# **SEC NEWS DIGEST**

Issue 96-238

December 16, 1996

## RULES AND RELATED MATTERS

PROPOSED AMENDMENTS TO THE RULES AND FORMS REGULATING MONEY MARKET FUNDS

The Commission issued a release seeking public comment on proposed amendments to rules and forms under the Securities Act of 1933 and the Investment Company Act of 1940 (1940 Act) that govern money market funds. Proposed technical amendments to Rule 2a-7 under the 1940 Act would, among other things, revise terminology used in the rule to reflect common market usage, and codify a number of interpretive positions taken by the staff of the Division of Investment Management. Proposed amendments to the advertising rules applicable to money market funds would clarify the formula used to calculate yield and would prevent investors from being confused or misled by presentation of a money market fund's short-term total return in lieu of yield. FOR FURTHER INFORMATION CONTACT: Marjorie S. Riegel at (202) 942-0727. (Rel. 33-7371, IC-22383, S7-29-96)

ENFORCEMENT PROCEEDINGS

JOHN D'ACQUISTO SANCTIONED

An administrative law judge today sanctioned John F. D'Acquisto, an investment adviser, pursuant to Sections 203(e) and 203(f) of the Investment Advisers Act of 1940 (Advisers Act). Administrative Law Judge Lillian A. McEwen barred Mr. D'Acquisto from association with any investment adviser, and ordered that Mr. D'Acquisto's registration as an investment adviser be revoked.

After a hearing and consideration of the record, Judge McEwen found that Mr. D'Acquisto had been an investment adviser at the time that he was permanently enjoined by the United States District Court for the Southern District of California from violating the antifraud provisions of the federal securities laws. The injunction resulted from the court's finding, based on stipulated facts, that Mr. D'Acquisto had obtained several million dollars from investors by misrepresentations, diverted the funds for his own personal use, sustained losses through unauthorized investments, and refused to return the funds upon demand by the investors. (Initial Decision Rel. No. #103)

### ORDER PERMITTING ASSOCIATION OF BENALDER BAYSE, JR.

On December 12, the Commission issued a Declaratory Order (Order) regarding the association of Benalder Bayse, Jr. as a registered representative subject to limitations with Merit Capital Associates, Inc., a member of the National Association of Securities Dealers, Inc. (NASD). The Order states that, based on representations made regarding the supervision of Mr. Bayse and the terms and conditions of his association, the Commission will not institute administrative proceedings pursuant to Sections 15(b) or 19(h) of the Exchange Act and will not direct the NASD to bar the proposed association pursuant to Section 15A(g)(2). The Order granting consent to the association is necessary because Mr. Bayse is subject to a 1992 order of the Commission barring him from association with any broker, dealer, investment company, investment adviser or municipal securities dealer, with a proviso that he may apply to become so associated after three years. (Rel. 34-38044)

### INVESTMENT COMPANY ACT RELEASES

### PROVIDENTMUTUAL TOTAL RETURN TRUST

A notice has been issued giving interested persons until January 6 to request a hearing on an application filed by ProvidentMutual Total Return Trust for an order under Section 8(f) of the Investment Company Act declaring that applicant has ceased to be an investment company. (Rel. IC-22392 - December 12)

PROVIDENTMUTUAL INVESTMENT SHARES, INC.

A notice has been issued giving interested persons until January 6 to request a hearing on an application filed by ProvidentMutual Investment Shares, Inc. for an order under Section 8(f) of the Investment Company Act declaring that applicant has ceased to be an investment company. (Rel. IC-22393 - December 12)

PROVIDENTMUTUAL GROWTH FUND, INC.

A notice has been issued giving interested persons until January 6 to request a hearing on an application filed by ProvidentMutual Growth Fund, Inc. for an order under Section 8(f) of the Investment Company Act declaring that applicant has ceased to be an investment company. (Rel. IC-22394 - December 12)

PROVIDENTMUTUAL TAX-FREE BOND FUND

A notice has been issued giving interested persons until January 6 to request a hearing on an application filed by ProvidentMutual Tax-Free Bond Fund for an order under Section 8(f) of the Investment Company Act declaring that applicant has ceased to be an investment company. (Rel. IC-22395 - December 12)

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### PROVIDENTMUTUAL VALUE SHARES, INC.

A notice has been issued giving interested persons until January 6 to request a hearing on an application filed by ProvidentMutual Value Shares, Inc. for an order under Section 8(f) of the Investment Company Act declaring that applicant has ceased to be an investment company. (Rel. IC-22396 - December 12)

PROVIDENTMUTUAL U.S. GOVERNMENT FOR INCOME, INC.

A notice has been issued giving interested persons until January 6 to request a hearing on an application filed by ProvidentMutual U.S. Government For Income, Inc. for an order under Section 8(f) of the Investment Company Act declaring that applicant has ceased to be an investment company. (Rel. IC-22397 - December 12)

PROVIDENTMUTUAL MONEYFUND, INC.

A notice has been issued giving interested persons until January 6 to request a hearing on an application filed by ProvidentMutual Moneyfund, Inc. for an order under Section 8(f) of the Investment Company Act declaring that applicant has ceased to be an investment company. (Rel. IC-22398 - December 12)

PROVIDENTMUTUAL WORLD FUND, INC.

A notice has been issued giving interested persons until January 6 to request a hearing on an application filed by ProvidentMutual World Fund, Inc. for an order under Section 8(f) of the Investment Company Act declaring that applicant has ceased to be an investment company. (Rel. IC-22399 - December 12)

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.

- S-3 FIRST TENNESSEE NATIONAL CORP, 165 MADISON AVE, MEMPHIS, TN 38103 (901) 523-4444 - 40,000 (\$1,000,000) STRAIGHT BONDS. (FILE 333-17457 -DEC. 09) (BR. 7)
- S-3 ASTEA INTERNATIONAL INC, 100 HIGHPOINT DR, CHALFONT, PA 18914 (215) 822-8888 - 233,236 (\$1,326,530) COMMON STOCK. (FILE 333-17459 -DEC. 09) (BR. 3)
- S-4 AMERICAN RESTAURANT GROUP HOLDINGS INC, 450 NEWPORT CENTER DR, SUITE 600, NEWPORT BEACH, CA 92660 (714) 721-8000 - 17,000,000 (\$12,932,128) STRAIGHT BONDS. (FILE 333-17463 - DEC. 09) (BR. 2)

- S-8 PEOPLES HERITAGE FINANCIAL GROUP INC, ONE PORTLAND SQ, P O BOX 9540, PORTLAND, ME 04112 (207) 761-8500 - 91,665 (\$673,096) COMMON STOCK. (FILE 333-17467 - DEC. 09) (BR. 7)
- S-4 SPECIALTY PAPERBOARD INC, BRUDIES RD, PO BOX 498, BRATTLEBORO, VT 05302 (802) 257-0365 100,000,000 (\$100,000,000) STRAIGHT BONDS. (FILE 333-17471 DEC. 09) (BR. 4)
- S-8 \_ILLINOIS TOOL WORKS INC, 3600 W LAKE AVE, GLENVIEW, IL 60025 (847) 724-7500 - 1,250,000 (\$99,531,250) COMMON STOCK. (FILE 333-17473 -DEC. 09) (BR. 6)
- S-8 AMERICAN ANNUITY GROUP INC, 250 E FIFTH ST, 10TH FL, CINCINNATI, OH 45202 (513) 357-3300 - 250,000 (\$3,484,375) COMMON STOCK. (FILE 333-17475 - DEC. 06) (BR. 1)
- S-8 BEAUTICONTROL COSMETICS INC, 2121 MIDWAY, CARROLLTON, TX 75006 (214) 458-0601 - 270,000 (\$3,645,000) COMMON STOCK. (FILE 333-17479 -DEC. 09) (BR. 2)
- S-3 HUNGARIAN TELECONSTRUCT CORP, 90 WEST ST, NEW YORK, NY 10006 (212) 571-7400 - 960,790 (\$2,882,370) COMMON STOCK. (FILE 333-17481 -DEC. 09) (BR. 9)
- S-8 NEW TENNECO INC, 1275 KING STREET, GREENWICH, CT 06831 (203) 863-1000 62,000 (\$895,280) COMMON STOCK. (FILE 333-17483 DEC. 09) (BR. 5)
- S-8 NEW TENNECO INC, 1275 KING STREET, GREENWICH, CT 06831 (203) 863-1000 -17,000,000 (\$245,480,000) COMMON STOCK. (FILE 333-17485 - DEC. 09) (BR. 5)

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- S-8 NEW TENNECO INC, 1275 KING STREET, GREENWICH, CT 06831 (203) 863-1000 528,100 (\$7,625,764) COMMON STOCK. (FILE 333-17487 DEC. 09) (BR. 5)
- S-3 AMERICAN NORTEL COMMUNICATIONS INC, 7201 E CAMELBACK RD, SUITE 320, SCOTTSDALE, AZ 85251 (602) 945-1266 - 7,485,000 (\$5,763,450) COMMON STOCK. (FILE 333-17489 - DEC. 09) (BR. 3)
- S-8 NEROX ENERGY CORP, 846 W. FOOTHILL BLVD STE Y, UPLAND, CA 91786 (909) 981-3217 - 600,000 (\$420,000) COMMON STOCK. (FILE 333-17491 -DEC. 09) (BR. 4)
- S-8 OPTICAL SENSORS INC, 7615 GOLDEN TRIANGLE DRIVE, STE A, EDEN PRARIE, MN 55344 200,000 (\$1,725,000) COMMON STOCK. (FILE 333-17493 DEC. 09) (BR. 1)
- S-1 AMERITRADE HOLDING CORP, 4211 SOUTH 102ND ST, OMAHA, NE 68127 (402) 331-7856 - 50,000,000 (\$50,000,000) COMMON STOCK. (FILE 333-17495 -DEC. 09) (NEW ISSUE)
- S-8 HEART LABS OF AMERICA INC /FL/, 1903 S CONGRESS AVE, STE 400, BOYNTON BEACH, FL 33426 (561) 737-2227 - 179,200 (\$224,000) COMMON STOCK. (FILE 333-17499 - DEC. 09) (BR. 1)
- S-3 CYPROS PHARMACEUTICAL CORP, 0, 2714 LOKER AVE WEST, CARLSBAD, CA 92008 (619) 929-9500 750,000 (\$2,835,000) COMMON STOCK. (FILE 333-17501 DEC. 09) (BR. 1)
- S-3 TIMKEN CO, 1835 DUEBER AVE SW, CANTON, OH 44706 (216) 471-3000 -500,000 (\$22,875,000) COMMON STOCK. (FILE 333-17503 - DEC. 09) (BR. 6)
- S-8 EPIC DESIGN TECHNOLOGY INC /CA/, 310 N MARY AVENUE, STE 212, SUNNYVALE, CA 94086 (408) 733-8080 - 101,000 (\$2,518,687.50) COMMON STOCK. (FILE 333-17507 - DEC. 09) (BR. 3)
- S-8 TIMKEN CO, 1835 DUEBER AVE SW, CANTON, OH 44706 (216) 471-3000 625,000 (\$28,593,750) COMMON STOCK. (FILE 333-17509 DEC. 09) (BR. 6)
- S-8 TRIANGLE BANCORP INC, 4800 SIX FORKS RD, RALEIGH, NC 27609 (919) 881-0455 - 239,098 (\$1,444,591) COMMON STOCK. (FILE 333-17511 -DEC. 09) (BR. 7)

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- S-8 TECHNICLONE INTERNATIONAL CORP, 14282 FRANKLIN AVE, TUSTIN, CA 92680 (714) 838-0500 - 4,000,000 (\$18,500,000) COMMON STOCK. (FILE 333-17513 -DEC. 09) (BR. 1)
- S-4 BLUE BIRD BODY CO, 3920 ARKWRIGHT ROAD, SUITE 275, MACON, GA 31210 (912) 757-7100 100,000,000 (\$99,695,000) STRAIGHT BONDS. (FILE 333-17515 DEC. 09) (BR. 5)
- S-3 \_VERITAS DGC INC, 3701 KIRBY DR, STE 112, HOUSTON, TX 77098 (713) 526-5611 - 113,333 (\$2,500,465.98) COMMON STOCK. (FILE 333-17517 -DEC. 09) (BR. 4)
- S-3 S3 INC, 2770 SAN TOMAS EXPWY, SANTA CLARA, CA 95052 (408) 980-5400 -103,500,000 (\$103,500,000) CONVERTIBLE DEBENTURES AND NOTES. (FILE 333-17519 - DEC. 09) (BR. 3)
- S-8 NPS PHARMACEUTICALS INC, 420 CHIPETA WAY SUITE 240, SALT LAKE CITY, UT 84108 (801) 583-4939 - 900,000 (\$9,225,000) COMMON STOCK. (FILE 333-17521 - DEC. 09) (BR. 1)
- S-8 HUNGARIAN TELECONSTRUCT CORP, 90 WEST ST, NEW YORK, NY 10006 (212) 571-7400 - 775,000 (\$2,325,000) COMMON STOCK. (FILE 333-17523 -DEC. 09) (BR. 9)
- S-8 FREMONT GENERAL CORP, 2020 SANTA MONICA BLVD, STE 600, SANTA MONICA, CA 90404 (310) 315-5500 - 2,068,210 (\$61,529,247.50) COMMON STOCK. (FILE 333-17525 - DEC. 10) (BR. 1)
- S-3 IBAH INC, FOUR VALLEY SQ, 512 TOWNSHIP LINE ROAD, BLUE BELL, PA 19422 (215) 283-0770 3,059,071 (\$19,501,577) COMMON STOCK. (FILE 333-17527 DEC. 09) (BR. 1)
- S-1 QUALIX GROUP INC, 1900 S NORFOLK ST, SUITE 224, SAN MATEO, CA 94403 (415) 572-0200 - 3,335,000 (\$36,685,000) COMMON STOCK. (FILE 333-17529 -DEC. 10) (NEW ISSUE)

### 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.

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. Copies of the reports may be purchased from the Commission's Public Reference Room (when ordering, please give the date of the report). An invoice will be included with the requested material when mailed.

|                               |    | 8K ITEM NO. |   |          |         |  |  |
|-------------------------------|----|-------------|---|----------|---------|--|--|
| NAME OF ISSUER                |    | 12345678    |   | DATE     | COMMENT |  |  |
|                               | ~  |             |   |          |         |  |  |
| ABLE TELCOM HOLDING CORP      | FL | X           | X | 12/02/96 |         |  |  |
| ADAMS OUTDOOR ADVERTISING INC | MN | x           | X | 11/07/9  | 96      |  |  |

STATE 8K ITEM NO. 12345678 NAME OF ISSUER CODE DATE COMMENT ----\_\_\_\_\_ ADAMS OUTDOOR ADVERTISING LTD PARTNERSHI MN X X 11/07/96 12/04/96 APPLE COMPUTER INC ¥ CA 12/06/96 AUTOMEDIX SCIENCES INC X х П BEAR STEARNS MORTGAGE SECURITIES INC DF X 11/27/96 CAPITOL-MULTIMEDIA INC /DE/ DF X X 11/30/96 12/12/96 CERPLEX GROUP INC DF X 12/13/96AMEND X CHEM INTERNATIONAL INC DF х 12/13/96AMEND CHEM INTERNATIONAL INC DF 12/04/96 CHURCHILL TECHNOLOGY INC CO Х Х 11/26/96 CIRCLE FINE ART CORP DF COMPLETE MANAGEMENT INC NY X 10/01/96AMEND CORESTATES HOME EQUITY LOAN TRUST 1996-1 X 12/13/96 хх 11/14/96 CORONADO INDUSTRIES INC NY хх х CROSS TIMBERS OIL CO X 12/02/96 DE CWMBS INC MORT PASS THR CERT SER 1996-E Х X 10/25/96 DF CWMBS INC MORT PASS THR CERT SER 1996-1 X X 10/25/96 CWMBS INC MORT PASS THRO CERT SER 1996-A DE х X 10/25/96 CWMBS INC MORTGAGE PASS THROUGH CERT SER DE х Х 10/25/96 CWMBS INC MORTGAGE PASS THROUGH CERTIFIC х Х 10/25/96 CWMBS INC MORTGAGE PASS THROUGH CERTIFIC DE х х 10/25/96 CWMBS INC MORTGAGE PASS THROUGH CERTIFIC 10/25/96 х X CWMBS INC MORTGAGE PASS THROUGH CERTIFIC х 10/25/96 DF х CWMBS INC MORTGAGE PASS THROUGH CERTIFIC Х DF X 10/25/96 CWMBS INC MORTGAGE PASS THROUGH CERTIFIC ĐF Х X 10/25/96 CWMBS INC MORTGAGE PASS THROUGH CERTIFIC Х 10/25/96 DF X CYCOMM INTERNATIONAL INC WY х 11/29/96 DATRONIC EQUIPMENT INCOME FUND XIX L P DE Х 12/06/96 DATRONIC EQUIPMENT INCOME FUND XVI L P DE Х 12/06/96 DATRONIC EQUIPMENT INCOME FUND XVII L P DF Х 12/06/96 DATRONIC EQUIPMENT INCOME FUND XVIII L P DE Х 12/06/96 DATRONIC EQUIPMENT INCOME FUND XX L P DE Х 12/06/96 DATRONIC FINANCE INCOME FUND I LP Х DE 12/06/96 DEPARTMENT 56 INC DE х 12/10/96 х ELECTRONIC SYSTEMS TECHNOLOGY INC WA х X 12/10/96 EQUITY INNS INC TN X 11/15/96 EQUITY RESIDENTIAL PROPERTIES TRUST MD х 12/12/96 EQUIVANTAGE HOME EQUITY LOAN TRUST 1995-~ NY Х 10/25/96 EQUIVANTAGE HOME EQUITY LOAN TRUST 1995-NY Х 11/25/96 EQUIVANTAGE HOME EQUITY LOAN TRUST 1996-X 11/25/96 EQUIVANTAGE HOME EQUITY LOAN TRUST 1996-NY х 11/25/96 EQUIVANTAGE HOME EQUITY LOAN TRUST 1996-NY X 11/25/96 EXCEL REALTY TRUST INC CA х 12/12/96 FAFCO INC CA Х х 12/11/96 FILENES BASEMENT CORP MA х X 12/06/96 FINANCIAL SERVICES ACQUISITION CORP /DE/ 12/02/96AMEND DF X X FIRST MERCHANTS ACCEPTANCE CORP DF х 12/11/96 X FIRST PALM BEACH BANCORP INC DF X x 12/12/96 FIRST WESTERN BANCORP INC PA х 11/26/96 FIRSTPLUS INVESTMENT CORP х х NV 12/13/96 FLEXTRONICS INTERNATIONAL LTD х х 11/19/96 FOOTSTAR INC DF X X 12/05/96 GE CAPITAL MORT SERVICES INC MORT PAS TH 06/25/95 х N.I X GE CAPITAL MORT SERVICES INC MORT PAS TH X х 06/26/95 N.I GE CAPITAL MORT SERVICES INC MORT PAS TH N.I X х 06/26/95 GE CAPITAL MORT SERVICES INC MORT PAS TH Х X NJ 06/26/95 GE CAPITAL MORT SERVICES INC MORT PAS TH Х N.J X 06/26/95 GE CAPITAL MORT SERVICES INC MORT PAS TH х х 06/26/95 N.J GE CAPITAL MORT SERVICES INC MORT PAS TH х NJ Х 06/26/95 GE CAPITAL MORT SERVICES INC MORT PAS TH NJ х Х 06/26/95 GE CAPITAL MORT SERVICES INC MORT PAS TH NJ ххх 06/26/95

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STATE 8K ITEM NO.

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| NAME OF ISSUER                          | STATE<br>CODE |   | ITEM NO.<br>23450 | 578 | DATE    | COMMENT |
|---|---------------|---|-------------------|-----|---------|---------|
|   |               |   |                   |     |         |         |
| STRUCTURED ASSET SECURITIES CORP SERIES | DE            | x |                   |     | 11/25/9 | 6       |
| STRUCTURED ASSET SECURITIES CORP SERIES |               | х |                   |     | 11/25/9 | 6       |
| STRUCTURED ASSET SECURITIES CORPORATION | DE            | x |                   |     | 11/25/9 | 6       |
| TEKTRONIX INC                           | OR            |   | х                 | х   | 08/31/9 | 6       |
| THRIFTY PAYLESS HOLDINGS INC            | DE            |   | Х                 | Х   | 12/12/9 | 6       |
| TOPRO INC                               | CO            |   | х                 | Х   | 12/13/9 | 6       |
| UNIVERSAL HOSPITAL SERVICES INC         | MN            |   | х                 | Х   | 12/12/9 | 6       |
| URANIUM RESOURCES INC /DE/              | DE            |   | X                 |     | 12/13/9 | 6       |
| WITCO CORP                              | DE            |   | Х                 | X   | 12/12/9 | 6       |
| WONDERWARE CORP                         | DE            |   | Х                 |     | 12/31/9 | 6       |
| YAMAHA MOTOR RECEIVABLES CORP           | DE            |   | Х                 |     | 12/15/9 | 6       |
| ZYCON CORP                              | DE            |   | X                 | х   | 12/06/9 | 6       |

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