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# SEC NEWS DIGEST

Issue 2001-212

November 2, 2001

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## ENFORCEMENT PROCEEDINGS

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### MOONEY CRIMINALLY CONVICTED ON 17 COUNTS IN CONNECTION WITH INSIDER TRADING

The Commission and the U.S. Attorney's Office for the District of Minnesota announced that on October 30, 2001, Michael Alan Mooney, of Prior Lake, Minnesota and a former vice president at United HealthCare, was found guilty by a federal jury on eight counts of mail fraud, four counts of securities fraud, and five counts of money laundering related to the insider trading of United HealthCare securities. Mooney purchased call options on United HealthCare common stock while in possession of nonpublic information regarding United HealthCare's negotiations to acquire and merge with the MetraHealth companies. Mooney, learned of the acquisition by his participation in the financial analysis of the proposed transaction. Mooney purchased 400 "options" on United HealthCare stock immediately prior to the June 1995 public announcement of the acquisition. Following the first news reports about the proposed acquisition, the price of United HealthCare stock increased 11 percent during the next two days. Mooney eventually sold the securities, realizing a profit of approximately \$274,199.89.

Mooney faces a maximum potential penalty of five years in prison and/or a \$250,000 fine on each count of mail fraud and up to ten years in prison and/or a \$1 million fine on each count of securities fraud and money laundering. The actual sentence will be determined by Chief Judge Rosenbaum based on the federal sentencing guidelines. A sentencing date is expected in eight to ten weeks.

The Commission previously filed a civil injunctive action against Mooney stemming from the same conduct in August 1999 alleging that he violated Section 10(b) of the Securities Exchange Act of 1934 and Rule 10b-5 promulgated thereunder in connection with these options purchases. The Commission's action was stayed pending the outcome of the criminal matter. [SEC v. Michael A. Mooney, USDC, D. Minn., Civil Action No. 99-CV-1185, JMR/FLN]; [U.S. v. Michael A. Mooney, USDC D.Minn., Criminal Action No. 00-CR-365, JMR/ESS] (LR-17216)

## **SEC HALTS FRAUDULENT OFFERING BY DALLAS AREA BROKER AND FREEZES HIS ASSETS**

On November 1, upon the Commission's request, Judge Joe Kendall, of the federal district court in Dallas, issued a Temporary Restraining Order against defendants Michael E. Hill, individually and doing business as Financial Investments, and Mike Hill, Inc. of Plano, Texas, and asset freeze and other relief against the defendants and the relief defendant, Stalwart Financial Investments, L.L.C., in connection with a \$4 million fraudulent offering. The court further appointed a receiver over their assets.

In its action, the Commission accuses Michael E. Hill of Plano, Texas of offering bogus CDs, purportedly issued by a local bank, to elderly clients and to the public through newspaper advertisements promising above-market interest rates. In fact, Hill never purchased the CDs. Instead, he pooled investor funds in a bank account he controlled. From there, Hill transferred funds into a brokerage account he controlled, and traded risky securities. Hill used investor funds to make interest and principal payments to investors and for his own benefit, including more than \$500,000 to purchase an office building complex. Hill is fraudulently rolling investors into new investments.

In its complaint, the Commission alleged that Hill and Mike Hill, Inc. violated the following provisions of the federal securities laws: (1) the antifraud provisions, at Section 17(a) of the Securities Act of 1933 (Securities Act), Section 10(b) of the Securities Exchange Act of 1934, and Rule 10b-5 thereunder; and (2) the securities registration provisions, at Sections 5(a) and 5(c) of the Securities Act. The complaint sought preliminary and permanent injunctions from future violations of the foregoing provisions of the federal securities laws, an order requiring the defendants and relief defendant, Stalwart Investments L.L.C., also controlled by Hill, to disgorge all wrongfully obtained profits, including prejudgment interest, and a civil money penalty against the defendants. [SEC v. Michael E. Hill, individually and doing business as Financial Investments, and Mike Hill, Inc., et al., USDC, NDTX, Dallas Division, Civil Action No. 3:01-CV-2189-X] (LR-17217)

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## **INVESTMENT COMPANY ACT RELEASES**

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### **NATIONWIDE LIFE INSURANCE COMPANY, ET AL.**

An order has been issued on an application filed by Nationwide Life Insurance Company, Nationwide Variable Account, and Nationwide Investment Services Corporation, pursuant to Section 26(c) of the Investment Company Act approving the substitution of shares of the Prestige Balanced Fund – Class A with shares of the Nationwide Separate Account Trust – JP Morgan NSAT Balanced Fund, and shares of the Prestige International Fund – Class A with shares of the Templeton Foreign Fund – Class A, currently held in the Nationwide Variable Account. (Rel. IC-25250 – October 31)

## **CCM ADVISORS FUNDS, ET AL.**

An order has been issued on an application filed by CCM Advisors Funds, et al., under Section 6(c) of the Investment Company Act exempting applicants from Section 15(a) of the Act and Rule 18f-2 under the Act. The order permits applicants to enter into and materially amend subadvisory agreements without shareholder approval and grants relief from certain disclosure requirements. (Rel. IC-25251 – November 1)

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## **INVESTMENT ADVISERS ACT RELEASES**

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### **STERLING JOHNSTON CAPITAL MANAGEMENT, L.P. AND HIRTLE CALLAGHAN TRUST**

A notice has been issued giving interested persons until November 26 to request a hearing on an application filed by Sterling Johnston Capital Management, L.P. (SJCM) and the Hirtle Callaghan Trust for an order under section 206A of the Investment Advisers Act of 1940. The order would permit SJCM to charge a performance fee based on the performance of that portion of a Trust portfolio managed by SJCM (SJCM Account). The order further would permit applicants to compute the performance-related portion of the fee using changes in the SJCM Account's gross asset value rather than net asset value. (Rel. IA-1993 – November 1)

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## **SELF-REGULATORY ORGANIZATIONS**

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### **PROPOSED RULE CHANGE**

The New York Stock Exchange filed a proposed rule change (SR-NYSE-2001-18) to amend NYSE Rule 72 regarding clean crosses of orders of 100,000 shares or more. Publication of the notice in the Federal Register is expected during the week of November 5. (Rel. 34-45004)

### **IMMEDIATE EFFECTIVENESS OF PROPOSED RULE CHANGE**

A proposed rule change filed by the Chicago Board Options Exchange to establish connectivity fees for use of its new screen-based trading system (SR-CBOE-2001-55) has become immediately effective pursuant to Rule 19b-4(f)(2) under the Securities and Exchange Act of 1934. (Rel. 34-45009)

## WITHDRAWAL SOUGHT

A notice has been issued giving interested persons until November 26 to comment on the application for withdrawal from listing and registration (Identix Incorporated, Common Stock, \$.01 par value) on the American Stock Exchange. (Rel. 34-45007)

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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-3 SPINNAKER EXPLORATION CO, 1200 SMITH STREET SUITE 800, HOUSTON, TX  
77002  
(713) 759-1770 - 300,000,000 (\$300,000,000) STRAIGHT BONDS. (FILE  
333-72238 - OCT. 26) (BR. 4)
- S-8 OLIN CORP, 501 MERRITT 7, P O BOX 4500, NORWALK, CT 06856 (203) 750-  
3000  
- 500,000 (\$7,600,000) COMMON STOCK. (FILE 333-72244 - OCT. 26) (BR.  
4)
- S-8 TIMBERLAND CO, 200 DOMAIN DR, STRATHAM, NH 03885 (603) 772-9500 -  
200,000 (\$6,500,000) COMMON STOCK. (FILE 333-72248 - OCT. 26) (BR. 2)
- S-8 S1 CORP /DE/, 3390 PEACHTREE ROAD NE, SUITE 1700, ATLANTA, GA 30326  
(404) 812-6200 - 101,784 (\$1,057,535.76) COMMON STOCK. (FILE 333-72250  
-  
OCT. 26) (BR. 3)
- SB-2 CAN CAL RESOURCES LTD, 8221 CRETAN BLUE LANE, LAS VEGAS, NV 89128  
(702) 240-6565 - 5,658,947 (\$4,861,578.62) COMMON STOCK. (FILE 333-  
72252 -  
OCT. 26) (BR. 7)
- S-8 SCHAWK INC, 1695 RIVER ROAD, DES PLAINES, IL 60018 (847) 827-9494 -  
330,030 (\$3,112,182.90) COMMON STOCK. (FILE 333-72254 - OCT. 26) (BR.  
5)

S-8 ROUSE COMPANY, 10275 LITTLE PATUXENT PKWY, COLUMBIA, MD 21044  
(410) 992-6000 - 4,500,000 (\$117,585,000) COMMON STOCK. (FILE 333-  
72256 -  
OCT. 26) (BR. 8)

S-3 BOUNDLESS CORP, 9430 RESEARCH BLVD, ECHELON IV STE 200, AUSTIN, TX  
78759  
(512) 349-5800 - 1,770,172 (\$1,681,663.40) COMMON STOCK. (FILE 333-  
72258 -  
OCT. 26) (BR. 3)

SB-2 BUYENERGY CORP, 5633 STRAND BOULEVARD #313, NAPLES, FL 34110  
(941) 598-9322 - 4,190,000 (\$2,095,000) COMMON STOCK. (FILE 333-72260  
-  
OCT. 26) (NEW ISSUE)

S-8 ALBERTO CULVER CO, 2525 ARMITAGE AVE, MELROSE PARK, IL 60160  
(708) 450-3039 - 20,000 (\$826,000) COMMON STOCK. (FILE 333-72262 -  
OCT. 26) (BR. 2)

S-3 CONSOLIDATED EDISON INC, 4 IRVING PLACE, ROOM 1618 S, NEW YORK, NY  
10003  
(212) 460-4600 - 600,000,000 (\$600,000,000) COMMON STOCK. (FILE 333-  
72264  
- OCT. 26) (BR. 4)

S-2 CALYPTE BIOMEDICAL CORP, 1265 HARBOR BAY PARKWAY, ALAMEDA, CA 94502  
(510) 749-5100 - 30,000,000 (\$8,400,000) COMMON STOCK. (FILE 333-72268  
-  
OCT. 26) (BR. 5)

S-8 VIVENDI UNIVERSAL, 42 AVENUEDE FRIEDLAND, 75380 PARIS CEDEX, 08  
FRANCE,  
10 00000 (011) 331-7171 - 5,000,000 (\$228,450,000) COMMON STOCK. (FILE  
333-72270 - OCT. 26) (BR. 6)

S-3 FRISBY TECHNOLOGIES INC, 3195 CENTRE PARK BLVD, WINSTON SALEM, NC  
27107  
(336) 784-7754 - 2,495,125 (\$3,592,980) COMMON STOCK. (FILE 333-72274  
-  
OCT. 26) (BR. 9)

S-8 CFI MORTGAGE INC, 631 U S HIGHWAY 1, SUITE 3090, WEST PALM BEACH, FL  
33408 (561) -84-2-06 - 1,500,000 (\$150,000) COMMON STOCK. (FILE 333-  
72278  
- OCT. 26) (BR. 7)

S-8 IVAX CORP /DE, 4400 BISCAYNE BLVD, MIAMI, FL 33137 (305) 575-6000 -  
2,500,000 (\$55,275,000) COMMON STOCK. (FILE 333-72280 - OCT. 26) (BR.  
1)

S-3 LUCENT TECHNOLOGIES INC, 600 MOUNTAIN AVE, MURRAY HILL, NJ 07974  
(908) 582-8500 - 48,213,725 (\$2,459,925,000) PREFERRED STOCK. (FILE  
333-72282 - OCT. 26) (BR. 7)

S-8 GPU INC /PA/, 300 MADISON AVE, C/O GPU SERVICE INC, MORRISTOWN, NJ  
07962  
(973) 455-8200 - 340,000 (\$10,907,200) COMMON STOCK. (FILE 333-72286 -  
OCT. 26) (BR. 2)

S-8 RESTORATION HARDWARE INC, 650 MADISON AVE, 26TH FLOOR, NEW YORK, NY  
10022 (415) 924-1005 - 943,736 (\$6,627,021.39) COMMON STOCK. (FILE  
333-72288 - OCT. 26) (BR. 2)

S-8 STERLING BANCORP, 430 PARK AVE, NEW YORK, NY 10022 (212) 826-8044 -  
862,000 (\$23,592,940) COMMON STOCK. (FILE 333-72294 - OCT. 26) (BR. 7)

S-8 VALLEY FORGE SCIENTIFIC CORP, 136 GREENTREE RD STE 100, OAKS, PA  
19456  
(610) 666-7500 - 345,000 (\$828,000) COMMON STOCK. (FILE 333-72296 -  
OCT. 26) (BR. 5)

S-3 PINNACLE SYSTEMS INC, 280 N BERNARDO AVE, MOUNTAIN VIEW, CA 94043  
(650) 237-1600 - 1,200,000 (\$4,896,000) COMMON STOCK. (FILE 333-72298  
OCT. 26) (BR. 5)

S-2 CRESCENT BANKING CO, PO BOX 668, 251 HWY 515, JASPER, GA 30143  
(706) 692-2424 - \$7,500,000 COMMON STOCK. (FILE 333-72300 - OCT. 26)  
(BR. 7)

S-3 PITNEY BOWES INC /DE/, WORLD HEADQUARTERS 61-11, ONE ELMCROFT ROAD,  
STAMFORD, CT 06926 (203) 356-5000 - 2,000,000,000 (\$2,000,000,000)  
COMMON STOCK. (FILE 333-72304 - OCT. 26) (BR. 3)

SB-2 RETURN ON INVESTMENT CORP, 1825 BARRETT LAKES BLVD STE 260,  
KENNESSAW,  
GA 07701 (732) 345-1100 - 3,745,317 (\$14,419,470.45) COMMON STOCK.  
(FILE  
333-72308 - OCT. 26) (BR. 6)

S-3 KELLOGG CO, ONE KELLOGG SQ, P O BOX 3599, BATTLE CREEK, MI 49016  
(616) 961-2000 - 2,000,000,000 (\$2,000,000,000) STRAIGHT BONDS. (FILE  
333-72312 - OCT. 26) (BR. 4)

S-4 TOREADOR RESOURCES CORP, 4809 COLE AVENUE SUITE 108, DALLAS, TX  
75205  
(214) 559-3933 - 6,800,000 (\$25,772,000) COMMON STOCK. (FILE 333-72314  
OCT. 26) (BR. 4)

S-8 BITSTREAM INC, 215 FIRST ST, CAMBRIDGE, MA 02142 (617) 497-6222 -  
1,000,000 (\$4,225,000) COMMON STOCK. (FILE 333-72316 - OCT. 26) (BR.  
3)

S-3 RMH TELESERVICES INC, 40 MORRIS AVE, BRYN MAWR, PA 19010 (610) 520-  
5300  
- 7,239,993 (\$107,767,295.80) COMMON STOCK. (FILE 333-72318 - OCT. 26)  
(BR. 8)

- S-8 TRINTECH GROUP PLC, TRINTECH BUILDING,  
SOUTH COUNTY BUSINESS PARK LEOPARDSTOWN, DUBLIN 18 IRELAND, L2 00000 -  
1,743,326 (\$2,025,575.36) COMMON STOCK. (FILE 333-72320 - OCT. 26)  
(BR. 3)
- S-8 LANTRONIX INC, 15353 BARNANCA PARKWAY, IRVINE, CA 92618 (949) 453-  
3990  
- 615,705 (\$1,403,807.40) COMMON STOCK. (FILE 333-72322 - OCT. 26)  
(BR. 3)
- S-8 NEW YORK HEALTH CARE INC, 1850 MCDONALD AVE, BROOKLYN, NY 11223  
(718) 421-0500 - 490,000 (\$2,205,000) COMMON STOCK. (FILE 333-72324 -  
OCT. 26) (BR. 1)
- S-8 CROSSWORLDS SOFTWARE INC, 577 AIRPORT BLVD SUITE 800, 415-685-9966,  
BURLINGAME, CA 94010 (650) 685-9000 - 552,810 (\$5,599,965.30) COMMON  
STOCK.  
(FILE 333-72328 - OCT. 26) (BR. 3)
- S-8 BION ENVIRONMENTAL TECHNOLOGIES INC, 18 EAST 50TH STREET, 10TH  
FLOOR,  
NEW YORK, NY 10022 (303) 294-0750 - 1,500,000 (\$1,275,000) COMMON  
STOCK.  
(FILE 333-72330 - OCT. 26) (BR. 6)
- S-2 BION ENVIRONMENTAL TECHNOLOGIES INC, 18 EAST 50TH STREET, 10TH  
FLOOR,  
NEW YORK, NY 10022 (303) 294-0750 - 12,852,281 (\$10,410,347.61)  
COMMON STOCK. (FILE 333-72332 - OCT. 26) (BR. 6)
- S-1 DYNACARE INC, 209 EGLINTON AVE W, STE 604, TORONTO ONTARIO CANA, A6  
0000 (416) 487-1100 - 5,750,000 (\$79,062,500) COMMON STOCK. (FILE  
333-72338 - OCT. 26) (BR. 1)
- S-3 COLGATE PALMOLIVE CO, 300 PARK AVE, NEW YORK, NY 10022 (212) 310-  
2000 -  
600,000,000 (\$600,000,000) COMMON STOCK. (FILE 333-72340 - OCT. 26)  
(BR. 2)
- S-8 COLGATE PALMOLIVE CO, 300 PARK AVE, NEW YORK, NY 10022 (212) 310-  
2000 -  
37,000,000 (\$1,843,058,800) COMMON STOCK. (FILE 333-72342 - OCT. 26)  
(BR. 2)
- S-8 3TEC ENERGY CORP, 700 MILAM STREET, SUITE 1100, HOUSTON, TX 77002  
(713) 821-7100 - 1,500,000 (\$21,397,050) COMMON STOCK. (FILE 333-72344  
-  
OCT. 26) (BR. 4)
- S-1 WESTERN UNITED LIFE ASSURANCE CO, 916 WEST FIRST AVENUE, SPOKANE, WA  
99201 (509) 835-2500 - 2,000,000 (\$50,000,000) COMMON STOCK. (FILE  
333-72346 - OCT. 26)
- S-3 WACHOVIA CORP NEW, ONE FIRST UNION CTR, CHARLOTTE, NC 28288  
(704) 374-6565 - STRAIGHT BONDS. (FILE 333-72350 - OCT. 26) (BR. 7)

S-8 DAL TILE INTERNATIONAL INC, 7834 HAWN FREEWAY, STE 1704, DALLAS, TX  
75217 (214) 398-1411 - 12,056,619 (\$142,560,524) COMMON STOCK. (FILE  
333-72352 - OCT. 29) (BR. 6)

S-8 BRIAZZ INC, 3901 7TH AVE SOUTH, STE 200, SEATTLE, WA 98108  
(206) 467-0994 - 1,257,308 (\$6,929,189.70) COMMON STOCK. (FILE 333-  
72354 -  
OCT. 29) (BR. 5)

S-3 WEYERHAEUSER CO, 33663 WEYERHAEUSER WAY SOUTH, FEDERAL WAY, WA 98003  
(253) 924-2345 - 1,000,000,000 (\$1,000,000,000) STRAIGHT BONDS. (FILE  
333-72356 - OCT. 29) (BR. 6)

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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			
ABC BANCORP	GA				X	X						10/29/01	
ACCEL INTERNATIONAL CORP	DE				X							10/12/01	
ACT MANUFACTURING INC	MA				X	X						11/01/01	
ADAM INC	GA						X	X				11/01/01	
ADEPT TECHNOLOGY INC	DE				X	X						10/24/01	
ADVO INC	DE				X	X						10/26/01	
AEROVOX INC	DE				X	X						10/17/01	
AFFYMETRIX INC	DE				X							10/24/01	
AGL RESOURCES INC	GA				X	X	X					11/01/01	
AIRTRAN AIRWAYS INC	DE				X	X	X					10/31/01	
AIRTRAN HOLDINGS INC	NV				X	X	X					10/31/01	
ALLTEL CORP	DE				X	X						10/31/01	
AMEDISYS INC	DE				X	X						11/01/01	
AMERICAN RESTAURANT GROUP INC	DE				X	X						10/31/01	
AMERICREDIT FINANCIAL SERVICES INC	DE		X		X	X						10/15/01	
AMR CORP	DE									X		11/01/01	

NAME OF ISSUER	STATE	8K ITEM NO.									DATE	COMMENT	
	CODE	1	2	3	4	5	6	7	8	9			
ANCHOR GLASS CONTAINER CORP /NEW	DE					X	X					10/31/01	
ARCHSTONE COMMUNITIES TRUST/	MD	X				X	X					10/29/01	
ARCHSTONE SMITH TRUST	MD	X				X	X					10/29/01	
ARV ASSISTED LIVING INC	DE					X	X					10/31/01	
ASSET BACKED FDG CORP C BASS MTG LN AS NKD CRT SER 2001-CB1	DE					X	X					10/25/01	
AUG CORP	DE					X		X				10/02/01	
AUTONATION INC /FL	DE						X	X				10/30/01	
AUTOZONE INC	NV							X		X		10/31/01	
AVISTA CORP	WA	X				X	X					10/24/01	
BANKNORTH GROUP INC/ME	ME					X	X					10/31/01	
BEAR STEARNS ASSET BACKED SECURITIE S INC	DE					X	X					10/17/01	
BECTON DICKINSON & CO	NJ									X		11/01/01	
BELO CORP	DE					X	X					10/29/01	
BIOMET INC	IN					X						10/31/01	
BMW AUTO LEASING LLC								X				10/25/01	
BMW MANUFACTURING LP								X				10/25/01	
BMW VEHICLE LEASE TRUST 2000-A								X				10/25/01	
BORLAND SOFTWARE CORP	DE					X	X					10/26/01	
BRAZIL FAST FOOD CORP	DE					X	X					10/31/01	
BRIGHTPOINT INC	DE					X	X					10/31/01	
CADMUS COMMUNICATIONS CORP/NEW	VA					X	X					10/31/01	
CAL DIVE INTERNATIONAL INC	MN							X		X		11/01/01	
CAPITAL GROWTH SYSTEMS INC /FL/	FL					X		X				08/31/01	
CBL & ASSOCIATES PROPERTIES INC	DE					X						09/30/01	
CENTRAL BANCORP INC /MA/	MA					X	X					10/30/01	
CENTRAL COAST BANCORP	CA					X	X					10/18/01	
CHARTER COMMUNICATIONS INC /MO/	DE					X	X					10/01/01	
CHASE FUNDING INC	NY					X	X					10/29/01	
CHASE MANHATTAN AUTO OWNER TRUST 20 01-B	DE					X	X					10/30/01	
CHESAPEAKE CORP /VA/	VA					X						10/23/01	
CHESAPEAKE ENERGY CORP	OK					X	X					11/01/01	
CHESAPEAKE UTILITIES CORP	DE					X						10/29/01	AMEND
CHEVRONTEXACO CORP	DE					X						11/01/01	
CHEVY CHASE AUTO RECEIVABLES TRUST 2001-2	MD					X						09/30/01	
CHICAGO BRIDGE & IRON CO N V						X	X					10/25/01	
CIDCO INC	DE					X	X					10/17/01	
CITYFED FINANCIAL CORP	DE					X		X				10/26/01	
CLEVELAND CLIFFS INC	OH									X		10/30/01	
COAST FEDERAL LITIGATION CONTINGENT PAYMENT RIGHTS TRUST	DE					X	X					10/29/01	
COMDISCO INC	DE	X										09/30/01	
COMMODORE APPLIED TECHNOLOGIES INC	DE					X	X					10/31/01	
COMPUTER LEARNING CENTERS INC	DE		X	X								10/29/01	
COMPUTERIZED THERMAL IMAGING INC	NV					X	X					11/01/01	
CONSECO INC	IN					X	X					10/30/01	
CONSUMERS FUNDING LLC						X	X					10/31/01	
CONTINENTAL AIRLINES INC /DE/	DE					X	X					10/31/01	
CONTINENTAL AIRLINES INC /DE/	DE					X	X					11/01/01	

NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
CORE MATERIALS CORP	DE		X					X			10/16/01	
CORECOMM LTD /DE/	DE					X		X			10/31/01	
CREATIVE TECHNOLOGIES HOLDINGS INC	NV					X					10/15/01	
CREDIT SUISSE FIR BOS SEC CORP CSFB PS THRU CERT SER 2001-S6						X		X			10/25/01	
CREDIT SUISSE FIRST BOSTON MORTGAGE SECURITIES CORP	DE					X		X			10/30/01	
CREDIT SUISSE FIRST BOSTON MORTGAGE SECURITIES CORP	DE					X		X			10/31/01	
CREDIT SUISSE FIRST BOSTON USA INC	DE					X		X			10/30/01	
CROSS MEDIA MARKETING CORP	DE		X			X		X			10/24/01	
CROWN ENERGY CORP	UT					X					10/31/01	
CSFB MORTGAGE PASS THROUGH CERTIFIC ATES SERIES 2001 AR19	DE					X		X			10/25/01	
CSX TRADE RECEIVABLES CORP	DE					X		X			10/25/01	
CUMETRIX DATA SYSTEMS CORP	CA					X					10/30/01	
CV THERAPEUTICS INC	DE					X		X			08/08/01	
CWABS INC ASSET BACK CERTIFICATES S ERIES 2001-3	DE					X		X			08/30/01	
CWMBS INC CHL MORTGAGE PASS THROUGH TRUST 2001-15	DE	X									09/25/01	
CWMBS INC CHL MORTGAGE PASS THROUGH TRUST 2001-15	DE	X									10/25/01	
CYBER CARE INC	FL					X					09/14/01	
DAVEY TREE EXPERT CO	OH					X					10/31/01	AMEND
DELANO TECHNOLOGY CORP						X		X			10/31/01	
DELTA AIR LINES INC /DE/	DE					X		X			11/01/01	
DEVON ENERGY CORP/DE	DE					X		X			10/31/01	
DEVON ENERGY CORP/DE	DE					X					10/31/01	
DEVON ENERGY CORP/DE	DE					X		X			11/01/01	
DIAMOND OFFSHORE DRILLING INC	DE							X	X		10/29/01	
DICUT INC			X					X			10/16/01	
DIGITAL GENERATION SYSTEMS INC	DE							X			10/29/01	
DT INDUSTRIES INC	DE					X					11/01/01	
DVI RECEIVABLES CORP	DE							X			09/30/01	
DVI RECEIVABLES CORP VIII	DE							X			09/30/01	
E VIDEOTV INC/DE	DE	X									09/30/01	
ECHOSTAR COMMUNICATIONS CORP	NV					X					10/28/01	
EDISON BROTHERS STORES INC	DE					X		X			10/22/01	
EDISON INTERNATIONAL	CA					X		X			10/30/01	
ENBRIDGE ENERGY LIMITED PARTNERSHIP	DE					X		X			11/01/01	
ENDOCARDIAL SOLUTIONS INC	DE								X		10/31/01	
ENERGY WEST INC	MT					X		X			10/25/01	
ENTERASYS NETWORKS INC /DE/	DE							X			10/29/01	
ENTERTAINMENT INTERNATIONAL LTD	NY	X						X			10/17/01	
EQUITABLE RESOURCES INC /PA/	PA					X		X			10/31/01	
FEDERAL REALTY INVESTMENT TRUST	MD					X		X			09/30/01	
FGIC SECURITIES PURCHASE INC	DE					X		X			10/29/01	
FINANCIAL SERVICES VEHICLE TRUST									X		10/25/01	
FIRST CHESTER COUNTY CORP	PA					X					12/31/01	
FIRST FEDERAL CAPITAL CORP	WI					X		X			10/31/01	

NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
FIRST GOLDEN AMERICAN LIFE INSURANC E CO OF NEW YORK	NY					X					10/31/01	
FIRSTMERIT CORP /OH/	OH					X	X				10/31/01	
FLEET BANK NATIONAL ASSOCIATION /RI /	RI					X	X				10/23/01	
FLEET CREDIT CARD MASTER TRUST II	NY					X	X				10/23/01	
FORD MOTOR CO	DE					X	X				11/01/01	
FORD MOTOR CREDIT CO	DE					X	X				11/01/01	
FORD MOTOR CREDIT CO	DE					X	X				11/01/01	AMEND
FREESTAR TECHNOLOGIES	NV					X		X			08/10/01	AMEND
FUNDTECH LTD								X	X		10/31/01	
G&L REALTY CORP	MD					X	X				10/26/01	
GE CAPITAL COMMERCIAL MORTGAGE CORP	DE					X	X				11/01/01	
GENERAL MOTORS CORP	DE					X	X				10/28/01	
GENERAL MOTORS CORP	DE					X					11/01/01	
GENUITY INC	DE					X	X				11/01/01	
GLOBAL POWER EQUIPMENT GROUP INC/	DE					X	X	X			10/29/01	
GRAND COURT LIFESTYLES INC	DE					X					10/15/01	
GREATAMERICA LEASING RECEIVABLES 20 00-1 LLC	DE					X	X				10/22/01	
GROEN BROTHERS AVIATION INC /UT/	UT					X	X				10/11/01	
GULFMARK OFFSHORE INC	DE					X					10/31/01	
GWL&A FINANCIAL INC	DE					X					10/31/01	
HALL KINION & ASSOCIATES INC	DE					X	X				10/30/01	
HAMILTON BANCORP INC	DE					X	X				10/31/01	
HARRIS BANKCORP INC	DE					X					11/01/01	
HAWAIIAN ELECTRIC CO INC	HI					X					10/31/01	
HAWAIIAN ELECTRIC INDUSTRIES INC	HI					X					10/31/01	
HEALTHSTREAM INC	TN					X					10/01/01	
HEXAGON CONSOLIDATED COMPANIES OF A MERICA INC	NV		X	X			X				09/01/01	
HORIZON OFFSHORE INC	DE					X	X				10/30/01	
HOST AMERICA CORP	DE					X	X				10/26/01	
HUGHES ELECTRONICS CORP	DE					X	X				10/28/01	
HYSEQ INC	NV					X					10/31/01	
I A EUROPE INC			X								10/15/01	
ICOS CORP / DE	DE					X	X				10/24/01	
IGOHEALTHY COM INC	CO					X	X				10/26/01	
IKON OFFICE SOLUTIONS INC	OH					X	X				10/25/01	
INDUSTRIAL HOLDINGS INC	TX		X								10/17/01	
INFOWAVE SOFTWARE INC						X	X				10/30/01	
INKTOMI CORP	DE					X	X				10/31/01	
INSIGHT HEALTH SERVICES CORP	DE	X					X				10/17/01	
INTEGRAMED AMERICA INC	DE						X	X			11/01/01	
INTERNATURAL PHARMACEUTICALS INC						X					10/15/01	
INTERNET INFINITY INC	DE	X									09/28/01	
IOS CAPITAL INC	DE					X	X				10/25/01	
IRWIN FINANCIAL CORPORATION	IN					X					11/01/01	AMEND
ITIS INC	DE					X					10/23/01	
ITXC CORP	NJ					X					10/26/01	
IVG CORP	FL		X				X				09/28/01	AMEND
IXL ENTERPRISES INC	DE					X	X				10/26/01	

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	CODE	1	2	3	4	5	6	7	8	9		
JDS UNIPHASE CORP /CA/	DE							X	X		10/31/01	
JNS MARKETING INC	CO	X									10/29/01	
KANSAS CITY SOUTHERN INDUSTRIES INC	DE						X	X			09/30/01	
KILROY REALTY CORP	MD								X		10/31/01	
KINGSLEY COACH INC	DE		X								10/26/01	
KRISPY KREME DOUGHNUTS INC					X	X					09/27/01	
KUSHNER LOCKE CO	CA				X	X					10/31/01	
LATTICE SEMICONDUCTOR CORP	DE				X	X					10/30/01	
LCA VISION INC	DE				X	X					10/30/01	
LEGGETT & PLATT INC	MO				X						11/01/01	
LEHMAN ABS CORP	DE				X	X					10/15/01	
LEHMAN ABS CORP	DE				X	X					10/31/01	
LOJACK CORP	MA							X			10/24/01	
M WAVE INC	DE				X	X					10/31/01	
MAGNA ENTERTAINMENT CORP	DE				X	X					10/26/01	
MARKEL CORP	VA				X	X					10/31/01	
MAXUS REALTY TRUST INC	MO						X				08/17/01	
MAYTAG CORP	DE						X				10/30/01	
MBNA CORP	MD					X					10/31/01	
MCY COM INC /DE/	DE				X						10/24/01	
MCY COM INC /DE/	DE				X						10/24/01	AMEND
MELLON HOME EQUITY LINE OF CREDIT T R AS BA NOT SER 2000-1	NY	X									10/31/01	
MERRILL LYNCH & CO INC	DE				X	X					10/31/01	
MERRILL LYNCH & CO INC	DE				X	X					11/01/01	
MICHAELS STORES INC	DE				X	X					10/31/01	
MICROSTRATEGY INC	DE				X						10/30/01	
MORGAN STANLEY SPECTRUM TECHNICAL LP	DE				X						04/30/00	
MORGAN STANLEY SPECTRUM COMMODITY L P	DE				X						03/06/00	
MORGAN STANLEY SPECTRUM CURRENCY LP	DE				X						06/06/00	
MORGAN STANLEY SPECTRUM GLOBAL BALA NCED LP	DE				X						04/30/00	
MORGAN STANLEY SPECTRUM SELECT LP	DE				X						04/30/00	
MORGAN STANLEY SPECTRUM STRATEGIC L P	NY				X						04/30/00	
MOTHERS WORK INC	DE		X				X				10/17/01	
MTN HOLDINGS INC	NV		X				X				10/17/01	
NATIONAL RURAL UTILITIES COOPERATIV E FINANCE CORP /DC/	DC						X				10/26/01	
NEPTUNE SOCIETY INC/FL	FL				X						10/22/01	
NEXT GENERATION TECHNOLOGY HOLDINGS INC	DE				X		X				10/26/01	
NEXT GENERATION TECHNOLOGY HOLDINGS INC	DE				X		X				10/26/01	
NORTH FORK BANCORPORATION INC	DE				X	X					10/15/01	
OMEGA HEALTHCARE INVESTORS INC	MD						X				10/30/01	
ONSITE ENERGY CORP	DE				X	X					10/15/01	AMEND
ONYX ACCEPTANCE FINANCIAL CORP	DE				X	X					10/25/01	
OPTION ONE MORTGAGE ACCEPTANCE CORP	DE						X				10/29/01	
ORASURE TECHNOLOGIES INC	DE				X	X					10/31/01	

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	CODE	1	2	3	4	5	6	7	8	9			
ORYX TECHNOLOGY CORP	DE					X	X					10/31/01	
OSHKOSH TRUCK CORP	WI							X	X			11/01/01	
PACIFIC GAS & ELECTRIC CO	CA					X						11/01/01	
PARK PLACE ENTERTAINMENT CORP	DE					X	X					10/31/01	
PG&E CORP	CA					X						11/01/01	
PHILLIPS PETROLEUM CO	DE							X				09/14/01	AMEND
PITNEY BOWES INC /DE/	DE					X						10/31/01	
PLANAR SYSTEMS INC	OR					X	X					10/31/01	
PLUS SOLUTIONS INC	NV					X	X					10/30/01	
POET HOLDINGS INC	DE					X	X					10/23/01	
PRI AUTOMATION INC	MA					X	X					10/22/01	
PRICE LEGACY CORP	MD					X	X					10/25/01	
PRIME COMPANIES INC	DE					X						11/01/01	
PROFIT RECOVERY GROUP INTERNATIONAL INC	GA					X	X					10/31/01	
PROMEDCO MANAGEMENT CO	DE							X				09/20/01	
PROTECTIVE LIFE CORP	DE								X			10/31/01	
PSF GROUP HOLDINGS INC	NC					X	X					11/01/01	
PULTE HOMES INC/MI/	MI					X						10/31/01	
QUAD CITY HOLDINGS INC	DE					X						11/01/01	
QWEST COMMUNICATIONS INTERNATIONAL INC	DE					X	X					10/31/01	
RALCORP HOLDINGS INC /MO	MO							X				09/30/01	
RAYTHEON CO/	DE					X	X					10/31/01	
READERS DIGEST ASSOCIATION INC	DE					X	X					09/30/01	
RENAL CARE GROUP INC	DE							X	X			10/30/01	
RES CARE INC /KY/	KY					X	X		X			10/30/01	
RESIDENTIAL ACCREDIT LOANS INC	DE					X						10/25/01	
RESIDENTIAL ASSET MORTGAGE PRODUCTS INC	DE					X						10/25/01	
RESIDENTIAL ASSET SECURITIES CORP	DE					X						10/25/01	
RESIDENTIAL FUNDING MORTGAGE SECURI TIES I INC	DE					X						10/25/01	
RESIDENTIAL FUNDING MORTGAGE SECURI TIES II INC	DE					X						10/19/01	
RFS HOTEL INVESTORS INC	TN					X	X					11/01/01	
ROCK OF AGES CORP	DE					X	X					10/30/01	
RUDDICK CORP	NC					X	X					10/30/01	
RUSSELL-STANLEY HOLDINGS INC	DE					X	X					11/01/01	
SALES ONLINE DIRECT INC	DE					X	X					10/23/01	
SALIX PHARMACEUTICALS LTD								X	X			11/01/01	
SCILABS HOLDINGS INC	DE					X						10/15/01	
SEQUOIA MORTGAGE FUNDING CORP	MD					X	X					10/28/01	
SHELTER PROPERTIES V LIMITED PARTNE RSHIP	CA			X				X				09/30/01	
SHIMODA RESOURCES HOLDINGS INC	NV					X						10/31/01	
SILVER STATE VENDING CORP	NV		X					X				10/17/01	
SIMON WORLDWIDE INC	DE					X	X					10/30/01	
SMLX TECHNOLOGIES INC	CO					X	X					10/01/01	
SONICWALL INC	CA		X					X				10/25/01	
SOUTHERN CALIFORNIA EDISON CO	CA					X	X					10/30/01	
SOUTHWEST GAS CORP	CA								X			11/01/01	

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		1	2	3	4	5	6	7	8	9		
SPALDING HOLDINGS CORP	DE					X					11/01/01	
SPECTRUM BRANDS CORP						X	X				10/25/01	
STERLING BANCSHARES INC	TX					X	X				10/31/01	
STORAGE USA INC	TN					X	X				10/31/01	
STORAGE USA INC	TN					X	X				10/31/01	AMEND
STRUCTURED ASSET MORTGAGE INVESTMEN TS INC	DE					X	X				10/29/01	
STRUCTURED ASSET MORTGAGE INVESTMEN TS INC	DE							X			10/30/01	
STRUCTURED ASSET SECURITIES CORP	DE					X	X				10/20/01	
STRUCTURED ASSET SECURITIES CORP	DE					X	X				10/25/01	
STRUCTURED ASSET SECURITIES CORP	DE					X	X				10/25/01	
STRUCTURED ASSET SECURITIES CORP	DE					X	X				10/30/01	
SUN NETWORK GROUP INC	FL					X	X				10/30/01	
SUNRISE TECHNOLOGIES INTERNATIONAL INC	DE					X	X				10/19/01	
SUSA PARTNERSHIP LP	TN					X	X				10/31/01	
SVB FINANCIAL SERVICES INC	NJ					X	X				10/29/01	
TENET HEALTHCARE CORP	NV							X	X		10/31/01	
THERMOVIEW INDUSTRIES INC	DE				X						11/01/01	
THOR INDUSTRIES INC	DE		X				X				10/31/01	
TIVO INC	DE					X					10/12/01	
TOYOTA AUTO FINANCE RECEIVABLES LLC	DE					X	X				10/15/01	
TOYOTA AUTO FINANCE RECEIVABLES LLC	DE					X	X				10/15/01	
TOYOTA AUTO LEASE TRUST 1998 C	CA					X	X				10/25/01	
TOYOTA AUTO LEASE TRUST 1998-B	CA					X	X				10/25/01	
TOYOTA MOTOR CREDIT CORP	CA					X	X				10/31/01	
TRUMP ATLANTIC CITY ASSOCIATES	NJ					X	X				10/31/01	
TRUMP ATLANTIC CITY FUNDING II INC	DE					X	X				10/31/01	
TRUMP ATLANTIC CITY FUNDING III INC	DE					X	X				10/31/01	
TRUMP ATLANTIC CITY FUNDING INC	DE					X	X				10/31/01	
TRUMP HOTELS & CASINO RESORTS FUNDI NG INC	DE					X	X				10/31/01	
TRUMP HOTELS & CASINO RESORTS HOLDI NGS LP	DE					X	X				10/31/01	
TRUMP HOTELS & CASINO RESORTS INC	DE					X	X				10/31/01	
TRUMPS CASTLE ASSOCIATES LP						X	X				10/31/01	
TRUMPS CASTLE FUNDING INC	NJ					X	X				10/31/01	
TRUMPS CASTLE HOTEL & CASINO INC	NJ					X	X				10/31/01	
UAL CORP /DE/	DE					X	X				10/31/01	
UBIQUITEL INC	DE		X					X			10/17/01	
UBRANDIT COM	NV				X				X		10/31/01	
ULTRAK INC	DE	X				X	X				10/23/01	
UNITED NATIONAL BANCORP	NJ					X	X				09/11/01	
UNITED STATIONERS INC	DE					X	X				11/01/01	
UNITED STATIONERS SUPPLY CO	IL					X	X				11/01/01	
UNIVERSAL EXPRESS INC/	NV					X					10/24/01	
UNIVERSAL EXPRESS INC/	NV					X					10/24/01	
UNIVERSAL HEALTH SERVICES INC	DE					X	X				11/01/01	
URSTADT BIDDLE PROPERTIES INC	MD					X					11/01/01	
US BANCORP \DE\	DE					X	X				10/25/01	
USA NETWORKS INC	DE							X	X		10/31/01	

NAME OF ISSUER	STATE	8K ITEM NO.									DATE	COMMENT	
	CODE	1	2	3	4	5	6	7	8	9			
VARI L CO INC	CO										X	10/30/01	
VECTOR HOLDINGS CORP	NV				X							10/22/01	AMEND
VIDEO NETWORK COMMUNICATIONS INC	DE				X		X					10/31/01	
VION PHARMACEUTICALS INC	DE				X		X					10/31/01	
WEATHERFORD INTERNATIONAL INC /NEW/	DE				X		X					10/24/01	
WEBB INTERACTIVE SERVICES INC	CO				X		X					10/16/01	
WEBLINK WIRELESS INC	DE				X		X					11/01/01	
WELLS FARGO ASSET SEC CORP MORT PAS S THR CERT SER 2001-21	NY				X		X					10/31/01	
WESTPORT RESOURCES CORP /NV/	NV				X		X					10/31/01	
WHITE MOUNTAINS INSURANCE GROUP LTD	DE				X		X					09/05/01	
WHITE MOUNTAINS INSURANCE GROUP LTD	DE						X		X			10/31/01	
WOODWORKER WAREHOUSE INC	DE			X			X					10/17/01	
WVS FINANCIAL CORP	PA				X							10/31/01	
24/7 MEDIA INC	DE		X				X		X			10/30/01	
37POINT9	NV				X	X						08/30/01	