

O'CONNELL PATRICK H.
Form 3
December 11, 2017

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

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INITIAL STATEMENT OF 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)

<p>1. Name and Address of Reporting Person *</p> <p>Â O'CONNELL PATRICK H.</p> <p>(Last) (First) (Middle)</p> <p>GENERAL COUNSEL'S OFFICE,Â 1098 AMERIPRISE FINANCIAL CENTER</p> <p>(Street)</p> <p>MINNEAPOLIS,Â MNÂ 55474</p> <p>(City) (State) (Zip)</p>	<p>2. Date of Event Requiring Statement</p> <p>(Month/Day/Year)</p> <p>11/29/2017</p>	<p>3. Issuer Name and Ticker or Trading Symbol</p> <p>AMERIPRISE FINANCIAL INC [AMP]</p>	<p>4. Relationship of Reporting Person(s) to Issuer</p> <p>(Check all applicable)</p> <p><input type="checkbox"/> Director <input type="checkbox"/> 10% Owner <input checked="" type="checkbox"/> Officer <input type="checkbox"/> Other (give title below) (specify below) EVP, AMP Advisor Group</p>	<p>5. If Amendment, Date Original Filed(Month/Day/Year)</p>	<p>6. Individual or Joint/Group Filing(Check Applicable Line)</p> <p><input checked="" type="checkbox"/> Form filed by One Reporting Person <input type="checkbox"/> Form filed by More than One Reporting Person</p>
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Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security (Instr. 4)	2. Amount of Securities Beneficially Owned (Instr. 4)	3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)	4. Nature of Indirect Beneficial Ownership (Instr. 5)
Common Stock	5,419	D	Â

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

SEC 1473 (7-02)

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Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security (Instr. 4)	2. Date Exercisable and Expiration Date (Month/Day/Year)	3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)	4. Conversion or Exercise Price of Derivative	5. Ownership Form of Derivative Security:	6. Nature of Indirect Beneficial Ownership (Instr. 5)
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	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Employee Stock Option (right to buy)	Â (1)	02/05/2023	Common Stock	5,975	\$ 65.31	D	Â
Employee Stock Option (right to buy)	Â (1)	02/07/2024	Common Stock	5,049	\$ 107.61	D	Â
Employee Stock Option (right to buy)	Â (2)	02/02/2025	Common Stock	6,369	\$ 128.76	D	Â
Employee Stock Option (right to buy)	Â (3)	02/01/2026	Common Stock	17,180	\$ 87.79	D	Â
Employee Stock Option (right to buy)	Â (4)	02/06/2027	Common Stock	10,939	\$ 123.37	D	Â
Phantom Stock	Â (5)	Â (5)	Common Stock	12,292.5106	\$ (6)	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
O'CONNELL PATRICK H. GENERAL COUNSEL'S OFFICE 1098 AMERIPRISE FINANCIAL CENTER MINNEAPOLIS, MN 55474	Â	Â	Â EVP, AMP Advisor Group	Â

Signatures

/s/ Thomas R. Moore for Patrick H. O'Connell 12/11/2017

**Signature of Reporting Person Date

Explanation of Responses:

- * If the form is filed by more than one reporting person, see Instruction 5(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) Fully vested.
- (2) One-third of the options vest after one year; one-third of the options vest after two years and the final options vest three years from February 2, 2015.
- (3) One-third of the options vest after one year; one-third of the options vest after two years and the final options vest three years from February 1, 2016.
- (4) One-third of the options vest after one year; one-third of the options vest after two years and the final options vest three years from February 6, 2017.
- (5) Shares of phantom stock are payable in shares of Ameriprise common stock following termination of employment or during a specified future year in accordance with The Ameriprise Financial Deferred Compensation Plan.
- (6) Each share of phantom stock represents the right to receive one share of Ameriprise Financial, Inc. common stock.

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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