

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

COMPANIES IN TODAY'S UPDATE

Colgate-Palmolive Company

Computer Task
Group, Inc.

Hilton Worldwide
Holdings, Inc.

Mastercard Incorporated

Myriad Genetics, Inc.

NASDAQ, Inc.

Nektar Therapeutics

**Plus – 127 Companies
with no Recent SEC
Investigative Records
Found**

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The links below will take you to our fully updated SEC Investigation Update Report which has each company's history and our analysis.

[Colgate-Palmolive Company](#) – CL \$77.08 US Mkt Cap: \$64.1 B **Report Updated. An undisclosed SEC investigation is again confirmed.** Maintained on Watch List. The first FOIA response indicating an SEC investigation was dated 17-Sep-2020. On-going enforcement proceedings now confirmed on appeal two times since, most recently on 02-Sep-2021.

[Computer Task Group, Inc. – CTG](#) \$7.86 US Mkt Cap: \$123.7 mm **Report Updated. An undisclosed SEC investigation is again confirmed.** Maintained on Watch List. The first FOIA response indicating an SEC investigation was dated 18-Jul-2019. On-going enforcement proceedings now confirmed on appeal four times since, most recently on 02-Sep-2021.

[Hilton Worldwide Holdings, Inc. – HLT](#) \$135.16 US Mkt Cap: \$38.7 B **Report Updated. An undisclosed SEC investigation is again confirmed.** Maintained on Watch List. The first FOIA response indicating an SEC investigation was dated 19-Aug-2020. On-going enforcement proceedings now confirmed on appeal two times since, most recently on 02-Sep-2021.

[Mastercard Incorporated – MA](#) \$353.19 US Mkt Cap: \$352.0 B **Report Updated. An undisclosed SEC investigation is again confirmed.** Maintained on Watch List. The first FOIA response indicating an SEC investigation was dated 22-Jan-2020. On-going enforcement proceedings now confirmed on appeal three times since, most recently on 02-Sep-2021. As a reminder, this represents Mastercard's first appearance on our Watch List since we started covering the company in 2012.

[Myriad Genetics, Inc. – MYGN](#) \$32.22 US Mkt Cap: \$2.5 B **Report Updated. An undisclosed SEC investigation is again confirmed.** Maintained on Watch List. The first FOIA response indicating an SEC investigation was dated 28-Sep-2020. On-going enforcement proceedings now confirmed on appeal two times since, most recently on 02-Sep-2021. Documents from earlier SEC investigative activity are available and summarized in today's report.

[NASDAQ, Inc. – NDAQ](#) \$193.99 US Mkt Cap: \$32.7 B **Report Updated. An undisclosed SEC investigation is again confirmed.** Maintained on Watch List. The first FOIA response indicating an SEC investigation was dated 7-Aug-2019. On-going enforcement proceedings now confirmed on appeal three times since, most recently on 02-Sep-2021. We also found three investigations of this company since 2013. Summaries of our findings and related documents from earlier SEC investigative activity are summarized in today's report.

The Probes Reporter Watch List has **78 companies** on which we are tracking confirmed, undisclosed SEC investigations.

[Nektar Therapeutics – NKTR](#) \$17.93 US Mkt Cap: \$3.5 B **Report Updated.** **An undisclosed SEC investigation is again confirmed.** Maintained on Watch List. The first FOIA response indicating an SEC investigation was dated 07-Oct-2020. Ongoing enforcement proceedings now confirmed on appeal two times since, most recently on 02-Sep-2021.

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.

No Recent SEC Investigative Records Found – 127 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	Accenture Ltd	ACN	27-Aug-2021
2	Agenus, Inc.	AGEN	1-Sep-2021
3	Agilent Technologies Inc.	A	10-Sep-2021
4	Agilysys Inc.	AGYS	8-Sep-2021
5	Air Products & Chemicals Inc.	APD	3-Sep-2021
6	Alleghany Corp.	Y	1-Sep-2021
7	Ameren Corp.	AEE	3-Sep-2021
8	AO Smith Corp.	AOS	31-Aug-2021
9	Apartment Investment & Management Co.	AIV	10-Sep-2021
10	Archrock, Inc.	AROC	3-Sep-2021
11	AtriCure Inc.	ATRC	30-Aug-2021
12	Autoliv, Inc.	ALV	10-Sep-2021
13	Avalara, Inc.	AVLR	9-Sep-2021
14	Bellicum Pharmaceuticals, Inc.	BLCM	26-Aug-2021
15	BJ's Restaurants, Inc.	BJRI	8-Sep-2021
16	Boston Properties, Inc.	BXP	8-Sep-2021
17	Bottomline Technologies Inc.	EPAY	10-Sep-2021
18	Box Inc.	BOX	1-Sep-2021
19	Bryn Mawr Bank Corporation	BMTC	8-Sep-2021
20	Callon Petroleum Company	CPE	9-Sep-2021
21	Canadian Pacific Railway Ltd.	CP	2-Sep-2021
22	Central Garden & Pet Company	CENT	9-Sep-2021
23	Chase Corporation	CCF	3-Sep-2021
24	China XD Plastics Company Ltd.	CXDC	8-Sep-2021
25	Cimpress N.V.	CMPR	3-Sep-2021
26	Cincinnati Financial Corp.	CINF	3-Sep-2021
27	Cloudera, Inc	CLDR	9-Sep-2021
28	Clovis Oncology, Inc.	CLVS	1-Sep-2021
29	Cognex Corporation	CGNX	8-Sep-2021
30	Commercial Metals Company	CMC	3-Sep-2021

31	Comstock Resources Inc.	CRK	29-Aug-2021
32	Conmed Corporation	CNMD	8-Sep-2021
33	Constellation Brands, Inc.	STZ	3-Sep-2021
34	Credit Acceptance Corp.	CACC	9-Sep-2021
35	Cutera, Inc.	CUTR	31-Aug-2021
36	Eagle Pharmaceuticals, Inc.	EGRX	29-Aug-2021
37	Eldorado Gold Corp.	EGO	27-Aug-2021
38	Energizer Holdings, Inc.	ENR	23-Aug-2021
39	Entergy Corp.	ETR	7-Sep-2021
40	Ethan Allen Interiors, Inc.	ETH	30-Aug-2021
41	Exelixis, Inc.	EXEL	3-Sep-2021
42	Expeditors International of Washington Inc.	EXPD	23-Aug-2021
43	Flushing Financial Corp.	FFIC	27-Aug-2021
44	FormFactor, Inc.	FORM	31-Aug-2021
45	Genpact Ltd.	G	9-Sep-2021
46	Geospace Technologies Corp.	GEOS	1-Sep-2021
47	German American Bancorp, Inc.	GABC	30-Aug-2021
48	Global Indemnity PLC.	GBLI	7-Sep-2021
49	Global Net Lease Inc.	GNL	24-Aug-2021
50	Great Southern Bancorp, Inc.	GSBC	1-Sep-2021
51	Guidewire Software, Inc.	GWRE	23-Aug-2021
52	Hawaiian Holdings, Inc.	HA	9-Sep-2021
53	Haynes International, Inc.	HAYN	10-Sep-2021
54	Helmerich & Payne Inc.	HP	10-Sep-2021
55	II-VI, Inc.	IIVI	9-Sep-2021
56	Imperial Oil Ltd.	IMO	9-Sep-2021
57	Jack In The Box Inc.	JACK	8-Sep-2021
58	KAR Auction Services, Inc.	KAR	9-Sep-2021
59	Lifetime Brands, Inc.	LCUT	7-Sep-2021
60	Ligand Pharmaceuticals, Inc.	LGND	24-Aug-2021
61	LKQ Corp.	LKQ	7-Sep-2021
62	Lyft, Inc.	LYFT	24-Aug-2021
63	Macquarie Infrastructure Corporation	MIC	8-Sep-2021
64	Maiden Holdings Ltd.	MHLD	26-Aug-2021
65	Maxlinear, Inc.	MXL	9-Sep-2021
66	Mednax, Inc.	MD	1-Sep-2021
67	Mercury General Corporation	MCY	3-Sep-2021
68	Minerals Technologies, Inc.	MTX	25-Aug-2021
69	MKS Instruments, Inc.	MKSI	1-Sep-2021
70	Moody's Corp.	MCO	31-Aug-2021
71	Mr. Cooper Group, Inc.	COOP	27-Aug-2021
72	NCR Corporation	NCR	24-Aug-2021
73	Neurocrine Biosciences Inc.	NBIX	3-Sep-2021
74	New York Times Co., The	NYT	8-Sep-2021
75	Nextgen Healthcare, Inc.	NXGN	23-Aug-2021
76	Northern Oil & Gas Inc.	NOG	23-Aug-2021
77	NRG Energy, Inc.	NRG	31-Aug-2021
78	Oasis Petroleum Inc.	OAS	9-Sep-2021
79	Ollie's Bargain Outlet Holdings Inc.	OLLI	3-Sep-2021

80	Oneok Inc.	OKE	10-Sep-2021
81	Otter Tail Corp.	OTTR	1-Sep-2021
82	Peabody Energy Corporation	BTU	23-Aug-2021
83	Progress Software Corp.	PRGS	3-Sep-2021
84	Quanta Services, Inc.	PWR	1-Sep-2021
85	Rayonier, Inc.	RYN	23-Aug-2021
86	Red Robin Gourmet Burgers, Inc.	RRGB	10-Sep-2021
87	Regis Corporation	RGS	1-Sep-2021
88	Repligen Corporation	RGEN	9-Sep-2021
89	Sapiens International Corp. N.V.	SPNS	31-Aug-2021
90	ServiceNow Inc.	NOW	7-Sep-2021
91	Shopify, Inc.	SHOP	9-Sep-2021
92	Sierra Wireless, Inc.	SWIR	8-Sep-2021
93	Sinclair Broadcast Group Inc.	SBGI	9-Sep-2021
94	Snap-On Inc.	SNA	27-Aug-2021
95	SP Plus Corporation	SP	23-Aug-2021
96	SpartanNash Company	SPTN	27-Aug-2021
97	Spectrum Pharmaceuticals, Inc.	SPPI	25-Aug-2021
98	Spirit Airlines, Inc.	SAVE	31-Aug-2021
99	Tejon Ranch Company	TRC	1-Sep-2021
100	Teladoc Health Inc.	TDOC	9-Sep-2021
101	Tenneco, Inc.	TEN	2-Sep-2021
102	Tetra Technologies, Inc.	TTI	27-Aug-2021
103	Thermon Group Holdings, Inc.	THR	7-Sep-2021
104	Toro Co.	TTC	9-Sep-2021
105	Tower Semiconductor Ltd.	TSEM	10-Sep-2021
106	Trico Bancshares	TCBK	24-Aug-2021
107	TriMas Corp.	TRS	1-Sep-2021
108	Triple-S Management Corporation	GTS	24-Aug-2021
109	Trustmark Corporation	TRMK	23-Aug-2021
110	TTM Technologies Inc.	TTMI	23-Aug-2021
111	United Airlines Holdings Inc.	UAL	24-Aug-2021
112	United States Lime & Minerals, Inc.	USLM	8-Sep-2021
113	Universal Health Services Inc.	UHS	9-Sep-2021
114	Urstadt Buddle Properties Inc.	UBA	3-Sep-2021
115	US Ecology Inc.	ECOL	23-Aug-2021
116	Veeva Systems, Inc.	VEEV	3-Sep-2021
117	Viad Corp.	VVI	23-Aug-2021
118	ViaSat Inc.	VSAT	8-Sep-2021
119	Vicor Corp.	VICR	10-Sep-2021
120	Waters Corporation	WAT	10-Sep-2021
121	Wave Life Sciences Ltd.	WVE	31-Aug-2021
122	Webster Financial Corp.	WBS	3-Sep-2021
123	Winnebago Industries, Inc.	WGO	10-Sep-2021
124	Worthington Industries, Inc.	WOR	3-Sep-2021
125	Xencor Inc.	XNCR	27-Aug-2021
126	Xylem Inc.	XYL	7-Sep-2021
127	Zix Corporation	ZIXI	26-Aug-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.

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