

# FOIA Update – Data Feed September 11, 2019

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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.

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.         LING         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         ENC         29-Aug-2019           15         Entravision Communications Corp.         EVC         27-Aug-2019           16         Fox Factory Holding	#	Company Name	Ticker	Date of Response
AllianceBernstein Holding, L.P. AB APO	1	Aegion Corp.	AEGN	30-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	2	Alexander & Baldwin Inc.	ALEX	3-Sep-2019
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6 Brookline Bancorp, Inc. 7 Century Aluminum Co. 8 CENX 8 Cheniere Energy, Inc. 9 Community Trust Bancorp, Inc. 10 Customers Bancorp Inc. 11 Cutera, Inc. 12 DuPont de Nemours, Inc. (fka DowDuPont Inc.) 13 Easterly Government Properties, Inc. 15 Entravision Communications Corp. 16 Fox Factory Holding Corp. 17 General Mills, Inc. 18 Global Blood Therapeutics Inc. 19 Gorman-Rupp Company 20 Gray Television, Inc. 21 Green Dot Corporation 22 Greenbrier Companies Inc., The 23 Gulf Island Fabrication Inc. 24 Hamonetics Corporation 25 Hartford Financial Services Group, Inc., The 26 Hong. 27 Hope Bancorp, Inc. 28 Aug-2019 29 IberiaBank Corp. 40 CENX 40 26-Aug-2019 41 CUTR 41 28-Aug-2019 42 28-Aug-2019 43 29-Aug-2019 44 EnLink Midstream LLC 45 ENLC 46 29-Aug-2019 46 Fox Factory Holding Corp. 47 General Mills, Inc. 48 Global Blood Therapeutics Inc. 48 Global Blood Therapeutics Inc. 49 GRC 40 3-Sep-2019 40 Gray Television, Inc. 40 GRT 41 3-Sep-2019 41 Green Dot Corporation 42 GREEN Asseption Inc. 43 Gulf Island Fabrication Inc. 44 Haemonetics Corporation 45 Haemonetics Corporation 46 Himax Technologies, Inc. 47 Hope Bancorp, Inc. 48 Huntsman Corporation 49 HuN 40 26-Aug-2019 40 IberiaBank Corp. 40 IlliN 40 29-Aug-2019 41 IlliN 40 29-Aug-2019 42 IberiaBank Corp. 40 IlliN 40 29-Aug-2019 41 IlliN 41 29-Aug-2019 42 IlliN 42 29-Aug-2019	4	Apollo Global Management LLC	APO	28-Aug-2019
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8 Cheniere Energy, Inc.	6	Brookline Bancorp, Inc.	BRKL	28-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-2019           22         Greenbrier Companies Inc., The         GBX         3-Sep-2019           23         Gulf Island Fabrication Inc.         GIFI         30-Aug-2019           24         Haemonetics	7	Century Aluminum Co.	CENX	28-Aug-2019
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18 Global Blood Therapeutics Inc.  19 Gorman-Rupp Company  20 Gray Television, Inc.  21 Green Dot Corporation  22 Greenbrier Companies Inc., The  23 Gulf Island Fabrication Inc.  24 Haemonetics Corporation  25 Hartford Financial Services Group, Inc., The  26 HIMX  27 Hope Bancorp, Inc.  28 Huntsman Corporation  29 IberiaBank Corp.  30 GRC  3-Sep-2019  30 GRC  3-Sep-2019  26-Aug-2001  26-Aug-2001  30-Aug-2019  40 HIMX  40-Aug-2019  40 HIMX	16	Fox Factory Holding Corp.	FOXF	3-Sep-2019
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27Hope Bancorp, Inc.HOPE3-Sep-201928Huntsman CorporationHUN26-Aug-201929IberiaBank Corp.IBKC28-Aug-201930Insteel Industries, Inc.IIIN29-Aug-2019	25	Hartford Financial Services Group, Inc., The	HIG	26-Aug-2019
28Huntsman CorporationHUN26-Aug-201929IberiaBank Corp.IBKC28-Aug-201930Insteel Industries, Inc.IIIN29-Aug-2019	26	Himax Technologies, Inc.	HIMX	30-Aug-2019
29 IberiaBank Corp. IBKC 28-Aug-2019 30 Insteel Industries, Inc. IIIN 29-Aug-2019	27	Hope Bancorp, Inc.	HOPE	3-Sep-2019
30 Insteel Industries, Inc. IIIN 29-Aug-2019	28	Huntsman Corporation	HUN	26-Aug-2019
	29	IberiaBank Corp.	IBKC	28-Aug-2019
31 Instructure, Inc. INST 29-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	32	Investors Bancorp Inc.	ISBC	28-Aug-2019
33 Jetblue Airways Corp. JBLU 3-Sep-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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