

# SEC NEWS DIGEST

Issue 2001-88

May 7, 2001

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## ENFORCEMENT PROCEEDINGS

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### ADMINISTRATIVE PROCEEDINGS INSTITUTED AGAINST AND SIMULTANEOUSLY SETTLED WITH EUGENE FILIPPINO AND JEFFREY MANSFIELD

The Commission entered an Order Instituting Administrative Proceedings pursuant to Sections 15(b) and 19(h) of the Securities Exchange Act of 1934, Making Findings and Imposing Remedial Sanctions (Order) against Eugene J. Filippino (Filippino) of Los Angeles, California and Jeffrey A. Mansfield (Mansfield) of Michigan City, Indiana. The Commission simultaneously accepted the Offers of Settlement submitted by Filippino and Mansfield, wherein they agreed to the entry of an order barring them from association with any broker or dealer.

The Order alleges that while employed as registered representatives at various registered broker-dealers, Filippino and Mansfield accepted undisclosed compensation from a promoter for inducing their clients to purchase the securities of certain issuers affiliated with the promoter. Filippino and Mansfield each pled guilty to count one of an indictment charging that they participated in a criminal conspiracy to commit securities fraud, mail fraud and wire fraud (U.S. v. Filippino, et al., Case No. 98-8168, CR-RYSKAMP, SD Fla. 1998). (Rel. 34-44262; File No. 3-10471)

### R. GORDON JONES, CPA AND MARK JENSEN CPA DENIED THE PRIVILEGE OF PRACTICING BEFORE THE COMMISSION FOR THREE YEARS

On May 4, the Commission entered an Order Making Findings and Imposing Sanctions against R. Gordon Jones, CPA, of Salt Lake City, Utah. The order was entered under Rule 102(e) of the Commission's Rules of Practice and was pursuant to Jones's offer of settlement offer in which he neither admitted nor denied the allegations in the Commission order. The order finds that Jones acted recklessly in violation of professional standards in connection with the audit of the September 30, 1995 financial statements of Dynamic American Corp. Jones was the audit partner in charge of that audit. The order denies Jones the privilege of practicing before the Commission as a CPA provided that he may reapply after three years.

Also on May 4, the Commission entered an Order Making Findings and Imposing Sanctions against Mark F. Jensen, CPA, also of Salt Lake City, Utah. That order settles two separate administrative proceedings in which Jensen is a respondent. The order was entered under Commission Rule 102(e) and was pursuant to Jensen's offer of settlement in which he neither admitted nor denied the allegations by the Commission. The order finds that Jensen acted recklessly in violation of professional standards in connection with the audit of the Dynamic American financial statements noted above. Jensen was the concurring reviewer on that audit. In addition, in separate administrative proceedings, the order finds that Jensen acted recklessly in violation of professional standards in connection with an audit of 1994 financial statements of Sky Scientific Inc. in which he was also the concurring reviewer. The order denies Jensen the privilege of practicing before the Commission as a CPA provided that he may reapply after three years. (Mark F. Jensen - Rel. 34-44264, AAE Rel. 1389, File No. 3-9863; R. Gordon Jones - Rel. 34-44265; AAE Rel. 1390; File No. 3-10210)

### **SEC SANCTIONS TWO BROKERS FORMERLY ASSOCIATED WITH NOTORIOUS LONG ISLAND BOILERROOM**

The Commission announced that on May 4 it instituted and simultaneously settled public administrative proceedings, pursuant to Section 15(b) of the Securities Exchange Act of 1934 (Exchange Act), against Richard A. Preisig, Jr. and Glenn E. Lavender. The orders instituting proceedings (Orders) permanently bar Preisig and Lavender from association with a broker or dealer and from participating in an offering of penny stock.

The Orders find that Preisig and Lavender were registered representatives who worked at the Melville, NY branch office of Investors Associates, Inc., a now-defunct New Jersey broker-dealer. The Melville branch was a classic boiler room, and Preisig and Lavender actively participated in most of that office's abuses, particularly in connection with initial public offerings (IPO) being underwritten by Investors Associates. Preisig, a broker and later a "floor manager," trained other brokers, wrote scripts, and provided motivation for other brokers to engage in fraudulent and abusive sales practices. Lavender, in addition to being the broker for numerous client accounts, served as a "team leader" and helped train other brokers. Preisig and Lavender both used scripts containing baseless price predictions and other claims. Both engaged in high-pressure sales tactics, and both failed to disclose essential negative information about the issuers. Preisig and Lavender also delayed or obstructed client efforts to sell their stock. As the date for each offering approached, Preisig and Lavender also illegally pre-sold the offering by soliciting orders and payment for the securities in advance of the effective date of the offering. Preisig and Lavender also solicited customer orders to be placed in the immediate IPO aftermarket, and then completed the customer order tickets at pre-determined, manipulated prices.

The Commission simultaneously accepted Offers of Settlement from Preisig and from Lavender in which, without admitting or denying the Commission's findings, they separately consented to the entry of Orders: (i) finding that they willfully violated Sections 5(a) and 17(a) of the Securities Act of 1933, Section 10(b) of the Securities Exchange Act of 1934 and Rule 10b-5 thereunder and (ii) barring them from association with a broker or dealer and from participating in an offering of penny stock.

In parallel criminal proceedings brought by the United States Attorney for the Southern District of New York, Preisig and Lavender each pleaded guilty, on May 3, 2001 and May 4, 2001 respectively, to one count of securities fraud and one count of conspiracy to commit wire, mail and securities fraud. (In the Matter of Richard Preisig, Jr. - Rel. 34-44266, File No. 3-10473; In the Matter of Glenn Lavender - Rel. 34-44267, File No. 3-10474)

### **COMMISSION SANCTIONS INVESTMENT ADVISER AND ITS PRESIDENT FOR FAILING TO FILE FORM 13F REPORTS**

On May 7, the Commission instituted a public administrative and cease and desist proceeding, making findings, and imposing sanctions and cease and desist order (Order) against Joel R. Mogy Investment Counsel, Inc. (Adviser) and Joel R. Mogy (Mogy). The Adviser is a registered investment adviser and Mogy is its president and owner. The Commission simultaneously accepted Offers of Settlement from both respondents in which, without admitting or denying the Commission's findings, they consented to the entry of the Order.

The Order finds that: the Adviser, through Mogy, exercised investment discretion over accounts that held in excess of \$100 million in publicly traded equity securities on the last trading day of January for every year from 1993 to 2000; the Adviser was obligated to file Form 13Fs to report its equity holdings on a quarterly basis from February 1994 through August 2000 pursuant to Section 13(f) of the Securities Exchange Act of 1934 and Rule 13f-1 thereunder; and the Adviser failed to file any Form 13Fs during this period.

Pursuant to the Order: the Adviser and Mogy are censured, ordered to cease and desist from committing or causing violations of Section 13(f)(1) of the Exchange Act and Rule 13f-1 thereunder, and ordered to pay a penalty of \$12,500 each; and the Adviser is ordered to review its practices and procedures and submit a report describing measures it has adopted to ensure future compliance with Form 13F requirements. (Rel. 34-44268; IA-1941; File No. 3-10475)

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### **HOLDING COMPANY ACT RELEASES**

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## **CINERGY CORP.**

An order has been issued authorizing a proposal by Cinergy Corp. (Cinergy), a registered holding company, to engage in various energy-related activities outside the United States and to make adjustments to the capital stock, preferred stock or limited liability company membership interests (Equity Securities) of its wholly owned subsidiaries. The Commission has reserved jurisdiction over Cinergy's proposals to: (1) engage in energy commodity marketing and brokering outside the United States and Canada; (2) invest up to \$1 billion over a ten-year period in nonutility energy-related assets anywhere in the world; and (3) adjust the Equity Securities of subsidiaries that are not wholly owned by Cinergy. (Rel. 35-27393)

## **NORTHEAST UTILITIES**

A notice has been issued giving interested persons until May 24 to request a hearing on a proposal by Northeast Utilities (NU), a registered holding company, to issue guarantees and other forms of credit support (Guarantees), not to exceed \$45 million, in order to guarantee obligations undertaken by Holyoke Water Power Company (HWP), a utility subsidiary of NU, under a series of reimbursement agreements (Reimbursement Agreements) entered into between HWP and various banks. The Reimbursement Agreements were executed in connection with the issuance and sale of pollution control revenue bonds. Authorization for the issuance of the Guarantees is requested through June 30, 2004. (Rel. 35-27394)

## **NATIONAL GRID GROUP PLC, ET AL.**

A notice has been issued giving interested persons until May 29 to request a hearing on a proposal by National Grid Group plc (National Grid), a registered holding company, and its registered holding company subsidiaries (Intermediate Companies) National Grid (US) Holdings Limited, National Grid (US) Investments, National Grid (Ireland) 1 Limited, National Grid (Ireland) 2 Limited, National Grid General Partnership, and National Grid USA (collectively, Applicants). Applicants request authority for the following through May 31, 2003 (Authorization Period): (1) National Grid to increase the aggregate amount of convertible bonds that it may issue to \$2 billion; (2) National Grid and its direct and indirect subsidiaries that are outside of the National Grid USA ownership chain (FUCO Subsidiaries) to loan to the Intermediate Companies and National Grid USA; and (3) for the Intermediate Companies to enter into currency derivatives with National Grid and the FUCO Subsidiaries. (Rel. 35-27395)

## **ALABAMA POWER COMPANY ET AL.**

A notice has been issued giving interested persons until May 29 to request a hearing on a proposal by Alabama Power Company (Alabama), Georgia Power Company (Georgia), Gulf Power Company (Gulf), Mississippi Power Company (Mississippi) and Savannah Electric and Power Company (Savannah), all utility subsidiary companies of The

Southern Company, a registered holding company. Alabama requests authority for an extension of time during which it may issue previously authorized preferred securities through June 30, 2007 (Authorization Period). Georgia, Gulf, Mississippi and Savannah request increases in the aggregate amount of their existing authority to issue securities and a time extension to issue these securities through the Authorization Period. (Rel. 35-27395)

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## SELF-REGULATORY ORGANIZATIONS

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### IMMEDIATE EFFECTIVENESS OF PROPOSED RULE CHANGES

A proposed rule change filed by NASD Regulation (SR-NASD-2001-23) revising the General Securities Principal (Series 24) and Corporate Securities Limited Representative (Series 62) Examinations has become effective under Section 19(b)(3)(A)(i) of the Securities Exchange Act of 1934. Publication of the proposal is expected in the Federal Register during the week of May 7. (Rel. 34-44248)

A proposed rule change filed by NASD Regulation (SR-NASD-2001-22) revising the Investment Company Products/Variable Contracts Limited Principal (Series 26) Examination has become effective under Section 19(b)(3)(A)(i) of the Securities Exchange Act of 1934. Publication of the proposal is expected in the Federal Register during the week of May 7. (Rel. 34-44249)

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

F-6 WOLSELEY PLC /ADR/, TIMOTHY F KEANEY BANK OF NY, 101 BARCLAY ST 22W,  
NEW YORK, NY 10286 (212) 815-2129 - 25,000,000 (\$1,250,000)  
DEPOSITARY RECEIPTS FOR COMMON STOCK. (FILE 333-13408 - APR. 27)  
(NEW ISSUE)

S-8 R H DONNELLEY CORP, ONE MANHATTANVILLE ROAD, PURCHASE, NY 10577  
(914) 933-6800 - 140,000 (\$3,703,000) COMMON STOCK. (FILE 333-59790 -  
APR. 30) (BR. 2)

S-8 MAY DEPARTMENT STORES CO, 611 OLIVE ST, ST LOUIS, MO 63101  
(314) 342-6300 - 16,500,000 (\$589,300,000) COMMON STOCK. (FILE 333-  
59792 -  
APR. 30) (BR. 2)

SB-2 CROSS GENETIC TECHNOLOGIES INC, 11921 FREEDOM DR, RESTON, VA 20190  
(703) 925-5912 - 11,008,000 (\$550,400) COMMON STOCK. (FILE 333-59794 -  
APR. 30) (BR. 9 - NEW ISSUE)

S-1 CEL SCI CORP, 8229 BOONE BLVD STE 802, VIENNA, VA 22182 (703) 506-  
9460  
- 3,000,800 (\$4,111,096) COMMON STOCK. (FILE 333-59798 - APR. 30) (BR.  
1)

S-2 AMERICA FIRST MORTGAGE INVESTMENTS INC, 399 PARK AVENUE, 36TH FLOOR,  
NEW YORK, NY 10022 (212) 935-8760 - 8,625,000 (\$60,288,750) COMMON  
STOCK.  
(FILE 333-59800 - APR. 30) (BR. 8)

S-8 ENERGEN CORP, 605 21ST STREET NORTH, BIRMINGHAM, AL 35203 (205) -32-  
6-27  
- 5,000,000 (\$5,000,000) COMMON STOCK. (FILE 333-59804 - APR. 30) (BR.  
2)

S-3 AGWAY INC, 333 BUTTERNUT DR, DEWITT, NY 13214 (315) 449-6431 - 4,000  
(\$100,000) STRAIGHT BONDS. 4,000 (\$100,000) PREFERRED STOCK. (FILE  
333-59808 - APR. 30) (BR. 4)

S-8 BIOSHIELD TECHNOLOGIES INC, 4405 INTERNATIONAL BOULEVARD, SUITE  
B109,  
NORCROSS, GA 30093 (770) 925-3432 - 7,000,000 (\$2,870,000) COMMON  
STOCK.  
(FILE 333-59810 - APR. 30) (BR. 2)

S-8 PLUM CREEK TIMBER CO INC, 999 THIRD AVE, STE 2300, SEATTLE, WA 98104  
(206) 467-3600 - 3,425,000 (\$85,539,375) COMMON STOCK. (FILE 333-59812  
-  
APR. 30) (BR. 8)

S-8 POLYCOM INC, 1565 BARBER LANE, MILPITAS, CA 95035 (408) 526-9000 -  
248,597 (\$1,369,730.95) COMMON STOCK. (FILE 333-59820 - APR. 30) (BR.  
3)

S-8 BOOTS & COOTS INTERNATIONAL WELL CONTROL INC, 777 POST OAK BLVD STE  
800,  
HOUSTON, TX 77056 (713) 621-7911 - 6,000,000 (\$3,990,000) COMMON STOCK.  
(FILE 333-59822 - APR. 30) (BR. 4)

SB-2 SOUTHERN CONNECTICUT BANCORP INC, 215 CHURCH STREET, NEW HAVEN, CT  
06510  
(203) 782-1100 - 1,000,000 (\$13,800,000) COMMON STOCK. (FILE 333-59824  
-  
APR. 30) (NEW ISSUE)

S-8 INTROGEN THERAPEUTICS INC, 301 CONGRESS AVE, SUITE 1850, AUSTIN, TX  
78701 (512) 708-9310 - 480,000 (\$1,617,600) COMMON STOCK. (FILE 333-  
59826  
- APR. 30) (BR. 1)

S-3 DONEGAL GROUP INC, 1195 RIVER RD PO BOX 302, MARIETTA, PA 17547  
(717) 426-1931 - 1,000,000 (\$10,825,000) COMMON STOCK. (FILE 333-59828  
-  
APR. 30) (BR. 1)

S-3 TELENETICS CORP, 25111 ARCTIC OCEAN, LAKE FOREST, CA 92630  
(949) 455-4000 - 4,190,297 (\$2,618,936) COMMON STOCK. (FILE 333-59830  
-  
APR. 30) (BR. 7)

S-8 HARSCO CORP, P O BOX 8888, CAMP HILL, PA 17001 (717) 763-7064 -  
61,097  
(\$1,702,606) COMMON STOCK. (FILE 333-59832 - APR. 30) (BR. 6)

S-4 FEDEX CORP, 942 SOUTH SHADY GROVE ROAD, MEMPHIS, TN 38120 (901) 369-  
3600  
- 750,000,000 (\$750,000,000) STRAIGHT BONDS. (FILE 333-59834 - APR.  
30)  
(BR. 5)

S-8 SOCKET COMMUNICATIONS INC, 37400 CENTRAL COURT, NEWARK, CA 94560  
(510) 744-2700 - 1,700,000 (\$5,428,000) COMMON STOCK. (FILE 333-59838  
-  
APR. 30) (BR. 3)

S-3 NORDSTROM INC, 1617 SIXTH AVENUE, SUITE 500, SEATTLE, WA 98101  
(206) 628-2111 - \$400,000,000 STRAIGHT BONDS. (FILE 333-59840 - APR.  
30)  
(BR. 2)

S-8 KANA COMMUNICATIONS INC, 740 BAY RD, REDWOOD CITY, CA 94063  
(650) 325-9850 - 10,000,000 (\$10,500,000) COMMON STOCK. (FILE 333-  
59842 -  
APR. 30) (BR. 8)

S-4 YOUNG BROADCASTING INC /DE/, 599 LEXINGTON AVENUE, NEW YORK, NY  
10022  
(212) 754-7070 - 500,000,000 (\$500,000,000) STRAIGHT BONDS. (FILE  
333-59848 - APR. 30) (BR. 7)

S-4 AMERICAN TOWER CORP /MA/, 116 HUNTINGTON AVE, BOSTON, MA 02116  
(617) 375-7500 - 1,000,000,000 (\$1,000,000,000) STRAIGHT BONDS. (FILE  
333-59852 - APR. 30) (BR. 7)

S-8 BURLINGTON NORTHERN SANTA FE CORP, 2650 LOU MENK DR, FT WORTH, TX  
76131  
(817) 352-6856 - 9,000,000 (\$256,590,000) COMMON STOCK. (FILE 333-  
59854 -  
APR. 30) (BR. 5)

S-8 WIRELESS TELECOM GROUP INC, EAST 64 MIDLAND AVE, PARAMUS, NJ 07652  
(201) 261-8797 - 1,500,000 (\$3,450,000) COMMON STOCK. (FILE 333-59856  
-  
APR. 30) (BR. 5)

S-8 AMERICAN IR TECHNOLOGIES INC, 3080 W POST ROAD, LAS VEGAS, NV 89118  
(702) 368-4571 - 555,520 (\$111,104) COMMON STOCK. (FILE 333-59858 -  
APR. 30) (BR. 1)

S-3 EL PASO CORP/DE, 1001 LOUISIANA ST, EL PASCO ENERGY BLDG, HOUSTON,  
TX  
77002 (713) 420-2131 - 133,690 (\$9,284,771) COMMON STOCK. (FILE 333-  
59870  
- MAY. 01) (BR. 2)

SB-2 RELAY MINES LTD, CLARION FINANZ AG P O BOX 7427, ZURICH 8023,  
SWITZERLAND, (411) 227-6000 - 2,000,000 (\$200,000) COMMON STOCK. (FILE  
333-59872 - MAY. 01) (NEW ISSUE)

N-2 GABELLI EQUITY TRUST INC, ONE CORP CENTER, RYE, NY 10580 (914) 921-  
5070  
- 40,000 (\$1,000,000) PREFERRED STOCK. (FILE 333-59874 - MAY. 01) (BR.  
22)

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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 FD Disclosure.

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		
ADAPTEC INC	DE					X	X				04/12/01	
ADELPHIA COMMUNICATIONS CORP	DE					X	X				04/25/01	
AETHER SYSTEMS INC	DE						X				04/16/01	AMEND
AFFILIATED MANAGERS GROUP INC	DE					X	X				05/04/01	
AMC ENTERTAINMENT INC	DE					X	X				06/28/01	
AMERICAN AIRLINES INC	DE								X		05/04/01	
AMERICAN EXPRESS CENTURION BANK	UT					X	X				04/16/01	
AMERICAN RETIREMENT CORP	TN								X		05/02/01	
AMERICAN RETIREMENT CORP	TN								X		05/04/01	
AMR CORP	DE								X		05/04/01	
ARENA RESOURCES INC	NV					X					04/26/01	
ASTORIA FINANCIAL CORP	DE							X	X		05/04/01	
AURORA BIOSCIENCES CORP	DE							X			03/01/01	AMEND
BANYAN STRATEGIC REALTY TRUST	MA					X	X				05/03/01	
BEAR STEARNS COMMERCIAL MORTGAGE SE CURITIES INC	DE					X	X				05/04/01	
BION ENVIRONMENTAL TECHNOLOGIES INC	CO					X	X				02/06/01	AMEND
BLACK HAWK GAMING & DEVELOPMENT CO INC	CO					X	X				04/25/01	
BLACKROCK INC /NY	DE					X	X				04/12/01	
BRAZOS SPORTSWEAR INC /DE/	DE					X	X				04/26/01	
BROOKTROUT INC	MA							X	X		05/04/01	
BUILDERS TRANSPORT INC	DE					X	X				04/26/01	
CALIFORNIA AMPLIFIER INC	DE					X					03/29/01	
CALIFORNIA AMPLIFIER INC	DE					X					03/29/01	
CAPITAL GAMING INTERNATIONAL INC /N J/	NJ					X					03/28/01	
CARRAMERICA REALTY CORP	MD							X	X		05/04/01	
CENDANT CORP	DE					X	X				04/19/01	
CHAPARRAL RESOURCES INC	DE					X	X				05/02/01	
CHARTER COMMUNICATIONS INC /MO/	DE					X	X				05/03/01	
CHASE COMMERCIAL MORTGAGE SECURITIE S CORP	NY					X	X				04/19/01	
CHITTENDEN CORP /VT/	VT						X				05/02/01	
CITICORP MORTGAGE SECURITIES INC	DE		X								05/04/01	
CITIZENS COMMUNICATIONS CO	DE					X	X				05/04/01	
COMMON GOAL HEALTH CARE PENSION & I NCOME FUND L P II	DE					X					04/20/01	
COMPUTER ASSOCIATES INTERNATIONAL I NC	DE								X		05/04/01	
CONNETICS CORP	DE		X					X			04/19/01	
CONTINENTAL AIRLINES INC /DE/	DE							X			04/19/01	
CRYOLIFE INC	FL								X		05/04/01	
CSX CORP	VA					X					05/04/01	
CWABS INC	DE					X	X				04/30/01	
DATRON SYSTEMS INC/DE	DE					X					05/04/01	
DBS HOLDINGS INC	NV					X	X				05/04/01	
DEL MONTE FOODS CO	DE					X	X				04/27/01	
DEL MONTE FOODS CO	DE					X	X				04/27/01	
DELTATHREE INC	DE					X	X				05/05/01	
DIMGROUP COM INC	IN		X								04/05/01	
DOLLAR GENERAL CORP	TN								X		04/16/01	

NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
ECI TELECOM LTD/						X			X		04/30/01	
ELECTRICAL GENERATION TECHNOLOGY CO RP	UT				X						05/03/01	AMEND
ELECTRONIC SYSTEMS TECHNOLOGY INC	WA					X			X		04/30/01	
ENTROPIN INC	CO					X					05/03/01	
ENTROPIN INC	CO					X					05/03/01	
EQUALNET COMMUNICATIONS CORP	TX		X			X	X	X			04/03/01	
EQUALNET COMMUNICATIONS CORP	TX					X		X			04/27/01	
EUROTELECOM COMMUNICATIONS INC						X					04/27/01	
FBR ASSET INVESTMENT CORP/VA	VA					X		X			04/03/01	
FIRST STERLING BANKS INC	GA					X		X			01/01/01	
FIRST USA BANK NATIONAL ASSOCIATION						X		X			04/10/01	
FISHER COMMUNICATIONS INC	WA		X					X			04/30/01	
FLEETBOSTON FINANCIAL CORP	RI					X		X			05/04/01	
FOAMEX CAPITAL CORP	DE					X		X			05/03/01	
FOAMEX INTERNATIONAL INC	DE					X		X			05/03/01	
FOAMEX L P	DE					X		X			05/03/01	
FRONTIER AIRLINES INC /CO/	CO							^			06/30/01	
FRONTIER NATIONAL CORP	AL		X								04/27/01	
GASCO ENERGY INC	NV					X		X			05/04/01	
GENERAL MAGIC INC	DE					X		X			05/02/01	
GLOBESPAN INC/DE	DE					X					05/04/01	
GREAT LAKES DREDGE & DOCK CORP	DE		X						X		04/24/01	
GREENE COUNTY BANCSHARES INC	TN							X	X		04/25/01	
HANOVER DIRECT INC	DE							X	X		05/04/01	
HARD ROCK HOTEL INC						X			X		04/30/01	
HUDSONS GRILL INTERNATIONAL INC	TX		X								02/06/01	
I LINK INC	FL							X	X		05/02/01	
IGENE BIOTECHNOLOGY INC	MD		X								04/30/01	
ILIVE INC/NV	NV		X								04/25/01	
INTERCOUNTY BANCSHARES INC	OH		X								05/04/01	
IVILLAGE INC	DE					X		X			05/03/01	
KANSAS CITY SOUTHERN INDUSTRIES INC	DE									X	03/31/01	
KEVCO INC	TX					X		X			05/02/01	
KEVCO INC	TX					X		X			05/03/01	
KEYPORT LIFE INSURANCE CO	MA		X								05/02/01	
KITTY HAWK INC	DE					X		X			04/20/01	
KUSHNER LOCKE CO	CA					X		X			05/07/01	
LARGE SCALE BIOLOGY CORP	DE					X		X			04/27/01	
LEARNINGSTAR CORP	DE					X		X			05/02/01	
LECHTERS INC	NJ					X					04/06/01	
LIBERTY FINANCIAL COMPANIES INC /MA /	MA					X		X			05/02/01	
LIFE ENERGY & TECHNOLOGY HOLDINGS I NC	DE					X					05/04/01	
LIVEPERSON INC	DE					X					04/30/01	
MAGNA ENTERTAINMENT CORP	DE					X		X			05/02/01	AMEND
MAJOR AUTOMOTIVE COMPANIES INC	NV					X		X			05/02/01	
MARINA LIMITED PARTNERSHIP	IN					X		X			04/26/01	
MATRIX BANCORP INC	CO							X			04/16/01	AMEND
MCK COMMUNICATIONS INC	DE		X								06/14/01	AMEND

NAME OF ISSUER	STATE	8K ITEM NO.									DATE	COMMENT
	CODE	1	2	3	4	5	6	7	8	9		
MEREDITH CORP	IA					X	X				05/02/01	
MERRILL LYNCH & CO INC	DE					X	X				05/01/01	
METHODE ELECTRONICS INC	DE		X			X	X				04/28/01	
METRIS COMPANIES INC	DE					X	X				05/04/00	
MINNESOTA MINING & MANUFACTURING CO	DE						X				05/04/01	
NATIONAL FUEL GAS CO	NJ					X	X				04/25/01	
NCO GROUP INC	PA						X				02/22/01	AMEND
NCO PORTFOLIO MANAGEMENT INC	DE						X				02/22/01	AMEND
NIKU CORP	DE					X	X				05/02/01	
NORTHPOINT COMMUNICATIONS GROUP INC	DE					X	X				05/04/01	
OMNI PARK PASS COM INC	NV		X			X	X				05/04/01	
ORIENTAL FINANCIAL GROUP INC	PR					X					05/01/01	
PEPSICO INC	NC					X	X				03/04/01	
PERRIGO CO	MI					X					05/03/01	
PHILADELPHIA CONSOLIDATED HOLDING C ORP	PA					X	X				05/04/01	
PHOENIX MEDICAL TECHNOLOGY INC	DE					X	X				04/18/01	
POINTE FINANCIAL CORP	FL		X				X				05/04/01	
PRIMUS TELECOMMUNICATIONS GROUP INC	DE					X	X				05/03/01	
PROFESSIONAL BENEFITS INSURANCE CO	TX						X				02/28/01	
PS BUSINESS PARKS INC/CA	CA						X	X			05/03/01	
QINNET COM INC	DE		X				X				04/23/01	
RADIO ONE INC	DE					X					05/03/01	
RADIOSHACK CORP	DE					X					05/04/01	
RCA TRADING CO INC	FL		X								05/14/01	
RCN CORP /DE/	DE						X	X			05/03/01	
READERS DIGEST ASSOCIATION INC	DE					X					03/31/01	
RECKSON ASSOCIATES REALTY CORP	MD						X	X			05/04/01	
RECKSON OPERATING PARTNERSHIP LP	DE						X	X			05/04/01	
REINHOLD INDUSTRIES INC/DE/	DE		X				X				04/20/01	
SALTON INC	DE					X	X				05/02/01	
SANGSTAT MEDICAL CORP	DE					X	X				05/04/01	
SHIRE PHARMACEUTICALS GROUP PLC						X	X				04/26/01	
SILICON VALLEY GROUP INC	DE					X	X				05/04/01	
SMITHFIELD COMPANIES INC	VA					X	X				04/30/01	
SODEXHO MARRIOTT SERVICES INC	DE					X	X				05/01/01	
SPARTAN STORES INC	MI							X			05/04/01	
STAN LEE MEDIA INC	CO					X		X			03/20/01	
STUDENT ADVANTAGE INC	DE					X	X				05/01/01	
SUBURBAN LODGES OF AMERICA INC	GA					X	X				05/04/01	
SUNTERRA CORP	MD					X	X				04/24/01	
SUSQUEHANNA MEDIA CO	DE					X	X				05/04/01	
TECHSYS INC	NJ					X	X				04/12/01	AMEND
TELIGENT INC	DE					X	X				04/27/01	
TENET HEALTHCARE CORP	NV					X					05/04/01	
UMBRELLA BANCORP INC	DE					X					04/30/01	
UNITED DOMINION REALTY TRUST INC	VA					X					04/30/01	
VARI L CO INC	CO					X		X			05/03/01	
VICORP RESTAURANTS INC	CO					X	X				05/02/01	
WAMU MORTGAGE PASS THROUGH CERT SER IES 2001-5	DE						X				05/04/01	

NAME OF ISSUER	STATE	8K ITEM NO.									DATE	COMMENT
	CODE	1	2	3	4	5	6	7	8	9		
WARREN S D CO /PA/	PA		X						X		05/04/01	
WASHINGTON GAS LIGHT CO	DC				X		X				05/04/01	
WASTEMASTERS INC	MD		X		X						05/03/01	
WEBLINK WIRELESS INC	DE				X		X				05/04/01	
WEINGARTEN REALTY INVESTORS /TX/	TX				X		X				05/01/01	
WELLS FARGO ASSET SEC CORP MOR PASS	NY				X		X				02/27/01	
THR CERT SER 2001-4												
WELLS FARGO AUTO RECEIVABLES CORP	DE				X						05/03/01	
WIND RIVER SYSTEMS INC	DE				X		X				05/03/01	
WINMAX TRADING GROUP INC	FL				X						03/07/01	