

Junek John Carl  
Form 4  
November 02, 2012

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

OMB APPROVAL

OMB Number: 3235-0287  
Expires: January 31, 2015  
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 \*  
Junek John Carl

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)  
10/31/2012

\_\_\_\_ Director  
 Officer (give title below)  
\_\_\_\_ 10% Owner  
\_\_\_\_ Other (specify below)  
Exec VP and General Counsel

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 Beneficial Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	Price
Common Stock	10/31/2012		M <sup>(1)</sup>		46,139	A	\$ 35.035
Common Stock	10/31/2012		M <sup>(1)</sup>		21,000	A	\$ 21.34
Common Stock	10/31/2012		S <sup>(1)</sup>		38,604	D	\$ 57.3486
Common Stock	10/31/2012		S <sup>(1)</sup>		19,303	D	\$ 58.3526

Edgar Filing: Junek John Carl - Form 4

(3)

Common Stock	10/31/2012	S	356	D	\$ 58.91	0	I	By IRA (4)
Common Stock						164	I	By Roth IRA (5)
Common Stock						35.37	I	By 401(k) Plan (6)

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 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)	\$ 35.035	10/31/2012		M(1)	46,139	10/03/2009 10/02/2015	Common Stock	46,139	
Employee Stock Option (right to buy)	\$ 21.34	10/31/2012		M(1)	21,000	(7) 02/02/2019	Common Stock	21,000	

## Reporting Owners

Reporting Owner Name / Address	Relationships
Junek John Carl GENERAL COUNSEL'S OFFICE 1098 AMERIPRISE FINANCIAL CENTER	Director 10% Owner Officer Exec VP and General Counsel
	Other

MINNEAPOLIS, MN 55474

## Signatures

/s/ Thomas R. Moore for John Carl  
Junek

11/02/2012

\_\_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) Transaction effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person on September 28, 2012.

Reflects the weighted average price of 38,604 shares of common stock of Ameriprise Financial, Inc. sold by the reporting person in multiple transactions on October 31, 2012 with sale prices ranging from \$56.7771 to \$57.5114 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.

(2) Reflects the weighted average price of 19,303 shares of common stock of Ameriprise Financial, Inc. sold by the reporting person in multiple transactions on October 31, 2012 with sale prices ranging from \$58.08 to \$59.00 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.

(3) On September 27, 2012, the reporting person executed an in-service distribution of 356 shares of common stock of Ameriprise Financial, Inc. to his IRA account. On previous Section 16 reports, the reporting person reported these shares of common stock as indirectly held in his 401(k) account in the Ameriprise Financial Stock Fund under the Ameriprise Financial 401(k) plan.

(4) On September 20, 2012, the reporting person executed an in-service distribution of 164 shares of common stock of Ameriprise Financial, Inc. to his Roth IRA account. On previous Section 16 reports, the reporting person reported these shares of common stock as indirectly held in his 401(k) account in the Ameriprise Financial Stock Fund under the Ameriprise Financial 401(k) plan.

(5) 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 October 31, 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.

(6) 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.