

# SEC NEWS DIGEST

Issue 2000-1

January 3, 2000

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## ENFORCEMENT PROCEEDINGS

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### SEC SETTLES INSIDER TRADING CHARGES AGAINST TWO FORMER NEW YORK BANKERS

The Commission today announced that on December 28 and 29, 1999, the Honorable Lawrence M. McKenna, United States District Judge, Southern District of New York, entered final judgments of permanent injunction and other relief against defendants Kevin J. Kirkbride and Richard H. Ference. These judgments settle a civil action filed by the Commission on June 3, 1999, alleging that for two years Ference and Kirkbride engaged in an insider trading scheme involving over a dozen stocks. [Securities and Exchange Commission v. Richard H. Ference and Kevin J. Kirkbride, 99 Civ. 4028 (LMM) (S.D.N.Y.)]

At the time of the unlawful conduct alleged in the complaint, Ference was a Vice President in the New York office of the Bank of Tokyo-Mitsubishi Trust Company, and Kirkbride was employed in the Investment Banking Division of Smith Barney, Inc., and its successor firm, Salomon Smith Barney, Inc. According to the complaint, in order to hide their trading, the defendants agreed that Ference would do all of the trading and that he would pay one-third of the profits to Kirkbride, keep one-third for himself, and retain one-third to pay taxes. Thereafter, Kirkbride obtained and disclosed confidential information to Ference concerning at least thirteen transactions contemplated by clients of his employer. Ference then purchased stock of those companies involved in these transactions. In addition, both Ference and Kirkbride did additional insider trading without telling the other. Ference made trades that he did not disclose to Kirkbride, and on at least six occasions, Kirkbride made trades through an account in his own name that he maintained away from his employer, in clear violation of the firm's policies.

In agreeing to settle this matter, the defendants consented to permanent injunctions enjoining them from violating Sections 10(b) and 14(e) of the Securities Exchange Act of 1934 (Exchange Act), and Rules 10b-5 and 14e-3 thereunder, without admitting or denying the facts alleged in the Commission's complaint. Defendant Ference was ordered to pay disgorgement of \$1,030,976.59, and a civil penalty of \$1,030,976.59, for a total of \$2,061,953.18. Defendant Kirkbride was ordered to pay disgorgement of \$194,557.77, and a civil penalty of \$50,000, for a total of \$244,557.77.

In addition, the Commission instituted and simultaneously settled a public administrative proceeding, pursuant to Section 15(b) of the Exchange Act, against Kirkbride. The Commission's Order, to which Kirkbride consented, bars him from association with any broker or dealer based on the permanent injunction entered against him.

Defendants Ference and Kirkbride also have pleaded guilty to criminal charges brought by the United States Attorney's Office for the Southern District of New York arising from the same conduct. On December 17, 1999, Ference was sentenced to twenty-one months incarceration for his role in the scheme, and has disgorged his illegal profits of \$1,030,976.59. Kirkbride is to be sentenced in January, and has disgorged his illegal profits of \$194,557.77. The disgorgement paid in the criminal proceedings will satisfy the disgorgement ordered in the Commission's civil action. (Administrative Proceedings In the Matter of Kevin J. Kirkbride - 34-42305, File No. 3-10128); [SEC v. Richard H. Ference and Kevin J. Kirkbride, 99 Civ. 4028, LMM, SDNY] (LR-16397)

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#### **INVESTMENT COMPANY ACT RELEASES**

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#### **MANUFACTURERS INVESTMENT TRUST AND MANUFACTURERS SECURITIES SERVICES, LLC**

A notice has been issued giving interested persons until January 24 to request a hearing on an application filed by Manufacturers Investment Trust and Manufacturers Securities Services, LLC for an order under Section 6(c) of the Investment Company Act exempting applicants from Section 15(a) of the Act and Rule 18f-2 under the Act. The order would supersede a prior order that permits applicants to enter into and materially amend investment management agreements with subadvisers without shareholder approval. (Rel. IC-24226 - December 29)

#### **NEW COVENANT FUNDS AND NEW COVENANT TRUST COMPANY, N.A.**

A notice has been issued giving interested persons until January 24 to request a hearing on an application filed by New Covenant Funds and New Covenant Trust Company, N.A. exempting applicants from Section 15(a) and Rule 18f-2 under the Investment Company Act. The order would permit applicants to enter into and materially amend subadvisory agreements without shareholder approval. (Rel. IC-24227 - December 29)

## 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 S Offerings.

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 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		
AAVID THERMAL TECHNOLOGIES INC	DE		X		X	X					10/21/99	AMEND
ABN AMRO MORTGAGE CORP SERIES 1999-7	DE		X								12/15/99	AMEND
ABN AMRO MORTGAGE CORP SERIES 1999-8	DE		X								12/27/99	
ACACIA RESEARCH CORP	CA				X	X					12/28/99	
ACCEPTANCE INSURANCE COMPANIES INC	DE				X						12/22/99	
ADAM COM INC /DE/	GA						X				12/16/99	
ADMIRALTY BANCORP INC	DE				X	X					12/21/99	
ALPHA MICROSYSTEMS	CA				X	X					11/18/99	
AMERICAN STANDARD COMPANIES INC	DE				X						12/29/99	
AMERICAN STANDARD INC	DE				X						12/29/99	
AMSOUTH BANCORPORATION	DE				Y	X					12/16/99	
APPLEBEES INTERNATIONAL INC	DE				X	X					12/17/99	
AREMISSOFT CORP /DE/	DE		X			X					12/29/99	
ASTRO MED INC /NEW/	RI		X			X					11/14/99	
ATLANTIC CITY BOARDWALK ASSOCIATES LP	NJ				X	X					11/23/99	AMEND
ATLANTIC CITY BOARDWALK ASSOCIATES LP	NJ				X	X					12/28/99	
AUTHORISZOR INC	DE				X	X					07/22/99	AMEND
AUTO LEASE FINANCE L P	IL		X								11/30/99	
BA MORTGAGE SECURITIES INC MORT PS THR CERT SER 1998-4	DE				X	X					12/25/99	
BA MORTGAGE SECURITIES INC PASS THR CERT SER 1998-5	DE				X	X					12/25/99	
BALTIC INTERNATIONAL USA INC	TX				X	X					12/21/99	
BANC ONE CREDIT CARD MASTER TRUST	NY					X					11/29/99	
BANK OF AMERICA MORT SEC INC MORT P ASS THR CERT SER 1999-1	DE				X	X					11/25/99	
BANK OF AMERICA MORT SEC INC MORT P ASS THR CERT SER 1999-1	DE				X	X					11/25/99	
BANK OF AMERICA MORT SEC INC MORT P ASS THR CERT SER 1999-1	DE				Y	X					12/25/99	

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		1	2	3	4	5	6	7	8	9		
BANK OF AMERICA MORT SEC INC MORT P ASS THR CERT SER 1999-1	DE				X	X					12/25/99	
BANK OF AMERICA MORT SEC INC MORT P ASS THR CERT SER 1999-2	DE				X	X					11/25/99	
BANK OF AMERICA MORT SEC INC MORT P ASS THR CERT SER 1999-2	DE				X	X					12/25/99	
BANK OF AMERICA MORTGAGE SECURITIES INC	DE				X	X					11/25/99	
BANK OF AMERICA MORTGAGE SECURITIES INC	DE				X	X					11/25/99	
BANK OF AMERICA MORTGAGE SECURITIES INC	DE				X	X					12/25/99	
BANK OF AMERICA MORTGAGE SECURITIES INC	DE				X	X					12/25/99	
BANK OF AMERICA MORTGAGE SECURITIES INC	DE				X	X					12/25/99	
BANK OF KENTUCKY FINANCIAL CORP	KY				X	X					12/21/99	
BEAR STEARNS ASSET BACKED SECURITIE S INC	DE					X					12/25/99	
BETHLEHEM STEEL CORP /DE/	DE				X	X					12/30/99	
BINGHAM FINANCIAL SERVICES CORP	MI	X				X					12/17/99	
BIOMET INC	IN	X				X					12/15/99	
BION ENVIRONMENTAL TECHNOLOGIES INC	CO				X						12/11/99	AMEND
BIRMINGHAM STEEL CORP	DE				X						12/23/99	
BOMBARDIER CAPITAL MORTGAGE SECURIT IZATION CORP	DE					X					11/30/99	
BOMBARDIER CAPITAL MORTGAGE SECURIT IZATION CORP	DE					X					11/30/99	
BOSTON CAPITAL TAX CREDIT FUND IV L P	DE				X						05/06/98	
BUFORD GROUP INC	TX		X	X	X						10/24/99	
BULL RUN CORP	GA	X				X					12/17/99	
CAPTEC NET LEASE REALTY INC	DE				X	X					12/20/99	
CBS CORP	PA	X				X					12/29/99	
CE SOFTWARE HOLDINGS INC	DE				X						12/30/99	
CENTURY BUSINESS SERVICES INC	DE				X	X					12/28/99	
CENTURY BUSINESS SERVICES INC	DE				X	X					12/29/99	
CHASE COMMERCIAL MORTGAGE SECURITIE S CORP	NY				X	X					12/20/99	
CHASE FUNDING INC	NY				X	X					12/27/99	
CHASE MORTGAGE FINANCE CORP	DE				X	X					12/27/99	
CHL MORTGAGE PASS THROUGH TRUST 199 8 18	DE				X	X					12/25/99	
CHL MORTGAGE PASS THROUGH TRUST 199 8 20	DE				X	X					11/25/99	
CHL MORTGAGE PASS THROUGH TRUST 199 8 20	DE				X	X					12/25/99	
CINCINNATI BELL INC /OH/	OH				X	X					07/21/99	
CINCINNATI BELL INC /OH/	OH				X						12/29/99	
CIT MARINE TRUST 1999-A	DE				X	X					12/15/99	
CIT RV TRUST 1999-A	DE				X	X					12/15/99	
CLAYTON HOMES INC	DE				X	X					12/16/99	
CLEVELAND CLIFFS INC	OH				X	X					12/28/99	
COMMERCIAL FEDERAL CORP	NE				X	X					12/27/99	
CONVERGENCE COMMUNICATIONS INC	NV				X	X					12/29/99	
CORNING INC /NY	NY	X									12/29/99	
CREDIT SUISSE FIRST BOSTON MORT PAS S THR CERT SER 1999 C1	DE					X					12/17/99	
CREDIT SUISSE FIRST BOSTON MORTGAGE SECURITIES CORP	DE					X					11/01/99	

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		1	2	3	4	5	6	7	8	9		
CREDIT SUISSE FIRST BOSTON MORTGAGE SECURITIES CORP	DE								X		12/01/99	
CREDIT SUISSE FIRST BOSTON MORTGAGE SECURITIES CORP	DE								X		12/01/99	
CRUSADER HOLDING CORP	PA				X	X					12/17/99	
CWABS INC	DE				X	X					11/23/99	
CWABS INC	DE				X	X					11/30/99	
CWABS INC ASSET BACKED CERTIFICATES SERIES 1998-3	DE				X	X					12/25/99	
CWABS INC ASSET BACKED CERTIFICATES SERIES 1999-1	DE				X	X					12/25/99	
CWABS INC ASSET-BACKED CERTIFICATES SERIES 1998-2	DE				X	X					12/25/99	
CWABS INC	DE				X	X					11/19/99	
CWABS INC	DE				X	X					11/26/99	
CWABS INC ASSET SEC TRUST 1998-A7	DE				X	X					11/25/99	
CWABS INC ASSET SEC TRUST 1998-A7	DE				X	X					12/25/99	
CWABS INC CHL MORTGAGE PASS THROUGH TRUST 1998-19	DE				X	X					11/25/99	
CWABS INC CHL MORTGAGE PASS THROUGH TRUST 1998-19	DE				X	X					12/25/99	
CWABS INC CHL MORTGAGE PASS THROUGH TRUST 1998-21	DE				X	X					11/25/99	
CWABS INC CHL MORTGAGE PASS THROUGH TRUST 1998-21	DE				X	X					12/25/99	
CWABS INC CHL MORTGAGE PASS THROUGH TRUST 1998-22	DE				X	X					11/25/99	
CWABS INC CHL MORTGAGE PASS THROUGH TRUST 1998-22	DE				X	X					12/25/99	
CWABS INC CHL MORTGAGE PASS THROUGH TRUST 1998-23	DE				X	X					11/25/99	
CWABS INC CHL MORTGAGE PASS THROUGH TRUST 1998-23	DE				X	X					12/25/99	
CWABS INC CHL MORTGAGE PASS THROUGH TRUST 1999-2	DE				X	X					12/25/99	
CWABS INC CHL MORTGAGE PASS THROUGH TRUST 1999-3	DE				X	X					12/25/99	
CWABS INC CHL MORTGAGE PASS THROUGH TRUST 1999-4	DE				X	X					12/25/99	
CWABS INC MORT PASS THR CERT SER 19 98-15	DE				X	X					11/25/99	
CWABS INC MORT PASS THR CERT SER 19 98-15	DE				X	X					12/25/99	
CWABS INC MORT PASS THR CERT SER 19 98-16	DE				X	X					11/25/99	
CWABS INC MORT PASS THR CERT SER 19 98-16	DE				X	X					12/25/99	
CWABS INC MORT PASS THR CERT SER 19 99-10	DE				X	X					12/25/99	
CWABS INC MORT PASS THR CERT SER 19 99-11	DE				X	X					12/25/99	
CWABS INC MORT PASS THR CERT SER 19 99-12	DE				X	X					12/25/99	
CWABS INC MORT PASS THR CERT SER 19 99-6	DE				X	X					12/25/99	
CWABS INC MORT PASS THR CERT SER 19 99-7	DE				X	X					12/25/99	
CWABS INC MORT PASS THR CERT SER 19 99-8	DE				X	X					12/25/99	
CWABS INC MORT PASS THR CERT SER 19 99-9	DE				X	X					12/25/99	

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		1	2	3	4	5	6	7	8	9			
CWMBS INC MORT PASS THRO CERT SER 1 998-11	DE					X	X					11/25/99	
CWMBS INC MORT PASS THRO CERT SER 1 998-11	DE					X	X					12/25/99	
CWMBS INC MORT PASS THRO CERT SER 1 998-12	DE					X	X					12/25/99	
CWMBS INC MORT PASS THRO CERT SERIE S 1998-17	DE					X	X					11/25/99	
CWMBS INC MORT PASS THRO CERT SERIE S 1998-17	DE					X	X					12/25/99	
CWMBS INC MORTGAGE PASS THROUGH CER T SERIES 1998 10	DE					X	X					11/25/99	
CWMBS INC MORTGAGE PASS THROUGH CER T SERIES 1998 10	DE					X	X					12/25/99	
CWMBS INC MORTGAGE PASS THROUGH CER T SERIES 1998 8	DE					X	X					11/25/99	
CWMBS INC MORTGAGE PASS THROUGH CER T SERIES 1998 8	DE					X	X					12/25/99	
CWMBS INC MORTGAGE PASS THROUGH CER TIFICATES SERIES 1998 5	DE					X	X					12/25/99	
CWMBS INC MORTGAGE PASS THROUGH CER TIFICATES SERIES 1998 6	DE					X	X					11/25/99	
CWMBS INC MORTGAGE PASS THROUGH CER TIFICATES SERIES 1998 6	DE					X	X					12/25/99	
CWMBS INC MORTGAGE PASS THROUGH CER TIFICATES SERIES 1998-9	DE					X	X					12/25/99	
CWMBS INC RASTA 1999-A1 1999-A						X	X					12/25/99	
CWMBS INC RASTA 1999-A2 1999-B						X	X					12/25/99	
CWMBS INC RASTA 1999-A3 1999-C						X	X					12/25/99	
CWMBS INC RASTA 1999-A4 1999-D						X	X					12/25/99	
CWMBS INC RASTA 1999-A6 1999-F						X	X					12/25/99	
CWMBS INC RESIDENTIAL ASSET SEC TRU ST 1998-A12	DE					X	X					11/25/99	
CWMBS INC RESIDENTIAL ASSET SEC TRU ST 1998-A12	DE					X	X					12/25/99	
CWMBS INC RESIDENTIAL ASSET SECURIT IZATION TRUST 1998-A11	DE					X	X					12/25/99	
CWMBS INC RESIDENTIAL ASSET SECURIT IZATION TRUST 1998-A13	DE					X	X					12/25/99	
CWMBS INC RESIDENTIAL ASSET SECURIT IZATION TRUST 1998-A14	DE					X	X					12/25/99	
CWMBS INC RESIDENTIAL ASSET SECURIT IZATION TRUST 1998-A15	DE					X	X					11/25/99	
CWMBS INC RESIDENTIAL ASSET SECURIT IZATION TRUST 1998-A15	DE					X	X					12/25/99	
CWMBS INC RESIDENTIAL ASSET SECURIT IZATION TRUST 1998-A8	DE					X	X					12/25/99	
CWMBS INC RESIDENTIAL ASSET SECURIT IZATION TRUST 1999-A5	DE					X	X					12/25/99	
CWMBS INC SERIES 1998 7	DE					X	X					11/25/99	
CWMBS INC SERIES 1998 7	DE					X	X					12/25/99	
CWMBS INC SERIES 1998-A10	DE					X	X					12/25/99	
CYGNUS INC /DE/	DE			X			X					12/18/99	
DALEEN TECHNOLOGIES INC	DE			X			X					12/16/99	
DATA SYSTEMS & SOFTWARE INC	DE			X			X					12/22/99	
DECRANE AIRCRAFT HOLDINGS INC	OH			X		X	X					12/17/99	
DECRANE HOLDINGS CO	OH			X		X	X					12/17/99	
DELTA FUNDING HOME EQUITY LOAN TR 9 9-3 HOME EQ AS BK SE 99-3	NY						X					12/15/99	
DELTA WOODSIDE INDUSTRIES INC /SC/	SC					X	X					12/29/99	

NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
DIGENE CORP	DE				X	X					12/23/99	
DOLLAR FINANCIAL GROUP INC	NY	X				X					12/30/99	
DUKE CAPITAL CORP	DE				X	X					12/16/99	
DUKE ENERGY CORP	NC				X	X					12/16/99	
ECOM CORP	NV	X									12/17/99	
EDISON INTERNATIONAL	CA	X				X					12/15/99	
EEX CORP	TX	X					X				12/17/99	
EFFICIENT NETWORKS INC	DE				X	X					12/17/99	
EFTC CORP/	CO				X						12/30/99	
EGLOBE INC	DE	X									12/16/99	
EQCC HOME EQUITY LOAN TRUST 1999-1	DE				X	X					12/20/99	
EQCC HOME EQUITY LOAN TRUST 1999-2	DE				X	X					12/27/99	
EQCC HOME EQUITY LOAN TRUST 1999-3	DE				X	X					12/27/99	
EQK REALTY INVESTORS I	MA		X			X					12/14/99	
ESAT INC	NV			X							11/30/99	AMEND
EXIGENT INTERNATIONAL INC	DE					X					12/14/99	AMEND
EXPLORATION CO	CO	X									12/16/99	
FERRELLGAS PARTNERS FINANCE CORP	DE	X				X					12/29/99	
FERRELLGAS PARTNERS L P	DE	X				X					12/29/99	
FFP MARKETING CO INC	TX		X		X	X					12/21/99	
FFP PARTNERS L P	DE		X		X	X					12/21/99	
FINET COM INC	DE				X	X					12/15/99	
FIRST ALLIANCE MORTGAGE LOAN TRUST 1999-4	CA				X	X					12/17/99	
FIRST BANKING CO OF SOUTHEAST GEORG IA	GA	X				X					12/14/99	
FIRST UNION COMMERCIAL MORTGAGE SEC URITIES INC	NC	X				X					12/17/99	
FIRST YEARS INC	MA			X	X						12/29/99	
FOAMEX CAPITAL CORP	DE			X	X						12/15/99	
FOAMEX INTERNATIONAL INC	DE			X	X						12/15/99	
FOAMEX L P	DE			X	X						12/15/99	
FRESHSTART VENTURE CAPITAL CORP	NY			X							12/22/99	
FRUIT OF THE LOOM INC /DE/	DE		X		X						12/29/99	
FRUIT OF THE LOOM LTD			X		X						12/29/99	
GENESIS DIRECT INC	DE			X	X						12/17/99	
GLOBALNET FINANCIAL COM INC	DE			X	X						12/09/99	
GPU INC /PA/	PA			X	X						12/29/99	
GREENPOINT CREDIT LLC	DE			X	X						12/16/99	
HARLEY DAVIDSON CREDIT CORP	NV			X	X						12/30/99	
HCB BANCSHARES INC	OK			X	X						12/16/99	
HCC INSURANCE HOLDINGS INC/DE/	DE	X			X						12/20/99	
HI RISE RECYCLING SYSTEMS INC	FL			X	X						12/16/99	
HIE INC	GA			X	X						11/30/99	
HISPANIC TELEVISION NETWORK INC	DE	X	X		X	X					12/15/99	
HOME EQUITY LOAN ASSET BACKED TRUST SERIES SPMD 1998 A	DE			X	X						12/25/99	
HOOKEE FURNITURE CORP	VA	X									12/21/99	
HOST MARRIOTT CORP/	DE					X					12/30/98	
HOUSEHOLD REVOLVING HOME EQUITY LOA N TRUST 1995-1	DE					X					12/20/99	
HOUSEHOLD REVOLVING HOME EQUITY LOA N TRUST 1995-2	DE					X					12/20/99	
HOUSEHOLD REVOLVING HOME EQUITY LOA N TRUST 1996-1	DE					X					12/20/99	
HVIDE MARINE INC	FL		X								12/09/99	AMEND
HYDRON TECHNOLOGIES INC	NY		X		X						12/23/99	
ILINK TELECOM INC	NV			X	X						12/21/99	
ILLINOIS SUPERCONDUCTOR CORPORATION	DE			X	X						12/29/99	
INAMED CORP	DE			X	X						12/22/99	

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		1	2	3	4	5	6	7	8	9		
INDYMAC ABS INC HOME EQUITY LN AST BK CERT SE SPMD 1999-A	DE						X	X			12/25/99	
INDYMAC RAST 1998-A5	DE						X	X			12/25/99	
INFORMATICA CORP				X				X			12/28/99	
INFOSPACE COM INC	DE			X				X			12/16/99	
INTERIORS INC	DE			X				X			12/29/99	
INTERMEDIA COMMUNICATIONS INC	DE						X				12/29/99	
INTERMET CORP	GA			X				X			12/20/99	
ISLE OF CAPRI CASINOS INC	DE						X	X			12/19/99	
JENKON INTERNATIONAL INC	DE	X	X			X	X				12/16/99	
KAISER GROUP INTERNATIONAL INC	DE					X					12/23/99	
KELLER MANUFACTURING CO	IN					X	X				12/21/99	
LANNETT CO INC	DE					X					12/29/99	
LCA VISION INC	DE	X									12/29/99	
LEINER HEALTH PRODUCTS INC	DE		X					X			12/17/99	
LXR BIOTECHNOLOGY INC	DE					X					12/28/99	
MCHENRY METALS GOLF CORP /CA	NV					X					11/23/99	AMEND
MCHENRY METALS GOLF CORP /CA	NV					X					11/23/99	AMEND
MEDIX RESOURCES INC	CO					X					12/28/99	
MEDTECH DIAGNOSTICS INC	DE					X					12/08/99	
MELLON BANK PREMIUM FINANCE LOAN MA STER TRUST	NY					X	X				11/30/99	
MERCER INTERNATIONAL INC	WA					X					12/29/99	
MERRILL LYNCH DEPOSITOR INC	DE					X	X				12/15/99	
MERRILL LYNCH MORT INVEST INC MRT L N AS BCKD CRT SR 1999 CB1	DE					X	X				12/27/99	
MERRILL LYNCH MORT INVEST INC MRT L N AS BCKD CRT SR 1999 CB2	DE					X	X				12/27/99	
MERRILL LYNCH MORT INVEST INC MRT L N AS BCKD CRT SR 1999 CB4	DE					X	X				12/27/99	
MERRILL LYNCH MORT INVST INC MOR LN ASSET BK CERT SE 1999 H2	DE					X	X				09/20/99	
MERRILL LYNCH MORT INVST INC MOR LN ASSET BK CERT SE 1999-H1	DE					X	X				10/20/99	
MERRILL LYNCH MORT INVST INC MOR LN ASSET BK CERT SE 1999-H1	DE					X	X				11/22/99	
MESTEK INC	PA					X					12/29/99	
MINNESOTA POWER INC	MN					X					12/30/99	
MIZAR ENERGY CO	CO	X	X			X	X				12/27/99	
MONSANTO CO	DE					X	X				12/19/99	
MONSANTO CO	DE					X	X				12/19/99	
MORTGAGE PASS THROUGH CERTIFICATES SERIES 1998-13	DE					X	X				11/25/99	
MORTGAGE PASS THROUGH CERTIFICATES SERIES 1998-13	DE					X	X				12/25/99	
MORTGAGE PASS THROUGH CERTIFICATES SERIES 1998-14	DE					X	X				11/25/99	
MORTGAGE PASS THROUGH CERTIFICATES SERIES 1998-14	DE					X	X				12/25/99	
MULTI COLOR CORP	OH		X					X			12/16/99	
NATIONSCREDIT GRANTOR TRUST 1996-1	DE					X	X				12/15/99	
NATIONSCREDIT GRANTOR TRUST 1997-1	DE					X	X				12/15/99	
NATIONSCREDIT GRANTOR TRUST 1997-2	DE					X	X				12/15/99	
NAVISTAR FINANCIAL RETAIL RECEIVABL ES CORPORATION	DE					X	X				12/15/99	
NAVISTAR FINANCIAL SECURITIES CORP	DE					X	X				12/27/99	
NBC ACQUISITION CORP	DE			X				X			06/04/99	AMEND
NEBRASKA BOOK CO	KS			X				X			06/04/99	AMEND



NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
NEFF CORP	DE	X									12/31/99	
NEFF CORP	DE			X	X						12/31/99	AMEND
NETZEE INC	GA	X			X						12/15/99	
NEW CENTURY MORTGAGE SECURITIES INC	DE				X						10/26/99	AMEND
NHANCEMENT TECHNOLOGIES INC	DE			X							09/20/99	AMEND
NORTH FORK BANCORPORATION INC	DE			X	X						12/29/99	
NORWEST ASSET SECURITIES CORP	DE			X	X						11/17/99	
NOVA NATURAL RESOURCES CORP	CO	X									12/31/99	
ONYX ACCEPTANCE OWNER TRUST 1999-A	DE			X							12/15/99	
ONYX ACCEPTANCE OWNER TRUST 1999-B	DE			X							12/15/99	
ONYX ACCEPTANCE OWNER TRUST 1999-C	DE			X							12/15/99	
ONYX ACCEPTANCE OWNER TRUST 1999-D	DE			X							12/15/99	
ORIX CREDIT ALLIANCE RECEIVABLES CO RP II	DE			X	X						12/30/99	
PARAGON AUTO RECEIVABLES CORP	DE			X	X						12/15/99	
PARK PLACE ENTERTAINMENT CORP	DE	X			X						12/30/99	
PARTNERS FIRST RECEIVABLES FUNDING LLC	DE			X	X						12/15/99	
PEOPLES SIDNEY FINANCIAL CORP	DE			X	X						12/27/99	
PER SE TECHNOLOGIES INC	DE	X			X						12/17/99	
PETROGLYPH ENERGY INC	DE			X	X						12/28/99	
PHARMACEUTICAL FORMULATIONS INC	DE			X							12/27/99	
PHARMACIA & UPJOHN INC	DE			X	X						12/29/99	
PHELPS DODGE CORP	NY				X						12/30/99	AMEND
PLC SYSTEMS INC				X	X						12/22/99	
PMI GROUP INC	DE			X							12/24/99	
POLYMER SOLUTIONS INC	NV				X						10/18/99	AMEND
PRIME MOTOR INNS LTD PARTNERSHIP	DE			X							12/30/99	
PRIMUS KNOWLEDGE SOLUTIONS INC	WA	X			X						12/14/99	
PROFESSIONAL BENEFITS INSURANCE CO	TX				X						11/30/99	
PROVANT INC	DE	X			X						12/14/99	
PSH MASTER L P I	DE			X	X						12/23/99	
QUEST SOFTWARE INC	CA	X			X						12/17/99	
RAINTREE HEALTHCARE CORP	DE			X							12/22/99	
RASTA 1999-A7 1999-G				X	X						12/25/99	
RECKSON SERVICES INDUSTRIES INC	DE				X						12/13/99	
RENEC CORP	FL			X	X						12/28/99	
RESIDENTIAL ASSET SECURITIZATION TR UST 1998-A9	DE			X	X						12/25/99	
SALOMON BROS MORT SEC VII INC FL RT MRT PS THR CERT 1999 AQ1	NY				X						12/27/99	
SAXON ASSET SECURITIES CO	VA				X						12/23/99	
SELLER & MASTER SERVICER RESIDENTIA L ASS SEC TR 1998-A6	DE			X	X						12/25/99	
SHOPNOW COM INC	WA	X			X						12/17/99	
SHOPNOW COM INC	WA			X	X						12/20/99	
SOFTNET SYSTEMS INC	DE			X	X						12/13/99	
SOUTHERN UNION CO	DE			X							12/30/99	
ST MARY LAND & EXPLORATION CO	DE	X		X	X						12/29/99	
STAFF LEASING INC	FL			X	X						12/21/99	
STARTEC GLOBAL COMMUNICATIONS CORP	DE			X	X						12/29/99	
STERICYCLE INC	DE	X			X						11/12/99	AMEND
STRUCTURED ASSET MORTGAGE INVESTMEN TS INC	DE			X	X						12/28/99	
SVB FINANCIAL SERVICES INC	NJ			X	X						12/30/99	
SYNTHONICS TECHNOLOGIES INC	UT			X	X						12/03/99	
TAYLOR DEVICES INC	NY	X									12/23/99	
TGC INDUSTRIES INC	TX			X							12/29/99	
TIBCO SOFTWARE INC	DE	X			X						11/04/99	AMEND
TOWN & COUNTRY TRUST	MD			X	X						03/31/98	
TV GUIDE INC	DE				X						03/01/99	

NAME OF ISSUER	STATE	BK ITEM NO.									DATE	COMMENT
	CODE	1	2	3	4	5	6	7	8	9		
UBRANDIT COM	NV									X	12/28/99	
UNITEL VIDEO INC/DE	DE			X	X						12/16/99	
VALUE AMERICA INC /VA	VA					X					12/29/99	
VANDERBILT MORTGAGE & FINANCE INC	TN				X	X					12/16/99	
VENTURI TECHNOLOGIES INC	NV		X				X				12/15/99	
VEREX LABORATORIES INC/CO	CO					X	X				12/21/99	
VERTICALNET INC	PA		X				X				12/16/99	
VIATEL INC	DE							X			12/29/99	
VIRTUAL TECHNOLOGY CORP			X		X	X					12/17/99	
VIZACOM INC	DE					X					12/23/99	
WASHINGTON GAS LIGHT CO	DC					X					12/30/99	
WASTE SYSTEMS INTERNATIONAL INC	DE	X									12/31/99	
WILMAR INDUSTRIES INC	NJ					X	X				12/22/99	
WILSHIRE FINANCIAL SERVICES GROUP I NC	DE					X	X				12/13/99	
WISCONSIN ELECTRIC POWER CO	WI					X					12/22/99	
WISCONSIN ENERGY CORP	WI					X					12/22/99	
WORLD OMNI LEASE SECURITIZATION L P /DE/	DE	X									11/30/99	
WORLD OMNI 1999-A AUTOMOBILE LEASE SECURITIZATION TRUST	IL	X									11/30/99	
WYNNS INTERNATIONAL INC	DE		X					X			12/17/99	
XETA CORP	OK					X					12/29/99	
XPLORER S A	NV	X					X				12/08/99	
YOURNET INC/	NV		X								12/10/99	
5TH AVENUE CHANNEL CORP	FL							X			12/27/99	