



IAPD Report

August Charles Miele

CRD# 2034696

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Information	7



When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page
<http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

August Charles Miele (CRD# 2034696)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **09/30/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	SANTANDER SECURITIES LLC	CRD# 41791	01/30/2013
IA	SANTANDER SECURITIES	CRD# 41791	04/18/2013

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **17** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	NATIONAL ASSET MANAGEMENT, INC.	115927	NEW YORK, NY	04/23/2009 - 12/23/2011
B	NATIONAL SECURITIES CORPORATION	7569	NEW YORK, NY	04/08/2009 - 12/23/2011
IA	CHASE INVESTMENT SERVICES CORP.	25574	NEW YORK, NY	11/14/2008 - 01/23/2009

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	4



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with 17 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **SANTANDER SECURITIES**

Main Address: 75 STATE STREET
MAIL CODE: MA-SST-INV3
BOSTON, MA 02109

Firm ID#: 41791

Regulator	Registration	Status	Date
 FINRA	General Securities Principal	Approved	01/30/2013
 FINRA	General Securities Representative	Approved	01/30/2013
 Arizona	Agent	Approved	01/03/2022
 California	Agent	Approved	04/25/2018
 Connecticut	Agent	Approved	05/08/2017
 Florida	Agent	Approved	02/08/2017
 Georgia	Agent	Approved	04/18/2013
 Maryland	Agent	Approved	04/19/2013
 Massachusetts	Agent	Approved	10/26/2015
 Michigan	Agent	Approved	12/06/2017
 New Hampshire	Agent	Approved	07/28/2014
 New Jersey	Agent	Approved	01/30/2013
 New York	Agent	Approved	01/30/2013



Qualifications

	Regulator	Registration	Status	Date
IA	New York	Investment Adviser Representative	Approved	03/19/2021
B	North Carolina	Agent	Approved	04/29/2021
B	Pennsylvania	Agent	Approved	04/09/2018
B	Tennessee	Agent	Approved	10/01/2025
B	Texas	Agent	Approved	12/17/2015
B	Virginia	Agent	Approved	09/17/2013
B	Wyoming	Agent	Approved	10/20/2022

Branch Office Locations

SANTANDER SECURITIES
250 Lexington Avenue
New York, NY 10016

SANTANDER SECURITIES
841 Broadway
New York, NY 10003

SANTANDER SECURITIES
243 Canal Street
New York, NY 10013

SANTANDER SECURITIES
389 E 149th Street
Bronx, NY 10455

SANTANDER SECURITIES
1350 Broadway
New York, NY 10018

SANTANDER SECURITIES
200 Liberty Street
17th Floor
New York, NY 10281

SANTANDER SECURITIES
330 Madison Avenue
New York, NY 10017

SANTANDER SECURITIES
226 East 86th Street
New York, NY 10028

SANTANDER SECURITIES
222 Broadway
NEW YORK, NY 10038

SANTANDER SECURITIES
2168 White Plains Road
Bronx, NY 10462

SANTANDER SECURITIES
1416 East Avenue
Bronx, NY 10462



Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 1 principal/supervisory exam, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	04/25/2007

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	09/18/1991

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	09/09/2009
 Uniform Investment Adviser Law Examination (S65)	Series 65	11/11/2008

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	04/23/2009 - 12/23/2011	NATIONAL ASSET MANAGEMENT, INC.	CRD# 115927	NEW YORK, NY
B	04/08/2009 - 12/23/2011	NATIONAL SECURITIES CORPORATION	CRD# 7569	NEW YORK, NY
IA	11/14/2008 - 01/23/2009	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	NEW YORK, NY
B	08/25/2008 - 01/23/2009	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	NEW YORK, NY
B	03/02/2006 - 08/18/2008	POINTE CAPITAL, INC.	CRD# 112097	STATEN ISLAND, NY
B	03/17/2004 - 02/28/2006	SALOMON GREY FINANCIAL CORPORATION	CRD# 43413	DALLAS, TX
B	10/25/2001 - 03/13/2003	SALOMON GREY FINANCIAL CORPORATION	CRD# 43413	DALLAS, TX
B	01/04/2000 - 10/17/2001	JOSEPH GUNNAR & CO. LLC	CRD# 24795	UNIONDALE, NY
B	06/06/1997 - 01/03/2000	J.W. BARCLAY & CO., INC.	CRD# 23350	WOODBRIDGE, NJ
B	07/22/1994 - 07/02/1997	BARINGTON CAPITAL GROUP, L.P.	CRD# 29383	NEW YORK, NY
B	04/09/1997 - 06/19/1997	M.S. FARRELL & COMPANY, INC.	CRD# 24232	SYOSSET, NY
B	05/20/1996 - 04/16/1997	THE BOSTON GROUP	CRD# 37652	LOS ANGELES, CA
B	08/18/1993 - 08/03/1994	LEW LIEBERBAUM & CO., INC.	CRD# 17341	GARDEN CITY, NY
B	06/21/1993 - 08/19/1993	BARINGTON CAPITAL GROUP, L.P.	CRD# 29383	NEW YORK, NY
B	03/22/1993 - 06/05/1993	ALLIED CAPITAL, INC.	CRD# 25975	NEW YORK, NY



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
	02/26/1993 - 03/25/1993	ADVANCED EQUITY GROUP, INC.	CRD# 13873	
	11/18/1991 - 09/25/1992	GKN SECURITIES CORP.	CRD# 19415	NEW YORK, NY

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/2023 - Present	Santander Securities, LLC	Financial Advisor	Y	Dorchester, MA, United States
01/2013 - Present	Santander Bank, NA	Bank Employee	Y	Boston, MA, United States
01/2013 - 01/2023	Santander Securities, LLC	Financial Consultant	Y	DORCHESTER, MA, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

Landlord, rental property, 106 Battery Avenue, Brooklyn, NY, investment related, one hour per month, none during trading hours, start date 5/1/2024.



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	4

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SANTANDER SECURITIES LLC
Allegations:	Client alleges poor performance in the investment account. Client further alleges that he has been subjected to poor service relating to the investment account.
Product Type:	Other: Managed Account
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	Unspecified compensatory damages.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	07/19/2022
Complaint Pending?	No
Status:	Denied
Status Date:	09/09/2022
Settlement Amount:	

**Individual Contribution
Amount:****Disclosure 2 of 4**

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Santander Securities LLC
Allegations:	Client claims he was told that a managed account was suitable for short term investing, account value declined. Customer claims the funds were earmarked to purchase a new home.
Product Type:	Other: Managed Account
Alleged Damages:	\$6,865.00
Alleged Damages Amount Explanation (if amount not exact):	Net loss for account on the date the complaint was received
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	10/19/2015
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	11/05/2015
Settlement Amount:	\$0.00
Individual Contribution Amount:	\$0.00

Disclosure 3 of 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	POINTE CAPITAL
Allegations:	CUSTOMER ALLEGES UNSUITABLE INVESTMENT.
Product Type:	Equity-OTC
Alleged Damages:	\$22,979.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No



Customer Complaint Information

Date Complaint Received: 05/24/2013

Complaint Pending? No

Status: Denied

Status Date: 06/07/2013

Settlement Amount:

Individual Contribution

Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: POINTE CAPITAL

Allegations: CUSTOMER ALLEGES UNSUITABLE INVESTMENT.

Product Type: Equity-OTC

Alleged Damages: \$22,979.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 05/24/2013

Complaint Pending? No

Status: Denied

Status Date: 06/07/2013

Settlement Amount:

Individual Contribution

Amount:

Disclosure 4 of 4

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: THE BOSTON GROUP, L.P.

Allegations: MISREPRESENTATION; BRCH OF FIDUCIARY DT; OMISSION OF FACTS; SUITABILITY

Product Type:

Alleged Damages:

Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:**[NASD - CASE #97-03351](#)**Date Notice/Process Served:** 07/14/1997**Arbitration Pending?** No**Disposition:** Other**Disposition Date:** 07/07/1998**Disposition Detail:** AWARD AGAINST PARTY
***MIELE IS LIABLE FOR \$7,500.00 IN
COMPENSATORY DAMAGES*****Reporting Source:** Firm**Employing firm when activities occurred which led to the complaint:** THE BOSTON GROUP, L.P.**Allegations:** FRAUD, BREACH OF FIDUCIARY DUTY, AND NEGLIGENCE**Product Type:****Alleged Damages:****Customer Complaint Information****Date Complaint Received:****Complaint Pending?** No**Status:** Arbitration/Reparation**Status Date:** 07/07/1998**Settlement Amount:****Individual Contribution Amount:****Arbitration Information****Arbitration/Reparation Claim filed with and Docket/Case No.:** [National Assoc. of Securities Dealers: 97-03351](#)**Date Notice/Process Served:** 07/14/1997**Arbitration Pending?** No**Disposition:** Award to Customer**Disposition Date:** 07/07/1998**Monetary Compensation Amount:** \$16,250.00**Individual Contribution Amount:** \$7,500.00**Firm Statement** N/A
Not Provided



Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: THE BOSTON GROUP, L.P.

Allegations: ALLEGED THAT THEY MADE MATERIAL MISREPRESENTATIONS

Product Type: Equity - OTC

Alleged Damages: \$65,003.00

Customer Complaint Information

Date Complaint Received: 06/05/1997

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 07/07/1998

Settlement Amount: \$16,250.00

Individual Contribution Amount: \$7,500.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NATIONAL ASSOC. OF SECURITIES DEALERS; 97-03351](#)

Date Notice/Process Served: 07/14/1997

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 07/07/1998

Monetary Compensation Amount: \$16,250.00

Individual Contribution Amount: \$7,500.00

Broker Statement RESPONDENT BOSTON GROUP IS LIABLE FOR \$8,750. RESPONDENT AUGUST MIELE IS LIABLE FOR \$7,500. NOT PROVIDED



End of Report

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