

SEC NEWS DIGEST

Issue 2001-228

November 28, 2001

ENFORCEMENT PROCEEDINGS

RECEIVER MAKES PARTIAL CASH DISTRIBUTION TO SHAREHOLDERS OF HEARTLAND HIGH-YIELD MUNICIPAL BOND FUNDS

The Commission announced today that the receiver previously appointed to administer Heartland Group, Inc.'s High-Yield Municipal Bond Fund, Short Duration High-Yield Municipal Fund and Taxable Short Duration Municipal Fund (collectively the Funds) made a partial cash distribution of approximately \$4 million to shareholders in the High-Yield Municipal Bond Fund, \$1.3 million to shareholders in the Short Duration High-Yield Municipal Fund, and \$1.8 million to shareholders in the Taxable Short Duration Municipal Fund. According to the receiver, the distribution was made over a two-day period on November 23 and 26, 2001 and resulted from the sale of securities held by the Funds. [SEC v. Heartland Group, Inc., Civil Action No. 01-C-1984 Northern District of Illinois] (LR-17247)

COMMISSION OBTAINS PRELIMINARY INJUNCTION AGAINST REPEAT VIOLATOR IN FRAUDULENT OIL AND GAS SCHEME

The Commission announced that on November 21, the Honorable Lourdes G. Baird, United States District Judge for the Central District of California, issued an order of preliminary injunction halting an \$1 million securities fraud by Texon Energy Corporation (Texon); Lonestar Petroleum Corporation (Lonestar); and James E. Hammonds (Hammonds), age 60 of Inglewood, California and a recidivist securities violator. The Court: (1) granted the Commission's application for a preliminary injunction and appointment of a receiver; (2) froze the assets of the defendants; (3) prohibited the destruction of documents by the defendants; and (4) ordered accountings from the defendants.

Judge Baird also extended a temporary restraining order initially issued on November 14, 2001 against the president of Texon, Barry V. Reed (Reed), age 56, of Las Vegas, Nevada. A hearing on whether a preliminary injunction should be issued against Reed is scheduled for November 30, 2001.

The Commission's complaint, filed November 13, 2001, alleges that since 1998, the defendants have raised over \$1 million from investors, purportedly for investments in oil and gas wells, and promising investors a monthly dividend equal to 12% per year. In fact, the defendants are operating a Ponzi-like scheme in which they are making payments to existing investors with the money that they raise from new investors. As part of the

defendants' sales pitch in September and October 2001, the defendants have tried to capitalize on the September 11th tragedy by telling elderly investors, that because of "the War," the demand and price of oil would increase and Texon is in a "good position" to benefit from all of this because it purchases domestic oil and gas wells. Hammonds is the vice president of Lonestar and in some documents is identified as the vice president of Texon. In 1994, Hammond was enjoined for his part in a similar oil and gas fraud in which investors were also falsely promised a 12% return. SEC v. Southern California Securities, Inc., et al., (CV-94-6156-HLH) (C.D. Cal. November 17, 1994) (LR14794). In 1996, he was barred from the securities industry. In the Matter of Raymond Charles Gross and James Eugene Hammonds, Exchange Act Release No. 36802.

The Commission obtained an order preliminarily restraining Texon, Lonestar, and Hammonds from committing securities fraud in violation of Section 17(a) of the Securities Act of 1933 (Securities Act), Section 10(b) of the Securities Exchange Act of 1934 (Exchange Act) and Rule 10b-5 thereunder. The Court's order also preliminarily restrains the defendants from committing violations of the securities registration provisions of Sections 5(a) and 5(c) of the Securities Act. In addition to the interim relief granted on November 21, 2001, the Commission seeks a final judgment against all the defendants enjoining them from future violations of the foregoing securities registration and antifraud provisions, and ordering the defendants to disgorge all ill-gotten gains, and assessing civil penalties against them [SEC v. Texon Energy Corporation, et al., Civil Action No. CV-01-09706-LGB (MANx) (C.D. Cal.)]; (LR-17231) [SEC v. Texon Energy Corporation, Lonestar Petroleum Corporation, James E Hammonds aka Jake Hammonds aka Jake Davis, and Barry V. Reed, Case No. CV-01-09706-LGB (MANx) (C.D. Cal.)] (LR-17248)

INVESTMENT COMPANY ACT RELEASES

MUTUAL OF AMERICA LIFE INSURANCE COMPANY, ET AL.

A notice has been issued giving interested persons until December 21, 2001, to request a hearing on an application filed by Mutual of America Life Insurance Company (Mutual of America), Mutual of America Separate Account No. 2 (the Annuity Account) and Mutual of America Separate Account No. 3 (the VUL Account, and together with the Annuity Account, Mutual Accounts) (collectively, Applicants). Applicants seek an order pursuant to Section 11 of the Investment Company Act approving the terms of a proposed offer of exchange of interests in the Mutual Accounts for interests issued by The American Life Insurance Company of New York. (Rel. IC-25299 – November 26)

SELF-REGULATORY ORGANIZATIONS

IMMEDIATE EFFECTIVENESS OF PROPOSED RULE CHANGE

A proposed rule change filed by the International Securities Exchange relating to changes to the Exchange's delisting criteria (SR-ISE-2001-29) 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 26. (Rel. 34-45087)

APPROVAL OF PROPOSED RULE CHANGES

The Commission approved a proposed rule change and Amendments No. 1 and 2 submitted by the International Securities Exchange (SR-ISE-00-17) relating to its arbitration program. Publication of this approval is expected in the Federal Register during the week of November 26. (Rel. 34-45094)

The Commission approved a proposed rule change (SR-NYSE-2001-28) submitted by the New York Stock Exchange to administer NYSE Rule 91.10 pursuant to the NYSE's Minor Rule Violation Plan. Publication of the order in the Federal Register is expected during the week of November 26. (Rel. 34-45096)

DELISTING GRANTED

An order has been issued granting the application of the New York Stock Exchange to strike from listing and registration the Common Stock, \$1.00 par value and 11 ½% notes (due February 15, 2006) of Polaroid Corporation, effective at the opening of business on November 26, 2001. (Rel. 34-45098)

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	8K ITEM NO.									DATE	COMMENT	
	CODE	1	2	3	4	5	6	7	8	9			
AAMES CAPITAL CORP MORT PASS THR C ERTS SER 2001 3	CA						X					10/25/01	
ABN AMRO MORTGAGE CORP	DE										X	11/01/01	
ABN AMRO MORTGAGE CORP SERIES 1998- 2	DE										X	11/01/01	
ABN AMRO MORTGAGE CORP SERIES 1998- 3	DE										X	11/01/01	
ABN AMRO MORTGAGE CORP SERIES 1998- 4	DE										X	11/01/01	
ABN AMRO MORTGAGE CORP SERIES 1998- 5	DE										X	11/01/01	
ABN AMRO MORTGAGE CORP SERIES 1999- 1	DE										X	11/01/01	
ABN AMRO MORTGAGE CORP SERIES 1999- 2	DE										X	11/01/01	
ABN AMRO MORTGAGE CORP SERIES 1999- 3	DE										X	11/01/01	
ABN AMRO MORTGAGE CORP SERIES 1999- 4	DE										X	11/01/01	
ABN AMRO MORTGAGE CORP SERIES 1999- 5	DE										X	11/01/01	
ABN AMRO MORTGAGE CORP SERIES 1999- 6	DE										X	11/01/01	
ABN AMRO MORTGAGE CORP SERIES 1999- 7	DE										X	11/01/01	
ABN AMRO MORTGAGE CORP SERIES 1999- 8	DE										X	11/01/01	
ABN AMRO MORTGAGE CORP SERIES 2000- 1	DE										X	11/01/01	
ABN AMRO MORTGAGE CORP SERIES 2000- 2	DE										X	11/01/01	
ABN AMRO MORTGAGE CORP SERIES 2000- 3	DE										X	11/01/01	
ABN AMRO MORTGAGE CORP SERIES 2000- 4	DE										X	11/01/01	
ABN AMRO MORTGAGE CORP SERIES 2001- 1A	DE										X	11/01/01	
ABN AMRO MORTGAGE CORP SERIES 2001- 2	DE										X	11/01/01	
ABN AMRO MORTGAGE CORP SERIES 2001- 3	DE										X	11/01/01	
ABN AMRO MORTGAGE CORP SERIES 2001- 5	DE										X	11/01/01	
ABN AMRO MORTGAGE CORP SERIES 2001- 6	DE										X	11/01/01	
ABN AMRO MORTGAGE CORP SERIES 2001- 7	DE										X	11/01/01	

NAME OF ISSUER	STATE	8K ITEM NO.									DATE	COMMENT
	CODE	1	2	3	4	5	6	7	8	9		
ADMIRALTY BANCORP INC	DE					X		X			11/08/01	
AGILENT TECHNOLOGIES INC	DE					X		X			11/27/01	
AIRGATE PCS INC /DE/	DE					X		X			11/27/01	
AMERICAN SAFETY RAZOR CO	DE		X								11/13/01	
AMERICAN SOUTHWEST FINANCIAL SECURI TIES CORP	AZ							X			11/01/01	
AMERICAN SPECTRUM REALTY INC	MD					X		X			11/27/01	
AMERICAN UTILICRAFT CORP					X						11/19/01	
AMERISTAR CASINOS INC	NV					X		X			11/26/01	
ANGELICA CORP /NEW/	MO							X	X		11/27/01	
ARCH WIRELESS COMMUNICATIONS INC	DE			X				X			11/09/01	
ARCH WIRELESS INC	DE			X				X			11/09/01	
ARGEN CORP	DE	X				X	X	X			11/20/01	
ARMOR HOLDINGS INC	DE					X		X			11/26/01	
ASGA INC /NV	NV							X			11/21/01	AMEND
ASGA INC /NV	NV							X			11/21/01	AMEND
ASTROPOWER INC	DE							X			09/11/01	AMEND
ASTROPOWER INC	DE							X			09/11/01	AMEND
ATG INC	CA					X		X			11/20/01	
ATRIX LABORATORIES INC	DE					X		X			11/16/01	
BANK OF AMERICA MORTGAGE SECURITIES INC	DE					X		X			11/21/01	
BANK OF AMERICA MORTGAGE SECURITIES INC	DE					X		X			11/21/01	
BEAR STEARNS ASSET BACKED SECURITIE S INC	DE							X			08/30/01	AMEND
BEAR STEARNS COMMERCIAL MORTGAGE SE C INC SERIES 2001-TOP2	NY	X									11/15/01	
BEAR STEARNS COMMERCIAL MORTGAGE SE CURITIES INC	DE							X			11/01/01	
BECTON DICKINSON & CO	NJ					X		X			11/27/01	
BIOTECH HOLDRS TRUST								X			09/30/01	
BIRNER DENTAL MANAGEMENT SERVICES I NC	CO			X				X			11/14/01	AMEND
BOYD BROS TRANSPORTATION INC	DE					X		X			11/13/01	
BRAZOS SPORTSWEAR INC /DE/	DE					X		X			10/31/01	
BROADBAND HOLDRS TRUST								X			09/30/01	
BUY COM INC	DE					X		X			11/27/01	
B2B INTERNET HOLDRSSM TRUST	NY							X			09/30/01	
CANDIES INC	DE					X					01/31/02	
CASCADE NATURAL GAS CORP	WA					X		X			11/26/01	
CELEBRITY SPORTS NETWORKS INC	CO	X									11/27/01	
CENDANT MORTGAGE CORP MORT PASS THR OUGH CERT SERIES 2001-6	DE					X		X			11/25/01	
CENTRAL PARKING CORP	TN	X									11/27/01	
CHASE MORTGAGE FINANCE CORP	DE					X		X			11/14/01	
CIT EQUIPMENT COLLATERAL 2001-1						X					11/16/01	
CITICORP MORTGAGE SECURITIES INC	DE					X					11/27/01	
CITIZENS INC	CO					X		X			11/20/01	
COMMERCIAL MORTGAGE PASS THR CERT S ER 2001-PB1	DE							X			11/01/01	

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		1	2	3	4	5	6	7	8	9		
COMMSCOPE INC	DE		X				X				11/21/01	
COMPLE TEL EUROPE NV							X		X		11/27/01	
CONESTOGA ENTERPRISES INC	PA				X	X					11/27/01	
CORPORATE BOND BACKED CERT TR SER 1 998-NSC 1	DE				X	X					11/15/01	
COVEST BANCSHARES INC	DE				X	X					11/27/01	
CREATIVE TECHNOLOGIES HOLDINGS INC	NV				X	X					09/12/01	
CREDIT SUISSE FIR BOS MOR SEC CORP MO BK PA TH CE SE 01-WM2	DE				X	X					11/21/01	
CREDIT SUISSE FIRST BOSTON MORTGAGE SECURITIES CORP	DE						X				11/11/01	
CREDIT SUISSE FIRST BOSTON MORTGAGE SECURITIES CORP	DE						X				11/27/01	
CROWN GROUP INC /TX/	TX		X				X				11/09/01	
CSFB ABS TRUST SERIES 2001 HE12	DE				X	X					11/25/01	
CSFB MORTGAGE PASS THROUGH CERTIFIC ATES SERIES 2001-HE16	DE				X	X					10/25/01	
CWMBS INC	DE				X	X					11/26/01	
CWMBS INC	DE				X	X					11/26/01	
CWMBS INC	DE				X	X					11/26/01	
DCI TELECOMMUNICATIONS INC	CO				X						11/22/01	
DEUTSCHE RECREATIONAL ASSET FUNDING CORP	NV				X	X					11/27/01	
DIANON SYSTEMS INC	DE		X				X				11/09/01	
DISPLAY TECHNOLOGIES INC	NV				X	X					10/01/01	AMEND
DYNEGY HOLDINGS INC	DE				X	X					11/09/01	
EASTERN VIRGINIA BANKSHARES INC	VA				X	X					11/27/01	
EASTMAN CHEMICAL CO	DE				X	X					11/20/01	
ECOLAB INC	DE				X	X					11/23/01	
EDGAR ONLINE INC	DE				X	X					11/26/01	
ELINE ENTERTAINMENT GROUP INC	NV				X						10/26/01	
EMERGENT INFORMATION TECHNOLOGIES I NC	CA				X	X					11/19/01	
EMTEC INC/NJ	UT				X	X					11/21/01	
ENDO PHARMACEUTICALS HOLDINGS INC	DE					X	X		X		11/27/01	
ENTRADA NETWORKS INC	DE				X	X					11/21/01	
ENZON INC	DE				X						11/12/01	
EPICEDGE INC	TX				X	X					11/09/01	
EPL TECHNOLOGIES INC	CO				X	X					11/19/01	
ESCO TECHNOLOGIES INC	MO					X	X		X		11/28/01	
ESG RE LTD					X	X					11/26/01	
ESOFT INC	DE				X	X					11/20/01	
EUROPE 2001 HOLDERS TRUST	NY				X	X					09/30/01	
EXABYTE CORP /DE/	DE		X		X	X					11/09/01	
EXCHANGE APPLICATIONS INC	DE				X	X					11/16/01	
EXECUTIVE HELP SERVICES INC	DE						X				09/30/01	AMEND
EXTEN INDUSTRIES INC	DE		X								09/13/01	AMEND
FARADAY FINANCIAL INC	DE				X						08/08/01	AMEND
FEDERAL REALTY INVESTMENT TRUST	MD				X	X					11/19/01	
FGIC SECURITIES PURCHASE INC	DE				X	X					11/20/01	

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									11/15/01	
FINANCIAL ASSET SECURITIES CORP	DE					X	X				11/19/01	
FIRST BANK CORPORATE CARD MASTER TR UST	NY					X	X				11/27/01	
FIRST HORIZON ASSET SECURITIES INC	DE					X	X				11/20/01	
FIRST HORIZON ASSET SECURITIES INC	DE					X	X				11/20/01	
FIRST HORIZON ASSET SECURITIES INC	DE					X	X				11/26/01	
FIRST UNION COMMERCIAL MORTGAGE PAS S THR CER SER 2001-C2	NC	X									11/15/01	
FIRST UNION COMMERCIAL MORTGAGE PAS S THR CER SER 2001-C3	NC							X			11/01/01	
FIRST UNION COMMERCIAL MORTGAGE SEC URITIES INC	NC							X			11/01/01	
FIRST UNION COMMERCIAL MORTGAGE SEC URITIES INC	NC					X	X				11/27/01	
FIRST UNION COMMERCIAL MORTGAGE SEC URITIES INC SER 1997 C-1	NC					X					11/18/01	
FIRST WASHINGTON FINANCIAL CORP	NJ					X	X				11/14/01	
FLOATING RATE MORTGAGE PASS-THROUGH CERT-SERIES 2001-2	DE					X					10/25/01	
FLOATING RATE MORTGAGE PASS-THROUGH CERT-SERIES 2001-2	DE					X					11/26/01	
FRANKLIN RECEIVABLES LLC	DE					X	X				11/26/01	
FTD COM INC	DE	X					X				11/09/01	
GENAERA CORP	DE					X					11/21/01	
GENCORP INC	OH					X	X				11/23/01	
GENESIS WORLDWIDE INC	OH					X					11/14/01	
GENSYM CORP	DE	X					X				11/09/01	AMEND
GEXA CORP	TX					X					06/30/01	
GMAC COMMERCIAL MORTGAGE SECURITIES INC	DE							X			11/01/01	
GMAC COMMERCIAL MORTGAGE SECURITIES INC	DE							X			11/01/01	
GREENWICH CAPITAL ACCEPTANCE INC MO RT PAS THR CT S 2000 FTB1	DE					X	X				09/18/01	
GREENWICH CAPITAL ACCEPTANCE INC MO RT PAS THR CT S 2000 FTB1	DE					X	X				10/18/01	
GREENWICH CAPITAL ACCEPTANCE INC MO RT PAS THR CT S 2000 FTB1	DE					X	X				11/19/01	
GS MORTGAGE SECURITIES CORP	DE					X					11/27/01	
HALLIBURTON CO	DE					X	X				11/21/01	
HASBRO INC	RI					X	X				11/26/01	
HAWAIIAN ELECTRIC CO INC	HI					X	X				11/15/01	
HAWAIIAN ELECTRIC INDUSTRIES INC	HI					X	X				11/15/01	
HEALTHCARE REALTY TRUST INC	MD						X	X			11/27/01	
HELLER EQUIPMENT ASSET RECEIVABLES TRUST 1999-1	DE					X	X				11/13/01	
HELLER EQUIPMENT ASSET RECEIVABLES TRUST 1999-2	DE					X	X				11/14/01	

NAME OF ISSUER	STATE	8K ITEM NO.									DATE	COMMENT
	CODE	1	2	3	4	5	6	7	8	9		
HFC REVOLVING CORP	DE								X		11/20/01	
HFC REVOLVING CORP	DE								X		11/20/01	
HOME PROPERTIES OF NEW YORK INC	MD				X	X					03/30/01	AMEND
HONDA AUTO LEASE TRUST 1999A	DE				X	X					10/31/01	
HONDA AUTO RECEIVABLES 1999-1 OWNER TRUST	DE				X	X					10/31/01	
HONDA AUTO RECEIVABLES 2000-1 OWNER TRUST	DE				X	X					10/31/01	
HONDA AUTO RECEIVABLES 2001-1 OWNER TRUST	DE				X	X					10/31/01	
HONDA AUTO RECEIVABLES 2001-2 OWNER TRUST	DE				X	X					10/31/01	
HONDA AUTO RECEIVABLES 2001-3 OWNER TRUST	CA				X	X					10/31/01	
HORIZON PCS INC	DE					X	X				11/27/01	
HOUSEHOLD CONSUMER LOAN TRUST 1996-1	DE								X		11/14/01	
HOUSEHOLD CONSUMER LOAN TRUST 1996-2	DE								X		11/14/01	
HOUSEHOLD FINANCE CORP HOUSEHOLD CONSUMER LN TRUST 1995-1 /	DE								X		11/14/01	
HOUSEHOLD HOME EQUITY LOAN TRUST 1999-1	DE								X		11/20/01	
HOUSEHOLD REVOLVING HOME EQUITY LOAN TRUST 1995-2	DE								X		11/20/01	
HOUSEHOLD REVOLVING HOME EQUITY LOAN TRUST 1996-1	DE								X		11/20/01	
HOUSEHOLD REVOLVING HOME EQUITY LOAN TRUST 1996-2	DE								X		11/20/01	
IASIS HEALTHCARE CORP	DE								X	X	11/26/01	
IMAGIS TECHNOLOGIES INC	AI				X	X			X		11/07/01	
IMATRON INC	NJ				X	X					11/21/01	
IMH ASSETS CORP IMPAC CMB TRUST SERIES 1999-1	CA								X		11/01/01	
IMMECOR CORP	CA				X						09/30/01	
IMPAC SECURED ASSETS CORP MORTGAGE PASS THR CERT SE 2001-6	CA					X					10/25/01	
INFOWAVE SOFTWARE INC						X	X				11/21/01	
INTERNATIONAL PAPER CO /NEW/	NY							X	X		11/27/01	
INTERNET ARCHITECTURE HOLDRSSM TRUST	NY							X			09/30/01	
INTERNET HOLDRS TRUST	NY							X			09/30/01	
INTERNET INFRASTRUCTURE HOLDRSSM TRUST	NY					X	X				06/30/01	
JACKSONVILLE BANCORP INC	TX		X					X			11/09/01	
JOHNSON & JOHNSON	NJ					X					11/21/01	
KEVCO INC	TX					X	X				11/21/01	
KEY ENERGY SERVICES INC	MD					X	X				11/19/01	
KEYCORP STUDENT LOAN TRUST 1999 B	DE					X	X				11/26/01	
KEYCORP STUDENT LOAN TRUST 2000-A	OH					X	X				11/26/01	

NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
KITTY HAWK INC	DE				X	X					11/28/01	
KOMAG INC /DE/	DE				X	X					11/26/01	
LARSCOM INC	DE				X	X					11/26/01	
LB UBS COMMERCIAL MORTGAGE TRUST 20 01 C3	DE							X			11/01/01	
LIFE FINANCIAL CORP	DE	X						X			11/21/01	
MALLON RESOURCES CORP	CO	X									11/27/01	
MANCHESTER EQUIPMENT CO INC	NY								X		11/26/01	
MARKET 2000 PLUS HOLDRS SM TRUST	NY				X	X					09/30/01	
MB FINANCIAL INC /MD	MD				X	X					11/16/01	
MCMORAN EXPLORATION CO /DE/	DE					X					11/20/01	
MERIDIAN HOLDINGS INC	CO				X						11/15/01	
MERIDIAN HOLDINGS INC	CO				X						11/15/01	AMEND
MICREL INC	CA					X					11/26/01	
MILLENNIUM PHARMACEUTICALS INC	DE					X	X				11/26/01	
MINDARROW SYSTEMS INC	NV						X				09/12/01	AMEND
MKS INSTRUMENTS INC	MA				X	X					11/27/01	
MMCA AUTO OWNER TRUST 1999-2	DE				X	X					11/15/01	
MMCA AUTO OWNER TRUST 2000-1	DE				X	X					11/15/01	
MMCA AUTO OWNER TRUST 2000-2	DE				X	X					11/15/01	
MMCA AUTO OWNER TRUST 2001 2	DE				X	X					11/15/01	
MMCA AUTO OWNER TRUST 2001-1	DE				X	X					11/15/01	
MMCA AUTO OWNER TRUST 2001-3	DE				X	X					11/15/01	
MORGAN STANLEY DEAN WIT CAP I INC M OR PAS-THR CER SER 2001-1	NY	X									11/15/01	
MORGAN STANLEY DEAN WITTER CAPITAL I INC	DE				X	X					11/21/01	
MORGAN STANLEY DEAN WITTER CAPITAL I INC	DE				X	X					11/21/01	
NATIONAL STEEL CORP	DE				X	X					11/21/01	
NATIONSLINK FUNDING CORP 1999-LTL-1 COMMER LOAN PAS THR CER	DE						X				11/01/01	
NEUROCRINE BIOSCIENCES INC	CA				X						11/27/01	
NEW VISUAL CORP	UT				X	X					11/27/01	
NEWMONT MINING CORP	DE				X	X					11/14/01	
NEXTCARD INC	DE				X						11/15/01	
NEXTEL INTERNATIONAL INC	DE				X	X					11/26/01	
NTL INC/DE/	DE				X	X					11/26/01	
NURESCCELL INC	NV				X						11/09/01	AMEND
OAKWOOD MORTGAGE INVESTORS INC	NV				X	X					11/26/01	
OFFICIAL PAYMENTS CORP	DE				X	X					11/27/01	
OIL SERVICE HOLDRS TRUST	NY						X				09/30/01	
ONYX ACCEPTANCE OWNER TRUST 2001 C	DE				X						10/31/01	
ONYX ACCEPTANCE OWNER TRUST 2001 D	DE				X						10/31/01	
ONYX ACCEPTANCE OWNER TRUST 2001-A	DE				X						10/31/01	
ONYX ACCEPTANCE OWNER TRUST 2001-B	DE				X						10/31/01	
OPTION ONE MORT ACC CORP ASSET BACK ED CERT SER 2001-4	DE	X					X				10/29/01	
ORIGEN MANUFACTURED HOUS CONT SEN/S UB AS BCKD CRT SR 2001-A	DE						X				11/01/01	

NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
ORTHODONTIC CENTERS OF AMERICA INC /DE/	DE		X						X		11/26/01	
ORTHOVITA INC									X		10/16/01	AMEND
PCD INC	MA					X					11/14/01	
PEOPLES BANK CREDIT CARD MASTER TRU ST	CT					X					10/31/01	
PGI INC	FL			X				X			11/14/01	
PHARMACEUTICAL HOLDERS TRUST						X		X			09/30/01	
PHILADELPHIA CONSOLIDATED HOLDING C ORP	PA					X		X			11/20/01	
PNI TECHNOLOGIES INC	GA					X		X			11/15/01	
POCAHONTAS BANCORP INC	DE					X		X			12/16/97	
PRIDE INTERNATIONAL INC	DE							X			09/13/01	AMEND
PROGRESS FINANCIAL CORP	DE					X					11/21/01	
PS BUSINESS PARKS INC/CA	CA					X		X			11/20/01	
QLT INC/BC	AL					X		X			11/02/01	
QUAD SYSTEMS CORP /DE/	DE					X					11/19/01	
QUEPASA COM INC	NV					X		X			11/14/01	
QUEST DIAGNOSTICS INC	DE					X		X			11/27/01	
RADIAN GROUP INC	DE					X		X			11/26/01	
RADIOLOGIX INC	DE					X		X			11/26/01	
RAM ENERGY INC/OK	DE					X					11/26/01	
RAWLINGS SPORTING GOODS CO INC	DE								X		11/21/01	
REGENT COMMUNICATIONS INC	DE					X		X			11/21/01	
REGIONAL BANK HOLDERS SM TRUST	NY					X		X			09/30/01	
RELIANT INTERACTIVE MEDIA CORP	NV		X								11/26/01	
RESIDENTIAL ACCREDIT LOANS INC	DE							X			11/26/01	
RESIDENTIAL ACCREDIT LOANS INC	DE					X		X			11/27/01	
RESIDENTIAL ASSET MORTGAGE PRODUCTS INC	DE							X			11/26/01	
RESIDENTIAL ASSET MORTGAGE PRODUCTS INC	DE							X			11/26/01	
RESIDENTIAL ASSET MORTGAGE PRODUCTS INC	DE							X			11/26/01	
RESIDENTIAL ASSET MORTGAGE PRODUCTS INC	DE							X			11/27/01	
RESIDENTIAL ASSET MORTGAGE PRODUCTS INC	DE							X			11/27/01	
RESIDENTIAL FUNDING MORTGAGE SECURI TIES I INC	DE					X		X			11/26/01	
RETAIL HOLDERS TRUST	NY					X		X			09/30/01	
RIVIERA HOLDINGS CORP	NV					X		X			10/26/01	
SAFE TECHNOLOGIES INTERNATIONAL INC	DE					X					11/27/01	
SALIENT CYBERTECH INC	DE					X					12/31/01	
SALOMON BROTHERS COMMERCIAL MORT TR 2000-C3	DE							X			11/01/01	
SECURED INVESTMENT RESOURCES FUND L P	KS			X							11/26/01	

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		1	2	3	4	5	6	7	8	9			
SECURED INVESTMENT RESOURCES FUND L P II	DE				X							11/26/01	
SECURITY BIOMETRICS INC	NV								X			06/29/01	AMEND
SEMICONDUCTOR HOLDRS TRUST	NY								X			09/30/01	
SERVICEMASTER CO	DE				X							11/15/01	
SMART CHOICE AUTOMOTIVE GROUP INC	FL	X					X		X	X		11/09/01	
SOFTWARE HOLDRS TRUST	NY								X			09/30/01	
SOUTHWEST ROYALTIES HOLDINGS INC	DE				X		X					09/30/01	
SOUTHWEST ROYALTIES INC	DE				X		X					09/30/01	
SPARTA SURGICAL CORP	DE				X							11/19/01	
SPECTRAFAX CORP	FL				X		X					11/26/01	
SPECTRASOURCE CORP	NV				X			X				11/27/01	
SRI SURGICAL EXPRESS INC	FL									X		11/27/01	
SS&C TECHNOLOGIES INC	DE	X						X				11/15/01	
STERLING FINANCIAL CORP /PA/	PA						X	X				11/21/01	
STRUCTURED ASSET MORTGAGE INVESTMEN TS INC	DE								X			08/30/01	
STRUCTURED ASSET SEC CORP COMM MORT PAS THR CERT SER 2000 C5	DE								X			11/01/01	
SYNAPTIC PHARMACEUTICAL CORP	DE						X					11/27/01	
TELECOM HOLDRS TRUST	NY						X	X				09/30/01	
TELEX COMMUNICATIONS INC	DE				X		X					11/21/01	
TEREX CORP	DE				X							11/26/01	
TESORO PETROLEUM CORP /NEW/	DE							X	X			11/26/01	
TIVO INC	DE				X							11/20/01	
TRANSMEDIA NETWORK INC /DE/	DE								X			11/26/01	
TRAVELBYUS INC	TX				X							11/26/01	
TRAVELERS BANK CREDIT CARD MASTER T RUST I	DE				X		X					05/09/01	AMEND
TRAVELERS BANK CREDIT CARD MASTER T RUST I	DE				X		X					06/09/01	
TRAVELERS BANK CREDIT CARD MASTER T RUST I	DE				X		X					07/09/01	
TRAVELERS BANK CREDIT CARD MASTER T RUST I	DE				X		X					08/09/01	
TRAVELERS BANK CREDIT CARD MASTER T RUST I	DE				X		X					09/10/01	
TRAVELERS BANK CREDIT CARD MASTER T RUST I	DE				X		X					10/10/01	
TRAVELERS BANK CREDIT CARD MASTER T RUST I	DE				X		X					11/09/01	
UNIONBANCAL CORP	CA				X		X					11/27/01	
US AIRWAYS GROUP INC	DE				X		X					11/27/01	
US AIRWAYS INC	DE				X		X					11/27/01	
US HOME SYSTEMS INC /TX	DE	X					X					10/05/01	AMEND
UTILITIES HOLDERS SM TRUST	NY							X				09/30/01	
VA LINUX SYSTEMS INC	DE						X	X				11/20/01	
VANDERBILT MOR & FI INC HO CO SE SU PS THR CER SER 2001-B	TN				X		X					11/07/01	

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	CODE	1	2	3	4	5	6	7	8			9
VANDERBILT MORTGAGE & FI IN MA HO C O SR SU PA TH C SE 2001A	TN						X	X			11/07/01	
VECTORIA INC	NV		X	X				X			11/13/01	
VECTREN CORP	IN							X			09/30/01	
VECTREN CORP	IN					X					09/30/01	
VECTREN UTILITY HOLDINGS INC	IN					X					09/30/01	
VOLKSWAGEN DEALER FINANCE LLC	DE					X	X				11/20/01	
WEIGH TRONIX LLC						X	X				11/19/01	
WELLS FARGO ASSET SECURITIES CORP	DE					X	X				11/21/01	
WELLS FARGO ASSET SECURITIES CORP	DE					X	X				11/21/01	
WELLS FARGO ASSET SECURITIES CORP	DE					X	X				11/21/01	
WELLS FARGO ASSET SECURITIES CORP	DE					X					11/21/01	
WELLS FARGO ASSET SECURITIES CORP	DE					X	X				11/26/01	
WESTPAC SECURITISATION MGT PTY LTD SERIES 1999-1G WST TRUST								X			09/30/01	
WIRELESS HOLDRS TRUST	NY							X			09/30/01	
WORLDWIDE FLIGHT SERVICES INC	DE					X					11/26/01	
WPS RESOURCES CORP	WI					X					11/14/01	
XOMA LTD /DE/	DE					X	X				11/26/01	