

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

No Recent SEC Investigative Records Found – 58 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	Aegion Corp.	AEGN	30-Aug-2019
2	Alexander & Baldwin Inc.	ALEX	3-Sep-2019
3	AllianceBernstein Holding, L.P.	AB	28-Aug-2019
4	Apollo Global Management LLC	APO	28-Aug-2019
5	ARMOUR Residential REIT, Inc.	ARR	28-Aug-2019
6	Brookline Bancorp, Inc.	BRKL	28-Aug-2019
7	Century Aluminum Co.	CENX	28-Aug-2019
8	Cheniere Energy, Inc.	LNG	26-Aug-2019
9	Community Trust Bancorp, Inc.	CTBI	28-Aug-2019
10	Customers Bancorp Inc.	CUBI	28-Aug-2019
11	Cutera, Inc.	CUTR	26-Aug-2019
12	DuPont de Nemours, Inc. (fka DowDuPont Inc.)	DD	3-Sep-2019
13	Easterly Government Properties, Inc.	DEA	29-Aug-2019
14	EnLink Midstream LLC	ENLC	29-Aug-2019
15	Entravision Communications Corp.	EVC	27-Aug-2019
16	Fox Factory Holding Corp.	FOXF	3-Sep-2019
17	General Mills, Inc.	GIS	29-Aug-2019
18	Global Blood Therapeutics Inc.	GBT	3-Sep-2019
19	Gorman-Rupp Company	GRC	3-Sep-2019
20	Gray Television, Inc.	GTN	3-Sep-2019
21	Green Dot Corporation	GDOT	26-Aug-2001
22	Greenbrier Companies Inc., The	GBX	3-Sep-2019
23	Gulf Island Fabrication Inc.	GIFI	30-Aug-2019
24	Haemonetics Corporation	HAE	3-Sep-2019
25	Hartford Financial Services Group, Inc., The	HIG	26-Aug-2019
26	Himax Technologies, Inc.	HIMX	30-Aug-2019
27	Hope Bancorp, Inc.	HOPE	3-Sep-2019
28	Huntsman Corporation	HUN	26-Aug-2019
29	IberiaBank Corp.	IBKC	28-Aug-2019
30	Insteel Industries, Inc.	IIIN	29-Aug-2019
31	Instructure, Inc.	INST	29-Aug-2019
32	Investors Bancorp Inc.	ISBC	28-Aug-2019
33	Jetblue Airways Corp.	JBLU	3-Sep-2019

34	Momenta Pharmaceuticals, Inc.	MNTA	3-Sep-2019
35	National HealthCare Corp.	NHC	28-Aug-2019
36	NIC Inc.	EGOV	28-Aug-2019
37	Novanta, Inc.	NOVT	3-Sep-2019
38	Oasis Petroleum Inc.	OAS	29-Aug-2019
39	OraSure Technologies Inc.	OSUR	27-Aug-2019
40	ORBCOMM Inc.	ORBC	3-Sep-2019
41	PC Connection Inc.	CNXN	28-Aug-2019
42	Quanex Building Products Corp.	NX	28-Aug-2019
43	Red Robin Gourmet Burgers, Inc.	RRGB	29-Aug-2019
44	RPC, Inc.	RES	3-Sep-2019
45	Sirius XM Holdings Inc.	SIRI	26-Aug-2019
46	Southside Bancshares, Inc.	SBSI	26-Aug-2019
47	Spectrum Pharmaceuticals, Inc.	SPPI	3-Sep-2019
48	Stock Yards Bancorp Inc.	SYBT	28-Aug-2019
49	Tidewater Inc.	TDW	26-Aug-2019
50	Universal Corp.	UVV	3-Sep-2019
51	Universal Health Realty Income Trust	UHT	3-Sep-2019
52	USA Truck, Inc.	USAK	29-Aug-2019
53	Vector Group Ltd.	VGR	26-Aug-2019
54	Vertiv Corporation	VRTV	27-Aug-2019
55	Washington Trust Bancorp Inc.	WASH	26-Aug-2019
56	Willis Towers Watson PLC.	WLTW	3-Sep-2019
57	Xencor Inc.	XNCR	29-Aug-2019
58	Xilinx, Inc.	XLNX	3-Sep-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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