

AMERIPRISE FINANCIAL INC  
Form 4  
February 11, 2014

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

OMB APPROVAL

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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 \*  
Sharan Kim Michelle

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)

3. Date of Earliest Transaction  
(Month/Day/Year)  
02/07/2014

\_\_\_ Director \_\_\_ 10% Owner  
 Officer (give title below) \_\_\_ Other (specify below)  
Pres Fncl Plng & Wealth & CMO

GENERAL COUNSEL'S  
OFFICE, 1098 AMERIPRISE  
FINANCIAL CENTER

(Street)

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

MINNEAPOLIS, MN 55474

(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 Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|--|
|                                 |                                      |  | Code                           | V   | Amount  | (A) or (D)   | Price                                      |
| Common Stock                    | 02/07/2014                           |  | A                              |   | 9,130   | A  | \$ 0                                       |
| Common Stock                    | 02/07/2014                           |  | F                              |   | 5,420   | D  | \$ 107.61                                  |
| Common Stock                    | 02/11/2014                           |  | M                              |   | 10,540  | A  | \$ 58.73                                   |
| Common Stock                    | 02/11/2014                           |  | M                              |   | 14,601  | A  | \$ 52.86                                   |
|                                 | 02/07/2014                           |  | F                              |   | 19,351  | D  | \$ 105.5                                   |

Common  
Stock

Common Stock 02/11/2014 S 15,948 D \$ 105.8507 30,215 D

Common Stock 256.81 I By 401(k) Plan (2)

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

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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 Security (Instr. 3 and 4) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|
|  |  |                                      |  | Code                           | V (A) (D)   | Date Exercisable Expiration Date                         | Title   |
| Phantom Stock                              | <u>(3)</u>   | 02/07/2014                           |  | A                              | 743.4253  | <u>(4)</u> <u>(4)</u>                                    | Common Stock  |
| Common Stock                               | \$ 58.73   | 02/11/2014                           |  | M                              | 10,540  | <u>(5)</u> 01/30/2017                                    | Common Stock  |
| Common Stock                               | \$ 52.86   | 02/11/2014                           |  | M                              | 14,601  | <u>(5)</u> 01/29/2018                                    | Common Stock  |

## Reporting Owners

### Reporting Owner Name / Address

### Relationships

Director 10% Owner Officer Other

Sharan Kim Michelle  
GENERAL COUNSEL'S OFFICE  
1098 AMERIPRISE FINANCIAL CENTER  
MINNEAPOLIS, MN 55474

Pres Fncl Plng & Wealth & CMO

## Signatures

/s/ Thomas R. Moore for Kim Michele  
Sharan

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).

Reflects the weighted average price of 15,948 shares of common stock of Ameriprise Financial, Inc. sold by the reporting person in multiple transactions on February 11, 2014 with sale prices ranging from \$105.59 to \$106.01 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.

(1) Estimate of the number of shares held in the reporting person's account in the Ameriprise Financial Stock Fund under the Ameriprise 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.

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

(3) Shares of phantom stock are payable in shares of Ameriprise common stock following termination of employment or during a specified future year in accordance with The Ameriprise Financial Deferred Compensation Plan.

(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.

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