

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	Aegon N.V. (ADR)	AEG	24-Sep-2019
2	Air Lease Corporation	AL	26-Sep-2019
3	Alaska Communications Systems Group Inc.	ALSK	25-Sep-2019
4	Alliant Energy Corporation	LNT	23-Sep-2019
5	Amkor Technology, Inc.	AMKR	16-Sep-2019
6	Aspen Insurance Holdings, Ltd.	AHL	26-Sep-2019
7	Associated Banc Corp.	ASBC	27-Sep-2019
8	AtriCure Inc.	ATRC	25-Sep-2019
9	Axon Enterprise, Inc.	AAXN	24-Sep-2019
10	Barnes & Noble Education, Inc.	BNED	16-Sep-2019
11	BHP Billiton LTD (ADR)	BHP	27-Sep-2019
12	BioTelemetry, Inc.	BEAT	23-Sep-2019
13	Bridge Bancorp, Inc.	BDGE	26-Sep-2019
14	Capitala Finance Corporation	CPTA	26-Sep-2019
15	Cardiovascular Systems Inc.	CSII	26-Sep-2019
16	Celanese Corporation	CE	1-Apr-2019
17	Chesapeake Energy Corporation	CHK	27-Sep-2019
18	Cimpress N.V.	CMPR	17-Sep-2019
19	Cinemark Holdings, Inc.	CNK	18-Sep-2019
20	Clean Harbors, Inc.	CLH	25-Sep-2019
21	Comstock Resources Inc.	CRK	23-Sep-2019
22	Connecticut Water Service, Inc.	CTWS	23-Sep-2019
23	Consolidated Communications Holdings Inc.	CNSL	25-Sep-2019
24	CSW Industrials, Inc.	CSWI	20-Sep-2019
25	Darling International Inc.	DAR	25-Sep-2019
26	Eldorado Gold Corp.	EGO	23-Sep-2019
27	Eldorado Resorts Inc.	ERI	18-Sep-2019
28	Empire Resorts, Inc.	NYNY	25-Sep-2019
29	EOG Resources, Inc.	EOG	18-Sep-2019
30	Ethan Allen Interiors, Inc.	ETH	26-Sep-2019
31	Expeditors International of Washington Inc.	EXPD	26-Sep-2019
32	Extra Space Storage Inc.	EXR	18-Sep-2019
33	Five Below Inc.	FIVE	18-Sep-2019

34	Futurefuel Corp.	FF	23-Sep-2019
35	Genesco Inc.	GCO	18-Sep-2019
36	Glacier Bancorp, Inc.	GBCI	26-Sep-2019
37	Global Net Lease Inc.	GNL	23-Sep-2019
38	Green Dot Corporation	GDOT	26-Aug-2019
39	GTT Communications Inc.	GTT	25-Sep-2019
40	Hawaiian Holdings, Inc.	HA	24-Sep-2019
41	Hemisphere Media Group Inc.	HMTV	23-Sep-2019
42	Henry Schein, Inc.	HSIC	20-Sep-2019
43	Hornbeck Offshore Services, Inc.	HOS	18-Sep-2019
44	Idacorp, Inc.	IDA	17-Sep-2019
45	II-VI, Inc.	IIVI	26-Sep-2019
46	Immunomedics Inc.	IMMU	26-Sep-2019
47	Installed Building Products Inc.	IBP	18-Sep-2019
48	Johnson Outdoors Inc.	JOUT	17-Sep-2019
49	M/I Homes, Inc.	MHO	24-Sep-2019
50	Maiden Holdings Ltd.	MHLD	25-Sep-2019
51	Materion Corporation	MTRN	19-Sep-2019
52	Matrix Service Company	MTRX	18-Sep-2019
53	Maxlinear, Inc.	MXL	20-Sep-2019
54	Middlesex Water Co.	MSEX	20-Sep-2019
55	Mistras Group, Inc.	MG	20-Sep-2019
56	Myers Industries, Inc.	MYE	16-Sep-2019
57	Nantkwest, Inc.	NK	16-Sep-2019
58	NCR Corporation	NCR	18-Sep-2019
59	Netgear Inc.	NTGR	19-Sep-2019
60	Northern Oil & Gas Inc.	NOG	16-Sep-2019
61	Nucor Corp.	NUE	24-Sep-2019
62	PDF Solutions, Inc.	PDFS	19-Sep-2019
63	PNM Resources, Inc.	PNM	19-Sep-2019
64	Portland General Electric Company	POR	20-Sep-2019
65	Puma Biotechnology Inc.	PBYI	27-Sep-2019
66	Rayonier, Inc.	RYN	24-Sep-2019
67	RealNetworks Inc.	RNWK	24-Sep-2019
68	Rexnord Corp.	RXN	19-Sep-2019
69	Rudolph Technologies, Inc.	RTEC	23-Sep-2019
70	SEI Investments Co.	SEIC	17-Sep-2019
71	Steris Corp.	STE	23-Sep-2019
72	Systemax Inc.	SYX	16-Sep-2019
73	Textainer Group Holdings Limited	TGH	23-Sep-2019
74	Titan International, Inc.	TWI	24-Sep-2019
75	Triumph Group Inc	TGI	24-Sep-2019
76	TrueBlue, Inc.	TBI	24-Sep-2019
77	United Financial Bancorp, Inc.	UBNK	19-Sep-2019
78	Universal Health Services Inc.	UHS	25-Sep-2019
79	Urstadt Biddle Properties Inc.	UBA	26-Sep-2019
80	Viad Corp.	VVI	25-Sep-2019
81	Vitamin Shoppe Inc.	VSI	16-Sep-2019
82	Webster Financial Corp.	WBS	16-Sep-2019

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83	Worthington Industries, Inc.	WOR	16-Sep-2019
84	Wright Medical Group, Inc.	WMGI	17-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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