

Junek John Carl
Form 4
November 02, 2012

FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

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Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

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 30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting Person *
Junek John Carl

2. Issuer Name and Ticker or Trading Symbol
AMERIPRISE FINANCIAL INC
[AMP]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Date of Earliest Transaction (Month/Day/Year)
10/31/2012

____ Director _____ 10% Owner
 Officer (give title below) _____ Other (specify below)
Exec VP and General Counsel

GENERAL COUNSEL'S
OFFICE, 1098 AMERIPRISE
FINANCIAL CENTER

(Street)

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

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

MINNEAPOLIS, MN 55474

(City) (State) (Zip)

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

| 1. Title of Security (Instr. 3) | 2. Transaction Date (Month/Day/Year) | 2A. Deemed Execution Date, if any (Month/Day/Year) | 3. Transaction Code (Instr. 8) | 4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
| | | | Code | V Amount (A) or (D) Price | | | |
| Common Stock | 10/31/2012 | | M ⁽¹⁾ | 46,139 A \$ 35.035 | 84,246 | D | |
| Common Stock | 10/31/2012 | | M ⁽¹⁾ | 21,000 A \$ 21.34 | 105,246 | D | |
| Common Stock | 10/31/2012 | | S ⁽¹⁾ | 38,604 D \$ 57.3486 | 66,642 | D | |
| Common Stock | 10/31/2012 | | S ⁽¹⁾ | 19,303 D \$ 58.3526 | 47,339 | D | |

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(3)

| | | | | | | | | |
|--------------|------------|---|-----|---|----------|-------|---|--------------------|
| Common Stock | 10/31/2012 | S | 356 | D | \$ 58.91 | 0 | I | By IRA (4) |
| Common Stock | | | | | | 164 | I | By Roth IRA (5) |
| Common Stock | | | | | | 35.37 | I | By 401(k) Plan (6) |

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

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SEC 1474
(9-02)

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

| 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. Transaction Code (Instr. 8) | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) | | |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--------------|----------------------------|
| | | | | Code | V (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
| Employee Stock Option (right to buy) | \$ 35.035 | 10/31/2012 | | M(1) | 46,139 | 10/03/2009 | 10/02/2015 | Common Stock | 46,139 |
| Employee Stock Option (right to buy) | \$ 21.34 | 10/31/2012 | | M(1) | 21,000 | (7) | 02/02/2019 | Common Stock | 21,000 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|-----------------------------|-------|
| | Director | 10% Owner | Officer | Other |
| Junek John Carl GENERAL COUNSEL'S OFFICE 1098 AMERIPRISE FINANCIAL CENTER | | | Exec VP and General Counsel | |

MINNEAPOLIS, MN 55474

Signatures

/s/ Thomas R. Moore for John Carl
Junek

11/02/2012

__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) Transaction effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person on September 28, 2012.

Reflects the weighted average price of 38,604 shares of common stock of Ameriprise Financial, Inc. sold by the reporting person in multiple transactions on October 31, 2012 with sale prices ranging from \$56.7771 to \$57.5114 per share. The reporting person undertakes to provide upon request by the U.S. Securities and Exchange Commission staff, the issuer, or a security holder of the issuer, full information regarding the number of shares sold at each separate price.

(2) Reflects the weighted average price of 19,303 shares of common stock of Ameriprise Financial, Inc. sold by the reporting person in multiple transactions on October 31, 2012 with sale prices ranging from \$58.08 to \$59.00 per share. The reporting person undertakes to provide upon request by the U.S. Securities and Exchange Commission staff, the issuer, or a security holder of the issuer, full information regarding the number of shares sold at each separate price.

(3) On September 27, 2012, the reporting person executed an in-service distribution of 356 shares of common stock of Ameriprise Financial, Inc. to his IRA account. On previous Section 16 reports, the reporting person reported these shares of common stock as indirectly held in his 401(k) account in the Ameriprise Financial Stock Fund under the Ameriprise Financial 401(k) plan.

(4) On September 20, 2012, the reporting person executed an in-service distribution of 164 shares of common stock of Ameriprise Financial, Inc. to his Roth IRA account. On previous Section 16 reports, the reporting person reported these shares of common stock as indirectly held in his 401(k) account in the Ameriprise Financial Stock Fund under the Ameriprise Financial 401(k) plan.

(5) Estimate of the number of shares held in the reporting person's account in the Ameriprise Financial Stock Fund under the Ameriprise Financial 401(k) plan as of October 31, 2012. This plan uses unit accounting and the number of shares that a participant is deemed to hold varies with the price of Ameriprise stock.

(6) One-third of the options vest after two years; one-third of the options vest after three years and the final third vest four years from February 2, 2009.

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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