

TRI-CONTINENTAL CORP
Form 8-K/A
December 06, 2017

UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
WASHINGTON, D.C. 20549

FORM 8-K/A

CURRENT REPORT

Pursuant to Section 13 OR 15(d)

of The Securities Exchange Act of 1934

Date of Report (Date of earliest event reported): December 6, 2017

Tri-Continental Corporation

(Exact name of registrant as specified in its charter)

MARYLAND
(State or other jurisdiction
of incorporation)

811-00266
(Commission
File Number)

13-5441850
(I.R.S. Employer
Identification No.)

225 Franklin Street, Boston, Massachusetts

02110

(Address of principal executive offices)

(Zip Code)

Registrant's telephone number, including area code: (800)-345-6611

NOT APPLICABLE

(Former name or former address, if changed since last report.)

Check the appropriate box below if the Form 8-K filing is intended to simultaneously satisfy the filing obligation of the registrant under any of the following provisions (see General Instruction A.2. below):

Written communications pursuant to Rule 425 under the Securities Act (17 CFR 230.425)

Soliciting material pursuant to Rule 14a-12 under the Exchange Act (17 CFR 240.14a-12)

Pre-commencement communications pursuant to Rule 14d-2(b) under the Exchange Act (17 CFR 240.14d-2(b))

Pre-commencement communications pursuant to Rule 13e-4(c) under the Exchange Act (17 CFR 240.13e-4(c))

Indicate by check mark whether the registrant is an emerging growth company as defined in Rule 405 of the Securities Act of 1933 (§230.405 of this chapter) or Rule 12b-2 of the Securities Exchange Act of 1934 (§240.12b-2 of this chapter).

Emerging growth company

If an emerging growth company, indicate by check mark if the registrant has elected not to use the extended transition period for complying with any new or revised financial accounting standards provided pursuant to Section 13(a) of the Exchange Act.

SECTION 7 REGULATION FD

Item 7.01 Regulation FD Disclosure.

Registrant is furnishing as Exhibit 99.1 the attached Press Release for Tri-Continental Corporation. The Press Release provides a clarification to certain information announced in a press release issued on November 24, 2017 in connection with Registrant's fourth-quarter distribution (the original press release). The original press release did not specifically note that the capital gain distribution, being a special distribution, will be paid in stock, unless the stockholder elects to receive such distribution as follows: 75% in shares and 25% in cash, 50% in shares and 50% in cash, or 100% in cash. This clarification has been added to the attached Press Release. Other than the foregoing, there are no other changes to the information contained in the original press release.

SECTION 9 FINANCIAL STATEMENTS AND EXHIBITS

Item 9.01 Financial Statements and Exhibits.

Registrant is furnishing as Exhibit 99.1 the attached Press Release for Tri-Continental Corporation.

Exhibit Index

Exhibit No.	Description
99.1	<u>Press Release</u>

SIGNATURE

Pursuant to the requirements of the Securities Exchange Act of 1934, the Registrant has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

Date: December 6, 2017

TRI-CONTINENTAL CORPORATION

By: /s/ Joseph D Alessandro
Joseph D Alessandro
Assistant Secretary