

# SEC NEWS DIGEST

Issue 99-221

November 17, 1999

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## ENFORCEMENT PROCEEDINGS

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### **BT ALEX. BROWN INCORPORATED TO PAY \$15.3 MILLION TO SETTLE FRAUD CHARGES IN MUNICIPAL BOND "YIELD BURNING" CASE; NINE OTHERS CHARGED WITH FRAUD AND RELATED VIOLATIONS IN CONNECTION WITH PENNSYLVANIA REFUNDINGS**

The Commission today announced that BT Alex. Brown Incorporated, a broker-dealer based in Baltimore, Maryland, has agreed to settle fraud charges arising out of the Commission's investigation into the unlawful practice in municipal bond transactions known as "yield burning." In an administrative order, the Commission found that BT Alex. Brown's predecessor, Alex. Brown and Sons Incorporated (Alex. Brown) willfully violated the antifraud provisions of the federal securities laws, Section 17(a) of the Securities Act of 1933, Section 10(b) of the Securities Exchange Act of 1934, and Rule 10b-5 thereunder, in a March 1994 \$494 million Commonwealth of Pennsylvania refunding bond offering. The Commission found that Alex. Brown misrepresented the size of the markup charged on the portfolio of Treasury securities sold to Pennsylvania for the March 1994 refunding as 4.5 basis points in price, when it was actually 45 basis points, and failed to disclose fully its fee-splitting arrangement with the financial adviser for the offering, Arthurs Lestrangle & Company, Inc., a Pittsburgh-based broker-dealer. The order also finds that Alex. Brown willfully violated Sections 17(a)(2) and (3) of the Securities Act by charging excessive, undisclosed markups.

Without admitting or denying the Commission's findings, BT Alex. Brown agreed to be censured, to cease and desist from future violations, to pay \$603,996 in disgorgement related to the March 1994 Pennsylvania refunding, and to comply with undertakings to pay an additional \$14,701,250 to settle claims with the Commission, the Internal Revenue Service, and the United States Attorney for the Southern District of New York relating to other refunding bond offerings in which Alex. Brown sold U.S. Treasury securities to bond issuers. Of that amount, \$127,674 will be paid directly to certain issuers of refunding bonds.

The Commission also announced several other actions charging securities law violations against other persons and entities involved with the March 1994 Pennsylvania refunding and a companion refunding in June 1994.

The Commission's Division of Enforcement has charged Kevin G. Quinn, the head of Alex. Brown's Public Finance Department at the time of the March 1994 Pennsylvania bond refunding, and the lead Alex. Brown banker responsible for that refunding, with willfully violating Section 17(a) of the Securities Act, Section 10(b) of the Exchange Act, and Rule 10b-5. In the proceeding against Quinn, the Division alleges that he misrepresented the size of the markup on the Treasury securities which Alex. Brown sold in the Pennsylvania refunding, and that he failed to disclose the nature, purpose, and extent of Alex. Brown's fee-splitting arrangement with Arthurs Lestrage. The case will be heard by an administrative law judge.

In a complaint filed in the United States District Court for the Middle District of Pennsylvania, the Commission charged Patrick H. McCarthy, a Philadelphia attorney and senior adviser and fund raiser for the Pennsylvania Treasurer at the time of the bond offerings, with violating Section 17(a) of the Securities Act of 1933, Section 10(b) of the Securities Exchange Act of 1934, and Rule 10b-5 thereunder. The Commission's complaint alleges that, although not a Commonwealth employee, McCarthy was viewed by senior staff as the most powerful person in the Pennsylvania Treasurer's office, after the Treasurer and the Executive Deputy Treasurer, at the time of the 1994 refunding bond offerings. Dennis E. Thiemann, then a longtime consultant to Arthurs Lestrage, obtained Arthurs Lestrage's agreement that the firm would pay Thiemann one-third of its deal revenues if Thiemann could find a larger broker-dealer which would agree to sell the Treasury securities to the Commonwealth, split its fees with Arthurs Lestrage, and pay 60 percent of the total to Arthurs Lestrage. Thiemann then approached his friend, John M. Seidman, who ran a private consulting firm called JMS Associates, and whom Thiemann believed had contacts within the Treasurer's office. Seidman was a friend of McCarthy. McCarthy was then approached for his assistance in arranging for Alex. Brown to be appointed to sell the Treasury securities.

The complaint alleges that McCarthy then contacted Alex. Brown and offered that Alex. Brown could be appointed to sell the Treasury securities if it would split fees with Arthurs Lestrage, and pay Arthurs Lestrage 60 percent of the total. McCarthy then used his influence to have Alex. Brown appointed over the objections of the Treasurer's senior staff. After the first refunding closed in March 1994, Arthurs Lestrage paid one-third of its revenues, or \$520,891 to Thiemann's firm, HDI, Inc. HDI, in turn, paid \$175,250 to JMS Associates and \$172,000 to McCarthy's law firm, and retained \$173,641. The Commission's actions do not allege that Alex. Brown or Arthurs Lestrage knew about HDI's payments to JMS Associates or to McCarthy's firm. When senior staff in the Treasurer's office became aware and protested that Alex. Brown had overcharged the Commonwealth for the Treasury securities, McCarthy supported Alex. Brown. Alex. Brown later entered into an agreement to retain McCarthy's firm for \$20,000 per month, commencing in June 1994, and McCarthy again used his influence to have Alex. Brown selected to sell the Treasury securities for a second Pennsylvania refunding in June 1994 over the objections of the Treasurer's staff. The

Commission's complaint alleges that, while promoting Alex. Brown's interests in the Treasurer's office in connection with both the March and June 1994 refundings, McCarthy knowingly or recklessly failed to disclose to the Treasurer's office or to the Commonwealth that he had a conflict of interest arising from his payment arrangements with Thiemann and Alex. Brown.

Without admitting or denying the Commission's allegations, McCarthy consented to the entry of a final judgment which enjoins him from violating Section 17(a) of the Securities Act of 1933, Section 10(b) of the Securities Exchange Act of 1934, and Rule 10b-5 thereunder, and requires that he pay a civil penalty of \$100,000. McCarthy's law firm voluntarily returned to Pennsylvania the \$172,000 obtained from HDI and all of the retainer fees received from Alex. Brown after June 1994, plus interest, and is not the subject of a Commission action.

Thiemann, HDI, Seidman, and JMS Associates consented to Commission orders finding that they were causes of McCarthy's violations under Section 8A of the Securities Act and Section 21C of the Exchange Act. Without admitting or denying the Commission's findings, they each consented to orders that they cease and desist from committing or causing violations of Section 17(a) of the Securities Act, Section 10(b) of the Exchange Act, and Rule 10b-5. The orders also require HDI and JMS Associates to disgorge the sums they obtained from the March 1994 refunding revenues (\$173,641 and \$175,250 respectively) plus prejudgment interest.

Arthurs Lestrage and Michael P. Bova, head of municipal finance for Arthurs Lestrage at the time of the 1994 Pennsylvania refundings, consented to a Commission order which finds that they willfully violated Sections 17(a)(2) and (3) of the Securities Act. Although Bova informed Commonwealth officials by letter that Arthurs Lestrage and Alex. Brown were pooling fees, Arthurs Lestrage and Bova failed to disclose that Arthurs Lestrage would receive the largest portion of the pooled revenues, notwithstanding that its own contribution would be much smaller than that of Alex. Brown. Bova's letter also failed to disclose that Arthurs Lestrage had agreed to pay one-third of its revenues to Thiemann's company for bringing to Arthurs Lestrage a share of the deal revenues generated by Alex. Brown. Without admitting or denying the Commission's findings, Arthurs Lestrage and Bova consented to censures and to orders that they cease and desist from future violations. In addition, Arthurs Lestrage will pay a \$100,000 penalty, and Bova will pay a \$35,000 penalty.

Douglas E. Carter, Quinn's successor as head of the Alex. Brown Public Finance Department, and lead banker for the June 1994 Pennsylvania refunding, consented to a Commission order which finds that he willfully violated Sections 17(a)(2) and (3) of the Securities Act. The order finds that Carter knew or should have known that Alex. Brown had overcharged the Commonwealth 45 basis points instead of the agreed 4.5 basis points on the Treasury portfolio for the March 1994 refunding, and that he did not disclose this fact to the Treasurer's office. Without admitting or denying

the Commission's findings, Carter consented to be censured, to cease and desist from future violations, and to pay a penalty of \$35,000.

The Commission thanks the United States Attorney for the Southern District of New York, the Department of Justice, the Department of the Treasury, the Internal Revenue Service, and the Commonwealth of Pennsylvania for their cooperation in this matter. (In the Matter of HDI, Inc. and Dennis E. Thiemann - Rels. 33-7777, 34-42150, File No. 3-10102); (In the Matter of BT Alex. Brown Incorporated - Rel. 33-7778); [SEC v. Patrick H. McCarthy, Civil Action No. 1-99-CV-2003, USDC, MD Pennsylvania, YK] (LR-16356)

#### **NASD DISCIPLINE AGAINST KEITH MOHN SUSTAINED**

The Commission sustained the NASD's disciplinary action against Keith L. Mohn. The NASD found that Mohn engaged in private securities transactions without giving his firm, John Hancock Distributors, Inc., prior notice of his intention to do so. The NASD censured Mohn, barred him from associating with a member firm, and fined him \$52,222.

Using Hancock facilities and supplies, Mohn solicited two couples who were Hancock customers to purchase limited partnership interests sponsored by Citi Equity Group, Inc. Before these solicitations, Mohn had been told by Hancock officials on at least two occasions that Hancock did not wish to offer Citi Equity interests. Mohn thereafter arranged for his wife to effect Citi Equity transactions through another member firm. Although Mohn argued that his wife was responsible for these transactions, the Commission found that Mohn had participated actively in the transactions. None of the Hancock customers had heard of Citi Equity before Mohn's solicitations. Mohn chose the particular Citi Equity partnership for the customers and assisted them in completing and processing the subscription agreements for these interests. In contrast, his wife neither met with nor spoke to the customers.

The Commission sustained the NASD's sanctions, except that it reduced the fine by \$2,222. This amount represented the commissions paid to Mohn's wife by her member firm. (Rel. 34-42144; File No. 3-9832)

#### **CIVIL ACTION AGAINST HDG INVESTMENT CORPORATION AND PAUL EDWARDS**

The Commission announced entry of default judgments by the United States District Court for the District of Colorado enjoining HDG Investment Corporation and Paul J. Edwards, both of Prague, Czech Republic, from future violations of the antifraud provisions of the federal securities laws. The Commission's complaint alleged that from at least June 1998 to May 1999, the defendants raised \$305,000 from investors in a fraudulent scheme to offer and sell unregistered "prime bank" securities throughout the United States. The defendants are ordered to pay disgorgement of \$305,000, plus prejudgment interest thereon in the amount of \$24,332.64, and post judgment interest. Each was also ordered to pay civil money

penalties in the amount of \$110,000. [SEC v. HDG Investment Corporation and Paul J. Edwards, USDC, District of Colorado, No. 99-K-911] (LR-16353)

**CIVIL ACTION AGAINST ORACLE TRUST FUND; JUBILEE TRUST FUND; ELKOSH TRUST FUND; JEROME DEFRIES AND KEVIN MCQUEEN**

The Commission announced today that Monti L. Belot, U.S. District Court for the District of Kansas, Wichita Division, issued various emergency orders sought by the Commission to halt a \$7.4 million affinity fraud which targeted, among others, members of Christian churches in rural Kansas, Nebraska and Missouri towns. According to the Commission's complaint, the defendants raised funds from at least 125 investors, supposedly to trade in high-yield foreign bank instruments in a secret "prime bank" trading market. The defendants represented to investors that they would receive a monthly return of 20% for 12 to 18 months, and that the return of the investors' principal was fully guaranteed. In reality, the prime bank trading program does not exist and investor funds have been transferred by the defendants to several offshore entities and used for unauthorized purposes. The Commission's complaint alleges that the defendants also conducted a "Ponzi" scheme by making principal and interest payments to early investors with funds raised from later investors to give the false illusion that the investment was successful.

The Commission alleges that the investment scheme is a classic "affinity fraud," in which the defendants preyed on various church communities. To establish credibility within the church communities, defendants gave the investments various names with Biblical connotations, such as Jubilee Trust Fund, Oracle Trust Fund and Elkosh Trust Fund (collectively, three funds). They also proclaimed their status as so-called "born-again" Christians and suggested that the investment would fulfill a religious "duty" or "prophecy." Moreover, they informally enlisted members of various church communities to proselytize on behalf of the investment funds. Consequently, investors, most of whom are unsophisticated investors, invested in the trading programs on trust and faith, rather than adequate information.

According to the Commission's complaint, the scheme was devised, and/or participated in, by Jerome L. DeFries (DeFries), Kevin S. McQueen (McQueen) and Roger Pearson (Pearson).

DeFries, age 53, is a resident of Bonner Springs, Kansas. DeFries controls the Jubilee, Oracle and Elkosh Trusts, and is responsible for all their business activities.

McQueen, age 35, is a resident of Lee's Summit, Missouri. McQueen raised money from investors for the three funds.

Pearson is a resident of Nebraska, doing business as Biz Enterprises, a Nebraska company which he controls. From December 1998 through March 1999, Pearson received approximately \$1.3 million from defendant DeFries through an account maintained by Biz

Enterprises. Pearson was named in the lawsuit only as a defendant for the purpose of equitable relief.

The Commission further alleges that DeFries and McQueen have obstructed the Commission's investigation in a number of ways. They have attempted to persuade investors not to cooperate with the staff by requiring them to sign confidentiality agreements and falsely telling them that cooperation with the government will cause them to not receive a return on their investment. They are also reported to have destroyed records after learning of governmental investigations.

In its lawsuit, filed today, the Commission sought and the Court granted emergency orders: (1) freezing the assets of Oracle, Jubilee, Elkosh, DeFries and McQueen; (2) freezing the assets of Pearson, individually, and d/b/a Biz Enterprises, which he received, directly or indirectly, from the activities described in the Commission's complaint; (3) requiring Oracle, Jubilee, Elkosh, DeFries, McQueen and Pearson to separately furnish an accounting, including an accounting of monies raised from investors; (4) prohibiting the destruction of documents; (5) authorizing expedited discovery; (6) requiring Oracle, Jubilee, Elkosh, DeFries, McQueen and Pearson to repatriate assets held offshore; (7) requiring DeFries and McQueen to surrender their passports and prohibiting them from leaving the Continental United States; and (8) appointing a receiver to recover assets for the benefit of investors.

In its complaint, the Commission alleges that Oracle, Jubilee, Elkosh, DeFries and McQueen violated Sections 5(a), 5(c) and 17(a) of the Securities Act of 1933 and Section 10(b) of the Securities Exchange Act of 1934 and Rule 10b-5 thereunder. In addition to the emergency relief described above, the Commission is seeking preliminary and permanent injunctions restraining future violations of the antifraud provisions of the federal securities laws against Oracle, Jubilee, Elkosh, DeFries and McQueen; an order requiring Oracle, Jubilee, Elkosh, DeFries, McQueen and Pearson to disgorge all wrongfully obtained profits plus prejudgement interest and civil penalties against Oracle, Jubilee, Elkosh, DeFries and McQueen.

The case was investigated jointly by the Commission and the Office of the Securities Commissioner for the State of Kansas. The Commission wishes to acknowledge the assistance of the State of Kansas in this matter. [SEC v. Oracle Trust Fund; Jubilee Trust Fund; Elkosh Trust Fund; Jerome L. Defries and Kevin S. McQueen, Defendants, and Roger Pearson, individually and d/b/a Biz Enterprises, Defendant Solely for the Purpose of Equitable Relief Case No. 99-1483MLB, USDC, District of Kansas, Wichita Division] (LR-16355)

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**INVESTMENT COMPANY ACT RELEASES**

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**GREAT WEST LIFE & ANNUITY INSURANCE COMPANY, ET AL.**

An order has been issued pursuant to Section 26(b) of the Investment Company Act to Great-West Life & Annuity Insurance Company (GWL&A), FutureFunds Series Account of GWL&A, Maxim Series Account of GWL&A, and BenefitsCorp Equities, Inc. approving the substitution of shares of the Maxim INVESCO Balanced Portfolio of the Maxim Series Fund for shares of the Fidelity VIP II Asset Manager Portfolio of the Fidelity Variable Insurance Products Fund II; and the substitution of shares of Maxim Stock Index Portfolio of the Maxim Series Fund for shares of the American Century VP Capital Appreciation Portfolio of American Century Variable Portfolios, Inc. (Rel. IC-24133 - November 15)

**SEI INSURANCE PRODUCTS TRUST, ET AL.**

An order has been issued pursuant to Section 6(c) of the Investment Company Act exempting SEI Insurance Products Trust (Trust) and SEI Investments Management Corporation (SIMC) from the provisions of Sections 9(a), 13(a), 15(a) and 15(b) of the Act, and Rules 6e-2(b)(15) and 6e-3(T)(b)(15) thereunder, to permit shares of the Trust and shares of any other investment company or portfolio that is designed to fund insurance products and for which SIMC, or any of its affiliates, may serve in the future, as investment adviser, administrator, manager, principal underwriter, or sponsor (together with the Trust, Trusts) to be sold to and held by (i) separate accounts funding variable annuity and variable life insurance contracts issued by both affiliated and unaffiliated life insurance companies, (ii) qualified pension and retirement plans outside of the separate account context, (iii) separate accounts that are not registered as investment companies under the Act pursuant to exemptions from registration under Section 3(c) of the Act, and (iv) SIMC or any of its affiliates (representing seed money in any of the Trusts). (Rel. IC-24134 - November 15)

**PFL LIFE INSURANCE COMPANY, ET AL.**

A notice has been issued giving interested persons until December 8, 1999, to request a hearing on an application filed by PFL Life Insurance Company, PFL Endeavor VA Separate Account, PFL Endeavor Target Account, PFL Retirement Builder Variable Annuity Account, PFL Life Variable Annuity Account C, AUSA Life Insurance Company, AUSA Endeavor Variable Annuity Account, AUSA Endeavor Target Account, AFSG Securities Corporation, Western Reserve Life Assurance Co. Of Ohio, WRL Series Annuity Account, Peoples Benefit Life Insurance Company, Peoples Benefit Life Insurance Company Separate Account V, Transamerica Occidental Life Insurance Company, Separate Account VA-2L, Transamerica Life Insurance Company of New York, Separate Account VA-2LNY, Separate Account VA-6NY, Transamerica Life Insurance and Annuity Company, Separate Account VA-6, and Separate Account VA-7 (Applicants). Applicants seek an order under Section 6(c) of the Investment Company Act of granting exemptive relief from Sections 2(a)(32), 22(c) and 27(i)(2)(A) of the Act and Rule 22c-1 thereunder for themselves with respect to the support of variable annuity policies that are similar in all material respects to the

policies described in the application, issued both currently and in the future, for any other separate accounts of the Applicant companies or their affiliated insurance companies (that are controlling, controlled by, or under common control) that support in the future variable annuity policies that are similar in all material respects to the policies described in the application, and for certain National Association of Securities Dealers, Inc. member broker-dealers which may, in the future, act as principal underwriter of such policies, to the extent necessary to permit the deduction of a charge on certain redemptions under the optional Family Income Protector Rider. (Rel. IC-24135 - November 15)

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## SELF-REGULATORY ORGANIZATIONS

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### APPROVAL OF PROPOSED AMENDMENTS TO THE CONSOLIDATED TAPE ASSOCIATION PLAN AND THE RESTATED CONSOLIDATED QUOTATION PLAN

The Commission approved the Fifth Charges Amendment to the Second Restatement of the Consolidated Tape Association Plan and the Fourth Charges Amendment to the Restated Consolidate Quotation Plan (SR-CTA/CQ-99-02). The Amendments reduce several of the fees payable for access to Network B (Amex-listed) market information. Publication of the order in the Federal Register is expected during the week of November 15. (Rel. 34-42138)

### IMMEDIATE EFFECTIVENESS OF PROPOSED RULE CHANGE

A proposed rule change (SR-Amex-99-41) filed by the Amex relating to an increase in the maximum size of options orders eligible to be entered through the AOF into the AODB 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 November 15. (Rel. 34-42128)

### PROPOSED RULE CHANGE

The American Stock Exchange filed a proposed rule change (SR-Amex-99-26) to establish margin and net capital requirements for joint back office arrangements among Exchange members. Publication of the proposal is expected in the Federal Register during the week of November 15. (Rel. 34-42129)

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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>. In most cases, this information is also available on the Commission's website: <www.sec.gov>.

- F-3 EDWARDS A BANK, HUERFANOS 740, SANTIAGO CHILE, F3 (212) 657-7531 - 363,098,959 (\$32,678,816.31) WARRANTS, OPTIONS OR RIGHTS. (FILE 333-11102 - NOV. 08) (BR. 7)
- F-6 AKTIEBOLAGET SKF/ADR, 111 WALL ST 5TH FL, ADR DEPARTMENT, NEW YORK NY 10043, C3 (212) 208-7000 - 50,000,000 (\$2,500,000) DEPOSITARY RECEIPTS FOR COMMON STOCK. (FILE 333-11106 - NOV 08)
- F-3 EURO DISNEY S C A, IMMEUBLES ADMINISTRATIFS, ROUTE NATIONAL 34, CHESSY 77144 MONTEVRAIN FRANCE, IO (212) 664-1666 - 21,037,456 (\$17,461,088 48) FOREIGN COMMON STOCK. (FILE 333-11108 - NOV 09) (BR 5)
- F-6 PEREZ COMPANC SA /ADR, 60 WALL ST, C/O MORGAN GUARANTY TRUST CO OF NY, NEW YORK, NY 10260 (212) 648-3250 - 100,000,000 (\$5,000,000) DEPOSITARY RECEIPTS FOR COMMON STOCK (FILE 333-11112 - NOV 10) (BR 99,
- S-8 SMITHKLINE BEECHAM PLC, ONE NEW HORIZONS COURT, BRENTFORD MIDDLESEX, TW8 9EP ENGLAND, X0 - 2,100,000 (\$142,143,750) FOREIGN COMMON STOCK (FILE 333-11114 - NOV 09) (BR. 1)
- S-8 STAPLES INC, 500 STAPLES DRIVE, P O BOX 9328, FRAMINGHAM, MA 01702 (508) -25-3-50 - 2,400,000 (\$3,900,000) COMMON STOCK. (FILE 333-90671 - NOV. 10) (BR. 2)
- S-8 STAPLES INC, 500 STAPLES DRIVE, P O BOX 9328, FRAMINGHAM, MA 01702 (508) -25-3-50 - 40,000,000 (\$65,000,000) COMMON STOCK (FILE 333-90673 - NOV. 10) (BR 2)
- S-8 STAPLES INC, 500 STAPLES DRIVE, P O BOX 9328, FRAMINGHAM, MA 01702 (508) -25-3-50 - 1,000,000 (\$1,625,000) COMMON STOCK (FILE 333-90675 - NOV 10) (BR. 2)
- S-1 GOLDMAN SACHS GROUP INC, 85 BROAD ST, NEW YORK, NY 10004 (212) 902-1000 - \$500,000,000 COMMON STOCK. (FILE 333-90677 - NOV 10) (BR 7)
- S-8 ALLOY ONLINE INC, 115 WEST 30TH STREET #304, NEW YORK, NY 10001 (212) 244-4307 - 4,137,516 (\$56,658,168 16) COMMON STOCK (FILE 333-90681 - NOV 10) (BR. 2)
- S-11 INVESTORS REAL ESTATE TRUST, 12 S MAIN, MINOT, ND 58701 (701) 837-4738 - 1,000,000 (\$8,400,000) COMMON SHARES OF BENEFICIAL INTEREST. (FILE 333-90691 - NOV. 10) (BR. 8)
- S-3 CTS CORP, 905 W BLVD N, ELKHART, IN 46514 (219) 293-7511 (FILE 333-90697 - NOV. 10) (BR. 5)
- S-8 DATATRAK INTERNATIONAL INC, 20600 CHAGRIN BLVD, STE 1050, CLEVELAND, OH 44122 (216) 921-6505 - 150,000 (\$562,500) COMMON STOCK. (FILE 333-90699 - NOV. 10) (BR. 1)
- S-4 GLACIER BANCORP INC, PO BOX 27, 49 COMMONS LOOP, KALISPELL, MT 59901 (406) 756-4200 - 979,980 (\$7,648,822) COMMON STOCK (FILE 333-90701 - NOV 10) (BR. 7)
- S-8 COMMODORE APPLIED TECHNOLOGIES INC, 150 EAST 58TH STE 3400, NEW YORK, NY 10155 (212) 308-5800 - 1,000,000 (\$937,500) COMMON STOCK (FILE 333-90703 - NOV 10) (BR 6)

S-8 MILACRON INC, 2090 FLORENCE AVENUE, PO BOX 63716, CINCINNATI, OH 45206  
(51) 3) -487- - 1,748,000 (\$26,110,750) COMMON STOCK. (FILE 333-90705 -  
NOV. 10) (BR. 5)

S-8 ABGENIX INC, 7601 DUMBARTON CIRCLE, FREMONT, CA 94555 (510) 608-6500 -  
1,400,000 (\$64,312,500) COMMON STOCK. (FILE 333-90707 - NOV. 10) (BR. 1)

S-4 REPUBLIC TECHNOLOGIES INTERNATIONAL LLC, 3770 EMBASSY PARKWAY, AKRON, OH  
44333 (330) 670-3000 - 425,000,000 (\$425,000,000) STRAIGHT BONDS. (FILE  
333-90709 - NOV. 10) (NEW ISSUE)

S-3 CINCINNATI BELL INC /OH/, 201 E FOURTH ST 102 732, CINCINNATI, OH 45202  
(513) 397-9900 - 400,000,000 (\$400,000,000)  
CONVERTIBLE DEBENTURES AND NOTES. (FILE 333-90711 - NOV. 10) (BR. 7)

S-1 PCORDER COM INC, 5001 PLAZA ON THE LAKE, AUSTIN, TX 78746 (512) 684-1100  
- 2,875,000 (\$166,203,750) COMMON STOCK (FILE 333-90713 - NOV 10)  
(BR. 2)

S-8 BOC FINANCIAL CORP, 107 SOUTH CENTRAL AVE, LANDIE, NC 28088  
(704) 857-7277 - 37,029 (\$356,219) COMMON STOCK (FILE 333-90715 -  
NOV. 10) (BR. 7)

S-1 FLIR SYSTEMS INC, 16505 SW 72ND AVE, PORTLAND, OR 97224 (503) 684-3731  
- 2,107,552 (\$31,086,392) COMMON STOCK (FILE 333-90717 - NOV. 10)  
(BR. 5)

S-8 FIRST DATA CORP, 5660 NEW NORTHSIDE DRIVE SUITE 1400, ATLANTA, GA 30328  
(770) 857-0001 - 30,000,000 (\$30,000,000)  
OTHER SECURITIES INCLUDING VOTING TRUST (FILE 333-90719 - NOV. 10)  
(BR. 3)

S-8 AUSTIN FUNDING COM CORP, 823 CONGRESS AVENUE SUITE 515, AUSTIN, TX 78701  
(512) 481-8000 - 2,000,000 (\$2,000,000) COMMON STOCK (FILE 333-90721 -  
NOV 10) (BR. 9)

S-3 BENCHMARK ELECTRONICS INC, 3000 TECHNOLOGY DRIVE, ANGLETON, TX 77515  
(409) 849-6550 - 80,200,000 (\$80,200,000) CONVERTIBLE DEBENTURES AND NOTES  
(FILE 333-90723 - NOV 12) (BR. 5)

S-8 CYBERSOURCE CORP, 550 SOUTH WINCHESTER BLVD, SUITE 301, SAN JOSE, CA  
95128 (408) 556-9100 - 4,371,753 (\$93,472,377 73) COMMON STOCK. (FILE  
333-90725 - NOV 12) (BR. 3)

S-4 CHEMDEX CORP, 3950 FABIAN WAY, # 105, PALO ALTO, CA 94304 (650) 813-0300  
- 12,057,366 (\$758) COMMON STOCK. (FILE 333-90727 - NOV. 10) (BR. 2)

S-3 MEDCARE TECHNOLOGIES INC, 1515 WEST 22ND STREET, STE 101, OAK BROOK, IL  
60523 (800) 611-3388 - 4,679,562 (\$7,019,343) COMMON STOCK (FILE  
333-90729 - NOV. 12) (BR. 1)

S-2 RADYNE COMSTREAM INC, 3138 EAST ELWOOD STREET, PHOENIX, AZ 85034  
(602) 437-9620 - 3,600,000 (\$17,287,500) COMMON STOCK. 150,000 (\$100)  
WARRANTS, OPTIONS OR RIGHTS (FILE 333-90731 - NOV 12) (BR. 7)

S-1 INTERSIL CORP, 2401 PALM BAY ROAD NORTHEAST, PALM BAY, FL 32905  
(407) 724-7000 - 200,000 (\$10,000) WARRANTS, OPTIONS OR RIGHTS. 5,555,560  
(\$5,555.56) COMMON STOCK (FILE 333-90733 - NOV. 12) (NEW ISSUE)

S-3 CNET INC /DE, 150 CHESTNUT ST, SAN FRANCISCO, CA 94111 (415) 395-7800 -  
79,015 (\$3,659,382) COMMON STOCK (FILE 333-90739 - NOV. 12) (BR 5)

S-4 INTERSIL CORP, 2401 PALM BAY ROAD NORTHEAST, PALM BAY, FL 32905  
(407) 724-7000 - 200,000,000 (\$200,000,000) STRAIGHT BONDS (FILE  
333-90741 - NOV. 12)

S-8 DEFINITION LTD, 4625 WEST DRIVE, SUITE 2, LAS VEGAS, NV 89103  
(702) 257-2367 - 976,250 (\$488,125) COMMON STOCK (FILE 333-90743 -  
NOV. 12) (BR. 5)

S-3 SPARTECH CORP, 120 SOUTH CENTRAL AVENUE, SUITE 1700, CLAYTON, MO 63105  
 (314) 721-4242 - 165,000 (\$4,294,950) COMMON STOCK (FILE 333-90745 -  
 NOV. 12) (BR. 6)

S-3 CENTURY BUSINESS SERVICES INC, 6480 ROCKSIDE WOODS BLVD SOUTH,  
 SUITE 330, CLEVELAND, OH 44131 (216) 447-9000 - 4,818,626 (\$47,282,767 63)  
 COMMON STOCK. (FILE 333-90749 - NOV. 12) (BR. 8)

## RECENT 8K FILINGS

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			
AAMES CAPITAL CORP	CA					X	X					11/12/99	
AAMES CAPITAL CORP	CA					X	X					11/12/99	
AAROW ENVIRONMENTAL GROUP INC	NV						X					11/16/99	AMEND
ABBOTT LABORATORIES	IL					X	X					11/11/99	
ACC RUE SOFTWARE INC	DE		X				X					09/30/99	AMEND
ACE SECURITIES CORP HOME LOAN TRUST 1999-A	DE					X	X					10/20/99	
ADRENALIN INTERACTIVE INC	DE					X	X					11/11/99	
ADVANCED FINANCIAL INC	DE		X				X					11/15/99	
ADVANTA AUTOMOBILE RECEIVABLES TRUS T 1997-1	NV						X					11/15/99	
ADVANTA BUSINESS SERVICES CORP	DE					X	X					11/10/99	
ADVANTA BUSINESS SERVICES CORP	DE					X	X					11/10/99	
ADVANTA LEASING RECEIVABLES CORP IV	NV					X	X					11/10/99	
ADVANTA LEASING RECEIVABLES CORP IX	NV					X	X					11/10/99	
ADVANTA LEASING RECEIVABLES CORP V	NV					X	X					11/10/99	
ADVANTA LEASING RECEIVABLES CORP VI II	NV					X	X					11/10/99	
ADVOCAT INC	DE					X						11/15/99	
AGRIBIOTECH INC	NV					X						11/10/99	
AK STEEL HOLDING CORP	DE					X	X					11/16/99	
ALTEON INC /DE	DE					X						11/08/99	
ALTEON INC /DE	DE					X						11/11/99	
AMB PROPERTY CORP	MD					X	X					11/12/99	AMEND
AMBIENT CORP /NY	DE					X						11/15/99	
AMERICAN EXPRESS CENTURION BANK	UT					X	X					11/15/99	
AMERICAN EXPRESS RECEIVABLES FINANC ING CORP	DE					X	X					11/15/99	
AMERICAN EXPRESS RECEIVABLES FINANC	DE					X	X					11/15/99	

NAME OF ISSUER	STATE CODE	BK ITEM NO.								DATE	COMMENT
		1	2	3	4	5	6	7	8		
ING CORP II											
AMERICAN PAD & PAPER CO	DE				X					11/15/99	
AMERICAN SOUTHWEST FINANCIAL SECURI TIES CORP	AZ	X								10/25/99	
AMERICAN SPORTS HISTORY INC	NV			X						06/14/99	
AMERICAN TOWER CORP /MA/	DE					X				09/30/99	
AMERICAN XTAL TECHNOLOGY	DE				X	X				05/28/99	AMEND
ANALOGY INC	OR				X	X				11/15/99	
ANKER COAL GROUP INC	DE				X	X				11/16/99	
ARCADIA FINANCIAL LTD	DE				X	X				11/12/99	
ASA INTERNATIONAL LTD	DE		X				X			11/16/99	
ASSET SECURITIZATION CORP COMM MORT PASS THR CERT SER 1999-1	DE	X								11/15/99	
ASSOCIATES FIRST CAPITAL CORP	DE				X	X				11/15/99	
AVIATION SALES CO	DE				X	X				11/02/99	
AVISTA CORP	WA				X	X				11/15/99	
AZTEC MANUFACTURING CO	TX					X				08/31/99	AMEND
BAKER MICHAEL CORP	PA		X							09/01/99	AMEND
BAKER MICHAEL CORP	PA			X	X					11/16/99	
BANC ONE CREDIT CARD MASTER TRUST	NY			X	X					11/15/99	
BANK OF AMERICA MORT SECS INC MORT PAS THRU CERT SER 1999-8	DE				X	X				07/27/99	
BANK OF AMERICA MORTGAGE SECURITIES INC	DE				X	X				11/16/99	
BARPOINT COM INC	DE		X			X				11/05/99	
BOYD GAMING CORP	NV		X			X				11/16/99	
BRIGHTSTAR INFORMATION TECHNOLOGY G ROUP INC	DE				X					11/08/99	
CACI INTERNATIONAL INC /DE/	DE		X			X				11/15/99	
CACI INTERNATIONAL INC /DE/	DE		X			X				11/16/99	
CAGLES INC	GA		X							11/10/99	AMEND
CALDERA CORP /FL/					X	X				11/15/99	
CANADIAN DERIVATIVES CLEARING CORP					X	X				05/22/99	
CARLETON CORP	MN				X	X				11/08/99	
CAPCLINA FIRST BANCSHARES INC	NC				X	X				11/09/99	AMEND
CARRAMERICA REALTY CORP	MD				X	X				11/15/99	
CASE CORP	DE				X	X				11/12/99	
CASE CORP	DE				X	X				11/12/99	
CASE CREDIT CORP	DE				X	X				11/12/99	
CASE CREDIT CORP	DE				X	X				11/15/99	
CATHERINES STORES CORP	TN				X					11/15/99	
CC MASTER CREDIT CARD TRUST	MD					X				11/15/99	
CC MASTER CREDIT CARD TRUST II	MD					X				11/15/99	
CHANCELLOR CORP	MA		X			X				11/15/99	
CHAPARRAL RESOURCES INC	CO				X	X				10/25/99	
CHASE COMMERCIAL MORTGAGE SECURITIE S CORP	NY				X	X				11/16/99	
CHIEFTAIN INTERNATIONAL INC	AO				X	X				11/10/99	
CIRCUIT CITY CREDIT CARD MASTER TRU ST	DE				X	X				11/15/99	
CLAIMSNET COM INC	DE				X					11/15/99	
CLARION TECHNOLOGIES INC/DE/	DE					X				08/28/99	AMEND
COCA COLA ENTERPRISES INC	DE				X	X				11/12/99	
COLORADO CASINO RESORTS INC	TX			X						11/01/99	
COMMERCIAL MORTGAGE ACCEPTANCE CORP	MO				X					11/12/99	
COMMERCIAL MORTGAGE PASS THROUGH CE RT SERIES 1999-2	NY				X	X				11/16/99	
COMMODORE APPLIED TECHNOLOGIES INC	DE				X	X				10/31/99	
COMMODORE SEPARATION TECHNOLOGIES I NC	DE				X	X				10/31/99	

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		1	2	3	4	5	6	7	8	9			
COMPUTER SCIENCES CORP	NV					X						11/16/99	
CONSECO FINANCE SECURITIZATIONS CORP	DE									X		11/12/99	
CONSOLIDATED CAPITAL INSTITUTIONAL PROPERTIES 2	CA					X						09/22/99	AMEND
CONSOLIDATED GRAPHICS INC /TX/	TX					X	X					11/10/99	
COSTAR GROUP INC	DE					X	X					11/03/99	
CRONOS GROUP	N4					X						11/15/99	
CTC COMMUNICATIONS GROUP INC	DE					X						11/15/99	
CTN MEDIA GROUP INC	DE						X					09/15/99	AMEND
CUMULUS MEDIA INC	IL					X	X					09/23/99	AMEND
CVS CORP	DE						X					11/15/99	
CWBS INC	DE					X	X					08/30/99	
CYBERFAST SYSTEMS INC	FL					X	X					09/30/99	
DCI TELECOMMUNICATIONS INC	CO					X						11/15/99	
DELTA OMEGA TECHNOLOGIES INC	CO					X	X					11/08/99	
DESA HOLDINGS CORP	DE					X	X					11/10/99	
DEUTSCHE MORTGAGE & ASSET RECEIVING CORP	DE	X										11/15/99	
DISCOVER CARD MASTER TRUST I	DE					X	X					11/15/99	
DISCOVER CARD TRUST 1993-B	DE					X	X					11/15/99	
DITECH FUNDING CORP HOME LOAN OWNER TRUST 1997-1	DE					X	X					07/15/98	
DOW CHEMICAL CO /DE/	DE	X										11/15/99	
DUKE WEEKS REALTY LIMITED PARTNERSHIP	IN						X					11/10/99	
EASTERN AIR LINES INC	DE		X									03/31/99	
ECONNECT	MO	X										05/06/99	
ECONNECT	MO	X										08/10/99	AMEND
ECONNECT	MO	X										08/31/99	
ELECTRONICS BOUTIQUE HOLDINGS CORP	DE					X	X					11/15/99	
EMAGISOFT TECHNOLOGIES INC	FL	X	X	X	X	X	X					10/29/99	
ENNIS BUSINESS FORMS INC	TX					X	X					11/04/99	
EXCEL LEGACY CORP	DE	X					X					10/29/99	
EXIGENT INTERNATIONAL INC	DE	X										11/15/99	
FINGERHUT MASTER TRUST	DE						X					11/15/99	
FINGERHUT RECEIVABLES INC	DE						X					11/15/99	
FIRST CHICAGO MASTER TRUST II	DE					X	X					11/15/99	
FIRST NBC CREDIT CARD MASTER TRUST							X					11/09/99	
FIRST NILES FINANCIAL INC						X	X					11/15/99	
FIRST UNION DIRECT BANK N A						X	X					11/15/99	
FIRST UNION MASTER CREDIT CARD TRUST						X	X					11/15/99	
FIRST USA BANK NATIONAL ASSOCIATION						X	X					11/15/99	
FIRST USA CREDIT CARD MASTER TRUST	DE					X	X					11/10/99	
FLORIDA PUBLIC UTILITIES CO	FL					X						11/16/99	
FNANB CREDIT CARD MASTER TRUST						X	X					11/15/99	
FNB FINANCIAL SERVICES CORP	NC						X					08/31/99	AMEND
FONIX CORP	DE						X					09/01/99	AMEND
GELTEX PHARMACEUTICALS INC	DE					X	X					11/15/99	
GENUINE PARTS CO	GA					X	X					11/15/99	
GMAC COMMERCIAL MORTGAGE SECURITIES INC	DE	X										10/15/99	
GRACE DEVELOPMENT INC	CO	X	X				X					09/28/99	AMEND
GRAND CENTRAL SILVER MINES INC	UT					X						11/09/99	
HEALTH RISK MANAGEMENT INC /MN/	MN							X				11/04/99	
HERSHA HOSPITALITY TRUST	MD	X					X					09/01/99	AMEND
HMI INDUSTRIES INC	DE					X	X					11/11/99	
HOME EQUITY LOAN ASSET BACKED TRUST SERIES SPMD 1998 A	DE					X	X					03/30/99	
HOMESTORE COM INC	DE	X					X					10/31/99	

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		1	2	3	4	5	6	7	8	9		
ICHOR CORP	DE				X	X					11/15/99	AMEND
IEXALT INC	NV	X	X			X					09/01/99	AMEND
ILLINOIS SUPERCONDUCTOR CORPORATION	DE	X				X					11/05/99	
ILLINOIS TOOL WORKS INC	DE				X	X					11/11/99	
IMAGEX COM INC	WA					X					09/21/99	AMEND
IMAX CORP	A6					X					09/17/99	AMEND
IMPERIAL CREDIT COMMERCIAL MORTGAGE ACCEPTANCE CORP	CA	X									10/25/99	
IMRGLOBAL CORP	FL				X						11/15/99	
INDEPENDENT BANK CORP /MI/	MI	X				X					09/15/99	AMEND
INDIANA UNITED BANCORP	IN				X	X					11/05/99	
INSO CORP	DE	X				X					10/29/99	
INTEGRATED PACKAGING ASSEMBLY CORP	DE	::				X					10/29/99	
INTERNATIONAL AMERICAN HOMES INC	DE				X	X					11/16/99	
INTERSTATE HOTELS CORP	MD	X				X					11/01/99	
IT STAFFING LTD	A6	X				X					11/15/99	
J BIRD MUSIC GROUP LTD	PA				X						10/28/99	
JAWS TECHNOLOGIES INC /NY	NV	X				X					11/03/99	
JAWS TECHNOLOGIES INC /NY	NV	X				X					11/04/99	
JCP RECEIVABLES INC	DE					X					11/15/99	
KINDER MORGAN INC	KS	X			X	X					10/07/99	
L P R CYBERTEK INC	CO					X					07/30/99	AMEND
LADY LUCK GAMING CORP	DE	X				X					10/29/99	
LAM RESEARCH CORP	DE				X	X					11/16/99	
LCA VISION INC	DE	X									11/15/99	
LEHMAN BROTHERS HOLDINGS INC	DE					X					11/10/99	
LEVCOR INTERNATIONAL INC	DE	X				X					09/02/99	AMEND
LYONDELL CHEMICAL CO	DE				X	X					11/16/99	
MARKEL CORP	VA	X				X					01/15/99	AMEND
MASTER FINANCIAL ASSET SECURITIZATI ON TRUST 1998-2	DE				X	X					06/22/99	
MEADE INSTRUMENTS CORP	DE					X					11/15/99	AMEND
MECHANICAL TECHNOLOGY INC	NY	X									11/16/99	
MEDIACOM CAPITAL CORP	NY	X				X					11/05/99	
MEDIACOM LLC	NY	X				X					11/05/99	
MELLON BANK PREMIUM FINANCE LOAN MA STER TRUST	NY				X	X					11/08/99	
MENTOR GRAPHICS CORP	OR	X				X					10/31/99	
MERIT SECURITIES CORP	VA				X						11/10/99	
METRIS MASTER TRUST	DE					X					11/16/99	
METRIS RECEIVABLES INC	DE					X					11/16/99	
METRO ONE TELECOMMUNICATIONS INC	OR				X	X					11/15/99	
MK GOLD CO	DE	X				X					09/01/99	AMEND
MORGAN STANLEY CAPITAL I INC DEPOSI TOR FOR SER 1999-LIFE1	DE	X									11/15/99	
MORGAN STANLEY CAPITAL I INC DEPOSI TOR FOR SERIES 1999-RM1	DE	X									11/15/99	
MORGAN STANLEY CAPITAL I INC MORT P ASS THR CERT SER 1998-HF1	DE	X									11/15/99	
MORROW SNOWBOARDS INC	OR	X			X						11/05/99	
MORTGAGE CAPITAL FUNDING INC	DE	X									11/18/99	
MOTOR COACH INDUSTRIES INTERNATIONAL L INC	DE				X	X					11/08/99	
MPATH INTERACTIVE INC/CA	DE					X					10/20/99	AMEND
NATIONAL CITY BANCORPORATION	IA				X						11/15/99	
NATIONAL CITY CORP	DE				X	X					11/16/99	
NATIONAL HOME HEALTH CARE CORP	DE	X									11/01/99	
NATIONAL HOME HEALTH CARE CORP	DE	X									11/01/99	
NATIONAL INFORMATION CONSORTIUM	CO					X					09/15/99	AMEND
NATIONSLINK FUNDING CORP	DE				X	X					11/15/99	

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		1	2	3	4	5	6	7	8	9			
NATIONSLINK FUNDING CORP COMM MORT PASS THR CER SER 1999 SL	DE	X										11/10/99	
NDC AUTOMATION INC	DE								X			11/15/99	
NOMURA ASSET SECURITIES CORP SERIES 1998-D6	DE	X										10/12/99	
NORTHERN STAR FINANCIAL INC	MN			X	X							11/15/99	
NORTHSTAR HEALTH SERVICES INC	DE			X	X							11/12/99	
NORTHWEST NATURAL GAS CO	OR			X								11/12/99	
NRG ENERGY INC	DE			X	X							11/08/99	
ONSITE ENERGY CORP	DE	X				X						11/12/99	
OPHTHALMIC IMAGING SYSTEMS INC	CA			X								11/15/99	
PAINWEBBER MORT ACCEPT CORP IV DIT ECH HOME LOAN OWNR 1998-1	DE			X	X							07/15/98	
PAIRGAIN TECHNOLOGIES INC /CA/	DE			X	X							11/08/99	
PARKERVISION INC	FL			X	X							01/12/99	
PDS FINANCIAL CORP	MN			X	X							11/08/99	
PEDIATRIC SERVICES OF AMERICA INC	DE	X		X	X							11/01/99	
PEOPLES BANK CREDIT CARD MASTER TRU ST	CT	X										10/31/99	AMEND
PFIZER INC	DE			X	X							11/16/99	
PFSB BANCORP INC	MO			X	X							11/12/99	
PHOENIX RESOJRCES TECHNOLOGIES INC	CO	X		X	X							11/12/99	
PINNACLE HOLDINGS INC	DE					X						08/31/99	AMEND
PLUG POWER INC	DE			X								11/08/99	
POINT WEST CAPITAL CORP	DE			X								11/12/99	
POPMAIL COM INC	MN					X						09/16/99	AMEND
PRESLEY COMPANIES/NEW	DE	X		X	X							11/15/99	
PRICE ENTERPRISES INC	MD	X			X							11/05/99	
PRODUCTION RESOURCE GROUP LLC	DE					X						09/01/99	AMEND
PROGRESSIVE TELECOMMUNICATIONS CORP	NV	X										11/12/99	AMEND
PROTECTION ONE ALARM MONITORING INC	DE			X	X							11/16/99	
PROTECTION ONE INC	DE			X	X							11/16/99	
PROVIDENCE ENERGY CORP	RI			X	X							11/15/99	
PRUTECH RESEARCH & DEVELOPMENT PART NERSHIP III	CA			X	X							11/12/99	
PS GROUP HOLDINGS INC	DE			X	X							11/12/99	
QUANTA SERVICES INC	DE			X	X							11/15/99	
RAMTRON INTERNATIONAL CORP	DE			X								11/09/99	
RAZORFISH INC	DE	X			X							11/02/99	
RED HAT INC	DE			X	X							11/15/99	
RED ROOF INNS INC	DE					X						11/16/99	
REDOX TECHNOLOGY CORP	DE			X	X							11/09/99	
REGENT COMMUNICATIONS INC	DE	X			X							09/03/99	AMEND
RENTECH INC /CO/	CO			X								08/28/98	
RESIDENTIAL ASSET SECURITIES CORP	DE			X	X							11/16/99	
RESIDENTIAL FUNDING MORTGAGE SECURI TIES II INC	DE			X	X							11/16/99	
RMI NET INC	DE			X	X							08/30/99	AMEND
SAFEGUARD HEALTH ENTERPRISES INC	DE			X								11/16/99	
SAKS CREDIT CARD MASTER TRUST	NV			X	X							11/15/99	
SAXON ASSET SECURITIES CO	VA			X								11/12/99	
SFAC NEW HOLDINGS INC	DE			X	X							11/15/99	
SFC NEW HOLDINGS INC	DE			X	X							11/15/99	
SHILOH INDUSTRIES INC	DE	X			X							11/01/99	
SIMON PROPERTY GROUP INC /DE/	DE			X	X							11/15/99	
SITE TECHNOLOGIES INC	CA			X								10/20/99	
SOVEREIGN BANCORP INC	PA			X	X							11/10/99	

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STANFORD TELECOMMUNICATIONS INC	DE				X	X					11/10/99	
STERLING COMMERCE INC	DE				X	X					11/15/99	
STRUCTURED ASSET MORTGAGE INVESTMEN TS INC	DE				X						10/25/99	
STUDENT ADVANTAGE INC	DE					X					10/07/99	AMEND
SVI HOLDINGS INC	NV					X					06/03/99	AMEND
TELLABS INC	DE				X						11/16/99	
TEXOIL INC /NV/	NV	X				X					11/01/99	
TEXOIL INC /NV/	NV				X	X					11/08/99	AMEND
TOPS APPLIANCE CITY INC	NJ	X									10/29/99	
TRICON GLOBAL RESTAURANTS INC	NC		X								11/15/99	
UACSC AUTO TRUSTS UACSC 1999-D OWNE R TRUST AUTO REC BAC NOTE	DE				X	X					11/12/99	
UNION CARBIDE CORP /NEW/	NY				X						11/15/99	
UNION FINANCIAL BANCSHARES INC	DE	X				X					11/12/99	
UNIVERSAL MONEY CENTERS INC	MO	X				X					10/31/99	
US AIRWAYS GROUP INC	DE				X	X					11/15/99	
US AIRWAYS INC	DE				X	X					11/15/99	
USA SERVICE SYSTEMS INC	CO					X					08/31/99	AMEND
USA TRUCK INC	DE	X				X					11/01/99	
USAA FEDERAL SAVINGS BANK		X									10/31/99	
USAA FEDERAL SAVINGS BANK		X									10/31/99	
USDATA CORP	DE				X	X					11/11/99	
VALLEN CORP	TX	X				X					11/14/99	
VERTEX COMMUNICATIONS CORP /TX/	TX				X	X					11/11/99	
VINTAGE PETROLEUM INC	DE				X	X					11/16/99	
VIRTUAL COMMUNITIES INC/DE/	DE	X		X	X	X					10/29/99	AMEND
VISTA GOLD CORP					X	X					11/12/99	
WARNER LAMBERT CO	DE				X	X					11/16/99	
WARREN S D CO /PA/	PA				X	X					11/03/99	
WASHINGTON MUTUAL INC	WA					X					11/08/99	
WASTE CONNECTIONS INC/DE	DE				X						11/15/99	
WESTERN RESOURCES INC /KS	KS				X	X					11/15/99	
WESTMORELAND COAL CO	DE				X						11/15/99	
WILSHIRE FINANCIAL SERVICES GROUP I NC	DE				X	X					11/15/99	
WILSHIRE REAL ESTATE INVESTMENT TRU ST INC	MD			X		X					11/15/99	
WORLD CALLNET INC	DE	X				X					11/16/99	AMEND
WORLD FINANCIAL NETWORK NATIONAL BA NK	OH				X	X					11/15/99	
XTRA CORP /DE/	DE				X						11/15/99	
ZIEGLER COMPANIES INC	WI	X									10/29/99	
4FRONT TECHNOLOGIES INC	CO	X				X					11/02/99	