

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

## No Recent SEC Investigative Records Found – 168 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	51job, Inc.	JOBS	3-Dec-2019
2	ABM Industries Inc.	ABM	3-Dec-2019
3	Acacia Communications, Inc.	ACIA	20-Dec-2019
4	Acorda Therapeutics, Inc.	ACOR	17-Dec-2019
5	AGCO Corporation	AGCO	3-Dec-2019
6	Alkermes Plc	ALKS	26-Nov-2019
7	Allscripts Healthcare Solutions, Inc.	MDRX	10-Dec-2019
8	Altria Group, Inc.	MO	11-Dec-2019
9	American National Insurance Co.	ANAT	20-Dec-2019
10	American Public Education, Inc.	APEI	26-Nov-2019
11	American Tower Corporation	AMT	19-Dec-2019
12	Amphastar Pharmaceutical Inc.	AMPH	19-Dec-2019
13	AptarGroup, Inc.	ATR	9-Dec-2012
14	Aptinyx Inc.	APTX	25-Nov-2019
15	Assured Guaranty Ltd.	AGO	4-Dec-2019
16	Autodesk, Inc.	ADSK	20-Dec-2019
17	AutoNation Inc.	AN	27-Nov-2019
18	Avista Corp.	AVA	9-Dec-2019
19	AXT Inc.	AXTI	9-Dec-2019
20	B&G Foods Inc.	BGS	3-Dec-2019
21	Badger Meter Inc.	BMI	4-Dec-2019
22	Big Lots, Inc.	BIG	9-Dec-2019
23	Bio-Rad Laboratories, Inc.	BIO	27-Nov-2019
24	Blackberry Ltd.	BBRY	11-Dec-2019
25	BOK Financial Corporation	BOKF	4-Dec-2019
26	Brown-Forman Corporation	BF.B	25-Nov-2019
27	Bruker Corporation	BRKR	12-Dec-2019
28	Camden Property Trust	CPT	25-Nov-2019
29	Canadian Natural Resources Limited	CNQ	4-Dec-2019
30	Capitol Federal Financial Inc.	CFFN	19-Dec-2019
31	Carlisle Companies Incorporated	CSL	9-Dec-2019
32	Caterpillar Inc.	CAT	11-Dec-2019
33	CenturyLink Inc.	CTL	11-Dec-2019

34	CH Robinson Worldwide Inc.	CHRW	9-Dec-2019
35	Charles River Laboratories International Inc.	CRL	9-Dec-2019
36	Chegg Inc.	CHGG	26-Nov-2019
37	China Automotive Systems, Inc.	CAAS	4-Dec-2019
38	China Life Insurance Co. Ltd.	LFC	2-Dec-2019
39	CIT Group Inc.	CIT	9-Dec-2019
40	CME Group, Inc.	CME	17-Dec-2019
41	CNO Financial Group, Inc.	CNO	12-Dec-2019
42	Coca-Cola Enterprises Inc.	CCE	12-Dec-2019
43	Contango Oil & Gas Company	MCF	12-Dec-2019
44	Copart, Inc.	CPRT	9-Dec-2019
45	CorVel Corporation	CRVL	9-Dec-2019
46	Coty, Inc.	COTY	11-Dec-2019
47	Crane Co.	CR	9-Dec-2019
48	Deluxe Corp.	DLX	19-Dec-2019
49	Denbury Resources, Inc.	DNR	19-Dec-2019
50	Dominion Resources, Inc.	D	19-Dec-2019
51	Douglas Emmett, Inc.	DEI	27-Nov-2019
52	DTE Energy Co.	DTE	9-Dec-2019
53	Duke Realty Corp	DRE	10-Dec-2019
54	East West Bancorp Inc.	EWBC	27-Nov-2019
55	Edison International	EIX	26-Nov-2019
56	Emerson Electric Co.	EMR	20-Dec-2019
57	Employers Holdings, Inc.	EIG	13-Dec-2019
58	Energy Recovery, Inc.	ERII	3-Dec-2019
59	Enochian Biosciences, Inc.	ENOB	3-Dec-2019
60	Enphase Energy, Inc.	ENPH	19-Dec-2019
61	Entasis Therapeutics Holdings, Inc.	ETTX	11-Dec-2019
62	EQT Corp.	EQT	19-Dec-2019
63	FirstEnergy Corp.	FE	9-Dec-2019
64	Flowers Foods, Inc.	FLO	9-Dec-2019
65	FNB Corporation	FNB	27-Nov-2019
66	Fortinet, Inc.	FTNT	9-Dec-2019
67	Frontier Communications Corporation	FTR	12-Dec-2019
68	Garmin Ltd.	GRMN	26-Nov-2019
69	Graco, Inc.	GGG	9-Dec-2019
70	Graham Holdings Company	GHC	19-Dec-2019
71	Healthcare Realty Trust Incorporated	HR	13-Dec-2019
72	Hill-Rom Holdings, Inc.	HRC	9-Dec-2019
73	Hilltop Holdings Inc.	HTH	26-Nov-2019
74	Hormel Foods Corp.	HRL	9-Dec-2019
75	Idexx Laboratories, Inc.	IDXX	18-Nov-2019
76	Ingredion, Inc.	INGR	26-Nov-2019
77	Inovio Pharmaceuticals, Inc.	INO	25-Nov-2019
78	Invesco Mortgage Capital Inc.	IVR	13-Dec-2019
79	Kellogg Company	K	19-Dec-2019
80	Key Energy Services, Inc.	KEG	5-Dec-2019
81	Kimberly-Clark Corporation	KMB	19-Dec-2019
82	KLA Corporation	KLAC	26-Nov-2019

83	Kronos Worldwide Inc.	KRO	5-Dec-2019
84	Laboratory Corporation of America Holdings	LH	20-Dec-2019
85	Leggett & Platt, Inc.	LEG	13-Dec-2019
86	Libbey, Inc.	LBY	10-Dec-2019
87	Limelight Networks, Inc.	LLNW	20-Dec-2019
88	Lowe's Companies Inc.	LOW	26-Nov-2019
89	Mack-Cali Realty Corp.	CLI	13-Dec-2019
90	McGrath Rentcorp	MGRC	19-Dec-2019
91	MDC Partners Inc.	MDCA	18-Dec-2019
92	MDU Resources Group, Inc.	MDU	10-Dec-2019
93	Meredith Corporation	MDP	10-Dec-2019
94	MGP Ingredients Inc.	MGPI	12-Dec-2019
95	Middleby Corp.	MIDD	19-Dec-2019
96	Mobile Mini, Inc.	MINI	19-Dec-2019
97	Modine Manufacturing Co.	MOD	19-Dec-2019
98	Monarch Casino & Resort Inc.	MCRI	12-Dec-2019
99	MTS Systems Corporation	MTSC	6-Dec-2019
100	National Health Investors Inc.	NHI	27-Nov-2019
101	Navigant Consulting Inc.	NCI	25-Nov-2019
102	New Senior Investment Group Inc.	SNR	6-Dec-2019
103	NewMarket Corporation	NEU	25-Nov-2019
104	News Corp.	NWSA	18-Dec-2019
105	NextEra Energy, Inc.	NEE	26-Nov-2019
106	Nielsen NV Ordinary Shares	NLSN	17-Dec-2019
107	NN, Inc.	NNBR	13-Dec-2019
108	Northrop Grumman Corp.	NOC	12-Dec-2019
109	Northwest Natural Gas Co.	NWN	13-Dec-2019
110	Novan Inc.	NOVN	2-Dec-2019
111	OGE Energy Corp.	OGE	25-Nov-2019
112	Oil States International Inc.	OIS	26-Nov-2019
113	Old Republic International Corporation	ORI	17-Dec-2019
114	PacWest Bancorp	PACW	13-Dec-2019
115	Pegasystems Inc.	PEGA	17-Dec-2019
116	Penn National Gaming, Inc.	PENN	17-Dec-2019
117	People's United Financial Inc.	PBCT	25-Nov-2019
118	Perrigo Company Plc	PRGO	17-Dec-2019
119	Phunware, Inc.	PHUN	18-Dec-2019
120	Pinnacle West Capital Corporation	PNW	6-Dec-2019
121	Pool Corp.	POOL	17-Dec-2019
122	Powell Industries Inc.	POWL	26-Nov-2019
123	Power Integrations Inc.	POWI	17-Dec-2019
124	PRA Group Inc.	PRAA	25-Nov-2019
125	Prologis Inc.	PLD	9-Dec-2019
126	PulteGroup, Inc.	PHM	3-Dec-2019
127	PVH Corp.	PVH	26-Nov-2019
128	Quidel Corp.	QDEL	4-Dec-2019
129	Ralph Lauren Corporation	RL	4-Dec-2019
130	Range Resources Corp.	RRC	13-Dec-2019
131	Regions Financial Corp.	RF	12-Dec-2019

132	Renasant Corp.	RNST	10-Dec-2019
133	Republic Services, Inc.	RSG	25-Nov-2019
134	Robert Half International Inc.	RHI	2-Dec-2019
135	Rockwell Automation Inc.	ROK	11-Dec-2019
136	Sarepta Therapeutics Inc.	SRPT	2-Dec-2019
137	SBA Communications Corporation	SBAC	5-Dec-2019
138	Semtech Corporation	SMTC	19-Dec-2019
139	Senior Housing Properties Trust	SNH	10-Dec-2019
140	Shenandoah Telecommunications Co.	SHEN	2-Dec-2019
141	Sherwin-Williams Company, The	SHW	9-Dec-2019
142	Simpson Manufacturing Co. Inc.	SSD	3-Dec-2019
143	Snap-On Inc.	SNA	19-Dec-2019
144	Sonos, Inc.	SONO	5-Dec-2019
145	Southern Copper Corp.	SCCO	5-Dec-2019
146	StarTek, Inc.	SRT	25-Nov-2019
147	Synopsys Inc.	SNPS	25-Nov-2019
148	Taiwan Semiconductor Manufacturing Company Ltd	TSM	26-Nov-2019
149	Take-Two Interactive Software Inc.	TTWO	25-Nov-2019
150	Taubman Centers, Inc.	TCO	17-Dec-2019
151	Terex Corp.	TEX	19-Dec-2019
152	Texas Instruments, Inc.	TXN	13-Dec-2019
153	Thor Industries, Inc.	THO	10-Dec-2019
154	Tiffany & Co.	TIF	25-Nov-2019
155	Timken Company, The	TKR	9-Dec-2019
156	Transocean Ltd.	RIG	20-Dec-2019
157	Travelers Companies Inc., The	TRV	25-Nov-2019
158	Tupperware Brands Corporation	TUP	25-Nov-2019
159	Urovant Sciences Ltd.	UROV	5-Dec-2019
160	Vaccinex, Inc.	VCNX	9-Dec-2019
161	Verrica Pharmaceuticals, Inc.	VRCA	29-Nov-2019
162	Vulcan Materials Co.	VMC	5-Dec-2019
163	WABCO Holdings, Inc.	WBC	10-Dec-2019
164	Washington Federal, Inc.	WAFD	10-Dec-2019
165	Wendy's Company, The	WEN	13-Dec-2019
166	Wyndham Destinations, Inc.	WYND	13-Dec-2019
167	Xcel Energy Inc.	XEL	13-Dec-2019
168	Y-mAbs Therapeutics Inc.	YMAB	29-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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