

# PLEDGED SECURITIES

**Many companies prohibit pledging. Find out who risks it.**

The Pledged Securities database makes it easy to know which insiders have pledged equity shares as collateral, potentially exposing their company to hidden risks. Many advisers consider share pledging to be a poor governance practice, but this critical information is typically buried in footnotes to tables. With decades of experience collecting and cleaning this kind of data, our products are very easy to use and fully comprehensive.

- Easily monitor for risks associated with share pledging
- Stay informed of possible impacts to ownership, independence, and insider trading rules
- Benchmark against the whole population of US listed companies

## FEATURED DATA POINTS:

- Shareholder Name
- Effective Date of Ownership
- Number of Shares Pledged
- Total Shares Beneficially Owned
- Total Shares Outstanding
- Disclosure Text

**Pledged Securities**

Search by Ticker or CIK Code  
Enter a series of ticker symbols or CIK codes separated by spaces or commas.  
Ticker/CIK Lookup

Filter On  
Market Cap  
Revenue  
Industry  
Search Industries @  
Company Location  
Effective Date  
File Date  
Sort By  
Market Cap

% of Shares Pledged to TSBO  
% of Shares Pledged to ISO

Text Search  
Disclosure text Starts with  
Boolean Search Text Search  
boolean syntax reference

Search Pledged Securities

Company	Entity / Person Name	Effective Date	Total Shares Pledged	Total Shares Beneficially Owned	% of Shares Pledged to TSBO	Total Shares Outstanding
WORTHINGTON INDUSTRIES INC	John P McConnell	2020-07-31	9,415,773	17,480,847	53.86%	55,092,728
FIDEL CORP	Frederick W. Smith	2020-07-27	4,580,000	19,538,022	23.44%	261,954,496
MVC CAPITAL, INC.	Arthur Lipson	2020-06-01	62,758	202,123	31.05%	17,725,118
HELIOS TECHNOLOGIES, INC.	Christine L Koski	2020-06-01	949,646	1,082,938	87.69%	32,081,445
KIWA BIO-TECH PRODUCTS GROUP CORP	Feng Li	2020-05-29	1,965,326	1,965,326	100.00%	23,738,781
VMWARE, INC	Dell Technologies Inc.	2020-05-18	100,000,000	337,900,441	29.59%	111,838,394
DYNARESOURCE INC	K. W. Diepholz	2020-05-14	1,864,000	1,864,000	100.00%	17,722,825
Cohen & Co Inc.	EBC 2013 Family Trust	2020-05-04	80,000	80,000	100.00%	1,246,710
Cohen & Co Inc.	Daniel G Cohen	2020-05-04	160,325	28,424,757	0.56%	1,246,710
Casars Entertainment, Inc.	Gary L Carano	2020-04-24	199,174	484,551	42.87%	98,565,678
MANNA TECH INC	J. Stanley Fredrick	2020-04-24	40,000	370,844	10.79%	2,101,240
TAUBMAN CENTERS INC	Robert S Taubman	2020-04-22	3,653,742	25,667,759	14.23%	61,608,379
TAUBMAN CENTERS INC	William S Taubman	2020-04-22	3,592,084	25,297,685	14.20%	61,608,379
LIVEPERSON INC	Robert P. Lucarelli	2020-04-20	2,000,000	5,555,282	36.00%	66,198,311
Cohen & Co Inc.	EBC 2013 Family Trust	2020-04-17	80,000	80,000	100.00%	1,246,710
Cohen & Co Inc.	Daniel G Cohen	2020-04-17	160,325	28,424,757	0.56%	1,246,710
WILLIS LEASE FINANCE CORP	Austin Chandler Willis	2020-04-15	50,000	526,276	9.50%	6,023,011

**NETFLIX INC [NFLX]**  
Formerly: NETFLIX COM INC (Until 2002-03-06)



Overview	Company Info	Governance	Legal			
<div><div>Audit Opinion - Change in Engagement Partner</div><div>Disclosure Controls</div><div>CFO Change</div><div>Litigation - Shareholder Actions</div><div>Audit Fees - Significant Non-Audit Fees</div><div>Pledged Securities</div></div>						
Ticker	NFLX (Nasdaq Global Market)	Auditor	Ernst & Young LLP since 2012			
IRS Number	77-0467272	CIK Code	1065280 SEC Filings '34 Act Filer			
Fiscal Year End	December 31st	Filer Status	Large Accelerated Filer as of 30 September 2020			
Business Address	100 WINCHESTER CIRCLE LOS GATOS, CALIFORNIA 95032 (408) 540-3700	Mailing Address	100 WINCHESTER CIRCLE LOS GATOS, CALIFORNIA 95032-7606			
IPO Year	2002	Company Website	www.netflix.com			
Index	Member Nasdaq 100 Member S&P 500 Member Russell 1000	Industry	SIC: 7841 Video Tape Rental NAICS: 518210 Data Processing, Hosting, and Related Services SEC Assistant Director : 19 Trade & Services			
Market Cap	\$215,701,994,706	Shares Outstanding	441,795,008			
Revenue (yr)**	\$23,819,048,000	Float	432,139,692			
Revenue (mrq)	\$6,435,637,000					
Earnings (mrq)	\$789,976,000	Last Report	10-Q (2020-10-22)			
Assets	\$38,622,543,000	Last Securities Registration	S-8 (2020-06-26)			
Transfer Agent	Computershare Inc /TA	Outside Counsel	Skadden Arps Slate Meagher & Flom LLP   More Detail >>			
Shareholders	Common 590 (2020-01-29)	State of Incorporation	Delaware			
<a href="#">Income Statement</a>   <a href="#">Balance Sheet</a>   <a href="#">Cash Flow</a> Market Cap as of 2020-10-26. Financial info as of 2020-09-30. ** Trailing twelve months.						
Overview	Committees	Compensation	Ratification	Pledged Securities		
Person or Entity	Number of Shares Pledged	Total Shares Owned	Percent Pledged	Date of Holding	Disclosure Text	Filing
Jay C Hoag	900,000	4,325,015	20.81	2020-04-08		2020-04-22 DEF 14A
Jay C Hoag	900,000	4,989,977	18.04	2019-04-08		2019-04-23 DEF 14A

# PLEDGED SECURITIES

The Audit Analytics Pledged Securities database tracks all instances of beneficial owners who have pledged their shares as collateral. It is a structured database that has been cleaned by significant manual review, ensuring consistency and accuracy to a very high standard. Each record contains information on the person or entity that has pledged their shares, the number of shares pledged, and the percentage pledged versus their ownership stake as well as the total shares outstanding of the company. The text of the disclosure is extracted and available for easy reference.

**We make it easy to monitor share pledging across the entire universe of SEC filers.**

## COVERAGE:

'34 Filer Act Filers

## DATA SINCE:

January 1, 2015\*

## SOURCE:

DEF 14A | 10-K | 10-K/A | 20-F | 20-F/A

## DATA ACCESSIBILITY:

Online Search | Data Feed | AQRM Flag

\*As of initial release. Full historical backfill to 2007 underway.

Accounting Quality + Risk Matrix (AQRM) AQRM Legend AQRM Matrix Severity: Notable, Significant, Critical

Auditor: Ernst & Young LLP since 2012

Flag Name	2020	2019	2018	2017	2016
<b>AUDITORS</b>					
Auditor Ratification - Significant Vote Against					
Audit Opinion - Going Concern					
Audit Opinion - Change in Engagement Partner					
Auditor Change					
Audit Fees - Significant Change					
Audit Fees - High Outlier					
Audit Fees - Significant Non-Audit Fees					
<b>FINANCIAL REPORTING</b>					
Out of Period Adjustment					
Impairments					
Change in Accounting Estimates					
Financial Restatement					
Accounting Disclosure Complexity					
Deviation from Benford's Law					
Beneish M-Score					
Altman Z-Score					
<b>CONTROLS</b>					
Internal Controls					
Disclosure Controls					
Late Filings					
<b>STAKEHOLDERS</b>					
Shareholder Activism					
Litigation - Regulatory					
Litigation - Civil Rights					
Litigation - Employment and Labor					
Litigation - Environmental					
Litigation - Intellectual Property					
Litigation - Corruption and Illegal Activities					
Litigation - Shareholder Actions					
<b>INSIDERS</b>					
CEO Change					
CFO Change					
Pledged Securities					

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