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# SEC NEWS DIGEST

Issue 2001-207

October 26, 2001

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## COMMISSION ANNOUNCEMENTS

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### **SEC APPROVES PROPOSAL TO ESTABLISH THE ARCHIPELAGO EXCHANGE AS THE EQUITIES TRADING FACILITY OF THE PACIFIC EXCHANGE, INC.**

#### **The PCX's Archipelago Exchange Becomes the First Fully Electronic National Securities Exchange for Trading Equity Securities since 1976**

On October 25, the Securities and Exchange Commission approved the proposal of the Pacific Exchange, Inc. (PCX) to establish the Archipelago Exchange (ArcaEx) as its new, electronic communications and trading facility. The all-electronic ArcaEx facility will operate in place of the trading floor of the PCX's subsidiary, PCX Equities, Inc., with ArcaEx market makers replacing the traditional floor specialists. The ArcaEx facility is the first fully electronic national securities exchange for the trading of equity securities since the Cincinnati Stock Exchange developed its trading system in 1976.

ArcaEx will feature three trading sessions each day: an early trading session, a core trading session, and a late trading session. Members and other users of ArcaEx will submit orders to an electronic file of orders, known as the Arca Book, where all trades will be executed at prices equal to or better than the national best bid or offer.

The Archipelago Exchange LLC, a wholly owned subsidiary of Archipelago Holdings LLC, owns and operates ArcaEx. The PCX currently has a 10% ownership interest in Archipelago Holdings. As a self-regulatory organization under the Exchange Act, the PCX is fully responsible for the trading that will take place through ArcaEx and is obligated to conduct all necessary surveillance and to maintain an audit trail of trading through ArcaEx. In addition, the PCX board must approve all rule changes relating to ArcaEx. Finally, the PCX and its ArcaEx facility are also subject to the Commission's oversight and examination. (Press Rel. 2001-122)

### **FINAL RULE AMENDMENTS TO BOOKS AND RECORDS REQUIREMENTS FOR BROKERS AND DEALERS UNDER THE SECURITIES EXCHANGE ACT OF 1934**

On October 25, the Commission adopted final rule amendments to the broker-dealer books and records rules (Rule 17a-3 and Rule 17a-4) under the Securities Exchange Act of 1934. The amendments clarify and expand recordkeeping requirements including those for purchase and sale documents, customer records, associated person records, customer

complaints, communications with the public, and supervisory procedures. In addition, the amendments require broker-dealers to maintain or promptly produce certain records at each office to which those records relate. These amendments are specifically designed to assist securities regulators when conducting sales practice examinations of broker-dealers, particularly examinations of local offices.

The amended rules contain the following general provisions, among others:

- A broker-dealer must create a record containing certain minimum information as to each customer and furnish that information to the customer on a periodic basis. A broker-dealer does not have this requirement for an account for which the firm is not required (under any federal or SRO rules) to make a suitability determination.
- A broker-dealer must create and maintain certain records for each office of the broker-dealer, and these records must either be maintained at that office or delivered to that office promptly upon request.
- A broker-dealer must include additional information on each order ticket, including the identity of the associated person, if any, responsible for the account and any other person who entered or accepted the order on behalf of the customer.

The final rules will become effective 18 months after the date of publication in the Federal Register. (Press Rel. 2001-123)

## **SEC CHAIRMAN HARVEY PITT ANNOUNCES THE SELECTION OF MICHAEL ROBINSON AS DIRECTOR OF PUBLIC AFFAIRS**

Securities and Exchange Commission Chairman Harvey L. Pitt today announced the selection of Michael W. Robinson as Director of the Office of Public Affairs, Policy Evaluation, and Research. Mr. Robinson 37, will serve as the SEC's principal spokesperson and raise public awareness of the Commission's mission and actions.

Prior to joining the Commission, Mr. Robinson was Vice President of Corporate Communications at the Arlington, Va.- based investment firm of Friedman Billings Ramsey. Previously, he was a spokesman for Mobil Corporation, and the National Association of Securities Dealers. Mr. Robinson also served at the Department of Justice and the White House from 1989-1991.

Chairman Pitt said, "We are delighted that Michael has joined the SEC. His experience in the securities industry, coupled with his ability to understand complicated issues and create clear explanations, will be a tremendous asset to us."

Mr. Robinson received his B.A. degree from the S.I. Newhouse School of Public Communications and the Maxwell School of Citizenship at Syracuse University. (Press Rel. 2001-124)

## **SEC SEEKS TO IMPROVE PUBLIC ACCESS TO FREE, REAL-TIME CORPORATE FILINGS**

The SEC is considering whether to add hyperlinks from its website to sites that provide free, real-time access to annual and quarterly reports and other company documents filed on EDGAR, the Electronic Data Gathering, Analysis and Retrieval system. EDGAR enhances the efficiency and fairness of the securities markets for the benefit of investors, publicly traded companies, and the capital markets.

Since 1995, the SEC has posted EDGAR filings on its website. The SEC website provides access to these filings at least 24 hours after receipt. This delay was designed into the SEC's website in response to Congressional objectives that we balance the competing public policy interests of promoting private-sector competition in the dissemination of EDGAR filings and of providing free public access to EDGAR filings.(1)

Some private websites offer free, real-time access to EDGAR filings. To facilitate public access, the SEC is considering whether to provide hyperlinks to these sites from the Commission's website.

In conjunction with our internal review, we are seeking public comment on providing hyperlinks from the Commission's website. We are also interested in receiving preliminary indications of interest. Please submit your comments and indications of interest to Jonathan G. Katz, Secretary, U.S. Securities and Exchange Commission, 450 Fifth Street, NW, Washington, DC 20549-0609. You also may submit your comments and indications of interest electronically at the following e-mail address: [EDGAR-comments@sec.gov](mailto:EDGAR-comments@sec.gov).

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## **ENFORCEMENT PROCEEDINGS**

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### **COMMISSION CENSURES AND SUSPENDS DALE FREY, FORMER CHIEF EXECUTIVE OFFICER OF D.E. FREY & CO.**

The Commission announced today that it had entered an order finding that Dale E. Frey failed reasonably to supervise three registered representatives who were subject to Frey's supervision. Frey, the former chief executive officer of D.E. Frey & Co., was censured, suspended from association with any broker or dealer for a period of three months, and suspended from association with any broker or dealer in any supervisory or proprietary capacity for 12 months thereafter.

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(1) See National Securities Markets Improvement Act of 1996, P.L. 104-290, § 107 (1996).  
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According to the order, between 1995 and 1999, three registered representatives at D.E. Frey, each of whom had a disciplinary history or history of customer complaints, engaged in one or more sales practice abuses including unsuitable trading, unauthorized trading or churning in customer accounts. Dale Frey failed reasonably to supervise those registered representatives to prevent or detect violations of the securities laws by them. He failed to develop procedures at D.E. Frey for imposing heightened supervision where appropriate, and failed to develop a system and commit adequate resources for implementing the supervisory procedures the firm did have in place.

The order concluded that Frey failed reasonably to supervise, within the meaning of Section 15(b) of the Securities Exchange Act of 1934, individuals subject to his supervision with a view to preventing and detecting violations of the federal securities laws. Frey was censured, suspended from association with any broker or dealer for three-months, and suspended from association in a supervisory or proprietary capacity with any broker or dealer for 12 months, but was not assessed a civil penalty because of his demonstrated inability to pay. Frey consented to entry of the order and the suspensions from association without admitting or denying the Commission's findings. (Rel. 34-44982; File No. 3-10310)

#### **TEMPORARY RESTRAINING ORDER, ASSET FREEZE AND APPOINTMENT OF A RECEIVER ORDERED AGAINST ROBERT BENTLEY, ENTRUST GROUP AND BENTLEY FINANCIAL SERVICES, INC.**

On October 24, United States District Court Judge Jay C. Waldman issued a temporary restraining order against Robert L. Bentley, Bentley Financial Services, Inc. and Entrust Group, prohibiting violations of the antifraud and broker-dealer registrations provisions set forth in Section 17(a) of the Securities Act of 1933 and Sections 10(b) and 15(a) of the Securities Exchange Act of 1934 and Rule 10b-5 thereunder. The order also freezes the defendants' assets and appoints David H. Marion of the Philadelphia law firm Montgomery, McCracken, Walker & Rhoads LLP as a receiver to take control of their assets. The defendants consented to the entry of the order without admitting or denying the Commission's allegations in the action. The Commission's motion for a preliminary injunction against the defendants is pending.

The Commission's complaint alleged that the defendants claimed to be selling bank-issued, federally insured certificates of deposit ("CDs"), but that the defendants were in fact selling uninsured securities. Although the defendants were using at least some investor funds to buy CDs, the terms of the CDs often varied substantially from those of the securities defendants were selling. The Commission also alleged that, in many cases, investors had to rely on the defendants' ability to attract new investors in order for previous investors to receive repayment of their principal. Accordingly, investors were not buying the low-risk, federally-insured CDs that they were promised. Rather, they were buying higher risk securities issued by defendants, whose business was uninsured, unaudited and unregulated. When the Commission filed the action, hundreds of financial institutions and individual investors located nationwide had over \$300 million invested

with the defendants. [SEC v. Robert L. Bentley, Entrust Group and Bentley Financial Services, Inc., Civ. Action No. 53-66, USDC, EDPA] (LR-17206)

### **SEC FILES CIVIL FRAUD CHARGES IN UNREGISTERED INTERNET OFFERING OF "PRE-IPO STOCK VOUCHERS"**

The Commission today filed civil fraud charges in federal district court in Dallas, Texas, against Steven Goldsborough and William Goldsborough, individually and d/b/a The Liquibuyers Group (Defendants), claiming that the Defendants violated the antifraud and registration provisions of the Securities Act of 1933 and the Securities Exchange Act of 1934. According to the Commission's complaint, the Defendants operated an Internet website soliciting investors to purchase "vouchers" redeemable for The Liquibuyers Group (Liquibuyers) stock upon a purportedly upcoming initial public offering.

The Commission alleges that the Defendants defrauded over 30 investors throughout the United States, raising approximately \$750 in the offering of "pre-IPO stock vouchers." The Commission alleges that the Defendants made numerous misrepresentations and omissions of material facts in connection with the offering, including that the Commission had approved the offering, that Liquibuyers would conduct an IPO in January 2001, and that Liquibuyers stock would be valued at \$17.50 to \$35 per share at the time of its IPO. According to the complaint, however, the Commission never approved the offering and Liquibuyers never undertook any meaningful steps to conduct an IPO. Moreover, Liquibuyers never established offices, never acquired any inventory, and never offered any products or services, *via* an Internet website or otherwise. The Commission further claims that the Defendants misappropriated all of the fees generated in the offering.

In its complaint, the Commission alleged that the Defendants violated the following provisions of the federal securities laws: (1) the antifraud provisions, at Section 17(a) of the Securities Act of 1933 (Securities Act), Section 10(b) of the Securities Exchange Act of 1934 and Rule 10b-5 thereunder; and (2) the registration provisions, at Sections 5(a) and 5(c) of the Securities Act. The complaint sought a permanent injunction against the Defendants from future violations of the foregoing provisions of the federal securities laws. The Defendants have agreed to all relief sought by the Commission in its complaint. [SEC v. Steven Goldsborough and William Goldsborough, individually and doing business as The Liquibuyers Group, Case No. 3:01-CV-2134-G, USDC, Northern District of Texas, Dallas Division] (LR-17207)

### **SEC SUES SAN FRANCISCO STOCKBROKER FOR DEFRAUDING CLIENTS OUT OF \$6 MILLION**

The Commission announced today that it has sued San Francisco stockbroker Daniel Patrick O'Connell, 37, for misappropriating \$6 million in client funds. The Commission alleges O'Connell fraudulently transferred the money from his clients' accounts into his own trading account in the hopes of generating a quick personal profit, but instead lost nearly all the money in a four-week spree of securities speculation.

In a complaint filed in the United States District Court for the Northern District of California, the Commission alleges that O'Connell, working alone in the San Francisco branch of a New York brokerage firm, acted as the broker for a wealthy Silicon Valley family. In March 2001, O'Connell informed his clients that he was using \$2 million from their accounts to purchase low-risk bonds on their behalf. Instead, O'Connell transferred the \$2 million to an account he had opened in the name of a fictitious company. O'Connell invested the funds in the stock market, hoping to generate a quick personal profit, but lost most of the money. Over the following weeks, O'Connell misappropriated an additional \$4 million from his clients' accounts, again losing much of the money in highly speculative trading. By the time O'Connell's theft was detected in mid-April, O'Connell had lost approximately \$4.3 million in client funds.

O'Connell, without admitting or denying the allegations, has agreed to a settlement permanently barring him from the brokerage industry and enjoining him from future violations of Section 10(b) of the Securities Exchange Act of 1934 and Rule 10b-5 thereunder.

In a separate matter, the Office of the United States Attorney for the Northern District of California has announced the filing of criminal charges against O'Connell for his misconduct. The Commission has declined to seek disgorgement or civil penalties in its settlement with O'Connell based on an anticipated restitution order in the criminal proceeding and O'Connell's demonstrated inability to pay. [SEC v. Daniel Patrick O'Connell, USDC, NDCA, Civil Action No. C-01-3980] (LR-17209)

## **RECEIVER APPOINTED IN PRIME BANK CASE**

The Commission announced that on October 19 the Honorable Judge David F. Hamilton of the United States District Court for the Southern District of Indiana appointed James A. Knauer, a partner at the law firm of Kroger, Gardis & Regas, LLP in Indianapolis, Indiana, as the receiver in the matter of SEC v. James R. Harrold, et al.

On September 7, 2001 the Commission filed a complaint alleging that James R. Harrold (Harrold) and the Entity Defendants were violating the registration and antifraud provisions of the federal securities laws by operating a prime-bank scheme. On the same day, Judge Hamilton entered a Temporary Restraining Order freezing three accounts controlled by Harrold. On September 10, 2001, Judge Hamilton entered a Temporary Restraining Order freezing all of Harrold and the Entity Defendants' assets. On September 14, 2001, Harrold and the Entity Defendants consented to the entry of an Order of Permanent Injunction, which continued the asset freeze and permanently enjoined Harrold and the Entity Defendants from further violations of the registration and antifraud provisions of the federal securities laws. Harrold and the Entity Defendants consented to the entry of the Order of Permanent Injunction, without admitting or denying the allegations of the complaint.

Under the Court's Receiver Order, Mr. Knauer is empowered to take possession of all of Harrold and the Entity Defendants' assets and to search for any hidden or undisclosed assets. Mr. Knauer is required to file an inventory and appraisal of all property and assets of Harrold and the Entity Defendants within thirty (30) days, or such longer time as the Court may approve, of his appointment.

Investors or other interested parties should direct any questions to Mr. Knauer at Kroger, Gardis & Regas, LLP, 111 Monument Circle, Suite 900, Indianapolis, Indiana, 46204-5125, telephone (317) 692-9000, fax (317) 264-6832. The firm's website is: <http://www.kgrlaw.com>. [SEC v. James R. Harrold, Franklin Management and Consulting, LLC, Accipter, LLC, Franklin Asset Management and Consulting, LLC, Franklin Management and Consulting, Inc., and Concord Development Group, LLC., U.S. District Court for the Southern District of Indiana, Cause No. IP 01-1318-C H/K (S.D. Indiana 2001) (LR-17208)]

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## **SELF-REGULATORY ORGANIZATIONS**

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### **PROPOSED RULE CHANGE**

A proposed rule change (SR-Amex-2001-19) and Amendment No. 1, 2, and 3 were filed by the American Stock Exchange relating to Performance Evaluation and Allocation Procedures. Publication of the proposal is expected in the Federal Register during the week of October 29. (Rel. 34-44972)

### **APPROVAL OF PROPOSED RULE CHANGES**

The Commission approved a proposed rule change (SR-Amex-2001-67) by the American Stock Exchange to codify certain audit trail and trade comparison requirements and to make other technical amendments to the Exchange's audit trail rules. (Rel. 34-44974)

The Commission approved a proposed rule change (SR-NYSE-2001-17) by the New York Stock Exchange amending the Exchange's allocation policy and procedures. (Rel. 34-44975)

### **DELISTINGS GRANTED**

An order has been issued granting the application of the New York Stock Exchange to strike from listing and registration the 6 1/5% Convertible Subordinate Debentures (due May 15, 2011) of National Education Corporation, effective at the opening of business on October 26, 2001. (Rel. 34-44984)

An order has been issued granting the application of the New York Stock Exchange to strike from listing and registration the 8 1/8% Senior Notes (due May 1, 2011) of DONCASTERS plc, effective at the opening of business on October 26, 2001. (Rel. 34-44985)

An order has been issued granting the application of the American Stock Exchange to strike from listing and registration the Common Stock, \$0.01 par value, 6% Convertible Subordinated Notes (due 11 /1/2001) and 5.625% Convertible Subordinated Notes (due 5/1/2003) of Assisted Living Concepts, Inc., effective at the opening of business on October 26, 2001. (Rel. 34-44986)

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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>.

F-9 CANADIAN PACIFIC RAILWAY LTD/CAN, PLACE DU CANADA STE 800,  
PO BOX 6042 STATION A, MONTREAL QUEBEC CANADA H3C 3E4, A8 (514) 395-  
5151  
- 1,000,000,000 (\$1,000,000,000) STRAIGHT BONDS. (FILE 333-14014 -  
OCT. 17) (BR. 5)

S-8 HANSON PLC, 1 GROSVENOR PLACE, LONDON WS1X 7JH ENGL, X0 (071) 245-  
1245  
- 141,535 (\$999,944.77) FOREIGN COMMON STOCK. (FILE 333-14022 - OCT.  
18)  
(BR. 6)

S-8 HANSON PLC, 1 GROSVENOR PLACE, LONDON WS1X 7JH ENGL, X0 (071) 245-  
1245  
- 141,535 (\$999,944.77) FOREIGN COMMON STOCK. (FILE 333-14024 - OCT.  
18)  
(BR. 6)

S-3 CREDIT SUISSE FIRST BOSTON USA INC, ELEVEN MADISON AVE, NEW YORK, NY  
10010 (212) 892-3000 - 10,500,000,000 (\$500,000,000) STRAIGHT BONDS.  
(FILE 333-71850 - OCT. 19) (BR. 7)



S-8 MYERS INDUSTRIES INC, 1293 S MAIN ST, AKRON, OH 44301 (216) 253-5592  
-  
72,600 (\$873,015) COMMON STOCK. (FILE 333-71852 - OCT. 19) (BR. 6)

S-8 NOVA COMMUNICATIONS LTD, 6033 WEST CENTURY BLVD, SUITE 280, LOS  
ANGELES,  
CA 90045 (310) 642-0200 - 125,000 (\$11,250) COMMON STOCK. (FILE 333-  
71854  
- OCT. 19) (BR. 1)

S-8 ENGELHARD CORP, 101 WOOD AVENUE, ISELIN, NJ 08830 (908) 205-5000 -  
3,000,000 (\$75,840,000) COMMON STOCK. (FILE 333-71856 - OCT. 19) (BR.  
6)

S-8 ENDOCARDIAL SOLUTIONS INC, 1350 ENERGY LANE, STE 110, ST PAUL, MN  
55108  
(612) 644-7890 - 1,050,000 (\$6,630,750) COMMON STOCK. (FILE 333-71858  
-  
OCT. 19) (BR. 5)

S-8 TOO INC, 3885 MORSE ROAD, COLUMBUS, OH 43219 (614) 479-3810 -  
1,400,000  
(\$34,461,000) COMMON STOCK. (FILE 333-71860 - OCT. 19) (BR. 2)

S-8 TOO INC, 3885 MORSE ROAD, COLUMBUS, OH 43219 (614) 479-3810 -  
200,000  
(\$4,923,000) COMMON STOCK. (FILE 333-71862 - OCT. 19) (BR. 2)

S-8 CORONADO INDUSTRIES INC, 16929 EAST ENTERPRISE DRIVE, SUITE 202,  
FOUNTAIN HILLS, AZ 85268 (602) 837-6810 - 800,000 (\$320,000) COMMON  
STOCK.  
(FILE 333-71864 - OCT. 19) (BR. 1)

S-8 TRANSGENOMIC INC, 12325 EMMET ST, OMAHA, NE 68164 (402) 738-5480 -  
500,000 (\$4,175,000) COMMON STOCK. (FILE 333-71866 - OCT. 19) (BR. 5)

S-8 VALCOM INC /CA/, 26030 AVENUE HALL STUDIO 5, VALENCIA, CA 91355  
(661) 257-8000 - 600,000 (\$600,000) COMMON STOCK. (FILE 333-71868 -  
OCT. 19) (BR. 7)

S-8 EQUINIX INC, 901 MARSHALL ST, REDWOOD CITY, CA 94063 (650) 298-0400  
-  
5,000,000 (\$2,450,000) COMMON STOCK. (FILE 333-71870 - OCT. 19) (BR.  
7)

S-8 ASPEN TECHNOLOGY INC /DE/, TEN CANAL PARK, CAMBRIDGE, MA 02141  
(617) 949-1000 - 4,000,000 (\$47,280,000) COMMON STOCK. (FILE 333-71872  
-  
OCT. 19) (BR. 3)

S-8 ASPEN TECHNOLOGY INC /DE/, TEN CANAL PARK, CAMBRIDGE, MA 02141  
(617) 949-1000 - 2,000,000 (\$23,640,000) COMMON STOCK. (FILE 333-71874  
-  
OCT. 19) (BR. 3)

- S-3 J P MORGAN CHASE & CO, 270 PARK AVE, 39TH FL, NEW YORK, NY 10017  
 (212) 270-6000 - 20,000,000,000 STRAIGHT BONDS. (FILE 333-71876 - OCT.  
 19)  
 (BR. 7)
- S-8 APPLIED MICRO CIRCUITS CORP, 6290 SEQUENCE DR, SAN DIEGO, CA 92121  
 (619) 450-9333 - 8,000,000 (\$92,960,000) COMMON STOCK. (FILE 333-71878  
 -  
 OCT. 19) (BR. 5)
- S-1 MMCA AUTO OWNER TRUST 2001-4, PO BOX 6038, CYPRESS, CA 90630  
 (714) 236-8157 - 1,000,000 (\$1,000,000) EQUIPMENT TRUST CERTIFICATES.  
 (FILE 333-71884 - OCT. 19) (NEW ISSUE)
- S-3 FEDERAL SIGNAL CORP /DE/, 1415 W 22ND ST STE 1100, OAK BROOK, IL  
 60523  
 (708) 954-2000 - 110,000 (\$2,263,800) COMMON STOCK. (FILE 333-71886 -  
 OCT. 19) (BR. 5)
- S-8 LIGHTBRIDGE INC, 67 S BEDFORD ST, BURLINGTON, MA 01803 (617) 359-  
 4000 -  
 200,000 (\$1,824,000) COMMON STOCK. (FILE 333-71890 - OCT. 19) (BR. 7)
- S-8 RADIANT SYSTEMS INC, 3925 BROOKSIDE PARKWAY, STE A, ALPHARETTA, GA  
 30202  
 (770) 772-3000 - 4,000,000 (\$24,720,000) COMMON STOCK. (FILE 333-71892  
 -  
 OCT. 19) (BR. 3)
- S-4 SOVEREIGN BANCORP INC, 2000 MARKET ST, PHILADELPHIA, PA 19103  
 (215) 557-4630 - 15,411,172 (\$136,661,148) COMMON STOCK. (FILE 333-  
 71894 -  
 OCT. 19) (BR. 7)
- S-3 LABORATORY CORP OF AMERICA HOLDINGS, 358 S MAIN ST, BURLINGTON, NC  
 27215  
 (336) 229-1127 - 744,000,000 (\$544,518,720) STRAIGHT BONDS. (FILE  
 333-71896 - OCT. 19) (BR. 1)
- S-8 LSI LOGIC CORP, 1551 MCCARTHY BLVD, MS D 106, MILPITAS, CA 95035  
 (408) 433-8000 - 316,042 (\$4,980,822) COMMON STOCK. (FILE 333-71900 -  
 OCT. 19) (BR. 5)
- S-8 EMMIS COMMUNICATIONS CORP, ONE EMMIS PLAZA,  
 40 MONUMENT CIRCLE SUITE 700, INDIANAPOLIS, IN 46204 (317) 266-0100 -  
 3,000,000 (\$43,440,000) COMMON STOCK. (FILE 333-71904 - OCT. 19) (BR.  
 7)
- S-3 CONTINENTAL AIRLINES INC /DE/, 1600 SMITH STREET 3303D, DEPT HQSEO,  
 HOUSTON, TX 77002 (713) 324-5000 - 500,000,000 (\$500,000,000)  
 STRAIGHT BONDS. (FILE 333-71906 - OCT. 19) (BR. 5)
- S-8 R TEC TECHNOLOGIES INC, 37 IRONICA ROAD, FLANDERS, NJ 07836  
 (973) 252-5233 - 470,000 (\$369,500) COMMON STOCK. (FILE 333-71908 -  
 OCT. 19) (BR. 6)

- S-8 SOUTH ALABAMA BANCORPORATION INC, 100 ST JOSEPH ST, P O BOX 3067,  
MOBILE, AL 36602 (251) 431-7800 - 250,000 (\$2,530,000) COMMON STOCK.  
(FILE 333-71910 - OCT. 19) (BR. 7)
- S-8 RED HAT INC, 2600 MERIDIAN PARKWAY, DURHAM, NC 27713 (919) 547-0012  
-  
15,000,000 (\$59,850,000) COMMON STOCK. (FILE 333-71912 - OCT. 19) (BR.  
3)
- S-3 COPART INC, 5500 E SECOND ST, BENICIA, CA 94510 (707) 748-5000 -  
4,600,000 (\$143,819,000) COMMON STOCK. (FILE 333-71916 - OCT. 19) (BR.  
2)
- S-8 GLOBAL INDUSTRIAL SERVICES INC, 200-1311 HOWE ST, VANCOUVER BC  
CANADA,  
V6Z 2 (509) 891-8373 - 1,108,334 (\$166,250.10) COMMON STOCK. (FILE  
333-71920 - OCT. 19) (BR. 9)
- S-1 VANGUARD HEALTH SYSTEMS INC, 20 BURTON HILLS BLVD, 615-665-6000,  
NASHVILLE, TN 37215 (615) 665-6000 - 300,000,000 (\$300,000,000)  
STRAIGHT BONDS. (FILE 333-71934 - OCT. 19)
- S-8 INHALE THERAPEUTIC SYSTEMS INC, 150 INDUSTRIAL RD., SAN CARLOS, CA  
94070  
(650) 631-3100 - 1,900,000 (\$40,847,024) COMMON STOCK. (FILE 333-71936  
-  
OCT. 19) (BR. 1)
- S-8 HYBRIDON INC, 345 VASSAR STREET, CAMBRIDGE, MA 02139 (617) 679-5500  
-  
7,000,000 (\$6,370,000) COMMON STOCK. (FILE 333-71938 - OCT. 19) (BR.  
1)
- S-3 NOTIFY TECHNOLOGY CORP, 1054 S DE ANZA BLVD., STE 105, SAN JOSE, CA  
95129 (408) 777-7920 - 8,132,820 (\$3,985,082) COMMON STOCK. (FILE  
333-71940 - OCT. 19) (BR. 7)
- S-4 AMERISOURCEBERGEN CORP, 1800 MORRIS DRIVE, SUITE 100, CHESTERBROOK,  
PA  
19087. (610) 727-7000 - 500,000,000 (\$500,000,000) STRAIGHT BONDS.  
(FILE  
333-71942 - OCT. 19) (BR. 1)
- S-8 VA LINUX SYSTEMS INC, 47071 BAYSIDE PARKWAY, FREMONT, CA 94538  
(408) 542-8000 - 3,401,816 (\$3,859,106.56) COMMON STOCK. (FILE 333-  
71944 -  
OCT. 19) (BR. 3)
- S-4 SOUTHTRUST CORP, 420 N 20TH ST, BIRMINGHAM, AL 35203 (205) 254-5000  
-  
4,532,646 (\$100,843,240.40) COMMON STOCK. (FILE 333-71946 - OCT. 19)  
(BR. 7)
- S-8 UNITED TENNESSEE BANKSHARES INC, 344 BROADWAY, NEWPORT, TN 37821



AAMES FINANCIAL CORP/DE	DE	X	X	08/31/01
AAVID THERMAL TECHNOLOGIES INC	DE		X	10/23/01
ABN AMRO MORTGAGE CORP	DE		X	10/01/01
ABN AMRO MORTGAGE CORP SERIES 1998-	DE		X	10/01/01
2				
ABN AMRO MORTGAGE CORP SERIES 1998-	DE		X	10/01/01
3				
ABN AMRO MORTGAGE CORP SERIES 1998-	DE		X	10/01/01
4				
ABN AMRO MORTGAGE CORP SERIES 1998-	DE		X	10/01/01
5				
ABN AMRO MORTGAGE CORP SERIES 1999-	DE		X	10/01/01
1				
ABN AMRO MORTGAGE CORP SERIES 1999-	DE		X	10/01/01
2				
ABN AMRO MORTGAGE CORP SERIES 1999-	DE		X	10/01/01
3				
ABN AMRO MORTGAGE CORP SERIES 1999-	DE		X	10/01/01
4				
ABN AMRO MORTGAGE CORP SERIES 1999-	DE		X	10/01/01
5				
ABN AMRO MORTGAGE CORP SERIES 1999-	DE		X	10/01/01
6				
ABN AMRO MORTGAGE CORP SERIES 1999-	DE		X	10/01/01
7				
ABN AMRO MORTGAGE CORP SERIES 1999-	DE		X	10/01/01
8				
ABN AMRO MORTGAGE CORP SERIES 2000-	DE		X	10/01/01
1				
ABN AMRO MORTGAGE CORP SERIES 2000-	DE		X	10/01/01
2				
ABN AMRO MORTGAGE CORP SERIES 2000-	DE		X	10/01/01
3				
ABN AMRO MORTGAGE CORP SERIES 2000-	DE		X	10/01/01
4				
ABN AMRO MORTGAGE CORP SERIES 2001-	DE	X	X	10/25/01
1A				
ABN AMRO MORTGAGE CORP SERIES 2001-	DE		X	10/01/01
2				
ABN AMRO MORTGAGE CORP SERIES 2001-	DE		X	10/01/01
3				
ABN AMRO MORTGAGE CORP SERIES 2001-	DE		X	10/01/01
3				
ABN AMRO MORTGAGE CORP SERIES 2001-	DE		X	10/01/01
5				
ACACIA RESEARCH CORP	DE		X	X 10/24/01
ACE LTD	DO	X		10/24/01
ACE LTD	DO	X		10/25/01
ACE SECURITIES CORP HO EQ LO TR SE	DE	X		09/25/01
2001-AQ1 AS BA PA TH CE				
ACE SECURITIES CORP HO EQ LO TR SE	DE	X		09/25/01
2001-NC1 AS BA PA TH CE				
ADEN ENTERPRISES INC	CA	X		10/16/01
ADVANTA CORP	DE	X	X	10/23/01

AK STEEL HOLDING CORP	DE		X	X	10/23/01	
ALLIANCE FINANCIAL CORP /NY/	NY		X	X	10/19/01	
ALLIED RISER COMMUNICATIONS CORP	DE		X		10/25/01	
ALTEON INC /DE	DE		X		10/23/01	
AMB FINANCIAL CORP	DE		X	X	10/24/01	
AMERADA HESS CORP	DE			X	08/14/01	AMEND
AMERICAN RETIREMENT VILLAS PROPERTI ES III LTD PARTNERSHIP	CA		X	X	10/05/01	
AMERICAN SOUTHWEST FINANCIAL SECURI TIES CORP	AZ			X	10/01/01	
AMERICAN TISSUE INC	DE		X	X	10/24/01	AMEND
AMYLIN PHARMACEUTICALS INC	DE		X	X	10/12/01	
APCO ARGENTINA INC/NEW			X	X	10/25/01	
APO HEALTH INC /NV/	NV		X	X	06/13/01	AMEND
APPLEBEES INTERNATIONAL INC	DE			X	10/24/01	
APPLERA CORP	DE		X	X	10/24/01	
ARV ASSISTED LIVING INC	DE		X	X	10/08/01	
ASSET BACKED FUND CORP MORT LN ASSE T BCKD CERT SER 2001-AQ1	DE		X		09/25/01	
ASSET BACKED FUND CORP MORT LN ASSE T BCKD CERT SER 2001-AQ1	DE		X		09/25/01	
ASSET BACKED FUND CORP MORT LN ASSE T BCKD CERT SER 2001-AQ1	DE		X		09/25/01	
ASV INC /MN/	MN		X	X	10/24/01	
AT HOME CORP	DE		X	X	10/18/01	
AUTOBYTEL INC	DE		X	X	10/25/01	
AVANI INTERNATIONAL GROUP INC //	NV	X		X	09/26/01	AMEND
AVAYA INC	DE		X		10/24/01	
AVNET INC	NY			X	10/22/01	
AVNET INC	NY			X	10/25/01	
BAIRNCO CORP /DE/	DE			X	10/25/01	
BANC ONE HELOC TRUST 1998-1	OH		X	X	05/21/01	
BANC ONE HELOC 1999-1	OH		X	X	05/21/01	
BANC ONE HELOC 1999-1	OH		X	X	05/21/01	
BAY VIEW SECURITIZATION CORP	DE			X	10/15/01	
BE AEROSPACE INC	DE		X	X	10/23/01	
BEAR STEARNS COMMERCIAL MORTGAGE SE CURITIES INC	DE			X	10/01/01	
BEAR STEARNS COMMERCIAL MORTGAGE SE CURITIES INC	DE		X	X	10/23/01	
BELLSOUTH CORP	GA		X	X	10/22/01	
BMC INDUSTRIES INC/MN/	MN		X	X	10/12/01	
BOWATER INC	DE		X	X	04/02/01	AMEND
BROWN & BROWN INC	FL		X		10/23/01	
BUCA INC /MN	MN		X	X	10/23/01	
CADIZ INC	DE		X		10/22/01	
CALPINE CORP	DE		X	X	09/30/01	
CAPITAL ONE FINANCIAL CORP	VA		X		10/24/01	
CAPITAL ONE MASTER TRUST	VA		X	X	10/18/01	
CARDIAC SCIENCE INC	DE			X	09/26/01	AMEND
CARNIVAL CORP	DE		X	X	10/25/01	
CD WAREHOUSE INC	DE		X		10/04/01	
CDX COM INC	CO			X	10/09/01	
CEDAR INCOME FUND LTD /MD/	MD	X		X	10/24/01	
CENTURYTEL INC	LA			X	10/22/01	

CHASE MANHATTAN AUTO OWNER TRUST 20 01 A	DE		X	X	10/05/01	
CHASE MANHATTAN AUTO OWNER TRUST 20 01-B	DE		X	X	10/05/01	
CHASE MORTGAGE FINANCE CORP	DE		X	X	10/18/01	
CHESAPEAKE ENERGY CORP	OK		X	X	10/23/01	
CHESAPEAKE ENERGY CORP	OK				X	10/25/01
CHICAGO MERCANTILE EXCHANGE INC	IL				X	10/24/01
CHINA BROADBAND CORP	NV		X			10/19/01
CHINA FUND INC	MD				X	09/30/01
CHURCHILL DOWNS INC	KY		X			09/30/01
CIT EQUIPMENT COLLATERAL 2001-1			X			10/18/01
CLARENT CORP/DE	DE		X	X		10/23/01
CLARITI TELECOMMUNICATIONS INTERNAT IONAL LTD	DE	X				10/24/01
COBRA ELECTRONICS CORP	DE		X	X		10/24/01
COMMONWEALTH BANCORP INC	PA		X	X		10/24/01
COMMONWEALTH EDISON CO	IL				X	10/23/01
COMMSCOPE INC	DE		X	X		10/25/01
COMMUNITY BANCORP /VT	VT		X			10/05/01
COMMUNITY BANK SYSTEM INC	DE			X		08/31/01
COMMUNITY HEALTH SYSTEMS INC/ COMPAQ COMPUTER CORP	DE		X	X		10/24/01
CONCURRENT COMPUTER CORP/DE	DE		X			10/23/01
CONCURRENT COMPUTER CORP/DE	DE		X			10/25/01
CONSOLIDATED FREIGHTWAYS CORP	DE		X			10/24/01
CONSOLIDATED GRAPHICS INC /TX/ CONSTELLATION 3D INC	TX		X	X		10/24/01
CONTELLATION 3D INC	FL		X	X		10/24/01
CORILLIAN CORP	OR		X	X		10/24/01
CORONADO EXPLORATIONS LTD	DE	X	X	X		10/18/01
CORPORATE OFFICE PROPERTIES TRUST	MD			X	X	10/24/01
COX COMMUNICATIONS INC /DE/ CREDIT SUISSE FIRST BOSTON MORTGAGE SECURITIES CORP	DE		X	X		10/22/01
CSFB ABS TRUST SERIES 2001-S13	DE		X	X		10/23/01
CSFB MORTGAGE PASS THROUGH CERTIFIC ATES SERIES 2001 HE20	DE		X	X		10/25/01
CWMBS INC	DE		X	X		10/25/01
CYTOCLONAL PHARMACEUTICS INC /DE	DE		X	X		10/24/01
DALEEN TECHNOLOGIES INC	DE		X			10/24/01
DIAMONDCLUSTER INTERNATIONAL INC	DE		X	X		10/24/01
DIGEX INC/DE	DE		X	X		10/24/01
DISTINCTIVE DEVICES INC	NY	X		X		10/23/01
DOLLAR TREE STORES INC	VA			X	X	09/30/01
DOW CHEMICAL CO /DE/ DRUGMAX COM INC	DE		X	X		10/25/01
DSI TOYS INC	NV		X	X		10/24/01
DST SYSTEMS INC	TX		X			10/12/01
DUPONT E I DE NEMOURS & CO	DE		X			10/25/01
DUPONT E I DE NEMOURS & CO	DE		X			09/30/01
EDUCATION LOANS INC /DE	DE		X	X		10/23/01
EFUNDS CORP	DE	X		X		10/10/01
EL PASO ENERGY PARTNERS LP	DE	X	X	X		10/25/01
ELECTRO SENSORS INC	MN		X	X		03/26/01
ELINE ENTERTAINMENT GROUP INC	NV	X				10/22/01
EMCEE BROADCAST PRODUCTS INC	DE		X			AMEND
EMCEE BROADCAST PRODUCTS INC	DE		X			10/24/01
ENERGY EAST CORP	NY		X			10/25/01

ENHERENT CORP	DE		X		10/23/01	
ENTERPRISES SOLUTIONS INC	NV		X		10/21/01	
EQUALNET COMMUNICATIONS CORP	TX		X	X	10/10/01	
ESTEE LAUDER COMPANIES INC	DE		X		10/25/01	
ETOYS INC	DE		X	X	10/19/01	
EVOLVE SOFTWARE INC	DE	X	X	X	10/09/01	
EXELON CORP	PA				X	10/23/01
FAIRCHILD SEMICONDUCTOR INTERNATIONAL INC	DE		X	X		10/23/01
FAIRWOOD CORP	DE	X		X		10/09/01
FARADAY FINANCIAL INC	DE		X		08/08/01	AMEND
FARMSTEAD TELEPHONE GROUP INC	DE		X	X	10/17/01	
FBR ASSET INVESTMENT CORP/VA	VA			X	09/30/01	
FGIC SECURITIES PURCHASE INC	DE		X	X	10/24/01	
FIRST AMERICAN FINANCIAL CORP	CA		X	X	10/25/01	
FIRST COMMUNITY BANCORP /CA/	CA			X	10/08/01	AMEND
FIRST FINANCIAL HOLDINGS INC /DE/	DE		X	X	10/23/01	
FIRST SECURITY BANCORP INC /KY/	KY		X		09/30/01	
FIRST UNION COMMERCIAL MORTGAGE PAS S THR CER SER 2001-C3	NC			X		10/01/01
FIRST UNION COMMERCIAL MORTGAGE SECURITIES INC	NC			X		10/01/01
FORD MOTOR CO	DE		X	X	10/24/01	
FORD MOTOR CREDIT CO	DE		X	X	10/24/01	
FRANKLIN RESOURCES INC	DE		X	X	10/25/01	
FREESTAR TECHNOLOGIES	NV		X		10/18/01	
FRESH AMERICA CORP	TX		X	X	10/15/01	
FRIEDMAN BILLINGS RAMSEY GROUP INC	VA			X	09/30/01	
FRONTIER FINANCIAL CORP /WA/	WA		X	X	10/18/01	
G&L REALTY CORP	MD		X	X	10/22/01	
GENERAL MAGIC INC	DE		X	X	10/24/01	
GENERAL MOTORS ACCEPTANCE CORP	DE		X	X	10/23/01	
GENERAL MOTORS ACCEPTANCE CORP	DE		X		10/23/01	
GENERAL MOTORS ACCEPTANCE CORP	DE		X		10/23/01	
GENERAL MOTORS CORP	DE		X		10/23/01	
GENERAL MOTORS CORP	DE		X		10/23/01	
GENESEE CORP	NY	X	X	X	10/10/01	
GENESIS REALTY GROUP INC		X			10/05/01	
GIANT GROUP LTD	DE		X	X	10/18/01	
GL ENERGY & EXPLORATION INC			X	X	10/01/01	
GLOBAL ENERGY GROUP INC	DE		X	X	10/22/01	
GLOBAL TELESYSTEMS EUROPE B V	P7	X		X	10/18/01	AMEND
GLOBAL TELESYSTEMS INC	DE	X		X	10/18/01	AMEND
GO RACHELS COM CORP	MN			X	10/24/01	
GOODRICH CORP	NY			X	X	10/25/01
GRAHAM CORP	DE				X	10/24/01
GRANITE BROADCASTING CORP	DE		X	X	10/23/01	
GREATER BAY BANCORP	CA	X		X	10/23/01	
GREENWICH CAPITAL ACC INC HARBORVW MOR LN TR 2000-2	DE		X		09/19/01	
GREENWICH CAPITAL ACC INC HARBORVW MOR LN TR 2000-2	DE		X		10/19/01	
GSE SYSTEMS INC	DE		X		10/24/01	
H-ENTERTAINMENT INC	NV		X		10/04/01	
HALLIBURTON CO	DE		X	X	10/23/01	



HCA INC/TN	DE		X	X	10/24/01	
HEALTHCARE REALTY TRUST INC	MD			X	X	10/25/01
HEALTHY PLANET PRODUCTS INC	DE		X			10/22/01
HERSHEY FOODS CORP	DE				X	10/24/01
HEXCEL CORP /DE/	DE		X	X		10/25/01
HONDA AUTO LEASE TRUST 1999A	DE		X	X		09/30/01
HONDA AUTO RECEIVABLES 1999-1 OWNER TRUST	DE		X	X		09/30/01
HONDA AUTO RECEIVABLES 2000-1 OWNER TRUST	DE		X	X		09/30/01
HONDA AUTO RECEIVABLES 2001-1 OWNER TRUST	DE		X	X		09/30/01
HONDA AUTO RECEIVABLES 2001-2 OWNER TRUST	DE		X	X		09/30/01
HONEYWELL INTERNATIONAL INC	DE		X			10/24/01
HORTON D R INC /DE/	DE		X	X		10/22/01
HOUSEHOLD AUTOMOBILE REVOLVING TRUST I	NV			X		10/17/01
HOUSEHOLD AUTOMOTIVE TRUST III SERIES 1999-1	NV			X		10/17/01
HOUSEHOLD AUTOMOTIVE TRUST IV SERIES 2000-1	DE			X		10/17/01
HOUSEHOLD AUTOMOTIVE TRUST SERIES 2001-2	DE			X		10/17/01
HOUSEHOLD AUTOMOTIVE TRUST V SERIES 2000 2	DE			X		10/17/01
HOUSEHOLD AUTOMOTIVE TRUST VI SERIES 2000 3	NV			X		10/17/01
HOUSEHOLD AUTOMOTIVE TRUST 2001-1	DE			X		10/17/01
HOUSEHOLD CREDIT CARD MASTER NOTE TRUST I	DE			X		10/15/01
HOUSEHOLD FINANCE CORP HOUSEHOLD AFF CRE CAR MASTRI	DE			X		10/15/01
HOUSEHOLD FINANCE CORP HOUSEHOLD AFF CRE CAR MASTRI	DE			X		10/15/01
HRSI FUNDING INC II	DE			X		10/15/01
HUNT CORP	PA	X		X		10/09/01
IBIS TECHNOLOGY CORP	MA		X	X		10/24/01
IGOHEALTHY COM INC	CO	X	X	X		10/17/01
II-VI INC	PA		X	X		06/30/02
IMH ASSETS CORP	DE	X		X		10/25/01
IMH ASSETS CORP IMPAC CMB TRUST SERIES 1999-1	CA			X		10/01/01
IMPAC SECURED ASSETS CORP	CA			X		10/24/01
IMS HEALTH INC	DE		X	X		10/23/01
INHALE THERAPEUTIC SYSTEMS INC	DE		X	X		10/24/01
INTERLIANT INC	DE		X	X		10/19/01
INTERNETSTUDIOS COM INC	NV		X	X		10/09/01
INVESTMENT PROPERTIES ASSOCIATES	NY	X		X		10/24/01
ION NETWORKS INC	DE		X	X		10/24/01
ISEMPLOYMENT COM INC	DE		X	X		10/25/01
IVILLAGE INC	DE		X	X		10/25/01
IXYS CORP /DE/	DE		X			10/18/01
JAMESON INNS INC	GA		X	X		10/25/01
JDS UNIPHASE CORP /CA/	DE			X	X	10/25/01

JOHNSON CONTROLS INC	WI		X	X	10/23/01	
J2 GLOBAL COMMUNICATIONS INC	DE			X	X	10/22/01
KEANE INC	MA		X	X		10/24/01
KEYSPAN CORP	NY		X	X	X	10/24/01
KIEWIT MATERIALS CO	DE		X	X		10/24/01
KING POWER INTERNATIONAL GROUP CO L TD	NV		X			10/15/01
LA-Z-BOY INC	MI		X			10/25/01
LABRANCHE & CO INC	DE		X	X		10/22/01
LACLEDE GROUP INC	MO		X	X		10/25/01
LANDEC CORP \CA\	CA		X	X		10/25/01
LANTRONIX INC	DE	X		X		10/18/01
LEAP WIRELESS INTERNATIONAL INC	DE		X			10/24/01
LEAP WIRELESS INTERNATIONAL INC	DE		X			10/24/01 AMEND
LEHMAN ABS CORP	DE		X	X		10/19/01
LEHMAN ABS CORP.	DE		X	X		10/22/01
LEVEL 3 COMMUNICATIONS INC	DE				X	10/25/01
LIGHTPATH TECHNOLOGIES INC	DE			X	X	10/25/01
LINCOLN NATIONAL CORP	IN		X			10/23/01
LIQUID AUDIO INC	DE		X	X		10/25/01
LOWES COMPANIES INC	NC			X		10/16/01
LSI LOGIC CORP	DE		X			10/23/01
MACC PRIVATE EQUITIES INC	DE		X			10/24/01
MAJOR AUTOMOTIVE COMPANIES INC	NV		X	X		10/19/01
MALACOLOGY INC	NV	X		X		10/23/01
MARKWEST HYDROCARBON INC	DE			X		08/10/01 AMEND
MATLACK SYSTEMS INC	DE		X	X		10/24/01
MAXCOR FINANCIAL GROUP INC	DE			X	X	09/18/01
MEDIX RESOURCES INC	CO		X			10/22/01
MEDQUIST INC	NJ		X			10/24/01
MERCK & CO INC	NJ			X	X	10/24/01
METASOLV INC	DE	X		X		10/24/01
MFB CORP	IN			X		09/30/01
MID STATE RACEWAY INC	NY		X	X		10/19/01
MIDWAY GAMES INC	DE		X	X		10/24/01
MMCA AUTO OWNER TRUST 1999-2	DE		X	X		10/15/01
MMCA AUTO OWNER TRUST 2000-1	DE		X	X		10/15/01
MMCA AUTO OWNER TRUST 2000-2	DE		X	X		10/15/01
MMCA AUTO OWNER TRUST 2001 2	DE		X	X		10/15/01
MMCA AUTO OWNER TRUST 2001-1	DE		X	X		10/15/01
MONEY STORE COMMERCIAL MORTGAGE INC	NJ		X	X		10/15/01
MONEY STORE INVESTMENT CORP	NJ		X	X		10/15/01
MONEY STORE SBA ADJUSTABLE RATE CER TIFICATES 1998-1	NJ		X	X		10/15/01
MOORE CORPORATION LTD				X		10/24/01
MORGAN STANLEY DEAN WITTER CAPITAL I INC	DE		X	X		10/25/01
MOTHERS WORK INC	DE		X	X		10/24/01
NATIONAL CITY CREDIT CARD MASTER TR UST.				X		10/15/01
NATIONSLINK FUNDING CORP 1999-LTL-1 COMMER LOAN PAS THR CER	DE			X		10/01/01
NATIONWIDE FINANCIAL SERVICES INC/ NB&T FINANCIAL GROUP INC	DE		X	X		10/24/01
NEOSE TECHNOLOGIES INC	OH		X			10/24/01
	DE		X			10/24/01

NEOTHERAPEUTICS INC	DE		X	X	10/19/01	
NETDIGEST COM INC	DE	X	X	X	09/25/01	
NEUBERGER BERMAN INC	DE		X	X	X	10/22/01
NEXTEL COMMUNICATIONS INC	DE		X	X		10/24/01
NEXTEL INTERNATIONAL INC	DE		X	X		10/24/01
NOBLE DRILLING CORP	DE			X	X	10/25/01
NORTH BAY BANCORP/CA	CA		X	X		10/25/01
NORTHEAST INDIANA BANCORP INC	DE		X	X		09/30/01
NORTHEAST UTILITIES SYSTEM	MA			X		10/23/01
OAKWOOD MORTGAGE INVESTORS INC OMI TRUST 2000-D	NV		X	X		10/15/01
OAKWOOD MORTGAGE INVESTORS INC OMI TRUST 2001 D	NC		X	X		10/15/01
OAKWOOD MORTGAGE INVESTORS INC OMI TRUST 2001-C	NV		X	X		10/15/01
OBIE MEDIA CORP	OR	X				08/27/01 AMEND
OMI TRUST 2000-C	NC		X	X		10/15/01
ONYX SOFTWARE CORP/WA	WA		X	X		10/01/01
OUTSOURCE INTERNATIONAL INC	FL		X	X		10/18/01
PACIFIC GAS & ELECTRIC CO	CA		X			10/25/01
PC MALL INC	DE		X	X		10/25/01
PECO ENERGY CO	PA				X	10/23/01
PENNFED FINANCIAL SERVICES INC	DE		X	X	X	10/24/01
PEPPERMILL CAPITAL CORP	NV			X		08/22/01 AMEND
PFIZER INC	DE		X	X		10/24/01
PG&E CORP	CA		X			10/25/01
PHILIPS INTERNATIONAL REALTY CORP	MD			X		06/30/01
PLAINS ALL AMERICAN PIPELINE LP	DE		X	X		06/22/01 AMEND
POGO PRODUCING CO	DE		X	X		10/24/01
PORTLAND BREWING CO /OR/	OR	X		X		10/12/01
PORTLAND GENERAL ELECTRIC CO /OR/	OR	X				10/25/01
POTOMAC ELECTRIC POWER CO	VA		X	X		10/25/01
PPL CORP	PA		X	X		10/24/01
PREMIERWEST BANCORP	OR			X		10/24/01
PROGRESS ENERGY INC	NC		X			10/24/01
PROGRESS FINANCIAL CORP	DE		X			10/24/01
PROSOFTTRAINING COM	NV		X	X		10/16/01
PROXYMED INC /FT LAUDERDALE/	FL		X	X		10/12/01
PUBLIC SERVICE CO OF NEW MEXICO	NM			X	X	10/25/01
PUBLIC SERVICE ENTERPRISE GROUP INC	NJ		X	X		10/23/01
QUADRACOMM INC	CO	X		X		08/21/01
REGENCY AFFILIATES INC	DE		X			10/15/01
REGIONS FINANCIAL CORP	DE		X			10/18/01
RESTORATION HARDWARE INC	CA		X	X		10/10/01
RETRACTABLE TECHNOLOGIES INC	TX		X			10/23/01
RFS HOTEL INVESTORS INC	TN		X	X		10/23/01
RSA SECURITY INC/DE/	DE		X	X		10/23/01
SALIX PHARMACEUTICALS LTD			X			10/25/01
SALOMON BROTHERS COMMERCIAL MORT TR 2000-C3	DE			X		10/01/01
SCHULER HOMES INC	DE		X	X		10/22/01
SEARS ROEBUCK & CO	NY		X	X		10/24/01
SEMPRA ENERGY	CA		X	X		10/25/01
SEPARATE ACCOUNT NY-B OF FIRST GOLD EN AMER LIFE INS CO OF NY			X			10/23/01

SIERRA HEALTH SERVICES INC	NV			X		10/26/01	
SILGAN HOLDINGS INC	DE			X		10/24/01	
SIMON PROPERTY GROUP L P /DE/	DE			X	X	10/23/01	
SL GREEN REALTY CORP	MD				X	X	10/24/01
SL GREEN REALTY CORP	MD				X	X	10/25/01
SOUTHWESTERN PUBLIC SERVICE CO	NM			X	X	10/23/01	
STERLING FINANCIAL CORP /PA/	PA			X	X	10/23/01	
STRATEGIC DIAGNOSTICS INC/DE/	DE				X	X	10/24/01
STRUCTURED ASS MO INV INC WSH MUT M	DE			X		09/25/01	
O L T M O P T H C E S E 01-1							
STRUCTURED ASSET SEC CORP COMM MORT	DE				X	10/01/01	
PAS THR CERT SER 2000 C5							
STRUCTURED ASSET SEC CORP MORT PASS	DE			X	X	10/25/01	
THR CERT SER 2001-SB1							
STYLECLICK INC	DE				X	X	10/24/01
SUNDEW INTERNATIONAL INC	DE			X		10/24/01	
SUSSEX BANCORP	NJ			X	X	10/18/01	
TELEX COMMUNICATIONS INC	DE			X	X	10/19/01	
TELLIUM INC	DE			X		10/24/01	
TENDER LOVING CARE HEALTH CARE SERV	DE			X	X	10/18/01	
ICES INC/ NY							
TERADYNE INC	MA			X	X	10/24/01	
TESORO PETROLEUM CORP /NEW/	DE	X			X	08/27/01	AMEND
TESORO PETROLEUM CORP /NEW/	DE				X	X	10/24/01
THORATEC CORP	CA			X	X	10/24/01	
TITAN CORP	DE			X		10/24/01	
TRANSPRO INC	DE			X	X	10/24/01	
TREMONT CORPORATION	DE			X		10/23/01	
TREMONT CORPORATION	DE			X	X	10/24/01	
TXU CORP /TX/	TX			X		10/25/01	
TXU ELECTRIC CO	TX			X		10/25/01	
UGLY DUCKLING CORP	DE				X	10/25/01	
UNITED AUTO GROUP INC	DE				X	X	10/24/01
UNITED DOMINION REALTY TRUST INC	VA			X		10/22/01	
UNIVERSAL COMPRESSION HOLDINGS INC	DE			X	X	10/21/01	
UNIVERSAL COMPRESSION INC	TX			X	X	10/21/01	
UNIVERSAL CORP /VA/	VA			X	X	10/23/01	
URECOATS INDUSTRIES INC	DE			X	X	09/30/01	
US DATA AUTHORITY INC	FL			X		10/23/01	
USA NETWORKS INC	DE				X	X	10/24/01
USX CORP	DE			X	X	10/25/01	
V TWIN HOLDINGS INC	DC	X			X	11/27/00	AMEND
VALLEY COMMUNITY BANCSHARES INC				X	X	10/17/01	
VALUE CITY DEPARTMENT STORES INC /O	OH			X	X	08/23/01	AMEND
H							
VANDERBILT MOR & FI INC HO CO SE	TN			X	X	10/08/01	
SU PS THR CER SER 2001-B							
VANDERBILT MORTGAGE & FI IN MA HO C	TN			X	X	10/08/01	
O SR SU PA TH C SE 2001A							
VIDEO NETWORK COMMUNICATIONS INC	DE			X		10/24/01	
VINA TECHNOLOGIES INC	DE			X	X	10/17/01	
VSOURCE INC	DE			X	X	10/19/01	
WALT DISNEY CO/	DE			X	X	10/24/01	
WASHINGTON MUTUAL INC	WA			X	X	10/17/01	
WASHINGTON MUTUAL MORTGAGE SECURITI	DE			X	X	10/23/01	

ES CORP				
WASHINGTON MUTUAL MORTGAGE SECURITI	DE	X	X	10/25/01
ES CORP				
WEBMETHODS INC	DE	X	X	10/18/01
WELLS FARGO ASSET SECURITIES CORP	DE	X	X	10/24/01
<del>WELLS FARGO ASSET SECURITIES CORP</del>	<del>DE</del>	<del>X</del>	<del>X</del>	<del>10/24/01</del>
WESCO INTERNATIONAL INC	DE	X	X	10/24/01
WESTERN DIGITAL CORP	DE	X	X	10/25/01
WESTMORELAND COAL CO	DE	X	X	10/24/01
WESTPORT RESOURCES CORP /NV/	NV	X	X	10/25/01
WEYERHAEUSER CO	WA	X		09/30/01
WOLFPACK CORP	DE	X	X	10/15/01 AMEND
XEROX CREDIT CORP	DE	X	X	10/25/01