



United States of America  
Federal Trade Commission

**Civil Investigative Demand**

1. TO  Hargrove & Associates, Inc. c/o Diane Hazel, Foley & Lardner LLP 1400 16th St., Suite 200 Denver, CO 80202	<input type="checkbox"/>	1a. MATTER NUMBER  FTC File No. 211-0191
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This demand is issued pursuant to Section 20 of the Federal Trade Commission Act, 15 U.S.C. § 57b-1, in the course of an investigation to determine whether there is, has been, or may be a violation of any laws administered by the Federal Trade Commission by conduct, activities or proposed action as described in Item 3.

2. ACTION REQUIRED <input type="checkbox"/> You are required to appear and testify.	
LOCATION OF HEARING	YOUR APPEARANCE WILL BE BEFORE  No appearance required
DATE AND TIME OF HEARING OR DEPOSITION	

- You are required to produce all documents described in the attached schedule that are in your possession, custody, or control, and to make them available at your address indicated above for inspection and copying or reproduction at the date and time specified below.
- You are required to answer the interrogatories or provide the written report described on the attached schedule. Answer each interrogatory or report separately and fully in writing. Submit your answers or report to the Records Custodian named in Item 4 on or before the date specified below.
- You are required to produce the tangible things described on the attached schedule. Produce such things to the Records Custodian named in Item 4 on or before the date specified below.

DATE AND TIME THE DOCUMENTS, ANSWERS TO INTERROGATORIES, REPORTS, AND/OR TANGIBLE THINGS MUST BE AVAILABLE  
October 2, 2024, at 5:00pm ET

3. SUBJECT OF INVESTIGATION See attached.
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4. RECORDS CUSTODIAN/DEPUTY RECORDS CUSTODIAN Geoffrey M. Green, Assistant Director Joseph R. Baker, Deputy Assistant Director	5. COMMISSION COUNSEL Melissa Westman-Cherry Federal Trade Commission 600 Pennsylvania Avenue NW Washington, DC 20580 (202) 326-2338   mwestman@ftc.gov
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DATE ISSUED 09/16/24	COMMISSIONER'S SIGNATURE 
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<p style="text-align: center;"><b>INSTRUCTIONS AND NOTICES</b></p> <p>The delivery of this demand to you by any method prescribed by the Commission's Rules of Practice is legal service and may subject you to a penalty imposed by law for failure to comply. The production of documents or the submission of answers and report in response to this demand must be made under a sworn certificate, in the form printed on the second page of this demand, by the person to whom this demand is directed or, if not a natural person, by a person or persons having knowledge of the facts and circumstances of such production or responsible for answering each interrogatory or report question. This demand does not require approval by OMB under the Paperwork Reduction Act of 1980.</p> <p style="text-align: center;"><b>PETITION TO LIMIT OR QUASH</b></p> <p>The Commission's Rules of Practice require that any petition to limit or quash this demand be filed within 20 days after service, or, if the return date is less than 20 days after service, prior to the return date. The original and twelve copies of the petition must be filed with the Secretary of the Federal Trade Commission, and one copy should be sent to the Commission Counsel named in Item 5.</p>	<p style="text-align: center;"><b>YOUR RIGHTS TO REGULATORY ENFORCEMENT FAIRNESS</b></p> <p>The FTC has a longstanding commitment to a fair regulatory enforcement environment. If you are a small business (under Small Business Administration standards), you have a right to contact the Small Business Administration's National Ombudsman at 1-888-REGFAIR (1-888-734-3247) or <a href="http://www.sba.gov/ombudsman">www.sba.gov/ombudsman</a> regarding the fairness of the compliance and enforcement activities of the agency. You should understand, however, that the National Ombudsman cannot change, stop, or delay a federal agency enforcement action.</p> <p>The FTC strictly forbids retaliatory acts by its employees, and you will not be penalized for expressing a concern about these activities.</p> <p style="text-align: center;"><b>TRAVEL EXPENSES</b></p> <p>Use the enclosed travel voucher to claim compensation to which you are entitled as a witness for the Commission. The completed travel voucher and this demand should be presented to Commission Counsel for payment. If you are permanently or temporarily living somewhere other than the address on this demand and it would require excessive travel for you to appear, you must get prior approval from Commission Counsel.</p> <p>A copy of the Commission's Rules of Practice is available online at <a href="http://bit.ly/FTCSRulesofPractice">http://bit.ly/FTCSRulesofPractice</a>. Paper copies are available upon request.</p>
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**CIVIL INVESTIGATIVE DEMAND ISSUED TO  
HARGROVE & ASSOCIATES, INC.**

**File No. 211-0191**

Unless modified by agreement with the staff of the Federal Trade Commission (the “Commission” or the “FTC”), each Specification of this Civil Investigative Demand requires a complete search of the Company as defined in the Definitions, which appear after the following Specifications. Pursuant to the Commission’s Rules of Practice, 16 C.F.R. § 2.7(k), a Company representative must confer with the Commission representative identified in the final instruction of this Civil Investigative Demand within fourteen days after receipt of this Civil Investigative Demand or before the deadline for filing a petition to quash, whichever is first. If the Company believes that the required search or any other part of this Civil Investigative Demand can be narrowed in any way that is consistent with the Commission’s need for information, it is encouraged to discuss such possible modifications with the Commission representative. All modifications to this Civil Investigative Demand must be agreed to in writing pursuant to the Commission’s Rules of Practice, 16 C.F.R. § 2.7(l).

**SUBJECT OF THE INVESTIGATION**

To determine whether Deere & Company, or any other person, has engaged in or is engaging in unfair, deceptive, anticompetitive, collusive, coercive, predatory, exploitative, or exclusionary acts or practices in or affecting commerce related to the repair of agricultural equipment in violation of Section 5 of the Federal Trade Commission Act, 15 U.S.C. § 45, as amended, or any other statutes or rules enforced by the Commission, and to determine the appropriate action or remedy. See also the attached resolution.

**SPECIFICATIONS**

1. Submit all Data Sets relating to the sale of Agricultural Equipment in the United States, including all Data Sets relating to AEM’s or HAI’s reports and market share/size statistics for Agricultural Equipment and Data Sets submitted by Agricultural Equipment manufacturers to HAI, with all available fields.
2. Submit all reports, including United States Ag Tractor and Combine reports and market share/size statistics, issued, created, or distributed by HAI relating to the sale of Agricultural Equipment in the United States.
3. Submit all documents sent by HAI to Agricultural Equipment manufacturers relating to the submission of data to HAI, including any manuals, instructions, or specifications relating to data submissions.

4. Provide a list of Agricultural Equipment manufacturers that sell Agricultural Equipment in the United States but do not participate in HAI's reporting programs in the United States.
5. Submit documents sufficient to show the relationship between each Agricultural Equipment manufacturer's product name/number and AEM or HAI's product categorization (e.g., 2WD farm tractors < 40 HP).
6. Submit a Data Map reflecting the relationship among all Data Sets, reports, and market share/size statistics responsive to any other Specification of this Civil Investigative Demand.
7. For each Data Set provided in response to any Specification in this Civil Investigative Demand, provide a data dictionary that includes:
  - a. a list of field names and a definition for each field contained in the Data Set;
  - b. the meaning of each code that appears as a field value in the Data Set; and
  - c. the primary key in the Data Set or table that defines a unique observation.

### DEFINITIONS

For the purposes of this Civil Investigative Demand, including the instructions, the following definitions apply:

- A. “**AEM**” means the Association of Equipment Manufacturers.
- B. “**Agricultural Equipment**” means equipment that has a primary purpose for use in the production of agricultural products, including: large, medium, and utility tractors, regardless of whether two-wheel drive or four-wheel drive; tractor loaders; combines, cotton pickers, cotton strippers, and sugarcane harvesters; harvesting front-end equipment; sugarcane loaders and pull-behind scrapers; tillage, seeding and application equipment, including sprayers, nutrient management and soil preparation machinery; and hay and forage equipment, including self-propelled forage harvesters and attachments, balers, and mowers.
- C. The terms “**and**,” as well as “**or**” shall be construed both conjunctively and disjunctively, as necessary, in order to bring within the scope of any specification all information that otherwise might be construed to be outside the scope of the specification.
- D. The term “**any**” shall be construed to include “**all**,” and “**all**” shall be construed to include “**any**.”
- E. “**Company**,” “**HAI**,” or “**you**” means Hargrove & Associates, Inc. and its directors, officers, trustees, employees, attorneys, agents, consultants, representatives, parents, predecessors, divisions, subsidiaries, affiliates, partnerships, and joint ventures, including AEM, and the directors, officers, trustees, employees, attorneys, agents, consultants, and representatives of its parents, predecessors, divisions, subsidiaries, affiliates, partnerships, and joint ventures.
- F. “**Data Map**” means an organized list, schematic, diagram, or other representation sufficient to show where and how the Company stores all physical and electronic information in its possession, custody, or control, including information systems (e.g., email messages, voice-mail messages, communications logs, enterprise content management, instant messaging, database applications), locations where information is stored, including servers and backup systems (e.g., physical Company facility, third-party vendor location, cloud), and the physical and logical network topology of the Company’s computer systems.
- G. “**Data Set**” means all or a subset of data held by, or accessible to, the Company in the normal course of business.

- H. “**Documents**” means all written, recorded, transcribed, or graphic matter of every type and description, however and by whomever prepared, produced, reproduced, disseminated, or made, including communications, analyses, letters, memoranda, reports, contracts, books, accounts, statements, studies, surveys, pamphlets, notes, charts, maps, plats, tabulations, graphs, tapes, data sheets, data processing cards, printouts, net sites, microfilm, indices, calendar or diary entries, manuals, guides, outlines, abstracts, histories, agendas, minutes or records of meetings, conferences, electronic mail, text messages, instant messages via chat programs (such as Slack, Cisco Jabber, Microsoft Teams, Google Hangouts Chat, or Cisco WebEx Teams) or mobile applications (such as WhatsApp, iMessage, Signal, Telegram, or Zoom), voice messages, recordings of meetings, telephone calls, or other conversations or communications, as well as films, tapes, or slides, and all other data compilations in the possession, custody, or control of the Company, or to which the Company has access.

The term “document” includes the complete original document (or a copy thereof if the original is not available), all drafts (whether or not they resulted in a final document), and all copies that differ in any respect from the original, including any notation, underlining, marking, or information not on the original.

The term “other data compilations” includes information stored in, or accessible through, computer or other information retrieval systems, together with instructions and all other material necessary to use or interpret such data compilations as set out in Instruction 2.

If the name of the person or persons who prepared, reviewed, or received the document and the date of preparation, review, or receipt are not clear on the face of any document, such information should be provided separately.

Unless otherwise specified, the term “document” excludes bills of lading, invoices, purchase orders, customs declarations, and other similar documents of a purely transactional nature.

Documents shall be produced in accordance with the instructions set out in Instruction 2.

- I. The term “**each**” shall be construed to include “every,” and “**every**” shall be construed to include “each.”
- J. The term “**including**” shall be construed to mean “including without limitation.”
- K. The term “**person**” includes the Company, and shall mean any natural person, corporate entity, partnership, association, joint venture, governmental entity, trust, or any other organization or entity engaged in commerce.

- L. The terms “**relate(s) to**”, “**relating to**”, or “**related to**” shall mean, in whole or in part, constituting, containing, concerning, embodying, reflecting, discussing, explaining, describing, analyzing, identifying, stating, reporting, forecasting, referring to, dealing with, or in any way pertaining to.
- M. The term “**Technology Assisted Review**” means any process that utilizes a computer algorithm to limit the number of potentially responsive documents subject to manual review. A keyword search of documents with no further automated processing is not a Technology Assisted Review.
- N. The singular form of a noun or pronoun includes its plural form, and vice versa; and the present tense of a verb includes the past tense, and vice versa.

**INSTRUCTIONS**

For the purposes of this Civil Investigative Demand, the following instructions apply:

1. Do not produce any Sensitive Personally Identifiable Information (“Sensitive PII”) or Sensitive Health Information (“SHI”) prior to discussing the information with a Commission representative.

The term “Sensitive Personally Identifiable Information” means an individual’s Social Security Number alone; or an individual’s name, address, or phone number in combination with one or more of the following:

- date of birth
- driver’s license number or other state identification number, or a foreign country equivalent
- passport number
- financial account number
- credit or debit card number

The term “Sensitive Health Information” includes medical records and other individually identifiable health information, whether on paper, in electronic form, or communicated orally. Sensitive Health Information relates to the past, present, or future physical or mental health or condition of an individual, the provision of health care to an individual, or the past, present, or future payment for the provision of health care to an individual.

2. Form of Production: The Company must submit Documents as instructed below absent written consent.
  - a. Documents stored in electronic or hard copy formats in the ordinary course of business shall be submitted in the following electronic format provided that such copies are true, correct, and complete copies of the original documents:
    - i. Submit Microsoft Excel, Access, and PowerPoint files in native format with extracted text and metadata.
    - ii. Submit emails in TIFF (Group IV) format with extracted text and the following metadata and information:

<b>Metadata/Document Information</b>	<b>Description</b>
Alternative Custodian	List of custodians where the document has been removed as a duplicate.

<b>Metadata/Document Information</b>	<b>Description</b>
Bates Begin	Beginning Bates number of the email.
Bates End	Bates number of the last page of the email.
Beg Attach	First Bates number of attachment range.
End Attach	Ending Bates number of attachment range.
Custodian	Name of the person from whom the email was obtained.
Email BCC	Names of person(s) blind copied on the email.
Email CC	Names of person(s) copied on the email.
Email Date Received	Date the email was received. [MM/DD/YYYY]
Email Date Sent	Date the email was sent. [MM/DD/YYYY]
Email From	Names of the person who authored the email.
Email Message ID	Microsoft Outlook Message ID or similar value in other message systems.
Email Subject	Subject line of the email.
Email Time Received	Time email was received. [HH:MM:SS AM/PM]
Email To	Recipients(s) of the email.
Email Time Sent	Time email was sent. [HH:MM:SS AM/PM]
Page Count	Number of pages in record.
File Size	Size of document in KB.
File Extension	File extension type (e.g., docx, xlsx).
Folder	File path/folder location of email.
Hash	Identifying value used for deduplication – typically SHA1 or MD5.



<b>Metadata/Document Information</b>	<b>Description</b>
Text Link	Relative path to submitted text file. Example: \TEXT\001\FTC0003090.txt

- iii. Submit email attachments and hyperlinked attachments/documents (i.e., materials referenced as a link in an email that were originally stored or accessed on a share drive or cloud drive hosted by the Company or any other Person) other than those described in subpart (a)(i) in TIFF (Group IV) format. Hyperlinked attachments/documents should be treated as normal attachments and therefore produced with family identifying metadata accordingly. For all email attachments and hyperlinked documents, provide extracted text and the following metadata and information as applicable:

<b>Metadata/Document Information</b>	<b>Description</b>
Alternative Custodian	List of custodians where the document has been removed as a duplicate.
Bates Begin	Beginning Bates number of the document.
Bates End	Last Bates number of the document.
Beg Attach	First Bates number of attachment range.
End Attach	Ending Bates number of attachment range.
Custodian	Name of person from whom the file was obtained.
Date Created	Date the file was created. [MM/DD/YYYY]
Date Modified	Date the file was last changed and saved. [MM/DD/YYYY]
Page count	Number of pages in record.
File size	Size of document in KB.
File Extension	File extension type (e.g., docx, xlsx).
Filename with extension	Name of the original native file with file extension.

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<b>Metadata/Document Information</b>	<b>Description</b>
Hash	Identifying value used for deduplication – typically SHA1 or MD5.
Native Link	Relative file path to submitted native or near native files. Example: \NATIVES\001\FTC000309.xlsx
Parent ID	Document ID or beginning Bates number of the parent email.
Text Link	Relative path to submitted text file. Example: \TEXT\001\FTC0003090.txt
Time Created	Time file was created. [HH:MM:SS AM/PM]
Time Modified	Time file was saved. [HH:MM:SS AM/PM]

- iv. Submit all other electronic documents, other than those described in subpart (a)(i), in TIFF (Group IV) format accompanied by extracted text and the following metadata and information:

<b>Metadata/Document Information</b>	<b>Description</b>
Alternative Custodian	List of custodians where the document has been removed as a duplicate.
Bates Begin	Beginning Bates number of the document.
Bates End	Last Bates number of the document.
Beg Attach	First Bates number of attachment range.
End Attach	Ending Bates number of attachment range.
Custodian	Name of the original custodian of the file.
Date Created	Date the file was created. [MM/DD/YYYY]
Date Modified	Date the file was last changed and saved. [MM/DD/YYYY HH:MM:SS AM/PM]
Page count	Number of pages in record.

<b>Metadata/Document Information</b>	<b>Description</b>
File size	Size of document in KB.
File Extension	File extension type (e.g., docx, xlsx).
Filename with extension	Name of the original native file with file extension.
Hash	Identifying value used for deduplication – typically SHA1 or MD5.
Originating Path	File path of the file as it resided in its original environment.
Production Link	Relative path to submitted native or near native files. Example: \NATIVES\001\FTC0003090.xls
Text Link	Relative path to submitted text file. Example: \TEXT\001\FTC-0003090.txt
Time Created	Time file was created. [HH:MM:SS AM/PM]
Time Modified	Time file was saved. [HH:MM:SS AM/PM]

- v. Submit documents stored in hard copy in TIFF (Group IV) format accomplished by OCR with the following information:

<b>Metadata/Document Information</b>	<b>Description</b>
Bates Begin	Beginning Bates number of the document.
Bates End	Bates number of the last page of the document.
Custodian	Name of person from whom the file was obtained.

- vi. Submit redacted documents in TIFF (Group IV) format accompanied by OCR with the metadata and information required by relevant document type in subparts (a)(i) through (a)(v) above. For example, if the redacted file was originally an attachment to an email, provide the metadata and

information specified in subpart (a)(iii) above. Additionally, please provide a basis for each privilege claim as detailed in Instruction 4.

- b. Submit data compilations in electronic format, specifically Microsoft Excel spreadsheets or delimited text formats, with all underlying data un-redacted and all underlying formulas and algorithms intact.
- c. Produce electronic file and TIFF submissions as follows:
  - i. For productions over 10 gigabytes, use USB compatible hard drives or thumb drives, in Microsoft Windows format;
  - ii. For productions under 10 gigabytes, Secure FTP of materials is also permitted. The FTC uses Kiteworks for Secure File Transfer. To request an invitation, please contact the FTC representative identified below;
  - iii. For productions under 10 gigabytes, CD-ROM (CD-R, CD-RW) optical disks and DVD-ROM (DVD+R, DVD+RW) optical disks for Windows-compatible personal computers may be used;
  - iv. All documents produced in electronic format shall be scanned for and free of viruses prior to submission. The Commission will return any infected media for replacement, which may affect the timing of your compliance with this Civil Investigative Demand; and
  - v. Encryption of productions using NIST FIPS-Compliant cryptographic hardware or software modules, with passwords sent under separate cover, is strongly encouraged.
- d. Each production shall be submitted with a transmittal letter that includes the FTC matter number; production volume name; encryption method/software used; list of custodians and document identification number range for each; total number of documents; and a list of load file fields in the order in which they are organized in the load file.
- e. If the Company intends to utilize Email threading, Technology Assisted Review, deduplication, or similar technologies when collecting or reviewing information that is stored in the Company's computer systems or electronic storage media, or if the Company's computer systems contain or utilize such software, the Company must contact a Commission representative to determine, with the assistance of the appropriate government technical officials, whether and in what manner the Company may use such software or services when producing materials in response to this CID.

3. All documents responsive to this Civil Investigative Demand:
  - a. shall be produced in complete form, un-redacted unless privileged, and in the order in which they appear in the Company's files;
  - b. shall be marked on each page with corporate identification and consecutive document control numbers when produced in TIFF format (e.g., ABC-00000001);
  - c. shall be produced in color where necessary to interpret the document (if the coloring of any document communicates any substantive information, or if black-and-white photocopying or conversion to TIFF format of any document (e.g., a chart or graph) makes any substantive information contained in the document unintelligible, the Company must submit the original document, a like-colored photocopy, or a JPEG format TIFF);
  - d. shall be accompanied by an index that identifies: (i) the name of each Person from whom responsive documents are submitted; and (ii) the corresponding consecutive document control number(s) used to identify that Person's documents. If the index exists as a computer file(s), provide the index both as a printed hard copy and in machine-readable form (provided that Commission representatives determine prior to submission that the machine-readable form would be in a format that allows the agency to use the computer files). The Commission representative will provide a sample index upon request; and
  - e. shall be accompanied by an affidavit of an officer of the Company stating that the copies are true, correct, and complete copies of the original documents.
4. If any material called for by this Civil Investigative Demand is withheld based on a claim of protected status, 16 C.F.R. § 2.7(a)(4), the claim must be asserted no later than the return date of this Civil Investigative Demand. In addition, pursuant to 16 C.F.R. § 2.11(a)(1), submit, together with the claim, a detailed log of the items withheld. The information in the log shall be of sufficient detail to enable the Commission staff to assess the validity of the claim for each document, including attachments, without disclosing the protected information. Unless modified by Commission staff, submit the log in a searchable and sortable electronic format, and, for each document, including attachments, provide:
  - a. Document control number(s);
  - b. The full title (if the withheld material is a document) and the full file name (if the withheld material is in electronic form);
  - c. A description of the material withheld (for example, a letter, memorandum, or email), including any attachments;

- d. The date the material was created;
- e. The date the material was sent to each recipient (if different from the date the material was created);
- f. The email addresses, if any, or other electronic contact information to the extent used in the document, from which and to which each document was sent;
- g. The names, titles, business addresses, email addresses or other electronic contact information, and relevant affiliations of all authors;
- h. The names, titles, business addresses, email addresses or other electronic contact information, and relevant affiliations of all recipients of the material;
- i. The names, titles, business addresses, email addresses or other electronic contact information, and relevant affiliations of all persons copied on the material;
- j. The factual basis supporting the claim that the material is protected; and
- k. Any other pertinent information necessary to support the assertion of protected status by operation of law.

In the log, identify by an asterisk (\*) each attorney who is an author, recipient, or person copied on the material. The titles, business addresses, email addresses, and relevant affiliations of all authors, recipients, and persons copied on the material may be provided in a legend appended to the log. However, provide in the log the information required by Instruction 4(f). The lead attorney or attorney responsible for supervising the review of the material and who made the determination to assert the claim of protected status must attest, in writing, to the log.

A document, including all attachments, may be withheld or redacted only to the extent necessary to preserve any claim of protected status. Unless otherwise provided in the instructions accompanying this Civil Investigative Demand, and except for information and material subject to a valid claim of protected status, all responsive information and material shall be produced without redaction.

5. Before using software or technology (including search terms, email threading, Technology Assisted Review, deduplication, or similar technologies) to identify or eliminate documents, data, or information potentially responsive to this CID, the Company must submit a written description of such software or technology and any related processes and workflows used to conduct any part of its search. In addition:

- a. if you use Technology Assisted Review to identify documents and information responsive to this CID or to exclude documents and information from further review, describe your collection and review methodology, including:
    - i. how any software is used to identify responsive documents or exclude nonresponsive documents;
    - ii. the process to identify and validate any seed set documents, if applicable;
    - iii. the process to determine and validate accuracy of the automatic determinations of responsiveness and nonresponsiveness; and
    - iv. the collection and review process for foreign language documents, whether reviewed manually or by some technology-assisted method;
  - b. if you use search terms to identify documents and information responsive to the CID or to exclude documents or information from further review, then for each custodian, search location, or document population provide:
    - i. a list of proposed terms;
    - ii. a tally of all the terms that appear in the collection and the frequency of each term;
    - iii. a list of stop words and operators for the platform being used; and
    - iv. a glossary of industry and company terminology;
  - c. provide recall, precision, and confidence-level statistics (or an equivalent);
  - d. provide access to randomized, statistically significant samples of non-privileged documents excluded from review or production by use of keyword search terms, Technology Assisted Review software, or any other means;
  - e. identify the person(s) able to testify on your behalf about information known or reasonably available to the organization relating to your use of software or technology in responding to this CID.
6. Unless otherwise specified, each Specification of this Civil Investigative Demand calls for Documents and/or information from January 1, 2015 to the present.
  7. In order for the Company's response to this Civil Investigative Demand to be complete, the attached certification form must be executed by the official supervising compliance with this Request, notarized, and submitted along with the responsive materials.

8. Any questions you have related to the scope or meaning of anything in this Civil Investigative Demand or suggestions for possible modifications thereto should be directed to **Ethan Stevenson** at [estevenson1@ftc.gov](mailto:estevenson1@ftc.gov) or (202) 531-8971. Please provide responses to the above specifications in electronic format via FTP. For electronic transmission of materials, please request an FTP link to transmit the materials. All electronic submissions must be accompanied by an email notification of such submission to the FTC staff attorney identified above. If you wish to submit your response by other means, please call the FTC staff attorney listed above for instructions.



**CERTIFICATION OF COMPLIANCE**

**Pursuant to 28 U.S.C. § 1746**

I, \_\_\_\_\_, certify the following with respect to the Federal Trade Commission’s (“FTC”) Civil Investigative Demand issued on [\_\_\_\_\_] and directed to Hargrove & Associates, Inc. (FTC File No. 211-0191):

1. The Company has identified all documents, information, and/or tangible things (“responsive information”) in the Company’s possession, custody, or control responsive to the Civil Investigative Demand and either:
  - a. provided such responsive information to the FTC; or
  - b. for any responsive information not provided, given the FTC written objections setting forth the basis for withholding the responsive information.
2. I verify that the responses to the Civil Investigative Demand are complete and true and correct to my knowledge.

I certify under penalty of perjury that the foregoing is true and correct.

Date: \_\_\_\_\_

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Title

**UNITED STATES OF AMERICA  
BEFORE THE FEDERAL TRADE COMMISSION**

**COMMISSIONERS:**     **Lina M. Khan, Chair**  
                              **Noah Joshua Phillips**  
                              **Rohit Chopra**  
                              **Rebecca Kelly Slaughter**  
                              **Christine S. Wilson**

**RESOLUTION DIRECTING USE OF COMPULSORY PROCESS  
REGARDING REPAIR RESTRICTIONS**

**File No. 212 3126**

Nature and Scope of Investigation:

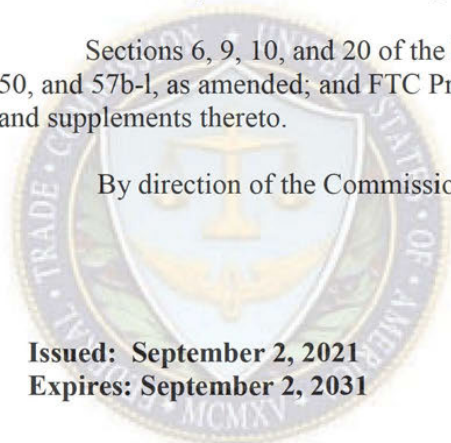
To investigate whether any persons, partnerships, or corporations have engaged or are engaging in unfair, deceptive, anticompetitive, collusive, coercive, predatory, exploitative, or exclusionary acts or practices, in or affecting commerce, related to any repair restrictions, including but not limited to restrictions related to any hardware and any software, imposed by manufacturers or sellers in violation of Section 5 of the Federal Trade Commission Act, 15 U.S.C. § 45, as amended, the Magnuson-Moss Warranty Act, 15 U.S.C. § 2301 *et seq.*, or any statutes or rules enforced by the Commission; and to determine the appropriate remedy, including whether injunctive and monetary relief would be in the public interest.


The Federal Trade Commission hereby resolves and directs that any and all compulsory processes available to it be used in connection with this investigation for a period not to exceed ten years. The expiration of this ten-year period shall not limit or terminate the investigation or the legal effect of any compulsory process issued during the ten-year period. The Federal Trade Commission specifically authorizes the filing or continuation of actions to enforce any such compulsory process after the expiration of the ten-year period.

Authority to Conduct Investigation:

Sections 6, 9, 10, and 20 of the Federal Trade Commission Act, 15 U.S.C. §§ 46, 49, 50, and 57b-1, as amended; and FTC Procedures and Rules of Practice, 16 C.F.R. § 1.1 *et seq.*, and supplements thereto.

By direction of the Commission.



  
April J. Tabor  
Secretary

**Issued: September 2, 2021**  
**Expires: September 2, 2031**