

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. Schlusell | 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 |
|-------------------------------------|----------|------------|

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 |

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|--|-----------------------|-------------------|
| 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 |
|--|----------|------------|

Transfer Agent

| | | |
|--|----------|------------|
| In the Matter of Alpha Tech Stock Transfer Trust, et.al. | 34-43184 | 08/21/2000 |
|--|----------|------------|

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).