

SEC NEWS DIGEST

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COMMISSION ANNOUNCEMENTS

WAYNE CARLIN NAMED DIRECTOR OF THE NORTHEAST REGIONAL OFFICE

Chairman Arthur Levitt today named Wayne M. Carlin Regional Director of the Commission's Northeast Region. As Regional Director, Mr. Carlin will oversee enforcement and regulatory activities throughout 13 states and the District of Columbia. Mr. Carlin, currently Senior Associate Regional Director in the SEC's Northeast Region, succeeds Carmen Lawrence, who recently left the Commission to enter private practice. He will begin his new duties immediately.

SEC Chairman Arthur Levitt said, "The directorship of the Northeast Regional Office is a critical position. Wayne's superb legal skills, proven management abilities, and even-handed temperament make him well-suited for this challenge. I look forward to working with him and believe he will be a great success. I also thank Ed Nordlinger for his service as Acting Regional Director."

SEC Enforcement Director Richard H. Walker stated, "Wayne brings to this job a long record of accomplishment – both at the Commission and in the private sector. Since his first days at the Commission, his outstanding judgment, keen intellect, and passion for the job have impressed and inspired everyone with whom he's worked. His knowledge of the securities markets and federal securities laws is exceptional. I am certain that the Northeast Regional Office will continue to flourish with Wayne at the helm."

Mr. Carlin first joined the Commission's staff in 1993 as a staff attorney in the Northeast Regional Office. He left the Commission in 1997 as an Assistant Regional Director and joined Lazard Freres & Co. as Vice President and Head of Regulatory Affairs. Mr. Carlin rejoined the Commission in September 1999 as an Associate Regional Director. In this capacity, Mr. Carlin oversaw the Commission's microcap fraud investigation that led to five enforcement actions against 63 defendants and respondents announced in June 2000 in coordination with criminal charges against 120 defendants. He also supervised *SEC v. Frankel*, *SEC v. Steve Madden* and numerous other cases in areas such as unregistered offering frauds, internet-related frauds, insider trading, and investment adviser fraud.

In his earlier Commission career, Wayne had principal responsibility for: cases arising from an FBI undercover operation that ensnared stock promoters who paid kickbacks to brokers to induce them to sell the stock to their customers; an egregious soft dollar case against *Tandem Asset Management* and several of its principals, which culminated in the first criminal prosecution of soft dollar abuses; and the Commission's action against *Askin Capital Management*, in which the Commission charged an investment adviser with defrauding its clients by disseminating false and misleading performance information related to investments in mortgage derivative securities. Prior to joining the Commission, Mr. Carlin was first an associate with the law firm of Wachtell, Lipton, Rosen & Katz and then was a partner in the litigation group at Testa, Hurwitz & Thibault.

Mr. Carlin, 41, earned his A.B. *magna cum laude* from Harvard College in 1981 and his J.D. from Harvard Law School in 1984 where he was an editor of the Harvard Law Review. (Press Rel. 2000-147)

ONE-DAY SHUTDOWN OF THE EDGAR FILING SYSTEM

In order to remind the public of the one-day shutdown of EDGAR operations on November 24, 2000, the day following the Thanksgiving Day holiday, the Commission is republishing the following information.

WHAT AND WHEN?

We will shut down our EDGAR system for one day on Friday, November 24, 2000. We will not receive or disseminate electronic filings that day. We will reopen the EDGAR system for business as usual at 8:00 am on Monday, November 27, 2000.

WHY?

We are shutting EDGAR down for one day to allow us sufficient time to make a major upgrade to the internal portion of the EDGAR system, completing EDGAR's transition to the Internet.

HOW WILL THIS AFFECT US?

Since the day after Thanksgiving historically has had the fewest filings of any day in the year, we anticipate that this one-day shutdown will have a minimum impact on the filing community and disseminators. Other than the temporary shutdown, the internal upgrade will not affect filers and disseminators.

WHAT IF MY EDGAR FILING IS DUE ON NOVEMBER 24, 2000?

- The EDGAR system will neither accept nor disseminate filings on November 24, 2000.

- Filings submitted and accepted after 5:30 p.m. on Wednesday, November 22, 2000, will receive a filing date of Friday, November 24, 2000 (unless they are one of the special submission types that receive the same day's filing date).
- We encourage filers with filings that would be due on Friday, November 24, 2000, to submit these filings on Wednesday, November 22, 2000.
- We will deem filings with due dates of November 24, 2000, to be timely filed if filers submit them and EDGAR accepts them on or before 5:30 p.m. EST on Monday, November 27, 2000.
- We also encourage filers who might otherwise make time-sensitive filings on Friday, November 24, 2000, to submit those filings on Wednesday, November 22, 2000, if possible. The staff, however, in appropriate circumstances and upon written request, will change filing dates to November 24, 2000 for filings made on or before 5:30 p.m. EST on Monday, November 27, 2000.

WHAT IF I HAVE A PAPER FILING DUE NOVEMBER 24, 2000?

- The filing desk will remain open on Friday, November 24, 2000, to accept filings that are permitted to be made in paper. This includes filings made under EDGAR hardship exemptions.
- Our filing desk will NOT accept filings in paper that we require filers to submit electronically.

CAN I USE THE EDGAR FILING WEBSITE?

We will keep our EDGAR filing website (<https://www.edgarfiling.sec.gov>) open on Friday, November 24, 2000, for limited use. You will not be able to use the site to make filings or to change your company information that day, but you may use it for other purposes, such as to construct filings and to check the status of previously submitted filings.

WHAT ABOUT THE PUBLIC REFERENCE ROOM AND EDGAR DATABASE ON THE SEC'S WEBSITE?

- We will keep our Public Reference Room OPEN during normal business hours on Friday, November 24, 2000.
- You will be able to use the database of EDGAR filings on our website at <http://www.sec.gov> on November 24, 2000. But we will NOT update our database that day. On Monday, November 27, 2000, we will update our website database to post EDGAR filings made on Wednesday, November 22, 2000.

WHAT IF I HAVE QUESTIONS?

If you have any questions about this one-day EDGAR shutdown, please contact Filer Support at 202-942-8900.

If you need to make a time-sensitive filing on Friday, November 24, 2000, please call the appropriate number listed below:

For filings reviewed by the Division of Corporation Finance: 202-942-2940

For investment company filings: 202-942-0978

For public utility company filings: 202-942-0558
(Press Rel. 2000-148)

ENFORCEMENT PROCEEDINGS

TODD HANSEN BARRED FROM ASSOCIATION WITH ANY BROKER, DEALER OR INVESTMENT ADVISER

On September 29, 2000, an Order Instituting Proceedings, Making Findings and Imposing Remedial Sanctions (Order) was entered, by consent, against Todd Hansen (Hansen) barring him from association with any broker, dealer or investment adviser. Hansen neither admitted nor denied the findings of this Order, except as to: (1) his prior felony criminal convictions for theft and state securities laws violations; (2) his entry of a guilty plea to a count of felony mail fraud; and (3) the entry of an Order of Permanent Injunction against him on September 22, 2000 in SEC v. Todd Hansen, Civil Action File No. 99 C 6386 (N.D. Ill.) Hansen consented to the entry of the permanent injunction, without admitting or denying the allegations of the complaint. The bar order against Hansen is based on the injunction against him.

The complaint alleged that between December 1996 and May 1997: (1) Hansen and another Pavilion Securities Corporation (Pavilion Securities) employee raised more than \$660,000 through the sale of limited partnership interests in Pavilion LP, a partnership they created, to eight investors; (2) Hansen told the investors that their funds would be used to trade stocks, options and futures on various exchanges; (3) Pavilion Securities was the general partner of Pavilion LP and was responsible for determining how the investors' money was utilized; (4) in connection with the offer, purchase and sale of the limited partnership interests, Hansen made material misrepresentations and omitted to state material facts to investors regarding his criminal background, his employment status with Pavilion Securities, the use of investor funds and the performance of the investments; (5) Hansen effected transactions in and induced the purchase and sale of securities while not registered with the Commission nor approved in accordance with the training, experience, competence and other qualification standards of the Commission or

of a national securities exchange or association; and (6) Hansen aided and abetted Pavilion Securities' utilization of an unregistered person to effect transactions in and induce the purchase and sale of securities. All further inquiries should be directed to Scott Tandy of the Midwest Regional Office at (312) 353-7390. (Rel. 34-43385; IA 1900; File No. 3-10327)

SEC BARS PRINCIPAL OF INVESTMENT ADVISER AND PORTFOLIO MANAGER INVOLVED IN SOFT DOLLAR SCHEME

On September 29, 2000, the Commission instituted, and simultaneously settled, administrative proceedings against Timothy Charles Sweeney and Susan M. Gorski, respectively the principal and a portfolio manager of Sweeney Capital Management (SCM), formerly a San Francisco investment adviser. Sweeney and Gorski consented, without admitting or denying the Commission's findings, to a Commission order barring them from association with any investment adviser.

The two administrative proceedings were based on injunctions entered against Sweeney and Gorski in a prior Commission action in April 1999. The Commission's complaint in the injunctive action alleged that from April 1994 through May 1995 Sweeney and Gorski defrauded SCM's advisory clients out of more than \$109,000 by purchasing and selling securities for the clients without disclosing that SCM was using soft dollar credits for its own benefit. Soft dollar credits, also referred to as soft dollars, are rebates from a brokerage firm generated when an investment adviser places securities trades for its clients through the brokerage firm. Here, for example, the complaint alleged that SCM received a \$1.00 soft dollar credit for every \$1.75 of brokerage commissions generated by SCM's trades for its clients. Soft dollars are assets of the adviser's clients. The complaint further alleged that, without informing their clients, Sweeney and Gorski arranged to have the brokerage firms use the soft dollar credits to pay for a variety of their business and personal expenses, including client gifts, telephone bills, marketing expenses, accounting and legal bills, postage and shipping, furniture, art work, business licenses, rent, parking, office supplies, and taxes. Without these soft dollar payments, according to the complaint, SCM would have been insolvent during this period.

The Commission further alleged in its complaint that SCM and Sweeney filed false forms with the Commission, distributed misleading marketing materials, made false claims to investors about the competitiveness of SCM's advisory fees, misused client assets in SCM's custody, and misappropriated an elderly client's funds. Finally, the Commission alleged that SCM through Sweeney, failed to disclose to SCM's clients that SCM relied on soft dollar credits to remain solvent.

In the injunctive action, Sweeney and Gorski consented, without admitting or denying the Commission's allegations, to a court order permanently enjoining them from future violations of the securities laws, including Section 17(a) of the Securities Act of 1933, Section 10(b) of the Securities Exchange Act of 1934, Rule 10b-5 thereunder, and Sections 206(1) and 206(2) of the Investment Advisers Act of 1940. Sweeney was further enjoined from violating Sections 204, 206(4) and 207 of the Investment Advisers

Act and Rules 204-1, 204-3, 206(4)-1, 206(4)-2 and 206(4)-4 thereunder. (Rel. IA-1901; File No. 3-10329)

THEODORE HUNTER BARRED FROM ASSOCIATION WITH ANY BROKER, DEALER OR INVESTMENT ADVISER

On September 29, 2000, the Commission instituted administrative proceedings against Theodore R. Hunter, of Kula, Hawaii, and simultaneously accepted Hunter's Offer of Settlement in which, without admitting or denying the Commission's findings, he agreed to be barred from association with any broker, dealer or investment adviser. On September 26, 2000, a Final Judgment and Order was entered against Hunter by the United States District Court for the Eastern District of New York, in Securities and Exchange Commission v. Clifford E. Hotte, et al., Civil Action No. CV00-5704, pursuant to his consent. The Final Judgment and Order permanently enjoined Hunter from future violations of Section 17(a) of the Securities Act of 1933, Section 10(b) of the Securities Exchange Act of 1934 and Rule 10b-5 thereunder; ordered him to disgorge \$84,918, plus prejudgment interest; and ordered Hunter to pay a civil penalty in the amount of \$84,918.

From December 1990 to the present, Hunter has been associated with a broker-dealer registered with the Commission. From September 1994 to July 1997, Hunter was registered with the Commission as an investment adviser. The complaint in the civil action alleged that, on June 13, 1995, Hunter received material, nonpublic information in a telephone call from one of his clients, who was then Chief Financial Officer of Health Management, Inc., a company which provided outpatient drug therapies and management services to individuals and the health care industry. The Chief Financial Officer told Hunter that Health Management would the following day announce lower than expected earnings for the fourth quarter ended April 30, 1995. Hunter immediately sold Health Management common stock in his own and 27 of his client accounts. Following the announcement, the price of Health Management common stock dropped by 28 percent. As a result of his sales, Hunter personally avoided losses of \$16,037 and Hunter's clients avoided losses of \$68,881. (Rels. 34-43390; IA-1903; File No. 3-10334)

ORDER INSTITUTING PUBLIC PROCEEDINGS, MAKING FINDINGS, AND IMPOSING REMEDIAL SANCTION ENTERED AGAINST DAVID BARROSO, JR.

The Commission announced that on September 29, 2000, it instituted and settled administrative proceedings against David Barroso, Jr., of Forest Hills, New York. Barroso consented, without admitting or denying the Commission's findings, to an order barring him from association with any broker or dealer. The action was based on an injunction entered against Barroso in SEC v. Marlon D. Tropeano, et al., 99 Civ. 10260 (JSR) (SEC v. Tropeano).

The Commission filed a complaint in SEC v. Tropeano on October 5, 1999, alleging that from October 1997 through April 1998, while associated with registered broker-dealer Briarwood Investment Counsel, Inc. (Briarwood), Marlon D. Tropeano, individually and

on one occasion with the assistance of Barroso, defrauded various Briarwood customers by, among other things, selling securities in their accounts without authorization and misappropriating over \$150,000 of the proceeds of those sales. The complaint charged defendants Barroso and Tropeano with violations of Section 10(b) of the Securities Exchange Act of 1934 (Exchange Act) and Rule 10b-5 thereunder. In addition to permanent injunctions against Barroso and Tropeano, the complaint sought disgorgement plus prejudgment interest from Tropeano and relief defendants Isabel Munoz, V.M.C. Holdings Inc. (VMC), and Golf Emporium Corporation (Golf).

On September 15, 2000, the United States District Court for the Southern District of New York entered a Final Consent Judgment of Permanent Injunction and Other Relief that, among other things, (i) permanently enjoins Barroso from violating Section 10(b) of the Exchange Act and Rule 10b-5 thereunder, and (ii) does not impose a civil penalty based on Barroso's demonstrated inability to pay. Barroso consented to the entry of that Final Consent Judgment without admitting or denying the allegations in the Commission's Complaint.

The Court had earlier entered final judgments by default against Tropeano and Munoz on August 7, 2000 and against Golf and VMC on March 30 and 31, 2000, respectively. The final judgments against Tropeano and Munoz permanently enjoin Tropeano from future violations of Section 10(b) of the Exchange Act and Rule 10b-5 thereunder, and require Tropeano and Munoz to disgorge \$91,497 and \$42,892, respectively. The final judgments against Golf and VMC require each to disgorge \$27,856 and \$19,349, respectively. The amounts ordered disgorged by the Court represent the funds and benefits that Tropeano, Munoz, Golf, and VMC obtained as a result of Tropeano's fraudulent conduct. (Rel. 34-43386; File No. 3-10328)

CEASE AND DESIST ORDER ENTERED AGAINST CGI CAPITAL, INC.

On September 29, 2000, the Commission issued a settled order pursuant to Section 8A of the Securities Act of 1933 and Section 15(b)(4) of the Securities Exchange Act of 1934 against CGI Capital, Inc., a registered broker-dealer, ordering CGI Capital to cease and desist from committing or causing any violations or future violations of Section 5 of the Securities Act. CGI Capital neither admitted nor denied the allegations that it violated the securities registration provision by disseminating certain preliminary information about two unregistered securities offerings to prospective investors through widespread e-mail messages, and by providing access to detailed information by giving investors a password to its website. Some of the individuals contacted by CGI Capital did not have any pre-existing relationship with CGI Capital, and CGI Capital failed to determine adequately whether they were either sophisticated or accredited investors. In addition, CGI Capital failed to take adequate steps to restrict access to its website. CGI Capital also consented to a censure, and agreed to pay a \$25,000 civil penalty. (Rels. 33-7904; 34-43387; File No. 3-10331)

DREW BERGMAN DENIED PRIVILEGE OF APPEARING OR PRACTICING BEFORE THE COMMISSION AS AN ACCOUNTANT

On September 29, 2000, the Commission instituted administrative proceedings against Drew Bergman, of Merrick, New York, pursuant to Rule 102(e) of the Commission's Rules of Practice, and simultaneously accepted Bergman's Offer of Settlement in which, without admitting or denying the Commission's findings, he agreed to an order denying him the privilege of appearing or practicing before the Commission as an accountant. On September 26, 2000, a Final Judgment and Order was entered against Bergman by the United States District Court for the Eastern District of New York, in Securities and Exchange Commission v. Clifford E. Hotte, et al., Civil Action No. CV00-5704, pursuant to his consent. The Final Judgment and Order permanently enjoined Bergman from future violations of Sections 17(a) of the Securities Act of 1933; Sections 10(b), 13(a), 13(b)(2)(A) and 13(b)(5) of the Securities Exchange Act of 1934; and Rules 10b-5, 12b-20, 13a-1, 13a-13, 13b2-1 and 13b2-2 thereunder; ordered him to disgorge \$23,775, together with prejudgment interest; ordered him to pay a civil penalty in the amount of \$53,775; and barred Bergman from serving as an officer or director of any reporting company.

Bergman has been licensed by the state of New York as a certified public accountant since 1982. The complaint in the civil action alleged that, throughout fiscal 1995, beginning May 1, 1994, and continuing through the first two quarters of fiscal 1996, while he was Chief Financial Officer of Health Management, Inc., the company issued false and misleading quarterly and annual financial statements and press releases in which it materially overstated its revenues, earnings and financial condition. The complaint further alleged that Bergman conceived and executed the fraudulent accounting scheme at the company and directed others in carrying out the scheme. Bergman prepared and signed Health Management's false financial statements and participated in the preparation of false press releases. In order to conceal the scheme, Bergman also actively misled Health Management's independent auditors and the independent counsel appointed by a Special Committee of the board of Health Management to investigate accounting irregularities. (Rel. 34-43388; AAE Rel. 1321; File No. 3-10332)

LUIS GOMEZ DENIED PRIVILEGE OF APPEARING OR PRACTICING BEFORE THE COMMISSION AS AN ACCOUNTANT FOR FIVE YEARS

On September 29, 2000, the Commission instituted administrative proceedings against Luis E. Gomez, of Jericho, New York, pursuant to Rule 102(e) of the Commission's Rules of Practice, and simultaneously accepted Gomez's Offer of Settlement in which, without admitting or denying the Commission's findings, he agreed to an order denying him the privilege of appearing or practicing before the Commission as an accountant, with the right to apply for reinstatement after five years. On September 26, 2000, a Final Judgment and Order was entered against Gomez by the United States District Court for the Eastern District of New York, in Securities and Exchange Commission v. Clifford E. Hotte, et al., Civil Action No. CV00-5704, pursuant to his consent. The Final Judgment and Order permanently enjoined Gomez from future violations of Sections 10(b) and

13(b)(5) of the Securities Exchange Act of 1934 and Rules 10b-5, 13b2-1 and 13b2-2 thereunder; and ordered him to pay a civil penalty in the amount of \$10,000.

Gomez has been licensed in the state of New York as a certified public accountant since October 1995. The Complaint in the civil action alleged that, throughout fiscal 1995, beginning May 1, 1994, and continuing through the first two quarters of fiscal 1996, while he was Controller of Health Management, Inc., the company issued false and misleading quarterly and annual financial statements and press releases in which it materially overstated its revenues, earnings and financial condition. The complaint further alleged that Gomez knowingly participated in the fraudulent accounting scheme at Health Management and assisted the company's Chief Executive Officer and Chief Financial Officer in the preparation of false financial statements filed with the Commission. Finally, Gomez misled Health Management's independent auditors in order to conceal the scheme, as well as independent counsel appointed by a Special Committee of the board of Health Management to investigate accounting irregularities. (Rel. 34-43389; AAE Rel. 1322; File No. 3-10333)

SEC INSTITUTES PROCEEDINGS AGAINST TWO FOLLOWING HEDGE FUND COLLAPSE

On September 29, 2000, the Commission instituted administrative proceedings against two Bay Area men following the collapse of a \$1 million hedge fund. In an administrative order (Order) filed today, the staff of the Division of Enforcement alleges that a former principal of San Francisco investment advisory firm Morgan Fuller Capital Management (Morgan Fuller) caused the hedge fund's collapse through a scam stock sale, and alleges that a former Morgan Fuller employee issued newsletters that falsely concealed the fund's collapse from investors.

Named in the Order are former Morgan Fuller co-owner Alexander Lushtak, 35, of San Francisco and former Morgan Fuller fund manager Charles Seavey, 34, of Oakland. According to the staff's allegations, beginning in early 1997, Morgan Fuller acted as investment adviser to Paradigm Capital Fund (Paradigm or the Fund), a hedge fund with initial investments of just under one million dollars. Seavey was the Morgan Fuller employee responsible for managing Paradigm's investments. However, the staff alleges, Seavey's trading strategy proved disastrous: in one week in February 1997 alone, Paradigm lost over half its value.

Shortly thereafter, the staff alleges, Lushtak offered to help Paradigm recoup its losses by arranging for an acquaintance to sell stock in a foreign bank to Paradigm at a substantial discount to market value. In fact, the staff alleges, after personally pocketing \$240,000 Paradigm paid for the stock – nearly all of Paradigm's remaining assets – Lushtak instead sold the stock to a third party. Paradigm never received the stock and the Fund collapsed a few months later.

The staff further alleges that Seavey sent quarterly reports to Paradigm's investors in April and July 1997 that falsely concealed the Fund's precarious financial condition. In the reports, Seavey represented that Paradigm had realized a positive return of 6% in the

first quarter and a loss of 4% in the second quarter of 1997. However, these calculations included the market value of the stock that Lushtak never delivered to Paradigm. In fact, the Fund had suffered substantial trading losses and lost nearly its entire value.

According to the staff's allegations, Lushtak and Seavey willfully aided and abetted and caused Morgan Fuller's violations of Sections 206(1) and 206(2) of the Investment Advisers Act of 1940. The staff further alleges that Lushtak violated Section 17(a) of the Securities Act of 1933, Section 10(b) of the Securities Exchange Act of 1934 and Rule 10b-5 thereunder. A hearing will be scheduled before an administrative law judge to determine whether the allegations contained in the order are true and, if so, what remedial actions or sanctions are appropriate.

In related actions, in October 1999 the Commission issued administrative orders against two other Morgan Fuller co-owners for their roles in this scheme. James Fuller and Gordon Taubenheim were censured and ordered to cease and desist from violations of the antifraud provisions of the Investment Advisers Act of 1940. In addition, Fuller was suspended from association with any investment adviser for 9 months and fined \$15,000; Taubenheim was suspended from association with any investment adviser for 6 months and fined \$10,000. The two agreed to issuance of the orders without admitting or denying the Commission's findings. See In The Matter of James William Fuller, Investment Advisors Act Rel. No. 1842 (Oct. 4, 1999); In The Matter of Gordon Richard Taubenheim, Investment Advisors Act Rel. No. 1843 (Oct. 4, 1999). (Rel. 34-43392; File No. 3-10336)

BROKER-DEALER BARS ENTERED AGAINST DONALD RADLE AND MICHAEL DWYER; FIRST SPRINGFIELD SECURITIES, INC.'S BROKER-DEALER REGISTRATION REVOKED

On September 29, 2000, the Commission entered an Order Making Findings and Imposing Remedial Sanctions (Order), by consent, barring Donald E. Radle (Radle) and Michael S. Dwyer (Dwyer) from association with any broker-dealer and revoking the broker-dealer registration of First Springfield Securities, Inc. (First Springfield). According to the terms of the Order, Radle has a right to reapply for association after five years, and Dwyer has the right to reapply for association after one year.

The Commission had previously brought an action captioned, SEC v. First Springfield Securities, Inc., et al., Case No. 99-3356-CV-S-RGC-ECF (W.D. Mo.), alleging that Radle, Dwyer and First Springfield defrauded investors who were offered or purchased investment agreements (Investment Agreements) through First Springfield by misrepresenting the use of investor proceeds, the safety of the Investment Agreements and the rate of return that could be earned on the Investment Agreements. On September 27, 2000, the federal district court in that action entered permanent injunctions against Radle, Dwyer and First Springfield, by consent and without them admitting or denying the Commission's allegations, enjoining them from future violation of the antifraud provisions of the federal securities laws. The Court's injunctive orders did not order First Springfield to pay disgorgement, or impose civil penalties against First Springfield, Radle or Dwyer, based on their demonstrated inability to pay.

The Commission entered the Order based on the entry of permanent injunctions and the Commission's findings that Radle, Dwyer and First Springfield willfully violated the antifraud provisions of the federal securities laws in connection with the offer and sale of the Investment Agreements. Radle, Dwyer and First Springfield neither admitted nor denied the Commission's findings in the Order, except for the Commission's jurisdiction over them. (Rel. 34-43393; File No. 3-10337)

ROBERT GLEN SEDLACEK, FORMER SPX DIRECTOR OF TAXES, SETTLES CHARGES THAT HE TRADED IN STOCK OF ECHLIN, INC. WITH KNOWLEDGE OF SPX'S PLANNED TENDER OFFER FOR ECHLIN

On September 29, 2000, the Securities and Exchange Commission filed a civil injunctive action against Robert Glen Sedlacek, a lawyer and certified public accountant and the former Director of Taxes of SPX Corporation, charging Sedlacek with insider trading in stock of Echlin, Inc. Simultaneously, and without admitting or denying the Commission's allegations, Sedlacek consented to the entry of a permanent injunction and agreed to disgorge the profits of his insider trading, with interest, and pay a civil penalty equal to the profits.

The Commission's complaint alleges that from January 29, 1998 through February 13, 1998, Sedlacek made fifteen separate purchases of Echlin stock in his own accounts and the accounts of two relatives and a relative's employee, which he controlled. Sedlacek made these purchases while in possession of material, nonpublic information about a planned tender offer for Echlin by his employer, SPX Corporation, of Muskegon, Michigan. At the time of the purchases, Sedlacek was Director of Taxes at SPX and was one of several SPX employees working on the planned tender offer. In addition, Sedlacek caused another relative to buy Echlin stock while he possessed material, non-public information about the planned tender offer. Following SPX's announcement of the tender offer on February 17, 1998, Sedlacek and his relative realized profits on their unlawful trading totaling \$138,375.

The final judgment to which Sedlacek consented permanently enjoins him from violations of Sections 10(b) and 14(e) of the Securities Exchange Act of 1934, and Rules 10b-5 and 14e-3 thereunder, and orders him to disgorge \$182,099.29, representing the unlawful trading profits, plus prejudgment interest, and pay a civil penalty of \$138,375.

Echlin is headquartered in Guilford, Connecticut. In July 1998, Echlin was acquired by Dana Corporation, which is headquartered in Ohio.

The Commission thanks the New York Stock Exchange for its assistance in this matter. [SEC v. Robert Glen Sedlacek, USDC, SDNY, 00 Civ. 7399, KMW] (LR-16739)

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

- F-10 INCO LTD, ROYAL TRUST TOWER, 145 KING ST W STE 1500,
TORONTO ONTARIO CAN, A6 M5H 4 (416) 361-7511 - 5,872,324 (\$456,736)
FOREIGN COMMON STOCK. (FILE 333-12538 - SEP. 15) (BR. 6)
- S-8 FLAMEL TECHNOLOGIES SA, PARC CLUB DU MOULIN A VENT,
33 AVE DU DOCTEUR GEORGES LEVY, 69693 VENISSIEUX CED, IO (212) 664-1666
1,000,000 (\$6,937,500) FOREIGN COMMON STOCK. (FILE 333-12542 - SEP.
15)
(BR. 1)
- S-3 ALZA CORP, 1900 CHARLESTON RD, PO BOX 7210, MOUNTAIN VIEW, CA 94309
(650) 494-5000 - 600,873,400 (\$600,873,400)
CONVERTIBLE DEBENTURES AND NOTES. (FILE 333-46496 - SEP. 25) (BR. 1)
- S-1 CANADA SOUTHERN PETROLEUM LTD, 706 SEVENTH AVE, SUITE 505,
CALGARY ALBERTA CANADA T2P 0Z1, A0 (203) 245-8380 - 3,000,000
(\$15,000,000) LIMITED PARTNERSHIP CERTIFICATE. (FILE 333-46498 - SEP.
25)
(BR. 4)
- S-8 DELHAIZE AMERICA INC, PO BOX 1330, 2110 EXECUTIVE DR, SALISBURY, NC
28145 (704) 633-8250 - 12,000,000 (\$206,166,898.36) COMMON STOCK.
(FILE 333-46500 - SEP. 25) (BR. 2)
- S-8 METEOR INDUSTRIES INC, 216 16TH ST STE 730, DENVER, CO 80202
(303) 572-1135 - 71,966 (\$278,026.76) COMMON STOCK. (FILE 333-46502 -
SEP. 25) (BR. 2)
- S-8 METEOR INDUSTRIES INC, 216 16TH ST STE 730, DENVER, CO 80202
(303) 572-1135 - 105,866 (\$327,358.89) COMMON STOCK. (FILE 333-46504 -
SEP. 25) (BR. 2)
- S-8 PROCYTE CORP /WA/, 154TH AVE N E BLDG A 8511, REDMOND, WA 98034
(206) 820-4548 - 650,000 (\$650,033) COMMON STOCK. (FILE 333-46506 -
SEP. 25) (BR. 1)
- S-3 ADVANCED TISSUE SCIENCES INC, 10933 N TORREY PINES RD, LA JOLLA, CA
92037 (619) 713-7300 - 3,494,365 (\$26,862,931) COMMON STOCK. (FILE
333-46508 - SEP. 25) (BR. 1)

S-4 MUTUALFIRST FINANCIAL INC, 110 E CHARLES STREET, MUNCIE, IN 47305
(765) 747-2800 - 2,677,256 (\$34,777,731) COMMON STOCK. (FILE 333-46510
-
SEP. 25) (BR. 9)

S-8 DIAL CORP /NEW/, 15501 NORTH DIAL BOULEVARD, SCOTTSDALE, AZ 85260
(480) 754-3425 - 250,000 (\$2,671,875) COMMON STOCK. (FILE 333-46512 -
SEP. 25) (BR. 4)

S-8 DIAL CORP /NEW/, 15501 NORTH DIAL BOULEVARD, SCOTTSDALE, AZ 85260
(480) 754-3425 - 1,500,000 (\$16,031,250) COMMON STOCK. (FILE 333-46514
-
SEP. 25) (BR. 4)

S-8 VITALCOM INC, 15222 DEL AMO AVE, TUSCAN, CA 92680 (714) 546-0147 -
150,000 (\$310,781.25) COMMON STOCK. (FILE 333-46516 - SEP. 25) (BR. 6)

S-1 GORDON & CO, ONE GATEWAY CTR, SUITE 516 WEST, NEWTON, MA 02158
(617) 964-6672 - 16,000 (\$112,000,000) FACE AMOUNT CERTIFICATES. (FILE
333-46518 - SEP. 25) (BR. 7)

SB-2 FORESTINDUSTRY COM INC, 999 CANADA PL STE 504,
VANCOUVER BRITISH COLUMBIA, CANADA, A1 (604) 632-3802 - 1,703,866
(\$2,981,765) COMMON STOCK. (FILE 333-46520 - SEP. 25) (BR. 9)

S-8 UNITREND INC, 4665 W BANCROFT STREET, SUITE 15, TOLEDO, OH 43615
(419) 536-2090 - 12,500,000 (\$6,250,000) COMMON STOCK. (FILE 333-46522
-
SEP. 25) (BR. 3)

SB-2 QUIKBIZ INTERNET GROUP INC, 6801 POWERLINE ROAD, FT LAUDERDALE, FL
33309
(954) 970-3553 - 1,080,369 (\$387,103.32) COMMON STOCK. (FILE 333-46524
-
SEP. 25) (BR. 3)

SB-2 BERT LOGIC INC, UNIT 130 2188 NO 5 ROAD, RICHMOND BC CANADA, A1
00000
(604) 276-8324 - 1,000,000 (\$40,000) COMMON STOCK. (FILE 333-46526 -
SEP. 25) (BR. 9 - NEW ISSUE)

S-8 CH ENERGY GROUP INC, 284 SOUTH AVE, POUGHKEEPSIE, NY 12601
(914) 452-2000 - 500,000 (\$19,110,000) COMMON STOCK. (FILE 333-46528 -
SEP. 25) (BR. 2)

S-8 OPINION RESEARCH CORP, 23 ORCHARD RD, SKILLMAN, NJ 08558 (908) 281-
5100
- 200,000 (\$1,487,500) COMMON STOCK. (FILE 333-46530 - SEP. 25) (BR.
6)

S-8 AMERICA ONLINE INC, AMERICA ONLINE INC, 22000 AOL WAY, DULLES, VA
20166
(703) 265-1000 - 2,602 (\$57,903.22) COMMON STOCK. (FILE 333-46532 -
SEP. 25) (BR. 3)

S-8 AMERICA ONLINE INC, AMERICA ONLINE INC, 22000 AOL WAY, DULLES, VA
20166
(703) 265-1000 - 349,009 (\$1,466,677.99) COMMON STOCK. (FILE 333-46534
-
SEP. 25) (BR. 3)

S-8 AMERICA ONLINE INC, AMERICA ONLINE INC, 22000 AOL WAY, DULLES, VA
20166
(703) 265-1000 - 211,528 (\$148,069.60) COMMON STOCK. (FILE 333-46536 -
SEP. 25) (BR. 3)

S-3 BLUE RHINO CORP, 104 CAMBRIDGE PLAZA DRIVE, WINSTON SALEM, NC 27104
(336) 659-6900 - 562,285 (\$2,073,426) COMMON STOCK. (FILE 333-46540 -
SEP. 25) (BR. 2)

S-3 ISONICS CORP, 5906 MCINTYRE STREET, GOLDEN, CO 80403 (303) 279-7900
-
7,488,598 (\$27,139,564.02) COMMON STOCK. (FILE 333-46542 - SEP. 25)
(BR. 9)

SB-2 PATHFINDER BUSINESS RESOURCES INC, 33 ELEVENTH AVENUE,
HUNTINGTON STATION, NY 11746 - 954,000 (\$2,400,000) COMMON STOCK.
(FILE
333-46544 - SEP. 25) (NEW ISSUE)

S-2 IMAGING DIAGNOSTIC SYSTEMS INC /FL/, 6531 NW 18TH COURT, PLANTATION,
FL
33313 (305) 746-0500 - 10,052,105 (\$28,899,802) COMMON STOCK. (FILE
333-46546 - SEP. 25) (BR. 5)

S-1 SHAFFER DIVERIFIED FUND LP, 70 WEST RED OAK LANE, WHITE PLAINS, NY
10604
(914) 697-7558 - \$15,000,000 LIMITED PARTNERSHIP CERTIFICATE. (FILE
333-46550 - SEP. 25) (NEW ISSUE)

S-1 INSMED INC, 800 E LEIGH ST, SUITE 206, RICHMOND, VA 23219 (808) 828-
6893
- 6,900,000 (\$96,600,000) COMMON STOCK. (FILE 333-46552 - SEP. 25)
(BR. 1)

S-8 INFONET SERVICES CORP, 2100 E. GRAND AVE, EL SEGUNDO, CA 90245
-
(310) 335-2600 - 6,000,000 (\$58,860,000) COMMON STOCK. (FILE 333-46554
-
SEP. 25) (BR. 8)

S-8 INFONET SERVICES CORP, 2100 E. GRAND AVE, EL SEGUNDO, CA 90245
-
(310) 335-2600 - 2,000,000 (\$23,120,000) COMMON STOCK. (FILE 333-46556
-
SEP. 25) (BR. 8)

S-8 REHABILICARE INC, 1811 OLD HIGHWAY 8, NEW BRIGHTON, MN 55112
(612) 631-0590 - 500,000 (\$1,515,625) COMMON STOCK. (FILE 333-46558 -
SEP. 25) (BR. 5)

S-8 SOUTHWEST AIRLINES CO, 2702 LOVE FIELD DR, P O BOX 36611, DALLAS, TX
75235 (214) 792-4000 - 6,000,000 (\$125,212,500) COMMON STOCK. (FILE
333-46560 - SEP. 25) (BR. 5)

S-8 CONNETICS CORP, 3400 W BAYSHORE RD, PALO ALTO, CA 94303 (415) 843-2800
- 1,008,512 (\$15,565,744.70) COMMON STOCK. (FILE 333-46562 - SEP. 25) (BR. 1)

S-3 AES CORPORATION, 1001 N 19TH ST, STE 2000, ARLINGTON, VA 22209
(703) 522-1315 - 1,051,791 (\$65,899,965.11) COMMON STOCK. (FILE 333-46564 - SEP. 25) (BR. 2)

S-2 SUN LIFE ASSURANCE CO OF CANADA US, SC 1335 ONE SUN LIFE EXECUTIVE PARK,
WELLESLEY HILLS, MA 02481 (781) 446-1182 - \$100,000,000
VARIABLE ANNUITY ISSUES. (FILE 333-46566 - SEP. 25) (BR. 20)

S-4 MATTSON TECHNOLOGY INC, 2800 BAYVIEW DR, FREMONT, CA 94538
(510) 657-5900 - 5,040,000 (\$84,641,348) COMMON STOCK. (FILE 333-46568 - SEP. 25) (BR. 5)

F-3 CORDIANT COMMUNICATIONS GROUP PLC /ADR, 48 WALL ST,
C/O BANK OF NEW YORK, NEW YORK, NY 10286 (212) 495-1727 - 73,412,623
(\$373,899,665.52) FOREIGN COMMON STOCK. (FILE 333-46570 - SEP. 25) (BR. 2)

S-8 VALUEVISION INTERNATIONAL INC, 6740 SHADY OAK RD, MINNEAPOLIS, MN 55344
(612) 947-5200 - 1,000,000 (\$25,781,250) COMMON STOCK. (FILE 333-46572 - SEP. 25) (BR. 2)

S-3 SANGSTAT MEDICAL CORP, 6300 DUMBARTON CIRCLE, FREMONT, CA 94555
(510) 789-4300 - 451,128 (\$6,817,671.90) COMMON STOCK. (FILE 333-46574 - SEP. 25) (BR. 1)

S-8 VALUEVISION INTERNATIONAL INC, 6740 SHADY OAK RD, MINNEAPOLIS, MN 55344
(612) 947-5200 - 1,466,000 (\$33,240,007.50) COMMON STOCK. (FILE 333-46576 - SEP. 25) (BR. 2)

S-3 SANGSTAT MEDICAL CORP, 6300 DUMBARTON CIRCLE, FREMONT, CA 94555
(510) 789-4300 - 500,773 (\$7,567,931.96) COMMON STOCK. (FILE 333-46578 - SEP. 25) (BR. 1)

S-3 NUEVO ENERGY CO, 1021 MAIN SUITE 2100, HOUSTON, TX 77002 (713) 652-0706
(FILE 333-46580 - SEP. 26) (BR. 4)

S-1 EARTHWATCH INC, 1900 PIKE ROAD, LONGMONT, CO 80501 (303) 682-3800 - 72,000,000 (\$60,480,000) STRAIGHT BONDS. (FILE 333-46582 - SEP. 26) (BR. 7)

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: <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		
ABN AMRO MORTGAGE CORP	DE	X									08/25/00	
ABN AMRO MORTGAGE CORP SERIES 1998- 2	DE	X									08/25/00	
ABN AMRO MORTGAGE CORP SERIES 1998- 3	DE	X									08/25/00	
ABN AMRO MORTGAGE CORP SERIES 1998- 4	DE	X									08/25/00	
ABN AMRO MORTGAGE CORP SERIES 1998- 5	DE	X									08/25/00	
ABN AMRO MORTGAGE CORP SERIES 1999- 1	DE	X									08/25/00	
ABN AMRO MORTGAGE CORP SERIES 1999- 2	DE	X									08/25/00	
ABN AMRO MORTGAGE CORP SERIES 1999- 3	DE	X									08/25/00	
ABN AMRO MORTGAGE CORP SERIES 1999- 4	DE	X									08/25/00	
ABN AMRO MORTGAGE CORP SERIES 1999- 5	DE	X									08/25/00	
ABN AMRO MORTGAGE CORP SERIES 1999- 6	DE	X									08/25/00	
ABN AMRO MORTGAGE CORP SERIES 1999- 7	DE	X									08/25/00	
ABN AMRO MORTGAGE CORP SERIES 1999- 8	DE	X									08/25/00	
ABN AMRO MORTGAGE CORP SERIES 2000- 1	DE	X									08/25/00	
ABN AMRO MORTGAGE CORP SERIES 2000- 2	DE	X									08/25/00	
ADC TELECOMMUNICATIONS INC	MN		X						X		09/29/00	

NAME OF ISSUER	STATE	8K ITEM NO.									DATE	COMMENT
	CODE	1	2	3	4	5	6	7	8	9		
ADELPHIA COMMUNICATIONS CORP	DE					X		X			09/20/00	
ADVENTURE MINERALS INC	NV	X	X					X	X		09/15/00	
ALL STAR GAS CORP	MO					X		X			09/29/00	
ALTEON WEBSYSTEMS INC	DE							X			07/17/00	AMEND
AMB PROPERTY CORP	MD					X		X			08/29/00	
AMB PROPERTY LP	DE					X		X			08/29/00	
AMERICAN SOUTHWEST FINANCIAL SECURITIES CORP	AZ	X									08/25/00	
AMFM OPERATING INC	DE					X		X			09/26/00	
APPLIED ANALYTICAL INDUSTRIES INC	DE							X	X		09/27/00	
ASD SYSTEMS INC	TX							X	X		09/28/00	
ASTHMA DISEASE MANAGEMENT INC	DE							X			08/29/00	
BA MASTER CREDIT CARD TRUST /									X		08/31/00	
BARNETT AUTO TRUST 1997-A	DE							X	X		09/15/00	
BARNETT INC	DE	X									09/29/00	
BEAR STEARNS COMMERCIAL MORTGAGE SECURITIES INC	DE	X									08/25/00	
BEAR STEARNS COMMERCIAL MORTGAGE SECURITIES INC	DE					X		X			09/29/00	
BERKLEY W R CORP	DE							X			09/26/00	
BOMBARDIER CAPITAL MORTGAGE SECURITIZATION CORP	VT								X		08/31/00	
BOMBARDIER CAPITAL MORTGAGE SECURITIZATION CORP	VT								X		08/31/00	
BOMBARDIER CAPITAL MORTGAGE SECURITIZATION CORP	VT								X		08/31/00	
BOMBARDIER CAPITAL MORTGAGE SECURITIZATION CORP	VT								X		08/31/00	
BOMBARDIER CAPITAL MORTGAGE SECURITIZATION CORP	VT								X		08/31/00	
BOMBARDIER CREDIT RECEIVABLES CORP	DE								X		08/31/00	
BOSTON CAPITAL TAX CREDIT FUND IV L P	DE					X					09/02/98	
BOSTON CAPITAL TAX CREDIT FUND IV L P	DE					X					11/19/98	
BOSTON CAPITAL TAX CREDIT FUND IV L P	DE					X					11/19/98	
BURST COM	DE							X			09/29/00	
CABLETRON SYSTEMS INC	DE							X			08/29/00	AMEND
CALDERA SYSTEMS INC	UT		X								09/16/00	
CANADIAN NORTHERN LITES INC	TX							X			09/20/00	
CAPSTAR BROADCASTING PARTNERS INC	DE					X			X		09/26/00	
CARPENTER W R NORTH AMERICA INC	DE	X									06/25/00	
CATERPILLAR INC	DE							X			09/29/00	
CECO ENVIRONMENTAL CORP	NY					X			X		09/29/00	
CELL PATHWAYS HOLDINGS INC								X			09/22/00	
CENTEX HOME EQUITY LOAN TRUST 2000-C	DE							X	X		09/15/00	
CENTURY BUILDERS GROUP INC	FL								X		09/29/00	
CHASE COMMERCIAL MORTGAGE SECURITIES CORP	NY							X	X		09/20/00	

NAME OF ISSUER	STATE		BK ITEM NO.									DATE	COMMENT
	CODE		1	2	3	4	5	6	7	8	9		
CHASE MANHATTAN AUTO GRANTOR TRUST 1996-B	NY						X	X				09/15/00	
CHASE MANHATTAN AUTO OWNER TRUST 19 96-C	DE						X					09/15/00	
CHASE MANHATTAN AUTO OWNER TRUST 19 97-A	DE						X	X				09/15/00	
CHASE MANHATTAN AUTO OWNER TRUST 19 97-B	DE						X	X				09/15/00	
CHASE MANHATTAN AUTO OWNER TRUST 19 98-A	DE						X	X				09/15/00	
CHASE MANHATTAN AUTO OWNER TRUST 19 98-B	DE						X	X				09/15/00	
CHASE MANHATTAN AUTO OWNER TRUST 19 98-C	DE						X	X				09/15/00	
CHASE MANHATTAN BANK /NY/	NY						X	X				09/15/00	
CHASE MANHATTAN BANK /NY/	NY						X	X				09/15/00	
CHASE MANHATTAN BANK USA	DE						X	X				09/15/00	
CHASE MANHATTAN BANK USA	DE						X	X				09/15/00	
CHASE MANHATTAN BANK USA	DE						X	X				09/15/00	
CHASE MANHATTAN BANK USA	DE						X	X				09/15/00	
CHASE MANHATTAN BANK USA	DE						X	X				09/15/00	
CHASE MANHATTAN BANK USA	DE						X	X				09/15/00	
CHASE MANHATTAN BANK USA	DE						X	X				09/15/00	
CHASE MANHATTAN BANK USA	DE						X	X				09/15/00	
CHASE MANHATTAN BANK USA	DE						X	X				09/15/00	
CHASE MANHATTAN BANK USA	DE						X	X				09/15/00	
CHASE MANHATTAN CREDIT CARD MASTER TRUST	DE						X	X				09/15/00	
CHASE MANHATTAN GRANTOR TRUST 1996- A	NY						X	X				09/15/00	
CHASE MANHATTAN HOME EQUITY LOAN TR UST 1995-1	NY						X	X				09/15/00	
CHASE MANHATTAN MARINE OWNER TRUST 1997-A	NY						X	X				09/15/00	
CHASE MANHATTAN RV OWNER TRUST 1997 -A	DE						X	X				09/15/00	
CISCO SYSTEMS INC	CA						X	X				09/27/00	
CITIZENS FIRST FINANCIAL CORP	DE						X	X				09/29/00	
CNH CAPITAL RECEIVABLES INC							X	X				09/21/00	
COMMUNITY BANK SYSTEM INC	DE			X								09/27/00	
COMVERSE TECHNOLOGY INC/NY/	NY						X	X				07/14/00	
CONSECO FINANCE CORP	DE						X	X				09/15/00	
CONSECO FINANCE CORP	DE						X	X				09/15/00	
CONSECO FINANCE CORP	DE						X	X				09/15/00	
CONSECO FINANCE CORP	DE						X	X				09/15/00	
CONSECO FINANCE SECURITIZATIONS COR P	DE						X	X				09/15/00	
CONSECO FINANCE SECURITIZATIONS COR P	DE						X	X				09/15/00	
CONSECO INC	IN						X	X				09/29/00	
CYBERGUARD CORP	FL						X					09/27/00	
DAIN RAUSCHER CORP	DE						X	X				09/27/00	
DELCO REMY INTERNATIONAL INC	DE							X	X			09/27/00	

NAME OF ISSUER	STATE	BK ITEM NO.									DATE	COMMENT	
	CODE	1	2	3	4	5	6	7	8	9			
DENTAL MEDICAL DIAGNOSTIC SYSTEMS I NC	DE					X						09/15/00	
DISPLAY TECHNOLOGIES INC	NV					X	X					09/29/00	
DUN & BRADSTREET CORP /DE/	DE					X	X					09/29/00	
DYERSBURG CORP	TN			X								09/29/00	
ECO SOIL SYSTEMS INC	NE				X		X					09/22/00	
ELECTRONIC TELE COMMUNICATIONS INC	WI				X		X					09/23/00	
EMPIRE OF CAROLINA INC	DE					X	X					09/26/00	
EPITOPE INC/OR/	OR								X			09/29/00	
ESCO TRANSPORTATION CO	WV						X					09/25/00	
FIRST BANCORP /NC/	NC		X					X				09/14/00	
FIRST BANKING CENTER INC	WI	X										09/30/00	
FIRST FINANCIAL HOLDINGS INC /DE/	DE					X	X					09/29/00	
FIRST OMNI BANK CREDIT CARD MASTER TRUST									X			08/31/00	
FIRST SECURITY AUTO OWNER TRUST 200 0-1	UT					X						09/27/00	
FIRST SECURITY AUTO OWNER TRUST 200 0-1	UT					X						09/27/00	
FIRST SECURITY BANK NA						X						09/27/00	
FIRST SECURITY BANK NA						X						09/27/00	
FREEDOM SURF INC	NV		X					X				09/27/00	AMEND
FREEPORT MCMORAN COPPER & GOLD INC	DE					X						09/29/00	
FRONTIER INSURANCE GROUP INC	DE				X		X					09/26/00	
GLOBALSCAPE INC	DE					X	X					09/29/00	
GOLDEN SOIL INC	NV					X						09/05/00	AMEND
GOLF TRUST OF AMERICA INC	MD					X	X					09/28/00	
GREEN TREE FLOORPLAN RECIEVABLES MA STER TRUST	MN					X	X					09/15/00	
HAEMONETICS CORP	DE		X					X				09/15/00	
HARTCOURT COMPANIES INC	UT				X							09/29/00	
HARVEY ENTERTAINMENT CO	CA					X	X					09/28/00	
HASTINGS ENTERTAINMENT INC	TX				X		X					09/22/00	
HRPT PROPERTIES TRUST	MD					X	X					09/28/00	
HUNTINGTON BANCSHARES INC/MD	MD					X	X					09/29/00	
IMH ASSETS CORP IMPAC CMB TRUST SER IES 1999-1	CA	X										08/25/00	
IMX PHARMACEUTICALS INC	UT							X				07/21/00	AMEND
INFOCROSSING INC	DE								X			09/15/00	
INKTOMI CORP	DE							X				07/19/00	AMEND
INTERNET MULTI-MEDIA CORP	NV	X	X			X	X	X				08/08/00	AMEND
INTERWOVEN INC	CA		X					X				07/18/00	AMEND
INTRUSION COM INC	DE					X	X					09/22/00	
INVITROGEN CORP	DE		X					X				09/14/00	
ISG RESOURCES INC	UT		X					X				09/29/00	
KEYCORP STUDENT LOAN TRUST 2000-B	DE							X				09/15/00	
LACLEDE GAS CO	MO					X	X					09/29/00	
LAIDLAW GLOBAL CORP	DE					X	X					09/15/00	
LAREDO INVESTMENT CORP	NV		X									07/12/00	AMEND
LEAP WIRELESS INTERNATIONAL INC	DE					X						09/18/00	
LEVI STRAUSS & CO	DE					X	X					09/29/00	
LIBERTY GROUP HOLDINGS INC	DE					X	X					09/15/00	
LIFE FINANCIAL CORP	DE					X	X					09/25/00	
LOGIO INC	NV					X						09/29/00	

NAME OF ISSUER	STATE	8K ITEM NO.									DATE	COMMENT	
	CODE	1	2	3	4	5	6	7	8	9			
MARK IV INDUSTRIES INC	DE					X						09/14/00	
MCMORAN EXPLORATION CO /DE/	DE					X						09/29/00	
MERIDIAN DIAGNOSTICS INC	OH		X					X				09/15/00	
METROPOLITAN HEALTH NETWORKS INC	FL					X						09/28/00	
MIDWAY AIRLINES CORP	DE					X		X				09/29/00	
MONTEREY BAY BANCORP INC	DE					X						09/29/00	
NATIONAL INFORMATION CONSORTIUM	CO					X		X				09/20/00	
NATIONSBANK OF DELAWARE NA	DE					X		X				09/15/00	
NATIONSCREDIT GRANTOR TRUST 1996-1	DE					X		X				09/15/00	
NATIONSCREDIT GRANTOR TRUST 1997-1	DE					X		X				09/15/00	
NATIONSCREDIT GRANTOR TRUST 1997-2	DE					X		X				09/15/00	
NATIONSLINK FUNDING CORP 1999-LTL-1 COMMER LOAN PAS THR CER	DE		X									08/25/00	
NET PERCEPTIONS INC	DE					X		X				09/28/00	
NISSAN AUTO RECEIVABLES 2000-B OWNE R TRUST			X									08/15/00	
NORTHEAST UTILITIES SYSTEM	MA					X						09/27/00	
ONYX ACCEPTANCE OWNER TRUST 2000 B	DE					X						09/15/00	
ONYX ACCEPTANCE OWNER TRUST 2000-A	DE					X						09/15/00	
ONYX ACCEPTANCE OWNER TRUST 2000-C	DE					X						09/15/00	
PACIFIC WEBWORKS INC	NV					X						09/29/00	
PACKAGING RESOURCES INC	DE					X						09/28/00	
PARTY CITY CORP	DE					X		X				09/28/00	
PEGASUS COMMUNICATIONS CORP	DE					X		X				09/15/00	
PEGASUS MEDIA & COMMUNICATIONS INC	DE		X					X				09/15/00	
PENTON MEDIA INC	DE		X					X				09/14/00	
PMCC FINANCIAL CORP	DE					X						09/18/00	
PRO NET LINK CORP						X		X				09/28/00	
PVAXX CORP	CO								X			09/30/00	
QUAD CITY HOLDINGS INC	DE					X						09/29/00	
QUIZNOS CORP	CO					X						09/30/00	
RDC INTERNATIONAL INC	FL							X				06/30/00	AMEND
REDWOOD EMPIRE BANCORP	CA					X						09/29/00	
REGISTER COM INC	DE		X					X				09/15/00	
SOUND FEDERAL BANCORP	NY		X					X				07/18/00	AMEND
SOUTHDOWN INC	LA					X		X				09/28/00	
STEINWAY MUSICAL INSTRUMENTS INC	DE		X			X		X				09/14/00	
STORAGE COMPUTER CORP	DE		X					X				09/14/00	
SUNTERRA CORP	MD					X		X				09/15/00	
SUPERGEN INC	DE					X		X				09/28/00	
SVB FINANCIAL SERVICES INC	NJ							X	X			09/28/00	
SYMPHONY TELECOM INTERNATIONAL INC	UT					X						09/22/00	
S2 GOLF INC	NJ							X				07/31/00	AMEND
TEXAS EQUIPMENT CORP	NV					X		X				09/29/00	
TOYOTA AUTO LEASE TRUST 1997-A	CA					X		X				08/31/00	
TOYOTA AUTO LEASE TRUST 1998 C	CA					X		X				08/31/00	
TOYOTA AUTO LEASE TRUST 1998-B	CA					X		X				08/31/00	
TOYOTA MOTOR CREDIT RECEIVABLES CORP P	CA					X		X				08/31/00	
TRANSPRO INC	DE					X		X				09/25/00	
TREX MEDICAL CORP	DE		X					X				09/15/00	
UAL CORP /DE/	DE					X		X				09/29/00	
UNIVERSAL COMPRESSION HOLDINGS INC	DE		X			X		X				09/15/00	
UNIVERSAL COMPRESSION INC	TX		X			X		X				09/15/00	

NAME OF ISSUER	STATE	8K ITEM NO.									DATE	COMMENT	
	CODE	1	2	3	4	5	6	7	8	9			
VALUESTAR CORP	CO					X						09/29/00	
VOICESTREAM WIRELESS CORP /DE	DE							X				09/29/00	
WARNER CHILCOTT PLC	L2	X						X				09/29/00	
WASTE INDUSTRIES INC	NC					X						05/26/00	
WESTERFED FINANCIAL CORP	DE					X		X				09/28/00	
WSI INTERACTIVE CORP						X		X				09/29/00	
21ST CENTURY TECHNOLOGIES INC	NV		X									09/26/00	