

NASD

National Association of Securities Dealers, Inc.
1735 K St., N.W. • Washington, D.C. 20006 • (202) 728-8000

notice to members 84-8

February 3, 1984

TO: ALL NASD MEMBERS

RE: Southeast Securities of Florida
Five Marineview Plaza, Suite 106
Hoboken, New Jersey 07030

ATTN: Operations Officer, Cashier, Fail-Control Department

On January 31, 1984, the United States District Court for the District of New Jersey appointed a Temporary Receiver for the above captioned firm.

Court order permits firm to settle open contracts with other broker-dealers. All inquiries regarding the firm should be directed to the Temporary Receiver, as noted below:

Temporary Receiver

David J. Sheehan, Esquire
Crummy, Del Deo, Dolan & Purcell
Gateway 1
Newark, New Jersey 07102
Telephone: (201) 622-2235

NASD

National Association of Securities Dealers, Inc.
1735 K St., N.W. • Washington, D.C. 20006 • (202) 728-8000

notice to members 84-9

February 3, 1984

TO: ALL NASD MEMBERS

RE: California Municipal Investors, Inc.
6380 Wilshire Boulevard, Ste. 1600
Los Angeles, California 90048

ATTN: Operations Officer, Cashier, Fail-Control Department

On January 31, 1984, the United States District Court for the Central District of California appointed a SIPC trustee for the above captioned firm.

Members may use the "immediate close-out" procedures as provided in Section 59(i) of the NASD's Uniform Practice Code to close-out open OTC contracts. Also, MSRB Rule G-12 (h)(iv) provides that members may use the above procedures to close-out transactions in municipal securities.

Questions regarding the firm should be directed to:

SIPC Trustee

Theodore B. Stolman, Esquire
Stutman, Treister & Glatt
3701 Wilshire Boulevard
Los Angeles, California 90010
Telephone: (213) 659-2700



National Association of Securities Dealers, Inc.
 1735 K St., N.W. • Washington, D.C. 20006 • (202) 728-8000

notice to members 84-10

February 3, 1984

TO: All NASD Members and Municipal Securities Bank Dealers
 ATTN: All Operations Personnel
 RE: Holiday Settlement Schedule - February, 1984

The schedule of trade dates/settlement dates below reflects the observance by the financial community of Lincoln's Birthday, Monday, February 13, and Washington's Birthday, Monday, February 20. On Monday, February 13, the NASDAQ System and the exchange markets will be open for trading. However, it will not be a settlement date since many of the nation's banking institutions will be closed in observance of Lincoln's Birthday. All securities markets will be closed on Monday, February 20, in observance of Washington's Birthday.

Trade Date-Settlement Date Schedule
For "Regular-Way" Transactions

<u>Trade Date</u>		<u>Settlement Date</u>		<u>*Regulation T Date</u>	
February	3	February	10	February	14
	6		14		15
	7		15		16
	8		16		17
	9		17		21
	10		21		22
	13		21		23
	14		22		24
	15		23		27
	16		24		28
	17		27		29
	20	Markets Closed			—
	21		28	March	1

* Pursuant to Section 4(c)(2) of Regulation T of the Federal Reserve Board, a broker-dealer must promptly cancel or otherwise liquidate a customer purchase transaction in a cash account if full payment is not received within seven (7) business days of the date of purchase or, pursuant to Section 4(c)(6), make application to extend the time period specified. The date by which members must take such action is shown in the column entitled "Regulation T Date."

It should be noted that February 13 is considered a business day for receiving customers' payments under Regulation T of the Federal Reserve Board.

Transactions made on Monday, February 13 will be combined with transactions made on the previous business day, February 10, for settlement on February 21. Securities will not be quoted ex-dividend and settlements, marks to the market, reclamations, buy-ins and sell-outs, as provided in the Uniform Practice Code, will not be made and/or exercised on February 13.

The above settlement dates should be used by broker-dealers and municipal securities dealers for purposes of clearing and settling transactions pursuant to the Association's Uniform Practice Code and Municipal Securities Rulemaking Board Rule G-12 on Uniform Practice.

Questions concerning this notice should be directed to the Uniform Practice Department at (212) 839-6256.

* * *

NASD

National Association of Securities Dealers, Inc.
1735 K St. N.W. • Washington, D.C. 20006 • (202) 728-8000

notice to members 84-11

February 3, 1984

TO: All NASD Members

RE: Gattini & Co.
74 Trinity Place
New York, New York

ATTN: Operations Officer, Cashier, Fail-Control Department

On February 1, 1984, the United States District Court for the Southern District of New York appointed a SIPC trustee for the above captioned firm.

Members may use the "immediate close-out" procedures as provided in Section 59(i) of the NASD's Uniform Practice Code to close-out open OTC contracts. Also, MSRB Rule G-12 (h)(iv) provides that members may use the above procedures to close-out transactions in municipal securities.

Questions regarding the firm should be directed to:

SIPC Trustee

William J. Rochelle, III
Skadden, Arps, Slate, Meagher & Flom
919 Third Avenue
New York, New York 10022
Telephone: (212) 371-6000

NASD

National Association of Securities Dealers, Inc.
1735 K St., N.W. • Washington, D.C. 20006 • (202) 728-8000

notice to members 84-12

February 8, 1984

TO: All NASD Members and Other Interested Persons

RE: Quarterly Checklist of Notices to Members

Following is a list of NASD Notices to Members issued during the second quarter of 1983. Requests for copies of any notice should be accompanied by a self-addressed label and may be directed to: NASD Administrative Services, 1735 K Street, N.W., Washington, D.C. 20006.

Notice Number	Date	Topic
83-52	October 6, 1983	Group Surety Bond Buying Program
83-53	October 18, 1983	Quarterly Checklist of Notices to Members
83-54	October 18, 1983	16 Securities Mandated to Join NMS on November 8, 1983
83-55	October 20, 1983	Amendments to Association By-Laws
83-56	October 25, 1983	Fidelity Bonds - Definition of "Employee"; Expiration of Grace Period
83-57	October 26, 1983	Trade Date - Settlement Date Schedule for Election Day and Veterans Day
83-58	October 27, 1983	SEC Rule Change Relating to Foreign Securities in NASDAQ

83-59	October 27, 1983	Pilot Ends - Expansion of ITS/CAES Linkage - Open to All Rule 19c-3 Securities - AT&T Divestiture
83-60	November 4, 1983	National Market System to Expand to 635 Issues November 22
83-61	November 4, 1983	Holiday Schedule for Remainder of 1983
83-62	November 18, 1983	American Telephone and Telegraph Company (AT&T) Divestiture (sent only to firms that conduct a general securities or municipal securities business for which the NASD is the designated examining authority pursuant to SEC Rule 17d-1).
83-63	November 22, 1983	1984 Schedule of Holidays
83-64	November 22, 1983	Implementation of the Revised Direct Participation Programs Principal Examination (Series 39)
83-65	November 22, 1983	Due Diligence and Certification Requirements with Respect to Taxpayer Identification Numbers and Backup Withholding
83-66	November 30, 1983	51 Securities to Voluntarily Join NMS on Tuesday, December 20
83-67	December 8, 1983	Proposed Amendments to the Corporate Financing Rule; Proposed Amendments to Section 26 of the Rules of Fair Practice
83-68	December 12, 1983	Amendments to the Free-Riding and Withholding Interpretation
83-69	December 16, 1983	Amendments to the Uniform Practice Code to Extend Applicability of the Code to Secondary Market Transactions in Unit Investment Trust Securities
83-70	December 16, 1983	Automatic Money Market Fund Redemptions
83-71	December 20, 1983	SIPC Trustee Appointed for Hanover Square Securities Group Inc., New York, N. Y.

83-72	December 20, 1983	Request for Comments on Proposed Amendment to Schedule C to the By-Laws
83-73	December 28, 1983	SEC Adopts Rule 15c-2 Governing Binding Arbitration Clauses in Customer Agreements
83-74	December 30, 1983	Mail Vote - Proposed Amendments to Article III, Section 19 of the Rules of Fair Practice, "Customers' Securities or Funds"

* * *



National Association of Securities Dealers, Inc.
1735 K St., N.W. • Washington, D.C. 20006 • (202) 728-8000

notice to members 84-13

February 10, 1984

TO: All NASD Members
Attention: Registration and Trading Departments

RE: PLATO Learning Center Shutdown March 3-11; Extensions of Qualification Examination Expiration Dates

Control Data Corporation will be shutting down its PLATO computer system from Saturday, March 3rd, to Sunday, March 11th, to effect major hardware consolidations. To minimize scheduling problems during the period surrounding the shutdown, the NASD is extending the PLATO expiration dates of candidate enrollments expiring the week prior to, the week of and the two weeks after the shutdown. A conversion schedule of the old and new expiration dates is published below. Accordingly, we urge candidates with expiration dates during this period to make Learning Center appointments as soon as possible in keeping with the conversion schedule.

Old Expiration Date	Extended Expiration Date
February 27 through March 5	March 26
March 6 through March 12	April 2
March 13 through March 19	April 9
March 20 through March 25	April 16

Questions regarding these extended dates may be directed to CRD Communications at (202) 728-8800.

* * * *

NASD

National Association of Securities Dealers, Inc.
1735 K St., N.W. • Washington, D.C. 20006 • (202) 728-8000

notice to members 84-14

February 15, 1984

TO: All NASD Members

RE: Southeast Securities of Florida, Inc.
Five Marineview Plaza, Suite 106
Hoboken, New Jersey 07030

ATTN: Operations Officer, Cashier, Fail-Control Department

On February 13, 1984, the United States District Court for the District of New Jersey appointed a SIPC Trustee for the above captioned firm. Previously, a temporary receiver had been appointed for the firm on January 31, 1984.

Members may use the "immediate close-out" procedures as provided in Section 59(i) of the NASD's Uniform Practice Code to close-out open OTC contracts. Also, MSRB Rule G-12(h)(iv) provides that members may use the above procedures to close-out transactions in municipal securities.

Questions regarding the firm should be directed to:

SIPC Trustee

David J. Sheehan, Esquire
Crummy, Del Deo, Dolan & Purcell
Gateway 1
Newark, New Jersey 07102
Telephone: (201) 622-2235

NASD

National Association of Securities Dealers, Inc.
1735 K St., N.W. • Washington, D.C. 20006 • (202) 728-8000

notice to members 84-15

February 28, 1984

TO: All NASD Members and Level 2 and Level 3 Subscribers
RE: National Market System Grows to 834 Securities With 50 Additions on March 20

On Tuesday, March 20, the National Market System will include 834 securities as 50 more NASDAQ securities are phased into the System. These 50 securities meet the SEC's voluntary designation criteria, which include six-month average trading volume of 100,000 shares a month and a minimum bid price of \$5.

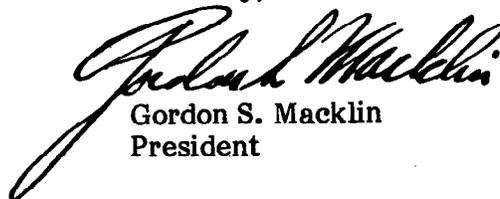
The 50 securities scheduled to join NMS on March 20 are:

SYMBOL	COMPANY	HEADQUARTERS
ACAL	AirCal Inc.	Newport Beach, CA
ALGH	Allegheny & Western Energy Corporation	Charleston, WV
ALNT	Allnet Communications Services, Inc.	Chicago, IL
AMPH	American Physicians Service Group, Inc.	Dallas, TX
AMTR	AmeriTrust Corporation	Cleveland, OH
BATM	Baird Corporation	Bedford, MA
BOLT	Bolt Technology Corporation	Norwalk, CT
BBRC	Burr-Brown Corporation	Tucson, AZ
CRAB	Capt. Crab's Take-Away, Inc.	Miami, FL
CFCC	Carteret Savings & Loan Association, F.A.	Newark, NJ
CMCA	Comerica Incorporated	Detroit, MI
CCPLS	Consolidated Capital Realty Investors	Emeryville, CA
DDII	Digital Datacom, Inc.	Laguna Niguel, CA
FILTZ	Filtertek Companies (The) (Paired Common)	Hebron, IL
FFMC	First Financial Management Corporation	Atlanta, GA
FMDB	First Maryland Bancorp	Baltimore, MD
FOOD	First National Supermarkets, Inc.	Maple Heights, OH
FTEN	First Tennessee National Corporation	Memphis, TN
FBNC	Florida Coast Banks, Inc.	Pompano Beach, FL
FDLNA	Food Lion, Inc. (Cl. A)	Salisbury, NC
FDLNB	Food Lion, Inc. (Cl. B)	Salisbury, NC
FTHLA	Foothill Group, Inc. (The) (Cl. A)	Los Angeles, CA

SYMBOL	COMPANY	HEADQUARTERS
GEMC GLEN	Geriatric & Medical Centers, Inc. Glendale Federal Savings & Loan Association	Philadelphia, PA Glendale, CA
GILD	Guilford Industries, Inc.	Guilford, ME
STUH HMAZ	Hall (Stuart) Company, Inc. Home Federal Savings and Loan Association	Kansas City, MO Tucson, AZ
LADF LANE LIBN LFTM	Ladd Furniture, Inc. Lane Company, Incorporated (The) Liberty National Corporation Lifetime Communities, Inc.	High Point, NC Altavista, VA Oklahoma City, OK Jacksonville, FL
MINVS MMPI MOLX	MIW Investors of Washington Marquest Medical Products, Inc. Molex Incorporated	Washington, DC Englewood, CO Lisle, IL
PKOH PNTA POWL	Park-Ohio Industries, Inc. Pentair, Inc. Powell Industries, Inc.	Cleveland, OH St. Paul, MN Houston, TX
RDKN	Redken Laboratories, Inc.	Canoga Park, CA
SLON SMLI SUMH SNRSA	Sloan Technology Corporation Space Microwave Laboratories, Inc. Summit Health Ltd. Sunrise Savings & Loan Association of Florida	Santa Barbara, CA Santa Rosa, CA Studio City, CA Lake Worth, FL
TBCC	TBC Corporation	Memphis, TN
UTRK UOIL UNFF	U.S. Truck Lines, Inc. of Delaware Unioil United First Federal Savings & Loan Association	Cleveland, OH Glendale, CA Sarasota, FL
VSEC VFOX	VSE Corporation Vicon Fiber Optics Corp.	Alexandria, VA Pelham Manor, NY
WMOR WISE	Westmoreland Coal Company Wiser Oil Company (The)	Philadelphia, PA Sisterville, WV

Any questions regarding this notice should be directed to Donald Botic, Assistant Director, NASDAQ Operations, at (202) 728-8043. Questions pertaining to trade reporting rules should be directed to Steve Hickman at (202) 728-8202.

Sincerely,


Gordon S. Macklin
President

Notice to members 84-16

NOT AVAILABLE AT THIS TIME

NASD

National Association of Securities Dealers, Inc.
1735 K St., N.W. • Washington, D.C. 20006 • (202) 728-8000

notice to members 84-17

March 13, 1984

IMPORTANT

OFFICERS, PARTNERS AND PROPRIETORS

TO: All NASD Members and Interested Persons
RE: Amendment to Association's Rules of Fair Practice

LAST VOTING DATE IS APRIL 13, 1984

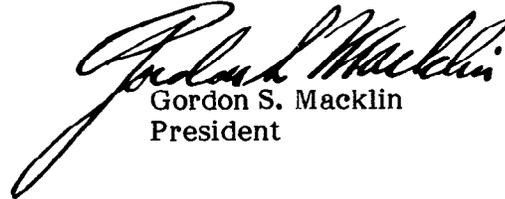
Attached is a proposed amendment to Article V, Section 1 of the Association's Rules of Fair Practice which has been approved by the Board of Governors for submission to the membership for a vote.

The proposed amendment to Article V, Section 1 of the Rules of Fair Practice would increase from \$5,000 to \$15,000 the maximum fine which may be assessed upon any member or person associated with a member. The proposed amendment is the result of a recommendation from the District Business Conduct Committees that the present \$5,000 monetary limitation inhibits their ability to adequately redress violations of the Rules of Fair Practice. The present ceiling on fines of \$5,000 was imposed as a result of a 1969 amendment to the Rules of Fair Practice. In the fifteen years since its adoption, however, the impact of a fine up to \$5,000 has been eroded significantly by inflation.

Please mark the ballot according to your convictions and return it in the enclosed stamped envelope to "The Corporation Trust Company." Ballots must be postmarked not later than April 13, 1984.

The Board of Governors believes this amendment to the Rules of Fair Practice is necessary and appropriate to enable the District Business Conduct Committees and the Board of Governors to take appropriate remedial action. It is, therefore, recommended that members vote their approval.

Sincerely,



Gordon S. Macklin
President

Attachments

ARTICLE V

Penalties

Penalties for Violation of the Rules

Sec. 1. Any District Business Conduct Committee, or the Board of Governors, in the administration and enforcement of these Rules, and after compliance with the Code of Procedure, may (1) censure any member or persons associated with a member and/or (2) impose a fine not in excess of ~~Five Thousand Dollars (\$5,000.00)~~ Fifteen Thousand Dollars (\$15,000.00) upon any member or person associated with a member and/or (3) suspend the membership of any member or suspend the registration of a person associated with a member, if any, for a definite period, and/or (4) expel any member or revoke the registration of any person associated with a member, if any, and/or (5) suspend or bar a member or person associated with a member from association with all members, or (6) impose any other fitting penalty deemed appropriate under the circumstances, for each or any violation of any of these Rules by a member or person associated with a member or for any neglect or refusal to comply with any orders, directions or decisions issued by any District Business Conduct Committee or by the Board of Governors in the enforcement of these Rules, including any interpretative ruling made by the Board of Governors, as any such Committee or Board, in its discretion, may deem to be just; provided, however, that no such penalty imposed by any District Business Conduct Committee shall take effect until the period for appeal therefrom or review has expired, as provided in Section 14 of the Code of Procedure; and provided, further, that all parties to any proceeding resulting in a penalty shall be deemed to have assented to or to have acquiesced in the imposition of such penalty unless any party aggrieved thereby shall have made application to the Board of Governors for review pursuant to the Code of Procedure, within fifteen (15) days after the date of such notice.



National Association of Securities Dealers, Inc.
 1735 K St., N.W. • Washington, D.C. 20006 • (202) 728-8000

notice to members 84-18

March 16, 1984

TO: All NASD Members and Municipal Securities Bank Dealers

ATTN: All Operations Personnel

RE: Holiday Settlement Schedule

Securities markets and the NASDAQ System will be closed on Good Friday, April 20, 1984. "Regular Way" transactions made on the business days immediately preceding that day will be subject to the following schedule.

Trade Date-Settlement Date Schedule
For "Regular-Way" Transactions

<u>Trade Date</u>		<u>Settlement Date</u>		<u>Regulation T Date*</u>	
April	13	April	23	April	25
	16		24		26
	17		25		27
	18		26		30
	19		27	May	1
	20	Markets Closed			—
	23		30		2

The foregoing settlement dates should be used by broker-dealers, and municipal securities dealers for purposes of clearing and settling transactions pursuant to the Association's Uniform Practice Code and Municipal Securities Rulemaking Board Rule G-12 on Uniform Practice.

Questions regarding the application of these settlement dates to a particular situation may be directed to the Uniform Practice Department of the NASD at (212) 839-6255.

* * *

* Pursuant to Section 4(c)(2) of Regulation T of the Federal Reserve Board, a broker-dealer must promptly cancel or otherwise liquidate a customer purchase transaction in a cash account if full payment is not received within seven (7) business days of the date of purchase or, pursuant to Section 4(c)(6), make application to extend the time period specified. The date by which members must take such action is shown in the column entitled "Regulation T Date."

NASD

National Association of Securities Dealers, Inc.
1735 K St., N.W. • Washington, D.C. 20006 • (202) 728-8000

notice to members 84-19

March 16, 1984

TO: All NASD Members

RE: MV Securities, Inc.
11 Broadway, 17th Floor
New York, New York

ATTN: Operations Officer, Cashier, Fail-Control Department

On March 14, 1984, the United States District Court for the Southern District of New York appointed a SIPC Trustee for the above captioned firm.

Members may use the "immediate close-out" procedures as provided in Section 59(i) of the NASD's Uniform Practice Code to close-out open OTC contracts. Also, MSRB Rule G-12(h)(iv) provides that members may use the above procedures to close-out transactions in municipal securities.

Questions regarding the firm should be directed to:

SIPC Trustee

Lee S. Richards III, Esquire
Grais & Richards
44 Wall Street, Suite 1100
New York, New York 10005
Telephone: (212) 514-9000

NASD

National Association of Securities Dealers, Inc.
1735 K St., N.W. • Washington, D.C. 20006 • (202) 728-8000

notice to members 84-20

March 28, 1984

TO: All NASD Members and Level 2 and Level 3 Subscribers

RE: National Market System Grows to 881 Securities With 50 Additions on April 17

On Tuesday, April 17, the National Market System will include 881 securities as 50 more NASDAQ securities are phased into the System. These 50 securities meet the SEC's voluntary designation criteria, which include six-month average trading volume of 100,000 shares a month and a minimum bid price of \$5.

The 50 securities scheduled to join NMS on April 17 are:

SYMBOL	COMPANY	HEADQUARTERS
ALFN	Alfin Fragrances, Inc.	New York, NY
AMCC	American Continental Corporation	Phoenix, AZ
ABIO	Applied Biosystems, Inc.	Foster City, CA
ACIS	Applied Communications, Inc.	Omaha, NE
SOLR	Applied Solar Energy Corporation	City of Industry, CA
SOLRW	Applied Solar Energy Corporation (Wts)	City of Industry, CA
ATLF	Atlantic Financial Federal	Bala Cynwd, PA
BDSY	Baron Data Systems	San Leandro, CA
BAYL	Bayly Corp.	Englewood, CO
CNON	Cannon Group, Incorporated	Hollywood, CA
CDTX	Chad Therapeutics Inc.	Woodland Hills, CA
CHSI	Continental Healthcare Systems Inc.	Overland Park, KS
DPWR	Datapower, Inc.	Santa Ana, CA
ELBTF	Elbit Computers Ltd.	Haifa, Israel
ELRNF	Elron Electronic Industries, Ltd.	Haifa, Israel
EFAC	Energy Factors, Incorporated	San Diego, CA
ETRE	Entre Computer Centers, Inc.	Vienna, VA
EQUA	Equatorial Communications Company	Mountain View, CA
FEGP	Federated Group, Inc. (The)	City of Commerce, CA
FORF	Fortune Financial Group, Inc.	Clearwater, FL

SYMBOL	COMPANY	HEADQUARTERS
GTAC GULL	Green Tree Acceptance, Inc. GULL, Inc.	Minneapolis, MN Smithtown, NY
HABE HDCO HRLY HYPX	Haber, Inc. Hadco Corporation Herley Microwave Systems Hyponex Corporation	Towaco, NJ Salem, NH Lancaster, PA Fort Wayne, IN
IMNX ITEL	Immunex Corporation Itel Corporation	Seattle, WA San Francisco, CA
JWAT	Jamaica Water Properties, Inc.	Lake Success, NY
MAJR MGRE MCRD MILL	Major Realty Corporation Merry-Go-Round Enterprises Micro D, Inc. Millicom Incorporated	Orlando, FL Towson, MD Fountain Valley, CA New York, NY
NYAL NYALW NWFN	New York Airlines, Inc. New York Airlines, Inc. (Wts) Northwestern Financial Corporation	Flushing, NY Flushing, NY Wilkesboro, NC
OSII	On-Line Software International Inc.	Fort Lee, NJ
PCAR PHRS PCII	PACCAR Inc. Paul Harris Stores, Inc. Protocol Computers, Inc.	Bellevue, WA Indianapolis, IN Woodland Hills, CA
RCOT RITZ	Recoton Corporation Ritzy's (G D), Inc.	Long Island City, NY Columbus, OH
SBPS SINT	Savings Bank of Puget Sound System Integrators, Inc.	Seattle, WA Sacramento, CA
USCC	U.S. Capital Corporation	Columbia, SC
VANZ VTEK	Vanzetti Systems, Inc. Vodavi Technology Corporation	Stoughton, MA Scottsdale, AZ
ZIAD ZMOS ZTRX	Ziyad, Inc. ZyMOS Corporation Zytrex Corporation	Denville, NJ Sunnyvale, CA Sunnyvale, CA

Any questions regarding this notice should be directed to Donald Botic, Assistant Director, NASDAQ Operations, at (202) 728-8043. Questions pertaining to trade reporting rules should be directed to Steve Hickman at (202) 728-8202.

Sincerely,


Gordon S. Macklin
President