

Edgar Filing: RI INVESTMENT MANAGEMENT HOLDINGS INC - Form SC 13G

RI INVESTMENT MANAGEMENT HOLDINGS INC
Form SC 13G
February 14, 2003

SECURITIES AND EXCHANGE
COMMISSION
Washington, D.C. 20549

SCHEDULE 13G

Under the Securities Exchange Act of 1934

Neotherapeutics, Inc.

(Name of Issuer)

Common Stock

(Title of Class of Securities)

640656104

(CUSIP Number)

December 31, 2002

(Date of Event Which Requires Filing of this Statement)

Check the appropriate box to designate the rule pursuant to which this Schedule is filed:

Rule 13d-1(b)
 Rule 13d-1(c)
 Rule 13d-1(d)

* The remainder of this cover page shall be filled out for a reporting person's initial filing on this form with respect to the subject class of securities, and for any subsequent amendment containing information which would alter the disclosures provided in a prior cover page.

The information required in the remainder of this cover page shall not be deemed to be "filed" for the purpose of Section 18 of the Securities Exchange Act of 1934 ("Act") or otherwise subject to the liabilities of that section of the Act but shall be subject to all other provisions of the Act (however, see the Notes).

CUSIP No. 640656104

13G

Page 2 of 12 Pages

1. NAME OF REPORTING PERSON
S.S. OR I.R.S. IDENTIFICATION NO. OF ABOVE PERSON

Edgar Filing: RI INVESTMENT MANAGEMENT HOLDINGS INC - Form SC 13G

RBC Global Investment Management Inc.

-
2. CHECK THE APPROPRIATE BOX IF A MEMBER OF A GROUP* (a) |
(b) |
-
3. SEC USE ONLY
-
4. CITIZENSHIP OR PLACE OF ORGANIZATION The jurisdiction of organization is Canada (federally incorporated company)
-
- | | | |
|--|----|---------------------------------|
| NUMBER OF
SHARES
BENEFICIALLY
OWNED BY EACH
REPORTING
PERSON WITH | 5. | SOLE VOTING POWER
N/A |
| | 6. | SHARED VOTING POWER
N/A |
| | 7. | SOLE DISPOSITIVE POWER
N/A |
| | 8. | SHARED DISPOSITIVE POWER
N/A |
-
9. AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON
N/A
-
10. CHECK BOX IF THE AGGREGATE AMOUNT IN ROW (9) EXCLUDES CERTAIN SHARES* |
-
11. PERCENT OF CLASS REPRESENTED BY AMOUNT IN ROW 9
N/A
-
12. TYPE OF REPORTING PERSON*
Foreign Investment Adviser which received SEC no-action relief to file on Schedule 13G as a "Qualified Institutional Investor"
-

*SEE INSTRUCTIONS BEFORE FILLING OUT!

CUSIP No. 640656104

13G

Page 3 of 12 Pages

-
1. NAME OF REPORTING PERSON
S.S. OR I.R.S. IDENTIFICATION NO. OF ABOVE PERSON

RT Investment Management Holdings Inc.
-
2. CHECK THE APPROPRIATE BOX IF A MEMBER OF A GROUP* (a) |
(b) |

Edgar Filing: RI INVESTMENT MANAGEMENT HOLDINGS INC - Form SC 13G

-
3. SEC USE ONLY
-
4. CITIZENSHIP OR PLACE OF ORGANIZATION The jurisdiction of organization is Canada (federally incorporated company)
-
- | | | |
|--|----|---------------------------------|
| NUMBER OF
SHARES
BENEFICIALLY
OWNED BY EACH
REPORTING
PERSON WITH | 5. | SOLE VOTING POWER
N/A |
| | 6. | SHARED VOTING POWER
N/A |
| | 7. | SOLE DISPOSITIVE POWER
N/A |
| | 8. | SHARED DISPOSITIVE POWER
N/A |
-
9. AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON
N/A
-
10. CHECK BOX IF THE AGGREGATE AMOUNT IN ROW (9) EXCLUDES CERTAIN SHARES*
-
11. PERCENT OF CLASS REPRESENTED BY AMOUNT IN ROW 9
N/A
-
12. TYPE OF REPORTING PERSON*
Foreign Parent Holding Company which received SEC no-action relief to file on Schedule 13G as a "Qualified Institutional Investor"
-

*SEE INSTRUCTIONS BEFORE FILLING OUT!

CUSIP No. 640656104 13G Page 4 of 12 Pages

-
1. NAME OF REPORTING PERSON
S.S. OR I.R.S. IDENTIFICATION NO. OF ABOVE PERSON

The Royal Trust Company
-
2. CHECK THE APPROPRIATE BOX IF A MEMBER OF A GROUP*

(a)
(b)
-
3. SEC USE ONLY
-
4. CITIZENSHIP OR PLACE OF ORGANIZATION
The jurisdiction of organization is Canada (federally incorporated company)
-
5. SOLE VOTING POWER

Edgar Filing: RI INVESTMENT MANAGEMENT HOLDINGS INC - Form SC 13G

N/A

NUMBER OF
SHARES BENEFICIALLY
OWNED BY EACH
REPORTING
PERSON WITH

6. SHARED VOTING POWER

N/A

7. SOLE DISPOSITIVE POWER

N/A

8. SHARED DISPOSITIVE POWER

N/A

9. AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON

N/A

10. CHECK BOX IF THE AGGREGATE AMOUNT IN ROW (9) EXCLUDES CERTAIN SHARES*

[]

11. PERCENT OF CLASS REPRESENTED BY AMOUNT IN ROW 9

N/A

12. TYPE OF REPORTING PERSON*

Foreign Trust Company which received SEC no-action relief to file on
Schedule 13G as a "Qualified Institutional Investor"

*SEE INSTRUCTIONS BEFORE FILLING OUT!

CUSIP No. 640656104 13G Page 5 of 12 Pages

1. NAME OF REPORTING PERSON

S.S. OR I.R.S. IDENTIFICATION NO. OF ABOVE PERSON

Royal Mutual Funds Inc.

2. CHECK THE APPROPRIATE BOX IF A MEMBER OF A GROUP*

(a) []
(b) []

3. SEC USE ONLY

4. CITIZENSHIP OR PLACE OF ORGANIZATION

The jurisdiction of organization is Canada (federally
incorporated company)

5. SOLE VOTING POWER

N/A

Edgar Filing: RI INVESTMENT MANAGEMENT HOLDINGS INC - Form SC 13G

NUMBER OF SHARES BENEFICIALLY OWNED BY EACH REPORTING PERSON WITH	6. SHARED VOTING POWER N/A
	7. SOLE DISPOSITIVE POWER N/A
	8. SHARED DISPOSITIVE POWER N/A
9. AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON N/A	
10. CHECK BOX IF THE AGGREGATE AMOUNT IN ROW (9) EXCLUDES CERTAIN SHARES* <input type="checkbox"/>	
11. PERCENT OF CLASS REPRESENTED BY AMOUNT IN ROW 9 N/A	
12. TYPE OF REPORTING PERSON* Foreign Investment Adviser which received SEC no-action relief to file on Schedule 13G as a "Qualified Institutional Investor"	

*SEE INSTRUCTIONS BEFORE FILLING OUT!

Item 1(a). Name of Issuer:
Neotherapeutics Inc.

Item 1(b). Address of Issuer's Principal Executive Offices:
Neotherapeutics Inc.
157 Technology Drive
Irvine, CA 92618

Item 2(a). Name of Person Filing:

1. RBC Global Investment Management Inc. ("RBC GIM")
2. RT Investment Management Holdings Inc. ("RTIM")
3. The Royal Trust Company ("RT")
4. Royal Mutual Funds Inc. ("RMFI")

Item 2(b). Address of Principal Business Office or, if None, Residence:

1. RBC Global Investment Management Inc.
Royal Trust Tower
77 King Street West, Suite 3800
Toronto, Ontario M5K 1H1
2. RT Investment Management Holdings Inc.
Royal Trust Tower, P.O. Box 97
77 King Street West, Suite 3900
Toronto, Ontario M5K 1G8

Edgar Filing: RI INVESTMENT MANAGEMENT HOLDINGS INC - Form SC 13G

3. The Royal Trust Company
Royal Trust Tower, P.O. Box 7500, Station A
77 King Street West, 6th Floor
Toronto, Ontario M5W 1P9
4. Royal Mutual Funds Inc.
Royal Trust Tower, P.O. Box 7500, Station A
77 King Street West
Toronto, Ontario M5W 1P9

Item 2(c). Citizenship:

Canada

Item 2(d). Title of Class of Securities:

Common Stock

Item 2(e). CUSIP Number:

640656104

Item 3. If this statement is filed pursuant to Rules 240.13d-1(b) or 240.13d-2(b) or (c), check whether the person filing is a:

1. RBC Global Investment Management Inc. is a Foreign Investment Adviser which received SEC no-action relief to file on Schedule 13G as a "Qualified Institutional Investor".
2. RT Investment Management Holdings Inc. was previously a Foreign Parent Holding Company which received SEC no-action relief to file on Schedule 13G as a "Qualified Institutional Investor". RT Investment Management Holdings Inc. was dissolved in 2002.
3. The Royal Trust Company is a Foreign Trust Company which received SEC no-action relief to file on Schedule 13G as a "Qualified Institutional Investor."
4. Royal Mutual Funds Inc. is a Foreign Investment Adviser and Mutual Funds Dealer which received SEC no-action relief to file on Schedule 13G as a "Qualified Institutional Investor."

Item 4. Ownership.

(a) Amount beneficially owned:

1. RBC GIM - N/A
2. RTIM - N/A
3. RT - N/A
4. RMFI - N/A

(b) Percent of class:

1. RBC GIM - N/A
2. RTIM - N/A
3. RT - N/A
4. RMFI - N/A

Edgar Filing: RI INVESTMENT MANAGEMENT HOLDINGS INC - Form SC 13G

(c) Number of shares as to which such person has:

(i) Sole power to vote or to direct the vote

RBC GIM - N/A

(ii) Shared power to vote or to direct the vote

1. RBC GIM - N/A
2. RTIM - N/A
3. RT - N/A
4. RMFI - N/A

(iii) Sole power to dispose or to direct the disposition of

RBC GIM - N/A

(iv) Shared power to dispose or to direct the disposition of

1. RBC GIM - N/A
2. RTIM - N/A
3. RT - N/A
4. RMFI - N/A

Item 5. Ownership of Five Percent or Less of a Class.

If this statement is being filed to report the fact that as of the date hereof the reporting person has ceased to be the beneficial owner of more than five percent of the class of securities, check the following |X|.

Item 6. Ownership of More than Five Percent on Behalf of Another Person.

N/A

Item 7. Identification and Classification of the Subsidiary Which Acquired the Security Being Reported on by the Parent Holding Company.

N/A

Item 8. Identification and Classification of Members of the Group.

N/A

Item 9. Notice of Dissolution of Group.

N/A

Item 10. Certification.

By signing below I certify that, to the best of my knowledge and belief, the securities referred to above were acquired and are held in the ordinary course of business and were not acquired and are not held for the purpose of and do not have the effect of changing or influencing the control of the issuer of such securities and were not acquired and are not held in connection with or as a participant in any transaction having such purpose or effect.

SIGNATURE

After reasonable inquiry and to the best of my knowledge and belief, I certify that the information set forth in this statement is true, complete and correct.

February 14, 2003

(Date)

/s/ M. George Lewis

(Signature)

M. George Lewis,
President and C.E.O.,
RBC Global Investment
Management Inc.

(Name/Title)

SIGNATURE

After reasonable inquiry and to the best of my knowledge and belief, I certify that the information set forth in this statement is true, complete and correct.

February 14, 2003

(Date)

/s/ M. George Lewis

(Signature)

M. George Lewis/Authorized Signatory
RT Investment
Management Holdings Inc.

(Name/Title)

SIGNATURE

After reasonable inquiry and to the best of my knowledge and belief, I

Edgar Filing: RI INVESTMENT MANAGEMENT HOLDINGS INC - Form SC 13G

certify that the information set forth in this statement is true, complete and correct.

February 14, 2003

(Date)

/s/ M. George Lewis

(Signature)

M. George Lewis,
Authorized Signatory
The Royal Trust Company

(Name/Title)

SIGNATURE

After reasonable inquiry and to the best of my knowledge and belief, I certify that the information set forth in this statement is true, complete and correct.

February 14, 2003

(Date)

/s/ Russell Purre

(Signature)

Russell Purre,
Sr. Manager Risk
Royal Mutal Funds Inc.

(Name/Title)