Edgar Filing: NEW YORK MORTGAGE TRUST INC - Form 4

NEW YORK MORTGAGE TRUST INC Form 4 November 23, 2010

FORM	ΙΔ							OMB A	PPROVAL		
	UNITED S	TATES SECUI Wa	RITIES A			NGE (COMMISSION	OMB Number:	3235-0287		
Check this box if no longer subject to Section 16. Form 4 or						Expires:	January 31, 2005				
						NERSHIP OF	Estimated average burden hours per response				
Form 5 obligatior may conti <i>See</i> Instru 1(b).	ns Section 17(a)	uant to Section 1) of the Public U 30(h) of the In	Itility Hold	ling Com	ipany	Act o	f 1935 or Sectio	n			
(Print or Type R	Responses)										
Harvest Capital Strategies LLC Symbo NEW			er Name and Ticker or Trading				5. Relationship of Reporting Person(s) to Issuer (Check all applicable)				
(Last)	(First) (M	L	INC [NYMT] 3. Date of Earliest Transaction Director					X 10% Owner			
600 MONTO STREET, SU	GOMERY		Day/Year)	ansaction			Officer (give below)		er (specify		
	(Street)	4. If Am	endment, Da	te Original			6. Individual or Jo	oint/Group Filin	ng(Check		
SAN FRAN	CISCO, CA 9411		onth/Day/Year))			Applicable Line) _X_ Form filed by 0 Form filed by M Person	One Reporting Pe fore than One Re			
(City)	(State) (Z	Zip) Tab	ole I - Non-D	erivative S	Securi	ities Aco	quired, Disposed of	f, or Beneficial	lly Owned		
1.Title of Security (Instr. 3)	(Month/Day/Year) Execution Date, if Transaction(A) or Dis any Code (D)		(A) or		5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)					
Common Stock	11/23/2010		Р	65	A	\$ 6.35	369,471	I	See Footnote 1 (1)		
Common Stock	11/19/2010		Р	800	А	\$ 6.34	369,406	I	Se Footnote 1		

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

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(1)

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number.

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. Transactic Code (Instr. 8)	5. orNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	;	ate	Secur	ınt 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

	Relationships						
Reporting Owner Name / Address	Director	10% Owner	Officer	Other			
Harvest Capital Strategies LLC 600 MONTGOMERY STREET SUITE 2000 SAN FRANCISCO, CA 94111		X					
Signatures							
Janet L. Tarkoff, Chief Legal Officer	11/23/2010						
**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 Reporting Person has investment control over these securities pursuant to an Investment Management Agreement with JMP

(1) Securities LLC, the beneficial owner of such securities. This report shall not be an admission that the reporting person is the beneficial owner of such securities for purposes of Section 16 or any other purposes.

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.