

# SEC NEWS DIGEST

Issue 2000-69

April 12, 2000

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## ENFORCEMENT PROCEEDINGS

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### MICHAEL RICHMOND INDICTED

On April 7, a federal grand jury in Boston, Massachusetts indicted Michael D. Richmond, of Orland Park, Illinois, on seventeen counts of mail fraud and twenty-one counts of money laundering in connection with Richmond's fraudulent sale of over \$8 million in purported certificates of deposit. According to the indictment, Richmond incorporated a bank in the island nation of Nauru called Royal Meridian International Bank (RMIB). Further, the indictment alleges that Richmond created promotional material, including an internet website, which falsely promised a guaranteed return of 12% with no risk to principal. Instead, according to the indictment, Richmond diverted \$1.7 million for his personal benefit and transferred \$6 million to Zone Productions, a Florida entity that promised Richmond a 360% return.

The Commission previously sought and obtained temporary restraining orders, preliminary injunctions and assets freezes against Richmond, Zone Productions and others involved in these alleged schemes. For further information, see LR-15813, LR-15892, LR-16207 and LR-16104. [U.S. v. Michael D. Richmond, U.S. District Court for the District of Massachusetts, C.A No 00-CR-10125-JLT] (LR-16512)

### CIVIL INJUNCTION ENTERED AGAINST APPALACHIAN INVESTMENT CORPORATION, DENNIS CERILLI, FRANK DEBONE, DENNIS OSLOSKY, ROBERT WALTERS AND JOHN HINTON

On March 31, 2000, the United States District Court for the Western District of Pennsylvania entered an order of permanent injunction and disgorgement against Appalachian Investment Corporation (Appalachian) and Dennis G Cerilli (Cerilli). Without admitting or denying the Commission's allegations, Appalachian and Cerilli consented to the entry of the judgment which permanently enjoins them from violating Section 17(a) of the Securities Act of 1933, Section 10(b) of the Securities Exchange Act of 1934 and Rule 10b-5 thereunder. The judgment also requires Appalachian to pay disgorgement in the amount of \$3,404,714, and Cerilli to pay disgorgement in the amount of \$696,255, together with prejudgment interest. The judgment provides that Cerilli's disgorgement and prejudgment interest will be offset by any amounts actually paid by him.

in connection with any criminal charges that may be instituted against him based on the same facts alleged in the Commission's complaint. The judgment reserves the issue of the amount of civil penalty to be imposed on Appalachian and Cerilli. The same day, the Court also entered by default an order against defendants Frank DeBone, Dennis J. Oslosky, Robert C. Walters and John W. Hinton, permanently enjoining them from violating Section 17(a) of the Securities Act and Section 10(b) of the Exchange Act and Rule 10b-5 thereunder, but reserving the issues of the amount of disgorgement and civil penalties to be paid by them

The Commission alleged that, between November 1995 and August 1996, the defendants engaged in a scheme to misappropriate investor funds raised through the fraudulent offer and sale of more than \$46 million worth of securities in the form of subordinated debentures of Appalachian and its affiliate, CCMI, Inc. The complaint charged that the defendants induced approximately 75 investors, most of whom were elderly, to purchase the securities by misrepresenting the degree of risk associated with their investment and the intended use of proceeds raised in the offering. The complaint further alleged that defendants misled investors by guaranteeing them a 10% annual rate of return while providing little or no information about the financial condition of Appalachian, CCMI or its affiliates. [SEC v. Appalachian Investment Corporation, Inc., et al., Civil Action No. 98-1506, W D Pa ] (LR-16513)

#### **JOSEPH CURRY SENTENCED**

The Commission and the U.S. Attorney's office announced that on April 10, Joseph Curry was sentenced to 5 months incarceration, 5 months house arrest, 3 years supervised release, and 200 hours of community service. Joseph Curry's sentence follows his brother Mark Curry's December 3, 1999 sentence of 27 months incarceration. Both Curry brothers entered guilty pleas to criminal informations alleging one count each of tax evasion and bank fraud. The Currys' guilty pleas arose out of the same misconduct that was the basis for the Commission's 1997 civil action alleging securities law violations. See LR-15470 (September 4, 1997). In that case, on February 2, 1999, the Commission obtained judgments by default against Mark and Joseph Curry enjoining them from future securities law violations, ordering them to pay disgorgement and penalties, and permanently prohibiting Mark Curry from serving as an officer or director of certain publicly held companies. [SEC v. Mark K. Curry and Joseph H. Curry, U.S. District Court for the Eastern District of Michigan, Civil Action No. 97-74524, Roberts] (LR-16514)

#### **SEC CHARGES IOWA CARDIOLOGIST AND COMPANY INSIDER WITH INSIDER TRADING**

The Commission today charged Dr. Liberato A. Iannone, a cardiologist in Des Moines, Iowa, and Creg W. Dance, a former Vice President of Arterial Vascular Engineering, Inc. (AVEI) from Lynden, Washington, with insider trading in advance of the public announcement on November 30, 1998, that AVEI, a coronary surgical products company, would be acquired by Medtronic, Inc. Without admitting or denying the allegations in the complaint, the two defendants have agreed to settle the charges by agreeing to the relief

sought and paying a total of \$4,186,893.11. The complaint alleges that Dance tipped Iannone who traded in advance of the public announcement, and that Iannone's trading generated illicit trading profits of \$1,160,500. The complaint alleges that Iannone also recommended the purchase of AVEI securities to several friends, colleagues and a relative, whose trading generated additional illicit profits of \$279,631.

The complaint alleges that Dance, then AVEI's Vice President of International Operations, learned of the potential acquisition of his company on or before November 19, 1998, and that Dance told Iannone about the possible AVEI merger at the hospital where Iannone performs coronary procedures. Iannone has a computer at the hospital from which he places orders to buy and sell securities through his on-line brokerage account. Thereafter, between November 19 and November 24, 1998, Iannone purchased 250 AVEI call options contracts in nine separate transactions through two different brokerage accounts. On November 25, 1998, Dance told Iannone more information about the possible merger, at which time Iannone began purchasing riskier AVEI call options in greater amounts. Between November 25 and November 27, 1998, Iannone purchased 800 AVEI call option contracts in seven separate transactions through four different brokerage accounts. The complaint also alleges that Iannone recommended the purchase of AVEI securities to several friends, colleagues and a relative, and that between November 19 and November 27, 1998, these individuals purchased 2,414 shares of AVEI common stock and 235 AVEI call options. The AVEI acquisition was announced publicly before the opening of the market on November 30, 1998. As a result of the announcement, the price of AVEI's stock closed that evening at \$48.88, up \$16.50 from the previous day's close. Following the announcement, Iannone and his tippees sold their AVEI securities, and realized total illicit profits of \$1,160,500, and \$279,631, respectively.

The Commission alleges that as a result of the conduct described above, Iannone and Dance violated Section 10(b) of the Securities Exchange Act of 1934 and Rule 10b-5 thereunder. In its action, the Commission is seeking permanent injunctions, disgorgement, prejudgment interest and monetary penalties against the defendants. Both Iannone and Dance have consented to the entry of final judgments permanently enjoining them from future violations of Section 10(b) of the Exchange Act and Rule 10b-5 thereunder, without admitting or denying the facts alleged in the complaint. The final judgment also orders Iannone to pay disgorgement of \$1,440,131, plus prejudgment interest of \$146,131.11, and a civil penalty of \$1,440,131, for a total of \$3,026,393.11. Dance, who did not purchase any AVEI securities prior to the announcement, has been ordered to pay a civil penalty of \$1,160,500.

The Commission gratefully acknowledges the assistance provided by The Chicago Board Options Exchange in the investigation of this matter. [SEC v. Liberato A. Iannone and Creg W. Dance, 1:00CV00788, EGS, D.D.C.] (LR-16515)

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## INVESTMENT COMPANY ACT RELEASES

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### COLCHESTER STREET TRUST, ET AL.

An order has been issued on an application filed by Colchester Street Trust, et al. for an exemption from Sections 12(d)(1) and 17(a) of the Investment Company Act. The order amends a prior order that permits a fund of funds arrangement. The order also permits purchases by a fund of funds of shares of an underlying fund in-kind and the purchase and sale of portfolio securities between the fund of funds and the underlying funds in accordance with Rule 17a-7 under the Act (Rel. IC-24385 - April 10)

### VAN WAGONER FUNDS, INC., ET AL.

A notice has been issued giving interested persons until May 5, 2000 to request a hearing on an application filed by Van Wagoner Funds, Inc. and Van Wagoner Capital Management, Inc for an order to amend an existing order issued under Sections 6(c) and 17(d) of the Investment Company Act and Rule 17d-1 under the Act. The amended order would permit certain additional registered management investment companies to rely on the existing order (Rel IC-24386 - April 10)

### THE PENN MUTUAL LIFE INSURANCE COMPANY, ET AL.

A notice has been issued giving interested persons until May 1, 2000, to request a hearing on an application filed by The Penn Mutual Life Insurance Company, The Penn Annuity and Insurance Company, Penn Mutual Variable Annuity Account III, Penn Mutual Variable Life Account I, PIA Variable Annuity Account I, and Independence Capital Management, Inc. Applicants seek an order under Section 26(b) of the Investment Company Act to permit the substitution of shares of four new investment portfolios of Penn Series Funds, Inc for shares of certain unaffiliated registered management investment companies currently serving as underlying investment options for variable annuity contracts and variable life insurance policies. Applicants also seek an order pursuant to Section 17(b) of the Act exempting them from Section 17(a) of the Act to the extent necessary to permit certain in-kind redemptions of portfolio securities in connection with the substitutions. (Rel. IC-24387 - April 11)

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## HOLDING COMPANY ACT RELEASES

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### WISCONSIN ENERGY CORPORATION

An order has been issued authorizing Wisconsin Energy Corporation (WEC), a public-utility holding company exempt under Section 3(a)(1) from all provisions of the Act, except Section 9(a)(2), to acquire all of the issued and outstanding common stock of

WICOR, Inc. (WICOR), a public-utility holding company exempt under Section 3(a)(1) from all provisions of the Act, except Section 9(a)(2). In addition, the order exempts under Section 3(a)(1), WEC and WICOR from all provisions of the Act, except Section 9(a)(2), following the proposed acquisition. (Rel. 35-27163)

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## **SELF-REGULATORY ORGANIZATIONS**

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### **PROPOSED RULE CHANGES**

The American Stock Exchange has filed a proposed rule change (SR-Amex-00-17) under Rule 19b-4 of the Exchange Act to allow Auto-Ex orders to trade against orders in the exchange's limit order book. (Rel 34-42652)

The Boston Stock Exchange filed a proposed rule change under Rule 19b-4 (SR-BSE-00-02) rescinding the Exchange's Off-Board Trading Rules. Publication of the notice in the Federal Register is expected during the week of April 17. (Rel 34-42661)

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

The Commission approved a proposed rule change under Rule 19b-4 of the Securities Exchange Act by the Chicago Stock Exchange (SR-CHX-99-20) relating to minimum net capital and excess net capital requirements for members. (Rel 34-42653)

The Commission approved a proposed rule change and Amendment No. 1 to a proposed rule change submitted under Rule 19b-4 by the Cincinnati Stock Exchange (SR-CSE-99-05) enabling members to trade NASDAQ/NM securities. (Rel. 34-42657)

The Commission approved a proposed rule change (SR-MSRB-00-03) filed by the Municipal Securities Rulemaking Board under Rule 19b-4 of the Exchange Act relating to underwriting and transaction assessments. Publication of the notice in the Federal Register is expected during the week of April 17. (Rel 34-42658)

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

A proposed rule change (SR-Phlx-00-24) filed by the Philadelphia Stock Exchange to extend the pilot program to impose fees for computer equipment services, repairs or replacements and relocation of computer equipment until June 30, 2000 has become effective under Section 19(b)(3)(A) of the Securities Exchange Act. Publication of the proposal is expected in the Federal Register during the week of April 17. (Rel 34-42654)

The Commission issued a notice of a proposed rule change (SR-Phlx-00-25) filed by the Philadelphia Stock Exchange to eliminate the provision in Phlx Rule 1079 that limits exercise prices for FLEX equity call options to those prices that apply to standardized equity

call options Publication of the proposal is expected in the Federal Register during the week of April 17 (Rel 34-42655)

The Commission issued a notice of a proposed rule change (SR-Phlx-00-23) filed by the Philadelphia Stock Exchange to amend the frequency of billing for controller space charge, floor facilities fees, shelf space fee on the equity options floor, and direct wire charges from a quarterly basis to a monthly basis. Publication of the proposal is expected in the Federal Register during the week of April 17. (Rel. 34-42659)

## DELISTINGS

An order has been issued granting the application of the Philadelphia Stock Exchange to strike from listing and deregistration call and put option contracts issued by The Options Clearing Corporation with respect to certain underlying securities. (Rel 34-42662)

An order has been issued granting the application of the Pacific Exchange to strike from listing and registration Derma Sciences, Inc , Common Stock, \$ 01 par value. (Rel. 34-42663)

An order has been issued granting the application of the New York Stock Exchange to strike from listing and registration Coram Healthcare Corporation, Common Stock, \$ 001 par value (Rel. 34-42664)

An order has been issued granting the application of the New York Stock Exchange to strike from listing and registration John Q Hammons Hotels, Inc , Common Stock, \$.01 par value (Rel 34-42665)

An order has been issued granting the application of the Pacific Exchange to strike from listing and registration AMC Entertainment Inc , Common Stock, 66 2/3 cents par value. (Rel 34-42666)

An order has been issued granting the application of the Boston Stock Exchange to strike from listing and registration Netegrity, Inc., Common Stock, \$.01 par value (Rel 34-42667)

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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-1 OPEN PORT TECHNOLOGY INC, 676 N ST CLAIR 9TH FL, CHICAGO, IL 60611  
(312) 867-5000 - \$80,500,000 COMMON STOCK. (FILE 333-34040 - APR. 05)  
(BR. 3)
- S-1 GOLDMAN SACHS GROUP INC, 85 BROAD ST, NEW YORK, NY 10004 (212) 902-1000  
- 40,000,000 (\$3,947,500,000) COMMON STOCK. (FILE 333-34042 - APR. 05)  
(BR. 7)
- S-3 VASOMEDICAL INC, 180 LINDEN AVENUE, STE 408, WESTBURY, NY 11590  
(516) 997-4600 - 100,000 (\$641,000) COMMON STOCK. (FILE 333-34044 -  
APR. 05) (BR. 5)
- S-8 UNICO INC, HARBOR PARK, 333 LUDLOW STREET, STAMFORD, CT 06902  
(203) 323-6299 - 1,264,800 (\$5,264,730) COMMON STOCK. (FILE 333-34046 -  
APR. 05) (BR. 2)
- S-8 ATLANTIS PLASTICS INC, 1870 THE EXCHANGE, STE 200, ATLANTA, GA 30339  
(800) 497-7659 - 1,500,000 (\$1,500,000) COMMON STOCK. (FILE 333-34050 -  
APR. 05) (BR. 6)
- S-3 BIG BUCK BREWERY & STEAKHOUSE INC, 550 S WISCONSIN ST, P.O. BOX 1430,  
GAYLORD, MI 49734 (517) 731-0401 - 3,351,287 (\$6,807,302) COMMON STOCK.  
(FILE 333-34052 - APR. 05) (BR. 9)
- S-8 UNITED PARCEL SERVICE INC, ATTENTION JOSEPH MODEROW,  
55 GLENLAKE PARKWAY NE, ATLANTA, GA 30328 (404) 828-6000 - 40,000,000  
(\$417,200,000) COMMON STOCK. (FILE 333-34054 - APR. 05) (BR. 5)
- S-8 DIANON SYSTEMS INC, 200 WATSON BLVD, STRATFORD, CT 06497 (203) 381-4000  
- 300,000 (\$5,756,250) COMMON STOCK. (FILE 333-34056 - APR. 05) (BR. 1)
- SB-2 ALPHATECH INC, 13400 NORTHUP WAY #40, BELLEVUE, WA 98005 (206) 682-7626  
- 6,000,000 (\$6,000) COMMON STOCK. (FILE 333-34060 - APR. 05) (BR. 9  
- NEW ISSUE)
- S-8 SBC COMMUNICATIONS INC, 175 E HOUSTON, ROOM 9-4, SAN ANTONIO, TX 78205  
(210) 821-4105 - 21,000,000 (\$891,843,750) COMMON STOCK. (FILE 333-34062  
-  
APR. 05) (BR. 7)
- S-8 GLIATECH INC, 23420 COMMERCE PARK RD, CLEVELAND, OH 44122 (216) 831-  
3200  
- 850,000 (\$13,999,500) COMMON STOCK. (FILE 333-34064 - APR. 05) (BR. 1)
- S-8 GLIATECH INC, 23420 COMMERCE PARK RD, CLEVELAND, OH 44122 (216) 831-  
3200  
- 9,000 (\$148,230) COMMON STOCK. (FILE 333-34066 - APR. 05) (BR. 1)
- S-8 VIDEONICS INC, 1370 DELL AVE, CAMPBELL, CA 95008 (408) 866-8300 -  
120,000 (\$255,000) COMMON STOCK. (FILE 333-34068 - APR. 05) (BR. 5)

S-8 DONNA KARAN INTERNATIONAL INC, 550 SEVENTH AVE, NEW YORK, NY 10018  
(212) 789-1500 - 1,500,000 (\$1,500,000) COMMON STOCK. (FILE 333-34074 -  
APR. 05) (BR. 2)

S-8 HARTFORD LIFE INC, HARTFORD LIFE INC, 200 HOPMEADOW STREET, SIMSBURY,  
CT  
06089 (860) 843-7716 - 5,000,000 (\$216,875,000) COMMON STOCK. (FILE  
333-34076 - APR. 05) (BR. 1)

S-8 CLICKACTION INC, 2197 EAST BAYSHORE RD, PALO ALTO, CA 94303  
(415) 473-3600 - 650,000 (\$15,238,252) COMMON STOCK. (FILE 333-34078 -  
APR. 05) (BR. 3)

S-8 CONNECTICUT BANCSHARES INC/DE, 923 MAIN STREET, MANCHESTER, CT 06040  
(860) 646-1700 - 972,033 (\$10,391,033) COMMON STOCK. (FILE 333-34080 -  
APR. 05) (BR. 7)

S-8 GLIATECH INC, 23420 COMMERCE PARK RD, CLEVELAND, OH 44122 (216) 831-  
3200  
- 150,000 (\$2,470,500) COMMON STOCK. (FILE 333-34082 - APR. 05) (BR. 1)

S-3 NOVELLUS SYSTEMS INC, 3970 N FIRST ST, SAN JOSE, CA 95134 (408) 943-  
9700  
- 500,000,000 (\$500,000,000) COMMON STOCK. (FILE 333-34084 - APR. 05)  
(BR. 5)

S-3 CHAPARRAL RESOURCES INC, 2211 NORFOLK, SUITE 1150, HOUSTON, TX 77098  
(281) 877-7100 - \$9,858,000 COMMON STOCK. (FILE 333-34086 - APR. 05)  
(BR. 4)

S-1 INTEGON RE BARBADOS LTD, ONE FINANCIAL PLACE,  
COLLYMORE ROCK ST MICHAEL BARBADOS WI, ST MICHAEL, (246) 436-4895 - 30,000  
(\$7,500,000) COMMON STOCK. (FILE 333-34088 - APR. 05) (NEW ISSUE)

S-1 UNIVERSAL COMPRESSION HOLDINGS INC, 4440 BRITTMOORE RD, HOUSTON, TX  
77041 (713) 466-4103 - \$172,500,000 COMMON STOCK. (FILE 333-34090 -  
APR. 05) (BR. 6)

S-8 HARTFORD FINANCIAL SERVICES GROUP INC/DE, HARTFORD PLZ, HARTFORD, CT  
06115 (860) 547-5000 - 10,000,000 (\$466,250,000) COMMON STOCK. (FILE  
333-34092 - APR. 05) (BR. 1)

S-8 EXACTIS COM INC, 707 17TH STREET SUITE 2850, DENVER, CO 80202  
(303) 675-2300 - 4,202,264 (\$56,535,752) COMMON STOCK. (FILE 333-34094 -  
APR. 05) (BR. 7)

S-3 MACE SECURITY INTERNATIONAL INC, 1000 CRAWFORD PLACE, SUITE 400,  
MOUNT LAUREL, NJ 08054 (856) 778-2300 - 838,737 (\$3,957,790.22)  
COMMON STOCK. (FILE 333-34096 - APR. 05) (BR. 2)

S-8 PIER 1 IMPORTS INC/DE, 301 COMMERCE ST STE 600, FORT WORTH, TX 76102  
(817) 878-8000 - 1,000,000 (\$9,000,000) COMMON STOCK. (FILE 333-34100 -  
APR. 05) (BR. 2)

S-8 AMDOCS LTD, C/O TOWER HILL HOUSE, LE BORDAGE GYL 3QT, ST PETER PORT, E7  
00000 (314) 821-3242 - 1,653,597 (\$7,920,730) COMMON STOCK. (FILE  
333-34104 - APR. 05) (BR. 3)

S-8 USA TECHNOLOGIES INC, 200 PLANT AVENUE, WAYNE, PA 19087 (610) 989-0340  
- 87,500 (\$249,375) COMMON STOCK. (FILE 333-34106 - APR. 05) (BR. 8)

S-1 RMS NETWORKS INC, 633 S FEDERAL HIGHWAY, 4TH FL, FT LAUDERDALE, FL  
33301  
(954) 525-6464 - \$75,000,000 COMMON STOCK. (FILE 333-34108 - APR. 05)

S-8 USA TECHNOLOGIES INC, 200 PLANT AVENUE, WAYNE, PA 19087 (610) 989-0340  
- 1,260 (\$3,591) COMMON STOCK. (FILE 333-34110 - APR. 05) (BR. 8)

S-8 PHARMACIA CORP /DE/, 100 ROUTE 206 NORTH, PEAPACK, NJ 07977  
(888) -76-8-55 - 38,962,980 (\$1,806,908,197.50) COMMON STOCK. (FILE  
333-34112 - APR. 05) (BR. 2)

S-1 PEOPLEPC INC, 100 PINE STREET, SUITE 1100, SAN FRANCISCO, CA 94111  
(415) 732-4400 - \$100,000,000 COMMON STOCK. (FILE 333-34114 - APR. 05)  
(NEW ISSUE)

S-1 CO SPACE INC, 70 INNER BELT RD, SOMERVILLE, MA 02143 - \$125,000,000  
COMMON STOCK. (FILE 333-34116 - APR. 05)

S-8 APPLIED MATERIALS INC /DE, 3050 BOWERS AVE, SANTA CLARA, CA 95054  
(408) 563-2682 - 3,435,659 (\$94,728,604.07) COMMON STOCK. (FILE 333-34118  
- APR. 05) (BR. 5)

S-1 ISTA PHARMACEUTICALS INC, 15279 ALTON PARKWAY 100, IRVINE, CA 92618  
(949) 788-6000 - \$86,250,000 COMMON STOCK. (FILE 333-34120 - APR. 05)

S-3 VENTANA MEDICAL SYSTEMS INC, 3865 N BUSINESS CENTER DRIVE, TUCSON, AZ  
85705 (520) 887-2155 - 1,250,000 (\$47,968,750) COMMON STOCK. (FILE  
333-34124 - APR. 05) (BR. 5)

S-3 SOCRATES TECHNOLOGIES CORP, 8500 LEESBURG PIKE, SUITE 406, VIENNA, VA  
22183 (703) 356-5353 - 2,877,335 (\$7,912,671) COMMON STOCK. (FILE  
333-34126 - APR. 06) (BR. 5)

S-8 GOOD GUYS INC, 7000 MARINA BLVD, BRISBANE, CA 94005 (415) 615-5000 -  
400,000 (\$1,625,000) COMMON STOCK. (FILE 333-34128 - APR. 06) (BR. 2)

S-8 SCG HOLDING CORP, 5005 EAST MCDOWELL ROAD, PHOENIX, AZ 85008  
(602) 244-6600 - 16,076,667 (\$123,533,012) COMMON STOCK. (FILE 333-34130  
-  
APR. 06) (BR. 5)

S-3 MICRO THERAPEUTICS INC, 2 GOODYEAR, IRVINE, CA 92618 (949) 837-3700 -  
1,600,000 (\$10,704,000) COMMON STOCK. (FILE 333-34132 - APR. 06) (BR. 9)

S-3 NORTHEAST OPTIC NETWORK INC, 391 TOTTEN POND RPAD, WALTHAM, MA 02154  
(781) 890-6868 - 3,450,000 (\$215,840,625) COMMON STOCK. (FILE 333-34134 -  
APR. 06) (BR. 7)

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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 S Offerings.

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	DE	X									03/25/00	
ABN AMRO MORTGAGE CORP SERIES 1998- 2	DE	X									03/25/00	
ABN AMRO MORTGAGE CORP SERIES 1998- 3	DE	X									03/25/00	
ABN AMRO MORTGAGE CORP SERIES 1998- 4	DE	X									03/25/00	
ABN AMRO MORTGAGE CORP SERIES 1998- 5	DE	X									03/25/00	
ABN AMRO MORTGAGE CORP SERIES 1999- 1	DE	X									03/25/00	
ABN AMRO MORTGAGE CORP SERIES 1999- 2	DE	X									03/25/00	
ABN AMRO MORTGAGE CORP SERIES 1999- 3	DE	X									03/25/00	
ABN AMRO MORTGAGE CORP SERIES 1999- 4	DE	X									03/25/00	
ABN AMRO MORTGAGE CORP SERIES 1999- 5	DE	X									03/25/00	
ABN AMRO MORTGAGE CORP SERIES 1999- 6	DE	X									03/25/00	
ABN AMRO MORTGAGE CORP SERIES 1999- 7	DE	X									03/25/00	
ABN AMRO MORTGAGE CORP SERIES 1999- 8	DE	X									03/25/00	
ABN AMRO MORTGAGE CORP SERIES 2000- 1	DE	X									03/25/00	
ABOUT COM INC	DE		X						X		03/27/00	
ADVANCED CEILING SUPPLIES INC	CO			X							04/06/00	
AERIAL COMMUNICATIONS INC	DE				X		X				04/10/00	

NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
AFFYMETRIX INC	DE				X						04/07/00	
AGILENT TECHNOLOGIES INC	DE				X	X					04/07/00	
ALBANY-MOLECULAR RESEARCH INC	DE			X		X					04/04/00	
ALLBERRY INC	DE				X						04/11/00	
ALLIANCE BANCORP OF NEW ENGLAND INC	DE				X	X					04/06/00	
AMERICAN BANKNOTE CORP	DE				X						03/13/00	
AMERICAN NATIONAL CAN GROUP INC	DE				X	X					03/31/00	
AMERICAN SOUTHWEST FINANCIAL SECURI TIES CORP	AZ	X									03/25/00	
AMERICAN SPORTS MACHINE INC	FL				X	X					03/20/00	
AREA INVESTMENT & DEVELOPMENT CO /U T/	UT		X				X				02/27/00	
ARIS CORP/	WA				X	X					03/30/00	
ASIAN STAR DEVELOPMENT INC /NV	NV	X				X					04/11/00	
ASK JEEVES INC	DE	X				X					04/11/00	AMEND
ASPEN GROUP RESOURCES CORP	A6				X	X					03/31/00	
ASSOCIATES FIRST CAPITAL CORP	DE				X	X					04/11/00	
AUTOINFO INC	DE			X							12/23/99	
AUTOZONE INC	NV				X	X					03/21/00	
BARTON BEERS LTD	MD				X						04/11/00	
BARTON BRANDS LTD /DE/	DE				X						04/11/00	
BARTON BRANDS OF CALIFORNIA INC	CT				X						04/11/00	
BARTON BRANDS OF GEORGIA INC	GA				X						04/11/00	
BARTON CANADA LTD	DE				X						04/11/00	
BARTON DISTILLERS IMPORT CORP	NY				X						04/11/00	
BARTON FINANCIAL CORP	DE				X						04/11/00	
BARTON INC	DE				X						04/11/00	
BATAVIA WINE CELLARS INC	NY				X						04/11/00	
BB&T CORP	NC				X						04/11/00	
BEAR STEARNS COMMERCIAL MORTGAGE SE CURITIES INC	DE						X				03/30/00	
BEAUTYMERCHANT COM INC	NV	X									04/02/00	
BELLSOUTH CORP	GA				X						04/10/00	
BESICORP LTD	NY						X				04/04/00	
BILLING CONCEPTS CORP	DE				X	X					04/04/00	
BLACK & DECKER CORP	MD				X	X					04/10/00	
BURNHAM PACIFIC PROPERTIES INC	MD				X	X					04/05/00	
CAM DATA SYSTEMS INC	DE				X	X					03/27/00	
CANANDAIGUA BRANDS INC	DE				X						04/11/00	
CANANDAIGUA EUROPE LTD	NY				X						04/11/00	
CANANDAIGUA LTD	NY				X						04/11/00	
CANANDAIGUA WINE CO INC /NY/	NY				X						04/11/00	
CANDANAIGUA B V	DE				X						04/11/00	
CAREER EDUCATION CORP	DE				X	X					04/03/00	
CAREINSITE INC	DE	X					X				04/10/00	
CENTURY CASINOS	DE			X	X						04/06/00	
CHAMPPS ENTERTAINMENT INC/ MA	DE			X		X					04/03/00	
CHASE MANHATTAN CORP /DE/	DE				X	X					04/11/00	
CLOUD PEAK CORP	DE				X						04/11/00	
CNH HOLDINGS CO	NV				X						04/07/00	AMEND
COMMUNITY BANCORP /VT	VT	X									04/11/00	
CONSECO FINANCE CORP	DE				X	X					04/17/00	
CRAFTCLICK COM INC	UT						X				01/25/00	AMEND
CRAFTCLICK COM INC	UT						X				02/04/00	AMEND

NAME OF ISSUER	STATE	8K ITEM NO.									DATE	COMMENT
	CODE	1	2	3	4	5	6	7	8	9		
CRAFTCLICK COM INC	UT								X		02/15/00	AMEND
CRIIMI MAE INC	MD			X							04/10/00	
CROWN CENTRAL PETROLEUM CORP /MD/	MD					X	X				04/10/00	
DESIGNS INC	DE						X	X			04/11/00	
DISCOVERY INVESTMENTS INC	NV				X			X			03/30/99	
DLJ MORTGAGE ACCEPTANCE CORP	DE					X	X				03/31/00	
DOLLAR TREE STORES INC	VA						X	X			04/05/00	
DUPONT DIRECT FINANCIAL HOLDINGS IN C	GA	X	X		X	X	X	X			02/07/00	AMEND
E COM VENTURES INC	FL				X			X			04/04/00	
E SPIRE COMMUNICATIONS INC	DE						X				04/10/00	
EA ENGINEERING SCIENCE & TECHNOLOGY INC	DE						X				04/10/00	
ECOM ECOM COM INC	FL							X			01/21/00	AMEND
EMB CORP	HI		X					X			05/07/99	
EMPIRE FEDERAL BANCORP INC	DE					X	X				04/11/00	
ENTERPRISES SOLUTIONS INC	NV					X	X				03/30/00	
EQUITABLE RESOURCES INC /PA/	PA					X	X				04/10/00	
EQUITY MARKETING INC	DE					X	X				04/11/00	
EXCO RESOURCES INC	TX		X					X			03/24/00	
FIDELITY NATIONAL FINANCIAL INC /DE /	DE		X					X			03/20/00	AMEND
FINANCIAL INTRANET INC/NY	NV				X			X			03/27/00	
FINANCIALWEB COM INC	NV					X	X				04/07/00	
FIRST ALLIANCE CORP /DE/	DE					X					04/05/00	
FIRST CHARTER CORP /NC/	NC		X					X			04/04/00	
FIRST SECURITY CORP /UT/	DE					X	X				04/09/00	
FORD CREDIT AUTO LOAN MASTER TRUST	MI					X	X				03/31/00	
FORD CREDIT AUTO RECEIVABLES TWO L P	DE					X	X				03/31/00	
FORME CAPITAL INC	DE		X					X			04/10/00	
FRANCISCAN VINEYARDS INC	DE					X					04/11/00	
GE CAPITAL MORTGAGE SERVICES INC	NJ					X	X				04/11/00	
GENOME THERAPEUTICS CORP	MA					X	X				12/20/99	AMEND
GENSTAR THERAPEUTICS CORP	DE					X	X				04/11/00	
GLOBALNETCARE INC	FL					X					04/04/00	
GREATER COMMUNITY BANCORP	NJ		X								04/11/00	
GREEN DANIEL CO	MA					X	X				03/31/00	
GTE CORP	NY					X	X				04/10/00	
HAVEN BANCORP INC	DE					X	X				11/30/99	
HAVEN BANCORP INC	DE					X	X				04/10/00	
HEADLANDS MORTGAGE PASS THROUGH CER TIFICATES SERIES 1998-3	DE					X	X				03/25/00	
HEALTHCARE COM CORP	GA					X	X				04/10/00	
HEARTSOFT INC	DE					X	X				03/31/00	
HERBALIFE INTERNATIONAL INC	NV					X	X				04/10/00	
HEWLETT PACKARD CO	DE					X	X				04/07/00	
HOMESTEAD VILLAGE INC	MD					X	X				04/10/00	
IJNT NET INC	DE						X				04/10/00	
IMH ASSETS CORP IMPAC CMB TRUST SER IES 1999-1	CA	X									03/25/00	
IMPAC SECURED ASSETS CORP	CA							X			03/29/00	
INTEGRA LIFESCIENCES HOLDINGS CORP	DE		X			X	X				03/29/00	
INTERCELL CORP	CO	X				X	X				03/30/00	

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		1	2	3	4	5	6	7	8	9		
INTERNATIONAL BANCSHARES CORP	TX				X	X					03/23/00	
INTERNATIONAL PAPER CO /NEW/	NY				X	X					04/11/00	
INTERNATIONAL SPORTS WAGERING INC	DE				X	X					03/31/00	
I2 TECHNOLOGIES INC	DE		X			X					03/27/00	
JFAX COM INC	DE		X			X					01/26/00	AMEND
LINC CAPITAL INC	DE	X									03/31/00	
LJL BIOSYSTEMS INC	DE				X	X					04/10/00	
LOEWEN GROUP INC					X	X					04/07/00	
M V LEWIS CORP	DE				X						04/11/00	
MARKEL CORP	VA				X						03/24/00	
MARKETING SPECIALISTS CORP	DE				X	X					04/07/00	
MAXPLANET CORP	DE				X		X				04/10/00	
MAYTAG CORP	DE		X								04/10/00	
MCI WORLDCOM INC	GA				X	X					04/11/00	
MEDICAL RESOURCES INC /DE/	DE				X	X					04/07/00	
MERIDIAN HOLDINGS INC	CO				X						04/11/00	
MERRIMAC INDUSTRIES INC	NJ				X	X					04/10/00	
MONARCH IMPORT CO	IL				X						04/11/00	
MT VEEDER CORP	DE				X						04/11/00	
NATCO GROUP INC	DE				X	X					04/10/00	
NATIONAL INFORMATION CONSORTIUM	CO				X	X					04/06/00	
NEW YORK BAGEL ENTERPRISES INC	KS				X						03/15/00	
NEXTPATH TECHNOLOGIES INC	NV				X						11/12/99	
NIAGARA BANCORP INC	DE				X	X					03/26/00	
ON TECHNOLOGY CORP	DE				X						04/11/00	
ONE LIBERTY PROPERTIES INC	MD		X			X					03/29/00	
ONIX SYSTEMS INC	DE				X	X					04/07/00	
OPTIO SOFTWARE INC	GA		X			X					03/27/00	
PACIFIC DEVELOPMENT CORP	CO	X									02/18/00	
PARAGON CORPORATE HOLDINGS INC	DE						X				02/11/00	AMEND
PARLUX FRAGRANCES INC	DE				X		X				04/04/00	
PENN AKRON CORP	DE				X						03/31/00	
PEPPERMILL CAPITAL CORP	NV				X						04/07/00	
POLYPHENOLICS INC	NY				X						04/11/00	
POWERCOLD CORP	NV				X	X					04/05/00	
PRESIDENTIAL REALTY CORP/DE/	DE		X								03/30/00	
PRIME CAPITAL CORP	DE	X									04/10/00	
PRISON REALTY TRUST INC	MD				X	X					04/05/00	
PRUDENTIAL SECURITIES SECURED FINAN CING CORP SER 2000-KEY1					X	X					04/10/00	AMEND
QUALCOMM INC/DE	DE	X				X					03/01/00	AMEND
QUALITY SYSTEMS INC	CA				X	X					04/04/00	
RENT WAY INC	PA				X						04/11/00	
RESIDENTIAL ACCREDIT LOANS INC	DE					X					04/04/00	
RESIDENTIAL ACCREDIT LOANS INC	DE					X					04/05/00	
RESIDENTIAL ASSET MORTGAGE PRODUCTS INC	DE					X					03/25/00	
RESIDENTIAL ASSET MORTGAGE PRODUCTS INC	DE					X					03/30/00	
RESIDENTIAL FUNDING MORTGAGE SECURI TIES I INC	DE					X					04/11/00	
RESIDENTIAL FUNDING MORTGAGE SECURI TIES II INC	DE					X					04/07/00	
REYNOLDS & REYNOLDS CO	OH				X						04/10/00	

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	CODE	1	2	3	4	5	6	7	8	9		
RIGID AIRSHIP USA INC	NV				X						03/28/00	
RIGID AIRSHIP USA INC	NV				X						03/28/00	
RITE AID CORP	DE		X								04/11/00	
ROBERTS TRADING CORP	NY				X						04/11/00	
SBC COMMUNICATIONS INC	DE				X		X				04/10/00	
SCG HOLDING CORP	DE		X				X				04/03/00	
SDL INC	DE		X				X				04/03/00	
SENSAR CORP /NV/	NV				X						04/07/00	
SERVICE MERCHANDISE CO INC	TN				X						04/05/00	
SOLECTRON CORP	DE				X		X				04/11/00	
SOLV EX CORP	NM				X						03/31/00	
SONICPORT COM	NV				X						04/11/00	
STAR TECHNOLOGIES INC	DE				X		X				04/11/00	
STEVENS POINT BEVERAGE CO	WI				X						04/11/00	
STRUCTURED ASSET SECURITIES CORP	DE				X		X				04/10/00	
STRUCTURED ASSET SECURITIES CORP MO PA TH CE SE 2000-BC1	DE							X			03/27/00	
SYNAGRO TECHNOLOGIES INC	DE		X				X				04/10/00	
SYNAGRO TECHNOLOGIES INC	DE						X				04/11/00	AMEND
SYSTEM SOFTWARE ASSOCIATES INC	DE				X		X				04/06/00	
TELLABS INC	DE				X						04/11/00	
TERRA NOVA BERMUDA HOLDING LTD			X				X				03/24/00	
THERMO INSTRUMENT SYSTEMS INC	DE				X		X				04/07/00	
UMPQUA HOLDINGS CORP	OR		X								04/05/00	
UNION NATIONAL FINANCIAL CORP / PA	PA							X			04/10/00	
UNITED FINANCIAL MORTGAGE CORP	IL		X								04/07/00	
UNOCAL CORP	DE				X						04/10/00	
US AIRWAYS GROUP INC	DE				X		X				04/11/00	
US AIRWAYS INC	DE				X		X				04/11/00	
US FOODSERVICE/MD/	DE		X				X				04/10/00	
US INDUSTRIES INC /DE	DE		X				X				03/24/00	
US MICROBICS INC	CO				X		X				03/14/00	
VEREX LABORATORIES INC/CO	CO		X								03/31/00	
VERTICALNET INC	PA				X		X				04/04/00	
VIALINK CO	DE				X		X				04/07/00	
VIROPHARMA INC	DE				X		X				04/11/00	
VIRTUAL COMMUNITIES INC/DE/	DE						X				02/10/00	AMEND
VISTA MEDICAL TECHNOLOGIES INC	DE				X		X				04/10/00	
WASATCH PHARMACEUTICAL INC	UT				X						04/10/00	
WESLEY JESSEN VISIONCARE INC	DE				X		X				03/19/00	AMEND
WEST TELESERVICES CORP	DE				X		X				04/03/00	
WEST TELESERVICES CORP	DE				X		X				04/03/00	AMEND
WESTERFED FINANCIAL CORP	DE				X		X				04/03/00	
WESTERN RESOURCES INC /KS	KS				X		X				04/10/00	
WILMAR INDUSTRIES INC	NJ				X		X				12/22/99	AMEND
WINSLOEW FURNITURE INC	FL		X								03/31/00	
WMC SECURED ASSETS CORP WMC MORT PA SS THR CERT SER 1999-A	DE				X		X				11/30/99	
WMC SECURED ASSETS CORP WMC MORT PA SS THR CERT SER 1999-A	DE				X		X				11/30/99	
WMC SECURED ASSETS CORP WMC MORT PA SS THR CERT SER 1999-A	DE				X		X				11/30/99	
XCEED INC	DE		X				X				02/09/00	AMEND
XCEED INC	DE		X				X				02/09/00	AMEND

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	CODE	1	2	3	4	5	6	7	8	9			
YORK FINANCIAL CORP	PA					X						03/27/00	
2DOBIZ COM INCICES INC	NV									X		04/04/00	AMEND
□													