

Registration Categories

Categories

SWAP DEALER REGISTERED
NFA MEMBER APPROVED
EXEMPT FOREIGN FIRM APPROVED

Business Information

Name	BANCO SANTANDER SA
Form of Organization	CORPORATION
Country	SPAIN

Federal EIN	Not provided
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Business Address

Street Address 1	CIUDAD GRUPO SANTANDER
Street Address 2	EDIFICIO PEREDA 1º PLANTA
Street Address 3	AVENIDA DE CANTABRIA S/N
City	BOADILLA DEL MONTE
Province	MADRID
Zip/Postal Code	28660
Country	SPAIN

Phone Number	+34912596514/+34912596520
Fax Number	+34912570245

Email	INVESTOR@GRUPOSANTANDER.COM
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Website/URL	WWW.SANTANDER.COM
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CRD/IARD ID	Not provided
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Other Names

BANCO SANTANDER

ALIAS

BANCO SANTANDER CENTRAL HISPANO SA

ALIAS

Location of Business Records

Street Address 1	CIUDAD GRUPO SANTANDER
Street Address 2	EDIFICIO PEREDA 1º PLANTA
Street Address 3	AVENIDA DE CANTABRIA S/N
City	BOADILLA DEL MONTE
Province	MADRID
Zip/Postal Code	28660
Country	SPAIN

U.S. Address for Production of Business Records

Office Of	BANCO SANTANDER, S.A. NEW YORK BRANCH
Street Address 1	437 MADISON AVENUE
City	NEW YORK
State	NEW YORK
Zip/Postal Code	10022

Principal Information

Individual Information

NFA ID **0458780**
Name **ALVAREZ, JOSE ANTONIO**
Title(s) **DIRECTOR**
10% or More Interest **No**
Status **APPROVED**
Effective Date **09-20-2013**

NFA ID **0479619**
Name **BAGGULEY, MICHAEL**
Title(s) **HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION**
10% or More Interest **No**
Status **APPROVED**
Effective Date **11-07-2022**

NFA ID **0565124**
Name **BARRABES CONSUL, JUAN CARLOS**
Title(s) **DIRECTOR**
10% or More Interest **No**
Status **APPROVED**
Effective Date **10-07-2024**

NFA ID **0458768**
Name **BOTIN SANZ DE SAUTUOLA OSHEA, ANA PATRICIA**
Title(s) **PRESIDENT**
10% or More Interest **No**
Status **APPROVED**
Effective Date **08-13-2013**

NFA ID **0458770**
Name **BOTIN SANZ DE SAUTUOLA OSHEA, JAVIER**
Title(s) **DIRECTOR**
10% or More Interest **No**
Status **APPROVED**
Effective Date **07-30-2013**

NFA ID **0487078**
Name **DAURELLA COMADRAN, SOL**

Title(s)	DIRECTOR
10% or More Interest	No
Status	APPROVED
Effective Date	05-29-2015

NFA ID	0548192
Name	DE LA FUENTE ESCAMILLA, GERMAN
Title(s)	DIRECTOR
10% or More Interest	No
Status	APPROVED
Effective Date	05-18-2022

NFA ID	0536553
Name	DIEZ BARROSO AZCARRAGA, GINA LORENZA
Title(s)	DIRECTOR
10% or More Interest	No
Status	APPROVED
Effective Date	04-13-2021

NFA ID	0525586
Name	DRUMMOND BORGES CIRNE DE CASTRO, HENRIQUE MANUEL
Title(s)	DIRECTOR
10% or More Interest	No
Status	APPROVED
Effective Date	10-30-2019

NFA ID	0458851
Name	GARCIA CANTERA, JOSE
Title(s)	CHIEF FINANCIAL OFFICER
10% or More Interest	No
Status	APPROVED
Effective Date	08-13-2013

NFA ID	0553823
Name	GRISI CHECA, HECTOR BLAS
Title(s)	CHIEF EXECUTIVE OFFICER
10% or More Interest	No
Status	APPROVED
Effective Date	02-03-2023

NFA ID	0496953
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Name	HAZELL, DAVID ARTHUR
Title(s)	CHIEF COMPLIANCE OFFICER
10% or More Interest	No
Status	APPROVED
Effective Date	03-22-2024

NFA ID	0553419
Name	HUTCHINS, GLENN HOGAN
Title(s)	DIRECTOR
10% or More Interest	No
Status	APPROVED
Effective Date	02-17-2023

NFA ID	0531171
Name	ISASI FERNANDEZ DE BOBADILLA, LUIS
Title(s)	DIRECTOR
10% or More Interest	No
Status	APPROVED
Effective Date	06-29-2020

NFA ID	0505774
Name	LINARES PEROU, JOSE MARIA
Title(s)	HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION
10% or More Interest	No
Status	APPROVED
Effective Date	07-14-2017

NFA ID	0493231
Name	ROMANA GARCIA, BELEN
Title(s)	DIRECTOR
10% or More Interest	No
Status	APPROVED
Effective Date	04-26-2016

NFA ID	0579107
Name	STERN VIEITAS, DEBORAH
Title(s)	DIRECTOR
10% or More Interest	No
Status	APPROVED
Effective Date	07-07-2026

NFA ID	0526175
Name	WALKDEN, PAMELA ANN
Title(s)	DIRECTOR
10% or More Interest	No
Status	APPROVED
Effective Date	11-29-2019

NFA ID	0393249
Name	WALSH III, JOSEPH NORTON
Title(s)	HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION
10% or More Interest	No
Status	APPROVED
Effective Date	09-30-2022

NFA ID	0565034
Name	WEISS, ANTONIO FRANCESCO
Title(s)	DIRECTOR
10% or More Interest	No
Status	APPROVED
Effective Date	09-27-2024

Holding Company Information

Not provided

Non-U.S. Regulator Information

List of Non-U.S. Regulator(s) During The Past Five Years

Country	Regulator Name
SPAIN	BANK OF SPAIN
SPAIN	COMISIÓN NACIONAL DEL MERCADO DE VALORES (CNMV)

Disciplinary Information - Criminal Disclosures

For additional assistance and information on completing this page, refer to the Instructions and Definition of Terms at the beginning of this document.

THE QUESTIONS ON THIS PAGE MUST BE ANSWERED "YES" EVEN IF:

- **ADJUDICATION OF GUILT WAS WITHHELD OR THERE WAS NO CONVICTION; OR**
- **THERE WAS A CONDITIONAL DISCHARGE OR POST-CONVICTION DISMISSAL AFTER SUCCESSFUL COMPLETION OF A SENTENCE; OR**
- **A STATE CERTIFICATE OF RELIEF FROM DISABILITIES OR SIMILAR DOCUMENT WAS ISSUED RELIEVING THE HOLDER OF FORFEITURES, DISABILITIES OR BARS RESULTING FROM A CONVICTION; OR**
- **THE RECORD WAS EXPUNGED OR SEALED; OR**
- **A PARDON WAS GRANTED.**

THE QUESTIONS MAY BE ANSWERED "NO" IF THE CASE WAS DECIDED IN A JUVENILE COURT OR UNDER A YOUTH OFFENDER LAW.

For each matter that requires a "Yes" answer to Questions A, B or C below, a Criminal Disclosure Matter Page (DMP) must be filed using NFA's DMP Filing System that requests:

- who was involved;
- when it occurred;
- what the allegations were;
- what the final determination was, if any; and
- the date of the determination.

In addition, documents must be provided for each matter requiring a "Yes" answer that show:

- the charges;
- the classification of the offense, i.e., felony or misdemeanor;
- the plea, sentencing and probation information, as applicable;
- the final disposition; and
- a summary of the circumstances surrounding the criminal matter.

The documents may be provided electronically using the upload function in the DMP Filing System or sending them to NFA (See Instructions).

Question A

Has the firm ever pled guilty or nolo contendere ("no contest") to or been convicted or found guilty of any felony in any U.S., non-U.S. or military court?

No

Question B

Has the firm ever pled guilty to or been convicted or found guilty of any misdemeanor in any U.S., non-U.S. or military court which involves:

- embezzlement, theft, extortion, fraud, fraudulent conversion, forgery, counterfeiting, false pretenses, bribery, gambling, racketeering, or misappropriation of funds, securities or property; or
- violation of sections 7203, 7204, 7205 or 7207 of the Internal Revenue Code of 1986; or
- violation of sections 152, 1341, 1342 or 1343 or chapters 25, 47, 95 or 96 of the U.S. Criminal Code; or
- any transaction in or advice concerning futures, options, leverage transactions or securities?

No

Question C

Is there a charge pending, the resolution of which could result in a "Yes" answer to the above questions?

No

Disciplinary Information - Regulatory Disclosures

For additional assistance and information on completing this page, refer to the Instructions and Definition of Terms at the beginning of this document.

For each matter that requires a "Yes" answer to Questions D, E, F, G, H or I below, a Regulatory DMP must be filed using NFA's DMP Filing System that requests:

- who was involved;
- when it occurred;
- what the allegations were;
- what the final determination was, if any;
- the date of the determination; and
- a summary of the circumstances surrounding the regulatory matter.

In addition, documents must be provided for each matter requiring a "Yes" answer that show:

- the allegations; and
- the final disposition.

The documents may be provided electronically using the upload function in the DMP Filing System or sending them to NFA (See Instructions).

Question D

In any case brought by a U.S. or non-U.S. governmental body (other than the CFTC), has a court ever permanently or temporarily enjoined the firm after a hearing or default or as the result of a settlement, consent decree or other agreement, from engaging in or continuing any activity involving:

- any transaction in or advice concerning futures, options, leverage transactions or securities; or
- embezzlement, theft, extortion, fraud, fraudulent conversion, forgery, counterfeiting, false pretenses, bribery, gambling, racketeering or misappropriation of funds, securities or property?

No

Question E

In any case brought by a U.S. or non-U.S. governmental body (other than the CFTC), has the firm ever been found, after a hearing or default or as the result of a settlement, consent decree or other agreement, to:

- have violated any provision of any investment-related statute or regulation thereunder; or
- have violated any statute, rule, regulation or order which involves embezzlement, theft, extortion, fraud, fraudulent conversion, forgery, counterfeiting, false pretenses, bribery, gambling, racketeering or misappropriation of funds, securities or property; or
- have willfully aided, abetted, counseled, commanded, induced or procured such violation by any other person; or
- have failed to supervise another person's activities under any investment-related statute or regulation thereunder?

Yes

Question F

Has the firm ever been debarred by any agency of the U.S. from contracting with the U.S.?

No

Question G

Has the firm ever been the subject of any order issued by or a party to any agreement with a U.S. or non-U.S. regulatory authority (other than the CFTC), including but not limited to a licensing authority, or self-regulatory organization (other than NFA or a U.S. futures exchange) that prevented or restricted the firm's ability to engage in any business in the financial services industry?

No

Question H

Are any of the orders or other agreements described in Question G currently in effect against the firm?

No

Question I

Is the firm a party to any action, the resolution of which could result in a "Yes" answer to the above questions?

Yes

Disciplinary Information - Financial Disclosures

For additional assistance and information on completing this page, refer to the Instructions and Definition of Terms at the beginning of this document.

For each matter that requires a "Yes" answer to Question J below, a Financial DMP must be filed using NFA's DMP Filing System that requests:

- who was involved;
- when it occurred;
- what the allegations were;
- what the final determination was, if any;
- the date of the determination; and
- a summary of the circumstances surrounding the financial matter.

In addition, documents must be provided for each matter requiring a "Yes" answer that show:

- the allegations; and
- the final disposition.

The documents may be provided electronically using the upload function in the DMP Filing System or sending them to NFA (See Instructions).

Question J

Has the firm ever been the subject of an adversary action brought by a U.S. bankruptcy trustee?

No

Registration Contact Information

First Name	LEO
Last Name	CHA
Title	ED BUSINESS LINE ADVISORY DFA
Street Address 1	437 MADISON AVENUE
City	NEW YORK
State (United States only)	NEW YORK
Zip/Postal Code	10022
Country	UNITED STATES
Phone	+917-873-3893
Email	LEO.CHA@SANTANDER.US

Enforcement/Compliance Communication Contact Information

First Name	LEO
Last Name	CHA
Title	ED BUSINESS LINE ADVISORY DFA
Street Address 1	437 MADISON AVENUE
City	NEW YORK
State (United States only)	NEW YORK
Zip/Postal Code	10022
Country	UNITED STATES
Phone	+917-873-3893
Email	LEO.CHA@SANTANDER.US

Membership Information

Indicate the category in which the Member intends to vote on NFA membership matters. **SWAP DEALER**

U.S. Regulator Information

Is the firm currently regulated by any of the regulators listed below? **Yes**

THE SECURITIES AND EXCHANGE COMMISSION

THE OFFICE OF THE COMPTROLLER OF THE CURRENCY

THE BOARD OF GOVERNORS OF THE FEDERAL RESERVE SYSTEM

Membership Contact Information

Membership Contact

First Name	LEO
Last Name	CHA
Title	ED BUSINESS LINE ADVISORY DFA
Street Address 1	437 MADISON AVENUE
City	NEW YORK
State (United States only)	NEW YORK
Zip/Postal Code	10022
Country	UNITED STATES
Phone	+917-873-3893
Email	LEO.CHA@SANTANDER.US

Accounting Contact

First Name	MARTA
Last Name	BATANERO ALMODOVAR
Title	ADMINISTRATIVE SUPPORT COSTS SGCB
Street Address 1	CIUDAD GRUPO SANTANDER
Street Address 2	AVENIDA CANTABRIA S/N
City	BOADILLA DEL MONTE
Province	MADRID
Zip/Postal Code	28660
Country	SPAIN
Phone	0034-615903968
Fax	0034-912570118
Email	MBATANERO@GRUPOSANTANDER.COM

Arbitration Contact

First Name	LEO
Last Name	CHA
Title	ED BUSINESS LINE ADVISORY DFA
Street Address 1	437 MADISON AVENUE
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Zip/Postal Code	10022
Country	UNITED STATES
Phone	+917-873-3893
Email	LEO.CHA@SANTANDER.US

Compliance Contact

First Name	LEO
Last Name	CHA
Title	ED BUSINESS LINE ADVISORY DFA
Street Address 1	437 MADISON AVENUE
City	NEW YORK
State (United States only)	NEW YORK
Zip/Postal Code	10022
Country	UNITED STATES
Phone	+917-873-3893
Email	LEO.CHA@SANTANDER.US

Chief Compliance Officer Contact

First Name	DAVID
Last Name	ARTHUR HAZELL
Title	CHIEF COMPLIANCE OFFICER
Street Address 1	CIUDAD GRUPO SANTANDER
Street Address 2	AVENIDA CANTABRIA S/N
City	BOADILLA DEL MONTE
Province	MADRID
Zip/Postal Code	28660
Country	SPAIN
Phone	0034 653 600 072
Email	DAVID.HAZELL@GRUPOSANTANDER.COM