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

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Transaction(s)

(Instr. 4)

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*<br><u>KLINSKY STEVEN B</u>  |                                      |     |        |                                      |                     | 2. Issuer Name and Ticker or Trading Symbol <u>New Mountain Finance Corp</u> [ NMFC ] |   |   |  |               |       |   | ionship of Reporting Pe<br>all applicable)<br>Director  |  |   | er<br>Owner   |  |
|--|--------------------------------------|-----|--------|--------------------------------------|---------------------|---|---|---|--|---------------|-------|---|---|--|---|---|--|
| (Last)   | (First)                              | `   | iddle) |                                      |                     | 3. Date of Earliest Transaction (Month/Day/Year)<br>11/02/2016                        |   |   |  |               |       |   | Officer (give title below)  |  | Other<br>below  | (specify<br>/)  |  |
| C/O NEW MOUNTAIN CAPITAL, L.L.C.<br>787 7TH AVENUE, 49TH FLOOR   |                                      |     |        |                                      | 4. If Am            | 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 10019  |                                      |     |        |                                      |                     |   |   |   |  |               |       | Form file   | d by More   | than One Repor                                   | ing Person  |   |  |
| (City)   | (State)                              | (Zi | p)     |                                      |                     |   |   |   |  |               |       |   |   |  |   |   |  |
| Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned   |                                      |     |        |                                      |                     |   |   |   |  |               |       |   |   |  |   |   |  |
| Date   |                                      |     |        |                                      | action<br>Day/Year) | 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 D<br>Of (D) (Instr. 3, 4 and 5)      |               |       | isposed   | 5. Amount of<br>Securities<br>Beneficially Owned<br>Following Reported<br>Transaction(s)            |  | 6. Ownership<br>Form: Direct (D)<br>or Indirect (I)<br>(Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |  |
|  |                                      |     |        |                                      |                     |   | Code                                    | v | Amount   | (A) or<br>(D) | Price | 9   | (Instr. 3 and 4)  |  |   |   |  |
| Common Stock   |                                      |     |        | 11/02/2016                           |                     |   | Р                                       |   | 112,529 A \$   |               | \$13  | .344(1)   | 4,877,994.844   |  | D   |   |  |
| Common Stock   |                                      |     |        | 11/03/2016                           |                     |   | Р                                       |   | 101,747  | A             | \$13  | 13.216 <sup>(1)</sup> 4,979,741.844   |   | 41.844   | D   |   |  |
| Common Stock   |                                      |     |        |                                      |                     |   |   |   |  |               |       |   | 820,266   |  | Ι   | See<br>Note <sup>(2)</sup>  |  |
| Common Stock   |                                      |     |        |                                      |                     |   |   |   |  |               |       |   | 144,046   |  | Ι   | See<br>Note <sup>(3)</sup>  |  |
| Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned         (e.g., puts, calls, warrants, options, convertible securities) |                                      |     |        |                                      |                     |   |   |   |  |               |       |   |   |  |   |   |  |
| 1. Title of<br>Derivative<br>Security (Instr. 3)   | rivative Conversion Date Execution D |     | Date,  | 4.<br>Transactic<br>Code (Inst<br>8) |                     | Expira<br>(Mont   | e Exer<br>ation D<br>h/Day/             |   | nd<br>Securities Underly<br>Derivative Securit<br>(Instr. 3 and 4) |               | ying  | 8. Price of<br>Derivative<br>Security<br>(Instr. 5)<br>Beneficial<br>Owned<br>Following<br>Reported |   | Ownersh<br>Form:<br>Ily Direct (D)<br>or Indirec | Beneficial<br>Ownership<br>t (Instr. 4)                           |   |  |

Explanation of Responses:

1. The price reported is the average weighted 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

(D)

Date

Exercisable

2. The Steven B. Klinsky Trust directly owns these shares. The reporting person disclaims beneficial ownership of these shares except to the extent of his pecuniary interest therein.

v

Code

3. The Steven B. Klinsky Non-GST Exempt Trust directly owns these shares. The reporting person disclaims beneficial ownership of these shares except to the extent of his pecuniary interest therein.

(A)

/s/ Steven B. Klinsky 11/04/2016 Date

\*\* Signature of Reporting Person

Amount

Number

of Shares

or

Expiration

Date

Title

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.