

Independent Investment Research Focused on Public Company Interactions with the SEC.

No Recent SEC Investigative Records Found – 270 Companies

As of the date of the response in the table below, we received Freedom of Information Act (FOIA) responses from the SEC to suggest the absence of recent SEC investigative activity. If you think any of these companies have SEC investigations, or had them in the recent past, let us know and we'll file an appeal to challenge the adequacy of the search that led to the responses cited here.

#	Company Name	Ticker	Date of Response
1	2U Inc.	TWOU	5-Jul-2019
2	Achillion Pharmaceuticals, Inc.	ACHN	17-Jul-2019
3	Advanced Micro Devices, Inc.	AMD	26-Jul-2019
4	AeroVironment, Inc.	AVAV	10-Jul-2019
5	Alaska Air Group, Inc.	ALK	3-Jul-2019
6	Alder Biopharmaceuticals Inc.	ALDR	10-Jul-2019
7	Aluminum Corporation of China Limited (ADR)	ACH	21-Jun-2019
8	Ambarella Inc.	AMBA	2-Jul-2019
9	AMC Entertainment Holdings, Inc.	AMC	2-Jul-2019
10	American Assets Trust Inc.	AAT	17-Jun-2019
11	American Axle & Manufacturing Holdings, Inc.	AXL	2-Jul-2019
12	Archer-Daniels-Midland Company	ADM	11-Jul-2019
13	Avid Technology, Inc.	AVID	23-Jul-2019
14	Avnet, Inc.	AVT	23-Jul-2019
15	Axalta Coating Systems, Ltd.	AXTA	2-Jul-2019
16	Balchem Corp.	BCPC	2-Jul-2019
17	Ball Corporation	BLL	2-Jul-2019
18	Banner Corp.	BANR	17-Jul-2019
19	Belmond Ltd.	BEL	8-Jul-2019
20	Benefitfocus Inc.	BNFT	22-Jul-2019
21	Blackstone Mortgage Trust, Inc.	BXMT	22-Jul-2019
22	Bloomin' Brands Inc.	BLMN	24-Jun-2019
23	Boardwalk Pipeline Partners, LP	BWP	23-Jul-2019
24	Boise Cascade Co.	BCC	8-Jul-2019
25	Boston Private Financial Holdings, Inc.	BPFH	23-Jul-2019
26	Bright Horizons Family Solutions, Inc.	BFAM	3-Jul-2019
27	CACI International, Inc.	CACI	10-Jul-2019
28	Cadiz Inc.	CDZI	8-Jul-2019
29	Calavo Growers Inc.	CVGW	19-Jun-2019
30	Cal-Maine Foods, Inc.	CALM	10-Jul-2019
31	Cambrex Corp.	CBM	10-Jul-2019
32	Cardtronics Plc	CATM	3-Jul-2019
33	Carnival Corp.	CCL	26-Jun-2019

34	Casey's General Stores Inc.	CASY	9-Jul-2019
35	Cavco Industries, Inc.	CVCO	17-Jul-2019
36	CBIZ, Inc.	CBZ	22-Jul-2019
37	CGI Group, Inc.	GIB	19-Jun-2019
38	Cheesecake Factory Inc., The	CAKE	1-Jul-2019
39	Chemours Company, The	CC	19-Jun-2019
40	Chesapeake Lodging Trust	CHSP	12-Jul-2019
41	China Distance Education Holdings Limited	DL	2-Jul-2019
42	Choice Hotels International Inc.	CHH	3-Jul-2019
43	CIRCOR International, Inc.	CIR	26-Jul-2019
44	Citi Trends Inc.	CTRN	21-Jun-2019
45	Coca-Cola FEMSA S.A.B de C.V.	KOF	21-Jun-2019
46	Coeur Mining Inc.	CDE	12-Jul-2019
47	Cohen & Steers, Inc.	CNS	2-Jul-2019
48	Community Bank System Inc.	CBU	2-Jul-2019
49	Computer Programs & Systems Inc.	CPSI	2-Jul-2019
50	Conagra Brands, Inc.	CAG	20-Jun-2019
51	Continental Resources, Inc.	CLR	24-Jun-2019
52	CoreLogic, Inc.	CLGX	6-May-2019
53	Coresite Realty Corp.	COR	12-Jul-2019
54	Danaher Corporation	DHR	1-Jul-2019
55	Dave & Buster's Entertainment, Inc.	PLAY	2-Jul-2019
56	Devon Energy Corporation	DVN	15-Jul-2019
57	DiamondRock Hospitality Company	DRH	2-Jul-2019
58	Duluth Holdings Inc.	DLTH	2-Jul-2019
59	Eastgroup Properties Inc.	EGP	11-Jul-2019
60	Electronic Arts, Inc.	EA	16-Jul-2019
61	Eli Lilly & Company	LLY	22-Jul-2019
62	Ellie Mae Inc.	ELLI	2-Jul-2019
63	Endo International Plc	ENDP	26-Jun-2019
64	Energizer Holdings, Inc.	ENR	21-Jun-2019
65	EnerSys	ENS	1-Jul-2019
66	Envestnet, Inc.	ENV	1-Jul-2019
67	Equity Commonwealth	EQC	1-Jul-2019
68	ESCO Technologies, Inc.	ESE	20-Jun-2019
69	Essent Group Ltd.	ESNT	20-Jun-2019
70	Etsy Inc.	ETSY	11-Jul-2019
71	Evolent Health Inc.	EVH	22-Jul-2019
72	Ezcorp, Inc.	EZPW	28-Jun-2019
73	Fabrinet	FN	22-Jul-2019
74	Ferro Corp.	FOE	11-Jul-2019
75	Ferroglobe Plc	GSM	12-Jul-2019
76	First Citizens Bancshares, Inc.	FCNCA	17-Jun-2019
77	First Financial Bankshares Inc.	FFIN	5-Jul-2019
78	Flowserve Corp.	FLS	21-Jun-2019
79	Ford Motor Company	F	26-Jun-2019
80	Forrester Research, Inc.	FORR	11-Jul-2019
81	Forum Energy Technologies Inc.	FET	11-Jul-2019
82	Forward Air Corp.	FWRD	27-Jun-2019

83	Franklin Electric Co., Inc.	FELE	8-Jul-2019
84	Fred's, Inc.	FRED	9-Jul-2019
85	FreightCar America Inc.	RAIL	9-Jul-2019
86	Fresh Del Monte Produce Inc.	FDP	17-Jun-2019
87	Freshpet Inc.	FRPT	16-Jul-2019
88	Frontline Ltd.	FRO	16-Jul-2019
89	GasLog Ltd.	GLOG	16-Jul-2019
90	GCP Applied Technologies Inc.	GCP	26-Jun-2019
91	Gentherm Inc.	THRM	18-Jul-2019
92	Globant SA	GLOB	18-Jul-2019
93	Gogo, Inc.	GOGO	22-Jul-2019
94	Great Western Bancorp, Inc.	GWB	10-Jul-2019
95	Green Plains, Inc.	GPRE	5-Jul-2019
96	Grubhub Inc.	GRUB	15-Jul-2019
97	GSI Technology Inc.	GSIT	2-Jul-2019
98	H&R Block, Inc.	HRB	1-Jul-2019
99	H.B. Fuller Company	FUL	11-Jul-2019
100	Harris Corporation	HRS	9-Jul-2019
101	Home Bancshares, Inc.	HOMB	25-Jun-2019
102	Horace Mann Educators Corp.	HMN	2-Jul-2019
103	Houghton Mifflin Harcourt Co.	HMHC	26-Jun-2019
104	Hub Group Inc.	HUBG	18-Jul-2019
105	HubSpot Inc.	HUBS	20-Jun-2019
106	Hurco Companies Inc.	HURC	26-Jun-2019
107	IDT Corp.	IDT	3-Jul-2019
108	InfraREIT Inc.	HIFR	18-Jul-2019
109	Ingevity Corp.	NGVT	26-Jun-2019
110	Innoviva Inc.	INVA	18-Jul-2019
111	Inphi Corp.	IPHI	24-Jul-2019
112	Invesco, Ltd.	IVZ	25-Jul-2019
113	Investment Technology Group, Inc. (Acquired, coverage dropped)	ITG	17-Jul-2019
114	Iridium Communications Inc.	IRDM	26-Jun-2019
115	J B Hunt Transport Services Inc.	JBHT	17-Jul-2019
116	JAKKS Pacific Inc.	JAKK	11-Jul-2019
117	James River Group Holdings Ltd.	JRVR	9-Jul-2019
118	JM Smucker Company, The	SJM	19-Jun-2019
119	John Bean Technologies Corp.	JBT	21-Jun-2019
120	Kansas City Southern	KSU	12-Jul-2019
121	Kennedy-Wilson Holdings Inc.	KW	17-Jun-2019
122	Kirby Corporation	KEX	18-Jun-2019
123	Kite Realty Group Trust	KRG	10-Jul-2019
124	KKR & Co LP	KKR	27-Jun-2019
125	Kohl's Corp.	KSS	21-Jun-2019
126	Kraton Corporation	KRA	8-Jul-2019
127	L Brands Inc.	LTD	23-Jul-2019
128	Lands' End, Inc.	LE	12-Jul-2019
129	Lattice Semiconductor Corporation	LSCC	21-Jun-2019
130	LB Foster Co.	FSTR	17-Jul-2019
131	LegacyTexas Financial Group, Inc.	LTXB	23-Jul-2019

132	Lendingtree Inc.	TREE	17-Jul-2019
133	Lexicon Pharmaceuticals Inc	LXRK	12-Jul-2019
134	Liberty Broadband Corp.	LBRDK	16-Jul-2019
135	Liberty TripAdvisor Holdings Inc.	LTRPA	16-Jul-2019
136	LTC Properties Inc.	LTC	11-Jul-2019
137	MACOM Technology Solutions Holdings Inc.	MTSI	2-Jul-2019
138	MacroGenics Inc.	MGNX	10-Jul-2019
139	MannKind Corp.	MNKD	9-Jul-2019
140	Manulife Financial Corporation	MFC	19-Jun-2019
141	Marine Products Corp.	MPX	24-Jul-2019
142	Marinemax Inc.	HZO	23-Jul-2019
143	Markel Corp.	MKL	1-Jul-2019
144	MarketAxess Holdings, Inc.	MKTX	21-Jun-2019
145	Masonite International Corp.	DOOR	2-Jul-2019
146	Matson Inc.	MATX	18-Jul-2019
147	Maxim Integrated Products, Inc.	MXIM	18-Jul-2019
148	MDC Holdings, Inc.	MDC	21-Jun-2019
149	Mellanox Technologies, Ltd.	MLNX	25-Jul-2019
150	Mercury Systems Inc.	MRCY	10-Jul-2019
151	Meritage Homes Corp.	MTH	10-Jul-2019
152	MGIC Investment Corp.	MTG	2-Jul-2019
153	Microvision Inc.	MVIS	18-Jul-2019
154	Mid-America Apartment Communities Inc.	MAA	16-Jul-2019
155	MidSouth Bancorp, Inc.	MSL	5-Jul-2019
156	Milacron Holdings Corp.	MCRN	17-Jul-2019
157	Monmouth Real Estate Investment Corp.	MNR	23-Jul-2019
158	Monogram Residential Trust Inc.	MORE	22-Jul-2019
159	MRC Global Inc.	MRC	23-Jul-2019
160	Multi Color Corp.	LABL	22-Jul-2019
161	Navigators Group Inc.	NAVX	1-Jul-2019
162	Navistar International Corporation	NAV	24-Jul-2019
163	NCI Building Systems Inc.	NCS	18-Jun-2019
164	Neogen Corp.	NEOG	2-Jul-2019
165	NetScout Systems, Inc.	NTCT	8-Jul-2019
166	Nevro Corp.	NVRO	8-Jul-2019
167	New York Community Bancorp Inc.	NYCB	16-Jul-2019
168	Norfolk Southern Corp.	NSC	8-Jul-2019
169	Northwest Bancshares Inc.	NWBI	23-Jul-2019
170	Northwestern Corp.	NWE	8-Jul-2019
171	Now, Inc.	DNOW	8-Jul-2019
172	Nu Skin Enterprises, Inc.	NUS	24-Jun-2019
173	NVE Corporation	NVEC	8-Jul-2019
174	Oil-Dri Corp of America	ODC	19-Jul-2019
175	ON Semiconductor Corp.	ONNN	16-Jul-2019
176	Open Text Corp.	OTEX	11-Jul-2019
177	Opko Health, Inc.	OPK	19-Jun-2019
178	Oritani Financial Corp.	ORIT	26-Jun-2019
179	PACCAR Inc.	PCAR	26-Jun-2019
180	Park National Corp.	PRK	18-Jul-2019

181	Party City Holdco Inc.	PRTY	17-Jun-2019
182	Pattern Energy Group Inc.	PEGI	2-Jul-2019
183	Paylocity Holding Corp.	PCTY	17-Jun-2019
184	PDC Energy Inc.	PDCE	17-Jun-2019
185	PennyMac Mortgage Investment Trust	PMT	28-Jun-2019
186	Penske Automotive Group, Inc.	PAG	24-Jun-2019
187	Perficient Inc.	PRFT	19-Jun-2019
188	Performance Food Group Co.	PFGC	18-Jun-2019
189	Phillips 66	PSX	12-Jul-2019
190	Physicians Realty Trust	DOC	9-Jul-2019
191	Pinnacle Financial Partners Inc.	PNFP	2-Jul-2019
192	PRA Health Sciences, Inc.	PRAH	24-Jun-2019
193	Premier Inc.	PINC	17-Jun-2019
194	Prestige Brands Holdings, Inc.	PBH	25-Jun-2019
195	Principal Financial Group Inc.	PFG	27-Jun-2019
196	Proofpoint, Inc.	PFPT	24-Jun-2019
197	Prothena Corporation Plc	PRTA	2-Jul-2019
198	Proto Labs Inc.	PRLB	9-Jul-2019
199	Prudent Financial, Inc.	PRU	19-Jun-2019
200	PS Business Parks Inc.	PSB	9-Jul-2019
201	Pure Storage Inc.	PSTG	20-Jun-2019
202	Q2 Holdings Inc.	QTWO	27-Jun-2019
203	QTS Realty Trust Inc.	QTS	3-Jul-2019
204	Rambus, Inc.	RMBS	24-Jun-2019
205	Raven Industries Inc.	RAVN	10-Jul-2019
206	RealPage, Inc.	RP	27-Jun-2019
207	Retail Opportunity Investments Corp.	ROIC	17-Jul-2019
208	Rexford Industrial Realty Inc.	REXR	10-Jul-2019
209	RingCentral Inc.	RNG	15-Jul-2019
210	RLJ Lodging Trust	RLJ	17-Jun-2019
211	Rogers Corp.	ROG	17-Jul-2019
212	Roku Inc.	ROKU	27-Jun-2019
213	Sabra Health Care REIT Inc.	SBRA	3-Jul-2019
214	Sally Beauty Holdings Inc.	SBH	19-Jun-2019
215	Sanmina Corp.	SANM	17-Jul-2019
216	Saul Centers Inc.	BFS	11-Jul-2019
217	Scholastic Corporation	SCHL	27-Jun-2019
218	Scientific Games Corporation	SGMS	19-Jun-2019
219	Seaboard Corp.	SEB	3-Jul-2019
220	Seagate Technology Plc.	STX	25-Jul-2019
221	Selective Insurance Group Inc.	SIGI	11-Jul-2019
222	Seritage Growth Properties	SRG	11-Jul-2019
223	Ship Finance International Ltd.	SFL	11-Jul-2019
224	Shutterstock Inc.	SSTK	11-Jul-2019
225	Simmons First National Corp.	SFNC	8-Jul-2019
226	SiteOne Landscape Supply Inc.	SITE	8-Jul-2019
227	Spark Therapeutics Inc.	ONCE	22-Jul-2019
228	Spectrum Brands Holdings Inc.	SPB	8-Jul-2019
229	Speedway Motorsports, Inc.	TRK	11-Jul-2019

230	Stamps.com Inc.	STMP	24-Jun-2019
231	Stanley Black & Decker Inc.	SWK	19-Jun-2019
232	Summit Materials Inc.	SUM	19-Jul-2019
233	Sunstone Hotel Investors Inc.	SHO	19-Jun-2019
234	SurModics, Inc.	SRDX	19-Jun-2019
235	Synnex Corp.	SNX	21-Jun-2019
236	Teck Resources Ltd.	TCK	10-Jul-2019
237	Teledyne Technologies Inc.	TDY	18-Jul-2019
238	Texas Capital Bancshares Inc.	TCBI	8-Jul-2019
239	Theravance Biopharma, Inc.	TBPH	17-Jul-2019
240	Third Point Reinsurance Ltd. Co.	TPRE	26-Jul-2019
241	TJX Companies Inc., The	TJX	9-Jul-2019
242	Travelport Worldwide Ltd.	TVPT	16-Jul-2019
243	TreeHouse Foods Inc.	THS	20-Jun-2019
244	Trex Company, Inc.	TREX	11-Jul-2019
245	TRI Pointe Group, Inc.	TPH	21-Jun-2019
246	TriNet Group Inc.	TNET	18-Jul-2019
247	Tronox Inc.	TROX	8-Jul-2019
248	U.S. Physical Therapy, Inc.	USPH	17-Jun-2019
249	U.S. Silica Holdings Inc.	SLCA	15-Jul-2019
250	UniFirst Corp.	UNF	24-Jun-2019
251	United Continental Holdings, Inc.	UAL	5-Jul-2019
252	United Fire Group Inc.	UFCS	8-Jul-2019
253	United Natural Foods, Inc.	UNFI	3-Jul-2019
254	Univar Inc.	UNVR	24-Jun-2019
255	USG Corporation	USG	19-Jun-2019
256	Value Line, Inc.	VALU	26-Jun-2019
257	Viavi Solutions Inc.	VIAV	15-Jul-2019
258	Washington Real Estate Investment Trust	WRE	25-Jun-2019
259	Watts Water Technologies, Inc.	WTS	8-Jul-2019
260	WEC Energy Group Inc.	WEC	20-Jun-2019
261	WellCare Health Plans Inc.	WCG	3-Jul-2019
262	Wesco Aircraft Holdings, Inc.	WAIR	19-Jul-2019
263	Westamerica Bancorp	WABC	10-Jul-2019
264	Western Union Company, The	WU	19-Jun-2019
265	White Mountains Insurance Group, Ltd.	WTM	1-Jul-2019
266	Xenia Hotels & Resorts Inc.	XHR	16-Jul-2019
267	XL Group Ltd.	XL	3-Jul-2019
268	Zendesk Inc.	ZEN	22-Jul-2019
269	Zions Bancorp	ZION	15-Jul-2019
270	Ziopharm Oncology Inc.	ZIOP	16-Jul-2019

Notes: New SEC investigative activity could theoretically begin or end after the date covered by the latest information in this report, which would not be reflected here. Where applicable, the SEC did not disclose the details on investigations referenced herein. All we know is that they somehow pertain to the conduct, transactions, and/or disclosures of the companies. Companies with undisclosed SEC investigations are maintained on our Watch List of companies with undisclosed SEC investigations. The SEC reminds us that its assertion of the law enforcement exemption should not be construed as an indication by the Commission or its staff that any violations of law have occurred with respect to any person, entity, or security.

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