

# SEC NEWS DIGEST

Issue 2001-219

November 14, 2001

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## ENFORCEMENT PROCEEDINGS

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### COMMISSION INSTITUTES STOP ORDER PROCEEDINGS AGAINST REGISTRATION STATEMENT OF TOKS INC.

On November 13, the Commission issued an Order Fixing Time and Place of Public Hearing and Instituting Proceedings pursuant to Section 8(d) of the Securities Act of 1933, in the Matter of a Registration Statement of Toks Inc. In the Order, the Division of Enforcement alleges that the registration statement Toks originally filed on August 31, 2001, and amended on September 7, 2001, contains untrue statements of material fact and omits material facts required to be stated. According to the allegations in the Order, Toks, among other things, fails to provide current and historical financial information as required by the Commission's forms and regulations governing the offer and sale of securities to the public and fails to describe adequately its purported ability to obtain \$10 billion of debt financing or to register \$2 trillion in stock to launch exchange tender offers for the securities of large public companies. A hearing will be held before an Administrative Law Judge at 10:00 a.m. on November 29 2001 to determine whether a stop order should be issued suspending the effectiveness of the Toks registration statement. (Rel. 33-8032; File No. 3-10635)

### ORDER MAKING FINDINGS AND IMPOSING SANCTIONS BY DEFAULT AGAINST DAVID LYNCH

An administrative law judge today issued an Order Making Findings and Imposing Sanctions by Default against David E. Lynch of Spring, Texas. While a registered representative of a certain broker-dealer, Lynch engaged in a parking scheme used to manipulate the price of certain government agency securities and conceal excessive markups charged to the broker-dealer's customers in violation of the federal securities laws. As a result of his actions, Lynch also aided and abetted the broker-dealer's violations of net capital and books and records requirements.

Lynch declined to defend the administrative proceeding. Accordingly, the administrative law judge ordered that he be barred from association with any broker or dealer; cease and desist from committing, aiding and abetting, or causing violations of certain federal securities laws; and pay a penalty of \$50,000. (Rel. 33-8033; 34-45052; File No. 3-9440)

## **SEC INITIATES SUBPOENA ENFORCEMENT ACTION AGAINST DC&Z, LLC AND ITS MEMBERS**

The Commission today announced that on August 23, 2001, it filed an application in federal district court in Chicago seeking an order requiring compliance with subpoenas issued by the Commission to DC&Z, LLC (DC&Z), Nunzio DeSantis, Joseph Zappala, Richard Cook, Francisco Urrea, and Greg Carabajal (the Respondents). DC&Z is a Florida limited liability company with its principal place of business in Albuquerque, New Mexico. DC&Z's members are DeSantis, Cook and Urrea, residents of New Mexico, and Zappala, a resident of New York. Carabajal, a resident of New Mexico, is also associated with DC&Z. The subpoenas sought documents and testimony relating to their investment activities.

The Respondents failed to comply with the subpoenas issued by the Commission and the Commission, in its application, argued that the Respondents had no valid justification for their failure to comply. On or around August 30, 2001, Respondents filed a Motion to Quash the subpoenas. On September 12, 2001, the Court denied the Respondent's Motion to Quash and granted all of the relief requested by the Commission. [SEC v. DC&Z, LLC, Nunzio DeSantis, Joseph Zappala, Richard Cook, Francisco Urrea, Greg Carabajal, Civil Action No. 01 C 6574, N.D. Ill.] (LR-17229)

## **COMMISSION OBTAINS \$20 MILLION JUDGMENT AGAINST MICHAEL BERGER IN HEDGE FUND FRAUD CASE**

On November 13, the Honorable Denise Cote of the United States District Court for the Southern District of New York issued an opinion and order granting the Commission's motion for summary judgment against Michael W. Berger, the former investment manager of a hedge fund known as the Manhattan Investment Fund, Ltd. (Fund). The judgment in *SEC v. Michael Berger et al.* finds Berger liable for securities fraud, orders him to pay disgorgement of \$20,007,233.68 and a civil penalty of \$100,000 and permanently enjoins him from violating the antifraud provisions of the federal securities laws. The \$20,007,233.68 disgorgement figure represents \$19,874,735.44 in management and incentive fees that Manhattan Capital Management, Inc. (MCM), the advisory firm owned and controlled by Berger, was paid by the Fund, as well as \$132,498.24 in prejudgment interest.

In its complaint filed January 18, 2000, the Commission charged Berger, MCM and the Fund with a massive fraud in violation of the antifraud provisions of the federal securities laws. Berger, 30, is an Austrian citizen who resides in New York City. The Fund was organized under the laws of the British Virgin Islands and was open to foreign investors and tax-exempt U.S. investors. MCM was the New York-based investment manager of the Fund. Berger owned and controlled MCM and was its only officer. Through MCM, Berger directed the investment activities of the Fund.

In her opinion and order, Judge Cote found that Berger commenced his fraudulent scheme almost immediately after the Fund began its operations in mid-1996. Judge Cote further found that, as a result of Berger's trading strategy, the Fund consistently suffered losses which ultimately totaled nearly \$400 million. Instead of accurately reporting the losses the Fund was experiencing, however Berger created fictitious account statements which substantially overstated the market value of the Fund's holdings. Judge Cote found that Berger caused a fictitious account statement to be forwarded to the Fund's administrator in Bermuda every month for 39 consecutive months. The Fund's administrator then calculated the Fund's net asset value and the market value of each investor's shares in the Fund based on Berger's fabricated figures, and sent monthly account statements based on these calculations to the Fund's investors. Judge Cote concluded that "the fraud was conceived and executed in New York by Berger" and that "Berger acted willfully and knowingly in carrying out the fraud."

Both MCM and the Fund are the subject of Chapter 11 bankruptcy proceedings pending in the United States Bankruptcy Court for the Southern District of New York. Mr. Berger remains the subject of a criminal proceeding brought by the United States Attorney for the Southern District of New York. [SEC v. Michael W. Berger, Manhattan Investment Fund Ltd., and Manhattan Capital Management, Inc., Civil Action No. 00 Civ. 0333, DLC, HP, SDNY] (LR-17230)

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## **INVESTMENT COMPANY ACT RELEASES**

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### **MASSMUTUAL INSTITUTIONAL FUNDS, ET AL.**

An order has been issued on an application filed by MassMutual Institutional Funds, et al. under Section 6(c) of the Investment Company Act, exempting applicants from Section 15(a) of the Act and Rule 18f-2 under the Act. The order permits applicants to enter into and materially amend sub-advisory agreements without shareholder approval. (Rel. IC-25260 – November 9)

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## **SELF-REGULATORY ORGANIZATIONS**

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### **IMMEDIATE EFFECTIVENESS OF PROPOSED RULE CHANGE**

A proposed rule change filed by the International Securities Exchange (SR-ISE-2001-28) exempting complex orders from payment-for-order-flow and marketing fees has become immediately 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 12. (Rel. 34-45049)

## WITHDRAWAL GRANTED

An order has been issued granting the application of Public Service Enterprise Group Inc. to withdraw its Common Stock, no par value, from listing and registration on the Philadelphia Stock Exchange, effective November 14, 2001. (Rel. 34-45050)

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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 BECKMAN COULTER INC, 4300 N HARBOR BLVD, PO BOX 3100, FULLERTON, CA 92834 (714) 773-6907 - 13,500,000 (\$13,500,000)  
OTHER SECURITIES INCLUDING VOTING TRUST. (FILE 333-72892 - NOV. 07)  
(BR. 5)
- S-8 BECKMAN COULTER INC, 4300 N HARBOR BLVD, PO BOX 3100, FULLERTON, CA 92834 (714) 773-6907 - 3,500,000 (\$3,500,000)  
OTHER SECURITIES INCLUDING VOTING TRUST. (FILE 333-72896 - NOV. 07)  
(BR. 5)
- S-3 KOPIN CORP, 695 MYLES STANDISH BLVD, TAUNTON, MA 02780 (508) 824-6696 -  
\$150,000,000 STRAIGHT BONDS. (FILE 333-72956 - NOV. 08) (BR. 5)
- S-8 KLEENAIR SYSTEMS INC, 1370 S. ACACIA AVENUE, SUITE 410, FULLERTON, CA 92831 (714) 774-3652 - 2,200,000 (\$440,000) COMMON STOCK. (FILE 333-72958 - NOV. 08) (BR. 9)
- S-8 VIANT CORP, 89 SOUTH STREET 7TH FLOOR, BOSTON, MA 02111 (617) 531-3700  
- 1,000,000 (\$1,041,200) COMMON STOCK. (FILE 333-72960 - NOV. 08) (BR. 8)
- S-1 PROFESSIONAL VETERINARY PRODUCTS LTD /MO/, 10077 SOUTH 134TH STREET, OMAHA, NE 68127 (402) 331-4440 - 500 (\$1,500,000) COMMON STOCK. (FILE 333-72962 - NOV. 08) (BR. 2)

S-3 APHTON CORP, PO BOX 1049, STE 51-507, WOODLAND, CA 95776 (530) 661-6077

- 1,500,000 (\$20,595,000) COMMON STOCK. (FILE 333-72964 - NOV. 08)  
(BR. 1)

## 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 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		
ABN AMRO MORTGAGE CORP SERIES 2001- 7	DE		X						X		10/29/01	
ACCEPTANCE INSURANCE COMPANIES INC	DE					X					10/31/01	
ACC RUE SOFTWARE INC	DE					X	X				10/24/01	
ACE SECURITIES CORP	DE					X	X				10/30/01	
ACT TELECONFERENCING INC	CO							X	X		11/12/01	
ACTIVE IQ TECHNOLOGIES INC	CO		X					X			09/18/01	AMEND
ADELPHIA COMMUNICATIONS CORP	DE					X	X				11/09/01	
AGILENT TECHNOLOGIES INC	DE					X					11/12/01	
AIRPLANES LTD	DE					X					11/13/01	
AIRPLANES US TRUST	DE					X					11/13/01	
ALLIANT TECHSYSTEMS INC	DE							X	X		11/13/01	
ALLIED WASTE INDUSTRIES INC	DE					X					11/13/01	
ALLOY INC	DE					X					11/05/01	
ALTEON INC /DE	DE					X					11/07/01	
AMANDA CO INC	UT					X	X				11/13/01	
AMERICAN AIRLINES INC	DE					X					11/13/01	
AMERICAN EXPRESS CENTURION BANK	UT					X	X				11/07/01	
AMERICAN EXPRESS MASTER TRUST	DE					X	X				11/07/01	
AMERICAN EXPRESS RECEIVABLES FINANC ING CORP	DE					X	X				11/07/01	

NAME OF ISSUER	STATE	8K ITEM NO.									DATE	COMMENT
	CODE	1	2	3	4	5	6	7	8	9		
AMERICAN RETIREMENT VILLAS PROPERTI ES III LTD PARTNERSHIP	CA					X		X			11/14/01	
AMERUS GROUP CO/IA	IA							X	X		11/13/01	
AMR CORP	DE					X					11/13/01	
ANC RENTAL CORP	DE			X				X			11/13/01	
ANTHRACITE CAPITAL INC	MD					X		X			11/13/01	
APPLIANCE RECYCLING CENTERS OF AMER ICA INC /MN	MN					X		X			11/08/01	
ASCENT PEDIATRICS INC	DE								X		11/09/01	
BANCTEC INC	DE				X			X			11/05/01	
BB&T CORP	NC					X					11/13/01	AMEND
BEAR STEARNS COMMERCIAL MORTGAGE SE CURITIES TRUST 2001-TOP4	DE		X						X		11/05/01	
BEECH CORP	NV					X					10/04/01	AMEND
BIONUTRICS INC	NV					X			X		11/09/01	
BLOUNT INTERNATIONAL INC	DE					X		X			11/06/01	
BOSTON PROPERTIES INC	DE							X			10/23/01	AMEND
BRIGHAM EXPLORATION CO	DE					X		X			11/12/01	
CABOT INDUSTRIAL PROPERTIES LP	DE					X		X			10/28/01	
CACI INTERNATIONAL INC /DE/	DE					X		X			11/09/01	
CALIFORNIA INDEPENDENT BANCORP	CA					X		X			11/13/01	
CALPINE CORP	DE					X		X			10/16/01	
CAPITAL ONE AUTO FINANCE TRUST 2001 -A	DE					X		X			11/09/01	
CAPITAL ONE MASTER TRUST	VA					X		X			11/09/01	
CENTRACK INTERNATIONAL INC	DE				X			X			07/10/01	AMEND
CENTRAL HUDSON GAS & ELECTRIC CORP	NY		X								11/13/01	
CH ENERGY GROUP INC	NY		X								11/13/01	
CHAMPION ENTERPRISES INC	MI					X		X			11/13/01	
CHASE MANHATTAN AUTO OWNER TRUST 20 01-B	DE					X		X			10/30/01	
CHESAPEAKE CORP /VA/	VA					X					11/13/01	
CHIQUITA BRANDS INTERNATIONAL INC	NJ					X		X			10/23/01	
CHRISTOPHER & BANKS CORP	DE					X		X			11/07/01	
CIENA CORP	DE					X		X			11/12/01	
CITIZENS COMMUNICATIONS CO	DE							X			11/13/01	
CLASSIC CABLE INC				X		X		X			11/13/01	
CLASSIC COMMUNICATIONS INC	DE			X				X			11/13/01	
CNH CAPITAL RECEIVABLES INC	DE					X		X			11/12/01	
COBALT GROUP INC	WA					X		X			11/13/01	
COLUMBIA FUTURES FUND	DE					X					04/30/00	
COMSTOCK RESOURCES INC	NV					X					11/13/01	
CONNECTICUT BANCSHARES INC/DE	DE							X			08/31/01	AMEND
COREL CORP	A6					X		X			11/13/01	
CORNING INC /NY	NY					X		X			11/08/01	
COVAD COMMUNICATIONS GROUP INC	DE							X	X		11/09/01	
CREDIT & ASSET REPACKAGING VEHICLE CORP	DE							X			11/01/01	
CRIIMI MAE FINANCIAL CORP	MD					X					11/01/01	
CRITICAL PATH INC	CA					X		X			11/08/01	
CROSSWORLDS SOFTWARE INC						X		X			11/02/01	
CVD EQUIPMENT CORP	NY		X								11/12/01	

NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT	
		1	2	3	4	5	6	7	8	9			
CVD EQUIPMENT CORP	NY		X									11/12/01	
DAIMLER BENZ VEHICLE OWNER TRUST 19 98-A	DE					X	X					10/22/01	
DAIMLERCHRYSLER AUTO TRUST 2001 B	DE					X	X					12/12/01	
DAIMLERCHRYSLER AUTO TRUST 2001-A						X	X					12/12/01	
DAIMLERCHRYSLER AUTO TRUST 2001-C	DE					X	X					11/13/01	
DANZER CORP	NY					X	X	X				11/07/01	
DBS HOLDINGS INC	NV					X			X			10/16/01	
DEAN WITTER GLOBAL PERSPECTIVE PORT FOLIO L P	DE					X						04/30/00	
DEAN WITTER PORTFOLIO STRATEGY FUND LP	NY					X						04/30/00	
DEERE & CO	DE								X			11/13/01	
DICE INC	DE							X	X			12/31/01	
DIVERSIFIED PRODUCT INSPECTIONS INC	FL					X		X				11/12/01	AMEND
DREAMLIFE INC	DE					X		X				11/06/01	
DRUGMAX COM INC	NV						X	X				11/12/01	
E COM VENTURES INC	FL					X		X				11/06/01	
EAGLE FAMILY FOODS HOLDINGS INC	DE							X				09/19/01	AMEND
EAGLE FAMILY FOODS INC	DE							X				09/19/01	AMEND
EBT INTERNATIONAL INC	DE					X		X				11/08/01	
ECHOSTAR COMMUNICATIONS CORP	NV					X						11/13/01	
EDISON CONTROLS CORP	NJ					X						11/07/01	
EFUNDS CORP	DE							X				10/10/01	AMEND
EGAMES INC	PA					X		X				11/13/01	
ELECTRIC LIGHTWAVE INC	DE							X				11/13/01	
ENDO PHARMACEUTICALS HOLDINGS INC	DE					X		X				11/13/01	
ENTERPRISE PRODUCTS OPERATING L P	DE								X			11/13/01	
ENTERPRISE PRODUCTS PARTNERS L P	DE								X			11/13/01	
EQUITY MARKETING INC	DE					X		X				11/13/01	
EQUITY ONE ABS INC	DE					X		X				11/12/01	
ESCALON MEDICAL CORP	DE					X		X				11/07/01	
EUROTECH LTD	DC					X		X				11/09/01	
EXELIXIS INC	DE							X	X			09/30/01	
EXPEDITORS INTERNATIONAL OF WASHING TON INC	WA								X			11/06/01	
FEDERAL TRUST CORP	FL						X					10/26/01	
FILMAGIC ENTERTAINMENT CORPORATION	UT						X					11/05/01	
FIRST DATA CORP	DE							X				11/13/01	
FIRST HORIZON ASSET SECURITIES INC	DE					X		X				10/30/01	
FISHER SCIENTIFIC INTERNATIONAL INC	DE		X					X				11/05/01	
FORTUNE NATURAL RESOURCES CORP	DE					X		X				11/13/01	
G&L REALTY CORP	MD	X						X				10/29/01	
GENERAL DATACOMM INDUSTRIES INC	DE					X						12/31/01	
GENERAL MOTORS CORP	DE							X				06/05/01	
GENUITY INC	DE							X				09/21/01	AMEND
GERON CORPORATION	DE					X		X				11/09/01	
GREYSTONE DIGITAL TECHNOLOGY INC	DE	X										11/13/01	
HANOVER GOLD CO INC	DE					X						08/31/01	
HCB BANCSHARES INC	OK					X						11/02/01	AMEND
HCC INSURANCE HOLDINGS INC/DE/	DE							X	X			11/13/01	
HEALTH MANAGEMENT SYSTEMS INC	NY								X			10/30/01	

NAME OF ISSUER	STATE	8K ITEM NO.									DATE	COMMENT	
	CODE	1	2	3	4	5	6	7	8	9			
HEALTH OUTCOMES MANAGEMENT INC	MN		X									11/01/01	
HEINZ H J CO	PA					X		X				11/09/01	
HELMERICH & PAYNE INC	DE									X		11/13/01	
HERITAGE FINANCIAL HOLDING										X		12/09/01	
HOMESTAKE MINING CO /DE/	DE					X						11/12/01	
HORIZON PCS INC	DE					X		X				11/12/01	
HOUSE2HOME INC	DE			X		X						11/13/01	
ICALL SYSTEMS INC /NV/	NV					X	X					10/26/01	
IMMUNEX CORP /DE/	WA					X		X				11/06/01	
INCYTE GENOMICS INC	DE					X						10/25/01	
INNOVATIVE CLINICAL SOLUTIONS LTD	DE					X		X				11/13/01	
INTEGRATED SECURITY SYSTEMS INC	DE					X		X				11/09/01	
INVESTMENT TECHNOLOGY GROUP INC	DE					X		X				11/13/01	
IPRINT TECHNOLOGIES INC	DE			X		X		X				10/31/01	
IT GROUP INC	DE					X		X				11/13/01	
KAIRE HOLDINGS INC	DE					X		X				11/02/01	
KEVCO INC	TX					X		X				08/24/01	
KEVCO INC	TX					X		X				09/24/01	
KEVCO INC	TX					X		X				10/11/01	
KEVCO INC	TX					X		X				10/29/01	
KEY3MEDIA GROUP INC	DE			X				X				09/10/01	AMEND
LABONE INC/	MO			X								09/14/01	AMEND
LAMAR ADVERTISING CO/NEW	DE					X		X				11/07/01	
LANGER INC	NY					X		X				11/01/01	
LCM EQUITY INC	NV		X	X		X						11/13/01	
LCM EQUITY INC	NV		X	X		X		X	X			11/13/01	AMEND
LEHMAN BROTHERS HOLDINGS INC	DE							X				11/13/01	
LEINER HEALTH PRODUCTS INC	DE					X		X				11/13/01	
LIBERTY MEDIA CORP /DE/	DE					X		X				11/07/01	
LMI AEROSPACE INC	MO									X		11/13/01	
LTC HEALTHCARE INC	NV					X		X				11/09/01	
MACROPORE INC	DE					X		X				11/12/01	
MARK SOLUTIONS INC	DE					X						11/04/01	
MCCLENDON TRANSPORTATION GROUP INC	NV					X						11/01/01	
MCDERMOTT INTERNATIONAL INC	R1			X				X				10/29/01	
MEDICIS PHARMACEUTICAL CORP	DE									X		11/13/01	
MEDTRONIC INC	MN			X				X				08/28/01	AMEND
MICROGRAFX INC	TX					X						10/30/01	
MICROSEMI CORP	DE					X		X		X		11/07/01	AMEND
MICROWAVE TRANSMISSION SYSTEMS INC								X				08/30/01	AMEND
MILACRON INC	DE					X		X		X		11/09/01	
MYRIAD GENETICS INC	DE					X		X				11/09/01	
NBT BANCORP INC	DE			X				X				11/08/01	
NETRATINGS INC	DE					X		X				10/25/01	
NEW WORLD RESTAURANT GROUP INC	DE					X		X				11/01/01	
NOCOPI TECHNOLOGIES INC/MD/	MD							X		X		10/30/01	
NUCENTRIX BROADBAND NETWORKS INC	DE					X		X				11/06/01	
OAKHURST CO INC	DE					X						11/01/01	
OPHIDIAN PHARMACEUTICALS INC	DE									X		11/01/01	
ORTHOVITA INC						X		X				10/16/01	
ORYX TECHNOLOGY CORP	DE					X		X				10/31/01	
OSTEOTECH INC	DE					X						11/08/01	



NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
PARTNERRE LTD						X		X			11/12/01	
PEREGRINE SYSTEMS INC	DE					X					11/13/01	
PERKINELMER INC	MA					X					11/13/01	
PETROCAL INC	DE	X									11/14/01	
PFSB BANCORP INC	MO					X		X			11/13/01	
PHILLIPS PETROLEUM CO	DE							X			09/14/01	AMEND
PITNEY BOWES INC /DE/	DE					X					11/13/01	
PLM INTERNATIONAL INC	DE							X			11/13/01	
PROFESSIONAL DETAILING INC	DE					X					11/12/01	
PROVIDENT BANCORP INC/NY/						X		X			11/02/01	
RESIDENTIAL ASSET MORTGAGE PRODUCTS INC	DE							X			10/30/01	
RESIDENTIAL FUNDING MORTGAGE SECURI TIES I INC	DE					X		X			10/30/01	
RESIDENTIAL FUNDING MORTGAGE SECURI TIES I INC	DE					X		X			11/30/01	
REYNOLDS SMITH & HILLS INC	FL	X									11/12/01	
RMH TELESERVICES INC	PA					X		X			11/12/01	
ROAST N ROLL RESTAURANTS OF THE PAS T INC	NV					X					08/08/01	
RUSSELL-STANLEY HOLDINGS INC	DE					X		X			11/12/01	
RYANS FAMILY STEAKHOUSES INC	SC	X									11/07/01	
SANGUINE CORP	NV					X					09/26/01	AMEND
SAXON ASSET SECURITIES CO	VA					X		X			11/09/01	
SBA COMMUNICATIONS CORP	FL					X					11/13/01	
SELECT THERAPEUTICS INC	DE					X		X			11/02/01	
SEMCO ENERGY INC	MI					X					11/13/01	
SEPRACOR INC /DE/	DE					X		X			11/09/01	
SICOR INC	DE							X			11/09/01	
SIERRA HEALTH SERVICES INC	NV					X					12/31/01	
SMART & FINAL INC/DE	DE					X					11/12/01	
SPECIALTY LABORATORIES						X		X			11/09/01	
SPINNAKER INDUSTRIES INC	DE		X					X			11/13/01	
SPSS INC	DE					X		X			11/13/01	
STATEFED FINANCIAL CORP	DE					X		X			09/30/01	
STATIA TERMINALS CANADA INC						X		X			11/12/01	
STATIA TERMINALS GROUP NV						X		X			11/12/01	
STATIA TERMINALS INTERNATIONAL NV	DE					X		X			11/12/01	
STEELCASE INC	MI					X					11/13/01	
STOKELY VAN CAMP INC	IN					X					11/14/01	
STRUCTURED ASSET MORTGAGE INVESTMEN TS INC	DE							X			11/09/01	
T REIT INC	VA	X						X			11/13/01	AMEND
TARGET RECEIVABLES CORP	MN					X					11/09/01	
TD WATERHOUSE GROUP INC	DE					X		X			11/13/01	
TEPPCO PARTNERS LP	DE							X			09/30/01	AMEND
TEXAS INSTRUMENTS INC	DE								X		11/12/01	
THOR INDUSTRIES INC	DE	X						X			11/09/01	
TIVO INC	DE					X					11/04/01	
TONG AH GLOBAL VENTURES CORP	DE	X	X			X	X	X			09/01/01	AMEND
TOYMAX INTERNATIONAL INC	DE					X					11/09/01	
TRANSCANADA CAPITAL	DE					X		X			11/09/01	

NAME OF ISSUER	STATE	8K ITEM NO.									DATE	COMMENT
	CODE	1	2	3	4	5	6	7	8	9		
U S LABORATORIES INC	DE		X					X			10/31/01	
U S TIMBERLANDS CO LP	DE					X	X				11/08/01	
UNITED FILM PARTNERS INC	TX	X	X			X	X	X			09/30/01	AMEND
UNITED FINANCIAL CORP \MN\	MN				X			X			08/17/01	
UNIVERSAL ACCESS GLOBAL HOLDINGS IN C	DE					X		X			10/29/01	
UNIVERSAL HEALTH SERVICES INC	DE							X			11/12/01	
USAA FEDERAL SAVINGS BANK						X	X				11/13/01	
USAONESTAR NET INC	NV	X	X			X	X				08/31/01	AMEND
VACATION OWNERSHIP MARKETING INC	DE							X			09/19/01	AMEND
VIDKID DISTRIBUTION INC	FL		X					X			09/25/01	AMEND
VIROPHARMA INC	DE					X	X				11/12/01	
VISHAY INTERTECHNOLOGY INC	DE		X			X	X				11/02/01	
WAMU MORTGAGE PASS-THROUGH CERTIFIC ATES SERIES 2001-S10	DE							X			10/25/01	
WASHINGTON MUTUAL MSC MORT PASS THR OUGH CERT SER 2001-MS11	DE					X	X				11/01/01	
WASHINGTON TRUST BANCORP INC	RI					X	X				11/13/01	
WELLSTONE FILTERS INC /DE/	DE								X		09/05/01	
WESTINGHOUSE AIR BRAKE TECHNOLOGIES CORP	DE		X					X			11/01/01	
WILLIAMS ENERGY PARTNERS L P	DE					X	X				11/08/01	
WITTER DEAN CORNERSTONE FUND II	NY					X					04/30/00	
WITTER DEAN CORNERSTONE FUND III	NY					X					04/30/00	
WITTER DEAN CORNERSTONE FUND IV	NY					X					04/30/00	
WITTER DEAN DIVERSIFIED FUTURES FUN D II L P	NY					X					04/30/00	
WITTER DEAN DIVERSIFIED FUTURES FUN D III L P	DE					X					04/30/00	
WITTER DEAN DIVERSIFIED FUTURES FUN D LP	DE					X					04/30/00	
WITTER DEAN MULTI MARKET PORTFOLIO L P	NY					X					04/30/00	
WITTER DEAN PRINCIPAL PLUS FUND L P	NY					X					04/30/00	
WITTER DEAN WORLD CURRENCY FUND L P	DE					X					04/30/00	
WORLDMODAL NETWORK SERVICES INC	DE		X					X			10/22/01	
ZAXIS INTERNATIONAL INC	DE					X					03/16/01	
ZIMMER HOLDINGS INC	DE					X	X				11/13/01	