



DB12000P - Deutsche Bank Private Bank

Batch Date: 6/15/2017

Added to Monitoring: 06/15/2017

Alert Date:

Alert

6/15/2017

Organization: Southern Financial LLC

Address: Country: VIRGIN ISLANDS, U.S.

Tracking ID: KYC [REDACTED]

Reporting ID:

Alerted Entity #: 4 of 4

Risk Priority: Critical

Alert ID: [REDACTED]

Entity Information

Entity ID: [REDACTED]

Entity Name: Southern Financial Group Inc.

Address: Summerville

Recent Event(s): • SEC - SEC Violations (Insider Trading, Securities Fraud) / ACC - Accuse, 12/15/2008
accused of running a so-called Ponzi scheme by soliciting cash from new investors to pay off redemptions to earlier investors, 12/15/2008, The Post and Courier (MCT)

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Alert Notes

Notes: Southern Financial Group Inc., was accused of running a so-called Ponzi scheme by soliciting cash from new investors to pay off redemptions to earlier investors.

Source Information

RDC URL: <https://grid.rdc.com/wss/entity.html?entityId=cd06df1e138aac735d3f3d53eb346cc4>

Source Name: RiskConnect, 06/14/2017

Sources: The Post and Courier (MCT), MEDIA Article, Headline: The Post and Courier, Charleston, S.C., On Business column, <http://global.factiva.com/en/du/article.asp?NAPC=S&AccessionNo=KRTCN00020081216e4cf00001>