

# SEC NEWS DIGEST

Issue 2001-191

October 3, 2001

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## COMMISSION ANNOUNCEMENTS

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### **SEC POSTPONES CONSIDERATION OF AMENDMENTS TO BROKER-DEALER BOOKS AND RECORDS RULES**

The Commission has postponed consideration of a recommendation to adopt final amendments to its broker-dealer books and records rules, Rules 17a-3 and 17a-4 under the Securities Exchange Act of 1934, from its open meeting on October 3 to an open meeting on October 26 at 10 a.m.

As proposed, the amendments to Rule 17a-3 would clarify and expand recordkeeping requirements with respect to purchase and sale documents, customer records, associated person records, customer complaints, and certain other matters. The amendments to Rule 17a-4 would expand the types of records that broker-dealers must maintain and require broker-dealers to maintain or promptly produce certain records at each office to which those records relate. These amendments are designed to assist securities regulators, particularly state securities regulators, when conducting sales practice examinations of broker-dealers. These amendments were originally proposed on October 22, 1996 (see Exchange Act Release No. 37850, 61 FR 55593 (Oct. 28, 1996)), and were repropoed on October 2, 1998 (see Exchange Act Release No. 40518, 63 FR 54404 (Oct. 9, 1998)).

At times, changes in Commission priorities require alterations in the scheduling of meeting items. For further information and to ascertain what, if any, matters have been added, deleted or postponed, please contact: The Office of the Secretary at (202) 942-7070. (Press Rel. 2001-108)

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## ENFORCEMENT PROCEEDINGS

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## **SEC SETTLES CASE AGAINST CHIQUITA BRANDS INTERNATIONAL, INC.**

The Commission today issued a settled cease and desist order against Chiquita Brands International, Inc. in which the Commission finds that Chiquita violated the books and records -- Section 13(b)(2)(A) -- and internal accounting controls -- Section 13(b)(2)(B) -- provisions of the Securities Exchange Act of 1934 in connection with a payment to foreign customs officials by a wholly-owned foreign subsidiary of Chiquita. Without admitting or denying the Commission's findings, Chiquita consented to the entry of an order that requires Chiquita to cease and desist from violating those provisions. The Commission also filed a settled complaint in federal court seeking entry of a consent order requiring Chiquita to pay a \$100,000 civil penalty. Chiquita settled the action without admitting or denying the Commission's allegations.

The order finds that Chiquita violated the books and records and internal controls provisions as a result of the conduct of its Colombian subsidiary, Banadex. According to the order, without the knowledge or consent of any Chiquita employees outside Colombia and in contravention of Chiquita's policies, employees of Banadex authorized the payment of the equivalent of \$30,000 to local customs officials to secure renewal of a license at Banadex's Turbo, Colombia port facility. The subsidiary's books and records incorrectly identified the two installment payments, which were made in 1996 and 1997. In 1997, Chiquita's internal audit staff discovered the payment during an audit review and, after an internal investigation, Chiquita took corrective action which included terminating the responsible Banadex employees and reinforcing internal controls at Banadex. [SEC v. Chiquita Brands International, Inc., Civ. Action No. 1:01CV02079, D.D.C.] (LR-17169, AAE Rel. 1464); (Administrative Proceeding -- Rel. 34-44902, AAE Rel. 1463, File No. 3-10613)

## **ENDPOINT TECHNOLOGIES, INC., PRIORITYACCESS, INC., AND ROGER SHEARER ORDERED TO CEASE AND DESIST SECURITIES REGISTRATION VIOLATIONS RELATING TO "SPAM" E-MAILS**

The Commission today instituted and settled a cease and desist proceeding against Endpoint Technologies, Inc., PriorityAccess, Inc., and Roger Shearer, the president of both companies, finding that Endpoint, PriorityAccess and Shearer violated the registration provisions of the Securities Act of 1933 (Securities Act). According to the order, Endpoint and PriorityAccess are both development stage companies in Albany, New York, that generally solicited prospective investors in unregistered securities offerings using bulk e-mail or "spam."

Simultaneously with the institution of the cease and desist proceeding, the Commission accepted settlement offers made by Endpoint, PriorityAccess and Shearer, in which they agreed, without admitting or denying the allegations in the Commission's Order, to cease and desist from any future violations of Sections 5(a) and 5(c) of the Securities Act.

For tips on how to avoid Internet "pump-and-dump" stock manipulation schemes, visit <http://www.sec.gov/investor/online/pump.htm>. For more information about Internet fraud, visit <http://www.sec.gov/divisions/enforce/internet/enforce.htm>. To report suspicious activity involving possible Internet fraud, visit <http://www.sec.gov/complaint.shtml>. (Rel. 33-8021; File No. 3-10612)

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## **SELF-REGULATORY ORGANIZATIONS**

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### **APPROVAL OF PROPOSED RULE CHANGES**

The Commission approved a proposed rule change (SR-OCC-2001-02) filed by The Options Clearing Corporation under Section 19(b)(1) of the Exchange Act. The order allows OCC to amend OCC Rule 604(d) to allow Nasdaq SmallCap Market securities to be deposited as margin collateral and make other certain technical changes to the rule. Publication of the proposal is expected in the Federal Register during the week of October 1. (Rel. 34-44848)

The Commission approved a proposed rule change submitted under Rule 19b-4 by the Chicago Board Options Exchange (SR-CBOE-2001-33) relating to step-up from the Designated Primary Market Maker's autoquote price. (Rel. 34-44862)

The Commission approved a proposed rule change, and Amendment No. 1 thereto, filed under Rule 19b-4 of the Securities Exchange Act of 1934 by the Philadelphia Stock Exchange (SR-Phlx-99-52) adopting Rule 51, enforcement of capital funding fee. Publication of the order is expected in the Federal Register during the week of October 1. (Rel. 34-44872)

The Commission approved a proposed rule change submitted under Section 19(b)(1) and Rule 19b-4 of the Securities Exchange Act of 1934 by the Municipal Securities Rulemaking Board (SR-MSRB-2001-06) relating to an informational service to provide a Daily Comprehensive Report, pursuant to Rule G-14. (Rel. 34-44894)

### **IMMEDIATE EFFECTIVENESS OF PROPOSED RULE CHANGES**

A proposed rule change (SR-Amex-2001-59) filed by the American Stock Exchange relating to the adoption of new Exchange Rule 324 concerning written records of member compensation arrangements has become effective under Section 19(b)(3)(A) of the Securities Exchange Act of 1934. Publication of the proposal is expected in the Federal Register during the week of October 1. (Rel. 34-44861)

A proposed rule change filed by the National Association of Securities Dealers (SR-NASD-2001-58) under Section 19(b)(1) of the Securities Exchange Act of 1934 amending NASD Code of Procedure Rule 9216 and NASD Code of Procedure Rule 9270

to replace review by the Office of General Counsel with review by the Office of Disciplinary Affairs of proposed acceptance, waivers, and consents, proposed minor rule violation letters, and offers of settlement has become effective under Section 19(b)(3)(A) of the Act. Publication of the proposal is expected in the Federal Register during the week of October 1. (Rel. 34-44867)

A proposed rule change filed by the Chicago Board Options Exchange (SR-CBOE-2001-51) modifying payment of exchange dues from quarterly to monthly has become immediately effective under Section 19(b)(3)(A) of the Securities Exchange Act of 1934. Publication of the proposal is expected in the Federal Register during the week of October 1. (Rel. 34-44885)

A proposed rule change filed by the New York Stock Exchange (SR-NYSE-2001-37) extending the pilot regarding shareholder approval of stock option plans until January 11, 2002 has become effective under Section 19(b)(3)(A) of the Securities Exchange Act of 1934. Publication of the proposal is expected in the Federal Register during the week of October 1. (Rel. 34-44886)

A proposed rule change filed with the Commission by the American Stock Exchange amending Exchange Rule 220 to allow floor brokers to accept orders at the specialist's post (SR-Amex-2001-83) has become immediately effective under Section 19(b)(3)(A) of the Securities Exchange Act of 1934. Publication of the proposal is expected in the Federal Register during the week of October 1. (Rel. 34-44889)

A proposed rule change filed by the American Stock Exchange, and Amendment No.1, and Amendment No. 2 thereto, relating to the temporary amendment of Exchange Rule 220 (SR-Amex-2001-82) has become effective under Section 19(b)(3)(A) of the Securities Exchange Act of 1934. Publication of the proposal is expected in the Federal Register during the week of October 1. (Rel. 34-44890)

A proposed rule change filed by the Chicago Board Options Exchange relating to the extension of the Rapid Opening System Pilot Program (SR-CBOE-2001-52) has become effective under Section 19(b)(3)(A) of the Securities Exchange Act of 1934. Publication of the proposal is expected in the Federal Register during the week of October 1. (Rel. 34-44891)

A proposed rule change filed by the Philadelphia Stock Exchange (SR-Phlx-2001-83) relating to credits for options specialist shortfall fees has become effective under Section 19(b)(3)(A) of the Exchange Act. Publication of the proposal is expected in the Federal Register during the week of October 1. (Rel. 34-44892)

A proposed rule change filed by the Philadelphia Stock Exchange (SR-Phlx-2001-85) relating to the elimination of equity option transaction charges for facilitation transactions has become effective under Section 19(b)(3)(A) of the Exchange Act. Publication of the

proposal is expected in the Federal Register during the week of October 1. (Rel. 34-44893)

### **ACCELERATED APPROVAL OF PROPOSED RULE CHANGE**

The Commission approved, on an accelerated basis, proposed rule changes submitted by the Philadelphia Stock Exchange (SR-Phlx-2001-91), pursuant to Rule 19b-4, to facilitate the orderly resumption of trading of non-Phlx American Stock Exchange options on the Amex facility. Publication is expected in the Federal Register during the week of October 1. (Rel. 34-44887)

### **WITHDRAWAL GRANTED**

An order has been issued granting the application of Moog Inc. to withdraw its Class A and B Common Stock, \$1.00 par value, from listing and registration on the American Stock Exchange effective September 25, 2001. (Rel. 34-44836)

### **DELISTINGS GRANTED**

An order has been issued granting the application of the American Stock Exchange to strike from listing and registration certain underlying securities as option classes, effective at the opening of business on September 28, 2001. (Rel. 34-44863)

An order has been issued granting the application of the American Stock Exchange to strike from listing and registration certain underlying securities as option classes, effective at the opening of business on September 28, 2001. (Rel. 34-44866)

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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 CREDIT SUISSE GROUP /ADR/, NUESCHELERSTRASSE 1, ZURICH 8021, NY  
10286  
(011) 411-2121 - 50,000,000 (\$2,500,000)  
DEPOSITARY RECEIPTS FOR COMMON STOCK. (FILE 333-13926 - SEP. 21) (BR.  
99)

S-8 CELLTECH GROUP PLC /ENG/, 10 ST JAMES ST, LONDON SW1A 1EF ENGLAND,  
X0 -  
300,000 (\$3,063,000) FOREIGN COMMON STOCK. (FILE 333-13928 - SEP. 21)  
(BR. 1)

F-6 AMCOR LTD /ADR/, 30 WEST BROADWAY, MORGAN GUARANTY TRUST CO OF NY,  
NEW YORK, NY 10015 (212) 587-6018 - 50,000,000 (\$2,500,000)  
DEPOSITARY RECEIPTS FOR COMMON STOCK. (FILE 333-13930 - SEP. 21) (BR.  
99)

S-8 NOKIA CORP, KEILALAHDENTIE 4, P O BOX 226, ESPOO FINLAND, H9  
(035) 801-8071 - 3,700,000 (\$56,277,000) FOREIGN COMMON STOCK. (FILE  
333-13932 - SEP. 24) (BR. 7)

F-6 JSC MMCNORILSK NICKEL, 111 SOUTH CALVERT ST STE 1600, BALTIMORE, MD  
21202 (410) 659-2700 - 100,000,000 (\$5,000,000)  
DEPOSITARY RECEIPTS FOR COMMON STOCK. (FILE 333-13936 - SEP. 25)

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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		
AAMES FINANCIAL CORP/DE	DE								X		07/31/01	
ABLEAUCTIONS COM INC	FL	X							X		09/13/01	
ACT TELECONFERENCING INC	CO							X	X		09/21/01	
ADELPHIA COMMUNICATIONS CORP	DE					X	X				09/28/01	
ADVANCE TECHNOLOGIES INC	NV					X					10/02/01	

NAME OF ISSUER	STATE	8K ITEM NO.									DATE	COMMENT
	CODE	1	2	3	4	5	6	7	8	9		
AEARO CORP	DE					X					09/30/01	
AEROCENTURY IV INC	CA					X					10/01/01	
AGL RESOURCES INC	GA					X					09/26/01	
ALADDIN GAMING HOLDING LLC	NV					X	X				09/28/01	
ALICO INC	FL					X					08/31/02	
ALLBERRY INC	DE					X					10/02/01	
AMERICAN AMMUNITION INC	NV	X	X					X			10/02/01	AMEND
AMERICAN BUSINESS FINANCIAL SERVICE S INC /DE/	DE					X		X			09/26/01	
AMERICAN CRYSTAL SUGAR CO /MN/	MN								X		10/02/01	
AMERICAN RESTAURANT GROUP INC	DE					X	X				10/02/01	
AMERICREDIT FINANCIAL SERVICES INC	DE		X			X	X				09/05/01	
AMPERSAND MEDICAL CORP	DE		X					X			09/17/01	
AMTRAN INC	IN					X	X				10/01/01	
ANNALY MORTGAGE MANAGEMENT INC	MD					X	X				09/26/01	
APPLEBEES INTERNATIONAL INC	DE								X		10/02/01	
APPLEBEES INTERNATIONAL INC	DE					X			X		10/02/01	
APW LTD						X	X				09/27/01	
ART TECHNOLOGY GROUP INC	DE					X	X				09/26/01	
ASCENT PEDIATRICS INC	DE					X	X				10/01/01	
ASSISTED LIVING CONCEPTS INC	NV			X		X	X				10/01/01	
AUDIOVOX CORP	DE					X	X				09/26/01	
AUGMENT SYSTEMS INC	DE	X				X					08/31/01	
BANK ONE CORP	DE					X	X				09/28/01	
BANK ONE CORP	DE					X	X				10/01/01	
BARTON BEERS LTD	MD					X					10/02/01	
BARTON BRANDS LTD /DE/	DE					X					10/02/01	
BARTON BRANDS OF CALIFORNIA INC	CT					X					10/02/01	
BARTON BRANDS OF GEORGIA INC	GA					X					10/02/01	
BARTON CANADA LTD	DE					X					10/02/01	
BARTON DISTILLERS IMPORT CORP	NY					X					10/02/01	
BARTON FINANCIAL CORP	DE					X					10/02/01	
BARTON INC	DE					X					10/02/01	
BATAVIA WINE CELLARS INC	NY					X					10/02/01	
BEI MEDICAL SYSTEMS CO INC /DE/	DE					X					10/01/01	
BETHLEHEM STEEL CORP /DE/	DE							X	X		10/01/01	
BICO INC/PA	PA					X					09/27/01	
BOMBARDIER CAPITAL MORTGAGE SECURIT IZATION CORP SER 1998-A	DE							X			08/31/01	
BOMBARDIER CAPITAL MORTGAGE SECURIT IZATION CORP SER 1998-A	DE							X			08/31/01	
BOMBARDIER CAPITAL MORTGAGE SECURIT IZATION CORP SER 1998-B	DE							X			08/31/01	
BOMBARDIER CAPITAL MORTGAGE SECURIT IZATION CORP SER 1998-B	DE							X			08/31/01	
BOMBARDIER CAPITAL MORTGAGE SECURIT IZATION CORP SER 1998-C	DE							X			08/31/01	
BOMBARDIER CAPITAL MORTGAGE SECURIT IZATION CORP SER 2000-A	DE							X			08/31/01	
BOMBARDIER CAPITAL MORTGAGE SECURIT IZATION CORP SER 2001-A	DE							X			08/31/01	

NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
BOMBARDIER CREDIT RECEIVABLES CORP SERIES 1997-1	DE								X		08/31/01	
BOMBARDIER CREDIT RECEIVABLES CORP SERIES 2000-1	DE								X		08/31/01	
BRAZOS SPORTSWEAR INC /DE/	DE					X			X		09/26/01	
CALIBER LEARNING NETWORK INC	MD					X			X		08/22/01	
CANADA SOUTHERN PETROLEUM LTD	CT					X					09/14/01	AMEND
CANANDAIGUA B V	DE					X					10/02/01	
CANANDAIGUA EUROPE LTD	NY					X					10/02/01	
CANANDAIGUA LTD	NY					X					10/02/01	
CANANDAIGUA WINE CO INC /NY/	NY					X					10/02/01	
CANTEL MEDICAL CORP	DE		X						X		09/07/01	AMEND
CAPITAL DIRECTIONS INC	MI					X			X		10/01/01	
CARBIDE GRAPHITE GROUP INC /DE/	DE			X		X			X		09/21/01	
CECS CORP	DE					X					10/01/01	AMEND
CECS CORP	DE					X					10/01/01	AMEND
CENDANT CORP	DE					X			X		10/01/01	
CHARTER COMMUNICATIONS INC /MO/	DE					X			X		10/02/01	
CHASE CREDIT CARD MASTER TRUST	NY					X			X		09/17/01	
CHASE CREDIT CARD MASTER TRUST	NY					X			X		09/17/01	
CHASE FUNDING INC	NY					X			X		10/01/01	
CHASE MANHATTAN BANK /NY/	NY					X			X		09/17/01	
CHASE MANHATTAN BANK /NY/	NY					X			X		09/17/01	
CHASE MANHATTAN BANK USA	DE					X			X		09/17/01	
CHASE MANHATTAN BANK USA	DE					X			X		09/17/01	
CHASE MANHATTAN HOME EQUITY LOAN TR UST 1995-1	NY					X			X		09/17/01	
CHASE MANHATTAN MARINE OWNER TRUST 1997-A	NY					X			X		09/17/01	
CHASE MANHATTAN RV OWNER TRUST 1997 -A	DE					X			X		09/17/01	
CHEC FUNDING LLC	DE					X			X		08/25/01	
CHEC FUNDING LLC	DE					X			X		09/25/01	
CHEC FUNDING LLC	DE					X			X		09/25/01	
CHELSEA PROPERTY GROUP INC	MD		X						X		09/25/01	
CIT GROUP INC	DE					X			X	X	09/28/01	
CLOUD PEAK CORP	DE					X					10/02/01	
CMI INDUSTRIES INC	DE					X			X		09/25/01	
COLUMBIALUM LTD	NV		X						X		09/27/01	
COMPAQ COMPUTER CORP	DE					X			X		10/01/01	
CONSTELLATION BRANDS INC	DE					X					10/02/01	
CONTINENTAL AIRLINES INC /DE/	DE					X					09/27/01	
CONTINENTAL AIRLINES INC /DE/	DE					X			X		10/01/01	
COPELCO CAPITAL FUNDING CORP XI	DE					X					10/01/01	
COPELCO CAPITAL FUNDING LLC 98-1						X					10/01/01	
COPELCO CAPITAL FUNDING LLC 99-B						X					10/01/01	
COPELCO CAPITAL FUNDING LLC 99-1	DE					X					10/01/01	
COPELCO CAPITAL RECEIVABLES LLC	DE					X					10/01/01	
COPELCO CAPITOL FUNDING TRUST 1998- A	DE					X					10/01/01	
CORPORATE VISION INC /OK	OK		X	X					X		10/02/01	AMEND
CRESTLINE CAPITAL CORP	MD			X					X		09/27/01	



NAME OF ISSUER	STATE	8K ITEM NO.									DATE	COMMENT	
	CODE	1	2	3	4	5	6	7	8	9			
CTC COMMUNICATIONS GROUP INC	DE					X						10/02/01	
DAIMLERCHRYSLER AUTO TRUST 2001-C	DE					X	X					09/18/01	
DERBY CYCLE CORP	DE					X						09/27/01	
DIGITAL CREATIVE DEVELOPMENT CORP	UT				X		X					09/28/01	
EASYLINK SERVICES CORP	DE					X	X					09/25/01	
EASYLINK SERVICES CORP	DE					X	X					09/25/01	AMEND
EATON VANCE CORP	MD		X				X					10/02/01	
ENDOCARDIAL SOLUTIONS INC	DE						X	X				10/02/01	
EOG RESOURCES INC	DE					X			X			10/02/01	
EPIMMUNE INC	DE					X	X					10/02/01	
ESB FINANCIAL CORP	PA					X	X					10/01/01	
FC BANC CORP	OH				X		X					10/02/01	AMEND
FEDERAL MOGUL CORP	MI			X		X						10/01/01	
FIDELITY NATIONAL INFORMATION SOLUTIONS INC	DE					X		X				09/25/01	
FIRST REAL ESTATE INVESTMENT TRUST OF NEW JERSEY	NJ						X					09/30/01	
FIRST SCIENTIFIC INC	DE					X						09/25/01	
FIRST UNION COM MOR SEC INC COM MOR PASS THR CER SER 2001-C1	NY	X										09/28/01	
FIRST UNION COMM MORT TRUST COMM MOR R PAS THR CER SER 1999-C4	NY	X										09/28/01	
FIRST UNION COMM MORT TRUST COMM MOR R PAS THR CER SER 2000-C1	NY	X										09/28/01	
FIRSTFED AMERICA BANCORP INC	DE					X	X					10/01/01	
FORD MOTOR CO	DE					X	X					10/02/01	
FORD MOTOR CREDIT CO	DE					X	X					10/02/01	
FRANCISCAN VINEYARDS INC	DE					X						10/02/01	
FRONTIER ADJUSTERS OF AMERICA INC	AZ	X					X					09/28/01	
FUSION MEDICAL TECHNOLOGIES INC	DE					X						10/02/01	
GB HOLDINGS INC	DE					X	X					09/28/01	
GB PROPERTY FUNDING CORP	DE					X	X					09/28/01	
GENERAL DYNAMICS CORP	DE					X	X					09/28/01	
GENERAL ELECTRIC CO	NY					X	X					10/02/01	
GENERAL MAGIC INC	DE					X	X					09/26/01	
GENERAL MOTORS CORP	DE					X						10/02/01	
GENOMIC SOLUTIONS INC	DE					X	X					10/01/01	
GENUITY INC	DE					X	X					09/24/01	
GLOBAL PAYMENTS INC	GA					X						09/30/01	
GLOBAL PREFERRED HOLDINGS INC	DE					X	X					09/27/01	
GLOBESPAN INC/DE	DE					X						12/31/01	
GREATE BAY HOTEL & CASINO INC	NJ					X	X					09/28/01	
GREEN MACHINE DEVELOPMENT CORP	FL		X			X	X					10/01/01	
GREENE COUNTY BANCSHARES INC	TN					X	X					09/26/01	
GULFMARK OFFSHORE INC	DE								X			10/02/01	
GULFTEX ENERGY CORP	TX	X	X			X	X					09/19/01	
HEALTHCARE REALTY TRUST INC	MD						X	X	X			10/02/01	
HEMAGEN DIAGNOSTICS INC	DE					X	X					09/21/01	
HIGH SPEED ACCESS CORP	DE					X	X					09/28/01	
HOOKEE FURNITURE CORP	VA					X	X					10/01/01	
HORIZON HEALTH CORP /DE/	DE					X						10/02/01	
IDAHO POWER CO	ID					X	X					10/01/01	

NAME OF ISSUER	STATE	8K ITEM NO.									DATE	COMMENT	
	CODE	1	2	3	4	5	6	7	8	9			
IDX SYSTEMS CORP	VT					X						09/28/01	
IEH CORPORATION	NY					X						09/21/03	
ILLUMINET HOLDINGS INC	DE					X	X					10/01/01	
IMC GLOBAL INC	DE					X						09/28/01	
IMPAC MORTGAGE HOLDINGS INC	MD								X			10/01/01	
INDEPENDENCE COMMUNITY BANK CORP	DE					X	X	X				09/28/01	
INSILCO HOLDING CO	DE					X		X				09/24/01	AMEND
INSILCO TECHNOLOGIES INC	DE					X		X				09/24/01	AMEND
INTEGRITY INC	DE					X		X				09/26/01	
INTERNATIONAL KNIFE & SAW INC	DE			X				X				09/24/01	
INTERNET CAPITAL GROUP INC	DE								X			10/01/01	
IOMEGA CORP	DE					X	X					10/01/01	
IRVINE SENSORS CORP/DE/	DE					X	X					09/14/01	
IRWIN FINANCIAL CORPORATION	IN					X	X					10/01/01	
KANSAS CITY POWER & LIGHT CO	MO					X						10/01/01	
KERR MCGEE CORP /DE	DE					X	X					10/02/01	
KIEWIT ROYALTY TRUST	NE				X			X				09/28/01	
KITTY HAWK INC	DE					X	X					10/01/01	
LACLEDE GROUP INC	MO					X						10/01/01	
LEHMAN ABS CORP	DE					X	X					09/01/01	
LEHMAN ABS CORP	DE					X	X					09/15/01	
LEHMAN ABS CORP	DE					X	X					09/19/01	
LEHMAN BROTHERS HOLDINGS INC	DE							X				10/02/01	
LEXENT INC	DE					X						10/01/01	
LEXINGTON PRECISION CORP	DE					X	X					10/01/01	
LIFEPOINT HOSPITALS INC	DE						X	X		X		09/28/01	
LIFEPOINT HOSPITALS INC	DE							X		X		10/01/01	
LIFEPOINT INC	DE		X									12/31/01	
LIGHTPATH TECHNOLOGIES INC	DE						X	X				09/28/01	
LONE STAR TECHNOLOGIES INC	DE					X						10/01/01	
LYON INVESTMENTS B V	DE					X						09/27/01	
M J LEWIS CORP	DE					X						10/02/01	
M WAVE INC	DE					X	X					09/28/01	
MARGATE INDUSTRIES INC	DE					X						09/28/01	
MATTHEWS STUDIO EQUIPMENT GROUP	CA			X								08/31/01	
MAXTOR CORP	DE					X	X					09/26/01	
MCMS INC /DE/	DE			X		X	X					09/18/01	
MEDIA & ENTERTAINMENT COM INC	NV		X					X				09/29/01	
MEDICIS PHARMACEUTICAL CORP	DE					X	X					10/01/01	
MELLON AUTO GRANTOR TRUST 2000-2						X	X					09/17/01	
MERCATOR SOFTWARE INC	DE					X						09/26/01	
MGM MIRAGE	DE					X	X					10/01/01	
MICROSTRATEGY INC	DE					X						09/28/01	
MID AMERICA APARTMENT COMMUNITIES I NC	TN									X		10/01/01	
MILACRON INC	DE						X	X				09/27/01	
MONARCH IMPORT CO	IL					X						10/02/01	
MONONGAHELA POWER CO /OH/	OH					X	X					10/02/01	
MORGAN STANLEY DEAN WITTER CAP I IN C DEP FOR SER 2001-TOP1	DE	X										09/28/01	
MOTIENT CORP	DE								X			10/01/01	
MRV COMMUNICATIONS INC	DE					X	X					09/26/01	

NAME OF ISSUER	STATE	8K ITEM NO.									DATE	COMMENT
	CODE	1	2	3	4	5	6	7	8	9		
MT VEEDER CORP	DE					X					10/02/01	
MYTRAVELGUIDE COM INC	NV	X	X					X			09/14/01	
NATIONAL HEALTH & SAFETY CORP	UT							X			01/22/01	AMEND
NCH CORP	DE					X		X			10/01/01	
NCO GROUP INC	PA					X		X			09/26/01	
NCO PORTFOLIO MANAGEMENT INC	DE					X		X			09/26/01	
NEORX CORP	WA					X		X			10/01/01	
NETGATEWAY INC	DE					X		X			10/02/01	
NEXT GENERATION TECHNOLOGY HOLDINGS INC	DE					X		X			09/18/01	
NITTANY FINANCIAL CORP	PA					X		X			09/28/01	
OAKHURST CO INC	DE					X		X			07/31/01	AMEND
OAKHURST CO INC	DE				X						09/25/01	
OFFICE DEPOT INC	DE							X		X	10/02/01	
OLIN CORP	VA							X		X	10/01/01	
ORBITAL SCIENCES CORP /DE/	DE					X					09/24/01	
PACIFIC GAS & ELECTRIC CO	CA					X		X			10/02/01	
PAPER WAREHOUSE INC	MN					X		X			09/17/01	
PDG ENVIRONMENTAL INC	DE		X					X			06/21/01	AMEND
PENTASTAR COMMUNICATIONS INC	DE					X		X			09/28/01	
PEOPLES BANCSHARES INC	MA					X		X			10/01/01	
PEOPLES FINANCIAL CORP \OH\	OH					X					10/02/01	
PG&E CORP	CA					X		X			10/02/01	
PHILIP SERVICES CORP/DE	DE					X		X			10/01/01	
PIRANHA INC	DE					X					09/26/01	
PLUM CREEK TIMBER CO INC	DE							X		X	10/01/01	
POLYPHENOLICS INC	NY					X					10/02/01	
PRIME GROUP REALTY TRUST	MD					X					09/26/01	
PRIMEDEX HEALTH SYSTEMS INC	NY					X					09/21/01	
PROFESSIONAL BENEFITS INSURANCE CO	TX							X			08/31/01	
PROGENICS PHARMACEUTICALS INC	DE							X		X	10/01/01	
RAVENSWOOD WINERY INC	CA					X					10/02/01	
RAYTEL MEDICAL CORP	DE					X		X			09/28/01	
RAYTEL MEDICAL CORP	DE					X		X			09/28/01	AMEND
RENT WAY INC	PA					X					10/02/01	
RESIDENTIAL ACCREDIT LOANS INC	DE					X		X			09/25/01	
RESIDENTIAL ACCREDIT LOANS INC	DE					X		X			09/25/01	
RESIDENTIAL ASSET FUNDING CORP	NC		X					X			09/17/01	
RESIDENTIAL ASSET MORTGAGE PRODUCTS INC	DE					X		X			10/01/01	
RESIDENTIAL ASSET SECURITIES CORP	DE					X		X			09/25/01	
RESIDENTIAL FUNDING MORTGAGE SECURI TIES I INC	DE					X		X			09/25/01	
RESIDENTIAL FUNDING MORTGAGE SECURI TIES II INC	DE					X		X			09/25/01	
RESOURCE BANCSHARES MORTGAGE GROUP INC	DE					X					09/14/01	
RIGHTON INTERNATIONAL CORP	DE					X					10/01/01	
RIGHT START INC /CA	CA		X								09/05/01	AMEND
RMED INTERNATIONAL INC	CO							X			10/01/01	
ROBERTS TRADING CORP	NY					X					10/02/01	
ROBOTIC VISION SYSTEMS INC	DE					X					10/01/01	

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	CODE	1	2	3	4	5	6	7	8	9		
RSA SECURITY INC/DE/	DE					X		X			10/01/01	
SAFEWAY INC	DE										X 09/28/01	
SALOMON BROS MORT SEC VII INC SALO MORT LN TR SER 2001-CPB1	DE					X		X			09/25/01	
SCIENTIFIC GAMES CORP	DE										X 10/01/01	
SECOND BANCORP INC	OH					X					10/01/01	
SECURITY FINANCIAL BANCORP INC	DE					X		X			09/28/01	
SELECT MEDICAL CORP	DE					X		X			09/17/01	
SENIOR HOUSING PROPERTIES TRUST	MD					X		X			09/21/01	
SERVICE MERCHANDISE CO INC	TN					X		X			07/30/01	
SHOCHET HOLDING CORP		X									09/14/01	
SILICON IMAGE INC	DE							X			06/07/01	AMEND
SILICON VALLEY BANCSHARES	DE					X		X			09/28/01	
SIMULA INC	AZ					X		X			10/01/01	
SOUTH ALABAMA BANCORPORATION INC	AL					X		X			09/28/01	
SPALDING HOLDINGS CORP	DE					X					10/02/01	
STANDARD COMMERCIAL CORP	NC									X	10/01/01	
STEEL CITY PRODUCTS INC	DE					X					09/25/01	
STERLING BANCSHARES INC	TX					X		X			10/01/01	
STEVENS POINT BEVERAGE CO	WI					X					10/02/01	
STOCKWALK GROUP INC /MN/	MN			X							10/01/01	
STRUCTURED ASSET SECURITIES CORP MO RT PAS THR CERT SER 01 7A	DE					X		X			09/25/01	
STRUCTURED SECURITIES ASSET CORP MO RT PAS THR CERT SER 01 4A	DE					X		X			09/25/01	
TALX CORP	MO							X		X	10/01/01	
TCPI INC	FL							X			09/25/01	
TEREX CORP	DE					X					10/02/01	
THAON COMMUNICATIONS INC	NV					X					09/26/01	
TICKETMASTER	DE							X		X	10/01/01	
TMP WORLDWIDE INC	DE					X		X			10/02/01	
TRANSWITCH CORP /DE	DE					X		X			09/17/01	
TRANSWITCH CORP /DE	DE					X		X			09/24/01	
TRAVLANG INC	DE							X			06/15/00	AMEND
TRIAD HOSPITALS INC	DE					X		X			10/01/01	
TRIPLE S PARTS INC /NV/	NV					X		X			08/24/01	AMEND
UACSC 2001-C OWNER TRUST	NY					X		X			09/28/01	
UNITEDGLOBALCOM INC	DE									X	10/01/01	
UNIVERSAL HEALTH SERVICES INC	DE					X		X			09/26/01	
US ONCOLOGY INC	DE					X		X		X	09/30/01	
USA BROADBAND INC	DE		X					X			07/18/01	AMEND
USA NETWORKS INC	DE							X		X	10/02/01	
VACATION OWNERSHIP MARKETING INC	DE					X					09/25/01	
VALLEY NATIONAL BANCORP	NJ					X					09/28/01	
VALUESTAR CORP	CO					X		X			10/02/01	
VEECO INSTRUMENTS INC	DE		X								09/17/01	AMEND
VEECO INSTRUMENTS INC	DE		X								09/17/01	AMEND
VERDANT BRANDS INC	MN					X		X			06/27/01	
VIALINK CO	DE							X		X	09/28/01	
VOICEFLASH NETWORKS INC	FL				X						10/01/01	
WEBVAN GROUP INC	DE		X	X				X			09/21/01	
WESTFIELD AMERICA INC	MO					X		X			09/28/01	

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WIRE ONE TECHNOLOGIES INC	DE		X					X			07/17/01	AMEND
WIZZARD SOFTWARE CORP /CO	CO					X		X			09/14/01	
WODFI LLC	FL					X					09/15/01	
WORLD OMNI AUTO RECEIVABLES LLC	DE					X					08/31/01	
XEROX CORP	NY					X					10/02/01	
YARDVILLE NATIONAL BANCORP	NJ					X		X			09/28/01	AMEND
1STOPSALE COM HOLDINGS INC	DE	X						X			09/17/01	