

SEC NEWS DIGEST

Issue 2001-221

November 16, 2001

COMMISSION ANNOUNCEMENTS

FEE RATE ADVISORY #5

The Congress has passed and will soon send to the President for signature the fiscal 2002 Commerce, Justice, State, and related agencies appropriations bill that will fund the SEC. While the exact date when the bill will be signed is unknown, it is expected to be signed shortly after its arrival at the White House. Effective 12:01 a.m. EST the day the bill is signed, the fee rate on filings made pursuant to Section 6(b) of the Securities Act of 1933 will decrease to \$239 per \$1,000,000 of the aggregate offering amount. The current fee rate of \$250 per \$1,000,000 remains in effect until the day the bill is signed.

We will update this advisory on our website, <http://www.sec.gov>, as more information regarding the fee rate change becomes available.

Please contact the Filer Support Unit in the Office of Filings and Information Services at (202) 942-8900 if you have any questions. (Press Rel. 2001-137)

SEC BARS RECIDIVIST TAMPA BROKER

The Securities and Exchange Commission today announced that it had barred a former broker and investment adviser, with a history of violating the securities laws, from association with any broker, dealer, or investment adviser, and prohibited him from, among other things, employment with a registered investment company. On November 6, 2001, the United States Attorney's Office for the Middle District of Florida unsealed an indictment against the same individual, charging him with seven counts of wire fraud and 13 counts of mail fraud. The indictment arises from the same conduct that was the basis for the SEC's actions.

The SEC's administrative Order against Tampa, Florida-based Steven H. Adler, arises from allegations that between October 1994 and September 1998, Adler fraudulently misappropriated \$1,995,600 from 11 investors in a purported "market-timing" program. The SEC found that Adler fraudulently promised the investors that he would use their money to buy and sell shares of ASM Fund (ASM), which was at that time a Tampa-based mutual fund of which Adler was President and Chairman of the Board.

Adler told investors that he would maintain "market timing" accounts through the registered investment adviser of which Adler was also President, and that he would maximize investor returns by correlating the purchase and sale transactions to fluctuations in the market. In contrast to Adler's representations to investors, the SEC found that he stole their money to pay for the expenses of his investment advisory company and for his own expenses. The SEC also found that Adler prepared, and furnished to the investors, fictitious monthly statements purportedly reflecting gains in their "market-timing" accounts.

"As this case illustrates, the SEC's enforcement program will quickly act to stamp out recidivism," said David Nelson, Director of the Commission's Southeast Regional Office. "Our mission is clear: we can, and will, impose significant sanctions on those who take advantage of investors, and will seek criminal prosecutions, especially for those who are two- or three-time offenders."

Adler previously consented to a 1996 SEC order that required him to cease-and-desist from violating Section 17(a)(3) of the Investment Company Act of 1940. That section restricts borrowing from registered investment companies. The SEC's 1996 order found that Adler's investment advisory company had illegally borrowed money from ASM and that Adler had aided and abetted and caused his advisory company's violation.

The Commission instituted its more recent proceedings against Adler on July 18, 2000. Adler settled the proceedings on November 15, 2001, without admitting or denying the SEC's findings, and consented to the SEC's Order requiring him to cease and desist from committing or causing violations of Section 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 204, 206(1), 206(2) and 206(4) of the Investment Advisers Act of 1940 and Rules 204-2(a)(8), 204-2(a)(10) and 206(4)-2, thereunder.

In addition, the November 15, 2001 Order bars Adler from associating with any broker, dealer or investment adviser, and from affiliating, in certain specified capacities, with any investment company. The Order also directs Adler to disgorge \$1,995,600, plus prejudgment interest, but waives payment of the disgorgement amount and interest based upon Adler's demonstrated inability to pay.

The Commission thanks the U.S. Attorney's office and the FBI for their partnership in pursuing this case. (Press Rel. 2001-138)

ENFORCEMENT PROCEEDINGS

PUBLIC ADMINISTRATIVE PROCEEDINGS INSTITUTED AGAINST BRUCE STRAUGHN

On November 15, the Commission entered an Order Instituting Public Administrative Proceedings Pursuant to Section 15(b) of the Securities Exchange Act of 1934 (Order) against Bruce E. Straughn (Straughn) based on his conviction for misprision of a felony in connection with the offer or sale of a security. United States v. Bruce E. Straughn, Case No. 9:00CR08112-001-HURLEY (S.D. Fla. 1998).

The Division of Enforcement alleged that Straughn pled guilty to a one-count information charging him with misprision of a felony. The information alleged that Straughn concealed knowledge of the commission of a felony when questioned by an investigator concerning a fraudulent securities manipulation scheme conducted by a stock promoter. Straughn was sentenced to six months in prison, one year of probation and fined \$5,000.

A hearing will be scheduled before an administrative law judge to determine whether the allegations contained in the Order are true, to provide Straughn an opportunity to dispute these allegations, and to determine what sanctions, if any, are appropriate and in the public interest. (Rel. 34-45058; File No. 3-10640)

FORMER PRESIDENT OF SOUTH FLORIDA INVESTMENT ADVISER IS BARRED FROM ASSOCIATION WITH ANY BROKER, DEALER, INVESTMENT ADVISER OR INVESTMENT COMPANY

The Commission announced today that it settled previously instituted administrative proceedings against Steven Adler, a resident of Tampa, Florida. In its Order Instituting Administrative Proceedings (Order), the SEC had alleged, among other things, that from October 1994 through September 1998, Adler fraudulently misappropriated \$1,995,600 from 11 investors in a purported "market-timing" program, and used the funds to pay the business expenses of Vector Index Advisors, Inc. (Vector), an investment adviser registered with the Commission, and Adler's personal expenses. Under the timing program, Adler purportedly transferred client funds between a mutual fund managed by Vector, the ASM Fund, and a money market fund. In connection with the timing program, Adler prepared and sent letters and monthly account statements to the clients, confirming their purported investments in the timing program and showing the purported growth of their investments. The SEC alleged that no investor funds were actually used to purchase or sell ASM shares in connection with the purported timing program.

Without admitting or denying the allegations in the Order, except as to jurisdiction, Adler consented to an order requiring him to cease and desist from committing or causing or aiding or abetting any violations of Section 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 204, 206(1), 206(2) and 206(4) of the Investment Advisers Act of 1940 and Rules 204-2(a)(8), 204-2(a)(10) and 206(4)-2 thereunder. In addition, Adler consented to be barred from association with any broker, dealer, or investment adviser, and is prohibited from

serving or acting as an employee, officer, director, member of an advisory board, investment adviser or depositor of, or principal underwriter for, a registered investment company or affiliated person of such investment adviser, depositor, or principal underwriter. Adler has also consented to disgorgement of \$1,995,600 plus prejudgment interest, provided, however, that the SEC waive payment of the disgorgement and interest based upon Adler's demonstrated inability to pay. (Rels. 33-8034; 34-45064; IA-1996; IC-25268; File No. 3-10253)

SEC v. NEAL NIELSEN AND SCOTT NIELSEN

On November 14, the Commission filed an application for an order to enforce investigative subpoenas served on Neal D. Nielsen and Scott Nielsen, his son. The subpoenas sought documents and testimony from both individuals relating to false and misleading messages about publicly traded companies posted on Internet investor websites. Neal D. Nielsen and Scott Nielsen have not complied with the subpoenas issued by the Commission. A hearing on the Commission's application has not yet been scheduled. [SEC v. Neal D. Nielsen and Scott Nielsen, Civ. No. 01-CV-74330DT, E.D. Mich.] (LR-17232)

SEC OBTAINS TEMPORARY RESTRAINING ORDER AND ASSET FREEZE AGAINST MASSACHUSETTS MONEY MANAGER ALFRED LEMCKE

Today the Commission obtained a temporary restraining order, an asset freeze and other emergency relief in federal district court in Rhode Island against money manager Alfred M. Lemcke of Hingham, Massachusetts, based upon allegations that Lemcke defrauded his investment advisory clients of approximately \$1 million. The Commission alleged that beginning in December 1995 and continuing until September 2001, Lemcke, an unregistered investment adviser misrepresented to several clients that he would invest their money in stocks, mutual funds and other investments through a financial services company based in Chicago. He even provided them with periodic account statements purporting to show that their investments were generating substantial returns. Unfortunately, the financial services company, the returns, and the investments themselves did not exist. Lemcke then tried to use the recent terrorist attacks on the World Trade Center as an excuse to avoid accounting for his actions.

The Commission's complaint alleged that Lemcke violated the antifraud provisions of the federal securities laws, including Sections 206(1) and 206(2) of the Investment Advisers Act of 1940, Section 17(a) of the Securities Act of 1933, Section 10(b) of the Securities Exchange Act of 1934 and Rule 10b-5 thereunder. The Commission obtained entry of an order temporarily restraining Lemcke from directly or indirectly continuing to violate the federal securities laws, an asset freeze, and prohibitions against the destruction or alteration of documents. A hearing on the SEC's request for a preliminary injunction has been set for November 26, 2001. [SEC v. Lemcke, et al., Civil Action No. 01-01547-L (D.RI)] (LR-17237)

INVESTMENT COMPANY ACT RELEASES

SECURITY BENEFIT LIFE INSURANCE COMPANY, ET AL.

A notice has been issued giving interested persons until December 10, 2001, to request a hearing on an application filed by Security Benefit Life Insurance Company (Security Benefit) and First Security Benefit Life Insurance and Annuity Company of New York (First Security Benefit), SBL Variable Annuity Account XIV (Separate Account), and Security Distributors, Inc. Applicants seek an order under Section 6(c) of the Investment Company Act granting exemptions from the provisions of Sections 2(a)(32), 22(c), and 27(i)(2)(A) of the Act and Rule 22c-1 thereunder, to the extent necessary to permit the recapture, under specified circumstances, of certain credit enhancements applied to the Contract value under (a) two flexible premium deferred variable annuity contracts issued by Security Benefit through the Separate Account (Contracts), and (b) contracts offered by Security Benefit and First Security Benefit that are substantially similar in all material respects to the Contracts. (Rel. IC-25262 – November 14)

MMA PRAXIS MUTUAL FUNDS AND MMA COMMUNITY DEVELOPMENT INVESTMENTS, INC.

A notice has been issued giving interested persons until December 10, 2001, to request a hearing on an application filed by MMA Praxis Mutual Funds (Praxis Funds) and MMA Community Development Investments, Inc. (MMA-CDI) for an order exempting applicants from Section 17(a) of the Investment Company Act and permitting certain transactions under Section 17(d) of the Act and Rule 17d-1 under the Act. The order would permit the Praxis Funds to invest indirectly in community development programs by investing in notes issued by MMA-CDI. (Rel. IC-25263 – November 14)

CLEARWATER INVESTMENT TRUST AND CLEARWATER MANAGEMENT CO., INC.

An order has been issued on an application filed by Clearwater Investment Trust and Clearwater Management Co., Inc. 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 permits applicants to enter into and materially amend sub-advisory agreements without shareholder approval. (Rel. IC-25264 – November 14)

UNITED LIFE & ANNUITY INSURANCE COMPANY, ET AL.

An order has been issued pursuant to Section 26(c) of the Investment Company Act to United Life & Annuity Insurance Company (United Life) and United Life & Annuity Separate Account One (Separate Account One) approving the substitution of shares of the

Limited Maturity Bond Portfolio of Neuberger Berman Advisers Management Trust for shares of the Fixed Income Portfolio of Credit Suisse Warburg Pincus Trust II held by Separate Account One to fund certain variable annuity contracts and certificates issued by United Life. (Rel. IC-25265 – November 14)

HARTFORD LIFE INSURANCE COMPANY, ET AL.

An order has been issued pursuant to Section 11(a) of the Investment Company Act to Hartford Life Insurance Company (Hartford Life), Hartford Life and Annuity Insurance Company (Hartford Life and Annuity, et al.) (together, Applicants) approving the terms of an offer of a longevity reward rider (the LRR) to owners of certain variable annuity contracts issued by Hartford Life and Hartford Life and Annuity. (Rel. IC-25267 – November 15)

SELF-REGULATORY ORGANIZATIONS

WITHDRAWAL GRANTED

An order has been issued granting the application of Excel Legacy Corporation to withdraw its 9.0% Convertible Redeemable Subordinated Debentures (due 2004) and 10.0% Senior Redeemable Notes (due 2004), from listing and registration on the American Stock Exchange, effective November 14, 2001. (Rel. 34-45054)

SECURITIES ACT REGISTRATIONS

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 THOMSON CORP /CAN/, STE 2706 TORONTO DOMINION BANK TOWER,
TORONTO DOMINION CENTRE, TORONTO ONTARIO M5K 1A1, A6 - 1,881,540,000
(\$1,881,540,000) STRAIGHT BONDS. (FILE 333-14074 - NOV. 08) (BR. 5)

S-8 AETNA INC /PA/, 151 FARMINGTON AVENUE, HARTFORD, CT 06156 (860) 273-0123
- 10,000,000 (\$288,850,000) COMMON STOCK. (FILE 333-73052 - NOV. 09)
(BR. 1)

S-3 EATON VANCE CORP, 255 STATE STREET, BOSTON, MA 02109 (617) 482-8260
- 4,510,830 (\$131,265,153) COMMON STOCK. (FILE 333-73080 - NOV. 09) (BR. 7)

S-8 ICN PHARMACEUTICALS INC, 3300 HYLAND AVE, COSTA MESA, CA 92626
(714) 545-0100 - 6,750,000 (\$175,871,250) COMMON STOCK. (FILE 333-73098 -
NOV. 09) (BR. 1)

S-4 CATEGORY 5 TECHNOLOGIES INC, 4505 S SASATCH BLVD, STE 370,
SALT LAKE CITY, UT 84124 (801) 424-2999 - 9,000 (\$19,800,000) COMMON
STOCK.
(FILE 333-73128 - NOV. 09) (BR. 8)

S-8 WESTFIELD FINANCIAL INC, 141 ELM STREET, WESTFIELD, MA 01085
(413) 568-1911 - 645,690 (\$28,455,558.30) COMMON STOCK. (FILE 333-73132 -
NOV. 09)

S-8 PENNEY J C CO INC, 6501 LEGACY DR, PLANO, TX 75024 (972) 431-1000 -
500,000 (\$11,755,000) COMMON STOCK. (FILE 333-73140 - NOV. 09) (BR. 2)

S-3 ALLOY INC, 151 WEST 26TH STREET, 11TH FLOOR, NEW YORK, NY 10001
(212) 244-4307 - 5,914,588 (\$79,833,438) COMMON STOCK. (FILE 333-73166
NOV. 13) (BR. 2)

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		
AAMES FINANCIAL CORP/DE	DE				X	X					09/30/01	
AAMES FINANCIAL CORP/DE	DE				X	X					09/30/01	
AAMES MORTGAGE TRUST 2001 1 MORTGAG E PASS THR CERTS SE 01 1	DE				X						10/10/01	
AAMES MORTGAGE TRUST 2001-2 MORT PA SS THR CERT SER 2001-2	DE				X						10/25/01	
ABRAXAS PETROLEUM CORP	NV				X						11/14/01	
ACACIA RESEARCH CORP	DE						X	X			11/13/01	
ACCELERATED NETWORKS INC					X	X					11/09/01	
ACCELIO CORP	Al				X	X					11/15/01	
ACE SECURITIES CORP	DE				X	X					11/13/01	
ADVANCED MICRO DEVICES INC	DE				X	X					11/08/01	
ADVANTA BUSINESS SERVICES CORP	DE						X				11/12/01	
ADVANTA BUSINESS SERVICES CORP	DE						X				11/12/01	
ADVANTA EQUIPMENT LEASING RECEIVABL ES SERIES 2000-1 LLC	NV						X				11/12/01	
ADVANTA LEASING RECEIVABLES CORP IV	NV						X				11/12/01	
ADVANTA LEASING RECEIVABLES CORP IX	NV						X				11/12/01	
ADVANTA LEASING RECEIVABLES CORP V	NV						X				11/12/01	
ADVANTA LEASING RECEIVABLES CORP VI	NV						X				11/12/01	
II												
AEI INCOME & GROWTH FUND 24 LLC	DE	X					X				11/01/01	
AFFILIATED MANAGERS GROUP INC	DE					X	X				10/24/01	
AFFILIATED MANAGERS GROUP INC	DE	X					X				10/31/01	
AIRCRAFT FINANCE TRUST	DE					X					11/15/01	
AIRGATE PCS INC /DE/	DE					X	X				11/13/01	
ALASKA AIR GROUP INC	DE							X			11/09/01	
ALLIANCE CAPITAL MANAGEMENT HOLDING LP	DE						X				11/13/01	
ALLIANCE CAPITAL MANAGEMENT L P	DE						X				11/13/01	
ALLIANCE ENVIRONMENTAL TECHNOLOGIES INC	DE	X					X				10/31/01	
ALLIANT ENERGY CORP	WI					X	X				11/15/01	
AMERICAN EXPRESS CENTURION BANK	UT					X	X				11/15/01	
AMERICAN EXPRESS CREDIT ACCOUNT MAS TER TRUST	DE					X	X				11/15/01	
AMERICAN EXPRESS MASTER TRUST	DE					X	X				11/15/01	
AMERICAN EXPRESS RECEIVABLES FINANC ING CORP	DE					X	X				11/15/01	
AMERICAN EXPRESS RECEIVABLES FINANC ING CORP II	DE					X	X				11/15/01	
AMERICAN RETIREMENT CORP	TN							X			08/14/01	
AMERICREDIT AUTOMOBILE RECEIVABLES TRUST 2000-D	DE					X	X				11/12/01	
AMERICREDIT AUTOMOBILE RECEIVABLES TRUST 2000-1	DE					X	X				11/12/01	
AMERICREDIT AUTOMOBILE RECEIVABLES TRUST 2001 C	DE					X	X				11/12/01	
AMERICREDIT AUTOMOBILE RECEIVABLES TRUST 2001-A	DE					X	X				11/12/01	

NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
AMERICREDIT AUTOMOBILE RECEIVABLES TRUST 2001-B						X		X			11/12/01	
AMERICREDIT AUTOMOBILE RECEIVABLES TRUST 2001-1	DE					X		X			11/12/01	
AMERIQUEST MORT SEC INC FLOAT RATE MORT PA TH CER SER 2001-1	DE					X					10/25/01	
AMRESKO INC	DE					X		X			10/22/01	
ANTHEM INC	IN					X		X			11/14/01	
AP HOLDINGS INC	DE					X			X		11/14/01	
APCOA INC	DE							X	X		11/14/01	
APOGENT TECHNOLOGIES INC	WI					X		X			11/15/01	
ARDENT COMMUNICATIONS INC	DE						X	X			11/08/01	
AREA BANCSHARES CORP	KY					X		X			11/08/01	
ARTISOFT INC	DE					X		X			11/14/01	
ASSET BACKED FUND CORP MORT LN ASSE T BCKD CERT SER 2001-AQ1	DE					X					10/25/01	
ASTRALIS PHARMACEUTICALS LTD	CO		X					X			11/13/01	
ATC HEALTHCARE INC /DE/	DE				X						11/06/01	
AUSPEX SYSTEMS INC	DE						X	X			11/14/01	
AVANI INTERNATIONAL GROUP INC //	NV	X						X			09/26/01	
AVANI INTERNATIONAL GROUP INC //	NV	X						X			09/26/01	AMEND
AVNET INC	NY							X	X		09/28/01	
AZZ INC	TX		X				X	X			11/01/01	
BANC ONE CREDIT CARD MASTER TRUST	NY						X	X			11/15/01	
BEAR STEARNS ASSET BACKED SECURITIE S INC	DE							X			08/30/01	
BECKMAN COULTER INC	DE						X	X			11/14/01	
BELDEN & BLAKE CORP /OH/	OH								X		11/13/01	
BIG CITY RADIO INC	DE		X					X			11/01/01	
BIOMARIN PHARMACEUTICAL INC	DE		X					X			10/31/01	AMEND
BIRMINGHAM STEEL CORP	DE						X	X			11/14/01	
BIRMINGHAM STEEL CORP	DE						X	X			11/14/01	
BRAUVIN HIGH YIELD FUND L P	DE					X		X			11/06/01	
BRAUVIN HIGH YIELD FUND L P II	DE					X		X			11/06/01	
BRAUVIN INCOME PROPERTIES LP 6	DE					X		X			11/06/01	
BRAUVIN NET LEASE V INC	DE					X		X			11/06/01	
BRAUVIN REAL ESTATE FUND LP 4	DE					X		X			11/06/01	
BRAUVIN REAL ESTATE FUND LP 5	DE					X		X			11/06/01	
BRIGGS & STRATTON CORP	WI						X	X			11/15/01	
BRIGHTPOINT INC	DE						X	X			11/13/01	
BUSINESS PLAN EXCHANGE INC		X									11/09/01	
CACI INTERNATIONAL INC /DE/	DE		X					X			11/13/01	
CANADIAN DERIVATIVES CLEARING CORP						X	X				10/01/01	
CAPITAL ONE MASTER TRUST	VA					X					11/12/01	AMEND
CAPITOL TRANSAMERICA CORP	WI					X		X			07/20/01	
CARRIER1 INTERNATIONAL S A	N4					X		X			11/14/01	
CC MASTER CREDIT CARD TRUST II	MD							X			11/15/01	
CEDAR INCOME FUND LTD /MD/	MD		X					X			10/09/01	AMEND
CENTENNIAL FIRST FINANCIAL SERVICES	CA						X				11/13/01	
CHANGE TECHNOLOGY PARTNERS INC	DE						X	X			11/15/01	

NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
CHASE CREDIT CARD MASTER TRUST	NY					X					11/15/01	
CHASE MANHATTAN BANK USA	DE					X					11/15/01	
CHICAGO MERCANTILE EXCHANGE INC	IL					X	X				09/25/01	
CHINA FUND INC	MD								X		10/01/01	
CIRCUIT CITY CREDIT CARD MASTER TRU ST	DE					X	X				10/31/01	
CITIBANK CREDIT CARD ISSUANCE TRUST	DE					X					10/26/01	
CITIBANK CREDIT CARD MASTER TRUST I	DE					X					10/26/01	
CITIBANK NEVADA NATIONAL ASSOCIATIO N	DE					X					10/26/01	
CITIBANK SOUTH DAKOTA N A	DE					X					10/26/01	
CITIBANK SOUTH DAKOTA N A	DE					X					10/26/01	
CLAIMSNET COM INC	DE							X	X		11/14/01	
CLAYTON HOMES INC	DE					X	X				11/15/01	
CLEVELAND CLIFFS INC	OH								X		11/13/01	
CLEVELAND CLIFFS INC	OH								X		11/14/01	
CLOSURE MEDICAL CORP	DE					X	X				05/23/01	
COINLESS SYSTEMS INC	UT					X					11/14/01	
COMMUNITY BANK SHARES OF INDIANA IN C	IN					X					11/14/01	
CONSOLIDATED NATURAL GAS CO/VA	DE		X								11/01/01	
CONSUMERS FUNDING LLC						X	X				11/08/01	
COOPER COMPANIES INC	DE					X	X				11/14/01	
CORECOMM LTD /DE/	DE					X	X				09/30/01	
CORNING INC /NY	NY					X					11/15/01	
COUNTRYWIDE HOME LOAN TRUST HOME LO AN BAC NO SER 2001-HLVI	NY	X									11/13/01	
COVANSYS CORP	MI					X					11/15/01	
COVANTA ENERGY CORP	DE					X	X				09/30/01	
CREDIT SUISSE FIRST BOSTON USA INC	DE					X	X				11/13/01	
CRESCENT BANKING CO	GA					X	X				11/15/01	
CWABS INC	DE					X	X				11/14/01	
CYBER GROUP NETWORK CORP						X	X				11/07/01	
DELTA CAPITAL TECHNOLOGIES INC	DE					X	X				11/03/01	AMEND
DEVX ENERGY INC	DE					X	X				11/12/01	
DIGITAL DATA NETWORKS INC	WA					X	X				10/15/01	
DIGITRAN SYSTEMS INC /DE	DE					X					11/14/01	
DISC INC/CA	CA						X				07/30/01	AMEND
DISCOVER BANK	DE					X	X				11/15/01	
DISCOVER CARD MASTER TRUST I	DE					X	X				11/15/01	
DOMINION RESOURCES INC /VA/	VA		X								11/01/01	
DOVER CORP	DE						X	X			11/14/01	
DYNEGY INC /IL/	IL					X	X				11/09/01	
E MACHINERY NET INC	DE		X				X				11/02/01	
EAGLETECH COMMUNICATIONS INC	NV					X					09/30/01	
EARTHCARE CO	DE					X	X				11/09/01	
EARTHCARE CO	DE					X	X				11/15/01	
EB2B COMMERCE INC /NY/	NJ								X		11/15/01	
EGAN SYSTEMS INC	DE					X					11/12/01	
ELLETT BROTHERS INC	SC					X	X				11/15/01	

NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
ENCAD INC	DE					X	X				11/14/01	
ENRON CORP/OR/	OR					X	X				11/09/01	
ENSCO INTERNATIONAL INC	DE									X	11/15/01	
ENTROPIN INC	CO					X					11/15/01	
EXCO RESOURCES INC	TX						X	X			11/07/01	
FEDERAL REALTY INVESTMENT TRUST	MD					X	X				11/13/01	
FIDELITY FEDERAL BANCORP	IN					X					11/15/01	
FINGERHUT RECEIVABLES INC	DE						X				11/15/01	
FIRST ALLIANCE CORP /DE/	DE					X	X				11/13/01	
FIRST CHICAGO MASTER TRUST II	DE					X	X				11/15/01	
FIRST COMMUNITY FINANCIAL CORP /NC/	NC					X					11/14/01	
FIRST FINANCIAL CORP /RI/	RI					X	X				11/12/01	
FIRST MIDWEST BANCORP INC	DE					X	X				11/15/01	
FIRST NBC CREDIT CARD MASTER TRUST								X			11/09/01	
FIRST USA BANK NA AS SERV ON BEHALF	DE							X			11/15/01	
PART CREDIT CARD MAS TR												
FIRST USA BANK NA AS SERVIC ON BEHA						X	X				11/15/01	
LF WACH CRED CARD MAS TR												
FIRST USA BANK NATIONAL ASSOCIATION						X	X				11/15/01	
FIRST USA CREDIT CARD MASTER TRUST	DE					X	X				11/13/01	
FISCHER IMAGING CORP	DE					X	X				11/09/01	AMEND
FISHER COMMUNICATIONS INC	WA					X	X				11/07/01	
FLEET CREDIT CARD MASTER TRUST II	NY			X							11/15/01	
FLOTEK INDUSTRIES INC/CN/				X		X	X				10/23/01	
FNANB CREDIT CARD MASTER TRUST						X	X				10/31/01	
FORD CREDIT AUTO RECEIVABLES TWO L	DE					X	X				10/31/01	
P												
FORD CREDIT AUTO RECEIVABLES TWO LL	DE					X	X				10/31/01	
C												
FORD CREDIT FLOORPLAN MASTER OWNER	DE					X	X				10/31/01	
TRUST A SERIES 2001-2												
FRANKLIN CAPITAL CORP	DE					X	X				11/15/01	
FYI INC	DE					X	X				11/14/01	
GE CAPITAL COMMERCIAL MORT CORP COM	DE					X	X				11/15/01	
MRT PS THR CRT SE 2001-3												
GE CAPITAL COMMERCIAL MORT CORP PAS	DE		X								11/13/01	
THRU CERTS SERIES 2001-2												
GENERAL CABLE CORP /DE/	DE		X				X				10/31/01	
GENERAL MILLS INC	DE						X	X			10/30/01	
GENERAL MOTORS CORP	DE								X		11/14/01	
GENESIS CAPITAL CORP OF NEVADA	NV		X		X						11/13/01	
GENEVA STEEL HOLDINGS CORP						X	X				11/08/01	
GLOBESPAN INC/DE	DE					X	X				11/14/01	
GOOD TIMES RESTAURANTS INC	NV					X					09/30/01	
GREAT ATLANTIC & PACIFIC TEA CO INC	MD					X	X				11/14/01	
GUITAR CENTER INC	DE							X	X		11/15/01	
HEILIG MEYERS CO	VA					X					09/30/01	
HELLER FINANCIAL INC	DE		X			X					10/25/01	
HERITAGE COMMERCE CORP	CA					X	X				10/25/01	
HERITAGE FINANCIAL HOLDING									X		11/09/01	AMEND

NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
HEWLETT PACKARD CO	DE				X	X					11/14/01	
HMG WORLDWIDE CORP	DE		X			X					10/23/01	
HMSR INC	DE				X	X					11/15/01	
HOMESIDE LENDING INC	FL				X						11/13/01	
HORIZON PCS INC	DE					X		X			11/14/01	
HUGHES ELECTRONICS CORP	DE							X			11/14/01	
ICO INC	TX				X	X					09/14/01	
IDIAL NETWORKS INC	NV					X					11/16/01	
IMH ASSETS CORP	DE		X			X					10/30/01	
IMMUNE RESPONSE CORP	DE					X	X				11/09/01	
IMPAC SECURED ASSETS CORP	CA						X				10/30/01	
INDIGINET INC/FL	FL		X				X				11/09/01	
INDUSTRIAL HOLDINGS INC	TX					X	X				11/14/01	
INDYMAC ABS INC HM EQU MORT LN AST BK TR SER SPMD 2001-C	DE							X			11/06/01	
INSILCO HOLDING CO	DE					X	X				11/13/01	
INSILCO TECHNOLOGIES INC	DE					X	X				11/13/01	
INTERMEDIA COMMUNICATIONS INC	DE					X	X				11/15/01	
INTERNATIONAL LEASE FINANCE CORP	CA						X				11/14/01	
INTREPID CAPITAL CORP	DE		X				X				10/30/01	
ITIS INC	DE		X								10/31/01	
IVAX CORP /DE	FL					X	X				11/13/01	
IVILLAGE INC	DE					X	X				11/14/01	
JACKSONVILLE BANCORP INC	TX					X	X				11/13/01	
JCM PARTNERS LLC	DE					X	X				11/09/01	
JORE CORP	MT					X					09/28/01	
KELLSTROM INDUSTRIES INC	DE					X	X				11/14/01	
KOPIN CORP	DE					X	X				11/14/01	
LABONE INC/	MO								X		11/12/01	
LABORATORY CORP OF AMERICA HOLDINGS	DE								X		11/14/01	
LAHAINA ACQUISITIONS INC	CO				X						11/30/01	
LANDMARK BANCORP INC	DE							X			09/30/01	
LANDS END INC	DE					X					10/26/01	
LEAP WIRELESS INTERNATIONAL INC	DE					X					11/14/01	
LEASE INVESTMENT FLIGHT TRUST	DE					X					11/15/01	
LEHMAN ABS CORP	DE					X	X				10/30/01	
LEHMAN ABS CORP	DE					X	X				11/13/01	
LIBERTY FINANCIAL COMPANIES INC /MA /	MA					X	X				11/14/01	
M&T BANK CORP	NY					X	X				11/08/01	
MAIL WELL INC	CO					X					11/14/01	
MARVELL TECHNOLOGY GROUP LTD	DO					X	X				11/15/01	
MBNA AMERICA BANK NATIONAL ASSOCIAT ION	DE					X	X				10/31/01	
MBNA AMERICA BANK NATIONAL ASSOCIAT ION	DE							X			10/31/01	
MBNA AMERICA BK NAT ASSOC MBNA MAST ER CREDIT CARD TRUST II						X	X				10/31/01	
MBNA AMERICA BK NAT ASSOC MBNA MAST ER CREDIT CARD TRUST II								X			10/31/01	

NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT	
		1	2	3	4	5	6	7	8	9			
MBNA CORP	MD					X						10/31/01	
MBNA CREDIT CARD MASTER NOTE TRUST											X	10/31/01	
MEDIX RESOURCES INC	CO					X						12/31/01	
MELLON BANK N A	MA					X						11/08/01	
MELLON BANK PREMIUM FINANCE LOAN MA STER TRUST	NY					X						11/08/01	
MELLON PREMIUM FINANCE LOAN OWNER T RUST	DE					X						11/08/01	
MELLON RESIDENTIAL FUNDING CORP	DE					X		X				10/30/01	
MICROTUNE INC	TX	X						X				11/15/01	
MID STATE RACEWAY INC	NY			X								10/30/01	
MIDWAY GAMES INC	DE					X		X				11/14/01	
MILLIONAIRE COM	NV			X								09/30/01	
MONROE BANCORP	IN					X		X				11/14/01	
MONY GROUP INC	DE					X		X				11/14/01	
MORGAN STANLEY DEAN WITTER CAPITAL I INC	DE					X		X				11/13/01	
MORGAN STANLEY DEAN WITTER CAPITAL I INC TRUST 2001-AM1	DE					X		X				10/25/01	
MORROW SNOWBOARDS INC	OR					X		X				10/31/01	
MORTGAGE ASSET SECURITIZATION TRANS ACTIONS INC	DE					X		X				11/09/01	
NATIONAL GOLF PROPERTIES INC	MD					X		X				11/14/01	
NCO GROUP INC	PA					X		X				11/06/01	
NCO PORTFOLIO MANAGEMENT INC	DE					X		X				11/06/01	
NESCO INDUSTRIES INC	NV	X						X				11/13/01	
NETDIGEST COM INC	DE			X								09/25/01	AMEND
NETLOJIX COMMUNICATIONS INC	DE			X				X				11/12/01	
NETWORK ENGINES INC	DE					X		X				11/13/01	
NET2PHONE INC	DE					X						11/07/01	
NEWAGECITIES COM INC	FL								X			11/15/01	
NEWMONT MINING CORP	DE					X						11/14/01	
NEWPORT NEWS SHIPBUILDING INC	DE							X	X			11/07/01	
NN INC	DE					X		X				11/14/01	
NORTHROP GRUMMAN CORP /DE/	DE					X		X				11/13/01	
NOVEON INC	DE					X		X				11/14/01	
OCEANEERING INTERNATIONAL INC	DE								X			11/14/01	
OMNISKY CORP						X		X				11/14/01	
ONE TOUCH TOTAL COMMUNICATIONS INC	NV					X						11/01/01	
ONEOK INC /NEW/	OK							X	X			11/14/01	
ORS AUTOMATION INC	DE					X						11/14/01	AMEND
PAGELAB NETWORK INC	MN					X						11/07/01	
PENN AMERICA GROUP INC	PA								X			09/14/01	
PENN VIRGINIA CORP	VA		X									11/14/01	
PENNRock FINANCIAL SERVICES CORP	PA					X		X				11/13/01	
PEOPLES ENERGY CORP	IL					X		X				11/15/01	
PEPPERMILL CAPITAL CORP	NV					X						11/12/01	
PET QUARTERS INC	AR					X		X				11/08/01	
PHILIPS INTERNATIONAL REALTY CORP	MD		X					X				09/30/01	
PHOENIX WASTE SERVICES CO INC	NJ					X		X				11/14/01	

NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
PHYSICIANS RESOURCE GROUP INC	DE					X	X				10/22/01	
PLUM CREEK TIMBER CO INC	DE					X	X				11/15/01	AMEND
PNC MORT ACCEPT CORP COMMERC MORT P ASS THR CERT SER 1999 CMI	MO					X	X				11/13/01	
PNI TECHNOLOGIES INC	GA					X					11/14/01	
POLAROID CORP	DE					X	X				11/14/01	
PREMIER LASER SYSTEMS INC	CA		X		X	X					10/09/01	
PRESERVER GROUP INC	NJ						X	X			11/14/01	
PRESERVER GROUP INC	NJ						X	X			11/15/01	
PROFIT RECOVERY GROUP INTERNATIONAL INC	GA					X	X				11/15/01	
PROVIDIAN FINANCIAL CORP	DE					X					10/31/01	
PUBLIC SERVICE CO OF NEW MEXICO	NM								X		10/31/01	
PUBLIC SERVICE CO OF NEW MEXICO	NM								X		11/15/01	
QUEST DIAGNOSTICS INC	DE								X		11/13/01	
QUIZNOS CORP	CO					X					11/13/01	
REMEC INC	CA		X				X				10/31/01	
RESIDENTIAL ACCREDIT LOANS INC	DE					X	X				10/31/01	
RESIDENTIAL ASSET MORTGAGE PRODUCTS INC	DE					X	X				10/24/01	
RESIDENTIAL ASSET MORTGAGE PRODUCTS INC	DE					X	X				10/25/01	
RESIDENTIAL ASSET MORTGAGE PRODUCTS INC	DE					X	X				11/15/01	
RESIDENTIAL ASSET MORTGAGE PRODUCTS INC	DE						X				11/30/01	
RESIDENTIAL FUNDING MORTGAGE SECURI TIES I INC	DE					X	X				11/30/01	
RIMPAC RESOURCES LTD/NM	NV					X					11/14/01	
ROYAL FINANCE INC	FL				X						10/12/01	
RYMER FOODS INC	DE					X					11/13/01	
SAFLINK CORP	DE					X	X				11/05/01	
SAKS CREDIT CARD MASTER TRUST	NV					X	X				11/15/01	
SALESREPCENTRAL COM INC	NV				X						10/06/01	
SALOMON BROTHERS MORTGAGE SECURITIE S VII INC	DE					X	X				11/09/01	
SALON MEDIA GROUP INC	DE					X	X				11/15/01	
SBA COMMUNICATIONS CORP	FL					X	X				11/13/01	
SCIENT INC	DE		X			X	X				11/07/01	AMEND
SEARS CREDIT ACCOUNT MASTER TRUST I I	IL					X	X				11/15/01	
SEQUOIA MORTGAGE FUNDING CORP	MD					X	X				11/14/01	
SEVEN FIELDS DEVELOPMENT CO	PA					X					10/31/01	
SEVEN FIELDS DEVELOPMENT PA INC	PA					X					10/31/01	
SHOCHET HOLDING CORP			X				X				08/31/01	AMEND
SIGMATRON INTERNATIONAL INC	DE				X						11/06/01	AMEND
SIMON PROPERTY GROUP INC /DE/	DE					X	X				11/08/01	
SKY FINANCIAL GROUP INC	OH					X	X				10/27/01	
SONICS & MATERIALS INC	DE		X				X				08/31/01	AMEND
SPECTRALINK CORP	CO						X	X			11/14/01	

NAME OF ISSUER	STATE CODE	8K ITEM NO.								DATE	COMMENT	
		1	2	3	4	5	6	7	8			9
STEELCASE INC	MI					X					11/14/01	
STRUCTURED ASS SEC COR A R COL TR M RT PS THR CRT SER 01-BC6	DE					X	X				10/30/01	
STRUCTURED ASSET MORTGAGE INVESTMEN TS INC	DE					X					09/25/01	
STRUCTURED ASSET MORTGAGE INVESTMEN TS INC	DE					X					10/25/01	
STRUCTURED ASSET MORTGAGE INVESTMEN TS INC	DE					X					10/25/01	
STRUCTURED ASSET MORTGAGE INVESTMEN TS INC	DE					X					10/25/01	
STRUCTURED ASSET MORTGAGE INVESTMEN TS INC	DE					X					10/25/01	
STRUCTURED ASSET MORTGAGE INVESTMEN TS INC	DE					X					10/25/01	
STRUCTURED ASSET MORTGAGE INVESTMEN TS INC	DE					X					10/25/01	
STRUCTURED ASSET MORTGAGE INVESTMEN TS INC	DE					X					10/25/01	
STRUCTURED ASSET MORTGAGE INVESTMEN TS INC	DE					X					10/25/01	
STRUCTURED ASSET MORTGAGE INVESTMEN TS INC	DE					X					10/25/01	
STRUCTURED ASSET MORTGAGE INVESTMEN TS INC	DE					X					10/25/01	
STRUCTURED ASSET MORTGAGE INVESTMEN TS INC	DE					X					10/25/01	
STRUCTURED ASSET MORTGAGE INVESTMEN TS INC	DE					X					10/25/01	
STRUCTURED ASSET MORTGAGE INVESTMEN TS INC	DE					X					10/25/01	
STRUCTURED ASSET SEC CORP MORT PAS THR CERT SER 01 16H	DE					X	X				10/30/01	
STRUCTURED ASSET SEC CORP MORT PASS THR CERT SER 2001-13	DE					X	X				10/30/01	
STRUCTURED ASSET SECURITIES CORP	DE					X	X				07/30/01	
SUN HEALTHCARE GROUP INC	DE			X		X	X				11/07/01	
SUN POWER CORP									X		11/14/01	
SUNRISE ASSISTED LIVING INC	DE								X		11/15/01	
TEDA TECHNOLOGIES INTERNATIONAL INC	NV	X							X		11/14/01	AMEND
TELCO TECHNOLOGY INC	DE			X					X		11/12/01	
TELIGENT INC	DE					X					11/14/01	
TELLIUM INC	DE					X					11/15/01	
TETRA TECH INC	DE					X	X				11/14/01	
THORNBURG MORTGAGE SEC TR 2001-1 MR T LN PS THR CRT SR 2001-1	DE					X	X				11/01/01	
TIFFANY & CO	DE					X					11/14/01	
TRAVELERS BANK CREDIT CARD MASTER T RUST I	DE					X	X				02/09/01	

NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
TRAVELERS BANK CREDIT CARD MASTER T RUST I	DE					X		X			03/09/01	
TRAVELERS BANK CREDIT CARD MASTER T RUST I	DE					X		X			04/09/01	
TRAVELERS BANK CREDIT CARD MASTER T RUST I	DE					X		X			05/09/01	
TRI STATE OUTDOOR MEDIA GROUP INC	KS					X		X			11/14/01	
TRITON PCS HOLDINGS INC						X		X			11/05/01	AMEND
TRITON PCS INC						X		X			11/05/01	AMEND
UNITED AUSTRALIA PACIFIC INC	CO					X					11/15/01	
UNITED RENTALS INC /DE	DE							X	X		11/12/01	
UNITED RENTALS NORTH AMERICA INC	DE							X	X		11/12/01	
UNITED SURGICAL PARTNERS INTERNATIO NAL INC	DE					X		X			11/15/01	
UNITRIN INC	DE						X		X		11/07/01	
USA BIOMASS CORP	DE			X							07/31/01	
USX CORP	DE							X	X		11/14/01	
V F CORP /PA/	PA					X		X			11/14/01	
VALCOM INC /CA/	DE								X		09/30/01	
VANDERBILT ABS CORP	DE					X		X			11/15/01	
VANDERBILT MORTGAGE & FINANCE INC	TN					X		X			11/15/01	
VECTOR GROUP LTD	DE					X		X			11/15/01	
VIASOURCE COMMUNICATIONS INC	NJ			X		X		X			11/15/01	
VIASYS HEALTHCARE INC	DE					X					11/12/01	
VIDEO WITHOUT BOUNDARIES INC	FL					X					11/15/01	
VIEWCAST COM INC	DE					X		X			11/05/01	
VIRATA CORP	DE					X		X			11/14/01	
VIROPHARMA INC	DE					X		X			11/15/01	
VSI HOLDINGS INC	GA							X	X		11/07/01	
WASHINGTON MUTUAL MSC MORT PASS-THR OUGH CERT SER 2001-MS12	DE							X			10/30/01	
WELLS FARGO ASSET MORTGAGE BACK SEC URITIES 2001-19 TRUST	DE					X		X			08/30/01	
WELLS FARGO ASSET SECURITIES CORP	DE					X		X			11/14/01	
WELLS FARGO STUDENT LOANS RECEIVABL ES I LLC	DE					X		X			11/14/01	
WHY USA FINANCIAL GROUP INC	NV			X							11/14/01	
WILSHIRE FINANCIAL SERVICES GROUP I NC	DE					X		X			11/14/01	
WINTRUST FINANCIAL CORP	IL					X		X			11/15/01	
WORLD WIDE WIRELESS COMMUNICATIONS INC						X		X			11/13/01	
XTRANA INC	DE					X		X			11/12/01	
YAMAHA MOTOR RECEIVABLES CORP	DE					X					11/15/01	
8X8 INC /DE/	DE					X		X			11/12/01	