

## Updates on SEC Investigative Activity for 75 US-Listed Companies

Disclosure Insight 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.

2U Inc.	TWOU
Air Transport Services Group, Inc.	ATSG
Annaly Capital Management Inc.	NLY
Apogee Enterprises, Inc.	APOG
Astec Industries, Inc.	ASTE
Brady Corp.	BRC
Brighthouse Financial, Inc.	BHF
Byline Bancorp, Inc.	BY
Cable One, Inc.	CABO
California Resources Corp.	CRC
CF Industries Holdings, Inc.	CF
Chimera Investment Corporation	CIM
City Office REIT Inc.	CIO
Colgate-Palmolive Company	CL
Comcast Corporation	CMCSA
Commercial Vehicle Group, Inc.	CVGI
Conagra Brands, Inc.	CAG
Coty, Inc.	COTY
CVR Energy, Inc.	CVI
ESCO Technologies, Inc.	ESE
Extreme Networks, Inc.	EXTR
FARO Technologies, Inc.	FARO
First Financial Bancorp	FFBC
First Hawaiian, Inc.	FHB
Forestar Group, Inc.	FOR

Fortive Corp.	FTV
Fresh Del Monte Produce Inc.	FDP
Granite Point Mortgage Trust, Inc.	GPMT
Health Catalyst Inc.	HCAT
Healthpeak Properties, Inc.	PEAK
Hologic Inc.	HOLX
Homology Medicines Inc.	FIXX
Hostess Brands Inc.	TWNK
Howmet Aerospace Inc.	HWM
ImmunoGen, Inc.	IMGN
Invitation Homes Inc.	INVH
James River Group Holdings Ltd.	JRVR
Kite Realty Group Trust	KRG
Las Vegas Sands Corporation	LVS
Lindblad Expeditions Holdings, Inc.	LIND
Logitech International SA	LOGI
Masonite International Corp.	DOOR
Meta Platforms, Inc., fka, Facebook, Inc.	FB
MGIC Investment Corp.	MTG
Nordstrom, Inc.	JWN
NVR Inc.	NVR
Outfront Media Inc.	OUT
PACCAR Inc.	PCAR
Parsons Corp	PSN
Paylocity Holding Corp.	PCTY

Premier Inc.	PINC
S&T Bancorp, Inc.	STBA
Spirit Realty Capital, Inc.	SRC
Splunk Inc.	SPLK
Stoke Therapeutics, Inc.	STOK
TE Connectivity Ltd.	TEL
Terreno Realty Corp.	TRNO
Textron, Inc.	TXT
TowneBank	TOWN
TPI Composites, Inc.	TPIC
TransUnion	TRU
Two Harbors Investment Corp.	TWO
Ultragenyx Pharmaceutical Inc.	RARE
UniFirst Corp.	UNF
Universal Health Services Inc.	UHS
Urban Outfitters Inc.	URBN
US Bancorp	USB
Varex Imaging Corp.	VREX
WesBanco Inc.	WSBC
Western Digital Corporation	WDC
White Mountains Insurance Group, Ltd.	WTM
Wyndham Hotels & Resorts, Inc.	WH
Xcel Energy Inc.	XEL
Zoetis Inc.	ZTS
Zuora, Inc.	ZUO



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October 19, 2023

phone 763.595.0900 (USA)

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**NEW** = A new warning. **NF** = Nothing Found. **Update** or **Alert** = New information. **Docs** = SEC documents received. **Removed** = Off Watch List.

Company Name	Ticker	Date of Response	Response Type	Price	Mkt Cap \$MM	Analyst Notes / Observations
NF 2U Inc.	TWOU	13-Sep-2023	FOIA Response	\$2.23	182	No recent SEC investigative activity found.
NF Air Transport Services Group, Inc.	ATSG	12-Sep-2023	FOIA Response	\$20.34	1,439	No recent SEC investigative activity found.
NF Annaly Capital Management Inc.	NLY	7-Sep-2023	FOIA Response	\$16.34	8,071	No recent SEC investigative activity found.
NF Apogee Enterprises, Inc.	APOG	6-Sep-2023	FOIA Response	\$42.55	939	No recent SEC investigative activity found.
NF Astec Industries, Inc.	ASTE	7-Sep-2023	FOIA Response	\$42.74	972	No recent SEC investigative activity found.
NF Brady Corp.	BRC	6-Sep-2023	FOIA Response	\$53.09	2,568	No recent SEC investigative activity found.
NF Brighthouse Financial, Inc.	BHF	6-Sep-2023	FOIA Response	\$48.03	3,146	No recent SEC investigative activity found.
NF Byline Bancorp, Inc.	BY	7-Sep-2023	FOIA Response	\$19.42	849	No recent SEC investigative activity found.
NF Cable One, Inc.	CABO	6-Sep-2023	FOIA Response	\$625.41	3,516	No recent SEC investigative activity found.
NF California Resources Corp.	CRC	13-Sep-2023	FOIA Response	\$55.21	3,807	No recent SEC investigative activity found.
NF CF Industries Holdings, Inc.	CF	14-Sep-2023	FOIA Response	\$85.68	16,532	No recent SEC investigative activity found.
NF Chimera Investment Corporation	CIM	8-Sep-2023	FOIA Response	\$4.78	1,084	No recent SEC investigative activity found.
NF City Office REIT Inc.	CIO	7-Sep-2023	FOIA Response	\$3.86	154	No recent SEC investigative activity found.
NF Colgate-Palmolive Company	CL	7-Sep-2023	FOIA Response	\$73.19	60,506	No recent SEC investigative activity found.
NF Comcast Corporation	CMCSA	8-Sep-2023	FOIA Response	\$43.07	177,669	No recent SEC investigative activity found.



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NF	Commercial Vehicle Group, Inc.	CVGI	8-Sep-2023	FOIA Response	\$6.97	235	No recent SEC investigative activity found.
NF	Conagra Brands, Inc.	CAG	14-Sep-2023	FOIA Response	\$27.15	12,977	No recent SEC investigative activity found.
NF	Coty, Inc.	COTY	11-Sep-2023	FOIA Response	\$9.63	8,580	No recent SEC investigative activity found.
NF	CVR Energy, Inc.	CVI	12-Sep-2023	FOIA Response	\$32.94	3,312	No recent SEC investigative activity found.
NF	ESCO Technologies, Inc.	ESE	11-Sep-2023	FOIA Response	\$99.46	2,564	No recent SEC investigative activity found.
NF	Extreme Networks, Inc.	EXTR	14-Sep-2023	FOIA Response	\$21.28	2,756	No recent SEC investigative activity found.
NF	FARO Technologies, Inc.	FARO	14-Sep-2023	FOIA Response	\$13.21	250	No recent SEC investigative activity found.
NF	First Financial Bancorp	FFBC	6-Sep-2023	FOIA Response	\$19.49	1,854	No recent SEC investigative activity found.
NF	First Hawaiian, Inc.	FHB	13-Sep-2023	FOIA Response	\$17.94	2,289	No recent SEC investigative activity found.
NF	Forestar Group, Inc.	FOR	6-Sep-2023	FOIA Response	\$22.97	1,146	No recent SEC investigative activity found.
NF	Fortive Corp.	FTV	14-Sep-2023	FOIA Response	\$71.10	25,029	No recent SEC investigative activity found.
NF	Fresh Del Monte Produce Inc.	FDP	7-Sep-2023	FOIA Response	\$25.40	1,222	No recent SEC investigative activity found.
NF	Granite Point Mortgage Trust, Inc.	GPMT	11-Sep-2023	FOIA Response	\$4.05	209	No recent SEC investigative activity found.
NF	Health Catalyst Inc.	HCAT	7-Sep-2023	FOIA Response	\$8.15	464	No recent SEC investigative activity found.
NF	Healthpeak Properties, Inc.	PEAK	11-Sep-2023	FOIA Response	\$16.68	9,125	No recent SEC investigative activity found.



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NF	Hologic Inc.	HOLX	14-Sep-2023	FOIA Response	\$67.82	16,612	No recent SEC investigative activity found.
NF	Homology Medicines Inc.	FIXX	14-Sep-2023	FOIA Response	\$1.04	60	No recent SEC investigative activity found.
NF	Hostess Brands Inc.	TWKN	11-Sep-2023	FOIA Response	\$33.18	4,408	No recent SEC investigative activity found.
NEW Addition to Watch List	Howmet Aerospace Inc.	HWM	20-Sep-2023	FOIA Appeal Response	\$43.71	18,018	<b>New Warning.</b> Added to Watch List. <b>SEC investigation confirmed.</b> An early signal of undisclosed SEC investigative activity first found on 27-Jul-2023, was then confirmed as on-going on 20-Sep-2023. This is a change from a response dated 30-Sep-2022, at which time no signs of on-going SEC investigative activity were found. First time on our Watch List since we first started covering Howmet in Sep-2022. A search of EDGAR filings for the past two years, back to Aug-2021, found no clear disclosure of SEC investigative activity. We have no documents from closed SEC probe(s) of this company. <a href="#">DI's Take</a> : Timing of SEC responses to us suggests management may have known about an SEC probe since at least Jul-2023.
NF	ImmunoGen, Inc.	IMGN	12-Sep-2023	FOIA Response	\$14.60	3,635	No recent SEC investigative activity found.



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<b>Disclosed</b> Invitation Homes Inc.	INVH	19-Sep-2023	FOIA Appeal Response	\$31.56	19,313	<b>Confirmed Update</b> - Disclosed SEC investigation confirmed as <b>on-going</b> , as of 19-Sep-2023. First disclosed in the 10-K filed on 22-Feb-2023, company says it received "an inquiry" from the SEC in Jan-2023, "requesting information relating to our compliance with building codes and permitting requirements, related policies and procedures, and other matters." This is a change from a response we received in 23-Sep-2022, at which time no signs of on-going SEC investigative activity were found. We have 3 pages of records from a 2016-2018 formal SEC investigation titled, "Matter Name: Certain Single Family Rental Securitizations." <b>DI's Take:</b> Watch out for that term, "and other matters." It's language attorneys love to use to hide things they don't want to tell you about. Overall, we find the quality of the disclosures are less-than-ideal. Hard to discern what the SEC is actually investigating. Only copy-and-paste updates since initial disclosure in Feb-2023. Though the company doesn't say whether the investigation is formal or informal, to us the language used suggests it is formal. Though we cannot tell if Jan-2023 was the company's first contact with the SEC on this matter, we do know it started sometime after late Sep-2022. That suggests the company did not wait too long to disclose, probably because of receipt of a subpoena they don't want you to know about.
<b>NF</b> James River Group Holdings Ltd.	JRVR	11-Sep-2023	FOIA Response	\$14.45	544	No recent SEC investigative activity found.



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<b>NF</b>	Kite Realty Group Trust	KRG	14-Sep-2023	FOIA Response	\$20.56	4,510	No recent SEC investigative activity found.
<b>NEW Addition to Watch List</b>	Las Vegas Sands Corporation	LVS	20-Sep-2023	FOIA Appeal Response	\$45.88	35,073	<b>New Warning.</b> Added to Watch List. <b>SEC investigation confirmed.</b> An early signal of undisclosed SEC investigative activity first found on 28-Jul-2023, was then confirmed as on-going on 20-Sep-2023. This is a change from a response dated 15-Aug-2022, at which time no signs of on-going SEC investigative activity were found. Repeated searches of EDGAR filings in recent years found no clear disclosure of SEC investigative activity since an 8-K filed on 07-Apr-2016, at which time the SEC settled with LVS over FCPA matters. We have 33 pages of records from this closed FCPA matter, some of them far more detailed and analytically-rich than we typically see. We have an additional 93 pages of records from a 2021 SEC investigation in which this sentence shows up repeatedly, "Thank you for providing the three substantive reports prepared by Hogan Lovells that were provided to the Casino Regulatory Authority of Singapore concerning patron transfers at Marina Bay Sands" <b>DI's Take:</b> Timing of SEC responses to us suggests management may have known about this latest SEC probe since at least Jul-2023.
<b>NF</b>	Lindblad Expeditions Holdings, Inc.	LIND	7-Sep-2023	FOIA Response	\$5.97	318	No recent SEC investigative activity found.
<b>NF</b>	Logitech International SA	LOGI	12-Sep-2023	FOIA Response	\$70.32	12,197	No recent SEC investigative activity found.
<b>NF</b>	Masonite International Corp.	DOOR	13-Sep-2023	FOIA Response	\$81.06	1,784	No recent SEC investigative activity found.



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<b>Watch List Update</b> Meta Platforms, Inc., fka, Facebook, Inc.	FB	13-Jul-2023	FOIA Appeal Response	\$185.26	804,911	<b>Warning Reiterated.</b> Maintained on Watch List. <b>Undisclosed SEC investigative activity</b> first found at Facebook (Meta) on 24-Sep-2019. On-going enforcement proceedings now confirmed on appeal <u>six</u> times since, most recently on 13-Jul-2023. Repeated searches of this company's filings back to May-2012, found no clear disclosure of SEC investigative activity. As Meta/Facebook continues to be a magnet for undisclosed SEC investigations, we recently learned two of them closed in Mar-2023 (Matter # MSF-04531, Matter Name: Meta Platforms, Inc. and, Matter # MSF-04486, Matter Name: Facebook, Inc.). Earlier, we received 152 pages of heavily redacted emails from an undisclosed 2020 FCPA probe. <b>DI's Take:</b> We've repeatedly found undisclosed SEC investigations at Facebook/Meta since 2017. Not one of them has ever been disclosed and we continue to have a hard time finding out what they were about. As a reminder, data we acquired in the past points to "More than one investigative proceeding concerning Facebook, Inc." Of course it did. Two of them just ended in Mar-2023.
<b>NF</b> MGIC Investment Corp.	MTG	13-Sep-2023	FOIA Response	\$16.79	4,740	No recent SEC investigative activity found.
<b>NF</b> Nordstrom, Inc.	JWN	13-Sep-2023	FOIA Response	\$13.72	2,218	No recent SEC investigative activity found.
<b>NF</b> NVR Inc.	NVR	5-Sep-2023	FOIA Response	\$5,563.55	18,161	No recent SEC investigative activity found.
<b>NF</b> Outfront Media Inc.	OUT	7-Sep-2023	FOIA Response	\$9.24	1,525	No recent SEC investigative activity found.



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NF	PACCAR Inc.	PCAR	7-Sep-2023	FOIA Response	\$82.55	43,158	No recent SEC investigative activity found.
NF	Parsons Corp	PSN	7-Sep-2023	FOIA Response	\$57.93	6,076	No recent SEC investigative activity found.
NF	Paylocity Holding Corp.	PCTY	7-Sep-2023	FOIA Response	\$196.05	10,963	No recent SEC investigative activity found.
NF	Premier Inc.	PINC	12-Sep-2023	FOIA Response	\$20.01	2,385	No recent SEC investigative activity found.
NF	S&T Bancorp, Inc.	STBA	11-Sep-2023	FOIA Response	\$26.12	999	No recent SEC investigative activity found.
NF	Spirit Realty Capital, Inc.	SRC	12-Sep-2023	FOIA Response	\$33.37	4,716	No recent SEC investigative activity found.
NF	Splunk Inc.	SPLK	14-Sep-2023	FOIA Response	\$147.90	24,924	No recent SEC investigative activity found.
NF	Stoke Therapeutics, Inc.	STOK	7-Sep-2023	FOIA Response	\$3.70	164	No recent SEC investigative activity found.
NF	TE Connectivity Ltd.	TEL	12-Sep-2023	FOIA Response	\$119.35	37,469	No recent SEC investigative activity found.
NF	Terreno Realty Corp.	TRNO	5-Sep-2023	FOIA Response	\$52.25	4,384	No recent SEC investigative activity found.
NF	Textron, Inc.	TXT	7-Sep-2023	FOIA Response	\$77.34	15,319	No recent SEC investigative activity found.
NF	TowneBank	TOWN	11-Sep-2023	FOIA Response	\$22.69	1,699	No recent SEC investigative activity found.
NF	TPI Composites, Inc.	TPIC	7-Sep-2023	FOIA Response	\$2.17	93	No recent SEC investigative activity found.
NF	TransUnion	TRU	11-Sep-2023	FOIA Response	\$66.35	12,826	No recent SEC investigative activity found.
NF	Two Harbors Investment Corp.	TWO	7-Sep-2023	FOIA Response	\$11.01	1,059	No recent SEC investigative activity found.





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NF	Ultragenyx Pharmaceutical Inc.	RARE	8-Sep-2023	FOIA Response	\$33.45	2,391	No recent SEC investigative activity found.
NF	UniFirst Corp.	UNF	8-Sep-2023	FOIA Response	\$162.40	3,036	No recent SEC investigative activity found.
NF	Universal Health Services Inc.	UHS	5-Sep-2023	FOIA Response	\$127.66	8,859	No recent SEC investigative activity found.
NF	Urban Outfitters Inc.	URBN	6-Sep-2023	FOIA Response	\$33.88	3,143	No recent SEC investigative activity found.
NF	US Bancorp	USB	8-Sep-2023	FOIA Response	\$32.75	50,991	No recent SEC investigative activity found.
NF	Varex Imaging Corp.	VREX	11-Sep-2023	FOIA Response	\$17.91	724	No recent SEC investigative activity found.
NF	WesBanco Inc.	WSBC	11-Sep-2023	FOIA Response	\$24.38	1,447	No recent SEC investigative activity found.



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Unusual Data Point	Western Digital Corporation	WDC	20-Sep-2023	FOIA Appeal Response	\$43.06	13,958	<p><b>Something curious between Western Digital and the SEC.</b> An early signal of undisclosed SEC investigative activity, found on 27-Jul-2023, was NOT confirmed on appeal. In an appeal response dated 20-Sep-2023, the SEC said no records were found. A search of EDGAR filings for the past two years found no clear disclosure of SEC investigative activity. <b>Notable items in the timeline:</b> 08-Jun-2022, 8-K – Western Digital Announces Review of Strategic Alternatives. 03-Apr-2023, 8-K and press release – First disclosure of Mar-2023 cyber incident <a href="#">DI's Take</a>: We have no idea what's going on here. This response pattern could be related to the cyber incident, but we cannot be sure. That's because the type of appeal response we received is neither clear, nor specific. Perhaps there was an investigation that concluded in the past but the SEC's records were not current at the time of our request. We can also get this response when an investigation does not involve the company's conduct, transactions, and/or disclosures; E.g., It could be an investigation of an employee, board member, vendor, customer, and/or competitor. <a href="#">Your next step?</a> Ask the company what contact it's had with the SEC Division of Enforcement over the past two years.</p>
	White Mountains Insurance Group, Ltd.	WTM	11-Sep-2023	FOIA Response	\$1,492.97	3,823	No recent SEC investigative activity found.
	Wyndham Hotels & Resorts, Inc.	WH	11-Sep-2023	FOIA Response	\$73.45	6,189	No recent SEC investigative activity found.



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NF Xcel Energy Inc.	XEL	5-Sep-2023	FOIA Response	\$59.05	32,568	No recent SEC investigative activity found.
NF Zoetis Inc.	ZTS	5-Sep-2023	FOIA Response	\$168.04	77,352	No recent SEC investigative activity found.
NF Zuora, Inc.	ZUO	11-Sep-2023	FOIA Response	\$7.86	1,104	No recent SEC investigative activity found.

*-- End of SEC Investigation Updates --*



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