



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/litrearchive/litarchive2002.shtml>

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

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