



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: ██████████**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 Information

RDC 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>