

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

## No Recent SEC Investigative Records Found – 117 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	Adams Resources & Energy, Inc.	AE	28-Feb-2020
2	Agnico-Eagle Mines Ltd.	AEM	28-Feb-2020
3	Alamo Group, Inc.	ALG	28-Feb-2020
4	Alexander's Inc.	ALX	13-Mar-2020
5	Align Technology, Inc.	ALGN	4-Mar-2020
6	Alnylam Pharmaceuticals, Inc.	ALNY	3-Mar-2020
7	American Eagle Outfitters, Inc.	AEO	5-Mar-2020
8	America's Car-Mart Inc.	CRMT	9-Mar-2020
9	ANSYS Inc.	ANSS	28-Feb-2020
10	Ashland Global Holdings Inc.	ASH	10-Mar-2020
11	Assurant Inc.	AIZ	4-Mar-2020
12	Brady Corp.	BRC	9-Mar-2020
13	Briggs & Stratton Corporation	BGG	28-Feb-2020
14	Callaway Golf Co.	ELY	26-Feb-2020
15	Career Education Corporation	CECO	28-Feb-2020
16	CF Industries Holdings, Inc.	CF	11-Mar-2020
17	Chimera Investment Corporation	CIM	13-Mar-2020
18	Coca Cola Bottling Co. Consolidated	COKE	9-Mar-2020
19	Cogent Communications Holdings, Inc.	CCOI	12-Mar-2020
20	Colfax Corp.	CFX	13-Mar-2020
21	Columbia Sportswear Company	COLM	6-Mar-2020
22	Comfort Systems USA Inc.	FIX	10-Mar-2020
23	CommVault Systems Inc.	CVLT	6-Mar-2020
24	Corning Inc.	GLW	10-Mar-2020
25	Corporate Office Properties Trust	OFC	27-Feb-2020
26	Crawford & Company	CRD-A	28-Feb-2020
27	Crimson Wine Group Ltd	CWGL	26-Feb-2020
28	CryoLife, Inc.	CRY	12-Mar-2020
29	Delphi Automotive Plc.	DLPH	3-Mar-2020
30	Dick's Sporting Goods, Inc.	DKS	28-Feb-2020
31	Dish Network Corp.	DISH	27-Feb-2020
32	Dollar Tree, Inc.	DLTR	9-Mar-2020
33	Dunkin' Brands Group, Inc.	DNKN	12-Mar-2020

34	E Trade Financial Corporation	ETFC	10-Mar-2020
35	Eagle Bulk Shipping, Inc.	EGLE	10-Mar-2020
36	El Pollo Loco Holdings Inc.	LOCO	10-Mar-2020
37	Emcore Corporation	EMKR	5-Mar-2020
38	Encore Wire Corp.	WIRE	27-Feb-2020
39	Endurance International Group Holdings, Inc.	EIGI	3-Mar-2020
40	Enstar Group Limited	ESGR	5-Mar-2020
41	Entegris, Inc.	ENTG	6-Mar-2020
42	Federal Signal Corp.	FSS	28-Feb-2020
43	Federated Investors, Inc.	FII	10-Mar-2020
44	First Defiance Financial Corporation	FDEF	3-Mar-2020
45	Gencor Industries Inc.	GENC	28-Feb-2020
46	Gibraltar Industries Inc.	ROCK	28-Feb-2020
47	Globalstar Inc.	GSAT	28-Feb-2020
48	GNC Holdings Inc.	GNC	28-Feb-2020
49	Goodyear Tire & Rubber Co.	GT	28-Feb-2020
50	Heritage Commerce Corp.	HTBK	4-Mar-2020
51	HNI Corp.	HNI	28-Feb-2020
52	Infinera Corp.	INFN	3-Mar-2020
53	Intercontinental Exchange, Inc.	ICE	10-Mar-2020
54	Iridex Corporation	IRIX	28-Feb-2020
55	K12 Inc.	LRN	3-Mar-2020
56	KeyCorp	KEY	28-Feb-2020
57	KVH Industries, Inc.	KVHI	3-Mar-2020
58	Landstar System Inc.	LSTR	3-Mar-2020
59	Lannett Company Inc.	LCI	13-Mar-2020
60	Lazard Ltd	LAZ	3-Mar-2020
61	Lennar Corp.	LEN	3-Mar-2020
62	LHC Group, Inc.	LHCG	28-Feb-2020
63	Lithia Motors, Inc.	LAD	12-Mar-2020
64	LogMeIn, Inc.	LOGM	28-Feb-2020
65	Marlin Business Services Corp.	MRLN	3-Mar-2020
66	Marsh & McLennan Companies, Inc.	MMC	26-Feb-2020
67	Medical Properties Trust Inc.	MPW	28-Feb-2020
68	Monolithic Power Systems, Inc.	MPWR	13-Mar-2020
69	MSCI Inc.	MSCI	5-Mar-2020
70	Mueller Industries, Inc.	MLI	13-Mar-2020
71	Nacco Industries, Inc.	NC	13-Mar-2020
72	Natural Gas Services Group, Inc.	NGS	4-Mar-2020
73	Net 1 UEPS Technologies, Inc.	UEPS	4-Mar-2020
74	Old National Bancorp	ONB	12-Mar-2020
75	Olympic Steel Inc.	ZEUS	27-Feb-2020
76	Park Hotels & Resorts Inc.	PK	4-Mar-2020
77	Patterson-UTI Energy Inc.	PTEN	27-Feb-2020
78	Peapack-Gladstone Financial Corp.	PGC	26-Feb-2020
79	PriceSmart Inc.	PSMT	6-Mar-2020
80	Progressive Corp., The	PGR	13-Mar-2020
81	Pros Holdings, Inc.	PRO	13-Mar-2020
82	Protective Insurance Corporation	PTVCB	4-Mar-2020

83	Providence Service Corp.	PRSC	12-Mar-2020
84	Public Storage, Inc.	PSA	12-Mar-2020
85	ScanSource, Inc.	SCSC	12-Mar-2020
86	Schnitzer Steel Industries, Inc.	SCHN	13-Mar-2020
87	Service Properties Trust (fka, Hospitality Properties)	SVC	27-Feb-2020
88	SkyWest Inc.	SKYW	2-Mar-2020
89	Smith & Nephew PLC	SNN	6-Mar-2020
90	SolarCity Corp.	SCTY	9-Mar-2020
91	Sonoco Products Co.	SON	28-Feb-2020
92	Southwestern Energy Co.	SWN	5-Mar-2020
93	Spark Energy, Inc.	SPKE	27-Feb-2020
94	St. Joe Company, The	JOE	28-Feb-2020
95	Staar Surgical Company	STAA	5-Mar-2020
96	Steel Dynamics Inc.	STLD	6-Mar-2020
97	Sunoco LP	SUN	26-Mar-2020
98	SVMK, Inc.	SVMK	12-Mar-2020
99	Taro Pharmaceutical Industries Ltd.	TARO	3-Mar-2020
100	Texas Roadhouse, Inc.	TXRH	27-Feb-2020
101	Trinseo S.A.	TSE	4-Mar-2020
102	TripAdvisor, Inc.	TRIP	28-Feb-2020
103	Trupanion Inc.	TRUP	28-Feb-2020
104	Unisys Corporation	UIS	12-Mar-2020
105	United Community Banks Inc.	UCBI	12-Mar-2020
106	Ventas, Inc.	VTR	12-Mar-2020
107	Visteon Corp.	VC	26-Mar-2020
108	WD-40 Company	WDFC	2-Mar-2020
109	Westamerica Bancorp	WABC	17-Aug-2018
110	Weyerhaeuser Co.	WY	10-Mar-2020
111	WisdomTree Investments Inc.	WETF	2-Mar-2020
112	Woodward, Inc.	WWD	11-Mar-2020
113	World Fuel Services Corp.	INT	4-Mar-2020
114	Xbiotech, Inc.	XBIT	5-Mar-2020
115	Yum! Brands, Inc.	YUM	2-Mar-2020
116	Zillow Group Inc.	Z	12-Mar-2020
117	Zimmer Biomet Holdings Inc.	ZBH	4-Mar-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.

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