SEC Form 4

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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

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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 [*] HAMWEE ROBERT						2. Issuer Name and Ticker or Trading Symbol <u>New Mountain Finance Corp</u> [NMFC]								5. Relationship of Reporting Person(s) to Issuer (Check all applicable) X Director 10% Owner					
(Last) (First) (Middle)					3. Date of Earliest Transaction (Month/Day/Year) 08/20/2020									Officer (g below)	ive title	Other (specify below)			
C/O NEW MO										,	С	EO	,						
787 7TH AVENUE, 48TH FLOOR					4. If Amendment, Date of Original Filed (Month/Day/Year)								6. Indi	6. Individual or Joint/Group Filing (Check Applicable Line)					
(Street) NEW YORK NY 10019														X Form filed by One Reporting Person Form filed by More than One Reporting Person					
(City) (State) (Zip)																			
		Ta	able I - Noi	n-Deri	ivative	e Se	ecurities Acq	uired,	Disp	osed of,	, or l	Benefi	cially Ov	vned					
D				Date	2. Transaction Date (Month/Day/Year)		2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)		4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and				5. Amount Securities Beneficially Following I	/ Owned Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)		7. Nature of Indirect Beneficial Ownership	
								Code	v	Amount		(A) or (D)	Price	Transaction 3 and 4)	n(s) (Instr.			(Instr. 4)	
Common Stock				08/20/2020				Р		1,114	+	Α	\$9.96	426,473	B.127 ⁽¹⁾	D			
Common Stock				08/20/2020)		Р		3,300)	Α	\$9.955	429,773	429,773.127 ⁽¹⁾				
Common Stock				08/20/2020)		Р		2,900)	Α	\$9.945	432,673	432,673.127(1)				
Common Stock				08/20/2020				Р		4,925	;	Α	\$9.94	6 9.94 437,598.127		E			
Common Stock				08/20/2020				Р		6,458	3	Α	\$9.95	444,056	5.127(1)	E			
Common Stock				08/20/2020)		Р		800 A \$		\$9.935	444,856	444,856.127(1)					
Common Stock				08/2	20/2020)		Р		500		Α	\$9.905	445,356	5.127(1)	E			
Common Stock				08/2	20/2020)		Р		1,601		Α	\$9.9 1	446,957	7.127(1)	E			
Common Stock				08/2	20/2020)		Р		1,000)	Α	\$9.915	447,957	7.127(1)	E			
Common Stock	1			08/2	20/2020)		Р		1,600)	Α	\$9.92	449,557	7.127(1)	D			
Common Stock	1			08/2	20/2020)		Р		1,600)	Α	\$9.93	451,157	7.127(1)	D			
Common Stock	1			08/2	20/2020)		Р		100		Α	\$9.925	451,257	7.127(1)	D			
Common Stock				08/20/2020)		Р		3,500 A		Α	\$9.885	454,757.127(1)		D			
Common Stock				08/20/2020)		Р		100		Α	\$9.89	454,857.127 ⁽¹⁾		D			
Common Stock				08/20/2020)		Р	302 /		Α	\$9.88	455,159.127(1)		D				
Common Stock				08/20/2020)		Р		100		Α	\$9.875	455,259	9.127(1)				
Common Stock				08/20/2020)		Р		100		Α	\$9.865	455,359) .127 ⁽¹⁾	E	>		
Common Stock														12,000		Ι		By Spouse, Dana L. Hamwee Inherited IRA	
							urities Acqui s, warrants, (ed					
1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution D if any (Month/Day/	emed 4 tion Date, C		ion str.	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	6. Date Exerc Expiration Da (Month/Day/Y		isable and ite	7. Ti Seci Deri	7. Title and Amount Securities Underlyin Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Numbe derivative Securities Beneficia Owned Following Reported Transacti	e Ow 5 Fo Ily Din or 1 (l)	vnership rm: rect (D) Indirect (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)	
					Code	v	(A) (D)	Date Exercis	able	Expiration Date	Title	•	Amount or Number of Shares		(Instr. 4)				
Explanation of Re	sponses:																		

1. Includes shares acquired under the New Mountain Finance Corporation dividend reinvestment plan since the filing of Mr. Hamwee's previous beneficial ownership report on Form 4 on March 10, 2020.

Remarks:





** Signature of Reporting Person

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.