Edgar Filing: TCW STRATEGIC INCOME FUND INC - Form 4

TCW STRATEGIC INCOME FUND INC

Form 4

October 19, 2015

FORM 4

subject to

Section 16.

Form 4 or

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549 Check this box if no longer

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

SECURITIES

Form 5 Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations Section 17(a) of the Public Utility Holding Company Act of 1935 or Section may continue. 30(h) of the Investment Company Act of 1940 See Instruction

(Print or Type Responses)

1(b).

(Last)

1. Name and Address of Reporting Person * Rivelle Tad

2. Issuer Name and Ticker or Trading Symbol

TCW STRATEGIC INCOME FUND INC [TSI]

3. Date of Earliest Transaction

(Month/Day/Year) 01/29/2014

5. Relationship of Reporting Person(s) to Issuer

OMB APPROVAL

10% Owner

Other (specify

Estimated average

burden hours per

3235-0287

January 31,

2005

0.5

OMB

Number:

Expires:

response...

(Check all applicable)

TCW STRATEGIC INCOME FUND, INC., 865 S. FIGUEROA STREET, STE. 1800

(First)

(Middle)

(Street)

4. If Amendment, Date Original Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check

Portfolio Manager

Applicable Line)

Director

below)

X_ Officer (give title

X Form filed by One Reporting Person Form filed by More than One Reporting Person

LOS ANGELES, CA 90017

| (City) | (State) | (Zip) 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. Transactic Code (Instr. 8) | 4. Securion(A) or D (Instr. 3, | ispose 4 and (A) or | d of (D) | 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) |
| Common Stock | 01/29/2014 | | P | 0 | A | | 98,939.7079 | I | Charles Schwab & Co Acct for Chung-Ling K Tuan (spouse) |
| Common Stock | 09/23/2015 | | P | 0 | A | \$ 0 (1) | 67,849 | I | Charles Schwab & Co Acct for Chung-Ling |

| | | | | | | | K Tuan |
|-----------------|------------|---|-------|---|-------------------------|---|--------|
| Common Stock | 09/28/2015 | P | 0 | A | \$ 0 <u>(2)</u> 376,895 | D | |
| Common Stock | 10/16/2015 | P | 900 | A | \$ 5.309 369,354 | D | |
| Common Stock | 10/16/2015 | P | 1,700 | A | \$ 5.31 371,054 | D | |

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control number.

> 9. Nu Deriv Secu Bene Own Follo Repo Trans (Insti

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. Transac Code (Instr. 8 | 5. ctionNumber of 8) Deriva Securit Acquir (A) or Dispos of (D) (Instr. 4, and | (Month/Day tive ies ed ed | ate | 7. Title Amou Under Securi (Instr. | nt of lying | 8. Price of Derivative Security (Instr. 5) |
|---|---|---|---|------------------------------------|--|---------------------------------------|--------------------|--|--|---|
| | | | | Code | V (A) (1 | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | | | |
|--|---------------|-----------|-------------------|-------|--|--|
| | Director | 10% Owner | Officer | Other | | |
| Rivelle Tad TCW STRATEGIC INCOME FUND, INC. 865 S. FIGUEROA STREET, STE. 1800 LOS ANGELES, CA 90017 | | | Portfolio Manager | | | |
| Signatures | | | | | | |

Patrick Dennis for Tad Rivelle by POA dtd 10/19/2015 7/22/13

> **Signature of Reporting Person Date

Reporting Owners 2

Edgar Filing: TCW STRATEGIC INCOME FUND INC - Form 4

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) No transaction occurred in Common Stock owned indirectly by Reporting Person
- (2) No transaction occurred in Common Stock owned directly by Reporting Person

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.