



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

CIRCULAR No. OT-5-K

IN EFFECT AS OF JANUARY 1, 2009

RULES GOVERNING ASSIGNMENT OF REPORTING MARKS, MECHANICAL DESIGNATIONS, AND APPLICATION FOR THE USE OF PRIVATE EQUIPMENT

TO THE MEMBERS

I GENERAL PROVISIONS — APPLICABLE TO ALL EQUIPMENT

(a) Reporting marks will be assigned to the owner or lessee of rail equipment by the Assistant Vice President, Business Services for use on all railroad and private freight cars including tank cars, trailers and container equipment upon written application provided the applicant subscribes to the AAR Mechanical Interchange Rules as described in this Circular. All freight cars (railroad cars, private cars and tank cars) and railroad marked trailers and containers must be registered in the Universal Machine Language Equipment Register (Umler). Procedures for registration can be obtained by contacting CSC@railinc.com or in the Umler Data Specification Manual.

Prior to assignment of railroad trailer reporting marks the applicant must furnish evidence to the Assistant Vice President, Business Services confirming that:

- 1) A serviceable TOFC facility located on the applicant railroad is in existence.
- 2) The applicant railroad can accept trailers delivered on flat cars in rail interchange service.

(b) Reporting marks will be assigned on all railroad owned or controlled trailers and containers, provided the applicant subscribes to the AAR Interchange Rules for Trailer/Container-On-Flat-Car (TOFC/COFC) Service and the Code of Trailer and Container Service and Reporting Rules.

(c) All applications involving other than new cars must include certification by the buyer and/or seller on Form 88-C, of the Office Manual, AAR Mechanical Interchange Rules.

(d) Mechanical designations will be assigned to cars by the Safety and Operations Department, Association of American Railroads through registration of the car(s) in Umler.

(e) Freight cars must be assigned the mechanical designation that best describes the physical characteristics when placed in service as new, rebuilt, or other than new cars, or after modification. Mechanical designation cannot be changed unless there are physical changes to cars as a result of modification, or unless there is a change in the mechanical designation definition as published in the AAR Safety and Operations Department, Manual of Standards and Recommended Practices, that better describes the physical characteristics than, the mechanical designation originally assigned. Mechanical designations in the Umler file cannot be changed until the provisions of this rule are complied with to reflect the newly assigned mechanical designation.

If there is a question or dispute about the proper mechanical designation on the part of an owner or user, it should be directed to the Safety and Operations Department of the Association of American Railroads in Washington, DC, who will refer the question for decision to the Equipment Engineering Committee of the AAR Safety and Operations Department.

If the decision of the Equipment Engineering Committee is unsatisfactory to the owner or user that raised the issue, the matter may be appealed to the Technical Services Working Committee, AAR Safety and Operations Department.

(f) After reporting marks have been assigned, they may be used on any cars owned or controlled by the party to whom the marks are assigned that meet the requirements of the AAR Mechanical Interchange Rules and which are properly registered in Umler.

NOTE: Reporting marks assigned to private car and tank car freight car owners or lessee must consist of four letters, the last of which must be an "X."

II PRIVATE TANK CARS

(a) Private tank cars will be authorized for transportation service only after a certificate of Construction, in compliance with section 179.5 of Title 49 of the Code of Federal Regulations, is on file with the Executive Director Tank Car Safety, AAR Safety and Operations Department.

(b) To receive the applicable mileage rates as provided in Freight Tariff RIC 6007-Series, Section 1, Item 195, the private tank car owner, following the assignment of reporting marks, must comply with Freight Tariff RIC 6007-Series, Section 1, Item 180, Paragraph 3, which requires that all tank cars must be registered in Umler, in the format prescribed in the Umler Data Specification Manual. The applicable mileage rates will be published in the AAR Car Hire Accounting Rate Master (CHARM).

(c) The controlling entity (owner or lessee) must apply for loading authority. Applications for the use of private tank cars with specific railroads should state the name of the controlling entity (owner or lessee), the name of the originating line haul carrier(s), the specific car number(s) and if known, the station(s) and industry(s) at which loads are intended to originate should be provided. Applicants will transmit the applications to the proposed originating carrier(s) who will subsequently notify the applicant of the approval or disapproval of the application. Application approval for shipper provided cars cannot be denied by the carrier(s) except for reasons of safety, mechanical factors or inadequate storage space. Compliance with applicable AAR and governmental mechanical, safety and security requirements, advisories and action items will satisfy the OT-5 safety and mechanical requirement. All applications must be submitted electronically via the Railinc central internet system (www.railinc.com).

(d) If the controlling entity (owner or lessee) desires to use the cars for the origination of traffic on some other carriers, a new or modified application must be submitted to the originating carrier.

III PRIVATE CARS OTHER THAN TANK CARS

(a) To receive the applicable mileage rates as provided in Freight Tariff RIC 6007–Series, Section 2, Items 620 and 621, or other tariffs as provided by individual railroads, the private car owner, following the assignment of reporting marks, must comply with Freight Tariff RIC 6007–Series, Section 2, Item 605, Paragraph 1, or other tariffs as provided by individual railroads, which requires that all private cars must be registered in the Universal Machine Language Equipment Register, in the format prescribed in the Umler Data Specification Manual. The applicable mileage rates will be published in the AAR Car Hire Accounting Rate Master (CHARM).

(b) The controlling entity (owner or lessee) must apply for loading authority. Applications for the use of private cars with specific railroads should state the name of the controlling entity (owner or lessee), the name of the originating line haul carrier(s), the specific car number(s) and if known, the station(s) and industry(s) at which loads are intended to originate should be provided. Applicants will transmit the applications to the proposed originating carrier(s) who will subsequently notify the applicant of the approval or disapproval of the application. Application approval for shipper provided cars cannot be denied by the carrier(s) except for reasons of safety, mechanical factors or inadequate storage space. Compliance with applicable AAR and governmental mechanical, safety and security requirements, advisories and action items will satisfy the OT-5 safety and mechanical requirement. The railroads' use of private cars other than tank cars is not required unless railroad provided cars are not available. All applications must be submitted electronically via the Railinc central internet system (www.railinc.com).

(c) If the controlling entity (owner or lessee) desires to use the cars for the origination of traffic on some other carriers, a new or modified application must be submitted to the originating carrier. Application approval does not commit the approving carrier(s) to use the applicant's cars. Application approval does not commit the approving carrier(s) to use the applicant's cars.

IV RAILROAD MARKED CARS

(a) To receive the applicable rates as provided in Car Hire Rule 1, Code of Car Hire Rules and Interpretations — Freight, railroads or railroad companies, following the assignment of reporting marks, must register all cars in Umler, in the format prescribed in the Umler Data Specification Manual. The applicable rates, as provided in Car Hire Rule 1, Code of Car Hire Rules and Interpretations—Freight, are published in the AAR Car Hire Accounting Rate Master (CHARM).

(b) Railroad marked tank cars will be authorized for transportation service only after a certificate of Construction, in compliance with section 179.5 of Title 49 of the Code of Federal Regulations, is on file with the Executive Director Tank Car Safety, AAR Safety and Operations Department.

(c) The mechanical designation may be changed to a different designation without physical modification subject to the following conditions

- 1) Cars must be physically suitable for the service contemplated by the newly assigned mechanical designation definition.
- 2) All stenciling on the exterior indicating that car is specially equipped with DF or other special loading fixtures should be removed if inapplicable to the new mechanical designation.
- 3) After cars are reclassified to a new mechanical designation, they shall not again be reclassified for a period of 18 months from the date the mechanical designation was changed in the Umler file, unless authorized by the Equipment Engineering Committee.

V RAILROAD OWNED AND CONTROLLED TRAILERS AND CONTAINERS

(a) Following the assignment of the reporting marks, all trailers and containers must be registered in Umler in the format prescribed in the Umler Data Specification Manual. Trailers and containers are published in the AAR's Car Hire Accounting Rate Master (CHARM).

VI OTHER THAN RAILROAD OWNED OR CONTROLLED TRAILERS AND CONTAINERS

(a) Reporting marks will be assigned by the Assistant Vice President, Business Services, for use on other than railroad-owned or controlled trailers, provided the applicant subscribes to the AAR Interchange Rules for Trailer/Container-On-Flat-Car (TOFC/COFC) Service. Following assignment, the provisions of Section 3-Reporting Marks and Numbering System, Code of Trailer and Container Service Rules shall be complied with.

(b) Following the assignment of reporting marks all trailers must be registered in Umler in the format prescribed in the Umler Data Specification Manual. These trailers are published in the AAR Car Hire Accounting Rate Master (CHARM).

(c) On behalf of the Safety and Operations Management Committee acting as the General Committee and the Network Efficiency Management Committee acting as the Committee on Compensation.

By direction of,

Jeffrey J. Usher

Asst. Vice President-Business Services

Supersedes Circular Number OT-5-J dated January 2, 1997