

# SEC NEWS DIGEST

Issue 2001-222

November 19, 2001

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## COMMISSION ANNOUNCEMENTS

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### STATE BANK OF INDIA AND CITIBANK, N.A. SETTLE SEC CHARGES INVOLVING AN UNREGISTERED SECURITIES OFFERING

The Commission announced today that it has issued an order against the State Bank of India (SBI) and Citibank, N.A. (Citibank) finding that they violated federal securities laws by selling "Resurgent India Bonds" (RIBs) in the United States without filing a registration statement with the SEC.

The Order finds that between August 5, 1998 and August 24, 1998, SBI directly, and through the marketing efforts of a subsidiary and Citibank, raised approximately \$532 million in the U.S. by selling RIBs to Non-Resident Indians (NRIs) and entities owned or controlled by NRIs. Of that amount, Citibank sold approximately \$160 million of the bonds.

Under the Order, to which SBI and Citibank consented without admitting or denying the SEC's findings, the SEC directs both SBI and Citibank to cease violating Sections 5(a) and (c) of the Securities Act.

The Order's findings include:

SBI, the largest commercial bank in India, with offices in New York City (SBI New York), Washington, D.C., Chicago, Los Angeles and San Jose, announced in July 1998 that it hoped to raise more than \$2 billion of foreign currency worldwide through the sale of RIBs. SBI entered into agreements with Citibank and others to act as "brokers" to seek subscriptions from eligible investors in the United States and throughout the world. Also in July 1998, SBI appointed "collecting banks," including SBI New York and Citibank, to act as regional centers where applications would be collected, processed and forwarded to SBI.

In SBI's pre-offering announcements, the RIBs were described as five-year denominated instruments carrying interest rates as high as 8%, transferable outside of India, and giftable within India. The announcements also stated that only NRIs and their affiliated entities could purchase the RIBs, and that the proceeds of the offering would be used mainly for infrastructure development in India.

In the United States, SBI and Citibank's NRI Services division principally conducted the marketing of the RIBs. Those marketing efforts were widespread and aggressive, and specifically targeted approximately one million NRIs living in the United States, many of whom were also United States citizens. Those marketing efforts included, for example, mass mailings to approximately 90,000 NRIs as well as cold calls placed by both employees and agents of Citibank and SBI.

SBI's marketing campaign featured the name "RESURGENT INDIA BOND," which SBI and its subsidiary displayed in all of their marketing materials in large bold capital letters. SBI's and Citibank's marketing materials repeatedly referred to the RIBs as "bond[s]" and "investment[s]," and frequently used terms commonly associated with securities offerings. Citibank's marketing materials also touted characteristics of the RIBs that are similar to government bonds, such as: (1) tax benefits; (2) transferability; and (3) proceeds to be used for infrastructure projects in India. While using such terms as "bond" and "investment," some of Citibank's documents also described the RIBs as "5-year fixed return deposit[s]."

SBI directly raised \$182 million from approximately 12,000 NRIs and partnerships, corporations and other entities principally owned by NRIs. Citibank directly raised approximately \$160 million from at least 5,000 NRIs and partnerships, corporations and other entities principally owned by NRIs.

The Order finds that the RIBs are securities and that SBI and Citibank violated Sections 5(a) and (c) of the Securities Act by offering and selling the RIBs when the offering of such securities was not registered with the SEC. The Order issued today orders respondents 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. (Press Rel. 2001-139; Administrative Proceeding File No. 3-10643; Rel. 33-8036)

## **ALAN BELLER TO BE NEXT DIRECTOR OF THE COMMISSION'S DIVISION OF CORPORATION FINANCE**

We are extremely pleased, and proud, to announce that, effective January 14, 2002, Alan L. Beller will become our next Director of the Division of Corporation Finance. In addition, he will be Senior Counselor to the Commission, a new position we created to take maximum advantage of Alan's unique qualifications and ability to make meaningful contributions to all facets of our work, both within and without the Division of Corporation Finance.

At this time in our history, there is an urgent need to reform our capital raising and disclosure regimes. We are committed to improving, streamlining and expediting corporate disclosure dissemination, and to enabling seasoned corporate issuers to access our capital markets more efficiently than at present. Mr. Beller will oversee and direct

these Commission reform efforts, as well as lead all facets of our corporate disclosure and corporate transactional programs.

Chairman Harvey L. Pitt said, "The reform of the way in which capital is raised and corporate disclosures are made and disseminated is the most critical project on our current agenda. These undertakings are complex and challenging, and require the guidance of one of the world's foremost authorities on corporate and securities laws. Alan Beller is uniquely qualified to perform that role, and the Commission is enormously fortunate that he is willing to join and lead us in this critical endeavor."

At present, Alan Beller, 52, is a distinguished and well-recognized expert on corporate and securities laws at the international law firm of Cleary, Gottlieb, Steen & Hamilton, where he became a partner in 1984. Mr. Beller has worked in three of Cleary Gottlieb's worldwide offices — New York, Paris and Tokyo — and his practice has focused on the entire spectrum of corporate, securities and derivatives issues, both domestic and international. Mr. Beller is co-chair of the International Subcommittee of the American Bar Association's Committee on Federal Regulation of Securities and has published extensively, including co-authoring a treatise entitled U.S. REGULATION OF THE INTERNATIONAL SECURITIES AND DERIVATIVES MARKETS (Sixth Edition, 2001). He received a J.D. degree, *magna cum laude*, from the University of Pennsylvania Law School and graduated from Yale College in 1971.

Chairman Pitt added, "Alan Beller brings the most distinguished breadth of experience ever to the position of Director of Corporation Finance — a considerable accomplishment given the other notable lawyers who have served in this capacity. In our extensive seven-decade history, Alan is the most qualified and well-established expert ever to assume this critical Commission position."

Mr. Beller said: "We are at a critical crossroads in government regulation of capital formation and disclosure in the U.S. and global securities markets. The need for reform and modernization of the regulatory framework, and SEC Chairman Harvey Pitt's commitment to moving forward on these issues, makes this an irresistible opportunity. I am honored that the SEC has invited me to help shape these critical decisions." (Press Rel. 2001-140)

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## **ENFORCEMENT PROCEEDINGS**

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### **SEC ORDERS PENNY STOCK BARS AGAINST TWO BUSINESS CONSULTANTS**

On November 16, the Commission ordered that two New York-based business consultants, Joseph M. Blumenthal and George W. Guttman, be barred from participating in future offerings of penny stocks, pursuant to Section 15(b)(6) of the Securities Exchange Act of 1934. The Commission ordered that Blumenthal be permanently barred

from such activity and that Guttman be barred with a right to reapply in five years. The respondents consented to the entry of the Orders.

The Commission's bars were based upon the recent entry of permanent injunctions against Blumenthal and Guttman for selling unregistered securities in violation of Section 5 of the Securities Act of 1933. In SEC v. Donald John Christensen, II et al., H-01-3203 (S.D. Tex.), the Commission alleged that, during the spring and summer of 1998, Mountain Energy's CEO issued over 10 million shares of the company's stock to Blumenthal, Guttman and a third individual, now deceased, who immediately sold the shares to the public. No registration statement was in effect as to those shares and no exemption from the registration requirements of the securities laws was available for these transactions. Blumenthal and Guttman, in settlement of the Commission's action, consented to the entry of an order of the U.S. District Court enjoining them from future violations and ordering them to pay a total of \$1.35 million in disgorgement of illegal profits. Litigation against the remaining defendants in SEC v. Christensen is ongoing. For additional information, see Litigation Release No. 17144 (September 20, 2001). (In the Matter of George W. Guttman, Rel. 34-45069, File No. 3-10641); (In the Matter of Joseph M. Blumenthal, Rel. 34-45070, File No. 3-10642)

#### **SEC FILES ACTION TO ENFORCE SUBPOENAS AGAINST GOING PLATINUM, INC. AND ALAN CATALAN**

On November 14, the Commission filed an application to enforce two subpoenas that had been issued to Going Platinum, Inc. and Alan H. Catalan. The subpoenas, which were served on August 14, 2001, seek documents relating to the Commission's investigation into whether Going Platinum, Inc. and Catalan have engaged in a fraudulent scheme to sell unregistered securities over the Internet. The securities at issue appear to be part of a Ponzi or pyramid scheme, under which members of certain programs offered on Respondents' website, GoingPlatinum.com, are led to expect exorbitant returns on an initial investment of \$25.

Going Platinum, Inc. and Catalan refused to produce the subpoenaed documents, despite being given three extensions of time in which to do so.

A hearing date on the Commission's application will be scheduled. [SEC v. Going Platinum, Inc. and Alan H. Catalan, No. 01-MC 222 (RK)(E.D.PA)] (LR-17234)

#### **RECIDIVIST IS SENTENCED IN OIL AND GAS OFFERING FRAUD**

The United States Attorney for the Central District of California announced that on November 9, 2001, a Studio City, California man was sentenced on federal criminal charges arising out of a fraudulent oil and gas offering scheme. Cary S. Greene, age 40, of Studio City, California, was sentenced to 46 months for securities fraud and tax evasion following his guilty plea to the charges in May 2000.

The U.S. Attorney's Office prosecuted Greene for his participation in a fraudulent "Ponzi" scheme that offered and sold oil and gas limited partnership interests. Greene was an officer, director and part owner of Mustang Development Corp., which raised about \$139 million from thousands of investors nationwide.

In April 1997, Greene was permanently enjoined in a civil action by the Securities and Exchange Commission based on the same underlying conduct (See Litigation Release 15359, May 5, 1997). Greene was also barred from the securities industry in a related Commission administrative proceeding. See Administrative Proceeding File No. 3-9445, September 29, 1997.

Earlier this month, the U.S. Attorney's Office and the Commission filed criminal and civil contempt proceedings against Greene for violating the permanent injunction entered in the Commission's Mustang action. The U.S. Attorney's and Commission's court filings allege that Greene violated the Commission's civil judgment by making fraudulent statements in the offer of stock in Broadband Concepts & Technologies, Inc. Greene is presently incarcerated pending trial on the criminal contempt charges. [SEC v. Mustang Development Corporation, Tower Operating Company, Neal B. Stein, Cary S. Greene and Samuel Embras, Jr., Civil Action No. 97-0440 JGD (CTx)](LA-780); [U.S. v. Cary S. Greene, CR 00-167-MMM (C.D. Cal.)] (LR-17235)

#### **SEC FILES FOR EMERGENCY RELIEF AGAINST FORMER BOSTON-AREA MONEY MANAGER STEVIN HOOVER CLAIMING HE CONTINUED TO DEFRAUD CLIENTS DESPITE ONGOING LAWSUIT FOR PRIOR CLIENT THEFTS**

On November 15, the Commission filed an emergency motion in federal district court in Massachusetts against money manager Stevin R. Hoover and his registered investment advisory firm, Hoover Capital Management ("HCM"), seeking a Temporary Restraining Order based on their continuing violations of the federal securities laws. In its emergency motion, the Commission claims that between at least April 2000 and September 30, 2001, Hoover and HCM misappropriated over \$470,000 out of the Chestnut Fund LP, a domestic hedge fund managed by an unregistered adviser controlled by Hoover, Chestnut Management. The Commission alleges that the Fund's assets were improperly to pay Hoover's expenses, including rent on Hoover's \$5,000-a-month luxury apartment in downtown Boston, rent for HCM's offices in Kansas City and Boston, and purported loans to Hoover and HCM. The Commission claims that these misappropriations occurred even after the Commission sued Hoover and HCM in May 2001 for stealing hundreds of thousands of dollars from clients between 1995 and 1998 (*SEC v. Hoover and Hoover Capital Management, Inc.*, Civ. A. No. 01 CV 10751 (RGS) (D. Mass.)).

In its motion, the Commission requests that the Court enter an order temporarily restraining Hoover and HCM from continuing to violate Sections 206(1) and (2) of the Advisers Act of 1940, entry of preliminary and permanent injunctions, asset freezes, prohibitions against the destruction or alteration of documents, disgorgement and civil

penalties. [SEC v. Hoover and Hoover Capital Management, Inc., Civ. A. No. 01 CV 10751 (RGS) (D. Mass.)] (LR-17236)

## **UNITED STATES ATTORNEY'S OFFICE INDICTS RECIDIVIST SECURITIES LAW VIOLATOR FOR MAIL AND WIRE FRAUD**

On November 6, the United States Attorney's Office for the Middle District of Florida (USAO) indicted Steven H. Adler of Tampa, Florida, charging him with mail and wire fraud. The indictment is based on allegations that Adler violated the law by convincing investors to entrust their money to him, and then misappropriating those funds. On November 15, 2001, the Securities and Exchange Commission (SEC) instituted an administrative order making findings against Adler.

The indictment alleges that Adler solicited and received funds from investors between October 1994 and September 1998, while he was the president and majority owner of Vector Index Advisers, Inc. (Vector), formerly based in Tampa. The indictment also alleges that Adler was the president of a mutual fund formerly known as ASM Index 30 Fund (ASM), and that Vector was ASM's investment adviser. According to the indictment, Adler solicited money from people who wished to invest in ASM, but in some cases, he never invested the money. Instead, Adler kept the money and used it for his own or for Vector's expenses. In other cases, the indictment alleges that Adler did invest the funds, but then withdrew the money from ASM without the knowledge or consent of the investors. The indictment alleges that Adler also then used that money for his own or Vector's benefit.

The indictment further charges Adler with preparing, and furnishing to the investors, fictitious monthly statements that falsely assured the investors that their investments were intact, and were appreciating in value.

The SEC's administrative order is based on the same misconduct described in the USAO's indictment. In the Matter of Vector Index Advisers, Inc. and Steven H. Adler, Securities Act of 1933 Release No. 8034 (November 15, 2001). The Commission also instituted an order imposing a cease and desist order against Adler in 1996, In the Matter of Vector Index Advisers, Inc. and Steven H. Adler, Investment Advisers Act of 1940 Release No. 1569 (July 8, 1996). United States v. Steven H. Adler, Criminal Action No. 8:01-CR-413-T-24-MSS (M.D. Fla., Tampa Division, November 6, 2001) (LR-17238)

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## **INVESTMENT COMPANY ACT RELEASES**

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### **JOHN HANCOCK VARIABLE SERIES TRUST I, ET AL.**

A notice has been issued giving interested persons until December 6, 2001, to request a hearing on an application filed by John Hancock Declaration Trust (Declaration Trust),

John Hancock Variable Series Trust I (Trust I), John Hancock Advisers, Inc., and John Hancock Life Insurance Company for an order, pursuant to Section 17(b) of the Investment Company Act of 1940 (Act), granting an exemption from the provisions of Section 17(a) of the Act, to permit certain series of Trust I to acquire all of the assets and liabilities of certain series of Declaration Trust and of certain other series of Trust I. (Rel. IC-25270 – November 15)

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## **HOLDING COMPANY ACT RELEASES**

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### **NATIONAL FUEL GAS COMPANY**

A notice has been issued giving interested persons until December 10, 2001, to request a hearing on a proposal by National Fuel Gas Company (National), a registered holding company, to increase its aggregate investment limit in exempt wholesale generators and foreign utility companies to \$750 million, which is equal to approximately 128% of National's average consolidated retained earnings for the four quarters ended June 30, 2001. (Rel. 35-27467)

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## **SELF-REGULATORY ORGANIZATIONS**

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### **IMMEDIATE EFFECTIVENESS OF PROPOSED RULE CHANGES**

A proposed rule change filed by the Chicago Stock Exchange to extend pilot rules for decimals (SR-CHX-2001-20) has become effective under Section 19(b)(3)(A) of the Securities Exchange Act of 1934. Publication of the proposal is expected in the Federal Register during the week of November 19. (Rel. 34-45059)

A proposed rule change filed by the Chicago Stock Exchange to extend a pilot rule interpretation relating to trading of Nasdaq/NM securities in subpenny increments (SR-CHX-2001-21) has become effective under Section 19(b)(3)(A) of the Securities Exchange Act of 1934. Publication of the proposal is expected in the Federal Register during the week of November 19. (Rel. 34-45062)

A proposed rule change filed by the Chicago Stock Exchange to extend pilot rules relating to participation in crossing transactions effected on the Exchange floor (SR-CHX-2001-23) has become effective under Section 19(b)(3)(A) of the Securities Exchange Act of 1934. Publication of the proposal is expected in the Federal Register during the week of November 19. (Rel. 34-45066)

### **PROPOSED RULE CHANGE**

A proposed rule change (SR-Amex-2001-98) was filed by the American Stock Exchange to reinstate and increase options transaction charges in select products. Publication of the proposal is expected in the Federal Register during the week of November 19. (Rel. 34-45068)

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## RECENT 8K FILINGS

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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		
A B WATLEY GROUP INC	DE		X						X		11/02/01	
ABC DISPENSING TECHNOLOGIES INC	FL					X					11/13/01	
ACE SECURITIES CORP	DE					X		X			11/25/01	
ACRODYNE COMMUNICATIONS INC	DE				X						11/16/01	
ADELPHIA COMMUNICATIONS CORP	DE					X		X			11/09/01	
ADVANCED LUMITECH INC	NV	X						X			11/02/01	
AGILENT TECHNOLOGIES INC	DE					X		X			11/15/01	
AGILENT TECHNOLOGIES INC	DE					X		X			11/15/01	
AIRGATE PCS INC /DE/	DE					X		X		X	11/14/01	
ALLIANCE DATA SYSTEMS CORP	DE		X					X			09/14/01	AMEND
ALLIANCE DATA SYSTEMS CORP	DE					X		X			09/20/01	AMEND
ALPHA HOSPITALITY CORP	DE					X					11/16/01	
APPLIED DIGITAL SOLUTIONS INC	MO					X		X			11/15/01	
ASSOCIATES CREDIT CARD MASTER NOTE TRUST						X					10/31/01	
ASSOCIATES CREDIT CARD RECEIVABLES CORP	DE					X					10/31/01	
AUTONATION INC /FL	DE					X					11/13/01	
AVNET INC	NY					X		X			11/13/01	
BANC OF AMERICA COMMERCIAL MORTGAGE INC	DE					X		X			11/14/01	
BIRNER DENTAL MANAGEMENT SERVICES I NC	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		
BRIGHAM EXPLORATION CO	DE				X	X					11/15/01	
BRIGHT START INC	MN				X	X					11/14/01	
BRM HOLDINGS INC	DE				X	X					11/05/01	
BUSINESS PLAN EXCHANGE INC		X									09/05/01	AMEND
BUSINESS TRANSLATION SERVICES INC	NV	X			X	X					11/12/01	
CADENCE DESIGN SYSTEMS INC	DE					X	X				11/08/01	
CARRAMERICA REALTY CORP	MD				X	X					11/15/01	
CASCADE NATURAL GAS CORP	WA					X					11/16/01	
CEPHALON INC	DE				X						11/13/01	
CGI HOLDING CORP	NV	X									11/15/01	
CHANGE TECHNOLOGY PARTNERS INC	DE				X	X					11/02/01	
CHANGE TECHNOLOGY PARTNERS INC	DE				X	X					11/08/01	
CHITTENDEN CORP /VT/	VT				X						10/11/01	
COLORADO MEDTECH INC	CO					X	X				11/16/01	
COMMERCIAL MORTGAGE PASS-THROUGH CE RTIFICATES SERIES 2000-C2	MO				X	X					11/13/01	
COMPLE TEL EUROPE NV		X									11/07/01	
CONOCO INC /DE	DE					X	X	X			11/14/01	
CONTINENTAL AIRLINES INC /DE/	DE				X	X					11/16/01	
CWABS INC ASSET BACKED CERTIFICATES SERIES 2001-BC3	DE				X	X					10/12/01	
DCI TELECOMMUNICATIONS INC	CO				X	X					11/12/01	
DEALER AUTO RECEIVABLES CO LLC	DE				X	X					10/15/01	AMEND
DEALER AUTO RECEIVABLES CO LLC	DE				X	X					11/15/01	
DIME COMMUNITY BANCSHARES INC	DE							X			11/15/01	
ENCORE ACQUISITION CO	DE				X	X					11/09/01	
ENDO PHARMACEUTICALS HOLDINGS INC	DE				X	X					11/16/01	
EPICEDGE INC	TX				X	X					10/11/01	
EQUITY MARKETING INC	DE					X					11/16/01	
EQUITY ONE ABS INC	DE					X					11/16/01	
EQUIVEST FINANCE INC	DE				X						11/12/01	
FARMER MAC MORTGAGE SECURITIES CORP	DE					X					11/15/01	
FARMER MAC MORTGAGE SECURITIES CORP	DE					X					11/26/01	
FARMER MAC MORTGAGE SECURITIES CORP	DE					X					11/26/01	
FARMER MAC MORTGAGE SECURITIES CORP	DE					X					11/26/01	
FIRST LEESPORT BANCORP INC	PA				X	X					11/15/01	
FIRST MID ILLINOIS BANCSHARES INC	DE				X						11/16/01	
FIRSTPLUS FINANCIAL GROUP INC	NV	X	X			X					11/05/01	
FRONTIER FINANCIAL CORP /WA/	WA				X	X					11/08/01	
GAP INC	DE				X	X					11/16/01	
GEODYNE ENERGY INCOME LIMITED PARTN ERSHIP II-F	OK				X	X					11/07/01	
GEODYNE ENERGY INCOME LTD PARTNERSH IP I-D	OK				X	X					11/14/01	
GEODYNE ENERGY INCOME LTD PARTNERSH IP I-E	OK				X	X					11/14/01	
GEODYNE ENERGY INCOME LTD PARTNERSH IP I-F	OK				X	X					11/14/01	
GEODYNE ENERGY INCOME LTD PARTNERSH IP II A	OK				X	X					11/14/01	
GEODYNE ENERGY INCOME LTD PARTNERSH IP II-B	OK				X	X					11/14/01	

NAME OF ISSUER	STATE CODE	8K ITEM NO.								DATE	COMMENT	
		1	2	3	4	5	6	7	8			9
GEODYNE ENERGY INCOME LTD PARTNERSH IP II-C	OK					X		X			11/14/01	
GEODYNE ENERGY INCOME LTD PARTNERSH IP II-D	OK					X		X			11/14/01	
GEODYNE ENERGY INCOME LTD PARTNERSH IP II-E	OK					X		X			11/14/01	
GEODYNE ENERGY INCOME LTD PARTNERSH IP II-G	OK					X		X			11/14/01	
GEODYNE ENERGY INCOME LTD PARTNERSH IP II-H	OK					X		X			11/14/01	
GEODYNE ENERGY INCOME LTD PARTNERSH IP III-A	OK					X		X			11/14/01	
GEODYNE ENERGY INCOME LTD PARTNERSH IP III-B	OK				X			X			11/14/01	
GEODYNE ENERGY INCOME LTD PARTNERSH IP III-C	OK					X		X			11/14/01	
GEODYNE INSTITUTIONAL PENSION ENERG Y INC LTD PARTNERSHIP P-7	OK					X		X			11/14/01	
GEODYNE INSTITUTIONAL PENSION ENERG Y INC LTD PARTNERSHIP P-8	OK					X		X			11/14/01	
GULF POWER CO	ME					X					11/08/01	
HANOVER DIRECT INC	DE								X		11/14/01	
HEWLETT PACKARD CO	DE					X		X			11/15/01	
HURRY INC	GA							X			10/31/01	AMEND
INERGY L P						X		X			11/02/01	
INFOCROSSING INC	DE					X					11/14/01	
INFORM WORLDWIDE HOLDINGS INC	CO					X					11/13/01	
INITIO INC	NV					X					10/31/01	AMEND
INTUIT INC	DE					X					11/15/01	
IPARTY CORP	DE					X		X			11/09/01	
JAMESON INNS INC	GA					X		X			11/16/01	
JLG INDUSTRIES INC	PA					X		X			11/15/01	
KIMCO REALTY CORP	MD							X			11/13/01	
LA PETITE ACADEMY INC	DE					X		X			11/14/01	
LANIPRIN LIFE SCIENCES INC	CO			X				X			11/12/01	
LEAP WIRELESS INTERNATIONAL INC	DE					X					11/16/01	
LESCO INC/OH	OH					X		X			11/16/01	
LIGHTBRIDGE INC	DE					X		X			11/13/01	
LMI AEROSPACE INC	MO								X		11/15/01	
LPA HOLDING CORP	DE					X		X			11/14/01	
LPA SERVICES INC	DE					X		X			11/14/01	
MADDEN STEVEN LTD	DE					X		X			11/14/01	
MAXXAM GROUP HOLDINGS INC	DE					X					11/15/01	
MEDICALOGIC/MEDSCAPE INC	OR			X				X			11/07/01	
MEDICIS PHARMACEUTICAL CORP	DE			X				X			11/15/01	
MELLON FINANCIAL CORP	PA					X		X			11/14/01	
MERRILL LYNCH DEPOSITOR INC	DE					X		X			10/15/01	
MERRILL LYNCH DEPOSITOR INC PREFERR EDPLUS TRUST SER CZN 1	DE					X		X			10/01/01	
MILLIONAIRE COM	NV					X					09/30/01	AMEND
MONOLITHIC SYSTEM TECHNOLOGY INC	CA					X		X			11/15/01	
NATIONWIDE FINANCIAL SERVICES INC/	DE					X		X			11/14/01	

NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT	
		1	2	3	4	5	6	7	8	9			
NEUROCRINE BIOSCIENCES INC	CA					X						11/16/01	
NEW CENTURY HOME EQUITY LOAN TRUST SERIES 2001-NC2	DE					X	X					11/25/01	
NEWCOR INC	DE					X						11/15/01	
NEWMONT MINING CORP	DE					X						11/14/01	AMEND
NISSAN AUTO RECEIVABLES II 2001-C O WNER TRUST	DE					X						11/15/01	
NISSAN AUTO RECEIVABLES 2001-B OWNE R TRUST	DE					X						11/15/01	
NMT MEDICAL INC	DE		X					X				11/05/01	
NORTHROP GRUMMAN CORP /DE/	DE					X	X					11/15/01	
NOVASTAR MORTGAGE FUNDING CORP	DE					X	X					10/25/01	
NURESCCELL INC	NV					X						11/09/01	
NUWAY ENERGY INC	DE					X						11/14/01	
PENTON MEDIA INC	DE					X	X					11/16/01	
PERKINELMER INC	MA		X					X				11/13/01	
PHILADELPHIA CONSOLIDATED HOLDING C ORP	PA					X	X					10/19/01	
PLANETCAD INC	DE		X					X				11/14/00	AMEND
POINT WEST CAPITAL CORP	DE						X					11/15/01	
PRICE LEGACY CORP	MD		X					X				11/02/01	
PROCTER & GAMBLE CO	OH		X									11/16/01	
PROFIT RECOVERY GROUP INTERNATIONAL INC	GA							X	X			11/16/01	
PUEBLO XTRA INTERNATIONAL INC	DE					X		X				11/03/01	
QUANTA SERVICES INC	DE					X	X					11/15/01	
REGENT GROUP INC /DE/	DE							X				07/27/01	AMEND
RENAISSANCERE HOLDINGS LTD						X	X					11/14/01	
REWARD ENTERPRISES INC			X					X				09/24/01	
RIDDELL SPORTS INC	DE					X	X					11/14/01	
ROADWAY CORP	DE					X	X					11/16/01	
SELIGMAN NEW TECHNOLOGIES FUND II I NC	MD							X	X			11/16/01	
SELIGMAN NEW TECHNOLOGIES FUND INC								X	X			11/16/01	
SFBC INTERNATIONAL INC	DE					X		X				11/16/01	
SILVER STAR FOODS INC /NY/	NY					X						03/09/01	
SMUCKER J M CO	OH					X	X					11/15/01	
SONO TEK CORP	NY					X						07/05/01	AMEND
SOUNDVIEW TECHNOLOGY GROUP INC	DE							X				11/14/01	
STAMPEDE WORLDWIDE INC	FL		X					X				11/09/01	
STRUCTURED ASSET SEC CORP MORT PAS THR CERT SER 01 16H	DE					X	X					10/30/01	AMEND
SULPHCO INC	NV		X					X				11/01/01	
SURGICAL SAFETY PRODUCTS INC	NY					X		X				11/15/01	
TARGETINTERACTIVE INC	DE		X			X						11/12/01	AMEND
TARGETINTERACTIVE INC	DE					X		X				11/12/01	AMEND
TELLABS INC	DE							X				11/16/01	
TEXAS NEVADA OIL & GAS CO	TX		X			X	X					11/12/01	
THERMO ELECTRON CORP	DE					X	X					11/15/01	
THORNBURG MORTGAGE INC	MD					X	X					11/12/01	
TRIAD HOSPITALS INC	DE					X	X					11/15/01	
TTTTICKETS HOLDING CORP	DE		X					X				11/09/01	

NAME OF ISSUER	STATE	8K ITEM NO.									DATE	COMMENT	
	CODE	1	2	3	4	5	6	7	8	9			
UAL CORP /DE/	DE					X	X					11/16/01	
UNITED AUTO GROUP INC	DE						X	X	X			11/15/01	
UNIVERSAL BANK NA	DE					X						10/31/01	
US AIRWAYS GROUP INC	DE					X	X					11/16/01	
US AIRWAYS INC	DE					X	X					11/16/01	
US HOME SYSTEMS INC /TX	DE					X						10/29/01	
VALLEY NATIONAL BANCORP	NJ					X						11/07/01	
VANSTAR FILMS INC	NV					X						11/16/01	
VAXGEN INC	DE					X	X					11/14/01	
VERTEX INTERACTIVE INC	NJ					X						11/01/01	
WARNACO GROUP INC /DE/	DE					X	X					11/16/01	
WASHINGTON MUTUAL MORTGAGE SECURITI ES CORP	DE						X					11/14/01	
WEATHERFORD INTERNATIONAL INC /NEW/	DE					X	X					11/16/01	
WELLS FARGO ASSET SEC CORP MOR PASS THR CERT SER 2001-25	NY					X	X					09/28/01	
WELLS FARGO ASSET SEC CORP MORT PAS S THR CERT SER 2001-26	DE					X	X					10/30/01	
WELLS FARGO ASSET SECURITIES CORP M ORT BA SEC 2001-24 TRUST	DE					X	X					10/30/01	
XEROX CORP	NY					X	X					09/30/01	
YAHOO INC	DE					X	X					11/15/01	
YONKERS FINANCIAL CORP	DE					X	X					11/13/01	