

sec news digest

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COURT ENFORCEMENT ACTIONS

U.S. SECURITIES AND
EXCHANGE COMMISSION

RHODE ISLAND BROKER SENTENCED

The Boston Regional Office announced that on September 22 the Honorable Raymond J. Pettine, Chief Judge of the U.S. District Court for the District of Rhode Island, imposed a sentence of three years in prison upon Maurice A. Lundy, a former broker and dealer in securities in Rhode Island.

Mr. Lundy and an associate, Kathryn A. Allard, of Taunton, Massachusetts, had been found guilty in July of this year, after a month-long trial, of all 15 counts of an indictment charging violations of the registration and antifraud provisions of the Securities Act of 1933 and the mail fraud statute, as well as conspiracy to violate those laws. Mr. Lundy was sentenced to three years imprisonment on each of the 15 counts, sentences to run concurrently. Mrs. Allard was also sentenced to concurrent three-year terms on each of the 15 counts; however, in her case, sentence was suspended and she was placed on probation for a like period. Additionally, she was ordered by the Court to perform "alternative community services" pursuant to a plan to be submitted by her counsel.

The violations of which Lundy and Mrs. Allard were found guilty related to the offer and sale of approximately \$1 million in trust instruments and debt securities of three Rhode Island business entities to residents of Massachusetts and Rhode Island. Lundy was also sentenced to three years in prison in connection with the offer and sale of scotch whiskey warehouse receipts without a registration statement (being on file or in effect with the Securities and Exchange Commission as required by the Securities Act of 1933.

Judge Pettine denied a request by Lundy's counsel to stay execution of sentence pending appeal. (U.S. v. M. A. Lundy, et al., D.C. Rhode Island, CR-77-64,65). (LR-8554)

INVESTMENT COMPANY ACT RELEASES

BROAD STREET INVESTING CORPORATION

An order has been issued on an application of Broad Street Investing Corporation, registered under the Investment Company Act of 1940 as an open-end, management investment company, exempting from the provisions of Section 22(c) of the Act and Rule 22c-1 thereunder and Section 22(d) of the Act, the proposed exchange of Broad Street shares at net asset value without a sales charge and at a price other than the price next determined after receipt of a purchase order, for substantially all of the assets of Hunter Investment Corporation. (Rel. IC-10421 - Sept. 29)

THE CAPITOL LIFE INSURANCE COMPANY

A notice has been issued giving interested persons until October 24 to request a hearing on an application of The Capitol Life Insurance Company, Capitol Life Separate Account M, and Merrill Lynch High Income Fund, Inc. for an order pursuant to Section 11 of the Investment Company Act of 1940 approving a certain offer of exchange and pursuant to Section 6(c) of the Act for exemption from Sections 26(a) and 27(c)(2) of the Act. (Rel. IC-10422 - Sept. 29)

HOLDING COMPANY ACT RELEASES

JERSEY CENTRAL POWER & LIGHT COMPANY

An order has been issued authorizing a proposal of Jersey Central Power & Light Company, Metropolitan Edison Company and Pennsylvania Electric Company, subsidiaries of General Public Utilities Corporation, that the period within which they may acquire evidences of indebtedness from their respective residential electric customers pursuant to an insulation program be extended until October 4, 1979. (Rel. 35-20719 - Sept. 29)

CENTRAL AND SOUTH WEST CORPORATION

A notice has been issued giving interested persons until October 24 to request a hearing on a proposal of Central and South West Corporation, a registered holding company, and five of its subsidiaries, that they revise a system money pool arrangement concerning short-term borrowing. (Rel. 35-20720 - Sept. 29)

LISTING, DELISTING AND UNLISTED TRADING ACTIONS

WITHDRAWAL SOUGHT

A notice has been issued giving interested persons until October 27 to comment on the application of Allegheny Airlines, Inc. to withdraw the common stock (par value \$1.00) from listing and registration on the American Stock Exchange, Inc. (Rel. 34-15203)

SELF-REGULATORY ORGANIZATIONS

NOTICE OF EFFECTIVENESS OF A RULE CHANGE

The Chicago Board Options Exchange, Inc. has filed a proposed rule change which became effective under Section 19(b)(3)(A) of the Securities Exchange Act of 1934 (SR-CBOE-78-27) to allow the Arbitration Committee to continue its policy of reserving discretion to deny jurisdiction over any matter submitted to it. This policy was omitted inadvertently as a result of recent amendments to the CBOE's rules. Publication of the proposal is expected to be made in the Federal Register during the week of October 2. (Rel. 34-15200)

NOTICE OF AMENDED RULE CHANGE

On August 11, the Pacific Securities Depository Trust Company (PSDTC) submitted a proposed rule change pursuant to Rule 19b-4 which amends in part SR-PSD-78-1 concerning the establishment of a third party delivery service in the interface between PSDTC and The Depository Trust Company. This third party delivery service would permit any participant in either depository to deliver securities to, or receive securities from, any participant in the other depository, either free (without settlement) or for payment. Publication of the amendment is expected to be made in the Federal Register during the week of October 2. (Rel. 34-15199)

APPROVAL OF PROPOSED RULE CHANGE

The Commission has approved a proposed rule change filed by the New York Stock Exchange, Inc. (SR-NYSE-78-20) revising the NYSE's training and examination requirements for certain registered representatives. (Rel. 34-15202)

SECURITIES ACT REGISTRATIONS

The following registration statements have been filed with the SEC pursuant to the Securities Act of 1933. The information noted below has been taken from the cover page and the facing sheet of the prospectus and registration statement and will appear as follows: Form; Name, address and phone number (if available) of the issuer of the security; Title and the number or face amount of the securities being offered; Name of the managing underwriter (if applicable); Whether the offering is a rights offering; and File number and date filed.

(S-8) MOBIL CORP., 150 East 42nd St., New York, N.Y. 10017 - 4,858,299 shares of common stock. (File 2-62380 - Aug. 16)

- (S-14) RESERVE OIL & GAS CO. & RESERVE OIL, INC., 1776 Lincoln St., Denver, Colo. 80203 - 197,679 shares of common stock. (File 2-62525 - Sept. 5)
- (N-5) CROWN VENTURE CAPITAL CORPORATION, 160 Old Derby St., Hingham, Mass. 02043 - 60,000 shares of common stock. Underwriter: Crown Financial Corporation. The company's business will consist of furnishing equity capital or long term loans to selected small business firms. (File 2-62721 - Sept. 28)
- (S-16) ROCKCOR, INC., York Center, Redmond, Wash. 98052 (206) 885-5000 - 409,634 shares of common stock. The company develops, designs, manufactures and sells monopropellant hydrazine rocket engines. (File 2-62741 - Sept. 27)
- (S-1) ASSOCIATED WHOLESALERS, INC., 600 Arsenal Rd., Box 1928, York, Pa. 17405 - \$400,000 of long-term renewable notes; \$400,000 of fixed-rate short-term renewable notes; 100 shares of Class A common stock (\$500 par value) and 15,000 shares of Class B common stock (\$50 par value). The company is a member-owned and operated wholesale grocery purchasing cooperative. (File 2-62742 - Sept. 28)
- (S-8) EATON CORPORATION, 100 Erieview Plaza, Cleveland, Ohio 44114 - 276,646 common shares. (File 2-62743 - Sept. 29)
- (S-14) FIRST CITY BANCORPORATION OF TEXAS, INC., 1001 Main St., Houston, Tex. 77002 (713) 658-6873 - 209,305 shares of common stock. (File 2-62744 - Sept. 29)
- (S-8) FRIENDLY FROST INC., 123 Frost St., Westbury, N.Y. 11590 (516) 334-8100 - 69,500 shares of common stock. The company is engaged in the retail and broadcasting business. (File 2-62745 - Sept. 29)
- (S-11) CHURCH LOANS & INVESTMENTS TRUST, 4102 West 51st St., Amarillo, Tex. 79109 - an unknown amount of secured savings certificates. Underwriter: Affiliated Managers, Inc., 4102 West 51st Ave., Amarillo, Tex. The Trust is a real estate investment trust. (File 2-62746 - Sept. 29)
- (S-1) OMNI 1979 OIL AND GAS PROGRAMS, 100 Matsonford Rd., Radnor, Pa. 19087 - 50,000 units of participation. Underwriter: Omni-Securities, Inc. (File 2-62747 - Sept. 29)
- (S-1) MCI COMMUNICATIONS CORPORATION, 1150 Seventeenth St., N.W., Washington, D.C. 20036 - 120,000 shares of cumulative convertible preferred stock and 240,000 shares of common stock. Underwriter: Allen & Company, Inc. The company offers long-distance, inter-city telecommunication services. (File 2-62748 - Sept. 29)
- In a separate statement the company seeks registration of 120,000 shares of cumulative convertible preferred stock. (File 2-62749 - Sept. 29)
- (S-1) UNITED MISSOURI BANCSHARES, INC., P.O. Box 1771, Kansas City, Mo. 64141 (816) 556-7000 - 103,350 shares of common stock. The company is a bank holding company. (File 2-62750 - Sept. 29)
- (S-8 and S-16) GIANT FOOD INC., 6300 Sheriff Rd., Landover, Md. 20785 - 100,000 shares common stock A non-voting. The company is engaged in a chain of supermarkets. (File 2-62751 - Sept. 29)
- (S-16) REVLON, INC., 767 Fifth Ave., New York, N.Y. 10022 (212) 572-5000 - 14,069 shares of common stock. (File 2-62752 - Sept. 29)
- (S-8) BAXTER TRAVENOL LABORATORIES, INC., One Baxter Parkway, Deerfield, Ill. 60015 - 500,000 shares of common stock. (File 2-62753 - Oct. 2)
- (S-8) NATIONAL MEDICAL ENTERPRISES, INC., 11620 Wilshire Blvd., Los Angeles, Cal. 90025 - 875,000 stock options; 825,000 shares of common stock, 352,717 shares of common stock and 50,000 Series A preferred stock. (File 2-62754 - Sept. 29)
- (S-1) SWANTON CORPORATION, 11 Broadway, New York, N.Y. 10004 (212) 425-6590 - 121,322 shares of common stock. The company is engaged in diversified financial services businesses. (File 2-62755 - Oct. 2)
- (S-12) IRVING TRUST COMPANY, One Wall St., New York, N.Y. 10015 - 100,000 American Depositary Receipts for Ampol Exploration Limited. (File 2-62756 - Sept. 29)
- In a separate statement the company seeks registration of 100,000 American Depositary Receipts for Pentos Limited. (File 2-62757 - Sept. 29)
- (S-14) PATRIOT BANCORPORATION, 63 Franklin St., Boston, Mass. 02110 (617) 426-8815 - 292,093 shares of common stock. (File 2-62758 - Oct. 2)

- (S-7) TANDY CORPORATION, 1800 One Tandy Center, Fort Worth, Tex. 76102 (817) 390-3700 - \$100 million of convertible subordinated debentures, due 2003. Underwriters: Blyth Eastman Dillon & Co. Inc., E.F. Hutton & Company Inc. and Rauscher Pierce Refsnes, Inc. The company is a retailer of consumer electronic products. (File 2-62759 - Oct. 2)
- (S-1) AMERICAN INTERNATIONAL GROUP, INC., 70 Pine St., New York, N.Y. 10005 - 1,186,455 shares of common stock. The company is engaged in writing substantially all lines of general life insurance. (File 2-62760 - Oct. 2)
- (S-8) BECTON, DICKINSON AND COMPANY, East Rutherford, N.J. 07073 - 6,878 shares of common stock. The company is engaged in the manufacture and sale of health care products. (File 2-62761 - Oct. 2)

REGISTRATIONS EFFECTIVE

Sept. 28: The Charter Co., 2-62506; Del E. Webb Corp., 2-62448; Floating Point Systems, Inc., 2-62408; Georgia Power Co., 2-62488; Greenwood 1978-1979 Oil and Gas Program, 2-62133 (90 days); Integrated Resources Inc., 2-62490; Lazare Kaplan International, Inc., 2-62391; Merrill Lynch High Income Fund, Inc., 2-62329; Ruidoso Sunland, Inc., 2-62406 (90 days); Utah Bancorporation, 2-62352; VTN Corp., 2-62531.

NOTE TO DEALERS. When applicable the 90-day period of time dealers are required to use the prospectus is noted above in parentheses after the name of the issuer. As to the other issuers, there may be no such requirement to use a prospectus, or the requirement may be for a period of only 40 days; see Section 4(3) of the Securities Act of 1933 and Rule 174 (17 CFR 230.174) thereunder.

ACQUISITIONS OF SECURITIES

Companies and individuals must report to the Commission within 10 days on Schedule 13D if after the acquisition of equity securities of a public company their beneficial interest therein exceeds 5%. Persons eligible to use the short form (Form 13-G) may in lieu of filing a Schedule 13D file a Form 13-G within forty-five days after the end of the calendar year in which the person became subject to Section 13(d)(1). The following companies or individuals filed Schedule 13D's during the period September 7 - 12, 1978. The number of shares of the security which are beneficially owned, and the number of shares concerning which there is a right to acquire are sent forth for each beneficial owner. *Amended Acquisition Reports.

<u>REPORTING COMPANY OR INDIVIDUAL</u>	<u>ISSUER & NUMBER OF SHARES</u>	<u>DATE FILED</u>
* Ted D. Nelson Daniel C. Montano Victoria G. Montano Dr. Paul Kouri, et al	Lincoln Mortgage Investors (Fullerton, CA) Shares of Beneficial Interest - 168,300 (14.51%)	9-7-78
* Eteroutremer S. A. (Belgium)	Susquehanna Corp. (Denver, CO) Common Stock - 3,553,621 shs. (52.6%)	9-7-78
Miles Powell, Jr.	Chemplast, Inc. (Wayne, NJ) Common Stock - 56,600 shs. (16%)	9-8-78
Charles R. Stone	Chemplast, Inc. (Wayne, NJ) Common Stock - 49,495 shs. (14%) (Included above are shares owned by his wife and children.)	9-8-78
Gerald R. Cicconi	Data Access Systems, Inc. (Mountain Lakes, NJ) Common Stock - 130,603.8 shs.	9-11-78
MEI Corporation	Diversified Mortgage Investors (Coral Gables, FL) Shares of Beneficial Interest - 540,900	9-8-78
Manor Care, Inc.	Hillhaven Corporation (Tacoma, WA) Common Stock - 793,281 shs. (57.9%)	9-8-78

ACQUISITION REPORTS CONT.

Jack N. Berkman, Individually and as Trustee Myles P. Berkman William P. Dubois	Rust Craft Greeting Cards, Inc. (Dedham, MA) 9-8-78 Common Stock - 283,672 shs. (12.24%) (Included above are shares owned by M. Berkman's wife.)	
* Denison Mines Limited (Canada) (Controlled by Roman Corp. Ltd. (Canada))	Freeport Minerals Company (NYC) Common Stock - 1,289,200 shs.	9-8-78
* Harold Oelbaum	Kane-Miller Corp. (Tarrytown, NY) Common Stock - 243,584 shs. (Included above are shares held by his wife as custodian.)	9-8-78
National City Lines, Inc.	American Microsystems, Inc. (Santa Clara, CA) Common Stock - 310,215 shs.	9-11-78
International Metals & Machines, Inc.	Chicago Helicopter Industries Inc. (Chicago, IL) Common Stock - 1,558,200 shs. (71.38%)	9-11-78
Times Mirror Company	Commerce Clearing House, Inc. (Chicago, IL) Common Stock - 625,000 shs.	9-11-78
Addressograph-Multigraph Corp.	ECRM, Inc. (Bedford, MA) Common Stock - 503,773 shs. (43.9%) (Addressograph acquired above shares from certain selling shareholders.)	9-11-78
Gamble-Skogmo, Inc.	Garfinckel, Brooks Brothers, Miller & Rhoads, Inc. (Washington, DC) Common Stock - 603,775 shs. (13%) (466,575 of above shares were acquired from certain selling shareholders.)	9-11-78
Reliance Financial Services Corp.	Provident National Corp. (Philadelphia, PA) Common Stock - 195,300 shs.	9-11-78
Warner Swasey International Sales, Inc. (Wholly-owned subsidiary of Warner & Swasey Co.) Warner & Swasey Co.	Ranco Incorporation (Columbus, OH) Common Stock - 345,400 shs. (14%)	9-11-78
Fuqua Investment Company (Wholly-owned by J. B. Fuqua)	S-G Securities, Inc. (Boston, MA) Common Stock - 284,400 shs. (20%)	9-11-78
Xerox Corporation	Threshold Technology Inc. (Delran, NJ) Common Stock - 125,000 shs.	9-11-78
Jerry Gilbert Brassfield Consolidated Energy	Western American Energy Corp. (San Jose, CA) Common Stock - 1,189,216 shs. (Mr. Brassfield is a majority partner in Consolidated Energy.)	9-11-78
* Standard Oil Company of California	AMAX Inc. (Greenwich, CT) Common Stock - 6,870,900 shs. (21.2%)	9-11-78
* Warren E. Buffett Diversified Retailing Co. Inc. Associated Retail Stores, Inc., et al	Berkshire Hathaway Inc. (New Bedford, MA) Common Stock - 533,309 shs. (54.55%)	9-11-78
* Joel Greenberg Riverside Foods, Ltd.	Bluebird, Inc. (Philadelphia, PA) Common Stock - 1,189,600 shs. (21.45%)	9-11-78
* Shamrock Associates	Citrus County Land Bureau (Great Neck, NY) Common Stock - 48,200 shs. (40.3%)	9-11-78

ACQUISITION REPORTS CONT.

* Richard Lee Kamen	Esquire Radio & Electronics, Inc. (Brooklyn, NY) Common Stock - 60,100 shs.	9-11-78
* Chandler Corporation	MC, Inc. (Halstead, KS) Common Stock - 450,598 shs. (59%)	9-11-78

The following companies or individuals filed Form 13G's during the period August 29 - September 11, 1978.

<u>REPORTING COMPANY OR INDIVIDUAL</u>	<u>ISSUER & NUMBER OF SHARES</u>	<u>DATE FILED</u>
Dry Dock Savings Bank	Carrols Development Corp. (Syracue, NY) Common Stock - 150,000 shs. Common Stock - 25,000 shs. on exercise of an Option	8-29-78
J. P. Morgan & Co. Inc.	Airborne Freight Corp. (Seattle, WA) Common Stock - 446,300 shs. (10.54%)	9-11-78
Manufacturers Hanover Trust Company	National CSS Inc. (Norwalk, CT) Common Stock - 115,000 shs.	9-11-78
* Republic National Bank of Dallas Republic of Texas Corp.	General American Oil Co. of Texas (Dallas, TX) Common Stock - 2,397,322 shs. (17.4249%)	9-11-78

Companies and individuals making a tender must have on file at the time the tender offer commences a Schedule 14D-1. The following companies or individuals filed during the period August 28 - September 12, 1978. *Amended Tender Offers.

<u>OFFER TO PURCHASE BY:</u>	<u>ISSUER & NUMBER OF SHARES TO BE PURCHASED</u>	<u>DATE FILED</u>
Liggett Food Services, Inc. Wholly-owned subsidiary of Liggett Group Inc.	Servomation Corp. (NYC) Common Stock - 1,740,000 shs. for cash at \$48.50 net per share	8-28-78
Williamsburgh Financial Corp.	Cincinnati Economy Drug Co. (Cincinnati, OH) Common Stock - All outstanding shares for cash at \$30.00 net per share	9-1-78
California Life Corp. and its wholly-owned subsidiary Cal-Del Corporation	College/University Corp. (Indianapolis, IN) Common Stock - 761,105 shs. for cash at \$32.50 net per share	9-1-78
Farm House Foods Corp.	Scot Lad Foods, Inc. (Lansing, IL) Common Stock - 500,000 shs. (Farm House will offer 1 shares of its Common Stock for each share of its tendered. Farm House presently owns 500,842 shares of Common Stock.)	9-1-78
* GDV, Inc. (Subsidiary of City Investing Co.)	Servomation Corp. (NYC) Common Stock - All outstanding shares for cash at \$49.00 net per share (The amended offer increased the price from \$47.00 net per share.)	9-1-78
Performance Share Plan of California Life Corporation Trust	California Life Corporation (Los Angeles, CA) Common Stock - "Odd Lot" shares for cash at \$6.00 net per share (The Plan presently owns 215,949 shares (14%))	9-5-78
Cal-Del Corporation (Wholly-owned subsidiary of California Life Corp.)	College/University Corp. (Indianapolis, IN) Common Stock - 146,000 shs. for cash at \$32.50 net per share	9-11-78

ACQUISITION REPORTS CONT.

Crane Co.	Medusa Corp. (Shaker Heights, OH) Common Stock - 700,000 shs. for cash at \$50.00 net per share (Crane presently owns 600,100 shares of Common Stock.)	9-5-78
Stronat Texas, Inc. (Wholly-owned subsidiary of Stronat Investments Ltd.) Stronat Investments Ltd.	Procor, Inc. (Phoenix, AZ) Common Stock - All outstanding shares for cash at \$5.00 net per share (Stronat presently owns 917,438 shares (65.8%))	9-12-78

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. Financial Statements and Exhibits.

The companies listed below 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. Copies of the reports may be purchased from the Commission's Public Reference Section (in ordering, please give the date of the report). An invoice will be included with the requested material when mailed.

COMPANY	ITEM NO.	DATE
SIGMATICS	12	08/01/78 *
SINNET INDUSTRIES INC	4	08/25/78
SKYLINE CORP	5	08/01/78
SMC INDUSTRIES INC	5	08/17/78
SMITHFIELD FOODS INC	5	09/05/78
SOCIETY CORP	5,6	08/11/78
SOUTHLAND ROYALTY CO	5	08/24/78
SPECTOR INDUSTRIES INC	2	07/01/78
SPENCEK FOODS INC	5	08/30/78
STARK BROADCASTING GROUP INC	5	09/01/78
STYLEX HUMES INC	3	08/28/78
SULLAIR CORP	5	08/21/78
SUPERMARKETS GENERAL CORP	2,6	08/26/78
TEJON AGRICULTURAL PARTNERS	5,6	08/04/78
TELEDYNE INC	5	09/08/78
TENNA CORP	5	08/14/78
THETFOLD CORP	5	08/31/78
TIERCO	5	08/31/78
TRANE CO	5,6	09/01/78
TRANS WORLD AIRLINES INC	5	08/01/78
TRECO	5,6	08/29/78
TRIANGLE BRICK CO	5,6	08/02/78

^{*/} The Form 8-K was amended (Rel. 34-13156, January 13, 1977) effective for all events which occur subsequent to February 28, 1977. Those companies above which are noted with an asterisk (*) have filed pursuant to the old Form 8-K; the captions of the item numbers under which such reports are filed are as follows:

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|--|---|
| <ul style="list-style-type: none"> Item 1. Changes in Control of Registrant Item 2. Acquisition or Disposition of Assets Item 3. Legal Proceedings Item 4. Changes in Securities Item 5. Changes in Security for Registered Securities Item 6. Defaults upon Senior Securities Item 7. Increase in Amount of Securities Outstanding Item 8. Decrease in Amount of Securities Outstanding | <ul style="list-style-type: none"> Item 9. Options to Purchase Securities Item 10. Extraordinary items, other material charges and credits and capital restatements Item 11. Submission of Matters to a Vote of Security Holders Item 12. Changes in Registrant's Certifying Accountant Item 13. Other Materially Important Events Item 14. Financial Statements and Exhibits |
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NOTICE

Many requests for copies of documents referred to in the SEC News Digest have erroneously been directed to the Government Printing Office. Copies of such documents and of registration statements may be ordered from the Public Reference Section, Securities and Exchange Commission, Washington, D.C. 20549. The reproduction cost is 10c per page plus postage (7 days) (\$3.50 minimum); 20c per page plus postage for expedited service (4 days) (\$5.00 minimum) and 30c per page plus postage for priority service overnight (\$5.00 minimum). Cost estimates are given or request. All other reference material is available in the SEC Docket.

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