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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
000 D000000 N
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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
003 000000 N
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007 C010100 1
008 A000001 COLUMBIA MANAGEMENT INVESTMENT ADVISERS, LLC
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012 A000001 COLUMBIA MANAGEMENT INVESTMENT SERVICES CORP.
012 B000001 84-05685
012 C010001 BOSTON
012 C020001 MA
012 C030001 02266
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013 A000001 PRICEWATERHOUSECOOPERS LLP
013 B010001 MINNEAPOLIS
013 B020001 MN
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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
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015 C010002 VILNIUS
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015 C010003 SAN JOSE
015 D010003 COSTA RICA
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015 A000004 BANCO ITAU URUGUAY S.A.
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015 C010004 MONTEVIDEO
015 D010004 URUGUAY
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015 A000005 BANCO NACIONAL DE MEXICO, S.A.
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015 C010005 MEXICO, D.F.
015 D010005 MEXICO
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015 A000006 BANCO SANTANDER CHILE
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015 C010006 SANTIAGO
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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
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015 D010008 ISRAEL
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015 A000009 BANQUE INTERNATIONALE ARABE DE TUNISIE, S.A.
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015 A000014 BNP PARIBAS SECURITIES SERVICES S.C.A.
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015 A000016 CANADIAN IMPERIAL BANK OF COMMERCE
015 B000016 S
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015 E040016 X
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015 A000025 DEUTSCHE BANK AG
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015 C010025 ESCHBORN
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015 B000026 S
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015 A000029 FIRSTRAND BANK LIMITED
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015 C010038 DOHA
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015 A000041 HSBC BANK PLC
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PAGE 7
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015 A000060 REPUBLIC BANK LIMITED
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015 B000062 S
015 C010062 MADRID

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015 D010062 SPAIN
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015 D010063 KAZAKHSTAN
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015 B000064 S
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015 A000065 STANBIC BANK TANZANIA LIMITED
015 B000065 S
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015 E040065 X
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015 A000067 STANBIC IBTC BANK PLC
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015 D010068 MALAWI
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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
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015 D010071 BANGLADESH
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PAGE 9
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015 C010072 KARACHI
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015 A000073 STANDARD CHARTERED BANK (THAI) PUBLIC CO. LTD
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015 A000074 STANDARD CHARTERED BANK BOTSWANA LIMITED
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015 A000082 SWEDBANK AS
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015 A000084 THE HONGKONG AND SHANGHAI BANKING CORP. LTD
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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
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015 E040088 X
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015 D010089 CZECH REPUBLIC
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015 D010090 SLOVAK REPUBLIC
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015 B000093 S
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015 A000094 HSBC BANK PLC
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020 B000001 13-5108880
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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
020 C000004 72
020 A000005 UBS SECURITIES LLC
020 B000005 13-3873456
020 C000005 49
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020 A000007 J.P. MORGAN SECURITIES, INC.
020 B000007 13-3224016
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020 A000008 DEUTSCHE BANK SECURITIES INC.
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020 A000009 WILLIAM BLAIR & COMPANY, L.L.C.
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022 A000007 J.P. MORGAN SECURITIES, INC.
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025 A000002 Citigroup Capital XIII
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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 | |
| 070 | M020000 | Y | |
| 070 | N010000 | Y | |
| 070 | N020000 | N | |
| 070 | O010000 | Y | |
| 070 | O020000 | N | |
| 070 | P010000 | Y | |
| 070 | P020000 | N | |
| 070 | Q010000 | Y | |
| 070 | Q020000 | N | |
| 070 | R010000 | Y | |
| 070 | R020000 | N | |
| 071 | A000000 | | 1155244 |
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| 071 | C000000 | | 1405226 |
| 071 | D000000 | | 82 |
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| 072 | G000000 | | 249 |
| 072 | H000000 | | 0 |
| | PAGE | 17 | |
| 072 | I000000 | | 564 |
| 072 | J000000 | | 23 |
| 072 | K000000 | | 122 |
| 072 | L000000 | | 0 |
| 072 | M000000 | | 55 |
| 072 | N000000 | | 0 |
| 072 | O000000 | | 0 |
| 072 | P000000 | | 0 |
| 072 | Q000000 | | 0 |
| 072 | R000000 | | 42 |
| 072 | S000000 | | 18 |
| 072 | T000000 | | 0 |
| 072 | U000000 | | 0 |
| 072 | V000000 | | 74 |
| 072 | W000000 | | 254 |
| 072 | X000000 | | 7024 |
| 072 | Y000000 | | 0 |
| 072 | Z000000 | | 51948 |
| 072AA | 000000 | | 33777 |
| 072BB | 000000 | | 0 |
| 072CC | 010000 | | 99697 |
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| 072DD | 010000 | | 52298 |
| 072DD | 020000 | | 0 |
| 072EE | 000000 | | 0 |
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| 073 | B000000 | | 0.0000 |
| 073 | C000000 | | 0.0000 |
| 074 | A000000 | | 0 |
| 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
 074 J000000 15280
 074 K000000 0
 074 L000000 7251
 074 M000000 112
 074 N000000 1522965
 074 O000000 12609
 074 P000000 152
 074 Q000000 0
 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

077 A000000 Y
 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