SEC Form 5

FORM 5

UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

ANNUAL STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

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. Name and Address of Reporting Person[*]	2. Issuer Name **and** Ticker or Trading Symbol	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)
PEREZ-HICKMAN FERNANDO	NewtekOne, Inc. [NEWT]	X Director ☐ 10% Owner
(Last) (First) (Middle)		☐ Officer (give title below) ☐ Other (specify below)
4800 T-REX AVENUE	3. Statement for Issuer's Fiscal Year Ended (Month/Day/Year) 12/31/2023	
SUITE 120		
(Street)	4. If Amendment, Date of Original Filed (Month/Day/Year) 01/23/2024	6. Individual or Joint/Group Filing (Check Applicable Line)
BOCA RATON FL 33431		X Form filed by One Reporting Person
(City) (State) (Zip)		☐ Form filed by More than One Reporting Person

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 (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5) Amount	(A) or (D)	Price	5. Amount of Securities Beneficially Owned at end of Issuer's Fiscal Year (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
Common stock							40,500	I	Shares are held by Trust[1]
Common stock	04/14/2023		P[2]	20	A	$13.05	3,846[3]	D	
Common stock	07/21/2023		P[2]	31	A	$17.92	3,846[3]	D	
Common stock	10/20/2023		P[2]	41	A	$13.4	3,846[3]	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)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) (A)	(D)	6. Date Exercisable and Expiration Date (Month/Day/Year) Date Exercisable	Expiration Date	7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4) Title	Amount or Number of Shares	8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)

Explanation of Responses:

1. Shares are held by Feathers Capital Group LLC, a limited liability company which is owned by the Maria del Carmen Escolar Gutierrez 2022 Irrevocable Trust (the "Trust"); the reporting person is a co-trustee of the Trust and the reporting person and his immediate family members are beneficiaries of the Trust.

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

3. The Reporting Person incorrectly included Reporting Person's indirect holdings as direct holdings on his Form 5 filed on January 23, 2024.

Remarks:

Fernando Perez-Hickman	01/24/2024
** Signature of Reporting Person	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.