

AMERIPRISE FINANCIAL INC
Form 4
February 10, 2014

FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL
OMB Number: 3235-0287
Expires: January 31, 2015
Estimated average burden hours per response... 0.5

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting Person *
Maglaque Charles Neal

2. Issuer Name and Ticker or Trading Symbol
AMERIPRISE FINANCIAL INC
[AMP]

5. Relationship of Reporting Person(s) to Issuer
(Check all applicable)
 Director 10% Owner
 Officer (give title below) Other (specify below)
Pres. Advice & Wealth Mgt, COO

(Last) (First) (Middle)
1098 AMERIPRISE FINANCIAL CENTER
(Street)

3. Date of Earliest Transaction (Month/Day/Year)
06/30/2010

MINNEAPOLIS, MN 55474

4. If Amendment, Date Original Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check Applicable Line)
 Form filed by One Reporting Person
 Form filed by More than One Reporting Person

(City) (State) (Zip)

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

| 1. Title of Security (Instr. 3) | 2. Transaction Date (Month/Day/Year) | 2A. Deemed Execution Date, if any (Month/Day/Year) | 3. Transaction Code (Instr. 8) | 4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
| | | | | (A) or (D) | Price | | |
| | | | | Code | V | Amount | |
| Common Stock | 02/06/2014 | | F | D | 237 | \$ 105.64 | 14,964 D |
| Common Stock | 06/30/2010 | | M | A | 2,116 ⁽¹⁾ | \$ 36.13 | 17,080 D |
| Common Stock | 06/30/2010 | | F | D | 690 | \$ 36.13 | 16,390 D |
| Common Stock | 06/30/2011 | | M | A | 2,214 ⁽¹⁾ | \$ 57.68 | 18,604 D |
| Common Stock | 06/30/2011 | | F | D | 780 | \$ 57.68 | 17,824 D |

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| | | | | | | | | |
|--------------|------------|---|---------------------|---|----------|--------|---|--------------------|
| Common Stock | 07/02/2012 | M | <u>2,601</u> (1) | A | \$ 51.99 | 20,425 | D | |
| Common Stock | 07/02/2012 | F | 916 | D | \$ 51.99 | 19,509 | D | |
| Common Stock | | | | | | 343.67 | I | By 401(k) Plan (2) |

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

SEC 1474
(9-02)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned
(e.g., puts, calls, warrants, options, convertible securities)

| 1. Title of Derivative Security (Instr. 3) | 2. Conversion or Exercise Price of Derivative Security | 3. Transaction Date (Month/Day/Year) | 3A. Deemed Execution Date, if any (Month/Day/Year) | 4. Transaction Code (Instr. 8) | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) | 8. Price or Value of Underlying Securities (Instr. 3 and 4) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|---|
| Phantom Stock | (3) | 06/30/2010 | | M | 2,116 (1) | (4) (4) | Common Stock | 2,116 (3) |
| Phantom Stock | (3) | 06/30/2011 | | M | 2,214 (1) | (4) (4) | Common Stock | 2,214 (3) |
| Phantom Stock | (3) | 07/02/2012 | | M | 2,601 (1) | (4) (4) | Common Stock | 2,601 (3) |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|--|---------------|-----------|--------------------------------|-------|
| | Director | 10% Owner | Officer | Other |
| Maglaque Charles Neal 1098 AMERIPRISE FINANCIAL CENTER MINNEAPOLIS, MN 55474 | | | Pres. Advice & Wealth Mgt, COO | |

Signatures

/s/ Thomas R. Moore for Charles Neal
Maglaque

02/10/2014

__Signature of Reporting Person

Date

Explanation of Responses:

- * If the form is filed by more than one reporting person, *see* Instruction 4(b)(v).
- ** Intentional misstatements or omissions of facts constitute Federal Criminal Violations. *See* 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

(1) Reflects additional shares from the reinvestment of dividends on phantom stock.

Estimate of the number of shares held in the reporting person's account in the Ameriprise Financial Stock Fund under the Ameriprise
(2) Financial 401(k) plan as of February 5, 2014. This plan uses unit accounting and the number of shares that a participant is deemed to hold varies with the price of Ameriprise stock.

(3) Each share of phantom stock represents the right to receive one share of Ameriprise Financial, Inc. common stock.

(4) Shares of phantom stock are payable in shares of Ameriprise common stock at a specified date in accordance with the Ameriprise Financial Deferred Compensation Plan.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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