#### AMERIPRISE FINANCIAL INC

Form 4

November 26, 2014

## FORM 4

# UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

if no longer subject to Section 16. Form 4 or Form 5

Check this box

### STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES**

obligations may continue. See Instruction

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

1(b).

(Last)

(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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

[AMP]

(Middle)

10% Owner Other (specify

**OMB APPROVAL** 

Estimated average

burden hours per

3235-0287

January 31,

2005

0.5

**OMB** 

Number:

Expires:

response...

1098 AMERIPRISE FINANCIAL

(Month/Day/Year) 11/25/2014

\_X\_\_ Officer (give title below) Pres. Advice & Wealth Mgt, COO

Director

(First)

**CENTER** 

4. If Amendment, Date Original

3. Date of Earliest Transaction

6. Individual or Joint/Group Filing(Check

Applicable Line)

(Street)

Filed(Month/Day/Year)

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

MINNEAPOLIS, MN 55474

(City)	(State)	(Zip) Tab	le I - Non-	Derivativ	e Secu	rities Acqui	red, Disposed of,	or Beneficial	y 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)				5. Amount of Securities Beneficially Owned Following Reported Transaction(s)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code V	Amount	or (D)	Price	(Instr. 3 and 4)		
Common Stock	11/25/2014		M	6,286	A	\$ 52.86	21,680 (1)	D	
Common Stock	11/25/2014		M	1,342	A	\$ 37.23	23,022	D	
Common Stock	11/25/2014		F	5,365	D	\$ 132.17	17,657	D	
Common Stock	11/25/2014		S	8,263	D	\$ 131.588 (2)	9,394	D	
							348.73	I	

 $\begin{array}{c} \text{Common} \\ \text{Stock} \end{array} \hspace{2cm} \text{By 401(k)} \\ \text{Plan} \hspace{2cm} \overset{(3)}{\longrightarrow} \end{array}$ 

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)	Execution Date, if Transaction Derivations any Code Securities (Month/Day/Year) (Instr. 8) Acquired (A) or Disposed (D)		Securities Acquired (A) or Disposed of (D) (Instr. 3, 4,	6. Date Exer Expiration D (Month/Day)	ate	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Employee Stock Option (right to buy)	\$ 52.86	11/25/2014		M	6,286	<u>(4)</u>	01/29/2018	Common Stock	6,286
Employee Stock Option (right to buy)	\$ 37.23	11/25/2014		M	1,342	<u>(4)</u>	02/09/2020	Common Stock	1,342

## **Reporting Owners**

Reporting Owner Name / Address

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 11/26/2014

\*\*Signature of Reporting Person Date

Reporting Owners 2

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### **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) The balance reflects a reduction of 106 shares as a correcting adjustment.
- Reflects the weighted average price of 8,263 shares of common stock of Ameriprise Financial, Inc. sold by the reporting person in multiple transactions on November 25, 2014 with sale prices ranging from \$131.38 to \$132.12 per share. The reporting person undertakes to provide upon request by the U.S. Securities and Exchange Commission staff, the issuer, or a security holder of the issuer, full information regarding the number of shares sold at each separate price.
- Estimate of the number of shares held in the reporting person's account in the Ameriprise Financial Stock Fund under the Ameriprise (3) Financial 401(k) plan as of November 25, 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.
- (4) Fully vested.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.