SEC Form 5

FORM 5

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b)

Form 4 Transactions Reported.

Form 3 Holdings Reported.

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

ANNUAL STATEMENT OF CHANGES IN BENEFICIAL **OWNERSHIP**

OMB APPROVAL

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Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

1	s of Reporting Person	n*	2. Issuer Name and Ticker or Trading Symbol <u>Newtek Business Services Corp.</u> [NEWT]		tionship of Reporting Pe all applicable) Director	rson(s) to Issuer 10% Owner
(Last)	(First)	(Middle)	3. Statement for Issuer's Fiscal Year Ended (Month/Day/Year)	X	Officer (give title below)	Other (specify below)
4800 T-REX AV		(Middle)	12/31/2019		Chief Accountin	ng Officer
SUITE 120						
			4. If Amendment, Date of Original Filed (Month/Day/Year)		ridual or Joint/Group Filin	ig (Check Applicable
(Street)				Line)		
BOCA RATON	FL	33431		X	Form filed by One Rep	porting Person
,					Form filed by More that Person	an One Reporting
(City)	(State)	(Zip)				

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any	3. Transaction Code (Instr.	4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)			5. Amount of Securities Beneficially	6. Ownership Form: Direct	7. Nature of Indirect Beneficial
	(Month/Day/Year) 8) Amount		(A) or (D)	Price	Owned at end of Issuer's Fiscal Year (Instr. 3 and 4)	(D) or Indirect (I) (Instr. 4)	Ownership (Instr. 4)		
Common stock	06/28/2019		P ⁽¹⁾	41.97	A	\$23	2,273.04	D	
Common stock	09/30/2019		P ⁽¹⁾	55.02	A	\$22.58	2,273.04	D	
Common stock	12/30/2019		P ⁽¹⁾	69.62	A	\$22.37	2,273.04	D	

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned

(e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)	of Deriva Secur Acqui (A) or Dispo of (D) (Instr.	Derivative (Month/Day/Year) Securities Acquired (A) or Disposed		Amoun Securit Underl Derivat	7. Title and Amount of Securities Underlying Derivative Security (Instr. 5) Security (Instr. 3 and 4)		9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	Ownership Form:	11. Nature of Indirect Beneficial Ownership (Instr. 4)	
					(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				

Explanation of Responses:

1. Shares received by Reporting Person pursuant to regular quarterly dividend declared by Issuer.

Remarks:

Christopher Towers

** Signature of Reporting Person

01/06/2020 Date

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

* If the form is filed by more than one reporting person, see Instruction 4 (b)(v).

** Intentional misstatements or omissions of facts constitute Federal Criminal Violations See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.