

O'CONNELL PATRICK H.

Form 3

December 11, 2017

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

OMB APPROVAL

OMB
Number: 3235-0104Expires: January 31,
2005Estimated average
burden hours per
response... 0.5**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)

1. Name and Address of Reporting
Person *

Â O'CONNELL PATRICK H.

(Last)

(First)

(Middle)

2. Date of Event Requiring
Statement

(Month/Day/Year)

11/29/2017

3. Issuer Name **and** Ticker or Trading Symbol
AMERIPRISE FINANCIAL INC [AMP]4. Relationship of Reporting
Person(s) to Issuer5. If Amendment, Date Original
Filed(Month/Day/Year)GENERAL COUNSEL'S
OFFICE,Â 1098 AMERIPRISE
FINANCIAL CENTER

(Street)

(Check all applicable)

☐ Director ☐ 10% Owner☒ Officer ☐ Other
(give title below) (specify below)

EVP, AMP Advisor Group

MINNEAPOLIS,Â MNÂ 55474

(City)

(State)

(Zip)

6. Individual or Joint/Group
Filing(Check Applicable Line)
☒ Form filed by One Reporting
Person
☐ Form filed by More than One
Reporting Person**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)

**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 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
Derivative5. 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 <u>(1)</u>	02/05/2023	Common Stock	5,975	\$ 65.31	D	Â
Employee Stock Option (right to buy)	Â <u>(1)</u>	02/07/2024	Common Stock	5,049	\$ 107.61	D	Â
Employee Stock Option (right to buy)	Â <u>(2)</u>	02/02/2025	Common Stock	6,369	\$ 128.76	D	Â
Employee Stock Option (right to buy)	Â <u>(3)</u>	02/01/2026	Common Stock	17,180	\$ 87.79	D	Â
Employee Stock Option (right to buy)	Â <u>(4)</u>	02/06/2027	Common Stock	10,939	\$ 123.37	D	Â
Phantom Stock	Â <u>(5)</u>	Â <u>(5)</u>	Common Stock	12,292.5106	\$ <u>(6)</u>	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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