

AMERIPRISE FINANCIAL INC  
Form 4  
February 08, 2017

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

OMB APPROVAL  
OMB Number: 3235-0287  
Expires: January 31, 2005  
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 \*  
MOORE COLIN

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)  
  
1098 AMERIPRISE FINANCIAL CENTER  
  
(Street)

3. Date of Earliest Transaction (Month/Day/Year)  
02/06/2017

\_\_\_\_ Director  
 Officer (give title below) \_\_\_\_\_ Other (specify below)  
EVP & Global CIO

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)
			Code	V	Amount or Price		
Common Stock	02/06/2017		A		3,752 (1)	A	\$ 0 62,237 D
Common Stock	02/07/2017		M		13,195	A	\$ 47.5 75,432 D
Common Stock	02/07/2017		M		12,239	A	\$ 54.33 87,671 D
Common Stock	02/07/2017		M		25,428	A	\$ 65.31 113,099 D
Common Stock	02/07/2017		F		36,624	D	\$ 123.37 76,475 D

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 4

Common Stock      02/07/2017      F      928      D      \$ 123.18      75,547      D

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 Security (Instr. 3 and 4)	Amount or Number of Shares
				Code	V (A) (D)	Date Exercisable      Expiration Date	Title	
Employee Stock Option (right to buy)	\$ 123.37	02/06/2017		A	32,641	<sup>(2)</sup> 02/07/2027	Common Stock	32,641
Employee Stock Option (right to buy)	\$ 47.5	02/07/2017		M	13,195	<sup>(3)</sup> 05/04/2020	Common Stock	13,195
Employee Stock Option (right to buy)	\$ 54.33	02/07/2017		M	12,239	<sup>(3)</sup> 02/07/2022	Common Stock	12,239
Employee Stock Option (right to buy)	\$ 65.31	02/07/2017		M	25,428	<sup>(3)</sup> 02/05/2023	Common Stock	25,428

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other

MOORE COLIN  
1098 AMERIPRISE FINANCIAL CENTER  
MINNEAPOLIS, MN 55474

EVP &  
Global  
CIO

## Signatures

/s/ Thomas R. Moore for Colin  
Moore

02/08/2017

\_\_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 unit award, granted under the Ameriprise Financial 2005 Incentive Compensation Plan, will vest in three equal installments on February 6, 2018, February 6, 2019 and February 6, 2020.
- (2) One-third of the options vest after one year; one-third of the options vest after two years and the final options vest three years from February 6, 2017.
- (3) 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.