

SEC NEWS DIGEST

Issue 2001-163

August 22, 2001

RULES AND RELATED MATTERS

COMMISSION ISSUES EXEMPTIVE ORDER TO PERMIT PRINCIPAL-TO-PRINCIPAL TRADING IN SECURITY FUTURES PRODUCTS

On August 21, the Commission issued an order to permit limited trading in security futures products to begin.

The Commodity Futures Modernization Act of 2000, which became law on December 21, 2000, lifted the ban on single stock and narrow-based stock index futures. The legislation, however, does not permit retail customers to trade these new products until December 21, 2001. Certain transactions between "eligible contract participants" may begin as early as August 21, 2001, if certain other conditions are met. Specifically, principal-to-principal trading between eligible contract participants may begin on August 21, if the National Futures Association (NFA) has adopted rules to meet the requirements for a Limited Purpose National Securities Association.

Today the NFA filed rules with the Commission to satisfy most of these requirements. The Commodity Futures Trading Commission approved these rules on August 20, 2001, and they are effective when filed with the Commission today. The NFA also continues to work with the Commission, other securities self-regulatory organizations, and its members to develop additional rules to fulfill its obligations as a Limited Purpose National Securities Association.

The order issued by the Commission today allows the limited trading otherwise permitted as of August 21, 2001 to commence with only those NFA rules in place that became effective today.

The order will be available on the Commission's website at www.sec.gov. (Rel. 34-44729; Press Rel. 2001-86)

COMMISSION ADOPTS RULES RELATING TO THE REGISTRATION OF BROKER-DEALERS PURSUANT TO SECTION 15(b)(11) OF THE SECURITIES EXCHANGE ACT OF 1934

On August 21, the Commission adopted new rules and amended existing rules to implement provisions in the Commodity Futures Modernization Act of 2000 (CFMA). The Commission adopted new Rules 15a-10 and 15b11-1 under the Securities Exchange Act of 1934 (Exchange Act), new Form BD-N, amendments to Rule 15b2-2 under the Exchange Act. These rules and amendments establish the notice registration procedures for futures commission merchants and introducing brokers that are interested in registering with the Commission as broker-dealers for the limited purpose of trading security futures products. In addition, the Commission amended Regulation S-P so that it is consistent with the Commodity Exchange Act, as amended by the CFMA. FOR FURTHER INFORMATION CONTACT: Christina K. McGlosson, Office of the Chief Counsel, Division of Market Regulation, at (202) 942-0073. (Rel. 34-44730)

COMMISSION ISSUES TEMPORARY EXEMPTION FROM BROKER-DEALER REGISTRATION FOR CERTAIN FUTURES COMMISSION MERCHANTS AND INTRODUCING BROKERS

On August 21, the Commission issued an order pursuant to Section 15(a)(2) of the Securities Exchange Act of 1934 (Exchange Act) to allow futures commission merchants and introducing broker that are registered with the Commodity Futures Trading Commission (CFTC) to participate in the limited trading in security futures products that is permitted to begin on August 21, 2001. The order provides futures commission merchants with temporary exemption from broker-dealer registration with respect to transactions in security futures products that lasts until October 21, 2001. After the exemption expires, futures commission merchants and introducing brokers will be required to file Form BD-N, which the Commission adopted today, in order to trade security futures products. FOR FURTHER INFORMATION CONTACT: Christina K. McGlosson, Office of the Chief Counsel, Division of Market Regulation, at (202) 942-0073. (Rel. 34-44731)

ENFORCEMENT PROCEEDINGS

SEC CHARGES VINCENT NAPOLITANO AND ROBERT BREED WITH INSIDER TRADING

The Commission today filed complaints in the United States District Court for the Southern District of New York against Vincent Napolitano (Napolitano) of New York, New York and Robert Breed (Breed) of Bonita Springs, Florida. The complaint against Napolitano alleges the following: Napolitano received tips containing material, nonpublic information concerning the securities of eight companies from Jeffrey Streich, who had received them from Marisa Baridis, a former compliance employee at two Wall Street investment firms, who had access to confidential information concerning the firms'

clients. Napolitano purchased securities while in possession of material, nonpublic information that he knew was obtained in breach of a fiduciary duty that Baridis owed her employer. Napolitano also established joint accounts with Streich in which they traded upon inside information and split the profits. Further, Napolitano recommended certain of the securities to several other persons. Napolitano and his tippees collectively traded in the eight securities and realized total profits of approximately \$400,000. In a related criminal case, Napolitano was convicted of state charges in New York Supreme Court relating to his insider trading.

The Commission's complaint against Breed alleges the following: Breed received tips containing material, nonpublic information concerning the securities of eight companies from Jeffrey Streich, who had received them from Marisa Baridis, a former compliance employee at two Wall Street investment firms, who had access to confidential information concerning the firms' clients. Breed purchased securities while in possession of material, nonpublic information that he knew was obtained in breach of a fiduciary duty that Baridis owed her employer. Further, Breed tipped, or directed the trading of, his friends and family in certain of the securities. Breed and his family and friends collectively traded in the seven securities and realized total profits of approximately \$200,000. In a related criminal case, Breed pled guilty to state charges in New York Supreme Court relating to his insider trading.

The complaint against Napolitano seeks a permanent injunction against violating Sections 10(b) and 14(e) of the Securities Exchange Act of 1934 (Exchange Act) and Rules 10b-5 and 14e-3 thereunder. The complaint further seeks disgorgement of illegal profits, pre-judgment interest, and civil monetary penalties. The complaint against Breed seeks a permanent injunction against violating Sections 7(c), 10(b) and 14(e) of the Exchange Act, and Regulation T and Rules 10b-5 and 14e-3 thereunder. The complaint further seeks disgorgement of illegal profits, pre-judgment interest, and civil monetary penalties.

For information about related matters, see Lit. Rel. No. 15741 (May 15, 1998); Lit. Rel. No. 15990 (Dec. 3, 1998); Securities Exchange Act Rel. No. 40787 (Dec. 14, 1998); Securities Exchange Act Rel. No. 40788 (Dec. 14, 1998); Lit. Rel. No. 16090 (Mar. 18, 1999); Securities Exchange Act Rel. No. 41182 (Mar. 18, 1999); Securities Exchange Act Rel. No. 41220 (Mar. 29, 1999); Lit. Rel. No. 16227 (Aug. 2, 1999); Lit. Rel. No. 16326 (Oct. 4, 1999); Lit. Rel. No. 16458 (Feb. 29, 2000); Lit. Rel. No. 16746 (Oct. 3, 2000); and Lit. Rel. No. 16853 (January 3, 2001). [SEC v. Vincent Napolitano, 01 Civ. 7798, SDNY; SEC v. Robert Breed, 01 Civ. 7799, SDNY] (LR-17107)

SELF-REGULATORY ORGANIZATIONS

IMMEDIATE EFFECTIVENESS OF PROPOSED RULE CHANGES

A proposed rule change filed by the New York Stock Exchange relating to exchange fees (SR-NYSE-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 August 20. (Rel. 34-44721)

A proposed rule change filed by the Philadelphia Stock Exchange to extend the hours during which certain orders may be executed on PACE (SR-PHLX-2001-66) 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 August 20. (Rel. 34-44726)

WITHDRAWAL GRANTED

An order has been issued granting the application for withdrawal from listing and registration (Lowe's Companies, Inc., Common Stock, par value \$.50) on the Pacific Exchange. (Rel. 34-44728)

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>.

S-8 IRIDEX CORP, 1212 TERRA BELLA AVE, MOUNTAIN VIEW, CA 95043
(650) 940-4700 - 330,000 (\$1,198,800) COMMON STOCK. (FILE 333-67480 -
AUG. 14) (BR. 5)

S-8 HOLLYWOOD ENTERTAINMENT CORP, 9275 SW PEYTON LANE, WILSONVILLE, OR
97070
(503) 570-1600 - 9,000,000 (\$89,718,300) COMMON STOCK. (FILE 333-67482
-
AUG. 14) (BR. 5)

S-8 STATE FINANCIAL SERVICES CORP, 10708 W JANESVILLE RD, HALES CORNERS,
WI
53130 (414) 425-1600 - 23,030 (\$299,390) COMMON STOCK. (FILE 333-67486
-
AUG. 14) (BR. 7)

S-8 STATE FINANCIAL SERVICES CORP, 10708 W JANESVILLE RD, HALES CORNERS,
WI
53130 (414) 425-1600 - 325,000 (\$4,225,000) COMMON STOCK. (FILE 333-
67488
- AUG. 14) (BR. 7)

S-4 BALLY TOTAL FITNESS HOLDING CORP, 8700 WEST BRYN MAWR AVENUE,
C/O BALLY TOTAL FITNESS, CHICAGO, IL 60631 (773) 399-7656 - 6,000,000
(\$154,440,000) COMMON STOCK. (FILE 333-67500 - AUG. 14) (BR. 5)

S-3 VULCAN MATERIALS CO, 1200 URBAN CENTER DRIVE, BIRMINGHAM, AL 35242
(205) 298-3000 - 900,000,000 (\$900,000,000) STRAIGHT BONDS. (FILE
333-67586 - AUG. 15) (BR. 4)

S-8 MAGNUM HUNTER RESOURCES INC, 600 E LAS COLINAS BLVD, STE 1200,
IVRVING,
TX 75039 (972) 401-0752 - 1,592,500 (\$12,740,000) COMMON STOCK. (FILE
333-67636 - AUG. 16) (BR. 4)

RECENT 8K FILINGS

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

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

The following companies have filed 8-K reports for the date indicated and/or amendments to 8-K reports previously filed, responding to the item(s) of the form specified. 8-K reports may be obtained in person or by writing to the Commission's Public Reference Branch at 450 Fifth Street, N.W., Washington, D.C. 20549 or at the following e-mail box address: <publicinfo@sec.gov>. In most cases, this information is also available on the Commission's website: <www.sec.gov>.

NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
ACADIA REALTY TRUST	MD								X	X	08/21/01	
ADVANTA BUSINESS RECIEVABLES CORP										X	08/20/01	
AFFILIATED MANAGERS GROUP INC	DE				X	X					07/25/01	
AFFILIATED MANAGERS GROUP INC	DE				X	X					07/31/01	
AGWAY INC	DE				X	X					06/30/01	
ALCOA INC	PA				X	X					08/19/01	
ALLEN TEST DR III	VA				X						12/31/99	
ALLIED RESEARCH CORP	DE				X						08/01/01	
ALLOY STEEL INTERNATIONAL INC					X	X					08/21/01	

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NAME OF ISSUER	STATE	8K ITEM NO.									DATE	COMMENT
	CODE	1	2	3	4	5	6	7	8	9		
ALLTRISTA CORP	IN				X	X					07/19/01	
AMEDISYS INC	DE				X	X					08/21/01	
AMERICAN AIRLINES INC	DE				X						08/21/01	
AMERICAN HEALTHWAYS INC	DE					X					06/01/01	AMEND
AMERICAN HEALTHWAYS INC	DE					X					06/05/01	AMEND
AMR CORP	DE				X						08/20/01	
AREA BANCSHARES CORP	KY				X	X					08/17/01	
ARKANSAS BEST CORP /DE/	DE				X						08/13/01	
ARTIFICIAL LIFE INC	DE				X	X					08/21/01	
ASSOCIATES CREDIT CARD MASTER NOTE TRUST					X						07/31/01	
ASSOCIATES CREDIT CARD RECEIVABLES CORP	DE				X						07/31/01	
AT HOME CORP	DE			X		X					08/15/01	
ATC HEALTHCARE INC /DE/	DE				X	X					08/20/01	
AVERT INC	CO	X				X					08/17/01	
AVERY COMMUNICATIONS INC	DE				X	X					08/03/01	
AVIGEN INC \DE	DE				X	X					08/13/01	
BANC ONE AUTO GRANTOR TRUST 1997-B	NY				X	X					08/20/01	
BANC ONE HELOC TRUST 1998-1	OH				X	X					05/21/01	
BANC ONE HELOC 1099-1	OH				X	X					05/21/01	
BANK OF AMERICA MOR SEC INC MOR PAS S THR CER SER 2001-C	DE				X	X					06/27/01	
BANK OF AMERICA MOR SEC INC MOR PAS S THROUGH CERT SER 2001-6	DE					Y	X				05/24/01	
BANK OF AMERICA MORTGAGE SECURITIES INC	DE				X	X					08/20/01	
BANK OF AMERICA MORTGAGE SECURITIES INC	DE				X	X					08/21/01	
BANK OF NEW ENGLAND CORP	MA										07/31/01	NO ITEMS
BANK ONE AUTO GRANTOR TRUST 1997-A					X	X					08/20/01	
BE AEROSPACE INC	DE		X			X					08/10/01	
BEAR STEARNS COMMERCIAL MORTGAGE SECURITIES INC	DE	X									08/01/01	
BEAR STEARNS COMMERCIAL MORTGAGE SECURITIES INC	DE	X									08/01/01	
BIOTECH HOLDRS TRUST					X	X					06/30/01	
BOBBY ALLISON WIRELESS CORP	FL		X			X					08/06/01	
BREAKTHROUGH TECHNOLOGY PARTNERS I INC	DE			X							08/20/01	
BRM HOLDINGS INC	DE				X	X					08/06/01	
BROADBAND HOLDRS TRUST						X					06/30/01	
BROOKS AUTOMATION INC	DE					Y	X				08/20/01	
B2B INTERNET HOLDRSSM TRUST	NY				X	X					06/30/01	
C COR NET CORP	PA		X			X					08/04/01	
CANTERBURY CONSULTING GROUP INC	PA	X									08/20/01	
CAPITOL REVOLVING HOME EQUITY LOAN TRUST 1996-1	MD				X						08/20/01	
CAPITOL REVOLVING HOME EQUITY LOAN TRUST 1997-1	MD				X						08/20/01	
CARDIOGENESIS CORP /CA	CA				X	X					06/15/01	
CAREADVANTAGE INC	DE				X	X					08/16/01	

NAME OF ISSUER	STATE	BK ITEM NO.									DATE	COMMENT
	CODE	1	2	3	4	5	6	7	8	9		
CARPENTER TECHNOLOGY CORP	DE	X									08/13/01	
CARREKER CORP	DE							X			06/06/01	AMEND
CATEGORY 5 TECHNOLOGIES INC			X					X			05/29/01	AMEND
CATEGORY 5 TECHNOLOGIES INC					X						08/07/01	AMEND
CBES BANCORP INC	DE					X	X				08/13/01	
CELSION CORP	MD					X					08/20/01	
CENTURYTEL INC	LA					X	X				08/17/01	
CHAMPION ENTERPRISES INC	MI							X			08/21/01	
CHATEAU COMMUNITIES INC	MD	X						X			08/03/01	
CITADEL HOLDING CORP	DE					X	X				08/17/01	
CLASSIC BANCSHARES INC	DE					X	X				08/02/01	
CMC SECURITIES CORP II	DE					X	X				05/25/01	
CONRAD INDUSTRIES INC	DE					X	X				08/20/01	
CONSOLIDATED GRAPHICS INC /TX/	TX					X	X				08/17/01	
CONUS HOLDINGS INC	NV	X						X			08/17/01	
COOPER INDUSTRIES INC	OH							X	X		08/20/01	
COPLEY PENSION PROPERTIES VI	MA	X						X			08/08/01	
COVANTA ENERGY CORP	DE					X	X				08/15/01	
CP LTD PARTNERSHIP	MD	X						X			08/03/01	
CPS AUTO RECEIVABLES TRUST 1998-4	CA							X			03/31/01	
CPS AUTO RECEIVABLES TRUST 1998-4	CA							X			07/31/01	
CREDIT SUISSE FIRST BOSTON MG SE CO R MG PA TH CE SE 2001-HE8	DE					X	X				04/25/01	
CRESTLINE CAPITAL CORP	MD					X	X				08/09/01	
CROWN MEDIA HOLDINGS INC	DE					X					08/20/01	
DATA CRITICAL CORP	DE	X						X			06/07/01	AMEND
DAW TECHNOLOGIES INC /UT	UT				X	X		X			08/15/01	
DELTA FUNDING CORP HOME EQUITY LOAN ASSET BK CERT SER 2001-1	NY	X									08/17/01	
DERBY CYCLE CORP	DE		X					X			08/20/01	
DIAMOND OFFSHORE DRILLING INC	DE							X	X		08/20/01	
DONNELLY CORP	MI					X	X				08/20/01	
DRKOOP COM INC	DE	X				X	X				08/20/01	
DTM CORP /TX/	TX	X				X					08/20/01	
E-MEDSOFT COM	NV		X					X			08/21/01	
ECOM CORP	NV				X						03/20/00	AMEND
ENCOMPASS SERVICES CORP	TX							X			08/21/01	
ENGAGE INC	DE					X	X				08/07/01	
ENTERASYS NETWORKS INC /DE/	DE	X				X	X				08/06/01	
ENVIRONMENTAL POWER CORP	DE					X	X				08/20/01	
ENZON INC	DE					X					08/21/01	
EQUALNET COMMUNICATIONS CORP	TX					X	X				08/17/01	
EQUITEX INC	DE	X						X			08/06/01	
EQUITY ONE ABS INC	DE							X			08/21/01	
EUROPE 2001 HOLDRS TRUST	NY							X			06/30/01	
EUROPEAN MICRO HOLDINGS INC	NV					X	X				08/21/01	
EXCO RESOURCES INC	TX							X			08/03/01	AMEND
FACTORY CARD OUTLET CORP	DE					X	X				08/21/01	
FAIRFIELD INN BY MARRIOTT LTD PARTN ERSHIP	DE	X									08/16/01	
FASHIONMALL COM INC	DE					X					08/21/01	

NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
FINANCIAL ASSET SE CP SOUNDVIEW HM EQ LN AS BK CER SE 2001-1	DE	X									08/17/01	
FIRST HORIZON PHARMACEUTICAL CORP	DE							X		X	08/21/01	
FIRST UNION COMM MORT TRUST COMM MO R PAS THR CER SER 1999-C4	NY	X									08/17/01	
FIRST UNION COMMERCIAL MORTGAGE PAS S THR CER SER 2001-C2	NC	X									08/27/01	
FIRST UNION COMMERCIAL MORTGAGE SEC URITIES INC	NC	X									08/01/01	
FRANKLIN RECEIVABLES LLC	DE				X	X					07/31/01	
FUTURELINK CORP	DE				X	X					08/20/01	
FVNB CORP	TX				X	X					08/17/01	
G&L REALTY CORP	MD				X	X					08/17/01	
GENERAL MOTORS ACCEPTANCE CORP	DE		X								08/17/01	
GENERAL MOTORS CORP	DE				X						08/21/01	
GENESIS CAPITAL CORP OF NEVADA	NV				X	X					08/20/01	AMEND
GMAC COMMERCIAL MORT SEC INC MORT P AS THR CER SER 2001-C1	NY	X									08/17/01	
GMAC COMMERCIAL MORTGAGE SECURITIES INC	DE	X									08/01/01	
GMAC COMMERCIAL MORTGAGE SECURITIES INC	DE	X									08/01/01	
GOLDSTATE CORP	NV					X					08/21/01	
GREENWICH CAPITAL, ACCEPTANCE INC MO RT PAS THR CT S 2000 FTB1	DE				X	X					08/20/01	
HA LO INDUSTRIES INC	IL				X	X					08/20/01	
HAIN CELESTIAL GROUP INC	DE				X	X					08/20/01	
HARDINGE INC	NY				X	X					08/16/01	
HARLEY DAVIDSON CUSTOMER FUNDING CO RP	NV				X	X					08/13/01	
HECLA MINING CO/DE/	DE				X	X					08/20/01	
HICKORY TECH CORP	MN		X								08/06/01	
HNC SOFTWARE INC/DE	DE				X	X					08/20/01	
HOUSEHOLD CONSUMER LOAN TRUST 1996- 1	DE	X									08/14/01	
HOUSEHOLD CONSUMER LOAN TRUST 1996- 2	DE	X									08/14/01	
HOUSEHOLD CONSUMER LOAN TRUST 1997- 1	DE	X									08/14/01	
HOUSEHOLD CONSUMER LOAN TRUST 1997- 2	DE	X									08/14/01	
HOUSEHOLD FINANCE CORP HOUSEHOLD CO NSUMER LN TRUST 1995-1 /	DE	X									08/13/01	
I LINK INC	FL		X			X					06/04/01	AMEND
ICO INC	TX				X	X					08/17/01	
IFR SYSTEMS INC	DE				X	X					08/09/01	
IGEN INTERNATIONAL INC /DE	DE				X						08/15/01	
IMPERIAL SUGAR CO /NEW/	TX				X	X					08/13/01	
INSPIRE INSURANCE SOLUTIONS INC	TX				X	X					08/14/01	
INTERNET ARCHITECTURE HOLDRSSM TRUS T	NY				X	X					06/30/01	
INTERNET HOLDRS TRUST	NY				X	X					06/30/01	

NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
INTERNET INFRASTRUCTURE HOLDRSSM TR UST	NY									X	06/30/01	
INTERPORE INTERNATIONAL INC /DE/ INTERTAN INC	DE									X	08/21/01	AMEND
INTERWAVE COMMUNICATIONS INTERNATIO NAL LTD	DE									X	08/13/01	
INTERWAVE COMMUNICATIONS INTERNATIO NAL LTD	DE									X	06/07/01	AMEND
KEANE INC	MA					X		X			08/20/01	
KINDRED HEALTHCARE INC	DE					X		X			08/14/01	
LB UBS COMMERCIAL MORTGAGE TRUST 20 01 C3	DE	X									08/01/01	
LEE SARA CORP	MD		X					X			08/08/01	
LEHMAN ABS CORP	DE					X		X			08/17/01	
LEHMAN BROTHERS HOLDINGS INC	DE							X			08/21/01	
LITEWAVE CORP	NV					X					08/20/01	
LTV CORP	DE					X		X			08/20/01	
LYON INVESTMENTS B V	DE			X				X			08/20/01	
MARKET 2000 PLUS HOLDRS SM TRUST	NY					X		X			06/30/01	
MAXUS REALTY TRUST INC	MO	X									08/17/01	
MAXXIS GROUP INC	GA					X		X			08/14/01	
MEASUREMENT SPECIALTIES INC	NJ	X						X			08/07/01	
MEDIA GENERAL INC	VA					X		X			08/20/01	
MEDIALINK WORLDWIDE INC	DE					X		X			08/15/01	
MELLON AUTO GRANTOR TRUST 2000-2						X		X			08/15/01	
MEMBERWORKS INC	DE					X		X			08/10/01	
METRO INFORMATION SERVICES INC	VA					X		X			08/20/01	
MINIMED INC	DE					X					08/20/01	
MISSISSIPPI CHEMICAL CORP /MS/ MMCA AUTO OWNER TRUST 1999-2	MS					X		X			08/15/01	
MMCA AUTO OWNER TRUST 2000-1	DE					X		X			08/15/01	
MMCA AUTO OWNER TRUST 2000-2	DE					X		X			08/15/01	
MMCA AUTO OWNER TRUST 2001 2	DE					X		X			08/15/01	
MMCA AUTO OWNER TRUST 2001-1	DE					X		X			08/15/01	
MORGAN JP COMMERCIAL MOR FIN CORP M OR PAS THR CE SER 2000-C9	DE	X									08/01/01	
MORGAN STANLEY DEAN WIT CAP I INC M OR PAS-THR CER SER 2001-1	NY	X									08/17/01	
MORGAN STANLEY DEAN WITTER CAP I IN C DEP FOR SER 2001-TOPI	DE	X									08/17/01	
MORGAN STANLEY DEAN WITTER CAPITAL I TRUST 2001-PPM	DE	X									08/17/01	
MORTGAGE PASS THROUGH CERTIFICATES SERIES 2001-7	DE					X		X			06/26/01	
NATIONAL CITY CREDIT CARD MASTER TR UST								X			08/15/01	
NATIONSLINK FUNDING CORP COMM MORT PASS THR CER SER 1999 SL	DE	X									08/01/01	
NETPLIANCE INC	DE					X					08/20/01	
NET4MUSIC INC	MN					X		X			08/16/01	
NORTHWEST AIRLINES CORP	DE							X			06/01/01	
NOVO NETWORKS INC	DE					X		X			07/30/01	
OIL SERVICE HOLDRS TRUST	NY							X			06/30/01	
ON ASSIGNMENT INC	DE					X		X			08/21/01	

NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
ONLINE INTERNATIONAL CORP /NV/	NV	X	X						X		08/09/01	
OREGON TRAIL FINANCIAL CORP	OR					X					08/21/01	
ORIGEN MANUFACTURED HOUS CONT SEN/S UB AS BCKD CRT SR 2001-A	DE	X									08/01/01	
PEOPLES BANK CREDIT CARD MASTER TRU ST	CT								X		07/31/01	
PHARMACEUTICAL HOLDRS TRUST						Y			X		06/30/01	
POPE RESOURCES LTD PARTNERSHIP	DE		X						X		08/07/01	
POWERCERV CORP	FL					X					08/20/01	
PPL ELECTRIC UTILITIES CORP	PA					X	X				08/16/01	
PREMIER AXIUM ASP INC	NV					X					08/21/01	
PRIMA ENERGY CORP	DE					X	X				08/14/01	
PRIME GROUP REALTY TRUST	MD					X					08/15/01	
PROXYMED INC /FT LAUDERDALE/	FL					X	X				08/17/01	
PRUDENTIAL SECURITIES SEC FIN CORP MOR PAS THR CER 2001-C1	DE	X									08/01/01	
PW EAGLE INC	MN					X	X				08/20/01	
QUADRAMED CORP	DE					X	X				08/16/01	
READERS DIGEST ASSOCIATION INC	DE					X	X				08/20/01	
REGIONAL BANK HOLDERS SM TRUST	NY					X	X				06/30/01	
RESIDENTIAL ASSET MORTGAGE PRODUCTS INC	DE								X		08/20/01	
RESIDENTIAL ASSET MORTGAGE PRODUCTS INC	DE					X	X				08/20/01	
RETAIL HOLDRS TRUST	NY								X		06/30/01	
RETRACTABLE TECHNOLOGIES INC	TX					Y					07/31/01	
REWARD ENTERPRISES INC		X	X			X	X	X			08/15/01	
RUBY MINING CO	CO					X					08/08/01	
SALOMON BROTHERS COMMERCIAL MORT TR 2000-C3	DE	X									08/01/01	
SALON MEDIA GROUP INC	DE					X	X				09/08/01	
SCOTIA PACIFIC CO LLC	DE								X		08/20/01	
SEMICONDUCTOR HOLDRS TRUST	NY							X			06/30/01	
SFBC INTERNATIONAL INC	DE		X						X		08/20/01	
SHELDAHL INC	MN					X	X				08/13/01	
SHONEYS INC	TN					X					08/20/01	
SOFTWARE HOLDRS TRUST	NY								X		06/30/01	
STRUCTURED ASSET SEC CORP COMM MORT PAS THR CERT SER 2000 C5	DE	X									08/01/01	
STRUCTURED ASSET SECURITIES CORP	DE					X	X				08/15/01	
STRUCTURED ASSET SECURITIES CORP	DE					X	X				08/15/01	
STRUCTURED PRODUCTS CORP	DE					X	X				08/17/01	
SUN BANCORP INC	PA					X	X				08/31/01	
SYCONET COM INC	DE					X					08/17/01	
TCPI INC	FL					X					08/20/01	
TECHNITROL INC	PA		X						X		08/07/01	
TELECOM HOLDRS TRUST	NY					X	X				06/30/01	
TRANSCONTINENTAL GAS PIPE LINE CORP	DE					X	X				08/20/01	
TRUSERV CORP	DE					X	X				08/20/01	
TRUSTCO BANK CORP N Y	NY					X					08/21/01	
U S A FLORAL PRODUCTS INC	DE					X					08/06/01	
UNITED DOMINION REALTY TRUST INC	VA					X					08/21/01	

NAME OF ISSUER	STATE	BK ITEM NO.									DATE	COMMENT
	CODE	1	2	3	4	5	6	7	8	9		
UNITED MANAGEMENT INC	NV	X	X	X	X	X	X	X	X	X	08/17/01	
UNIVERSAL BANK NA	DE					X					07/31/01	
US AIRWAYS GROUP INC	DE						X	X			08/20/01	
US AIRWAYS INC	DE						X	X			08/20/01	
UTILITIES HOLDERS SM TRUST	NY						X				06/30/01	
VALLEY NATIONAL BANCORP	NJ						X				03/30/01	
VALUESTAR CORP	CO					X	X				08/21/01	
VARIAN MEDICAL SYSTEMS INC	DE					X					08/20/01	
VENTRO CORP	DE							X			08/20/01	
VIALINK CO	DE					X					08/21/01	
VTEL CORP	DE					X					08/10/01	
VYSIS INC	DE	X						X			08/04/01	
WAM NET INC	MN					X					08/14/01	
WASHINGTON MUTUAL MORTGAGE SECURITI ES CORP	DE					X					08/20/01	
WELLS FARGO ASSET SECURITIES CORP	DE					X	X				08/22/01	
WESTPAC SECURITIZATION MANAGEMENT P TY LTD						X					08/21/01	
WEN CREDIT CO LLC	DE					X	X				08/21/01	
WFS RECEIVABLES CORP	NV					X	X				08/08/01	
WILLCOX & GIBBS INC /DE	DE		X								08/06/01	
WIRELESS HOLDERS TRUST	NY					X	X				06/30/01	
WORLD FINANCIAL NETWORK CREDIT CARD MASTER TRUST	NY					X	X				08/21/01	
WORLD FINANCIAL NETWORK NATIONAL BA NK	OH						X				08/15/01	
WTAA INTERNATIONAL INC /FL/	FL			X	X		X				02/22/01	AMEND
YOUTH STREAM MEDIA NETWORKS INC	DE							X			08/16/01	
ZANY BRAINY INC	PA					X	X				08/16/01	
1STOPSALE COM HOLDINGS INC	DE	X						X			08/20/01	