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

| in that is a life of the pertaining it electric | | | 2. Issuer Name and Ticker or Trading Symbol New Mountain Finance Corp [NMFC] | | | | | | | 5. Relationship of Reporting Person(s) to Issuer (Check all applicable) | | | |
|---|----------------------------------|--------------|--|---------------------|---|---------------------------------|--------|-----------------------------------|---------------|--|--|---|---|
| (Last) | (First) | (Middle) | | | f Earliest Transaction | | | | | x | Director Officer (give title below) | 10% O Other (below) t and COO | specify |
| C/O NEW MOUN 787 7TH AVENUI | TAIN CAPITAL, L E, 48TH FLOOR | .L.C. | | 4. If Ame | ndment, Date of Or | iginal File | ed (Mo | onth/Day/Year) | | 6. Indiv | idual or Joint/Group Fi | | able Line) |
| (Street) NEW YORK | NY | 10019 | | | | | | | | X | Form filed by One F Form filed by More | | ıg Person |
| (City) | (State) | (Zip) | | | | | | | | | | | |
| | | Table I - No | n-Deriv | vative S | ecurities Acq | uired, | Disp | osed of, or | Benefi | cially Ow | ned | | |
| 1. Title of Security (In | str. 3) | | 2. Trans Date (Month/I | action Day/Year) | 2A. Deemed Execution Date, if any (Month/Day/Year) | 3. Transac Code (In 8) | | 4. Securities A Disposed Of (D | | | 5. Amount of Securities Beneficially Owned Following 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(s) (Instr. 3 and 4) | | (Instr. 4) |
| Common Stock | | | 10/23 | 3/2019 | | Р | | 10,000 | Α | \$13.25 | 139,053.07(1) | D | |
| | | | | | curities Acquir Is, warrants, c | | • | | | • | ed | | |

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|--|---|--|---|---------------------------------|---|---|----------------------------------|--|--------------------|--|-------------------------------------|---|------------------------------|--|---------------------------------------|
| 1. Title of Derivative Security (Instr. 3) | 2. Conversion or Exercise Price of Derivative Security | 3. Transaction Date (Month/Day/Year) | 3A. Deemed Execution Date, if any (Month/Day/Year) | 4. Transac Code (Ir 8) | | 5. Num Derivat Securit Acquin or Disp (D) (Ins and 5) | ive ies ed (A) iosed of | 6. Date Exerc Expiration Da (Month/Day/Y | ate | 7. Title and A Securities U Derivative Se (Instr. 3 and | nderlying ecurity | 8. Price of Derivative Security (Instr. 5) | Reported | 10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | Beneficial Ownership (Instr. 4) |
| | | | | Code | v | (A) | (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | | Transaction(s) (Instr. 4) | | |

Explanation of Responses:

1. Includes shares acquired under the New Mountain Finance Corporation dividend reinvestment plan since the filing of Mr. Kline's previous beneficial ownership report on Form 4 on September 11, 2019.

| /c/ | John | Kline | |
|-----|------|-------|--|
| | | | |

** Signature of Reporting Person

10/24/2019

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.

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