



DB12000P - Deutsche Bank Private Bank

Batch Date: 6/15/2017
Added to Monitoring: 06/15/2017

Alert Date: 6/15/2017

Alert

Organization: Southern Financial LLC

Address: Country: VIRGIN ISLANDS, U.S.

Tracking ID: KYC 1790655

Reporting ID:

Alerted Entity #: 2 of 4

Risk Priority: Critical

Alert ID: 9476247.11602637.65374193

Source Information

RDC URL: <https://grid.rdc.com/wss/entity.html?entityId=3dcbf500405acc025d3f3d53eb346cc4>

Source Name: RiskConnect, 06/14/2017

Entity URL:

- <http://www.sec.gov/litigation/litreleases/lr17723.htm>
- <http://www.sec.gov/litigation/litreleases/2008/lr20543.htm>
- <http://www.sec.gov/litigation/litreleases/lr16977.htm>
- <http://www.sec.gov/litigation/litreleases/lr16649.htm>
- <http://www.sec.gov/litigation/litreleases/lr16892.htm>

Sources:

- SEC Litigation Releases - 2002, SEC Litigation Releases - 2002, <http://www.sec.gov/litigation/litreleases/litrelarchive/litarchive2002.shtml>
- SEC Litigation Releases - 2008, SEC Litigation Releases - 2008, <http://www.sec.gov/litigation/litreleases/litrelarchive/litarchive2008.shtml>
- SEC Litigation Releases - 2001, SEC Litigation Releases - 2001, <http://www.sec.gov/litigation/litreleases/litrelarchive/litarchive2001.shtml>
- SEC Litigation Releases - 2000, SEC Litigation Releases - 2000, <http://www.sec.gov/litigation/litreleases/litrelarchive/litarchive2000.shtml>