

# SEC NEWS DIGEST

Issue 2000-102

May 30, 2000

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## ENFORCEMENT PROCEEDINGS

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### SEC SETTLES FRAUD CASE AGAINST STEPHEN THORPE

On May 25, the Commission entered a settled administrative and cease-and-desist order (Order) against Stephen A. Thorpe in the administrative proceeding, In the Matter of Paul Y. Okuda, Stephen A. Thorpe and David J. Chester, Admin. Proc. File No 3-9345 (instituted July 1, 1997). Pursuant to the Order, Thorpe was ordered to cease and desist from committing future violations of the antifraud provisions and to disgorge \$9,149, plus pre-judgment and post-judgment interest.

The Order finds that in early 1992, Ronald Moskowitz, the former chairman and chief executive officer of Ferrofluidics Corporation, and Jan R. Kirk, Ferrofluidics' former chief financial officer, parked a total of 120,000 Ferrofluidics shares with Thorpe and 500,000 shares with three other individuals (the Purchasers) until the shares could be registered and sold to bona fide investors. Kirk told Thorpe, in substance, that there was no risk of loss because the shares would be resold before his payment obligations were due, and that Ferrofluidics would compensate him. Thorpe received \$18,000 from Ferrofluidics for participating in the scheme. From this amount, Thorpe paid \$8,851 to others for Kirk's benefit. The Purchasers, including Thorpe, each signed a subscription agreement, a promissory note, and a pledge agreement. However, none of the Purchasers, including Thorpe, paid for the subscribed Ferrofluidics stock, nor did they have the financial ability to pay for the shares.

The Order finds that Ferrofluidics publicly announced, in a press release dated April 23, 1992, that it had "\$12,000,000 of added capital" as a result of the private placement. In fact, the transaction added only \$1.6 million in equity, from a single legitimate purchaser. The Purchasers, including Thorpe, never made any payments on their notes, nor did the company expect them to. Ferrofluidics nevertheless booked interest on the notes as a receivable and thereby increased Ferrofluidics' net income by approximately \$580,000, or 17%, during fiscal 1992 and \$212,000, or 22%, during the first quarter of fiscal 1993. In consenting to the Order, Thorpe neither admitted nor denied the Commission's findings.

On January 13, 2000, the Commission entered a settled administrative and cease-and-desist order against David J. Chester, another respondent in this proceeding (Rel. 34-42339). The Commission previously instituted four other related administrative proceedings: In the Matter of Helen Chalut and Saleem Noorani, File No. 3-9344 (July 1, 1997); In the Matter of Sheldon S. Traube and George F. Sweeney, File No. 3-9283 (March 27, 1997); In the Matter of Kedar Gupta, Alvan Chorney, and Herbert Moskowitz, File No. 3-9435 (September 26, 1997), In the Matter of Dickinson & Co. and T. Marshall Swartwood, File No. 3-9321 (May 28, 1997); and one related civil action, SEC v. Ferrofluidics Corp., Ronald Moskowitz, Jan R. Kirk, Stephen P. Morin, Jerome Allen, Bruce S. Moody, and the 1991 RPM Irrevocable Trust, 97 Civ. 7174 (S.D.N.Y.). In related criminal proceedings, Moskowitz was sentenced to eight years in prison (U.S. v. Ronald Moskowitz, 97 Cr. 1122, MBM), and Kirk was sentenced to five years in prison (U.S. v. Jan R. Kirk, 97 Cr. 1032, MBM). (Rels. 33-7859; 34-42827; AAER-1260; File No. 3-9345)

### **PROCEEDINGS UNDER RULE 102(e) INSTITUTED AGAINST R. GORDON JONES AND MARK JENSEN**

The Commission has instituted public administrative proceedings pursuant to Rule 102(e) of the Commission's Rules of Practice against R. Gordon Jones and Mark F. Jensen, two CPAs in Salt Lake City, Utah. Jones and Jensen are charged with having engaged in improper professional conduct by recklessly violating professional accounting and auditing standards in their audit of the 1995 financial statements of a now-defunct Utah corporation, Dynamic American Corporation. Jones was the engagement partner, and Jensen performed the concurring partner review on the audit. The financial statements, included in the company's amended annual report on Form 10-K/A filed in November 1996, were not prepared in conformity with GAAP in that Dynamic's balance sheet improperly listed as an asset certain Bolivian mining properties that were materially overvalued at \$36,600,000, or 91% of Dynamic's total consolidated assets reported at December 31, 1995. A hearing will be held before an administrative law judge to determine whether the staff's allegations are true, and if so, whether Jones or Jensen should be censured or temporarily or permanently disqualified from or denied the privilege of appearing or practicing before the Commission. (Rel. 34-42828; AAER-1261; File No. 3-10210)

### **SEC CHARGES FOUR WITH INVESTMENT ADVISER FRAUD**

The Commission announced today the filing of securities fraud and other charges in the United States District Court for the District of Columbia against James L. Foster, his wife, Laurie F. Foster, Steven M. Bolla, and William E. Busacker, Jr. arising out of their management of two investment advisory firms. The firms were Matrix Investment Advisors, Inc. and Security Financial, Inc. (SFI) of Charlottesville, Virginia. SFI also operated in Pittsburgh, Pennsylvania. Without admitting or denying the Commission's allegations, the defendants consented to the entry of permanent injunctions against future violations, and also agreed to additional sanctions to be entered in a related Commission administrative proceeding.

The Commission's complaint alleges that, between early 1995 and October 1996, the defendants defrauded their investment advisory clients by failing to disclose their switch from a conservative investment approach to a high-risk strategy involving short-selling of high-technology stocks. The defendants also failed to disclose that, contrary to express representations, Laurie Foster and Busacker were paid commissions on trades. The complaint also alleges that the Fosters arbitrarily assigned values to client accounts, that the defendants mailed false account statements to clients that contained baseless account values, and that certain clients were unfairly favored over others in distributions. In addition, the Fosters and Bolla prepared and distributed a brochure entitled "Investing in the Nineties At a Glance," which misrepresented that they were engaged in a conservative investment strategy, and included false historical performance data. The complaint also alleges that the defendants sold unregistered securities to their clients in the form of the advisers' in-house managed investment funds.

James Foster, Laurie Foster, Bolla and Busacker have consented to an order of the court permanently enjoining them from violating Sections 5(a), 5(c) and 17(a) of the Securities Act of 1933, Section 10(b) of the Securities Exchange Act of 1934 and Rule 10b-5 thereunder, and Sections 204 and 206(1), (2) and (4) of the Investment Advisers Act and Rules 204-2(a)(3), 204-2(c)(1) and (2), and 206(4)-2(a)(1) through (5) thereunder. James Foster, Laurie Foster and Bolla have also consented to being permanently enjoined from violating Rule 206(4)-1(a)(5) under Section 206(4) of the Investment Advisers Act.

In addition to injunctions entered by the federal court, the defendants agreed to sanctions to be entered in a Commission administrative proceeding. James Foster will be barred from association with any investment adviser; Bolla will be barred from association with any investment adviser, with the right to reapply after five years; Laurie Foster will be barred from association with any investment adviser or broker-dealer with a right to reapply after three years; and Busacker will be suspended for a period of twelve months from association with any investment adviser and any broker-dealer. Bolla has also consented to a court-ordered penalty of \$10,000. Based on the Fosters' and Busacker's demonstrated financial inability to pay, the Commission did not seek the imposition of civil money penalties against them.

The Commission previously obtained the appointment of a special agent to take control of Matrix, SFI and two related entities, Trustcap Financial Group, Inc and Matrix Capital Management, Inc., in order to preserve investor funds. The special agent subsequently distributed over \$11 million in investor funds pursuant to a court-ordered distribution plan. In connection with today's filing, the defendants in the prior action also consented to permanent injunctions against violations of the books and records provisions of Section 204 of the Investment Advisers Act and Rules 204-2(a)(3) and 204-2(c)(1) and (2) thereunder.

For further information, see LR-15297 and LR-15436. [SEC v. James L. Foster, et al, Civil Action No. 1:00CV01192, D.C.D.C.] (LR-16567)

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## INVESTMENT COMPANY ACT RELEASES

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### THE PACIFIC CORPORATE GROUP PRIVATE EQUITY FUND, ET AL.

An order has been issued on an application filed by the Pacific Corporate Group Private Equity Fund (Fund) and the Pacific Corporate Group, Inc. (Adviser) for an order under Section 17(d) of the Investment Company Act and Rule 17d-1 under the Act. The order amends a prior order that permits the Fund to co-invest with other investment vehicles managed by the Adviser or its affiliates and/or, under certain circumstances, with the Adviser or its affiliates. The amended order revises certain conditions of the prior order. (Rel. IC-24475 – May 25)

### SECURITY BENEFIT LIFE INSURANCE COMPANY, ET AL.

An order has been issued pursuant to Section 6(c) of the Investment Company Act exempting Security Benefit Life Insurance Company (Security Benefit); First Security Benefit Life Insurance and Annuity Company of New York (First Security Benefit); SBL Variable Annuity Account VIII (Variflex Extra Credit) (Variflex Account, and, together with any other separate account of Security Benefit or First Security Benefit supporting variable annuity contracts, collectively referred to as the Separate Accounts); any other separate account that will be established in the future by Security Benefit or First Security Benefit to support variable annuity contracts (Future Accounts) issued by Security Benefit or First Security Benefit (collectively, the SBL Insurers), and Security Distributors, Inc. (SDI), (collectively referred to as Applicants) from the provisions of Sections 2(a)(32), 22(c) and 27(i)(2)(A) of the Act, and Rule 22c-1, thereunder. The order will permit, under specified circumstances, the recapture of certain credit enhancements applied to (i) the Variflex Extra Credit contract (Contract), a flexible premium deferred variable annuity contract that Security Benefit issues through the Variflex Account, and (ii) other variable contracts and future variable contracts offered by the SBL Insurers and funded by the Separate Accounts or a Future Account (Future Variable Contracts), provided that the Future Variable Contract is substantially similar in all material respects to the Contract. (Rel. IC-24476 - May 25)

### UAM FUNDS, INC., ET AL.

A notice has been issued giving interested persons until June 19, 2000, to request a hearing on an application filed by UAM Funds, Inc., et al, for an order exempting applicants from Sections 12(d)(1) and 17(a) of the Investment Company Act, and under Section 17(d) and Rule 17d-1 under the Act to permit certain joint transactions. The order would permit certain registered open-end investment companies to use cash collateral from securities lending transactions to purchase shares of affiliated money market funds or affiliated private investment companies, to deposit cash collateral in one or more joint accounts, and to pay fees based on a share of the revenue generated from

securities lending transactions to an affiliated lending agent and other affiliated entities (Rel. IC-24477 - May 25)

## **WARBURG, PINCUS BALANCED FUND, INC., ET AL.**

An order has been issued on an application filed by Warburg, Pincus Balanced Fund Inc., et al., under Section 17(d) of the Investment Company Act and Rule 17d-1 under the Act to permit certain registered management investment companies to deposit their uninvested cash balances in one or more joint accounts to be used to enter into repurchase agreements. (Rel. IC-24478 - May 26)

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## **SELF-REGULATORY ORGANIZATIONS**

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### **PROPOSED RULE CHANGE**

The Chicago Board Options Exchange has filed a proposed rule change (SR-CBOE-00-18) under Rule 19b-4 of the Exchange Act to interpret rules relating to customer communications. (Rel. 34-42821)

### **IMMEDIATE EFFECTIVENESS OF PROPOSED RULE CHANGES**

A proposed rule change (SR-Phlx-00-11) filed by the Philadelphia Stock Exchange to reduce the value of the computer box maker index (BMX) has become effective under Section 19(b)(3)(A) of the Securities Exchange Act. Publication of the proposal is expected in the Federal Register during the week of May 29 (Rel 34-42814)

A proposed rule change (SR-PCX-00-10) filed by the Pacific Exchange relating to Mid-Point Price Profile of the OptiMark System has become effective under Section 19(b)(3)(A) of the Securities Exchange Act. Publication of the notice is expected in the Federal Register during the week of May 29. (Rel 34-42822)

The Stock Clearing Corporation of Philadelphia filed a proposed rule change (SR-SCCP-00-03) under Section 19(b)(3)(A) of the Securities Exchange Act. The proposed rule change, which became effective upon filing, provides a credit to specialists that use the Philadelphia Stock Exchange Automated Communication and Execution System. Publication of the proposal is expected in the Federal Register during the week of May 29. (Rel. 34-42829)

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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-4 SANMINA CORP/DE, 355 EAST TRIMBLE ROAD, SAN JOSE, CA 95131  
(408) 954-5500 - 21,696,469 (\$1,211,530,829) COMMON STOCK. (FILE  
333-37526 - MAY. 22) (BR. 5)
- S-8 SUMMIT BANCORP/NJ/, 301 CARNEGIE CENTER, P O BOX 2066, PRINCETON, NJ  
08543 (609) 987-3200 - 400,000 (\$10,512,000) COMMON STOCK. (FILE  
333-37528 - MAY. 22) (BR. 7)
- S-8 WEBSTER FINANCIAL CORP, WEBSTER PLAZA, 145 BANK ST, WATERBURY, CT  
06720  
(203) 753-2921 - 750,000 (\$16,477,500) COMMON STOCK. (FILE 333-37530 -  
MAY. 22) (BR. 7)
- S-3 UNITED MOBILE HOMES INC, 125 WYCKOFF RD, EATONTOWN, NJ 07724  
(732) 389-3890 - 1,100,000 (\$8,868,750) COMMON STOCK. (FILE 333-37532  
-  
MAY. 22) (BR. 8)
- S-8 FORD MOTOR CO, THE AMERICAN RD, DEARBORN, MI 48121 (313) 322-3000 -  
4,000,000 (\$212,750,000) COMMON STOCK. (FILE 333-37536 - MAY. 22) (BR.  
5)
- S-8 AMERICORP, 304 EAST MAIN STREET, VENTURA, CA 93001 (805) 642-0383 -  
260,000 (\$4,387,500) COMMON STOCK. (FILE 333-37540 - MAY. 22) (BR. 7)
- S-8 FORD MOTOR CO, THE AMERICAN RD, DEARBORN, MI 48121 (313) 322-3000 -  
20,310,428 (\$1,008,377,891.43) COMMON STOCK. (FILE 333-37542 - MAY.  
22)  
(BR. 5)
- S-8 FLEETWOOD ENTERPRISES INC/DE/, 3125 MYERS ST, P O BOX 7638,  
RIVERSIDE,  
CA 92523 (909) 351-3500 - 2,100,000 (\$31,368,750) COMMON STOCK. (FILE  
333-37544 - MAY. 22) (BR. 6)
- S-8 ADVANCED DIGITAL INFORMATION CORP, P O BOX 97057, 11431 WILLOWS RD,  
REDMOND, WA 98073 (425) 881-8004 - 2,000,000 (\$29,674,000) COMMON  
STOCK.  
(FILE 333-37546 - MAY. 22) (BR. 3)
- S-1 CAMPBELL ASSET ALLOCATION TRUST, 210 WEST PENNSYLVANIA AVENUE,  
SUITE 770, TOWSON, MD 21204 (410) 296-3301 - 50,000,000 (\$50,000,000)  
CONVERTIBLE PREFERRED SHARE OF BENEFICIAL INTEREST. (FILE 333-37548 -  
MAY. 22) (NEW ISSUE)

S-3 HARLEY DAVIDSON CUSTOMER FUNDING CORP, 4150 TECHNOLOGY WAY, CARSON CITY, NV 89706 (775) 886-3200 - 10,000,000 (\$10,000,000) STRAIGHT BONDS. (FILE 333-37550 - MAY. 22) (NEW ISSUE)

S-8 UNIROYAL TECHNOLOGY CORP, TWO N TAMiami TRAIL, STE 900, SARASOTA, FL 34236 (941) 366-2100 - 900,000 (\$10,377,000) COMMON STOCK. (FILE 333-37552 - MAY. 22) (BR. 6)

S-1 WILSON GREATBATCH TECHNOLOGIES INC, 10000 WEHRLE DRIVE, CLARENCE, NY 14031 (716) 759-6901 - \$115,000,000 COMMON STOCK. (FILE 333-37554 - MAY. 22) (NEW ISSUE)

S-8 HEALTHCARE COM CORP, 1850 PKWY PLACE STE 1100, MARIETTA, GA 30067 (770) 423-8450 - 750,000 (\$2,437,500) COMMON STOCK. (FILE 333-37556 - MAY. 22) (BR. 3)

S-3 BRIGHAM EXPLORATION CO, 6300 BRIDGE POINT PARKWAY, BLDG 2 SUITE 500, AUSTIN, TX 78730 (512) 427-3300 - 1,626,016 (\$4,276,422) COMMON STOCK. (FILE 333-37558 - MAY. 22) (BR. 4)

S-8 HEALTHCARE COM CORP, 1850 PKWY PLACE STE 1100, MARIETTA, GA 30067 (770) 423-8450 - 700,000 (\$2,275,000) COMMON STOCK. (FILE 333-37560 - MAY. 22) (BR. 3)

S-8 HEALTHCARE COM CORP, 1850 PKWY PLACE STE 1100, MARIETTA, GA 30067 (770) 423-8450 - 250,000 (\$812,500) COMMON STOCK. (FILE 333-37562 - MAY. 22) (BR. 3)

S-3 PAN PACIFIC RETAIL PROPERTIES INC, 1631-B S MELROSE DR, VISTA, CA 92083 (760) 727-1002 - 832,617 (\$16,519,121) COMMON STOCK. (FILE 333-37564 - MAY. 22) (BR. 8)

S-1 PECO II INC, 1376 STATE ROUTE 598, GALION, OH 44833 (419) 468-7600 - \$86,250,000 COMMON STOCK. (FILE 333-37566 - MAY. 22)

S-8 PYR ENERGY CORP, 1675 BROADWAY, STE 1150, DENVER, CO 80202 (303) 825-3748 - 1,500,000 (\$3,747,902) COMMON STOCK. (FILE 333-37568 - MAY. 22) (BR. 4)

S-8 FIAT S P A, CORSO MARCONI 10, VIA NIZZA 250, TURIN ITALY, L6 - 2,756,000 (\$75,514,400) COMMON STOCK. (FILE 333-37570 - MAY. 22) (BR. 5)

S-8 DRYCLEAN USA INC, 290 NE 68 STREET, MIAMI, FL 33138 (305) 754-4551 - 900,000 (\$1,113,906.50) COMMON STOCK. (FILE 333-37574 - MAY. 22) (BR. 7)

S-8 DRYCLEAN USA INC, 290 NE 68 STREET, MIAMI, FL 33138 (305) 754-4551 - 100,000 (\$143,125) COMMON STOCK. (FILE 333-37576 - MAY. 22) (BR. 7)

S-8 INTEGRAMED AMERICA INC, ONE MANHATTANVILLE RD, PURCHASE, NY 10577 (914) 253-8000 - 200,000 (\$700,000) COMMON STOCK. (FILE 333-37578 - MAY. 22) (BR. 1)

S-8 **COOPER INDUSTRIES INC**, 600 TRAVIS, SUITE 5800, FIRST CITY TWR,  
HOUSTON,  
TX 77002 (713) 209-8400 - 500,000 (\$17,125,000) COMMON STOCK. (FILE  
333-37580 - MAY. 22) (BR. 5)

S-8 **DRYCLEAN USA INC**, 290 NE 68 STREET, MIAMI, FL 33138 (305) 754-4551 -  
500,000 (\$937,500) **COMMON STOCK**. (FILE 333-37582 - MAY. 22) (BR. 7)

S-8 **CROSSROADS SYSTEMS INC**, 9390 RESEARCH BOULEVARD SUITE II-300,  
AUSTIN, TX  
78759 (512) 349-0300 - 21,375 (\$106,875) COMMON STOCK. (FILE 333-37584  
-  
MAY. 22) (BR. 3)

S-3 **COTELLIGENT INC**, 101 CALIFORNIA ST, STE 2050, SAN FRANCISCO, CA  
94111  
(415) 439-6400 - 100,000 (\$571,875) COMMON STOCK. (FILE 333-37586 -  
MAY. 22) (BR. 3)

S-8 **CROWN MEDIA HOLDINGS INC**, 6430 S FIDDLERS GREEN CIRCLE #500,  
ENGLEWOOD,  
CO 80111 (212) 281-9224 - 10,000,000 (\$140,000,000) COMMON STOCK.  
(FILE  
333-37588 - MAY. 22) (BR. 7)

S-8 **ACUSON CORP**, 1220 CHARLESTON RD, PO BOX 7393, MOUNTAIN VIEW, CA  
94039  
(415) 969-9112 - 3,000,000 (\$36,000,000) COMMON STOCK. (FILE 333-37590  
-  
MAY. 22) (BR. 5)

S-3 **NETPLEX GROUP INC**, 1800 ROBERT FULTON DRIVE, SUITE 250, RESTON, VA  
29191  
(703) 716-4777 - 5,099,766 (\$18,008,549) COMMON STOCK. (FILE 333-37594  
-  
MAY. 22) (BR. 3)

S-2 **LANGUAGEWARE NET CO LTD**, C/O YOGAL ARNON & CO, 22 RIVLIN STREET,  
JERUSALEM 91000 ISRAEL, L3 (719) 955-3400 - 78,749,832 (\$61,818,618)  
**COMMON STOCK**. (FILE 333-37600 - MAY. 23) (BR. 3)

S-1 **AURA SYSTEMS INC**, 2335 ALASKA AVE, EL SEGUNDO, CA 90245 (310) 643-  
5300  
- 20,933,334 (\$6,280,000) COMMON STOCK. (FILE 333-37602 - MAY. 23)  
(BR. 3)

S-3 **INTEST CORP**, 2 PIN OAK LANE, CHERRY HILL, NJ 08003 (609) 424-6886 -  
2,300,000 (\$41,112,500) COMMON STOCK. (FILE 333-37604 - MAY. 23) (BR.  
5)

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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 S Offerings.

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		
AMERINET GROUP COM INC	DE	X			X	X					05/11/00	
AMERINET GROUP COM INC	DE	X			X	X					05/11/00	
AMERISERVE FOOD DISTRIBUTION INC /D E/	DE				X	X					05/10/00	
AMERISERVE FOOD DISTRIBUTION INC /D E/	DE				X	X					05/16/00	
APHTON CORP	DE				X						05/19/00	
ASSET SERVICING CORP	NV				X						05/25/00	
ATI NETWORKS INC /CO/	CO				X						12/31/99	
ATLANTIC TECHNOLOGY VENTURES INC	DE	X									05/12/00	
AUTOTOTE CORP	DE						X				05/18/00	
BABYS BEST COM INC	FL						X				03/07/00	AMEND
BALLANTYNE OF OMAHA INC	DE				X	X					05/25/00	
BARGO ENERGY CO	TX						X				03/21/00	AMEND
BEAR STEARNS COMMERCIAL MORTGAGE SE CURITIES INC	DE						X				05/15/00	
BEAR STEARNS COMMERCIAL MORTGAGE SE CURITIES INC	DE						X				05/15/00	
BIDHIT COM INC	NV	X				X					05/12/00	
BIG BUCK BREWERY & STEAKHOUSE INC	MI				X	X					05/25/00	
BINGOGOLD COM INC	NV	X									02/15/00	
BRIGHAM EXPLORATION CO	DE				X	X					05/11/00	
BROADBAND WIRELESS INTERNATIONAL CO RP	NV				X	X					05/26/00	
CAMINUS CORP	DE				X	X					05/19/00	
CAPITOL REVOLVING HOME EQUITY LOAN TRUST 1996-1	MD				X						05/22/00	
CAPITOL REVOLVING HOME EQUITY LOAN TRUST 1996-1	MD				X						05/22/00	
CARDINAL HEALTH INC	OH				X	X					05/26/00	
CARVER BANCORP INC	DE				X	X					05/25/00	
CHARTER COMMUNICATIONS HOLDINGS CAP ITAL CORP	DE				X	X					05/26/00	
CHARTER COMMUNICATIONS HOLDINGS LLC	DE				X	X					05/26/00	
CHARTER COMMUNICATIONS INC /MO/	DE				X	X					05/26/00	
CHEQUEMATE INTERNATIONAL INC	UT				X	X					05/11/00	

NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
CHRONIMED INC	MN				X		X				05/26/00	
CITIZENS COMMUNITY BANCORP INC	FL				X						05/02/00	
CITYFED FINANCIAL CORP	DE				X						05/19/00	
COLLEGIATE PACIFIC INC	PA						X				04/19/00	AMEND
COLUMBIA HCA HEALTHCARE CORP	DE				X		X				05/25/00	
COMMERCIAL MORTGAGE PASS THROUGH CE RTIFICATES SERIES 1999 C2	DE							X			05/17/00	
CONEXANT SYSTEMS INC	DE				X		X				05/23/00	
CSX TRADE RECEIVABLES CORP	DE				X		X				05/25/00	
CWMBS INC	DE				X		X				05/26/00	
CYBEX COMPUTER PRODUCTS CORP	AL				X		X				03/31/00	
DELTA FUNDING HOME EQUITY LOAN TRUS T 2000-1	NY							X			05/15/00	
DESIGNS INC	DE				X						05/26/00	
DEVON ENERGY CORP	DE				X		X				05/25/00	
DISCOVER CARD MASTER TRUST I	DE				X		X				05/24/00	
DIVERSIFIED PRODUCT INSPECTIONS INC /TN/	FL				X		X	X			03/13/00	AMEND
DIVERSIFIED PRODUCT INSPECTIONS INC /TN/	FL				X		X	X			03/13/00	AMEND
DREAMLIFE INC	DE				X		X				05/23/00	
E MACHINERY NET INC	DE						X				03/27/00	AMEND
ELECTRONIC PROCESSING INC	MO						X				03/30/00	AMEND
EMERGENT INFORMATION TECHNOLOGIES I NC	CA				X		X				05/18/00	
EQUITY INNS INC	TN				X						05/11/00	
FACTSET RESEARCH SYSTEMS INC	DE				X		X				05/31/00	
FIRST HORIZON ASSET SECURITIES INC	DE				X		X				05/26/00	
FIRST UNION COMMERCIAL MORTGAGE SEC URITIES INC	NC		X					X			04/20/00	
FIRST UNION COMMERCIAL MORTGAGE SEC URITIES INC	NC							X			05/17/00	
FIRST UNION COMMERCIAL MORTGAGE SEC URITIES INC	NC							X			05/17/00	
FIRST UNION COMMERCIAL MORTGAGE SEC URITIES INC	NC							X			05/18/00	
GENERAL DATA COMM INDUSTRIES INC	DE				X						05/17/00	
GERBER CHILDRENSWEAR INC	DE				X		X				05/24/00	
GOLDEN EAGLE INTERNATIONAL INC	CO				X						05/22/00	
GROW BIZ INTERNATIONAL INC	MN				X		X				05/18/00	
HARSCO CORP	DE				X		X				05/16/00	
HAWAIIAN NATURAL WATER CO INC			X					X			03/20/00	AMEND
HELLER FUNDING CORP	DE				X		X				05/15/00	
HELLER FUNDING CORP	DE				X		X				05/15/00	
HIGH PLAINS ENERGY CORP	WY						X				05/26/00	AMEND
HOOPER HOLMES INC	NY				X		X				05/19/00	
IASIS HEALTHCARE CORP	DE				X		X				05/03/00	
INACOM CORP	DE				X		X				05/17/00	
INLAND RETAIL REAL ESTATE TRUST INC	MD	X									04/15/00	
LEHMAN ABS CORP	DE				X		X				12/01/99	
LEHMAN ABS CORP	DE				X		X				12/15/99	
LEHMAN ABS CORP	DE				X		X				01/17/00	
LEHMAN ABS CORP	DE				X		X				02/01/00	
LEHMAN ABS CORP	DE				X		X				03/01/00	

NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
LEHMAN ABS CORP	DE				X	X					05/17/00	
LEUCADIA NATIONAL CORP	NY				X	X					05/26/00	
MAIL COM INC	DE					X					03/14/00	AMEND
MEDICAL DYNAMICS INC	CO				X	X					05/22/00	
MICHAEL FOODS INC	DE				X	X					05/22/00	
MLMI RESECURITIZATION PASS THROUGH CERT SERIES 2000-1D	DE				X	X					04/28/00	
MORGAN STANLEY DEAN WITTER CAPITAL I INC SERIES 2000 LIFE1	DE						X				05/15/00	
NASHUA CORP	DE				X						05/24/00	
NATIONAL INFORMATION CONSORTIUM	CO	X				X					05/11/00	
NEBCO EVANS HOLDING CO	DE				X	X					05/10/00	
NEBCO EVANS HOLDING CO	DE				X	X					05/16/00	
NETIQ CORP		X				X					05/12/00	
NEXTEL COMMUNICATIONS INC	DE				X	X					05/26/00	
NORTH FORK BANCORPORATION INC	DE				X	X					05/26/00	
NORTHERN STATES POWER CO /MN/	MN				X						05/26/00	
OFFICE DEPOT INC	DE				X	X					05/26/00	
ONDISPLAY INC	DE				X	X					05/22/00	
ONEIDA LTD	NY	X									05/23/00	
ONYX ACCEPTANCE OWNER TRUST 2000 B	DE				X						05/15/00	
ONYX ACCEPTANCE OWNER TRUST 2000-A	DE				X						05/15/00	
OPHIDIAN PHARMACEUTICALS INC	DE				X						05/17/00	
OPTION ONE MORT ACCEPT CORP ASSET B ACKED CERT SER 2000-2	DE	X			X	X					05/18/00	
OSTEOTECH INC	DE				X						05/17/00	
OXFORD HEALTH PLANS INC	DE				X	X					05/17/00	AMEND
PEOPLES FINANCIAL CORP /MS/	MS				X	X					05/26/00	
PIRANHA INC	DE				X						05/25/00	
POCKETPORT COM	NV				X						05/26/00	
PORTSMOUTH SQUARE INC	CA				X						05/16/00	
PPL CORP	PA				X						05/19/00	
PRIME GROUP REALTY TRUST	MD				X						05/19/00	
PRINCETON DENTAL MANAGEMENT CORP	DE		X								05/26/00	
QUADRATECH INC \NV\	NV				X						04/28/00	AMEND
REDDING BANCORP	CA				X						05/25/00	
REDLAW INDUSTRIES INC											05/10/00	
ROFIN SINAR TECHNOLOGIES INC	DE	X				X					05/29/00	AMEND
SANTA FE FINANCIAL CORP	NV				X						05/16/00	
SANTA FE SNYDER CORP	DE				X	X					05/26/00	
SERVICE MERCHANDISE CO INC	TN				X						04/03/00	
SFAC NEW HOLDINGS INC	DE				X						05/26/00	
SFC NEW HOLDINGS INC	DE				X						05/26/00	
SHOLOGDE INC	TN	X				X					05/11/00	
SOUND DESIGNS INC	NV					X					03/10/00	AMEND
TANNERS RESTAURANT GROUP INC	TX	X									05/11/00	
THISTLE GROUP HOLDINGS CO					X	X					05/23/00	
THREE RIVERS BANCORP INC	PA				X	X					05/25/00	
TOYOTA AUTO LEASE TRUST 1997-A	CA				X	X					05/12/00	
TOYOTA AUTO LEASE TRUST 1998 C	CA				X	X					05/12/00	
TOYOTA AUTO LEASE TRUST 1998-B	CA				X	X					05/12/00	
TRICO MARINE SERVICES INC	DE				X	X					05/26/00	
TRUDY CORP	DE				X						05/24/00	
UNI INVEST USA LTD	MD	X				X					05/26/00	

NAME OF ISSUER	STATE	8K ITEM NO.									DATE	COMMENT	
	CODE	1	2	3	4	5	6	7	8	9			
UNITED AIR LINES INC	DE					X	X					05/24/00	
VANDERBILT MORTGAGE & FINANCE INC	TN					X	X					05/25/00	
VIOPHARMA INC	DE					X	X					05/26/00	
WASTE CONNECTIONS INC/DE	DE		X				X					05/16/00	
WFS FINANCIAL AUTO LOANS INC	CA						X					05/24/00	
WFS RECEIVABLES CORP	CA						X					05/24/00	
WIT CAPITAL GROUP INC	DE					X	X					05/15/00	
WSI INTERACTIVE CORP						X	X					05/19/00	
ZEROPLUS COM INC	DE					X						05/24/00	
2U ONLINE COM INC	DE				X							05/17/00	AMEND
8X8 INC	DE		X					X				05/19/00	