

# SEC NEWS DIGEST

Issue 2001-217

November 9, 2001

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## COMMISSION ANNOUNCEMENTS

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### PROPOSED AMENDMENTS TO RULE 17a-8 ON MERGERS OF AFFILIATED INVESTMENT COMPANIES

On November 8, the Commission issued proposed amendments to Rule 17a-8 under the Investment Company Act of 1940. Rule 17a-8 allows affiliated investment companies (funds) to merge without obtaining a specific exemptive order from the Commission. The proposed amendments are designed to permit fund mergers that are consistent with the protection of fund investors, but without the expense and delay of obtaining individual exemptive orders.

**Expansion of the Rule's Scope.** Rule 17a-8 currently permits affiliated funds to merge only if they are affiliated by reason of having common advisers, officers, or directors. If adopted, the amendments would permit all affiliated funds to merge without first obtaining an exemptive order. This change would accommodate growing numbers of mergers that currently do not fit within Rule 17a-8, and that therefore need to proceed under what have become routine Commission orders.

**Board Findings.** Consistent with the current rule, the amended rule would, if adopted, rely heavily on the scrutiny of fund directors, including independent directors, to determine whether the merger is in the best interests of the fund and its shareholders. The proposed amendments would specify several factors that the directors must consider, if relevant, in approving the merger. The factors include consideration of fund expenses, allocation of merger costs, compatibility of assets, and effects on investors' taxes.

**Mergers with Bank Trust Funds.** If adopted, the rule amendments would, for the first time, permit funds to merge with affiliated bank common or collective trust funds without seeking an exemptive order.

**Shareholder Voting.** If adopted, the proposed amendments would, as a condition to the exemption, require: (1) shareholders of any fund that would not survive the merger to vote on the merger, and (2) subject to certain exceptions, large shareholders of a fund holding a vote on the merger who are advisers, underwriters, or large shareholders of other funds participating in the merger to vote their shares in proportion to the securities

voted by other shareholders. This condition is designed to prevent affiliated persons from influencing the terms of the merger to the detriment of smaller shareholders.

The Commission requests comments on the proposed amendments, including relevant data on costs and benefits of the amendments or any alternatives to the amendments. Comments on the proposed amendments to Rule 17a-8 must be submitted to the Commission by January 18, 2002. (Press Rel. 2001-134; Rel. IC-25259; File No. S7-21-01)

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## **ENFORCEMENT PROCEEDINGS**

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### **PERMANENT INJUNCTIONS ORDERED IN ELDER FRAUD LITIGATION**

The Commission obtained final judgments of permanent injunction against defendants Gary Landon Davenport, Russell Dane Reeves, Richard Earl Russell and Gregory Monroe Roberts, ending civil litigation in which the Commission charged the four with fleecing elderly investors of some \$2.5 million. The injunctions bar the defendants from committing future violations of the antifraud and broker-dealer registration provisions of the federal securities laws. Because the defendants were sentenced to prison and ordered to pay restitution of \$2.6 million in related criminal proceedings, the Commission accepted consents by the defendants to the orders of permanent injunction and dismissed claims for disgorgement, prejudgment interest and penalties.

The Commission's complaint, filed August 30, 1999, charged that the four defendants defrauded approximately 100 elderly investors. Under the guise of providing estate and financial planning services, the defendants persuaded investors to liquidate legitimate, safe investments, to purchase promissory notes promising higher rates of return. According to the Commission's complaint, however, the issuers of the notes had no real business or did not exist and the defendants misappropriated most of the elderly investors' funds. [SEC v. Davenport, et al., Case No. 7:99-CV-185, USDC, NDTX, Wichita Falls Division] (LR-17226)

### **CORRECTION**

An inaccurate release number appeared in the November 8<sup>th</sup> issue of the Digest for an administrative proceeding in the matter of Richard M. Eisenmenger. The correct release number is 34-45044.

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## **HOLDING COMPANY ACT RELEASES**

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## **FIRSTENERGY CORP., GPU, INC., ET AL.**

A supplemental order has been issued clarifying the transactions over which the Commission is reserving jurisdiction in connection with the merger of GPU, Inc. with and into FirstEnergy Corp., an Ohio holding company claiming exemption from registration under Section 3(a)(1) of the Act by Rule 2. (Rel. 35-27463)

## **CONECTIV, ET AL.**

A supplemental order has been issued authorizing Conectiv, a registered holding company, and six of its nonutility subsidiaries that derive substantially all of their revenues from energy-related services, ATS Operating Services Inc., Atlantic Generation Inc., Atlantic Jersey Thermal Systems Inc., Conectiv Energy Supply Inc., Conectiv Operating Services Company, and Conectiv Thermal Systems Inc., to engage in certain energy-related activities outside the United States, specifically the brokering and marketing of electricity, natural gas and other energy commodities (Energy Marketing); energy management services; and engineering, consulting and other technical support services with respect to energy-related businesses (Consulting Services). The order authorizes current and future subsidiaries that derive substantially all of their revenues from energy-related services to engage in Energy Marketing in Canada and to engage in energy management services and Consulting Services anywhere outside the United States. The Commission reserves jurisdiction over the provision of other energy-related services outside the United States and Canada pending completion of the record. (Rel. 35-27464)

## **KEYSPAN CORPORATION, ET AL.**

A supplemental order has been issued authorizing a proposal by KeySpan Corporation (KeySpan), a registered holding company, and KeySpan's nonutility subsidiaries, Northeast Gas Markets LLC (NEGM), Alberta Northeast Gas Limited (ANE), and Boundary Gas, Inc. (BGI). NEGM proposes to extend its interim exemption to provide contract administrative services to ANE and BGI through May 8, 2002. (Rel. 35-27465)

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## **SELF-REGULATORY ORGANIZATIONS**

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### **APPROVAL OF PROPOSED RULE CHANGE**

The Commission approved a proposed rule change filed by the New York Stock Exchange (SR-NYSE-01-14) amending NYSE Rule 13 on XPress Quote Parameters. (Rel. 34-45023)

## PROPOSED RULE CHANGES

The American Stock Exchange filed a proposed rule change (SR-Amex-2001-94) to increase the maximum order size eligible for automatic execution on Auto-Ex to 250 contracts. Publication of the proposal is expected in the Federal Register during the week of November 12. (Rel. 34-45045)

The Philadelphia Stock Exchange filed a proposed rule change (SR-Phlx-2001-89) and Amendment No. 1 thereto relating to an increase in the maximum guaranteed size for Auto-X eligible orders in options on the Nasdaq-100 Index Tracking Stock (QQQ) from 100 contracts to 250 contracts. Publication of the proposal is expected in the Federal Register during the week of November 12. (Rel. 34-45046)

## ACCELERATED APPROVAL OF PROPOSED RULE CHANGE

The proposed rule change (SR-NASD-2001-77) filed by the National Association of Securities Dealers to amend its rules to permit SuperSOES to trade through the quotations of UTP exchanges that do not participate in SuperSOES is approved, as amended, under Section 19(b)(2) of the Securities Exchange Act of 1934. Publication of the notice is expected in the Federal Register during the week of November 12. (Rel. 34-45047)

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## SECURITIES ACT REGISTRATIONS

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

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

S-8      AMCOR LIMITED, SOUTH GATE SOUTH MELBOURNE, VICTORIA 3205 AUSTRALIA,  
C3      - 10,000,000 (\$33,700,000) FOREIGN COMMON STOCK. (FILE 333-14060 -  
OCT. 31) (BR. 6)

F-6      DSM N V /ADR, 48 WALL ST, C/O BANK OF NEW YORK, NEW YORK, NY 10286  
(212) 495-1727 - 100,000,000 (\$5,000,000)  
DEPOSITARY RECEIPTS FOR COMMON STOCK. (FILE 333-14062 - NOV. 01) (BR.  
99)

S-4 MGE ENERGY INC, 133 SOUTH BLAIR STREET, P.O. BOX 1231, MADISON, WI  
53701  
(608) 252-7000 - 17,500,000 (\$427,350,000) COMMON STOCK. (FILE 333-  
72694 -  
NOV. 02) (NEW ISSUE)

S-8 NORTHERN BORDER PARTNERS LP, 1400 SMITH ST, C/O ENRON BLDG, HOUSTON,  
TX  
77002 (713) 853-6161 - 160,000 (\$6,214,400) COMMON STOCK. (FILE 333-  
72696  
- NOV. 02) (BR. 2)

S-8 WHIRLPOOL CORP /DE/, WHIRLPOOL CNTR 2000 M 63, C/O CORPORATE  
SECRETARY,  
BENTON HARBOR, MI 49022 (616) 923-5000 - 200,000 (\$11,820,000)  
COMMON STOCK. (FILE 333-72698 - NOV. 02) (BR. 2)

S-8 ADVANCED MAGNETICS INC, 61 MOONEY ST, CAMBRIDGE, MA 02138 (617) 354-  
3929  
- 200,000 (\$685,000) COMMON STOCK. (FILE 333-72700 - NOV. 02) (BR. 1)

S-8 DP CHARTERS INC/CA, 24843 DEL PRADO SUITE 318, 949-248-8933, DANA  
POINT,  
CA 92629 (949) 248-9561 - 10,000,000 (\$1,000,000) COMMON STOCK. (FILE  
333-72702 - NOV. 02) (BR. 9)

S-8 UNITED FINANCIAL MORTGAGE CORP, 600 ENTERPRISE DR, STE 206, OAK  
BROOK,  
IL 60523 (630) 571-7222 - 500,000 (\$1,000,000) COMMON STOCK. (FILE  
333-72706 - NOV. 02) (BR. 7)

S-3 BOND SECURITIZATION LLC, 1 BANK ONE PLAZA, CHICAGO, IL 60670  
(312) 782-0600 - 1,000,000 (\$1,000,000) EQUIPMENT TRUST CERTIFICATES.  
(FILE 333-72708 - NOV. 02) (BR. 8)

S-3 BANCORPSOUTH INC, ONE MISSISSIPPI PL, TUPELO, MS 38804 (662) 680-  
2000 -  
500,000,000 (\$500,000,000) PREFERRED STOCK. (FILE 333-72712 - NOV. 02)  
(BR. 7)

S-8 UNICO INC, 24 LAKESIDE AVENUE, 333 LUDLOW STREET, POMPTON LAKES, FL  
07442 (973) 839-7200 - 590,000 (\$159,000) COMMON STOCK. (FILE 333-  
72716 -  
NOV. 02) (BR. 2)

S-8 WHIRLWIND MARKETING INC, 455 PENNSYLVANIA AVE, STE 200, FORT  
WASHINGTON,  
PA 79034 (215) 591-0850 - 2,044,171 (\$1,281,067) COMMON STOCK. (FILE  
333-72718 - NOV. 02) (BR. 8)

S-8 COVISTA COMMUNICATIONS INC, 150 CLOVE RD, BOX 449, LITTLE FALLS, NJ  
07424 (973) 812-1100 - 750,000 (\$6,975,000) COMMON STOCK. (FILE 333-  
72720  
- NOV. 02) (BR. 7)

S-3 PHILADELPHIA CONSOLIDATED HOLDING CORP, ONE BALA PLAZA, SUITE 100,  
WYNNEWOOD, PA 19004 (610) 642-8400 - 4,600,000 (\$176,410,000) COMMON  
STOCK.  
(FILE 333-72722 - NOV. 02) (BR. 1)

S-8 PRIVATE BUSINESS INC, 214 OVERLOOK COURT, SUITE 120, BRENTWOOD, TN  
37027  
- 993,196 (\$1,688,434.17) COMMON STOCK. (FILE 333-72724 - NOV. 02)  
(BR. 8)

S-8 MUELLER INDUSTRIES INC, SUITE 150, 8285 TOURNAMENT DRIVE, MEMPHIS,  
TN  
38125 ((90) 1)7-53-3 - 3,980,000 (\$115,818,000) COMMON STOCK. (FILE  
333-72726 - NOV. 02) (BR. 6)

S-1 SELECT MEDICAL CORP, 4716 OLD GETTYSBURG RD, MECHANICSBURG, PA 17055  
72728 -  
NOV. 02) (BR. 1)

S-3 SONICWALL INC, 1160 BORDEAUX DRIVE, SUNNYVALE, CA 94089 (408) 745-  
9600  
- 236,500 (\$3,294,445) COMMON STOCK. (FILE 333-72730 - NOV. 02) (BR.  
8)

S-8 PLUG POWER INC, 968 ALBANY-SHAKER ROAD, LATHAM, NY 12110 (518) 782-  
7700  
- 3,637,439 (\$28,626,644.93) COMMON STOCK. (FILE 333-72734 - NOV. 02)  
(BR. 5)

S-4 CENDANT CORP, 9 WEST 57TH STREET, NEW YORK, NY 10019 (212) 413-1800  
-  
850,000,000 (\$850,000,000) EQUIPMENT TRUST CERTIFICATES. (FILE 333-  
72736 -  
NOV. 02) (BR. 8)

S-8 JCC HOLDING CO, ONE CANAL PLACE, 365 CANAL ST SUITE 900, NEW  
ORLEANS, LA  
70130 (504) 533-6000 - 1,248,550 (\$2,157,860) COMMON STOCK. (FILE  
333-72738 - NOV. 02) (BR. 5)

S-3 DORAL FINANCIAL CORP, 1159 FRANKLIN D ROOSEVELT AVENUE, SAN JUAN, PR  
00920 (787) 749-7100 - 3,000,000 (\$300,000,000)  
CONVERTIBLE DEBENTURES AND NOTES. (FILE 333-72740 - NOV. 02) (BR. 7)

S-3 NASTECH PHARMACEUTICAL CO INC, 45 DAVIDS DR, HAUPPAUGE, NY 11788  
-  
(631) 273-0101 - 1,268,000 (\$11,792,080) COMMON STOCK. (FILE 333-72742  
NOV. 02) (BR. 1)

S-3 HOMESTORE COM INC, 30700 RUISSELL RANCH RD, ESTLAKE VILLAGE, CA  
91362  
-  
(805) 557-2300 - 4,804,560 (\$24,166,937) COMMON STOCK. (FILE 333-72746

NOV. 02) (BR. 8)

S-3 ADVANCED ENERGY INDUSTRIES INC, 1625 SHARP POINT DR, FT COLLINS, CO  
80525 (970) 221-4670 - 125,000,000 (\$125,000,000)  
CONVERTIBLE DEBENTURES AND NOTES. (FILE 333-72748 - NOV. 02) (BR. 5)

S-1 OMEGA HEALTHCARE INVESTORS INC, 900 VICTORS WAY, STE 350, ANN ARBOR,  
MI  
48108 (734) 887-0200 - \$27,240,000 COMMON STOCK. (FILE 333-72750 -  
NOV. 02) (BR. 8)

S-8 RESOURCE BANCSHARES MORTGAGE GROUP INC, 7909 PARKLANE ROAD SUITE  
150,  
COLUMBIA, SC 29223 (803) 741-3000 - 30,768 (\$124,995) COMMON STOCK.  
(FILE  
333-72752 - NOV. 02) (BR. 7)

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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		
ABN AMRO MORTGAGE CORP SERIES 2001- 1A	DE		X						X		10/25/01	
ACTIVE LINK COMMUNICATIONS INC	CO					X	X				11/09/01	
ADAPTIVE BROADBAND CORP	DE		X				X				11/02/01	
AEI INCOME & GROWTH FUND 23 LLC	DE		X				X				11/02/01	
AEI REAL ESTATE FUND 85-A LTD PARTN ERSHIP	MN		X				X				10/25/01	
AGL RESOURCES INC	GA					X					11/07/01	
ALLIED WASTE INDUSTRIES INC	DE					X					11/07/01	
ALMOST COUNTRY PRODUCTIONS INC	NV	X					X	X			10/12/01	
AMANDA CO INC	UT					X					11/05/01	

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NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT	
		1	2	3	4	5	6	7	8	9			
AMERICAN CRYSTAL SUGAR CO /MN/	MN										X	11/08/01	
AMERICAN ECOLOGY CORP	DE				X		X					11/07/01	
AMERICAN SPECTRUM REALTY INC	MD	X										10/19/01	
AMERICAN WATER WORKS CO INC	DE				X		X					11/06/01	
AMERICAN WATER WORKS CO INC	DE				X		X					11/07/01	
AMORTIZING RESI COLLATERAL TR MORT PAS THRU CER SER 2001-BC1	DE	X										10/25/01	
AMORTIZING RESIDENTIAL COL TR MOR P AS THR CER SER 2001-BC2	DE	X										10/25/01	
ANDERSEN GROUP INC	DE		X									11/08/01	
AON CORP	DE				X		X					11/07/01	
AQUASEARCH INC	CO			X		X						11/02/01	
ASHTON TECHNOLOGY GROUP INC	DE					X						11/08/01	
ASSET BACKED CERTIFICATES SERIES 20 01-2	DE	X										10/25/01	
AUXER GROUP INC	DE		X					X				05/16/01	AMEND
BANC ONE FINANCIAL SERVICES HOME EQ UITY LOAN TRUST 1999-1	NY	X										10/25/01	
BARR LABORATORIES INC	NY		X					X				10/24/01	
BB&T CORP	NC					X						11/08/01	
BEAR STEARNS ARM TRUST MORTGAGE PAS S THROUGH CERT SER 2000 2	DE	X										10/25/01	
BEAR STEARNS ARM TRUST MORTGAGE PAS S THROUGH CERT SER 2000-1	NY	X										10/25/01	
BEAR STEARNS ARM TRUST MORTGAGE PAS S THROUGH CERT SER 2001-2	NY	X										10/25/01	
BEAR STEARNS ARM TRUST MORTGAGE PAS S THROUGH CERT SER 2001-5	NY	X										10/25/01	
BEAR STEARNS ARM TRUST MORTGAGE PAS S THROUGH CERT SER 2001-6	DE	X										10/25/01	
BEAR STEARNS ARM TRUST MORTGAGE PAS S-THRO CERT SERIES 2001-3	NY	X										10/25/01	
BEAR STEARNS ARM TRUST MORTGAGE PAS S-THRO CERT SERIES 2001-4	NY	X										10/25/01	
BEAR STEARNS ARM TRUST MORTGAGE PAS S-THROUGH CERT SER 2001-1	NY	X										10/25/01	
BEAR STEARNS AS BCK SEC TR 2001-AC1 AS-BCK CER SER 2001-AC1	DE	X										10/25/01	
BEAR STEARNS ASSET BACKED SEC INC I RWIN HOME EQ LO TR 2001-2	DE	X										10/25/01	
BEAR STEARNS ASSET BACKED SECURITIE S TRUST 2001-2	NY	X										10/25/01	
BECTON DICKINSON & CO	NJ					X		X				11/07/01	
BERKLEY W R CORP	DE							X				02/06/01	
BERT LOGIC INC	WA		X									11/06/01	
BEST BUY CO INC	MN					X		X				10/31/01	
BLUE DOLPHIN ENERGY CO	DE					X						11/08/01	
BROWN TOM INC /DE	DE							X		X		11/08/01	
BRYAN COLLEGE STATION FINANCIAL HOL DING CO	DE					X		X				11/06/01	
BTI TELECOM CORP	NC					X		X				10/26/01	



NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
BUILDERS TRANSPORT INC	DE					X	X				10/25/01	
BYL BANCORP	CA		X				X				10/31/01	
CAMBEX CORP	MA					X	X				11/07/01	
CAP ROCK ENERGY CORP							X	X			10/23/01	
CARAUSTAR INDUSTRIES INC	NC								X		11/07/01	
CARNIVAL CORP	DE								X		11/06/01	
CARRIER1 INTERNATIONAL-S A	N4					X	X				11/06/01	
CAVALRY BANCORP INC	TN	X									11/07/01	
CEI SYSTEMS INC	DE			X			X				11/08/01	
CENTER TRUST INC	MD					X	X				11/07/01	
CENTRAL UTILITIES PRODUCTION CORP	NV	X	X			X	X	X			06/27/01	AMEND
CHASE FUNDING INC	NY					X	X				10/25/01	
CHASE MORTGAGE FINANCE CORP	DE					X	X				10/25/01	
CHASE MORTGAGE FINANCE CORP	DE		X				X				10/29/01	
CHESAPEAKE ENERGY CORP	OK					X	X				11/06/01	
CITICORP MORTGAGE SECURITIES INC	DE		X								11/08/01	
CITICORP MORTGAGE SECURITIES INC	DE		X								11/08/01	
CLAIMSNET COM INC	DE								X		11/07/01	
CLASSIC BANCSHARES INC	DE					X	X				10/31/01	
CLAYTON HOMES INC	DE					X	X				11/08/01	
COACHMEN INDUSTRIES INC	IN					X	X				11/07/01	
COLLEGE BOUND STUDENT ALLIANCE INC	NV					X	X				10/02/01	AMEND
COMMERCIAL MORTGAGE PASS THR CERT S ER 2001-CKN5	DE					X	X				11/08/01	
COMMERCIAL MORTGAGE PASS THROUGH CE RT SERIES 2001-IQ	DE		X				X				10/24/01	
CONCEPTUS INC	DE					X					11/05/01	
CONDOR SYSTEMS INC				X			X				11/08/01	
COOL CAN TECHNOLOGIES INC/CA	MN					X	X				10/24/01	
CROSSWORLDS SOFTWARE INC						X	X				10/29/01	
CWABS INC MORTGAGE PASS THROUGH TRU ST 2001-J1	NY	X									10/25/01	
CYBER GROUP NETWORK CORP						X	X				10/05/01	
CYBERIAN OUTPOST INC	DE					X	X				11/08/01	
CYGNUS INC /DE/	DE					X	X				11/01/01	
DELTA FUNDING CORP HOME EQUITY LOAN ASSET BK CERT SER 2001-2	NY	X									10/25/01	
DIAL THRU INTERNATIONAL CORP	DE					X	X				11/02/01	
DONNELLEY R R & SONS CO	DE					X	X				11/07/01	
DRUGMAX COM INC	NV					X	X				11/07/01	
DTOMI INC	NV		X			X	X				10/24/01	
DVI RECEIVABLES CORP VIII	DE					X	X				11/08/01	
E TRADE BANK ARM TRUST MORTGAGE PAS S THR CERT SER 2001-1	DE	X									10/25/01	
EL PASO ENERGY PARTNERS LP	DE		X				X				08/30/00	AMEND
EMERGISOFT HOLDING INC	NV	X									10/25/01	
ENEFTECH CORP	TX	X	X			X	X	X			12/31/01	
ENRON CORP/OR/	OR					X	X				11/08/01	
ENZON INC	DE					X					11/08/01	
EQUITY INNS INC	TN					X	X				09/30/01	
EQUITY ONE ABS INC	DE					X	X				11/06/01	

NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
EQUITY ONE ABS INC	DE					X	X				11/07/01	
ESSENTIAL THERAPEUTICS INC	CA		X			X	X				10/24/01	
EUNIVERSE INC	NV		X				X				10/23/01	
EUPA INTERNATIONAL CORP /NV/	NV	X				X	X				10/23/01	
EXPRESSO EXPRESS INC	TX	X	X			X	X	X			12/31/01	AMEND
FAIRPOINT COMMUNICATIONS INC	DE					X	X				11/07/01	
FINANCIAL ASSET SEC CORP ASSET BACK ED CERTS SERIES 2001 FF1	NY	X									10/25/01	
FIRST BANKS AMERICA INC	DE		X				X				10/31/01	
FIRST DATA CORP	DE						X				11/07/01	
FIRST ECOM COM INC	NV						X				07/19/01	
FIRSTENERGY CORP	OH		X				X				11/07/01	
FLAG TELECOM HOLDINGS LTD						X	X				11/06/01	
FLEETWOOD ENTERPRISES INC/DE/	DE					X	X				10/30/01	
FOREST OIL CORP	NY					X	X				11/06/01	
FOREST OIL CORP	NY					X	X				11/07/01	
FOREST OIL CORP	NY						X	X			11/07/01	
FRANKLIN LAKE RESOURCES INC /NV	Al					X					10/29/01	
FUNDTECH LTD							X	X			11/07/01	
GAP INC	DE					X	X				11/07/01	
GENEREX BIOTECHNOLOGY CORP	DE					X					11/07/01	
GENESCO INC	TN							X			11/08/01	
GENOME THERAPEUTICS CORP	MA					X					11/08/01	
GMACM MORTGAGE LOAN TRUST MORT PASS THR CERT SER 2001-GH1	NY	X									10/25/01	
GMACM MORTGAGE LOAN TRUST MORT PASS THR CERT SERIES 2001-J1	NY	X									10/25/01	
GREATER COMMUNITY BANCORP	NJ					X					10/16/01	
GREENPOINT MORTGAGE SECURITIES INC/	DE					X	X				11/06/01	
HAGGAR CORP	NV					X	X	X			11/07/01	
HALLIBURTON CO	DE					X	X				10/30/01	
HANOVER COMPRESSOR CO /	DE					X					11/07/01	
HANOVER DIRECT INC	DE					X	X				11/08/01	
HEALTH RISK MANAGEMENT INC /MN/	MN					X	X				10/24/01	
HEALTHCOMP EVALUATION SERVICES CORP	NV					X					11/07/01	
HELPMATE ROBOTICS INC	CT					X					10/23/01	
HFC REVOLVING CORP	DE					X	X				11/07/01	
HI TECH PHARMACAL CO INC	NY					X					11/07/01	
HIGH PLAINS CORP	KS					X					11/01/01	
HIGH PLAINS CORP	KS					X					11/05/01	
HIGHLANDS INSURANCE GROUP INC	DE					X					11/07/01	
HORTON D R INC /DE/	DE					X	X				11/08/01	
HOT PRODUCTS INC COM	AZ		X								11/02/01	
HOUSEHOLD AUTO RECEIVABLES CORP	NV		X				X				10/18/01	
HURRY INC	GA		X			X	X				10/31/01	
HYATON ORGANICS INC						X					07/11/01	
HYBRID NETWORKS INC	DE					X					11/07/01	
HYBRID NETWORKS INC	DE					X					11/08/01	
I CRYSTAL INC	DE					X					10/19/01	AMEND
I T TECHNOLOGY INC	DE		X			X	X				11/08/01	
IBS INTERACTIVE INC	DE					X					11/02/01	

NAME OF ISSUER	STATE	8K ITEM NO.									DATE	COMMENT
	CODE	1	2	3	4	5	6	7	8	9		
ICOS CORP / DE	DE								X		11/07/01	
IEMI	NV								X		10/29/01	AMEND
IKON OFFICE SOLUTIONS INC	OH									X	11/07/01	
ILLINOIS SUPERCONDUCTOR CORPORATION	DE				X	X					11/06/01	
IMAGEMAX INC	PA							X	X		11/07/01	
IMAGIS TECHNOLOGIES INC	AL							X	X		10/31/01	
IMPAC SECURED ASSETS CORP MORT PASS THR CERT SER 2001-2	CA	X									10/25/01	
INNOVO GROUP INC	TN		X					X			09/10/01	AMEND
INTERMAGNETICS GENERAL CORP	NY		X					X			10/24/01	
INTERNET COMMERCE & COMMUNICATIONS INC	DE		X								10/30/01	
INTUIT INC	DE					X					11/08/01	
INVESTORS CAPITAL HOLDINGS LTD	MA				X			X			11/08/01	AMEND
IRWIN HOME EQUITY LN TR HM EQ LN-BK TERM NT SER 2001-1	NY	X									10/25/01	
IXL ENTERPRISES INC	DE					X	X				10/26/01	AMEND
KINDER MORGAN ENERGY PARTNERS L P	DE					X					11/09/01	
KINDER MORGAN INC	KS					X					11/09/01	
KINDER MORGAN MANAGEMENT LLC	DE					X					11/09/01	
LIDLAW GLOBAL CORP	DE					X					08/10/01	
LCC INTERNATIONAL INC	DE					X	X				11/05/01	
LEHMAN ABS CORP	DE					X	X				11/08/01	
LEXMARK INTERNATIONAL INC /KY/	DE								X		11/08/01	
LIBERTY FINANCIAL COMPANIES INC /MA /	MA		X					X			10/31/01	
LINCOLN NATIONAL CORP	IN								X		09/30/01	
LUCENT TECHNOLOGIES INC	DE								X		11/07/01	
LUCENT TECHNOLOGIES INC	DE								X		11/07/01	
MACK CALI REALTY CORP	MD							X	X		11/08/01	
MADISON RIVER CAPITAL LLC	DE					X	X				11/01/01	
MAGNA ENTERTAINMENT CORP	DE					X	X				10/26/01	
MARIMBA INC	DE					X					11/08/01	
MASTER ASSET SECURITIZATION TRUST 2 001 1	DE	X									10/25/01	
MASTR ADJUSTABLE RATE MORTGAGES TRU ST 2001-1	DE	X									10/25/01	
MBNA CORP	MD					X					11/08/01	
MCK COMMUNICATIONS INC	DE					X	X				11/06/01	
MEDIUM4 COM INC	DE	X				X	X				10/30/01	
MEDTOX SCIENTIFIC INC	DE		X					X			11/08/01	
MELLON RESIDENTIAL FUNDING CORP MOR PAS THR CER SER 01 HEIL1	NY	X									10/25/01	
MERRILL LYNCH MORT INV INC MOR PAS THR CERT SER 2001-S1	NY	X									10/25/01	
MERRILL LYNCH MORT INV INC MORT PAS THR CER CDMC SER 2001-A1	NY	X									10/25/01	
MICHAEL FOODS INC /MN	MN							X	X		11/08/01	
MID AMERICA BANCORP/KY/	KY					X	X				11/08/01	
MITY ENTERPRISES INC	UT							X	X		11/07/01	
MKS INSTRUMENTS INC	MA					X	X				10/30/01	

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		1	2	3	4	5	6	7	8	9		
MONTEREY BAY BANCORP INC	DE					X	X				11/07/01	
MONY GROUP INC	DE					X	X		X		11/08/01	
MOOG INC	NY					X	X				11/07/01	
MORGAN STANLEY CAPITAL I INC HOME E Q LN AS BK CER SER 1999-2	NY	X									10/25/01	
MORGAN STANLEY DEAN WITTER CAPITAL I INC	DE					X	X				11/07/01	
MORTGAGE PASS THROUGH CERTIFICATES SERIES 2001-1	DE					X	X				11/01/01	
MORTGAGE PASS- THROUGH CERTIFICATES SERIES 2001-9	DE					X	X				11/01/01	
MORTGAGE PASS-THROUGH CERTIFICATES SERIES 2001-8	DE	X									10/25/01	
MULTI COLOR CORP	OH		X					X			10/25/01	
MULTINET INTERNATIONAL CORP INC	NV	X				X	X				10/01/01	AMEND
NATIONAL FUEL GAS CO	NJ					X					11/07/01	
NATIONAL SERVICE INDUSTRIES INC	DE					X	X				11/08/01	
NAUTICA ENTERPRISES INC	DE					X	X				11/02/01	
NCT GROUP INC	DE					X					10/25/01	
NETVOICE TECHNOLOGIES CORP	NV		X								10/17/01	
NEW PLAN EXCEL REALTY TRUST INC	MD						X		X		11/08/01	
NEWPORT NEWS SHIPBUILDING INC	DE					X	X				11/07/01	
NORTH AMERICAN GAMING & ENTERTAINME NT CORP	DE		X					X			11/07/01	
NOVASTAR MORTGAGE FUNDING TRUST SER IES 2001-1	DE	X									10/25/01	
NTL INC/DE/	DE					X	X				11/07/01	
OCWEN FINANCIAL CORP	FL					X	X				11/08/01	
OPEN TEXT CORP						X					10/31/01	
OPTION ONE MORT ACCEP CORP ASSET BA CKED CERT SER 2001-1	DE	X									10/25/01	
OPTION ONE MORT LN TRUST ASSET BACK CERTS SER 2001-3	DE	X									10/25/01	
OXFORD HEALTH PLANS INC	DE					X	X				11/06/01	
PACIFIC GULF PROPERTIES INC	MD					X	X				11/08/01	
PASS THROUGH CERTIFICATES SERIES 2 001-MS10	DE					X	X				11/01/01	
PENWEST PHARMACEUTICALS CO	WA					X	X				11/01/01	
PET QUARTERS INC	AR					X					10/31/01	
PETREX CORP	NV	X	X					X			11/02/01	
PETROQUEST ENERGY INC	DE					X					11/08/01	
PHARMACOPEIA INC	DE							X			11/08/01	AMEND
PHOENIX RESTAURANT GROUP INC	GA			X				X			10/31/01	
PLAINS RESOURCES INC	DE								X		11/08/01	
PMA CAPITAL CORP	PA					X	X		X		11/07/01	
PMA CAPITAL CORP	PA							X	X		11/07/01	
PMI GROUP INC	DE								X		11/06/01	
PNC MORTGAGE SEC CORP MORT PASS THR CERT SER 2001-2	DE					X	X				11/01/01	
POLLUTION RESEARCH & CONTROL CORP / CA/	CA	X	X			X	X	X			11/08/01	AMEND

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		1	2	3	4	5	6	7	8	9		
POOLED AUTO SECURITIES SHELF LLC	DE					X		X			10/22/01	
POWERBRIEF INC/TX/	TX		X	X				X			11/01/01	
PRICE LEGACY CORP	MD							X			09/18/01	AMEND
PRIMEDIA INC	DE		X					X			08/24/01	AMEND
PRINCETON REVIEW INC	DE							X			10/01/01	AMEND
PSB BANCORP INC	PA					X		X			10/23/01	AMEND
QUALITY STORES INC	DE		X		X		X				11/01/01	
RADIAN GROUP INC	DE					X		X			11/07/01	
RADIO ONE INC	DE					X					11/06/01	
RCN CORP /DE/	DE							X	X		11/07/01	
RECKSON ASSOCIATES REALTY CORP	MD							X	X		11/07/01	
RECKSON OPERATING PARTNERSHIP LP	DE							X	X		11/07/01	
RENAISSANCE WORLDWIDE INC	MA					X		X			11/06/01	
RESOLUTION PERFORMANCE PRODUCTS LLC	DE					X		X			09/30/01	
RESOLUTION PERFORMANCE PRODUCTS LLC	DE					X		X			09/30/01	
RESTORATION HARDWARE INC	CA					X		X			11/06/01	
RESTORATION HARDWARE INC	CA					X		X			11/08/01	
REUNION INDUSTRIES INC	DE					X		X			11/01/01	
RHYTHMS NET CONNECTIONS INC	DE					X		X			10/24/01	
ROBERDS INC	OH					X		X			10/20/01	
RPP CAPITAL CORP	DE					X		X			09/30/01	
RPP CAPITAL CORP	DE					X		X			09/30/01	
RUSSELL-STANLEY HOLDINGS INC	DE					X		X			11/07/01	
SALTON INC	DE					X		X			11/08/01	
SBA COMMUNICATIONS CORP	FL					X		X			11/06/01	
SCIENT INC	NY		X			X		X			11/07/01	
SECURITY CAPITAL GROUP INC/	MD							X	X		11/07/01	
SENIOR HOUSING PROPERTIES TRUST	MD					X		X			11/05/01	
SHIMODA RESOURCES HOLDINGS INC	NV				X			X			10/31/01	AMEND
SHURGARD STORAGE CENTERS INC	WA					X					11/08/01	
SIMMONS CO /GA/	DE							X	X		11/08/01	
SL INDUSTRIES INC	NJ					X		X			11/05/01	
SONIC JET PERFORMANCE	CO							X			11/06/01	
SONOMAWEST HOLDINGS INC	CA					X		X			10/31/01	
SPECIALIZED HEALTH PRODUCTS INTERNA TIONAL INC	DE							X			11/07/01	
STERLING FINANCIAL CORP /PA/	PA							X	X		11/07/01	
STILWELL FINANCIAL INC	DE					X		X			11/06/01	
STORAGE USA INC	TN					X		X			11/05/01	
STRAYER EDUCATION INC	MD					X		X			11/08/01	
STRUCTURED ASSET MORT INV MORT PASS THR CERT SER 2001-4	NY		X								10/25/01	
STRUCTURED ASSET MORT INV MORT PASS THR CERT SER 2001-4	NY		X								10/25/01	
STRUCTURED ASSET MORTGAGE INVESTMEN TS INC	DE		X								10/25/01	
STRUCTURED ASSET SEC CORP MOR PASS THR CERT SER 2001-9	DE		X								10/25/01	
STRUCTURED ASSET SEC CORP MORT PASS THR CERT SER 2001-2	NY		X								10/25/01	

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	CODE	1	2	3	4	5	6	7	8	9			
STRUCTURED ASSET SEC CORP MORT PASS THR CERT SER 2001-5	DE	X										09/25/01	
STRUCTURED ASSET SECURITIES CORP MO R PAS THR CER SR 2001-BC4	DE	X										10/25/01	
STRUCTURED ASSET SECURITIES CORP MO R PAS THR CERT SER 2001-6	DE	X										10/25/01	
STRUCTURED ASSET SECURITIES CORP MO RT PAS THR CE SE 2001-BC3	DE	X										10/25/01	
STRUCTURED ASSET SECURITIES CORP MO RT PASS THR CERT SER 01 1	DE	X										10/25/01	
STRUCTURES ASSET MORTGAGE INV INC M OR PAS-THR CER SER 2001-3	NY	X										10/25/01	
SUN HYDRAULICS CORP	FL				X		X					11/07/01	
SUPERIOR ENERGY SERVICES INC	DE				X		X					11/06/01	
SUSA PARTNERSHIP LP	TN				X		X					11/05/01	
SYNAVANT INC	DE				X		X					11/08/01	
SYSTEMAX INC	DE						X		X			11/07/01	
TEAM FINANCIAL INC /KS	KS						X					09/18/01	AMEND
TELEMUNDO HOLDING INC	DE				X		X					11/08/01	
TELEX COMMUNICATIONS INC	DE				X		X					11/07/01	
TEPPCO PARTNERS LP	DE		X				X					09/30/01	AMEND
TIME WARNER TELECOM INC	DE						X		X			11/07/01	
TMP WORLDWIDE INC	DE				X		X					11/05/01	
UBUYHOLDINGS INC	NV	X	X		X	X	X					05/01/01	AMEND
UNION PLANTERS MORTGAGE LOAN TRUST SERIES 2001-UP1	DE	X										10/25/01	
UNION PLANTERS MORTGAGE LOAN TRUST SERIES 2001-UP2	DE	X										10/25/01	
UNITED AIR LINES INC	DE						X					08/22/01	
UNITED AUTO GROUP INC	DE						X		X			11/07/01	
UNIVERSAL EXPRESS INC/ UNIVERSAL SERVICES & ACQUISITIONS I NC	NV				X							10/30/01	AMEND
UNIVERSAL SERVICES & ACQUISITIONS I NC	CO	X					X					11/01/01	
US MEDICAL GROUP INC	NV				X							10/23/01	
USA EDUCATION INC	DE				X		X					10/31/01	
USX CORP	DE				X		X					11/07/01	
UTILICORP UNITED INC	DE				X		X					11/07/01	
VANDERBILT ABS CORP	DE				X		X					11/08/01	
VANDERBILT MORTGAGE & FINANCE INC	TN				X		X					11/08/01	
VAXGEN INC	DE				X		X					10/03/01	
VERTEL CORP	CA						X		X			11/07/01	
VESTA INSURANCE GROUP INC	DE				X		X					11/06/01	
VIALINK CO	DE				X		X					11/07/01	
VPN COMMUNICATIONS CORP	NV		X				X					11/06/01	
VSOURCE INC	DE						X					06/22/01	AMEND
WAMU MOR PASS THRU CERT SER 2001-AR 1	DE				X		X					11/01/01	
WAMU MORTGAGE PASS THROUGH CERT SER IES 2001-S8	DE				X		X					11/01/01	
WAMU MORTGAGE PASS THROUGH CERT SER IES 2001-5	DE				X		X					11/01/01	

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WASHINGTON MUTUAL MOR SEC CORP MOR PAS THR SER 2001-6	DE						X	X				11/01/01	
WASHINGTON MUTUAL MOR SEC CORP MOR PASS THRU CERT SER 2001-3	DE						X	X				11/01/01	
WASHINGTON MUTUAL MOR SEC CORP MOR PASS THRU CERT SER 2001-4	DE						X	X				11/01/01	
WASHINGTON MUTUAL MOR SEC CORP MOR PASS THRU CERT SER 2001-8	DE						X	X				11/01/01	
WASHINGTON MUTUAL MORTGAGE SEC CORP MOR PAS THRU CERT 2001-7	DE						X	X				11/01/01	
WASHINGTON MUTUAL MORTGAGE SECURITI ES CORP	DE						X	X				11/08/01	
WAVERIDER COMMUNICATIONS INC	NV							X				11/05/01	
WELLS FARGO ASSET MORTGAGE BACK SEC URITIES 2001-19 TRUST	DE	X										10/25/01	
WELLS FARGO ASSET MORTGAGE BACKED S ECURITIES 2001-20 TRUST	DE	X										10/25/01	
WELLS FARGO ASSET SEC CORP MOR PASS THR CERT SER 2001-13	DE	X										10/25/01	
WELLS FARGO ASSET SEC CORP MOR PASS THR CERT SER 2001-18	DE	X										10/25/01	
WELLS FARGO ASSET SEC CORP MOR PASS THR CERT SER 2001-25	NY	X										10/25/01	
WELLS FARGO ASSET SEC CORP MOR PASS THR CERT SER 2001-4	NY	X										10/25/01	
WELLS FARGO ASSET SEC CORP MOR PASS THR CERT SER 2001-5	NY	X										10/25/01	
WELLS FARGO ASSET SEC CORP MOR PASS THR CERT SER 2001-6	DE	X										10/25/01	
WELLS FARGO ASSET SEC CORP MOR PASS THR CERT SER 2001-7	DE	X										10/25/01	
WELLS FARGO ASSET SEC CORP MOR PS T HR CER SER 2001-10	NY	X										10/25/01	
WELLS FARGO ASSET SEC CORP MORT PAS S THR CERT SER 2001-11	DE	X										10/25/01	
WELLS FARGO ASSET SEC CORP MORT PAS S THR CERT SER 2001-12	DE	X										10/25/01	
WELLS FARGO ASSET SEC CORP MORT PAS S THR CERT SER 2001-21	NY	X										10/25/01	
WELLS FARGO ASSET SEC CORP MORT PAS S THR CERT SER 2001-9	NY	X										10/25/01	
WELLS FARGO ASSET SECURITES CORP MO R BK SEC 2001-16 TRUST	DE	X										10/25/01	
WELLS FARGO ASSET SECURITIES CORP M OR PAS THR CER SE 2001-01	NY	X										10/25/01	
WELLS FARGO ASSET SECURITIES CORP M OR PAS THR CER SE 2001-02	NY	X										10/25/01	
WELLS FARGO ASSET SECURITIES CORP M OR PAS THR CER SE 2001-03	NY	X										10/25/01	
WELLS FARGO ASSET SECURITIES CORP M OR PAS THR CER SE 2001-17	DE	X										10/25/01	

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WELLS FARGO ASSET SECURITIES CORP M ORT PA TH CER SE 2001-14	DE	X										10/25/01	
WELLS FARGO MORTGAGE BACKED SECURIT IES 2001 22 TRUST	NY	X										10/25/01	
WELLS FARGO MORTGAGE BACKED SECURIT IES 2001 23 TRUST	NY	X										10/25/01	
WELLS FARGO MORTGAGE BACKED SECURIT IES 2001-15	DE	X										10/25/01	
WESTERN WIRELESS CORP	WA					X		X				11/07/01	
WESTPORT RESOURCES CORP /NV/	NV					X		X				11/07/01	
WHITE MOUNTAINS INSURANCE GROUP LTD	DE		X					X				06/01/01	
WIZBANG TECHNOLOGIES INC			X									11/06/01	
WMAU MORTGAGE PASS THROUGH CERTIFIC ATES SERIES 2001-S9	DE					X		X				11/01/01	
WORLD INTERNETWORKS INC	NV					X		X				07/05/01	AMEND
YONKERS FINANCIAL CORP	DE					X		X				11/02/01	
YOUNG INNOVATIONS INC	MO					X		X				11/02/01	
YOUTICKET COM INC	NV								X			09/30/01	