

# SEC NEWS DIGEST

Issue 2000-137

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## COMMISSION ANNOUNCEMENTS

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### COMMISSION TO STUDY EFFECT OF PAYMENT FOR ORDER FLOW AND INTERNALIZATION IN THE OPTIONS MARKET

Today, the Commission announced that it will conduct a study of the development of payment for order flow and internalization arrangements in the options markets and any changes in market quality since multiple trading. The goal of the study, which will be conducted by the Office of Economic Analysis along with the Office of Compliance, Inspections and Examinations, is to better inform the Commission about the nature, scope, and prevalence of these arrangements and their influence on order routing patterns. In addition, and more fundamentally, the study will attempt to determine the effect of these practices on quote competition, spreads, and execution quality. Because payment for order flow and internalization is a new development in the options market, the data from the previous year may offer a unique opportunity to isolate and examine causal relationships between the practices and changes in execution quality. The Commission intends to make the findings of the study public in November.

#### Background

Nearly a year has passed since most exchange-listed options began trading on multiple exchanges. This period has been characterized by intense competition for options order flow among options market makers and exchanges. In the first month of multiple trading, spreads in some actively traded options tightened by between 15 and 44 percent, according to an analysis performed by the Commission's Office of Economic Analysis. By the end of October, the spread in more than three quarters of all options that began trading on multiple exchanges since August had declined by 15 percent or more.

More recently, payment for order flow and internalization arrangements have proliferated in the options markets. Some market participants and investors have expressed alarm in response to these developments. Options exchanges also have noted serious reservations, with one exchange calling for a moratorium on payment for order flow in the options markets in January of this year.

Since its growth in the 1980s in the equities markets, the Commission has made clear its concern about the practice of payment for order flow. It has repeatedly recognized that the practice constitutes a potential conflict for brokers handling customer orders, and that it may present a threat to aggressive quote competition. At the same time, we have acknowledged that payment for order flow is not necessarily inconsistent with a broker's duty of best execution, and that it has become a feature of competition among our equity market centers. The Commission decided not to ban payment for order flow in the early 1990s. In considering the arrangements, the Commission noted that payment for order flow is, in substance, the economic equivalent of internalization.

The Commission continues to believe that a ban on payment for order flow is not adequate to address the concerns presented by internalization. Given the diversity of economic models represented by our five options exchanges, the many possible forms of internalization in those markets, and the highly dynamic competition among them at this moment, the Commission is extremely reluctant to take action that would prescribe the form of intermarket competition. While we remain steadfast in our commitment to foster competition among and within options markets, our role is not to pick winners or losers, directly or indirectly.

The Commission remains deeply concerned, however, about practices or arrangements, including payment for order flow and internalization, that may reduce the level of interaction between buyers and sellers in the options markets, or otherwise compromise quote competition. It is critically important that we understand their effects as fully as possible. (Press Rel. 2000-97)

## **JAMES DALY AND WILLIAM TOLBERT NAMED ASSOCIATE DIRECTORS**

Today, the Commission's Director of Corporation Finance, David B.H. Martin, today named James M. Daly and William L. Tolbert, Jr. as Associate Directors for Disclosure Operations. In their new positions, Mr. Daly and Mr. Tolbert will be responsible, along with Shelley E. Parratt, for the Division's program of reviewing disclosure in connection with offerings of securities to the public and periodic reporting of information and solicitation of proxies by public companies. The disclosure review program is the core function of the Division.

SEC Chairman Arthur Levitt said, "The disclosure review program in the Division of Corporation Finance is central to this agency's mission. Jim and Bill are fine examples of the depth of talent in the Division of Corporation Finance and represent the best of what this agency stands for. They will continue the Division's long tradition of anticipating and meeting the demands of our evolving markets."

David Martin said, "Both Jim and Bill have long and distinguished records within the Division. They bring wisdom, judgment, and dedication to the job of Associate Director and I know they will do a superb job overseeing our disclosure review program."

Mr. Daly joined the Commission in 1980 as a Financial Analyst. He became a Branch Chief in 1985 and has been an Assistant Director since 1989. Jim received his M.B.A. from the University of New Orleans in 1980 and his B.A. with a major in psychology from Tulane University in 1974.

Mr. Tolbert joined the Commission in 1988 as an Attorney Adviser. He became a Branch Chief in 1994 and has been an Assistant Director since 1996. Bill graduated from Case Western Reserve University School of Law (cum laude) in 1988. He received a B.S. (cum laude) with a major in accounting from Ohio State University in 1985. (Press Rel. 2000-98)

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## **ENFORCEMENT PROCEEDINGS**

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### **SEC INSTITUTES ADMINISTRATIVE PROCEEDINGS AGAINST CLYDE WAYNE GREGORY**

The Commission announced today that it issued an Order Instituting Public Administrative and Cease-and-Desist Proceedings (Order) against Clyde Wayne Gregory, a resident of Madison, Alabama (Gregory). According to the Order, Gregory was formerly a registered representative associated with a registered broker-dealer, and an investment adviser.

The Order alleges that, from at least 1995 until at least his arrest in December of 1997, Gregory violated several antifraud provisions of the federal securities laws. Among other things, the Order alleges that Gregory willfully misappropriated client investment funds, misrepresented and omitted material facts to clients, and delivered false or misleading documents to clients. In addition, the Order alleges that, in July of 1998, a Madison County, Alabama grand jury named Gregory in a ninety-two count indictment charging Gregory with state securities violations and the theft of over \$4 million in securities and insurance investments. According to the Order, in June of 1999, Gregory pled guilty in the circuit court of Madison County, Alabama to thirty-five counts of the indictment, consisting of thirty counts of theft and five counts of state securities fraud. The Order further alleges that, in July of 1999, the court sentenced Gregory to thirty years in jail as a result of his conviction.

A hearing will be held before an administrative law judge to determine whether the staff's allegations against Gregory are true, and if so, what sanctions, if any, are appropriate in the public interest against him. (File No. 3-10252; Rels. 33-7873, 34-43045, 40-1886)

## **SEC INSTITUTES ADMINISTRATIVE PROCEEDINGS AGAINST TAMPA INVESTMENT ADVISER**

The Commission announced that on July 18, it instituted public administrative and cease-and-desist proceedings against a Tampa-based advisory firm, Vector Index Advisors, Inc. (Vector), and its chief executive officer and president, Steven H. Adler (Adler). Vector has been registered with the Commission as an investment adviser since 1990.

In the order instituting the proceedings (Order), the staff alleges that, during the period from 1994 through 1998, Adler fraudulently told 13 Vector clients that pursuant to a market-timing program, Vector would purchase and sell for their accounts shares in a mutual fund, **ASM Index 30 Fund, Inc. (ASM)**. The staff further alleges in the Order that from at least 1994 through 1998, Adler and Vector furnished fictitious account statements to the clients to create the appearance that they were operating the market-timing program by purchasing and selling ASM shares for the clients' accounts, and that those accounts were increasing in value. The staff contends in the Order that, contrary to the representations and the information in the account statements, Vector and Adler diverted over \$2.2 million of the clients' funds by using them, without the clients' authorization or knowledge, to pay Vector's business expenses and Adler's personal expenses. The staff claims that the foregoing conduct was willful and violated the antifraud provisions of the federal securities laws.

The staff also alleges in the Order that, during the period from 1994 through 1998, Vector, aided and abetted and caused by Adler, failed to make and maintain in an accurate and current condition, as required of investment advisers, certain records concerning the market-timing clients. Finally, the staff alleges in the Order that Vector and Adler omitted material facts concerning the market-timing clients that were required to be stated in certain reports filed with the Commission.

A hearing will be scheduled to determine whether the staff's allegations are true, and if so, whether remedial sanctions and penalties should be imposed against Vector and Adler. (File No. 3-10253; Rel. 33-7874; 34-43046; 40-1887; 40-24559)

## **COMMISSION SETTLES PUBLIC ADMINISTRATIVE PROCEEDINGS AGAINST OLAWANDE AGUNLOYE**

The SEC today instituted and simultaneously settled public administrative proceedings, pursuant to Sections 15(b) and 19(h) of the Securities Exchange Act of 1934 (Exchange Act), against Olawande A. Agunloye (Agunloye), a former registered representative and principal of Wise Choice Discount Brokerage, Inc., a now defunct registered broker-dealer. In the Order, the Commission barred Agunloye from association with any broker or dealer.

The Commission's Order finds that on June 30, 1999, the United States District Court for the Southern District of New York enjoined Agunloye from future violations of

Sections 5(a) and 17(a) of the Securities Act of 1933, Section 10(b) of the Exchange Act, and Rules 10b-5 and 10b-9 thereunder, and ordered Agunloye to disgorge \$938,827.50 plus prejudgment interest of \$75,337.55 and to pay a civil penalty of \$10,000. SEC v. Nichi Capital, et al., 98 Civ. 2218 (S.D.N.Y.) (CSH). The Commission's complaint alleged that Agunloye fraudulently offered and sold unregistered stock in Nichi Capital, Ltd. (Nichi) to investors both in a private placement and in a purported initial public offering (IPO). Nichi was a development stage company of which Agunloye had been the president, chairman, and controlling shareholder. Agunloye solicited investors based on oral and written misrepresentations concerning the purported IPO. The Order also finds that on October 15, 1999, Agunloye pled guilty to one count of conspiracy to commit securities fraud in connection with conduct involving Nichi, as well as to one conspiracy count in connection with conduct unrelated to Nichi. United States v. Bakal, 98 Cr. 329 (S.D.N.Y.) (TPG). (File No. 3-10254; Rel. 34-43048)

### **JANNEY MONTGOMERY SCOTT AND NORMAN WILDE SANCTIONED**

The Commission announced today that it has entered an Order Instituting Public Proceedings, Making Findings and Imposing Remedial Sanctions (Order) against Janney Montgomery Scott LLC, (Janney) the largest regional brokerage firm based in Philadelphia, and Norman T. Wilde, Jr. (Wilde), its former president and chief executive officer. The Order finds that Janney and Wilde failed reasonably to supervise Mark Coleman Graves (Graves), a former Janney registered representative who, from 1988 through July 1996, violated the antifraud provisions of the federal securities laws by misappropriating more than \$1.8 million from approximately 25 Janney customers. The Order, which institutes administrative proceedings pursuant to Sections 15(b) and 19(h) of the Securities Exchange Act of 1934 censures Janney, orders Janney to pay a civil penalty of \$100,000, and orders the firm to comply with certain undertakings. The Order also censures Wilde, and orders him to pay a civil penalty of \$25,000. Janney and Wilde consented to the entry of the Order, without admitting or denying the findings therein.

The Order finds that Graves was able to defraud the customers because he exploited certain deficiencies in Janney's internal operational systems concerning fund disbursements and transfers, correspondence review and customer complaint processing. The Order also finds that these three systems should have detected irregularities, but failed to do so because of either inadequate establishment or inadequate implementation of written supervisory procedures.

In particular, the Order finds that Janney had inadequate procedures concerning the review and approval of customer letters of authorization for the transfer or withdrawal of customer funds, internal review of outgoing correspondence, internal review of incoming correspondence prior to distribution to the registered representatives, and internal review of customer complaints. The Order also finds that from July 1992 through the discovery of Graves' scheme in 1996, Janney had failed reasonably to improve its written procedures despite being placed on notice of certain deficiencies by the National Association of Securities Dealers, the New York Stock Exchange, the Pennsylvania

Securities Commission and the SEC. Moreover, the Order finds that in 1993, Janney terminated two registered representatives for misappropriation of customer funds, implicating some of the same compliance systems exploited by Graves, and that Janney failed promptly to implement certain procedures designed to detect and/or prevent Graves' misconduct.

With regard to Wilde, who resigned as Janney's president and chief executive officer on December 31, 1999, the Order finds that he was aware of the deficiencies cited by the regulatory agencies, and the two prior terminations, but failed reasonably to ensure that adequate corrective action was taken. Therefore, although he delegated to others the responsibility to establish written procedures designed to prevent and/or detect violations of the federal securities laws, the Order finds that that delegation became unreasonable.

The Order also finds that, following an independent consultant's review of Janney's policies and procedures, the firm has, since 1996, issued three new supervisory and procedures manuals. The Order requires Janney to comply with its undertaking to retain an independent consultant to evaluate, within one year, whether the procedures enacted to address the systems exploited by Graves have been implemented, and/or whether they require supplementation. The undertakings authorize the independent consultant to recommend additional procedures that, unless an alternative agreement can be reached between Janney and the independent consultant, Janney must implement. (File No. 3-10255; Rels. 33-7875; 34-43050)

#### **CEASE AND DESIST PROCEEDINGS INSTITUTED AND SETTLED AGAINST JWGENESIS FINANCIAL**

The Commission today instituted administrative cease and desist proceedings pursuant to Section 21C of the Securities Exchange Act of 1934 (Exchange Act) against JWGenesis Financial, Inc., formerly known as JW Charles Financial Services, Inc. (JW Charles). The Commission found that JW Charles failed to file a Schedule 13D upon the acquisition of more than five percent of the outstanding shares of The Americas Growth Fund (AGRO), and failed to file timely amendments to a Schedule 13D it did file as its holdings of AGRO common stock increased to over 25 percent. The Commission simultaneously accepted an Offer of Settlement in which JW Charles, without admitting or denying the Commission's findings, consented to an Order to cease and desist from committing or causing any violation, and any future violation, of Section 13(d) of the Exchange Act, and Rules 13d-1 and 13d-2 thereunder.

The Commission also today filed a Complaint in the United States District Court for the District of Columbia, alleging that JW Charles violated Section 13(d) of the Exchange Act, and Rules 13d-1 and 13d-2 thereunder, in connection with the conduct described in the administrative cease and desist proceeding. Without admitting or denying the allegations in the Commission's Complaint, JW Charles agreed to settle the charges against it by consenting to entry of a final judgment requiring it to pay a civil penalty of \$20,000. [See LR-16631 (July 19, 2000)]

The Commission found that, in 1994, JW Charles was the principal underwriter of the initial public offering of common stock of AGRO, a closed-end business development company. From the onset of aftermarket trading in AGRO common stock, JW Charles's broker-dealer subsidiary, JW Charles Clearing Corp. (JWCC), was the principal market-maker for the stock. Until December 1996, JWCC held a position in AGRO stock consistent with typical market making practice, ending each day with no AGRO stock, or a small long or short position.

In December 1996, JW Charles, through JWCC, acquired a position in AGRO shares far in excess of any it had obtained previously. While at the end of November 1996, JWCC owned 450 shares of AGRO common stock, by the end of December, it owned 167,125 AGRO shares, (13.2% of the total outstanding). These shares were obtained through JWCC consistently maintaining the high bid for AGRO.

On January 10, 1997, JWCC, holding 171,525 AGRO shares (13.56% of the amount outstanding) beneficially owned by JW Charles, filed a Schedule 13G with the Commission. The Commission found that JW Charles violated Section 13(d) of the Exchange Act, and Rule 13d-1 thereunder, by not filing a timely Schedule 13D upon its acquisition, in December 1996, of over five percent of the outstanding shares of common stock of AGRO. Although JWCC had filed a Schedule 13G in January 1997, the Commission found that it was ineligible to do so, as the AGRO shares it had acquired on JW Charles's behalf were not acquired in the "ordinary course of [its] business" as required by Rule 13d-1(b)(1)(i)

By March 11, 1997, JW Charles, through JWCC, beneficially owned 262,000 AGRO shares, or 20.7% of the shares outstanding. On that date, JWCC filed with the Commission what the company labeled a "voluntary" Schedule 13D. Between March 11 and June 8, 1997, JWCC's position in AGRO reached 25% of the then-outstanding AGRO shares. During this period, JWCC did not amend its March 11 "voluntary" Schedule 13D to reflect each instance it acquired an additional one percent of AGRO's outstanding shares. The Commission found that JW Charles's failure to amend its March 11 "voluntary" Schedule 13D violated Exchange Act Rule 13d-2. On June 9, 1997, when it held over 25% of the outstanding AGRO common stock, JW Charles commenced a tender offer for AGRO's stock, pursuant to which it eventually obtained ownership of all of the outstanding shares of common stock of AGRO. [LR-16631] (File No. 3-10256; Rel. 43053)

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## INVESTMENT COMPANY ACT RELEASES

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### PIMCO FUNDS: MULTI-MANAGER SERIES AND PIMCO ADVISORS L.P.

A notice has been issued giving interested persons until August 11, to request a hearing on an application filed by PIMCO Funds: Multi-Manager Series and PIMCO Advisors L.P. for an order under Section 6(c) of the Investment Company Act of 1940 (Act)

exempting applicants from Section 15(a) of the Act and Rule 18f-2 under Act. The order would permit applicants to enter into and materially amend sub advisory agreements without shareholder approval and grant relief from certain disclosure requirements. (IC-24558)

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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 CABLE & WIRELESS PUBLIC LIMITED CO, NEW MERCURY HOUSE,  
26 RED LION SQUARE, LONDON ENGLAND WC1R 4UQ, X0 00000 (703) 847-4835 -  
160,543,452 (\$91,924,693.83) FOREIGN COMMON STOCK. (FILE 333-12268 -  
JUL. 11) (BR. 7)

SB-2 CLIP N PIERCE FASHION INC, 4190 BONITA ROAD #105, BONITA, CA 91902  
(619) 267-0450 - 400,000 (\$4,000) COMMON STOCK. (FILE 333-41206 - JUL.  
12)  
(BR. 9 - NEW ISSUE)

S-8 INTERMET CORP, 5445 CORPORATE DR, STE 200, TROY, MI 48098 (248) 952-  
2500  
- 1,500,000 (\$8,812,500) COMMON STOCK: (FILE 333-41208 - JUL. 12) (BR.  
6)

SB-2 COMTECH CONSOLIDATION GROUP INC/DE, 10497 TOWN & COUNTRY WAY, SUITE  
460,  
HOUSTON, TX 77024 (713) 554-2244 - 27,000,000 (\$4,050,000) COMMON  
STOCK.  
(FILE 333-41210 - JUL. 12) (BR. 9)

SB-2 GAMECOM INC, 440 NORTH CENTER, ARLINGTON, TX 76011 (817) 265-0440 -  
34,163,470 (\$15,548,125) COMMON STOCK. (FILE 333-41214 - JUL. 12) (BR.  
9)

SB-2 ALOTTAFUN INC, 141 N. MAIN STREET, SUITE 207, WEST BEND, WI 53095  
(414) -33-4-45 - 3,904,383 (\$1,756,972) COMMON STOCK. (FILE 333-41216  
-  
JUL. 12) (BR. 9)

S-8 ENTREMED INC, 9640 MEDICAL CNTR DR, STE 200, ROCKVILLE, MD 20850  
(301) 217-9858 - 1,750,000 (\$55,781,250) COMMON STOCK. (FILE 333-41218  
-  
JUL. 12) (BR. 1)

S-8 HALLMARK FINANCIAL SERVICES INC, 14651 DALLAS PKWY STE 900, DALLAS,  
TX  
75240 (972) 404-1637 - 3,375,000 (\$1,687,500) COMMON STOCK. (FILE  
333-41220 - JUL. 12) (BR. 1)

S-8 GONETGEN COM INC, 6685 FORREST HILL BLVD, SUITE 211, WEST PALM  
BEACH, FL  
33415 (561) 655-5351 - 560,000 (\$504,000) COMMON STOCK. (FILE 333-  
41222 -  
JUL. 12) (BR. 7)

S-8 AMERICAN TOWER CORP /MA/, 116 HUNTINGTON AVE, BOSTON, MA 02116  
(617) 375-7500 - 9,000,000 (\$391,781,250) COMMON STOCK. (FILE 333-  
41224 -  
JUL. 12) (BR. 7)

S-8 AMERICAN TOWER CORP /MA/, 116 HUNTINGTON AVE, BOSTON, MA 02116  
(617) 375-7500 - 7,000,000 (\$304,718,750) COMMON STOCK. (FILE 333-  
41226 -  
JUL. 12) (BR. 7)

S-8 MDSI MOBILE DATA SOLUTIONS INC /CAN/, 10271 SHELLBRIDGE WAY, STE  
135,  
RICHMOND B C CANADA V6X 2W8, A1 00000 (604) 270-9939 - 582,350  
(\$1,201,096.88) COMMON STOCK. (FILE 333-41228 - JUL. 12) (BR. 3)

S-8 MASTERPIECE TECHNOLOGY GROUP INC, 455 WARD CORNER RD, STE 110,  
LOVELAND,  
OH 45140 (425) 643-0777 - 321,800 (\$321,800) COMMON STOCK. (FILE  
333-41230 - JUL. 12) (BR. 9)

S-8 NETCENTIVES INC, 475 BRANNAN ST, SAN FRANCISCO, CA 94107 (415) 538-  
1888  
- 126,699 (\$1,692,698.64) COMMON STOCK. (FILE 333-41232 - JUL. 12)  
(BR. 8)

S-8 PHARMANETICS INC, 5301 DEPARTURE DRIVE, RALEIGH, NC 27616 (919) 954-  
9871  
- 350,000 (\$6,989,500) COMMON STOCK. (FILE 333-41234 - JUL. 12) (BR.  
36)

S-8 PROGRESSIVE CORP/OH/, 6300 WILSON MILLS RD, MAYFIELD VILLAGE, OH  
44143  
(440) 461-5000 - 1,000,000 (\$78,562,500) COMMON STOCK. (FILE 333-41238  
-  
JUL. 12) (BR. 1)

S-8 INSIGNIA SYSTEMS INC/MN, 10801 RED CIRCLE DR, MINNETONKA, MN 55343  
(612) 930-8200 - 200,000 (\$1,487,500) COMMON STOCK. (FILE 333-41240 -  
JUL. 12) (BR. 2)

S-8 INSIGNIA SYSTEMS INC/MN, 10801 RED CIRCLE DR, MINNETONKA, MN 55343  
(612) 930-8200 - 200,000 (\$1,487,500) COMMON STOCK. (FILE 333-41242 -  
JUL. 12) (BR. 2)

S-3 CORNING INC /NY, ONE RIVERFRONT PLAZA, CORNING, NY 14831 (607) 974-  
9000  
- 2,356,674 (\$594,117,516) COMMON STOCK. (FILE 333-41244 - JUL. 12)  
(BR. 7)

S-8 CORNING INC /NY, ONE RIVERFRONT PLAZA, CORNING, NY 14831 (607) 974-  
9000  
- 656,087 (\$165,399,533) COMMON STOCK. (FILE 333-41246 - JUL. 12) (BR.  
7)

S-8 DOLLAR TREE STORES INC, 500 VOLVO PARKWAY, NORFOLK COMMERCE PARK,  
CHESAPEAKE, VA 23320 (757) 321-5000 - 4,500,000 (\$176,203,125)  
COMMON STOCK. (FILE 333-41248 - JUL. 12) (BR. 2)

S-3 WORLDWIDE ENTERTAINMENT & SPORTS CORP, 276 FIFTH AVE, STE 1105,  
NEW YORK, NY 10001 (212) 689-7447 - 3,940,000 (\$4,062,928) COMMON  
STOCK.  
(FILE 333-41258 - JUL. 12) (BR. 5)

S-3 WORLDWIDE ENTERTAINMENT & SPORTS CORP, 276 FIFTH AVE, STE 1105,  
NEW YORK, NY 10001 (212) 689-7447 - 2,718,334 (\$2,803,146) COMMON  
STOCK.  
(FILE 333-41260 - JUL. 12) (BR. 5)

S-3 FATBRAIN COM INC, 2550 WALSH AVE, SANTA CLARA, CA 95051 (408) 541-  
2020  
- \$20,000,000 COMMON STOCK. (FILE 333-41262 - JUL. 12) (BR. 9)

S-4 TYCO INTERNATIONAL LTD /BER/, 90 PITTS BAY ROAD,  
THE ZURICH CENTRE SECOND FLOOR, PEMROKE HM 08 BERMUDA, DO (441) 292-  
8674  
- 75,253,272 (\$3,268,814,003) COMMON STOCK. (FILE 333-41264 - JUL. 12)  
(BR. 6)

S-8 CKE RESTAURANTS INC, 1200 NORTH HARBOR BOULEVARD, ANAHEIM, CA 92801  
(714) 774-5796 - 2,010,000 (\$6,658,143.90) COMMON STOCK. (FILE 333-  
41266 -  
JUL. 12) (BR. 5)

S-8 BUCKHEAD AMERICA CORP, 4243 DUNWOODY CLUB DR, STE 200, ATLANTA, GA  
30350  
(404) 393-2662 - 90,000 (\$461,750) COMMON STOCK. (FILE 333-41268 -  
JUL. 12) (BR. 8)

S-3 US ONCOLOGY INC, 16825 NORTHCHASE DR, STE 1300, HOUSTON, TX 77060  
(281) 873-2674 - 227,560 (\$1,049,052) COMMON STOCK. (FILE 333-41272 -  
JUL. 12) (BR. 1)

- S-2 MIDWEST MEDICAL INSURANCE HOLDING CO, 7650 EDINBOROUGH WAY, SUITE 400, MINNEAPOLIS, MN 55435 (952) -83-8-67 - 3,000 COMMON STOCK. (FILE 333-41274 - JUL. 12) (BR. 1)
- S-3 GOLDEN WEST FINANCIAL CORP /DE/, 1901 HARRISON STREET, OAKLAND, CA 94612 (510) 466-3420 (FILE 333-41278 - JUL. 12) (BR. 7)
- S-3 DOLLAR TREE STORES INC, 500 VOLVO PARKWAY, NORFOLK COMMERCE PARK, CHESAPEAKE, VA 23320 (757) 321-5000 - 17,250,000 (\$675,445,313) COMMON STOCK. (FILE 333-41280 - JUL. 12) (BR. 2)
- S-1 GPC CAPITAL CORP II, 1110 EAST PRINCESS STREET, YORK, PA 17403 (717) 849-8500 - \$253,000,000 COMMON STOCK. (FILE 333-41282 - JUL. 12) (BR. 6)
- S-3 GENTIVA HEALTH SERVICES INC, 175 BROAD HOLLOW ROAD, MELVILLE, NY 11747 (516) 847-800 - 150,000,000 (\$150,000,000) STRAIGHT BONDS. (FILE 333-41284 - JUL. 12) (BR. 8)
- S-3 DATA RACE INC, 12400 NETWORK BLVD, SAN ANTONIO, TX 78249 (210) 263-2000 - 2,044,560 (\$11,245,080) COMMON STOCK. (FILE 333-41286 - JUL. 12) (BR. 3)
- S-8 STILWELL FINANCIAL INC, 920 MAIN STREET 21ST FLOOR, KANSAS CITY, MO 64105 (816) 218-2400 - 30,000,000 (\$1,308,900,000) COMMON STOCK. (FILE 333-41288 - JUL. 12) (BR. 7)
- S-8 RATEXCHANGE CORP, 185 BERRY STREET, SUITE 3515, SAN FRANCISCO, CA 94107 (415) 371-9800 - 5,000,000 (\$30,000,000) COMMON STOCK. (FILE 333-41290 - JUL. 12) (BR. 8)
- S-4 WINDSOR WOODMONT BLACK HAWK RESORT CORP, 12160 NORTH ABRAMS ROAD #516, DALLAS, TX 75243 (214) 575-8757 - 100,000,000 (\$100,000,000) MORTGAGE BONDS. (FILE 333-41292 - JUL. 12) (NEW ISSUE)
- S-8 MIDCOAST ENERGY RESOURCES INC, 1100 LOUISIANA, STE 2950, HOUSTON, TX 77002 (713) 650-8900 - 550,000 (\$8,971,875) COMMON STOCK. (FILE 333-41294 - JUL. 12) (BR. 2)
- S-8 MIDCOAST ENERGY RESOURCES INC, 1100 LOUISIANA, STE 2950, HOUSTON, TX 77002 (713) 650-8900 - 100,000 (\$1,631,250) COMMON STOCK. (FILE 333-41296 - JUL. 12) (BR. 2)
- S-8 MIDCOAST ENERGY RESOURCES INC, 1100 LOUISIANA, STE 2950, HOUSTON, TX 77002 (713) 650-8900 - 150,000 (\$2,446,875) COMMON STOCK. (FILE 333-41298 - JUL. 12) (BR. 2)

- S-3 CELL THERAPEUTICS INC, 201 ELLIOTT AVE W, STE 400, SEATTLE, WA 98119  
(206) 270-7100 - 3,000,000 (\$91,680,000) COMMON STOCK. (FILE 333-41300  
-  
JUL. 13) (BR. 1)
- S-1 ENDWAVE CORP, 321 SOQUEL WAY, SUNNYVALE, CA 94086 (408) 737-7300 -  
\$115,000,000 COMMON STOCK. (FILE 333-41302 - JUL. 12) (NEW ISSUE)
- S-3 STIFEL FINANCIAL CORP, 501 N BROADWAY, 501 N BROADWAY, ST. LOUIS, MO  
63102 (314) 342-2000 - 487,080 (\$5,053,247.50) COMMON STOCK. (FILE  
333-41304 - JUL. 12) (BR. 7)
- S-3 SBA COMMUNICATIONS CORP, ONE TOWN CENTER RD, THIRD FLOOR, BOCA  
RATON, FL  
33486 (561) 995-7670 - 868,685 (\$42,539,504) COMMON STOCK. (FILE  
333-41306 - JUL. 13) (BR. 6)
- S-3 SBA COMMUNICATIONS CORP, ONE TOWN CENTER RD, THIRD FLOOR, BOCA  
RATON, FL  
33486 (561) 995-7670 (FILE 333-41308 - JUL. 13) (BR. 6)
- S-1 METAVANTE CORP, 4900 WEST BROWN DEER ROAD, BROWN DEER, WI 53223  
(414) 357-2290 - \$200,000,000 COMMON STOCK. (FILE 333-41312 - JUL. 13)  
(NEW ISSUE)
- S-4 II-VI INC, 375 SAXONBURG BLVD, SAXONBURG, PA 16056 (412) 352-4455 -  
3,456,418 (\$16,904,134) COMMON STOCK. (FILE 333-41314 - JUL. 13) (BR.  
5)
- S-4 LENNAR CORP /NEW/, 700 NW 107TH AVE, STE 300, MIAMI, FL 33172  
(305) 559-4000 - 325,000,000 (\$325,000,000) STRAIGHT BONDS. (FILE  
333-41316 - JUL. 13) (BR. 6)

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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		
A CONSULTING TEAM INC	NY				X	X					07/07/00	
AAROW ENVIRONMENTAL GROUP INC	NV				X	X					07/10/00	
ADMIRALTY BANCORP INC	DE				X	X					07/13/00	
AETHLON MEDICAL INC	NV					X					03/10/00	AMEND
AETNA INC	CT				X	X					07/18/00	
AIRCRAFT FINANCE TRUST	DE				X						07/17/00	
ALTAIR INTERNATIONAL INC	A6				X	X					04/07/00	AMEND
AMBANC HOLDING CO INC	DE				X	X					07/18/00	
AMERICA ONLINE INC	DE				X	X					06/29/00	
AMERICAN EXPRESS CENTURION BANK	UT				X	X					07/17/00	
AMERICAN EXPRESS CREDIT ACCOUNT MAS TER TRUST	DE				X	X					07/17/00	
AMERICAN EXPRESS RECEIVABLES FINANC ING CORP	DE				X	X					07/17/00	
AMERICAN EXPRESS RECEIVABLES FINANC ING CORP II	DE				X	X					07/17/00	
AMERICAN HOME PRODUCTS CORP	DE		X			X					06/30/00	
AMERICAN INFLATABLES INC	DE	X									07/07/00	AMEND
AMERICAN PAD & PAPER CO	DE				X						07/17/00	
AMERINET GROUP COM INC	DE		X			X					06/30/00	
AMKOR TECHNOLOGY INC	DE		X			X					05/02/00	AMEND
ANICOM INC	DE				X	X					07/18/00	
ANYTHING INTERNET CORP	CO		X		X	X					07/13/00	
APPLE SUITES INC	VA					X					05/08/00	AMEND
APPLE SUITES INC	VA		X			X					06/30/00	
APPLIED MICRO CIRCUITS CORP	DE					X					06/08/00	AMEND
ARIZONA PUBLIC SERVICE CO	AZ				X						07/12/00	
ASSOCIATES FIRST CAPITAL CORP	DE				X	X					07/18/00	
AURIC METALS CORP	NV				X						07/05/00	
AUTONATION INC /FL	DE		X			X					06/30/00	
AVIS GROUP HOLDINGS INC	DE	X									07/18/00	
BANC ONE CREDIT CARD MASTER TRUST	NY				X	X					07/17/00	
BANK OF AMERICA MORTGAGE SECURITIES INC	DE				X	X					07/18/00	
BANK OF NEW YORK CO INC	NY				X	X					06/30/00	
BAY VIEW SECURITIZATION CORP	DE					X					07/17/00	
BB&T CORP	NC				X						07/18/00	
BIOTRANSPLANT INC	DE				X	X					07/18/00	
BLUEPOINT LINUX SOFTWARE CORP	IN				X						07/18/00	AMEND
CARDIAC SCIENCE INC	DE		X			X					07/01/00	
CAREERBUILDER INC	DE				X	X					07/16/00	
CAROLINA POWER & LIGHT CO	NC				X	X					06/30/00	
CC MASTER CREDIT CARD TRUST	MD					X					07/17/00	
CC MASTER CREDIT CARD TRUST II	MD					X					07/17/00	
CEC INDUSTRIES CORP	NV	X									06/08/00	
CENTURY PENSION INCOME FUND XXIII	CA		X								05/26/00	
CERIDIAN CORP	DE				X	X					07/18/00	
CFI PROSERVICES INC	OR	X									07/17/00	
CHESTER BANCORP INC	DE				X	X					07/11/00	
CIRCUIT CITY CREDIT CARD MASTER TRU ST	DE				X	X					07/17/00	
CITIBANK SOUTH DAKOTA N A	DE	X									06/27/00	
CITY NATIONAL CORP	DE				X	X					07/13/00	

NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT	
		1	2	3	4	5	6	7	8	9			
CLARITI TELECOMMUNICATIONS INTERNAT IONAL LTD	DE					X						07/17/00	
COLONIAL BANC GROUP INC	DE					X						07/17/00	
COMMODORE ENVIRONMENTAL SERVICES IN C /DE/	DE					X						07/13/00	
COMMUNITY CAPITAL CORP /SC/	SC		X						X			07/03/00	
COMPX INTERNATIONAL INC	DE					X		X				07/17/00	
COMPX INTERNATIONAL INC	DE					X		X				07/18/00	
COM21 INC	DE	X										04/18/00	
CONNETICS CORP	DE					X		X				06/20/00	
CORNING INC /NY	NY	X										06/30/00	
COTELLIGENT INC	DE		X					X				06/30/00	
COTELLIGENT INC	DE					X		X				07/10/00	
COWLITZ BANCORPORATION	WA		X					X				07/01/00	
COX COMMUNICATIONS INC /DE/	DE					X		X				06/18/00	
CPT HOLDINGS INC	MN			X								06/30/00	
CROWN CENTRAL PETROLEUM CORP /MD/	MD					X		X				07/18/00	
CRYS TEL TELECOMMUNICATIONS COM INC	FL		X									07/03/00	
CTC COMMUNICATIONS GROUP INC	DE					X						07/14/00	
CYBER MERCHANTS EXCHANGE INC	CA					X			X			06/30/00	
DCB FINANCIAL CORP	OH					X		X				06/30/00	
DELTA FUND HM EQU LN 2000-2 HM EQU LN ASS BKD CRT SER 2000-2	NY					X		X				06/28/00	
DIMENSIONAL VISIONS INC/ DE	DE					X						07/18/00	
DIRECTCOM INC	DE		X					X				07/17/00	
DISCOVER CARD MASTER TRUST I	DE					X		X				07/17/00	
DIXIE GROUP INC	TN							X				07/01/00	
DRKOOP COM INC	DE					X						07/14/00	
DYNATECH CORP	DE		X					X				05/23/00	AMEND
E COMMERCE GROUP INC	NV		X					X				07/06/00	
E TRADE GROUP INC	DE					X		X				06/15/00	
EA ENGINEERING SCIENCE & TECHNOLOGY INC	DE					X						07/18/00	
EGL INC	TX								X			07/02/00	
EMC ENERGIES INC	WY	X	X	X	X	X	X	X	X	X		06/30/00	
ENG ENTERPRISES INC	DE		X			X		X				07/17/00	
ENSTAR GROUP INC	GA		X					X				07/03/00	
ENSTAR INCOME GROWTH PROGRAM FIVE-A LP	GA					X						07/14/00	
ENSTAR INCOME GROWTH PROGRAM FIVE-B LP	GA					X						07/14/00	
ENSTAR INCOME GROWTH PROGRAM SIX A L P	GA					X						07/14/00	
ENSTAR INCOME PROGRAM II-1 LP	GA					X						07/14/00	
ENSTAR INCOME PROGRAM II-2 LP	GA					X						07/14/00	
ENSTAR INCOME PROGRAM IV-1 LP	GA					X						07/14/00	
ENSTAR INCOME PROGRAM IV-2 LP	GA					X						07/14/00	
ENSTAR INCOME PROGRAM IV-3 L P	GA					X						07/14/00	
ENSTAR INCOME PROGRAM 1984-1 LP	GA					X						07/14/00	
ENTER TECH CORP	NV		X					X				07/17/00	
EXIGENT INTERNATIONAL INC	DE		X									07/17/00	
F&M NATIONAL CORP	VA					X						07/12/00	
FAIRFIELD COMMUNITIES INC	DE					X						07/03/00	

NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
FARMER MAC MORTGAGE SECURITIES CORP	DE	X									07/17/00	
FIDELITY BANCORP INC	PA				X	X					07/14/00	
FIDELITY HOLDINGS INC	NV				X						07/12/00	
FIFTH THIRD BANCORP	OH				X	X					07/17/00	
FINGERHUT MASTER TRUST	DE					X					07/17/00	
FINGERHUT RECEIVABLES INC	DE					X					07/17/00	
FIRST CHICAGO MASTER TRUST II	DE				X	X					07/17/00	
FIRST NBC CREDIT CARD MASTER TRUST						X					07/12/00	
FIRST SOUTHERN BANCSHARES INC/DE	DE				X						07/14/00	
FIRST TENNESSEE NATIONAL CORP	TN				X	X					07/18/00	
FIRST USA BANK NATIONAL ASSOCIATION					X	X					07/17/00	
FIRST USA CREDIT CARD MASTER TRUST	DE				X	X					07/17/00	
FNANB CREDIT CARD MASTER TRUST					X	X					07/17/00	
FORT JAMES CORP	VA				X	X					07/16/00	
GARDEN STATE NEWSPAPERS INC	DE	X				X					06/30/00	
GENCORP INC	OH				X	X					07/17/00	
GENERAL MILLS INC	DE				X	X					07/17/00	
GENERAL MOTORS ACCEPTANCE CORP	DE				X						07/18/00	
GENERAL MOTORS CORP	DE				X						06/06/00	
GEORGIA PACIFIC CORP	GA					X					07/17/00	
GOLDMAN SACHS GROUP INC	DE				X	X					07/17/00	
HARMON INDUSTRIES INC	MO				X	X					07/17/00	
HARMONIC INC	DE					X					05/02/00	AMEND
HEALTH & LEISURE INC /DE/	DE	X									07/17/00	
HECLA MINING CO/DE/	DE					X					07/18/00	
HERSHA HOSPITALITY TRUST	MD	X				X					06/05/00	AMEND
HERTZ CORP	DE				X	X					07/14/00	
HOST FUNDING INC	MD	X	X			X					06/30/00	
HOST FUNDING INC	MD				X						07/10/00	
HRPT PROPERTIES TRUST	MD				X						07/10/00	
HUGHES ELECTRONICS CORP	DE				X						07/17/00	
HUNT J B TRANSPORT SERVICES INC	AR	X			X	X					06/30/00	
IGI INC	DE				X						07/17/00	
ILLINOIS SUPERCONDUCTOR CORPORATION	DE				X	X					07/18/00	
INTELLIGROUP INC	NJ	X				X					07/05/00	
INTERNET VENTURE GROUP INC	FL	X									07/17/00	AMEND
INTERPUBLIC GROUP OF COMPANIES INC	DE	X									07/17/00	
INTERWAVE COMMUNICATIONS INTERNATIO NAL LTD					X						07/03/00	
IPALCO ENTERPRISES INC	IN				X						07/15/00	
IPI INC	MN	X									07/11/00	
JD AMERICAN WORKWEAR INC	DE				X						07/13/00	
JONES PHARMA INC	DE				X	X					07/13/00	
KELLYS COFFEE GROUP INC	CO				X						07/14/00	
KEYSTONE FINANCIAL INC	PA				X						07/18/00	
KING PHARMACEUTICALS INC	TN				X	X					07/13/00	
LAPITOS ACQUISITION CORP						X					07/17/00	AMEND
LBO CAPITAL CORP	CO	X									07/12/00	
LEVEL 8 SYSTEMS INC	DE				X	X					07/10/00	
LIBERTY GROUP OPERATING INC	DE	X				X					07/17/00	AMEND
LIBERTY GROUP OPERATING INC	DE	X				X					07/17/00	AMEND
LINK COM INC	NV	X				X					06/30/00	
LOCKHEED MARTIN CORP	MD				X	X					07/13/00	

NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
LONE STAR TECHNOLOGIES INC	DE					X		X			07/17/00	
MAGICAL MARKETING INC		X	X					X			06/30/00	
MAGNA ENTERTAINMENT CORP						X		X			07/14/00	
MAIL WELL INC	CO					X					07/17/00	
MAIL WELL INC	CO					X					07/17/00	AMEND
MARSHALL & ILSLEY CORP/WI/	WI					X		X			07/13/00	
MEDICAL TECHNOLOGY SYSTEMS INC /DE/	DE					X		X			09/30/00	
MERIDIAN HOLDINGS INC	CO					X		X			07/17/00	AMEND
MERRILL LYNCH & CO INC	DE					X		X			07/18/00	
METRIS MASTER TRUST	DE									X	07/18/00	
METRIS RECEIVABLES INC	DE									X	07/18/00	
MIKRON INSTRUMENT CO INC	NJ		X								07/18/00	AMEND
MONONGAHELA POWER CO /OH/	OH							X			07/18/00	
MONTANA POWER CO /MT/	MT	X									06/30/00	
MOTO PHOTO INC	DE					X					07/12/00	
NASTECH PHARMACEUTICAL CO INC	DE					X		X			07/12/00	
NATIONAL CITY CORP	DE					X		X			07/17/00	
NATIONAL PROCESSING INC	OH					X		X			07/18/00	
NATIONSLINK FUNDING CORP COMM MORT PASS THR CER SER 1999 SL	DE									X	06/23/99	AMEND
NETTER DIGITAL ENTERTAINMENT INC	DE					X					07/17/00	
NETTER DIGITAL ENTERTAINMENT INC	DE					X					07/17/00	
NETVOICE TECHNOLOGIES CORP	NV		X			X		X			06/30/00	
NET2000 COMMUNICATIONS INC	DE	X									07/18/00	
NEW PARAHO CORP	CO	X	X	X	X	X	X	X	X	X	06/30/00	
NEXTEL COMMUNICATIONS INC	DE					X		X			07/18/00	
NEXTEL INTERNATIONAL INC	WA					X		X			07/18/00	
NORD PACIFIC LIMITED			X					X			06/01/00	
NORTHERN TRUST CORP	DE					X		X			07/17/00	
NOVA NATURAL RESOURCES CORP	CO	X									09/30/00	
OAK HILL FINANCIAL INC	OH					X		X			07/10/00	
OFFICE DEPOT INC	DE					X		X			07/18/00	
OLIN CORP	VA					X		X			06/28/00	
OMNI RAIL PRODUCTS INC	DE					X					06/14/00	
ONYX SOFTWARE CORP/WA	WA					X		X			07/07/00	
OPEN PLAN SYSTEMS INC	VA					X		X			07/01/00	
ORION TECHNOLOGIES INC	NV		X					X			06/30/00	
PAINE WEBBER GROUP INC	DE					X		X			07/12/00	
PARAVANT INC	FL		X					X			07/11/00	
PATRIOT NATIONAL BANCORP INC	CT					X					06/30/00	
PEOPLES FINANCIAL SERVICES CORP/	PA		X								07/18/00	
PHARMACEUTICAL FORMULATIONS INC	DE					X					07/15/00	
PICTURETEL CORP	DE					X		X			07/13/00	
PINNACLE WEST CAPITAL CORP	AZ					X					07/12/00	
POPULAR INC	PR					X		X			07/12/00	
POWER ONE INC	DE							X			05/16/00	
PREDICT IT INC						X					07/06/00	
PRENTISS PROPERTIES TRUST/MD	MD							X			06/27/00	AMEND
PRIME GROUP REALTY TRUST	MD					X					06/21/00	
PROBEX CORP	CO							X			05/01/00	AMEND
PSA INC /NV	NV							X			05/04/00	AMEND
PURE RESOURCES INC	DE							X			06/27/00	AMEND
PYR ENERGY CORP	DE					X		X			07/18/00	

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		1	2	3	4	5	6	7	8	9		
RDO EQUIPMENT CO	DE					X		X			07/18/00	
REDDING BANCORP	CA					X					07/17/00	
RSL COMMUNICATIONS LTD						X		X			07/17/00	
SAKS CREDIT CARD MASTER TRUST	NV					X		X			07/17/00	
SANDISK CORP	DE					X		X			06/30/00	
SANGUI BIOTECH INTERNATIONAL INC	CO				X			X	X		07/10/00	
SCB COMPUTER TECHNOLOGY INC	TN					X		X			07/12/00	
SCHWAB CHARLES CORP	DE					X		X			07/18/00	
SCOTTS LIQUID GOLD INC	CO	X									07/17/00	
SEARS CREDIT ACCOUNT MASTER TRUST I I	IL					X		X			07/17/00	
SEMCO ENERGY INC	MI					X					07/17/00	
SENTEX SENSING TECHNOLOGY INC	NJ		X					X			07/06/00	
SEPTIMA ENTERPRISES INC	CO					X	X	X			07/12/00	
SILICON VALLEY BANCSHARES	DE					X		X			06/16/00	AMEND
SILVER KING RESOURCES INC		X						X			05/19/00	AMEND
SIMMONS FIRST NATIONAL CORP	AR					X					07/17/00	
SLEEPMASTER LLC	NJ		X					X			06/30/00	
SOFTWARE COM INC	DE					X		X			07/17/00	
SONUS COMMUNICATION HOLDINGS INC	DE					X		X			04/18/00	
SOTHEBYS HOLDINGS INC	MI					X					07/12/00	
SPEEDUS COM INC	DE		X					X			06/30/00	AMEND
SPIGADORO INC	DE							X			03/03/00	AMEND
STAGE STORES INC	DE					X		X			07/18/00	
STEWART & STEVENSON SERVICES INC	TX					X					07/17/00	
STORAGE TECHNOLOGY CORP	DE					X		X			06/18/00	
STRUCTURED ASSET MORTGAGE INVESTMEN TS INC	DE					X					06/25/00	
STRUCTURED ASSET MORTGAGE INVESTMEN TS INC	DE					X					06/25/00	
STRUCTURED ASSET MORTGAGE INVESTMEN TS INC	DE					X					06/25/00	
STRUCTURED ASSET MORTGAGE INVESTMEN TS INC	DE					X					06/26/00	
STRUCTURED ASSET MORTGAGE INVESTMEN TS INC	DE					X					06/26/00	
STRUCTURED ASSET MORTGAGE INVESTMEN TS INC	DE					X					06/26/00	
STRUCTURED ASSET MORTGAGE INVESTMEN TS INC	DE					X					06/26/00	
STRUCTURED ASSET MORTGAGE INVESTMEN TS INC	DE					X					06/26/00	
STRUCTURED ASSET MORTGAGE INVESTMEN TS INC	DE					X					06/26/00	
STRUCTURED ASSET MORTGAGE INVESTMEN TS INC	DE					X					06/26/00	
STRUCTURED ASSET MORTGAGE INVESTMEN TS INC	DE					X					06/26/00	
STRUCTURED ASSET MORTGAGE INVESTMEN TS INC	DE					X					06/26/00	
STRUCTURED ASSET MORTGAGE INVESTMEN TS INC	DE					X					06/26/00	

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		1	2	3	4	5	6	7	8	9		
STRUCTURED ASSET MORTGAGE INVESTMEN TS INC	DE					X					06/26/00	
STRUCTURED ASSET MORTGAGE INVESTMEN TS INC	DE					X					07/03/00	
STUDENT LOAN FUNDING LLC	DE					X	X				07/01/00	
SUN BANCORP INC /NJ/	NJ					X	X				07/18/00	
SYKES ENTERPRISES INC	FL		X					X			06/30/00	
TERAYON COMMUNICATION SYSTEMS	DE					X					07/18/00	
TERRACE FOOD GROUP INC	DE					X					06/19/00	
THERMOELASTIC TECHNOLOGIES INC /CO/	CO					X					09/01/99	
THOMAS & BETTS CORP	TN		X					X			07/02/00	
THOMASTON MILLS INC	GA						X	X			05/31/00	
TRANSFINANCIAL HOLDINGS INC	DE					X					07/12/00	
TRANSFINANCIAL HOLDINGS INC	DE					X					07/12/00	
TREATS INTERNATIONAL ENTERPRISES IN C	DE	X									03/17/00	
TREATS INTERNATIONAL ENTERPRISES IN C	DE	X									07/14/00	
TRUSTCO BANK CORP N Y	NY					X					07/18/00	
UNION PLANTERS MORTGAGE FINANCE COR P	DE					X	X				07/17/00	
UNITED VENTURES GROUP INC /CO/	CO	X	X				X	X			04/07/00	AMEND
UNIVERSAL BANK NA	DE	X									06/30/00	
US XPRESS ENTERPRISES INC	NV					X					07/01/00	
VERIO INC	DE					X	X				07/17/00	
VIACOM INC	DE							X			05/04/00	AMEND
VIGNETTE CORP	DE		X					X			07/03/00	
VISTA BANCORP INC	NJ					X	X				07/11/00	
VISTEON CORP	DE					X	X				07/14/00	
VISTEON CORP	DE					X	X				07/18/00	
VISUAL EDGE SYSTEMS INC	DE	X				X	X				07/05/00	
VITECH AMERICA INC	FL					X	X				06/30/00	
WASTE INDUSTRIES INC	NC							X			05/26/00	AMEND
WAXMAN INDUSTRIES INC	DE		X					X			07/10/00	
WEBHIRE INC	DE					X					07/18/00	
WEIDER NUTRITION INTERNATIONAL INC	DE					X	X				06/30/00	
WELLS FARGO & CO/MN	DE					X	X				07/18/00	
WERNER ENTERPRISES INC	NE		X			X	X				06/30/00	
WESTCORP /CA/	CA					X					07/18/00	
WEYERHAEUSER CO	WA					X					07/10/00	
WFS FINANCIAL INC	CA					X					07/18/00	
WILLIAMS COMMUNICATIONS GROUP INC	DE					X	X				07/13/00	
WORONOCO BANCORP INC	DE					X					07/17/00	
WSI INTERACTIVE CORP						X	X				07/14/00	
XIRCOM INC	CA					X	X				07/17/00	
YELLOW CORP	DE					X					07/14/00	
YP NET INC	NV		X			X					06/26/00	
ZALE CORP	DE					X	X				07/18/00	
3COM CORP	DE					X	X				07/14/00	