

Table 1
**ENFORCEMENT CASES INITIATED BY THE COMMISSION
 DURING FISCAL YEAR 2000 IN VARIOUS PROGRAM AREAS**

(Each case initiated has been included in only one category listed below, even though many cases involve multiple allegations and may fall under more than one category. The number of defendants and respondents is noted parenthetically.)

Program Area in Which a Civil Action or Administrative Proceeding Was Initiated	Civil Actions	Administrative Proceedings	Total	% of Total Cases
Securities Offering Cases	70 (314)	55 (73)	125 (387)	25%
Broker-dealer Cases				
(a) Fraud Against Customer	12 (24)	22 (28)	34 (52)	
(b) Failure to Supervise	1 (1)	5 (10)	6 (11)	
(c) Government/Municipal Securities	1 (1)	16 (20)	17 (21)	
(d) Books & Records	1 (2)	1 (3)	2 (5)	
(e) Other	5 (22)	8 (23)	13 (45)	
Total Broker-dealer Cases	<u>20 (50)</u>	<u>52 (84)</u>	<u>72 (134)</u>	14%
Issuer Financial Statement and Reporting Cases				
(a) Issuer Financial Disclosure	32 (83)	68 (77)	100 (160)	
(b) Issuer Reporting Other	3 (6)	0 (0)	3 (6)	
Total Issuer Financial Statement and Reporting Cases	<u>35 (89)</u>	<u>68 (77)</u>	<u>103 (166)</u>	20%
Other Regulated Entity Cases				
(a) Investment Advisers	13 (33)	27 (43)	40 (76)	
(b) Investment Companies	1 (3)	3 (6)	4 (9)	
(c) Transfer Agent	0 (0)	1 (2)	1 (2)	
(d) SROs	0 (0)	1 (1)	1 (1)	
Total Other Regulated Entity Cases	<u>14 (36)</u>	<u>32 (52)</u>	<u>46 (88)</u>	9%
Insider Trading Cases	36 (112)	4 (4)	40 (116)	8%
Market Manipulation Cases	28 (108)	20 (71)	48 (179)	10%
Delinquent Filings				
(a) Issuer Reporting	4 (4)	1 (1)	5 (5)	
(b) Forms 3&4	0 (0)	3 (4)	3 (4)	
Total Delinquent Filings Cases	<u>4 (4)</u>	<u>4 (5)</u>	<u>8 (9)</u>	2%
Contempt Proceedings	36 (70)	0 (0)	36 (70)	7%
Newsletter/Touting	6 (14)	1 (1)	7 (15)	1%
Miscellaneous Cases	10 (21)	7 (11)	17 (32)	3%
Corporate Control	0 (0)	1 (1)	1 (1)	0%
GRAND TOTAL	<u>259 (818)</u>	<u>244 (379)</u>	<u>503 (1197)</u>	100%

Table 2
FISCAL 2000 ENFORCEMENT CASES
LISTED BY PROGRAM AREA

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
Broker-Dealer: Books & Records		
In the Matter of H.J. Meyers & Co., Inc., et.al.	AAER-1221	02/07/2000
SEC v. William F. Mahon, et.al.	LR-16751	09/28/2000
Broker-Dealer: Failure To Supervise		
SEC v. GKN Securities Corp.	LR-16410	12/29/1999
In the Matter of Dean Witter Reynolds, Inc.	34-43215	08/28/2000
In the Matter of Signal Securities, Inc., et.al.	34-43350	09/26/2000
In the Matter of Prospera Financial Services, Inc., et.al.	34-43352	09/26/2000
In the Matter of D.E. Frey & Company, Inc.	34-43354	09/26/2000
In the Matter of Dale E. Frey, et.al.	33-7901	09/26/2000
Broker-Dealer: Fraud Against Customer		
SEC v. Marlon D. Tropeano, et.al.	LR-16327	10/05/1999
SEC v. Michael J. Christie	LR-16724	10/07/1999
In the Matter of Vincent J. Iovine	34-42066	10/28/1999
SEC v. S. Jay Goldinger	AAER-1203	11/08/1999
SEC v. Robert J. Strauss	LR-16360	11/17/1999
In the Matter of Kenneth R. Starnes	34-42158	11/19/1999
SEC v. Sunpoint Securities, Inc., et.al.	LR-16366	11/19/1999
In the Matter of John H. Kim	34-42244	12/17/1999
In the Matter of Alan B. Schlusel	34-42243	12/17/1999
In the Matter of Robert J. Strauss	34-42245	12/17/1999
SEC v. Donald J. Martineau	LR-16406	01/10/2000
SEC v. Milan Capital Group, Inc., et.al.	LR-16405	01/10/2000
In the Matter of John Sebastian Ragazzo	34-42334	01/12/2000
In the Matter of S. Jay Goldinger	34-42358	01/27/2000
SEC v. Thomas Conwell, et.al.	LR-16420	01/31/2000
In the Matter of Donald J. Martineau	34-42422	02/14/2000
SEC v. Shan Michael Hefley	LR-16479	03/21/2000
In the Matter of Shan Michael Hefley	34-42625	04/06/2000
In the Matter of John F. Yakimczyk	34-42710	04/21/2000
In the Matter of Joseph P. Galluzzi	34-42826	05/25/2000

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
In the Matter of Luis Bulas, Jr.	34-42956	06/19/2000
In the Matter of Thomas V. Conwell	34-43006	07/03/2000
In the Matter of Clyde Wayne Gregory	33-7873	07/18/2000
In the Matter of Janney Montgomery Scott, L.L.C., et.al.	34-43050	07/18/2000
SEC v. Meridian Asset Management, Inc., et.al.	LR-16638	07/26/2000
SEC v. Dean H. Harris	LR-16672	08/31/2000
SEC v. Regald B. Smith	LR-16698	09/07/2000
In the Matter of Shirley A. McKinney, et.al.	34-43322	09/21/2000
In the Matter of Paul Kucik	34-43321	09/21/2000
In the Matter of Cheryl A. Rodgers	33-7898	09/26/2000
In the Matter of Douglas J. Hopwood	33-7899	09/26/2000
In the Matter of William Lee Jeffers	33-7900	09/26/2000
In the Matter of Dean H. Harris	34-43374	09/28/2000
In the Matter of David Barroso, Jr.	34-43386	09/29/2000

Broker-Dealer: Government/Municipal Securities

In the Matter of BT Alex. Brown Incorporated	34-42145	11/17/1999
In the Matter of Kevin G. Quinn	34-42146	11/17/1999
In the Matter of Douglas E. Carter	34-42147	11/17/1999
In the Matter of Arthurs Lestrangle & Co, Inc., et.al.	34-42148	11/17/1999
In the Matter of Paschal Gene Allen	34-42204	12/06/1999
In the Matter of Rauscher Pierce Refsnes, Inc., et.al.	33-7844	04/06/2000
In the Matter of Prudential Securities Inc.	34-42626	04/06/2000
In the Matter of Lehman Brothers, Inc.	34-42638	04/06/2000
In the Matter of Morgan Stanley & Co., Inc.	34-42642	04/06/2000
In the Matter of Goldman, Sachs & Co.	34-42636	04/06/2000
In the Matter of Warburg Dillon Read LLC.	34-42628	04/06/2000
In the Matter of William R. Hough & Co.	34-42632	04/06/2000
In the Matter of Painewebber Inc.	34-42630	04/06/2000
In the Matter of Merrill Lynch, Pierce, Fenner & Smith Inc.	34-42640	04/06/2000
In the Matter of Salomon Smith Barney Inc.	34-42634	04/06/2000
SEC v. Eugene J. Yelverton, Jr.	LR-16533	04/24/2000
In the Matter of John S. Reger II, et.al.	34-42918	06/09/2000

Broker-Dealer: Other

In the Matter of Robert J. Carucci, et.al.	34-42083	11/01/1999
SEC v. Roy E. Matlock	LR-16797	12/03/1999
In the Matter of All-Tech Direct, Inc., et.al.	34-42446	02/22/2000
In the Matter of Investment Street Company, et.al.	34-42447	02/22/2000

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
In the Matter of Tuschner & Company, Inc.	34-42556	03/21/2000
SEC v. The Oakford Corp., et.al.	LR-16497	03/30/2000
SEC v. United Custodial Corp.	LR-16633	07/21/2000
SEC v. Martin R. Frankel, et.al.	LR-16707	09/18/2000
SEC v. James A. Nies, et.al.	LR-16714	09/20/2000
In the Matter of Joseph M. Salvani, et.al.	34-43334	09/25/2000
In the Matter of Bertha Ayala, et.al.	34-43341	09/26/2000
In the Matter of Paul Nortman	34-43381	09/28/2000
In the Matter of Alex Moore & Co., Inc., et.al.	34-43382	09/28/2000

Contempt-Civil

SEC v. Clealon B. Mann	None	10/04/1999
SEC v. Michael J. Christie	None	10/14/1999
SEC v. Cathy Nazarian, et.al.	None	10/21/1999
SEC v. Richard Sherman, et.al.	None	10/21/1999
SEC v. John C. Matthews	None	11/04/1999
SEC v. Future Strategies Srl	None	11/05/1999
SEC v. Mysore S. Sundara	None	12/03/1999
SEC v. Benjamin Franklin Cook	None	12/06/1999
SEC v. Weyman B. Sinyard, et.al.	LR-16384	12/07/1999
SEC v. Commonwealth Group, LLC., et.al.	LR-16523	01/14/2000
SEC v. John Wayne Zidar, et.al.	LR-16418	01/24/2000
SEC v. Claude Savage	None	02/04/2000
SEC v. Thomas V. Conwell	None	02/14/2000
SEC v. Lindsey Springer	None	02/15/2000
SEC v. Ronald Sparks	None	02/24/2000
SEC v. Eivin Weibie	None	02/28/2000
SEC v. Van R. Lewis, III	None	03/10/2000
SEC v. Joseph P. Medsker	None	03/27/2000
SEC v. Thomas Michael Rittweger	None	04/06/2000
SEC v. C. Kelly Olsen	LR-16538	05/01/2000
SEC v. Scott Justeson, et.al.	None	05/15/2000
SEC v. Kathleen Cross	None	06/08/2000
SEC v. Larry W. Ellis, et.al.	None	06/09/2000
SEC v. Karl L. Dahlstrom	None	06/09/2000
SEC v. Beverlee Kamerling, et.al.	None	06/09/2000
SEC v. James Russell Cleveland	None	06/13/2000
SEC v. John Wayne Zidar, et.al.	LR-16598	06/19/2000
SEC v. Edward A. Durante, et.al.	None	07/12/2000

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
SEC v. Benjamin Cook	None	07/19/2000
SEC v. William T. Flohr, et.al.	None	07/19/2000
SEC v. Michael B. Chalmers	None	07/26/2000
SEC v. Eric V. Bartoli	None	08/07/2000
SEC v. John M. Carlson	None	08/17/2000
SEC v. Richard Chier	None	08/22/2000
SEC v. Corporacion	None	08/31/2000
SEC v. Le Club Prive, S.A., et.al.	None	09/28/2000

Corporate Control

In the Matter of Gregory M. Shepard	34-43306	09/20/2000
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Delinquent Filings: Forms 3/4/5

In the Matter of Killlearn, Inc., et.al.	34-42436	02/17/2000
In the Matter of Phelps M. Wood	34-42670	04/12/2000
In the Matter of Gerald M. Wetzler	34-42719	04/25/2000

Delinquent Filings: Issuer Reporting

SEC v. Long Distance Direct Holdings, Inc.	LR-16403	01/07/2000
SEC v. Nevada Manhattan Group, Inc.	LR-16468	03/09/2000
In the Matter of JWGenesis Financial, Inc.	34-43053	07/19/2000
SEC v. JWGenesis Financial, Inc.	LR-16631	07/19/2000
SEC v. Intelligent Decision Systems, Inc.	LR-16745	09/29/2000

Insider Trading

SEC v. Jeffrey Spiegel	LR-16326	10/04/1999
SEC v. Cristian K. Blackman, et.al.	LR-16357	11/17/1999
SEC v. Stephen B. Humphries	LR-16361	11/18/1999
SEC v. James J. McDermott, et.al.	LR-16395	12/21/1999
In the Matter of Kevin J. Kirkbride	34-42305	01/03/2000
SEC v. Gonzalo Silveira, et.al.	LR-16404	01/07/2000
SEC v. Arthur Tab Williams Jr.	LR-16422	02/02/2000
SEC v. Thomas Moncure, et.al.	LR-16427	02/07/2000
SEC v. Andrew J. Newmark	LR-16434	02/11/2000
SEC v. Robert Spiegel	LR-16458	02/29/2000
SEC v. Nicholas M. Mihalas	LR-16465	03/07/2000
SEC v. John J. Pacowta	LR-16464	03/07/2000

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
SEC v. John Freeman, et.al.	LR-16469	03/14/2000
SEC v. Financial Security Assurance Holdings Ltd.	LR-16474	03/17/2000
SEC v. Parvin Gidvani	LR-16482	03/23/2000
SEC v. Andrea Caputo, et.al.	LR-16487	03/27/2000
SEC v. Robert R. Hibbs	LR-16510	04/10/2000
SEC v. Liberato A. Iannone, et.al.	LR-16515	04/12/2000
SEC v. Nicolas Molina, et.al.	LR-16527	04/26/2000
SEC v. Henry T. Blackstock	LR-16539	05/04/2000
SEC v. Anthony Pollak, et.al.	LR-16561	05/23/2000
SEC v. Michael D. Sherman, et.al.	LR-16566	05/30/2000
SEC v. Michael R. Hendrix, et.al.	LR-16591	06/15/2000
SEC v. Roger Bernhammer	LR-16637	07/10/2000
In the Matter of Jonah Rosenblatt	34-43076	07/27/2000
In the Matter of Samuel G. Lederman	34-43106	08/02/2000
SEC v. Watson King, et.al.	LR-16648	08/07/2000
SEC v. Tracie Carpin, et.al.	LR-16655	08/17/2000
SEC v. Manu B. Shrivastava	LR-16669	08/30/2000
SEC v. Christopher L. Burton	LR-16670	08/31/2000
SEC v. Brian E. Pridgeon, et.al.	LR-16676	09/01/2000
SEC v. David W. Butler	LR-16701	09/14/2000
SEC v. Kevin L. Lindsey, et.al.	LR-16703	09/15/2000
SEC v. Daniel Marcus Boyd, III	LR-16715	09/20/2000
SEC v. Joseph P. Webster	LR-16718	09/21/2000
SEC v. Adrian A. Alexander, et.al.	LR-16733	09/27/2000
SEC v. Timothy J. Sullivan, et.al.	LR-16737	09/28/2000
SEC v. Raymond Imp	LR-16781	09/28/2000
In the Matter of Theodore R. Hunter	34-43390	09/29/2000
SEC v. Robert Glen Sedlacek	LR-16739	09/29/2000

Investment Adviser

In the Matter of James William Fuller	IA-1842	10/04/1999
In the Matter of Gordon Richard Taubenheim	IA-1843	10/04/1999
SEC v. Alan Brian Bond, et.al.	LR-16394	12/16/1999
In the Matter of Scudder Kemper Investments, Inc., et.al.	IA-1848	12/22/1999
In the Matter of Michael T. Sullivan, III	IA-1849	12/22/1999
SEC v. Yun Soo Oh Park, et.al.	LR-16399	01/05/2000
SEC v. Michael W. Berger, et.al.	LR-16412	01/18/2000
In the Matter of Waltzer and Associates, et.al.	IA-1854	02/07/2000
SEC v. David M. Mobley, et.al.	LR-16446	02/22/2000

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
In the Matter of Brian T. Lenihan	IA-1861	03/14/2000
SEC v. DynamicDaytrader.com L.L.C., et.al.	LR-16475	03/20/2000
SEC v. Dana C. Giacchetto, et.al.	LR-16499	04/03/2000
In the Matter of Gold Asset Management, Inc., et.al.	IA-1868	04/14/2000
In the Matter of Dreyfus Corp., et.al.	IA-1870	05/10/2000
SEC v. Michael T. Higgins, et.al.	LR-16547	05/10/2000
SEC v. James S. Saltzman	LR-16554	05/12/2000
SEC v. James L. Foster, et.al.	LR-16567	05/30/2000
In the Matter of Sharp Capital, Inc., et.al.	IA-1875	06/08/2000
In the Matter of William M. Stephens	IA-1878	06/14/2000
In the Matter of Owen-Joseph Asset Management Corp., et.al.	IA-1880	06/15/2000
In the Matter of Founders Asset Management LLC, et.al.	IA-1879	06/15/2000
In the Matter of Timothy J. Lyons	IA-1882	06/20/2000
In the Matter of James L. Foster, et.al.	IA-1881	06/20/2000
SEC v. Thomas J. Kearns, et.al.	LR-16610	06/23/2000
In the Matter of Charles F. Parisi	IA-1885	07/10/2000
In the Matter of Vector Index Advisors, Inc., et.al.	33-7874	07/18/2000
In the Matter of Dawson-Samberg Capital Management, Inc., et.al.	IA-1889	08/03/2000
In the Matter of Independent Financial Group, et.al.	IA-1891	08/08/2000
In the Matter of James Michael Cogley	34-43135	08/10/2000
In the Matter of Brian W. O'Connor	IA-1893	08/10/2000
In the Matter of F. Xavier Saavedra	IA-1894	08/10/2000
In the Matter of F.W. Thompson Co., Ltd., et.al.	IA-1895	09/07/2000
SEC v. Brian W. O'Connor	LR-16749	09/20/2000
SEC v. Capital Consultants, LLC., et.al.	LR-16720	09/21/2000
In the Matter of Raymond A. Parkins, Jr.	33-7896	09/25/2000
SEC v. Robert C. Sears, et.al.	LR-16735	09/26/2000
In the Matter of Mumtaz Saxena	IA-1899	09/28/2000
In the Matter of Timothy Charles Sweeney	IA-1901	09/29/2000
In the Matter of Susan M. Gorski	IA-1902	09/29/2000
In the Matter of Charles K. Seavey, et.al.	34-43392	09/29/2000

Investment Company

In the Matter of Nova Communications Ltd., et.al.	IC-24384	04/10/2000
SEC v. Rupy-Barrington Capital Management, Inc., et.al.	LR-16623	07/10/2000
In the Matter of Charles G. Dyer, et.al.	IC-24594	08/08/2000
In the Matter of Douglas R. Shisler	34-43378	09/28/2000

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
Issuer Financial Disclosure		
In the Matter of Thor Industries, Inc.	AAER-1190	10/18/1999
In the Matter of Jerry M. Walker, CPA	AAER-1191	10/18/1999
In the Matter of David E. Stevenson	AAER-1192	10/19/1999
In the Matter of Stephen J. Kesh, CPA	AAER-1196	10/21/1999
In the Matter of Lee R. Fontaine, CPA	AAER-1194	10/21/1999
In the Matter of Rick W. Gossett, CPA	AAER-1195	10/21/1999
SEC v. ABS Industries, Inc., et.al.	AAER-1197	10/28/1999
In the Matter of Pairgain Technologies, Inc.	AAER-1204	11/08/1999
In the Matter of Joseph Salomon	AAER-1207	11/10/1999
In the Matter of Jimmy L. Duckworth, CPA	AAER-1205	11/10/1999
In the Matter of Cronos Group	AAER-1208	11/15/1999
SEC v. Accelr8 Technology Corp., et.al.	AAER-1209	11/16/1999
In the Matter of Michael J. Hooper, CPA	AAER-1210	11/19/1999
SEC v. Solucorp Industries Ltd., et.al.	AAER-1213	12/13/1999
In the Matter of Jose E. Rivera	AAER-1212	12/14/1999
In the Matter of Informix Corporation	AAER-1215	01/11/2000
In the Matter of Edward Welch	AAER-1217	01/24/2000
In the Matter of Robert L. Norton	AAER-1222	02/07/2000
In the Matter of William L. Clancy, CPA	AAER-1220	02/07/2000
In the Matter of Joseph M. Morris, CPA	AAER-1223	02/10/2000
In the Matter of Joseph E. Williams	AAER-1225	02/10/2000
SEC v. Robert B. Anacone	AAER-1233	02/29/2000
SEC v. Donald K. McGhan	AAER-1234	03/08/2000
In the Matter of H. Deworth Williams	AAER-1235	03/20/2000
In the Matter of Jeremy G. Dunne	AAER-1236	03/20/2000
In the Matter of Laser Technology, Inc.	AAER-1237	03/20/2000
SEC v. David W. Williams, et.al.	AAER-1238	03/20/2000
SEC v. Eric P. Furman, et.al.	AAER-1239	03/22/2000
In the Matter of Jill Pitts, et.al.	AAER-1240	03/23/2000
SEC v. Digital Lightwave. Inc., et.al.	LR-16419A	03/29/2000
In the Matter of Nanette Miller, CPA	AAER-1241	03/29/2000
In the Matter of Beth A. Morris, et.al.	AAER-1243	03/29/2000
In the Matter of Seth P. Joseph	AAER-1244	03/29/2000
In the Matter of Peritus Software Services, Inc.	AAER-1247	04/13/2000
SEC v. Allen K. Deary, et.al.	LR-16516	04/13/2000
SEC v. David W. McConnell, et.al.	AAER-1254	05/02/2000
In the Matter of Albert Adamczak, CPA	AAER-1253	05/02/2000
In the Matter of Stephen H. Spargo, CPA	AAER-1252	05/02/2000
In the Matter of Cynthia Pfaltzgraff, CMA	AAER-1255	05/03/2000

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
In the Matter of America Online, Inc.	AAER-1257	05/15/2000
SEC v. America Online, Inc.	AAER-1258	05/15/2000
SEC v. C. Willam Cox	AAER-1262	05/23/2000
In the Matter of Intile Designs, Inc.	AAER-1259	05/23/2000
In the Matter of R. Gordon Jones, et.al.	AAER-1261	05/25/2000
In the Matter of Samuel L. White, CPA	AAER-1263	06/01/2000
In the Matter of Eric P. Furman, CPA	AAER-1267	06/06/2000
In the Matter of Firstmark Corp.	AAER-1270	06/08/2000
In the Matter of Scott E. Edwards, CPA	AAER-1271	06/08/2000
SEC v. Cosmo Corigliano, et.al.	AAER-1276	06/14/2000
SEC v. Steven Speaks	AAER-1276	06/14/2000
SEC v. Mary Sattler Polverari	AAER-1276	06/14/2000
In the Matter of Cendant Corp.	AAER-1272	06/14/2000
In the Matter of Steven Speaks, CPA	AAER-1274	06/14/2000
In the Matter of Mary Sattler Polverari, CPA	AAER-1275	06/14/2000
In the Matter of Paul Hiznay	AAER-1273	06/14/2000
In the Matter of Waste Management, Inc.	AAER-1277	06/21/2000
SEC v. DCI Telecommunications, Inc., et.al.	AAER-1279	06/23/2000
In the Matter of Schnitzer & Kondub, P.C., et.al.	AAER-1278	06/23/2000
In the Matter of Gregory A. Alba, CPA	AAER-1280	06/26/2000
In the Matter of Ronald G. Davies	AAER-1281	06/29/2000
SEC v. Hybrid Networks, Inc., et.al.	AAER-1282	06/29/2000
In the Matter of Allegheny Health, Education & Research Foundation	AAER-1283	06/30/2000
SEC v. Michael A. Puhr	AAER-1286	07/13/2000
In the Matter of Kevin T. Kearney, CPA	AAER-1284	07/13/2000
SEC v. System Software Associates, Inc., et.al.	AAER-1285	07/14/2000
SEC v. Guilford Mills, Inc., et.al.	AAER-1288	07/24/2000
In the Matter of Guilford Mills, Inc.	AAER-1287	07/24/2000
In the Matter of Steven Wolis	AAER-1290	08/04/2000
In the Matter of Axel E. Friedberg, et.al.	AAER-1291	08/08/2000
SEC v. Stefan M. Palatin	LR-16645	08/08/2000
In the Matter of Herbert M. Campbell II, ESQ.	34-43136	08/10/2000
In the Matter of William J. McClintock, C.A.	AAER-1293	08/16/2000
In the Matter of Boston Scientific Corp.	AAER-1295	08/21/2000
In the Matter of Theodore Ursu III, CPA	AAER-1298	09/06/2000
SEC v. Robert G. Herndon	LR-16710	09/19/2000
SEC v. Ronald R. Charnock, et.al.	AAER-1304	09/19/2000
In the Matter of Pier 1 Imports, Inc.	AAER-1303	09/19/2000
SEC v. Clifford E. Hotte, et.al.	AAER-1308	09/21/2000
In the Matter of Edward Cheramy	AAER-1307	09/22/2000

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
In the Matter of Rudy Wann	AAER-1306	09/22/2000
In the Matter of Acclaim Entertainment, Inc., et.al.	AAER-1309	09/26/2000
In the Matter of Centennial Technologies, Inc.	AAER-1311	09/26/2000
SEC v. James Murphy, et.al.	AAER-1310	09/26/2000
SEC v. Countryland Wellness Resorts, Inc., et.al.	LR-16732	09/27/2000
In the Matter of Cylink Corp.	AAER-1313	09/27/2000
In the Matter of Premier Laser Systems, Inc.	AAER-1314	09/27/2000
In the Matter of Countryland Wellness Resorts, Inc.	AAER-1316	09/27/2000
In the Matter of Craig Consumer Electronics, Inc.	AAER-1318	09/27/2000
In the Matter of Bonnie K. Metz	AAER-1317	09/27/2000
In the Matter of Isaac Hager	AAER-1319	09/27/2000
SEC v. Richard I. Berger, et.al.	LR-16731	09/27/2000
SEC v. Maurice B. Newman, et.al.	LR-16730	09/27/2000
SEC v. Michael L. Hiebert	LR-16729	09/27/2000
SEC v. John Daws, et.al.	LR-16728	09/27/2000
SEC v. Matthew R. Welch, et.al.	LR-16734	09/27/2000
In the Matter of YourBankOnline.com, et.al.	AAER-1315	09/27/2000
SEC v. Jay Gilbertson, et.al.	AAER-1329	09/28/2000
In the Matter of Drew Bergman, CPA	AAER-1321	09/29/2000
In the Matter of Luis E. Gomez, CPA	AAER-1322	09/29/2000
In the Matter of Donald C. Yount, CPA	AAER-1323	09/29/2000

Issuer Reporting: Other

SEC v. Charles S. Strauch, et.al.	AAER-1203	11/08/1999
SEC v. Econnect, et.al.	LR-16481	03/23/2000
SEC v. Tutor.net.com Group, Inc., et.al.	LR-16667	08/29/2000

Market Manipulation

SEC v. Arash Aziz-Golshani, et.al	LR-16391	12/15/1999
In the Matter of Ronald A. Martini	34-42275	12/27/1999
In the Matter of John F. LaSala	34-42276	12/27/1999
In the Matter of Brad Haddy, et.al.	34-42277	12/27/1999
In the Matter of Robert A. Schatz	34-42278	12/27/1999
In the Matter of H.J. Meyers & Co., Inc., et.al.	34-42393	02/07/2000
SEC v. David Abish, et.al.	LR-16429	02/09/2000
In the Matter of Frank J. Cannata	34-42416	02/11/2000
SEC v. Wellness Universe Corp., et.al.	LR-16439	02/16/2000
In the Matter of William J. Nordvik, et.al.	34-42445	02/22/2000
SEC v. Jon F. Williams, et.al.	LR-16449	02/24/2000

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
SEC v. Peter C. Lybrand, et.al.	LR-16448	02/24/2000
SEC v. James Sheret, et.al.	LR-16451	02/24/2000
In the Matter of Kenneth Terrell, et.al.	34-42483	03/02/2000
SEC v. Douglas W. Colt	LR-16461	03/02/2000
SEC v. Stephen B. Marek, et.al.	LR-16500	04/04/2000
SEC v. Enterprises Solutions, Inc., et.al.	LR-16506	04/06/2000
SEC v. Stephen C. Sayre, et.al.	LR-16509	04/08/2000
SEC v. Refael Shaoulian, et.al.	LR-16621	05/03/2000
In the Matter of Rafi M. Khan	34-42867	05/31/2000
In the Matter of Perter G. Mintz	34-42880	06/01/2000
SEC v. James F. Vigue, et.al.	AAER-1269	06/08/2000
In the Matter of Allen Z. Wolfson, et.al.	34-42940	06/14/2000
In the Matter of Salvatore Piazza, et.al.	34-42939	06/14/2000
SEC v. In Shig Ahn	LR-16595	06/15/2000
SEC v. Steve Madden	LR-16600	06/20/2000
In the Matter of Malcolm McGuiire III	34-42972	06/21/2000
In the Matter of Albinas Kurkulis	34-42976	06/23/2000
In the Matter of Reuben D. Peters	34-42977	06/23/2000
SEC v. John P. Venners	LR-16613	06/29/2000
In the Matter of Timothy J. Tyrrell	34-43018	07/10/2000
SEC v. Broadband Wireless International Corp., et.al.	LR-16651	08/11/2000
SEC v. Mark S. Jakob	LR-16671	08/31/2000
In the Matter of Platinum Equities, Inc., et.al.	34-43247	09/06/2000
SEC v. Donald Rutledge, et.al.	LR-16681	09/06/2000
SEC v. Thor Equity Group, LLC., et.al.	LR-16683	09/06/2000
SEC v. Gursel Mandaci	LR-16682	09/06/2000
SEC v. Lee E. Gahr, et.al.	LR-16688	09/06/2000
SEC v. Rajiv Vohra, et.al.	LR-16687	09/06/2000
SEC v. Michael A. Furr	LR-16686	09/06/2000
SEC v. Heartsoft, Inc., et.al.	LR-16685	09/06/2000
SEC v. Thomas Carter	LR-16679	09/06/2000
SEC v. Christopher P. Hastings, et.al.	LR-16684	09/06/2000
SEC v. Kenneth Steiner, et.al.	LR-16695	09/08/2000
SEC v. Jesse Hogan	LR-16704	09/14/2000
In the Matter of George E. Mahfouz, Jr.	34-43300	09/18/2000
In the Matter of Jonathan G. Lebed, et.al.	34-43307	09/20/2000
In the Matter of Charles T. Bennett	34-43375	09/28/2000

Miscellaneous Disclosure

SEC v. Patrick McCarthy	LR-16356	11/17/1999
SEC v. Leszek Zbierajewski	LR-16363	11/18/1999

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
SEC v. American Imaging, Inc., et.al.	LR-16744	03/09/2000
In the Matter of Genesis Trading, et.al.	34-42737	05/01/2000
SEC v. Stephen Hourmouzis, et.al.	LR-16532	05/01/2000
SEC v. Mark Malatesta, et.al.	LR-16537	05/04/2000
SEC v. Robert N. Rooks, et.al.	LR-16550	05/11/2000
In the Matter of Scott Eskew	34-43248	09/06/2000
In the Matter of CancerOption.com, Inc., et.al.	34-43246	09/06/2000

Miscellaneous Disclosure/Reporting

In the Matter of JMS Associates, Inc., et.al.	34-42149	11/17/1999
In the Matter of HDI, Inc., et.al.	34-42150	11/17/1999
SEC v. Fred Moldofsky	LR-16493	03/30/2000
In the Matter of Rita L. Schwartz	34-42684	04/13/2000
SEC v. Royal Pictures, Inc., et.al.	LR-16721	09/22/2000
SEC v. Source Energy Corp., et.al.	LR-16723	09/22/2000
In the Matter of E.ON AG	34-43372	09/28/2000
SEC v. Leah Industries, Inc., et.al.	AAER-1320	09/28/2000

Newsletter/Touting

SEC v. Thomas E. Loyd, et.al.	LR-16495	03/29/2000
SEC v. Mark Schultz	LR-16541	05/05/2000
SEC v. Jason M. Chester, et.al.	LR-16629	07/17/2000
SEC v. EquityAlert.com, Inc., et.al.	LR-16662	08/01/2000
SEC v. Merger Communications, Inc., et.al.	LR-16656	08/15/2000
In the Matter of John Black	33-7885	09/06/2000
SEC v. Torsten Prochnow, et.al.	LR-16680	09/06/2000

Offering Violations

SEC v. Golf Emporium Corp., et.al.	LR-16328	10/05/1999
SEC v. Debisys, Inc., et.al.	LR-16331	10/07/1999
In the Matter of Jeffrey S. Richman	34-41997	10/12/1999
SEC v. Mark Drucker, et.al.	LR-16335	10/15/1999
SEC v. Charles Richard Homa, et.al.	LR-16336	10/15/1999
In the Matter of Richard L. Davis	33-7756	10/20/1999
In the Matter of John R. Hoff	33-7757	10/20/1999
In the Matter of Louis Sitaras	33-7758	10/20/1999
SEC v. Kenneth Silverman	LR-16343	10/27/1999

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
SEC v. Fred Carter, et.al.	LR-16396	10/27/1999
SEC v. Yes Entertainment, LLC., et.al.	LR-16345	10/29/1999
In the Matter of Lawrence A. Petersen	34-42084	11/01/1999
In the Matter of Jamie T. Tsutsui	34-42085	11/01/1999
In the Matter of Michael W. Rehtorik	34-42097	11/04/1999
In the Matter of Lawrence J. Penna, et.al.	34-42106	11/04/1999
In the Matter of Jerry C. Berman	34-42107	11/04/1999
SEC v. Grant R. Curtis, et.al.	LR-16349	11/10/1999
SEC v. Oracle Trust Fund, et.al.	LR-16355	11/16/1999
SEC v. Credit Bancorp, Ltd., et.al.	LR-16358	11/17/1999
In the Matter of Minotaur Capital, Inc., et.al.	34-42155	11/18/1999
In the Matter of Windswept Environmental Group, Inc.	34-42165	11/22/1999
SEC v. World Financial & Investment Co., Inc., et.al.	LR-16368	11/23/1999
SEC v. Donald Barry Tamres	LR-16369	11/23/1999
SEC v. Cornerstone Prodigy Group, Inc., et.al.	LR-16371	11/24/1999
In the Matter of Thomas Gaeton Scalzo, Jr.	34-42196	12/02/1999
SEC v. Arthur Bruce Bahlav, et.al.	LR-16379	12/06/1999
In the Matter of Scott A. Rude	34-42206	12/07/1999
In the Matter of Richard J. Michael	34-42220	12/10/1999
In the Matter of Michael L. Pitts	34-42221	12/10/1999
SEC v. Currency Trading International, Inc., et.al.	LR-16401	01/06/2000
SEC v. Petro Resources Corp., et.al.	LR-16402	01/07/2000
SEC v. Chemical Trust, et.al.	LR-16416	01/07/2000
SEC v. Nancy J. Cheal, et.al.	LR-16424	01/31/2000
SEC v. David Shane Lewis, et.al.	LR-16421	01/31/2000
In the Matter of Thomas J. Parker, et.al.	34-42375	02/02/2000
In the Matter of Kevin James Quinn	34-42380	02/03/2000
In the Matter of Roy E. Matlock	34-42391	02/07/2000
SEC v. TAC International Limited, et.al.	LR-16428	02/07/2000
SEC v. E4Online.Com, Inc., et.al.	LR-16432	02/10/2000
SEC v. Christopher A. Lowry, et.al.	LR-16459	02/15/2000
SEC v. Aron O. Bronstein, et.al.	LR-16441	02/17/2000
SEC v. William Goren, et.al.	LR-16442	02/17/2000
In the Matter of Michael L. Kinney	34-42448	02/22/2000
SEC v. William H. Black, et.al.	LR-16455	02/25/2000
In the Matter of Joseph E. Stephenson, et.al.	33-7804	02/28/2000
In the Matter of Steven P. Erlich	34-42530	03/15/2000
In the Matter of Joseph J. Laferty	33-7811	03/15/2000
In the Matter of Paul A. Barrios	34-42531	03/15/2000
In the Matter of Vincent E. Serhan	34-42541	03/17/2000
In the Matter of David C. Erickson	34-42540	03/17/2000

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
SEC v. New World Web Vision.com, et.al.	LR-16498	03/23/2000
SEC v. Renaissance Capital Management, Inc., et.al.	AAER-1245	03/30/2000
In the Matter of Systems of Excellence, Inc.	34-42616	04/04/2000
SEC v. William J. Olivieri, et.al.	LR-16503	04/06/2000
SEC v. Alan Gibbons	LR-16526	04/12/2000
In the Matter of Louis G. Karabochos	34-42718	04/25/2000
SEC v. Frederick C. Brandau, et.al.	LR-16546	05/09/2000
SEC v. John Wayne Zidar, et.al.	LR-16548	05/10/2000
SEC v. Y2K Highway, Inc., et.al.	LR-16556	05/12/2000
SEC v. Ronald J. Mitchellette	LR-16553	05/15/2000
SEC v. William S. Cordo, et.al.	LR-16555	05/15/2000
In the Matter of Sandra L. Reeder	34-42788	05/16/2000
SEC v. Larry W. Ellis	LR-16560	05/17/2000
In the Matter of Arnold Zousmer	34-42809	05/23/2000
In the Matter of Brian Walfish	34-42856	05/30/2000
SEC v. Pacific Air Transport, Inc., et.al.	LR-16569	05/31/2000
SEC v. Tamarack Funding Corp., et.al.	LR-16571	05/31/2000
SEC v. Linda Ballou, et.al.	LR-16572	05/31/2000
SEC v. Claude Cossu	LR-16573	05/31/2000
SEC v. Tee To Green Golf Parks, Inc., et.al.	LR-16575	05/31/2000
SEC v. First Capital Services, Inc., et.al.	LR-16576	05/31/2000
SEC v. Kurtis Keith Lowe, et.al.	LR-16574	05/31/2000
SEC v. Westshore Agency of Michigan, Inc., et.al.	LR-16570	05/31/2000
SEC v. Gene Irving Garland, Jr., et.al.	LR-16582	05/31/2000
SEC v. Jamie P. Piromalli, et.al.	LR-16577	06/01/2000
SEC v. Skyline Group, Inc., et.al.	LR-16579	06/01/2000
In the Matter of David E. Trotter	34-42878	06/01/2000
In the Matter of Joseph A. Monaco	34-42877	06/01/2000
SEC v. SG Limited, et.al.	LR-16590	06/09/2000
In the Matter of City Investment Group, LLC, et.al.	34-42919	06/12/2000
In the Matter of Lambert D. Vander Tuig	34-42923	06/13/2000
In the Matter of Donald G. Brooks	34-42927	06/13/2000
SEC v. Diagnostic Professional Imaging Services, Inc., et.al.	LR-16589	06/14/2000
SEC v. Bruce M. Follick, et.al.	LR-16588	06/14/2000
In the Matter of Linda Ballou, et.al.	34-42955	06/19/2000
SEC v. Universe, Inc., et.al.	LR-16597	06/19/2000
SEC v. National Institute Companies of America, Inc., et.al.	LR-16605	06/22/2000
SEC v. Michael Batterman, et.al.	LR-16615	06/30/2000
SEC v. David J. Naughton, et.al.	LR-16624	07/12/2000
SEC v. Stadtt Media, L.L.C., et.al.	LR-16626	07/12/2000
In the Matter of Olawande A. Agunloye	34-43048	07/18/2000

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
In the Matter of Gerald Lee Pate	34-43058	07/20/2000
SEC v. First Choice Management Services, Inc., et.al.	LR-16635	07/26/2000
SEC v. Phillip Herman, et.al.	LR-16636	07/27/2000
SEC v. Phoenix Telecom, L.L.C., et.al.	LR-16642	08/02/2000
In the Matter of Universalscience.com, Inc., et.al.	33-7879	08/08/2000
SEC v. Elfindapan, S.A., et.al.	LR-16649	08/10/2000
SEC v. Kenneth R. Payne, et.al.	LR-16650	08/10/2000
SEC v. Texas American Group, Inc., et.al.	LR-16652	08/11/2000
SEC v. Precious Stones Trading Worldwide, Inc., et.al.	LR-16653	08/16/2000
SEC v. Le Club Prive S.A., et.al.	LR-16665	08/29/2000
SEC v. Ronald J. Goldberg	LR-16678	09/01/2000
SEC v. Houston Texans NFL Football Team Holding Co., et.al.	LR-16690	09/06/2000
In the Matter of Marvin Moses	34-43271	09/11/2000
In the Matter of David S. Darling	34-43278	09/11/2000
In the Matter of Otis Herring	34-43272	09/11/2000
In the Matter of BNB Capital, Inc., et.al.	34-43286	09/13/2000
SEC v. 1stBuy.com, Inc., et.al.	LR-16700	09/14/2000
SEC v. Bernard Taalib-Din Hasan, et.al.	LR-16699	09/14/2000
SEC v. Brycar Financial Corp., et.al.	LR-16713	09/19/2000
In the Matter James A. Skalko	34-43317	09/21/2000
In the Matter of E-Invest, Inc., et.al.	34-43315	09/21/2000
In the Matter of Dale Van Wyk	34-43335	09/25/2000
In the Matter of Richard J. Fulcher, et.al.	34-43373	09/28/2000
In the Matter of Stanley H. Van Etten	34-43379	09/28/2000
In the Matter of Todd Hansen	34-43385	09/29/2000
In the Matter of CGI Capital, Inc.	33-7904	09/29/2000
In the Matter of First Springfield Securities, Inc., et.al.	34-43393	09/29/2000
In the Matter of William J. Bosso	33-7905	09/29/2000
In the Matter of Hugh D. Cooper	33-7907	09/29/2000
In the Matter of Larry H. Weltman	33-7908	09/29/2000
In the Matter of Victor Caron	33-7906	09/29/2000
SEC v. Lawrence B. Irwin, et.al.	LR-16740	09/29/2000
SEC v. ETS Payphones, Inc., et.al.	LR-16760	09/29/2000
SEC v. Stephen V. Burns	NONE	09/29/2000

Other Regulated Entities - SRO's

In the Matter of Certain Activities of Options Exchanges, et.al.	34-43268	09/11/2000
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Transfer Agent

In the Matter of Alpha Tech Stock Transfer Trust, et.al.	34-43184	08/21/2000
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Table 3
 INVESTIGATIONS OF POSSIBLE VIOLATIONS OF THE ACTS
 ADMINISTERED BY THE COMMISSION

Pending as of October 1, 1999	1,966
Opened in Fiscal Year 2000	558
Total	2,524
Closed in Fiscal Year 2000	284
Pending as of September 30, 2000	2,240
Formal Orders of Investigation	
Issued in Fiscal Year 2000	345

Table 4
 ADMINISTRATIVE PROCEEDINGS INSTITUTED
 DURING FISCAL YEAR ENDING SEPTEMBER 30, 2000

Broker-dealer Proceedings	118
Investment Adviser, Investment Company and Transfer Agent Proceedings	49
Rule 102 Proceedings	33

Suspensions of Trading in Securities in Fiscal Year 2000	11

Table 5
INJUNCTIVE ACTIONS

Fiscal Year	Actions Initiated	Defendants Named
1990	186	557
1991	171	503
1992	156	487
1993	172	571
1994	197	620
1995	171	549
1996	180	588
1997	189	597
1998	214	745
1999	198	705
2000	223	745

Right to Financial Privacy

Section 21(h) of the Securities Exchange Act of 1934 [15 U.S.C. 78u(h)(6)] requires that the Commission “compile an annual tabulation of the occasions on which the Commission used each separate subparagraph or clause of [Section 21(h)(2)] or the provisions of the Right to Financial Privacy Act of 1978 [12 U.S.C. 3401-22 (the RFPA)] to obtain access to financial records of a customer and include it in its annual report to the Congress.” During the fiscal year, the Commission made no applications for judicial orders pursuant to Section 21(h)(2).

Corporate Reorganizations

During fiscal 2000, the Commission entered its appearance in 39 new reorganization cases filed under Chapter 11 of the Bankruptcy Code involving companies with approximately \$25 billion in assets and 125,000 public investors. Adding these new cases, the Commission was a party in a total of 143 Chapter 11 cases during the year, involving companies with approximately \$57.5 billion in assets and about 575,000 public investors. During the year, 32 cases were concluded through confirmation of a plan, dismissal, or liquidation, leaving 111 cases in which the Commission was a party at year-end.

Table 6
REORGANIZATION PROCEEDINGS UNDER CHAPTER 11
OF THE BANKRUPTCY CODE IN WHICH
THE SEC ENTERED APPEARANCE

Debtor	District		FY Opened	FY Closed
2Xtreme Performance	D.	CO	1999	
Acme Metals Incorporated	D.	DE	1999	
Action Auto Rental, Inc.	D.	OH	1993	
Advanced Gaming Tech., Inc. <u>1/</u>	D.	NV	1999	2000
Aileen, Inc.	S.D.	NY	1994	
Alliance Entertainment Corp.	D.	NY	1997	
American Microtel, Inc.	D.	NV	1995	
American Pad & Paper Co.	D.	DE	2000	
American Rice, Inc.	S.D.	TX	1998	
Apparel America, Inc.	S.D.	NY	1998	
APS Holdings, Inc.	D.	DE	1998	
Audre Recognition	S.D.	CA	1997	
Aquagenix, Inc. <u>2/</u>	D.	FL	2000	2000
Autoinfo, Inc.	S.D.	NY	2000	
Autolend Group, Inc.	D.	NM	1997	
Axiohm Transaction Solutions, Inc. <u>1/</u>	D.	DE	2000	2000

Table 6 (continued)
REORGANIZATION PROCEEDINGS UNDER CHAPTER 11
OF THE BANKRUPTCY CODE IN WHICH
THE SEC ENTERED APPEARANCE

Debtor	District	FY Opened	FY Closed
Baptist Foundation of Arizona	D. AZ	2000	
B-E Holdings, Inc.	E.D. WI	1994	
Ben Franklin Retail Stores, Inc.	N.D. IL	1996	
Bradlees, Inc.	S.D. NY	1996	
Brazos Sportswear, Inc.	D. DE	1999	
Breed Technologies	D. DE	1999	
Bruno's, Inc.	D. DE	1998	
Cable & Co. Worldwide, Inc.	S.D. NY	1998	
Carter Hawley Hale Stores, Inc.	C.D. CA	1991	
Casmyn Corporation <u>1/</u>	C.D. CA	2000	2000
Chimneyville Invest. Group, Inc.	S.D. MS	1998	
Circuit Systems, Inc.	N.D. IL	2000	
Cityscape Financial Corp.	S.D. NY	1999	
CML Group, Inc.	D. DE	1999	
Coho Energy, Inc.	N.D. TX	1999	
Concord Energy, Inc.	D. DE	1999	
Costilla Energy, Inc.	W.D. TX	1999	
County Seat Stores, Inc.	S.D. NY	1999	
Coyote Energy, Inc.	D. CO	1999	
Craig Consumer Electronics, Inc.	C.D. CA	1997	
CRIIMI MAE, Inc.	D. MD	1999	
Crowley, Milner & Co., <u>1/</u>	E.D. MI	1999	2000
Debbie Reynolds, Hotel & Casino, Inc. <u>1/</u>	D. NV	1998	2000
DeVlieg-Bullard, Inc.	N.D. OH	1999	
Diagnostic Health Services, Inc.	N.D. TX	2000	
Digital Technologies Media Group, Inc.	C.D. CA	1999	
Discovery Zone, Inc.	D. DE	1999	
Eagle Food Center, Inc.	D. DE	2000	

Table 6 (continued)
 REORGANIZATION PROCEEDINGS UNDER CHAPTER 11
 OF THE BANKRUPTCY CODE IN WHICH
 THE SEC ENTERED APPEARANCE

Debtor	District	FY Opened	FY Closed
Eagle Geophysical, Inc. <u>1/</u>	D. DE	2000	2000
ERLY Industries Inc.	S.D. TX	1999	
Excelsior-Henderson Motorcycle Manufacturing	D. MN	2000	
Factory Card Outlet, Inc.	D. DE	1999	
Flooring America, Inc.	N.D. GA	2000	
Fruit of the Loom, Ltd.	D. DE	2000	
FWT, Inc.	N.D. TX	1999	
Gander Mountain, Inc.	E.D. WI	1996	
Garden Botanika, Inc.	W.D. WA	1999	
Golf Communities of America, Inc. <u>1/</u>	M.D. FL	2000	2000
Graham-Field Health Prod., Inc.	D. DE	2000	
Great American Recreation, Inc.	D. NJ	1996	
Guy F. Atkinson Co. of Calif.	N.D. CA	1998	
Harnischfeger Industries	S.D. DE	1999	
HealthCor Holdings, Inc. <u>1/</u>	N.D. TX	1999	2000
Heilig-Meyers Company	E.D. VA	2000	
ICO Global Communications (Holdings) Limited	D. DE	1999	
Imagyn Medical Tech., Inc. <u>1/</u>	D. DE	1999	2000
Integrated Health Services, Inc.	D. DE	2000	
Intile Designs, Inc.	S.D. TX	1999	
JumboSports, Inc. <u>1/</u>	M.D. FL	1999	2000
KCS Energy, Inc.	D. DE	2000	
Key Plastics, LLC	E.D. MI	2000	
Kitty Hawk, Inc.	N.D. TX	2000	
Laclede Steel Co.	E.D. M	1999	
Lifeone, Inc.	W.D. LA	1998	
Livent, Inc.	S.D. NY	1999	
Loehmann's, Inc.	D. DE	1999	

Table 6 (continued)
REORGANIZATION PROCEEDINGS UNDER CHAPTER 11
OF THE BANKRUPTCY CODE IN WHICH
THE SEC ENTERED APPEARANCE

Debtor	District	FY Opened	FY Closed
Loewen Group, Inc.	D. DE	1999	
Main Street AC, Inc. <u>1/</u>	N.D. CA	1999	2000
Manhattan Bagel Co., Inc.	D. NJ	1998	
Mariner Post Acute Network, Inc.	D. DE	2000	
Marker International	D. DE	1999	
Martin Color-Fi, Inc. <u>1/</u>	D. SC	2000	2000
MCA Financial Corp. <u>1/</u>	E.D. MI	1999	2000
Media Vision Technology, Inc.	N.D. CA	1994	
Meris Laboratories, Inc. <u>1/</u>	C.D. CA	1999	2000
Michael Petroleum Corp.	W.D. TX	2000	
Molten Metal Technology, Inc.	D. MA	1998	
National Energy Group, Inc.	N.D. TX	1999	
Neuromedical Systems, Inc. <u>1/</u>	D. DE	2000	2000
Nu-Kote Holding, Inc.	M.D. TN	1999	
Omega Environmental, Inc.	W.D. WA	1997	
One-Stop Wireless of America, Inc. <u>1/</u>	C.D. CA	1999	2000
Organik Technologies, Inc.	C.D. CA	1999	
O.T.S. Holdings, Inc. <u>2/</u>	C.D. CA	1998	2000
Pacificamerica Money Center, Inc.	C.D. CA	2000	
Pacific Diagnostic Tech., Inc. <u>1/</u>	N.D. CA	1998	2000
Pacific Northwest Housing, Inc.	D. OR	1998	
Payless Cashways, Inc. <u>1/</u>	W.D. MO	1997	2000
PCA Industries, Inc.	E.D. WI	1997	
Penncorp Financial Group, Inc. <u>1/</u>	D. DE	2000	2000
Penn Pacific Corp.	E.D. OK	1994	
Philip Services, Inc.	D. DE	1999	
PHP Healthcare Corporation	D. DE	1999	
Physicians Resource Group, Inc.	N.D. TX	2000	

Table 6 (continued)
REORGANIZATION PROCEEDINGS UNDER CHAPTER 11
OF THE BANKRUPTCY CODE IN WHICH
THE SEC ENTERED APPEARANCE

Debtor	District	FY Opened	FY Closed
Ponder Industries	S.D. TX	1999	
Powertel USA, Inc. <u>3/</u>	D. NV	1998	2000
Purina Mills, Inc.	D. DE	2000	
RDM Sports Group, Inc.	N.D. GA	1997	
Recycling Industires, Inc.	D. CO	1999	
Reddie Brake Supply Co., Inc.	C.D. CA	1998	
Reliance Acceptance Corp. <u>1/</u>	D. DE	1998	2000
Roberds, Inc.	D. DE	2000	
Rymer Foods, Inc.	N.D. IL	1993	
Sabratek Corp.	D. DE	2000	
Safety-Kleen Corp.	D. DE	2000	
Salant Corporation	S.D. NY	1999	
Sierra-Rockies Corp.	C.D. CA	1998	
Sirena Apparel Group, Inc. <u>1/</u>	C.D. CA	1999	2000
SmarTalk Teleservices, Inc.	D. DE	1999	
Solv-ex Corp. <u>1/</u>	D. NM	1997	2000
Southern Mineral Co.	S.D. TX	2000	
Stage Stores, Inc.	S.D. TX	2000	
Sterling Optical Corp.	S.D. NY	1992	
Stone & Webster, Inc.	D. DE	2000	
StreamLogic Corp. <u>1/</u>	N.D. CA	1998	2000
Struthers Industries, Inc. <u>1/</u>	N.D. OK	1998	2000
Sun Healthcare Group, Inc.	D. DE	2000	
Sunterra Corp.	D. MD	2000	
Synchronys Softcorp.	C.D. CA	1999	
Telehub Communications	N.D. IL	2000	
Tradetech Americas, Inc.	N.D. IL	1998	
TransTexas Gas	S.D. TX	1999	

Table 6 (continued)
 REORGANIZATION PROCEEDINGS UNDER CHAPTER 11
 OF THE BANKRUPTCY CODE IN WHICH
 THE SEC ENTERED APPEARANCE

Debtor	District		FY Opened	FY Closed
United Companies Financial Corporation	D.	DE	1999	
United Petroleum Corporation ^{1/}	D.	DE	1999	2000
United States Leather, Inc. ^{1/}	E.D.	WI	1998	2000
United Video, Inc.	D.	DE	2000	
Universal Seismic Assoc., Inc.	S.D.	TX	1999	
Value Software, Inc.	D.	NV	1999	
Vencore, Inc.	D.	DE	1999	
Western Fidelity Funding, Inc. ^{2/}	D.	CO	1997	2000
Westmoreland Coal Co. ^{3/}	D.	CO	1997	2000
Winco Corp.	C.D.	CA	1998	
Wireless One, Inc. ^{1/}	D.	DE	2000	2000
Wiz Technology, Inc.	C.D.	CA	1998	
World Wide Direct	D.	DE	1999	
WRT Energy Corp.	W.D.	LA	1996	
Total Cases Opened (FY 2000)			39	
Total Cases Closed (FY 2000)				32

^{1/} Chapter 11 plan confirmed.
^{2/} Debtor liquidated under Chapter 7.
^{3/} Case dismissed.

Table 7
UNCONSOLIDATED FINANCIAL INFORMATION FOR BROKER-DEALERS
1995 – 1999 1/
(\$ in Millions)

	1995	1996	1997	1998 ^r	1999
Revenues					
Securities Commissions	\$ 23,214.8	\$ 27,865.6	\$ 32,662.2	\$ 36,695.9	\$ 45,937.4
Gains (Losses) in Trading and Investment Accounts	28,962.7	30,768.2	35,957.7	32,754.0	55,464.3
Profits (Losses) from Underwriting and Selling Groups	8,865.2	12,613.3	14,611.0	16,237.1	17,781.5
Margin Interest	6,470.2	7,386.0	10,630.4	12,732.5	15,246.7
Revenues from Sale of Investment Company Shares	7,433.5	10,081.1	12,422.1	14,845.0	16,687.6
All Other Revenues	68,467.6	83,697.2	100,961.2	121,699.9	115,692.0
Total Revenues	\$ 143,414.0	\$ 172,411.5	\$ 207,244.7	\$ 234,964.4	\$ 266,809.4
Expenses					
Registered Representatives' Compensation (Part II Only) 2/	\$ 15,526.5	\$ 18,734.2	\$ 22,132.0	\$ 24,974.1	\$ 29,048.7
Other Employee Compensation and Benefits	22,285.4	27,901.7	31,404.9	34,954.5	47,950.6
Compensation to Partners and Voting Stockholder Officers	3,729.3	4,396.7	5,020.6	5,098.0	4,737.7
Commissions and Clearance Paid to Other Brokers	5,700.2	7,364.2	8,864.1	10,326.5	13,488.3
Interest Expenses	56,877.0	64,698.5	80,659.4	98,095.4	87,508.3
Regulatory Fees and Expenses	674.1	672.9	828.5	896.3	1,040.8
All Other Expenses 2/	27,296.4	31,664.9	38,371.2	43,435.4	53,918.6
Total Expenses	\$ 132,088.9	\$ 155,433.0	\$ 187,280.7	\$ 217,780.2	\$ 237,693.1
Income and Profitability					
Pre-tax Income	\$ 11,325.1	\$ 16,978.5	\$ 19,964.0	\$ 17,184.2	\$ 29,116.3
Pre-tax Profit Margin	7.9%	9.8%	9.6%	7.3%	10.9%
Pre-tax Return on Equity	20.1%	27.3%	27.1%	19.4%	27.8%
Assets, Liabilities and Capital					
Total Assets	\$1,493,643.9	\$1,747,647.1	\$2,078,740.1	\$2,186,942.5	\$2,536,616.6
Liabilities					
(a) Unsubordinated Liabilities	1,403,655.1	1,645,303.5	1,949,026.3	2,037,162.4	2,363,222.6
(b) Subordinated Liabilities	31,279.2	36,577.4	47,877.6	54,447.1	59,425.0
(c) Total Liabilities	1,434,934.3	1,681,880.9	1,996,904.0	2,091,609.5	2,422,647.6
Ownership Equity	\$ 58,709.5	\$ 65,766.2	\$ 81,836.1	\$ 95,333.0	\$ 113,969.1
Number of Firms	7,722	7,774	7,796	7,685	7,461

Figures may not add due to rounding.

r = revised

1/ Calendar, rather than fiscal, year data is reported in this table.

2/ Registered representatives' compensation for firms that neither carry nor clear is included in "other expenses" as this expense item is not reported separately on Part IIA of the FOCUS Report.

Source: FOCUS Report

Table 8
 MARKET VALUE OF EQUITY/OPTIONS SALES ON U.S. EXCHANGES^{1/}
 (\$ in Thousands)

	Total Market Value	Stocks ^{2/}	Warrants	Rights	Equity Options		Non-Equity Options ^{3/}	
					Traded	Exercised		
All Registered Exchanges for Past Six Years								
Calendar Year:	1994	2,956,599,170	2,816,810,031	678,024	183,095	35,883,322	44,457,669	58,587,028
	1995	3,678,326,943	3,506,785,001	970,523	235,647	50,802,752	51,461,348	68,071,671
	1996	4,719,336,203	4,510,874,989	869,986	34,861	67,861,575	59,451,448	80,243,345
	1997	6,855,461,663	6,559,348,106	616,256	27,363	104,535,151	76,475,307	114,459,480
	1998	8,662,523,260	8,307,341,289	740,879	73,341	140,260,828	85,290,488	128,816,435
	1999	11,131,739,431	10,680,428,325	677,469	256,984	260,293,772	56,857,793	133,225,088
Breakdown of 1999 Data by Registered Exchanges								
All Registered Exchanges								
Exchanges:	AMEX	543,070,389	446,063,386	119,935	159,889	72,699,150	15,945,771	8,082,258
	BSE	218,338,237	218,338,237	0	0	0	0	0
	CHX	540,009,500	540,009,500	0	0	0	0	0
	CSE	113,147,889	113,147,889	0	0	0	0	0
	NYSE	9,087,458,456	9,086,808,586	552,890	96,980	0	0	0
	PSE	255,393,690	206,322,876	1,217	115	42,417,046	6,598,545	53,891
	PHLX	103,239,723	69,737,850	3,428	0	21,032,918	7,125,030	5,340,497
	CBOE	271,081,547	0	0	0	124,144,657	27,188,447	119,748,443

Figures may not sum due to rounding.

^{1/} Data on the value and volume of equity security sales is reported in connection with fees paid under Section 31 of the Securities Exchange Act of 1934 as amended by the Securities Acts Amendments of 1975. It covers odd-lot as well as round-lot transactions.

^{2/} Includes voting trust certificates, certificate of deposit for stocks, and American Depositary Receipts for stocks but excludes rights and warrants.

^{3/} Includes all exchange trades of call and put options in stock indices, interest rates, and foreign currencies.

Source: SEC Form R-31 and Options Clearing Corporation Statistical Report.

Table 9
VOLUME OF EQUITY/OPTIONS SALES ON U.S. SECURITIES EXCHANGES^{1/}
(in Thousands)

		Stocks ^{2/} (Shares)	Warrants (Units)	Rights (Units)	Equity Options		Non-Equity Options ^{2/} (Contracts)
					Traded (Contracts)	Exercised (Contracts)	
All Registered Exchanges for Past Six Years							
Calendar Year:	1994	90,481,798	171,462	133,343	149,933	10,544	131,448
	1995	106,392,534	405,123	271,999	174,380	11,779	112,917
	1996	125,746,598	136,314	39,666	199,117	12,446	95,680
	1997	159,712,233	87,153	57,288	272,999	15,901	80,824
	1998	206,425,002	66,041	329,502	329,642	17,603	76,701
	1999	244,137,857	52,485	30,610	444,765	12,219	63,126
Breakdown of 1999 Data by Registered Exchanges							
All Registered Exchanges							
Exchanges:	AMEX*	8,652,733	20,153	686	127,624	3,409	2,841
	BSE*	4,407,358	0	0	0	0	0
	CHX	14,387,251	0	0	0	0	0
	CSE*	2,340,650	0	0	0	0	0
	NYSE*	207,691,366	31,804	29,903	0	0	0
	PSE	4,909,136	467	21	75,771	1,795	30
	PHLX*	1,749,362	61	0	43,283	1,677	4,010
	CBOE*	0	0	0	198,087	5,339	56,245

Figures may not sum due to rounding.

* Data of those exchanges marked with asterisk covers transactions cleared during the calendar month; clearance usually occurs within five days of the execution of a trade. Data of other exchanges covers transactions effected on trade dates falling within the reporting month.

^{1/} Data on the value and volume of equity security sales is reported in connection with fees paid under Section 31 of the Securities Exchange Act of 1934 as amended by the Securities Acts Amendments of 1975. It covers odd-lot as well as round-lot transactions.

^{2/} Includes voting trust certificates, certificate of deposit for stocks, and American Depositary Receipts for stocks but excludes rights and warrants.

^{3/} Includes all exchange trades of call and put options in stock indices, interest rates, and foreign currencies.

Source: SEC Form R-31 and Options Clearing Corporation Statistical Report.

Table 10
 SHARE VOLUME BY EXCHANGES 1/
 (In Percentages)

Year	Total Share Volume (in Thousands)	NYSE	AMEX	CHX	PSE	PHLX	BSE	CSE	Others <u>2/</u>
1945	769,018	65.87	21.31	1.77	2.98	1.06	0.66	0.05	6.30
1950	893,320	76.32	13.54	2.16	3.11	0.97	0.65	0.09	3.16
1955	1,321,401	68.85	19.19	2.09	3.08	0.85	0.48	0.05	5.41
1960	1,441,120	68.47	22.27	2.20	3.11	0.88	0.38	0.04	2.65
1965	2,671,012	69.90	22.53	2.63	2.33	0.81	0.26	0.05	1.49
1970	4,834,887	71.28	19.03	3.16	3.68	1.63	0.51	0.02	0.69
1975	6,376,094	80.99	8.97	3.97	3.26	1.54	0.85	0.13	0.29
1980	15,587,986	79.94	10.78	3.84	2.80	1.54	0.57	0.32	0.21
1985	37,187,567	81.52	5.78	6.12	3.66	1.47	1.27	0.15	0.03
1990	53,746,087	81.86	6.23	4.68	3.16	1.82	1.71	0.53	0.01
1991	58,290,641	82.01	5.52	4.66	3.59	1.60	1.77	0.86	0.01
1992	65,705,037	81.34	5.74	4.62	3.19	1.72	1.57	1.83	0.01
1993	83,056,237	82.90	5.53	4.57	2.81	1.55	1.47	1.17	0.00
1994	90,786,603	84.55	4.96	3.88	2.37	1.42	1.39	1.42	0.01
1995	107,069,656	84.49	4.78	3.67	2.56	1.39	1.45	1.66	0.00
1996	125,922,577	85.95	4.29	3.37	2.40	1.28	1.29	1.42	0.00
1997	159,856,674	86.85	3.88	3.75	2.01	1.09	1.24	1.18	0.00
1998	206,820,545	86.67	3.71	4.57	1.92	0.79	1.52	0.82	0.00
1999	244,220,952	85.07	3.55	5.89	2.01	0.72	1.80	0.96	0.00

1/ Share volume for exchanges includes stocks, rights, and warrants; calendar, rather than fiscal, year data is reported in this table.

2/ Includes all exchanges not listed individually.

Source: SEC Form R-31

Table 11
DOLLAR VOLUME BY EXCHANGES 1/
(In Percentages)

Year	Total Dollar Volume (in Thousands)	NYSE	AMEX	CHX	PSE	PHLX	BSE	CSE	Others 2/
1945	\$ 16,284,552	82.75	0.81	2.00	1.78	0.96	1.16	0.06	0.48
1950	21,808,284	85.91	6.85	2.35	2.19	1.03	1.12	0.11	0.44
1955	38,039,107	86.31	6.98	2.44	1.90	1.03	0.78	0.09	0.47
1960	45,309,825	83.80	9.35	2.72	1.94	1.03	0.60	0.07	0.49
1965	89,549,093	81.78	9.91	3.44	2.43	1.12	0.42	0.08	0.82
1970	131,707,946	78.44	11.11	3.76	3.81	1.99	0.67	0.03	0.19
1975	157,256,676	85.20	3.67	4.64	3.26	1.73	1.19	0.17	0.14
1980	476,500,688	83.53	7.33	4.33	2.27	1.61	0.52	0.40	0.01
1985	1,200,127,848	85.25	2.23	6.59	3.06	1.49	1.20	0.18	0.00
1990	1,616,798,075	86.15	2.33	4.58	2.77	1.79	1.63	0.74	0.00
1991	1,778,154,074	86.20	2.31	4.34	3.05	1.54	1.72	0.83	0.01
1992	2,032,684,135	86.47	2.07	4.28	2.87	1.70	1.52	1.09	0.00
1993	2,610,504,390	87.21	2.08	4.10	2.38	1.52	1.35	1.37	0.00
1994	2,817,671,150	88.08	2.01	3.49	2.09	1.34	1.31	1.68	0.00
1995	3,507,991,171	87.71	2.10	3.26	2.24	1.27	1.43	1.99	0.00
1996	4,511,779,836	88.91	1.91	3.01	2.03	1.19	1.32	1.63	0.00
1997	6,559,991,725	89.13	2.13	3.25	1.87	1.01	1.23	1.38	0.00
1998	8,308,155,509	87.57	3.37	3.93	1.79	0.79	1.58	0.98	0.00
1999	10,681,362,778	85.08	4.18	5.06	1.93	0.65	2.04	1.06	0.00

1/ Dollar volume for exchanges includes stocks, rights, and warrants; calendar, rather than fiscal, year data is reported in this table.

2/ Includes all exchanges not listed individually.

Source: SEC Form R-31

Table 12
SECURITIES LISTED ON EXCHANGES^{1/}
December 31, 1999

EXCHANGE	COMMON		PREFERRED		BONDS		TOTAL SECURITIES	
	Number	Market Value (in Millions)	Number	Market Value (in Millions)	Number	Value ^{2/} (in Millions)	Number	Value (in Millions)
Registered:								
Domestic Securities								
American	784	78,246	66	4,259	76	19,520	926	102,026
Boston	83	5,045	0	0	0	0	83	5,045
Cincinnati	0	0	0	0	0	0	0	0
Chicago	10	292	0	0	0	0	10	292
New York	2,406	11,499,700	405	56,500	1,523	2,339,700	4,334	13,895,900
Pacific	28	563	6	106	0	0	34	669
Philadelphia	7	623	5	42	0	0	12	664
Total	3,318	11,584,469	482	60,907	1,599	2,359,220	5,399	14,004,596
Includes Foreign Stocks:								
New York	412	739,900	63	18,600	213	61,900	688	820,400
American	63	36,808	0	0	0	0	63	36,808
Boston	0	0	0	0	0	0	0	0
Chicago	0	0	0	0	0	0	0	0
Pacific	3	104	0	0	0	0	3	104
Philadelphia	0	0	0	0	0	0	0	0
Total	478	776,812	63	18,600	213	61,900	754	857,312

Figures may not sum due to rounding

^{1/} Excludes securities that were suspended from trading at the end of the year and securities that, because of inactivity, had no available quotes.

^{2/} Principal value for all exchanges, except Philadelphia (PHLX). PHLX could provide only market value. The American and New York exchanges no longer can provide market values for bonds.

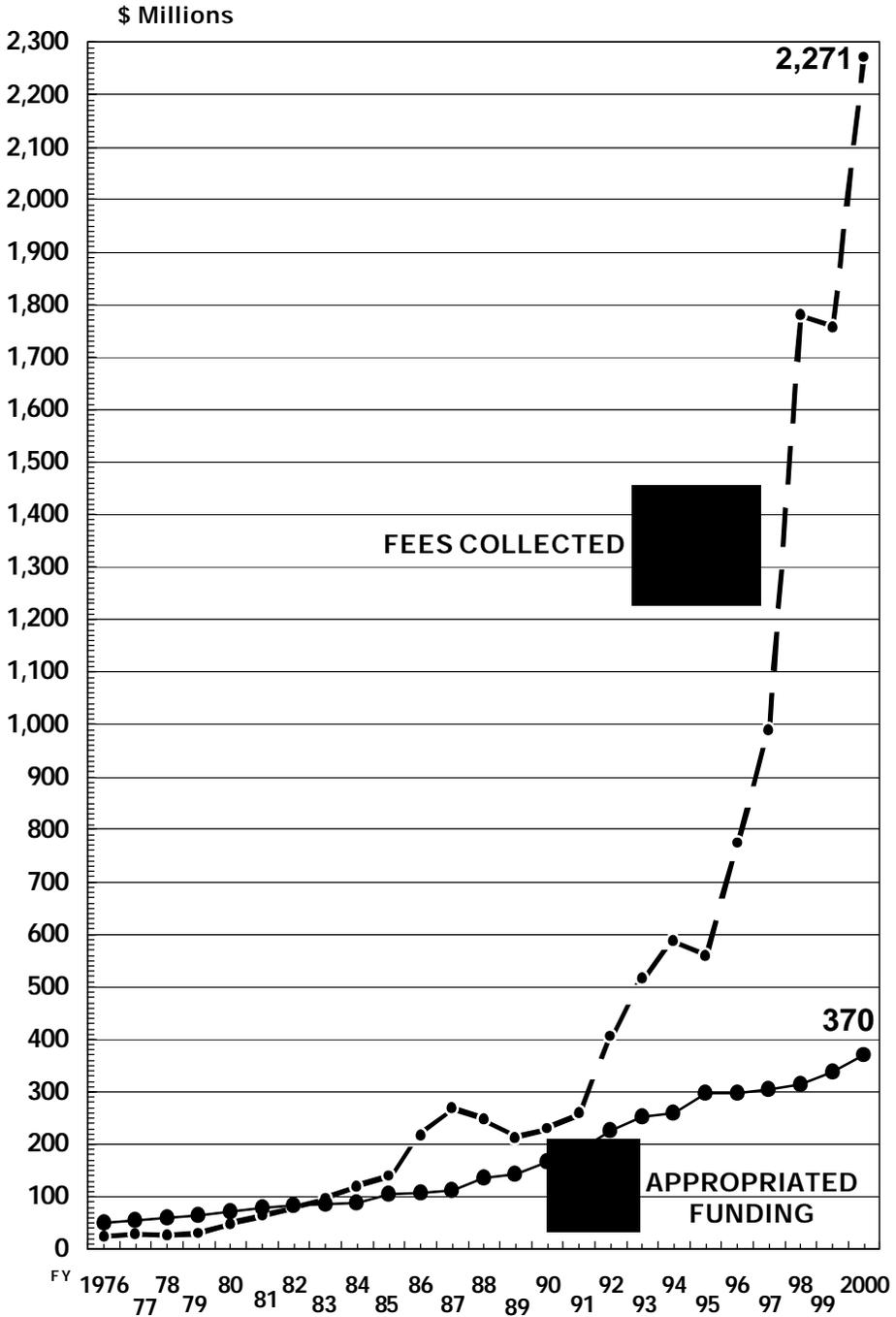
Source: SEC Form 1392

Table 13
 VALUE OF STOCKS LISTED ON EXCHANGES
 (\$ in Billions)

As of Dec 31	New York Stock Exchange	American Stock Exchange	Exclusively On Other Exchanges	Total
1940	\$ 46.5	\$ 10.1	\$	\$ 56.6
1945	73.8	14.4	88.2
1950	93.8	13.9	3.3	111.0
1955	207.7	27.1	4.0	238.8
1960	307.0	24.2	4.1	335.3
1965	537.5	30.9	4.7	573.1
1970	636.4	39.5	4.8	680.7
1975	685.1	29.3	4.3	718.7
1980	1,242.8	103.5	2.9	1,349.2
1985	1,882.7	63.2	5.9	1,951.8
1990	2,692.1	69.9	3.9	2,765.9
1991	3,547.5	90.3	4.3	3,642.1
1992	3,877.9	86.4	5.9	3,970.2
1993	4,314.9	98.1	7.2	4,420.2
1994	4,240.8	86.5	4.7	4,332.0
1995	5,755.5	113.3	6.8	5,875.6
1996	6,947.7	106.2	5.7	7,059.6
1997	9,413.1	131.3	3.6	9,548.0
1998r	10,384.8	149.7	4.7	10,539.2
1999	11,556.2	82.5	6.7	11,645.4

r=revised
 Source: SEC Form 1392

Table 14
 APPROPRIATED FUNDS vs FEES* COLLECTED



* Excludes disgorgements from fraud actions.

Table 15
BUDGET ESTIMATES AND APPROPRIATIONS

Action	Fiscal 1996 Positions	\$000	Fiscal 1997 Positions	\$000	Fiscal 1998 Positions	\$000	Fiscal 1999 Positions	\$000	Fiscal 2000 Positions	\$000
Estimate Submitted to the Office of Management and Budget	3,353	\$350,766	3,039	\$317,294	3,039	\$317,412	2,827	\$339,098	2,946	\$367,800
Action by the Office of Management and Budget Amount Allowed by the Office of Management and Budget	-57	-7,844	...	-9,105	+2,000	+197	-7,000
Action by the House of Representatives	3,296	342,922	3,039	\$308,189	3,039	317,412	2,827	341,098	3,143	360,800
Subtotal	-257	-45,517	...	-11,168	...	-2,412	...	-17,098	...	-36,800
Action by the Senate	3,039	297,405	3,039	297,021	3,039	315,000	2,827	324,000	3,143	324,000
Subtotal	+9,379	...	+2,412	+274	+17,098	...	+46,800
Action by Conferees	3,039	297,405	3,039	306,400	3,039	317,412	3,101	341,098	3,143	370,800
Annual Appropriation	-1,000	...	2,412	...	-11,098	+50	-3,000
Supplemental Appropriation	3,039	297,405	3,039	305,400	3,039	315,000	3,101	330,000	3,193	367,800
Sequestration / Other	...	-384	+8,175	...	+500
Use of prior year unobligated balances	...	+3,900	...	+5,700	...	+5,100 ^d	...	-458
Total Funding Level	3,039	300,921	3,039	311,100	3,039	320,100	3,101	356,074	3,235	382,400

1/ Represents spending authority for 3-year EDGAR modernization.
 2/ Includes \$1,450 for 3-year EDGAR modernization and \$3,857 from prior year recoveries.
 3/ Includes \$9,400 for 3-year EDGAR modernization and \$8,700 reprogramming.