Edgar Filing: SARLES H JAY - Form 4

SARLES H	JAY								
Form 4	12								
April 26, 20									PPROVAL
FORM	4 UNITED	STATES					COMMISSIO		3235-0287
Check th if no long subject to Section 1 Form 4 of Form 5 obligation may com See Instr 1(b).	ger o 16. or Filed pur ^{nns} tinue.	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							January 31, 2005 average urs per . 0.5
(Print or Type]	Responses)								
1. Name and Address of Reporting Person <u>*</u> SARLES H JAY			2. Issuer Name and Ticker or Trading Symbol AMERIPRISE FINANCIAL INC [AMP]			5. Relationship of Reporting Person(s) to Issuer (Check all applicable)			
OFFICE, 10	(First) (COUNSEL'S 098 AMERIPRIS L CENTER	Middle) E		of Earliest T Day/Year) 2013	ransaction		X Director Officer (giv below)		% Owner her (specify
(Street)			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			
MINNEAP	OLIS, MN 55474	ļ					Form filed by Person	More than One R	eporting
(City)	(State)	(Zip)	Tab	ole I - Non-I	Derivative	Securities A	cquired, Disposed	of, or Beneficia	lly Owned
1.Title of Security (Instr. 3)2. Transaction Date (Month/Day/Year)2A. Deem Execution any (Month/D		Execution	h Date, if Transactio Code Day/Year) (Instr. 8)		nAcquired (A) or Disposed of (D) (Instr. 3, 4 and 5) (A) or			6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	Indirect
Reminder: Rer	port on a separate line	e for each el	ass of sec	Code V		(D) Price			
reeninger. Rep	core on a separate mit	e tor each en		annes cone	incluing own	and an eerly t			

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.

 Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned

 (e.g., puts, calls, warrants, options, convertible securities)

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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. Transact Code (Instr. 8)	Disposed of (E	Derivative		6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Underlying Securities (Instr. 3 and 4)	
				Code V	7 (A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Phantom Stock (Annual)	(1)	04/24/2013		А	1,601.225		(2)	(2)	Common Stock	1,601.22:	

Other

Reporting Owners

Reporting Owner Name / Address		Relationships					
	Director	10% Owner	Officer	(
SARLES H JAY GENERAL COUNSEL'S OFFICE 1098 AMERIPRISE FINANCIAL CENTER MINNEAPOLIS, MN 55474	X						
Signatures							
/s/ Thomas R. Moore for H. Jay Sarles	04/26/2013	3					
** 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) Each share of phantom stock represents the right to receive one share of Ameriprise Financial, Inc. common stock.

Upon ceasing to be a non-employee director of Ameriprise Financial, Inc., the reporting director will receive common stock of (2) Ameriprise Financial, Inc. in settlement of the reporting director's deferred share units on a one-for-one basis in a lump sum at the end of

the quarter immediately following the quarter in which the reporting director's termination of service on the Board of Directors occurs.

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.