

TRI-CONTINENTAL CORP  
Form N-PX  
August 25, 2015

**UNITED STATES**  
**SECURITIES AND EXCHANGE COMMISSION**

Washington, DC 20549

**FORM N-PX**

**ANNUAL REPORT OF PROXY VOTING RECORD OF REGISTERED MANAGEMENT INVESTMENT  
COMPANY**

|                                                    |                                                                                                                                                   |
|----------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------|
| Investment Company Act File Number:                | <b>811-00266</b>                                                                                                                                  |
| Name of Registrant:                                | <b>Tri-Continental Corporation</b>                                                                                                                |
| Address of Principal Executive Offices:            | <b>225 Franklin Street<br/>Boston, Massachusetts 02110</b>                                                                                        |
| Name and address of agent of service:              | <b>Christopher O. Petersen, Esq.<br/>c/o Columbia Management Investment Advisers, LLC<br/>225 Franklin Street<br/>Boston, Massachusetts 02110</b> |
| Registrant's telephone number including area code: | <b>612-671-4321</b>                                                                                                                               |
| Date of fiscal year end:                           | <b>12/31</b>                                                                                                                                      |
| Date of reporting period:                          | <b>07/01/2014 06/30/2015</b>                                                                                                                      |

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\*\*\*\*\* FORM N-Px REPORT \*\*\*\*\*

ICA File Number: 811-00266

Reporting Period: 07/01/2014 - 06/30/2015

Tri-Continental Corporation

Item 1. Proxy Voting Record

===== Tri-Continental Corporation =====

3M COMPANY

Ticker: MMM Security ID: 88579Y101

Meeting Date: MAY 12, 2015 Meeting Type: Annual

Record Date: MAR 13, 2015

| #  | Proposal                              | Mgt Rec | Vote Cast | Sponsor    |
|----|---------------------------------------|---------|-----------|------------|
| 1a | Elect Director Linda G. Alvarado      | For     | For       | Management |
| 1b | Elect Director Sondra L. Barbour      | For     | For       | Management |
| 1c | Elect Director Thomas 'Tony' K. Brown | For     | For       | Management |

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|    |                                                                   |     |     |            |
|----|-------------------------------------------------------------------|-----|-----|------------|
| 1d | Elect Director Vance D. Coffman                                   | For | For | Management |
| 1e | Elect Director Michael L. Eskew                                   | For | For | Management |
| 1f | Elect Director Herbert L. Henkel                                  | For | For | Management |
| 1g | Elect Director Muhtar Kent                                        | For | For | Management |
| 1h | Elect Director Edward M. Liddy                                    | For | For | Management |
| 1i | Elect Director Inge G. Thulin                                     | For | For | Management |
| 1j | Elect Director Robert J. Ulrich                                   | For | For | Management |
| 2  | Ratify PricewaterhouseCoopers LLP as<br>Auditors                  | For | For | Management |
| 3  | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For | For | Management |

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ABBVIE INC.

Ticker:            ABBV            Security ID: 00287Y109

Meeting Date: MAY 08, 2015    Meeting Type: Annual

Record Date:    MAR 11, 2015

| #   | Proposal                                                          | Mgt Rec | Vote Cast | Sponsor    |
|-----|-------------------------------------------------------------------|---------|-----------|------------|
| 1.1 | Elect Director Roxanne S. Austin                                  | For     | For       | Management |
| 1.2 | Elect Director Richard A. Gonzalez                                | For     | For       | Management |
| 1.3 | Elect Director Glenn F. Tilton                                    | For     | For       | Management |
| 2   | Ratify Ernst & Young LLP as Auditors                              | For     | For       | Management |
| 3   | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For       | Management |

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AFLAC INCORPORATED

Ticker: AFL Security ID: 001055102

Meeting Date: MAY 04, 2015 Meeting Type: Annual

Record Date: FEB 25, 2015

| #  | Proposal                                                          | Mgt Rec | Vote Cast | Sponsor    |
|----|-------------------------------------------------------------------|---------|-----------|------------|
| 1a | Elect Director Daniel P. Amos                                     | For     | For       | Management |
| 1b | Elect Director Paul S. Amos, II                                   | For     | For       | Management |
| 1c | Elect Director W. Paul Bowers                                     | For     | For       | Management |
| 1d | Elect Director Kriss Cloninger, III                               | For     | For       | Management |
| 1e | Elect Director Elizabeth J. Hudson                                | For     | For       | Management |
| 1f | Elect Director Douglas W. Johnson                                 | For     | For       | Management |
| 1g | Elect Director Robert B. Johnson                                  | For     | For       | Management |
| 1h | Elect Director Thomas J. Kenny                                    | For     | For       | Management |
| 1i | Elect Director Charles B. Knapp                                   | For     | For       | Management |
| 1j | Elect Director Joseph L. Moskowitz                                | For     | For       | Management |
| 1k | Elect Director Barbara K. Rimer                                   | For     | For       | Management |
| 1l | Elect Director Melvin T. Stith                                    | For     | For       | Management |
| 1m | Elect Director Takuro Yoshida                                     | For     | For       | Management |
| 2  | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For       | Management |
| 3  | Ratify KPMG LLP as Auditors                                       | For     | For       | Management |

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ALKERMES PLC

Ticker: ALKS Security ID: G01767105

Meeting Date: MAY 27, 2015 Meeting Type: Annual

Record Date: MAR 17, 2015

| #   | Proposal                                                                                       | Mgt Rec | Vote Cast | Sponsor    |
|-----|------------------------------------------------------------------------------------------------|---------|-----------|------------|
| 1.1 | Elect Director Floyd E. Bloom                                                                  | For     | For       | Management |
| 1.2 | Elect Director Nancy J. Wysenski                                                               | For     | For       | Management |
| 2   | Advisory Vote to Ratify Named<br>Executive Officers' Compensation                              | For     | Against   | Management |
| 3   | Change Location of Annual Meeting                                                              | For     | For       | Management |
| 4   | Approve PricewaterhouseCoopers as<br>Auditors and Authorize Board to Fix<br>Their Remuneration | For     | For       | Management |

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ALTERA CORPORATION

Ticker: ALTR Security ID: 021441100

Meeting Date: MAY 11, 2015 Meeting Type: Annual

Record Date: MAR 13, 2015

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| #  | Proposal                                                          | Mgt Rec | Vote Cast | Sponsor     |
|----|-------------------------------------------------------------------|---------|-----------|-------------|
| 1a | Elect Director John P. Daane                                      | For     | For       | Management  |
| 1b | Elect Director T. Michael Nevens                                  | For     | For       | Management  |
| 1c | Elect Director A. Blaine Bowman                                   | For     | For       | Management  |
| 1d | Elect Director Elisha W. Finney                                   | For     | For       | Management  |
| 1e | Elect Director Kevin McGarity                                     | For     | For       | Management  |
| 1f | Elect Director Krish A. Prabhu                                    | For     | For       | Management  |
| 1g | Elect Director Shane V. Robison                                   | For     | For       | Management  |
| 1h | Elect Director John Shoemaker                                     | For     | For       | Management  |
| 1i | Elect Director Thomas H. Waechter                                 | For     | For       | Management  |
| 2  | Amend Omnibus Stock Plan                                          | For     | For       | Management  |
| 3  | Amend Qualified Employee Stock<br>Purchase Plan                   | For     | For       | Management  |
| 4  | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For       | Management  |
| 5  | Ratify PricewaterhouseCoopers LLP as<br>Auditors                  | For     | For       | Management  |
| 6  | Require Independent Board Chairman                                | Against | For       | Shareholder |

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ALTRIA GROUP, INC.

Ticker: MO Security ID: 02209S103

Meeting Date: MAY 20, 2015 Meeting Type: Annual

Record Date: MAR 30, 2015

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| #    | Proposal                                                           | Mgt Rec | Vote Cast | Sponsor     |
|------|--------------------------------------------------------------------|---------|-----------|-------------|
| 1.1  | Elect Director Gerald L. Baliles                                   | For     | For       | Management  |
| 1.2  | Elect Director Martin J. Barrington                                | For     | For       | Management  |
| 1.3  | Elect Director John T. Casteen, III                                | For     | Against   | Management  |
| 1.4  | Elect Director Dinyar S. Devitre                                   | For     | For       | Management  |
| 1.5  | Elect Director Thomas F. Farrell, II                               | For     | Against   | Management  |
| 1.6  | Elect Director Thomas W. Jones                                     | For     | For       | Management  |
| 1.7  | Elect Director Debra J. Kelly-Ennis                                | For     | For       | Management  |
| 1.8  | Elect Director W. Leo Kiely, III                                   | For     | For       | Management  |
| 1.9  | Elect Director Kathryn B. McQuade                                  | For     | For       | Management  |
| 1.10 | Elect Director George Munoz                                        | For     | For       | Management  |
| 1.11 | Elect Director Nabil Y. Sakkab                                     | For     | For       | Management  |
| 2    | Approve Omnibus Stock Plan                                         | For     | For       | Management  |
| 3    | Approve Non-Employee Director Omnibus<br>Stock Plan                | For     | For       | Management  |
| 4    | Ratify PricewaterhouseCoopers as<br>Auditors                       | For     | For       | Management  |
| 5    | Advisory Vote to Ratify Named<br>Executive Officers' Compensation  | For     | For       | Management  |
| 6    | Adopt Anti-Forced Labor Policy for<br>Tobacco Supply Chain         | Against | Abstain   | Shareholder |
| 7    | Inform Poor and Less Educated on<br>Health Consequences of Tobacco | Against | Abstain   | Shareholder |
| 8    | Report on Green Tobacco Sickness                                   | Against | Abstain   | Shareholder |

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AMEREN CORPORATION

Ticker: AEE Security ID: 023608102

Meeting Date: APR 23, 2015 Meeting Type: Annual

Record Date: FEB 25, 2015

| #    | Proposal                                                                                  | Mgt Rec | Vote Cast | Sponsor     |
|------|-------------------------------------------------------------------------------------------|---------|-----------|-------------|
| 1.1  | Elect Director Warner L. Baxter                                                           | For     | For       | Management  |
| 1.2  | Elect Director Catherine S. Brune                                                         | For     | For       | Management  |
| 1.3  | Elect Director J. Edward Coleman                                                          | For     | For       | Management  |
| 1.4  | Elect Director Ellen M. Fitzsimmons                                                       | For     | For       | Management  |
| 1.5  | Elect Director Walter J. Galvin                                                           | For     | For       | Management  |
| 1.6  | Elect Director Richard J. Harshman                                                        | For     | For       | Management  |
| 1.7  | Elect Director Gayle P. W. Jackson                                                        | For     | For       | Management  |
| 1.8  | Elect Director James C. Johnson                                                           | For     | For       | Management  |
| 1.9  | Elect Director Steven H. Lipstein                                                         | For     | For       | Management  |
| 1.10 | Elect Director Stephen R. Wilson                                                          | For     | For       | Management  |
| 1.11 | Elect Director Jack D. Woodard                                                            | For     | For       | Management  |
| 2    | Advisory Vote to Ratify Named<br>Executive Officers' Compensation                         | For     | For       | Management  |
| 3    | Ratify PricewaterhouseCoopers LLP as<br>Auditors                                          | For     | For       | Management  |
| 4    | Require Independent Board Chairman                                                        | Against | For       | Shareholder |
| 5    | Report on Lobbying Payments                                                               | Against | Against   | Shareholder |
| 6    | Include Carbon Reduction as a<br>Performance Measure for Senior<br>Executive Compensation | Against | Abstain   | Shareholder |



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AMERISOURCEBERGEN CORPORATION

Ticker: ABC Security ID: 03073E105

Meeting Date: MAR 05, 2015 Meeting Type: Annual

Record Date: JAN 05, 2015

| #    | Proposal                                                          | Mgt Rec | Vote Cast | Sponsor     |
|------|-------------------------------------------------------------------|---------|-----------|-------------|
| 1.1  | Elect Director Ornella Barra                                      | For     | For       | Management  |
| 1.2  | Elect Director Steven H. Collis                                   | For     | For       | Management  |
| 1.3  | Elect Director Douglas R. Conant                                  | For     | For       | Management  |
| 1.4  | Elect Director Richard W. Gochnauer                               | For     | For       | Management  |
| 1.5  | Elect Director Richard C. Gozon                                   | For     | For       | Management  |
| 1.6  | Elect Director Lon R. Greenberg                                   | For     | For       | Management  |
| 1.7  | Elect Director Jane E. Henney                                     | For     | For       | Management  |
| 1.8  | Elect Director Kathleen W. Hyle                                   | For     | For       | Management  |
| 1.9  | Elect Director Michael J. Long                                    | For     | For       | Management  |
| 1.10 | Elect Director Henry W. McGee                                     | For     | For       | Management  |
| 2    | Ratify Ernst & Young LLP as Auditors                              | For     | For       | Management  |
| 3    | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For       | Management  |
| 4    | Provide Right to Act by Written Consent Against                   |         | For       | Shareholder |

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ANTHEM, INC.

Ticker: ANTM Security ID: 036752103

Meeting Date: MAY 13, 2015 Meeting Type: Annual

Record Date: MAR 19, 2015

| #  | Proposal                                                          | Mgt Rec | Vote Cast | Sponsor     |
|----|-------------------------------------------------------------------|---------|-----------|-------------|
| 1a | Elect Director Julie A. Hill                                      | For     | For       | Management  |
| 1b | Elect Director Ramiro G. Peru                                     | For     | For       | Management  |
| 1c | Elect Director John H. Short                                      | For     | For       | Management  |
| 2  | Ratify Ernst & Young LLP as Auditors                              | For     | For       | Management  |
| 3  | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For       | Management  |
| 4  | Declassify the Board of Directors                                 | None    | For       | Shareholder |
| 5  | Proxy Access                                                      | Against | For       | Shareholder |

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AON PLC

Ticker: AON Security ID: G0408V102

Meeting Date: JUN 17, 2015 Meeting Type: Annual

Record Date: APR 22, 2015

| #   | Proposal                        | Mgt Rec | Vote Cast | Sponsor    |
|-----|---------------------------------|---------|-----------|------------|
| 1.1 | Elect Director Lester B. Knight | For     | For       | Management |
| 1.2 | Elect Director Gregory C. Case  | For     | For       | Management |

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|      |                                                                           |     |     |            |
|------|---------------------------------------------------------------------------|-----|-----|------------|
| 1.3  | Elect Director Fulvio Conti                                               | For | For | Management |
| 1.4  | Elect Director Cheryl A. Francis                                          | For | For | Management |
| 1.5  | Elect Director James W. Leng                                              | For | For | Management |
| 1.6  | Elect Director J. Michael Losh                                            | For | For | Management |
| 1.7  | Elect Director Robert S. Morrison                                         | For | For | Management |
| 1.8  | Elect Director Richard B. Myers                                           | For | For | Management |
| 1.9  | Elect Director Richard C. Notebaert                                       | For | For | Management |
| 1.10 | Elect Director Gloria Santona                                             | For | For | Management |
| 1.11 | Elect Director Carolyn Y. Woo                                             | For | For | Management |
| 2    | Accept Financial Statements and<br>Statutory Reports                      | For | For | Management |
| 3    | Ratify Ernst & Young LLP as Aon's<br>Auditors                             | For | For | Management |
| 4    | Ratify Ernst & Young LLP as U.K.<br>Statutory Auditor                     | For | For | Management |
| 5    | Authorise Board to Fix Remuneration of<br>Auditors                        | For | For | Management |
| 6    | Advisory Vote to Ratify Named<br>Executive Officers' Compensation         | For | For | Management |
| 7    | Advisory Vote to Ratify Directors'<br>Remuneration Report                 | For | For | Management |
| 8    | Authorise Shares for Market Purchase                                      | For | For | Management |
| 9    | Issue of Equity or Equity-Linked<br>Securities with Pre-emptive Rights    | For | For | Management |
| 10   | Issue of Equity or Equity-Linked<br>Securities without Pre-emptive Rights | For | For | Management |
| 11   | Approve Political Donations                                               | For | For | Management |

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APPLE INC.

Ticker: AAPL Security ID: 037833100

Meeting Date: MAR 10, 2015 Meeting Type: Annual

Record Date: JAN 09, 2015

| #   | Proposal                                                             | Mgt Rec | Vote Cast | Sponsor     |
|-----|----------------------------------------------------------------------|---------|-----------|-------------|
| 1.1 | Elect Director Tim Cook                                              | For     | For       | Management  |
| 1.2 | Elect Director Al Gore                                               | For     | For       | Management  |
| 1.3 | Elect Director Bob Iger                                              | For     | For       | Management  |
| 1.4 | Elect Director Andrea Jung                                           | For     | For       | Management  |
| 1.5 | Elect Director Art Levinson                                          | For     | For       | Management  |
| 1.6 | Elect Director Ron Sugar                                             | For     | For       | Management  |
| 1.7 | Elect Director Sue Wagner                                            | For     | For       | Management  |
| 2   | Ratify Ernst & Young LLP as Auditors                                 | For     | For       | Management  |
| 3   | Advisory Vote to Ratify Named<br>Executive Officers' Compensation    | For     | For       | Management  |
| 4   | Approve Qualified Employee Stock<br>Purchase Plan                    | For     | For       | Management  |
| 5   | Report on Risks Associated with Repeal<br>of Climate Change Policies | Against | Abstain   | Shareholder |
| 6   | Adopt Proxy Access Right                                             | Against | Against   | Shareholder |

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APPLIED MATERIALS, INC.

Ticker: AMAT Security ID: 038222105

Meeting Date: APR 02, 2015 Meeting Type: Annual

Record Date: FEB 11, 2015

| #  | Proposal                                                          | Mgt Rec | Vote Cast | Sponsor    |
|----|-------------------------------------------------------------------|---------|-----------|------------|
| 1a | Elect Director Aart J. de Geus                                    | For     | For       | Management |
| 1b | Elect Director Gary E. Dickerson                                  | For     | For       | Management |
| 1c | Elect Director Stephen R. Forrest                                 | For     | For       | Management |
| 1d | Elect Director Thomas J. Iannotti                                 | For     | For       | Management |
| 1e | Elect Director Susan M. James                                     | For     | For       | Management |
| 1f | Elect Director Alexander A. Karsner                               | For     | For       | Management |
| 1g | Elect Director Dennis D. Powell                                   | For     | For       | Management |
| 1h | Elect Director Willem P. Roelandts                                | For     | For       | Management |
| 1i | Elect Director Michael R. Splinter                                | For     | For       | Management |
| 1j | Elect Director Robert H. Swan                                     | For     | For       | Management |
| 2  | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | Against   | Management |
| 3  | Ratify KPMG LLP as Auditors                                       | For     | For       | Management |

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ARCHER-DANIELS-MIDLAND COMPANY

Ticker: ADM Security ID: 039483102

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Meeting Date: MAY 07, 2015 Meeting Type: Annual

Record Date: MAR 12, 2015

| #    | Proposal                                                          | Mgt Rec | Vote Cast | Sponsor     |
|------|-------------------------------------------------------------------|---------|-----------|-------------|
| 1.1  | Elect Director Alan L. Boeckmann                                  | For     | For       | Management  |
| 1.2  | Elect Director Mollie Hale Carter                                 | For     | For       | Management  |
| 1.3  | Elect Director Terrell K. Crews                                   | For     | For       | Management  |
| 1.4  | Elect Director Pierre Dufour                                      | For     | For       | Management  |
| 1.5  | Elect Director Donald E. Felsing                                  | For     | For       | Management  |
| 1.6  | Elect Director Juan R. Luciano                                    | For     | For       | Management  |
| 1.7  | Elect Director Antonio Maciel Neto                                | For     | For       | Management  |
| 1.8  | Elect Director Patrick J. Moore                                   | For     | For       | Management  |
| 1.9  | Elect Director Thomas F. O'Neill                                  | For     | For       | Management  |
| 1.10 | Elect Director Francisco Sanchez                                  | For     | For       | Management  |
| 1.11 | Elect Director Daniel Shih                                        | For     | For       | Management  |
| 1.12 | Elect Director Kelvin R. Westbrook                                | For     | For       | Management  |
| 1.13 | Elect Director Patricia A. Woertz                                 | For     | For       | Management  |
| 2    | Ratify Ernst & Young LLP as Auditors                              | For     | For       | Management  |
| 3    | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For       | Management  |
| 4    | Amend Omnibus Stock Plan                                          | For     | For       | Management  |
| 5    | Require Independent Board Chairman                                | Against | For       | Shareholder |

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ARES CAPITAL CORPORATION

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Ticker: ARCC Security ID: 04010L103

Meeting Date: APR 29, 2015 Meeting Type: Special

Record Date: MAR 04, 2015

| # | Proposal                                               | Mgt Rec | Vote Cast | Sponsor    |
|---|--------------------------------------------------------|---------|-----------|------------|
| 1 | Approve Issuance of Shares Below Net Asset Value (NAV) | For     | For       | Management |

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ARES CAPITAL CORPORATION

Ticker: ARCC Security ID: 04010L103

Meeting Date: APR 29, 2015 Meeting Type: Annual

Record Date: MAR 04, 2015

| #   | Proposal                         | Mgt Rec | Vote Cast | Sponsor    |
|-----|----------------------------------|---------|-----------|------------|
| 1.1 | Elect Director Steve Bartlett    | For     | For       | Management |
| 1.2 | Elect Director Robert L. Rosen   | For     | For       | Management |
| 1.3 | Elect Director Bennett Rosenthal | For     | For       | Management |
| 2   | Ratify KPMG LLP as Auditors      | For     | For       | Management |

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AT&T INC.

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Ticker: T Security ID: 00206R102

Meeting Date: APR 24, 2015 Meeting Type: Annual

Record Date: FEB 25, 2015

| #    | Proposal                                                          | Mgt Rec | Vote Cast | Sponsor     |
|------|-------------------------------------------------------------------|---------|-----------|-------------|
| 1.1  | Elect Director Randall L. Stephenson                              | For     | For       | Management  |
| 1.2  | Elect Director Scott T. Ford                                      | For     | For       | Management  |
| 1.3  | Elect Director Glenn H. Hutchins                                  | For     | For       | Management  |
| 1.4  | Elect Director William E. Kennard                                 | For     | For       | Management  |
| 1.5  | Elect Director Jon C. Madonna                                     | For     | For       | Management  |
| 1.6  | Elect Director Michael B. McCallister                             | For     | For       | Management  |
| 1.7  | Elect Director John B. McCoy                                      | For     | For       | Management  |
| 1.8  | Elect Director Beth E. Mooney                                     | For     | For       | Management  |
| 1.9  | Elect Director Joyce M. Roche                                     | For     | For       | Management  |
| 1.10 | Elect Director Matthew K. Rose                                    | For     | For       | Management  |
| 1.11 | Elect Director Cynthia B. Taylor                                  | For     | For       | Management  |
| 1.12 | Elect Director Laura D'Andrea Tyson                               | For     | For       | Management  |
| 2    | Ratify Ernst & Young LLP as Auditors                              | For     | For       | Management  |
| 3    | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | Against   | Management  |
| 4    | Report on Indirect Political<br>Contribution                      | Against | Against   | Shareholder |
| 5    | Report on Lobbying Payments and Policy                            | Against | For       | Shareholder |
| 6    | Amend Bylaws to Call Special Meetings                             | Against | For       | Shareholder |

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AUTOMATIC DATA PROCESSING, INC.

Ticker: ADP Security ID: 053015103

Meeting Date: NOV 11, 2014 Meeting Type: Annual

Record Date: SEP 12, 2014

| #   | Proposal                                                          | Mgt Rec | Vote Cast | Sponsor    |
|-----|-------------------------------------------------------------------|---------|-----------|------------|
| 1.1 | Elect Director Ellen R. Alemany                                   | For     | For       | Management |
| 1.2 | Elect Director Leslie A. Brun                                     | For     | For       | Management |
| 1.3 | Elect Director Richard T. Clark                                   | For     | For       | Management |
| 1.4 | Elect Director Eric C. Fast                                       | For     | For       | Management |
| 1.5 | Elect Director Linda R. Gooden                                    | For     | For       | Management |
| 1.6 | Elect Director Michael P. Gregoire                                | For     | For       | Management |
| 1.7 | Elect Director R. Glenn Hubbard                                   | For     | For       | Management |
| 1.8 | Elect Director John P. Jones                                      | For     | For       | Management |
| 1.9 | Elect Director Carlos A. Rodriguez                                | For     | For       | Management |
| 2   | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For       | Management |
| 3   | Ratify Auditors                                                   | For     | For       | Management |

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BALL CORPORATION

Ticker: BLL Security ID: 058498106

Meeting Date: APR 29, 2015 Meeting Type: Annual

Record Date: MAR 02, 2015

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| #   | Proposal                                                          | Mgt Rec | Vote Cast | Sponsor    |
|-----|-------------------------------------------------------------------|---------|-----------|------------|
| 1.1 | Elect Director Robert W. Alspaugh                                 | For     | For       | Management |
| 1.2 | Elect Director Michael J. Cave                                    | For     | For       | Management |
| 1.3 | Elect Director R. David Hoover                                    | For     | For       | Management |
| 2   | Ratify PricewaterhouseCoopers LLP as<br>Auditors                  | For     | For       | Management |
| 3   | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For       | Management |
| 4   | Adopt Majority Voting for Uncontested<br>Election of Directors    | For     | For       | Management |

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BANK OF MONTREAL

Ticker: BMO Security ID: 063671101

Meeting Date: MAR 31, 2015 Meeting Type: Annual

Record Date: JAN 30, 2015

| #   | Proposal                            | Mgt Rec | Vote Cast | Sponsor    |
|-----|-------------------------------------|---------|-----------|------------|
| 1.1 | Elect Director Janice M. Babiak     | For     | For       | Management |
| 1.2 | Elect Director Sophie Brochu        | For     | For       | Management |
| 1.3 | Elect Director George A. Cope       | For     | For       | Management |
| 1.4 | Elect Director William A. Downe     | For     | For       | Management |
| 1.5 | Elect Director Christine A. Edwards | For     | For       | Management |
| 1.6 | Elect Director Martin S. Eichenbaum | For     | For       | Management |

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|      |                                                                                                                                                                 |         |         |             |
|------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------|---------|---------|-------------|
| 1.7  | Elect Director Ronald H. Farmer                                                                                                                                 | For     | For     | Management  |
| 1.8  | Elect Director Eric R. La Fleche                                                                                                                                | For     | For     | Management  |
| 1.9  | Elect Director Lorraine Mitchelmore                                                                                                                             | For     | For     | Management  |
| 1.10 | Elect Director Philip S. Orsino                                                                                                                                 | For     | For     | Management  |
| 1.11 | Elect Director Martha C. Piper                                                                                                                                  | For     | For     | Management  |
| 1.12 | Elect Director J. Robert S. Prichard                                                                                                                            | For     | For     | Management  |
| 1.13 | Elect Director Don M. Wilson III                                                                                                                                | For     | For     | Management  |
| 2    | Ratify KPMG LLP as Auditors                                                                                                                                     | For     | For     | Management  |
| 3    | Advisory Vote on Executive<br>Compensation Approach                                                                                                             | For     | For     | Management  |
| 4    | SP 1: Implement a Policy Regarding the<br>Compensation of its Executives that<br>Provides for the Use of the Equity<br>Ratio as a Compensation Benchmark        | Against | Against | Shareholder |
| 5    | SP 2: Abolish Stock Options as a Means<br>of Compensation and Replace Them With<br>a Form of Compensation Focused on the<br>Institution's Long Term Performance | Against | Against | Shareholder |
| 6    | SP 3: Adopt Policy in Order to Avoid<br>Being Sued Again for Abusive Business<br>and Pricing Practices within the<br>Credit Card Market                         | Against | Against | Shareholder |

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BECTON, DICKINSON AND COMPANY

## Edgar Filing: TRI-CONTINENTAL CORP - Form N-PX

Ticker:           BDX                           Security ID: 075887109

Meeting Date: JAN 27, 2015   Meeting Type: Annual

Record Date: DEC 09, 2014

| #    | Proposal                                                          | Mgt Rec | Vote Cast | Sponsor     |
|------|-------------------------------------------------------------------|---------|-----------|-------------|
| 1.1  | Elect Director Basil L. Anderson                                  | For     | For       | Management  |
| 1.2  | Elect Director Henry P. Becton, Jr.                               | For     | For       | Management  |
| 1.3  | Elect Director Catherine M. Burzik                                | For     | For       | Management  |
| 1.4  | Elect Director Edward F. DeGraan                                  | For     | For       | Management  |
| 1.5  | Elect Director Vincent A. Forlenza                                | For     | For       | Management  |
| 1.6  | Elect Director Claire M. Fraser                                   | For     | For       | Management  |
| 1.7  | Elect Director Christopher Jones                                  | For     | For       | Management  |
| 1.8  | Elect Director Marshall O. Larsen                                 | For     | For       | Management  |
| 1.9  | Elect Director Gary A. Mecklenburg                                | For     | For       | Management  |
| 1.10 | Elect Director James F. Orr                                       | For     | For       | Management  |
| 1.11 | Elect Director Willard J. Overlock, Jr.                           | For     | For       | Management  |
| 1.12 | Elect Director Claire Pomeroy                                     | For     | For       | Management  |
| 1.13 | Elect Director Rebecca W. Rimel                                   | For     | For       | Management  |
| 1.14 | Elect Director Bertram L. Scott                                   | For     | For       | Management  |
| 2    | Ratify Auditors                                                   | For     | For       | Management  |
| 3    | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For       | Management  |
| 4    | Report on Animal Testing and Plans for<br>Improving Welfare       | Against | Abstain   | Shareholder |

Edgar Filing: TRI-CONTINENTAL CORP - Form N-PX

BEST BUY CO., INC.

Ticker: BBY Security ID: 086516101

Meeting Date: JUN 09, 2015 Meeting Type: Annual

Record Date: APR 13, 2015

| #  | Proposal                                                          | Mgt Rec | Vote Cast | Sponsor    |
|----|-------------------------------------------------------------------|---------|-----------|------------|
| 1a | Elect Director Bradbury H. Anderson                               | For     | For       | Management |
| 1b | Elect Director Lisa M. Caputo                                     | For     | For       | Management |
| 1c | Elect Director J. Patrick Doyle                                   | For     | For       | Management |
| 1d | Elect Director Russell P. Fradin                                  | For     | For       | Management |
| 1e | Elect Director Kathy J. Higgins Victor                            | For     | For       | Management |
| 1f | Elect Director Hubert Joly                                        | For     | For       | Management |
| 1g | Elect Director David W. Kenny                                     | For     | For       | Management |
| 1h | Elect Director Thomas L. 'Tommy'<br>Millner                       | For     | For       | Management |
| 1i | Elect Director Gerard R. Vittecoq                                 | For     | For       | Management |
| 2  | Ratify Deloitte & Touche LLP as<br>Auditors                       | For     | For       | Management |
| 3  | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For       | Management |

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BIOGEN INC.

Ticker: BIIB Security ID: 09062X103

## Edgar Filing: TRI-CONTINENTAL CORP - Form N-PX

Meeting Date: JUN 10, 2015 Meeting Type: Annual

Record Date: APR 15, 2015

| #    | Proposal                                                          | Mgt Rec | Vote Cast | Sponsor    |
|------|-------------------------------------------------------------------|---------|-----------|------------|
| 1.1  | Elect Director Alexander J. Denner                                | For     | For       | Management |
| 1.2  | Elect Director Caroline D. Dorsa                                  | For     | For       | Management |
| 1.3  | Elect Director Nancy L. Leaming                                   | For     | For       | Management |
| 1.4  | Elect Director Richard C. Mulligan                                | For     | For       | Management |
| 1.5  | Elect Director Robert W. Pangia                                   | For     | For       | Management |
| 1.6  | Elect Director Stelios Papadopoulos                               | For     | For       | Management |
| 1.7  | Elect Director Brian S. Posner                                    | For     | For       | Management |
| 1.8  | Elect Director Eric K. Rowinsky                                   | For     | For       | Management |
| 1.9  | Elect Director George A. Scangos                                  | For     | For       | Management |
| 1.10 | Elect Director Lynn Schenk                                        | For     | For       | Management |
| 1.11 | Elect Director Stephen A. Sherwin                                 | For     | For       | Management |
| 2    | Ratify PricewaterhouseCoopers LLP as<br>Auditors                  | For     | For       | Management |
| 3    | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For       | Management |
| 4    | Approve Qualified Employee Stock<br>Purchase Plan                 | For     | For       | Management |
| 5    | Amend Non-Employee Director Omnibus<br>Stock Plan                 | For     | For       | Management |

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BIOMARIN PHARMACEUTICAL INC.

## Edgar Filing: TRI-CONTINENTAL CORP - Form N-PX

Ticker: BMRN Security ID: 09061G101

Meeting Date: JUN 09, 2015 Meeting Type: Annual

Record Date: APR 10, 2015

| #    | Proposal                                                          | Mgt Rec | Vote Cast | Sponsor     |
|------|-------------------------------------------------------------------|---------|-----------|-------------|
| 1.1  | Elect Director Jean-Jacques Bienaime                              | For     | For       | Management  |
| 1.2  | Elect Director Michael Grey                                       | For     | For       | Management  |
| 1.3  | Elect Director Elaine J. Heron                                    | For     | For       | Management  |
| 1.4  | Elect Director Pierre Lapalme                                     | For     | For       | Management  |
| 1.5  | Elect Director V. Bryan Lawlis                                    | For     | For       | Management  |
| 1.6  | Elect Director Richard A. Meier                                   | For     | For       | Management  |
| 1.7  | Elect Director Alan J. Lewis                                      | For     | For       | Management  |
| 1.8  | Elect Director William D. Young                                   | For     | For       | Management  |
| 1.9  | Elect Director Kenneth M. Bate                                    | For     | For       | Management  |
| 1.10 | Elect Director Dennis J. Slamon                                   | For     | For       | Management  |
| 2    | Amend Omnibus Stock Plan                                          | For     | For       | Management  |
| 3    | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For       | Management  |
| 4    | Ratify KPMG LLP as Auditors                                       | For     | For       | Management  |
| 5    | Report on Sustainability                                          | Against | Abstain   | Shareholder |

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BLACKROCK, INC.

Ticker: BLK Security ID: 09247X101

## Edgar Filing: TRI-CONTINENTAL CORP - Form N-PX

Meeting Date: MAY 28, 2015 Meeting Type: Annual

Record Date: APR 01, 2015

| #  | Proposal                                                          | Mgt Rec | Vote Cast | Sponsor     |
|----|-------------------------------------------------------------------|---------|-----------|-------------|
| 1a | Elect Director Abdlatif Yousef Al-Hamad                           | For     | For       | Management  |
| 1b | Elect Director Mathis Cabiallavetta                               | For     | For       | Management  |
| 1c | Elect Director Pamela Daley                                       | For     | For       | Management  |
| 1d | Elect Director William S. Demchak                                 | For     | For       | Management  |
| 1e | Elect Director Jessica P. Einhorn                                 | For     | For       | Management  |
| 1f | Elect Director Laurence D. Fink                                   | For     | For       | Management  |
| 1g | Elect Director Fabrizio Freda                                     | For     | For       | Management  |
| 1h | Elect Director Murry S. Gerber                                    | For     | For       | Management  |
| 1i | Elect Director James Grosfeld                                     | For     | For       | Management  |
| 1j | Elect Director Robert S. Kapito                                   | For     | For       | Management  |
| 1k | Elect Director David H. Komansky                                  | For     | For       | Management  |
| 1l | Elect Director Sir Deryck Maughan                                 | For     | For       | Management  |
| 1m | Elect Director Cheryl D. Mills                                    | For     | For       | Management  |
| 1n | Elect Director Thomas H. O'Brien                                  | For     | For       | Management  |
| 1o | Elect Director Ivan G. Seidenberg                                 | For     | For       | Management  |
| 1p | Elect Director Marco Antonio Slim Domit                           | For     | For       | Management  |
| 1q | Elect Director John S. Varley                                     | For     | For       | Management  |
| 1r | Elect Director Susan L. Wagner                                    | For     | For       | Management  |
| 2  | Amend Omnibus Stock Plan                                          | For     | For       | Management  |
| 3  | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For       | Management  |
| 4  | Ratify Deloitte & Touche LLP as<br>Auditors                       | For     | For       | Management  |
| 5  | Institute Procedures to Prevent                                   | Against | Abstain   | Shareholder |



## Edgar Filing: TRI-CONTINENTAL CORP - Form N-PX

Investments in Companies that  
 Contribute to Genocide or Crimes  
 Against Humanity

6 Report on Lobbying Payments and Policy Against Against Shareholder

BP PLC

Ticker: BP. Security ID: 055622104

Meeting Date: APR 16, 2015 Meeting Type: Annual

Record Date: FEB 20, 2015

| #  | Proposal                                          | Mgt Rec | Vote Cast | Sponsor    |
|----|---------------------------------------------------|---------|-----------|------------|
| 1  | Accept Financial Statements and Statutory Reports | For     | For       | Management |
| 2  | Approve Remuneration Report                       | For     | Against   | Management |
| 3  | Re-elect Bob Dudley as Director                   | For     | For       | Management |
| 4  | Re-elect Dr Brian Gilvary as Director             | For     | For       | Management |
| 5  | Re-elect Paul Anderson as Director                | For     | For       | Management |
| 6  | Elect Alan Boeckmann as Director                  | For     | For       | Management |
| 7  | Re-elect Frank Bowman as Director                 | For     | For       | Management |
| 8  | Re-elect Antony Burgmans as Director              | For     | For       | Management |
| 9  | Re-elect Cynthia Carroll as Director              | For     | For       | Management |
| 10 | Re-elect Ian Davis as Director                    | For     | For       | Management |
| 11 | Re-elect Dame Ann Dowling as Director             | For     | For       | Management |
| 12 | Re-elect Brendan Nelson as Director               | For     | For       | Management |

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|    |                                                                                |     |          |             |
|----|--------------------------------------------------------------------------------|-----|----------|-------------|
| 13 | Re-elect Phuthuma Nhleko as Director                                           | For | For      | Management  |
| 14 | Re-elect Andrew Shilston as Director                                           | For | For      | Management  |
| 15 | Re-elect Carl-Henric Svanberg as<br>Director                                   | For | For      | Management  |
| 16 | Reappoint Ernst & Young LLP as<br>Auditors and Authorise Their<br>Remuneration | For | For      | Management  |
| 17 | Authorise the Renewal of the Scrip<br>Dividend Programme                       | For | For      | Management  |
| 18 | Approve Share Award Plan 2015                                                  | For | For      | Management  |
| 19 | Authorise EU Political Donations and<br>Expenditure                            | For | For      | Management  |
| 20 | Authorise Issue of Equity with<br>Pre-emptive Rights                           | For | For      | Management  |
| 21 | Authorise Issue of Equity without<br>Pre-emptive Rights                        | For | For      | Management  |
| 22 | Authorise Market Purchase of Ordinary<br>Shares                                | For | For      | Management  |
| 23 | Adopt New Articles of Association                                              | For | For      | Management  |
| 24 | Authorise the Company to Call EGM with<br>Two Weeks' Notice                    | For | Against  | Management  |
| 25 | Approve Strategic Climate Change<br>Resilience for 2035 and Beyond             | For | Withhold | Shareholder |

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BROADCOM CORPORATION

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Ticker: BRCM Security ID: 111320107

Meeting Date: MAY 12, 2015 Meeting Type: Annual

Record Date: MAR 16, 2015

| #  | Proposal                                                          | Mgt Rec | Vote Cast | Sponsor    |
|----|-------------------------------------------------------------------|---------|-----------|------------|
| 1a | Elect Director Robert J. Finocchio, Jr.                           | For     | For       | Management |
| 1b | Elect Director Nancy H. Handel                                    | For     | For       | Management |
| 1c | Elect Director Eddy W. Hartenstein                                | For     | For       | Management |
| 1d | Elect Director Maria M. Klawe                                     | For     | For       | Management |
| 1e | Elect Director John E. Major                                      | For     | For       | Management |
| 1f | Elect Director Scott A. McGregor                                  | For     | For       | Management |
| 1g | Elect Director William T. Morrow                                  | For     | For       | Management |
| 1h | Elect Director Henry Samueli                                      | For     | For       | Management |
| 1i | Elect Director Robert E. Switz                                    | For     | For       | Management |
| 2  | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | Against   | Management |
| 3  | Ratify KPMG LLP as Auditors                                       | For     | For       | Management |

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C. R. BARD, INC.

Ticker: BCR Security ID: 067383109

Meeting Date: APR 15, 2015 Meeting Type: Annual

Record Date: FEB 23, 2015

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| #    | Proposal                                                          | Mgt Rec | Vote Cast | Sponsor     |
|------|-------------------------------------------------------------------|---------|-----------|-------------|
| 1.1  | Elect Director David M. Barrett                                   | For     | For       | Management  |
| 1.2  | Elect Director Marc C. Breslawsky                                 | For     | For       | Management  |
| 1.3  | Elect Director Herbert L. Henkel                                  | For     | For       | Management  |
| 1.4  | Elect Director John C. Kelly                                      | For     | For       | Management  |
| 1.5  | Elect Director David F. Melcher                                   | For     | For       | Management  |
| 1.6  | Elect Director Gail K. Naughton                                   | For     | For       | Management  |
| 1.7  | Elect Director Timothy M. Ring                                    | For     | For       | Management  |
| 1.8  | Elect Director Tommy G. Thompson                                  | For     | For       | Management  |
| 1.9  | Elect Director John H. Weiland                                    | For     | For       | Management  |
| 1.10 | Elect Director Anthony Welters                                    | For     | For       | Management  |
| 1.11 | Elect Director Tony L. White                                      | For     | For       | Management  |
| 2    | Ratify KPMG LLP as Auditors                                       | For     | For       | Management  |
| 3    | Amend Omnibus Stock Plan                                          | For     | For       | Management  |
| 4    | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For       | Management  |
| 5    | Report on Sustainability, Including<br>GHG Goals                  | Against | Abstain   | Shareholder |
| 6    | Require Independent Board Chairman                                | Against | For       | Shareholder |

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C.H. ROBINSON WORLDWIDE, INC.

Ticker:            CHRW            Security ID: 12541W209

Meeting Date: MAY 07, 2015    Meeting Type: Annual

Record Date:   MAR 11, 2015

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| #  | Proposal                                                          | Mgt Rec | Vote Cast | Sponsor    |
|----|-------------------------------------------------------------------|---------|-----------|------------|
| 1a | Elect Director Scott P. Anderson                                  | For     | For       | Management |
| 1b | Elect Director Robert Ezrilov                                     | For     | For       | Management |
| 1c | Elect Director Wayne M. Fortun                                    | For     | For       | Management |
| 1d | Elect Director Mary J. Steele Guilfoile                           | For     | For       | Management |
| 1e | Elect Director Jodee A. Kozlak                                    | For     | For       | Management |
| 1f | Elect Director ReBecca Koenig Roloff                              | For     | For       | Management |
| 1g | Elect Director Brian P. Short                                     | For     | Against   | Management |
| 1h | Elect Director James B. Stake                                     | For     | For       | Management |
| 1i | Elect Director John P. Wiehoff                                    | For     | For       | Management |
| 2  | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | Against   | Management |
| 3  | Approve Executive Incentive Bonus Plan                            | For     | For       | Management |
| 4  | Ratify Deloitte & Touche LLP as<br>Auditors                       | For     | For       | Management |

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CALIFORNIA RESOURCES CORPORATION

Ticker: CRC Security ID: 13057Q107

Meeting Date: MAY 07, 2015 Meeting Type: Annual

Record Date: MAR 10, 2015

| #   | Proposal                        | Mgt Rec | Vote Cast | Sponsor    |
|-----|---------------------------------|---------|-----------|------------|
| 1.1 | Elect Director Justin A. Gannon | For     | For       | Management |

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|     |                                                                   |          |          |            |
|-----|-------------------------------------------------------------------|----------|----------|------------|
| 1.2 | Elect Director Avedick B. Poladian                                | For      | For      | Management |
| 1.3 | Elect Director Timothy J. Sloan                                   | For      | For      | Management |
| 2   | Ratify KPMG LLP as Auditors                                       | For      | For      | Management |
| 3   | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For      | For      | Management |
| 4   | Advisory Vote on Say on Pay Frequency                             | One Year | One Year | Management |

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### CAPITAL ONE FINANCIAL CORPORATION

Ticker: COF                      Security ID: 14040H105

Meeting Date: APR 30, 2015    Meeting Type: Annual

Record Date: MAR 05, 2015

| #    | Proposal                                | Mgt Rec | Vote Cast | Sponsor    |
|------|-----------------------------------------|---------|-----------|------------|
| 1.1a | Elect Director Richard D. Fairbank      | For     | For       | Management |
| 1.1b | Elect Director Patrick W. Gross         | For     | For       | Management |
| 1.1c | Elect Director Ann Fritz Hackett        | For     | For       | Management |
| 1.1d | Elect Director Lewis Hay, III           | For     | For       | Management |
| 1.1e | Elect Director Benjamin P. Jenkins, III | For     | For       | Management |
| 1.1f | Elect Director Pierre E. Leroy          | For     | For       | Management |
| 1.1g | Elect Director Peter E. Raskind         | For     | For       | Management |
| 1.1h | Elect Director Mayo A. Shattuck, III    | For     | For       | Management |
| 1.1i | Elect Director Bradford H. Warner       | For     | For       | Management |
| 1.1j | Elect Director Catherine G. West        | For     | For       | Management |
| 2    | Ratify Ernst & Young LLP as Auditors    | For     | For       | Management |

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|   |                                                                   |         |         |             |
|---|-------------------------------------------------------------------|---------|---------|-------------|
| 3 | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For     | Management  |
| 4 | Provide Right to Call Special Meeting                             | For     | For     | Management  |
| 5 | Amend Bylaws-- Call Special Meetings                              | Against | Against | Shareholder |

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CARDINAL HEALTH, INC.

Ticker: CAH Security ID: 14149Y108

Meeting Date: NOV 05, 2014 Meeting Type: Annual

Record Date: SEP 10, 2014

| #    | Proposal                                     | Mgt Rec | Vote Cast | Sponsor    |
|------|----------------------------------------------|---------|-----------|------------|
| 1.1  | Elect Director David J. Anderson             | For     | For       | Management |
| 1.2  | Elect Director Colleen F. Arnold             | For     | For       | Management |
| 1.3  | Elect Director George S. Barrett             | For     | For       | Management |
| 1.4  | Elect Director Carrie S. Cox                 | For     | For       | Management |
| 1.5  | Elect Director Calvin Darden                 | For     | For       | Management |
| 1.6  | Elect Director Bruce L. Downey               | For     | For       | Management |
| 1.7  | Elect Director Patricia A. Hemingway<br>Hall | For     | For       | Management |
| 1.8  | Elect Director Clayton M. Jones              | For     | For       | Management |
| 1.9  | Elect Director Gregory B. Kenny              | For     | For       | Management |
| 1.10 | Elect Director David P. King                 | For     | For       | Management |
| 1.11 | Elect Director Richard C. Notebaert          | For     | For       | Management |
| 2    | Ratify Auditors                              | For     | For       | Management |

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|   |                                                                   |         |     |             |
|---|-------------------------------------------------------------------|---------|-----|-------------|
| 3 | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For | Management  |
| 4 | Amend Executive Incentive Bonus Plan                              | For     | For | Management  |
| 5 | Report on Political Contributions                                 | Against | For | Shareholder |

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CATERPILLAR INC.

Ticker:           CAT                   Security ID: 149123101

Meeting Date: JUN 10, 2015   Meeting Type: Annual

Record Date:   APR 13, 2015

| #    | Proposal                             | Mgt Rec | Vote Cast | Sponsor    |
|------|--------------------------------------|---------|-----------|------------|
| 1.1  | Elect Director David L. Calhoun      | For     | For       | Management |
| 1.2  | Elect Director Daniel M. Dickinson   | For     | For       | Management |
| 1.3  | Elect Director Juan Gallardo         | For     | For       | Management |
| 1.4  | Elect Director Jesse J. Greene, Jr.  | For     | For       | Management |
| 1.5  | Elect Director Jon M. Huntsman, Jr.  | For     | For       | Management |
| 1.6  | Elect Director Dennis A. Muilenburg  | For     | For       | Management |
| 1.7  | Elect Director Douglas R. Oberhelman | For     | For       | Management |
| 1.8  | Elect Director William A. Osborn     | For     | For       | Management |
| 1.9  | Elect Director Debra L. Reed         | For     | For       | Management |
| 1.10 | Elect Director Edward B. Rust, Jr.   | For     | For       | Management |
| 1.11 | Elect Director Susan C. Schwab       | For     | For       | Management |
| 1.12 | Elect Director Miles D. White        | For     | For       | Management |
| 2    | Ratify PricewaterhouseCoopers LLP as | For     | For       | Management |



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Auditors

|   |                                         |         |         |             |
|---|-----------------------------------------|---------|---------|-------------|
| 3 | Advisory Vote to Ratify Named           | For     | Against | Management  |
|   | Executive Officers' Compensation        |         |         |             |
| 4 | Require Independent Board Chairman      | Against | For     | Shareholder |
| 5 | Provide Right to Act by Written Consent | Against | For     | Shareholder |
| 6 | Review and Amend Human Rights Policies  | Against | Abstain | Shareholder |
| 7 | Amend Policies to Allow Employees to    | Against | Abstain | Shareholder |
|   | Participate in Political Process with   |         |         |             |
|   | No Retribution                          |         |         |             |

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CELGENE CORPORATION

Ticker: CELG Security ID: 151020104

Meeting Date: JUN 17, 2015 Meeting Type: Annual

Record Date: APR 20, 2015

| #   | Proposal                           | Mgt Rec | Vote Cast | Sponsor    |
|-----|------------------------------------|---------|-----------|------------|
| 1.1 | Elect Director Robert J. Hugin     | For     | For       | Management |
| 1.2 | Elect Director Richard W. Barker   | For     | For       | Management |
| 1.3 | Elect Director Michael W. Bonney   | For     | For       | Management |
| 1.4 | Elect Director Michael D. Casey    | For     | For       | Management |
| 1.5 | Elect Director Carrie S. Cox       | For     | For       | Management |
| 1.6 | Elect Director Michael A. Friedman | For     | For       | Management |
| 1.7 | Elect Director Gilla Kaplan        | For     | For       | Management |
| 1.8 | Elect Director James J. Loughlin   | For     | For       | Management |

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|     |                                                                   |         |          |             |
|-----|-------------------------------------------------------------------|---------|----------|-------------|
| 1.9 | Elect Director Ernest Mario                                       | For     | Withhold | Management  |
| 2   | Ratify KPMG LLP as Auditors                                       | For     | For      | Management  |
| 3   | Amend Omnibus Stock Plan                                          | For     | For      | Management  |
| 4   | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For      | Management  |
| 5   | Report on Specialty Drug Pricing Risks                            | Against | Abstain  | Shareholder |

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CENTURYLINK, INC.

Ticker: CTL Security ID: 156700106

Meeting Date: MAY 20, 2015 Meeting Type: Annual

Record Date: APR 01, 2015

| #    | Proposal                           | Mgt Rec | Vote Cast | Sponsor    |
|------|------------------------------------|---------|-----------|------------|
| 1.1  | Elect Director Virginia Boulet     | For     | For       | Management |
| 1.2  | Elect Director Peter C. Brown      | For     | For       | Management |
| 1.3  | Elect Director Richard A. Gephardt | For     | Withhold  | Management |
| 1.4  | Elect Director W. Bruce Hanks      | For     | For       | Management |
| 1.5  | Elect Director Gregory J. McCray   | For     | For       | Management |
| 1.6  | Elect Director C.G. Melville, Jr.  | For     | For       | Management |
| 1.7  | Elect Director William A. Owens    | For     | For       | Management |
| 1.8  | Elect Director Harvey P. Perry     | For     | For       | Management |
| 1.9  | Elect Director Glen F. Post, III   | For     | For       | Management |
| 1.10 | Elect Director Michael J. Roberts  | For     | For       | Management |
| 1.11 | Elect Director Laurie A. Siegel    | For     | For       | Management |

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|      |                                                                   |         |         |             |
|------|-------------------------------------------------------------------|---------|---------|-------------|
| 1.12 | Elect Director Joseph R. Zimmel                                   | For     | For     | Management  |
| 2    | Ratify KPMG LLP as Auditors                                       | For     | For     | Management  |
| 3    | Approve Executive Incentive Bonus Plan                            | For     | For     | Management  |
| 4    | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For     | Management  |
| 5    | Stock Retention/Holding Period                                    | Against | Against | Shareholder |

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CHEVRON CORPORATION

Ticker: CVX Security ID: 166764100

Meeting Date: MAY 27, 2015 Meeting Type: Annual

Record Date: APR 01, 2015

| #  | Proposal                                     | Mgt Rec | Vote Cast | Sponsor    |
|----|----------------------------------------------|---------|-----------|------------|
| 1a | Elect Director Alexander B. Cummings,<br>Jr. | For     | For       | Management |
| 1b | Elect Director Linnet F. Deily               | For     | For       | Management |
| 1c | Elect Director Robert E. Denham              | For     | For       | Management |
| 1d | Elect Director Alice P. Gast                 | For     | For       | Management |
| 1e | Elect Director Enrique Hernandez, Jr.        | For     | For       | Management |
| 1f | Elect Director Jon M. Huntsman, Jr.          | For     | For       | Management |
| 1g | Elect Director Charles W. Moorman, IV        | For     | For       | Management |
| 1h | Elect Director John G. Stumpf                | For     | For       | Management |
| 1i | Elect Director Ronald D. Sugar               | For     | For       | Management |
| 1j | Elect Director Inge G. Thulin                | For     | For       | Management |

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|    |                                                                                   |         |         |             |
|----|-----------------------------------------------------------------------------------|---------|---------|-------------|
| 1k | Elect Director Carl Ware                                                          | For     | For     | Management  |
| 11 | Elect Director John S. Watson                                                     | For     | For     | Management  |
| 2  | Ratify PricewaterhouseCoopers LLP as<br>Auditors                                  | For     | For     | Management  |
| 3  | Advisory Vote to Ratify Named<br>Executive Officers' Compensation                 | For     | For     | Management  |
| 4  | Report on Charitable Contributions                                                | Against | Abstain | Shareholder |
| 5  | Report on Lobbying Payments and Policy                                            | Against | For     | Shareholder |
| 6  | Prohibit Political Spending                                                       | Against | Against | Shareholder |
| 7  | Increase Return of Capital to<br>Shareholders in Light of Climate<br>Change Risks | Against | Against | Shareholder |
| 8  | Adopt Quantitative GHG Goals for<br>Products and Operations                       | Against | Abstain | Shareholder |
| 9  | Report on the Result of Efforts to<br>Minimize Hydraulic Fracturing Impacts       | Against | Abstain | Shareholder |
| 10 | Proxy Access                                                                      | Against | For     | Shareholder |
| 11 | Require Independent Board Chairman                                                | Against | For     | Shareholder |
| 12 | Require Director Nominee with<br>Environmental Experience                         | Against | Abstain | Shareholder |
| 13 | Amend Bylaws -- Call Special Meetings                                             | Against | Against | Shareholder |

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CINEMARK HOLDINGS, INC.

Ticker: CNK Security ID: 17243V102

## Edgar Filing: TRI-CONTINENTAL CORP - Form N-PX

Meeting Date: JUN 04, 2015 Meeting Type: Annual

Record Date: APR 17, 2015

| #   | Proposal                                                          | Mgt Rec | Vote Cast | Sponsor    |
|-----|-------------------------------------------------------------------|---------|-----------|------------|
| 1.1 | Elect Director Carlos M. Sepulveda                                | For     | For       | Management |
| 1.2 | Elect Director Tim Warner                                         | For     | For       | Management |
| 2   | Ratify Deloitte & Touche LLP as<br>Auditors                       | For     | For       | Management |
| 3   | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For       | Management |

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CISCO SYSTEMS, INC.

Ticker: CSCO Security ID: 17275R102

Meeting Date: NOV 20, 2014 Meeting Type: Annual

Record Date: SEP 22, 2014

| #  | Proposal                           | Mgt Rec | Vote Cast | Sponsor    |
|----|------------------------------------|---------|-----------|------------|
| 1a | Elect Director Carol A. Bartz      | For     | For       | Management |
| 1b | Elect Director M. Michele Burns    | For     | For       | Management |
| 1c | Elect Director Michael D. Capellas | For     | For       | Management |
| 1d | Elect Director John T. Chambers    | For     | For       | Management |
| 1e | Elect Director Brian L. Halla      | For     | For       | Management |
| 1f | Elect Director John L. Hennessy    | For     | Against   | Management |
| 1g | Elect Director Kristina M. Johnson | For     | For       | Management |

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|    |                                                                   |         |         |             |
|----|-------------------------------------------------------------------|---------|---------|-------------|
| 1h | Elect Director Roderick C. McGeary                                | For     | For     | Management  |
| 1i | Elect Director Arun Sarin                                         | For     | For     | Management  |
| 1j | Elect Director Steven M. West                                     | For     | For     | Management  |
| 2  | Amend Qualified Employee Stock<br>Purchase Plan                   | For     | For     | Management  |
| 3  | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For     | Management  |
| 4  | Ratify Auditors                                                   | For     | For     | Management  |
| 5  | Establish Public Policy Board Committee                           | Against | Abstain | Shareholder |
| 6  | Adopt Proxy Access Right                                          | Against | Against | Shareholder |
| 7  | Report on Political Contributions                                 | Against | For     | Shareholder |

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CITIGROUP INC.

Ticker: C Security ID: 172967424

Meeting Date: APR 28, 2015 Meeting Type: Annual

Record Date: FEB 27, 2015

| #  | Proposal                          | Mgt Rec | Vote Cast | Sponsor    |
|----|-----------------------------------|---------|-----------|------------|
| 1a | Elect Director Michael L. Corbat  | For     | For       | Management |
| 1b | Elect Director Duncan P. Hennes   | For     | For       | Management |
| 1c | Elect Director Peter B. Henry     | For     | For       | Management |
| 1d | Elect Director Franz B. Humer     | For     | For       | Management |
| 1e | Elect Director Michael E. O'Neill | For     | For       | Management |
| 1f | Elect Director Gary M. Reiner     | For     | For       | Management |

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|    |                                                                   |         |         |             |
|----|-------------------------------------------------------------------|---------|---------|-------------|
| 1g | Elect Director Judith Rodin                                       | For     | For     | Management  |
| 1h | Elect Director Anthony M. Santomero                               | For     | For     | Management  |
| 1i | Elect Director Joan E. Spero                                      | For     | For     | Management  |
| 1j | Elect Director Diana L. Taylor                                    | For     | For     | Management  |
| 1k | Elect Director William S. Thompson, Jr.                           | For     | For     | Management  |
| 1l | Elect Director James S. Turley                                    | For     | For     | Management  |
| 1m | Elect Director Ernesto Zedillo Ponce<br>de Leon                   | For     | For     | Management  |
| 2  | Ratify KPMG LLP as Auditors                                       | For     | For     | Management  |
| 3  | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | Against | Management  |
| 4  | Amend Omnibus Stock Plan                                          | For     | For     | Management  |
| 5  | Adopt Proxy Access Right                                          | For     | For     | Shareholder |
| 6  | Report on Lobbying Payments and Policy                            | Against | For     | Shareholder |
| 7  | Claw-back of Payments under<br>Restatements                       | Against | Against | Shareholder |
| 8  | Limits for Directors Involved with<br>Bankruptcy                  | Against | Against | Shareholder |
| 9  | Report on Certain Vesting Program                                 | Against | Against | Shareholder |

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COLONY CAPITAL, INC.

Ticker: CLNY Security ID: 19624R106

Meeting Date: MAY 06, 2015 Meeting Type: Annual

Record Date: MAR 27, 2015

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| #   | Proposal                                                          | Mgt Rec | Vote Cast | Sponsor    |
|-----|-------------------------------------------------------------------|---------|-----------|------------|
| 1.1 | Elect Director Thomas J. Barrack, Jr.                             | For     | For       | Management |
| 1.2 | Elect Director Richard B. Saltzman                                | For     | For       | Management |
| 1.3 | Elect Director George G. C. Parker                                | For     | For       | Management |
| 1.4 | Elect Director John A. Somers                                     | For     | For       | Management |
| 1.5 | Elect Director John L. Steffens                                   | For     | For       | Management |
| 1.6 | Elect Director Nancy A. Curtin                                    | For     | For       | Management |
| 2   | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For       | Management |
| 3   | Ratify Ernst & Young LLP as Auditors                              | For     | For       | Management |

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COLONY FINANCIAL, INC.

Ticker: CLNY Security ID: 19624R106

Meeting Date: MAR 31, 2015 Meeting Type: Special

Record Date: FEB 18, 2015

| #  | Proposal                                       | Mgt Rec | Vote Cast | Sponsor    |
|----|------------------------------------------------|---------|-----------|------------|
| 1  | Issue Shares in Connection with<br>Acquisition | For     | For       | Management |
| 2a | Authorize a New Class of Common Stock          | For     | For       | Management |
| 2b | Amend Stock Ownership Limitations              | For     | For       | Management |
| 3  | Adjourn Meeting                                | For     | For       | Management |



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COMCAST CORPORATION

Ticker: CMCSA Security ID: 20030N101

Meeting Date: OCT 08, 2014 Meeting Type: Special

Record Date: AUG 18, 2014

| # | Proposal                                    | Mgt Rec | Vote Cast | Sponsor    |
|---|---------------------------------------------|---------|-----------|------------|
| 1 | Issue Shares in Connection with Acquisition | For     | For       | Management |
| 2 | Adjourn Meeting                             | For     | For       | Management |

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COMCAST CORPORATION

Ticker: CMCSA Security ID: 20030N101

Meeting Date: MAY 21, 2015 Meeting Type: Annual

Record Date: MAR 12, 2015

| #   | Proposal                           | Mgt Rec | Vote Cast | Sponsor    |
|-----|------------------------------------|---------|-----------|------------|
| 1.1 | Elect Director Kenneth J. Bacon    | For     | For       | Management |
| 1.2 | Elect Director Sheldon M. Bonovitz | For     | For       | Management |
| 1.3 | Elect Director Edward D. Breen     | For     | For       | Management |
| 1.4 | Elect Director Joseph J. Collins   | For     | For       | Management |

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|      |                                                                           |         |         |             |
|------|---------------------------------------------------------------------------|---------|---------|-------------|
| 1.5  | Elect Director J. Michael Cook                                            | For     | For     | Management  |
| 1.6  | Elect Director Gerald L. Hassell                                          | For     | For     | Management  |
| 1.7  | Elect Director Jeffrey A. Honickman                                       | For     | For     | Management  |
| 1.8  | Elect Director Eduardo G. Mestre                                          | For     | For     | Management  |
| 1.9  | Elect Director Brian L. Roberts                                           | For     | For     | Management  |
| 1.10 | Elect Director Ralph J. Roberts                                           | For     | For     | Management  |
| 1.11 | Elect Director Johnathan A. Rodgers                                       | For     | For     | Management  |
| 1.12 | Elect Director Judith Rodin                                               | For     | For     | Management  |
| 2    | Ratify Deloitte & Touche LLP as<br>Auditors                               | For     | For     | Management  |
| 3    | Amend Executive Incentive Bonus Plan                                      | For     | For     | Management  |
| 4    | Report on Lobbying Payments and Policy                                    | Against | Against | Shareholder |
| 5    | Pro-rata Vesting of Equity Awards                                         | Against | For     | Shareholder |
| 6    | Approve Recapitalization Plan for all<br>Stock to Have One-vote per Share | Against | For     | Shareholder |

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CONOCOPHILLIPS

Ticker: COP Security ID: 20825C104

Meeting Date: MAY 12, 2015 Meeting Type: Annual

Record Date: MAR 13, 2015

| #  | Proposal                             | Mgt Rec | Vote Cast | Sponsor    |
|----|--------------------------------------|---------|-----------|------------|
| 1a | Elect Director Richard L. Armitage   | For     | For       | Management |
| 1b | Elect Director Richard H. Auchinleck | For     | For       | Management |

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|    |                                                                     |         |         |             |
|----|---------------------------------------------------------------------|---------|---------|-------------|
| 1c | Elect Director Charles E. Bunch                                     | For     | For     | Management  |
| 1d | Elect Director James E. Copeland, Jr.                               | For     | For     | Management  |
| 1e | Elect Director John V. Faraci                                       | For     | For     | Management  |
| 1f | Elect Director Jody L. Freeman                                      | For     | For     | Management  |
| 1g | Elect Director Gay Huey Evans                                       | For     | For     | Management  |
| 1h | Elect Director Ryan M. Lance                                        | For     | For     | Management  |
| 1i | Elect Director Arjun N. Murti                                       | For     | For     | Management  |
| 1j | Elect Director Robert A. Niblock                                    | For     | For     | Management  |
| 1k | Elect Director Harald J. Norvik                                     | For     | For     | Management  |
| 2  | Ratify Ernst & Young LLP as Auditors                                | For     | For     | Management  |
| 3  | Advisory Vote to Ratify Named<br>Executive Officers' Compensation   | For     | For     | Management  |
| 4  | Report on Lobbying Payments and Policy                              | Against | Against | Shareholder |
| 5  | Pro-rata Vesting of Equity Plan                                     | Against | Against | Shareholder |
| 6  | Remove or Adjust Reserve Metrics used<br>for Executive Compensation | Against | Abstain | Shareholder |
| 7  | Adopt Proxy Access Right                                            | Against | For     | Shareholder |

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CORNING INCORPORATED

Ticker: GLW Security ID: 219350105

Meeting Date: APR 30, 2015 Meeting Type: Annual

Record Date: MAR 02, 2015

| # | Proposal | Mgt Rec | Vote Cast | Sponsor |
|---|----------|---------|-----------|---------|
|---|----------|---------|-----------|---------|

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|      |                                                                   |         |         |             |
|------|-------------------------------------------------------------------|---------|---------|-------------|
| 1.1  | Elect Director Donald W. Blair                                    | For     | For     | Management  |
| 1.2  | Elect Director Stephanie A. Burns                                 | For     | For     | Management  |
| 1.3  | Elect Director John A. Canning, Jr.                               | For     | For     | Management  |
| 1.4  | Elect Director Richard T. Clark                                   | For     | For     | Management  |
| 1.5  | Elect Director Robert F. Cummings, Jr.                            | For     | Against | Management  |
| 1.6  | Elect Director James B. Flaws                                     | For     | Against | Management  |
| 1.7  | Elect Director Deborah A. Henretta                                | For     | For     | Management  |
| 1.8  | Elect Director Daniel P. Huttenlocher                             | For     | For     | Management  |
| 1.9  | Elect Director Kurt M. Landgraf                                   | For     | For     | Management  |
| 1.10 | Elect Director Kevin J. Martin                                    | For     | For     | Management  |
| 1.11 | Elect Director Deborah D. Rieman                                  | For     | For     | Management  |
| 1.12 | Elect Director Hansel E. Tookes II                                | For     | For     | Management  |
| 1.13 | Elect Director Wendell P. Weeks                                   | For     | For     | Management  |
| 1.14 | Elect Director Mark S. Wrighton                                   | For     | For     | Management  |
| 2    | Ratify PricewaterhouseCoopers LLP as<br>Auditors                  | For     | For     | Management  |
| 3    | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For     | Management  |
| 4    | Adopt Holy Land Principles                                        | Against | Abstain | Shareholder |

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CULLEN/FROST BANKERS, INC.

Ticker: CFR Security ID: 229899109

Meeting Date: APR 30, 2015 Meeting Type: Annual

Record Date: MAR 06, 2015

## Edgar Filing: TRI-CONTINENTAL CORP - Form N-PX

| #    | Proposal                                                          | Mgt Rec | Vote Cast | Sponsor    |
|------|-------------------------------------------------------------------|---------|-----------|------------|
| 1.1  | Elect Director R. Denny Alexander                                 | For     | For       | Management |
| 1.2  | Elect Director Carlos Alvarez                                     | For     | For       | Management |
| 1.3  | Elect Director Royce S. Caldwell                                  | For     | For       | Management |
| 1.4  | Elect Director Crawford H. Edwards                                | For     | For       | Management |
| 1.5  | Elect Director Ruben M. Escobedo                                  | For     | For       | Management |
| 1.6  | Elect Director Richard W. Evans, Jr.                              | For     | For       | Management |
| 1.7  | Elect Director Patrick B. Frost                                   | For     | For       | Management |
| 1.8  | Elect Director David J. Haemisegger                               | For     | For       | Management |
| 1.9  | Elect Director Karen E. Jennings                                  | For     | For       | Management |
| 1.10 | Elect Director Richard M. Kleberg, III                            | For     | For       | Management |
| 1.11 | Elect Director Charles W. Matthews                                | For     | For       | Management |
| 1.12 | Elect Director Ida Clement Steen                                  | For     | For       | Management |
| 1.13 | Elect Director Horace Wilkins, Jr.                                | For     | For       | Management |
| 1.14 | Elect Director Jack Wood                                          | For     | For       | Management |
| 2    | Approve Omnibus Stock Plan                                        | For     | For       | Management |
| 3    | Ratify Ernst & Young LLP as Auditors                              | For     | For       | Management |
| 4    | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For       | Management |

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CYPRESS SEMICONDUCTOR CORPORATION

Ticker: CY Security ID: 232806109

Meeting Date: MAR 12, 2015 Meeting Type: Special

## Edgar Filing: TRI-CONTINENTAL CORP - Form N-PX

Record Date: FEB 05, 2015

| # | Proposal                                    | Mgt Rec | Vote Cast | Sponsor    |
|---|---------------------------------------------|---------|-----------|------------|
| 1 | Issue Shares in Connection with Acquisition | For     | For       | Management |
| 2 | Amend Omnibus Stock Plan                    | For     | For       | Management |

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CYPRESS SEMICONDUCTOR CORPORATION

Ticker: CY Security ID: 232806109

Meeting Date: MAY 15, 2015 Meeting Type: Annual

Record Date: MAR 23, 2015

| #   | Proposal                                      | Mgt Rec | Vote Cast | Sponsor    |
|-----|-----------------------------------------------|---------|-----------|------------|
| 1.1 | Elect Director T.J. Rodgers                   | For     | For       | Management |
| 1.2 | Elect Director W. Steve Albrecht              | For     | For       | Management |
| 1.3 | Elect Director Eric A. Benhamou               | For     | For       | Management |
| 1.4 | Elect Director Wilbert van den Hoek           | For     | For       | Management |
| 1.5 | Elect Director John H. Kispert                | For     | For       | Management |
| 1.6 | Elect Director H. Raymond Bingham             | For     | For       | Management |
| 1.7 | Elect Director O.C. Kwon                      | For     | For       | Management |
| 1.8 | Elect Director Michael S. Wishart             | For     | For       | Management |
| 2   | Ratify PricewaterhouseCoopers LLP as Auditors | For     | For       | Management |
| 3   | Advisory Vote to Ratify Named                 | For     | For       | Management |

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### Executive Officers' Compensation

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DELPHI AUTOMOTIVE PLC

Ticker: DLPH Security ID: G27823106

Meeting Date: APR 23, 2015 Meeting Type: Annual

Record Date: FEB 23, 2015

| #    | Proposal                                        | Mgt Rec | Vote Cast | Sponsor    |
|------|-------------------------------------------------|---------|-----------|------------|
| 1.1  | Elect Kevin P. Clark as a Director              | For     | For       | Management |
| 1.2  | Re-elect Gary L. Cowger as a Director           | For     | For       | Management |
| 1.3  | Re-elect Nicholas M. Donofrio as a<br>Director  | For     | For       | Management |
| 1.4  | Re-elect Mark P. Frissora as a Director         | For     | For       | Management |
| 1.5  | Re-elect Rajiv L. Gupta as a Director           | For     | For       | Management |
| 1.6  | Re-elect J. Randall MacDonald as a<br>Director  | For     | For       | Management |
| 1.7  | Re-elect Sean O. Mahoney as a Director          | For     | For       | Management |
| 1.8  | Elect Timothy M. Manganello as a<br>Director    | For     | For       | Management |
| 1.9  | Re-elect Thomas W. Sidlik as a Director         | For     | For       | Management |
| 1.10 | Re-elect Bernd Wiedemann as a Director          | For     | For       | Management |
| 1.11 | Re-elect Lawrence A. Zimmerman as a<br>Director | For     | For       | Management |
| 12   | Ratify Ernst & Young LLP as Auditors            | For     | For       | Management |

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and Authorize Board to Fix Their

Remuneration

|    |                                                                   |     |     |            |
|----|-------------------------------------------------------------------|-----|-----|------------|
| 13 | Amend Omnibus Stock Plan                                          | For | For | Management |
| 14 | Approve Executive Incentive Bonus Plan                            | For | For | Management |
| 15 | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For | For | Management |

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DELTA AIR LINES, INC.

Ticker: DAL Security ID: 247361702

Meeting Date: JUN 25, 2015 Meeting Type: Annual

Record Date: MAY 01, 2015

| #  | Proposal                              | Mgt Rec | Vote Cast | Sponsor    |
|----|---------------------------------------|---------|-----------|------------|
| 1a | Elect Director Richard H. Anderson    | For     | For       | Management |
| 1b | Elect Director Edward H. Bastian      | For     | For       | Management |
| 1c | Elect Director Francis S. Blake       | For     | For       | Management |
| 1d | Elect Director Roy J. Bostock         | For     | For       | Management |
| 1e | Elect Director John S. Brinzo         | For     | For       | Management |
| 1f | Elect Director Daniel A. Carp         | For     | For       | Management |
| 1g | Elect Director David G. DeWalt        | For     | For       | Management |
| 1h | Elect Director Thomas E. Donilon      | For     | For       | Management |
| 1i | Elect Director William H. Easter, III | For     | For       | Management |
| 1j | Elect Director Mickey P. Foret        | For     | For       | Management |
| 1k | Elect Director Shirley C. Franklin    | For     | For       | Management |



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|    |                                                                   |         |     |             |
|----|-------------------------------------------------------------------|---------|-----|-------------|
| 1l | Elect Director David R. Goode                                     | For     | For | Management  |
| 1m | Elect Director George N. Mattson                                  | For     | For | Management  |
| 1n | Elect Director Douglas R. Ralph                                   | For     | For | Management  |
| 1o | Elect Director Sergio A.L. Rial                                   | For     | For | Management  |
| 1p | Elect Director Kenneth B. Woodrow                                 | For     | For | Management  |
| 2  | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For | Management  |
| 3  | Ratify Ernst & Young LLP as Auditors                              | For     | For | Management  |
| 4  | Adopt Share Retention Policy For<br>Senior Executives             | Against | For | Shareholder |

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DIRECTV

Ticker: DTV Security ID: 25490A309

Meeting Date: SEP 25, 2014 Meeting Type: Special

Record Date: JUL 29, 2014

| # | Proposal                           | Mgt Rec | Vote Cast | Sponsor    |
|---|------------------------------------|---------|-----------|------------|
| 1 | Approve Merger Agreement           | For     | For       | Management |
| 2 | Advisory Vote on Golden Parachutes | For     | For       | Management |
| 3 | Adjourn Meeting                    | For     | For       | Management |

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## Edgar Filing: TRI-CONTINENTAL CORP - Form N-PX

DR PEPPER SNAPPLE GROUP, INC.

Ticker: DPS Security ID: 26138E109

Meeting Date: MAY 21, 2015 Meeting Type: Annual

Record Date: MAR 23, 2015

| #  | Proposal                                                          | Mgt Rec | Vote Cast | Sponsor     |
|----|-------------------------------------------------------------------|---------|-----------|-------------|
| 1a | Elect Director David E. Alexander                                 | For     | For       | Management  |
| 1b | Elect Director Antonio Carrillo                                   | For     | For       | Management  |
| 1c | Elect Director Pamela H. Patsley                                  | For     | For       | Management  |
| 1d | Elect Director Joyce M. Roche                                     | For     | For       | Management  |
| 1e | Elect Director Ronald G. Rogers                                   | For     | For       | Management  |
| 1f | Elect Director Wayne R. Sanders                                   | For     | For       | Management  |
| 1g | Elect Director Dunia A. Shive                                     | For     | For       | Management  |
| 1h | Elect Director M. Anne Szostak                                    | For     | For       | Management  |
| 1i | Elect Director Larry D. Young                                     | For     | For       | Management  |
| 2  | Ratify Deloitte & Touche LLP as<br>Auditors                       | For     | For       | Management  |
| 3  | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For       | Management  |
| 4  | Adopt Comprehensive Recycling Strategy<br>for Beverage Containers | Against | Abstain   | Shareholder |
| 5  | Report on Human Rights Risks in Sugar<br>Supply Chain             | Against | Abstain   | Shareholder |

## Edgar Filing: TRI-CONTINENTAL CORP - Form N-PX

EMC CORPORATION

Ticker: EMC Security ID: 268648102

Meeting Date: APR 30, 2015 Meeting Type: Annual

Record Date: FEB 27, 2015

| #    | Proposal                                                          | Mgt Rec | Vote Cast | Sponsor     |
|------|-------------------------------------------------------------------|---------|-----------|-------------|
| 1.1a | Elect Director Jose E. Almeida                                    | For     | For       | Management  |
| 1.1b | Elect Director Michael W. Brown                                   | For     | For       | Management  |
| 1.1c | Elect Director Donald J. Carty                                    | For     | For       | Management  |
| 1.1d | Elect Director Randolph L. Cowen                                  | For     | For       | Management  |
| 1.1e | Elect Director James S. DiStasio                                  | For     | For       | Management  |
| 1.1f | Elect Director John R. Egan                                       | For     | For       | Management  |
| 1.1g | Elect Director William D. Green                                   | For     | For       | Management  |
| 1.1h | Elect Director Edmund F. Kelly                                    | For     | For       | Management  |
| 1.1i | Elect Director Jami Miscik                                        | For     | For       | Management  |
| 1.1j | Elect Director Paul Sagan                                         | For     | For       | Management  |
| 1.1k | Elect Director David N. Strohm                                    | For     | For       | Management  |
| 1.1l | Elect Director Joseph M. Tucci                                    | For     | For       | Management  |
| 2    | Ratify PricewaterhouseCoopers LLP as<br>Auditors                  | For     | For       | Management  |
| 3    | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For       | Management  |
| 4    | Amend Omnibus Stock Plan                                          | For     | For       | Management  |
| 5    | Require Independent Board Chairman                                | Against | For       | Shareholder |

## Edgar Filing: TRI-CONTINENTAL CORP - Form N-PX

EMERSON ELECTRIC CO.

Ticker: EMR Security ID: 291011104

Meeting Date: FEB 03, 2015 Meeting Type: Annual

Record Date: NOV 25, 2014

| #   | Proposal                                                          | Mgt Rec | Vote Cast | Sponsor     |
|-----|-------------------------------------------------------------------|---------|-----------|-------------|
| 1.1 | Elect Director A. F. Golden                                       | For     | For       | Management  |
| 1.2 | Elect Director W. R. Johnson                                      | For     | For       | Management  |
| 1.3 | Elect Director C. Kendle                                          | For     | For       | Management  |
| 1.4 | Elect Director J. S. Turley                                       | For     | For       | Management  |
| 1.5 | Elect Director A. A. Busch, III                                   | For     | For       | Management  |
| 2   | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For       | Management  |
| 3   | Approve Omnibus Stock Plan                                        | For     | For       | Management  |
| 4   | Amend Executive Incentive Bonus Plan                              | For     | For       | Management  |
| 5   | Ratify Auditors                                                   | For     | For       | Management  |
| 6   | Report on Sustainability, Including<br>GHG Goals                  | Against | Abstain   | Shareholder |
| 7   | Report on Political Contributions                                 | Against | Against   | Shareholder |
| 8   | Report on Lobbying Payments and Policy                            | Against | For       | Shareholder |

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ENDEAVOUR INTERNATIONAL CORPORATION

## Edgar Filing: TRI-CONTINENTAL CORP - Form N-PX

Ticker: ENDRQ Security ID: 29257MAE0

Meeting Date: JAN 30, 2015 Meeting Type: Written Consent

Record Date: DEC 22, 2014

| # | Proposal          | Mgt Rec | Vote Cast | Sponsor    |
|---|-------------------|---------|-----------|------------|
| 1 | The Proposed Plan | For     | For       | Management |

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ENTERGY CORPORATION

Ticker: ETR Security ID: 29364G103

Meeting Date: MAY 08, 2015 Meeting Type: Annual

Record Date: MAR 10, 2015

| #  | Proposal                            | Mgt Rec | Vote Cast | Sponsor    |
|----|-------------------------------------|---------|-----------|------------|
| 1a | Elect Director Maureen S. Bateman   | For     | For       | Management |
| 1b | Elect Director Patrick J. Condon    | For     | For       | Management |
| 1c | Elect Director Leo P. Denault       | For     | For       | Management |
| 1d | Elect Director Kirkland H. Donald   | For     | For       | Management |
| 1e | Elect Director Gary W. Edwards      | For     | For       | Management |
| 1f | Elect Director Alexis M. Herman     | For     | For       | Management |
| 1g | Elect Director Donald C. Hintz      | For     | For       | Management |
| 1h | Elect Director Stuart L. Levenick   | For     | For       | Management |
| 1i | Elect Director Blanche L. Lincoln   | For     | For       | Management |
| 1j | Elect Director Karen A. Puckett     | For     | For       | Management |
| 1k | Elect Director W. J. 'Billy' Tauzin | For     | For       | Management |

## Edgar Filing: TRI-CONTINENTAL CORP - Form N-PX

|    |                                                                                           |         |         |             |
|----|-------------------------------------------------------------------------------------------|---------|---------|-------------|
| 11 | Elect Director Steven V. Wilkinson                                                        | For     | For     | Management  |
| 2  | Ratify Deloitte & Touche LLP as<br>Auditors                                               | For     | For     | Management  |
| 3  | Advisory Vote to Ratify Named<br>Executive Officers' Compensation                         | For     | For     | Management  |
| 4  | Amend Executive Incentive Bonus Plan                                                      | For     | For     | Management  |
| 5  | Approve Omnibus Stock Plan                                                                | For     | For     | Management  |
| 6  | Include Carbon Reduction as a<br>Performance Measure for Senior<br>Executive Compensation | Against | Abstain | Shareholder |

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EOG RESOURCES, INC.

Ticker: EOG Security ID: 26875P101

Meeting Date: APR 30, 2015 Meeting Type: Annual

Record Date: MAR 02, 2015

| #    | Proposal                           | Mgt Rec | Vote Cast | Sponsor    |
|------|------------------------------------|---------|-----------|------------|
| 1.1a | Elect Director Janet F. Clark      | For     | For       | Management |
| 1.1b | Elect Director Charles R. Crisp    | For     | For       | Management |
| 1.1c | Elect Director James C. Day        | For     | For       | Management |
| 1.1d | Elect Director H. Leighton Steward | For     | For       | Management |
| 1.1e | Elect Director Donald F. Textor    | For     | For       | Management |
| 1.1f | Elect Director William R. Thomas   | For     | For       | Management |
| 1.1g | Elect Director Frank G. Wisner     | For     | For       | Management |

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|   |                                                                   |         |         |             |
|---|-------------------------------------------------------------------|---------|---------|-------------|
| 2 | Ratify Deloitte & Touche LLP as<br>Auditors                       | For     | For     | Management  |
| 3 | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For     | Management  |
| 4 | Proxy Access                                                      | Against | For     | Shareholder |
| 5 | Report on Methane Emissions Management<br>and Reduction Targets   | Against | Abstain | Shareholder |

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EXXON MOBIL CORPORATION

Ticker: XOM Security ID: 30231G102

Meeting Date: MAY 27, 2015 Meeting Type: Annual

Record Date: APR 07, 2015

| #    | Proposal                              | Mgt Rec | Vote Cast | Sponsor    |
|------|---------------------------------------|---------|-----------|------------|
| 1.1  | Elect Director Michael J. Boskin      | For     | For       | Management |
| 1.2  | Elect Director Peter Brabeck-Letmathe | For     | For       | Management |
| 1.3  | Elect Director Ursula M. Burns        | For     | For       | Management |
| 1.4  | Elect Director Larry R. Faulkner      | For     | For       | Management |
| 1.5  | Elect Director Jay S. Fishman         | For     | For       | Management |
| 1.6  | Elect Director Henrietta H. Fore      | For     | For       | Management |
| 1.7  | Elect Director Kenneth C. Frazier     | For     | For       | Management |
| 1.8  | Elect Director Douglas R. Oberhelman  | For     | For       | Management |
| 1.9  | Elect Director Samuel J. Palmisano    | For     | For       | Management |
| 1.10 | Elect Director Steven S. Reinemund    | For     | For       | Management |

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|      |                                                                             |         |         |             |
|------|-----------------------------------------------------------------------------|---------|---------|-------------|
| 1.11 | Elect Director Rex W. Tillerson                                             | For     | For     | Management  |
| 1.12 | Elect Director William C. Weldon                                            | For     | For     | Management  |
| 2    | Ratify PricewaterhouseCoopers LLP as<br>Auditors                            | For     | For     | Management  |
| 3    | Advisory Vote to Ratify Named<br>Executive Officers' Compensation           | For     | For     | Management  |
| 4    | Require Independent Board Chairman                                          | Against | For     | Shareholder |
| 5    | Adopt Proxy Access Right                                                    | Against | For     | Shareholder |
| 6    | Require Director Nominee with<br>Environmental Experience                   | Against | Abstain | Shareholder |
| 7    | Increase the Number of Females on the<br>Board                              | Against | Abstain | Shareholder |
| 8    | Disclose Percentage of Females at Each<br>Percentile of Compensation        | Against | Abstain | Shareholder |
| 9    | Report on Lobbying Payments and Policy                                      | Against | Against | Shareholder |
| 10   | Adopt Quantitative GHG Goals for<br>Products and Operations                 | Against | Abstain | Shareholder |
| 11   | Report on the Result of Efforts to<br>Minimize Hydraulic Fracturing Impacts | Against | Abstain | Shareholder |

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GENERAL DYNAMICS CORPORATION

Ticker: GD Security ID: 369550108

Meeting Date: MAY 06, 2015 Meeting Type: Annual

Record Date: MAR 05, 2015



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| #    | Proposal                                                          | Mgt Rec | Vote Cast | Sponsor     |
|------|-------------------------------------------------------------------|---------|-----------|-------------|
| 1.1  | Elect Director Mary T. Barra                                      | For     | For       | Management  |
| 1.2  | Elect Director Nicholas D. Chabraja                               | For     | For       | Management  |
| 1.3  | Elect Director James S. Crown                                     | For     | For       | Management  |
| 1.4  | Elect Director Rudy F. deLeon                                     | For     | For       | Management  |
| 1.5  | Elect Director William P. Fricks                                  | For     | For       | Management  |
| 1.6  | Elect Director John M. Keane                                      | For     | For       | Management  |
| 1.7  | Elect Director Lester L. Lyles                                    | For     | For       | Management  |
| 1.8  | Elect Director James N. Mattis                                    | For     | For       | Management  |
| 1.9  | Elect Director Phebe N. Novakovic                                 | For     | For       | Management  |
| 1.10 | Elect Director William A. Osborn                                  | For     | For       | Management  |
| 1.11 | Elect Director Laura J. Schumacher                                | For     | For       | Management  |
| 2    | Ratify KPMG LLP as Auditors                                       | For     | For       | Management  |
| 3    | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | Against   | Management  |
| 4    | Require Independent Board Chairman                                | Against | For       | Shareholder |

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GENERAL ELECTRIC COMPANY

Ticker: GE Security ID: 369604103

Meeting Date: APR 22, 2015 Meeting Type: Annual

Record Date: FEB 23, 2015

| # | Proposal | Mgt Rec | Vote Cast | Sponsor |
|---|----------|---------|-----------|---------|
|---|----------|---------|-----------|---------|

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|     |                                                                   |         |         |             |
|-----|-------------------------------------------------------------------|---------|---------|-------------|
| A1  | Elect Director W. Geoffrey Beattie                                | For     | For     | Management  |
| A2  | Elect Director John J. Brennan                                    | For     | For     | Management  |
| A3  | Elect Director James I. Cash, Jr.                                 | For     | For     | Management  |
| A4  | Elect Director Francisco D'Souza                                  | For     | For     | Management  |
| A5  | Elect Director Marijn E. Dekkers                                  | For     | For     | Management  |
| A6  | Elect Director Susan J. Hockfield                                 | For     | For     | Management  |
| A7  | Elect Director Jeffrey R. Immelt                                  | For     | For     | Management  |
| A8  | Elect Director Andrea Jung                                        | For     | For     | Management  |
| A9  | Elect Director Robert W. Lane                                     | For     | For     | Management  |
| A10 | Elect Director Rochelle B. Lazarus                                | For     | For     | Management  |
| A11 | Elect Director James J. Mulva                                     | For     | For     | Management  |
| A12 | Elect Director James E. Rohr                                      | For     | For     | Management  |
| A13 | Elect Director Mary L. Schapiro                                   | For     | For     | Management  |
| A14 | Elect Director Robert J. Swieringa                                | For     | For     | Management  |
| A15 | Elect Director James S. Tisch                                     | For     | For     | Management  |
| A16 | Elect Director Douglas A. Warner, III                             | For     | For     | Management  |
| B1  | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For     | Management  |
| B2  | Ratify KPMG LLP as Auditors                                       | For     | For     | Management  |
| C1  | Provide for Cumulative Voting                                     | Against | Against | Shareholder |
| C2  | Provide Right to Act by Written Consent                           | Against | For     | Shareholder |
| C3  | Select One Director from Ranks of<br>Retirees                     | Against | Against | Shareholder |
| C4  | Adopt Holy Land Principles                                        | Against | Abstain | Shareholder |
| C5  | Pro-rata Vesting on Equity Plans                                  | Against | Against | Shareholder |

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GENERAL MOTORS COMPANY

Ticker: GM Security ID: 37045V100

Meeting Date: JUN 09, 2015 Meeting Type: Annual

Record Date: APR 10, 2015

| #  | Proposal                                                          | Mgt Rec | Vote Cast | Sponsor     |
|----|-------------------------------------------------------------------|---------|-----------|-------------|
| 1a | Elect Director Joseph J. Ashton                                   | For     | For       | Management  |
| 1b | Elect Director Mary T. Barra                                      | For     | For       | Management  |
| 1c | Elect Director Stephen J. Girsky                                  | For     | For       | Management  |
| 1d | Elect Director Linda R. Gooden                                    | For     | For       | Management  |
| 1e | Elect Director Joseph Jimenez, Jr.                                | For     | For       | Management  |
| 1f | Elect Director Kathryn V. Marinello                               | For     | For       | Management  |
| 1g | Elect Director Michael G. Mullen                                  | For     | For       | Management  |
| 1h | Elect Director James J. Mulva                                     | For     | For       | Management  |
| 1i | Elect Director Patricia F. Russo                                  | For     | For       | Management  |
| 1j | Elect Director Thomas M. Schoewe                                  | For     | For       | Management  |
| 1k | Elect Director Theodore M. Solso                                  | For     | For       | Management  |
| 1l | Elect Director Carol M. Stephenson                                | For     | For       | Management  |
| 2  | Ratify Deloitte & Touche LLP as<br>Auditors                       | For     | For       | Management  |
| 3  | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For       | Management  |
| 4  | Require Independent Board Chairman                                | Against | For       | Shareholder |
| 5  | Provide for Cumulative Voting                                     | Against | Against   | Shareholder |

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GILEAD SCIENCES, INC.

Ticker: GILD Security ID: 375558103

Meeting Date: MAY 06, 2015 Meeting Type: Annual

Record Date: MAR 11, 2015

| #  | Proposal                                                       | Mgt Rec | Vote Cast | Sponsor     |
|----|----------------------------------------------------------------|---------|-----------|-------------|
| 1a | Elect Director John F. Cogan                                   | For     | For       | Management  |
| 1b | Elect Director Etienne F. Davignon                             | For     | For       | Management  |
| 1c | Elect Director Carla A. Hills                                  | For     | For       | Management  |
| 1d | Elect Director Kevin E. Lofton                                 | For     | For       | Management  |
| 1e | Elect Director John W. Madigan                                 | For     | For       | Management  |
| 1f | Elect Director John C. Martin                                  | For     | For       | Management  |
| 1g | Elect Director Nicholas G. Moore                               | For     | For       | Management  |
| 1h | Elect Director Richard J. Whitley                              | For     | For       | Management  |
| 1i | Elect Director Gayle E. Wilson                                 | For     | For       | Management  |
| 1j | Elect Director Per Wold-Olsen                                  | For     | For       | Management  |
| 2  | Ratify Ernst & Young LLP as Auditors                           | For     | For       | Management  |
| 3  | Amend Qualified Employee Stock Purchase Plan                   | For     | For       | Management  |
| 4  | Advisory Vote to Ratify Named Executive Officers' Compensation | For     | For       | Management  |
| 5  | Provide Right to Act by Written Consent                        | Against | For       | Shareholder |
| 6  | Require Independent Board Chairman                             | Against | For       | Shareholder |
| 7  | Report on Sustainability                                       | Against | Abstain   | Shareholder |
| 8  | Report on Specialty Drug Pricing Risks                         | Against | Abstain   | Shareholder |

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HESS CORPORATION

Ticker: HES Security ID: 42809H107

Meeting Date: MAY 06, 2015 Meeting Type: Annual

Record Date: MAR 19, 2015

| #    | Proposal                                                          | Mgt Rec | Vote Cast | Sponsor     |
|------|-------------------------------------------------------------------|---------|-----------|-------------|
| 1.1  | Elect Director Rodney F. Chase                                    | For     | For       | Management  |
| 1.2  | Elect Director Terrence J. Checki                                 | For     | For       | Management  |
| 1.3  | Elect Director Harvey Golub                                       | For     | For       | Management  |
| 1.4  | Elect Director John B. Hess                                       | For     | For       | Management  |
| 1.5  | Elect Director Edith E. Holiday                                   | For     | For       | Management  |
| 1.6  | Elect Director Risa Lavizzo-Mourey                                | For     | For       | Management  |
| 1.7  | Elect Director David McManus                                      | For     | For       | Management  |
| 1.8  | Elect Director John H. Mullin, III                                | For     | For       | Management  |
| 1.9  | Elect Director James H. Quigley                                   | For     | For       | Management  |
| 1.10 | Elect Director Robert N. Wilson                                   | For     | For       | Management  |
| 2    | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For       | Management  |
| 3    | Ratify Ernst & Young LLP as Auditors                              | For     | For       | Management  |
| 4    | Amend Omnibus Stock Plan                                          | For     | For       | Management  |
| 5    | Proxy Access                                                      | Against | For       | Shareholder |
| 6    | Report on Plans to Address Stranded<br>Carbon Asset Risks         | Against | Abstain   | Shareholder |

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HOST HOTELS & RESORTS, INC.

Ticker: HST Security ID: 44107P104

Meeting Date: MAY 14, 2015 Meeting Type: Annual

Record Date: MAR 19, 2015

| #   | Proposal                                                          | Mgt Rec | Vote Cast | Sponsor     |
|-----|-------------------------------------------------------------------|---------|-----------|-------------|
| 1.1 | Elect Director Mary L. Baglivo                                    | For     | For       | Management  |
| 1.2 | Elect Director Sheila C. Bair                                     | For     | For       | Management  |
| 1.3 | Elect Director Terence C. Golden                                  | For     | For       | Management  |
| 1.4 | Elect Director Ann McLaughlin Korologos                           | For     | For       | Management  |
| 1.5 | Elect Director Richard E. Marriott                                | For     | For       | Management  |
| 1.6 | Elect Director John B. Morse, Jr.                                 | For     | For       | Management  |
| 1.7 | Elect Director Walter C. Rakowich                                 | For     | For       | Management  |
| 1.8 | Elect Director Gordon H. Smith                                    | For     | For       | Management  |
| 1.9 | Elect Director W. Edward Walter                                   | For     | For       | Management  |
| 2   | Ratify KPMG LLP as Auditors                                       | For     | For       | Management  |
| 3   | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For       | Management  |
| 4   | Amend Vote Requirements to Amend Bylaws Against                   |         | For       | Shareholder |

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INTEL CORPORATION

Ticker:           INTC                   Security ID: 458140100

Meeting Date: MAY 21, 2015   Meeting Type: Annual

Record Date: MAR 23, 2015

| #  | Proposal                                                          | Mgt Rec | Vote Cast | Sponsor     |
|----|-------------------------------------------------------------------|---------|-----------|-------------|
| 1a | Elect Director Charlene Barshefsky                                | For     | For       | Management  |
| 1b | Elect Director Aneel Bhusri                                       | For     | For       | Management  |
| 1c | Elect Director Andy D. Bryant                                     | For     | For       | Management  |
| 1d | Elect Director Susan L. Decker                                    | For     | For       | Management  |
| 1e | Elect Director John J. Donahoe                                    | For     | Against   | Management  |
| 1f | Elect Director Reed E. Hundt                                      | For     | For       | Management  |
| 1g | Elect Director Brian M. Krzanich                                  | For     | For       | Management  |
| 1h | Elect Director James D. Plummer                                   | For     | For       | Management  |
| 1i | Elect Director David S. Pottruck                                  | For     | For       | Management  |
| 1j | Elect Director Frank D. Yeary                                     | For     | For       | Management  |
| 1k | Elect Director David B. Yoffie                                    | For     | For       | Management  |
| 2  | Ratify Ernst & Young LLP as Auditors                              | For     | For       | Management  |
| 3  | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For       | Management  |
| 4  | Amend Omnibus Stock Plan                                          | For     | For       | Management  |
| 5  | Amend Qualified Employee Stock<br>Purchase Plan                   | For     | For       | Management  |
| 6  | Adopt Holy Land Principles                                        | Against | Abstain   | Shareholder |
| 7  | Require Independent Board Chairman                                | Against | For       | Shareholder |
| 8  | Provide Vote Counting to Exclude<br>Abstentions                   | Against | For       | Shareholder |

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INTERNATIONAL PAPER COMPANY

Ticker: IP Security ID: 460146103

Meeting Date: MAY 11, 2015 Meeting Type: Annual

Record Date: MAR 17, 2015

| #  | Proposal                                                          | Mgt Rec | Vote Cast | Sponsor     |
|----|-------------------------------------------------------------------|---------|-----------|-------------|
| 1a | Elect Director David J. Bronczek                                  | For     | For       | Management  |
| 1b | Elect Director William J. Burns                                   | For     | For       | Management  |
| 1c | Elect Director Ahmet C. Dorduncu                                  | For     | For       | Management  |
| 1d | Elect Director Ilene S. Gordon                                    | For     | For       | Management  |
| 1e | Elect Director Jay L. Johnson                                     | For     | For       | Management  |
| 1f | Elect Director Stacey J. Mobley                                   | For     | For       | Management  |
| 1g | Elect Director Joan E. Spero                                      | For     | For       | Management  |
| 1h | Elect Director Mark S. Sutton                                     | For     | For       | Management  |
| 1i | Elect Director John L. Townsend, III                              | For     | For       | Management  |
| 1j | Elect Director William G. Walter                                  | For     | For       | Management  |
| 1k | Elect Director J. Steven Whisler                                  | For     | For       | Management  |
| 1l | Elect Director Ray G. Young                                       | For     | For       | Management  |
| 2  | Ratify Deloitte & Touche LLP as<br>Auditors                       | For     | For       | Management  |
| 3  | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For       | Management  |
| 4  | Pro-rata Vesting of Equity Awards                                 | Against | Against   | Shareholder |



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INVESCO LTD.

Ticker: IVZ Security ID: G491BT108

Meeting Date: MAY 14, 2015 Meeting Type: Annual

Record Date: MAR 16, 2015

| #   | Proposal                                                          | Mgt Rec | Vote Cast | Sponsor    |
|-----|-------------------------------------------------------------------|---------|-----------|------------|
| 1.1 | Elect Director Martin L. Flanagan                                 | For     | For       | Management |
| 1.2 | Elect Director C. Robert Henrikson                                | For     | For       | Management |
| 1.3 | Elect Director Ben F. Johnson, III                                | For     | For       | Management |
| 1.4 | Elect Director Sir Nigel Sheinwald                                | For     | For       | Management |
| 2   | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | Against   | Management |
| 3   | Ratify PricewaterhouseCoopers LLP as<br>Auditors                  | For     | For       | Management |

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JAGUAR MINING INC.

Ticker: JAG Security ID: 47009M400

Meeting Date: JUN 22, 2015 Meeting Type: Annual/Special

Record Date: MAY 04, 2015

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| #   | Proposal                                                                         | Mgt Rec | Vote Cast | Sponsor    |
|-----|----------------------------------------------------------------------------------|---------|-----------|------------|
| 1.1 | Elect Director George Bee                                                        | For     | For       | Management |
| 1.2 | Elect Director Richard D. Falconer                                               | For     | For       | Management |
| 1.3 | Elect Director Edward V. Reeser                                                  | For     | For       | Management |
| 1.4 | Elect Director Luis Ricardo Miraglia                                             | For     | Withhold  | Management |
| 1.5 | Elect Director Stephen Hope                                                      | For     | Withhold  | Management |
| 1.6 | Elect Director Jared Hardner                                                     | For     | For       | Management |
| 1.7 | Elect Director Robert J. Chadwick                                                | For     | For       | Management |
| 2   | Approve KPMG LLP as Auditors and<br>Authorize Board to Fix Their<br>Remuneration | For     | For       | Management |
| 3   | Re-approve Stock Option Plan                                                     | For     | For       | Management |

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JOHNSON & JOHNSON

Ticker: JNJ Security ID: 478160104

Meeting Date: APR 23, 2015 Meeting Type: Annual

Record Date: FEB 24, 2015

| #  | Proposal                        | Mgt Rec | Vote Cast | Sponsor    |
|----|---------------------------------|---------|-----------|------------|
| 1a | Elect Director Mary Sue Coleman | For     | For       | Management |
| 1b | Elect Director D. Scott Davis   | For     | For       | Management |
| 1c | Elect Director Ian E. L. Davis  | For     | For       | Management |
| 1d | Elect Director Alex Gorsky      | For     | For       | Management |

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|    |                                                                                  |         |         |             |
|----|----------------------------------------------------------------------------------|---------|---------|-------------|
| 1e | Elect Director Susan L. Lindquist                                                | For     | For     | Management  |
| 1f | Elect Director Mark B. McClellan                                                 | For     | For     | Management  |
| 1g | Elect Director Anne M. Mulcahy                                                   | For     | For     | Management  |
| 1h | Elect Director William D. Perez                                                  | For     | For     | Management  |
| 1i | Elect Director Charles Prince                                                    | For     | For     | Management  |
| 1j | Elect Director A. Eugene Washington                                              | For     | For     | Management  |
| 1k | Elect Director Ronald A. Williams                                                | For     | For     | Management  |
| 2  | Advisory Vote to Ratify Named<br>Executive Officers' Compensation                | For     | For     | Management  |
| 3  | Ratify PricewaterhouseCoopers LLP as<br>Auditors                                 | For     | For     | Management  |
| 4  | Policy Regarding Overextended Directors                                          | Against | Against | Shareholder |
| 5  | Report on Consistency Between<br>Corporate Values and Political<br>Contributions | Against | Against | Shareholder |
| 6  | Require Independent Board Chairman                                               | Against | For     | Shareholder |

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JPMORGAN CHASE & CO.

Ticker: JPM Security ID: 46625H100

Meeting Date: MAY 19, 2015 Meeting Type: Annual

Record Date: MAR 20, 2015

| #  | Proposal                        | Mgt Rec | Vote Cast | Sponsor    |
|----|---------------------------------|---------|-----------|------------|
| 1a | Elect Director Linda B. Bammann | For     | For       | Management |

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|    |                                                                   |         |         |             |
|----|-------------------------------------------------------------------|---------|---------|-------------|
| 1b | Elect Director James A. Bell                                      | For     | For     | Management  |
| 1c | Elect Director Crandall C. Bowles                                 | For     | For     | Management  |
| 1d | Elect Director Stephen B. Burke                                   | For     | For     | Management  |
| 1e | Elect Director James S. Crown                                     | For     | For     | Management  |
| 1f | Elect Director James Dimon                                        | For     | For     | Management  |
| 1g | Elect Director Timothy P. Flynn                                   | For     | For     | Management  |
| 1h | Elect Director Laban P. Jackson, Jr.                              | For     | For     | Management  |
| 1i | Elect Director Michael A. Neal                                    | For     | For     | Management  |
| 1j | Elect Director Lee R. Raymond                                     | For     | For     | Management  |
| 1k | Elect Director William C. Weldon                                  | For     | For     | Management  |
| 2  | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For     | Management  |
| 3  | Ratify PricewaterhouseCoopers LLP as<br>Auditors                  | For     | For     | Management  |
| 4  | Amend Omnibus Stock Plan                                          | For     | For     | Management  |
| 5  | Require Independent Board Chairman                                | Against | Against | Shareholder |
| 6  | Report on Lobbying Payments and Policy                            | Against | Against | Shareholder |
| 7  | Amend Bylaws -- Call Special Meetings                             | Against | Against | Shareholder |
| 8  | Provide Vote Counting to Exclude<br>Abstentions                   | Against | For     | Shareholder |
| 9  | Report on Certain Vesting Program                                 | Against | Against | Shareholder |
| 10 | Disclosure of Recoupment Activity from<br>Senior Officers         | Against | For     | Shareholder |

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KIMBERLY-CLARK CORPORATION

## Edgar Filing: TRI-CONTINENTAL CORP - Form N-PX

Ticker: KMB Security ID: 494368103

Meeting Date: APR 30, 2015 Meeting Type: Annual

Record Date: MAR 02, 2015

| #    | Proposal                                                          | Mgt Rec | Vote Cast | Sponsor     |
|------|-------------------------------------------------------------------|---------|-----------|-------------|
| 1.1  | Elect Director John F. Bergstrom                                  | For     | For       | Management  |
| 1.2  | Elect Director Abelardo E. Bru                                    | For     | For       | Management  |
| 1.3  | Elect Director Robert W. Decherd                                  | For     | For       | Management  |
| 1.4  | Elect Director Thomas J. Falk                                     | For     | For       | Management  |
| 1.5  | Elect Director Fabian T. Garcia                                   | For     | For       | Management  |
| 1.6  | Elect Director Mae C. Jemison                                     | For     | For       | Management  |
| 1.7  | Elect Director James M. Jenness                                   | For     | For       | Management  |
| 1.8  | Elect Director Nancy J. Karch                                     | For     | For       | Management  |
| 1.9  | Elect Director Ian C. Read                                        | For     | For       | Management  |
| 1.10 | Elect Director Linda Johnson Rice                                 | For     | For       | Management  |
| 1.11 | Elect Director Marc J. Shapiro                                    | For     | For       | Management  |
| 2    | Ratify Deloitte & Touche LLP as<br>Auditors                       | For     | For       | Management  |
| 3    | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For       | Management  |
| 4    | Provide Right to Act by Written Consent Against                   |         | For       | Shareholder |

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KINDER MORGAN, INC.

## Edgar Filing: TRI-CONTINENTAL CORP - Form N-PX

Ticker: KMI Security ID: 49456B101

Meeting Date: NOV 20, 2014 Meeting Type: Special

Record Date: OCT 20, 2014

| # | Proposal                                | Mgt Rec | Vote Cast | Sponsor    |
|---|-----------------------------------------|---------|-----------|------------|
| 1 | Increase Authorized Common Stock        | For     | For       | Management |
| 2 | Issue Shares in Connection with Mergers | For     | For       | Management |
| 3 | Adjourn Meeting                         | For     | For       | Management |

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KINDER MORGAN, INC.

Ticker: KMI Security ID: 49456B101

Meeting Date: MAY 07, 2015 Meeting Type: Annual

Record Date: MAR 10, 2015

| #   | Proposal                            | Mgt Rec | Vote Cast | Sponsor    |
|-----|-------------------------------------|---------|-----------|------------|
| 1.1 | Elect Director Richard D. Kinder    | For     | For       | Management |
| 1.2 | Elect Director Steven J. Kean       | For     | For       | Management |
| 1.3 | Elect Director Ted A. Gardner       | For     | For       | Management |
| 1.4 | Elect Director Anthony W. Hall, Jr. | For     | For       | Management |
| 1.5 | Elect Director Gary L. Hultquist    | For     | For       | Management |
| 1.6 | Elect Director Ronald L. Kuehn, Jr. | For     | For       | Management |
| 1.7 | Elect Director Deborah A. MacDonald | For     | For       | Management |
| 1.8 | Elect Director Michael J. Miller    | For     | For       | Management |
| 1.9 | Elect Director Michael C. Morgan    | For     | For       | Management |

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|      |                                                                                 |         |         |             |
|------|---------------------------------------------------------------------------------|---------|---------|-------------|
| 1.10 | Elect Director Arthur C. Reichstetter                                           | For     | For     | Management  |
| 1.11 | Elect Director Fayez Sarofim                                                    | For     | For     | Management  |
| 1.12 | Elect Director C. Park Shaper                                                   | For     | For     | Management  |
| 1.13 | Elect Director William A. Smith                                                 | For     | For     | Management  |
| 1.14 | Elect Director Joel V. Staff                                                    | For     | For     | Management  |
| 1.15 | Elect Director Robert F. Vagt                                                   | For     | For     | Management  |
| 1.16 | Elect Director Perry M. Waughtal                                                | For     | For     | Management  |
| 2    | Approve Omnibus Stock Plan                                                      | For     | For     | Management  |
| 3    | Approve Executive Incentive Bonus Plan                                          | For     | For     | Management  |
| 4    | Advisory Vote to Ratify Named<br>Executive Officers' Compensation               | For     | For     | Management  |
| 5    | Ratify PricewaterhouseCoopers LLP as<br>Auditors                                | For     | For     | Management  |
| 6    | Amend Charter to Eliminate<br>Inapplicable Provisions                           | For     | For     | Management  |
| 7    | Report on Capital Expenditure Strategy<br>with Respect to Climate Change Policy | Against | Abstain | Shareholder |
| 8    | Report on Methane Emissions Management<br>and Reduction Targets                 | Against | Abstain | Shareholder |
| 9    | Report on Sustainability                                                        | Against | Abstain | Shareholder |

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KOHL'S CORPORATION

Ticker: KSS Security ID: 500255104

Meeting Date: MAY 14, 2015 Meeting Type: Annual

Edgar Filing: TRI-CONTINENTAL CORP - Form N-PX

Record Date: MAR 11, 2015

| #  | Proposal                                                          | Mgt Rec | Vote Cast | Sponsor     |
|----|-------------------------------------------------------------------|---------|-----------|-------------|
| 1a | Elect Director Peter Boneparth                                    | For     | For       | Management  |
| 1b | Elect Director Steven A. Burd                                     | For     | For       | Management  |
| 1c | Elect Director Dale E. Jones                                      | For     | For       | Management  |
| 1d | Elect Director Kevin Mansell                                      | For     | For       | Management  |
| 1e | Elect Director John E. Schlifske                                  | For     | For       | Management  |
| 1f | Elect Director Frank V. Sica                                      | For     | For       | Management  |
| 1g | Elect Director Stephanie A. Streeter                              | For     | For       | Management  |
| 1h | Elect Director Nina G. Vaca                                       | For     | For       | Management  |
| 1i | Elect Director Stephen E. Watson                                  | For     | For       | Management  |
| 2  | Ratify Ernst & Young LLP as Auditors                              | For     | For       | Management  |
| 3  | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For       | Management  |
| 4  | Clawback of Incentive Payments                                    | Against | Against   | Shareholder |
| 5  | Adopt Proxy Access Right                                          | Against | For       | Shareholder |

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LINCOLN NATIONAL CORPORATION

Ticker: LNC Security ID: 534187109

Meeting Date: MAY 21, 2015 Meeting Type: Annual

Record Date: MAR 16, 2015

| # | Proposal | Mgt Rec | Vote Cast | Sponsor |
|---|----------|---------|-----------|---------|
|---|----------|---------|-----------|---------|



## Edgar Filing: TRI-CONTINENTAL CORP - Form N-PX

|     |                                                                   |     |     |            |
|-----|-------------------------------------------------------------------|-----|-----|------------|
| 1.1 | Elect Director George W. Henderson, III                           | For | For | Management |
| 1.2 | Elect Director Eric G. Johnson                                    | For | For | Management |
| 1.3 | Elect Director M. Leanne Lachman                                  | For | For | Management |
| 1.4 | Elect Director Isaiah Tidwell                                     | For | For | Management |
| 2   | Ratify Ernst & Young LLP as Auditors                              | For | For | Management |
| 3   | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For | For | Management |

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LOCKHEED MARTIN CORPORATION

Ticker: LMT Security ID: 539830109

Meeting Date: APR 23, 2015 Meeting Type: Annual

Record Date: FEB 27, 2015

| #    | Proposal                           | Mgt Rec | Vote Cast | Sponsor    |
|------|------------------------------------|---------|-----------|------------|
| 1.1a | Elect Director Daniel F. Akerson   | For     | For       | Management |
| 1.1b | Elect Director Nolan D. Archibald  | For     | For       | Management |
| 1.1c | Elect Director Rosalind G. Brewer  | For     | For       | Management |
| 1.1d | Elect Director David B. Burritt    | For     | For       | Management |
| 1.1e | Elect Director James O. Ellis, Jr. | For     | For       | Management |
| 1.1f | Elect Director Thomas J. Falk      | For     | For       | Management |
| 1.1g | Elect Director Marillyn A. Hewson  | For     | For       | Management |
| 1.1h | Elect Director Gwendolyn S. King   | For     | For       | Management |
| 1.1i | Elect Director James M. Loy        | For     | For       | Management |
| 1.1j | Elect Director Joseph W. Ralston   | For     | For       | Management |

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|      |                                                                   |         |         |             |
|------|-------------------------------------------------------------------|---------|---------|-------------|
| 1.1k | Elect Director Anne Stevens                                       | For     | For     | Management  |
| 2    | Ratify Ernst & Young LLP as Auditors                              | For     | For     | Management  |
| 3    | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For     | Management  |
| 4    | Provide Right to Act by Written Consent Against                   | For     |         | Shareholder |
| 5    | Report on Lobbying Payments and Policy                            | Against | Against | Shareholder |

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LOWE'S COMPANIES, INC.

Ticker:           LOW                   Security ID: 548661107

Meeting Date: MAY 29, 2015   Meeting Type: Annual

Record Date:   MAR 27, 2015

| #    | Proposal                            | Mgt Rec | Vote Cast | Sponsor    |
|------|-------------------------------------|---------|-----------|------------|
| 1.1  | Elect Director Raul Alvarez         | For     | For       | Management |
| 1.2  | Elect Director David W. Bernauer    | For     | For       | Management |
| 1.3  | Elect Director Angela F. Braly      | For     | For       | Management |
| 1.4  | Elect Director Laurie Z. Douglas    | For     | For       | Management |
| 1.5  | Elect Director Richard W. Dreiling  | For     | For       | Management |
| 1.6  | Elect Director Robert L. Johnson    | For     | For       | Management |
| 1.7  | Elect Director Marshall O. Larsen   | For     | For       | Management |
| 1.8  | Elect Director Richard K. Lochridge | For     | For       | Management |
| 1.9  | Elect Director James H. Morgan      | For     | For       | Management |
| 1.10 | Elect Director Robert A. Niblock    | For     | For       | Management |
| 1.11 | Elect Director Eric C. Wiseman      | For     | For       | Management |

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|   |                                                                   |     |     |            |
|---|-------------------------------------------------------------------|-----|-----|------------|
| 2 | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For | For | Management |
| 3 | Ratify Deloitte & Touche LLP as<br>Auditors                       | For | For | Management |

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LYONDELLBASELL INDUSTRIES NV

Ticker: LYB Security ID: N53745100

Meeting Date: MAY 06, 2015 Meeting Type: Annual

Record Date: APR 08, 2015

| #  | Proposal                                            | Mgt Rec | Vote Cast | Sponsor    |
|----|-----------------------------------------------------|---------|-----------|------------|
| 1a | Elect Robin Buchanan Supervisory Board              | For     | For       | Management |
| 1b | Elect Stephen F. Cooper to Supervisory<br>Board     | For     | For       | Management |
| 1c | Elect Isabella D. Goren to Supervisory<br>Board     | For     | For       | Management |
| 1d | Elect Robert G. Gwin to Supervisory<br>Board        | For     | For       | Management |
| 2a | Elect Kevin W. Brown to Management<br>Board         | For     | For       | Management |
| 2b | Elect Jeffrey A. Kaplan to Management<br>Board      | For     | For       | Management |
| 3  | Adopt Financial Statements and<br>Statutory Reports | For     | For       | Management |

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|    |                                                                        |     |     |            |
|----|------------------------------------------------------------------------|-----|-----|------------|
| 4  | Approve Discharge of Management Board                                  | For | For | Management |
| 5  | Approve Discharge of Supervisory Board                                 | For | For | Management |
| 6  | Ratify PricewaterhouseCoopers LLP as Auditors                          | For | For | Management |
| 7  | Ratify PricewaterhouseCoopers Accountants N.V. as Auditors             | For | For | Management |
| 8  | Approve Dividends of USD 2.80 Per Share                                | For | For | Management |
| 9  | Advisory Vote to Ratify Named Executive Officers' Compensation         | For | For | Management |
| 10 | Authorize Board to Issue Shares up to 20 Percent of Authorized Capital | For | For | Management |
| 11 | Authorize Board to Exclude Preemptive Rights from Share Issuances      | For | For | Management |
| 12 | Amend Qualified Employee Stock Purchase Plan                           | For | For | Management |
| 13 | Authorize Repurchase of Up to 10 Percent of Issued Share Capital       | For | For | Management |

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MACQUARIE INFRASTRUCTURE COMPANY LLC

Ticker: MIC Security ID: 55608B105

Meeting Date: MAY 15, 2015 Meeting Type: Special

Record Date: MAR 25, 2015

| # | Proposal | Mgt Rec | Vote Cast | Sponsor |
|---|----------|---------|-----------|---------|
|---|----------|---------|-----------|---------|

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|   |                                                                                                       |     |     |            |
|---|-------------------------------------------------------------------------------------------------------|-----|-----|------------|
| 1 | Approve Conversion of the Company from Delaware Limited Liability Corporation to Delaware Corporation | For | For | Management |
| 2 | Authorize New Class of Preferred Stock                                                                | For | For | Management |
| 3 | Adjourn Meeting                                                                                       | For | For | Management |

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MACQUARIE INFRASTRUCTURE COMPANY LLC

Ticker: MIC Security ID: 55608B105

Meeting Date: MAY 20, 2015 Meeting Type: Annual

Record Date: MAR 25, 2015

| #   | Proposal                                                       | Mgt Rec | Vote Cast | Sponsor    |
|-----|----------------------------------------------------------------|---------|-----------|------------|
| 1.1 | Elect Director Norman H. Brown, Jr.                            | For     | For       | Management |
| 1.2 | Elect Director George W. Carmany, III                          | For     | For       | Management |
| 1.3 | Elect Director H.E. (Jack) Lentz                               | For     | For       | Management |
| 1.4 | Elect Director Ouma Sananikone                                 | For     | For       | Management |
| 1.5 | Elect Director William H. Webb                                 | For     | For       | Management |
| 2   | Ratify KPMG LLP as Auditors                                    | For     | For       | Management |
| 3   | Advisory Vote to Ratify Named Executive Officers' Compensation | For     | For       | Management |

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## Edgar Filing: TRI-CONTINENTAL CORP - Form N-PX

MASTERCARD INCORPORATED

Ticker: MA Security ID: 57636Q104

Meeting Date: JUN 09, 2015 Meeting Type: Annual

Record Date: APR 15, 2015

| #  | Proposal                                                       | Mgt Rec | Vote Cast | Sponsor    |
|----|----------------------------------------------------------------|---------|-----------|------------|
| 1a | Elect Director Richard Haythornthwaite                         | For     | For       | Management |
| 1b | Elect Director Ajay Banga                                      | For     | For       | Management |
| 1c | Elect Director Silvio Barzi                                    | For     | For       | Management |
| 1d | Elect Director David R. Carlucci                               | For     | For       | Management |
| 1e | Elect Director Steven J. Freiberg                              | For     | For       | Management |
| 1f | Elect Director Julius Genachowski                              | For     | For       | Management |
| 1g | Elect Director Merit E. Janow                                  | For     | For       | Management |
| 1h | Elect Director Nancy J. Karch                                  | For     | For       | Management |
| 1i | Elect Director Marc Olivie                                     | For     | For       | Management |
| 1j | Elect Director Rima Qureshi                                    | For     | For       | Management |
| 1k | Elect Director Jose Octavio Reyes Lagunes                      | For     | For       | Management |
| 1l | Elect Director Jackson P. Tai                                  | For     | For       | Management |
| 1m | Elect Director Edward Suning Tian                              | For     | For       | Management |
| 2  | Advisory Vote to Ratify Named Executive Officers' Compensation | For     | For       | Management |
| 3  | Amend Executive Incentive Bonus Plan                           | For     | For       | Management |
| 4  | Ratify PricewaterhouseCoopers LLP as Auditors                  | For     | For       | Management |

## Edgar Filing: TRI-CONTINENTAL CORP - Form N-PX

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MEDTRONIC, INC.

Ticker: MDT Security ID: 585055106

Meeting Date: AUG 21, 2014 Meeting Type: Annual

Record Date: JUN 23, 2014

| #    | Proposal                                                                       | Mgt Rec | Vote Cast | Sponsor    |
|------|--------------------------------------------------------------------------------|---------|-----------|------------|
| 1.1  | Elect Director Richard H. Anderson                                             | For     | For       | Management |
| 1.2  | Elect Director Scott C. Donnelly                                               | For     | For       | Management |
| 1.3  | Elect Director Omar Ishrak                                                     | For     | For       | Management |
| 1.4  | Elect Director Shirley Ann Jackson                                             | For     | For       | Management |
| 1.5  | Elect Director Michael O. Leavitt                                              | For     | For       | Management |
| 1.6  | Elect Director James T. Lenehan                                                | For     | For       | Management |
| 1.7  | Elect Director Denise M. O'Leary                                               | For     | For       | Management |
| 1.8  | Elect Director Kendall J. Powell                                               | For     | Withhold  | Management |
| 1.9  | Elect Director Robert C. Pozen                                                 | For     | For       | Management |
| 1.10 | Elect Director Preetha Reddy                                                   | For     | Withhold  | Management |
| 2    | Ratify Auditors                                                                | For     | For       | Management |
| 3    | Advisory Vote to Ratify Named<br>Executive Officers' Compensation              | For     | For       | Management |
| 4    | Approve Qualified Employee Stock<br>Purchase Plan                              | For     | For       | Management |
| 5    | Adopt Majority Voting for Uncontested<br>Election of Directors                 | For     | For       | Management |
| 6    | Reduce Supermajority Vote Requirement<br>for Establishing Range For Board Size | For     | For       | Management |

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|   |                                                                    |     |     |            |
|---|--------------------------------------------------------------------|-----|-----|------------|
| 7 | Reduce Supermajority Vote Requirement<br>for Removal of Directors  | For | For | Management |
| 8 | Reduce Supermajority Vote Requirement<br>for Amendment of Articles | For | For | Management |

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MERCK & CO., INC.

Ticker:           MRK                   Security ID: 58933Y105

Meeting Date: MAY 26, 2015   Meeting Type: Annual

Record Date:   MAR 31, 2015

| #  | Proposal                                | Mgt Rec | Vote Cast | Sponsor    |
|----|-----------------------------------------|---------|-----------|------------|
| 1a | Elect Director Leslie A. Brun           | For     | For       | Management |
| 1b | Elect Director Thomas R. Cech           | For     | For       | Management |
| 1c | Elect Director Kenneth C. Frazier       | For     | For       | Management |
| 1d | Elect Director Thomas H. Glocer         | For     | For       | Management |
| 1e | Elect Director William B. Harrison, Jr. | For     | For       | Management |
| 1f | Elect Director C. Robert Kidder         | For     | For       | Management |
| 1g | Elect Director Rochelle B. Lazarus      | For     | For       | Management |
| 1h | Elect Director Carlos E. Represas       | For     | For       | Management |
| 1i | Elect Director Patricia F. Russo        | For     | For       | Management |
| 1j | Elect Director Craig B. Thompson        | For     | For       | Management |
| 1k | Elect Director Wendell P. Weeks         | For     | For       | Management |
| 1l | Elect Director Peter C. Wendell         | For     | For       | Management |
| 2  | Advisory Vote to Ratify Named           | For     | For       | Management |



## Edgar Filing: TRI-CONTINENTAL CORP - Form N-PX

### Executive Officers' Compensation

|   |                                                  |         |         |             |
|---|--------------------------------------------------|---------|---------|-------------|
| 3 | Ratify PricewaterhouseCoopers LLP as<br>Auditors | For     | For     | Management  |
| 4 | Amend Omnibus Stock Plan                         | For     | For     | Management  |
| 5 | Amend Executive Incentive Bonus Plan             | For     | For     | Management  |
| 6 | Provide Right to Act by Written Consent          | Against | For     | Shareholder |
| 7 | Pro-rata Vesting of Equity Awards                | Against | Against | Shareholder |

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METLIFE, INC.

Ticker: MET Security ID: 59156R108

Meeting Date: APR 28, 2015 Meeting Type: Annual

Record Date: FEB 27, 2015

| #    | Proposal                            | Mgt Rec | Vote Cast | Sponsor    |
|------|-------------------------------------|---------|-----------|------------|
| 1.1  | Elect Director Cheryl W. Grise      | For     | For       | Management |
| 1.2  | Elect Director Carlos M. Gutierrez  | For     | For       | Management |
| 1.3  | Elect Director R. Glenn Hubbard     | For     | For       | Management |
| 1.4  | Elect Director Steven A. Kandarian  | For     | For       | Management |
| 1.5  | Elect Director Alfred F. Kelly, Jr. | For     | For       | Management |
| 1.6  | Elect Director Edward J. Kelly, III | For     | For       | Management |
| 1.7  | Elect Director William E. Kennard   | For     | For       | Management |
| 1.8  | Elect Director James M. Kilts       | For     | For       | Management |
| 1.9  | Elect Director Catherine R. Kinney  | For     | For       | Management |
| 1.10 | Elect Director Denise M. Morrison   | For     | For       | Management |

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|      |                                                                                |     |     |            |
|------|--------------------------------------------------------------------------------|-----|-----|------------|
| 1.11 | Elect Director Kenton J. Sicchitano                                            | For | For | Management |
| 1.12 | Elect Director Lulu C. Wang                                                    | For | For | Management |
| 2a   | Reduce Supermajority Vote Requirement<br>to Amend Certificate of Incorporation | For | For | Management |
| 2b   | Reduce Supermajority Vote Requirement<br>to Amend Bylaws                       | For | For | Management |
| 3    | Ratify Deloitte & Touche LLP as<br>Auditors                                    | For | For | Management |
| 4    | Advisory Vote to Ratify Named<br>Executive Officers' Compensation              | For | For | Management |

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MICRON TECHNOLOGY, INC.

Ticker: MU Security ID: 595112103

Meeting Date: JAN 22, 2015 Meeting Type: Annual

Record Date: NOV 21, 2014

| #   | Proposal                          | Mgt Rec | Vote Cast | Sponsor    |
|-----|-----------------------------------|---------|-----------|------------|
| 1.1 | Elect Director Robert L. Bailey   | For     | For       | Management |
| 1.2 | Elect Director Richard M. Beyer   | For     | For       | Management |
| 1.3 | Elect Director Patrick J. Byrne   | For     | For       | Management |
| 1.4 | Elect Director D. Mark Durcan     | For     | For       | Management |
| 1.5 | Elect Director D. Warren A. East  | For     | For       | Management |
| 1.6 | Elect Director Mercedes Johnson   | For     | For       | Management |
| 1.7 | Elect Director Lawrence N. Mondry | For     | For       | Management |

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|     |                                                                   |     |     |            |
|-----|-------------------------------------------------------------------|-----|-----|------------|
| 1.8 | Elect Director Robert E. Switz                                    | For | For | Management |
| 2   | Amend Omnibus Stock Plan                                          | For | For | Management |
| 3   | Ratify Auditors                                                   | For | For | Management |
| 4   | Eliminate Cumulative Voting                                       | For | For | Management |
| 5   | Approve Executive Incentive Bonus Plan                            | For | For | Management |
| 6   | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For | For | Management |

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MICROSOFT CORPORATION

Ticker: MSFT Security ID: 594918104

Meeting Date: DEC 03, 2014 Meeting Type: Annual

Record Date: SEP 30, 2014

| #    | Proposal                            | Mgt Rec | Vote Cast | Sponsor    |
|------|-------------------------------------|---------|-----------|------------|
| 1.1  | Elect Director William H. Gates III | For     | For       | Management |
| 1.2  | Elect Director Maria M. Klawe       | For     | For       | Management |
| 1.3  | Elect Director Teri L. List-Stoll   | For     | For       | Management |
| 1.4  | Elect Director G. Mason Morfit      | For     | For       | Management |
| 1.5  | Elect Director Satya Nadella        | For     | For       | Management |
| 1.6  | Elect Director Charles H. Noski     | For     | For       | Management |
| 1.7  | Elect Director Helmut Panke         | For     | For       | Management |
| 1.8  | Elect Director Charles W. Scharf    | For     | For       | Management |
| 1.9  | Elect Director John W. Stanton      | For     | For       | Management |
| 1.10 | Elect Director John W. Thompson     | For     | Against   | Management |

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|   |                                                                   |         |         |             |
|---|-------------------------------------------------------------------|---------|---------|-------------|
| 2 | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For     | Management  |
| 3 | Ratify Auditors                                                   | For     | For     | Management  |
| 4 | Proxy Access                                                      | Against | Against | Shareholder |

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MOODY'S CORPORATION

Ticker: MCO Security ID: 615369105

Meeting Date: APR 14, 2015 Meeting Type: Annual

Record Date: FEB 20, 2015

| #   | Proposal                                                          | Mgt Rec | Vote Cast | Sponsor    |
|-----|-------------------------------------------------------------------|---------|-----------|------------|
| 1.1 | Elect Director Jorge A. Bermudez                                  | For     | For       | Management |
| 1.2 | Elect Director Kathryn M. Hill                                    | For     | For       | Management |
| 1.3 | Elect Director Leslie F. Seidman                                  | For     | For       | Management |
| 1.4 | Elect Director Ewald Kist                                         | For     | For       | Management |
| 1.5 | Elect Director Henry A. McKinnell, Jr.                            | For     | For       | Management |
| 1.6 | Elect Director John K. Wulff                                      | For     | For       | Management |
| 2   | Ratify KPMG LLP as Auditors                                       | For     | For       | Management |
| 3   | Amend Executive Incentive Bonus Plan                              | For     | For       | Management |
| 4   | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For       | Management |

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NATIONAL OILWELL VARCO, INC.

Ticker: NOV Security ID: 637071101

Meeting Date: MAY 13, 2015 Meeting Type: Annual

Record Date: APR 01, 2015

| #  | Proposal                                                          | Mgt Rec | Vote Cast | Sponsor    |
|----|-------------------------------------------------------------------|---------|-----------|------------|
| 1A | Elect Director Clay C. Williams                                   | For     | For       | Management |
| 1B | Elect Director Greg L. Armstrong                                  | For     | For       | Management |
| 1C | Elect Director Robert E. Beauchamp                                | For     | For       | Management |
| 1D | Elect Director Marcela E. Donadio                                 | For     | For       | Management |
| 1E | Elect Director Ben A. Guill                                       | For     | For       | Management |
| 1F | Elect Director David D. Harrison                                  | For     | For       | Management |
| 1G | Elect Director Roger L. Jarvis                                    | For     | For       | Management |
| 1H | Elect Director Eric L. Mattson                                    | For     | For       | Management |
| 1I | Elect Director Jeffery A. Smisek                                  | For     | For       | Management |
| 2  | Ratify Ernst & Young LLP as Auditors                              | For     | For       | Management |
| 3  | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For       | Management |

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NAVIENT CORPORATION

Ticker: NAVI Security ID: 63938C108

Meeting Date: MAY 21, 2015 Meeting Type: Annual

## Edgar Filing: TRI-CONTINENTAL CORP - Form N-PX

Record Date: MAR 26, 2015

| #  | Proposal                                                          | Mgt Rec  | Vote Cast | Sponsor    |
|----|-------------------------------------------------------------------|----------|-----------|------------|
| 1a | Elect Director John K. Adams, Jr.                                 | For      | For       | Management |
| 1b | Elect Director Ann Torre Bates                                    | For      | For       | Management |
| 1c | Elect Director Anna Escobedo Cabral                               | For      | For       | Management |
| 1d | Elect Director William M.<br>Diefenderfer, III                    | For      | For       | Management |
| 1e | Elect Director Diane Suitt Gilleland                              | For      | For       | Management |
| 1f | Elect Director Katherine A. Lehman                                | For      | For       | Management |
| 1g | Elect Director Linda A. Mills                                     | For      | For       | Management |
| 1h | Elect Director Barry A. Munitz                                    | For      | For       | Management |
| 1i | Elect Director John (Jack) F. Remondi                             | For      | For       | Management |
| 1j | Elect Director Steven L. Shapiro                                  | For      | For       | Management |
| 1k | Elect Director Jane J. Thompson                                   | For      | For       | Management |
| 1l | Elect Director Laura S. Unger                                     | For      | For       | Management |
| 1m | Elect Director Barry L. Williams                                  | For      | For       | Management |
| 2  | Ratify KPMG LLP as Auditors                                       | For      | For       | Management |
| 3  | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For      | For       | Management |
| 4  | Advisory Vote on Say on Pay Frequency                             | One Year | One Year  | Management |
| 5  | Amend Omnibus Stock Plan                                          | For      | For       | Management |

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NRG YIELD, INC.

## Edgar Filing: TRI-CONTINENTAL CORP - Form N-PX

Ticker: NYLD Security ID: 62942X108

Meeting Date: MAY 05, 2015 Meeting Type: Annual

Record Date: MAR 16, 2015

| #   | Proposal                                               | Mgt Rec | Vote Cast | Sponsor    |
|-----|--------------------------------------------------------|---------|-----------|------------|
| 1.1 | Elect Director David Crane                             | For     | For       | Management |
| 1.2 | Elect Director John F. Chlebowski                      | For     | For       | Management |
| 1.3 | Elect Director Kirkland B. Andrews                     | For     | For       | Management |
| 1.4 | Elect Director Brian R. Ford                           | For     | For       | Management |
| 1.5 | Elect Director Mauricio Gutierrez                      | For     | For       | Management |
| 1.6 | Elect Director Ferrell P. McClean                      | For     | For       | Management |
| 1.7 | Elect Director Christopher S. Sotos                    | For     | For       | Management |
| 2A  | Authorize a New Class C and Class D of<br>Common Stock | For     | For       | Management |
| 2B  | Approve Stock Split                                    | For     | For       | Management |
| 3   | Amend Omnibus Stock Plan                               | For     | For       | Management |
| 4   | Ratify KPMG LLP as Auditors                            | For     | For       | Management |

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NVIDIA CORPORATION

Ticker: NVDA Security ID: 67066G104

Meeting Date: MAY 20, 2015 Meeting Type: Annual

Record Date: MAR 24, 2015

| # | Proposal | Mgt Rec | Vote Cast | Sponsor |
|---|----------|---------|-----------|---------|
|---|----------|---------|-----------|---------|

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|    |                                                                   |     |     |            |
|----|-------------------------------------------------------------------|-----|-----|------------|
| 1a | Elect Director Robert K. Burgess                                  | For | For | Management |
| 1b | Elect Director Tench Coxe                                         | For | For | Management |
| 1c | Elect Director Persis S. Drell                                    | For | For | Management |
| 1d | Elect Director James C. Gaither                                   | For | For | Management |
| 1e | Elect Director Jen-Hsun Huang                                     | For | For | Management |
| 1f | Elect Director Dawn Hudson                                        | For | For | Management |
| 1g | Elect Director Harvey C. Jones                                    | For | For | Management |
| 1h | Elect Director Michael G. McCaffery                               | For | For | Management |
| 1i | Elect Director William J. Miller                                  | For | For | Management |
| 1j | Elect Director Mark L. Perry                                      | For | For | Management |
| 1k | Elect Director A. Brooke Seawell                                  | For | For | Management |
| 1l | Elect Director Mark A. Stevens                                    | For | For | Management |
| 2  | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For | For | Management |
| 3  | Ratify PricewaterhouseCoopers LLP as<br>Auditors                  | For | For | Management |

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OCCIDENTAL PETROLEUM CORPORATION

Ticker: OXY Security ID: 674599105

Meeting Date: MAY 01, 2015 Meeting Type: Annual

Record Date: MAR 10, 2015

| #   | Proposal                       | Mgt Rec | Vote Cast | Sponsor    |
|-----|--------------------------------|---------|-----------|------------|
| 1.1 | Elect Director Spencer Abraham | For     | For       | Management |



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|      |                                                                                |         |         |             |
|------|--------------------------------------------------------------------------------|---------|---------|-------------|
| 1.2  | Elect Director Howard I. Atkins                                                | For     | For     | Management  |
| 1.3  | Elect Director Eugene L. Batchelder                                            | For     | For     | Management  |
| 1.4  | Elect Director Stephen I. Chazen                                               | For     | For     | Management  |
| 1.5  | Elect Director John E. Feick                                                   | For     | For     | Management  |
| 1.6  | Elect Director Margaret M. Foran                                               | For     | For     | Management  |
| 1.7  | Elect Director Carlos M. Gutierrez                                             | For     | For     | Management  |
| 1.8  | Elect Director William R. Klesse                                               | For     | Against | Management  |
| 1.9  | Elect Director Avedick B. Poladian                                             | For     | For     | Management  |
| 1.10 | Elect Director Elisse B. Walter                                                | For     | For     | Management  |
| 2    | Advisory Vote to Ratify Named<br>Executive Officers' Compensation              | For     | For     | Management  |
| 3    | Approve Omnibus Stock Plan                                                     | For     | For     | Management  |
| 4    | Ratify KPMG LLP as Auditors                                                    | For     | For     | Management  |
| 5    | Claw-back of Payments under<br>Restatements                                    | Against | Against | Shareholder |
| 6    | Adopt Proxy Access Right                                                       | Against | For     | Shareholder |
| 7    | Report on Methane and Flaring<br>Emissions Management and Reduction<br>Targets | Against | Abstain | Shareholder |
| 8    | Review and Assess Membership of<br>Lobbying Organizations                      | Against | Against | Shareholder |

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ONEOK, INC.

Ticker: OKE Security ID: 682680103

## Edgar Filing: TRI-CONTINENTAL CORP - Form N-PX

Meeting Date: MAY 20, 2015 Meeting Type: Annual

Record Date: MAR 23, 2015

| #    | Proposal                                                          | Mgt Rec | Vote Cast | Sponsor    |
|------|-------------------------------------------------------------------|---------|-----------|------------|
| 1.1  | Elect Director James C. Day                                       | For     | For       | Management |
| 1.2  | Elect Director Julie H. Edwards                                   | For     | For       | Management |
| 1.3  | Elect Director William L. Ford                                    | For     | For       | Management |
| 1.4  | Elect Director John W. Gibson                                     | For     | Against   | Management |
| 1.5  | Elect Director Steven J. Malcolm                                  | For     | For       | Management |
| 1.6  | Elect Director Jim W. Mogg                                        | For     | For       | Management |
| 1.7  | Elect Director Pattye L. Moore                                    | For     | For       | Management |
| 1.8  | Elect Director Gary D. Parker                                     | For     | For       | Management |
| 1.9  | Elect Director Eduardo A. Rodriguez                               | For     | For       | Management |
| 1.10 | Elect Director Terry K. Spencer                                   | For     | For       | Management |
| 2    | Ratify PricewaterhouseCoopers LLP as<br>Auditors                  | For     | For       | Management |
| 3    | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For       | Management |

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ORACLE CORPORATION

Ticker: ORCL Security ID: 68389X105

Meeting Date: NOV 05, 2014 Meeting Type: Annual

Record Date: SEP 08, 2014

## Edgar Filing: TRI-CONTINENTAL CORP - Form N-PX

| #    | Proposal                                                              | Mgt Rec | Vote Cast | Sponsor     |
|------|-----------------------------------------------------------------------|---------|-----------|-------------|
| 1.1  | Elect Director Jeffrey S. Berg                                        | For     | For       | Management  |
| 1.2  | Elect Director H. Raymond Bingham                                     | For     | Withhold  | Management  |
| 1.3  | Elect Director Michael J. Boskin                                      | For     | For       | Management  |
| 1.4  | Elect Director Safra A. Catz                                          | For     | For       | Management  |
| 1.5  | Elect Director Bruce R. Chizen                                        | For     | Withhold  | Management  |
| 1.6  | Elect Director George H. Conrades                                     | For     | For       | Management  |
| 1.7  | Elect Director Lawrence J. Ellison                                    | For     | For       | Management  |
| 1.8  | Elect Director Hector Garcia-Molina                                   | For     | For       | Management  |
| 1.9  | Elect Director Jeffrey O. Henley                                      | For     | For       | Management  |
| 1.10 | Elect Director Mark V. Hurd                                           | For     | For       | Management  |
| 1.11 | Elect Director Naomi O. Seligman                                      | For     | For       | Management  |
| 2    | Advisory Vote to Ratify Named<br>Executive Officers' Compensation     | For     | Against   | Management  |
| 3    | Ratify Auditors                                                       | For     | For       | Management  |
| 4    | Provide Vote Counting to Exclude<br>Abstentions                       | Against | For       | Shareholder |
| 5    | Adopt Multiple Performance Metrics<br>Under Executive Incentive Plans | Against | Against   | Shareholder |
| 6    | Adopt Specific Performance Standards                                  | Against | Against   | Shareholder |
| 7    | Adopt Proxy Access Right                                              | Against | For       | Shareholder |

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PEPSICO, INC.

Ticker: PEP Security ID: 713448108

## Edgar Filing: TRI-CONTINENTAL CORP - Form N-PX

Meeting Date: MAY 06, 2015 Meeting Type: Annual

Record Date: FEB 27, 2015

| #    | Proposal                                                          | Mgt Rec | Vote Cast | Sponsor     |
|------|-------------------------------------------------------------------|---------|-----------|-------------|
| 1.1  | Elect Director Shona L. Brown                                     | For     | For       | Management  |
| 1.2  | Elect Director George W. Buckley                                  | For     | For       | Management  |
| 1.3  | Elect Director Ian M. Cook                                        | For     | For       | Management  |
| 1.4  | Elect Director Dina Dublon                                        | For     | For       | Management  |
| 1.5  | Elect Director Rona A. Fairhead                                   | For     | For       | Management  |
| 1.6  | Elect Director Richard W. Fisher                                  | For     | For       | Management  |
| 1.7  | Elect Director Alberto Ibarguen                                   | For     | For       | Management  |
| 1.8  | Elect Director William R. Johnson                                 | For     | For       | Management  |
| 1.9  | Elect Director Indra K. Nooyi                                     | For     | For       | Management  |
| 1.10 | Elect Director David C. Page                                      | For     | For       | Management  |
| 1.11 | Elect Director Robert C. Pohlrad                                  | For     | For       | Management  |
| 1.12 | Elect Director Lloyd G. Trotter                                   | For     | For       | Management  |
| 1.13 | Elect Director Daniel Vasella                                     | For     | For       | Management  |
| 1.14 | Elect Director Alberto Weisser                                    | For     | For       | Management  |
| 2    | Ratify KPMG LLP as Auditors                                       | For     | For       | Management  |
| 3    | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For       | Management  |
| 4    | Establish a Board Committee on<br>Sustainability                  | Against | Abstain   | Shareholder |
| 5    | Pro-Rata Vesting of Equity Awards                                 | Against | Against   | Shareholder |
| 6    | Report on Plans to Minimize<br>Pesticides' Impact on Pollinators  | Against | Abstain   | Shareholder |

## Edgar Filing: TRI-CONTINENTAL CORP - Form N-PX

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PFIZER INC.

Ticker: PFE Security ID: 717081103

Meeting Date: APR 23, 2015 Meeting Type: Annual

Record Date: FEB 25, 2015

| #    | Proposal                                                          | Mgt Rec | Vote Cast | Sponsor     |
|------|-------------------------------------------------------------------|---------|-----------|-------------|
| 1.1  | Elect Director Dennis A. Ausiello                                 | For     | For       | Management  |
| 1.2  | Elect Director W. Don Cornwell                                    | For     | For       | Management  |
| 1.3  | Elect Director Frances D. Fergusson                               | For     | For       | Management  |
| 1.4  | Elect Director Helen H. Hobbs                                     | For     | For       | Management  |
| 1.5  | Elect Director James M. Kilts                                     | For     | For       | Management  |
| 1.6  | Elect Director Shantanu Narayen                                   | For     | For       | Management  |
| 1.7  | Elect Director Suzanne Nora Johnson                               | For     | For       | Management  |
| 1.8  | Elect Director Ian C. Read                                        | For     | For       | Management  |
| 1.9  | Elect Director Stephen W. Sanger                                  | For     | For       | Management  |
| 1.10 | Elect Director James C. Smith                                     | For     | For       | Management  |
| 1.11 | Elect Director Marc Tessier-Lavigne                               | For     | For       | Management  |
| 2    | Ratify KPMG LLP as Auditors                                       | For     | For       | Management  |
| 3    | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For       | Management  |
| 4    | Review and Assess Membership of<br>Lobbying Organizations         | Against | Against   | Shareholder |

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PG&E CORPORATION

Ticker: PCG Security ID: 69331C108

Meeting Date: MAY 04, 2015 Meeting Type: Annual

Record Date: MAR 05, 2015

| #    | Proposal                                                          | Mgt Rec | Vote Cast | Sponsor     |
|------|-------------------------------------------------------------------|---------|-----------|-------------|
| 1.1  | Elect Director Lewis Chew                                         | For     | For       | Management  |
| 1.2  | Elect Director Anthony F. Earley, Jr.                             | For     | For       | Management  |
| 1.3  | Elect Director Fred J. Fowler                                     | For     | For       | Management  |
| 1.4  | Elect Director Maryellen C. Herringer                             | For     | For       | Management  |
| 1.5  | Elect Director Richard C. Kelly                                   | For     | For       | Management  |
| 1.6  | Elect Director Roger H. Kimmel                                    | For     | For       | Management  |
| 1.7  | Elect Director Richard A. Meserve                                 | For     | For       | Management  |
| 1.8  | Elect Director Forrest E. Miller                                  | For     | For       | Management  |
| 1.9  | Elect Director Rosendo G. Parra                                   | For     | For       | Management  |
| 1.10 | Elect Director Barbara L. Rambo                                   | For     | For       | Management  |
| 1.11 | Elect Director Anne Shen Smith                                    | For     | For       | Management  |
| 1.12 | Elect Director Barry Lawson Williams                              | For     | For       | Management  |
| 2    | Ratify Deloitte & Touche LLP as<br>Auditors                       | For     | For       | Management  |
| 3    | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For       | Management  |
| 4    | Require Independent Board Chairman                                | Against | For       | Shareholder |

## Edgar Filing: TRI-CONTINENTAL CORP - Form N-PX

PHILIP MORRIS INTERNATIONAL INC.

Ticker: PM Security ID: 718172109

Meeting Date: MAY 06, 2015 Meeting Type: Annual

Record Date: MAR 13, 2015

| #    | Proposal                                                          | Mgt Rec | Vote Cast | Sponsor     |
|------|-------------------------------------------------------------------|---------|-----------|-------------|
| 1.1  | Elect Director Harold Brown                                       | For     | For       | Management  |
| 1.2  | Elect Director Andre Calantzopoulos                               | For     | For       | Management  |
| 1.3  | Elect Director Louis C. Camilleri                                 | For     | For       | Management  |
| 1.4  | Elect Director Werner Geissler                                    | For     | For       | Management  |
| 1.5  | Elect Director Jennifer Li                                        | For     | For       | Management  |
| 1.6  | Elect Director Jun Makihara                                       | For     | For       | Management  |
| 1.7  | Elect Director Sergio Marchionne                                  | For     | For       | Management  |
| 1.8  | Elect Director Kalpana Morparia                                   | For     | For       | Management  |
| 1.9  | Elect Director Lucio A. Noto                                      | For     | For       | Management  |
| 1.10 | Elect Director Frederik Paulsen                                   | For     | For       | Management  |
| 1.11 | Elect Director Robert B. Polet                                    | For     | For       | Management  |
| 1.12 | Elect Director Stephen M. Wolf                                    | For     | For       | Management  |
| 2    | Ratify PricewaterhouseCoopers SA as<br>Auditors                   | For     | For       | Management  |
| 3    | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | Against   | Management  |
| 4    | Report on Lobbying Payments and Policy                            | Against | For       | Shareholder |
| 5    | Adopt Anti-Forced Labor Policy for<br>Tobacco Supply Chain        | Against | Abstain   | Shareholder |

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PHILLIPS 66

Ticker: PSX Security ID: 718546104

Meeting Date: MAY 06, 2015 Meeting Type: Annual

Record Date: MAR 13, 2015

| #  | Proposal                                                          | Mgt Rec | Vote Cast | Sponsor     |
|----|-------------------------------------------------------------------|---------|-----------|-------------|
| 1a | Elect Director J. Brian Ferguson                                  | For     | For       | Management  |
| 1b | Elect Director Harold W. McGraw, III                              | For     | For       | Management  |
| 1c | Elect Director Victoria J. Tschinkel                              | For     | For       | Management  |
| 2  | Ratify Ernst & Young LLP as Auditors                              | For     | For       | Management  |
| 3  | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For       | Management  |
| 4  | Declassify the Board of Directors                                 | For     | For       | Management  |
| 5  | Adopt Quantitative GHG Goals for<br>Operations                    | Against | Abstain   | Shareholder |

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PUBLIC SERVICE ENTERPRISE GROUP INCORPORATED

Ticker: PEG Security ID: 744573106

Meeting Date: APR 21, 2015 Meeting Type: Annual

Record Date: FEB 20, 2015



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| #    | Proposal                                                          | Mgt Rec | Vote Cast | Sponsor    |
|------|-------------------------------------------------------------------|---------|-----------|------------|
| 1.1  | Elect Director Albert R. Gamper, Jr.                              | For     | For       | Management |
| 1.2  | Elect Director William V. Hickey                                  | For     | For       | Management |
| 1.3  | Elect Director Ralph Izzo                                         | For     | For       | Management |
| 1.4  | Elect Director Shirley Ann Jackson                                | For     | For       | Management |
| 1.5  | Elect Director David Lilley                                       | For     | For       | Management |
| 1.6  | Elect Director Thomas A. Renyi                                    | For     | For       | Management |
| 1.7  | Elect Director Hak Cheol (H.C) Shin                               | For     | For       | Management |
| 1.8  | Elect Director Richard J. Swift                                   | For     | For       | Management |
| 1.9  | Elect Director Susan Tomasky                                      | For     | For       | Management |
| 1.10 | Elect Director Alfred W. Zollar                                   | For     | For       | Management |
| 2    | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For       | Management |
| 3    | Ratify Deloitte & Touche LLP as<br>Auditors                       | For     | For       | Management |

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QUALCOMM INCORPORATED

Ticker: QCOM Security ID: 747525103

Meeting Date: MAR 09, 2015 Meeting Type: Annual

Record Date: JAN 12, 2015

| #  | Proposal                            | Mgt Rec | Vote Cast | Sponsor    |
|----|-------------------------------------|---------|-----------|------------|
| 1a | Elect Director Barbara T. Alexander | For     | For       | Management |

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|    |                                                                   |     |     |            |
|----|-------------------------------------------------------------------|-----|-----|------------|
| 1b | Elect Director Donald G. Cruickshank                              | For | For | Management |
| 1c | Elect Director Raymond V. Dittamore                               | For | For | Management |
| 1d | Elect Director Susan Hockfield                                    | For | For | Management |
| 1e | Elect Director Thomas W. Horton                                   | For | For | Management |
| 1f | Elect Director Paul E. Jacobs                                     | For | For | Management |
| 1g | Elect Director Sherry Lansing                                     | For | For | Management |
| 1h | Elect Director Harish Manwani                                     | For | For | Management |
| 1i | Elect Director Steven M. Mollenkopf                               | For | For | Management |
| 1j | Elect Director Duane A. Nelles                                    | For | For | Management |
| 1k | Elect Director Clark T. 'Sandy' Randt,<br>Jr.                     | For | For | Management |
| 1l | Elect Director Francisco Ros                                      | For | For | Management |
| 1m | Elect Director Jonathan J. Rubinstein                             | For | For | Management |
| 1n | Elect Director Brent Scowcroft                                    | For | For | Management |
| 1o | Elect Director Marc I. Stern                                      | For | For | Management |
| 2  | Ratify PricewaterhouseCoopers LLP as<br>Auditors                  | For | For | Management |
| 3  | Amend Qualified Employee Stock<br>Purchase Plan                   | For | For | Management |
| 4  | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For | For | Management |

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SIMON PROPERTY GROUP, INC.

Ticker: SPG Security ID: 828806109

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Meeting Date: MAY 14, 2015 Meeting Type: Annual

Record Date: MAR 16, 2015

| #  | Proposal                                                          | Mgt Rec | Vote Cast | Sponsor     |
|----|-------------------------------------------------------------------|---------|-----------|-------------|
| 1a | Elect Director Melvyn E. Bergstein                                | For     | For       | Management  |
| 1b | Elect Director Larry C. Glasscock                                 | For     | For       | Management  |
| 1c | Elect Director Karen N. Horn                                      | For     | For       | Management  |
| 1d | Elect Director Allan Hubbard                                      | For     | For       | Management  |
| 1e | Elect Director Reuben S. Leibowitz                                | For     | For       | Management  |
| 1f | Elect Director Daniel C. Smith                                    | For     | For       | Management  |
| 1g | Elect Director J. Albert Smith, Jr.                               | For     | For       | Management  |
| 2  | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For       | Management  |
| 3  | Ratify Ernst & Young LLP as Auditors                              | For     | For       | Management  |
| 4  | Provide Vote Counting to Exclude<br>Abstentions                   | Against | For       | Shareholder |

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SOUTHWEST AIRLINES CO.

Ticker: LUV Security ID: 844741108

Meeting Date: MAY 13, 2015 Meeting Type: Annual

Record Date: MAR 17, 2015

| #  | Proposal                        | Mgt Rec | Vote Cast | Sponsor    |
|----|---------------------------------|---------|-----------|------------|
| 1a | Elect Director David W. Biegler | For     | For       | Management |

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|    |                                                                   |     |     |            |
|----|-------------------------------------------------------------------|-----|-----|------------|
| 1b | Elect Director J. Veronica Biggins                                | For | For | Management |
| 1c | Elect Director Douglas H. Brooks                                  | For | For | Management |
| 1d | Elect Director William H. Cunningham                              | For | For | Management |
| 1e | Elect Director John G. Denison                                    | For | For | Management |
| 1f | Elect Director Gary C. Kelly                                      | For | For | Management |
| 1g | Elect Director Nancy B. Loeffler                                  | For | For | Management |
| 1h | Elect Director John T. Montford                                   | For | For | Management |
| 1i | Elect Director Thomas M. Nealon                                   | For | For | Management |
| 1j | Elect Director Daniel D. Villanueva                               | For | For | Management |
| 2  | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For | For | Management |
| 3  | Amend Omnibus Stock Plan                                          | For | For | Management |
| 4  | Ratify Ernst & Young LLP as Auditors                              | For | For | Management |

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STAPLES, INC.

Ticker: SPLS Security ID: 855030102

Meeting Date: JUN 01, 2015 Meeting Type: Annual

Record Date: APR 06, 2015

| #  | Proposal                          | Mgt Rec | Vote Cast | Sponsor    |
|----|-----------------------------------|---------|-----------|------------|
| 1a | Elect Director Basil L. Anderson  | For     | For       | Management |
| 1b | Elect Director Drew G. Faust      | For     | For       | Management |
| 1c | Elect Director Paul-Henri Ferrand | For     | For       | Management |
| 1d | Elect Director Kunal S. Kamalani  | For     | For       | Management |

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|    |                                                                   |         |     |             |
|----|-------------------------------------------------------------------|---------|-----|-------------|
| 1e | Elect Director Carol Meyrowitz                                    | For     | For | Management  |
| 1f | Elect Director Rowland T. Moriarty                                | For     | For | Management  |
| 1g | Elect Director Ronald L. Sargent                                  | For     | For | Management  |
| 1h | Elect Director Robert E. Sulentic                                 | For     | For | Management  |
| 1i | Elect Director Raul Vazquez                                       | For     | For | Management  |
| 1j | Elect Director Vijay Vishwanath                                   | For     | For | Management  |
| 1k | Elect Director Paul F. Walsh                                      | For     | For | Management  |
| 2  | Amend Qualified Employee Stock<br>Purchase Plan                   | For     | For | Management  |
| 3  | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For | Management  |
| 4  | Ratify Ernst & Young LLP as Auditors                              | For     | For | Management  |
| 5  | Eliminate or Restrict Severance<br>Agreements (Change-in-Control) | Against | For | Shareholder |
| 6  | Require Independent Board Chairman                                | Against | For | Shareholder |

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STARWOOD PROPERTY TRUST, INC.

Ticker: STWD Security ID: 85571B105

Meeting Date: APR 21, 2015 Meeting Type: Annual

Record Date: MAR 03, 2015

| #   | Proposal                          | Mgt Rec | Vote Cast | Sponsor    |
|-----|-----------------------------------|---------|-----------|------------|
| 1.1 | Elect Director Richard D. Bronson | For     | For       | Management |
| 1.2 | Elect Director Jeffrey G. Dishner | For     | For       | Management |

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|     |                                                                   |         |          |             |
|-----|-------------------------------------------------------------------|---------|----------|-------------|
| 1.3 | Elect Director Camille J. Douglas                                 | For     | For      | Management  |
| 1.4 | Elect Director Solomon J. Kumin                                   | For     | For      | Management  |
| 1.5 | Elect Director Barry S. Sternlicht                                | For     | Withhold | Management  |
| 1.6 | Elect Director Strauss Zelnick                                    | For     | For      | Management  |
| 2   | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For      | Management  |
| 3   | Ratify Deloitte & Touche LLP as<br>Auditors                       | For     | For      | Management  |
| 4   | Require Independent Board Chairman                                | Against | For      | Shareholder |

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THE AES CORPORATION

Ticker: AES Security ID: 00130H105

Meeting Date: APR 23, 2015 Meeting Type: Annual

Record Date: FEB 27, 2015

| #   | Proposal                             | Mgt Rec | Vote Cast | Sponsor    |
|-----|--------------------------------------|---------|-----------|------------|
| 1.1 | Elect Director Andres R. Gluski      | For     | For       | Management |
| 1.2 | Elect Director Charles L. Harrington | For     | For       | Management |
| 1.3 | Elect Director Kristina M. Johnson   | For     | For       | Management |
| 1.4 | Elect Director Tarun Khanna          | For     | For       | Management |
| 1.5 | Elect Director Holly K. Koepfel      | For     | For       | Management |
| 1.6 | Elect Director Philip Lader          | For     | For       | Management |
| 1.7 | Elect Director James H. Miller       | For     | For       | Management |
| 1.8 | Elect Director John B. Morse, Jr.    | For     | For       | Management |

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|      |                                                                   |         |         |             |
|------|-------------------------------------------------------------------|---------|---------|-------------|
| 1.9  | Elect Director Moises Naim                                        | For     | For     | Management  |
| 1.10 | Elect Director Charles O. Rossotti                                | For     | For     | Management  |
| 2    | Amend Omnibus Stock Plan                                          | For     | For     | Management  |
| 3    | Amend Executive Incentive Bonus Plan                              | For     | For     | Management  |
| 4    | Ratify Ernst & Young LLP as Auditors                              | For     | For     | Management  |
| 5    | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For     | Management  |
| 6    | Provide Right to Call Special Meeting                             | For     | For     | Management  |
| 7    | Provide Proxy Access Right                                        | For     | Against | Management  |
| 8    | Provide Right to Call Special Meeting                             | Against | Against | Shareholder |
| 9    | Proxy Access                                                      | Against | For     | Shareholder |

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THE BOEING COMPANY

Ticker: BA Security ID: 097023105

Meeting Date: APR 27, 2015 Meeting Type: Annual

Record Date: FEB 26, 2015

| #  | Proposal                                      | Mgt Rec | Vote Cast | Sponsor    |
|----|-----------------------------------------------|---------|-----------|------------|
| 1a | Elect Director David L. Calhoun               | For     | For       | Management |
| 1b | Elect Director Arthur D. Collins, Jr.         | For     | For       | Management |
| 1c | Elect Director Kenneth M. Duberstein          | For     | For       | Management |
| 1d | Elect Director Edmund P. Giambastiani,<br>Jr. | For     | For       | Management |
| 1e | Elect Director Lawrence W. Kellner            | For     | For       | Management |

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|    |                                                                   |         |         |             |
|----|-------------------------------------------------------------------|---------|---------|-------------|
| 1f | Elect Director Edward M. Liddy                                    | For     | For     | Management  |
| 1g | Elect Director W. James McNerney, Jr.                             | For     | For     | Management  |
| 1h | Elect Director Susan C. Schwab                                    | For     | For     | Management  |
| 1i | Elect Director Ronald A. Williams                                 | For     | For     | Management  |
| 1j | Elect Director Mike S. Zafirovski                                 | For     | For     | Management  |
| 2  | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For     | Management  |
| 3  | Ratify Deloitte & Touche LLP as<br>Auditors                       | For     | For     | Management  |
| 4  | Claw-back of Payments under<br>Restatements                       | Against | Against | Shareholder |
| 5  | Require Independent Board Chairman                                | Against | For     | Shareholder |
| 6  | Provide Right to Act by Written Consent                           | Against | For     | Shareholder |
| 7  | Report on Lobbying Payments and Policy                            | Against | Against | Shareholder |

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THE DOW CHEMICAL COMPANY

Ticker: DOW Security ID: 260543103

Meeting Date: MAY 14, 2015 Meeting Type: Annual

Record Date: MAR 16, 2015

| #  | Proposal                            | Mgt Rec | Vote Cast | Sponsor    |
|----|-------------------------------------|---------|-----------|------------|
| 1a | Elect Director Ajay Banga           | For     | For       | Management |
| 1b | Elect Director Jacqueline K. Barton | For     | For       | Management |
| 1c | Elect Director James A. Bell        | For     | For       | Management |



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|    |                                                                   |         |         |             |
|----|-------------------------------------------------------------------|---------|---------|-------------|
| 1d | Elect Director Richard K. Davis                                   | For     | For     | Management  |
| 1e | Elect Director Jeff M. Fettig                                     | For     | For     | Management  |
| 1f | Elect Director Andrew N. Liveris                                  | For     | For     | Management  |
| 1g | Elect Director Mark Loughridge                                    | For     | For     | Management  |
| 1h | Elect Director Raymond J. Milchovich                              | For     | For     | Management  |
| 1i | Elect Director Robert S. Miller                                   | For     | For     | Management  |
| 1j | Elect Director Paul Polman                                        | For     | For     | Management  |
| 1k | Elect Director Dennis H. Reilley                                  | For     | For     | Management  |
| 1l | Elect Director James M. Ringler                                   | For     | For     | Management  |
| 1m | Elect Director Ruth G. Shaw                                       | For     | For     | Management  |
| 2  | Ratify Deloitte & Touche LLP as<br>Auditors                       | For     | For     | Management  |
| 3  | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For     | Management  |
| 4  | Pro-rata Vesting of Equity Awards                                 | Against | Against | Shareholder |

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THE DUN & BRADSTREET CORPORATION

Ticker: DNB Security ID: 26483E100

Meeting Date: MAY 06, 2015 Meeting Type: Annual

Record Date: MAR 11, 2015

| #  | Proposal                               | Mgt Rec | Vote Cast | Sponsor    |
|----|----------------------------------------|---------|-----------|------------|
| 1a | Elect Director Robert P. Carrigan      | For     | For       | Management |
| 1b | Elect Director Christopher J. Coughlin | For     | For       | Management |

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|    |                                                                   |         |         |             |
|----|-------------------------------------------------------------------|---------|---------|-------------|
| 1c | Elect Director L. Gordon Crovitz                                  | For     | For     | Management  |
| 1d | Elect Director James N. Fernandez                                 | For     | For     | Management  |
| 1e | Elect Director Paul R. Garcia                                     | For     | For     | Management  |
| 1f | Elect Director Anastassia Lauterbach                              | For     | For     | Management  |
| 1g | Elect Director Thomas J. Manning                                  | For     | For     | Management  |
| 1h | Elect Director Sandra E. Peterson                                 | For     | For     | Management  |
| 1i | Elect Director Judith A. Reinsdorf                                | For     | For     | Management  |
| 2  | Ratify PricewaterhouseCoopers LLP as<br>Auditors                  | For     | For     | Management  |
| 3  | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For     | Management  |
| 4  | Approve Qualified Employee Stock<br>Purchase Plan                 | For     | For     | Management  |
| 5  | Amend Right to Call Special Meeting                               | For     | Against | Management  |
| 6  | Amend Bylaws -- Call Special Meetings                             | Against | For     | Shareholder |

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THE HOME DEPOT, INC.

Ticker: HD Security ID: 437076102

Meeting Date: MAY 21, 2015 Meeting Type: Annual

Record Date: MAR 23, 2015

| #  | Proposal                            | Mgt Rec | Vote Cast | Sponsor    |
|----|-------------------------------------|---------|-----------|------------|
| 1a | Elect Director Ari Bousbib          | For     | For       | Management |
| 1b | Elect Director Gregory D. Brenneman | For     | For       | Management |

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|    |                                                                   |         |     |             |
|----|-------------------------------------------------------------------|---------|-----|-------------|
| 1c | Elect Director J. Frank Brown                                     | For     | For | Management  |
| 1d | Elect Director Albert P. Carey                                    | For     | For | Management  |
| 1e | Elect Director Armando Codina                                     | For     | For | Management  |
| 1f | Elect Director Helena B. Foulkes                                  | For     | For | Management  |
| 1g | Elect Director Wayne M. Hewett                                    | For     | For | Management  |
| 1h | Elect Director Karen L. Katen                                     | For     | For | Management  |
| 1i | Elect Director Craig A. Menear                                    | For     | For | Management  |
| 1j | Elect Director Mark Vadon                                         | For     | For | Management  |
| 2  | Ratify KPMG LLP as Auditors                                       | For     | For | Management  |
| 3  | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For | Management  |
| 4  | Require Independent Board Chairman                                | Against | For | Shareholder |
| 5  | Amend Bylaws -- Call Special Meetings                             | Against | For | Shareholder |

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THE KROGER CO.

Ticker: KR Security ID: 501044101

Meeting Date: JUN 25, 2015 Meeting Type: Annual

Record Date: APR 30, 2015

| #  | Proposal                         | Mgt Rec | Vote Cast | Sponsor    |
|----|----------------------------------|---------|-----------|------------|
| 1a | Elect Director Nora A. Aufreiter | For     | For       | Management |
| 1b | Elect Director Robert D. Beyer   | For     | For       | Management |
| 1c | Elect Director Susan J. Kropf    | For     | For       | Management |
| 1d | Elect Director David B. Lewis    | For     | For       | Management |

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|    |                                                                   |         |         |             |
|----|-------------------------------------------------------------------|---------|---------|-------------|
| 1e | Elect Director W. Rodney McMullen                                 | For     | For     | Management  |
| 1f | Elect Director Jorge P. Montoya                                   | For     | For     | Management  |
| 1g | Elect Director Clyde R. Moore                                     | For     | For     | Management  |
| 1h | Elect Director Susan M. Phillips                                  | For     | For     | Management  |
| 1i | Elect Director James A. Runde                                     | For     | For     | Management  |
| 1j | Elect Director Ronald L. Sargent                                  | For     | For     | Management  |
| 1k | Elect Director Bobby S. Shackouls                                 | For     | For     | Management  |
| 2  | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For     | Management  |
| 3  | Ratify PricewaterhouseCoopers LLP as<br>Auditors                  | For     | For     | Management  |
| 4  | Report on Human Rights Risk Assessment<br>Process                 | Against | Abstain | Shareholder |
| 5  | Assess Environmental Impact of<br>Non-Recyclable Packaging        | Against | Abstain | Shareholder |
| 6  | Report on Policy Options to Reduce<br>Antibiotic Use in Products  | Against | Abstain | Shareholder |

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THE WALT DISNEY COMPANY

Ticker: DIS Security ID: 254687106

Meeting Date: MAR 12, 2015 Meeting Type: Annual

Record Date: JAN 12, 2015

| # | Proposal | Mgt Rec | Vote Cast | Sponsor |
|---|----------|---------|-----------|---------|
|---|----------|---------|-----------|---------|

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|    |                                                                   |         |         |             |
|----|-------------------------------------------------------------------|---------|---------|-------------|
| 1a | Elect Director Susan E. Arnold                                    | For     | For     | Management  |
| 1b | Elect Director John S. Chen                                       | For     | For     | Management  |
| 1c | Elect Director Jack Dorsey                                        | For     | For     | Management  |
| 1d | Elect Director Robert A. Iger                                     | For     | For     | Management  |
| 1e | Elect Director Fred H. Langhammer                                 | For     | For     | Management  |
| 1f | Elect Director Aylwin B. Lewis                                    | For     | For     | Management  |
| 1g | Elect Director Monica C. Lozano                                   | For     | For     | Management  |
| 1h | Elect Director Robert W. Matschullat                              | For     | For     | Management  |
| 1i | Elect Director Sheryl K. Sandberg                                 | For     | For     | Management  |
| 1j | Elect Director Orin C. Smith                                      | For     | For     | Management  |
| 2  | Ratify PricewaterhouseCoopers LLP as<br>Auditors                  | For     | For     | Management  |
| 3  | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | Against | Management  |
| 4  | Require Independent Board Chairman                                | Against | For     | Shareholder |
| 5  | Pro-rata Vesting of Equity Awards                                 | Against | Against | Shareholder |

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TRI-CONTINENTAL CORPORATION

Ticker: TY Security ID: 895436103

Meeting Date: APR 13, 2015 Meeting Type: Annual

Record Date: FEB 26, 2015

| #   | Proposal                      | Mgt Rec | Vote Cast | Sponsor    |
|-----|-------------------------------|---------|-----------|------------|
| 1.1 | Elect Director Kathleen Blatz | For     | For       | Management |

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|     |                                                  |         |     |             |
|-----|--------------------------------------------------|---------|-----|-------------|
| 1.2 | Elect Director Pamela G. Carlton                 | For     | For | Management  |
| 1.3 | Elect Director Alison Taunton-Rigby              | For     | For | Management  |
| 1.4 | Elect Director William A. Hawkins                | For     | For | Management  |
| 2   | Ratify PricewaterhouseCoopers LLP as<br>Auditors | For     | For | Management  |
| 3   | Convert Closed-End Fund to Open-End<br>Fund      | Against | For | Shareholder |

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TYSON FOODS, INC.

Ticker: TSN Security ID: 902494103

Meeting Date: JAN 30, 2015 Meeting Type: Annual

Record Date: DEC 01, 2014

| #  | Proposal                                | Mgt Rec | Vote Cast | Sponsor    |
|----|-----------------------------------------|---------|-----------|------------|
| 1a | Elect Director John Tyson               | For     | For       | Management |
| 1b | Elect Director Kathleen M. Bader        | For     | For       | Management |
| 1c | Elect Director Gaurdie E. Banister, Jr. | For     | For       | Management |
| 1d | Elect Director Jim Kever                | For     | For       | Management |
| 1e | Elect Director Kevin M. McNamara        | For     | For       | Management |
| 1f | Elect Director Brad T. Sauer            | For     | For       | Management |
| 1g | Elect Director Donnie Smith             | For     | For       | Management |
| 1h | Elect Director Robert Thurber           | For     | For       | Management |
| 1i | Elect Director Barbara A. Tyson         | For     | For       | Management |
| 2  | Ratify Auditors                         | For     | For       | Management |

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|   |                                                                        |         |         |             |
|---|------------------------------------------------------------------------|---------|---------|-------------|
| 3 | Implement a Water Quality Stewardship Policy                           | Against | Abstain | Shareholder |
| 4 | Approve Recapitalization Plan for all Stock to Have One-vote per Share | Against | For     | Shareholder |
| 5 | Report on Practices to Mitigate Palm Oil Sourcing Impacts              | Against | Abstain | Shareholder |

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UNITED PARCEL SERVICE, INC.

Ticker: UPS Security ID: 911312106

Meeting Date: MAY 07, 2015 Meeting Type: Annual

Record Date: MAR 09, 2015

| #  | Proposal                           | Mgt Rec | Vote Cast | Sponsor    |
|----|------------------------------------|---------|-----------|------------|
| 1a | Elect Director David P. Abney      | For     | For       | Management |
| 1b | Elect Director Rodney C. Adkins    | For     | For       | Management |
| 1c | Elect Director Michael J. Burns    | For     | For       | Management |
| 1d | Elect Director D. Scott Davis      | For     | For       | Management |
| 1e | Elect Director William R. Johnson  | For     | For       | Management |
| 1f | Elect Director Candace Kendle      | For     | For       | Management |
| 1g | Elect Director Ann M. Livermore    | For     | For       | Management |
| 1h | Elect Director Rudy H.P. Markham   | For     | For       | Management |
| 1i | Elect Director Clark T. Randt, Jr. | For     | For       | Management |
| 1j | Elect Director John T. Stankey     | For     | For       | Management |
| 1k | Elect Director Carol B. Tome       | For     | For       | Management |

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|    |                                                                           |         |         |             |
|----|---------------------------------------------------------------------------|---------|---------|-------------|
| 11 | Elect Director Kevin M. Warsh                                             | For     | For     | Management  |
| 2  | Approve Omnibus Stock Plan                                                | For     | For     | Management  |
| 3  | Ratify Deloitte & Touche LLP as<br>Auditors                               | For     | For     | Management  |
| 4  | Report on Lobbying Payments and Policy                                    | Against | Against | Shareholder |
| 5  | Approve Recapitalization Plan for all<br>Stock to Have One-vote per Share | Against | For     | Shareholder |
| 6  | Adopt Anti Gross-up Policy                                                | Against | For     | Shareholder |

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VALERO ENERGY CORPORATION

Ticker: VLO Security ID: 91913Y100

Meeting Date: APR 30, 2015 Meeting Type: Annual

Record Date: MAR 03, 2015

| #    | Proposal                               | Mgt Rec | Vote Cast | Sponsor    |
|------|----------------------------------------|---------|-----------|------------|
| 1.1a | Elect Director Jerry D. Choate         | For     | For       | Management |
| 1.1b | Elect Director Joseph W. Gorder        | For     | For       | Management |
| 1.1c | Elect Director Deborah P. Majoras      | For     | For       | Management |
| 1.1d | Elect Director Donald L. Nickles       | For     | For       | Management |
| 1.1e | Elect Director Philip J. Pfeiffer      | For     | For       | Management |
| 1.1f | Elect Director Robert A. Profusek      | For     | For       | Management |
| 1.1g | Elect Director Susan Kaufman Purcell   | For     | For       | Management |
| 1.1h | Elect Director Stephen M. Waters       | For     | For       | Management |
| 1.1i | Elect Director Randall J. Weisenburger | For     | For       | Management |



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|      |                                                                   |         |         |             |
|------|-------------------------------------------------------------------|---------|---------|-------------|
| 1.1j | Elect Director Rayford Wilkins, Jr.                               | For     | For     | Management  |
| 2    | Ratify KPMG LLP as Auditors                                       | For     | For     | Management  |
| 3    | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For     | Management  |
| 4    | Adopt Quantitative GHG Goals for<br>Products and Operations       | Against | Abstain | Shareholder |

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VERISIGN, INC.

Ticker:           VRSN                   Security ID: 92343E102

Meeting Date: MAY 21, 2015   Meeting Type: Annual

Record Date: MAR 27, 2015

| #   | Proposal                                                          | Mgt Rec | Vote Cast | Sponsor    |
|-----|-------------------------------------------------------------------|---------|-----------|------------|
| 1.1 | Elect Director D. James Bidzos                                    | For     | For       | Management |
| 1.2 | Elect Director William L. Chenevich                               | For     | For       | Management |
| 1.3 | Elect Director Kathleen A. Cote                                   | For     | For       | Management |
| 1.4 | Elect Director Jamie S. Gorelick                                  | For     | For       | Management |
| 1.5 | Elect Director Roger H. Moore                                     | For     | For       | Management |
| 1.6 | Elect Director Louis A. Simpson                                   | For     | For       | Management |
| 1.7 | Elect Director Timothy Tomlinson                                  | For     | For       | Management |
| 2   | Approve Executive Incentive Bonus Plan                            | For     | For       | Management |
| 3   | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For       | Management |
| 4   | Ratify KPMG LLP as Auditors                                       | For     | For       | Management |

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5 Provide Right to Act by Written Consent Against For Shareholder

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 VERIZON COMMUNICATIONS INC.

Ticker: VZ Security ID: 92343V104

Meeting Date: MAY 07, 2015 Meeting Type: Annual

Record Date: MAR 09, 2015

| #    | Proposal                                                          | Mgt Rec | Vote Cast | Sponsor     |
|------|-------------------------------------------------------------------|---------|-----------|-------------|
| 1.1  | Elect Director Shellye L. Archambeau                              | For     | For       | Management  |
| 1.2  | Elect Director Mark T. Bertolini                                  | For     | For       | Management  |
| 1.3  | Elect Director Richard L. Carrion                                 | For     | For       | Management  |
| 1.4  | Elect Director Melanie L. Healey                                  | For     | For       | Management  |
| 1.5  | Elect Director M. Frances Keeth                                   | For     | For       | Management  |
| 1.6  | Elect Director Lowell C. McAdam                                   | For     | For       | Management  |
| 1.7  | Elect Director Donald T. Nicolaisen                               | For     | For       | Management  |
| 1.8  | Elect Director Clarence Otis, Jr.                                 | For     | For       | Management  |
| 1.9  | Elect Director Rodney E. Slater                                   | For     | For       | Management  |
| 1.10 | Elect Director Kathryn A. Tesija                                  | For     | For       | Management  |
| 1.11 | Elect Director Gregory D. Wasson                                  | For     | For       | Management  |
| 2    | Ratify Ernst & Young LLP as Auditors                              | For     | For       | Management  |
| 3    | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For       | Management  |
| 4    | Report on Net Neutrality                                          | Against | Abstain   | Shareholder |
| 5    | Report on Indirect Political                                      | Against | For       | Shareholder |

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### Contributions

|   |                                                                           |         |         |             |
|---|---------------------------------------------------------------------------|---------|---------|-------------|
| 6 | Submit Severance Agreement<br><br>(Change-in-Control) to Shareholder Vote | Against | Against | Shareholder |
| 7 | Stock Retention/Holding Period                                            | Against | Against | Shareholder |
| 8 | Provide Right to Act by Written Consent                                   | Against | For     | Shareholder |

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### VERTEX PHARMACEUTICALS INCORPORATED

Ticker: VRTX                      Security ID: 92532F100

Meeting Date: JUN 04, 2015      Meeting Type: Annual

Record Date: APR 10, 2015

| #   | Proposal                                                              | Mgt Rec | Vote Cast | Sponsor     |
|-----|-----------------------------------------------------------------------|---------|-----------|-------------|
| 1.1 | Elect Director Jeffrey M. Leiden                                      | For     | For       | Management  |
| 1.2 | Elect Director Bruce I. Sachs                                         | For     | Withhold  | Management  |
| 1.3 | Elect Director Sangeeta N. Bhatia                                     | For     | For       | Management  |
| 2   | Increase Authorized Common Stock                                      | For     | For       | Management  |
| 3   | Amend Omnibus Stock Plan                                              | For     | Against   | Management  |
| 4   | Ratify Ernst & Young LLP as Auditors                                  | For     | For       | Management  |
| 5   | Advisory Vote to Ratify Named<br><br>Executive Officers' Compensation | For     | Against   | Management  |
| 6   | Adopt Proxy Access Right                                              | Against | Against   | Shareholder |
| 7   | Report on Specialty Drug Pricing Risks                                | Against | Abstain   | Shareholder |

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VF CORPORATION

Ticker: VFC Security ID: 918204108

Meeting Date: APR 28, 2015 Meeting Type: Annual

Record Date: MAR 05, 2015

| #    | Proposal                                                          | Mgt Rec | Vote Cast | Sponsor    |
|------|-------------------------------------------------------------------|---------|-----------|------------|
| 1.1  | Elect Director Richard T. Carucci                                 | For     | For       | Management |
| 1.2  | Elect Director Juliana L. Chugg                                   | For     | For       | Management |
| 1.3  | Elect Director Juan Ernesto de Bedout                             | For     | For       | Management |
| 1.4  | Elect Director Mark S. Hoplamazian                                | For     | For       | Management |
| 1.5  | Elect Director Robert J. Hurst                                    | For     | For       | Management |
| 1.6  | Elect Director Laura W. Lang                                      | For     | For       | Management |
| 1.7  | Elect Director W. Alan McCollough                                 | For     | For       | Management |
| 1.8  | Elect Director Clarence Otis, Jr.                                 | For     | For       | Management |
| 1.9  | Elect Director Matthew J. Shattock                                | For     | For       | Management |
| 1.10 | Elect Director Raymond G. Viault                                  | For     | For       | Management |
| 1.11 | Elect Director Eric C. Wiseman                                    | For     | For       | Management |
| 2    | Amend Omnibus Stock Plan                                          | For     | For       | Management |
| 3    | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For       | Management |
| 4    | Ratify PricewaterhouseCoopers LLP as<br>Auditors                  | For     | For       | Management |

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VISA INC.

Ticker: V Security ID: 92826C839

Meeting Date: JAN 28, 2015 Meeting Type: Annual

Record Date: DEC 01, 2014

| #  | Proposal                                                                          | Mgt Rec | Vote Cast | Sponsor    |
|----|-----------------------------------------------------------------------------------|---------|-----------|------------|
| 1a | Elect Director Mary B. Cranston                                                   | For     | Against   | Management |
| 1b | Elect Director Francisco Javier Fernandez-Carbajal                                | For     | For       | Management |
| 1c | Elect Director Alfred F. Kelly, Jr.                                               | For     | For       | Management |
| 1d | Elect Director Robert W. Matschullat                                              | For     | For       | Management |
| 1e | Elect Director Cathy E. Minehan                                                   | For     | For       | Management |
| 1f | Elect Director Suzanne Nora Johnson                                               | For     | For       | Management |
| 1g | Elect Director David J. Pang                                                      | For     | For       | Management |
| 1h | Elect Director Charles W. Scharf                                                  | For     | For       | Management |
| 1i | Elect Director William S. Shanahan                                                | For     | For       | Management |
| 1j | Elect Director John A. C. Swainson                                                | For     | For       | Management |
| 1k | Elect Director Maynard G. Webb, Jr.                                               | For     | For       | Management |
| 2  | Approve Amendments to the Certificate of Incorporation to Facilitate Stock Splits | For     | For       | Management |
| 3  | Advisory Vote to Ratify Named Executive Officers' Compensation                    | For     | For       | Management |
| 4  | Approve Qualified Employee Stock Purchase Plan                                    | For     | For       | Management |
| 5a | Remove Supermajority Vote Requirement                                             | For     | For       | Management |

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|    |                                                                                                                                    |     |     |            |
|----|------------------------------------------------------------------------------------------------------------------------------------|-----|-----|------------|
|    | for Exiting Core Payment Business                                                                                                  |     |     |            |
| 5b | Remove Supermajority Vote Requirement<br>for Future Amendments to Certain<br>Sections of Company's Certificate of<br>Incorporation | For | For | Management |
| 5c | Remove Supermajority Vote Requirement<br>for Approval of Exceptions to Transfer<br>Certifications                                  | For | For | Management |
| 5d | Remove Supermajority Vote Requirement<br>for Removal of Directors                                                                  | For | For | Management |
| 5e | Remove Supermajority Vote Requirement<br>for Future Amendments to the Advance<br>Notice Provision in the Bylaws                    | For | For | Management |
| 6  | Ratify Auditors                                                                                                                    | For | For | Management |

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WAL-MART STORES, INC.

Ticker: WMT Security ID: 931142103

Meeting Date: JUN 05, 2015 Meeting Type: Annual

Record Date: APR 10, 2015

| #  | Proposal                          | Mgt Rec | Vote Cast | Sponsor    |
|----|-----------------------------------|---------|-----------|------------|
| 1a | Elect Director Aida M. Alvarez    | For     | For       | Management |
| 1b | Elect Director James I. Cash, Jr. | For     | For       | Management |
| 1c | Elect Director Roger C. Corbett   | For     | For       | Management |

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|    |                                                                   |         |         |             |
|----|-------------------------------------------------------------------|---------|---------|-------------|
| 1d | Elect Director Pamela J. Craig                                    | For     | For     | Management  |
| 1e | Elect Director Michael T. Duke                                    | For     | For     | Management  |
| 1f | Elect Director Timothy P. Flynn                                   | For     | For     | Management  |
| 1g | Elect Director Thomas W. Horton                                   | For     | For     | Management  |
| 1h | Elect Director Marissa A. Mayer                                   | For     | For     | Management  |
| 1i | Elect Director C. Douglas McMillon                                | For     | For     | Management  |
| 1j | Elect Director Gregory B. Penner                                  | For     | For     | Management  |
| 1k | Elect Director Steven S. Reinemund                                | For     | For     | Management  |
| 1l | Elect Director Kevin Y. Systrom                                   | For     | For     | Management  |
| 1m | Elect Director Jim C. Walton                                      | For     | For     | Management  |
| 1n | Elect Director S. Robson Walton                                   | For     | For     | Management  |
| 1o | Elect Director Linda S. Wolf                                      | For     | For     | Management  |
| 2  | Ratify Ernst & Young LLP as Auditors                              | For     | For     | Management  |
| 3  | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For     | Management  |
| 4  | Amend Omnibus Stock Plan                                          | For     | For     | Management  |
| 5  | Disclosure of Recoupment Activity from<br>Senior Officers         | Against | For     | Shareholder |
| 6  | Provide Proxy Access Right                                        | Against | For     | Shareholder |
| 7  | Adopt Quantitative GHG Goals for<br>Maritime Shipping             | Against | Abstain | Shareholder |
| 8  | Report on Incentive Compensation Plans                            | Against | Against | Shareholder |
| 9  | Require Independent Board Chairman                                | Against | For     | Shareholder |

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WELLPOINT, INC.

## Edgar Filing: TRI-CONTINENTAL CORP - Form N-PX

Ticker: WLP Security ID: 94973V107

Meeting Date: NOV 05, 2014 Meeting Type: Special

Record Date: SEP 12, 2014

| # | Proposal                            | Mgt Rec | Vote Cast | Sponsor    |
|---|-------------------------------------|---------|-----------|------------|
| 1 | Change Company Name to Anthem, Inc. | For     | For       | Management |

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WELLS FARGO & COMPANY

Ticker: WFC Security ID: 949746101

Meeting Date: APR 28, 2015 Meeting Type: Annual

Record Date: MAR 03, 2015

| #  | Proposal                              | Mgt Rec | Vote Cast | Sponsor    |
|----|---------------------------------------|---------|-----------|------------|
| 1a | Elect Director John D. Baker, II      | For     | For       | Management |
| 1b | Elect Director Elaine L. Chao         | For     | For       | Management |
| 1c | Elect Director John S. Chen           | For     | For       | Management |
| 1d | Elect Director Lloyd H. Dean          | For     | For       | Management |
| 1e | Elect Director Elizabeth A. Duke      | For     | For       | Management |
| 1f | Elect Director Susan E. Engel         | For     | For       | Management |
| 1g | Elect Director Enrique Hernandez, Jr. | For     | For       | Management |
| 1h | Elect Director Donald M. James        | For     | For       | Management |
| 1i | Elect Director Cynthia H. Milligan    | For     | Against   | Management |
| 1j | Elect Director Federico F. Pena       | For     | For       | Management |



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|    |                                                                   |         |         |             |
|----|-------------------------------------------------------------------|---------|---------|-------------|
| 1k | Elect Director James H. Quigley                                   | For     | For     | Management  |
| 1l | Elect Director Judith M. Runstad                                  | For     | For     | Management  |
| 1m | Elect Director Stephen W. Sanger                                  | For     | For     | Management  |
| 1n | Elect Director John G. Stumpf                                     | For     | For     | Management  |
| 1o | Elect Director Susan G. Swenson                                   | For     | For     | Management  |
| 1p | Elect Director Suzanne M. Vautrinot                               | For     | For     | Management  |
| 2  | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For     | Management  |
| 3  | Ratify KPMG LLP as Auditors                                       | For     | For     | Management  |
| 4  | Require Independent Board Chairman                                | Against | For     | Shareholder |
| 5  | Report on Lobbying Payments and Policy                            | Against | Against | Shareholder |

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WYNDHAM WORLDWIDE CORPORATION

Ticker: WYN Security ID: 98310W108

Meeting Date: MAY 14, 2015 Meeting Type: Annual

Record Date: MAR 19, 2015

| #   | Proposal                             | Mgt Rec | Vote Cast | Sponsor    |
|-----|--------------------------------------|---------|-----------|------------|
| 1.1 | Elect Director Stephen P. Holmes     | For     | For       | Management |
| 1.2 | Elect Director Myra J. Biblowit      | For     | For       | Management |
| 1.3 | Elect Director James E. Buckman      | For     | For       | Management |
| 1.4 | Elect Director George Herrera        | For     | For       | Management |
| 1.5 | Elect Director Brian Mulroney        | For     | For       | Management |
| 1.6 | Elect Director Pauline D.E. Richards | For     | For       | Management |

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|     |                                                                   |     |         |            |
|-----|-------------------------------------------------------------------|-----|---------|------------|
| 1.7 | Elect Director Michael H. Wargotz                                 | For | For     | Management |
| 2   | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For | Against | Management |
| 3   | Ratify Deloitte & Touche LLP as<br>Auditors                       | For | For     | Management |

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XCEL ENERGY INC.

Ticker: XEL Security ID: 98389B100

Meeting Date: MAY 20, 2015 Meeting Type: Annual

Record Date: MAR 24, 2015

| #  | Proposal                                    | Mgt Rec | Vote Cast | Sponsor    |
|----|---------------------------------------------|---------|-----------|------------|
| 1a | Elect Director Gail K. Boudreaux            | For     | For       | Management |
| 1b | Elect Director Richard K. Davis             | For     | For       | Management |
| 1c | Elect Director Ben Fowke                    | For     | For       | Management |
| 1d | Elect Director Albert F. Moreno             | For     | For       | Management |
| 1e | Elect Director Richard T. O'Brien           | For     | For       | Management |
| 1f | Elect Director Christopher J.<br>Policinski | For     | For       | Management |
| 1g | Elect Director A. Patricia Sampson          | For     | For       | Management |
| 1h | Elect Director James J. Sheppard            | For     | For       | Management |
| 1i | Elect Director David A. Westerlund          | For     | For       | Management |
| 1j | Elect Director Kim Williams                 | For     | For       | Management |
| 1k | Elect Director Timothy V. Wolf              | For     | For       | Management |

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|   |                                                                   |         |     |             |
|---|-------------------------------------------------------------------|---------|-----|-------------|
| 2 | Advisory Vote to Ratify Named<br>Executive Officers' Compensation | For     | For | Management  |
| 3 | Approve Omnibus Stock Plan                                        | For     | For | Management  |
| 4 | Ratify Deloitte & Touche LLP as<br>Auditors                       | For     | For | Management  |
| 5 | Require Independent Board Chairman                                | Against | For | Shareholder |

=====  
Any ballot marked 'Abstain' is considered to have been voted. Ballots marked 'Abstain' are considered to have been voted against management's recommendation if management's recommendation is 'For' or 'Against,' and for management's recommendation if management's recommendation is 'Abstain.' Where management has recommended that shareholders 'Abstain' from voting on a ballot item, a ballot marked 'For' or 'Against' is considered to have been voted against management's recommendation to 'Abstain.'

Where management has made no recommendation on a ballot item, 'None' is used to indicate that there is no management recommendation that a shareholder may vote 'For' or 'Against.'

Any ballot marked as 'Take No Action' is neither a vote cast for or against management and 'None' is used to represent this.

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SIGNATURES

Pursuant to the requirements of the Investment Company Act of 1940, the registrant has duly caused this report to be signed on its behalf by the undersigned, thereunto duly authorized.

(Registrant) Tri-Continental Corporation

By (Signature and Title)\* /s/ Christopher O. Petersen  
Christopher O. Petersen  
President

Date: August 20, 2015

\* Print the name and title of each signing officer under his or her signature.

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