

NEWTEK BUSINESS SERVICES, INC.

Form 10-Q/A

December 06, 2013

Table of Contents

**UNITED STATES**  
**SECURITIES AND EXCHANGE COMMISSION**  
**WASHINGTON, D.C. 20549**

**FORM 10-Q/A**  
**(Amendment No. 1)**

**(Mark One)**

**QUARTERLY REPORT PURSUANT TO SECTION 13 OR 15(d) OF THE SECURITIES EXCHANGE ACT OF 1934**

**For the quarterly period ended September 30, 2013**

**OR**

**TRANSITION REPORT PURSUANT TO SECTION 13 OR 15(d) OF THE SECURITIES EXCHANGE ACT OF 1934**

**For the transition period from \_\_\_\_\_ to \_\_\_\_\_**

**Commission File Number: 001-16123**

**NEWTEK BUSINESS SERVICES, INC.**

**(Exact name of registrant as specified in its charter)**

**New York**  
**(State or other jurisdiction of**  
**incorporation or organization)**

**11-3504638**  
**(I.R.S. Employer**  
**Identification No.)**

**212 West 35<sup>th</sup> Street, 2<sup>nd</sup> Floor, New York, NY**  
**(Address of principal executive offices)**

**10001**  
**(Zip Code)**

**Registrant's telephone number, including area code: (212) 356-9500**

Indicate by check mark whether the registrant: (1) has filed all reports required to be filed by Section 13 or 15(d) of the Securities Exchange Act of 1934 during the past 12 months (or for such shorter period that the registrant was required to file such reports) and (2) has been subject to such filing requirements for the past 90 days. Yes  No

Indicate by check mark whether the registrant has submitted electronically and posted on its corporate website, if any, every Interactive Data File required to be submitted and posted pursuant to Rule 405 of Regulation S-T (Section 232.405 of this chapter) during the preceding 12 months (or for such shorter period that the registrant was required to submit and post such files). Yes  No

Indicate by check mark whether the registrant is a large accelerated filer, an accelerated filer, a non-accelerated filer, or a smaller reporting company (as defined in Rule 12b-2 of the Exchange Act).

Large accelerated filer

Accelerated filer

Non-accelerated filer

Smaller reporting company

Indicate by check mark whether the registrant is a shell company (as defined in Rule 12b-2 of the Exchange Act). Yes  No

As of December 5, 2013, there were 35,385,888 of the Company's Common Shares outstanding.

**Table of Contents**

**CONTENTS**

**PART II - OTHER INFORMATION**

<u>Item 6. Exhibits</u>	3
<u>Signatures</u>	4

**Table of Contents**

**PART II - OTHER INFORMATION**

**Item 6. Exhibits**

<b>Exhibit No.</b>	<b>Description</b>
32.1	Certification by Principal Executive and Principal Financial Officers pursuant to 18 U.S.C. Section 1350, as adopted pursuant to Section 906 of the Sarbanes-Oxley Act of 2002.(amended)

**Table of Contents**

**SIGNATURES**

Pursuant to the requirements of Section 13 or 15(d) of the Securities Exchange Act of 1934, the registrant has duly caused this report to be signed on its behalf by the undersigned, thereunto duly authorized.

**NEWTEK BUSINESS SERVICES, INC.**

Date: December 6, 2013

By: /s/ Barry Sloane  
Barry Sloane  
Chairman of the Board, Chief Executive Officer  
  
and Secretary  
(Principal Executive Officer)

Date: December 6, 2013

By: /s/ Jennifer Eddelson  
Jennifer Eddelson  
Chief Accounting Officer  
(Principal Financial Officer and Principal  
Accounting Officer)