#### Edgar Filing: SANTOMERO ANTHONY M - Form 3

#### SANTOMERO ANTHONY M

Form 3 April 17, 2019

# FORM 3

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

**OMB APPROVAL** 

**OMB** Number:

3235-0104 January 31,

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF **SECURITIES** 

Expires:

2005

0.5

Estimated average burden hours per response...

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 \*

 **SANTOMERO ANTHONY** M

(First)

Statement

(Month/Day/Year) 04/16/2019

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol

TRI-CONTINENTAL CORP [TY]

(Last)

(Street)

4. Relationship of Reporting Person(s) to Issuer

\_X\_\_ Director

5. If Amendment, Date Original

Filed(Month/Day/Year)

225 FRANKLIN ST.

(Check all applicable)

6. Individual or Joint/Group Filing(Check Applicable Line)

\_X\_ Form filed by One Reporting Person

BOSTON, MAÂ 02110

Officer Other (give title below) (specify below)

Form filed by More than One

Reporting Person

#### Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security (Instr. 4)

(City)

(State)

2. Amount of Securities Beneficially Owned

(Instr. 4)

Ownership Form:

4. Nature of Indirect Beneficial Ownership (Instr. 5)

Direct (D) or Indirect

Â

10% Owner

(I) (Instr. 5)

SEC 1473 (7-02)

Tri-Continental Corporation Common Stock 100

(Middle)

(Zip)

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.

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

1. Title of Derivative Security

(Instr. 4)

2. Date Exercisable and **Expiration Date** (Month/Day/Year)

3. Title and Amount of Securities Underlying **Derivative Security** (Instr. 4)

Conversion or Exercise Price of

Ownership Form of Derivative Security:

6. Nature of Indirect Beneficial Ownership

(Instr. 5)

Title

Derivative Direct (D) Security

1

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Date Expiration Amount or or Indirect
Exercisable Date Number of (I)
Shares (Instr. 5)

### **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

SANTOMERO ANTHONY M 225 FRANKLIN ST. BOSTON, MAÂ 02110

 $\hat{A} X \qquad \hat{A} \qquad \hat{A} \qquad \hat{A}$ 

**Signatures** 

Megan Garcy, Power of 04/17/2019

\*\*Signature of Reporting Person Date

## **Explanation of Responses:**

- \* If the form is filed by more than one reporting person, *see* Instruction 5(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.

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