

AMERIPRISE FINANCIAL INC

Form 4

October 04, 2005

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

OMB APPROVAL

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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 \*  
Stewart David Kent

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

5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

(Last) (First) (Middle)  
707 SECOND AVENUE SOUTH  
(Street)

3. Date of Earliest Transaction  
(Month/Day/Year)  
09/30/2005

\_\_\_\_ Director \_\_\_\_ 10% Owner  
\_\_\_\_X\_\_\_\_ Officer (give title \_\_\_\_ Other (specify  
below) below)  
Sr. V. P. & Controller

MINNEAPOLIS MN 55474

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

6. Individual or Joint/Group Filing(Check  
Applicable Line)  
\_\_\_\_X\_\_\_\_ 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)
Common Stock <sup>(1)</sup>	10/03/2005		A	1,784	A \$ 0 1,784	D	
Common Stock					12	I	By ISP Trust <sup>(2)</sup>

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

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information contained in this form are not  
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SEC 1474  
(9-02)

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**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)			
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Employee Stock Option (Right to Buy) <sup>(3)</sup>	\$ 20.819	09/30/2005		A		6,148		<sup>(4)</sup>	01/26/2013	Common Stock	6,148
Employee Stock Option (Right to Buy) <sup>(3)</sup>	\$ 31.313	09/30/2005		A		9,627		<sup>(5)</sup>	01/25/2014	Common Stock	9,627
Employee Stock Option (Right to Buy) <sup>(3)</sup>	\$ 32.587	09/30/2005		A		14,440		<sup>(6)</sup>	01/23/2015	Common Stock	14,440
Employee Stock Option (Right to Buy) <sup>(7)</sup>	\$ 35.035	10/03/2005		A		23,069		<sup>(7)</sup>	10/02/2015	Common Stock	23,069

## Reporting Owners

Reporting Owner Name / Address	Relationships
	Director 10% Owner Officer Other
Stewart David Kent 707 SECOND AVENUE SOUTH MINNEAPOLIS MN 55474	Sr. V. P. & Controller

## Signatures

/s/ Julie E. Ramacher for David K. Stewart 10/04/2005

\_\_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) Restricted stock award, granted under the Ameriprise Financial 2005 Incentive Compensation Plan, will vest in four equal installments on October 3, 2006, 2007, 2008 and 2009.

(2) Estimate of the number of shares held in reporting person's account in the Ameriprise Financial Stock Fund under the American Express Company Incentive Savings Plan as a result of the distribution with respect to such reporting person's holdings in the American Express Company pooled stock fund as of September 19, 2005. This plan uses unit accounting and the number of shares that a participant is deemed to hold varies with the unit price of the Ameriprise Financial Stock Fund.

- (3) Employee stock option granted under Ameriprise Financial 2005 Incentive Compensation Plan in substitution of employee stock option originally granted to the reporting person under the American Express Company 1998 Incentive Compensation Plan, adjusted to reflect the distribution of Ameriprise Financial, Inc. on September 30, 2005.

- (4) The reported employee stock option will become exercisable on the same schedule as the American Express Company stock option it replaced; in two equal installments on January 27, 2006 and 2007.

- (5) The reported employee stock option will become exercisable on the same schedule as the American Express Company stock option it replaced; in three equal installments January 26, 2006, 2007 and 2008.

- (6) The reported employee stock option will become exercisable on the same schedule as the American Express Company stock option it replaced; in four equal installments on January 24, 2006, 2007, 2008 and 2009.

- (7) The reported employee stock option, granted under the Ameriprise Financial 2005 Incentive Compensation Plan, will become exercisable in four equal installments on October 3, 2006, 2007, 2008 and 2009.

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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