# SEC NEWS DIGEST

Issue 2000-96

May 19, 2000

## **ENFORCEMENT PROCEEDINGS**

## **COMMISSION SUSTAINS NASD DISCIPLINE OF MAXIMO JUSTO GUEVARA**

The Commission sustained NASD disciplinary action against Maximo Justo Guevara. The NASD censured Guevara, barred him, fined him \$100,000, and required him to make restitution.

Guevara was a registered representative with an NASD member firm. In June 1994, he saw a television advertisement about Mid-Tennessee Third Mobile, a Nevada partnership that represented that it intended to develop a wireless communications network. Without notice to his firm, Guevara began to sell interests in Mid-Tennessee. He sold the interests to three of his firm's customers. The transactions were wholly unsuitable for the customers, given their age, limited financial means, and conservative objectives.

The Commission concluded that the mid-Tennessee interests were securities. The Commission further found that Guevara had violated NASD rules by recommending unsuitable transactions to the customers and engaging in private securities transactions outside the scope of his employment without providing prior written notice to his member firm. In light of his conduct, the Commission concluded that the sanctions were neither excessive nor oppressive. (Press Rel. 34-42793; File No. 3-9838)

## **INVESTMENT COMPANY ACT RELEASES**

## **BAIN CAPITAL, INC. AND BCIP ASSOCIATES II**

A notice has been issued giving interested persons until June 12, 2000, to request a hearing on an application filed by Bain Capital, Inc. and BCIP Associates II for an order under Sections 6(b) and 6(e) of the Investment Company Act exempting applicants from all provisions of the Act, and the rules and regulations under the Act, except Section 9, certain provisions of Sections 17 and 30, and Sections 36 and 53, and the rules and regulations thereunder. The order would permit applicants to operate an employees' securities company. (Rel. IC-24457 – May 17)

# MARSHALL FUNDS, INC., ET AL.

An order has been issued on an application filed by Marshall Funds, Inc., et al. under Section 17(d) of the Investment Company Act and Rule 17d-1 under the Act permitting certain registered management investment companies to pay to an affiliated lending agent and the lending agent to accept fees based on a share of the revenues generated from securities lending transactions; and to permit the investment companies to deposit their uninvested cash and cash collateral received from securities lending transactions in one or more joint accounts that invest in short-term investments. (Rel. IC-24458 – May 18)

## YAHOO! INC.

A notice has been issued giving interested persons until June 12, 2000, to request a hearing on an application filed by Yahoo! Inc. for an order under Section 3(b)(2) of the Investment Company Act declaring applicant to be primarily engaged in a business other than that of investing, reinvesting, owning, holding or trading in securities. (Rel. IC-24459 – May 18)

## **SELF-REGULATORY ORGANIZATIONS**

## **APPROVAL OF PROPOSED RULE CHANGES**

The Commission partially approved a proposed rule change submitted by the <u>American</u> <u>Stock Exchange</u> (SR-Amex-99-49) relating to investment series of the iShares trust based on foreign stock indexes. (Rel. 34-42786)

The Commission approved a proposed rule change and issued notice of filing and granted accelerated approval to Amendment No. 1 submitted by the <u>American Stock Exchange</u> (SR-Amex-00-14) relating to generic listing standards applicable to listing Portfolio Depository Receipts and Index Fund Shares pursuant to Rule 19b-4(e). (Rel 34-42787)

## **PROPOSED RULE CHANGES**

The <u>National Association of Securities Dealers</u> filed a proposed rule change (SR-NASD-00-27) amending the Nasdaq By-Laws and Restated Certificate of Incorporation. Publication of the notice in the <u>Federal Register</u> is expected during the week of May 22. (Rel. 34-42790)

The NASD has filed a proposed rule change (SR-NASD-00-11) amending certain rules of its Code of Arbitration Procedure to increase revenues and encourage use of the NASD Regulation Mediation Program. Publication of the proposal is expected in the <u>Federal</u> <u>Register</u> during the week of May 22 (Rel. 34-42792)

### **IMMEDIATE EFFECTIVENESS OF PROPOSED RULE CHANGE**

A proposed rule change (SR-Phlx-00-44) filed by the <u>Philadelphia Stock Exchange</u> adopting a monthly credit of up to \$1,000 to qualified members has become immediately effective under Section 19(b)(3)(A) of the Securities Exchange Act of 1934. Publication of the proposal is expected in the <u>Federal Register</u> during the week of May 22. (Rel. 34-42791)

### WITHDRAWAL SOUGHT

A notice has been issued giving interested persons until June 9, 2000, to comment on the application of Westcoast Energy Inc. to withdraw its Common Stock, no par value, and associated Common Stock Purchase Rights from listing and registration on the <u>Pacific Exchange</u> (Rel. 34-42797)

### SECURITIES ACT REGISTRATIONS

The following registration statements have been filed with the SEC under the Securities Act of 1933 The reported information appears as follows<sup>-</sup> Form, Name, Address and Phone Number (if available) of the issuer of the security; Title and the number and/or face amount of the securities being offered; Name of the managing underwriter or depositor (if applicable); File number and date filed; Assigned Branch; and a designation if the statement is a New Issue.

Registration statements may be obtained in person or by writing to the Commission's Public Reference Branch at 450 Fifth Street, N.W., Washington, D.C 20549 or at the following e-mail box address: cpublicinfo@sec.gov>. In most cases, this information is also available on the Commission's website: <www.sec gov>.

- S-1 APPLIED MOLECULAR EVOLUTION INC, 3520 DUNHILL STREET, SAN DIEGO, CA 92121 (585) 597-4990 - \$85,000,000 COMMON STOCK. (FILE 333-36830 -MAY. 12) (NEW ISSUE)
- S-8 PHONE COM INC, 800 CHESAPEAKE DRIVE, REDWOOD CITY, CA 94063
  (650) 562-0200 ~ 2,000,000 (\$146,500,000) COMMON STOCK. (FILE 333~36832 MAY. 12) (BR. 3)
- S-8 BANKNORTH GROUP INC/ME, ONE PORTLAND SQ, P O BOX 9540, PORTLAND, ME 04112 (207) 761-8500 - 2,942,850 (\$38,026,858.60) COMMON STOCK. (FILE 333-36834 - MAY. 12) (BR. 7)
- S-8 SOMANETICS CORP, 1653 E MAPLE ROAD, TROY, MI 48083 (248) 689-3050 -295,000 (\$857,343.75) COMMON STOCK. (FILE 333-36836 - MAY. 12) (BR. 5)
- SB-2 AXXBIZ COM INC, 10888 AVNIDA SANTA ANA, BOCA RATON, FL 33498 (561) 272-7772 - 500,000 (\$500,000) COMMON STOCK. (FILE 333-36838 -MAY. 12) (NEW ISSUE)

- S-8 USX CORP, 600 GRANT ST, PITTSBURGH, PA 15219 (412) 433-1121 1,000,000 (\$23,406,250) COMMON STOCK. (FILE 333-36840 - MAY. 12) (BR. 4)
- S-3 ASHLAND INC, 50 E. RIVERCENTER BOULEVARD, COVINGTON, KY 41012 (606) 815-3333 - 69,600 (\$2,549,100) COMMON STOCK. (FILE 333-36842 -MAY. 12) (BR. 4)
- S-8 UST INC, 100 W PUTNAM AVE, GREENWICH, CT 06830 (203) 661-1100 -5,000,000 (\$74,843,750) COMMON STOCK. (FILE 333-36844 - MAY. 12) (BR. 4)
- S-8 MARSHALL & ILSLEY CORP/WI/, 770 N WATER ST, MILWAUKEE, WI 53202
  (414) 765-7801 6,000,000 (\$281,250,000) COMMON STOCK. (FILE 333-36846 MAY. 12) (BR. 7)
- S-4 UNITED PAN EUROPE COMMUNICATIONS NV, FREDERIK ROESKESTRAAT 123 PO BOX 74763, 1070 BT AMSTERDAM, NETHERLANDS, P7 00000 - 26,362,782 (\$408,898,546) COMMON STOCK. (FILE 333-36848 - MAY.
- 12)
- (BR. 7)
- S-4 LIGHT MANAGEMENT GROUP INC, 3060 MAINWAY DRIVE, SUITE 301, BURLINGTON ONTARIO C, A6 L7M 1 (915) 682-1761 - 500,000 (\$500,000) COMMON STOCK. (FILE 333-36850 - MAY. 12) (BR. 9)
- S-4 NORTHERN STAR FINANCIAL INC, 1650 MADISON AVENUE, SUITE 510, MANKATO, MN 56001 (507) 388-4855 - 891,397 (\$3,698,750) COMMON STOCK. (FILE 333-36852)
  - MAY. 12) (BR. 7)
  - S-8 COMSTOCK RESOURCES INC, 5300 TOWN AND COUNTRY BLVD., SUITE 500, FRISCO, TX 75034 (972) -66-8-88 - 2,500,000 (\$15,156,250) COMMON STOCK. (FILE 333-36854 - MAY. 12) (BR. 4)
  - S-8 ENTERPRISE PRODUCTS PARTNERS L P, 2727 NORTH LOOP WEST, HOUSTON, TX 77008 (713) 880-6500 - 2,000,000 (\$41,625,000) COMMON STOCK. (FILE 333-36856 - MAY. 12) (BR. 4)
  - S-1 VELOCOM INC, 6400 S FIDDLERS GREEN CIR, STE 710, ENGLEWOOD, CO 80111 (303) 874-1120 - \$300,000 COMMON STOCK. (FILE 333-36860 - MAY. 12)
  - S-8 CORPAS INVESTMENTS INC, 5120 TIMBERVIEW TERRACE, ORLANDO, FL 33763
    (407) 786-3701 400,000 (\$600,000) COMMON STOCK. (FILE 333-36862 MAY. 12) (BR. 9)
  - SB-1 LEAPFROG SMART PRODUCTS INC, 1011 MAITLAND CENTER COMMONS, MAITLAND, FL 32751 (407) 838-0400 - 2,909,625 (\$10,000,000) COMMON STOCK. (FILE 333-36864 - MAY. 12) (BR. 3)
  - SB-2 COFFEEAM COM INC, 3588 PIERCE DRIVE, CHAMBLEE, GA 30341 (770) 454-1185 - 150,000 (\$1,050,000) COMMON STOCK. (FILE 333-36868 - MAY. 12) (NEW ISSUE)
  - S-8 SAGENT TECHNOLOGY INC, 800 WEST EL CAMINO REAL, SUITE 300, MOUNTAIN VIEW, CA 94040 (650) 493-7100 - 2,484,544 (\$20,642,236.24) COMMON STOCK. (FILE 333-36870 - MAY. 12) (BR. 3)

- S-3 COVOL TECHNOLOGIES INC, 3280 N FRONTAGE RD, LEHI, UT 84043 (801) 768-4481 - 1,482,272 (\$2,786,671) COMMON STOCK. (FILE 333-36872 -MAY. 12) (BR. 4)
- S-8 OMNICARE INC, 100 E RIVERCENTER BLVD, STE 1600, COVINGTON, KY 41011
  (606) 392-3300 2,500,000 (\$39,218,750) COMMON STOCK. (FILE 333-36874 MAY. 12) (BR. 1)
- S-8 FNB CORP \VA\, 105 ARBOR DR, CHRISTIANSBURG, VA 24068 (540) 381-4951 400,000 (\$6,800,000) COMMON STOCK. (FILE 333-36876 MAY. 12) (BR. 7)
- S-4 OPTICARE HEALTH SYSTEMS INC, 87 GRANDVIEW AVE, WATERBURY, CT 06708
  (203) 596-2236 6,250,000 (\$18,375,000) COMMON STOCK. (FILE 333-36878 MAY. 12) (BR. 1)
- S-8 GILDAN ACTIVEWEAR INC, 725 MONTEE DE LIESSE, VILLE SAINT LAURENT, QUEBEC CANADA, A8 (514) 735-2023 - 1,384,444 (\$45,340,541) COMMON STOCK. (FILE 333-36880 - MAY. 12) (BR. 2)
- S-4 LIGHT MANAGEMENT GROUP INC, 3060 MAINWAY DRIVE, SUITE 301, BURLINGTON ONTARIO C, A6 L7M 1 (915) 682-1761 - 50,000 (\$300,000) COMMON STOCK. (FILE 333-36884 - MAY. 12) (BR. 9)
- S-8 RELIABILITY INC, 16400 PARK ROW, P O BOX 218370, HOUSTON, TX 77218 (281) 492-0550 - 500,000 (\$2,144,500) COMMON STOCK. (FILE 333-36886 -MAY. 12) (BR. 5)
- S-3 ASHLAND INC, 50 E. RIVERCENTER BOULEVARD, COVINGTON, KY 41012 (606) 815-3333 - \$251,500,000 COMMON STOCK. (FILE 333-36888 - MAY. 12) (BR. 4)
- S-8 WEBLINK WIRELESS INC, 3333 LEE PARKWAY SUITE 100, SUITE 100, DALLAS, TX 75219 (214) 765-4000 - 3,000,000 (\$25,230,000) COMMON STOCK. (FILE 333-36890 - MAY. 12) (BR. 7)
- S-3 STRATEGIC SOLUTIONS GROUP INC, 326 FIRST ST STE 100, ANNAPOLIS, MD
  21403
  (410) 263-7761 1,250,000 (\$250,000) COMMON STOCK. (FILE 333-36892 MAY. 12) (BR. 3)
  - S-3 AMB PROPERTY CORP, 505 MONTGOMERY STREET, SAN FRANCISCO, CA 94111 (415) 394-9000 - 604,433 (\$13,845,293.41) COMMON STOCK. (FILE 333-36894 -MAY. 12) (BR. 8)
  - S-8 WELLS GARDNER ELECTRONICS CORP, 2701 N KILDARE AVE, CHICAGO, IL 60639
    (773) -25-2-82 300,000 (\$1,031,250) COMMON STOCK. (FILE 333-36896 MAY. 12) (BR. 3)
  - S-4 SOVEREIGN SPECIALTY CHEMICALS INC, 225 WEST WASHINGTON STREET, SUITE 2200, CHICAGO, IL 60606 (312) 419-7100 - 150,000,000 (\$148,932,000) STRAIGHT BONDS. (FILE 333-36898 - MAY. 12) (BR. 2)
  - S-8 ACUBID COM INC, 1947 CAMINO VIDA ROBLE, SUITE 102, CARLSBAD, CA 92008 (760) 804-0023 - 5,000 (\$9,450) COMMON STOCK. (FILE 333-36900 - MAY. 12) (BR. 9)

S-8 ACUBID COM INC, 1947 CAMINO VIDA ROBLE, SUITE 102, CARLSBAD, CA 92008 (760) 804-0023 - 25,000 (\$47,250) COMMON STOCK. (FILE 333-36902 - MAY.

12)

(BR. 9)

- SB-2 CROSSNET VENTURES INC, 1673-128 STREET, SURREY BC, (602) 483-8411 -2,500,000 (\$3,750,000) COMMON STOCK. (FILE 333-36906 - MAY. 12) (NEW ISSUE)
- S-4 UST INC, 100 W PUTNAM AVE, GREENWICH, CT 06830 (203) 661-1100 -300,000,000 (\$300,000,000) STRAIGHT BONDS. (FILE 333-36908 - MAY. 12) (BR. 4)
- S-8 T/R SYSTEMS INC, 1300 OAKBROOK DR, NORCROSS, GA 30093 (770) 448-9008 -42,607 (\$7,243.19) COMMON STOCK. (FILE 333-36910 - MAY. 12) (BR. 3)
- S-8 T/R SYSTEMS INC, 1300 OAKBROOK DR, NORCROSS, GA 30093 (770) 448-9008 18,939 (\$112,907.07) COMMON STOCK. (FILE 333-36912 MAY. 12) (BR. 3)
- S-8 T/R SYSTEMS INC, 1300 OAKBROOK DR, NORCROSS, GA 30093 (770) 448-9008 -909,091 (\$12,640,119.14) COMMON STOCK. (FILE 333-36914 - MAY. 12) (BR. 3)
- SB-2 WARPRADIO COM INC, 6535 SOUTH DAYTON STREET, SUITE 3000, GREENWOOD VILLAGE, CO 80111 (303) 799-9118 - 1,123,626 (\$2,528,158.50) COMMON STOCK. (FILE 333-36916 - MAY. 12) (BR. 9)
- S-8 T/R SYSTEMS INC, 1300 OAKBROOK DR, NORCROSS, GA 30093 (770) 448-9008 -110,788 (\$282,245.17) COMMON STOCK. (FILE 333-36918 - MAY. 12) (BR. 3)
- S-4 KEY TECHNOLOGY INC, 150 AVERY ST, WALLA WALLA, WA 99362 (509) 529-2161
   1,575,849 (\$11,397,508) PREFERRED STOCK. 1,672,815 (\$7,807,193)
   COMMON STOCK. (FILE 333-36920 MAY. 12) (BR. 5)
- S-3 ARI NETWORK SERVICES INC /WI, 330 EAST KILBOURN AVE, SUITE 200, MILWAUKEE, WI 53202 (414) 278-7676 - 3,262,500 (\$12,540,234) COMMON STOCK. (FILE 333-36922 - MAY. 12) (BR. 3)
- S-8 METRIS COMPANIES INC, 600 S HIGHWAY 169, STE 1800, ST LOUIS PARK, MN 55426 (612) 525-5020 - 2,000,000 (\$68,500,000) COMMON STOCK. (FILE 333-36924 - MAY. 12) (BR. 7)
- S-3 SBC COMMUNICATIONS INC, 175 E HOUSTON, ROOM 9-4, SAN ANTONIO, TX 78205 (210) 821-4105 (FILE 333-36926 - MAY. 12) (BR. 7)
- S-3 ONEOK INC /NEW/, 100 WEST 5TH ST, TULSA, OK 74103 (918) 588-7000 -\$460,000,000 STRAIGHT BONDS. (FILE 333-36928 - MAY. 12) (BR. 2)
- SB-2 INFORMATION HIGHWAY COM INC, 10751 SHELLBRIDGEWAY SUITE 185, RICHMAND B C V6X 2WA, A1 (604) 278-5996 - 4,089,750 (\$11,758,031) COMMON STOCK. (FILE 333-36930 - MAY. 12) (BR. 9)
- S-8 BACH-HAUSER INC, 2080 E FLAMINGO RD, STE 112, LAS VEGAS, NV 89119 200,000 (\$75,000) COMMON STOCK. (FILE 333-36932 MAY. 12) (BR. 9)
- S-8 T/R SYSTEMS INC, 1300 OAKBROOK DR, NORCROSS, GA 30093 (770) 448-9008 -1,117,235 (\$3,108,151.13) COMMON STOCK. (FILE 333-36934 - MAY. 12) (BR. 3)

- S-8 BACH-HAUSER INC, 2080 E FLAMINGO RD, STE 112, LAS VEGAS, NV 89119 200,000 (\$65,000) COMMON STOCK. (FILE 333-36936 MAY. 12) (BR. 9)
- S-3 CORNING INC /NY, ONE RIVERFRONT PLAZA, CORNING, NY 14831 (607) 974-9000
   881,167 (\$149,688,244) COMMON STOCK. (FILE 333-36938 MAY. 12) (BR. 7)
- S-8 VIRGINIA COMMONWEALTH FINANCIAL CORP, 102 SOUTH MAIN ST, PO BOX 71, CULPEPER, VA 22701 (504) 825-4800 - 100,000 (\$2,019,000) COMMON STOCK. (FILE 333-36940 - MAY. 12) (BR. 7)
- SB-2 FIRST CYPRESS TECHNOLOGIES INC, 3362-349 WEST PENDER STREET, VANCOUVER BRITISH COLUMBIA CANADA V6B, CANADA, - 2,057,500 (\$205,750) COMMON STOCK. (FILE 333-36942 - MAY. 12) (NEW ISSUE)
- S-3 OBJECTSOFT CORP, CONTINENTAL PLAZA III, 433 HACKENSACK, HACKENSACK, NJ 07601 (201) 343-9100 - 1,138,575 (\$2,265,764) COMMON STOCK. (FILE 333-36944 - MAY. 12) (BR. 3)
- S-1 ACTIVE POWER INC, 11525 STONEHOLLOW DR, STE 110, AUSTIN, TX 78758 (512) 836-6464 - \$100,000,000 COMMON STOCK. (FILE 333-36946 - MAY. 12)
- S-3 SBS TECHNOLOGIES INC, 2400 LOUISIANA BOULEVARD NE, AFC BUILDING 5 SUITE 600, ALBUQUERQUE, NM 87110 (505) 875-0600 - 174,863 (\$5,888,511) COMMON STOCK. (FILE 333-36948 - MAY. 12) (BR. 5)
- S-3 ENDOREX CORP, 28101 BALLARD DR., LAKE FOREST, IL 60045 (847) -57-3-89 -8,157,869 (\$25,778,866) COMMON STOCK. (FILE 333-36950 - MAY. 12) (BR. 1)
- S-4 ORIUS CORP, 1401 FORUM WAY SUITE 400, WEST PALM BEACH, FL 33401 (561) 687-8300 - 150,000,000 (\$150,000,000) STRAIGHT BONDS. (FILE 333-36952 - MAY. 12) (BR. 6)
- S-4 TELECORP TRITEL HOLDING CO, 1010 N GLEBE ROAD, SUITE 800, ARLINGTON, VA
  22201 (703) 236-1100 179,680,742 (\$6,962,212,961) COMMON STOCK.
  15,436,452 (\$519,198,000) PREFERRED STOCK. (FILE 333-36954 MAY. 12)
  (NEW ISSUE)
- S-1 MONSANTO CO /NEW/, 800 NORTH LINDBERGH BLVD, ST LOUIS, MO 63167 -\$100,000,000 COMMON STOCK. (FILE 333-36956 - MAY. 12) (NEW ISSUE)
- S-3 SEPRACOR INC /DE/, 111 LOCKE DR, MARLBOROUGH, MA 01757 (508) 481-6700 -460,000,000 (\$460,000,000) CONVERTIBLE DEBENTURES AND NOTES. (FILE 333-36958 - MAY. 12) (BR. 1)
- S-3 EXCHANGE APPLICATIONS INC, 89 SOUTH STREET, BOSTON, MA 02111 (617) 737-2244 - 744,277 (\$9,794,685.32) COMMON STOCK. (FILE 333-36960 -MAY. 12) (BR. 3)
- S-8 POET HOLDINGS INC, 999 BAKER WAY, STE 100, SAN MATEO, CA 94404 (650) 286-4640 - 1,316,860 (\$51,407,057.70) COMMON STOCK. (FILE 333-36962 - MAY. 12) (BR. 3)
- SB-2 MOUNTAIN STATES CAPITAL INC, 1407 EAST THOMAS ROAD, SUITE 117, PHOENIX, AZ 85014 - 6,000 (\$12,600,000) STRAIGHT BONDS. (FILE 333-36964 - MAY. 12)

- SB-1 S D PRODUCTS INC, 265 SUNRISE AVE, STE 204, PALM BEACH, FL 33480
   (404) 321-1192 1,000,000 (\$1,000,000) COMMON STOCK. (FILE 333-36966 MAY. 12) (BR. 7)
- S-1 ICONIXX CORP, 8300 BOONE BLVD, STE 250, VIENNA, VA 22182 (703) 790-9008 - \$86,250,000 COMMON STOCK. (FILE 333-36968 - MAY. 12)
- S-4 WARNER CHILCOTT PLC, LINCOLN HOUSE, LINCOLN PLACE, DUBLIN 2 IRELAND, L2
  00000 (011) 353-1709 200,000,000 (\$200,000,000) STRAIGHT BONDS. (FILE
  333-36972 MAY. 12) (BR. 1)
- S-8 AHL SERVICES INC, 3353 PEACHTREE RD NE, SUITE 1120, ATLANTA, GA 30326 (404) 267-222 - 100,000 (\$878,125) COMMON STOCK. (FILE 333-36974 -MAY. 12) (BR. 5)
- S-1 FLASHCOM INC, 5312 BOLSA AVENUE, HUNTINGTON BEACH, CA 92649
  (714) 799-2300 \$125,000,000 COMMON STOCK. (FILE 333-36976 MAY. 12)
  (NEW ISSUE)
- S-8 TWINLAB CORP, 150 MOTOR PARKWAY, HAUPPAUGE, NY 11778 (516) 467-3140 -4,500,000 (\$35,859,275) COMMON STOCK. (FILE 333-36978 - MAY. 12) (BR. 1)
- SB-2 FLEXPOINT SENSOR SYSTEMS INC, 6906 SOUTH 300 WEST, STE 550, MIDVALE, UT 84047 (801) 568-5111 - 6,006,697 (\$13,995,604.01) COMMON STOCK. (FILE 333-36980 - MAY. 12) (BR. 5)
- S-3 PROXYMED INC /FT LAUDERDALE/, 2555 DAVIE ROAD, SUITE 110, FORT LAUDERDALE, FL 33317 (954) 473-1001 - 14,284,547 (\$23,659,495) COMMON STOCK. (FILE 333-36982 - MAY. 12) (BR. 3)
- S-8 GUILFORD MILLS INC, 5201 WEST MARKET STREET, GREENSBORO, NC 27409 (336) 316-4688 - 100,000 (\$718,750) COMMON STOCK. (FILE 333-36984 -MAY. 12) (BR. 2)

S-3 TAKE TWO INTERACTIVE SOFTWARE INC, 575 BROADWAY, 6TH FLOOR, NEW YORK, NY 10012 (212) 334-6633 - 1,839,600 (\$19,775,700) COMMON STOCK. (FILE 333-36986 - MAY. 12) (BR. 3)

S-1 AQUA CLARA BOTTLING & DISTRIBUTION INC, 1315 CLEVELAND STREET, CLEARWATER, FL 33755 (813) 548-7105 - 36,195,912 (\$6,786,733) COMMON STOCK.

(FILE 333-36988 - MAY. 12) (BR. 9)

- S-1 NETOBJECTS INC, 301 GALVESTON DRIVE, STE 250, REDWOOD CITY, CA 94063 (650) 482-3200 - 1,780,815 (\$20,319,099) COMMON STOCK. (FILE 333-36990 -MAY. 12) (BR. 3)
- S-4 AMERICAN MUTUAL HOLDING CO, 699 WALNUT STREET, DES MOINES, IA 50309 (515) 362-3600 - 14,700,000 (\$281,137,500) COMMON STOCK. (FILE 333-36992

MAY. 12) (NEW ISSUE)

S-8 WHITMAN CORP/NEW/, 3501 ALGONQUIN ROAD, ROLLING MEADOWS, IL 60008 (847) 818-5000 - 8,000,000 (\$96,404,814) COMMON STOCK. (FILE 333-36994 -MAY. 12) (BR. 2)

- S-8 NUVEEN JOHN COMPANY, 333 W WACKER DR, CHICAGO, IL 60606 (312) 917-7700 - 3,500,000 (\$135,954,000) COMMON STOCK. (FILE 333-36996 - MAY. 12) (BR. 7)
- S-8 MISSISSIPPI CHEMICAL CORP /MS/, P O BOX 388, YAZOO CITY, MS 39194 (601) 746-4131 - 2,000,000 (\$14,375,000) COMMON STOCK. (FILE 333-36998 -MAY. 12) (BR. 2)
- S-8 NATIONAL INFORMATION CONSORTIUM, 12 CORPORATE WOODS 10975 BENSON STREET,

- S-4 PACIFIC LITHIUM LTD, LEVEL 5, CROSLING CHAPMAN BUILDING,
  63 ALBERT STREET, AUCKLAND NEW ZEALAND, (011) 649-3095 58,344,353
  (\$44,049,986.52) COMMON STOCK. (FILE 333-37002 MAY. 12) (NEW ISSUE)
- S-1 RATEXCHANGE CORP, 185 BERRY STREET, SUITE 3515, SAN FRANCISCO, CA 94107 (415) 371-9800 - 6,500,475 (\$62,339,555.25) COMMON STOCK. (FILE 333-37004 - MAY. 12) (BR. 9)

#### **RECENT 8K FILINGS**

Form 8-K is used by companies to file current reports on the following events.

- Item 1. Changes in Control of Registrant.
- Item 2. Acquisition or Disposition of Assets.
- Item 3. Bankruptcy or Receivership.
- Item 4. Changes in Registrant's Certifying Accountant.
- Item 5. Other Materially Important Events.
- Item 6 Resignations of Registrant's Directors.
- Item 7 Financial Statements and Exhibits
- Item 8. Change in Fiscal Year
- Item 9 Regulation S Offerings.

The following companies have filed 8-K reports for the date indicated and/or amendments to 8-K reports previously filed, responding to the item(s) of the form specified. 8-K reports may be obtained in person or by writing to the Commission's Public Reference Branch at 450 Fifth Street, N.W, Washington, D C. 20549 or at the following e-mail box address: cpublicinfo@sec.gov>. In most cases, this information is also available on the Commission's website

NAME OF ISSUER	STATE CODE 12	8K ITEM 3 4 5 6		DATE COMMENT
ADVANTA CONDUIT RECEIVABLES INC	NV	х	х	05/16/00
ADVANTA CONDUIT RECEIVABLES INC	NV	Х	Х	05/18/00
ADVANTA CORP	DE	Х	Х	05/17/00
ADVANTA REVOLVING HOME EQUITY LOAN	NV	Х	Х	04/17/00
TRUST 2000 A				
ADVANTA REVOLVING HOME EQUITY LOAN	NV	Х	Х	04/19/00
TRUST 2000 A				

SUITE 390, OVERLAND PARK, KS 66210 - 189,199 (\$543,577) COMMON STOCK. (FILE 333-37000 - MAY. 15) (BR. 8)

STATE 8K ITEM NO.

NAME OF ISSUER	STATE CODE		2			1 TEM 56	NO. 78	9	DATE	СС	MMENT
							·		04/10/		
ADVANTA REVOLVING HOME EQUITY LOAN TRUST 2000 A	NV					х	х		04/19/	00	
AGRIBIOTECH INC	NV					Х			05/16/	00	
AGWAY INC	DE					Х			05/17/	00	
ALLIANT TECHSYSTEMS INC	DE					Х			05/16/	00	
AMERICAN ECO CORP						Х	Х		05/15/	00	
AMERICAN FINANCIAL HOLDING INC /DE	DE				Х		Х		04/27/	00	AMEND
ANNAPOLIS NATIONAL BANCORP INC	MD					Х	Х		05/17/	00	
ARCADIA RECEIVABLES FINANCE CORP	DE						Х		09/22/	99	
AROC INC	DE	Х	х			Х	Х		05/01/	00	
ATLANTIC CITY BOARDWALK ASSOCIATES	NJ					х	х		03/31/	00	
ATRIUM COMPANIES INC	DE					х	х		05/09/	00	
AURORA FOODS INC /DE/	DE					X	x		05/15/0		
AVIATION GROUP INC	TX					x	x		05/03/0		
BANK OF AMERICA MORTGAGE SECURITIES						x	x		05/17/		
INC						Λ	Λ				
BELLWETHER EXPLORATION CO	DE					Х	Х		05/16/0		
BIOCONTROL TECHNOLOGY INC	PA					Х			05/17/		
BIOLABS INC						Х			05/11/0		
BROADBAND WIRELESS INTERNATIONAL CO RP	NV					Х	Х		05/17/0	00	
CALGON CARBON CORPORATION	DE				Х		Х		04/07/0	00	AMEND
CAPITAL GAMING INTERNATIONAL INC /N J/	NJ			Х			Х		05/17/0	00	
CAPITAL ONE MASTER TRUST	VA					х	х		04/17/0	00	
CAPITAL TRUST INC	MD					x	x		05/10/0		
CARVER BANCORP INC	DE					x			05/12/0		
CENTRAL COAST BANCORP	CA					X	х		05/15/0		
CHAMPION INTERNATIONAL CORP	NY					X	X		05/12/0		
CHEVY CHASE AUTO RECEIVABLES TRUST	MD					X	Λ		04/30/0		
1996-1	μD					Λ			04/30/0	50	
CHEVY CHASE AUTO RECEIVABLES TRUST 1996-2	MD					Х			04/30/0	00	
CHEVY CHASE AUTO RECEIVABLES TRUST	MD					Х			04/30/0	00	
CHEVY CHASE AUTO RECEIVABLES TRUST 1997-2	MD					х			04/30/0	00	
CHEVY CHASE AUTO RECEIVABLES TRUST	MD					х			04/30/0	00	
CHEVY CHASE AUTO RECEIVABLES TRUST	MD					х			04/30/0	00	
CHEVY CHASE AUTO RECEIVABLES TRUST	MD					х			04/30/0	00	
CHEVY CHASE AUTO RECEIVABLES TRUST	MD					Х			04/30/0	00	
CISCO SYSTEMS INC	CA					х	х		05/09/0	חח	
CITICORP MORTGAGE SECURITIES INC	DE						X		05/17/0		
CITICORP MORTGAGE SECURITIES INC	DE					х	<i>2</i> 1		05/17/0		
CITY HOLDING CO	WV						х		05/15/0		
CLAYTON HOMES INC									05/18/0		
	DE	v	v			Δ	Х				
CNH HOLDINGS CO	NV	х	X			v	v		04/19/0		
COBB RESOURCES CORP	NM					X	X		02/03/0		AMEND
COCA COLA ENTERPRISES INC	DE					Х	Х		05/15/0	0	

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	STATE	i		81	K I	TEM	NO.				
NAME OF ISSUER	CODE	1	2	3	4	56	78	9	DATE	cc	OMMENT
COLLECTORS UNIVERSE INC	DE		 x				 X		03/11/0		AMEND
COLUMBIA HCA HEALTHCARE CORP	DE DE		Λ			x	X		05/18/0		AMEND
COMMODORE APPLIED TECHNOLOGIES INC	DE DE					x	X		05/11/0		
CONDOR CAPITAL INC							~				
	NV					X			05/15/0		
CONDOR CAPITAL INC	NV					X			05/15/0		
CONEXANT SYSTEMS INC	DE					Х	X		05/17/0		
CORPAS INVESTMENTS INC	FL					••	X		03/06/0		AMEND
COX COMMUNICATIONS INC /DE/	DE					Х	X		05/12/0		
CPS AUTO RECEIVABLES TRUST 1998-4	CA						X		05/15/0		
CRIIMI MAE INC	MD					Х	Х		05/18/0		
CROWN CASTLE INTERNATIONAL CORP	DE						Х		05/18/0		
CTC COMMUNICATIONS GROUP INC	DE					Х			05/17/0		
CYGNUS INC /DE/	DE					Х	Х		05/09/0		
DELTA & PINE LAND CO	DE		Х						05/08/0		
DLJ COMMERCIAL MORTGAGE CORP	DE					Х	Х		05/17/0		
DOLLAR TREE STORES INC	VA					Х	Х		05/18/0		
EDUCATION LOANS INC /DE	DE					Х	Х		05/17/(	00	
ENVISION DEVELOPMENT CORP /FL/	FL		Х				Х		04/27/0	00	AMEND
EXCHANGE NATIONAL BANCSHARES INC	MI					Х	Х		05/04/0	00	
EXCO RESOURCES INC	ΤX						Х		02/25/0	00	AMEND
FAMILY GOLF CENTERS INC	DE			Х		Х			05/03/0	00	
FARMER MAC MORTGAGE SECURITIES CORP	DE	Х							04/27/0	00	
FGIC SECURITIES PURCHASE INC	DE					Х	Х		04/28/0	0	
FILM ROMAN INC	DE					Х			05/16/0	0	
FINDEX COM INC	NV						Х		03/15/0		AMEND
FIRST BANK CORPORATE CARD MASTER TR	NY					х	Х		05/18/0		
UST											
FIRST CHARTER CORP /NC/	NC						Х		04/04/0	00	AMEND
FIRST SIERRA RECEIVABLES II INC	DE	Х					Х		05/01/0		
FIRST SIERRA RECEIVABLES III INC	DE	Х					Х		05/01/0		
FIRST UNION DIRECT BANK N A						х	Х		05/15/0		
FIRST UNION MASTER CREDIT CARD TRUS						x	X		05/15/0		
T											
FORTUNE ENTERTAINMENT CORP /DE/	DE		х						03/23/0	0	AMEND
FORTUNE NATURAL RESOURCES CORP	DE					х	Х		05/18/0	0	
FX ENERGY INC	NV					х			05/17/0		
GLENNAIRE FINANCIAL SERVICES INC	UT	Х					Х		05/09/0	-	
GLOBESPAN INC/DE	DE					x	x		05/16/0		
GRAHAM FIELD HEALTH PRODUCTS INC	DE				Х	••	x		05/03/0		AMEND
GREAT PEE DEE BANCORP INC	DE		х		11		X		03/03/0		
GREATER BAY BANCORP	CA		X				X		05/18/0		ANDRO
GREENPOINT HM EQ LN TR 1999-2 REV H	CA		Λ			x	x X		05/15/0		
M EQ ASS BK NOT SE 1999-2						A	Λ		05/15/0	10	
	קר					v	v		05/18/0	0	
HARTFORD FINANCIAL SERVICES GROUP I	DE					X	Х		05/16/0	U	
NC/DE									05 11 0 10	~	
HARTFORD LIFE INC	DE					X	X		05/18/0		
HEADLANDS HOME EQUITY LN TR SE 1999						Х	Х		05/15/0	0	
-1 CL A-1 AN CL A-2 NOTES											
HEADLANDS HOME EQUITY LOAN TR 1998-	DE				2	Х	Х		05/15/0	0	
2 REV HOME EQ LN AS BK NO											
HEALTHRITE INC	DE				Х		Х		05/05/0		AMEND
HEALTHSTAR CORP /UT/	DE				Х		Х		05/10/0		
HOMESEEKERS COM INC	NV				2	Х	Х		05/16/0	0	

NAME OF ISSUER	STATI		8K 34		NO. 78	9 DATE	COMMENT
HONDA AUTO RECEIVABLES 1997-A GRANT OR TRUST	CA			х		04/30/0	0
HONDA AUTO RECEIVABLES 1997-B GRANT OR TRUST	CA			х		04/30/0	0
HONDA AUTO RECEIVABLES 1999-1 OWNER TRUST	CA			х		04/30/0	0
IMC GLOBAL INC	DE		Х		Х	04/27/0	0
IMC GLOBAL INC	DE		Х		Х	04/27/0	0
IMC GLOBAL INC	DE		Х		Х	04/27/0	0
IMS HEALTH INC	DE			Х	Х	05/16/0	
INETVISIONZ COM INC	DE		Х			05/11/0	
INFOWAVE SOFTWARE INC				Х	Х	05/11/0	
INPRISE CORP	DE			Х	Х	05/15/0	
INTERNET COMMERCE CORP	DE		Х		X	05/15/0	
INVISION TECHNOLOGIES INC	DE			Х	Х	02/23/0	
ITLA CAPITAL CORP	CA			Х	Х	05/05/0	
KANSAS GAS & ELECTRIC CO /KS/	KS			Х	Х	05/18/0	
KEYSTONE FINANCIAL INC	PA			X		05/18/0	
KFORCE COM INC	FL			X	Х	05/12/00	
KMC TELECOM HOLDINGS INC	DE			Х	.,	05/18/00	
LABRANCHE & CO INC	DE	Х		v	X	03/02/00	
LYCOS INC	DE			X	X	05/16/00	
MAF BANCORP INC MAGNA ENTERTAINMENT CORP	DE			X X	X X	04/20/00	
MAGNA ENTERTAINMENT CORP MATTEL INC /DE/	DE			x	x	05/17/00	
MATTEL INC / DE/ MAXCOR FINANCIAL GROUP INC	DE DE			X	x	05/15/00	
MDC HOLDINGS INC	DE	х		Δ	Λ	05/11/00	
MDSI MOBILE DATA SOLUTIONS INC /CAN	A1	А		Х	х	05/09/00	
MELLON FINANCIAL CORP	PA			х	х	05/16/00	ו
MERCANTILE CREDIT CARD MASTER TRUST	NY			x	x	05/10/00	
MGM GRAND INC	DE			X		05/17/00	
MGM GRAND INC	DE			X		05/18/00	
MOHAWK INDUSTRIES INC	DE			X	х	05/18/00	
NAM CORP	DE			X	x	05/17/00	
NATIONAL BANKSHARES INC	VA			Х		05/17/00	
NEW VISUAL ENTERTAINMENT INC	UT			х		04/20/00	
NEXT GENERATION MEDIA CORP	NV	х			х	05/01/00	
NL INDUSTRIES INC	NJ			Х	Х	05/18/00	)
NTL DELAWARE INC	DE			Х	Х	05/18/00	)
NUCLEUS INC	NV	Х			х	05/03/00	)
NUTRAMAX PRODUCTS INC /DE/	DE		Х		Х	05/02/00	)
OAKWOOD MORTGAGE INVESTORS INC OMI TRUST 1999-C	PA			Х	Х	05/15/00	)
OAKWOOD MORTGAGE INVESTORS INC OMI TRUST 1999-D	PA			Х	Х	05/15/00	)
OLD DOMINION ELECTRIC COOPERATIVE	VA		Х		Х	05/12/00	)
OMI TRUST 1999 E	PA			Х	Х	05/15/00	)
OMI TRUST 2000 A	NC			Х	Х	05/15/00	)
OMNIS TECHNOLOGY CORP	DE			Х	Х	04/07/00	
OXFORD HEALTH PLANS INC	DE			Х	Х	03/17/00	
OXIGENE INC	DE			Х	Х	05/18/00	
PACIFIC ALLIANCE CORP /UT/	DE	Х			х	05/14/00	)

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NAME OF ISSUER	CODE	1	2	3	4	5	6	7	8	9	DATE	C	OMMENT
PAINEWEBBER MORTGAGE ACCEPTANCE COR PORATION IV	DE					x		х			05/17/	00	
PARACELSUS HEALTHCARE CORP	CA					х					02/15/	00	
PHILLIPS PETROLEUM CO	DE					Х		х			05/17/		
PHOTOGEN TECHNOLOGIES INC	NV					X		х			05/17/		
PLANET HOLLYWOOD INTERNATIONAL INC	DE	Х		х				х			05/09/		
PNC MORTGAGE SEC CORP MORT PASS THR CERT SER 2000-3	DE		х								05/18/		
PREMIERWEST BANCORP	OR		Х								05/08/	00	
PRETORY USA INC	NV							Х			04/14/	00	AMEND
PRUDENTIAL SECURITIES SECURED FINAN CING CORP	DE	Х						Х			05/01/	00	
QUEST PRODUCTS CORP	DE				Х						05/16/	00	AMEND
RADIOSHACK CORP	DE					Х					05/18/		
RESOURCE AMERICA INC	DE					Х		Х			05/17/		
ROHN INDUSTRIES INC	DE				Х			Х			05/15/		
SAFETY KLEEN CORP/	DE					Х					05/15/		
SECURITY ASSOCIATES INTERNATIONAL I NC	DE					Х		Х			04/21/	00	
SEQUOIA MORT TRUST 4 MORT LOAN ASSE T BACK PASS-THROUGH CERT	DE					Х		Х			04/24/		
SOLV EX CORP	NM					Х					05/16/	00	
SOUTHERN HERITAGE BANCORP	GA						Х				06/30/		
SOUTHERN INVESTORS SERVICE CO INC	DE		Х					Х			05/02/		
ST JOE CO	FL					Х		Х			05/18/		
ST MARY LAND & EXPLORATION CO	DE		Х					Х			05/18/		
STAFFMARK INC	DE					Х					05/17/		
STEWART & STEVENSON SERVICES INC	ΤX					Х		Х			05/18/		
STYLECLICK COM INC	CA	Х									05/18/		
SUN HYDRAULICS CORP	FL					X		Х			05/12/		
SYSTEM SOFTWARE ASSOCIATES INC	DE		.,			X		.,			04/26/		210010
TAKEOUTMUSIC COM HOLDINGS CORP	WA	Х	Х			X		X			02/04/		AMEND
TALBOTS INC	DE		v			Х		X			04/14/		
TELEPHONE & DATA SYSTEMS INC /DE/ TELESCAN INC	DE		Х			v		X			05/19/		
THEG INC	DE DE					X X		X X			05/15/05/16/		
TIERS ASSET BACKED SECURITIES SER C HAMT TR 1997-7	DE DE					~		x			05/18/		
TIFFANY & CO	DE					Х					05/16/	00	
TIPPERARY CORP	TX		Х								05/03/		
TOOTSIE ROLL INDUSTRIES INC	VA					Х		х			05/12/		
TRANSFINANCIAL HOLDINGS INC	DE					x					05/18/		
TRANSTECH INDUSTRIES INC	DE					X					05/15/		
TRANSWORLD HEALTHCARE INC	NY				х			х			05/12/		AMEND
TUMBLEWEED INC	DE					Х					05/17/		
TV COMMUNICATIONS NETWORK INC	CO	х									05/18/		
ULTRADATA SYSTEMS INC	DE					Х					05/16/		
UNIROYAL TECHNOLOGY CORP	DE					X					04/27/		
UNIVERSAL BANK NA	DE	х				••					04/30/		
VANDERBILT MORTGAGE & FINANCE INC	TN					х		х			05/18/		
VARI L CO INC	со					Х					05/17/		
VDO COM INC	$\mathbf{FL}$	Х	Х	Х	Х		х	х	Х		04/28/		
VERITAS SOFTWARE CORP /DE/	DE					Х		Х			05/10/		
VIDEO DISPLAY CORP	GA		Х					Х			05/17/	00	

NAME OF ISSUER	STATE CODE		8K ITE 3 4 5		9 DATE	Comment
VISTA EYECARE INC	GA		x		05/17/0	0
VOICE MOBILITY INTERNATIONAL INC	NV		Х		05/15/0	0
WELLS FARGO ASSET SECURITIES CORP	DE		Х	Х	05/18/0	0
WESTERN RESOURCES INC /KS	KS		Х	х	05/18/0	0
WORLDPAGES COM INC	DE		Х		05/18/0	0
WRC MEDIA INC			Х	х	05/15/0	0
XCL LTD	DE		Х		04/27/0	0 AMEND
ZYGO CORP	DE	Х		х	05/05/0	0
1ST MIRACLE GROUP INC	NV		Х		05/12/0	0
21ST CENTURY HOLDING CO	FL		Х	Х	05/12/0	0
5B TECHNOLOGIES CORP	DE	Х		Х	05/02/0	0

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