

Edgar Filing: TRI-CONTINENTAL CORP - Form NSAR-A

TRI-CONTINENTAL CORP

Form NSAR-A

August 26, 2011

PAGE 1  
000 A000000 06/30/2011  
000 C000000 0000099614  
000 D000000 N  
000 E000000 NF  
000 F000000 Y  
000 G000000 N  
000 H000000 N  
000 I000000 6.1  
000 J000000 A  
001 A000000 TRI-CONTINENTAL CORPORATION  
001 B000000 811-00266  
001 C000000 6126715682  
002 A000000 50606 AMERIPRISE FINANCIAL CENTER  
002 B000000 MINNEAPOLIS  
002 C000000 MN  
002 D010000 55474  
003 000000 N  
004 000000 N  
005 000000 N  
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  
010 C030001 02110  
012 A000001 COLUMBIA MANAGEMENT INVESTMENT SERVICES CORP.  
012 B000001 84-5685  
012 C010001 BOSTON  
012 C020001 MA  
012 C030001 02111  
013 A000001 ERNST & YOUNG 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 SECURITIES AMERICA, INC.  
014 B000003 8-26602  
014 A000004 AMERIPRISE FINANCIAL SERVICES, INC.  
014 B000004 8-16791  
PAGE 2  
014 A000005 RIVERSOURCE DISTRIBUTORS, INC.  
014 B000005 8-67196  
015 A000001 JPMORGAN CHASE BANK, N.A.  
015 B000001 C  
015 C010001 NEW YORK  
015 C020001 NY

Edgar Filing: TRI-CONTINENTAL CORP - Form NSAR-A

015 C030001 10005  
015 E010001 X  
015 A000002 JPMORGAN CHASE BANK, N.A.  
015 B000002 S  
015 C010002 NEW YORK  
015 C020002 NY  
015 C030002 10005  
015 E040002 X  
018 000000 Y  
019 A000000 Y  
019 B000000 207  
019 C000000 COLUMBIAFD  
020 A000001 BARCLAYS CAPITAL  
020 C000001 66  
020 A000002 UBS SECURITIES LLC  
020 B000002 13-3873456  
020 C000002 17  
020 A000003 INSTINET LLC  
020 B000003 13-3443395  
020 C000003 12  
020 A000004 Goldman Sachs Group  
020 B000004 13-5108880  
020 C000004 11  
020 A000005 J.P. MORGAN SECURITIES, INC.  
020 B000005 13-3224016  
020 C000005 8  
020 A000006 CREDIT SUISSE SECURITIES (USA) L.L.C.  
020 B000006 13-5659485  
020 C000006 4  
020 A000007 LIQUIDNET, INC.  
020 B000007 13-4095933  
020 C000007 3  
020 A000008 MORGAN STANLEY  
020 B000008 13-2655998  
020 C000008 2  
020 A000009 DEUTSCHE BANK SECURITIES INC.  
020 B000009 13-2730828  
020 C000009 1  
020 A000010 COWEN & CO., LLC  
020 B000010 38-3698933  
020 C000010 1  
021 000000 125  
022 A000001 DEUTSCHE BANK SECURITIES INC.  
022 B000001 13-2730828  
022 C000001 123827  
PAGE 3  
022 D000001 135126  
022 A000002 CREDIT SUISSE SECURITIES (USA) L.L.C.  
022 B000002 13-5659485  
022 C000002 52559  
022 D000002 46169  
023 C000000 176387  
023 D000000 181295  
024 000000 Y  
025 A000001 CITIGROUP, INC.  
025 B000001 11-2418191  
025 C000001 E  
025 D000001 6040  
025 A000002 FRANKLIN RESOURCES, INC.  
025 B000002 13-2670991  
025 C000002 E  
025 D000002 20193

Edgar Filing: TRI-CONTINENTAL CORP - Form NSAR-A

025 A000003 The Goldman Sachs Group, Inc.  
 025 B000003 13-5108880  
 025 C000003 E  
 025 D000003 7351  
 025 A000004 JPMorgan Chase & Co.  
 025 B000004 13-3224016  
 025 C000004 E  
 025 D000004 33927  
 026 A000000 N  
 026 B000000 Y  
 026 C000000 N  
 026 D000000 Y  
 026 E000000 Y  
 026 F000000 N  
 026 G010000 N  
 026 G020000 N  
 026 H000000 N  
 027 000000 N  
 028 A010000 0  
 028 A020000 0  
 028 A030000 0  
 028 A040000 0  
 028 B010000 0  
 028 B020000 0  
 028 B030000 0  
 028 B040000 0  
 028 C010000 0  
 028 C020000 0  
 028 C030000 0  
 028 C040000 0  
 028 D010000 0  
 028 D020000 0  
 028 D030000 0  
 028 D040000 0  
 028 E010000 0  
 PAGE 4  
 028 E020000 0  
 028 E030000 0  
 028 E040000 0  
 028 F010000 0  
 028 F020000 0  
 028 F030000 0  
 028 F040000 0  
 028 G010000 0  
 028 G020000 0  
 028 G030000 0  
 028 G040000 0  
 028 H000000 0  
 030 A000000 0  
 030 B000000 0.00  
 030 C000000 0.00  
 031 A000000 0  
 031 B000000 0  
 032 000000 0  
 033 000000 0  
 035 000000 0  
 036 B000000 0  
 038 000000 0  
 042 A000000 0  
 042 B000000 0  
 042 C000000 0  
 042 D000000 0

Edgar Filing: TRI-CONTINENTAL CORP - Form NSAR-A

042	E000000	0
042	F000000	0
042	G000000	0
042	H000000	0
043	000000	0
044	000000	0
045	000000	Y
046	000000	N
047	000000	Y
048	000000	0.000
048	A010000	500000
048	A020000	0.060
048	B010000	500000
048	B020000	0.055
048	C010000	2000000
048	C020000	0.050
048	D010000	9000000
048	D020000	0.040
048	E010000	0
048	E020000	0.000
048	F010000	0
048	F020000	0.000
048	G010000	0
048	G020000	0.000
048	H010000	0
	PAGE	5
048	H020000	0.000
048	I010000	0
048	I020000	0.000
048	J010000	0
048	J020000	0.000
048	K010000	12000000
048	K020000	0.030
049	000000	N
050	000000	N
051	000000	N
052	000000	N
053	A000000	N
054	A000000	Y
054	B000000	Y
054	C000000	Y
054	D000000	N
054	E000000	N
054	F000000	N
054	G000000	Y
054	H000000	Y
054	I000000	N
054	J000000	Y
054	K000000	N
054	L000000	Y
054	M000000	Y
054	N000000	N
054	O000000	Y
055	A000000	N
055	B000000	N
056	000000	Y
057	000000	N
058	A000000	N
059	000000	Y
060	A000000	Y
060	B000000	Y
061	000000	0

Edgar Filing: TRI-CONTINENTAL CORP - Form NSAR-A

062 A000000 N  
062 B000000 0.0  
062 C000000 0.0  
062 D000000 0.0  
062 E000000 0.0  
062 F000000 0.0  
062 G000000 0.0  
062 H000000 0.0  
062 I000000 0.0  
062 J000000 0.0  
062 K000000 0.0  
062 L000000 0.0  
062 M000000 0.0  
062 N000000 0.0  
062 O000000 0.0

PAGE 6

062 P000000 0.0  
062 Q000000 0.0  
062 R000000 0.0  
063 A000000 0  
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  
068 A000000 N  
068 B000000 N  
069 000000 N  
070 A010000 Y  
070 A020000 Y  
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  
070 J020000 Y  
070 K010000 Y  
070 K020000 Y  
070 L010000 Y  
070 L020000 N  
070 M010000 Y  
070 M020000 N  
070 N010000 Y  
070 N020000 Y  
070 O010000 Y  
070 O020000 N

Edgar Filing: TRI-CONTINENTAL CORP - Form NSAR-A

070 P010000 Y  
 070 P020000 N  
 070 Q010000 Y  
 070 Q020000 N  
 070 R010000 Y  
     PAGE 7  
 070 R020000 N  
 071 A000000 273523  
 071 B000000 287978  
 071 C000000 1150466  
 071 D000000 24  
 072 A000000 6  
 072 B000000 56  
 072 C000000 12466  
 072 D000000 0  
 072 E000000 0  
 072 F000000 2019  
 072 G000000 321  
 072 H000000 0  
 072 I000000 550  
 072 J000000 14  
 072 K000000 1  
 072 L000000 0  
 072 M000000 17  
 072 N000000 0  
 072 O000000 0  
 072 P000000 0  
 072 Q000000 0  
 072 R000000 56  
 072 S000000 14  
 072 T000000 0  
 072 U000000 0  
 072 V000000 169  
 072 W000000 94  
 072 X000000 3255  
 072 Y000000 0  
 072 Z000000 9267  
 072AA000000 29758  
 072BB000000 0  
 072CC010000 53148  
 072CC020000 0  
 072DD010000 0  
 072DD020000 0  
 072EE000000 0  
 073 A010000 0.1300  
 073 A020000 0.0000  
 073 B000000 0.0000  
 073 C000000 0.0000  
 074 A000000 0  
 074 B000000 40623  
 074 C000000 0  
 074 D000000 0  
 074 E000000 0  
 074 F000000 1157143  
 074 G000000 0  
 074 H000000 0  
 074 I000000 48389  
     PAGE 8  
 074 J000000 0  
 074 K000000 0  
 074 L000000 7013  
 074 M000000 70

Edgar Filing: TRI-CONTINENTAL CORP - Form NSAR-A

074	N000000	1253238
074	O000000	0
074	P000000	16
074	Q000000	0
074	R010000	0
074	R020000	0
074	R030000	0
074	R040000	85807
074	S000000	0
074	T000000	1167415
074	U010000	0
074	U020000	0
074	V010000	17.24
074	V020000	0.00
074	W000000	0.0000
074	X000000	19420
074	Y000000	672
075	A000000	0
075	B000000	1118908
076	000000	14.93
077	A000000	Y
077	B000000	N
077	C000000	Y
077	D000000	Y
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	N
077	Q030000	N
078	000000	N
080	C000000	0
081	B000000	0
082	B000000	0
083	B000000	0
084	B000000	0
086	A010000	49
086	A020000	713
	PAGE	9
086	B010000	679
086	B020000	9836
086	C010000	0
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

Edgar Filing: TRI-CONTINENTAL CORP - Form NSAR-A

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: MA Date: August 19, 2011

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

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

Michael G. Clarke  
Treasurer

/s/ Wade M. Voigt  
-----

Wade M. Voigt  
Assistant Treasurer  
Witness

TRI-CONTINENTAL CORPORATION