



Organization: Southern Financial LLC**Address:** Country: United States**Tracking ID:** [REDACTED]**Reporting ID:** [REDACTED]

Alert #: 3**Alert ID:** 1559801.11522860.26791053

Entity Information**Entity ID:** [REDACTED]**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)

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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>