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SEC NEWS DIGEST

Issue 2001-75

April 18, 2001

COMMISSION ANNOUNCEMENTS

SEC RELEASES STATEMENT ON EXTENSIONS OF COMPLIANCE DATE FOR GRAMM-LEACH-BLILEY ACT BROKER-DEALER REGISTRATION REQUIREMENTS

On April 17, the Commission released the following statement with regard to extending the date upon which banks must comply with the broker-dealer registration requirements under the Gramm-Leach-Bliley Act:

We understand that banks may require additional time beyond the statutory deadline of May 12, 2001, to complete the process of ensuring that their securities activities either fall within the new exceptions to the definitions of broker and dealer or are conducted by registered broker-dealers.

The Commission intends to engage in rulemaking shortly on these exceptions. In connection with the rulemaking, the Commission expects to provide the following temporary exemptions for banks. First, the Commission expects to exempt banks from the definitions of broker and dealer until October 1, 2001 for their existing securities activities. Second, the Commission expects that, until January 1, 2002, the compensation received by banks and paid by banks to their employees will not affect the availability of any exception from the definitions of broker or dealer. (Press Rel. 2001-37)

COMMISSION MEETINGS

CHANGE IN THE MEETING: CANCELLATION OF MEETING

The closed meeting scheduled for Wednesday, April 18, at 11:00 a.m. has been cancelled.

CLOSED MEETING – WEDNESDAY, APRIL 25, 2001 – 11:00 A.M.

The subject matter of the closed meeting scheduled for Wednesday, April 25, at 11:00 a.m. will be: Institution and settlement of injunctive actions; and Institution and settlement of administrative proceedings of an enforcement nature.

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.

ENFORCEMENT PROCEEDINGS

COMMISSION SANCTIONS RUSSO SECURITIES, INC. AND KIMBERLY KENT

The Commission has found that Russo Securities, Inc., a registered broker-dealer, willfully violated net capital, reporting, recordkeeping, and notice requirements. It further found that Kimberly Kent, the firm's financial and operations principal, willfully aided and abetted and was a cause of Russo's violations. The Commission ordered Russo and Kent to cease and desist from violating or causing violations of these provisions. It also ordered Russo to pay a civil money penalty of \$75,000. The Commission suspended Kent for one year from association with any broker or dealer, and ordered her to pay a civil money penalty of \$25,000.

On four separate occasions, Russo included in its net capital stock due to the firm under three investment banking agreements. These agreements provided that Russo was entitled to receive shares (or options to purchase shares) of the respective issuer's stock in exchange for Russo's consulting services. During the relevant period, the stock due to Russo had not been authorized for issuance to Russo by each issuer's board of directors, had not been issued to Russo, and was not registered with the Commission when such registration was required. Without the stock, the firm's net capital balance on the dates in question was well below its \$100,000 required minimum net capital. Kent prepared Russo's books and records, performed the firm's net capital calculations, and prepared its monthly FOCUS reports which included the stock as an allowable asset.

The Commission found that the disputed shares were not "readily convertible into cash" and were "nonmarketable." Thus, they were not properly included as assets under the net capital rule. The shares were neither issued nor authorized for issuance to Russo by each issuer's board of directors on the four dates that the firm included the shares in its net capital. In addition, the stock was not registered with the Commission when such registration was required under the investment banking agreements.

In sanctioning Russo and Kent, the Commission observed that Russo had previously engaged in similar violations, and that Kent knew this when she took her position at the firm. Given her knowledge, the Commission believed that Kent should have been particularly careful in her oversight of Russo's compliance with the net capital rule. Instead, on four separate occasions, Russo violated, and Kent aided and abetted Russo's violations of, the net capital and related rule violations. (Rel. 34-44186; File No. 3-9484)

SEC INSTITUTES ADMINISTRATIVE PROCEEDING AGAINST JEREMIAH HEGARTY AND MICHAEL HEGARTY BASED ON ENTRY OF INJUNCTION

On April 17, the Commission instituted an administrative proceeding seeking remedial sanctions against Jeremiah J. Hegarty and Michael P. Hegarty based on the entry of a final judgment by the U.S. District Court for the District of Massachusetts enjoining J. Hegarty and M. Hegarty from violating the antifraud provisions of the Investment Advisers Act of 1940, the Securities Act of 1933 and the Securities Exchange Act of 1934. The Court also enjoined J. Hegarty from violating the advertising and performance fee provisions of the Advisers Act (SEC v. Jeremiah J. Hegarty and Michael Hegarty, Civil Action No. 96-12367-RCL, D. Mass., Aug. 22, 2000).

The final judgment against J. Hegarty permanently restrained and enjoined him from violating Section 17(a) of the Securities Act of 1933, Section 10(b) of the Securities Exchange Act of 1934, and Rule 10b-5 thereunder, and Sections 205, 206(1), 206(2) and 206(4) of the Investment Advisers Act of 1940, and Rule 206(4)-1(a)(5) thereunder. The Court also ordered J. Hegarty to pay a civil penalty in the amount of \$125,000. The final judgment against M. Hegarty permanently restrained and enjoined him from violating Section 17(a) of the Securities Act, Section 10(b) of the Exchange Act and Rule 10b-5 thereunder, and Sections 206(1) and 206(2) of the Advisers Act. The Court also ordered M. Hegarty to disgorge brokerage commissions he obtained during the period of the fraud, in the amount of \$92,998.

A hearing will be held before an administrative law judge to determine whether the Division's allegations against Jeremiah J. Hegarty and Michael P. Hegarty are true, and if so, whether remedial sanctions are appropriate and in the public interest. (Rel. 34-44187; IA-1939; File No. 3-10455)

SEC SETTLES FRAUD ACTION AGAINST EXCAL ENTERPRISES, PARK NEWTON, AND FREDERICK SCHADT

On January 17, 2001, the U.S. District Court for the Middle District of Florida entered final consent judgments against Excal Enterprises, formerly known as Assix International, Inc., R. Park Newton III, and Frederic S. Schadt in a securities fraud suit filed by the Commission in September 1995. Without admitting or denying the Commission's allegations, Excal consented to a final judgment permanently enjoining it from violating antifraud, periodic reporting, and books and records provisions (Securities Exchange Act of 1934 Sections 10(b), 13(a), and 13(b)(2)(A), and Rules 10b-5, 13a-1, 13a-11, 13a-13, and 12b-20). Without admitting or denying the Commission's allegations, Newton consented to final judgment permanently enjoining him from violating antifraud, false statement to accountants, books and records, and beneficial ownership reporting provisions (Securities Act of 1933 Section 17(a), Exchange Act Sections 10(b) and 16(a) and Rules 10b-5, 13b2-1, 13b2-2, 16a-2 and 16a-3 thereunder) and agreed to pay disgorgement of alleged insider trading profits of \$80,000, prejudgment interest of \$75,000, and a \$250,000 civil penalty. Without admitting or

denying the Commission's allegations, Schadt consented to the entry of a final judgment permanently enjoining him from violating antifraud and beneficial ownership reporting provisions (Exchange Act Sections 10(b) and 13(d) and Rules 10b-5 and 13d-1 thereunder), and ordering disgorgement of alleged insider trading profits of \$30,305, plus prejudgment interest of \$22,617, and payment of a \$30,305 penalty. This concludes the Commission's litigation in this case. [SEC v. Excal Enterprises, Inc., et al., Civil Action No. 95-1583-CIV-T-23B, MD Fla.] (LR-16964; AAE Rel. 1382)

ORDER ENTERED AGAINST PINNACLE CAPITAL ADVISORS AND AUSTIN TANNER IN INTERNET FRAUD ACTION

Today, the Commission announced the entry of a consent order by the U.S. District Court (District of Colorado) enjoining Pinnacle Capital Advisors (Pinnacle) and Austin Tanner from future violations of the antifraud provisions of the federal securities laws. The Commission sued Pinnacle and Tanner in February 2001 for making false and misleading performance claims and testimonials appearing on three different websites, namely OptionInvestor.com, SplitTrader.com, and NetBulls.com, and in press releases. *See* Litigation Release No. 34-16913/March 1, 2001. Tanner, from Westchester, Illinois, and his company Pinnacle, created the homepages of the websites and drafted the performance claims and testimonials.

Without admitting or denying the allegations in the complaint, Pinnacle and Tanner consented to the entry of the Order that permanently enjoins them from violating Section 10(b) of the Securities Exchange Act of 1934 and Rule 10b-5 thereunder and orders them to pay a civil money penalty of \$20,000. [SEC v. Sunset Investment Group, Inc., James Brown, Pinnacle Capital Advisors, and Austin Tanner, Civ. No. 01-M-0358, District of Colorado] (LR-16965)

MICHAEL RICHMOND PLEADS GUILTY TO DEFRAUDING INVESTORS

On April 11, Michael D. Richmond, of Orland Park, Illinois, pled guilty to seventeen counts of mail fraud in connection with his fraudulent sale of \$8.6 million in purported certificates of deposit through an entity he created called Royal Meridian International Bank (RMIB). On April 7, 2000, a federal grand jury in Boston, Massachusetts indicted Richmond on seventeen counts of mail fraud and twenty-one counts of money laundering in connection with his activities. As part of the scheme, according to the indictment, Richmond incorporated RMIB in the island of Nauru in February 1997. The indictment alleges that RMIB was a bank in name only. According to the U.S. Attorney for the District of Massachusetts, Richmond faces up to 5 years imprisonment and a fine of \$250,000 on each count, as well as an order to pay restitution of \$8.6 million to the victims of his fraud. Sentencing is scheduled for July 11, 2001 before the Honorable Joseph L. Tauro.

The Commission previously sought and obtained temporary restraining orders, preliminary injunctions and asset freezes against Richmond, RMIB and others involved in the alleged scheme. The Commission's July 1998 complaint alleged that Richmond

orchestrated a Ponzi scheme using internet websites and a network of sales agents to convince many elderly person and widows to liquidate annuities and other investment in order to purchase fictitious RMIB certificates of deposit paying a guaranteed return of up to 24%. The complaint further alleged that Richmond deposited investors' funds in bank accounts he controlled and subsequently used investor's money to repay earlier investors and for personal expenses of Richmond and others.

Litigation is ongoing against Richmond and others in the Commission's action. For further information see Litigation Release Nos. 15813, 15892, 16027, 16104, 16512 and 16824A. [U.S. v. Michael D. Richmond, USDC for the District of Massachusetts, C.A. No. 00-CR-10125-JLT] (LR-16966)

CIVIL INJUNCTION ISSUED AGAINST STEVEN SNYDER

On April 17, the United States District Court for the Eastern District of Pennsylvania ordered the entry of a permanent injunction against Steven T. Snyder, a former registered representative of Meridian Capital Markets, Inc. (Meridian), thus settling the Commission's civil action against him. Without admitting or denying the Commission's allegations, Snyder consented to the entry of a judgment which permanently enjoins him from violating Section 17(a) of the Securities Act of 1933, Section 10(b) of the Securities Exchange Act of 1934 and Rule 10b-5 thereunder. In addition, the judgment directs Snyder to pay to the U. S. Treasury: (1) an aggregate of \$279,987 in resolution of the Commission's claims, as well as potential claims by the Internal Revenue Service and the Department of Justice, and (2) a civil penalty of \$20,000. The Commission alleged that, from March 1993 through December 1995, Snyder engaged in a fraudulent scheme to generate profits for Meridian by charging various school districts and other municipalities in Pennsylvania and West Virginia unfair prices for U.S. Treasury securities sold to them in connection with certain tax-exempt refinancings, a practice known as "yield burning."

Snyder also agreed to settle a previously instituted administrative proceeding. On April 17, 2001, the Commission issued an order accepting Snyder's offer of settlement and, based on the entry of the civil injunction, barring him from association with any broker, dealer or municipal securities dealer, with a right to reapply for association after three years. [SEC v. Steven T. Snyder, Civil Action No. 01-CV-1870, EDPA] (LR-16967)

INVESTMENT COMPANY ACT RELEASES

LINDNER INVESTMENTS AND LINDNER ASSET MANAGEMENT, INC.

An order has been issued on an application filed by Lindner Investments and Lindner Asset Management, Inc. exempting applicants from Sections 12(d)(1)(A) and (B) and Section 17(a) of the Investment Company Act, and permitting certain joint transactions under Section 17(d) of the Act and Rule 17d-1 under the Act. The order permits certain

registered management investment companies to invest uninvested cash in an affiliated money market fund. (Rel. IC-24940 – April 17)

SELF-REGULATORY ORGANIZATIONS

DELISTING GRANTED

An order has been issued granting the application of the Boston Stock Exchange to strike from listing and registration the Common Stock, \$.01 par value, of Focus Affiliates, Inc., effective at the opening of business on April 18, 2001. (Rel. 34-44191)

SECURITIES ACT REGISTRATIONS

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 CGI GROUP INC, 1130 SHERBROOKE ST WEST, 5TH FL, MONTREAL QUEBEC CANA, E6
(514) 841-3200 - 5,000,000 (\$18,450,000) STRAIGHT BONDS. (FILE 333-13350 - APR. 05) (BR. 8)

S-3 INDIANA MICHIGAN POWER CO, ONE SUMMIT SQ, P O BOX 60, FORT WAYNE, IN
46801 (219) 425-2111 - 550,000,000 (\$550,000,000) STRAIGHT BONDS. (FILE 333-58656 - APR. 11) (BR. 2)

S-4 UNITED PARCEL SERVICE INC, 55 GLENLAKE PARKWAY NE,
55 GLENLAKE PARKWAY NE, ATLANTA, GA 30328 (404) 828-6000 - 1,285,115
(\$72,081,954) COMMON STOCK. (FILE 333-58660 - APR. 11) (BR. 5)

SB-2 STOCK GAME CO, 2550 E DESERT INN ROAD #323, LAS VEGAS, NV 89121
(702) 596-9142 - 675,000 (\$337,500) COMMON STOCK. (FILE 333-58662 - APR. 11) (BR. 9 - NEW ISSUE)

S-8 PHILLIPS PETROLEUM CO, PHILLIPS BUILDING, 800 PLAZA OFFICE BUILDING,
BARTLESVILLE, OK 74004 (918) 661-6600 - 16,100,000 (\$880,106,500)
COMMON STOCK. (FILE 333-58664 - APR. 11) (BR. 4)

SB-2 CYBAR TECHNOLOGIES INC, 510 BURRARD ST STE 910,
VANCOUVER, BRITISH COLUMBIA, CANADA V6C 3A8, A1 00000 (604) 682-6928 -
3,324,500 (\$664,900) COMMON STOCK. (FILE 333-58666 - APR. 11) (BR. 9
- NEW ISSUE)

S-8 FIRST BANCORP /NC/, 341 NORTH MAIN ST, PO BOX 508, TROY, NC 27371
(910) 576-6171 - 150,000 (\$2,915,625) COMMON STOCK. (FILE 333-58668 -
APR. 11) (BR. 7)

S-8 CENDANT CORP, 9 WEST 57TH STREET, NEW YORK, NY 10019 (973) 496-5036 -
60,469,620 (\$846,877,028.10) COMMON STOCK. (FILE 333-58670 - APR. 10)
(BR. 8)

S-8 GENERAL BINDING CORP, ONE GBC PLZ, NORTHBROOK, IL 60062 (847) 272-
3700
- 10,000 (\$87,500) COMMON STOCK. (FILE 333-58672 - APR. 11) (BR. 3)

S-3 WELLS FARGO & CO/MN, 420 MONTGOMERY ST, SIXTH & MARQUETTE,
SAN FRANCISCO, CA 94163 (612) 667-1234 - 2,000,000 (\$92,320,000)
COMMON STOCK. (FILE 333-58674 - APR. 11) (BR. 7)

S-8 QUAKER CHEMICAL CORP, ELM AND LEE STS, CONSHOHOCKEN, PA 19428
(215) 832-4011 - 500,000 (\$8,605,000) COMMON STOCK. (FILE 333-58676 -
APR. 11) (BR. 6)

S-8 MILLER EXPLORATION CO, 3104 LOGAN VALLFY RD, TRAVERSE CITY, MI
49685
(231) 941-0004 - 1,680,000 (\$1,629,000) COMMON STOCK. (FILE 333-58678 -
APR. 11) (BR. 4)

S-8 SEEBEYOND TECHNOLOGY CORP, 404 E HUNTINGTON DR, MONROVIA, CA
91016
(626) 471-6000 - 3,791,298 (\$35,579,311) COMMON STOCK. (FILE 333-58680 -
APR. 11) (BR. 3)

S-8 PENNS WOODS BANCORP INC, 115 S MAIN ST, JERSEY SHORE, PA 17740
(570) 398-2213 - 100,000 (\$2,845,000) COMMON STOCK. (FILE 333-58682 -
APR. 11) (BR. 7)

S-8 RESTORATION HARDWARE INC, 650 MADISON AVE, 26TH FLOOR, NEW YORK, NY

10022 (415) 924-1005 - 741,239 (\$3,259,657.85) COMMON STOCK. (FILE 333-58684 - APR. 11) (BR. 2)

S-8 CMS ENERGY CORP, FAIRLANE PLZ S STE 1100, 330 TOWN CENTER DR, DEARBORN,

MI 48126 (313) 436-9261 - 5,000,000 (\$140,375,000) COMMON STOCK. (FILE 333-58686 - APR. 11) (BR. 2)

S-8 GREENPOINT FINANCIAL CORP, 10089 WILLOW CREEK RD, SAN DIEGO, CA 92131

(212) 834-1000 - 2,000,000 (\$62,140,000) COMMON STOCK. (FILE 333-58688 - APR. 11) (BR. 7)

S-8 GREENPOINT FINANCIAL CORP, 10089 WILLOW CREEK RD, SAN DIEGO, CA 92131

(212) 834-1000 - 263,000 (\$8,171,410) COMMON STOCK. (FILE 333-58690 - APR. 11) (BR. 7)

S-8 MILLENNIUM CELL INC, INDUSTRIAL WAY WEST, EATONTOWN, NJ 07724

(732) 542-4000 - 125,000 (\$826,250) COMMON STOCK. (FILE 333-58692 - APR. 11) (BR. 5)

S-3 BOSTON PROPERTIES INC, 800 BOYLSTON STREET, SUITE 400, BOSTON, MA 02199

(617) 236-3300 - 577,817 (\$21,549,685.02) COMMON STOCK. (FILE 333-58694 - APR. 11) (BR. 8)

S-3 HYBRID NETWORKS INC, 6409 GUADALUPE MINES ROAD, SAN JOSE, CA 95120

(408) 323-6500 - 4,484,103 (\$8,968,206) COMMON STOCK. (FILE 333-58696 - APR. 11) (BR. 3)

S-3 CITIZENS INC, 400 EAST ANDERSON LANE, AUSTIN, TX 78752 (512) 837-7100 - 2,000,000 (\$13,500,000) COMMON STOCK. (FILE 333-58698 - APR. 11) (BR. 1)

N-2 NUVEEN MICHIGAN DIVIDEND ADVANTAGE MUNICIPAL FUND, JOHN NUVEEN & CO,

333 W WACKER DR, CHICAGO, IL 60606 (312) 917-8146 - 1,000 (\$15,000) COMMON STOCK. (FILE 333-58700 - APR. 11) (BR. 18)

N-2 NUVEEN INSURED CALIFORNIA DIVIDEND ADVANTAGE MUNICIPAL FUND,
JOHN NUVEEN & CO INC, 333 WEST WACKER DRIVE, CHICAGO, IL 60606
(312) 917-7794 - 1,000 (\$15,000) COMMON STOCK. (FILE 333-58702 - APR. 11)
(BR. 18)

SB-2 HYPERSTEALTH BIOTECHNOLOGY CORP, 6441 LOUGHEED HWY.,
BURNABY, A1 -
3,880,152 (\$387) COMMON STOCK. (FILE 333-58704 - APR. 11) (BR. 9)

S-3 U S PLASTIC LUMBER CORP, 2300 W GLADES R STE 440 W, BOCA RATON, FL
33431
(561) 394-3511 - 2,700,000 (\$2,193,750) COMMON STOCK. (FILE 333-58706 -
APR. 11) (BR. 9)

N-2 NUVEEN DIVIDEND ADVANTAGE MUNICIPAL FUND 3, 333 WEST WACKER
DRIVE,
CHICAGO, IL 60606 (312) 917-8146 - 1,000 (\$15,000) COMMON STOCK. (FILE
333-58708 - APR. 11) (BR. 17)

N-2 NUVEEN CALIFORNIA DIVIDEND ADVANTAGE MUNICIPAL FUND 3,
333 WEST WACKER DRIVE, CHICAGO, IL 60606 (312) 917-8146 - 1,000 (\$15,000)
COMMON STOCK. (FILE 333-58712 - APR. 11) (BR. 17)

S-3 EXTREME NETWORKS INC, 3585 MONROE STREET, SANTA CLARA, CA 95051
(408) 579-2800 - 2,884,285 (\$44,677,574.65) COMMON STOCK. (FILE 333-58714 -
APR. 11) (BR. 3)

N-2 NUVEEN MARYLAND DIVIDEND ADVANTAGE MUNICIPAL FUND 2,
333 WEST WACKER DRIVE, CHICAGO, IL 60606 (312) 917-8146 - 1,000 (\$15,000)
COMMON STOCK. (FILE 333-58716 - APR. 11) (BR. 17)

S-8 JDS UNIPHASE CORP /CA/, 210 BAYPOINTE PKWY, SAN JOSE, CA 95134
(408) 434-1800 - 59,774,958 (\$820,710,174) COMMON STOCK. (FILE 333-58718 -
APR. 11) (BR. 5)

SB-2 ANAGRAM PLUS INC, 2700 MILITARY TRAIL, SUITE 100, BOCA RATON, FL
33431
(561) 241-3621 - 2,680,000 (\$2,680,000) COMMON STOCK. (FILE 333-58720 -
APR. 11) (NEW ISSUE)

S-3 UNITED PAN EUROPE COMMUNICATIONS NV,
FREDERIK ROESKESTRAAT 123 PO BOX 74763, 1070 BT AMSTERDAM,
NETHERLANDS, P7
00000 - 125,000,000 (\$901,306,895) FOREIGN COMMON STOCK. (FILE 333-58722 -
APR. 11) (BR. 7)

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- S-8 CNET NETWORKS INC, 150 CHESTNUT ST, SAN FRANCISCO, CA 94111
(415) 364-8000 - 10,867,066 (\$215,975,715) COMMON STOCK. (FILE 333-58724 -
APR. 11) (BR. 5)
- S-3 WEBMETHODS INC, 3930 PENDER DRIVE, 4TH FLOOR, FAIRFAX, VA 22030
(703) 460-2500 - 232,511 (\$4,003,840) COMMON STOCK. (FILE 333-58726 -
APR. 11) (BR. 3)
- S-3 IMPERIAL CREDIT INDUSTRIES INC, 23550 HAWTHORNE BLVD, STE 110,
TORRANCE,
CA 90505 (310) 373-1704 - 3,000,000 (\$9,000,000) COMMON STOCK. (FILE
333-58728 - APR. 11) (BR. 7)
- S-3 WHITE ELECTRONIC DESIGNS CORP, 3601 E UNIVERSITY DRIVE, PHOENIX,
AZ
85034 (602) 437-1520 - 905,000 (\$3,647,150) COMMON STOCK. (FILE 333-58730
- APR. 11) (BR. 5)
- S-8 SPORTSNUTS COM INTERNATIONAL INC, TOWERS AT S TOWNE #2 STE 550,
10421 S 400 W, SALT LAKE CITY, UT 84095 (801) 967-0777 - 1,175,000
(\$64,625) COMMON STOCK. (FILE 333-58732 - APR. 11) (BR. 5)
- S-3 EXTREME NETWORKS INC, 3585 MONROE STREET, SANTA CLARA, CA 95051
(408) 579-2800 - 1,357,319 (\$21,024,871.31) COMMON STOCK. (FILE 333-58734
- APR. 11) (BR. 3)
- S-8 RIVERSTONE NETWORKS INC, 5200 GREAT AMERICA PKWY, SANTA CLARA,
CA 95054
(408) 878-6500 - 45,000,000 (\$257,399,654) COMMON STOCK. (FILE 333-58736 -
APR. 12) (BR. 3)
- S-3 ARCH COAL INC, CITY PLACE ONE STE 300, ARCH MINERAL CORP, ST
LOUIS, MO
63141 (314) 994-2700 (FILE 333-58738 - APR. 12) (BR. 4)

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			
ACCELERATED NETWORKS INC						X			X			04/17/01	
ACCIDENT PREVENTION PLUS INC	NV					X						04/11/01	
ACKERLEY GROUP INC	DE		X						X			04/01/01	
ACRODYNE COMMUNICATIONS INC	DE					X			X			04/17/01	
ADVANCED SYSTEMS INTERNATIONAL INC	NV					X						04/16/01	
ADVANTA BUSINESS SERVICES CORP	DE								X			04/11/01	
ADVANTA BUSINESS SERVICES CORP	DE								X			04/11/01	
ADVANTA EQUIPMENT LEASING RECEIVABLES SERIES 2000-1 LLC	NV								X			04/11/01	
ADVANTA LEASING RECEIVABLES CORP IV	NV								X			04/11/01	
ADVANTA LEASING RECEIVABLES CORP IX	NV								X			04/11/01	
ADVANTA LEASING RECEIVABLES CORP V	NV								X			04/11/01	
ADVANTA LEASING RECEIVABLES CORP VI	NV								X			04/11/01	
AGCO CORP /DE	DE								X			04/16/01	
AIRCRAFT FINANCE TRUST	DE					X						04/17/01	
ALLERGAN SPECIALTY THERAPEUTICS INC	DE		X						X			04/16/01	
AMEDISYS INC	DE								X	X		04/06/09	
AMERICA FIRST REAL ESTATE INVESTMENT PARTNERS L P	DE		X									12/31/00	AMEND
AMERICAN ECOLOGY CORP	DE		X						X			02/01/01	AMEND
AMERICAN EXPRESS CENTURION BANK	UT					X			X			04/16/01	
AMERICAN EXPRESS CO	NY										X	04/16/01	

NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
AMERICAN EXPRESS CREDIT ACCOUNT MASTER TRUST	DE					X	X				04/16/01	
AMERICAN EXPRESS MASTER TRUST	DE					X	X				04/16/01	
AMERICAN EXPRESS RECEIVABLES FINANCING CORP	DE					X	X				04/16/01	
AMERICAN EXPRESS RECEIVABLES FINANCING CORP II	DE					X	X				04/16/01	
AMERICAN TOWER CORP /MA/	DE	X					X				04/02/01	
ANDRX CORP /DE/	DE	X					X				04/02/01	
ANNALY MORTGAGE MANAGEMENT INC	MD					X	X				04/16/01	
APARTMENT INVESTMENT & MANAGEMENT CO	MD					X	X				04/17/01	
ASIA PROPERTIES INVESTMENTS INC						X	X				12/31/00	
AUTOTOTE CORP	DE					X					03/30/01	
AUTOWEB COM INC	DE					X	X				04/11/01	
AUTOWEB COM INC	DE					X	X				04/11/01	AMEND
BALANCED CARE CORP	DE					X	X				04/02/01	
BANC ONE CREDIT CARD MASTER TRUST	NY					X	X				04/16/01	
BANCWEST CORP/HI	DE						X	X			04/17/01	
BANK OF AMERICA CORP /DE/	DE					X	X		X		04/16/01	
BANK OF NEW YORK CO INC	NY					X	X				03/31/01	
BATTERIES BATTERIES INC	DE				X						04/11/01	
BELDEN & BLAKE CORP /OH/	OH					X					04/01/01	
BERRY PETROLEUM CO	DE					X					04/16/01	
BIO SOLUTIONS INTERNATIONAL INC	NV						X				02/15/01	AMEND
BLACK HAWK GAMING & DEVELOPMENT CO INC	CO					X	X				04/13/01	
BLANCH E W HOLDINGS INC	DE					X	X				04/16/01	
BLYTH INC	DE					X	X				04/16/01	
BOLDER TECHNOLOGIES CORP	DE					X	X				04/16/01	
BRIGHAM EXPLORATION CO	DE					X	X				04/18/01	
BROADBASE SOFTWARE INC	DE					X					04/09/01	
BTG INC /VA/	VA	X					X				04/02/01	
BULLHIDE CORP	WA					X					04/11/01	
BURNHAM PACIFIC PROPERTIES INC	MD	X					X				04/02/01	
CADENCE DESIGN SYSTEMS INC	DE					X	X				04/17/01	
CALENERGY MINERALS LLC	DE					X	X				04/10/01	
CALENERGY OPERATING CORP	DE					X	X				04/10/01	
CALIFORNIA MICRO DEVICES CORP	CA					X					04/16/01	
CAPITAL ONE FINANCIAL CORP	VA					X	X				04/17/01	
CARLYLE REAL ESTATE LTD PARTNERSHIP XIV /IL/	IL	X					X				04/02/01	
CARLYLE REAL ESTATE LTD PARTNERSHIP XV	IL	X					X				04/02/01	
CAROLINA POWER & LIGHT CO	NC					X	X				04/04/01	
CATERPILLAR INC	DE					X					04/17/01	
CC MASTER CREDIT CARD TRUST II	MD						X				04/16/01	
CE SALTON SEA INC	DE					X	X				04/10/01	
CE TURBO LLC	DE					X	X				04/10/01	
CENTRAL EUROPEAN DISTRIBUTION CORP	DE					X	X				04/05/01	
CENTURY ALUMINUM CO	DE	X					X				04/02/01	
CHASE INDUSTRIES INC	DE	X					X				03/30/01	

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		1	2	3	4	5	6	7	8	9		
CHEMICAL FINANCIAL CORP	MI								X	X	03/31/01	
CHEMICAL FINANCIAL CORP	MI				X						03/31/01	
CHESAPEAKE ENERGY CORP	OK									X	04/16/01	
CHESAPEAKE ENERGY CORP	OK				X	X					04/16/01	
CHINA GATEWAY HOLDINGS INC	DE				X	X					03/20/01	
CIRCUIT CITY CREDIT CARD MASTER TRU	DE				X	X					04/16/01	
ST												
CITIGROUP INC	DE				X						04/16/01	
COLLINS & AIKMAN CORP	DE			X							04/10/01	
COLONIAL BANCGROUP INC	DE			X							04/17/01	
COMERICA INC /NEW/	DE									X	04/17/01	
COMMERCIAL BANCSHARES INC \OH\	OH				X						04/11/01	
COMMONWEALTH BANCORP INC	PA				X	X					04/17/01	
COMMUNITY BANCORP /VT	VT		X								04/05/01	
COMMUNITY BANK SHARES OF INDIANA IN	IN				X						03/31/01	
C												
COMPUTER NETWORK TECHNOLOGY CORP	MN		X						X		04/03/01	
CONCORD EFS INC	DE		X								04/16/01	AMEND
CONEJO ENERGY CO	CA				X	X					04/10/01	
CONTINENTAL AIRLINES INC /DE/	DE							X		X	04/17/01	
CONTROLLED ENVIRONMENTAL AQUACULTUR	CO	X									04/03/01	
E TECHNOLOGY INC												
CONVERGENT COMMUNICATIONS INC /CO	CO				X	X					04/17/01	
CTN MEDIA GROUP INC	DE				X	X					03/31/01	AMEND
CYBERIAN OUTPOST INC	DE				X	X					04/13/01	
DEALER AUTO RECEIVABLES CORP	DE				X	X					04/16/01	
DEL RANCH LP	CA				X	X					04/10/01	
DIAMOND OFFSHORE DRILLING INC	DE							X		X	04/16/01	
DISCAS INC					X						08/01/00	
DISCOVER BANK	DE				X	X					04/16/01	
DISCOVER CARD MASTER TRUST I	DE				X	X					04/16/01	
DISCOVER CARD MASTER TRUST I	DE				X	X					04/17/01	
DIVINE INC	DE		X					X			04/02/01	
DLD GROUP INC	DE	X	X		X	X	X				04/04/01	
DOLLAR GENERAL CORP	TN									X	04/16/01	
DOW CHEMICAL CO /DE/	DE							X		X	04/16/01	
DOWNEY FINANCIAL CORP	DE				X	X					04/16/01	
DRKOOP COM INC	DE				X	X					04/13/01	
DWC INSTALLATIONS					X			X			04/06/01	
EAGLE WIRELESS INTERNATIONAL INC	TX							X			04/16/01	
EATON CORP	OH					X					04/15/01	
EDISON CONTROLS CORP	NJ									X	04/16/01	
EDUVERSE COM	NV	X						X			04/12/01	AMEND
ELECTRONIC BUSINESS SERVICES INC	DE				X	X					09/30/00	
ELECTRONIC BUSINESS SERVICES INC	DE				X	X					10/31/00	
ELECTRONIC BUSINESS SERVICES INC	DE				X	X					11/30/00	
ELECTRONIC BUSINESS SERVICES INC	DE				X	X					12/31/00	
ELECTRONIC BUSINESS SERVICES INC	DE				X	X					01/31/01	
ELECTRONIC BUSINESS SERVICES INC	DE				X	X					02/28/01	
ELECTRONIC CLEARING HOUSE INC	NV	X									04/10/01	
ELMORE LP	CA				X	X					04/10/01	
EMUSIC COM INC	DE				X	X					04/06/01	AMEND

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		1	2	3	4	5	6	7	8	9		
ENGLISH LANGUAGE LEARNING & INSTRUCTION SYSTEM INC	DE								X		01/31/01	AMEND
ENSCO INTERNATIONAL INC	DE									X	04/17/01	
ENTRADE INC	PA										04/16/01	
EPHONE TELECOM INC	FL					X	X				03/23/01	
EPICEDGE INC	TX					X	X				04/16/01	
EPICOR SOFTWARE CORP	DE			X			X				04/10/01	
EQUITY INNS INC	TN					X					04/13/01	
EUROSOFT CORP	FL					X					04/17/01	
EXPEDITORS INTERNATIONAL OF WASHINGTON INC	WA									X	04/16/01	
FIFTH THIRD BANCORP	OH		X					X			04/02/01	AMEND
FILM ROMAN INC	DE					X	X				04/16/01	
FINANTRA CAPITAL INC	DE					X	X				04/17/01	
FINGERHUT RECEIVABLES INC	DE		X								04/16/01	
FIRST AMERICAN FINANCIAL CORP	CA					X	X				04/10/01	
FIRST BANCORP OF INDIANA INC	IA					X	X				04/16/01	
FIRST BUSEY CORP /NV/	NV					X	X				04/16/01	
FIRST CHARTER CORP /NC/	NC					X	X				04/17/01	
FIRST CHICAGO MASTER TRUST II	DE					X	X				04/16/01	
FIRST FORTIS LIFE INSURANCE CO	NY					X					04/01/01	
FIRST NBC CREDIT CARD MASTER TRUST								X			04/11/01	
FIRST SECURITY BANCORP INC /KY/	KY	X									03/31/01	
FIRST UNION CORP	NC					X	X	X			04/16/01	
FIRST USA BANK NATIONAL ASSOCIATION						X	X				04/16/01	
FIRST USA CREDIT CARD MASTER TRUST	DE					X	X				04/10/01	
FISH LAKE POWER LLC	DE					X	X				04/10/01	
FLEET CREDIT CARD MASTER TRUST II	NY	X									04/16/01	
FLEETBOSTON FINANCIAL CORP	RI					X	X				04/17/01	
FNANB CREDIT CARD MASTER TRUST						X	X				04/16/01	
FONIX CORP	DE					X	X				04/06/01	
FORD MOTOR CREDIT CO	DE					X	X				04/10/01	
FORTIS BENEFITS INSURANCE CO	MN	X						X			04/01/01	
FREEREALTIME COM INC	DE					X	X				04/06/01	
FRONTIER INSURANCE GROUP INC	DE					X					04/16/01	
G&L REALTY CORP	MD					X	X				04/13/01	
GASCO ENERGY INC	NV	X	X			X	X				01/31/01	AMEND
GENERAL CONSUMER PRODUCTS INC /FL/	FL				X		X				01/29/01	AMEND
GENERAL MOTORS CORP	DE							X			04/17/01	
GLOBAL MARINE INC	DE							X			04/17/01	
GOOD GUYS INC	DE							X			04/16/01	
GREAT LAKES DREDGE & DOCK CORP	DE					X	X	X			04/01/01	
GREATER BAY BANCORP	CA					X	X	X			04/16/01	
HARLEY DAVIDSON CUSTOMER FUNDING CO RP	NV					X	X				04/16/01	
HIGH EQUITY PARTNERS L P SERIES 86	DE					X					04/17/01	
HIGH EQUITY PARTNERS L P SERIES 88	DE					X					04/17/01	
HIGH SPEED NET SOLUTIONS INC	FL					X					04/16/01	
HOMESIDE GLOBAL MBS MANAGER INC	DE							X			04/10/01	
HOMESIDE MORTGAGE SECURITIES INC /DE/	DE							X			04/10/01	
HORIZON MEDICAL PRODUCTS INC	GA	X				X	X	X			03/30/01	

NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
HUGHES ELECTRONICS CORP	DE					X					04/17/01	
IDEAMALL INC	DE					X	X				04/17/01	
IDM PARTICIPATING INCOME CO II	CA	X		X							04/17/01	
IL FORNAIO AMERICA CORP	DE					X	X				04/17/01	
IMAGEWARE SYSTEMS INC	CA		X				X				03/30/01	
IMC GLOBAL INC	DE				X		X				04/17/01	
IN STORE MEDIA SYSTEMS INC	NV		X				X				03/30/01	
INDIANTOWN COGENERATION LP	DE						X				04/13/01	
INDYMAC INC HOME EQ MORT LOAN AS-BC K TR SER SPMD 2001-A	DE						X	X			03/26/01	
INTEGRA INC	DE					X					04/11/01	
INTELLIGENT CONTROLS INC	ME					X		X			04/10/01	
INTERACTIVE SYSTEMS WORLDWIDE INC / DE	DE					X		X			04/09/01	
INTERNET GOLF ASSOCIATION INC	CO		X					X			04/01/01	
INTERWOVEN INC	CA				X			X			04/12/01	
INTUIT INC	DE					X		X			04/17/01	
ION NETWORKS INC	DE					X		X			04/16/01	
ITEC ATTRACTIONS INC	NV					X		X			04/09/01	
IVG CORP	FL		X					X			04/01/01	
JONES APPAREL GROUP INC	PA					X		X			04/13/01	
KERAVISION INC /DE/	DE			X				X			03/23/01	
KRUG INTERNATIONAL CORP	OH		X					X			01/29/01	AMEND
KRUG INTERNATIONAL CORP	OH		X					X			02/01/01	AMEND
LAS AMERICAS BROADBAND INC	CO		X					X			01/02/01	AMEND
LAS AMERICAS BROADBAND INC	CO					X		X			03/29/01	
LCNB CORP	OH					X		X			04/17/01	
LEATHERS L P	CA					X		X			04/10/01	
LEHMAN ABS CORP	DE					X		X			04/01/01	
LEVCOR INTERNATIONAL INC	DE					X					04/16/01	
LIBERTY LIVEWIRE CORP	DE							X			02/01/01	AMEND
LITTON INDUSTRIES INC	DE		X					X			04/03/01	
LMI AEROSPACE INC	MO		X					X			04/02/01	
LOGIX COMMUNICATIONS ENTERPRISES IN C	OK						X				04/09/01	
LONE STAR TECHNOLOGIES INC	DE					X		X			04/16/01	
MAGNA ENTERTAINMENT CORP	DE		X					X			04/05/01	
MALLON RESOURCES CORP	CO		X								04/17/01	
MARINA CAPITAL INC	UT					X					12/31/00	
MARINE DRILLING COMPANIES INC	TX					X		X			04/17/01	
MAXTOR CORP	DE		X					X			04/02/01	
MC INFORMATICS INC	CA		X								03/31/01	
MCNAUGHTON APPAREL GROUP INC	DE					X		X	X		04/13/01	
MEDI JECT CORP /MN/	MN	X	X					X			04/16/01	AMEND
MEDITRUST CORP	DE		X					X			04/02/01	
MEGA MICRO TECHNOLOGIES GROUP	NV					X					01/05/01	AMEND
MELLON AUTO GRANTOR TRUST 2000-2							X	X			04/16/01	
MERRILL LYNCH MORTGAGE INVESTORS IN C	DE						X	X			04/16/01	
MIDWEST BANC HOLDINGS INC	DE					X		X			04/16/01	
MMI PRODUCTS INC	DE					X					04/17/01	
MOHAWK INDUSTRIES INC	DE					X		X	X		04/16/01	

NAME OF ISSUER	STATE CODE	BK ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
MONOGRAM PICTURES INC	NV					X	X				04/10/01	
MOTOR CLUB OF AMERICA	NJ									X	04/17/01	
MYSTIC FINANCIAL INC	DE					X	X				04/10/01	
NAVTECH INC	DE									X	04/16/01	AMEND
NELNET STUDENT LOAN CORP- 2	NV					X	X				04/02/01	
NETWORK PERIPHERALS INC	DE		X							X	04/02/01	
NET2000 COMMUNICATIONS INC	DE					X					04/16/01	
NIGUEL ENERGY CO	CA					X	X				04/10/01	
NMT MEDICAL INC	DE					X	X				04/17/01	
NOCOPI TECHNOLOGIES INC/MD/	MD									X	04/16/01	
NORTH BANCSHARES INC	DE					X					03/31/01	
NORTHERN TRUST CORP	DE					X	X				04/16/01	
NORTHROP GRUMMAN CORP /DE/	DE		X							X	04/03/01	
NORTHROP GRUMMAN SYSTEMS CORP	DE					X	X				04/02/01	
NOVO NETWORKS INC	DE		X							X	04/17/01	
NVE CORP /NEW/	MN	X									04/16/01	
NXGEN NETWORKS INC	NV						X				04/16/01	
OCCIDENTAL PETROLEUM CORP /DE/	DE					X				X	04/18/01	
ONYX SOFTWARE CORP/WA	WA					X	X				04/03/01	
OSTEOTECH INC	DE					X					04/16/01	
PALADYNE CORP	DE		X							X	02/01/01	
PARAGON CORPORATE HOLDINGS INC	DE					X					04/13/01	
PEOPLES SIDNEY FINANCIAL CORP	DE									X	04/13/01	
PEPSICO INC	NC					X	X				04/16/01	
PEREGRINE PHARMACEUTICALS INC	DE					X					04/06/01	
PIERCE INTERNATIONAL DISCOVERY INC	NV	X									04/02/01	
PNC MORT ACCEPT CORP COMMERC MORT P ASS THR CERT SER 1999 CM1	MO					X	X				04/10/01	
POLYMER GROUP INC	DE					X					04/16/01	
PRO NET LINK CORP						X	X				04/13/01	
PRODIGY COMMUNICATIONS CORP	DE					X	X				03/09/01	AMEND
PUBLIC SERVICE CO OF NEW MEXICO	NM									X	04/16/01	
PURE RESOURCES INC	DE		X							X	01/31/01	AMEND
QUAD CITY HOLDINGS INC	DE					X					04/17/01	
RANGER INDUSTRIES INC	CT	X	X				X	X			02/06/01	AMEND
RANGER INDUSTRIES INC	CT					X		X			04/11/01	
RELIABLE POWER SYSTEMS INC	CO							X			02/07/01	AMEND
RELIABLE POWER SYSTEMS INC	CO					X					04/30/01	
RELIANT ENERGY INC	TX							X	X		05/16/01	
RELIANT ENERGY RESOURCES CORP	DE							X	X		05/16/01	
RELIANT RESOURCES INC	DE							X	X		05/16/01	
RENTECH INC /CO/	CO					X					04/12/01	
RENTRAK CORP	OR		X					X			04/17/01	
RESIDENTIAL ASSET MORTGAGE PRODUCTS INC	DE							X			03/28/01	
RESIDENTIAL FUNDING MORTGAGE SECURI TIES I INC	DE							X			03/29/01	
RESIDENTIAL FUNDING MORTGAGE SECURI TIES I INC	DE							X			03/29/01	
RESIDENTIAL FUNDING MORTGAGE SECURI TIES I INC	DE							X			03/29/01	

NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
RESIDENTIAL FUNDING MORTGAGE SECURI TIES II INC	DE								X		03/27/01	
ROYAL HOLIDAY MOBILE ESTATES					X			X			04/06/01	
RUBY TUESDAY INC	GA	X									04/09/01	
SAKS CREDIT CARD MASTER TRUST	NV				X		X				04/16/01	
SAKS CREDIT CARD MASTER TRUST	NV				X		X				04/16/01	AMEND
SALES STRATEGIES INC					X		X				04/06/01	
SALOMON SMITH BARNEY HOLDINGS INC	DE				X						04/16/01	
SALTON SEA BRINE PROCESSING L P	CA				X		X				04/10/01	
SALTON SEA FUNDING CORP	DE				X		X				04/10/01	
SALTON SEA MINERALS CORP	DE				X		X				04/10/01	
SALTON SEA POWER GENERATION L P	CA				X		X				04/10/01	
SALTON SEA POWER LLC	DE				X		X				04/10/01	
SALTON SEA ROYALTY CO	DE				X		X				04/10/01	
SAN FELIPE ENERGY CO					X		X				04/10/01	
SARATOGA BRANDS INC	NY	X									10/02/00	
SAUCONY INC	MA				X						04/11/01	
SCHOLASTIC CORP	DE							X			04/17/01	
SCHULER HOMES INC	DE		X				X				04/03/01	
SCIENCE APPLICATIONS INTERNATIONAL CORP	DE				X						04/16/01	
SEARS CREDIT ACCOUNT MASTER TRUST I I	IL				X		X				04/16/01	
SELECT COMFORT CORP	MN							X			12/30/00	
SEQUOIA MORT TRUST 4 MORT LOAN ASSE T BACK PASS-THROUGH CERT	DE				X		X				02/22/01	
SIERRA PACIFIC POWER CO	NV				X		X				04/17/01	
SIERRA PACIFIC RESOURCES	NV				X		X				04/16/01	
SISTERSVILLE BANCORP INC	DE				X		X				04/09/01	
SONICPORT COM	NV		X				X				04/02/01	
SOUTH TEXAS DRILLING & EXPLORATION INC	TX	X									04/16/01	
SPHERION CORP	DE		X				X				04/02/01	
STAR GAS PARTNERS LP	DE				X		X				04/16/01	
STERLING FINANCIAL CORP /PA/	PA	X									04/17/01	
STRUCTURED ASSET MORTGAGE INVESTMEN TS INC	DE				X						03/06/01	
STRUCTURED ASSET MORTGAGE INVESTMEN TS INC	DE				X						03/25/01	
STRUCTURED ASSET MORTGAGE INVESTMEN TS INC	DE				X						03/26/01	
STRUCTURED ASSET MORTGAGE INVESTMEN TS INC	DE				X						03/26/01	
STRUCTURED ASSET MORTGAGE INVESTMEN TS INC	DE				X						03/26/01	
STRUCTURED ASSET MORTGAGE INVESTMEN TS INC	DE				X						03/26/01	
STRUCTURED ASSET MORTGAGE INVESTMEN TS INC	DE				X						03/26/01	
STRUCTURED ASSET MORTGAGE INVESTMEN TS INC	DE				X						03/26/01	

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		1	2	3	4	5	6	7	8	9		
STRUCTURED ASSET MORTGAGE INVESTMEN TS INC	DE					X					03/26/01	
STRUCTURED ASSET MORTGAGE INVESTMEN TS INC	DE					X					03/26/01	
STRUCTURED ASSET MORTGAGE INVESTMEN TS INC	DE					X					03/26/01	
STRUCTURED ASSET MORTGAGE INVESTMEN TS INC	DE					X					03/26/01	
STRUCTURED ASSET MORTGAGE INVESTMEN TS INC	DE					X					03/26/01	
STRUCTURED ASSET MORTGAGE INVESTMEN TS INC	DE					X					03/26/01	
SULPHCO INC	NV					X		X			04/09/01	
SURREY INC	TX		X								04/05/01	
SUSSEX BANCORP	NJ				X			X			04/02/01	AMEND
TAM RESTAURANTS INC	DE					X					03/30/01	
TEAMSTAFF INC	NJ		X			X	X		X		04/12/01	
TEKINSIGHT COM INC	DE					X		X			04/17/01	
TEXAS EASTERN TRANSMISSION CORP	DE					X		X			04/16/01	
THEME FACTORY INC	NV	X	X			X	X	X			03/09/01	
TIMKEN CO	OH					X		X			04/17/01	
TOTAL SYSTEM SERVICES INC	GA					X		X			04/17/01	
TRANS WORLD AIRLINES INC /NEW/	DE					X					04/09/01	
TRANSWESTERN HOLDINGS LP	DE		X					X			04/09/01	
TRANSWESTERN PUBLISHING CO LLC	DE		X					X			04/09/01	
TRIAD HOSPITALS HOLDINGS INC	DE									X	04/17/01	
TRIAD HOSPITALS HOLDINGS INC	DE					X		X			04/18/01	
TRIAD HOSPITALS INC	DE									X	04/17/01	
TRIAD HOSPITALS INC	DE					X		X			04/18/01	
TRIBEWORCS INC	DE						X				11/14/00	
TRUSTCO BANK CORP N Y	NY							X			04/17/01	
TSET INC	NV		X					X			04/17/01	
UBICS INC	DE		X					X			03/30/01	
UPDATE COM INC	DE							X			05/23/00	AMEND
UNITED AUTO GROUP INC	DE							X			04/12/01	
UNITED HERITAGE CORP	UT									X	04/17/01	
UNITED RENTALS INC /DE	DE					X		X			03/29/01	
UNITED RENTALS NORTH AMERICA INC	DE					X		X			03/29/01	
US BANCORP \DE\	DE					X					04/17/01	
USA EDUCATION INC	DE					X		X			04/11/01	
VALUE HOLDINGS INC	FL	X									04/17/01	
VANDERBILT MORTGAGE & FI IN MA HO C O SR SU PA TH C SE 2001A	TN					X		X			04/09/01	
VANS INC	DE							X	X		04/17/01	
VIRGINIA COMMERCE BANCORP INC						X		X			04/17/99	
VPC GEOTHERMAL LLC	DE					X		X			04/10/01	
VULCAN POWER CO /NV	NV					X		X			04/10/01	
VULCAN/BN GEOTHERMAL POWER CO	NV					X		X			04/10/01	
WACHOVIA CORP/ NC	NC					X		X	X		04/16/01	
WARNACO GROUP INC /DE/	DE					X		X			04/16/01	

NAME OF ISSUER	STATE	8K ITEM NO.									DATE	COMMENT	
	CODE	1	2	3	4	5	6	7	8	9			
WEINGARTEN REALTY INVESTORS /TX/	TX		X									04/02/01	
WELLS FARGO & CO/MN	DE				X	X						04/17/01	
WESTELL TECHNOLOGIES INC	DE				X	X						04/13/01	
WHX CORP	DE				X	X						04/17/01	
WKI HOLDING CO INC	DE				X	X						04/16/01	
YAHOO INC	DE				X	X						04/17/01	
ZANY BRAINY INC	PA				X							04/16/01	
ZIONS BANCORPORATION /UT/	UT				X							04/16/01	
1ST SOURCE CORP	IN				X							04/05/01	
3TEC ENERGY CORP	DE		X					X				02/13/01	AMEND