

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

## No Recent SEC Investigative Records Found – 97 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	Accuray Incorporated	ARRAY	6-Feb-2020
2	AerCap Holdings N.V.	AER	6-Feb-2020
3	American Woodmark Corp	AMWD	5-Feb-2020
4	Armstrong World Industries Inc.	AWI	6-Feb-2020
5	Autozone, Inc.	AZO	11-Feb-2020
6	Bank of Commerce Holdings	BOCH	6-Feb-2020
7	Buckle Inc.	BKE	25-Feb-2020
8	Caesars Entertainment Corp.	CZR	13-Feb-2020
9	California Resources Corp.	CRC	7-Feb-2020
10	Canopy Growth Corporation	CGC	5-Feb-2020
11	CBS Corp.	CBS	24-Feb-2020
12	Celgene Corporation	CELG	11-Feb-2020
13	China Unicom (Hong Kong) Limited	CHU	13-Feb-2020
14	Chipotle Mexican Grill, Inc.	CMG	20-Feb-2020
15	Cirrus Logic, Inc.	CRUS	4-Feb-2020
16	Cliffs Natural Resources Inc.	CLF	13-Feb-2020
17	Cosan Ltd.	CZZ	4-Feb-2020
18	CRA International, Inc.	CRAI	6-Feb-2020
19	Credicorp Ltd	BAP	6-Feb-2020
20	Cresco Labs, Inc. (aka Cresco Labs, LLC)		5-Feb-2020
21	Cronos Group, Inc.	CRON	13-Feb-2020
22	Delta Air Lines Inc.	DAL	25-Feb-2020
23	Denny's Corporation	DENN	5-Feb-2020
24	DexCom, Inc.	DXCM	5-Feb-2020
25	Domino's Pizza, Inc.	DPZ	13-Feb-2020
26	Ennis Inc.	EBF	5-Feb-2020
27	Enova International Inc.	ENVA	5-Feb-2020
28	F5 Networks, Inc.	FFIV	20-Feb-2020
29	Fanhua, Inc.	FANH	13-Feb-2020
30	First Bancorp	FBP	24-Feb-2020
31	First Commonwealth Financial Corp.	FCF	7-Feb-2020
32	First Community Bancshares, Inc.	FCBC	24-Feb-2020
33	FirstCash, Inc.	FCFS	20-Feb-2020

34	Gap, Inc.	GPS	25-Feb-2020
35	GATX Corp.	GMT	20-Feb-2020
36	Gildan Activewear Inc.	GIL	18-Feb-2020
37	Globus Medical Inc.	GMED	4-Feb-2020
38	Gran Tierra Energy, Inc.	GTE	20-Feb-2020
39	Granite Construction Incorporated	GVA	24-Feb-2020
40	Hancock Whitney Corporation	HWC	20-Feb-2020
41	Harmonic Inc.	HLIT	25-Feb-2020
42	Henry Schein, Inc.	HSIC	24-Feb-2020
43	Hexcel Corp.	HXL	4-Feb-2020
44	ImmunoGen, Inc.	IMGN	25-Feb-2020
45	Independent Bank Corp.	IBCP	10-Feb-2020
46	Intevac, Inc.	IVAC	25-Feb-2020
47	Kearny Financial Corp.	KRNY	4-Feb-2020
48	Knoll, Inc.	KNL	5-Feb-2020
49	Knowles Corp.	KN	12-Feb-2020
50	Lamar Advertising Co.	LAMR	18-Feb-2020
51	La-Z-Boy Incorporated	LZB	21-Feb-2020
52	Liquidity Services, Inc.	LQDT	11-Feb-2020
53	Louisiana-Pacific Corp.	LPX	5-Feb-2020
54	Manhattan Associates Inc.	MANH	11-Feb-2020
55	Marathon Oil Corporation	MRO	20-Feb-2020
56	Marcus & Millichap Inc.	MMI	6-Feb-2020
57	Matthews International Corp.	MATW	18-Feb-2020
58	MBIA Inc.	MBI	12-Feb-2020
59	Methode Electronics, Inc.	MEI	11-Feb-2020
60	Moelis & Co.	MC	20-Feb-2020
61	Mondelez International, Inc.	MDLZ	24-Feb-2020
62	Nabors Industries Ltd.	NBR	5-Feb-2020
63	National Presto Industries, Inc.	NPK	12-Feb-2020
64	New Oriental Education & Technology Group, Inc.	EDU	14-Feb-2020
65	Nordson Corporation	NDSN	25-Feb-2020
66	Parker-Hannifin Corporation	PH	12-Feb-2020
67	Pennsylvania REIT	PEI	3-Feb-2020
68	Philip Morris International Inc.	PM	25-Feb-2020
69	Polaris Inc. (fka Polaris Industries Inc.)	PII	7-Feb-2020
70	PPL Corp.	PPL	18-Feb-2020
71	Price T. Rowe Group, Inc.	TROW	18-Feb-2020
72	ProAssurance Corporation	PRA	11-Feb-2020
73	Progenics Pharmaceuticals, Inc.	PGNX	5-Feb-2020
74	Qutoutiao, Inc.	QTT	18-Feb-2020
75	Rigel Pharmaceuticals, Inc.	RIGL	12-Feb-2020
76	Rogers Communications, Inc.	RCI	13-Feb-2020
77	Saia, Inc.	SAIA	4-Feb-2020
78	Signature Bank	SBNY	18-Feb-2020
79	SolarEdge Technologies Inc.	SEDG	25-Feb-2020
80	South Jersey Industries, Inc.	SJI	25-Feb-2020
81	Southwest Gas Corporation	SWX	14-Feb-2020
82	Stage Stores Inc.	SSI	24-Feb-2020

83	Stoneridge Inc.	SRI	25-Feb-2020
84	Sun Life Financial Inc.	SLF	5-Feb-2020
85	TE Connectivity Ltd.	TEL	18-Feb-2020
86	Tennant Company	TNC	18-Feb-2020
87	Town Sports International Holdings Inc.	CLUB	6-Feb-2020
88	Umpqua Holdings Corporation	UMPQ	6-Feb-2020
89	Unum Group	UNM	14-Feb-2020
90	Uxin Ltd.	UXIN	25-Feb-2020
91	Valley National Bancorp	VLV	12-Feb-2020
92	Valmont Industries, Inc.	VMI	4-Feb-2020
93	Vera Bradley, Inc.	VRA	19-Feb-2020
94	Vista Outdoor, Inc.	VSTO	12-Feb-2020
95	Western Digital Corporation	WDC	5-Feb-2020
96	Whiting Petroleum Corp.	WLL	3-Feb-2020
97	WPX Energy Inc.	WPX	25-Feb-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](http://www.probesreporter.com)  
to get access to our full research archive.**

**Email: [clients@probesreporter.com](mailto: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](#).

\_\_\_\_\_