

Jin Yan  
Form 4  
January 02, 2019

**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

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(Print or Type Responses)

1. Name and Address of Reporting Person \*  
Jin Yan

(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)

12/31/2018

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<br>(Instr. 3)             | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3. Transaction<br>Code<br>(Instr. 8) | 4. Securities Acquired<br>(A) or Disposed of (D)<br>(Instr. 3, 4 and 5) | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership<br>Form:<br>Direct (D)<br>or Indirect<br>(I)<br>(Instr. 4) | 7. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|------------------------------------------------|-----------------------------------------|-------------------------------------------------------------|--------------------------------------|-------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------|-------------------------------------------------------------------|
| Tri-Continental<br>Corporation<br>Common Stock | 12/31/2018                              |                                                             | P                                    | 100 A                                                                   | \$ 23.37 7,927                                                                                                     | D                                                                       |                                                                   |
| Tri-Continental<br>Corporation<br>Common Stock | 12/31/2018                              |                                                             | P                                    | 2,860 A                                                                 | \$ 23.38 10,787                                                                                                    | D                                                                       |                                                                   |
| Tri-Continental<br>Corporation<br>Common Stock | 12/31/2018                              |                                                             | P                                    | 700 A                                                                   | \$ 23.4 11,487                                                                                                     | D                                                                       |                                                                   |
| Tri-Continental<br>Corporation                 | 12/31/2018                              |                                                             | P                                    | 300 A                                                                   | \$ 23.41 11,787                                                                                                    | D                                                                       |                                                                   |

# Edgar Filing: Jin Yan - Form 4

## Common Stock

|                             |            |   |     |   |          |                       |   |
|-----------------------------|------------|---|-----|---|----------|-----------------------|---|
| Tri-Continental Corporation | 12/31/2018 | P | 84  | A | \$ 23.43 | 11,871                | D |
| Common Stock                |            |   |     |   |          |                       |   |
| Tri-Continental Corporation | 12/31/2018 | P | 386 | A | \$ 23.44 | 12,257                | D |
| Common Stock                |            |   |     |   |          |                       |   |
| Tri-Continental Corporation | 12/31/2018 | P | 434 | A | \$ 23.45 | 12,691                | D |
| Common Stock                |            |   |     |   |          |                       |   |
| Tri-Continental Corporation | 12/31/2018 | P | 136 | A | \$ 23.46 | 12,827 <sup>(1)</sup> | D |
| Common Stock                |            |   |     |   |          |                       |   |

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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(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) (Instr. 3, 4, and 5) | 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. 3 and 4) |
|--------------------------------------------|--------------------------------------------------------|--------------------------------------|----------------------------------------------------|--------------------------------|-----------------------------------------------------------------------------------------|----------------------------------------------------------|---------------------------------------------------------------|--------------------------------------------|-------------------------------------------------------------------------------------------------------|
|                                            |                                                        |                                      |                                                    | 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

Jin Yan  
225 FRANKLIN STREET  
BOSTON, MA 02110

Portfolio Manager of Issuer

## Signatures

Joseph D'Alessandro, Power of  
Attorney

01/02/2019

\_\_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).
- (1) This statement is filed pursuant to Section 16(a) of the Act and shall not be deemed an admission that the reporting person is, for purposes of Section 16 of the Act or otherwise, the beneficial owner of any securities indirectly owned as disclosed in previous Form 4 filings.

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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