

SEC NEWS DIGEST

Issue 2001-37

February 23, 2001

RULES AND RELATED MATTERS

COMMISSION ISSUES RELEASE GIVING NOTICE OF THE FILING OF PROPOSED PLAN ESTABLISHING PROCEDURES UNDER RULE 11Ac1-5

The Commission has issued a release giving notice of the filing of a national market system plan establishing procedures for market centers to follow in making reports available under Rule 11Ac1-5. Publication of the proposal is expected in the Federal Register during the week of February 26 (Rel 34-43992).

ENFORCEMENT PROCEEDINGS

SEC INSTITUTES ADMINISTRATIVE PROCEEDING IN THE MATTER OF TODD LASCOLA

On February 22, the Commission instituted an administrative proceeding against Todd J LaScola, a resident of Fort Lauderdale, Florida, based on the entry of an injunction prohibiting him from violating the antifraud provisions of the federal securities laws. In the Order, the Division of Enforcement (Division) alleges that, on June 23, 2000, LaScola was enjoined by the District Court for the District of Rhode Island from future violations of Section 17(a) of the Securities Act of 1933, Section 10(b) of the Securities Exchange Act of 1934 and Rule 10b-5 thereunder, and Sections 206(1) and 206(2) of the Investment Advisers Act of 1940. In the Complaint, filed on December 29, 1998 in the injunctive proceeding, the Division alleged that LaScola, CPI Investment Management, Inc., a registered investment adviser, and CPA Investment Advisors, Inc., a registered broker-dealer, violated the antifraud provisions of the Exchange Act and the Advisers Act by effecting unauthorized transactions in client and customer accounts and by misappropriating client and customer funds. Specifically, the Division alleged that in November 1998, LaScola improperly invested approximately \$6 million of a pension fund account owned by the International Brotherhood of Electrical Workers (IBEW) in speculative and illiquid promissory notes. The Division further alleged that when the IBEW demanded reimbursement for the promissory note investments, LaScola improperly directed funds from various client and customer securities accounts to the

IBEW's account without the clients' and customers' knowledge or consent. The Division also alleged that LaScola altered a customer's check and misappropriated \$200,000 of the customer's funds. The civil action was captioned SEC v. Todd J. LaScola, et al., CA No. 98-610T. On November 16, 2000, LaScola was also indicted on allegations that included the allegations in the complaint

A hearing before an administrative law judge will be scheduled to determine whether the allegations in the Order are true and to determine what remedial action, if any, is appropriate in the public interest. (Rels. 34-43995; IA-1927; File No. 3-10426)

COMMISSION ORDERS BERRYL SEPTIMUS TO CEASE AND DESIST FROM VIOLATING THE ANTIFRAUD AND OTHER PROVISIONS OF THE FEDERAL SECURITIES LAWS

On February 22, the Commission issued an Order Making Findings, Imposing Remedial Sanctions and Imposing a Cease and Desist Order (Order) requiring J. Beryll Septimus to cease and desist from violating the antifraud provisions of the federal securities laws, and from causing violations of the net capital and books and records provisions of the federal securities laws. The Order also suspends Septimus from association with a broker or dealer for six months, and requires him to pay a \$7,500 civil penalty. Septimus consented to the entry of the Order without admitting or denying the Division of Enforcement's allegations

The Division of Enforcement had alleged that Septimus was the controller of a now-defunct broker-dealer. Between April and September 1994, the principal of this broker-dealer orchestrated a manipulative scheme designed to increase and/or stabilize the prices of a number of the biotechnology securities that the broker-dealer took public and in which it made a market. The principal routinely sold biotechnology stocks from the broker-dealer's inventory accounts to brokerage accounts the principal controlled that were in the names of other individuals and entities. These controlled accounts then sold the biotechnology stocks back to the broker-dealer or to other accounts controlled by the principal. Through this trading, the principal was able to reduce the broker-dealer's inventory position in the biotechnology stocks, yet still artificially withhold from the market the supply of these stocks.

Septimus, the controller who among other things was responsible for maintaining a general ledger that contained detailed calculations of the broker-dealer's assets, knew, or was reckless in not knowing, that the principal controlled trading in a number of affiliated accounts. Indeed, Septimus maintained a spreadsheet detailing the securities holdings of accounts that the principal controlled. By maintaining detailed records of the securities that the principal held in the controlled accounts, Septimus knew, or was reckless in not knowing, that the principal, in his endeavor to reduce artificially the broker-dealer's inventory, was parking biotechnology securities in the controlled accounts and that the principal was withholding from the market the supply of the biotechnology stocks. At the principal's direction, Septimus further assisted the principal by moving money and securities into and out of a bank, where the principal maintained numerous cash and

securities custody accounts, in response to various purchases and sales of securities made by the principal.

On at least eight days between March through June 1994, the broker-dealer operated and purchased and/or sold securities without sufficient net capital. Among other reasons, the broker-dealer improperly calculated net capital, and had a net capital deficiency, because the principal removed blocks of non-marketable securities from the firm's inventory (the value of which could not be included when calculating net capital) and parked them in customer accounts. The transfer of these securities enabled the broker-dealer to replace the non-marketable securities with cash or a receivable, thereby inflating the broker-dealer's net capital position. As noted above, Septimus was responsible for maintaining the broker-dealer's general ledger that contained detailed calculations of all asset classes. Inaccuracies in the inventory amounts on the general ledger led to inaccurate amounts of inventory, total indebtedness and net capital reported on the Financial Operational Combined Uniform Single Reports and on the broker-dealer's financial records. Septimus knew, or was reckless in not knowing, the broker-dealer was reporting an artificially low amount of securities held in its inventory, and an artificially high amount of cash and other receivables.

The Order requires Septimus to cease and desist from committing or causing any violations of Section 17(a) of the Securities Act of 1933, and Section 10(b) of the Securities Exchange Act of 1934 and Rule 10b-5, and from causing any violations of Sections 15(c) and 17(a) of the Securities Exchange Act of 1934 and Rules 10b-3, 15c-1, 15c3-1, 17a-3 and 17a-5. The Order also suspends Septimus from association with a broker or dealer for six months. Finally, the Order requires Septimus to pay a \$7,500 civil penalty (Rels 33-7954, 34-43996, File No 3-9930).

U.S. ATTORNEY INDICTS FOUR PEOPLE IN CONNECTION WITH FRAUDULENT FOREIGN CURRENCY INVESTMENT SCHEME HALTED BY SEC

The Commission announced that on January 11, 2001, the United States Attorney's Office (USAO) unsealed an indictment charging four individuals with, among other things, having engaged in mail and wire fraud and money laundering in connection with a fraudulent foreign currency investment scheme. The SEC had previously halted the foreign currency trading scheme, International Capital Management, Inc (ICM), by obtaining emergency civil relief on September 30, 1998. The USAO announced the indictment during a press conference held at the SEC's Southeast Regional Office in Miami to publicize the launch of a new Securities Fraud Initiative designed to enhance criminal enforcement against violators of the federal securities laws.

The indictment charges Kenneth T. Tripoli ("K Tripoli"), his brother, Lawrence T. Tripoli, K Tripoli's brother-in-law, Nelson N. Schembari, and Jared L. D'Argenio with having fraudulently offered and sold securities in ICM's foreign exchange market investment program between July 1997 and September 1998. The indictment further charges the defendants with, among other things, having prepared false and misleading offering materials for use in soliciting investors. Among other things, the fraudulent offering

materials falsely described how ICM would use investor funds, lied about the profits ICM had generated for its investors, and untruthfully claimed that ICM administered investor funds in segregated accounts. In addition, the defendants omitted to disclose, among other things, that in 1997 the SEC had barred K. Tripoli from association with any broker, dealer, municipal securities dealer, investment adviser or investment company.

On September 30, 1998, the SEC filed a complaint for emergency relief, alleging that ICM violated the securities registration provisions of the federal securities laws and raised investor funds by means of false and misleading statements. Without admitting or denying the SEC's allegations, ICM consented to the entry of a permanent injunction against future violations of Sections 5(a), 5(c), and 17(a) of the Securities Act of 1933 and Section 10(b) of the Securities Exchange Act of 1934 and Rule 10b-5 thereunder. ICM also consented to an asset freeze and the appointment of a receiver over its operations. For additional information, see SEC Release No 15922 (October 2, 1998). [U.S. v. Kenneth T. Tripoli, et al., Civil Action No 01-00010-CR-JORDAN] (LR-16905)

SEC DEFENDANT PLEADS GUILTY TO MAIL FRAUD AND MONEY LAUNDERING

The Commission announced that on January 19, 2001, Robin McEachin, former president of Meridian Asset Management, Inc. (Meridian), a broker dealer and investment advisory firm based in Tallahassee, Florida, pled guilty to one count of mail fraud and one count of money laundering in a plea agreement with the U.S. Attorney's Office in Tallahassee, Florida. The SEC had previously brought settled civil injunctive and administrative proceedings against McEachin.

The SEC filed its complaint against Meridian and McEachin on July 26, 2000. Among other things, the SEC alleged in its complaint that from at least 1998 through the date of the complaint, McEachin misappropriated at least \$1 million, in large part pension funds, which his customers entrusted to him for investment on their behalf. To conceal his theft, McEachin created fictitious Meridian account statements. The SEC also alleged in its complaint that Meridian failed to maintain the minimum net capital required by law, and that it failed, or was in danger of failing, to meet its obligations to its customers.

On August 1, 2000, the Honorable Robert L. Hinkle, of the United States District Court for the Northern District of Florida, entered an order of permanent injunction ("Order"), by consent, against Meridian and McEachin. In its Order, the Court enjoined Meridian and McEachin from future violations of the antifraud and net capital provisions of the federal securities laws. Specifically, the Order enjoins Meridian and McEachin from violating Sections 17(a)(1), 17(a)(2), and 17(a)(3) of the Securities Act of 1933, and Section 10(b) of the Securities Exchange Act of 1934 ("Exchange Act") and Rule 10b-5 thereunder. The Court further enjoined Meridian from violations of Section 15(c)(3) of the Exchange Act and Rule 15c3-1 thereunder, and Sections 206(1) and 206(2) of the Investment Advisers Act of 1940 ("Advisers Act"), and enjoined McEachin from aiding and abetting violations of Section 15(c)(3) of the Exchange Act and Rule 15c3-1 thereunder, and Sections 206(1) and 206(2) of the Advisers Act.

Following entry of the permanent injunction, the SEC instituted and simultaneously settled public administrative proceedings against McEachin, pursuant to which, the SEC barred McEachin from association with any broker, dealer, or investment adviser.

For additional information about the SEC's federal court action, see Litigation Release No. 16638. For additional information about the SEC's settled administrative proceeding against McEachin, see Exchange Act Release No. 43722 (December 13, 2000), and Advisers Act Release No. 1914 (December 13, 2000). [U.S. v. Robin McEachin 4:00-CR-60-RH] (LR-16906)

INVESTMENT COMPANY ACT RELEASES

ORDERS OF DEREGISTRATION UNDER THE INVESTMENT COMPANY ACT

Orders have been issued under Section 8(f) of the Investment Company Act declaring that each of the following has ceased to be an investment company:

- Morgan Keegan Southern Capital Fund, Inc
[File No 811-4658]
(Rel IC-24859 - February 21, 2001)
- Merrill Lynch Consults International Portfolio
[File No 811-6725]
(Rel IC- 24860 - February 21, 2001)
- The Foreign & Colonial Emerging Middle East Fund, Inc
[File No 811-8678]
(Rel IC- 24861 - February 21, 2001)
- Pathfinder Trust
[File No 811-5020]
(Rel IC- 24862 - February 21, 2001)
- Schroder Capital Funds
[File No 811-9130]
(Rel IC- 24863 - February 21, 2001)
- Independence Square Income Securities, Inc
[File No. 811-2233]
(Rel IC- 24864 - February 21, 2001)
- Connecticut Limited Maturity Municipals Portfolio
[File No 811-7518]
(Rel IC- 24865 - February 21, 2001)
- Michigan Limited Maturity Municipals Portfolio
[File No. 811-7522]
(Rel. IC- 24866 - February 21, 2001)
- Lord Abbett Equity Fund
[File No 811-6033]
(Rel IC-24867 - February 21, 2001)

Nuveen Tax-Exempt Money Market Fund, Inc.
[File No 811-3134]
(Rel. IC-24868 - February 21, 2001)

Nuveen California Tax-Free Fund, Inc.
[File No. 811-4508]
(Rel. IC-24869 - February 21, 2001)

Nuveen Tax-Free Money Market Fund, Inc.
[File No. 811-4822]
(Rel IC-24870 - February 21, 2001)

Balanced Portfolio
[File No 811-8010]
(Rel. IC-24871 - February 21, 2001)

American Municipal Trust
[File No 811-3733]
(Rel IC-24872 - February 21, 2001)

Bank Fiduciary Fund - Equity
[File No 811-667]
(Rel IC-24873 - February 21, 2001)

Bank Fiduciary Fund - Fixed Income
[File No. 811-1996]
(Rel IC-24874 - February 21, 2001)

The Govett Funds, Inc
[File No 811-6229]
(Rel IC-24875 - February 21, 2001)

PPM America Funds
[File No 811-9001]
(Rel IC-24876 - February 21, 2001)

GOLDMAN SACHS TRUST, ET AL.

An order has been issued on an application filed by Goldman Sachs Trust, et al for an exemption from Section 17(a) of the Investment Company Act. The order permits certain money market funds to engage in principal transactions in tax-exempt money market instruments with an affiliated dealer (Rel. IC-24877 – February 21)

SELF-REGULATORY ORGANIZATIONS

IMMEDIATE EFFECTIVENESS OF PROPOSED RULE CHANGE

A proposed rule change filed by the Philadelphia Stock Exchange relating to fees for transactions executed through the eVWAP Trading System (SR-Phlx-01-03) 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 February 26 (Rel 34-43994)

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

S-B REPUBLIC OF COLOMBIA, 10 EAST 46TH ST, C/O CONSUL REBUBLIC OF
COLOMBIA,
NEW YORK, NY 10017 - 1,500,000,000 (\$1,500,000,000) STRAIGHT BONDS.
(FILE
333-13172 - FEB. 16) (BR. 99)

S-8 SYNOVUS FINANCIAL CORP, 901 FRONT AVENUE, STE 301, COLUMBUS, GA
31901
(706) 649-2267 - 138,317 (\$3,889,474) COMMON STOCK. (FILE 333-55748 -
FEB. 16) (BR. 7)

S-8 INSIGNIA FINANCIAL GROUP INC /DE/, 200 PARK AVENUE, NEW YORK, NY
10166
(864) 298-8000 - 110,000 (\$1,346,800) COMMON STOCK. (FILE 333-55752 -
FEB. 16) (BR. 8)

S-8 STERLING CHEMICALS HOLDINGS INC /TX/, 1200 SMITH ST, SUITE 1900,
HOUSTON, TX 77002 (713) 650-3700 - 1,000,000 (\$531,250) COMMON STOCK.
(FILE 333-55756 - FEB. 16) (BR. 2)

S-3 INNOVATIVE MEDICAL SERVICES, 1725 GILLESPIE WAY, STE H, EL CAJON, CA
92020 (619) 596-8600 - 262,518 (\$918,813) COMMON STOCK. (FILE 333-
55758 -
FEB. 16) (BR. 5)

S-8 724 SOLUTIONS INC, 4101 YONGE STREET, SUITE 702, TORONTO, A6 0000
(416) 226-2900 - 3,539,245 (\$35,286,273) COMMON STOCK. (FILE 333-55760
-
FEB. 16) (BR. 5)

S-8 BIO SOLUTIONS INTERNATIONAL INC, 15945 QUALITY TRAIL N, SCANDIA, NM
55073 (561) 624-7299 - 12,000,000 (\$120,000) COMMON STOCK. (FILE
333-55762 - FEB. 16) (BR. 9)

S-3 GOOD GUYS INC, 7000 MARINA BLVD, BRISBANE, CA 94005 (415) 615-5000 -
5,911,969 (\$33,520,864) COMMON STOCK. (FILE 333-55770 - FEB. 16) (BR.
2)

S-8 DONNELLEY R R & SONS CO, 77 W WACKER DR, CHICAGO, IL 60601
(312) 326-8000 - 2,000,000 (\$55,900,000) COMMON STOCK. (FILE 333-55788
-
FEB. 16) (BR. 5)

S-8 GILLETTE CO, PRUDENTIAL TOWER BLDG, SUITE 4800, BOSTON, MA 02199
(617) 421-7000 - 18,472,120 (\$599,420,294) COMMON STOCK. (FILE 333-
55790 -
FEB. 16) (BR. 6)

S-8 TESSA COMPLETE HEALTH CARE INC/GA, 138 ESCONDIDO AVENUE, SUITE 207,
VISTA, CA 92084 (760) 643-3952 - 12,500,000 (\$500,000) COMMON STOCK.
(FILE 333-55792 - FEB. 16) (BR. 9)

S-8 DRAGON PHARMACEUTICALS INC, 543 GRANVILLE STREET SUITE 1200,
VANCOUVER BC V6C 1X8, A1 - 3,050,000 (\$7,243,750) COMMON STOCK. (FILE
333-55794 - FEB. 16) (BR. 9)

S-8 PARAMETRIC TECHNOLOGY CORP, 128 TECHNOLOGY DR, WALTHAM, MA 02453
(781) 398-5000 - 8,000,000 (\$119,750,000) COMMON STOCK. (FILE 333-
55798 -
FEB. 16) (BR. 3)

S-8 PARAMETRIC TECHNOLOGY CORP, 128 TECHNOLOGY DR, WALTHAM, MA 02453
(781) 398-5000 - 9,500,000 (\$142,203,125) COMMON STOCK. (FILE 333-
55800 -
FEB. 16) (BR. 3)

S-8 ORATEC INTERVENTIONS INC, 3700 HAVEN COURT, 415-369-9904, MENLO
PARK, CA
94025 (650) 369-9904 - 1,323,729 (\$8,505,921) COMMON STOCK. (FILE
333-55802 - FEB. 16)

S-3 LSI INDUSTRIES INC, 10000 ALLIANCE RD, P O BOX 42728, CINCINNATI, OH
45242 (513) 579-6411 - 109,430 (\$2,154,403.13) COMMON STOCK. (FILE
333-55808 - FEB. 16) (BR. 5)

S-8 BANKUNITED FINANCIAL CORP, 255 ALHAMBRA CIRCLE, CORAL GABLES, FL
33134
(305) 569-2000 - 1,700,000 (\$16,575,000) COMMON STOCK. (FILE 333-55812
-
FEB. 16) (BR. 7)

S-3 ACXIOM CORP, 1 INFORMATION WAY, P O BOX 8180, LITTLE ROCK, AR 72203
(581) 342-1000 - 275,862 (\$8,526,894.42) COMMON STOCK. (FILE 333-55814
-
FEB. 16) (BR. 3)

S-8 MICROS SYSTEMS INC, 12000 BALTIMORE AVE, BELTSVILLE, MD 20705
(301) 201-6000 - 150,000 (\$2,728,500) COMMON STOCK. (FILE 333-55816 -
FEB. 16) (BR. 3)

S-8 METTLER TOLEDO INTERNATIONAL INC/, IM LANGACHER P O BOX MT-100,
CH 8606 GREIFENSEE, SWITZERLAND, V8 10022 (212) 644-5900 - 2,500,000
(\$121,933,593.75) COMMON STOCK. (FILE 333-55820 - FEB. 16) (BR. 5)

S-8 KANA COMMUNICATIONS INC, 740 BAY RD, REDWOOD CITY, CA 94063
(650) 325-9850 - 4,665,994 (\$18,104,056.72) COMMON STOCK. (FILE 333-
55822
- FEB. 16) (BR. 8)

S-8 PANTRY INC, 1801 DOUGLAS DR, PO BOX 1410, SANFORD, NC 27330
(919) 774-6700 - 5,100,000 (\$45,084,000) COMMON STOCK. (FILE 333-55836
-
FEB. 16) (BR. 2)

S-8 CARRIZO OIL & GAS INC, 14701 ST MARYS LANE, STE 800, HOUSTON, TX
77079
(281) 496-1352 - 500,000 (\$4,406,250) COMMON STOCK. (FILE 333-55838 -
FEB. 16) (BR. 4)

S-8 FIRST VIRTUAL COMMUNICATIONS INC, 3393 OCTAVIUS DR STE 102, SANTA
CLARA,
CA 95054 (408) 567-7200 - 3,500,000 (\$5,250,000) COMMON STOCK. (FILE
333-55848 - FEB. 16) (BR. 3)

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			
ADATOM COM INC	DE	X			X	X						02/14/01	
ADELPHIA BUSINESS SOLUTIONS INC	DE				X	X						02/15/01	
ADELPHIA COMMUNICATIONS CORP	DE				X	X						02/15/01	
ADEPT TECHNOLOGY INC	CA				X	X						02/22/01	
ADVANCEPCS	DE				X	X						02/22/01	
AES CORPORATION	DE				X	X						02/21/01	
AFG INVESTMENT TRUST A	MA		X					X				02/07/01	

NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
AFG INVESTMENT TRUST B	MA		X						X		02/07/01	
AFG INVESTMENT TRUST C	MA		X						X		02/07/01	
AFG INVESTMENT TRUST D	MA		X						X		02/07/01	
AIRPLANES LTD	DE					X					02/21/01	
AIRPLANES LTD	DE					X		X			02/22/01	
AIRPLANES US TRUST	DE					X					02/21/01	
AIRPLANES US TRUST	DE					X		X			02/22/01	
AIRPORT SYSTEMS INTERNATIONAL INC	KS					X					02/22/01	
AIRPORT SYSTEMS INTERNATIONAL INC	KS								X		02/22/01	
ALLBERRY INC	DE					X					02/21/01	
ALLSCRIPTS HEALTHCARE SOLUTIONS INC						X		X			02/21/01	
AMERI FIRST FINANCIAL GROUP INC	NV		X					X	X		11/01/00	
AMERI FIRST FINANCIAL GROUP INC	NV			X				X			02/02/01	
AMERICAN MEDICAL SECURITY GROUP INC	WI								X		02/21/01	
AMERICAN RETIREMENT CORP	TN								X		02/22/01	
AMR CORP	DE								X		02/21/01	
APW LTD			X					X			02/16/01	
ARCADIA RECEIVABLES FINANCE CORP	DE					X		X			02/15/01	
ARCADIA RECEIVABLES FINANCE CORP	DE					X		X			02/15/01	
ARCADIA RECEIVABLES FINANCE CORP	DE					X		X			02/15/01	
ARCADIA RECEIVABLES FINANCE CORP	DE					X		X			02/15/01	
ARCADIA RECEIVABLES FINANCE CORP	DE					X		X			02/15/01	
ARCADIA RECEIVABLES FINANCE CORP	DE					X		X			02/15/01	
ARCADIA RECEIVABLES FINANCE CORP	DE					X		X			02/15/01	
ARCADIA RECEIVABLES FINANCE CORP	DE					X		X			02/15/01	
ARCADIA RECEIVABLES FINANCE CORP	DE					X		X			02/15/01	
ARCADIA RECEIVABLES FINANCE CORP	DE					X		X			02/15/01	
ARCADIA RECEIVABLES FINANCE CORP	DE					X		X			02/15/01	
ARCADIA RECEIVABLES FINANCE CORP	DE					X		X			02/15/01	
ARCADIA RECEIVABLES FINANCE CORP	DE					X		X			02/15/01	
ARCADIA RECEIVABLES FINANCE CORP	DE					X		X			02/15/01	
ASHLAND INC	KY					X					02/22/01	
ASIAN ALLIANCE VENTURES INC	NV				X						04/16/00	
ASSOCIATED GOLF MANAGEMENT INC	NV				X						02/14/00	
BALANCED LIVING INC	NV	X	X			X	X	X		X	02/07/01	
BALLY TOTAL FITNESS HOLDING CORP	DE					X					02/22/01	
BANC ONE HELOC TRUST 1998-1	OH					X		X			02/20/01	
BANC ONE HELOC 1999-1	OH					X		X			02/20/01	
BANK OF AMERICA MORTGAGE SECURITIES INC	DE					X		X			02/21/01	
BANYAN STRATEGIC REALTY TRUST	MA					X		X	X		02/20/01	
BARTON BEERS LTD	MD					X					02/21/01	
BARTON BRANDS LTD /DE/	DE					X					02/21/01	
BARTON BRANDS OF CALIFORNIA INC	CT					X					02/21/01	
BARTON BRANDS OF GEORGIA INC	GA					X					02/21/01	
BARTON CANADA LTD	DE					X					02/21/01	
BARTON DISTILLERS IMPORT CORP	NY					X					02/21/01	
BARTON FINANCIAL CORP	DE					X					02/21/01	
BARTON INC	DE					X					02/21/01	
BATAVIA WINE CELLARS INC	NY					X					02/21/01	
BEAR STEARNS COMMERCIAL MORTGAGE SE CURITIES INC	DE	X									01/16/01	
BEAR STEARNS COMMERCIAL MORTGAGE SE CURITIES INC	DE	X									01/16/01	

NAME OF ISSUER	STATE CODE	BK ITEM NO.									DATE	COMMENT	
		1	2	3	4	5	6	7	8	9			
BEAR STEARNS COMMERCIAL MORTGAGE SE CURITIES INC	DE	X										01/16/01	
BIOTRANSPLANT INC	DE				X	X						02/21/01	
BOSTON SCIENTIFIC CORP	DE	X				X						02/15/01	
BRIDGE BANCORP INC	NY				X							02/28/01	
BROWN FORMAN CORP	DE								X			02/21/00	
BROWN SHOE CO INC/	NY								X			02/22/01	
CALENERGY MINERALS LLC	DE				X	X						02/21/01	AMEND
CALENERGY OPERATING CORP	DE				X	X						02/21/01	AMEND
CANADIAN GENERAL CAPITAL	DE				X	X						02/20/01	
CANANDAIGUA B V	DE				X							02/21/01	
CANANDAIGUA EUROPE LTD	NY				X							02/21/01	
CANANDAIGUA LTD	NY				X							02/21/01	
CANANDAIGUA WINE CO INC /NY/	NY				X							02/21/01	
CAPITAL SENIOR LIVING CORP	DE				X							02/08/01	
CARDIMA INC	DE	X						X				12/19/00	AMEND
CARREKER CORP	DE							X				02/22/01	
CB RICHARD ELLIS SERVICES INC	DE							X	X			02/21/01	
CE SALTON SEA INC	DE				X	X						02/21/01	AMEND
CE TURBO LLC	DE				X	X						02/21/01	AMEND
CENTRAL PARKING CORP	TN				X	X						02/20/01	
CGB&L FINANCIAL GROUP INC	DE				X	X						02/16/01	
CHARLES & COLVARD LTD	NC				X	X						02/21/01	
CHESAPEAKE ENERGY CORP	OK				X	X						02/06/01	
CHESAPEAKE ENERGY CORP	OK				X	X						02/20/01	
CHEVY CHASE AUTO RECEIVABLES TRUST 1996-2	MD				X							01/22/01	
CHEVY CHASE AUTO RECEIVABLES TRUST 1997-1	MD				X							01/22/01	
CHEVY CHASE AUTO RECEIVABLES TRUST 1997-2	MD				X							01/22/01	
CHEVY CHASE AUTO RECEIVABLES TRUST 1997-3	MD				X							01/22/01	
CHEVY CHASE AUTO RECEIVABLES TRUST 1997-4	MD				X							01/22/01	
CHEVY CHASE AUTO RECEIVABLES TRUST 1998-1	MD				X							01/22/01	
CHEVY CHASE AUTO RECEIVABLES TRUST 1998-2	MD				X							01/22/01	
CHEVY CHASE AUTO RECEIVABLES TRUST 2000-1	MD				X							01/22/01	
CHEVY CHASE AUTO RECEIVABLES TRUST 2000-2	MD				X							01/22/01	
CHEVY CHASE HOME LOAN TRUST 1996-1	MD				X							01/22/01	
CHEVY CHASE HOME LOAN TRUST 1997-1	MD				X							01/22/01	
CHICAGO BRIDGE & IRON CO N V		X			X	X						02/07/01	
CITICORP MORTGAGE SECURITIES INC	DE				X							02/22/01	
CLOUD PEAK CORP	DE				X							02/21/01	
COCA COLA CO	DE				X	X						02/21/01	
COMM BANCORP INC	PA				X							02/21/01	
COMMUNITY HEALTH SYSTEMS INC/	DE					X	X		X			02/21/01	
CONEJO ENERGY CO	CA				X	X						02/21/01	AMEND
CONOCO INC /DE	DE					X						02/22/01	
CONSTELLATION BRANDS INC	DE				X							02/21/01	

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		1	2	3	4	5	6	7	8	9		
COOPER INDUSTRIES INC	OH									X	02/21/01	
CORPORATE BOND BACKED CERT TRUST SE RIES 1997-BELLSOUTH-1					X		X				01/16/01	
CORPORATE BOND BACKED CERTIFICATES TRUST SERIES 1997-CHR-1	DE				X		X				02/01/01	
CORPORATE VISION INC /OK	OK	X									02/22/01	
CPS AUTO RECEIVABLES TRUST 1998-4	CA							X			01/01/01	
CROWN ANDERSEN INC	DE			X			X				01/23/01	AMEND
CSS INDUSTRIES INC	DE								X		02/21/01	
CTC COMMUNICATIONS GROUP INC	DE				X						02/21/01	
CURAGEN CORP	DE				X		X				02/22/01	
CV THERAPEUTICS INC	DE				X		X				02/20/01	
CWABS INC	DE				X		X				02/08/01	
CWABS INC	DE				X		X				02/21/01	
DAW TECHNOLOGIES INC /UT	UT				X		X				02/16/01	
DDI CORP	CA				X		X				02/08/01	
DEL CERRO ENTERPRISES INC				X							02/09/01	
DEL RANCH LP	CA				X		X				02/21/01	AMEND
DEUTSCHE FLOORPLAN RECEIVABLES L P	DE				X		X				01/31/01	
DIME BANCORP INC	DE				X						02/20/01	
DISCOVER CARD MASTER TRUST I	DE				X						08/31/00	
DISCOVER CARD MASTER TRUST I	DE				X						12/31/00	
DISCOVER CARD MASTER TRUST I	DE				X						01/31/01	
DOBSON COMMUNICATIONS CORP	OK		X		X				X		02/22/01	AMEND
DONALDSON CO INC	DE				X		X				02/22/01	
E PRIME AEROSPACE CORP	CO				X						02/20/01	
E SPIRE COMMUNICATIONS INC	DE							X	X		02/12/01	
E TREND NETWORKS INC /DE	DE	X	X		X		X				02/21/01	
EDGEWATER TECHNOLOGY INC/DE/	DE				X						02/21/01	
EL PASO CORP/DE	DE				X		X				02/21/01	AMEND
ELMORE LP	CA				X		X				02/21/01	AMEND
EMCEE BROADCAST PRODUCTS INC	DE				X						02/16/01	
EMPIRE GOLD INC	IN	X									11/15/00	
EMPIRE GOLD INC	IN	X									02/12/01	
ENZON INC	DE				X						02/16/01	
EXPRESS SCRIPTS INC	DE		X								02/22/01	
FINISAR CORP	CA				X		X				02/20/01	
FIRST ALLIANCE CORP /DE/	DE				X		X				02/14/01	
FIRST AMERICAN FINANCIAL CORP	CA				X		X				02/20/01	
FIRST DATA CORP	DE				X		X				02/21/01	
FIRST MIDWEST BANCORP INC	DE				X		X				02/21/01	
FIRST MIDWEST BANCORP INC	DE				X		X				02/22/01	
FISH LAKE POWER LLC	DE				X		X				02/21/01	AMEND
FORD MOTOR CREDIT CO	DE				X		X				12/22/00	
FRANCISCAN VINEYARDS INC	DE				X						02/21/01	
FRANKLIN RECEIVABLES LLC	DE		X								01/31/01	
FREESHOP COM INC	WA				X		X				02/21/00	
G&L REALTY CORP	MD				X		X				02/20/01	
GBI CAPITAL MANAGEMENT CORP	FL	X	X				X				02/08/01	
GENERAL MAGIC INC	DE				X		X				02/14/01	
GENESCO INC	TN								X		02/20/01	
GERALD STEVENS INC/	FL				X		X				02/20/01	
GOLD BANC CORP INC	KS				X						02/19/01	
GOLDEN ISLES FINANCIAL HOLDINGS INC	GA				X		X				02/21/01	

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	CODE	1	2	3	4	5	6	7	8	9		
GOLDFIELD CORP	DE					X	X				02/22/01	
GRAND UNION CO /DE/	DE					X	X				02/13/01	
GREATAMERICA LEASING RECEIVABLES 20 00-1 LLC	DE					X	X				02/20/01	
GROW BIZ INTERNATIONAL INC	MN					X	X				02/20/01	
GS MORTGAGE SEC CORP II COMM MORT P A THRO CERT SER 1997-GL1	DE	X									01/13/01	
GUINNESS TELLI-PHONE CORP	NV					X	X				02/21/01	
HASTINGS MANUFACTURING CO	MI					X	X				02/20/01	
HEALTHCENTRAL COM	DE					X	X				02/22/01	
HERITAGE OAKS BANCORP	CA					X					01/25/01	
HIGH EQUITY PARTNERS L P SERIES 86	DE					X					02/16/01	
HIGH EQUITY PARTNERS L P SERIES 88	DE					X					02/16/01	
HOLLYWOOD PARTNERS COM INC	DE					X	X				02/05/01	AMEND
HONDA AUTO RECEIVABLES 1999-1 OWNER TRUST	CA					X	X				01/31/01	
HONDA AUTO RECEIVABLES 2000-1 OWNER TRUST	CA					X	X				01/31/01	
HOUSEHOLD CREDIT CARD MASTER NOTE T RUST I	DE						X				02/22/01	
HOUSEHOLD CREDIT CARD MASTER TRUST I	DE						X				02/22/01	
HOUSEHOLD FINANCE CORP HOUSEHOLD AF F CRE CAR MAS TR I	DE						X				02/22/01	
HOUSEHOLD RECEIVABLES FUNDING INC I II	DE						X				02/22/01	
HYBRID NETWORKS INC	DE					X	X				02/16/01	
HYBRID NETWORKS INC	DE					X					02/16/01	AMEND
I TRAX INC	DE	X				X	X				02/07/01	
IBP INC	DE					X	X				02/22/01	
ILLINOIS SUPERCONDUCTOR CORPORATION	DE					X	X				02/22/01	
IMAGIS TECHNOLOGIES INC	AL	X									02/19/01	
INCUBATETHIS INC	CO					X	X				01/16/01	
INFOCURE CORP	DE					X	X				02/21/01	
INGERSOLL RAND CO	NJ	X									02/21/01	AMEND
INSWEB CORP	DE						X	X			02/21/01	
INTACTA TECHNOLOGIES INC	NV	X									02/12/01	
INTACTA TECHNOLOGIES INC	NV	X									02/20/01	
INTERNATIONAL BANCSHARES CORP	TX					X	X				02/20/01	
KANA COMMUNICATIONS INC	DE					X					02/21/01	
LASON INC	DE					X					02/13/01	
LASV ENTERPRISES INC	AL	X				X	X				02/19/01	
LEATHERS L P	CA					X	X				02/21/01	AMEND
LNR PROPERTY CORP	DE					X	X				02/05/01	
LOOKSMART LTD	DE					X	X				02/20/01	
LORAL SPACE & COMMUNICATIONS LTD	DO					X	X				02/22/01	
LUIGINOS INC	MN	X					X				02/09/01	
M J LEWIS CORP	DE					X					02/21/01	
M&T BANK CORP	NY					X	X				02/09/01	
MACK CALI REALTY CORP	MD						X	X			02/21/01	
MARKWEST HYDROCARBON INC	DE					X					02/22/01	
MARVELL TECHNOLOGY GROUP LTD	DO					X	X				02/22/01	
MCLEODUSA INC	DE						X	X			02/21/01	
MEADOWBROOK INSURANCE GROUP INC	MI					X	X				02/15/01	

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	CODE	1	2	3	4	5	6	7	8	9		
MEDTRONIC INC	MN									X	02/12/01	
MEGA MICRO TECHNOLOGIES GROUP	NV				X						02/22/01	
MEMRY CORP	DE		X					X			02/08/01	
MENS WEARHOUSE INC	TX				X		X				02/22/01	
MENTOR CORP /MN/	MN		X					X			02/09/01	
MERIDIAN RESOURCE CORP	TX				X		X				01/29/01	
MERRIMAC INDUSTRIES INC	NJ				X		X				02/21/01	
MERRIMAC INDUSTRIES INC	NJ				X		X				02/22/01	
MILLER HERMAN INC	MI				X		X				02/21/01	
MMCA AUTO OWNER TRUST 1999-2	DE				X		X				02/15/01	
MMCA AUTO OWNER TRUST 2000-1	DE				X		X				02/15/01	
MMCA AUTO OWNER TRUST 2000-2	DE				X		X				02/15/01	
MONARCH IMPORT CO	IL				X						02/21/01	
MONMOUTH REAL ESTATE INVESTMENT CORP	DE				X						02/06/01	
MONY GROUP INC	DE		X					X			01/31/01	
MORGAN JP COMMERCIAL MOR FIN CORP MOR PAS THR CE SER 2000-C9	DE		X								01/16/01	
MORGAN STANLEY DEAN WITTER CAP I INC C DEP FOR SER 2001-TOP1	DE				X		X				02/22/01	
MT VEEDER CORP	DE				X						02/21/01	
N VISION TECHNOLOGY INC	DE		X								02/20/01	
NATIONAL CITY CREDIT CARD MASTER TRUST								X			02/15/01	
NATIONSLINK FUNDING CORP COMM MORT PASS THR CER SER 1999 SL	DE		X								01/10/01	
NATIONSLINK FUNDING CORP 1999-LTL-1 COMMER LOAN PAS THR CER	DE		X								01/16/01	
NEVER MISS A CALL INC	NV				X						02/21/01	
NEXTEL INTERNATIONAL INC	WA				X		X				02/22/01	
NIGUEL ENERGY CO	CA				X		X				02/21/01	AMEND
NITTANY FINANCIAL CORP	PA						X	X			02/21/01	
ONEOK INC /NEW/	OK						X	X			02/22/01	
ONYX PHARMACEUTICALS INC	DE				X		X				01/29/01	
OPTION ONE MORT ACCEP CORP ASSET BACKED CERT SER 2001-1	DE		X					X			01/31/01	
OSAGE SYSTEMS GROUP INC	DE		X	X				X			02/09/01	
OWOSSO CORP	PA						X				02/19/01	
PACIFIC AEROSPACE & ELECTRONICS INC	WA						X	X			02/15/01	
PEOPLES BANCORP INC	OH		X								02/21/01	
PHILIP MORRIS COMPANIES INC	VA							X			12/11/00	AMEND
PHILLIPS PETROLEUM CO	DE						X	X			02/21/01	
PITT DES MOINES INC	PA		X					X			02/07/01	
PLANETGOOD TECHNOLOGIES INC	NV			X			X				02/12/01	
PNC MORT ACCEPT CORP COMMERC MORT PASS THR CERT SER 1999 CM1	MO						X	X			02/12/01	
PNC MORT SEC CORP COM MORT PASS THR CERT SER 2000-C1	MO						X	X			02/16/01	
POINT WEST CAPITAL CORP	DE						X				01/13/01	
POLYPHENOLICS INC	NY						X				02/21/01	
PORTLAND GENERAL ELECTRIC CO /OR/	OR						X				02/22/01	
PRAECIS PHARMACEUTICALS INC	DE						X				02/22/01	AMEND
PRIME RECEIVABLES CORP	DE							X			02/15/01	
PROCTER & GAMBLE CO	OH						X				02/21/01	

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		1	2	3	4	5	6	7	8	9		
PROVIDENCE & WORCESTER RAILROAD CO/ RI/	RI					X		X			02/21/01	
PROVIDIAN FINANCIAL CORP	DE					X		X			02/08/01	
PROVIDIAN MASTER TRUST						X					02/15/01	
PROVIDIAN NATIONAL BANK /NEW/						X					02/15/01	
PROXICOM INC	DE					X		X			02/22/01	
PTEK HOLDINGS INC	GA					X		X			02/21/01	
QUIDEL CORP /DE/	DE		X					X			12/08/00	AMEND
RADIANT ENERGY CORP						X					02/22/01	
REDWOOD EMPIRE BANCORP	CA					X					02/22/01	
RELIANT ENERGY RESOURCES CORP	DE					X		X			02/15/01	
RESIDENTIAL ASSET MORTGAGE PRODUCTS INC	DE					X		X			02/21/01	
RIDGEWOOD ELECTRIC POWER TRUST II	DE					X					12/31/01	
RIDGEWOOD ELECTRIC POWER TRUST II	DE					X					12/31/01	
ROBERTS TRADING CORP	NY					X					02/21/01	
ROYSTON MANNOR ESTATES INC/NV	NV							X			10/04/00	
RURAL CELLULAR CORP	MN							X		X	02/21/01	
SAF T LOK INC	FL	X						X			02/21/01	
SAFE TECHNOLOGIES INTERNATIONAL INC	DE					X					02/20/01	
SALTON SEA BRINE PROCESSING L P	CA					X		X			02/21/01	AMEND
SALTON SEA FUNDING CORP	DE					X		X			02/21/01	AMEND
SALTON SEA MINERALS CORP	DE					X		X			02/21/01	AMEND
SALTON SEA POWER GENERATION L P	CA					X		X			02/21/01	AMEND
SALTON SEA POWER LLC	DE					X		X			02/21/01	AMEND
SALTON SEA ROYALTY CO	DE					X		X			02/21/01	AMEND
SAN FELIPE ENERGY CO						X		X			02/21/01	AMEND
SAN HOLDINGS INC	CO					X		X			06/28/00	AMEND
SANGUINE CORP	NV					X		X			01/19/01	
SANMINA CORP/DE	DE					X		X			02/22/01	
SAVVIS COMMUNICATIONS CORP	DE					X					02/15/01	
SCB COMPUTER TECHNOLOGY INC	TN					X		X			02/20/01	
SCOTIA PACIFIC CO LLC	DE								X		02/20/01	
SCOTTS LIQUID GOLD INC	CO					X		X			02/21/01	
SEAVIEW UNDERWATER RESEARCH INC	NV	X						X			02/20/01	
SEIBELS BRUCE GROUP INC	SC					X		X			02/21/01	
SELECT COMFORT CORP	MN	X									02/21/01	
SEMELE GROUP INC	DE		X			X		X			02/01/01	
SIERRA PACIFIC POWER CO	NV					X		X			02/15/01	
SKYWEST INC	UT							X			02/06/01	
SMITHWAY MOTOR XPRESS CORP	NV					X					02/22/01	
SONIC JET PERFORMANCE	CO					X	X				02/20/01	
SOUTHERN INDIANA GAS & ELECTRIC CO	IN					X		X			02/21/01	
SOUTHERN MICHIGAN BANCORP INC	MI					X		X			02/12/01	
SOVEREIGN BANCORP INC	PA					X		X			02/09/01	
ST JOE CO	FL							X	X		02/22/01	
STEVENS POINT BEVERAGE CO	WI					X					02/21/01	
STONE ENERGY CORP	DE					X					02/22/01	
STONEPATH GROUP INC	DE					X		X			02/08/01	
STRUCTURED ASSET SEC CORP COMM MORT PAS THR CERT SER 2000 C5	DE	X									01/16/01	
SUN BANCORP INC /NJ/	NJ					X		X			02/22/01	
SUNHAWK COM CORP	WA					X		X			02/14/01	
SUNTERRA CORP	MD					X					02/21/01	

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SUPERIOR ENERGY SERVICES INC	DE				X	X					02/20/01	
SVI HOLDINGS INC	NV				X						02/21/01	
TARGETED GENETICS CORP /WA/	WA				X	X					11/09/00	
TEKRON INC	DE			X							02/19/01	
THOMAS GROUP INC	DE								X		02/21/01	
TMP WORLDWIDE INC	DE				X	X					02/20/01	
TRANSWITCH CORP /DE/	DE				X	X					02/21/01	
TRAVELNSTORE COM INC	CA			X							02/15/01	
U S INDUSTRIAL SERVICES INC	DE						X	X			02/15/01	
UNIVERSAL COMPRESSION HOLDINGS INC	DE	X	X		X	X					02/21/01	
UNIVERSAL COMPRESSION INC	TX	X	X		X	X					02/21/01	
URANIUM RESOURCES INC /DE/	DE				X	X					02/21/01	
US AIRWAYS INC	DE					X					01/26/01	
USA EDUCATION INC	DE				X	X					02/21/01	
VALUECLICK INC/CA	DE		X			X					12/08/00	AMEND
VIA NET WORKS INC					X	X					02/21/01	
VIACOM INC	DE		X			X					02/21/01	
VION PHARMACEUTICALS INC	DE				X	X					02/20/01	
VITAFORT INTERNATIONAL CORP	DE			X		X					02/05/01	AMEND
VOLKSWAGEN DEALER FINANCE LLC	DE				X	X					02/20/01	
VORNADO OPERATING CO	DE				X	X					02/22/01	
VORNADO REALTY TRUST	MD				X	X					02/22/01	
VPC GEOTHERMAL LLC	DE				X	X					02/21/01	AMEND
VULCAN POWER CO /NV	NV				X	X					02/21/01	AMEND
VULCAN/BN GEOTHERMAL POWER CO	NV				X	X					02/21/01	AMEND
V3 SEMICONDUCTOR INC	NV				X	X	X				02/13/01	
WASATCH INTERACTIVE LEARNING CORP	WA		X				X				01/31/01	
WEBLINK WIRELESS INC	DE				X	X					02/21/01	
WELLS FARGO ASSET SECURITIES CORP	DE				X	X					02/20/01	
WESTERFED FINANCIAL CORP	DE				X	X					02/12/01	
WESTFIELD AMERICA INC	MO				X	X					02/15/01	
WFS FINANCIAL 2000-B OWNER TRUST					X						02/20/01	
WFS FINANCIAL 2000-C OWNER TRUST					X						02/20/01	
WHISTLER INC	DE				X						02/19/01	
WHY USA FINANCIAL GROUP INC	NV		X				X				02/20/01	
WOODS EQUIPMENT CO	DE				X						02/22/01	
WORLD ACCESS INC /NEW/	DE				X	X					02/15/01	
WORLD OMNI AUTO RECEIVABLES LLC	DE				X	X					02/13/01	
XM SATELLITE RADIO HOLDINGS INC	DE				X						02/21/01	
Z TEL TECHNOLOGIES INC	DE				X	X					02/21/01	