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# SEC NEWS DIGEST

Issue 2001-194

October 9, 2001

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## ENFORCEMENT PROCEEDINGS

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### COMMISSION ISSUES CEASE AND DESIST ORDER AGAINST ARETE INDUSTRIES, INC.

On October 5, the Commission issued an Order Instituting Proceedings, Making Findings and Imposing a Cease And Desist Order (Order) against Arete Industries, Inc. (Arete) of Boulder, Colorado.

The Order finds that, in February 1998, Arete violated the antifraud provisions of the federal securities laws in connection with the issuance of two press releases concerning a potential transaction between Arete and a private sports apparel company. Specifically, the Order finds that on February 6, 1998, Arete issued a press release which stated that it had reached a "preliminary agreement to acquire" the private company, which the release projected would achieve over \$10 million in sales in 1998, with projected sales "growing to in excess of \$60 million by the year 2000." The Order finds that at the time the press release was issued, Arete had no agreement to acquire the private company, nor did that company have any firm orders for its products. The Order further finds that on February 19, 1998, Arete issued a second press release which stated that a "definitive agreement" to merge the two companies was imminent and that the private company was in "final negotiations" to become "designated as a confirmed vendor for major retail department stores." The Order finds that, at the time this release was publicly disseminated, no agreement to merge had been reached between the two companies, and the private company had not received any orders for the sale of its merchandise.

In addition, the Order finds that between January 1988 and November 1998, Arete filed late, or failed to file, at least 37 Forms 10-KSB and 10-QSB.

Based upon the foregoing, the Commission's Order finds that Arete violated Sections 10(b) and 15(d) of the Securities Exchange Act of 1934 and Rules 10b-5, 15d-1 and 15d-13 thereunder, and orders Arete to cease and desist from committing or causing any violations and any future violations of those provisions. Arete consented to the issuance of the Order without admitting or denying the findings therein. Upon issuance of the Order, the Commission filed a motion to dismiss a pending civil injunctive action against

Arete, which was based upon the same factual allegations. (Rel. 34-44911; File No. 3-10616)

### **CEASE AND DESIST ORDER ISSUED AGAINST THOMAS RAABE**

On October 5, the Commission issued an Order Instituting Proceedings, Making Findings and Imposing a Cease and Desist Order (Order) against Thomas P. Raabe (Raabe), currently the president of Arete Industries, Inc. (Arete) of Boulder, Colorado.

The Order finds that in February 1998, Raabe, then general counsel to Arete, participated in the preparation and dissemination two press releases concerning a potential transaction between Arete and a private sports apparel company which violated the antifraud provisions of the federal securities laws. Specifically, the Order finds that on February 6, 1998, Arete issued a press release which stated that it had reached a "preliminary agreement to acquire" the private company, which the release projected would achieve over \$10 million in sales in 1998, with projected sales "growing to in excess of \$60 million by the year 2000." The Order finds that at the time the press release was issued, Arete had no agreement to acquire the private company, nor did that company have any firm orders for its products. The Order further finds that on February 19, 1998, Raabe participated in the preparation and dissemination of a second press release issued by Arete which stated that a "definitive agreement" to merge the two companies was imminent, and that the private company was in "final negotiations" to become "designated as a confirmed vendor for major retail department stores." The Order finds that, at the time this release was publicly disseminated, no agreement to merge had been reached between the two companies, and the private company had not received any orders for the sale of its merchandise.

Based upon the foregoing, the Commission's Order finds that Raabe violated Section 10(b) of the Securities Exchange Act of 1934 and Rule 10b-5 thereunder, and orders Raabe to cease and desist from committing or causing any violations and any future violations of those provisions. Raabe consented to the issuance of the Order without admitting or denying the findings therein. Upon issuance of the Order, the Commission filed a motion to dismiss a pending civil injunctive action against Raabe, which was based upon the same factual allegations. (Rel. 34-44912; File No. 10617)

### **RICHARD SMYTH PERMANENTLY ENJOINED FROM SECURITIES VIOLATIONS**

The Commission announced today that on September 24, 2001, the Honorable Clarence Cooper of the United States District Court for the Northern District of Georgia entered an order of permanent injunction and other relief against Richard P. Smyth (Smyth) of Fernandina Beach, Florida for engaging in a wide-range of securities law violations, including that misstatements were made by Vista 2000, Inc. (Vista) in filings with the Commission. Vista, a now defunct consumer products company, was formerly headquartered in Roswell, Georgia where Smyth, as Vista's co-founder, served as chief executive officer and chairman of its board. Judge Cooper's recent order permanently

enjoined Smyth from further violations of Section 17(a) of the Securities Act of 1933; Section 10(b) of the Securities Exchange Act of 1934 (Exchange Act) and Rule 10b-5 thereunder; Section 13(a) of the Exchange Act and Rules 12b-20, 13a-1, 13a-11, 13a-13 thereunder; Sections 13(b)(2)(A) and 13(b)(2)(B) of the Exchange Act; Section 13(b)(5) of the Exchange Act and Rules 13b2-1 and 13b2-2 thereunder; and Sections 16(a) and 16(c) of the Exchange Act and Rules 16a-2 and 16a-3 thereunder. The order also barred Smyth from acting as an officer or director of any issuer that has a class of securities registered with the Commission pursuant to Section 12 of the Exchange Act or that is required to file reports with the Commission pursuant to Section 15(d) of the Exchange Act. Smyth was ordered to pay disgorgement and pre-judgment interest in amounts to be resolved upon motion of the Commission at a later date. Smyth consented to the entry of the order, without admitting or denying the allegations of the Commission's complaint.

The Commission previously sued Smyth and three other men for various violations of the federal securities law. The remaining defendants are Arnold E. Johns, Jr. of Atlanta, Georgia, Alan T. Davis of Gainesville, Georgia and Michael J. Becker of Marietta, Georgia. Johns, Becker and Smyth are former officers of Vista. Johns was a director of Vista and its president, and Becker was Vista's chief financial officer. Davis was Vista's outside auditor. The Commission's allegations in litigation against Johns, Becker and Davis are unaffected by the September 24, 2001 order. [SEC v. Richard P. Smyth, Arnold E. Johns, Jr., Michael J. Becker and Alan T. Davis, Civ. Action No. 1:01-CV-1344, N.D. Ga.] (LR-17175; AAE Rel. 1466)

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## INVESTMENT COMPANY ACT RELEASES

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### FIRSTMARK CORP.

A notice has been issued giving interested persons until October 30 to request a hearing on an application filed by Firstmark Corp. for an order under Section 6(c) of the Investment Company Act exempting applicant from all provisions of the Act until the earlier of one year from the date the requested order is issued or the date applicant no longer may be deemed to be an investment company. (Rel. IC-25205 - October 5)

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## HOLDING COMPANY ACT RELEASES

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### ALLIANT ENERGY CORPORATION, ET AL.

An order has been issued authorizing a proposal filed by Alliant Energy Corporation (Alliant), a registered holding company, and Alliant Energy Resources, Inc. (AER), its direct nonutility subsidiary, on behalf of itself and AER's nonutility subsidiaries, to issue and sell, directly or indirectly, common stock, preferred stock, long-term debt and other

preferred or equity-linked securities. Alliant is also authorized to engage in various additional external and intrasystem financing transactions, to extend to December 31, 2004 the time Alliant may effect certain financing transactions, and to use the proceeds of proposed financings to make investments in exempt wholesale generators and foreign utility companies. The Commission has reserved jurisdiction, pending completion of the record, over Applicants' request for: (1) the issuance by Alliant Energy of any securities that are rated below investment grade; (2) energy marketing activities outside the United States and Canada; (3) other energy-related activities outside the United States; and (4) the use by Alliant Energy of the financing proceeds for investments in EWGs and FUCOs in excess of \$ 805.7 million, up to \$1.75 billion. (Rel. 35-27448)

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## SELF-REGULATORY ORGANIZATIONS

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### JOINT INDUSTRY PLAN

The Commission has published notice of the 12<sup>th</sup> Amendment of the Reporting Plan for Nasdaq/National Market Securities Traded on an Exchange on an Unlisted or Listed Basis, submitted by the National Association of Securities Dealers, the Pacific Exchange and the Boston, Chicago, Philadelphia and Cincinnati Stock Exchanges. Publication of the proposal is expected in the Federal Register during the week of October 8. (Rel. 34-44822)

### APPROVAL OF PROPOSED RULE CHANGE

The Commission approved a proposed rule change filed by the Government Securities Clearing Corporation (SR-GSCC-00-10) that amends GSCC's rules relating to the submission of repo collateral substitutions. Publication of the proposal is expected in the Federal Register during the week of October 8. (Rel. 34-44849)

### PROPOSED RULE CHANGE

The Chicago Stock Exchange filed a proposed rule change (SR-CHX-2001-08) to amend its Minor Rule Violation Plan. Publication of the notice in the Federal Register is expected during the week of October 8. (Rel. 34-44900)

### IMMEDIATE EFFECTIVENESS OF PROPOSED RULE CHANGES

A proposed rule change by the Chicago Board Options Exchange (SR-CBOE-2001-53) to allow spread orders involving certain broad-based index options and options on exchange traded funds to be executed at a single trading post has been filed and become immediately effective under Rule 19b-4 of the Securities Exchange Act of 1934. (Rel. 34-44906)

A proposed rule change (SR-NASD-2001-67) filed by the National Association of Securities Dealers, through its subsidiary, The Nasdaq Stock Market, Inc., to raise the per share charge for use of SuperSOES and introduce a liquidity provider rebate, has become effective under Section 19(b)(3)(A)(ii) of the Securities Exchange Act of 1934. Publication of the proposal is expected in the Federal Register during the week of October 8. (Rel. 34-44910)

## ACCELERATED APPROVAL OF PROPOSED RULE CHANGE

The Commission granted accelerated approval to a proposed rule change submitted by the Chicago Board Options Exchange (SR-CBOE-2001-48) adopting generic listing standards for Trust Issued Receipts, providing alternate eligibility requirements for component securities of Trust Issued Receipts in certain limited situations, and increasing the permissible weight of the most heavily weighted component stock of Index Portfolio Shares and Index Portfolio Receipts. Publication of the proposal is expected in the Federal Register during the week of October 8. (Rel. 34-44908)

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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-6 APPLIED OPTICAL TECHNOLOGIES PLC /ADR/, TIMOTHY F KEANEY,  
101 BARCLAY ST 22W, NEW YORK, NY 10286 (212) 815-2129 - 20,000,000  
(\$1,000,000) DEPOSITARY RECEIPTS FOR COMMON STOCK. (FILE 333-13952 -  
SEP. 28) (BR. 99)

S-8 CP SHIPS LTD, 62-65 TRAFALGAR SQUARE, LONDON WC2N 5DY U K, X0 00000  
1,707,000 (\$11,462,505) FOREIGN COMMON STOCK. (FILE 333-13954 - SEP.  
28)  
(NEW ISSUE)

S-8 PANCANADIAN ENERGY CORP, PANCANADIAN PLAZA 150-9 AVE SW,  
CALGARY ALBERTA CANA, A0 00000 - 1,100,000 (\$26,279,000)  
FOREIGN COMMON STOCK. (FILE 333-13956 - SEP. 28) (BR. 2 - NEW ISSUE)

S-8 FORDING ARRANGEMENT INC, SUITE 1000 205 9TH AVE SE, CALGARY ALBERTA  
T2G,  
A0 00000 - 440,000 (\$6,069,800) FOREIGN COMMON STOCK. (FILE 333-13958  
-  
SEP. 28) (BR. 4 - NEW ISSUE)

S-8 CANADIAN PACIFIC LTD/, 910 PEEL ST, PO BOX 6042 STATION CENTRE-  
VILLE,  
MONTREAL QUEBEC CANADA, E6 - 1,650,000 (\$23,644,500) FOREIGN COMMON  
STOCK.  
(FILE 333-13960 - SEP. 28) (BR. 5)

S-8 CANADIAN PACIFIC RAILWAY LTD, PLACE DU CANADA STE 800,  
PO BOX 6042 STATION A, MONTREAL QUEBEC CANADA H3C 3E4, A8 (514) 395-  
5151  
- 1,241,000 (\$18,106,190) FOREIGN COMMON STOCK. (FILE 333-13962 - SEP.  
28)  
(BR. 5)

F-6 BANCO ITAU SA /ADR/, TIMOTHY F KEANEY BANK OF NEW YORK,  
101 BARCLAY ST 22W, NEW YORK, NY 10286 (212) 815-2129 - 50,000,000  
(\$2,500,000) DEPOSITARY RECEIPTS FOR PREFERRED STOCK. (FILE 333-13964  
-  
SEP. 28) (BR. 99)

F-3 ALCATEL, 54 RUE LA BOETIE, 2288 BH, PARIS FRANCE 75008, IO 00000  
(331) 407-6101 - 834,259 (\$9,118,450.87) FOREIGN COMMON STOCK. (FILE  
333-13966 - SEP. 28) (BR. 7)

S-8 HANSON PLC, 1 GROSVENOR PLACE, LONDON WS1X 7JH ENGL, X0 (071) 245-  
1245  
- 7,700,000 (\$47,894,000) FOREIGN COMMON STOCK. (FILE 333-13968 - SEP.  
28)  
(BR. 6)

S-8 CEMEX SA DE CV, AVE CONSTITUTION 444 PTE,  
1440 NEW YORK AVE NW C/O J PEDERSEN, MONTEREY MEXICO, DC 64000  
(011) 528-3283 - 5,000,000 (\$1,350,000) WARRANTS, OPTIONS OR RIGHTS.  
95,000,000 (\$382,850,000) FOREIGN COMMON STOCK. (FILE 333-13970 - SEP.  
28)  
(BR. 6)

S-8 INTERNATIONAL RECTIFIER CORP /DF/, 233 KANSAS ST, EL SEGUNDO, CA  
90245  
(310) 726-8000 - 3,100,000 (\$90,303,000) COMMON STOCK. (FILE 333-70560  
-  
OCT. 01) (BR. 5)

S-3 VIROLOGIC INC, 270 EAST GRAND AVE., SAN FRANCISCO, CA 94080  
(650) 635-1100 - 9,491,669 (\$19,078,254) COMMON STOCK. (FILE 333-70562  
-  
-

OCT. 01) (BR. 1)

S-8 FINDERS KEEPERS INC, 6975 SOUTH UNION PARK, SUITE 600, MIDVALE, UT  
84047  
(801) 256-9600 - 1,500,000 (\$3,900,000) COMMON STOCK. (FILE 333-70574

OCT. 01) (BR. 9)

S-8 EMERITUS CORP\WA\, 3131 ELLIOTT AVENUE, SUITE 500, SEATTLE, WA 98121  
(206) 298-2909 - 600,000 (\$1,038,000) COMMON STOCK. (FILE 333-70580 -  
OCT. 01) (BR. 8)

S-8 DOMINIX INC, C/O BOOKDIGITAL.COM, INC., 142 WEST 38TH STREET 2ND  
FLOOR,  
NEW YORK, NY 10018 (212) 480-6380 - 4,090,564 (\$151,350.87) COMMON  
STOCK.  
(FILE 333-70586 - OCT. 01) (BR. 9)

S-8 JUNIPER GROUP INC, 111 GREAT NECK RD STE 604, GREAT NECK, NY 11021  
(516) 829-4670 - 300,000 (\$2,280,000) COMMON STOCK. (FILE 333-70592 -  
OCT. 01) (BR. 1)

S-3 LEVEL 8 SYSTEMS INC, 8000 REGENCY PARKWAY, CARY, NC 27511 (212) 244-  
1234  
- 4,099,593 (\$6,764,329) COMMON STOCK. (FILE 333-70596 - OCT. 01) (BR.  
3)

S-8 PERVASIVE SOFTWARE INC, 12365 RIATA TRACE PARKWAY, AUSTIN, TX 78727  
(512) 231-6000 - 796,352 (\$1,286,108.48) COMMON STOCK. (FILE 333-70604

OCT. 01) (BR. 3)

S-4 ZIONS BANCORPORATION /UT/, ONE SOUTH MAIN STREET, SUITE 1380,  
SALT LAKE CITY, UT 84111 (801) 524-4787 - 55,000 (\$24,455,270)  
COMMON STOCK. (FILE 333-70606 - OCT. 01) (BR. 7)

S-8 RIBOZYME PHARMACEUTICALS INC, 2900 WILDERNESS PLACE, BOULDER, CO  
80301  
(303) 449-6500 - 300,000 (\$1,713,000) COMMON STOCK. (FILE 333-70616 -  
OCT. 01) (BR. 1)

S-8 RIBOZYME PHARMACEUTICALS INC, 2950 WILDERNESS PLACE, BOULDER, CO  
80301  
(303) 449-6500 - 1,750,000 (\$9,992,500) COMMON STOCK. (FILE 333-70618

OCT. 01) (BR. 1)

S-3 RESTORATION HARDWARE INC, 650 MADISON AVE, 26TH FLOOR, NEW YORK, NY  
10022 (415) 924-1005 - 6,875,000 (\$18,906,250) COMMON STOCK. (FILE  
333-70624 - OCT. 01) (BR. 2)

S-8 AMERICAN MEDICAL ALERT CORP, 3265 LAWSON BLVD, OCEANSIDE, NY 11572  
(516) 536-5850 - 1,250,000 (\$2,303,200) COMMON STOCK. (FILE 333-70626

OCT. 01) (BR. 8)

S-8 TRIO TECH INTERNATIONAL, 355 PARKSIDE DR, SAN FERNANDO, CA 91340  
(818) 365-9200 - 150,000 (\$450,750) COMMON STOCK. (FILE 333-70632 -  
OCT. 01) (BR. 5)

S-8 ROYAL AHOLD, ALBERT HEIJNWEG 1, P O BOX 33, 1500 EA ZAANDAM THE, P7  
30,000 (\$8,154,000) COMMON STOCK. FILE 333-70636 - OCT. 01) (BR. 2)

S-3 FIRST INDUSTRIAL REALTY TRUST INC, 311 S WACKER DRIVE, SUITE 4000,  
CHICAGO, IL 60606 (312) 344-4300 - 112,341 (\$3,197,225) COMMON STOCK.  
(FILE 333-70638 - OCT. 01) (BR. 8)

S-3 SEMBRA ENERGY, 101 ASH STREET, P O BOX 129400, SAN DIEGO, CA 92101  
(619) 696-2000 - 20,000,000 (\$200,000,000) COMMON STOCK. (FILE 333-  
70640 -  
OCT. 01) (BR. 2)

S-8 TYSON FOODS INC, 2210 W OAKLAWN DR, SPRINGDALE, AR 72762 (501) 290-  
4000  
- 8,265,079 (\$70,914,377) COMMON STOCK. (FILE 333-70646 - OCT. 01)  
(BR. 4)

S-8 STARBUCKS CORP, P O BOX 34067, SEATTLE, WA 98124 (206) 447-1575 -  
4,000,000 (\$56,760,000) COMMON STOCK. (FILE 333-70648 - OCT. 01) (BR.  
5)

S-8 TESSA COMPLETE HEALTH CARE INC/GA, 35 FULFORD AVE, SUITE 101, BEL  
AIR,  
MD 21014 (410) 893-0134 - 500,000 (\$35,000) COMMON STOCK. (FILE 333-  
70650  
- OCT. 01) (BR. 9)

S-3 SOUTHERN CALIFORNIA GAS CO, 555 W FIFTH ST, ML 14H1, LOS ANGELES, CA  
90013 (213) 244-1200 - 350,000,000 (\$350,000,000) STRAIGHT BONDS.  
(FILE  
333-70654 - OCT. 01) (BR. 2)

S-8 APPLEBEES INTERNATIONAL INC, 4551 W 107TH ST STE 100, OVERLAND PARK,  
KS  
66207 (913) 967-4000 - 30,000 (\$8,580,000) COMMON STOCK. (FILE 333-  
70656 -  
OCT. 01) (BR. 5)

S-3 DUKE REALTY CORP, 600 EAST 96TH STPEET, STE 100, INDIANAPOLIS, IN 46240  
(317) 808-6000 - 6,661,275 (\$147,513,934.88) COMMON STOCK. (FILE  
333-70678 - SEP. 28) (BR. 8)

S-8 HOUSEHOLD INTERNATIONAL INC, 2700 SANDERS RD, PROSPECT HEIGHTS, IL  
60070  
(847) 564-5000 - 65,295 (\$3,653,255.25) COMMON STOCK. (FILE 333-70794 -  
OCT. 03) (BR. 7)

## 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			
ACADIA REALTY TRUST	MD					X	X					09/28/01	
ACE SECURITIES CORP	DE					X	X					09/25/01	
AFLAC INC	GA					X						10/04/01	
AGERE SYSTEMS INC	DE					X	X					10/04/01	
ALLOU HEALTH & BEAUTY CARE INC	DE					X						09/26/01	
AMERCO /NV/	NV					X	X					08/30/01	
AMERICAN BIO MEDICA CORP	NY					X			X			10/02/01	
AMORTIZING RESI COLLATERAL TR MORT PAS THRU CER SER 2001-BC1	DE	X										09/25/01	
AMORTIZING RESIDENTIAL COL TR MOR P AS THR CER SER 2001-BC2	DE											09/25/01	
AMTRAN INC	IN							X	X			10/05/01	
ANZ CAPEL COURT LTD								X				09/20/01	
APOGENT TECHNOLOGIES INC	WI					X	X					10/04/01	
AQUA CARE SYSTEMS INC /DE/	DE					X						10/01/01	
ASIA SUPERNET CORP	CO					X		X				06/21/01	AMEND
AXS ONE INC	DE		X						X			09/20/01	
BANC ONE FINANCIAL SERVICES HOME EQ UNITY LOAN TRUST 1999-1	NY	X										09/25/01	
BB&T CORP	NC					X	X					10/05/01	
BICO INC/PA	PA					X						10/02/01	
BICO INC/PA	PA					X						10/04/01	
BIONUTRICS INC	NV					X						10/05/01	
BUCA INC /MN	MN					X						10/04/01	
CABLEVISION SYSTEMS CORP /NY	DE					X						10/05/01	
CALL-SOLUTIONS INC	CA					X						10/02/01	
CANDELA CORP /DE/	DE					X	X					10/05/01	
CELLPOINT INC	NV					X	X					09/26/01	
CHAMPIONLYTE PRODUCTS INC	FL											10/01/01	
CHEVY CHASE BANK FSB	MD		X			X	X					09/01/01	

NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
CHINA GATEWAY HOLDINGS INC	DE	X			X		X				10/02/01	
CITICORP MORTGAGE SECURITIES INC	DE				X						10/05/01	
COAST HOTELS & CASINOS INC	NV				X						10/05/01	
COLLEGE BOUND STUDENT ALLIANCE INC	NV			X							10/02/01	
COLORADO MEDTECH INC	CO						X		X		10/05/01	
CONOCO INC /DE	DE				X		X				10/03/01	
CREDIT SUISSE FIR BOS MOR SEC CORP MO BK PA TH CE SE 01-WM2	DE				X		X				09/21/01	
CSC HOLDINGS INC	DE				X						10/05/01	
CSEB MORTGAGE PASS THROUGH CERTIFIC ATES SERIES 2001 HE20	DE				X		X				09/20/01	
CV THERAPEUTICS INC	DE				X		X				08/07/01	
CYBER GROUP NETWORK CORP				X							10/03/01	
DATAMETRICS CORP	DE			X		X					09/19/01	AMEND
DCH TECHNOLOGY INC	CO	X				X					09/24/01	
DELTA CAPITAL TECHNOLOGIES INC	DE				X		X				11/03/00	AMEND
DISCOVERY LABORATORIES INC /DE/ DMFI INC	DE				X		X				10/01/01	
DYERSBURG CORP	TX	X	X			X	X	X			09/30/01	AMEND
DYERSBURG CORP	TN				X						07/16/01	
ELITE LOGISTICS INC	ID				X		X				10/04/01	
ENZON INC	DE				X						10/03/01	
EQUITY OFFICE PROPERTIES TRUST	MD				X		X				09/25/01	
EUROTECH LTD	DC		X				X				10/05/01	
EVANS BOB FARMS INC	DE				X		X				10/05/01	
FARMER MAC MORTGAGE SECURITIES CORP	DE				X		X				09/26/01	
FASTNET CORP	PA				X		X				09/05/01	
FELCOR LODGING L P	DE				X		X				10/04/01	
FELCOR LODGING TRUST INC	MD				X		X				10/04/01	
FIRSTWAVE TECHNOLOGIES INC	GA			X			X				10/01/01	
GLOBAL MARINE INC	DE						X		X		10/05/01	
GMACM MORTGAGE LOAN TRUST MORT PASS THR CERT SERIES 2001-J1	NY	X									09/25/01	
HEALTH RISK MANAGEMENT INC /MN/ HEALTH EXTRAS INC	MN				X		X				10/05/01	
HEALTH EXTRAS INC	DE				X		X				10/05/01	
IKON OFFICE SOLUTIONS INC	OH				X		X				10/01/01	
ILLINOIS SUPERCONDUCTOR CORPORATION	DE				X						10/04/01	
IMMUNOGEN INC	MA			X			X				08/31/01	AMEND
INDUSTRIAL HOLDINGS INC	TX				X		X				09/04/01	
INTERGLOBAL WASTE MANAGEMENT INC	CA				X						10/01/01	
INTERNATIONAL COSMETICS MARKETING C O	FL				X		X				09/07/01	
INTERNATIONAL FLAVORS & FRAGRANCES INC	NY				X						10/05/01	
INTERNATIONAL SPEEDWAY CORP	FL				X						09/28/01	
IOS CAPITAL INC	DE				X		X				10/01/01	
IRWIN HOME EQUITY LN TR HM EQ LN-BK TERM NT SER 2001-1	NY	X									09/25/01	
ISIS PHARMACEUTICALS INC	DE						X				01/14/01	AMEND
JAYARK CORP	DE				X						10/01/01	
JLM INDUSTRIES INC	DE				X		X				10/02/01	
KEYCORP STUDENT LOAN TRUST 1999 A					X		X				09/27/01	
KOSS CORP	DE				X		X				10/05/01	

NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
KROLL O GARA CO	OH				X				X		09/28/01	
KULICKE & SOFFA INDUSTRIES INC	PA					X			X		10/04/01	
LEARN2 CORP	DE				X	X			X		10/01/01	
LEGAL ACCESS TECHNOLOGIES INC	NV		X						X		10/05/01	
LEHMAN BROTHERS HOLDINGS INC	DE								X		10/05/01	
LENNAR CORP /NEW/	DE					X			X		10/05/01	
LIGHTBRIDGE INC	DE					X			X		10/04/01	
MADDEN STEVEN LTD	DE								X		09/21/01	
MCSI INC	OH					X			X		10/04/01	
METRETEK TECHNOLOGIES INC	DE					X			X		09/24/01	
MINDARROW SYSTEMS INC	NV					X					10/04/01	
MINDFULEYE INC	NV					X					10/05/01	
MODEM MEDIA INC	DE								X	X	10/04/01	
MORGAN STANLEY CAPITAL I INC HOME E Q LN AS BK CER SER 1999-2	NY	X									09/25/01	
NEW PLAN EXCEL REALTY TRUST INC	MD		X						X		09/21/01	
NEWMARK HOMES CORP	NV				X				X		10/01/01	
NOVASTAR MORTGAGE FUNDING CORP	DE		X						X		08/24/01	
NUTEK INC	NV		X						X		10/05/01	
OAKHURST CO INC	DE				X				X		09/25/01	AMEND
ORCHID BIOSCIENCES INC						X			X		10/01/01	
ORGANIC INC						X					10/04/01	
PANJA INC	TX					X					09/20/01	
PENN VIRGINIA CORP	VA		X								10/05/01	AMEND
PICTURETEL CORP	DE					X			X		10/05/01	
PINNACLE FINANCIAL PARTNERS INC	TN								X	X	10/01/01	
PLUM CREEK TIMBER CO INC	DE										10/03/01	
PROVINCE HEALTHCARE CO	DE					X			X		10/04/01	
RARE MEDIUM GROUP INC	DE					X			X		10/05/01	
REDMOND CAPITAL CORP									X		05/10/01	
RELIABLE POWER SYSTEMS INC	CO								X		09/28/01	
RENAISSANCE MEDIA LOUISIANA LLC	DE					X			X		09/24/01	
RENAISSANCE WORLDWIDE INC	MA					X			X		10/05/01	
RUSSELL-STANLEY HOLDINGS INC	DE					X			X		10/04/01	
SCHULER HOMES INC	DE					X			X		10/04/01	
SEQUENOM INC	DE		X						X		09/20/01	
SERVICEMASTER CO	DE					X			X		10/04/01	
SONEX RESEARCH INC	MD					X					09/27/01	
SOS STAFFING SERVICES INC	UT					X			X		09/05/01	
SOUTHSIDE BANCSHARES CORP	MO		X		X				X		09/28/01	
STEEL CITY PRODUCTS INC	DE				X				X		09/25/01	AMEND
STILWELL FINANCIAL INC	DE								X	X	10/05/01	
STRATUS SERVICES GROUP INC	DE		X						X		08/09/01	AMEND
STRUCTURED ASSET SECURITIES CORP MO R PAS THR CER SR 2001-BC4	DE	X									09/25/01	
STRUCTURED ASSET SECURITIES CORP MO RT PAS THR CE SE 2001-BC3	DE	X									09/25/01	
SUPERIOR NATIONAL INSURANCE GROUP I NC	DE					X			X		10/05/01	
TEAM INC	TX					X			X		08/31/01	AMEND
TEMPLEMORE ACQUISITION CORP	DE	X	X						X		09/21/01	
THINKA WEIGHT LOSS CORP	NV		X								10/04/01	

NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
THIRD MILLENIUM TELECOMMUNICATIONS INC	CO	X		X	X	X	X				09/30/01	
TITANIUM METALS CORP	DE					X					09/21/01	
TITANIUM METALS CORP	DE					X					09/27/01	
TMP WORLDWIDE INC	DE							X			07/23/01	AMEND
TREMONT CORPORATION	DE					X					09/26/01	
TREMONT CORPORATION	DE					X					09/27/01	
UAL CORP /DE/	DE					X		X			10/05/01	
UNITED STATIONERS INC	DE					X		X			10/03/01	
UNITED STATIONERS SUPPLY CO	IL					X		X			10/03/01	
VENDINGDATA CORP	NV					X					09/24/01	
VERSACOM INTERNATIONAL INC	UT					X					04/11/01	AMEND
VISHAY INTERTECHNOLOGY INC	DE					X		X			10/05/01	
WEBLINK WIRELESS INC	DE					X		X			10/05/01	
WELLS FARGO ASSET SECURITIES CORP	DE					X		X			10/04/01	
WESTERN WATER CO	DE							X			10/02/01	
WHISTLER INC	DE	X	X					X			10/05/01	
XEROX CORP	NY					X	X				10/05/01	
ZAPATA CORP	NV							X		X	10/05/01	