Issue 85-62

U.S. SECURITIES AND EXCHANGE COMMISSION April 1, 1985

### **RULES AND RELATED MATTERS**

COMMENT PERIOD EXTENDED ON PROPOSED AMENDMENTS TO RULE 10b-10

> The Commission extended the comment period on the proposed amendments to Rule 10b-10 under the Securities Exchange Act of 1934, governing customer confirmation disclosure for principal transactions in reported securities, from March 29 to April 30, 1985.

> Comments should be submitted in triplicate, and refer to File No. S7-5-85, to John Wheeler, Secretary, Securities and Exchange Commission, 450 Fifth Street, NW, Washington, DC 20549. (Rel. 34-21903)

FOR FURTHER INFORMATION CONTACT: Leland H. Goss at (202) 272-2827

### **COMMISSION ANNOUNCEMENTS**

#### ADDITION TO WEEKLY CALENDAR

Chairman Shad will testify on April 3 at approximately 2:00 p.m. before the Commerce, Consumer & Monetary Affairs Subcommittee's hearing on ESM Securities. The hearing will begin at 8:30 a.m. in Room 2154, Rayburn House Office Building.

## ADMINISTRATIVE PROCEEDINGS

ORDERS ENTERED AGAINST COMMONWEALTH VENTURES, LTD. AND KAZI HASAN

The Commission simultaneously instituted and settled a public administrative proceeding under Section 15(b) of the Securities Exchange Act of 1934 against Commonwealth Ventures, Ltd., a registered broker-dealer, and Kazi Hasan, Commonwealth's president and sole owner. Respondents, without admitting or denying any of the allegations forming the basis of the proceeding, consented to a Commission order finding that they wilfully violated the antifraud provisions of the Securities and Exchange Acts, and that Commonwealth, wilfully aided and abetted by Hasan, wilfully violated Section 15(c)(1) of the Exchange Act. The Order also prevents Commonwealth and Hasan from managing any public offering of securities for 12 months.

The Division of Enforcement alleged that, during December 1983 and January 1984, Hasan purchased, through NASDAQ, a substantial number of units that were the subject of a public distribution managed by Commonwealth, before the distribution was complete, for the purpose of supporting the price of the units in the secondary market and inducing investors to purchase them in the ongoing distribution. (Rel. 34-21874)

# CIVIL PROCEEDINGS

# PERMANENT INJUNCTION ISSUED AGAINST JJ PETROLEUM, OTHERS

The Fort Worth Regional Office announced that on March 20 Judge Tom Stagg, U.S. District Court for the Western District of Louisiana, issued an order of permanent injunction against JJ Petroleum, R&A Resources, Inc., also known as R&A Resources, Dannyco Oil and Gas Properties, Inc., John O. Robinson and Jewell K. Allen, all of Shreveport, Louisiana. The order enjoins them from further violations of the registration and antifraud provisions of the securities laws.

The July 24, 1984 complaint alleges that the defendants violated the registration provisions of the securities laws by offering and selling securities to the public in the form of fractional undivided working interests in oil and gas wells located in Louisiana, raising over \$1 million. In connection with these offers and sales, the complaint alleged that the defendants made fraudulent representations to investors concerning the wells' productivity and status, use of investors' monies, lack of production and other matters. (SEC v. JJ Petroleum, et al., Civil Action No. CV 84-1948, WDLA). (LR-10711)

#### INVESTMENT COMPANY ACT RELEASES

#### CENTENNIAL GROWTH FUND, INC.

A notice has been issued giving interested persons until April 22 to request a hearing on an application filed by Centennial Growth Fund, Inc., a registered open-end, diversified, management company, for an order declaring that it has ceased to be an investment company. (Rel. IC-14439 - March 28)

#### COLONIAL GOVERNMENT SECURITIES PLUS TRUST

A notice has been issued giving interested persons until April 23 to request a hearing on an application filed by Colonial Government Securities Plus Trust, a registered diversified, open-end, management investment company, for an order exempting it from the provisions of Section 19(b) of the Investment Company Act and Rule 19b-1 to permit it to make quarterly distributions of long-term capital gains from certain options transactions. (Rel. IC-14440 - March 29)

## **HOLDING COMPANY ACT RELEASES**

#### THE SOUTHERN COMPANY

An order has been issued authorizing The Southern Company, a registered holding company, and its subsidiary, Georgia Power Company, to issue and sell from time to time, prior to April 1, 1986, short-term notes to banks. Georgia also proposes to issue term-loan notes to banks and commercial paper to dealers up to the aggregate princpial amount at any one time of \$100 million for Southern and \$1 billion for Georgia. (Rel. 34-23645 - March 29)

#### CENTRAL OHIO COAL COMPANY

An order has been issued authorizing Central Ohio Coal Company, Southern Ohio Coal Company, and Windsor Power House Coal Company, subsidiaries of Ohio Power Company which is a subsidiary of American Electric Power Company, Inc., to lease, from non-affiliates, through June 30, 1986, mining equipment with a total aggregate acquisition cost not exceeding \$50 million. (Rel. 35-23646 - March 29)

### **SELF-REGULATORY ORGANIZATIONS**

#### ACCELERATED APPROVAL OF PROPOSED RULE CHANGE

The Commission approved, on an accelerated basis, a proposed rule change filed by The Options Clearing Corporation (SR-OCC-84-20) that will modify substantially OCC's random exercise assignment procedures. (Rel. 34-21899)

#### APPROVAL OF PROPOSED RULE CHANGE

The Commission approved proposed rule changes filed by the American Stock Exchange, Inc., Chicago Board Options Exchange, Inc., Philadelphia Stock Exchange, Inc. and Pacific Stock Exchange, Inc. (SR-Amex-84-30, SR-CBOE-84-21, SR-Phlx-84-25, and SR-PSE-85-1) to increase position and exercise limits for options on individual stocks to either 3,000, 5,500 or 8,000 contracts, depending on certain criteria related to the trading volume and public float of the underlying securities. (Rel. 34-21907)

### TRUST INDENTURE ACT RELEASES

COLORADO-UTE ELECTRIC ASSOCIATION, INC.

An order has been issued under the Trust Indenture Act of 1939 on an application of Colorado-Ute Electric Association, Inc. that the trusteeship of Central Bank of Denver, a banking corporation, under two indentures of Colorado-Ute, is not so likely to involve a material conflict of interest as to make it necessary to disqualify Central Bank from acting as trustee. (Rel. TI-976)

# 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.

- F-6 RIO TINTO ZINC CORP PLC. 48 MALL ST. C/O BANK OF NEW YORK, NEW YORK, NY 10015 (212) 530-1784 10.000.000 (\$500.000) DEPOSITARY RECEIPTS FOR COMMON STOCK. (FILE 2-96393 MAR. 13) (8R. 99 NEW ISSUE)
- F-6 CRA LTD/ADR/. 48 WALL ST. C/O BANK OF NEW YORK. NEW YORK, NY 10015 (212) 530-1784 10-000.000 (\$500.000) DEPOSITARY RECEIPTS FOR COMMON STOCK. (FILE 2-96397 MAR. 13) (8R. 99)
- S-1 INTEGRATED RESOURCES NATIONAL LEASE INCOME FUND 4, 733 THIRD AVE, NEW YORK, NY 10017 (212) 551-6000 200,000 (\$100,000,000) LIMITED PARTNERSHIP CERTIFICATE. (FILE 2-96433 MAR. 14) (BR. 9 NEW ISSUE)
- S-1 EYE CARE CENTERS OF AMERICA INC. 2553 JACKSON KELLER RD. SAN ANTONIO, TX 78230 (512) 340-3531 1.150.000 (\$9.200.000) COMMON STOCK. 2.300.000 (\$14.375.000) COMMON STOCK. 100.000 (\$100) WARRANTS, OPTIONS OR RIGHTS. 100.000 (\$960.000) COMMON STOCK. 200.000 (\$1.250.000) COMMON STOCK. UNDERWRITER: BLAIR D H & CO INC. (FILE 2-96437 MAR. 15) (BR. 8 NEW ISSUE)
- S-6 PRUDENTIAL BACHE UNIT TRUSTS INSURED MULTISTATE TAX SERIES 1.

  DNE SEAPORT PLZ 199 WATER ST. G/O PRUDENTIAL BACHE SECURITIES INC. NEW YORK. NY 10292

   INDEFINITE SHARES. DEPOSITOR: PRUDENTIAL BACHE SECURITIES INC. (FILE 2-96442 MAR. 15) (BR. 16 NEW ISSUE)
- S-6 HUTTON E F TAX EXEMPT TRUST NATIONAL INSURED SERIES 14, ONE BATTERY PARK PLZ.

  C/O E F HUTTON & CO INC. NEW YORK, NY 10004 15,000 (\$15,450,000)

  UNIT INVESTMENT TRUST. DEPOSITOR: HUTTON E F & CO INC. (FILE 2-96443 MAR. 15)

  (BR. 18 NEW ISSUE)
- S-6 HUTTON E F TAX EXEMPT TRUST NATIONAL SERIES 112, ONE BATTERY PARK PLZ,

  C/O E F HUTTON & CO INC. NEW YORK. NY 10004 15.000 (\$15.450.000)

  UNIT INVESTMENT TRUST. DEPOSITION: HUTTON E F & CO INC. (FILE 2-96444 MAR. 15)

  (BR. 18 NEW ISSUE)
- S-6 HUTTON E F TAX EXEMPT TRUST CALIFORNIA INSURED SERIES 10. ONE BATTERY PARK PLZ.

  C/O E F HUTTON & CO INC. NEW YORK. NY 10004 12.000 (\$12.360.000)

  UNIT INVESTMENT TRUST. DEPOSITOR: HUTTON E F & CO INC. (FILE 2-96445 HAR. 15)

  (BR. 18 NEW ISSUE)
- S-6 HUTTON E F TAX EXEMPT TRUST MULTISTATE SERIES 19. ONE BATTERY PARK PLZ.

  C/O E F HUTTON & CO INC. NEW YORK, NY 10004 12.000 (\$12.360.000)

  UNIT INVESTMENT TRUST. DEPOSITOR: HUTTON E F & CO INC. (FILE 2-96446 MAR. 15)

  (BR. 18 NEW ISSUE)
- S-8 MONTANA DAKOTA UTILITIES CO. 400 N FOURTH ST. BISMARCK, ND 58501 (701) 222-7900 100.000 (\$2.969.000) COMMON STOCK. (FILE 2-96459 MAR. 15) (BR. B)
- S-8 NDC CDRP/CQ/, 3600 S YOSENITE ST 4TH FL. DENVER. CO 80237 (303) 773-1100 1.584,278 (\$20,595.614) COMMON STOCK. (FILE 2-96464 MAR. 15) (BR. 10)

- MILBROOK FINANCIAL CORP. 12044 N PENNSYLVANIA, OKLAHOMA CITY, OK 73120 (405) 755-6990 - 150,000 (\$15,750) COMMON STOCK. 850,000 (\$76,500) COMMON STOCK. (FILE 2-96466 - MAR. 15) (BR. 6)
- STRYKER CORP. 420 E ALCOTT ST. KALAMAZOO. NI 49001 (616) 381-3811 200,000 (\$6.050.000) COMMON STOCK. (FILE 2-96467 - MAR. 15) (BR. 8)
- GALOOB LEWIS TOYS INC. 500 FORBES BLVD. SOUTH SAN FRANCISCO, CA 94080 (415) 952-1678 - 326.665 (\$5.063.307.50) COMMON STOCK. (FILE 2-96470 - MAR. 15) (BR. 12 - NEW ISSUE)
- ENDOTRONICS INC. 8500 EVERGREEN BLVD. COON RAPIDS. NN 55433 (612) 786-0302 -300,000 (\$4-275.000) COMMON STECK. (FILE 2-96471 - MAR. 15) (BR. 8)
- ENDOTRONICS INC. 8500 EVERGREEN BLVD. COON RAPIDS. NN 55433 (612) 786-0302 -200.000 (\$2.850.000) COMMON STECK. 2.850.000 OTHER SECURITIES INCLUDING VOTING TRUST. (FILE 2-96472 - MAR. 15) (BR. 8)

### **RECENT 8K FILINGS**

Form 8-K is used by companies to file current reports on the following events:

- Item 1. Changes in Control of Registrant.
- Item 2. Acquisition or Disposition of Assets.
- Item 3. Bankruptcy or Receivership.
- Item 4. Changes in Registrant's Certifying Accountant.
- Item 5. Other Materially Important Events.
- Item 6. Resignations of Registrant's Directors. Item 7. Financial Statements and Exhibits.

The companies listed below 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 Section (in ordering, please give the date of the report). An invoice will be included with the requested material when mailed.

COMPANY	ITEMS NO.	a'	DATE
ADVANCED ENERGY CONCEPTS INC	7		07/26/85
GENERAL MOTORS ACCEPTANCE CORP	5		03/29/85
RB INDUSTRIES INC /DE/	4,7		03/18/85