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Part 2B of Form ADV: Brochure Supplement

**Jaime Castro Diaz**  
CRD #6247804

**Tisha Evans**  
CRD #4693102

**Aaron Foley**  
CRD #2843153

**Carl Hassett**  
CRD# 5103191

**Luis Monteiro**  
CRD#4324725

**Rahul Rana**  
CRD#6555933

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May 1, 2024

This brochure supplement provides information about Jaime Castro Diaz, Tisha Evans, Aaron Foley, Carl Hassett, Luis Monteiro, and Rahul Rana that supplements the Santander Securities LLC ADV Part 2A brochure. You should have received a copy of the ADV Part 2A brochure.

Please contact the Head of Field Supervision and Conflicts of Interest, Efrain Torres, at 866-736-6475, if you did not receive Santander Securities LLC's brochure or if you have any questions about the content of this supplement. The information in this supplement has not been approved or verified by the United States Securities and Exchange Commission ("SEC") or by any state securities authority. Additional information about Jaime Castro Diaz, Tisha Evans, Aaron Foley, Carl Hassett, Luis Monteiro, and Rahul Rana is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Table of Contents

### Investment Advisor Representatives

|                         |   |
|-------------------------|---|
| Jaime Castro Diaz ..... | 3 |
| Tisha Evans .....       | 4 |
| Aaron Foley .....       | 5 |
| Carl Hassett .....      | 6 |
| Luis Monteiro .....     | 7 |
| Rahul Rana .....        | 8 |

### Appendix

|                                 |    |
|---------------------------------|----|
| Disciplinary Information .....  | 9  |
| Other Business Activities ..... | 9  |
| Additional Compensation .....   | 10 |
| Supervision .....               | 10 |

**Jaime Castro Diaz**

**Year of Birth:** 1985

**Item 2 Education Background and Business Experience:**

Education

- Brandeis International Business School, MA, International Economics and Finance, May 2013
- Universidad de Sevilla, BA, Economics, January 2011

Securities Registrations

- FINRA Series 7, 24, 63, & 66

Business Background (for preceding five years)

- Santander Securities LLC, Call Center Financial Consultant, June 2018 – Present

Professional Designations

- None

**Item 3 Disciplinary Information**

Jaime Castro Diaz has no legal or disciplinary record deemed by SLLC to be material to a client's or prospective client's evaluation.

**Item 4 Other Business Activities**

Non-investment related business

Jaime Castro Diaz is not actively engaged in any other business or occupation which would be deemed substantial.

The abovementioned activities may or may not provide a substantial source of the Investment Adviser Representative's time or income. Furthermore, such non-investment related business activities are in no way affiliated, endorsed, sponsored or in any way associated with SLLC.

**Tisha Evans**

**Year of Birth:** 1977

**Item 2 Education Background and Business Experience:**

Education

- New England College of Business, no degree obtained, March 2010 – December 2011

Securities Registrations

- FINRA Series 6, 7, 63, & 66

Business Background (for preceding five years)

- Santander Securities LLC, Call Center Financial Consultant, February 2019 – Present

Professional Designations

- None

**Item 3 Disciplinary Information**

Tisha Evans has no legal or disciplinary record deemed by SLLC to be material to a client's or prospective client's evaluation.

**Item 4 Other Business Activities**

Non-investment related business

Tisha Evans is the owner of a rental property.

The abovementioned activities may or may not provide a substantial source of the Investment Adviser Representative's time or income. Furthermore, such non-investment related business activities are in no way affiliated, endorsed, sponsored or in any way associated with SLLC.

**Aaron Foley**

**Year of Birth:** 1970

**Item 2 Education Background and Business Experience:**

Education

- Northeastern University, Bachelor of Business Management, June 1994

Securities Registrations

- FINRA Series 7, 63, & 65

Business Background (for preceding five years)

- Santander Securities LLC, Investment Service Representative, June 2021 - Present
- Santander Securities LLC, Financial Consultant, October 2019 – June 2021
- Citizens Securities, Inc., Financial Advisor, September 2015 – September 2019

Professional Designations

- None

**Item 3 Disciplinary Information**

Aaron Foley has no legal or disciplinary record deemed by SLLC to be material to a client's or prospective client's evaluation.

**Item 4 Other Business Activities**

Non-investment related business

Aaron Foley is not actively engaged in any other business or occupation which would be deemed substantial.

The abovementioned activities may or may not provide a substantial source of the Investment Adviser Representative's time or income. Furthermore, such non-investment related business activities are in no way affiliated, endorsed, sponsored or in any way associated with SLLC.

**Carl Hassett**

**Year of Birth:** 1983

**Item 2 Education Background and Business Experience:**

Education

- University of Massachusetts Dartmouth, MA, BA in Marketing, May 2006e

Securities Registrations

- FINRA Series 7, 63, & 66

Business Background (for preceding five years)

- Santander Securities LLC, Call Center Financial Advisor, September 2023 – Present
- Santander Securities, Licensed Bank Employee, July 2019 – June 2023
- BackpackersUnion.com, Founder & CEO, July 2012 – July 2019

Professional Designations

- None

**Item 3 Disciplinary Information**

Carl Hassett has no legal or disciplinary record deemed by SLLC to be material to a client's or prospective client's evaluation.

**Item 4 Other Business Activities**

Non-investment related business

Carl Hassett is not actively engaged in any other business or occupation which would be deemed substantial.

The abovementioned activities may or may not provide a substantial source of the Investment Adviser Representative's time or income. Furthermore, such non-investment related business activities are in no way affiliated, endorsed, sponsored or in any way associated with SLLC.

**Luis Monteiro**

**Year of Birth:** 1977

**Item 2 Education Background and Business Experience:**

Education

- Fitchburg State University, Bachelor of Science, Marketing, June 2000

Securities Registrations

- FINRA Series 7, 9, 10, 63, & 66

Business Background (for preceding five years)

- Santander Securities LLC, Call Center Financial Consultant, June 2018 – Present

Professional Designations

- None

**Item 3 Disciplinary Information**

Luis Monteiro has no legal or disciplinary record deemed by SLLC to be material to a client's or prospective client's evaluation.

**Item 4 Other Business Activities**

Non-investment related business

Luis Monteiro is not actively engaged in any other business or occupation which would be deemed substantial.

The abovementioned activities may or may not provide a substantial source of the Investment Adviser Representative's time or income. Furthermore, such non-investment related business activities are in no way affiliated, endorsed, sponsored or in any way associated with SLLC.

**Rahul Rana**

**Year of Birth:** 1992

**Item 2 Education Background and Business Experience:**

Education

- Merrimack College, BA in Business Administration, December 2014

Securities Registrations

- FINRA Series 7, 63, & 66

Business Background (for preceding five years)

- Santander Securities LLC, Call Center Financial Consultant, October 2021 – Present
- GWFS Equities LLC, Registered Representative, September 2020 – October 2020
- Merrill Lynch, Pierce, Fenner, & Smith Inc, Financial Advisor Trainee – FADP, July 2018 – May 2019

Professional Designations

- None

**Item 3 Disciplinary Information**

Rahul Rana has no legal or disciplinary record deemed by SLLC to be material to a client's or prospective client's evaluation.

**Item 4 Other Business Activities**

Non-investment related business

Rahul Rana is not actively engaged in any other business or occupation which would be deemed substantial.

The abovementioned activities may or may not provide a substantial source of the Investment Adviser Representative's time or income. Furthermore, such non-investment



related business activities are in no way affiliated, endorsed, sponsored or in any way associated with SLLC.

### Disciplinary Information

#### Form ADV Part 2B, Item 3

Santander Securities LLC (hereinafter "SLLC") is required to disclose all material facts regarding any legal or disciplinary events that would be material to a client's or prospective client's evaluation of the Investment Adviser Representative's integrity. Such events include, but are not limited to, criminal or civil actions; administrative proceedings before the U.S. Securities and Exchange Commission; any other federal or state regulatory authority, foreign financial regulatory authority; self-regulatory organization proceedings; or any other hearing or formal adjudication.

We encourage you to independently view the background of each of these individuals on the Investment Adviser Public Disclosure website at <https://www.adviserinfo.sec.gov/> or FINRA's BrokerCheck website at a <https://brokercheck.finra.org/> by searching their full name or their individual CRD number.

### Other Business Activities

#### Form ADV Part 2B, Item 4

##### Investment related business:

Investment Adviser Representatives ("IARs") are dually registered with SLLC, a FINRA member broker-dealer. IARs receive commissions, bonuses, and other compensation based on the sale of securities or other investment products sold through the broker-dealer, including distribution or service ("trail") fees from the sale of mutual funds and annuities. IARs may also offer insurance through SLLC or its affiliates, and receive compensation on the sale of insurance products.

The receipt of additional compensation, such as brokerage commissions, creates a conflict of interest as it may provide an incentive to recommend investment products based on the compensation received, rather than on the client's needs. Clients have the option of purchasing investment products that SLLC recommends through other brokers or agents that are not affiliated with SLLC, if those purchases are done outside the advisory relationship with SLLC. Advisory fees paid by clients to SLLC are not reduced to offset any brokerage commissions received.

SLLC has a Code of Ethics intended to govern the conduct of its IARs and has adopted policies and procedures to address conflicts of interest.

### Additional Compensation

#### Form ADV Part 2B, Item 5

In addition to advisory fees, your advisor may earn sales incentives or awards based on the value of assets under management, investment products sold, number of sales, client referrals, amount of new deposits or amount of new accounts and/or the number of financial plans prepared and delivered over a defined period of time. This additional compensation may include the same items (economic benefits) as listed in the Other Business Activities section above as indirect compensation. Your advisor may also receive forgivable loans from SLLC, which are conditioned on your advisor retaining SLLC's broker-dealer and/or registered investment advisor services. This additional economic benefit creates a conflict of interest for your advisor to retain affiliation with SLLC in order to avoid re-payment on a loan. SLLC maintains a Code of Ethics requiring your advisor to always act in your best interest and maintains a supervisory structure to monitor the advisory activities of your advisor in order to reduce potential conflicts of interest.

### Supervision

#### Form ADV Part 2B, Item 6

Investment Adviser Representatives provide investment advisory and supervisory services in accordance with SLLC's policies and procedures manual.

**Head of Field Supervision and Conflicts of Interest, Efrain Torres**, is primarily responsible for the implementation of SLLC's policies and procedures and overseeing the activities of the firm's Investment Adviser Representatives. This includes, but is not limited to transaction and investment suitability, account opening and correspondence review. Should a client have any questions regarding SLLC's supervision, please contact Efrain Torres at 866-736-6475.

**Securities and advisory services are offered through Santander Investment Services, a division of Santander Securities LLC. Santander Securities LLC is a registered broker-dealer, Member FINRA and SIPC and a Registered Investment Adviser. Insurance is offered through Santander Securities LLC or its affiliates.**

**INVESTMENT AND INSURANCE PRODUCTS ARE: NOT FDIC INSURED | NOT BANK GUARANTEED | MAY LOSE VALUE | NOT INSURED BY ANY FEDERAL GOVERNMENT AGENCY | NOT A BANK DEPOSIT**