

# sec news digest

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November 21, 1990

U.S. SECURITIES AND  
EXCHANGE COMMISSION

## NOTICE OF COMMISSION MEETINGS

Following is a schedule of Commission meetings which will be conducted under provisions of the Government in the Sunshine Act. In general, the Commission expects to follow a schedule of holding closed meetings on Tuesdays and open meetings on Thursday morning. Meetings on Wednesday, and if necessary on Thursday afternoons, will be either open or closed according to the requirements of agenda items under consideration.

Visitors are welcome at all open meetings, insofar as space is available.

Meetings will be held in the Commission Meeting Room, Room 1C30, at the Commission's headquarters building, 450 Fifth Street, NW, Washington, DC. Persons wishing to photograph or videotape Commission meetings must obtain permission in advance from the Secretary of the Commission. Persons wishing to tape record a Commission meeting should notify the Secretary's office 48 hours in advance of the meeting.

### OPEN MEETING - TUESDAY, NOVEMBER 27, 1990 - 9:00 A.M.

The subject matter of the November 27 open meeting will be:

Roundtable discussion to provide financial industry representatives, interested parties and the general public with an opportunity to discuss recommendations made by the Consultative group on International Economic and Monetary Affairs, Inc. (commonly referred to as the "Group of Thirty") to improve efficiency and increase safety in the system for clearance and settlement of securities transactions. FOR FURTHER INFORMATION, PLEASE CONTACT: Anthony Ain at (202) 272-2905.

### OPEN MEETING - WEDNESDAY, NOVEMBER 28, 1990 - 10:00 A.M.

The subject matter of the November 28 open meeting will be:

Consideration of whether to publish a release adopting amendments to Rule 10b-4. The amendments would clarify the determination of a person's "net long position," deregulate multiple tendering and redesignate the rule as Rule 14e-4. FOR FURTHER INFORMATION, PLEASE CONTACT: M. Blair Corkran or Jodie J. Kelley at (202) 272-2848.

CLOSED MEETING - THURSDAY, NOVEMBER 29, 1990 - 2:30 P.M.

The subject matter of the November 29 closed meeting will be: Institution of administrative proceedings of an enforcement nature; and Settlement of administrative proceedings of an enforcement nature.

AT TIMES CHANGES IN COMMISSION PRIORITIES REQUIRE ALTERATIONS IN THE SCHEDULING OF MEETING ITEMS. FOR FURTHER INFORMATION AND TO ASCERTAIN WHAT, IF ANY, MATTERS HAVE BEEN ADDED, DELETED OR POSTPONED, PLEASE CONTACT: Ed Pittman at (202) 272-2400.

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**COMMISSION ANNOUNCEMENTS**

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**CORRECTION**

In the November 9th issue of the Digest under the heading "Securities Act Registrations" an incorrect address was listed for Atlas Copco AB on Form F-6. The file from which the information was taken has been corrected. The correct address is Citibank N A, 111 Wall Street, New York, New York 10043.

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**ADMINISTRATIVE PROCEEDINGS**

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**NASD'S REFUSAL TO PERMIT EMPLOYMENT OF SAMUEL TUCHMAN AFFIRMED**

The Commission has affirmed the NASD's refusal to permit Halpert and Company, Inc., of Millburn, New Jersey, an NASD member firm, to continue employing Samuel M. Tuchman as a registered representative. Halpert's request was necessary because, in March 1986, Tuchman was convicted of a misdemeanor involving the improper use of a credit card.

The Commission noted, as had the NASD, that both the firm and Alan Halpert, its president and 88% owner, had been subject to prior enforcement action by the Commission and that Tuchman's conviction, which involved fraud, raised a serious question as to whether he might engage in similar misconduct in the securities industry. It concluded that the NASD's action was warranted in the interest of protecting public investors. (Rel 34-28615)

**NASD ACTION AGAINST BRIAN MCLAUGHLIN AFFIRMED**

The Commission has affirmed disciplinary action taken by the NASD against Brian C. McLaughlin, of Deer Park, New York, a former registered representative with an NASD member firm. The NASD censured McLaughlin, fined him \$15,000 and suspended him from association with any NASD member for two years.

The Commission found, as had the NASD, that McLaughlin wrote checks to his firm for customers' securities purchases against insufficient funds, forged customers' signatures on the checks, misrepresented a customer's account balance to a mortgage company and circumvented Regulation T by opening new accounts for customers whose existing accounts were restricted for non-payment. The Commission characterized the sanctions imposed by the NASD as "effective but reasonable deterrents against any repetition of the deliberate deceptions in which McLaughlin engaged." (Rel. 34-28616)

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## CIVIL PROCEEDINGS

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### CIVIL ACTION AGAINST HENRY LORIN AND OTHERS

The Commission announced on November 20 the filing of a civil injunctive action in the U.S. Court for the Southern District of New York against Henry W. Lorin, Eugene K. Laff, Stanley Aslanian, Jr., Capital Shares, Inc., Lawrence Caito, Toni Vallen, Rosario Russell Ruggiero, Enn Kunnapas, Paul L. Miano and Edward J. Barter alleging numerous violations of the antifraud and other provisions of the federal securities laws.

In its complaint, the Commission alleges that from in or about October 1985 through in or about October 1987 the defendants engaged in an illegal scheme to defraud the investing public by manipulating the over-the-counter market for the securities of seven public companies: Big O Tires, Inc. (and its predecessor company, Tires, Inc.), Cliff Engle Ltd., Digital Metcom, Inc., Flores de New Mexico, Inc., Fountain Powerboat Industries, Inc., TS Industries, Inc., and Tunex International, Inc. The complaint alleges that the defendants artificially increased and prevented declines in the prices of the manipulated stocks. The complaint further alleges that following the collapse of the manipulation scheme in October 1987 the market value of the total shares outstanding of the manipulated stocks declined by approximately \$644.2 million. [SEC v. Henry W. Lorin, Eugene K. Laff, Stanley Aslanian, Jr., Capital Shares, Inc., Lawrence Caito, Toni Vallen, Rosario Russell Ruggiero, Enn Kunnapas, Paul L. Miano and Edward J. Barter, S.D.N.Y., Civil Action No. 90 Civ. 7461, PL] (LR-12707)

### CIVIL ACTION AGAINST FRANK SHANNON

The Commission announced on November 20 the filing of a civil injunctive action in the U.S. District Court for the Southern District of New York against Frank Shannon, a British citizen and resident. In its complaint, the Commission alleges that Shannon violated Section 13(d) of the Securities Exchange Act of 1934 (Exchange Act) and Rules 13d-1 and 13d-2 thereunder in connection with his beneficial ownership of the common stock of TS Industries, Inc., of which Shannon was formerly a director.

The complaint alleges that on or about May 16, 1988 and May 17, 1988 Shannon filed with the Commission a false and misleading Schedule 13D and amendment to that Schedule 13D in that Shannon failed to report his beneficial ownership of 1,008,814 shares of TS common stock or 10.6% of the total shares of TS common stock outstanding.

Shannon, without admitting or denying the allegations of the complaint, has consented to the entry of a Final Judgment of Permanent Injunction enjoining him from future violations of Section 13(d) of the Exchange Act and Rules 13d-1 and 13d-2 thereunder. [SEC v. Frank Shannon, S.D.N.Y., Civil Action No. 90 Civ. 7463, PL] (LR-12708)

### COMPLAINT NAMES MOLLIE RAAB, MICHAEL PAINTER AND JOSEPH JEFFRIES

The Commission filed a complaint on November 20 against Mollie E. Raab, of Hillsborough, California, Michael Gaylord Painter, and Joseph Jeffries, both of San Antonio, Texas. The Commission alleges that Raab recommended a purchase of Genentech,

Inc. stock to Painter while she possessed material nonpublic information regarding the company learned from her husband who then was Genentech's President and Chief Operating Officer. The Commission alleges that Painter subsequently told Jeffries, who knew that Painter's brother-in-law worked at Genentech, that his sister had suggested that he buy Genentech stock because something good was going to happen there soon. Jeffries subsequently purchased Genentech options, understanding that Painter would acquire approximately one-half of them, and he recommended purchases of Genentech options to two of his friends.

Without admitting or denying the Commission's allegations, the defendants consented to the entry of Final Judgments of Permanent Injunctions which would: (1) permanently restrain and enjoin the defendants from violations of Section 10(b) and Rule 10b-5; (2) order Jeffries to disgorge \$133,700 in profits and prejudgment interest; (3) order Raab to pay an ITSA penalty of \$162,400; and (4) assess penalties of \$63,700 and \$133,700 against Painter and Jeffries, respectively, to be waived based upon their inability to pay. [SEC v. Mollie E. Raab, Michael Gaylord Painter and Joseph Jeffries, Civil Action No. C 90 3291 , DLJ, USDC, N.D.Cal., November 20] (LR-12709)

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### INVESTMENT COMPANY ACT RELEASES

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SHEARSON LEHMAN BROTHERS EQUITY PORTFOLIOS, SHEARSON LEHMAN BROTHERS INCOME PORTFOLIOS, SLH INVESTMENT PORTFOLIOS INC.

A notice has been issued giving interested persons until December 14, 1990 to request a hearing on an application filed by Shearson Lehman Brothers Equity Portfolios, Shearson Lehman Brothers Income Portfolios and SLH Investment Portfolios Inc. for an amendment to existing orders that would exempt the applicants from the provisions of Section 22(d) of the Investment Company Act and from Rule 22c-1 thereunder, so that they may (a) assess a contingent deferred sales charge different from that described in the existing orders in connection with certain redemptions of the applicants' shares purchased by retirement plans qualified under Section 401(k) of the Internal Revenue Code of 1986, and (b) waive the contingent deferred sales charge on certain other redemptions of the applicants' shares purchased by these plans. (Rel. IC-17860 - November 19)

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### SELF-REGULATORY ORGANIZATIONS

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APPROVAL OF PROPOSED RULE CHANGE

The Commission has approved a proposed rule change (SR-CBOE-90-17) filed under Rule 19b-4 by the Chicago Board Options Exchange which will allow the CBOE to list index warrants based on the Financial-Times Stock Exchange 100 Index. The notice is expected to appear in the Federal Register during the week of November 26. (Rel. 34-28627)

## SIGNIFICANT NO-ACTION AND INTERPRETIVE LETTERS

The following is a list of significant no-action and interpretive letters recently issued by the Division of Investment Management. These letters express the view of the Division respecting novel or important questions arising under the Securities Act of 1933, the Securities Exchange Act of 1934, the Trust Indenture Act of 1939, the Investment Company Act of 1940, and the Investment Advisers Act of 1940. Copies of these letters may be obtained by writing to the Public Reference Room, Securities and Exchange Commission, Washington, DC 20549, or by making a request in person at the Public Reference Room, 450 Fifth Street, NW, Room 1024, Washington, DC, stating the name of the subject company, the Act and the Section of the Act to which it relates, and the public availability date.

### DIVISION OF INVESTMENT MANAGEMENT

<u>COMPANY</u>	<u>ACT/SECTION/RULE OR RELEASE</u>	<u>DATE MAILED</u>	<u>PUBLIC AVAILABILITY DATE</u>
The Alger Fund	ICA'40, Sections 11, 22(d)	5/4/90	5/4/90
Sanford C. Bernstein Fund, Inc.	ICA'40, Section 18(f)	6/25/90	6/25/90
Qualivest Capital Management, Inc.	1933 Act, Section 5 ICA'40, Section 3(a)	7/30/90	7/30/90
Ft. Tryon Futures Fund Limited Partnership	ICA'40, Section 3(a)(1)	8/16/90	8/16/90
Pacific Mutual Life Insurance Company, Pacific Equities Network	1933 Act, Section 17(a), Rule 156	8/31/90	8/31/90
Nuveen Advisory Corp.	ICA'40, Rule 2a-7	9/4/90	9/4/90
DFA U.S. Large Cap Portfolio, Inc.	ICA'40, Section 22(e)	9/7/90	9/7/90
Capital Perservation Fund, Inc., et. al.	ICA'40, Rule 22c-1	7/31/90	9/11/90
Founders Funds, Inc.	1933 Act, Rule 482 ICA'40, Rule 34b-1	10/15/90	10/15/90
Great-West Life & Annuity Insurance Company, Pinnacle Series Account	1933 Act, Section 10(a)(3) ICA'40, Section 24(e)	10/23/90	10/23/90

## 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.

- S-8 WICOR INC, 777 E WISCONSIN AVE, PO BOX 334, MILWAUKEE, WI 53201 (414) 291-7026 - 500,000 (\$9,219,000) COMMON STOCK. (FILE 33-36456 - NOV. 13) (BR. 8)
- S-4 ROCHESTER TELEPHONE CORP, ROCHESTER TEL CENTER, 180 S CLINTON AVE, ROCHESTER, NY 14646 (716) 777-7150 - 189,601 (\$956,537) COMMON STOCK. (FILE 33-36457 - NOV. 13) (BR. 7)
- S-3 KIMBERLY CLARK CORP, P O BOX 619100, DFW AIRPORT STATION, DALLAS, TX 75261 (214) 830-1200 - 200,000,000 (\$200,000,000) STRAIGHT BONDS. (FILE 33-36458 - NOV. 13) (BR. 8)
- S-8 RESPIRONICS INC, 1001 MURRY RIDGE DR, MURRYSVILLE, PA 15668 (412) 733-0200 - 937,142 (\$13,588,559) COMMON STOCK. (FILE 33-36459 - NOV. 13) (BR. 8)
- F-6 BASF AKTEINGESELLSCHAFT /ADR/, 2 RECTOR ST, C/O SECURITY PACIFIC NATL TRUST CO, NEW YORK, NY 10006 (212) 978-5009 - 10,000,000 (\$500,000) DEPOSITARY RECEIPTS FOR COMMON STOCK. (FILE 33-36468 - NOV. 13) (BR. 99)
- N-1A MERRILL LYNCH TREASURY ASSETS FUND, 800 SCUDDERS HILL RD, PLAINSBORO, NJ 08536 (609) 282-2800 - INDEFINITE SHARES. UNDERWRITER: MERRILL LYNCH FUNDS DISTRIBUTOR INC. (FILE 33-37537 - NOV. 05) (BR. 17 - NEW ISSUE)
- F-6 THYSSEN A G, 2 RECTOR ST, C/O SECURITY PACIFIC NAT'L TRUST CO N Y, NEW YORK, NY 10006 (212) 978-5009 - 10,000,000 (\$500,000) DEPOSITARY RECEIPTS FOR COMMON STOCK. (FILE 33-37634 - NOV. 13) (BR. 99)
- F-6 SUMITOMO BANK LTD/ADR/, 2 RECTOR ST, C/O SECURITY PACIFIC NAT'L TRUST CO N Y, NEW YORK, NY 10006 (212) 978-5009 - 500,000 (\$25,000) DEPOSITARY RECEIPTS FOR COMMON STOCK. (FILE 33-37635 - NOV. 13) (BR. 99)
- F-6 LA RINASCENTE SPA /ADR/, 2 RECTOR STREET, C/C SECURITY PACIFIC NATIONAL TRUST CO, NEW YORK, NY 10006 (212) 978-5009 - 10,000,000 (\$500,000) DEPOSITARY RECEIPTS FOR COMMON STOCK. (FILE 33-37636 - NOV. 13) (BR. 99)
- F-6 DE LA RUE CO LTD/ADR/, 2 RECTOR STAY, C/O SECURITY PACIFIC NATL TRUST CO, NEW YORK, NY 10006 (212) 978-5009 - 10,000,000 (\$500,000) DEPOSITARY RECEIPTS FOR COMMON STOCK. (FILE 33-37637 - NOV. 13) (BR. 99)
- F-6 ASAHI GLASS CO LTD/ADR/, 2 RECTOR ST, C/O SECURITY PACIFIC NATL TRUST CO, NEW YORK, NY 10006 (212) 978-5009 - 5,000,000 (\$250,000) DEPOSITARY RECEIPTS FOR COMMON STOCK. (FILE 33-37640 - NOV. 13) (BR. 99)
- F-6 TORAY INDUSTRIES INC/ADR/, 2 RECTOR ST, C/O SECURITY PACIFIC NAT'L TRUST CO N Y, NEW YORK, NY 10006 (212) 978-5009 - 5,000,000 (\$250,000) DEPOSITARY RECEIPTS FOR COMMON STOCK. (FILE 33-37641 - NOV. 13) (BR. 99)

REGISTRATIONS CONTINUED

- F-6 ALPS ELECTRONICS LTD /ADR/, 2 RECTOR ST, C/O SECURITY PACIFIC NATL TRUST CO, NEW YORK, NY 10006 (212) 978-5009 - 5,000,000 (\$250,000) DEPOSITARY RECEIPTS FOR COMMON STOCK. (FILE 33-37642 - NOV. 13) (BR. 99)
- F-6 CHRISTIES INTERNATIONAL PLC /ADR/, 2 RECTOR ST, C/O SECURITY PACIFIC NATL TRUST CO, NEW YORK, NY 10006 (212) 978-5009 - 10,000,000 (\$500,000) DEPOSITARY RECEIPTS FOR COMMON STOCK. (FILE 33-37643 - NOV. 13) (BR. 99)
- F-6 NOMURA SECURITIES CO LTD, 1-CHOME, TO-ORI, NIHONBASHI, CHUO KU TOKYO JAPAN, MO (000) 000-0000 - 10,000,000 (\$500,000) DEPOSITARY RECEIPTS FOR COMMON STOCK. (FILE 33-37644 - NOV. 13) (BR. 99)
- F-6 HITACHI CABLE LTD / ADR/, 2 RECTOR ST, NEW YORK, NY 10006 (212) 978-5009 - 5,000,000 (\$250,000) DEPOSITARY RECEIPTS FOR COMMON STOCK. (FILE 33-37645 - NOV. 13) (BR. 99)
- F-6 FUJITSU LTD/ADR/, 2 RECTOR ST, NEW YORK, NY 10006 (212) 978-5009 - 5,000,000 (\$250,000) DEPOSITARY RECEIPTS FOR COMMON STOCK. (FILE 33-37646 - NOV. 13) (BR. 99)
- F-6 BANK OF TOKYO LTD/ADR/, 2 RECTOR ST, C/O SECURITY PACIFIC NATL TRUST CO, NEW YORK, NY 10006 (212) 978-5009 - 5,000,000 (\$250,000) DEPOSITARY RECEIPTS FOR COMMON STOCK. (FILE 33-37647 - NOV. 13) (BR. 99)
- F-6 DAIWA SECURITIES CO LTD /ADR, 2 RECTOR ST, C/O SECURITY PACIFIC NATL TRUST CO, NEW YORK, NY 10006 (212) 978-5009 - 5,000,000 (\$250,000) DEPOSITARY RECEIPTS FOR COMMON STOCK. (FILE 33-37648 - NOV. 13) (BR. 99)
- F-6 DAIWA HOUSE INDUSTRY CO LTD/ADR/, 2 RECTOR ST, C/O SECURITY PACIFIC NATL TRUST CO, NEW YORK, NY 10006 (212) 978-5009 - 5,000,000 (\$250,000) DEPOSITARY RECEIPTS FOR COMMON STOCK. (FILE 33-37649 - NOV. 13) (BR. 99)
- F-6 ASAHI CHEMICAL INDUSTRY CO LTD/ADR, 2 RECTOR ST, C/O SECURITY PACIFIC NATL TRUST CO, NEW YORK, NY 10006 (212) 978-5009 - 5,000,000 (\$250,000) DEPOSITARY RECEIPTS FOR COMMON STOCK. (FILE 33-37650 - NOV. 13) (BR. 99)
- S-11 WNC CALIFORNIA HOUSING TAX CREDITS II LP, 3158 REDHILL AVE STE 120, COSTA MESA, CA 92626 (714) 662-5565 - 20,000 (\$20,000,000) LIMITED PARTNERSHIP CERTIFICATE. (FILE 33-37689 - NOV. 09) (BR. 5 - NEW ISSUE)
- F-6 POSEIDON GOLD LTD /ADR/, 48 WALL STREET, NEW YORK, NY, NY 10286 (212) 495-1727 - 50,000,000 (\$5,000,000) DEPOSITARY RECEIPTS FOR COMMON STOCK. (FILE 33-37695 - NOV. 09) (BR. 99 - NEW ISSUE)
- S-3 HIBERNIA CORP, 313 CARONDELET ST, NEW ORLEANS, LA 70130 (504) 586-5356 - 1,000,000 (\$6,060,000) COMMON STOCK. (FILE 33-37701 - NOV. 13) (BR. 2)
- S-3 FREEPORT MCMORAN INC, 1615 POYDRAS ST, NEW ORLEANS, LA 70112 (504) 582-4000 - 500,000,000 (\$500,000,000) STRAIGHT BONDS. (FILE 33-37716 - NOV. 09) (BR. 1)
- S-3 ALDUS CORP /WA/, 411 FIRST AVE SOUTH, SEATTLE, WA 98104 (206) 622-5500 - 981,000 (\$27,468,000) COMMON STOCK. (FILE 33-37725 - NOV. 13) (BR. 9)
- S-3 PROCTER & GAMBLE CO, ONE PROCTER & GAMBLE PLZ, CINCINNATI, OH 45202 (513) 983-1100 - 1,000,000,000 (\$1,000,000,000) STRAIGHT BONDS. (FILE 33-37733 - NOV. 14) (BR. 13)

REGISTRATIONS CONTINUED

- S-2 AT&T CAPITAL CORP, 44 WHIPPANY ROAD, MORRISTOWN, NJ 07962 (201) 397-3000 - 5,750,000 (\$33,062,500) WARRANTS, OPTIONS OR RIGHTS. (FILE 33-37734 - NOV. 14) (BR. 13)
- S-4 ASPEN WIND INC, 410 17TH ST STE 1080, DENVER, CO 80202 (303) 629-0747 - 144,580 (\$103,000) COMMON STOCK. 6,329,887 (\$5,950,094) COMMON STOCK. (FILE 33-37755 - NOV. 13) (BR. 12)
- S-3 ROHM & HAAS CO, INDEPENDENCE MALL WEST, PHILADELPHIA, PA 19105 (215) 592-3000 - 100,000,000 (\$100,000,000) STRAIGHT BONDS. (FILE 33-37757 - NOV. 13) (BR. 2)
- S-4 ACME CLEVELAND HOLDING COMPANY, 30195 CHARGIN BLVD, CLEVELAND, OH 44124 (216) 292-2100 - 6,739,017 (\$37,485,782.06) COMMON STOCK. (FILE 33-37758 - NOV. 13) (BR. 1)
- F-6 HOECHST AG /ADR/, 2 RECTOR ST, NEW YORK, NY 10006 (212) 978-5009 - 10,000,000 (\$500,000) DEPOSITARY RECEIPTS FOR COMMON STOCK. (FILE 33-37759 - NOV. 13) (BR. 99)
- F-6 SEKISUI HOUSE LTD/ADR/, 2 RECTOR ST, C/O SECURITY PACIFIC NAT'L TRUST CO N Y, NEW YORK, NY 10006 (212) 978-5009 - 5,000,000 (\$250,000) DEPOSITARY RECEIPTS FOR COMMON STOCK. (FILE 33-37761 - NOV. 13) (BR. 99)
- S-3 TELESPHERE COMMUNICATIONS INC, TWO MID AMERICA PLZ STE 500, OAKBROOK TERRACE, IL 60181 (708) 954-7700 (FILE 33-37762 - NOV. 13) (BR. 7)
- F-6 SOCIETA NAZIONALE INDUSTRIA APPLICAZIONI VISCOSA /ADR/, 2 RECTOR ST, C/O SECURITY PACIFIC NAT'L TRUST CO N Y, NEW YORK, NY 10006 (212) 978-5009 - 10,000,000 (\$500,000) DEPOSITARY RECEIPTS FOR COMMON STOCK. (FILE 33-37763 - NOV. 13) (BR. 99 - NEW ISSUE)
- F-6 EISAI CO LTD/ADR/, 2 RECTOR ST, NEW YORK, NY 10006 (212) 978-5009 - 5,000,000 (\$250,000) DEPOSITARY RECEIPTS FOR COMMON STOCK. (FILE 33-37766 - NOV. 13) (BR. 99)
- F-6 CITY DEVELOPMENTS LTD /ADR/, 2 RECTOR ST, C/O SECURITY PACIFIC NAT'L TRUST CO, NEW YORK, NY 10006 (212) 978-5009 - 10,000,000 (\$500,000) DEPOSITARY RECEIPTS FOR COMMON STOCK. (FILE 33-37767 - NOV. 13) (BR. 99)
- F-6 AMADEUS OIL NL/ADR/, 2 RECTOR ST, C/O SECURITY PACIFIC NAT'L TRUST CO, NEW YORK, NY 10006 (212) 978-5009 - 10,000,000 (\$500,000) DEPOSITARY RECEIPTS FOR COMMON STOCK. (FILE 33-37768 - NOV. 13) (BR. 99)
- F-6 L OREAL CO/ADR/, 2 RECTOR STREET, C/O SECURITY PACIFIC NATIONAL TRUST CO, NEW YORK, NY 10006 (212) 978-5009 - 10,000,000 (\$500,000) DEPOSITARY RECEIPTS FOR COMMON STOCK. (FILE 33-37769 - NOV. 13) (BR. 99)
- F-6 TOKAI BANK LTD/ADR/, 2 RECTOR ST, C/O SECURITY PACIFIC NAT'L TRUST CO N Y, NEW YORK, NY 10006 (212) 978-5009 - 5,000,000 (\$250,000) DEPOSITARY RECEIPTS FOR COMMON STOCK. (FILE 33-37772 - NOV. 13) (BR. 99)
- F-6 YAMAICHI SECURITIES CO LTD, 2 RECTOR ST, C/O SECURITY PACIFIC NAT'L TRUST CO N Y, NEW YORK, NY 10006 (212) 978-5009 - 10,000,000 (\$500,000) DEPOSITARY RECEIPTS FOR COMMON STOCK. (FILE 33-37773 - NOV. 13) (BR. 99)
- F-6 KYOWA BANK LTD /ADR/, 2 RECTOR ST, C/O SECURITY PACIFIC NATIONAL TRUST CO, NEW YORK, NY 10006 (212) 978-5009 - 5,000,000 (\$250,000) DEPOSITARY RECEIPTS FOR COMMON STOCK. (FILE 33-37774 - NOV. 13) (BR. 99)



REGISTRATIONS CONTINUED

- F-6 MB GROUP PLC, 2 RECTOR ST, C/O SECURITY PACIFIC NATIONAL TRUST CO, NEW YORK, NY 10006 (212) 978-5009 - 10,000,000 (\$500,000) DEPOSITARY RECEIPTS FOR COMMON STOCK. (FILE 33-37775 - NOV. 13) (BR. 99)
- F-6 DAIMLER BENZ A G/ADR, 2 RECTOR ST, C/O SECURITY PACIFIC NATL TRUST CO, NEW YORK, NY 10006 (212) 978-5009 - 10,000,000 (\$500,000) DEPOSITARY RECEIPTS FOR COMMON STOCK. (FILE 33-37776 - NOV. 13) (BR. 99)
- F-6 AUSTRALIAN HYDROCARBONS NL/ADR, 2 RECTOR ST, C/O SECURITY PACIFIC NATL TRUST CO, NEW YORK, NY 10006 (212) 978-5009 - 10,000,000 (\$500,000) DEPOSITARY RECEIPTS FOR COMMON STOCK. (FILE 33-37777 - NOV. 13) (BR. 99)
- F-6 MITSUBISHI CORP/ADR, 2 RECTOR ST, C/O SECURITY PACIFIC NATIONAL TRUST CO, NEW YORK, NY 10006 (212) 978-5009 - 10,000,000 (\$500,000) DEPOSITARY RECEIPTS FOR COMMON STOCK. (FILE 33-37780 - NOV. 13) (BR. 99)
- S-8 BINDLEY WESTERN INDUSTRIES INC, 4212 W 71ST ST, INDIANAPOLIS, IN 46268 (317) 298-9900 - 750,000 (\$7,875,000) COMMON STOCK. (FILE 33-37781 - NOV. 13) (BR. 4)
- S-8 STONERIDGE RESOURCES INC, 2000 N WOODWARD AVE STE 300, BLOOMFIELD HILLS, MI 48304 (313) 540-9040 - 275,000 (\$1,134,375) COMMON STOCK. (FILE 33-37782 - NOV. 13) (BR. 4)
- S-3 CENTURY SOUTH BANKS INC, 200 W MAIN ST, P O BOX 159, DAHLONEGA, GA 30533 (404) 864-3314 - 100,000 (\$625,000) COMMON STOCK. (FILE 33-37784 - NOV. 14) (BR. 2)
- S-3 FPL GROUP INC, 11770 US HGWY ONE, N PALM BEACH, FL 33408 (407) 694-6300 - 9,200,000 (\$255,300,000) COMMON STOCK. UNDERWRITER: DEAN WITTER REYNOLDS INC, GOLDMAN SACHS & CO, MERRILL LYNCH & CO. (FILE 33-37808 - NOV. 13) (BR. 8)

ACQUISITION OF SECURITIES

Companies and individuals must report to the Commission within ten days on Schedule 13D if after the acquisition of equity securities of a public company their beneficial interest therein exceeds five percent. Persons eligible to use the short form (Schedule 13G) may in lieu of filing a Schedule 13D file a Schedule 13G within 45 days after the end of the calendar year in which the person became subject to Section 13(d)(1). Companies and individuals making a tender offer must have on file at the time the tender offer commences a Schedule 14D-1.

Below is a list of recent filings of Schedules 13D and 14D, which includes the following information: Column 1 - the company purchased (top), and the name of the purchaser; Column 2 - the type of security purchased; Column 3 - the type of form filed; Column 4 - the date the transaction occurred; Column 5 - the current number of shares (in 000's) owned (top) and the current percent owned; Column 6 - the CUSIP number (top) and the percent owned; and Column 7 - the status of the filing, i.e., new, update or revision.

NAME AND CLASS OF STOCK/OWNER	FORM	EVENT	SHRS(000)/	CUSIP/	FILING
		DATE	%OWNED	PRIOR%	STATUS
CODENOLL TECHNOLOGY CORP.	COM		242	19190010	
SALKIND MORTON	13D	11/ 8/90	5.3	0.0	NEW

## ACQUISITIONS CONT.

NAME AND CLASS OF STOCK/OWNER	FORM	EVENT DATE	SHRS(000)/ %OWNED	CUSIP/ PRIOR%	FILING STATUS
CORE INDS INC	COM		773	21867510	
STATE OF WISCONSIN INVEST BD	13D	11/ 1/90	7.9	6.5	UPDATE
DESOTO INC	COM		236	25059510	
AGIA INC	13D	11/13/90	5.8	0.0	NEW
DIVERSIFIED ENERGIES INC DEL	COM		879	25520510	
ALPINE ASSOCIATES ET AL	13D	11/ 8/90	5.5	0.0	NEW
ENERCON DATA CORP	COM		4,743	29299810	
MILLER MARSHALL D	13D	11/ 2/90	69.0	69.1	UPDATE
FABRI CTRS AMER INC	COM		110	30284610	
SHUFRO ROSE & ENRMAN	13D	11/ 8/90	2.2	6.3	UPDATE
FIRST EXECUTIVE CORP DEL	COM		19,844	32013510	
ICH CORP ET AL	13D	11/12/90	23.5	23.2	UPDATE
FIRST FRANKLIN CORP	COM		31	32027210	
DATATECH SERVICES INC ET AL	13D	7/24/90	4.9	5.7	UPDATE
FIRSTSHARES OF TX INC	COM		303	33791010	
WHALEY THOMAS LITTLE	13D	11/ 6/90	28.5	26.8	UPDATE
FORSCHNER GROUP INC	COM		277	34659010	
MEZZANINE LENDING ASSOC ET AL	13D	11/14/90	7.1	7.1	UPDATE
HADCO CORP	COM		436	40468110	
KROPPER JON F	13D	5/ 1/90	4.2	0.0	NEW
HARLEY DAVIDSON INC	COM		1,764	41282210	
STATE OF WISCONSIN INVEST BD	13D	11/ 6/90	9.9	8.9	UPDATE
HEMODYNAMICS INC	COM		1,500	42368810	
SORB ACQUISITION CORP	13D	11/ 8/90	27.0	0.0	NEW
ILLINOIS CENT CORP	COM SER A		2,352	45184110	
MEZZANINE LENDING ASSOC ET AL	13D	11/14/90	9.9	9.1	UPDATE
INTERNATIONAL BANKCARD SVCS	COM		2,475	45909610	
VAL HENRY	13D	10/31/90	34.0	0.0	NEW
KENTUCKY MED INS CO	CL A		106	49135910	
CALLANDER ROBERT L	13D	11/ 1/90	6.9	0.0	NEW
MSA REALTY CORP	COM		539	55349510	
GOLDMAN SACHS & CO ET AL	13D	11/ 7/90	6.2	0.0	NEW
NOVELLUS SYS INC	COM		690	67000810	
TIGER ET AL	13D	11/ 8/90	5.3	0.0	NEW

ACQUISITIONS CONT.

NAME AND CLASS OF STOCK/OWNER	FORM	EVENT DATE	SHRS(000)/ %OWNED	CUSIP/ PRIOR%	FILING STATUS
PERINI CORP FIDELITY INTL LTD	COM 13D	11/ 7/90	244 6.2	71383910 7.9	UPDATE
PERINI CORP FMR CORP	COM 13D	11/ 6/90	244 6.2	71383910 7.9	UPDATE
QUADRA LOGIC TECHNOLOGIES IN TRIAN EQUITIES LTD	COM 13D	11/ 7/90	695 5.5	74799710 6.3	UPDATE
REALTY SOUTH INVS INC RAINBOW PARTNERS ET AL	COM 13D	11/14/90	105 5.0	75612710 5.0	UPDATE
SEAGULL ENERGY CORP STATE OF WISCONSIN INVEST BD	COM 13D	11/ 9/90	428 6.1	81200710 5.7	UPDATE
SIGNAL APPAREL CO INC WALSH GREENWOOD & CO ET AL	CL A 13D	11/ 7/90	2,224 70.9	82661910 70.4	UPDATE
SIGNAL APPAREL CO INC WALSH GREENWOOD & CO ET AL	PFD CONV \$1.60 13D	11/ 7/90	46 29.1	82661920 28.0	UPDATE
SYLVAN FOODS HOLDINGS MEZZAMINE LENDING ASSOC ET AL	COM 13D	11/14/90	766 14.9	87137110 14.4	UPDATE
UNION PLANTERS CORP STATE OF WISCONSIN INVEST BD	COM 13D	11/ 6/90	913 5.0	90806810 5.8	UPDATE
US SHELTER CORP SHELTER HLDGS ET AL	COM 13D	11/ 7/90	3,175 33.3	91259510 19.6	UPDATE
VENTURA ENTMT GROUP LTD NETWORTH PARTNERS L P	COM 13D	11/ 5/90	455 5.9	92321810 6.9	RVISION
ZENTEC CORP SEIDMAN JACKSON FISHER & CO	COM 13D	11/ 9/90	1,308 26.9	98942810 4.1	UPDATE

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SEC PUBLIC INFORMATION NUMBERS

Members of the public seeking information and/or material from the Commission continue to complain of being incorrectly referred to the wrong telephone number by Commission staff. The following information is furnished to assist you in directly calling the appropriate office:

Consumer Affairs (202-272-7440): Investor inquiries and complaint processing information.

Freedom of Information Branch (202-272-7420): Requests concerning FOIA, Privacy Act, Sunshine Act, confidential treatment matters, etc.

Personnel Locator (202-272-2550): Requests for names and phone numbers of Commission personnel.

Public Affairs (202-272-2650): Information about matters in the SEC News Digest, the Commission's operations, and calls from the press not directed to particular individuals, and other related matters.

Public Reference (202-272-7450): Requests for information on whether or not a document has been filed, etc.

Publications Unit (202-272-7460/7461): Requests for forms, studies, directories, etc.

Office of the Secretary (202-272-2600): Requests for information on the Commission calendar.

SEC Information Line (202-272-3100/5624): General information about SEC operations and activities through a series of recorded messages.

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