

# SEC NEWS DIGEST

Issue 2001-58

March 26, 2001

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## COMMISSION ANNOUNCEMENTS

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### DOUGLAS DAVISON TO LEAVE THE COMMISSION

Douglas Davison, Legal Counsel to former Chairman Arthur Levitt, will leave the Commission to join the Washington, D C law office of Wilmer, Cutler & Pickering as Counsel. As Legal Counsel since August 2000, Mr. Davison advised Chairman Levitt on all aspects of the Commission's enforcement program. Prior to that time, Mr. Davison served as a branch chief in the Division of Enforcement. He began his tenure at the Commission in 1997, serving first as a staff attorney and later as a senior counsel in the Division of Enforcement.

### COMMISSION AND NASAA ANNOUNCE 2001 CONFERENCE ON FEDERAL-STATE SECURITIES REGULATION AND REQUEST COMMENTS ON THE TENTATIVE AGENDA

The Commission and the North American Securities Administrators Association, Inc (NASAA) announced that the annual conference on Federal-State Securities Regulation will be held on April 30, 2001. Because participation at the conference is generally limited to Commission and NASAA personnel, the release indicates that interested persons should participate by providing written comments by April 25, 2001.

Comments should be submitted in triplicate to Jonathan G Katz, Secretary, Securities and Exchange Commission, 450 Fifth Street, N.W., Mail Stop 6-9, Washington, D.C. 20549, and refer to File No S7-08-01. Comments also may be submitted electronically at the following e-mail address. [rule-comments@sec.gov](mailto:rule-comments@sec.gov). FOR FURTHER INFORMATION CONTACT: Marva Simpson or Richard Wulff at (202) 942-2950. (Rel. 33-7964)

### NOTICE OF MEETING OF THE SECURITIES AND EXCHANGE COMMISSION ADVISORY COMMITTEE ON MARKET INFORMATION

The Commission issued a notice relating to the Securities and Exchange Commission Advisory Committee on Market Information's fourth meeting on April 12, 2001. The meeting will be held in the William O Douglas Room, at the Commission's main offices,

450 Fifth Street, N.W., Washington, D.C. at 9:00 a.m. The meeting is open to the public, and the public is invited to submit written comments to the Committee.

Written comments should be submitted in triplicate and should refer to File No. 265-22. Comments should be submitted to Jonathan G. Katz, Secretary, Securities and Exchange Commission, 450 Fifth Street, N.W., Mail Stop 6-9, Washington, D.C. 20549-0609. Publication in the Federal Register is expected during the week of March 26. (Rel. 34-44087)

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## **ENFORCEMENT PROCEEDINGS**

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### **JOHN BROWNSON, DARLAN GORDON AND DOUGLAS PARKS BARRED**

John S. Brownson of Las Vegas, Nevada, and Darlan Gordon and Douglas Parks of Chicago, Illinois, have been barred from association with a broker-dealer. The sanctions were ordered in an administrative proceeding before an administrative law judge.

Brownson, Gordon, and Parks had been convicted in 1999 of conspiracy to commit securities fraud, mail fraud, and wire fraud and sentenced to prison. Each was a stockbroker who took pay-offs from a stock promoter in return for inducing customers to buy certain stock.

Based on the convictions, the law judge barred Brownson, Gordon, and Parks from association with a broker-dealer, to serve the public interest and for the protection of investors. (Initial Decision No. 182, File No. 3-10295)

### **ALLEGED PROMOTER OF FRAUDULENT TRADING SCHEME CRIMINALLY INDICTED ON 5 COUNTS OF MAIL FRAUD AND 2 COUNTS OF WIRE FRAUD**

The Commission announced that, on February 28, 2001, Nancy J. Cheal (Cheal) was indicted in the District of Massachusetts on 7 criminal charges, including 5 counts of mail fraud and 2 counts of wire fraud. On March 2, 2001, Cheal was arrested and was released on a \$100,000 secured bond. The criminal charges allege that Cheal executed a false scheme by which she defrauded thousands of people of more than \$2.1 million through her operation of a purported international bank debenture trading program. The criminal charges alleged that Cheal represented that she was the president of a business named "Relief Enterprise", which was operated from two of Cheal's trailer homes in Florida. Victims of the scheme were allegedly promised that they would receive a 100% return per week for twelve consecutive weeks.

On January 31, 2000, the Commission filed a Complaint against Cheal (d/b/a Relief Enterprise) and against Richard L. Birmingham (Birmingham), a relief defendant, alleging that Cheal violated the general antifraud and securities registration provisions of

the federal securities laws (Sections 5(a) and (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. The Commission's allegations arose from the same underlying factual conduct described in the criminal allegations. On February 1, 2000, the United States District Court for the District of Massachusetts granted the Commission's motion for an *ex parte* order and, among other things, temporarily restrained the fraudulent activities, froze assets of Cheal and Birmingham and froze the proceeds of the offering. On February 15, 2000, after a hearing, the Court entered a Preliminary Injunction and Order for Other Equitable Relief against Cheal (d/b/a Relief Enterprise) and against Birmingham. Among other things, the Order continued the asset freeze.

On April 27, 2000, the United States District Court for the District of Massachusetts granted a motion brought by the United States Attorney's Office to stay the proceedings in the case brought by the Commission.

For further information, please see Litigation Releases No. 16440 (February 17, 2000) and Litigation Release No. 16424 (February 3, 2000) [SEC v. Nancy J. Cheal, individually and d/b/a RELIEF ENTERPRISE, et al (United States District Court for the District of Massachusetts, C A No. 00 CV 10182-EFH) (LR-16942)]

## **FEDERAL COURT FINDS 2 ARIZONA BROKERS LIABLE FOR SECURITIES FRAUD AND MANIPULATION AFTER 5-DAY COURT TRIAL**

The Commission announced that on March 22 the United States District Court for the District of Arizona, issued a judgment against two Arizona brokers whom the Commission charged with committing securities fraud and market manipulation. The two defendant brokers are Brett L. Bouchy (Bouchy), 33, and Richard C. Whelan (Whelan), 36, both now residing in Florida. The Court's judgment permanently enjoins the defendants from future violations of the federal securities laws and assesses a \$50,000 civil penalty against each of them.

The Commission's complaint alleged that Bouchy and Whelan: (1) received undisclosed side payments for their stock recommendations to their brokerage customers; (2) stole funds from one of their clients; (3) fraudulently sold this same client securities without disclosing that they (Bouchy and Whelan) owned the securities personally and that they would earn about a 200% profit from the transaction; and (4) used nominee accounts to profit from the false closing of a public securities offering.

The Complaint further alleged that Bouchy and Whelan failed to disclose material facts in connection with an initial public offering (IPO) they ran through a brokerage firm they controlled, namely: (1) that the IPO securities would be placed in a nominee account; and (2) that the brokerage firm would restrict retail sales of the IPO securities by instituting a no net sales policy. The Complaint also alleged that the brokerage firm solicited aftermarket orders before the IPO itself took place.

The Commission's enforcement action sought permanent injunctions from future violations of the antifraud and antimanipulation provisions of the federal securities laws, disgorgement and civil penalties against Bouchy and Whelan for their violations of Section 17(a) of the Securities Act of 1933, Section 10(b) of the Securities Exchange Act of 1934 and Rules 10b-5, 10b-6 and 10b-9 thereunder. [SEC v. Brett L. Bouchy and Richard C. Whelan, Case No. CIV-96-2629-PHX-SRB, D. Ariz.] (LR-16943)

#### **CIVIL ACTION AGAINST GATEWAY TECHNOLOGIES, INC., ET AL.**

The Commission announced today that the U.S. District Court for the Southern District of Florida entered final judgments imposing permanent injunctive and other relief against all defendants in a case the Commission filed in May 1999 against Gateway Technologies, Inc. (Gateway), The Cheyenne Holding Corp. (Cheyenne), Randolph S. Ross and Timothy J. Kavanagh. The Commission alleged that all defendants violated Section 17(a) of the Securities Act of 1933 (Securities Act) and Section 10(b) of the Securities Exchange Act of 1934 (Exchange Act) and Rule 10b-5 thereunder by offering and selling investments in Gateway -- a company purportedly building an internet telephone system -- by way of false, misleading and incomplete information. It also alleged that defendants Cheyenne, Ross and Kavanagh violated Section 15(a) of the Exchange Act by acting as brokers while not registered with the Commission.

The Court entered a default final judgment against Gateway on June 30, 2000, permanently enjoining Gateway from violating Securities Act Section 17(a) and Exchange Act Section 10(b) and Rule 10b-5, and ordering payment of \$3.3 million in disgorgement, over \$300,000 in prejudgment interest, and a civil penalty of \$110,000. The Court entered final judgments against Cheyenne, Ross and Kavanagh by consent on August 7, 2000, permanently enjoining these defendants from violating Section 17(a) of the Securities Act and Sections 10(b) and 15(a) of the Exchange Act and Rule 10b-5. The judgments against Cheyenne and Ross further order that these defendants are jointly and severally liable for disgorgement of \$1,373,378.21 plus prejudgment interest, but payment of all but \$70,805.47 of that amount was waived as to Cheyenne, and payment of the entire amount was waived as to Ross, and no civil penalties were imposed based upon the demonstrated inability of Cheyenne and Ross to pay. The judgment against Kavanagh orders that Kavanagh is liable for disgorgement of \$20,000 plus prejudgment interest, but payment of the disgorgement was waived and no civil penalties were imposed based upon Kavanagh's demonstrated inability to pay.

The Commission filed its complaint in the United States District Court for the Southern District of Florida, since Cheyenne was located in Delray Beach, Florida and Ross and Kavanagh lived in the Delray Beach area. Gateway was based in Santa Monica, California. The Court entered temporary restraining orders and preliminary injunctions against all defendants in May and June of 1999. [SEC v. Gateway Technologies, Inc., The Cheyenne Holding Corp., Randolph S. Ross and Timothy J. Kavanagh, Case No. 99-8378-CIV-ZLOCH, U.S. District Court, Southern District of Florida] (LR-16944)

## COMMISSION SEEKS EMERGENCY RELIEF IN CONNECTION WITH \$276 MILLION OFFERING FRAUD

On March 21, the Honorable Marilyn L. Huff, United States District Judge for the Southern District of California, issued a temporary restraining order regarding an ongoing \$276 million securities fraud by Michael J. Fanghella (Fanghella), James L. Hillman (Hillman), PinnFund USA, Inc. (PinnFund) and entities controlled by Fanghella and Hillman (Funding Entities). The Court: (1) ordered the defendants to cease immediately their fraudulent activities, (2) placed a freeze on the assets of Fanghella and PinnFund; (3) appointed Charles G. La Bella as a temporary receiver over PinnFund pending a hearing to determine the full extent of the fraudulent conduct; and (4) granted other relief. The March 23, 2001 order follows the issuance of an order by the Court on March 21, 2001, which prohibited the transfer of assets or property by the defendants to a foreign location, prohibited the destruction of documents by the defendants and granted other relief pending a hearing that was held on March 22 and 23. A hearing on whether a preliminary injunction should be issued against the defendants is scheduled for April 2, 2001.

The Commission's complaint alleges that since 1993, Fanghella, Hillman, PinnFund and the Funding Entities have raised at least \$276 million from at least 166 investors, purportedly, for the purpose of funding PinnFund's business of writing residential home mortgages. In fact, Fanghella, Hillman, PinnFund and the Funding Entities are misappropriating the funds raised by the Funding Entities and using the funds to finance Fanghella's lavish lifestyle. In addition, Fanghella, Hillman, PinnFund and the Funding Entities have circulated altered financial statements of PinnFund and forged auditors' reports, which contain numerous fraudulent misrepresentations and omissions, conceal more than \$95 million in losses incurred by PinnFund since 1997 and conceal the transfer of more than \$107 million to Fanghella since 1997.

The Commission obtained an order temporarily restraining Fanghella, Hillman, PinnFund and the Funding Entities 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 temporarily restrains Hillman and the Funding Entities 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 today, the Commission seeks a final judgment against Fanghella, Hillman, PinnFund and the Funding Entities enjoining them from future violations of the foregoing registration and antifraud provisions, ordering them to disgorge all ill-gotten gains, and assessing civil penalties against them.

The order obtained by the Commission also forbids relief defendants Reliance Holdings, LLC (Reliance) and Kelly Cook aka Kell, 'aye aka Kelly Spagnola (Cook), who together received more than \$10 million from Fanghella during the period in which he was misappropriating funds from the Funding Entities' investors, from placing any encumbrances on the \$5.2 million house in Laguna Niguel and from using the monies obtained from Fanghella for other than reasonable living expenses. The Commission also

seeks a final judgment against Reliance and Cook, ordering them to disgorge all ill-gotten gains. [SEC v. PinnFund USA, Inc., et al., Civil Action No. 01 CV 0496 H, LAB, S.D. Cal.] (LR-16945)

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## **HOLDING COMPANY ACT RELEASES**

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### **NORTHEAST UTILITIES**

A notice has been issued giving interested persons until April 17, 2001, to request a hearing on a proposal filed by Northeast Utilities (NU), a registered holding company, and its public utility subsidiary, The Connecticut Light and Power Company (CL&P), (collectively, Applicants). Applicants have filed a declaration seeking the Commission's approval of the sale of CL&P's South Meadow electric generating station to the Connecticut Resources Recovery Authority (CRRA), a public instrumentality and political subdivision of the State of Connecticut. (Rel 35-27365)

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## **SELF-REGULATORY ORGANIZATIONS**

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

The Commission approved a proposed rule change submitted by the New York Stock Exchange (SR-NYSE-00-37) rescinding parts of, or the entire text of, Exchange Rule 112A 10, Rule 321.25, Rule 392, Rule 393 and Rule 395, which reference rescinded Exchange Rule 390 or off-Board trading restrictions. Publication of the proposal is expected in the Federal Register during the week of March 26. (Rel 34-44093)

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## **SECURITIES ACT REGISTRATIONS**

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

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

S-8 ENERGY EAST CORP, PO BOX 12904, STE 2006A 20TH FL, ALBANY, NY 12212  
(518) 434-3014 - 500,000 (\$9,090,000) COMMON STOCK. (FILE 333-57220 -  
MAR. 19) (BR. 2)

S-8 NATIONAL SERVICE INDUSTRIES INC, 1420 PEACHTREE ST NE, ATLANTA, GA  
30309  
(404) 853-1000 - 100,000 (\$2,289,500) COMMON STOCK. (FILE 333-57222 -  
MAR. 19) (BR. 5)

S-8 TURNSTONE SYSTEMS INC, 2220 CENTRAL EXPRESSWAY, SANTA CLARA, CA  
95050  
(408) 907-1400 - 9,437,353 (\$54,722,877) COMMON STOCK. (FILE 333-57224  
-  
MAR. 19) (BR. 7)

S-8 CANTEL MEDICAL CORP, 1135 BROAD STREET, CLIFTON, NJ 07013 (973) 470-  
8700  
- 1,062,250 (\$10,179,975) COMMON STOCK. (FILE 333-57232 - MAR. 19)  
(BR. 1)

S-8 PROSPERITY BANCSHARES INC, 55 WAUGH, STE 1111, HOUSTON, TX 77007  
(713) 621-1880 - 12,090 (\$56,026.30) COMMON STOCK. (FILE 333-57238 -  
MAR. 19) (BR. 7)

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## RECENT 8K FILINGS

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

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

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

| NAME OF ISSUER                     | STATE<br>CODE | 8K ITEM NO. |   |   |   |   |   |   |   |   |  | DATE     | COMMENT |
|------------------------------------|---------------|-------------|---|---|---|---|---|---|---|---|--|----------|---------|
|                                    |               | 1           | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |  |          |         |
| ACLARA BIOSCIENCES INC             | DE            |             |   |   |   | X | X |   |   |   |  | 03/16/01 |         |
| ADVANTAGE MARKETING SYSTEMS INC/OK | OK            |             | X |   |   |   |   |   | X |   |  | 01/04/01 | AMEND   |
| AFFYMETRIX INC                     | DE            |             |   |   |   | X |   |   |   |   |  | 03/23/01 |         |
| ALICO INC                          | FL            |             |   |   |   | X |   |   |   |   |  | 08/31/01 |         |

| NAME OF ISSUER                                      | STATE<br>CODE | 8K ITEM NO. |   |   |   |   |   |   |   |   | DATE     | COMMENT |
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|   |               | 1           | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |          |         |
| ALLEN ORGAN CO                                      | PA            |             |   |   |   | X |   |   |   |   | 03/23/01 |         |
| ALTAIR INTERNATIONAL INC                            | A6            |             |   | X |   |   | X |   |   |   | 03/20/01 |         |
| AMB PROPERTY CORP                                   | MD            |             |   |   |   | X | X |   |   |   | 03/21/01 |         |
| AMB PROPERTY LP                                     | DE            |             |   |   |   | X | X |   |   |   | 03/21/01 |         |
| AMERICAN SKIING CO /ME                              | DE            |             |   |   |   | X | X |   |   |   | 03/23/01 |         |
| ASPEON INC  | DE            |             |   | X |   |   |   |   |   |   | 03/19/01 |         |
| ASSET BACKED FUNDING CORP                           | DE            |             |   |   |   | X | X |   |   |   | 03/22/01 |         |
| ASSISTED LIVING CONCEPTS INC                        | NV            |             |   |   |   | X | X |   |   |   | 03/22/01 |         |
| ATLAS AIR INC                                       | DE            |             |   |   |   | X |   |   |   |   | 03/23/01 |         |
| ATLAS AIR WORLDWIDE HOLDINGS INC                    | DE            |             |   |   |   | X |   |   |   |   | 03/23/01 |         |
| AUTOIMMUNE INC                                      | DE            |             |   |   |   | X | X |   |   |   | 03/22/01 |         |
| BANK OF AMERICA MORTGAGE SECURITIES<br>INC          | DE            |             |   |   |   | X | X |   |   |   | 03/23/01 |         |
| BEAR STEARNS COMMERCIAL MORTGAGE SE<br>CURITIES INC | DE            | X           |   |   |   |   |   |   |   |   | 03/15/01 |         |
| BEAR STEARNS COMMERCIAL MORTGAGE SE<br>CURITIES INC | DE            | X           |   |   |   |   |   |   |   |   | 03/15/01 |         |
| BEAR STEARNS COMMERCIAL MORTGAGE SE<br>CURITIES INC | DE            | X           |   |   |   |   |   |   |   |   | 03/22/01 |         |
| BICO INC/PA   | PA            |             |   |   |   | X |   |   |   |   | 03/23/01 |         |
| BRANDYWINE REALTY TRUST                             | MD            |             |   |   |   | X | X |   |   |   | 03/14/01 |         |
| BRIGGS & STRATTON CORP                              | WI            |             |   |   |   | X | X |   |   |   | 03/21/01 |         |
| BROWN & BROWN INC                                   | FL            |             |   |   |   |   | X |   |   |   | 12/31/00 | AMEND   |
| CALENERGY MINERALS LLC                              | DE            |             |   |   |   | X | X |   |   |   | 03/22/01 |         |
| CALENERGY OPERATING CORP                            | DE            |             |   |   |   | X | X |   |   |   | 03/22/01 |         |
| CALLAWAY GOLF CO /CA                                | DE            |             |   |   |   | X | X |   |   |   | 03/19/01 |         |
| CANTRONICS CORP                                     |               | X           |   |   |   |   |   |   |   |   | 03/31/01 |         |
| CANTRONICS CORP                                     |               |             |   | X |   |   | X |   |   |   | 03/31/01 |         |
| CAPITAL ONE MASTER TRUST                            | VA            |             |   |   |   | X | X |   |   |   | 03/15/01 | AMEND   |
| CARAUSTAR INDUSTRIES INC                            | NC            |             |   |   |   | X | X |   |   |   | 03/23/01 |         |
| CARDIAC SCIENCE INC                                 | DE            |             |   |   |   | X | X |   |   |   | 02/14/01 |         |
| CE SALTON SEA INC                                   | DE            |             |   |   |   | X | X |   |   |   | 03/22/01 |         |
| CE TURBO LLC  | DE            |             |   |   |   | X | X |   |   |   | 03/22/01 |         |
| CHASE CREDIT CARD MASTER TRUST                      | NY            |             |   |   |   | X | X |   |   |   | 03/15/01 |         |
| CHASE CREDIT CARD MASTER TRUST                      | NY            |             |   |   |   | X | X |   |   |   | 03/15/01 |         |
| CHASE CREDIT CARD MASTER TRUST                      | NY            |             |   |   |   | X | X |   |   |   | 03/15/01 |         |
| CHASE CREDIT CARD MASTER TRUST                      | NY            |             |   |   |   | X | X |   |   |   | 03/15/01 |         |
| CHASE CREDIT CARD MASTER TRUST                      | NY            |             |   |   |   | X | X |   |   |   | 03/15/01 |         |
| CHASE CREDIT CARD MASTER TRUST                      | NY            |             |   |   |   | X | X |   |   |   | 03/15/01 |         |
| CHASE MANHATTAN AUTO GRANTOR TRUST<br>1996-B        | NY            |             |   |   |   | X | X |   |   |   | 03/15/01 |         |
| CHASE MANHATTAN AUTO OWNER TRUST 19<br>96-C         | DE            |             |   |   |   | X | X |   |   |   | 03/15/01 |         |
| CHASE MANHATTAN AUTO OWNER TRUST 19<br>97-A         | DE            |             |   |   |   | X | X |   |   |   | 03/15/01 |         |
| CHASE MANHATTAN AUTO OWNER TRUST 19<br>97-B         | DE            |             |   |   |   | X | X |   |   |   | 03/15/01 |         |
| CHASE MANHATTAN AUTO OWNER TRUST 19<br>98-A         | DE            |             |   |   |   | X | X |   |   |   | 03/15/01 |         |
| CHASE MANHATTAN AUTO OWNER TRUST 19<br>98-B         | DE            |             |   |   |   | X | X |   |   |   | 03/15/01 |         |
| CHASE MANHATTAN AUTO OWNER TRUST 19<br>98-C         | DE            |             |   |   |   | X | X |   |   |   | 03/15/01 |         |

| NAME OF ISSUER   | STATE<br>CODE | 8K ITEM NO. |   |   |   |   |   |   |   |   | DATE | COMMENT  |  |
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|  |               | 1           | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |      |          |  |
| CHASE MANHATTAN AUTO OWNER TRUST 20<br>00-A                    | DE            |             |   |   |   | X | X |   |   |   |      | 03/15/01 |  |
| CHASE MANHATTAN BANK /NY/                                      | NY            |             |   |   |   | X | X |   |   |   |      | 03/15/01 |  |
| CHASE MANHATTAN BANK /NY/                                      | NY            |             |   |   |   | X | X |   |   |   |      | 03/15/01 |  |
| CHASE MANHATTAN BANK /NY/                                      | NY            |             |   |   |   | X | X |   |   |   |      | 03/15/01 |  |
| CHASE MANHATTAN BANK /NY/                                      | NY            |             |   |   |   | X | X |   |   |   |      | 03/15/01 |  |
| CHASE MANHATTAN BANK /NY/                                      | NY            |             |   |   |   | X | X |   |   |   |      | 03/15/01 |  |
| CHASE MANHATTAN BANK /NY/                                      | NY            |             |   |   |   | X | X |   |   |   |      | 03/15/01 |  |
| CHASE MANHATTAN BANK CHASE CREDIT C<br>ARD OWNER TRUST 2000 3  | DE            |             |   |   |   | X | X |   |   |   |      | 03/15/01 |  |
| CHASE MANHATTAN BANK USA                                       | DE            |             |   |   |   | X | X |   |   |   |      | 03/15/01 |  |
| CHASE MANHATTAN BANK USA                                       | DE            |             |   |   |   | X | X |   |   |   |      | 03/15/01 |  |
| CHASE MANHATTAN BANK USA                                       | DE            |             |   |   |   | X | X |   |   |   |      | 03/15/01 |  |
| CHASE MANHATTAN BANK USA                                       | DE            |             |   |   |   | X | X |   |   |   |      | 03/15/01 |  |
| CHASE MANHATTAN BANK USA                                       | DE            |             |   |   |   | X | X |   |   |   |      | 03/15/01 |  |
| CHASE MANHATTAN BANK USA                                       | DE            |             |   |   |   | X | X |   |   |   |      | 03/15/01 |  |
| CHASE MANHATTAN BANK USA                                       | DE            |             |   |   |   | X | X |   |   |   |      | 03/15/01 |  |
| CHASE MANHATTAN BANK USA                                       | DE            |             |   |   |   | X | X |   |   |   |      | 03/15/01 |  |
| CHASE MANHATTAN BANK USA CHASE CRED<br>IT CARD OWNER TR 1999-3 | DE            |             |   |   |   | X | X |   |   |   |      | 03/15/01 |  |
| CHASE MANHATTAN BANK USA CHASE CRED<br>IT CARD OWNER TR 2000-1 | DE            |             |   |   |   | X | X |   |   |   |      | 03/15/01 |  |
| CHASE MANHATTAN BANK USA CHASE CRED<br>IT CARD OWNER TR 2000-2 | DE            |             |   |   |   | X | X |   |   |   |      | 03/15/01 |  |
| CHASE MANHATTAN CREDIT CARD MASTER<br>TRUST                    | DE            |             |   |   |   | X | X |   |   |   |      | 03/15/01 |  |
| CHASE MANHATTAN HOME EQUITY LOAN TR<br>UST 1995-1              | NY            |             |   |   |   | X | X |   |   |   |      | 03/15/01 |  |
| CHASE MANHATTAN MARINE OWNER TRUST<br>1997-A                   | NY            |             |   |   |   | X | X |   |   |   |      | 03/15/01 |  |
| CHASE MANHATTAN RV OWNER TRUST 1997<br>-A                      | DE            |             |   |   |   | X | X |   |   |   |      | 03/15/01 |  |
| CHEMICAL FINANCIAL CORP  | MI            |             |   |   |   |   |   | X | X |   |      | 03/23/01 |  |
| CIGNA CORP   | DE            |             |   |   |   |   |   |   | X |   |      | 03/23/01 |  |
| CIT EQUIPMENT COLLATERAL 2001-1                                |               |             |   | X |   |   |   |   | X |   |      | 03/09/01 |  |
| CITICORP MORTGAGE SECURITIES INC                               | DE            |             |   |   |   |   |   | X |   |   |      | 03/23/01 |  |
| CLICKNSETTLE COM INC   | DE            |             |   |   |   |   |   | X |   |   |      | 03/23/01 |  |
| COBIZ INC  | CO            |             |   | X |   | X | X |   |   |   |      | 03/06/01 |  |
| COMBINED PROFESSIONAL SERVICES INC                             | NV            |             | X |   |   |   |   |   |   |   |      | 03/27/01 |  |
| COMMUNITY FIRST BANKSHARES INC                                 | DE            |             |   |   |   |   | X | X |   |   |      | 03/22/01 |  |
| COMPLETE WELLNESS CENTERS INC                                  | DE            |             |   | X | X |   |   |   |   |   |      | 03/23/01 |  |
| COMPUTER MOTION INC  | DE            |             |   |   |   |   | X | X |   |   |      | 03/23/01 |  |
| CONEJO ENERGY CO   | CA            |             |   |   |   |   | X | X |   |   |      | 03/22/01 |  |
| COURIER CORP   | MA            |             |   |   |   |   | X |   |   |   |      | 03/09/01 |  |
| CREDIT SUISSE FIRST BOSTON MORTGAGE<br>SECURITIES CORP         | DE            |             |   |   |   |   |   |   | X |   |      | 03/23/01 |  |
| CWABS INC ASSET BACKED CERTIFICATES<br>SERIES 2001-1           | DE            |             |   |   |   |   | X |   |   |   |      | 02/28/01 |  |

| NAME OF ISSUER  | STATE<br>CODE | 8K ITEM NO. |   |   |   |   |   |   |   |   | DATE     | COMMENT |
|---|---------------|-------------|---|---|---|---|---|---|---|---|----------|---------|
|   |               | 1           | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |          |         |
| CYGNUS INC /DE/   | DE            |             |   |   | X | X |   |   |   |   | 03/22/01 |         |
| DEAN FOODS CO   | DE            |             |   |   | X |   |   |   |   |   | 03/21/01 |         |
| DEL RANCH LP  | CA            |             |   |   | X | X |   |   |   |   | 03/22/01 |         |
| DELHAIZE AMERICA INC  | NC            |             |   |   |   | X |   |   |   |   | 07/31/00 | AMEND   |
| DEUTSCHE RECREATIONAL ASSET FUNDING<br>CORP                     | NV            |             |   |   | X | X |   |   |   |   | 02/28/01 |         |
| DIGITAL RIVER INC /DE/  | DE            |             | X |   |   |   | X |   |   |   | 03/20/01 |         |
| EBIZ ENTERPRISES INC  | NV            |             |   |   | X |   | X |   |   |   | 01/17/01 | AMEND   |
| EDUCATIONAL INSIGHTS INC  | CA            |             |   |   | X |   |   |   |   |   | 03/21/00 |         |
| EL PASO CORP/DE   | DE            |             |   |   | X | X |   |   |   |   | 03/23/01 |         |
| ELLETT BROTHERS INC   | SC            |             |   |   | X | X |   |   |   |   | 03/22/01 |         |
| ELMORE LP   | CA            |             |   |   | X | X |   |   |   |   | 03/22/01 |         |
| ENCIBAR INC   | UT            | X           | X |   |   |   | X | X |   |   | 03/09/01 |         |
| ENDO PHARMACEUTICALS HOLDINGS INC                               | DE            |             |   |   | X | X |   |   |   |   | 03/23/01 |         |
| EQUITY INNS INC   | TN            |             |   |   | X |   |   |   |   |   | 03/23/01 |         |
| EQUITY OFFICE PROPERTIES TRUST                                  | MD            |             |   |   | X | X |   |   |   |   | 03/23/01 |         |
| FAIRPOINT COMMUNICATIONS INC                                    | DE            |             |   |   | X |   |   |   |   |   | 03/13/01 |         |
| FILM ROMAN INC  | DE            |             |   |   | X |   |   |   |   |   | 03/23/01 |         |
| FIRST COASTAL CORP  | DE            |             |   |   | X | X |   |   |   |   | 03/22/01 |         |
| FIRST SECURITY AUTO GRANTOR TRUST 1<br>998-A                    | UT            | X           |   |   |   |   |   |   |   |   | 02/23/01 |         |
| FIRST SECURITY AUTO OWNER TRUST 199<br>8-1                      | DE            | X           |   |   |   |   |   |   |   |   | 02/23/01 |         |
| FIRST SECURITY AUTO OWNER TRUST 199<br>9 1                      | UT            | X           |   |   |   |   |   |   |   |   | 02/25/01 |         |
| FIRST SECURITY AUTO OWNER TRUST 199<br>9-2                      | UT            | X           |   |   |   |   |   |   |   |   | 02/25/01 |         |
| FIRST SECURITY AUTO OWNER TRUST 200<br>0-1                      | UT            | X           |   |   |   |   |   |   |   |   | 02/23/01 |         |
| FIRST SECURITY AUTO OWNER TRUST 200<br>0-2                      | UT            | X           |   |   |   |   |   |   |   |   | 02/23/01 |         |
| FIRST UNION COMMERCIAL MORTGAGE SEC<br>URITIES INC              | NC            | X           |   |   |   |   |   |   |   |   | 03/15/01 |         |
| FIRST UNION COMMERCIAL MORTGAGE SEC<br>URITIES INC              | NC            |             |   |   | X | X |   |   |   |   | 03/22/01 |         |
| FISH LAKE POWER LLC   | DE            |             |   |   | X | X |   |   |   |   | 03/22/01 |         |
| FLOWERS INDUSTRIES INC /GA                                      | GA            |             |   |   | X | X |   |   |   |   | 03/22/01 |         |
| FRONTIER FINANCIAL CORP /WA/                                    | WA            |             |   |   |   |   |   | X |   |   | 03/23/01 |         |
| GATX CORP   | NY            |             |   |   | X |   |   |   |   |   | 03/23/01 |         |
| GATX RAIL CORP  | NY            |             |   |   | X |   |   |   |   |   | 03/23/01 |         |
| GENERAC PORTABLE PRODUCTS INC                                   | DE            |             |   |   | X | X |   |   |   |   | 03/21/01 |         |
| GENERAC PORTABLE PRODUCTS LLC                                   | DE            |             |   |   | X | X |   |   |   |   | 03/21/01 |         |
| GMAC COMMERCIAL MORTGAGE SECURITIES<br>INC                      | DE            | X           |   |   |   |   |   |   |   |   | 03/15/01 |         |
| GPPW INC  | DE            |             |   |   | X | X |   |   |   |   | 03/21/01 |         |
| GREENWICH CAPITAL ACCEPTANCE INC                                | DE            |             |   |   | X | X |   |   |   |   | 03/12/01 |         |
| GS MORTGAGE SEC CORP II COMM MORT P<br>A THRO CERT SER 1997-GL1 | DE            | X           |   |   |   |   |   |   |   |   | 03/15/01 |         |
| HALLIBURTON CO  | DE            |             |   |   | X | X |   |   |   |   | 03/22/01 |         |
| HANOVER GOLD COMPANY INC  | DE            | X           |   |   |   |   |   |   |   |   | 03/23/01 |         |
| HARTFORD LIFE CAPITAL II  | DE            |             |   |   | X | X |   |   |   |   | 02/22/01 |         |
| HARTFORD LIFE INC   | DE            |             |   |   | X | X |   |   |   |   | 02/22/01 |         |
| HEARTPORT INC   | DE            |             |   |   | X | X |   |   |   |   | 03/20/01 |         |

| NAME OF ISSUER   | STATE | 8K ITEM NO. |   |   |   |   |   |   |   |   | DATE     | COMMENT |
|--|-------|-------------|---|---|---|---|---|---|---|---|----------|---------|
|  | CODE  | 1           | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |          |         |
| HENDERSON CITIZENS BANCSHARES INC                                | TX    |             |   |   | X |   |   | X |   |   | 04/19/00 |         |
| HOST AMERICA CORP  | DE    |             | X |   |   |   |   | X |   |   | 03/16/01 |         |
| HOST MARRIOTT CORP/  | MD    |             |   |   |   | X |   | X |   |   | 03/16/01 |         |
| HYSEQ INC  | NV    |             |   |   |   | X |   | X |   |   | 03/21/01 |         |
| INDEPENDENT BANKSHARES INC                                       | TX    |             | X |   |   |   |   | X |   |   | 03/09/01 |         |
|  | STATE |             |   |   |   |   |   |   |   |   |          |         |
| INGENUUS CORP  | DE    |             |   |   | X |   |   | X |   |   | 03/16/01 |         |
| INNOFONE COM INC   | NV    |             |   |   |   | X |   | X |   |   | 03/13/01 |         |
| INTERNATIONAL REMOTE IMAGING SYSTEM<br>S INC /DE/                | DE    |             |   |   |   | X |   |   |   |   | 03/19/01 |         |
| INTERWORLD CORP  | DE    |             |   |   |   | X |   |   |   |   | 03/23/01 |         |
| IRON MOUNTAIN INC/PA   | PA    |             |   |   |   | X |   | X |   |   | 03/23/01 |         |
| ITC DELTACOM INC   | DE    |             |   |   |   | X |   | X |   |   | 02/27/01 |         |
| J P MORGAN ACCEPTANCE CORP I                                     | DE    |             |   |   |   | X |   | X |   |   | 03/23/01 |         |
| JDS UNIPHASE CORP /CA/   | DE    |             |   |   |   |   |   | X |   |   | 02/13/01 | AMEND   |
| JP MORGAN CHASE COMMERCIAL MORTGAGE<br>SECURITIES CORP           | DE    |             |   |   |   | X |   | X |   |   | 03/21/01 |         |
| KEEBLER FOODS CO   | DE    |             |   |   |   |   |   | X |   |   | 03/23/01 |         |
| KERR MCGEE CORP  | DE    |             |   |   |   | X |   |   |   |   | 03/23/01 |         |
| KNOT INC   | DE    |             |   |   |   | X |   |   |   |   | 03/23/01 |         |
| LEATHERS L P   | CA    |             |   |   |   | X |   | X |   |   | 03/22/01 |         |
| LEHMAN ABS CORP  | DE    |             |   |   |   | X |   | X |   |   | 03/22/01 |         |
| LIFE FINANCIAL CORP  | DE    |             |   |   |   | X |   | X |   |   | 03/20/01 |         |
| LIFEPOINT INC  | DE    | X           |   |   |   |   |   |   |   |   | 03/31/01 |         |
| MEDICIS PHARMACEUTICAL CORP                                      | DE    |             |   |   |   | X |   | X |   |   | 03/22/01 |         |
| MERILUS INC  | NV    |             |   |   |   | X |   |   |   |   | 12/29/00 | AMEND   |
| METROLOGIC INSTRUMENTS INC                                       | NJ    |             |   |   |   |   |   | X |   |   | 03/23/01 | AMEND   |
| MICROCIDE PHARMACEUTICALS INC                                    | CA    |             |   |   |   | X |   | X |   |   | 03/22/01 |         |
| MONRO MUFFLER BRAKE INC  | NY    |             |   |   |   |   |   |   | X |   | 03/08/01 |         |
| MORGAN JP COMMERCIAL MOR FIN CORP M<br>OR PAS THR CE SER 2000-C9 | DE    | X           |   |   |   |   |   |   |   |   | 03/15/01 |         |
| MORGAN STANLEY ABS CAPITAL I INC                                 | DE    |             |   |   |   | X |   | X |   |   | 03/21/01 |         |
| MORTONS RESTAURANT GROUP INC                                     | DE    |             |   |   |   | X |   | X |   |   | 03/22/01 |         |
| MUZAK LLC  | DE    | X           |   |   |   |   |   |   |   |   | 03/23/00 |         |
| NATIONSLINK FUNDING CORP COMM MORT<br>PASS THR CER SER 1999 SL   | DE    | X           |   |   |   |   |   |   |   |   | 03/15/01 |         |
| NATIONSLINK FUNDING CORP 1999-LTL-1<br>COMMER LOAN PAS THR CER   | DE    | X           |   |   |   |   |   |   |   |   | 03/22/01 |         |
| NAVIGANT CONSULTING INC  | DE    |             |   |   |   | X |   |   |   |   | 03/23/01 |         |
| NET PERCEPTIONS INC  | DE    |             |   |   |   | X |   | X |   |   | 03/22/01 |         |
| NETOPIA INC  | DE    |             |   |   |   | X |   | X |   |   | 03/23/01 |         |
| NIGUEL ENERGY CO   | CA    |             |   |   |   | X |   | X |   |   | 03/22/01 |         |
| NISSAN AUTO RECEIVABLES 2000-B OWNE<br>R TRUST                   |       | X           |   |   |   |   |   |   |   |   | 02/15/01 |         |
| NISSAN AUTO RECEIVABLES 2000-C OWNE<br>R TRUST                   |       | X           |   |   |   |   |   |   |   |   | 02/15/01 |         |
| NISSAN AUTO RECEIVABLES 2001-A OWNE<br>R TRUST                   | DE    | X           |   |   |   |   |   |   |   |   | 02/15/01 |         |
| NORTEL NETWORKS CORP   |       |             |   |   |   |   |   | X |   |   | 03/23/01 |         |
| NOVAVAX INC  | DE    |             |   |   |   |   |   | X |   |   | 01/08/01 | AMEND   |
| OLD KENT FINANCIAL CORP /MI/                                     | MI    |             |   |   |   |   |   | X | X |   | 03/23/01 |         |
| OMNICARE INC   | DE    |             |   |   |   | X |   | X |   |   | 03/15/01 |         |
| ONE WORLD ONLINE COM INC   | NV    |             |   |   |   |   |   |   | X |   | 03/23/01 |         |

| NAME OF ISSUER  | STATE<br>CODE | 8K ITEM NO. |   |   |   |   |   |   |   |   | DATE     | COMMENT |
|---|---------------|-------------|---|---|---|---|---|---|---|---|----------|---------|
|   |               | 1           | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |          |         |
| PACIFIC GAS & ELECTRIC CO                                       | CA            |             |   |   |   | X |   |   |   |   | 03/23/01 |         |
| PG&E CORP   | CA            |             |   |   |   | X |   |   |   |   | 03/23/01 |         |
| PHOENIX INTERNATIONAL LTD INC                                   | FL            |             |   | X | X |   | X |   |   |   | 03/19/01 |         |
| PMA CAPITAL CORP  | PA            |             |   |   |   |   | X |   | X |   | 03/23/01 |         |
| PROCARE INDUSTRIES LTD  | CO            |             |   | X |   |   | X |   |   |   | 03/14/01 |         |
| PROVIDENT FINANCIAL GROUP INC                                   | OH            |             |   |   |   | X | X |   |   |   | 03/21/01 |         |
| PROXIM INC /DE/   | DE            |             |   |   |   | X | X |   |   |   | 03/23/01 |         |
| QUALITY STORES INC  | DE            |             |   |   |   | X | X |   |   |   | 02/06/01 |         |
| RAMEX SYNFUELS INTERNATIONAL INC                                | NV            | X           | X |   |   | X | X |   |   |   | 03/09/01 |         |
| RENT WAY INC  | PA            |             |   |   |   | X |   |   |   |   | 03/22/01 |         |
| RESIDENTIAL ACCREDIT LOANS INC                                  | DE            |             |   |   |   | X | X |   |   |   | 03/22/01 |         |
| RESIDENTIAL ASSET MORTGAGE PRODUCTS<br>INC                      | DE            |             |   |   |   | X | X |   |   |   | 03/22/01 |         |
| RESIDENTIAL ASSET MORTGAGE PRODUCTS<br>INC                      | DE            |             |   |   |   | X | X |   |   |   | 03/22/01 |         |
| RESIDENTIAL ASSET SECURITIES CORP                               | DE            |             |   |   |   | X | X |   |   |   | 03/23/01 |         |
| RESIDENTIAL FUNDING MORTGAGE SECURI<br>TIES I INC               | DE            |             |   |   |   | X | X |   |   |   | 03/22/01 |         |
| RESIDENTIAL FUNDING MORTGAGE SECURI<br>TIES I INC               | DE            |             |   |   |   | X | X |   |   |   | 03/23/01 |         |
| RESIDENTIAL FUNDING MORTGAGE SECURI<br>TIES II INC              | DE            |             |   |   |   | X | X |   |   |   | 03/22/01 |         |
| ROSE HILLS CO   | DE            |             |   |   |   | X | X |   |   |   | 03/21/01 |         |
| SAFETY KLEEN CORP/  | DE            |             |   |   |   | X |   |   |   |   | 03/23/01 |         |
| SALOMON BROTHERS COMMERCIAL MORT TR<br>2000-C3                  | DE            | X           |   |   |   |   |   |   |   |   | 03/15/01 |         |
| SALOMON SMITH BARNEY HOLDINGS INC                               | DE            |             |   |   |   |   | X |   |   |   | 03/16/01 |         |
| SALTON SEA BRINE PROCESSING L P                                 | CA            |             |   |   |   | X | X |   |   |   | 03/22/01 |         |
| SALTON SEA FUNDING CORP   | DE            |             |   |   |   | X | X |   |   |   | 03/22/01 |         |
| SALTON SEA MINERALS CORP  | DE            |             |   |   |   | X | X |   |   |   | 03/22/01 |         |
| SALTON SEA POWER GENERATION L P                                 | CA            |             |   |   |   | X | X |   |   |   | 03/22/01 |         |
| SALTON SEA POWER LLC  | DE            |             |   |   |   | X | X |   |   |   | 03/22/01 |         |
| SALTON SEA ROYALTY CO   | DE            |             |   |   |   | X | X |   |   |   | 03/22/01 |         |
| SAN FELIPE ENERGY CO  |               |             |   |   |   | X | X |   |   |   | 03/22/01 |         |
| SCOTIA PACIFIC CO LLC   | DE            |             |   |   |   |   |   | X |   |   | 03/21/01 | AMEND   |
| SEARS CREDIT ACCOUNT MASTER TRUST I<br>I                        | IL            |             |   |   |   | X | X |   |   |   | 03/08/01 |         |
| SEMX CORP   | DE            |             |   |   |   | X |   |   |   |   | 03/23/01 |         |
| SEQUA CORP /DE/   | DE            |             |   |   |   | X | X |   |   |   | 03/23/01 |         |
| SHENANDOAH TELECOMMUNICATIONS CO/VA<br>/                        | VA            | X           |   |   |   |   |   |   |   |   | 03/23/01 |         |
| SIERRA HEALTH SERVICES INC                                      | NV            | X           |   |   |   |   |   |   |   |   | 03/20/01 |         |
| SIMTEK CORP   | CO            |             | X |   |   |   |   |   |   |   | 03/22/01 |         |
| SOUTHERN CO   | DE            |             |   |   |   |   |   | X |   |   | 03/22/01 |         |
| STERLING BANCSHARES INC   | TX            |             |   |   |   | X | X |   |   |   | 03/22/01 |         |
| STRUCTURED ASSET SEC CORP COMM MORT<br>PAS THR CERT SER 2000 C5 | DE            | X           |   |   |   |   |   |   |   |   | 03/18/01 |         |
| SUNRISE TELECOM INC   |               |             |   |   |   |   | X |   |   |   | 01/08/01 | AMEND   |
| SWIFT TRANSPORTATION CO INC                                     | NV            |             |   |   |   |   | X | X |   |   | 03/23/01 |         |
| TELVUE CORP   | DE            | X           |   |   |   |   |   |   |   |   | 03/23/01 |         |
| TENNECO AUTOMOTIVE INC  | DE            |             |   |   |   | X | X |   |   |   | 03/22/01 |         |
| TEREX CORP  | DE            |             |   |   |   | X |   |   |   |   | 03/22/01 |         |
| TEREX CORP  | DE            |             |   |   |   | X |   |   |   |   | 03/22/01 |         |

| NAME OF ISSUER                    | STATE | BK ITEM NO. |   |   |   |   |   |   |   |   | DATE     | COMMENT |
|-----------------------------------|-------|-------------|---|---|---|---|---|---|---|---|----------|---------|
|                                   | CODE  | 1           | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |          |         |
| THAON COMMUNICATIONS INC          | NV    |             |   |   |   | X |   |   |   |   | 02/15/01 | AMEND   |
| TRANSAMERICAN HOLDING INC         | NV    |             |   |   |   | X |   |   |   |   | 03/19/01 |         |
| UNITED FINANCIAL MORTGAGE CORP    | IL    |             | X |   |   |   |   |   |   |   | 03/20/01 |         |
| US AUTOMOTIVE MANUFACTURING INC   | DE    |             |   | X | X | X |   |   |   |   | 03/15/01 |         |
| USG CORP                          | DE    |             |   |   |   | X |   |   |   |   | 03/23/01 |         |
| VALESC INC                        | DE    | X           | X |   |   | X | X | X |   |   | 03/22/01 |         |
| VERTICAL COMPUTER SYSTEMS INC     | NV    |             | X |   |   |   |   | X |   |   | 03/09/01 |         |
| VEST H D INC /TX/                 | TX    |             |   |   |   | X | X |   |   |   | 03/22/01 |         |
| VIALOG CORP                       | MA    |             |   |   |   | X | X |   |   |   | 03/23/01 |         |
| VIRTUALFUND COM INC               | MN    |             |   |   |   | X |   |   |   |   | 03/21/01 | AMEND   |
| VPC GEOTHERMAL LLC                | DE    |             |   |   |   | X | X |   |   |   | 03/22/01 |         |
| VULCAN POWER CO /NV               | NV    |             |   |   |   | X | X |   |   |   | 03/22/01 |         |
| VULCAN/BN GEOTHERMAL POWER CO     | NV    |             |   |   |   | X | X |   |   |   | 03/22/01 |         |
| WASHINGTON GAS LIGHT CO           | DC    |             |   |   |   | X |   |   |   |   | 03/23/01 |         |
| WELLS FARGO ASSET SECURITIES CORP | DE    |             |   |   |   | X | X |   |   |   | 03/23/01 |         |
| WESBANCO INC                      | WV    |             |   |   |   | X | X |   |   |   | 03/21/01 |         |
| WESTFIELD AMERICA INC             | MO    |             |   |   |   | X |   |   |   |   | 12/31/00 |         |
| WGL HOLDINGS INC                  | VA    |             |   |   |   | X |   |   |   |   | 03/23/01 |         |
| 24/7 MEDIA INC                    | DE    |             |   |   |   | X | X | X |   |   | 03/21/01 |         |