#### Edgar Filing: AMERIPRISE FINANCIAL INC - Form 4

#### AMERIPRISE FINANCIAL INC

Form 4

November 21, 2006

## FORM 4

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

OMB Number: 3235-0287

Check this box if no longer subject to

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

Expires: January 31, 2005

subject to Section 16. Form 4 or Form 5

SECURITIES SECURITIES

Estimated average burden hours per

**OMB APPROVAL** 

obligations
may continue.

See Instruction

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

response... 0.5

1(b).

(Last)

(Print or Type Responses)

1. Name and Address of Reporting Person \*\*
TURNER WILLIAM H

(First)

2. Issuer Name **and** Ticker or Trading

5. Relationship of Reporting Person(s) to Issuer

Symbol

AMERIPRISE FINANCIAL INC

(Check all applicable)

[AM

(Middle)

[AMP]
3. Date of Earliest Transaction

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

GENERAL COUNSEL'S OFFICE, 1098 AMERIPRISE

FINANCIAL CENTER

4. If Amendment, Date Original

6. Individual or Joint/Group Filing(Check

Filed(Month/Day/Year)

(Month/Day/Year)

11/17/2006

Applicable Line)
\_X\_ Form filed by One Reporting Person
\_\_\_ Form filed by More than One Reporting

Persor

below)

MINNEAPOLIS, MN 55474

(City) (State) (Zip)

(Street)

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1.Title of Security (Instr. 3)

2. Transaction Date 2A. Deemed (Month/Day/Year) Execution Date, if

3. 4. Securities
TransactionAcquired (A) or
Code Disposed of (D)

(Instr. 3, 4 and 5)

Code V Amount (D) Price

5. Amount of Securities Form: Dispensional (I)
Following (Instr. 4)

6. Ownership 7. Nature of Form: Direct Indirect (D) or Indirect Beneficial (I) Ownership (Instr. 4)

(A)

(Instr. 8)

Following Reported Transaction(s)

(Instr. 3 and 4)

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

(Month/Day/Year)

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)

### Edgar Filing: AMERIPRISE FINANCIAL INC - Form 4

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 on Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exerc Expiration D (Month/Day/	ate	7. Title and Amount of Underlying Securities (Instr. 3 and 4)		8. Pr Deri Secu (Inst
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Phantom Stock (Quarterly Dividend on Annual Grant)	Ш	11/17/2006		A	7.859	<u>(2)</u>	(2)	Common Stock	7.859	\$

# **Reporting Owners**

Reporting Owner Name / Address	Relationships					
- Topolong O mark 1 man / 1 mark 1 ma	Director	10% Owner	Officer	Other		
TURNER WILLIAM H GENERAL COUNSEL'S OFFICE 1098 AMERIPRISE FINANCIAL CENTER MINNEAPOLIS, MN 55474	X					
Signatures						

/s/ Thomas. R. Moore for William H. Turner

11/21/2006

\*\*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).

Each share of phantom stock represents the right to receive one share of Ameriprise Financial, Inc. Common Stock. Deemed quarterly dividends were awarded for the reported deferred share unit award granted to the reporting director under the Ameriprise Financial

- Deferred Share Plan. The record date for the deemed dividends was November 7, 2006 and the deemed quarterly dividends were credited on November 17, 2006.
- 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.

Reporting Owners 2