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# SEC NEWS DIGEST

Issue 2001-130

July 6, 2001

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## RULES AND RELATED MATTERS

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### TREATMENT OF REPURCHASE AGREEMENTS AND REFUNDED SECURITIES AS AN ACQUISITION OF THE UNDERLYING SECURITIES

The Commission has issued a release adopting new Rule 5b-3, amendments to Rule 12d3-1 and conforming amendments to Rule 2a-7, all under the Investment Company Act. Rule 5b-3 generally codifies and updates staff positions that have permitted investment companies to "look through" certain repurchase agreements to the securities collateralizing the agreements for various purposes under the Investment Company Act. The rule provides similar "look-through" treatment for investments in State or municipal bonds, the payment of which has been fully funded by escrowed U.S. government securities. The amendments to Rule 12d3-1 make this rule available for repurchase agreements. FOR FURTHER INFORMATION CONTACT: Hugh P. Lutz, Attorney, or Martha B. Peterson, Special Counsel, Office of Regulatory Policy, (202) 942-0690, Division of Investment Management, Securities and Exchange Commission, 450 5th Street, N.W., Washington, D.C. 20549-0506. (Rel. IC-25058)

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## ENFORCEMENT PROCEEDINGS

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### PRELIMINARY INJUNCTION OBTAINED AGAINST TRADAMAX GROUP, INC., PATTINSON HAYTON AND CONRAD DIAZ

On July 2, Judge Gary L. Taylor granted a preliminary injunction by consent against Tradamax Group, Inc. (Tradamax), its control person, Pattinson Hayton (Hayton), and its chief financial officer, Conrad Diaz (Diaz).

The Court's Order preliminarily enjoins: (a) Tradamax from violating Section 17(a) of the Securities Act of 1933 ("Securities Act"), Sections 10(b), 13(a) and 13(b)(2)(A) of the Securities Exchange Act of 1934 (Exchange Act), and Rules 10b-5, 12b-20, 12b-25, 13a-1, 13a-11, and 13a-13 thereunder; (c) Hayton from violating Sections 17(a)(1), 17(a)(2), 17(a)(3), 5(a), and 5(c) of the Securities Act, Sections 10(b), 13(d) and 16(a) of the Exchange Act, and Rules 10b-5, 13d-1, 16a-2, and 16a-3 thereunder and from

aiding and abetting or causing violations of Sections 13(a) and 13(b)(2)(A) of the Exchange Act, and Rules 12b-20, 12b-25, 13a-1, 13a-11, and 13a-13 thereunder; and (c) Diaz from violating Sections 10(b) of the Exchange Act, and Rules 10b-5, thereunder and from aiding and abetting or causing violations of Sections 13(a) and 13(b)(2)(A) of the Exchange Act, and Rules 12b-20, 12b-25, 13a-1, 13a-11, and 13a-13 thereunder. Judge Taylor also ordered that the assets of Tradamax, Hayton and of two privately held Canadian corporations named as relief defendants be frozen pending determination of the matter on the merits. The Court's Order also prevents the defendants from altering or destroying documents.

According to the Commission's complaint, since November 2000 the defendants made numerous fraudulent public statements regarding: (1) the control of Tradamax by Hayton, who been found liable for securities law violations and other illegal conduct; (2) the identity of its chief executive officer; (3) the company's product, purportedly an Internet "portal" website designed to facilitate trading in, and track the shipment of, various commodities; (4) claimed business relationships; and (5) projected revenues and income. The complaint further alleges that a Canadian corporation controlled by Hayton sold Tradamax stock into the resulting inflated market for profits of at least \$114,408. Further, the complaint alleges that Tradamax has failed to maintain adequate books and records and file reports with the Commission, and that Hayton has sold securities in nonexempt and unregistered transactions and failed to file mandatory reports with the Commission disclosing his beneficial ownership of Tradamax. For further information see Litigation Release No. 17046. [SEC v. Tradamax Group, Inc., Pattinson Hayton and Conrad Diaz, No. 01-589-GLT, C.D. Cal.] (LR-17061)

## **GREAT WHITE AND ALVIS COLIN SMITH ENJOINED**

The Commission announced that that on June 19, 2001, final judgments were entered in the United States District Court for the Western District of Texas, Waco Division, against Great White Marine and Recreation, Inc., a Waco-based Nevada corporation, and Alvis Colin Smith, Jr., former chairman and president, enjoining them from violating the antifraud provisions of the federal securities laws and from selling unregistered securities. Smith was also ordered to disgorge vehicles, real estate, securities and \$1.6 million in cash.

Smith's son-in-law Kenneth Ursrey of Mart, Texas, a former employee of Great White, and a relief defendant, was ordered to disgorge \$20,000 in cash, all Great White securities in his possession and a 1999 Ford Expedition.

In its complaint, the Commission alleged that Great White and Smith offered and sold unregistered shares of stock through false statements in press releases, in promotional brochures, in internet website postings and in a Form 10-SB filed with the Commission. The complaint alleged that Smith diverted approximately \$3 million to his own uses and that Great White made a \$1 million "dividend" payment as part of a "Ponzi" scheme. The Commission also charged that Smith transferred securities to Ursrey without consideration.

Earlier Smith's ex-wife Lordes G. Smith of San Antonio, Texas, had disgorged her interest in a San Antonio townhouse that had been purchased with monies obtained through Smith's fraud. [SEC v. Great White Marine & Recreation, Inc., W-99-CA-230, USDC WD/TX, Waco Division] (LR-17062)

## **JUDGMENT ENTERED AGAINST HERBERT CANNON AND JOHN SOLOMON FOR SECURITIES FRAUD**

The Commission announced today that on July 2 the Honorable Miriam G. Cedarbaum of the United States District Court for the Southern District of New York entered final judgments against defendants Herbert S. Cannon and John A. Solomon. The judgment against Cannon enjoins him from violating the antifraud provisions of the Securities Exchange Act of 1934, orders him to disgorge \$1,000,000 of ill-gotten gains, and requires him to pay civil money penalties of \$100,000. The judgment against Solomon orders him to pay civil money penalties of \$10,000. The Court declined to enjoin Solomon.

Based upon evidence the Commission presented during a trial in January 2001, Judge Cedarbaum found, among other things, the following:

- Cannon controlled ESI not only before Solomon's arrival, but also for some period of time after Solomon became President.
- Both Cannon and Solomon committed securities fraud by knowingly and intentionally defrauding investors and deceiving government regulators in violation of Section 10(b) of the Exchange Act and Rule 10b-5 thereunder. Both defendants concealed Cannon's role in the management of Enterprises Solutions, Inc. (ESI) to avoid disclosing that Cannon had an extensive history of past violations, including three prior criminal convictions, two SEC permanent injunctions and a bar from the securities industry.
- Cannon had a significant ownership interest in the company as the beneficial owner of the ESI stock held by several entities based in Gibraltar, including relief defendants Rowen House, Ltd. and Montville, Ltd. Cannon reaped illicit profits by arranging to have these entities sell hundreds of thousands of shares of ESI stock at a time when ESI was making false statements about the company to the public.
- During the period when Solomon and Cannon were directing ESI's activities, the company made false statements and material omissions in its registration statement, in a press release and on its website, including the following:
  - ESI's website represented that ESI had "developed a suite of products and solutions for internet security" and "established a business relationship with our customers that will last a lifetime." These statements misleadingly gave the impression that ESI was a fully developed company with an actual source of

revenue, when in reality it had no revenues and no customers, it had not engaged in any product development, and its limited operations were funded solely by sales of stock and loans from investors. Solomon knew that these statements were false and misleading but knowingly allowed them to be published.

- ESI's March 14, 2000 press release misleadingly overstated the security properties of ESI's internet security products and deceptively suggested that ESI had a product that was ready for sale to the marketplace.
- ESI's registration statement failed to disclose that Solomon's prior company had gone bankrupt in 1995, even though Solomon conceded at trial that the information was relevant to investors and should have been disclosed.

Several previous Commission releases describe important events leading up to the Court's judgment. To stop the ongoing fraud, the Commission suspended trading in ESI's stock on March 30, 2000. See Exchange Act Rel. No. 42593 (March 30, 2000). One week later, the Commission filed this action and obtained an order which temporarily froze more than \$2.3 million in ESI stock sale proceeds being held in the brokerage accounts of the relief defendants. See Litigation Release No. 16506 (April 7, 2000). On May 1, 2000, the Court granted a preliminary injunction extending the freeze pending the outcome of this case. See Litigation Release No. 16543 (May 9, 2000). On October 16, 2000, ESI consented, without admitting or denying the Commission's allegations, to be permanently enjoined from violating Section 10(b) of the Securities Exchange Act of 1934 and Rule 10b-5 thereunder and agreed to amend its registration statement. See Litigation Release No. 16778 (October 25, 2000).

The SEC acknowledges the assistance of the National Association of Securities Dealers Regulation, Inc. in investigating and prosecuting this matter.

This enforcement action is part of the Commission's four-pronged approach to attacking microcap fraud: enforcement, inspections, investor education and regulation. For more information about the SEC's response to microcap fraud, visit the SEC's Microcap Fraud Information Center at <http://www.sec.gov/news/extra/microcap.htm>. Information on trading suspensions is available at <http://www.sec.gov/enforce/tsuspend.htm>. For tips on how to avoid Internet "pump-and-dump" stock manipulation schemes, visit <http://www.sec.gov/investor/online/pump.htm>. [SEC v. Enterprises Solutions, Inc., Herbert S. Cannon, and Dr. John A. Solomon, USDC, SDNY, Case No. 00 Civ. 2685, MGC] (LR-17063)

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## SELF-REGULATORY ORGANIZATIONS

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## **APPROVAL OF PROPOSED RULE CHANGE**

The Commission approved a proposed rule change filed by the Government Securities Clearing Corporation (SR-GSCC-00-02) that amends one of the components of GSCC's clearing fund formula by reducing the liquidation amount from 25 percent to 10 percent. Publication of the proposal is expected in the Federal Register during the week of July 2. (Rel. 34-44495)

## **IMMEDIATE EFFECTIVENESS OF PROPOSED RULE CHANGE**

The Government Securities Clearing Corporation filed a proposed rule change (SR-GSCC-2001-05), which became effective upon filing. The proposed rule change provides for a participant rebate program. Publication of the proposal is expected in the Federal Register during the week of July 9. (Rel. 34-44502)

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

The Commission granted accelerated approval to a proposed rule change filed by The Depository Trust Company (SR-DTC-2001-09) to revise DTC's rules to increase the participant net debit cap, increase the required deposit to the Participants Fund, and decrease the maximum net debit monitoring level in DTC's Mortgage-Backed Securities Division. Publication of the proposal is expected in the Federal Register during the week of July 9. (Rel. 34-44509)

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## **SECURITIES ACT REGISTRATIONS**

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The following registration statements have been filed with the SEC under the Securities Act of 1933. The reported information appears as follows: Form, Name, Address and Phone Number (if available) of the issuer of the security; Title and the number and/or face amount of the securities being offered; Name of the managing underwriter or depositor (if applicable); File number and date filed; Assigned Branch; and a designation if the statement is a New Issue.

Registration statements may be obtained in person or by writing to the Commission's Public Reference Branch at 450 Fifth Street, N.W., Washington, D.C. 20549 or at the following e-mail box address: <publicinfo@sec.gov>. In most cases, this information is also available on the Commission's website: <www.sec.gov>.

S-8      PACIFIC INTERNATIONAL HOLDING INC, 633 FRANKLIN AVENUE SUITE 265,  
NUTLEY, NJ 07110 (973) 743-6126 - 500,000 (\$25,000) COMMON STOCK.  
(FILE      333-64114 - JUN. 29) (BR. 9)

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S-8 PHARMACIA CORP /DE/, 100 ROUTE 206 NORTH, PEAPACK, NJ 07977  
(908) 901-8000 - 180,000 (\$8,843,400) COMMON STOCK. (FILE 333-64120 - JUN. 29) (BR. 2)

S-8 ENGINEERED SUPPORT SYSTEMS INC, 201 EVANS LN, ST LOUIS, MO 63132  
(314) 993-5880 - 500,000 (\$17,025,000) COMMON STOCK. (FILE 333-64126 - JUN. 29) (BR. 6)

S-8 AKSYS LTD, TWO MARRIOTT DR, STE 300, LIBERTYVILLE, IL 60069  
(847) 247-6051 - 500,000 (\$4,555,000) COMMON STOCK. (FILE 333-64134 - JUN. 29) (BR. 5)

S-8 AKSYS LTD, TWO MARRIOTT DR, STE 300, LIBERTYVILLE, IL 60069  
(847) 247-6051 - 250,000 (\$2,277,500) COMMON STOCK. (FILE 333-64136 - JUN. 29) (BR. 5)

S-8 NEXELL THERAPEUTICS INC, 9 PARKER, IRVINE, CA 92618 (949) 470-9011 - 950,000 (\$2,189,750) COMMON STOCK. (FILE 333-64138 - JUN. 29) (BR. 1)

S-8 ADVANCEPCS, 5215 N O'CONNOR, STE 1600, IRVING, TX 75039 (469) 420-6000 - 50,000 (\$3,136,500) COMMON STOCK. (FILE 333-64144 - JUN. 29) (BR. 1)

S-8 AMERICAN HOME PRODUCTS CORP, 5 GIRALDA FARMS, MADISON, NJ 07940  
(973) 660-5000 - 600,000 (\$36,495,000) COMMON STOCK. (FILE 333-64154 - JUN. 29) (BR. 1)

S-8 PIONEER STANDARD ELECTRONICS INC, 4800 E 131ST ST, CLEVELAND, OH 44105  
(216) 587-3600 - 2,105,000 (\$21,471,000) COMMON STOCK. (FILE 333-64164 - JUN. 29) (BR. 5)

S-8 VCAMPUS CORP, 1850 CENTENNIAL PARK DR, SUITE 200, RESTON, VA 20191  
(703) 893-7800 - 1,500,000 (\$2,265,000) COMMON STOCK. (FILE 333-64166 - JUN. 29) (BR. 8)

S-8 VALMONT INDUSTRIES INC, PO BOX 358, HWY 275, VALLEY, NE 68064  
(402) 359-2201 - 100,000 (\$1,517,000) COMMON STOCK. (FILE 333-64170 - JUN. 29) (BR. 6)

S-3 VIEWPOINT CORP/NY/, 498 SEVENTH AVE, NEW YORK, NY 10018 (805) 566-6200 - 3,400,000 (\$20,162,000) COMMON STOCK. (FILE 333-64176 - JUN. 29) (BR. 3)

S-8 COMVERSE TECHNOLOGY INC/NY/, 170 CROSSWAYS PARK DR, WOODBURY, NY 11797  
(516) 677-7200 - 25,700,000 (\$1,440,613,500) COMMON STOCK. (FILE 333-64182 - JUN. 29) (BR. 7)

S-8 LIBERTY MINT LTD, 975 NORTH 1430 WEST, OREM, UT 84059 (801) 373-9300  
 -  
 2,000,000 (\$66,000) COMMON STOCK. (FILE 333-64184 - JUN. 29) (BR. 9)

S-8 NUOASIS RESORTS INC, 4695 MACARTHUR CT, STE 530, NEWPORT BEACH, CA  
 92660  
 (714) 833-2094 - 8,000,000 (\$80,000) COMMON STOCK. (FILE 333-64186 -  
 JUN. 29) (BR. 5)

S-8 LUCENT TECHNOLOGIES INC, 600 MOUNTAIN AVE, MURRAY HILL, NJ 07974  
 (908) 582-8500 - 250,000,000 (\$1,457,500,000) COMMON STOCK. (FILE  
 333-64188 - JUN. 29) (BR. 7)

S-8 INSURANCE AUTO AUCTIONS INC /CA, 850 E ALGONQUIN RD, STE 100,  
 SCHAUMGURG, IL 60173 (847) 839-3939 - 75,000 (\$1,065,000) COMMON STOCK.  
 (FILE 333-64190 - JUN. 29) (BR. 5)

S-8 TOWER FINANCIAL CORP, 116 E BERRY ST, STE 910, FORT WAYNE, IN 46802  
 (219) 420-4554 - 125,000 (\$1,143,750) COMMON STOCK. (FILE 333-64194 -  
 JUN. 29) (BR. 7)

S-8 ACCRUE SOFTWARE INC, 48634 MILMONT DRIVE, FREMONT, CA 94538  
 (510) 580-4500 - 5,698,324 (\$14,961,043.84) COMMON STOCK. (FILE 333-  
 64200  
 - JUN. 29) (BR. 3)

S-8 SHELDAHL INC, 1150 SHELDAHL RD, NORTHFIELD, MN 55057 (507) 663-8000  
 -  
 2,306,588 (\$4,094,193) COMMON STOCK. (FILE 333-64202 - JUN. 29) (BR.  
 5)

S-8 SHELDAHL INC, 1150 SHELDAHL RD, NORTHFIELD, MN 55057 (507) 663-8000  
 -  
 400,000 (\$710,000) COMMON STOCK. (FILE 333-64204 - JUN. 29) (BR. 5)

S-8 VTEL CORP, 108 WILD BASIN RD, AUSTIN, TX 78746 (512) 437-2700 -  
 600,000  
 (\$654,000) COMMON STOCK. (FILE 333-64212 - JUN. 29) (BR. 7)

S-8 XPEDIAN INC, 6230 FARIVIEW RD, STE 102, CHARLOTTE, NC 28210  
 (704) 540-8138 - 8,000,000 (\$480,000) COMMON STOCK. (FILE 333-64214 -  
 JUN. 29) (BR. 5)

S-8 AMERICAN VANGUARD CORP, 4695 MACARTHUR COURT, NEWPORT BEACH, CA  
 92660  
 (949) 260-1200 - 200,000 (\$2,786,000) COMMON STOCK. (FILE 333-64220 -  
 JUN. 29) (BR. 2)

S-8 CV THERAPEUTICS INC, 3172 PORTER DR, PALO ALTO, CA 94304 (650) 812-  
 0585  
 - 98,889 (\$4,950,383.34) COMMON STOCK. (FILE 333-64230 - JUN. 29) (BR.  
 1)

S-8 EL PASO CORP/DE, 1001 LOUISIANA ST, EL PASCO ENERGY BLDG, HOUSTON,  
 TX

77002 (713) 420-2131 - 500,000 (\$25,660,000) COMMON STOCK. (FILE 333-64236 - JUN. 29) (BR. 2)

S-8 STAFF LEASING INC, 600 301 BLVD W, STE 202, BRADENTON, FL 34205 (941) 748-4340 - 350,000 (\$1,324,750) COMMON STOCK. (FILE 333-64242 - JUN. 29) (BR. 8)

S-8 SELECTICA INC, 2890 ZANKER ROAD, SAN JOSE, CA 95134 - 5,245,543 (\$21,900,142) COMMON STOCK. (FILE 333-64246 - JUN. 29) (BR. 3)

S-8 MODIS PROFESSIONAL SERVICES INC, 1 INDEPENDENT DR, JACKSONVILLE, FL 32202 (904) 360-2000 - 2,110,000 (\$13,504,000) COMMON STOCK. (FILE 333-64252 - JUN. 29) (BR. 8)

S-8 WD 40 CO, 1061 CUDAHY PL, SAN DIEGO, CA 92110 (619) 275-1400 - 1,500,000 (\$30,707,663.42) COMMON STOCK. (FILE 333-64256 - JUN. 29) (BR. 2)

S-8 MEAD CORP, MEAD WORLD HEADQUARTERS, COURTHOUSE PLZ NORTHEAST, DAYTON, OH 45463 (937) 495-4439 - 2,500,000 (\$67,750,000) COMMON STOCK. (FILE 333-64258 - JUN. 29) (BR. 4)

S-8 BROCADE COMMUNICATIONS SYSTEMS INC, 1901 GUADALUPE PARKWAY, SUITE E, SAN JOSE, CA 95131 - 23,000,000 (\$597,536,214.90) COMMON STOCK. (FILE 333-64260 - JUN. 29) (BR. 3)

S-3 AETHER SYSTEMS INC, 11460 CRONRIDGE DR, OWINGS MILLS, MD 21117 (410) 654-6400 - 170,852 (\$1,361,690) COMMON STOCK. (FILE 333-64264 - JUN. 29) (BR. 7)

S-8 NETMANAGE INC, 10725 N DE ANZA BLVD, CUPERTINO, CA 95014 (408) 973-7171 - 3,000,000 (\$2,133,000) COMMON STOCK. (FILE 333-64268 - JUN. 29) (BR. 3)

S-8 DIAMOND TECHNOLOGY PARTNERS INC, 875 NORTH MICHIGAN AVE SUITE 3000, CHICAGO, IL 60611 (312) 255-5000 - 75,000 (\$790,500) COMMON STOCK. (FILE 333-64276 - JUN. 29) (BR. 8)

S-8 DIAMOND TECHNOLOGY PARTNERS INC, 875 NORTH MICHIGAN AVE SUITE 3000, CHICAGO, IL 60611 (312) 255-5000 - 1,500,000 (\$15,810,000) COMMON STOCK. (FILE 333-64278 - JUN. 29) (BR. 8)

S-8 BERKSHIRE HATHAWAY INC, 1440 KIEWIT PLZ, OMAHA, NE 68131 (402) 346-1400 - 5,000 (\$10,990,000) COMMON STOCK. (FILE 333-64284 - JUN. 29) (BR. 1)

S-8 SANMINA CORP/DE, 2700 N FIRST ST, SAN JOSE, CA 95134 (408) 954-5500 - 9,644,578 (\$202,424,408.72) COMMON STOCK. (FILE 333-64294 - JUN. 29) (BR. 5)



S-8 CPI CORP, 1706 WASHINGTON AVE, ST LOUIS, MO 63103 (314) 231-1575 -  
200,000 (\$4,593,000) COMMON STOCK. (FILE 333-64296 - JUN. 29) (BR. 8)

S-8 L 3 COMMUNICATIONS HOLDINGS INC, 600 THIRD AVENUE, 34TH FLOOR, NEW  
YORK,  
NY 10016 (212) 697-1111 - 1,500,000 (\$119,040,000) COMMON STOCK. (FILE  
333-64300 - JUN. 29) (BR. 7)

S-8 1ST SOURCE CORP, 100 NORTH MICHIGAN STREET, SOUTH BEND, IN 46601  
(219) 235-2702 - 2,000,000 (\$43,010,000) COMMON STOCK. (FILE 333-64304  
JUL. 02) (BR. 7)

S-3 FIRST NATIONAL LINCOLN CORP /ME/, P.O. BOX 940, MAIN STREET,  
DAMARISCOTTA, ME 04543 (207) 563-3195 - 200,000 (\$3,606,000) COMMON  
STOCK.  
(FILE 333-64308 - JUL. 02) (BR. 7)

S-8 ENSURGE INC, 8722 SOUTH 300 WEST, SUITE 106, SANDY AKE CITY, UT  
84070  
(801) 984-9300 - 5,550,000 (\$227,500) COMMON STOCK. (FILE 333-64310 -  
JUN. 29) (BR. 9)

S-8 PHARMOS CORP, 99 WOOD AVENUE SOUTH, SUITE 301, ISELIN, NJ 08830  
(732) 452-9556 - 1,500,000 (\$4,174,903) COMMON STOCK. (FILE 333-64312  
JUN. 29) (BR. 1)

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## RECENT 8K FILINGS

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

- Item 1. Changes in Control of Registrant.
- Item 2. Acquisition or Disposition of Assets.
- Item 3. Bankruptcy or Receivership.
- Item 4. Changes in Registrant's Certifying Accountant.
- Item 5. Other Materially Important Events.
- Item 6. Resignations of Registrant's Directors.
- Item 7. Financial Statements and Exhibits.
- Item 8. Change in Fiscal Year.
- Item 9. Regulation FD Disclosure.

The following companies have filed 8-K reports for the date indicated and/or amendments to 8-K reports previously filed, responding to the item(s) of the form specified. 8-K reports may be obtained in person or by writing to the Commission's Public Reference Branch at 450 Fifth Street, N.W., Washington, D.C. 20549 or at the following e-mail box address: <publicinfo@sec.gov>. In most cases, this information is also available on the Commission's website: <www.sec.gov>.

NAME OF ISSUER	STATE	8K ITEM NO.									DATE	COMMENT
	CODE	1	2	3	4	5	6	7	8	9		
ADM TRONICS UNLIMITED INC/DE	DE				X						04/12/01	AMEND
ALMOST COUNTRY PRODUCTIONS INC	NV				X						07/02/01	
ALPHA PETROLEUM EXPLORATION CORP	NY	X									06/30/01	
AMERALIA INC	UT				X						06/21/01	
AMRESKO INC	DE		X				X				07/02/01	
ART TECHNOLOGY GROUP INC	DE				X	X					07/02/01	
ASYST TECHNOLOGIES INC /CA/	CA				X	X					06/25/01	
AVENUE A INC	WA				X	X					06/29/01	
BECTON DICKINSON & CO	NJ						X				05/22/01	
BELDEN & BLAKE CORP /OH/	OH				X			X			06/29/01	
BURKE INDUSTRIES INC /CA/	CA		X				X				06/25/01	
C COR NET CORP	PA				X						07/03/01	
CALLAWAY GOLF CO /CA	DE				X	X					07/05/01	
CALLON PETROLEUM CO	DE				X	X					07/05/01	
CB RICHARD ELLIS SERVICES INC	DE							X			07/05/01	
CDKNET COM INC	DE	X					X				06/19/01	
COMMUNITY BANCORP /VT	VT				X						07/05/01	
COMMUNITY FINANCIAL CORP /DE/	VA			X		X					05/31/01	AMEND
CRAMER INC	KS			X		X					05/21/01	
CRUSADER HOLDING CORP	PA	X				X					06/22/01	
CTC COMMUNICATIONS GROUP INC	DE				X						07/03/01	
CWABS INC	DE				X	X					04/30/01	
CWABS INC	DE				X	X					05/30/01	AMEND
CWMB INC	DE				X	X					04/27/01	
CWMB INC	DE				X	X					04/27/01	
DEERE & CO	DE							X			07/05/01	
DIGITAL RECORDERS INC	NC				X						06/25/01	
DIME BANCORP INC	DE				X	X					06/25/01	
EAGLE FOOD CENTERS INC	DE				X	X					06/29/01	
EDUVERSE COM	NV	X									07/05/01	
ENTERGY CORP /DE/	DE				X	X					07/05/01	
ENTERGY CORP /DE/	DE						X	X			07/05/01	
EVISION USA COM INC	CO				X	X					06/08/01	
FISHER COMMUNICATIONS INC	WA				X	X					06/29/01	
FREEREALTIME COM INC	DE			X	X	X					06/28/01	AMEND
GENESISINTERMEDIA INC	DE						X				06/29/01	AMEND
GEOALERT INC	NV	X	X				X				06/20/01	
HARRAHS ENTERTAINMENT INC	DE				X	X					07/05/01	
HENLEY HEALTHCARE INC	TX				X		X				07/05/01	
HEWLETT PACKARD CO	DE				X						07/05/01	
HONEYWELL INTERNATIONAL INC	DE				X						07/03/01	
HUMAN PHEROMONE SCIENCES INC	CA				X						06/29/01	
INFU TECH INC	DE				X						07/05/01	
INTERNAP NETWORK SERVICES CORP/WA	WA							X			07/03/01	
INTERNET VIP INC	DE				X						06/01/01	
INVVISION CAPITAL INC	NV	X	X		X	X	X				04/20/01	AMEND
JLM INDUSTRIES INC	DE				X	X					06/28/01	
KEYCORP STUDENT LOAN TRUST 1999 A					X	X					06/27/01	
LEHMAN ABS CORP	DE				X	X					06/28/01	
LIGHTBRIDGE INC	DE				X	X					07/02/01	
LIONBRIDGE TECHNOLOGIES INC /DE/	DE	X					X				06/21/01	
MAF BANCORP INC	DE				X	X					07/05/01	

NAME OF ISSUER	STATE	8K ITEM NO.									DATE	COMMENT
	CODE	1	2	3	4	5	6	7	8	9		
MATERIAL SCIENCES CORP	DE		X					X			06/29/01	
MERRILL LYNCH & CO INC	DE					X		X			07/05/01	
MICROSTRATEGY INC	DE					X					07/02/01	
NEXLAND INC	AZ				X						07/02/01	
NORFOLK SOUTHERN CORP	VA	X									07/05/01	
ORBITAL SCIENCES CORP /DE/	DE		X					X			06/20/01	AMEND
OWENS & MINOR INC/VA/	VA					X		X			07/02/01	
PACIFICHEALTH LABORATORIES INC	DE							X			06/01/01	AMEND
PERMA FIX ENVIRONMENTAL SERVICES IN C	DE									X	04/06/01	
POLYONE CORP						X		X			06/21/01	
PUBLIC SERVICE CO OF NEW MEXICO	NM							X			07/03/01	
PUBLIC SERVICE CO OF NEW MEXICO	NM									X	07/03/01	
PYR ENERGY CORP	DE					X		X			07/03/01	
RAIT INVESTMENT TRUST	MD					X		X			03/30/01	
RB ASSET INC	DE					X					06/21/01	
RENTECH INC /CO/	CO					X					06/27/01	
RENTECH INC /CO/	CO					X					06/28/01	
RHINO ENTERPRISES GROUP INC	NV	X									07/05/01	
SALOMON BROS MORT SEC VII INC SALO MORT LN TR SER 2001-CPB1	DE					X		X			06/25/01	
SENIOR CARE INDUSTRIES INC	NV		X			X		X			07/05/01	
SHOP AT HOME INC /TN/	TN					X					09/30/01	
SIDEWARE SYSTEMS INC	AL					X					06/28/01	
SIZZLER INTERNATIONAL INC	DE					X		X			03/27/01	
SMITH INTERNATIONAL INC	DE					X		X			07/02/01	
SOUTHWESTERN ENERGY CO	AR	X									07/05/01	
ST JUDE MEDICAL INC	MN					X					07/03/01	
STRUCTURED ASSET SECURITIES CORP MO RT PASS THR CERT SER 01 1	DE	X									06/25/01	
SYNDICATION NET COM INC	DE							X			10/13/00	AMEND
TIDALWAVE HOLDINGS INC	FL		X					X			06/19/01	
U S DIAGNOSTIC INC	DE					X					07/03/01	
UAL CORP /DE/	DE					X					07/05/01	
VA LINUX SYSTEMS INC	DE					X		X			06/27/01	
VENTAS INC	DE					X		X			07/03/01	
VISTEON CORP	DE					X		X			07/03/01	
VMIC INC	DE					X					07/05/01	
WASHINGTON GAS LIGHT CO	DC	X									07/05/01	
WASHINGTON MUTUAL INC	WA					X		X			06/25/01	
WELLS FARGO ASSET SECURITIES CORP M OR PAS THR CER SE 2001-03	NY					X		X			01/30/01	
WGL HOLDINGS INC	VA	X									07/05/01	
XATA CORP /MN/	MN					X		X			07/05/01	
XTRA CORP /DE/	DE					X					07/05/01	
XTRANA INC	DE					X					07/05/01	