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# SEC NEWS DIGEST

Issue 2001-111

June 8, 2001

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## RULES AND RELATED MATTERS

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### NOTICE OF FILING OF APPLICATION FOR REGISTRATION AS A NATIONAL SECURITIES EXCHANGE UNDER SECTION 6 OF THE SECURITIES EXCHANGE ACT OF 1934 BY THE NASDAQ STOCK MARKET

The Commission has published for public comment The Nasdaq Stock Market's Application for Registration as a National Securities Exchange Under Section 6 of the Securities Exchange Act of 1934. Publication of the notice in the Federal Register is expected during the week of June 11. (Rel. 34-44396)

### DELEGATION OF AUTHORITY TO THE DIRECTOR OF THE DIVISION OF MARKET REGULATION

The Commission has delegated authority to the Director of the Division of Market Regulation to publish notice of a filing of an application for registration as a national securities exchange, or for exemption from registration based on limited volume, and amendments to such applications filed under Section 6 of the Securities Exchange Act of 1934. Publication of the Delegation of Authority in the Federal Register is expected during the week of June 11. (Rel. 34-44397)

### DIVISION OF CORPORATION FINANCE ISSUES RULE 10b5-1 INTERPRETATIONS

The Division of Corporation Finance has published additional interpretations relating to Rule 10b5-1 under the Securities Exchange Act of 1934. The new interpretations have been added to the Fourth Supplement to the Division's Manual of Publicly Available Telephone Interpretations. This document is available on the Commission's website at [www.sec.gov/interps/telephone/phonesupplement4.htm](http://www.sec.gov/interps/telephone/phonesupplement4.htm). FOR FURTHER INFORMATION: contact Anne Krauskopf, Office of Chief Counsel, Division of Corporation Finance, at (202) 942-2900.

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## ENFORCEMENT PROCEEDINGS

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### REDNECK FOODS, INC. CONSENTS TO INJUNCTION

On June 7, the Commission filed a complaint in the United States District Court for the District of Columbia against Redneck Foods, Inc. The complaint alleges that Redneck Foods, a publicly-traded California-based company, failed to make available to the investing public current and accurate information about its financial condition and results of operation through the filing of periodic reports with the Commission as required by the Securities Exchange Act of 1934 (Exchange Act). Specifically, the complaint alleges that Redneck Foods has not filed its Annual Reports on Form 10-K for the fiscal years ended December 31, 1998, 1999 and 2000; its Quarterly Reports on Form 10-Q for the fiscal quarters ended March 31, June 30 and September 30, 1999 and 2000; and eight Notifications of Late Filing with respect to its delinquent reports.

Simultaneously with the filing of the complaint, Redneck Foods admitted the violations and consented to the entry of a final judgment enjoining it from further violations of Section 13(a) of the Exchange Act of 1934 and rules 12b-25 and 13a-13 thereunder, and ordering it to file its delinquent reports on or before June 22, 2001. [SEC v. Redneck Foods, Inc., Civil No. 1:01CV01270, D.D.C.] (LR-17030)

### COMMISSION SUES IAN RENERT, ARCHITECT OF \$22 MILLION FRAUD INVOLVING OFFSHORE MUTUAL FUNDS, AND OBTAINS EMERGENCY ASSET FREEZE

The Commission announced that on June 7 Judge Peter C. Dorsey of the District of Connecticut issued an emergency order freezing assets against Ian Laurence Renert of Wilton, Connecticut, and Hawthorne Sterling & Co., an unregistered investment adviser in Wilton, Connecticut. Judge Dorsey also required Renert and Hawthorne to prepare an accounting and ordered expedited discovery.

The Judge's order was based on the Commission's motion and a complaint filed today against Renert and Hawthorne. The Commission's complaint alleges that Renert, the owner and control person of Hawthorne, was the architect of a \$22 million fraudulent offering of interests in unregistered offshore mutual funds. The Commission alleges that from at least June 1997 through June 2000, Renert and Hawthorne induced more than 700 investors in 49 states and more than 100 investors overseas to purchase interests in 30 entities known as the Hawthorne Sterling Family of Funds. Through the Internet, offshore seminars and a network of sales agents, Renert and Hawthorne misrepresented that the Funds would invest in bank debentures, which in this case, were fictitious prime bank instruments. The Commission also alleges that the Defendants failed to disclose that Renert used Fund assets to engage in day trading in Internet stocks, losing at least \$2.2 million, and to fund a mortgage on one of Renert's homes. In addition, the

complaint alleges that Renert and Hawthorne misrepresented their qualifications and overstated the performance of the Funds. The Commission further alleges that the Defendants misrepresented that an investment in the Funds was low risk.

The Commission's complaint charges that Renert and Hawthorne violated the antifraud provisions of the Securities Act of 1933 (Section 17(a)), the Securities Exchange Act of 1934 (Section 10(b) and Rule 10b-5 thereunder) and the Investment Advisers Act of 1940 (Section 206). The complaint also alleges that the defendants violated the registration provisions of the Securities Act (Section 5) and the Investment Company Act of 1940 (Section 7(d)) by failing to register their securities offering and the Funds with the Commission. In addition to the relief already granted, the Commission seeks an injunction prohibiting future violations of the securities laws, disgorgement and civil penalties.

Separately, the Commission announced that it reached a settlement with Donna L. Wood, the administrator of the Funds during the relevant period. Without admitting or denying the Commission's allegations, Wood consented to the entry of a permanent injunction against future violations of the antifraud provisions of the Securities Act, the Exchange Act and the Investment Advisers Act. In addition, Wood agreed to pay disgorgement of \$100,000, with \$90,000 waived due to a demonstrated inability to pay. Civil penalties were not assessed based on Wood's demonstrated inability to pay. In a related administrative proceeding to be instituted, Wood consented to a bar from association with an investment adviser with the right to reapply in three years. [SEC v. Ian Renert, et al, USDC for the District of Connecticut 301CV1027:PCD] (LR-17031)

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## INVESTMENT COMPANY ACT RELEASES

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### ALLSTATE LIFE INSURANCE COMPANY, ET AL.

An order has been issued pursuant to Section 6(c) of the Investment Company Act granting exemptive relief from the provisions of Sections 2(a)(32) and 27(i)(2)(A) of the Act and Rule 22c-1 thereunder to Allstate Life Insurance Company, Allstate Life Insurance Company Separate Account A, Allstate Life Insurance Company of New York, Allstate Life Insurance Company of New York Separate Account A, Glenbrook Life & Annuity Company, Glenbrook Life & Annuity Company Variable Annuity Account, Glenbrook Life Multi-Manager Variable Account, Glenbrook Life & Annuity Company Separate Account A, Glenbrook Scudder Variable Account A, Lincoln Benefit Life Company, Lincoln Benefit Life Variable Annuity Account, Northbrook Life Insurance Company, Allstate Distributors, LLC, , ALFS, Inc. (collectively, Applicants) to the extent necessary to permit under specified circumstances the recapture of credits applied to contributions made (i) under certain deferred variable annuity contracts and certificates (Contracts) that Lincoln Benefit Life Company, Glenbrook Life & Annuity Company, and Allstate Life Insurance Company will issue through the Lincoln Benefit Life

Variable Annuity Account, Glenbrook Life & Annuity Company Separate Account A and the Allstate Life Insurance Company Separate Account A, respectively, and (ii) under other deferred variable annuity contracts and certificates (Future Contracts) that Allstate Life Insurance Company, Allstate Life Insurance Company of New York, Glenbrook Life & Annuity Company, Lincoln Benefit Life Company and Northbrook Life Insurance Company may in the future issue through their respective separate accounts named as applicants above (Separate Account Applicants) or through other separate accounts that they may establish in the future (Future Account), which contracts will be substantially similar in all material respects to the Contracts. Applicants also requested that the order being sought extend to any other National Association of Securities Dealers, Inc. member broker-dealer controlling or controlled by, or under common control with, Allstate Life Insurance Company, whether existing or created in the future, that serves as a distributor or principal underwriter for Contracts or Future Contracts offered through the Separate Account Applicants or any Future Account. (Rel. IC-24998 – June 5)

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## **HOLDING COMPANY ACT RELEASES**

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### **CONECTIV, ET AL.**

An order has been issued approving a proposal by Conectiv, a registered public utility holding company, and its subsidiaries, to: (1) extend to September 30, 2003, the time Conectiv may effect certain financing transactions; (2) engage in various additional external and intrasystem financing transactions; and (3) engage in various transactions relating to the acquisition of utility assets in an amount not to exceed \$1 billion in the aggregate. (Rel. 35-27415)

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## **SELF-REGULATORY ORGANIZATIONS**

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### **APPROVAL OF PROPOSED RULE CHANGE**

The Commission approved a proposed rule change (SR-CBOE-00-43) submitted by the Chicago Board Options Exchange relating to participation rights in crossing transactions. Publication of the order in the Federal Register is expected during the week of June 11. (Rel. 34-44394)

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

A proposed rule change filed by the Philadelphia Stock Exchange relating to a reduction of the minimum size of PACE orders that must be automatically guaranteed by equity specialists pursuant to Phlx Rule 229 (SR-Phlx-2001-46) has become effective under

Section 19(b)(3)(A) of the Securities Exchange Act of 1934. Publication of this proposal is expected in the Federal Register during the week of June 11. (Rel. 34-44395)

## DELISTING GRANTED

An order has been issued granting the application of the American Stock Exchange to strike from listing and registration the Common Stock, \$0.01 par value, of Osage Systems Group, Inc., effective at the opening of business on June 8, 2001. (Rel. 34-44398)

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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>.

F-3 KOREA TELECOM CORP, 100 SEJONG RO CHONGRO GU, SEOUL SOUTH KOREA, M5  
(822) 750-3427 - 55,502,161 (\$2,766,782,725.85) FOREIGN COMMON STOCK.  
(FILE 333-13562 - MAY. 29) (BR. 7)

S-8 INFINEON TECHNOLOGIES AG, ST MARTIN STRASSE, D-81541, MUNICH,  
GERMANY, 19 - 960,000 (\$35,356,800) FOREIGN COMMON STOCK. (FILE 333-13566 -  
MAY. 30) (BR. 5)

F-6 FRANCE TELECOM /ADR/, 48 WALL ST, C/O BANK OF NEW YORK, NEW YORK, NY  
10286 (212) 815-1727 - 50,000,000 (\$2,500,000)  
DEPOSITARY RECEIPTS FOR COMMON STOCK. (FILE 333-13568 - MAY. 30) (BR.  
99)

S-8 DEUTSCHE TELEKOM AG, FRIEDERICH EBERT ALLEE 140, D53113 BONN  
GERMANY, 18  
(492) 281-8190 - 8,000,000 (\$179,200,000) FOREIGN COMMON STOCK. (FILE  
333-13570 - MAY. 30) (BR. 7)

S-4 TRIQUINT SEMICONDUCTOR INC, 2300 NE BROOKWOOD PARKWAY, HILLSBORO, OR  
97124 (503) 615-9000 - 48,791,918 (\$845,563,939) COMMON STOCK. (FILE  
333-62062 - JUN. 01) (BR. 5)

S-8 PENNEY J C CO INC, 6501 LEGACY DR, PLANO, TX 75024 (972) 431-1000 -  
16,000,000 (\$321,600,000) COMMON STOCK. (FILE 333-62066 - JUN. 01)  
(BR. 2)

S-8 PEOPLES ENERGY CORP, 24TH FLOOR, 130 EAST RANDOLPH DRIVE, CHICAGO,  
IL 60601 (312) 240-4299 - 2,500,000 (\$100,100,000) COMMON STOCK. (FILE  
333-62070 - JUN. 01) (BR. 2)

S-8 AKAMAI TECHNOLOGIES INC, 500 TECHNOLOGY SQ, CAMBRIDGE, MA 02139  
(617) 250-3000 - 6,000,000 (\$61,680,000) COMMON STOCK. (FILE 333-62072  
- JUN. 01) (BR. 8)

S-8 REUNION INDUSTRIES INC, 11 STANWIX STREET, SUITE 1400, PITTSBURGH,  
PA 15222 (203) 324-8858 - 600,000 (\$777,000) COMMON STOCK. (FILE 333-  
62074 - JUN. 01) (BR. 6)

S-4 US BANCORP \DE\, FIRST BANK PL, 601 SECOND AVE S, MINNEAPOLIS, MN  
55402 (612) 973-1111 - 62,642,310 (\$1,315,251,047) COMMON STOCK. (FILE  
333-62076 - JUN. 01) (BR. 7)

S-8 D&E COMMUNICATIONS INC, BROSSMAN BUSINESS COMPLEX,  
124 EAST MAIN ST PO BOX 458, EPHRATA, PA 17522 (717) 733-4101 - 15,000  
(\$282,450) COMMON STOCK. (FILE 333 62078 - JUN. 01) (BR. 7)

S-8 I3 MOBILE INC, 181 HARBOR DRIVE, 203-969-0020, STAMFORD, CT 06902  
(203) 969-0020 - 1,615,645 (\$6,545,267) COMMON STOCK. (FILE 333-62082  
- JUN. 01) (BR. 8)

S-8 NATIONAL HEALTH & SAFETY CORP, 120 GIBRALTAR ROAD, SUITE 107,  
HORSHAM, PA 19044 (215) 442-0926 - 4,250,000 (\$127,500) COMMON STOCK. (FILE  
333-62084 - JUN. 01) (BR. 1)

SB-2 ARS NETWORKS INC, 100 WALNUT STREET, CHAMPLAIN, NY 12919 (518) 298-  
2042 - 11,552,843 (\$9,935,445) COMMON STOCK. (FILE 333-62092 - JUN. 01)  
(BR. 5)

S-3 EXELIXIS INC, 170 HARBOR WAY, P O BOX 511, SOUTH SAN FRANCISCO, CA  
94083 (650) 825-2200 - 2,270,522 (\$35,476,906.25) COMMON STOCK. (FILE 333-  
62094 - JUN. 01) (BR. 1)

S-8 BEBE STORES INC, 380 VALLEY DR, BRISBANE, CA 94005 (415) 715-3900 -  
1,500,000 (\$33,176,693) COMMON STOCK. (FILE 333-62096 - JUN. 01) (BR.  
2)

S-8 SNAP ON INC, 10801 CORPORATE DRIVE, KENOSHA, WI 53147 (414) 656-5200  
- 5,000,000 (\$146,300,000) COMMON STOCK. (FILE 333-62098 - JUN. 01) (BR.  
5)

S-4 OSCA INC, 156 COMMISSION BLVD, LAFAYETTE, LA 70598 (318) 837-6047 -  
7,900,000 (\$204,215,000) COMMON STOCK. (FILE 333-62102 - JUN. 01) (BR.  
4)

S-8 SERENA SOFTWARE INC, 500 AIRPORT BLVD 2ND FLOOR, BURLINGTON, CA  
54010  
(650) 696-1800 - 2,562,500 (\$66,560,938) COMMON STOCK. (FI. 333-62106  
-  
JUN. 01) (BR. 3)

S-8 CONOCO INC /DE, 600 NORTH DAIRY ASHFORD, HOUSTON, TX 77079  
(281) 293-1000 - 1,100,000 (\$32,065,000) COMMON STOCK. (FILE 333-62108  
-  
JUN. 01) (BR. 4)

S-8 FLAG TELECOM HOLDINGS LTD, CEDAR HOUSE, 41 CEDAR AVENUE,  
HAMILTON HM12 BERMUD, 00000 - 2,500,000 (\$12,475,000) COMMON STOCK.  
(FILE  
333-62112 - JUN. 01) (BR. 7)

S-8 BORLAND SOFTWARE CORP, 100 ENTERPRISE WAY, SCOTTS VALLEY, CA 95066  
(831) 431-1000 - 3,000,000 (\$30,180,000) COMMON STOCK. FILE 333-62118  
-  
JUN. 01) (BR. 3)

S-3 US BANCORP \DE\, FIRST BANK PL, 601 SECOND AVE S, MINNEAPOLIS, MN  
55402  
(612) 973-1111 - 256,678 (\$5,671,300.40) COMMON STOCK. (FILE 333-62120  
-  
JUN. 01) (BR. 7)

S-8 ICOA INC, 111 AIRPORT RD, WARWICK, RI 02889 (401) 739-9205 -  
7,500,000  
(\$300,000) COMMON STOCK. (FILE 333-62122 - JUN. 01) (BR. 9)

S-8 THERMAFREEZE INC, C/O THERMAFREEZE, INC, 4430 HASKELL AVENUE,  
ENCINO, CA  
91436 (818) 784-2445 - 6,410,256 (\$833,333) COMMON STOCK. (FILE 333-  
62124  
- JUN. 01) (BR. 1)

S-8 PORTAL SOFTWARE INC, 10200 SOUTH DEANZA BLVD, CUPERTINO, CA 95014  
(408) 343-4400 - 10,319,623 (\$56,809,524.62) COMMON STOCK. (FILE  
333-62126 - JUN. 01) (BR. 3)

S-3 SUNGARD DATA SYSTEMS INC, 1285 DRUMMERS LN, STE 300, WAYNE, PA 19087  
(610) 341-8700 - 4,138,673 (\$245,961,336.40) COMMON STOCK. (FILE  
333-62128 - JUN. 01) (BR. 3)

S-8 ARTHROCARE CORP, 595 N PASTORIA AVE, SUNNYVALE, CA 94086 (408) 736-  
0224  
- 200,000 (\$4,450,000) COMMON STOCK. (FILE 333-62130 - JUN. 01) (BR.  
5)

S-8 GLOBAL SOURCES LTD /BERMUDA, CEDAR HOUSE 41 CEDAR AVE, 441-295-2244,  
HAMILTON HM 12 BERMU, DO 00000 - 2,557,038 (\$17,132,154) COMMON STOCK.  
(FILE 333-62132 - JUN. 01) (BR. 2)

S-8 SMITH MICRO SOFTWARE INC, 51 COLUMBIA, STE 200, ALISO VIEJO, CA  
92656 (714) 362-5800 - 400,000 (\$704,000) COMMON STOCK. (FILE 333-62134 -  
JUN. 01) (BR. 3)

S-1 W-H ENERGY SERVICES INC, 10370 RICHMOND SUITE 650, HOUSTON, TX 77042  
62140 - (713) 974-6071 - 7,475,000 (\$221,745,875) COMMON STOCK. (FILE 333-  
JUN. 01) (BR. 4)

S-3 EARTHSHELL CORP, 9020 JUNCTION DRIVE, SUITE D, ANNAPOLIS JUNCTION,  
MD 20701 (301) 957-1330 - 830,234 (\$3,188,098.50) COMMON STOCK. (FILE  
333-62142 - JUN. 01) (BR. 4)

S-4 CITIGROUP INC, 399 PARK AVENUE, NEW YORK, NY 10043 (212) 559-1000 -  
128,877,791 (\$5,664,961,500) COMMON STOCK. (FILE 333-62144 - JUN. 01)  
(BR. 7)

S-3 RAZORFISH INC, 32 MERCER STREET, NEW YORK, NY 10013 (212) 966-5960  
(FILE 333-62146 - JUN. 01) (BR. 3)

S-8 CENTURY BUSINESS SERVICES INC, 6480 ROCKSIDE WOODS BLVD SOUTH,  
SUITE 330, CLEVELAND, OH 44131 (216) 447-9000 - 1,000,000 (\$3,520,000)  
COMMON STOCK. (FILE 333-62148 - JUN. 01) (BR. 8)

S-3 FIRST STERLING BANKS INC, 676 CHASTAIN ROAD, KENNESAW, GA 30144  
(770) 422-2888 - 399,137 (\$7,659,440) COMMON STOCK. (FILE 333-62150 -  
JUN. 01) (BR. 7)

S-8 HOLLYWOOD MEDIA CORP, 2255 GLADES RD, STE 237 W, BOCA RAON, FL  
33431 (561) 998-8000 - 1,550,000 (\$6,773,500) COMMON STOCK. (FILE 333-62152  
-  
JUN. 01) (BR. 2)

S-3 BISYS GROUP INC, 150 CLOVE ROAD, LITTLE FALLS, NJ 07424 (201) 812-  
8600 - 4,491,870 (\$307,200,000) STRAIGHT BONDS. (FILE 333-62154 - JUN. 01)  
(BR. 8)

S-3 VECTOR GROUP LTD, 100 S E SECOND ST, MIAMI, FL 33131 (305) 579-8000  
-  
1,639,344 (\$53,672,122) COMMON STOCK. (FILE 333-62156 - JUN. 01) (BR.  
4)

S-8 NYFIX INC, 333 LUDLOW STREET, STAMFORD, CT 06902 (203) 425-8000 -  
1,000,000 (\$27,594,217) COMMON STOCK. (FILE 333-62158 - JUN. 01) (BR.  
3)

- S-4 EMMIS COMMUNICATIONS CORP, ONE EMMIS PLAZA,  
40 MONUMENT CIRCLE SUITE 700, INDIANAPOLIS, IN 46204 (317) 266-0100 -  
370,000,000 (\$207,026,100) STRAIGHT BONDS. (FILE 333-62160 - JUN. 01)  
(BR. 7)
- SB-2 SOUTHCOAST FINANCIAL CORP, POST OFFICE BOX 1561, MT PLEASANT, SC  
29465  
(843) 884-0504 - 1,000,000 (\$10,000,000) COMMON STOCK. (FILE 333-62164  
-  
JUN. 01) (BR. 7)
- S-3 ENRON CORP/OR/, 1400 SMITH ST, HOUSTON, TX 77002 (713) 853-6161 -  
1,907,698,000 (\$1,250,000,038) STRAIGHT BONDS. (FILE 333-62168 - JUN.  
01)  
(BR. 7)
- S-3 EMMIS COMMUNICATIONS CORP, ONE EMMIS PLAZA,  
40 MONUMENT CIRCLE SUITE 700, INDIANAPOLIS, IN 46204 (317) 266-0100 -  
500,000,000 (\$500,000,000) STRAIGHT BONDS. (FILE 333-62172 - JUN. 01)  
(BR. 7)
- S-8 WORLDCOM INC/GA//, 500 CLINTON CENTER DRIVE, CLINTON, MS 39056  
(601) 460-5600 - 210,000,000 (\$3,722,250,000) COMMON STOCK. (FILE  
333-62174 - JUN. 01) (BR. 7)
- S-3 INTEGRA LIFESCIENCES HOLDINGS CORP, 105 MORGAN LANE, PLAINSBORO, NJ  
08536 (609) 275-0500 - \$75,000,000 COMMON STOCK. (FILE 333-62176 -  
JUN. 01) (BR. 1)
- S-3 RESTORATION HARDWARE INC, 650 MADISON AVE, 26TH FLOOR, NEW YORK, NY  
10022 (415) 924-1005 - 4,515,762 (\$26,507,522.94) COMMON STOCK. (FILE  
333-62178 - JUN. 01) (BR. 2)
- S-3 AFFILIATED MANAGERS GROUP INC, TWO INTERNATIONAL PLACE, 23RD FL,  
BOSTON,  
MA 02110 (617) 747-3300 - 251,000,000 (\$224,896,000) COMMON STOCK.  
(FILE  
333-62180 - JUN. 01) (BR. 7)
- S-4 APOGENT TECHNOLOGIES INC, 411 E WISCONSIN AVE 24TH FLR, MILWAUKEE,  
WI  
53202 (414) 274-6600 - 325,000,000 (\$325,000,000) STRAIGHT BONDS.  
(FILE  
333-62182 - JUN. 01) (BR. 5)
- S-3 WELLS FARGO ASSET SECURITIES CORP, 7485 NEW HORIZON WAY, FREDERICK,  
MD  
21703 (301) 846-8881 - 1,000,000 (\$1,000,000) EQUIPMENT TRUST  
CERTIFICATES.  
(FILE 333-62184 - JUN. 01) (BR. 8)

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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 FD Disclosure.

The following companies have filed 8-K reports for the date indicated and/or amendments to 8-K reports previously filed, responding to the item(s) of the form specified. 8-K reports may be obtained in person or by writing to the Commission's Public Reference Branch at 450 Fifth Street, N.W., Washington, D.C. 20549 or at the following e-mail box address: <publicinfo@sec.gov>. In most cases, this information is also available on the Commission's website: <www.sec.gov>.

NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
AAMES MORTGAGE TRUST 2001 1 MORTGAG E PASS THR CERTS SE 01 1	DE	X									05/25/01	
ACCEPTANCE INSURANCE COMPANIES INC	DE				X						06/06/01	
ACE SECURITIES CORP	DE				X	X					06/05/01	
ACE SECURITIES CORP	DE				X	X					06/05/01	
ACE SECURITIES CORP HO EQ LO TR SE 2001-NC1 AS BA PA TH CE	DE	X									05/25/01	
ACORN PRODUCTS INC	DE				X						06/04/01	
AETNA INC /PA/	PA				X						06/04/01	
ALEXION PHARMACEUTICALS INC	DE				X	X					06/07/01	
ALPHACOM CORP	DE	X									05/28,	
AMC ENTERTAINMENT INC	DE				X						06/28/01	
AMERICAN HEALTHWAYS INC	DE		X		X	X	X				06/01/01	
AMERICAN VANGUARD CORP	DE				X	X					06/05/01	
ANDREA ELECTRONICS CORP	NY				X						06/06/01	
APERIAN INC	DE							X			05/23/01	
APPIANT TECHNOLOGIES INC	DE		X				X				05/23/01	
APPLEBEES INTERNATIONAL INC	DE				X			X			06/06/01	
APPLIED DIGITAL SOLUTIONS INC	MO				X						06/05/01	
ARTESYN TECHNOLOGIES INC	FL				X	X					06/06/01	
ASSET BACKED FUND CORP MORT LN ASSE T BCKD CERT SER 2001-AQ1	DE	X									05/21/01	
ASSOCIATES CREDIT CARD MASTER NOTE TRUST						X					04/30/01	
ASTORIA FINANCIAL CORP	DE						X	X			05/16/01	
ATLANTIC CITY BOARDWALK ASSOCIATES LP	NJ				X	X					03/31/01	
AUCTION ANYTHING COM INC			X								06/05/01	
AUCTION ANYTHING COM INC					X						06/06/01	
AUTOCORP EQUITIES INC	NV		X			X					05/21,	
AUTOCORP EQUITIES INC	NV				X	X					05/22/01	
AVI BIOPHARMA INC	OR				X	X					05/22/01	
AVNET INC	NY						X	X			06/07/01	

NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
BANC OF AMERICA COMMERCIAL MORTGAGE INC	DE					X	X				06/06/01	
BANK OF AMERICA MORT SEC INC MORT P ASS THR CERT SER 2001-4	DE					X	X				03/29/01	
BANK OF AMERICA MORTGAGE SECURITIES INC	DE					X	X				04/24/01	
BANK ONE CORP	DE					X	X				06/05/01	
BANKERS TRUST CORP	NY					X	X				05/18/01	
BANYAN CORP /OR/	OR	X	X			X	X				05/07/01	
BIO SOLUTIONS INTERNATIONAL INC	NV					X	X				05/31/01	
BLANCH E W HOLDINGS INC	DE	X					X				05/31/01	
BOCA RESORTS INC	DE					X	X				06/05/01	
BOSTON PROPERTIES INC	DE					X	X				06/06/01	
BROADCOM CORP	CA						X	X			06/06/01	
BUCA INC /MN	MN					X	X				06/07/01	
CALDERA INTERNATIONAL INC/UT	DE								X		06/06/01	
CALIFORNIA AMPLIFIER INC	DE					X					05/29/01	
CALTON INC	NJ					X					05/31/01	
CANTRONICS CORP								X			04/26/01	AMEND
CARDINAL HEALTH INC	OH					X	X				02/14/01	AMEND
CB RICHARD ELLIS SERVICES INC	DE						X	X	X		05/09/01	
CB RICHARD ELLIS SERVICES INC	DE					X	X				05/31/01	
CEDAR INCOME FUND LTD /MD/	MD			X				X			05/22/01	
CERTIFIED SERVICES INC	NV	X									01/31/01	
CHASE MORTGAGE FINANCE CORP	DE					X	X				05/16/01	
CHEC FUNDING LLC	DE					X	X				06/06/01	
CHIRON CORP	DE					X	X				06/06/01	
CHIRON CORP	DE					X	X				06/07/01	
CHORUS COMMUNICATIONS GROUP LTD	WI					X	X				06/05/01	
CIGNA CORP	DE								X		06/07/01	
CIT GROUP INC	DE	X			X		X				06/01/01	
CITICORP MORTGAGE SECURITIES INC	DE					X					04/24/01	
CITICORP MORTGAGE SECURITIES INC	DE					X					05/24/01	
CITICORP MORTGAGE SECURITIES INC	DE					X					05/24/01	
COMMUNITY FINANCIAL CORP /DE/	VA				X		X				05/31/01	
COMMUNITY FIRST BANKING CO	GA	X									05/23/01	
COMMUNITY WEST BANCSHARES / CONECTIV	CA					X	X				05/24/01	
CONECTIV	DE					X					06/01/01	
COR THERAPEUTICS INC / DE	DE					X	X				06/06/01	
CREDIT SUISSE FIRST BOSTON MORTGAGE SECURITIES CORP	DE					X					06/04/01	
CROWN AMERICAN REALTY TRUST	MD								X		06/07/01	
CROWN PAPER CO	VA						X				06/06/01	
CROWN VANTAGE INC	VA						X				06/06/01	
CT COMMUNICATIONS INC /NC	NC					X	X				06/01/01	
CTC COMMUNICATIONS GROUP INC	DE					X					06/05/01	
DAKTRONICS INC /SD/	SD					X					05/24/01	
DATARAM CORP	NJ	X						X			03/23/01	AMEND
DEERE & CO	DE								X		06/06/01	
DELIAS CORP	DE					X	X				06/06/01	
DERBY CYCLE CORP	DE					X					06/06/01	
DIABETEX INTERNATIONAL CORP	NV				X						03/01/01	

NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
DIAL CORP /NEW/	DE	X									06/06/01	
DIAL CORP /NEW/	DE		X								06/07/01	
DIAMOND BRANDS INC	MN			X							05/22/01	
DIAMOND BRANDS OPERATING CORP	MN			X							05/22/01	
DIAMOND CABLE COMMUNICATIONS LTD						X					05/24/01	
DISCOVER CARD MASTER TRUST I	DE					X	X				05/22/01	
ECOM ECOM COM INC	FL	X	X	X	X	X	X	X	X	X	06/01/01	
ELECTRONIC BUSINESS SERVICES INC	DE				X		X				05/01/01	
ELECTROSOURCE INC	DE					X					05/17/01	AMEND
EMC GROUP INC /FL	FL	X									05/31/00	AMEND
EMERGENCY FILTRATION PRODUCTS INC/ NV	NV					X	X				06/07/01	
EMTEC INC/NJ	UT					X					05/29/01	
EXTREME NETWORKS INC	DE					X	X				05/14/01	AMEND
FILM ROMAN INC	DE					X					06/06/01	
FINDWHAT COM INC	NV					X	X				06/06/01	
FIRST UNION COMMERCIAL MORTGAGE SEC URITIES INC	NC					X	X				06/07/01	
FOG CUTTER CAPITAL GROUP INC	MD					X	X				06/07/01	
FORD CREDIT AUTO RECEIVABLES TWO LL C	DE					X	X				05/24/01	
G&L REALTY CORP	MD					X	X				06/05/01	
GENZYME CORP	MA		X				X				06/01/01	
GENZYME CORP	MA					X	X				06/01/01	
GLOBAL MED TECHNOLOGIES INC	CO				X		X				05/31/01	
GLOBALSTAR TELECOMMUNICATIONS LTD	DE					X					05/31/01	
GOTO COM INC	DE					X	X				06/05/01	
GREKA ENERGY CORP	CO				X		X				05/18/01	AMEND
HALLIBURTON CO	DE					X	X				06/04/01	
HEALTH RISK MANAGEMENT INC /MN/	MN				X		X				05/18/01	AMEND
HEMASURE INC	DE		X				X				05/29/01	
HEWLETT PACKARD CO	DE					X	X				06/06/01	
IMPAC SECURED ASSETS CORP MORT PASS THR CERT SER 2001-1	CA	X									05/25/01	
INAMED CORP	DE					X	X				06/05/01	
INDYMAC BANCORP INC	DE					X	X				06/04/01	
INDYMAC INC HOME EQ MORT LOAN AS-BC K TR SER SPMD 2001-A	DE	X									05/25/01	
INFOCURE CORP	DE					X	X				06/04/01	
INFORMAX INC	DE					X	X				06/04/01	
INTEGRATED SECURITY SYSTEMS INC	DE					X					05/24/01	
INTEL CORP	DE		X								06/07/01	
INTELLIGROUP INC	NJ					X	X				06/06/01	
INTERCALLNET INC	NV					X					05/29/01	
IPI INC	MN				X	X	X				05/30/01	
IPI INC	MN				X	X	X				05/30/01	AMEND
IRWIN HOME EQUITY LN TR HM EQ LN-BK TERM NT SER 2001-1	NY	X									05/25/01	
J P MORGAN CHASE & CO	DE								X		06/05/01	
JAGUAR INVESTMENTS INC	NV										05/25/01	
JDS UNIPHASE CORP /CA/	DE					X					06/06/01	
KERAVISION INC /DE/	DE					X	X				06/06/01	

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		1	2	3	4	5	6	7	8	9		
KITTY HAWK INC	DE				X	X					05/30/01	
LAMAR ADVERTISING CO/NEW	DE				X	X					06/04/01	
LASER MORTGAGE MANAGEMENT INC	MD				X	X					05/31/01	
LEHMAN ABS CORP	DE				X	X					06/07/01	
LIBERTY FINANCIAL COMPANIES INC /MA	MA				X	X					06/04/01	
/												
LIGHTBRIDGE INC	DE				X	X					06/04/01	
LONG BEACH MORTGAGE LOAN TRUST 2001	DE	X									05/21/01	
-1 AS BK CERT SER 2001-1												
LYON INVESTMENTS B V	DE				X						06/06/01	
MCNAUGHTON APPAREL GROUP INC	DE				X	X					06/07/01	
MEDIACOM CAPITAL CORP	NY				X	X					02/26/01	AMEND
MEDIACOM COMMUNICATIONS CORP	DE				X	X					02/26/01	AMEND
MEDIACOM COMMUNICATIONS CORP	DE				X	X					06/06/01	
MEDIACOM LLC	NY				X	X					02/26/01	AMEND
MEDICAL ASSURANCE INC	DE				X	X					06/07/01	
MEDIQ INC	DE			X		X					05/29/01	
MEDIQ PRN LIFE SUPPORT SERVICES INC	DE			X		X					05/29/01	
MERITAGE CORP	MD				X	X					05/30/01	
MESSAGEMEDIA INC	DE				X	X					06/01/01	
MICRO THERAPEUTICS INC	DE				X	X					05/25/01	
MICROCHIP TECHNOLOGY INC	DE			X							06/06/01	
MIND2MARKET INC	CO					X					06/06/01	
MINUTEMAN INTERNATIONAL INC	IL					X					05/25/01	
MONTGOMERY FINANCIAL CORP		X									06/05/01	
MORTGAGE PASS THROUGH CERTIFICATES	DE				X	X					05/31/01	
SERIES 2001-1												
MSDW STRUCTURED ASSET CORP	DE					X					05/05/01	
NANOPIERCE TECHNOLOGIES INC	NV				X						06/01/01	
NATIONAL CITY CREDIT CARD MASTER TR					X	X					05/24/01	
UST												
NATIONAL SECURITY GROUP INC	DE				X						05/31/01	
NAVTECH INC	DE				X						06/01/01	
NDC AUTOMATION INC	DE	X									06/05/01	
NEOMEDIA TECHNOLOGIES INC	DE					X					03/01/01	AMEND
NEORX CORP	WA				X	X					06/05/01	
NET PERCEPTIONS INC	DE				X	X					06/01/01	
NETHOLDINGS COM INC	NV				X						05/31/01	
NETLOJIX COMMUNICATIONS INC	DE				X						05/29/01	
NETSOL INTERNATIONAL INC	NV					X					04/23/99	AMEND
NETVOICE TECHNOLOGIES CORP	NV				X						06/04/01	
NETWORK INVESTOR COMMUNICATIONS INC		X	X								05/31/01	
NETZERO INC	DE				X	X					06/07/01	
NEUBERGER BERMAN INC	DE					X		X			06/06/01	
NORTEK INC	DE				X						06/06/01	
NORTH AMERICAN DATACOM INC	CO				X						06/06/01	
NORTHSTAR ELECTRONICS INC	DE	X									05/28/01	
NTL INC/DE/	DE				X	X					06/05/01	
OCEAN POWER CORP	DE				X	X					06/06/01	
PACIFIC CENTURY FINANCIAL CORP	DE				X						06/05/01	
PACIFIC GAS & ELECTRIC CO	CA				X			X			02/28/01	
PATHNET TELECOMMUNICATIONS INC	DE				X						05/31/01	

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		1	2	3	4	5	6	7	8			9
PDS GAMING CORP	MN				X	X					05/14/01	
PETROQUEST ENERGY INC	DE				X	X					06/07/01	
PG&E CORP	CA				X				X		06/06/01	
PNC MORTGAGE SEC CORP MORT PASS THR CERT SER 2001-2	DE				X	X					05/31/01	
POLAROID CORP	DE				X	X					06/07/01	
POWERTEL INC /DE/	DE				X	X					05/31/01	
POWERWAVE TECHNOLOGIES INC	DE				X	X					06/01/01	
PRICELINE COM INC	DE				X	X					06/05/01	
PRIMA ENERGY CORP	DE				X	X					05/23/01	
PROFESSIONALS GROUP INC	MI				X	X					06/07/01	
PROVINCE HEALTHCARE CO	DE				X	X					06/04/01	
QWEST COMMUNICATIONS INTERNATIONAL INC	DE								X		06/07/01	
RESIDENTIAL ASSET SECURITIES CORP	DE				X	X					06/07/01	
RESIDENTIAL FUNDING MORTGAGE SECURI TIES I INC	DE				X	X					06/07/01	
RIVERWOOD HOLDING INC	DE				X						06/06/01	
RIVERWOOD HOLDING INC	DE				X						06/07/01	
RIVIERA HOLDINGS CORP	NV				X	X					06/06/01	
ROYAL FINANCIAL CORP	NV	X				X	X				06/05/01	
SAFLINK CORP	DE				X	X	X				06/05/01	
SALOMON BROS MORT SEC VII INC SALO MORT LN TR SER 2001-CPB1	DE		X				X				05/31/01	
SALOMON BRS MRT SEC VII INC NEW CEN T HM EQ L TR SER 2001-NC1	DE						X				06/06/01	
SALON MEDIA GROUP INC	DE				X						05/16/01	
SANTANDER BANCORP					X						05/29/01	
SATCON TECHNOLOGY CORP	DE				X	X					06/06/01	
SATURNS TRUST SERIES 2001 4	DE						X				05/05/01	
SAXON ASSET SEC TRUST 2001-1 MTG LN ASSET BK CERT SER 2001-1		X									05/25/01	
SEARS CREDIT ACCOUNT MASTER TRUST I I	IL				X	X					06/06/01	
SELECT COMFORT CORP	MN								X		06/06/01	
SELECT MEDICAL CORP	DE						X		X		05/09/01	
SL GREEN REALTY CORP	MD				X	X					05/29/01	
SOCRATES TECHNOLOGIES CORP	DE			X	X	X	X				06/07/01	
SONICWALL INC	CA				X	X					06/06/01	
SPX CORP	DE		X				X				05/24/01	
STANDARD AUTOMOTIVE CORP	DE				X	X					06/05/01	
STARCRAFT CORP /IN/	IN		X				X				05/25/01	
STROUDS INC	DE				X	X					06/07/01	
STRUCTURED ASS MO INV INC WSH MUT M O L T MO P TH CE SE 01-1	DE	X									05/25/01	
STRUCTURED ASSET MORTGAGE INVESTMEN TS INC	DE				X	X					05/23/01	
STRUCTURED ASSET SECURITIES CORP MO RT PAS THR CE SE 2001-BC3	DE	X									05/25/01	
SYBRON DENTAL SPECIALTIES INC	DE				X	X					06/05/01	
TELEMATE NET SOFTWARE INC	GA				X	X					05/04/01	AMEND
TIDEL TECHNOLOGIES INC	DE				X	X					06/06/01	

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		1	2	3	4	5	6	7	8	9		
TRACKER CORP OF AMERICA	DE					X					06/06/01	
TRICO MARINE SERVICES INC	DE					X	X				06/07/01	
U S AGGREGATES INC	DE					X	X				05/30/01	
UNION BANKSHARES LTD	DE								X		06/06/01	
UNITED DOMINION REALTY TRUST INC	VA						X	X			06/07/01	
US INDUSTRIES INC /DE	DE					X	X				06/04/01	
USA NETWORKS INC	DE						X	X			06/06/01	
USA NETWORKS INC	DE						X	X			06/07/01	
VENTURI TECHNOLOGIES INC	NV						X				06/08/01	
VIA NET WORKS INC						X	X				06/05/01	
VITRIX INC /NV/	NV					X		X			06/04/01	
VLASIC FOODS INTERNATIONAL INC	NJ	X					X				05/22/01	
WAMU MORTGAGE PASS THROUGH CERT SER IES 2001-5	DE					X	X				05/31/01	
WASHINGTON MUTUAL MOR SEC CORP MOR PASS THRU CERT SER 2001-3	DE					X	X				05/31/01	
WATTS INDUSTRIES INC	DE					X					05/31/01	
WELLS FARGO & CO/MN	DE					X	X				06/06/01	
WELLS FARGO ASSET SECURITIES CORP	DE					X	X				04/24/01	
WELLS FARGO ASSET SECURITIES CORP	DE					X	X				04/24/01	
WELLS FARGO ASSET SECURITIES CORP	DE					X	X				05/17/01	
WHITEHALL JEWELLERS INC	DE					X	X				06/02/01	
WISCONSIN ELECTRIC POWER CO	WI					X					06/04/01	
WISCONSIN ENERGY CORP	WI					X					06/04/01	
WISER OIL CO	DE	X						X			05/22/01	
WNC HOUSING TAX CREDIT FUND VI LP S ERIES 8	CA	X						X			05/23/01	
WORLDCOM INC/GA//	GA					X	X				06/07/01	
ZEPPELIN SOFTWARE INC	DE				X		X				05/01/01	AMEND
ZEROPLUS COM INC	DE						X				06/05/01	
24/7 MEDIA INC	DE	X					X				05/23/01	