

NEWTEK BUSINESS SERVICES INC  
Form 8-K  
January 16, 2007

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

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**FORM 8-K**

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**CURRENT REPORT**

**Pursuant to Section 13 or 15(d) of the Securities Exchange Act of 1934**

**January 16, 2007 (January 13, 2007)**

**Date of Report (date of Earliest Event Reported)**

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**NEWTEK BUSINESS SERVICES, INC.**

**(Exact Name of Company as Specified in its Charter)**

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**NEW YORK**  
**(State or Other Jurisdiction of**

**001-16123**  
**(Commission File No.)**

**11-3504638**  
**(I.R.S. Employer**

**Incorporation or Organization)**

**1440 Broadway, 17<sup>th</sup> floor, New York, NY 10018**

**Identification No.)**

**(Address of principal executive offices and zip code)**

**(212) 356-9500**

**(Company's telephone number, including area code)**

**(Former name or former address, if changed from last report)**

## Edgar Filing: NEWTEK BUSINESS SERVICES INC - Form 8-K

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Check the appropriate box below if the Form 8-K filing is intended to simultaneously satisfy the filing obligation of the registrant under any of the following provisions (see General Instruction A.2. below):

- Written communications pursuant to Rule 425 under the Securities Act (17 CFR 230.425)
  - Soliciting material pursuant to Rule 14a-12 under the Exchange Act (17 CFR 240.14a-12)
  - Pre-commencement communications pursuant to Rule 14d-2(b) under the Exchange Act (17 CFR 240.14d-2(b))
  - Pre-commencement communications pursuant to Rule 13e-4(c) under the Exchange Act (17 CFR 240.13e-4(c))
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### **Forward-Looking Statements**

Statements in this Current Report on Form 8-K (including the exhibits), including statements regarding Newtek's beliefs, expectations, intentions or strategies for the future, may be forward-looking statements under the Private Securities Litigation Reform Act of 1995. All forward-looking statements involve a number of risks and uncertainties that could cause actual results to differ materially from the plans, intentions and expectations reflected in or suggested by the forward-looking statements. Such risks and uncertainties include, among others, intensified competition, operating problems and their impact on revenues and profit margins, anticipated future business strategies and financial performance, anticipated future number of customers, business prospects, legislative developments and similar matters. Risk factors, cautionary statements and other conditions which could cause Newtek's actual results to differ from management's current expectations are contained in Newtek's filings with the Securities and Exchange Commission. Newtek undertakes no obligation to update any forward-looking statement to reflect events or circumstances that may arise after the date of this filing.

### **ITEM 8.01 Other Events.**

On January 13, 2007, Newtek Business Services published a Notice of Filing of Application for Acquisition of a Savings Association under § 574.3 of the Regulations of the Office of Thrift Supervision for Acquisitions of Savings Associations, in the Milwaukee Journal/Sentinel. A copy of the Notice is attached as Exhibit 99.1 to this Form 8-K.

### **ITEM 9.01. Financial Statements and Exhibits**

(c) Exhibits

99.1 Notice of Filing of Application for Acquisition of a Savings Association published on January 13, 2007 in the Milwaukee Journal/Sentinel.

**SIGNATURES**

In accordance with the requirements of the Securities Exchange Act of 1934, the registrant has caused this report to be signed on its behalf by the undersigned, thereunto duly authorized.

**NEWTEK BUSINESS SERVICES, INC.**

Date: January 16, 2007

/s/ Barry Sloane  
Barry Sloane  
Chairman of the Board, Chief Executive Officer, Secretary

**EXHIBIT INDEX**

**EXHIBIT**

| <b>NUMBER</b> | <b>DESCRIPTION</b>  |
|---------------|---|
| 99.1          | Notice of Filing of Application for Acquisition of a Savings Association published on January 13, 2007 in the <u>Milwaukee Journal/Sentinel</u> . |