



DB12000P - Deutsche Bank Private Bank

Batch Date: 05/29/2013

Alert Date:

Alert

05/29/2013

Organization: Southern Financial LLC

Address: Country:United States

Tracking ID: 6229369

Reporting ID: 6229369

Alert #: 1

Alert ID: 1559801.11522860.46402345

#### Entity Information

Entity ID: 46402345

Entity Name: Southern Financial Services, Inc.

Address: Boca Raton, Florida, UNITED STATES

Event: SEC - SEC Violations (Insider Trading, Securities Fraud)

ACT - Disciplinary, Regulatory Action

08/13/2003, The SEC filed civil charges in federal district court in Miami, Florida against the former president of Dicom Imaging Systems, Inc. and five Florida stock promoters including Southern Financial Services, alleging that they used the Internet, press releases, spam e-mails, and televised interviews to commit securities fraud through baseless financial projections and the stock promoters' "scalping." The complaint also alleges that the promoters touted Dicom's stock but did not disclose all of the compensation they were to receive pursuant to signed agreements; alleges that Gane had Dicom hire the stock promoters in June and November 1999 to tout Dicom's stock in return for compensation; Gane supplied the promoters with Dicom's financial projections for the next three years: \$24.7 million in revenues and \$19.7 million in earnings; two of the promoters, Welsh and Tamburello, each wrote investment opinions that described Dicom as an investment.

#### Source Information

RDC URL: <https://grid.rdc.com/wss/entity.html?entityId=9af04c5228d562185d3f3d53eb346cc4>

Source Name: SEC Litigation Releases - 2003, 11/14/2012

Source URL: <http://www.sec.gov/litigation/litreleases/litrearchive/litarchive2003.shtml>

Entity URL: • <http://www.sec.gov/litigation/litreleases/lr18286.htm>

• <http://www.sec.gov/litigation/complaints/comp18286.htm>

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DB-SDNY-0027355

EFTA\_00175033

EFTA01299047



DB12000P - Deutsche Bank Private Bank

Batch Date: 05/29/2013

Alert Date:

Alert

05/29/2013

Organization: Southern Financial LLC

Address: Country:United States

Tracking ID: 6229369

Reporting ID: 6229369

Alert #: 2

Alert ID: 1559801.11522860.41603821

#### Entity Information

Entity ID: 41603821

Entity Name: Southern Financial Group

Address: North Carolina, UNITED STATES

Event: SEC - SEC Violations (Insider Trading, Securities Fraud)

ACT - Disciplinary, Regulatory Action

09/12/2002, The Court in this case adjudged defendants Elfindapan, Southern Financial Group, and Tracy Calvin Dunlap, Jr., to be in contempt of court and ordered Dunlap incarcerated based on their refusal to obey court orders requiring them to produce documents and account for and repatriate investor funds.

#### Source Information

RDC URL: <https://grid.rdc.com/wss/entity.html?entityId=f0a4cd957f6297875d3f3d53eb346cc4>

Source Name: SEC Litigation Releases - 2002, 05/12/2012

Source URL: <http://www.sec.gov/litigation/litreleases/litrelarchive/litarchive2002.shtml>

Entity URL: <http://www.sec.gov/litigation/litreleases/lr17723.htm>

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DB-SDNY-0027356

EFTA\_00175034

EFTA01299048



DB12000P - Deutsche Bank Private Bank

Batch Date: 05/29/2013

Alert Date:

Alert

05/29/2013

Organization: Southern Financial LLC

Address: Country:United States

Tracking ID: 6229369

Reporting ID: 6229369

Alert #: 3

Alert ID: 1559801.11522860.26791053

#### Entity Information

Entity ID: 26791053

Entity Name: Southern Financial Group, Inc.

Address: South Carolina, UNITED STATES

- Event:
- SEC - SEC Violations (Insider Trading, Securities Fraud)  
ACT - Disciplinary, Regulatory Action  
03/09/2005, The Commission alleged that Southern's books and financial records inaccurately reflected a cash balance in an account ranging from \$226,931.80 to \$240,006.80; Southern failed to promptly give notice to the Commission and others of the net capital deficiencies as required by law; and that, the reports filed by Southern were inaccurate in that they misrepresented Southern's cash position and failed to include certain liabilities.
  - SEC - SEC Violations (Insider Trading, Securities Fraud)  
ACT - Disciplinary, Regulatory Action  
02/15/2005, Named in the civil action entitled Securities and Exchange Commission v. Southern Financial Group, Inc., Richard M. Wooten, Charles Dennis McKittrick and Gerald F. Hunter, Jr., Civil Action Number 2:02-1806-18, in the United States District Court for District of South Carolina, Charleston Division.

#### Source Information

RDC URL: <https://grid.rdc.com/wss/entity.html?entityId=712ec7c8d33eaffa5d3f3d53eb346cc4>

Source Name: SEC Administrative Proceedings - 2005, 08/08/2009

Source URL: <http://www.sec.gov/litigation/admin/adminarchive/adminarc2005.shtml>

- Entity URL:
- <http://www.sec.gov/litigation/admin/34-51207.htm>
  - <http://www.sec.gov/litigation/admin/34-51349.htm>

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DB-SDNY-0027357

EFTA\_00175035

EFTA01299049



DB12000P - Deutsche Bank Private Bank

Batch Date: 05/29/2013

Alert Date:

Alert

05/29/2013

Organization: Southern Financial LLC

Address: Country:United States

Tracking ID: 6229369

Reporting ID: 6229369

Alert #: 4

Alert ID: 1559801.11522860.25661518

#### Entity Information

Entity ID: 25661518

Entity Name: Southern Financial Group, Inc.

Address: South Carolina, UNITED STATES

Event: SEC - SEC Violations (Insider Trading, Securities Fraud)  
ACT - Disciplinary, Regulatory Action

12/22/2004, The Securities and Exchange Commission announced that the Honorable David C. Norton, United States District Judge for the District of South Carolina, Charleston Division, entered Final Judgments as to Defendants Southern Financial Group, Inc. (Southern), Richard M. Wooten (Wooten) and Charles Dennis McKittrick (McKittrick).

#### Source Information

RDC URL: <https://grid.rdc.com/wss/entity.html?entityId=67b955a58510d8e75d3f3d53eb346cc4>

Source Name: SEC Litigation Releases - 2003, 11/14/2012

Source URL: <http://www.sec.gov/litigation/litreleases/litrearchive/litarchive2003.shtml>

Entity URL: <http://www.sec.gov/litigation/litreleases/lr19009.htm>

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DB-SDNY-0027358

EFTA\_00175036

EFTA01299050



DB12000P - Deutsche Bank Private Bank

Batch Date: 05/29/2013

Alert Date:

Alert

05/29/2013

Organization: Southern Financial LLC

Address: Country:United States

Tracking ID: 6229369

Reporting ID: 6229369

Alert #: 5

Alert ID: 1559801.11522860.25646082

#### Entity Information

Entity ID: 25646082

Entity Name: Southern Financial Group

Address: North Carolina, UNITED STATES

- Event:
- SEC - SEC Violations (Insider Trading, Securities Fraud)  
ACT - Disciplinary, Regulatory Action  
04/26/2001, LITIGATION RELEASE NO. 16977/ SEC V. SOUTHERN FINANCIAL GROUP 1:00CV00742 (August 10, 2000) COURT OF APPEALS AFFIRMS TRIAL COURT'S ORDER INCARCERATING DUNLAP FOR CONTEMPT. On March 15, 2001, the U.S. District Court for the Middle District of North Carolina adjudged defendants Elfindapan, S.A., Southern Financial Group and Tracy Calvin Dunlap, Jr. to be in civil contempt of court based on their refusal to obey court orders requiring them to produce documents, and account for and repatriate investor funds, related to their allegedly fraudulent investment schemes.
  - SEC - SEC Violations (Insider Trading, Securities Fraud)  
ACT - Disciplinary, Regulatory Action  
02/08/2001, LITIGATION RELEASE NO. 16892 / SEC V. SOUTHERN FINANCIAL GROUP, (USDC Middle District of North Carolina, 1:00CV00742) amended complaint alleges that Southern Financial Group misappropriated millions of dollars from innocent investors through a fraudulent investment scheme commonly referred to as a "Prime Bank" scheme.

#### Source Information

RDC URL: <https://grid.rdc.com/wss/entity.html?entityId=acd62503a7de836f5d3f3d53eb346cc4>

Source Name: SEC Litigation Releases - 2001, 03/02/2010

Source URL: <http://www.sec.gov/litigation/litreleases/litrelarchive/litarchive2001.shtml>

Entity URL: • <http://www.sec.gov/litigation/litreleases/lr16977.htm>

• <http://www.sec.gov/litigation/litreleases/lr16892.htm>

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DB-SDNY-0027359

EFTA\_00175037

EFTA01299051



DB12000P - Deutsche Bank Private Bank

Batch Date: 05/29/2013

Alert Date:

Alert

05/29/2013

Organization: Southern Financial LLC

Address: Country:United States

Tracking ID: 6229369

Reporting ID: 6229369

Alert #: 6

Alert ID: 1559801.11522860.25181614

#### Entity Information

Entity ID: 25181614

Entity Name: Southern Financial Group, Inc.

Address: South Carolina, UNITED STATES

- Event:
- SEC - SEC Violations (Insider Trading, Securities Fraud)  
ACT - Disciplinary, Regulatory Action  
06/17/2002, Securities and Exchange Commission v. Southern Financial Group, Inc., Richard M. Wooten, Charles Dennis McKittrick and Gerald F. Hunter, Jr., Defendants, and Springdale Investments, Inc., Relief Defendant, United States District Court for the District of South Carolina, Charleston Division, Civil Action File No. 2:02-1806-18
  - SEC - SEC Violations (Insider Trading, Securities Fraud)  
ACT - Disciplinary, Regulatory Action  
06/19/2002, Securities and Exchange Commission v. Southern Financial Group, Inc., Richard M. Wooten, Charles Dennis McKittrick and Gerald F. Hunter, Jr., Defendants, and Springdale Investments, Inc., Relief Defendant, United States District Court for the District of South Carolina, Charleston Division, Civil Action File No. 2:02-1806-18
  - SEC - SEC Violations (Insider Trading, Securities Fraud)  
ACT - Disciplinary, Regulatory Action  
05/28/2002, SECURITIES AND EXCHANGE COMMISSION V. SOUTHERN FINANCIAL GROUP, INC., RICHARD M. WOOTEN, CHARLES DENNIS MCKITTRICK AND GERALD F. HUNTER, JR., United States District Court for the District of South Carolina, Charleston Division, Civil Action File No. 2:02-1806-18 (Filed May 24, 2002)

#### Source Information

RDC URL: <https://grid.rdc.com/wss/entity.html?entityId=a7a395d6a12368e75d3f3d53eb346cc4>

Source Name: SEC Litigation Releases - 2002, 05/12/2012

Source URL: <http://www.sec.gov/litigation/litreleases/litrelarchive/litarchive2002.shtml>

- Entity URL:
- <http://www.sec.gov/litigation/litreleases/lr17574.htm>
  - <http://www.sec.gov/litigation/litreleases/lr17569.htm>
  - <http://www.sec.gov/litigation/litreleases/lr17535.htm>

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DB-SDNY-0027360

EFTA\_00175038

EFTA01299052



DB12000P - Deutsche Bank Private Bank

Batch Date: 05/29/2013

Alert Date:

Alert

05/29/2013

Organization: Southern Financial LLC

Address: Country:United States

Tracking ID: 6229369

Reporting ID: 6229369

Alert #: 7

Alert ID: 1559801.11522860.24893031

#### Entity Information

Entity ID: 24893031

Entity Name: Southern Financial Group

Alias: SFG

Event: SEC - SEC Violations (Insider Trading, Securities Fraud)  
ACT - Disciplinary, Regulatory Action  
04/29/2008, Litigation Release No. 20543/ Securities and Exchange Commission v. Elfindapan, S.A., et al.,  
United States District Court for the Middle District of North Carolina, Civil Action No. 1:00CV00742 Final  
Judgments Entered Against Elfindapan S.A., Strategic Asset Funds S.A., and Southern Financial Group for  
Fraudulent High-Yield Investment Scam.

#### Source Information

RDC URL: <https://grid.rdc.com/wss/entity.html?entityId=28d4c04c98a34f5f5d3f3d53eb346cc4>

Source Name: SEC Litigation Releases - 2008, 11/11/2009

Source URL: <http://www.sec.gov/litigation/litreleases/litrearchive/litarchive2008.shtml>

Entity URL: <http://www.sec.gov/litigation/litreleases/2008/lr20543.htm>

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DB-SDNY-0027361

EFTA\_00175039

EFTA01299053



DB12000P - Deutsche Bank Private Bank

Batch Date: 05/29/2013

Alert Date:

Alert

05/29/2013

Organization: Southern Financial LLC

Address: Country:United States

Tracking ID: 6229369

Reporting ID: 6229369

Alert #: 8

Alert ID: 1559801.11522860.26357581

**Entity Information**

Entity ID: 26357581

Entity Name: Southern Financial Group, Inc.

Address: Charleston, SC, UNITED STATES

Event: FRD - Fraud, Scams, Swindles

ALL - Allege

12/22/2004, alleged that Southern raised at least \$25 million through a fraudulent scheme involving the sale of short-term notes on behalf of UC Properties LLC.

**Source Information**

RDC URL: <https://grid.rdc.com/wss/entity.html?entityId=c5d5dba1600b314f5d3f3d53eb346cc4>

Source Name: SEC Litigation Releases - 2004, 05/12/2012

Source URL: <http://www.sec.gov/litigation/litreleases/litrelarchive/litarchive2004.shtml>

Entity URL: <http://www.sec.gov/litigation/litreleases/lr19009.htm>

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DB-SDNY-0027362

EFTA\_00175040

EFTA01299054



DB12000P - Deutsche Bank Private Bank

Batch Date: 05/29/2013

Alert Date:

Alert

05/29/2013

Organization: Southern Financial LLC

Address: Country: United States

Tracking ID: 6229369

Reporting ID: 6229369

Alert #: 9

Alert ID: 1559801.11522860.36364841

#### Entity Information

Entity ID: 36364841

Entity Name: Southern Financial Services Inc.

Address: Asheville, NC, UNITED STATES

Event: • FRD - Fraud, Scams, Swindles

ASC - Associated with, Seen with

02/04/2011, U.S. Attorney Anne M. Tompkins announced that, James W. "Bill" Bailey, Jr. had his initial appearance on three federal criminal counts, Securities Fraud, Mail Fraud and Filing False Tax Returns Charges, which was filed in a Bill of Information in U.S. District Court in Asheville on February 1, 2010. The counts against Bailey charge that he engaged in a "Ponzi" scheme from about January 2000 to December 2010 to defraud investors of more than \$13 million. According to the Bill of Information, the defendant founded and operated Southern Financial Services Inc, 1031 Exchange Services, LLC and AVL Properties, LLC in Asheville. Court documents state that through Southern Financial Services Inc., Bailey fraudulently induced clients to deposit monies and purported to provide asset management, IRA accounts, and wills and trusts services.

• TAX - Tax Related Offenses

ASC - Associated with, Seen with

02/04/2011, U.S. Attorney Anne M. Tompkins announced that, James W. "Bill" Bailey, Jr. had his initial appearance on three federal criminal counts, Securities Fraud, Mail Fraud and Filing False Tax Returns Charges, which was filed in a Bill of Information in U.S. District Court in Asheville on February 1, 2010. The counts against Bailey charge that he engaged in a "Ponzi" scheme from about January 2000 to December 2010 to defraud investors of more than \$13 million. According to the Bill of Information, the defendant founded and operated Southern Financial Services Inc, 1031 Exchange Services, LLC and AVL Properties, LLC in Asheville. Court documents state that through Southern Financial Services Inc., Bailey fraudulently induced clients to deposit monies and purported to provide asset management, IRA accounts, and wills and trusts services.

• SEC - SEC Violations (Insider Trading, Securities Fraud)

ASC - Associated with, Seen with

02/04/2011, U.S. Attorney Anne M. Tompkins announced that, James W. "Bill" Bailey, Jr. had his initial appearance on three federal criminal counts, Securities Fraud, Mail Fraud and Filing False Tax Returns Charges, which was filed in a Bill of Information in U.S. District Court in Asheville on February 1, 2010. The counts against Bailey charge that he engaged in a "Ponzi" scheme from about January 2000 to December 2010 to defraud investors of more than \$13 million. According to the Bill of Information, the defendant founded and operated Southern Financial Services Inc, 1031 Exchange Services, LLC and AVL Properties, LLC in Asheville. Court documents state that through Southern Financial Services Inc., Bailey fraudulently induced clients to deposit monies and purported to provide asset management, IRA accounts, and wills and trusts services.

#### Source Information

RDC URL: <https://grid.rdc.com/wss/entity.html?entityId=4b538c2393dee2cf5d3f3d53eb346cc4>

Source Name: DOJ US Attorneys Offices Press Releases 2009 to 2012, 05/07/2013

Source URL: <http://www.justice.gov/usao/offices/index.html>

Entity URL: <http://www.justice.gov/usao/ncw/press/billbailey.html>

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DB-SDNY-0027363

EFTA\_00175041

EFTA01299055



DB12000P - Deutsche Bank Private Bank

Batch Date: 05/29/2013

Alert Date:

Alert

05/29/2013

Organization: Southern Financial LLC

Address: Country:United States

Tracking ID: 6229369

Reporting ID: 6229369

Alert #: 10

Alert ID: 1559801.11522860.29638413

**Entity Information**

Entity ID: 29638413

Entity Name: Southern Financial Mortgage Corporation

Address: Virginia, UNITED STATES

Event: MOR - Mortgage Related  
ASC - Associated with, Seen with  
07/13/2007, Mortgage License Revocations  
(since 1/1/95); Reason: Failure to file annual report as required by §6.1-418

**Source Information**

RDC URL: <https://grid.rdc.com/wss/entity.html?entityId=6e121e2e9abf763c5d3f3d53eb346cc4>

Source Name: VA State Corp Commission Mortgage License Revocations, 04/30/2010

Source URL: [http://www.scc.virginia.gov/bfi/vio/mtg\\_rev.pdf](http://www.scc.virginia.gov/bfi/vio/mtg_rev.pdf)

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DB-SDNY-0027364

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EFTA01299056