

Marcos Santana
531 w 211th st apt 41A
New York, NY 10034
646-721-7170
Santana_marcos@icloud.com

Alan Lawhead, Esq
Office of General Counsel
FINRA
1735 K Street, NW
Washington, DC 20006

RECEIVED

OCT 6 2014

OFFICE OF GENERAL COUNSEL
Regulatory/Appellate

RE: Bar from association with any FINRA member
Marcos A. Santana, CRD No. 5367628
Matter No. 2013039520101

To whom it may concern,

I am currently filing an application for review in regards to matter No. 2013039520101 with a date of September 2, 2014. I am seeking to appeal this regulatory action to the U.S Securities and Exchange Commission and FINRA. I originally sent the documents by mail on 8/15/2014. As evidence of this i will be providing the original letter sent to Ms. Harris on said date. The said letter was printed at a staple center due to the fact that I don't have a printer available at home. I then signed, notarized and sent on 8/15/2014. It was later scanned for record keeping. I will provide e-mail confirmation received from staples when document was printed and scanned. A bank statement will be provided to further show the transaction that occurred at the staple center on 08/15/2014. It was later brought to my attention the said letter explaining the events that occurred on November 2013 between myself and Chase Bank were never received by the original recipient Sandra J. Harris, Senior Director at FINRA.

Sincerely,


Marcos Santana

STATE OF NEW YORK
COUNTY OF NEW YORK
SWORN TO BEFORE ME THIS 3rd DAY
OF SEP 2014

RANDY RAMOS, NOTARY PUBLIC
State of New York, No. 03-500608P
Qualified in New York County
Certified in New York County
Commission Expires 9/30/15



MARCOS SANTANA

531 W 211th st apt 41A
New York, NY 10034

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T 347-707-1051
santana_marcos@icloud.com

September 2, 2014
Sandra J. Harris
Senior Director
FINRA
300 South Grand Avenue, Suite 1600
Los Angeles, CA 90071

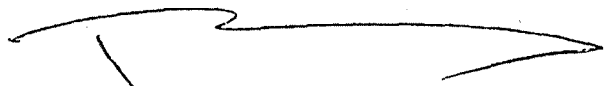
Dear Sandra

As of November 15, 2013 I am no longer employed by Chase bank due to certain circumstances that occurred to another individual. These events occurred during the months prior to this date. My younger brother was stopped by police officers while driving a vehicle. I used the vehicle very frequently and had several items that belonged to me. Including my work suit. In my work suit i had pieces with notes to follow up with customers. Police officer found my belongings and questioned my younger brother of their origins. These police officers contacted the security department of Chase Bank. I visited their offices and explained the situation. I clearly explained the situation and i was suspended on october 31, 2013. Two weeks later i received a phone call from the manager of the branch letting me know that i would no longer work for the bank. No fraud, no crime was committed and i never was arrested for anything related to banking. Unfortunately these circumstances occurred and i was left with out a job due to it.

Sincerely yours,


Marcos Santana

STATE OF NEW YORK
COUNTY OF NEW YORK
SWORN TO BEFORE ME THIS 3rd DAY
OF Sept 2014


RANDY RAMOS, NOTARY PUBLIC
State of New York, No. 03-5006088
Qualified in New York County
Certified in New York County
Commission Expires 9/30/15

mail

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BROADWAY AVENUE BRONX, NY 10463

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08/19/14

August 15, 2014 3:42 PM

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08/19/14

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08/19/14

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08/15/14

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Water Club
You For Staying With Us

08/16/14

Barnett, LaQuita R.

From: Barnett, LaQuita R.
Sent: Tuesday, October 07, 2014 11:42 AM
To: Bruns, Catherine (Catherine.Bruns@finra.org)
Subject: SEC Appeal - Marcos Santana

Hi Catherine,

I hope all is well. Here is the case number (3-16190) for Mr. Marcos Santana's Appeal. Thanks.

*LaQuita R. Barnett
Office of the Secretary
U.S. Securities & Exchange Commission
100 F Street, NE - SP2, Mail Stop 10902
Washington, DC 20549
(202) 551-5422*



VIA CERTIFIED AND FIRST CLASS MAIL

September 2, 2014

Marcos A. Santana



Marcos A. Santana



Re: Bar from Association with any FINRA member (FINRA Rule 9552)
Marcos A. Santana, CRD No. 5367628
Matter No. 2013039520101

Dear Mr. Santana:

Please be advised that, pursuant to FINRA Rule 9552(h) and, in accordance with FINRA's Notice of Suspension letter dated May 27, 2014 and the Suspension from Association letter dated June 20, 2014, you were barred from associating with any FINRA member in any capacity on September 2, 2014.

If you seek to appeal this regulatory action to the U.S. Securities and Exchange Commission (SEC), you must file an application with the SEC at the address listed below. To comply with the SEC's rule regarding timeliness, you must file the application for review within thirty days of your receipt of this letter. Also, a copy of the application, as well as copies of all documents you file with the SEC in connection with this matter, must be sent to FINRA. The SEC and FINRA addresses are as follows:

Office of the Secretary
U.S. Securities and Exchange Commission
100 F Street, NE
Mail Stop 1090
Washington, DC 20549

Alan Lawhead, Esq.
Office of General Counsel
FINRA
1735 K Street, NW
Washington, DC 20006

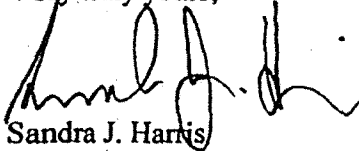
Any documents provided to the SEC via facsimile or overnight mail should also be provided to FINRA by similar means.

Marcos A. Santana
September 2, 2014
Page 2

If you file an application for review with the SEC, the application must identify the FINRA case number and set forth in summary form a brief statement of alleged errors in the determination and the supporting reasons. You must also include an address where you may be served and phone number where you may be reached during business hours. If your address or phone number changes, you must advise the SEC and FINRA. Attorneys must file a notice of appearance.

Questions regarding the appeal process may be directed to the Office of the Secretary at the SEC. The phone number of that office is (202) 551-5400.

Very truly yours,



Sandra J. Harris
Senior Director, Policy & Expedited Proceedings

cc: Michael Solomon, Regional Director (District 10 – New York)