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

| 1. Name and Address of Reporting Person *<br>Kline John  |         |  |    |  |  | 2. Issuer Name <b>and</b> Ticker or Trading Symbol <u>New Mountain Finance Corp</u> [ NMFC ] |  |      |  |        |   |  |                      | ationship of F<br>all applicab<br>Director                        |   | Person(   | (s) to Issuer<br>10% Ov  | vner   |
|--|---------|--|----|--|--|--|--|------|--|--------|---|--|----------------------|---|---|---|--|--|
| (Last)   | (First) | , , , ,                                    |    |  | 3. Date of Earliest Transaction (Month/Day/Year)<br>12/17/2018 |  |  |      |  |        |   | X  | below)               | Officer (give title<br>below)<br>President a                      |   | Other (specify below)   |  |  |
| C/O NEW MOUNTAIN CAPITAL, L.L.C.<br>787 7TH AVENUE, 48TH FLOOR   |         |  |    |  | 4. If Amendment, Date of Original Filed (Month/Day/Year)       |  |  |      |  |        |   |  |                      | ndividual or Joint/Group Filing (Check Applicable Line)           |   |   |  |  |
| (Street)<br>NEW YORK NY 10019  |         |  |    |  |  |  |  |      |  |        |   |  | X                    |   |   | •   | ing Person<br>One Reportin   | g Person   |
| (City)   | (State) | (Zi  | p) |  |  |  |  |      |  |        |   |  |                      |   |   |   |  |  |
| Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned   |         |  |    |  |  |  |  |      |  |        |   |  |                      |   |   |   |  |  |
| 1. Title of Security (Instr. 3)<br>Date<br>(Month/D  |         |  |    |  | saction<br>/Day/Year)  | Execution<br>if any  | 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 and |  |                      | 5. Amount<br>Securities<br>Beneficiall<br>Following<br>Transactio | y Owned<br>Reported   | 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                | (Instr. 3 an  |   |   |  | (1150.4)   |
| Common Stock 12/17   |         |  |    |  | 7/2018   |  |  | Р    |  | 9,000  |   | Α  | \$12.7068            | 102,303.518   |   |   | D  |  |
| Common Stock 12/17   |         |  |    |  | 7/2018   |  |  | Р    |  | 6,000  |   | Α  | \$12.7               | 108,30  | )3.518  |   | D  |  |
| Common Stock 12/17   |         |  |    |  | 7/2018   |  |  | Р    |  | 2,000  |   | Α  | \$12.552             | 110,303.518   |   |   | D  |  |
| Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned         (e.g., puts, calls, warrants, options, convertible securities) |         |  |    |  |  |  |  |      |  |        |   |  |                      |   |   |   |  |  |
| Derivative Conversion Date   |         | 3. Transaction<br>Date<br>(Month/Day/Year) |    |  | Transactio<br>Code (Inst                                       | n Deriva<br>r. Securi<br>Acquir<br>or Dis<br>(D) (In   | 5. Number of<br>Derivative<br>Securities<br>Acquired (A)<br>or Disposed of<br>(D) (Instr. 3, 4<br>and 5) |      | 6. Date Exercis<br>Expiration Dat<br>(Month/Day/Ye |        | Se<br>De  | Title and A<br>ecurities Un<br>erivative Se<br>nstr. 3 and 6 | nderlying<br>ecurity | 8. Price of<br>Derivative<br>Security<br>(Instr. 5)               | 9. Number of<br>derivative<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s<br>(Instr. 4) |   | 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) |

Exercisable

Expiration

Date

Explanation of Responses:

Remarks:

## /s/ John Kline \*\* Signature of Reporting Person

of Shares

Title

12/19/2018

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).

Code V.

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.

(A)

(D)

Date