SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

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* Stone James						2. Issuer Name and Ticker or Trading Symbol New Mountain Finance Corp [NMFC]							5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner					
(Last)	(First) (Middle)			3. Date of Earliest Transaction (Month/Day/Year) 11/18/2011							x	Director Officer (g below)	-	ve title Section 16 Offic		Other (specify below)		
787 7TH AVENUE, 48TH FLOOR					4. If Amendment, Date of Original Filed (Month/Day/Year)								6. Individual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person					
(Street) NEW YORK NY 10019 (City) (State) (Zip)											X			•	ng Person ne Reportin	ig Person		
Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned																		
1. Title of Security (Instr. 3) Date (Month/E					action 2A. Deemed Execution Date, if any (Month/Day/Yea		3. Transaction Code (Instr. 8)		4. Securities Acquired (A) or D Of (D) (Instr. 3, 4 and 5)) or Disposed	Securities Beneficial Following			nership Direct (D) irect (I) 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)	
							Code	v	Amount	Amount (A) or Pric		Price	(Instr. 3 and 4)				(1150.4)	
Common Stock 11/18					8/2011		Р		4,200		A	\$13.133(1)	⁽¹⁾ 18,604.782			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)	Execution Date,		4. Transactior Code (Instr B)		Expira (Monti	6. Date Exercisable and Expiration Date (Month/Day/Year)			ties U	Amount of nderlying ecurity 4)	8. Price of Derivative Security (Instr. 5) Beneficia Owned Following Reported Transacti		e s Ily I	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)	

Explanation of Responses:

1. The price reported is the average weighted price. The shares were purchased in multiple transactions at prices ranging from \$10.04 to \$10.17, inclusive. The reporting person undertakes to provide to the SEC, the issuer and any security holder, upon request, full information regarding the number of shares and the prices at which the shares were purchased.

(D)

Date

Exercisable

Expiration

Title

. Date

/s/ James Stone

** Signature of Reporting Person

Amount

of Shares

or Number

> <u>11/21/2011</u> Date

(Instr. 4)

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).

Code V (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.

OMB APPROVAL
OMB Number: 3235-0287
Estimated average burden
hours per response: 0.5