Junek John Carl Form 4 January 24, 2013

### FORM 4

Form 5

1(b).

obligations

may continue.

See Instruction

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

Check this box if no longer subject to Section 16. Form 4 or

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

**OMB APPROVAL** 

OMB 3235-0287 Number:

January 31, Expires: 2005

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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 \* Junek John Carl

2. Issuer Name and Ticker or Trading Symbol

5. Relationship of Reporting Person(s) to

Issuer

AMERIPRISE FINANCIAL INC

(Check all applicable)

[AMP]

(Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) 01/22/2013

Director 10% Owner X\_ Officer (give title Other (specify

below) Exec VP and General Counsel

GENERAL COUNSEL'S **OFFICE, 1098 AMERIPRISE** FINANCIAL CENTER

(Street)

(State)

(Zin)

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

MINNEAPOLIS, MN 55474

(City)

(City)	(State) (	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. Transactio Code (Instr. 8)	4. Securi on(A) or Do (Instr. 3,	ispose 4 and (A) or	d of (D)	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	01/22/2013		$S_{(1)}^{(1)}$	2,659	D	\$ 65.69	43,725	D		
Common Stock	01/24/2013		M(1)	7,000	A	\$ 21.34	50,725	D		
Common Stock	01/24/2013		S <u>(1)</u>	5,419	D	\$ 67	45,306	D		
Common Stock							164	I	By Roth IRA	
							35.61	I		

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

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)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transactic Code (Instr. 8)	5. Number or 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)	\$ 21.34	01/24/2013		M <u>(1)</u>	7,000	(3)	02/03/2019	Common Stock	7,000

## **Reporting Owners**

MINNEAPOLIS, MN 55474

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Junek John Carl GENERAL COUNSEL'S OFFICE 1098 AMERIPRISE FINANCIAL CENTER

Exec VP and General Counsel

**Signatures** 

/s/ Thomas R. Moore for John Carl Junek 01/24/2013

\*\*Signature of Reporting Person Date

Reporting Owners 2

## **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) Transaction effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person on September 28, 2012.
  - 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 December 14, 2012. This plan uses unit accounting and the number of shares that a participant is deemed to hold varies with the price of Ameriprise stock.
- One-third of the options vest after two years; one-third of the options vest after three years and the final third vest four years from February 2, 2009.

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.