

AMERIPRISE FINANCIAL INC

Form 4

October 04, 2005

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

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

## OMB APPROVAL

OMB  
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2005  
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(Print or Type Responses)

1. Name and Address of Reporting Person \*  
HUNTER KELLI A

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)  
707 SECOND AVENUE SOUTH  
(Street)

3. Date of Earliest Transaction  
(Month/Day/Year)  
09/30/2005

\_\_\_\_ Director \_\_\_\_ 10% Owner  
\_\_\_\_X\_\_\_\_ Officer (give title \_\_\_\_ Other (specify  
below) below)  
Exec VP of Human Resources

MINNEAPOLIS MN 55474

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

(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 <u>(1)</u> <u>(2)</u>	09/30/2005		A		6,418	A \$ 0	6,418 D
Common Stock <u>(3)</u>	10/03/2005		A		5,709	A \$ 0	12,127 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  
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SEC 1474  
(9-02)

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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 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) <sup>(4)</sup>	\$ 33.721	09/30/2005		A	64,179	<sup>(5)</sup> 06/22/2015	Common Stock 64,179
Employee Stock Option (Right to Buy) <sup>(6)</sup>	\$ 35.035	10/03/2005		A	73,818	<sup>(6)</sup> 10/02/2015	Common Stock 73,818

## Reporting Owners

Reporting Owner Name / Address	Relationships
	Director 10% Owner Officer Other
HUNTER KELLI A 707 SECOND AVENUE SOUTH MINNEAPOLIS MN 55474	Exec VP of Human Resources

## Signatures

/s/ Julie E. Ramacher for Kelli A. Hunter  
10/04/2005  
\_\_\_\_\_  
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 award granted under the Ameriprise Financial 2005 Incentive Compensation Plan in substitution of the restricted stock award originally granted to the reporting person under the American Express Company 1998 Incentive Compensation Plan, adjusted to reflect the distribution of Ameriprise Financial, Inc. on September 30, 2005.
- (2) Restricted stock award will vest on the same schedule as the American Express Company restricted stock award it replaced; in four equal installments on June 23, 2006, 2007, 2008 and 2009.
- (3) Restricted stock award, granted under the Ameriprise Financial 2005 Incentive Compensation Plan, will vest in four equal installments on October 3, 2006, 2007, 2008 and 2009.

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- Employee stock option granted under Ameriprise Financial 2005 Incentive Compensation Plan in substitution of employee stock option
- (4) originally granted to the reporting person under the American Express Company 1998 Incentive Compensation Plan, adjusted to reflect the distribution of Ameriprise Financial, Inc. on September 30, 2005.

- The reported employee stock option, granted under the Ameriprise Financial 2005 Incentive Compensation Plan, will become exercisable
- (5) on the same schedule as the American Express Company stock option it replaced; in four equal installments on June 23, 2006, 2007, 2008 and 2009.

- The reported employee stock option, granted under the Ameriprise Financial 2005 Incentive Compensation Plan, will become exercisable
- (6) in four equal installments on October 3, 2006, 2007, 2008 and 2009.

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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