

# SEC NEWS DIGEST

Issue 2001-40

February 28, 2001

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## COMMISSION ANNOUNCEMENTS

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### **JOSEPH LOMBARD, SENIOR COUNSEL TO FORMER CHAIRMAN ARTHUR LEVITT, TO LEAVE COMMISSION**

Joseph C Lombard, Senior Counsel to former Securities and Exchange Commission Chairman Arthur Levitt for market regulation, will leave the Commission to join Archipelago, LLC as Executive Vice President. He will be based in Washington, DC, where Archipelago will establish an office later this year.

From July 1999 to February 2001, Mr. Lombard advised Chairman Levitt on all matters related to market regulation policy, including market fragmentation, decimalization, new securities exchange applications, proposed revisions to trading platforms, market data, and equity and options market linkages. He was involved actively in the formulation of the Commission's legislative and communications strategy relating to market structure issues, and served as the Chairman's liaison to major market participants. He received the SEC's Capital Markets Award for his involvement in the Commission's options market reform and execution quality initiatives.

Prior to joining the Chairman's office, Mr. Lombard was a Special Counsel in the Washington, DC office of O'Melveny & Myers, LLP, where he counseled investment advisers, broker dealers and corporate issuers regarding the federal securities laws. He began his legal career in the Commission's Division of Enforcement, where he worked as a Staff Attorney from September 1990 to September 1993. He was an Adjunct Professor at Georgetown University Law Center from 1996 to 1999.

Mr. Lombard earned his J.D. from Georgetown University Law Center in 1990, his M.Sc. (Econ.) from the London School of Economics in 1987, and his A.B. from Georgetown University College of Arts and Sciences in 1986 (Press Rel. 2001-23)

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## RULES AND RELATED MATTERS

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## **NOTICE OF ESIGN-RELATED RULEMAKINGS**

The Commission announces today several upcoming rulemaking activities regarding recordkeeping requirements under the federal securities laws consistent with the Electronic Signatures in Global and National Commerce Act of 2000 (Pub. L. 106-229) (ESign). Under Section 107(b)(1)(B) of ESign, the record retention provisions of Title I of that Act will become effective on June 1, 2001.

Under the federal securities laws, regulated entities, including registered broker-dealers, transfer agents, investment companies, investment advisers, and public utility holding companies, must keep certain records of their activities. The Commission currently allows these entities to keep certain records electronically, subject to standards designed to protect investors' interests, the financial stability of regulated entities and generally to further the purposes of the federal securities laws. ESign is intended to remove unnecessary impediments to the use of electronic records in commerce, while preserving the ability of agencies like the Commission to reconcile ESign's policy with the statutes they administer. The Commission will act shortly to provide interpretative guidance and, where appropriate, propose or adopt rules consistent with ESign. These releases will be published separately in the Federal Register.

Because ESign does not generally apply to information required to be filed with government agencies, the Commission is not currently contemplating any changes to its existing filing rules as a result of ESign. Filers should therefore continue to follow current filing rules.

FOR FURTHER INFORMATION CONTACT: Michael A. Macchiaroli, Associate Director, (202) 942-0131; Thomas K. McGowan, Assistant Director, (202) 942-4886; Randall W. Roy, Special Counsel, (202) 942-0798, or Mathew Comstock, Attorney, (202) 942-0156, Division of Market Regulation (for broker-dealers); Larry E. Bergmann, Associate Director (202) 942-0770, Jerry Carpenter, Assistant Director, David Karasik, Special Counsel, (202) 942-4187, Division of Market Regulation (for transfer agents); Martha B. Peterson, Special Counsel, Office of Regulatory Policy, Division of Investment Management (202) 942-0690; Victoria J. Adraktas, Attorney-Advisor at the Office of Public Utility Regulation (202) 942-0545; Mark Borges, Attorney-Advisor, Office of Rulemaking, Division of Corporation Finance, (202) 942-2900. (Rels 33-7955; 34-44014; 35-27350; IA-1929; IC-24879)

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## **ENFORCEMENT PROCEEDINGS**

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### **ORDER APPROVING ASSOCIATION OF NACHMAN BENCH WITH AN INVESTMENT ADVISER TO REGISTERED INVESTMENT COMPANIES**

On February 27, the Commission issued an Order approving the application of Nachman Bench for consent to associate with Deutsche Banc Alex Brown Inc., in its capacity as an

investment adviser to registered investment companies. The Order is necessary because Mr. Bench is subject to a 1989 order of the Commission that prohibits him from serving or acting as an employee, officer, director, member of an advisory board, investment adviser or depositor of, or principal underwriter for, a registered investment company or affiliated person of such investment adviser, depositor, or principal underwriter. (Rel. 34-40007; IA-1928)

### **DECISION DISMISSING PROCEEDINGS AGAINST DEAN WITTER REYNOLDS INC. AND DENNIS PETERSON FINAL**

The initial decision of an administrative law judge dismissing proceedings against Dean Witter Reynolds Inc. and Dennis W. Peterson, a Dean Witter branch manager, has become final. The law judge found that, contrary to the charges of deficient supervision, Dean Witter's supervisory procedures and systems were reasonably designed to detect and prevent an account executive's churning and unsuitable trading. He further concluded that Peterson complied with the firm's supervisory procedures, and that the discharge of Peterson's duties under those procedures was reasonable. The law judge also found that the evidence was insufficient to establish Dean Witter's alleged violations of recordkeeping provisions. (Rel. 34-44012; File No. 3-9686)

### **SEC FREEZES ASSETS OF BROKER-DEALER AND ITS FORMER PRESIDENT FOR STEALING AT LEAST \$6 MILLION FROM CLIENTS**

The Commission announced that on February 27 the Honorable Judge Sandra S. Beckwith permanently enjoined Stephen G. Donahue, of Cincinnati, Ohio, and preliminarily enjoined Donahue Securities Inc., an Ohio broker-dealer registered with the Commission, from further violations of the antifraud provisions of the federal securities laws. The Orders, entered pursuant to Donahue and DSI's consents and without admitting or denying the allegations in the Commission's complaint, also froze Donahue and DSI's assets, prohibited Donahue and DSI from destroying any documents and ordered Donahue to pay disgorgement and civil penalties in an amount to be determined in a separate hearing.

The Commission's complaint, filed on February 27, 2001, alleged that Donahue, the former president of DSI, and DSI engaged in a 12-year scheme to misappropriate at least \$6 million from approximately 200 to 250 customers of DSI. The complaint further alleged that Donahue and DSI represented they would invest clients' funds in two funds paying interest ranging from 5% to 6%, however, neither fund existed and instead of investing the client funds, Donahue and DSI deposited the client funds in an account controlled by Donahue and used the funds to pay both business and personal expenses, including paying Donahue's personal taxes and buying a condominium in Florida. [SEC v. Stephen G. Donahue and Donahue Securities, Inc., USDC, S.D. Ohio, Western Division at Cincinnati, Civil Action No. C-1-01-116] (LR-16909)

## **SEC CHARGES WALTER FORBES AND E. KIRK SHELTON, FORMER TOP OFFICERS OF CUC INTERNATIONAL INC., AND CENDANT CORP., WITH DIRECTING AND PROFITING FROM A MASSIVE FINANCIAL FRAUD**

The Commission today filed a civil enforcement action in the U.S. District Court for the District of New Jersey against Walter A. Forbes and E. Kirk Shelton, the top two former officers of CUC International Inc. (CUC), alleging that they directed a massive financial fraud while selling millions of dollars worth of the company's common stock. For the period 1995-1997 alone, pre-tax operating income reported to the public by CUC was inflated by an aggregate amount of over \$500 million. The Commission's complaint alleges that Forbes, CUC's Chairman and Chief Executive Officer, directed the fraud from its beginnings in 1985. From at least 1991 on, Shelton, CUC's President and Chief Operating Officer, joined Forbes in directing the scheme. The Commission, among other relief, seeks disgorgement of their fraudulent stock gains (with prejudgment interest), payment of civil money penalties, orders barring Forbes or Shelton from serving as an officer of a public company, and injunctions against violations of the federal securities laws.

CUC merged with HFS Incorporated on December 17, 1997, to form Cendant Corporation (Cendant). The Commission's action results from its investigation of a long-running financial fraud that began at CUC in the 1980s and continued until its discovery and disclosure by Cendant in April 1998. Upon disclosure of the fraud, the price of Cendant common stock plummeted, causing a more than \$19 billion loss in market capitalization and billions of dollars of losses to investors.

After the Cendant merger, Forbes served as Cendant's Chairman of the Board until his resignation in July 1998. At the time of the merger, Shelton became a Cendant director and Vice Chairman. Shelton resigned from Cendant in April 1998.

The Commission acknowledges the assistance provided by the U.S. Attorney for the District of New Jersey. The Commission's investigation in this matter is continuing. [SEC v. Walter A. Forbes and E. Kirk Shelton, Civil Action No. 01-987, AJL, D.N.J.] (LR-16910, AAE Rel. 1372)

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## **SELF-REGULATORY ORGANIZATIONS**

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### **PROPOSED RULE CHANGE**

The National Association of Securities Dealers filed a proposed rule change (SR-NASD-01-08) relating to the Arbitration Rules. Publication of the notice in the Federal Register is expected during the week of March 5. (Rel. 34-43998)

## ACCELERATED APPROVAL OF PROPOSED RULE CHANGE

The Commission granted accelerated approval to a proposed rule change filed by the National Association of Securities Dealers (SR-NASD-01-10) requiring conversion to decimals of open fractional orders in Nasdaq securities. Publication of the notice in the Federal Register is expected during the week of March 5. (Rel. 34-44003)

## DELISTING GRANTED

An order has been issued granting the application of the Pacific Exchange to strike from listing and registration the Common Stock, \$.01 par value, of Great Northern Gas Company, effective at the opening of business on February 26. (Rel. 34-43999)

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

- S-8 COCA COLA ENTERPRISES INC, 2500 WINDY RIDGE PKWY, ATLANTA, GA 30339  
(770) 989-3000 - 1,500,000 (\$31,350,000) COMMON STOCK. (FILE 333-55960  
- FEB. 21) (BR. 2)
- S-8 IMCO RECYCLING INC, 5215 N OCONNOR BLVD STE 940,  
CENTRAL TOWERS AT WILLIAM SQUARE, IRVING, TX 75007 (214) 869-6575 -  
300,000 (\$1,849,500) COMMON STOCK. (FILE 333-55962 - FEB. 21) (BR. 6)
- S-3 ANADARKO PETROLEUM CORP, 17001 NORTHCHASE DR, HOUSTON, TX 77060  
(281) 875-1101 - 930,625,000 (\$930,625,000) PREFERRED STOCK. (FILE  
333-55964 - FEB. 21) (BR. 4)
- S-3 RED HAT INC, 2600 MERIDIAN PARKWAY, DURHAM, NC 27713 (919) 547-0012  
- 468,057 (\$3,173,427) COMMON STOCK. (FILE 333-55966 - FEB. 21) (BR. 3)

S-8 RED HAT INC, 2600 MERIDIAN PARKWAY, DURHAM, NC 27713 (919) 547-0012  
-  
96,843 (\$353,517) COMMON STOCK. (FILE 333-55968 - FEB. 21) (BR. 3)

S-8 AMPAL AMERICAN ISRAEL CORP /NY/, 1177 AVENUE OF THE AMERICAS, 12TH  
FLR,  
NEW YORK, NY 10036 (212) 782-2100 - 4,000,000 (\$28,000,000) COMMON  
STOCK.  
(FILE 333-55970 - FEB. 21) (BR. 7)

S-8 MORGAN STANLEY DEAN WITTER & CO, 1585 BROADWAY, NEW YORK, NY 10036  
(212) 761-4000 - 3,000,000 (\$224,355,000) COMMON STOCK. (FILE 333-  
55972 -  
FEB. 21) (BR. 7)

S-8 MARVELL TECHNOLOGY GROUP LTD, 2 CHURCH STREET CLARENDON HOUSE,  
P O BOX HM 1022, HAMILTON HM DX BERMU, DO (441) 299-4985 - 8,768,553  
(\$223,324,084) COMMON STOCK. (FILE 333-55974 - FEB. 21) (BR. 5)

S-8 DOMINIX INC, C/O BOOKDIGITAL.COM, INC., 142 WEST 38TH STREET 2ND  
FLOOR,  
NEW YORK, NY 10018 (212) 480-6380 - 445,000 (\$1,631,250) COMMON STOCK.  
(FILE 333-55976 - FEB. 21) (BR. 9)

S-8 HANOVER COMPRESSOR CO /, 12001 N HOUSTON ROSSLYN, HOUSTON, TX 77086  
(281) 447-8787 - 567,583 (\$21,982,490) COMMON STOCK. (FILE 333-55978 -  
FEB. 21) (BR. 6)

S-2 METROPOLITAN MORTGAGE & SECURITIES CO INC, 601 W. 1ST AVENUE,  
DEPT 115000, SPOKANE, WA 99201 (509) 838-3111 - 49,500,000  
(\$49,500,000)  
PREFERRED STOCK. (FILE 333-55980 - FEB. 21) (BR. 7)

S-8 DREYERS GRAND ICE CREAM INC, 5929 COLLEGE AVE, OAKLAND, CA 94618  
(510) 652-8187 - 2,000,000 (\$37,248,600) COMMON STOCK. (FILE 333-55982  
-  
FEB. 21) (BR. 4)

S-2 METROPOLITAN MORTGAGE & SECURITIES CO INC, 601 W. 1ST AVENUE,  
DEPT 115000, SPOKANE, WA 99201 (509) 838-3111 - 100,000,000  
(\$100,000,000)  
STRAIGHT BONDS. (FILE 333-55984 - FEB. 21) (BR. 7)

S-8 CENTERPOINT PROPERTIES TRUST, 1808 SWIFT ROAD, OAK BROOK, IL 60523  
(312) 346-5600 - 1,200,000 (\$55,380,000) COMMON STOCK. (FILE 333-55986  
-  
FEB. 21) (BR. 8)

S-3 COREL CORP, 1600 CARLING AVE, OTTAWA ONTARIO K1Z 8R7, CANADA, A6  
00000  
(613) 728-8200 - 24,000,000 (\$61,500,000) COMMON STOCK. (FILE 333-  
55988 -  
FEB. 21) (BR. 3)

S-8 JNI CORP, 9775 TOWNE CENTRE DR, SAN DIEGO, CA 92121 (858) 535-3121 -  
175,000 (\$2,642,500) COMMON STOCK. (FILE 333-55992 - FEB. 21) (BR. 36)

S-3 POST PROPERTIES INC, 4401 NORTHSIDE PARKWAY, SUITE 800, ATLANTA, GA 30327 (404) 846-5000 - \$366,000,000 STRAIGHT BONDS. (FILE 333-55994 - FEB. 21) (BR. 8)

S-1 LIBERTY MEDIA CORP /DE/, 9197 SOUTH PEORIA STREET, ENGLEWOOD, CO 80112 (720) 875-5400 - 2,666,391,420 (\$2,004,684,000) COMMON STOCK. (FILE 333-55998 - FEB. 21) (BR. 7)

S-8 E TRADE GROUP INC, 4500 BOHANNON DRIVE, MENLO PARK, CA 94025 (650) 842-2500 - 284,015 (\$1,897,220.20) COMMON STOCK. (FILE 333-56002 - FEB. 21) (BR. 7)

S-3 CISCO SYSTEMS INC, 170 W TASMAN DR, SAN JOSE, CA 95134 (408) 526-4000 - 711,046 (\$19,468,439.48) COMMON STOCK. (FILE 333-56004 - FEB. 21) (BR. 3)

S-8 CARDINAL HEALTH INC, 7000 CARDINAL PL, DUBLIN, OH 43017 (614) 717-5000 - 75,000 (\$7,504,500) COMMON STOCK. (FILE 333-56006 - FEB. 21) (BR. 1)

S-8 CARDINAL HEALTH INC, 7000 CARDINAL PL, DUBLIN, OH 43017 (614) 717-5000 - 280,000 (\$28,016,800) COMMON STOCK. (FILE 333-56008 - FEB. 21) (BR. 1)

S-8 CARDINAL HEALTH INC, 7000 CARDINAL PL, DUBLIN, OH 43017 (614) 717-5000 - 500,000 (\$50,030,000) COMMON STOCK. (FILE 333-56010 - FEB. 21) (BR. 1)

S-1 WEBGAIN INC, 5425 STEVENS CREEK BLVD, SANTA CLARA, CA 95051 (408) 517-3739 - \$86,250,000 COMMON STOCK. (FILE 333-56012 - FEB. 21)

S-8 JUNO ONLINE SERVICES INC, 1540 BROADWAY, NEW YORK, NY 10036 (212) 597-9000 - 1,500,000 (\$2,923,020) COMMON STOCK. (FILE 333-56014 - FEB. 21) (BR. 3)

S-8 JUNO ONLINE SERVICES INC, 1540 BROADWAY, NEW YORK, NY 10036 (212) 597-9000 - 1,645,374 (\$2,923,020) COMMON STOCK. (FILE 333-56016 - FEB. 21) (BR. 3)

S-4 PLATO LEARNING INC, POPLAR CREEK OFFICE PLZ, 1721 MOON LAKE BLVD, HOFFMAN ESTATES, IL 60194 (847) 781-7800 - \$10,140,000 COMMON STOCK. (FILE 333-56020 - FEB. 21) (BR. 5)

S-3 CYBERONICS INC, 16511 SPACE CENTER BLVD, SUITE 600, HOUSTON, TX 77058 (713) 332-1375 - 2,518,000 (\$52,721,884) COMMON STOCK. (FILE 333-56022 - FEB. 21) (BR. 5)

S-4 CORNERSTONE REALTY INCOME TRUST INC, 306 E MAIN ST, RICHMOND, VA  
 23219  
 (804) 643-1761 - 26,657,056 (\$264,855,300) COMMON STOCK. (FILE 333-  
 56024 -  
 FEB. 21) (BR. 8)

## RECENT 8K FILINGS

Form 8-K is used by companies to file current reports on the following events:

- Item 1 Changes in Control of Registrant.
- Item 2 Acquisition or Disposition of Assets.
- Item 3 Bankruptcy or Receivership.
- Item 4 Changes in Registrant's Certifying Accountant.
- Item 5 Other Materially Important Events
- Item 6 Resignations of Registrant's Directors.
- Item 7 Financial Statements and Exhibits
- Item 8 Change in Fiscal Year
- Item 9 Regulation 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		X				01/31/01	
ABN AMRO MORTGAGE CORP	DE	X										02/25/01	
ABN AMRO MORTGAGE CORP SERIES 1998- 2	DE	X										02/25/01	
ABN AMRO MORTGAGE CORP SERIES 1998- 3	DE	X										02/25/01	
ABN AMRO MORTGAGE CORP SERIES 1998- 4	DE	X										02/25/01	
ABN AMRO MORTGAGE CORP SERIES 1998- 5	DE	X										02/25/01	
ABN AMRO MORTGAGE CORP SERIES 1999- 1	DE	X										02/25/01	
ABN AMRO MORTGAGE CORP SERIES 1999- 2	DE	X										02/25/01	
ABN AMRO MORTGAGE CORP SERIES 1999- 3	DE	X										02/25/01	
ABN AMRO MORTGAGE CORP SERIES 1999- 4	DE	X										02/25/01	
ABN AMRO MORTGAGE CORP SERIES 1999- 5	DE	X										02/25/01	
ABN AMRO MORTGAGE CORP SERIES 1999- 6	DE	X										02/25/01	



NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
ABN AMRO MORTGAGE CORP SERIES 1999- 7	DE	X									02/25/01	
ABN AMRO MORTGAGE CORP SERIES 1999- 8	DE	X									02/25/01	
ABN AMRO MORTGAGE CORP SERIES 2000- 1	DE	X									02/25/01	
ABN AMRO MORTGAGE CORP SERIES 2000- 2	DE	X									02/25/01	
ABN AMRO MORTGAGE CORP SERIES 2000- 3	DE	X									02/25/01	
ABN AMRO MORTGAGE CORP SERIES 2000- 4		X									02/25/01	
ADVANCEPCS	DE				X	X					02/27/01	
ADVANTA CORP	DE				X						02/23/01	
AIMCO PROPERTIES LP	DE					X					09/20/00	AMEND
AIRPLANES LTD	DE				X						02/13/01	
AIRPLANES US TRUST	DE				X						02/13/01	AMEND
ALAMOSA DELAWAPE INC	DE	X				X					02/14/01	
ALAMOSA HOLDINGS INC	DE	X			X	X					02/14/01	
ALCAN ALUMINIUM LTD /NEW					X	X					02/26/01	
ALLIED WASTE INDUSTRIES INC	DE				X						02/27/01	
AMCORE FINANCIAL INC	NV				X	X					02/16/01	
AMEDISYS INC	DE				X	X					02/26/01	
AMERICAN HONDA RECEIVABLES CORP	CA				X						02/26/01	
AMERICAN SOUTHWEST FINANCIAL SECURI TIES CORP	AZ	X									02/25/01	
ANIXTER INTERNATIONAL INC	DE				X	X					02/23/01	
APARTMENT INVESTMENT & MANAGEMENT C O	MD					X					09/20/00	AMEND
APPLE ORTHODONTIX INC					X	X					02/07/01	
ARVINMERITOR INC	IN				X						02/22/01	
ARVINMERITOR INC	IN				X						02/22/01	
ASSOCIATES CREDIT CARD MASTER NOTE TRUST					X	X					02/20/01	
ASSOCIATES CREDIT CARD RECEIVABLES CORP	DE				X	X					02/20/01	
ASTROPOWER INC	DE				X	X					02/26/01	
BACOU USA INC	DE				X	X					02/26/01	
BAYLAKE CORP	WI				X	X					01/31/01	AMEND
BEA SYSTEMS INC	DE				X						02/13/01	
BEAR STEARNS ASSET BACKED SECURITIE S INC	DE				X	X					01/30/01	AMEND
BIO PLEXUS INC	CT				X						02/26/01	
BIOGAN INTERNATIONAL INC	DE			X		X					02/20/01	
BIOMUNE SYSTEMS INC	NV					X					11/03/00	AMEND
BMW AUTO LEASING LLC						X					02/26/01	
BMW MANUFACTURING LP						X					02/26/01	
BMW VEHICLE LEASE TRUST 2000-A						X					02/26/01	
BOMBARDIER CAPITAL MORTGAGE SECURIT IZATION CORP	VT					X					12/31/00	
BOMBARDIER CAPITAL MORTGAGE SECURIT IZATION CORP	VT					X					01/31/01	

NAME OF ISSUER	STATE	8K ITEM NO.									DATE	COMMENT
	CODE	1	2	3	4	5	6	7	8	9		
BOMBARDIER CAPITAL MORTGAGE SECURIT IZATION CORP	VT								X		01/31/01	
BOMBARDIER CAPITAL MORTGAGE SECURIT IZATION CORP	VT								X		01/31/01	
BOMBARDIER CAPITAL MORTGAGE SECURIT IZATION CORP	VT								X		01/31/01	
BOMBARDIER CAPITAL MORTGAGE SECURIT IZATION CORP	VT								X		01/31/01	
BOMBARDIER CREDIT RECEIVABLES CORP	DE								X		01/31/01	
BOMBARDIER CREDIT RECEIVABLES CORP	DE								X		01/31/01	
BRIGHTPOINT INC	DE				X		X				02/26/01	
CADMUS COMMUNICATIONS CORP/NEW	VA				X		X				02/27/01	
CALIFORNIA COMMUNITY BANCSHARES INC	DE				X						02/26/01	
CANADIAN DERIVATIVES CLEARING CORP					X		X				02/12/01	
CAPTEX CAPITAL INC		X	X		X	X	X				02/12/01	
CARNIVAL CORP	DE				X		X				02/26/01	
CB RICHARD ELLIS SERVICES INC	DE				X		X				02/23/01	
CDX COM INC	CO		X								12/31/01	
CELLPOINT INC	NV				X		X				02/27/01	
CHASE FUNDING INC	NY				X		X				02/27/01	
CISCO SYSTEMS INC	CA				X		X				02/26/01	
CLAYTON HOMES INC	DE				X		X				02/23/01	
CONSECO FINANCE CORP	DE				X		X				02/15/01	
CONSECO FINANCE CORP	DE				X		X				02/15/01	
CONSECO FINANCE CORP	DE				X		X				02/15/01	
CONVERA CORP	DE						X				12/21/00	AMEND
CONVERGENT COMMUNICATIONS INC /CO	CO								X		02/27/01	
COVEST BANCSHARES INC	DE				X		X				02/27/01	
CPI CORP	DE				X						02/26/01	
CREDIT SUISSE FIRST BOSTON MORTGAGE SECURITIES CORP	DE							X			02/27/01	
CREDITRUST CORP	MD		X				X				12/31/00	
CROSSKEYS SYSTEMS CORP			X		X		X				02/14/01	
CWABS INC	DE				X		X				02/27/01	
CWMBS INC	DE				X		X				02/27/01	
CYBER GROUP NETWORK CORP							X				01/29/01	
CYBER GROUP NETWORK CORP							X				02/08/01	
DANKA BUSINESS SYSTEMS PLC					X		X				02/26/01	
DATA CRITICAL CORP	DE				X		X				02/26/01	
DATASTREAM SYSTEMS INC	DE				X		X				02/26/01	
DEL GLOBAL TECHNOLOGIES CORP	NY	X									02/27/01	
DELCO REMY INTERNATIONAL INC	DE				X		X				02/26/01	
DIAMOND OFFSHORE DRILLING INC	DE						X		X		02/27/01	
DIGITAL BIOMETRICS INC	DE	X			X		X				02/15/01	
DOCENT INC	DE				X		X				02/19/01	
DOCTORSURF COM INC	FL				X		X				02/20/01	
DP CHARTERS INC/CA	NV	X									02/26/01	
DUPONT PHOTOMASKS INC	DE				X		X				01/30/01	
DYNAMIC I-T INC	CO							X			02/27/01	
ECCS INC	NJ				X						02/26/01	
EDUCATION LOANS INC /DE	DE				X		X				02/26/01	
ELECTRONIC TRANSMISSION CORP /DE/	DE					X	X				02/20/01	
ELOYALTY CORP	DE						X		X		02/22/01	

NAME OF ISSUER	STATE	BK ITEM NO.									DATE	COMMENT
	CODE	1	2	3	4	5	6	7	8	9		
EMERSON ELECTRIC CO	MO					X					02/26/01	
ENRON CORP/OR/	OR					X	X				12/31/00	
ENTREMED INC	DE					X	X				02/26/01	
EOG RESOURCES INC	DE							X			02/26/01	
EOP OPERATING LTD PARTNERSHIP	DE								X		02/27/01	
EP MEDSYSTEMS INC	NJ					X	X				02/16/01	
EQUITY INNS INC	TN					X					01/01/01	
EQUITY OFFICE PROPERTIES TRUST	MD								X		02/27/01	
EXELON CORP	PA					X					02/26/01	
F&M NATIONAL CORP	VA					X					02/27/01	
FINANCIAL SERVICES VEHICLE TRUST									X		02/26/01	
FIREBRAND FINANCIAL GROUP INC	DE		X					X			11/28/00	AMEND
FIRST LEESPORT BANCORP INC	PA					X	X				02/26/01	
FIRST LITCHFIELD FINANCIAL CORP	DE					X					02/22/01	
FIRST MIDWEST FINANCIAL INC	DE					X	X				02/26/01	
FIRST PLACE FINANCIAL CORP /DE/	DE					X					02/15/01	
FRANCHISE FINANCE CORP OF AMERICA	MD					X	X				12/31/00	
FRONTLINE COMMUNICATIONS CORP	DE					X	X				02/16/01	
GAYLORD ENTERTAINMENT CO /DE	DE								X		02/27/01	
GENZYME CORP	MA		X					X			12/14/00	AMEND
GOLDEN PHOENIX MINERALS INC /MN/	MN		X					X			02/09/01	
GREEN TREE FLOORPLAN RECIEVABLES MA STER TRUST	MN					X	X				02/15/01	
GREEN TREE FLOORPLAN RECIEVABLES MA STER TRUST	MN					X	X				02/15/01	
GREEN TREE FLOORPLAN RECIEVABLES MA STER TRUST	MN					X	X				02/15/01	
GREEN TREE FLOORPLAN RECIEVABLES MA STER TRUST	MN					X	X				02/15/01	
GREG MANNING AUCTIONS INC	NY					X	X				02/16/01	
GULFMARK OFFSHORE INC	DE					X					02/27/01	
HANOVER COMPRESSOR CO /	DE					X					02/27/01	
HARMONY HOLDINGS INC	DE					X	X				02/26/01	
HARRIS CORP /DE/	DE							X	X		02/26/01	
HAWAIIAN ELECTRIC CO INC	HI							X			02/23/01	
HAWAIIAN ELECTRIC INDUSTRIES INC	HI							X			02/23/01	
HBOA HOLDINGS INC	FL					X					02/26/01	
HOUSEHOLD AUTOMOBILE REVOLVING TRUS T I	NV							X			02/27/01	
HOUSEHOLD AUTOMOTIVE TRUST III SERI ES 1999-1	NV							X			02/27/01	
HYMEDIX INC	DE					X		X			01/31/01	AMEND
IBASIS INC	DE					X	X				02/26/01	
IMH ASSETS CORP IMPAC CMB TRUST SER IES 1999-1	CA	X									02/25/01	
IMPERIAL PETROLEUM RECOVERY CORP	NV					X	X				02/14/01	
INDYMAC ABS INC	DE					X	X				02/26/01	
INSURANCE MANAGEMENT SOLUTIONS GROU P INC	FL					X	X				02/26/01	
INTERCEPT GROUP INC	GA					X	X				02/05/01	
IRONSTONE GROUP INC	DE					X					02/13/01	AMEND
ITC DELTACOM INC	DE					X	X				02/27/01	
IVOICE COM INC /DE	DE							X			02/12/01	AMEND

NAME OF ISSUER	STATE CODE	BK ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
J JILL GROUP INC	DE					X	X				02/26/01	
JOHNS MANVILLE CORP /NEW/	DE	X									02/24/01	
LANDAMERICA FINANCIAL GROUP INC	VA					X					02/22/01	
LEHMAN BROTHERS HOLDINGS INC	DE					X	X				02/26/01	
LERNOUT & HAUSPIE SPEECH PRODUCTS N V						X	X				02/13/01	
LEUCADIA NATIONAL CORP	NY					X	X				02/26/01	
LIQUITEK ENTERPRISES INC	NV	X					X				02/12/01	
LSI COMMUNICATIONS INC	NV					X					02/26/01	
LUCENT TECHNOLOGIES INC	DE					X	X				02/22/01	
MAIL COM INC	DE					X	X				02/14/01	
MARICULTURE SYSTEMS INC	FL			X			X				02/23/01	
MARVEL ENTERPRISES INC	DE					X					02/27/01	
MAX INTERNET COMMUNICATIONS INC	NV					X	X				02/21/01	
MCCORMICK & CO INC	MD					X	X				02/20/01	
MCMORAN EXPLORATION CO /DE/	DE					X					02/26/01	
MEDINEX SYSTEMS INC	DE	X					X				02/13/01	
MERRILL LYNCH & CO INC	DE					X	X				02/28/01	
METALDYNE CORP	DE						X				12/15/00	AMEND
MILLS CORP	DE						X	X			12/31/00	
MINDARROW SYSTEMS INC	NV					X	X				02/21/01	
MONY GROUP INC	DE					X	X	X			02/08/01	
MORANZO INC	DE			X							02/26/01	
MORGAN STANLEY DEAN WITTER CAPITAL I INC	DE					X	X				02/27/01	
MORGAN STANLEY DEAN WITTER CAPITAL I TRUST 2001-PPM	DE						X				02/15/01	
NATIONAL CITY CORP	DE					X	X				02/27/01	
NATIONAL RECORD MART INC /DE/	DE			X							02/27/01	
NETIQ CORP						X	X				02/26/01	
NEUROGENESIS INC	DE	X									02/19/01	
NEVADA POWER CO	NV					X	X				02/23/01	
NEVADA POWER CO	NV					X	X				02/23/01	AMEND
NEW ERA OF NETWORKS INC	DE					X	X				02/20/01	
NEWCOR INC	DE					X					02/27/01	
NIKE INC	OR					X					02/26/01	
NORD RESOURCES CORP	DE		X								02/22/01	
NORTH FORK BANCORPORATION INC	DE					X	X				02/13/01	
OCULAR SCIENCES INC /DE/	DE					X	X				02/12/01	
OSHMANS SPORTING GOODS INC	DE					X	X				02/21/01	
P D C INNOVATIVE INDUSTRIES INC	NV					X					03/06/00	
PACER TECHNOLOGY	CA					X	X				02/23/01	
PALOMAR ENTERPRISES INC	NV					X					02/19/01	
PANJA INC	TX					X	X				02/23/01	
PARADIGM ADVANCED TECHNOLOGIES INC	DE	X					X				02/12/01	
PARK MERIDIAN FINANCIAL CORP	NC					X	X				02/22/01	
PEGASUS COMMUNICATIONS CORP INC						X	X				02/26/01	
PEN HOLDINGS INC	TN					X	X				02/16/01	
PERMA FIX ENVIRONMENTAL SERVICES IN C	DE							X			01/31/01	
PHOENIX RESOURCES TECHNOLOGIES INC	NV					X	X				02/22/01	
PJ AMERICA INC	DE					X					02/26/01	

NAME OF ISSUER	STATE	8K ITEM NO.									DATE	COMMENT	
	CODE	1	2	3	4	5	6	7	8	9			
PNC MORTGAGE SECURITIES CORP MORT P ASS THRO CERT SER 2000-9	DE		X									01/30/01	AMEND
POLYMER RESEARCH CORP OF AMERICA	NY				X							02/26/01	
PPG INDUSTRIES INC	PA				X		X					02/23/01	
PREDICTIVE SYSTEMS INC	DE		X					X				12/14/00	AMEND
PRIME GROUP REALTY TRUST	MD				X							02/26/01	
PROCTER & GAMBLE CO	OH				X							02/26/01	
PROGRESS ENERGY INC	NC				X		X					02/14/01	
PROMISTAR FINANCIAL CORP	PA				X		X					02/24/01	
PS BUSINESS PARKS INC/CA	CA							X		X		02/16/01	
PTI HOLDING INC	DE				X							01/23/01	
PUBLIC SERVICE CO OF NEW MEXICO	NM								X			02/26/01	
QUAZON CORP /NV/	NV				X		X					02/26/01	
QUINTILES TRANSNATIONAL CORP	NC								X			02/24/01	
QWEST COMMUNICATIONS INTERNATIONAL INC	DE								X			02/26/01	
RALCORP HOLDINGS INC /MO	MO				X		X					02/26/01	
RALCORP HOLDINGS INC /MO	MO				X		X					02/26/01	
REDWOOD EMPIRE BANCORP	CA				X							02/27/01	
RESIDENTIAL ASSET MORTGAGE PRODUCTS INC	DE							X				02/20/01	
RESIDENTIAL ASSET MORTGAGE PRODUCTS INC	DE							X				02/20/01	
RIGHT MANAGEMENT CONSULTANTS INC	PA				X		X					02/26/01	
RSA SECURITY INC/DE/	DE				X		X					02/12/01	
RSI SYSTEMS INC/MN	MN				X		X					02/26/01	
SALIX PHARMACEUTICALS LTD					X		X					01/22/01	
SANGSTAT MEDICAL CORP	DE				X		X					02/13/01	
SANMINA CORP/DF	DE				X		X					02/26/01	
SEPRACOR INC /DE/	DE				X							02/20/01	
SERVICE SYSTEMS INTERNATIONAL LTD	NV				X							01/25/01	
SIENA HOLDINGS INC	DE		X					X				02/23/01	
SIERRA PACIFIC POWER CO	NV				X		X					02/23/01	
SIERRA PACIFIC POWER CO	NV				X		X					02/23/01	AMEND
SIERRA PACIFIC RESOURCES	NV				X		X					02/23/01	
SIERRA PACIFIC RESOURCES	NV				X		X					02/23/01	AMEND
SILICON GAMING INC	CA							X		X		02/23/01	
SILVERLEAF RESORTS INC					X		X					02/26/01	
SIX FLAGS INC	DE				X		X					02/26/01	
SIX FLAGS OPERATIONS INC	DE				X		X					02/26/01	
SMART & FINAL INC/DE	DE				X		X					02/26/01	
SODEXHO MARRIOTT SERVICES INC	DE				X		X					02/27/01	
SONICBLUE INC	DE							X				01/03/01	AMEND
SOUTHWEST GAS CORP	CA								X			02/26/01	
SPACEDEV INC	CO				X		X					02/27/01	
SPECIALTY LABORATORIES					X		X					02/20/01	
STILWELL FINANCIAL INC	DE							X		X		02/27/01	
STRATESEC INC	DE							X				02/15/01	AMEND
T REIT INC	VA		X					X				02/26/01	AMEND
TELESOFT CORP	AZ		X									02/24/01	
TELESPECTRUM WORLDWIDE INC	DE				X		X					02/15/01	
TELESPECTRUM WORLDWIDE INC	DE				X		X					02/22/01	
TERREMARK WORLDWIDE INC	DE				X		X					02/23/01	

NAME OF ISSUER	STATE	8K ITEM NO.									DATE	COMMENT	
	CODE	1	2	3	4	5	6	7	8	9			
TJX COMPANIES INC /DE/	DE					X	X					02/06/01	
TONER SYSTEMS INTERNATIONAL INC	NV	X					X					03/31/01	AMEND
U S AGGREGATES INC	DE					X	X					02/26/01	
UGLY DUCKLING CORP	DE					X	X					12/31/00	
UNION BANKSHARES INC	VT					X						02/21/01	
UNITED COMMUNITY FINANCIAL CORP	OH					X	X					02/20/01	
UNITEDHEALTH GROUP INC	MN									X		02/27/01	
UNITEL VIDEO INC/DE	DE					X	X					02/16/01	
US AUTOMOTIVE MANUFACTURING INC	DE		X				X					02/22/01	
US OFFICE PRODUCTS CO	DE					X						01/29/01	
USA EDUCATION INC	DE					X	X					02/27/01	
USX CORP	DE					X	X					02/27/01	
VA LINUX SYSTEMS INC	DE					X	X					02/20/01	
VAIL BANKS INC	CO					X	X					02/26/01	
VANDERBILT MORTGAGE & FINANCE INC	TN					X	X					02/23/01	
VELOCITA CORP	DE					X	X					02/15/00	
VENTAS INC	DE					X	X					02/23/01	
VION PHARMACEUTICALS INC	DE					X	X					02/26/01	
VIROPHARMA INC	DE					X	X					02/27/01	
VISTA EYECARE INC	GA					X						02/26/01	
VISTEON CORP	DE					X						02/27/01	
VOYUS LTD			X					X				01/31/01	
WATSON WYATT & CO HOLDINGS	DE					X						02/27/01	
WEATHERFORD INTERNATIONAL INC /NEW/	DE	X					X					02/09/01	
WESTERN POWER & EQUIPMENT CORP	DE					X	X					01/31/01	
WESTPOINT STEVENS INC	DE					X	X					02/26/01	
WHISPERING OAKS INTERNATIONAL INC		X				X	X	X				01/29/01	
WILMINGTON TRUST CORP	DE					X		X				02/19/01	
WILSON BROTHERS USA INC	IL									X		02/21/01	
WORLD WIRELESS COMMUNICATIONS INC	NV					X						02/26/01	
WORLDWIDE EQUIPMENT CORP	FL					X						01/16/01	
ZEMEX CORP	DE					X						02/16/01	
21ST CENTURY TECHNOLOGIES INC	NV	X										02/26/01	