

# Tri-Continental Corporation Liquidation Request Form For Non-Retirement Accounts



Complete this form if you would like to liquidate assets from your non-retirement account.

## Part 1 Stockholder Information: (Please type or print clearly.)

Stockholder or UGMA/UTMA Minor (First, Middle Initial, Last)	Date of Birth (MM/DD/YYYY)	Social Security Number
<input type="text"/>	<input type="text"/>	<input type="text"/>
Co-Stockholder Owner or UGMA/UTMA Custodian	Date of Birth (MM/DD/YYYY)	Social Security Number
<input type="text"/>	<input type="text"/>	<input type="text"/>
Name of Trust or Entity, if applicable	Trust date (MM/DD/YYYY), if applicable	Taxpayer Identification Number
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="checkbox"/> Please check if you are changing your address of record. A Medallion Signature Guarantee is required.		
Street Address or APO/FPO	City	State ZIP Code
<input type="text"/>	<input type="text"/>	<input type="text"/>
Mobile Phone Number	Home Phone Number	
<input type="text"/>	<input type="text"/>	
<b>Note: If you are changing your address to a PO Box, a residential address is also required. Please provide your residential address below.</b>		
Street Address	City	State ZIP Code
<input type="text"/>	<input type="text"/>	<input type="text"/>

## Part 2 Federal Tax Classification

Check appropriate box for Federal Tax Classification (Required); check only **ONE** of the following seven boxes:

☐ Individual/Sole Proprietor or single-member LLC    ☐ C Corporation    ☐ S Corporation    ☐ Partnership    ☐ Trust/Estate

☐ Limited Liability Company. Enter the tax classification (C = C Corporation, S = S Corporation, P = Partnership)

**Note:** Check the appropriate box in the line above for the tax classification of the single-member owner. Do not check LLC if the LLC is classified as a single-member LLC that is disregarded from the owner unless the owner of the LLC is another LLC that is **not** disregarded from the owner for U.S. federal tax purposes. Otherwise, a single-member LLC that is disregarded from the owner should check the appropriate box for the tax classification of its owner.

☐ Other (see Form W-9 instructions)

Exemptions (codes apply only to certain entities, not individuals; see Form W-9 Instructions):

Exempt payee code (if any)

Foreign Account Tax Compliance Act (FATCA) reporting is required for accounts maintained outside of the U.S. at certain foreign financial institutions. If you are only submitting this form for an account you hold in the U.S., you may leave this field blank.

Exemption from FATCA reporting code (if any)

## Part 3 Liquidation Information

About the sale of Tri-Continental Corporation shares:

- Sales of shares of the Corporation's Common Stock through the foregoing plans (other than retirement plans) are limited to a total of 12,500 shares transacted per calendar quarter, subject to a maximum 40,000 shares per calendar year, per account (including any related accounts, e.g., those under the same Social Security Number or Taxpayer Identification Number or otherwise under common control).
- If you have outstanding stock certificates, you must send your stock certificates to the Service Agent (this is one of the requirements for your sell order to be considered received in "good form"). We recommend using registered mail when returning outstanding certificates for 2% of the current market value of the shares. The recommended insurance amount is based on the premium for a lost certificate bond in the event the certificate is lost in transit.
- Liquidations for Tri-Continental are generally priced one time per week, typically each Wednesday. A sell order received in "good form" on a Thursday will not be processed (and your shares not sold) until the following Wednesday, provided that the New York Stock Exchange is open for business on such day.

I/We authorize Tri-Continental Corporation or its Service Agent to liquidate the amount indicated from the account number(s) listed below.

Fund Number	Account Number	Share Amount	Dollar Amount	Check Box for All Shares
<input type="text"/>	<input type="text"/>	<input type="text"/>	\$ <input type="text"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	\$ <input type="text"/>	<input type="checkbox"/>

For assistance completing this form, please contact a representative at 800.345.6611 option 3, Monday through Friday, 9:00 a.m. to 6:00 p.m. ET.

## Part 4 Cost Basis Method Selection

In accordance with cost basis regulations, all redemptions of covered shares (shares acquired on or after January 1, 2012) will be processed with the elected cost basis method on file, unless you indicate another accounting method below. If you did not elect a cost basis method, all redeemed covered shares will be subject to our default method of Average Cost. **If you have questions about which cost basis method is best for you, you may wish to consult with a tax advisor.**

If you are requesting a partial redemption using the Specific Lot Identification method, and the lots selected are not available or not enough shares have been requested, shares will be depleted using the selected secondary cost basis accounting method on your account. If you have not selected a secondary method, shares will then be depleted in **First In, First Out (FIFO)** order.

**Note: When redeeming shares, non-covered shares (shares acquired before January 1, 2012) will be depleted first, unless you are using the Specific Lot Identification method. The remaining covered shares will use the cost basis method on your account, unless you indicate a one-time override method on this form.**

<input type="checkbox"/>	<b>Current Accounting Method:</b> Shares will be redeemed using the cost basis accounting method that is currently on the account.
<input type="checkbox"/>	<b>Override Accounting Method:</b> Selecting this option will override the current method on the account for this transaction only and will utilize the method checked below. <b>Note: Not available if you have previously sold covered shares in your account using the Average Cost method.</b> <input type="checkbox"/> <b>FIFO</b> – First In, First Out <input type="checkbox"/> <b>LIFO</b> – Last In, First Out <input type="checkbox"/> <b>HIFO</b> – High Cost, First Out <input type="checkbox"/> <b>ACST</b> – Average Cost <input type="checkbox"/> <b>LOFO</b> – Low Cost, First Out <input type="checkbox"/> <b>LGUT</b> – Loss/Gain Utilization <input type="checkbox"/> <b>SLID</b> – Specified Lot Identification (Complete Part 5)

**Note: To permanently change your cost basis method you must complete and enclose a Tri-Continental Corporation Authorization Form.**

## Part 5 Specific Tax Lots for Depletion of Shares

**Complete this section ONLY if this is a partial redemption and you would like to use the Specific Lot Identification method on an account. This cost basis method will permanently remove any average cost basis tracking from non-covered shares.**

Please provide the fund and account number, purchase (trade) date and number of shares to indicate the specific share lots you would like to use for this partial redemption. (If there are additional share lots than space allows, please make a copy of this page or use a separate sheet of paper.)

1. Fund Number	Account Number		Check Box for All Shares in Lot
<input type="text"/>	<input type="text"/>		
Trade Date (MM/DD/YYYY)	<input type="text"/>	Number of Shares	<input type="checkbox"/>
Trade Date (MM/DD/YYYY)	<input type="text"/>	Number of Shares	<input type="checkbox"/>
Trade Date (MM/DD/YYYY)	<input type="text"/>	Number of Shares	<input type="checkbox"/>
Trade Date (MM/DD/YYYY)	<input type="text"/>	Number of Shares	<input type="checkbox"/>

2. Fund Number	Account Number		Check Box for All Shares in Lot
<input type="text"/>	<input type="text"/>		
Trade Date (MM/DD/YYYY)	<input type="text"/>	Number of Shares	<input type="checkbox"/>
Trade Date (MM/DD/YYYY)	<input type="text"/>	Number of Shares	<input type="checkbox"/>
Trade Date (MM/DD/YYYY)	<input type="text"/>	Number of Shares	<input type="checkbox"/>
Trade Date (MM/DD/YYYY)	<input type="text"/>	Number of Shares	<input type="checkbox"/>

**Part 6****Payment Instructions:** (Please choose one election in either section A or B and complete C if applicable.)**A. Stockholder or Authorized Individual Election:**

- ☐ 1. Make the check payable to the registered stockholder(s) and mail to the address of record. A Medallion Signature Guarantee (MSG) is required if the requested amount is over \$100,000.
- ☐ 2. Make the check payable to and mail as indicated below in section C. A MSG is required.
- ☐ a. Mail the check via regular mail.
- ☐ b. Mail the check via overnight or expedited delivery. The applicable fee will be deducted from the mutual fund account.
- ☐ 3. Deposit the liquidation to the bank account below via Automated Clearing House (ACH). No fee is deducted from the mutual fund account.
- ☐ a. Into the existing bank instructions on file.
- ☐ b. Into new bank instructions. Complete Part 7 Bank Information. A MSG is required.
- ☐ 4. Deposit the liquidation to the bank account below via Fedwire (must be \$500 or greater). A fee of \$7.50 will be deducted from the mutual fund account (additional bank fees may apply).
- ☐ a. Into the existing bank instructions on file.
- ☐ b. Into new bank instructions. Complete Part 7 Bank Information. A MSG is required.

**B. Estate or Beneficiary Election:**

**Complete this section and section C. Payee Information, if you are acting as the Executor or Beneficiary for the registered account. If you are acting as the Executor, a MSG is required. If you are acting as the Beneficiary, a Signature Guarantee or MSG is required (see the table below). A certified copy of the death certificate(s) is required for the stockholder(s).**

- ☐ 1. Make the check payable to and mail as indicated below in section C.
- ☐ a. Mail the check via regular mail.
- ☐ b. Mail the check via overnight or expedited delivery. The applicable fee will be deducted from the mutual fund account.
- ☐ 2. Deposit the liquidation to the bank account in section C. via ACH. No fee is deducted from the mutual fund account.
- ☐ 3. Deposit the liquidation to the bank account in section C via Fedwire (must be \$500 or greater). A fee of \$7.50 will be deducted from the mutual fund account (additional bank fees may apply).

Signature Guarantee (or MSG) Required	Medallion Signature Guarantee Required
<ul style="list-style-type: none"><li>■ The liquidation check is mailed to an address other than the address of record</li><li>■ The liquidation is going to a bank account not on file. If the bank account registration matches the beneficiary, a Signature Guarantee is acceptable along with a copy of a voided check or deposit slip.</li></ul>	<ul style="list-style-type: none"><li>■ The liquidation check is made payable to anyone other than the beneficiary.</li><li>■ The liquidation is going to a bank account not on file and the bank account registration does not match the listed beneficiary.</li><li>■ The amount of the liquidation exceeds \$100,000.</li><li>■ If someone is signing the form in a legal capacity (examples: Executor, POA, Custodian or Guardian).</li></ul>

**C. Payee or Beneficiary Information:**

Payee or Beneficiary name (First, Middle Initial, Last)		Beneficiary or Estate Tax Identification Number	Beneficiary Date of Birth (MM/DD/YYYY)
<input type="text"/>		<input type="text"/>	<input type="text"/>
Street Address	City	State	ZIP Code
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mobile Phone Number	Relationship to Stockholder	Date of Death for Stockholder (MM/DD/YYYY)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	
<b>Bank Account Information (if applicable)</b>			
Name of Bank	Bank ABA Routing Number	Bank Account Number	
<input type="text"/>	<input type="text"/>	<input type="text"/>	

**Federal law requires us to obtain certain information from you, which we may use to verify your identity. If we are unable to verify this information, we reserve the right to close or limit your account.**

## Part 7 Bank Information

Please complete this section if you are requesting to have redemption proceeds sent to a bank account not on file. A Medallion Signature Guarantee is required. The bank information will be permanently added to your account, unless you indicate below, this is a one-time wire or ACH request.

☐ Yes, this is a one-time wire or ACH request. Do not add bank information to my account at this time.

**Bank Account Type:** ☐ Checking ☐ Savings

### Bank Account Information:

Bank ABA Routing Number (Enter nine digit number; see below)

Bank Account Number (Do not use spaces or dashes; see below)

For Further Credit to the Account of (if applicable; for wire transfers):

Name of Bank

Bank Phone Number

Name of Bank Account Owner

Name of Joint Bank Account Owner (if applicable)

### Bank Account Owner(s) Authorization

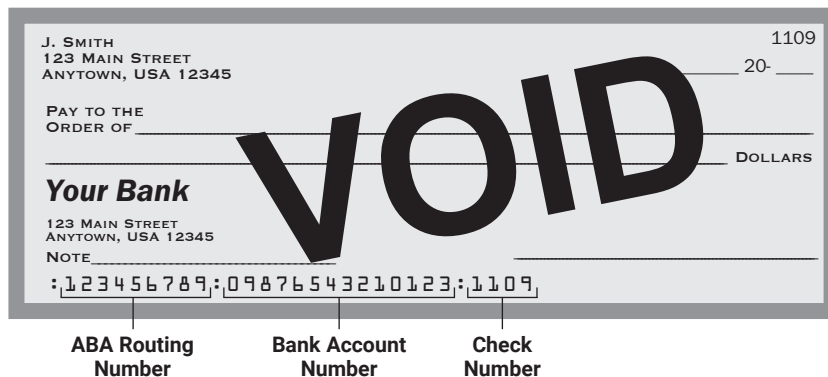
Signature of Bank Account Owner (required)

Signature of Joint Bank Account Owner (required)

X

X

When wiring to a foreign bank account, please contact a representative to confirm additional bank instructions.



**Part 8****Signature and Taxpayer Identification Number Certification:** (Complete section A and B.)**Under penalties of perjury, I certify that:**

- (1) The number shown on this form is my correct taxpayer identification number; and
- (2) I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and
- (3) I am a U.S. citizen or other U.S. person (defined in the Form W-9 instructions, which are available upon request or at [www.irs.gov](http://www.irs.gov)); and
- (4) The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA is correct.

**Certification Instructions:** You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return.

**A. Current Stockholder Information - REQUIRED:** Provide the name(s) on the account exactly as they appear in the current account registration.

Stockholder or UGMA/UTMA Minor (First, Middle Initial, Last)

Date of Birth (MM/DD/YYYY) Social Security Number

Co-Stockholder or UGMA/UTMA Custodian

Date of Birth (MM/DD/YYYY) Social Security Number

Name of Trust or Entity, if applicable

Trust Date (MM/DD/YYYY), if applicable

Taxpayer Identification Number

**B. Authorization - REQUIRED:** The stockholder must print and sign below. If you are not the stockholder and are acting in a special capacity as an **authorized individual (executor, administrator, custodian, trustee or successor trustee, beneficiary, power of-attorney, etc.)** please print, sign, and indicate your capacity below. A Medallion Signature Guarantee (MSG) or Signature Guarantee may be required.

By signing below, I certify that I am authorized to request payment from this account and that all information provided by me is true and accurate. I further certify that no tax advice has been given to me by Tri-Continental Corporation (the Fund), Columbia Management Investment Services Corp. (the Service Agent), and their respective affiliates, officers, directors, agents and employees. All decisions regarding this sell order are my own. I expressly assume the responsibility for any adverse consequences which may arise from this sell order and I agree that the Fund, the Service Agent, and their respective affiliates, officers, directors, agents and employees shall in no way be held responsible.

**Each person signing on behalf of an entity represents that his/her actions are authorized. I acknowledge that I:**

- have received and read the prospectus,
- agree that the Fund, the Service Agent and their respective affiliates, officers, directors, agents and employees will not be liable for any loss, liability, damage or expense, which may arise as a result of relying on this form or any instruction believed genuine.

Print Name of Stockholder or Authorized Individual

Print Name of Co-Stockholder or Authorized Individual

Signature of Stockholder or Authorized Individual

**X**

Signature of Co-Stockholder or Authorized Individual

**X**

Capacity (Required for Authorized Individual) Date (MM/DD/YYYY)

Capacity (Required for Authorized Individual) Date (MM/DD/YYYY)

**Affix Signature Guarantee or MSG Stamp here****Affix Signature Guarantee or MSG Stamp here**

Guarantor, please do not affix the guarantee unless all of the information on this page has been completed.

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The Service Agent may require a Medallion Signature Guarantee (MSG) or Signature Guarantee stamp for your signature in order to process certain transactions. A MSG or Signature Guarantee stamp may be executed by any eligible institution, including, but not limited to, the following: brokers or dealers, banks, credit unions, and savings associations. A MSG or Signature Guarantee helps assure that a signature is genuine and not a forgery. Notarization by a notary public is not an acceptable signature guarantee. The Service Agent reserves the right to reject a signature guarantee and to request additional documentation for any transaction. You may refer to the Fund's prospectus for more information.

**Part 9****Return Instructions**

Regular mail    Tri-Continental Corporation  
PO Box 219371  
Kansas City, MO 64121-9371

Overnight mail    Tri-Continental Corporation  
801 Pennsylvania Ave STE 219371  
Kansas City, MO 64105-1307

For assistance completing this form, please contact a representative at 800.345.6611 option 3, Monday through Friday, 9:00 a.m. to 6:00 p.m. ET. Columbia Threadneedle Investments (Columbia Threadneedle) is the global brand name of the Columbia and Threadneedle group of companies. Columbia Management Investment Services Corp. is the Service Agent for Tri-Continental Corporation.

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