



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 InformationRDC 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>