

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

No Recent SEC Investigative Records Found – 118 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	1-800-Flowers.com Incorporated	FLWS	14-Nov-2019
2	AAON Inc.	AAON	21-Nov-2019
3	Acuity Brands, Inc.	AYI	20-Nov-2019
4	AES Corporation, The	AES	21-Nov-2019
5	Agilent Technologies Inc.	A	8-Nov-2019
6	Agilysys Inc.	AGYS	5-Nov-2019
7	Allstate Corp., The	ALL	12-Nov-2019
8	Altisource Portfolio Solutions S.A.	ASPS	21-Nov-2019
9	Amedisys, Inc.	AMED	12-Nov-2019
10	American Campus Communities, Inc.	ACC	14-Nov-2019
11	American Water Works Company, Inc.	AWK	8-Nov-2019
12	Amphenol Corporation	APH	8-Nov-2019
13	Apartment Investment & Management Co.	AIV	6-Nov-2019
14	Aqua America, Inc.	WTR	18-Nov-2019
15	Aridis Pharmaceuticals, Inc.	ARDS	15-Nov-2019
16	Armada Hoffer Properties, Inc.	AHH	19-Nov-2019
17	AstraZeneca PLC	AZN	20-Nov-2019
18	Autolus Therapeutics Ltd. - ADR	AUTL	14-Nov-2019
19	AvalonBay Communities, Inc.	AVB	7-Nov-2019
20	Avery Dennison Corporation	AVY	7-Nov-2019
21	Axis Capital Holdings Limited	AXS	18-Nov-2019
22	Bank of Hawaii Corp.	BOH	18-Nov-2019
23	BCE, Inc.	BCE	14-Nov-2019
24	Blue Apron Holdings, Inc.	APRN	21-Nov-2019
25	Boston Beer Co. Inc.	SAM	19-Nov-2019
26	Brandywine Realty Trust	BDN	14-Nov-2019
27	Brookdale Senior Living Inc.	BKD	18-Nov-2019
28	Bunge Limited	BG	18-Nov-2019
29	Cadence Design Systems, Inc.	CDNS	22-Nov-2019
30	CarGurus Inc.	CARG	18-Nov-2019
31	CDK Global Incorporated	CDK	21-Nov-2019
32	CECO Environmental Corporation	CECE	18-Nov-2019
33	Chico's FAS Inc.	CHS	6-Nov-2019

34	Church & Dwight Co. Inc.	CHD	15-Nov-2019
35	Cimarex Energy Co.	XEC	6-Nov-2019
36	Cintas Corp.	CTAS	15-Nov-2019
37	Comtech Telecommunications Corp.	CMTL	12-Nov-2019
38	Concho Resources, Inc.	CXO	13-Nov-2019
39	Consolidated Edison, Inc.	ED	20-Nov-2019
40	Coupa Software, Inc.	COUP	12-Nov-2019
41	Cracker Barrel Old Country Store, Inc.	CBRL	18-Nov-2019
42	Deckers Outdoor Corp	DECK	7-Nov-2019
43	Dova Pharmaceuticals, Inc.	DOVA	12-Nov-2019
44	Elastic N.V.	ESTC	19-Nov-2019
45	Equity Residential	EQR	13-Nov-2019
46	Establishment Labs Holdings Inc.	ESTA	19-Nov-2019
47	EverQuote Inc.	EVER	20-Nov-2019
48	Farfetch Ltd.	FTCH	21-Nov-2019
49	FBL Financial Group, Inc.	FFG	20-Nov-2019
50	Fiesta Restaurant Group Inc.	FRGI	21-Nov-2019
51	First Midwest Bancorp, Inc.	FMBI	14-Nov-2019
52	FleetCor Technologies, Inc.	FLT	20-Nov-2019
53	Foot Locker Inc.	FL	21-Nov-2019
54	Forty Seven, Inc.	FTSV	21-Nov-2019
55	Fulgent Genetics, Inc.	FLGT	8-Nov-2019
56	Generac Holdings, Inc.	GNRC	14-Nov-2019
57	Gritstone Oncology, Inc.	GRTS	21-Nov-2019
58	Guardant Health, Inc.	GH	8-Nov-2019
59	Heritage Financial Corp.	HFWA	20-Nov-2019
60	Host Hotels & Resorts Inc.	HST	20-Nov-2019
61	Howard Hughes Corporation, The	HHC	20-Nov-2019
62	Humana Inc.	HUM	6-Nov-2019
63	Huron Consulting Group Inc.	HURN	21-Nov-2019
64	i3 Verticals, Inc.	IIIV	21-Nov-2019
65	ICU Medical, Inc.	ICUI	20-Nov-2019
66	International Flavors & Fragrances Inc.	IFF	21-Nov-2019
67	Interpid Potash, Inc.	IPI	6-Nov-2019
68	IPG Photonics Corporation	IPGP	6-Nov-2019
69	iRobot Corporation	IRBT	8-Nov-2019
70	ITT, Inc.	ITT	6-Nov-2019
71	KAR Auction Services, Inc.	KAR	6-Nov-2019
72	Kemper Corporation	KMPR	7-Nov-2019
73	Kennametal Inc.	KMT	18-Nov-2019
74	Kodiak Sciences, Inc.	KOD	15-Nov-2019
75	Krystal Biotech Inc.	KRYS	21-Nov-2019
76	La Jolla Pharmaceutical	LJPC	15-Nov-2019
77	Liberty Property Trust	LPT	6-Nov-2019
78	Loews Corporation	L	6-Nov-2019
79	LPL Financial Holdings, Inc.	LPLA	7-Nov-2019
80	LSI Industries Inc.	LYTS	7-Nov-2019
81	Macerich Co.	MAC	6-Nov-2019
82	Manitowoc Company, Inc., The	MTW	14-Nov-2019

83	ManpowerGroup, Inc.	MAN	6-Nov-2019
84	Marten Transport Ltd.	MRTN	13-Nov-2019
85	Martin Marietta Materials Inc.	MLM	6-Nov-2019
86	Masco Corp	MAS	13-Nov-2019
87	McCormick & Co Inc.	MKC	13-Nov-2019
88	Mettler-Toledo International Inc.	MTD	21-Nov-2019
89	Monster Beverage Corporation	MNST	7-Nov-2019
90	Murphy Oil Corporation	MUR	6-Nov-2019
91	North American Energy Partners Inc.	NOA	7-Nov-2019
92	Nuance Communications, Inc.	NUAN	12-Nov-2019
93	Oceaneering International, Inc.	OII	18-Nov-2019
94	Pacific Biosciences of California Inc.	PACB	21-Nov-2019
95	Pacific Premier Bancorp Inc.	PPBI	6-Nov-2019
96	Patterson Companies, Inc.	PDCO	7-Nov-2019
97	PGT Innovations Inc.	PGTI	6-Nov-2019
98	Piedmont Office Realty Trust Inc.	PDM	7-Nov-2019
99	Pioneer Natural Resources Co.	PXD	18-Nov-2019
100	Principia Biopharma Inc.	PRNB	14-Nov-2019
101	Qiagen NV	QGEN	12-Nov-2019
102	Reinsurance Group of America Inc.	RGA	7-Nov-2019
103	Replimune Group, Inc.	REPL	14-Nov-2019
104	Republic Bancorp, Inc.	RBCAA	20-Nov-2019
105	Retrophin Inc.	RTRX	14-Nov-2019
106	Royal Gold Inc.	RGLD	18-Nov-2019
107	Ryman Hospitality Properties, Inc.	RHP	21-Nov-2019
108	Silgan Holdings Inc.	SLGN	12-Nov-2019
109	Splunk Inc.	SPLK	19-Nov-2019
110	Stifel Financial Corp.	SF	20-Nov-2019
111	Teradyne, Inc.	TER	14-Nov-2019
112	Trimble, Inc.	TRMB	22-Nov-2019
113	Validus Holdings, Ltd.	VR	22-Nov-2019
114	Verisign, Inc.	VRSN	20-Nov-2019
115	Vishay Intertechnology, Inc.	VSH	14-Nov-2019
116	W.R. Grace & Co.	GRA	12-Nov-2019
117	Waste Connections, Inc.	WCN	22-Nov-2019
118	Weingarten Realty Investors	WRI	21-Nov-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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