



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 1790655

Reporting ID:

Alerted Entity #: 1 of 4

Risk Priority: Critical

Alert ID: 9476247.11602637.65444359

Southern Financial Group was later shut down by the Securities and Exchange Commission after being charged in 2002 with a \$25 million Ponzi scheme. The alleged fraud was unrelated to the Capstone bonds., 02/11/2008, Investment News

Alert Notes

Notes: Southern Financial Group Inc. , was charged with securities fraud .

Source Information

RDC URL: <https://grid.rdc.com/wss/entity.html?entityId=3012122812fb8b125d3f3d53eb346cc4>

Source Name: RiskConnect, 06/14/2017

- Entity URL:
- <http://www.sec.gov/litigation/litreleases/lr19009.htm>
 - <http://www.sec.gov/litigation/litreleases/lr19060.htm>
 - <http://www.sec.gov/litigation/admin/34-50966.htm>
 - <http://www.sec.gov/litigation/admin/34-51207.htm>
 - <http://www.sec.gov/litigation/admin/34-51349.htm>
 - <http://www.sec.gov/litigation/litreleases/lr17574.htm>
 - <http://www.sec.gov/litigation/litreleases/lr17569.htm>
 - <http://www.sec.gov/litigation/litreleases/lr17535.htm>

- Sources:
- Investment News, MEDIA Article, Headline: FINRA board member's firm embroiled in muni fraud case; Jury awards plaintiff \$1.2 million, <http://global.factiva.com/en/du/article.asp?NAPC=S&AccessionNo=INVN000020080215e42b00009>
 - SEC Litigation Releases - 2004, SEC Litigation Releases - 2004, <http://www.sec.gov/litigation/litreleases/litrelarchive/litarchive2004.shtml>
 - SEC Litigation Releases - 2005, SEC Litigation Releases - 2005, <http://www.sec.gov/litigation/litreleases/litrelarchive/litarchive2005.shtml>
 - SEC Administrative Proceedings - 2005, SEC Administrative Proceedings - 2005, <http://www.sec.gov/litigation/admin/adminarchive/adminarc2005.shtml>
 - SEC Litigation Releases - 2002, SEC Litigation Releases - 2002, <http://www.sec.gov/litigation/litreleases/litrelarchive/litarchive2002.shtml>