

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)

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)

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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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