Edgar Filing: SARLES H JAY - Form 4

FORM 4 August 05, 2011 OMB APPROVAL FORM 4 August 05, 2011 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 OMB APPROVAL Check this box if no longer subject to Section 16, Form 4 or Form 5 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF Section 16, Form 5 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF Section 17(a) of the Public Utility Holding Company Act of 1934, may continue. Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940 1(b). States and the public Utility Holding Company Act of 1935 or Section Sec Instruction 30(h) of the Investment Company Act of 1940 1(b). (Print or Type Responses) 1. Issuer Name and Ticker or Trading SARLES H JAY 5. Relationship of Reporting Person(s) to Issuer (Las) (First) 0. Date of Earliest Transaction (Month/Day/Year) 5. Relationship of Reporting Person(s) to Issuer (Las) (First) 4. If Amendment, Date Original Filed(Month/Day/Year) 6. Individual or Joint/Group Filing/Check Applicable Line) - Securities (City) (State) (Zap) Table 1 - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned (City) (State) (Zap) TansactionAcquired (A) or any 5. Annount of Applicable Line) - Code 6. Ownership Form Direct Indirect Below) 6. Ownership Form Direct Indirect Applicable Line) - Code 5. Annount of Applicable Line) - Code 6. Ownership Form Direct Indirec	SARLES H JA	ΑY									
FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 OMB APPROVAL Momber: 3235-0287 The longs in the box is subject to Section 16 or Form 4 or Form 4 or Form 4 or Form 5 or Section 17(a) of the Section 16(a) of the Securities Exchange Act of 1935, Sec Instruction 30(h) of the Investment Company Act of 1930 or Section 1(b). Filed pursuant to Section 16(a) of the Securities Exchange Act of 1935, Section 17(a) of the Public Utility Holding Company Act of 1930 or Section 1(b). S. Relationship of Reporting Person (S) to Issuer 1. Name and Address of Reporting Person 1 (b). 2. Issuer Name and Ticker or Trading Symbol AMERIPRISE FINANCIAL INC (AMP] S. Relationship of Reporting Person(s) to Issuer (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) S. Relationship of Reporting Person(s) to Issuer (Last) (First) (Middle) 3. Date of Earliest Transaction Filed(Month/Day/Year) S. Check all applicable) (Last) (First) (Month/Day/Year) 08/03/2011 Check All applicable) (Street) 4. If Amendment, Date Original Filed(Month/Day/Year) 6. Individual or Joint/Group Filing(Check Applicable Line) - Verson Filted by More than One Reporting Person (Giv) (Street) 2. Decreded Tamsaction Applicable Line) - Verson Filted by More than One Reporting Person 6. Ownership Original Filted(Month/Day/Year) 7. Nature of Form: Direct (Month/Day/Year)	Form 4	11									
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Check this box if no longer subject to Section 16, form 4 or Form 4 or Form 4 or Form 4 or Form 5 = Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations may continue. Section 17(a) of the Public Utility Holding Company Act of 1935 or Section nay continue. Section 17(a) of the Public Utility Holding Company Act of 1935 or Section response	FORM	4 UNITED	STATES					E COMMISSION	N OMB		
1. Name and Address of Reporting Person 1 2. Issuer Name and Ticker or Trading Symbol 5. Relationship of Reporting Person(s) to Issuer SARLES H JAY Symbol AMERIPRISE FINANCIAL INC [AMP] Check all applicable) (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) S. Relationship of Reporting Person(s) to Issuer GENERAL COUNSEL'S 08/03/2011 OB/03/2011	if no longe subject to Section 16 Form 4 or Form 5 obligations may contin <i>See</i> Instruct	Filed pur Section 17(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							2005 average urs per	
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GENERAL COUNSEL'S OFFICE, 1098 AMERIPRISE FINANCIAL CENTER OB/03/2011 Image: Check applicable Line) (Month/Day/Year) Image: Check applicable Line) (Street) Officer (give title below) Other (specify below) MINNEAPOLIS, MN 55474 (Street) 4. If Amendment, Date Original Filed(Month/Day/Year) 6. Individual or Joint/Group Filing(Check Applicable Line) (City) Applicable Line) (State) X_ Form filed by One Reporting Person Form filed by More than One Reporting Person Form filed by More than One Reporting Person 1.Title of Security 2. Transaction Date (Month/Day/Year) 3. 4. Securities TransactionAcquired (A) or Code 5. Amount of Securities 6. Ownership Form: Direct 7. Nature of Indirect (Instr. 3) (Month/Day/Year) (Month/Day/Year) 3. 4. Securities Code 5. Amount of Or Code 6. Ownership Following 6. Ownership Form: Direct 7. Nature of Indirect (Instr. 3) (Month/Day/Year) (Month/Day/Year) (Instr. 8) (Instr. 3, 4 and 5) Owned (I) Ownership Following 7. Nature of Indirect (A) or Code V Amount (D) Price (Instr. 4) (Instr. 4) (Instr. 4)				Symbol AMERIPRISE FINANCIAL INC			Issuer				
Filed(Month/Day/Year) Applicable Line, _X_Form filed by More Reporting Person Form filed by More than One Reporting Person Form filed by More than One Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Securities S. Amount of Security (Instr. 3) 6. Ownership Form: Direct 7. Nature of Indirect 1. Title of Security (Instr. 3) 2. Transaction Date (Month/Day/Year) 2.A. Deemed Execution Date, if any (Month/Day/Year) 3. 4. Securities Transaction-Acquired (A) or Code 5. Amount of Disposed of (D) (Instr. 8) 6. Ownership Form: Direct 7. Nature of Form: Direct (A) (Month/Day/Year) (Month/Day/Year) 3. 4. Securities Transaction-Acquired (A) or Code 5. Amount of Disposed of (D) (Instr. 8) 6. Ownership (Do or Indirect 8eneficially (D) or Indirect 7. Nature of Form: Direct (A) (Instr. 8) (Instr. 3, 4 and 5) Owned (I) Ownership (Instr. 4) 0wnership (Instr. 4) (A) or Code or No or No (Instr. 3 and 4) (Instr. 3 and 4)	GENERAL C OFFICE, 109	COUNSEL'S 98 AMERIPRIS	,	(Month/I	Day/Year)	ransaction		Officer (giv	e title Oth		
MINNEAPOLIS, MIN 33474 Person (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1.Title of Security 2. Transaction Date 2A. Deemed 3. 4. Securities 5. Amount of 6. Ownership 7. Nature of Instr. 3) 2. Transaction Date 2A. Deemed 3. 4. Securities 5. Amount of 6. Ownership 7. Nature of (Instr. 3) (Month/Day/Year) Execution Date, if any (Code Disposed of (D) Beneficially 0wned (D) or Indirect Beneficial (Instr. 3) (Month/Day/Year) (Month/Day/Year) (Instr. 8) (Instr. 3, 4 and 5) Owned (I) Ownership (A) or (A) or (Instr. 4) (Instr. 4) (Instr. 4) (A) or (Instr. 3 and 4) Ode V Amount (D) Price (Instr. 3 and 4) (Instr. 3 and 4)	File					-	ıl	Applicable Line) _X_ Form filed by One Reporting Person			
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	Security (1		Execution any	Date, if	Transaction Code (Instr. 8)	nAcquired Disposed (Instr. 3, 4	(A) or of (D) 4 and 5) (A) or	Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	Form: Direct (D) or Indirect (I)	Indirect Beneficial Ownership	
	Reminder: Report	rt on a separate line	e for each cla	ass of sec							

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. Transacti Code (Instr. 8)			6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Underlying Securities (Instr. 3 and 4)		8 I S ()
				Code V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Phantom Stock (Annual)	(2)	08/03/2011		А	285.009		<u>(3)</u>	(3)	Common Stock	285.009	

Reporting Owners

Reporting Owner Name / Address	Relationships						
	Director	10% Owner	Officer	Other			
SARLES H JAY GENERAL COUNSEL'S OFFICE 1098 AMERIPRISE FINANCIAL CENTER MINNEAPOLIS, MN 55474	х						
Signatures							
/s/ Susan M. Beltz for H. Jay Sarles 08/	05/2011						
**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) The grant is made pursuant to a \$15,000 increase in the value of the annual equity grant approved by the Board of Directors, effective as of July 1, 2011.
- (2) 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(3) 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.