

C.2

# SEC NEWS DIGEST

Issue 2000-238

December 13, 2000

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## COMMISSION ANNOUNCEMENTS

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### CHANGE IN THE MEETING: TIME CHANGE

The time of the closed meeting scheduled for Thursday, December 14, at 11:00 a.m., was changed to 11:30 a.m.

At times, changes in Commission priorities require alterations in the scheduling of meeting items. For further information and to ascertain what, if any, matters have been added, deleted or postponed, please contact: The Office of the Secretary at (202) 942-7070.

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## ENFORCEMENT PROCEEDINGS

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### COMMISSION BARS JEFFREY HONIGMAN FROM ASSOCIATION WITH BROKER OR DEALER

On December 12, the Commission issued an Order Instituting Proceedings, Making Findings and Imposing Remedial Sanctions Pursuant to Sections 15(b) and 19(h) of the Securities Exchange Act of 1934 against Jeffrey S. Honigman (Honigman), a former principal of Duke & Company, Inc. (Duke), a broker-dealer. Without admitting or denying the Commission's findings, Honigman consented to the Order, which bars him from association with any broker or dealer.

The Order barring Honigman from association with a broker or dealer was based on the entry of an injunction against him. In the injunctive action, the Commission alleged, among other things, that Bennett orchestrated a massive market manipulation designed to increase the price of Paravant Computer Systems, Inc. (Paravant) securities, which Duke had taken public, from approximately June 3, 1996 through June 21, 1996. Honigman consented to a final judgment that permanently enjoins him from violating Section 17(a) of the Securities Act of 1933, Section 10(b) of the Exchange Act of 1934 (Exchange Act), and Rule 10b-5 thereunder, and Rules 101 and 102 of Regulation M. The final judgment also permanently enjoins Honigman from aiding and abetting any

future violations of Sections 10(b) and 15(c) of the Exchange Act and Rules 10b-3 and 15c1-2 thereunder. (Rel. 34-43708; File No. 3-10381)

## **SEC CHARGES FIVE REPRESENTATIVES OF NATIONWIDE SECURITIES CORPORATION IN STOCK MANIPULATIVE AND SALES PRACTICES**

On December 12, the Commission filed a complaint in the United States District Court for the Southern District of New York charging five representatives of Nationwide Securities Corporation (Nationwide) with perpetrating a fraud on their customers. The complaint alleges that the defendants employed fraudulent sales practices to induce Nationwide customers to invest in the 1996 initial public offering (IPO) of Thermo-Mizer Environmental Corp. (Thermo-Mizer). The complaint further alleges that the defendants artificially inflated the price of, and demand for, Thermo-Mizer stock and warrants in aftermarket trading so that the defendants could sell their own undisclosed holdings of Thermo-Mizer securities at inflated prices.

Named in the complaint are: **Marco G. Fiore, Jr.** (Fiore), a 34 year old resident of Morganville, New Jersey, and a registered representative and control person of Nationwide from at least September 1995 to April 1996.

**Benjamin V. Salmonese, Jr.** (Salmonese), a 32 year old resident of New York, New York, and a registered representative and control person of Nationwide from at least October 1995 through April 1996.

**Thomas DeCeglie** (DeCeglie), a 39 year old resident of Old Bridge, New Jersey, and a registered representative at Nationwide from at least October 1995 through June 1996.

**David C. Lavender** (Lavender), a 31 year old resident of New York, New York, and a former registered representative at Nationwide from at least January 1996 through April 1996.

**Peter C. Restivo** (Restivo), a 29 year old resident of Valley Stream, New York, and a registered representative at Nationwide from at least November 1995 through April 1996.

The complaint alleges that between approximately January 1996 and approximately March 1996, DeCeglie, Lavender, and Restivo, at the direction of Fiore and Salmonese: (i) made baseless and inflated projections about the price that Thermo-Mizer stock would command in the aftermarket; (ii) baselessly promised customers that Nationwide would purchase their Thermo-Mizer shares after the IPO if the price of those shares did not significantly increase; (iii) offered and sold Thermo-Mizer securities to Nationwide customers prior to the effective date of Thermo-Mizer's IPO; (iv) solicited customer purchases of Thermo-Mizer securities in the aftermarket prior to the commencement of Thermo-Mizer's IPO – almost always requiring customers who

wanted IPO securities to agree to buy an equal number of aftermarket securities at a higher price; (v) executed unauthorized purchases of Thermo-Mizer securities in customer accounts; (vi) refused or otherwise failed to execute customer orders to sell Thermo-Mizer securities during aftermarket trading; and (vii) executed customer sell orders for Thermo-Mizer securities in the aftermarket only if the sale could be paired with a purchase of Thermo-Mizer securities by another customer.

While engaging in this conduct, Fiore, Salmonese, DeCeglie, Lavender, and Restivo retained undisclosed control over substantial positions in Thermo-Mizer securities by placing those securities in the names of nominees subject to arrangements that gave them control over the sale of the securities and all or a portion of the proceeds. Fiore and Salmonese directed and approved of the scheme, which resulted in substantial inflation in the value of Thermo-Mizer stock and warrants, and which yielded at least \$720,000 in aggregate illegal profits for the defendants.

The Commission alleges that: (i) Fiore and Salmonese, both directly and, pursuant to Section 20(a) of the Securities Exchange Act of 1934 (Exchange Act), as controlling persons, violated Sections 5 and 17(a) of the Securities Act of 1933 (Securities Act), and Section 10(b) of the Exchange Act and Rules 10b-5 and 10b-6 and (ii) DeCeglie, Lavender, and Restivo violated Sections 5 and 17(a) of the Securities Act, and Section 10(b) of the Exchange Act and Rules 10b-5 and 10b-6. The Commission seeks permanent injunctive relief, disgorgement of ill-gotten gains, prejudgment interest, an accounting, and civil penalties against each defendant.

The Commission acknowledges the assistance of the U.S. Attorney's Office for the Southern District of New York and the FBI in this matter. The litigation is pending as to all defendants. [SEC v. Marco G. Fiore, Jr., Benjamin V. Salmonese, Jr., Thomas DeCeglie, David C. Lavender, and Peter C. Restivo, 00-Civ.9422, JGK, SDNY] (LR-16823)

## **WILLIAM DUKE ENJOINED**

The Commission announced today that the United States District Court for the District of Massachusetts entered a Final Judgment of Permanent Injunction against William Duke (Duke), a defendant in a fraudulent offering case. Duke consented to the Injunction without admitting or denying the Commission's allegations. Duke was enjoined from future violations of the antifraud provisions of the federal securities laws. The Court ordered Duke to disgorge \$100,726 representing money and property he received from his alleged conduct. The disgorgement was partially waived, based on Duke's demonstrated inability to pay. Duke was required to relinquish ownership of a 22 foot Bayliner power boat and to disgorge all funds held in bank accounts under his control and previously frozen by the Court. The Court's Judgment did not assess any civil monetary penalties based on Duke's financial condition.

The Commission's complaint alleged that Duke collected and processed funds from investors for purported investments in International Certificates of Deposit (ICDS) issued by Royal Meridian International Bank (RMIB), a non-existent bank. Duke also allegedly issued account statements to RMIB investors falsely indicating a 12% and/or 18% annual return and provided false information to sales agents and others concerning RMIB's operations and the sale of RMIB ICDs. [SEC v. Michael D. Richmond, et al., Civil Action No. 98CV11378-NG, D. MA] (LR-16824)

#### **FOUR FOUND LIABLE IN JURY TRIAL AND SEVEN SETTLE PRIOR TO TRIAL IN IBM/LOTUS INSIDER TRADING CASE**

On December 7, a federal jury found that James Ribellino of Marlboro, NJ; Gerard Wells of Port Washington, NY; Ralph Serpe of East Northport, NY; and Claudio Spinelli of Staten Island, NY, each bought Lotus call options based on material non-public information that IBM intended to take over Lotus. Ribellino, Wells and Serpe, fifth-tier tippees who traded together, made \$81,496 in illegal profits. Claudio Spinelli, a seventh-tier tippee, made \$35,870 in illegal profits.

From November 20 through December 5, 2000, seven defendants agreed to settle the Commission charges that they engaged in insider trading in advance of IBM's takeover of Lotus Development Corporation. Specifically, Domenico Alba of Staten Island, New York, and Josephine DeCicco of Staten Island, New York, each agreed to disgorge \$48,410, plus \$24,226 in pre-judgment interest and to pay a civil penalty of \$48,410. Domenico Spinelli of Staten Island, New York agreed to disgorge \$48,410, plus pre-judgment interest of \$24,226, and post-judgment interest of \$6,206. The Commission waived the payment of pre-judgment interest and did not seek a civil penalty based on his demonstrated financial inability to pay. Peter Mazzone of Staten Island, New York agreed to disgorge \$82,794, plus \$47,085 in pre-judgment interest and to pay a civil penalty of \$201,162. Jerry Mazzone of Staten Island, New York agreed to disgorge \$45,112, plus \$25,655 in pre-judgment interest. Richard Cofrancesco agreed to disgorge \$24,119, plus pre-judgment interest. John J. Melville of Spotswood, NJ, agreed to disgorge \$113,750, plus \$66,018 in pre-judgment interest, but will pay only \$50,000 of this amount and will not be assessed a penalty based on his demonstrated financial inability to pay.

In their settlements, Melville and Peter Mazzone consented to the entry of a permanent injunction prohibiting future violations of Section 10(b) of the Securities Exchange Act of 1934 and Rule 10b-5 thereunder. Alba, DeCicco, Domenico Spinelli, Melville and Peter Mazzone have also consented to the entry of a permanent injunction prohibiting future violations of Section 14(e) of the Exchange Act and Rule 14e-3 thereunder. In consenting to the entry of the civil injunctions, the defendants neither admitted nor denied the Commission's substantive allegations against them.

At trial, the jury determined that Ribellino, Wells, Serpe and Claudio Spinelli violated Section 14(e) of the Exchange Act and Rule 14e-3 thereunder, the tender offer insider trading provisions of the federal securities laws. The court will determine at a later date

the appropriate sanctions against Ribellino, Wells, Serpe, and Claudio Spinelli, and any additional disgorgement and monetary penalty against Jerry Mazzone and Cofrancesco.

The three defendants found not liable at trial were Doreen Tribiano, Ronald DeTommaso and Diane Scipioni, registered representatives at Russo Securities. [SEC v. Lorraine K. Cassano, et al., Civ. Action No. 99-CV-3822, SDNY] (LR-16825)

## **SEC v. ARTHUR BAH LAV AND FRANK FASANO**

The Commission announced today that on December 6 the Honorable Shirley Wohl Kram, United States District Judge for the Southern District of New York, entered final judgments against defendants Arthur Bruce Bahlav (Bahlav) and Frank J. Fasano (Fasano), former owners of SFI Investments, Inc. (SFI), a broker-dealer.

The Commission's complaint, which was filed on December 3, 1999, alleged that Bahlav and Fasano orchestrated a scheme through which they defrauded at least 24 SFI customers of more than \$1.5 million by: (a) inducing investors to purchase unsecured promissory notes from Bahlav and Fasano with promises of high rates of return; (b) making materially false statements, and failing to disclose material information, to investors concerning, among other things, the use and disposition of the securities that investors used to purchase the notes; and (c) liquidating the investors' securities and using the proceeds to pay, among other things, Bahlav's and Fasano's personal and business expenses, and to repay earlier investors their interest and principal.

Bahlav and Fasano were previously convicted in federal court in the Eastern District of New York of mail fraud, securities fraud and conspiracy, and conspiracy to commit securities fraud, respectively, based on the same conduct alleged in the Commission's complaint.

Bahlav consented to the final judgment without admitting or denying the allegations in the Complaint. The Court entered a default judgment against Fasano. These injunctions permanently enjoin Bahlav and Fasano from violating Section 17(a) of the Securities Act of 1933, Section 10(b) of the Securities Exchange Act and Rule 10b-5. The Commission did not seek disgorgement or civil penalties against Fasano or Bahlav.

For further information, see Litigation Release No. 16379 (December 6, 1999). [SEC v. Arthur Bruce Bahlav and Frank J. Fasano, 99 CIV.11772, SDNY, SWK] (LR-16826)

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## **SELF-REGULATORY ORGANIZATIONS**

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

A proposed rule change (SR-Phlx-00-90) filed by the Philadelphia Stock Exchange relating to the listing and trading of basket linked notes has become effective under

Section 19(b)(2) of the Securities Exchange Act of 1934. Publication of the notice is expected in the Federal Register during the week of December 11. (Rel. 34-43690)

### **APPROVAL OF PROPOSED RULE CHANGES**

The Commission approved a proposed rule change (SR-NYSE-98-25) filed by the New York Stock Exchange pursuant to Section 19(b)(2) of the Securities Exchange Act of 1934 that adopts new provisions for recording the details of an order in an electronic system prior to representing or executing an order on the Floor. Publication of the notice in the Federal Register is expected during the week of December 11. (Rel. 34-43689)

The Commission approved a proposed rule change submitted by the National Association of Securities Dealers (SR-NASD-00-64) to allow in-firm delivery of the Regulatory Element of the Continuing Education Requirements. (Rel. 34-43701)

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

A proposed rule change filed by the New York Stock Exchange (SR-NYSE-00-56) relating to the adoption of transaction fees 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 December 11. (Rel. 34-43694)

A proposed rule change (SR-PHLX-00-99) filed by the Philadelphia Stock Exchange relating to the establishment of system changes and fees to members and member organizations who elect to receive certain real-time trade information 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 December 11. (Rel. 34-43696)

A proposed rule change and Amendment No. 1 thereto filed by the International Securities Exchange (SR-ISE-00-12) to amend its fee schedule 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 December 18. (Rel. 34-43704)

### **APPROVAL OF AMENDMENT**

The Commission approved a proposed Plan amendment submitted pursuant to Rule 11Aa3-2 under the Securities Exchange Act of 1934 by the Options Price Reporting Authority (SR-OPRA-00-08) to establish standards for determining a participation fee. (Rel. 34-43697)

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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-8 E COMNETRIX INC, 180 GRAND AVE, STE 450, OAKLAND, CA 94612 -  
4,000,000  
(\$3,250,000) STRAIGHT BONDS. (FILE 333-12916 - NOV. 27) (BR. 7)
- F-3 REED INTERNATIONAL PLC, 25 VICTORIA ST, LONDON, W1A 1EJ, X0 -  
89,977,500 (\$947,522,250) FOREIGN COMMON STOCK. (FILE 333-12926 - NOV.  
29)  
(BR. 5)
- S-8 MONSANTO CO /NEW/, 800 N LINDBERGH BLVD, ST LOUIS, MO 63167  
(314) 694-4296 - 26,745,000 (\$550,205,475) COMMON STOCK. (FILE 333-  
51316 -  
DEC. 06) (BR. 2)
- S-3 INLAND REAL ESTATE CORP, 2901 BUTTERFIELD RD, OAK BROOK, IL 60523  
(708) 218-8000 - 5,000,000 (\$52,250,000) COMMON STOCK. (FILE 333-51318  
-  
DEC. 06) (BR. 8)
- S-8 BROWN TOM INC /DE, 508 W WALL, STE 500, MIDLAND, TX 79701 (915) 682-  
9715  
- 30,000 (\$866,250) COMMON STOCK. (FILE 333-51320 - DEC. 06) (BR. 4)
- S-8 MICROCHIP TECHNOLOGY INC, 2355 W CHANDLER BLVD, CHANDLER, AZ 85224  
(480) 786-7200 - 8,550,000 (\$183,389,625) COMMON STOCK. (FILE 333-  
51322 -  
DEC. 06) (BR. 5)
- S-4 WHITMAN CORP/NEW/, 3501 ALGONQUIN ROAD, ROLLING MEADOWS, IL 60008  
(847) 818-5000 - 5,000,000 (\$73,600,000) COMMON STOCK. (FILE 333-51324  
-  
DEC. 06) (BR. 2)
- S-8 CCC INFORMATION SERVICES GROUP INC, WORLD TRADE CENTER CHICAGO,  
444 MERCHANDISE MART, CHICAGO, IL 60654 (312) 222-4636 - 1,400,000  
(\$11,362,000) COMMON STOCK. (FILE 333-51328 - DEC. 06) (BR. 3)
- S-8 LAMSON & SESSIONS CO, 25701 SCIENCE PARK DR, CLEVELAND, OH 44122  
(216) 464-3400 - 650,000 (\$6,051,500) COMMON STOCK. (FILE 333-51330 -  
DEC. 06) (BR. 5)

S-3 CWBBS INC, 4500 PARK GRANADA, CALABASAS, CA 91302 (818) 304-5591 -  
1,000,000 (\$1,000,000) PASS-THROUGH MORTGAGE-BACKED CERTIFICATE. (FILE  
333-51332 - DEC. 06) (BR. 8)

S-8 RIGHTCHOICE MANAGED CARE INC /DE, 1831 CHESTNUT ST,  
BLUE CROSS BLUE SHIELD PLZ, ST LOUIS, MO 63103 (314) 923-4444 - 30,000  
(\$878,700) COMMON STOCK. 1,000,000 (\$1,000,000)  
OTHER SECURITIES INCLUDING VOTING TRUST. (FILE 333-51334 - DEC. 06)  
(BR. 1)

S-8 RIGHTCHOICE MANAGED CARE INC /DE, 1831 CHESTNUT ST,  
BLUE CROSS BLUE SHIELD PLZ, ST LOUIS, MO 63103 (314) 923-4444 -  
4,000,000  
(\$4,000,000) OTHER SECURITIES INCLUDING VOTING TRUST. (FILE 333-51336  
-  
DEC. 06) (BR. 1)

S-8 DELPHI AUTOMOTIVE SYSTEMS CORP, 5725 DELPHI DRIVE, TROY, MI 48098  
(248) 447-1500 - 500,000 (\$6,815,000) COMMON STOCK. (FILE 333-51340 -  
DEC. 06) (BR. 5)

S-1 CHINA BROADBAND CORP, 2080 442 2 AVE SW, CALGARY ALBERTA,  
CANADA T2P 5E9, A1 (403) 225-2198 - 6,900,657 (\$49,598,474) COMMON  
STOCK.  
(FILE 333-51342 - DEC. 06) (BR. 9)

S-3 DUKE WEEKS REALTY CORP, 8888 KEYSTONE CROSSING, STE 1200,  
INDIANAPOLIS,  
IN 46240 (317) 808-6000 - 423,171 (\$9,799,053) COMMON STOCK. (FILE  
333-51344 - DEC. 06) (BR. 8)

S-8 INTER CON PC INC, 7667 EQUITABLE DR, EDEN PRAIRIE, MN 55344  
(612) 975-0001 - 3,750,000 (\$937,500) COMMON STOCK. (FILE 333-51346 -  
DEC. 06) (BR. 4)

S-8 ARRAY BIOPHARMA INC, 1885 33RD ST, BOULDER, CO 80301 (303) 381-6600  
-  
6,741,463 (\$30,611,206) COMMON STOCK. (FILE 333-51348 - DEC. 06) (BR.  
1)

S-3 AASTROM BIOSCIENCES INC, 24 FRANKL LLOYD WRIGHT DR, PO BOX 376,  
ANN ARBOR, MI 48106 (734) 930-5555 - 6,350,000 (\$8,064,500) COMMON  
STOCK.  
(FILE 333-51350 - DEC. 06) (BR. 1)

S-3 GEMSTAR TV GUIDE INTERNATIONAL INC, 135 NORTH LOS ROBLES AVE, STE  
800,  
PASADENA, CA 91101 (818) 792-5700 - 2,699,891 (\$102,427,115) COMMON  
STOCK.  
(FILE 333-51352 - DEC. 06) (BR. 2)

S-8 APPLIED EXTRUSION TECHNOLOGIES INC /DE, 3 CENTENNIAL DRIVE, PEABODY,  
MA  
01960 (978) 538-1500 - 1,000,000 (\$2,660,000) COMMON STOCK. (FILE  
333-51354 - DEC. 06) (BR. 6)



S-3 CAMBRIDGE TECHNOLOGY PARTNERS MASSACHUSETTS INC, 304 VASSAR ST,  
CAMBRIDGE, MA 02139 (617) 374-9800 - 277,527 (\$693,817.50) COMMON  
STOCK.  
(FILE 333-51356 - DEC. 06) (BR. 3)

S-3 VOXWARE INC, 168 FRANKLIN CORNER RD, LAWRENCEVILLE, NJ 08648  
(609) 514-4100 - 1,025,000 (\$1,185,208) COMMON STOCK. (FILE 333-51358  
-  
DEC. 06) (BR. 3)

S-8 PROSOFTTRAINING COM, 3001 BEE CAVES ROAD, SUITE 100, AUSTIN, TX  
78746  
(512) 328-6140 - 3,130,500 (\$23,737,788) COMMON STOCK. (FILE 333-51360  
-  
DEC. 06) (BR. 8)

S-8 UNITED HERITAGE CORP, 2 CADDO STREET, CLEBURNE, TX 76031 (817) 641-  
3681  
- 7,000,000 (\$7,437,500) COMMON STOCK. (FILE 333-51362 - DEC. 06) (BR.  
4)

S-4 IVAX CORP /DE, 4400 BISCAYNE BLVD, MIAMI, FL 33137 (305) 575-6000 -  
15,000,000 (\$606,450,000) COMMON STOCK. (FILE 333-51364 - DEC. 06)  
(BR. 1)

SB-2 SURFORAMA COM INC, 201-1166 ALBERNI STREET, VANCOUVER BC CANADA, A1  
00000 (604) 801-5441 - 8,008,799 (\$8,008,799) COMMON STOCK. (FILE  
333-51366 - DEC. 06) (BR. 9)

S-3 IVAX CORP /DE, 4400 BISCAYNE BLVD, MIAMI, FL 33137 (305) 575-6000  
(FILE  
333-51372 - DEC. 06) (BR. 1)

S-8 PTEK HOLDINGS INC, 3399 PEACHTREE RD NE, LENOX BLDG STE 400,  
ATLANTA, GA  
30326 (404) 262-8400 - 3,000,000 (\$5,484,000) COMMON STOCK. (FILE  
333-51380 - DEC. 06) (BR. 7)

S-8 EPICOR SOFTWARE CORP, 195 TECHNOLOGY DR, IRVINE, CA 92718 (949) 585-  
4000  
- 1,250,000 (\$1,347,500) COMMON STOCK. (FILE 333-51382 - DEC. 06) (BR.  
3)

S-8 PAN PACIFIC RETAIL PROPERTIES INC, 1631-B S MELROSE DR, VISTA, CA  
92083  
(760) 727-1002 - 1,786,695 (\$37,484,859) COMMON STOCK. (FILE 333-51384  
-  
DEC. 06) (BR. 8)

S-3 SEACHANGE INTERNATIONAL INC, 124 ACTON ST, 2ND FLOOR, MAYNARD, MA  
01754  
(978) 897-0100 - 566,255 (\$14,262,547.81) COMMON STOCK. (FILE 333-  
51386 -  
DEC. 06) (BR. 7)

S-3 NEOTHERAPEUTICS INC, 157 TECHNOLOGY DR, STE J-821, IRVINE, CA 92618  
 (949) 788-6700 - 4,304,658 (\$21,024,976.84) COMMON STOCK. (FILE 333-  
 51388  
 - DEC. 06) (BR. 1)

S-8 METRIS COMPANIES INC, 600 S HIGHWAY 169, STE 1800, ST LOUIS PARK, MN  
 55426 (612) 525-5020 - 500,000 (\$11,843,750) COMMON STOCK. (FILE  
 333-51390 - DEC. 06) (BR. 7)

S-3 PMC SIERRA INC, 900 E HAMILTON AVE, SUITE 250, CAMPBELL, CA 95008  
 (604) 415-6000 - 1,218,204 (\$212,272,047) COMMON STOCK. (FILE 333-  
 51396 -  
 DEC. 07) (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 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		
ACCORD NETWORKS LTD						X				X	12/05/00	
ACCREDITED HOME LENDERS INC	DE									X	11/27/00	
ADAC LABORATORIES	CA									X	11/17/00	AMEND
AEI ENVIRONMENTAL INC	CO		X							X	12/08/00	AMEND
ALLAIRE CORP	DE					X				X	12/08/00	
ALLEN TEST CO REL TEST 5660	MI					X					11/01/00	
ALLEN TEST CO REL TEST 5660	MI					X					11/01/00	
ALLEN TEST CO REL TEST 5660	MI	X									12/01/00	
ALTERA CORP	DE					X					11/17/00	
AMEDISYS INC	DE					X					12/11/00	
AMERICAN RIVER HOLDINGS	CA		X							X	12/12/00	
AMERICAN SKIING CO /ME	DE		X							X	12/11/00	
AMM HOLDINGS INC	DE		X			X				X	12/12/00	AMEND
AMORTIZING RESI COLLATERAL TR MOR P AS THRU CERT SER 2000-BC3	DE									X	11/27/00	

NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
ARADIGM CORP	CA									X	12/11/00	
ARC WIRELESS SOLUTIONS INC	UT									X	09/29/00	AMEND
ASSET BACKED FDG CORP C BASS MTG LN AS BKD CRT SER 2000-CB2						X				X	09/25/00	
ASSET BACKED FDG CORP C BASS MTG LN AS BKD CRT SER 2000-CB2						X				X	10/25/00	
ATLANTIC TECHNOLOGY VENTURES INC	DE							X			12/04/00	
AUDIOMONSTER ONLINE INC	NV							X			09/25/00	AMEND
AVANT IMMUNOTHERAPEUTICS INC	DE	X				X		X			12/01/00	
AVATEX CORP	DE					X		X			12/08/00	
AVERT INC	CO					X		X			12/08/00	
AZCO MINING INC	DE							X		X	12/06/00	
BALANCED CARE CORP	DE					X		X			12/10/00	
BANC ONE FINANCIAL SERVICES HOME EQ UNITY LOAN TRUST 1999-1	NY							X			11/27/00	
BAY VIEW SECURITIZATION CORP	DE							X			11/15/00	
BEAR STEARNS ASSET BACKED SECURITIE S INC	DE							X			11/27/00	
BHC COMMUNICATIONS INC	DE					X		X			12/12/00	
BIG BUCK BREWERY & STEAKHOUSE INC	MI					X		X			11/14/00	
BIOTRANSPLANT INC	DE					X		X			12/11/00	
BOPPERS HOLDINGS INC /NV/	NV	X	X					X			11/27/00	
BOUNCEBACKTECHNOLOGIES COM INC	MN					X					12/12/00	
BRITESMILE INC	UT					X		X			12/08/00	
CABLEVISION SYSTEMS CORP /NY/	DE					X					12/08/00	
CAMPBELL RESOURCES INC /NEW/						X		X			12/07/00	
CAPITAL ENVIRONMENTAL RESOURCE INC						X		X			12/05/00	
CAPITAL ONE MASTER TRUST	VA					X		X			11/28/00	
CAPITAL ONE MASTER TRUST	VA					X		X			11/28/00	
CAPSTRA CAPITAL CORP	DC	X									12/12/00	AMEND
CARRIZO OIL & GAS INC	TX					X					12/08/00	
CASTLE GROUP INC	UT					X					11/16/00	
CATERPILLAR FINANCIAL FUNDING CORP	NV	X									09/25/00	
CELLPOINT INC	NV					X		X			12/06/00	
CENTRAL EUROPEAN DISTRIBUTION CORP	DE					X		X			12/11/00	
CENTURY SOUTH BANKS INC	GA					X		X			12/05/00	
CHART INDUSTRIES INC	DE					X		X			11/29/00	
CHASE FUNDING INC	NY					X		X			11/27/00	
CHASE MORTGAGE FINANCE CORP	DE					X		X			11/27/00	
CHINA BROADBAND CORP	NV	X						X			09/29/00	AMEND
CHRIS CRAFT INDUSTRIES INC	DE					X		X			12/07/00	
CITICORP MORTGAGE SECURITIES INC	DE					X					12/11/00	
CMS ENERGY CORP	MI					X		X			12/11/00	
COCA COLA ENTERPRISES INC	DE					X		X			12/07/00	
COMMERCE ONE INC	DE							X			09/13/00	AMEND
COMMERCIAL MORTGAGE PASS-THROUGH CE RTIFICATES SERIES 2000-C2	MO					X		X			11/13/00	
COMPAQ COMPUTER CORP	DE					X		X			12/12/00	
COMTECH TELECOMMUNICATIONS CORP /DE/ /	DE					X		X			12/11/00	
CONSECO INC	IN					X		X			12/08/00	
CONSTELLATION ENERGY GROUP INC	MD	X									12/12/00	
CORPORATE ASSET BACKED CORP	DE							X			12/01/00	

NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
CPI CORP	DE				X						12/07/00	
CRIIMI MAE FINANCIAL CORP	MD				X						12/12/00	
CRITICAL PATH INC	CA				X	X					12/11/00	
CSX TRADE RECEIVABLES CORP	DE				X	X					11/27/00	
CSX TRADE RECEIVABLES CORP	DE				X	X					11/27/00	
CWABS INC	DE				X	X					12/06/00	
CWMBS INC	DE				X	X					02/29/00	
CWMBS INC	DE				X	X					10/30/00	
DEERE & CO	DE				X						12/11/00	
DELPHI AUTOMOTIVE SYSTEMS CORP	DE				X						12/12/00	
DETECTION SYSTEMS INC	NY				X						12/10/00	
DEVON ENERGY CORP/DE	DE				X						12/12/00	
DIAMOND OFFSHORE DRILLING INC	DE						X	X			12/11/00	
DIASENSOR COM INC	PA				X						12/12/00	AMEND
DLJ ABS TR SER 2000-2 MOR PAS THR C ERT SER 2000-2	DE				X	X					08/25/00	
DLJ ABS TR SER 2000-2 MOR PAS THR C ERT SER 2000-2	DE				X	X					09/25/00	
DLJ MORTGAGE ACCEPTANCE CORP	DE						X				11/27/00	
DLJ MORTGAGE PAS THR CERT SER 2000- S4	DE				X	X					10/25/00	
DYNACORE HOLDINGS CORP	DE	X									12/05/00	
DYNAMIC ASSOCIATES INC	NV	X			X	X					11/28/00	
E PIPHANY INC	DE					X					05/31/00	AMEND
EATON CORP	OH				X	X					12/11/00	
EDUCATION LOANS INC /DE	DE					X					12/05/00	
ELDERTRUST	MD				X	X					11/22/00	
ELECTRONIC BUSINESS SERVICES INC	DE					X					12/08/00	
EMERGENT GROUP INC/NY	NV				X						12/06/00	
EMPIRE DISTRICT ELECTRIC CO	KS			X							12/12/00	
ENTERTAINMENT INC	DE				X						12/08/00	
ENVIRO CLEAN OF AMERICA INC	NV					X					10/13/00	AMEND
EPRISE CORP	DE				X	X					12/11/00	
EQUITEX INC	DE				X	X					12/12/00	
ETOWN CORP	NJ			X							11/29/00	
EXPLORE TECHNOLOGIES INC	NV		X			X	X				10/05/00	
FARMER MAC MORTGAGE SECURITIES CORP	DE	X									12/12/00	
FIELDWORKS INC	MN	X					X				12/12/00	
FINANCIAL ASSET SEC CORP FIRST FRAN KLIN MORT LN TR 2000 FF1	DE						X				11/27/00	
FINANCIAL FEDERAL CORP	NV				X						10/19/00	AMEND
FIRST INDIANA CORP	IN				X						12/11/00	
FLAG TELECOM HOLDINGS LTD					X	X					12/06/00	
FLEXXTECH CORP	NV					X					12/09/00	
FOODVISION COM INC	DE	X									12/31/00	
FORD CREDIT AUTO RECEIVABLES TWO L P	DE				X	X					11/30/00	
FX ENERGY INC	NV							X			12/08/00	
GE CAPITAL COMMERCIAL MORTGAGE CORP	DE				X	X					12/11/00	
GENERAL MOTORS CORP	DE				X						12/12/00	
GILEAD SCIENCES INC	DE				X	X					12/11/00	
GREAT TRAIN STORE CO	DE		X		X	X					11/16/00	
GREENPOINT ASSET LLC	DE						X				12/08/00	

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		1	2	3	4	5	6	7	8	9		
GREENPOINT CREDIT LLC	DE					X	X				12/05/00	
GREENWICH CAPITAL ACCEPTANCE INC	NY					X	X				11/16/00	
GREENWICH CAPITAL ACCEPTANCE INC	NY						X				11/27/00	
GREKA ENERGY CORP	CO					X	X				06/21/00	AMEND
HARKEN ENERGY CORP	DE							X	X		12/12/00	
HEALTHCENTRAL COM	DE					X					11/29/00	
HEMACARE CORP /CA/	CA					X					12/12/00	
HERSHEY FOODS CORP	DE								X		12/11/00	
IEXALT INC	NV		X					X			09/27/00	AMEND
IMH ASSETS CORP	DE		X					X			11/27/00	
IMH ASSETS CORP COLLATERALIZED ASSE T BACKED BONDS SER 2000 1	DE							X			11/27/00	
IMPAC SECURED ASSETS CORP	CA							X			11/27/00	
IMPERIAL PARKING CORP	DE					X	X				12/12/00	
INDYMAC MBS INC						X	X				10/30/00	
INTEGRATED PACKAGING ASSEMBLY CORP	DE				X						12/08/00	
INTERNATIONAL MENU SOLUTIONS CORP	NV	X				X	X				11/28/00	
INTERNET LAW LIBRARY INC	DE		X			X	X				10/01/00	AMEND
INTERWORLD CORP	DE					X					12/11/00	
INTRAWARE INC	DE					X	X				12/01/00	
ISRAMCO INC	DE					X					12/11/00	
ITURF INC	DE							X			11/20/00	AMEND
IWERKS ENTERTAINMENT INC	DE					X	X				09/12/00	
KAISER GROUP INTERNATIONAL INC	DE		X					X			07/28/00	
KENETECH CORP	DE					X					12/11/00	
KENTUCKY UTILITIES CO	KY	X						X			12/11/00	
KEYSPAN CORP	NY							X	X		12/11/00	
KUSHNER LOCKE CO	CA					X					12/11/00	
L O M MEDICAL INTERNATIONAL INC								X			12/01/00	
LABORATORY CORP OF AMERICA HOLDINGS	DE					X	X				12/12/00	
LG&E ENERGY CORP	KY	X						X			12/11/00	
LIGHT MANAGEMENT GROUP INC	NV				X	X					12/11/00	
LIGHTNING ROD SOFTWARE INC	DE					X	X				12/11/00	
LML PAYMENT SYSTEMS INC	AL				X		X				12/04/00	
LONE STAR TECHNOLOGIES INC	DE								X		12/12/00	
LOUISVILLE GAS & ELECTRIC CO /KY/	KY	X						X			12/11/00	
LSI LOGIC CORP	DE					X	X				12/05/00	
LYNCH MERRILL MTG INV INC CBAS MTG LN AS BK CRT SER 2000-CB1	DE					X	X				11/27/00	
MAGNA ENTERTAINMENT CORP						X	X				12/11/00	
MARINE DRILLING COMPANIES INC	TX							X	X		12/12/00	
MARKET HUB PARTNERS STORAGE LP	DE					X					11/27/00	
MATTHEWS STUDIO EQUIPMENT GROUP	CA		X								12/05/00	
MBNA CORP	MD					X					12/12/00	
MCLEODUSA INC	DE		X					X			12/31/00	
MEDIX RESOURCES INC	CO					X					12/07/00	
MELLON BANK PREMIUM FINANCE LOAN MA STER TRUST	NY					X	X				10/10/00	AMEND
MELLON RESIDENTIAL FUNDING COR MOR PAS THR CER SER 2000-TBC1	NY							X			11/27/00	
MERCK & CO INC	NJ							X	X		12/12/00	
MERISTAR HOTELS & RESORTS INC	DE					X	X				12/08/00	
MICROTEL INTERNATIONAL INC	DE					X	X				11/28/00	

NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
MORGAN STANLEY ABS CAPITAL I INC MS DWCC HELOC TRUST 2000-1	DE									X	11/27/00	
MORGAN STANLEY CAPITAL I INC HOME E Q LN AS BK CER SER 1999-2	NY									X	11/27/00	
MORTGAGE ASSET BACKED PASS THROUGH CERT SERIES 2000-1	DE									X	11/27/00	
MORTGAGE PASS THROUGH CERT SERIES 2 000-1	DE									X	11/27/00	
MORTGAGE PASS THROUGH CERTIFICATES SERIES 2000-7	DE									X	11/27/00	
NANOGEN INC	DE					X		X			12/12/00	
NEW JERSEY RESOURCES CORP	NJ							X	X		12/12/00	
NEW YORK COMMUNITY BANCORP INC	DE		X					X			11/30/00	
NORTHPOINT COMMUNICATIONS GROUP INC	DE					X		X			12/08/00	
NORWEST ASSET SEC CORP MORT PAS THR CER SER 2000-2 TR	DE							X			11/27/00	
NORWEST ASSET SECURITIES CORP MORT PASS THR CERT SER 2000 1	DE							X			11/27/00	
NORWEST INTEGRATED STRUCTURED ASSET S INC SERIES 2000-1 TRUST	DE							X			11/27/00	
NTELOS INC	VA								X		12/08/00	
OAKWOOD MORTGAGE INVESTORS INC	NV					X		X			12/11/00	
OBIE MEDIA CORP	OR					X					12/11/00	
OCWEN ASSET INVESTMENT CORP	VA					X		X			12/12/00	
ON SEMICONDUCTOR CORP	DE					X		X			12/12/00	
ONE LIBERTY PROPERTIES INC	MD							X			10/20/00	AMEND
OPAL TECHNOLOGIES INC	NV					X		X			12/06/00	
OPTION ONE MORT ACCEP CORP ASSET BA CKED CERT SER 2000-1	DE							X			11/27/00	
OPTION ONE MORT ACCEPT CORP ASSET B ACKED CERT SER 2000-2	DE							X			11/27/00	
OPTION ONE MORT ACCEPT CORP ASSET B ACKED CERT SERIES 2000-3	DE							X			11/27/00	
OPTION ONE MORTGAGE ACCEPTANCE CORP ASS BACK CERT SER 2000 4	DE							X			11/28/00	
OZ COM						X					12/05/00	
PARADYNE NETWORKS INC	DE					X		X			12/08/00	
PBOC HOLDINGS INC	DE					X		X			12/08/00	
PENFORD CORP	WA		X					X			09/29/00	AMEND
PEREGRINE SYSTEMS INC	DE					X					12/11/00	
PH GROUP INC	OH					X		X			12/06/00	AMEND
PHH CORP	MD					X		X			11/03/00	
PILLOWTEX CORP	TX					X		X			12/06/00	
PITNEY BOWES INC /DE/	DE		X								12/11/00	
PJ AMERICA INC	DE					X					12/13/00	
PLAY BY PLAY TOYS & NOVELTIES INC	TX					X		X			11/28/00	
PNC MORT ACCEPT CORP COMMERC MORT P ASS THR CERT SER 1999 CM1	MO					X		X			11/10/00	
POLYCOM INC	DE					X		X			12/05/00	
PREMIER LASER SYSTEMS INC	CA					X					12/10/00	
PRESIDENT CASINOS INC	DE							X			02/28/01	AMEND
PRINTWARE INC	MN					X					12/11/00	
PROCTER & GAMBLE CO	OH					X					12/12/00	

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		1	2	3	4	5	6	7	8	9		
PROVIDENT BANK	OH								X		11/27/00	
PROVIDENT BANK	OH								X		11/27/00	
PROXYMED INC /FT LAUDERDALE/	FL									X	12/11/00	
PRUDENTIAL SEC C BASS MTG LN ASSET BKD CERT SER 2000-CB3						X			X		10/25/00	
PRUDENTIAL SECURITIES SECURED FINAN CING CORP	DE								X		11/27/00	
PSC INC	NY						X				12/11/00	
REGAL BELOIT CORP	WI	X									09/30/00	AMEND
RENT WAY INC	PA						X				12/11/00	
RESIDENTIAL ACCREDIT LOANS INC	DE							X			11/29/00	
RESIDENTIAL ASSET MORTGAGE PRODUCTS INC	DE							X			11/21/00	
RESIDENTIAL ASSET MORTGAGE PRODUCTS INC	DE							X			11/27/00	
RESIDENTIAL ASSET MORTGAGE PRODUCTS INC	DE							X			11/27/00	
RESIDENTIAL ASSET MORTGAGE PRODUCTS INC	DE							X			11/27/00	
RESIDENTIAL ASSET MORTGAGE PRODUCTS INC	DE							X			11/27/00	
RESIDENTIAL ASSET MORTGAGE PRODUCTS INC	DE							X			11/27/00	
RESIDENTIAL ASSET MORTGAGE PRODUCTS INC	DE							X			11/27/00	
RESIDENTIAL FUNDING MORTGAGE SECURI TIES I INC	DE							X			11/29/00	
RESIDENTIAL FUNDING MORTGAGE SECURI TIES I INC	DE							X			11/29/00	
RESORT AT SUMMERLIN L P	NV			X				X			12/08/00	
RSA SECURITY INC/DE/	DE		X					X			11/27/00	
SAFETY KLEEN CORP/	DE					X					12/11/00	
SALOMON BROTHERS MOR SEC VII FL RT MR PA TH CER SER 2000 LB1	DE							X			11/27/00	
SHIRE PHARMACEUTICALS GROUP PLC						X		X			12/11/00	
SHIRE PHARMACEUTICALS GROUP PLC								X			12/12/00	AMEND
SILICON VALLEY GROUP INC	DE							X			10/31/00	
SIMMONS FIRST NATIONAL CORP	AR					X					12/11/00	
SIX FLAGS INC	DE					X					11/08/00	
SOUTHERN CO	DE					X	X				12/06/00	
SOUTHWESTERN LIFE HOLDINGS INC	DE					X	X				12/12/00	
SPINNAKER EXPLORATION CO	DE					X	X				12/07/00	
STEWART ENTERPRISES INC	LA					X					12/11/00	
STILWELL FINANCIAL INC	DE							X	X		12/11/00	
STRUCTURED ASSET MORTGAGE INVESTMEN TS INC	DE							X			11/30/00	
STRUCTURED ASSET SEC CORP MORT PAS THR CERT SER 2000-4	DE							X			11/27/00	
STRUCTURED ASSET SECURITIES CORP MO PA TH CE SE 2000-BC1	NY							X			11/27/00	
STRUCTURED ASSET SECURITIES CORP MO PA TH CE SE 2000-BC2	DE							X			11/27/00	
STRUCTURED ASSET SECURITIES CORP MO RT PAS THR CERT SE 2000 3	DE							X			11/27/00	
SUNBURST HOSPITALITY CORP	DE					X	X				12/08/00	

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	CODE	1	2	3	4	5	6	7	8	9		
SUNTERRA CORP	MD					X		X			11/28/00	
SWITCHBOARD INC	DE					X					12/11/00	
SYBRON DENTAL SPECIALTIES INC	DE					X		X			12/08/00	
SYBRON INTERNATIONAL CORP	WI					X		X			12/11/00	
SYNERGY TECHNOLOGIES CORP	CO					X		X			12/07/00	
T REIT INC	VA							X			12/11/00	AMEND
TANDYCRAFTS INC	DE					X		X			12/08/00	
TARGET RECEIVABLES CORP	MN					X					12/12/00	
TCPI INC	FL					X					12/06/00	
TEL VOICE COMMUNICATIONS INC	NV	X	X			X		X			06/30/00	AMEND
TELEGEN CORP /CO/	CA					X		X			01/15/97	AMEND
TELELOGIC CONFIGURATION MANAGEMENT INC	DE	X						X			11/29/00	
TOPCLICK INTERNATIONAL INC/DE	DE					X					11/30/00	
TRANSKARYOTIC THERAPIES INC	DE					X		X			11/08/00	
TRI COUNTY BANCORP INC	WY					X					12/07/00	
TRI NATIONAL DEVELOPMENT CORP	WY					X					12/11/00	
TRICORD SYSTEMS INC /DE/	DE								X		12/11/00	
TRITON ENERGY LTD	E9								X		12/11/00	
U S LABORATORIES INC	DE					X		X			12/04/00	
UIH AUSTRALIA PACIFIC INC	CO					X					11/30/00	
UNICAPITAL CORP	DE			X				X			12/11/00	
UNICO INC /AZ/	AZ					X					12/06/00	
UNICOMP INC	CO		X			X		X			11/27/00	
UNION PLANTERS MORT PASS THR CERT S ER 2000-UP1	DE							X			11/27/00	
UNITED TELEVISION INC	DE					X		X			12/12/00	
US AIRWAYS GROUP INC	DE							X	X		12/12/00	
US AIRWAYS INC	DE							X	X		12/12/00	
USA BIOMASS CORP	DE		X			X		X			12/08/00	
WELLS FARGO ASSET SEC CORP MORT PAS S THR CERT SER 2000-11	DE					X		X			10/27/00	
WELLS FARGO ASSET SEC CORP MORT PAS S THR CERT SER 2000-11	DE							X			11/27/00	
WELLS FARGO ASSET SEC CORP MORT PAS S THR CERT SER 2000-2	NY							X			11/27/00	
WELLS FARGO ASSET SEC CORP MORT PAS S THR CERT SER 2000-5	DE							X			11/27/00	
WELLS FARGO ASSET SEC CORP MORT PAS S THR CERT SER 2000-6	DE							X			11/27/00	
WELLS FARGO ASSET SEC CORP MORT PAS S THR CERT SERIES 2000-4	NY							X			11/27/00	
WELLS FARGO ASSET SEC CORP MORT PAS S THROUGH CERT SER 2000 8	DE							X			11/27/00	
WELLS FARGO ASSET SECURITIES CORP M ORT BK SEC 2000-10 TRUST	DE					X		X			10/30/00	
WELLS FARGO ASSET SECURITIES CORP M ORT BK SEC 2000-10 TRUST	DE							X			11/27/00	
WELLS FARGO ASSET SECURITIES CORP M ORT BK SEC 2000-3 TRUST	DE							X			11/27/00	



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	CODE	1	2	3	4	5	6	7	8	9			
WELLS FARGO ASSET SECURITIES CORP M ORT BK SEC 2000-9 TRUST	DE										X	11/27/00	
WESTBURY METALS GROUP INC	NY					X		X				12/11/00	
9278 COMMUNICATIONS INC	NV	X									X	12/08/00	