

# SEC NEWS DIGEST

Issue 99-237

December 10, 1999

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## RULES AND RELATED MATTERS

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### CONCEPT RELEASE ON MARKET INFORMATION FEES AND REVENUES

The Commission has issued a concept release on market information fees and the role of revenues generated by such fees in funding the operation and regulation of the markets. The release describes the current arrangements for disseminating market information and invites public comment on ways in which the arrangements could be revised to further the Exchange Act's national market system objectives. Publication of the release is expected in the Federal Register during the week of December 13. (Rel. 34-42208)

### PROPOSED RULE AMENDMENT

The Commission approved publication of a proposed amendment to Rule 12f-2 that governs unlisted trading privileges in listed initial public offerings. The change would permit national securities exchanges to begin trading IPO securities listed on another exchange immediately after the first trade on the listing exchange is reported to the Consolidated Tape. (Rel. 34-42209)

### INTERMARKET TRADING SYSTEM

The Commission adopted an amendment to the ITS Plan to expand the ITS/CAES linkage to all listed securities, including non-Rule 19c-3 securities. (Rel. 34-42212)

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## ENFORCEMENT PROCEEDINGS

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### SANCTIONS ENTERED AGAINST RONALD KNITTLE AND GREGORY VERNON IN ADMINISTRATIVE PROCEEDINGS

On December 9, the Commission entered an Order Making Findings and Imposing Remedial Sanctions pursuant to Section 15(b)(6)(A) of the Securities Exchange Act of 1934 against Ronald A. Knittle (Knittle) and Gregory G. Vernon (Vernon). The Order bars both Knittle and Vernon from participating in any offering of a penny stock. Knittle and Vernon consented to the entry of the Order without admitting or

denying the allegations against them, except they admitted they were enjoined by a federal district court from further violations of the securities laws and that the Commission had jurisdiction over them.

The Order also found that both Knittle and Vernon were previously enjoined from violations of various provisions of the federal securities laws in connection with a penny stock, Golden Eagle International, Inc. (SEC v. Golden Eagle International, Inc, et al., Civil Action No. 98-Z-1020, USDC, Colo.). (Rel. 34-42211; File No. 3-10056)

**FORMER BROKER SENTENCED TO 41 MONTHS IN PRISON AND ORDERED TO PAY \$832,000 IN CONNECTION WITH FRAUDULENT PRIVATE PLACEMENT SCHEME**

The Commission announced that on December 3 United States District Judge Denise L. Cote sentenced Americo R. Gallo (Gallo) to a prison term of 41 months and restitution to investors of \$832,000. Gallo, a former registered representative and resident of Brooklyn, New York, was prosecuted by the Office of the United States Attorney for the Southern District of New York. Gallo pleaded guilty to one count of conspiracy to commit securities fraud in June 1999.

Gallo was prosecuted for some of the same conduct that underlies a civil complaint filed by the Commission against Gallo, Sharon Harosh, and three companies, Traderz Associates Holding Inc. (Traderz Associates), Blackwell Co. (Blackwell), and Goldman Lender & Co. Holdings (Goldman Lender).

In its complaint, which was filed in October 1998, the Commission alleges that Gallo, the president of Traderz Associates, defrauded investors in connection with a purported private placement of stock of Traderz Associates. The complaint alleges that Gallo solicited investors and Gallo misrepresented to them, among other things, that Traderz Associates' stock would be registered with the Commission and publicly traded in a few months, at which time the stock price would double or triple from the private placement price. The complaint further alleges that Gallo misappropriated a significant portion of the offering proceeds and gave other large sums to colleagues soliciting investors to buy Traderz Associates stock.

The Commission's complaint also alleges that Harosh, or his agents, made misrepresentations in soliciting investors to purchase the stock of Blackwell and Goldman Lender that were similar to those made by Gallo in the sale of Traderz Associates stock. A number of investors who invested in Traderz Associates were later solicited to invest in Blackwell or Goldman Lender, and investors received similar private placement memoranda for the three companies.

The Commission's action, which alleges that the defendants violated Section 17(a) of the Securities Act of 1933 and Section 10(b) of the Securities Exchange Act of 1934 and Rule 10b-5 thereunder, remains pending in the United States District Court for the Southern District of New York. The Commission was previously granted an asset freeze for funds collected from investors, a preliminary

injunction, and the appointment of a temporary receiver for the companies. For further information about the Commission's action, see Litigation Release No. 15947. [U.S. v. Americo Gallo, USDC, SDNY, 99-CR-1471, DLC] (LR-16382)

**COURT REFUSES TO DISMISS SEC'S FRAUD SUIT AGAINST ICN PHARMACEUTICALS, MILAN PANIC AND NILS JOHANNESSON**

The Commission announced today that on December 8 the United States District Court for the Central District of California denied motions made by ICN Pharmaceuticals, Inc. (ICN), ICN's chief executive officer, Milan Panic (Panic), and ICN's former vice president of research and development, Nils O. Johannesson (Johannesson), asking the court to dismiss the Commission's complaint against them, filed August 11, 1999. The Commission's complaint charges that the defendants failed to publicly disclose that, in November 1994, the FDA rejected ICN's application for approval of ribavirin, a new drug to treat hepatitis C, and that they made fraudulent and misleading public statements about that new drug application.

In denying the defendants' motions, the court found the allegations in the complaint sufficient and noted that both Panic and Johannesson allegedly sold shares of ICN stock while aware that the FDA had rejected the new drug application, but prior to full public disclosure of that information. The court also let stand the Commission's request for an order barring Panic from acting as an officer or director of any public company. At the same time, the court granted the motion of another ICN official, David C. Watt (Watt), to dismiss the allegations against him, but permitted the Commission 20 days in which to amend its complaint to supplement the allegations against Watt.

The Commission's complaint alleges that ICN received a letter from the FDA on November 28, 1994 informing the company that its drug application was "not approvable" because the data in the application failed to show that ribavirin was safe and effective in the treatment of hepatitis C. The complaint further alleges that on December 22, 1994 the FDA sent ICN another letter which restated the FDA's earlier rejection of its drug application, and urged the company to withdraw its application. The Commission alleges that the defendants failed to publicly disclose the FDA's November 28, 1994 rejection of the drug application until ICN issued a press release on February 17, 1995. Prior to the issuance of that press release, ICN allegedly made numerous public statements which misled the public about the status of its ribavirin application. SEC v. ICN PHARMACEUTICALS, INC., MILAN PANIC, NILS O. JOHANNESSON AND DAVID C. WATT, Civil Action No. SACV99-1016DOC, ANX, C.D. Cal.] (LR-16383)

**MOTION FOR ORDER TO SHOW CAUSE FILED BY SEC AGAINST WEYMAN SINYARD AND JARCO, INC. FOR FAILURE TO MAKE PAYMENT**

On December 7, the Commission filed a motion for an order to show cause why Weyman B. Sinyard (Sinyard), individually and as president of Jarco, Inc., should not be held in contempt of court for failing

to pay \$3,122,270.55 as required by an October 14, 1998 order entered by Judge John F. Grady of the United States District Court for the Northern District of Illinois. That order required Sinyard and Jarco, Inc., jointly and severally, to pay \$922,270.55 in disgorgement and prejudgment interest, assessed a civil penalty against Sinyard in the amount of \$200,000, and assessed a civil penalty against Jarco, Inc. in the amount of \$2,000,000, all as a result of their involvement in a scheme to defraud investors. The October 14, 1998 order was based upon the Amended Complaint filed in the underlying case which alleged that Sinyard and others fraudulently offered and sold to the public investments in the form of unregistered Jarco, Inc. promissory notes, raising over \$1 million from at least twenty-three investors residing in Illinois and Indiana. The Amended Complaint further alleged that Sinyard misrepresented and omitted to state material facts regarding, among other things, the risks, return and duration of the investment, the true nature of the investment and the use of investor funds. [SEC v. Weyman B. Sinyard, Thomas G. Poulakidas, Randy Depoister, Financial Resources Advisory, Inc. and Jarco, Inc., Civil Action No. 94C-5856 U.S.D.C., N.D. Illinois] (LR-16384)

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## INVESTMENT COMPANY ACT RELEASES

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### STI CLASSIC FUNDS AND SUNTRUST BANKS, INC.

An order has been issued on an application filed by STI Classic Funds (STI Funds) and SunTrust Banks, Inc. granting an exemption from Section 17(a) of the Investment Company Act. The order permits two series of STI Funds to acquire all of the assets, subject to certain liabilities, of two other series of STI Funds. Because of certain affiliations, applicants may not rely on Rule 17a-8 under the Act. (Rel. IC-24189 - December 9)

### PFL LIFE INSURANCE COMPANY, ET AL.

An order has been issued pursuant to Section 6(c) of the Investment Company Act granting exemptive relief from Sections 2(a)(32), 22(c) and 27(i)(2)(A) of the Act and Rule 22c-1 thereunder to PFL Life Insurance Company, PFL Endeavor VA Separate Account, PFL Endeavor Target Account, PFL Retirement Builder Variable Annuity Account, PFL Life Variable Annuity Account C, AUSA Life Insurance Company, AUSA Endeavor Variable Annuity Account, AUSA Endeavor Target Account, AFSG Securities Corporation, Western Reserve Life Assurance Co. of Ohio, WRL Series Annuity Account, Peoples Benefit Life Insurance Company, Peoples Benefit Life Insurance Company Separate Account V, Transamerica Occidental Life Insurance Company, Separate Account VA-2L, Transamerica Life Insurance Company of New York, Separate Account VA-2LNY, Separate Account VA-6NY, Transamerica Life Insurance and Annuity Company, Separate Account VA-6, and Separate Account VA-7 (Applicants) with respect to the support of variable annuity policies that are similar in all material respects to the

policies described in the application, issued both currently and in the future, to the extent necessary to permit the deduction of a charge on certain redemptions under the optional Family Income Protector Rider. The order also extends to any other separate accounts of the Applicant companies or their affiliated insurance companies (that are controlling, controlled by, or under common control) that support in the future variable annuity policies that are similar in all material respects to the policies described in the application, and to certain National Association of Securities Dealers, Inc. member broker-dealers which may, in the future, act as principal underwriter of such policies. (Rel. IC-24190 - December 9)

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## SECURITIES ACT REGISTRATIONS

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The following registration statements have been filed with the SEC under the Securities Act of 1933. The reported information appears as follows: 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: <publicinfo@sec>. In most cases, this information is also available on the Commission's website: <www.sec.gov>.

- S-B ISRAEL STATE OF, 800 SECOND AVENUE 17TH FLOOR, NEW YORK, NY 10017  
(212) 560-0600 - \$250,000,000 STRAIGHT BONDS. (FILE 333-11196 - NOV 24)  
(BR. 99)
- F-3 WARP 10 TECHNOLOGIES INC, 411 RICHMOND ST EAST, #200,  
TORONTO ONTARIO CANADA, A6 6 - 5,276,100 (\$7,076,499.83)  
FOREIGN COMMON STOCK. (FILE 333-11204 - DEC. 01) (BR. 3)
- S-1 CYPRESS COMMUNICATIONS INC, FIFTEEN PIEDMONT CENTER, SUITE 710, ATLANTA,  
GA 30305 (404) 869-2500 - \$150,000,000 COMMON STOCK. (FILE 333-92011 -  
DEC. 03) (BR. 37)
- S-4 E PIPHANY INC, 2300 GENG ROAD, SUITE 200, PALO ALTO, CA 94303  
(650) 496-2430 - \$5,704,000 COMMON STOCK. (FILE 333-92013 - DEC. 03)  
(BR. 8)
- S-8 LIGHTPATH TECHNOLOGIES INC, 6820 ACADEMY PKWY E N E, STE 103,  
ALBUQUERQUE, NM 87109 (505) 342-1100 - 225,000 (\$2,092,500) COMMON STOCK.  
(FILE 333-92017 - DEC. 03) (BR. 5)
- S-1 PLASTICS MFG CO, W188 N11707 MAPLE ROAD, GERMANTOWN, WI 53022  
(414) 255-5790 - \$7,951,360 COMMON STOCK. (FILE 333-92019 - DEC. 03)  
(BR. 6 - NEW ISSUE)
- S-8 PSINET INC, 510 HUNTMAR PARK DR, HERNDON, VA 20170 (703) 904-4100 -  
7,509,825 (\$385,575,000) COMMON STOCK. (FILE 333-92021 - DEC. 03) (BR. 3)

S-3 HOME PROPERTIES OF NEW YORK INC, 850 CLINTON SQ, ROCHESTER, NY 14604  
(716) 246-4105 - 5,832,174 (\$146,168,861) COMMON STOCK. (FILE 333-92023 -  
DEC. 03) (BR. 8)

S-8 LYCOS INC, 400 2 TOTTEN POND ROAD, WALTHAM, MA 02451 (781) 370-2700 -  
545,621 (\$240,074) COMMON STOCK. (FILE 333-92025 - DEC. 03) (BR. 3)

S-8 KENNEDY WILSON INC, 9601 WILSHIRE SUITE 220, STE 101, BEVERLY HILLS, CA  
90210 (310) 314-8400 - 1,025,000 (\$7,851,500) COMMON STOCK. (FILE  
333-92027 - DEC. 03) (BR. 8)

S-4 NEWMONT MINING CORP, ONE UNITED BANK CTR, 1700 LINCOLN ST, DENVER, CO  
80203 (303) 863-7414 - 50,000,000 (\$50,000,000) COMMON STOCK (FILE  
333-92029 - DEC. 03) (BR. 4)

S-8 ANESTA CORP /DE/, 4745 WILEY POST WAY, STE 650, SALT LAKE CITY, UT 84116  
(801) 595-1405 - 900,000 (\$12,318,750) COMMON STOCK. (FILE 333-92033 -  
DEC. 03) (BR. 1)

SB-2 UNITED VENTURES GROUP INC, 30 00 47THAVE 6TH FL, LONG ISLAND CITY, NY  
11101 (718) 361-0400 - 4,895,919 (\$3,059,949.37) COMMON STOCK. (FILE  
333-92037 - DEC. 03) (BR. 9)

S-8 QUINTEL COMMUNICATIONS INC, ONE BLUE HILL PLAZA, PO BOX 1665,  
PEARL RIVER, NY 10965 (914) 620-1212 - 1,600,000 (\$11,400,000)  
COMMON STOCK. (FILE 333-92039 - DEC. 03) (BR. 5)

S-8 WORLD WRESTLING FEDERATION ENTERTAINMENT INC, 1241 E MAIN ST, STAMFORD,  
CT 06902 (203) 352-8600 - 10,000,000 (\$208,801,044) COMMON STOCK. (FILE  
333-92041 - DEC. 03) (BR. 5)

S-8 PATAPSCO VALLEY BANCSHARES INC, 8593 BALTIMORE NATIONAL PIKE,  
ELLICOT CITY, MD 21043 (410) 465-0900 - 41,100 (\$1,191,900) COMMON STOCK.  
(FILE 333-92043 - DEC. 03) (BR. 7)

S-8 CAPITAL SENIOR LIVING CORP, 14160 DALLAS PKWY, STE 300, DALLAS, TX 75240  
(972) 770-5600 - 2,000,000 (\$17,676,656) COMMON STOCK. (FILE 333-92045 -  
DEC. 03) (BR. 8)

S-4 EDISON MISSION HOLDINGS CO, 18101 VON KARMAN AVENUE, SUITE 1700, IRVINE,  
CA 92612 (949) 752-5588 - 830,000,000 (\$830,000,000) STRAIGHT BONDS.  
(FILE 333-92047 - DEC. 03) (BR. 2 - NEW ISSUE)

S-8 XM SATELLITE RADIO HOLDINGS INC, 1250 23RD STREET NW, SUITE 57,  
WASHINGTON, DC 20037 (202) 969-7100 - 2,975,700 (\$79,153,620) COMMON STOCK.  
(FILE 333-92049 - DEC. 03) (BR. 7)

S-8 FRIEDE GOLDMAN HALTER INC, 13085 INDUSTRIAL SEAWAY ROAD, GULFPORT, MS  
39503 (228) 896-0029 - 1,182,412 (\$9,976,601.25) COMMON STOCK (FILE  
333-92051 - DEC. 03) (BR. 4)

S-8 MERIT MEDICAL SYSTEMS INC, 1600 WEST MERIT PARK WAY, SOUTH JORDAN, UT  
84095 (801) 253-1600 - 1,600,000 (\$10,746,185) COMMON STOCK. (FILE  
333-92053 - DEC. 03) (BR. 5)

S-3 LEUKOSITE INC, 215 FIRST ST, CAMBRIDGE, MA 02142 (617) 621-9350 -  
631,295 (\$23,730,379) COMMON STOCK. (FILE 333-92055 - DEC. 03) (BR. 1)

S-8 GLOBESPAN INC/DE, 100 SCHULZ DRIVE, RED BANK, NJ 07701 - 952,384  
(\$7,507,372) COMMON STOCK. (FILE 333-92057 - DEC. 03) (BR. 5)

S-1 BPI PACKAGING TECHNOLOGIES INC, 455 SOMERSET AVE, BLDG #3,  
NORTH DIGHTON, MA 02764 (508) 824-8636 - 15,000,000 (\$600,000)  
COMMON STOCK. (FILE 333-92059 - DEC. 03) (BR. 6)

S-8 COMMUNICATIONS SYSTEMS INC, 213 S MAIN ST, HECTOR, MN 55342  
(320) 848-6231 - 1,000,000 (\$12,000,000) COMMON STOCK. (FILE 333-92063 -  
DEC. 03) (BR. 7)

S-8 SKYLYNX COMMUNICATIONS INC, 600 SOUTH CHERRY STREET, SUITE 305, DENVER,  
CO 80246 (941) 366-4747 - 6,250,000 (\$19,726,562) COMMON STOCK. (FILE  
333-92065 - DEC. 03) (BR. 9)

S-4 ANKER COAL GROUP INC, 2708 CRANBERRY SQUARE, MORGANTOWN, WV 26508  
(304) 594-1616 - 113,556,000 (\$113,556,000) STRAIGHT BONDS. (FILE  
333-92067 - DEC. 03) (BR. 4)

S-3 AMERICAN INTERNATIONAL PETROLEUM CORP /NV/, 440 MADISON AVE STE 3203,  
NEW YORK, NY 10022 (212) 956-3333 - 10,584,933 (\$4,974,918 51)  
COMMON STOCK. (FILE 333-92071 - DEC. 03) (BR. 4)

S-3 STRUCTURAL DYNAMICS RESEARCH CORP /OH/, 2000 EASTMAN DR, MILFORD, OH  
45150 (513) 576-2400 - 466,654 (\$4,972,781 69) COMMON STOCK. (FILE  
333-92073 - DEC. 03) (BR. 3)

S-3 WINTRUST FINANCIAL CORP, 727 N BANK LANE, LAKE FOREST, IL 60045  
(847) 615-4096 - 352,942 (\$5,900,749 06) COMMON STOCK. (FILE 333-92075 -  
DEC. 03) (BR. 7)

S-8 LAZARE KAPLAN INTERNATIONAL INC, 529 FIFTH AVE, NEW YORK, NY 10017  
(212) 972-9700 - 200,000 (\$1,512,500) COMMON STOCK. (FILE 333-92077 -  
DEC. 03) (BR. 2)

S-8 TELESERVICES INTERNET GROUP INC, 100 SECOND AVENUE SOUTH, SUITE 1000,  
ST PETERSBURG, FL 33701 (727) 895-4410 - 35,000,000 (\$1,540,000)  
COMMON STOCK. (FILE 333-92079 - DEC. 03) (BR. 8)

S-8 NEW FRONTIER MEDIA INC /CO/, 5435 AIRPORT BLVD, SUITE 100, BOULDER, CO  
80301 (303) 444-0632 - 2,750,000 (\$10,280,000) COMMON STOCK. (FILE  
333-92081 - DEC. 03) (BR. 5)

S-8 TELEMATE NET SOFTWARE INC, 4250 PERIMETER PARK SOUTH SUITE 200, ATLANTA,  
GA 30341 (770) 936-3700 - 4,712,614 (\$25,091,001.90) COMMON STOCK. (FILE  
333-92083 - DEC. 03) (BR. 8)

S-3 BEA SYSTEMS INC, 2315 NORTH FIRST ST, SUITE 105, SAN JOSE, CA 95131  
(408) 743-4000 - 1,163,627 (\$98,471,934 88) COMMON STOCK. (FILE 333-92085  
- DEC. 03) (BR. 3)

SB-2 CNF TECHNOLOGIES INC, 7722 EAST GRAY RD, SCOTTSDALE, AZ 85260  
(480) 718-4065 - 1,756,624 (\$9,990,792) COMMON STOCK. (FILE 333-92087 -  
DEC. 03)

S-8 ALASKA COMMUNICATIONS SYSTEMS GROUP INC, 510 L STREET, SUITE 500,  
ANCHORAGE, AK 99501 (907) 297-3000 - \$19,095,739 COMMON STOCK (FILE  
333-92091 - DEC. 03) (BR. 7)

S-8 SCOTTISH POWER PLC, 1 ATLANTIC QUAY GLASGOW, SCOTLAND UNITED KINGDOM,  
G2 8SP, X0 - 35,717,000 (\$313,238,090) FOREIGN COMMON STOCK. (FILE  
333-92095 - DEC. 03) (BR. 2)

S-1 AVANEX CORP, 42501 ALBRAE AVE, FREMONT, CA 94538 - \$96,600,000  
COMMON STOCK. (FILE 333-92097 - DEC. 03)

SB-2 CYNET INC, 12777 JONES ROAD, # 400, HOUSTON, TX 77070 (281) 897-8317 -  
840,581 (\$1,151,596) COMMON STOCK (FILE 333-92099 - DEC. 03) (BR. 9)

S-8 HARTCOURT COMPANIES INC, 1196 EAST WILLOW STREET, LONG BEACH, CA 91730  
(562) 426-9796 - 260,000 (\$1,835,600) COMMON STOCK. (FILE 333-92101 -  
DEC. 03) (BR. 4)

S-8 STRUCTURAL DYNAMICS RESEARCH CORP /OH/, 2000 EASTMAN DR, MILFORD, OH  
45150 (513) 576-2400 - 205,000 (\$2,184,331 25) COMMON STOCK (FILE  
333-92103 - DEC. 03) (BR. 3)

S-3 ANACOMP INC, 12365 CROSTHWAITE CIRCLE, POWAY, CA 92064 (619) 679-9797 -  
169,010 (\$2,862,606.88) COMMON STOCK. (FILE 333-92105 - DEC. 03) (BR. 5)

S-8 MERISTAR HOTELS & RESORTS INC, 1010 WISCONSIN AVE NW, WASHINGTON, DC  
20007 (202) 965-4455 - 2,000,000 (\$6,500,000) COMMON STOCK (FILE  
333-92109 - DEC. 03) (BR. 8)

S-8 OSICOM TECHNOLOGIES INC, 2800 28TH ST STE 100, SANTA MONICA, CA 90405  
(310) 581-4030 - 2,385,555 (\$27,697,342) COMMON STOCK. (FILE 333-92111 -  
DEC. 03) (BR. 7)

S-8 AIRONET WIRELESS COMMUNICATIONS INC, 3875 EMBASSY PARKWAY, AKRON, OH  
44333 (330) 664-7900 - 1,644,834 (\$24,463,689) COMMON STOCK. (FILE  
333-92113 - DEC. 03) (BR. 3)

S-3 HOMESEEEKERS COM INC, 2241 PARK PLACE STE E, MINDEN, NV 89423  
(775) 782-2977 - 2,319,392 (\$27,397,818) COMMON STOCK (FILE 333-92119 -  
DEC 03) (BR 9)

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## RECENT 8K FILINGS

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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: <publicinfo@sec.gov>. In most cases, this information is also available on the Commission's website. <www.sec.gov>

NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
ACCEL8 TECHNOLOGY CORP	CO						X				11/22/99	AMEND
ACORN PRODUCTS INC	DE				X	X					12/08/99	
ACSYS INC	GA				X	X					12/08/99	
ADRENALIN INTERACTIVE INC	DE				X	X					12/06/99	
AFTERMARKET TECHNOLOGY CORP	DE				X	X					12/09/99	
AGILE SOFTWARE CORP	DE		X				X				11/23/99	
AK STEEL HOLDING CORP	DE				X	X					12/03/99	
AK STEEL HOLDING CORP	DE				X	X					12/06/99	
AK STEEL HOLDING CORP	DE				X	X					12/08/99	
AMAZON NATURAL TREASURES INC	NV		X								12/09/99	
AMAZON NATURAL TREASURES INC	NV		X								12/09/99	
AMERICA FIRST TAX EXEMPT INVESTORS LP	DE		X								11/22/99	
AMERICAN BANKNOTE CORP	DE						X				12/08/99	
AMERICAS POWER PARTNERS INC	CO		X								12/31/99	
AMERISERVE FOOD DISTRIBUTION INC /D E/	DE				X	X					12/09/99	
AMRE. O RESIDENTIAL SECURITIES CORP MORT LOAN TRUST 1999-1	DE		X				X				11/30/99	
AMSURG CORP	TN						X				09/24/99	AMEND
ANCHOR FINANCIAL CORP	SC				X	X					12/06/99	
ANCOR COMMUNICATIONS INC /MN/	MN				X	X					11/29/99	
ARIAD PHARMACEUTICALS INC	DE				X	X					12/02/99	
ASSET BACKED FUNDING CORP	DE				X	X					12/08/99	
AUSTIN FUNDING COM CORP	NV				X	X					12/09/99	
AUTOZONE INC	NV				X	X					12/06/99	
BANC ONE HELOC TRUST 1998-1	OH				X	X					11/30/99	



BANK OF AMERICA MORTGAGE SECURITIES INC	DE		X	X	05/25/99	
BAY VIEW SECURITIZATION CORP	DE			X	11/15/99	
BRISTOL RETAIL SOLUTIONS INC	DE	X			12/09/99	
BROOKDALE LIVING COMMUNITIES INC	DE		X	X	12/07/99	
BUFORD GROUP INC	TX		X	X	10/04/99	
CADE INDUSTRIES INC	WI	X			12/06/99	
CALIFORNIA CULINARY ACADEMY INC	CA		X	X	12/07/99	
CAPITAL PROPERTIES INC /RI/	RI		X	X	12/02/99	
CATERPILLAR FINANCIAL FUNDING CORP	NV	X			10/25/99	
CATERPILLAR FINANCIAL FUNDING CORP	NV	X			10/25/99	
CEC PROPERTIES INC	DE		X	X	11/30/99	
CELERITY SYSTEMS INC	DE		X	X	12/07/99	
CELLPOINT INC	NV		X	X	10/15/97	
CENCOR INC	DE		X	X	11/24/99	
CHAMPPS ENTERTAINMENT INC/ MA	DE		X		12/08/99	
CHASE COMMERCIAL MORTGAGE SECURITIES CORP	NY		X	X	11/18/99	
CHASE COMMERCIAL MORTGAGE SECURITIES CORP	NY		X	X	11/18/99	
CHASE FUNDING INC	NY		X	X	11/26/99	
CHASE MORTGAGE FINANCE CORP	DE	X		X	11/23/99	
CHASE MORTGAGE FINANCE CORP	DE		X	X	11/26/99	
CHESAPEAKE ENERGY CORP	OK		X	X	12/07/99	
COMMUNITY NATIONAL CORP /TN	TN		X	X	12/02/99	
CONSECO FINANCE SECURITIZATIONS CORP	DE		X	X	11/16/99	
CONTINENTAL INVESTMENT CORP /GA/	GA	X			12/09/99	
CONVERGENCE COMMUNICATIONS INC	NV		X	X	11/16/99	
COPPER MOUNTAIN NETWORKS INC	CA		X	X	11/10/99	
CORAM HEALTHCARE CORP	DE		X	X	11/23/99	
CORPAS INVESTMENTS INC		X		X	11/24/99	
COSTCO WHOLESALE CORP /NEW	CA			X	12/09/99	
COUNTRYWIDE HOME EQUITY LOAN TRUST 1999-A	CA		X	X	11/30/99	
COUNTRYWIDE HOME EQUITY LOAN TRUST 1999-C	CA		X	X	11/30/99	
CYPRESS SEMICONDUCTOR CORP /DE/	DE		X	X	01/03/99	
DATUM INC	DE		X	X	12/07/99	
DAUGHERTY RESOURCES INC			X	X	12/01/99	
DAYTON HUDSON RECEIVABLES CORP	MN		X		12/02/99	
DEFINITION LTD	NV	X			12/07/99	
DIALYSIS CORP OF AMERICA	FL		X		12/03/99	
DIGITAL ISLAND INC	CA		X	X	12/08/99	
DISCOVER CARD MASTER TRUST I	DE		X	X	12/09/99	
DOUBLECLICK INC	DE	X	X	X	11/23/99	
DQE INC	PA		X		12/03/99	
DUQUESNE LIGHT CO	PA		X		12/03/99	
DYNAMIC HEALTH PRODUCTS INC	FL	X		X	12/08/99	
EASTERN UTILITIES ASSOCIATES	MA	X			11/29/99	
ELCOM INTERNATIONAL INC	DE		X	X	10/19/99	AMEND
EMARKETPLACE INC	DE	X	X	X	11/23/99	
ENVIRO CLEAN OF AMERICA	NV				08/19/99	AMEND
ETOYS INC	DE		X	X	12/01/99	
EVANS SYSTEMS INC	TX		X		12/08/99	
EVENTURES GROUP INC	DE		X	X	09/22/99	AMEND
FINANCIAL ASSET SECURITIES CORP	DE		X	X	12/08/99	
FINANCIALWEB COM INC	NV		X		10/22/99	
FIRST ALLIANCE MORTGAGE CO /DE/	CA		X	X	12/08/99	
FIRST CONSULTING GROUP INC	DE		X	X	12/09/99	
FIRST NATIONAL ENTERTAINMENT CORP	CO		X		12/08/99	
FIRST REGIONAL BANCORP	CA		X	X	12/08/99	
FORD CREDIT AUTO LOAN MASTER TRUST	MI		X	X	11/30/99	

FORD CREDIT AUTO RECEIVABLES TWO L P	DE		X	X	11/30/99
FOX ENTERTAINMENT GROUP INC	DE		X		12/07/99
FUTURE TECHNOLOGIES INC			X		12/06/99
FUTURELINK CORP	DE	X		X	11/26/99
GARY PLAYER DIRECT INC	DE		X	X	09/30/99
GENZYME TRANSGENICS CORP	MA		X		11/22/99
GLEN BURNIE BANCORP	MD		X	X	11/30/99
GLOBAL CROSSING HOLDINGS LTD			X	X	10/29/99
GLOBAL CROSSING LTD			X	X	10/29/99
GOLD BANC CORP INC	KS		X	X	12/09/99 AMEND
GRACE DEVELOPMENT INC	CO	X X		X	09/28/99 AMEND
GREEN MOUNTAIN POWER CORP	VT	X			12/03/99
GREENPOINT CREDIT LLC	DE		X	X	11/30/99
GREENPOINT FINANCIAL CORP	DE		X	X	11/30/99
HARTCOURT COMPANIES INC	UT			X	12/06/99
HELLER FUNDING CORP	DE		X	X	11/26/99
HOMEBASE INC	DE		X	X	12/06/99
HORMEL FOODS CORP /DE/	DE		X		11/22/99
ICHOR CORP	DE		X		12/08/99 AMEND
ILLINOIS TOOL WORKS INC	DE	X		X	11/23/99
INFERENCE CORP /CA/	DE		X	X	12/10/99
INSPIRE INSURANCE SOLUTIONS INC	TX		X		12/09/99
INTERNATIONAL INTERNET INC	DE	X X	X		12/04/99
INTERNET SPORTS NETWORK INC	FL		X		11/25/99
INTERNET SPORTS NETWORK INC	FL		X		11/29/99
INTERWORLD CORP	DE		X		12/08/99
JANEX INTERNATIONAL INC	CO		X		12/09/99
JMB INCOME PROPERTIES LTD XI	IL			X	08/06/99 AMEND
KASPER A S L LTD	DE	X		X	11/24/99
KEYSTONE FINANCIAL INC	PA		X		12/08/99
KULICKE & SOFFA INDUSTRIES INC	PA		X	X	12/09/99
LEHMAN ABS CORP	DE		X	X	11/30/99
LETS TALK CELLULAR & WIRELESS INC	FL		X	X	12/06/99
LOGANSPOUT FINANCIAL CORP	IN		X	X	12/07/99
MARRIOTT RESIDENCE INN LIMITED PART NERSHIP	DE	X			12/08/99
MBNA CORP	MD		X		12/09/99
MEDICAL MANAGER CORP/NEW/	DE		X		12/07/99
MELLON BANK PREMIUM FINANCE LOAN MA STER TRUST	NY		X	X	12/09/99 AMEND
MELLON BANK PREMIUM FINANCE LOAN MA STER TRUST	NY		X	X	12/09/99 AMEND
MELLON BANK PREMIUM FINANCE LOAN MA STER TRUST	NY		X	X	12/09/99 AMEND
MELLON BANK PREMIUM FINANCE LOAN MA STER TRUST	NY		X	X	12/09/99 AMEND
MELLON BANK PREMIUM FINANCE LOAN MA STER TRUST	NY		X	X	12/09/99 AMEND
MELLON BANK PREMIUM FINANCE LOAN MA STER TRUST	NY		X	X	12/09/99 AMEND
MELLON BANK PREMIUM FINANCE LOAN MA STER TRUST	NY		X	X	12/09/99 AMEND
MELLON BANK PREMIUM FINANCE LOAN MA STER TRUST	NY		X	X	12/09/99 AMEND
MELLON BANK PREMIUM FINANCE LOAN MA STER TRUST	NY		X	X	12/09/99 AMEND
MELLON BANK PREMIUM FINANCE LOAN MA STER TRUST	NY		X	X	12/09/99 AMEND
MELLON BANK PREMIUM FINANCE LOAN MA STER TRUST	NY		X	X	12/09/99 AMEND
MELLON BANK PREMIUM FINANCE LOAN MA STER TRUST	NY		X	X	12/09/99 AMEND
MELLON BANK PREMIUM FINANCE LOAN MA STER TRUST	NY		X	X	12/09/99 AMEND
MELLON BANK PREMIUM FINANCE LOAN MA STER TRUST	NY		X	X	12/09/99 AMEND
MELLON BANK PREMIUM FINANCE LOAN MA STER TRUST	NY		X	X	12/09/99 AMEND

MELLON BANK PREMIUM FINANCE LOAN MA STER TRUST	NY		X	X	12/09/99	AMEND
MELLON RESIDENTIAL FUNDING COR MOR PAS THR CER SER 1999-TBC1	DE		X	X	11/26/99	
MKR HOLDINGS	UT		X	X	11/30/99	
MORTGAGE PASS THROUGH CERT SER 1999 -27	DE		X	X	11/23/99	
MORTGAGE PASS THROUGH CERT SERIES 1 999-26	DE		X	X	11/23/99	
NATIONSLINK FUNDING CORP COMM MORT PASS THR CERT SER 1999-2	DE		X	X	12/08/99	
NCS HEALTHCARE INC	DE		X	X	12/06/99	
NEBCO EVANS HOLDING CO	DE		X	X	12/09/99	
NEENAH FOUNDRY CO	WI		X		12/09/99	
NETLOJIX COMMUNICATIONS INC	DE	X	X	X	11/30/99	
NETMED INC	OH		X	X	12/03/99	
NETWORK INVESTOR COMMUNICATIONS INC		X			12/08/99	
NEW BRUNSWICK SCIENTIFIC CO INC	NJ	X		X	11/23/99	
NORTHWEST TELEPRODUCTIONS INC	MN	X		X	11/24/99	
NTL TRIANGLE LLC	DE	X	X	X	11/12/99	
OGE ENERGY CORP	OK		X	X	12/08/99	
OKLAHOMA GAS & ELECTRIC CO	OK		X	X	12/08/99	
ONEIDA LTD	NY		X	X	10/27/99	
OXIGENE INC	DE		X	X	12/01/99	
PACER TECHNOLOGY	CA	X			12/02/99	
PANDA PROJECT INC	FL	X		X	12/09/99	AMEND
PEACHES ENTERTAINMENT CORP	FL		X		10/02/99	
PEEKSKILL FINANCIAL CORP	DE		X	X	11/24/99	
PENTASTAR COMMUNICATIONS INC	DE		X	X	12/09/99	
PETROLEUM HELICOPTERS INC	DE	X			11/23/99	AMEND
PFIZER INC	DE		X		12/08/99	
PHILIP SERVICES CORP			X		12/01/99	
PHOTOGEN TECHNOLOGIES INC	NV		X	X	12/09/99	
PNC MORTGAGE SEC CORP MORT PASS THR CERT SER 1997-8	DE		X	X	12/01/99	
PNC MORTGAGE SEC CORP MORT PASS THR CERT SER 1998-1	DE		X	X	12/01/99	
PNC MORTGAGE SECURITIES CORP MORT P ASS THR CERT SER 1999-11	DE		X	X	10/28/99	
PRECISION CASTPARTS CORP	OR	X		X	11/24/99	
PREMARK INTERNATIONAL INC	DE	X			11/23/99	
PROVIDENT AMERICAN CORP	PA	X		X	11/30/99	
PROVIDENT AMERICAN CORP	PA		X	X	12/06/99	
PRUDENTIAL BACHE EQUITEC REAL ESTAT E PARTNERSHIP	CA		X	X	12/08/99	
PRUDENTIAL SECURITIES SECURED FINAN CING CORP	DE	X	X	X	11/24/99	
PUBLIC SERVICE CO OF NEW MEXICO	NM		X		12/08/99	
RED ROOF INNS INC	DE	X		X	12/09/99	
RESIDENTIAL ACCREDIT LOANS INC	DE			X	12/08/99	
RESIDENTIAL ASSET FUNDING CORP	NC	X	X	X	11/30/99	
RESIDENTIAL FUNDING MORTGAGE SECURI TIES I INC	DE			X	12/07/99	
RMI NET INC			X	X	11/24/99	
SAFETY KLEEN CORP/	DE		X		08/27/99	AMEND
SALOMON BROS MORT SEC VII INC MORT PASS-THR CERT SER 1999-NC	DE		X	X	11/30/99	
SALOMON BROS MORT SEC VII INC MORT PS THR CERT SER 1999-NC4	DE		X	X	11/30/99	
SALOMON BROTH MO SE VII INC FL RT M OR PA TH CER SER 1999 NC2	DE		X	X	11/30/99	
SALOMON BROTHERS MOR SEC VII INC MO R PA THR CER SER 1999 NC1	DE		X	X	11/30/99	
SALTON INC	DE		X	X	12/09/99	

SAN FABIAN RESOURCES INC	NY	X		X	10/04/99		
SAXON ASSET SECURITIES CO	VA		X	X	11/30/99		
SAXON ASSET SECURITIES TR 1999 2 MO	VA		X	X	11/26/99		
RT LN AS BK CER SE 1999 2							
SAXON ASSET SECURITIES TR 1999-1 MO	VA		X	X	11/26/99		
R LN AS BKD CER SE 1999-1							
SAXON ASSET SECURITIES TR 1999-1 MO	VA		X	X	11/26/99		
R LN AS BKD CER SE 1999-1							
SAXON ASSET SECURITIES TR 1999-1 MO	VA		X	X	11/26/99		
R LN AS BKD CER SE 1999-1							
SAXON ASSET SECURITIES TR 1999-3 MT	VA		X	X	11/26/99		
LN AST BK CER SER 1999-3							
SBA COMMUNICATIONS CORP	FL			X	X	11/01/99	
SBI COMMUNICATIONS INC	DE	X				12/09/99	
SCIENTIFIC INDUSTRIES INC	DE	X				12/03/99	
SECURITY CAPITAL GROUP INC/	MD		X			12/01/99	
SECURITY NATIONAL FINANCIAL CORP	UT	X				12/08/99	
SETO HOLDINGS INC	NV	X		X		11/19/99	
SHAMPAN LAMPORT HOLDINGS LTD	WA			X		12/09/99	
SHANEY INC	DE	X	X	X		12/08/99 AMEND	
SIPEX CORP	MA		X		X	11/23/99	
SMART CHOICE AUTOMOTIVE GROUP INC	FL	X	X	X	X	X	12/01/99
SOLECTRON CORP	DE		X				11/30/99
SOUTHERN SECURITY LIFE INSURANCE CO	FL	X					12/08/99
SPARTECH CORP	DE			X	X		12/03/99
STATE STREET CORP	MA		X				12/08/99
STEWART & STEVENSON SERVICES INC	TX			X	X		12/08/99
STORAGE USA INC	TN			X	X		12/09/99 AMEND
SYRATECH CORP	DE		X				11/22/99
TELESCIENCES INC /DE/	DE	X			X		12/07/99
TF FINANCIAL CORP	DE			X	X		12/08/99
TIME FINANCIAL SERVICES INC	TX			X			11/30/99
TJX COMPANIES INC /DE/	DE			X	X		12/09/99
TTR INC	DE			X			12/08/99 AMEND
TULTEX CORP	VA		X		X		12/03/99
TULTEX CORP	VA		X		X		12/03/99 AMEND
TYCO INTERNATIONAL LTD /BER/				X	X		12/09/99
U S DIGITAL COMMUNICATIONS INC	NV			X			12/07/99
U S TECHNOLOGIES INC	DE			X	X		11/30/99
U S WIRELESS DATA INC	CO			X			12/06/99
UNICO INC /NM/	NM	X			X		06/30/98 AMEND
UNICO INC /NM/	NM	X			X		10/27/98 AMEND
UNICO INC /NM/	NM			X			11/05/98 AMEND
UNITED NATURAL FOODS INC	DE			X	X		12/06/99
UNITED SHIPPING & TECHNOLOGY INC	UT				X		09/24/99 AMEND
URBAN OUTFITTERS INC	PA		X		X		12/02/99
URT INDUSTRIES INC	FL			X			10/02/99
US WATS INC	NY			X			11/24/99
USINTERNETWORKING INC	DE			X			11/30/99
VIATEL INC	DE				X		12/09/99
VIDAMED INC	DE			X			12/01/99
VIRAGEN INC	DE			X	X		11/24/99
WALT ISLEY CO,	DE			X	X		12/03/99
WALTER INDUSTRIES INC /NEW/	DE			X	X		12/07/99
WEBSTER FINANCIAL CORP	DE	X			X		12/01/99
WESTERFED FINANCIAL CORP	DE			X	X		12/04/99
WHX CORP	DE			X			12/07/99
WINDSWEPT ENVIRONMENTAL GROUP INC	DE				X		12/01/99
WMC SECURED ASSETS CORP	DE			X	X		11/30/99
WMC SECURED ASSETS CORP	DE			X	X		11/30/99
WYMAN GORDON CO	MA	X			X		11/24/99
ZIFF DAVIS INC	DE			X			12/06/99
1 800 FLOWERS COM INC				X	X		11/24/99