# SEC NEWS DIGEST

Issue 99-232

December 3, 1999

## **ENFORCEMENT PROCEEDINGS**

## INITIAL DECISION IN PROCEEDING AGAINST VIRGINIA HORLER DECLARED FINAL

The Commission has given notice that the initial decision in the administrative proceeding against Virginia Horler is final. Horler acted as a financial advisor responsible for preparing official statements in connection with a 1990 municipal bond offering by the County of Nevada, California. The law judge found that, as a result of Horler's misconduct, the official statements contained material misstatements and omitted material information. The law judge concluded that Horler violated Securities Act Section 17(a), Exchange Act Section 10(b), and Exchange Rule 10b-5.

The law judge concluded that an order requiring that Horler cease and desist from further violations was not necessary. She noted that Horler had no prior disciplinary history and that the misconduct occurred nine years ago in connection with a single offering. The law judge therefore dismissed the proceeding. (Rel. 34-42197; File No. 3-9542)

## INVESTMENT COMPANY ACT RELEASES

# J.P. MORGAN & CO. INCORPORATED

An order has been issued on an application filed by J.P. Morgan & Co. Incorporated (J.P. Morgan) under Section 6(c) of the Investment Company Act exempting certain entities that finance the operations of J.P. Morgan and certain of its subsidiaries from all provisions of the Act. The order amends an existing order to permit additional entities to rely on the existing order. (Rel. IC-24180 -December 1)

## SALOMON BROTHERS ASSET MANAGEMENT INC., ET AL.

A notice has been issued giving interested persons until December 27 to request a hearing on an application filed by Salomon Brothers Asset Management Inc. (SBAM), et al. for an order granting an exemption from Section 17(a) of the Investment Company Act and permitting certain joint transactions under Section 17(d) of the Act

and Rule 17d-1 under the Act. The order would permit certain registered closed-end management investment companies advised by SBAM to enter into secured loan transactions with a facility administered by Citicorp North America, Inc., an affiliated person of SBAM. (Rel. IC-24181 - December 1)

#### SELF-REGULATORY ORGANIZATIONS

#### PROPOSED RULE CHANGES

The <u>National Association of Securities Dealers</u> filed a proposed rule change (SR-NASD-99-53) relating to the establishment of the Nasdaq Order Display Facility and to modifications of the Nasdaq Trading Platform. Publication of the proposal is expected in the <u>Federal Register</u> during the week of November 29. (Rel. 34-42166)

The <u>Pacific Exchange</u> filed a proposed rule change (SR-PCX-99-39) to create PCX Equities, Inc. Publication of the notice in the <u>Federal Register</u> is expected during the week of November 29. (Rel. 34-42178)

The <u>National Association of Securities Dealers</u> filed a proposed rule change (SR-NASD-99-54) creating a voluntary single arbitrator pilot program for claims between \$50,000.01 and \$200,000. Publication of the proposal is expected in the <u>Federal Register</u> during the week of December 6. (Rel. 34-42185)

The <u>Chicago Board Options Exchange</u> filed a proposed change (SR-CBOE-99-27) relating to customer communications. Publication of the proposal is expected in the <u>Federal Register</u> during the week December 6. (Rel. 34-42186)

The <u>Pacific Exchange</u> filed a proposed rule change (SR-PCX-99-17) to permit floor brokers to immediately represent intra-floor telephonic orders in the trading crowd, with a written order ticket immediately to follow. Publication of the proposal is expected in the <u>Federal Register</u> during the week of December 6. (Rel. 34-42188)

The Options Clearing Corporation filed a proposed rule change (SR-OCC-99-09) to revise OCC's By-Laws and Rules to merge the currently separated equity and non-equity elements of the OCC's clearing fund into one combined clearing fund based on total margin requirements. The minimum contribution will be \$150,000. Publication of the proposal is expected in the Federal Register during the week of December 6. (Rel. 34-42195)

## IMMEDIATE EFFECTIVENESS OF PROPOSED RULE CHANGES

The <u>Government Securities Clearing Corporation</u> filed a proposed rule change (SR-GSCC-99-04), which became effective upon filing, to lower GSCC's fee for clearance that it charges to its netting members.

Publication of the proposal is expected in the <u>Federal Register</u> during the week of December 6. (Rel. 34-42183)

A proposed rule change (SR-CBOE-99-58) filed by the <u>Chicago Board Options Exchange</u> to adopt a stated policy that clarifies the maintenance rules governing the replacement of component stocks in the Dow Jones High Yield Select Ten Index has become immediately effective under Section 19(b)(3)(A) of the Securities Exchange Act of 1934. Publication of the notice is expected in the <u>Federal Register</u> during the week of December 6. (Rel. 34-42187)

#### APPROVAL OF PROPOSED RULE CHANGES

The Commission approved a proposed rule change submitted by the <u>Chicago Stock Exchange</u> (SR-CHX-99-12) amending the recommended fine schedule for the submission of late financial and operational reports. Publication of the proposal is expected in the <u>Federal Register</u> during the week of December 6. (Rel. 34-42189)

The Commission approved a proposed rule change filed by the <u>Chicago</u> <u>Board Options Exchange</u> (SR-CBOE-99-32) to change the participation entitlement of designated primary market makers. (Rel. 34-42190)

The Commission approved a proposed rule change (SR-NASD-99-02), and granted accelerated approval to Amendment No. 2 to that proposed rule change, filed by the <u>National Association of Securities Dealers</u> to clarify the way that various NASD rules relating to "public offerings" apply to offerings of securities under Rule 504 of Regulation D, and to clarify other aspects of NASD rules relating to "public offerings." Publication of the proposal is expected in the <u>Federal Register</u> during the week of December 6. (Rel. 34-42191)

## SECURITIES ACT REGISTRATIONS

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

S-4 VIRGINIA COMMONWEALTH FINANCIAL CORP, 102 SOUTH MAIN ST, PO BOX 71, CULPEPER, VA 22701 (504) 825-4800 - 310,246 (\$4,399,288) COMMON STOCK (FILE 333-91711 - NOV. 26) (BR. 7)

## 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.

NAME OF ISSUER	CODE	1 2		6 7 8	9 DATE COMMENT
AAMES CAPITAL CORP	CA			х	11/15/99 AMEND
ABN AMRO MORTGAGE CORP SERIES 1999-		x		•	11/26/99
ABN AMRO MORTGAGE CORP SERIES 1999-	DE	x			11/26/99
ABN AMRO MORTGAGE CORP SERIES 1999-	DE	x			11/26/99
ABN AMRO MORTGAGE CORP SERIES 1999-	DE	X			11/26/99
ABN AMRO MORTGAGE CORP SERIES 1999-	DE	x			11/26/99
ABN AMRO MORTGAGE CORP SERIES 1999-8	DE	X		x	11/23/99
ACXIOM CORP	DE		х	х	12/01/99
ADELPHIA BUSINESS SOLUTIONS INC	DE		х	x	11/23/99
ADELPHIA COMMUNICATIONS CORP	DE		х	x	11/23/99
ADVANCED WIRELESS SYSTEMS INC	AL	х			12/31/99 AMEND
ADVANTA CONDUIT RECEIVABLES INC	NV	х		х	11/17/99
ADVANTA CONDUIT RECEIVABLES MORT LO	NV	х		x	11/17/99
AN TRUST 1999-4					
ADVANTA MORTGAGE LOAN TRUST 1998-4A	NY		х	x	11/30/99
ADVANTA MORTGAGE LOAN TRUST 1998-4B	NY		х	х	11/30/99
ADVANTA MORTGAGE LOAN TRUST 1998-4C	DE		х	x	11/30/99
ADVANTA MORTGAGE LOAN TRUST 1999-1	NY		х	x	11/30/99
ADVANTA MORTGAGE LOAN TRUST 1999-2	NY		х	x	11/30/99
ADVANTA MORTGAGE LOAN TRUST 1999-3	NY		х	x	11/30/99
ADVANTA REVOLVING HOME EQUITY LOAN	NY		х	x	11/30/99
TRUST 1999 B					
AMB PROPERTY LP	DE		х	x	09/30/99
AMERICA ONLINE INC	DE		х	x	12/01/99
AMERICAN ELECTROMEDICS CORP	DE		х	x	11/15/99
AMERICAN GAMING & ENTERTAINMENT LTD	DE	X			11/23/99
/DE					/ /
AMFM OPERATING INC	DE	X		Х	
ANSON BANCORP INC	NC		X		11/30/99
ANTIGUA FUNDING CORP	DE		х		11/08/99

	STATE	8	K ITEN	1 NO.	
NAME OF ISSUER	CODE	123	4 5 6	789	DATE COMMENT
ANTIGUA FUNDING CORP	DE		х		11/08/99
ASARCO INC	DE	x	х	х	11/17/99
ASK JEEVES INC	DE	х		х	11/19/99
ASK JEEVES INC	DE	x		x	11/19/99
ASSET SECURITIZATION CORP COM MOR P	DE	x			11/26/99
S THR CERT SER 1999-C2					
AUDIOGENESIS SYSTEMS INC	NJ	x			09/30/99
AVISTA CORP	WA		x		11/23/99
BLOCK MORTGAGE FINANCE ASSET BACKED	NY		х	х	11/26/99
CERTIFICATES SER 1999 1					
BLOCK MORTGAGE FINANCE INC ASSET BA	DE		x	X	11/26/99
CKED CERT SERIES 1999 2					
BLYTH INDUSTRIES INC	DE		х	Х	12/02/99
BOBBY ALLISON WIRELESS CORP	FL		х	Х	11/19/99
BOMBARDIER CAPITAL MORTGAGE SECURIT	DE			Х	10/30/99
IZATION CORP					
BOMBARDIER CAPITAL MORTGAGE SECURIT	DE			Х	10/30/99
IZATION CORP					
BOMBARDIER CAPITAL MORTGAGE SECURIT	DE			Х	10/30/99
IZATION CORP					
BOMBARDIER CAPITAL MORTGAGE SECURIT	DE			x	10/30/99
IZATION CORP					
BOMBARDIER CAPITAL MORTGAGE SECURIT	DE			x	10/30/99
IZATION CORP					
BOMBARDIER CREDIT RECEIVABLES CORP	DE			X	10/30/99
BRANDMAKERS INC	UT		x	x	11/18/99
BRAUVIN CORPORATE LEASE PROGRAM IV	DE		х		11/30/99
L P					
BRAUVIN HIGH YIELD FUND L P	DE		х		11/30/99
BRAUVIN HIGH YIELD FUND L P II	DE		X		11/30/99
BRAUVIN INCOME PLUS L P III	DE		х		11/30/99
CALA CORP	OK		x	x	11/24/99
CAPCO ENERGY INC	CO		х		11/18/99
CAPITA EQUIPMENT RECEIVABLES TRUST	NY		х		11/08/99
1996-1					
CAPITAL ASSOCIATES INC	DE		x	x	12/01/99
CAPSTAR BROADCASTING PARTNERS INC	DE	х		X	11/19/99
CARETENDERS HEALTH CORP	DE	X			11/29/99
CAREY DIVERSIFIED LLC	DE		х	x	11/30/99
CDBEAT COM INC	DE	хх		X	11/16/99
CENDANT CORP	DE		х	x	12/02/99
CENEX HARVEST STATES COOPERATIVES	MN		х	x	11/23/99
CENTRIS GROUP INC	DE		x		11/23/99
CERPLEX GROUP INC/DE	DE		х		10/12/99
CERPLEX GROUP INC/DE	DE		x		11/24/99
CHARMING SHOPPES MASTER TRUST	DE		x		11/15/99
CHARMING SHOPPES RECEIVABLES CORP	DE		x		11/15/99
CHEC ASSET RECEIVABLE CORP	NV		х	x	11/30/99
CHECKFREE HOLDINGS CORP \GA\	DE		х		11/29/99
COMMERCIAL MORTGAGE ACCEPTANCE CORP	MO			x	12/02/99
CONSECO FINANCE SECURITIZATIONS COR	DE		x	x	11/16/99
P					
CONSECO INC	IN		x	x	11/29/99
CONSOLIDATED EDISON CO OF NEW YORK	NY		х	x	08/01/99
INC					
COYOTE NETWORK SYSTEMS INC	DE		x		11/18/99
CUMULUS MEDIA INC	IL		х	x	11/29/99
DLJ MORTGAGE ACCEPTANCE CORP	DE		х	x	11/29/99
DOW CHEMICAL CO /DE/	DE	x			12/01/99
DREXEL BURNHAM LAMBERT REAL ESTATE	NY	x		x	11/30/99
		-			* * *

ASSOCIATES III

	STATE			8K	ITE	М	NO.				
NAME OF ISSUER	CODE	1	2	3 4	5	6	7 8	39	DATE	COMM	ENT
							· ·				
EAST TEXAS FINANCIAL SERVICES INC	DE				X		X		12/01/	99	
ECHOSTAR COMMUNICATIONS CORP	NV				Х				12/01/	99	
EGGHEAD COM INC/DE	DE		X				X		11/19/	99	
EL PASO ENERGY CORP/DE	DE				Х				12/01/	99	
EL PASO ENERGY CORP/DE	DE				Х		X		12/02/	99	
ELEGANT ILLUSIONS INC /DE/	DE				X				12/02/	99	
ENTERTAINMENT INC	DE			х			X		11/24/	99	
ENTRADE INC	PA						X		10/19/	99 AM	END
EQUIVEST FINANCE INC	DE		X		Х				11/17/	99 AM	END
EXXON MOBIL CORP	NJ		X		X		X		11/30/	99	
FARMER MAC MORTGAGE SECURITIES CORP	DE	X							12/02/	99	
FIBERNET TELECOM GROUP INC\	NV				X		Х		11/30/	99	
FIRST ALLIANCE MORTGAGE LOAN TRUST	NY				Х		Х		11/22/	99	
1999-1											
FIRST ALLIANCE MORTGAGE LOAN TRUST	CA				Х		Х		11/22/	99	
1999-2											
FIRST ALLIANCE MORTGAGE LOAN TRUST	NY				Х		Х		11/22/	99	
1999-3											
FIRSTFED FINANCIAL CORP	DE	Х							12/02/		
FLAG FINANCIAL CORP	GA		Х						10/06/		
FRONTIER ADJUSTERS OF AMERICA INC	AZ	Х							11/18/		
FRONTIER OIL CORP /NEW/	WY		X				Х		11/16/	9	
FULLNET COMMUNICATIONS INC	OK				X		X		12/01/	99	
FUND AMERICA INVESTORS CORP II PASS	DE	Х							11/26/	9	
THRO CERT SERIES 1998-A											
FUTURELINK CORP	DE		Х				X		11/05/	9 AM	END
GELTEX PHARMACEUTICALS INC	DE		X				Х		11/16/	9	
GENERAL SEMICONDUCTOR INC	DE				Х		Х		12/01/		
GLOBALSTAR TELECOMMUNICATIONS LTD					X		X		11/30/		
GPU INC /PA/	PA		X		Х		Х		11/16/9	9	
GREENPOINT CREDIT LLC	DE				X				10/31/9	9	
GREENPOINT CREDIT LLC	DE				X				10/31/9	9	
GREENPOINT CREDIT LLC	DE				Х				10/31/9	9	
GREENPOINT CREDIT LLC	DE				Х				10/31/9		
GREENPOINT CREDIT LLC	DE				Х				10/31/9		
HERITAGE BANKSHARES INC /VA	VA				Х				11/30/9		
HFC REVOLVING CORP	DE				Х		X		11/19/9		
HILTON HOTELS CORP	DE		X		Х		X		11/30/9		
HOMESEEKERS COM INC	NV		X				Х		09/22/9		END
HOT TOPIC INC /CA/	CA				Х		X		12/01/9		
IBIS TECHNOLOGY CORP	MA				Х		Х		11/30/9		
IMH ASSETS CORP IMPAC CMB TRUST SER	CA	Х							11/26/9	9	
IES 1999-1											
IMPERIAL CREDIT COMMERCIAL MORTGAGE	CA	Х							11/26/9	19	
ACCEPTANCE CORP											
INDUSTRIAL DISTRIBUTION GROUP INC	DE				Х				12/01/9		
INTERNET COMMERCE CORP	DE				X		X		11/24/9		
IRIDIUM CAPITAL CORP	DE				X		X		11/29/9		
IRIDIUM FACILITIES CORP	DE				X		X		11/29/9		
IRIDIUM IP LLC	DE				X		X		11/29/9	9	
IRIDIUM LLC	DE				X		X		11/29/9		
IRIDTUM OPERATING LLC	LE				Х		X		11/~9/9		
IRIDIUM ROAMING LLC	DE				X		X		11,25/9		
IRIDIUM WORLD COMMUNICATIONS LTD					Х		X		11/29/9		
JAWS TECHNOLOGIES INC /NY	NV				X				11/17/9		
JERSEY CENTRAL POWER & LIGHT CO	NJ		X		X	2	X		11/16/9		
JUTLAND ENTERPRISES INC/DE	DE	X	X		X				12/02/9	9	
KENSINGTON INTERNATIONAL HOLDING CO	MN	X	X			:	X		11/29/9	9	
RP											
KENTUCKY CENTRAL LIFE INSURANCE CO	KY					2	X		11/24/9	9	

	STATE					TEM			_			
NAME OF ISSUER	CODE	1	. 2 	3	4	5 6		. 8 	9	DATE		OMMENT
KEYSPAN CORP	NY					x	х			12/02/	99	
KROLL O GARA CO	ОН					х	X			11/15/	99	
KULICKE & SOFFA INDUSTRIES INC	PA					X	X			11/17/	99	
LABORATORY CORP OF AMERICA HOLDINGS	DE					X	X			11/18/	99	
LABORATORY CORP OF AMERICA HOLDINGS	DE					X	X			11/22/	99	
LABTEC INC /MA	MA					Х				12/01/		
LEGALOPINION COM	UT	Х								11/15/		
LEGATO SYSTEMS INC	DE		.,			х	X			11/18/		
LIBERTY GROUP HOLDINGS INC	DE	Х	Х			X	Х			11/23/ 09/29/		
LMKI INC LOEWEN GROUP INC	NV					X X	х	Х		12/01/		
LORAL CYBERSTAR INC	DE					X	X			11/09/		
MACERICH CO	MD					x				11/16/		
MAINE PUBLIC SERVICE CO	ME					x				12/01/		
MBNA CORP	MD					X				12/01/		
MCHENRY METALS GOLF CORP /CA	NV				х					11/23/		
MECON INC	DE					х	х			11/29/	99	
MERRILL LYNCH PIERCE FENNER & SMITH	DE					Х	Х			10/28/	99	
INC												
METROPOLITAN EDISON CO	PA		X			Х	Х			11/16/	99	
MIDCOAST ENERGY RESOURCES INC	NV					X	X			09/23/	99	AMEND
NBC INTERNET INC	DE		X							07/28/	99	
NCT FUNDING CO LLC	DE					X				11/18/	99	
NEFF CORP	DE					X	X			10/11/	99	
NETWORK SIX INC	RI	Х								12/01/		
NEVSTAR GAMING & ENTERTAINMENT CORP	NV			Х		Х				12/01/		
NEWSOUTH BANCORP INC	VA		Х				X			11/30/		
NUTRAMAX PRODUCTS INC /DE/	DE					X	X			11/30/		
NUTRITION FOR LIFE INTERNATIONAL IN	TX					X	Х			11/17/	99	
OAKWOOD MORTGAGE INVESTORS INC	ΝV					х	х			11/30/	۵۵	
OLD KENT FINANCIAL CORP /MI/	MI		х			^	^			11/30/		
OLD NATIONAL BANCORP /IN/	IN		Λ			х	х			01/29/		
PAGEMART WIRELESS INC	DE					x	x			12/01/		
PARAGON TRADE BRANDS INC	DE					x				11/19/		
PENNSYLVANIA ELECTRIC CO	PA		X			x	х			11/16/		
PETRIE STORES LIQUIDATING TRUST	NY					x				11/29/	99	
PETROLEUM HELICOPTERS INC	DE	X								11/23/	99	
PFIZER INC	DE					X				12/01/	99	
PHELPS DODGE CORP	NY		X				X			12/02/	99	
PHOTOGEN TECHNOLOGIES INC	NV						X			11/30/	99	
PLUM CREEK TIMBER CO INC	DE					X				12/02/	99	
PLUMA INC				Х						11/20/		
POLAND COMMUNICATIONS INC	NY				Х		Х			11/24/		
PRIMEDIA INC	DE		X				X			11/17/		
PRODIGY COMMUNICATIONS CORP	DE					X				11/24/		
PROFESSIONAL BENEFITS INSURANCE CO	TX					v	X			10/31/		
PROTECTION ONE ALARM MONITORING INC	DE					X X	X			12/03/ 12/03/		
PROTECTION ONE INC	DE NY		х			^	X			11/23/		
PSINET INC	DE		^			х	X			11/30/		
QRS CORP OUESTCOR PHARMACEUTICALS INC	CA		х				X			12/01/		
RAZORFISH INC	DE		1		х		X			11/23/		
REDWOOD EMPIRE BANCORP	CA					х				12/02/		
RESIDENTIAL ACCREDIT LOANS INC	DE					x	х			12/01/		
RESIDENTIAL ASSET SECURITIES CORP	DE					x	x			12/01/		
RESIDENTIAL FUNDING MORTGAGE SECURI	DE						x			04/28/		
TIES I INC										·		
RESIDENTIAL FUNDING MORTGAGE SECURI	DE					X	X			12/01/	99	
TIES I INC												

STATE 8K ITEM NO.

NAME OF ISSUER	CODE	1 2	3	4	5 6	7 8 9	DATE	COMMENT
RESIDENTIAL FUNDING MORTGAGE SECURI	DE	••••	•••	••	x	х	12/01/	99
SAFE TECHNOLOGIES INTERNATIONAL INC	DE				Х		12/02/	99
SALISBURY BANCORP INC	CT				х	х	11/29/	
SAS CO OCWEN HOME EQ TR 1999 OFS1 A SS BKD CERT SER 1999 OFS					x	х	11/26/	
SENTO CORP	UT			X		x	11/24/9	99
SHOREWOOD PACKAGING CORP	DE				x	x	11/22/9	99
SOURCE INFORMATION MANAGEMENT CO	MI					x	12/02/9	99 AMEND
SOURCE MEDIA INC	DE	х				х	11/17/9	99
SOUTHERN PERU COPPER CORP/	DE				x		11/17/9	99
STEWART & STEVENSON SERVICES INC	TX				x	x	12/02/9	99
STORAGE USA INC	TN				x	х	12/01/9	99
STRUCTURED ASSET SEC CORP MORT PASS THR CERT SER 1999-C2	DE	X					11/15/9	99
STRUCTURED ASSET SEC CORP MORT PASS THRO CERT SER 1999 ALS2	DE				X	х	11/26/9	99
STRUCTURED ASSET SEC CORP MORT PASS THROUGH CERT 1999 ALS1	DE				X	Х	11/26/9	99
SUPERIOR BANK FSB AFC MORTGAGE LN A SSET BK NOTES SER 1999-3	IL			:	X		11/26/9	9
SUPERIOR BANK FSB AFC MORTGAGE LN A SSET BK NOTES SER 1999-3	IL				X		11/26/9	9
SUPERIOR BANK FSB AFC MORTGAGE LN A SSET BK NOTES SER 1999-3	IL			:	X		11/26/9	9
TMP WORLDWIDE INC	DE				X		11/30/9	9
TODHUNTER INTERNATIONAL INC	DE	х				х	11/17/9	9
TRANSAMERICAN ENERGY CORP	DE			2	X	X	11/30/9	9
TRANSAMERICAN REFINING CORP	TX			2	X	х	11/30/9	9
TRANSCONTINENTAL REALTY INVESTORS I NC	NV			;	X		11/30/9	9
TUCSON ELECTRIC POWER CO	AZ			2	X		11/22/9	9
UNION CARBIDE CORP /NEW/	NY			:	X	х	12/01/9	9
UNION PLANTERS MORT FIN CORP MORT P ASS THRU CERT SE 1999-1	NY			2	X	X	11/25/9	9
UNISOURCE ENERGY CORP	AZ			2	K		11/22/9	9
UNITED PETROLEUM CORP	DE	х х	X				11/12/9	9 AMEND
UNITEL VIDEO INC/DE	DE			2	K	х	09/03/9	9
UNIVERSAL CORP /VA/	VA			2	ĸ	x	12/02/9	19
UNO RESTAURANT CORP	DE			1	K		11/30/9	9
UNOCAL CORP	DE			2	K		11/30/9	9
USA TECHNOLOGIES INC	PA			2	K		11/23/9	9
WARNER LAMBERT CO	DE			2	ĸ	x	11/19/9	9
WEITZER HOMEBUILDERS INC	FL		2	<		X	11/30/9	9
WESTERN RESOURCES INC /KS	KS			2	K	X	11/15/9	9 AMEND
WESTERN RESOURCES INC /KS	KS			2	(	X	12/03/9	9
WIND RIVER SYSTEMS INC	DE			2	(	X	10/21/9	9
XCL LTD	DE	x					11/30/9	9
ZIONS COOPERATIVE MERCANTILE INSTITUTION	UT	Х					11/19/9	9