



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: [REDACTED]

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 Elfindepan, 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>

Consistent with the terms and conditions of your RDC Subscriber Agreement, the information contained in this document is for alert purposes only and is not to be used for purposes of determining an individual's eligibility for any credit or any other FCRA permissible purposes. User further agrees to hold such material and information in strictest confidence, not to make use thereof other than for authorized purposes, to relate it only to employees requiring such information, and not to release or disclose it to any other party. The Alert information contained in this document may or may not pertain to the individual or entity referenced in your inquiry.

Page 2 of 10