

SEC NEWS DIGEST

Issue 2001-47

March 9, 2001

ENFORCEMENT PROCEEDINGS

LLOYD WOLLMERSHAUSER CONSENTS TO THE ENTRY OF A PERMANENT INJUNCTION

Today, the Commission filed a complaint in federal court, Northern District of Ohio, Eastern Division, against Lloyd E. Wollmershauser, also known as the "PennyStockMan," of Cleveland, Ohio, for engaging in an Internet pump-and-dump scheme. The Complaint alleges that Wollmershauser obtained over two million shares of Thermotek International, Inc. (TTKI), a penny stock company that on June 28, 2000 began trading for the first time in the over-the-counter market, and then disseminated false information about the company, causing the price of the stock to rise. Wollmershauser then sold TTKI stock at a profit before the price of the stock plummeted.

According to the complaint, Wollmershauser, the proprietor of an Internet web site and newsletter service called PennyStockMan, touted TTKI to PennyStockMan subscribers in his newsletters, on his web site, and in personal e-mails, and made numerous false statements including that he had inside information allowing him to project TTKI's price; that the price of TTKI stock would likely rise to \$20 by the end of the first day of trading; that he believed TTKI was a good investment based upon his independent research; that mutual funds were interested in TTKI; and that he did not intend to sell his shares in the short term. The Commission alleges that Wollmershauser, at the time of these false statements, intended to sell his TTKI stock during any price increase caused by his recommendation.

The Commission alleges that when PennyStockMan subscribers demonstrated an interest in acquiring TTKI stock based on Wollmershauser's recommendation, Wollmershauser advised them to place limit buy orders at a specific price. The Commission further alleges that Wollmershauser's false statements, coupled with his advice to place limit buy orders, caused PennyStockMan subscribers to buy TTKI stock on June 28 and June 29, 2000 which, in turn, caused the price of TTKI stock to rise. The Commission also alleges that Wollmershauser placed limit sell orders at the same time he knew that PennyStockMan subscribers had placed limit buy orders. Finally, the Commission alleges that Wollmershauser sold shares of TTKI stock on June 28 and June 29, 2000 for proceeds of \$436,660 before the price and volume of TTKI stock plummeted.

Without admitting or denying the allegations in the complaint, Wollmershauser consented to the entry of an Order that (i) enjoins him from violating Sections 5(a), 5(c) and 17(a) of the Securities Act of 1933, Section 10(b) of the Securities Exchange Act of 1934 and Rule 10b-5 thereunder, and Sections 206(1) and 206(2) of the Investment Advisers Act of 1940; (ii) orders him to pay disgorgement of \$436,660; and (iii) waives disgorgement in excess of \$205,000 and does not impose a civil penalty based on Wollmershauser's sworn statements demonstrating his inability to pay.

In a related administrative proceeding, the Commission ordered TTKI and its president, Harold D. Massner, to cease and desist from committing or causing any violation and any future violation of Sections 5(a) and 5(c) of the Securities Act of 1933. For further information see release No. 33-7962 (March 6, 2001). [SEC v. Lloyd E. Wollmershauser a/k/a The PennyStockMan, Civ. No. 101CV530, N.D. Ohio, Eastern Div.] (LR-16926)

TERRY KOONTZ, ORCHESTRATOR OF FICTITIOUS INTERNATIONAL BANK DEBENTURE SCHEME INVESTIGATED BY SEC, PLEADS GUILTY; COHORTS SENTENCED TO TWO YEARS IN PRISON

The Commission announced today that on March 2 Richard J. Fulcher was sentenced in Tampa, Florida, to two years in prison for his role in a prime bank/Ponzi scheme conducted by Terry V. Koontz, Jeffrey A. DeVille, and others. The Commission also announced that on January 5, 2001, Koontz pled guilty in Tampa to charges of conspiracy, securities fraud, and wire fraud relating to two schemes in which he orchestrated the sale of \$23 million of fraudulent securities. The charges were previously filed by the U.S. Attorney's Office for the Middle District of Florida (Tampa). In addition to pleading guilty, Koontz agreed to forfeit various assets purchased with proceeds of the fraud. Koontz is scheduled to be sentenced on April 6, 2001. The Commission also announced that on January 31, 2001, DeVille was sentenced to two years in prison for his role in the scheme.

The charges arise out of a vast prime bank Ponzi scheme investigated by the Commission. Koontz, DeVille, Fulcher, and others conducted this scheme, in which they induced more than 80 individuals in 16 states to invest over \$20 million in a fictitious "international bank debenture trading" program called Private Pool, LLC. The Commission filed its emergency action in the U.S. District Court for the District of Massachusetts against those defendants and others on September 17, 1998. Koontz is the fifth defendant to be charged by the Tampa U.S. Attorney as a result of this scheme. Fulcher (mail fraud), DeVille (securities and wire fraud), Stewart Koral (false statements), and Joseph Papisidero (misprision of a felony), have all entered guilty pleas and been sentenced in U.S. District Court in Tampa, Florida. In addition, the District Court in Massachusetts has entered judgments in the Commission's action against defendants Fulcher, Walter Lapp, Lawrence Seppanen, and Thomas Dolan, all of whom acted as sales agents. The Commission's action is continuing as to Koontz and other defendants. [SEC v. Terry V. Koontz, et al., Civil Action No. 98cv11904NG (D. Mass., Sept. 17, 1998); United States v. Terry V. Koontz, Action No. 8:00-CR-341-T-24F (M.D.Fl., Sept. 20, 2000); United States v. Jeffrey A. DeVille, Action No. 8:00-CR-56-T-

INVESTMENT COMPANY ACT RELEASES

HARRIS & HARRIS GROUP, INC.

A certification has been issued pursuant to Section 851(e) of the Internal Revenue Code of 1986, as amended, that Harris & Harris Group, Inc. was, for the fiscal year ended December 31, 2000, principally engaged in the furnishing of capital to other corporations which are principally engaged in the development or exploitation of inventions, technological improvements, new processes or products not previously generally available. (Rel. IC-24888 – March 8)

SELF-REGULATORY ORGANIZATIONS

APPROVAL OF PROPOSED RULE CHANGE

The Commission approved a proposed rule change submitted by the National Association of Securities Dealers (SR-NASD-99-66) amending the rules relating to Portal Securities. (Rel. 34-44042)

AMENDMENT TO PROPOSED RULE CHANGE

The National Association of Securities Dealers has filed Amendment No. 5 to a proposed rule change (SR-NASD-00-04) under Rule 19b-4 of the Exchange Act relating to its Corporate Financing Rule. Publication of the proposal is expected in the Federal Register during the week of March 12. (Rel. 34-44044)

PROPOSED RULE CHANGE

The American Stock Exchange has filed a proposed rule change (SR-Amex-01-08) relating to restrictions on specialist affiliates. (Rel. 34-44048)

IMMEDIATE EFFECTIVENESS OF PROPOSED RULE CHANGE

A proposed rule change (SR-Amex-01-13) submitted by the American Stock Exchange to extend the eQPriority pilot program for an additional six months has been filed and become immediately effective under Rule 19b-4 of the Securities Exchange Act of 1934. (Rel. 34-44049)

SECURITIES ACT REGISTRATIONS

CORRECTION

In yesterday's Digest, an incorrect address was listed for F-6 SIEMENS AG/ADR. The address should have been MORGAN GUARANTY TRUST CO. OF NY, 60 WALL STREET, NEW YORK, NY 10260.

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

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

- S-8 TOTAL FINA ELF SA, 24 COURS MICHELET, LA DEFENSE 92800, PUTEAUX FRANCE,
IO 00000 (212) 969-3300 - 25,000 (\$3,531,250) FOREIGN COMMON STOCK.
(FILE 333-13214 - FEB. 28) (BR. 4)
- F-1 CHIPMOS TECHNOLOGIES BERMUDA LTD, 125 BROAD ST, NEW YORK, NY 10004
(886) 566-8800 - 50,000,000 (\$50,000,000) FOREIGN COMMON STOCK. (FILE 333-13218 - FEB. 28) (BR. 5 - NEW ISSUE)
- S-8 IONA TECHNOLOGIES PLC, IONA BLDG, 8-10 LOWER PEMBROKE ST, DUBLIN 2 IRELAND, L2 (011) 662-5255 - 175,111 (\$1,079,561.01) FOREIGN COMMON STOCK. (FILE 333-13224 - FEB. 28) (BR. 3)
- S-8 FLORIDAFIRST BANCORP INC, 205 EAST ORANGE ST, LAKELAND, FL 33801
(863) 688-6811 - 390,514 (\$3,902,484) COMMON STOCK. (FILE 333-56420 - MAR. 02) (BR. 7)
- S-8 GALEY & LORD INC, 980 AVENUE OF THE AMERICA, NEW YORK, NY 10018
(212) 465-3000 - 800,000 (\$2,736,000) COMMON STOCK. (FILE 333-56422 - MAR. 02) (BR. 2)
- S-1 FOREST BANK LLC, 339 EAST AVE., SUITE 300, ROCHESTER, NY 14604
(716) 232-3530 - 15,000,000 (\$15,000,000) LIMITED PARTNERSHIP CERTIFICATE.
(FILE 333-56424 - MAR. 02) (BR. 4 - NEW ISSUE)

S-8 AMERICAN PHYSICIANS CAPITAL INC, 1301 NORTH HAGADORN ROAD, EAST LANSING, MI 48823 (517) 351-1150 - 1,200,000 (\$21,150,000) COMMON STOCK. (FILE 333-56428 - MAR. 02) (BR. 1)

S-8 ALAMOSA HOLDINGS INC, 4430 BROWNFIELD HIGHWAY, LUBBOCK, TX 79407 (806) 722-1100 - 13,600,000 (\$138,720,000) COMMON STOCK. (FILE 333-56430 - MAR. 02) (BR. 9)

S-8 ASANTL TECHNOLOGIES INC, 821 FOX LANE, SAN JOSE, CA 95131 (408) 435-8388 - 1,857,316 (\$1,388,706.48) COMMON STOCK. (FILE 333-56432 - MAR. 02) (BR. 3)

S-8 JLM COUTURE INC, 225 W 37TH ST 5TH FL, NEW YORK, NY 10018 (212) 921-7058 - 150,000 (\$281,250) COMMON STOCK (FILE 333-56434 - MAR. 02) (BR. 2)

S-8 VERITAS DGC INC, 10300 TOWN PARK DR, HOUSTON, TX 77072 (713) 512-8300 - 200,000 (\$6,050,000) COMMON STOCK. (FILE 333-56436 - MAR. 02) (BR. 4)

S-8 VERITAS DGC INC, 10300 TOWN PARK DR, HOUSTON, TX 77072 (713) 512-8300 - 2,000,000 (\$60,500,000) COMMON STOCK. (FILE 333-56438 - MAR. 02) (BR. 4)

S-8 EMULEX CORP /DE/, 3535 HARBOR BLVD, COSTA MESA, CA 92626 (714) 662-5600 - 1,248,865 (\$3,746,595) COMMON STOCK. (FILE 333-56440 - MAR. 02) (BR. 3)

S-8 AFC ENTERPRISES INC, SIX CONCOUSE PARKWAY SUITE 1700, ATLANTA, GA 30328 (770) 391-9500 - 6,999,205 (\$75,167,953) COMMON STOCK. (FILE 333-56444 - MAR. 02) (BR. 5)

S-8 BERKSHIRE HILLS BANCORP INC, 24 NORTH ST., PITTSFIELD, MA 01201 (413) 443-5601 - 1,074,326 (\$17,994,961) COMMON STOCK. (FILE 333-56446 - MAR. 02) (BR. 7)

S-8 MOORE MEDICAL CORP, PO BOX 1500, 389 JOHN DOWNEY DR, NEW BRITAIN, CT 06050 (203) 826-3600 - 17,500 (\$126,875) COMMON STOCK. (FILE 333-56448 - MAR. 02) (BR. 1)

S-3 FIFTH THIRD BANCORP, 38 FOUNTAIN SQ PLZ, FIFTH THIRD CENTER, CINCINNATI, OH 45263 (513) 579-5300 - 257,397 (\$13,891,716.09) COMMON STOCK. (FILE 333-56450 - MAR. 02) (BR. 7)

S-8 NAVISITE INC, 400 MINUTEMAN RD ANDOVER, MA 01810 (978) 552-3300 - \$8,419,572 COMMON STOCK. (FILE 333-56452 - MAR. 02) (BR. 8)

S-8 NAVISITE INC, 400 MINUTEMAN RD, ANDOVER, MA 01810 (978) 552-3300 -
150,000 (\$297,653) COMMON STOCK. (FILE 333-56454 - MAR. 02) (BR. 8)

S-1 CREDIT STORE INC, 3401 N LOUISE AVE, SIOUX FALLS, SD 57107
(800) -24-0-18 - 100,000,000 (\$100,000,000) STRAIGHT BONDS. (FILE
333-56456 - MAR. 02) (BR. 7)

S-8 SHERWOOD BRANDS INC, 6110 EXECUTIVE BLVD SUITE 1080, ROCKVILLE, MD
20852
(301) 881-9340 - 1,491,625 (\$3,943,733.03) COMMON STOCK. (FILE 333-
56460 -
MAR. 02) (BR. 4)

S-8 SANTA BARBARA RESTAURANT GROUP INC, 360 SOUTH HOPE STREET, SUITE
C300,
SANTA BARBARA, CA 93105 (805) 563-3644 - 885,334 (\$885,334) COMMON
STOCK.
(FILE 333-56462 - MAR. 02) (BR. 5)

S-8 SOLECTRON CORP, 777 GIBRALTAR DR, MILPITAS, CA 95035 (408) 957-8500
-
20,000,000 (\$545,200,000) COMMON STOCK. (FILE 333-56464 - MAR. 02)
(BR. 5)

S-8 EAST WEST BANCORP INC, 415 HUNTINGTON DRIVE, SAN MARINO, CA 91108
-
(626) 799-5700 - 1,000,000 (\$22,593,750) COMMON STOCK. (FILE 333-56468
MAR. 02) (BR. 7)

S-8 CREDIT STORE INC, 3401 N LOUISE AVE, SIOUX FALLS, SD 57107
(800) -24-0-18 - 600,000 (\$1,200,000) COMMON STOCK. (FILE 333-56470 -
MAR. 02) (BR. 7)

S-8 PORTAL SOFTWARE INC, 10200 SOUTH DEANZA BLVD, CUPERTINO, CA 95014
-
(408) 343-4400 - 6,000,000 (\$41,062,500) COMMON STOCK. (FILE 333-56472
MAR. 02) (BR. 3)

S-8 FIRST PLACE FINANCIAL CORP /DE/, 185 E MARKET ST, WARREN, OH 44482
-
(330) 373-1221 - 587,499 (\$4,523,862.18) COMMON STOCK. (FILE 333-56474
MAR. 02) (BR. 7)

S-3 UTILICORP UNITED INC, 20 WEST TENTH STREET, 911 MAIN STE 3000,
KANSAS CITY, MO 64105 (816) 421-6600 (FILE 333-56476 - MAR. 02) (BR. 2)

S-8 NAVISITE INC, 400 MINUTEMAN RD, ANDOVER, MA 01810 (978) 552-3300 -
1,000,000 (\$6,878,474) COMMON STOCK. (FILE 333-56478 - MAR. 02) (BR.
8)

S-8 CHEMICAL FINANCIAL CORP, 333 E MAIN ST, MIDLAND, MI 48640 (517) 631-
3310
- 39,879 (\$1,006,944.70) COMMON STOCK. (FILE 333-56482 - MAR. 02) (BR.
7)

S-8 SPORTS AUTHORITY INC /DE/, 3383 N STATE RD 7, FORT LAUDERDALE, FL
33319
(954) 735-1701 - 1,800,000 (\$4,608,000) COMMON STOCK. (FILE 333-56484
-
MAR. 02) (BR. 2)

S-3 WFS FINANCIAL INC, 23 PASTEUR RD, IRVINE, CA 92713 (714) 727-1000 -
5,722,02' (\$100,135,424) COMMON STOCK. (FILE 333-56488 - MAR. 02) (BR.
7)

S-3 DOUBLECLICK INC, 450 W 33RD ST, 16TH FL, NEW YORK, NY 10001
(212) 683-0001 - 1,385,350 (\$18,702,225) COMMON STOCK. (FILE 333-56490
-
MAR. 02) (BR. 2)

S-3 WESTCORP /CA/, 23 PASTEUR RD, IRVINE, CA 92618 (714) 727-1000 -
3,991,633 (\$60,872,405) COMMON STOCK. (FILE 333-56492 - MAR. 02) (BR.
7)

S-3 BUCA INC /MN, 1300 NICOLLET MALL, SUITE 3043, MINNEAPOLIS, MN 55403
(612) 288-2382 - 1,795,600 (\$36,024,225) COMMON STOCK. (FILE 333-56494
-
MAR. 02) (BR. 5)

S-8 COSINE COMMUNICATIONS INC, 3200 BRIDGE PKWAY, STE 200, REDWOOD CITY,
CA
94065 (650) 637-4777 - 25,535,979 (\$217,918,251.75) COMMON STOCK.
(FILE
333-56496 - MAR. 02) (BR. 3)

S-8 LEGATO SYSTEMS INC, 3210 PORTER DR, PALO ALTO, CA 94304 (415) 812-
6000
- 2,621,673 (\$34,819,094) COMMON STOCK. (FILE 333-56498 - MAR. 02)
(BR. 3)

S-3 TCF FINANCIAL CORP, 801 MARQUETTE AVE, MAIL CODE 100-01-A,
MINNEAPOLIS,
MN 55402 (612) 661-6500 - 37,259 (\$1,356,041.30) COMMON STOCK. (FILE
333-56500 - MAR. 02) (BR. 7)

S-3 W HOLDING CO INC, 17 WEST MCKINLEY STREET, MAYAGUEZ, PR 00681
(787) 834-8617 - \$100,000,000 PREFERRED STOCK. (FILE 333-56502 - MAR.
02)
(BR. 7)

S-1 BIONUMTRIK PHARMACEUTICALS INC, 8122 DATAPOINT DR STE 1250, SAN
ANTONIO,
TX 78229 (210) 614-1701 - \$50,000,000 COMMON STOCK. (FILE 333-56504 -
MAR. 02)

S-3 FOREST OIL CORP, 1600 BROADWAY, 2200 COLORADO STATE BANK BLDG,
DENVER,
CO 80202 (303) 812-1400 - 8,890,700 (\$286,059,141.23) COMMON STOCK.
(FILE
333-56506 - MAR. 02) (BR. 4)

S-3 WISCONSIN ENERGY CORP, 231 W MICHIGAN ST, P O BOX 2949, MILWAUKEE, WI 53201 (414) 221-2345 (FILE 333-56508 - MAR. 02) (BR. 2)

S-3 ALTEON INC /DE, 170 WILLIAMS DR, RAMSEY, NJ 07446 (201) 934-5000 - \$50,000,000 COMMON STOCK. (FILE 333-56512 - MAR. 05) (BR. 1)

S-8 NEW CENTURY FINANCIAL CORP, 18400 VON KARMAN, SUITE 1000, IRVINE, CA 92612 (714) 863-7243 - 500,000 (\$4,625,000) COMMON STOCK. (FILE 333-56514 - MAR. 02) (BR. 7)

SB-2 NEUTRON ENTERPRISES INC, 525 WHELLHOUSE SQUARE, SUITE 406 V5Z 4L8, VANCOUVER BC CANADA, (604) 657-3494 - 2,250,000 (\$22,500) COMMON STOCK. (FILE 333-56516 - MAR. 02) (NEW ISSUE)

RECENT 8K FILINGS

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

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

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

| NAME OF ISSUER | STATE CODE | 8K ITEM NO. | | | | | | | | | DATE | COMMENT |
|----------------------------------|---------------|-------------|---|---|---|---|---|---|---|---|----------|---------|
| | | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | | |
| ACCEL INTERNATIONAL CORP | DE | | | | | X | | | | | 02/28/01 | |
| ACCESS ANYTIME BANCORP INC | DE | | | | X | | | X | | | 03/07/01 | |
| ADVA INTERNATIONAL INC | DE | X | X | | | | | X | | | 06/19/00 | AMEND |
| ADVANTA CORP | DE | | | | | X | | X | | | 03/07/01 | |
| AFFILIATED COMPUTER SERVICES INC | DE | | | | | X | | X | | | 03/07/01 | |
| AFFYMETRIX INC | DE | | | | | X | | | | | 03/07/01 | |
| AGRIBRANDS INTERNATIONAL INC | MO | | | | | X | | | | | 03/07/01 | |
| AIRPLANES LTD | DE | | | | | X | | | | | 03/08/01 | |
| AIRPLANES US TRUST | DE | | | | | X | | | | | 03/08/01 | |
| ALICO INC | FL | | | | | X | | | | | 08/31/01 | |
| ALLBERRY INC | DE | | | | | X | | | | | 03/06/01 | |
| ALLERGY RESEARCH GROUP INC | FL | | | | | X | | X | | | 03/01/01 | |
| AMERICAN AIRLINES INC | DE | | | | | X | | | | | 03/08/01 | |

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|--|---------------|-------------|---|---|---|---|---|---|---|---|----------|---------|
| | | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | | |
| AMERICAN COMMUNITY BANCSHARES INC | NC | | | | | X | | X | | | 02/28/01 | |
| AMERICAN HONDA RECEIVABLES CORP | CA | | X | | | | | X | | | 02/28/01 | |
| AMERICAN INTERNATIONAL VENTURES INC /DE/ | DE | | X | | | | | | | | 03/31/01 | |
| AMPCO PITTSBURGH CORP | PA | X | | | | | | | | | 03/06/01 | |
| AMR CORP | DE | | | | | X | | | | | 03/08/01 | |
| ANADARKO PETROLEUM CORP | DE | | | X | | | | | | | 03/08/01 | |
| ANCHOR PACIFIC UNDERWRITERS INC | DE | | | | X | | | X | | | 01/17/01 | AMEND |
| AP HOLDINGS INC | DE | | | | | X | | | | | 03/05/01 | |
| APACHE CORP | DE | | | | | X | | X | | | 02/26/01 | |
| APCOA INC | DE | | | | | X | | | | | 03/05/01 | |
| ASV INC /MN/ | MN | | | | | X | | X | | | 03/07/01 | |
| ATEC GROUP INC | DE | X | | | | | | X | | | 03/08/01 | |
| AURORA BIOSCIENCES CORP | DE | | X | | | | | X | | | 03/01/01 | |
| AUTONATION INC /FL | DE | | | | | | | | X | | 03/07/01 | |
| AXYS PHARMECUEICALS INC | DE | | | | | X | | X | | | 03/08/01 | |
| BANC ONE FINANCIAL SERVICES HOME EQ UNITY LOAN TRUST 1999-1 | NY | X | | | | | | | | | 02/26/01 | |
| BARTON BEERS LTD | MD | | | | | X | | | | | 03/06/01 | |
| BARTON BRANDS LTD /DE/ | DE | | | | | X | | | | | 03/06/01 | |
| BARTON BRANDS OF CALIFORNIA INC | CT | | | | | X | | | | | 03/06/01 | |
| BARTON BRANDS OF GEORGIA INC | GA | | | | | X | | | | | 03/06/01 | |
| BARTON CANADA LTD | DE | | | | | X | | | | | 03/06/01 | |
| BARTON DISTILLERS IMPORT CORP | NY | | | | | X | | | | | 03/06/01 | |
| BARTON FINANCIAL CORP | DE | | | | | X | | | | | 03/06/01 | |
| BARTON INC | DE | | | | | X | | | | | 03/06/01 | |
| BATAVIA WINE CELLARS INC | NY | | | | | X | | | | | 03/06/01 | |
| BEAR STEARNS ASSET BACKED SECURITIE S INC | DE | | | | | X | | X | | | 03/08/01 | |
| BIOGAN INTERNATIONAL INC | DE | | | X | | | | X | | | 02/20/01 | AMEND |
| BIOGAN INTERNATIONAL INC | DE | | | X | | | | X | | | 03/05/01 | |
| BION ENVIRONMENTAL TECHNOLOGIES INC | CO | | | | | X | | X | | | 12/01/00 | |
| BISYS GROUP INC | DE | | | | | X | | X | | | 03/08/01 | |
| BOEING CAPITAL CORP | DE | | | | | X | | X | | | 03/01/01 | |
| BOSTON BIOMEDICA INC | MA | | X | | | X | | | | | 02/20/01 | |
| BRIGHAM EXPLORATION CO | DE | | | | | X | | X | | | 03/06/01 | |
| BRIGHTON TECHNOLOGIES CORP | DE | X | X | | | X | X | X | | | 11/03/00 | |
| BYL BANCORP | CA | | | | | X | | X | | | 03/07/01 | |
| CANADIAN DERIVATIVES CLEARING CORP | | | | | | X | | X | | | 03/05/01 | |
| CANANDAIGUA B V | DE | | | | | X | | | | | 03/06/01 | |
| CANANDAIGUA EUROPE LTD | NY | | | | | X | | | | | 03/06/01 | |
| CANANDAIGUA LTD | NY | | | | | X | | | | | 03/06/01 | |
| CANANDAIGUA WINE CO INC /NY/ | NY | | | | | X | | | | | 03/06/01 | |
| CAPITAL PACIFIC HOLDINGS INC | DE | | X | | | X | | X | | | 03/09/01 | |
| CENTURA SOFTWARE CORP | DE | | X | | | | | X | | | 02/22/01 | |
| CHEC FUNDING LLC | DE | | | | | X | | X | | | 03/05/00 | |
| CIDCO INC | DE | | | | | | | | X | | 02/12/01 | AMEND |
| CITICORP MORTGAGE SECURITIES INC | DE | | | | | X | | | | | 03/07/01 | |
| CITIZENS COMMUNICATIONS CO | DE | | | | | | | X | | | 12/31/00 | |
| CLOUD PEAK CORP | DE | | | | | X | | | | | 03/06/01 | |
| COLORADO BUSINESS BANKSHARES INC | CO | | | | | X | | X | | | 03/01/01 | |
| COLORADO MEDTECH INC | CO | | | | | | | X | X | | 03/08/01 | |
| COMMODORE HOLDINGS LTD | | | | | | X | | X | | | 02/20/01 | |
| COMMSCOPE INC | DE | | | | | | | X | X | | 03/07/01 | |

| NAME OF ISSUER | STATE | BK ITEM NO. | | | | | | | | | DATE | COMMENT |
|--|-------|-------------|---|---|---|---|---|---|---|---|----------|---------|
| | CODE | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | | |
| COM21 INC | DE | | | | X | X | | | | | 03/07/01 | |
| CONDOR CAPITAL INC | NV | X | | | | | | | | | 03/30/01 | |
| CONSTELLATION BRANDS INC | DE | | | | X | | | | | | 03/06/01 | |
| CONTINENTAL AIRLINES INC /DE/ | DE | | | | | X | | X | | | 03/08/01 | |
| CONVERGENCE COMMUNICATIONS INC | NV | | | | X | X | | | | | 11/17/00 | |
| CONVERGYS CORP | OH | | | | X | X | | | | | 03/05/01 | |
| COOPER INDUSTRIES INC | OH | | | | | X | | X | | | 03/05/01 | |
| COPPER MOUNTAIN NETWORKS INC | DE | | | | X | X | | | | | 03/07/01 | |
| COX COMMUNICATIONS INC /DE/ | DE | | | | X | X | | | | | 02/23/01 | AMEND |
| CRAFTCLICK COM INC | UT | X | | | | X | | | | | 02/23/01 | |
| CREDIT MANAGEMENT SOLUTIONS INC | MD | | | | X | X | | | | | 03/07/01 | |
| CREDIT SUISSE FIRST BOSTON MORTGAGE SECURITIES CORP | DE | | | | X | X | | | | | 02/26/01 | |
| CREDIT SUISSE FIRST BOSTON MORTGAGE SECURITIES CORP | DE | | | | X | X | | | | | 03/06/01 | AMEND |
| CROWN CENTRAL PETROLEUM CORP /MD/ | MD | | | | X | X | | | | | 03/07/01 | |
| CWABS INC ASSET BACKED CERTIFICATES SERIES 2001-1 | DE | | | | X | X | | | | | 02/28/01 | |
| CYGNUS INC /DE/ | DE | | | | X | X | | | | | 03/06/01 | |
| DATA RACE INC | TX | | | | X | X | | | | | 03/02/01 | |
| DATA RACE INC | TX | | | | X | | | | | | 03/02/01 | AMEND |
| DIAL CORP /NEW/ | DE | X | | | | | | | | | 03/07/01 | |
| DIAMOND OFFSHORE DRILLING INC | DE | | | | X | X | | | | | 03/07/01 | |
| DITA INC | NV | | | | X | X | | | | | 02/15/01 | AMEND |
| DIVINE INC | DE | | | | X | | | | | | 02/26/01 | |
| DOLLAR GENERAL CORP | TN | | | | | | | X | | | 03/08/01 | |
| DOW JONES & CO INC | DE | | | | | X | | X | | | 03/07/01 | |
| DTE ENERGY CO | MI | | | | X | | | | | | 03/07/01 | |
| EAGLE POINT SOFTWARE CORP | DE | | | | X | X | | | | | 03/06/01 | |
| ECHOCATH INC | NJ | | | X | | X | | | | | 03/01/01 | |
| EINSTEIN NOAH BAGEL CORP | DE | | | | X | X | | | | | 03/05/01 | |
| ELECTRIC LIGHTWAVE INC | DE | | | | X | | | | | | 12/31/00 | |
| EMACHINES INC /DE/ | DE | | | | X | X | | | | | 12/21/00 | |
| EMCEE BROADCAST PRODUCTS INC | DE | | | | X | | | | | | 03/05/01 | |
| ENERGY CONVERSION DEVICES INC | DE | | | | X | | | | | | 03/06/01 | |
| EVERGREEN RESOURCES INC | CO | | | | X | X | | | | | 03/08/01 | |
| EXPERTELLIGENCE INC | CA | X | | | | | | | | | 03/07/01 | AMEND |
| EXPRESS SCRIPTS INC | DE | X | | | | | | | | | 03/02/01 | |
| FIGHTON SUCCESSION CORP | CA | | | | X | X | | | | | 03/06/01 | |
| FILM ROMAN INC | DE | | | | X | | | | | | 03/08/01 | |
| FIRST CONSULTING GROUP INC | DE | | | | X | X | | | | | 01/23/01 | |
| FIRST INDUSTRIAL LP | DE | | | | X | X | | | | | 12/29/00 | AMEND |
| FIRST INDUSTRIAL REALTY TRUST INC | MD | | | | X | X | | | | | 12/29/00 | AMEND |
| FIRST NATIONAL BANCORP INC /IL/ | IL | | | | X | X | | | | | 03/01/01 | AMEND |
| FIRST UNION COMMERCIAL MORTGAGE SEC URITIES INC | NC | X | | | | | | | | | 02/18/01 | |
| FORTUNE NATURAL RESOURCES CORP | DE | | | | X | X | | | | | 03/07/01 | |
| FRANCISCAN VINEYARDS INC | DE | | | | X | | | | | | 03/06/01 | |
| FREEREALTIME COM INC | DE | | | | X | X | | | | | 03/02/01 | |
| FRIEDE GOLDMAN HALTER INC | MS | | | | X | X | | | | | 03/05/01 | |
| FRONTLINE CAPITAL GROUP | DE | | | | | X | | X | | | 03/07/01 | |
| FX ENERGY INC | NV | | | | X | | | | | | 03/06/01 | |
| GENERAL MAGIC INC | DE | | | | X | X | | | | | 03/07/01 | |
| GENEVA STEEL HOLDINGS CORP | | | | | X | X | | | | | 03/01/01 | |

| NAME OF ISSUER | STATE | 8K ITEM NO. | | | | | | | | | DATE | COMMENT |
|--|-------|-------------|---|---|---|---|---|---|---|---|----------|---------|
| | CODE | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | | |
| GENLYTE GROUP INC | DE | | | | | | | X | | X | 03/08/01 | |
| GLOBAL TECHNOLOGIES LTD | DE | | | | | X | X | | | | 03/05/01 | |
| GOLD BANC CORP INC | KS | | | | | X | X | | | | 03/08/01 | |
| GPU INC /PA/ | PA | | | | | | | X | | | 03/07/01 | |
| GRAND UNION CO /DE/ | DE | | X | | | | | X | | | 03/04/01 | |
| GREENLEAF TECHNOLOGIES CORP | DE | | X | | | | | | | | 03/31/01 | |
| GREENWICH CAPITAL ACCEPTANCE INC | DE | | | | | | | X | | | 02/27/01 | |
| GULFMARK OFFSHORE INC | DE | | | | | X | | | | | 03/08/01 | |
| HEADHUNTER NET INC | GA | | | | | X | X | | | | 03/05/01 | |
| HEINZ H J CO | PA | | | | | X | X | | | | 03/05/01 | |
| HOME FINANCIAL BANCORP | IN | | | | | X | X | | | | 03/07/01 | |
| HORIZON OFFSHORE INC | DE | | | | | X | X | | | | 02/26/01 | |
| HORTON D R INC /DE/ | DE | | | | | X | X | | | | 03/05/01 | |
| HTTP TECHNOLOGY INC | UT | | X | | | | | X | | | 12/29/00 | |
| ICU MEDICAL INC/DE | DE | | | | | X | X | | | | 02/27/01 | |
| IEXALT INC | NV | | | | | X | X | | | | 03/06/01 | |
| IMAGIS TECHNOLOGIES INC | AL | | X | | | | | | | | 03/01/01 | |
| IMMULABS CORP | CO | | | | | X | | | | | 03/06/01 | |
| IMMUNOGEN INC | MA | | | | | X | X | | | | 03/05/00 | |
| IMMUNOGEN INC | MA | | | | | X | X | | | | 03/07/01 | |
| INFOCURE CORP | DE | | | | | X | X | | | | 03/08/01 | |
| INTERLEUKIN GENETICS INC | TX | | | | | X | X | | | | 12/05/00 | |
| INTERNETMERCADO COM INC | DE | | | | | X | | | | | 03/07/01 | |
| ITEQ INC | DE | | X | | | X | X | | | | 02/22/01 | |
| IVI CHECKMATE CORP | DE | | | | | X | X | | | | 03/02/01 | |
| IWERKS ENTERTAINMENT INC | DE | | | | | X | | | | | 03/05/01 | |
| J P MORGAN ACCEPTANCE CORP I | DE | | | | | X | X | | | | 03/08/01 | |
| JP MORGAN CHASE COMMERCIAL MORTGAGE SECURITIES CORP | DE | | X | | | | | | | | 03/03/01 | |
| KAYDON CORP | DE | | X | | | | | X | | | 03/01/01 | |
| KEITH COMPANIES INC | CA | | | | | X | X | | | | 01/31/01 | AMEND |
| KONOVER PROPERTY TRUST INC | MD | | | | | X | X | | | | 03/06/01 | |
| KOPIN CORP | DE | | X | | | | | | | | 03/07/01 | |
| LASALLE HOTEL PROPERTIES | MD | | | | | | | | X | | 03/08/01 | |
| LASER MORTGAGE MANAGEMENT INC | MD | | | | | X | X | | | | 03/07/01 | |
| LBP INC | DE | | | | | X | X | | | | 02/21/01 | |
| LEARNOUT & HAUSPIE SPEECH PRODUCTS N V | | | | | | X | X | | | | 02/23/01 | |
| LIBERTY MEDIA CORP /DE/ | DE | | | | | X | | | | | 03/07/01 | |
| LIFE FINANCIAL CORP | DE | | | | | X | | | | | 03/06/01 | |
| LSI LOGIC CORP | DE | | | | | X | X | | | | 03/05/01 | |
| LUCAS EDUCATIONAL SYSTEMS INC | DE | | | | | X | X | | | | 02/28/01 | |
| M J LEWIS CORP | DE | | | | | X | | | | | 03/06/01 | |
| MACROMEDIA INC | DE | | | | | X | X | | | | 03/05/01 | |
| MAIL COM INC | DE | | X | | | | | X | | | 02/23/01 | |
| MANUGISTICS GROUP INC | DE | | | | | X | | | | | 03/02/01 | |
| MANUGISTICS GROUP INC | DE | | | | | X | | | | | 03/08/01 | |
| MARTEK BIOSCIENCES CORP | DE | | | | | X | X | | | | 03/02/01 | |
| MBNA CORP | MD | | | | | X | | | | | 03/08/01 | |
| MCMORAN EXPLORATION CO /DE/ | DE | | | | | X | | | | | 03/07/01 | |
| MDU RESOURCES GROUP INC | DE | | | | | X | X | | | | 03/06/01 | |
| METRO INFORMATION SERVICES INC | VA | | | | | X | X | | | | 03/08/01 | |
| MICHAEL FOODS INC /MN | MN | | | | | X | X | | | | 03/06/01 | AMEND |
| MICROGRAFX INC | TX | | | | | X | X | | | | 02/23/01 | |

| NAME OF ISSUER | STAFF | BK ITEM NO. | | | | | | | | | DATE | COMMENT |
|--|-------|-------------|---|---|---|---|---|---|---|---|----------|---------|
| | CODE | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | | |
| MICROSTRATEGY INC | DE | | | | | X | | | | | 03/07/01 | |
| MODERNGROOVE ENTERTAINMENT INC | NV | | | | | X | | | | | 03/06/01 | |
| MONARCH IMPORT CO | IL | | | | | X | | | | | 03/06/01 | |
| MORGAN STANLEY CAPITAL I INC HOME E Q LN AS BK CER SER 1999-2 | NY | X | | | | | | | | | 02/26/01 | |
| MORGAN STANLEY DEAN WITTER CAP I IN C DEP FOR SER 2001-TOPI | DE | | X | | | | | X | | | 03/08/01 | |
| MRS FIELDS HOLDING CO INC | | | | | | X | | | | | 03/06/01 | |
| MT VEEDER CORP | DE | | | | | X | | | | | 03/06/01 | |
| MYTURN COM INC | DE | | X | | | | | | | | 03/02/01 | |
| NETCURRENTS INC/ | DE | | | | | X | | X | | | 03/07/01 | |
| NETGATEWAY INC | DE | | X | | | X | | X | | | 01/11/01 | AMEND |
| NETWORK CONNECTION INC | GA | | | | | X | | | | | 03/07/01 | |
| NEUBERGER BERMAN INC | DE | | | | | X | | X | | | 02/28/01 | |
| NEW ENGLAND BUSINESS SERVICE INC | DE | X | | | | | | | | | 03/07/01 | |
| NEW PLAN EXCEL REALTY TRUST INC | MD | | | | | | | X | X | | 03/08/01 | |
| NOCOPI TECHNOLOGIES INC/MD/ | MD' | | | | | | | X | X | | 03/02/01 | |
| NRG ENERGY INC | DE | | | | | | | X | | | 03/07/01 | |
| NTL COMMUNICATIONS CORP | DE | | X | | | | | | | | 02/21/01 | |
| NTL DELAWARE INC | DE | | X | | | | | | | | 02/21/01 | |
| NTL INC/DE/ | DE | | | | | X | | | | | 03/08/01 | |
| NUCOR CORP | DE | | | | | X | | X | | | 03/08/01 | |
| NUI HOLDING CO | NJ | | | | | X | | X | | | 03/07/01 | |
| OAKWOOD HOMES CORP | NC | | | | | X | | X | | | 02/26/01 | |
| OGDEN CORP | DE | | | | | X | | X | | | 03/08/01 | |
| ON POINT TECHNOLOGY SYSTEMS INC | NV | | X | | | | | X | | | 02/23/01 | |
| ORGANOGENESIS INC | DE | | | | | X | | X | | | 02/08/01 | |
| OWOSSO CORP | PA | | | | | X | | | | | 03/07/01 | |
| PACIFIC AEROSPACE & ELECTRONICS INC | WA | | | | | X | | X | | | 03/01/01 | |
| PEOPLES FINANCIAL SERVICES CORP/ | PA | | | | | X | | | | | 02/28/01 | |
| PJ AMERICA INC | DE | | | | | X | | | | | 03/08/01 | |
| POLYPHENOLICS INC | NY | | | | | X | | | | | 03/06/01 | |
| POST APARTMENT HOMES LP | GA | | | | | X | | X | | | 02/12/01 | |
| POST PROPERTIES INC | GA | | | | | X | | X | | | 02/12/01 | |
| PRICE COMMUNICATIONS CORP | NY | | | | | X | | | | | 03/06/01 | |
| QUINTUS CORP | DE | | X | | | X | | X | | | 02/22/01 | |
| RECKSON ASSOCIATES REALTY CORP | MD | | | | | | | X | X | | 03/08/01 | |
| RECKSON OPERATING PARTNERSHIP LP | DE | | | | | | | X | X | | 03/08/01 | |
| RESIDENTIAL ASSET MORTGAGE PRODUCTS INC | DE | | | | | X | | | | | 03/08/01 | |
| RESIDENTIAL FUNDING MORTGAGE SECURI TIES I INC | DE | | | | | | | X | | | 02/27/01 | |
| RESIDENTIAL FUNDING MORTGAGE SECURI TIES II INC | DE | | | | | | | X | | | 02/22/01 | |
| RESIDENTIAL FUNDING MORTGAGE SECURI TIES II INC | DE | | | | | X | | | | | 03/07/01 | |
| RESULTS TECHNOLOGY GROUP CORP | NV | X | | | | X | | | | | 02/22/01 | |
| ROBERDS INC | OH | | | | | X | | X | | | 02/20/01 | |
| ROBERTS TRADING CORP | NY | | | | | X | | | | | 03/06/01 | |
| ROHN INDUSTRIES INC | DE | | | | | | | X | | | 03/08/01 | |
| ROLLTECH INC | | | | | | X | | | | | 02/21/01 | |
| SAC TECHNOLOGIES INC | MN | | | | | X | | X | | | 03/06/01 | |
| SAFE TECHNOLOGIES INTERNATIONAL INC | DE | | | | | X | | | | | 03/07/01 | |
| SANGUINE CORP | NV | | | | | X | | X | | | 06/08/00 | AMEND |

| NAME OF ISSUER | STATE | 8K ITEM NO. | | | | | | | | | DATE | COMMENT |
|--|-------|-------------|---|---|---|---|---|---|---|---|----------|---------|
| | CODE | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | | |
| SANTA FE GAMING CORP | NV | | | | | X | | | | | 03/02/01 | |
| SEACOR SMIT INC | DE | | | | | X | X | | | | 03/06/01 | |
| SENTRY TECHNOLOGY CORP | | | | | | | X | X | | | 03/08/01 | |
| SIDWARE SYSTEMS INC | AI | | | | | X | | | | | 02/22/01 | |
| SINGLEPOINT SYSTEMS CORP | MN | | | | X | X | | | | | 02/21/01 | |
| SKINTEK LABS INC | DE | X | | | | | | | | | 02/21/01 | |
| SOLIGEN TECHNOLOGIES INC | WY | | | | | X | X | | | | 02/22/01 | |
| SOUTHERN CO | DE | | | | | | | | X | | 02/19/01 | |
| SPIDERBOY INTERNATIONAL INC | MN | | | | | X | | | | | 02/21/01 | AMEND |
| STATE FINANCIAL SERVICES CORP | WI | | | | | X | | | | | 03/07/01 | |
| STATEN ISLAND BANCORP INC | DE | | | | | X | X | | | | 03/01/01 | |
| STEVENS POINT BEVERAGE CO | WI | | | | | X | | | | | 03/06/01 | |
| STOCKWALK COM GROUP INC | MN | | X | | | | | X | | | 02/26/01 | |
| STRUCTURED ASSET SEC CORP MORT PAS THR CERT SER 2000-4 | DE | | | | | X | | X | | | 02/27/01 | |
| STRUCTURED ASSET SECURITIES CORP MO RT PASS THR CERT SER 01 1 | DE | | | | | X | | X | | | 02/27/01 | |
| STRUCTURED PRODUCTS CORP | DE | | | | | X | X | | | | 03/05/01 | |
| SUN HYDRAULICS CORP | FL | | | | | X | X | | | | 03/07/01 | |
| SUNDOG TECHNOLOGIES INC | DE | | | | | | | | X | | 03/08/01 | |
| SUNTERRA CORP | MD | | | | | X | | | | | 02/27/01 | |
| SURGICARE INC/DE | DE | X | | | | | | | | | 03/06/01 | |
| SWISSRAY INTERNATIONAL INC | NY | | | | | X | | | | | 02/01/01 | |
| TANOX INC | DE | | | | | X | X | | | | 03/08/01 | |
| TECO ENERGY INC | FL | | | | | X | X | | | | 03/06/01 | |
| TELECOMM INDUSTRIES CORP | DE | | | | | X | X | | | | 03/08/01 | |
| TELESERVICES INTERNET GROUP INC | FL | | X | | | X | X | | | | 02/09/01 | |
| TELEVIDEO INC | DE | | | | X | | | | | | 03/07/01 | |
| TIBCO SOFTWARE INC | DE | | | | | X | | | | | 03/08/01 | |
| TOWER PARK MARINA INVESTORS LP | CA | | | | X | | X | | | | 03/01/01 | AMEND |
| TUMBLEWEED COMMUNICATIONS CORP | DE | | | | | X | | | | | 03/05/01 | |
| UNIFRAX INVESTMENT CORP | DE | | | | | | | X | | | 10/04/00 | |
| UNION PACIFIC CORP | UT | | | | | X | X | | | | 03/08/01 | |
| UNITY WIRELESS CORP | DE | | | | | | | X | | | 12/30/00 | AMEND |
| US AIRWAYS GROUP INC | DE | | | | | X | X | | | | 03/07/01 | |
| US AIRWAYS INC | DE | | | | | X | X | | | | 03/07/01 | |
| USA EDUCATION INC | DE | | | | | X | X | | | | 03/01/01 | |
| VALUE HOLDINGS INC | FL | X | | | | | | | | | 03/07/01 | |
| VIB CORP | CA | | | | | X | X | | | | 03/05/01 | |
| VOIP TELECOM INC// | NV | | | | | | | X | | | 03/31/01 | |
| VULCAN MATERIALS CO | NJ | | X | | | | | | | | 12/31/00 | |
| WALKER INTERACTIVE SYSTEMS INC | DE | | | | | X | X | | | | 03/05/01 | |
| WASHINGTON GROUP INTERNATIONAL INC | DE | | | | | X | | | | | 03/08/01 | |
| WASTE MANAGEMENT INC | DE | | | | | | | X | X | | 03/08/01 | |
| WEBSense INC | DE | | | | | X | X | | | | 03/08/01 | |
| WELLS FARGO ASSET SECURITIES CORP | DE | | | | | X | X | | | | 03/07/01 | |
| WHOLESALE AUTO RECEIVABLES CORP | DE | | | | | X | X | | | | 03/08/01 | |
| WINLAND ELECTRONICS INC | MN | | | | | X | X | | | | 03/05/01 | |
| WORLD COMMERCE ONLINE INC | DE | | | | X | | | X | | | 03/07/01 | |
| WORLDBID CORP | NV | | X | | | X | | | | | 02/23/01 | |
| XEROX CORP | NY | | | | | X | | | | | 03/06/01 | |