



JAN 17 2006

OFFICIAL USE
11-117

DIVISION OF MARKET REGULATION

**Notice of Government Securities Broker or Government Securities Dealer Activities
To Be Filed by a Financial Institution Under Section 15C(a)(1)(B)
of the Securities Exchange Act of 1934**

1. Check appropriate regulatory agency (ARA):

- A. Comptroller of the Currency
- B. Board of Governors of the Federal Reserve System
- C. Federal Deposit Insurance Corporation
- D. Office of Thrift Supervision
- E. Securities and Exchange Commission

2. Conducts business as:

- A. Government Securities Broker
- B. Government Securities Dealer
- C. Government Securities Broker and Dealer

3. Filing status of notice:

- A. Notice
- B. Amendment

PROCESSED
JUN 12 2006
THOMSON FINANCIAL

4. A. Full name of the financial institution:

SID of Manufacturers and Traders Trust Company

B. Address of principal office of financial institution:

One M&T Plaza, Buffalo, NY 14203

C. Address of principal office where government securities broker or government securities dealer activities will be conducted (if different from item (B)):

25 South Charles Street, Baltimore, MD 21201

D. Mailing address if different from (B) or (C):

E. Name, title and telephone number of contact person with respect to this notice:

<u>Richard A. Shatzkin</u>	<u>Administrative VP</u>	<u>410-545-2051</u>
Name	Title	Telephone

5. Does financial institution conduct, or will it conduct, government securities broker or government securities dealer activities at any location other than given in Question 4 above? A. Yes B. No

(If yes, provide addresses and describe activities.)

2875 Union Road, Suites 30-33, Cheektowaga, NY 14227

Review and approval of new accounts and transactions occurs at this location.

Handwritten signature/initials

6. Furnish the name and title of each person who is directly engaged in the management, direction or supervision of any of the financial institution's government securities broker or government securities dealer activities:

Full Name

PLEASE SEE ATTACHED

Last	First	Middle	Title

Note: Attach a separate Form G-FIN-4 (or, if previously filed, a copy of Form MSD-4 or Form U-4) for each person named in item 6.

7. Has any "associated person" (see definition in paragraph A.7. of the instructions) responded "yes" to any question in Item 17 of Form G-FIN-4, or "yes" to one or more questions in Items 23 through 26 of Form MSD-4 or Item 22 on Form U-4?

A. Yes B. No

Note: The financial institution and the person executing this form are responsible for making an inquiry of all other employers of any associated person during the immediately preceding three years for the purpose of verifying the accuracy of the information furnished on Form G-FIN-4. (See 17 C.F.R. 400.4(c).) Similar requirements are applicable to Form MSD-4 and Form U-4.

8. The financial institution submitting this notice and the person executing it represent that all of the information contained herein is true, current and complete.

Please print name and title of person executing this notice:

Richard A. Shatzkin Administrative VP
First Middle Last Title

Richard A. Shatzkin 10/3/05
Manual Signature Date

Attachment for FR G-FIN
SID of Manufacturers and Traders Trust Company
September 29, 2005

Item #6

<u>Last Name</u>	<u>First Name</u>	<u>Middle Name</u>	<u>Title</u>
Shatzkin	Richard	Adam	Administrative Vice President
Webb	John	Mathers	Vice President
Plowe	Karen	Mae	Assistant Vice President
Galante	Maura	Ellen	Compliance Analyst
Root	Breann	Lisa	Compliance Analyst
Buck	Keith	Thomas	Assistant Vice President
Guerrieri, Jr.	Salvatore		Senior Vice President



BOARD OF GOVERNORS
OF THE
FEDERAL RESERVE SYSTEM

WASHINGTON, D.C. 20551

DIVISION OF BANKING
SUPERVISION AND REGULATION

SECURITIES AND EXCHANGE COMMISSION
RECEIVED

January 9, 2006

JAN 17 2005

Securities and Exchange Commission
Division of Market Regulation
Attn: Carol Y. Charnock
Mail Stop 6628
100 F Street, NE
Washington, D.C. 20549

DIVISION OF MARKET REGULATION

Subject: Notice by Financial Institutions of Government Securities Broker or
Government Securities Dealer Activities

Dear Ms. Charnock:

Enclosed pursuant to Section 17(c)(1) of the Securities Exchange Act of 1934 ('34 Act) is a copy of a notice that was filed with the Federal Reserve by the Manufacturers and Traders Trust Company pursuant to Section 15C(a)(1)(B) of the '34 Act. Also enclosed are related attachments to the referenced notice.

If you have any questions, I can be reached at (202) 452-2836.

Sincerely,

A handwritten signature in cursive script that reads "Michael J. Schoenfeld".

Michael J. Schoenfeld
Senior Supervisory Financial Analyst

Enclosures

Composite Information

Individual CRD#: 2413583	Individual Name: SHATZKIN, RICHARD A
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Full Legal Name:	SHATZKIN, RICHARD ADAM			
Social Security #:	126-38-2904			
Date Of Birth:	02/20/1962			
Employment	Name	M&T SECURITIES, INC. (17358)		
	Address	ONE M&T PLAZA 3RD FLOOR BUFFALO, NY 14240		
	Bill Cd	00		
	Position	Registered Representative		
IA Affiliation	Name	M&T SECURITIES, INC. (17358)		
	Address	2875 UNION ROAD SUITE 30-33 CHEEKTOWAGA, NY 14227		
	IA Affiliation	Direct Owner		
Residential Address	4 MERRY HILL COURT PIKESVILLE, MD 21208			
Reportable Disclosures?	The specified individual has no disclosure that qualifies under this section (i.e., disclosure required to be reported on Form U4 or Form U5). Regulatory and Broker/Dealer Users: Please note that there are three types of disclosure in Web CRD: Reportable, Legacy and Archive disclosure. An individual with no reportable disclosure may or may not have Legacy or Archive disclosure. Investment Adviser Users: Please note that IARD does not include Legacy disclosure. Information reported on previous form filings through IARD is available under Filing History.			
Statutory Disqualification Status	Clear			
Has Material Difference in Disclosure?	No			
Current CE Status	Satisfied			
Disclosure Counts - Current Disclosures	Criminal	Regulatory Action	Customer Complaint	Other
	0	0	0	0
Disclosure Counts - Historical Disclosures	Criminal	Regulatory Action	Customer Complaint	Other
	0	0	0	0

Personal Information

Individual CRD#: 2413583	Individual Name: SHATZKIN, RICHARD A
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Other Names Known by:	
Social Security #:	126-38-2904
Date of Birth:	02/20/1962
State/Country of Birth	Unknown
Sex:	M
Height:	6 ft 1 in
Weight:	200 lbs
Hair Color:	Brown
Eye Color	Brown

Personal Residential History					
From	To	Street	City	State/Country	Zip
09/2003	Present	4 MERRY HILL COURT	PIKESVILLE	MD	21208
07/2001	09/2003	43 ORCHARD HILL ROAD	CARMEL	NY	10512
04/1991	06/2001	482 MT. VERNON ROAD	AMHERST	NY	14226

U4 Employment History

Individual CRD#: 2413583	Individual Name: SHATZKIN, RICHARD A
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Please note that data contained in the U4 EMPLOYMENT HISTORY SCREEN is updated only by a U4 and does not reflect any changes made by the filing of a U5.

Employment History							
From	To	Name	Investment Related Business?	City	State	Country	Position
07/1986	Present	M&T SECURITIES, INC.	Y	BUFFALO	NY		UNKNCONV
07/1986	Present	MANUFACTURERS AND TRADERS TRUST COMPANY	N	BUFFALO	NY		VICE_PRESIDENT - Vice President

Office of Employment Address History								
From	To	Firm	Street 1	Street 2	City	State	Country	Postal Code
07/21/1986	Present	M&T SECURITIES, INC. (17358)	ONE M&T PLAZA	3RD FLOOR	BUFFALO	NY		14240

Registrations with Current Employers

Individual CRD#: 2413583	Individual Name: SHATZKIN, RICHARD A
Firm CRD # : 17358	Firm Name : M&T SECURITIES, INC.

Employment Start Date	07/21/1986
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Regulatory Authority	Registration Category	Filing Date	Status Date	Registration Status	Approval Date	Registration Status Note
NASD	FN	07/05/1999	05/26/1995	APPROVED	05/26/1995	N
NASD	GP	07/05/1999	12/23/1994	APPROVED	12/23/1994	N
NASD	GS	07/05/1999	04/30/1994	APPROVED	04/30/1994	N
NASD	MP	07/05/1999	11/18/1994	APPROVED	11/18/1994	N
NASD	MR	07/05/1999	11/09/1994	APPROVED	11/09/1994	N
AK	AG	07/05/1999	12/10/2001	TERMED	02/04/1998	N
AL	AG	07/05/1999	12/10/2001	TERMED	08/06/1998	N
AR	AG	07/05/1999	12/10/2001	TERMED	02/10/1998	N
CT	AG	07/05/1999	12/10/2001	TERMED	05/09/1995	N
DC	AG	11/19/2003	11/19/2003	APPROVED	11/19/2003	N
DC	AG	07/05/1999	12/10/2001	TERMED	02/26/1998	N
GA	AG	07/05/1999	12/10/2001	TERMED	03/03/1998	N
HI	AG	07/05/1999	12/10/2001	TERMED	07/07/1998	N
IA	AG	07/05/1999	12/10/2001	TERMED	01/28/1998	N
ID	AG	07/05/1999	12/10/2001	TERMED	01/28/1998	N
IL	AG	07/05/1999	12/10/2001	TERMED	06/08/1995	N
IN	AG	07/05/1999	12/10/2001	TERMED	02/27/1998	N
KS	AG	07/05/1999	12/10/2001	TERMED	03/03/1998	N
KY	AG	07/05/1999	12/10/2001	TERMED	02/25/1998	N
LA	AG	07/05/1999	12/10/2001	TERMED	03/04/1998	N
MD	AG	11/19/2003	11/19/2003	APPROVED	11/19/2003	N
ME	AG	07/05/1999	12/10/2001	TERMED	05/14/1998	N
MN	AG	07/05/1999	12/10/2001	TERMED	06/09/1998	N
MO	AG	07/05/1999	12/10/2001	TERMED	06/10/1998	N
MS	AG	07/05/1999	12/10/2001	TERMED	03/16/1998	N
MT	AG	07/05/1999	12/10/2001	TERMED	01/29/1998	N
ND	AG	07/05/1999	12/10/2001	TERMED	02/27/1998	N
NE	AG	07/05/1999	12/10/2001	TERMED	02/27/1998	N
NH	AG	07/05/1999	12/10/2001	TERMED	03/10/1998	N
NM	AG	07/05/1999	12/10/2001	TERMED	11/24/1999	N
NY	AG	07/05/1999	04/30/1994	APPROVED	04/30/1994	N
OH	AG	07/05/1999	12/10/2001	TERMED	04/07/1998	N
OK	AG	07/05/1999	12/10/2001	TERMED	02/11/1998	N
OR	AG	07/05/1999	12/10/2001	TERMED	02/10/1998	N
PA	AG	11/19/2003	11/19/2003	APPROVED	11/19/2003	N
PA	AG	07/05/1999	12/10/2001	TERMED	03/05/1998	N
PR	AG	07/05/1999	12/10/2001	TERMED	02/24/1998	N
RI	AG	07/05/1999	12/10/2001	TERMED	01/29/1998	N
SC	AG	07/05/1999	12/10/2001	TERMED	02/25/1998	N

SD	AG	07/05/1999	12/10/2001	TERMED	01/28/1998	N
TN	AG	07/05/1999	05/20/1998	TERMED	03/24/1998	N
TX	AG	07/05/1999	12/10/2001	TERMED	03/19/1998	N
UT	AG	07/05/1999	12/10/2001	TERMED	01/28/1998	N
VA	AG	11/19/2003	11/19/2003	APPROVED	11/19/2003	N
WA	AG	07/05/1999	12/10/2001	TERMED	02/24/1998	N
WI	AG	07/05/1999	12/10/2001	TERMED	05/26/1998	N
WV	AG	11/19/2003	11/19/2003	APPROVED	11/19/2003	N
WV	AG	07/05/1999	12/10/2001	TERMED	02/25/1998	N
WY	AG	07/05/1999	12/10/2001	TERMED	02/25/1998	N

⚠ The specified individual has no disclosure that qualifies under this section (i.e., disclosure required to be reported on Form U4 or Form U5). Regulatory and Broker/Dealer Users: Please note that there are three types of disclosure in Web CRD: Reportable, Legacy and Archive disclosure. An individual with no reportable disclosure may or may not have Legacy or Archive disclosure. Investment Adviser Users: Please note that IARD does not include Legacy disclosure. Information reported on previous form filings through IARD is available under Filing History.

Current Disclosure Summary

Individual CRD#: 2413583	Individual Name: SHATZKIN, RICHARD A
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Exam Information

Individual CRD#: 2413583	Individual Name: SHATZKIN, RICHARD A
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Exam History							
Exam	Status	Status Date	Exam Date	Grade	Score	Window Begin Date	Window End Date
S7	Official Result	01/31/1994	01/31/1994	PASSED	94		
S24	Official Result	12/22/1994	12/22/1994	PASSED	93		
S27	Official Result	05/19/1995	05/19/1995	PASSED	80		
S53	Official Result	11/17/1994	11/17/1994	PASSED	87		
S63	Official Result	02/16/1994	02/16/1994	PASSED	86		

Composite Information

Individual CRD#: 1467325		Individual Name: WEBB, JOHN M		
Full Legal Name:	WEBB, JOHN MATHERS			
Social Security #:	213-66-7650			
Date Of Birth:	12/23/1961			
Employment	Name	M&T SECURITIES, INC. (17358)		
	Address	ONE M&T PLAZA BUFFALO, NY 14240-2399		
	Bill Cd	17531		
	Position	Registered Representative		
Residential Address	1407 SAYBROOKE COURT PASADENA, MD 21122			
Reportable Disclosures?	The specified individual has no disclosure that qualifies under this section (i.e., disclosure required to be reported on Form U4 or Form U5). Regulatory and Broker/Dealer Users: Please note that there are three types of disclosure in Web CRD: Reportable, Legacy and Archive disclosure. An individual with no reportable disclosure may or may not have Legacy or Archive disclosure. Investment Adviser Users: Please note that IARD does not include Legacy disclosure. Information reported on previous form filings through IARD is available under Filing History.			
Statutory Disqualification Status	Clear			
Has Material Difference in Disclosure?	No			
Current CE Status	Satisfied			
Disclosure Counts - Current Disclosures	Criminal	Regulatory Action	Customer Complaint	Other
	0	0	0	0
Disclosure Counts - Historical Disclosures	Criminal	Regulatory Action	Customer Complaint	Other
	0	0	0	0

Web CRD Personal Information [User Name: ipm001, OrgID: 1467325] Page 1 of 1

Personal Information

Individual CRD#: 1467325	Individual Name: WEBB, JOHN M
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Other Names Known by:	WEBB, JAY
Social Security #:	213-66-7650
Date of Birth:	12/23/1961
State/Country of Birth	Unknown
Sex:	M
Height:	5 ft 8 in
Weight:	135 lbs
Hair Color:	Red or Auburn
Eye Color	Brown

Personal Residential History					
From	To	Street	City	State/Country	Zip
01/2002	Present	1407 SAYBROOKE COURT	PASADENA	MD	21122
05/1987	01/2002	3441 BROOKHAVEN ROAD	PASADENA	MD	21122
05/1987	07/1995	3441 BROOKHAVEN ROAD	PASADENA	MD	21122

U4 Employment History

Individual CRD#: 1467325	Individual Name: WEBB, JOHN M
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Please note that data contained in the U4 EMPLOYMENT HISTORY SCREEN is updated only by a U4 and does not reflect any changes made by the filing of a U5.

Employment History							
From	To	Name	Investment Related Business?	City	State	Country	Position
05/2003	Present	M&T SECURITIES, INC.	Y	BUFFALO	NY	UNITED STATES	Mass Transfer
11/1986	Present	ALLFIRST BROKERAGE CORPORATION	Y	BALTIMORE	MD		UNKNCONV

Office of Employment Address History								
From	To	Firm	Street 1	Street 2	City	State	Country	Postal Code
05/01/2003	Present	M&T SECURITIES, INC. (17358)	ONE M&T PLAZA		BUFFALO	NY	UNITED STATES	14240-2399
11/17/1986	05/01/2003	ALLFIRST BROKERAGE CORPORATION (17531)	25 SOUTH CHARLES STREET		BALTIMORE	MD		21202

Registrations with Current Employers

Individual CRD#: 1467325	Individual Name: WEBB, JOHN M
Firm CRD # : 17358	Firm Name : M&T SECURITIES, INC.

Employment Start Date	05/01/2003
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Regulatory Authority	Registration Category	Filing Date	Status Date	Registration Status	Approval Date	Registration Status Note
NASD	GP	05/01/2003	05/01/2003	APPROVED	05/01/2003	N
NASD	GS	05/01/2003	05/01/2003	APPROVED	05/01/2003	N
NASD	MP	05/01/2003	05/01/2003	APPROVED	05/01/2003	N
NASD	MR	05/01/2003	05/01/2003	APPROVED	05/01/2003	N
DC	AG	05/01/2003	05/01/2003	APPROVED	05/01/2003	N
DE	AG	05/01/2003	05/01/2003	APPROVED	05/01/2003	N
FL	AG	05/01/2003	06/06/2003	TERMED	05/01/2003	N
GA	AG	05/01/2003	06/06/2003	TERMED	05/01/2003	N
MD	AG	05/01/2003	05/01/2003	APPROVED	05/01/2003	N
NY	AG	05/01/2003	06/06/2003	TERMED	05/01/2003	N
PA	AG	05/01/2003	05/01/2003	APPROVED	05/01/2003	N
VA	AG	05/01/2003	05/01/2003	APPROVED	05/01/2003	N
WV	AG	05/01/2003	05/01/2003	APPROVED	05/01/2003	N

⚠ The specified individual has no disclosure that qualifies under this section (i.e., disclosure required to be reported on Form U4 or Form U5). Regulatory and Broker/Dealer Users: Please note that there are three types of disclosure in Web CRD: Reportable, Legacy and Archive disclosure. An individual with no reportable disclosure may or may not have Legacy or Archive disclosure. Investment Adviser Users: Please note that IARD does not include Legacy disclosure. Information reported on previous form filings through IARD is available under Filing History.

Current Disclosure Summary

Individual CRD#: 1467325

Individual Name: WEBB, JOHN M

Exam Information

Individual CRD#: 1467325

Individual Name: WEBB, JOHN M

Exam History							
Exam	Status	Status Date	Exam Date	Grade	Score	Window Begin Date	Window End Date
S4	Expired	11/14/2001				07/17/2001	11/14/2001
	Expired	07/08/2001				03/09/2001	07/07/2001
	Official Result	02/08/2001	02/07/2001	FAILED	64	10/27/2000	02/24/2001
S7	Official Result	03/15/1986	03/15/1986	PASSED	87		
S24	Official Result	08/10/1995	08/10/1995	PASSED	84		
S53	Official Result	01/30/1996	01/30/1996	PASSED	73		
S63	Official Result	04/25/1986	04/25/1986	PASSED	78		
	Official Result	03/28/1986	03/28/1986	FAILED	68		
S65	Official Result	12/18/1996	12/18/1996	PASSED	84		

Composite Information

Individual CRD#: 2365265		Individual Name: PLOWE, KAREN M		
Full Legal Name:	PLOWE, KAREN MAE			
Social Security #:	387-74-1226			
Date Of Birth:	06/22/1961			
Employment	Name	M&T SECURITIES, INC. (17358)		
	Address	ONE M&T PLAZA BUFFALO, NY 14203		
	Position	Registered Representative		
Residential Address	6384 GREEN VALLEY LANE LOCKPORT, NY 14094			
Reportable Disclosures?	The specified individual has no disclosure that qualifies under this section (i.e., disclosure required to be reported on Form U4 or Form U5). Regulatory and Broker/Dealer Users: Please note that there are three types of disclosure in Web CRD: Reportable, Legacy and Archive disclosure. An individual with no reportable disclosure may or may not have Legacy or Archive disclosure. Investment Adviser Users: Please note that IARD does not include Legacy disclosure. Information reported on previous form filings through IARD is available under Filing History.			
Statutory Disqualification Status	Clear			
Has Material Difference in Disclosure?	No			
Current CE Status	Satisfied			
Disclosure Counts - Current Disclosures	Criminal	Regulatory Action	Customer Complaint	Other
	0	0	0	0
Disclosure Counts - Historical Disclosures	Criminal	Regulatory Action	Customer Complaint	Other
	0	0	0	0

Personal Information

Individual CRD#: 2365265	Individual Name: PLOWE, KAREN M
---------------------------------	--

Other Names Known by:	CUPER, KAREN FEIERSTEIN, KAREN MAE
Social Security #:	387-74-1226
Date of Birth:	06/22/1961
State/Country of Birth	WISCONSIN USA
Sex:	F
Height:	5 ft 6 in
Weight:	135 lbs
Hair Color:	Brown
Eye Color	Brown

Personal Residential History					
From	To	Street	City	State/Country	Zip
06/2004	Present	6384 GREEN VALLEY LANE	LOCKPORT	NY	14094
01/2004	06/2004	54 PULASKI ST.	BUFFALO	NY	14206
10/2003	01/2004	55 CHESTERFIELD	CHEEKTOWAGA	NY	14227
08/2002	10/2003	577 BAUMAN COURT	WILLIAMSVILLE	NY	14221
07/2000	07/2002	6631 DEBRA LU WAY	SPRINGFIELD	VA	22150
07/1998	07/2000	7 MALLARD COURT	AMHERST	NY	14228
06/1997	06/1998	2208 S. 16TH TERRACE	LEAVENWORTH	KS	66048
07/1995	05/1997	EINDSTRAAT 9	SCHINVELD	UNKNOWN	
06/1992	06/1995	6224 BAYONNE DRIVE	COLUMBUS	GA	31909

U4 Employment History

Individual CRD#: 2365265

Individual Name: PLOWE, KAREN M

Please note that data contained in the U4 EMPLOYMENT HISTORY SCREEN is updated only by a U4 and does not reflect any changes made by the filing of a U5.

Employment History

From	To	Name	Investment Related Business?	City	State	Country	Position
01/2002	Present	M&T SECURITIES	Y	BUFFALO	NY		RISK MANAGER
09/2000	01/2002	LEGG MASON WOOD WALKER, INC.	Y	ALEXANDRIA	VA	USA	BRANCH OFFICE COORDINATOR
03/1999	07/2000	M&T SECURITIES, INC.	Y	WILLIAMSVILLE	NY	USA	UNKNCONV
07/1998	03/1999	UNEMPLOYED	N	AMHERST	NY		UNEMPLOYED - UNEMPLOYED
09/1997	06/1998	ROYAL ALLIANCE ASSOCIATES, INC.	Y	OVERLAND PARK	KS		UNKNCONV
09/1997	06/1998	EQUITY ADVISORS INC	N	LEAWOOD	KS		OTHER - FINANCIUAL ASSISTANT
08/1996	08/1997	NOT GIVEN	N	LEAWOOD	KS		UNEMPLOYED - UNEMPLOYED
12/1995	08/1996	ANDREWS FEDERAL CREDIT UNION	N	SCHINNEN		NETHERLANDS	OTHER - CUSTOMER SERVICE REP
07/1995	11/1995	NOT GIVEN	N	COLOMBUS	GA		UNEMPLOYED - UNEMPLOYED
06/1993	06/1995	SYNOVUS SECURITIES, INC.	Y	COLUMBUS	GA		UNKNCONV
02/1993	05/1993	INTERIM PERSONNEL	N	COLUMBUS	GA		OTHER - ADMINISTRATIVE ASSISTANT (TEMP
10/1992	01/1993	UNEMPLOYED	N	COLUMBUS	GA		OTHER - IN COLLEGE
06/1992	09/1992	COLUMBUS COLLEGE	N	COLUMBUS	GA		STUDENT - STUDENT
11/1991	05/1992	STAFFING SOLUTIONS	N	OVERLAND PARK	KS		OTHER - ADMINISTRATIVE ASSISTANT (TEMP
09/1991	10/1991	KELLY TEMPORARY SERVICES	N	GLADSTONE	MO		OTHER - ADMINISTRATIVE ASSISTANT (TEMP
03/1991	10/1991	VARIOUS TEMPORARY AGENCIES	N	OVERLAND PARK	KS		OTHER - ADMINISTRATIVE ASSISTANT (TEMP

08/1991	09/1991	DOBBS PROSTAFF PERSONNEL SERVICES	N	OVERLAND PARK	KS		OTHER - ADMINISTRATIVE ASSISTANT (TEMP
02/1979	08/1991	FIRST BANK SYSTEM	N	MINNEAPOLIS	MN		OTHER - FED FUNDS TRADER
02/1979	08/1991	US BANK	N	MINNEAPOLIS	MN		OTHER - TRADER

Office of Employment Address History

From	To	Firm	Street 1	Street 2	City	State	Country	Postal Code
01/28/2002	Present	M&T SECURITIES, INC. (17358)	ONE M&T PLAZA		BUFFALO	NY		14203
09/01/2000	01/17/2002	LEGG MASON WOOD WALKER, INCORPORATED (6555)	1725-A DUKE STREET		ALEXANDRIA	VA	USA	22314
03/15/1999	07/07/2000	M&T SECURITIES, INC. (17358)	1100 WLHERLE DRIVE		WILLIAMSVILLE	NY		14221
09/25/1997	06/22/1998	ROYAL ALLIANCE ASSOCIATES, INC. (23131)	8900 INDIAN CREEK PKY	SUITE 250	OVERLAND PARK	KS		66210
06/01/1993	06/01/1995	SYNOVUS SECURITIES, INC. (14023)	1137 FIRST AVENUE		COLUMBUS	GA		31901

Registrations with Current Employers

Individual CRD#: 2365265	Individual Name: PLOWE, KAREN M
Firm CRD # : 17358	Firm Name : M&T SECURITIES, INC.

Employment Start Date	01/28/2002
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Regulatory Authority	Registration Category	Filing Date	Status Date	Registration Status	Approval Date	Registration Status Note
NASD	GP	01/29/2002	02/05/2002	APPROVED	01/29/2002	N
NASD	GS	01/29/2002	02/05/2002	APPROVED	01/29/2002	N
NASD	MP	01/12/2004	01/30/2004	APPROVED	01/30/2004	N
NASD	SU	01/29/2002	02/05/2002	APPROVED	01/29/2002	N
MD	AG	04/08/2002	10/20/2004	TERMED	04/08/2002	N
NY	AG	01/29/2002	01/29/2002	APPROVED	01/29/2002	N
PA	AG	04/08/2002	10/20/2004	TERMED	04/08/2002	N
WV	AG	04/08/2002	10/20/2004	TERMED	04/08/2002	N

 The specified individual has no disclosure that qualifies under this section (i.e., disclosure required to be reported on Form U4 or Form U5). Regulatory and Broker/Dealer Users: Please note that there are three types of disclosure in Web CRD: Reportable, Legacy and Archive disclosure. An individual with no reportable disclosure may or may not have Legacy or Archive disclosure. Investment Adviser Users: Please note that IARD does not include Legacy disclosure. Information reported on previous form filings through IARD is available under Filing History.

Current Disclosure Summary

Individual CRD#: 2365265	Individual Name: PLOWE, KAREN M
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Exam Information

Individual CRD#: 2365265

Individual Name: PLOWE, KAREN M

Exam History							
Exam	Status	Status Date	Exam Date	Grade	Score	Window Begin Date	Window End Date
S7	Official Result	08/02/1993	08/02/1993	PASSED	94		
S9	Official Result	12/20/2000	12/19/2000	PASSED	83	11/16/2000	03/16/2001
S10	Official Result	03/12/2001	03/09/2001	PASSED	86	11/16/2000	03/16/2001
S24	Official Result	11/09/1999	11/08/1999	PASSED	90	10/20/1999	02/17/2000
	Expired	10/20/1999				07/19/1999	10/19/1999
	Official Result	10/14/1999		NO_SHOW			
S53	Official Result	01/30/2004	01/29/2004	PASSED	88	01/13/2004	05/12/2004
S63	Official Result	08/09/1993	08/09/1993	PASSED	88		

Composite Information

Individual CRD#: 2989802		Individual Name: GALANTE, MAURA E		
Full Legal Name:	GALANTE, MAURA ELLEN			
Social Security #:	108-54-4314			
Date Of Birth:	05/23/1974			
Employment	Name	M&T SECURITIES, INC. (17358)		
	Address	2875 UNION ROAD STE. 30-33 CHEEKTOWAGA, NY 14227		
	Position	Registered Representative		
Residential Address	511 LAFAYETTE AVENUE APT. 6 BUFFALO, NY 14222			
Reportable Disclosures?	The specified individual has no disclosure that qualifies under this section (i.e., disclosure required to be reported on Form U4 or Form U5). Regulatory and Broker/Dealer Users: Please note that there are three types of disclosure in Web CRD: Reportable, Legacy and Archive disclosure. An individual with no reportable disclosure may or may not have Legacy or Archive disclosure. Investment Adviser Users: Please note that IARD does not include Legacy disclosure. Information reported on previous form filings through IARD is available under Filing History.			
Statutory Disqualification Status	Clear			
Has Material Difference in Disclosure?	No			
Current CE Status	Satisfied			
Disclosure Counts - Current Disclosures	Criminal	Regulatory Action	Customer Complaint	Other
	0	0	0	0
Disclosure Counts - Historical Disclosures	Criminal	Regulatory Action	Customer Complaint	Other
	0	0	0	0

Personal Information

Individual CRD#: 2989802	Individual Name: GALANTE, MAURA E
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Other Names Known by:	
Social Security #:	108-54-4314
Date of Birth:	05/23/1974
State/Country of Birth	NEW YORK USA
Sex:	F
Height:	5 ft 6 in
Weight:	180 lbs
Hair Color:	Brown
Eye Color	Brown

Personal Residential History					
From	To	Street	City	State/Country	Zip
05/2003	Present	511 LAFAYETTE AVENUE APT. 6	BUFFALO	NY	14222
02/2001	05/2003	193 NORWOOD AVENUE	BUFFALO	NY	14222
06/1975	02/2001	440 NORTH FOREST ROAD	WILLIAMSVILLE	NY	14221

U4 Employment History

Individual CRD#: 2989802

Individual Name: GALANTE, MAURA E

Please note that data contained in the U4 EMPLOYMENT HISTORY SCREEN is updated only by a U4 and does not reflect any changes made by the filing of a U5.

Employment History

From	To	Name	Investment Related Business?	City	State	Country	Position
10/2002	Present	M&T SECURITIES	Y	BUFFALO	NY	USA	TRAINING SPECIALIST
10/2002	Present	POTTERY BARN	N	BUFFALO	NY	USA	RETAIL SALES
09/2000	10/2002	CCC INFORMATION SERVICES INC.	N	CHICAGO	IL	USA	TERRITORY MANAGER
08/1999	09/2000	MERRILL LYNCH PIERCE FENNER & SMITH	Y	BUFFALO	NY	USA	FINANCIAL CONSULTANT
10/1997	08/1999	M&T SECURITIES, INC.	Y	BUFFALO	NY		UNKNCONV
06/1996	03/1999	M&T BANK	N	BUFFALO	NY		OTHER - TELEPHONE CUSTOMER SERVICE REP
09/1996	05/1998	UNIVERSITY AT BUFFALO	N	BUFFALO	NY		OTHER - GRADUATE STUDENT
09/1992	09/1996	CANISIUS COLLEGE	N	BUFFALO	NY		STUDENT - STUDENT
09/1988	09/1992	NARDIN ACADEMY	N	BUFFALO	NY		STUDENT - STUDENT
09/1979	09/1988	STS. PETER AND PAUL SCHOOL	N	WILLIAMSVILLE	NY		STUDENT - STUDENT

Office of Employment Address History

From	To	Firm	Street 1	Street 2	City	State	Country	Postal Code
10/30/2002	Present	M&T SECURITIES, INC. (17358)	2875 UNION ROAD	STE. 30-33	CHEEKTOWAGA	NY	USA	14227
08/16/1999	09/08/2000	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)	50 FOUNTAIN PLAZA	SUITE 1100	BUFFALO	NY	USA	14202
10/27/1997	08/04/1999	M&T SECURITIES, INC. (17358)	1100 WEHRLE DRIVE		BUFFALO	NY		14240

Registrations with Current Employers

Individual CRD#: 2989802	Individual Name: GALANTE, MAURA E
Firm CRD # : 17358	Firm Name : M&T SECURITIES, INC.

Employment Start Date	10/30/2002
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Regulatory Authority	Registration Category	Filing Date	Status Date	Registration Status	Approval Date	Registration Status Note
NASD	GP	02/09/2004	02/18/2004	APPROVED	02/18/2004	N
NASD	GS	11/18/2003	01/05/2004	APPROVED	01/05/2004	N
NASD	MP	07/13/2004	10/19/2004	APPROVED	10/19/2004	N
NY	AG	11/18/2003	05/17/2004	PURGED		N

 The specified individual has no disclosure that qualifies under this section (i.e., disclosure required to be reported on Form U4 or Form U5). Regulatory and Broker/Dealer Users: Please note that there are three types of disclosure in Web CRD: Reportable, Legacy and Archive disclosure. An individual with no reportable disclosure may or may not have Legacy or Archive disclosure. Investment Adviser Users: Please note that IARD does not include Legacy disclosure. Information reported on previous form filings through IARD is available under Filing History.

Current Disclosure Summary

Individual CRD#: 2989802	Individual Name: GALANTE, MAURA E
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Exam Information

Individual CRD#: 2989802	Individual Name: GALANTE, MAURA E
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Exam History							
Exam	Status	Status Date	Exam Date	Grade	Score	Window Begin Date	Window End Date
S6	Official Result	03/21/1998	03/21/1998	PASSED	79		
	Official Result	01/16/1998	01/16/1998	FAILED	68		
S7	Official Result	01/05/2004	01/03/2004	PASSED	76	11/19/2003	03/18/2004
	Official Result	11/09/1999	11/08/1999	PASSED	84	09/20/1999	01/18/2000
S24	Official Result	02/18/2004	02/17/2004	PASSED	70	02/10/2004	06/09/2004
S53	Official Result	10/19/2004	10/18/2004	PASSED	72	10/07/2004	02/04/2005
	Official Result	09/08/2004	09/07/2004	FAILED	58	07/14/2004	11/11/2004
S63	Expired	03/19/2004				11/19/2003	03/18/2004
	Official Result	06/04/1998	06/04/1998	PASSED	74		
	Expired	03/15/1998			0		
S65	Official Result	02/08/2000	02/07/2000	PASSED	72	01/05/2000	05/04/2000
	Official Result	01/04/2000	01/03/2000	FAILED	65	11/16/1999	03/15/2000
S66	Official Result	04/12/2005	04/11/2005	FAILED	67	04/06/2005	08/04/2005
	Official Result	03/08/2005	03/07/2005	FAILED	62	01/22/2005	05/22/2005

Composite Information

Individual CRD#: 4600411		Individual Name: ROOT, BREANN L		
Full Legal Name:	ROOT, BREANN LISA			
Social Security #:	097-62-3541			
Date Of Birth:	09/14/1978			
Employment	Name	M&T SECURITIES, INC. (17358)		
	Address	2875 UNION RD. SUITE 30-33 CHEEKTOWAGA, NY 14227		
	Position	Registered Representative		
Residential Address	1359 PARKER BLVD. BUFFALO, NY 14223			
Reportable Disclosures?	The specified individual has no disclosure that qualifies under this section (i.e., disclosure required to be reported on Form U4 or Form U5). Regulatory and Broker/Dealer Users: Please note that there are three types of disclosure in Web CRD: Reportable, Legacy and Archive disclosure. An individual with no reportable disclosure may or may not have Legacy or Archive disclosure. Investment Adviser Users: Please note that IARD does not include Legacy disclosure. Information reported on previous form filings through IARD is available under Filing History.			
Statutory Disqualification Status	Clear			
Has Material Difference in Disclosure?	No			
Current CE Status	Satisfied			
Disclosure Counts - Current Disclosures	Criminal	Regulatory Action	Customer Complaint	Other
	0	0	0	0
Disclosure Counts - Historical Disclosures	Criminal	Regulatory Action	Customer Complaint	Other
	0	0	0	0

Personal Information [Ctrl+Home] [Ctrl+PageDown] [Ctrl+PageUp] [Ctrl+PageDown]

Personal Information

Individual CRD#: 4600411	Individual Name: ROOT, BREANN L
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Other Names Known by:	CURTIS, BREANN LISA STORER-CURTIS, BREANN LISA CURTIS, BREANN LISA STORER
Social Security #:	097-62-3541
Date of Birth:	09/14/1978
State/Country of Birth	NEW YORK USA
Sex:	F
Height:	5 ft 8 in
Weight:	130 lbs
Hair Color:	Brown
Eye Color	Brown

Personal Residential History					
From	To	Street	City	State/Country	Zip
03/2005	Present	1359 PARKER BLVD.	BUFFALO	NY	14223
10/2003	03/2005	184 CLEVELAND AVE. (LR)	BUFFALO	NY	14222
06/2002	10/2003	228 WEST HAZELTINE AVENUE	KENMORE	NY	14217
08/2001	05/2002	1163 CAROLE CT.	MATTHEWS	NC	28104
06/2000	08/2001	1097 ELMWOOD AVENUE	BUFFALO	NY	14222
06/1999	06/2000	1034 ELMWOOD AVENUE	BUFFALO	NY	14222
08/1998	05/1999	1100 ELMWOOD AVENUE	BUFFALO	NY	14222
05/1998	08/1998	1100 PENN CENTER BLVD.	PITTSBURGH	NY	15235
08/1997	05/1998	1100 ELMWOOD AVE.	BUFFALO	NY	14222

U4 Employment History

Individual CRD#: 4600411

Individual Name: ROOT, BREANN L

Please note that data contained in the U4 EMPLOYMENT HISTORY SCREEN is updated only by a U4 and does not reflect any changes made by the filing of a U5.

Employment History

From	To	Name	Investment Related Business?	City	State	Country	Position
05/2003	Present	M&T SECURITIES	Y	BUFFALO	NY	USA	MUTUAL FUND CUSTOMER SERVICE REP.
11/2002	04/2003	AMERICAN EXPRESS FINANCIAL ADVISORS	Y	WILLIAMSVILLE	NY	USA	INDEPENDENT CONTRACTOR OR EMPLOYEE FINANCIAL ADVISOR
11/2002	04/2003	IDS LIFE INSURANCE COMPANY	Y	WILLIAMSVILLE	NY	USA	INDEPENDENT CONTRACTOR OR EMPLOYEE FINANCIAL ADVISOR
06/2002	10/2002	BEST TILE	N	BUFFALO	NY	USA	SALES
08/2001	05/2002	WALKERZANGER	N	CHARLOTTE	NC	USA	SALES/ ORDER DEPT.
10/2000	06/2001	BUFFALO STATE COLLEGE	N	BUFFALO	NY	USA	FULL TIME STUDENT
04/2000	10/2000	RITE AID PHARMACY	N	NORTH TONAWANDA	NY	USA	PHARMACY TECHNICIAN
12/1999	04/2000	BUFFALO STATE COLLEGE	N	BUFFALO	NY	USA	FULL TIME STUDENT
05/1999	12/1999	SPOT COFFEE	N	BUFFALO	NY	USA	BARISTA/SERVER
08/1998	05/1999	BUFFALO STATE COLLEGE	N	BUFFALO	NY	USA	FULL TIME STUDENT
05/1998	08/1998	COLORADO PRIME FOODS	N	MONROEVILLE	PA	USA	TELEPHONE SALES/CUSTOMER SERVICE
10/1997	05/1998	BUFFALO STATE COLLEGE	N	BUFFALO	NY	USA	FULL TIME STUDENT
05/1997	10/1997	SWEET TOOTH	N	BUFFALO	NY	USA	BARISTA/SERVER
08/1996	05/1997	UNIVERSITY OF PITTSBURGH	N	PITTSBURGH	NY	USA	FULL TIME STUDENT
05/1996	07/1996	JUBILEE FOODS	N	EXPORT	PA	USA	HEALTH AND BEAUTY MANAGER
08/1992	06/1996	MURRYVILLE SCHOOL SYSTEM	N	MURRYVILLE	PA	USA	FULL TIME STUDENT

Office of Employment Address History

From	To	Firm	Street 1	Street 2	City	State	Country	Postal Code
05/05/2003	Present	M&T SECURITIES, INC. (17358)	2875 UNION RD.	SUITE 30-33	CHEEKTOWAGA	NY	USA	14227
11/11/2002	04/19/2003	AMERIPRISE FINANCIAL	325 ESSJAY		WILLIAMSVILLE	NY	USA	14221

		SERVICES, INC. (6363)	ROAD SUITE 410				
11/11/2002	04/19/2003	IDS LIFE INSURANCE COMPANY (6321)	325 ESSJAY ROAD SUITE 410		WILLIAMSVILLE NY	USA	14221

Registrations with Current Employers

Individual CRD#: 4600411	Individual Name: ROOT, BREANN L
Firm CRD # : 17358	Firm Name : M&T SECURITIES, INC.

Employment Start Date	05/05/2003
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Regulatory Authority	Registration Category	Filing Date	Status Date	Registration Status	Approval Date	Registration Status Note
NASD	GP	05/28/2004	06/07/2004	APPROVED	06/07/2004	N
NASD	GS	05/13/2003	05/20/2003	APPROVED	05/13/2003	N
NASD	MP	07/19/2004	08/30/2004	APPROVED	08/30/2004	N
DC	AG	10/20/2004	10/20/2004	APPROVED	10/20/2004	N
DE	AG	10/20/2004	10/20/2004	APPROVED	10/20/2004	N
MD	AG	10/20/2004	10/20/2004	APPROVED	10/20/2004	N
NY	AG	05/13/2003	05/13/2003	APPROVED	05/13/2003	N
PA	AG	10/20/2004	10/20/2004	APPROVED	10/20/2004	N
VA	AG	10/20/2004	10/20/2004	APPROVED	10/20/2004	N
WV	AG	10/20/2004	10/20/2004	APPROVED	10/20/2004	N

⚠ The specified individual has no disclosure that qualifies under this section (i.e., disclosure required to be reported on Form U4 or Form U5). Regulatory and Broker/Dealer Users: Please note that there are three types of disclosure in Web CRD: Reportable, Legacy and Archive disclosure. An individual with no reportable disclosure may or may not have Legacy or Archive disclosure. Investment Adviser Users: Please note that IARD does not include Legacy disclosure. Information reported on previous form filings through IARD is available under Filing History.

Current Disclosure Summary

Individual CRD#: 4600411

Individual Name: ROOT, BREANN L

⚠ The specified individual has no disclosure that qualifies under this section (i.e., disclosure required to be reported on Form U4 or Form U5). Regulatory and Broker/Dealer Users: Please note that there are three types of disclosure in Web CRD: Reportable, Legacy and Archive disclosure. An individual with no reportable disclosure may or may not have Legacy or Archive disclosure. Investment Adviser Users: Please note that IARD does not include Legacy disclosure. Information reported on previous form filings through IARD is available under Filing History.

Current Disclosure Summary

Individual CRD#: 4600411

Individual Name: ROOT, BREANN L

Exam Information

Individual CRD#: 4600411	Individual Name: ROOT, BREANN L
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Exam History							
Exam	Status	Status Date	Exam Date	Grade	Score	Window Begin Date	Window End Date
S7	Official Result	12/11/2002	12/10/2002	PASSED	80	11/12/2002	03/12/2003
S24	Official Result	06/07/2004	06/04/2004	PASSED	76	05/29/2004	09/26/2004
S53	Official Result	08/30/2004	08/27/2004	PASSED	72	07/20/2004	11/17/2004
S66	Official Result	01/03/2003	01/02/2003	PASSED	79	11/12/2002	03/12/2003

Composite Information

Individual CRD#: 2297137		Individual Name: BUCK, KEITH T		
Full Legal Name:	BUCK, KEITH THOMAS			
Social Security #:	093-62-1892			
Date Of Birth:	08/06/1967			
Employment	Name	M&T SECURITIES, INC. (17358)		
	Address	ONE M&T PLAZA BUFFALO, NY 14203		
	Position	Investment Adviser Representative / Registered Representative		
IA Affiliation	Name	M&T SECURITIES, INC. (17358)		
	Address	2875 UNION ROAD SUITE 30-33 CHEEKTOWAGA, NY 14227		
	IA Affiliation	Direct Owner		
Residential Address	2153 WETHERSFIELD RD. NORTH JAVA, NY 14113			
Reportable Disclosures?	The specified individual has no disclosure that qualifies under this section (i.e., disclosure required to be reported on Form U4 or Form U5). Regulatory and Broker/Dealer Users: Please note that there are three types of disclosure in Web CRD: Reportable, Legacy and Archive disclosure. An individual with no reportable disclosure may or may not have Legacy or Archive disclosure. Investment Adviser Users: Please note that IARD does not include Legacy disclosure. Information reported on previous form filings through IARD is available under Filing History.			
Statutory Disqualification Status	Clear			
Has Material Difference in Disclosure?	No			
Current CE Status	Satisfied			
Disclosure Counts - Current Disclosures	Criminal	Regulatory Action	Customer Complaint	Other
	0	0	0	0
Disclosure Counts - Historical Disclosures	Criminal	Regulatory Action	Customer Complaint	Other
	0	0	0	0

Personal Information

Individual CRD#: 2297137	Individual Name: BUCK, KEITH T
--------------------------	--------------------------------

Other Names Known by:	
Social Security #:	093-62-1892
Date of Birth:	08/06/1967
State/Country of Birth	BUFFALO, NY USA
Sex:	M
Height:	5 ft 9 in
Weight:	240 lbs
Hair Color:	Blond or Strawberry
Eye Color	Blue

Personal Residential History					
From	To	Street	City	State/Country	Zip
08/2004	Present	2153 WETHERSFIELD RD.	NORTH JAVA	NY	14113
08/1994	08/2004	1380 PERRY ROAD	STRYKERSVILLE	NY	14145
08/1991	08/1994	620 KNABB RD	ELMA	NY	14059

U4 Employment History

Individual CRD#: 2297137

Individual Name: BUCK, KEITH T

Please note that data contained in the U4 EMPLOYMENT HISTORY SCREEN is updated only by a U4 and does not reflect any changes made by the filing of a U5.

Employment History

From	To	Name	Investment Related Business?	City	State	Country	Position
09/2000	Present	M&T SECURITIES, INC	Y	BUFFALO	NY	USA	COMPLIANCE OFFICER
07/2000	Present	BRINK'S, INC.	N	BUFFALO	NY	USA	PART TIME CASHIER
08/1999	09/2000	US LIFE INSURANCE COMPANY	Y	NEW YORK	NY	USA	GENERAL AGENT
05/1998	08/1999	PRIMERICA FINANCIAL SERVICES	Y	DULUTH	GA	USA	REGIONAL VICE PRESIDENT
10/1992	08/1999	PFS INVESTMENTS INC.	Y	DULUTH	GA		UNKNCONV
02/1998	04/1998	BANKMARK SCHOOL OF BUSINESS	N	MORRIS PLAINS	NJ	USA	INSTRUCTOR - LIFE, ACCIDENT, HEALTH INSURANCE COURSE
07/1992	04/1998	PRIMERICA FINANCIAL SERVICES	N	ELMA	NY		OTHER - PT AGENT
05/1991	06/1997	CLARENCE CENTRAL SCHOOLS	N	CLARENCE CENTER	NY		TEACHER - TEACHER
02/1994	10/1995	EDUCATIONAL CENTER	N	TOMS RIVER	NJ	USA	INSTRUCTOR - LAH / PRELICENSING COURSE
01/1988	02/1994	NEW YORKE ARMY NATIONAL GUARD	N	NORTH TONAWANDA	NY	USA	OTHER - SERGEANT-INFANTRY
11/1988	07/1991	RESOURCE CENTER	N	JAMESTOWN	NY		OTHER - DIRECT CARE AIDE
01/1988	05/1991	FT COLLEGE STUDENT	N	JAMESTOWN / FREDONIA	NY		OTHER - ELEMENTARY EDUCATION MAJOR
03/1988	10/1988	PONDEROSA STEACK HOUSE	N	JAMESTOWN	NY		OTHER - WEEKEND SHIFT SUPERVISOR/ COOK

Office of Employment Address History

From	To	Firm	Street 1	Street 2	City	State	Country	Postal Code
09/25/2000	Present	M&T SECURITIES, INC. (17358)	ONE M&T PLAZA		BUFFALO	NY	USA	14203
09/01/1999	09/26/2000	AMERICAN GENERAL SECURITIES INCORPORATED (13626)	3504 FOUR ROD ROAD		EAST AURORA	NY	USA	14052
10/21/1992	08/25/1999	PFS INVESTMENTS INC. (10111)	3120 BRECKINRIDGE		DULUTH	GA		30199-0001

			BLVD.						
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Registrations with Current Employers

Individual CRD#: 2297137	Individual Name: BUCK, KEITH T
Firm CRD # : 17358	Firm Name : M&T SECURITIES, INC.

Employment Start Date	09/25/2000
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Regulatory Authority	Registration Category	Filing Date	Status Date	Registration Status	Approval Date	Registration Status Note
NASD	GP	07/30/2002	11/27/2002	APPROVED	11/27/2002	N
NASD	GS	11/17/2000	07/23/2002	APPROVED	07/23/2002	N
NASD	IP	10/03/2000	10/05/2000	APPROVED	10/03/2000	N
NASD	IR	10/03/2000	10/05/2000	APPROVED	10/03/2000	N
NASD	MP	02/10/2003	06/02/2003	APPROVED	06/02/2003	N
DC	AG	10/20/2004	10/20/2004	APPROVED	10/20/2004	N
DE	AG	10/20/2004	10/20/2004	APPROVED	10/20/2004	N
MD	AG	10/20/2004	10/20/2004	APPROVED	10/20/2004	N
NY	AG	10/03/2000	10/03/2000	APPROVED	10/03/2000	N
PA	AG	10/20/2004	10/20/2004	APPROVED	10/20/2004	N
PA	RA	05/04/2004	05/04/2004	DEFICIENT		N
VA	AG	10/20/2004	10/20/2004	APPROVED	10/20/2004	N
WV	AG	10/20/2004	10/20/2004	APPROVED	10/20/2004	N

⚠ The specified individual has no disclosure that qualifies under this section (i.e., disclosure required to be reported on Form U4 or Form U5). Regulatory and Broker/Dealer Users: Please note that there are three types of disclosure in Web CRD: Reportable, Legacy and Archive disclosure. An individual with no reportable disclosure may or may not have Legacy or Archive disclosure. Investment Adviser Users: Please note that IARD does not include Legacy disclosure. Information reported on previous form filings through IARD is available under Filing History.

Current Disclosure Summary

Individual CRD#: 2297137

Individual Name: BUCK, KEITH T

Exam Information

Individual CRD#: 2297137	Individual Name: BUCK, KEITH T
---------------------------------	---------------------------------------

Exam History							
Exam	Status	Status Date	Exam Date	Grade	Score	Window Begin Date	Window End Date
S6	Official Result	12/31/1992	12/31/1992	PASSED	88		
S7	Official Result	07/23/2002	07/22/2002	PASSED	93	06/20/2002	10/18/2002
	Expired	03/23/2001				11/23/2000	03/23/2001
S24	Official Result	11/27/2002	11/26/2002	PASSED	84	07/31/2002	11/28/2002
S26	Official Result	04/24/1998	04/24/1998	PASSED	91		
S53	Official Result	06/02/2003	05/30/2003	PASSED	84	02/11/2003	06/11/2003
S63	Official Result	12/31/1992	12/31/1992	PASSED	88		
S65	Official Result	02/11/2003	02/10/2003	PASSED	88	11/27/2002	03/27/2003
	Expired	01/02/2000				09/01/1999	12/30/1999

Composite Information

Individual CRD#: 1688261	Individual Name: GUERRIERI JR, SALVATORE
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Full Legal Name:	GUERRIERI JR, SALVATORE			
Social Security #:	058-64-3074			
Date Of Birth:	08/21/1965			
Employment	Name	M&T SECURITIES, INC. (17358)		
	Address	44 EXCHANGE ROCHESTER, NY 14614		
	Position	Registered Representative		
IA Affiliation	Name	M&T SECURITIES, INC. (17358)		
	Address	2875 UNION ROAD SUITE 30-33 CHEEKTOWAGA, NY 14227		
	IA Affiliation	DRP Advisory Affiliate Direct Owner		
Residential Address	12 SILCO HILL PITTSFORD, NY 14534			
Reportable Disclosures?	Yes			
Statutory Disqualification Status	Clear			
Has Material Difference in Disclosure?	No			
Current CE Status	Satisfied			
Disclosure Counts - Current Disclosures	Criminal	Regulatory Action	Customer Complaint	Other
	0	1	0	1
Disclosure Counts - Historical Disclosures	Criminal	Regulatory Action	Customer Complaint	Other
	0	0	1	0

Personal Information

Individual CRD#: 1688261	Individual Name: GUERRIERI JR, SALVATORE
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Other Names Known by:	GUERRIERI JR, SAM GUERRIERI JR, SAMMY GUERRIERI JR, SAM GUERRIERI JR, SAMMY GUERRIERI, SALVATORE JR
Social Security #:	058-64-3074
Date of Birth:	08/21/1965
State/Country of Birth	Unknown
Sex:	M
Height:	6 ft 0 in
Weight:	195 lbs
Hair Color:	Brown
Eye Color	Brown

Personal Residential History					
From	To	Street	City	State/Country	Zip
07/2002	Present	12 SILCO HILL	PITTSFORD	NY	14534
03/1994	07/2002	36 FROST MEADOW TRAIL	ROCHESTER	NY	14612
11/1993	03/1994	33 SUNNYSIDE LANE	N CHILI	NY	14514

U4 Employment History

Individual CRD#: 1688261 **Individual Name: GUERRIERI JR, SALVATORE**

Please note that data contained in the U4 EMPLOYMENT HISTORY SCREEN is updated only by a U4 and does not reflect any changes made by the filing of a U5.

Employment History							
From	To	Name	Investment Related Business?	City	State	Country	Position
01/1996	Present	M&T SECURITIES, INC.	Y	ROCHESTER	NY		UNKNCONV
02/1990	12/1995	CITICORP INVESTMENT SERVICES	Y	ROCHESTER	NY		UNKNCONV
04/1991	05/1992	CITICORP FINANCIAL SERVICES, INC.	Y	ROCHESTER	NY		UNKNCONV
04/1988	01/1990	A. G. EDWARDS & SONS, INC.	Y	ROCHESTER	NY		UNKNCONV

Office of Employment Address History								
From	To	Firm	Street 1	Street 2	City	State	Country	Postal Code
01/02/1996	Present	M&T SECURITIES, INC. (17358)	44 EXCHANGE		ROCHESTER	NY		14614
02/01/1990	12/29/1995	CITICORP INVESTMENT SERVICES (23988)	3330 MONROE AVENUE	SUITE 1A	ROCHESTER	NY		14618
04/01/1991	05/29/1992	CITICORP FINANCIAL SERVICES, INC. (14675)	3330 MONCOE AVE STE 1A		ROCHESTER	NY		14618
04/11/1988	01/29/1990	A. G. EDWARDS & SONS, INC. (4)	200 CANAL VIEW RD #100		ROCHESTER	NY		14623

Registrations with Current Employers

Individual CRD#: 1688261	Individual Name: GUERRIERI JR, SALVATORE
Firm CRD # : 17358	Firm Name : M&T SECURITIES, INC.

Employment Start Date	01/02/1996
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Regulatory Authority	Registration Category	Filing Date	Status Date	Registration Status	Approval Date	Registration Status Note
NASD	GP	07/05/1999	04/30/1996	APPROVED	04/30/1996	N
NASD	GS	07/05/1999	03/04/1996	APPROVED	03/04/1996	N
NASD	MP	07/05/1999	04/30/1996	APPROVED	04/30/1996	N
NASD	MR	07/05/1999	04/30/1996	APPROVED	04/30/1996	N
AK	AG	10/20/2004	10/27/2004	APPROVED	10/27/2004	N
AL	AG	10/20/2004	10/22/2004	APPROVED	10/22/2004	N
AR	AG	10/20/2004	10/20/2004	APPROVED	10/20/2004	N
AZ	AG	10/20/2004	11/15/2004	APPROVED	11/15/2004	N
CA	AG	10/20/2004	10/20/2004	APPROVED	10/20/2004	N
CO	AG	10/20/2004	10/22/2004	APPROVED	10/22/2004	N
CT	AG	10/20/2004	10/21/2004	APPROVED	10/21/2004	N
DC	AG	10/20/2004	10/25/2004	APPROVED	10/25/2004	N
DE	AG	10/20/2004	10/21/2004	APPROVED	10/21/2004	N
DE	AG	07/05/1999	12/11/2001	TERMED	03/26/1997	N
FL	AG	06/05/2003	06/09/2003	APPROVED	06/09/2003	N
FL	AG	04/20/2000	12/11/2001	TERMED	06/12/2000	N
GA	AG	10/20/2004	10/22/2004	APPROVED	10/22/2004	N
HI	AG	10/20/2004	10/27/2004	T_NOREG		N
IA	AG	10/20/2004	10/20/2004	APPROVED	10/20/2004	N
ID	AG	10/20/2004	10/22/2004	APPROVED	10/22/2004	N
IL	AG	10/20/2004	10/21/2004	APPROVED	10/21/2004	N
IN	AG	10/20/2004	10/26/2004	APPROVED	10/26/2004	N
KS	AG	10/20/2004	10/21/2004	APPROVED	10/21/2004	N
KY	AG	10/20/2004	10/22/2004	APPROVED	10/22/2004	N
LA	AG	10/20/2004	10/26/2004	APPROVED	10/26/2004	N
MA	AG	10/20/2004	10/29/2004	APPROVED	10/29/2004	N
MD	AG	01/04/2002	01/07/2002	APPROVED	01/07/2002	N
ME	AG	10/20/2004	10/25/2004	APPROVED	10/25/2004	N
MI	AG	10/20/2004	10/26/2004	APPROVED	10/26/2004	N
MI	AG	07/05/1999	12/11/2001	TERMED	05/02/1997	N
MN	AG	10/20/2004	10/21/2004	APPROVED	10/21/2004	N
MO	AG	10/20/2004	10/21/2004	APPROVED	10/21/2004	N
MS	AG	10/20/2004	10/20/2004	APPROVED	10/20/2004	N
MS	AG	04/20/2000	12/11/2001	TERMED	05/24/2000	N
MT	AG	10/20/2004	10/21/2004	APPROVED	10/21/2004	N
NC	AG	10/20/2004	10/21/2004	APPROVED	10/21/2004	N
ND	AG	10/20/2004	10/22/2004	APPROVED	10/22/2004	N
NE	AG	10/20/2004	11/04/2004	APPROVED	11/04/2004	N
NH	AG	10/20/2004	10/21/2004	APPROVED	10/21/2004	N

NJ	AG	10/20/2004	10/22/2004	APPROVED	10/22/2004	N
NM	AG	10/20/2004	10/20/2004	APPROVED	10/20/2004	N
NV	AG	10/20/2004	10/21/2004	APPROVED	10/21/2004	N
NY	AG	07/05/1999	07/18/1996	APPROVED	07/18/1996	N
OH	AG	10/20/2004	10/21/2004	APPROVED	10/21/2004	N
OK	AG	10/20/2004	10/21/2004	APPROVED	10/21/2004	N
OR	AG	10/20/2004	10/21/2004	APPROVED	10/21/2004	N
PA	AG	01/04/2002	01/07/2002	APPROVED	01/07/2002	N
PR	AG	10/20/2004	10/20/2004	APPROVED	10/20/2004	N
RI	AG	10/20/2004	10/26/2004	APPROVED	10/26/2004	N
SC	AG	10/20/2004	10/21/2004	APPROVED	10/21/2004	N
SD	AG	10/20/2004	10/20/2004	APPROVED	10/20/2004	N
TN	AG	10/20/2004	10/20/2004	APPROVED	10/20/2004	N
TX	AG	10/20/2004	10/25/2004	APPROVED	10/25/2004	N
UT	AG	10/20/2004	10/26/2004	APPROVED	10/26/2004	N
VA	AG	10/20/2004	10/20/2004	APPROVED	10/20/2004	N
VT	AG	10/20/2004	10/22/2004	APPROVED	10/22/2004	N
WA	AG	10/20/2004	10/20/2004	APPROVED	10/20/2004	N
WI	AG	10/20/2004	10/20/2004	APPROVED	10/20/2004	N
WV	AG	01/04/2002	01/07/2002	APPROVED	01/07/2002	N
WY	AG	10/20/2004	10/20/2004	APPROVED	10/20/2004	N

Exam Information

Individual CRD#: 1688261	Individual Name: GUERRIERI JR, SALVATORE
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Exam History							
Exam	Status	Status Date	Exam Date	Grade	Score	Window Begin Date	Window End Date
S7	Official Result	07/18/1987	07/18/1987	PASSED	73		
S24	Withdraw	05/05/1996					
	Official Result	07/11/1991	07/11/1991	PASSED	80		
S53	Withdraw	05/05/1996					
	Official Result	09/29/1992	09/29/1992	PASSED	76		
S63	Official Result	08/11/1987	08/11/1987	PASSED	74		
	Official Result	08/04/1987	08/04/1987	FAILED	68		
	Official Result	07/23/1987	07/23/1987	FAILED	68		
S65	Official Result	02/01/1995	02/01/1995	PASSED	76		

U4 Summary Questions

Individual CRD#: 1688261

Individual Name: GUERRIERI JR, SALVATORE

Rev. Form U4 (06/2003)

U4 - DISCLOSURE QUESTIONS

IF THE ANSWER TO ANY OF THE FOLLOWING QUESTIONS IS 'YES', COMPLETE DETAILS OF ALL EVENTS OR PROCEEDINGS ON APPROPRIATE DRP(S)

REFER TO THE EXPLANATION OF TERMS SECTION OF FORM U4 INSTRUCTIONS FOR EXPLANATIONS OF ITALICIZED TERMS.

Criminal Disclosure

- | | | YES | NO |
|---|-----------------------|----------------------------------|----|
| 14A. (1) Have you ever: | | | |
| (a) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to any <i>felony</i> ? | <input type="radio"/> | <input checked="" type="radio"/> | |
| (b) been <i>charged</i> with any <i>felony</i> ? | <input type="radio"/> | <input checked="" type="radio"/> | |
| (2) Based upon activities that occurred while you exercised <i>control</i> over it, has an organization ever: | | | |
| (a) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic or foreign court to any <i>felony</i> ? | <input type="radio"/> | <input checked="" type="radio"/> | |
| (b) been <i>charged</i> with any <i>felony</i> ? | <input type="radio"/> | <input checked="" type="radio"/> | |

- | | | | |
|---|-----------------------|----------------------------------|--|
| 14B. (1) Have you ever: | | | |
| (a) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign or military court to a <i>misdemeanor involving</i> : investments or an <i>investment-related</i> business or any fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses? | <input type="radio"/> | <input checked="" type="radio"/> | |
| (b) been <i>charged</i> with a <i>misdemeanor</i> specified in 14B(1)(a)? | <input type="radio"/> | <input checked="" type="radio"/> | |
| (2) Based upon activities that occurred while you exercised <i>control</i> over it, has an organization ever: | | | |
| (a) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic or foreign court to a <i>misdemeanor</i> specified in 14B(1)(a)? | <input type="radio"/> | <input checked="" type="radio"/> | |
| (b) been <i>charged</i> with a <i>misdemeanor</i> specified in 14B(1)(a)? | <input type="radio"/> | <input checked="" type="radio"/> | |

Regulatory Action Disclosure

- | | | | |
|---|-----------------------|----------------------------------|----|
| 14C. Has the U.S. Securities and Exchange Commission or the Commodity Futures Trading Commission ever: | | YES | NO |
| (1) <i>found</i> you to have made a false statement or omission? | <input type="radio"/> | <input checked="" type="radio"/> | |
| (2) <i>found</i> you to have been <i>involved</i> in a violation of its regulations or statutes? | <input type="radio"/> | <input checked="" type="radio"/> | |
| (3) <i>found</i> you to have been a cause of an <i>investment-related</i> business having its authorization to do business denied, suspended, revoked, or restricted? | <input type="radio"/> | <input checked="" type="radio"/> | |
| (4) entered an <i>order</i> against you in connection with <i>investment-related</i> activity? | <input type="radio"/> | <input checked="" type="radio"/> | |
| (5) imposed a civil money penalty on you, or <i>ordered</i> you to cease and desist from any activity? | <input type="radio"/> | <input checked="" type="radio"/> | |

14D(1) Has any other Federal regulatory agency or any state regulatory agency or foreign financial regulatory authority ever:

- (a) found you to have made a false statement or omission or been dishonest, unfair or unethical?
- (b) found you to have been involved in a violation of investment-related regulation(s) or statute(s)?
- (c) found you to have been a cause of an investment-related business having its authorization to do business denied, suspended, revoked or restricted?
- (d) entered an order against you in connection with an investment-related activity?
- (e) denied, suspended, or revoked your registration or license or otherwise, by order, prevented you from associating with an investment-related business or restricted your activities?

14D(2) Have you been subject to any final order of a state securities commission (or any agency or officer performing like functions), state authority that supervises or examines banks, savings associations, or credit unions, state insurance commission (or any agency or office performing like functions), an appropriate federal banking agency, or the National Credit Union Administration, that:

- (a) bars you from association with an entity regulated by such commission, authority, agency, or officer, or from engaging in the business of securities, insurance, banking, savings association activities, or credit union activities; or
- (b) constitutes a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

14E. Has any self-regulatory organization or commodities exchange ever:

- (1) found you to have made a false statement or omission?
- (2) found you to have been involved in a violation of its rules (other than a violation designated as a "minor rule violation" under a plan approved by the U.S. Securities and Exchange Commission)?
- (3) found you to have been the cause of an investment-related business having its authorization to do business denied, suspended, revoked or restricted?
- (4) disciplined you by expelling or suspending you from membership, barring or suspending your association with its members, or restricting your activities?

14F. Have you ever had an authorization to act as an attorney, accountant or federal contractor that was revoked or suspended?

14G. Have you been notified, in writing, that you are now the subject of any:

- (1) regulatory complaint or proceeding that could result in a "yes" answer to any part of 14C, D or E? (If yes, complete the Regulatory Action Disclosure Reporting Page.)
- (2) investigation that could result in a "yes" answer to any part of 14A, B, C, D or E? (If yes, complete the Investigation Disclosure Reporting Page.)

Civil Judicial Disclosure

14H. (1) Has any domestic or foreign court ever:

YES NO

- (a) enjoined you in connection with any investment-related activity?
- (b) found that you were involved in a violation of any investment-related statute(s) or regulation(s)?
- (c) dismissed, pursuant to a settlement agreement, an investment-related civil action

brought against you by a state or foreign financial regulatory authority?

(2) Are you named in any pending investment-related civil action that could result in a "yes" answer to any part of 14H(1)?

Customer Complaint/Arbitration/Civil Litigation Disclosure

14I. (1) Have you ever been named as a respondent/defendant in an investment-related, consumer-initiated arbitration or civil litigation which alleged that you were involved in one or more sales practice violations and which: YES NO

(a) is still pending, or;

(b) resulted in an arbitration award or civil judgment against you, regardless of amount, or;

(c) was settled for an amount of \$10,000 or more?

(2) Have you ever been the subject of an investment-related, consumer-initiated complaint, not otherwise reported under question 14I(1) above, which alleged that you were involved in one or more sales practice violations, and which complaint was settled for an amount of \$10,000 or more?

(3) Within the past twenty four (24) months, have you been the subject of an investment-related, consumer-initiated, written complaint, not otherwise reported under question 14I(1) or (2) above, which:

(a) alleged that you were involved in one or more sales practice violations and contained a claim for compensatory damages of \$5,000 or more (if no damage amount is alleged, the complaint must be reported unless the firm has made a good faith determination that the damages from the alleged conduct would be less than \$5,000), or;

(b) alleged that you were involved in forgery, theft, misappropriation or conversion of funds or securities?

Termination Disclosure

14J. Have you ever voluntarily resigned, been discharged or permitted to resign after allegations were made that accused you of: YES NO

(1) violating investment-related statutes, regulations, rules, or industry standards of conduct?

(2) fraud or the wrongful taking of property?

(3) failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct?

Financial Disclosure

14K. Within the past 10 years: YES NO

(1) have you made a compromise with creditors, filed a bankruptcy petition or been the subject of an involuntary bankruptcy petition?

(2) based upon events that occurred while you exercised control over it, has an organization made a compromise with creditors, filed a bankruptcy petition or been the subject of an involuntary bankruptcy petition?

(3) based upon events that occurred while you exercised control over it, has a broker or dealer been the subject of an involuntary bankruptcy petition, or had a trustee appointed, or had a direct payment procedure initiated under the Securities Investor Protection Act?

14L. Has a bonding company ever denied, paid out on, or revoked a bond for you?

14M. Do you have any unsatisfied judgments or liens against you?

Legacy Disclosure Occurrence Details

Individual CRD#: 1688261	Individual Name: GUERRIERI JR, SALVATORE
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Occurrence Details - #3

Incident Type	Filing	Updated By	Details
X	NX - 08/31/1990	NYSE4	U-6 ELECTRONICALLY ENTERED BY NYSE4; TRANS #400003-26390
			1. Action Codes: BAR CEN
			2. Action Date: 8/31/90
			3. Proviso: Not Provided
			4. Previously Reported: No
			4a. Occurrence Number: Not Provided
			5. Initiated by: NYSE
			6a. Docket/Case#: NYSE-HPD# 90-69
			6b. Court Name/Location: NYSE HEARING PANEL
			7. Allegations: SEE SUMMARY
	NX - 08/31/1990	NYSE4	8. Results: SEE SUMMARY
			9. Subject Wanted for Prosecution: No
			10. Summary: SALVATORE GUERRIERI, JR., FORMER REGISTERED REPRESENTATIVE WITH A.G. EDWARDS & SONS, INC., VIOLATED EXCHANGE RULE 724(a) IN THAT HE EXERCISED DISCRETIONARY POWER IN A CUSTOMER ACCOUNT WITH RESPECT TO OPTIONS CONTRACTS WITHOUT THE PRIOR WRITTEN AUTHORIZATION OF THE CUSTOMER--CONSENT TO CENSURE AND A ONE WEEK BAR.
	NX - 08/31/1990	LIGHTNG	1. Action Codes: BAR CEN
			2. Action Date: 8/31/90
			3. Proviso: Not Provided
			4. Previously Reported: No
			4a. Occurrence Number: Not Provided
			5. Initiated by: NYSE
			6a. Docket/Case#: NYSE-HPD# 90-69
			6b. Court Name/Location: NYSE HEARING PANEL
			7. Allegations: SEE SUMMARY
			8. Results: SEE SUMMARY
	NX - 08/31/1990	LIGHTNG	9. Subject Wanted for Prosecution: No
			10. Summary: SALVATORE GUERRIERI, JR., FORMER REGISTERED REPRESENTATIVE WITH A.G. EDWARDS & SONS, INC., VIOLATED EXCHANGE RULE 724(a) IN THAT HE EXERCISED DISCRETIONARY POWER IN A CUSTOMER ACCOUNT WITH RESPECT TO OPTIONS CONTRACTS WITHOUT

			THE PRIOR WRITTEN AUTHORIZATION OF THE CUSTOMER--CONSENT TO CENSURE AND A ONE WEEK BAR.
Y4	U4 - 06/18/1991	P4SAUNDE	JDS 3272-05996; Form U4; Amend 3; B/D 17358 1. Questions: 22F2 22F4 2. Update: No 3. Initiated by: NYSE 4. Type of Event/Proceeding: CUSTOMER COMPLAINT 5. Date Initiated: 8/31/90 6. Docket/Case#: NYSE HPD #90-69 7. Allegations: VIOLATION OF NYSE RULE #724(A)-EXERCISED DISCRETIONARY POWER IN A CUSTOMERS OPTION ACCOUNT WITHOUT PRIOR WRITTEN CONSENT FROM CUSTOMER. 8a. Current Status: RESOLVED 8b. Status Date: Not Provided
	U4 - 06/18/1991	P4SAUNDE	8c. Results: ONE WEEK CENSURE AND BAR. 9. Summary: Not Provided 10. Attachments: Not Applicable
	U4 - 06/18/1991	D1ESTREL	JDS 1252-20791; Form U4; Amend 3; B/D 23988 1. Questions: 22F2 22F4 2. Update: Yes 3. Initiated by: NEW YORK STOCK EXCHANGE 4. Type of Event/Proceeding: ADMINISTRATIVE 5. Date Initiated: 8-31-90 6. Docket/Case#: NYSE-HPD#90-69 7. Allegations: VIOLATED EXCHANGE RULE 724(A) IN THAT HE EXERCISED DISCRETIONARY POWER IN A CUSTOMER ACCOUNT WITH RESPECT TO OPTION CONTRACTS WITHOUT THE PRIOR WRITTEN AUTHORIZATION OF THE CUSTOMERS. 8a. Current Status: CONSENT TO CENSURE AND A ONE WEEK BAN
	U4 - 06/18/1991	D1ESTREL	8b. Status Date: 9-90 8c. Results: CONSENTED TO CENSURE AND A ONE WEEK BAR. 9. Summary: Not Provided 10. Attachments: Not Applicable

Y5	U5 - 02/10/1990	D4ANDRSN	JDS 17-28190; Form U5; Amend; B/D 00004 1. Questions: 14 2. Update: Yes 3. Initiated by: NEW YORK EXCHANGE 4. Type of Event/Proceeding: INVESTIGATION 5. Date Initiated: 10/89 6. Docket/Case#: N/A 7. Allegations: THE ALLEGATIONS WERE THAT MR. GUERRIERI EXERCISED DISCRETIONARY POWER IN A CUSTOMER ACCOUNT WITH RESPECT TO OPTIONS CONTRACTS WITHOUT THE PRIOR WRITTEN AUTHORIZATION OF THE CUSTOMER. 7a. WHAT TYPE OF PRODUCT WAS INVOLVED? OPTIONS CONTRACTS.
	U5 - 02/10/1990	D4ANDRSN	8a. Current Status: CLOSED 8b. Status Date: 6/6/90 8c. Results: THE NEW YORK STOCK EXCHANGE FOUND MR. GUERRIERI GUILTY OF VIOLATING EXCHANGE RULE 724 (a). MR GUERRIERI HAS BEEN CENSURED AND BARRED FROM MEMBERSHIP, ALLIED MEMBERSHIP, APPROVED PERSON STATUS, AND FROM EMPLOYMENT IN ANY CAPACITY WITH ANY MEMBER OR MEMBER ORGANIZATION FOR ONE (1) WEEK. 9. Summary: SINCE A.G. EDWARDS & SONS, INC. WAS NOT A PARTY TO THIS ACTION, WE WERE NOT NOTIFIED UNTIL 9/21/90. 10. Attachments: Not Applicable
	U5 - 02/10/1990	ALLISON	{2/10/90, U5 REC'D FROM A. G. EDWARDS & SONS, INC. DISCLOSES THAT GUERRIERI WAS TERMINATED ON 1/29/90 FOR THE FOLLOWING REASON; NYSE INVESTIGATION, 10/89, PERTAINING TO A.G. EDWARDS & SONS, INC. CENSURE, WARNING, AND FINE OF \$500 ON MR. GUERRIERI FOR TRADING OPTIONS IN A CUSTOMER'S ACCOUNT WITHOUT PRIOR WRITTEN AUTHORITY.
	U5 - 02/10/1990	CRAZE	1. Questions: 14 2. Update: Yes 3. Initiated by: NEW YORK EXCHANGE 4. Type of Event/Proceeding: INVESTIGATION 5. Date Initiated: 10/89 6. Docket/Case#: N/A

		7. Allegations: THE ALLEGATIONS WERE THAT MR. GUERRIERI EXERCISED DISCRETIONARY POWER IN A CUSTOMER ACCOUNT WITH RESPECT TO OPTIONS CONTRACTS WITHOUT THE PRIOR WRITTEN AUTHORIZATION OF THE CUSTOMER. 7a. WHAT TYPE OF PRODUCT WAS INVOLVED? OPTIONS CONTRACTS.
U5 - 02/10/1990	CRAZE	8a. Current Status: CLOSED
		8b. Status Date: 6/6/90
		8c. Results: THE NEW YORK STOCK EXCHANGE FOUND MR. GUERRIERI GUILTY OF VIOLATING EXCHANGE RULE 724 (a). MR GUERRIERI HAS BEEN CENSURED AND BARRED FROM MEMBERSHIP, ALLIED MEMBERSHIP, APPROVED PERSON STATUS, AND FROM EMPLOYMENT IN ANY CAPACITY WITH ANY MEMBER OR MEMBER ORGANIZATION FOR ONE (1) WEEK.
		9. Summary: SINCE A.G. EDWARDS & SONS, INC. WAS NOT A PARTY TO THIS ACTION, WE WERE NOT NOTIFIED UNTIL 9/21/90.
		10. Attachments: Not Applicable