

ATTACHMENT B

Schedule October 5-7, 2001

October 5

PART 4	Broker-Dealers, Agents, Investment Advisers, Investment Adviser Representatives, and Federal Covered Investment Advisers
Section 102(2)	Agent
Section 102(4)	Broker-Dealer
Section 102(6)	Federal Covered Investment Adviser
Section 102(15)	Investment Adviser
Section 102(16)	Investment Adviser Representative
Section 102(17)	Issuer
Section 102(21)	Place of Business
Section 102(24)	Principal Place of Business

October 6

PART 5	Fraud and Litigation
Section 102(9)	Fraud

October 7

Unresolved Issues