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# SEC NEWS DIGEST

Issue 2001-197

October 12, 2001

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## COMMISSION ANNOUNCEMENTS

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### EASING OF ISSUER REPURCHASE RESTRICTIONS TO END; WILL NOT BE RENEWED

On September 28, 2001, the Commission issued an exemptive order temporarily easing certain restrictions of Rule 10b-18 and giving relief from pooling of interest provisions for issuers repurchasing their own common stock. The relief provided in that order expires October 12, 2001, and will not be renewed.

The SEC will continue to staff hotlines for investors and market participants. Investors can e-mail questions to the SEC staff at [help@sec.gov](mailto:help@sec.gov). The toll-free investor telephone number is 1-800-SEC-0330. Firms seeking additional information about the Financial Responsibility Rules should call the SEC staff at 202-942-7891, 202-942-7892 or 202-942-7893. All other firm inquiries should be directed to 202-942-0069. (Press Rel. 2001-111)

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## ENFORCEMENT PROCEEDINGS

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### JAMES BINGE BARRED

James L. Binge has been barred from association with any broker or dealer. The sanction was ordered in an administrative proceeding before an administrative law judge.

Binge was permanently enjoined from future violations of Sections 5(a), 5(c), and 17(a) of the Securities Act of 1933 and Section 10(b) of the Securities Exchange Act of 1934 and Rule 10b-5 thereunder in the United States District Court for the Southern District of Florida. Binge declined to defend the administrative proceeding.

Based on the permanent injunction, the law judge barred Binge from association with any broker or dealer. (Rel. 34-44901; File No. 3-10526)

## CRIMINAL ACTION AGAINST FRANK PEITZ, ET AL.

On October 9, a grand jury in the U.S. District Court for the Northern District of Illinois (Eastern Division) returned an indictment against Frank L. Peitz, Daniel B. Benson, Peter A. Loutos, Sr., Robert D. Paladino, Randall W. Law and Monica M. Iles. The indictment arises from the offer and sale of a fraudulent prime bank trading program through Lennox Investment Group, Ltd., an entity owned and controlled by Law, and the subsequent misappropriation of funds collected from investors. The indictment charges each defendant with eight counts of wire fraud and further charges Peitz, Benson, Loutos and Paladino with seven counts each of money laundering and one count each of conspiracy to commit money laundering.

The indictment charges that the defendants raised over \$11 million from at least 30 investors through the offer and sale of a purported "Small Investment High-Yield Program." The defendants obtained investor funds through material misstatements and omissions, including the following: (1) investor funds would be used in the international trading of bank instruments; (2) investor funds would be held in an escrow account or that collateral of equal value would insure the safety of investor funds; (3) investor principal was guaranteed; (4) investors would receive returns of 122 per cent per week for forty weeks during the one year term of their investment; and (5) the trading program was regulated and approved by governmental entities such as the Federal Reserve and the International Monetary Fund. In fact, the indictment charges, the purported trading program did not exist and investor funds were not used to trade banking instruments. Rather, the defendants systematically disbursed investor funds for the benefit of themselves and their designees.

The indictment is based on the same conduct alleged in a civil action brought by the Commission's Fort Worth District Office in June 1998. [*SEC v. Lennox Investment Group, Ltd., et al.*, USDC/ND/TX [Fort Worth Division], Civil Action No. 498-CV-536-Y]. The Commission's complaint, filed June 22, 1998, alleged that Peitz, Benson, Law, and Iles, among others, violated the antifraud and securities registration provisions of the federal securities laws by engaging in the scheme described in the October 9, 2001 indictment. Specifically, the Commission complaint charged these defendants with violations of Section 5(a), 5(c) and 17(a) of the Securities Act of 1933 and Section 10(b) of the Securities Exchange Act of 1934 and Rule 10b-5 thereunder. The Commission's complaint named Paladino, among others, as a relief defendant, alleging that he was unjustly enriched through the receipt of funds and assets derived from investors. [Lit. Rel. 15789, June 24, 1998.]

The Commission has obtained Final Judgments against all defendants and relief defendants named in its civil action. However, a receiver appointed by the Court is continuing his efforts to marshal and conserve funds and assets on behalf of defrauded investors.

Unscrupulous promoters continue to victimize the public with Prime Bank schemes. Accordingly, investors are advised to access the Commission's "Prime Bank" Investor Alert that provides tips on how to avoid being a victim of these scams. The investor alert can be found on the Commission's web site, at [www.sec.gov/pbank/pbnkhome.htm](http://www.sec.gov/pbank/pbnkhome.htm). [U.S. v. Frank L. Peitz, Daniel B. Benson, Peter A. Loutos, Sr., Robert D. Paladino, Randall W. Law, and Monica M. Iles, Criminal Action No. 01CR0852, N.D. Ill., Eastern Division] (LR-17181)

## **SEC FILES CIVIL FRAUD CHARGES IN THREE PHONY OFFSHORE TRADING PROGRAMS**

On October 10, the Commission filed civil fraud charges in federal district court in Dallas, Texas, against Gerard Chiarella, an alleged Internet investment swindler operating from Congers, New York. The Commission charged Chiarella with conducting an Internet investment scheme that defrauded approximately 325 investors throughout the United States of over \$82,000 from February through July of this year. According to the complaint, Chiarella operated the scheme using several fictitious businesses, including Freedom in 14 Days, WVM Financial Group, and Minda Trading Group. Chiarella offered and sold investments under these names using Internet websites and spam e-mail. The offerings included interests in phony offshore trading programs and promised investors extraordinary returns—ranging from 100% to 200% per week—with little or no risk, the complaint said. The complaint further alleged that these investments were, in every case, pure shams.

In its complaint, the Commission alleged that Chiarella violated the following provisions of the federal securities laws: (1) the antifraud provisions, at Section 17(a) of the Securities Act of 1933 (Securities Act), Section 10(b) of the Securities Exchange Act of 1934, and Rule 10b-5 thereunder; and (2) the registration provisions, at Sections 5(a) and 5(c) of the Securities Act. The complaint sought a permanent injunction from future violations of the foregoing provisions of the federal securities laws, an order requiring the defendant to disgorge all wrongfully obtained profits, including prejudgment interest, and a civil money penalty. Chiarella has agreed to all relief sought by the Commission in its complaint. The penalty and disgorgement amounts will be determined in further court proceedings. [SEC v. Gerard Chiarella, individually and doing business as Freedom in 14 Days, WVM Financial Group, and Minda Trading Group, Case No. 3:01-CV-2037-G, USDC, Northern District of Texas, Dallas Division. (LR-17182)]

## **21<sup>ST</sup> CENTURY SATELLITE COMMUNICATIONS, INC. AND TWO OF ITS PRINCIPALS SETTLE SEC CIVIL ACTION INVOLVING FRAUDULENT \$23 MILLION PROMISSORY NOTE OFFERING**

The Commission announced that on September 28, 2001, it filed a civil complaint against 21<sup>st</sup> Century Satellite Communications, Inc. (21<sup>st</sup> Century) for engaging in the fraudulent and unregistered sale of approximately \$23 million in securities to investors nationwide.

The complaint also named as defendants two senior officers of 21<sup>st</sup> Century, Robert S. Byrch and Spencer G. Tyrrell. Simultaneously, and without admitting or denying the allegations against them, 21<sup>st</sup> Century, Byrch and Tyrrell settled the cases against them by agreeing to permanent injunctions and other relief.

According to the complaint, between 1997 and September 2000, 21<sup>st</sup> Century sold approximately \$23 million worth of promissory notes and purchase-leaseback agreements to more than 700 investors across the country. The company purported to sell the notes in order to purchase satellite television equipment that the company would use to install, maintain, and service private satellite television systems for closed communities throughout northern and central Florida. 21<sup>st</sup> Century's offering materials claimed that the investments were fully secured by the value of the equipment purchased with the investors' funds. In fact, the investments were not fully secured; in addition, the company used approximately \$6.1 million of investors' funds to pay undisclosed commissions to the sales agents who sold the securities. Most of these sales agents were independent insurance agents located in Florida and other parts of the United States, who sold the investments to their clients.

In September 2000, 21<sup>st</sup> Century defaulted on its promissory note payments, and the company filed voluntarily for reorganization under Chapter 11 of the United States Bankruptcy Code on May 8, 2001.

Without admitting or denying any of the allegations in the SEC's complaint, 21<sup>st</sup> Century, Byrch and Tyrrell agreed to settle the charges by consenting to the entry of permanent injunctive relief from further violations of the securities registration and antifraud provisions of the federal securities laws, specifically Sections 5(a), 5(c) and 17(a) of the Securities Act of 1933 and Section 10(b) of the Securities Exchange Act of 1934 and Rule 10b-5 thereunder. In addition, 21<sup>st</sup> Century consented to disgorge \$6,110,736, representing the investor funds paid to the agents who sold 21<sup>st</sup> Century securities, which the SEC will seek to enforce in the bankruptcy proceedings. Finally, Byrch agreed to pay civil money penalties of \$25,000, with the civil money penalties to be paid by Tyrrell, if any, to be determined by the Court. The Court entered final judgments against 21<sup>st</sup> Century, Byrch and Tyrrell on October 3, 2001.

For more information about promissory note fraud, please visit [www.sec.gov/investor/pubs/promise.htm](http://www.sec.gov/investor/pubs/promise.htm). The SEC thanks the State of Florida Department of Banking and Finance, Division of Securities for its assistance with this matter. [SEC v. 21<sup>st</sup> Century Satellite Communications, Inc., Robert Byrch and Spencer Tyrrell, No. 8:01CV1875-T-30, TGW] (LR-17183)

## **SEC SETTLES CIVIL ACTION AGAINST TWO PRINCIPALS OF INTERNATIONAL CURRENCY CONSULTANTS, INC.**

The Commission announced that on September 28, 2001, the United States District Court for the Southern District of Florida entered a final judgment of permanent injunction, and

imposed civil money penalties of \$15,000 each, against William S. Cordo and Mitchell Davis. Cordo and Davis consented to the entry of the injunction and the imposition of the civil money penalties without admitting or denying any of the allegations in the Commission's complaint against them.

In a complaint filed on May 15, 2000, the SEC alleged that Cordo and Davis engaged in an unregistered securities offering through a firm they owned, International Currency Consultants, Inc. (ICC) of Boca Raton, Florida. The complaint alleged that from about May 1998 to May 1999, ICC sold approximately \$1.7 million worth of unregistered securities to investors using a boiler-room operation established by Cordo and Davis. In addition to requiring Cordo and Davis to pay civil money penalties of \$15,000 each, the final judgment permanently enjoins Cordo and Davis from further violations of Sections 5(a) and 5(c) of the Securities Act of 1933.

The SEC would like to acknowledge the valuable assistance of the Texas State Securities Board in its investigation of this matter. [SEC v. William S. Cordo, Mitchell S. Davis and John A. Blount, Civil Action No. 00-08392-CIV-RYSKAMP, S.D. Florida, West Palm Beach Division] (LR-17184)

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## SELF-REGULATORY ORGANIZATIONS

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### IMMEDIATE EFFECTIVENESS OF PROPOSED RULE CHANGE

A proposed rule change (SR-NFA-2001-02) filed by the National Futures Association clarifying the interpretive notice regarding obligations to customers and other market participants relating to securities futures products has become effectiveness under Section 19(b)(7) of the Securities Exchange Act of 1934. Publication of the proposal is expected in Federal Register during the week of October 15. (Rel. 34-44917)

A proposed rule change (SR-NASD-2001-71) filed by the National Association of Securities Dealers, through its subsidiary The Nasdaq Stock Market, Inc., to modify the SuperSOES use fees and the liquidity provider rebate, institute a quotation update charge, and introduce a mechanism for sharing market data revenue with certain NASD members, has become effective under Section 19(b)(3)(A)(ii) of the Securities Exchange Act of 1934. Publication of the proposal is expected in the Federal Register during the week of October 15. (Rel. 34-44918)

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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>.

- S-8 PECHINEY, 10 PLACE DES VOSGES, LADEFENSE 5, 92400 COURBEVOIE, IO  
(312) 399-3000 - 50,000 (\$1,897,500) FOREIGN COMMON STOCK. (FILE  
333-13982 - OCT. 04) (BR. 6)
- S-8 CABLE & WIRELESS PUBLIC LIMITED CO, NEW MERCURY HOUSE,  
26 RED LION SQUARE, LONDON ENGLAND WC1R 4UQ, X0 00000 (703) 847-4835 -  
48,941,093 (\$245,500,734.08) OTHER SECURITIES INCLUDING VOTING TRUST.  
(FILE 333-13984 - OCT. 04) (BR. 7)
- S-3 AMERICAN HONDA RECEIVABLES CORP, 700 VAN NESS AVENUE,  
C/O AMERICAN HONDA RECIEVABLES CORP, TORRANCE, CA 90501 (310) 781-4318  
  
1,000,000 (\$1,000,000) EQUIPMENT TRUST CERTIFICATES. (FILE 333-71022 -  
OCT. 05) (BR. 8)
- S-8 JOY GLOBAL INC, 100 EAST WISCONSIN AVE SUITE 2780, MILWAUKEE, WI  
53201  
(414) 486-6400 - 5,556,000 (\$82,228 800) COMMON STOCK. (FILE 333-71024  
  
OCT. 05) (BR. 5)
- S-3 SYNAPTIC PHARMACEUTICAL CORP, 215 COLLEGE RD, PARAMUS, NJ 07652  
(201) 261-1331 - 7,564,584 (\$35,024,023.92) COMMON STOCK. (FILE 333-  
71026  
- OCT. 05) (BR. 1)
- S-3 MADISON GAS & ELECTRIC CO, 133 S BLAIR ST, PO BOX 1231, MADISON, WI  
53701 (608) 252-7923 - 100,000,000 (\$100,000,000) COMMON STOCK. (FILE  
333-71038 - OCT. 05) (BR. 2)
- S-3 MANPOWER INC /WI/, 5301 N IRONWOOD RD, MILWAUKEE, WI 53217  
(414) 961-1000 - 435,367,000 (\$240,540,240) COMMON STOCK. (FILE 333-  
71040  
- OCT. 05) (BR. 8)
- S-1 SAXON CAPITAL INC, 4800 COX ROAD, GLEN ALLEN, VA 23060 (804) 967-  
3825 -  
28,050,100 (\$283,306,010) COMMON STOCK. (FILE 333-71052 - OCT. 05)  
(NEW ISSUE)

- S-8 MICHAELS STORES INC, 8000 BENT BRANCH DR, PO BOX 619566, IRVING, TX 75063 (214) 714-7000 - 87,500 (\$3,099,250) COMMON STOCK. (FILE 333-71054 - OCT. 05) (BR. 2)
- S-2 IMAGING DIAGNOSTIC SYSTEMS INC /FL/, 6531 NW 18TH COURT, PLANTATION, FL 33313 (305) 746-0500 - 9,875,000 (\$6,418,750) COMMON STOCK. (FILE 333-71058 - OCT. 05) (BR. 5)
- S-3 TMP WORLDWIDE INC, 622 THIRD AVE, NEW YORK, NY 10017 (212) 977-4200 - 2,827,140 (\$77,633,264.40) COMMON STOCK. (FILE 333-71062 - OCT. 05) (BR. 2)
- S-8 PROGINET CORP, 200 GARDEN CITY PLZA, STE 220, GARDEN CITY, NJ 11530 (516) 248-2117 - 2,500,000 (\$700,000) COMMON STOCK. (FILE 333-71068 - OCT. 05) (BR. 3)
- S-4 HERBST GAMING INC, 3440 WEST RUSSELL ROAD, LAS VEGAS, NV 89118 (702) 740-4576 - 170,000,000 (\$170,000,000) COMMON STOCK. (FILE 333-71094 - OCT. 05) (NEW ISSUE)
- S-8 POWER ONE INC, 740 CALLE PLANO, CAMARILLO, CA 93012 (805) 987-8741 - 2,750,000 (\$15,771,250) COMMON STOCK. (FILE 333-71100 - OCT. 05) (BR. 5)
- S-8 ELIZABETH ARDEN INC, 14100 NW 60TH AVE, MIAMI LAKES, FL 33014 (305) 818-8000 - 3,000,000 (\$40,238,737.50) COMMON STOCK. (FILE 333-71110 - OCT. 05) (BR. 2)

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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	8K ITEM NO.									DATE	COMMENT
	CODE	1	2	3	4	5	6	7	8	9		
AAON INC	NV					X	X				09/04/01	
ACT TELECONFERENCING INC	CO						X	X			10/05/01	
ACT TELECONFERENCING INC	CO						X	X			10/10/01	
ADEPT TECHNOLOGY INC	DE					X	X				10/09/01	
ADVANCED MICRO DEVICES INC	DE					X	X				10/05/01	
AGENCY COM LTD	DE					X	X				10/01/01	
AIRPLANES LTD	DE					X					10/11/01	
AIRPLANES US TRUST	DE					X					10/11/01	
AK STEEL HOLDING CORP	DE					X	X				10/04/01	
ALLETE INC	MN					X					10/10/01	
ALLIANCE CAPITAL MANAGEMENT HOLDING LP	DE							X	X		10/11/01	
ALLIANCE CAPITAL MANAGEMENT L P	DE							X	X		10/11/01	
ALLION HEALTHCARE INC	DE					X					10/10/01	
ALLOY ONLINE INC	DE							X			08/02/01	AMEND
AMERIRESOURCE TECHNOLOGIES INC	DE		X								09/25/01	
AMSURG CORP	TN						X	X			10/10/01	
ANCHOR GLASS CONTAINER CORP /NEW	DE					X	X				10/05/01	
APOGENT TECHNOLOGIES INC	WI					X	X				10/11/01	
APPLIED EXTRUSION TECHNOLOGIES INC /DE	DE					X	X				10/08/01	
APPLIED EXTRUSION TECHNOLOGIES INC /DE	DE					X	X				10/08/01	AMEND
ARDENT COMMUNICATIONS INC	DE		X				X				10/10/01	
ARIAD PHARMACEUTICALS INC	DE						X	X			10/11/01	
ASSET BACKED FDG CORP C BASS MTG LN AS NKD CRT SER 2001-CB1	DE						X				09/25/01	
ATLANTIC COAST AIRLINES HOLDINGS INC	DE					X					10/09/01	
AVANI INTERNATIONAL GROUP INC //	NV						X				09/26/01	
AVIGEN INC \DE	DE					X	X				10/08/01	
BALDWIN TECHNOLOGY CO INC	DE		X				X				09/26/01	
BANK OF AMERICA CORP /DE/	DE					X	X				10/03/01	
BANK OF GRANITE CORP	DE					X	X				10/09/01	
BB&T CORP	NC					X					09/30/01	
BENTLEY COMMUNICATIONS CORP/DE	DE		X				X				07/23/01	AMEND
BICO INC/PA	PA					X					10/09/01	
BIOMARIN PHARMACEUTICAL INC	DE					X					10/10/01	
BLACK WARRIOR WIRELINE CORP	DE					X	X				09/14/01	
BLIMPIE INTERNATIONAL INC	NJ					X	X				10/08/01	AMEND
BUILDERS TRANSPORT INC	DE					X	X				09/25/01	
CAN CAL RESOURCES LTD	NV					X					10/04/01	
CAN CAL RESOURCES LTD	NV					X					10/04/01	AMEND
CANADIAN DERIVATIVES CLEARING CORP						X	X				09/07/01	
CANDELA CORP /DE/	DE					X	X				10/10/01	
CANTERBURY CONSULTING GROUP INC	PA		X								09/28/01	
CAPITAL ONE MASTER TRUST	VA					X	X				10/10/01	
CARAUSTAR INDUSTRIES INC	NC						X	X			10/10/01	
CHARTER COMMUNICATIONS HOLDINGS CAPITAL CORP	DE					X	X				10/09/01	
CHARTER COMMUNICATIONS HOLDINGS LLC	DE					X	X				10/09/01	
CHARTER COMMUNICATIONS INC /MO/	DE					X	X				10/09/01	



NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
CHASE MORTGAGE FINANCE CORP	DE		X						X		09/26/01	
CHEMICAL CONSORTIUM HOLDINGS INC	DE					X	X				10/09/01	
CINEMASTAR LUXURY THEATERS INC	CA				X	X					09/20/01	
CITIZENS & NORTHERN CORP	PA				X	X					09/30/01	
CLEVELAND CLIFFS INC	OH								X		10/10/01	
COCA COLA ENTERPRISES INC	DE						X		X		10/10/01	
COLLINS & AIKMAN CORP	DE		X					X			09/21/01	AMEND
COMPUDYNE CORP	NV					X					10/10/01	
CONSOLIDATED NATURAL GAS CO/VA	DE					X	X				10/11/01	
COPPER VALLEY MINERALS LTD	NV	X			X	X	X				09/26/01	
CRAY INC	WA				X	X					10/01/01	
CREDIT SUISSE FIR BOS SEC CORP CSFB PS THRU CERT SER 2001-S6						X	X				09/25/01	
CRIIMI MAE FINANCIAL CORP	MD					X					10/01/01	
CSFB MORTGAGE PASS THROUGH CERTIFIC ATES SERIES 2001 HE20	DE							X			09/25/01	
CSFB MORTGAGE PASS THROUGH CERTIFIC ATES SERIES 2001-HE16	DE					X	X				09/25/01	
CVEO CORP	MA					X	X				10/01/01	
DAIMLERCHRYSLER AUTO TRUST 2001 B	DE					X	X				10/11/01	
DAIMLERCHRYSLER AUTO TRUST 2001-A						X	X				10/11/01	
DELIAS CORP	DE					X	X				10/05/01	
DEVON ENERGY CORP/DE	DE					X	X				10/04/01	
DIAL CORP /NEW/	DE					X	X				10/10/01	
DIGITAL CREATIVE DEVELOPMENT CORP	UT				X		X				09/28/01	AMEND
DIVERSIFIED PRODUCT INSPECTIONS INC	FL				X		X				07/10/01	AMEND
DOW JONES & CO INC	DE							X	X		10/11/01	
DTI HOLDINGS INC	MO					X					09/25/01	
DUSA PHARMACEUTICALS INC	NJ					X	X				10/10/01	
E LOAN INC	DE					X	X				10/09/01	
EB2B COMMERCE INC /NY/	NJ					X					09/27/01	
EDGE PETROLEUM CORP	DE				X		X				10/04/01	
EDISON INTERNATIONAL	CA					X					10/08/01	
EDUCATION MANAGEMENT CORPORATION			X				X				09/26/01	
ELECTRONIC DATA SYSTEMS CORP /DE/	DE						X		X		10/04/01	
ELITE TECHNOLOGIES INC /TX/	TX				X						10/11/01	AMEND
EMACHINES INC /DE/	DE					X	X				06/25/01	
ENCHIRA BIOTECHNOLOGY CORP	DE					X	X				10/10/01	
ENERCORP INC	CO	X						X			09/26/01	
EUROTECH LTD	DC					X	X				09/21/01	
FEDERAL TRUST CORP	FL				X						09/28/01	
FINISAR CORP	DE					X	X				10/10/01	
FIRST ALLIANCE CORP /DE/	DE					X	X				10/10/01	
FIRST CHARTER CORP /NC/	NC							X	X		10/10/01	
FLORIDA POWER & LIGHT CO	FL								X		10/10/01	
FORD MOTOR CO	DE					X	X				10/10/01	
FORD MOTOR CREDIT CO	DE					X	X				10/10/01	
FPL GROUP INC	FL								X		10/10/01	
FREQUENCY ELECTRONICS INC	DE					X					10/01/01	
FREQUENCY ELECTRONICS INC	DE					X					10/01/01	AMEND
FRONTIER NATIONAL CORP	AL					X					10/08/01	AMEND
FUNDTECH LTD									X		10/10/01	

NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
GASCO ENERGY INC	NV								X	X	10/04/01	
GASCO ENERGY INC	NV								X	X	10/11/01	
GASEL TRANSPORTATION LINES INC	OH	X			X	X					10/10/01	
GENESEE CORP	NY				X	X					10/10/01	
GENESISINTERMEDIA INC	DE				X						10/08/01	
GENOMICA CORP /DE/	DE				^	X					10/02/01	
GLAS-AIRE INDUSTRIES GROUP LTD	NV				X						10/01/01	
GRAND ENTERPRISES INC/DE	DE					X					04/18/01	AMEND
HARRAHS ENTERTAINMENT INC	DE				X	X					10/10/01	
HARTMARX CORP/DE	DE					X					08/10/01	AMEND
HEALTHCENTRAL COM	DE				X	X					10/09/01	
HEI INC	MN				X						10/10/01	
HILLENBRAND INDUSTRIES INC	IN				X	X					10/10/01	
HONEYWELL INTERNATIONAL INC	DE				X						10/02/01	
IASIS HEALTHCARE CORP	DE					X		X			10/09/01	
IBEAM BROADCASTING CORP	DE		X		X	X					10/11/01	
IMC GLOBAL INC	DE				X						10/11/01	
IMPAC SECURED ASSETS CORP	CA					X					09/25/01	
INC UBATOR CAPITAL INC	DE	X				X					09/26/01	
INFOWAVE SOFTWARE INC						X	X				05/08/01	
INFOWAVE SOFTWARE INC						X	X				05/08/01	
INSIGHTFUL CORP	DE	X				X					09/25/01	
INTEGRA INC	DE					X					07/27/01	AMEND
INTELEFILM CORP	MN				X	X					09/13/01	
INTELEFILM CORP	MN					^	X				10/05/01	
INTROGEN THERAPEUTICS INC								X			09/26/01	
INVESTORS CAPITAL HOLDINGS LTD	MA		X			X					10/11/01	AMEND
INVESTORS FINANCIAL SERVICES CORP	DE							X			10/11/01	
JNS MARKETING INC	CO				X						10/10/01	
JONES APPAREL GROUP INC	PA					X	X	X			10/11/01	
KANKAKEE BANCORP INC	DE				X	X					10/10/01	
KANSAS CITY SOUTHERN INDUSTRIES INC	DE					X	X	X			10/10/01	
KONOVER PROPERTY TRUST INC	MD	X			X	X					09/25/01	
LABORATORY CORP OF AMERICA HOLDINGS	DE							X			10/10/01	
LASER VISION CENTERS INC	DE					X					08/31/01	AMEND
LEARNINGSTAR CORP	DE				X	X					10/10/01	
LEARN2 CORP	DE	X				X					09/25/01	
LEHMAN ABS CORP	DE				X	X					09/15/01	
LEVEL 3 COMMUNICATIONS INC	DE				X			X			10/09/01	
LIQUIDIX INC	FL	X	X								09/26/01	
LONE STAR TECHNOLOGIES INC	DE				X	X					10/08/01	
LUMENON INNOVATIVE LIGHTWAVE TECHNOLOGY INC	DE				X	X					10/09/01	
MACQUARIE SECURITISATION LTD	DE	X				X					09/27/01	
MAII HOLDINGS INC	TX				X	X					10/10/01	
MASTER ASSET SECURITIZATION TRUST 2	DE				X	X					09/28/01	
001 1												
MASTR ADJUSTABLE RATE MORTGAGES TRUST 2001-1	DE				X	X					09/28/01	
MBNA AMERICA BANK NATIONAL ASSOCIATION	DE				X	X					08/31/01	AMEND

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		1	2	3	4	5	6	7	8	9		
MBNA AMERICA BK NAT ASSOC MBNA MAST ER CREDIT CARD TRUST II						X	X				08/31/01	AMEND
MBNA CORP	MD					X	X				10/11/01	
MEDICAL INCOME PROPERTIES 2A LTD PA RTNERSHIP	DE					X					10/03/01	
MEDICAL INCOME PROPERTIES 2B LTD PA RTNERSHIP	DE					X					10/03/01	
MELLON BANK N A	MA					X					10/09/01	
MELLON BANK PREMIUM FINANCE LOAN MA STER TRUST	NY					X					10/09/01	
MELLON PREMIUM FINANCE LOAN OWNER T RUST	DE					X					10/09/01	
MERRILL LYNCH DEPOSITOR INC PREFERR EDPLUS TRUST SER QWS- 1	DE					X	X				10/09/01	
MESSAGEMEDIA INC	DE					X	X				10/10/01	
METROMEDIA FIBER NETWORK INC	DE					X	X				10/01/01	
MICRO GENERAL CORP	DE					X					10/10/01	
MIDWAY AIRLINES CORP	DE					X	X				10/10/01	
MITY ENTERPRISES INC	UT							X	X		10/09/01	
MORTGAGE PASS THROUGH CERTIFICATES SERIES 2001-1	DE					X	X				10/01/01	
MORTGAGE PASS- THROUGH CERTIFICATES SERIES 2001-9	DE					X	X				10/01/01	
MRS FIELDS HOLDING CO INC						X	X				08/31/01	
MRS FIELDS ORIGINAL COOKIES INC	DE					X	X				08/31/01	
MSDW STRUCTURED SATURNS SERIES 2001 2	DE							X			10/01/01	
MSDW STRUCTURED SATURNS SERIES 2001 -6	DE							X			10/01/01	
MTS INC	CA					X	X				10/08/01	
MUZAK LLC	DE	X									10/10/01	
NETNATION COMMUNICATIONS INC	DE					X					10/09/01	
NETWORKS ASSOCIATES INC/ NEW COMMERCE BANCORP	DE								X		10/11/01	
NORTHEAST UTILITIES SYSTEM	SC					X	X				10/01/01	
OPTION CARE INC/DE	MA								X		10/11/01	
PACER TECHNOLOGY	DE							X			09/05/01	AMEND
PANTHER TELECOMMUNICATIONS CORP	CA		X					X			09/28/01	
PANTRER TELECOMMUNICATIONS CORP	FL					X	X	X			10/09/01	
PASS THROUGH CERTIFICATES SERIES 2 001-MS10	DE					X	X				10/01/01	
PEAK INTERNATIONAL LTD	DO					X		X			10/11/01	
PEPSICO INC	NC					X	X				10/10/01	
PHAR MOR INC	PA					X					10/09/01	
PNC MORTGAGE SEC CORP MORT PASS THR CERT SER 2001-2	DE					X	X				10/01/01	
POPULAR INC	PR					X	X				10/10/01	
PROMETHEUS INCOME PARTNERS	CA					X					10/03/01	
PSA INC /NV	NV		X					X			09/26/01	
PUBLIC SERVICE CO OF NEW MEXICO	NM								X		09/30/01	
QUAD SYSTEMS CORP /DE/ R TEC TECHNOLOGIES INC	DE	X									10/10/01	
RAILAMERICA INC /DE	NJ					X		X			10/08/01	
	DE					X		X			10/03/01	

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		1	2	3	4	5	6	7	8	9		
REDBACK NETWORKS INC	DE					X					10/11/01	
REGENT GROUP INC /DE	DE				X			X			10/10/01	
RENAISSANCE WORLDWIDE INC	MA					X					10/10/01	
RENT A CENTER INC DE	DE					Y				X	10/08/01	
RESIDENTIAL ACCREDIT LOANS INC	DE							X			09/27/01	
RESIDENTIAL ACCREDIT LOANS INC	DE							X			09/27/01	
RESIDENTIAL ACCREDIT LOANS INC	DE							X			10/10/01	
RESIDENTIAL FUNDING MORTGAGE SECURI TIES I INC	DE							X			09/27/01	
RHYTHMS NET CONNECTIONS INC	DE		X					X			10/09/01	
ROBERDS INC	OH					X		X			09/20/01	
RWB MEDICAL INCOME PROPERTIES 1 LTD PARTNERSHIP	LA					X					10/03/01	
SAKS INC	TN					X		X			10/04/01	
SAN HOLDINGS INC	CO					X		X			10/10/01	
SANGUI BIOTECH INTERNATIONAL INC	CO					X					10/08/01	
SEARS ROEBUCK & CO	NY					X		X			10/11/01	
SHEFFIELD PHARMACEUTICALS INC	DE					X		X			10/01/01	
SHOCHET HOLDING CORP						X					10/10/01	AMEND
SINA COM			X					X			09/28/01	
SL INDUSTRIES INC	NJ					X		X			10/10/01	
SMUCKER J M CO	OH					X		X			10/09/01	
SONUS NETWORKS INC	DE					Y		X			09/26/01	
SPACE LAUNCHES FINANCING INC	NV				X						09/04/01	
SPARTA SURGICAL CORP	DE					X					10/11/01	
SPARTAN STORES INC	MI							X		X	10/11/01	
SPEEDFAM IPEC INC	IL					X		X			10/05/01	
STOCKGROUP COM HOLDINGS INC	CO					X					09/20/01	
STREAMEDIA COMMUNICATIONS INC	DE				X			X			09/30/01	AMEND
STRUCTURED ASSET SEC CORP MORT PASS THR CERT SER 2001-10A	DE					X		X			08/27/01	
STRUCTURED ASSET SEC CORP MORT PASS THR CERT SER 2001-10A	DE					X		X			09/25/01	
STRUCTURED ASSET SECURITIES CORP MO RT PA TH CERT SER 2001-8A	DE					X		X			09/25/01	
SUN BANCORP INC /NJ/	NJ					X		X			10/09/01	
SUNSOURCE INC	DE		X					X			09/25/01	
SUNTRUST BANKS INC	GA					X					10/10/01	
SUNTRUST BANKS INC	GA					X		X			10/11/01	
SUNTRUST CAPITAL IV						X		X			10/11/01	
SURREY INC	TX		X					X	X		09/25/01	
SYNERGY MEDIA INC	NV					X					10/10/01	
TARGET CORP	MN					X					10/11/01	
TARGET INTERACTIVE INC	DE							X			07/27/01	AMEND
TECO ENERGY INC	FL					X		X			10/09/01	
TELECORP PCS INC /VA/						X		X			10/11/01	
TENET HEALTHCARE CORP	NV					X					10/12/01	
TEXAS CAPITAL BANCSHARES INC/TX	DE					X		X			10/11/01	
THAON COMMUNICATIONS INC	NV					X					10/09/01	
TOWER BANCORP INC	PA					X					10/11/01	
TRANS ENERGY INC	NV					X					09/28/01	

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TRANSCONTINENTAL REALTY INVESTORS I NC	NV		X						X		09/26/01	
TRIANGLE PHARMACEUTICALS INC	DE				X	X					10/10/01	
TRIDENT SYSTEMS INTERNATIONAL INC	NV				X						10/09/01	
TRINET CORPORATE REALTY TRUST INC	MD							X			07/27/01	AMEND
TTR TECHNOLOGIES INC	DE				X	X					10/07/01	
UPDATE COM INC	DE				X	X					10/08/01	
UNION BANKSHARES INC	VT				X						10/03/01	
UNITED AUTO GROUP INC	DE							X	X		10/10/01	
UNIVERSAL AUTOMOTIVE INDUSTRIES INC /DE/	DE					X					10/11/01	
US HOME SYSTEMS INC /TX	DE		X					X			10/05/01	
USINTERNETWORKING INC	DE				X	X					10/11/01	
VALESC INC	DE					X		X			03/22/01	AMEND
VEREX LABORATORIES INC/CO	CO			X		X					10/09/01	
VERTEL CORP	CA			X		X					10/11/01	
VERTICALNET INC	PA				X						10/10/01	
VIADOR INC					X						09/20/01	
VIALINK CO	DE				X	X					10/10/01	
WAM NET INC	MN				X	X					10/03/01	
WAMU MOR PASS THRU CERT SER 2001-AR 1	DE				X	X					10/01/01	
WAMU MORTGAGE PASS THROUGH CERT SER IES 2001-S8	DE				X	X					10/01/01	
WAMU MORTGAGE PASS THROUGH CERT SER IES 2001-5	DE				X	X					10/01/01	
WASHINGTON MUTUAL MOR SEC CORP MOR PAS THR SER 2001-6	DE				X	X					10/01/01	
WASHINGTON MUTUAL MOR SEC CORP MOR PASS THRU CERT SER 2001-3	DE				X	X					10/01/01	
WASHINGTON MUTUAL MOR SEC CORP MOR PASS THRU CERT SER 2001-4	DE				X	X					10/01/01	
WASHINGTON MUTUAL MOR SEC CORP MOR PASS THRU CERT SER 2001-8	DE				X	X					10/01/01	
WASHINGTON MUTUAL MORTGAGE SEC CORP MOR PAS THRU CERT 2001-7	DE				X	X					10/01/01	
WAVERIDER COMMUNICATIONS INC	NV								X		10/10/01	
WEBVAN GROUP INC	DE		X					X			10/04/01	
WELLS FARGO ASSET MORTGAGE BACKED S ECURITIES 2001-20 TRUST	DE				X	X					08/29/01	
WELLS FARGO ASSET SEC CORP MOR PASS THR CERT SER 2001-18	DE				X	X					08/30/01	
WELLS FARGO ASSET SEC CORP MORT PAS S THR CERT SER 2001-21	NY				X	X					09/27/01	
WELLS FARGO ASSET SECURITIES CORP	DE				X	X					10/11/01	
WELLS FARGO ASSET SECURITIES CORP M ORT PA TH CER SE 2001-14	DE				X	X					07/30/01	
WELLS FARGO MORTGAGE BACKED SECURIT IES 2001 22 TRUST	NY				X	X					09/27/01	
WELLS FARGO MORTGAGE BACKED SECURIT IES 2001 23 TRUST	NY				X	X					09/26/01	

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WELLS REAL ESTATE INVESTMENT TRUST INC	MD		X						X		09/27/01	
WIRELESS FACILITIES INC	DE					X	X				10/11/01	
WMAU MORTGAGE PASS THROUGH CERTIFIC ATES SERIES 2001-S9	DE					X	X				10/01/01	
YAHOO INC	DE					X	X				10/10/01	