

TRI-CONTINENTAL CORP
Form 4
March 23, 2017

FORM 4

**UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549**

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2015
Estimated average burden hours per response... 0.5

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 OF 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 Responses)

1. Name and Address of Reporting Person *
KING DAVID L

(Last) (First) (Middle)
225 FRANKLIN STREET

(Street)

BOSTON, MA 02110

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
TRI-CONTINENTAL CORP [TY]

3. Date of Earliest Transaction
(Month/Day/Year)
03/22/2017

4. If Amendment, Date Original Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

Director 10% Owner
 Officer (give title below) Other (specify below)
Portfolio Manager of Issuer

6. Individual or Joint/Group Filing(Check Applicable Line)
 Form filed by One Reporting Person
 Form filed by More than One Reporting Person

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	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)
			Code	V	Amount	(D)	Price
Tri-Continental Corporation Common Stock	03/22/2017		P		100	A	\$ 22.8 130,100
Tri-Continental Corporation Common Stock	03/22/2017		P		100	A	\$ 22.79 130,200
Tri-Continental Corporation Common Stock	03/22/2017		P		400	A	\$ 22.82 130,600
Tri-Continental Corporation	03/22/2017		P		500	A	\$ 22.83 131,100

Edgar Filing: TRI-CONTINENTAL CORP - Form 4

Common Stock								
Tri-Continental Corporation Common Stock	03/22/2017	P	200	A	\$ 22.845	131,300	D	
Tri-Continental Corporation Common Stock	03/22/2017	P	100	A	\$ 22.865	131,400	D	
Tri-Continental Corporation Common Stock	03/22/2017	P	606	A	\$ 22.86	132,006	D	
Tri-Continental Corporation Common Stock	03/22/2017	P	1,398	A	\$ 22.85	133,404	D	
Tri-Continental Corporation Common Stock	03/22/2017	P	1,733	A	\$ 22.84	135,137	D	
Tri-Continental Corporation Common Stock	03/22/2017	P	882	A	\$ 22.87	136,019	D	
Tri-Continental Corporation Common Stock	03/22/2017	P	1,672	A	\$ 22.88	137,691	D	
Tri-Continental Corporation Common Stock	03/22/2017	P	1,175	A	\$ 22.9	138,866	D	
Tri-Continental Corporation Common Stock	03/22/2017	P	1,134	A	\$ 22.89	140,000	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.

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 Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D)	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	8. Price of Derivative Security (Instr. 5)	9. Number of Derivative Securities Beneficially Owned Following Reported Transaction (Instr. 6)
--	--	--------------------------------------	--	--------------------------------	--	--	---	--	---

(Instr. 3,
4, and 5)

Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
------	---	-----	-----	---------------------	--------------------	-------	--

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
KING DAVID L 225 FRANKLIN STREET BOSTON, MA 02110				Portfolio Manager of Issuer

Signatures

Joseph D'Alessandro, Power of Attorney	03/23/2017
**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).

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.