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# SEC NEWS DIGEST

Issue 2001-70

April 11, 2001

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## ENFORCEMENT PROCEEDINGS

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### SEAN HEALEY OF FOXBORO, MASSACHUSETTS IS BARRED FROM PENNY STOCK OFFERINGS

On April 10, the Commission issued an Order Instituting Public Proceedings Pursuant To Section 15(b)(6) of the Securities Exchange Act Of 1934, Making Findings, and Imposing Remedial Sanctions (Order) against Sean T. Healey barring him from participating in an offering of penny stock. After five years from the date of the Order, Healey may request consent to participate in offerings of penny stock by submitting an application to the Commission, through the Office of the Secretary. The Order is based upon the entry of a permanent injunction against him on September 19, 2000, arising out of the Commission's civil action against Healey and other defendants. Healey consented to the Order without admitting or denying the Commission's findings.

The Commission's complaint alleged that the defendants used "wash sales" to create the appearance of active trading in New Directions Manufacturing, Inc. stock. Healey and others then arranged to have a false and misleading research report published on a stock-picker web site, on their own web site, and through unsolicited mass e-mails. The research report falsely claimed that New Directions had significantly expanded, that the author of the report was an independent analyst, and that the purported analyst had issued a buy recommendation. Healey and others attempted to conceal their scheme by conducting much of their activity through Canadian brokerage accounts and Bahamian companies. The defendants profited by approximately \$500,000 from their scheme (See Litigation Release No. 16687). (Rel. 34-44170; File No. 3-10453)

### COMMISSION SANCTIONS JOHN BAGWELL

On April 10, the Commission instituted a public administrative and cease and desist proceeding, making findings and imposing sanctions and a cease and desist order (Order) against John Wellington Bagwell (Bagwell). The Order finds that from 1997 to 1999, Bagwell, a registered investment adviser located in Honolulu, Hawaii, engaged in fraudulent conduct related to the management of his affiliated investment company, the JWB Aggressive Growth Fund (Fund). According to the Order, Bagwell unlawfully borrowed up to 25% of the Fund's net assets, made numerous misrepresentations to the

Fund's shareholders and trustees about his financial condition and the Fund's expense reimbursement arrangement, and caused the sale of Fund shares at materially incorrect net asset values. The Commission simultaneously accepted an Offer of Settlement in which Bagwell, without admitting or denying the Commission's findings, consented to the entry of the Order: barring him from association with any investment adviser and prohibiting him from serving as an employee, officer, or director of a registered investment company; ordering him to cease and desist from committing or causing any violation and any future violation 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, Sections 206(1), (2), and (4) of the Investment Advisers Act and Rule 206(4)-4(a)(1) thereunder, and Sections 17(a)(3) and 34(b) of the Investment Company Act, and from causing any violation and any future violation of Section 21(b) and Rule 22c-1 of the Investment Company Act of 1940; and imposing on him a \$10,000 penalty. (Rels. 33-7969; 34-44171; IA-1937; IC-24934; File No. 3-10454)

## **CRIMINAL ACTION AGAINST IVES HEALTH COMPANY AND KEITH IVES**

Keith Ives, the founder and president of an Oklahoma-based vitamin and nutritional supplement manufacturer, Ives Health Company, was arrested on April 4<sup>th</sup> for fraudulently advertising and distributing a purported drug for AIDS and HIV. The Commission suspended trading in Ives Health stock on March 5<sup>th</sup> because of "questions regarding the accuracy of public statements by Ives Health to investors concerning, among other things, a product being marketed by Ives Health for treatment of human immunodeficiency virus (HIV)" (Exchange Act Release No. 44038).

A criminal complaint, unsealed on April 5<sup>th</sup>, charges Keith Ives and Ives Health Co. with fraudulently distributing an unapproved new drug, in violation of FDA law, as well as with wire fraud. According to the criminal complaint, Ives Health claimed in a press release on February 15<sup>th</sup>, as well as on its website, that "T-Factor" would increase the T-cell count of HIV-positive individuals, and had been tested by its inventor, "Dr. Robert Slayton-Bedden," in Jakarta, Indonesia. The so-called "Java Project" was conducted in association with the World Health Organization, according to the company's claims. The criminal complaint against Ives and his company alleges, among other things, that T-Factor was never approved by the FDA, that there is no record of a "Java Project," and that the World Health Organization is not aware of the product, its inventor or any testing.

In a press release announcing the arrest and unsealing of the criminal complaint, Mary Jo White, United States Attorney for the Southern District of New York, praised the efforts of the Commission, as well as the Federal Bureau of Investigation and FDA, in the criminal investigation. [U.S. v. Ives Health Company and M. Keith Ives, 01 Mag 0569, USDC, SDNY] (LR-16957)

## **COURT ORDERS LAWRENCE PRINCIPATO AND TODD ROBERTI TO COMPLY WITH SETTLED COMMISSION ORDER**

The Commission announced today that it obtained a federal district court order directing defendants Lawrence Principato (Principato) and Todd Roberti (Roberti) to comply with a Commission order previously entered against them with their consent (Commission Order). On February 28, 2001, the Hon. Richard W. Roberts, of the United States District Court of the District of Columbia, issued an order under Section 21(e)(1) of the Securities Exchange Act of 1934 directing Roberti and Principato to comply with the Commission Order. The Commission Order, which was entered on July 24, 2001, barred Principato and Roberti from association with any broker-dealer, ordered Roberti and Principato to pay more than \$748,000 in disgorgement and penalties, revoked the broker-dealer registration of L.T. Lawrence & Co, Inc. (LTL) and ordered Roberti, Principato and LTL to cease and desist from future violations of the anti-fraud and anti-manipulation provisions of the federal securities laws. The Commission Order resolved the administrative proceeding brought in June 1999, in which the Commission found that Principato, Roberti and LTL engaged in the manipulation of the initial public offering of two microcap companies, Bigmar, Inc. and Ecotyre Technologies, Inc. between December 1995 and June 1996. Roberti, Principato and LTL consented to the Commission Order without admitting or denying the findings of the Commission Order, except for the Commission's jurisdiction.

In the federal district court action, which was filed on January 8, 2001, the Commission alleged in its application that Roberti and Principato have failed to make any payment of the disgorgement and penalty amounts required by the Commission Order. Judge Roberts entered the Section 21(e)(1) order after Roberti and Principato failed to file an answer to the Commission's application. [SEC v. Lawrence Principato and Todd Roberti, USDC, D.D.C., Case No. 01-MS-24] (LR-16958)

## **FORMER KEYSTONE BANK OFFICER AND DIRECTOR SETTLES SEC CHARGES OF INSIDER TRADING**

On April 10, the Commission filed a complaint in the United States District Court for the Southern District of West Virginia alleging that Melissa K. Quizenbeury, a former officer and director of First National Bank of Keystone (Bank), sold Bank stock while in possession of material nonpublic information about the adverse financial condition and improper activities conducted at the Bank. Between June 16, 1999 and July 6, 1999, Quizenbeury sold 2,000 Bank shares at \$220.00 per share and avoided losses of \$440,000.

The Commission's complaint specifically alleges that at the time Quizenbeury sold her stock, she knew that the Office of the Comptroller of the Currency (OCC) had prohibited the Bank from accepting brokered deposits. Brokered deposits are deposits obtained by banks for which the banks pay a fee. Despite the OCC's restriction, Quizenbeury knew that the Bank had accepted millions of dollars in brokered deposits. Quizenbeury also

falsely reported to the Executive Committee of the Bank's Board of Directors that the Bank had not accepted brokered deposits. Quizenbeury also knew that Bank executives had falsified Bank records and filed inaccurate reports with the OCC. At the time she sold her Bank stock, Quizenbeury knew that it was essentially worthless.

On September 1, 1999, the OCC declared the Bank to be insolvent, and the FDIC was appointed as receiver for the Bank. The insolvency determination followed the OCC's discovery that the assets of the Bank had been overstated by as much as \$515 million. By September 2, 1999, the Bank stock was worthless.

Simultaneously with the filing of the Commission's complaint, Quizenbeury, without admitting or denying the Commission's allegations, consented to the entry of a judgment permanently enjoining her from violating Section 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 United States Attorney's office for the Southern District of West Virginia has filed a criminal charge against Quizenbeury arising from the same conduct charged in the SEC complaint. Quizenbeury has agreed with the U.S. Attorney's office to plead guilty to one felony count for insider trading and to pay \$440,000 in restitution, plus prejudgment interest, to the registry of the court. With the payment of restitution, Quizenbeury was able to demonstrate her inability to make any further payment. As a result, the Commission did not seek to impose a monetary penalty on Quizenbeury. The Commission would like to thank the United States Attorney's office for its cooperation in this investigation. The Commission is continuing its investigation in this matter. [SEC v. Melissa K. Quizenbeury, Civ. Action No. 1:01-303, S.D.W. Va.] (LR-16959)

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## INVESTMENT COMPANY ACT RELEASES

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### USAA LIFE INSURANCE COMPANY, ET AL.

A notice has been issued giving interested persons until April 30 to request a hearing on an application filed by USAA Life Insurance Company (USAA Life), USAA Life Insurance Company Variable Separate Account (VA Separate Account) and USAA Life Variable Universal Life Insurance Separate Account (VUL Separate Account) (collectively, Applicants). The Applicants seek an order pursuant to Section 26(b) of the Investment Company Act approving the substitution of (1) shares of Vanguard Variable Investment Trust (Vanguard VIT) Equity Index Portfolio for shares of Deutsche VIT Funds (Deutsche VIT) Equity 500 Index; (2) shares of Vanguard VIT Small Company Growth Portfolio for Shares of Deutsche VIT Small Cap Index; (3) shares of Vanguard VIT International Portfolio for shares of USAA Life Investment Trust (LIT) International Fund and shares of Deutsche VIT EAFE® Equity Index; and (4) shares of Vanguard VIT Money Market Portfolio for shares of LIT Money Market Fund. (Rel. IC-24933 – April 9)

## **FIRST VARIABLE LIFE INSURANCE COMPANY, ET AL.**

An order has been issued pursuant to Section 6(c) of the Investment Company Act granting exemptions from Sections 2(a)(32) and 27(i)(2)(A) of the Act and Rule 22c-1 thereunder to First Variable Life Insurance Company (First Variable), First Variable Annuity Fund (Annuity Fund E), and First Variable Capital Services, Inc. (FVCS) (collectively, Applicants) to permit the recapture of purchase payment credits applied to purchase payments made under (i) deferred variable annuity contracts that First Variable will issue through Annuity Fund E (Contracts), and (ii) contracts that First Variable may issue in the future through Annuity Fund E or any other separate account established by First Variable in the future to support certain deferred variable annuity contracts issued by First Variable (Future Accounts) that are substantially similar in all material respects to the Contracts (Future Contracts). The order extends to any other National Association of Securities Dealers, Inc. member broker-dealer controlling or controlled by, or under common control with, First Variable, whether existing or created in the future, that serves as a distributor or principal underwriter for the Contracts or Future Contracts offered through Annuity Fund E or any Future Account. (Rel. IC-24935 – April 10)

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## **HOLDING COMPANY ACT RELEASES**

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### **ENERGY EAST CORPORATION**

An order has been issued authorizing Energy East Corporation (Energy East), a registered holding company, to solicit proxies from its shareholders regarding transactions related to the merger of Energy East with RGS Energy Group, Inc., an exempt holding company under the Public Utility Holding Company Act of 1935. (Rel. 35-27376)

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## **SELF-REGULATORY ORGANIZATIONS**

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

The Commission issued notice of filing and granted accelerated approval to a proposed rule change (SR-PCX-01-15) filed by the Pacific Exchange relating to the trading and listing of standardized equity options on trust issued receipts. Publication of the proposal is expected in the Federal Register during the week of April 16. (Rel. 34-44138)

### **PROPOSED RULE CHANGE**

The American Stock Exchange filed a proposed rule change (SR-Amex-2001-15) pursuant to Section 19(b)(1) of the Securities Exchange Act of 1934 relating to its annual

electronic access fee. Publication of the proposal is expected in the Federal Register during the week of April 9. (Rel. 34-44166)

## APPROVAL OF PROPOSED RULE CHANGE

The Commission approved a proposed rule change filed by The Depository Trust Company (SR-DTC-99-6) that will allow DTC to establish a matured book-entry-only (BEO) certificate destruction service whereby DTC will offer to destroy matured BEO debt security certificates on behalf of redemption agents. Publication of the proposal and order is expected in the Federal Register during the week of April 16. (Rel. 34-44169)

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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>.

SB-2 ALASKA FREIGHTWAYS INC, 300 E. 54TH STREET, SUITE 200, ANCHORAGE, AK  
99518 (907) 227-7319 - 300,000 (\$225,000) COMMON STOCK. (FILE 333-  
58246 -  
APR. 04) (BR. 9)

S-8 OLD REPUBLIC INTERNATIONAL CORP, 307 N MICHIGAN AVE, CHICAGO, IL  
60601  
(312) 346-8100 - 4,000,000 (\$110,080,000) COMMON STOCK. (FILE 333-  
58248 -  
APR. 04) (BR. 1)

S-8 KANSAS CITY SOUTHERN INDUSTRIES INC, 114 W 11TH ST, KANSAS CITY, MO  
64105 (816) 983-1303 - 4,500,000 (\$62,280,000) COMMON STOCK. (FILE  
333-58250 - APR. 04) (BR. 5)

S-3 TARGET CORP, 777 NICOLLET MALL, MINNEAPOLIS, MN 55402 (612) 370-6948  
(FILE 333-58252 - APR. 04) (BR. 2)

S-8 SHARED TECHNOLOGIES CELLULAR INC, 100 GREAT MEADOW RD, SUITE 104,  
WETHERSFIELD, CT 06109 (860) 258-2409 - 1,500,000 (\$213,000) COMMON  
STOCK.  
(FILE 333-58254 - APR. 04) (BR. 7)

S-8 COOKER RESTAURANT CORP /OH/, 5500 VILLAGE BOULEVARD, WEST PALM BEACH, FL  
 33407 (407) 615-6000 - 659,699 (\$804,008.16) COMMON STOCK. (FILE 333-58260 - APR. 04) (BR. 5)

S-8 CYBERGUARD CORP, 2000 WEST COMMERCIAL BLVD, SUITE 200, FORT LAUDERDALE,  
 FL 33309 (954) 958-3900 - 250,000 (\$742,175) COMMON STOCK. (FILE 333-58262 - APR. 04) (BR. 3)

S-8 ANIKA THERAPEUTICS INC, 236 WEST CUMMINGS PARK, WOBURN, MA 01801  
 (617) 932-6616 - 485,000 (\$493,201.72) COMMON STOCK. (FILE 333-58264 - APR. 04) (BR. 1)

S-4 UNITED PARCEL SERVICE INC, 55 GLENLAKE PARKWAY NE,  
 55 GLENLAKE PARKWAY NE, ATLANTA, GA 30328 (404) 828-6000 - 41,724,027 (\$449,837,166) COMMON STOCK. (FILE 333-58268 - APR. 04) (BR. 5)

S-8 PSS WORLD MEDICAL INC, 4345 SOUTHPOINT BLVD, STE 250, JACKSONVILLE, FL  
 32216 (904) 332-3000 - 250,000 (\$1,117,500) COMMON STOCK. (FILE 333-58272 - APR. 04) (BR. 1)

S-8 GENOME THERAPEUTICS CORP, 100 BEAVER ST, WALTHAM, MA 02453  
 (781) 398-2300 - 3,912,296 (\$22,495,702) COMMON STOCK. (FILE 333-58274 - APR. 04) (BR. 1)

S-8 SYSCO CORP, 1390 ENCLAVE PKWY, HOUSTON, TX 77077 (281) 584-1390 - 571,920 (\$14,978,584.80) COMMON STOCK. (FILE 333-58276 - APR. 04) (BR. 4)

S-8 AMERICAN COMMUNITY BANCSHARES INC, 2593 WEST ROOSEVELT BOULEVARD, MONROE, NC 28111 (704) 225-8444 - 298,392 (\$2,637,791.55) COMMON STOCK. (FILE 333-58278 - APR. 04) (BR. 7)

S-3 LOUDEYE TECHNOLOGIES INC, 414 OLIVE WAY, STE 500, SEATTLE, WA 98101  
 (206) 832-4000 - 3,677,013 (\$2,996,766) COMMON STOCK. (FILE 333-58284 - APR. 04) (BR. 3)

S-3 PARKERVISION INC, 8493 BAYMEADOWS WAY, JACKSONVILLE, FL 32256  
 (904) 737-1367 - 2,464,802 (\$59,463,348.25) COMMON STOCK. (FILE 333-58286 - APR. 04) (BR. 2)

S-8 INTEL CORP, 2200 MISSION COLLEGE BLVD, SANTA CLARA, CA 95052  
 (408) 765-8080 - 1,000,000 (\$25,968,750) COMMON STOCK. (FILE 333-58288 - APR. 04) (BR. 5)

S-8 GUINNESS TELLI-PHONE CORP, 655 REDWOOD HIGHWAY, SUITE 273, MILL VALLEY,  
 CA 94941 (415) 389-9442 - 10,000,000 (\$200,000) COMMON STOCK. (FILE 333-58290 - APR. 04) (BR. 7)

S-3 RFS HOTEL INVESTORS INC, 850 RIDGE LAKE BLVD STE 220, MEMPHIS, TN  
38120 (901) 767-7005 - 1,000,000 (\$14,440,000) COMMON STOCK. (FILE 333-58292  
- APR. 04) (BR. 8)

S-4 MARRIOTT INTERNATIONAL INC /MD/, 10400 FERNWOOD ROAD,  
DEPARTMENT 52-924.20, BETHESDA, MD 20817 (301) 380-3000 - 300,000,000  
(\$300,000,000) STRAIGHT BONDS. (FILE 333-58294 - APR. 04) (BR. 8)

S-3 INSIGHT COMMUNICATIONS CO INC, 126 EAST 56TH STREET, NEW YORK, NY  
10022 (212) 371-2266 (FILE 333-58296 - APR. 04) (BR. 7)

S-8 ORIENT EXPRESS HOTELS LTD, 41 CEDAR AVE, PO BOX HM 1179,  
HAMILTON HM EX BERMU, D0 00000 (212) 732-3200 - 750,000 (\$14,088,900)  
COMMON STOCK. (FILE 333-58298 - APR. 05) (BR. 8)

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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 CODE	8K ITEM NO.									DATE	COMMENT	
		1	2	3	4	5	6	7	8	9			
AAMES CAPITAL CORP	CA									X		03/26/01	
AAMES CAPITAL CORP	CA									X		03/26/01	
ADVANCED DEPOSITION TECHNOLOGIES IN C	DE			X	X							04/04/01	
ADVANTA CORP	DE					X		X				04/09/01	
AES CORPORATION	DE		X					X				03/27/01	
AETNA INC /PA/	PA					X		X				04/10/01	
ALAMOSA DELAWARE INC	DE		X					X				03/30/01	
ALBANY MOLECULAR RESEARCH INC	DE		X					X				01/25/01	AMEND
ALLEN TEST INC NEW NAME 2	IN	X										12/10/99	

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NAME OF ISSUER	STATE	8K ITEM NO.									DATE	COMMENT
	CODE	1	2	3	4	5	6	7	8	9		
ALLEN TEST INC NEW NAME 2	IN	X									12/10/99	
ALLEN TEST INC NEW NAME 2	IN	X									12/10/99	
ALLEN TEST INC NEW NAME 2	IN	X									12/10/99	
ALLEN TEST INC NEW NAME 2	IN	X									12/10/99	
ALPHACOM INC	NV					X		X			04/06/01	
AMB PROPERTY CORP	MD					X		X			04/09/01	
AMCON DISTRIBUTING CO	DE		X					X			03/23/01	
AMEDISYS INC	DE					X		X			03/30/01	
ANKER COAL GROUP INC	DE					X		X			04/09/01	
ANNALY MORTGAGE MANAGEMENT INC	MD					X		X			04/09/01	
APOGENT TECHNOLOGIES INC	WI					X		X			04/04/01	
APPLE ORTHODONTIX INC						X		X			03/19/01	
APPLE ORTHODONTIX INC						X		X			03/26/01	
ARIZONA PUBLIC SERVICE CO	AZ					X					04/05/01	
ATMOS ENERGY CORP	TX					X		X			04/02/01	
ATWOOD OCEANICS INC	TX					X					04/10/01	
AUDIOMONSTER ONLINE INC	NV	X						X			09/27/00	AMEND
AVTEAM INC	FL		X					X			03/26/01	
BANC ONE AUTO GRANTOR TRUST 1997-B	NY					X		X			03/02/01	AMEND
BANC ONE CREDIT CARD MASTER TRUST	NY					X		X			03/02/01	AMEND
BANK OF GRANITE CORP	DE					X		X			04/09/01	
BANK OF NEW ENGLAND CORP	MA							X			02/28/01	
BANK ONE AUTO GRANTOR TRUST 1997-A						X		X			03/02/01	AMEND
BANK ONE CORP	DE					X		X			04/09/01	
BANYAN STRATEGIC REALTY TRUST	MA					X		X			04/09/01	
BIOPOOL INTERNATIONAL INC	DE					X		X			03/22/01	
BLACK HILLS CORP /SD/	SD					X		X			04/06/01	
BRAZOS SPORTSWEAR INC /DE/	DE					X		X			03/30/01	
BUILDERS TRANSPORT INC	DE					X		X			02/26/01	
BUILDERS TRANSPORT INC	DE					X		X			03/26/01	
CABLETEL COMMUNICATIONS CORP						X		X			03/16/01	
CALPINE CORP	DE					X					04/09/01	
CAPITAL TRUST INC	MD					X					04/09/01	
CATHAY BANCORP INC	DE					X					04/09/01	
CC MASTER CREDIT CARD TRUST II	MD					X		X			03/02/01	AMEND
CELERITY SOLUTIONS INC	DE					X		X			04/02/01	
CELESTIAL VENTURES CORP	NV					X		X			04/04/01	
CHESAPEAKE ENERGY CORP	OK					X		X			04/06/01	
CHICKEN KITCHEN CORP	FL					X		X			03/28/01	
CHORDIANT SOFTWARE INC			X					X			03/27/01	
CIGNA CORP	DE								X		04/09/01	
CINEMA RIDE INC	DE					X		X			03/29/01	
CITIGROUP INC	DE					X		X			04/09/01	
CL&P FUNDING LLC	DE					X		X			03/30/01	
COBALT CORP	WI	X	X					X			03/23/01	
COMMODORE HOLDINGS LTD						X		X			03/20/01	
CONNECTICUT LIGHT & POWER CO	CT					X					03/30/01	
CONVERGENT COMMUNICATIONS INC /CO	CO					X		X			04/09/01	
CONVERGYS CORP	OH					X					04/06/01	
CORNERSTONE REALTY INCOME TRUST INC	VA		X					X			03/23/01	
COUNTRYWIDE HOME LOAN TRUST HOME LO	NY	X									04/10/01	
AN BAC NO SER 2001-HLV1												

NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
COVANTA ENERGY CORP	DE							X	X		04/06/01	
CREDIT SUISSE FIR BOS MOR SEC CORP	DE				X	X					03/31/01	
MO BK PA TH CE SE 01-WM2												
DAL TILE INTERNATIONAL INC	DE						X	X			04/09/01	
DANKA BUSINESS SYSTEMS PLC					X						04/09/01	
DATAMARINE INTERNATIONAL INC	MA				X						04/09/01	
DEERE & CO	DE								X		04/09/01	
DENCOR ENERGY COST CONTROLS INC	CO	X									04/30/01	
DONALDSON CO INC	DE				X	X					04/09/01	
DTI HOLDINGS INC	MO				X						04/09/01	
ECI TELECOM LTD/											05/07/00	
EDISON INTERNATIONAL	CA				X						03/27/01	
EMUSIC COM INC	DE				X	X					04/06/01	
ESG RE LTD					X	X					04/09/01	
ESYNCH CORP/CA	DE				X						03/30/01	
EXCO RESOURCES INC	TX								X		04/09/01	
EXE TECHNOLOGIES INC	DE						X				01/25/01	AMEND
EXIGENT INTERNATIONAL INC	DE				X	X					04/02/01	
EXPRESS SCRIPTS INC	DE	X									04/06/01	
FARM FAMILY HOLDINGS INC	DE				X	X					04/05/01	
FARMER MAC MORTGAGE SECURITIES CORP	DE				X						04/10/01	
FIRST CHICAGO MASTER TRUST II	DE				X	X					03/02/01	AMEND
FIRST INDUSTRIAL REALTY TRUST INC	MD				X						04/10/01	
FIRST INDUSTRIAL SECURITIES L P	DE				X						04/10/01	
FIRST KEYSTONE CORP	PA		X								03/27/01	
FIRST NBC CREDIT CARD MASTER TRUST					X	X					03/02/01	AMEND
FIRST SOUTHERN BANCSHARES INC/DE	DE							X			04/04/01	
FIRST USA BANK NATIONAL ASSOCIATION					X	X					03/02/01	AMEND
FIRST USA BANK NATIONAL ASSOCIATION					X	X					03/02/01	AMEND
FIRST USA BANK NATIONAL ASSOCIATION					X	X					03/29/01	
FIRST USA CREDIT CARD MASTER TRUST	DE				X	X					03/02/01	AMEND
FIRST USA CREDIT CARD MASTER TRUST	DE				X	X					03/29/01	
FLEET CREDIT CARD MASTER TRUST II	NY				X	X					03/30/01	
FLEXXTECH CORP	NV							X			08/15/00	AMEND
FLORIDA POWER & LIGHT CO	FL							X	X		04/10/01	
FOODVISION COM INC	DE				X						02/08/01	
FPL GROUP INC	FL						X	X			04/10/01	
FRANKLIN ELECTRONIC PUBLISHERS INC	PA					X	X				03/31/01	
FRANKLIN RESOURCES INC	DE		X					X			04/10/01	
GENERAL MOTORS ACCEPTANCE CORP	DE					X					04/06/01	
GENIUS PRODUCTS INC	NV					X					03/26/01	
GLOBAL ELECTION SYSTEMS INC						X					04/05/01	AMEND
GLOBALNET INC	NV							X			04/04/01	
GOLF ENTERTAINMENT INC	DE					X					04/06/01	
GOLFGEAR	NV				X		X				03/29/01	
GRAND ADVENTURES TOUR & TRAVEL PUBL	OR					X					04/09/01	
ISHING CORP												
GREATER COMMUNITY BANCORP	NJ	X									03/21/01	
GREENPOINT MORTGAGE SECURITIES INC/	DE					X	X				04/09/01	
HEALTHCARE RECOVERIES INC	DE					X	X				04/06/01	
HIGH PLAINS CORP	KS	X									04/09/01	
HIGHLAND HOLDINGS INTERNATIONAL INC						X					03/19/01	AMEND

NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
HOME DEPOT INC	DE					X		X			02/20/01	
HOMESTORE COM INC	DE							X			02/16/01	AMEND
HUNTINGTON BANCSHARES INC/MD	MD					X		X			04/10/01	
INTERFACE E COM INC						X					04/02/01	
INTERLAND INC	DE					X		X			03/23/01	
INTERMEDIA COMMUNICATIONS INC	DE					X		X			04/06/01	
INVERNESS MEDICAL TECHNOLOGY INC/DE	DE		X					X			01/23/01	AMEND
ISA INTERNATIONALE INC	DE			X				X			03/31/01	AMEND
ISOMET CORP	NJ									X	04/10/01	
IVANHOE ENERGY INC						X					03/23/01	
IVAX DIAGNOSTICS INC	DE				X			X			04/02/01	
IVI CHECKMATE CORP	DE					X		X			04/06/01	
JAGNOTES COM	NV					X		X			04/06/01	
JARDINE FLEMING CHINA REGION FUND I NC	MD					X					04/10/01	
JONES LANG LASALLE INC	MD					X		X			04/09/01	
KAYDON CORP	DE							X		X	04/10/01	
KERR MCGEE CORP	DE					X		X			04/10/01	
LASON INC	DE					X		X			04/10/01	
LAWSON PRODUCTS INC/NEW/DE/	DE					X		X			03/30/01	
LEAP WIRELESS INTERNATIONAL INC	DE					X		X			04/09/01	
LEARNCOM INC /NV/	NV		X					X			01/24/01	AMEND
LEXINGTON B & L FINANCIAL CORP	MO					X		X			04/09/01	
MANGOSOFT INC	NV					X					03/02/01	
MATTHEWS STUDIO EQUIPMENT GROUP	CA		X					X			01/23/01	AMEND
MCMORAN EXPLORATION CO /DE/	DE					X					04/09/01	
MEGA MICRO TECHNOLOGIES GROUP	NV					X	X				03/22/01	
MELLON BANK PREMIUM FINANCE LOAN MA STER TRUST	NY					X		X			01/31/01	
MELLON BANK PREMIUM FINANCE LOAN MA STER TRUST	NY					X		X			04/10/01	
MENDOCINO BREWING CO INC	CA		X					X			11/03/00	AMEND
META GROUP INC	DE					X		X			04/05/01	
METRO-GOLDWYN-MAYER INC	DE		X					X			04/02/01	
MICRON ELECTRONICS INC	MN					X		X			03/22/01	
MICRON ELECTRONICS INC	MN					X		X			03/22/01	
MICROTEL INTERNATIONAL INC	DE		X					X			09/22/00	AMEND
MID AMERICA APARTMENT COMMUNITIES I NC	TN									X	04/10/01	
MORTGAGE PASS THROUGH CERTIFICATES SERIES 2001-1	DE					X		X			04/01/01	
NCO GROUP INC	PA					X		X			03/26/01	
NESCO INC/OK	OK					X		X			04/05/01	
NETIQ CORP			X					X			03/30/01	
NETIQ CORP			X					X			03/30/01	AMEND
NEVER MISS A CALL INC	NV		X					X			01/26/01	AMEND
NEW ENGLAND PENSION PROPERTIES V	MA		X					X			03/27/01	
NORTHEAST UTILITIES SYSTEM	MA							X			03/30/01	
NOVASTAR MORTGAGE FUNDING CORP	DE		X					X			03/01/01	
NOVASTAR MORTGAGE FUNDING TRUST SER IES 2001-1	DE		X					X			03/01/01	
NRG ENERGY INC	DE					X		X			04/05/01	

NAME OF ISSUER	STATE CODE	8K ITEM NO.								DATE	COMMENT	
		1	2	3	4	5	6	7	8			9
OMNI DOORS INC	FL	X							X		04/06/01	
OMNIPOINT CORP \DE\	DE					X					04/09/01	
ONVIA COM INC	DE					X	X				04/09/01	
OPEN MARKET INC	DE		X						X		03/23/01	
OTTER TAIL CORP	MN					X	X				12/31/01	
PAN PACIFIC RETAIL PROPERTIES INC	MD					X	X				04/06/01	
PANAGRA INTERNATIONAL CORP/	NY	X									04/02/01	
PBOC HOLDINGS INC	DE					X	X				04/05/01	
PEASE OIL & GAS CO /CO/	NV					X	X				04/09/01	
PEPSICO INC	NC					X	X				04/10/01	
PHOENIX MEDICAL TECHNOLOGY INC	DE					X	X				03/18/01	
PHOENIX WASTE SERVICES CO INC	NJ					X	X				04/09/01	
PINNACLE WEST CAPITAL CORP	AZ					X			X		04/05/01	
PRO DEX INC	CO					X					03/28/01	
PROFESSIONAL BENEFITS INSURANCE CO	TX								X		03/29/01	
PROPERTY CAPITAL TRUST INC	MD	X									03/28/01	
PXRE GROUP LTD						X			X		04/03/01	AMEND
QLT INC/BC	Al						X		X		03/23/01	
QUEST NET CORP	FL	X	X			X	X				01/16/01	
RADIO ONE INC	DE								X		04/09/00	AMEND
RAMTRON INTERNATIONAL CORP	DE					X	X				03/30/01	
RAVISENT TECHNOLOGIES INC	DE		X						X		03/23/01	
RCA TRADING CO INC	FL	X									03/16/01	
REGIONS FINANCIAL CORP	DE								X	X	04/09/01	
REPUBLIC TECHNOLOGIES INTERNATIONAL HOLDINGS LLC	DE			X							04/09/01	
RESPONSE ONCOLOGY INC	TN			X					X		03/29/01	
ROBERDS INC	OH										05/07/00	
ROBOCOM SYSTEMS INTERNATIONAL INC	NY						Y		X		04/09/01	
ROMPUS INTERACTIVE CORP						X			X		09/12/99	
RYANS FAMILY STEAKHOUSES INC	SC		X								04/04/01	
SAFESCIENCE INC	NV					X	X				02/15/01	
SALIX PHARMACEUTICALS LTD						X	X				04/09/01	
SALTON INC	DE					X	X				04/09/01	
SILVER RAMONA MINING CO	ID					X					04/09/01	
SL INDUSTRIES INC	NJ					X	X				04/06/01	
SMARTERKIDS COM INC	DE					X					04/09/01	
SOFTNET SYSTEMS INC	DE					X					04/06/01	
SOUTHERN CALIFORNIA EDISON CO	CA					X	X				03/27/01	
SPACEDEV INC	CO					X	X				04/02/01	
SPATIALIGHT INC	NY					X			X		04/06/01	
SPECIALTY LABORATORIES						X	X				04/09/01	
SPHERION CORP	DE					X	X				04/10/01	
SPORTSLINE COM INC	DE					X					04/06/01	
SPS TECHNOLOGIES INC	PA	X									04/06/01	
STAMPEDE WORLDWIDE INC	GA	X									04/06/01	
STANDARD COMMERCIAL CORP	NC					X	X				04/09/01	
STANLEY FURNITURE CO INC/	DE					X					04/09/01	
STEWART & STEVENSON SERVICES INC	TX					X	X				04/10/01	
STRUCTURED ASSET SEC CORP MORT PASS	DE					X	X				03/30/01	

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NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
STRUCTURED ASSET SECURITIES CORP MO RT PASS THR CERT SER 01 1	DE									X	03/26/01	
STRUCTURES ASSET MORTGAGE INV INC M OR PAS-THR CER SER 2001-3	NY									X	03/26/01	
SUIZA FOODS CORP	DE				X	X					04/04/01	AMEND
SUNTERRA CORP	MD				X	X					04/05/01	
SYMPHONIX DEVICES INC	DE			X		X					04/02/01	
S1 CORP /DE/	DE				X	X					04/06/01	
TDK MEDIACTIVE INC	DE				X	X					04/10/01	
TERAFORCE TECHNOLOGY CORP	DE				X	X					04/09/01	
TESSERACT GROUP INC	MN		X		X	X					03/30/01	
TOWER BANCORP INC	PA	X									04/10/01	
TRADAMAX GROUP	NV				X						04/06/01	
TRANSKARYOTIC THERAPIES INC	DE				X	X					03/28/01	
TRANSMEDIA NETWORK INC /DE/	DE					X					04/09/01	
TRUE NORTH COMMUNICATIONS INC	DE				X	X					04/09/01	
TRUSERV CORP	DE				X	X					02/22/01	
TSET INC	NV			X		X					09/06/00	AMEND
TUPPERWARE CORP	DE	X									04/10/01	
U S AGGREGATES INC	DE				X	X					04/03/01	
UNICORP INC /NEW	NV			X		X					04/06/01	
UNITED DOMINION REALTY TRUST INC	VA				X						02/01/01	
UNITEDHEALTH GROUP INC	MN					X	X				04/10/01	
US AIRWAYS GROUP INC	DE					X	X				04/10/01	
US AIRWAYS INC	DE					X	X				04/10/01	
US HOME SYSTEMS INC /TX	DE		X			X					02/13/01	AMEND
VALUSALES COM INC	FL			X							04/03/01	
VENTRO CORP	DE				X						04/10/01	
VESTA INSURANCE GROUP INC	DE				X	X					04/09/01	
VISIONAMERICA INC	DE		X			X					03/30/01	
VLASIC FOODS INTERNATIONAL INC	NJ				X	X					04/03/01	
VOICESTREAM WIRELESS CORP /DE	DE				X	X					04/09/01	
WACHOVIA CORP/ NC	NC				X	X					04/06/01	
WAVERIDER COMMUNICATIONS INC	NV							X			04/06/01	
WELLS FARGO ASSET SECURITIES CORP	DE				X	X					03/21/01	
WESTERN DIGITAL CORP	DE				X	X					04/09/01	
WESTERN MASSACHUSETTS ELECTRIC CO	MA				X						03/30/01	
WILMINGTON TRUST CORP	DE			X		X					04/02/01	AMEND
WODFI LLC	FL				X	X					03/06/01	
WORLDWIDE DATA INC				X							04/06/01	
WRC MEDIA INC	DE				X	X					04/09/01	
X RAMP COM INC	NV			X							03/26/01	AMEND
YORKSHIRE POWER GROUP LTD	DE	X		X							04/09/01	
YOUTICKET COM INC	NV			X							03/20/01	AMEND
1ST GENX COM INC	NV					X					03/31/01	
3 D SYSTEMS CORP	DE				X	X					04/02/01	