

BrokerCheck Report

BROADPOINT AMTECH, INC.

CRD# 121456

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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.

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

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

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

• **Thank you for using FINRA BrokerCheck.**



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

**BROADPOINT AMTECH, INC.**

CRD# 121456

SEC# 8-65413

Main Office Location10 GLENVILLE STREET
GREENWICH, CT 06831**Mailing Address**10 GLENVILLE STREET
GREENWICH, CT 06831**Business Telephone Number**

203-532-7300

Report Summary for this Firm

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

Firm Profile

This firm is classified as a corporation.

This firm was formed in Delaware on 03/18/2002.

Its fiscal year ends in December.

Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

Firm Operations

This brokerage firm is no longer registered with FINRA or a national securities exchange.

Disclosure Events

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

Are there events disclosed about this firm? **No**

Registration Withdrawal Information

This section provides information relating to the date the brokerage firm ceased doing business and the firm's financial obligations to customers or other brokerage firms.



Date firm ceased business: 06/15/2010

Does this brokerage firm owe any money or securities to any customer or brokerage firm? No



Firm Profile

This firm is classified as a corporation.

This firm was formed in Delaware on 03/18/2002.

Its fiscal year ends in December.

Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

BROADPOINT AMTECH, INC.

Doing business as BROADPOINT AMTECH, INC.

CRD# 121456

SEC# 8-65413

Main Office Location

10 GLENVILLE STREET
GREENWICH, CT 06831

Mailing Address

10 GLENVILLE STREET
GREENWICH, CT 06831

Business Telephone Number

203-532-7300



Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

Direct Owners and Executive Officers

Legal Name & CRD# (if any): AMERICAN TECHNOLOGY RESEARCH HOLDINGS, INC.

Is this a domestic or foreign entity or an individual? Domestic Entity

Position HOLDING COMPANY

Position Start Date 10/2007

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): KEKLIK, ALLEN J

4415128

Is this a domestic or foreign entity or an individual? Individual

Position CHIEF COMPLIANCE OFFICER

Position Start Date 02/2007

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): MEIER, ROBERT CHRISTOPHER

2505585

Is this a domestic or foreign entity or an individual? Individual

Position CEO

Position Start Date 10/2008

Firm Profile



Direct Owners and Executive Officers (continued)

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.



Indirect Owners

Legal Name & CRD# (if any):	GLEACHER & COMPANY, INC.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	AMERICAN TECHNOLOGY RESEARCH HOLDINGS, INC.
Relationship to Direct Owner	PARENT COMPANY
Relationship Established	10/2008
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	Yes

Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.



Firm Operations



Registrations

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

This firm is no longer registered.

The firm's registration was from 08/28/2002 to 08/23/2010.

Firm Operations



Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

This firm currently conducts 5 types of businesses.

Types of Business

Broker or dealer retailing corporate equity securities over-the-counter
Underwriter or selling group participant (corporate securities other than mutual funds)
Non-exchange member arranging for transactions in listed securities by exchange member
Trading securities for own account
Private placements of securities

Other Types of Business

This firm does not effect transactions in commodities, commodity futures, or commodity options.
This firm does engage in other non-securities business.

Non-Securities Business Description: SALE OF RESEARCH FOR HARD DOLLAR PAYMENTS.

Firm Operations



Clearing Arrangements

This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).

Introducing Arrangements

This firm does refer or introduce customers to other brokers and dealers.

Name:	J.P. MORGAN CLEARING CORP.
CRD #:	28432
Business Address:	383 MADISON AVE. NEW YORK, NY 10179
Effective Date:	07/08/2002
Description:	BROADPOINT AMTECH, INC. ENTERED INTO A CLEARING AGREEMENT WITH JP MORGAN CLEARING CORP. AS SUCH THEY WILL MAINTAIN CERTAIN RECORDS, CUSTOMER ACCOUNTS, CUSTOMER FUNDS AND SECURITIES.

Firm Operations

Industry Arrangements



This firm does have books or records maintained by a third party.

Name: J.P. MORGAN CLEARING CORP.

CRD #: 28432

Business Address: 383 MADISON AVENUE
NEW YORK, NY 10179

Effective Date: 07/08/2002

Description: BROADPOINT AMTECH, INC. ENTERED INTO A CLEARING AGREEMENT WITH JP MORGAN CLEARING CORP. AS SUCH THEY WILL MAINTAIN CERTAIN RECORDS, CUSTOMER ACCOUNTS, CUSTOMER FUNDS AND SECURITIES.

This firm does have accounts, funds, or securities maintained by a third party.

Name: J.P. MORGAN CLEARING CORP.

CRD #: 28432

Business Address: 383 MADISON AVENUE
NEW YORK, NY 10179

Effective Date: 07/08/2002

Description: BROADPOINTAMTECH, INC. ENTERED INTO A CLEARING AGREEMENT WITH J.P. MORGAN CLEARING CORP. AS SUCH THEY WILL MAINTAIN CERTAIN RECORDS, CUSTOMER ACCOUNTS, CUSTOMER FUNDS AND SECURITIES.

This firm does have customer accounts, funds, or securities maintained by a third party.

Name: J.P. MORGAN CLEARING CORP.

CRD #: 28432

Business Address: 383 MADISON AVE.
NEW YORK, NY 10179

Effective Date: 07/08/2002

Description: BROADPOINT AMTECH, INC. ENTERED INTO A CLEARING AGREEMENT WITH JP MORGAN CLEARING CORP. AS SUCH THEY WILL MAINTAIN CERTAIN RECORDS, CUSTOMER ACCOUNTS, CUSTOMER FUNDS AND SECURITIES.

Control Persons/Financing

This firm does not have individuals who control its management or policies through agreement.

Firm Operations

Industry Arrangements (continued)



This firm does not have individuals who wholly or partly finance the firm's business.



Firm Operations

Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

This firm is, directly or indirectly:

- in control of
 - controlled by
 - or under common control with
- the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.

GLEACHER PARTNERS LLC is under common control with the firm.

CRD #:	47342
Business Address:	660 MADISON AVE 19 FLOOR NEW YORK, NY 10065
Effective Date:	06/08/2009
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	GLEACHER PARTNERS LLC, ENGAGED IN THE BUSINESS OF RENEDERING FINANCIAL ADVISORY SERVICES, IS A WHOLLY OWNED SUBSIDIARY OF GLEACHER & COMPANY, INC., THE PARENT COMPANY OF BROADPOINT AMTECH, INC.

MATLINPATTERSON GLOBAL ADVISORS, LLC is under common control with the firm.

Business Address:	520 MADISON AVE 35TH FLOOR NEW YORK, NY 10022
Effective Date:	10/03/2008
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	No

Firm Operations



Organization Affiliates (continued)

Description: MATLINPATTERSON GLOBAL ADVISORS, LLC IS AN AFFILIATE OF MATLINPATTERSON FA ACQUISITION LLC, WHICH OWNS GLEACHER & COMPANY, INC.

FA TECHNOLOGY VENTURES CORPORATION is under common control with the firm.

Business Address: 677 BROADWAY
ALBANY, NY 12207

Effective Date: 10/03/2008

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: No

Description: FA TECHNOLOGY VENTURES CORPORATION IS WHOLLY OWNED SUBSIDIARY OF BROADPOINT ENTERPRISE FUNDING, INC. BROADPOINT ENTERPRISE FUNDING, INC. IS A WHOLLY OWNED SUBSIDIARY OF GLEACHER & COMPANY, INC., THE PARENT COMPANY OF BROADPOINT AMTECH, INC.

BROADPOINT PRODUCTS, CORP. is under common control with the firm.

Business Address: ONE PENN PLAZA
FLOOR - 42
NEW YORK, NY 10119

Effective Date: 10/03/2008

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: No

Description: BROADPOINT PRODUCTS, INC. IS A WHOLLY OWNED SUBSIDIARY OF GLEACHER & COMPANY, INC., THE PARENT COMPANY OF BROADPOINT AMTECH, INC.

BROADPOINT ENTERPRISE FUNDING, INC is under common control with the firm.

Business Address: 677 BROADWAY
ALBANY, NY 12207

Firm Operations



Organization Affiliates (continued)

Effective Date: 10/03/2008

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: No

Description: BROADPOINT ENTERPRISE FUNDING, INC. A DELAWARE CORPORATION, IS A WHOLLY OWNED SUBSIDIARY OF GLEACHER & COMPANY, INC., THE PARENT COMPANY OF BROADPOINT AMTECH, INC.

FA ASSET MANAGEMENT INC. is under common control with the firm.

CRD #: 110965

Business Address: 677 BROADWAY
ALBANY, NY 12207

Effective Date: 10/03/2008

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: FA ASSEST MANAGEMENT INC. IS A WHOLLY OWNED SUBSIDIARY OF GLEACHER & COMPANY, INC., THE PARENT COMPANY OF BROADPOINT AMTECH, INC.

GLEACHER & COMPANY SECURITIES, INC. is under common control with the firm.

CRD #: 298

Business Address: 1290 AVE OF AMERICAS
4TH FLOOR
NEW YORK, NY 10104

Effective Date: 10/03/2008

Foreign Entity: No

Country:

Securities Activities: Yes

Firm Operations



Organization Affiliates (continued)

Investment Advisory Activities:	No
Description:	GLEACHER & COMPANY SECURITIES ,INC. IS A WHOLLY OWNED SUBSIDIARY OF GLEACHER & COMPANY INC., THE PARENT COMPANY OF BROADPOINT, AMTECH INC.

This firm is not directly or indirectly, controlled by the following:

- bank holding company
- national bank
- state member bank of the Federal Reserve System
- state non-member bank
- savings bank or association
- credit union
- or foreign bank

End of Report



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