

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

No Recent SEC Investigative Records Found – 164 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	Adient plc	ADNT	3-May-2021
2	Agios Pharmaceuticals, Inc.	AGIO	19-Apr-2021
3	Alector, Inc.	ALEC	11-May-2021
4	Allison Transmission Holdings Inc.	ALSN	4-May-2021
5	Ambarella Inc.	AMBA	12-May-2021
6	American Axle & Manufacturing Holdings, Inc.	AXL	12-May-2021
7	Amneal Pharmaceuticals Inc	AMRX	23-Apr-2021
8	Anterix Inc.	ATEX	4-May-2021
9	Apellis Pharmaceuticals, Inc.	APLS	27-Apr-2021
10	Athene Holding Ltd.	ATH	6-May-2021
11	Ball Corporation	BLL	12-May-2021
12	Berry Global Group, Inc.	BERY	6-May-2021
13	Biohaven Pharmaceutical Holding Co, Ltd.	BHVN	13-May-2021
14	Blackline, Inc.	BL	12-May-2021
15	Bloomin' Brands Inc.	BLMN	21-Apr-2021
16	Boot Barn Holdings Inc.	BOOT	13-May-2021
17	Brigham Minerals, Inc.	MNRL	21-Apr-2021
18	Bright Horizons Family Solutions, Inc.	BFAM	13-May-2021
19	Brighthouse Financial, Inc.	BHF	6-May-2021
20	BrightSphere Investment Group, Inc.	BSIG	13-May-2021
21	BrightView Holdings, Inc.	BV	10-May-2021
22	Byline Bancorp, Inc.	BY	4-May-2021
23	Cable One, Inc.	CABO	12-May-2021
24	Cabot Corp.	CBT	12-May-2021
25	Cantel Medical Corp.	CMD	12-May-2021
26	Cardlytics Inc.	CDLX	5-May-2021
27	Cardtronics Plc	CATM	13-May-2021
28	Centennial Resource Development, Inc.	CDEV	6-May-2021
29	Chart Industries, Inc.	GTLS	19-Apr-2021
30	Chemours Company, The	CC	20-Apr-2021
31	China Distance Education Holdings Limited	DL	10-May-2021
32	Ciena Corp.	CIEN	27-Apr-2021
33	City Office REIT Inc.	CIO	6-May-2021

34	Codexis Inc.	CDXS	5-May-2021
35	Cohen & Steers, Inc.	CNS	10-May-2021
36	Commerce Bancshares, Inc.	CBSH	5-May-2021
37	CommScope Holding Company, Inc.	COMM	10-May-2021
38	Community Bank System Inc.	CBU	10-May-2021
39	Cubic Corporation	CUB	20-Apr-2021
40	Cytokinetics, Inc.	CYTK	7-May-2021
41	DHT Holdings, Inc.	DHT	27-Apr-2021
42	Duluth Holdings Inc.	DLTH	10-May-2021
43	eHealth, Inc.	EHTH	26-Apr-2021
44	Empire State Realty Trust, Inc.	ESRT	10-May-2021
45	Epizyme Inc.	EPZM	26-Apr-2021
46	Equity Commonwealth	EQC	11-May-2021
47	Extended Stay America, Inc	STAY	26-Apr-2021
48	Farmer Brothers Co.	FARM	11-May-2021
49	First Citizens BancShares, Inc.	FCNCA	19-Apr-2021
50	First Hawaiian, Inc.	FHB	20-Apr-2021
51	First Republic Bank	FRC	7-May-2021
52	Focus Financial Partners Inc.	FOCS	19-Apr-2021
53	Fortive Corp.	FTV	6-May-2021
54	Fresh Del Monte Produce Inc.	FDP	20-Apr-2021
55	FTI Consulting, Inc.	FCN	19-Apr-2021
56	Gates Industrial Corp. plc	GTES	12-May-2021
57	GCP Applied Technologies Inc.	GCP	21-Apr-2021
58	Global Payments Inc.	GPN	7-May-2021
59	GLU Mobile, Inc.	GLUU	13-May-2021
60	GrafTech International Ltd.	GTI	21-Apr-2021
61	Granite Point Mortgage Trust, Inc.	GPMT	5-May-2021
62	GSI Technology Inc.	GSIT	11-May-2021
63	Hanger, Inc.	HNGR	23-Apr-2021
64	Health Catalyst Inc.	HCAT	30-Apr-2021
65	Healthcare Trust of America, Inc.	HTA	10-May-2021
66	Healthpeak Properties, Inc.	PEAK	6-May-2021
67	Heska Corp.	HSKA	3-May-2021
68	Home Bancshares, Inc.	HOMB	21-Apr-2021
69	Homology Medicines Inc.	FIXX	30-Apr-2021
70	Horace Mann Educators Corp.	HMN	12-May-2021
71	Houghton Mifflin Harcourt Co.	HMHC	21-Apr-2021
72	Hurco Companies Inc.	HURC	10-May-2021
73	IGM Biosciences Inc.	IGMS	23-Apr-2021
74	Infinera Corp.	INFN	10-May-2021
75	Insulet Corporation	PODD	20-Apr-2021
76	Iovance Biotherapeutics Inc.	IOVA	21-Apr-2021
77	Iridium Communications Inc.	IRDM	6-May-2021
78	J2 Global Inc.	JCOM	21-Apr-2021
79	JM Smucker Company, The	SJM	29-Apr-2021
80	John Bean Technologies Corp.	JBT	29-Apr-2021
81	Kratos Defense & Security Solutions Inc.	KTOS	3-May-2021
82	L3Harris Technologies, Inc.	LHX	19-Apr-2021

83	Landstar System Inc.	LSTR	10-May-2021
84	Lattice Semiconductor Corporation	LSCC	10-May-2021
85	Liberty Latin America Ltd.	LILA	22-Apr-2021
86	Life Storage, Inc.	LSI	3-May-2021
87	Lindblad Expeditions Holdings, Inc.	LIND	4-May-2021
88	Livent Corp.	LTHM	6-May-2021
89	Lumentum Holdings Inc.	LITE	4-May-2021
90	Madrigal Pharmaceuticals Inc.	MDGL	26-Apr-2021
91	Manulife Financial Corporation	MFC	26-Apr-2021
92	MarketAxess Holdings, Inc.	MKTX	10-May-2021
93	Mesa Laboratories Inc.	MLAB	22-Apr-2021
94	Meta Financial Group Inc.	CASH	30-Apr-2021
95	Mirati Therapeutics, Inc.	MRTX	7-May-2021
96	Neogen Corp.	NEOG	12-May-2021
97	Newmark Group, Inc.	NMRK	29-Apr-2021
98	Nexpoint Residential Trust, Inc.	NXRT	22-Apr-2021
99	NexTier Oilfield Solutions, Inc.	NEX	26-Apr-2021
100	Nlight Inc.	LASR	5-May-2021
101	NMI Holdings Inc.	NMIH	3-May-2021
102	NortonLifeLock, Inc.	NLOK	26-Apr-2021
103	OFG Bancorp	OFG	20-Apr-2021
104	Omega Healthcare Investors Inc.	OHI	26-Apr-2021
105	Origin Bancorp, Inc.	OBNK	3-May-2021
106	Outfront Media Inc.	OUT	26-Apr-2021
107	PACCAR Inc.	PCAR	6-May-2021
108	Palo Alto Networks, Inc.	PANW	22-Apr-2021
109	PAR Technology Corp.	PAR	26-Apr-2021
110	Pennymac Financial Services Inc.	PFSI	23-Apr-2021
111	Penske Automotive Group, Inc.	PAG	7-May-2021
112	Perficient Inc.	PRFT	26-Apr-2021
113	Performance Food Group Co.	PFGC	20-Apr-2021
114	PRA Health Sciences, Inc.	PRAH	27-Apr-2021
115	Premier Inc.	PINC	26-Apr-2021
116	Progyny, Inc.	PGNY	12-May-2021
117	Proofpoint, Inc.	PFPT	12-May-2021
118	Prudent Financial, Inc.	PRU	27-Apr-2021
119	Pure Storage Inc.	PSTG	27-Apr-2021
120	Purple Innovation Inc.	PRPL	23-Apr-2021
121	Qad, Inc.	QADA	6-May-2021
122	RadNet, Inc.	RDNT	7-May-2021
123	Rambus, Inc.	RMBS	7-May-2021
124	Realogy Holdings Corp.	RLGY	28-Apr-2021
125	Reata Pharmaceuticals Inc	RETA	27-Apr-2021
126	Redfin Corp.	RDFN	3-May-2021
127	Renewable Energy Group Inc.	REGI	5-May-2021
128	RLJ Lodging Trust	RLJ	20-Apr-2021
129	Safehold Inc.	SAFE	6-May-2021
130	Schneider National, Inc.	SNDR	13-May-2021
131	Scientific Games Corporation	SGMS	19-Apr-2021

132	Silk Road Medical, Inc.	SILK	20-Apr-2021
133	Simply Good Foods Co.	SMPL	27-Apr-2021
134	Square, Inc.	SQ	6-May-2021
135	Stoke Therapeutics, Inc.	STOK	6-May-2021
136	Store Capital Corp.	STOR	21-Apr-2021
137	Sunstone Hotel Investors Inc.	SHO	29-Apr-2021
138	SurModics, Inc.	SRDX	28-Apr-2021
139	SVMK, Inc.	SVMK	6-May-2021
140	Synnex Corp.	SNX	26-Apr-2021
141	Tactile Systems Technology Inc.	TCMD	28-Apr-2021
142	Tellurian Inc.	TELL	10-May-2021
143	Tenable Holdings, Inc.	TENB	22-Apr-2021
144	TransUnion	TRU	28-Apr-2021
145	TRI Pointe Group, Inc.	TPH	22-Apr-2021
146	Tricida Inc.	TCDA	27-Apr-2021
147	Triton International Ltd.	TRTN	7-May-2021
148	Triumph Bancorp, Inc.	TBK	7-May-2021
149	U.S. Physical Therapy, Inc.	USPH	20-Apr-2021
150	United Therapeutics Corporation	UTHR	30-Apr-2021
151	Uniti Group, Inc.	UNIT	22-Apr-2021
152	Univar Inc.	UNVR	30-Apr-2021
153	Universal Stainless & Alloy Products Inc.	USAP	22-Apr-2021
154	US Bancorp	USB	20-Apr-2021
155	Varex Imaging Corp.	VREX	7-May-2021
156	Vocera Communications, Inc.	VCRA	19-Apr-2021
157	Washington Real Estate Investment Trust	WRE	30-Apr-2021
158	Welbilt, Inc.	WBT	22-Apr-2021
159	Western Union Company, The	WU	29-Apr-2021
160	WestRock Company	WRK	19-Apr-2021
161	White Mountains Insurance Group, Ltd.	WTM	12-May-2021
162	Winmark Corp.	WINA	7-May-2021
163	Yeti Holdings Inc.	YETI	30-Apr-2021
164	Zuora, Inc.	ZUO	7-May-2021

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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