## Edgar Filing: Ellington Financial LLC - Form 4

Ellington Financia	al LLC								
Form 4 December 15, 201	1								
FORM 4									PPROVAL
	UNITED	STATES		RITIES A shington			COMMISSIO	N OMB Number:	3235-0287
Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. <i>See</i> Instruction 1(b).	MENT OF rsuant to S (a) of the F 30(h)	<b>CHAN</b> ection 1 Public U	GES IN SECUI	Expires: Estimated burden hou response	urs per				
(Print or Type Respon	ises)								
1. Name and Address Mumford Lisa	s of Reporting	Person <u>*</u>	Symbol	er Name <b>an</b> e on Financ		-	5. Relationship Issuer		
(Last) (I	(First) (Middle) 3. Date of Earliest Transaction					(Check all applicable)			
53 FOREST AVE			(Month/Day/Year) 12/11/2014			Director 10% Owner X Officer (give title Other (specify below) Chief Financial Officer			
(Street)			4. If Amendment, Date Original Filed(Month/Day/Year)			6. Individual or Joint/Group Filing(Check Applicable Line) _X_Form filed by One Reporting Person			
GREENWICH, C	CT 06870						Form filed by Person	More than One R	eporting
(City) (S	State)	(Zip)	Tab	le I - Non-l	Derivative	Securities A	cquired, Disposed	of, or Beneficia	lly Owned
	nsaction Date h/Day/Year)	2A. Deeme Execution 1 any (Month/Da	Date, if	3. Transactio Code (Instr. 8) Code V	4. Securiti nAcquired Disposed (Instr. 3, 4 Amount	(A) or of (D)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
Reminder: Report on	a separate line	e for each cla	uss of sec	urities bene	ficially owr	ed directly o	or indirectly.		
·	·				Person inform require	ns who rest ation cont ed to respo ys a curre	spond to the colle ained in this forn ond unless the fo ntly valid OMB co	n are not orm	SEC 1474 (9-02)

 Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned
 (e.g., puts, calls, warrants, options, convertible securities)

1. Title of	2.	3. Transaction Date	3A. Deemed	4.	5. Number of	6. Date Exercisable and	7. Title and Amount of
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transacti	orDerivative	Expiration Date	Underlying Securities
Security	or Exercise		any	Code	Securities	(Month/Day/Year)	(Instr. 3 and 4)

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(Instr. 3)	Price of Derivative Security		(N	/lonth/Day/Yea	ar) (Instr. 3	8)	Acquired ( or Dispose (D) (Instr. 3, 4 and 5)	ed of					(
					Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
LTIP Units <u>(1)</u>	<u>(1)</u>	12/11/2014	1		А		11,994		<u>(1)</u>	<u>(1)</u>	Common shares representing ltd liability company interests	11,994	
Reporting Owners													
Reporting	Owner Name / Address				Relationsh	ips							
		Dir	rector	10% Owner	Officer				Other				
Mumford 53 FORE					Chief F	ina	ncial Off	ficer					

Reporting Owner Name / Address	Relationships							
	Director	10% Owner	Officer	Other				
Mumford Lisa 53 FOREST AVE GREENWICH, CT 06870			Chief Financial Officer					
Signatures								
/s/ Jason Frank, as attorney-in- Mumford	12/15/2014							
<u>**</u> Signature of Reporting F	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).

Represents a separate non-voting class of limited liability company interests ("LTIP Units") of the Issuer, which are structured as profits interests. 5,747 of the LTIP Units will vest one year from the date of grant and the remaining 6,247 of the LTIP units will vest two years(1) from the date of grant. The LTIP Units may be converted at the election of the holder, into common shares representing limited liability

(1) From the date of grant. The LTIP only had be converted at the electron of the holder, into common shares representing minited hading company interests of the Issuer on a one-for-one basis. The LTIP Units were issued pursuant to, and are subject to the terms and conditions of, the Issuer's 2007 Incentive Plan for Individuals.

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.

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