

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

## No Recent SEC Investigative Records Found – 84 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	Amicus Therapeutics Inc.	FOLD	6-Sep-2019
2	AppFolio Inc.	APPF	5-Sep-2019
3	Argan Inc.	AGX	5-Sep-2019
4	Armstrong Flooring, Inc.	AFI	4-Sep-2019
5	Ashford Hospitality Trust Inc.	AHT	4-Sep-2019
6	Associated Capital Group Inc.	AC	5-Sep-2019
7	Atara Biotherapeutics Inc.	ATRA	5-Sep-2019
8	ATN International, Inc.	ATNI	10-Sep-2019
9	Atrion Corp.	ATRI	4-Sep-2019
10	Bank of New York Mellon Corporation, The	BK	7-May-2019
11	Bluebird Bio, Inc.	BLUE	10-Sep-2019
12	Callidus Software, Inc.	CALD	15-Apr-2019
13	Campbell Soup Co	CPB	11-Sep-2019
14	Cass Information Systems Inc.	CASS	4-Sep-2019
15	Cedar Realty Trust Inc.	CDR	5-Sep-2019
16	CEVA, Inc.	CEVA	12-Sep-2019
17	Chemed Corp.	CHE	11-Sep-2019
18	Clorox Company, The	CLX	12-Sep-2019
19	Costamare, Inc.	CMRE	5-Sep-2019
20	Credit Acceptance Corp.	CACC	5-Sep-2019
21	Eagle Pharmaceuticals, Inc.	EGRX	5-Sep-2019
22	Enterprise Financial Services Corporation	EFSC	12-Sep-2019
23	Evolving Systems Inc.	EVOL	12-Sep-2019
24	EXACT Sciences Corp.	EXAS	12-Sep-2019
25	Exponent Inc.	EXPO	12-Sep-2019
26	FibroGen Inc.	FGEN	11-Sep-2019
27	Fidelity National Financial, Inc.	FNF	11-Sep-2019
28	Five Prime Therapeutics Inc.	FPRX	13-Sep-2019
29	Five9 Inc.	FIVN	4-Sep-2019
30	GoDaddy Inc.	GDDY	12-Sep-2019
31	Healthstream Inc.	HSTM	9-Sep-2019
32	HMS Holdings Corp.	HMSY	13-Sep-2019
33	Home Depot Inc., The	HD	11-Sep-2019

34	Hudson Ltd.	HUD	12-Sep-2019
35	ICF International Inc.	ICFI	12-Sep-2019
36	Innophos Holdings Inc.	IPHS	12-Sep-2019
37	Ironwood Pharmaceuticals, Inc.	IRWD	9-Sep-2019
38	Itron, Inc.	ITRI	10-Sep-2019
39	Kadant, Inc.	KAI	11-Sep-2019
40	Ligand Pharmaceuticals, Inc.	LGND	9-Sep-2019
41	Loral Space & Communications, Inc.	LORL	9-Sep-2019
42	MDU Resources Group, Inc.	MDU	6-Mar-2019
43	Merck & Co. Inc.	MRK	12-Sep-2019
44	Meridian Bioscience, Inc.	VIVO	4-Sep-2019
45	National Western Life Group, Inc.	NWLI	6-Sep-2019
46	Neenah, Inc.	NP	12-Sep-2019
47	NeoPhotonics Corp.	NPTN	4-Sep-2019
48	Northstar Realty Europe Corp.	NRE	4-Sep-2019
49	Novocure, Ltd.	NVCR	4-Sep-2019
50	NRG Energy, Inc.	NRG	10-Sep-2019
51	Ollie's Bargain Outlet Holdings Inc.	OLLI	10-Sep-2019
52	Overseas Shipholding Group Inc.	OSG	13-Sep-2019
53	Plexus Corp.	PLXS	12-Sep-2019
54	Portola Pharmaceuticals, Inc.	PTLA	4-Sep-2019
55	PTC Inc.	PTC	11-Sep-2019
56	Rapid7 Inc.	RPD	12-Sep-2019
57	Regis Corporation	RGS	4-Sep-2019
58	Republic Services, Inc.	RSG	11-Feb-2019
59	Rite Aid Corporation	RAD	10-Sep-2019
60	RMR Group Inc., The	RMR	4-Sep-2019
61	Safety Insurance Group, Inc.	SAFT	11-Sep-2019
62	Sandy Spring Bancorp, Inc.	SASR	9-Sep-2019
63	Sapiens International Corp. N.V.	SPNS	9-Sep-2019
64	SemGroup Corp.	SEMG	9-Sep-2019
65	Shinhan Financial Group Company Limited	SHG	10-Sep-2019
66	SP Plus Corporation	SP	13-Sep-2019
67	STAG Industrial Inc.	STAG	4-Sep-2019
68	State Auto Financial Corp.	STFC	13-Sep-2019
69	Steven Madden Ltd.	SHOO	10-Apr-2019
70	Superior Industries International, Inc.	SUP	11-Sep-2019
71	Supernus Pharmaceuticals Inc.	SUPN	13-Sep-2019
72	Telephone & Data Systems, Inc.	TDS	9-Sep-2019
73	Tetra Technologies, Inc.	TTI	11-Sep-2019
74	Texas Instruments, Inc.	TXN	12-Mar-2019
75	Thermon Group Holdings, Inc.	THR	12-Sep-2019
76	Tredegar Corporation	TG	5-Sep-2019
77	Trico Bancshares	TCBK	12-Sep-2019
78	Triple-S Management Corporation	GTS	12-Sep-2019
79	TrustCo Bank Corp NY	TRST	5-Sep-2019
80	Trustmark Corporation	TRMK	12-Sep-2019
81	TTM Technologies Inc.	TTMI	12-Sep-2019
82	Valero Energy Corporation	VLO	9-Sep-2019

83	Viacom, Inc.	VIAB	11-Sep-2019
84	Western Alliance Bancorporation	WAL	4-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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