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**Legal Name :** NEWSOUTH CAPITAL MANAGEMENT INC  
**Primary Business Name :** NEWSOUTH CAPITAL MANAGEMENT INC  
**SEC File No. :** 801- 24716  
**CRD No. :** 110676  
**Place of Business :** 1100 RIDGEWAY LOOP RD, SUITE 444, MEMPHIS, TN, 38120-4058  
**Telephone No. :** 901-761-5561  
**Facsimile No. :** 901-761-5699  
**Contact Employee :**  
**Notice filings :** AL ,CA ,FL ,GA ,OH ,TN ,TX  
**Form of Organization :** Corporation  
**Under the laws of State :**  
**Number of Employee :** 11-50  
**Employees perform investment advisory functions :** 6-10  
**Broker-dealer :** 0  
**Solicit Advisory :** 0  
**Clients :** 101-250  
**Types of clients in percentage :**  
**Individuals :** Up to 10%  
**High net worth individuals :** Up to 10%  
**Banking or thrift institutions :** Up to 10%  
**Investment companies :** None  
**Pension and profit sharing plans :** 11-25%  
**Other pooled investment vehicles :** Up to 10%  
**Charitable organizations :** 11-25%  
**Corporations or other businesses not listed above :** Up to 10%  
**State or municipal government entities :** Up to 10%  
**Compensation :** (1) A percentage of assets under your management

**Assets Under Management :**

**Regular supervisory or management :** Yes  
**U.S. Dollar Amount :**  
**Discretionary :** 859863128  
**Non-Discretionary :** 0  
**Total :** 859863128

**Total Number of Accounts :**

**Discretionary :** 195  
**Non-Discretionary :** 0  
**Total :** 195

**Advisory Activities :** (2) Portfolio management for individuals and/or small businesses, (4) Portfolio management for businesses or institutional clients (other than investment companies)

**Financial planning services :**

**Wrap fee program :** (2) act as a portfolio manager for the wrap fee program

**Other Business Activities :**

**Activity Type :**  
**Engaged in other business :** No  
**Primary business :**  
**Sell Other Products or Services :** No  
**Involved, Manage, or Advise Private Fund :** Yes

**Direct Owners :**

Full Legal Name	DE/FE/I	Title or Status	Date Title or Status Acquired	Ownership Code	Control Person	PR	CRD No
GILLESPIE, PAUL, TROWBRIDGE	I	DIRECTOR, PRESIDENT	06/1985	10% but less than 25%	Yes	No	1727609
MORROW, DAVID, STEPHEN	I	DIRECTOR, SECRETARY, VICE PRESIDENT	06/1985	10% but less than 25%	Yes	No	1727535
SLATERY, CHARLES, KYLE	I	SHAREHOLDER	06/2004	5% but less than 10%	No	No	1024580
DANEHY, PATRICK, JOHN	I	CHIEF COMPLIANCE OFFICER	06/2004	less than 5%	Yes	No	2153253
NEWMAN, DAVID, MICHAEL	I	CHIEF FINANCIAL OFFICER	04/1995	less than 5%	No	No	5166844
WILDS, DAVID, MASSEY	I	SHAREHOLDER	10/2007	5% but less than 10%	No	No	466900
ESTATE OF CLINTON C. THOMAS	DE	SHAREHOLDER	08/2009	10% but less than 25%	No	No	80-6124989
DRINAN, JEFFREY, OWEN	I						

**Indirect Owners :**

Full Legal Name	DE/FE/I	Entity in which interest is owned	Status	Date Status Acquired	Ownership Code	Control Person	PR	CRD No
None	None	None	None	None	None	None	None	None

**Web Site :** [www.newsouthcapital.com](http://www.newsouthcapital.com)

**Active :** Yes

**Email :** tgillespie@newsouthcapital.com , smorrow@newsouthcapital.com , jdrinan@newsouthcapital.com , bmorrow@newsouthcapital.com , info@newsouthcapital.com

**Detailed View**

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Main CRD # :	10358
SEC # :	8--27082
Company Name :	GENWORTH FINANCIAL SECURITIES CORPORATION
Company Address :	200 NORTH MARTINGALE ROAD, SEVENTH FLOOR, SCHAUMBURG, IL 60173
Mailing Address :	200 NORTH MARTINGALE ROAD, SEVENTH FLOOR, SCHAUMBURG, IL 60173
Business Phone :	847-330-7995
Broker Dealer :	Yes
BD & GOV Securities Broker or Dealer :	No
Government Securities Only :	No
Ceased as Govt BD :	No
Website :	<a href="http://www.genworthfinancialsecurities.com">www.genworthfinancialsecurities.com</a>

Email : Enrique Vasquez, President , ( enrique.vasquez@genworth.com ), Darryl Ronconi, Chief Information Officer , ( darryl.ronconi@genworth.com ), Gregg Ruvoli, Senior Vice President , ( gregg.ruvoli@genworth.com ), Ed Wiles, Chief Compliance Officer , ( ed.wiles@genworth.com ), Patricia Ahern, Vice President, Marketing and Communications, ( patty.ahern@genworth.com ), Ed Kern, Finance Manager , ( edward.kern@genworth.com ), Jon Rothenberg, Vice President of Commissions, ( jon.rothenberg@genworth.com ), Connie Cebula, Vice President Product Management, ( connie.cebula@genworth.com ), Chip DeKlyn, Operations Manager, ( ward.deklyn@genworth.com ), Jim Shay, Associate General Counsel , ( james.shay@genworth.com ), Michael Abramowicz, Vice President of Adviser Recruiting, ( michael.abramowicz@genworth.com )

**Direct Ownership :**

Legal Name	CRD	Entity Type	Position	Position start Date	Percentage of Ownership	Directs Management Policies?	Public Reporting Company?
AHLUWALIA, GURINDER SINGH	4783310	Individual	DIRECTOR	10/2009	Less than 5%	Yes	No
APOSTLE, JOHN GEORGE II	4392136	Individual	DIRECTOR	12/2007	Less than 5%	No	No
GANDET, MICHAEL ALBERT JR	2279907	Individual	VICE PRESIDENT	10/2005	Less than 5%	Yes	No
GENWORTH FINANCIAL INVESTMENT SERVICES, INC.		Domestic Entity	SHAREHOLDER COMMON	02/1984	75% or more	Yes	No
RONCONI, DARRYL D.	5397946	Individual	DIRECTOR & SVP	03/2009	Less than 5%	Yes	No
RUVOLI, GREGG ALAN		Individual	SENIOR VICE PRESIDENT	10/2009	Less than 5%	Yes	No
TURNER, BONNIE COBB	4389441	Individual	FINOP	01/2009	Less than 5%	No	No
VASQUEZ, ENRIQUE MARTIN	2385061	Individual	DIRECTOR, CHIEF EXECUTIVE OFFICER & PRESIDENT	04/2006	Less than 5%	Yes	No
WILES, EDWARD JOSEPH JR	872723	Individual	SVP & CHIEF COMPLIANCE OFFICER	12/2001	Less than 5%	Yes	No

**Indirect Ownership :**

Legal Name	CRD	Entity Type	Company	Relationship with Direct Owner	Relationship Start Date	Percentage of Ownership	Directs Management Policies?	Public Reporting Company?
GENWORTH FINANCIAL, INC.		Domestic Entity	GENWORTH NORTH AMERICA CORPORATION	SHAREHOLDER COMMON	03/2006	75% or more	Yes	No
GENWORTH NORTH AMERICA CORPORATION		Domestic Entity	GENWORTH FINANCIAL INVESTMENT SERVICES, INC.	SHAREHOLDER COMMON	11/2003	75% or more	Yes	No

**Firm Operations :**

Regulator	Status	Effective Date
SEC	Approved	01/21/1982

**Industry Arrangements :**

Company Name	CRD	Address	Effective Date	Description
LIVEOFFICE LLC		2780 SKYLARK DRIVE, SUITE 300, TORRANCE, CA 90278,	01/23/2005	CONTRACTUAL AGREEMENT BETWEEN GENWORTH FINANCIAL, SECURITIES CORPORATION AND LIVEOFFICE CORPORATION., LIVEOFFICE WILL SUPPLY TO GENWORTH FINANCIAL SECURITIES, ITS, 'ADVISORMAIL' PROGRAM, WHICH IS AN AUTOMATED, WEB-BASED, EMAIL AND IM MONITORING RETRIEVAL AND RETENTION SYSTEM, DESIGNED IN ACCORDANCE WITH SEC & FINRA REGULATORY, REQUIREMENTS FOR SURVEILLANCE OF ELECTRONIC, COMMUNICATIONS, INSTANT MESSAGES AND PERMANENT RECORD, RETENTION THEREOF. This firm does have accounts, funds, or securities maintained by a third party., GENWORTH FINANCIAL SECURITIES CORPORATION, A FULLY, DISCLOSED INTRODUCING BROKER, UPDATED AND EXECUTED A, CLEARING AGREEMENT WITH PERSHING LLC, A BANK OF NEW YORK, SECURITIES GROUP COMPANY ON JUNE 26, 2002 FROM THE ORIGINAL, AGREEMENT IN MARCH OF 1999. PURSUANT TO SUCH AGREEMENT., GENWORTH FINANCIAL SECURITIES INTRODUCES CUSTOMERS TO, PERSHING ON A FULLY DISCLOSED BASIS FOR THE CLEARANCE OF, GENERAL SECURITIES BUSINESS., This firm does have
PERSHING LLC	7560	ONE PERSHING PLAZA, JERSEY CITY, NJ 07399,	03/12/1999	GENWORTH FINANCIAL SECURITIES CORPORATION, A FULLY, DISCLOSED INTRODUCING BROKER, UPDATED AND EXECUTED A, CLEARING AGREEMENT WITH PERSHING LLC, A BANK OF NEW YORK, SECURITIES GROUP COMPANY ON JUNE 26, 2002 FROM THE ORIGINAL, AGREEMENT IN MARCH OF 1999. PURSUANT TO SUCH AGREEMENT., GENWORTH FINANCIAL SECURITIES INTRODUCES CUSTOMERS TO, PERSHING ON A FULLY DISCLOSED BASIS FOR THE CLEARANCE OF, GENERAL SECURITIES BUSINESS., This firm does have

**Introducing Arrangements :**

Company Name	CRD	Address	Effective Date	Description
PERSHING LLC	7560	ONE PERSHING PLAZA, JERSEY CITY, NJ 07399,	03/12/1999	GENWORTH FINANCIAL SECURITIES CORPORATION, A FULLY, DISCLOSED INTRODUCING BROKER, UPDATED AND EXECUTED A, CLEARING AGREEMENT WITH PERSHING LLC, A BANK OF NEW YORK, SECURITIES GROUP COMPANY ON JUNE 26, 2002 FROM THE ORIGINAL, AGREEMENT IN MARCH OF 1999. PURSUANT TO SUCH AGREEMENT., GENWORTH FINANCIAL SECURITIES INTRODUCES CUSTOMERS TO, PERSHING ON A FULLY DISCLOSED BASIS FOR THE CLEARANCE OF, GENERAL SECURITIES BUSINESS., This firm does have

**State Registration :**

State	Status	Effective Date
Alabama	Approved	09/24/1998
Alaska	Approved	04/18/1996
Arizona	Approved	08/07/1992
Arkansas	Approved	10/24/1997
California	Approved	01/17/1992
Colorado	Approved	09/29/1994
Connecticut	Approved	08/08/1995
Delaware	Approved	02/17/1998
District of Columbia	Approved	04/30/1998
Florida	Approved	07/10/1987
Georgia	Approved	08/03/1995
Hawaii	Approved	05/07/1996
Idaho	Approved	04/06/1998
Illinois	Approved	04/07/1982
Indiana	Approved	04/29/1985
Iowa	Approved	09/02/1993
Kansas	Approved	11/25/1996
Kentucky	Approved	03/28/1996
Louisiana	Approved	05/21/1993
Maine	Approved	06/11/1992
Maryland	Approved	01/03/1994
Massachusetts	Approved	04/13/1993
Michigan	Approved	11/10/1987
Minnesota	Approved	05/14/1997
Mississippi	Approved	05/08/1998
Missouri	Approved	03/19/1990
Montana	Approved	01/01/1994
Nebraska	Approved	08/09/1996
Nevada	Approved	04/09/1998
New Hampshire	Approved	04/17/1998
New Jersey	Approved	02/23/1995
New Mexico	Approved	08/15/1995
New York	Approved	10/30/1984
North Carolina	Approved	05/28/1997
North Dakota	Approved	05/15/1998
Ohio	Approved	09/03/1992
Oklahoma	Approved	03/02/1994
Oregon	Approved	10/29/1997
Pennsylvania	Approved	10/18/1993
Puerto Rico	Approved	05/20/2004
Rhode Island	Approved	04/24/1998
South Carolina	Approved	02/02/1994
South Dakota	Approved	04/08/1998
Tennessee	Approved	09/30/1998
Texas	Approved	03/26/1993
Utah	Approved	09/28/1993
Vermont	Approved	06/09/1998
Virgin Islands	Approved	05/29/2007
Virginia	Approved	05/05/1997
Washington	Approved	03/26/1996
West Virginia	Approved	04/01/1998
Wisconsin	Approved	05/22/1989
Wyoming	Approved	04/07/1998

**Self Regulatory :**

Regulator	Status	Effective Date
FINRA	Approved	02/18/1982

**Type of Business :**

Broker or dealer involved in a networking, kiosk or similar arrangement with a: bank, savings bank or association, or  
 Broker or dealer retailing corporate equity securities over-the-counter  
 Broker or dealer selling corporate debt securities  
 Broker or dealer selling oil and gas interests  
 Broker or dealer selling tax shelters or limited partnerships in primary distributions  
 Broker or dealer selling tax shelters or limited partnerships in the secondary market  
 Broker or dealer selling variable life insurance or annuities  
 credit union  
 Municipal securities broker  
 Mutual fund retailer  
 Non-exchange member arranging for transactions in listed securities by exchange member  
 Private placements of securities  
 Put and call broker or dealer or option writer  
 Solicitor of time deposits in a financial institution

**Organization Affiliates :**

Company	Address	Effective Date	Foreign Entity	Country	Security Activities	Investment Advisory	Description
CAPITAL BROKERAGE CORPORATION is under common control with the firm.							
CENTURION HINDS INVESTMENT MANAGEMENT INC. is under common control with the firm.	200 N. MARTINGALE RD, 7TH FLOOR, SCHAUMBURG, IL 60173,	01/01/2003	No		No	Yes	GENWORTH FINANCIAL, INC. IS THE ULTIMATE PARENT OF CENTURION, HINDS INVESTMENT MANAGEMENT CORP., AND GENWORTH FINANCIAL SECURITIES CORPORATION.
CRD #: 10465	6620 W. BROAD ST., BUILDING 2, RICHMOND, VA 23230,	04/15/1993	No		Yes	No	GENWORTH FINANCIAL, INC. IS THE ULTIMATE PARENT OF CAPITAL, BROKERAGE CORPORATION AND GENWORTH FINANCIAL SECURITIES, CORPORATION.
Description: GENWORTH FINANCIAL, INC. IS THE ULTIMATE PARENT OF GENWORTH FINANCIAL ADVISERS CORPORATION is under common control with the firm.							
GENWORTH FINANCIAL INVESTMENT MANAGEMENT, LLC is under common control with the firm.	200 NORTH MARTINGALE ROAD, SEVENTH FLOOR, SCHAUMBURG, IL 60173-2096,	06/02/1998	No		No	Yes	GENWORTH FINANCIAL, INC. IS THE ULTIMATE PARENT OF GENWORTH, FINANCIAL INVESTMENT MANAGEMENT, LLC. AND GENWORTH FINANCIAL, SECURITIES CORPORATION.
GENWORTH FINANCIAL INVESTMENT MANAGEMENT, LLC is under common control with the firm.	3001 SUMMER STREET, 2ND FLOOR, STAMFORD, CT 06905,	03/04/2004	No		No	Yes	GENWORTH FINANCIAL, INC. IS THE ULTIMATE PARENT OF GENWORTH,
GENWORTH FINANCIAL WEALTH MANAGEMENT, INC. is under common control with the firm.	2300 CONTRA COSTA BLVD., PLEASANT HILL, CA 94523,	10/24/2006	No		No	Yes	GENWORTH FINANCIAL, INC. IS THE ULTIMATE PARENT OF GENWORTH FINANCIAL WEALTH MANAGEMENT, INC. AND GENWORTH FINANCIAL, SECURITIES CORPORATION.