

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

## No Recent SEC Investigative Records Found – 147 Companies

**No SEC Investigative Activity:** As of the date of the response in the table below, we received information from the SEC to suggest the absence of recent SEC investigative activity on the following **147 companies**.

#	Company Name	Ticker	Date of Response
1	Abercrombie & Fitch Co.	ANF	18-Jan-2018
2	Accenture Ltd	ACN	25-Jan-2018
3	Actuant Corp.	ATU	18-Jan-2018
4	Aegon N.V. (ADR)	AEG	3-Jan-2018
5	Aerie Pharmaceuticals Inc.	AERI	3-Jan-2018
6	Air Lease Corporation	AL	12-Jan-2018
7	Air Products & Chemicals Inc.	APD	12-Jan-2018
8	Akamai Technologies, Inc.	AKAM	17-Jan-2018
9	Alaska Communications Systems Group Inc.	ALSK	8-Jan-2018
10	Alleghany Corp.	Y	22-Jan-2018
11	Alliant Energy Corporation	LNT	10-Jan-2018
12	Altisource Portfolio Solutions S.A.	ASPS	25-Jan-2018
13	Ambac Financial Group, Inc.	AMBC	18-Jan-2018
14	Amdocs, Ltd.	DOX	23-Jan-2018
15	Ameren Corp.	AEE	23-Jan-2018
16	American Vanguard Corporation	AVD	18-Jan-2018
17	Argo Group International Holdings, Ltd.	AGII	10-Jan-2018
18	Aspen Insurance Holdings, Ltd.	AHL	10-Jan-2018
19	Atlas Air Worldwide Holdings, Inc.	AAWW	23-Jan-2018
20	Barnes & Noble Education ,Inc.	BNED	3-Jan-2018
21	Barnes Group, Inc.	B	22-Jan-2018
22	Beacon Roofing Supply, Inc.	BECN	22-Jan-2018
23	Bed Bath & Beyond, Inc.	BBBY	17-Jan-2018
24	Belden, Inc.	BDC	17-Jan-2018
25	Bellicum Pharmaceuticals, Inc.	BLCM	10-Jan-2018
26	BHP Billiton Ltd (ADR)	BHP	3-Jan-2018
27	Bridge Bancorp, Inc.	BDGE	12-Jan-2018
28	Bryn Mawr Bank Corporation	BMTC	19-Jan-2018
29	Builders FirstSource, Inc.	BLDR	4-Jan-2018
30	CalAmp Corp.	CAMP	2-Jan-2018
31	Capitala Finance Corporation	CPTA	4-Jan-2018
32	CARBO Ceramics Inc.	CRR	3-Jan-2018
33	CBL & Associates Properties Inc.	CBL	4-Jan-2018
34	Celgene Corporation	CELG	10-Jan-2018
35	Central Pacific Financial Corp.	CPF	11-Jan-2018

36	Cerus Corp.	CERS	23-Jan-2018
37	CEVA, Inc.	CEVA	2-Jan-2018
38	China Mobile Ltd.	CHL	26-Jan-2018
39	China XD Plastics Company Ltd.	CXDC	5-Jan-2018
40	Cinemark Holdings, Inc.	CNK	3-Jan-2018
41	CoBiz Financial, Inc.	COBZ	12-Jan-2018
42	Colgate-Palmolive Company	CL	4-Jan-2018
43	ConnectOne Bancorp, Inc.	CNOB	12-Jan-2018
44	Consolidated Communications Holdings Inc.	CNSL	12-Jan-2018
45	Corcept Therapeutics Inc.	CORT	10-Jan-2018
46	Corrections Corporation of America	CXW	4-Jan-2018
47	CSW Industrials, Inc.	CSWI	9-Jan-2018
48	CVB Financial Corp.	CVBF	10-Jan-2018
49	Darling International Inc.	DAR	12-Jan-2018
50	Dean Foods Company	DF	9-Jan-2018
51	Discover Financial Services	DFS	12-Jan-2018
52	DSW, Inc.	DSW	26-Jan-2018
53	Dynavax Technologies Corp.	DVAX	4-Jan-2018
54	Empire Resorts, Inc.	NYNY	9-Jan-2018
55	Ethan Allen Interiors	ETH	12-Jan-2018
56	Evolving Systems Inc.	EVOL	12-Jan-2018
57	Exelixis, Inc.	EXEL	12-Jan-2018
58	Fiesta Restaurant Group Inc.	FRGI	12-Jan-2018
59	Fifth Third Bancorp	FITB	17-Jan-2018
60	FireEye, Inc.	FEYE	4-Jan-2018
61	Flex Ltd (fka Flextronics International Ltd)	FLEX	12-Jan-2018
62	Flushing Financial Corp.	FFIC	12-Jan-2018
63	FMC Corp.	FMC	23-Jan-2018
64	FormFactor, Inc.	FORM	18-Jan-2018
65	Foundation Medicine Inc.	FMI	12-Jan-2018
66	Fuel-Tech, Inc.	FTEK	12-Jan-2018
67	Futurefuel Corp.	FF	9-Jan-2018
68	Glacier Bancorp, Inc.	GBCI	10-Jan-2018
69	Global Indemnity Plc.	GBLI	18-Jan-2018
70	Golar LNG Limited (USA)	GLNG	3-Jan-2018
71	Great Southern Bancorp, Inc.	GSBC	12-Jan-2018
72	Hanesbrands, Inc.	HBI	26-Jan-2018
73	Heartland Financial USA Inc.	HTLF	12-Jan-2018
74	Heritage Financial Corp.	HFWA	12-Jan-2018
75	Humana Inc.	HUM	23-Jan-2018
76	InnerWorkings Inc.	INWK	4-Jan-2018
77	Integer Holdings Corp.	ITGR	10-Jan-2018
78	Jazz Pharmaceuticals Plc	JAZZ	16-Jan-2018
79	Johnson & Johnson	JNJ	19-Jan-2018
80	Johnson Outdoors Inc.	JOUT	4-Jan-2018
81	Liberty Interactive Corp.	QVCA	24-Jan-2018
82	Lifetime Brands, Inc.	LCUT	4-Jan-2018
83	LKQ Corp.	LKQ	17-Jan-2018
84	Lowe's Companies Inc.	LOW	17-Jan-2018

85	Loxo Oncology, Inc.	LOXO	12-Jan-2018
86	MainSource Financial Group Inc.	MSFG	12-Jan-2018
87	Marcus & Millichap Inc.	MMI	22-Jan-2018
88	Maximus, Inc.	MMS	4-Jan-2018
89	Maxlinear, Inc.	MXL	4-Jan-2018
90	McKesson Corporation	MCK	18-Jan-2018
91	Middlesex Water Co.	MSEX	4-Jan-2018
92	Minerals Technologies, Inc.	MTX	12-Jan-2018
93	MKS Instruments, Inc.	MKSI	4-Jan-2018
94	Moelis & Co.	MC	19-Jan-2018
95	Motorcar Parts America, Inc.	MPAA	10-Jan-2018
96	Netgear Inc.	NTGR	3-Jan-2018
97	Neurocrine Biosciences Inc.	NBIX	3-Jan-2018
98	New York Times Co., The	NYT	10-Jan-2018
99	Nuance Communications	NUAN	9-Jan-2018
100	Nucor Corp.	NUE	10-Jan-2018
101	Office Depot, Inc.	ODP	4-Jan-2018
102	Orbotech Ltd.	ORBK	10-Jan-2018
103	Otonomy Inc.	OTIC	10-Jan-2018
104	Otter Tail Corp.	OTTR	10-Jan-2018
105	Owens-Illinois, Inc.	OI	23-Jan-2018
106	Pacific Biosciences of California Inc.	PACB	9-Jan-2018
107	Par Pacific Holdings Inc.	PARR	19-Jan-2018
108	Patterson Companies, Inc.	PDCO	23-Jan-2018
109	PDF Solutions, Inc.	PDFS	3-Jan-2018
110	PICO Holdings Inc.	PICO	23-Jan-2018
111	PNM Resources, Inc.	PNM	4-Jan-2018
112	Portland General Electric Company	POR	4-Jan-2018
113	Praxair Inc.	PX	23-Jan-2018
114	Quality Systems, Inc.	QSII	17-Jan-2018
115	Quanta Services, Inc.	PWR	19-Jan-2018
116	Rent-A-Center, Inc. (aka Renters Choice)	RCII	11-Jan-2018
117	Repligen Corporation	RGEN	17-Jan-2018
118	Rex Energy Corp.	REXX	9-Jan-2018
119	RPX Corp.	RPXC	17-Jan-2018
120	Rudolph Technologies, Inc.	RTEC	9-Jan-2018
121	Sensient Technologies Corporation	SXT	23-Jan-2018
122	ServiceNow Inc.	NOW	16-Jan-2018
123	SpartanNash Company	SPTN	17-Jan-2018
124	Steelcase, Inc.	SCS	9-Jan-2018
125	Steris Corp.	STE	10-Jan-2018
126	Sterling Bancorp	STL	10-Jan-2018
127	Tableau Software, Inc.	DATA	10-Jan-2018
128	TD Ameritrade Holding Corporation	AMTD	19-Jan-2018
129	Tejon Ranch Company	TRC	16-Jan-2018
130	Tempur Sealy International, Inc.	TPX	19-Jan-2018
131	Textainer Group Holdings Limited	TGH	9-Jan-2018
132	Tower International, Inc.	TOWR	16-Jan-2018
133	TriMas Corp.	TRS	16-Jan-2018

134	Triumph Group Inc	TGI	9-Jan-2018
135	Tsakos Energy Navigation Limited	TNP	10-Jan-2018
136	Tuesday Morning Corporation	TUES	9-Jan-2018
137	Veeva Systems, Inc.	VEEV	10-Jan-2018
138	Vicor Corp.	VICR	5-Jan-2018
139	Virtu Financial Inc.	VIRT	12-Jan-2018
140	Waters Corporation	WAT	18-Jan-2018
141	Wave Life Sciences Ltd.	WVE	9-Jan-2018
142	William Lyon Homes	WLH	9-Jan-2018
143	Winnebago Industries, Inc.	WGO	18-Jan-2018
144	Wintrust Financial Corporation	WTFC	9-Jan-2018
145	Workday, Inc.	WDAY	10-Jan-2018
146	World Wrestling Entertainment, Inc.	WWE	10-Jan-2018
147	Zix Corporation	ZIXI	10-Jan-2018

**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. All companies we identify as having undisclosed SEC investigations are maintained on our Watch List of companies with undisclosed SEC probes if we learn about them at the time the investigation(s) are ongoing. 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 referenced above. Documents released by the SEC can provide additional insights but, as always, should only be viewed as a piece of your overall investment mosaic. 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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