

# sec newsadiqest

Issue 77-186

September 26, 1977

## U.S. SECURITIES AND EXCHANGE COMMISSION

#### COURT ENFORCEMENT ACTIONS

COMPLAINT NAMES LAWRENCE R. ROSS

The Los Angeles Regional Office announced that on September 20 a civil injunctive complaint was filed in the U.S. District Court of Las Vegas, Nevada. The complaint alleges violations of the antifraud provisions of the securities laws in connection with research reports offered by Ross with respect to Xonics, Inc. and undisclosed payments received by Ross from Xonics. Without admitting or denying the allegations in the complaint, Ross consented to the entry of an order of the court permanently enjoining him from further violations. (SEC v. Lawrence R. Ross, D. Nev., CV-77-168 RDF). (LR-8123)

#### INVESTMENT COMPANY ACT RELEASES

NORTH RIVER SECURITIES CO.

An order has been issued pursuant to Section 17(b) of the Act exempting a proposed sale of portfolio securities by North River Securities Co., Inc., and a related pledge agreement from the provisions of Section 17(a) of the Act. (Rel. IC-9941 - Sept. 22)

THE INTERMENT ASSOCIATION OF CALIFORNIA

A notice has been issued giving interested persons until October 17 to request a hearing on an application of The Interment Association of California, on behalf of certain of its members, Alhiser-Wilson Mortuary, California Funeral Services, Inc., and LaVista Cametery Association (collectively Applicants) for an order exempting Applicants from all the provisions of the Investment Company Act of 1940 to permit the completion of installment sales of certain of Applicants' debentures and for so long as Applicants have outstanding certain debentures which were sold on an installment basis. (Rel. IC-9942 - Sept. 22)

#### HOLDING COMPANY ACT RELEASES

NORTHEAST UTILITIES

A notice has been issued giving interested persons until October 20 to request a hearing on a proposal of Northeast Utilities, a registered holding company, requesting a five-year extension of time for the acquisition of up to an aggregate of \$10 million of notes issued by its subsidiary, The Rocky River Realty Company. (Rel. 35-20187 - Sept. 23)

### LISTING, DELISTING AND UNLISTED TRADING ACTIONS

UNLISTED TRADING SOUGHT

A notice has been issued giving interested persons until October 7 to request a hearing on the applications of the Boston Stock Exchange, Inc. for unlisted trading privileges in the common stock of the specified companies: Bally Manufacturing Corp. (Del.), \$0.66-2/3 par value; Inexo Oil Co. (Del.), \$0.02 par value; Nashua Corporation, \$1.00 par value; Mapco, Inc. (Del.), \$1.00 par value; Combustion Equipment Associates, Inc. (N.Y.); and Crum & Forster, \$1.25 par value. (Rel. 34-13988)

#### SELF-REGULATORY ORGANIZATIONS

NOTICE OF PROPOSED RULE CHANGE

The Pacific Stock Exchange Inc. has filed a proposed rule change under Rule 19b-4 (SR-PSE-77-27) to amend Rule IX by eliminating Sections 3(a) through 3(f) (the principal purpose of membership requirement) and to add definitive provisions for approving, denying and conditioning membership on the PSE (new Sections 3(a) through 3(e)), and to define certain obligations of terminating members (new Section 11). Publication of the proposal is expected to be made in the Federal Register during the week of September 26. (Rel. 34-13986)

The Municipal Securities Rulemaking Board (MSRB) has filed a proposed rule change under Rule 19b-4 (SR-MSRB-77-12) to codify basic standards of fair and ethical business conduct for municipal securities professionals. Publication of the proposal is expected to be made in the <a href="Federal Register">Federal Register</a> during the week of September 26. (Rel. 34-13987)

#### SECURITIES ACT REGISTRATIONS

The following registration statements have been filed with the SEC pursuant to the Securities Act of 1933. The information noted below has been taken from the cover page and the facing sheet of the prospectus and registration statement and will appear as follows: Form; Name, address and phone number (if available) of the issuer of the security; Title and the number or face amount of the securities being offered; Name of the managing underwriter (if applicable); Whether the offering is a rights offering; and File number and date filed.

- (S-2) EXECUTIVE JET INDUSTRIES, INC., 4523 Ostrom Ave., Lakewood, Cal. 90713 1,000,000 shares of common stock and 1,000,000 shares of preferred non voting stock. (File 2-59934 - Sept. 22)
- (S-1) MID STATES ENTERPRISES, INC., 225 West Sixth St., Carroll, Iowa 51401 \$3 million of senior subordinated notes, due 1985. Underwriter: First Mid America Inc. (File 2-59937 - Sept. 22)
- (S-16) ELGIN NATIONAL INDUSTRIES, INC., 120 South Riverside Plaza, Chicago, Ill. 60606 (312) 454-1900 35,446 shares of common stock. (File 2-59938 Sept. 23)
- (S-8) NATIONAL SEMICONDUCTOR CORPORATION, 2900 Semiconductor Dr., Santa Clara, Cal. 95051 534,429 shares of common stock. (File 2-59939 Sept. 23)
- (S-16) SUN ELECTRIC CORPORATION, 6323 Avondale Ave., Chicago, Ill. 60631 (312) 631-6000 370,262 shares of common stock. Underwriters: Loeb Rhoades & Co. Inc. and The Chicago Corporation. (File 2-59940 Sept. 23)
- (S-1) MOHAWK DATA SCIENCES CORP., 1599 Littleton Rd., Parsippany, N.J. 07054 50,000 shares of common stock. (File 2-59941 Sept. 23)
- (S-8) PACIFIC POWER & LIGHT COMPANY, 1500 Public Service Bldg., Portland, Ore. 97204 500,000 shares of common stock. (File 2-59942 Sept. 23)
- (S-14) COMPO INDUSTRIES, INC., 125 Roberts Rd., Waltham, Mass. 02154 (617) 899-3000 1,569,965 shares of common stock. (File 2-59943 Sept. 23)

#### **ACQUISITIONS OF SECURITIES**

Companies and individuals must report to the Commission within 10 days on Schedule 13D if after the acquisition of equity securities of a public company their beneficial interest therein exceeds 5%. The following companies or individuals filed Schedule 13D's during the period \_\_\_\_\_\_. The number of shares of the security which are beneficially owned, and the number of shares concerning which there is a right to acquire are set forth for each beneficial owner.

REPOR	RTING	COMPANY
OR	INDIN	IDUAL

#### ISSUER & NUMBER OF SHARES

DATE FILED

\* J. P. Guerin & Co.

Mitchum, Jones & Templeton, Inc. (Los Angeles, CA) Common Stock - 177,510 shs. (39.2%) 9-6-77

\* TRE Corporation

Ohio Brass Company (Mansfield, OH) Common Stock - 45,600 shs.

9-6-77

* American General Insurance Company	Allright Auto Parks, Inc. (Houston, TX) Common Stock - 163,000 shs. (8.57%)	9 <b>-</b> 6-7 <b>7</b>
B. F. Saul Company Chevy Chase Lake Corp. Manor Investment Co. Columbia Credit Company B. F. Saul Co. Employees' Profit Charing Retirement	Financial Mortgage & Realty Corp. (Washington, DC) Common Stock - 32,771 shs. Trust	9-8-77
Rosenthal Tecknik U.S.A. Ltd. (Controlled by Rosenthal Aktiengesell- schaft (West Germany)	Metalized Ceramics Corp. (Providence, RI) Common Stock - 1,746,734 shs. (97%) (Above shares were acquired pursuant to the Tender Offer.)	) <b>-</b> 8-77
DTA Liquidating Corp. (Formerly Faulkner, Dawkins & Sullivan, Inc.)	Shearson Hayden Stone, Inc. (NYC) Common Stock - 175,000 shs. (In addition, pursuant to Agreement for Purchase of Assets, DTA will acquire, after stockholder approval, 425,000 shares of Common Stock and 18,300 shares of 5% Convertible Preferred Stock.)	9-8-77
Michael Pope Joseph E. Robbins	Pope, Evans and Roobins, Inc. (NYC) Common Stock ~ 250,338 shs. (35.2%)	9-8-77
* Transco Realty Trust	Hospital Mortgage Group (No. Miami, FL) Shares of Beneficial Interest - 176,700	9 <b>-</b> 8-77
* Center Flaza Associates	Realty Income Trust (Providence, RI) Common Stock - 145,942.985 shs. on conversion of Debentures	9 <b>-</b> 8-77
* Central National Corp. Cenro Corp. Sejak Corp. Gottesman-Central National Profit Sharing Flan Trust, et al	Global Marine Inc. (Los Angeles, CA) Common Stock - 290,400 shs.	j-8+77
* Lazard Freres & Co. Philippe Meyer Michel David-Weill (France) Elaine David-Weill (France) et al	Financial Federation, Inc. (Los Angeles, CA) Common Stock - 356,969 shs.	9 <b>-8-77</b>
* Yates Industries Inc.	Electro-Nite Co. (Fhiladelphia, PA) Common Stock - 110,239 shs. (10.67%)	9 <b>-</b> 8 <b>-</b> 77
* Marjorie L. Everett Neil Papiano, Individually and as Trustee Wilbur A. Everett Vernon O. Underwood, Individually and as Trustee, et al	Hollywood Park, Inc. (Inglewood, CA) Common Stock - 346,229 shs.	9-8-77
UV Industries, Inc.	Globe-Union Inc. (Milwaukee, WI) Common Stock - 499,200 shs. (16%)	9 <b>-9-77</b>
Bear, Stearns & Co.	EDG Inc. (Los Angeles, CA) Common Stock - 111,182 shs.	9 <b>-</b> 9 <b>-7</b> 7
Charles H. Keating, Jr.	American Continental Homes, Inc. (Cincinnati, OH) Common Stock - 1,005,430 shs. Common Stock - 210,000 shs. on exercise of Warrants and Options 7% Convertible Debentures - \$1,553,000 (Included above are shares and Debentures owned by his wife and children. Keating entered into a Purchase Agreement with United Dairy Farmer Investment Co. to purchase 1,400,721 shares. 750,000 shares have been transferred to him.)	9-9-77

TION IMPORTE CONT.		
William T. Pasco, III	Amcord, Inc. (Newport Beach, CA) Common Stock - 1,216,933 shs. (17.5%)	9-9-77
Claremont Capital Corp.	Optical Scanning Corp. (Newton, PA) Common Stock - 237,500 shs.	9-9-77
* Daniel J. Terra	Hach Chemical Co. (Ames, IA) Common Stock - 171,125 shs. (Included above are shares owned by his wife.)	9-9-77
* General Cable Corp.	Sprague Electric Co. (No. Adams, MA) Common Stock - 3,349,817 shs. (96.3%)	9 <b>-9-77</b>
* Mitchell Corp. of Owosso Christine Wetzel Trust William F. Mitchell, Indi- vidually and as Trustee	MWA Company (Owosso, MI) Common Stock - 253,089 shs. (38.5%)	9-9-77
* William Belzberg (Canada) Samuel Belzberg (Canada) Hyman Belzberg (Canada	Far West Financial Corp. (Newport Beach, CA) Common Stock - 781,200 shs. (42.3%)	9 <b>-</b> 9-77
Henry J. Knott Severn River Construction Co Redevelopment, Inc. Terreplein #2, Inc., et al	Arundel Corporation (Baltimore, MD) Common Stock - 240,679 shs. (14.6%)	9-12-77
Susan P. Knott Francis X. Knott	Arundel Corporation (Baltimore, MD) Preferred Stock - 100 shs. Common Stock - 119,589 shs. Common Stock - 10,000 shs. on exercise of an Option	y <b>-</b> 12-77
SAB Industri Aktiebolag (Sweden) (Wholly-owned subsidiary of Wilh. Sonesson AB (Sweden)	Harmon Industries, Inc. (Grain Valley, MO) Common Stock - 592,882 shs. (SAB also has right of first refusal to purchase 296,369 shares of Common Stock from certain shareholders.)	9-12-77
Slater, Walker Limited (England)	Cornwall Equities, Limited (Bronx, NY) Common Stock - 367,000 shs. on conversion of Note	9-12-77
Paul Milstein	National Kinney Corp. (NYC) Common Stock - 364,950 shs. Common Stock - 11,111 shs. on conversion of Debentures	9-12-77
Beatrice Friedman, Indi- vidually and Trustee and Executor of Estate of Allan Friedman	Alphatype Corporation (Skokie, IL) Common Stock - 877,929 shs.	9-12-77
Michael Schiavone & Sons, Inc.	Docktor Pet Centers, Inc. (Andover, MA) Common Stock - 1,021,333 shs. (37%) (Above shares were acquired from two share- holders. In addition, Schiavone has the right to vote 364,592 shares per agreement with certain shareholders.)	9-12-77
Richard L. Kamen	Esquire Radio & Electronics, Inc. (Brooklyn, NY) Common Stock - 32,350 shs.	9 <b>-12-77</b>
George E. Kline	Advance Circuits, Inc. (Minnetonka, MN) Common Stock - 26,500 shs. (12%)	9 <b>-12-77</b>
Julius D. Winer	American Plan Corp. (Woodbury, NY) Common Stock - 50,502 shs. Common Stock - 6,919 shs. on conversion of Debentures	9 <b>-12<i>-</i>7</b> 7
Terence J. Fox	Iroquois Brands, Ltd. (Greenwich, CT) Common Stock - 94,025.0801 shs.	9-12-77

	Common Stock - 3,200 shs. on conversion of Preferred Stock (In addition, Mr. Fox, as Custodian for minor daughter owns 200 shares and as Co-Executor of Estate of Frank Fox owns 10,800 shares. He also holds Options to purchase 50,002 shares.)	
Postgraduate Center for Mental Health	Bond Industries, Inc. (NYC) Common Stock - 72,716 shs.	y-12-77
* Agan J. Brown	Genisco Technology Inc. (Grange, CA) Common Stock - 85,600 shs.	9-12-77
* Phyllis Malkin Cohen Barcone Pension Trust Barry F. Cohen	Claussing Corp. (Kalamazoo, MI) Common Stock - 56,500 shs.	9-12-77
* Roy Frank Mitte	Financial Industries Corp. (Austin, TX) Common Stock - 168,359.121 shs. (10.12%)	9-12-77
* Hale Bros. Associates, Inc. Prentice C. Hale	Computer Election Systems, Inc. (Berkeley, CA) Common Stock - 1,235,555 shs. (100%) (Computer was merged into Hale Bros. 8-8-77)	9-12-77
* Federated Reinsurance Corp.	First Texas Financial Corp. (Dallas, TX) Common Stock - 150,000 shs.	9-12-77
* Don C. Whittaker, Indivi- dually and as Custodian Corinne Cooper John B. Gilbert Howard W. Hill, et al	Hawthorne Financial Corp. (Hawthorne, CA) Common Stock - 79,700 sns.	y-12 <b>-</b> 77
* 1NA Corporation	AID, Inc. (Bala Cynwyd, PA) Class A Common Stock - 1,388,670 sns. (90.6%)	9-12-77
* Wilmington Securities, Inc. Wilmington Investments, Inc. (sholly-owned subsidiary of Wilmington Securities, Inc.	Common Stock - 796,900 shs. (32.8%)	9-12-77
* Northern Telecom, Inc.	Intersil, Inc. (Cupertino, CA) Common Stock - 513,493 shs. (11.97%) Common Stock - 700,000 shs. on conversion of Preferred Stock	9-12-77
* Titan Wells, Inc.	United States Radium Corp. (Morristown, NJ) Common Stock - 198,400 shs. (18%)	9-12-77
* Monte P. Monaster	Stanley Aviation Corporation (Denver, CO) Common Stock - 52,536 shs. (Included above are shares owned by his wife.)	9-12-77
* Charles E. Schmidt	First Bancshares of Florida Inc. (Boca Raton, FL) Common Stock - 377,186 shs. Common Stock - 229,629 shs. on conversion of Debentures (Included above are shares owned by his wife.)	9-12-77
* Chaparral Insurance Co. First International Reinsurance Co.	Standard Security Life Insurance Co. of New York (Normon Stock - 326,000 shs. Class A Stock - 16,200 shs.	<b>vy</b> c)9-12-77
* Superior Tube Company	Williams and Co. Inc. (Pittsburgh, PA) Common Stock - 955,376 shs. (84.4%)	9-12-77
Robert K. Keller	Keuffel & Esser Company (Morristown, NJ) Common Stock - 404,050 shs. (30.6%) (In addition, Mr. Keller has investment power to 4,728 shares of 6% Preferred Stock (49.5%)	9-13-77

ITTON REPORTS CONT.		
William G. Keller	Keuffel & Esser Company (Morristown, NJ) Common Stock - 404,450 shs. (30.6%) (In addition, Mr. Keller has investment power to 3,938 shares of 6% Preferred Stock (41.2%)	9-13-77
North Canadian Cils Ltd. (Canada)	Gibraltar Pari-Mutual, Inc. (Freehold, NJ) Common Stock - see below (Morth Canadian owns 3,500,000 shares (49.3%) of Hambro Canada Ltd. which owns 2,625,141 shares (5%) of Foodex Systems Ltd. which in turn owns 436,424 shares (62.8%) of the Issuer.)	9-13-77
Bateman Eichler, Hill Richards, Inc.	Frigitronics, Inc. (Shelton, CT) Common Stock - 155,000 shs.	9-13-77
Estate of Joseph H. Lama Joseph H. Lama, Jr., Indi- vidually and as Co-Executo Rudolph E. Lama, Individuall and as Co-Executor Trust for Benefit of Marie Christine Lama		9-13-77
* Airco, Inc.	Unitek Corporation (Monrovia, CA) Common Stock - 259,053 shs.	9-13-77
* Stanley Marsh 3 Tom F. Marsh Michael C. Marsh Estelle Marsh Watlington	Kingstip Communications, Inc. (Austin, TX) Common Stock - 28,630 shs.	9-13-77
* Rexham Corporation	Graphic Arts Fackaging Corp. (Garden, CA) Common Stock - 402,000 shs. (67%)	9-13-77
Robert Pace Schofield, Jr.	Oneida Ltd. (Oneida, NY) Common Stock - 182,169 shs. (10.11%)	9-14-77
Sears, Roebuck and Co. Allstate Insurance Company (Wholly-Owned subsidiary of Sears, Roebuck and Co.)	Bio-Medical Sciences, Inc. (Fairfield, NJ) Common Stock - 257,142 shs. (Above shares were acquired upon conversion of a Note.)	9-14-77
* National Industries, Inc.	National Recreation Products, Inc. (Louisville, KY) Common Stock - 1,337,753 shs. (83.6%) Common Stock - 81,895 shs. on exercise of Warrants	9-14-77
* Holding Corporation of America	Massachusetts General Life Insurance Co. (Boston, MacCommon Stock - 860,639 shs. (66.8%)	1)9-14-77
* Holding Corporation of America	Bankers Union Life Insurance Co. (Denver, CO) Common Stock - 124,275 shs. (52.8%)	9-14-77
* Inter-Region Associates Corporation	National Heritage Management Corp. (Oak Brook, IL) Common Stock - 645,316 shs. (69.8%)	9-14-77
* Mutual of Omaha Insurance Company	United Benefit Life Insurance Co. (Omaha, NB) Capital Stock - 643,453 shs. (71.49%)	9-14-77
* National Industries, Inc.	Cott Corporation (New Haven, CT) Common Stock - 1,636,100 shs. (81.8%) Common Stock - 800,000 shs. on exercise of Warrants	9-14-77
* Crissa International, Inc. (Wholly-Owned subsidiary of Crissa A.G. (Switzerland	Sierracin Corp. (Sylmar, CA) Common Stock - 3,700 shs.	9-14-77
* Rhodia Inc.	Polychrome Corporation (Yonkers, NY) Common Stock - 899,739 shs.	9-14-77

DITION REPORTS CONT.		
Walter E. Parker Lloyd R. Parker Hubert E. Lay Carl R. Beckmeyer, et al Voting Trustees	Modern American Life Insurance Co. (Springfield, McCommon Stock - 439,393 shs. (33.08%)	0) 9-15-77
George E. Kline	Kinnard Companies, Inc. (Minneapolis, MN) Common Stock - 28,458 shs.	9-15-77
* BankAmerica Corporation	Totias Kotzin Co. (los Angeles, CA) Common Stock - 1,659,000 shs. (68.8%)	9-15-77
* BankAmerica Corporation	Nolex Corp. (Los Angeles, CA) Common Stock - 519,286 shs. (11.8%)	9-15-77
* Stannel Capital Corp.	Nasco International Inc. (Fort Atkinson, WI) Common Stock - 1,146,370 shs. Common Stock - 60,000 shs. on exercise of a Warrant	9-15-77
* EG Company	Agrow Industries, Inc. (Corpus Christi, TX) Common Stock - 5,285,760 shs. (80%) Common Stock - 183,333 shs. on exercise of Warrants	9-15-77
* Sanbil Handels Anstalt (Liechtenstein)	General Refractories Co. (Bala Cynwyd, PA) Common Stock - 274,600 shs.	9-15-77
Heidelberg Cement Inc. (Wholly-owned subsidiary of Portland-Zementwerke Heidelberg Aktiengesellsch (West Germany)	Lehigh Portland Cement Co. (Allentown, PA) Common Stock - 2,620,000 shs. (77%) (Above shares were acquired pursuant to the aft) Tender Offer.)	9-16 <b>-</b> 77
G. Tsai & Co. Inc.	Tetra Tech, Inc, (Pasadena, CA) Common Stock - 62,800 shs.	9-16-77
Max A. Geller	Iroquois Brands, Ltd, (Greenwich, CT) \$1 Convertible Preferred Stock - 29,726 shs. Common Stock - 485.6266 shs. (Included above are shares owned by his wife.)	9-16-77
MC Finance Corporation (Wholly-owned subsidiary of Lee National Corp.)	Mastan Company, Inc. (NYC) Common Stock - 1,700,000 shs. (90.1%) (MC acquired above shares from Lee National. MC & Mastan will merge and Maston will be survivor.)	9 <b>-16-77</b>
Thomas F. Leahy	Advance Circuits, Inc. (Minnetonka, MN) Common Stock - 22,500 shs. (10.18%)	9-16-77
* Transco Realty Trust	Hospital Mortgage Group (No. Miami, FL) Shares of Beneficial Interest - 176,500	9-16-77
* Allen H. Parkinson	Infoton Inc. (Burlington, MA) Common Stock - 1,529,550 shs.	9-16-77
Stephen D. Rudman	Electro-Nite Co. (Philadelphia, PA) Common Stock - 9,344 shs. Common Stock - 55,000 shs. on exercise of an Option	9-19-77
Lawrence I. Littman, Individually and as Custodian	Electro-Nite Co. (Philadelphia, PA) Common Stock - 159,550 shs. Common Stock - 40,000 shs. on exercise of an Option (Included above are shares owned by his wife and children.)	9-19-77

<sup>\*</sup> Amended Acquisition Report

The following have made offers to acquire stock of companies listed below pursuant to tender offers as reported to the Commission on Schedule 13D:

OFFER TO PURCHASE BY: Turner & Newall Industries,	ISSUER & NUMBER OF SHARES TO BE PURCHASED Philip A. Hunt Chemical Corp. (Palisades Park, NJ)	DATE FILED 9-12-77
Inc. [Mholly-owned subsidiary of Turner & Newall Ltd. (England)	Common Stock - 2,950,000 shs. for cash at \$20.00 net per share	
Jarrett Financial Corp.	Garrett Freightlines, Inc. (Pocatello, ID) Common Stock - All outstanding shares for cash at \$50.00 net per share (Garrett Terminal Corp., a wholly-owned subsidiary of Freightlines owns 33,105 shares.)	9-14-77
Consolidated Oil & Gas, Inc.	Imperial-American Energy, Inc. (Denver, CO) Common Stock - 1,300,000 shs. (52%) for cash at \$17.00 net per share	9-16-77
Great Western United Corporation	Sunshine Mining Company (Kellogg, ID) Common Stock - 1,250,000 shs. for cash at \$14.75 net per share (Great Western presently owns 335,070 shares.)	9 <b>-19-77</b>
Federal's, Inc.	Pet Bazaar, Inc. (Toledo, OH) Common Stock - 666,666 shs. for cash at \$.60 net per share	9-19-77
Pexham Corporation	Graphic Arts Packaging Corp. (Gardena, CA) Common Stock - All outstanding shares for cash at \$5.00 net per share (Rexham presently owns 402,000 shares (67%)	9-20-77

Many requests for copies of documents referred to in the SEC News Digest have erroneously been directed to the Government Printing Office. Copies of such documents and of registration statements may be ordered from the Public Reference Section. Securities and Exchange Commission, Washington, D.C. 20549. The reproduction cost is 10c per page plus postage (7 days) (\$3.50 minimum); 20c per page plus postage for expedited service (4 days) (\$5.00 minimum) and 30c per page plus postage for priority service overnight (\$5.00) minimum). Cost estimates are given or request. All other reference material is available in the SEC Docket.

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