Edgar Filing: FARKAS ANDREW L - Form 4

FARKAS AN	NDREW L										
Form 4											
January 24, 2	2019										
FORM 4 UNITED STATES SECURITIES AND EXCHANCE COMMISSION									OMB APPROVAL		
Check this box								OMB Number:	3235-0287		
if no long	er		aFa N I		~~			Expires:	January 31, 2005		
subject to Section 10 Form 4 or	F CHAN	GES IN F SECURI		CIAI	2 OW	NERSHIP OF	Estimated a burden hou response	average Irs per			
obligation may conti	Form 5 obligations may continue. See Instruction 1(b). Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940							n			
(Print or Type R	Responses)										
1. Name and A FARKAS A	2. Issuer Name and Ticker or Trading Symbol Exantas Capital Corp. [XAN]					5. Relationship of Reporting Person(s) to Issuer (Check all applicable)					
(Last)	(First) (Middle)	3. Date of	Earliest Tra	insaction			(Check an applicable)			
	RD CORPORAT INE CRESCENT ITE 203		(Month/D 01/22/20	-				X Director Officer (give below)		6 Owner er (specify	
	4. If Amendment, Date Original Filed(Month/Day/Year)					 6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person 					
PHILADEL	PHIA, PA 19112	2							Iore than One Ro		
(City)	(State)	(Zip)	Table	e I - Non-Do	erivative S	ecurit	ties Acc	quired, Disposed of	f, or Beneficia	lly Owned	
1.Title of Security (Instr. 3)	2. Transaction Dat (Month/Day/Year)	Execution Execution	med on Date, if Day/Year)	3. Transactio Code (Instr. 8)	4. Securities Acquired m(A) or Disposed of (D) (Instr. 3, 4 and 5) (A)			Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)		
				Code V	Amount	or	Price	Transaction(s) (Instr. 3 and 4)			
Common Stock	01/22/2019			A	14,734	(D) A	$\begin{array}{c} 1 \\ \$ \\ 0 \\ \underline{(1)} \end{array}$	95,604 <u>(2)</u>	D		
Common Stock								766,718	I	See Footnote (3)	
Reminder: Repo	ort on a separate line	e for each c	lass of secu	rities benefic	cially owne	d dire	ctly or	indirectly.			

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 control number.

Edgar Filing: FARKAS ANDREW L - Form 4

 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)	4. Transactio Code (Instr. 8)	of	;	ate	7. Title Amoun Underl Securit (Instr. 3	int of rlying	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secu Bene Owne Follo Repo Trans (Instr
			Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		

Reporting Owners

 Reporting Owner Name / Address
 Relationships

 Director
 10% Owner
 Officer
 Other

 FARKAS ANDREW L
 NAVY YARD CORPORATE CENTER
 X
 X
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y
 Y<

Explanation of Responses:

- * 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).
- (1) The Reporting Person has been granted 14,734 shares of restricted stock under the Issuer's Amended and Restated Omnibus Equity Compensation Plan. These shares will vest in full over three years, with 33.33% vesting per year beginning on January 22, 2020.
- (2) 45,183 shares remain subject to vesting.

Shares are collectively held by Resource Capital Investor, LLC and Exantas Capital Manager Inc., each indirect wholly-owned subsidiaries of C-III Capital Partners LLC ("C-III"). C-III is externally managed by Island Capital Group LLC, through which the

(3) reporting person, as a principal, has investment discretion. The reporting person disclaims beneficial ownership except to the extent of his pecuniary interest therein, and the inclusion of these securities in this report shall not be deemed an admission of beneficial ownership of purposes of Section 16 or for any other purposes.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.