

Williams William Jerryl
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)

1. Name and Address of Reporting Person *

Williams William Jerryl
(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 Issuer

5. If Amendment, Date Original Filed(Month/Day/Year)

(Check all applicable)

____ Director ____ 10% Owner
____X____ Officer ____ Other
(give title below) (specify below)
EVP, AMP Franchise Group

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

GENERAL COUNSEL'S
OFFICE, 1098 AMERIPRISE
FINANCIAL CENTER

(Street)

MINNEAPOLIS, MN 55474

(City) (State) (Zip)

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

11,450

D

1098

Common Stock

48.43 (1)

I

By 401(k) Plan

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

4. Conversion or Exercise

5. Ownership Form of

6. Nature of Indirect Beneficial Ownership

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	Date Exercisable	Expiration Date	(Instr. 4) Title	Amount or Number of Shares	Price of Derivative Security	Derivative Security: Direct (D) or Indirect (I) (Instr. 5)	(Instr. 5)
Employee Stock Option (right to buy)	Â (2)	02/05/2023	Common Stock	8,851	\$ 65.31	D	Â
Employee Stock Option (right to buy)	Â (2)	02/07/2024	Common Stock	7,379	\$ 107.61	D	Â
Employee Stock Option (right to buy)	Â (3)	02/02/2025	Common Stock	7,961	\$ 128.76	D	Â
Employee Stock Option (right to buy)	Â (4)	02/01/2026	Common Stock	20,239	\$ 87.79	D	Â
Employee Stock Option (right to buy)	Â (5)	02/06/2027	Common Stock	12,703	\$ 123.37	D	Â
Phantom Stock	Â (6)	Â (6)	Common Stock	13,670.3468	\$ (7)	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Williams William Jerryl GENERAL COUNSEL'S OFFICE 1098 AMERIPRISE FINANCIAL CENTER MINNEAPOLIS, MN 55474	Â	Â	Â EVP, AMP Franchise Group	Â

Signatures

/s/ Thomas R. Moore for William Jerryl Williams 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).

- Estimate of the number of shares held in the reporting person's account in the Ameriprise Financial Stock Fund under the Ameriprise
- (1) Financial 401(k) plan as of November 29, 2017. This plan uses unit accounting and the number of shares that a participant is deemed to hold varies with the price of Ameriprise stock.
 - (2) Fully vested.
 - (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 2, 2015.
 - (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 1, 2016.
 - (5) 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.

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- (6) 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.
- (7) 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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