

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

No Recent SEC Investigative Records Found – 124 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	Abbott Laboratories	ABT	30-Jan-2020
2	Aimmune Therapeutics Inc.	AIMT	30-Jan-2020
3	Alcoa Inc.	AA	30-Jan-2020
4	American Airlines Group Inc.	AAL	28-Jan-2020
5	American Outdoor Brands Corp.	AOBC	27-Jan-2020
6	American States Water Company	AWR	28-Jan-2020
7	Analog Devices, Inc.	ADI	24-Jan-2020
8	Annaly Capital Management Inc.	NLY	28-Jan-2020
9	Anworth Mortgage Asset Corporation	ANH	22-Jan-2020
10	Apache Corporation	APA	13-Jan-2020
11	BankFinancial Corp.	BFIN	30-Jan-2020
12	BB&T Corp.	BBT	27-Jan-2020
13	Beyond Meat, Inc.	BYND	31-Jan-2020
14	Biglari Holdings, Inc.	BH	30-Jan-2020
15	British American Tobacco, Plc.	BTI	16-Jan-2020
16	California Water Service Group	CWT	28-Jan-2020
17	Carbo Ceramics Inc.	CRR	15-Jan-2020
18	Carmax, Inc.	KMX	31-Jan-2020
19	Cedar Fair, L.P.	FUN	31-Jan-2020
20	Chesapeake Utilities Corporation	CPK	22-Jan-2020
21	CMS Energy Corp.	CMS	14-Jan-2020
22	Coherent, Inc.	COHR	28-Jan-2020
23	Comcast Corporation	CMCSA	28-Jan-2020
24	Cooper Companies Inc., The	COO	19-Jan-2020
25	Cooper Tire & Rubber Co.	CTB	15-Jan-2020
26	Cott Corporation	COT	29-Jan-2020
27	Cousins Properties Incorporated	CUZ	29-Jan-2020
28	Covanta Holding Corporation	CVA	10-Jan-2020
29	CTI BioPharma Corporation	CTIC	29-Jan-2020
30	CVR Energy, Inc.	CVI	28-Jan-2020
31	Daktronics Inc.	DAKT	13-Jan-2020
32	Darden Restaurants, Inc.	DRI	28-Jan-2020
33	Deere & Co.	DE	30-Jan-2020

34	Delek US Holdings, Inc.	DK	19-Jan-2020
35	Dime Community Bancshares, Inc.	DCOM	30-Jan-2020
36	Duke Energy Corporation	DUK	29-Jan-2020
37	Eastman Chemical Co.	EMN	15-Jan-2020
38	Ecolab, Inc.	ECL	31-Jan-2020
39	Emergent BioSolutions Inc.	EBS	30-Jan-2020
40	Erie Indemnity Company	ERIE	21-Jan-2020
41	Estee Lauder Companies, Inc.	EL	23-Jan-2020
42	Financial Institutions, Inc.	FISI	17-Jan-2020
43	FLIR Systems, Inc.	FLIR	17-Jan-2020
44	Francesca's Holdings Corporation	FRAN	30-Jan-2020
45	GCI Liberty, Inc.	GLIBA	10-Jan-2020
46	Genesis Energy LP	GEL	31-Jan-2020
47	Genworth Financial Inc.	GNW	23-Jan-2020
48	Grand Canyon Education Inc.	LOPE	16-Jan-2020
49	Great Lakes Dredge & Dock Corp.	GLDD	17-Jan-2020
50	Greenhill & Co., Inc.	GHL	14-Jan-2020
51	Hanmi Financial Corp.	HAFC	31-Jan-2020
52	Hawaiian Electric Industries Inc.	HE	14-Jan-2020
53	Heartland Express, Inc.	HTLD	28-Jan-2020
54	Hecla Mining Co.	HL	21-Jan-2020
55	Heidrick & Struggles International, Inc.	HSII	24-Jan-2020
56	Helen of Troy Limited	HELE	22-Jan-2020
57	Herman Miller, Inc.	MLHR	30-Jan-2020
58	Hershey Company, The	HSY	27-Jan-2020
59	Hologic Inc.	HOLX	27-Jan-2020
60	Illumina Inc.	ILMN	23-Jan-2020
61	Incyte Corp.	INCY	23-Jan-2020
62	Insperty, Inc.	NSP	16-Jan-2020
63	Integra Lifescience Holdings Corporation	IART	16-Jan-2020
64	International Game Technology	IGT	21-Jan-2020
65	INTL Fcstone, Inc.	INTL	30-Jan-2020
66	Iron Mountain, Inc.	IRM	23-Jan-2020
67	Jazz Pharmaceuticals Plc	JAZZ	13-Jan-2020
68	Kemet Corp.	KEM	30-Jan-2020
69	Kilroy Realty Corporation	KRC	24-Jan-2020
70	Kinder Morgan Inc.	KMI	23-Jan-2020
71	Kirkland's Inc.	KIRK	21-Jan-2020
72	Korn/Ferry International	KFY	22-Jan-2020
73	Kroger Co., The	KR	21-Jan-2020
74	Lancaster Colony Corporation	LANC	24-Jan-2020
75	Liberty Global PLC	LBTYA	30-Jan-2020
76	Lindsay Corporation	LNN	13-Jan-2020
77	Littelfuse, Inc.	LFUS	28-Jan-2020
78	Madison Square Garden Company, The	MSG	13-Jan-2020
79	Magellan Health Services Inc.	MGLN	21-Jan-2020
80	Magellan Midstream Partners LP	MMP	27-Jan-2020
81	Mantech International Corporation	MANT	27-Jan-2020
82	Marcus Corporation	MCS	27-Jan-2020

83	Marriott Vacations Worldwide Corp.	VAC	23-Jan-2020
84	McDonald's Corp.	MCD	23-Jan-2020
85	MGE Energy Inc.	MGEE	27-Jan-2020
86	Movado Group, Inc.	MOV	13-Jan-2020
87	Mueller Water Products, Inc.	MWA	14-Jan-2020
88	Murphy USA, Inc.	MUSA	14-Jan-2020
89	Newpark Resources Inc.	NR	23-Jan-2020
90	NuStar Energy, L.P.	NS	13-Jan-2020
91	NVR Inc.	NVR	21-Jan-2020
92	Pentair Plc	PNR	13-Jan-2020
93	Pier 1 Imports Inc.	PIR	17-Jan-2020
94	Popular, Inc.	BPOP	28-Jan-2020
95	PotlatchDeltic Corporation	PCH	29-Jan-2020
96	QEP Resources Inc.	QEP	29-Jan-2020
97	Regency Centers Corporation	REG	31-Jan-2020
98	Reliance Steel & Aluminum Co.	RS	13-Jan-2020
99	Ross Stores, Inc.	ROST	31-Jan-2020
100	Sabine Royalty Trust	SBR	30-Jan-2020
101	Safeguard Scientifics, Inc.	SFE	30-Jan-2020
102	Sanderson Farms, Inc.	SAFM	23-Jan-2020
103	Santander Consumer USA Holdings, Inc.	SC	15-Jan-2020
104	Seattle Genetics Inc.	SGEN	21-Jan-2020
105	SJW Corp.	SJW	27-Jan-2020
106	SK Telecom Co Ltd.	SKM	23-Jan-2020
107	SL Green Realty Corporation	SLG	30-Jan-2020
108	SLM Corporation	SLM	23-Jan-2020
109	SVB Financial Group	SIVB	17-Jan-2020
110	Sysco Corporation	SYX	27-Jan-2020
111	Team, Inc.	TISI	14-Jan-2020
112	Ternium S.A.	TX	30-Jan-2020
113	TerraForm Power, Inc.	TERP	21-Jan-2020
114	Tilray, Inc.	TLRY	28-Jan-2020
115	Toll Brothers Inc.	TOL	21-Jan-2020
116	TTEC Holdings, Inc.	TTEC	30-Jan-2020
117	Union Pacific Corporation	UNP	31-Jan-2020
118	Vipshop Holdings Ltd. - ADR	VIPS	10-Jan-2020
119	Virtus Investment Partners Inc.	VRTS	23-Jan-2020
120	Washington Prime Group, Inc.	WPG	27-Jan-2020
121	Waste Management, Inc.	WM	16-Jan-2020
122	Whirlpool Corporation	WHR	13-Jan-2020
123	Williams-Sonoma Inc.	WSM	21-Jan-2020
124	Xerox Corp.	XRX	13-Jan-2020

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.

**Clients are invited to contact us anytime, in total confidence,
to discuss how to better assess the companies we identify here.**

Probes Reporter® research provides data, commentary, and analysis on public company interactions with investors and with the SEC. Our work is heavily reliant on company disclosures and our expertise in using the Freedom of Information Act.

**Clients may visit www.probesreporter.com
to get access to our full research archive.**

**Email: clients@probesreporter.com
Telephone: 763-595-0900 (USA)**

To learn more about our research process, including how to best use this information in your own decision-making, [click here](#).

Our Terms of Service, relevant disclosures, and other legal notices [can be found here](#).

Copyright Warning and Notice

The works of authorship contained in the accompanying material, including but not limited to all data, design, text, images, charts and other data compilations or collective works are owned by Probes Reporter, LLC or one of its affiliates and may not be copied, reproduced, transmitted, displayed, performed, distributed, rented, sublicensed, altered, or stored for subsequent use, in whole or in part in any manner, without the prior written consent of Probes Reporter, LLC.

Photocopying or electronic distribution of any of the accompanying material or contents without the prior written consent of Probes Reporter, LLC violates U.S. copyright law, and may be punishable by statutory damages of up to \$150,000 per infringement, plus attorneys' fees (17 USC 504 et. seq.). Without advance permission, illegal copying includes regular photocopying, faxing, excerpting, forwarding electronically, and sharing of online access.

Intellectual Property

© 2020 Probes Reporter, LLC. All rights reserved. Probes Reporter®; They Know it. Now You Know It.®; Better Disclosure for Better Decisions®; Disclosure Insight®; and Disclosure Games® are trademarks of Probes Reporter, LLC and are proprietary.

DISCLAIMER

Probes Reporter, LLC is not an investment adviser and does not offer or provide personalized investment advice. The information in our reports and appearing on ProbesReporter.com is not a solicitation connected to any security. The

information we provide is obtained from company submissions and our own Freedom of Information requests made to the Securities and Exchange Commission. No representation or warranty is made as to the timeliness or completeness of any information found in our reports or on ProbesReporter.com.

Probes Reporter does not adopt the truth or falsity of the contents of any of the documents or filings referred to on this website, and no conclusion of wrongdoing should be inferred from the fact that an investigation has been initiated by the SEC. Probes Reporter is not the guarantor of any investment and cannot be held liable for any losses or expenses incurred as a result of reliance upon any information contained herein, and ProbesReporter.com is not a substitute for your own due diligence, which may include advice from an investment professional.

With few exceptions, Probes Reporter, LLC prohibits its employees and principals from trading of any kind in any individual public company securities, or derivatives thereof, on any company on which production of any new research report has commenced. Such prohibitions shall remain in place until either 5 days after the individual research report has been published or its production otherwise ceases.

Probes Reporter, LLC does not engage in investment banking activities or take any security positions, except those necessary for routine corporate treasury functions

Our full trading policy, along with our Terms of Service, relevant disclosures, and other legal notices [can be found here](#).
