

# SEC NEWS DIGEST

Issue 99-183

September 22, 1999

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## ENFORCEMENT PROCEEDINGS

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### IN THE MATTER OF SANDRA SIMPSON AND DAPHNE PATTEE

An administrative law judge issued an Initial Decision in the above-referenced matter. The law judge concluded that Respondents Sandra Simpson and Daphne Pattee willfully violated Section 17(a) of the Securities Act and Section 10(b) of the Exchange Act and Rule 10b-5 thereunder (antifraud provisions) by engaging in a scheme to defraud Prudential customers. Specifically, the law judge found that, in addition to churning accounts, making unsuitable trades, and executing unauthorized margin trades, Respondents attempted to conceal their scheme by making false and misleading statements and causing unauthorized transfers between customer accounts.

The law judge ordered Respondents to cease and desist from committing or causing any violations of Section 17(a) of the Securities Act, Section 10(b) of the Exchange Act and Rule 10b-5 thereunder. The decision also ordered that each Respondent be permanently barred from association with a broker-dealer, a member of a national securities exchange, or registered securities association. Additionally, the law judge imposed a \$100,000 civil money penalty against Sandra Simpson and a \$50,000 civil money penalty against Daphne Pattee. Finally, the law judge ordered Respondents to disgorge \$34,171 plus prejudgment interest. (Initial Decision No. 148; File No. 3-9458)

### IN THE MATTER OF SEABOARD INVESTMENT ADVISERS, INC. AND EUGENE HANSEN

Chief Administrative Law Judge Brenda P. Murray issued an initial decision today in the above-referenced matter. The Commission's Order Instituting Public Proceedings (OIP) alleged that, among other things, on July 9, 1998, the United States District Court for the Eastern District of Virginia entered an order by consent permanently enjoining Respondents from violating Sections 206(1), 206(2) and 206(4) of the Investment Advisers Act (Advisers Act) and Rule 206(4)-1(a)(5), and from violating the terms of a cease and desist order entered by the Commission against Seaboard and Hansen, among others, on August 3, 1994. In addition to being permanently enjoined, Hansen was ordered to pay a civil penalty of \$50,000.

The administrative proceedings were instituted in order to determine whether the allegations in the OIP were true and, if so, whether remedial sanctions ought to be imposed against Respondents in the public interest. The Division of Enforcement recommended that Seaboard's investment adviser registration be revoked and that Hansen should be barred from association with an investment adviser. Chief Judge Murray concluded that it was in the public interest to revoke Seaboard's registration, but that it would be unduly harsh to bar Hansen from association with an investment adviser in light of certain mitigating factors. Instead, Chief Judge Murray suspended Hansen from association with an investment adviser for twelve months. (Initial Decision No. 149; File No. 3-9725)

#### **ADMINISTRATIVE PROCEEDINGS INSTITUTED AGAINST THE CITY OF MIAMI, FLORIDA, CESAR ODIO AND MANOHAR SURANA**

On September 22, the Commission instituted public cease and desist proceedings pursuant to Section 8A of the Securities Act of 1933 (Securities Act) and Section 21C of the Securities Exchange Act of 1934 (Exchange Act) against the City of Miami, Florida (City), and Cesar Odio (Odio) and Manohar Surana (Surana), both of Miami, Florida (collectively, the Respondents), to determine whether a cease and desist order should be imposed against them. The Order Instituting Public Cease and Desist Proceedings (Order) alleges that the City, through Odio and Surana, violated the antifraud provisions of the Securities Act and Exchange Act in connection with the offer and sale to the public of securities in the form of municipal bonds issued by the City in June, August and December of 1995. The Order also alleges that the City, through Odio, violated the antifraud provisions when it disseminated its Comprehensive Annual Financial Report for fiscal year 1994 to the investing public in September 1995. A hearing will be held before an administrative law judge to determine whether the staff's allegations are true and, if so, whether a cease and desist order should be entered against the Respondents. (Rels. 33-7741; 34-41896; File No. 3-10022)

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

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#### **TARGET/UNITED FUNDS, INC., ET AL.**

An order has been issued pursuant to Section 6(c) of the Investment Company Act exempting Target/United Funds, Inc. (Fund), and Waddell & Reed Investment Management Company (WRIMCO) from the provisions of Sections 9(a), 13(a), 15(a) and 15(b) of the Act, and Rules 6e-2(b)(15) and 6e-3(T)(b)(15) thereunder, to permit shares of the Fund and any other similar investment company or investment company series that WRIMCO or any of its affiliates serve, now or in the future, as investment adviser, administrator, manager, principal underwriter or sponsor to be offered and sold to, and held by: (a) separate accounts funding variable annuity and variable life insurance contracts issued by both affiliated and unaffiliated life

insurance companies; and (b) qualified pension and retirement plans outside of the separate account context. (Rel. IC-24019 - September 20)

**THE AMERICAN FRANKLIN LIFE INSURANCE COMPANY, ET AL.**

An order has been issued pursuant to Section 26(b) of the Investment Company Act to The American Franklin Life Insurance Company (American Franklin) and Separate Account VUL of American Franklin approving the substitution of securities issued by six newly-organized portfolios of EQ Advisors Trust (EQAT) for securities issued by six portfolios of The Hudson River Trust (HRT) and currently used as the underlying investment options for certain variable life insurance policies issued by American Franklin. (Rel. IC-24020 - September 21)

**THE VICTORY PORTFOLIOS, ET AL.**

An order has been issued on an application filed by The Victory Portfolios, et al. under Sections 6(c) and 17(b) of the Investment Company Act for an exemption from Sections 12(d)(1)(A) and 17(a) of the Act, and under Section 17(d) of the Act and Rule 17d-1 under the Act. The order amends a prior order that permits non-money market series of a registered open-end management investment company to purchase shares of one or more of the money market series of such registered investment company by adding a registered open-end management investment company and an investment adviser as applicants. (Rel. IC-24021 - September 21)

**MITCHELL HUTCHINS SERIES TRUST, ET AL.**

An order has been issued pursuant to Section 6(c) of the Investment Company Act exempting Mitchell Hutchins Series Trust (Fund) and Mitchell Hutchins Asset Management Inc. (Mitchell Hutchins) from Sections 9(a), 13(a), 15(a), and 15(b) of the Act, and Rules 6e-2(b)(15) and 6e-3(T)(b)(15) thereunder, to the extent necessary to permit shares of the Fund and similar investment companies for which Mitchell Hutchins, its parent, or any of their affiliates serve, now or in the future, as investment adviser, administrator, manager, principal underwriter or sponsor, and which offer their shares only to insurance company separate accounts, to be sold to and held by: (a) variable annuity and variable life insurance separate accounts of both affiliated and unaffiliated life insurance companies; and (b) qualified pension and retirement plans outside of the separate account context. (Rel. IC-24022 - September 21)

**THE UNION CENTRAL LIFE INSURANCE COMPANY, ET AL.**

An order has been issued pursuant to Section 26(b) of the Investment Company Act to The Union Central Life Insurance Company, Carillon Account, and Carillon Life Account approving the substitution of: (a) shares of the Balanced Index Portfolio of Carillon Fund for shares of the Capital Portfolio of Carillon Fund; and (b) shares of the AIM V.I. Capital Appreciation Fund of the AIM Fund for shares of the American Century VP Capital Appreciation Portfolio of American

## SELF-REGULATORY ORGANIZATIONS

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### APPROVAL OF PROPOSED RULE CHANGES

The Commission approved a proposed rule change, and granted accelerated approval to Amendment No. 1 of the proposed rule change, submitted by the Pacific Exchange (SR-PCX-99-16) requiring qualified off-floor traders for which the PCX is the Designated Examining Authority to successfully complete the General Securities Registered Representative Examination, Test Series 7. Publication of the order is expected in the Federal Register during the week of September 20. (Rel. 34-41881)

The Commission approved a proposed rule change filed by The Options Clearing Corporation (SR-OCC-99-04) permitting OCC's clearing members to pledge long positions in non-proprietary cross margin accounts through OCC's pledge program. (Rel. 34-41883)

The Commission approved a proposed rule change filed by The Options Clearing Corporation (SR-OCC-99-06) amending OCC's Certificate of Incorporation, By-Laws, and Stockholders Agreement with respect to the purchase of OCC stock by participant exchanges and the rights of those exchanges in the event of OCC's liquidation. (Rel. 34-41884)

The Commission approved a proposed rule change filed by The Depository Trust Company (SR-DTC-99-10) adding a new service, Restricted Deposit Service, for the deposit and processing of restricted securities. (Rel. 34-41891)

### IMMEDIATE EFFECTIVENESS OF PROPOSED RULE CHANGE

A proposed rule change (SR-CBOE-99-54) filed by the Chicago Board Options Exchange to revise the component selection and weighting guidelines that govern the GSTI Composite Index and Sub-Indexes has become immediately effective under Section 19(b)(3)(A) of the Securities Exchange Act of 1934. Publication of the notice is expected in the Federal Register during the week of September 20. (Rel. 34-41882)

### DELISTINGS GRANTED

An order has been issued granting the application of the New York Stock Exchange to strike from listing and registration LSB Industries, Inc., Common Stock, \$.01 par value, and \$3.25 Convertible Exchangeable Class C Preferred Stock, Series 2. (Rel. 34-41889)

An order has been issued granting the application of the Philadelphia Stock Exchange to strike from listing and registration

The Options Clearing Corporation, call and put option contracts relating to certain underlying securities. (Rel. 34-41890)

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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>. In most cases, this information is also available on the Commission's website: <www.sec.gov>.

- F-1 ICICI LTD, ICICI TOWERS BANDRA-KURLA COMPLEX, MUMBAI, INDIA 400 051,  
00000 (001) 912-2653 - \$315,000,000 DEPOSITARY RECEIPTS FOR COMMON STOCK  
(FILE 333-10792 - SEP 10) (BR. 7 - NEW ISSUE)
- F-6 ICICI LTD /ADR/, ONE BANKERS TRUST PLAZA, 130 LIBERTY ST, NEW YORK, NY  
10006 - 100,000,000 (\$5,000,000) DEPOSITARY RECEIPTS FOR COMMON STOCK  
(FILE 333-10800 - SEP. 10) (BR. 99 - NEW ISSUE)
- F-6 PARANAPANEMA ELECTRICAL ENERGY GENERATION CO/ADR/, ONE WALL ST,  
NEW YORK, NY 10286 - 10,000,000 (\$500,000)  
DEPOSITARY RECEIPTS FOR COMMON STOCK (FILE 333-10810 - SEP. 10) (BR. 99  
- NEW ISSUE)
- F-6 PARANAPANEMA ELECTRICAL ENERGY GENERATION CO/ADR/, ONE WALL ST,  
NEW YORK, NY 10286 - 10,000,000 (\$500,000)  
DEPOSITARY RECEIPTS FOR COMMON STOCK. (FILE 333-10812 - SEP. 10) (BR. 99)
- F-1 ULTRAPAR HOLDINGS INC, AV BRIGADERIO LUIZ ANTONIO 1343,  
9 ANDAR SAO PAULO, SP BRAZIL 01350-900, D5 00000 - 17,182,496,000  
(\$309,284,928) FOREIGN PREFERRED STOCK. (FILE 333-10818 - SEP. 10)  
(BR 2 - NEW ISSUE)
- S-B PROVINCE DE QUEBEC, DELEGATION GENERALE DU QUEBEC NEW YORK,  
630 FIFTH AVE STE 360, NEW YORK, NY 10111 - 2,019,481,083 (\$2,019,481,083)  
FOREIGN GOVERNMENT AND AGENCY DEBT. (FILE 333-10828 - SEP. 13) (BR. 99)
- S-8 NETWORK COMPUTING DEVICES INC, 350 N BERNARDO AVE, MOUNTAIN VIEW, CA  
94043 (415) 694-0650 - 250,000 (\$1,079,500) COMMON STOCK. (FILE 333-87109  
- SEP. 15) (BR. 3)
- SB-2 HOJO HOLDINGS INC, 21 BLACKHEATH ROAD, LIDO BEACH, NY 11561  
(516) 670-1564 - \$625,000 COMMON STOCK. (FILE 333-87111 - SEP 15)  
(BR. 9 - NEW ISSUE)
- S-3 INTERNET COMMERCE CORP, 805 THIRD AVENUE, STE 622, NEW YORK, NY 10022  
(212) 271-7640 - 2,262,946 (\$27,438,220 25) COMMON STOCK. (FILE 333-87113  
- SEP. 15) (BR 3)

S-3 ASHTON TECHNOLOGY GROUP INC, 1900 MARKET STREET, SUITE 701,  
PHILADELPHIA, PA 19103 (215) 751-1900 - 2,031,551 (\$15,808,515.59)  
COMMON STOCK. (FILE 333-87121 - SEP. 15) (BR. 3)

S-8 STREAMLINE COM INC, 27 DARTMOUTH ST, WESTWOOD, MA 02090 (781) 407-1900  
- 3,000,000 (\$20,310,000) COMMON STOCK. (FILE 333-87123 - SEP. 15)  
(BR. 8)

S-8 PAUL HARRIS STORES INC, 6003 GUION RD, INDIANAPOLIS, IN 46254  
(317) 293-3900 - 1,000,000 (\$4,468,800) COMMON STOCK (FILE 333-87125 -  
SEP. 15) (BR 2)

S-8 NEUROCRINE BIOSCIENCES INC, 10555 SCIENCE CENTER DRIVE, SAN DIEGO, CA  
92121 ((61) 9) -658- - 600,000 (\$2,868,750) COMMON STOCK (FILE 333-87127  
- SEP. 15) (BR. 1)

S-3 PROCTER & GAMBLE CO, ONE PROCTER & GAMBLE PLZ, CINCINNATI, OH 45202  
(513) 983-1100 - 3,825,000,000 (\$3,825,000,000) STRAIGHT BONDS. (FILE  
333-87133 - SEP. 15) (BR. 2)

S-4 SUN MICROSYSTEMS INC, 901 SAN ANTONIO RD, PALO ALTO, CA 94303  
(650) 960-1300 - 24,500,000 (\$597,187,500) COMMON STOCK. (FILE 333-87137 -  
SEP 15) (BR. 3)

S-8 NAVARRE CORP /MN/, 7400 49TH AVE N, NEW HOPE, MN 55428 (612) 535-8333 -  
1,300,000 (\$14,381,250) COMMON STOCK. (FILE 333-87143 - SEP. 15) (BR 2)

S-3 NAVARRE CORP /MN/, 7400 49TH AVE N, NEW HOPE, MN 55428 (612) 535-8333 -  
2,702,703 (\$29,898,651) COMMON STOCK. (FILE 333-87145 - SEP. 15) (BR. 2)

SB-2 NFOX COM, 6216 SOUTH SANDHILL SUITE C, STE 111 B, LAS VEGAS, NV 89120 -  
2,250,000 (\$4,500,000) COMMON STOCK. (FILE 333-87147 - SEP. 15)

S-3 OSHKOSH TRUCK CORP, 2307 OREGON ST, P O BOX 2566, OSHKOSH, WI 54903  
(414) 235-9151 - 3,737,500 (\$106,168,359.38) COMMON STOCK. (FILE  
333-87149 - SEP. 15) (BR. 5)

S-4 LUCENT TECHNOLOGIES INC, 600 MOUNTAIN AVE, MURRAY HILL, NJ 07974  
(908) 582-8500 - 76,639,574 (\$4,073,872,355.44) COMMON STOCK. (FILE  
333-87151 - SEP 15) (BR. 7)

S-8 ENZO BIOCHEM INC, 60 EXECUTIVE BLVD, FARMINGDALE, NY 11735  
(516) 755-5500 - 950,000 (\$19,820,864) COMMON STOCK. (FILE 333-87153 -  
SEP. 15) (BR 1)

S-8 TIREX CORP, 740 ST MAURICE STE 201, MONTREAL QUEBEC, A8 H4R1W  
(514) 878-0727 - 2,654,731 (\$119,462.89) COMMON STOCK (FILE 333-87155 -  
SEP. 15) (BR. 5)

S-3 SATCON TECHNOLOGY CORP, 161 FIRST STREET, CAMBRIDGE, MA 02142  
(617) 661-0540 - 2,396,690 (\$21,195,847.02) COMMON STOCK. (FILE 333-87157  
- SEP 15) (BR. 5)

N-2 JAPAN OTC EQUITY FUND INC, 180 MAIDEN LANE, NEW YORK, NY 10038  
(800) 833-0018 - 3,800,939 (\$48,005,860) COMMON STOCK. (FILE 333-87159 -  
SEP. 15) (BR. 17)

S-1 GETTHERE COM, 445 SHERMAN AVENUE, PALO ALTO, CA 94306 (650) 614-6313 -  
\$75,000,000 COMMON STOCK. (FILE 333-87161 - SEP. 15) (NEW ISSUE)

S-4 BB&T CORP, 200 WEST SECOND STREET, WINSTON-SALEM, NC 27101  
(336) 733-2000 - 13,288,069 (\$426,707,373.40) COMMON STOCK (FILE  
333-87163 - SEP. 15) (BR. 7)

S-8 ADOBE SYSTEMS INC, 345 PARK AVE, SAN JOSE, CA 95110 (415) 961-4400 -  
4,300,000 (\$433,493,750) COMMON STOCK. (FILE 333-87165 - SEP. 15) (BR. 3)

S-3 GILEAD SCIENCES INC, 333 LAKESIDE DR, FOSTER CITY, CA 94404  
(650) 574-3000 - 3,033,928 (\$257,125,398) COMMON STOCK (FILE 333-87167 -  
SEP. 15) (BR. 1)

- S-1 STARMEDIA NETWORK INC, 29 WEST 36TH STREET 5TH FL, NEW YORK, NY 10018  
(212) 548-9600 - 7,475,000 (\$309,745,313) COMMON STOCK. (FILE 333-87169 -  
SEP. 15) (BR. 3)
- S-3 NETEGRITY INC, 245 WINTER ST, WALTHAM, MA 02154 (617) 890-1700 -  
3,450,000 (\$88,285,500) COMMON STOCK (FILE 333-87171 - SEP. 15) (BR. 3)
- S-8 SHAW GROUP INC, 11100 MEAD RD, 2ND FLOOR, BATON ROUGE, LA 70816  
(504) 296-1195 - 1,072,058 (\$15,800,481.24) COMMON STOCK (FILE 333-87175  
- SEP. 16) (BR. 6)
- S-3 HEARTLAND FINANCIAL USA INC, 1398 CENTRAL AVE, DUBUQUE, IA 52001  
(319) 589-2000 - 1,000,000 (\$25,000,000) EQUIPMENT TRUST CERTIFICATES.  
(FILE 333-87179 - SEP. 16) (BR. 7)
- S-8 AVIRON, 297 N BERNARDO AVE, MOUNTAIN VIEW, CA 94043 (650) 919-6500 -  
780,000 (\$21,937,500) COMMON STOCK. (FILE 333-87183 - SEP. 16) (BR. 1)
- S-3 AVIRON, 297 N BERNARDO AVE, MOUNTAIN VIEW, CA 94043 (650) 919-6500 -  
\$100,000,000 STRAIGHT BONDS (FILE 333-87185 - SEP 16) (BR. 1)

## RECENT 8K FILINGS

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

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

The following companies have filed 8-K reports for the date indicated and/or amendments to 8-K reports previously filed, responding to the item(s) of the form specified 8-K reports may be obtained in person or by writing to the Commission's Public Reference Branch at 450 Fifth Street, N W., Washington, D.C 20549 or at the following e-mail 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		
ABC DISPENSING TECHNOLOGIES INC	FL									X	07/24/99	
ACE SECURITIES CORP HOME LOAN TRUST 1999 A ASSET BACKED NOTE	DE			X	X						08/06/99	AMEND
ACME ELECTRIC CORP	NY			X							09/21/99	
ADVANCED COMMUNICATION SYSTEMS INC	DE			X	X						09/20/99	
ADVANCED DIGITAL INFORMATION CORP	WA			X							09/17/99	
ADVANCED LUMITECH INC	NV						X				09/21/99	AMEND
ADVANTA CONDUIT RECEIVABLES INC	NV			X	X						09/20/99	
ADVANTA REVOLVING HOME EQUITY LOAN TRUST 1999 B	NV			X	X						09/20/99	
AIRTRAN HOLDINGS INC	NV			X							09/22/99	
AKI HOLDING CORP	DE			X							09/15/99	
AKI INC	DE			X							09/15/99	
ALBANY INTERNATIONAL CORP /DE/	DE			X							09/21/99	
ALZA CORP	DE			X	X						09/20/99	

NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
AMEREN CORP	MO				X						09/21/99	
AMERICAN BANCSHARES INC \FL\	FL				X	X					09/21/99	
AMERICAN BINGO & GAMING CORP	DE		X	X	X						09/13/99	
AMERICAN EXPRESS CENTURION BANK	UT				X	X					09/01/99	
AMERICAN EXPRESS RECEIVABLES FINANC ING CORP II	DE				X	X					09/01/99	
AMERICAN HOMESTAR CORP	TX						X	X			09/13/99	
AMERICAN PAD & PAPER CO	DE				X						09/20/99	
AMERICAN RISK MANAGEMENT GROUP INC/	FL	X			X						09/07/99	
AMERICAN TOWER CORP /MA/	DE				X	X					09/21/99	
AMERICOM USA INC	DE	X				X					09/08/99	
AMERIMMUNE PHARMACEUTICALS INC	CO				X						09/11/99	
ASARCO INC	DE				X	X					09/20/99	
BALLISTIC RECOVERY SYSTEMS INC	MN				X	X					09/17/99	
BANK OF AMERICA MORTGAGE SECURITIES INC	DE				X	X					09/20/99	
BANK OF AMERICA MORTGAGE SECURITIES INC	DE				X	X					09/21/99	
BERRY PLASTICS CORP	DE					X					07/06/99	
BORG WARNER AUTOMOTIVE INC	DE					X					09/21/99	
BPC HOLDING CORP	DE					X					07/06/99	
CANADIAN DERIVATIVES CLEARING CORP					X	X					07/06/99	
CBRL GROUP INC	TN				X						09/07/99	
CENTURY BUSINESS SERVICES INC	DE				X						09/16/99	
CHESAPEAKE BIOLOGICAL LABORATORIES INC	MD	X									09/17/99	
CHOICES ENTERTAINMENT CORP	DE	X		X	X						08/30/99	
CITATION CORP /AL/	DE				X	X					09/03/99	
CITICORP MORTGAGE SECURITIES INC	DE				X						09/20/99	
CLARUS CORP	DE				X	X					09/21/99	AMEND
CLEVELAND CLIFFS INC	OH				X	X					09/14/99	
COMMERCIAL MORTGAGE ACCEPTANCE CORP SERIES 1999-C1 TRUST	MO				X	X					09/15/99	
COMPUTER SCIENCES CORP	NV				X						09/19/99	
COMPX INTERNATIONAL INC	DE				X	X					09/20/99	
CONSOLIDATED CAPITAL INSTITUTIONAL PROPERTIES	CA	X				X					09/21/99	
CORDANT TECHNOLOGIES INC	DE				X						09/22/99	
CRESTLINE CAPITAL CORP	MD				X	X					09/15/99	
CWMBS INC	DE				X	X					09/17/99	
DALLAS SEMICONDUCTOR CORP	DE				X	X					09/10/99	
DIME BANCORP INC	DE				X	X					09/20/99	
DIMENSIONAL VISIONS INC/ DE	DE				X						09/01/99	
DLJ COMMERCIAL MORT COMM PASS THR C ER SER 1999-CG2	DE					X					09/10/99	
DLJ COMMERCIAL MORT COMM MORT PASS THR CER SER 1999-CG1	DE					X					09/10/99	
DOLLAR FINANCIAL GROUP INC	NY	X				X					07/22/99	AMEND
DROVERS BANCSHARES CORP	PA				X	X					09/17/99	
DUKE WEEKS REALTY CORP	IN					X					07/02/99	
DYNAMEX INC	DE				X	X					09/17/99	
EAGLEMARK INC	NV				X	X					09/30/99	
EAGLEMARK INC	NV				X	X					09/30/99	
ENTERPRISE PRODUCTS PARTNERS L P	DE				X	X					09/20/99	
ENTERTAINMENT INC	DE				X	X					09/05/99	
ENVIRONMENTAL PRODUCTS & TECHNOLOGI ES CORP	DE				X						09/13/99	
EQCC HOME EQUITY LOAN TRUST 1999-3	DE				X	X					09/16/99	
FALCON BUILDING PRODUCTS INC	DE	X				X					09/03/99	
FIREARMS TRAINING SYSTEMS INC	DE				X	X					09/20/99	



NAME OF ISSUER	STATE CODE	BK ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
FIRST CHESAPEAKE FINANCIAL CORP	VA		X			X					09/20/99	
FIRSTAR CORP /NEW/	WI				X	X					09/21/99	
FREMONT FUNDING INC	DE					X					09/15/99	
FRIEDMANS INC	DE				X	X					09/15/99	
GE CAPITAL MORTGAGE SERVICES INC	NJ				X	X					09/20/99	
GEON CO	DE		X			X					07/07/99	AMEND
GISH BIOMEDICAL INC	CA				X						09/16/99	
GLENAYRE TECHNOLOGIES INC	DE				X	X					09/15/99	
GREATER BAY BANCORP	CA				X	X					09/15/99	
GREEN TREE FINANCIAL CORP	DE				X						08/26/99	
GREENPOINT CREDIT CORP	DE				X						08/31/99	
GREENPOINT CREDIT CORP	DE				X						08/31/99	
GREENPOINT CREDIT CORP	DE				X						08/31/99	
GREENPOINT CREDIT CORP	DE				X						08/31/99	
GST TELECOMMUNICATIONS INC	DE				X	X					09/16/99	
GST USA INC	DE				X	X					09/16/99	
HEADLANDS HOME EQUITY LOAN TR 1998- 2 REV HOME EQ LN AS BK NO	DE				X	X					09/15/99	
HELLER FINANCIAL COMMERCIAL MORT AS SET CORP SERIES 1999 PH 2					X	X					09/15/99	
HENRY JACK & ASSOCIATES INC	DE		X								09/08/99	
HERITAGE COMMERCE CORP	CA		X								09/17/99	
HERITAGE COMMERCE CORP	CA		X								09/17/99	
HOLMES MICROSYSTEMS INC	TX		X								06/30/99	AMEND
HOVNANIAN ENTERPRISES INC	DE					X					09/21/99	
HRPT PROPERTIES TRUST	MD				X	X					09/21/99	
HUDSON UNITED BANCORP	NJ				X	X					09/20/99	
HVIDE MARINE INC	FL				X						09/08/99	
I STORM INC	NV				X						03/31/99	
ILEX ONCOLOGY INC	DE		X		X	X					07/16/99	AMEND
ILMI CORP	NV		X								08/31/99	
INTERNET STOCK MARKET RESOURCES INC	DE				X	X					09/07/99	
IXC COMMUNICATIONS INC	DE				X						09/19/99	
JEFFERSON PILOT CORP	NC				X						09/20/99	
KEY CONSUMER ACCEPTANCE CORP	DE				X	X					09/15/99	
KEY CONSUMER ACCEPTANCE CORP	DE				X	X					09/15/99	
KEY CONSUMER ACCEPTANCE CORP	DE				X	X					09/15/99	
KOPIN CORP	DE				X	X					09/16/99	
LANDAMERICA FINANCIAL GROUP INC	VA				X	X					09/15/99	
LEVEL 3 COMMUNICATIONS INC	DE				X	X					09/14/99	
LOCKHEED MARTIN CORP	MD				X						09/18/99	
MANGOSOFT INC	NV		X	X	X	X					09/03/99	
MARRIOTT INTERNATIONAL INC /MD/	DE				X	X					09/20/99	
MARRIOTT RESIDENCE INN II LIMITED P ARTNERSHIP	DE			X							09/15/99	
MARRIOTT RESIDENCE INN LIMITED PART NERSHIP	DE			X							09/15/99	
MAS ACQUISITION VIII CORP	IN		X								09/16/99	
MEDICAL ACTION INDUSTRIES INC	DE					X					03/22/99	AMEND
MEDICAL ADVISORY SYSTEMS INC	DE			X		X					09/13/99	
MEDICAL MANAGER CORP/NEW/	DE					X					07/27/99	AMEND
MELLON RESIDENTIAL FUNDING CORP	DE				X	X					09/21/99	
MERGE TECHNOLOGIES INC	WI		X			X					09/03/99	
MERGE TECHNOLOGIES INC	WI					X					09/03/99	AMEND
MERIDIAN HOLDINGS INC	CO				X	X					05/25/99	
MERRILL LYNCH & CO INC	DE				X	X					09/20/99	
METROCALL INC	DE				X	X					09/14/99	
MICHAEL ANTHONY JEWELERS INC	DE				X	X					09/16/99	
MYSOFTWARE CO	DE		X								09/14/99	
NETWOLVES CORP	NY					X					07/07/99	AMEND
NEWHALL LAND & FARMING CO /CA/	CA				X	X					09/16/99	

NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
NICHOLS RESEARCH CORP /AL/	DE				X	X					09/19/99	
NN BALL & ROLLER INC	DE					X					07/06/99	AMEND
NORWEST ASSET SECURITIES CORP	DE				X	X					09/09/99	AMEND
OLD KENT FINANCIAL CORP /MI/	MI	X			X						08/31/99	
ORBIT FR INC	DE				X						09/18/99	
ORLEANS HOMEBUILDERS INC	DE			X		X					09/13/99	
PACIFIC RESEARCH & ENGINEERING CORP	CA	X				X					09/07/99	
PAINWEBBER MORT ACCE CORP IV FREMO	DE				X	X					08/25/99	
NT HOME LN OWN TR 1999-1												
PAINWEBBER MORT ACCE CORP IV FREMO	DE				X	X					08/25/99	
NT HOME LN OWN TR 1999-2												
PAINWEBBER MORTGAGE ACCEPTANCE COR	DE				X	X					09/20/99	
PORATION IV												
PARAGON AUTO RECEIVABLES CORP	DE				X	X					09/15/99	
PARK PLACE ENTERTAINMENT CORP	DE				X						08/31/99	
PEOPLES BANCORP INC	OH	X									09/13/99	
PER SE TECHNOLOGIES INC	DE				X	X					09/20/99	
PLANTRONICS INC /CA/	DE				X						08/31/99	
POLAND COMMUNICATIONS INC	NY				X	X					09/05/99	
PPG INDUSTRIES INC	PA					X					08/18/99	
PROFESSIONAL DENTAL TECHNOLOGIES IN	NV				X	X					09/21/99	
C												
PROLOGIC MANAGEMENT SYSTEMS INC	AZ				X	X					09/15/99	
PROTEIN POLYMER TECHNOLOGIES INC	DE				X	X					09/20/99	
RAILAMERICA INC /DE	DE	X				X					09/03/99	
RECKSON SERVICES INDUSTRIES INC	DE					X					07/29/99	AMEND
RELIANT ENERGY INC	TX				X	X					09/15/99	
RESIDENTIAL ASSET FUNDING CORP	NC				X	X					08/25/99	
RESIDENTIAL FUNDING MORTGAGE SECURI	DE				X	X					09/21/99	
TIES II INC												
SEAGRAM CO LTD	CA				X	X					09/20/99	
SECURITY CAPITAL GROUP INC/	MD	X									09/10/99	
SPX ENTERTAINMENT INC	DE				X	X					09/17/99	
SHOPKO STORES INC	WI					X					07/06/99	AMEND
SILVERTHORNE PRODUCTION CO	CO	X									08/20/99	
SMARTALK TELESERVICES INC	CA				X	X					09/16/99	
SPAR GROUP INC	DE	X				X					07/08/99	AMEND
STARMET CORP	MA				X	X					09/14/99	
SUMMIT DESIGN INC	DE				X	X					09/16/99	
SUN HYDRAULICS CORP	FL				X	X					09/20/99	
SUPERIOR BANK FSB	IL				X	X					09/17/99	
SYSTEM SOFTWARE ASSOCIATES INC	DE				X	X					08/17/99	
SYSTEM SOFTWARE ASSOCIATES INC	DE				X	X					09/14/99	
TECHNICAL COMMUNICATIONS CORP	MA				X	X					09/16/99	
TELSCAPE INTERNATIONAL INC	TX				X	X					09/20/99	
THISTLE GROUP HOLDINGS CO					X	X					09/13/99	
TIERS ASSET BACKED SECURITIES SER C	DE					X					09/15/99	
HAMT TR 1997-7												
U S WEST INC /DE/	DE					X					09/20/99	
UNITED FINANCIAL MORTGAGE CORP	IL	X									09/17/99	
UNITED GROCERS INC /OR/	OR				X						09/20/99	
UNIVERSAL BANK NA	DE	X									08/31/99	
UNIVERSAL CORP /VA/	VA				X	X					09/20/99	
VENTAS INC	DE				X	X					09/13/99	
VOLKSWAGEN CREDIT AUTO RECEIVABLES	DE				X	X					09/15/99	
CORP												
WENDYS INTERNATIONAL INC	OH				X						09/21/99	
WEYERHAEUSER CO	WA				X						09/15/99	
WHITE MOUNTAINS INSURANCE GROUP INC	DE				X	X					08/05/99	
YONKERS FINANCIAL CORP	DE				X	X					09/17/99	