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TRI-CONTINENTAL CORP

Form NSAR-B

February 27, 2017

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000 B000000 12/31/2016  
000 C000000 0000099614  
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000 I000000 6.1  
000 J000000 A  
001 A000000 TRI-CONTINENTAL CORPORATION  
001 B000000 811-00266  
001 C000000 6173859594  
002 A000000 225 FRANKLIN STREET  
002 B000000 BOSTON  
002 C000000 MA  
002 D010000 02110  
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008 A000001 COLUMBIA MANAGEMENT INVESTMENT ADVISERS, LLC  
008 B000001 A  
008 C000001 801-25943  
008 D010001 BOSTON  
008 D020001 MA  
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010 A000001 COLUMBIA MANAGEMENT INVESTMENT ADVISERS, LLC  
010 B000001 801-25943  
010 C010001 BOSTON  
010 C020001 MA  
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012 A000001 COLUMBIA MANAGEMENT INVESTMENT SERVICES CORP.  
012 B000001 84-05685  
012 C010001 BOSTON  
012 C020001 MA  
012 C030001 02266  
012 C040001 8081  
013 A000001 PRICEWATERHOUSECOOPERS LLP  
013 B010001 MINNEAPOLIS  
013 B020001 MN  
013 B030001 55402  
014 A000001 COLUMBIA MGMT INVESTMENT DISTRIBUTORS, INC.  
014 B000001 8-25845  
014 A000002 AMERICAN ENTERPRISE INVESTMENT SERVICES INC.  
014 B000002 8-42582  
014 A000003 AMERIPRISE FINANCIAL SERVICES, INC.  
014 B000003 8-16791  
014 A000004 RIVERSOURCE DISTRIBUTORS, INC.  
PAGE 2  
014 B000004 8-67196  
015 A000001 JPMORGAN CHASE BANK, N.A.  
015 B000001 C  
015 C010001 NEW YORK  
015 C020001 NY  
015 C030001 10005

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015 E010001 X  
015 A000002 AB SEB BANKAS  
015 B000002 S  
015 C010002 VILNIUS  
015 D010002 LITHUANIA  
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015 A000003 BANCO BCT, S.A.  
015 B000003 S  
015 C010003 SAN JOSE  
015 D010003 COSTA RICA  
015 E040003 X  
015 A000004 BANCO ITAU URUGUAY S.A.  
015 B000004 S  
015 C010004 MONTEVIDEO  
015 D010004 URUGUAY  
015 E040004 X  
015 A000005 BANCO NACIONAL DE MEXICO, S.A.  
015 B000005 S  
015 C010005 MEXICO, D.F.  
015 D010005 MEXICO  
015 E040005 X  
015 A000006 BANCO SANTANDER CHILE  
015 B000006 S  
015 C010006 SANTIAGO  
015 D010006 CHILE  
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015 A000007 BANK HANDLOWY W. WARSZAWIE S.A.  
015 B000007 S  
015 C010007 WARSAW  
015 D010007 POLAND  
015 E040007 X  
015 A000008 BANK LEUMI LE-ISRAEL B.M.  
015 B000008 S  
015 C010008 TEL AVIV  
015 D010008 ISRAEL  
015 E040008 X  
015 A000009 BANQUE INTERNATIONALE ARABE DE TUNISIE, S.A.  
015 B000009 S  
015 C010009 TUNIS  
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015 E040009 X  
015 A000010 BNP PARIBAS SECURITIES SERVICES S.C.A.  
015 B000010 S  
015 C010010 BRUSSELS  
015 D010010 BELGIUM  
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015 A000011 BNP PARIBAS SECURITIES SERVICES S.C.A.  
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015 A000012 BNP PARIBAS SECURITIES SERVICES S.C.A.  
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015 A000013 BNP PARIBAS SECURITIES SERVICES S.C.A.  
015 B000013 S  
015 C010013 HESPERANGE  
015 D010013 LUXEMBOURG  
015 E040013 X

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015 A000014 BNP PARIBAS SECURITIES SERVICES S.C.A.  
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015 D010014 NETHERLANDS  
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015 A000015 BNP PARIBAS SECURITIES SERVICES S.C.A.  
015 B000015 S  
015 C010015 LISBON  
015 D010015 PORTUGAL  
015 E040015 X  
015 A000016 CANADIAN IMPERIAL BANK OF COMMERCE  
015 B000016 S  
015 C010016 TORONTO  
015 D010016 CANADA  
015 E040016 X  
015 A000017 CITIBANK A.S.  
015 B000017 S  
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015 D010017 TURKEY  
015 E040017 X  
015 A000018 CITIBANK DEL PERU S.A.  
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015 A000019 CITIBANK EUROPE PLC  
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015 A000021 CITIBANK, N.A.  
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015 E040021 X  
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015 A000023 Cititrust Columbia S.A.  
015 B000023 S  
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015 E040023 X  
015 A000024 DBS BANK LTD.  
015 B000024 S  
015 C010024 SINGAPORE  
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015 E040024 X  
015 A000025 DEUTSCHE BANK AG  
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015 C010025 ESCHBORN  
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015 A000026 DEUTSCHE BANK AG

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015 B000026 S  
015 C010026 BUDAPEST  
015 D010026 HUNGARY  
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015 A000027 DEUTSCHE BANK AG  
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015 C010027 JAKARTA  
015 D010027 INDONESIA  
015 E040027 X  
015 A000028 DEUTSCHE BANK AG  
015 B000028 S  
015 C010028 LONDON  
015 D010028 UNITED KINGDOM  
015 E040028 X  
015 A000029 FIRSTRAND BANK LIMITED  
015 B000029 S  
015 C010029 JOHANNESBURG  
015 D010029 SOUTH AFRICA  
015 E040029 X  
015 A000030 HSBC BANK (CHINA) COMPANY LIMITED  
015 B000030 S  
015 C010030 SHANGHAI  
015 D010030 CHINA  
015 E040030 X  
015 A000031 HSBC BANK (VIETNAM) LTD.

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015 A000032 HSBC BANK ARGENTINA S.A.  
015 B000032 S  
015 C010032 BUENOS AIRES  
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015 E040032 X  
015 A000033 HSBC BANK BERMUDA LIMITED  
015 B000033 S  
015 C010033 HAMILTON  
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015 E040033 X  
015 A000034 HSBC BANK MALAYSIA BERHAD  
015 B000034 S  
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015 D010034 MALAYSIA  
015 E040034 X  
015 A000035 HSBC BANK MIDDLE EAST LIMITED  
015 B000035 S  
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015 D010035 BAHRAIN  
015 E040035 X  
015 A000036 HSBC BANK MIDDLE EAST LIMITED  
015 B000036 S  
015 C010036 SAFAT  
015 D010036 KUWAIT  
015 E040036 X  
015 A000037 HSBC BANK MIDDLE EAST LIMITED  
015 B000037 S  
015 C010037 BEIRUT  
015 D010037 LEBANON  
015 E040037 X  
015 A000038 HSBC BANK MIDDLE EAST LIMITED  
015 B000038 S

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015 C010038 DOHA  
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015 A000039 HSBC BANK MIDDLE EAST LIMITED  
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015 C010039 DUBAI  
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015 E040039 X  
015 A000040 HSBC BANK OMAN S.A.O.G.  
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015 E040040 X  
015 A000041 HSBC BANK PLC  
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015 C010041 ATHENS  
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015 E040041 X  
015 A000042 HSBC SAUDI ARABIA LIMITED  
015 B000042 S  
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015 E040042 X  
015 A000043 ISLANDSBANKI HF.  
015 B000043 S  
015 C010043 REYKJAVIK  
015 D010043 ICELAND  
015 E040043 X  
015 A000044 J.P. MORGAN AG  
015 B000044 S  
015 C010044 FRANKFURT  
015 D010044 GERMANY  
015 E040044 X  
015 A000045 J.P. MORGAN BANK INTERNATIONAL  
015 B000045 S  
015 C010045 MOSCOW  
015 D010045 RUSSIA  
015 E040045 X  
015 A000046 J.P. MORGAN S.A. DTVM  
015 B000046 S  
015 C010046 SAO PAULO  
015 D010046 BRAZIL  
015 E040046 X  
015 A000047 JPMORGAN CHASE BANK, N.A.  
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015 E040047 X  
015 A000048 JPMORGAN CHASE BANK, N.A.  
015 B000048 S  
015 C010048 QUARRY BAY  
015 D010048 HONG KONG  
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015 A000049 JPMORGAN CHASE BANK, N.A.  
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015 D010049 INDIA  
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015 A000050 JPMORGAN CHASE BANK, N.A.  
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015 C010050 WELLINGTON

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015 D010050 NEW ZEALAND  
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015 B000051 S  
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PAGE 7  
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015 B000052 S  
015 C010052 LONDON  
015 D010052 UNITED KINGDOM  
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015 A000053 MIZUHO BANK, LTD.  
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015 D010053 JAPAN  
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015 A000054 NORDEA BANK AB  
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015 C010054 STOCKHOLM  
015 D010054 SWEDEN  
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015 A000055 NORDEA BANK DANMARK A/S  
015 B000055 S  
015 C010055 COPENHAGEN  
015 D010055 DENMARK  
015 E040055 X  
015 A000056 NORDEA BANK FINLAND PLC  
015 B000056 S  
015 C010056 HELSINKI  
015 D010056 FINLAND  
015 E040056 X  
015 A000057 NORDEA BANK NORGE ASA  
015 B000057 S  
015 C010057 OSLO  
015 D010057 NORWAY  
015 E040057 X  
015 A000058 PJSC CITIBANK  
015 B000058 S  
015 C010058 KIEV  
015 D010058 UKRAINE  
015 E040058 X  
015 A000059 PRIVREDNA BANKA ZAGREB D.D.  
015 B000059 S  
015 C010059 ZAGREB  
015 D010059 CROATIA  
015 E040059 X  
015 A000060 REPUBLIC BANK LIMITED  
015 B000060 S  
015 C010060 PORT OF SPAIN  
015 D010060 TRINIDAD AND TOBAGO  
015 E040060 X  
015 A000061 ROYAL BANK OF CANADA  
015 B000061 S  
015 C010061 TORONTO  
015 D010061 CANADA  
PAGE 8  
015 E040061 X  
015 A000062 SANTANDER SECURITIES SERVICES, S.A.  
015 B000062 S  
015 C010062 MADRID

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015 D010062 SPAIN  
015 E040062 X  
015 A000063 JSC CITIBANK KAZAKHSTAN  
015 B000063 S  
015 C010063 ALMATY  
015 D010063 KAZAKHSTAN  
015 E040063 X  
015 A000064 SOCIETE GENERALE MAROCAINE DE BANQUES  
015 B000064 S  
015 C010064 CASABLANCA  
015 D010064 MOROCCO  
015 E040064 X  
015 A000065 STANBIC BANK TANZANIA LIMITED  
015 B000065 S  
015 C010065 DAR ES SALAAM  
015 D010065 TANZANIA  
015 E040065 X  
015 A000066 STANBIC BANK ZIMBABWE LIMITED  
015 B000066 S  
015 C010066 HARARE  
015 D010066 ZIMBABWE  
015 E040066 X  
015 A000067 STANBIC IBTC BANK PLC  
015 B000067 S  
015 C010067 LAGOS  
015 D010067 NIGERIA  
015 E040067 X  
015 A000068 STANDARD BANK LIMITED, MALAWI  
015 B000068 S  
015 C010068 BLANTYRE  
015 D010068 MALAWI  
015 E040068 X  
015 A000069 STANDARD BANK NAMIBIA LIMITED  
015 B000069 S  
015 C010069 WINDHOEK  
015 D010069 NAMIBIA  
015 E040069 X  
015 A000070 STANDARD CHARTERED BANK  
015 B000070 S  
015 C010070 AMMAN  
015 D010070 JORDAN  
015 E040070 X  
015 A000071 STANDARD CHARTERED BANK  
015 B000071 S  
015 C010071 DHAKA  
015 D010071 BANGLADESH  
015 E040071 X  
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015 A000072 STANDARD CHARTERED BANK (PAKISTAN) LIMITED  
015 B000072 S  
015 C010072 KARACHI  
015 D010072 PAKISTAN  
015 E040072 X  
015 A000073 STANDARD CHARTERED BANK (THAI) PUBLIC CO. LTD  
015 B000073 S  
015 C010073 BANGKOK  
015 D010073 THAILAND  
015 E040073 X  
015 A000074 STANDARD CHARTERED BANK BOTSWANA LIMITED  
015 B000074 S  
015 C010074 GABORONE  
015 D010074 BOTSWANA

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015 E040074 X  
015 A000075 STANDARD CHARTERED BANK COTE D'IVOIRE SA  
015 B000075 S  
015 C010075 ABIDJAN  
015 D010075 IVORY COAST  
015 E040075 X  
015 A000076 STANDARD CHARTERED BANK GHANA LIMITED  
015 B000076 S  
015 C010076 ACCRA  
015 D010076 GHANA  
015 E040076 X  
015 A000077 STANDARD CHARTERED BANK KENYA LIMITED  
015 B000077 S  
015 C010077 NAIROBI  
015 D010077 KENYA  
015 E040077 X  
015 A000078 STANDARD CHARTERED BANK KOREA LIMITED  
015 B000078 S  
015 C010078 SEOUL  
015 D010078 SOUTH KOREA  
015 E040078 X  
015 A000079 STANDARD CHARTERED BANK UGANDA LIMITED  
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015 C010079 KAMPALA  
015 D010079 UGANDA  
015 E040079 X  
015 A000080 STANDARD CHARTERED BANK ZAMBIA PLC  
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015 D010080 ZAMBIA  
015 E040080 X  
015 A000081 SWEDBANK AS  
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015 E040081 X  
015 A000082 SWEDBANK AS  
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015 C010082 RIGA  
015 D010082 LATVIA  
015 E040082 X  
015 A000083 THE BANK OF TOKYO-MITSUBISHI UFJ, LIMITED  
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015 C010083 TOKYO  
015 D010083 JAPAN  
015 E040083 X  
015 A000084 THE HONGKONG AND SHANGHAI BANKING CORP. LTD  
015 B000084 S  
015 C010084 EBENE  
015 D010084 MAURITIUS  
015 E040084 X  
015 A000085 THE HONGKONG AND SHANGHAI BANKING CORP. LTD  
015 B000085 S  
015 C010085 TAGUIG CITY  
015 D010085 PHILIPPINES  
015 E040085 X  
015 A000086 THE HONGKONG AND SHANGHAI BANKING CORP. LTD  
015 B000086 S  
015 C010086 COLOMBO  
015 D010086 SRI LANKA  
015 E040086 X



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015 A000087 UBS Switzerland AG  
015 B000087 S  
015 C010087 ZURICH  
015 D010087 SWITZERLAND  
015 E040087 X  
015 A000088 UNICREDIT BANK AUSTRIA AG  
015 B000088 S  
015 C010088 VIENNA  
015 D010088 AUSTRIA  
015 E040088 X  
015 A000089 UNICREDIT BANK CZECH RPB. & SLOVAKIA A.S.  
015 B000089 S  
015 C010089 PRAGUE  
015 D010089 CZECH REPUBLIC  
015 E040089 X  
015 A000090 UNICREDIT BANK CZECH RPB. & SLOVAKIA A.S.  
015 B000090 S  
015 C010090 BRATISLAVA  
015 D010090 SLOVAK REPUBLIC  
015 E040090 X  
015 A000091 UNICREDIT BANK SRBIJA A.D.  
015 B000091 S  
015 C010091 BELGRADE  
015 D010091 SERBIA  
015 E040091 X  
015 A000092 UNICREDIT BANKA SLOVENIJA D.D.  
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015 C010092 LJUBLJANA  
015 D010092 SLOVENIA  
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015 A000093 JPMORGAN CHASE BANK, N.A.  
015 B000093 S  
015 C010093 HONG KONG  
015 D010093 CHINA  
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015 A000094 HSBC BANK PLC  
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020 A000001 GOLDMAN, SACHS & CO.  
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020 A000002 RBC CAPITAL MARKETS CORPORATION  
020 B000002 13-5033225  
020 C000002 120  
020 A000003 MORGAN STANLEY

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020 B000003 13-2655998  
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020 A000004 BARCLAYS CAPITAL  
020 B000004 13-3297824  
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020 A000005 UBS SECURITIES LLC  
020 B000005 13-3873456  
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020 A000006 CREDIT SUISSE SECURITIES (USA) L.L.C.  
020 B000006 13-5659485  
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020 A000007 J.P. MORGAN SECURITIES, INC.  
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020 A000008 DEUTSCHE BANK SECURITIES INC.  
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020 A000009 WILLIAM BLAIR & COMPANY, L.L.C.  
020 B000009 36-2214610  
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020 A000010 COWEN & CO., LLC  
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022 A000003 MORGAN STANLEY  
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022 A000004 JEFFERIES & COMPANY, INC.  
022 B000004 95-2622900  
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022 A000005 CREDIT SUISSE SECURITIES (USA) L.L.C.  
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022 A000006 CITIGROUP GLOBAL MARKETS INC.  
022 B000006 11-2418191  
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022 A000007 J.P. MORGAN SECURITIES, INC.  
022 B000007 13-3224016  
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022 A000008 WELLS FARGO INVESTMENTS, LLC  
022 B000008 91-1374280  
022 C000008 16227  
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022 A000009 UBS SECURITIES LLC  
022 B000009 13-3873456  
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022 A000010 DEUTSCHE BANK SECURITIES INC.

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022 B000010 13-2730828  
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025 A000001 Citigroup, Inc.  
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025 A000002 Citigroup Capital XIII  
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025 A000003 JPMorgan Chase & Co.  
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054 N000000 N  
054 O000000 Y  
055 A000000 N  
055 B000000 N  
056 000000 Y  
057 000000 N  
058 A000000 N  
059 000000 Y  
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060 B000000 Y  
061 000000 0  
062 A000000 N  
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062 D000000 0.0  
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063 B000000 0.0  
066 A000000 Y  
066 B000000 N  
066 C000000 N  
066 D000000 N  
066 E000000 Y  
066 F000000 N  
066 G000000 N  
067 000000 N  
PAGE 16  
068 A000000 N  
068 B000000 N  
069 000000 N  
070 A010000 Y  
070 A020000 N  
070 B010000 Y  
070 B020000 N  
070 C010000 Y  
070 C020000 N  
070 D010000 Y  
070 D020000 N  
070 E010000 Y  
070 E020000 N  
070 F010000 Y  
070 F020000 Y  
070 G010000 Y  
070 G020000 N  
070 H010000 Y  
070 H020000 N  
070 I010000 Y  
070 I020000 N  
070 J010000 Y

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070	J020000	Y	
070	K010000	Y	
070	K020000	Y	
070	L010000	Y	
070	L020000	Y	
070	M010000	Y	
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070	O010000	Y	
070	O020000	N	
070	P010000	Y	
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072	T000000		0
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072	V000000		74
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072	X000000		7024
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072BB	000000		0
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073	A020000		0.0000
073	B000000		0.0000
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074	B000000		0
074	C000000		0

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074 D000000 350865  
 074 E000000 109448  
 074 F000000 1018945  
 074 G000000 0  
 074 H000000 0  
 074 I000000 21064  
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 074 K000000 0  
 074 L000000 7251  
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 074 N000000 1522965  
 074 O000000 12609  
 074 P000000 152  
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 074 R010000 0  
 074 R020000 0  
 074 R030000 0  
 074 R040000 1724  
 074 S000000 37637

PAGE 18

074 T000000 1470843  
 074 U010000 56758  
 074 U020000 0  
 074 V010000 25.91  
 074 V020000 0.00  
 074 W000000 0.0000  
 074 X000000 13270  
 074 Y000000 353  
 075 A000000 0  
 075 B000000 1402058  
 076 000000 22.05

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 077 B000000 Y  
 077 C000000 N  
 077 D000000 N  
 077 E000000 Y  
 077 F000000 N  
 077 G000000 N  
 077 H000000 N  
 077 I000000 N  
 077 J000000 N  
 077 K000000 N  
 077 L000000 N  
 077 M000000 N  
 077 N000000 N  
 077 O000000 N  
 077 P000000 N  
 077 Q010000 N  
 077 Q020000 Y  
 077 Q030000 N

078 000000 N  
 080 A000000 ICI Mutual Insurance Company  
 080 B000000 n/a  
 080 C000000 5000  
 081 A000000 Y  
 081 B000000 1  
 082 A000000 N  
 082 B000000 0  
 083 A000000 N  
 083 B000000 0  
 084 A000000 N  
 084 B000000 0

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085 A000000 Y  
085 B000000 N  
086 A010000 86  
086 A020000 1697  
086 B010000 2914  
086 B020000 59820  
086 C010000 0  
086 C020000 0  
086 D010000 0  
PAGE 19  
086 D020000 0  
086 E010000 0  
086 E020000 0  
086 F010000 0  
086 F020000 0  
087 A010000 Tri-Continental - Common Stock:  
087 A020000 895436103  
087 A030000 TY  
087 B010000 Tri-Continental - Preferred Stock  
087 B020000 89543620  
087 C010000 Tri-Continental - Warrant  
087 C020000 895436111  
088 A000000 N  
088 B000000 N  
088 C000000 N  
088 D000000 N  
SIGNATURE SEE BELOW  
TITLE SEE BELOW

This report is signed on behalf of the registrant (or depositor or trustee).

City of: Boston State of: Massachusetts Date: February 17, 2017

Name of Registrant, Depositor, or Trustee: Tri-Continental Corporation  
/s/ Michael G. Clarke

-----  
Michael G. Clarke  
Treasurer  
/s/ Martha A. Skinner

-----  
Martha A. Skinner  
Assistant Treasurer  
Witness  
TRI-CONTINENTAL CORPORATION