
**UNITED STATES
SECURITIES AND EXCHANGE COMMISSION**
Washington, DC 20549

FORM 8-K

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

Date of Report (Date of earliest event reported): June 11, 2019

FTE NETWORKS, INC.

(Exact name of registrant as specified in its charter)

Nevada
(State or other jurisdiction
of incorporation)

001-38322
(Commission
File Number)

81-0438093
(I.R.S. Employer
Identification No.)

237 West 35th Street, Suite 806
New York, NY
(Address of principal executive offices)

10001
(Zip Code)

877-878-8136
(Registrant's telephone number, including area code)

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:

- ☐ 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))

Securities registered pursuant to Section 12(b) of the Act:

<u>Title of each class</u>	<u>Trading Symbol</u>	<u>Name of each exchange on which registered</u>
Common stock (\$0.001 par value)	FTNW	NYSE American

Indicate by check mark whether the registrant is an emerging growth company as defined in Rule 405 of the Securities Act of 1933 (§230.405 of this chapter) or Rule 12b-2 of the Securities Exchange Act of 1934 (§240.12b-2 of this chapter).

Emerging growth company ☐

If an emerging growth company, indicate by check mark if the registrant has elected not to use the extended transition period for complying with any new or revised financial accounting standards provided pursuant to Section 13(a) of the Exchange Act. ☐

Item 4.02 Non-Reliance on Previously Issued Financial Statements or a Related Audit Report or Completed Interim Review.

The Company previously announced that on April 2, 2019 that the Audit Committee (“Audit Committee”) of FTE Networks, Inc. (the “Company”), following a communication by the Company’s independent registered public accounting firm, Marcum LLP (“Marcum”), had concluded that previously issued audited financial statements as of and for the year ended December 31, 2017, and interim reviews of the financial statements for the periods ended March 31, June 30, and September 30, 2018 and 2017, should no longer be relied upon. The conclusion to prevent future reliance on the aforementioned financial statements resulted from the determination that such financial statements failed to properly account for certain convertible notes and other potentially dilutive securities. Specifically, the Company identified a potential issue related to the accounting related to certain convertible notes and other potentially dilutive securities the Company issued in 2017, 2018, and 2019.

On June 11, 2019, the Audit Committee, following a communication by Marcum, concluded that the Company’s previously issued audited financial statements as of and for the years ended December 31, 2017 and 2016 and completed interim reviews for the periods ended March 31, June 30 and September 30, 2018, 2017 and 2016 should no longer be relied upon. The conclusion on June 11, 2019 to add the aforementioned 2016 financial statements to those statements which should no longer be relied upon resulted from determinations made as part of the Company’s ongoing restatement effort that certain items, including revenues originally recognized in 2016, should no longer be recognized.

The Audit Committee has discussed these matters with the Company’s management, who has been working with Marcum representatives, whose review is ongoing.

The Company has prepared estimates of the anticipated restatement amounts. These estimates are solely preliminary, they should not be relied upon, and they are still subject to review by Marcum after the Company has finished its assessment. For the years ended December 31, 2016 and December 31, 2017, as well as the interim periods of March 31, June 30, and September 30, 2018, the Company currently estimates the following adjustments:

	For the Year Ended December 31, 2016	For the Year Ended December 31, 2017	For the Three Months Ended March 31, 2018	For the Three Months Ended June 30, 2018	For the Three Months Ended September 30, 2018
As Previously Reported (in thousands):					
Revenue	12,269	243,409	85,145	86,367	92,224
Net (Loss) Income Attributable to Common Shareholders	(6,313)	(20,109)	(10,184)	(13,578)	(12,045)
Estimated Adjustments:					
Revenue	(5,802)	(7,074)	164	605	2,681
Net (Loss) Income	(10,725)	(21,986)	(13,188)	1,521	(3,027)
Estimated Adjusted Amounts:					
Revenue	6,466	236,334	85,309	86,972	94,905
Net (Loss) Income Attributable to Common Shareholders	(17,039)	(42,095)	(23,372)	(12,056)	(15,072)

Item 5.02 Departure of Directors or Certain Officers; Election of Directors; Appointment of Certain Officers; Compensatory Arrangements of Certain Officers

On June 13, 2019, the Company announced that the Board of Directors of the Company (the “Board”) appointed Fred Sacramone as the Co-Interim Chief Executive Officer of the Company. Mr. Sacramone, age 49, is currently a member of the Board. Mr. Sacramone joined the Company in April 2017 when the Company acquired Benchmark Builders, Inc. (“Benchmark”), a leading provider of general contracting management services based in New York. In 2008, Mr. Sacramone co-founded Benchmark and currently serves as its President. Mr. Sacramone holds a Bachelor of Business Administration degree from the University of Massachusetts.

On February 12, 2019, Mr. Sacramone and Benchmark, a wholly-owned subsidiary of the Company, entered into an Amended and Restated Employment Agreement, which the Company filed as an exhibit to its Form 8-K dated February 27, 2019. The terms of Mr. Sacramone’s executive compensation were unchanged in connection with his appointment to this new role.

Other than the forgoing, there are no arrangements or understandings between Mr. Sacramone and any other persons in connection with his appointment. There are no family relationships between Mr. Sacramone and any director or executive officer of the Company.

This information shall not be deemed “filed” for purposes of Section 18 of the Securities Exchange Act of 1934, as amended (the “Exchange Act”), or otherwise subject to the liabilities of that section, and it shall not be deemed incorporated by reference in any filing under the Securities Act of 1933, as amended, or the Exchange Act, except as expressly set forth by specific reference in such filing.

Item 8.01 Other Events.

This filing also describes actions following from preliminary findings of the independent investigation previously announced by the Company, as well as the Company’s ongoing and planned remediation efforts.

I. Equity Issues

On March 11, 2019, the Company announced that it had entered into certain securities purchase agreements with certain investors, pursuant to which the Company agreed to sell convertible notes, convertible into shares of common stock of the Company. These issuances were not supported by a listing application with the New York Stock Exchange (the “Exchange”). On March 22, 2019, the Company announced the initiation of an independent investigation to review and determine inter alia, whether Company management had the proper authorization to issue the convertible notes and the related shares issuable upon conversion of the convertible notes, as well as certain other debt instruments and equity transactions.

Under the Company’s bylaws, equity issuances require authorization from the Board. The investigation team informed the Company that it had found that proper Board authorization was lacking for certain equity issuances. Specifically, the investigation found issuances that were supported by resolutions that did not comport with Nevada state law and the Company’s bylaws, issuances for which no Board authorization existed, and issuances that were supported by falsified Board authorizations under which a former Company officer copied previous electronic signatures of Board members onto new documents.

A. Review of Past Issuances

In order to remedy these deficiencies, the Board held three special meetings to review equity issuances which were made between September 28, 2015 and March 5, 2019. On May 23, 2019, the Company sent a letter to shareholders, pursuant to Nevada Revised Statutes Section 78.0296, which is filed as Exhibit 99.1 to this current report and incorporated herein by reference, to notify them of noncompliant issuances that were approved and validated during the review. Issuances were also nullified during the review, including shares related to convertible note issuances, and other equity issued to Company personnel and related parties.

The Company also acted to prevent the conversion of unauthorized convertible securities by obtaining a temporary restraining order on March 29, 2019 and a preliminary injunction on April 11, 2019 in the Second Judicial District Court for the State of Nevada. This action enjoins the Company's transfer agent from issuing the unauthorized convertible securities.

B. 2018 Shareholders Meeting

Due to the nullification of certain share issuances, the Company concluded that a quorum was not achieved for the December 26, 2018 shareholders meeting, at which votes were taken to elect nominees for director, to ratify the appointment of Marcum as the Company's independent registered public accountants, and to approve an amendment to the Company's Articles of Incorporation to provide for a classified Board of Directors. As a result, those actions are not valid.

The Company has determined that: (a) the lack of a vote for director nominees did not change the governance of the Company as the nominee directors were incumbents, and under the Company's bylaws, a director remains in place until he or she resigns or is replaced by shareholder vote; (b) as the vote on the ratification of Marcum is a non-binding advisory vote, its invalidity has no effect on the Company's auditors; and (c) the Company should amend its Articles of Incorporation with the State of Nevada to return them to the form they were in prior to such invalid amendment.

II. Accounting Issues

As stated above, on April 2, 2019 the Company announced that its Audit Committee, following a communication by Marcum, concluded that the Company's previously issued audited financial statements as of and for the year ended December 31, 2017, and interim reviews of the financial statements for the periods ended March 31, June 30, and September 30, 2018 and 2017, should no longer be relied upon.

The Company has since been engaged in a thorough review of its financial statements to determine what items need to be restated. The restatement will include adjustments to expenses and liabilities in addition to those associated with the convertible notes, as well as adjustments to write down revenue items improperly recognized in 2016 and 2017. Those items involved instances in which revenue was recognized and either maintained as due to the Company or as a receivable, but for which the Company has not been able to find support and now intends to reverse as part of the restatement. The Company is actively working to verify the anticipated restatement by amount and period.

Further, the independent investigation announced on March 22, 2019 is also focused on issues related to the accounting for and disclosure of certain expenses incurred by management, as well as the appropriateness and disclosure of certain related party transactions. To date, the investigation team has found what it believes are significant personal expenses incurred by former officers that were charged to the Company, including: multiple trips on chartered jets to vacation destinations in the U.S., South America and Europe, as well as to a family home; the use of Company vehicles largely if not solely for personal purposes; incidental personal charges on Company credit cards; and Company payments for credit card bills in the names of former officers. The investigation also found at least one large share issuance to a related party that was not reported timely. Further, the investigation team also found instances in which cash transfers were made to former officers with little or no support. However, this work is ongoing, and further findings may change our preliminary assessments described above. The investigation team is working with the Company to ensure that its findings are appropriately reflected in the Company's restatement and in its next Form 10-K.

III. Self-Reporting, Mitigation and Cooperation

The Company has self-reported the above events to the Securities and Exchange Commission ("SEC"). The SEC has opened an investigation into the matter, and the Company is cooperating with the SEC. It is also keeping the SEC apprised of its restatement efforts.

The Company has also engaged, and will continue to engage, in efforts to mitigate the issues identified above.

First, the Company filed additional listing applications with the Exchange on April 2, 2019 to ensure that all prior issuances are properly covered under the Exchange's rules.

Second, as noted above, the Company acted to prevent the conversion of unauthorized convertible securities to ensure that these improperly authorized convertible securities are not converted into common shares that could then enter into the marketplace. The Company has obtained the return of some nullified shares, and it intends to take actions to retrieve outstanding nullified issuances.

Third, the Board is vetting new candidates for Board membership, and will announce new appointments as they are made. On June 11, 2019, the Company announced the appointments of Jeanne Kingsley and Stephen Berini as directors. On June 3, 2019, the Company announced that four directors – Christopher Ferguson, Luisa Ingargiola, Brad Mitchell and Patrick O'Hare – resigned from the Board.

Fourth, the Company is undertaking a thorough review of its internal controls and will determine and implement – in consultation with the independent investigation team and the SEC – any improvements to internal controls determined to be necessary.

Forward-Looking Statements

Some of the statements contained in this Form 8-K are "forward-looking statements" within the meaning of the Private Securities Litigation Reform Act of 1995. Forward-looking statements relate to future events or our future performance and include statements about the adequacy, timing and structure of the proposed financing and the Company's ability to consummate it, our ability to restructure our existing debt and execute our strategic business plan, as well as other statements that can be identified by the use of the forward-looking terminology such as "may," "will," "believe," "anticipate," "would," or similar terms, variations of such terms, or the negative of such terms. These forward-looking statements are based on the Company's current expectations and inherently involve significant risks and uncertainties.

Further description of risks that could cause actual events to differ from the outcomes predicted by the Company's forward-looking statements is set forth under the caption "Risk Factors" in the Company's annual and quarterly reports and other filings with the SEC, and you should consider each of those factors when evaluating the forward-looking statements. These forward-looking statements speak only as of the date of this Form 8-K and the Company undertakes no duty or obligation to update any forward-looking statements contained in this letter as a result of new information, future events or changes in its expectations.

Item 9.01. Financial Statements and Exhibits.

(d) Exhibits

Exhibit No.	Description
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99.1	<u>Letter to Shareholders.</u>
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SIGNATURES

Pursuant to the requirements of the Securities Exchange Act of 1934, the Registrant has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

FTE NETWORKS, INC.

By: /s/ Anthony Sirotko

Anthony Sirotko

Interim Chief Executive Officer

Date: June 13, 2019



Notice of Validation

May 23, 2019

To: All FTE Stockholders of Record as of May 13, 2019

This notice is being given pursuant to NRS 78.0296 which (i) allows a Nevada corporation to validate any corporate act not in compliance, or purportedly not in compliance, with Title 7 of the Nevada Revised Statutes or the articles of incorporation or bylaws of the corporation and (ii) requires notice of any such validation of a corporate act to be given not less than 10 days after the approval of such validation to each stockholder of record at the time of such validation, whether or not action by the stockholders is required for such validation.

In order to make certain that all issuances of shares that occurred during the past several years are in compliance with applicable law and governing documents, the corporation requested an internal investigation of all stock issuances that occurred between September 28, 2015 and December 31, 2018. The investigation was conducted by the law firm of K&L Gates LLP and findings were presented to the board of directors at duly noticed special meetings of the board of directors on April 29, 2019, May 7, 2019, May 8, 2019 and May 13, 2019.

The findings included various corporate acts that were found not to be in compliance with governing documents. At its meeting on May 13, 2019, the board of directors reviewed and unanimously approved the minutes from the April 29, May 7 and May 8 meetings during which each of the purported noncompliant acts was carefully discussed and reviewed, and certain acts validated. A list of all noncompliant acts approved and validated by the board of directors is set forth on Schedule 1 which accompanies this notice.

If you should have any questions concerning any of the validated actions, please contact us. We appreciate your continuing support.

Very truly yours,

Anthony Sirotko
Interim Chief Executive Officer



	A	B
1	Date of Issuance	Shareholder
2	12/4/2015	PARIS GEORGE AREY
3	12/4/2015	MICHAEL L. MARTIN
4	12/4/2015	BISHOP KORUS FRIEND, P.S.C.
5	4/22/2016	FIBER TECHNOLOGY SERVICES LLC
6	4/26/2016	COMPASS DRILLING, LLC
7	7/8/2016	FIBER CORE COMMUNICATIONS GROUP, LLC
8	7/8/2016	MICHAEL CAUDO
9	7/25/2016	ROGER PARKS
10	7/25/2016	BRIAN KEITH JOHNSON
11	7/25/2016	KALEM LUTZ
12	7/25/2016	KENNETH JOHNSON
13	7/25/2016	MARCUS FINCH
14	7/25/2016	STEPHEN TAYLOR
15	7/25/2016	RAY STEPHENS III
16	7/25/2016	ROBERT M. JONES
17	7/25/2016	GARRY BAKER
18	7/25/2016	GRADY PATE
19	7/25/2016	JAMES PIPER
20	7/25/2016	LARRY KNOEBEL
21	7/25/2016	CHARLES BILLS
22	7/25/2016	KEITH BRIGGS
23	7/25/2016	WARREN BUNKER
24	7/25/2016	KENNETH CARTER
25	7/25/2016	LANNY CHISHOLM
26	7/25/2016	LISA COWART
27	7/25/2016	JAMES DAVISSON
28	7/25/2016	MICHAEL DAWKINS
29	7/25/2016	ANDREW HAGGARD
30	7/25/2016	CHRISTOPHER HARRIS
31	7/25/2016	BRAD HART
32	7/25/2016	TONY HARVEY
33	7/25/2016	LANCE HEABERLIN
34	7/25/2016	GABRIEL HUERTA
35	7/25/2016	EDWARD HULL
36	7/25/2016	TERRY KEAGY
37	7/25/2016	JOSHUA LEE
38	7/25/2016	JAMES LEE
39	7/25/2016	JAMES MCDONALD
40	7/25/2016	GREGORY MARTINEZ
41	7/25/2016	JOEL PATE
42	7/25/2016	CHRIS PEAY
43	7/25/2016	LAURA ANN NEVINS
44	7/25/2016	ADAM REDINGER
45	7/25/2016	ERIC RILEY
46	7/25/2016	ROBERTO ROSATI

	A	B
47	7/25/2016	IAN SANDERSON
48	7/25/2016	LUIS SOLOMON
49	7/25/2016	HEATHER TAKACS
50	7/25/2016	JACK THORPE
51	7/25/2016	JARED TINDALL
52	7/25/2016	GREG WEST
53	7/25/2016	BRADLEY WILLIAMS
54	7/25/2016	LAMEEN WILLIAMS
55	7/25/2016	RONALD WILLIAMS
56	7/25/2016	ROBERT WILSON
57	7/25/2016	ANTHONY YOUNG
58	7/25/2016	ALEXANDER ZAMARRIPA
59	7/25/2016	JEFFREY PADOVANI
60	7/25/2016	VERNA COTE
61	7/25/2016	JESSE JOHN MAGANA
62	7/25/2016	JOHN TAYLOR
63	7/25/2016	JTB LAW GROUP LLC
64	7/27/2016	ROBERT E. HAVER
65	7/28/2016	MARC A CUFFARO
66	8/26/2016	JAMES CHANDLER
67	8/26/2016	CCT UNDERGROUND LLC
68	8/31/2016	UBIELY RIVERO
69	8/31/2016	JESSICA F. BOCCHINO-ARMSTRONG
70	8/31/2016	DAVID TENENBAUM-CRUZ
71	8/31/2016	LINDERLAKE CORPORATION
72	8/31/2016	ALLIANCE FUNDS, LLC
73	9/7/2016	GEORGE ATTLEE BODDEN
74	9/7/2016	IAN AN WIGHT
75	9/7/2016	YOGESH DESAI
76	9/7/2016	KAIZER WOOD
77	9/7/2016	ALAN GREENHALGH AND ANGELA GREENHALGH JTWROS
78	9/7/2016	JOHN R.B. GOULD
79	9/7/2016	ROB D. AYER
80	9/7/2016	JASON H MURRAY AS TRUSTEE FOR THE GOLDEN POND SUPERFUND
81	9/7/2016	LAWRENCE SOLOMON REVOCABLE LIVING TRUST
82	9/7/2016	COLIN PHILIP WELLS
83	9/7/2016	PAUL DAVID CRAIN
84	9/7/2016	DARASHAW MOTASHAW
85	10/12/2016	SARBJIT JOHL
86	10/12/2016	CARLO WOLF
87	10/12/2016	DEMETRIOS T. SERETIS
88	10/12/2016	DAVID LEVINE
89	10/12/2016	STEVEN R. EBERLY
90	10/12/2016	NICHOLAS SERETIS
91	10/12/2016	BIJAN BEDROUD
92	10/12/2016	STEVEN R. EBERLY R/O IRA

	A	B
93	10/12/2016	FABIEN DEBARRE
94	10/12/2016	DAVID FRESHWATER
95	10/12/2016	DEAN PAILING
96	10/12/2016	BARRY G. PALLAY
97	10/12/2016	PIETER M. DU PLESSIS
98	10/12/2016	MANU PRASAD PARIKH
99	10/12/2016	STEVE HARVEY
100	10/12/2016	JOHN MOLTER
101	10/12/2016	MARVIN DALE MARTIN
102	10/12/2016	KEVIN EDWARD BURTON & JENNIFER LYNN BURTON JTWROS
103	10/12/2016	LAWRENCE SOLOMON REVOCABLE LIVING TRUST
104	10/12/2016	TAPIO KAITA
105	10/12/2016	SUWYN INVESTMENTS LLC
106	10/12/2016	JONATHAN A. GAUGAIN
107	10/12/2016	ALAN GREENHALGH AND ANGELA GREENHALGH JTWROS
108	10/19/2016	CHRISTOPHER SMEDLEY
109	10/19/2016	AZMY M. AWAD
110	10/19/2016	ROB D. AYER
111	10/19/2016	VOLKHARD BREGULLA
112	10/19/2016	YOGESH DESAI
113	10/19/2016	PATRICK JOSEPH FITZPATRICK
114	10/19/2016	L DEAN FOX
115	10/19/2016	JONATHAN A. GAUGAIN
116	10/19/2016	PAUL E. HOFFMAN
117	10/19/2016	STERNE, AGEE AND LEACH INC. C/F JOE A. KANNIKAL IRA
118	10/19/2016	VAUGHN B. MOSHER
119	10/19/2016	DARASHAW MOTASHAW
120	10/19/2016	NEIL R MUNDAY
121	10/19/2016	PAUL MURRAY
122	10/19/2016	RHETT CHEE PING
123	10/19/2016	ALOIS 'LUIS' PRAXMARER AND SANDRA PRAXMARER JTWROS
124	10/19/2016	STERNE, AGEE AND LEACH INC. C/F MARK SUWYN ROTH IRA
125	10/19/2016	TIMOTHY WILKINSON
126	12/8/2016	JULIAN B BAKER
127	1/18/2017	FAIRVIEW ADVISORS, LLC
128	3/3/2017	LATERAL FTE FEEDER LLC
129	3/3/2017	LATERAL U.S. CREDIT OPPORTUNITIES FUND, L.P.
130	3/27/2017	DAVID KALINSKE
131	3/27/2017	ERIC SALZMAN
132	3/27/2017	JOHN MORGAN
133	3/28/2017	JOSHUA DEIXLER
134	5/8/2017	LATERAL CREDIT OPPORTUNITIES FUND, L.P.
135	5/8/2017	LATERAL INVESTMENT MANAGEMENT, LLC
136	5/8/2017	LATERAL FTE FEEDER LLC
137	4/7/2017	LATERAL FTE FEEDER LLC
138	4/7/2017	LATERAL CREDIT OPPORTUNITIES FUND, L.P.

	A	B
139	5/9/2017	TROY KAU
140	6/1/2017	DANIEL MOSER
141	6/1/2017	THOMAS BALON AND CRAIG STEWART JT TEN
142	6/1/2017	GEORGE ATTLEE BODDEN
143	6/1/2017	WILLIAM J. BONDER
144	6/1/2017	PATRICK JOSEPH FITZPATRICK
145	6/1/2017	JANICE KANNIKAL
146	6/1/2017	BO DYRVOLD
147	6/1/2017	ROB D. AYER
148	6/1/2017	MARK BUTT
149	6/1/2017	WILLIAM R. MAINES
150	6/1/2017	DEAN PAILING
151	6/1/2017	COLIN PHILIP WELLS
152	6/1/2017	ALOK K. AGRAWAL
153	6/9/2017	FIBER TECHNOLOGY SERVICES LLC
154	7/13/2017	FIRSTFIRE GLOBAL OPPORTUNITES FUND, LLC
155	7/19/2017	5G INVESTMENTS, LLC
156	8/29/2017	DAVID KALINSKE
157	8/29/2017	ERIC SALZMAN
158	8/29/2017	JOHN MORGAN
159	8/29/2017	JULIA PITLIK
160	8/29/2017	JASON STEINBRUGGE
161	8/29/2017	TROY KAU
162	10/3/2017	DAVID KALINSKE
163	11/3/2017	TROY KAU
164	12/5/2017	LINDA JOHNSON (REP FOR CHRISTOPHER MCGUIRE)
165	12/5/2017	RICHARD BOERSON
166	12/5/2017	TANNER CARTER
167	12/5/2017	CESAR CHAVEZ
168	12/5/2017	CATHERINE JOHNSON, REP FOR DANNY S. JOHNSTON
169	12/5/2017	LEVI NEEL
170	12/5/2017	MICHAEL KOCHER
171	1/23/2018	BRUCE FAHEY
172	3/16/2018	McGuire, Linda
173	3/16/2018	Boerson, Richard
174	3/16/2018	Carter, Tanner
175	3/16/2018	Johnston, Catherine
176	3/16/2018	Neel, Levi
177	3/16/2018	Chavez, Cesar
178	3/16/2018	Kocher, Michael
179	3/20/2018	Ulrich III, James A
180	4/30/2018	Carpenter, Ryan
181	5/9/2018	Semnani, Nema
182	5/17/2018	Deixler, Joshua
183	5/17/2018	Pitlik, Julia
184	5/18/2018	Janabran Investments Inc

	A	B
185	5/18/2018	Lenders Clearing House LLC
186	5/18/2018	Maines, William R &
187	5/18/2018	Bodden, George Attlee
188	5/18/2018	Kannikal Enterprises LLC
189	5/18/2018	Williams, Robert
190	5/18/2018	Micro Works Comp Center
191	5/18/2018	Crain, Paul D
192	5/18/2018	Jarrett, Thomas
193	5/18/2018	Stepaniuk, Andrew C
194	5/18/2018	Dyrvold, Bo
195	5/18/2018	Pailing, Dean
196	5/18/2018	Burant, Keith D
197	5/18/2018	Bodden, George Attlee
198	5/18/2018	Martin, Michael
199	5/18/2018	Danzansky, Richard
200	5/18/2018	Larson, Brad
201	5/18/2018	Pinto, Manoel A
202	5/18/2018	Wight, Ian
203	5/18/2018	Butt, Mark
204	5/18/2018	Stepaniuk, Andrew C
205	5/18/2018	Pailing, Dean
206	5/18/2018	Seaforth, Sydney Cleveland
207	5/18/2018	Singh, Shikhar
208	5/18/2018	Gould, John Roger Beresford
209	5/18/2018	Maines, William R
210	5/18/2018	Makahit LLC
211	5/18/2018	Danzansky, Richard
212	5/18/2018	Bodden, Naul Clayton
213	5/18/2018	Wight, Matthew Ian
214	5/18/2018	Schilowitz, Harvey &
215	5/18/2018	Metsch, Richard &
216	5/18/2018	Freeman, Israel &
217	5/18/2018	Clarke, Leslie M
218	5/18/2018	Richardson, Kevin A
219	5/18/2018	Berrick, Arthur
220	5/18/2018	Moschetto, Anthony J
221	5/18/2018	Bounty Hunter LLC
222	5/18/2018	Chazanovitz, David A
223	5/18/2018	Gordon, Michael
224	6/13/2018	Horberg Enterprises LP
225	10/2/2018	Moser, Daniel J
226	10/22/2018	Vision Capital NY, Inc
227	10/24/2018	Steinbruegge, Jason
228	11/2/2018	Horberg Enterprises LP
229	11/5/2018	WVP Emerging Manager
230	11/5/2018	WVP Emerging Manager

	A	B
231	11/5/2018	Niagara Nominee LP
232	11/5/2018	Niagara Nominee LP
233	11/5/2018	Lateral US Credit
234	11/5/2018	Lateral US Credit
235	11/5/2018	Lateral BVM Feeder LLC
236	11/5/2018	Lateral BVM Feeder LLC
237	11/5/2018	Niagara Nominee LP
238	12/7/2018	WVP Emerging Manager
239	12/7/2018	Niagara Nominee LP
240	12/7/2018	Lateral BVM Feeder LLC
241	12/7/2018	Lateral US Credit
242	2/21/2019	Smedley, Christopher

