

# SEC NEWS DIGEST

Issue 2001-198

October 15, 2001

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## COMMISSION ANNOUNCEMENTS

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### SEC NORTHEAST REGIONAL OFFICE REOPENS IN MANHATTAN

We are pleased to announce that our office in New York City officially reopened today in a new location in the heart of the city's financial district. Our original offices were destroyed during the tragic events of September 11.

The new home of our Northeast Regional Office is in the historic Woolworth Building (233 Broadway) in lower Manhattan. Our employees have worked from several locations since they all were safely evacuated prior to the collapse of 7 World Trade Center.

SEC Chairman Harvey L. Pitt and Commissioners Isaac C. Hunt and Laura S. Unger welcomed returning staffers to their new office. New York Stock Exchange Chairman Richard Grasso, Nasdaq CEO Hardwick Simmons, American Stock Exchange Chairman and CEO Salvatore Sodano, U.S. Attorney for the Southern District of New York Mary Jo White, Acting U.S. Attorney for the Eastern District of New York Alan Vinegrad, and Assistant U.S. Attorneys Robert Khuzami and Eric Corngold also attended the reopening.

We commend the State and City of New York, Governor George Pataki, Mayor Rudolph Giuliani, Con Edison and Verizon for their heroic efforts in reopening the markets and helping us become the first federal agency displaced by the September 11 terrorist attacks to relocate its staff permanently in the financial district. We are also extremely grateful to the U.S. Attorney's Offices in Brooklyn and Manhattan, which generously provided us with office space in the interim and gave us a home to oversee our recovery efforts.

But our highest accolades are reserved for our New York-based staff, who have continued to fulfill their responsibilities while diligently reconstructing records to ensure that no case or investigation will be lost because of the temporary disruption.

"By their efforts since the tragedy, and through their ongoing commitment to the protection of our capital markets and individual investors, the employees of our New York office have shown the world that we will not waver from our duties even in the face of the most enormous physical and emotional obstacles. We owe each of them a tremendous debt of gratitude; they are genuine heroes," Chairman Pitt said.

The Northeast Regional Office and its 334 employees will occupy five floors of the Woolworth Building. All of the office's major furniture, equipment, telephones and computer systems necessary to resume operations are already in place. The SEC signed a 10-year lease for the property on September 26. (Press Rel. 2001-112)

## **MUNICIPAL ROUNDTABLE RESCHEDULED**

Today the Commission's Office of Municipal Securities in the Division of Market Regulation announced that the Third Annual Municipal Market Roundtable has been rescheduled for November 14th from 9:00 am to 1:00 pm at the Association of the Bar of the City of New York, 42 West 44th Street New York, NY 10036. It was originally scheduled for October 18.

The agenda will cover two topics: (1) the benefits and deficiencies of the method for the collection and dissemination of secondary market information about municipal securities established by SEC Rule 15c2-12; and (2) how the collection and dissemination of secondary market information regarding municipal securities might be improved in the future by changes to Rule 15c2-12 or otherwise.

Information about the specific panels and panelists will be released in a few weeks. (Press Rel. 2001-113)

## **COMMISSION MEETINGS**

### **CHANGE IN THE MEETING: ADDITIONAL ITEMS**

The following items have been added to the closed meeting scheduled for Tuesday, October 16, 2001: Institution of injunctive actions; and Institution of an administrative proceeding of an enforcement nature.

At times, changes in Commission priorities require alterations in the scheduling of meeting items. For further information and to ascertain what, if any, matters have been added, deleted or postponed, please contact: The Office of the Secretary at (202) 942-7070.

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## **ENFORCEMENT PROCEEDINGS**

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**SEC BRINGS SETTLED SECURITIES FRAUD CASE AGAINST MILLENNIUM GROUP OF NEW YORK, LLC, ROMAN SULEYMANOV, ALEX ROVNER AND GENNADY FAVELYUKIS**

On October 11, the Commission instituted settled cease and desist proceedings against Millennium Group of New York, LLC, Roman Suleymanov, Alex Rovner and Gennady Favelyukis. The Commission's Order finds that Respondents violated the antifraud provisions of the federal securities laws by drafting and publishing materially false and misleading statements on the Internet concerning U.N. Dollars Corp. (UNDR) in January and February 2000, as part of a larger scheme to defraud investors and to create an artificial market for UNDR securities.

The Order finds that Respondents were responsible for publishing materially false and misleading research reports, which included a baseless price prediction, on several Internet stock-picking websites: Realstocks.com, StocksNetwork.com, and WinningStocks.com. Suleymanov and Rovner, who are two New York college students, own and operate Realstocks.com and the Millennium Group. StocksNetwork.com and WinningStocks.com are operated by Favelyukis, also a New York college student. The Order finds that, in January 2000, Millennium entered into a contract to tout UNDR and several other stocks, to publish a supporting research report on various Internet websites, and to send the research report to 100,000 e-mail subscribers. The Order further finds that in an effort to promote the stock, Respondents drafted and issued the reports without consulting any financial information concerning UNDR, which at the time had never traded above \$1.00, and that they falsely "upgraded" coverage of the stock to a "strong buy" and set a \$4.00 six-month price target for the stock.

In a related federal court action filed on October 11, the Commission has alleged that U.N. Dollars Corp., its former executives and Edward Durante engaged in a fraudulent scheme to manipulate the price of U.N. Dollars stock and sell unregistered securities.

The Commission found that Millennium Group, Suleymanov, Rovner, and Favelyukis each violated Section 17(a) of the Securities Act of 1933 and Section 10(b) of the Securities Exchange Act of 1934 and Rule 10b-5 thereunder. The Commission also ordered Respondents to cease and desist from committing or causing violations of these provisions, and required the Respondents to pay disgorgement and prejudgment interest totaling \$11,323.03. Respondents consented to the Order without admitting or denying the Commission's findings. (Rels. 33-8023, 34-44919; File No. 3-10618)

### **NORTH CAROLINA NOTE MARKETER CONSENTS TO ANTIFRAUD CHARGES FOR HIS ROLE IN \$314 MILLION PONZI SCHEME, ACCEPTS BAR FROM ASSOCIATION WITH ANY BROKER OR DEALER**

On October 12, the Commission entered an Order Instituting Public Administrative Proceedings Pursuant to Section 15(b) of the Securities Exchange Act of 1934, Making Findings and Imposing Remedial Sanctions (Order) against Joseph F. Denson, Jr. (Denson), of Durham, North Carolina for his role in a \$314 million Ponzi scheme involving at least 1000 investors. Without admitting or denying its findings except as to the Commission's jurisdiction, Denson consented to the entry of the Order, which bars him from associating with any broker or dealer.

The \$314 million Ponzi scheme in which Denson was involved is one of the largest Ponzi schemes that the Commission has pursued. The Commission filed a complaint against Denson charging that he participated in the Ponzi scheme controlled by Charles Richard Homa and Michael Gause and acted as an unregistered broker from approximately February 1998 to October 1999. [SEC v. Homa, et al., 99 C 6895 (N.D.Ill.)] Denson, as part of an extensive sales network developed by Homa and Gause, offered and sold securities, in the form of promissory notes issued by Rolls Royce, Ltd. and Morningstar, Ltd., which purported to provide returns through investments in the car title and payday loan business. Denson raised at least \$61.2 million from investors. The investment funds raised in the scheme were not used in the car title or payday loan business, but rather were used to make interest payments to existing investors, to pay marketer commissions, and for personal expenditures of Homa and Gause. Denson made misrepresentations and omissions of material fact concerning the use of investor funds and failed to disclose the source of the interest payments and that the receivables purportedly securing certain offerings were insufficient security. On November 20, 2000, in SEC v. Homa, the U.S. District Court for the Northern District of Illinois issued an order enjoining Denson from violations of Section 17(a) of the Securities Act of 1933 and Sections 10(b), 15(a), and 15(c) of the Exchange Act and Rules 10b-5 and 15c1-2 promulgated thereunder. (Rel. 34-44925; File No. 3-10619)

**GEORGIA NOTE AND BOND MARKETER CONSENTS TO ANTIFRAUD CHARGES FOR HIS ROLE IN \$314 MILLION PONZI SCHEME, ACCEPTS BAR FROM ASSOCIATION WITH ANY BROKER OR DEALER**

On October 12, the Commission entered an Order Instituting Public Administrative Proceedings Pursuant to Section 15(b) of the Securities Exchange Act of 1934, Making Findings and Imposing Remedial Sanctions (Order) against Philip A. Sharpton (Sharpton) for his role in a \$314 million Ponzi scheme involving at least 1000 investors. Without admitting or denying its findings except as to the Commission's jurisdiction and the fact that Sharpton was acting as an unregistered broker-dealer between April 1998 and October 1999, Sharpton consented to the entry of the Order, which bars him from associating with any broker or dealer.

The \$314 million Ponzi scheme in which Sharpton was involved is one of the largest Ponzi schemes that the Commission has pursued. The Commission filed a complaint against Sharpton charging that he participated in the Ponzi scheme controlled by Charles Richard Homa and Michael Gause from approximately April 1998 to October 1999. [SEC v. Homa, et al., 99 C 6895 (N.D.Ill.)] Sharpton, as part of an extensive sales network developed by Homa and Gause, offered and sold securities, in the form of promissory notes issued by Bellwether Holdings, LLC and bonds issued by Southwestern Holdings, LLC and Title Holdings, LLC, which purported to provide returns through investments in the car title and payday loan business. Sharpton raised at least \$19 million from investors. The investment funds raised in the scheme were not used in the car title or payday loan business, but rather were used to make interest payments to existing investors, to pay marketer commissions, and for personal expenditures of Homa and

Gause. Sharpton made misrepresentations and omissions of material fact concerning the use of investor funds and failed to disclose the source of the interest payments and that the receivables purportedly securing certain offerings were insufficient security. On March 8, 2000, in SEC v. Homa, the U.S. District Court for the Northern District of Illinois issued an order enjoining Sharpton from violations of Section 17(a) of the Securities Act of 1933 and Sections 10(b), 15(a), and 15(c) of the Exchange Act and Rules 10b-5 and 15c1-2 promulgated thereunder. (Rel. 34-44926; File No. 3-10620)

## **NEW ZEALAND BUSINESSMAN, ERIC WATSON, SETTLES COMMISSION ENFORCEMENT ACTION**

On October 15, the Commission issued an order instituting public cease and desist proceedings against Eric John Watson, a New Zealand citizen, finding that he misled U.S. Office Products (USOP) in connection with USOP's 1997 acquisition of McCollam Printers, Ltd., a New Zealand business supply company. The Commission's Order finds that Watson, while acting as USOP's chief negotiator in its dealings with McCollam, was at the same time buying McCollam stock for his own benefit, and failed to disclose this material fact to USOP. Watson's failure to disclose this fact had the effect of defrauding USOP and its shareholders.

In its Order, the Commission specifically finds that during 1996 and 1997 Watson was the CEO of Blue Star Group, Ltd., a New Zealand wholly-owned subsidiary of USOP. He also held the title of President of USOP's International Division. Blue Star was the corporate vehicle through which USOP acquired a number of Australasian companies, including McCollam Printers. Watson first identified McCollam to USOP as a potential acquisition target and, in later negotiations to acquire McCollam, Watson acted as the chief negotiator on behalf of USOP. However, unbeknownst to USOP, Watson had previously purchased McCollam stock and, during the course of the negotiations, Watson and two associates continued to buy McCollam stock. All told, from October 1996 through May 1997, Watson and his associates purchased more than 2 million McCollam shares using corporate nominee accounts, including foreign accounts. After USOP, through Blue Star, publicly announced its offer to purchase McCollam on May 16, 1997, Watson and his associates sold their entire position in McCollam stock, making profits of NZ\$533,446.10. At no time prior to the consummation of the acquisition did Watson disclose to USOP his purchases or sales of McCollam stock.

The Commission's Order finds that even though Watson is a New Zealand citizen and his purchases and sales of McCollam stock occurred in New Zealand, Watson engaged in conduct that had the effect of defrauding USOP and its shareholders. As set forth in the Order, "[t]he Commission will hold accountable all violators of the U.S. federal securities laws, including foreign entities and individuals, when their actions adversely impact U.S. issuers and shareholders."

Without admitting or denying the Commission's findings, Watson consented to the issuance of the Commission's Order, which requires him to cease and desist from

violating the antifraud provisions contained within Section 10(b) of the Securities Exchange Act of 1934 and Rule 10b-5 thereunder. The Commission wishes to thank the New Zealand Securities Commission for its cooperation and assistance in this matter. (Rel. 34-44934; File No. 3-10621)

## **SEC SETTLES CASE AGAINST WIRELESS CABLE DEFENDANTS**

The Commission announced that on September 11, 2001, the Honorable Henry H. Kennedy Jr., United States District Judge for the District of Columbia, entered Final Judgments against Shreveport Wireless Cable Television Partnership (Shreveport), Complete Communications Corporation (Complete), The Estate of Joseph S. Steingold (Steingold), Stuart Weingarden, Champion Communications Corporation (Champion), B.R. Cable Communications Corporation (B.R. Cable), Samuel Abrams, and Wireless Cable Television of Shreveport Limited Liability Company (Wireless).

Without admitting or denying the Commission's allegations, Steingold, Champion, B.R. Cable, Complete, and Wireless consented to the entry of a judgment that permanently enjoins Champion, B.R. Cable, Complete, and Wireless from violating Sections 5(a) and 5(c) of the Securities Act of 1933 ("Securities Act"). Under the judgment, Steingold, Champion, B.R. Cable, Complete, and Shreveport are jointly and severally liable for \$24,737,830.78 in disgorgement and \$16,589,573.39 in prejudgment interest. In addition, Champion, B.R. Cable, Complete and Wireless are each required to pay a civil penalty in the amount of \$100,000.

Without admitting or denying the Commission's allegations, Weingarden also consented to the entry of a judgment prohibiting future violations of Sections 5(a) and 5(c) of the Securities Act. The judgment requires Weingarden to pay disgorgement in the amount of \$447,337.88, plus pre-judgment interest of \$261,354.66, but waives payment of such monies based on Weingarden's sworn financial statements.

Without admitting or denying the Commission's allegations, Abrams also consented to the entry of a judgment prohibiting future violations of Sections 5(a) and 5(c) of the Securities Act. The judgment requires Abrams to pay disgorgement in the amount of \$154,000, plus pre-judgment interest thereon in the amount of \$93,619.72, but waives payment of such monies based upon Abrams' sworn financial statements.

The Commission's Amended Complaint, filed January 11, 1995, alleged the following: that Joseph S. Steingold, Champion, B.R. Cable, Complete, Wireless, Weingarden, and Abrams were engaged in a fraudulent scheme to offer and sell unregistered securities to investors throughout the United States. The Amended Complaint more specifically alleges that Joseph S. Steingold, Weingarden, and Champion raised over \$10 million through the nationwide sale of 700 units of Reading Wireless Cable Television Partnership; that Joseph S. Steingold, Weingarden and B.R. Cable raised over \$17.7 million through the nationwide sale of 1,200 unites of Baton Rouge Limited Liability Corporation; and that Joseph S. Steingold, Shreveport, Complete, Abrams, and Wireless

attempted to raise over \$12.5 million through the nationwide sale of 840 Shreveport Partnership units. The securities involved purported to be general partnership units or limited liability units, when in fact they were unregistered securities.

For information about related matters, see Lit. Rel. No. 14695 (October 19, 1995). [SEC v. Shreveport Wireless Cable Television Partnership, Complete Communications Corporation, The Estate of Joseph S. Steingold, Stuart Weingarden, Champion Communications Corporation, B.R. Cable Communications Corporation, Samuel Abrams, Wireless Cable Television of Shreveport Limited Liability Company, CA. No. 94-1781, D.D.C. HHK/DAR] (LR-17185)

## **CALIFORNIA EX-FELON PLEADS GUILTY IN FRAUDULENT INVESTMENT SCHEME**

On October 10, an Orange County man pled guilty to federal criminal charges arising out of a fraudulent prime bank investment scheme. Scott Yoshizumi, age 40, of Fullerton, California, pled guilty to charges of securities fraud, mail fraud, wire fraud, and money laundering based on his ownership and control of Concord Capital, Inc., of Cerritos and La Palma, California.

The United States Attorney for the Central District of California prosecuted Yoshizumi for operating a fraudulent "Ponzi" scheme that offered fictitious investments to individuals throughout the United States. As part of his guilty plea, Yoshizumi admitted that he defrauded over 100 investors of more than \$17 million. Yoshizumi admitted that he spent this money on personal expenses, such as houses and luxury cars. Yoshizumi further admitted lying to investors about his personal background. Yoshizumi told investors that he was a legitimate businessman with significant experience in the financial world. In fact, Yoshizumi had two previous federal criminal convictions for investment fraud, had previously filed for personal bankruptcy, and had none of the professional or educational credentials that he bragged about to investors.

United States District Judge Audrey B. Collins accepted Yoshizumi's guilty plea and set the matter for sentencing on January 7, 2002. Under the terms of the plea agreement filed with the Court, the government and Yoshizumi have jointly recommended that Yoshizumi be sentenced to 96 months in federal prison.

In November 2000, the Securities and Exchange Commission filed an emergency civil action against Yoshizumi, Concord Capital, and others alleging fraud in the offer and sale of this investment. The Commission's civil action is pending in federal court. See Litigation Release 16809, November 24, 2000. [SEC v. Concord Capital Enterprise, dba Concord Capital Inc., Scott Yoshizumi, Ann Ta, and Dionisia Pappas, Case No. SA CV 00-1131 AMS (EEx) (C.D. Cal.)]; [U.S. v. Scott K. Yoshizumi, Case No. CR 01-344 ABC (C.D. Cal.)] (LR-17186)

## **INVESTMENT COMPANY ACT RELEASES**

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### **THE VICTORY PORTFOLIOS, ET AL.**

An order has been issued on an application filed by The Victory Portfolios, et al. under Section 17(b) of the Investment Company Act granting an exemption from Section 17(a) of the Act. The order permits certain series of a registered open-end management investment company to acquire all of the assets and substantially all of the liabilities of certain other series of the same registered open-end management investment company. Because of certain affiliations, applicants may not rely on Rule 17a-8 under the Act. (Rel. IC-25207 – October 11)

### **CCM ADVISORS FUNDS, ET AL.**

A notice has been issued giving interested persons until October 31 to request a hearing on an application filed by CCM Advisors Funds, et al., for an order under Section 6(c) of the Investment Company Act exempting applicants from Section 15(a) of the Act and Rule 18f-2 under the Act. The order would permit applicants to enter into and materially amend subadvisory agreements without shareholder approval and grant relief from certain disclosure requirements. (Rel. IC-25208 – October 11)

### **AMERICAN INTERNATIONAL GROUP, INC., ET AL.**

A notice has been issued giving interested persons until November 6, 2001, to request a hearing on an application filed by American International Group, Inc., et al. for an order exempting applicants from Section 17(a) of the Investment Company Act. The order would permit certain series of registered open-end management investment companies to acquire all of the assets and liabilities of certain series of another registered open-end management investment company. Because of certain affiliations, applicants may not rely on Rule 17a-8 under the Act. (Rel. IC-25209 – October 12)

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## **HOLDING COMPANY ACT RELEASES**

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

A supplemental order has been issued authorizing a proposal by Conectiv, a registered holding company, and its public-utility subsidiary companies, Atlantic City Electric Company (ACE) and Delmarva Power & Light Company (DPL), for an extension of time to complete a previously authorized transaction. By order dated December 28, 2000 (HCAR No. 27324) (Order) the Commission authorized ACE and DPL to sell a 7.51 percent ownership interest in the Peach Bottom Atomic Power Station Units 2 and 3, located in York County, Pennsylvania, by June 30, 2001. This supplemental order extends the Order to December 31, 2001. (Rel. 35-27452)

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## SELF-REGULATORY ORGANIZATIONS

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### ACCELERATED APPROVAL OF PROPOSED RULE CHANGE

The Commission granted accelerated approval to a proposed rule change (SR-PHLX-00-75) and Amendment No. 1 submitted by the Philadelphia Stock Exchange that, among other things, modifies the rebalancing procedures for TheStreet.com Internet Index (Index) and changes the name of the Index to TheStreet.com Internet Sector Index. Publication of the order is expected in the Federal Register during the week of October 15. (Rel. 34-44920)

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### SIGNIFICANT NO-ACTION EXEMPTIVE AND INTERPRETIVE LETTERS

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The following is a list of significant no-action, exemptive and interpretative letters recently issued by the Division of Market Regulation. These letters express the view of the Division respecting novel or important questions arising under the Securities Act of 1933, the Securities Exchange Act of 1934, the Trust Indenture Act of 1939, the Investment Company Act of 1940, and the Investment Advisers Act of 1940. Copies of these letters may be obtained by writing to the Public Reference Room, U.S. Securities and Exchange Commission, Washington, D.C. 20549, or by making a request in person at the Public Reference Room, 450 Fifth Street, N.W., Room 1024, Washington, D.C., stating the name of the subject company, the Act and the Section of the Act to which it relates and the public availability date.

Significant interpretive, exemptive, or no-action letters issued by the Division of Market Regulation for the period July 1, 2001 through September 30, 2001:

<u>Company</u>	<u>Act/Sect./Rule</u>	<u>Date</u>
Deutsche Banc Alex. Brown, Inc.	1934 Act Rule 10b-10	07/10/01
North Carolina State Education Assistance Authority (Parental Savings Trust Fund)	1934 Act Sections 3(d), 15(b) 15(B)	09/28/01

<u>Company</u>	<u>Act/Sect./Rule</u>	<u>Date</u>
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County Sanitation Districts of Los Angeles County	1934 Act Sections 15(a), 15(b)	09/27/01
Securities Industry Association	1934 Act Section 15(c)(3)	07/13/01
Securities Industry Association	1934 Act Section 15(c)(3)	07/13/01
NASD Small Firm Advisory Board	1934 Act Rule 11Ac1-6	09/21/01
Securities Industry Association	1934 Act Rule 11Ac1-6	09/21/01
Nasdaq	1934 Act Rule 11Ac1-5	09/21/01
Digital Assurance Certification L.L.C.	1934 Act Rule 15c2-12	09/21/01
Tyson Foods Inc.	1934 Act Regulation M – Rule 102	09/24/01

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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		
ACCENTURE LTD						X	X				10/11/01	
ADELPHIA COMMUNICATIONS CORP	DE					X	X				09/28/01	
ADVANCE HOLDING CORP	VA					X	X				10/11/01	
ADVANCE STORES CO INC	VA					X	X				10/12/01	
AGRILINK FOODS INC	NY					X					10/12/01	
ALLIED PRODUCTS CORP /DE/	DE					X	X				10/09/01	
AMERICAN BIO MEDICA CORP	NY					X	X				10/12/01	
AMERICAN HONDA RECEIVABLES CORP	CA					X	X				10/17/01	
AMERICAN TECHNOLOGY CORP /DE/	DE					X	X				10/12/01	
AMERICREDIT AUTOMOBILE RECEIVABLES TRUST 2000-D	DE					X	X				10/10/01	
AMERICREDIT AUTOMOBILE RECEIVABLES TRUST 2000-1	DE					X	X				10/10/01	
AMERICREDIT AUTOMOBILE RECEIVABLES TRUST 2001-A	DE					X	X				10/10/01	
AMERICREDIT AUTOMOBILE RECEIVABLES TRUST 2001-B						X	X				10/10/01	
AMERICREDIT AUTOMOBILE RECEIVABLES TRUST 2001-1	DE					X	X				10/10/01	
APO HEALTH INC /NV/	NV				X	X					10/12/01	
ARIAD PHARMACEUTICALS INC	DE						X	X			10/12/01	
AT HOME CORP	DE		X			X	X		X		09/25/01	
AT&T WIRELESS SERVICES INC	DE					X	X				10/12/01	
AUTODESK INC	DE		X				X				08/20/01	AMEND
AVALON CABLE HOLDINGS FINANCE INC	DE					X	X				10/09/01	
AVALON CABLE LLC	DE					X	X				10/09/01	
AVON PRODUCTS INC	NY					X					10/12/01	
AVONDALE INC	GA					X	X				10/12/01	
BRISTOL MYERS SQUIBB CO	DE		X				X				10/01/01	
BROWN & BROWN INC	FL					X					09/30/01	
CALPINE CORP	DE					X	X				10/11/01	
CAPITAL BANK CORP	NC					X	X				10/05/01	
CARBITE GOLF INC						X	X				10/11/01	
CARECENTRIC INC	DE		X				X				10/12/01	
CARNEGIE FINANCIAL CORP /PA/	PA					X	X				10/10/01	
CATERPILLAR INC	DE					X					10/11/01	
CENTRAL BANCORP INC /MA/	MA					X	X				10/11/01	
CHARTER ONE FINANCIAL INC	DE								X		10/12/01	
CHASE FUNDING INC	NY					X	X				09/27/01	
CHRISTOPHER & BANKS CORP	DE								X		10/09/01	
CHURCH & DWIGHT CO INC /DE/	DE		X				X				09/28/01	
CIMNET INC/PA	DE				X		X				10/04/01	

NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		



INTERNATIONAL MERCANTILE CORP	MO		X		X				08/10/01			
KLEVER MARKETING INC	DE							X	09/27/01			
LANDMARK MERGER CO	DE							X	10/12/01			
LECSTAR CORP	TX	X						X	09/29/01			
LIBERTY MEDIA CORP /DE/	DE				X			X	10/10/01			
MARKLAND TECHNOLOGIES INC	FL	X	X		X			X	06/21/01	AMEND		
MAXUS REALTY TRUST INC	MO		X						09/27/01			
MBNA AMERICA BANK NATIONAL ASSOCIAT ION	DE				X			X	09/30/01			
MBNA AMERICA BANK NATIONAL ASSOCIAT ION	DE				X			X	09/30/01			
MBNA AMERICA BK NAT ASSOC MBNA MAST ER CREDIT CARD TRUST II					X			X	09/30/01			
MBNA AMERICA BK NAT ASSOC MBNA MAST ER CREDIT CARD TRUST II					X			X	09/30/01			
MBNA CORP	MD				X				09/30/01			
MBNA CREDIT CARD MASTER NOTE TRUST					X			X	09/30/01			
MERRILL LYNCH & CO INC	DE							X	10/12/01			
MICRO THERAPEUTICS INC	DE				X			X	09/14/01			
MICROSTRATEGY INC	DE							X	10/11/01			
MICROVISION INC	WA				X			X	10/10/01			
MORTGAGE PASS THROUGH CERTIFICATES SERIES 2001 12	DE				X			X	09/25/01			
MULTINET INTERNATIONAL CORP INC	NV	X							10/12/01			
NATIONAL BANCSHARES CORP OF TEXAS	TX							X	10/12/01			
NETWORK 1 SECURITY SOLUTIONS INC	DE				X			X	10/02/01			
NEW COMMERCE BANCORP	SC				X			X	10/01/01	AMEND		
NEWCOR INC	DE				X			X	10/05/01			
NOLAND CO	VA				X			X	10/12/01			
NORTHEAST UTILITIES SYSTEM	MA							X	10/11/01			
NORTHWESTERN CORP	DE							X	10/10/01			
NQL INC	DE				X			X	10/10/01			
ORLANDO PREDATORS ENTERTAINMENT INC	FL				X				09/30/01			
PACIFIC CENTURY FINANCIAL CORP	DE				X				10/03/01			
PAYCHEX INC	DE							X	10/11/01			
PAYCHEX INC	DE							X	10/11/01			
PEGASUS COMMUNICATIONS CORP /								X	08/02/01			
PENNICHUCK CORP	NH				X			X	10/05/01			
PETER KIEWIT SONS INC /DE/	DE							X	10/10/01			
POLLUTION RESEARCH & CONTROL CORP / CA/	CA	X			X	X	X		10/12/01			
PRIMEDIA INC	DE							X	10/12/01			
PRIMESOURCE CORP	PA	X							10/09/01			
PRO FAC COOPERATIVE INC	NY				X				10/12/01			
PROQUEST CO	DE		X					X	09/21/01			
PUBLIC SERVICE CO OF NEW HAMPSHIRE	NH							X	10/11/01			
PUGET ENERGY INC /WA	WA							X	10/12/01			
PUGET SOUND ENERGY INC	WA							X	10/12/01			
QUESTAR MARKET RESOURCES INC	UT							X	10/12/01			
REGENERON PHARMACEUTICALS INC	NY							X	10/12/01			
RELIABLE POWER SYSTEMS INC	CO	X							10/05/01			
RENAISSANCE MEDIA CAPITAL CORP	DE							X	10/09/01			
	STATE								8K ITEM NO.			
NAME OF ISSUER	CODE	1	2	3	4	5	6	7	8	9	DATE	COMMENT

RENAISSANCE MEDIA GROUP LLC	DE		X	X	10/09/01	
RENAISSANCE MEDIA LOUISIANA LLC	DE		X	X	10/09/01	
RENAISSANCE MEDIA TENNESSEE LLC	DE		X	X	10/09/01	
RHOMBIC CORP	NV			X	10/11/01	
RMH TELESERVICES INC	PA		X	X	09/28/01	
SARNIA CORP	VA	X			09/30/01	
SECURITY FINANCIAL BANCORP INC	DE		X	X	10/10/01	
SIGA TECHNOLOGIES INC	DE			X	09/19/01	AMEND
SILVERADO GOLD MINES LTD	AI		X	X	10/09/01	
SIMON TRANSPORTATION SERVICES INC	NV		X		10/10/01	
SPSS INC	DE		X	X	09/28/01	
STAAR SURGICAL COMPANY	DE		X	X	10/10/01	
STANDARD AUTOMOTIVE CORP	DE		X	X	10/09/01	
STOCKWALK GROUP INC /MN/	MN	X X	X		10/02/01	
STRUCTURED ASSET SEC CORP MORT PASS	DE		X	X	09/26/01	
THR CERT SER 2001 15A						
STRUCTURED ASSET SEC CORP MORT PASS	DE		X	X	09/25/01	
THR CERT SER 2001-10A						
SUN HYDRAULICS CORP	FL		X	X	10/10/01	
SUPER VISION INTERNATIONAL INC	DE		X	X	10/08/01	
SUPERIOR NATIONAL INSURANCE GROUP I	DE	X		X	10/12/01	
NC						
TARANTELLA INC	CA		X	X	10/12/01	
TEAM COMMUNICATIONS GROUP INC	CA	X		X X	10/08/01	
THERMO ELECTRON CORP	DE		X	X	10/11/01	
TRADEQWEST INC	DE			X	07/31/01	AMEND
TRANSWORLD HEALTHCARE INC	NY	X		X	09/27/01	
TYSON FOODS INC	DE	X		X	08/04/01	AMEND
U S PLASTIC LUMBER CORP	NV		X	X	09/28/01	
ULTRASTRIP SYSTEMS INC	FL		X	X	10/12/01	
UNITED DOMINION REALTY TRUST INC	VA			X X	10/10/01	
USA VIDEO INTERACTIVE CORP	WY		X	X	10/09/01	
USA VIDEO INTERACTIVE CORP	WY		X	X	10/10/01	
USX CORP	DE		X	X	10/12/01	
VIANT CORP	CA		X		10/12/01	
VIRAGEN EUROPE LTD	DE	X		X	09/28/01	
VIRAGEN INC	DE	X		X	09/28/01	
VORNADO REALTY LP	DE		X	X	09/21/01	
VORNADO REALTY TRUST	MD		X	X	09/21/01	
WALT DISNEY CO/	DE		X	X	10/03/01	AMEND
WESTERN MASSACHUSETTS ELECTRIC CO	MA			X	10/11/01	
WILLBROS GROUP INC	R1		X	X	10/12/01	
WILLIAMS COMMUNICATIONS GROUP INC	DE		X		10/09/01	
WORLD WIDE WIRELESS COMMUNICATIONS			X	X	10/01/01	
INC						
XCEL ENERGY INC	MN		X	X	10/11/01	
XEROX CORP	NY		X		10/12/01	
YAMAHA MOTOR RECEIVABLES CORP	DE		X		10/15/01	