

TRI-CONTINENTAL CORP

Form 4

March 23, 2017

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 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

OMB APPROVAL

OMB
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(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 ____X____ Other (specify
below) below)

Portfolio Manager of Issuer

6. Individual or Joint/Group Filing(Check
Applicable Line)
____X____ 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)
Tri-Continental Corporation Common Stock	03/22/2017		P	100 A \$ 22.8	130,100	D	
Tri-Continental Corporation Common Stock	03/22/2017		P	100 A \$ 22.79	130,200	D	
Tri-Continental Corporation Common Stock	03/22/2017		P	400 A \$ 22.82	130,600	D	
Tri-Continental Corporation	03/22/2017		P	500 A \$ 22.83	131,100	D	

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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.

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(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. Nu Deriv Secur Bene Own Follo Repo Trans (Instr
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(Instr. 3,
4, and 5)

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

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.

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