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TRI-CONTINENTAL CORP

Form NSAR-B

March 01, 2013

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000 B000000 12/31/2012  
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  
003 000000 N  
004 000000 N  
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007 A000000 N  
007 B000000 0  
007 C010100 1  
008 A000001 COLUMBIA MANAGEMENT INVESTMENT ADVISERS, LLC  
008 B000001 A  
008 C000001 801-25943  
008 D010001 BOSTON  
008 D020001 MA  
008 D030001 02110  
010 A000001 COLUMBIA MANAGEMENT INVESTMENT ADVISERS, LLC  
010 B000001 801-25943  
010 C010001 BOSTON  
010 C020001 MA  
010 C030001 02110  
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.  
014 B000004 8-67196  
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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  
015 E040002 X  
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 CITY  
015 D010005 MEXICO  
015 E040005 X  
015 A000006 BANCO SANTANDER CHILE  
015 B000006 S  
015 C010006 SANTIAGO  
015 D010006 CHILE  
015 E040006 X  
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 CEDEX  
015 D010009 TUNISIA  
015 E040009 X  
015 A000010 BARCLAYS BANK OF ZIMBABWE LIMITED  
015 B000010 S  
015 C010010 HARARE  
015 D010010 ZIMBABWE  
015 E040010 X  
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015 A000011 BNP PARIBAS SECURITIES SERVICES S.C.A.  
015 B000011 S  
015 C010011 BRUSSELS  
015 D010011 BELGIUM  
015 E040011 X  
015 A000012 BNP PARIBAS SECURITIES SERVICES S.C.A.  
015 B000012 S  
015 C010012 PANTIN  
015 D010012 FRANCE  
015 E040012 X  
015 A000013 BNP PARIBAS SECURITIES SERVICES S.C.A.  
015 B000013 S  
015 C010013 MILAN  
015 D010013 ITALY  
015 E040013 X

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015 A000014 BNP PARIBAS SECURITIES SERVICES S.C.A.  
015 B000014 S  
015 C010014 HESPERANGE  
015 D010014 LUXEMBOURG  
015 E040014 X  
015 A000015 BNP PARIBAS SECURITIES SERVICES S.C.A.  
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015 C010015 AMSTERDAM  
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015 E040015 X  
015 A000016 BNP PARIBAS SECURITIES SERVICES S.C.A.  
015 B000016 S  
015 C010016 LISBON  
015 D010016 PORTUGAL  
015 E040016 X  
015 A000017 CANADIAN IMPERIAL BANK OF COMMERCE  
015 B000017 S  
015 C010017 TORONTO  
015 D010017 CANADA  
015 E040017 X  
015 A000018 CITIBANK A.S.  
015 B000018 S  
015 C010018 ISTANBUL  
015 D010018 TURKEY  
015 E040018 X  
015 A000019 CITIBANK DEL PERU S.A.  
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015 A000020 CITIBANK, N.A.  
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015 A000021 CITIBANK, N.A.  
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015 B000021 S  
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015 D010021 VENEZUELA  
015 E040021 X  
015 A000022 DBS BANK LTD.  
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015 C010022 SINGAPORE  
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015 E040022 X  
015 A000023 DEUTSCHE BANK AG  
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015 C010023 ESCHBORN  
015 D010023 GERMANY  
015 E040023 X  
015 A000024 DEUTSCHE BANK AG  
015 B000024 S  
015 C010024 BUDAPEST  
015 D010024 HUNGARY  
015 E040024 X  
015 A000025 DEUTSCHE BANK AG  
015 B000025 S  
015 C010025 JAKARTA  
015 D010025 INDONESIA  
015 E040025 X  
015 A000026 DEUTSCHE BANK AG

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015 B000026 S  
015 C010026 LONDON  
015 D010026 UNITED KINGDOM  
015 E040026 X  
015 A000027 FIRSTRAND BANK LIMITED  
015 B000027 S  
015 C010027 JOHANNESBURG  
015 D010027 SOUTH AFRICA  
015 E040027 X  
015 A000028 HSBC BANK (CHINA) COMPANY LIMITED  
015 B000028 S  
015 C010028 SHANGHAI  
015 D010028 CHINA  
015 E040028 X  
015 A000029 HSBC BANK (VIETNAM) LTD.  
015 B000029 S  
015 C010029 HO CHI MINH CITY  
015 D010029 VIETNAM  
015 E040029 X  
015 A000030 HSBC BANK ARGENTINA S.A.  
015 B000030 S  
015 C010030 BUENOS AIRES  
015 D010030 ARGENTINA  
015 E040030 X  
015 A000031 HSBC BANK BERMUDA LIMITED  
015 B000031 S  
PAGE 5  
015 C010031 HAMILTON  
015 D010031 BERMUDA  
015 E040031 X  
015 A000032 HSBC BANK MALAYSIA BERHAD  
015 B000032 S  
015 C010032 KUALA LUMPUR  
015 D010032 MALAYSIA  
015 E040032 X  
015 A000033 HSBC BANK MALTA P.L.C.  
015 B000033 S  
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015 D010033 MALTA  
015 E040033 X  
015 A000034 HSBC BANK MIDDLE EAST LIMITED  
015 B000034 S  
015 C010034 AL SEEF  
015 D010034 BAHRAIN  
015 E040034 X  
015 A000035 HSBC BANK MIDDLE EAST LIMITED  
015 B000035 S  
015 C010035 AMMAN  
015 D010035 JORDAN  
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 RUWI  
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015 E040038 X  
015 A000039 HSBC BANK MIDDLE EAST LIMITED  
015 B000039 S  
015 C010039 RAMALLAH  
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015 E040039 X  
015 A000040 HSBC BANK MIDDLE EAST LIMITED  
015 B000040 S  
015 C010040 DOHA  
015 D010040 QATAR  
015 E040040 X  
015 A000041 HSBC BANK MIDDLE EAST LIMITED  
015 B000041 S  
015 C010041 DUBAI  
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015 D010041 UAE-ADX  
015 E040041 X  
015 A000042 HSBC BANK MIDDLE EAST LIMITED  
015 B000042 S  
015 C010042 DUBAI  
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015 E040042 X  
015 A000043 HSBC BANK MIDDLE EAST LIMITED  
015 B000043 S  
015 C010043 DUBAI  
015 D010043 UAE-NASDAQ DUBAI  
015 E040043 X  
015 A000044 HSBC BANK PLC  
015 B000044 S  
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015 D010044 GREECE  
015 E040044 X  
015 A000045 HSBC SAUDI ARABIA LIMITED  
015 B000045 S  
015 C010045 RIYADH  
015 D010045 SAUDI ARABIA  
015 E040045 X  
015 A000046 ING BANK (EURASIA) ZAO  
015 B000046 S  
015 C010046 MOSCOW  
015 D010046 RUSSIA  
015 E040046 X  
015 A000047 ING BANK N.V.  
015 B000047 S  
015 C010047 SOFIA  
015 D010047 BULGARIA  
015 E040047 X  
015 A000048 ING BANK N.V.  
015 B000048 S  
015 C010048 BUCHAREST  
015 D010048 ROMANIA  
015 E040048 X  
015 A000049 ING BANK UKRAINE  
015 B000049 S  
015 C010049 KIEV  
015 D010049 UKRAINE  
015 E040049 X  
015 A000050 ISLANDSBANKI HF.  
015 B000050 S  
015 C010050 REYKJAVIK

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015 D010050 ICELAND  
015 E040050 X  
015 A000051 J.P. MORGAN AG  
015 B000051 S  
015 C010051 FRANKFURT  
015 D010051 GERMANY  
PAGE 7  
015 E040051 X  
015 A000052 J.P. MORGAN BANK INTERNATIONAL  
015 B000052 S  
015 C010052 MOSCOW  
015 D010052 RUSSIA  
015 E040052 X  
015 A000053 J.P. MORGAN S.A. DTVM  
015 B000053 S  
015 C010053 SAO PAULO  
015 D010053 BRAZIL  
015 E040053 X  
015 A000054 JPMORGAN CHASE BANK, N.A.  
015 B000054 S  
015 C010054 SYDNEY  
015 D010054 AUSTRALIA  
015 E040054 X  
015 A000055 JPMORGAN CHASE BANK, N.A.  
015 B000055 S  
015 C010055 MUMBAI  
015 D010055 INDIA  
015 E040055 X  
015 A000056 JPMORGAN CHASE BANK, N.A.  
015 B000056 S  
015 C010056 WELLINGTON  
015 D010056 NEW ZEALAND  
015 E040056 X  
015 A000057 JPMORGAN CHASE BANK, N.A.  
015 B000057 S  
015 C010057 TAIPEI  
015 D010057 TAIWAN  
015 E040057 X  
015 A000058 JPMORGAN CHASE BANK, N.A.  
015 B000058 S  
015 C010058 LONDON  
015 D010058 UNITED KINGDOM  
015 E040058 X  
015 A000059 MIZUHO CORPORATE BANK, LIMITED  
015 B000059 S  
015 C010059 TOKYO  
015 D010059 JAPAN  
015 E040059 X  
015 A000060 NORDEA BANK AB  
015 B000060 S  
015 C010060 STOCKHOLM  
015 D010060 SWEDEN  
015 E040060 X  
015 A000061 NORDEA BANK DANMARK A/S  
015 B000061 S  
015 C010061 TAASTRUP  
015 D010061 DENMARK  
015 E040061 X  
PAGE 8  
015 A000062 NORDEA BANK FINLAND PLC  
015 B000062 S  
015 C010062 HELSINKI

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015 D010062 FINLAND  
015 E040062 X  
015 A000063 NORDEA BANK NORGE ASA  
015 B000063 S  
015 C010063 OSLO  
015 D010063 NORWAY  
015 E040063 X  
015 A000064 PRIVREDNA BANKA ZAGREB D.D.  
015 B000064 S  
015 C010064 ZAGREB  
015 D010064 CROATIA  
015 E040064 X  
015 A000065 REPUBLIC BANK LIMITED  
015 B000065 S  
015 C010065 PORT OF SPAIN  
015 D010065 TRINIDAD AND TOBAGO  
015 E040065 X  
015 A000066 ROYAL BANK OF CANADA  
015 B000066 S  
015 C010066 TORONTO  
015 D010066 CANADA  
015 E040066 X  
015 A000067 SANTANDER INVESTMENT TRUST COLOMBIA S.A.  
015 B000067 S  
015 C010067 BOGOTA  
015 D010067 COLOMBIA  
015 E040067 X  
015 A000068 SANTANDER INVESTMENT, S.A.  
015 B000068 S  
015 C010068 MADRID  
015 D010068 SPAIN  
015 E040068 X  
015 A000069 SB HSBC BANK KAZAKHSTAN JSC  
015 B000069 S  
015 C010069 ALMATY  
015 D010069 KAZAKHSTAN  
015 E040069 X  
015 A000070 SOCIETE GENERALE  
015 B000070 S  
015 C010070 PARIS  
015 D010070 FRANCE  
015 E040070 X  
015 A000071 SOCIETE GENERALE DE BANQUES EN COTE D'IVOIRE  
015 B000071 S  
015 C010071 ABIDJAN  
015 D010071 IVORY COAST  
015 E040071 X  
015 A000072 SOCIETE GENERALE MAROCAINE DE BANQUES  
PAGE 9  
015 B000072 S  
015 C010072 CASABLANCA  
015 D010072 MOROCCO  
015 E040072 X  
015 A000073 STANBIC BANK TANZANIA LIMITED  
015 B000073 S  
015 C010073 DAR ES SALAAM  
015 D010073 TANZANIA  
015 E040073 X  
015 A000074 STANBIC IBTC BANK PLC  
015 B000074 S  
015 C010074 LAGOS  
015 D010074 NIGERIA

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015 E040074 X  
015 A000075 STANDARD BANK LIMITED, MALAWI  
015 B000075 S  
015 C010075 BLANTYRE  
015 D010075 MALAWI  
015 E040075 X  
015 A000076 STANDARD BANK NAMIBIA LIMITED  
015 B000076 S  
015 C010076 WINDHOEK  
015 D010076 NAMIBIA  
015 E040076 X  
015 A000077 STANDARD CHARTERED BANK  
015 B000077 S  
015 C010077 DHAKA  
015 D010077 BANGLADESH  
015 E040077 X  
015 A000078 STANDARD CHARTERED BANK (PAKISTAN) LIMITED  
015 B000078 S  
015 C010078 KARACHI  
015 D010078 PAKISTAN  
015 E040078 X  
015 A000079 STANDARD CHARTERED BANK (THAI) PUBLIC CO. LTD  
015 B000079 S  
015 C010079 BANGKOK  
015 D010079 THAILAND  
015 E040079 X  
015 A000080 STANDARD CHARTERED BANK BOTSWANA LIMITED  
015 B000080 S  
015 C010080 GABORONE  
015 D010080 BOTSWANA  
015 E040080 X  
015 A000081 STANDARD CHARTERED BANK GHANA LIMITED  
015 B000081 S  
015 C010081 ACCRA  
015 D010081 GHANA  
015 E040081 X  
015 A000082 STANDARD CHARTERED BANK KENYA LIMITED  
015 B000082 S  
015 C010082 NAIROBI  
015 D010082 KENYA  
015 E040082 X  
015 A000083 STANDARD CHARTERED BANK UGANDA LIMITED  
015 B000083 S  
015 C010083 KAMPALA  
015 D010083 UGANDA  
015 E040083 X  
015 A000084 STANDARD CHARTERED BANK ZAMBIA PLC  
015 B000084 S  
015 C010084 LUSAKA  
015 D010084 ZAMBIA  
015 E040084 X  
015 A000085 STANDARD CHARTERED FIRST BANK KOREA LIMITED  
015 B000085 S  
015 C010085 SEOUL  
015 D010085 SOUTH KOREA  
015 E040085 X  
015 A000086 SWEDBANK AS  
015 B000086 S  
015 C010086 TALLINN  
015 D010086 ESTONIA  
015 E040086 X

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015 A000087 SWEDBANK AS  
015 B000087 S  
015 C010087 RIGA  
015 D010087 LATVIA  
015 E040087 X  
015 A000088 THE BANK OF TOKYO-MITSUBISHI UFJ, LIMITED  
015 B000088 S  
015 C010088 TOKYO  
015 D010088 JAPAN  
015 E040088 X  
015 A000089 THE HONGKONG AND SHANGHAI BANKING CORP. LTD  
015 B000089 S  
015 C010089 KOWLOON  
015 D010089 HONG KONG  
015 E040089 X  
015 A000090 THE HONGKONG AND SHANGHAI BANKING CORP. LTD  
015 B000090 S  
015 C010090 EBENE  
015 D010090 MAURITIUS  
015 E040090 X  
015 A000091 THE HONGKONG AND SHANGHAI BANKING CORP. LTD  
015 B000091 S  
015 C010091 TAGUIG CITY  
015 D010091 PHILIPPINES  
015 E040091 X  
015 A000092 THE HONGKONG AND SHANGHAI BANKING CORP. LTD  
015 B000092 S  
015 C010092 COLOMBO  
PAGE 11  
015 D010092 SRI LANKA  
015 E040092 X  
015 A000093 UBS AG  
015 B000093 S  
015 C010093 ZURICH  
015 D010093 SWITZERLAND  
015 E040093 X  
015 A000094 UNICREDIT BANK AUSTRIA AG  
015 B000094 S  
015 C010094 VIENNA  
015 D010094 AUSTRIA  
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015 A000095 UNICREDIT BANK CZECH REPUBLIC A.S.  
015 B000095 S  
015 C010095 PRAGUE  
015 D010095 CZECH REPUBLIC  
015 E040095 X  
015 A000096 UNICREDIT BANK SLOVAKIA A.S.  
015 B000096 S  
015 C010096 BRATISLAVA  
015 D010096 SLOVAK REPUBLIC  
015 E040096 X  
015 A000097 UNICREDIT BANK SRBIJA A.D.  
015 B000097 S  
015 C010097 BELGRADE  
015 D010097 SERBIA  
015 E040097 X  
015 A000098 UNICREDIT BANKA SLOVENIJA D.D.  
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015 C010098 LJUBLJANA  
015 D010098 SLOVENIA  
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019 B000000 208  
019 C000000 COLUMBIAFD  
020 A000001 GOLDMAN, SACHS & CO.  
020 B000001 13-5108880  
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020 A000002 CITIGROUP GLOBAL MARKETS INC.  
020 B000002 11-2418191  
020 C000002 41  
020 A000003 J.P. MORGAN SECURITIES, INC.  
020 B000003 13-3224016  
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020 A000004 BARCLAYS CAPITAL  
020 B000004 13-3297824  
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020 A000005 STIFEL, NICOLAUS & CO., INC.  
020 B000005 43-0538770  
020 C000005 22  
PAGE 12  
020 A000006 MORGAN STANLEY  
020 B000006 13-2655998  
020 C000006 20  
020 A000007 UBS SECURITIES LLC  
020 B000007 13-3873456  
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020 A000008 RAYMOND JAMES & ASSOCIATES, INC.  
020 B000008 59-1237041  
020 C000008 9  
020 A000009 KEYBANC CAPITAL MARKETS  
020 B000009 34-1391952  
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020 A000010 FRIEDMAN, BILLINGS, RAMSEY & CO., INC.  
020 B000010 32-0045263  
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022 A000001 DEUTSCHE BANK SECURITIES INC.  
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022 A000003 MORGAN STANLEY  
022 B000003 13-2655998  
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022 A000004 J.P. MORGAN SECURITIES, INC.  
022 B000004 13-3224016  
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022 A000005 BARCLAYS CAPITAL  
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022 D000005 54671  
022 A000006 CITIGROUP GLOBAL MARKETS INC.  
022 B000006 11-2418191  
022 C000006 38573  
022 D000006 18057  
022 A000007 WELLS FARGO INVESTMENTS, LLC  
022 B000007 91-1374280  
022 C000007 9544

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022 D000007 14841  
022 A000008 JEFFERIES & COMPANY, INC.  
022 B000008 95-2622900  
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022 A000009 CREDIT SUISSE SECURITIES (USA) L.L.C.  
022 B000009 13-5659485  
022 C000009 1621

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022 D000009 7974  
022 A000010 UBS SECURITIES LLC  
022 B000010 13-3873456  
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022 D000010 2950  
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023 D000000 626161  
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025 A000001 Citigroup, Inc.  
025 B000001 11-2418191  
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025 D000001 14637  
025 A000002 JPMorgan Chase & Co.  
025 B000002 13-3224016  
025 C000002 E  
025 D000002 25575

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054	E000000	N
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054 H000000 N  
054 I000000 N  
054 J000000 Y  
054 K000000 N  
054 L000000 Y  
054 M000000 Y  
054 N000000 N  
054 O000000 Y  
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066 E000000 Y  
066 F000000 N  
066 G000000 N  
067 000000 N  
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  
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070 G010000 Y

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070	M020000	N	
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070	N020000	Y	
070	O010000	Y	
070	O020000	N	
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070	Q020000	N	
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077	Q030000	N
078	000000	N
080	A000000	ICI Mutual Insurance Company
080	B000000	n/a
080	C000000	5000
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081	B000000	6

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082 A000000 N  
082 B000000 0  
083 A000000 N  
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084 A000000 N  
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085 B000000 N  
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086 B010000 2356  
086 B020000 36949  
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086 C020000 0  
086 D010000 0  
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 895436202  
087 B030000 TY  
087 C010000 TRI-CONTINENTAL - WARRANT  
087 C020000 895436111  
088 A000000 N  
088 B000000 N  
088 C000000 N  
088 D000000 Y  
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 19, 2013

Name of Registrant, Depositor, or Trustee: Tri-Continental Corporation

/s/ Michael G. Clarke

-----  
Michael G. Clarke  
Treasurer

/s/ Joseph F. DiMaria

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Joseph F. DiMaria  
Chief Accounting Officer  
Witness

TRI-CONTINENTAL CORPORATION