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). Ц

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

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

U/W of Paul J.

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934

| | | | | or | Section 30(h) of the | Investm | ent Co | mpany Act of 1 | 940 | | | | | | |
|--|----------------------------|--------------|-----------|-------------------------|---|---|---------|-----------------------------------|---------------|--|--|---|---|--|--|
| 1. Name and Address of Reporting Person * Wolfgruber Kurt | | | | | er Name and Ticke Mountain Fi | | | | | 5. Relationship of Reporting Person(s) to Issuer (Check all applicable) | | | | | |
| wongruber Kurt | | | | | | | | | : | X Director | 10% | Owner | | | |
| (Last) (First) (Middle) | | | | | e of Earliest Transa 0/2013 | CUON (INC | nin/D | ay/rear) | | Officer (give title Other (spec below) below) | | | | | |
| C/O NEW MOU | JNTAIN FINAN | CE CORPORATI | ON | 4 If Ar | mendment, Date of | Original I | -iled (| Month/Dav/Yea | 6 In | 6. Individual or Joint/Group Filing (Check Applicable Line | | | | | |
| 787 7TH AVEN | 787 7TH AVENUE, 48TH FLOOR | | | | | originari | neu (| Month Day 10a | | X Form filed by One Reporting Person | | | | | |
| | | | | | | | | | | Form filed by More than One Reporting Person | | | | | |
| (Street) NEW YORK | NY | 10019 | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | |
| (City) (State) (Zip) | | | | | | | | | | | | | | | |
| | | Table I - N | Ion-Deriv | vative | Securities Ac | quired | l, Dis | sposed of, | or Bene | eficially C | wned | | | | |
| Date | | | | nsaction h/Day/Year) | 2A. Deemed Execution Date, if any (Month/Day/Year) | 3. Transaction Code (Instr. 8) | | 4. Securities A Disposed Of (I | | | 5. Amount of Securities Beneficially Owned Following Reported | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) | | |
| | | | | | | Code | v | Amount | (A) or (D) | Price | Transaction(s) (Instr. 3 and 4) | | | | |
| Common Stock | | | 11/19/2 | 2013 | | Р | | 2,500 | Α | \$14.474 | 20,535 | D | | | |
| Common Stock | | | 11/20/2 | 2013 | | Р | | 2,500 | Α | \$14.4(1) | 23,035 | D | | | |
| Common Stock | | | 11/19/2 | 2013 | | Р | | 800 | A | \$14.456 | 800 | I | By Child - Heidi C. Wolfgruber | | |
| Common Stock | | | 11/20/2 | 2013 | | Р | | 700 | A | \$14.425 | 1) 1,500 | I | By Child - Heidi C. Wolfgruber | | |
| Common Stock | | | 11/19/2 | 2013 | | Р | | 800 | A | \$14.466 | 800 | I | By Child - Hayley C. Wolfgruber | | |
| Common Stock | | | 11/20/2 | 2013 | | Р | | 700 | A | \$14.428 | 1) 1,500 | I | By Child - Hayley C. Wolfgruber | | |
| Common Stock | | | 11/19/2 | 2013 | | Р | | 800 | A | \$14.46(1) | 800 | I | By Child - Christian K. Wolfgruber | | |
| Common Stock | | | 11/20/2 | 2013 | | Р | | 700 | A | \$14.43(1) | 1,500 | I | By Child - Christian K. Wolfgruber | | |
| Common Stock | | | 11/19/2 | 2013 | | Р | | 1,000 | A | \$14.456 | 1,000 | I | Kurt J. Wolfgruber Trustee U/W of Paul J. Wolfgruber | | |
| Common Stock | | | 11/20/2 | 2013 | | Р | | 1,000 | A | \$14.385 ⁽⁾ | ¹⁾ 2,000 | I | Kurt J. Wolfgruber Trustee | | |

| | | | | | | | | | | | | | | | | Wolfgruber |
|--|--|--|---|---|--|--|--|--|--|--|--|---|--|--|---------------------------------------|------------|
| | 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 | | 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) | | 6. Date Exercisable and Expiration Date (Month/Day/Year) | | 7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4) | | Derivative Security (Instr. 5) Benefic Owned Followi Report | 9. Number of derivative Securities Beneficially Owned Following Reported | e Ownership es Form: ally Direct (D) or Indirect g (I) (Instr. 4 | Beneficial Ownership (Instr. 4) | |
| | | | | | | | | | | | | Amount |] | Transaction(s) (Instr. 4) | | |

V

(A)

(D)

Code

Date Exercisable

Expiration Date

Title

Number

of Shares

Explanation of Responses:

1. The price reported is the average price. The shares were purchased in multiple transactions. 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.

<u>/s/ Kurt J. Wolfgruber</u> ** Signature of Reporting Person <u>11/21/2013</u> 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.