, US      |
| 11/23/2020  | Amtrak (National Railroad Passenger Corporation) | Semiannual Report to Congress #62 (April 1, 2020 to September 30, 2020)  | Semiannual Report | Agency-Wide |
| 12/02/2020  | Amtrak (National Railroad Passenger Corporation) | Employee Terminated for Engaging in Outside Employment While on a Medical Leave of Absence   | Investigation     | MI, US      |

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| Report Date | Agency Reviewed / Investigated                   | Title   | Type          | Location    |
|-------------|--|---|---------------|-------------|
| 12/03/2020  | Amtrak (National Railroad Passenger Corporation) | Employee Terminated for Engaging in Outside Employment During Work Hours  | Investigation | IL, US      |
| 12/07/2020  | Amtrak (National Railroad Passenger Corporation) | Employee Resigns Prior to Administrative Hearing, Another Suspended for Violating Company Policy  | Investigation | CA, US      |
| 12/11/2020  | Amtrak (National Railroad Passenger Corporation) | Two Senior Information Technology Employees Terminated for Contract Steering  | Investigation | Agency-Wide |
| 12/11/2020  | Amtrak (National Railroad Passenger Corporation) | Safety and Security: Amtrak Expects Positive Train Control will be Interoperable with Other Railroads but Could Better Measure System Reliability | Audit         | Agency-Wide |
| 12/12/2020  | Amtrak (National Railroad Passenger Corporation) | Lead Service Agent Resigns After Adding Unauthorized Tips to Passenger Credit Cards   | Investigation | NY, US      |
| 12/15/2020  | Amtrak (National Railroad Passenger Corporation) | Employee Resigns After Working at His Construction Business on Company Time   | Investigation | US          |
| 12/15/2020  | Amtrak (National Railroad Passenger Corporation) | Governance: Final Observations on Amtrak's Use of CARES Act Funds   | Audit         | Agency-Wide |
| 12/23/2020  | Amtrak (National Railroad Passenger Corporation) | Governance: Quality Control Review of the Independent Audit of Amtrak's Consolidated Financial Statements for Fiscal Year Ended 2020              | Audit         | Agency-Wide |
| 12/31/2020  | Amtrak (National Railroad Passenger Corporation) | Employee Resigns From Company Prior to Administrative Hearing   | Investigation | DC, US      |
| 01/09/2021  | Amtrak (National Railroad Passenger Corporation) | Employee Terminated for Failing to Report Criminal Convictions  | Investigation | IN, US      |
| 01/12/2021  | Amtrak (National Railroad Passenger Corporation) | Pennsylvania Man Pleads Guilty in Amtrak Ticket Fraud Scheme  | Investigation | PA, US      |
| 01/13/2021  | Amtrak (National Railroad Passenger Corporation) | Pharmacist and Plastic Surgeon Plead Guilty in Health Care Fraud Investigation  | Investigation | CA, US      |
| 01/21/2021  | Amtrak (National Railroad Passenger Corporation) | Two Employees Resign From Company for Engaging in Outside Employment While on FMLA Leave  | Investigation | Agency-Wide |
| 02/05/2021  | Amtrak (National Railroad Passenger Corporation) | Employee Terminated for Viewing Pornography on Company Equipment  | Investigation | US          |
| 02/18/2021  | Amtrak (National Railroad Passenger Corporation) | Employee Terminated for Fraudulently Claiming Pay When Not Working  | Investigation | NY, US      |
| 02/25/2021  | Amtrak (National Railroad Passenger Corporation) | Safety and Security: The Company Can More Effectively Use Injury Claims Data to Help Reduce Risks   | Audit         | Agency-Wide |
| 03/09/2021  | Amtrak (National Railroad Passenger Corporation) | Employee Terminated for Stealing Chainsaws, Chainsaw Parts  | Investigation | NJ, US      |
| 03/24/2021  | Amtrak (National Railroad Passenger Corporation) | Former Car Porter Pleads Guilty to Theft of Parking Passes  | Investigation | IL, US      |
| 03/29/2021  | Amtrak (National Railroad Passenger Corporation) | Pharmacist Sentenced to Six Months in Prison in Health Care Fraud Scheme  | Investigation | CA, US      |
| 03/30/2021  | Amtrak (National Railroad Passenger Corporation) | Employees Terminated for Accepting Gifts from Amtrak Contractor   | Investigation | US          |
| 04/08/2021  | Amtrak (National Railroad Passenger Corporation) | Safety and Security: The Company Has Made Significant Progress Implementing New Safety Program  | Audit         | Agency-Wide |
| 04/09/2021  | Amtrak (National Railroad Passenger Corporation) | Four Medical Marketers Plead Guilty to Aiding in the Preparation of a False Tax Return  | Investigation | CA, US      |
| 04/12/2021  | Amtrak (National Railroad Passenger Corporation) | Employee Resigns for Violation of Company Policy by Leaving Work Post Without Authorization   | Investigation | MO, US      |
| 04/23/2021  | Amtrak (National Railroad Passenger Corporation) | Pennsylvania Man Sentenced in Amtrak Ticket Fraud Scheme  | Investigation | IL, US      |
| 04/29/2021  | Amtrak (National Railroad Passenger Corporation) | Employee Terminated for Unapproved Absences Subsequent to his Arrest  | Investigation | DC, US      |
| 05/04/2021  | Amtrak (National Railroad Passenger Corporation) | Employee Issued Warning Letter for Inappropriate Social Media Posts   | Investigation | PA, US      |

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| Report Date | Agency Reviewed / Investigated                   | Title  | Type              | Location    |
|-------------|--|--|-------------------|-------------|
| 05/12/2021  | Amtrak (National Railroad Passenger Corporation) | Governance: Amtrak Continues to Demonstrate Good Stewardship of Pandemic Relief Funds                          | Audit             | Agency-Wide |
| 05/18/2021  | Amtrak (National Railroad Passenger Corporation) | Semiannual Report to Congress #63 (October 1, 2020 to March 31, 2021)  | Semiannual Report | Agency-Wide |
| 05/21/2021  | Amtrak (National Railroad Passenger Corporation) | Manager Terminated for Intimidating and Coercing Company Employees and Vendors                                 | Investigation     | PA, US      |
| 05/27/2021  | Amtrak (National Railroad Passenger Corporation) | Governance: Quality Control Review of Amtrak's Single Audit for Fiscal Year 2020                               | Audit             | Agency-Wide |
| 06/02/2021  | Amtrak (National Railroad Passenger Corporation) | New York Resident Sentenced in Amtrak Evoucher Scam  | Investigation     | NY, US      |
| 06/03/2021  | Amtrak (National Railroad Passenger Corporation) | Marketer Sentenced in Health Care Fraud Investigation  | Investigation     | UT, US      |
| 06/09/2021  | Amtrak (National Railroad Passenger Corporation) | Former Employee Pleads Guilty to Financial Institution Fraud   | Investigation     | IL, US      |
| 06/10/2021  | Amtrak (National Railroad Passenger Corporation) | Employee Terminated for Failure to Report Arrest and Convictions   | Investigation     | IL, US      |
| 06/14/2021  | Amtrak (National Railroad Passenger Corporation) | Medical Marketer Sentenced to 10 Months in Prison in Health Care Fraud Scheme                                  | Investigation     | CA, US      |
| 06/15/2021  | Amtrak (National Railroad Passenger Corporation) | Medical Marketer Sentenced to 5 years Probation in Health Care Fraud Scheme                                    | Investigation     | FL, US      |
| 06/17/2021  | Amtrak (National Railroad Passenger Corporation) | Former Assistant Conductor Pleads Guilty to Making a False Statement to Obtain Unemployment Benefits           | Investigation     | MA, US      |
| 06/18/2021  | Amtrak (National Railroad Passenger Corporation) | Employee Terminated for Failure to Report Conviction and Using Sick Leave While Incarcerated                   | Investigation     | IL, US      |
| 06/18/2021  | Amtrak (National Railroad Passenger Corporation) | General Foreman Terminated For Misuse of GSA Fuel Card   | Investigation     | US          |
| 07/07/2021  | Amtrak (National Railroad Passenger Corporation) | Former Lead Services Attendant Sentenced for Stalking  | Investigation     | NY, US      |
| 07/08/2021  | Amtrak (National Railroad Passenger Corporation) | Employee Terminated for Failure to Report an Arrest  | Investigation     | DE, US      |
| 07/12/2021  | Amtrak (National Railroad Passenger Corporation) | Electronic Technician Who Claimed Pay for Hours Not Worked Resigns From Company                                | Investigation     | MA, US      |
| 07/26/2021  | Amtrak (National Railroad Passenger Corporation) | Four Medical Marketers Sentenced in Health Care Fraud Scheme   | Investigation     | CA, US      |
| 08/02/2021  | Amtrak (National Railroad Passenger Corporation) | Medical Marketer Sentenced for Role in Health Care Fraud Scheme  | Investigation     | CA, US      |
| 08/05/2021  | Amtrak (National Railroad Passenger Corporation) | Employee Terminated for Failure to Report Convictions and Operating Company Vehicles Without a Drivers License | Investigation     | IL, US      |
| 08/17/2021  | Amtrak (National Railroad Passenger Corporation) | Three Defendants Plead Guilty in Healthcare Fraud Investigation  | Investigation     | FL, US      |
| 08/27/2021  | Amtrak (National Railroad Passenger Corporation) | Governance: Observations on the Company's Lost and Found Program   | Audit             | Agency-Wide |
| 08/30/2021  | Amtrak (National Railroad Passenger Corporation) | New York Resident Pleads Guilty in Amtrak Evoucher Scam  | Investigation     | NY, US      |
| 08/30/2021  | Amtrak (National Railroad Passenger Corporation) | Employee Terminated for Failure to Investigate Workplace Violence Incident                                     | Investigation     | IN, US      |
| 09/02/2021  | Amtrak (National Railroad Passenger Corporation) | Marketer Sentenced in Health Care Fraud Investigation  | Investigation     | CA, US      |
| 09/02/2021  | Amtrak (National Railroad Passenger Corporation) | Employee Terminated for Engaging in Outside Employment While on a Medical Leave of Absence                     | Investigation     | SC, US      |

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