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

| OMB APPROVAL           |           |  |  |  |  |  |  |  |  |
|------------------------|-----------|--|--|--|--|--|--|--|--|
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| Estimated average burg | den       |  |  |  |  |  |  |  |  |
| hours per response:    | 0.5       |  |  |  |  |  |  |  |  |
|                        |           |  |  |  |  |  |  |  |  |

| 1. Name and Address of Reporting Person <sup>*</sup><br><u>Malpass David</u>  |  |  |  |          |  | 2. Issuer Name and Ticker or Trading Symbol<br>New Mountain Finance Corp [ NMFC ] |  |                                  |   |               |   |                    |                  | (Chec                               | 5. Relationship of Reporting Person(s) to Issuer<br>(Check all applicable)<br>X Director 10% Owner  |  |  |  |   |  |
|---|--|--|--|----------|--|---|--|----------------------------------|---|---------------|---|--------------------|------------------|-------------------------------------|---|--|--|--|---|--|
| (Last)  | (First)  |  | iddle)   |          | 3. Date of Earliest Transaction (Month/Day/Year)<br>12/12/2012 |   |  |                                  |   |               |   |                    |                  | Officer (g<br>below)                |   |  | Other (s<br>below)   | specify  |   |  |
| 28 WEST 44TH STREET<br>SUITE 1501   |  |  |  |          |  |   | 4. If Amendment, Date of Original Filed (Month/Day/Year)   |                                  |   |               |   |                    |                  |                                     | 6. Individual or Joint/Group Filing (Check Applicable Line)<br>X Form filed by One Reporting Person |  |  |  |   |  |
| (Street)<br>NEW YORK  | NY   | 10                                     |  |          |  |   |  |                                  |   |               |   |                    | Form file        | d by More                           | than C  | One Reportir   | ig Person  |  |   |  |
| (City)  | (State)  | (Zi                                    | p)   |          |  |   |  |                                  |   |               |   |                    |                  |                                     |   |  |  |  |   |  |
|   | Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned |  |  |          |  |   |  |                                  |   |               |   |                    |                  |                                     |   |  |  |  |   |  |
| Date  |  |  |  |          |  |   | 2A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year |                                  | 3.<br>Transaction<br>Code (Instr.<br>) 8) |               | 4. Securities Acquired (A) or<br>Disposed Of (D) (Instr. 3, 4 a |                    |                  |                                     | Ind 5) Securities<br>Beneficial<br>Following  |  | Form   | vnership<br>:: Direct (D)<br>direct (I)<br>:: 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership |  |
|   |  |  |  |          |  | Code  | v  | Amount                           |   | (A) or<br>(D) | Price   | Transactio         |                  |                                     |   | (Instr. 4)   |  |  |   |  |
| Common Stock  | 12/2012  |  |  |          | Р  |   | 4,500  | )                                | Α   | \$14.27       | 54,411  |                    |                  | D                                   |   |  |  |  |   |  |
| Common Stock 12/  |  |  |  |          |  | /13/2012  |  |                                  | Р   |               | 3,500   | )                  | Α                | \$14.23                             | 57,911  |  |  | D  |   |  |
| Common Stock 12/1   |  |  |  |          |  | 3/2012  |  |                                  | Р   |               | 3,000   | )                  | Α                | \$14.21                             | 60,911  |  | D  |  |   |  |
| Common Stock  |  |  |  |          |  |   |  |                                  |   |               |   |                    |                  |                                     | 1,500   |  | Ι  |  | By<br>Spouse  |  |
| Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned<br>(e.g., puts, calls, warrants, options, convertible securities) |  |  |  |          |  |   |  |                                  |   |               |   |                    |                  |                                     |   |  |  |  |   |  |
| 1. Title of<br>Derivative<br>Security (Instr. 3)  | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security            | ercise (Month/Day/Year)<br>of<br>ative | 3A. Deemed<br>Execution D<br>if any<br>(Month/Day/ | Code (In |  |   |  | 6. Date I<br>Expirati<br>(Month/ | on Da                                     |               |   | derlying<br>curity | lying Derivative |                                     | er of<br>e<br>s<br>illy<br>g  | 10.<br>Ownership<br>Form:<br>Direct (D)<br>or Indirect<br>(I) (Instr. 4) | 11. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |  |   |  |
|   |  |  |  |          | Code   | v   | (A)  | (D)                              | Date<br>Exercisable                       |               | Expiration<br>Date  | Title              |                  | Amount<br>or<br>Number<br>of Shares |   | Transacti<br>(Instr. 4)  | 1011(3)  |  |   |  |
| Explanation of Re   | sponses:   |  |  |          |  |   |  |                                  |   |               | /s/   | / Dav              | id Mal           | pass                                |   | 12/14/2  | 012  |  |   |  |

\*\* 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.

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