## Edgar Filing: Stone James - Form 4

Form 4											
November 2											
FORM	<b>4</b> UNITED		SECURITIES AND EXCHANGE CO Washington, D.C. 20549					OMB AF OMB Number:	PROVAL 3235-0287		
Check thi if no long subject to	ger STATEN	1ENT OI		GES IN	BENEF		L OWN	ERSHIP OF	Expires: Estimated a	January 31, 2005 verage	
Section 1 Form 4 o Form 5 obligation may cont <i>See</i> Instru 1(b).	6. r Filed pur <sup>ns</sup> Section 17( inue.	SECURITIES Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940									
(Print or Type F	Responses)										
Stone James Symt New			Symbol	abol w Mountain Finance Corp				5. Relationship of Reporting Person(s) to Issuer (Check all applicable)			
	(First) (1 MOUNTAIN CA 7TH AVENUE,		3. Date of (Month/E 11/18/2	-	ransaction			Director X Officer (give below) Secti		Owner r (specify	
				nth/Day/Year)			6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person				
NEW YORI	K, NY 10019							Form filed by M Person			
(City)	(State)	(Zip)	Tabl	e I - Non-E	Derivative	Secu	rities Acqu	iired, Disposed of,	or Beneficiall	y Owned	
1.Title of Security (Instr. 3)	Security (Month/Day/Year) Execution Date, if		3. 4. Securities Acquired Transaction(A) or Disposed of (D) Code (Instr. 3, 4 and 5) (Instr. 8) (A)			5. Amount of Securities Beneficially Owned Following Reported Transaction(s)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)			
Comm				Code V	Amount	or (D)	Price \$	(Instr. 3 and 4)			
Common Stock	11/18/2011			Р	4,200	А	13.133 (1)	18,604.782	D		

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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 control number.

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 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	3. Transaction Date (Month/Day/Year)	4. Transacti Code (Instr. 8)	5. orNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		ate	Unde Secur	int of rlying	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secur Bene Owne Follo Repo Trans (Instr
			Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		

## **Reporting Owners**

<b>Reporting Owner Name / Ad</b>	Iress	Relationships						
Treporting O where I where I wanted it is	Director	10% Owner	Officer	Other				
Stone James C/O NEW MOUNTAIN CAPIT 787 7TH AVENUE, 48TH FLOO NEW YORK, NY 10019			Section 16 Officer					
Signatures								
/s/ James Stone 11/2	1/2011							

/s/ James Stone <u>\*\*</u>Signature of

Reporting Person

Date

## **Explanation of Responses:**

- \* 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).

The price reported is the average weighted price. The shares were purchased in multiple transactions at prices ranging from \$10.04 to
 (1) \$10.17, inclusive. 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.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.