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TRI-CONTINENTAL CORP

Form NSAR-A

August 28, 2014

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000 A000000 06/30/2014  
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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006 000000 N  
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  
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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.  
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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  
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, D.F.  
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  
015 D010009 TUNISIA  
015 E040009 X  
015 A000010 BNP PARIBAS SECURITIES SERVICES S.C.A.  
015 B000010 S  
015 C010010 BRUSSELS  
015 D010010 BELGIUM  
015 E040010 X  
015 A000011 BNP PARIBAS SECURITIES SERVICES S.C.A.  
015 B000011 S  
015 C010011 PANTIN  
015 D010011 FRANCE  
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015 A000012 BNP PARIBAS SECURITIES SERVICES S.C.A.  
015 B000012 S  
015 C010012 MILAN  
015 D010012 ITALY  
015 E040012 X  
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.  
015 B000014 S  
015 C010014 AMSTERDAM  
015 D010014 NETHERLANDS  
015 E040014 X  
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  
015 C010017 ISTANBUL  
015 D010017 TURKEY  
015 E040017 X  
015 A000018 CITIBANK DEL PERU S.A.  
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015 C010018 LIMA  
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015 A000019 CITIBANK, N.A.  
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015 A000020 CITIBANK, N.A.  
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015 A000021 CORPBANCA INVESTMENT TRUST COLOMBIA S.A.  
015 B000021 S  
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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  
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015 A000025 DEUTSCHE BANK AG  
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015 C010025 JAKARTA  
015 D010025 INDONESIA  
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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  
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015 B000031 S  
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 MIDDLE EAST LIMITED  
015 B000033 S  
015 C010033 AL SEEF  
015 D010033 BAHRAIN  
015 E040033 X  
015 A000034 HSBC BANK MIDDLE EAST LIMITED  
015 B000034 S  
015 C010034 AMMAN  
015 D010034 JORDAN  
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015 A000035 HSBC BANK MIDDLE EAST LIMITED  
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015 C010035 SAFAT  
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015 E040035 X  
015 A000036 HSBC BANK MIDDLE EAST LIMITED  
015 B000036 S  
015 C010036 BEIRUT  
015 D010036 LEBANON  
015 E040036 X  
015 A000037 HSBC BANK MIDDLE EAST LIMITED  
015 B000037 S  
015 C010037 RAMALLAH  
015 D010037 PALESTINE TERRITORY  
015 E040037 X  
015 A000038 HSBC BANK MIDDLE EAST LIMITED  
015 B000038 S

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015 C010038 DOHA  
015 D010038 QATAR  
015 E040038 X  
015 A000039 HSBC BANK MIDDLE EAST LIMITED  
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015 C010039 DUBAI  
015 D010039 UAE  
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015 A000040 HSBC BANK OMAN S.A.O.G.  
015 B000040 S  
015 C010040 SEEB  
015 D010040 OMAN  
015 E040040 X  
015 A000041 HSBC BANK PLC  
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015 C010041 ATHENS  
015 D010041 GREECE  
015 E040041 X  
015 A000042 HSBC SAUDI ARABIA LIMITED  
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015 D010042 SAUDI ARABIA  
015 E040042 X  
015 A000043 ING BANK N.V.  
015 B000043 S  
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015 D010043 BULGARIA  
015 E040043 X  
015 A000044 ING BANK N.V.  
015 B000044 S  
015 C010044 BUCHAREST  
015 D010044 ROMANIA  
015 E040044 X  
015 A000045 ING BANK UKRAINE  
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015 C010045 KIEV  
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015 E040045 X  
015 A000046 ISLANDSBANKI HF.  
015 B000046 S  
015 C010046 REYKJAVIK  
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015 E040046 X  
015 A000047 J.P. MORGAN AG  
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015 C010047 FRANKFURT  
015 D010047 GERMANY  
015 E040047 X  
015 A000048 J.P. MORGAN BANK INTERNATIONAL  
015 B000048 S  
015 C010048 MOSCOW  
015 D010048 RUSSIA  
015 E040048 X  
015 A000049 J.P. MORGAN S.A. DTVM  
015 B000049 S  
015 C010049 SAO PAULO  
015 D010049 BRAZIL  
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015 A000050 JPMORGAN CHASE BANK, N.A.  
015 B000050 S  
015 C010050 SYDNEY

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015 D010050 AUSTRALIA  
015 E040050 X  
015 A000051 JPMORGAN CHASE BANK, N.A.  
015 B000051 S  
015 C010051 QUARRY BAY  
PAGE 7  
015 D010051 HONG KONG  
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015 A000052 JPMORGAN CHASE BANK, N.A.  
015 B000052 S  
015 C010052 MUMBAI  
015 D010052 INDIA  
015 E040052 X  
015 A000053 JPMORGAN CHASE BANK, N.A.  
015 B000053 S  
015 C010053 WELLINGTON  
015 D010053 NEW ZEALAND  
015 E040053 X  
015 A000054 JPMORGAN CHASE BANK, N.A.  
015 B000054 S  
015 C010054 TAIPEI  
015 D010054 TAIWAN  
015 E040054 X  
015 A000055 JPMORGAN CHASE BANK, N.A.  
015 B000055 S  
015 C010055 LONDON  
015 D010055 UNITED KINGDOM  
015 E040055 X  
015 A000056 MIZUHO BANK, LTD.  
015 B000056 S  
015 C010056 TOKYO  
015 D010056 JAPAN  
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015 A000057 NORDEA BANK AB  
015 B000057 S  
015 C010057 STOCKHOLM  
015 D010057 SWEDEN  
015 E040057 X  
015 A000058 NORDEA BANK DANMARK A/S  
015 B000058 S  
015 C010058 TAASTRUP  
015 D010058 DENMARK  
015 E040058 X  
015 A000059 NORDEA BANK FINLAND PLC  
015 B000059 S  
015 C010059 HELSINKI  
015 D010059 FINLAND  
015 E040059 X  
015 A000060 NORDEA BANK NORGE ASA  
015 B000060 S  
015 C010060 OSLO  
015 D010060 NORWAY  
015 E040060 X  
015 A000061 PRIVREDNA BANKA ZAGREB D.D.  
015 B000061 S  
015 C010061 ZAGREB  
015 D010061 CROATIA  
PAGE 8  
015 E040061 X  
015 A000062 REPUBLIC BANK LIMITED  
015 B000062 S  
015 C010062 PORT OF SPAIN

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015 D010062 TRINIDAD AND TOBAGO  
015 E040062 X  
015 A000063 ROYAL BANK OF CANADA  
015 B000063 S  
015 C010063 TORONTO  
015 D010063 CANADA  
015 E040063 X  
015 A000064 SANTANDER INVESTMENT, S.A.  
015 B000064 S  
015 C010064 MADRID  
015 D010064 SPAIN  
015 E040064 X  
015 A000065 SB HSBC BANK KAZAKHSTAN JSC  
015 B000065 S  
015 C010065 ALMATY  
015 D010065 KAZAKHSTAN  
015 E040065 X  
015 A000066 SOCIETE GENERALE  
015 B000066 S  
015 C010066 PARIS  
015 D010066 FRANCE  
015 E040066 X  
015 A000067 SOCIETE GENERALE MAROCAINE DE BANQUES  
015 B000067 S  
015 C010067 CASABLANCA  
015 D010067 MOROCCO  
015 E040067 X  
015 A000068 STANBIC BANK TANZANIA LIMITED  
015 B000068 S  
015 C010068 DAR ES SALAAM  
015 D010068 TANZANIA  
015 E040068 X  
015 A000069 STANBIC BANK ZIMBABWE LIMITED  
015 B000069 S  
015 C010069 HARARE  
015 D010069 ZIMBABWE  
015 E040069 X  
015 A000070 STANBIC IBTC BANK PLC  
015 B000070 S  
015 C010070 LAGOS  
015 D010070 NIGERIA  
015 E040070 X  
015 A000071 STANDARD BANK LIMITED, MALAWI  
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015 C010071 BLANTYRE  
015 D010071 MALAWI  
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PAGE 9  
015 A000072 STANDARD BANK NAMIBIA LIMITED  
015 B000072 S  
015 C010072 WINDHOEK  
015 D010072 NAMIBIA  
015 E040072 X  
015 A000073 STANDARD CHARTERED BANK  
015 B000073 S  
015 C010073 DHAKA  
015 D010073 BANGLADESH  
015 E040073 X  
015 A000074 STANDARD CHARTERED BANK (PAKISTAN) LIMITED  
015 B000074 S  
015 C010074 KARACHI  
015 D010074 PAKISTAN

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015 E040074 X  
015 A000075 STANDARD CHARTERED BANK (THAI) PUBLIC CO. LTD  
015 B000075 S  
015 C010075 BANGKOK  
015 D010075 THAILAND  
015 E040075 X  
015 A000076 STANDARD CHARTERED BANK BOTSWANA LIMITED  
015 B000076 S  
015 C010076 GABORONE  
015 D010076 BOTSWANA  
015 E040076 X  
015 A000077 STANDARD CHARTERED BANK COTE D'IVOIRE SA  
015 B000077 S  
015 C010077 ABIDJAN  
015 D010077 IVORY COAST  
015 E040077 X  
015 A000078 STANDARD CHARTERED BANK GHANA LIMITED  
015 B000078 S  
015 C010078 ACCRA  
015 D010078 GHANA  
015 E040078 X  
015 A000079 STANDARD CHARTERED BANK KENYA LIMITED  
015 B000079 S  
015 C010079 NAIROBI  
015 D010079 KENYA  
015 E040079 X  
015 A000080 STANDARD CHARTERED BANK KOREA LIMITED  
015 B000080 S  
015 C010080 SEOUL  
015 D010080 SOUTH KOREA  
015 E040080 X  
015 A000081 STANDARD CHARTERED BANK UGANDA LIMITED  
015 B000081 S  
015 C010081 KAMPALA  
015 D010081 UGANDA  
015 E040081 X  
015 A000082 STANDARD CHARTERED BANK ZAMBIA PLC  
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015 B000082 S  
015 C010082 LUSAKA  
015 D010082 ZAMBIA  
015 E040082 X  
015 A000083 SWEDBANK AS  
015 B000083 S  
015 C010083 TALLINN  
015 D010083 ESTONIA  
015 E040083 X  
015 A000084 SWEDBANK AS  
015 B000084 S  
015 C010084 RIGA  
015 D010084 LATVIA  
015 E040084 X  
015 A000085 THE BANK OF TOKYO-MITSUBISHI UFJ, LIMITED  
015 B000085 S  
015 C010085 TOKYO  
015 D010085 JAPAN  
015 E040085 X  
015 A000086 THE HONGKONG AND SHANGHAI BANKING CORP. LTD  
015 B000086 S  
015 C010086 EBENE  
015 D010086 MAURITIUS  
015 E040086 X



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015 A000087 THE HONGKONG AND SHANGHAI BANKING CORP. LTD  
015 B000087 S  
015 C010087 TAGUIG CITY  
015 D010087 PHILIPPINES  
015 E040087 X  
015 A000088 THE HONGKONG AND SHANGHAI BANKING CORP. LTD  
015 B000088 S  
015 C010088 COLOMBO  
015 D010088 SRI LANKA  
015 E040088 X  
015 A000089 UBS AG  
015 B000089 S  
015 C010089 ZURICH  
015 D010089 SWITZERLAND  
015 E040089 X  
015 A000090 UNICREDIT BANK AUSTRIA AG  
015 B000090 S  
015 C010090 VIENNA  
015 D010090 AUSTRIA  
015 E040090 X  
015 A000091 UNICREDIT BANK CZECH RPB. & SLOVAKIA A.S.  
015 B000091 S  
015 C010091 PRAGUE  
015 D010091 CZECH REPUBLIC  
015 E040091 X  
015 A000092 UNICREDIT BANK CZECH RPB. & SLOVAKIA A.S.  
015 B000092 S  
PAGE 11  
015 C010092 BRATISLAVA  
015 D010092 SLOVAK REPUBLIC  
015 E040092 X  
015 A000093 UNICREDIT BANK SRBIJA A.D.  
015 B000093 S  
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015 D010093 SERBIA  
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015 A000094 UNICREDIT BANKA SLOVENIJA D.D.  
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015 E040094 X  
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020 A000001 GOLDMAN, SACHS & CO.  
020 B000001 13-5108880  
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020 A000002 CREDIT SUISSE SECURITIES (USA) L.L.C.  
020 B000002 13-5659485  
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020 A000003 BARCLAYS CAPITAL  
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020 A000004 MORGAN STANLEY  
020 B000004 13-2655998  
020 C000004 24  
020 A000005 UBS SECURITIES LLC  
020 B000005 13-3873456  
020 C000005 24  
020 A000006 J.P. MORGAN SECURITIES, INC.  
020 B000006 13-3224016

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020 C000006 19  
020 A000007 DEUTSCHE BANK SECURITIES INC.  
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020 A000008 CITIGROUP GLOBAL MARKETS INC.  
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022 A000001 UBS SECURITIES LLC  
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022 A000002 CITIGROUP GLOBAL MARKETS INC.  
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022 A000003 MORGAN STANLEY  
022 B000003 13-2655998  
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022 A000004 JEFFERIES & COMPANY, INC.  
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022 A000005 GOLDMAN, SACHS & CO.  
022 B000005 13-5108880  
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022 A000006 J.P. MORGAN SECURITIES, INC.  
022 B000006 13-3224016  
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022 A000007 BANC OF AMERICA SECURITIES LLC  
022 B000007 56-2058405  
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022 A000008 WELLS FARGO INVESTMENTS, LLC  
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022 C000008 11288  
022 D000008 6060  
022 A000009 MERRILL LYNCH, PIERCE, FENNER & SMITH INC.  
022 B000009 13-5674085  
022 C000009 4430  
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022 A000010 CREDIT SUISSE SECURITIES (USA) L.L.C.  
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025 A000001 Citigroup, Inc.  
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025 D000001 17516

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025 A000002 JPMorgan Chase & Co.  
025 B000002 13-3224016  
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025 A000003 The Goldman Sachs Group, Inc.  
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061 000000 0  
062 A000000 N  
062 B000000 0.0  
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062 H000000 0.0  
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062 Q000000 0.0  
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066 B000000 N  
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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  
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070 E010000 Y  
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070 G010000 Y  
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070 J020000 Y  
070 K010000 Y  
070 K020000 Y  
070 L010000 Y  
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070 M010000 Y  
070 M020000 Y  
070 N010000 Y  
070 N020000 N  
070 O010000 Y

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070	O020000	N	
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074	M000000		44

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074	N000000	1555032
074	O000000	13594
074	P000000	124
074	Q000000	0
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074	R040000	1234
074	S000000	37637
074	T000000	1502443
074	U010000	61579
074	U020000	0
074	V010000	24.40
074	V020000	0.00
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074	Y000000	418
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075	B000000	1452389
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077	A000000	Y
077	B000000	N
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077	F000000	N
077	G000000	N
077	H000000	N
077	I000000	N
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077	P000000	N
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077	Q030000	N
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086	A020000	1119
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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

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087 B020000 895436202  
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: August 19, 2014

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

/s/ Michael G. Clarke  
-----

Michael G. Clarke  
Treasurer

/s/ Joseph F. DiMaria  
-----

Joseph F. DiMaria  
Chief Accounting Officer  
Witness

TRI-CONTINENTAL CORPORATION