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# SEC NEWS DIGEST

Issue 2001-114

June 13, 2001

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## ENFORCEMENT PROCEEDINGS

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### PROCEEDINGS INSTITUTED AND SETTLED AGAINST JPR CAPITAL CORP., ET AL.

On June 13, the Commission instituted and simultaneously settled public administrative and cease-and-desist proceedings against JPR Capital Corp. (JPR Capital), a Roslyn, New York-based day trading firm, Paul Umansky, JPR Capital's owner and president, Charles Hampton, JPR Capital's Chief Operating Officer, Jeffrey Wolf, a former co-owner of JPR Capital, and Jeffrey Ramson, a former registered representative of the firm. The administrative proceedings found that JPR Capital, Wolf, and Ramson, aided and abetted and caused by Umansky and Hampton, violated, among other things, the rules and regulations governing the extension of margin loans to customers established by the Securities Exchange Act of 1934 and the Board of Governors of the Federal Reserve System. All of the respondents consented to the Commission's order without admitting or denying the Commission's allegations, agreed to pay civil money penalties and consented to other relief.

JPR Capital, which the Commission found operates as a day trading firm, is a member of the National Association of Securities Dealers (NASD) and is a broker-dealer registered with the Commission. The Commission found that JPR Capital's day traders conducted all of their day trading in margin accounts, which allowed the day traders to purchase securities with funds borrowed from the broker-dealer. There are, however, limitations on the extension of margin account loans by a broker or dealer or their associated persons. Sections 7(c) and 7(d) of the Exchange Act and Regulation T promulgated by the Federal Reserve Board prohibit brokers or dealers, or their associated persons, from, among other things, extending or maintaining credit to or for any customer except as prescribed by the Federal Reserve Board in Regulation T. By placing limits on margin lending, Sections 7(c) and 7(d) of the Exchange Act and Regulation T protect the financial integrity of broker-dealers.

The Commission found that between November 1997 and November 1998, customers of JPR Capital received \$670,000 in uncollateralized loans from accounts maintained at the firm in the name of Wolf's mother and two of Wolf's children (the Wolf Accounts) for the purpose of covering at least 15 margin calls issued pursuant to Regulation T. The

Commission also found that between January 1999 and March 2000, customers of JPR Capital received another \$1.3 million in uncollateralized loans from accounts maintained at JPR Capital in the name of three corporate entities that were controlled by Ramson. The Commission found that Wolf and Ramson loaned funds to the customers from these accounts after Hampton or Umansky learned that the customers could not meet their outstanding Regulation T margin calls. The Commission found that the actions of JPR Capital, Wolf, Umansky, Hampton and Ramson allowed JPR Capital day trading customers to continue trading when positions in their margin accounts would otherwise have, and should have, been liquidated.

In addition to the margin lending violations, the Commission found that JPR Capital, aided and abetted and caused by Umansky and Hampton, violated credit disclosure, and books and records provisions of the Securities Exchange Act of 1934.

Pursuant to the Commission's Order, JPR Capital is censured, ordered to pay a civil money penalty of \$55,000, and ordered to cease-and-desist from committing or causing any violations and any future violations of Sections 7(c), 17(a) of the Exchange Act, Rule 17a-4 thereunder, Rule 10b-16 under the Exchange Act, and Regulation T promulgated by the Federal Reserve Board. In addition, JPR Capital is ordered to comply with undertakings designed to improve JPR Capital's compliance department. Also pursuant to the Commission's Order, Wolf, Umansky, Hampton and Ramson are each censured and ordered to pay civil money penalties of \$5,500. Further, Wolf and Ramson are ordered to cease and desist from committing or causing any violation and any future violations of Section 7(d) of the Exchange Act and Regulation T, and Umansky and Hampton are ordered to cease and desist from causing any violation and any future violation of Sections 7(c), 7(d) and 17(a) of the Exchange Act, Rule 17a-4 thereunder, Rule 10b-16 under the Exchange Act, and Regulation T promulgated by the Federal Reserve Board. (Rel. 34-44412; 34-44413; File Nos. 3-10504; 3-10505)

## **ADMINISTRATIVE PROCEEDING AGAINST PATRICK ROONEY AND ADRIAN ALEXANDER**

On June 13, the Commission issued an Order Instituting Public Proceedings Pursuant to Sections 15(b)(6) and 21C of the Securities Exchange Act of 1934, Making Findings, Imposing Cease-and-Desist Orders, and Remedial Sanctions against Patrick J. Rooney and Adrian Antoniu Alexander. Adrian Antoniu Alexander was formerly known as Adrian Antoniu. The Commission simultaneously accepted Offers of Settlement in which Rooney and Alexander, without admitting or denying the Commission's findings, consented to the entry of the Order barring them from association with any broker or dealer; ordering them to cease and desist from committing or causing violations of Section 15(a) of the Securities Exchange Act of 1934; and imposing a \$700,000 penalty on Rooney and a \$100,000 penalty on Alexander. The Order finds that in 1989, Rooney was barred from associating with a broker or dealer and, in 1992, Alexander also was barred from associating with a broker or dealer. The Order finds that each had a right to reapply after a certain period, but neither had successfully reapplied.

The Order finds that from 1991 through 1996 Rooney owned, operated, and controlled an unregistered broker from offices in New York. The unregistered broker corporation used various names during this period, including EC American Securities Corp., EC American Corp.; and EC American Ltd. (collectively, EC American). Rooney hid his control of and financial interest in EC American through offshore companies administered by a nominee located in Jersey, Channel Islands. By 1992, Alexander joined EC American also as a consultant. Until he left EC American in 1996, Alexander shared an office with Rooney, and worked with Rooney in various capacities in structuring financing for, and soliciting investors in, public and private securities offerings. Rooney's and Alexander's activities through EC American included structuring financings for various companies; directly soliciting persons to purchase securities in those financings; contracting with others who would obtain a commission for selling the securities; controlling investor funds raised from those sales until the transactions closed; and upon closing of the transaction, receiving transaction-based compensation. The Order discusses offerings for the following issuers: Disease Detection International, Inc., Trinity Biotech plc, Obsidian Research N.V., Therapeutic Patch Research N.V., Syntech International, Inc., and Vista Technologies, Inc.

The Order also finds that, in March 1993, Rooney illegally bought and controlled a registered broker-dealer which he then renamed EC American Securities Corp. (ECAS USA). Rooney used persons employed by EC American and offshore nominees to conceal his actual involvement. The funds to purchase ECAS USA came from offshore accounts controlled by Rooney. In 1994, Rooney changed the name of ECAS USA to Baker Weeks & Co., Inc., and orchestrated the transfer of the apparent ownership of the broker-dealer to the subsidiary of a publicly traded company over which Rooney had gained the ability to exercise control. Subsequently, in 1995, legal ownership of the broker-dealer was transferred to another entity. (Rel. 34-44414; File No. 3-10506)

### **SECURITIES AND EXCHANGE COMMISSION ACCEPTS OFFERS OF SETTLEMENT IN ALL-TECH CASE**

On June 13, the Commission accepted offers of settlement from All-Tech Direct, Inc. (All-Tech), a day trading firm, and certain of its employees to resolve an administrative proceeding alleging violations of the federal securities laws governing margin lending. The settlements include a \$225,000 civil penalty against All-Tech and a requirement that the firm retain an independent consultant to examine and recommend improvements to its margin lending practices. The settlements against the individuals include, among other relief, suspensions and civil money penalties.

The administrative proceeding, instituted on February 14, 2000, alleged that All-Tech improperly used funds from accounts of persons associated with the firm to make loans to its customers to enable the customers to meet margin calls, and that a number of All-Tech employees aided and abetted, and caused, All-Tech's improper conduct. In its settlement, All-Tech consented to the entry of an order, without admitting or denying the findings.

contained in the order, in which the Commission found that All-Tech made approximately 100 improper margin loans totaling approximately \$3.6 million over an eight month period in violation of federal margin lending rules. The Commission censured All-Tech and ordered the firm to cease and desist from committing or causing any violations of the federal margin lending rules, to pay a \$225,000 civil penalty, and to retain an independent consultant to review and recommend improvements to its margin lending practices.

The administrative order imposed sanctions and made the following findings regarding the individual respondents, which they neither admitted nor denied.

**Mark Shefts, All-Tech's President**

The Commission found that Shefts failed reasonably to supervise the All-Tech personnel who approved and arranged the loans because he failed to take reasonable measures to detect and prevent the violations, even though he knew about certain of the loans and had reason to know that they were improper. The Commission censured Shefts, ordered him to pay a \$25,000 civil penalty, and suspended him from associating with a broker or dealer in a supervisory capacity for three months.

**Harry Lefkowitz, All-Tech's Chief Operating Officer**

The Commission found that Lefkowitz aided and abetted and caused All-Tech's violations because he approved almost all of the improper margin loans. The Commission censured Lefkowitz, ordered him to cease and desist from further violations of the federal margin lending rules, suspended him from association with a broker or dealer for three months and from associating with a broker or dealer in a supervisory capacity for an additional three months, and ordered him to pay a \$20,000 civil penalty.

**Lisa Esposito, a supervisor in All-Tech's margin department**

The Commission found that Esposito arranged the improper margin loans and, therefore, aided and abetted and caused All-Tech's violations. The Commission censured Esposito, ordered her to cease and desist from further violations of the federal margin lending rules, suspended her from association with a broker or dealer for three months, and ordered her to pay a \$10,000 civil penalty.

**David Waldman, an associated person at All-Tech**

The Commission found that Waldman allowed All-Tech to use his account to make improper margin loans, and therefore aided and abetted, and caused, All-Tech's violations. The Commission censured Waldman, ordered him to cease and desist from further violations of the federal margin lending rules, suspended him from association with a broker or dealer for three months, ordered him to disgorge \$1700 of fees he received for making the loans, plus prejudgment interest, and ordered him to pay a

\$5,000 civil penalty.

Wayne M. Carlin, Regional Director of the Commission's Northeast Regional Office, said, "Today's settlements trumpet a strong message to broker-dealers, including those catering to day traders, that the Commission expects full compliance with the margin lending laws and regulations. These rules are designed to protect investors and broker-dealers from the dangers associated with excessive borrowing to trade securities. We will take appropriate enforcement action when firms employ improper transactions to evade margin lending requirements."

The Commission previously settled with the three other individual respondents, Ralph Zulferino, Barry Parrish and Adam Leeds, and the settlements announced today completely resolve the case. The Commission acknowledges the assistance of NASD Regulation, Inc. and its staff in this matter. See Rels. 34-42446; 34-42765; 34-42766; 34-43431. (Rels. 34-44415; 34-44416; 34-44417; 34-44418; 34-44419; File No. 3-10150)

### **FORMER LEHMAN BROTHERS INVESTMENT BANKING ANALYST BARRED**

On May 31, 2001, the U.S. District Court for the Southern District of New York entered a final judgment against Ricardo Ballesteros Gutierrez ("Ballesteros"), a former investment banking analyst at Lehman Brothers Inc., based upon charges of insider trading. In its complaint filed on May 8, 2001, the Commission alleged that Ballesteros purchased the stock of Nalco Chemical Company after being tipped by his father, Jose Luis Ballesteros Franco, then a director of Nalco, concerning the upcoming acquisition of Nalco by the French company, Suez Lyonnaise des Eaux. The Commission's complaint alleges that Ballesteros, his father, and other members of his immediate family made illegal profits of over \$3.3 million.

Ballesteros consented to the entry of the final judgment, which permanently enjoins him from violating the antifraud provisions contained within Sections 10(b) and 14(e) of the Securities Exchange Act of 1934 and Rules 10b-5 and 14e-3 promulgated thereunder. The Court also ordered Ballesteros to pay a civil penalty of \$20,853. The estate of Ballesteros' father, who died on May 28, 2000, has consented to pay over \$3.7 million, representing disgorgement of all profits made by the Ballesteros family, including Ricardo Ballesteros' profits of \$20,853, and prejudgment interest thereon. See *Securities and Exchange Commission v. Jorge Eduardo Ballesteros Franco, et al.*, Civil Action No. 01CV 3872 (JGK) (S.D.N.Y.) (filed May 8, 2001); LR-16991 (May 8, 2001).

Today, based on the entry of the Court's injunction, the Commission also instituted settled administrative proceedings against Ballesteros. Without admitting or denying the Commission's findings, Ballesteros consented to the entry of the Commission's Order, which bars him from associating with any broker, dealer, municipal securities dealer, investment adviser or member of a national securities exchange or registered securities association, with the right to reapply after five years. (Rels. 34-44420; 34-44421; 34-44422; 34-44423; 34-44424; 34-44425; 34-44426; 34-44427; 34-44428; 34-44429; File No. 3-10507; LR-17035)

## **SEC BRINGS CHARGES IN TWO MILLION DOLLAR UNREGISTERED STOCK SWINDLE**

On June 12, the Commission charged four individuals in connection with a fraudulent, unregistered offering of stock of Fargo Holdings, Inc. (Fargo) -- a company that purported to provide financial services and manufacture blue jeans, but which actually engaged in no legitimate operations at all. The complaint alleges that in selling Fargo stock, the defendants, Michael I. Nnebe (Nnebe), Nelson C. Walker (Walker), Steven S. Bocchino (Bocchino), and Daniel M. Coyle, Jr. (Coyle) employed a variety of written and oral misrepresentations to raise over \$2 million from at least 118 investors. The complaint also alleges that Nnebe diverted the majority of the offering proceeds to his own use, and gave most of the rest to the other defendants and to Luis Colon, Jr. (Colon), who is named in the complaint as a relief defendant.

Named as defendants are:

Nnebe, age 40, resides in Orange, New Jersey. Nnebe was Fargo's President, Chief Executive Officer, and principal shareholder.

Walker, age 47, resides in Brooklyn, New York. From approximately October 1998 through November 1999, Walker worked at Fargo, where he cold-called investors to solicit purchases of Fargo stock and supervised a group of cold-callers who also offered and sold Fargo stock. Walker held himself out as Fargo's Senior Portfolio Manager and Underwriting Director.

Bocchino, age 30, resides in East Stroudsburg, Pennsylvania. During the period of the conduct at issue, Bocchino resided in Brooklyn, New York. Bocchino solicited sales of Fargo stock between at least October 1998 and February 1999, while he was a registered representative at Pacific Continental Securities Corp. (Pacific Continental) and Seaboard Securities, Inc. (Seaboard).

Coyle, age 27, resides in Brooklyn, New York. Coyle solicited sales of Fargo stock between at least September 1998 and August 1999, while he was a registered representative at Pacific Continental and Seaboard.

The relief defendant, Colon, age 28, resides in New York, New York. From approximately September 1997 through November 1999, Colon received at least \$153,125 from the Fargo offering proceeds.

The complaint alleges that from at least July 1997 to at least November 1999, Nnebe conducted a fraudulent, unregistered offering of stock issued by Fargo, a company Nnebe owned and controlled. Nnebe and Walker solicited investors from Fargo's "boiler room" at 80 Wall Street. Bocchino and Coyle solicited investors while working as registered representatives at two broker-dealers. To induce investors to buy Fargo stock, the

defendants employed a variety of blatant falsehoods concerning, among other things, the use of investor proceeds, Fargo's business and operations, plans for Fargo to conduct an initial public offering which would allow investors to sell their private placement shares for a substantial profit, and the risk of investing in Fargo. In particular, the defendants falsely told investors that Fargo:

- operated a day-trading business;
- provided financial services;
- manufactured blue jeans in Honduras;
- would use the offering proceeds to fund its business activities;
- would be conducting an IPO;
- had institutional investors ready to purchase shares in the Fargo IPO;
- traded on various stock exchanges; and
- was a "risk-free" investment.

In fact, Fargo never took any steps toward conducting an IPO, had no legitimate business operations, and did not use the offering proceeds to fund its purported businesses. Nnebe misappropriated more than \$1.15 million of the offering proceeds and used them for personal mortgage and credit card payments, international and domestic travel, a Rolls-Royce automobile, and transfers to Nnebe's friends and family in Nigeria. Walker received at least \$191,305 from the fraud. Bocchino pocketed commissions totaling at least \$14,800, and Coyle received commissions totaling at least \$7,000. Colon received at least \$153,125 of the offering proceeds. In November 1999, Fargo abruptly closed its offices and left no telephone number or forwarding address.

The Commission alleges that as a result of the foregoing Nnebe, Walker, Bocchino, and Coyle violated Sections 5(a), 5(c), and 17(a) of the Securities Act of 1933, Section 10(b) of the Securities Exchange Act of 1934 ("Exchange Act") and Rule 10b-5 thereunder, and that Walker, Coyle, and Bocchino violated Section 15(a) of the Exchange Act. The Commission seeks a final judgment: (a) permanently enjoining Nnebe, Walker, Bocchino, and Coyle from future violations; (b) ordering Nnebe, Walker, Bocchino, and Coyle to disgorge ill-gotten gains, plus prejudgment interest; (c) imposing civil penalties against Nnebe, Walker, Bocchino, and Coyle; (d) ordering Colon to disgorge funds equal to the amount by which he was unjustly enriched; and (e) ordering Nnebe, Walker, Bocchino, Coyle, and Colon to provide verified written accountings.

The litigation is pending in the United States District Court for the Southern District of New York. The Commission thanks the United States Attorney's Office for the Southern District of New York for its cooperation in this matter. [SEC v. Michael I. Nnebe, Nelson C. Walker, Steven S. Bocchino, Daniel M. Coyle, Jr., and Luis Colon, Jr., 91 CIV 5247] (LR-17034)

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## INVESTMENT COMPANY ACT RELEASE

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### TREMONT CORPORATION

An order has been issued on an application filed by Tremont Corporation (Tremont) under Section 2(a)(9) of the Investment Company Act declaring that Tremont controls NL Industries, Inc. and under Section 3(b)(2) of the Act declaring that Tremont is primarily engaged in a business other than that of investing, owning, holding or trading in securities. (Rel. IC-25001 – June 12)

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## HOLDING COMPANY ACT RELEASE

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### ALLIANT ENERGY CORPORATION

A supplemental order has been issued authorizing Alliant Energy Corporation, a registered holding company, and its subsidiaries, Alliant Energy Resources, Inc. and Heartland Properties, Inc., to make tax-advantaged investments of up to \$50 million in low-income housing projects anywhere in the United States. (Rel 35-27418)

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## SELF-REGULATORY ORGANIZATIONS

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### IMMEDIATE EFFECTIVENESS OF PROPOSED RULE CHANGE

A proposed rule change by the Philadelphia Stock Exchange (SR-Phlx-2001-51) increasing the maximum size of option orders that may be executed automatically through AUTO-X to 100 contracts 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 June 11. (Rel 34-44404)

### ACCELERATED APPROVAL OF PROPOSED RULE CHANGE

The Commission published notice and granted accelerated approval of Amendment No. 1 to a proposed rule change (SR-Phlx-2001-08) of the Philadelphia Stock Exchange concerning the maintenance, retention, and furnishing of records and other information with respect to payment for options order flow arrangements. The Phlx filed the original proposed rule change on January 19, 2001, and the Commission published notice of the filing in Securities Exchange Act Release No. 44103 (March 26, 2001), 66FR17591 (April 2, 2001). The Phlx submitted Amendment No. 1 on May 22, 2001. Publication is expected in the Federal Register during the week of June 11. (Rel. 34-44405)

## PROPOSED RULE CHANGES

The Pacific Exchange filed a proposed rule change (SR-PCX-2001-19) under Section 19(b)(1) of the Securities Exchange Act of 1934 relating to Exchange rules under the Minor Rule Plan. Publication of the notice in the Federal Register is expected during the week of June 11. (Rel. 34-44402)

The Chicago Board Options Exchange has filed a proposed rule change (SR-CBOE-2001-14) to amend its rules regarding jurisdiction over former Members and Associated Persons for failure to honor an Exchange arbitration award. Publication of the proposal is expected in the Federal Register during the week of June 11. (Rel. 34-44408)

The American Stock Exchange filed a proposed rule change (SR-Amex-2001-26) pursuant to Section 19(b)(1) of the Securities Exchange Act of 1934 relating to an increase in the Exchange Regulatory Fee. Publication of the proposal is expected in the Federal Register during the week of June 11. (Rel. 34-44410)

## APPROVAL OF PROPOSED RULE CHANGE

The Commission approved a proposed rule change (SR-Pcx-99-45) filed by the Pacific Exchange pursuant to Rule 19b-4 amending its rules governing Floor Brokers. (Rel. 34-44403)

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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 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-11 HOLMES FINANCING NO 4 PLC, ABBEY HOUSE BAKER STREET LONDON NW1 6  
UNITED KINGDOM 011-44-20-7612-4000, UNITED KINGDOM, X0 00000 -  
100,000,000  
(\$100,000,000) STRAIGHT BONDS. (FILE 333-13576 - MAY. 31) (BR. 7  
- NEW ISSUE)

F-6 KOREA TELECOM CORP /ADR/, CITIBANK NA, 111 WALL ST, NEW YORK, NY  
10005

(212) 637-5100 - 300,000,000 (\$15,000,000)  
 DEPOSITARY RECEIPTS FOR COMMON STOCK. (FILE 333-13578 - MAY. 31) (BR.  
 99)

S-8 NORANDA INC, 181 BAY ST, STE 4100 M5J 2T3, TORONTO CANADA M5J 2, A6  
 (416) 982-7475 - 8,927,821 (\$97,857,120.45) FOREIGN COMMON STOCK.  
 (FILE  
 333-13582 - JUN. 01) (BR. 4)

F-3 HIBERNIA FOODS PLC, 15 FITZWILLIAM SQ, DUBLIN 2 IRELAND, T2  
 (212) 661-1620 - 1,329,957 (\$8,551,623.51) FOREIGN COMMON .K. (FILE  
 333-13588 - JUN. 01) (BR. 4)

S-3 NEUBERGER BERMAN INC, 605 THIRD AVE, NEW YORK, NY 10158 (212) 476-  
 9000  
 - 5,200,000 (\$402,012,000) COMMON STOCK. (FILE 333-62350 - JUN. 06)  
 (BR. 7)

S-3 GOTO COM INC, 74 NORTH PASADENA AVENUE, THIRD FLOOR, PASADENA, CA  
 91103  
 (626) 685-5600 - 8,625,000 (\$188,240,625) COMMON STOCK. (FILE 333-  
 62352 -  
 JUN. 06) (BR. 8)

S-3 DELIAS CORP, 435 HUDSON STREET, NEW YORK, NY 10014 (212) 807-9060 -  
 5,000,000 (\$20,375,000) COMMON STOCK. (FILE 333-62354 - JUN. 06) (BR.  
 2)

S-8 KIMBERLY CLARK CORP, P O BOX 619100, DFW AIRPORT STATION DALLAS, TX  
 75261 (972) 281-1200 - 30,000,000 (\$1,786,800,000) COMMON .K. (FILE  
 333-62358 - JUN. 06) (BR. 4)

N-2 CNA INCOME SHARES INC, CNA PLZ, 41-S, CHICAGO, IL 60685 (312) 822-  
 4181  
 - 25,000 (\$1,000,000) COMMON STOCK. (FILE 333-62360 - JUN. 06) (BR.  
 22)

S-3 WGL HOLDINGS INC, 1100 H STREET NW, WASHINGTON, DC 20080 (202) 624-  
 6151  
 - 1,857,250 (\$51,872,993) COMMON STOCK. (FILE 333-62366 - JUN. 06)  
 (BR. 2)

SB-2 ADVANCED PLANT PHARMACEUTICALS INC, 75 MAIDEN LA, NEW YORK, NY 10038  
 (212) 402-7878 - 44,245,122 (\$2,123,766) COMMON STOCK. (FILE 333-62368  
 -  
 JUN. 06) (BR. 4)

S-8 ADVANCED PLANT PHARMACEUTICALS INC, 75 MAIDEN LA, NEW YORK, NY 10038  
 (212) 402-7878 - 5,000,000 (\$250,000) COMMON STOCK. (FILE 333-62370 -  
 JUN. 06) (BR. 4)

S-8 MASSACHUSETTS FINCORP INC, 70 QUINCY AVE, QUINCY, MA 02169  
 (617) 825-5556 - 76,367 (\$1,000,205) COMMON STOCK. (FILE 333-62374 -  
 JUN. 06) (BR. 7)

S-8 REMEDENT USA INC/AZ, 1220 BIRCH WAY, 602-596-8460, ESCONDIDO, CA  
92027  
(760) 781-3333 - 250,000 (\$127,500) COMMON STOCK. (FILE 333-62376 - JUN. 06) (BR. 5)

S-8 PINNACLE ENTERTAINMENT INC, 330 NORTH BRAND BOULEVARD, SUITE 1110,  
GLENDALE, CA 91203 (818) 662-5900 - 900,000 (\$8,419,500) COMMON STC  
(FILE 333-62378 - JUN. 06) (BR. 5)

S-8 MAXIMUS INC, 1356 BEVERLY RD, MCLEAN, VA 22101 (703) 734-4200 -  
2,000,000 (\$73,520,000) COMMON STOCK. (FILE 333-62380 - JUN. 06) (BR.  
8)

S-8 RYERSON TULL INC /DE/, 2621 WEST 15TH PLACE, CHICAGO, IL 60608  
(773) 762-2121 - 100,000 (\$1,311,000) COMMON STOCK. (FILE 333-62382 -  
JUN. 06) (BR. 6)

S-8 SPEEDFAM IPEC INC, 305 NH 54TH ST, CHANDLER, AZ 85226 (480) 705-2100  
-  
3,000,000 (\$13,860,000) COMMON STOCK. (FILE 333-62384 - JUN. 06) (BR.  
5)

S-4 CREDENCE SYSTEMS CORP, 215 FOURIER AVE, FREMONT, CA 94539 (510) 657-  
7400  
- 9,393,417 (\$196,218,025.20) COMMON STOCK. (FILE 333-62386 - JUN. 06)  
(BR. 5)

S-3 STAKE TECHNOLOGY LTD, 2838 HWY 7, NORVAL ONTARIO, L0P 1K0 CANADA, A6  
(905) 455-1990 - 112,500 (\$234,000) COMMON STOCK. (FILE 333-62388 -  
JUN. 06) (BR. 6)

S-8 HICKOK INC, 10514 DUPONT AVE, CLEVELAND, OH 44108 (216) 41-8060 -  
121,000 (\$514,250) COMMON STOCK. (FILE 333-62400 - JUN. 06) (BR. 5)

S-8 STEWART & STEVENSON SERVICES INC, 2707 N LOOP W, HOUSTON, TX 77008  
(713) 868-7700 - 270,500 (\$7,628,100) COMMON STOCK. (FILE 333-62402 -  
JUN. 06) (BR. 5)

S-8 COBIZ INC, 821- 17TH STREET, 303-293-2265, DENVER, CO 80202  
(303) 293-2265 - 243,728 (\$4,764,882) COMMON STOCK. (FILE 333-62404 -  
JUN. 06) (BR. 7)

S-8 EPIX MEDICAL INC, 71 ROGERS ST, CAMBRIDGE, MA 02142 (617) 250-6000 -  
50,000 (\$365,000) COMMON STOCK. (FILE 333-62406 - JUN. 06) (BR. 1)

S-8 FOREST OIL CORP, 1600 BROADWAY, 2200 COLORADO STATE BANK BLDG,  
DENVER,  
CO 80202 (303) 812-1400 - 1,800,000 (\$60,444,525) COMMON STOCK. (FILE  
333-62408 - JUN. 06) (BR. 4)

S-8 EPIX MEDICAL INC, 71 ROGERS ST, CAMBRIDGE, MA 02142 (617) 250-6000 -  
100,000 (\$730,000) COMMON STOCK. (FILE 333-62410 - JUN. 06) (BR. 1)

S-8 EMERGENT INFORMATION TECHNOLOGIES INC, 4605 MACARTHUR COURT, 8TH  
FLOOR,

NEWPORT BEACH, CA 92660 (949) 975-1550 - 200,000 (\$261,000) COMMON STOCK.  
 (FILE 333-62412 - JUN. 06) (BR. 3)

S-8 EPIX MEDICAL INC, 71 ROGERS ST, CAMBRIDGE, MA 02142 (617) 250-6000 - 500,000 (\$3,650,000) COMMON STOCK. (FILE 333-62414 - JUN. 06) (BR. 1)

S-8 ATLANTIC TELE NETWORK INC /DE/, 19 ESTATE THOMAS, HAVEN SIGHT, ST. THOMAS, VI 00802 (340) 777-8000 - 350,000 (\$4,305,342.97) COMMON STOCK.  
 (FILE 333-62416 - JUN. 06) (BR. 3)

S-8 UNILAB CORP /DE/, 18448 OXNARD ST, TARZANA, CA 91356 (818) 758-6642  
 3,913,025 (\$22,761,933.90) COMMON STOCK. (FILE 333-62418 - JUN. 06) (BR. 1)

S-3 LIFEMINDERS INC, 13530 DULLES TECHNOLOGY DR, SUITE 500, HERNDON, VA 20170 (703) 707-8261 - 639,713 (\$953,172.37) COMMON STOCK. (FILE 333-62420 - JUN. 06) (BR. 8)

S-3 CREDIT SUISSE FIRST BOSTON USA INC, ELEVEN MADISON AVE, NEW YORK, NY 10010 (212) 892-3000 - 4,996,200,000 (\$4,996,200,000) STRA B BONDS.  
 (FILE 333-62422 - JUN. 06) (BR. 7)

S-3 ILLINOIS SUPERCONDUCTOR CORPORATION, 451 KINGSTON CT, MOUNT PROSPECT, IL 60056 (847) 391-9400 - 2,500,000 (\$4,300,000) COMMON STOCK. (FILE 333-62424 - JUN. 06) (BR. 5)

S-8 PETROCORP INC, 6733 SOUTH YALE, TULSA, OK 74136 (713) 875-2500 - 330,393 (\$3,429,479) COMMON STOCK. (FILE 333-62426 - JUN. 06) (BR. 4)

S-8 ADOLOR CORP, 620 PENNSYLVANIA DRIVE, EXTON, PA 19341 - 600,000 (\$12,780,000) COMMON STOCK. (FILE 333-62428 - JUN. 06) (BR. 1)

SB-2 NATIONAL SCIENTIFIC CORP/AZ, 24455 EAST CAMELBACK RD, STE E160, PHOENIX, AZ 85018 (602) 954-1492 - 25,376,751 (\$25,376,751) COMMON STOCK. (FILE 333-62430 - JUN. 06) (BR. 9)

S-1 AMERICAN MEDICAL SYSTEMS HOLDINGS INC, 10700 BREN ROAD S.W., MINNETONKA, MN 55343 (952) 933-4666 - 8,050,000 (\$136,850,000) COMMON STOCK. (FILE 333-62432 - JUN. 06) (BR. 5)

S-3 SL GREEN REALTY CORP, 420 LEXINGTON AVENUE, NEW YORK, NY 10170 (212) 594-2700 - 284,787 (\$8,025,297) COMMON STOCK. (FILE 333-62434 - JUN. 06) (BR. 8)

S-1 BAM ENTERTAINMENT INC, 333 WEST SANTA CLARA BLVD STE 930, SAN JOSE, CA 95113 (408) 298-7500 - \$45,000,000 COMMON STOCK. (FILE 333-62436 - JUN. 06)

- S-8 STEWART & STEVENSON SERVICES INC, 2707 N LOOP W, HOUSTON TX 77008  
(713) 868-7700 - 10,000,000 (\$10,000,000)  
OTHER SECURITIES INCLUDING VOTING TRUST. (FILE 333-62438 - JUN. 06)  
(BR. 5)
- S-8 ALLIED HOLDINGS INC, 160 CLAIRMONT AVE, STE 200, DECATUR, GA 30030  
(404) 370-1100 - 350,000 (\$997,500) COMMON STOCK. (FILE 333-62440 -  
JUN. 06) (BR. 5)
- S-3 EPIX MEDICAL INC, 71 ROGERS ST, CAMBRIDGE, MA 02142 (617) 250-6000 -  
2,685,064 (\$19,600,967.20) COMMON STOCK. (FILE 333-62444 - JUN. 06)  
(BR. 1)

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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			
ABN AMRO MORTGAGE CORP SERIES 2001- 2	DE						X	X				05/25/01	AMEND
ABN AMRO MORTGAGE CORP SERIES 2001- 2	DE						X	X				05/25/01	AMEND
AEGIS COMMUNICATIONS GROUP INC	DE						X	X				06/12/01	
AFFYMETRIX INC	DE						X			X		06/11/01	
ALICO INC	FL		X									06/30/01	
AMERICAN TOWER CORP /MA/	DE		X						X			06/01/01	
AMERICREDIT AUTOMOBILE RECEIVABLES TRUST 2000-D	DE						X	X				06/11/01	
AMERICREDIT AUTOMOBILE RECEIVABLES	DE						X	X				06/11/01	







NMT MEDICAL INC	DE					X	X				06/07/01	
NORTH FORK BANCORPORATION INC	DE					X	X				06/11/01	
NORTHLAND CRANBERRIES INC /WI/	WI					X	X				06/08/01	
OAK TECHNOLOGY INC	DE						X	X			06/12/01	

	STATE		8K ITEM NO.									
NAME OF ISSUER	CODE	1	2	3	4	5	6	7	8	9	DATE	COMMENT

ON POINT TECHNOLOGY SYSTEMS INC	NV		X								02/23/01	AMEND
OPENWAVE SYSTEMS INC	DE					X	X				06/07/01	
ORBITAL SCIENCES CORP /DE/	DE		X					X			05/30/01	
ORGANIC INC						X					06/05/01	
OUTSOURCE INTERNATIONAL INC	FL					X	X				06/12/01	
PANTHER TELECOMMUNICATIONS CORP	FL	X	X		X	X	X	X			05/15/01	
PATIENT INFOSYSTEMS INC	DE					X					06/07/01	
PATINA OIL & GAS CORP	DE					X	X				06/11/01	AMEND
PEN HOLDINGS INC	TN					X	X				06/04/01	
PENNSYLVANIA ELECTRIC CO	PA					X	X				06/11/01	
PEOPLES BANCSHARES INC	MA					X	X				06/12/01	
PFSWEB INC	DE		X					X			05/25/01	
PLAINS ALL AMERICAN PIPELINE LP	DE					X	X				06/08/01	
PLASTICS MFG CO	WI		X					X			03/31/01	
PLAY BY PLAY TOYS & NOVELTIES INC	TX					X					06/07/01	
PNC MORT ACCEPT CORP COMMERC MORT P	MO					X	X				06/11/01	
ASS THR CERT SER 1999 CMI												
PROGRESS ENERGY INC	NC									X	06/11/01	
QUADRAMED CORP	DE					X	X				06/12/01	
QUALITY DISTRIBUTION INC	FL					X	X				05/25/01	
R & R RANCHING INC	NV	X									03/31/01	
R&G FINANCIAL CORP	PR					X	X				06/12/01	
REGENCY GROUP LTD INC	NV									X	06/12/01	
RESMED INC	DE					X	X				06/11/01	
RICHTON INTERNATIONAL CORP	DE					X					05/29/01	
RNETHEALTH COM INC	CO					X					06/11/01	
ROTARY POWER INTERNATIONAL INC	DE					X					06/11/01	
RYANS FAMILY STEAKHOUSES INC	SC		X								06/07/01	AMEND
RYLAND GROUP INC	MD					X	X				06/11/01	
S Y BANCORP INC	KY							X			06/01/01	
SAUER DANFOSS INC	DE					X					05/30/01	
SCANA CORP	SC		X								05/31/01	
SEEDLING TECHNOLOGIES CORP	DE					X	X				05/01/01	
SENIOR HOUSING PROPERTIES TRUST	MD					X					06/11/01	
SERACARE INC	DE					X	X				06/10/01	
SIGNAL APPAREL COMPANY INC	IN					X	X				05/29/01	
SLI INC	OK					X					06/05/01	
SMITH MIDLAND CORP	DE					X					06/06/01	
SOURCE INFORMATION MANAGEMENT CO	MI		X					X			06/12/01	
SPECIALTY LABORATORIES						X	X				05/24/01	
SPS TECHNOLOGIES INC	PA		X								06/06/01	
STANLEY FURNITURE CO INC/	DE					X					06/12/01	

	STATE		8K ITEM NO.									
NAME OF ISSUER	CODE	1	2	3	4	5	6	7	8	9	DATE	COMMENT

STORAGE TECHNOLOGY CORP	DE							X			06/11/01	
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STRUCTURED ASSET SECURITIES CORP,	DE		X	X	06/08/01	
STRUCTURED PRODUCTS CORP	DE		X	X	06/07/01	
SYMONS INTERNATIONAL GROUP INC	IN	X			06/11/01	
TORCH OFFSHORE INC			X	X	06/01/01	
TRANS GLOBAL HOLDINGS INC			X	X	05/25/01	
TRANSDIGM HOLDING CO	DE	X		X	05/31/01	
TRANSDIGM INC	DE	X		X	05/31/01	
TRANSWESTERN HOLDINGS LP	DE		✓	X	04/09/01	AMEND
TRANSWESTERN PUBLISHING CO LLC	DE		X	X	04/09/01	AMEND
TRIZETTO GROUP INC	DE	X		X	12/01/00	AMEND
TRIZETTO GROUP INC	DE			X	12/01/00	AMEND
TXU CORP /TX/	TX		X		06/06/01	
TXU ELECTRIC CO	TX		X		06/06/01	
UPDATE COM INC	DE			X	03/29/01	AMEND
US AIRWAYS GROUP INC	DE			X	X 06/12/01	
US AIRWAYS INC	DE			X	X 06/12/01	
UTEK CORP		X		X	05/31/01	
VASCO DATA SECURITY INTERNATIONAL I NC	DE	X		X	03/29/01	AMEND
VENATOR GROUP INC	NY		X	X	06/11/01	
VIRTUALFUND COM INC	MN		X	X	06/05/01	
VISUAL DATA CORP	FL	X		X	06/04/01	
VITRIX INC /NV/	NV			X	04/11/01	AMEND
VOICE MOBILITY INTERNATIONAL INC	NV		X		06/01/01	
VOICENET INC	DE		X		06/01/01	
WALL STREET DELI INC	DE	X		X	04/06/01	AMEND
WARNACO GROUP INC /DE/	DE		X	X	06/11/01	
WELLPOINT HEALTH NETWORKS INC /DE/	DE		X	X	06/07/01	
WESTERN STANDARD CORP	WY	X			06/12/01	
WESTPORT RESOURCES CORP	DE		X	X	06/09/01	
WHISTLER INC	DE		X	X	06/08/01	
WORLDCOM INC/GA//	GA		X	X	06/08/01	
WORLDWIDE WEB NETWORKX CORP	DE		X	X	06/12/01	
ZALE CORP	DE			X	X 06/11/01	
ZEROPLUS COM INC	DE			X	06/12/01	
800 TRAVEL SYSTEMS INC	FL		X	X	05/31/01	